

FINITE SECTION METHOD FOR APERIODIC SCHRÖDINGER OPERATORS

FABIAN GABEL, DENNIS GALLAUN, JULIAN GROSSMANN*,
MARKO LINDNER AND RIKO UKENA

Abstract. We consider 1D discrete Schrödinger operators with aperiodic potentials given by a Sturmian word, which is a natural generalisation of the Fibonacci Hamiltonian. Via a standard approximation by periodic potentials, we establish Hausdorff convergence of the corresponding spectra for the Schrödinger operators on the axis as well as for their compressions to the half-axis.

Based on the half-axis results, we study the finite section method, which is another operator approximation, now by compressions to finite but growing intervals, that is often used to solve operator equations approximately. We find that, also for this purpose, the aperiodic case can be studied via its periodic approximants. Our results on the finite section method of the aperiodic operator are illustrated by confirming a result on the finite sections of the special case of the Fibonacci Hamiltonian.

Mathematics subject classification (2020): Primary 65J10, 47B36; Secondary 47N50.

Keywords and phrases: Aperiodic operators, Sturmian words, spectra, limit operators, Jacobi operators.

REFERENCES

- [1] G. BAXTER, *A norm inequality for a ‘finite-section’ Wiener-Hopf equation*, Illinois J. Math. **7** (1963), 97–103.
- [2] S. BECKUS, D. LENZ, M. LINDNER, AND C. SEIFERT, *Note on spectra of non-selfadjoint operators over dynamical systems*, Proc. Edinburgh Math. Soc. **61** (2018), 371–386.
- [3] J. BELLISSARD, B. ICHUM, E. SCOPPOLA, AND D. TESTARD, *Spectral Properties of One Dimensional Quasi-Crystals*, Commun. Math. Phys. **125**, (1989), 527–543.
- [4] J. BERSTEL, *Recent results in Sturmian words*, in J. Dassow and A. Salomaa, eds., *Developments in Language Theory*, vol. 2, Singapore: World Scientific, 1996, pp. 13–24.
- [5] S. N. CHANDLER-WILDE AND M. LINDNER, *Sufficiency of Favard’s condition for a class of band-dominated operators on the axis*, J. Funct. Anal. **254** (2008), 1146–1159.
- [6] S. N. CHANDLER-WILDE AND M. LINDNER, *Limit Operators, Collective Compactness, and the Spectral Theory of Infinite Matrices*, American Mathematical Society, 2011.
- [7] S. N. CHANDLER-WILDE AND M. LINDNER, *Coburn’s lemma and the finite section method for random Jacobi operators*, J. Funct. Anal. **270** (2016), 802–841.
- [8] S. N. CHANDLER-WILDE, R. CHONCHAIYA, AND M. LINDNER, *On Spectral Inclusion Sets and Computing the Spectra and Pseudospectra of Bounded Linear Operators*, in preparation.
- [9] S. N. CHANDLER-WILDE AND M. LINDNER, *Convergent spectral inclusions for finite and infinite banded matrices*, in preparation.
- [10] R. CHONCHAIYA, *Computing the Spectra and Pseudospectra of Non-Self-Adjoint Random Operators Arising in Mathematical Physics*, Ph.D. thesis, University of Reading, 2010.
- [11] D. DAMANIK AND D. LENZ, *Uniform spectral properties of one-dimensional quasicrystals, I. Absence of eigenvalues*, Commun. Math. Phys. **207** (1999), 687–696.
- [12] D. DAMANIK, D. LENZ, *Half-line eigenfunction estimates and purely singular continuous spectrum of zero Lebesgue measure*, Forum Math. **16** (2004), 109–128.

- [13] D. DAMANIK, *Strictly ergodic subshifts and associated operators*, in F. Gesztesy, P. Deift, C. Galvez, P. Perry, and W. Schlag, eds., *Proceedings of Symposia in Pure Mathematics*, vol. 76, AMS, 2007, pp. 505–538.
- [14] D. DAMANIK, M. EMBREE, AND A. GORODETSKI, *Spectral properties of Schrödinger operators arising in the study of quasicrystals*, in J. Kellendonk, D. Lenz, and J. Savinien, eds., *Mathematics of Aperiodic Order*, *Progress in Mathematics*, vol. 309, Birkhäuser, 2015, pp. 307–370.
- [15] D. DAMANIK, A. GORODETSKI, Q.-H. LIU, Y. H. QU, *Transport exponents of Sturmian Hamiltonians*, *J. Funct. Anal.* **269** (2015), 1404–1440.
- [16] D. DAMANIK, J. FILLMAN, *Spectral properties of limit-periodic operators*, in M. Keller, D. Lenz, and R. Wojciechowski (Eds.), eds., *Analysis and Geometry on Graphs and Manifolds*, London Math. Soc. Lecture Note Ser., vol. 461, Cambridge Univ. Press, 2020, pp. 382–444.
- [17] D. DAMANIK, A. GORODETSKI, AND W. YESSEN, *The Fibonacci Hamiltonian*, *Invent. math.* **206** (2016), 629–692.
- [18] M. EMBREE AND J. FILLMAN, *Spectra of discrete two-dimensional periodic Schrödinger operators with small potentials*, *J. Spectr. Theory* **9** (2019), 1063–1087.
- [19] F. GABEL, D. GALLAUN, J. GROSSMANN, M. LINDNER, AND R. UKENA, *Spectral Analysis Code for Aperiodic Schrödinger Operators, Data and code*, Zenodo, 2023, available at <https://doi.org/10.5281/zenodo.7657268>.
- [20] F. GABEL, D. GALLAUN, J. GROSSMANN, M. LINDNER, AND R. UKENA, *Finite Sections of Periodic Schrödinger Operators*, preprint, 2021, available at <https://arxiv.org/abs/2110.09339>.
- [21] F. GABEL, D. GALLAUN, J. GROSSMANN, M. LINDNER, AND R. UKENA, *Spectral Approximation of Generalized Schrödinger Operators via Approximation of Subwords*, preprint, 2022, available at <https://arxiv.org/abs/2209.11613>.
- [22] I. GOHBERG AND I. A. FELDMAN, *Convolution Equations and Projection Methods for Their Solution*, American Mathematical Society, 1974.
- [23] R. HAGEN, S. ROCH, AND B. SILBERMANN, *C*-Algebras and Numerical Analysis*, CRC Press, 2000.
- [24] R. HAGGER, *Fredholm Theory with Applications to Random Operators*, Ph.D. thesis, Technische Universität Hamburg, 2016, available at <https://doi.org/10.15480/882.1272>.
- [25] R. HAGGER, M. LINDNER, AND M. SEIDEL, *Essential pseudospectra and essential norms of band-dominated operators*, *J. Math. Anal. Appl.* **437** (2016), 255–291.
- [26] J. KELLENDONK, E. PRODAN, *Bulk-Boundary Correspondence for Sturmian Kohmoto-Like Models*, *Ann. Henri Poincaré* **20** (2019), 2039–2070.
- [27] A. KHINCHIN, *Continued Fractions*, University of Chicago Press, 1964.
- [28] M. KOHMOTO, L. P. KADANOFF, C. TANG, *Localization problem in one dimension: Mapping and escape*, *Phys. Rev. Lett.* **50** (1983), 1870–1876.
- [29] M. LANG, *Introduction to Diophantine Approximations – New Expanded Edition*, Springer, 1995.
- [30] Y. LAST, B. SIMON, *The essential spectrum of Schrödinger, Jacobi, and CMV operators*, *J. Anal. Math.* **98** (2006), 183–220.
- [31] M. LINDNER, *Infinite Matrices and their Finite Sections: An Introduction to the Limit Operator Method*, Birkhäuser, 2006.
- [32] M. LINDNER, *The finite section method and stable subsequences*, *J. Anal. Appl.* **7** (2010), 269–278.
- [33] M. LINDNER AND M. SEIDEL, *An affirmative answer to a core issue on limit operators*, *J. Funct. Anal.* **267** (2014), 901–917.
- [34] M. LINDNER AND H. SÖDING, *Finite sections of the Fibonacci Hamiltonian*, in A. Böttcher, D. Potts, P. Stollmann, and D. Wenzel, eds., *The Diversity and Beauty of Applied Operator Theory, Operator Theory: Advances and Applications*, vol. 268, Birkhäuser, 2018, pp. 381–396.
- [35] M. LINDNER, *Minimal Families of Limit Operators*, *Oper. Matrices* **16** (2022), 529–543.
- [36] M. LINDNER AND D. SCHMECKPEPER, *A note on Hausdorff convergence of pseudospectra*, *Opuscula Math.* **43** (2023), 101–108.
- [37] J. LUCK AND D. PETRITIS, *Phonon spectra in one-dimensional quasicrystals*, *J. Stat. Phys.* **42** (1986) 289–310.
- [38] M. LOTHAIRE, *Algebraic Combinatorics on Words*, Cambridge University Press, 2002.
- [39] L. MARIN, *Dynamical bounds for Sturmian Schrödinger operators*, *Rev. Math. Phys.* **22** (2010), 859–879.

- [40] S. OSLUND, R. PANDIT, D. RAND, H. SCHELLNHUBER, AND E. SIGGIA, *One-dimensional Schrödinger equation with an almost periodic potential*, Phys. Rev. Lett. **50** (1983), 1873–1877.
- [41] D. PERRIN AND A. RESTIVO, *A Note On Sturmian Words*, Theoret. Comput. Sci. **429** (2012), 265–272.
- [42] C. PUELZ, M. EMBREE, AND J. FILLMAN, *Spectral approximation for quasiperiodic Jacobi operators*, Integr. Equ. Oper. Theory **82**, (2015), 533–554.
- [43] V. S. RABINOVICH, S. ROCH, AND B. SILBERMANN, *Fredholm theory and finite section method for band-dominated operators*, Integr. Equ. Oper. Theory **30** (1998) 452–495.
- [44] V. S. RABINOVICH, S. ROCH, AND B. SILBERMANN, *Limit operators and their applications in operator theory*, Birkhäuser, 2004.
- [45] V. S. RABINOVICH, S. ROCH, AND B. SILBERMANN, *On finite sections of band-dominated operators*, in M. Bastos, A. Lebre, F. Speck, and I. Gohberg, eds., Operator Algebras, Operator Theory and Applications, Operator Theory: Advances and Applications, vol. 181, Birkhäuser, 2008, pp. 303–344.
- [46] M. SENECHAL, *Quasicrystals and Geometry*, Cambridge University Press, 1995.
- [47] D. SHECHTMAN, I. BLECH, D. GRATIAS, AND J. CAHN, *Metallic phase with long-range orientational order and no translational symmetry*, Phys. Rev. Lett. **53** (1984), 1951–1953.
- [48] P. STEINHARDT, *New perspectives on forbidden symmetries, quasicrystals, and Penrose tilings*, Proc. Natl. Acad. Sci. USA **93** (1996), 14267–14270.
- [49] A. SÜTŐ, *The spectrum of a quasiperiodic Schrödinger operator*, Commun. Math. Phys. **111** (1987), 409–415.