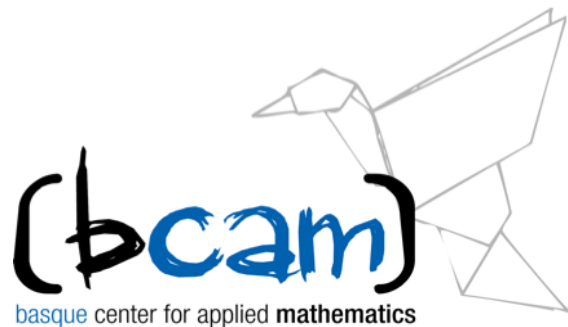


SHELL INTERACTIONS FOR DIRAC OPERATORS: AN ISOPERIMETRIC-TYPE INEQUALITY

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The Operator

- $\partial_t \psi = iH\psi$; $H = H_0 + \mathbb{V}$, $\psi = \psi(x, t)$

- $H_0 = \frac{1}{i}\alpha\nabla + m\beta$

- $H_0^2 = -\Delta + m^2$

$$\alpha \cdot \alpha = \mathbb{1} \quad \alpha = (\alpha_j)$$

$$\alpha\beta + \beta\alpha = 0$$

$$\alpha_j\alpha_k + \alpha_k\alpha_j = 0 \quad j \neq k \quad ; \quad \alpha_j^2 = 1 \quad j = 1, 2, 3$$

- If $x \in \mathbb{R}^3$ then $\psi = \begin{pmatrix} \phi \\ \chi \end{pmatrix}$, $\phi, \chi \in \mathbb{C}^2$ (spinors).

- \mathbb{V} : “critical” $\frac{1}{\lambda}\mathbb{V}\left(\frac{x}{\lambda}\right) \sim \mathbb{V}(x)$

Example: Coulomb $\mathbb{V} = \frac{-\lambda}{|x|}\mathbb{1}$

General Questions

(a) Self-adjointness.

(b) Spectrum: Characterization of the ground state by the “right inequality”.

Similar questions for a non linear \mathbb{V} always assume some smallness condition on \mathbb{V} .

(c) What is a small/big perturbation of H_0 ?

The Laplacian

$$\mathcal{H} = -\Delta + V, \quad V(x) \in \mathbb{R}$$

$$\langle \mathcal{H}f, f \rangle = \int |\nabla f|^2 + \int V|f|^2$$

(a) $V \geq 0$ or $\int |V||f|^2 < 1 - \int |\nabla f|^2$

(b) $\min_{\|f\|_{L^2}=1} \left\{ \int |\nabla f|^2 + \int V|f|^2 \right\} \quad (V \leq 0)$

Example: $V(x) = \frac{\lambda}{|x|^2}$

$$\int_{\mathbb{R}^3} \frac{|f|^2}{|x|^2} \leq 4 \int_{\mathbb{R}^3} |\nabla f|^2 \quad (\text{Hardy's inequality})$$

$$f = f(|x|) \quad \int_0^\infty |f(r)|^2 dr \leq 4 \int_0^\infty r^2 |f'(r)|^2 dr$$

$$\lambda > -1/4$$

Dirac: $\alpha_j = \begin{pmatrix} 0 & \widehat{\sigma}_j \\ \widehat{\sigma}_j & 0 \end{pmatrix} \quad j = 1, 2, 3$

$$\widehat{\sigma}_1 = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}, \quad \widehat{\sigma}_2 = \begin{pmatrix} 0 & -i \\ i & 0 \end{pmatrix}, \quad \widehat{\sigma}_3 = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix},$$

$$\beta = \begin{pmatrix} \mathbb{1} & 0 \\ 0 & -\mathbb{1} \end{pmatrix}.$$

Remark: If $(H_0 + V)\psi_0 = a\psi_0$, $\psi_0 = \begin{pmatrix} \phi_0 \\ \chi_0 \end{pmatrix}$ and $\widetilde{V}(x) = -V(-x)$, $\widetilde{\psi}_0 = \begin{pmatrix} \chi_0(-x) \\ \phi_0(-x) \end{pmatrix}$, then $(H_0 + \widetilde{V})\widetilde{\psi}_0 = -a\widetilde{\psi}_0$.

In particular if $V = 0$ then the spectrum is $(-\infty, -m] \cup [m, \infty)$.

Coulomb Potential

- $H_0 - \frac{\lambda}{|x|}$

(a) Self-adjointness: **Rellich '53**, **Schminke '72**, **Wust '75**, **Nencim '76**, **Kato '80– '83** (Kato–Nencin inequality)

Final answer: $|\lambda| < 1$.

(b) “Ground state” ($\lambda \geq 0$) Minimization process (**Dolbeault, Esteban, Séré '00**):

- Variational inequality for $\phi \left(\psi = \begin{pmatrix} \phi \\ \chi \end{pmatrix} \right)$.

- Hardy–Kato–Nencin type inequalities (**Dolbeault, Duoandikoetxea, Esteban, Loss, Vega '04 '07**).

- $\hat{\sigma} \cdot A \quad \hat{\sigma} \cdot B = A \cdot B + i\hat{\sigma} A \wedge B$

- $\hat{\sigma} \frac{x}{|x|} \quad \hat{\sigma} \cdot \nabla = \frac{x}{|x|} \cdot \nabla + i\hat{\sigma} \frac{x}{|x|} \wedge \nabla = \partial_r - \frac{1}{r} \hat{\sigma} \cdot L$

- $(1 + \hat{\sigma} \cdot L)^2 \geq 1$

Electrostatic Shell Interactions:

$\Omega \subset \mathbb{R}^3$ bounded smooth domain

$\sigma =$ surface measure on $\partial\Omega$

$N =$ outward unit normal vector field on $\partial\Omega$

Electrostatic shell potential $V_\lambda = \lambda\delta_{\partial\Omega}$:

$$\lambda \in \mathbb{R}, \quad V_\lambda(\varphi) = \frac{\lambda}{2}(\varphi_+ + \varphi_-)$$

$\varphi_\pm =$ non-tangential boundary values of $\varphi : \mathbb{R}^3 \rightarrow \mathbb{C}^4$
when approaching from Ω or $\mathbb{R}^3 \setminus \overline{\Omega}$

Electrostatic shell interaction for H : $H + V_\lambda$

(a) Self-Adjointness

If $\lambda \neq \pm 2 \implies H + V_\lambda$ is self-adjoint on $\mathcal{D}(H + V_\lambda)$.

([Arrizabalaga, Mas, Vega, 2014],
 more general [Posilicano, 2008]
 Ω ball \longrightarrow [Dittrich, Exner, Seba, 1989])

$a \in (-m, m)$

$$\phi^a(x) = \frac{e^{-\sqrt{m^2 - a^2} |x|}}{4\pi|x|} \left[a + m\beta + \left(1 - \sqrt{m^2 - a^2} |x| \right) i\alpha \cdot \frac{x}{|x|^2} \right]$$

= fundamental solution of $H - a$

$$\mathcal{D}(H + V_\lambda) = \left\{ \varphi : \varphi = \phi^0 * (Gdx + g d\sigma), G \in L^2((\mathbb{R}^3)^4) \quad g \in L^2(\partial\Omega)^4, \right.$$

$$\left. \lambda (\phi^0 * (Gdx))|_{\partial\Omega} = - (1 + \lambda C_{\partial\Omega}^0) g \right\}$$

where $C_{\partial\Omega}^a(g)(x) = \lim_{\epsilon \rightarrow 0} \int_{|x-y| > \epsilon} \phi^a(x-y) g(y) d\sigma(y)$, $x \in \partial\Omega$.

$\lambda^2 = 4$ [Durmieres, Bonafos, Vega '17]: Essentially self-adjoint.

$g \in H^{1/2}(\Sigma)$ if $\lambda^2 \neq 4$. Boundary identity is in $H^{1/2}(\Sigma)$.

$g \notin H^{1/2}(\Sigma)$ if $\lambda^2 = 4$. Boundary identity is in $H^{-1/2}(\Sigma)$.

- $-4 (C_{\partial\Omega}^0(\alpha \cdot N))^2 = \mathbb{1}$ N : outer normal

- $\{\alpha \cdot N, C_{\partial\Omega}^0\} = \alpha \cdot N C_{\partial\Omega}^0 + C_{\partial\Omega}^0 \alpha \cdot N$
 $= i \{C_{\pm}^* - C_{\pm}\}$

C_{\pm} : Calderón projector operator.

$C_{\pm}^* - C_{\pm}$ is a compact operator.

(b) Point Spectrum on $(-m, m)$ for $H + V_\lambda$

Birman–Schwinger principle: $a \in (-m, m), \quad \lambda \in \mathbb{R} \setminus \{0\},$

$$\ker(H + V_\lambda - a) \neq 0 \quad \iff \quad \ker\left(\frac{1}{\lambda} + C_{\partial\Omega}^a\right) \neq 0$$

(problem in \mathbb{R}^3)
(problem in $\partial\Omega$)

Properties of $C_{\partial\Omega}^a$, $a \in [-m, m]$:

(a) $C_{\partial\Omega}^a$ bounded self-adjoint operator in $L^2(\partial\Omega)^4$.

(b) $[C_{\partial\Omega}^a(\alpha \cdot N)]^2 = -\frac{1}{4}I_d.$ ($\alpha \cdot N = \sum_{j=1}^3 \alpha_j N_j$) multiplication operator

$$\ker\left(\frac{1}{\lambda} + C_{\partial\Omega}^a\right) \neq 0 \quad \begin{cases} \xrightarrow{(a)} & |\lambda| \geq \lambda_l(\partial\Omega) > 0 \quad \text{and} \quad \lambda_l(\partial\Omega) \leq 2 \\ \xrightarrow{(b)} & |\lambda| \leq \lambda_u(\partial\Omega) < +\infty \quad \text{and} \quad \lambda_u(\partial\Omega) \geq 2 \end{cases}$$

Therefore, $\ker(H + V_\lambda - a) \neq 0 \implies |\lambda| \in [\lambda_l(\partial\Omega), \lambda_u(\partial\Omega)]$

Main result:

Question: How small can $[\lambda_l(\partial\Omega), \lambda_u(\partial\Omega)]$ be?

(Isoperimetric-type statement w.r.t. Ω)

(Find optimizers)

Examples: $\Omega \subset \mathbb{R}^3$ bounded smooth domain

- Isoperimetric inequality: $\text{Vol}(\Omega)^2 \leq \frac{1}{36} \text{Area}(\partial\Omega)^3$.
- Pólya–Szegő inequality:

$$\text{Cap}(\bar{\Omega}) = \left(\inf_{\nu} \iint \frac{d\nu(x)d\nu(y)}{4\pi|x-y|} \right)^{-1} \quad \begin{array}{l} \nu \text{ probability} \\ \text{Borel measure} \\ \text{supp } \nu \subset \bar{\Omega} \end{array}$$

$$\text{Cap}(\bar{\Omega}) \geq 2(6\pi^2 \text{Vol}(\Omega))^{1/3}. \quad \leftarrow \quad [\text{Pólya, Szegő, 1951}]$$

In both cases, $=$ holds $\iff \Omega$ is a ball.

Theorem [AMV2016].– $\Omega \subset \mathbb{R}^3$ bounded smooth domain. If

$$m \frac{\text{Area}(\partial\Omega)}{\text{Cap}(\bar{\Omega})} > \frac{1}{4\sqrt{2}},$$

then

$$\begin{aligned} & \sup \{ |\lambda| : \ker(H + V_\lambda - a) \neq 0 \text{ for some } a \in (-m, m) \} \\ & \geq 4 \left(m \frac{\text{Area}(\partial\Omega)}{\text{Cap}(\bar{\Omega})} + \sqrt{m^2 \frac{\text{Area}(\partial\Omega)^2}{\text{Cap}(\bar{\Omega})^2} + \frac{1}{4}} \right) \end{aligned}$$

and

$$\begin{aligned} & \inf \{ |\lambda| : \ker(H + V_\lambda - a) \neq 0 \text{ for some } a \in (-m, m) \} \\ & \leq 4 \left(-m \frac{\text{Area}(\partial\Omega)}{\text{Cap}(\bar{\Omega})} + \sqrt{m^2 \frac{\text{Area}(\partial\Omega)^2}{\text{Cap}(\bar{\Omega})^2} + \frac{1}{4}} \right) \end{aligned}$$

In both cases, = holds $\iff \Omega$ is a ball.

Proof:

$$(1) \quad \ker \left(\frac{1}{\lambda(a)} + C_{\partial\Omega}^a \right) \neq 0 \quad \implies \quad C_{\partial\Omega}^a g_a = \frac{1}{\lambda(a)} g_a, \quad \|g_a\| = 1$$

$$\implies \quad \frac{1}{\lambda(a)} = \frac{1}{\lambda(a)} \langle g_a, g_a \rangle = \langle C_{\partial\Omega}^a g_a, g_a \rangle$$

$$C_{\partial\Omega}^a \hookrightarrow (H - a)^{-1} \quad \implies \quad \frac{d}{da} C_{\partial\Omega}^a \hookrightarrow (H - a)^{-2}$$

$$\implies \quad \frac{d}{da} \left(\frac{1}{\lambda(a)} \right) \sim \langle (H - a)^{-2} g_a, g_a \rangle = \|(H - a)^{-1} g_a\|^2 \geq 0$$

(assume g_a independent of a)

(2)

$$\left. \begin{aligned} Kf(x) &= \frac{1}{4\pi} \int \frac{f(y)}{|x-y|} d\sigma y && \left(\begin{array}{l} \text{compact} \\ \text{positive} \end{array} \right) \\ Wf(x) &= \frac{1}{4\pi} \lim_{\epsilon \rightarrow 0} \int_{|x-y| > \epsilon} i \cdot \hat{\sigma} \cdot \frac{x-y}{|x-y|^3} f(y) d\sigma(y) && \text{(SIO)} \end{aligned} \right\} C_{\partial\Omega}^a = \begin{pmatrix} 2mK & W \\ W & 0 \end{pmatrix}$$

$$\left(\hat{\sigma} = (\hat{\sigma}_1, \hat{\sigma}_2, \hat{\sigma}_3) = \left(\left(\begin{array}{cc} 0 & 1 \\ 1 & 0 \end{array} \right), \left(\begin{array}{cc} 0 & -i \\ i & 0 \end{array} \right), \left(\begin{array}{cc} 1 & 0 \\ 0 & -1 \end{array} \right) \right) \right)$$

Then,

$$[C_{\partial\Omega}^m(\alpha \cdot N)]^2 = -\frac{1}{4} \implies \begin{cases} \{(\hat{\sigma} \cdot N)K, (\hat{\sigma} \cdot N)W\} = 0 \\ [(\hat{\sigma} \cdot N)W]^2 = -\frac{1}{4} \end{cases} \quad (**)$$

$$\ker \left(\frac{1}{\lambda} + C_{\partial\Omega}^m \right) \neq 0 \quad \Longrightarrow \quad C_{\partial\Omega}^m g = \frac{1}{\lambda} g \quad g = \begin{pmatrix} \mu \\ h \end{pmatrix}$$

$$\Longrightarrow \begin{cases} 2mK\mu + Wh & = -\frac{1}{\lambda}\mu \\ W\mu & = -\frac{1}{\lambda}h \end{cases}$$

$$\stackrel{(**)}{\Longrightarrow} \exists f \in L^2(\partial\Omega)^2, f \neq 0 \text{ such that } \left(-\frac{8m}{\lambda}K + 1 - \frac{16}{\lambda^2}W^2 \right) f = 0$$

Multiply by \bar{f} and integrate on $\partial\Omega$:

$$\left(\begin{array}{c} \text{decreasing} \\ \text{on } \lambda > 0 \end{array} \right) \quad \left(\frac{4}{\lambda} \right)^2 \int_{\partial\Omega} |Wf|^2 + \frac{8m}{\lambda} \underbrace{\int_{\partial\Omega} Kf \cdot \bar{f}}_{\geq 0} = \int_{\partial\Omega} |f|^2$$

Quadratic form inequality:

$$\lambda_\Omega = \inf \left\{ \lambda > 0 : \left(\frac{4}{\lambda} \right)^2 \int_{\partial\Omega} |Wf|^2 + \frac{8m}{\lambda} \int_{\partial\Omega} Kf \cdot \bar{f} \leq \int_{\partial\Omega} |f|^2 \quad \forall f \in L^2(\partial\Omega)^2 \right\}$$

Theorem [AMV2015].-

$$\begin{aligned} \text{(a)} \quad & 4 \left(m \|K\|_{\partial\Omega} + \sqrt{m^2 \|K\|_{\partial\Omega}^2 + \frac{1}{4}} \right) \\ & \leq \lambda_{\Omega} \leq 4 \left(m \|K\|_{\partial\Omega} + \sqrt{m^2 \|K\|_{\partial\Omega}^2 + \|W\|_{\partial\Omega}^2} \right). \end{aligned}$$

$$\text{(b)} \quad \text{If } \lambda > 0 \text{ and } \ker \left(\frac{1}{\lambda} + C_{\partial\Omega}^m \right) \neq 0 \quad \implies \quad \lambda \leq \lambda_{\Omega}.$$

$$\text{(c)} \quad \text{If } \lambda_{\Omega} > 2\sqrt{2} \left(\hookrightarrow \left(\frac{1}{4\sqrt{2}} \right) \right), \text{ equality is attained and minimiz-} \\ \text{ers } \hookrightarrow \ker \left(\frac{1}{\lambda_{\Omega}} + C_{\partial\Omega}^m \right) \neq 0.$$

Recall Birman–Schwinger principle:

$$\frac{d}{da} \left(\frac{1}{\lambda(a)} \right) \sim \langle (H - a)^{-2} g_a, g_a \rangle = \|(H - a)^{-1} g_a\|^2 \geq 0$$

(assume g_a independent of a)

This suggests another way of obtaining the ground state for the Coulomb potential $V(x) = -\frac{\lambda}{|x|}$:

$$\frac{m^2 - a^2}{m^2} \int \frac{|\psi|^2}{|x|} \leq \int \left| \left(\frac{1}{i} \alpha \cdot \nabla + m\beta + a \right) \psi \right|^2 |x|$$

([Arrizabalaga, Duoandikoetxea, Vega '13](#); [Cassano, Pizzichilo, Vega '17](#))

The inequality is optimal and it is achieved for $A > 0$ by the ground state of $V_a(x) = -\frac{m^2 - a^2}{m^2} \frac{1}{|x|}$.

The proof is a consequence of the ‘uncertainty principle’.

- $2\text{Re} \langle S\psi, A\psi \rangle = \langle (SA - AS)\psi, \psi \rangle$ if $S^* = S$ and $A^* = -A$.
- $2\text{Re} \langle A_1\psi, A_2\psi \rangle = -\langle (A_1A_2 + A_2A_1)\psi, \psi \rangle$ if $A_1^* = -A_1$ and $A_2^* = -A_2$.

In our case the right choice is:

$$2\text{Re} \langle \underbrace{(\alpha \cdot \nabla + i(m\beta + a))}_{A_1} \psi, (1 + \sigma \cdot L) \mathbb{1} \underbrace{\alpha \cdot \frac{x}{|x|}}_{S} \underbrace{(m\beta + a)}_{A_2} \rangle.$$

**THANK YOU FOR YOUR
ATTENTION**

Ingredients of the proof:

- (1) The monotonicity of $\lambda(a)$ in $\ker \left(\frac{1}{\lambda(a)} + C_{\partial\Omega}^a \right)$ reduces the study of (*) to $a = \pm m$.
- (2) The quadratic form inequality relates $\sup \{ |\lambda| : \ker(H + V_\lambda - a) \neq 0 \text{ for some } a \in (-m, m) \}$ in (*) with the optimal constant of an inequality involving the single layer potential K and a SIO. (Here appears the $1/4\sqrt{2}$)
- (3) Isoperimetric type statement for K in terms of $\text{Area}(\partial\Omega) \setminus \text{Cap}(\bar{\Omega})$.

Review :

(3) \longrightarrow Isoperimetric-type result for λ_Ω .

(2) \longrightarrow Theorem (b) and (c) ensure

$$\lambda_\Omega = \sup \{ |\lambda| : \ker (1/\lambda + C_{\delta\Omega}^m) \neq 0 \}.$$

(1) \longrightarrow Use monotonicity to replace “for some $a \in (-m, m)$ ” by $a = m$.

$$(3) \quad \Omega \text{ ball} \quad \implies \quad \|W\|_{\partial\Omega}^2 = \frac{1}{4}$$

(“ \Leftarrow ” [Hofmann, Marmdejo–Olea, Mitrea, Pérez–Esteve, Taylor, 2009])

$$\implies \quad \lambda_{\Omega} = 4 \left(m \|K\|_{\partial\Omega} + \sqrt{m^2 \|K\|_{\partial\Omega}^2 + \|W\|_{\partial\Omega}^2} \right)$$

Ω general,

$$\|K\|_{\partial\Omega} = \sup_{f \neq 0} \frac{1}{\|f\|_{\partial\Omega}^2} \int_{\partial\Omega} K f \cdot \bar{f} \geq \inf_{\mathbf{D}} \iint \frac{d\sigma(y)}{4\pi|x-y|} \frac{d\sigma(x)}{\sigma(\partial\Omega)} \geq \frac{\text{Area}(\partial\Omega)}{\text{Cap}(\bar{\Omega})}$$

(f = 1)

(“ = ” \iff Ω is a ball: **Gruber’s conjecture**)

- Neumann eigenvalue problem $(\Omega \subset \mathbb{R}^2)$

$$\begin{cases} -\Delta u = \mu u & \text{in } \Omega \\ \frac{\partial u}{\partial N} = 0 & \text{on } \partial\Omega \end{cases} \implies \mu_1(\Omega) \leq \frac{C}{\text{Area}(\Omega)}$$

[Szegő, 1954]

(disks give “=”)

- Steklov eigenvalue problem $(\Omega \subset \mathbb{R}^2)$

$$\begin{cases} \Delta u = 0 & \text{in } \Omega \\ \frac{\partial u}{\partial N} = \omega u & \text{on } \partial\Omega \end{cases} \implies \omega_1(\Omega) \leq \frac{2\pi}{\text{Length}(\partial\Omega)}$$

[Weirstock, 1954]

Free Dirac operator in \mathbb{R}^3 : $H = -i\alpha \cdot \nabla + m\beta$
($m = \text{mass} > 0$)

$$\alpha = (\alpha_1, \alpha_2, \alpha_3) = \left(\begin{pmatrix} 0 & \hat{\sigma}_1 \\ \hat{\sigma}_1 & 0 \end{pmatrix}, \begin{pmatrix} 0 & \hat{\sigma}_2 \\ \hat{\sigma}_2 & 0 \end{pmatrix}, \begin{pmatrix} 0 & \hat{\sigma}_3 \\ \hat{\sigma}_3 & 0 \end{pmatrix} \right)$$

$$\hat{\sigma}_1 = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \quad ; \quad \hat{\sigma}_2 = \begin{pmatrix} 0 & -i \\ i & 0 \end{pmatrix} \quad ; \quad \hat{\sigma}_3 = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}$$

$$\beta = \begin{pmatrix} I_2 & 0 \\ 0 & -I_2 \end{pmatrix} \quad \implies \quad \begin{cases} \alpha_i^2 = \beta^2 = I_d & i = 1, 2, 3 \\ \{\alpha_i, \beta\} = \{\alpha_i, \alpha_j\} = 0 & i \neq j \end{cases}$$

(Clifford Algebra Structure)

$$H^2 = (-\Delta + m^2)I_d \quad \implies \quad \left\{ \begin{array}{l} H \text{ local version of } \sqrt{-\Delta + m^2} \\ \text{1st order symmetric differential operator} \\ \text{Introduced by Dirac (1928)} \longrightarrow \text{electron} \end{array} \right.$$

$$a \in (-m, m)$$

$$\phi^a(x) = \frac{e^{-\sqrt{m^2 - a^2} |x|}}{4\pi|x|} \left[a + m\beta + \left(1 - \sqrt{m^2 - a^2} |x| \right) i\alpha \cdot \frac{x}{|x|^2} \right]$$

= fundamental solution of $H - a$

$$\mathcal{D}(H + V_\lambda) = \left\{ \varphi : \varphi = \phi^0 * (Gdx + gd\sigma), G \in L^2((R)^3)^4, g \in L^2(\partial\Omega)^4, \right. \\ \left. \lambda (\phi^0 * (Gdx))|_{\partial\Omega} = - (1 + \lambda C_{\partial\Omega}^0) g \right\}$$

where $C_{\partial\Omega}^a(g)(x) = \lim_{\epsilon \rightarrow 0} \int_{|x-y|>\epsilon} \phi^a(x-y)g(y)d\sigma(y), x \in \partial\Omega.$

If $\lambda \neq \pm 2 \implies H + V_\lambda$ is self-adjoint on $\mathcal{D}(H + V_\lambda).$

([AMV, 2014], more general [Posilicano,2008])
 Ω ball \rightarrow [Dittrich, Exner, Seba,1989]