

A spectral gap for the transfer operator on complex projective spaces

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(joint work with Tien-Cuong Dinh)

CNRS and Université de Lille

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Laboratoire
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Context

- $\mathbb{P}^k = \mathbb{P}^k(\mathbb{C})$, f endomorphism ($k = 1$: rational map)
- for simplicity, no *critical periodic points* (generic condition)

Goal

Given $\phi: \mathbb{P}^k \rightarrow \mathbb{R}$ (or \mathbb{C}), understand the *Perron-Frobenius (transfer) operator*

$$\mathcal{L}_\phi(g)(y) = \sum_{f(x)=y} e^{\phi(x)} g(x) \quad \text{for } g: \mathbb{P}^k \rightarrow \mathbb{R} \text{ or } \mathbb{C}$$

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More precise goal (A)

Find a Banach space $(E, \|\cdot\|)$ such that $\mathcal{L}_\phi: E \rightarrow E$

- has a *spectral gap*
- is analytic in ϕ ($t \mapsto \mathcal{L}_{\phi+t\psi}$ is analytic in t , as operators $E \rightarrow E$)

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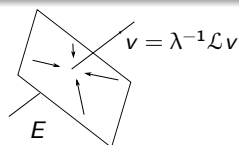
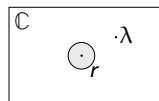
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$\lambda^{-n} \mathcal{L}^n(g) \rightarrow c_g v$ exponentially fast ($\sim (r/\lambda)^n$)

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$$\mathcal{L}_\phi^n(g)(y) = \sum_{f^n(x)=y} e^{\phi(x)+\phi(f(x))+\dots+\phi(f^{n-1}(x))} g(x)$$

(One) motivation

Problem

Describe orbits of points (in the Julia set)

Deterministic point of view: essentially impossible!

Probabilistic point of view

Given a measure ν , study the sequence of *random variables*

$$u, u \circ f, u \circ f^2, \dots$$

for $u: \mathbb{P}^k \rightarrow \mathbb{R}$ (observable) of some regularity

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- ν invariant $\Leftrightarrow U_i := u \circ f^i$ are identically distributed
- The U_i 's are not independent, but how close are they to a sequence of independent random variables?

Goal

Prove that U_i 's are *essentially independent* for many natural invariant measures: central limit theorem, deviation theorems...

The equilibrium measure μ ($\phi = 0$; $\mathcal{L} = f_*$)

Lyubich, Freire-Lopes-Mañé '83 for $k = 1$, Fornaess-Sibony '94, Briend-Duval '00

$\exists!$ measure μ of maximal *entropy*, and μ is such that $f^*\mu = d^k\mu$

Statistical properties for u Hölder continuous

Exponential mixing/decay of correlation, Central Limit Theorem (Dinh-Sibony '02-'10)

Almost Sure Invariant Principle, law of Iterated Logarithms, ASCLT (Dupont '10)

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Essentially *ad hoc* proofs for the statistical properties

More precise goal (B)

- Obtain these (and other) properties for more general measures, and
- Obtain this by a single approach

Goals

(B)

- Statistical properties for more general measures than μ
- Unified approach

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Statistical properties of a random variable X with respect to an invariant measure ν

\Leftrightarrow

$t \mapsto \mathbb{E}(e^{tX})$ with respect to ν ,
i.e., $t \mapsto \langle e^{tX}, \nu \rangle$

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Nagaev, Guivarc'h; Baladi, Gouëzel, Liverani...

Statistical properties of X are encoded in the coefficients of the Taylor expansion of $t \mapsto \mathbb{E}(e^{tX})$

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A larger class of invariant measures

$$\phi = 0 \quad : \quad f^* \mu = d^k \mu \quad \Rightarrow \quad f_* \mu = \mu$$

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Conformal measure(s)

m_ϕ is a *conformal measure* if it is an eigenvalue for \mathcal{L}^* : $\exists \lambda$ such that $\mathcal{L}^* m_\phi = \lambda m_\phi$

$$\exists \lambda \in \mathbb{R}, \rho: \mathbb{P}^k \rightarrow \mathbb{R} : \forall g \in \mathcal{C}^0: \frac{\mathcal{L}^n g(y)}{\lambda^n} \rightarrow c_g \rho \Leftrightarrow \forall v: \frac{\mathcal{L}^{*n} v}{\lambda^n} \rightarrow m_\phi$$

Then

- m_ϕ is a conformal measure, $c_g = \langle m_\phi, g \rangle$, and $\mathcal{L}(\rho) = \lambda \rho$
- $\mu_\phi := \rho m_\phi$ is an invariant measure.

A larger class of invariant measures

$$\begin{aligned} \phi = 0 & : & f^* \mu = d^k \mu & \Rightarrow & f_* \mu = \mu \\ \phi: \mathbb{P}^k & \rightarrow \mathbb{R} \end{aligned}$$

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Then

- m_ϕ is a conformal measure, $c_g = \langle m_\phi, g \rangle$, and $\mathcal{L}(\rho) = \lambda \rho$
- $\mu_\phi := \rho m_\phi$ is an invariant measure. More precisely, an *equilibrium state*

Equilibrium state(s)

- Pressure $P(\phi) = \max_\nu \{h_\nu + \int \phi \nu\}$, where h_ν is the metric entropy of the invariant measure ν .
- μ_ϕ is an *equilibrium state* for ϕ if $P(\phi) = h_{\mu_\phi} + \int \phi \mu_\phi$.

Statistical properties for equilibrium states

$$\begin{aligned} \langle e^{tS_n(u)} h, \mu_\phi \rangle &= \langle e^{tS_n(u)} h, \rho m_\phi \rangle = \langle \lambda^{-n} \mathcal{L}_\phi^n (\rho e^{tS_n(u)} h), m_\phi \rangle \\ &= \langle \rho \lambda^{-n} \mathcal{L}_{\phi+tu}^n (h), m_\phi \rangle = \langle \lambda^{-n} \mathcal{L}_{\phi+tu}^n (h), \rho m_\phi \rangle = \langle \lambda^{-n} \mathcal{L}_{\phi+tu}^n (h), \mu_\phi \rangle \end{aligned}$$

Statistical properties of a random variable u with respect to the invariant measure μ_ϕ (when this exists...)

\Leftrightarrow

Taylor coefficients of $t \mapsto \langle \lambda^{-n} \mathcal{L}_{\phi+tu}^n h, \mu_\phi \rangle$ (if they exist...)

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$t \mapsto \mathcal{L}_{\phi+tu}$ analytic and has a spectral gap on some $(E, \|\cdot\|)$

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$t \mapsto \mathcal{L}_{\phi+tu}$ analytic and has a spectral gap on some $(E, \|\cdot\|)$

- what is λ ? What is the regularity of ρ ?
- How do they depend on ϕ ?
- $\|\lambda^{-n} \mathcal{L}^n g - c_g \rho\|_? \rightarrow 0$
- $\lambda^{-1} \mathcal{L}$ contraction for $\|\cdot\|_{??}$

Theorem 1 (B.-Dinh)

$\phi: \mathbb{P}^k \rightarrow \mathbb{R}$, \log^p -continuous for some $p > 2$, $\Omega(\phi) < \log d$. $\exists \lambda \in \mathbb{R}$, $\rho: \mathbb{P}^k \rightarrow \mathbb{R}$ such that

$$\frac{\mathcal{L}_\phi^n g}{\lambda^n} \rightarrow c_g \rho \quad \forall g: \mathbb{P}^k \rightarrow \mathbb{R}$$

In particular, $\exists!$ conformal measure $m_\phi = \lambda^{-1} \mathcal{L}^* m_\phi$, equilibrium state $\mu_\phi = \rho m_\phi$

- ϕ Holder: Denker-Urbanski, Przytycki '90-'91 ($k = 1$), Urbanski-Zdunik '13 ($k \geq 1$)
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Classical method

- find λ as an eigenvalue of \mathcal{L}^* (Schauder-Tikhonov Theorem)
- study the sequence \mathcal{L}^n/λ^n and prove *almost periodicity*
- converging subsequences $\Rightarrow \rho \Rightarrow m_\phi, \mu_\phi$

Here

- We want to find λ *intrinsically*, as part of our method
- More flexible approach: replace all distortion estimates by a *unique, global estimate*

Theorem 2 (B.-Dinh) - New for all $k \geq 1$, even for ϕ smooth

For all $q > 0, \gamma \leq 2$ there exist norms $\|\cdot\|_\infty + \|\cdot\|_{\log^q} \leq \|\cdot\|_{\diamond_1} \simeq \|\cdot\|_{\diamond_2} \leq \|\cdot\|_{C^\gamma}$ depending on f such that when $\|\phi\|_{\diamond_2} < \infty$

- 1 there exists $\beta = \beta(\|\phi\|_{\diamond_2}) < 1$ such that:

$$\|\lambda^{-1} \mathcal{L}_\phi g - \langle m_\phi, g \rangle \rho\|_{\diamond_1} \leq \beta \|g - \langle m_\phi, g \rangle \rho\|_{\diamond_1}$$

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Consequence (A \Rightarrow B)

When $\|\phi\|, \|u\|_{\diamond_2} < \infty$, the sequence $u \circ f^n$ is *almost like* iid random variables on (\mathbb{P}^k, μ_ϕ) : strong ergodic properties (exponential mixing, mixing of all orders, K mixing), Central Limit Theorem, Berry-Esseen Theorem, local Central Limit Theorem, Almost Sure Central Limit Theorem, Large Deviation Theorem and Principle, Almost Sure Invariant Principle, Law of iterated logarithms.

- Related results: Denker-Przytycki-Urbanski, Haydn, Smirnov, Makarov, Ruelle, Rivera-Letelier, Li... ($k = 1$); Fornaess-Sibony, Dinh-Nguyen-Sibony, Szostakiewicz-Urbanski-Zdunik... ($k \geq 1$)
- Almost all statistical properties new for $k > 1$, many already for $k = 1$ and/or $\phi = 0$. All new for all $k \geq 1$ for non-Hölder continuous u or ϕ .

Theorem 1

$\phi: \mathbb{P}^k \rightarrow \mathbb{R}$, \log^p -continuous for some $p > 2$, $\Omega(\phi) < \log d$. $\exists \lambda \in \mathbb{R}$, $\rho: \mathbb{P}^k \rightarrow \mathbb{R}$ such that

$$\frac{\mathcal{L}_\phi^n g}{\lambda^n} \rightarrow c_g \rho \quad \forall g: \mathbb{P}^k \rightarrow \mathbb{R}$$

In particular, $\exists!$ conformal measure $m_\phi = \lambda^{-1} \mathcal{L}^* m_\phi$, equilibrium state $\mu_\phi = \rho m_\phi$

Theorem 2

For all $q > 0, \gamma \leq 2$ there exist norms $\|\cdot\|_\infty + \|\cdot\|_{\log^q} \leq \|\cdot\|_{\diamond_1} \simeq \|\cdot\|_{\diamond_2} \leq \|\cdot\|_{C^\gamma}$ depending on f such that when $\|\phi\|_{\diamond_2} < \infty$

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Hölder and \log^q -continuous functions

$$\begin{aligned}\phi \in \mathcal{C}^\gamma &\Leftrightarrow \Omega(\phi, r) \lesssim r^\gamma \\ \phi \in \log^q &\Leftrightarrow \Omega(\phi, r) \lesssim |\log r|^{-q}\end{aligned}$$

Viewpoint from interpolation theory:

$$\phi = \phi_\epsilon^1 + \phi_\epsilon^2, \quad \|\phi_\epsilon^2\|_\infty < \epsilon, \quad \boxed{\|\phi_\epsilon^1\|_{\mathcal{C}^2} < ??}$$

$$\begin{aligned}\phi \in \mathcal{C}^\gamma &\iff \|\phi_\epsilon^1\|_{\mathcal{C}^2} \lesssim (1/\epsilon)^{2/\gamma} \\ \phi \in \log^q &\iff \|\phi_\epsilon^1\|_{\mathcal{C}^2} \lesssim e^{(1/\epsilon)^{1/q}}\end{aligned}$$

We will need *summable errors* $\Rightarrow \epsilon = 1/j^2$

$\Rightarrow q > 2$: ϕ can be approximated with functions $\phi_j := \phi_{1/j}^1$ whose \mathcal{C}^2 norms diverge *sub-exponentially* in j

Idea of the method

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Here

- We want to find λ *intrinsically*, as part of our method
- We just normalize (for g positive) by $\int \mathcal{L}^n g \text{ Leb}$, or $\min \mathcal{L}^n g$, and we will see the exponential behaviour later.

For simplicity: $\phi \in \mathcal{C}^2, g = \mathbb{1}$. Denote $\mathbb{1}_n := \mathcal{L}^n \mathbb{1}$ and $\mathbb{1}_n^* = \mathbb{1}_n / \min \mathbb{1}_n$.

Idea

We prove that $\max \mathbb{1}_n^* = \max \mathbb{1}_n / \min \mathbb{1}_n$ is bounded

Method: finding λ

Idea

We prove that $\max \mathbb{1}_n^* = \max \mathbb{1}_n / \min \mathbb{1}_n$ is bounded

Then:

$$\left\{ \begin{array}{l} \max \mathbb{1}_{n+m} \leq \max \mathbb{1}_n \cdot \max \mathbb{1}_m \\ \min \mathbb{1}_{n+m} \geq \min \mathbb{1}_n \cdot \min \mathbb{1}_m \\ \max \mathbb{1}_n / \min \mathbb{1}_n \leq C \end{array} \right. \Rightarrow \lambda := \inf_n (\max \mathbb{1}_n)^{1/n} := \sup_n (\min \mathbb{1}_n)^{1/n}$$

To bound \max / \min , we bound $\Omega / \min = (\max - \min) / \min$

We need to bound $\Omega(\mathbb{1}_n^*)$

Bounding the oscillation ($k = 1$ for simplicity)

Bound on $dd^c \Rightarrow$ bound on oscillation

Lemma (Heuristic version)

$dd^c g \leq dd^c h$ then $\Omega(g, r) \lesssim \Omega(h, r)$.

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Lemma (More precise version)

- $\Omega(g, r) \lesssim \Omega(h, \sqrt{r}) + A\sqrt{r}$.
- if $dd^c g_n \leq R$ with continuous potentials, then the family g_n is equicontinuous.

Here we want

$$dd^c \mathbb{1}_n^* \leq R$$

for some uniform R , for which we control the regularity of the potential

Bounding the oscillation of $\mathbb{1}_n^*$

Development of $\mathbb{1}_n$

$$dd^c \mathbb{1}_n = dd^c \left(\sum_{f^n(x)=y} e^{\phi + \phi(f(x)) + \dots + \phi(f^{n-1}(x))} \mathbb{1} \right)$$

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\vdots (more complicated with g, ϕ less regular)

$$\begin{aligned} dd^c \mathbb{1}_n^* &\lesssim \sum_{j=0}^n \left(\frac{e^{\Omega(\phi)}}{d} \right)^j \Omega(\mathbb{1}_{n-j}^*) \|\phi\|_{C^2} f_*^{j-1} \text{Leb} \\ &\lesssim \sum_{j=0}^{\infty} \left(\frac{e^{\Omega(\phi)}}{d} \right)^j f_*^{j-1} \text{Leb} \end{aligned}$$

Ok for mass. We still need to estimate the oscillation of the potential of the RHS. But what is this potential?

(Dynamical) potentials

$$\text{Leb} = \mu + dd^c u_0 \quad f_*^j \text{Leb} = \mu + dd^c u_j$$

- $-u_0$ is the Green function, which is γ -Hölder.
- Up to a Hölder continuous function, the potential of

$$\sum_{j=0}^{\infty} \left(\frac{e^{\Omega(\phi)}}{d} \right)^j f_*^{j-1} \text{Leb} \quad \text{is given by} \quad \sum_{j=0}^n \left(\frac{e^{\Omega(\phi)}}{d} \right)^j u_j$$

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Lemma

- 1 u_j is $\gamma/2^j$ Hölder.
- 2 $\|u_j\|_{\infty} \lesssim d^n / \delta^n$ for all $\delta < d$.

$$\begin{aligned} \Rightarrow \sum_{j=0}^{\infty} \left(\frac{e^{\Omega(\phi)}}{d} \right)^j u_j &\in \log^p \quad \forall p \\ \Rightarrow \|\mathbb{1}_n^*\|_{\log^p} &< C_p \quad \forall n, p \end{aligned}$$

When ϕ is not \mathcal{C}^2

$$\phi \in \log^q \Rightarrow \begin{cases} \phi = \phi_j^1 + \phi_j^2 \\ \|\phi_j^2\|_\infty \leq 1/j^2 \\ \|\phi_j^1\|_{\mathcal{C}^2} \leq e^{j^{2/q}} \leftarrow \text{sub-exponential} \end{cases}$$

$$dd^c \mathbb{1}_n^* \lesssim \sum_{j=1}^n \left(\frac{e^{\Omega(\phi)}}{d} \right)^j \Omega(\mathbb{1}_{n-j}^*) \|\phi_j^1\|_{\mathcal{C}^2} f_*^{j-1} \text{Leb}$$

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Second (and main) goal: find a norm so that this convergence becomes a contraction in a suitable space of functions.

Norm and spectral gap

First consider the case $\phi = 0$

DSH norm (Dinh-Sibony)

$\|g\|_{DSH} = \min \|R^+\|$, where $dd^c g = R^+ - R^-$, R^\pm positive measures

Then

$$\left\| \frac{f_* g}{d} \right\|_{DSH} \leq \frac{1}{d} \|f_* R^+ - f_* R^-\| = \frac{1}{d} \|g\|_{DSH}$$

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Here, if we try to do the same

$$dd^c \mathcal{L}_\phi(g) \sim \sum_{f(x)=y} e^{\phi(x)} dd^c g + g dd^c \phi e^\phi + e^\phi \partial g \bar{\partial} \phi + e^\phi \partial \phi \bar{\partial} g$$

$$dd^c \mathcal{L}_\phi^n(g) \sim \dots$$

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- The operator dd^c is complex (commutes with f_*). Here non complex perturbation ($f_*(e^\phi \cdot)$). No way to keep complex norm like DSH even if ϕ is smooth.
- Serious problem for norm is given by mixed terms.
- f_* does not work well with Hölder, so need weaker.

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Idea 0

Use a norm with bound on dd^c + regularity; then obtain spectral gap on "real" norm by *interpolation*. We use *pluripotential theory* to study the norm with dd^c .

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Idea 1

Use something like $\|\cdot\|_p \doteq \|\cdot\|_{DSH} + \|\cdot\|_{\log^p}$ ($\|\nu\|_p \doteq \|\nu\|_* + \|\nu_\nu\|_{\log^p}$ for measures)

$$\|\cdot\|_p \doteq \|\cdot\|_{DSH} + \|\cdot\|_{\log^p}$$

Lemma

$$\|\partial g \wedge \bar{\partial} h\|_p \leq \|g\|_p \|h\|_p$$

$$\|\cdot\|_p := \|\cdot\|_{DSH} + \|\cdot\|_{\log^p}$$

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... but other problems: loss of regularity!

$$\frac{dd^c \mathbb{1}_n}{\lambda^n} \lesssim \left(\frac{e^{\Omega(\phi)}}{d}\right)^n f_*^n dd^c g + \sum_{j=1}^n \left(\frac{e^{\Omega(\phi)}}{d}\right)^j \left\| \frac{\mathcal{L}^{n-j} g}{\lambda^{n-j}} \right\|_{\infty} f_*^{j-1} dd^c \phi + \dots$$

The potential of the RHS is

$$\left(\frac{e^{\Omega(\phi)}}{d}\right)^n f_*^n g + \sum_{j=1}^n \left(\frac{e^{\Omega(\phi)}}{d}\right)^j \left\| \frac{\mathcal{L}^{n-j} g}{\lambda^{n-j}} \right\|_{\infty} f_*^{j-1} \phi + \dots \in ???$$

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Lemma

$$\|d^{-j} f_*^j \phi\|_{\log^p} \leq c_p(A) A^n \|\phi\|_{\log^p}$$

for all $A > 1$

Theorem

$\|\phi\|_p < \infty$ then $\|f_*^j \phi / d^j\|_{\infty} \rightarrow 0$
exponentially (precise bounds).

$$\Rightarrow \left(\frac{e^{\Omega(\phi)}}{d}\right)^n f_*^n g + \sum_{j=1}^n \left(\frac{e^{\Omega(\phi)}}{d}\right)^j \left\| \frac{\mathcal{L}^{n-j} g}{\lambda^{n-j}} \right\|_{\infty} f_*^j \phi \in \log^q \text{ for some explicit } q < p$$

\Rightarrow convergence $\|\lambda^{-n} \mathcal{L}_\phi^n g\|_q \rightarrow 0$, uniform in g , but no spectral gap yet!

Idea 2: a dynamical norm

Definition

$$\|R\|_{\alpha,p} := \min c : R \leq c \sum_j \alpha^j f_*^j S \text{ for some } \|S\|_p \leq 1.$$

By definition: $\|f_* R\|_{\alpha,p} \leq \frac{1}{\alpha} \|R\|_{\alpha,p}$

$$\begin{aligned} \Rightarrow & \left\| \left(\frac{e^{\Omega(\Phi)}}{d} \right)^n f_*^n dd^c g + \sum_{j=1}^n \left(\frac{e^{\Omega(\Phi)}}{d} \right)^j \left\| \frac{\mathcal{L}^{n-j} g}{\lambda^{n-j}} \right\|_{\infty} f_*^{j-1} dd^c \phi \right\|_{\alpha,p} \\ & \leq \left(\frac{e^{\Omega(\Phi)}}{\alpha d} \right)^n \|dd^c g\|_{\alpha,p} + \sum_{j=1}^n \left(\frac{e^{\Omega(\Phi)}}{\alpha d} \right)^j \left\| \frac{\mathcal{L}^{n-j} g}{\lambda^{n-j}} \right\|_{\infty} \|dd^c \phi\|_{\alpha,p} \\ & \leq c_n \|dd^c g\|_{\alpha,p} \rightarrow 0! \end{aligned}$$

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Where is the problem?

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Where is the problem? We did not consider the mixed terms!

The problem of the mixed terms

Definition

$$\|g\|_{\alpha,p} := \|dd^c g\| := \min c : dd^c g \leq c \sum_j \alpha^j f_j^* S \text{ for some } \|S\|_p \leq 1.$$

Then we have

$$dd^c(gh) = gdd^c h + hdd^c g + i\partial g \wedge \bar{\partial} h + i\partial h \wedge \bar{\partial} g$$

$$\|dd^c gh\|_{\alpha,p} \leq \|g\|_{\infty} \|dd^c h\|_{\alpha,p} + \|h\|_{\infty} \|dd^c g\|_{\alpha,p} + \|i\partial g \wedge \bar{\partial} h + i\partial h \wedge \bar{\partial} g\|_{\alpha,p}$$

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Modified definition

$$\|g\|_{\alpha,p}^2 := \|i\partial g \wedge \bar{\partial} g\| := \min c : i\partial g \wedge \bar{\partial} g \leq c \sum_j \alpha^j f_*^j S, \|S\|_p \leq 1.$$

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- ok for mixed terms
- still good shifting property (less direct)
- spectral gap

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Main issue... all the method was based on the

Lemma

$$dd^c g \leq dd^c h \Rightarrow \Omega(g, r) \lesssim \Omega(h, r)$$

We need

Lemma

$$\partial g \wedge \bar{\partial} g \leq dd^c h \Rightarrow \Omega(g, r) \lesssim \Omega(h, r)$$

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- ok for mixed terms
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Lemma

$$\partial g \wedge \bar{\partial} g \leq dd^c h \Rightarrow \Omega(g, r) \lesssim \Omega(h, r)$$

Much more involved but true!

Spectral gap(s) by interpolation

We have a spectral gap for the norm $\|g\|_{\alpha,p}^2 := \|\partial g \wedge \bar{\partial} g\|_{\alpha,p}$
 \Rightarrow We build a γ -Hölder-like norm from $\|\cdot\|_{\alpha,p}$:

Definition

$$\|g\|_{\alpha,p,\gamma} := \min c : \forall 0 < \epsilon < 1 : \begin{cases} g = g_\epsilon^1 + g_\epsilon^2 \\ \|g_\epsilon^2\|_\infty \leq c\epsilon \\ \|g_\epsilon^1\|_{\alpha,p} \leq c(1/\epsilon)^{1/\gamma} \end{cases}$$

- $\log^q \leq \|\cdot\|_{\alpha,p,\gamma} \leq \|\cdot\|_{\mathcal{C}^\gamma}$
- Interpolation techniques (all the method is stable under "sub-exponential perturbations"):

Spectral gap for $\|\cdot\|_{\alpha,p,\gamma} \lesssim \mathcal{C}^\gamma$

Thank you for your attention!