

# Upper bounds for eigenvalues of perturbed Laplace operators

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- ▶ Eigenvalues of  $L = \Delta_g + q$  form a nondecreasing sequence of real numbers

$$\lambda_1(L) \leq \lambda_2(L) \leq \cdots \leq \lambda_k(L) \leq \cdots \nearrow \infty.$$

where each  $\lambda_k(L)$  has finite multiplicity.

► The min-max theorem

$$\lambda_k(L) = \min_{V_k} \max_{0 \neq f \in V_k} \frac{\int_M |\nabla_g f|^2 d\text{vol} + \int_M f^2 q d\text{vol}}{\int_M f^2 d\text{vol}},$$

where  $V_k$  is a  $k$ -dimensional linear subspace of  $H^1(M)$ .

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► It is easy to see that

$$\lambda_1(L) \leq \frac{1}{\text{vol}(M)} \int_M q d\text{vol}.$$

For the second eigenvalue of the Schrödinger operator  $L$ , we have

$$\lambda_2(L) \leq m \left( \frac{V_c([g])}{\text{vol}(M)} \right)^{\frac{2}{m}} + \frac{\int_M q d\text{vol}}{\text{vol}(M)},$$

where  $V_c([g])$  is the conformal volume that is defined by Li and Yau (1982).

For an orientable Riemannian surface  $(\Sigma_\gamma, g)$  of genus  $\gamma$ , one has

$$\lambda_2(L) \leq \frac{8\pi}{\text{Area}(\Sigma_\gamma)} \left[ \frac{\gamma + 3}{2} \right] + \frac{\int_{\Sigma_\gamma} q d\text{vol}}{\text{Area}(\Sigma_\gamma)},$$

where  $\left[ \frac{\gamma+3}{2} \right]$  is the integer part of  $\frac{\gamma+3}{2}$ .

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One can not use the method that gives the above upper bounds to obtain upper bounds for higher eigenvalues and we need new ideas.



Let  $(M, g)$  be a compact Riemannian manifold and  $N$  and  $C_0$  be some positive constants such that  $M$  satisfies the  $(2, N)$ -covering property and  $\text{vol}(B(x, r)) \leq C_0 r^2$ , for every  $x \in M$  and every  $r > 0$ . Then for every positive Schrödinger operator  $L = \Delta_g + q$  on  $M$ , we have

$$\lambda_k(L) \leq \frac{Ck + \int_M q d\text{vol}}{\epsilon \text{vol}(M)},$$

where  $\epsilon \in (0, 1)$  depends only on  $N$  and  $C$  depends on  $N$  and  $C_0$ .

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A metric space  $(X, d)$  has  $(2, N)$ -covering property if each ball of radius  $r > 0$  can be covered by at most  $N$  balls of radius  $r/2$ .

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## Examples

- Any metric measure space  $(X, d, \mu)$  that has the doubling property i.e. there exists a positive constant  $C$  such that

$$\frac{\mu(B(x, 2r))}{\mu(B(x, r))} \leq C, \quad \forall x \in X, r > 0,$$

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- ▶ Every compact Riemannian manifold  $(M, g)$  has  $(2, N)$ -covering property.

If for example  $\text{Ricci}_g \geq 0$  then  $N$  depends only on the dimension.

Let  $(M, g)$  be a compact Riemannian manifold and  $N$  and  $C_0$  be some positive constants such that  $M$  satisfies the  $(2, N)$ -covering property and  $\text{vol}(B(x, r)) \leq C_0 r^2$ , for every  $x \in M$  and every  $r > 0$ . Then for every Schrödinger operator  $L = \Delta_g + q$  on  $M$ , we have

$$\lambda_k(\Delta_g + q) \leq \frac{Ck + \delta^{-1} \int_M q^+ d\text{vol} - \delta \int_M q^- d\text{vol}}{\text{vol}(M)},$$

where  $\delta \in (0, 1)$  is a constant which depends only on  $N$ ,  $C > 0$  is a constant which depends on  $N$  and  $C_0$ , and  $q^\pm = \max\{|\pm q|, 0\}$ .

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Let  $\Sigma_\gamma$  be a compact orientable surface of genus  $\gamma$ . Then for every Riemannian metric  $g$  on  $\Sigma_\gamma$  and for every **positive** Schrödinger operator  $L = \Delta_g + q$  on  $\Sigma_\gamma$ , we have

$$\lambda_k(L) \leq \frac{Q(\gamma + 1)k + \alpha \int_M q dA}{\text{Area}(\Sigma_\gamma)},$$

where  $\alpha$  and  $Q > 0$  are **absolute constants**.



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## Weyl's Law

$$\lambda_k(L) \sim \alpha_m \left( \frac{k}{\text{vol}(M)} \right)^{\frac{2}{m}}, \quad k \rightarrow \infty$$

where  $\alpha_m = 4\pi^2 \omega_m^{-\frac{2}{m}}$  and  $\omega_m$  is the volume of the unit ball in the standard  $\mathbb{R}^m$ .

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## Grigor'yan, Netrusov, Yau

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$$\lambda_k(L) \leq \frac{Q(\gamma + 1)k + \delta \int_M q dA}{\text{Area}(\Sigma_\gamma)},$$

Let  $(M, g)$  be a compact Riemannian manifold of dimension  $m$ , we define its **min-conformal** volume as follows:

$$V([g]) = \inf\{\text{vol}_{g_0}(M) : g_0 \in [g], \text{Ricci}_{g_0} \geq -(m-1)\}.$$

# Theorem (H. 2012)

There exist constants  $A_m$ ,  $B_m$  and  $C_m$  depending only on  $m$  such that for every  $m$ -dimensional compact Riemannian manifold  $(M, g)$  and every positive Schrödinger operator  $L = \Delta_g + q$  on  $M$ , we have

$$\lambda_k(L) \leq A_m \frac{\int_M q d\text{vol}}{\text{vol}(M)} + B_m \left( \frac{V([g])}{\text{vol}(M)} \right)^{\frac{2}{m}} + C_m \left( \frac{k}{\text{vol}(M)} \right)^{\frac{2}{m}}.$$

Compare with [▶ GNY \(2004\)](#)

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$$\lambda_k(L) \leq \frac{\alpha_m^{-1} \int_M q^+ d\text{vol} - \alpha_m \int_M q^- d\text{vol}}{\text{vol}(M)} + B_m \left( \frac{V([g])}{\text{vol}(M)} \right)^{\frac{2}{m}} + C_m \left( \frac{k}{\text{vol}(M)} \right)^{\frac{2}{m}}.$$

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H. 2012

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- ▶ A Riemannian manifold  $(M, g)$  with the weighted measure  $e^{-\phi} d\text{vol}$ , where  $\phi \in C^2(M)$ , is denoted by the triple  $(M, g, \phi)$  and is called a Bakry–Émery manifold.

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- ▶ The weighted Laplacian  $\Delta_\phi$  also called Bakry–Émery Laplacian is defined by

$$\Delta_\phi = \Delta_g + \nabla_g \phi \cdot \nabla_g = -e^\phi \text{div}(e^{-\phi} \nabla_g).$$

- ▶ The Bakry–Émery Laplacian  $\Delta_\phi = \Delta_g + \nabla_g \phi \cdot \nabla_g$  is symmetric with respect to the weighted measure  $e^{-\phi} d\text{vol}$ . Indeed, for every  $f, g \in C_0^\infty(M)$ ,

$$\int_M \Delta_\phi f g e^{-\phi} d\text{vol} = \int_M \langle \nabla_g f, \nabla_g h \rangle e^{-\phi} d\text{vol}.$$

Furthermore, the operator  $\Delta_\phi$  with the domain  $C_0^\infty(M)$  admits the Friedrichs extension to a self-adjoint operator in  $L^2(M, e^{-\phi} d\text{vol})$ .

- ▶ On Bakry–Émery manifolds, we have a new notion of curvature called the **Bakry–Émery Ricci tensor** which is defined by

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- ▶ The Bakry–Émery Laplacian  $\Delta_\phi$  is **unitarily equivalent** to the **positive** Schrödinger operator  $L = \Delta_g + \frac{1}{2}\Delta_g\phi + \frac{1}{4}|\nabla_g\phi|^2$ .

# Theorem (H. 2012)

There exist constants  $A_m > 1$ ,  $B_m$  and  $C_m$  depending only on  $m \in \mathbb{N}^*$ , such that for every  $m$ -dimensional compact Riemannian manifold  $(M, g)$ , every  $\phi \in C^2(M)$  and every  $k \in \mathbb{N}^*$ , we have

$$\lambda_k(\Delta_\phi) \leq \frac{A_m}{\text{vol}(M)} \|\nabla_g \phi\|_{L^2(M)}^2 + B_m \left( \frac{V([g])}{\text{vol}(M)} \right)^{\frac{2}{m}} + C_m \left( \frac{k}{\text{vol}(M)} \right)^{\frac{2}{m}}$$

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Proof

We know  $\Delta_\phi$  is unitary equivalent to the positive Schrödinger operator  $L = \Delta_g + \frac{1}{2}\Delta_g \phi + \frac{1}{4}|\nabla_g \phi|^2$ . Hence, by replacing

$$\int_M \frac{1}{2}\Delta_g \phi + \frac{1}{4}|\nabla_g \phi|^2 d\text{vol} = \frac{1}{4}\|\nabla_g \phi\|_{L^2(M)}^2$$

in the previous result, we get the desired inequality.

# Theorem (H. 2012)

Let  $(M, g, \phi)$  be a compact Bakry–Émery manifold with  $|\nabla_g \phi| \leq \sigma$  for some  $\sigma \geq 0$ . Then, there exist constants  $A(m)$  and  $B(m)$  such that for every  $k \in \mathbb{N}^*$ ,

$$\lambda_k(\Delta_\phi) \leq A(m) \max\{\sigma^2, 1\} \left( \frac{V_\phi([g])}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}} + B(m) \left( \frac{k}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}$$



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- If  $\text{Ricci}_\phi(M) \geq -\kappa^2(m-1)$  and  $|\nabla_g \phi| \leq \sigma$  for some constants  $\kappa$  and  $\sigma \geq 0$ , then

$$\lambda_k(\Delta_\phi) \leq A(m) \max\{\sigma^2, 1\} \kappa^2 + B(m) \left( \frac{k}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}.$$

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- If  $\text{Ricci}_\phi(M, g_0) \geq 0$  for some  $g_0 \in [g]$ , then

$$\lambda_k(\Delta_\phi) \leq B(m) \left( \frac{k}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}.$$

## A few words about the proof

Let  $\{f_i\}_{i=1}^k$  be a family of disjointly supported test functions.

$$\lambda_k(\Delta_\phi) \leq \max_i \frac{\int_M |\nabla_g f_i|^2 e^{-\phi} d\text{vol}}{\int_M f_i^2 e^{-\phi} d\text{vol}}.$$

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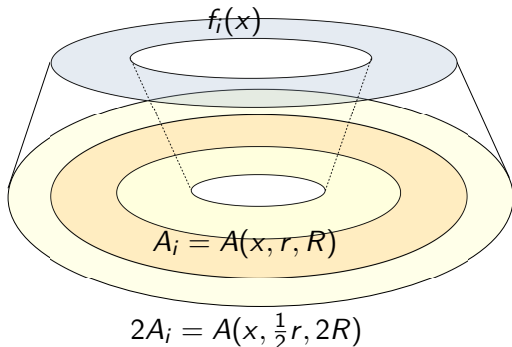
$$\lambda_k(\Delta_\phi) \leq \max_i \frac{\left(\int_M |\nabla_{g_0} f_i|^m e^{-\phi} d\text{vol}_{g_0}\right)^{\frac{2}{m}} \left(\int_M 1_{\text{supp} f_i} e^{-\phi} d\text{vol}\right)^{1-\frac{2}{m}}}{\int_M f_i^2 e^{-\phi} d\text{vol}},$$

where  $g_0 \in [g]$ .

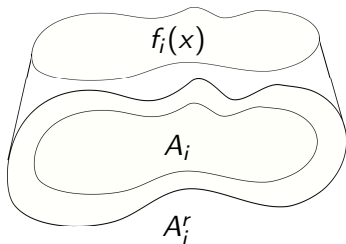


## Grigor'yan, Netrusov, Yau 2004

Let  $(X, d, \mu)$  be an  $m - m$  space with a finite non-atomic Borel measure  $\mu$  satisfying the  $(2, N)$ -covering property for some  $N > 0$ . Then for every  $n \in \mathbb{N}^*$ , there exists a family  $\{A_i\}_{i=1}^n$  of annuli in  $X$  such that for each  $i$ ,  $\mu(A_i) \geq \frac{\mu(X)}{C_N n}$ , where  $C_N$  is a positive constant depending only on  $N$  and  $2A_i$  are mutually disjoint.



Let  $(X, d, \mu)$  be an  $m - m$  space with a finite non-atomic Borel measure  $\mu$  satisfying the  $(2, N; \rho)$ -covering property for some  $\rho > 0$ . For every  $n \in \mathbb{N}^*$ , let  $0 < r \leq \rho$  be such that for every  $x \in X$ ,  $\mu(B(x, r)) \leq \frac{\mu(X)}{C_N^2 n}$ , where  $C_N$  is a positive constant depending only on  $N$ . Then there exists a family  $\{A_i\}_{i=1}^n$  of measurable subsets of  $X$  such that for each  $i$ ,  $\mu(A_i) \geq \frac{\mu(X)}{C_N n}$ , and the subsets  $\{A_i^r\}_{i=1}^n$  are mutually disjoint.



## A few words about the proof

$$\lambda_k(\Delta_\phi) \leq \max_i \frac{\left( \int_M |\nabla_{g_0} f_i|^m e^{-\phi} d\text{vol}_{g_0} \right)^{\frac{2}{m}} \left( \int_M 1_{\text{supp} f_i} e^{-\phi} d\text{vol} \right)^{1 - \frac{2}{m}}}{\int_M f_i^2 e^{-\phi} d\text{vol}}$$

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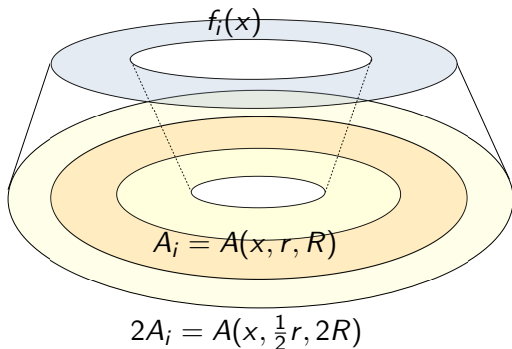
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$$\lambda_k(\Delta_\phi) \leq \max_i C_N \left( \int_M |\nabla_{g_0} f_i|^m e^{-\phi} d\text{vol}_{g_0} \right)^{\frac{2}{m}} \left( \frac{k}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}$$

## A few words about the proof

$$\text{If } \text{vol}_\phi(B(x, r), g_0) \leq Dr^m, \quad \forall r > 0$$

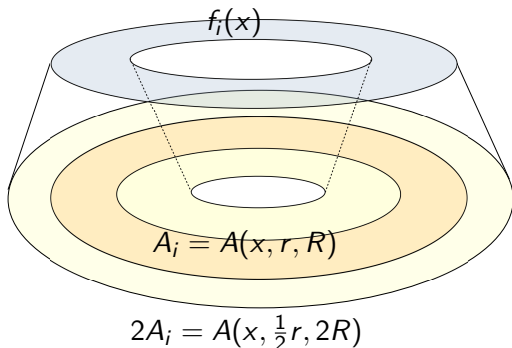
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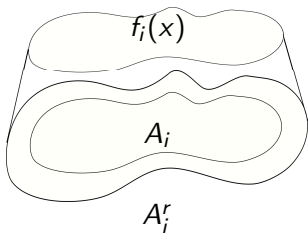
If  $\text{vol}_\phi(B(x, r), g_0) \leq Dr^m$ ,  $\forall r > 0$

$$\lambda_k(\Delta_\phi) \leq C_N C_D \left( \frac{k}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}$$



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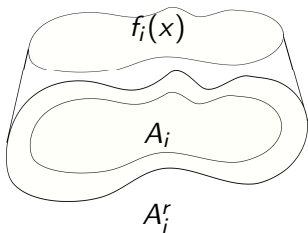
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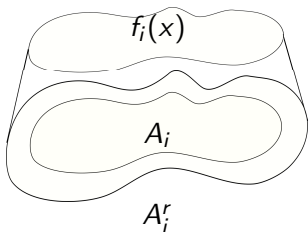
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$$\lambda_k(\Delta_\phi) \leq C_N \frac{1}{r^2} \left( \frac{\text{vol}_\phi(M, g_0)}{k} \right)^{\frac{2}{m}} \left( \frac{k}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}$$



## A few words about the proof

$$\lambda_k(\Delta_\phi) \leq C_N \frac{1}{r^2} \left( \frac{\text{vol}_\phi(M, g_0)}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}$$



GNY-construction leads to

$$\lambda_k(\Delta_\phi) \leq C_N C_D \left( \frac{k}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}$$

CM-construction leads to

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CM-construction leads to

$$\lambda_k(\Delta_\phi) \leq C_m \frac{1}{r^2} \left( \frac{\text{vol}_\phi(M, g_0)}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}$$

Let  $(X, d, \mu)$  be an  $m - m$  space with a finite non-atomic Borel measure  $\mu$  satisfying the  $(2, N; \rho)$ -covering property. Then for every  $n \in \mathbb{N}^*$ , there exists a family  $\{A_i\}_{i=1}^n$  of subsets of  $X$  with the following properties:

- (i)  $\mu(A_i) \geq \frac{\mu(X)}{C_N n}$ ,
- (ii) the family  $\{A_i\}_{i=1}^n$  is such that either
  - (a) all the  $A_i$  are annuli and  $2A_i$  are mutually disjoint with outer radii smaller than  $\rho$ , or
  - (b) all the  $A_i$  are domains in  $X$  and  $A_i^{r_0}$  are mutually disjoint with  $r_0 = \frac{\rho}{1600}$ .

GNY-construction leads to

$$\lambda_k(\Delta_\phi) \leq C_N C_D \left( \frac{k}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}$$

CM-construction leads to

$$\lambda_k(\Delta_\phi) \leq C_m \frac{1}{r^2} \left( \frac{\text{vol}_\phi(M, g_0)}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}$$

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$$\lambda_k(\Delta_\phi) \leq A(m) \max\{\sigma^2, 1\} \left( \frac{V_\phi([g])}{\text{vol}_\phi(M, g)} \right)^{\frac{2}{m}} + B(m) \left( \frac{k}{\text{vol}_\phi(M)} \right)^{\frac{2}{m}}$$

Thank you for your attention!