

A NOTE ON KÖNIG'S MINIMAX THEOREM

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Recently G. Kassay [1] published an elementary proof of König's minimax theorem [2]. His method seems to be an interesting mixture of both of the so-called methods of level sets and cones, respectively. Formally, König's theorem is an extension of Ky Fan's classical minimax theorem [3] by restricting convexity to diadic rational convexity. It is well-known [4] that Ky Fan's theorem can be deduced from the Brézis–Nirenberg–Stampacchia level set minimax theorem by a function lifting. It is an old open question whether there is a short direct connection between König's and Ky Fan's minimax theorems.

The aim of this note is to show that the mentioned function lifting in [4] transforms a König-type saddle function into a Ky Fan-type saddle function with the same minimax values. A careful analysis of the proof of this fact leads also to new generalizations of König's theorem, which seem not be provable with a simple adaptation of Kassay's method.

Finally we remark that the question of König-type generalizations of M. Sion's minimax theorem [5] is still open.

1. On the continuity of convex functions

Throughout this section let V denote an arbitrary vector space and let τ be the finest locally convex topology on V . It is immediate that the absorbing convex subsets of V form a neighbourhood basis of 0 for τ . We say that a subset $S \subset V$ is a *simplex* in V if S is the convex hull of a set $B \subset V$ such that the system $\{b - b_0 : b \in B, b \neq b_0\}$ is linearly independent for all $b_0 \in B$.

1.1. LEMMA. *Assume S is a simplex in V , K is a convex subset of S and $x \in K$. Then the following statements are equivalent:*

- (i) *K is a neighbourhood of x in the relative topology of τ on S ,*
- (ii) *$\{v \in V : \exists \varepsilon > 0, x + \varepsilon v \in K\} = \{v \in V : \exists \varepsilon > 0, x + \varepsilon v \in S\}$.*

PROOF. By shifting a suitable vertex of S into the origin and restricting ourselves to the subspace spanned by S , we may assume without loss of generality that $S = \text{co}(B \cup \{0\})$ the convex hull of some Hamel basis B of V with the origin and $x = \sum_{i=1}^n \beta_i b_i$ for some $b_1, \dots, b_n \in B$ and

$\beta_1, \dots, \beta_n > 0$ with $\sum_{i=1}^n \beta_i = 1$. Let us write

$$C_0 := \{b_i - x : i = 1, \dots, n-1\}, \quad C_1 := \{b - x : b \in B \setminus \{b_1, \dots, b_n\}\}.$$

Then $C := \{-x\} \cup C_0 \cup C_1$ is again a Hamel basis of V and

$$(1.2) \quad \{v \in V : \exists \varepsilon > 0, x + \varepsilon v \in S\} = \text{co}((\mathbf{R}_+ C) \cup (-\mathbf{R}_+ C_0)).$$

Therefore for each $c \in C$ there exists $\varepsilon(c) > 0$ with $x + [0, \varepsilon(c)]c \subset K$ for $c \in C \setminus C_0$ and $x + [-\varepsilon(c), \varepsilon(c)]c \subset K$ for $c \in C_0$. Define

$$U := \text{co}\left(\bigcup_{c \in C} [-\varepsilon(c), \varepsilon(c)]c + x\right).$$

Since C is a Hamel basis of V , U is a convex τ -neighbourhood of x and

$$U = \left\{x + \sum_{c \in C} \lambda_c c : (c \mapsto \lambda_c) \in \Lambda, \sum_{c \in C} |\lambda_c|/\varepsilon(c) \leq 1\right\}$$

where $\Lambda := \{\text{functions } C \rightarrow \mathbf{R} \text{ with finite support}\}$. By (1.2) we obtain

$$\begin{aligned} U \cap S &= \left\{x + \sum_{c \in C} \lambda_c c : (c \mapsto \lambda_c) \in \Lambda, \lambda_c \geq 0 (c \in C), \sum_{c \in C} \lambda_c/\varepsilon(c) \leq 1\right\} = \\ &= \text{co}\left(\bigcup_{c \in C} [0, \varepsilon(c)]c + x\right). \end{aligned}$$

Since $x, \varepsilon(c)c + x \in K$ ($c \in C$), we have $U \cap S \subset K$ which completes the proof.

1.3. COROLLARY. *If $\{g_i : i \in \mathcal{I}\}$ is a family of affine functions on V such that the function $f := \sup_{i \in \mathcal{I}} g_i$ is finite on the simplex S then f is continuous on S with respect to the relative topology of τ .*

PROOF. First of all remark that convex functions of one real variable are always upper semicontinuous. Hence, for any $x \in S, \eta > 0$ and $u \in \{v \in V : \exists \varepsilon > 0, x + \varepsilon v \in S\}$ there exists $\varepsilon > 0$ such that $f(x + \xi u) < \eta + f(x)$ for all $\xi \in [0, \varepsilon]$. Thus the convex level sets $K_\gamma := \{x \in S : f(x) < \gamma\}$ are all open in the relative topology of τ on S by 1.1. That is, the function f is upper semicontinuous. On the other hand, affine functions are all τ -continuous on V . Hence f as the supremum of a family of continuous functions is lower semicontinuous on S in the relative topology of τ .

2. König-convex and Ky Fan-convex mappings

2.1. DEFINITION. Let E be an ordered vector space and Z be any set. We say that a mapping $\Phi : Z \rightarrow E$ is *König-convex* if for every $z_1, z_2 \in Z$ there exists $z \in Z$ with $\Phi(z) \leq (1/2)\Phi(z_1) + (1/2)\Phi(z_2)$. The mapping Φ is said to be *Ky Fan-convex* if for every $z_1, z_2 \in Z$ and $t \in [0, 1]$ there exists $z \in Z$ with $\Phi(z) \leq (1-t)\Phi(z_1) + t\Phi(z_2)$. If $-\Phi$ is König-convex (resp. Ky Fan-convex) then we say that Φ is *König-concave* (resp. *Ky Fan-concave*).

Throughout the whole work we write \mathcal{D} for the field of diadic rationals.

2.2. LEMMA. *If $\Phi : Z \rightarrow E$ is König-convex then for every finite sequence $z_1, \dots, z_n \in Z$ and $0 \leq \delta_1, \dots, \delta_n \in \mathcal{D}$ with $\sum_{i=1}^n \delta_i = 1$ there exists $z \in Z$ with $\Phi(z) \leq \sum_{i=1}^n \delta_i \Phi(z_i)$.*

PROOF. Define $\bar{Z} := \{\text{functions } Z \rightarrow \mathbf{R} \text{ with finite support}\}$ and

$$\bar{\Phi}(\bar{z}) := \sum_{z \in Z} \bar{z}(z)\Phi(z) \quad (\bar{z} \in \bar{Z}).$$

Let $\bar{T} := \{\bar{z} \in \bar{Z} : \exists z \in Z, \Phi(z) \leq \bar{\Phi}(\bar{z})\}$. We have to prove that

$$(2.3) \quad \bar{T} \supset \left\{ \bar{z} \in \bar{Z} : \text{range}(\bar{z}) \subset \mathcal{D}, \bar{z} \geq 0, \sum_{z \in Z} \bar{z}(z) = 1 \right\}.$$

By writing 1_z for the characteristic function of the set $\{z\}$, we have $1_z \in \bar{T}$ because $\bar{\Phi}(1_z) = \Phi(z)$ ($z \in Z$). Furthermore, if $\bar{z}_1, \bar{z}_2 \in \bar{Z}$ then for some $z_1, z_2 \in Z$ we have $\bar{\Phi}(\bar{z}_i) \leq \sum_{z \in Z} \bar{z}_i(z)\Phi(z)$ ($i = 1, 2$). Since Φ is König-convex, hence there exists $z_3 \in Z$ with

$$\Phi(z_3) \leq \frac{1}{2}\Phi(z_1) + \frac{1}{2}\Phi(z_2) \leq \sum_{z \in Z} \left(\frac{1}{2}\bar{z}_1(z) + \frac{1}{2}\bar{z}_2(z) \right) \Phi(z).$$

Thus $\bar{T} \supset (1/2)\bar{T} + (1/2)\bar{T}$ and $1_z \in \bar{T}$ ($z \in Z$) whence 2.3 is immediate.

2.4. LEMMA. *Let E be a function space (with its natural ordering) and let Z be a compact topological space. Assume $\Phi : Z \rightarrow E$ is a lower semicontinuous¹ König-convex mapping. Then Φ is necessarily Ky Fan-convex.*

PROOF. Fix any $z_0, z_1 \in Z$. By 2.2, for every $\delta \in \mathcal{D} \cap [0, 1]$ there exists $z_\delta \in Z$ such that $\Phi(z_\delta) \leq (1-\delta)\Phi(z_0) + \delta\Phi(z_1)$. Given any $t \in [0, 1]$,

¹ I.e. if $E \subset \{\text{functions } \Omega \rightarrow \mathbf{R}\}$ then for each fixed $\omega \in \Omega$ the function $z \mapsto \Phi(z)(\omega)$ is lower semicontinuous on Z .

choose a sequence $\delta_1, \delta_2, \dots \in \mathcal{D} \cap [0, 1]$ such that $t = \lim_{n \rightarrow \infty} \delta_n$. By the compactness of the space Z , there exists an index net $(n_i : i \in \mathcal{I})$ with $\lim_{i \in \mathcal{I}} z_{\delta_{n_i}} = z^*$ for some $z^* \in Z$. Then

$$\begin{aligned} \Phi(z^*) &\leq \liminf_{i \in \mathcal{I}} \Phi(z_{\delta_{n_i}}) \leq \liminf_{i \in \mathcal{I}} [(1 - \delta_{n_i})\Phi(z_0) + \delta_{n_i}\Phi(z_1)] \leq \\ &\leq (1 - t)\Phi(z_0) + t\Phi(z_1). \end{aligned}$$

3. König's theorem via Ky Fan's minimax theorem

3.1. DEFINITION. Henceforth let X denote a compact topological space, Y a non-empty set and let F be a function $X \times Y \rightarrow \mathbf{R}$. We write E_X (resp. E_Y) for the space of all real functions on X (resp. Y). We denote by τ_X the finest locally convex topology on the subspace $\bar{X} := \{\bar{x} : \text{supp}(\bar{x}) \text{ finite}\}$ and we embed the set X into \bar{X} by identifying each point $x \in X$ with its characteristic function 1_x . In accordance with this embedding, we denote the simplex $\{\bar{x} \in \bar{X} : \bar{x} \geq 0, \sum_{x \in X} \bar{x}(x) = 1\}$ by $\text{co}(X)$. The objects $\bar{Y}, \tau_Y, \text{co}(Y)$ are defined analogously.

We say that the function f is of *König-type* if the mapping $x \mapsto f(x, \cdot)$ is König-concave and upper semicontinuous from X into the function space E_Y (see footnote ¹) and $y \mapsto f(\cdot, y)$ is König-convex from Y into E_X .

Similarly we speak of functions of *Ky Fan-type* when replacing König-convexity (concavity) in the above definition by Ky Fan-convexity (concavity).

Finally we shall write shortly $\inf \sup f$ (resp. $\sup \inf f$) instead of $\inf_{y \in Y} \sup_{x \in X} f(x, y)$ (resp. $\sup_{x \in X} \inf_{y \in Y} f(x, y)$).

3.2. PROPOSITION. *Let $f : X \times Y \rightarrow \mathbf{R}$ be a function of König-type. Then the lifted function $\bar{f} : X \times \text{co}(Y) \rightarrow \mathbf{R}$ defined by*

$$\bar{f}(x, \bar{y}) := \sum_{y \in Y} \bar{y}(y) f(x, y) \quad (x \in X, \bar{y} \in \text{co}(Y))$$

is of Ky Fan-type and it satisfies

$$\inf \sup \bar{f} = \inf \sup f, \quad \sup \inf \bar{f} = \sup \inf f.$$

PROOF. For any $x \in X$, clearly $\inf_{\bar{y} \in \text{co}(Y)} \bar{f}(x, \bar{y}) = \inf_{y \in Y} f(x, y)$. Hence $\sup \inf \bar{f} = \sup \inf f$.

We have also $\inf \sup f = \inf_{y \in Y} \sup_{x \in X} \bar{f}(x, 1_y) \geq \inf \sup \bar{f}$.

To prove the converse inequality, notice that $\text{co}(Y)$ is a simplex in \bar{Y} and for any $x \in X$, the function $g_x : \bar{y} \mapsto \sum_{y \in Y} \bar{y}(y) f(x, y)$ is affine on \bar{Y} . Moreover, if $\bar{y} \in \text{co}(Y)$ and $\text{supp}(\bar{y}) = \{y_1, \dots, y_n\}$ then

$$g_x(\bar{y}) = \sum_{i=1}^n \bar{y}(y_i) f(x, y_i) \leq \sum_{i=1}^n \max_{x' \in X} f(x', y_i) < \infty \quad (x \in X)$$

since, for any fixed $y \in Y$, the function $x' \mapsto f(x', y)$ is upper semicontinuous on the compact space X . Thus we may apply 1.3 to conclude that the function $\bar{y} \mapsto \sup_{x \in X} \bar{f}(x, \bar{y})$ is convex and continuous when restricted to any finite dimensional affine section of $\text{co}(Y)$. Fix again an arbitrary $\bar{y} \in \text{co}(Y)$ and let $\text{supp}(\bar{y}) = \{y_1, \dots, y_n\}$. Given any $\varepsilon > 0$, we can choose diadic rationals $\delta_1, \dots, \delta_n \geq 0$ with $\sum_{i=1}^n \delta_i = 1$ such that

$$\sup_{x \in X} \bar{f}\left(x, \sum_{i=1}^n \delta_i 1_{y_i}\right) \leq \sup_{x \in X} \bar{f}(x, \bar{y}) + \varepsilon.$$

Since the mapping $y \mapsto f(\cdot, y)$ is supposed to be König-convex, by 2.2 there exists $y^* \in Y$ with

$$f(\cdot, y^*) \leq \sum_{i=1}^n \delta_i f(\cdot, y_i) = \bar{f}\left(\cdot, \sum_{i=1}^n \delta_i 1_{y_i}\right).$$

Therefore

$$\inf \sup f = \sup_{x \in X} f(x, y^*) \leq \sup_{x \in X} \bar{f}(x, \bar{y}) + \varepsilon.$$

By the arbitrariness of $\bar{y} \in \text{co}(Y)$ and $\varepsilon > 0$, hence $\inf \sup f \leq \sup \inf \bar{f}$.

By 2.4, the mapping $x \mapsto f(x, \cdot)$ is also Ky Fan-concave. Hence, given any $t \in [0, 1]$, $x_0, x_1 \in X$, there exists $x_t \in X$ with

$$f(x_t, y) \geq (1 - t)f(x_0, y) + tf(x_1, y) \quad (y \in Y).$$

If $\bar{y} \in \text{co}(Y)$ then

$$\bar{f}(x_t, \bar{y}) = \sum_{y \in Y} \bar{y}(y) f(x_t, y) \geq$$

$$\geq \sum_{y \in Y} \bar{y}(y) [(1 - t)f(x_0, y) + tf(x_1, y)] = (1 - t)\bar{f}(x_0, \bar{y}) + t\bar{f}(x_1, \bar{y}).$$

Thus the mapping $x \mapsto \bar{f}(x, \cdot)$ is Ky Fan-concave $X \rightarrow E_{\text{co}(Y)}$.

For any fixed $\bar{y} \in \text{co}(Y)$ the function $\bar{f}(\cdot, \bar{y}) = \sum_{y \in Y} \bar{y}(y) f(\cdot, y)$ is a finite convex combination of upper semicontinuous functions on X . Thus the mapping $x \mapsto \bar{f}(x, \cdot)$ is upper semicontinuous $X \rightarrow E_{\text{co}(Y)}$.

Finally the mapping $\bar{y} \mapsto \bar{f}(\cdot, \bar{y})$ is affine $\text{co}(Y) \rightarrow E_X$, whence it is in particular also Ky Fan-convex.

3.3. COROLLARY (König's theorem [2]). *If $f : X \times Y \rightarrow \mathbf{R}$ is a function of König-type then $\inf \sup f = \sup \inf f$.*

PROOF. We may apply Ky Fan's minimax theorem to the function \bar{f} in 3.2. Hence $\inf \sup \bar{f} = \sup \inf \bar{f}$.

4. Generalizations

Throughout this section let X, Y denote two non-void sets, let f be a function $X \times Y \rightarrow \mathbf{R}$. We shall keep the notations $\bar{X}, \tau_X, \text{co}(X)$ resp. $\bar{Y}, \tau_Y, \text{co}(Y)$ established in 3.1. We denote by \bar{f} the affine lifting

$$\bar{f}(x, \bar{y}) := \sum_{y \in Y} \bar{y}(y) f(x, y) \quad (x \in X, \bar{y} \in \text{co}(Y))$$

of the function f in the second variable to $X \times \text{co}(Y)$.

4.1. PROPOSITION. *Assume the function $f : X \times Y \rightarrow \mathbf{R}$ has the following properties:*

- (i) $\sup_{x \in X} f(x, y) < \infty \quad (y \in Y)$,
- (ii) *the set $\{\bar{y} \in \text{co}(Y) : \exists y \in Y f(\cdot, y) \leq \bar{f}(\cdot, \bar{y})\}$ is dense in $\text{co}(Y)$ with respect to τ_Y .*

Then we have $\inf \sup \bar{f} = \inf \sup f$ and $\sup \inf \bar{f} = \sup \inf f$.

PROOF. The simple arguments at the beginning of the proof of 3.2 show that $\sup \inf \bar{f} = \sup \inf f$ and $\inf \sup f \geq \inf \sup \bar{f}$.

Since $\text{co}(Y)$ is a simplex in \bar{Y} and since the family $\{\bar{f}(x, \cdot) : x \in X\}$ of affine functions on X is bounded from above (by assumption (i)) for each $\bar{y} \in \text{co}(Y)$, it follows from 1.3 that the function $\text{co}(Y) \ni \bar{y} \mapsto \sup_{x \in X} \bar{f}(x, \bar{y})$ is continuous with respect to the topology τ_Y . Then, given any $\varepsilon > 0$ and $\bar{y} \in \text{co}(Y)$, by assumption (ii) there exist $y^* \in Y$ and $\bar{y}^* \in \text{co}(Y)$ with

$$\sup_{x \in X} \bar{f}(x, \bar{y}^*) \leq \sup_{x \in X} \bar{f}(x, \bar{y}) + \varepsilon \quad \text{and} \quad f(\cdot, y^*) \leq \bar{f}(\cdot, \bar{y}^*).$$

Thus $\inf \sup f \leq \sup_{x \in X} f(\cdot, y^*) \leq \sup_{x \in X} \bar{f}(x, \bar{y}^*) \leq \sup_{x \in X} \bar{f}(x, \bar{y}) + \varepsilon$ for every $\bar{y} \in \text{co}(Y)$ and $\varepsilon > 0$. This implies $\inf \sup f \leq \inf \sup \bar{f}$.

4.2. THEOREM. *Let X be a compact topological space, Y an abstract set and $f : X \times Y \rightarrow \mathbf{R}$ be a function satisfying 4.1(ii) and such that the mapping $x \mapsto f(x, \cdot)$ is Ky Fan-concave and upper semicontinuous (cf. footnote ¹). Then $\inf \sup f = \sup \inf f$.*

PROOF. The lifted function $\bar{f} : X \times \text{co}(Y) \rightarrow \mathbf{R}$ is of Ky Fan-type (for definition see 3.1). Hence, by Ky Fan's minimax theorem $\inf \sup \bar{f} = \sup \inf \bar{f}$. Since for every fixed $y \in Y$, the function $x \mapsto f(x, y)$ is upper semicontinuous on the compact space X , also 4.1(i) holds. Thus, by 4.1, also $\inf \sup f = \inf \sup \bar{f} = \sup \inf \bar{f} = \sup \inf f$.

4.3. REMARK. Several equivalent but seemingly weaker formulations can be given for the conditions of 4.2.

(i) The Ky Fan-concavity of $x \mapsto f(x, \cdot)$ can be replaced by König-concavity in view of 2.4.

(ii) Observe that, by writing $\mathcal{M}_Y := \{\text{functions } Y \rightarrow (0, \infty)\}$, the family of all figures

$$U_\mu := \left\{ \bar{y} \in \bar{Y} : \sum_{y \in Y} |\bar{y}(y)| \mu(x) < 1 \right\} \quad (\mu \in \mathcal{M}_Y)$$

forms a neighbourhood basis of 0 for the topology τ_Y on the space \bar{Y} . Therefore condition 4.1(ii) can be formulated elementarily as follows:

For every finite family $\{y_1, \dots, y_n\} \subset Y$ and $t_1, \dots, t_n \geq 0$ with $\sum_{i=1}^n t_i = 1$ and for every $\mu \in \mathcal{M}_Y$ there exist $y^* \in Y$ and $\{(y_i', t_i') : i = 1, \dots, n'\} \subset Y \times \mathbf{R}_+$ such that $n' \geq n$, $y_i' = y_i$ ($i = 1, \dots, n$), $\sum_{i=1}^{n'} t_i' = 1$,

$$f(\cdot, y^*) \leq \sum_{i=1}^{n'} t_i' f(\cdot, y_i') \quad \text{and} \quad \sum_{i \leq n} |t_i - t_i'| \mu(y_i) + \sum_{i > n} t_i' \mu(y_i') < 1.$$

4.4. COROLLARY. *If X is a compact space, Y is a set and $f : X \times Y \rightarrow \mathbf{R}$ is a function such that*

$\{\bar{y} \in \text{co}(Y) : \exists y^ \in Y, f(\cdot, y^*) \leq \sum_{y \in Y} \bar{y}(y) f(\cdot, y)\}$ is dense in $\text{co}(Y)$ with respect to the topology τ_Y ,*

$\{\bar{x} \in \text{co}(X) : \exists x^ \in X, f(\cdot, x^*) \geq \sum_{x \in X} \bar{x}(x) f(x, \cdot)\}$ is dense in $\text{co}(X)$ with respect to the topology τ_X and the mapping $x \mapsto f(x, \cdot)$ is continuous (cf. footnote ¹) then $\inf \sup f = \sup \inf f$.*

PROOF. In view of 4.3(i) we need only to verify the König concavity of $x \mapsto f(x, \cdot)$.

Let $x_1, x_2 \in X$ be arbitrarily fixed. We have to find $x^* \in X$ such that $f(x^*, y) \geq (f(x_1, y) + f(x_2, y))/2$ for all $y \in Y$.

Given any $\varepsilon > 0$ and finite subset $F \subset Y$, define

$$\mu_{\varepsilon, F}(x) := \sum_{y \in F} \max |f(x, y)| / \varepsilon \quad (x \in X).$$

By the continuity of the mapping $x \mapsto f(x, \cdot)$, the function $\mu_{\varepsilon, F}$ belongs to \mathcal{M}_X (for definition see 4.3(ii)). By assumption, we can choose $x_{\varepsilon, F} \in X$ and $\bar{x}_{\varepsilon, F} \in \text{co}(X)$ such that

$$f(\bar{x}_{\varepsilon, F}, \cdot) \geq \sum_{x \in X} \bar{x}_{\varepsilon, F}(x) f(x, \cdot) \quad \text{and} \quad \bar{x}_{\varepsilon, F} - x^* \in U_{\mu_{\varepsilon, F}}$$

where $\bar{x}^* := (1/2)1_{x_1} + (1/2)1_{x_2}$ and $U_{\mu_{\varepsilon},f}$ denotes the τ_X -neighbourhood of 0 defined in 4.3(ii). It follows from the definition of $U_{\mu_{\varepsilon},f}$ that

$$\begin{aligned} & \left| \sum_{x \in X} \bar{x}_{\varepsilon,F}(x) f(x, y) - \sum_{x \in X} \bar{x}^*(x) f(x, y) \right| \leq \\ & \leq \sum_{x \in X} |\bar{x}_{\varepsilon,F}(x) - \bar{x}^*(x)| \max |f(\cdot, y)| \leq \varepsilon \quad (y \in F). \end{aligned}$$

In particular

$$\begin{aligned} f(x_{\varepsilon,F}, y) & \geq \sum_{x \in X} \bar{x}_{\varepsilon,F}(x) f(x, y) \geq \sum_{x \in X} \bar{x}^*(x) f(x, y) - \varepsilon = \\ & = \frac{1}{2} f(x_1, y) + \frac{1}{2} f(x_2, y) - \varepsilon \quad (y \in F). \end{aligned}$$

If x^* is an accumulation point (with respect to the topology of X) of the net $(x_{\varepsilon,F} : \varepsilon > 0, F \text{ finite } \subset Y)$ then, by the continuity of the functions $x \mapsto f(x, y)$ ($y \in Y$) on the space X , we have $f(x^*, y) \geq (f(x_1, y) + f(x_2, y)) / 2$ for all $y \in Y$.

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