A new application of proof mining in the fixed point theory of uniformly convex Banach spaces

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This is a talk on **proof mining** in fixpoint theory.

I will outline results presented in the recent paper:

Powell, T. (2019). A new metastable convergence criterion and an application in the theory of uniformly convex banach spaces. *Journal of Mathematical Analysis and Applications*, 478:790–805

I'll try to make everything as accessible to the non-proof miner as possible! I intend to cover the following things:

- 1. Relevant background in fixpoint theory (but no introduction to proof mining!)
- 2. Informal overview of the proof-theoretic analysis
- 3. Statement of the main quantitative results

Most of the details of are **not important** for understanding the talk.

• Background: Functional analysis

- Conclusion: $(T^n x)$ converges
- Assumption 1: X uniformly convex
- Assumption 2: $Int(Fix(T)) \neq \emptyset$
- Assumption 3: $\lim_{n\to\infty} ||T^n x q|| = \inf_{n\in\mathbb{N}} ||T^n x q||$ for all $q \in Fix(T)$
- The main result and its corollaries

References

Banach's fixed point theorem

Let (X, d) be a complete metric space and $C \subseteq X$ a closed subset of X. A mapping $T : C \to C$ is a contraction if there exists some $0 \le q < 1$ such that

$$d(Tx,Ty) \leq q \cdot d(x,y).$$

for all $x, y \in C$. The following is a classic result in metric fixed point theory.

Theorem (Banach, 1922)

If T is a contraction, then its Picard iterates $(T^n x)_{n \in \mathbb{N}}$ converge to a fixpoint of T.

This theorem no longer holds if we weaken the premise by allowing T to be nonexpansive i.e.

$$d(Tx, Ty) \leq d(x, y)$$

for all $x, y \in C$. E.g. For $X = \mathbb{R}$, C = [0, 1] and Tx = 1 - x we have

$$(T^n O)_{n \in \mathbb{N}} = (0, 1, 0, 1, 0, 1, \ldots)$$

A natural question is the following: Under what additional conditions can we ensure that the Picard iterates $(T^n x)_{n \in \mathbb{N}}$ converges for *nonexpansive T*. For Hilbert spaces, a nonempty interior condition sufficies.

Theorem (Moreau)

Let X be a Hilbert space, $C \subseteq X$ closed and $T : C \to C$ nonexpansive. If the fixed point set Fix(T) has nonempty interior, then the Picard iterates converge to a point of Fix(T).

This result even holds in uniformly convex Banach spaces.

Theorem (Beauzamy)

Let X be a uniformly convex Banach space, $C \subseteq X$ closed and $T : C \to C$ nonexpansive. If the fixed point set Fix(T) has nonempty interior, then the Picard iterates converge to a point of Fix(T).

A Banach space is uniformly convex if for any $0 < \varepsilon \le 2$ there is some $\delta > 0$ such that for any ||x|| = ||y|| = 1,

$$\frac{1}{2}\|x+y\| \ge 1-\delta \Rightarrow \|x-y\| \le \varepsilon$$

Intuitively: the center of a line segment inside the unit ball must lie deep inside the unit ball unless the segment is short.

Examples of uniformly convex spaces include

- all Hilbert spaces
- L^p spaces for 1

Let $B_r[x]$ denote the closed ball of radius *r* centred around *r*, and $B_r^o[x]$ the corresponding open ball.

The following crucial fact was discovered independently by Edelstein and Steckin:

Lemma

Suppose that X is uniformly convex. Then for any d > 0 and $c, c' \in X$ satisfying 0 < ||c - c'|| = hd < d where 0 < h < 1 we have

$$\lim_{\delta \to \infty} \operatorname{diam}(B_{d-hd+\delta}[c] \cap (X \setminus B_d^o[c'])) = 0$$

where the convergence is uniform in c, c'.

We carry out a quantitative analysis of the following fixed point theorem of Kirk and Sims.

Theorem ([Kirk and Sims, 1999])

Suppose that C is a closed subset of a uniformly convex Banach space and $T: C \to C$ is a continuous mapping with $Int(Fix(T)) \neq \emptyset$, which satisfies the condition

$$\lim_{n\to\infty}\|T^nx-q\|=\inf_{n\in\mathbb{N}}\|T^nx-q\|$$

for all $q \in Fix(T)$. Then for each $x \in C$, the Picard iterates $(T^n x)_{n \in \mathbb{N}}$ converge to a fixed point of T.

The condition

$$\lim_{n\to\infty} \|T^n x - q\| = \inf_{n\in\mathbb{N}} \|T^n x - q\|$$

for $q \in Fix(T)$ is satisfied in particular when

- T is nonexpansive
- T is asymptotically nonexpansive, which means there exists some $\mu_n \to 1$ such that

$$|T^n x - T^n y|| \le \mu_n ||x - y||$$

for all $x, y \in C$.

Thus, Theorem KS constitutes a very general fixed point theorem in the context of uniformly convex Banach spaces.

Suppose that $B_r[p] \in Fix(T)$ for $p \in Fix(T)$ and r > 0, and define

$$d:=\inf_{n\in\mathbb{N}}\|T^nx-p\|$$

Assume w.l.o.g. $d \ge r$, and choose 0 < h < 1 so that hd < r. For each $n \in \mathbb{N}$ choose $q_n \in seg[p, T^n x]$ so that

$$||q_n - p|| = hd$$
 and thus $||T^n x - q_n|| = ||T^n x - p|| - hd$

Then $\inf_{n\in\mathbb{N}} \|T^nx - q_n\| = d - hd$ and so for any $\delta > 0$ there exists some N such that

$$\|T^N x - q_N\| \le d - hd + \delta$$

Proof cont.

But for all $i \ge N$ we have

$$\|T^{i}x - q_{N}\| \leq \|T^{N}x - q_{N}\| \leq d - hd + \delta$$

i.e. $T^{i}x \in B_{d-hd+\delta}[q_{N}]$.
Since $\|T^{i}x - p\| \geq d$ have $T^{i}x \in X \setminus B^{o}_{d}[p]$. Thus $i \geq N$ implies
 $T^{i}x \in B_{d-hd+\delta}[q_{N}] \cap (X \setminus B^{o}_{d}[p])$

But by the Lemma, for any $\varepsilon >$ 0 can find $\delta(\varepsilon) >$ 0 such that

$$\operatorname{diam}(B_{d-hd+\delta(\varepsilon)}[q] \cap (X \setminus B^o_d[p]) < \varepsilon$$

for any *q* with ||q - p|| = hd. In particular, setting $q := q_N$ for $\delta(\varepsilon)$, we have $i, j \ge N$ implies

$$\|T^{i}x - T^{j}x\| \leq \operatorname{diam}(B_{d-hd+\delta(\varepsilon)}[q] \cap (X \setminus B^{o}_{d}[p]) < \varepsilon$$

and thus $(T^n x)_{n \in \mathbb{N}}$ is Cauchy.

We are given $T : C \to C$ for $C \subseteq X$, and some $x \in C$.

Our assumptions are

- X uniformly convex
- $Int(Fix(T)) \neq \emptyset$
- $\lim_{n\to\infty} ||T^n x q|| = \inf_{n\in\mathbb{N}} ||T^n x q||$ for all $q \in \operatorname{Fix}(T)$

Our conclusion is

• $(T^n x)_{n \in \mathbb{N}}$ converges.

We will now examine each of these in turn from a **quantitative** point of view.

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Cauchy convergence of $(T^n x)_{n \in \mathbb{N}}$

Our aim is to produce a quantitative version of the Cauchy convergence of the Picard iterates:

$$\forall \varepsilon > \mathsf{O} \exists n \forall i, j \ge n(\|T^i x - T^j x\| \le \varepsilon)$$

Our first question: Can we hope to extract a direct rate of convergence i.e. a function $\phi(\varepsilon)$ such that

$$\forall \varepsilon > \mathsf{O} \exists n \le \phi(\varepsilon) \forall i, j \ge n(\|T^i x - T^j x\| \le \varepsilon)$$

Theorem ([Neumann, 2015, Kohlenbach, 2019])

Already for $X = \mathbb{R}$ there exists a nonexpansive mapping $T : [0,1] \to [0,1]$ (which can easily be extended to one with $Int(Fix(T)) \neq \emptyset$) such that $(T^n 0)_{n \in \mathbb{N}}$ has no computable rate of convergence.

The combination of negative translation and functional interpretation, when applied to the statement that $(T^n x)_{n \in \mathbb{N}}$ is Cauchy convergent, yields:

 $\forall \varepsilon > 0, g : \mathbb{N} \to \mathbb{N} \exists n \forall i, j \in [n, n + g(n)](\|T^i x - T^j x\| \le \varepsilon).$

Our aim will be to produce a rate of metastability for the Picard iterates i.e. a functional $\Omega(\varepsilon,g)$ such that

$$\forall \varepsilon > \mathsf{O}, g: \mathbb{N} \to \mathbb{N} \exists n \leq \Omega(\varepsilon, g) \forall i, j \in [n, n + g(n)](\|T^i x - T^j x\| \leq \varepsilon).$$

In addition to ε and g, Ω will also dependent on quantitative data from each of our assumptions.

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Moduli of uniform convexity

Recall the definition of uniform convexity:

$$\forall \varepsilon \in (0,2] \exists \delta > 0 \forall x, y \in B_1[0](\frac{1}{2} ||x+y|| \ge 1 - \delta \to ||x-y|| \le \varepsilon).$$

This can be given a quantitative form by considering a modulus of uniform convexity: This is a function $\Phi: (0,2] \to (0,1]$ satisfying

$$\forall \varepsilon \in (0,2] \ \forall x,y \in B_1[0] \left(\frac{1}{2} \|x+y\| \ge 1 - \Phi(\varepsilon) \to \|x-y\| \le \varepsilon\right). \tag{1}$$

Moduli of uniform convexity are **widely used** in proof mining, see [Kohlenbach, 2008, Chapter 17] for a more detailed discussion.

Example

For $X = L_p$ with $2 \le p < \infty$, a modulus of uniform convexity is given by

$$\Phi(\varepsilon) := \frac{\varepsilon^p}{p2^p}$$

A syntactical version of Edelstein/Steckin

We use uniform convexity in a very specific form:

Lemma

Suppose that X is uniformly convex. Then for any d>0 and $c,c'\in X$ satisfying $0<\|c-c'\|=hd< d$ where 0< h<1 we have

$$\lim_{\delta \to \infty} \operatorname{diam}(B_{d-hd+\delta}[c] \cap (X \setminus B_d^o[c'])) = 0$$

where the convergence is uniform in c, c'.

Actually, we identify the following syntactic, normalized version of the above:

$$\begin{aligned} \forall \varepsilon > \mathsf{0}, \forall h \in (\mathsf{0}, \frac{1}{2}) \exists \delta \forall y \in B_1[\mathsf{0}], u \in X \\ (\|u - hy\| \le 1 - h + \delta \land \|u\| \ge 1 \Rightarrow \|u - y\| \le \varepsilon) \end{aligned}$$

A computational interpretation of Edelstein/Steckin

Lemma

Suppose that $\Phi: (0,2] \to (0,1]$ is a modulus of uniform convexity for X, and define the functional $\Psi: (0,\frac{1}{2}) \times (0,4] \to (0,1]$ by

$$\Psi(h,\varepsilon):=\min\{\tfrac{\varepsilon}{2},2h\Phi(\tfrac{\varepsilon}{2})\}.$$

Then we have

$$\begin{aligned} \forall \varepsilon > 0, \forall h \in (0, \frac{1}{2}), y \in B_1[0], u \in X \\ (\|u - hy\| \le 1 - h + \Psi(h, \varepsilon) \land \|u\| \ge 1 \Rightarrow \|u - y\| \le \varepsilon) \end{aligned}$$

Example

For $X = L_p$ with $2 \le p < \infty$ we would have

$$\Psi(h,\varepsilon) = \min\left\{\frac{\varepsilon}{2}, 2h\frac{\varepsilon^p}{p2^p}
ight\} = \frac{h\varepsilon^p}{p2^{p-1}}$$

for $\varepsilon \in (0, 1)$.

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 $Int(Fix(T)) \neq \emptyset$ if there exists some $p \in Fix(T)$ and r > 0 such that $B_r^o[p] \subseteq Fix(T)$ i.e.

$$\forall x \in X(\underbrace{\|x-p\| <_{\mathbb{R}} r}_{\Sigma_{1}^{0}} \to \underbrace{\|Tx-x\| =_{\mathbb{R}} 0}_{\Pi_{1}^{0}})$$

The above is a *universal* statement, and thus has no computational content.

To summarise, we just need $p \in Fix(T)$ and r > 0 with $B_r^o[p] \subseteq Fix(T)$.

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Unlike uniform convexity, our third assumption doesn't have a direct precedent in proof mining, and neither can we (in general) give it a direct computational interpretation.

Let's forget mappings in Banach spaces for now, and just consider sequences $(x_n)_{n\in\mathbb{N}}$ of nonnegative reals.

Our first step is to establish a syntactic criterion which is equivalent to the statement

$$\lim_{n\to\infty}x_n=\inf_{n\in\mathbb{N}}x_n.$$

This statement clearly holds if $(x_n)_{n \in \mathbb{N}}$ is monotonically decreasing, but the converse is not true.

We will say that a sequence is asymptotically decreasing if it satisfies

 $\forall \varepsilon > 0, N \exists n \forall i \geq n(x_i \leq x_N + \varepsilon).$

This generalises the notion of (x_n) being monotonically decreasing.

Theorem

Let $(x_n)_{n \in \mathbb{N}}$ be a sequence of nonnegative reals. Then $(x_n)_{n \in \mathbb{N}}$ converges to its infimum iff it is asymptotically decreasing.

Proof.

A short exercise in elementary analysis!

A quantitative form of asymptotic decreasingness

We now consider a metastable formulation of the notion of being asymptotically decreasing

 $\forall \varepsilon > 0, N \exists n \forall i \geq n(x_i \leq x_N + \varepsilon).$

which corresponds to its classical functional interpretation:

$$\forall \varepsilon > 0, N, g : \mathbb{N} \to \mathbb{N} \exists n \forall i \in [n, n + g(n)] (x_i \leq x_N + \varepsilon).$$

We call $\Gamma(\varepsilon, g, N)$ a metastable rate of asymptotic decreasingness if

 $\forall \varepsilon > 0, N, g : \mathbb{N} \to \mathbb{N} \exists n \leq \Gamma(\varepsilon, g, N) \forall i \in [n, n + g(n)] (x_i \leq x_N + \varepsilon).$

For $(x_n)_{n\in\mathbb{N}}$ decreasing, $\Gamma(\varepsilon, g, N) := N$ works.

An interesting aside

We claimed that

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(x_n)_{n\in\mathbb{N}} asymptotically decreasing \Rightarrow (x_n)_{n\in\mathbb{N}} converges
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The following is a computational interpretation of this result.

Theorem (P.)

Let $(x_n)_{n \in \mathbb{N}}$ be a sequence of nonnegative reals bounded above by K, with a metastable rate of asymptotic decreasingness Γ . Define

$$\Omega(\varepsilon,g) := \Gamma^*(\tfrac{\varepsilon}{2},g,f^{\lceil 2K/\varepsilon \rceil}(\mathbf{0}))$$

where

• $f(j) := \Gamma^*(\frac{\varepsilon}{2}, g, j) + g^*(\Gamma^*(\frac{\varepsilon}{2}, g, j))$

• $g^*(j) := \max_{i \leq j} \{j, g(i)\}$ and $\Gamma^*(\frac{\varepsilon}{2}, g, j) := \max_{i \leq j} \{j, \Gamma(\frac{\varepsilon}{2}, g, i)\}.$

Then Ω is a rate of metastability for $(x_n)_{n \in \mathbb{N}}$ i.e.

$$\forall \varepsilon > \mathsf{O}, g : \mathbb{N} \to \mathbb{N} \exists n \leq \Omega(\varepsilon, g) \forall i, j \in [n, n + g(n)](|x_i - x_j| \leq \varepsilon).$$

A quantitative version of our third assumption

We are now ready to give a quantitative formulation to the statement

$$\lim_{n \to \infty} \|T^n x - q\| = \inf_{n \in \mathbb{N}} \|T^n x - q\| \quad \text{for all } q \in Fix(T)$$

In addition, we now demand a *uniformity* assumption.

Let $p \in X$ and r > 0 with $B_r[p] \in Fix(T)$, and suppose that $||x - p|| \le K$. We call $\Gamma(K, r, \varepsilon, g, N)$ a *uniform* metastable rate of asymptotic decreasingness for $(||T^nx - q||)_{n \in \mathbb{N}}$ if

$$\forall \varepsilon > 0, g : \mathbb{N} \to \mathbb{N}, N \exists n \le \Gamma(K, r, \varepsilon, g, N) \forall i \in [n, n + g(n)]$$
$$(\|T^{i}x - q\| \le \|T^{N}x - q\| + \varepsilon)$$

for all $q \in B_r[p]$.

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Main result

Theorem (P.)

Let X be a Banach space, $T: C \rightarrow C$ a mapping and $x \in C.$ Suppose that

- $B_r[p] \subseteq Fix(T)$ for $p \in X$ with $||x p|| \le K$ and r > 0;
- Φ is a modulus of uniform convexity for X;
- Γ is a metastable rate of asymptotic decreasingness for $(||T^nx q||)_{n \in \mathbb{N}}$ uniform for $q \in B_r[p]$.

Then

$$\forall \varepsilon > \mathsf{O}, g: \mathbb{N} \to \mathbb{N} \exists n \leq \Omega(\Phi, \Gamma, K, r, \varepsilon, g) \forall i, j \in [n, n + g(n)](\|T^i x - T^j x\| \leq \varepsilon)$$

for Ω defined as follows:

- $\Omega(\Phi, \Gamma, K, r, \varepsilon, g) := \Gamma^*(K, r, \eta, g, f^{(\lceil K/\eta \rceil)}(\mathbf{0}));$
- $f(j) := \Gamma^*(K, r, \eta, g, j) + g^*(\Gamma^*(K, r, \eta, g, j));$
- $\eta := \frac{r}{4} \cdot \min\{1, \Psi(\min\{\frac{1}{4}, \frac{r}{K}\}, \frac{\varepsilon}{2K})\};$
- $\Psi(h,\varepsilon') := \min\{\frac{\varepsilon'}{2}, 2h\Phi(\frac{\varepsilon'}{2})\}.$

In the case where T is nonexpansive

Corollary (P.)

Let X be a Banach space, $T: C \rightarrow C$ a nonexpansive mapping and $x \in C$. Suppose that

- $B_r[p] \subseteq Fix(T)$ for $p \in X$ with $||x p|| \le K$ and r > 0;
- Φ is a modulus of uniform convexity for X;

Then

 $\forall \varepsilon > 0, g : \mathbb{N} \to \mathbb{N} \exists n \le \Omega(\Phi, \Gamma, K, r, \varepsilon, g) \forall i, j \in [n, n + g(n)](\|T^i x - T^j x\| \le \varepsilon)$

for Ω defined as follows:

- $\Omega(\Phi, K, r, \varepsilon, g) := f^{(\lceil K/\eta \rceil)}(0);$
- $f(j) := j + g^*(j);$
- $\eta := \frac{r}{4} \cdot \min\{1, \Psi(\min\{\frac{1}{4}, \frac{r}{K}\}, \frac{\varepsilon}{2K})\};$
- $\Psi(h,\varepsilon') := \min\{\frac{\varepsilon'}{2}, 2h\Phi(\frac{\varepsilon'}{2})\}.$

Asymptotic regularity of the Picard iterates

If the Picard iterates converge, then in particular, they must be asymptotically regular:

$$\forall \varepsilon > \mathsf{O} \exists n \forall i \geq n(\|T^{i+1}x - T^ix\| \leq \varepsilon).$$

In the case that T is nonexpansive, asymptotic regularity is equivalent to the following $\forall \exists$ statement:

$$\forall \varepsilon > \mathsf{O} \exists n \left(\|T^{n+1}x - T^nx\| \le \varepsilon \right).$$

This would suggest it is possible to extract a *direct* rate of asymptotic regularity in our setting i.e. a function $f(\varepsilon)$ such that

$$\forall \varepsilon > 0, i \ge f(\varepsilon)(\|T^{i+1}x - T^{i}x\| \le \varepsilon).$$

A rate of asymptotic regularity

Theorem (P.)

Let X be a Banach space, $T: C \rightarrow C$ a nonexpansive mapping and $x \in C$. Suppose that

- $B_r[p] \subseteq Fix(T)$ for $p \in X$ with $||x p|| \le K$ and r > 0;
- Φ is a modulus of uniform convexity for X;

Then

$$\forall \varepsilon > \mathbf{0}, i \ge f(\varepsilon)(\|\boldsymbol{T}^{i+1}\boldsymbol{x} - \boldsymbol{T}^{i}\boldsymbol{x}\| \le \varepsilon)$$

where

- $f(\varepsilon) := \lceil K/\eta \rceil;$ • $\eta := \frac{r}{4} \cdot \min\{1, \Psi(\min\{\frac{1}{4}, \frac{r}{K}\}, \frac{\varepsilon}{2K})\};$
- $\Psi(h,\varepsilon') := \min\{\frac{\varepsilon'}{2}, 2h\Phi(\frac{\varepsilon'}{2})\}.$

Theorem (P.)

Let $T : C \to C$ be a nonexpansive mapping for $C \subseteq L^p$ and $x \in C$. Suppose that $B_r[p'] \subseteq Fix(T)$ for $p' \in X$ with $||x - p'|| \leq K$ and r > 0. Then

$$\forall \varepsilon > 0, i \ge f(\varepsilon)(\|T^{i+1}x - T^ix\| \le \varepsilon)$$

where

$$f(\varepsilon) := \left\lceil \frac{p \cdot 2^{3p+1} \cdot K^{p+2}}{\varepsilon^p \cdot r^2} \right\rceil$$

Note that this is a *purely mathematical* result. There is no mention of proof interpretations, higher-order functionals, metastability etc.

Asymptotically nonexpansive mappings

Lemma (P.)

Suppose that $T: C \to C$ is asymptotically nonexpansive i.e. there exists some $\mu_n \to 1$ such that

$$||T^nx-T^ny|| \le \mu_n ||x-y||$$

for all $x, y \in C$.

Suppose, moreover, that $(\mu_n)_{n\in\mathbb{N}}$ is decreasing and has a rate of convergence $c(\delta)$ i.e.

 $\forall \delta > \mathsf{O}(\mu_{\mathsf{c}(\delta)} \leq \mathbf{1} + \delta)$

Then

$$\Gamma(K, r, \varepsilon, N) := N + c\left(\frac{\varepsilon}{\mu_0(K+r)}\right)$$

is a direct rate of asymptotic decreasingness for $(||T^nx - q||)_{n \in \mathbb{N}}$ uniform for $q \in B_r[p]$, where $||x - p|| \leq K$.

One final corollary

Theorem (P.)

Let X be a Banach space, $T : C \to C$ an asymptotically nonexpansive mapping relative to some decreasing $(\mu_n)_{n \in \mathbb{N}}$, and $x \in C$. Suppose that

- c is a rate of convergence of $(\mu_n)_{n\in\mathbb{N}}$
- $B_r[p] \subseteq Fix(T)$ for $p \in X$ with $||x p|| \le K$ and r > 0;
- Φ is a modulus of uniform convexity for X;

Then

 $\forall \varepsilon > 0, g : \mathbb{N} \to \mathbb{N} \exists n \le \Omega(c, \Gamma, K, r, \varepsilon, g) \forall i, j \in [n, n + g(n)](\|T^i x - T^j x\| \le \varepsilon)$

for Ω defined as follows:

- $\Omega(c, \Phi, K, r, \varepsilon, g) := (f_{\omega})^{(\lceil K/\eta \rceil)}(0) + \omega;$ • $f_{\omega}(j) := j + \omega + g^*(j + \omega);$
- $\omega := c \left(rac{\eta}{\mu_0(K+r)} \right);$
- $\eta := \frac{r}{4} \cdot \min\{1, \Psi(\min\{\frac{1}{4}, \frac{r}{K}\}, \frac{\varepsilon}{2K})\};$
- ${\boldsymbol{\cdot}} \ \Psi(h,\varepsilon'):=\min\{\tfrac{\varepsilon'}{2},2h\Phi(\tfrac{\varepsilon'}{2})\}.$

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References

Thank you!

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