

FIXED POINTS AND ALTERNATIVE PRINCIPLES

SEHIE PARK AND HOONJOO KIM

Abstract. In a recent paper, M. Balaj [B] established an alternative principle. The principle was applied to a matching theorem of Ky Fan type, an analytic alternative, a minimax inequality, and existence of solutions of a vector equilibrium theorem. Based on the first author's fixed point theorems, in the present paper, we obtain generalizations of the main result of Balaj [B] and their applications.

1. Introduction

In a recent paper, M. Balaj [B] established an alternative principle of the following type: *If X and Y are convex subsets of two locally convex Hausdorff topological vector spaces and $F, S : X \multimap Y$ are two multivalued maps satisfying certain conditions, then either $F(x_0) = \emptyset$ for some $x_0 \in X$ or $\bigcap_{x \in X} S(x) \neq \emptyset$.* This principle was applied to a matching theorem of Ky Fan type, an analytic alternative, a minimax inequality, and existence of solutions of a vector equilibrium theorem.

Actually, Balaj based on a fixed point theorem of Lassonde [L] for compositions of Kakutani maps. Quite long time ago, the first author obtained several fixed point theorems [P1-7] generalizing many previously known ones including Lassonde's.

Based on the first author's fixed point theorems, in the present paper, we obtain generalizations of the main result of Balaj [B] and their applications.

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2. Known fixed point theorems

Multimaps are called simply maps sometimes. For a multimap $T : X \multimap Y$, three maps $T^c : X \multimap Y$ the complement of T , $T^- : Y \multimap X$ the (lower) inverse of T and $T^* : Y \multimap X$, the dual of T are defined by $T^c(x) = Y \setminus T(x)$, $T^-(y) = \{x \in X \mid y \in T(x)\}$ and $T^*(y) := X \setminus T^-(y)$ resp.

For topological spaces X and Y , a map $T : X \multimap Y$ is said to be: *upper semicontinuous* (u.s.c.) if for any closed set $B \subset Y$, the set $T^-(B) = \{x \in X \mid T(x) \cap B \neq \emptyset\}$ is closed in X ; *compact* if $T(X)$ is contained in a compact subset of Y ; *closed* if its graph is a closed subset of $X \times Y$.

The following is well-known:

Lemma 1. (i) *A composition of u.s.c. maps with compact values is u.s.c. with compact values.*

(ii) *If Y is compact and $T : X \multimap Y$ is closed, then T is u.s.c. with compact values.*

(iii) *If T is u.s.c. with compact values, then $T(K)$ is compact whenever $K \subset X$ is compact.*

A map $T : X \multimap Y$ is called a *Kakutani map* whenever X is a topological space, Y a convex space (in the sense of Lassonde) and T is u.s.c. with nonempty compact convex values. Let $\mathbb{K}(X, Y)$ be the class of all Kakutani maps $T : X \multimap Y$ and $\mathbb{K}_c(X, Y)$ the class of all maps $T : X \multimap Y$ those are finite compositions of Kakutani maps.

A topological space is said to be *acyclic* if all of its reduced Čech homology groups over the rational field vanish. A u.s.c. map is said to be *acyclic* if it has compact acyclic values. Let $\mathbb{V}(X, Y)$ be the class of all acyclic maps $T : X \multimap Y$ and $\mathbb{V}_c(X, Y)$ the class of all maps $T : X \multimap Y$ those are finite compositions of acyclic maps.

A *polytope* P in a t.v.s. E is a homeomorphic image of a simplex Δ_n .

For topological spaces X and Y , we define the “better” *admissible class* \mathfrak{B} of maps from X into Y as follows [P3,4,7]:

$F \in \mathfrak{B}(X, Y) \iff F : X \multimap Y$ is a map such that, for any natural number $n \in \mathbb{N}$, any continuous function $\phi : \Delta_n \rightarrow X$, and any continuous function $p : F\phi(\Delta_n) \rightarrow \Delta_n$, the composition

$$\Delta_n \xrightarrow{\phi} \phi(\Delta_n) \subset X \xrightarrow{F} F\phi(\Delta_n) \xrightarrow{p} \Delta_n$$

has a fixed point.

Examples. Subclasses of the better admissible class \mathfrak{B} are classes of continuous functions \mathbb{C} , the Kakutani maps \mathbb{K} (with convex values and codomains are convex spaces), the Aronszajn maps \mathbb{M} (with R_δ values), the acyclic maps \mathbb{V} (with acyclic values), the Powers maps \mathbb{V}_c (finite compositions of acyclic maps), the O'Neill maps \mathbb{N} (continuous with values of one or m acyclic components, where m is fixed), the approachable maps \mathbb{A} (whose domains and codomains are subsets of t.v.s.), admissible maps of Górniewicz (1976), σ -selectionable maps of Haddad and Lasry (1983), permissible maps of Dzedzej (1985), the Fan-Browder maps (codomains are convex sets), locally selectionable maps having convex values, the class \mathbb{K}_c^+ of Lassonde (1991), the class \mathbb{V}_c^+ of Park et al. (1994), and approximable maps of Ben-El-Mechaiekh and Idzik (1994), the admissible class \mathfrak{A}_c^κ due to Park (1993). For the literature, see [P1-4].

Let X be a convex subset of a vector space and Y a nonempty set. If $S, T : X \multimap Y$ are two maps such that $T(\text{co}A) \subset S(A)$ for each nonempty finite subset A of X , then S is said to be *KKM w.r.t. T*.

From now on, a *t.v.s.* means a Hausdorff topological vector space and a real locally convex Hausdorff topological vector space is abbreviated as an *l.c.s.*

Let \mathcal{V} be the neighborhood system of the origin 0 of a t.v.s. E .

Recall that a nonempty subset X of a t.v.s. E is said to be *admissible* (in the sense of Klee) provided that, for every nonempty compact subset K of X and every $V \in \mathcal{V}$, there exists a continuous function $h : K \rightarrow X$ such that $x - h(x) \in V$ for all $x \in K$ and $h(K)$ is contained in a finite dimensional subspace L of E .

A compact subset K of X is said to be *Klee approximable into X* if for any $V \in \mathcal{V}$, there exists a continuous function $h : K \rightarrow X$ such that $x - h(x) \in V$ for all $x \in K$ and $h(K)$ is contained in a polytope in X .

Recall that a nonempty subset Y of a t.v.s. E is said to be *almost convex* if for any neighborhood V of the origin 0 of E and for any finite set $\{y_1, \dots, y_n\}$ of Y , there exists a finite set $\{z_1, \dots, z_n\}$ of Y such that $z_i - y_i \in V$ for all $i = 1, \dots, n$ and $\text{co}\{z_1, \dots, z_n\} \subset Y$.

Examples. We give examples of Klee approximable sets in [P5,6]:

- (1) If a subset X of E is admissible (in the sense of Klee), then every compact subset K of X is Klee approximable into E .
- (2) Any polytope in a subset X of a t.v.s. is Klee approximable into X .

(3) Any compact subset K of a convex subset X in an l.c.s. is Klee approximable into X .

(4) Any compact subset K of a convex and locally convex subset X of a t.v.s. is Klee approximable into X .

(5) Any compact subset K of an admissible convex subset X of a t.v.s. is Klee approximable into X .

(6) Let X be an almost convex dense subset of an admissible subset Y of a t.v.s. E . Then every compact subset K of Y is Klee approximable into X .

Note that (6) \Leftarrow (5) \Leftarrow (4) \Leftarrow (3).

In 2004 [P5], the first author obtained the following fixed point theorem:

Theorem 1. *Let X be a subset of a t.v.s. E and $F \in \mathfrak{B}(X, X)$ a compact closed multimap. If $F(X)$ is Klee approximable into X , then F has a fixed point.*

The following are recently obtained in 2007 [P6]:

Corollary 1.1. *Let X be an almost convex admissible subset of a t.v.s. E and $F \in \mathfrak{B}(X, X)$ a compact closed map. Then F has a fixed point.*

Corollary 1.2. *Let X be an almost convex subset of an l.c.s. E and $F \in \mathfrak{B}(X, X)$ a compact closed map. Then F has a fixed point.*

One of the simplest known examples of Corollary 1.2 is that *every compact continuous selfmap on an almost convex subset of a Euclidean space has a fixed point*. This generalizes the Brouwer fixed point theorem.

Corollary 1.3. [P4] *Let X be an admissible convex subset of a t.v.s. E and $F \in \mathfrak{B}(X, X)$ a compact closed map. Then F has a fixed point.*

3. The Balaj type alternative principles

In this section, we apply our fixed point theorems to several alternative principles.

Theorem 2. *Let X be an almost convex admissible subset of a t.v.s. and Y a topological space, one of them compact. Let $F, S : X \multimap Y$ be two maps satisfying the following conditions:*

- (1) for each $x \in X$, $F(x) \subset S(x)$;
- (2) F and S^* are empty-valued or acyclic maps;

Then at least one of the following assertions holds:

- (a) There exists $x_0 \in X$ such that $F(x_0) = \emptyset$.
- (b) $\bigcap_{x \in X} S(x) \neq \emptyset$.

Proof. Suppose that assertions (a) and (b) are both false. Note that $\bigcap_{x \in X} S(x) = \emptyset$ is equivalent to the fact that the map S^* has nonempty values. Hence both F and S^* have nonempty values. Hence, by (2), $F \in \mathbb{V}(X, Y)$ and $S^* \in \mathbb{V}(Y, X)$. Let us consider the map $H = S^* \circ F \in \mathbb{V}_c(X, X)$. H is a u.s.c. map with compact values, so H is closed. Since $\mathbb{V}_c \subset \mathfrak{B}$, Corollary 1.1 is applicable as soon as we prove that the map H is compact. Clearly this happens if X is compact. When Y is compact, since S^* is a u.s.c. map with compact values, $S^*(Y)$ is compact by Lemma 1(iii). Since $H(X) \subset S^*(Y)$, H is a compact map. By Corollary 1.1, H has a fixed point. This implies that there exist $x_0 \in X$ and $y_0 \in Y$ such that $y_0 \in F(x_0) \subset S(x_0)$ and $x_0 \in S^*(y_0)$; a contradiction. \square

The following are variants of Theorem 2:

Theorem 3. Let X be an admissible convex subset of a t.v.s. and Y a convex space, one of them compact. Let $F, S : X \multimap Y$ be two maps satisfying the following conditions:

- (1) for each $x \in X$, $F(x) \subset S(x)$;
- (2) F and S^* are empty-valued or Kakutani maps;

Then at least one of the following assertions holds:

- (a) There exists $x_0 \in X$ such that $F(x_0) = \emptyset$.
- (b) $\bigcap_{x \in X} S(x) \neq \emptyset$.

Proof. As in the proof of Theorem 2, we can define $H = S^* \circ F \in \mathbb{K}_c(X, X)$, where the intermediate space Y is a convex space in the sense of Lassonde. Then we can apply Corollary 1.3. \square

Lemma 2. [B] Let X be a topological space and Y a nonempty convex set in an l.c.s. E . Let $T : X \multimap Y$ be a u.s.c. map with nonempty values such that $\overline{\text{co}}T(x)$ is compact for each $x \in X$. Then the map $\overline{\text{co}}T$ is u.s.c.

Theorem 4. Let X be an almost convex admissible subset of a t.v.s. and Y a nonempty convex subset in an l.c.s., one of them compact. Let $F, G, S : X \multimap Y$ be three maps satisfying the following conditions:

- (1) for each $x \in X$, $\text{co}F(x) \subset G(x) \subset S(x)$;
- (2) F is empty-valued or a u.s.c. map;
- (3) G has compact values;
- (4) S^* is empty-valued or an acyclic map;

Then at least one of the following assertions holds:

- (a) There exists $x_0 \in X$ such that $F(x_0) = \emptyset$.
- (b) $\bigcap_{x \in X} S(x) \neq \emptyset$.

Proof. Suppose that assertions (a) and (b) are both false. Then F and S^* have both nonempty values. By (1) and (3), $\overline{\text{co}} F(x) \subset G(x) \subset Y$ and $\overline{\text{co}} F(x)$ is a nonempty compact set, for each $x \in X$. By Lemma 2, the map $\overline{\text{co}} F$ is u.s.c., hence $\overline{\text{co}} F \in \mathbb{K}(X, Y)$. As in the proof of Theorem 2, we can define $H = S^* \circ \overline{\text{co}} F \in \mathbb{V}_c(X, X)$. Then we can apply Corollary 1.1. \square

From now on, we consider the Balaj type alternative principles:

Theorem 5. Let X be an admissible convex subset of a t.v.s. and Y a nonempty convex subset in an l.c.s., one of them compact. Let $F, G, S, T : X \multimap Y$ be four maps satisfying the following conditions:

- (1) for each $x \in X$, $\text{co} F(x) \subset G(x) \subset T(x)$;
- (2) for each $y \in Y$, $\text{co} S^*(y) \subset T^*(y)$;
- (3) F and S^* are u.s.c.;
- (4) G and T^* have compact values.

Then at least one of the following assertions holds:

- (a) There exists $x_0 \in X$ such that $F(x_0) = \emptyset$.
- (b) $\bigcap_{x \in X} S(x) \neq \emptyset$.

Proof. Suppose that assertions (a) and (b) are false. Then F and S^* have nonempty values. By (1), (4) and Lemma 2, $\overline{\text{co}} F \in \mathbb{K}(X, Y)$. Moreover, by (2) and (4), $\overline{\text{co}} S^*(y) \subset T^*(y)$ so $\overline{\text{co}} S^*(y)$ is compact for each $y \in Y$. By Lemma 2, the map $\overline{\text{co}} S^*$ is u.s.c., hence $\overline{\text{co}} S^* \in \mathbb{K}(Y, X)$. Let us consider the map $H = \overline{\text{co}} S^* \circ \overline{\text{co}} F \in \mathbb{K}_c(X, X)$. Since $K_c \subset \mathfrak{B}$, and H is closed and compact, H has a fixed point by Corollary 1.3. This implies that there exist $x_0 \in X$ and $y_0 \in Y$ such that

$$y_0 \in \overline{\text{co}} F(x_0) \subset G(x_0) \subset T(x_0) \quad \text{and} \quad x_0 \in \overline{\text{co}} S^*(y_0) \subset T^*(y_0);$$

which is a contradiction. \square

Corollary 5.1. [B, Theorem 3.1] Let X and Y be nonempty convex sets in an l.c.s., and let X or Y be compact. Let $F, G, S, T : X \multimap Y$ be four maps satisfying the following conditions:

- (i) for each $x \in X$, $\text{co} F(x) \subset G(x) \subset T(x)$;
- (ii) S is a KKM map w.r.t. T ;
- (iii) F and S^* are u.s.c.;
- (iv) G and T^* have compact values.

Then at least one of the following assertions holds:

- (a) There exists $x_0 \in X$ such that $F(x_0) = \emptyset$.

(b) $\bigcap_{x \in X} S(x) \neq \emptyset$.

Proof. Comparing the requirements of Theorem 5 and Corollary 5.1, it suffices to show that

(2) for each $y \in Y$, $\text{co } S^*(y) \subset T^*(y)$.

In fact, let $x \in \text{co } S^*(y)$. Then there exists a finite set $A \subset S^*(y)$ such that $x \in \text{co } A$. From $A \subset S^*(y)$ it follows at once, $y \notin S(A)$ and taking into account (ii), $y \notin T(\text{co } A)$. Particularly $y \notin T(x)$, that is, $x \in T^*(y)$. Thus, (2) holds. Then we have the conclusion. \square

As it is mentioned in [B], the compactness condition, for at least one of the sets X and Y , is essential in Corollary 5.1. But the example in [B] showing this fact must be corrected as follows:

Let $X = Y = \mathbb{R}$ and $F, G, S, T : \mathbb{R} \multimap \mathbb{R}$ be defined by $F(x) = \{x + 1, x + 2\}$, $G(x) = [x + 1, x + 2]$, $T(x) = \mathbb{R} \setminus [x - 1, x]$, and $S(x) = \mathbb{R} \setminus \{x\}$ for all $x \in \mathbb{R}$.

In [B], Balaj applied his Theorems 3.1 to the following:

- (1) a matching theorem of Ky Fan type,
- (2) an analytic alternative,
- (3) a minimax inequality, and
- (4) existence of solutions of a vector equilibrium theorem.

Since we obtained improved versions of [B, Theorem 3.1], the above applications also can be improved. From Theorem 4, we also obtain a matching theorem of Ky Fan type, an analytic alternative, a minimax inequality as follows.

4. Applications

The following is Ky Fan type matching theorem [F];

Theorem 6. *Let X be an almost convex admissible subset of a t.v.s. and Y a nonempty convex subset in an l.c.s., one of them compact. Let $\{B_i : i \in I\}$ be a family of closed subsets of X such that $\bigcup_{i \in I} B_i = X$ and $\{x_i : i \in I\}$ be a family (indexed also by I) of points of X and the set $\{i \in I : x \notin B_i\}$ is finite for each $x \in X$. Let $F, G, S : X \multimap Y$ be three maps satisfying the following conditions:*

- (1) for each $x \in X$, $S(x) \subset G(x)$;
- (2) F is a u.s.c. map;
- (3) G^c has compact values;
- (4) $S(X) = Y$;

(5) S^- is an acyclic map;

Then there exists a nonempty subset J of I such that

$$\text{co}F(\{x_i : i \in J\}) \cap G(\cap\{B_i : i \in J\}) \neq \emptyset.$$

Proof. For each $x \in X$, let $I(x) = \{i \in I : x \in B_i\}$. Then $I(x) \neq \emptyset$ for each $x \in X$, since $\{B_i : i \in I\}$ covers X . Define $H : X \rightarrow X$ by

$$H(x) = \{x_i : i \in I(x)\} \text{ for each } x \in X.$$

Then H has nonempty values. For each $x \in X$, let $U(x) = X \setminus \bigcup\{B_i : i \notin I(x)\}$. Then $U(x)$ is an open neighborhood of x and, if $z \in U(x)$, then $H(z) \subset H(x)$. This shows H is u.s.c.. Define the maps $F_1, G_1, S_1 : X \rightarrow Y$ by

$$F_1 = F \circ H, \quad G_1 = G^c, \quad S_1 = S^c.$$

Note that $S_1^* = S^-$. From the hypothesis it readily follows that the maps F_1, G_1, S_1 satisfy the conditions (2), (3), (4) in Theorem 4 and $G_1(x) \subset S_1(x)$ for each $x \in X$. Since F_1 has nonempty values and by (4), $\bigcap_{x \in X} S_1(x) = \emptyset$, the conclusion of Theorem 4 does not hold. Consequently for some $x_0 \in X$, $\text{co}F_1(x_0) \not\subset G_1(x_0)$ or equivalently,

$$\text{co}F(\{x_i : i \in I(x_0)\}) \cap G(x_0) \neq \emptyset.$$

Since $x_0 \in \bigcap\{B_i : i \in I(x_0)\}$, putting $J = I(x_0)$ we obtain that

$$\text{co}F(\{x_i : i \in J\}) \cap G(\cap\{B_i : i \in J\}) \neq \emptyset.$$

□

Let X be a convex subset of a vector space, Y a nonempty set and $f, g : X \times Y \rightarrow \overline{\mathbb{R}}$ two functions. The function g is called *f-quasiconvex* in x if for any finite subset A of X , $g(x, y) \leq \max_{u \in A} f(u, y)$, for any $x \in \text{co}A$ and all $y \in Y$.

From Theorem 4, we obtain an analytic alternative and a minimax inequality.

Theorem 7. *Let X be an almost convex admissible subset of a t.v.s. and Y a nonempty convex subset in an l.c.s., both of them compact. Let $\alpha \leq \beta < \gamma$ be numbers and $f, g, s : X \times Y \rightarrow \overline{\mathbb{R}}$ three functions satisfying the following conditions:*

- (1) *the sets $\{(x, y) \in X \times Y : f(x, y) \leq \alpha\}$ and $\{(x, y) \in X \times Y : s(x, y) \geq \gamma\}$ are closed in $X \times Y$;*
- (2) *$s(x, y) \leq g(x, y)$ for all $(x, y) \in X \times Y$;*
- (3) *g is f -quasiconvex in y ;*
- (4) *for each $y \in Y$, $\{x \in X : s(x, y) \geq \gamma\}$ is acyclic;*

(5) for each $x \in X$, the set $\{y \in Y : g(x, y) \leq \beta\}$ is closed in Y ;

Then at least one of the following assertions holds:

(a) There exists $x_0 \in X$ such that $f(x_0, y) > \alpha$ for all $y \in Y$.

(b) There exists $y_0 \in Y$ such that $s(x, y_0) < \gamma$ for all $x \in X$.

Proof. We define the maps $F, G, S : X \rightarrow Y$ by

$$F(x) = \{y \in Y : f(x, y) \leq \alpha\},$$

$$G(x) = \{y \in Y : g(x, y) \leq \beta\},$$

$$S(x) = \{y \in Y : s(x, y) < \gamma\}.$$

Since the graphs of F and S^* are closed and X and Y are compact, F and S^* are u.s.c. with compact values. Since $\beta < \gamma$ and $s(x, y) \leq g(x, y)$ for all $(x, y) \in X \times Y$, $G(x) \subset S(x)$ for all $x \in X$. By (5), G has compact values. Let $x \in X$ and $y \in \text{co}F(x)$. Then for some finite subset A of $F(x)$, $y \in \text{co}A$. By (3), $g(x, y) \leq \max_{u \in A} f(x, u) \leq \alpha \leq \beta$, so $\text{co}F(x) \subset G(x)$ for all $x \in X$.

Therefore the maps F, G, S satisfy all the requirements of Theorem 4, so at least one of the following assertions holds:

There exists $x_0 \in X$ such that $F(x_0) = \emptyset$, that is $f(x_0, y) > \alpha$ for all $y \in Y$.

There exists $y_0 \in Y$ such that $y_0 \in \bigcap_{x \in X} S(x)$, that is $s(x, y_0) < \gamma$ for all $x \in X$. □

Theorem 8. Let X be an almost convex admissible subset of a t.v.s. and Y a nonempty convex subset in an l.c.s., both of them compact. Let $f, g, s : X \times Y \rightarrow \overline{\mathbb{R}}$ be three functions satisfying conditions (2), (3) in Theorem 7 and the following conditions:

(1') f is l.s.c. and s is u.s.c. on $X \times Y$;

(4') for each $y \in Y$ and real number γ , $\{x \in X : s(x, y) \geq \gamma\}$ is acyclic;

(5') for each $x \in X$, $g(x, y)$ is l.s.c. in y ;

Then $\inf_{y \in Y} \max_{x \in X} s(x, y) \leq \sup_{x \in X} \min_{y \in Y} f(x, y)$.

Proof. First let us observe that if f is l.s.c. on $X \times Y$, then for each $x \in X$, $f(x, \cdot)$ is l.s.c. in y and therefore its minimum $\min_{y \in Y} f(x, y)$ on the compact set Y exists. Similarly $\sup_{x \in X} s(x, y)$ can be replaced by $\max_{x \in X} s(x, y)$.

Suppose the conclusion would be false and choose real numbers α, β, γ such that

$$\sup_{x \in X} \min_{y \in Y} f(x, y) < \alpha \leq \beta < \gamma < \inf_{y \in Y} \max_{x \in X} s(x, y).$$

Even the function f, g, s satisfy all the requirements of Theorem 7, but if (a) happens, then $\sup_{x \in X} \min_{y \in Y} f(x, y) \geq \min_{y \in Y} f(x_0, y) > \alpha$, a contradiction

if (b) happens, then $\inf_{y \in Y} \max_{x \in X} s(x, y) \leq \max_{x \in X} s(x, y_0) < \gamma$, a contradiction. \square

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Sehie Park

The National Academy of Sciences, Republic of Korea,
Seoul 137–044; and

Department of Mathematical Sciences, Seoul National University,
Seoul 151-747, Korea.

E-mail: shpark@math.snu.ac.kr; parkcha38@daum.net

Hoonjoo Kim

Department of Mathematical Education, Sehan University,
YoungAm-Gun, Chunnam, 530-702, Korea.

E-mail: hoonjoo@sehan.ac.kr