CUTOFF RESOLVENT ESTIMATES AND THE SEMILINEAR
SCHRÖDINGER EQUATION

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Abstract. This paper shows how abstract resolvent estimates imply local
smoothing for solutions to the Schrödinger equation. If the resolvent estimate
has a loss when compared to the optimal, non-trapping estimate, there is
a corresponding loss in regularity in the local smoothing estimate. As an
application, we apply well-known techniques to obtain well-posedness results
for the semi-linear Schrödinger equation.

1. Introduction

In this short note we show how cutoff semiclassical resolvent estimates for the
Laplacian on a non-compact manifold, with spectral parameter on the real axis,
lead to well-posedness results for the semilinear Schrödinger equation. Motivated
by the requirements of [Chr3] and [BGT2], and the microlocal inverse estimates
of [Chr1, Chr2], we first prove a general theorem for a large class of resolvents.
Following the recent work of Nonnenmacher-Zworski [NoZw], we apply the general
theorem in the case there is a hyperbolic fractal trapped set.

Let \((M, g)\) be a Riemannian manifold of dimension \(n\) without boundary, with
(non-negative) Laplace-Beltrami operator \(-\Delta\) acting on functions. The Laplace-
Beltrami operator is an unbounded, essentially self-adjoint operator on
\(L^2(M)\) with

\[\text{domain } H^2(M).\]

We assume \((M, g)\) is asymptotically Euclidean in the sense of
[NoZw] (3.7)-(3.9) and that the classical resolvent \((-\Delta - (\lambda^2 + i\epsilon))^{-1}\)
obey a limiting absorption principle as \(\epsilon \to 0^+, \lambda \neq 0\).

Our first result is that if we have cutoff semiclassical resolvent estimates with
a sufficiently small loss, then we have weighted smoothing for the Schrödinger
propagator with a loss. Let \(\rho_s\) be a smooth, non-vanishing weight function satisfying

\[\rho_s(x) \equiv \langle d_g(x, x_0) \rangle^{-s}, \]

for some fixed \(x_0\) and \(x\) outside a compact set.

**Theorem 1.** Suppose for each compactly supported function \(\chi \in C_c^\infty(M)\) with
sufficiently small support, there is \(h_0 > 0\) such that the semi-classical Laplace-
Beltrami operator satisfies

\[\|\chi(-h^2\Delta - E)^{-1}\chi u\|_{L^2(M)} \leq \frac{g(h)}{h} \|u\|_{L^2(M)}, \quad E > 0\]

uniformly in \(0 < h \leq h_0\), where \(g(h) \geq c_0 > 0\), \(g(h) = o(h^{-1})\). Then for each
\(T > 0\) and \(s > 1/2\), there is a constant \(C = C_{T,s} > 0\) such that

\[\int_0^T \left\|\rho_s e^{it\Delta} u_0\right\|_{H^{1/2-s}(M)}^2 dt \leq C \|u_0\|_{L^2(M)}^2,\]

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where \( \eta \geq 0 \) satisfies
\[
g(h)h^{2\eta} = \mathcal{O}(1),
\]
and \( \rho_s \) is given by (1.1).

The assumption that \((M, g)\) is asymptotically Euclidean is that there exists \( R_0 > 0 \) sufficiently large that, on each infinite branch of \( M \setminus B(0, R_0) \), the semiclassical Laplacian \(-h^2 \Delta\) takes the form
\[
-h^2 \Delta |_{M \setminus B(0, R_0)} = \sum_{|\alpha| \leq 2} a_\alpha(x, h)(hD_x)\alpha,
\]
with \( a_\alpha(x, h) \) independent of \( h \) for \( |\alpha| = 2 \),
\[
\sum_{|\alpha| = 2} a_\alpha(x, h)(hD_x)\alpha \geq C^{-1}|\xi|^2, \quad 0 < C < \infty,
\]
and
\[
\sum_{|\alpha| \leq 2} a_\alpha(x, h)(hD_x)\alpha \to |\xi|^2, \quad \text{as } |x| \to \infty \text{ uniformly in } h.
\]

In order to quote the results of [NoZw] we also need the following analyticity assumption: \( \exists \theta_0 \in [0, \pi) \) such that the \( a_\alpha(x, h) \) are extend holomorphically to
\[
\{ r\omega : \omega \in \mathbb{C}^n, \ \text{dist}(\omega, S^n) < \epsilon, \ r \in \mathbb{C}, \ |r| \geq R_0, \ \text{arg} \ r \in [-\epsilon, \theta_0 + \epsilon) \}.
\]

As in [NoZw], the analyticity assumption immediately implies
\[
\partial^\beta_x \left( \sum_{|\alpha| \leq 2} a_\alpha(x, h)\xi^\alpha - |\xi|^2 \right) = o(|x|^{-|\beta|}) \langle \xi \rangle^2, \quad |x| \to \infty.
\]

Recall the free Laplacian \((-\Delta_0 - \lambda^2)^{-1}\) on \( \mathbb{R}^n \) has a holomorphic continuation from \( \text{Im } \lambda > 0 \) to \( \lambda \in \mathbb{C} \) for \( n \geq 3 \) odd, and to the logarithmic covering space for \( n \) even. This motivates the limiting absorption assumption, that
\[
\lim_{\epsilon \to 0^+, \lambda \neq 0} \rho_s(-\Delta - (\lambda^2 + i\epsilon))^{-1}\rho_s
\]
exists as a bounded operator
\[
L^2(M, d\text{vol}_g) \to L^2(M, d\text{vol}_g),
\]
provided \( s > 1/2 \). As in the free case, we allow a possible logarithmic singularity at \( \lambda = 0 \).

The problem of “local smoothing” estimates for the Schrödinger equation has a long history. The sharpest results to date are those of Doi [Doi] and Burq [Bur]. Doi proved if \( M \) is asymptotically Euclidean, then one has the estimate
\[
(1.5) \quad \int_0^T \| \chi e^{it\Delta} u_0 \|_{H^{1/2}(M)}^2 dt \leq C \| u_0 \|_{L^2(M)}^2
\]
for \( \chi \in C_c^\infty(M) \) if and only if there are no trapped sets. Burq’s paper showed if there is trapping due to the presence of several convex obstacles in \( \mathbb{R}^n \) satisfying certain assumptions, then one has the estimate (1.5) with the \( H^{1/2} \) norm replaced by \( H^{1/2-\eta} \) for \( \eta > 0 \). In [Chr3], the author considered an arbitrary, single trapped hyperbolic orbit. One of the goals of this paper is to use estimates obtained by Nonnenmacher-Zworski [NoZw] for fractal hyperbolic trapped sets to obtain similar results to [Chr3] for the semilinear Schrödinger equation. To that end we have the following corollary to Theorem 1.
Corollary 1.1. Assume \((M, g)\) admits a hyperbolic fractal trapped set, \(K_E\), in the energy level \(E > 0\) and that the topological pressure \(P_E(1/2) < 0\). Then \(-h^2\Delta - E\) satisfies \(\frac{1}{2}\) for some \(E > 0\) with \(g(h) = C\log(1/h)\), and for every \(\eta > 0\), \(T > 0\), and \(s > 1/2\), there exists a constant \(C = C_{P_E, \eta, T, s} > 0\) such that
\[
\int_0^T \|\rho_x e^{it\Delta} u_0\|_{L^{1/2}}^2 dt \leq C \|u_0\|_{L^2(M)}^2.
\]

We remark that the assumption \(P_E(1/2) < 0\) implies the trapped set \(K_E\) is filamentary or “thin” (see [NoZw] for definitions).

We consider the following semilinear Schrödinger equation problem:
\[
\begin{aligned}
\left\{ \begin{array}{ll}
i\partial_t u + \Delta u = F(u) & \text{on } I \times M; \\
u(0, x) = u_0(x), & \end{array} \right.
\end{aligned}
\]
where \(I \subset \mathbb{R}\) is an interval containing 0. Here the nonlinearity \(F\) satisfies
\[
F(u) = G'(|u|^2)u,
\]
and \(G : \mathbb{R} \to \mathbb{R}\) is at least \(C^3\) and satisfies
\[
|G^{(k)}(r)| \leq C_k \langle r \rangle^{\beta - k},
\]
for some \(\beta \geq \frac{3}{2}\).

In [K] we prove a family of Strichartz-type estimates which will result in the following well-posedness theorem.

Theorem 2. Suppose \((M, g)\) satisfies the assumptions of the introduction, and set
\[
\delta = \frac{4\eta}{2\eta + 1} \geq 0.
\]
Then for each
\[
s > \frac{n}{2} - \frac{2}{\max\{2\beta - 2, 2\}} + \delta
\]
and each \(u_0 \in H^s(M)\) there exists \(p > \max\{2\beta - 2, 2\}\) and \(0 < T \leq 1\) such that \(u \in C([-T, T]; H^s(M)) \cap L^p([-T, T]; L^\infty(M))\).

Moreover, the map \(u_0(x) \mapsto u(t, x) \in C([-T, T]; H^s(M))\) is Lipschitz continuous on bounded sets of \(H^s(M)\), and if \(\|u_0\|_{H^s}\) is bounded, \(T\) is bounded from below.

If, in addition, \((M, g)\) satisfies the assumptions of Corollary \(\mathbb{L}\) \(n \leq 3, \beta < 3,\) and \(G(r) \to +\infty\) as \(r \to +\infty\), then \(u\) in \(\mathbb{L}\) extends to a solution
\[
u \in C((0, \infty); H^1(M)) \cap L^p((0, \infty); L^\infty(M)).
\]

Remark 1.2. In particular, the cubic defocusing non-linear Schrödinger equation is globally \(H^1\)-well-posed in three dimensions with a fractal trapped hyperbolic set which is sufficiently filamentary. Of course other nonlinearities can be considered, but for simplicity we consider only these in this work.

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2. Proof of Theorem 1

Since we are assuming \((-\Delta - z)^{-1}\) obeys a limiting absorption principle, we have
\[\|\rho_s(-\Delta - (\tau - i\epsilon))^{-1}\rho_s\|_{L^2 \to L^2} \leq C_\epsilon\]
for \(0 < \epsilon_0 \leq |\tau| \leq C\). For \(|\sigma| \geq C\) for some \(C > 0\), \(\sigma \in \mathbb{C}\) in a neighbourhood of the real axis, write
\[\Delta - \sigma = \frac{-\Delta - z}{h^2} = h^{-2}(-h^2\Delta - z),\]
for
\[z \in [E - \alpha, E + \alpha] + i[-\epsilon h, \epsilon h].\]

Now \((-h^2\Delta - z)\)
is a Fredholm operator for \(z\) in the specified range, and hence the “gluing” techniques from [Vod] and [Chr3 §2] can be used to conclude for \(s > 1/2\),
\[\rho_s(-h^2\Delta - z)^{-1}\rho_s\]
has a holomorphic extension to a slightly smaller neighbourhood in \(z\), and in particular,
\[\|\rho_s(-h^2\Delta - E)^{-1}\rho_s\|_{L^2 \to L^2} \leq C\frac{g(\langle \tau \rangle)}{h}.\]

Rescaling, we have
\[\|\rho_s(-\Delta - \tau)^{-1}\rho_s\|_{L^2 \to L^2} \leq C\frac{g(\langle \tau \rangle^{1/2})}{\langle \tau \rangle^{1/2}}, \quad \tau \in \mathcal{C}_{\pm \epsilon},\]
where (see Figure 1)
\[\mathcal{C}_{\pm \epsilon} = \{\tau \in \mathbb{R} : |\tau| \geq \epsilon\} \cup \{\tau \in \mathbb{C} : |\tau| = \epsilon, \pm \Im \tau \geq 0\}.\]

As in [Chr3] and [Bur], the following lemma follows from integration by parts and interpolation, together with the condition on \(\eta_\epsilon\).

**Lemma 2.1.** With the notation and assumptions above, we have
\[\|\rho_s(-\Delta - \tau)^{-1}\rho_s\|_{L^2 \to H^1} \leq C\sqrt{g(\langle \tau \rangle)}, \quad \tau \in \mathcal{C}_{\pm \epsilon},\]
and for every $r \in [-1, 1]$,
\[ \|\rho_s(-\Delta - \tau)^{-1}\rho_s\|_{H^r \to H^{1+r-n/2}} \leq C, \quad \tau \in C_{\pm \epsilon}. \]

Theorem 1 now follows from the standard “TT∗” argument, letting $\epsilon \to 0$ in (2.1) (see [BGT2], the references cited therein, and [Chr3]). □

The following Corollary uses interpolation with an $H^2$ estimate to replace the $H^{1/2-\eta}$ norm on the left hand side of (1.3) with $H^{1/2}$, and will be of use in §3. See [Chr3] for the details of the proof.

**Corollary 2.2.** Suppose $(M, g)$ satisfies the assumptions of Theorem 1. For each $T > 0$ and $s > 1/2$, there is a constant $C > 0$ such that
\[ \int_0^T \|\rho_s e^{it\Delta} u_0\|^2_{H^{1/2}(M)} dt \leq C \|u_0\|^2_{H^s(M)}, \]
where $\delta \geq 0$ is given by (1.7).

In particular, if $(M, g)$ satisfies the assumptions of Corollary 1.1, then for any $\delta > 0$, there is $C = C_\delta > 0$ such that (2.2) holds.

### 3. Strichartz-type Inequalities

In this section we give several families of Strichartz-type inequalities and prove Theorem 2. The statements and proofs are mostly adaptations of similar inequalities in [BGT2], so we leave out the proofs of these in the interest of space.

If we view $M \setminus U$, where $U$ is a neighbourhood of $K_E$, as a manifold with non-trapping geometry, we may apply the results of [HTW] or [BoTz] to a solution of the Schrödinger equation away from the trapping region, resulting in perfect Strichartz estimates. For this section we need (1.3) only with a compact cutoff $\chi$ instead of with the more general weight $\rho_s$.

**Proposition 3.1.** For every $0 < T \leq 1$ and each $\chi \in C^\infty_c(M)$ satisfying $\chi \equiv 1$ near $U$, there is a constant $C > 0$ such that
\[ \|((1-H\chi)u)\|_{L^p([0,T])W^{s,q}(M)} \leq C \|u_0\|_{H^{s}(M)}, \]
where $u = e^{it\Delta} u_0$, $s \in [0, 1]$, and $(p, q)$, $p > 2$ satisfy
\[ \frac{2}{p} + \frac{n}{q} = \frac{n}{2}. \]

**Remark 3.2.** In the sequel, wherever unambiguous, we will write $L^p_T W^{s,q} := L^p([0,T])W^{s,q}(M)$ and $H^s := H^s(M)$.

**Proposition 3.3.** Suppose $(M, g)$ satisfies the assumptions of the Introduction, $u = e^{it\Delta} u_0$, and
\[ v = \int_0^t e^{i(t-\tau)\Delta} f(\tau)d\tau. \]

Then for each $0 < T \leq 1$ and $\delta \geq 0$ satisfying (1.7), we have the estimates
\[ \|u\|_{L^p_T W^{s-\delta,q}} \leq C \|u_0\|_{H^s}. \]
and

\[ \|v\|_{L^p_tW^{s-\delta,q}_x} \leq C\|f\|_{L^1_tH^s}, \]

where \( s \in [0,1] \) and \((p,q), p > 2\) satisfy the Euclidean scaling

\[ \frac{2}{p} + \frac{n}{q} = \frac{n}{2}. \]  

The proof uses a local WKB expansion localized also in time to the scale of inverse frequency, followed by summing over frequency bands (see [Chr3] and [BGT1]). The only difference here is the explicit dependence of \( \delta \) on \( \eta \), which is related to the growth of the function \( g(h) \).

**Proof of Theorem**. The proof of Theorem 2 is a slight modification of the proof of Proposition 3.1 in [BGT1], but we include it here in the interest of completeness. Fix \( s \) satisfying 1.8 and choose \( p > \max\{2\beta - 2, 2\} \) satisfying

\[ s > \frac{n}{2} - \frac{2}{p} + \delta \geq \frac{n}{2} - \frac{1}{\max\{2\beta - 2, 2\}} \]

where \( \delta \geq 0 \) satisfies (1.7). Set \( \sigma = s - \delta \) and

\[ Y_T = C([-T,T]; H^s(M)) \cap L^p([-T,T]; W^{\sigma,q}(M)) \]

for

\[ \frac{2}{p} + \frac{n}{q} = \frac{n}{2}, \]

equipped with the norm

\[ \|u\|_{Y_T} = \max_{|t| \leq T} \|u(t)\|_{H^s(M)} + \|u\|_{L^p_tW^{s,q}_x}. \]

Let \( \Phi \) be the nonlinear functional

\[ \Phi(u) = e^{it\Delta}u_0 - i \int_0^t e^{i(t-\tau)\Delta} F(u(\tau)) d\tau. \]

If we can show that \( \Phi : Y_T \to Y_T \) and is a contraction on a ball in \( Y_T \) centered at 0 for sufficiently small \( T > 0 \), this will prove the first assertion of the Proposition, along with the Sobolev embedding

\[ W^{\sigma,q}(M) \subset L^\infty(M), \]

since \( \sigma > n/q \). From Proposition 3.3, we bound the \( W^\sigma \) part of the \( Y_T \) norm by the \( H^s \) norm, giving

\[ \|\Phi(u)\|_{Y_T} \leq C \left( \|u_0\|_{H^s} + \int_{-T}^T \|F(u(\tau))\|_{H^s} d\tau \right) \]

\[ \leq C \left( \|u_0\|_{H^s} + \int_{-T}^T \|(1 + |u(\tau)|)^{2\beta - 2}\|_{L^\infty} \|u(\tau)\|_{H^s} d\tau \right), \]

where the last inequality follows by our assumptions on the structure of \( F \). Applying Hölder’s inequality in time with \( \tilde{p} = p/(2\beta - 2) \) and \( \tilde{q} \) satisfying

\[ \frac{1}{\tilde{q}} + \frac{1}{\tilde{p}} = 1 \]
which, for $T > 0$ sufficiently small gives the Lipschitz continuity.

If $(M, g)$ satisfies the assumptions of Corollary 11.1, $n \leq 3$, $\beta < 3$, and $G(r) \to +\infty$ as $r \to +\infty$, we can take $s$ and $p$ satisfying $p > \max\{2\beta - 2, 2\}$ and

$$ s > \frac{n}{2} - \frac{2}{p} + \delta \geq \frac{n}{2} - \frac{2}{\max\{2\beta - 2, 2\}}, $$

for any $\delta > 0$. Then $\sigma = s - \delta > q/n$ and the preceding argument holds. Finally, the proof of the global well-posedness now follows from the standard global well-posedness arguments from, for example, [Caz] Chapter 6. \hfill \Box

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