

Appendix A

A.1 Convergence of Set Sequences

In this section we collect some facts on the convergence of a sequence of closed sets A_n to A , typically the sets will be spectra of operators and therefore be subsets of \mathbb{R}_+ or \mathbb{C} . Nevertheless, we need also a weighted distance, so we formulate this chapter in terms of a complete metric space (M, d) and assume $A_n, A \subset M$. We denote the open and closed metric balls by

$$B_\eta(x) := \{y \in M \mid d(x, y) < \eta\} \quad \text{and} \quad \overline{B}_\eta(x) := \{y \in M \mid d(x, y) \leq \eta\}.$$

Moreover, for a set $B \subset M$ and $a \in M$, we define the distance of a to B by

$$d(a, B) := \inf_{b \in B} d(a, b) \in [0, \infty]. \quad (\text{A.1})$$

Note that if B is compact, then the minimum is achieved, and we can replace \inf by \min .

Definition A.1.1. We define the myemphmaximal outside distance of A to B by

$$d_+(A, B) := \sup_{a \in A} d(a, B) \in [0, \infty].$$

Moreover, the *maximal inside distance* of A to B is given by

$$d_-(A, B) := d_+(B, A).$$

Finally, the *Hausdorff distance* of A and B is defined by

$$d(A, B) := \max\{d_+(A, B), d_-(A, B)\}.$$

The proof of the following proposition is standard:

Proposition A.1.2. *We have $d_{\pm}(A, B) = d_{\pm}(\overline{A}, \overline{B})$ and $d(A, B) = d(\overline{A}, \overline{B})$. Moreover, the Hausdorff distance is indeed a metric on the space*

$$\mathcal{K}(M) := \{K \subset M \mid K \text{ compact}\}.$$

If (M, d) is complete, so is $(\mathcal{K}(M), d)$.

Note that the maximal outside and inside distances are *not* symmetric: Assume that A, B are compact. Then $d_+(A, B) = 0$ is equivalent to $A \subset B$, i.e. the maximal outside distance of A to B does not see points in $B \setminus A$, and similarly for d_- .

Lemma A.1.3. *Let $\eta \geq 0$. We have the following equivalent characterisations for compact subsets $A, B \subset M$:*

$$\begin{aligned} d_+(A, B) \leq \eta & \Leftrightarrow \forall a \in A \exists b \in B: d(a, b) \leq \eta, \\ d_-(A, B) \leq \eta & \Leftrightarrow \forall b \in B \exists a \in A: d(a, b) \leq \eta. \end{aligned}$$

Note that this characterisation allows to define maps $f_\eta: A \rightarrow B$ and $g_\eta: B \rightarrow A$ such that $d(a, f_\eta(a)) \leq \eta$ and $d(b, g_\eta(b)) \leq \eta$. This point of view is useful when comparing two different metric spaces A, B in the *Gromov-Hausdorff distance* (see e.g. [Ka02, Ka06]).

Definition A.1.4. Let $A_n, A \in \mathcal{K}(M)$ be compact subsets of M .

1. A_n converges from outside to A ($A_n \searrow A$) if $d_+(A_n, A) \rightarrow 0$.
2. A_n converges from inside to A ($A_n \nearrow A$) if $d_-(A_n, A) \rightarrow 0$.
3. A_n converges to A ($A_n \rightarrow A$) if $d(A_n, A) \rightarrow 0$.

Remark A.1.5. Again, we warn from taking the terminology too literally: if $A_n \subset A$, then $d_+(A_n, A) = 0$, i.e. a sequence A_n *inside* A converges from outside to A , and similarly for d_- . In particular, if $A_n \searrow A$ converges from outside, then the limit can *suddenly expand*. For example, if $A_n = A_0 \subsetneq A$, then $d_+(A_n, A) = 0$. The convergence from outside does not note what happens *inside* A . Similarly, if $A_n \nearrow A$ converges from inside, then the limit can *suddenly collapse*. For example, if $A_n = A_0 \supsetneq A$, then $d_-(A_n, A) = 0$. The convergence from inside does not note what happens *outside* A . Nevertheless, if $A_n \rightarrow A$ (i.e. A_n converges to A in Hausdorff distance), the limit A cannot either expand nor collapse.

Let us give an element-wise characterisation of the convergence from inside and outside. Recall that an assertion (A_n) holds *eventually* if there exists $n_0 \in \mathbb{N}$ such that (A_n) holds for all $n \geq n_0$. Similarly, (A_n) holds *infinitely often* if for all $n_0 \in \mathbb{N}$ there exists $n \geq n_0$ such that (A_n) holds.

Proposition A.1.6. *Assume that M is a compact metric space. Let $A_n, A \in \mathcal{K}(M)$ be closed subsets. Then the following conditions are equivalent:*

$$\begin{aligned}
A_n \searrow A &\Leftrightarrow \forall x \in M \setminus A \exists \eta > 0: B_\eta(x) \cap A_n = \emptyset \text{ eventually,} \\
A_n \nearrow A &\Leftrightarrow \forall a \in A \exists a_n A_n: d(a_n, a) \rightarrow 0.
\end{aligned}$$

Proof. Assume that $A_n \searrow A$ then $d(a_n, A) \rightarrow 0$. Let $x \notin A$. Since A^c is open, there exists $\eta > 0$ such that $B_{2\eta}(x) \cap A = \emptyset$. Now, if $a_n \in B_\eta(x) \cap A_n$ infinitely often, then

$$d(a, a_n) \geq d(a, x) - d(x, a_n) > 2\eta - \eta = \eta$$

for all $a \in A$, i.e. $d(a_n, A) \geq \eta$, contradicting $d(a_n, A) \rightarrow 0$.

For the opposite direction, assume that $A_n \searrow A$ is not true, i.e. there exists $\eta > 0$ and a sequence $a_n \in A_n$ such that $d(a_n, A) \geq \eta$ infinitely often. Since M is compact, we can extract a convergence sub-sequence $a_{n_k} \rightarrow x$. In particular, $d(x, A) \geq \eta$, thus $x \in M \setminus A$. From the assumption, we have $B_\eta(x) \cap A_n = \emptyset$ eventually, in contradiction to $a_{n_k} \rightarrow x$.

The second equivalence is simpler: The convergence $A_n \nearrow A$ is equivalent to $d(a, A_n) \rightarrow 0$ *uniformly* in $a \in A$. In particular, the pointwise convergence $d(a, A_n) \rightarrow 0$ for all $a \in A$ follows. For the opposite direction, we use again the compactness of M in order to obtain the *uniform* convergence. \square

A.2 Estimates on Abstract Fibred Spaces

In this section, we develop an abstract framework in order to prove Sobolev trace theorems and related estimates on graphs and manifolds. In the abstract setting, we consider (weakly) differentiable functions on an interval with values in a Hilbert space. We allow the Hilbert spaces along the interval to vary, and define abstractly (*warped*) *products* and spaces close to (*warped*) products. All relevant examples are covered, e.g., the Sobolev trace estimate for a manifold with boundary or estimates on cone-like manifolds. Our approach here is related (at least formally) to [B89, GG91], as well as to the abstract approach to so-called “Dirac systems” in [BBC08]. There are also relations to “half-line boundary triples” introduced in Sect. 3.5.

A.2.1 Vector-Valued Integrals

Let us start with some facts about vector-valued integrals. More details can be found e.g. in [Y80, GG91]. Let (M, μ) be a measure space and \mathcal{X} a Banach space. A function $u: M \rightarrow \mathcal{X}$ is said to be *weakly measurable* if $\varphi \circ u: M \rightarrow \mathbb{C}$, $s \mapsto \varphi(u(s))$, is measurable for all $\varphi \in \mathcal{X}^*$ in the dual space. A function $u: M \rightarrow \mathcal{X}$ is said to be a *step function* if its range $\text{ran } u = u(M)$ is finite, say, $u(M) = \{x_1, \dots, x_k\}$; and if $\mu(u^{-1}(x_i)) < \infty$ for all $i = 1, \dots, k$, provided $x_i \neq 0$. A function $u: M \rightarrow \mathcal{X}$ is said to be *strongly measurable* if there is a sequence of step functions $u_n: M \rightarrow \mathcal{X}$ (an *approximating sequence*) such that $\|u_n(s) - u(s)\| \rightarrow 0$ for μ -almost all $s \in S$. By Pettis’ theorem, a weakly

measurable function is strongly measurable provided \mathcal{X} is separable (or at least if the closed subspace generated by $\text{ran } u$ is separable). In our application below, \mathcal{X} will be a separable Hilbert space. Moreover, we use the case $\mathcal{X} = \mathcal{L}(\mathcal{H})$ and $u(s) = -\varphi(s)(H - s)^{-1}$ for a closed operator H (see Theorems 3.3.6 and 3.3.20). Note that in the latter situation, the closed subspace generated by the range of u is an abelian sub-algebra of $\mathcal{L}(\mathcal{H})$ and therefore separable.

For strongly measurable functions, the vector-valued integral is defined in the obvious way. A function $u: M \rightarrow \mathcal{X}$ is said to be *Bochner-integrable*, if u is strongly measurable (with approximating sequence u_n) and if $\int_M \|u(s) - u_n(s)\| d\mu(s) \rightarrow 0$. It can be seen that the definition of the integral in the next theorem is independent of the approximating sequence (two approximating sequences can be combined into a single approximating sequence). By Bochner's theorem, a strongly measurable function is Bochner-integrable iff $s \rightarrow \|u(s)\|$ is integrable:

Theorem A.2.1 (Bochner). *Let (M, μ) be a measure space, and \mathcal{X} a Banach space. Assume that $u: M \rightarrow \mathcal{X}$ is strongly measurable. Then u is (Bochner-) integrable iff*

$$\int_M \|u(s)\| d\mu(s) < \infty. \quad (\text{A.2})$$

In particular, if the integrability condition (A.2) is fulfilled, then the vector-valued integral

$$\int_M u(s) d\mu(s) := \lim_{n \rightarrow \infty} \sum_{x \in \text{ran } u_n \setminus \{0\}} \mu(u_n^{-1}(x))x \in \mathcal{X}$$

exists in the norm-topology on \mathcal{X} , where u_n is an approximating sequence. Moreover,

$$\left\| \int_M u(s) d\mu(s) \right\| \leq \int_M \|u(s)\| d\mu(s).$$

Let now $\mathcal{X} = \mathcal{H}_0$ be a (separable) Hilbert space. Then weakly measurable functions are strongly measurable. Moreover, we have a vector-valued generalisation of the Cauchy-Schwarz inequality, namely

$$\left| \left\langle \int_M u(s) d\mu(s), \int_M v(s) d\mu(s) \right\rangle_{\mathcal{H}_0} \right| \stackrel{\text{CS}}{\leq} \int_M \|u(s)\|_{\mathcal{H}_0} \|v(s)\|_{\mathcal{H}_0} d\mu(s), \quad (\text{A.3})$$

provided the RHS is finite, i.e. $u, v \in \mathbf{L}_2(M, \mathcal{H}_0)$. Here, $\mathbf{L}_2(M, \mathcal{H}_0)$ is the space of (equivalence classes of) measurable functions $u: M \rightarrow \mathcal{H}_0$ such that

$$\|u\|_{\mathbf{L}_2(M, \mathcal{H}_0)}^2 := \int_M \|u(s)\|_{\mathcal{H}_0}^2 d\mu(s) < \infty.$$

In particular, $\mathbf{L}_2(M, \mathcal{H}_0)$ is a Hilbert space with inner product

$$\langle u, v \rangle_{\mathbf{L}_2(M, \mathcal{H}_0)} := \int_M \langle u(s), v(s) \rangle_{\mathcal{H}_0} d\mu(s) = \left\langle \int_M u(s) d\mu(s), \int_M v(s) d\mu(s) \right\rangle_{\mathcal{H}_0}.$$

Here, the latter equality is true since the Bochner integral commutes with (bounded) linear operators. Note that $L_2(M, \mathcal{H}_0)$ is also unitarily equivalent with $L_2(M) \otimes \mathcal{H}_0$ and with the direct integral $\int_M^\oplus \mathcal{H}_0 d\mu(s)$ with constant fibre, see the next subsection.

Moreover, in the vector-valued case, we also have a “scalar-vector” version of the Cauchy-Schwarz inequality, namely

$$\left\| \int_M f(s)u(s) d\mu(s) \right\|_{\mathcal{H}_0}^2 \stackrel{\text{CS}}{\leq} \int_M |f(s)|^2 d\mu(s) \int_M \|u(s)\|_{\mathcal{H}_0}^2 d\mu(s) \quad (\text{A.4})$$

for $f \in L_2(M, \mathbb{C})$ and $u \in L_2(M, \mathcal{H}_0)$.

A.2.2 Fibred Spaces Over an Interval

Assume that $I \subset \mathbb{R}$ is an interval and that $\mathcal{H}(s)$ is a family of separable Hilbert spaces based on the same vector space \mathcal{H}_0 (i.e. $\mathcal{H}(s) = \mathcal{H}_0$ as vector space). It is unimportant whether we choose I to be open or closed, since individual points are not seen by the Lebesgue measure ds . We assume that $\mathcal{H}(s)$ is measurable, i.e. that $s \mapsto \|u_0\|_{\mathcal{H}(s)}^2$ is measurable for all $u_0 \in \mathcal{H}_0$. We set

$$\mathcal{H}(I) = \int_I^\oplus \mathcal{H}(s) ds$$

(for an abstract definition of the direct integral of Hilbert spaces $\int_I^\oplus \mathcal{H}(s) ds$, we refer e.g. to [Di69] or [RS80, Sec. XIII.16]). Equivalently, we can define $\mathcal{H}(I)$ as the completion of the space of continuous functions $\mathbf{C}(I, \mathcal{H}_0)$ under the norm $\|\cdot\|_{\mathcal{H}(I)}$, where

$$\|u\|_{\mathcal{H}(I)}^2 := \int_I \|u(s)\|_{\mathcal{H}(s)}^2 ds < \infty.$$

Similarly, we define a fibred Sobolev space $\mathcal{H}^1(I)$ as the completion of the space of functions $\mathbf{C}^1(I, \mathcal{H}_0)$ under the norm $\|\cdot\|_{\mathcal{H}^1(I)}$, where

$$\|u\|_{\mathcal{H}^1(I)}^2 := \int_I (\|u(s)\|_{\mathcal{H}(s)}^2 + \|u'(s)\|_{\mathcal{H}(s)}^2) ds < \infty.$$

We denote by $\mathcal{H}^k(s_0, s_1)$ the corresponding space $\mathcal{H}^k(I)$ with $I = (s_0, s_1)$. Note that

$$I_1 \subset I_2 \quad \text{implies} \quad \|u\|_{\mathcal{H}^k(I_1)} \leq \|u\|_{\mathcal{H}^k(I_2)}. \quad (\text{A.5})$$

Since the Hilbert spaces $\mathcal{H}(s)$ and \mathcal{H}_0 differ only in their inner product, there exists a positive operator-valued, measurable function $s \mapsto A(s)$ such that

$$\|u_0\|_{\mathcal{H}(s)}^2 = \langle u_0, u_0 \rangle_{\mathcal{H}(s)} = \langle u_0, A(s)u_0 \rangle_{\mathcal{H}_0}$$

for all $u_0 \in \mathcal{H}_0$ and almost all $s \in I$ with respect to the Lebesgue measure. Moreover, there exist measurable functions $\rho_{\pm}: I \rightarrow (0, \infty)$ such that

$$\rho_{-}(s)\|u_0\|_{\mathcal{H}_0}^2 \leq \|u_0\|_{\mathcal{H}(s)}^2 \leq \rho_{+}(s)\|u_0\|_{\mathcal{H}_0}^2$$

for almost all $s \in I$ and all $u_0 \in \mathcal{H}_0$. For example, we can choose $\rho_{-}(s) := \inf \sigma(A(s))$ and $\rho_{+}(s) := \sup \sigma(A(s))$.

We will now make more assumptions on the functions ρ_{\pm} .

Definition A.2.2.

1. We say that the fibred space $\mathcal{H}(I)$ is an *almost warped product* if there is a function ρ called *distortion function* and constants $\kappa_{\pm} > 0$ such that

$$\kappa_{-}\rho(s) \leq \rho_{-}(s) \quad \text{and} \quad \rho_{+}(s) \leq \kappa_{+}\rho(s)$$

i.e.

$$\kappa_{-}\rho(s)\|u(s)\|_{\mathcal{H}_0}^2 \leq \|u(s)\|_{\mathcal{H}(s)}^2 \leq \kappa_{+}\rho(s)\|u(s)\|_{\mathcal{H}_0}^2 \quad (\text{A.6a})$$

for almost all $s \in I$ and all $u_0 \in \mathcal{H}_0$. We call $\rho_{\infty} := \kappa_{+}/\kappa_{-}$ the *global relative distortion*.

2. We say that $\mathcal{H}(I)$ is a *warped product* if it is an almost warped product with relative distortion $\rho_{\infty} = 1$, i.e. if $\rho_{-}(s) = \rho_{+}(s) =: \rho(s)$, or equivalently, $A(s) = \rho(s) \text{id}_{\mathcal{H}_0}$, or, what is the same,

$$\|u_0\|_{\mathcal{H}(s)}^2 = \rho(s)\|u_0\|_{\mathcal{H}_0}^2 \quad (\text{A.6b})$$

for all $u_0 \in \mathcal{H}_0$. We call ρ (resp. ρ_{\pm}) the (*upper/lower*) *distortion function*.

The case when the distortion functions are constant deserves a special name:

Definition A.2.3.

1. We say that $\mathcal{H}(I)$ is an *almost product* if it is an almost warped product with *constant* functions ρ_{\pm} , i.e. $\rho_{\pm}(s) = \rho_{\pm,0}$ for almost all $s \in I$. In this case, $\rho_{\infty} = \rho_{+,0}/\rho_{-,0}$.
2. We say that the fibred space $\mathcal{H}(I)$ is a *product* if it is an almost product with relative distortion $\rho_{\infty} = 1$, i.e. $\|u_0\|_{\mathcal{H}(s)}^2 = \|u_0\|_{\mathcal{H}_0}^2$. In this case,

$$\mathcal{H}(I) = \mathbf{L}_2(I, \rho_0 \mathcal{H}_0) \cong \mathbf{L}_2(I) \otimes \rho_0 \mathcal{H}_0$$

where ρ_0 denotes the constant value of the distortion function ρ and $\rho_0 \mathcal{H}_0$ is the Hilbert space \mathcal{H}_0 with norm defined by $\|u_0\|_{\rho_0 \mathcal{H}_0}^2 := \rho_0 \|u_0\|_{\mathcal{H}_0}^2$.

On an (almost) product $\mathcal{H}(I)$, the identification operator from $\mathcal{H}(I)$ onto $\mathbf{L}_2(I) \otimes \rho_0 \mathcal{H}_0$ resp. $\mathbf{L}_2(I) \otimes \rho_{\pm,0} \mathcal{H}_0$ defines a bijective isomorphism resp. an isometry. By suitably inserting the distortion functions ρ_{\pm} into the inequality (A.4), we can

extend the inequality to (almost) warped products, as we will do in the following lemma:

Lemma A.2.4. *Assume that $\mathcal{H}(I)$ is an almost warped product and that $s_0 < s_1 < s_2$ where $s_i \in \bar{I}$. If $u \in \mathcal{H}^1(I)$ with $u(s_2) = 0$, then*

$$\|u(s_1)\|_{\mathcal{H}(s_1)}^2 \leq \rho_\infty \eta_1(s_1, s_2) \|u'\|_{\mathcal{H}(s_1, s_2)}^2, \quad (\text{A.7a})$$

$$\|u\|_{\mathcal{H}(s_0, s_1)}^2 \leq \rho_\infty \eta_2(s_0, s_1, s_2) \|u'\|_{\mathcal{H}(s_0, s_2)}^2, \quad (\text{A.7b})$$

where

$$\eta_1(s_1, s_2) := \rho(s_1) \int_{s_1}^{s_2} \frac{1}{\rho(s)} ds \quad \text{and} \quad \eta_2(s_0, s_1, s_2) := \int_{s_0}^{s_1} \eta_1(t, s_2, \rho) dt.$$

Proof. By a density argument, we can assume that u is of class C^1 . Then we have

$$u(t) = - \int_t^{s_2} u'(s) ds.$$

Using the Cauchy-Schwarz inequality for vector-valued integrals (A.4) we obtain

$$\begin{aligned} \|u(t)\|_{\mathcal{H}(t)}^2 &\stackrel{\text{CS}}{\leq} \int_t^{s_2} \frac{\kappa + \rho(t)}{\kappa - \rho(s)} ds \int_t^{s_2} \frac{\kappa - \rho(s)}{\kappa + \rho(t)} \|u'(s)\|_{\mathcal{H}(t)}^2 ds \\ &\leq \rho_\infty \int_t^{s_2} \frac{\rho(t)}{\rho(s)} \int_t^{s_2} \|u'(s)\|_{\mathcal{H}(s)}^2 ds \end{aligned}$$

using (A.6a) and the first estimate follows for $t = s_1$. The existence of the vector-valued integral $u(t)$ is guaranteed once the integrals on the RHS are finite (cf. Theorem A.2.1). The second estimate follows by integrating over t from s_0 to s_1 and using the monotonicity of the norms (A.5). \square

Remark A.2.5. Note that the condition $u(s_2) = 0$ is well-defined for functions in $\mathcal{H}^1(I)$ by a similar argument as above.

If u does not vanish at s_2 , we can argue as follows.

Proposition A.2.6. *Assume that $\mathcal{H}(I)$ is an almost warped product and that $u \in \mathcal{H}^1(s_0, s_2)$, then*

$$\begin{aligned} \|u(s_1)\|_{\mathcal{H}(s_1)}^2 &\leq 2\rho_\infty \widetilde{\eta}_1(s_1, s_2, \chi) \|u'\|_{\mathcal{H}(s_1, s_2)}^2 + 2\rho_\infty \widetilde{\eta}_1(s_1, s_2, \chi') \|u\|_{\mathcal{H}(s_1, s_2)}^2, \\ \|u\|_{\mathcal{H}(s_0, s_1)}^2 &\leq 2\rho_\infty \widetilde{\eta}_2(s_0, s_1, s_2, \chi) \|u'\|_{\mathcal{H}(s_0, s_2)}^2 + 2\rho_\infty \widetilde{\eta}_2(s_0, s_1, s_2, \chi') \|u\|_{\mathcal{H}(s_0, s_2)}^2, \end{aligned}$$

where

$$\tilde{\eta}_1(s_1, s_2, \chi) := \rho(s_1) \int_{s_1}^{s_2} \frac{|\chi(s)|^2}{\rho(s)} ds, \quad \tilde{\eta}_2(s_0, s_1, s_2, \chi) := \int_{s_0}^{s_1} \eta_1(t, s_2, \chi, \rho) dt,$$

and where χ is a Lipschitz function such that $\chi(s) = 1$ for $s_0 \leq s \leq s_1$ and $\chi(s_2) = 0$.

Proof. Set $\tilde{u} := \chi u$. Then \tilde{u} fulfils the assumptions of Lemma A.2.4. Moreover $u(t) = \tilde{u}(t)$ for $t \in [s_0, s_1]$. We start with

$$\|u(t)\|_{\mathcal{H}(t)}^2 \leq 2 \left\| \int_t^{s_2} \chi(s) u'(s) ds \right\|_{\mathcal{H}(t)}^2 + 2 \left\| \int_t^{s_2} \chi'(s) u(s) ds \right\|_{\mathcal{H}(t)}^2,$$

and argue then as in the proof of Lemma A.2.4. The last estimate follows as before by integration. \square

Let us now fix the cut-off function $\chi = \chi_a$: Assume that $0 < a \leq s_2 - s_1$. Denote by χ_a the continuous, piecewise affine linear function given by

$$\chi_a(s) = \begin{cases} 1, & \text{for } s_0 \leq s \leq s_1, \\ 1 - a^{-1}(s - s_1), & \text{for } s_1 \leq s \leq s_1 + a, \\ 0, & \text{for } s_1 + a \leq s \leq s_2. \end{cases} \quad (\text{A.8})$$

We obtain the following corollary. For the definitions of the functions η_1 and η_2 see Lemma A.2.4.

Corollary A.2.7. *Assume that $\mathcal{H}(I)$ is an almost warped product. If $u \in \mathcal{H}^1(s_0, s_2)$ then*

$$\|u(s_1)\|_{\mathcal{H}(s_1)}^2 \leq 2\rho_\infty \eta_1(s_1, s_1 + a) \left(\|u'\|_{\mathcal{H}(s_1, s_2)}^2 + \frac{1}{a^2} \|u\|_{\mathcal{H}(s_1, s_2)}^2 \right) \quad (\text{A.9a})$$

$$\leq \frac{2\rho_\infty \eta_1(s_1, s_1 + a)}{\min\{1, a^2\}} \|u\|_{\mathcal{H}^1(s_1, s_2)}^2 \quad (\text{A.9a}')$$

for $0 < a \leq s_2 - s_1$ and $a \leq 1$. Moreover,

$$\|u\|_{\mathcal{H}(s_0, s_1)}^2 \leq 2\rho_\infty \eta_2(s_0, s_1, s_1 + a) \left(\|u'\|_{\mathcal{H}(s_0, s_2)}^2 + \frac{1}{a^2} \|u\|_{\mathcal{H}(s_0, s_2)}^2 \right) \quad (\text{A.9b})$$

$$\leq \frac{2\rho_\infty \eta_2(s_0, s_1, s_1 + a)}{\min\{1, a^2\}} \|u\|_{\mathcal{H}^1(s_0, s_2)}^2. \quad (\text{A.9b}')$$

Proof. The result follows from Proposition A.2.6 by simply estimating $|\chi_a(s)| \leq 1$ and $|\chi'_a(s)| = 1/a$ for $s_1 \leq s \leq s_1 + a$. \square

If $\mathcal{H}(I)$ is an almost product, we have the following estimate:

Corollary A.2.8. *Assume that $\mathcal{H}(I)$ is an almost product. If $u \in \mathcal{H}^1(s_0, s_2)$ then*

$$\|u(s_1)\|_{\mathcal{H}(s_1)}^2 \leq \rho_\infty \left(a \|u'\|_{\mathcal{H}(s_1, s_2)}^2 + \frac{2}{a} \|u\|_{\mathcal{H}(s_1, s_2)}^2 \right) \quad (\text{A.10})$$

$$\leq \frac{2\rho_\infty}{\min\{1, (s_2 - s_1)\}} \|u\|_{\mathcal{H}^1(s_1, s_2)}^2 \quad (\text{A.10}')$$

for $0 < a \leq s_2 - s_1$ and $a \leq 1$.

Proof. Again, the result follows from Proposition A.2.6 by evaluating the integrals $\tilde{\eta}_i$ for χ_a . \square

Remark A.2.9. Note that the estimate (A.7a) is optimal in the following sense: Assume that $\mathcal{H}(I)$ is a warped product and that $u(s) = \left(\int_{s_1}^{s_2} \rho(s) ds\right)^{-1} \varphi_0$ with $\|\varphi_0\|_{\mathcal{H}_0} = 1$, i.e. u is constant and $\|u\|_{\mathcal{H}(s_1, s_2)} = 1$. Moreover, assume that $\chi'(s) < 0$ for all $s_1 \leq s \leq s_2$. Then we have

$$1 = |\chi(s_2) - \chi(s_1)|^2 = \left(\int_{s_1}^{s_2} |\chi'(s)| ds \right)^2 \stackrel{\text{CS}}{\leq} \int_{s_1}^{s_2} \rho(s) ds \int_{s_1}^{s_2} \frac{|\chi'(s)|^2}{\rho(s)} ds.$$

If the distortion function is $\rho(s) = -\chi'(s) = |\chi'(s)|$, then we have equality in the Cauchy-Schwarz inequality, and in particular,

$$\|u(s_1)\|_{\mathcal{H}(s_1)}^2 = \frac{\rho(s_1)}{\int_{s_1}^{s_2} \rho(s) ds} = \rho(s_1) \int_{s_1}^{s_2} \frac{|\chi'(s)|^2}{\rho(s)} ds = \tilde{\eta}_1(s_1, s_2, \chi') \|u\|_{\mathcal{H}(s_1, s_2)}^2$$

by the above equality of Cauchy-Schwarz, the definition of $\tilde{\eta}_1$ and the fact that u is normalised on $\mathcal{H}(s_1, s_2)$. Therefore, estimate (A.7a) is optimal. A similar remark holds for the other estimates.

Let us now fix a normalised vector $\varphi_0 \in \mathcal{H}_0$. Denote by $P_0 u_0 := \langle \varphi_0, u_0 \rangle_{\mathcal{H}_0} \varphi_0$ the corresponding orthogonal projection onto the subspace $\mathbb{C}\varphi_0$. In our applications later on, φ_0 will be an eigenvector associated with the lowest eigenfunction of an operator K on \mathcal{H}_0 . For a warped product, the projection is independent of s :

Lemma A.2.10. *Let $\mathcal{H}(I)$ be a warped product. Then $\varphi_0 \neq 0$ in $\mathcal{H}(s)$ for almost all $s \in I$, and $\varphi_s := \varphi_0 / \|\varphi_0\|_{\mathcal{H}(s)} = \rho(s)^{-1/2} \varphi_0$ is normalised in \mathcal{H}_0 . Moreover, P_0 is also the orthogonal projection onto φ_s in the Hilbert space $\mathcal{H}(s)$. In particular,*

$$\|P_0 u_0\|_{\mathcal{H}(s)}^2 \stackrel{\text{CS}}{\leq} \|u_0\|_{\mathcal{H}(s)}^2$$

for $u_0 \in \mathcal{H}(s) = \mathcal{H}_0$.

Proof. We have $\|\varphi_0\|_{\mathcal{H}(s)}^2 = \rho(s) \|\varphi_0\|_{\mathcal{H}_0}^2 = \rho(s) > 0$ for almost all $s \in I$; in particular, $\varphi_0 \neq 0 \in \mathcal{H}(s)$. Moreover, the orthogonal projection onto φ_s in $\mathcal{H}(s)$

is given by

$$\langle \varphi_s, u_0 \rangle_{\mathcal{H}(s)} \varphi_s = \rho(s)^{-1} \langle \varphi_0, u_0 \rangle_{\mathcal{H}(s)} \varphi_0 = \langle \varphi_0, u_0 \rangle_{\mathcal{H}_0} \varphi_0 = P_0 u_0.$$

The last estimate follows from Cauchy-Schwarz. \square

Proposition A.2.11. *Let $\mathcal{H}(I)$ be a warped product. Then*

$$\begin{aligned} \rho(s_1) \|P_0 u(s_2) - P_0 u(s_1)\|_{\mathcal{H}_0}^2 &= \rho(s_1) \left| \langle \varphi_0, u(s_2) \rangle_{\mathcal{H}_0} - \langle \varphi_0, u(s_1) \rangle_{\mathcal{H}_0} \right|^2 \\ &\leq \eta_1(s_1, s_2) \|u'\|_{\mathcal{H}(s_1, s_2)}^2 \end{aligned}$$

for $u \in \mathcal{H}^1(I)$.

Proof. We have

$$\begin{aligned} \left\| \langle \varphi_0, u(s_2) - u(s_1) \rangle_{\mathcal{H}_0} \varphi_0 \right\|_{\mathcal{H}_0}^2 &\stackrel{\text{CS}}{\leq} \|u(s_2) - u(s_1)\|_{\mathcal{H}_0}^2 \\ &= \left\| \left\langle \varphi_0, \int_{s_1}^{s_2} u'(s) ds \right\rangle_{\mathcal{H}_0} \varphi_0 \right\|_{\mathcal{H}_0}^2 \\ &\stackrel{\text{CS}}{\leq} \int_{s_1}^{s_2} \frac{1}{\rho(s)} ds \int_{s_1}^{s_2} \|u'(s)\|_{\mathcal{H}_0}^2 \rho(s) ds \end{aligned}$$

using Cauchy-Schwarz for vector-valued integrals (A.4) for the second inequality. The result follows by the definition of η_1 in Lemma A.2.4. \square

A.2.3 Examples: Cones and Cylinders

We will give now some special cases coming from a warped product metric on a manifold as applied in Chap. 6. Denote by $X = I \times_s Y$ the warped product of $I = [0, \ell]$ and the compact Riemannian manifold Y with radius function $r: I \rightarrow (0, \infty)$, i.e. X is equipped with the metric $g = ds^2 + r(s)^2 h$, where h is the metric on Y (see Definition 5.3.2). Then we have

$$\|u\|_{L_2(X, g)}^2 = \int_I \|u(s)\|_{L_2(Y, h)}^2 r(s)^m ds.$$

In particular, $L_2(X, g) = \mathcal{H}(I)$ is a warped product with distortion function $\rho(s) = r(s)^m$ and fibre Hilbert space $\mathcal{H}_0 = L_2(Y, h)$.

For the next corollary, assume that r is constant, say $r = 1$.

Corollary A.2.12 (Product). *Assume that $I = [0, \ell]$ and $X = I \times Y$ with product metric $g = ds^2 + h$. Then $\mathcal{H}(I)$ is a product (in the sense of Definition A.2.3). Moreover,*

$$\|u(0, \cdot)\|_{L_2(Y)}^2 \leq a\|u'\|_{L_2(X)}^2 + \frac{2}{a}\|u\|_{L_2(X)}^2 \leq \frac{2}{\min\{1, \ell\}}\|u\|_{H^1(X)}^2 \quad (\text{A.11})$$

for all $0 < a \leq \min\{1, \ell\}$ and $u \in H^1(X)$.

Proof. The result follows from Corollary A.2.8. Note that $H^1(X) \subset \mathcal{H}^1(I)$ since

$$\|u\|_{\mathcal{H}^1(I)}^2 = \|u\|_{L_2(X)}^2 + \|u'\|_{L_2(X)}^2 \leq \|u\|_{L_2(X)}^2 + \|u'\|_{L_2(X)}^2 + \|\mathbf{d}_Y u\|_{L_2(X)}^2 = \|u\|_{H^1(X)}^2$$

for $u \in H^1(X)$. \square

We return to the abstract framework, and calculate the functions η_1, η_2 of Lemma A.2.4 for special choices of the distortion function $\rho = r^m$. Let us first define some universal functions occurring in the estimates later on. *Universal* refers here to the fact that the functions depend only on the parameter m .

Definition A.2.13. We set

$$p_m(\tau) := \frac{1}{1-\tau} \int_{\tau}^1 u^m du \quad \text{and} \quad \widetilde{p}_m(\tau) := \frac{1}{1-\tau} \int_{\tau}^1 p_m(t) dt.$$

We have the following properties of the functions p_m and \widetilde{p}_m :

Lemma A.2.14.

1. We have

$$p_m(\tau) = \begin{cases} \frac{1}{m+1} \sum_{i=0}^m \tau^i, & \text{if } m \geq 0, \\ -\frac{\log \tau}{1-\tau}, & \text{if } m = -1, \end{cases}$$

and

$$\widetilde{p}_m(\tau) = \begin{cases} \frac{1}{m+1} \sum_{i=0}^m \frac{1}{i+1} \sum_{j=0}^i \tau^j, & \text{if } m \geq 0, \\ \frac{\text{dilog } \tau + \tau(1 - \log \tau) - 1}{1-\tau} & \text{if } m = -1, \end{cases}$$

where $\text{dilog } \tau := \int_1^{\tau} \frac{\log t}{1-t} dt$. Moreover, p_m and \widetilde{p}_m are polynomials of degree indicated by the subscript (for non-negative subscripts) with continuous extension $p_m(1) = 1$ and $\widetilde{p}_m(1) = 1$. In addition, p_{-1} and \widetilde{p}_{-1} extend to an analytic functions also in $\tau = 1$ by setting $p_{-1}(1) := 1$ and $\widetilde{p}_{-1}(1) := 1$.

2. For $0 < \tau \leq 1$ and $m \geq 0$, we have

$$\frac{1}{m+1} \leq p_m(\tau), \quad \widetilde{p}_m(\tau) \leq 1, \quad -\log \tau \leq p_{-1}(\tau) \leq 1 - \log \tau.$$

Moreover, we have the asymptotic behaviour

$$\begin{aligned} p_m(\tau) &\sim_0 \frac{1}{m+1}, & p_{-1}(\tau) &\sim_0 -\log \tau, \\ \tilde{p}_m(\tau) &\sim_0 \frac{1}{m+1} \sum_{i=0}^m \frac{1}{i+1}, & \tilde{p}_{-1}(\tau) &\sim_0 \frac{\pi^2}{6} - 1, \end{aligned}$$

at $\tau = 0$. Here, $f(\tau) \sim_a g(\tau)$ means that $\lim_{\tau \rightarrow a} f(\tau)/g(\tau) = 1$.

3. For $1 \leq \tau$ and $m \geq 0$, we have

$$\frac{\tau^m}{m+1} \leq p_m(\tau) \leq \tau^m, \quad \frac{\tau^m}{(m+1)^2} \leq \tilde{p}_m(\tau) \leq \tau^m.$$

In addition, we have

$$\begin{aligned} p_m(\tau) &\sim_\infty \frac{\tau^m}{m+1}, & p_{-1}(\tau) &\sim_\infty \frac{\log \tau}{\tau}, \\ \tilde{p}_m(\tau) &\sim_\infty \frac{\tau^m}{(m+1)^2} & \tilde{p}_{-1}(\tau) &\sim_\infty \log \tau. \end{aligned}$$

Proof. The properties follow by direct calculation, e.g., for $\tau \neq 1$ and $m > -1$, we have

$$p_m(\tau) = \frac{1}{1-\tau} \int_1^{1/\tau} \frac{1}{t^{m+2}} dt = \frac{1}{(m+1)} \cdot \frac{1-\tau^{m+1}}{1-\tau} = \frac{1}{m+1} \sum_{i=0}^m \tau^i$$

substituting $u = 1/t$. For $m = -1$ the result follows similarly. Moreover,

$$\begin{aligned} \tilde{p}_m(\tau) &= \frac{1}{1-\tau} \int_\tau^1 p_m(\tau) \tau d\tau = \frac{1}{m+1} \cdot \frac{1}{1-\tau} \sum_{i=0}^m \int_\tau^1 \tau^i d\tau \\ &= \frac{1}{m+1} \sum_{i=0}^m \frac{1}{i+1} \cdot \frac{1-\tau^{i+1}}{1-\tau} \\ &= \frac{1}{m+1} \sum_{i=0}^m \frac{1}{i+1} \sum_{j=0}^i \tau^j \end{aligned}$$

for $m > -1$ and similarly for $m = -1$. The other assertions can be checked easily. \square

In the following lemma, it is convenient to use the differences $a = s_1 - s_0$ and $b = s_2 - s_1$:

Definition A.2.15. We set $s_0 = 0$, $s_1 = a$ and $s_2 = a + b$ for $a, b > 0$ and define

$$\eta_1(b) := \eta_1(a, a + b) \quad \text{and} \quad \eta_2(a, b) := \eta_2(0, a, a + b).$$

Moreover, we set

$$\text{vol}(s_0, s_1) := \int_{s_0}^{s_1} \rho(s) ds, \quad \text{vol}(a) := \text{vol}(0, a).$$

Let us now fix the radius function r , and therefore the distortion function $\rho = r^m$: Note that if r is constant, then the resulting warped product manifold $X = I \times_r Y$ is a product, or a *cylinder*. If r is affine linear, then $X = I \times_r Y$ is a cone. Recall that we allowed weak regularity on r and therefore on the metric of the manifold (see Sect. 5.1). Therefore, we may consider the following (piecewise) affine linear function r , i.e. we consider two cones (if $r_{i-1} \neq r_i$) or cylinders (if $r_{i-1} = r_i$) attached together:

Lemma A.2.16.

1. **(Almost) Product:** If $\rho(s) = r_0^m$, then

$$\begin{aligned} \eta_1(b) &= b, \\ \eta_2(a, b) &= \int_{s_0}^{s_1} (s_2 - t) dt = \frac{1}{2}((a + b)^2 - a^2) = a(b + a/2) \leq a(a + b), \\ \text{vol}(a) &= ar_0^m. \end{aligned}$$

2. **(Almost) warped product** If $\rho(s) = r(s)^m$, where r is the continuous affine linear function such that $r(s_i) = r_i$, $i = 0, 1, 2$, and $\tau_i := r_{i-1}/r_i$ are the relative radii, then

$$\begin{aligned} \eta_1(b) &= bp_{m-2}(\tau_2)\tau_2 \\ abp_{m-2}(\tau_2)\tau_2 p_m(\tau_1) &\leq \eta_2(a, b) \leq a(a\tilde{p}_{m-2}(\tau_1) + bp_{m-2}(\tau_2)\tau_2 p_m(\tau_1)), \\ \text{vol}(a) &= ar_0^m p_m(\tau_1^{-1}), \end{aligned}$$

Note that η_1 and η_2 depend only on the ratio $\tau_1 = r_0/r_1$ and $\tau_2 = r_1/r_2$ and *not* on the values r_i itself.

Proof. The first result is an easy calculation. For the second, note that

$$r(s) := r_i + (s - s_i) \frac{r_j - r_i}{s_j - s_i}, \quad 0 \leq i < j \leq 2, \quad s_i \leq s \leq s_j.$$

Moreover, for $r_1 \neq r_2$ and $m > 1$, we have

$$\eta_1(s_1, s_2) = \int_{s_1}^{s_2} \left(\frac{r(s)}{r_1} \right)^{-m} ds = \frac{b\tau_2}{1 - \tau_2} \int_1^{1/\tau_2} \tau^{-m} d\tau = b\tau_2 p_{m-2}(\tau_2)$$

using the substitution $\tau = r(s)/r_1$ and the fact that $d\tau = (1 - \tau_2)(b\tau_2)^{-1}ds$. If $m = 1$, then

$$\eta_1(s_1, s_2) = -\frac{b\tau_2}{1 - \tau_2} \log \tau_2 = bp_{-1}(\tau_2)\tau_2.$$

In addition, if $r_1 = r_2$, i.e. $\tau_2 = 1$, then $\eta_1(b) = b$ by the first part. But $p_m(1) = 1$ for $m = -1, 0, 1, \dots$, so that the formula for η_1 also holds in this case. In order to estimate η_2 , we observe that

$$\eta_1(t, s_2) = \eta_1(t, s_1) + \frac{\rho(t)}{\rho(s_1)}\eta_1(s_1, s_2).$$

The integral over the first term can be estimated as

$$\begin{aligned} \int_{s_0}^{s_1} \eta_1(t, s_1) dt &= \int_{s_0}^{s_1} (s_1 - t) p_{m-2} \left(\frac{r(t)}{r_1} \right) \frac{r(t)}{r_1} dt \\ &\leq a \int_{s_0}^{s_1} p_{m-2} \left(\frac{r(t)}{r_1} \right) \frac{r(t)}{r_1} dt = \frac{a^2}{1 - \tau_1} \int_{\tau_1}^1 p_{m-2}(\tau) \tau d\tau \end{aligned}$$

using the substitution $\tau = r(t)/r_1$ and $d\tau = (1 - \tau_1)a^{-1}dt$.

The second term can be integrated by

$$\int_{s_0}^{s_1} \frac{\rho(t)}{\rho(s_1)} dt = \int_{s_0}^{s_1} \left(\frac{r(t)}{r_1} \right)^m dt = \frac{a}{1 - \tau_1} \int_{\tau_1}^1 \tau^m d\tau = ap_m(\tau_1).$$

The calculation for $\text{vol}(a)$ follows similarly. \square

We will use the following special case in Sects. 6.3 and 6.8 on warped products:

Proposition A.2.17. *Assume that $I = [0, a + b]$, where $0 < a \leq b$. Let ρ be the continuous, piecewise affine linear function with $\rho(0) = r_0$, $\rho(a) = r_1$ and $\rho(a + b) = r_1$, where $r_0 \leq r_1$. Then $\mathcal{H}(I)$ is a warped product and,*

$$\|u\|_{\mathcal{H}(0,a)}^2 \leq 4ab \left(\|u'\|_{\mathcal{H}(0,a+b)}^2 + \frac{1}{a^2} \|u\|_{\mathcal{H}(0,a+b)}^2 \right) \quad \text{and} \quad (\text{A.12a})$$

$$\frac{a}{m+1} r_1^m \leq \text{vol}(a) \leq ar_1^m \quad (\text{A.12b})$$

for $u \in \mathcal{H}^1(I)$. Moreover, if P_0 is a projection in \mathcal{H}_0 with one-dimensional range, then

$$r_0^m \|P_0 u(0)\|_{\mathcal{H}_0}^2 \leq 2ap_{m-2} \left(\frac{r_0}{r_1} \right) \frac{r_0}{r_1} + 2r_0^m \|P_0 u(a)\|_{\mathcal{H}_0}^2 \quad (\text{A.12c})$$

for $u \in \mathcal{H}^1(I)$.

Proof. The first estimate follows from Corollary A.2.7 and the estimate

$$\eta_2(a, b) \leq a(a\widetilde{p}_{m-2}(\tau_1) + bp_m(\tau_1)) \leq a^2 + ab \leq 2ab.$$

Here, we used Lemma A.2.16 with the setting $\tau_1 = r_0/r_1 \leq 1$, $\tau_2 = 1$, $\widetilde{p}_{m-2}(\tau_1) \leq 1$, $p_m(\tau_1) \leq 1$ and $a \leq b$. The second estimate is a consequence of Lemma A.2.16 and

$$\frac{1}{(m+1)}\tau_1^{-1} \leq p_m(\tau_1^{-1}) \leq \tau_1^{-m}$$

using Lemma A.2.14. Finally, the last estimate can be seen from Proposition A.2.11 and $\eta_1(a) = ap_{m-2}(\tau_1)\tau_1$. \square

Let us finish this section with some more examples illustrating the abstract setting. The possibly simplest example is given by $\mathcal{H}(s) = \mathbb{C}$. The estimate follows from Corollary A.2.8:

Corollary A.2.18 (Interval). *Let $I = [0, \ell]$. Assume that $\mathcal{H}(s) = \mathbb{C}$ and that the distortion function is constant, say $\rho(s) = 1$. Then $\mathcal{H}(I) = \mathbf{L}_2(I)$ is a product and*

$$|f(0)|^2 \leq a\|f'\|_{\mathbf{L}_2(I)}^2 + \frac{2}{a}\|f\|_{\mathbf{L}_2(I)}^2 \leq \frac{2}{\ell_-}\|f\|_{\mathbf{H}^1(I)}^2$$

for all $0 < a \leq \ell_- = \min\{1, \ell\}$ and $f \in \mathbf{H}^1(I) = \mathcal{H}^1(I)$.

The following result is only needed in the special case $\mathcal{H}(s) = \mathbb{C}$:

Proposition A.2.19. *Assume that $I = [0, \ell]$, then*

$$\|f'\|_{\mathbf{L}_2(I)}^2 \leq \frac{1025}{\ell_-^2}\|f\|_{\mathbf{L}_2(I)}^2 + 2\|f''\|_{\mathbf{L}_2(I)}^2 \leq \frac{1025}{\ell_-^2}\left(\|f\|_{\mathbf{L}_2(I)}^2 + \|f''\|_{\mathbf{L}_2(I)}^2\right)$$

for $f \in \mathbf{H}^2(I)$.

Proof. Partial integration and Cauchy-Young's inequality yield

$$\|f'\|^2 \stackrel{\text{CY}}{\leq} \frac{1}{2}\|f\|^2 + \frac{1}{2}\|f''\|^2 + |f(0)f'(0)| + |f(\ell)f'(\ell)|.$$

The boundary term at $s = 0$ can be estimated by

$$\begin{aligned} |f(0)f'(0)| &\stackrel{\text{CY}}{\leq} \frac{\eta}{2}|f'(0)|^2 + \frac{1}{2\eta}|f(0)|^2 \\ &\leq \frac{\eta}{2}(b'\|f''\|^2 + \frac{2}{b'}\|f'\|^2) + \frac{1}{2\eta}(b\|f'\|^2 + \frac{2}{b}\|f\|^2) \\ &= \frac{1}{\eta b}\|f\|^2 + \frac{\eta b'}{2}\|f''\|^2 + \frac{1}{2}\left(\frac{2\eta}{b'} + \frac{b}{\eta}\right)\|f'\|^2 \end{aligned}$$

for $\eta > 0$ and $b, b' \in (0, \ell]$, applying Corollary A.2.18 to f and f' . A similar result holds for the boundary term at $s = \ell$, so that we end up with the inequality

$$\|f'\|^2 \leq \left(\frac{1}{2} + \frac{2}{\eta b}\right) \|f\|^2 + \left(\frac{1}{2} + \eta b'\right) \|f''\|^2 + \left(\frac{2\eta}{b'} + \frac{b}{\eta}\right) \|f'\|^2.$$

If we set $\eta := a/8$, $b := a/32$ and $b' := a$ for $0 < a \leq \ell$, then the coefficient of $\|f'\|^2$ on the RHS equals $1/2$. Bringing this term on the LHS and multiplying by 2 yields the desired estimate with $a = \ell_-$. Note that $1 + 4/(\eta b) = 1 + 1,024/a^2 \leq 1,025/a^2$ and $12\eta b' = 1 + a^2/4 \leq 2$ since $a \leq 1$. \square

More generally than in Corollary A.2.18, we may assume that the measure on I is weighted, i.e. we replace the Lebesgue measure ds by $w(s)ds$. Then from Corollary A.2.7 we conclude (with the estimate $\eta_1(a) \leq \omega a$):

Corollary A.2.20 (Interval with weights). *Assume that $I = [0, \ell]$, that $w: (0, \ell) \rightarrow (0, \infty)$ is a measurable function, and that $\mathcal{H}(s) = \mathbb{C}w(s)$. Then $\mathcal{H}(I) = L_2(I, wds)$ is a warped product with distortion function $\rho = w$. If in addition*

$$\omega := \frac{w(0)}{\inf w([0, \min\{1, \ell\}])} < \infty,$$

then

$$|f(0)|^2 \leq 2a\omega \|f'\|_{L_2(I, w(s)ds)}^2 + \frac{2\omega}{a} \|f\|_{L_2(I, w(s)ds)}^2 \leq \frac{2\omega}{\min\{1, a\}} \|f\|_{H^1(I, w(s)ds)}^2$$

for $0 < a \leq \min\{1, \ell\}$ and $f \in H^1(I, w(s)ds) = \mathcal{H}^1(I)$.

Let us finally give another example, which is needed for topological perturbations like removing balls from a manifold or adding handles to it. We will present such constructions in a subsequent work.

Example A.2.21 (Polar coordinates). Assume that (X, g) is a Riemannian manifold. Here, we apply the warped product structure of a metric g on a manifold X given in polar coordinates.

Denote by $\kappa_x(r)$ the maximal absolute value of the sectional curvature on $\overline{B}_x(r)$. Let $r_k(x)$ be the maximal radius $r > 0$ such that $r \leq \pi/(2\sqrt{\kappa_x(r)})$ with the convention $1/0 = \infty$. We set

$$r_0(x) := \min\{\text{inj rad } x, r_k(x)\}. \quad (\text{A.13})$$

For $x \in X$, we can parametrise $M_x := B(x, r_0(x))$ with polar coordinates $(s, y) \in I_x \times Y$, $I_x := (0, r_0(x))$, $Y = \mathbb{S}^m$. The metric in these coordinates is given by

$$g = ds^2 + h_s,$$

where h_s is an s -depend metric on Y . We denote the standard metric on \mathbb{S}^{d-1} by h . Recall that the warped product metric $g_0 = ds^2 + s^2 h$ is the *flat* metric around x , i.e. $\mathbb{R}_+ \times_r \mathbb{S}^m \cong \mathbb{R}^{m+1}$, where $r(s) = s$ is the radius function (see Definition 5.3.2). From [Au82, Thm. 1.53] and the definition of $r_0(x)$ in (A.13), it follows that we have the estimate

$$ds^2 + s^2 \left(\frac{2}{\pi} \right)^2 h \leq g = ds^2 + h_s \leq ds^2 + s^2 \left(\sinh \left(\frac{\pi}{2} \right) \frac{2}{\pi} \right)^2 h.$$

In particular, $L_2(B_x)$ is an almost warped product with distortion function $\rho(s) = s^m$ and relative distortion $\rho_\infty = (\sinh(\pi/2))^m$.

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Notation

We give an overview of some general notation used in this work. Other commonly used symbols are listed in the index.

General notation

- $\mathbb{N} = \{1, 2, 3, \dots\}$, $\mathbb{N}_0 = \{0, 1, 2, \dots\}$,
- $\mathbb{Z} = \{\dots, -2, -1, 0, 1, 2, \dots\}$,
- $\mathbb{R}_+ = [0, \infty)$, $\partial_+ I := \overline{I} \cap \mathbb{R}_+ \setminus I$ denotes the topological boundary in the relative topology \mathbb{R}_+ ($I \subset \mathbb{R}_+$), e.g., $\partial_+[0, \lambda] = \{\lambda\}$.
- We use the short hand notation

$$\partial_s f(s) = \frac{\partial f(s)}{\partial s}$$

Moreover, du denotes the exterior derivative of $u \in C^\infty(M)$.

Sets and topology

- $|A|$ denotes the number of elements in the set A
- $C = A \cup B$ means that $C = A \cup B$ and that A, B are disjoint ($A \cap B = \emptyset$)

Let A, B, C be subsets of a topological space X .

- \overline{A} denotes the *closure* of A , $\overset{\circ}{A}$ denotes the *interior* of A .

Measure spaces

Let X be a measure space.

- $X = A \sqcup B$ (“ X is the disjoint union of A and B up to measure 0”) means that $X = A \cup B$ and that $A \cap B$ has measure 0.
- $X = \bigsqcup_i A_i$ (“ X is the disjoint union of all A_i up to measure 0”) means that $X = \bigcup_i A_i$ and that $A_i \cap A_j$ has measure 0 for all $i \neq j$.
- $\text{len}(I)$ denotes the Lebesgue measure of I (length of the interval $I \subset \mathbb{R}$).

Hilbert spaces, operators and function spaces

All our Hilbert spaces are assumed to be separable, i.e. having a *countable* orthonormal basis. The inner product and all sesquilinear forms are anti-linear in their *first* argument.

- $a \stackrel{\text{CS}}{\leq} b$ means that we applied the Cauchy-Schwarz inequality.
- The Cauchy-Young reads as

$$2|\langle f, g \rangle| \stackrel{\text{CY}}{\leq} \eta \|f\|^2 + \frac{1}{\eta} \|g\|^2 \quad (1)$$

for any $\eta > 0$. In particular, if $\eta = 1$,

$$2|\langle f, g \rangle| \leq \|f\|^2 + \|g\|^2.$$

- $\mathcal{H}_1 \oplus \mathcal{H}_2$ denotes the *orthogonal sum* of the Hilbert spaces \mathcal{H}_1 and \mathcal{H}_2 ; elements of $\mathcal{H}_1 \oplus \mathcal{H}_2$ are written as $f = (f_1, f_2)$ or $f = f_1 \oplus f_2$. Similarly, elements of $\bigoplus_e \mathcal{H}_e$ written as $f = \{f_e\}_e$ or sometimes as $\bigoplus_e f_e$.
- $\mathcal{H}_1 \dot{+} \mathcal{H}_2$ denotes the *topological sum* of the spaces $\mathcal{H}_i \subset \mathcal{H}$, i.e., the direct (but not necessarily orthogonal) sum, and \mathcal{H}_i is assumed to be closed in \mathcal{H} .
- If a linear operator A is not defined for all elements of \mathcal{H} , we write $\text{dom } A$ for the *domain* of A . Similarly, for a quadratic form \mathfrak{h} , we write $\text{dom } \mathfrak{h}$ for its domain. The corresponding sesquilinear form is then defined on \mathfrak{h} : $\text{dom } \mathfrak{h} \times \text{dom } \mathfrak{h} \rightarrow \mathbb{C}$.
- For a linear operator $A: \mathcal{H} \rightarrow \mathcal{G}$ we denote the *range* of A by $\text{ran } A := \{g \in \mathcal{G} \mid \exists h \in \text{dom } A: Ah = g\}$ and the *kernel* of A by $\ker A := \{h \in \text{dom } A \mid Ah = 0\}$.
- $\mathbf{C}_c^\infty(I)$ denotes the space of smooth functions with compact support in \mathring{I} .
- Sobolev spaces $\mathbf{H}^k(I) := \{f \in \mathbf{L}_2(I) \mid f^{(i)} \in \mathbf{L}_2(I) \quad \forall i = 1, \dots, k\}$ with norm $\|f\|_{\mathbf{H}^k(I)}^2 := \sum_{i=0}^k \|f^{(i)}\|_{\mathbf{L}_2(I)}^2$, where $f^{(i)}$ is the i -th (weak) derivative, $\mathring{\mathbf{H}}^k(I)$ is the closure of $\mathbf{C}_c^\infty(I)$ w.r.t. the norm $\|\cdot\|_{\mathbf{H}^k(I)}$.

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Edited by J.-M. Morel, B. Teissier; P.K. Maini

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