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More on embedding subspaces of L_p in l_r^n

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Given two normed spaces X, Y and a real number $1 \leq K < \infty$, we say that X K -embeds into Y (denoted $X \overset{K}{\hookrightarrow} Y$) if there is a one to one linear operator,

$$T: X \rightarrow T(X) \subseteq Y \quad \text{with} \quad \|T\| \|T^{-1}\| \leq K.$$

We are concerned here mostly with the situation where Y is one of the sequence spaces $l_r^n \left(= \left\{ x \in \mathbb{R}^n; \|x\|_r = \left(\sum_{i=1}^n |x_i|^r \right)^{1/r} < \infty \right\} \right)$ and X is a general m -dimensional subspace of one of the function spaces $L_p(0, 1) (= \{f; \|f\|_p = \left(\int_0^1 |f(t)|^p dt \right)^{1/p} < \infty \})$.

The expressions $\|x\|_r, \|f\|_p$ are norms only for $r, p \geq 1$. We shall need, however, to use these expressions also for r or p smaller than 1. We shall continue to refer to them as norms also in this situation. The notion ' X K -embeds into Y ' has meaning, with the same definition, also in this case $\left(\text{e.g. } \|T\| = \sup \left\{ \frac{\|Tx\|_r}{\|x\|_p}; x \in X, x \neq 0 \right\} \right)$.

We continue here the investigation of the following question: fixing K, p, r and m , how small can we take n to be? Following is a sample of some of the results of this paper:

- i) For $0 < r \leq p < 2$, $X \overset{1+\epsilon}{\hookrightarrow} l_r^n$, where $n \leq C(p, r, \epsilon)m^{1+r/p}$.
- ii) For $2 < r = p < \infty$, $X \overset{1+\epsilon}{\hookrightarrow} l_p^n$, where $n \leq C(p, \epsilon)m^{1+r/2}$.

Changing the small constant, $1 + \epsilon$, in (i) with a large one, we get a much better estimate on the relation between n and m for $r < p$.

- iii) For $0 < r < p < 2$, there exists a $K = K(p, r)$ such that $X \overset{K}{\hookrightarrow} l_r^n$ for $n \leq C m(\log m)^4$, C absolute.

The proofs here are much simpler than in the related papers [Johnson and Schechtman, 1982; Pisier, 1983; Schechtman, 1984/85, 1985].

For $1 = r < p$, i) is an important special case of Theorem 1 of [Schechtman, 1985] (except for a missing log factor. What is special here is that the range space is l_1^n rather than more general spaces).

The case $r = 1 = p$ in i) is an improvement of Theorem 2 in [Schechtman, 1985].

We refer the reader to [Milman and Schechtman, 1986] for the background to the subjects discussed here.

The main results are contained in Theorems 5 and 6. Proposition 4 is the main tool in proving these theorems. We begin with three lemmas, versions of which were used also in [Schechtman, 1985]. The first two are versions of Lemma 1 in [Schechtman, 1985]. Note again that $\|x\|_r$ denotes the homogeneous ‘norm’ in $L_r(0, 1)$ or l_r^n also for $0 < r < 1$ $\left(\left(\int_0^1 |x|^r \right)^{1/r}$ or $\left(\sum_{i=1}^n |x_i|^r \right)^{1/r} \right)$. The Banach-Mazur distance, $d(X, Y)$, between a subspace X of L_r and a subspace Y of L_s is defined, as for normed spaces,

$$d(X, Y) = \inf \left\{ ab; a^{-1} \|x\|_r \leq \|Tx\|_s \leq b \|x\|_r, T: X \xrightarrow[\text{onto}]{} Y, T \text{ linear} \right\}.$$

LEMMA 1. Let $0 < r \leq 2$ and let Z be an m -dimensional subspace of $L_r(0, 1)$, then

a) there exist a probability measure μ on $[0, 1]$ and a subspace W of $L_r(\mu)$ isometric to Z and satisfying

$$\sup \{ \|w\|_\infty; \|w\|_r \leq 1, w \in W \} \leq em^{1/2} d(Z, l_2^m)$$

b) $d(Z, l_2^m) \leq e^{(2/r)-1} m^{(1/r)-(1/2)}$.

Consequently,

$$\sup \{ \|w\|_\infty; \|w\|_r \leq 1, w \in W \} \leq e^{2/r} m^{1/r}.$$

Proof. As in [Schechtman, 1985], let x_1, \dots, x_m be a basis for Z satisfying

$$a^{-1} \left(\sum_{i=1}^m a_i^2 \right)^{1/2} \leq \left\| \sum_{i=1}^m a_i x_i \right\|_r \leq b \left(\sum_{i=1}^m a_i^2 \right)^{1/2}$$

with $ab = d(Z, l_2^m)$.

Define

$$d\mu = \left[\left(\sum_{i=1}^m x_i^2 \right)^{r/2} / \int_0^1 \left(\sum_{i=1}^m x_i^2 \right)^{r/2} \right] dt$$

and $T: Z \rightarrow L_r(\mu)$ by

$$Tx = \frac{x}{\left(\sum_{i=1}^m x_i^2\right)^{1/2}} \left(\int \left(\sum_{i=1}^m x_i^2 \right)^{r/2} \right)^{1/r}.$$

T is clearly an isometry. Let $W = TZ$. For $w = T(\sum a_i x_i)$ of norm one, we have

$$|w| = \frac{\left| \sum_{i=1}^m a_i x_i \right|}{\left(\sum_{i=1}^m x_i^2\right)^{1/2}} \left(\int \left(\sum_{i=1}^m x_i^2 \right)^{r/2} \right)^{1/r}. \tag{1}$$

Now,

$$\frac{\left| \sum_{i=1}^m a_i x_i \right|}{\left(\sum_{i=1}^m x_i^2\right)^{1/2}} \leq \left(\sum_{i=1}^m a_i^2 \right)^{1/2} \leq a \left\| \sum_{i=1}^m a_i x_i \right\|_r = a, \tag{2}$$

and, with g_i being independent standard gaussian variables,

$$\begin{aligned} \left(\int \left(\sum_{i=1}^m x_i^2 \right)^{r/2} \right)^{1/r} &= \left(E \int \left| \sum_{i=1}^m x_i g_i \right|^r \right)^{1/r} / (E |g_1|^r)^{1/r} \\ &\leq b \left(E \left(\sum_{i=1}^m g_i^2 \right)^{r/2} \right)^{1/r} / (E |g_1|^r)^{1/r} \\ &\leq b\sqrt{m} / (E |g_1|^r)^{1/r}. \end{aligned} \tag{3}$$

To evaluate $(E |g_1|^r)^{1/r}$ from below, use integration by parts to get

$$E |g_1|^r = \frac{1}{r+1} E |g_1|^{r+2} \geq \frac{1}{r+1}.$$

Thus,

$$(E |g_1|^r)^{1/r} \geq \left(\frac{1}{r+1} \right)^{1/r} \geq \frac{1}{e}.$$

Combining this with (1), (2) and (3), we get a).

To prove b), notice that, for $w \in W$,

$$\|w\|_r \leq \|w\|_2 \leq \|w\|_\infty^{1-(r/2)} \|w\|_r^{r/2} \leq (e m^{1/2} d(Z, l_2^m))^{1-(r/2)} \|w\|_r.$$

Consequently,

$$d(Z, l_2^m) = d(W, l_2^m) \leq (e m^{1/2} d(Z, l_2^m))^{1-(r/2)}.$$

Rearranging we get b). \square

LEMMA 2. Let $2 < r < \infty$ and let Z be a m -dimensional subspace of $L_r(0, 1)$. Then there exist a probability measure μ on $[0, 1]$ and a subspace W of $L_r(\mu)$ isometric to Z such that

$$\{ \|w\|_\infty; \|w\|_r = 1, w \in W \} \leq m^{1/2}.$$

Proof. By Theorem 1 in [Lewis, 1978] there is a probability measure $\mu (= f^r dt$ in the notation of [Lewis, 1978]) and a basis $(x_i)_{i=1}^m (x_i = f_i/f)$ of a space $W \subseteq L_r(\mu)$, isometric to Z ($W = f^{-1}Z$), such that

$$a) \quad \left\| \sum_{i=1}^m a_i x_i \right\|_2 = \frac{\left(\sum_{i=1}^m a_i^2 \right)^{1/2}}{\sqrt{m}} \quad \text{for all } a_1, \dots, a_m \in \mathbb{R}$$

$$b) \quad \left(\sum_{i=1}^m x_i^2 \right)^{1/2} \equiv 1.$$

Now, for all $a_1, \dots, a_m \in \mathbb{R}$,

$$\begin{aligned} \left\| \sum_{i=1}^m a_i x_i \right\|_\infty &\leq \left(\sum_{i=1}^m a_i^2 \right)^{1/2} \left\| \left(\sum_{i=1}^m x_i^2 \right)^{1/2} \right\|_\infty \\ &= \sqrt{m} \left\| \sum_{i=1}^m a_i x_i \right\|_2 \leq \sqrt{m} \left\| \sum_{i=1}^m a_i x_i \right\|_r. \quad \square \end{aligned}$$

The next lemma is a standard large deviation inequality for sums of independent random variables. We give a proof for completeness.

LEMMA 3. Let $(d_i)_{i=1}^n$ be independent random variables with

$$E |d_i| \leq A, \quad E d_i = 0, \quad \|d_i\|_\infty \leq B, \quad i = 1, \dots, n,$$

then

$$P\left(\left|\sum_{i=1}^n d_i\right| > C\right) \leq 2 \exp\left(\frac{-C^2}{4eABn}\right)$$

for all $C \leq 2eAn$.

Proof. First notice that for all $p \geq 2$

$$E |d_i|^p \leq E |d_i| \|d_i\|_\infty^{p-1} \leq AB^{p-1}, \quad i = 1, \dots, n.$$

For all $\lambda \geq 0$ and all $i = 1, \dots, n$

$$\begin{aligned} E e^{\lambda d_i} &\leq 1 + \sum_{k=2}^{\infty} \frac{\lambda^k E |d_i|^k}{k!} \leq 1 + \sum_{k=2}^{\infty} \frac{\lambda^k AB^{k-1}}{k!} \leq 1 + \lambda^2 AB \sum_{k=0}^{\infty} \frac{\lambda^k B^k}{k!} \\ &\leq \exp(\lambda^2 AB e^{\lambda B}). \end{aligned}$$

Independence implies

$$E e^{\lambda \sum_{i=1}^n d_i} \leq \exp(\lambda^2 ABn e^{\lambda B}).$$

Consequently, for $0 < \lambda \leq B^{-1}$,

$$P\left(\sum_{i=1}^n d_i > C\right) \leq e^{\lambda \sum_{i=1}^n d_i - \lambda C} \leq \exp(\lambda^2 ABne - \lambda C).$$

Choosing $\lambda = \frac{1}{2} \frac{C}{ABne}$ ($\leq \frac{1}{B}$ for $C \leq 2eAn$), we get

$$P\left(\sum_{i=1}^n d_i > C\right) \leq \exp\left(-\frac{C^2}{4eABn}\right).$$

The same inequality holds for $-\sum_{i=1}^n d_i$ and we get the desired result. \square

PROPOSITION 4. *Let X be an m -dimensional subspace of $L_r(\Omega, \mathcal{F}, \mu)$ for some probability space $(\Omega, \mathcal{F}, \mu)$ and some $0 < r < \infty$. Assume*

$$M = \sup\{\|x\|_\infty; x \in X, \|x\|_r = 1\} < \infty.$$

Then, for all $\epsilon > 0$, $X \overset{1+\epsilon}{\hookrightarrow} l_r^n$ for some

$$n \leq C(\epsilon, r)mM^r.$$

Moreover, for some absolute constant C ,

$$C(\epsilon, r) \leq \frac{C \log \frac{1}{r\epsilon}}{r^3 \epsilon^2} \quad \text{for } 0 < r < 1$$

and

$$C(\epsilon, r) \leq \frac{C \log \frac{1}{\epsilon}}{\epsilon^2} \quad \text{for } r > 1.$$

Proof. For $t \in [0, 1]^n$ and $x \in X$ define $x_i(t) = x(t_i)$. Then x_i are independent random variables and for all t the map

$$x \rightarrow (x_1(t), \dots, x_n(t))$$

is linear. Define, for $t \in [0, 1]^n$, an operator

$$T_t: X \rightarrow l_r^n$$

by

$$T_t x = \frac{1}{n^{1/r}} \sum_{i=1}^n x_i(t) e_i$$

($(e_i)_{i=1}^n$ is the canonical basis of l_r^n). Then

$$E \|T_t x\|_r^r = \|x\|_r^r$$

(E denotes expectation with respect to P – the product measure on $[0, 1]^n$).

For $x \in X$ with $\|x\|_r = 1$,

$$\|T_t x\|_r^r - 1 = \frac{1}{n} \sum_{i=1}^n (|x_i(t)|^r - 1).$$

Each of the summands $y_i = |x_i(t)|^r - 1$ is bounded by M^r and satisfies $E |y_i| \leq 2$. Plugging these estimates in Lemma 3, with $d_i = \frac{y_i}{n}$, $A = \frac{2}{n}$ and $B = \frac{M^r}{n}$, we get, for $0 < \eta < \frac{1}{3}$ and an absolute constant $\delta > 0$,

$$P(|\|T_t x\|_r^r - 1| > \eta) \leq 2 e^{-\delta \eta^2 n / M^r}. \tag{4}$$

We now distinguish between the two cases $0 < r < 1$ and $1 \leq r < \infty$. If

$0 < r < 1$ choose an η -net, N , in the sphere of X in the metric $d(x, y) = \|x - y\|_r^r$. One can do that with

$$|N| \leq \left(1 + \frac{2}{\eta}\right)^{m/r} \leq e^{(m/r)\log(2/\eta)}$$

(the proof is standard, see e.g. [Johnson and Schechtman, 1982] Lemma 2). Using (4) we get in this case that if

$$m \leq c(\eta)rn/M^r \tag{5}$$

($c(\eta) \approx \eta^2/\log\frac{1}{\eta}$), then, for some t

$$1 - \eta \leq \|T_t x\|_r^r \leq 1 + \eta$$

for all $x \in N$. Using a standard successive approximation argument (see e.g. [Johnson and Schechtman, 1982] Lemma 3) we get that

$$\frac{1 - 3\eta}{1 - \eta} \leq \|T_t x\|_r^r \leq \frac{(1 + \eta)^2}{(1 - \eta)} \tag{6}$$

for all $x \in X$, $\|x\|_r = 1$. This concludes the proof in the case $0 < r < 1$ except for the evaluation of the constant $C(\epsilon, r)$. Given $0 < r < 1$ and $0 < \epsilon < 1$ choose a δ such that $(1 + \delta)^{1/r} = 1 + \epsilon$ ($\delta \approx \epsilon^r$ with absolute constants) then choose an $0 < \eta < \frac{1}{3}$ such that $\frac{(1 + \eta)^2}{(1 - 3\eta)} = 1 + \delta$ ($\eta \approx \delta$ with absolute constants). Then, in the construction above, $\|T_t\| \|T_t^{-1}\| \leq (1 + \delta)^{1/r} = 1 + \epsilon$ and by (5) we may choose

$$n \approx C(\epsilon, r)mM^r$$

where

$$C(\epsilon, r) = \frac{1}{c(\eta)r} \approx \frac{\log\frac{1}{\eta}}{\eta^2 r} \approx \frac{\log\frac{1}{\epsilon r}}{\epsilon^2 r^3}.$$

The proof for $r > 1$ is very similar. Here we work with an η -net N in the metric given by the norm. Its size is

$$|N| \leq e^{m\log(2/\eta)}$$

(see e.g. [Figiel, Lindenstrauss and Milman, 1977]) and we get that if

$$m \leq c(\eta)n/M^r$$

$(c(\eta) \approx \eta^2 / \log \frac{1}{\eta})$ then there exists a t such that

$$\|T_t\| \|T_t^{-1}\| \leq \left[\frac{(1 + \eta)^2}{(1 - 3\eta)} \right]^{1/r} \leq \frac{(1 + \eta)^2}{(1 - 3\eta)}.$$

Taking η of order ϵ we get the desired result. \square

THEOREM 5.

a) For $0 < r \leq p < 2$ any m -dimensional subspace X of $L_p(0, 1)$ $(1 + \epsilon)$ -embeds into l_r^n for some

$$n \leq K(\epsilon, r) m^{1+(r/p)}.$$

b) For $0 < r \leq 1$ any m -dimensional normed subspace X of $L_r(0, 1)$ $(1 + \epsilon)$ -embeds into l_r^n for some

$$n \leq K(\epsilon, r) m^{1+r}.$$

c) For $2 < r < \infty$ any m -dimensional subspace X of $L_r(0, 1)$ $(1 + \epsilon)$ -embeds into l_r^n for some

$$n \leq K(\epsilon) m^{1+(r/2)}.$$

The constants $K(\epsilon, r)$ in a) and b) are dominated by $10C(\epsilon, r)$ of Proposition 4. The constant in c) depends only on ϵ .

Proof. Since $L_p(0, 1) \xrightarrow{1} L_r(0, 1)$, $0 < r < p < 2$, we may assume in all three cases that $X \subseteq L_r(0, 1)$. By Lemmas 1 and 2, we may assume in addition that, putting

$$M = \sup \{ \|x\|_\infty; x \in X, \|x\|_r = 1 \},$$

$$M \leq e^{2/p} m^{1/p} \quad \text{in a)}$$

$$M \leq e m \quad \text{in b)}$$

$$M \leq m^{1/2} \quad \text{in c)}.$$

Now apply Proposition 4. \square

Remarks

i) In a) and b) nothing is known about lower bounds (i.e. the case may be that n can be chosen proportional to m). In c) there is a lower bound: $n \geq k(\epsilon, r) m^{r/2}$ (see [Bennett *et al.*, 1977] or [Milman and Schechtman, 1986]).

ii) Following the proofs of Proposition 4 and Theorem 5, one can easily prove:

Let F be a finite set in L_r , $1 \leq r < 2$, $|F| = m$. Then for each $\epsilon > 0$ and $n \geq c(\epsilon)m \log m$ there exists a function $f: F \rightarrow f(F) \subset l_r^n$ with

$$\|f\|_{L_{1p}} \|f^{-1}\|_{L_{1p}} \leq 1 + \epsilon$$

$$\left(\|f\|_{L_{1p}} = \sup_{x \neq y} \frac{\|f(x) - f(y)\|}{\|x - y\|}, c(\epsilon) \text{ depends only on } \epsilon. \right)$$

This should be compared with a result of [Ball, 1984]: For $\epsilon = 0$, n must be of order at least m^2 (and $n \approx m^2$ is always enough).

We suspect that the right order of n (for $(1 + \epsilon)$ -Lipschitz embeddings) is some power of $\log m$.

THEOREM 6

a) Given $0 < q < p < 2$ there exists a $K = K(q, p)$ such that any m -dimensional subspace X of $L_p(0, 1)$ K -embeds into l_q^n for some $n \leq C m (\log m)^3 \log(\log m)$, C absolute.

b) For any $0 < r < q < 1$, any m -dimensional normed subspace X of $L_r(0, 1)$ $K(q)$ -embeds into l_q^n for some $n \leq C m (\log m)^3 \log(\log m)$, C absolute and $K(q)$ depends only on q (and not on r).

Proof. In both cases X can be considered as a subspace of $L_s(0, 1)$ for any $0 < s \leq r$. Thus, by Theorem 5, X 2-embeds into l_s^n for

$$n \leq \frac{C \log \frac{1}{s}}{s^3} m^{1+(s/p)} \text{ in a)}$$

and

$$n \leq \frac{C \log \frac{1}{s}}{s^3} m^{1+s} \text{ in b).}$$

The choice $s = \frac{p}{\log m}$ in a) and $s = \frac{1}{\log m}$ in b) gives that X 2-embeds into l_s^n for

$$n \leq C(p)(\log m)^3 (\log(\log m)) m$$

for some constant $C(p)$, depending only on p , in a), and for

$$n \leq C(\log m)^3 (\log(\log m)) m$$

for some absolute constant C in b).

Now apply one of Maurey's factorization theorems, Theorem 2 of [Maurey, 1974], to get an embedding of X into l_q^n via a change of measure. One should notice that s does not affect the constants. \square

There are several problems which suggest themselves naturally. We shall mention explicitly only one with a possible way of attack (toward a negative solution).

PROBLEM 7. *Is there a function $C(\epsilon)$, $\epsilon > 0$ such that any m -dimensional subspace X of $L_1(0, 1)$ $(1 + \epsilon)$ -embeds into l_1^n for some $n \leq C(\epsilon)m$?*

Denote by $R(Y)$ the K -convexity constant of Y [Maurey and Pisier, 1976], that is, the norm of the projection $R \otimes I$ in $L_2(Y)$, where R is the orthogonal projection onto the span of the Rademacher functions. As is well known $R(X) \leq C \sqrt{\log m}$ for any m -dimensional subspace X of $L_1(0, 1)$. Inspecting the proof of this fact one easily gets an estimate on C

$$R(X) \leq (\sqrt{2} + o(1))\sqrt{\log m}, \quad \dim X = m \rightarrow \infty. \tag{7}$$

In particular,

$$R(l_1^m) \leq (\sqrt{2} + o(1))\sqrt{\log m}, \quad m \rightarrow \infty. \tag{8}$$

We are mainly interested in whether the numerical constants in (7) and (8) are the same or different. Indeed if for some $\alpha > 1$ and $\epsilon > 0$

$$\limsup_{m \rightarrow \infty} \left[\sup_{\dim X = m} R(X) / R(l_1^{m^\alpha}) \right] \geq 1 + \epsilon$$

then for some m there exists an m -dimensional subspace X of L_1 which does not $1 + \epsilon$ embed into $l_1^{m^\alpha}$.

PROBLEM 8. *What are the best numerical constants in (7) and (8)?*

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Added in proof: J. Bourgain, J. Lindenstrauss and V.D. Milman (private communication) improved recently the results of this paper. They proved that for an m -dimensional subspace, X , of L_p ,

$$X \overset{1+\epsilon}{\hookrightarrow} l_1^n \quad \text{for } n \leq C(p, \epsilon)m \quad \text{if } 1 < p \leq 2$$

$$X \overset{1+\epsilon}{\hookrightarrow} l_1^n \quad \text{for } n \leq C(\epsilon)m(\log m)^5 \quad \text{if } p = 1$$

$$X \overset{1+\epsilon}{\hookrightarrow} l_p^m \quad \text{for } n \leq C(p, \epsilon)m^{p/2+\epsilon} \quad \text{if } 2 < p < \infty.$$

Their proof is based on the results and method developed here.