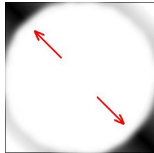


Limit Operators

Getting your hands on the essentials.



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TUHH
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This talk is based on joint work with

- Markus Seidel, Zwickau
- Raffael Hagger, Hannover
- Hagen Söding, TU Hamburg
- Simon Chandler-Wilde, Reading
- Bernd Silbermann, Chemnitz

- 1 The essentials
- 2 Limit operators
- 3 Stability of approximation methods
- 4 The Fibonacci Hamiltonian

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For a bounded linear operator

$$\mathcal{A} : X \rightarrow X$$

on a Banach space X , choose a basis in X and represent \mathcal{A} as an **infinite matrix**.

Sometimes it is convenient to number the basis elements over the integers \mathbb{Z} (rather than the naturals \mathbb{N}), leading to a **bi-infinite matrix**:

$$A = \begin{pmatrix} \ddots & \vdots & \vdots & \vdots & \ddots \\ \cdots & a_{-1,-1} & a_{-1,0} & a_{-1,1} & \cdots \\ \cdots & a_{0,-1} & a_{0,0} & a_{0,1} & \cdots \\ \cdots & a_{1,-1} & a_{1,0} & a_{1,1} & \cdots \\ \ddots & \vdots & \vdots & \vdots & \ddots \end{pmatrix}$$

We will mostly think of **banded matrices** A with uniformly bounded entries:
 $\sup |a_{ij}| < \infty$, so A acts as a bounded linear operator on $\ell^p(\mathbb{Z})$, $p \in [1, \infty]$.

For a Banach space X , put

$\mathcal{L}(X)$ = the set (Banach algebra) of all **bounded** linear operators $X \rightarrow X$,
 $\mathcal{K}(X)$ = the set of all **compact** operators $X \rightarrow X$ (closed ideal in $\mathcal{L}(X)$).

Then one can form the factor algebra

The Calkin algebra

$$\mathcal{L}(X)/\mathcal{K}(X) = \{A + \mathcal{K}(X) : A \in \mathcal{L}(X)\}.$$

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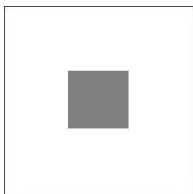
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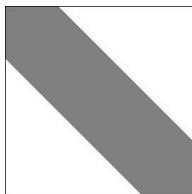
$$\mathcal{L}(X)/\mathcal{K}(X) = \{A + \mathcal{K}(X) : A \in \mathcal{L}(X)\}.$$

More specifically, for $X = \ell^p(\mathbb{Z})$, let

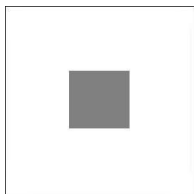
$\text{BO}(X)$ = the set (algebra) of all operators $X \rightarrow X$ with a **band matrix**,
 $\text{BDO}(X)$ = the norm closure (Banach algebra) of $\text{BO}(X)$.



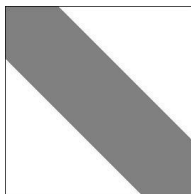
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$= \text{BO}(X)$
band operators

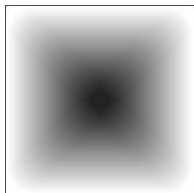


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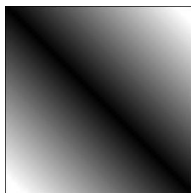


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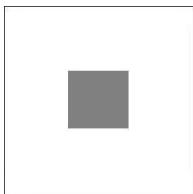
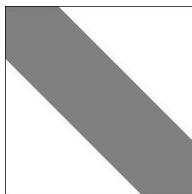
$\mathcal{K}(X) =$
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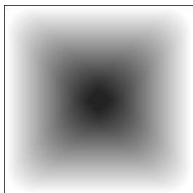
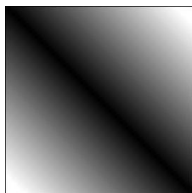


= $\text{BDO}(X)$
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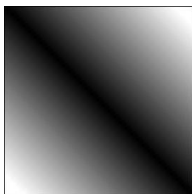
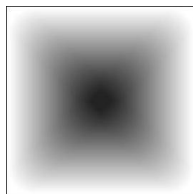
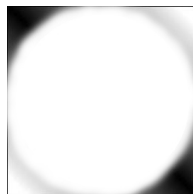
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$= \text{BDO}(X)$
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$\text{BDO}(X)/\mathcal{K}(X) =$


 $/$

 $=$


Let $A \in \mathcal{L}(X)$.

Definition: essential norm

$$\|A\|_{\text{ess}} := \|A + \mathcal{K}(X)\| = \inf\{\|A + K\| : K \in \mathcal{K}(X)\} = \text{dist}(A, \mathcal{K}(X))$$

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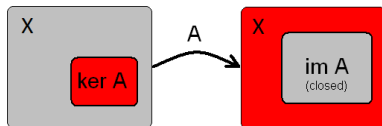
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Definition: Fredholmness

A is Fredholm ("essentially invertible") iff $A + \mathcal{K}(X)$ is invertible in $\mathcal{L}(X)/\mathcal{K}(X)$.

A is Fredholm iff its kernel and cokernel have finite dimension.



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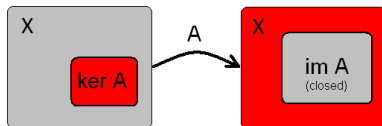
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Definition: Essential spectrum

$$\text{spec}_{\text{ess}} A := \text{spec}_{\mathcal{L}(X)/\mathcal{K}(X)}(A + \mathcal{K}(X)) = \{\lambda \in \mathbb{C} : A - \lambda I \text{ is not Fredholm}\}$$

For

$$A = \begin{pmatrix} \ddots & & & & & & \\ & \ddots & & & & & \\ & & 3 & & & & \\ & & & 5 & & & \\ & & & & 3 & & \\ & & & & & 5 & \\ & & & & & & 3 & \\ & & & & & & & 3 & \\ & & & & & & & & \ddots \end{pmatrix},$$

we clearly have

$$\text{spec } A = \{3, 5\}, \quad \|A\| = 5$$

but

$$\text{spec}_{\text{ess}} A = \{3\}, \quad \|A\|_{\text{ess}} = 3.$$

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The spectral value **5** is not essential (“not visible at ∞ ”).

$A - 5I$ is not invertible but still Fredholm (kernel and cokernel have finite dimension).

For

$$A = \begin{pmatrix} \ddots & & & & & & \\ & \ddots & & & & & \\ & & 3 + \varepsilon_{-1} & & & & \\ & & & 3 + \varepsilon_0 & & & \\ & & & & 3 + \varepsilon_1 & & \\ & & & & & 3 + \varepsilon_2 & \\ & & & & & & \ddots \end{pmatrix},$$

with positive ε_n such that $\varepsilon_n \rightarrow 0$ as $n \rightarrow \pm\infty$, we have

$$\operatorname{spec} A = \{3 + \varepsilon_n : n \in \mathbb{Z}\} \cup \{3\}, \quad \|A\| = \max\{3 + \varepsilon_n : n \in \mathbb{Z}\}.$$

The spectral value 3 is no eigenvalue but still in the spectrum.

$A - 3I$ is injective but has no bounded inverse (not Fredholm, range not closed).

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$$\text{spec } A = \{3 + \varepsilon_n, 5 + \varepsilon_n : n \in \mathbb{Z}\} \cup \{3, 5\}, \quad \|A\| = \max\{3 + \varepsilon_n, 5 + \varepsilon_n : n \in \mathbb{Z}\}.$$

The spectral values 3 and 5 are no eigenvalues of A .

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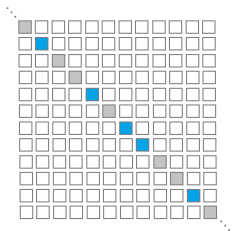
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Essential spectrum and norm: a general **diagonal** matrix

For a general (bounded) **diagonal** matrix

$$A = \begin{pmatrix} \ddots & & & & & & \\ & \ddots & & & & & \\ & & \ddots & & & & \\ & & & \ddots & & & \\ & & & & \ddots & & \\ & & & & & \ddots & \\ & & & & & & \ddots \\ & & & & & & & \ddots \end{pmatrix},$$



it holds that

$$\text{spec}_{\text{ess}} A = \text{the set of all partial limits of the sequence } (a_{n,n})_{n \in \mathbb{Z}}.$$

In other words:

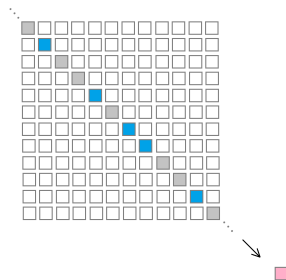
$$\lambda \in \text{spec}_{\text{ess}} A \iff \exists n_1, n_2, \dots \rightarrow \pm\infty : a_{n_k, n_k} \rightarrow \lambda.$$

Moreover,

$$\|A\|_{\text{ess}} = \text{the largest (in modulus) partial limit} = \limsup |a_{n,n}|.$$

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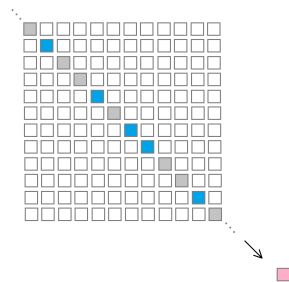
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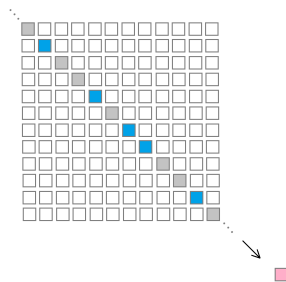


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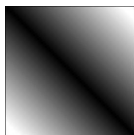


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The whole coset $A + \mathcal{K}(X) \in \mathcal{L}(X)/\mathcal{K}(X)$ is encoded in the partial limits of $(a_{n,n})_{n \in \mathbb{Z}}$.

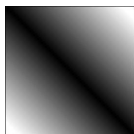
- 1 The essentials
- 2 Limit operators**
- 3 Stability of approximation methods
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For $A \in \text{BDO}(X)$, the coset $A + \mathcal{K}(X)$ is still determined by the asymptotics of $A = (a_{i,j})$ at infinity. Again, take a sequence $n_1, n_2, \dots \rightarrow \pm\infty$ and

follow the entries a_{n_k, n_k} as $k \rightarrow \infty$. (1)

New: Now also the **context** of the entries (1) is important.



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New: Now also the **context** of the entries (1) is important.

Not only the sequence (1) itself shall converge but also its neighbour entries:

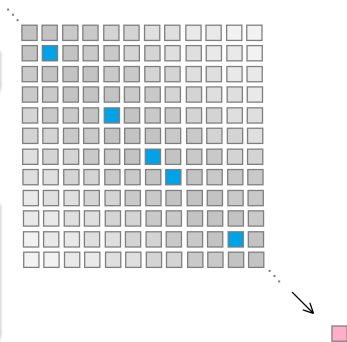
$$a_{n_k+i, n_k+j} \rightarrow: b_{i,j} \quad \forall i, j \in \mathbb{Z}.$$

The existence of such sequences $h = (n_k)$ is guaranteed by the Bolzano-Weierstrass theorem.

Definition: limit operator

The operator with matrix $B = (b_{i,j})_{i,j \in \mathbb{Z}}$ is called *limit operator of A w.r.t. the sequence h*.

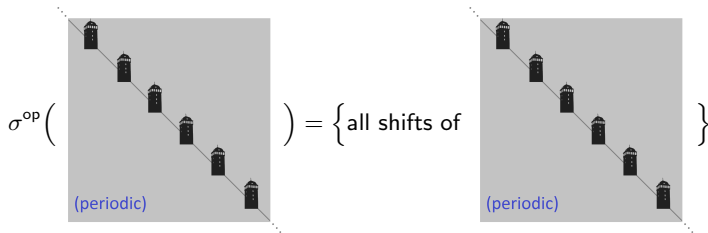
We write A_h for B and $\sigma^{\text{op}}(A)$ for the set of all A_h .



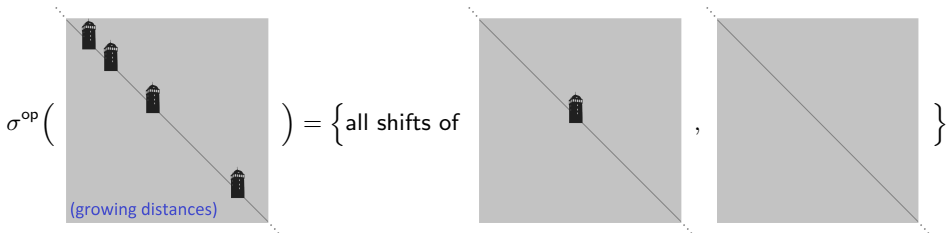
A periodic matrix:

$$\sigma^{\text{op}} \left(\begin{array}{c} \text{(periodic)} \\ \text{[Diagram of a periodic matrix with building icons on the diagonal]} \end{array} \right) = \left\{ \text{all shifts of} \begin{array}{c} \text{(periodic)} \\ \text{[Diagram of a periodic matrix with building icons on the diagonal]} \end{array} \right\}$$

A periodic matrix:



Simple but non-periodic:



Discrete Schrödinger operator in 1D

$$(Ax)_n = x_{n-1} + v(n)x_n + x_{n+1}, \quad n \in \mathbb{Z}$$

with a bounded potential $v \in \ell^\infty(\mathbb{Z})$. The matrix looks like this

$$A = \begin{pmatrix} \ddots & & & & & & & & & & \\ & \ddots & & & & & & & & & \\ & & v_{-2} & 1 & & & & & & & \\ & & 1 & v_{-1} & 1 & & & & & & \\ & & & 1 & v_0 & 1 & & & & & \\ & & & & 1 & v_1 & 1 & & & & \\ & & & & & 1 & v_2 & \ddots & & & \\ & & & & & & 1 & \ddots & & & \\ & & & & & & & \ddots & \ddots & & \end{pmatrix}$$

So it is enough to look at the potential v :

Example 1: locally constant potential

$$v = (\dots, \underbrace{\beta, \beta, \beta, \beta}_4, \underbrace{\alpha, \alpha, \alpha}_3, \underbrace{\beta, \beta}_2, \underbrace{\alpha}_1, \underbrace{\beta, \beta}_2, \underbrace{\alpha, \alpha, \alpha}_3, \underbrace{\beta, \beta, \beta, \beta}_4, \dots), \quad \alpha \neq \beta$$

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\Rightarrow 4 limop's:

$$w = (\dots, \alpha, \alpha, \alpha, \alpha, \alpha, \alpha, \dots)$$

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$$v(n+1) - v(n) \rightarrow 0, \quad n \rightarrow \infty$$

e.g. $v(n) = \cos \sqrt{|n|}$.

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\Rightarrow Limop's (all **constant**):

$$w(n) \equiv a, \quad a \in v(\infty)$$

Example 3: random (actually pseudo-ergodic) potential

Take random (i.i.d.) samples $v(n)$ from a compact set $V \subset \mathbb{C}$.

$\xrightarrow{\text{a.s.}}$ The infinite “word” $(\dots, v(-1), v(0), v(1), \dots)$ contains **every** finite word over V as a subword (up to arbitrary accuracy $\varepsilon > 0$). [*pseudo-ergodic*, Davies 2001]

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Example 4: (almost-)periodic potential

$$v(n) = \cos(n\alpha), \quad n \in \mathbb{Z}$$

Case 1: $\alpha = \frac{p}{q}2\pi \in \pi\mathbb{Q}$ (periodic)

\Rightarrow q limop's:

$$w_k(n) = \cos((n+k)\alpha), \quad k = 1, \dots, q$$

Example 3: random (actually pseudo-ergodic) potential

Take random (i.i.d.) samples $v(n)$ from a compact set $V \subset \mathbb{C}$.

$\xrightarrow{\text{a.s.}}$ The infinite “word” $(\dots, v(-1), v(0), v(1), \dots)$ contains **every** finite word over V as a subword (up to arbitrary accuracy $\varepsilon > 0$). [*pseudo-ergodic*, Davies 2001]

\Rightarrow lots of limop's: **all** functions $w : \mathbb{Z} \rightarrow V$

Example 4: (almost-)periodic potential

$$v(n) = \cos(n\alpha), \quad n \in \mathbb{Z}$$

Case 1: $\alpha = \frac{p}{q}2\pi \in \pi\mathbb{Q}$ (periodic)

\Rightarrow q limop's:

$$w_k(n) = \cos((n+k)\alpha), \quad k = 1, \dots, q$$

Case 2: $\alpha \notin \pi\mathbb{Q}$ (almost-periodic, see Almost-Mathieu operator)

\Rightarrow ∞ -many limop's:

$$w_\theta(n) = \cos(n\alpha + \theta), \quad \theta \in [0, 2\pi)$$

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so that the limit operator A_h of $A \in \text{BDO}(X)$ equals

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In this sense, the set $\sigma^{\text{op}}(A)$ of **all** limit operators of A is the set of all partial limits of the operator sequence

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The very same can be done with $X = \ell^p(\mathbb{Z}^d)$ and $A \in \text{BDO}(X)$.

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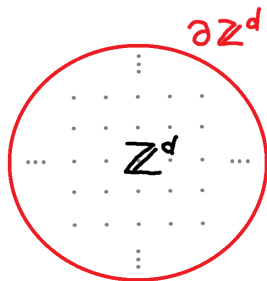
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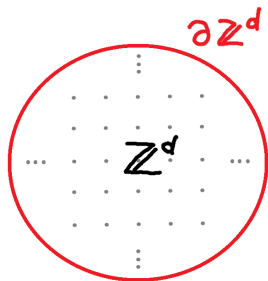
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These ideas can be extended from $\ell^p(\mathbb{Z}^d)$ [Rabinovich, Roch, Silbermann 1998] to

- $\ell^p(G)$ for finitely generated discrete groups G [Roe 2005]
- $\ell^p(X)$ for strongly discrete metric spaces X [Spakula & Willett 2014]
- $L^p(X, \mu)$ for fairly general metric spaces X and measures μ [Hagger & Seifert 2017_{+x}]

So we have

New enumeration (independent of A) of the limit operators of A

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Now one can add or multiply two instances of $\sigma^{\text{op}}(A)$ elementwise and get

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Key observation

The kernel of that homomorphism $\varphi : A \mapsto \sigma^{\text{op}}(A)$ is $K(X)$.
So $A + K(X) \mapsto \sigma^{\text{op}}(A)$ is an **isomorphism** $\text{BDO}(X)/\ker \varphi \rightarrow \text{im } \varphi$.



The result is an identification

$$A + \mathcal{K}(X) \cong \sigma^{\text{op}}(A)$$

for all $A \in \text{BDO}(X)$ – with the following consequences:

A	$A + \mathcal{K}(X)$	$\sigma^{\text{op}}(A)$
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[Hagger, ML, Seidel 2016]

[Lange, Rabinovich 1985+]

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[ML, Silbermann 2003], [ML 2003+]

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Definition: self-similar operator

We say that $A \in \text{BDO}(X)$ is *self-similar* if $A \in \sigma^{\text{op}}(A)$.

Roughly speaking, this means that

- A contains a copy of itself, at infinity.
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“essential stuff = real stuff.”

- 1 The essentials
- 2 Limit operators
- 3 Stability of approximation methods**
- 4 The Fibonacci Hamiltonian

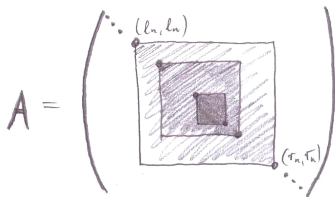
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Idea: Approximate A by growing but finite square submatrices A_n



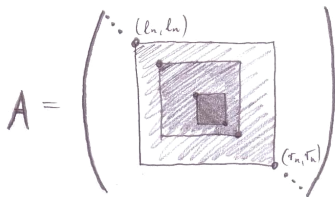
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It turns out: This “hope” will come true iff the sequence (A_n) is **stable**, meaning that

all A_n with sufficiently large n are invertible and $\sup_{n \geq n_0} \|A_n^{-1}\| < \infty$.

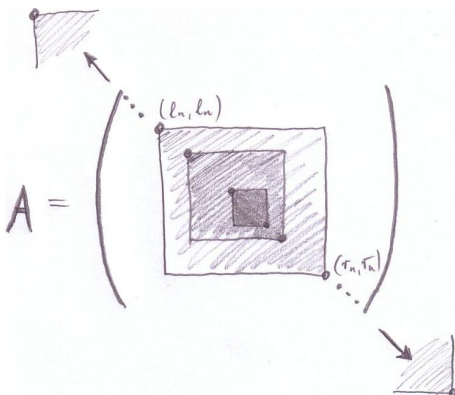
The sequence (A_n) is **stable** $\iff D := \text{Diag}(A_1, A_2, \dots)$ is **Fredholm**.

This brings us back to limit operators of D – and hence of A .

In the end we have to follow the two “corners” (semi-infinite matrices)

$$\begin{pmatrix} a_{l_n, l_n} & \cdots \\ \vdots & \ddots \end{pmatrix} \quad \text{and} \quad \begin{pmatrix} \ddots & \vdots \\ \cdots & a_{r_n, r_n} \end{pmatrix}$$

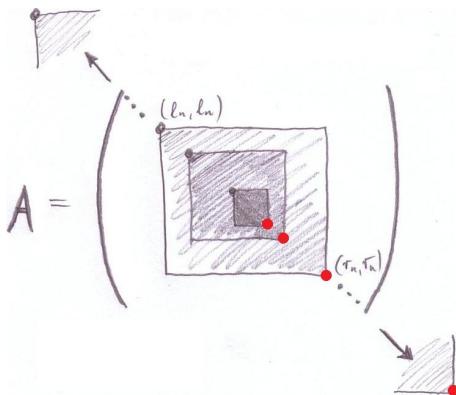
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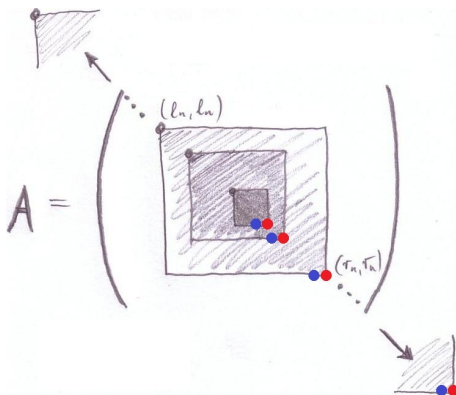
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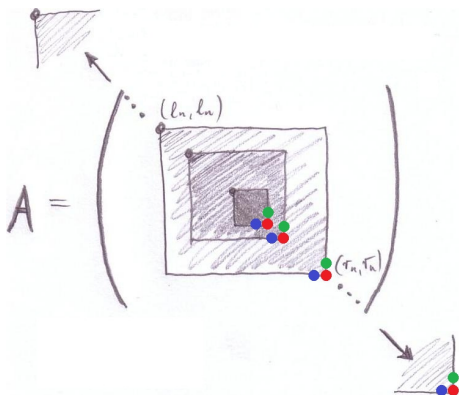
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- 1 The essentials
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Fibonacci and his rabbit population

time	population	count
1		
2		
3		
4		
5		
6		
7		

time	population	count
1	1	1
2	10	2
3	101	3
4	10110	5
5	10110101	8
6	1011010110110	13
7	101101011011010110101	21
8	1011010110110101101011011010110110	34
9	101101011011010110101101101011011010110101101101011010110101	55
⋮	⋮	⋮

Three equivalent constructions of the Fibonacci word

$$0 \mapsto 1, 1 \mapsto 10; \quad f_{k+1} := f_k f_{k-1}; \quad v_n = \chi_{[1-\alpha, 1)}(n\alpha \bmod 1), \quad \alpha = \frac{2}{1+\sqrt{5}}$$

The last formula is also used to define v_n for all $n \in \mathbb{Z}$. (\Rightarrow bi-infinite Fibonacci word)

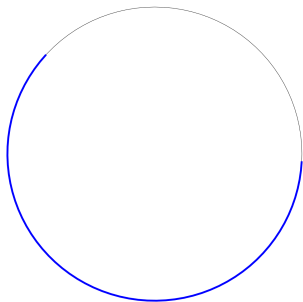
The “mod 1” rotation formula and limit operators

$$v_n = \chi_{[1-\alpha,1)}(n\alpha \bmod 1), \quad n \in \mathbb{Z}, \quad \alpha = \frac{2}{1+\sqrt{5}} \quad (\text{“golden mean”})$$

n	...	-3	-2	-1	0	1	2	3	4	5	6	7	8	...
v_n														

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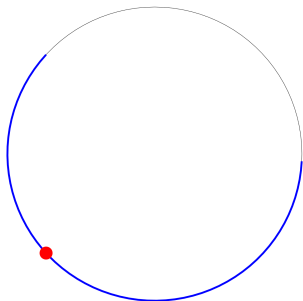
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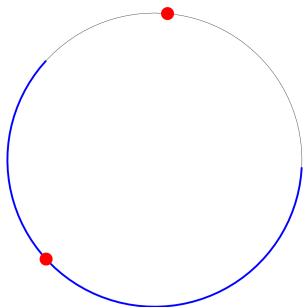
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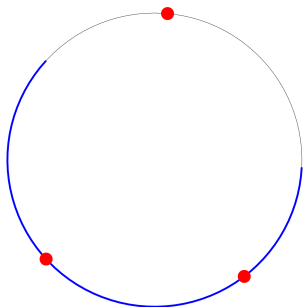
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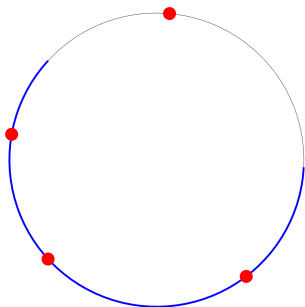
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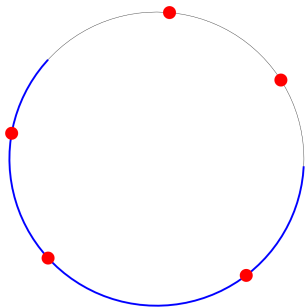
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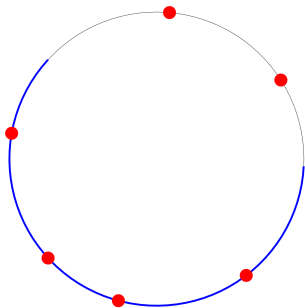
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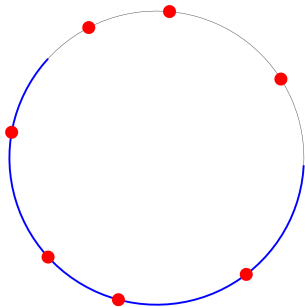
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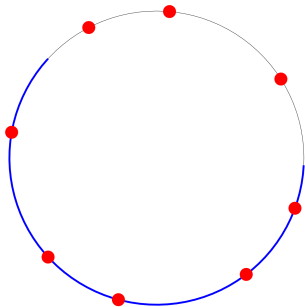
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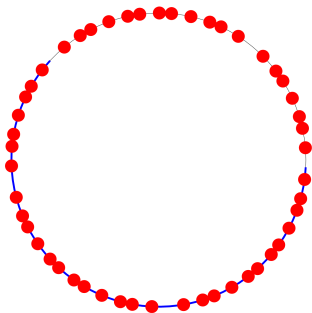
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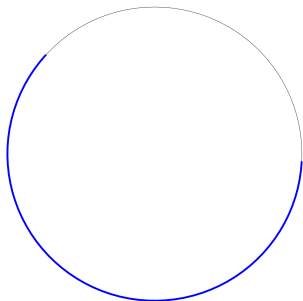
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In an infinite random word over the alphabet $\{0, 1\}$ you can find (almost surely) all 2^n subwords of length n .

In contrast: How many can you find in the Fibonacci word

$$v = \dots 10110101101101011010110110101101101011010110101101011010110101 \dots ?$$

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One can show:

The main diagonal of **every** limit operator of A has **the same** list of subwords!

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- $v = \dots 1011010110110101101101011011010110110111 \dots$ be the Fibonacci word,
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$$\boxed{\Rightarrow} \text{Let } w \prec v, \text{ say (w.l.o.g.) } w \prec v_+.$$

\implies Every $S_{-n_k} v$ contains w in a F_{n+1} -neighbourhood of zero.

\implies Every limit potential v_h contains w in a F_{n+1} -neighbourhood of zero.

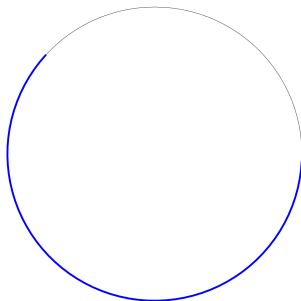
For the Fibonacci Hamiltonian $A = S_{-1} + M_v + S_1$, one gets

$$\sigma^{\text{op}}(A) = \left\{ S_{-1} + M_{v^\theta} + S_1, S_{-1} + M_{w^\theta} + S_1 : \theta \in [0, 1) \right\},$$

where

$$v_n^\theta := \chi_{[1-\alpha, 1]}(\theta + n\alpha \bmod 1), \quad w_n^\theta := \chi_{(1-\alpha, 1]}(\theta + n\alpha \bmod 1), \quad n \in \mathbb{Z}.$$

In particular, $A \in \sigma^{\text{op}}(A)$; so A is self-similar.



A lot is known of the spectrum of A ; it is

- a Cantor set on the real line
- of Lebesgue measure zero,
- there is no point spectrum (w.r.t. ℓ^2)
- in fact, the spectrum is purely singular continuous...

What do we want from the Fibonacci Hamiltonian?

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- in fact, the spectrum is purely singular continuous...

Our focus: **Applicability of the FSM** with arbitrary cut-off points.

$$A = \begin{pmatrix} \dots & & & \\ & \dots & & \\ & & (l_n, l_n) & \\ & & \square & \\ & & & \dots \\ & & & & (r_n, r_n) & \\ & & & & & \dots \end{pmatrix}$$

$$A = \begin{pmatrix} \text{hatched } A & & \\ & \dots & \\ & & \dots & \\ & & & \dots & \\ & & & & \dots & \\ & & & & & \dots & \\ & & & & & & \text{hatched } A_+ \end{pmatrix}$$

We show this via **invertibility** of B , B_+ and B_- for all $B \in \sigma^{\text{op}}(A)$, including $B = A$ (i.e. 0 is not in the spectrum of any of these operators).

To show that A is invertible on ℓ^2 (hence on any ℓ^p), we show that

- A is Fredholm (\Rightarrow closed range)
- A is injective on ℓ^2
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Similarly: For invertibility of all B_+ and B_- it is enough to show their injectivity on ℓ^∞ (since all are Fredholm and self-adjoint).

In short:

$$x_{n-1} + v_n x_n + x_{n+1} = 0 \quad \text{for all } n \in \mathbb{N}.$$

Starting with $x_0 = 0$ and $x_1 = 1$ (w.l.o.g.) this is a 2-term recurrence for x_2, x_3, \dots

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Similarly: B_+ and B_- are injective on ℓ^∞ for all $B \in \sigma^{\text{op}}(A)$.

$$\implies B_+ \text{ and } B_- \text{ are invertible for all } B \in \sigma^{\text{op}}(A).$$

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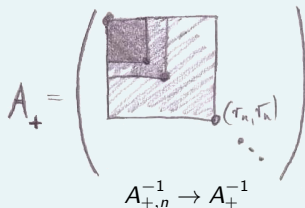
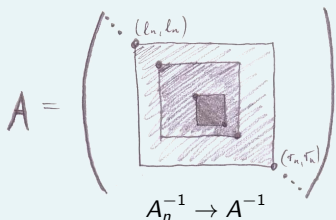
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Theorem (ML, Söding 2016)

The FSM is applicable, with arbitrary cut-off points, to A and also to A_+ .



Thank you!



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