

# Eigenvalue and resonance asymptotics in perturbed waveguide : twisting versus bending

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Numerical Waves  
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# Plan

- 1 Some fibered operators and their band functions
- 2 The Laplacian in a deformed waveguide
- 3 Main results: asymptotics of the resonance.
- 4 Proofs and generalizations

# Fibered operators

## Diagonalization of an operator:

- Models with **invariance properties** are reduced to lower dimensional problems.  
**Translation** invariance : **partial Fourier** transform :  
 → Magnetic field, waveguides, stratified media.  
**Periodic** invariance : **Floquet-Bloch** transform.  
 → Cristallin structures, Graphene.
- General framework: an operator  $H_0$  with **invariance properties** writes

$$UH_0U^* = \int^{\oplus} h_0(p)dp, \text{ with } U \text{ a unitary transform.}$$

- Fiber operators  $h_0(p)$  (may) have a discrete spectrum  $(E_n(p))_{n \geq 1}$ .

## Spectrum of $H_0$ :

- The **band functions** are  $p \mapsto E_n(p)_{n \geq 1}$ . The spectrum of  $H_0$  is

$$\sigma(H_0) = \overline{\bigcup_{n \geq 1} \text{Ran } E_n}.$$

- Non constant band functions correspond to absolutely continuous spectrum.

# Some questions (among others)

## Transport properties

- Consider the Schrödinger equation

$$i\partial_t\psi = H_0\psi.$$

Spectral analysis of  $H_0$  required for the **time dependant** analysis.

- **Gaps in the spectrum** correspond to the absence of propagation in the direction of invariance.
- After perturbation, **discrete eigenvalues** correspond to **trapped modes**.
- **Resonances** play a role in scattering theory.

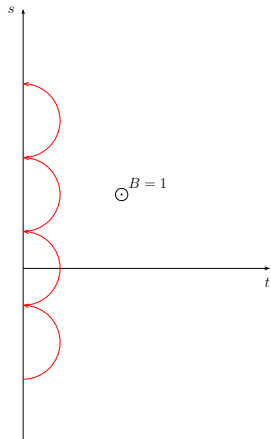
## Spectral analysis

- **Critical points** of the **band functions** are **thresholds in the spectrum of  $H_0$** .  
General theory in [GeNi98] for proper analytical band functions.
- They correspond to instable energies of the system.
  - No standard limiting absorption principle.
  - **More eigenvalues and resonances** after perturbation.

## Somes examples: The magnetic Laplacian

Constant magnetic field  $B = 1$  in a half-plane  $\mathbb{R}_+^2 = \{(s, t) \in \mathbb{R} \times \mathbb{R}_+\}$ .

Classical trajectories:



## Somes examples: The magnetic Laplacian

The Schrödinger operator:

- The magnetic potential  $A(s, t) = (-t, 0)$  generates a magnetic field

$$B = \text{curl } A = 1.$$

- The magnetic Laplacian is (the closure of)

$$H_0 = (-i\nabla - A)^2 = -\partial_t^2 + (-i\partial_s - t)^2 \text{ in } L^2(\mathbb{R}_+^2)$$

with (let's say) Neumann boundary conditions.

Reduction of dimension:

- Here,  $U$  is the partial Fourier transform in  $s$ . The fiber operator is for  $p \in \mathbb{R}$ :

$$h_0(p) = -\partial_t^2 + (t - p)^2 \text{ in } L^2(\mathbb{R}_+).$$

- The band functions are the values  $E$  for which there exists  $y \neq 0$  solution of

$$\begin{cases} -y''(t) + (t - p)^2 y(t) = E y(t), & t > 0, \\ y'(0) = 0. \end{cases}$$

## Somes examples: The magnetic Laplacian

Each band function  $E_n$  has a unique non-degenerate minimum ([Dg,DH93]).

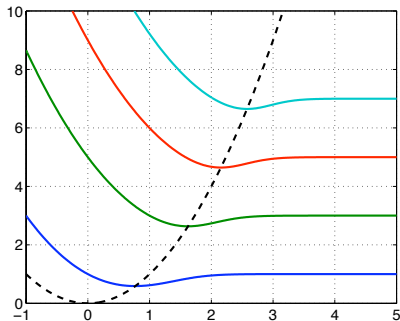
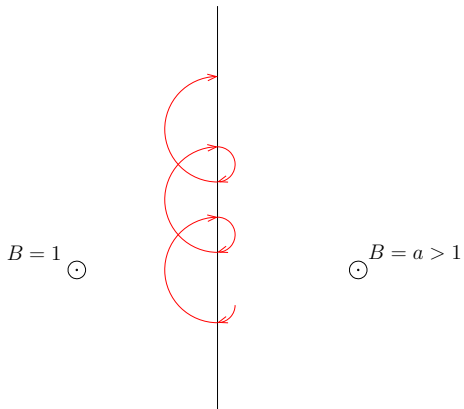


Figure: Abscissa:  $p$  (Fourier parameter dual to  $s$ ).

$$\sigma(H_0) = [\min E_1, +\infty).$$

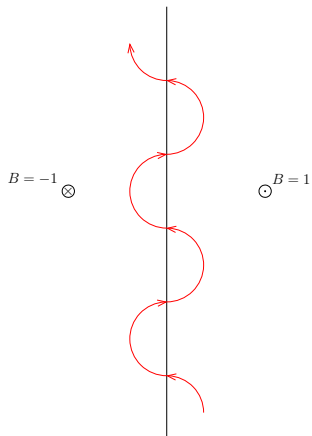
It also tends to a **finite limit** (Landau levels)!

# More magnetic models: the snake's orbits



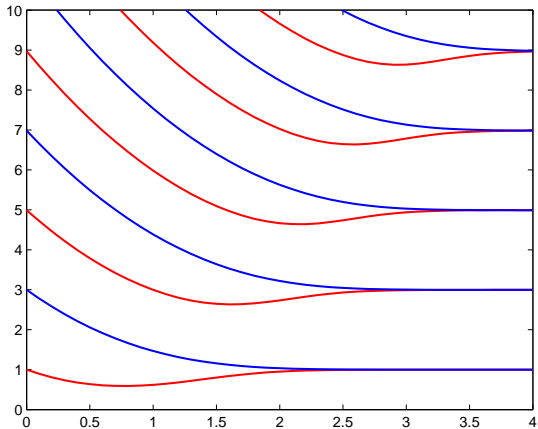


# More magnetic models: the snake's orbits



# More magnetic models: the snake's orbits

Band functions for the symmetric magnetic step :



# Somes examples: The Laplacian in a perturbed waveguide



To be continued

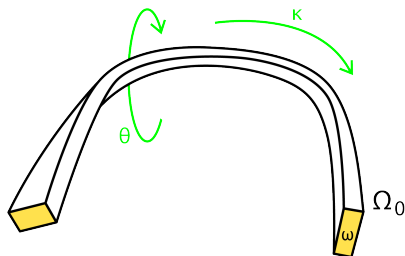
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# Construction of the waveguide

Geometric data of the waveguide:

- A reference curve  $\gamma : \mathbb{R} \rightarrow \mathbb{R}^3$ , defined by a curvature  $\kappa$  and a torsion.
- A cross section  $\omega \subset \mathbb{R}^2$ , an open bounded lipschitz domain.
- A rotation  $\theta : \mathbb{R} \rightarrow \mathbb{R}$  of the section around  $\gamma$ .



To make it simpler, assume that the torsion of  $\gamma$  is 0.  
The rotation  $\theta$  will play a similar role...

# Tubular coordinate

Construction of a waveguide  $\Omega \subset \mathbb{R}^3$ :

- Let  $(\mathbf{e}_1, \mathbf{e}_2, \mathbf{e}_3)$  be a Frenet frame associated with  $\gamma$ .
- Let  $\mathbf{e}_2^\theta(s), \mathbf{e}_3^\theta(s)$  be the frame obtained by applying a rotation of angle  $\theta(s)$  to  $(\mathbf{e}_2(s), \mathbf{e}_3(s))$  around  $\mathbf{e}_1(s)$ .
- Define  $\mathcal{L} : \mathbb{R} \times \mathbb{R}^2 \rightarrow \mathbb{R}^3$  by

$$\mathcal{L}(s, t_2, t_3) = \gamma(s) + t_2 \mathbf{e}_2^\theta(s) + t_3 \mathbf{e}_3^\theta(s)$$

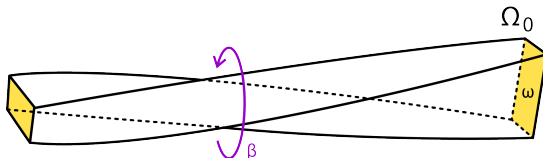
With additional hypotheses,  $\mathcal{L}$  is a diffeomorphism on  $\mathbb{R} \times \omega$ , and the waveguide is defined by

$$\Omega := \mathcal{L}(\mathbb{R} \times \omega).$$

# The reference unperturbed operator

The reference tube  $\Omega_0$ :

- The curve  $\gamma(\mathbb{R})$  is a line (i.e.  $\kappa = 0$ ).
- The twisting  $\theta'$  is a constant  $\beta$ , with two different case:
  - $\beta = 0$ : straight tube (a cylinder)
  - $\beta \neq 0$ : periodically twisted tube.



# The reference unperturbed operator

Our reference operator:

The **Laplacian**  $-\Delta$  in  $\Omega_0$  with **Dirichlet** boundary conditions.

Denote  $\varphi$  the cylindrical variable and  $\partial_\varphi = t_2\partial_3 - t_3\partial_2$  the angular derivative. After a change of variable the original Laplacian is unitarily equivalent to

$$H_0 = -\partial_2^2 - \partial_3^2 - (\partial_s - \beta\partial_\varphi)^2 \text{ in } L^2(\mathbb{R} \times \omega) \text{ with Dirichlet b.c.}$$

Let  $\mathcal{F}_s$  be the Partial **Fourier transform** in the **s** variable.

$$\text{Fiber decomposition: } \mathcal{F}_s H_0 \mathcal{F}_s^* = \int_{p \in \mathbb{R}}^{\oplus} h_0(p) dp.$$

$$h_0(p) := -\Delta_\omega - (-ip - \beta\partial_\varphi)^2 \text{ in } L^2(\omega) \text{ with Dirichlet b.c.}$$



## Band functions of the free operator

The operators  $(h_0(p))_{p \in \mathbb{R}}$  form a type A analytic family of self-adjoint operators with **compact resolvent**.

Denote by  $(E_n(p))_{n \geq 0}$  the increasing sequence of **eigenvalues of  $h_0(p)$** . Then

$$\sigma(H_0) = \overline{\cup_{n \geq 1} E_n(\mathbb{R})} = [\mathcal{E}_1, +\infty) \quad \text{with} \quad \mathcal{E}_n = \min_{p \in \mathbb{R}} E_n(p).$$

Analysis of the first band function, done in [Briet-Kovarik-Raikov-Soccorsi 08]:

- The first eigenvalue  $E_1(p)$  is non-degenerate (simple).
- $\mathcal{E}_1 = E_1(0)$  and this **minimum** is **non-degenerate and unique**.

The case  $\beta = 0$  of a straight tube

- In the cylinder  $\mathbb{R} \times \omega$ , the variables decouple:

$$-\Delta_{\Omega_0} = \text{Id} \otimes (-\Delta_{\omega}) + (-\partial_s^2) \otimes \text{Id}$$

- The band functions are explicit:

$$E_n(p) = \mathcal{E}_n + p^2$$

here  $(\mathcal{E}_n)_{n \geq 1}$  are the eigenvalues of  $-\Delta_{\omega}$  (with Dirichlet b.c.).

# Perturbation of the waveguide

Let  $\kappa$  and  $\tau$  be two real functions such that

$$\lim_{\pm\infty} \kappa = \lim_{\pm\infty} \tau = 0.$$

Consider  $\Omega = \mathcal{L}(\mathbb{R} \times \omega)$ , the tube of cross section  $\omega$ , along the curve  $\gamma$  and twisted by  $\theta$  with  $\theta' = \beta + \tau$ .

Let  $H$  be the Dirichlet Laplacian in  $\Omega$ . The metric is  $G := (d\mathcal{L})^T(d\mathcal{L})$ .

$$G = \begin{pmatrix} h^2 + h_2^2 + h_3^2 & h_2 & h_3 \\ h_2 & 1 & 0 \\ h_3 & 0 & 1 \end{pmatrix} \quad \text{with} \quad \begin{cases} h(s, t) = 1 - \kappa(s)(t_2 \cos \theta(s) + t_3 \sin \theta(s)) \\ h_2(s, t) = t_3 \theta'(s) \\ h_3(s, t) = -t_2 \theta'(s) \end{cases}$$

Remark that  $h = \sqrt{\det(G)}$ , and note  $G^{-1} = G^{jk}$ . The operator is

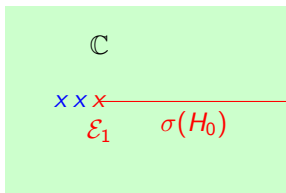
$$-\Delta_\Omega \equiv \frac{1}{h} \sum_{j,k=1}^3 \partial_j h G^{jk} \partial_k \quad \text{on} \quad L^2(\mathbb{R} \times \omega, h) \quad \text{with Dirichlet b.c..}$$

# Creation of eigenvalues

After a change of variables:

$$H \equiv -\partial_2^2 - \partial_3^2 - \frac{\kappa^2}{4h^2} - (h^{-1/2}(\partial_s - \theta' \partial_\varphi)h^{-1/2})^2 \text{ in } L^2(\mathbb{R} \times \omega) \text{ with Dirichlet b.c.}$$

Its **essential spectrum** is still  $[\mathcal{E}_1, +\infty)$ . What about **discrete spectrum**?



## Twisting vs bending: references

(Some) Known results for  $\beta = 0$

- **Pure bending** ( $\theta' = 0$  and  $\kappa \neq 0$ ) creates **discrete eigenvalues** (Duclos-Exner 95, Grushin 04).
- **Pure twisting** ( $\kappa = 0$  and  $\tau \neq 0$ ) **does not change the spectrum** (Grushin 04). Existence of a Hardy inequality (Ekholm-Kovarik-Krejcirik 08) proves that adding a small bending ( $\kappa \ll 1$ ) does not add discrete spectrum.

(Some) Known results for  $\beta > 0$  and  $\kappa = 0$ .

- Small **enhanced twisting**  $0 < \tau \ll 1$  **does not change the spectrum** ([Briet-Hammadi-Krejcirik 15])
- **Slowed twisting** ( $\int \tau < 0$ ) creates **eigenvalues** (eventually an infinite number). **Counting function** studied in Briet-Kovarik-Raikov-Soccorsi 08].
- Scattering properties in Briet-Kovarik-Raikov 15].

# Our perturbative approach

Some questions:

- No result when  $\beta \neq 0$  and  $\kappa \neq 0$ .
- For straight tubes, switching from bending to twisting, eigenvalue(s) disappear in the essential spectrum. Are they resonances?
- Provide quantitative criterion to compare twisting and bending, even when  $\beta \neq 0$ .

Our approach:

- Consider a waveguide along a curve with curvature  $\delta\kappa$ , with cross section  $\omega$  fixed, and twisted by a rotating function  $\theta' = \beta + \delta\tau$ .
- Study what happens near  $\mathcal{E}_1$  as  $\delta \rightarrow 0$

Recall that the reference operator is

$$H_0 = -\partial_2^2 - \partial_3^2 - (\partial_s - \beta\partial_\varphi)^2.$$

The perturbed operator is

$$H_\delta := -\partial_2^2 - \partial_3^2 - \delta^2 \frac{\kappa^2}{4h_\delta^2} - (h_\delta^{-1/2}(\partial_s - (\beta + \delta\tau)\partial_\varphi)h_\delta^{-1/2})^2$$

with  $h_\delta(s, t) = 1 - \delta\kappa(s)(t_2 \cos \theta_\delta(s) + t_3 \sin \theta_\delta(s))$ ,  $\theta'_\delta = \beta + \delta\tau$ .

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# Recall the meromorphic extension for the 1d Laplacian

- $z \mapsto (-\Delta_{\mathbb{R}} - z)^{-1}$  is well defined on  $\mathbb{C} \setminus [0, +\infty)$ .
- Set  $z = k^2$ , with  $k \in \mathbb{C}^+ = \{im(k) > 0\}$ . Then  $(-\Delta - k^2)^{-1}$  has a **kernel**

$$\forall k \in \mathbb{C}^+, \quad \int_{\mathbb{R}} \frac{e^{ip(s-s')}}{p^2 - k^2} dp = \frac{e^{ik|s-s'|}}{2ik}.$$

## Theorem

Let  $w(s) = \exp(-a|s|)$  with  $a > 0$ . Then  $k \mapsto (-\Delta_{\mathbb{R}} - k^2)^{-1}$ , acting on  $wL^2(\mathbb{R})$ , initially defined on  $\mathbb{C}^+$ , admits a **meromorphic** extension to  $\{im(k) > -a\}$ , with a **unique pole** in 0.

$z \in \mathbb{C} \setminus [0, +\infty)$

$x$   
 $0 \quad \sigma(H_0)$

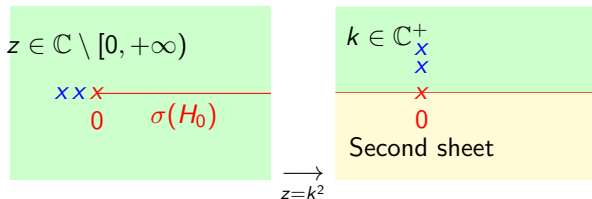
$k \in \mathbb{C}^+$

$x$   
 $0$   
 Second sheet

$\longrightarrow$   
 $z=k^2$

## Resonances for perturbations

- For suitable  $V$ , the resolvent  $(-\Delta_{\mathbb{R}} + V - k^2)^{-1}$  is meromorphic on a neighborhood of 0.
- Its poles are the resonances of  $-\Delta_{\mathbb{R}} + V$ .  
For small  $V$ , you expect a single resonance near 0.
- When  $k \in \mathbb{C}^+ \cap i\mathbb{R}$  is a resonance, it corresponds to a negative eigenvalue.



## Motivations for finding resonances

- Expansion of the semi-group: near an isolated resonance  $k_0$  for  $H$ ,

$$e^{-itH} \approx e^{-itz_0} \Pi + R \quad \text{with} \quad \begin{cases} \Pi \text{ rank one projector} \\ R \text{ remainder} \end{cases}$$

- Singularities of the spectral shift function and Breit-Wigner formulas.
- Poles of the scattering matrix



# Resolvent of our free operator

## Lemma

The free resolvent  $\mathbb{C}^+ \ni k \mapsto (H_0 - \mathcal{E}_1 - k^2)^{-1}$ , acting on the weighted space  $wL^2(\mathbb{R} \times \omega)$ , admits a meromorphic extension near 0.

- Proof: extend **singular Cauchy integrals** of the form

$$\int_{\mathbb{R}} e^{ip(s-s')} \psi_n(t, p) \psi_n(t', p) (E_n(p) - \mathcal{E}_1 - k^2)^{-1} dp,$$

- Similar results near other non degenerate critical points of the band functions, in particular near each  $\mu_n$  when  $\beta = 0$ .
- General method for analytically fibered operators, see [Gérard 90].

Hypotheses on the waveguide:

- The functions  $\kappa$  and  $\tau$  are  $C^2$ .
- These functions, their first and second derivative satisfy

$$\kappa(s), \tau(s) = O(e^{-\alpha s^2})$$

for some  $\alpha > 0$ .

# Main result for periodically twisted waveguide

## Theorem (B.M.P.P 2018)

Fix a sufficiently small neighborhood of zero  $\mathcal{D}$  in  $\mathbb{C}$ . Then, there exists  $\delta_0 > 0$  such that for  $\delta \leq \delta_0$ , the function  $\mathbb{C}^+ \ni k \mapsto (H_\delta - \mathcal{E}_1 - k^2)^{-1}$ , acting on  $wL^2(\mathbb{R} \times \omega)$ , admits a meromorphic extension on  $\mathcal{D}$ . This function has a **unique pole**  $k(\delta)$  in  $\mathcal{D}$ . It has multiplicity one and satisfies

$$k(\delta) = i\mu_1\delta + O(\delta^2), \quad \mu_1 \in \mathbb{R}.$$

Moreover, there exists a function  $F : \mathbb{R} \rightarrow \mathbb{R}$ , constants  $c_j > 0$ , such that

$$\mu_1 = -c_1\beta \int_{\mathbb{R}} \tau(s)ds + c_2\beta^2 \int_{\mathbb{R}} \kappa(s)F(s)ds.$$

The function  $F$ ,  $c_1$  and  $c_2$  depend only on  $\beta$  and  $\omega$  (explicit).  
Further, the **pole**  $k(\delta)$  is a **purely imaginary** number.

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Further, the **pole**  $k(\delta)$  is a **purely imaginary** number.

$$F(s) = \int_{\omega} \left( |\partial_\varphi \psi_1(t)|^2 + \frac{1}{4} |\psi_1(t)|^2 \right) (t_2 \cos(\beta s) + t_3 \sin(\beta s)) dt,$$

## Comments on the result

Recall that our resonance of  $H_\delta - \mathcal{E}_1$  satisfies

$$k(\delta) = i\mu_1\delta + O(\delta^2), \quad \mu_1 \in \mathbb{R}.$$

with

$$\mu_1 = -c_1\beta \int_{\mathbb{R}} \tau(s)ds + c_2\beta^2 \int_{\mathbb{R}} \kappa(s)F(s)ds.$$

Localization of the resonance:

- When  $\mu_1 > 0$ ,

$\mathcal{E}_1 + k(\delta)^2 = \mathcal{E}_1 - \delta^2\mu_1^2 + O(\delta^3)$  is a **discrete eigenvalue** below  $\mathcal{E}_1$ .

- When  $\mu_1 < 0$ , it gives an **antiboundstate**.
- When  $\mu_1 = 0$ , you need to go to the **next order** (hard).

Influence of the geometry:

- When  $\kappa = 0$ , it depends on the **sign** of  $\int_{\mathbb{R}} \tau$ .
- When  $\int_{\mathbb{R}} \tau = 0$ , both cases can appear.
- When  $\beta \ll 1$ , you can focus on the **first term**.
- When  $\beta = 0$ , you need to go to the **next order**.

# Main result for perturbation of a straight waveguide

## Theorem (B.M.P.P 2018)

Assume  $\beta = 0$ , the same results hold, but  $k(\delta)$  satisfies

$$k(\delta) = i\mu_2\delta^2 + O(\delta^3), \quad \mu_2 \in \mathbb{R}.$$

Moreover, there exist positive bilinear form  $q_1$ ,  $q_2$ , and a bilinear form  $q_3$  such that

$$\mu_2 = q_1(\kappa, \kappa) - q_2(\tau, \tau) + q_3(\tau, \kappa)$$

Similar result near each threshold  $\mathcal{E}_n$ , depending on its multiplicity as an eigenvalues of  $-\Delta_\omega$ .

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$$\mu_2 = q_1(\kappa, \kappa) - q_2(\tau, \tau) + q_3(\tau, \dot{\kappa})$$

$$\begin{aligned} \mu_2 = & \frac{1}{8} \sum_{q \geq 2} (\mathcal{E}_q - \mathcal{E}_1)^2 \langle \psi_q | t_2 \psi_1 \rangle^2 \langle \kappa | (-\partial_s^2 + \mathcal{E}_q - \mathcal{E}_1)^{-1} \kappa \rangle \\ & - \frac{1}{2} \sum_{q \geq 2} (\mathcal{E}_q - \mathcal{E}_1) \langle \psi_q | \partial_\varphi \psi_1 \rangle^2 \langle \tau | (-\partial_s^2 + \mathcal{E}_q - \mathcal{E}_1)^{-1} \tau \rangle \\ & + \frac{1}{2} \sum_{q \geq 2} (\mathcal{E}_q - \mathcal{E}_1) \langle \psi_q | \partial_\varphi \psi_1 \rangle \langle \psi_q | t_2 \psi_1 \rangle \langle \tau | (-\partial_s^2 + \mathcal{E}_q - \mathcal{E}_1)^{-1} \dot{\kappa} \rangle. \end{aligned}$$

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# Birman Schwinger form and Grushin matrix:

Main ingredients:

- Laurent expansion of the free resolvent:

$$R_0(k) = (H_0 - \varepsilon_1 - k^2)^{-1} = \frac{A_{-1}}{k} + F(k) \quad \text{with } F \text{ holomorphic near } 0$$

- Resolvent identity and Birman Schwinger principle led to invert

$$I + (I + \delta V_\delta F(k))^{-1} \delta V_\delta \frac{A_{-1}}{k} \quad \text{with } V_\delta \text{ a differential operator.}$$

- Feschbar-Grushin decomposition: in a suitable basis, this operator writes

$$I + (I + \delta V_\delta F(k))^{-1} \delta V_\delta \frac{A_{-1}}{k} = \begin{pmatrix} I & \star \\ 0 & a \end{pmatrix} \quad \text{with } a = 1 + \frac{\eta(k)}{k} = \frac{k + \eta(k)}{k}$$

- Here  $\eta$  is an analytical function. The resonances are the  $k$  such that

$$k + \eta(k) = 0.$$

Conclude with Rouché theorem and asymptotic analysis as  $\delta \rightarrow 0$ .



# A general procedure for fibers operators

Consider an analytically fibered operator

- In 1d, any **threshold** given by a **non degenerate unique critical point** is a **meromorphic branching point** of the resolvent.

$$R_0(k) = \frac{iGG^*}{k} + F(k).$$

- General theory when the band functions are proper in ([Gérard-Nier 98]).

Add a small perturbation  $\delta V_0$

- Existence of a **unique resonance  $k(\delta)$**  near each of these thresholds in a general framework ([Grigis-Klopp 95]).
- We have shown the expected formula

$$k(\delta) = i\eta_1\delta + i\eta_2\delta^2 + O(\delta^2) \quad \text{with} \quad \eta_1 = GV_0G^*.$$

- The next term  $\eta_2$  is given by  $\eta_2 = -GV_0F(0)V_0G^*$ .
- For the Laplacian,  $F(0)$  is an **explicit convolution operator**.  
In the general case, it can be expressed with **Hadamard regularization of Cauchy type integral**.

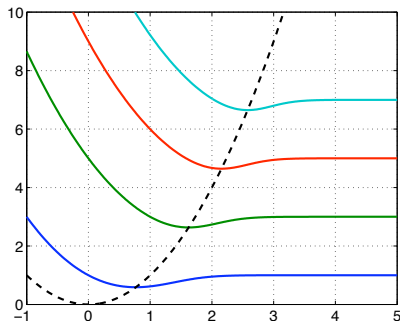
# The Neumann magnetic Laplacian

My favorite Hamiltonian:

- The **magnetic Laplacian with unitary magnetic field** and Neumann boundary condition:

$$H_0 = (-i\nabla - A)^2 = -\partial_t^2 + (-i\partial_s - t)^2 \text{ in } \mathbb{R}_+^2 := \mathbb{R} \times \mathbb{R}_+$$

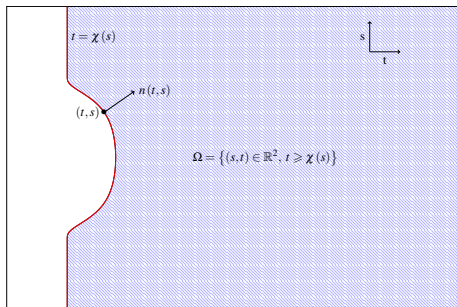
- Fibered by **partial Fourier transform** in  $s$ .  
Each band function has a unique non degenerate minimum.



# Small deformation of the boundary

- Parametrize the boundary by a function  $\delta\chi$  with

$$\delta \ll 1 \quad \text{and} \quad \lim_{\pm\infty} \chi = 0.$$



- When  $\chi \geq 0$ :  
 $\delta > 0$  modelizes an **obstacle** and  $\delta < 0$  a **bump**.
- Consider  $(-i\nabla - A)^2 = -\partial_t^2 + (-i\partial_s - t)^2$  in  $L^2(\Omega)$  with Neumann boundary condition.

## Another geometric perturbation

### The perturbed operator

- After **rectification of the boundary**:

$$H_\delta = -\partial_x^2 + (-i\partial_y - x - i\delta\chi'(y)\partial_x + \delta\chi(y))^2 \text{ in } \mathbb{R}_+^2$$

- New boundary condition :

$$\partial_x u = \frac{1}{(1 + \delta^2\chi'(y)^2)} (\delta\chi'(y)\partial_y u - i\delta^2\chi'(y)\chi(y)) \text{ at } x = 0$$

- Since  $H_\delta$  and  $H_0$  have different domains, you cannot write  $V = H_\delta - H_0$ .

### Approach with a difference of resolvent:

- Consider the difference of resolvent

$$W_\delta = H_\delta^{-1} - H_0^{-1} \text{ acting on } L^2(\mathbb{R}_+^2).$$

- We found that  $W_\delta = H_0^{-1}V_\delta H_0^{-1}$  where

$V_\delta =$  second order differential operator + boundary operator.

- Use more resolvent identities.

# Resonance or eigenvalue?

Recall that  $\sigma(H_0) = [\Theta_0, +\infty)$ .

## Theorem (B.G.P. 2020)

Fix a sufficiently small neighborhood of zero  $\mathcal{D}$  in  $\mathbb{C}$ . There exists  $\delta_0 > 0$  such that for  $\delta \leq \delta_0$ , the function  $\mathbb{C}^+ \ni k \mapsto (H_\delta - \Theta_0 - k^2)^{-1}$ , acting on  $wL^2(\mathbb{R}_+^2)$ , admits a meromorphic extension on  $\mathcal{D}$ . This function has a unique pole  $k(\delta)$  in  $\mathcal{D}$ . It has multiplicity one and satisfies

$$k(\delta) = i\mu_2\delta^2 + O(\delta^3), \quad \mu_2 \in \mathbb{R}.$$

## Geometrical comments:

- Changing  $\delta$  in  $-\delta$  does not change the main asymptotics: a bump or a hole creates the same effect.
- The main term  $\mu_2$  depends on  $\|\chi\|_{H^1}$  and  $\|\hat{\chi}\|_{L^2}$  (upcoming result).

# Birman Schwinger form and Grushin matrix:

Define  $H_\delta - H_0 = \delta V_\delta$ . It is a second order differential operator.

Write  $R_0(k) = (H_0 - \mathcal{E}_1 - k^2)^{-1} = \frac{A_{-1}}{k} + F(k)$  with  $F$  holomorphic.

Formal resolvent identity for  $R(k) = (H_\delta - \mathcal{E}_1 - k^2)^{-1}$  in weighted space:

$$R(k) = R_0(k) (I + \delta V_\delta F(k))^{-1} \left( I + (I + \delta V_\delta F(k))^{-1} \delta V_\delta \frac{A_{-1}}{k} \right)^{-1}$$

Therefore,  $R(k)$  is well defined iff  $I + (I + \delta V_\delta F(k))^{-1} \delta V_\delta \frac{A_{-1}}{k}$  is invertible.

Here,  $A_{-1}$  is rank 1. In a basis adapted to  $\ker(A_{-1}) \oplus \text{Im}(A_{-1})$ , we have:

$$I + (I + \delta V_\delta F(k))^{-1} \delta V_\delta \frac{A_{-1}}{k} = \begin{pmatrix} I & \star \\ 0 & a \end{pmatrix} \quad \text{with} \quad a = 1 + \frac{\eta(k)}{k} = \frac{k + \eta(k)}{k}$$

Consequence: the resonances are the  $k$  such that

$$k + \eta(k) = 0.$$

Write  $A_{-1} = iG^*G$  with  $G$  a linear form, so that

$$\eta(k) = i\delta G (I + \delta V_\delta F(k))^{-1} V G^*$$