

# Non-negative perturbations of non-negative selfadjoint operators

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# Problem motivation and definition

We consider

- Laplace operators  $-\Delta$  in  $L_2(\mathbb{R}_3)$  and  $L_2(\mathbb{R}_2)$ ;
- the restriction  $-\Delta^0$  of  $-\Delta$  onto the Sobolev subspaces  $H_0^2(\mathbb{R} \setminus \{0\})$ ;
- self-adjoint extensions  $-\Delta_\alpha$ ,  $\alpha \in \mathbb{R}$  of  $-\Delta^0$  in  $L_2(\mathbb{R}_i)$ ,  $i = 3, 2$ .

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Domains of  $-\Delta_\alpha$ :

$$\mathcal{D}_\alpha^{(3)} := \left\{ f : f \in H_2^2(\mathbf{R}_3), \lim_{|\mathbf{x}| \downarrow 0} \left[ \frac{d}{d|\mathbf{x}|} (|\mathbf{x}|f(\mathbf{x})) - \alpha|\mathbf{x}|f(\mathbf{x}) \right] = 0 \right\},$$

$$\mathcal{D}_\alpha^{(2)} := \left\{ f : f \in H_2^2(\mathbf{R}_2), \lim_{|\mathbf{x}| \downarrow 0} \left[ \left( \frac{2\pi\alpha}{\ln|\mathbf{x}|} + 1 \right) f(\mathbf{x}) - \lim_{|\mathbf{x}'| \downarrow 0} \frac{\ln|\mathbf{x}|}{\ln|\mathbf{x}'|} f(\mathbf{x}') \right] = 0. \right\}$$



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# Problem motivation and definition

Resolvent kernels (Green functions):

$$G_{\alpha, Z}^{(3)}(\mathbf{x}, \mathbf{x}') = \begin{cases} G_Z^{(0)}(\mathbf{x}, \mathbf{x}') + \frac{1}{\alpha - i\sqrt{Z}/4\pi} G_Z^{(0)}(\mathbf{x}, 0) G_Z^{(0)}(0, \mathbf{x}'), \\ G_Z^{(0)}(\mathbf{x}, \mathbf{x}') = \frac{\exp i\sqrt{Z}|\mathbf{x} - \mathbf{x}'|}{4\pi|\mathbf{x} - \mathbf{x}'|}. \end{cases}$$

$$G_{\alpha, Z}^{(2)}(\mathbf{x}, \mathbf{x}') = \begin{cases} G_Z^{(0)}(\mathbf{x}, \mathbf{x}') + \frac{2\pi}{2\pi\alpha - \psi(1) + \ln\left(\frac{\sqrt{Z}}{2i}\right)} G_Z^{(0)}(\mathbf{x}, 0) G_Z^{(0)}(0, \mathbf{x}'), \\ G_Z^{(0)}(\mathbf{x}, \mathbf{x}') = \left(\frac{i}{4}\right) H_0^{(1)}(i\sqrt{Z}|\mathbf{x} - \mathbf{x}'|). \end{cases}$$

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# Problem motivation and definition

*All singular perturbations  $-\Delta_\alpha$  of the Laplace operator in two dimensions have one negative eigenvalue or the standardly defined Laplace operator  $-\Delta$  is the unique non-negative self-adjoint extension in  $L_2(\mathbf{R}_2)$  of the symmetric operator  $-\Delta^0$ .*

# Problem motivation and definition: Question

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Why in some cases the Friedrichs extension is the unique non-negative extension of given non-negative symmetric operator?

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- $A \geq 0$  - self-adjoint operator in the Hilbert space  $\mathcal{H}$
- $A^{(0)}$  be a densely defined closed restriction of  $A$  onto  $\mathcal{D}(A^{(0)}) \subset \mathcal{D}(A)$  of  $A$ .

Put

$$\begin{aligned} \mathcal{M} &:= (I + A^{(0)})\mathcal{D}(A^{(0)}) \neq \mathcal{H}, \\ \mathcal{N} &:= \mathcal{H} \ominus \mathcal{M}. \end{aligned}$$

We call all self-adjoint extensions of  $A^{(0)}$  in  $\mathcal{H}$  other than  $A$  *singular perturbations* of  $A$  (associated with  $A_0$ ).

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Let us consider  $K_0 : \mathcal{M} \rightarrow \mathcal{H}$  :

$$\begin{cases} f = (I + A^{(0)}) x, \\ K_0 f = \mathcal{A}^{(0)} x, \quad x \in \mathcal{D}(A^{(0)}). \end{cases}$$

$A_1$  is a non-negative self-adjoint extension of  $A_0$  in  $\mathcal{H}$  iff  $K_1 := A_1 (A_1 + I)^{-1}$  is a non-negative contractive extension of  $K_0$  from  $\mathcal{M}$  onto  $\mathcal{H}$ ,  $K_1 f = K_0 f$ ,  $f \in \mathcal{M}$ ,  $1 \notin \sigma(K_1)$ .

$A_0$  has unique non-negative self-adjoint extension in  $\mathcal{H}$  if and only if  $K_0$  admits only one non-negative contractive extension onto the whole  $\mathcal{H}$ , no eigenvalue of which = 1, that is  $K := A(I + A)^{-1}$ .

The uniqueness of  $A$  as non-negative extension of  $A_0$  is equivalent to uniqueness of  $K$  as non-negative contractive extension of  $K_0$ .



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## Notation

- $\mathbf{G}$  - the set consisting of  $A$  and all its non-negative singular perturbations;
- $\mathbf{C}$  denote the set of non-negative contractions obtained from  $\mathbf{G}$  by transformation  $A_1 \rightarrow A_1 (A_1 + I)^{-1}$ ,  $A_1 \in \mathbf{G}$ ;
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With respect to the representation  $\mathcal{H} = \mathcal{M} \oplus \mathcal{N}$  each  $K_X \in \mathbf{C}$  can be represented as

$$K_X = \begin{pmatrix} T & \Gamma^* \\ \Gamma & X \end{pmatrix}$$

Here

$$\begin{aligned} T &= P_{\mathcal{M}} K_0|_{\mathcal{M}}, \\ \Gamma &= P_{\mathcal{M}} K_0|_{\mathcal{N}}. \end{aligned}$$

$X$  is a non-negative contraction in  $\mathcal{N}$  distinguishing elements from  $\mathbf{C}$ .

Since each  $K_X \in \mathbf{C}$  is non-negative and contractive then

$$T \geq 0; \quad I \geq T^2 + \Gamma^* \Gamma$$

$K_X \in \mathbf{C}$  is equivalent to

$$\begin{aligned} K_X + \varepsilon I &\geq 0; \\ (1 + \varepsilon)I - K_X &\geq 0 \quad \varepsilon > 0. \end{aligned}$$

By the Schur -Frobenius factorization formula:

$$\begin{pmatrix} I & 0 \\ \Gamma(T + \varepsilon)^{-1} & I \end{pmatrix} \times \\ \begin{pmatrix} T + \varepsilon & 0 \\ 0 & X + \varepsilon - \Gamma(T + \varepsilon)^{-1}\Gamma^* \end{pmatrix} \times \\ \begin{pmatrix} I & (T + \varepsilon)^{-1}\Gamma^* \\ 0 & I \end{pmatrix} \geq 0$$

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By the Schur -Frobenius factorization formula:

$$\begin{pmatrix} I & 0 \\ -\Gamma(I + \varepsilon - T)^{-1} & I \end{pmatrix} \times \\ \begin{pmatrix} 1 + \varepsilon - T & 0 \\ 0 & 1 + \varepsilon - X - \Gamma(1 + \varepsilon - T)^{-1}\Gamma^* \end{pmatrix} \times \\ \begin{pmatrix} I & -(1 + \varepsilon - T)^{-1}\Gamma^* \\ 0 & I \end{pmatrix} \geq 0$$

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Since  $T \geq 0$  and  $I - T \geq 0$  the above inequalities are reduced to

$$\begin{cases} X + \varepsilon I - \Gamma(T + \varepsilon I)^{-1}\Gamma^* \geq 0, \\ (1 + \varepsilon)I - X - \Gamma[(1 + \varepsilon)I - T]^{-1}\Gamma^* \geq 0, \varepsilon > 0. \end{cases}$$

Setting

$$Y := X - \lim_{\varepsilon \downarrow 0} \Gamma(T + \varepsilon I)^{-1}\Gamma^*$$

we conclude that  $K_X \in \mathbf{C}$  if and only if

$$0 \leq Y \leq I - \lim_{\varepsilon \downarrow 0} \left( \Gamma(T + \varepsilon I)^{-1}\Gamma^* + \Gamma[(1 + \varepsilon)I - T]^{-1}\Gamma^* \right).$$

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Hence

$$I - \lim_{\varepsilon \downarrow 0} \left( \Gamma(T + \varepsilon I)^{-1} \Gamma^* + \Gamma[(1 + \varepsilon)I - T]^{-1} \Gamma^* \right) = 0$$

is the criterium that there are no contractive non-negative extension of  $K_0$  in  $\mathcal{H}$  other than  $K$ .

To express this criterium in terms of given  $K$  and  $A$  we use the following proposition.

Hence

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Let  $L$  be a bounded invertible operator in the Hilbert space  $\mathcal{H} = \mathcal{M} \oplus \mathcal{N}$  given as  $2 \times 2$  block operator matrix,

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Let  $K$  be a non-negative contraction in the Hilbert space  $\mathcal{H} = \mathcal{M} \oplus \mathcal{N}$ ,  $K_0$  is the restriction of  $K$  onto the subspace  $\mathcal{M} (= \mathcal{M} \oplus \{0\})$  and

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where  $X$  runs the set of all non-negative contractions in  $\mathcal{N}$  satisfying inequalities

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## Remark.

*The set of all non-negative singular perturbations of  $A$  contains the minimal perturbation  $A_\mu$  with and the maximal perturbation  $A_M$  such that any non-negative perturbation  $A_1$  satisfies inequalities  $A_\mu \leq A_1 \leq A_M$ . The corresponding values of parameters  $X$  in the above theorem are*

$$\begin{aligned}X_\mu &= I|_{\mathcal{N}} + P_{\mathcal{N}}[I + A]^{-1}|_{\mathcal{N}} - G_1 \\X_M &= I|_{\mathcal{N}} + P_{\mathcal{N}}[I + A]^{-1}|_{\mathcal{N}} + G_2\end{aligned}$$

*If  $G_1 = 0$  ( $G_2 = 0$ ), then the minimal (maximal) perturbation coincides with  $A$ .*

## Proposition.

*The set of resolvents of all non-negative singular perturbations  $A_Y$  of  $A$  is described by the M.G. Krein formula*

$$(A_Y - zI)^{-1} = (A - zI)^{-1} - (A + I)(A - zI)^{-1}P_{\mathcal{N}}Y \times \\ \left[ I + (1 + z)P_{\mathcal{N}}(A + I)(A - zI)^{-1}Y \right]^{-1} \times P_{\mathcal{N}}(A + I)(A - zI)^{-1},$$

*where  $Y$  runs contractions in  $\mathcal{N}$  satisfying inequalities  $-G_1 \leq Y \leq G_2$ .*

# Applications

Let  $A$  denote the multiplication operator in  $L_2(\mathbf{R}_n)$  by the continuous function  $\varphi(k)$ ,  $k^2 = k_1^2 + \dots + k_n^2$ , such that  $\varphi(k) > 0$  almost everywhere and

$$\int_0^\infty \frac{k^{n-1}}{(1 + \varphi(k))^2} dk < \infty.$$

$A$  is a non-negative self-adjoint operator,

$$\mathcal{D}(A) = \left\{ f : \int_{\mathbf{R}_n} |1 + \varphi(k)|^2 |f(\mathbf{k})|^2 d\mathbf{k} < \infty, f \in L_2(\mathbf{R}_n) \right\}.$$



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Let  $\hat{\delta}$  denote the unbounded linear functional in  $L_2(\mathbf{R}_n)$ :

$$\hat{\delta}(f) = \int_{\mathbf{R}_n} f(\mathbf{k}) d\mathbf{k}.$$

Note that  $\mathcal{D}(\hat{\delta}) \subset \mathcal{D}(A)$ .

Let us denote by  $A_0$  the restriction of  $A$  onto linear set

$$\mathcal{D}(A_0) := \left\{ f : f \in \mathcal{D}(A), \hat{\delta}(f) = 0 \right\}.$$

The closure of  $A_0 \neq A$  and

$$\mathcal{N} = (L_2(\mathbf{R}_n) \ominus (I + A)\mathcal{D}_0(A)) = \left\{ \xi \cdot \frac{1}{1 + \varphi(k)}, \xi \in \mathbf{C} \right\}.$$

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## Proposition.

$A$  is the **unique** non-negative self-adjoint extension of  $A_0$  that is  $A$  has no non-negative singular perturbations if and only if

$$\int_0^{\infty} \frac{k^{n-1}}{\varphi(k)(1+\varphi(k))} dk = \infty$$

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Put  $\varphi(k) = k^2$  and let  $n = 2$ .

### Corollary.

*The self-adjoint Laplace operator in  $L_2(\mathbf{R}_2)$  has no non-negative singular perturbations with support at one point of  $\mathbf{R}_2$ .*

The non-negative singular perturbations of  $-\Delta$  in  $L_2(\mathbf{R}_2)$  with support at two or more points do exist. Let us consider the restriction  $A_0$  of the multiplication operator operator by  $k^2$ , for which the defect subspace  $\mathcal{N}$  consists of functions collinear to

$$e_0(\mathbf{k}) = \frac{1 - \exp(-i(\mathbf{k} \cdot \mathbf{x}_0))}{1 + k^2}, \quad \mathbf{x}_0 \in \mathbf{R}_2.$$

In this case

$$\|e_0\|^2 = \int_{\mathbf{R}_2} \frac{4 \sin^2 \frac{1}{2}(\mathbf{k} \cdot \mathbf{x}_0)}{(1 + k^2)^2} dk < \infty,$$

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As follows, the concerned restriction  $A_0$  of the multiplication operator  $A$  by  $k^2$  has non-negative self-adjoint extensions in  $L_2(\mathbf{R}_2)$  others than  $A$  and  $A$  is the maximal element in the set of these extensions.



It remains to note that  $A$  is isomorphic to the self-adjoint Laplace operator  $-\Delta$  in  $L_2(\mathbf{R}_2)$  and  $A_0$  is isomorphic to the restriction of this  $-\Delta$  on the subset of function  $f(\mathbf{x})$  from  $\mathcal{D}(-\Delta)$  satisfying conditions:

$$\lim_{|\mathbf{x}| \rightarrow 0} (\ln |\mathbf{x}|)^{-1} f(\mathbf{x}) - \lim_{|\mathbf{x} - \mathbf{x}_0| \rightarrow 0} (\ln |\mathbf{x} - \mathbf{x}_0|)^{-1} f(\mathbf{x}) = 0,$$

$$\lim_{|\mathbf{x}| \rightarrow 0} \left[ f(\mathbf{x}) - \ln |\mathbf{x}| \lim_{|\mathbf{x}'| \rightarrow 0} (\ln |\mathbf{x}'|)^{-1} f(\mathbf{x}') \right] -$$

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The self-adjoint Laplace operator in  $L_2(\mathbf{R}_3)$  has infinitely many non-negative singular perturbations with support at one point of  $\mathbf{R}_3$  and the standardly defined Laplace the maximal element in the set of this perturbation.

Consider the multiplication operator  $A$  by  $k^{2l}$  in  $L_2(\mathbf{R}_n)$  assuming that  $4l \leq n + 1$ .  $A$  is isomorphic to the polyharmonic operator  $(-\Delta)^l$  in  $L_2(\mathbf{R}_n)$ .

Let us consider the restriction  $A_0$  of  $A$  with the domain

$$\mathcal{D}(A_0) := \left\{ f : f \in \mathcal{D}(A), \hat{\delta}(f) = 0 \right\}.$$

that is non-negative symmetric operator which is isomorphic to the restriction of the polyharmonic operator  $(-\Delta)^l$  onto the Sobolev subspace  $H_{2l}^2(\mathbf{R}_n \setminus \{0\})$ .

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# Propositions

Proposition.

*If  $n < 2l$  then there are infinitely many non-negative singular perturbations of  $(-\Delta)^l$  associated with the one-point symmetric restriction  $A_0$  and  $(-\Delta)^l$  is the minimal element in the set of the non-negative extensions of  $A_0$  in  $H_{2l}^2(\mathbf{R}_n \setminus \{0\})$ .*

Proposition.

*If  $n = 2l$  then  $(-\Delta)^l$  has no such perturbations in  $H_{2l}^2(\mathbf{R}_n \setminus \{0\})$ .*

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*If  $n > 2l$  then there is the infinite set of non-negative singular perturbations of  $(-\Delta)^l$  associated with  $A_0$  and for those as non-negative extensions of  $A_0$  in the set of the in  $H_{2l}^2(\mathbf{R}_n \setminus \{0\})$  the operator  $(-\Delta)^l$  is the maximal element.*



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