

# Spectral Analysis of $\Psi$ DOs by Combining Analytic and Algebraic Techniques

Max Lein

in collaboration with Marius Măntoiu and Serge Richard

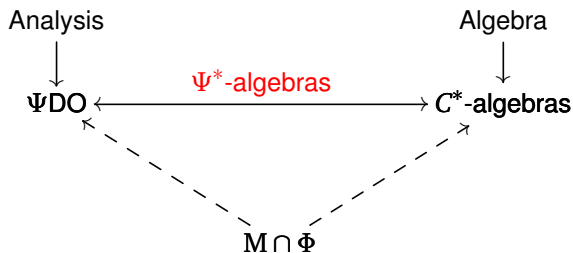
Kyushu University

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# Talk based on

- ① *Magnetic pseudodifferential operators with coefficients in  $C^*$ -algebras*, Publ. RIMS Kyoto Univ., Volume 46 (2010), 755–788
- ② *Semiclassical Dynamics and Magnetic Weyl Calculus*, PhD thesis

# Key idea



# The notion of $\Psi^*$ -algebra

## Definition ( $\Psi^*$ -algebra Gramsch (1984))

Let  $\Psi \subset \mathcal{C}$  be a unital  $*$ -subalgebra. Then  $\Psi$  is called a  $\Psi^*$ -algebra if and only if

- (i) if  $\Psi$  can be endowed with a **Fréchet topology**  $\tau_\Psi$  such that the embedding  $\Psi \hookrightarrow \mathcal{C}$  is continuous and
- (ii)  $\Psi \cap \mathcal{C}^{-1} = \Psi^{-1}$  holds.

# My motivation

- ① Analysis of *magnetic*  $\Psi$ DOs using algebraic techniques.
- ② *Application to problems in solid state physics*: conduction properties in crystalline solids and photonic crystals (space-adiabatic perturbation theory, existence of an exponentially localized Wannier basis)
- ③ *Ultimate goal: »Adiabatic perturbation theory« for random media*: Combination of non-commutative geometry with magnetic pseudodifferential calculus

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- ③ *Ultimate goal: »Adiabatic perturbation theory« for random media*: Combination of non-commutative geometry with magnetic pseudodifferential calculus

Simplified setup:  $B = 0$

- 1 Weyl calculus
- 2  $C^*$ -algebras
- 3 Connection between the two points of view
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# Pseudodifferential operators on $\mathbb{R}^d$

## Building block operators

Weyl quantization is a functional calculus for

$$Q = \hat{x}$$

$$P = -i\nabla_x$$

commutation relations

$$i[Q_l, Q_j] = 0$$

$$i[P_l, Q_j] = \delta_{lj}$$

$$i[P_l, P_j] = 0$$

# Weyl quantization

For suitable functions  $h : \Xi \longrightarrow \mathbb{C}$  on phase space  $\Xi = \mathbb{R}^d \times \mathbb{R}^{d*}$ ,  
 $u \in \mathcal{S}(\mathbb{R}^d) \subset L^2(\mathbb{R}^d)$ :

$$\begin{aligned} (\mathfrak{Op}(h)u)(x) &= \frac{1}{(2\pi)^d} \int_{\mathbb{R}^d} dy \int_{\mathbb{R}^{d*}} d\eta e^{-i(y-x)\cdot\eta} \\ &\quad \cdot h\left(\frac{1}{2}(x+y), \eta\right) u(y) \\ &= \frac{1}{(2\pi)^{d/2}} \int_{\mathbb{R}^d} dy \mathcal{F}h\left(\frac{1}{2}(x+y), y-x\right) u(y) \end{aligned}$$

# The Moyal product

$$\mathfrak{Op}(f \sharp g) := \mathfrak{Op}(f) \mathfrak{Op}(g)$$

$$(f \sharp g)(x, \xi) = \frac{1}{(2\pi)^{2d}} \int_{\mathbb{R}^d \times \mathbb{R}^{d^*}} dy d\eta \int_{\mathbb{R}^d \times \mathbb{R}^{d^*}} dz d\zeta e^{-i(\eta \cdot y - y \cdot \zeta)} \cdot f\left(x - \frac{1}{2}y, \xi - \eta\right) g\left(x - \frac{1}{2}z, \xi - \zeta\right)$$

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# The Moyal product

$$\mathfrak{Op}(f \# g) := \mathfrak{Op}(f) \mathfrak{Op}(g)$$

$$(f \# g)(x, \xi) = \frac{1}{(2\pi)^d} \int_{\mathbb{R}^d} dy e^{+i\xi \cdot y} \cdot \int_{\mathbb{R}^d} dz \mathcal{F}f\left(x - \frac{1}{2}(y - z), y\right) \mathcal{F}g\left(x - \frac{1}{2}z, y - z\right)$$

# Hörmander symbol classes

## Definition

The Fréchet space of Hörmander symbols of order  $m \in \mathbb{R}$  and type  $\rho \in [0, 1]$  are defined by

$$S_{\rho}^m := \left\{ f \in C^{\infty}(\Xi) \mid \forall a, \alpha \in \mathbb{N}_0^d \exists C_{a\alpha} > 0 : \right. \\ \left. \left| \partial_x^a \partial_{\xi}^{\alpha} f(x, \xi) \right| \leq C_{a\alpha} \langle \xi \rangle^m \quad \forall (x, \xi) \in \Xi \right\}.$$

# Hörmander symbol classes

## Theorem

$$S_\rho^{m_1} \# S_\rho^{m_2} \subseteq S_\rho^{m_1+m_2}$$



# Hörmander symbol classes

## Theorem (Bony)

Let  $h = h^* \in S_\rho^m$  for  $m \geq 0$ . If  $m > 0$ , we assume that in addition  $h$  is elliptic. Then for all  $z \in \mathbb{C} \setminus \mathbb{R}$

$$(h - z)^{(-1)\sharp} \in S_\rho^{-m},$$

where the Moyal resolvent  $(h - z)^{(-1)\sharp}$  is the inverse of  $h - z$  with respect to  $\sharp$ .

Ellipticity  $\Rightarrow \mathfrak{Op}(h)^* = \mathfrak{Op}(h)$  with domain  $H^m(\mathbb{R}^d)$

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# Simplest relevant $C^*$ -algebra

## Definition

$\mathfrak{B} := \mathfrak{Op}^{-1}(\mathcal{B}(L^2(\mathbb{R}^d)))$  mit

- ①  $C^*$ -norm  $\|f\|_{\mathfrak{B}} := \|\mathfrak{Op}(f)\|_{\mathcal{B}(L^2(\mathbb{R}^d))}$
- ② Product  $f \sharp g := \mathfrak{Op}^{-1}(\mathfrak{Op}(f) \mathfrak{Op}(g))$  und
- ③ Involution  $f^* := \mathfrak{Op}^{-1}(\mathfrak{Op}(f)^*)$

$f, g$  suitable:  $f \sharp g$  agrees with Moyal product and  $f^*$  is the function which is the pointwise complex conjugate of  $f$ .

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$\mathfrak{B}$  is often »too big.«  $\rightsquigarrow$  *twisted product*  $C^*$ -algebras

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# Anisotropy algebra

## Definition

Let  $\mathcal{A} \subseteq \mathcal{C}_{\text{bu}}(\mathbb{R}^d)$  be a  $C^*$ -subalgebra, which is stable under translations.

Encodes the behavior of the  $\Psi$ DO  $\mathcal{O}p(h)$  in the  $x$  variable of  $h : \mathbb{R}^d \times \mathbb{R}^{d^*} \longrightarrow \mathbb{R}$ .



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# Anisotropy algebra

The triple  $(\mathcal{A}, \mathbb{R}^d, \theta)$  forms a  $C^*$ -dynamical system, where  $\theta_x[\varphi] := \varphi(\cdot + x)$  is the group action by translation.

## *crossed product $C^*$ -algebra*

### Proposition

*The triple  $(L^1(\mathbb{R}^d, \mathcal{A}), \star, \star)$  is a Banach- $*$ -algebra, where  $L^1(\mathbb{R}^d, \mathcal{A})$  is the Banach space of Bochner-integrable functions with*

① *product*

$$(F \star G)(x) := \frac{1}{(2\pi)^{d/2}} \int_{\mathbb{R}^d} dy \theta_{-\frac{1}{2}(x-y)} [F(y)] \theta_{\frac{1}{2}y} [G(x-y)] \in \mathcal{A}$$

② *and involution  $F^\star(x) := F^\star(-x)$ .*

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① *product*

$$(F \star G)(x, z) = \frac{1}{(2\pi)^{d/2}} \int_{\mathbb{R}^d} dy F\left(y, z - \frac{1}{2}(x - y)\right) G\left(x - y, z + \frac{1}{2}y\right)$$

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## *crossed product $C^*$ -algebra*

### Definition (*crossed product $C^*$ -algebra*)

$\mathcal{A} \rtimes \mathbb{R}^d$  is defined as the completion of the Banach- $*$  algebra  $(L^1(\mathbb{R}^d, \mathcal{A}), \star, \star)$  with respect to the  $C^*$ -norm

$$\|F\|_{\rtimes} := \sup \left\{ \|\pi(F)\|_{\mathcal{B}(\mathcal{H})} \mid \pi \text{ non-degenerate representation on } \mathcal{H} \right\}.$$

# Fourier-transformed *crossed product* $C^*$ -algebra

Definition (Fourier transformation  $\mathcal{F}$ )

$$\mathcal{F}^{-1} : L^1(\mathbb{R}^d, \mathcal{A}) \longrightarrow \mathcal{C}_0(\mathbb{R}^{d*}, \mathcal{A})$$

$$(\mathcal{F}^{-1}F)(\xi) := \frac{1}{(2\pi)^{d/2}} \int_{\mathbb{R}^d} dx e^{+i\xi \cdot x} F(x) \in \mathcal{A}$$

# Fourier-transformed *crossed product* $C^*$ -algebra

## Definition

$\mathfrak{C}_{\mathcal{A}} := \mathcal{F}^{-1}(\mathcal{A} \rtimes \mathbb{R}^d)$  mit

- ① Norm  $\|f\|_{\mathfrak{C}_{\mathcal{A}}} := \|\mathcal{F}f\|_{\rtimes}$ ,
- ② Produkt  $f \sharp g := \mathcal{F}^{-1}(\mathcal{F}f \star \mathcal{F}g)$ ,

$$(f \sharp g)(x, \xi) = \frac{1}{(2\pi)^{d/2}} \int_{\mathbb{R}^d} dy e^{+i\xi \cdot y} \cdot \frac{1}{(2\pi)^{d/2}} \int_{\mathbb{R}^d} dz \mathcal{F}f\left(x - \frac{1}{2}(y - z), y\right) \mathcal{F}g\left(x - \frac{1}{2}z, y - z\right)$$

and

- ③ Involution  $f \sharp := \mathcal{F}^{-1}((\mathcal{F}f)^{\star}) = f^*$

$f, g$  suitable:  $f \sharp g$  coincides with Moyal produkt

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# Representations of $\mathfrak{C}_A$

## Theorem

- ①  $\mathcal{D}_p$  is the position representation of  $\mathfrak{C}_A$  on  $L^2(\mathbb{R}^d)$ .
- ②  $\mathcal{F} \mathcal{D}_p \mathcal{F}^{-1}$  is the momentum representation of  $\mathfrak{C}_A$  on  $L^2(\mathbb{R}^{d^*})$ .

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$\Psi^*$ -property of  $S_\rho^0$ 

## Proposition

$S_\rho^0 \hookrightarrow \mathfrak{B}$  is a  $\Psi^*$ -algebra.

$\Psi^*$ -property of  $S_\rho^0$ 

## Proof.

- ①  $\mathfrak{Op} : S_\rho^0 \hookrightarrow \mathcal{B}(L^2(\mathbb{R}^d))$  continuous (Caldéron-Vaillancourt)
- ②  $S_\rho^0 \sharp S_\rho^0 \subseteq S_\rho^0$  (closedness under  $\sharp$ )
- ③  $S_\rho^0 \cap \mathfrak{B}^{(-1)\sharp} = (S_\rho^0)^{(-1)\sharp}$  (corollary of Bony criterion)



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# Anisotropic Hörmander symbol classes

Definition ( $S_\rho^m(\mathcal{A})$ )

$$S_\rho^m(\mathcal{A}) := \left\{ f \in S_\rho^m \mid \forall a, \alpha \in \mathbb{N}_0^d, \xi \in \mathbb{R}^{d^*} \ x \mapsto \partial_x^a \partial_\xi^\alpha f(x, \xi) \in \mathcal{A} \right\}$$

$\Psi^*$ -property of  $S_\rho^0(\mathcal{A})$ 

Theorem (L.-Măntoiu-Richard (2010))

$S_\rho^0(\mathcal{A}) \hookrightarrow \mathfrak{B}$  is a  $\Psi^*$ -algebra.

$\Psi^*$ -property of  $S_\rho^0(\mathcal{A})$ 

## Proof.

- ①  $\text{Op} : S_\rho^0(\mathcal{A}) \hookrightarrow \mathcal{B}(L^2(\mathbb{R}^d))$  continuous ( $S_\rho^m(\mathcal{A}) \subseteq S_\rho^m$ )
- ②  $S_\rho^0(\mathcal{A}) \sharp S_\rho^0(\mathcal{A}) \subseteq S_\rho^0(\mathcal{A})$  (L.-Măntoiu-Richard (2010), easy)
- ③  $S_\rho^0(\mathcal{A}) \cap \mathfrak{B}^{(-1)\sharp} = (S_\rho^0(\mathcal{A}))^{(-1)\sharp} ???$



# $\Psi^*$ -property of $S_\rho^0(\mathcal{A})$

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$\Psi^*$ -property of  $S_\rho^0(\mathcal{A})$ 

Proving spectral invariance is not necessary:

**Theorem (Lauter (1998))**

*Let  $\Psi \hookrightarrow \mathfrak{B}$  be a  $\Psi^*$ -algebra and  $\Psi' \subset \Psi$  a closed unital  $*$ -subalgebra. Then  $\Psi' \hookrightarrow \mathfrak{B}$  endowed with the restricted topology  $\tau_\Psi|_{\Psi'}$  is also a  $\Psi^*$ -algebra.*

$\Psi^*$ -property of  $S_\rho^0(\mathcal{A})$ 

## Proof.

- ①  $\text{Op} : S_\rho^0(\mathcal{A}) \hookrightarrow \mathcal{B}(L^2(\mathbb{R}^d))$  continuous ( $S_\rho^m(\mathcal{A}) \subseteq S_\rho^m$ )
- ②  $S_\rho^0(\mathcal{A}) \# S_\rho^0(\mathcal{A}) \subseteq S_\rho^0(\mathcal{A})$  (L.-Măntoiu-Richard (2010), easy)
- ③ follows immediately from  $\Psi^*$ -property of  $S_\rho^0$  and Theorem by Lauter



# What have we gained?



# Determining the essential spectrum of a $\Psi$ DO

$\Psi$ DO  $H = \mathfrak{Op}(h)$  associated to the function  $h$  with certain properties

Analysis



$\Psi$ DO

Algebra



$C^*$ -algebras

# Determining the essential spectrum of a $\Psi$ DO

Essential spectrum of an operator  $H = H^* \in \mathcal{B}(\mathcal{H}) \rightsquigarrow$  *Calkin-Algebra*  
 $\mathcal{C}(\mathcal{H}) := \mathcal{B}(\mathcal{H})/\mathcal{K}(\mathcal{H})$

Analysis



$\Psi$ DO

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$C^*$ -algebras

# Determining the essential spectrum of a $\Psi$ DO

What is  $[\text{Op}(h)]_{\mathcal{K}(\mathcal{H})} \in \mathcal{C}(\mathcal{H}) = \mathcal{B}(\mathcal{H})/\mathcal{K}(\mathcal{H})$ ?

Analysis



$\Psi$ DO

Algebra



$C^*$ -algebras

How do you combine  
both points of view?

# Determining the essential spectrum of a $\Psi$ DO

- ① Let  $h$  be an anisotropic Hörmander symbol, e. g.  $S_\rho^0(\mathcal{A})$ .

Analysis



$\Psi$ DO

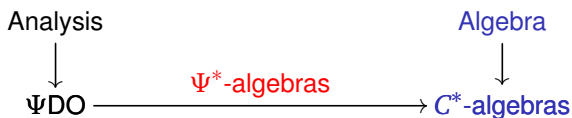
Algebra



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# Determining the essential spectrum of a $\Psi$ DO

- ② Identification of  $S_\rho^0(\mathcal{A})$  with a subalgebra of  $\mathfrak{C}_\mathcal{A} \subset \mathfrak{B}$ .



# Determining the essential spectrum of a $\Psi$ DO

- ③ Analysis of the quotient algebra

$$\mathcal{A}/\mathcal{C}_0(\mathbb{R}^d) \cong \mathcal{C}_0(\mathcal{S}_{\mathcal{A}} \setminus \mathbb{R}^d) \cong \bigcup_{j \in \mathcal{I}} \mathcal{C}(\mathcal{Q}_{\infty, j})$$

Analysis



$\Psi$ DO

Algebra



$C^*$ -algebras

# Determining the essential spectrum of a $\Psi$ DO

$$\textcircled{4} \quad \mathcal{A} \rtimes \mathbb{R}^d / C_0(\mathbb{R}^d) \rtimes \mathbb{R}^d \cong (\mathcal{A} / C_0(\mathbb{R}^d)) \rtimes \mathbb{R}^d \cong \bigcup_{j \in I} C(Q_{\infty, j}) \rtimes \mathbb{R}^d$$

Analysis



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Algebra



$C^*$ -algebras



# Determining the essential spectrum of a $\Psi$ DO

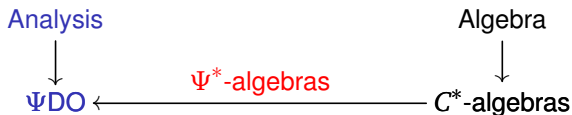
⑤ Morphism  $\mathfrak{C}_{\mathcal{A}} \ni h \mapsto h_{\infty,j} \in \mathfrak{C}_{\mathcal{C}(\mathcal{Q}_{\infty,j})}$

Analysis  
↓  
 $\Psi$ DO

Algebra  
↓  
 $C^*$ -algebras

# Determining the essential spectrum of a $\Psi$ DO

- ⑥ The  $h_{\infty,j}$  are again functions on  $\mathbb{R}^d \times \mathbb{R}^{d^*} \rightsquigarrow$  analysis of the spectra of the  $\mathcal{O}p(h_{\infty,j})$ .



## Concrete result

Theorem (L., Măntoiu, Richard (2010))

*Suppose the components of  $B$  are of class  $\mathcal{A}^\infty$ ,  $m > 0$ ,  $\rho \in [0, 1]$  and  $h \in S_\rho^m(\mathcal{A})$  be elliptic. Then*

$$\sigma_{\text{ess}}(\mathfrak{Op}^A(h)) = \overline{\bigcup_{j \in \mathcal{I}} \sigma(\mathfrak{Op}^{A_{\infty j}}(h_{\infty j}))}$$

*where  $\bigcup_{j \in \mathcal{I}} \mathcal{Q}_{\infty, j}$  is a covering of the points at infinity  $\Omega_{\mathcal{A}} \setminus \iota(\mathbb{R}^d)$ .*

# Further results

- 1 Inclusion of magnetic fields  $B$  with components in  $\mathcal{A}^\infty$
- 2 Asymptotic expansions of  $\sharp$  are compatible with anisotropic Hörmander classes.
- 3 Extension of more general anisotropy algebras  $\mathcal{A} = \mathcal{C}(\Omega)$  are available.

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# Take-away message

- 1 The notion of  $\Psi^*$ -algebras mediates between analytic and algebraic point of view.
- 2 Allows applications of algebraic tools to problems from  $M \cap \Phi$ .
- 3 Algebraic point of view sometimes simplifies arguments involving pseudodifferential calculus.



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- *Magnetic pseudodifferential operators with coefficients in  $C^*$ -algebras*, Publ. RIMS Kyoto Univ., Volume 46 (2010), 755–788
- *Semiclassical Dynamics and Magnetic Weyl Calculus*, PhD thesis