Hyponormal quantization

Mihai Putinar

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Why Markov's transform?

Let μ be a positive measure on $\mathbb R,$ with all power moments finite. The Cauchy transform

$$F(z)=\int_{\mathbb{R}}\frac{d\mu(t)}{t-z},$$

maps $\Im z > 0$ to $\Im F(z) > 0$.

 $\log(1 + F(z))$ exists and $\Im \log F(z) \in (0, \pi)$:

$$\log(1+F(z))=rac{1}{\pi}\intrac{\phi(t)dt}{t-z}, \ \ 0\leq\phi\leq\pi.$$

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Formal exponential transform

The power moments $s_k(g) = \int g(t)t^n dt$, $k \ge 0$, can be arranged into the generating analytic series (Cauchy transform):

$$\sum_{k=0}^\infty rac{s_k(g)}{z^{k+1}} = -\int rac{g(t)dt}{t-z}, \hspace{0.2cm} |z|>1.$$

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Formal exponential transform

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The key property of these rather special generating series is encoded in the formal exponential transform:

$$\exp[-\sum_{k=0}^{\infty} \frac{s_k(g)}{z^{k+1}}] = 1 - \sum_{k=0}^{\infty} \frac{t_k(g)}{z^{k+1}}.$$

Extremal solutions

The moment sequence $(s_k(g))_{k=0}^{\infty}$ of an integrable function with values in [0, 1] is characterized by the positive semi-definiteness of the Hankel matrix $(t_{k+\ell}(g))_{k,\ell=0}^{\infty}$.

The measure g(t)dt is determined by finitely many of its moments if and only if there exists an integer d, such that

$$\det[t_{j+\ell}(g)]_{j,\ell=0}^d=0,$$

in which case we already know that g is the sublevel set of a polynomial function, that is a **finite collection of intervals**.

Let A, B be self-adjoint, $d \times d$ complex matrices. Assume

$$B-A=\xi\langle\cdot,\xi\rangle=\xi\otimes\xi.$$

The min-max principle implies:

$$\lambda_1(A) \leq \lambda_1(B) \leq \lambda_2(A) \leq \lambda_2(B) \leq \ldots \leq \lambda_d(A) \leq \lambda_d(B).$$

Denote

$$g = \sum_{j=1}^n \chi_{[\lambda_j(A),\lambda_j(B)]}.$$

Perturbation determinant

Then

$$\det(B-z)(A-z)^{-1} = \prod_{j=1}^d \frac{\lambda_j(B)-z}{\lambda_j(A)-z} = \exp\int \frac{g(t)dt}{t-z}.$$

On the other hand

$$\det(B-z)(A-z)^{-1} = \det[I + (A-z)^{-1}\xi \otimes \xi] = 1 + \langle (A-z)^{-1}\xi, \xi \rangle = 1 + \int rac{d\mu(t)}{t-z},$$

in view of the spectral theorem.

The phase shift

For any polynomial $p \in \mathbb{C}[X]$ one has

trace
$$[p(B) - p(A)] = \int p'(t)g(t)dt.$$

Note that g(t) is any extremal solution to the *L*-problem of moments on the real line.

There exists a *constructive* bijective correspondence between:

1) Linear bounded self-adjoint operators A with a prescribed cyclic vector ξ ;

- 2) Functions $g \in L^1_{comp}(\mathbb{R}, dx)$ with values in [0, 1];
- 3) Positive measures μ of compact support on the real line.

$$\det(A+\xi\otimes\xi-z)(A-z)^{-1}=1+\langle (A-z)^{-1}\xi,\xi\rangle=$$
$$1+\int\frac{\mu(dx)}{x-z}=\exp\int\frac{g(t)dt}{t-z}, \quad \Im z>0.$$

$$ext{trace}(f(A+\xi\otimes\xi)-f(A))=\int f'(t)g(t)dt, \ \ f\in\mathcal{C}^{(1)}(\mathbb{R}).$$

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Is a linear bounded operator T acting on a Hilbert space H subject to ithe commutator inequality

$$[T^*,T]=T^*T-TT^*\geq 0$$

That is, for every vector $x \in H$, on has

$$\langle T^*Tx,x\rangle \geq \langle TT^*x,x\rangle,$$

or equivalently

 $||Tx|| \ge ||T^*x||, x \in H.$

Examples

If $S = N|_H$ is the restriction of a normal operator to an invariant subspace H, then

 $||Sx|| = ||Nx|| = ||N^*x|| \ge ||PN^*x|| = ||S^*x||, x \in H,$

where P denotes the orthogonal projection of the larger Hilbert space onto H.

Or a singular integral transform: consider $L^2(I, dx)$, where I is a closed interval on the line. Let $a, b \in L^{\infty}(I)$, with $a = \overline{a}$, a.e. Obviously the multiplication operator $[X\phi](x) = x\phi(x)$ is self-adjoint on $L^2(I, dx)$. The operator

$$[Y\phi](x) = a(x)\phi(x) - \frac{b(x)}{\pi i}\int_I \frac{\overline{b(y)}\phi(y)}{y-x}dy,$$

is well defined as a principal value and bounded on L^2 , by the well known continuity of the Hilbert transform.

Then

$$[\mathbf{X},\mathbf{Y}]\phi(\mathbf{x}) = \frac{b(\mathbf{x})}{\pi i} \int_{I} \overline{b(\mathbf{y})}\phi(\mathbf{y})d\mathbf{y},$$

hence T = X + iY is a hyponormal operator:

$$[T^*, T] = 2i[\mathbf{X}, \mathbf{Y}] \ge 0.$$

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Main inequalities

Putnam:

$$\pi \|[T^*, T]\| \le \text{Area } \sigma(T).$$

Berger and Shaw:

Trace
$$[T^*, T] \leq \frac{m(T)}{\pi}$$
Area $\sigma(T)$,

where m(T) stands for the rational multiplicity of T, that is the minimal number of vectors h_j , $1 \le j \le m(T)$, so that $f(T)h_j$ span the whole Hilbert space on which T acts, where f is an arbitrary rational function, analytic in a neighborhood of $\sigma(T)$.

$$[T^*, T] = \xi \otimes \xi.$$

and T is irreducible, that is the linear span of vectors $T^n T^{*m} \xi$, $n, m \ge 0$ is dense in H.

Then the *multiplicative commutator*

$$(T-z)(T^*-\overline{w})(T-z)^{-1}(T^*-\overline{w})^{-1}$$

is in the determinant class (that is the identity plus a trace-class operator) and

$$det(T - z)(T^* - \overline{w})(T - z)^{-1}(T^* - \overline{w})^{-1} = det[I - (\xi \otimes \xi)(T - z)^{-1}(T^* - \overline{w})^{-1}] = 1 - \langle (T - z)^{-1}(T^* - \overline{w})^{-1}\xi, \xi \rangle = 1 - \langle (T^* - \overline{w})^{-1}\xi, (T^* - \overline{z})^{-1}\xi \rangle.$$

Pincus Theorem

The integral representation

$$1-\langle (T^*-\overline{w})^{-1}\xi, (T^*-\overline{z})^{-1}\xi\rangle = \exp(\frac{-1}{\pi}\int_{\mathbb{C}}\frac{g(\zeta)dA(\zeta)}{(\zeta-z)(\overline{\zeta}-\overline{w})}),$$

establishes, for |z|, |w| >> 1, a one-to-one correspondence between all irreducible hyponormal operators T with rank-one self-commutator $[T^*, T] = \xi \otimes \xi$ and L^1 -classes of Borel measurable functions $g : \mathbb{C} \longrightarrow [0, 1]$ of compact support.

Principal function

The function g is called the *principal function* of the operator T, and it can be regarded as a generalized Fredholm index which is defined even for points of the essential spectrum. Defined whenever $[T^*, T]$ is trace class.

In that case Helton and Howe Theorem states:

$$\operatorname{trace}[p(T,T^*),q(T,T^*)] = \frac{1}{\pi} \int_{\mathbb{C}} J(p,q)g \, dA, \ \ p,q \in \mathbb{C}[z,\overline{z}],$$

where J(p,q) stands for the Jacobian of the two smooth functions.

Dawn of cyclic cohomology.

The exponential transform

Let $g \in L^1_{comp}(\mathbb{C}, dA)$ have values in [0, 1]:

$$E_g(z,\overline{w}) = \exp(\frac{-1}{\pi} \int_{\mathbb{C}} \frac{g(\zeta) dA(\zeta)}{(\zeta-z)(\overline{\zeta}-\overline{w})})$$

originally defined for $z, w \notin \text{supp}(g)$ has a series of defining positivity properties encoded in the Hilbert space factorization:

$$E_g(z,w) = 1 - \langle (T^* - \overline{w})^{-1}\xi, (T^* - \overline{z})^{-1}\xi \rangle.$$

It extends separately as a continuous function over the support g, equal to the spectrum of T.

Markov's problem in 2D

The frame is the unit disk \mathbb{D} , with test space filled by measurable functions $g : \mathbb{D} \longrightarrow [0, 1]$. We write the power moments in complex coordinates:

$$s_{k\ell}(g) = \int_{\mathbb{D}} z^k \overline{z}^\ell g dA, \ \ k,\ell \geq 0,$$

where dA stands for Lebesgue area measure on the disk \mathbb{D} .

The formal generating series and its exponential transform are

$$\exp\left[\frac{-1}{\pi}\sum_{k,\ell=0}^{\infty}\frac{s_{k\ell}(g)}{z^{k+1}\overline{z}^{\ell+1}}\right] = 1 - \sum_{k,\ell=0}^{\infty}\frac{b_{k\ell}(g)}{z^{k+1}\overline{z}^{\ell+1}}.$$

In particular the matrix $(b_{k\ell}(g))_{k,\ell=0}^{\infty}$ is positive semi-definite.

Extremal solutions

$$\det[b_{k\ell}(g)]_{k,\ell=0}^d=0$$

for some positive integer d, if and only if the original shade function g is the characteristic function of a *quadrature domain* Ω contained in \mathbb{D} .

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A quadrature domain is a bounded open set $\Omega \subset \mathbb{C}$ satisfying a Gaussian type quadrature

$$\int_{\Omega} f(z) dA(z) = c_1 f(a_1) + \ldots + c_d f(a_d),$$

valid for all complex analytic functions f which are integrable on Ω . Above the nodes a_1, \ldots, a_d belong to Ω and the weights c_1, \ldots, c_d are positive. Higher multiplicity nodes, that is derivatives of f, are permitted in such an identity.

A disk is a quadrature domain, in view of Gauss mean value theorem.

A disjoint union of disks is a QD.

The conformal image of a disk by a rational function is also a quadrature domain (such as a cardiodid or a lemniscate).

Algebraic boundary

Any connected quadrature domain is a principal semi-algebraic set, with an irreducible defining polynomial: $\Omega = \{z \in \mathbb{C}, Q(z, \overline{z}) < 0\}$ (modulo a finite set), where

$$\begin{aligned} Q(z,\overline{z}) &= |P_d(z)|^2 - |P_{d-1}(z)|^2 - |P_{d-2}(z)|^2 - \ldots - |P_1(z)|^2 - |P_0(z)|^2, \\ \text{with } P_j \in \mathbb{C}[z], 0 \leq j \leq d, \text{ and } \deg P_j = j, \ 0 \leq j \leq d. \end{aligned}$$

Quadrature domains are dense in Hausdorff metric among all bounded open subsets of the complex plane.

Rationality of exp transform

The degenerate situation det $[b_{k\ell}(g)]_{k,\ell=0}^d = 0$ is reflected in the rationality of the exponential transform

$$E_g(z,\overline{w}) = rac{Q(z,\overline{w})}{P_d(z)\overline{P_d(w)}}, \ |z|,|w| o \infty,$$

and vice-versa, provided the degeneracy degree d is chosen minimal.

The nodes a_1, \ldots, a_d of the mechanical quadrature are exactly the zeros of the leading polynomial $P_d(z)$.

Accessible potential, hence effective reconstruction algorithm

The exp transform of the characteristic function $E_G = E_{\chi_G}$ shares the features of a numerically accessible, defining potential:

$$\vdash \lim_{z\to\infty} E_G(z,\overline{z})=1,$$

•
$$E_G(z,\overline{z})$$
 is superharmonic and positive on $\mathbb{C} \setminus G$

►
$$E_G(z, \overline{z}) \sim \operatorname{dist}(z, \partial G), \quad z \to \partial G, \ z \notin G,$$

• $E_G(z, \overline{z})$ extends as a real analytic function acros analytic arcs of ∂G .

For instance, in the case of a disk D(a, r) elementary computations yield:

$$E_{D(a,r)}(z,\overline{z}) = 1 - \frac{r^2}{|z-a|^2}, |z-a| > r.$$

Reconstruction of a disk

$$|z-c|^2 \leq M^2, \ c \in \mathbb{C}, \ M > 0,$$

The initial moments are:

$$a_{00} = \pi M^2,$$

$$a_{01} = \int_{|z-c| \le M} z dA(z) = \pi Mc = \overline{a_{10}},$$

$$a_{11} = \int_{|z-c| \le M} |z|^2 dA(z) = 2\pi \int_0^M (|c|^2 + r^2) r dr = \pi M^2 |c|^2 + \pi \frac{M^4}{2}.$$

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Markov transform

The truncated exponential transforms is:

 $\exp\left[-\frac{M^2}{z\overline{w}} - \frac{M^2\overline{c}}{z\overline{w}^2} - \frac{M^2c}{z^2\overline{w}} - \frac{M^2|c|^2 + \frac{M^4}{2}}{z^2\overline{w}^2}\right] = 1 - \frac{M^2}{z\overline{w}} - \frac{M^2\overline{c}}{z\overline{w}^2} - \frac{M^2c}{z^2\overline{w}} - \frac{M^2|c|^2}{z^2\overline{w}^2} + O\left(\frac{1}{w^3}, \frac{1}{\overline{z}^3}\right).$

We infer

$$b_{00} = M^2, \ b_{10} = M^2 c, \ b_{01} = M^2 \overline{c}, \ b_{11} = M^2 |c|^2.$$

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Vanishing determinant $b_{00}b_{11} - b_{10}b_{01} = 0$ identifies the monic factor P(z) = z - c as the denominator $P(z)\overline{P(w)}$ of the rational approximant of the full exponential transform. Then

$$(z-c)(\overline{w}-\overline{c})[1-rac{M^2}{z\overline{w}}-rac{M^2\overline{c}}{z\overline{w}^2}-rac{M^2c}{z^2\overline{w}}-rac{M^2|c|^2}{z^2\overline{w}^2}]=$$

 $(z-c)(\overline{w}-\overline{c})-M^2+O(rac{1}{z^2},rac{1}{\overline{w}^2}).$

Conclusion: the generating shape possessing moments $a_{00}, a_{10}, a_{01}, a_{11}$ is necessarily black and white, defined by equation $|z - c|^2 \le M^2$.

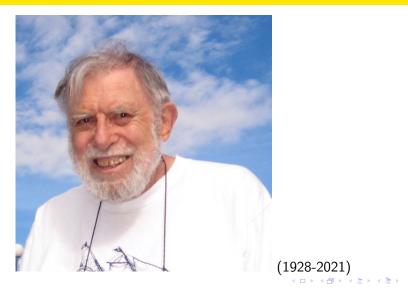
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Harold S. Shapiro



Superresolution

Let $\Delta = [-1, 1]^n$ denote the cube in \mathbb{R}^n endowed with Lebesgue measure and fix a degree $d \ge 1$. Let $p(X) = \sum_{|\beta| \le d} p_{\beta} X^{\beta}$ be a non-constant polynomial and let α be an admissible multi-index with respect to p. Denote by χ the characteristic function of the super-level set $p(x) \ge 0, x \in \Delta$.

Superresolution

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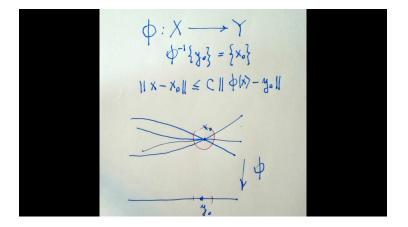
$$\|\chi - g\|_1^{|lpha|+1} \leq C^{|lpha|}(1+|lpha|)|\sum p_eta(s_eta(\chi)-s_eta(g))|$$

for every measurable function g in the ball $\|\chi - g\|_1 \leq \frac{|p_{\alpha}|^{1/|\alpha|}}{4d}C$, where the constant C depends only on n.

Admissible indices

A multi-index $\alpha \in \mathbb{N}^n$ admissible with respect to p, if $p_{\alpha} \neq 0$ and there exists a permutation $(\sigma(1), \sigma(2), \ldots, \sigma(n))$ of $(1, 2, \ldots, n)$ such that for every β with $p_{\beta} \neq 0$, either $\alpha_{\sigma(1)} > \beta_{\sigma(1)}$, or there exists an index $j, j \geq 2$, satisfying $\alpha_{\sigma(j)} > \beta_{\sigma(j)}$ and $\alpha_{\sigma(k)} = \beta_{\sigma(k)}$ for $1 \leq k \leq j - 1$.

It is easy to see that every polynomial admits at least one admissible multi-index.



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Ingredient in the proof

Denote $\Delta_r = [-r, r]^n$ for r > 0 and

$$V_{\delta}(p) = \{x \in \mathbb{R}^n, \ |p(x)| < \delta\}.$$

Theorem. (Dieu-2018) Let $p \in \mathbb{R}[x]$ be a polynomial of degree d and let $\alpha \in \mathbb{N}^n$ be an admissible multi-index for p. There is a constant C' depending only on n, such that for every $\delta > 0$ and r > 0 one has

$$\operatorname{vol}(V_{\delta}(p) \cap \Delta_r) \leq C' [\frac{4d}{|p_{\alpha}|^{1/|\alpha|}} \delta^{1/|\alpha|} r^{n-1} + (\frac{4d}{|p_{\alpha}|^{1/|\alpha|}} \delta^{1/|\alpha|})^n].$$

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More convexity and duality:

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Treating exclusively measures on [0, 1].

Equivalent statement

Having the moment space \mathbb{R}^N (containing $s(g) = (s_\alpha(g))_{|\alpha| \le d}$) endowed with a norm $\|\cdot\|$:

$$\|\chi - g\|_1 \leq K \|s(\chi) - s(g)\|^{\frac{1}{|\alpha|+1}},$$

with a constant K depending on the polynomial p, the admissible multi-index α and n.

Let $\Omega \subset \mathbb{D}$ be a quadrature domain of order d, with characteristic function χ and defining polynomial equation $Q(z,\overline{z}) < 0$, assuming the leading polynomial P_d monic. The highest order term of $Q(z,\overline{z})$ is $|z|^{2d}$, hence the multi-index (2d,0) is admissible for Q, with coefficient equal to 1.

Theorem. Let $g:\mathbb{D}\longrightarrow [0,1]$ be a measurable function. Then

$$\|\chi - g\|_{1,\mathbb{D}} \le e^{1/e} C \|\sum_{j=0}^{d} \|P_j\|_{2,\Omega}^2 - \|P_j\|_{2,gdA}^2\|^{\frac{1}{2d+1}},$$

provided $\|\chi - g\|_1 \leq \frac{C}{4d}$, where C is a universal constant.

Padé type approximation

Let $E(z, \overline{w}) = 1 - \sum_{k,\ell=0}^{\infty} \frac{b_{k\ell}}{z^{k+1}\overline{w}^{\ell+1}}$ be the exponential transform of a measurable function of compact support g, $0 \le g \le 1$, attached to the hyponormal operator T. Fix a positive integer N. There exists a unique formal series

$$\mathfrak{E}(z,\overline{w}) = 1 - \sum_{k,\ell=0}^{\infty} rac{c_{k\ell}}{z^{k+1}\overline{w}^{\ell+1}}$$

with the matching property

 $c_{k\ell} = b_{k\ell}$ for $(0 \le k \le N-1, 0 \le \ell \le N)$ or $(0 \le k \le N, 0 \le \ell \le N-1)$

and positivity and rank constraints

$$(c_{k\ell})_{k,\ell=0}^{\infty} \geq 0$$
, $\operatorname{rank}(c_{k\ell})_{k,\ell=0}^{\infty} \leq \min(N,n)$

where $n = \operatorname{rank}(b_{k\ell})_{k,\ell=0}^N$.

In this case

$$\mathfrak{E}(z,\overline{w}) = E_N(z,\overline{w}) = 1 - \langle (T_N^* - \overline{w})^{-1}\xi, (T_N^* - \overline{z})^{-1}\xi \rangle$$

where T_N the finite central truncation of the operator T to the linear subspace generated by the vectors ξ , $T^*\xi$, ..., $T^{*(N-1)}\xi$. Moreover,

$$E_N(z,\overline{w}) = rac{Q_N(z,\overline{w})}{P_N(z)\overline{P_N(w)}},$$

where P_N is the associated orthogonal polynomial, whenever it is unambiguously defined, and the polynomial kernel $Q_N(z, \overline{w})$ is positive semi-definite and has degree at most N-1 in each variable.

In addition, $\mathfrak{E}(z, \overline{w}) = E(z, \overline{w})$ as formal series if and only if the function g is the characteristic function of a quadrature domain of order $d \leq N$.

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One line formula

If $\Omega = \{z \in \mathbb{C}; Q(z,\overline{z}) < 0\}$ is a quadrature domain, with nodes at the zeros of the polynomial P(z), then

$$\frac{Q(z,\overline{w})}{P(z)\overline{P(w)}} = \exp(\frac{-1}{\pi}\int_{Q(\zeta,\overline{\zeta})<0}\frac{dA(\zeta)}{(\zeta-z)(\overline{\zeta}-\overline{w})}),$$

for |z|, |w| >> 1.

The exponential orthogonal polynomials $P_N(z)$ appearing in the approximation scheme satisfy a three term relation if and only if $g = \chi_{\mathcal{E}}$, where \mathcal{E} is an ellipse.

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Two point quadrature domains

The quadrature

$$\int_{\Omega} f dA = \pi r^2 (f(-1) + f(1))$$

valid for all entire functions f(z) has the exponential transform

$$E_{\Omega}(z,\overline{w})=rac{z^2\overline{w}^2-z^2-\overline{w}^2-2r^2z\overline{w}}{(z^2-1)(\overline{w}^2-1)}.$$

A double point

The quadrature

$$\int_{\Omega} f dA = 6\pi f(-1) - 4\pi f'(-1)$$

has a unique representing domain, of exponential transform

$${\sf E}_\Omega(z,\overline{w})=rac{z^2\overline{w}^2+2z\overline{w}^2+2z^2\overline{w}+z^2+\overline{w}^2-2z\overline{w}}{(z-1)^2(\overline{w}-1)^2}.$$

The two block-diagonal matrix model

 $\Omega \subset \mathbb{C}$ is a quadrature domain with T its hyponormal quantization: $[T^*, T] = \xi \langle \cdot, \xi \rangle$ and principal function equal to the characteristic function of Ω .

In this case the T^* - cyclic subspace $H_0 = \operatorname{span} \{T^{*k}\xi, k \ge 0\}$ is finite dimensional. The minimal polynomial of the restriction $D_0 = T^{|}ast|_{H_0}$ coincides with the monic polynomial P(z) of degree d vanishing at the quadrature nodes.

The subspaces

$$H_k = \operatorname{span} \{ T^j x, \ 0 \le j \le k, \ x \in H_0 \}$$

have exact dimension

$$\dim H_k = (k+1)d, \quad k \ge 0.$$

The staircase

The entire space H can be decomposed into an orthogonal direct sum:

$$H = H_0 \oplus [H_1 \ominus H_0] \oplus [H_2 \ominus H_1] \oplus \ldots,$$

and correspondingly one can write:

$$T = \begin{pmatrix} D_0 & 0 & 0 & \dots & \dots \\ A_0 & D_1 & 0 & & \dots \\ 0 & A_1 & D_2 & 0 & \dots \\ 0 & 0 & A_2 & D_3 & \dots \\ \vdots & & \ddots & \ddots & \ddots \end{pmatrix}$$

A convenient choice of orthogonal bases in each summand $H_{k+1} \ominus H_k = \mathbb{C}^d$ allows us to assume $A_k > 0$ for all $k \ge 0$.

Recurrence

The commutation relation $[T^*, T] = \xi \langle \cdot, \xi \rangle$ is equivalent to the recurrent system of equations

$$egin{aligned} &[D_k^*,D_k]+A_k^2=A_{k-1}^2, \ k\geq 0; \ A_{-1}=\xi\langle\cdot,\xi
angle, \ &A_kD_{k+1}=D_kA_k, \ k\geq 0. \end{aligned}$$
 Note that trace $A_k^2= ext{trace}\ A_{k-1}^2, \ k\geq 0, ext{ hence} \ & ext{trace}\ A_k^2=\|\xi\|^2=rac{ ext{Area}(\Omega)}{\pi}, \end{aligned}$

that is the off diagonal entries in are uniformly bounded in norm.

The boundedness of the entire operator T is equivalent to $\sup_k \|D_k\| < \infty.$

Further applications

Matrix model in Laplacian Growth

Regularity of free boundaries

Spectral analysis: separation of the "cloud" in Thomson's Theorem

Asymptotics of the exponential orthogonal polynomials

Packing quadrature domains

Truncated moment problem in 2D

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Hyponormal quantization

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