

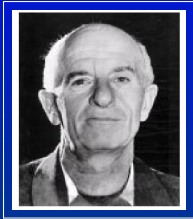
Shnol's theorem for general Schrödinger operators

Peter Stollmann

OTAMP, Bedlewo, 21.06.2008



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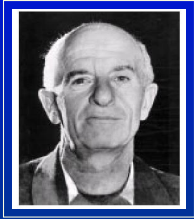
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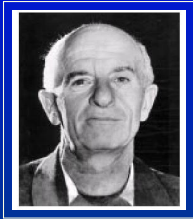
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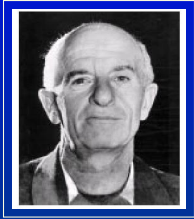
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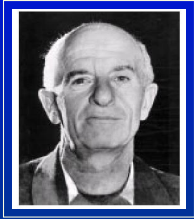
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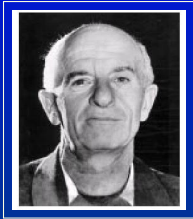
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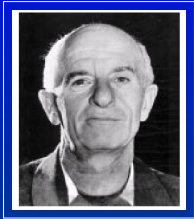
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A remix of results obtained in collaboration with Anne Boutet de Monvel and Daniel Lenz.

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Assume

$$(H + V)u = \lambda u,$$

i.e., u is an eigensolution. For suitable cut-off functions η_n , $n \in \mathbb{N}$:

$$(H + V)(\eta_n u) -$$

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$$\|(H + V)\phi_n - \lambda\phi_n\| \rightarrow 0 \text{ as } n \rightarrow \infty$$

so that $\lambda \in \sigma(H + V)$.



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Conclusion

If H is a suitable PDO and u a weak solution of $(H + V)u = \lambda u$ that doesn't grow too rapidly then $\lambda \in \sigma(H + V)$.

Results of this type are known as Shnol's theorem; Shnol 1957, Simon 1981; particularly important for us Kuchment 2005 (for quantum graphs).

Questions

- ▶ *What if $D(H)$ is not known? What about Weyl's criterion?*
- ▶ *What are good cut-off functions?*
- ▶ *How do we measure size/distance?*

We give an answer in the case that H is the generator of a strictly local Dirichlet form. That includes 2nd order PDO with singular coefficients.



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The results

Let H be associated with a strictly local, regular Dirichlet form on X .

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Let H be associated with a strictly local, regular Dirichlet form on X . Think of $H = -\Delta$

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Let H be associated with a strictly local, regular Dirichlet form on X . Think of $H = -\Delta$ (or $H = -\nabla \cdot a(x) \cdot \nabla$)

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Let H be associated with a strictly local, regular Dirichlet form on X . Think of $H = -\Delta$ (or $H = -\nabla \cdot a(x) \cdot \nabla$) on euclidean space,

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Let H be associated with a strictly local, regular Dirichlet form on X . Think of $H = -\Delta$ (or $H = -\nabla \cdot a(x) \cdot \nabla$) on euclidean space, a manifold

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Let H be associated with a strictly local, regular Dirichlet form on X . Think of $H = -\Delta$ (or $H = -\nabla \cdot a(x) \cdot \nabla$) on euclidean space, a manifold or a quantum graph.

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Let H be associated with a strictly local, regular Dirichlet form on X . Let the “potential” $V = \mu_+ - \mu_-$, where $\mu_+ \in \mathcal{M}_{cap}$ and $\mu_- \in \mathcal{M}_1$, i.e., μ_- is form small w.r.t. H .

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$$\frac{\|u \cdot \chi_{A(r, E_n)}\|}{\|u \cdot \chi_{E_n}\|} \rightarrow 0 \text{ as } n \rightarrow \infty$$



The results

Let H be associated with a strictly local, regular Dirichlet form on X . Let the “potential” $V = \mu_+ - \mu_-$, where $\mu_+ \in \mathcal{M}_{cap}$ and $\mu_- \in \mathcal{M}_1$, i.e., μ_- is form small w.r.t. H . For $E \subset X$ and $r > 0$ define the r -collar by

$$A(r, E) := \{x \in X \mid \text{dist}(x, E) \leq r\} \setminus E.$$

Theorem

Let H, V as above and u be a weak solution of $(H + V)u = \lambda u$. If there exists $r > 0$ and a sequence (E_n) of compact subsets of X with

$$\frac{\|u \cdot \chi_{A(r, E_n)}\|}{\|u \cdot \chi_{E_n}\|} \rightarrow 0 \text{ as } n \rightarrow \infty$$

then $\lambda \in \sigma(H + V)$.



The results

We call u *subexponentially bounded* if, for some $x_0 \in X$ and all $\alpha > 0$:

$$e^{-\alpha \text{dist}(x_0, \cdot)} u \in L^2(X).$$

Corollary

If λ admits a subexponentially bounded weak solution $u \neq 0$ then $\lambda \in \sigma(H + V)$.

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 $D = D(\mathcal{E}) =: H^1(\mathcal{E})$ s.t.

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Since \mathcal{E} is closed and densely defined it comes with a selfadjoint H s.t. $\mathcal{E}(u, v) = (Hu|v)$ for $u \in D(H)$, $v \in D$.



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\mathcal{E} is called *strongly local* if $\mathcal{E}(u, v) = 0$ whenever $v \equiv \text{const}$ on $\text{supp}(u)$.



The energy measure

Every strongly local, regular Dirichlet form \mathcal{E}

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The energy measure

Every strongly local, regular Dirichlet form \mathcal{E} admits an energy measure $\Gamma : D \times D \rightarrow \mathcal{M}_{Radon}$, so that

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For $H = -\Delta$ we have

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$$d\Gamma(u, v)$$



The energy measure

... has very nice properties:

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The energy measure

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Leibniz rules: $d\Gamma(u \cdot v, w) = ud\Gamma(v, w) + vd\Gamma(u, w)$.

Chain rule: $d\Gamma(\zeta \circ u, w) = (\zeta' \circ u)d\Gamma(u, w)$.

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$$\int_X |fg|d|\Gamma(u, v)| \leq \left(\int_X |f|^2 d\Gamma(u) \right)^{\frac{1}{2}} \left(\int_X |g|^2 d\Gamma(v) \right)^{\frac{1}{2}}$$



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with the convention $\Gamma(v) := \Gamma(v, v)$



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(ii) \Rightarrow (i) by contraposition: Assume $\lambda \in \rho(T)$ and take $(u_n) \in D(t)$ with $\|u_n\| \rightarrow 1$. Then $v_n := (T - \lambda)^{-1}u_n$ is uniformly bounded w.r.t. $\|\cdot\|_t$ so that $\|\delta v_n\|_t \leq 1$ for some $\delta > 0$. It follows:

$$\sup_{v \in D(t), \|v\|_t \leq 1} |(t - \lambda)(u_n, v)|$$



Weyl type sequences

Proposition

Let t be a closed form and T the associated selfadjoint operator. TFAE:

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Recall our set-up: \mathcal{E} a strongly local, regular Dirichlet form,
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Assume that ρ induces the original topology on X and that
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Important consequence of locality:

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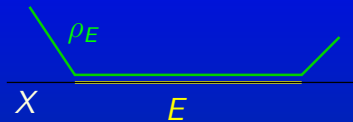
Assume that ρ induces the original topology on X and that
all balls are compact; We then call \mathcal{E} **strictly local**.

Important consequence of locality:

$$\rho_E(\cdot) := \text{dist}(\cdot, E) \in H_{loc}^1(\mathcal{E}), \text{ with } d\Gamma(\rho_E) \leq dm.$$



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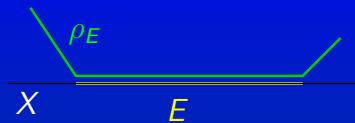
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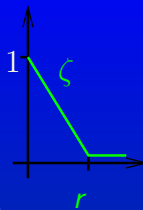


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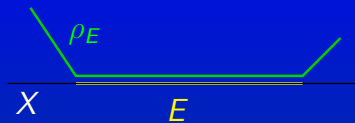
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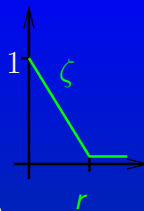


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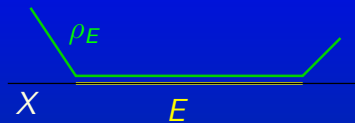
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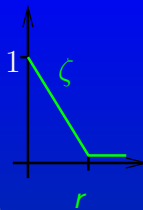


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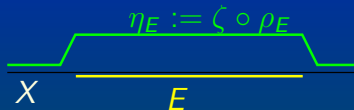
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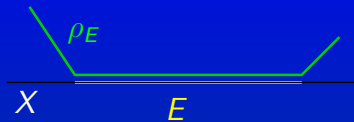
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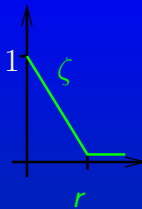


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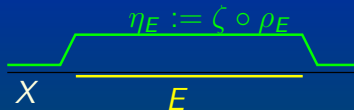
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$$\text{s.t. } \chi_E \leq \eta_E \leq \chi_{B_r(E)} \text{ and } d\Gamma(\eta_E) \leq r^{-2} \chi_{A(r,E)} dm.$$

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Specialize to $V = V_+ - V_- \in L^1_{loc}$,

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Specialize to $V = V_+ - V_- \in L^1_{loc}$, V_- form small w.r.t \mathcal{E}

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Weak solutions

Specialize to $V = V_+ - V_- \in L^1_{loc}$, V_- form small w.r.t \mathcal{E} so that $H + V$ is defined as a form sum.

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$$t(u, v) = \mathcal{E}(u, v) + \int_X V(x)u(x)\bar{v}(x)dm(x).$$

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$$t(u, v) = \mathcal{E}(u, v) + \int_X V(x)u(x)\bar{v}(x)dm(x).$$

A **weak solution** of $(H + V)u = \lambda u$ is a function $u \in L^2_{loc}$ s.t.



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$$t(u, \varphi) = \lambda(u|\varphi) \text{ for all } \varphi \in D \cap C_c(X)$$



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Weak solutions

Specialize to $V = V_+ - V_- \in L^1_{loc}$, V_- form small w.r.t \mathcal{E} so that $H + V$ is defined as a form sum. The corresponding form t is given by

$$t(u, v) = \mathcal{E}(u, v) + \int_X V(x)u(x)\bar{v}(x)dm(x).$$

A **weak solution** of $(H + V)u = \lambda u$ is a function $u \in L^2_{loc}$ s.t.

$$t(u, \varphi) = \lambda(u|\varphi) \text{ for all } \varphi \in D \cap C_c(X)$$

Basic trick: For such u , any $v \in D$ and realvalued $\eta \in D \cap C_c(X)$:

$$\begin{aligned}(t - \lambda)(\eta u, v) &= \mathcal{E}(\eta u, v) + \int_X V(x)\eta(x)u(x)\bar{v}(x)dm(x) \\ &= \mathcal{E}(u, \eta v) + \int_X V(x)u(x)\eta\bar{v}(x)dm(x) + \mathcal{E}(\eta u, v) - \mathcal{E}(u, \eta v) \\ &= \int_X u d\Gamma(\eta, v) - \int_X v d\Gamma(u, \eta) \text{ by Leibniz' rule.}\end{aligned}$$



Proof of the Theorem

Given: Weak solution u and a sequence (E_n) , $r > 0$ s.t.

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Given: Weak solution u and a sequence (E_n) , $r > 0$ s.t.

$$\frac{\|u \cdot \chi_{A(r, E_n)}\|}{\|u \cdot \chi_{E_n}\|} \rightarrow 0 \text{ as } n \rightarrow \infty.$$

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Take cut-off functions $\eta_n = \eta_{E_n}$ (intrinsic metric), $u_n := \eta_n u$. Want to show: $\lambda \in \sigma(H + V)$;

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$$\sup_{v \in D(t), \|v\|_t \leq 1} \left| (t - \lambda) \left(\frac{u_n}{\|u_n\|}, v \right) \right| \rightarrow 0 \text{ as } n \rightarrow \infty$$

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 $(t - \lambda)(u_n, v) =$

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$$(t - \lambda)(u_n, v) = \int_X u d\Gamma(\eta_n, v) - \int_X v d\Gamma(u, \eta_n)$$

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Only the first term:



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Only the first term:

$$\frac{1}{\|u_n\|} \left| \int_X u d\Gamma(\eta_n, v) \right|$$

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Only the first term:

$$\frac{1}{\|u_n\|} \left| \int_X u d\Gamma(\eta_n, v) \right| \leq \frac{1}{\|u_n\|} \left(\int_X |u|^2 d\Gamma(\eta_n) \right)^{\frac{1}{2}} \left(\int_X 1 d\Gamma(v) \right)^{\frac{1}{2}}$$

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Dirichlet forms: Beurling, Deny (1956) Fukushima (1980)

Intrinsic metric: Biroli, Mosco (1995), Sturm (1990's)

- ▶ Combes - Thomas estimate for $H + V$ in terms of the intrinsic metric. Eigenfunction expansion for $H + V$ (Boutet de Monvel, S. '03).
- ▶ Allegretto-Piepenbrink for $H + V$ (Lenz, S., Veselić)
- ▶ Ground state transformations for non-local operators (Frank, Seiringer)
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