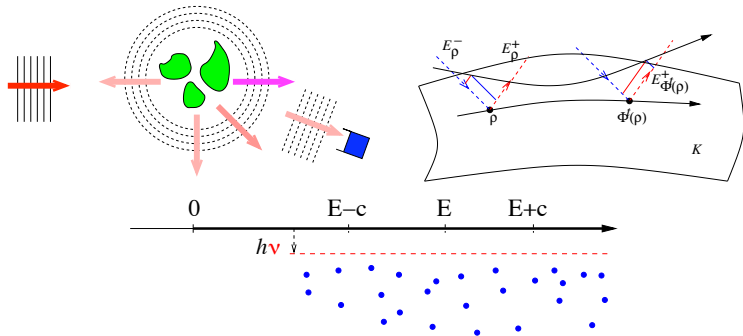


Normally hyperbolic trapping: from quantum dispersion to classical mixing

S. Nonnenmacher (CEA-Saclay) + M. Zworski (Berkeley)

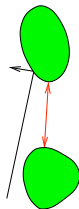
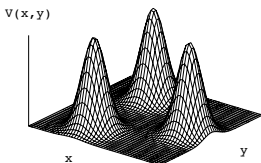
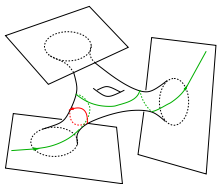
Quantum chaos: fundamentals and applications, Luchon, March 2015



Outline

- reminder on quantum (/wave) scattering, resonance spectrum.
- **semiclassical** distribution of long-living resonances near energy E
↔ structure of set K_E of *classical trapped trajectories*
- focus: K_E **normally hyperbolic** symplectic submanifold
- Normal hyperbolicity \implies explicit resonance gap
- Application to classical chaos: *quantitative exponential mixing* for Anosov geodesic flows

Classical and quantum scattering



(X, g) of infinite volume, Euclidean outside of a bounded region
→ *scattering* by geometry / potential / obstacles

Classical scattering: particles follow the geodesic / Hamiltonian flow (with reflection on obstacles).

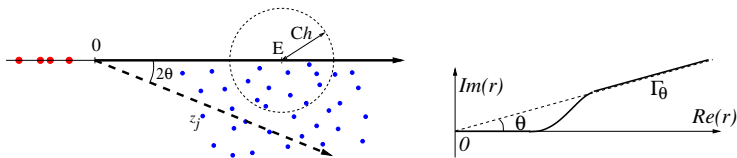
Quantum scattering: wave propagation. Two types of situations:

- Schrödinger equation: $i\hbar\partial_t\psi = H_\hbar\psi$, with the Hamiltonian operator $H_\hbar \stackrel{\text{def}}{=} -\frac{\hbar^2\Delta}{2} + V(x)$, or $H_\hbar = -\frac{\hbar^2\Delta_{\text{Dir}}}{2}$

- wave equation $(\partial_t^2 - \Delta)\psi(x, t) = 0$ (\Leftrightarrow Schrödinger with $H_\hbar = \sqrt{-\hbar^2\Delta}$)

High frequency régime: fix $E > 0$, take the semiclassical limit $\hbar \rightarrow 0$.

Quantum resonances

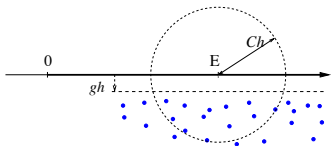


X Euclidean near infinity $\implies \text{Spec}(H_{\hbar})$ purely abs. continuous on \mathbb{R}^+ .
 \implies the resolvent $(H_{\hbar} - z)^{-1}$ diverges when $\text{Im } z \rightarrow 0$.

- however, the **Green's function** $G(y, x; z) = \langle y | (H_{\hbar} - z)^{-1} | x \rangle$ can be meromorphically continued from $\{\text{Im } z > 0\}$ to $\{\text{Im } z < 0\}$.
Poles (of finite multiplicity) = **resonances** $\{z_j(\hbar)\}$ (indep. of x, y)
- each $z_j \longleftrightarrow$ **lifetime** $\tau_j(\hbar) = \frac{\hbar}{2|\text{Im } z_j|}$
Long-living resonance: $|\text{Im } z_j(\hbar)| \leq C\hbar$
- A way to uncover resonances: **complex deformation** of H_{\hbar}
 [AGUILAR-BALSLEV-COMBES, SIMON, HELFFER-SJÖSTRAND..]

$$H_{\hbar} \text{ on } \Gamma_{\theta} \iff H_{\hbar, \theta} \text{ on } X, H_{\hbar, \theta} = -e^{-2i\theta} \hbar^2 \frac{\Delta}{2} \text{ for } |x| > R$$

Questions in the semiclassical régime $h \ll 1$



- For $E > 0$ fixed, what is the semiclassical distribution of the **long-living** resonances $z_j(\hbar)$ near E ? **Resonance-free strip**?
- bounds on $G(x, y; z)$ (or on the cutoff resolvent operator) for z in the resonance free strip?
- Gap + good resolvent bound \implies fast decays as $t \rightarrow \infty$
 - Schrödinger "correlations" $\langle e^{-itH_\hbar/\hbar}\psi_1, \psi_2 \rangle$
 - wave eq.: local energy $\mathcal{E}_\Omega(\psi(t)) \stackrel{\text{def}}{=} \frac{1}{2} \int_\Omega (|\partial_t \psi(t, x)|^2 + |\nabla \psi(t, x)|^2) dx$
 - correlations for Anosov geodesic flow $\int f(x)g(\varphi^t x) dx - \int f(x)dx \int g(x)dx$

Semiclassical distribution of resonances - Trapped set

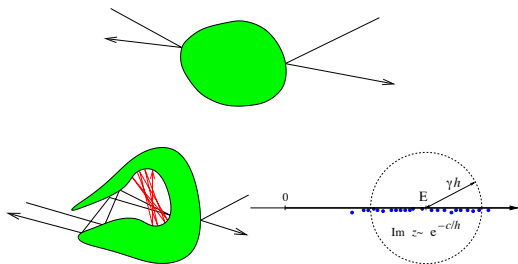
Main idea: the distribution of long-living resonances near E is guided by the set of **trapped classical trajectories** for the Hamiltonian flow Φ^t ,

$$K_E = \{(x, p) \in T^*X, H(x, p) = E, \Phi^t(x, p) \not\rightarrow \infty, t \rightarrow \pm\infty\}$$

K_E compact subset of $\{H(x, p) = E\}$, invariant through Φ^t .

- $K_E = \emptyset \implies \text{Im } z_j \leq -C\hbar \log \hbar^{-1}$.
No long-living resonances
[LAX-PHILLIPS'69... MARTINEZ'02].

- K_E contains a **stable periodic orbit**.
Resonances $\text{Im } z_j(\hbar) = \mathcal{O}(\hbar^\infty)$:
very long lifetimes
[POPOV, VODEV, TANG-ZWORSKI, STEFANOV]



Normally hyperbolic trapped set

Focus on the case where $K = \cup_{|E^+ - E^-| \leq \delta} K_{E^+}$ is a (smooth) $2d_{\parallel}$ -dimensional **symplectic** submanifold of T^*X , and such that **the transverse dynamics is hyperbolic**. *Normally Hyperbolic Invariant Manifold* [WIGGINS'94...]

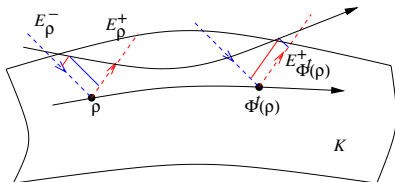
for all $\rho \in K$, $T_{\rho}(T^*X) = T_{\rho}K \oplus (T_{\rho}K)^{\perp}$, $(T_{\rho}K)^{\perp} = E_{\rho}^{-} \oplus E_{\rho}^{+}$, $\dim E_{\rho}^{\pm} = d - d_{\parallel}$

E_{ρ}^{-} , E_{ρ}^{+} are the transverse **stable** and **unstable** subspaces:

$$\forall \rho \in K, \quad \forall t > 0, \quad \|d\Phi^t \upharpoonright_{E_{\rho}^{-}}\| \leq C e^{-\lambda t}, \quad \|d\Phi^{-t} \upharpoonright_{E_{\rho}^{+}}\| \leq C e^{-\lambda t}$$

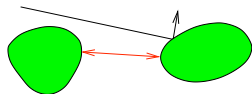
The subspaces $\{E_{\rho}^{\mp}, \rho \in K\}$ are Φ^t -invariant, and assumed continuous w.r.t. ρ .

E_{ρ}^{\mp} tangent to the stable/unstable manifolds Γ^{\mp} .



1st example: trapped set = 1 hyperbolic orbit

- $K_E =$ **single hyperbolic periodic orbit** ($d_{||} = 1$)
 [IKAWA'85, GÉRARD-SJÖSTRAND'87, GÉRARD'88...]



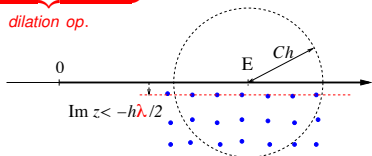
Construct a **Quantum Normal Form** for H_{\hbar} near the orbit

Ex. ($d=2$): NF variables $(x_1, x_2) \in \mathbb{R} \times \mathbb{S}^1$, $K_E = \{x_1 = p_1 = p_2 = 0, x_2 \in \mathbb{S}^1\}$

$$\text{NF: } H(x_1, p_1, x_2, p_2) = E + \lambda_E x_1 p_1 + \frac{p_2}{T_E} + \dots$$

$$\text{QNF: } U_{\hbar}^* H_{\hbar} U_{\hbar} \equiv E + \lambda_E \underbrace{\frac{\hbar}{2i} (x_1 \partial_{x_1} + \partial_{x_1} x_1)}_{\text{dilation op.}} + \frac{\hbar \partial_{x_2}}{iT_E} + \dots \text{ on } L^2(\mathbb{R} \times \mathbb{S}^1)$$

\leadsto explicit resonances near $z = E$:
 deformed half-lattice

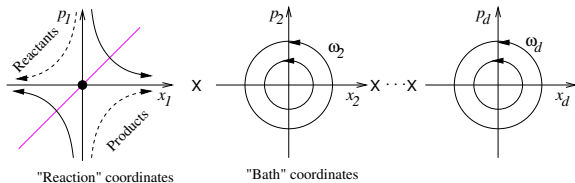


$$z_{\ell, k}(\hbar) = E(\hbar) - i\hbar\lambda_E(1/2 + \ell) + \frac{\hbar k}{T_E} + \mathcal{O}(\hbar^2), \quad \ell \in \mathbb{N}, k \in \mathbb{Z}$$

Hyperbolicity \implies resonance gap: **hyperbolic dispersion**

Another example from quantum chemistry

Chemical reaction dynamics [GOUSSEV-SCHUBERT-WAALKENS-WIGGINS'10]:
Neighbourhood of a **saddle-center-center fixed point** ($d_{||} = d - 1$)



Quadratic approximation near the fixed point:

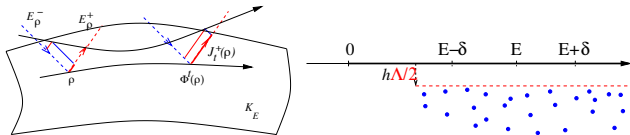
$$H(x, p) = E + \lambda x_1 p_1 + \sum_{k=2}^d \frac{\omega_k}{2} (x_k^2 + \xi_k^2) + \dots, \quad K = \{x_1 = p_1 = 0\}$$

$$H_{\hbar} = E + \lambda \frac{\hbar}{2i} (x_1 \partial_{x_1} + \partial_{x_1} x_1) + \sum_{k=2}^d \frac{\omega_k}{2} (-\hbar^2 \partial_{x_k}^2 + x_k^2) + \dots$$

Nonresonance condition on the $\omega_2, \dots, \omega_d \implies$ **QNF**

Explicit resonances : $z_{\ell, n} \approx E - i\hbar\lambda(1/2 + \ell) + \sum_{k=2}^d \hbar\omega_k(n_k + 1/2)$.

Our main result: Normal hyperbolicity implies a resonance gap



If the dynamics on K is not integrable, NO normal forms, NO expression for resonances. Still, one can prove a **resonance gap**.

Normal hyperbolicity $\rightarrow |\det d\Phi^t|_{E_\rho^+}| \sim e^{\Lambda(\rho)t}$ for $t \gg 1$

\leadsto minimal transverse expanding rate $\Lambda \stackrel{\text{def}}{=} \inf_{\rho \in K} \Lambda(\rho)$

Theorem (N-ZWORSKI'14)

Assume the trapped set K is a normally hyperbolic symplectic manifold.

Then, for $\delta, \epsilon > 0$ and $\hbar > 0$ small enough, the strip

$\{|E - \operatorname{Re} z| \leq \delta, 0 \geq \operatorname{Im} z \geq -\hbar\Lambda/2 + \epsilon\}$ is free of resonances.

(+ polynomial bound for the resolvent in the strip)

Intuition: wavepackets localized on K disperse exponentially fast along Γ^+ , due to transverse hyperbolicity.

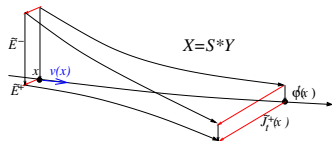
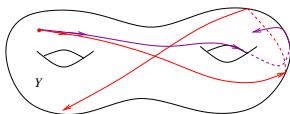
Consequences: **exponential decay** for wave dynamics

A non-quantum application: exponential mixing for Anosov flows

(Y, g) compact Riemannian manifold of negative curvature. $X = S^*Y$ (unit cotangent bundle) carries the geodesic flow φ^t , generated by $v(x) \in T_x X$

Negative curvature \implies the flow φ^t is **Anosov** (uniformly hyperbolic):

$$T_x X = \mathbb{R}v(x) \oplus \tilde{E}_x^+ \oplus \tilde{E}_x^-, \quad \|d\varphi^{\mp t} \upharpoonright_{\tilde{E}_x^\pm}\| \leq C e^{-\nu t}, \quad t > 0.$$



$\implies \varphi^t$ ergodic and **mixing** w.r.t. Liouville measure: **decay of correlations**

$$C_{fg}(t) \stackrel{\text{def}}{=} \int f(x)g(\varphi^t(x)) dx - \int f(x)dx \int g(x) dx \xrightarrow{t \rightarrow \infty} 0$$

[DOGOPYAT'98, LIVERANI'04]: the mixing is **exponential**: $|C_{fg}(t)| \leq e^{-\gamma t}$

The decay is controlled by **Ruelle–Pollicott resonances** $\{Z_j\}$ ($\text{Im } Z_j < 0$).

Question: how are the R-P resonances distributed?

Anosov flow \equiv scattering problem with K Normal. Hyp.

Original idea [FAURE-SJÖSTRAND'10]: analyze $\varphi^t : X \rightarrow X$ as a **quantum scattering propagator**

Fact: the transfer operator $\mathcal{L}^t f = f \circ \varphi^{-t}$ is identical to the **quantum propagator** $\mathcal{L}^t = e^{-itH_\hbar/\hbar}$, for the Hamiltonian $H_\hbar = \frac{\hbar}{i} v(x) \cdot \partial_x$

\leadsto **resonances of $H_\hbar \equiv$ R-P resonances** : $z_j(\hbar) = \hbar Z_j$

The corresponding classical Hamiltonian

$H(x, p) = v(x) \cdot p$ on T^*X generates the Hamiltonian flow $\Phi^t : T^*X \rightarrow T^*X$, lift of $\varphi^t : X \rightarrow X$.

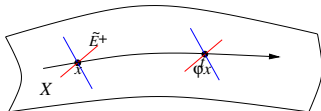
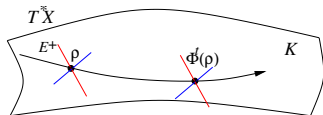
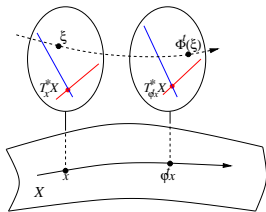
- $\forall E$, the energy shell $\{H(x, p) = E\}$ is unbounded in the momentum direction (\simeq **scattering** system)

- φ^t preserves the **Liouville 1-form α on X**
 \implies trapped set $K_E = \{(x, p = E\alpha_x), x \in X\}$.

$K = \cup_E K_E$ **normally hyperb. smooth submanifold**,

$E_\rho^\pm = \text{lift of } \tilde{E}_X^\pm$,

$\Lambda = \tilde{\Lambda}$ minimal expanding rate along \tilde{E}^+



Applying our gap result to the Ruelle-Pollicott resonances

Theorem

Consider the geodesic flow on (Y, g) compact of negative sectional curvature.

Then there can be at most finitely many Ruelle-Pollicott resonances Z_j in the strip $\{0 \geq \operatorname{Im} Z_j \geq -\tilde{\Lambda}/2 + \epsilon\}$.

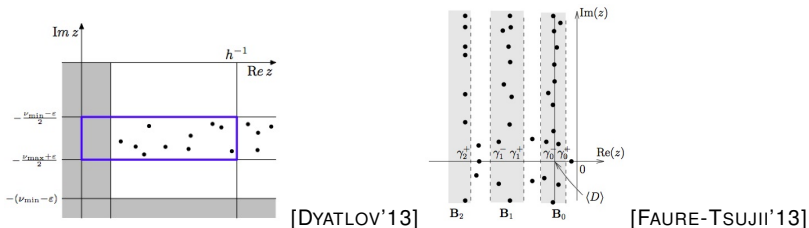
As a consequence, the correlations $C_{fg}(t)$ decay as

$$\implies C_{fg}(t) = \sum_{\operatorname{Im} Z_j > -\tilde{\Lambda}/2} e^{-iZ_j t} M_j(f, g) + \mathcal{O}(e^{-t\tilde{\Lambda}/2})$$

$$(\tilde{\Lambda} = \inf_{x \in X} \liminf_{t \rightarrow \infty} \frac{1}{t} \log |\det d\varphi^t|_{E^+(x)}|)$$

Same result by [TSUJII'10,'12], by studying the action of \mathcal{L}_t on anisotropic Sobolev spaces adapted to the dynamics.

Beyond this resonance gap: resonances in strips



- wave propagation on Kerr(-de Sitter) metrics.
Assuming pinching condition $\Lambda_{\max} < 2\Lambda_{\min}$, resonances in isolated strip $\{-\frac{\nu_{\max}}{2} \leq Im z / \hbar \leq -\frac{\nu_{\min}}{2}\}$. Counting satisfies a Weyl's law. [DYATLOV'13]
- Anosov flow: same type of result for Ruelle-Pollicott resonances [FAURE-TSUJII'13].

Thank you for your attention, and good appetite!

Applications to wave decay

- Schrödinger eq.: $\psi_1, \psi_2 \in L^2(B(0, R))$, $\chi \in C^\infty((E - \delta, E + \delta))$.
Exponential decay of "correlations":

$$\langle \psi_2, e^{-itH_{\hbar}}/\hbar \chi(H_{\hbar}) \psi_1 \rangle \leq C_R \hbar^{-\beta} e^{-\Lambda t/2} + C_{R,N} \hbar^N, \text{ for all } t > 0.$$

- X odd-dimensional. $(\partial_t^2 - \Delta_X)\psi = 0$, with $(\psi(0), \partial_t \psi(0)) \in C_c^\infty(X)$.
For $\Omega \subset X$ bounded, **exponential decay of the local energy**:

$$\mathcal{E}_\Omega(\psi(t)) \leq C_\epsilon e^{-\nu_\epsilon t} (\|\psi(0)\|_{H^{1+\epsilon}}^2 + \|\partial_t \psi(0)\|_{H^\epsilon}^2).$$

- wave propagation in certain stationary **Lorentzian** metrics: perturbations of slowly-rotating Kerr (-de Sitter) metrics $\implies K$ normally hyperbolic.
 \leadsto resonance gap [WUNSCH-ZWORSKI'10, DYATLOV'13,'14]
(resonances = **Quasinormal modes**)
 \leadsto local energy decay for $\psi_\lambda(0)$ concentrated near frequency λ :

$$\mathcal{E}_\Omega(\psi_\lambda(t)) \leq C \lambda^{1/2} e^{-\Lambda t/2} (\|\psi_\lambda(0)\|_{H^1}^2 + \|\partial_t \psi_\lambda(0)\|_{L^2}^2), \quad t \leq T \log \lambda.$$

Normal hyperbolicity implies a resonance gap

Theorem (N-ZWORSKI'13)

Assume K is a normally hyperbolic smooth symplectic manifold, with C^0 invariant distributions.

Then, for any $\Lambda' < \Lambda$, the cutoff resolvent $\|R_x(z; \hbar)\| \leq C |\log \hbar| \hbar^{-1+c_0 \operatorname{Im} z/h}$ in the strip $\{|E - \operatorname{Re} z| \leq \delta, 0 \geq \operatorname{Im} z \geq -\hbar\Lambda'/2\}$.

[GÉRARD-SJÖSTRAND'88]: same gap for $P(x, hD)$ analytic differential op. on \mathbb{R}^d , weaker dynamical conditions: $K \subset \Sigma$ a C^1 symplectic submanifold, normally hyperbolic, C^0 invariant distributions.

Exponentially large resolvent estimate.

[WUNSCH-ZWORSKI'10]: C^∞ setting, K smooth symplectic, Γ^\pm smooth of codimension 1 \implies (non-explicit) gap, resolvent estimates.

[DYATLOV'13,'14]: same assumptions as in [WUNSCH-ZWORSKI'10], + orientability of $\Gamma^\pm \implies$ gap $\Lambda/2$, sharper resolvent estimates.
(Much) simpler proof: no need for a refined escape function.

[TSUJII'12, FAURE-TSUJII'13], Anosov flow: explicitly use the transverse hyperbolic dispersion to compute the gap (and more..).

Proof (1): making H_{\hbar} absorbing away from K

1. Complex-deform H_{\hbar} outside the "interaction region" $\Omega_{\text{int}} \stackrel{\text{def}}{=} \{|x| \leq R_0\}$, with angle $\theta = C \hbar |\log \hbar|$. \leadsto nonselfadjoint op. $H_{\hbar, \theta}$.

In the energy shell $\mathcal{E}_E^\delta = \{|H(x, p) - E| \leq \delta\}$, its symbol $H_\theta(\rho)$ satisfies

$$\text{Im } H_\theta(\rho) \leq -c \hbar |\log \hbar| \quad \text{for } \rho \in \mathcal{E}_E^\delta \setminus \Omega_{\text{int}}$$

$\implies H_{\hbar, \theta}$ is **absorbing outside Ω_{int}** :

$$\text{for any } \psi \text{ microlocalized in } \mathcal{E}_E^\delta \setminus \Omega_{\text{int}}, \quad \|e^{-iH_{\hbar, \theta}/\hbar} \psi\| \leq e^{-c |\log \hbar|} \|\psi\|.$$

2. Extend absorption outside a thin neighbourhood $K(\hbar^{1/2})$.

Strategy: using normal hyperbolicity, construct an adapted **escape function** $g(x, p; h)$:

$$\rho \in \mathcal{E}_E^\delta \setminus K(\hbar^{1/2}) \implies \{H, g\}(\rho) \geq C > 0.$$

Take $G = \text{Op}_{\hbar}(g) \implies H_G \stackrel{\text{def}}{=} e^{-G} H_{\hbar, \theta} e^G = H_{\hbar, \theta} - i\hbar \text{Op}_{\hbar}(\{H, g\}) + \dots$
absorbing outside $K(\hbar^{1/2})$:

$$\text{for any } \psi \text{ microlocalized in } \mathcal{E}_E^\delta \setminus K(\hbar^{1/2}), \quad \|e^{-iH_G/\hbar} \psi\| \leq e^{-C} \|\psi\|.$$

Proof (2): transverse hyperbolic dispersion on $K(\hbar^{1/2})$

3. Use local adapted Darboux coordinates $(x, x'; p, p')$ near

$$K = \{x = p = 0\}: K(\hbar^{1/2}) \equiv \{|x|^2 + |p|^2 \leq \hbar\},$$

Take $\chi(x, p; \hbar)$ a transverse cutoff supported in $K(2\hbar^{1/2})$, $\chi = 1$ in $K(\hbar^{1/2})$.

Near K , write the propagator $e^{-itH_{\hbar}/\hbar}$ as the product of

– a unitary propagator on $L^2(\mathbb{R}_x^{d_{\parallel}})$, quantizing $\Phi^t \upharpoonright_K: K \rightarrow K$

– an operator $\text{Op}_{\hbar}(M_t)$ on $L^2(\mathbb{R}_{x'}^{d_{\perp}})$, with symbol $M_t(x', p')$ taking values in the **metaplectic operators on $L^2(\mathbb{R}_{x'}^{d_{\perp}})$** . $M_t(x', p')$ quantizes the linearised (hyperbolic) transverse map $d\Phi^t \upharpoonright_{(TK)^{\perp}}(x', p')$

\implies hyperbolic dispersion estimate from the linearized transverse dynamics:

$$\forall (x', p') \in K, \forall t > 0, \quad \|\text{Op}_{\hbar}(\chi)M_t(x', p')\text{Op}_{\hbar}(\chi)\|_{L^2_{x'} \rightarrow L^2_{x'}} \leq C J_t^+(\rho)^{-1/2}$$

$$\implies \|\text{Op}_{\hbar}(\chi)\text{Op}_{\hbar}(M_t)\text{Op}_{\hbar}(\chi)\|_{L^2_{x, x'} \rightarrow L^2_{x, x'}} \leq C e^{-t\Lambda/2}$$

$$\implies \|\text{Op}_{\hbar}(\chi)e^{-itP(h)/\hbar}\text{Op}_{\hbar}(\chi)\|_{L^2_{x, x'} \rightarrow L^2_{x, x'}} \leq C e^{-t\Lambda/2}.$$

4. Combine the estimates near and away from $K \rightsquigarrow$ for any $\psi \in L^2$ microlocalized inside \mathcal{E}_E^{δ} , in particular for ψ an **eigenstate** of H_G :

$$\|e^{-itH_G/\hbar}\psi\| \leq C e^{-t\Lambda/2} \|\psi\|, \quad t > 0 \quad (\text{indep. of } \hbar) \quad \square$$

Proof (3): from propagator to resolvent estimate

5. Take $a \in C^\infty(T^*X)$ with $\text{supp } a \subset \mathcal{E}_E^\delta$, $a \equiv 1$ in $\mathcal{E}_E^{\delta/2}$.:

$$\|e^{-itP_G/h} \text{Op}_h(a)\|_{L^2 \rightarrow L^2} \leq C e^{-t\Lambda/2}, \quad t > 0 \quad \text{indep. of } h$$

- For $\text{Im } z > -\Lambda'/2$, construct a parametrix for $(P_G - z)^{-1}$ on $\text{supp } a$:

$$\text{Take } Q_a \stackrel{\text{def}}{=} \frac{i}{h} \int_0^T e^{-it(P_G - z)/h} \text{Op}_h(a) = \mathcal{O}(h^{-1}).$$

$$\text{Then } (P_G - z)Q_a = (I - e^{-iT(P_G - z)/h}) \text{Op}_h(a) = \text{Op}_h(a) + \textit{small} \text{ if } T \gg 1$$

- $(P_G - z)$ semiclassically elliptic on $\text{supp}(1 - a)$
 \leadsto construct $Q_{1-a} = \mathcal{O}(1)$ s.t. $(P_G - z)Q_{1-a} = (I - \text{Op}_h(a)) + \textit{small}$

$$\implies (P_G - z)(Q_a + Q_{1-a}) = Id + \textit{small}$$

$$\implies \|(P_G - z)^{-1}\| = \mathcal{O}(h^{-1}).$$

- by construction $\|e^{\pm G}\|_{L^2 \rightarrow L^2} = \mathcal{O}(h^{-M})$

$$\implies \|(P_\theta - z)^{-1}\| = \mathcal{O}(h^{-1-2M}) \quad \text{in the strip}$$

$$\implies \|\chi(P - z)^{-1}\chi\| = \|\chi(P_\theta - z)^{-1}\chi\| = \mathcal{O}(h^{-1-2M}). \quad \square$$