

SOME APPLICATIONS OF TWO MINIMAX THEOREMS

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In this note, we present further applications of two results of Ricceri ([3, Theorem 1.1]) and [4, Theorem 2.4]). In particular, we prove the following: Let (T, \mathcal{F}, μ) be a finite non-atomic measure space, let $[c, d] \subset \mathbf{R}$ be a compact interval and let $\omega, \psi : [c, d] \rightarrow [0, +\infty[$ be two continuous concave functions such that $\omega(d) = 0$, $\psi(c) < \psi(d)$ and

$$\sup_{x \in]c, d[} \frac{\omega(x)}{\psi(x)} = 1 .$$

Set

$$\delta := \frac{\omega(c)}{\psi(d) - \psi(c)}$$

and, if $\psi(c) > 0$, assume that

$$\sqrt{\delta^2 + 1} - \delta \leq \frac{\omega(c)}{\psi(c)} .$$

Denote by X the set of all measurable functions $u : T \rightarrow]c, d[$. Then, we have

$$\inf_{u \in X} \left(\frac{(\int_T \omega(u(t)) d\mu)^2 + (\int_T \psi(u(t)) d\mu)^2}{\int_T \psi(u(t)) d\mu} \right) = 2\mu(T) \delta (\sqrt{\delta^2 + 1} - \delta) \psi(d) .$$

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1. Introduction and preliminaries

Let X, Y be two topological spaces and $f : X \times Y \rightarrow \mathbf{R}$ be a given function. In [2], Ricceri obtained the equality $\sup_Y \inf_X = \inf_X \sup_Y$ assuming, for the first time, that the sub-level sets of $f(\cdot, y)$ are connected. However, because of the great generality of such an assumption, a price has necessarily to be paid: Y must be a real interval. In any case, despite such a restriction, Ricceri's result has successfully been applied to obtain many significant consequences. In particular, in [3] and [4], Ricceri applied his minimax theorem to two specific classes of functions: the functions of the type $\varphi + \psi$, where φ is a non-zero continuous linear functional on a Banach space and ψ is a Lipschitzian functional whose Lipschitz constant is equal to the norm of φ ; functionals on L^p spaces. In turn, consequences of the results of [3] and [4] have been obtained very recently by D. Giandinoto in [1].

The aim of this note is to present new applications of the results of [3] and [4], in the spirit of the ones of [1].

2. Infimum of certain functionals on Banach spaces

Throughout this section, X is a real Banach space whose norm is denoted by $\|\cdot\|$, $\varphi : X \rightarrow \mathbf{R}$ is a non-zero continuous linear functional and $\psi : X \rightarrow \mathbf{R}$ is a Lipschitzian functional whose Lipschitzian constant L is equal to $\|\varphi\|_{X^*}$, X^* being the dual space of X whose norm is denoted by $\|\cdot\|_{X^*}$.

Now, we will apply the following result established in [4] with concrete examples :

Theorem 2.1. *Let $\gamma : [-1, 1] \rightarrow \mathbf{R}$ be a continuous function which is derivable in $] -1, 1[$. Assume that γ' is strictly increasing in $] -1, 1[$, with $\gamma'(-1, 1) = \mathbf{R}$. Denote by η the inverse of the function γ' . Then, one has*

$$\max \left\{ \inf_{x \in X} (\varphi(x) - \psi(x) - \gamma(-1)), \inf_{x \in X} (\varphi(x) + \psi(x) - \gamma(1)) \right\} = \inf_{x \in X} (\varphi(x) + \eta(\psi(x))\psi(x) - \gamma(\eta(\psi(x)))) .$$

We start by the following result

Theorem 2.2. *We have*

$$\inf_{x \in X} (\varphi(x) + |\psi(x)|) = \inf_{x \in X} (\varphi(x) - \psi(x) + 2 \log(e^{\psi(x)} + 1)) .$$

Proof. Consider the function $\gamma : [-1, 1] \rightarrow \mathbf{R}$ defined by

$$\gamma(\lambda) = \begin{cases} (1 + \lambda) \log(1 + \lambda) + (1 - \lambda) \log(1 - \lambda) & \text{if } |\lambda| < 1 \\ \gamma(-1) = \gamma(1) = \log(4). & \end{cases}$$

Clearly, γ is continuous in $[-1, 1]$ and twice derivable in $] - 1, 1[$, also we have, for each $\lambda \in] - 1, 1[$,

$$\begin{cases} \gamma(\lambda) = \log\left(\frac{1+\lambda}{1-\lambda}\right) \\ \gamma'(\lambda) = \frac{2}{1-\lambda^2}. \end{cases}$$

Hence, the function γ' is strictly increasing in $] - 1, 1[$, with $\gamma'(-1, 1) = \mathbb{R}$. Moreover, η , the inverse of γ' , is given by

$$\eta(\mu) = \frac{e^\mu - 1}{e^\mu + 1}.$$

So, for each $x \in X \setminus \psi^{-1}(0)$, we have

$$\begin{aligned} \eta(\psi(x))\psi(x) - \gamma(\eta(\psi(x))) &= \frac{e^{\psi(x)} - 1}{e^{\psi(x)} + 1} \psi(x) - (1 + \eta(\psi(x))) \log(1 + \eta(\psi(x))) - (1 - \eta(\psi(x))) \log(1 - \eta(\psi(x))) \\ &= \frac{e^{\psi(x)} - 1}{e^{\psi(x)} + 1} \psi(x) - \frac{2e^{\psi(x)}}{e^{\psi(x)} + 1} \log\left(\frac{2e^{\psi(x)}}{e^{\psi(x)} + 1}\right) - \frac{2}{e^{\psi(x)} + 1} \log\left(\frac{2}{e^{\psi(x)} + 1}\right) \\ &= \frac{e^{\psi(x)} - 1}{e^{\psi(x)} + 1} \psi(x) - \frac{2e^{\psi(x)}}{e^{\psi(x)} + 1} \log\left(\frac{2}{e^{\psi(x)} + 1}\right) - \frac{2e^{\psi(x)}}{e^{\psi(x)} + 1} \psi(x) - \frac{2}{e^{\psi(x)} + 1} \log\left(\frac{2}{e^{\psi(x)} + 1}\right) \\ &= -\psi(x) - \frac{2}{e^{\psi(x)} + 1} \log\left(\frac{2}{e^{\psi(x)} + 1}\right)(1 + e^{\psi(x)}) \\ &= -\psi(x) - \log 4 + 2\log(e^{\psi(x)} + 1). \end{aligned}$$

Consequently, by Theorem 2.1, taking account that $\gamma(-1) = \gamma(1) = \log(4)$, we get

$$\begin{aligned} &\max \left\{ \inf_{x \in X} (\varphi(x) - \psi(x)) - \log 4, \inf_{x \in X} (\varphi(x) + \psi(x)) - \log 4 \right\} \\ &= \inf_{x \in X} (\varphi(x) + \eta(\psi(x))\psi(x) - \gamma(\eta(\psi(x)))) . \end{aligned}$$

Taking into account Theorem 4 of [4], this implies that

$$\inf_{x \in X} (\varphi(x) + |\psi(x)|) - \log 4 = \inf_{x \in X} (\varphi(x) - \psi(x) - \log 4 + 2\log(e^{\psi(x)} + 1)),$$

which is the conclusion. □

Remark 2.3. In [4], it was observed that

$$\inf_{x \in X} (\varphi(x) + |\psi(x)|) = \inf_{x \in X} (\varphi(x) + |\psi(x)| + e^{-|\psi(x)|}).$$

From Theorem 2.2 we get

$$\inf_{x \in X} (\varphi(x) + |\psi(x)|) = \inf_{x \in X} (\varphi(x) + |\psi(x)| + 2\log(e^{-|\psi(x)|} + 1))$$

This is an improvement of the result in [4] since $e^{-t} \leq 2\log(e^{-t} + 1)$ for all $t \geq 0$.

In particular, since $\inf_{x \in X} (\varphi(x) + \|\varphi\|_{X^*} \|x\|) = 0$, from Theorem 2.2 we get:

Corollary 2.4. *We have*

$$\begin{aligned} \inf_{x \in X} (\varphi(x) - \|\varphi\|_{X^*} \|x\| + 2\log(e^{\|\varphi\|_{X^*} \|x\|} + 1)) &= \inf_{x \in X} (\varphi(x) + \|\varphi\|_{X^*} \|x\| \\ &\quad + 2\log(e^{-\|\varphi\|_{X^*} \|x\|} + 1)) = 0. \end{aligned}$$

3. Infimum of functionals in L^p spaces

Let (T, \mathcal{F}, μ) be a σ -finite non-atomic measure space, E a real Banach space, whose norm is denoted by $\|\cdot\|$, $p \in [1, +\infty[$. As usual, $L^p(T, E)$ denotes the space of all (equivalence classes of) strongly μ -measurable functions $u : T \rightarrow E$ such that $\int_T \|u(t)\|^p d\mu < +\infty$, equipped with the norm

$$\|u\|_{L^p(T, E)} = \left(\int_T \|u(t)\|^p d\mu \right)^{\frac{1}{p}}.$$

A set $D \subset L^p(T, E)$ is said to be decomposable if, for every $u, v \in D$ and every $A \in \mathcal{F}$, the function

$$t \rightarrow \chi_A(t)u(t) + (1 - \chi_A(t))v(t)$$

belongs to D , where χ_A denotes the characteristic function of A . A real-valued function on $T \times E$ is said to be a Carathéodory function if it is measurable in T and continuous in E .

Theorem 3.1. *([4, Theorem 2.4]). Let (T, \mathcal{F}, μ) be a σ -finite non-atomic measure space, E a real Banach space, $p \in [1, +\infty[$, $X \subset L^p(T, E)$ a decomposable set, $[a, b]$ a compact real interval, and $\gamma : [a, b] \rightarrow \mathbb{R}$ a convex (res. concave) and continuous function. Moreover, let $\varphi, \psi, \omega : T \times E \rightarrow \mathbb{R}$ be three Caratheodory functions such that, for some $M \in L^1(T), k \in \mathbb{R}$, one has*

$$\max\{|\varphi(t, x)|, |\psi(t, x)|, |\omega(t, x)|\} \leq M(t) + k\|x\|^p$$

for all $(t, x) \in T \times E$ and

$$\gamma(a) \int_T \psi(t, u(t)) d\mu + a \int_T \omega(t, u(t)) d\mu \neq \gamma(b) \int_T \psi(t, u(t)) d\mu + b \int_T \omega(t, u(t)) d\mu,$$

for all $u \in X$ such that, $\int_T \psi(t, u(t)) d\mu > 0$ (resp. $\int_T \psi(t, u(t)) d\mu < 0$). Then, one has

$$\sup_{\lambda \in [a, b]} \inf_{u \in X} (\int_T (\varphi(t, u(t)) d\mu + \gamma(\lambda) \psi(t, u(t)) + \lambda \omega(t, u(t))) d\mu) = \inf_{u \in X} \sup_{\lambda \in [a, b]} (\int_T (\varphi(t, u(t)) + \gamma(\lambda) \psi(t, u(t)) + \lambda \omega(t, u(t))) d\mu).$$

From now on, we assume that $\mu(T) < +\infty$. Let $I \subset E$ be a non-empty set. We denote by \mathcal{A}_I the class of all pairs of continuous functions $\omega, \psi : I \rightarrow \mathbb{R}$ with $\omega(x) \geq 0$ and $\psi(x) > 0$ for all $x \in I$, such that

$$\sup_{x \in I} \frac{|\omega(x)| + |\psi(x)|}{1 + \|x\|^p} < +\infty.$$

Moreover, we denote by \mathcal{B}_I the family of all decomposable subsets X of $L^p(T, E)$ such that $u(T) \subseteq I$ for all $u \in X$, and containing each constant function taking its value in I .

Remark 3.2. Notice that, if $(\omega, \psi) \in \mathcal{A}_I$, we have

$$\inf_{x \in I} \frac{\omega(x)}{\psi(x)} \leq \frac{\int_T \omega(u(t)) d\mu}{\int_T \psi(u(t)) d\mu} \leq \sup_{x \in I} \frac{\omega(x)}{\psi(x)} \text{ for all } u \in X.$$

Now, we apply Theorem 3.1 to get the following result:

Theorem 3.3. Let $(\omega, \psi) \in \mathcal{A}_I$ and $X \in \mathcal{B}_I$. Then, one has

$$\begin{aligned} & \inf_{u \in X} \left(2 \log \left(\frac{e^{\frac{\int_T \omega(u(t)) d\mu}{\int_T \psi(u(t)) d\mu}} + 1}{2} \right) \int_T \psi(u(t)) d\mu - \int_T \omega(u(t)) d\mu \right) \\ &= \mu(T) \sup_{\lambda \in [0, 1]} \inf_{x \in I} (\lambda \omega(x) - ((1 + \lambda) \log(1 + \lambda) + (1 - \lambda) \log(1 - \lambda)) \psi(x)). \end{aligned}$$

Proof. First of all, to simplify the writing, for each $u \in X$, we put $\lambda_u = \frac{\int_T \omega(u(t)) d\mu}{\int_T \psi(u(t)) d\mu}$. We apply Theorem 2.1, with $[a, b] = [0, 1]$, $\varphi = 0$ and

$$\gamma(\lambda) = \begin{cases} -(1 + \lambda) \log(1 + \lambda) - (1 - \lambda) \log(1 - \lambda) & \text{if } \lambda \in [0, 1[\\ -\log 4 & \text{if } \lambda = 1. \end{cases}$$

Since γ is concave and $\int_T \psi(u(t))d\mu > 0$ for all $u \in X$, all conditions of Theorem 3.1 are satisfied, and hence

$$\sup_{\lambda \in [0,1]} \inf_{u \in X} (\lambda \int_T \omega(u(t))d\mu + \gamma(\lambda) \int_T \psi(u(t))d\mu) = \inf_{u \in X} \sup_{\lambda \in [0,1]} (\lambda \int_T \omega(u(t))d\mu + \gamma(\lambda) \int_T \psi(u(t))d\mu). \quad (1)$$

Fix $u \in X$. The function $F : \lambda \rightarrow \lambda \int_T \omega(u(t))d\mu + \gamma(\lambda) \int_T \psi(u(t))d\mu$ is concave in $[0, 1]$ and its derivative is given by

$$F'(\lambda) = \int_T \omega(u(t))d\mu - \log\left(\frac{1+\lambda}{1-\lambda}\right) \int_T \psi(u(t))d\mu,$$

which vanishes at the point $\lambda_0 = \frac{e^{\lambda_0 u} - 1}{e^{\lambda_0 u} + 1}$ which lies in $[0, 1[$. Consequently, we have

$$\begin{aligned} \inf_{u \in X} \sup_{\lambda \in [0,1]} (\lambda \int_T \omega(u(t))d\mu + \gamma(\lambda) \int_T \psi(u(t))d\mu) &= \inf_{u \in X} \left(\frac{e^{\lambda_0 u} - 1}{e^{\lambda_0 u} + 1} \int_T \omega(u(t))d\mu - \left(\frac{2e^{\lambda_0 u}}{e^{\lambda_0 u} + 1} \log\left(\frac{2e^{\lambda_0 u}}{e^{\lambda_0 u} + 1}\right) + \frac{2}{e^{\lambda_0 u} + 1} \log\left(\frac{2}{e^{\lambda_0 u} + 1}\right) \right) \int_T \psi(u(t))d\mu \right) \\ &= \inf_{u \in X} \left(\frac{e^{\lambda_0 u} - 1}{e^{\lambda_0 u} + 1} \int_T \omega(u(t))d\mu - \frac{2e^{\lambda_0 u}}{e^{\lambda_0 u} + 1} \int_T \omega(u(t))d\mu - \frac{2e^{\lambda_0 u} + 2}{e^{\lambda_0 u} + 1} \log\left(\frac{2}{e^{\lambda_0 u} + 1}\right) \int_T \psi(u(t))d\mu \right) \\ &= \inf_{u \in X} \left(\int_T -\omega(u(t))d\mu + (\log((e^{\lambda_0 u} + 1)^2) - \log(4)) \int_T \psi(u(t))d\mu \right). \end{aligned}$$

On the other hand, X contains each constant function taking its value in I , which implies that for all $\lambda \in [0, 1]$

$$\inf_{u \in X} \left(\lambda \int_T \omega(u(t))d\mu + \gamma(\lambda) \int_T \psi(u(t))d\mu \right) = \mu(T) \inf_{x \in I} (\lambda \omega(x) + \gamma(\lambda) \psi(x)).$$

Hence, we have

$$\sup_{\lambda \in [0,1]} \inf_{u \in X} (\lambda \int_T \omega(u(t))d\mu + \gamma(\lambda) \int_T \psi(u(t))d\mu) = \mu(T) \sup_{\lambda \in [0,1]} \inf_{x \in I} (\lambda \omega(x) + \gamma(\lambda) \psi(x)). \quad (2)$$

Now, the conclusion follows directly from (1) and (2).

Theorem 3.4. *Let $(\omega, \psi) \in \mathcal{A}_I$, $X \in \mathcal{B}_I$ and $q > 1$. Set*

$$a := \inf_{x \in I} \left(\frac{\omega(x)}{\psi(x)} \right)^{\frac{1}{q-1}}, \quad b := \sup_{x \in I} \left(\frac{\omega(x)}{\psi(x)} \right)^{\frac{1}{q-1}}$$

and suppose that $b < +\infty$. Then, one has

$$\inf_{u \in X} \left(\frac{(q-1) \left(\int_T \omega(u(t))d\mu \right)^{\frac{q}{q-1}} + \left(\int_T \psi(u(t))d\mu \right)^{\frac{q}{q-1}}}{\left(\int_T \psi(u(t))d\mu \right)^{\frac{1}{q-1}}} \right) = \mu(T) \sup_{\lambda \in [a,b]} \inf_{x \in I} (q\lambda \omega(x) + (1-\lambda^q) \psi(x)).$$

Proof. By Remark 3.2, we have

$$a \leq \left(\frac{\int_T \omega(u(t))d\mu}{\int_T \psi(u(t))d\mu} \right)^{\frac{1}{q-1}} \leq b \text{ for all } u \in X.$$

Since X contains each constant function taking its value in I , we clearly have for all $\lambda \in [a, b]$

$$\inf_{u \in X} \left(q\lambda \int_T \omega(u(t))d\mu + (1 - \lambda^q) \int_T \psi(u(t))d\mu \right) = \mu(T) \inf_{x \in I} (q\lambda \omega(x) + (1 - \lambda^q)\psi(x)).$$

Hence, we obtain

$$\sup_{\lambda \in [a,b]} \inf_{u \in X} \left(q\lambda \int_T \omega(u(t))d\mu + (1 - \lambda^q) \int_T \psi(u(t))d\mu \right) = \mu(T) \sup_{\lambda \in [a,b]} \inf_{x \in I} (q\lambda \omega(x) + (1 - \lambda^q)\psi(x)). \quad (3)$$

We can apply Theorem 2.1, with $\phi = 0$, $\gamma(\lambda) = 1 - \lambda^q$ (and $q\omega$ instead of ω), obtaining

$$\sup_{\lambda \in [a,b]} \inf_{u \in X} \left(q\lambda \int_T \omega(u(t))d\mu + (1 - \lambda^q) \int_T \psi(u(t))d\mu \right) = \inf_{u \in X} \sup_{\lambda \in [a,b]} \left(q\lambda \int_T \omega(u(t))d\mu + (1 - \lambda^q) \int_T \psi(u(t))d\mu \right). \quad (4)$$

Fix $u \in X$. The function $F : \lambda \rightarrow q\lambda \int_T \omega(u(t))d\mu + (1 - \lambda^q) \int_T \psi(u(t))d\mu$ is concave in $[0, +\infty[$ and its derivative is given by

$$F'(\lambda) = q \int_T \omega(u(t))d\mu - q\lambda^{q-1} \int_T \psi(u(t))d\mu,$$

which vanishes at the point $\left(\frac{\int_T \omega(u(t))d\mu}{\int_T \psi(u(t))d\mu} \right)^{\frac{1}{q-1}}$ which lies in $[a, b]$. Consequently, we have

$$\inf_{u \in X} \sup_{\lambda \in [a,b]} (q\lambda \int_T \omega(u(t))d\mu + (1 - \lambda^q) \int_T \psi(u(t))d\mu) = \inf_{u \in X} \left(\frac{(q-1)(\int_T \omega(u(t))d\mu)^{\frac{q}{q-1}} + (\int_T \psi(u(t))d\mu)^{\frac{q}{q-1}}}{(\int_T \psi(u(t))d\mu)^{\frac{1}{q-1}}} \right)$$

which, jointly with (3.3) and (3.4), gives the conclusion. □

Now, from Theorem 3.4, we get the following result

Corollary 3.5. *Let $E = \mathbf{R}$, $I =]c, d[$, and let $(\omega, \psi) \in \mathcal{A}_I$. Assume that ω, ψ are continuous and concave in $[c, d]$ and that $\omega(d) = 0$, $\psi(c) < \psi(d)$ and*

$$\sup_{x \in I} \frac{\omega(x)}{\psi(x)} = 1 .$$

Set

$$\delta := \frac{\omega(c)}{\psi(d) - \psi(c)}$$

and, if $\psi(c) > 0$, assume that

$$\sqrt{\delta^2 + 1} - \delta \leq \frac{\omega(c)}{\psi(c)} .$$

Then, for every $X \in \mathcal{B}_I$, one has

$$\inf_{u \in X} \left(\frac{(\int_T \omega(u(t)) d\mu)^2 + (\int_T \psi(u(t)) d\mu)^2}{\int_T \psi(u(t)) d\mu} \right) = 2\mu(T) \delta (\sqrt{\delta^2 + 1} - \delta) \psi(d) .$$

Proof. Fix $\lambda \in [0, 1]$. Since the function $2\lambda\omega + (1 - \lambda^2)\psi$ is concave in $[c, d]$ its infimum is attained either at c or at d . That is to say (recalling that $\omega(d) = 0$)

$$\inf_{x \in I} (2\lambda\omega(x) + (1 - \lambda^2)\psi(x)) = \min\{2\lambda\omega(c) + (1 - \lambda^2)\psi(c), (1 - \lambda^2)\psi(d)\} .$$

On the other hand, we have

$$2\lambda\omega(c) + (1 - \lambda^2)\psi(c) \leq (1 - \lambda^2)\psi(d)$$

if and only if $\lambda \leq -\delta + \sqrt{\delta^2 + 1}$. Consequently

$$\inf_{x \in I} (2\lambda\omega(x) + (1 - \lambda^2)\psi(x)) = \begin{cases} 2\lambda\omega(c) + (1 - \lambda^2)\psi(c) & \text{if } \lambda \in [0, -\delta + \sqrt{\delta^2 + 1}] \\ (1 - \lambda^2)\psi(d) & \text{if } \lambda \in [-\delta + \sqrt{\delta^2 + 1}, 1] . \end{cases}$$

From this, it clearly follows that

$$\sup_{\lambda \in [0, 1]} \inf_{x \in I} (2\lambda\omega(x) + (1 - \lambda^2)\psi(x)) = 2\delta(\sqrt{\delta^2 + 1} - \delta)\psi(d) .$$

Now, the conclusion follows directly from Theorem 3.4 applied with $q = 2$. □

Remark 3.6. Concerning Corollary 3.1, it is very important to observe that the infimum of the restriction of functional $u \rightarrow \frac{(\int_T \omega(u(t))d\mu)^2 + (\int_T \psi(u(t))d\mu)^2}{\int_T \psi(u(t))d\mu}$ to the set of all constant functions taking their values in $]c, d[$ (say \tilde{X}) can be strictly larger than $2\mu(T)\delta(\sqrt{\delta^2 + 1} - \delta)\psi(d)$. To see this, it is enough to consider the following setting: $[c, d] = [0, 1]$, $\omega(x) = 1 - x^2$, $\psi(x) = x + 1$. Indeed, in this case, we have $\delta = 1$ and

$$\inf_{u \in \tilde{X}} \left(\frac{(\int_T (1 - u(t))d\mu)^2 + (\int_T (u(t) + 1)d\mu)^2}{\int_T (u(t) + 1)d\mu} \right) = \mu(T) \frac{50}{27} > 4\mu(T)(\sqrt{2} - 1).$$

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