

# 4.6 – Singularities and Resonance Free Regions

Izak

## Recall: Theorem 3.10



- $V \in V_{comp}^{\infty}(\mathbb{R}^n, \mathbb{C})$ ,  $n \geq 3$ , *odd*. For any  $\rho \in C_c^{\infty}(\mathbb{R}^n)$ , get constants  $A, C, T$  depending on  $\rho$  with

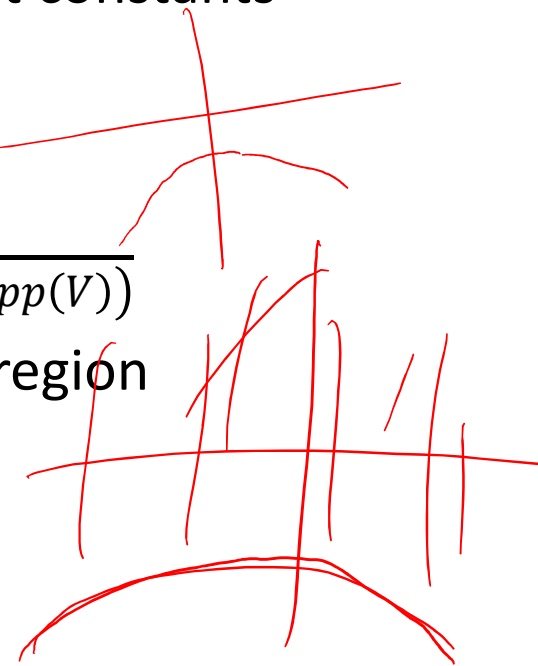
- $\|\rho R_V \rho\|_{L^2 \rightarrow H^j} \leq C |\lambda|^{j-1} e^{T(\text{Im } \lambda)}$  -  $j = 0, 1, 2$

- For  $\text{Im } \lambda \geq -A - \delta \log(1 + |\lambda|)$ ,  $|\lambda| > C_0$ ,  $\delta < \frac{1}{\text{diam}(\text{supp}(V))}$

- In particular, there are finitely many resonances in the region

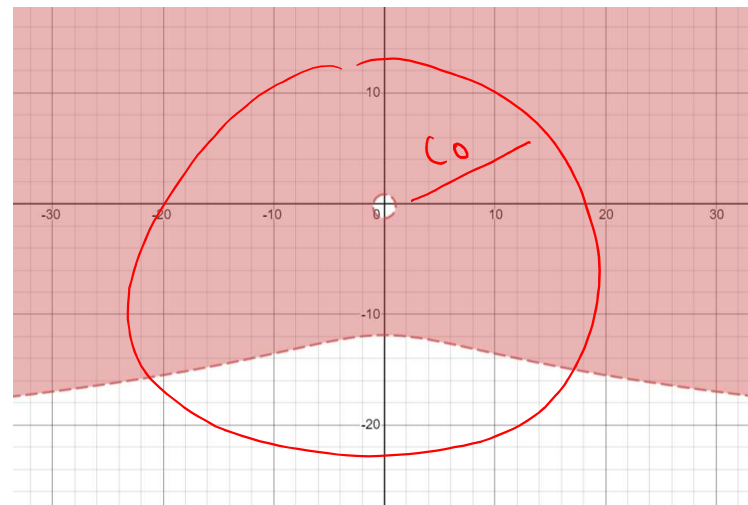
- $\{\lambda: \Im \lambda \geq -A - \delta \log(1 + |\lambda|)\}$

- **Now:** want to make this region arbitrarily large.



# Theorem 4.41 (non-trapping estimates for smooth potentials)

- Suppose  $V \in C_c^\infty(\mathbb{R}^n, \mathbb{R})$ ,  $n \geq 3$ , odd,  
 $R_V(\lambda) := (-\Delta + V - \lambda^2)^{-1}$ ,  $\Im \lambda > 0$ .
- For any  $\underline{M} > 0$ ,  $\exists C_0$  such that  
 $R_V(\lambda): L_{comp}^2 \rightarrow L_{loc}^2$  continues  
 holomorphically to
- $\Omega_M := \{\lambda \in \mathbb{C} : \Im \lambda > -M \log|\lambda|, |\lambda| > C_0\}$
- And, for any  $\chi \in C_c^\infty(\mathbb{R}^n)$  there are  
 $C_1, T$  with
- $\|\chi R_V(\lambda) \chi\|_{L^2 \rightarrow L^2} \leq C_1 |\lambda|^{-1} e^{T(\Im \lambda)}$



$$|f^{(n)}| \leq C^n n^{an}$$

# Proof Outline

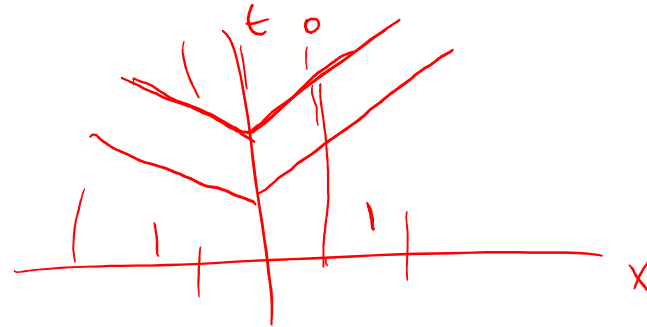
1. From spectral theorem, use wave propagator to rewrite resolvent
2. this expression is only valid for  $\Im\lambda > 0$
3. Use cutoffs to make integrals converge
4. add correcting factors to get approximate resolvent
5. use Neumann series to get final resolvent
6. establish bounds on norms to get result.



# Proof – Wave propagator cutoff

Supp  $V \subset B(0, a)$   
 $\chi_a \equiv 1$  on Supp  $V$

- Let  $U_V(t) := \frac{\sin(t\sqrt{-\Delta+V})}{\sqrt{-\Delta+V}} : L^2(\mathbb{R}^n) \rightarrow H^1(\mathbb{R}^n)$
- So  $(P_V + \partial_t^2)U_V = 0, U_V(0) = 0, \partial_t U(0) = \mathbb{I}$
- Let:  $\widetilde{R}_a(\lambda)g = \int_0^\infty \zeta_a(x, t) e^{i\lambda t} U_V(t)[\chi_a g](x) dt : L^2(\mathbb{R}^n) \rightarrow L^2(\mathbb{R}^n)$
- with  $\chi_a \in C_c^\infty(B(0, a)), \chi_a V = V$
- $\zeta_a(x, t) \in C^\infty$  with  $\zeta_a = 1$  for  $t \leq |x| + T_a$  and  $\zeta_a = 0$  for  $t \geq |x| + T_a + 1$



## Proof – Wave propagator cutoff

- Let:  $\widetilde{R}_a(\lambda)g = \int_0^\infty \zeta_a(x, t) e^{i\lambda t} U_V(t) [\chi_a g](x) dt : L^2(\mathbb{R}^n) \rightarrow L^2(\mathbb{R}^n)$

Proof – does  $\widetilde{R}_a(\lambda)$  work?

- $\widetilde{R}_a(\lambda)g = \int_0^\infty \zeta_a(x, t)e^{i\lambda t}U_V(t)[\chi_a g](x)dt : L^2 \rightarrow L^2$
- $(-\Delta + V - \lambda^2)\widetilde{R}_a(\lambda)g = \int_0^\infty P_V \zeta_a(x, t)e^{i\lambda t}U_V(t)[\chi_a g](x)dt + \int_0^\infty -\lambda^2 \zeta_a(x, t)e^{i\lambda t}U_V(t)[\chi_a g](x)dt$
- $\int_0^\infty -\lambda^2 \zeta_a(x, t)e^{i\lambda t}U_V(t)[\chi_a g](x)dt = \int_0^\infty (\partial_t^2 e^{i\lambda t})\zeta_a U_V(t)[\chi_a g](x)dt$
- $= (\partial_t e^{i\lambda t})\zeta_a U_V(t)[\chi_a g](x)|_{t=0}^{t=\infty} - (e^{i\lambda t})\partial_t(\zeta_a U_V(t)[\chi_a g](x))|_{t=0}^{t=\infty} + \int_0^\infty e^{i\lambda t}\partial_t^2(\zeta_a U_V(t)[\chi_a g](x))dt$
- $= \chi_a g + \int_0^\infty e^{i\lambda t}\partial_t^2(\zeta_a U_V(t)[\chi_a g](x))dt$



# Proof – does $\widetilde{R}_a(\lambda)$ work?

- $\widetilde{R}_a(\lambda)g = \int_0^\infty \zeta_a(x, t) e^{i\lambda t} U_V(t) [\chi_a g](x) dt : L^2 \rightarrow L^2$

- Therefore:

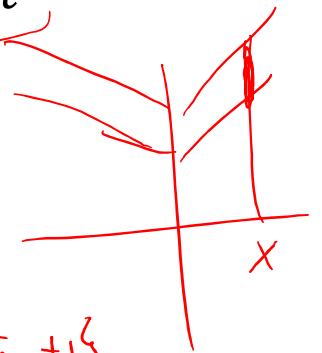
- $(-\Delta + V - \lambda^2) \widetilde{R}_a(\lambda)g = \chi_a g + \int_0^\infty e^{i\lambda t} (P_V + \partial_t^2) (\zeta_a U_V(t) [\chi_a g])(x) dt$

- $\equiv \chi_a g + \int_{-\infty}^\infty e^{i\lambda t} F_a(t) [g](x) dt$

- where  $F_a(t) = (P_V + \partial_t^2) (\zeta_a U_V(t) [\chi_a \cdot])(x) : L^2 \rightarrow L^2$

- will show integral converges and  $F_a(t) \in C^\infty(\mathbb{R}; \mathcal{L}(L^2, L^2))$

will turn out  $\text{Supp } F_a(t) g(x) \in \{ (t, x) : |x| + T_a \leq t \leq |x| + T_a + 1 \}$

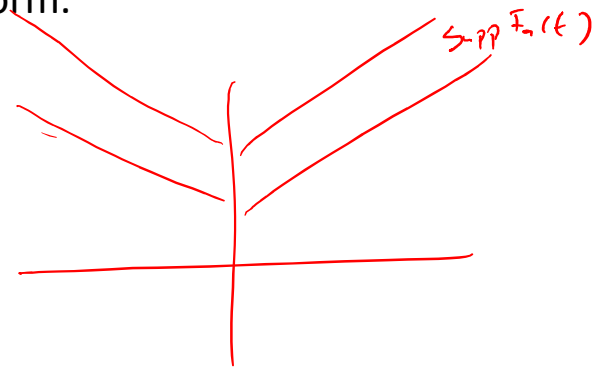


# Proof – modify $\widetilde{R}_a$

- Now let  $R_a^\#(\lambda)g := \int_0^\infty e^{i\lambda t} \zeta_a(x, t) U_V(t) [\chi_a g](x) dt + \int_{-\infty}^{\infty} e^{i\lambda t} W_a(t) [g](x) dt$
- $(-\Delta + V - \lambda^2) \int_{-\infty}^{\infty} e^{i\lambda t} W_a(t) [g](x) dt = \int_{-\infty}^{\infty} e^{i\lambda t} P_V(W_a(t) [g](x)) dt + \int_{-\infty}^{\infty} (\partial_t^2 e^{i\lambda t}) W_a(t) [g](x) dt$
- $= \int_{-\infty}^{\infty} e^{i\lambda t} (P_V + \partial_t^2)(W_a(t) [g](x)) dt$  ← Hope  $w_a(t)$  boundary term = 0
- $= \int_{-\infty}^{\infty} e^{i\lambda t} V(x) W_a(t) [g](x) dx + \int_{-\infty}^{\infty} e^{i\lambda t} (-\Delta + \partial_t^2) W_a(t) [g](x) dt$
- Let's force  $(-\Delta + \partial_t^2) W_a(t) [g](x) = -F_a(t) [g]$  with compact support properties.

# Proof – construct $W_a(t)$

- Let's force  $(-\Delta + \partial_t^2)W_a(t)[g](x) = -F_a(t)[g]$  with compact support properties.
- Want  $(-\Delta + \partial_t^2)W_a(t) = -F_a(t), W_a(0) = \partial_t W_a(0) = 0$
- Just let  $W_a(t)[g](x) = -\int_0^t U_0(t-s, x, y) [F_a(s)[g]](y) dy ds$ 
  - turns out that  $[W_a(t)g](x) \in \underline{C^\infty(\mathbb{R}_t, L^2(\mathbb{R}^n))}$  and  $\underline{\text{supp}[W_a(t)[g]]} \subset \underbrace{\{|x| + T_a \leq t \leq |x| + C_a\}}$
  - get compact support in time, so we can take Fourier transform.



# Proof – finalize $R_a^\#$

$$\| \chi R(\lambda) \chi \|_{L^1 \rightarrow L^2}$$

$F_a(x)$

$$\bullet R_a^\#(\lambda)g := \int_0^\infty e^{i\lambda t} \zeta_a(x, t) U_V(t) [\chi_a g](x) dt + \int_{-\infty}^\infty e^{i\lambda t} W_a(t) [g](x) dt$$

• We get:

$$\bullet (-\Delta + V - \lambda^2)(R_a^\#(\lambda)g) = \chi_a g + \int_{-\infty}^\infty e^{i\lambda t} F_a(t) [g](x) dt$$

$$\bullet + \int_{-\infty}^\infty e^{i\lambda t} V(x) W_a(t) [g](x) dx + \int_{-\infty}^\infty e^{i\lambda t} (-\Delta + \partial_t^2) W_a(t) [g](x) dx$$

$$K_a(\lambda)(g) = \int_{-\infty}^\infty e^{i\lambda t} V(x) W_a(t) [g](x) dx$$

$$\bullet = \chi_a g + \int_{-\infty}^\infty e^{i\lambda t} V(x) W_a(t) [g](x) dx = \chi_a g + \chi_a K_a(\lambda) [g] = \chi_a (I + K_a(\lambda)) [g]$$

• If  $K_a(\lambda)$  has small norm, then we get:

$$\bullet (-\Delta + V - \lambda^2) R_a^\#(\lambda) (I + K_a(\lambda))^{-1} [g] = \chi_a g$$

$$\bullet \text{ So } \underbrace{R_a^\#(\lambda)}_{\uparrow} \underbrace{(I + K_a(\lambda))^{-1}}_{\uparrow} = \underbrace{R(\lambda) \chi_a}_{\uparrow}$$

# Proof – fill in gaps

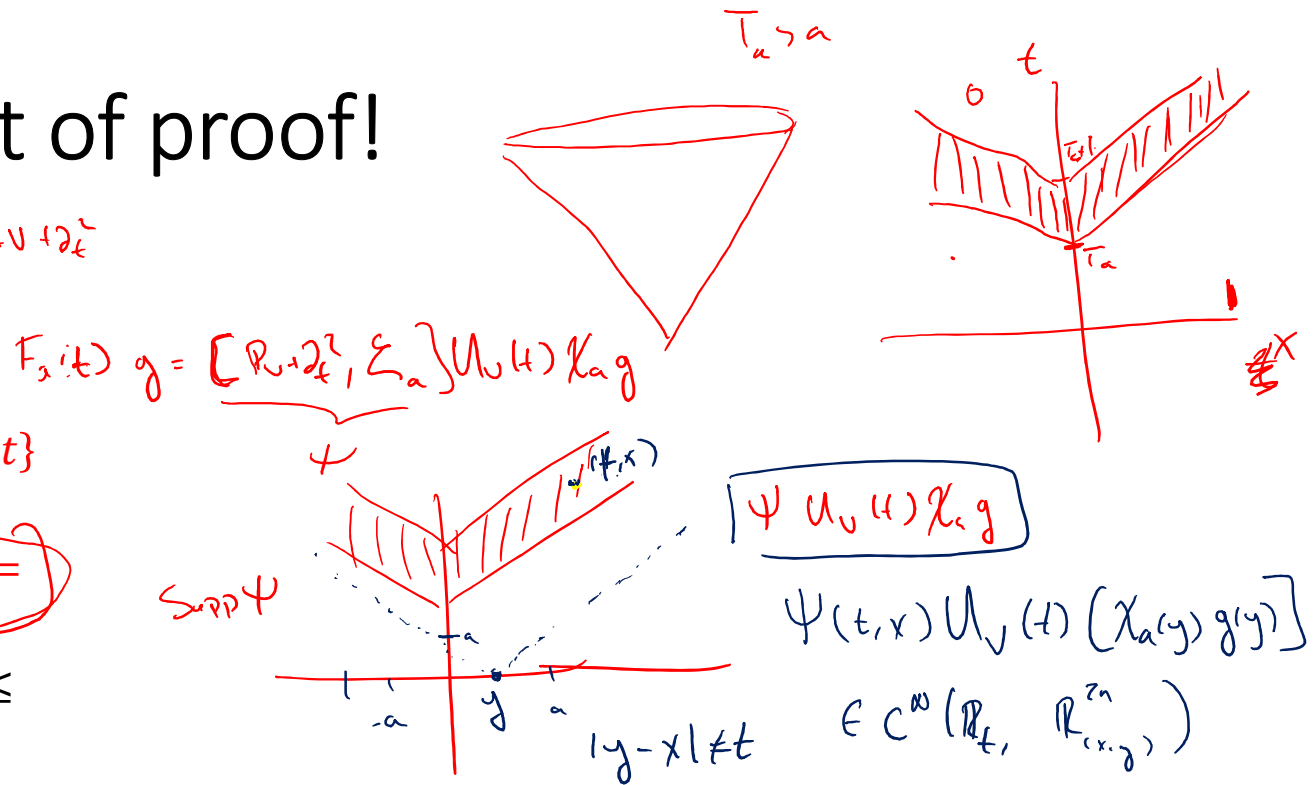
- Gaps to fill:

1. Prove Fourier transforms are defined and have desired mapping properties
2. Prove norm bound on  $K_a(\lambda)$  so  $(I + K_a(\lambda))^{-1}$  is defined
3. Prove norm bound on  $R_a^\#(\lambda)$  which give norm bounds on  $R_V(\lambda)$

$$R_a^\#(\lambda)g := \int_0^\infty e^{i\lambda t} \zeta_a(x, t) U_V(t) [\chi_a g](x) dt + \int_{-\infty}^\infty e^{i\lambda t} W_a(t) [g](x) dt$$

# Proof – Key part of proof!

- Why is  $\int_0^\infty e^{i\lambda t} F_a(t) g = \int_0^\infty e^{i\lambda t} (P_V + \partial_t^2) (\zeta_a U_V(t) [\chi_a g](y)) dt$  smooth in time?   
 *wave propagator  $-\Delta + V + \partial_t^2$*
- Key:**  $\text{supp} U_V(t, \cdot) \subset \{(x, y) : |x - y| \leq t\}$  and
- singsupp**  $U_V(t, \cdot) = \{(x, y) : |x - y| = |t|\}$  (theorem E.47)
- $\text{supp} [(P_V + \partial_t^2), \zeta_a] \subset \{|x| + T_a \leq t \leq |x| + T_a + 1\} \equiv A$
- Now if  $(t, x) \in A$  and  $y \in \text{supp} \chi_a$ , then  $|x - y| \neq |t|$
- therefore  $F_a(t) \in C^\infty(\mathbb{R}; \mathcal{L}(L^2, L^2))$  and compact support in time.



# Proof

- Why is  $\int_{-\infty}^{\infty} W_a(t) g dt$  ~~defined~~? <sup>bound</sup>
- Recall  $W_a(t)[g](x) = - \int_0^t \int_{-\infty}^{\infty} U_0(t-s, x, y) [F_a(s)[g]] dy ds$
- by regularity and support of  $F_a(t)$ , get  $W_a(t)g \in C^\infty(\mathbb{R}, L^2)$
- by a non-trivial argument,  $\text{supp } W_a(t)g \subset \{|x| + T_a \leq t \leq |x| + C_a\}$

# Norm Estimates

$u(t)$  comp distribution  
Supp

$\Rightarrow u \in C^\infty \Leftrightarrow \hat{u}(\lambda) = \mathcal{O}(\lambda^{-\infty})$

- Bound  $K_a(\lambda) = V \int_{-\infty}^{\infty} e^{i\lambda t} W_a(t)[g](x) dx$
- $[W_a(t)g](x) = - \int_0^t U_0(t-s, x, y) [F_a(s)g](y) dy ds$
- $F_a(s) \in C^\infty(\mathbb{R}, \mathcal{L}(L^2, L^2))$
- $\chi W_a(t) \in C_c^\infty((0, \infty), \mathcal{L}(L^2, L^2))$  for any  $\chi \in C_c^\infty(\mathbb{R}^n)$
- $\|\chi \int_{-\infty}^{\infty} e^{i\lambda t} W_a(t)[g] dt\|_{L^2} \leq C_N \langle \lambda \rangle^{-N} e^{C_1(\Im \lambda)}$

maxim

$u \in C_c^\infty \Leftrightarrow \hat{u} = \mathcal{O}(\lambda^{-\infty} e^{|\Im \lambda| C})$

$e^{i\lambda t} = e^{-\Im \lambda t}$




## Norm estimates

- By previous slide, get  $\|K_a(\lambda)\|_{L^2 \rightarrow L^2} \leq C_N \langle \lambda \rangle^{-N} e^{C_1(\Im \lambda)_-} < \frac{1}{2}$ 
  - for  $\lambda \in \Omega_M := \{\lambda \in \mathbb{C} : \Im \lambda > -M \log |\lambda|, |\lambda| > C_0\}$
- $R(\lambda)\chi_a = R_a^\#(\lambda)(I + K_a(\lambda))^{-1}$
- $R_a^\#(\lambda)[g] = \int_0^\infty e^{i\lambda t} \zeta_a(x, t) U_V(t)[\chi_a g](x) dt + \int_{-\infty}^\infty W_a(t)[g](x) dt$ 
  - bound the second term by the same estimate from the previous slide
  - bound the first term by using  $U_V(t), \partial_t U_V(t) = \mathcal{O}(\exp C|t|)_{L^2 \rightarrow L^2}$

# Non-Trapping

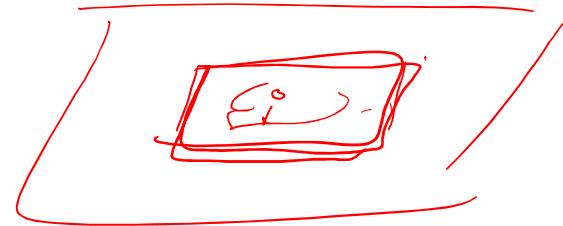
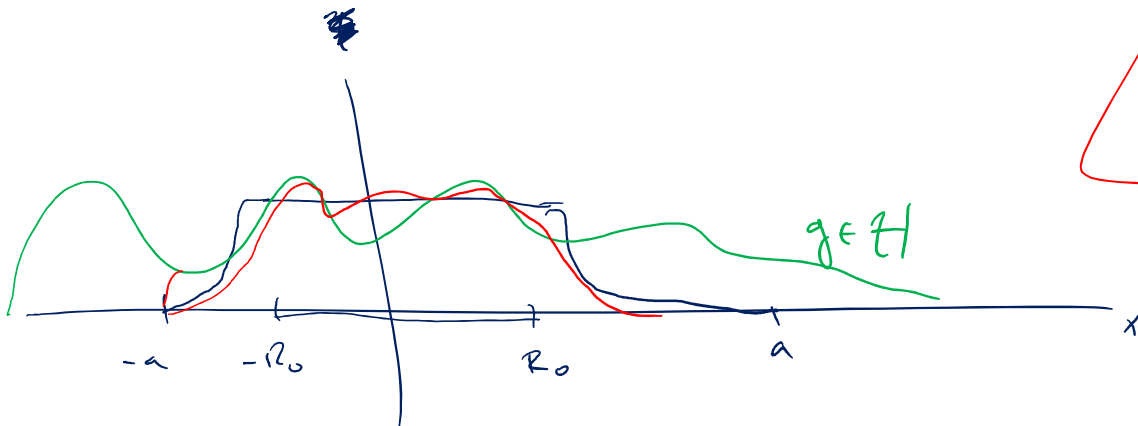
wild stuff happens  $\rightarrow$   
 $\downarrow$   
 $B = B(0, a)$   
 $R_0$

$$B^c = \mathbb{R}^n \setminus B(0, R_0)$$

- **Definition (Non-trapping black box)**
- Given  $P$  is a black box Hamiltonian (self-adjoint operator on a Hilbert space)
  - $1_{B^c} \mathcal{D} \subset H^2(B^c)$  ✓
  - $1_{B^c}(Pu) = -\Delta(u|_{B^c})$  ✓
  - $v \in H^2(\mathbb{R}^n), v|_{B(0, R_0 + \epsilon)} \equiv 0$  then  $v \in \mathcal{D}$  
  - $1_B(P(h) + i)^{-1}$  is compact ✓
- $P$  is nontrapping if  $P \geq -C$  for some  $C$  and for all  $a > R_0, \exists T_a$  such that for all  $\chi \in C_c^\infty(B(0, a)), \chi|_{B(0, R_0 + \epsilon)} \equiv 1$
- Then  $\chi \frac{\sin(t\sqrt{P})}{\sqrt{P}} \chi \Big|_{t > T_a} \in C^\infty((T_a, \infty); \mathcal{L}(\mathcal{H}, \mathcal{D}))$

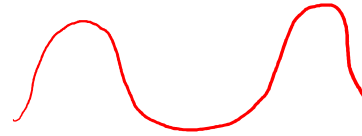
# Non-Trapping

- $P$  is nontrapping if  $P \geq -C$  for some  $C$  and for all  $a > R_0, \exists T_a$  such that for all  $\chi \in C_c^\infty(B(0, a)), \chi|_{B(0, R_0 + \epsilon)} \equiv 1$
- Then  $\chi \underbrace{\frac{\sin(t\sqrt{P})}{\sqrt{P}}}_{u_v} \chi \Big|_{t > T_a} \in C^\infty(\underline{T_a}, \infty); \mathcal{L}(\mathcal{H}, \mathcal{D})$

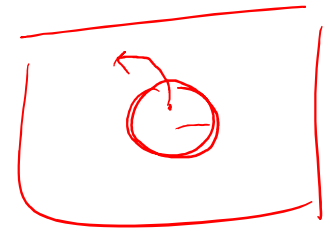


# Classical Trapping

Non-



- Given Riemannian metric  $g$  with  $g^{ij} - \delta_{ij} \in C_c^\infty(B(0, R_0))$
- classical nontrapping:  $\lim_{|t| \rightarrow \infty} \pi(\exp(tH_p(x, \xi))) = \infty \forall (x, \xi) \in T^*\mathbb{R}^n \setminus 0$ 
  - $H_p$  Hamiltonian for  $p(x, \xi) = \sum g^{ij} \xi_i \xi_j$ ,  $\pi: T^*\mathbb{R}^n \rightarrow \mathbb{R}^n$  natural projection
- Implies for all  $a > 0$ , get  $T_a$  with  $|x| < a, p(x, \xi) = 1, |t| > T_a$  then  $|\pi((\exp tH_p)(x, \xi))| > a$
- by propagation of singularities: for all  $\chi \in C_c^\infty(B(0, a))$  and  $N > 0$  get:
 
$$\chi \left( \frac{\sin(t\sqrt{-\Delta_g})}{\sqrt{-\Delta_g}} \right) \chi \in C^\infty((T_a, \infty), \mathcal{L}(L^2(\mathbb{R}^n), H^N(\mathbb{R}^n)))$$



$$D_V(\delta(t-x\omega)) = V\delta(t-x\omega)$$

$$\square E_1 = V\delta(t-x\omega)$$

Solve  $E_1, E_1 = 0 \quad t < 0$

$$\delta(t-x\omega) = H^{-1/2}$$

$$\square E_1 = H^{1/2} \quad \square E_2 = H^{3/2} \dots$$

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3.4.1  
Thm.

$$u(t, x, y) = \int_{\pm} \int_{\pm(x, y, \eta)} e^{i\varphi_{\pm}(t, x, y) - i\eta t} \pm \hat{a}_{\pm}(x, y, \eta) d\eta$$

ecc  
Solves  $(\partial_t^2 - \Delta_g)u \in \mathcal{W}$

$$u_V(t, x) = u_V^\pm(t, x, y) + \text{smooth}$$

$$\square_V = P_V + \partial_t^2 \quad \square_0$$

# Propagation of singularities (idea) lecture 17

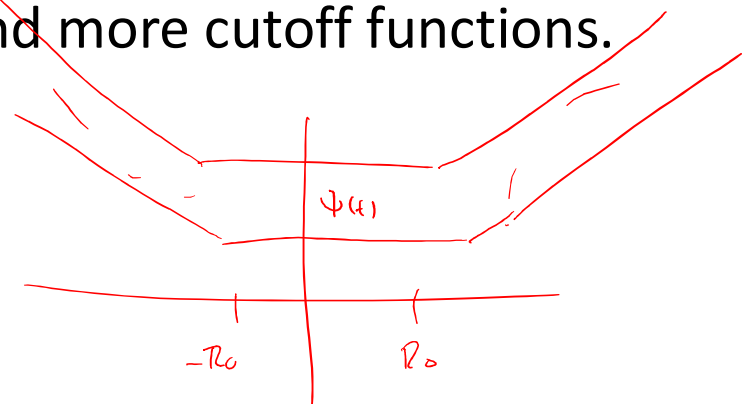
- singularities encoded in wavefront set  $WF_h(u) \subset \overline{T^*\mathbb{R}^n}$
- $P = h^2(\partial_t^2 - \Delta) \rightarrow p = -\tau^2 + |\xi|^2 \rightarrow \exp(sH_p) = \phi_s$
- If  $\phi_s(x_0, \xi_0) \notin WF_h(Pu)$  for  $s \in (0, T)$  and  $(x_0, \xi_0) \notin WF_h(u)$  then  $\phi_T(x_0, \xi_0) \notin WF_h(u)$
- then if  $Pu = \delta(t)\delta(x)$ , we get that singularities of  $u$  are contained on the cone, propagating due to  $\phi$

## Theorem 4.43 (Non-trapping estimates for black box Hamiltonians)

- Given  $P$  non-trapping black box Hamiltonian with  $R(\lambda): \mathcal{H}_{comp} \rightarrow \mathcal{D}_{loc}$  the meromorphically continued resolvent
- Then for all  $M, \exists C_0$  such that  $R(\lambda)$  is holomorphic in  $\Omega_M := \{\lambda \in \mathbb{C}: \Im \lambda > -M \log |\lambda|, |\lambda| > C_0\}$
- Also for all  $\chi \in C_c^\infty(\mathbb{R}^n)$ ,  $\chi = 1$  near  $B(0, R_0)$  there exist  $C_1, T$  with
- $\|\chi R(\lambda) \chi\|_{\mathcal{H} \rightarrow \mathcal{H}} \leq C_1 |\lambda|^{-1} e^{T(\Im \lambda)_-}, \lambda \in \Omega_M$

# Proof – cutoff the propagator

- Let  $\text{supp } \chi \subset B(0, a)$ ,  $\chi_a \in C_c^\infty(B(0, a))$  1 on  $\text{supp } \chi$ ,  $\psi_a \in C^\infty(\mathbb{R} \times \mathbb{R}^n)$  with
- $\text{supp } \psi_a \cap \{\mathbb{R} \times B^c\} \subset \{(t, x): |x| + T_a \leq t \leq |x| + T_a + 1\}$
- $\psi_a|_{\mathbb{R} \times B(0, R_0 + \epsilon)} = \psi_a^0(t) \in C_c^\infty(T_a + R_0, T_a + R_0 + 1)$
- **Lemma:**  $\psi_a U(t) \chi_a \in C^\infty(\mathbb{R}; \mathcal{L}(\mathcal{H}, \mathcal{D}))$
- proof: uses nontrapping assumption and more cutoff functions.



## Proof – create $F_a(t)$

- Let  $\zeta_a \in C^\infty$
- $\zeta_a(x, t)|_{|x| > R_0 + 2\epsilon} = \begin{cases} 1 & t \leq |x| + T_a \\ 0 & t \geq |x| + T_a + 1 \end{cases}$
- $\zeta_a(x, t)|_{|x| < R_0 + 2\epsilon} = \zeta_a^0(t) = \begin{cases} 1 & t \leq R_0 + \epsilon + T_a \\ 0 & t \geq R_0 + \epsilon + T_a + 1 \end{cases}$
- **Claim:**  $F_a(t) := [(\partial_t^2 + P), \zeta_a]U(t)\psi_a \in C^\infty\left(\mathbb{R}; \mathcal{L}(\mathcal{H}, \mathcal{D}^{\frac{1}{2}})\right)$
- this follows from the previous lemma



## Proof - Create $W_a(t)$

- Let  $\chi_b \in C_c^\infty(B(0, a))$  with  $\chi_b = 1$  near  $B(0, R_0)$  and  $\chi_a = 1$  on  $\text{supp}\chi_b$ , then construct  $W_a(t)$  so that:
- $(\partial_t^2 + \Delta)W_a(t) = -(1 - \chi_b)F_a(t), W_a(t) \equiv 0, t \geq 0$
- It will turn out that:
- $\text{supp}[W_a(t)g](x) \subset \{(x, t): |x| + T_a \leq t \leq |x| + C_a\}$
- $[W_a(t)g](x) \in C^\infty\left(\mathbb{R}_t, \mathcal{D}^{\frac{1}{2}}\right)$

## Proof – Approximation of Resolvent

- Let  $\chi_c \in C_c^\infty(B(0, a))$ , 1 near  $B(0, R_0)$ ,  $\chi_b = 1$  on  $\text{supp } \chi_c$
- Let  $R_a^\#(\lambda) = \int_0^\infty e^{i\lambda t} \zeta_a U(t) \chi_a dt + \int_{-\infty}^\infty e^{i\lambda t} (1 - \chi_c) W_a(t) dt$
- By computation  $(P - \lambda^2)R_a^\#(\lambda) = \chi_a(I + K_a(\lambda))$
- with  $K_a(\lambda) = \int_{-\infty}^\infty e^{i\lambda t} (\chi_b F_a(t) + [\Delta, \chi_c] W_a(t)) dt$
- Then  $R(\lambda)\chi_a = R_a^\#(\lambda)(I + K_a(\lambda))^{-1}$

# Theorem 4.44 (resonance expansion for non-trapping black box Hamiltonians)

- Given  $P$  a non-trapping black box Hamiltonian, and  $w(t)$  solves
- $(\partial_t^2 + P)w(t) = 0, w(0) = w_0 \in \mathcal{D}_{comp}^{\frac{1}{2}}, \partial_t w(0) = w_1 \in \mathcal{H}_{comp}$
- then for all  $A > 0$ ,

$$w(t) = \sum_{\substack{\lambda_j \in Res(P) \\ \Im \lambda_j > -A}} \sum_{l=0}^{m_R(\lambda_j)-1} t^l e^{-i\lambda_j t} f_{j,l} + E_A(t)$$

- where the sum is finite,  $\sum_{l=0}^{m_R(\lambda_j)-1} t^l e^{-i\lambda_j t} f_{j,l} + E_A(t) = Res_{\mu=\lambda_j} \left( (iR(\mu)w_1 + \lambda R(\mu)w_0) e^{-i\lambda \mu} \right)$
- $(P - \lambda_j)^{l+1} f_{j,l} = 0$
- and there is a control on the error.