

## A NON-INJECTIVE VERSION OF WIGNER'S THEOREM

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*Abstract.* Let  $H$  be a complex Hilbert space and let  $\mathcal{F}_s(H)$  be the real vector space of all self-adjoint finite rank operators on  $H$ . We prove the following non-injective version of Wigner's theorem: every linear operator on  $\mathcal{F}_s(H)$  sending rank one projections to rank one projections (without any additional assumption) is either induced by a linear or conjugate-linear isometry or constant on the set of rank one projections.

### 1. Introduction

Wigner's theorem plays an important role in mathematical foundations of quantum mechanics. Pure states of a quantum mechanical system are identified with rank one projections (see, for example, [21]) and Wigner's theorem [22] characterizes all symmetries of the space of pure states as unitary and anti-unitary operators. We present a non-injective version of this result in terms of linear operators on the real vector space of self-adjoint finite rank operators which send rank one projections to rank one projections.

Let  $H$  be a complex Hilbert space. For every natural  $k < \dim H$  we denote by  $\mathcal{P}_k(H)$  the set of all rank  $k$  projections, i.e. bounded self-adjoint idempotent operators of rank  $k$ . Let  $\mathcal{F}_s(H)$  be the real vector space of all self-adjoint finite rank operators on  $H$ . This vector space is spanned by  $\mathcal{P}_k(H)$ , see e.g. [10, Lemma 2.1.5].

Classical Wigner's theorem says that every bijective transformation of  $\mathcal{P}_1(H)$  preserving the angle between the images of any two projections, or equivalently, preserving the trace of the composition of any two projections, is induced by a unitary or anti-unitary operator. The first rigorous proof of this statement was given in [8], see also [20] for the case when  $\dim H \geq 3$ . By the non-bijective version of this result [2, 3, 4], arbitrary (not necessarily bijective) transformation of  $\mathcal{P}_1(H)$  preserving the angles between the images of projections (it is clear that such a transformation is injective) is induced by a linear or conjugate-linear isometry.

Various analogues of Wigner's theorem for  $\mathcal{P}_k(H)$  can be found in [5, 6, 7, 9, 10, 11, 12, 13, 15, 17]. In particular, transformations of  $\mathcal{P}_k(H)$  preserving principal angles between the images of any two projections and transformations preserving the trace of the composition of any two projections are determined in [9, 11] and [5], respectively. All such transformations are induced by linear or conjugate-linear isometries, except

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in the case  $\dim H = 2k \geq 4$  when there is an additional class of transformations. The description of transformations preserving the trace of the composition given in [5] is based on the following fact from [9]: every transformation of  $\mathcal{P}_k(H)$  preserving the trace of the composition of two projections can be extended to an injective linear operator on  $\mathcal{F}_s(H)$ . So, there is an intimate relation between Wigner's type theorems mentioned above and results concerning linear operators sending projections to projections [1, 14, 16, 19].

Consider a linear operator  $L$  on  $\mathcal{F}_s(H)$  such that

$$L(\mathcal{P}_k(H)) \subset \mathcal{P}_k(H) \quad (1)$$

such that the restriction of  $L$  to  $\mathcal{P}_k(H)$  is injective. We also assume that  $\dim H \geq 3$ . By [14], this operator is induced by a linear or conjugate-linear isometry if  $\dim H \neq 2k$ . In the case when  $\dim H = 2k$ , it can be also a composition of an operator induced by a linear or conjugate-linear isometry and an operator which sends any projection on a  $k$ -dimensional subspace  $X$  to the projection on the orthogonal complement  $X^\perp$ . This statement is a small generalization of the result obtained in [1]. The main result of [14] concerns linear operators sending  $\mathcal{P}_k(H)$  to  $\mathcal{P}_m(H)$ , as above, whose restrictions to  $\mathcal{P}_k(H)$  are injective.

In this paper, we determine all possibilities for a linear operator  $L$  on  $\mathcal{F}_s(H)$  satisfying (1) for  $k = 1$  without any additional assumption. Such an operator is either induced by a linear or conjugate-linear isometry or its restriction to  $\mathcal{P}_1(H)$  is constant. We mention that this result could be easily obtained from [18, Theorem 2.1], as such a map  $L$  clearly preserves the adjacency relation on the set  $\mathcal{F}_s(H)$ . However, we will present an elementary approach by only using the Wigner's theorem.

Some remarks concerning the case when  $k > 1$  will be given in the last section.

## 2. The main result

We investigate linear maps on  $\mathcal{F}_s(H)$  preserving the set of projections of rank one. Our main result is the following.

**THEOREM 1.** *Let  $H$  be a complex Hilbert space,  $\dim H \geq 2$ , and  $L: \mathcal{F}_s(H) \rightarrow \mathcal{F}_s(H)$  a linear map. Then we have*

$$L(\mathcal{P}_1(H)) \subset \mathcal{P}_1(H) \quad (2)$$

*if and only if either there exists  $P_0 \in \mathcal{P}_1(H)$  such that*

$$L(A) = (\operatorname{tr} A)P_0, \quad A \in \mathcal{F}_s(H)$$

*or there exists a linear or conjugate-linear isometry  $U: H \rightarrow H$  such that*

$$L(A) = UAU^*, \quad A \in \mathcal{F}_s(H).$$

### 3. Preliminaries

Denote by  $P_X$  the projection whose image is a closed subspace  $X \subset H$ . Since  $P_X$  belongs to  $\mathcal{P}_k(H)$  if and only if  $X$  is  $k$ -dimensional,  $\mathcal{P}_k(H)$  will be identified with the Grassmannian  $\mathcal{G}_k(H)$ . For any subspace  $Z \subset H$ , denote

$$\langle Z \rangle_1 = \{X \in \mathcal{G}_1(H) \mid X \subset Z\}.$$

If  $\dim H \geq 2$ , then  $\mathcal{G}_1(H)$  is a projective space, whose projective lines are exactly sets of the form  $\langle S \rangle_1$ ,  $S \in \mathcal{G}_2(H)$ .

We will show that the maps  $f$ , satisfying (2), behave nicely on projective lines in  $\mathcal{G}_1(H)$ . In order to do that, we will need the following concept, which is a modification of the concept, introduced in [5]. For any  $X, Y \in \mathcal{G}_1(H)$  and  $t \in (\frac{1}{2}, \infty)$ , define the set

$$\chi_t(X, Y) = \{Z \in \mathcal{G}_1(H) : t(P_X + P_Y) + (1 - 2t)P_Z \in \mathcal{P}_1(H)\}.$$

The following lemma describes this set.

LEMMA 1. *Let  $X, Y \in \mathcal{G}_1(H)$  and  $t \in (\frac{1}{2}, \infty)$ . Then the following statements hold.*

- $\chi_t(X, Y) \subset \langle X + Y \rangle_1$
- $\chi_t(X, Y) \neq \emptyset \iff \text{tr}(P_X P_Y) \geq (1 - \frac{1}{t})^2$
- *If  $X$  and  $Y$  are orthogonal, then  $\chi_1(X, Y) = \langle X + Y \rangle_1$ .*
- *If  $X \neq Y$  and  $\text{tr}(P_X P_Y) > (1 - \frac{1}{t})^2$ , then  $\chi_t(X, Y)$  is homeomorphic to a circle.*
- *If  $X = Y$  or  $\text{tr}(P_X P_Y) = (1 - \frac{1}{t})^2 \neq 0$ , then  $\chi_t(X, Y)$  is a singleton.*

*Proof.* It is easy to show that  $\chi_t(X, X) = \{X\}$ .

Assume now that  $X \neq Y$  and denote  $S = X + Y$  and  $A = P_X + P_Y$ . Then  $A$  is a positive semidefinite operator with trace 2. Its kernel equals  $X^\perp \cap Y^\perp$ , so its range equals  $S$ . Therefore, if  $Z \in \chi_t(X, Y)$ , then  $tA + (1 - 2t)P_Z$  is positive semidefinite, implying that  $Z \in \langle S \rangle_1$ .

Moreover, there exist  $c \in [0, 1)$  and an orthonormal base  $\mathcal{B}$  of  $S$ , according to which we have the matrix representation

$$A|_S = \begin{bmatrix} 1+c & 0 \\ 0 & 1-c \end{bmatrix}.$$

Note that

$$\text{tr}(P_X P_Y) = \frac{1}{2} \text{tr}(A^2 - A) = c^2.$$

If  $Z$  is any element of  $\langle S \rangle_1$ , then, according to  $\mathcal{B}$ ,

$$P_Z|_S = \begin{bmatrix} s & w \\ \bar{w} & 1-s \end{bmatrix}$$

for some  $s \in [0, 1]$  and  $w \in \mathbb{C}$ ,  $|w| = \sqrt{s(1-s)}$ . Any such  $Z$  belongs to  $\chi_t(X, Y)$  if and only if

$$\det \left( t \begin{bmatrix} 1+c & 0 \\ 0 & 1-c \end{bmatrix} + (1-2t) \begin{bmatrix} s & w \\ \bar{w} & 1-s \end{bmatrix} \right) = 0.$$

A straightforward calculation shows that the latter holds if and only if we have either  $c = 0$  and  $t = 1$  or  $c \neq 0$  and  $s$  equals

$$\frac{(1+c)(t(1+c)-1)}{2c(2t-1)}. \tag{3}$$

Thus, if  $X$  and  $Y$  are orthogonal, then  $\chi_t(X, Y)$  is non-empty if and only if  $t = 1$  and in this case, it equals  $\langle X + Y \rangle_1$ . In the case when they are not orthogonal,  $\chi_t(X, Y)$  is non-empty if and only if (3) belongs to  $[0, 1]$ , which is equivalent to  $c \geq |1 - \frac{1}{t}|$ . Next, if (3) belongs to  $\{0, 1\}$ , which is equivalent to  $c = |1 - \frac{1}{t}|$ , then  $\chi_t(X, Y)$  is a singleton. Finally, if (3) belongs to  $(0, 1)$  and equals  $s$ , then any  $Z \in \chi_t(X, Y)$  can be identified with an element  $w$  of the circle with origin 0 and radius  $\sqrt{s(1-s)}$ .  $\square$

#### 4. Proof of Theorem 1

Recall that  $L$  is a linear map  $\mathcal{F}_s(H) \rightarrow \mathcal{F}_s(H)$  satisfying (2). Denote by  $f$  the transformation  $\mathcal{G}_1(H) \rightarrow \mathcal{G}_1(H)$ , induced by  $L$ , i.e.  $L(P_X) = P_{f(X)}$ ,  $X \in \mathcal{G}_1(H)$ .

LEMMA 2. *The following assertions are fulfilled:*

1. For any  $t \in \mathbb{R} \setminus \{0, \frac{1}{2}\}$  and  $X, Y \in \mathcal{G}_1(H)$  we have

$$f(\chi_t(X, Y)) \subset \chi_t(f(X), f(Y)).$$

If  $f(X) = f(Y)$ , then  $f$  is constant on  $\chi_t(X, Y)$ .

2.  $f$  transfers any projective line to a subset of a projective line.

*Proof.*

1. Easy verification.
2. If  $S \in \mathcal{G}_2(H)$  and  $X, Y \in \langle S \rangle_1$  are orthogonal, then  $\chi_1(X, Y)$  coincides with  $\langle S \rangle_1$  by Lemma 1 and we have

$$f(\langle S \rangle_1) \subset \chi_1(f(X), f(Y)) \subset \langle S' \rangle_1$$

with  $S' = f(X) + f(Y)$  if  $f(X) \neq f(Y)$ , otherwise we take any 2-dimensional subspace  $S'$  containing  $f(X) = f(Y)$ .  $\square$

LEMMA 3. *The restriction of  $f$  to any projective line is either injective or constant.*

*Proof.* Let  $S \in \mathcal{G}_2(H)$ . Suppose that the restriction of  $f$  to  $\langle S \rangle_1$  is not injective. Then there exist distinct  $X, Y \in \langle S \rangle_1$  such that  $f(X) = f(Y)$ . For every  $t \in \mathbb{R}$  define

$$g(t) = \det((t(P_X + P_Y) + (1 - 2t)P_{S \cap X^\perp})|_S).$$

Then  $g: \mathbb{R} \rightarrow \mathbb{R}$  is a continuous function such that  $g(\frac{1}{2}) > 0$ . Let  $A = P_X + P_Y - P_{S \cap X^\perp}$ . Let  $\langle \cdot, \cdot \rangle$  denote the scalar product on  $H$ . Since  $\langle Ax, x \rangle > 0$  for  $x \in X$  and  $\langle Az, z \rangle \leq 0$  for  $z \in S \cap X^\perp$ , we have  $g(1) \leq 0$ . Therefore, there exists  $t \in (\frac{1}{2}, 1]$  such that  $g(t) = 0$ . For such  $t$  we have  $S \cap X^\perp \in \chi_t(X, Y)$ . By Lemma 2,  $f(S \cap X^\perp) = f(X) = f(Y)$ . Another application of Lemma 2 yields that  $f$  is constant on  $\chi_1(X, S \cap X^\perp)$ , which equals  $\langle S \rangle_1$  by Lemma 1.  $\square$

LEMMA 4. *The restriction of  $f$  to any projective line is continuous.*

*Proof.* Let  $S \in \mathcal{G}_2(H)$ . Then the linear span of  $\{P_X \mid X \in \langle S \rangle_1\}$  is finite-dimensional, which implies that the restriction of  $L$  to this linear span is bounded. Hence, the restriction of  $f$  to  $\langle S \rangle_1$  is continuous.  $\square$

*Proof of Theorem 1.* The two examples in the conclusion of the theorem clearly satisfy (2). Assume now that (2) holds.

If  $f$  is constant, then  $\phi(A) = (\text{tr } A)P_0$ ,  $A \in \widehat{\mathcal{F}}_s(H)$ , for some  $P_0 \in \mathcal{P}_1(H)$ .

Assume now that  $f$  is not constant. Then there exist  $X, Y \in \mathcal{G}_1(H)$  such that  $f(X) \neq f(Y)$ . Denote  $S = X + Y \in \mathcal{G}_2(H)$ . We will first show that

$$f(\langle S \rangle_1) = \langle f(X) + f(Y) \rangle_1. \tag{4}$$

By Lemma 2, Lemma 3, and Lemma 4,  $f$  is an injective continuous map from  $\langle S \rangle_1$  to  $\langle f(X) + f(Y) \rangle_1$ , which are both homeomorphic to the 2-dimensional sphere  $\mathbb{S}^2$ . Thus,  $f$  induces an injective continuous map  $\tilde{f}: \mathbb{S}^2 \rightarrow \mathbb{S}^2$ . If  $\tilde{f}$  was not surjective, then it would map into  $\mathbb{S}^2 \setminus \{p\}$  for some  $p \in \mathbb{S}^2$ , which is homeomorphic to  $\mathbb{R}^2$ , but this would contradict the Borsuk-Ulam theorem. Therefore, we deduce (4).

We next assert that

$$\text{tr}(P_{f(X)}P_{f(Y)}) = \text{tr}(P_X P_Y). \tag{5}$$

Assume first that  $X$  and  $Y$  are orthogonal. Lemma 1 implies that  $\chi_1(X, Y) = \langle S \rangle_1$ , so it follows from (4) that  $\chi_1(f(X), f(Y)) = \langle f(X) + f(Y) \rangle_1$ . Another application of Lemma 1 yields that  $f(X)$  and  $f(Y)$  are orthogonal, as desired. Suppose now that  $X$  and  $Y$  are not orthogonal and denote  $t = \frac{1}{1 + \sqrt{\text{tr}(P_X P_Y)}} \in (\frac{1}{2}, 1)$ . By Lemma 1,  $\chi_t(X, Y)$  is a singleton. We claim that

$$f(\chi_t(X, Y)) = \chi_t(f(X), f(Y)). \tag{6}$$

Indeed, the left-hand side is contained in the right-hand side by Lemma 2. Let now  $W \in \chi_t(f(X), f(Y))$ . Then  $W \in \langle f(X) + f(Y) \rangle_1$  by Lemma 1, so (4) yields that  $W = f(W')$  for some  $W' \in \langle S \rangle_1$ . Hence,

$$t(P_{f(X)} + P_{f(Y)}) + (1 - 2t)P_{f(W')} = P_W \tag{7}$$

for some  $W'' \in \mathcal{G}_1(H)$ . Then we have  $W''' \in \chi_{\frac{t}{2t-1}}(f(X), f(Y))$ , hence another application of (4) implies that  $W'' = f(W''')$  for some  $W'''' \in \langle S \rangle_1$ . Denote

$$A = t(P_X + P_Y) + (1 - 2t)P_{W''} - P_{W''''}.$$

By (7),  $L(A) = 0$ . We assert that  $A = 0$ . Indeed,  $A = aP_Z + bP_{S \cap Z^\perp}$  for some  $Z \in \langle S \rangle_1$  and  $a, b \in \mathbb{R}$ . Since  $f|_{\langle S \rangle_1}$  is injective,  $f(Z) \neq f(S \cap Z^\perp)$ , so  $P_{f(Z)}$  and  $P_{f(S \cap Z^\perp)}$  are linearly independent. Now  $0 = L(A) = aP_{f(Z)} + bP_{f(S \cap Z^\perp)}$  implies that  $a = b = 0$  and  $A = 0$ , which completes the proof of (6).

By (6),  $\chi_t(f(X), f(Y))$  is a singleton. Another application of Lemma 1 yields that  $t = \frac{1}{1 + \sqrt{\text{tr}(P_{f(X)}P_{f(Y)})}}$ , so (5) holds.

We have shown that (5) holds whenever  $X, Y \in \mathcal{G}_1(H)$  are such that  $f(X) \neq f(Y)$ . By Lemma 3, the same holds for any pair from  $\langle X + Y \rangle_1$ .

We will next show  $f$  is injective. If  $\dim H = 2$ , there is nothing more to do, so assume that  $\dim H \geq 3$ . Seeking a contradiction, suppose that there exist pairwise distinct  $X, Y, Z \in \mathcal{G}_1(H)$  such that  $f(X) \neq f(Y)$  and  $f(Z) = f(X)$ . Denote  $S = X + Y$  and let  $Z' = (S + Z) \cap S^\perp$ . By Lemma 3,  $Z \notin S$ , thus  $Z' \in \mathcal{G}_1(H)$ . Let  $Y' \in \langle S \rangle_1 \setminus \{X\}$  be non-orthogonal to  $X$ . By the previous paragraph,  $f(X)$  and  $f(Y')$  are distinct and non-orthogonal. Since  $Z'$  is orthogonal  $Y'$ ,  $f(Z')$  is either equal or orthogonal to  $f(Y')$ , so  $f(Z') \neq f(X)$ . Because  $Z'$  is orthogonal to  $X$ ,  $f(Z')$  is orthogonal to  $f(X)$ , which equals  $f(Z)$ . By the previous paragraph,  $Z'$  is orthogonal to  $Z$ . Hence,

$$\{0\} = (S + Z) \cap (S + Z)^\perp = Z' \cap Z^\perp = Z',$$

a contradiction. This contradiction shows that, since  $f$  is not constant, it must be injective. Thus, (5) holds for all  $X, Y \in \mathcal{G}_1(H)$ . The conclusion of the theorem now follows from Wigner’s theorem, see e.g. [4].  $\square$

### 5. Final remarks

Consider a linear map  $L$  on  $\mathcal{F}_s(H)$  satisfying

$$L(\mathcal{P}_k(H)) \subset \mathcal{P}_k(H)$$

for a certain  $k \in \mathbb{N}$ ,  $k < \dim H$ . As above,  $L$  induces a transformation  $f$  of  $\mathcal{G}_k(H)$  which is not necessarily injective. The general case can be reduced to the case when  $\dim H \geq 2k$ .

For subspaces  $M$  and  $N$  satisfying  $\dim M < k < \dim N$  and  $M \subset N$  we denote by  $[M, N]_k$  the set of all  $X \in \mathcal{G}_k(H)$  such that  $M \subset X \subset N$ . For any  $X, Y \in \mathcal{G}_k(H)$  we have

$$\chi_1(X, Y) = \{Z \in \mathcal{G}_k(H) : P_X + P_Y - P_Z \in \mathcal{P}_k(H)\} \subset [X \cap Y, X + Y]_k$$

and the inverse inclusion holds if and only if  $X, Y$  are compatible, i.e. there is an orthonormal basis of  $H$  such that  $X$  and  $Y$  are spanned by subsets of this basis. If  $X$  and  $Y$  are orthogonal, then  $\chi_1(X, Y) = \langle X + Y \rangle_k$  and

$$f(\langle X + Y \rangle_k) \subset \chi_1(f(X), f(Y)) \subset \langle f(X) + f(Y) \rangle_k.$$

As in the proof of Lemma 4, we show that for any  $(2k)$ -dimensional subspace  $S \subset H$  the restriction of  $f$  to  $\langle S \rangle_k$  is continuous. In the case when  $k = 1$ , the restriction of  $f$  to any projective line is a continuous map to a projective line.

In the general case, a line of  $\mathcal{G}_k(H)$  is a subset of type  $[M, N]_k$ , where  $M$  is a  $(k - 1)$ -dimensional subspace contained a  $(k + 1)$ -dimensional subspace  $N$ . This line can be identified with the line of  $\langle M^\perp \rangle_1$  associated to the 2-dimensional subspace  $N \cap M^\perp$ . Two distinct  $k$ -dimensional subspaces are contained in a common line if and only if they are adjacent, i.e. their intersection is  $(k - 1)$ -dimensional. If  $X, Y \in \mathcal{G}_k(H)$  are adjacent, then the line containing them is  $[X \cap Y, X + Y]_k$ . It was noted above that this line coincides with  $\chi_1(X, Y)$  only in the case when  $X$  and  $Y$  are compatible. If  $X$  and  $Y$  are non-compatible, then  $\chi_1(X, Y)$  is a subset of the line  $[X \cap Y, X + Y]_k$  homeomorphic to a circle.

For every line there is a  $(2k)$ -dimensional subspace  $S$  such that  $\langle S \rangle_k$  contains this line, i.e. the restriction of  $f$  to each line is continuous. Using analogous arguments as in the proof of Lemma 3, we establish that the restriction of  $f$  to every line is either injective or constant; but we are not able to show that  $f$  sends lines to subsets of lines.

On the other hand, if  $f$  is injective, then it is adjacency and orthogonality preserving (see [1, 5, 14] for the details). By [13], this immediately implies that  $f$  is induced by a linear or conjugate-linear isometry if  $\dim H > 2k$  and there is one other option for  $f$  if  $\dim H = 2k$ .

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