

Glivenko–Cantelli Theory,
Banach-space valued Ergodic Theorems
and
uniform approximation of the integrated density of states

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joint with
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& Fabian Schwarzenberger (HTW Dresden)

Spectral distribution function of Hamiltonians on \mathbb{Z}^d

Hamiltonian = (negative) Laplacian + multiplication operator
= kinetic energy + potential energy (in Quantum Mechanics)

$$(H\phi)(x) = \sum_{y \text{ neighbour of } x} (\phi(x) - \phi(y)) + V(x)\phi(x)$$

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Local procedure, using cubes $\Lambda = \mathbb{Z}^d \cap [-L, L]^d$ and $H_L = \mathbf{1}_\Lambda^* H \mathbf{1}_\Lambda$:

$$\mathbb{R} \ni E \rightarrow N_L(E) := \frac{\#\{\text{eigenvalues of } H_L \leq E\}}{(2L+1)^d}$$

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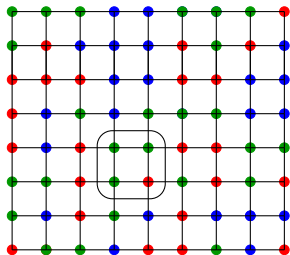
Well known:

Under appropriate ergodicity assumptions on potential or *coloring* $V: \mathbb{Z}^d \rightarrow \mathbb{R}$

$$\lim_{L \rightarrow \infty} N_L(E) =: N(E)$$

exists for almost all $E \in \mathbb{R}$ and is a distribution function.

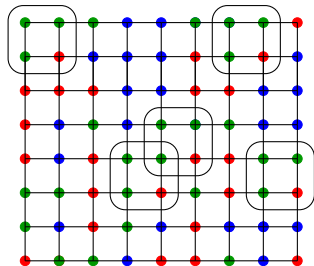
Assumptions on potential or colouring $V: \mathbb{Z}^d \rightarrow \mathcal{A}$



- ▶ finitely many values $|\mathcal{A}| < \infty$
- ▶ existence of pattern frequencies:

$P \in \mathcal{P}_r =$ all patterns of size $[-r, r]^d$

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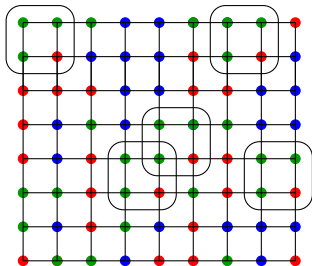


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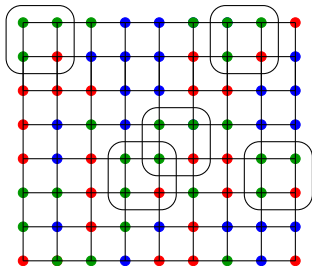
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Theorem Lenz, Müller & Ves. 08

$$\lim_{n \rightarrow \infty} \|N_L - N\|_\infty = 0$$

In fact for any $r < L \in \mathbb{N}$

$$\sup_{E \in \mathbb{R}} \|N_L(E) - N(E)\|_\infty \leq \text{const} \left[\frac{1}{r} + \frac{r}{L} + \sum_{P \in \mathcal{P}_r} |\nu_L(P) - \nu(P)| \right]$$

Sum is finite since \mathcal{A} finite.

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Results does not require that the limiting distribution function is continuous.

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Examples of colorings $V: \mathbb{Z}^d \rightarrow \mathcal{A}$ satisfying assumptions

- ▶ $V = \mathbf{1}_{VP}$, where $VP \subset \mathbb{Z}^d$ denotes the set of points visible from the origin
- ▶ $V(x)$, $x \in \mathbb{Z}^d$, i.i.d sequence of random variables \Rightarrow almost surely satisfied

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Actually, Theorem applies to abstract fields

$$\mathcal{P}(\mathbb{Z}^d) \ni \Lambda \mapsto f_\Lambda \in \mathcal{B} \text{ Banach space}$$

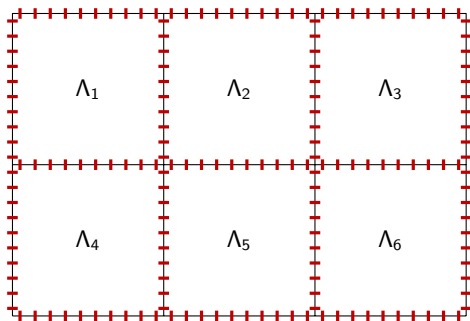
satisfying

- ▶ almost additivity with respect to finite Λ
- ▶ equi-variance with respect to colouring V , respectively patterns

Almost additivity (semi locality, low complexity)

Let $\Lambda_1, \dots, \Lambda_N \subset \mathbb{Z}^d$ finite, disjoint and $\Lambda := \Lambda_1 \cup \dots \cup \Lambda_N$

$$\Rightarrow \left\| f_\Lambda - \sum_{j=1}^N f_{\Lambda_j} \right\|_{\mathcal{B}} \leq \text{const.} \sum_{j=1}^N \#\partial\Lambda_j$$



True for the eigenvalue counting functions due to interlacing theorem for eigenvalues.

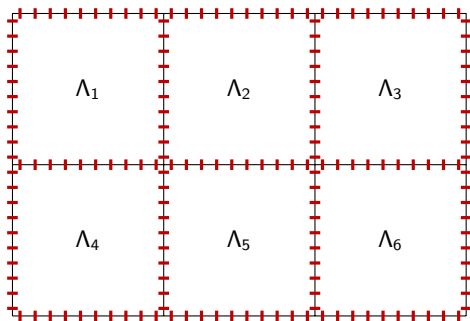
Each removed edge gives a rank one perturbation.

Almost additivity (semi locality, low complexity)

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$$\Rightarrow \sup_{\omega \in \mathcal{A}^{\mathbb{Z}^d}} \left\| f_{\Lambda}(\omega) - \sum_{j=1}^N f_{\Lambda_j}(\omega) \right\|_{\mathcal{B}} \leq \text{const.} \sum_{j=1}^N \#\partial\Lambda_j$$

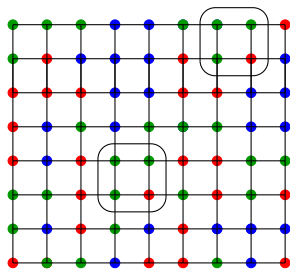
for all patterns/configurations $\omega \in \mathcal{A}^{\mathbb{Z}^d}$, if coloring generated by stochastic field



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Equi-variance with respect to colouring V

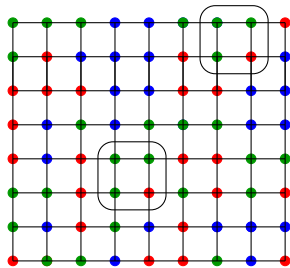


same patterns \Rightarrow same values

$$V|_{\Lambda} = V|_{\Lambda+k} \Rightarrow f_{\Lambda} = f_{\Lambda+k}$$

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Consequence: f induces a function $\tilde{f}: \text{patterns} \rightarrow \mathcal{B}$

$\tilde{f}\left(\begin{array}{|c|c|} \hline \bullet & \bullet \\ \hline \bullet & \bullet \\ \hline \end{array}\right)$ is well defined without knowing where $\begin{array}{|c|c|} \hline \bullet & \bullet \\ \hline \bullet & \bullet \\ \hline \end{array}$ is located in \mathbb{Z}^d

Questions

Does uniform convergence theorem & error estimate hold

- ▶ for Laplacians of more general groups than \mathbb{Z}^d ?
- ▶ for potential fields or colorings where the set of values \mathcal{A} is infinite or even uncountable?

Laplace on discrete group, more precisely, on Cayley graph

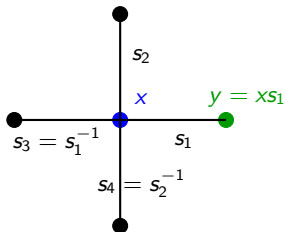
G discrete group, $S = S^{-1} \subset G \setminus \{\text{id}\}$ finite, symmetric generating set

adjacency relation $x \sim y \Leftrightarrow x^{-1}y \in S$ defines Cayley graph $\text{Cay}(G, S)$

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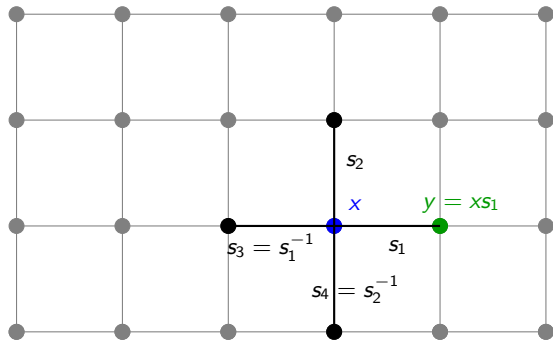


neighbours of x in \mathbb{Z}^2

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Cayley graph of \mathbb{Z}^2

$\text{Cay}(\mathbb{Z}^2, \{s_1, s_2, s_3, s_4\})$

Hamilton operator on Cayley graph $\text{Cay}(G, S)$

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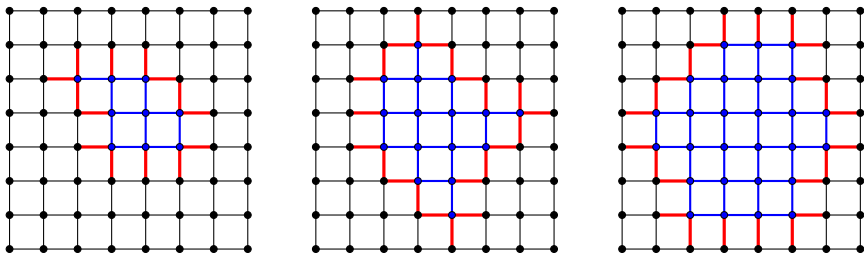
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Standing assumption: Amenability

$\text{Cay}(G, S)$ amenable \Leftrightarrow exists Følner sequence $\Lambda_1 \subset \Lambda_2 \subset \Lambda_3 \subset \dots \subset G$

$$\Leftrightarrow \Lambda_j \neq \emptyset \text{ finite and } \lim_{j \rightarrow \infty} \frac{|\partial\Lambda_j|}{|\Lambda_j|} = 0$$

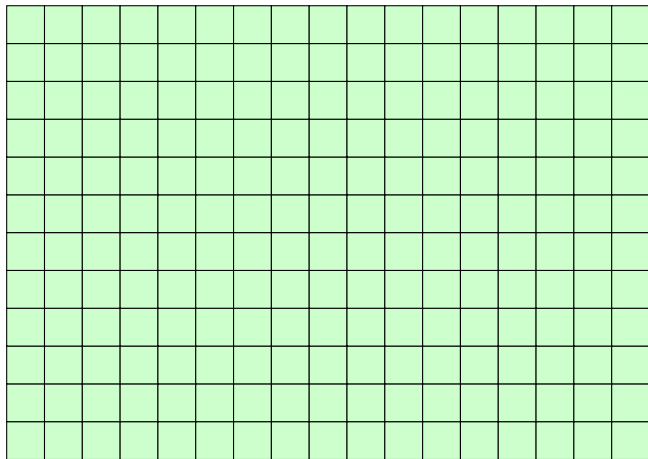
where $\partial\Lambda := \{(x, y) \mid \Lambda \ni x \sim y \notin \Lambda\}$



amenability of $\text{Cay}(G, S)$ independent of choice of S

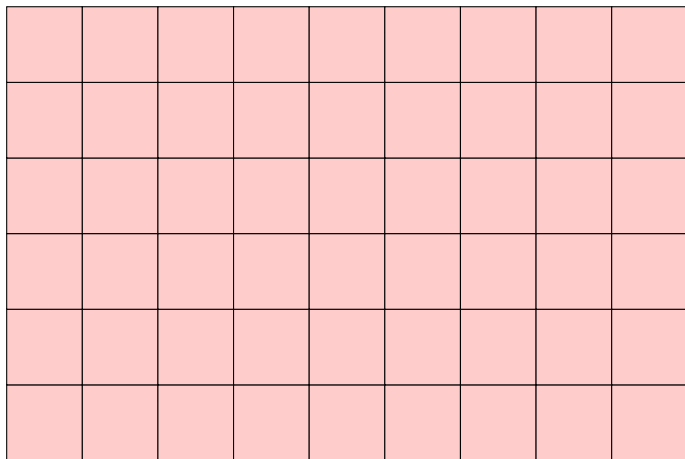
Temporary assumption: Symmetric tiling

finite $\Lambda \in \mathcal{P}(G)$ tiles G symmetrically \Leftrightarrow there is set $C = C^{-1} \subseteq G$ such that $G = \dot{\bigcup}_{g \in C} \Lambda g$.

 Λ_1 

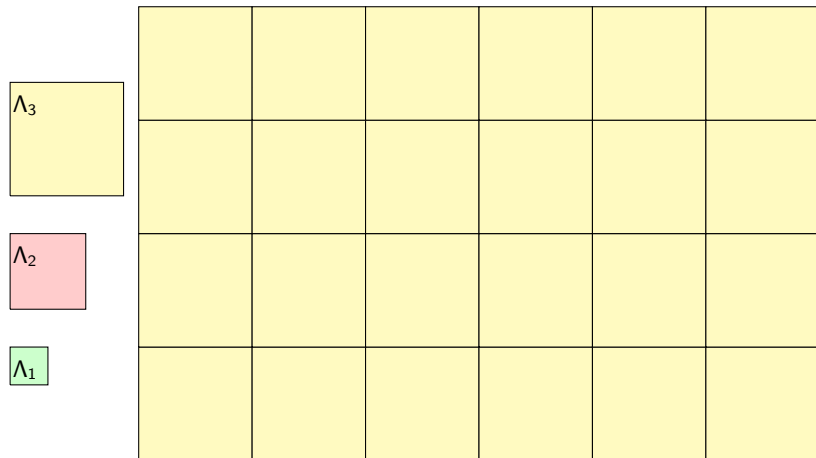
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Temporary assumption: Symmetric tiling

Assume existence of Foelner sequence of symmetric tiles.



Theorem Lenz, Schwarzenberger, Ves. 2011

Let $V: G \rightarrow \mathcal{A}$ have frequencies and $f: \mathcal{P}(G) \rightarrow \mathcal{B}$ be V equ-variant and almost-additive. Let (Λ_n) be a Følner sequence such that each Λ_n symmetrically tiles G . Let (U_j) be arbitrary Følner sequence.

Then the Banach space limit

$$\bar{f} := \lim_{j \rightarrow \infty} \frac{f_{U_j}}{|U_j|}$$

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$$\bar{f} := \lim_{j \rightarrow \infty} \frac{f_{U_j}}{|U_j|} = \lim_{n \rightarrow \infty} \sum_{P \in \mathcal{P}(\Lambda_n)} \nu(P) \frac{\tilde{f}(P)}{|\Lambda_n|}$$

exist and coincide.

For $j, n \in \mathbb{N}$ the difference

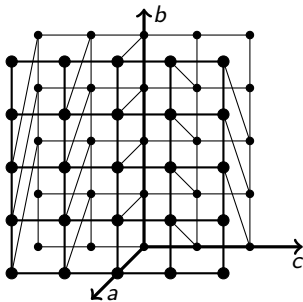
$$\left\| \frac{f_{U_j}}{|U_j|} - \sum_{P \in \mathcal{P}(\Lambda_n)} \nu(P) \frac{\tilde{f}(P)}{|\Lambda_n|} \right\|_{\mathcal{B}}$$

is bounded above by

$$\text{const.} \left[\frac{|\partial \Lambda_n|}{|\Lambda_n|} + \frac{|\partial^{\text{diam}(\Lambda_n)} U_j|}{|U_j|} + \sum_{P \in \mathcal{P}(\Lambda_n)} \left| \frac{\nu_{U_j}(P)}{|U_j|} - \nu(P) \right| \right]$$

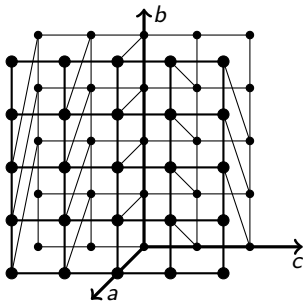
How restrictive is the assumption of having a symmetric tiling Følner sequence?

- ▶ this is satisfied, if one finds a sequence of subgroups (G_n) and associated fundamental domains (F_n), which form a Følner sequence
- ▶ this is satisfied, if is residually finite, amenable group G (Krieger 2007 using Weiss 2001)
- ▶ example: Heisenberg group



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- ▶ Not very restrictive.
- ▶ No discrete amenable groups known which violate condition.
- ▶ Still unsatisfactory condition.

Quasi-tilings

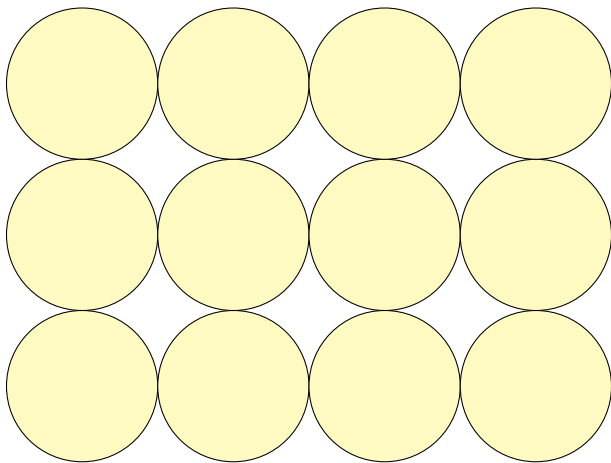


Figure: Ball quasi-tilings approximate \mathbb{R}^d or \mathbb{Z}^d very fast.

Quasi-tilings

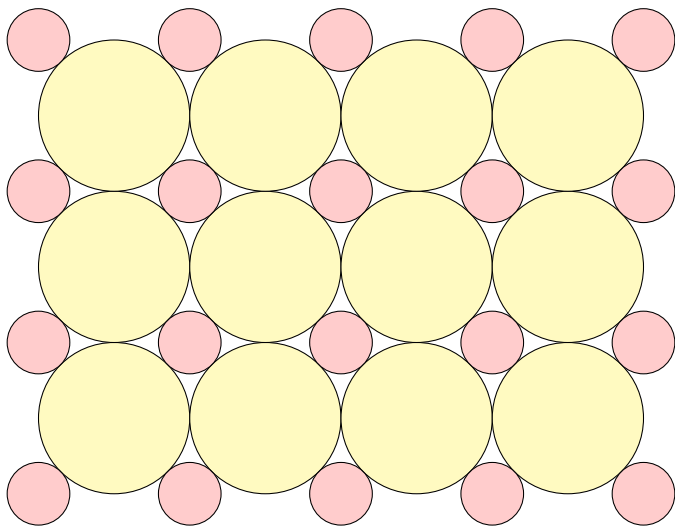


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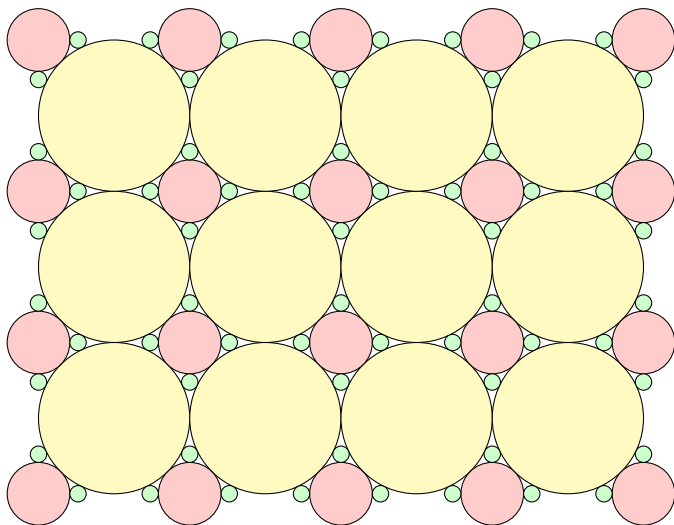
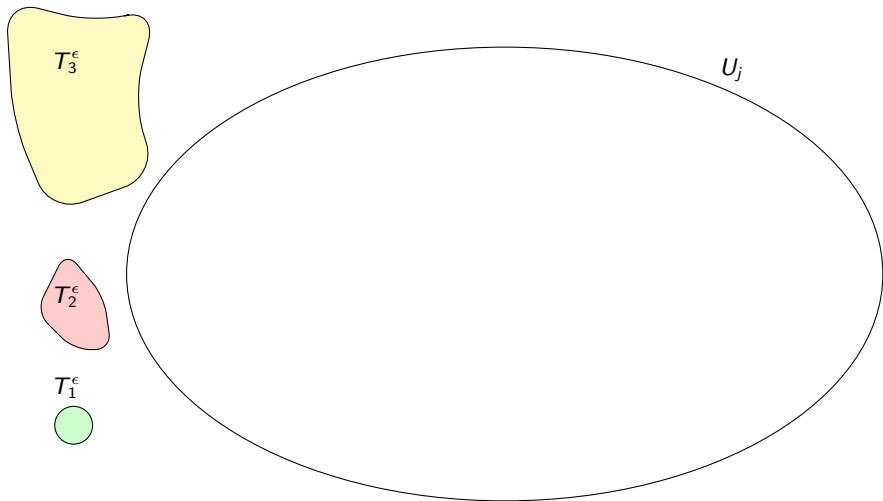
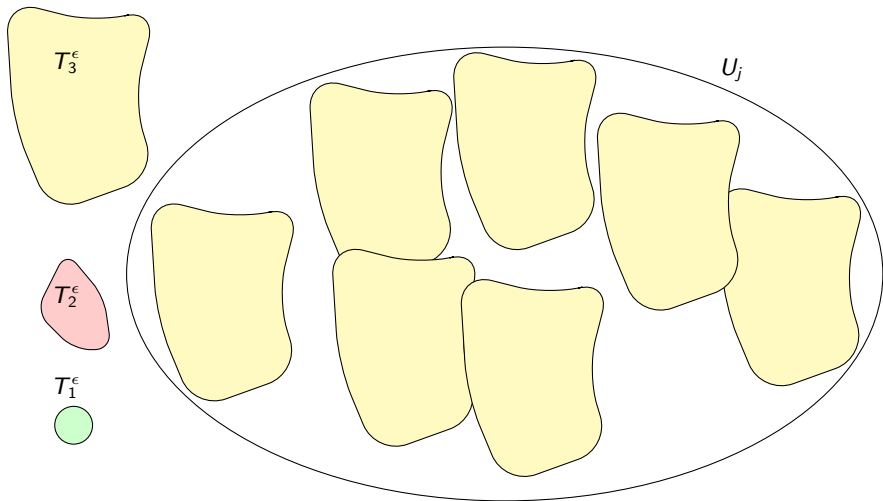
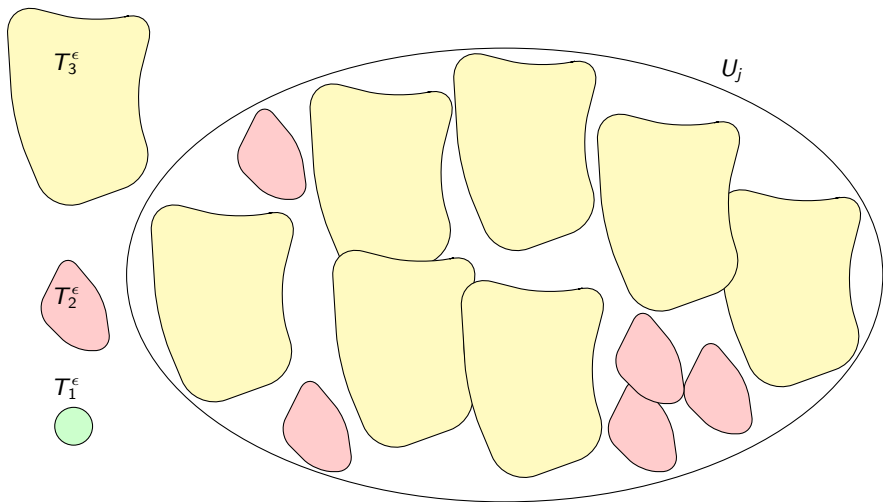


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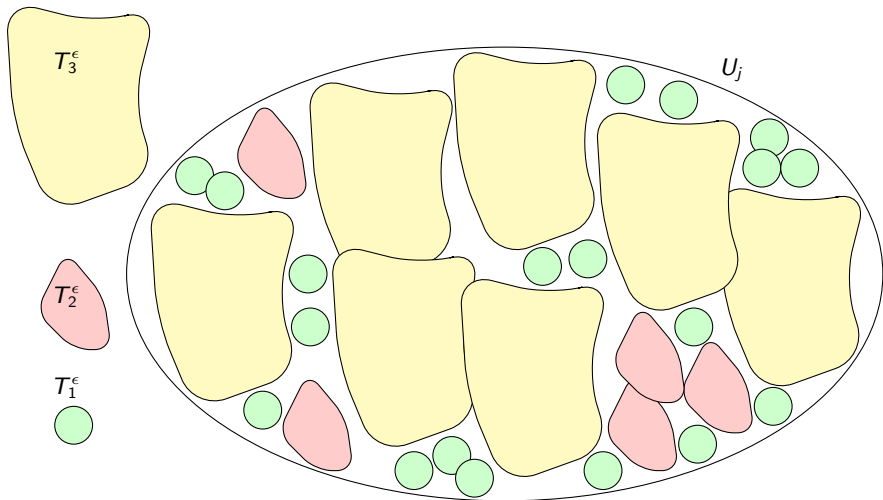
ϵ -Quasi tilings of Ornstein and Weiss



Leave at most ϵ -portion uncovered.

Have at most ϵ -portion overlap (within same generation).

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Quasi-Tiling

Theorem Pogorzelski, Schwarzenberger 11 based on Ornstein, Weiss 87

Let (U_j) and (S_n) be Følner sequences with $e \in S_n \subseteq S_{n+1}$, $(n \in \mathbb{N})$. For $0 < \epsilon \leq 1/10$ there are sets $T_i^\epsilon \in \{S_n \mid n \geq i\}$, $i = 1, \dots, N(\epsilon)$ which fulfil: for $j \geq j_0(\epsilon)$ we find center sets $(C_{i,j})_{i=1}^{N(\epsilon)}$ such that

- ▶ $T_i^\epsilon C_{i,j} \subseteq U_j \quad (i \in \{1, \dots, N(\epsilon)\})$
- ▶ $\{T_i^\epsilon c\}_{c \in C_{i,j}}$ is ϵ -disjoint $(i \in \{1, \dots, N(\epsilon)\})$
- ▶ $\{T_i^\epsilon C_{i,j}\}_{i=1}^{N(\epsilon)}$ is a disjoint family
- ▶ $\left| \frac{|T_i^\epsilon C_{i,j}|}{|U_j|} - \eta_i(\epsilon) \right| \leq 2^{-N(\epsilon)-1} \epsilon \quad (i \in \{1, \dots, N(\epsilon)\})$

where

- ▶ $N(\epsilon) := \lceil \log(\epsilon) / \log(1 - \epsilon) \rceil \quad 0 < \epsilon \leq 1/10$
- ▶ $\eta_i(\epsilon) := \epsilon(1 - \epsilon)^{N(\epsilon)-i} \quad i = 1, \dots, N(\epsilon).$

Theorem Pogorzelski, Schwarzenberger 2011

For V with pattern frequencies $\nu(P)$, F almost additive & equi-variant,
 $(U_j) \subset G$ Følner sequence

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exists, where

- ▶ $N(\epsilon) := \lceil \log(\epsilon) / \log(1 - \epsilon) \rceil \quad 0 < \epsilon \leq 1/10$
- ▶ $\eta_i(\epsilon) := \epsilon(1 - \epsilon)^{N(\epsilon) - i} \quad i = 1, \dots, N(\epsilon)$.
- ▶ $(T_i^\epsilon)_{i=1}^{N(\epsilon)}$ is an ϵ -quasi-tiling (as before)
- ▶

$$\left\| \bar{f} - \frac{f_{U_j}}{|U_j|} \right\| \leq \text{const.} \left[\epsilon + \sum_{i=1}^{N(\epsilon)} \eta_i(\epsilon) \frac{b(T_i^\epsilon)}{|T_i^\epsilon|} + \sum_{i=1}^{N(\epsilon)} \eta_i(\epsilon) \sum_{P \in \mathcal{P}(T_i^\epsilon)} \left| \frac{\nu_{U_j}(P)}{|U_j|} - \nu(P) \right| \right]$$

Potential or coloring V with uncountable many values in $\mathcal{A} \subset \mathbb{R}$

Recall error estimate of Lenz, Müller & Ves. 2008

$$\left\| \frac{1}{n^d} f_{\Lambda_n} - f \right\|_B \leq \text{const} \left[\frac{1}{r} + \frac{r}{n} + \sum_{P \in \mathcal{P}_r} |\nu_n(P) - \nu(P)| \right] \quad (*)$$

Sum does not make sense for uncountable \mathcal{A} , but we identify the total variation norm of the difference $\nu_n - \nu$.

\Rightarrow convergence of pattern densities in total variation norm sufficient to extend the theorem.

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\Rightarrow convergence of pattern densities in total variation norm sufficient to extend the theorem.

Unfortunately this, is not a natural assumption.

Glivenko–Cantelli Theory tells us

For an continuous probability measure ν on \mathbb{R} the approximating empirical measures ν_n do not converge in total variation.

So, if $V(x)$ is an i.i.d. sequence of continuous random variables (*) does not converge to zero.

Monotonicity allows integration by parts

Assume that $\mathcal{B} = L^\infty(\mathbb{R})$ and $\omega_x \mapsto f_\lambda(\omega)$ is monotone for each index $x \in \mathbb{Z}^d$.

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Idea

monotonicity

↪ weak differentiability

↪ integration by parts

↪ replace TV norm by $\|\cdot\|_\infty$ norm for distribution functions

Theorem Schumacher, Schwarzenberger & Ves. 17

$V_x: \Omega \rightarrow \mathbb{R}, x \in \mathbb{Z}^d$, i.i.d.random variables define random colouring,
 $f: \mathcal{P}(\mathbb{Z}^d) \times \Omega \rightarrow \mathcal{B}$ equi-variant, almost additive, monotone coordinate-wise
 and

$$\|f_\Lambda\|_\infty \leq \text{const} |\Lambda|$$

\Rightarrow exists isotone bounded function $f: \mathbb{R} \rightarrow [0, 1]$

$$\lim_{n \rightarrow \infty} \left\| \frac{1}{(2n+1)^d} f_{\Lambda_n} - f \right\|_\infty = 0 \quad \text{for almost all } \omega$$

and explicit error estimates: geometric + probabilistic error.

Recall $\Lambda_n = \mathbb{Z}^d \cap [-n, n]^d$.

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probabilistic error:

Large deviations type result \rightsquigarrow fast stochastic convergence \rightsquigarrow almost sure convergence

Extension to amenable groups G

Theorem Schumacher, Schwarzenberger & Ves. preprint 2017

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$V_x: \Omega \rightarrow G, x \in \mathbb{Z}^d$, i.i.d.random variables define random colouring,
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New challenge here

Tiles in a quasi-tiling might overlap \rightsquigarrow corresponding sample are not independent \rightsquigarrow empirical measures for pattern frequencies are biased \rightsquigarrow use resampling machinery to correct/estimate bias and apply Glivenko–Cantelli Theory.

Many thanks for your attention!