Banach-Steinhaus theorem*

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Abstract

We formalize in Isabelle/HOL a result [2] due to S. Banach and H. Steinhaus [1] known as Banach-Steinhaus theorem or Uniform boundedness principle: a pointwise-bounded family of continuous linear operators from a Banach space to a normed space is uniformly bounded. Our approach is an adaptation to Isabelle/HOL of a proof due to A. Sokal [3].

Contents

1 Missing results for the proof of Banach-Steinhaus theorem

theory *Banach-Steinhaus-Missing*
imports
HOL−Analysis.Bounded-Linear-Function
HOL−Analysis.Line-Segment

begin

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1.1 Results missing for the proof of Banach-Steinhaus theorem

The results proved here are preliminaries for the proof of Banach-Steinhaus theorem using Sokal's approach, but they do not explicitly appear in Sokal's paper [3].

Notation for the norm

open-bundle *norm-syntax* **begin**
notation *norm* (‹‖-‖›)
end

Notation for apply bilinear function

open-bundle *blinfun-apply-syntax* **begin**
notation *blinfun-apply* (**infixr** ‹$*_v$› *70*)
end

lemma *bdd-above-plus*:
fixes *f*::‹*'a* ⇒ *real*›
assumes ‹*bdd-above* (*f* ‘ *S*)› **and** ‹*bdd-above* (*g* ‘ *S*)›
shows ‹*bdd-above* ((λ *x*. *f x* + *g x*) ‘ *S*)›

Explanation: If the images of two real-valued functions *f*,*g* are bounded above on a set *S*, then the image of their sum is bounded on *S*.

⟨*proof*⟩

The maximum of two functions

definition *pointwise-max*:: (*'a* ⇒ *'b*::*ord*) ⇒ (*'a* ⇒ *'b*) ⇒ (*'a* ⇒ *'b*) **where**
‹*pointwise-max f g* = (λ*x*. *max* (*f x*) (*g x*))›

lemma *max-Sup-absorb-left*:
fixes *f g*::‹*'a* ⇒ *real*›
assumes ‹*X* ≠ {}› **and** ‹*bdd-above* (*f* ‘ *X*)› **and** ‹*bdd-above* (*g* ‘ *X*)› **and** ‹*Sup* (*f* ‘ *X*) ≥ *Sup* (*g* ‘ *X*)›
shows ‹*Sup* ((*pointwise-max f g*) ‘ *X*) = *Sup* (*f* ‘ *X*)›

Explanation: For real-valued functions *f* and *g*, if the supremum of *f* is greater-equal the supremum of *g*, then the supremum of *max f g* equals the supremum of *f*. (Under some technical conditions.)

⟨*proof*⟩

lemma *max-Sup-absorb-right*:
fixes *f g*::‹*'a* ⇒ *real*›
assumes ‹*X* ≠ {}› **and** ‹*bdd-above* (*f* ‘ *X*)› **and** ‹*bdd-above* (*g* ‘ *X*)› **and** ‹*Sup* (*f* ‘ *X*) ≤ *Sup* (*g* ‘ *X*)›
shows ‹*Sup* ((*pointwise-max f g*) ‘ *X*) = *Sup* (*g* ‘ *X*)›

Explanation: For real-valued functions *f* and *g* and a nonempty set *X*, such that the *f* and *g* are bounded above on *X*, if the supremum of *f* on

X is lower-equal the supremum of g on X, then the supremum of *pointwise-max f g* on X equals the supremum of g. This is the right analog of *max-Sup-absorb-left*.

⟨*proof*⟩

lemma *max-Sup*:
fixes *f g*::‹′*a* ⇒ *real*›
assumes ‹$X \neq \{\}$› **and** ‹*bdd-above* (*f* ‘ *X*)› **and** ‹*bdd-above* (*g* ‘ *X*)›
shows ‹*Sup* ((*pointwise-max f g*) ‘ *X*) = *max* (*Sup* (*f* ‘ *X*)) (*Sup* (*g* ‘ *X*))›

Explanation: Let X be a nonempty set. Two supremum over X of the maximum of two real-value functions is equal to the maximum of their suprema over X, provided that the functions are bounded above on X.

⟨*proof*⟩

lemma *identity-telescopic*:
fixes *x* :: ‹- ⇒ ′*a*::*real-normed-vector*›
assumes ‹$x \longrightarrow l$›
shows ‹(λ *N*. *sum* (λ *k*. *x* (*Suc k*) − *x k*) {*n*..*N*}) ⟶ *l* − *x n*›

Expression of a limit as a telescopic series. Explanation: If x converges to l then the sum $\sum k = n..N.\ x\ (Suc\ k) - x\ k$ converges to $l - x\ n$ as N goes to infinity.

⟨*proof*⟩

lemma *bound-Cauchy-to-lim*:
assumes ‹$y \longrightarrow x$› **and** ‹$\bigwedge n.\ \|y\ (Suc\ n) - y\ n\| \leq c\hat{}n$› **and** ‹$y\ 0 = 0$› **and** ‹$c < 1$›
shows ‹$\|x - y\ (Suc\ n)\| \leq (c\ /\ (1 - c)) * c\ \hat{}\ n$›

Inequality about a sequence of approximations assuming that the sequence of differences is bounded by a geometric progression. Explanation: Let y be a sequence converging to x. If y satisfies the inequality $\|y\ (Suc\ n) - y\ n\| \leq c\ \hat{}\ n$ for some $c < 1$ and assuming $y\ 0 = 0$ then the inequality $\|x - y\ (Suc\ n)\| \leq (c\ /\ (1 - c)) * c\ \hat{}\ n$ holds.

⟨*proof*⟩

lemma *onorm-open-ball*:
includes *norm-syntax*
shows ‹$\|f\| = Sup\ \{\ \|f *_v x\|\ |\ x.\ \|x\| < 1\ \}$›

Explanation: Let f be a bounded linear operator. The operator norm of f is the supremum of $\|f *_v x\|$ for x such that $\|x\| < 1$.

⟨*proof*⟩

lemma *onorm-r*:

includes *norm-syntax*
assumes ‹$r > 0$›
shows ‹$\|f\| = Sup\ ((\lambda x.\ \|f *_v x\|)\ `\ (ball\ 0\ r))\ /\ r$›

Explanation: The norm of f is $1\ /\ r$ of the supremum of the norm of $f *_v x$ for x in the ball of radius r centered at the origin.

⟨*proof*⟩

Pointwise convergence

definition *pointwise-convergent-to* ::
‹($nat \Rightarrow ('a \Rightarrow 'b$::*topological-space*)) $\Rightarrow ('a \Rightarrow 'b) \Rightarrow bool$›
(‹((-)/ −*pointwise*→ (-))› [*60*, *60*] *60*) **where**
‹*pointwise-convergent-to* $x\ l = (\forall\ t::'a.\ (\lambda\ n.\ (x\ n)\ t) \longrightarrow l\ t)$›

lemma *linear-limit-linear*:
fixes f :: ‹- ⇒ ('a::*real-vector* ⇒ 'b::*real-normed-vector*)›
assumes ‹$\bigwedge n.\ linear\ (f\ n)$› **and** ‹$f$ −*pointwise*→ F›
shows ‹*linear* F›

Explanation: If a family of linear operators converges pointwise, then the limit is also a linear operator.

⟨*proof*⟩

lemma *non-Cauchy-unbounded*:
fixes a ::‹- ⇒ *real*›
assumes ‹$\bigwedge n.\ a\ n \geq 0$› **and** ‹$e > 0$›
and ‹$\forall M.\ \exists m.\ \exists n.\ m \geq M \wedge n \geq M \wedge m > n \wedge sum\ a\ \{Suc\ n..m\} \geq e$›
shows ‹$(\lambda n.\ (sum\ a\ \{0..n\})) \longrightarrow \infty$›

Explanation: If the sequence of partial sums of nonnegative terms is not Cauchy, then it converges to infinite.

⟨*proof*⟩

lemma *sum-Cauchy-positive*:
fixes a ::‹- ⇒ *real*›
assumes ‹$\bigwedge n.\ a\ n \geq 0$› **and** ‹$\exists K.\ \forall n.\ (sum\ a\ \{0..n\}) \leq K$›
shows ‹$Cauchy\ (\lambda n.\ sum\ a\ \{0..n\})$›

Explanation: If a series of nonnegative reals is bounded, then the series is Cauchy.

⟨*proof*⟩

lemma *convergent-series-Cauchy*:
fixes a::‹*nat* ⇒ *real*› **and** φ::‹*nat* ⇒ 'a::*metric-space*›
assumes ‹$\exists M.\ \forall n.\ sum\ a\ \{0..n\} \leq M$› **and** ‹$\bigwedge n.\ dist\ (\varphi\ (Suc\ n))\ (\varphi\ n) \leq a\ n$›
shows ‹$Cauchy\ \varphi$›

Explanation: Let a be a real-valued sequence and let φ be sequence in a metric space. If the partial sums of a are uniformly bounded and the distance between consecutive terms of φ are bounded by the sequence a, then φ is Cauchy.

⟨*proof*⟩

unbundle *blinfun-apply-syntax*

unbundle *no norm-syntax*

end

2 Banach-Steinhaus theorem

theory *Banach-Steinhaus*
  imports *Banach-Steinhaus-Missing*
begin

We formalize Banach-Steinhaus theorem as theorem *banach-steinhaus*. This theorem was originally proved in Banach-Steinhaus's paper [1]. For the proof, we follow Sokal's approach [3]. Furthermore, we prove as a corollary a result about pointwise convergent sequences of bounded operators whose domain is a Banach space.

2.1 Preliminaries for Sokal's proof of Banach-Steinhaus theorem

lemma *linear-plus-norm*:
  includes *norm-syntax*
  assumes ‹*linear f*›
  shows ‹$\|f\ \xi\| \leq max\ \|f\ (x + \xi)\|\ \|f\ (x - \xi)\|$›

Explanation: For arbitrary x and a linear operator f, $\|f\ \xi\|$ is upper bounded by the maximum of the norms of the shifts of f (i.e., $f\ (x + \xi)$ and $f\ (x - \xi)$).

⟨*proof*⟩

lemma *onorm-Sup-on-ball*:
  includes *norm-syntax*
  assumes ‹$r > 0$›
  shows $\|f\| \leq Sup\ (\ (\lambda x.\ \|f *_v x\|)\ `\ (ball\ x\ r)\ )\ /\ r$

Explanation: Let f be a bounded operator and let x be a point. For any $0 < r$, the operator norm of f is bounded above by the supremum of f applied to the open ball of radius r around x, divided by r.

⟨*proof*⟩

lemma *onorm-Sup-on-ball′*:
includes *norm-syntax*
assumes ‹$r > 0$› **and** ‹$\tau < 1$›
shows ‹$\exists \xi \in ball\ x\ r.\ \ \tau * r * \|f\| \le \|f *_v \xi\|$›

In the proof of Banach-Steinhaus theorem, we will use this variation of the lemma *onorm-Sup-on-ball*.

Explanation: Let f be a bounded operator, let x be a point and let r be a positive real number. For any real number $\tau < 1$, there is a point ξ in the open ball of radius r around x such that $\tau * r * \|f\| \le \|f *_v \xi\|$.

⟨*proof*⟩

2.2 Banach-Steinhaus theorem

theorem *banach-steinhaus*:
fixes f::‹$'c \Rightarrow ('a::banach \Rightarrow_L 'b::real\text{-}normed\text{-}vector)$›
assumes ‹$\bigwedge x.\ bounded\ (range\ (\lambda n.\ (f\ n) *_v x))$›
shows ‹$bounded\ (range\ f)$›

This is Banach-Steinhaus Theorem.

Explanation: If a family of bounded operators on a Banach space is pointwise bounded, then it is uniformly bounded.

⟨*proof*⟩

2.3 A consequence of Banach-Steinhaus theorem

corollary *bounded-linear-limit-bounded-linear*:
fixes f::‹$nat \Rightarrow ('a::banach \Rightarrow_L 'b::real\text{-}normed\text{-}vector)$›
assumes ‹$\bigwedge x.\ convergent\ (\lambda n.\ (f\ n) *_v x)$›
shows ‹$\exists g.\ (\lambda n.\ (*_v)\ (f\ n))\ -pointwise\rightarrow\ (*_v)\ g$›

Explanation: If a sequence of bounded operators on a Banach space converges pointwise, then the limit is also a bounded operator.

⟨*proof*⟩

end

References

[1] S. Banach and H. Steinhaus. Sur le principe de la condensation de singularités. *Fundamenta Mathematicae*, 1(9):50–61, 1927.

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[3] A. D. Sokal. A really simple elementary proof of the uniform boundedness theorem. *The American Mathematical Monthly*, 118(5):450–452, 2011.