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## REMARKS ON ORTHOGONALITY PRESERVING MAPPINGS IN NORMED SPACES AND SOME STABILITY PROBLEMS

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ABSTRACT. We consider the Birkhoff–James orthogonality in normed spaces and classes of linear mappings exactly and approximately preserving this relation. Some related stability problems are posed.

### 1. INTRODUCTION

In a normed space X (over  $\mathbb{K} \in \{\mathbb{R}, \mathbb{C}\}$ ), with the norm not necessarily coming from an inner product, one can consider the Birkhoff–James orthogonality (cf. [2, 13]):

$$x \perp_{\mathrm{B}} y \iff \forall \alpha \in \mathbb{K} : ||x + \alpha y|| \ge ||x||.$$

One can also consider the semi-orthogonality coming from a semi-inner-product in X. Namely, due to G. Lumer [17] and J.R. Giles [12] (cf. also [11]) there exists a mapping  $[\cdot|\cdot] : X \times X \to \mathbb{K}$  satisfying the following properties:

(s1) 
$$[\lambda x + \mu y|z] = \lambda [x|z] + \mu [y|z], \quad x, y, z \in X, \ \lambda, \mu \in \mathbb{K};$$

(s1) 
$$[\lambda x + \mu y]z = \lambda [x|z] + \mu [y|z], \quad x, y$$
  
(s2)  $[x|\lambda y] = \overline{\lambda} [x|y], \quad x, y \in X, \ \lambda \in \mathbb{K};$ 

(s3) 
$$[x|x] = ||x||^2, x \in X;$$

(s4)  $|[x|y]| \le ||x|| \cdot ||y||, x, y \in X.$ 

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We will call each mapping  $[\cdot|\cdot]$  satisfying (s1)-(s4) a semi-inner-product (s.i.p.) in a (normed) space X. (We assume that a s.i.p. is associated with the given norm in X, i.e., (s3) is satisfied.) Note that there may exist infinitely many different semi-inner-products in X. There is a unique s.i.p. in X if and only if X is smooth (i.e., there is a unique supporting hyperplane at each point of the unit sphere S or, equivalently, the norm is Gâteaux differentiable on S—cf. [9]). If X is an inner product space the only s.i.p. on X is the inner-product itself ([17], Theorem 3). We say that s.i.p. is continuous iff  $\operatorname{Re}[y|x + \lambda y] \to \operatorname{Re}[y|x]$  as  $\mathbb{R} \ni \lambda \to 0$  for all  $x, y \in S$ . The continuity of s.i.p. is equivalent to the smoothness of X ([12, Theorem 3]). For a fixed s.i.p. in X we define a related semi-orthogonality. For  $x, y \in X$ 

$$x \perp_{\mathrm{s}} y \quad :\Leftrightarrow \quad [y|x] = 0.$$

Note that for an inner product space:  $\perp_{\rm B} = \perp_{\rm s} = \perp$ .

**Theorem 1.1** ([12, Theorem 2]). If X is smooth, then  $\perp_{\rm B} = \perp_{\rm s}$ .

## 2. Orthogonality preserving mappings

Koehler and Rosenthal [15] showed that a linear operator from a normed space into itself is an isometry if and only if it preserves some semi-inner-product. This can be slightly extended.

**Theorem 2.1.** Let X and Y be (real or complex) normed spaces and let  $f : X \to Y$  be a linear operator. Then f is a similarity, i.e., for some  $\gamma > 0$ 

$$||fx|| = \gamma ||x||, \qquad x \in X$$

if and only if there exist semi-inner-products  $[\cdot|\cdot]_X$  and  $[\cdot|\cdot]_Y$  in X and Y, respectively, such that

$$[fx|fy]_Y = \gamma^2 [x|y]_X, \qquad x, y \in X.$$
(2.1)

Moreover, if X = Y (with the same norm), then we get the assertion with the same semi-inner-product.

*Proof.* The sufficiency is obvious. To prove the necessity let us assume that X and Y are different normed spaces (at least the norms are different). Choose an arbitrary s.i.p.  $[\cdot|\cdot]_Y$  in Y. Then it suffices to define

$$[x|y]_X := \frac{1}{\gamma^2} \left[ fx | fy \right]_Y, \qquad x, y \in X$$

to obtain a s.i.p. in X such that (2.1) is satisfied. If X = Y and the norm is the same,  $[\cdot|\cdot]_X = [\cdot|\cdot]_Y$  is not guaranteed by the above reasoning (unless X is smooth which yields the uniqueness of s.i.p.). In this case one can apply the proof of Koehler and Rosenthal (with a slight modification concerning the constant  $\gamma$ ).

Koldobsky [16] showed that a linear mapping from a real normed space into itself, preserving the Birkhoff–James orthogonality must be a similarity. Blanco and Turnšek [3] extended it to complex spaces. **Theorem 2.2** ([3, Theorem 1.3]). Let X and Y be (real or complex) normed spaces and let  $f : X \to Y$  be a linear operator. Then f preserves the Birkhoff-James orthogonality, i.e.,

$$x \perp_{\mathrm{B}} y \Rightarrow fx \perp_{\mathrm{B}} fy, \qquad x, y \in X,$$

$$(2.2)$$

if and only if, for some  $\gamma > 0$ ,  $||fx|| = \gamma ||x||$ ,  $x \in X$ .

Taking X = Y and the identity mapping as f, we obtain:

**Corollary 2.3.** Let X be a vector space. Let  $\|\cdot\|_1$  and  $\|\cdot\|_2$  be two norms in X and let  $\perp_{B,1}$  and  $\perp_{B,2}$  denote the corresponding Birkhoff–James orthogonality relations. If  $\perp_{B,1} \subset \perp_{B,2}$ , then  $\|x\|_2 = \gamma \|x\|_1$  for all  $x \in X$ , with some  $\gamma > 0$  and, consequently,  $\perp_{B,1} = \perp_{B,2}$ .

Blanco and Turnšek remarked also that their proof of Theorem 2.2 can be easily adapted to the case where the Birkhoff–James orthogonality is replaced by a semi-orthogonality. Namely, we have the following result.

**Theorem 2.4** (cf. [3, Remark 3.2]). Let X and Y be (real or complex) normed spaces and let  $f : X \to Y$  be a linear operator preserving the semi-orthogonality related to some s.i.p.  $[\cdot|\cdot]_X$  and  $[\cdot|\cdot]_Y$  in X and Y, respectively, i.e.,

$$x \perp_{\mathbf{s}} y \Rightarrow fx \perp_{\mathbf{s}} fy, \qquad x, y \in X.$$
 (2.3)

Then, for some  $\gamma > 0$ ,  $||fx|| = \gamma ||x||$ ,  $x \in X$ .

All the above results enable us to list the following collection of equivalent conditions.

**Theorem 2.5.** Let X and Y be normed spaces. For a linear operator  $f : X \to Y$  the following conditions are equivalent:

 $\begin{array}{ll} \text{(a)} & \exists \gamma > 0 \ \forall x \in X & \|fx\| = \gamma \|x\|; \\ \text{(b)} & \exists \gamma > 0 \ \forall x, y \in X & [fx|fy]_Y = \gamma^2 \, [x|y]_X; \\ \text{(c)} & \exists \gamma > 0 \ \forall x, y \in X & | \, [fx|fy]_Y | = \gamma^2 | \, [x|y]_X |; \\ \text{(d)} & \forall x, y \in X & x \bot_{\mathrm{s}} y \ \Leftrightarrow \ fx \bot_{\mathrm{s}} fy; \\ \text{(e)} & \forall x, y \in X & x \bot_{\mathrm{s}} y \ \Rightarrow \ fx \bot_{\mathrm{s}} fy; \\ \text{(f)} & \forall x, y \in X & x \bot_{\mathrm{B}} y \ \Rightarrow \ fx \bot_{\mathrm{B}} fy; \\ \text{(g)} & \forall x, y \in X & x \bot_{\mathrm{B}} y \ \Leftrightarrow \ fx \bot_{\mathrm{B}} fy. \end{array}$ 

The conditions (b)–(e) should be understood that they are satisfied with respect to some semi-inner-products  $[\cdot|\cdot]_X$  and  $[\cdot|\cdot]_Y$  in X and Y, respectively.

*Proof.* (a) ⇒ (b) follows from Theorem 2.1; implications (b) ⇒ (c) ⇒ (d) ⇒ (e) are trivial; (e) ⇒ (a) from Theorem 2.4. This proves equivalency of (a)-(e). Moreover, it is easy to show (a) ⇒ (g), (g) ⇒ (f) is trivial and (f) ⇒ (a) follows from Theorem 2.2, which proves equivalency of (a), (f) and (g). □

*Remark* 2.6. Note that, in particular, the property that a linear mapping preserves the Birkhof-James orthogonality is equivalent to that it preserves the semiorthogonality (although  $\perp_{\rm B}$  and  $\perp_{\rm s}$  need not be equivalent unless we assume the smoothness of the norm). Remark 2.7. For the case X = Y the results are also true with the same semi-inner product applied for arguments and values (cf. remarks in the proof of Theorem 2.1).

Taking X = Y and the identity mapping we obtain:

**Corollary 2.8.** Let  $\|\cdot\|_1$  and  $\|\cdot\|_2$  be two norms in a linear space X (with some corresponding semi-inner-products  $[\cdot|\cdot]_1$  and  $[\cdot|\cdot]_2$ , semi-orthogonalities  $\perp_{s,1}, \perp_{s,2}$  and the Birkhoff-James orthogonalities  $\perp_{B,1}, \perp_{B,2}$ ). Then the following conditions are equivalent:

 $\begin{array}{ll} \text{(a)} & \exists \gamma > 0 \ \forall x \in X & \|x\|_2 = \gamma \|x\|_1; \\ \text{(b)} & \exists \gamma > 0 \ \forall x, y \in X & [x|y]_2 = \gamma^2 \, [x|y]_1; \\ \text{(c)} & \exists \gamma > 0 \ \forall x, y \in X & | \, [x|y]_2 \, | = \gamma^2 | \, [x|y]_1 \, |; \\ \text{(d)} & \perp_{\text{s},1} = \perp_{\text{s},2}; \\ \text{(e)} & \perp_{\text{s},1} \subset \perp_{\text{s},2}; \\ \text{(f)} & \perp_{\text{B},1} \subset \perp_{\text{B},2}; \\ \text{(g)} & \perp_{\text{B},1} = \perp_{\text{B},2}. \end{array}$ 

**Theorem 2.9.** Let X be a normed space. Suppose that there exists an inner product space Y and a linear mapping f from X into Y or from Y onto X such that f preserves the Birkhoff–James orthogonality. Then X is an inner product space (the norm in X comes from an inner product).

*Proof.* 1. Suppose that  $f : X \to Y$  is linear and  $x \perp_B y \Rightarrow fx \perp fy$  for all  $x, y \in X$ . From Theorem 2.2, there exists  $\gamma > 0$  such that  $||fx|| = \gamma ||x||$  for  $x \in X$ . Therefore, for all  $x, y \in X$ 

$$\begin{aligned} \|fx + fy\|^2 + \|fx - fy\|^2 - 2\|fx\|^2 - 2\|fy\|^2 \\ &= \gamma^2 \left(\|x + y\|^2 + \|x - y\|^2 - 2\|x\|^2 - 2\|y\|^2\right). \end{aligned}$$
(2.4)

Since the norm in Y satisfies the parallelogram identity, so does the norm in X whence X is an inner product. 2. Supposing that  $f: Y \to X$  is linear, surjective and  $x \perp y \Rightarrow fx \perp_{\mathrm{B}} fy$  for all  $x, y \in Y$ , using again Theorem 2.2 and (2.4), we get the assertion.

We follow Kestelman (cf. [19]) in saying that  $f: X \to Y$  preserves right-angles iff

$$x - z \perp_{\mathrm{B}} y - z \implies f(x) - f(z) \perp_{\mathrm{B}} f(y) - f(z), \qquad x, y, z \in X.$$

$$(2.5)$$

Obviously, provided f(0) = 0, it is a stronger condition than (2.3) whence a linear solution of (2.5) has to be a similarity. However, Tissier [19] has proved that for a real inner product space X (with dim  $X \ge 2$ ) no linearity assumption is needed to prove that (2.5) yields similarity of f. One can ask if it is also true in normed spaces, with the Birkhoff–James orthogonality.

# 3. Approximate orthogonality and approximately orthogonality preserving mappings

Let  $\varepsilon \in [0, 1)$ . The natural way to define an  $\varepsilon$ -orthogonality of vectors x, y in an inner product space is the following one:

$$x \perp^{\varepsilon} y \quad \Leftrightarrow \quad |\langle x | y \rangle| \le \varepsilon ||x|| ||y||.$$

In normed spaces, the following notion of the  $\varepsilon$ -Birkhoff–James orthogonality was introduced by Dragomir [10].

$$x_{\stackrel{\perp}{\varepsilon} \mathsf{B}} y :\Leftrightarrow \forall \lambda \in \mathbb{K} : \|x + \lambda y\| \ge (1 - \varepsilon)\|x\|.$$
(3.1)

Obviously, this relation generalizes the Birkhoff–James one. For inner product spaces, it can be shown that  $x \perp_{\varepsilon B} y \Leftrightarrow x \perp^{\delta} y$  with  $\delta := \sqrt{(2-\varepsilon)\varepsilon}$  (see [10, Proposition 1]). In order to have the latter equivalence with  $\delta = \varepsilon$ , one can consider (cf. [4]) a slight modification of (3.1)

$$x \perp_{\mathrm{D}}^{\varepsilon} y \iff \forall \lambda \in \mathbb{K} : ||x + \lambda y|| \ge \sqrt{1 - \varepsilon^2} ||x||.$$
 (3.2)

Suppose that there are two equivalent norms in X, i.e.,

$$m\|x\|_1 \le \|x\|_2 \le M\|x\|_1, \qquad x \in X$$

with some  $0 < m \leq M$ . Note that for  $x, y \in X$  such that  $x \perp_{B,1} y$  we have

$$\|x + \lambda y\|_2 \ge \frac{m}{M} \|x\|_2$$
 for all  $\lambda \in \mathbb{K}$ .

Therefore  $x_{\perp B,2} y$  with  $\varepsilon = 1 - \frac{m}{M}$ .

An alternative definition of the  $\varepsilon$ -Birkhoff–James orthogonality (not equivalent to (3.2) in general) was given by the author in [4].

$$x \perp_{\mathrm{B}}^{\varepsilon} y : \Leftrightarrow \forall \lambda \in \mathbb{K} : \|x + \lambda y\|^{2} \ge \|x\|^{2} - 2\varepsilon \|x\| \|\lambda y\|.$$
(3.3)

For a given semi-inner-product one can define the *approximate semi-orthogo*nality ( $\varepsilon$ -semi-orthogonality):

$$x \perp_{s}^{\varepsilon} y \quad :\Leftrightarrow \quad |[y|x]| \le \varepsilon ||x|| \cdot ||y||.$$

Note that for an inner product space:  $\perp_{s}^{\varepsilon} = \perp_{B}^{\varepsilon} = \perp_{D}^{\varepsilon} = \perp^{\varepsilon}$ . The author has proved also the following generalization of Theorem 1.1.

**Theorem 3.1** ([4, Theorem 3.3]). If X is a smooth normed space, then  $\bot_{\mathrm{B}}^{\varepsilon} = \bot_{\mathrm{s}}^{\varepsilon}$ .

Now, we can deal with mappings which approximately preserve the Birkhoff– James orthogonality. For  $\varepsilon \in [0, 1)$ ,  $f : X \to Y$  can be called an  $\varepsilon$ -orthogonality preserving mapping if it satisfies

$$x \perp_{\mathcal{B}} y \Rightarrow f(x) \perp_{\mathcal{E}} f(y), \qquad x, y \in X$$

or, in an alternative sense,

$$x \perp_{\mathrm{B}} y \Rightarrow f(x) \perp_{\mathrm{B}}^{\varepsilon} f(y), \qquad x, y \in X.$$
 (3.4)

Similarly, for given semi-inner-products in X and Y, one can consider mappings preserving *approximately* semi-orthogonality, i.e., satisfying:

$$x \perp_{\mathbf{s}} y \Rightarrow f(x) \perp_{\mathbf{s}}^{\varepsilon} f(y), \qquad x, y \in X.$$
 (3.5)

Note that, in view of Theorem 3.1, for smooth spaces X and Y the conditions (3.4) and (3.5) are equivalent.

In the realm of inner product spaces the class of linear approximately orthogonality preserving mappings has been characterized in [5, Theorem 2]. Recently Turnšek [20] has made some quantitative improvements so the result finally reads as follows.

**Theorem 3.2.** Let X and Y be inner product spaces and let  $f : X \to Y$  be a nontrivial linear mapping satisfying

$$x \perp y \Rightarrow fx \perp^{\varepsilon} fy, \qquad x, y \in X.$$

Then, with  $\gamma = ||f||$ ,

$$|\langle fx|fy\rangle - \gamma^2 \langle x|y\rangle| \le \frac{4\varepsilon}{1+\varepsilon} ||fx|| ||fy||, \quad x, y \in X.$$

**Problem 3.3.** In the realm of normed spaces, characterize the classes of linear mappings approximately preserving the Birkhoff–James orthogonality and the semi–orthogonality.

Now, let us consider a linear mapping which is close to a linear and orthogonality preserving one.

**Theorem 3.4.** Let X and Y be normed spaces and let  $f : X \to Y$  be a linear Birkhoff–James orthogonality preserving mapping (i.e., f satisfies (2.3)). Assume that  $g : X \to Y$  is linear and, with some  $\varepsilon \in [0, 1)$ ,

$$\|f - g\| \le \frac{\varepsilon}{2 - \varepsilon} \|f\|.$$
(3.6)

Then g is an  $\varepsilon$ -orthogonality preserving mapping in the sense of Dragomir.

*Proof.* Setting  $\gamma := ||f||$  and  $\delta := \frac{\varepsilon \gamma}{2-\varepsilon} < \gamma$  we have from (3.6):

 $||fx - gx|| \le \delta ||x||, \qquad x \in X.$ 

Since we have from Theorem 2.2,  $||fx|| = \gamma ||x||$ , we get

$$|\gamma||x|| - ||gx||| = |||fx|| - ||gx||| \le ||fx - gx|| \le \delta ||x||, \quad x \in X.$$

Hence

$$(\gamma - \delta) \|x\| \le \|gx\| \le (\gamma + \delta) \|x\|, \qquad x \in X$$

and

$$\frac{\|gx\|}{\gamma+\delta} \le \|x\| \le \frac{\|gx\|}{\gamma-\delta}, \qquad x \in X.$$

Let  $x \perp_{\mathrm{B}} y$ . Then, for arbitrary  $\lambda \in \mathbb{K}$ ,  $||x + \lambda y|| \geq ||x||$ , and thus

$$\begin{aligned} \|gx + \lambda gy\| &= \|g(x + \lambda y)\| \ge (\gamma - \delta) \|x + \lambda y\| \\ &\ge (\gamma - \delta) \|x\| \ge \frac{\gamma - \delta}{\gamma + \delta} \|gx\| \\ &= (1 - \varepsilon) \|gx\|. \end{aligned}$$

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The problem arises whether the reverse is true. Namely, whether each  $\varepsilon$ orthogonality preserving linear mapping g can be approximated by a linear orthogonality preserving one. In [5] and [6] author considered this stability problem
in the realm of inner product spaces obtaining a positive answer under the assumption that the domain is finite-dimensional. It has been extended to the
general case by Turnšek [20].

**Theorem 3.5** ([20, Theorem 2.3], cf. also [6, Theorem 4]). Let X and Y be Hilbert spaces and let  $f: X \to Y$  be a linear mapping satisfying

$$x \perp y \quad \Rightarrow \quad fx \perp^{\varepsilon} fy, \qquad x, y \in X.$$
 (3.7)

Then there exists a linear orthogonality preserving mapping  $T: X \to Y$  such that

$$\|f - T\| \le \left(1 - \sqrt{\frac{1 - \varepsilon}{1 + \varepsilon}}\right) \min\{\|f\|, \|T\|\}.$$

$$(3.8)$$

It has been also proved by Turnšek [20, Example 2.4] that the approximation (3.8) is sharp.

**Problem 3.6.** Verify the stability of the orthogonality preserving property with respect to the Birkhoff–James orthogonality and the semi–orthogonality.

For Hilbert spaces X and Y, a mapping  $f: X \to Y$  satisfying

$$x - z \perp y - z \quad \Rightarrow \quad f(x) - f(z) \perp^{\varepsilon} f(y) - f(z), \qquad x, y, z \in X$$
(3.9)

and f(0) = 0 satisfies also (3.7). Thus using Theorem 3.5 we get that for each linear mapping f satisfying (3.9), there exists a linear orthogonality preserving (whence also right-angle preserving) mapping T such that the approximation (3.8) holds.

**Problem 3.7.** In normed spaces consider the stability question for the Birkhoff–James right-angle preserving property.

For inner product spaces, strong relationships has been shown between the stability of the orthogonality preserving property and the stability of the *orthogonality equation* 

$$\langle f(x)|f(y)\rangle = \langle x|y\rangle.$$

Various kinds of stability of this equation has been studied by the author (see [1, 7]) and by other authors ([14, 18]), also in more general settings ([8]). It seems that the following problem can be related with previously mentioned ones.

Problem 3.8. Consider the stability of the equation

$$[f(x)|f(y)] = [x|y], \qquad x, y \in X$$

with the class of approximate solutions defined by the inequality

$$|[f(x)|f(y)] - [x|y]| \le \varepsilon ||x||^p ||y||^p, \quad x, y \in X$$

where  $p \in \mathbb{R}$  is given (in particular with p = 1).

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