# The Functional Equation of Homogeneity and its Stability Properties

By

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#### 1. Introduction

In [4] Z. Kominek and J. Matkowski investigated the stability behaviour of the functional equation

$$f(\alpha x) = \alpha f(x).$$

Contrasting earlier "superstability" results of Jósef Tabor ([6]) and of Jacek and Jósef Tabor ([7]) [4] contains *stability* results. This means that for approximately homogeneous functions the existence of homogeneous functions close to but different from the given ones is proved. The theorem reads as follows.

**Theorem 1.** ([4]) Let X be a real vector space and let  $S \subseteq X$  be a cone (i.e.,  $S \neq \emptyset$  and  $\alpha S \subseteq S$  for all  $\alpha > 0$ ). Let Y be a sequentially complete topological vector space which is Hausdorff. Then: If  $f: S \to Y$  is such that

$$\alpha^{-1} f(\alpha x) - f(x) \in V \quad (x \in S, \alpha \in A)$$
 (1)

where  $V \subseteq Y$  is a bounded subset of Y and A is a subset of  $]1, \infty[$  with nonempty interior, then there is a (unique)  $F: S \to Y$  such that F is  $\mathbb{R}_+$ -homogeneous and such that f - F is bounded (by some bound depending on V).

Tabor's result ([6]) adapted to the above situation is the following.

If  $\alpha^{-1}f(\alpha x) - f(x) \in V$   $(x \in S, \alpha > 0)$  then f is homogeneous ("Superstability").

My aim is to generalize the results of Theorem 1. To motivate this generalization note that (1) may be rewritten as

$$f(\alpha x) - \alpha f(x) \in \alpha V \quad (x \in S, \alpha \in A), \tag{1'}$$

where  $\alpha \mapsto \alpha$  is a (very special) multiplicative function and  $\alpha V$  is bounded. Moreover multiplying elements of S by positive reals is a special case of a *group action*. (The latter aspect also is taken into consideration in [7].)

Facts and notations in connection with topological vector spaces (tvs) are taken from [5]. A subset B of a real or complex tvs Y is called bounded if for every neighbourhood U of  $0 \in Y$  there is some scalar  $\alpha > 0$  such that  $B \subseteq \beta U$  for all  $|\beta| \ge \alpha$ . Obviously subsets of bounded sets and finite unions of bounded sets are bounded. Moreover  $\lambda A + B$  is bounded if A and B are bounded and if  $\lambda \in \mathbb{K}$  is arbitrary. ( $\mathbb{K} \in \{\mathbb{R}, \mathbb{C}\}$  denotes the ground field of the tvs Y.) If Y is locally convex then the absolute convex hull (and the convex hull) of a bounded subset is also bounded. (Following the notation in [5] the convex hull and the absolute convex hull of a subset A of Y are denoted by  $\operatorname{cx}(A)$  and  $\operatorname{acx}(A)$  respectively.

The general setting used in the sequel is the following.

- $X \neq \emptyset$ , a set,
- G a semigroup (with or without unit),
- ::  $G \times X \to X$  a semigroup action of G on X, i.e.,  $(gh) \cdot x = g \cdot (h \cdot x)$  for all  $g, h \in G$  and all  $x \in X$ ,  $1 \cdot x = x$  for all  $x \in X$ , if G is a semigroup with unit 1,
- Y a K-tvs which is Hausdorff,
- $V: G \rightarrow \mathfrak{B}(Y)$  a mapping from G into the set of  $\mathfrak{B}(Y)$  of bounded subsets of Y,
- $f:X \to Y$ ,
- $M: G \to \mathbb{K}$ .

# 2. Global Stability Results

We have the following

# **Theorem 2.** *If*

$$f(\alpha x) - M(\alpha) f(x) \in V(\alpha) \quad (x \in X, \alpha \in G)$$
 (2)

and if f is unbounded (i.e., the set f(X) is not bounded) then we have

$$M(\alpha\beta) = M(\alpha)M(\beta) \quad (\alpha, \beta \in G), \tag{3}$$

i.e.,  $M: G \rightarrow \mathbb{K}$  is a "multiplicative" function.

*Proof*: For  $\alpha, \beta \in G$  and  $x \in X$  we have—using (2)—

$$\begin{split} (M(\alpha\beta)-M(\alpha)M(\beta))f(x) &= M(\alpha\beta)f(x) - f(\alpha\beta x) + f\left(\alpha(\beta x)\right) \\ &- M(\alpha)f(\beta x) + M(\alpha)\left(f(\beta x)\right) \\ &- M(\beta)f(x)) \in - V(\alpha\beta) \\ &+ V(\alpha) + M(\alpha)V(\beta). \end{split}$$

Thus

$$(M(\alpha\beta) - M(\alpha)M(\beta))f(X) \subseteq V_{\alpha,\beta} := -V(\alpha\beta)$$

$$+ V(\alpha) + M(\alpha)V(\beta) \in \mathfrak{B}(Y)$$

implying by the unboundedness of f that  $(M(\alpha\beta) - M(\alpha\beta)) = 0$ .

**Corollary 1.** (Baker, Ger [1], [2].) Let  $M: G \to \mathbb{K}$  be such, that

$$|M(xy) - M(x)M(y)| \le v(x) \quad (x, y \in G)$$

for some  $v: G \to \mathbb{R}$ . Then M is either bounded or multiplicative.

*Proof*: Take X = G,  $Y = \mathbb{K}$ , f = M, and  $V(x) := \{y \in \mathbb{K} \mid |y| \le v(x)\}$  and apply Theorem 2.

According to Theorem 2 there is no loss of generality in assuming M to be multiplicative provided that f is unbounded. (The latter case seems to be the only interesting one, since for bounded f the left-hand side of (2) is bounded with respect to  $x \in X$  anyway.) Thus, from now on, we assume the multiplicativity of M; and we call  $F: X \to Y$  "M-homogeneous" if

$$F(\alpha x) = M(\alpha)F(x) \quad (x \in X, \alpha \in G).$$

**Theorem 3.** Let G be a semigroup with unit, let X and Y be as above and assume that Y is locally convex and sequentially complete. Suppose furthermore that for some  $\alpha_0 \in G$  we have

$$f(\alpha \alpha_0 x) = f(\alpha_0 \alpha x) \quad (x \in X, \alpha \in G) \quad \text{and} \quad |M(\alpha_0)| > 1.$$
 (4)

Then condition (2) implies that there is a unique M-homogeneous function  $F: X \to Y$  such that the difference f - F is bounded. A bound is given by the set

$$(|M(\alpha_0)|-1)^{-1}\operatorname{seqcl}(\operatorname{acx}(V(\alpha_0))), i.e.,$$

$$(f-F)(X) \subseteq \frac{1}{|M(\alpha_0)|-1} \operatorname{seqcl}(\operatorname{acx}(V(\alpha_0))). \tag{5}$$

Moreover, if  $\mathbb{K} = \mathbb{R}$  and if  $M(\alpha_0) > 1$ 

$$(f-F)(X) \subseteq \frac{1}{M(\alpha_0) - 1} \operatorname{seqcl}(\operatorname{cx}(V(\alpha_0) \cup \{0\})). \tag{6}$$

(The sequential closure of  $V \subseteq Y$  is denoted by seqcl(V).)

*Proof*: Suppose that F is M-homogeneous and assume that the image of X under f - F is contained in  $W \in \mathfrak{B}(Y)$ :

$$(f-F)(X) \subseteq W$$
.

Then

$$f(\alpha_0^n x) - F(\alpha_0^n x) = f(\alpha_0^n x) - M(\alpha_0)^n F(x) \in W \quad (x \in X, n \in \mathbb{N})$$

or

$$M(\alpha_0)^{-n}f(\alpha_0^n x) - F(x) \in M(\alpha_0)^{-n} W$$

implying - since W is bounded - that

$$F(x) = \lim_{n \to \infty} \frac{f(\alpha_0^n)}{M(\alpha_0)^n}.$$
 (7)

This shows uniqueness.

To show existence (6) gives a hint what to do. Let us define

$$\varphi_{n}(x) := \frac{f(\alpha_{0}^{n} x)}{M(\alpha_{0})^{n}}.$$

Then

$$\varphi_{n+1}(x) - \varphi_n(x) = \frac{1}{M(\alpha_0)^{n+1}} (f(\alpha_0^{n+1}x) - M(\alpha_0)f(\alpha_0^n x)) \in \frac{1}{M(\alpha_0)^{n+1}} V(\alpha_0).$$

Putting  $k:=M(\alpha_0)$  and taking  $\ell>0$  we get for all  $n\in\mathbb{N}_0$ 

$$\varphi_{n+\ell}(x) - \varphi_n(x) = \sum_{j=n}^{n+\ell-1} (\varphi_{j+1}(x) - \varphi_j(x)) \in \sum_{j=n}^{n+\ell-1} k^{-(j+1)} V(\alpha_0)$$

$$\subseteq \sum_{j=n}^{n+\ell-1} |k|^{-(j+1)} \operatorname{acx}(V(\alpha_0))$$

$$\subseteq \frac{1}{|k|^n (|k|-1)} \operatorname{acx}(V(\alpha_0)). \tag{8}$$

The latter inclusion is valid since for absolute convex set W the relations

$$rW + sW \subseteq (|r| + |s|)W$$
 and  $pW \subseteq qW$   $(p,q,r,s \in \mathbb{K}, |p| \le |q|)$ 

hold true.

Since  $acx(V(\alpha_0))$  is also bounded (8) shows that the sequence  $(\varphi_n(x))_{n\in\mathbb{N}}$  is a Cauchy sequence and that

$$\varphi_{n}(x) - \varphi_{0}(x) \in \frac{1}{|k| - 1} \operatorname{acx} V(\alpha_{0}). \tag{9}$$

Since *Y* is sequentially complete the pointwise limit  $F := \lim_{n \to \infty} \varphi_n$  exists. Letting n tend to  $\infty$  in (9) and noting that  $\varphi_0 = f$  then leads to

$$F(x) - f(x) \in \frac{1}{|k| - 1} \operatorname{seqcl} \left( \operatorname{acx} \left( V(\alpha_0) \right) \right) \quad (x \in X). \tag{10}$$

Now we show that F is M-homogeneous. We consider the difference

$$\varphi_n(\alpha x) - M(\alpha) \varphi_n(x)$$

and get by using the first part of (4)

$$\begin{split} \varphi_{\scriptscriptstyle n}(\alpha x) - M(\alpha) \, \varphi_{\scriptscriptstyle n}(x) &= M(\alpha_0)^{-n} (f(\alpha_0'' \alpha x) - M(\alpha) f(\alpha_0'' x)) \\ &= M(\alpha_0)^{-n} (f(\alpha \alpha_0'' x) - M(\alpha) f(\alpha_0'' x)) \\ &\in M(\alpha_0)^{-n} \, V(\alpha) \end{split}$$

This shows that  $\varphi_n(\alpha x) - M(\alpha)\varphi_n(x)$  tends to 0 when n goes to  $\infty$ . But this means that  $F(\alpha x) - M(\alpha x)F(x) = 0$  (for all  $\alpha \in G$  and all  $x \in X$ ) as desired.

Similar arguments may be used when  $\mathbb{K} = \mathbb{R}$  and  $k := M(\alpha_0) > 1$ . Denoting by V' the convex closure of  $V(\alpha_0) \cup \{0\}$  and observing that for convex sets W and real numbers  $r_1, \dots, r_m > 0$ 

$$r_1 W + r_2 W + \dots + r_m W \subseteq \left(\sum_{j=1}^m r_j\right) W$$

and that moreover

$$rW \subseteq sW$$
 if  $0 \in W$  and  $0 \le r \le s$ 

we get

$$\varphi_{n+\ell}(x) - \varphi_n(x) \in \frac{1}{k^n(k-1)} V'. \tag{8'}$$

From this point on one may argue as before.

**Remark 1.** The condition  $f(\alpha \alpha_0 x) = f(\alpha_0 \alpha x)$  for all  $\alpha \in G$  and all  $x \in X$  holds for example when  $\alpha_0 \in C(G)$ , the center of G; in particular it holds for abelian semigroups G.

**Remark 2.** The theorem becomes false if M = 1. A counterexample is provided by

$$G = X = Y = \mathbb{R}, \alpha \cdot x := \alpha + x, f(x) := \int_{0}^{x} \frac{1}{\sqrt{1 + |t|}} dt, V(\alpha)$$
$$:= \left\{ y \in \mathbb{R} |y| \le |\alpha| \right\},$$

because f is unbounded  $(f(x) = 2 \operatorname{sign}(x)(\sqrt{1+|x|} - 1))$  and because the only 1-homogeneous functions are the constant ones.

#### 3. Local Results

Theorem 3 does not cover the situation given in Theorem 1 since (1') is supposed to hold for  $\alpha \in A$  only. (Kominek-Matkowski consider the situation when X = S is a cone in some real vector space,  $G = \mathbb{R}_{>0}$ , the set of all positive reals, and  $M(\alpha) = \alpha$ .) But note that the condition  $A^{\circ} \neq \emptyset$  used in [4] implies that A generates the multiplicative group  $\mathbb{R}_{>0} \colon \mathbb{R}_{>0} = \langle A \rangle$ .

The following theorem covers Theorem. 1.

**Theorem 4.** Let G be a semigroup with unit acting on the non-empty set X. Let  $A \subseteq G$  generate G as a semigroup, i.e.

$$G = \langle A \rangle_{::}$$
 = set of all finite products of elements in A.

Suppose that  $f: X \to Y$ , Y a locally convex sequentially complete tvs over  $\mathbb{K}$ , and  $M: G \to \mathbb{K}$ , M multiplicative, satisfy

$$f(\alpha x) - M(\alpha)f(x) \in V(\alpha) \quad (\alpha \in A, x \in X),$$
 (2')

where  $V: A \rightarrow \mathfrak{B}(Y)$ .

Then there exists a (unique) M-homogeneous function  $F: X \to Y$  such that f - F is bounded provided that for some  $\alpha_0 \in A$  we have

$$f(\alpha \alpha_0 x) = f(\alpha_0 \alpha x) \quad (\alpha \in A, x \in X) \quad \text{and} \quad |M(\alpha_0)| > 1.$$

If G is a group and if A generates G as a group,  $G = \langle A \rangle$ , the assertion of the theorem remains true provided that we assume the same hypotheses as before.

*Proof*: Obviously it is enough to show the existence of some  $V': G \rightarrow \mathfrak{B}(Y)$  such that

$$f(\alpha x) - M(\alpha)f(x) \in V'(\alpha) \quad (\alpha \in G, x \in X)$$

holds, since then we may apply Theorem 3.

For  $n \in \mathbb{N}_0$  let  $A_n$  be the set of products  $\prod_{j=1}^{\ell} \alpha_j$  with  $0 \le \ell \le n$  and arbitrary  $\alpha_1, \dots, \alpha_{\ell} \in A$ . Define

$$V_0: A_0 \to \mathfrak{B}(Y)$$

by  $V_0(1) := \{0\}$ ; then

$$f(\alpha x) - M(\alpha) f(x) \in V_{\ell}(\alpha) \quad (\alpha \in A_{\ell}, x \in X)$$
 (11)

for  $\ell = 0$  since M(1) = 1. Now, suppose that (11) holds for some  $\ell \ge 0$  where

$$V_{\ell}: A_{\ell} \to \mathfrak{B}(Y)$$

is such that the restriction  $V_{\ell}|A_{\ell-1}$  of  $V_{\ell}$  to  $A_{\ell-1}$  satisfies  $V_{\ell}|A_{\ell-1} = V_{\ell-1}$ . Consider  $\gamma \in A_{\ell+1} \setminus A_{\ell}$  and write  $\gamma = \alpha \beta$  with  $\alpha \in A_{\ell}$ ,  $\beta \in A$ . Then

$$\begin{split} f(\gamma x) - M(\gamma) f(x) &= f(\alpha \beta x) - M(\alpha) f(\beta x) + M(\alpha) \left( f(\beta x) - M(\beta) f(x) \right) \\ &\in V_{\ell}(\alpha) + M(\alpha) \ V(\beta) =: V_{\ell+1}(\gamma) \end{split}$$

showing how to define  $V_{\ell+1}$ .

The function V', defined by  $V'|A_{\ell} := V_{\ell}$  for all  $\ell$ , then has the required properties, at least in the semigroup case.

In the group case we observe that G is generated by  $A \cup A^{-1}$  as a semigroup. Thus it is enough to find a suitable extension of V to  $A \cup A^{-1}$  (and to use the foregoing procedure). Note that  $M(\alpha) \neq 0$  for all  $\alpha \in G$  since G is a group. So let us define

$$V(\alpha^{-1}) := -M(\alpha)^{-1}V(\alpha) \quad (\alpha \in A \setminus A^{-1}).$$

Then  $f(\alpha x) - M(\alpha) f(x) \in V(\alpha)$  for  $\alpha^{-1}x$  instead of x implies

$$f(x) - M(\alpha) f(\alpha^{-1}x) \in V(\alpha)$$
 or  $f(\alpha^{-1}x) - M(\alpha^{-1}) f(x) \in V(\alpha^{-1})$ .

**Remark 3.** Even in the Kominek-Matkowski case the condition that A generates G as a group is weaker than the weakest condition given in [4]. This condition reads as

$$A \subseteq ]1, \infty[$$
 and  $\underbrace{(A \cdot ... \cdot A)^{\circ}}_{n \text{ times}} \neq \emptyset$  for some  $n \in \mathbb{N}$ .

In fact, there are subsets  $\mathcal{A}$  of ]1, $\infty$ [ such that

$$\langle A \rangle = \mathbb{R}_{>0}$$
 and  $(A \cdot ... \cdot A)^{\circ} = \emptyset$  for all  $n \in \mathbb{N}$ .

An example is given by the following. Let  $H \subseteq [0, \infty[$  be a Hamel basis of  $\mathbb{R}$  and put  $A' := \bigcup_{n \in \mathbb{N}} \frac{1}{n!} H$ . Then it is easy to see that A' generates the additive group  $\mathbb{R}$  and that  $(A' + \cdots + A')^{\circ} = \emptyset$  for all  $n \in \mathbb{N}$ . Thus

 $A := \exp(A')$  has the desired property.

R. Ger (personal communication) points out that also  $\exp(A'')$  with

$$\mathcal{A}'' = \sum_{b \in H} \mathbb{Q}_{\geq 0} b$$

has the desired property. (A'' is the set of finite linear combinations of elements of H with non negative rational coefficients.)

## 4. A Noncommutative Example

Of course there are many special cases of the above theorems, among others those given in [4]. Here I want to present an example where the (semi-)group involved is not abelian.

**Theorem 5.** Let X be a finite dimensional  $\mathbb{K}$ -vector space of dimension n greater than 1 and let the group  $G:=\operatorname{Aut}(X)$  of linear automorphisms of X act on X in the canonical way (Ax=A(x)). Let furthermore  $M:G\to\mathbb{K}$  be multiplicative such that  $|M|\neq 1$ . Then, given any mapping  $V:G\to\mathfrak{B}(Y)$  where Y is a locally convex and Hausdorff tvs over  $\mathbb{K}$  (not necessarily sequentially complete), we have that any  $f:X\to Y$  such that

$$f(Ax) - M(A) f(x) \in V(A) \quad (A \in G, x \in X)$$

is bounded; especially this means that the zero function is the only M-homogeneous function mapping X into  $\mathbb{K}$ .

*Proof*: Due to [3] the multiplicative function M may be represented in the form

$$M(A) = m(\det(A))$$
 with  $m: \mathbb{K}^* \to \mathbb{K}$  multiplicative.

If M=0 the assertion is obviously true  $(f(\mathrm{id}_Xx) \in V(\mathrm{id}_X))$ . Otherwise  $M(G) \subseteq \mathbb{K}^* := \mathbb{K} \setminus \{0\}$ . By assumption we have  $|M| \neq 1$ . Thus there is some  $A_1 \in G$  such that  $|M(A_1)| > 1$ . Our next aim is to show that F=0 is the only M-homogeneous function.

Let  $F: X \to Y$  be M-homogeneous. Then  $F(0) = F(A_10) = M(A_1)F(0)$ ; thus F(0) = 0. If  $0 \neq x \in X$ , then there is a basis  $\{x_1 = x, x_2, \dots, x_n\}$  of X containing x. For  $\lambda_2, \lambda_3, \dots, \lambda_n \in \mathbb{K}^*$  the set  $\{y_1 = x, y_2 = \lambda_2 x_2, \dots, y_n = \lambda_n x_n\}$  is another basis of X. Then there is some A in G such that  $A(x_j) = y_j$  for all  $1 \leq j \leq n$ . In particular we have A(x) = x. Choosing  $\lambda_j := 1, 2 \leq j \leq n-1$  and  $\lambda_n := \det(A_1)$  implies  $M(A) = m(\det(A)) = m(\det(A_1)) = m(\det(A_1)) = m(A_1)$  since  $\det(A) = \lambda_2 \cdot \lambda_3 \cdot \dots \cdot \lambda_n$ . Thus  $F(x) = F(Ax) = M(A)F(x) = M(A_1)F(x)$  and F(x) = 0, as desired.

To finish the proof we may assume that Y is also sequentially complete, because we may embed Y into a (sequentially) complete locally convex

and Hausdorff tvs ([J]) and because subsets of Y are bounded in the completion iff they are bounded in Y. Furthermore we may assume that  $\lambda := \det(A_1)$  has an nth root in  $\mathbb{K}$ . This is trivial for  $\mathbb{K} = \mathbb{C}$ . If  $\mathbb{K} = \mathbb{R}$  this can be achieved by using  $A_1^2$  instead of  $A_1$  which makes  $\lambda$  positive. In any case  $A_0 := \sqrt[n]{\lambda} \operatorname{id}_X$  lies in the center of G. Moreover

$$|M(A_0)| = |m(\sqrt[n]{\lambda})| = |M(A_1)| > 1.$$

### 5. Tabor's Superstability Result

The following theorem generalizes some results of [7].

**Theorem 6.** Let X and G be as in the introduction, G with unit, let Y be a Hausdorff tvs and  $Y_1$  a subset of Y such that G operates on  $Y_1$  with  $y \mapsto \alpha y$  continuous for all  $\alpha \in G$ , and let  $V: G \times X \to \mathfrak{B}(Y)$  be such, that there exists a sequence  $(\alpha_n)_{n \in \mathbb{N}}$  of invertible elements in G with the property that for arbitrary  $\alpha \in G$  and  $x \in X$ 

$$\lim_{n\to\infty} y_n = 0$$

for all sequences  $(y_n)$  where  $y_n \in V(\alpha \alpha_n, \alpha_n^{-1} x)$ . Then any function  $f: X \to Y_1$  satisfying

$$f(\alpha x) - \alpha f(x) \in V(\alpha, x) \quad (\alpha \in G, x \in X)$$
 (12)

is homogeneous, i.e.

$$f(\alpha x) = \alpha f(x) \quad (\alpha \in G, x \in X).$$

(The operation of G on  $Y_1$  is again denoted by  $(\alpha, y) \mapsto \alpha y$ .)

*Proof*: Using (12) for  $\alpha \alpha_n$  and  $\alpha_n^{-1} x$  gives

$$f(\alpha x) - \alpha \alpha_n f(\alpha_n^{-1} x) \in V(\alpha \alpha_n, \alpha_n^{-1} x) \quad (\alpha \in G, x \in X, n \in \mathbb{N})$$

showing that

$$f(\alpha x) = \lim_{n \to \infty} \alpha \alpha_n f(\alpha_n^{-1} x) \quad (\alpha \in G, x \in X).$$

Putting  $\alpha = 1$  and using the continuity of  $y \rightarrow \alpha y$  thus yields

$$f(x) = \lim_{n \to \infty} \alpha_n f(\alpha_n^{-1} x) \quad (x \in X)$$

and

$$f(\alpha x) = \lim_{n \to \infty} \alpha \alpha_n f(\alpha_n^{-1} x) = \alpha \lim_{n \to \infty} \alpha_n f(\alpha_n^{-1} x) = \alpha f(x) \quad (\alpha \in G, x \in X).$$

**Remark 4.** The original result was the special case that  $\mathbb{R}$  operates on invariant subsets X of a real vectorspace and  $Y_1$  of a Hausdorff tvs by multiplication by scalars.  $V(\alpha, x)$  was of the form  $g(\alpha, x)V$  with  $V \in \mathfrak{B}$  and  $g: G \times X \to \mathbb{R}$  satisfying  $\lim_{n \to \infty} (\alpha \alpha_n, \alpha_n^{-1} x) = 0$ . It is easy to see that the bounded sets  $g(\alpha, x)V$  are a (very) special case of sets  $V(\alpha, x)$  as above.

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