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Kiril DATCHEV & András VASY

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SEMICLASSICAL RESOLVENT ESTIMATES AT TRAPPED SETS

by Kiril DATCHEV & András VASY (*)

ABSTRACT. — We extend our recent results on propagation of semiclassical resolvent estimates through trapped sets when a priori polynomial resolvent bounds hold. Previously we obtained non-trapping estimates in trapping situations when the resolvent was sandwiched between cutoffs χ microlocally supported away from the trapping: $\|\chi R_h(E + i0)\chi\| = \mathcal{O}(h^{-1})$, a microlocal version of a result of Burq and Cardoso-Vodev. We now allow one of the two cutoffs, $\tilde{\chi}$, to be supported at the trapped set, giving $\|\chi R_h(E + i0)\tilde{\chi}\| = \mathcal{O}(\sqrt{a(h)}h^{-1})$ when the a priori bound is $\|\tilde{\chi} R_h(E + i0)\tilde{\chi}\| = \mathcal{O}(a(h)h^{-1})$.

RÉSUMÉ. — Nous étendons nos résultats récents sur la propagation d'estimations de résolvantes semi-classiques à travers des ensembles captifs sous des bornes a priori de type polynomial. Précédemment, nous obtenions des estimations non-captives dans des situations captives quand la résolvante est contrôlée par au dessus et en dessous par des fonctions cutoff χ dont le support microlocal est situé loin de l'ensemble captif : $\|\chi R_h(E + i0)\chi\| = \mathcal{O}(h^{-1})$ (version microlocale d'un résultat de Burq et Cardoso-Vodev). Nous considérons maintenant le cas où l'une des deux fonctions cutoff, $\tilde{\chi}$, est à support dans l'ensemble captif, obtenant $\|\chi R_h(E + i0)\tilde{\chi}\| = \mathcal{O}(\sqrt{a(h)}h^{-1})$ lorsque la borne a priori est $\|\tilde{\chi} R_h(E + i0)\tilde{\chi}\| = \mathcal{O}(a(h)h^{-1})$.

This short article is an addendum to the previous paper by K. Datchev and A. Vasy.

Let (X, g) be a Riemannian manifold which is asymptotically conic or asymptotically hyperbolic in the sense of [6], let $V \in C_0^\infty(X)$ be real valued, let $P = h^2 \Delta_g + V(x)$, where $\Delta_g \geq 0$, and fix $E > 0$.

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THEOREM 1. — [6, Theorem 1.2] *Suppose that for any $\chi_0 \in C_0^\infty(X)$ there exist $C_0, k, h_0 > 0$ such that for any $\varepsilon > 0, h \in (0, h_0]$ we have*

$$\|\chi_0(h^2\Delta_g + V - E - i\varepsilon)^{-1}\chi_0\|_{L^2(X)\rightarrow L^2(X)} \leq C_0h^{-k}. \tag{1}$$

*Let $K_E \subset T^*X$ be the set of trapped bicharacteristics at energy E , and suppose that $b \in C_0^\infty(T^*X)$ is identically 1 near K_E . Then there exist $C_1, h_1 > 0$ such that for any $\varepsilon > 0, h \in (0, h_1]$ we have the following nontrapping estimate:*

$$\|\langle r \rangle^{-1/2-\delta}(1 - \text{Op}(b))(h^2\Delta_g + V - E - i\varepsilon)^{-1}(1 - \text{Op}(b))\langle r \rangle^{-1/2-\delta}\|_{L^2(X)\rightarrow L^2(X)} \leq C_1h^{-1}. \tag{2}$$

Here by bicharacteristics at energy E we mean integral curves in $p^{-1}(E)$ of the Hamiltonian vector field H_p of the Hamiltonian $p = |\xi|^2 + V(x)$, and the trapped ones are those which remain in a compact set for all time. We use the notation $r = r(z) = d_g(z, z_0)$, where d_g is the distance function on X induced by g and $z_0 \in X$ is fixed but arbitrary.

If $K_E = \emptyset$ then (1) holds with $k = 1$. If $K_E \neq \emptyset$ but the trapping is sufficiently ‘mild’, then (1) holds for some $k > 1$: see [6] for details and examples. The point is that the losses in (1) due to trapping are removed when the resolvent is cutoff away from K_E . Theorem 1 is a more precise and microlocal version of an earlier result of Burq [1] and Cardoso and Vodev [3], but the assumption (1) is not needed in [1, 3]. See [6] for additional background and references for semiclassical resolvent estimates and trapping.

In this paper we prove that an improvement over the a priori estimate (1) holds even when one of the factors of $(1 - \text{Op}(b))$ is removed:

THEOREM 2. — *Suppose that there exist $k > 0$ and $a(h) \leq h^{-k}$ such that for any $\chi_0 \in C_0^\infty(X)$ there exists $h_0 > 0$ such that for any $\varepsilon > 0, h \in (0, h_0]$ we have*

$$\|\chi_0(h^2\Delta_g + V - E - i\varepsilon)^{-1}\chi_0\|_{L^2(X)\rightarrow L^2(X)} \leq a(h)/h. \tag{3}$$

*Suppose that $b \in C_0^\infty(T^*X)$ is identically 1 near K_E . Then there exist $C_1, h_1 > 0$ such that for any $\varepsilon > 0, h \in (0, h_1]$,*

$$\|\langle r \rangle^{-1/2-\delta}(1 - \text{Op}(b))(h^2\Delta_g + V - E - i\varepsilon)^{-1}\langle r \rangle^{-1/2-\delta}\|_{L^2(X)\rightarrow L^2(X)} \leq C_1\sqrt{a(h)}/h. \tag{4}$$

Note that by taking adjoints, analogous estimates follow if $1 - \text{Op}(b)$ is placed to the other side of $(h^2\Delta_g + V - E - i\varepsilon)^{-1}$.

Such results were proved by Burq and Zworski [2, Theorem A] and Christianson [4, (1.6)] when K_E consists of a single hyperbolic orbit. Theorem 2 implies an optimal semiclassical resolvent estimate for the example operator of [6, §5.3]: it improves [6, (5.5)] to

$$\|\chi_0(P - \lambda)^{-1}\chi_0\| \leq C \log(1/h)/h.$$

Further, this improved estimate can be used to extend polynomial resolvent estimates from complex absorbing potentials to analogous estimates for damped wave equations; this is a result of Christianson, Schenk, Wunsch and the second author [5].

Theorems 1 and 2 follow from microlocal propagation estimates in a neighborhood of K_E , or more generally in a neighborhood of a suitable compact invariant subset of a bicharacteristic flow.

To state the general results, suppose X is a manifold, $P \in \Psi^{m,0}(X)$ a self adjoint, order $m > 0$, semiclassical pseudodifferential operator on X , with principal symbol p . For $I \subset \mathbb{R}$ compact and fixed, denote the characteristic set by $\Sigma = p^{-1}(I)$, and suppose that the projection to the base, $\pi: \Sigma \rightarrow X$, is proper (it is sufficient, for example, to have p classically elliptic). Suppose that $\Gamma \Subset T^*X$ is invariant under the bicharacteristic flow in Σ . Define the forward, resp. backward flowout Γ_+ , resp. Γ_- , of Γ as the set of points $\rho \in \Sigma$, from which the backward, resp. forward bicharacteristic segments tend to Γ , i.e. for any neighborhood O of Γ there exists $T > 0$ such that $-t \geq T$, resp. $t \geq T$, implies $\gamma(t) \in O$, where γ is the bicharacteristic with $\gamma(0) = \rho$. Here we think of Γ as the trapped set or as part of the trapped set, hence points in Γ_- , resp. Γ_+ are backward, resp. forward, trapped. Suppose V, W are neighborhoods of Γ with $\overline{V} \subset W, \overline{W}$ compact. Suppose also that

$$\text{If } \rho \in W \setminus \Gamma_+, \text{ resp. } \rho \in W \setminus \Gamma_-,$$

then the backward, resp. forward bicharacteristic from ρ intersects $W \setminus \overline{V}$. (5)

This means that all bicharacteristics in V which stay in V for all time tend to Γ .

The main result of [6], from which the other results in the paper follow, is the following:

THEOREM 3. — [6, Theorem 1.3] *Suppose that $\|u\|_{H^{-N}} \leq h^{-N}$ for some $N \in \mathbb{N}$ and $(P - \lambda)u = f$, $\text{Re } \lambda \in I$ and $\text{Im } \lambda \geq -\mathcal{O}(h^\infty)$. Suppose f is $\mathcal{O}(1)$ on W , $\text{WF}_h(f) \cap \overline{V} = \emptyset$, and u is $\mathcal{O}(h^{-1})$ on $W \cap \Gamma_- \setminus \overline{V}$. Then u is $\mathcal{O}(h^{-1})$ on $W \cap \Gamma_+ \setminus \Gamma$.*

Here we say that u is $\mathcal{O}(a(h))$ at $\rho \in T^*X$ if there exists $B \in \Psi^{0,0}(X)$ elliptic at ρ with $\|Bu\|_{L^2} = \mathcal{O}(a(h))$. We say u is $\mathcal{O}(a(h))$ on a set $E \subset T^*X$ if it is $\mathcal{O}(a(h))$ at each $\rho \in E$.

Note that there is no conclusion on u at Γ ; typically it will be merely $\mathcal{O}(h^{-N})$ there. However, to obtain $\mathcal{O}(h^{-1})$ bounds for u on Γ_+ we only needed to assume $\mathcal{O}(h^{-1})$ bounds for u on Γ_- and nowhere else. Note also that by the propagation of singularities, if u is $\mathcal{O}(h^{-1})$ at one point on any bicharacteristic, then it is such on the whole forward bicharacteristic. If $|\operatorname{Im} \lambda| = \mathcal{O}(h^\infty)$ then the same is true for backward bicharacteristics.

In this paper we show that a (lesser) improvement on the a priori bound holds even when f is not assumed to vanish microlocally near Γ :

THEOREM 4. — *Suppose that $\|u\|_{H^{N-1}} \leq h^{-N}$ for some $N \in \mathbb{N}$ and $(P - \lambda)u = f$, $\operatorname{Re} \lambda \in I$ and $\operatorname{Im} \lambda \geq -\mathcal{O}(h^\infty)$. Suppose f is $\mathcal{O}(1)$ on W , u is $\mathcal{O}(a(h)h^{-1})$ on W , and u is $\mathcal{O}(h^{-1})$ on $W \cap \Gamma_- \setminus \bar{V}$. Then u is $\mathcal{O}(\sqrt{a(h)}h^{-1})$ on $W \cap \Gamma_+ \setminus \Gamma$.*

In [6] Theorem 1 is deduced from Theorem 3. Theorem 2 follows from Theorem 4 by the same argument.

Proof of Theorem 4. — The argument is a simple modification of the argument of [6, End of Section 4, Proof of Theorem 1.3]; we follow the notation of this proof. Recall first from [6, Lemma 4.1] that if U_- is a neighborhood of $(\Gamma_- \setminus \Gamma) \cap (\bar{W} \setminus V)$ then there is a neighborhood $U \subset V$ of Γ such that if $\alpha \in U \setminus \Gamma_+$ then the backward bicharacteristic from α enters U_- . Thus, if one assumes that u is $\mathcal{O}(h^{-1})$ on Γ_- and f is $\mathcal{O}(1)$ on \bar{V} , it follows that u is $\mathcal{O}(h^{-1})$ on $U \setminus \Gamma_+$, provided U_- is chosen small enough that u is $\mathcal{O}(h^{-1})$ on U_- . Note also that, because $U \subset V$, f is $\mathcal{O}(1)$ on U . We will show that u is $\mathcal{O}(\sqrt{a(h)}h^{-1})$ on $U \cap \Gamma_+ \setminus \Gamma$: the conclusion on the larger set $W \cap \Gamma_+ \setminus \Gamma$ follows by propagation of singularities.

Next, [6, Lemma 4.3] states that if U_1 and U_0 are open sets with $\Gamma \subset U_1 \Subset U_0 \Subset U$ then there exists a nonnegative function $q \in C_0^\infty(U)$ such that

$$q = 1 \text{ near } \Gamma, \quad H_p q \leq 0 \text{ near } \Gamma_+, \quad H_p q < 0 \text{ on } \Gamma_+^{\bar{U}_0} \setminus U_1.$$

Moreover, we can take q such that both \sqrt{q} and $\sqrt{-H_p q}$ are smooth near Γ_+ .

Remark. — The last paragraph in the proof of [6, Lemma 4.3] should be replaced by the following: To make $\sqrt{-H_p \tilde{q}}$ smooth, let $\psi(s) = 0$ for $s \leq 0$, $\psi(s) = e^{-1/s}$ for $s > 0$, and assume as we may that $U_\rho \cap \mathcal{S}_\rho$ is a ball with respect to a Euclidean metric (in local coordinates near ρ) of

radius $r_\rho > 0$ around ρ . We then choose φ_ρ to behave like $\psi(r'_\rho{}^2 - |\cdot|^2)$ with $r'_\rho < r_\rho$ for $|\cdot|$ close to r'_ρ , bounded away from 0 for smaller values of $|\cdot|$, and choose $-\chi'_\rho$ to vanish like ψ at the boundary of its support. That sums of products of such functions have smooth square roots follows from [7, Lemma 24.4.8].

The proof of Theorem 4 proceeds by induction: we show that if u is $\mathcal{O}(h^k)$ on a sufficiently large compact subset of $U \cap \Gamma_+ \setminus \Gamma$, then u is $\mathcal{O}(h^{k+1/2})$ on $\Gamma_+^{\bar{U}_0} \setminus U_1$, provided $\sqrt{a(h)}h^{-1} \leq Ch^{k+1/2}$.

Now let U_- be an open neighborhood of $\Gamma_+ \cap \text{supp } q$ which is sufficiently small that $H_p q \leq 0$ on U_- and that $\sqrt{-H_p q}$ is smooth on U_- . Let U_+ be an open neighborhood of $\text{supp } q \setminus U_-$ whose closure is disjoint from Γ_+ and from $T^*X \setminus \bar{U}$. Define $\phi_\pm \in C^\infty(U_+ \cup U_-)$ with $\text{supp } \phi_\pm \subset U_\pm$ and with $\phi_+^2 + \phi_-^2 = 1$ near $\text{supp } q$.

Put

$$b \stackrel{\text{def}}{=} \phi_- \sqrt{-H_p q^2}, \quad e \stackrel{\text{def}}{=} \phi_+^2 H_p q^2.$$

Let $Q, B, E \in \Psi^{-\infty,0}(X)$ have principal symbols q, b, e , and microsupports $\text{supp } q, \text{supp } b, \text{supp } e$, so that

$$\frac{i}{h}[P, Q^*Q] = -B^*B + E + hF,$$

with $F \in \Psi^{-\infty,0}(X)$ such that $\text{WF}'_h F \subset \text{supp } dq \subset U \setminus \Gamma$. But

$$\begin{aligned} \frac{i}{h}\langle [P, Q^*Q]u, u \rangle &= \frac{2}{h} \text{Im}\langle Q^*Q(P - \lambda)u, u \rangle + \frac{2}{h}\langle Q^*Q \text{Im } \lambda u, u \rangle \\ &\geq -2h^{-1}\|Q(P - \lambda)u\| \|Qu\| - \mathcal{O}(h^\infty)\|u\|^2 \geq -Ch^{-2}a(h) - \mathcal{O}(h^\infty), \end{aligned}$$

where we used $\text{Im } \lambda \geq -\mathcal{O}(h^\infty)$ and that on $\text{supp } q, (P - \lambda)u$ is $\mathcal{O}(1)$. So

$$\|Bu\|^2 \leq \langle Eu, u \rangle + h\langle Fu, u \rangle + Ch^{-2}a(h) + \mathcal{O}(h^\infty).$$

But $|\langle Eu, u \rangle| \leq Ch^{-2}$ because $\text{WF}'_h E \cap \Gamma_+ = \emptyset$ gives that u is $\mathcal{O}(h^{-1})$ on $\text{WF}'_h E$ by the first paragraph of the proof. Meanwhile $|\langle Fu, u \rangle| \leq C(h^{-2} + h^{2k})$ because all points of $\text{WF}'_h F$ are either in $U \setminus \Gamma_+$, where we know u is $\mathcal{O}(h^{-1})$ from the first paragraph of the proof, or on a single compact subset of $U \cap \Gamma_+ \setminus \Gamma$, where we know that u is $\mathcal{O}(h^k)$ by inductive hypothesis. Since $b = \sqrt{-H_p q^2} > 0$ on $\Gamma_+^{\bar{U}_0} \setminus U_1$, we can use microlocal elliptic regularity to conclude that u is $\mathcal{O}(h^{k+1/2})$ on $\Gamma_+^{\bar{U}_0} \setminus U_1$, as desired. \square

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Kiril DATCHEV
Department of Mathematics,
Massachusetts Institute of Technology,
Cambridge, MA 02139-4397,
U.S.A.

datchev@math.mit.edu

András VASY
Department of Mathematics,
Stanford University,
Stanford, CA 94305-2125,
U.S.A.

andras@math.stanford.edu