# A K-theoretic Proof <br> of Boutet de Monvel's Index Theorem for Boundary Value Problems 

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## Coauthors

## Relies on joint work with

## S. Melo (São Paolo), R. Nest (Kopenhagen) T. Schick (Göttingen)

1. Melo, Nest, Schrohe. $C^{*}$-structure and K-theory of Boutet de Monvel's algebra.
J. Reine Angew. Math. 2003.
2. Melo, Schick, Schrohe. A K-theoretic proof of Boutet de Monvel's index theorem for boundary value problems. math.KT/0403059, J. Reine Angew. Math. (to appear)

## The Index

## Fredholm Operators

A linear operator $P$ is a Fredholm operator if $\operatorname{dim} \operatorname{ker} P$ and codim ran $P$ are both finite.

In that case

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\text { Index } P=\operatorname{dim} \text { ker } P-\operatorname{codim} \operatorname{ran} P \in \mathbb{Z}
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## Important

Index is stable under small and compact perturbations.

## The Index

## The Classical Situation: Closed Manifold $M$

$P$ (pseudo-)differential operator

$$
P: C^{\infty}(M, E) \longrightarrow C^{\infty}(M, F)
$$

acting between sections of vector bundles $E, F$ over $M$. Elliptic: Principal symbol $\sigma_{P}(x, \xi)$ invertible for $(x, \xi) \in T^{*} M \backslash 0$.

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## Central Facts

- Ellipticity implies that $P$ is Fredholm.
- Index depends only on principal symbol (lower order terms = compact perturbations)
- Index depends only on stable homotopy classes of $\sigma_{P}$.


## The Index Problem

## Gelfand 1960

Compute Index $P$ from $\sigma_{P}$.

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Compute Index $P$ from $\sigma_{P}$.

## Atiyah und Singer 1963

- Solved the problem.
- Key tools: K-theory and pseudodifferential calculus.


## K-theory

## Definition

A K-class with compact support over $X$ is a triple $(E, F, \sigma)$

- $E, F$ vector bundles over $X$
- $\sigma: E \rightarrow F$ vector bundle map
- $\sigma$ isomorphism outside compact set.


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## Principal Symbol

$\sigma_{P}$ 'lives' on $T^{*} M \backslash 0$. Defines homomorphism $\pi^{*} E \rightarrow \pi^{*} F$. Moreover: Isomorphism outside zero section due to ellipticity. Hence: Defines an element

$$
\left[\sigma_{P}\right] \in K_{c}\left(T^{*} M\right) .
$$

## Index Theorem

## Topological Index Map

There exists a homomorphism ('topological index map')

$$
\chi_{t}: K_{c}\left(T^{*} M\right) \rightarrow \mathbb{Z}
$$

## Corollary

Have two ways of associating an integer to an elliptic operator:

- Take the Fredholm index of $P$
- Take the topological index of $\left[\sigma_{P}\right]$

Index Theorem: Same result

$$
\text { Index } P=\chi_{t}\left(\left[\sigma_{P}\right]\right) .
$$

## Index Theorem

## Cohomological Form

$$
\operatorname{Index} P=\int \operatorname{ch}\left[\sigma_{P}\right] \wedge \operatorname{Td}(M)
$$

with Chern character of the K-class and the Todd genus of $M$.

## Classical Boundary Value Problems

$\Omega \subseteq \mathbb{R}^{n}$ smoothly bounded domain.
$P$ differential operator on $\Omega, f$ function on $\Omega$,
$T$ trace operator, $g$ function on $\partial \Omega$.
Find $u$ on $\bar{\Omega}$ with

$$
P u=f \text { in } \Omega \quad \text { and } \quad T u=g \text { on } \partial \Omega .
$$



## Example: Dirichlet Problem

$$
\begin{aligned}
\Delta u & =f \text { in } \Omega \\
\gamma_{0} u=\left.u\right|_{\partial \Omega} & =g \text { auf } \partial \Omega
\end{aligned}
$$

## Ellipticity

## Lopatinskij-Shapiro Condition

The boundary problem $\binom{P}{T}$ is elliptic, if

- $P$ is elliptic and
- for each $\left(x^{\prime}, \xi^{\prime}\right) \in T^{*}(\partial X) \backslash 0$

$$
\binom{\sigma_{P}\left(x^{\prime}, 0, \xi^{\prime}, D_{n}\right)}{\sigma_{T}\left(x^{\prime}, \xi^{\prime}, D_{n}\right)}: \mathcal{S}\left(\mathbb{R}_{+}\right) \xrightarrow{\cong} \begin{array}{ccl}
\mathcal{S}\left(\mathbb{R}_{+}\right) & \text {boundary symbol } \\
& \mathbb{C} & \text { must be } \\
\text { invertible }
\end{array}
$$

Here, locally $X=\left\{x_{n} \geq 0\right\}$.

## Detour: Solving the Dirichlet Problem

## Solving the Dirichlet Problem

Solution is a sum $u=u_{1}+u_{2}$, where $u_{1}$ and $u_{2}$ solve

$$
\begin{array}{ccc}
\Delta u_{1}=f & \text { and } & \Delta u_{2}=0 \\
\gamma_{0} u_{1}=0 & & \gamma_{0} u_{2}=g .
\end{array}
$$

## Obtain

$u_{1}$ using
Green's function $\Gamma$
$u_{1}=\Gamma f=\int_{\Omega} \Gamma(x, y) f(y) d y$
$u_{2}$ using
Poisson operator $K$

$$
u_{2}=K g=\int_{\partial \Omega} K(x, y) g(y) d y
$$

## Detour: Solving the Dirichlet problem

Green's function 「 is the sum of

- Newton potential (= fundamental solution of $\Delta$ ) and
- correction term (= smooth in the interior).


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Green's function 「 is the sum of

- Newton potential (= fundamental solution of $\Delta$ ) $P$ and
- correction term G (= smooth in the interior).

As an operator:

$$
\binom{\Delta}{\gamma_{0}}: C^{\infty}(\bar{\Omega}) \rightarrow \begin{gathered}
C^{\infty}(\bar{\Omega}) \\
{ }^{\infty}(\partial \Omega)
\end{gathered}
$$

Inverse:

$$
\binom{\Delta}{\gamma_{0}}^{-1}=(\underbrace{P+G}_{\Gamma} K): \begin{gathered}
C^{\infty}(\bar{\Omega}) \\
C^{\infty}(\partial \Omega)
\end{gathered} \rightarrow C^{\infty}(\bar{\Omega})
$$

## Boutet de Monvel's Algebra

## Goal (Boutet de Monvel 1971)

Construction of an algebra containing

- the classical boundary value problems and
- their (pseudo-)inverses, whenever those exist.


## Boutet de Monvel's Algebra

$X$ smooth compact manifold with boundary. An operator in Boutet de Monvel's algebra is a matrix

$$
A=\left(\begin{array}{cc}
P_{+}+G & K \\
T & S
\end{array}\right): \begin{gathered}
C^{\infty}\left(X, E_{1}\right) \\
\oplus \\
C^{\infty}\left(\partial X, F_{1}\right)
\end{gathered} \rightarrow \begin{gathered}
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- G singular Green operator


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- $S$ pdo on $\partial X$.


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Note:

- Contains classical boundary value problems: $F_{1}=0, G=0, K, S$ not present.
- Contains their inverses (if they exist):
$F_{2}=0, T, S$ not present.
- Allows composition, if bundles match.
$\longrightarrow$ Algebra for $E_{1}=E_{2}=E, F_{1}=F_{2}=F$


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## Ellipticity in Boutet de Monvel's Algebra

## Two Symbols

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A=\left(\begin{array}{cc}
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- Interior symbol: $\sigma(A)=\sigma_{P}$ on $T^{*} X \backslash 0$
- boundary symbol $\gamma(\boldsymbol{A})$ on $T^{*} \partial \boldsymbol{X} \backslash 0$

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\gamma(A)=\left(\begin{array}{cc}
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Ellipticity $=$ Invertibility of both symbols $\rightarrow$ Fredholm operator. Index determined by two symbols.

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Boutet de Monvel's Theorem

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- Reduces order and class/type to zero. Endomorphisms.


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- Main Step: An elliptic operator $A$ as above is stably homotopic to an operator of the form

$$
\widetilde{A}=\left(\begin{array}{cc}
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where $\sigma_{\tilde{p}}$ is elliptic and independent of $\xi$ near $\partial X$.

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- Can associate to $A$ a class $[A]$ in $K_{c}\left(T^{*} X^{\circ}\right)$ by letting

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- Using the Atiyah-Singer Index Theorem, he obtains

$$
\text { Index } A=\chi_{t}([A])
$$

## Boutet de Monvel's Index Theorem

## Cohomological form (Fedosov 1996)

$$
\text { Index } A=\int_{T^{*} X} \operatorname{ch}(\sigma(A)) \operatorname{Td}(X)+\int_{T^{*} \partial X} \operatorname{ch}^{\prime}(\gamma(A)) \operatorname{Td}(\partial X) .
$$

## K-theory

Reductions: - $X$ connected, $\partial X \neq \emptyset$

- Endomorphisms of order and type zero.


## Definition

$\mathfrak{A}=C^{*}$-closure of operators of order and class 0
$\mathfrak{K}=$ ideal of compact operators.

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## Definition

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## Theorem

Find natural short exact sequences

$$
0 \rightarrow K_{i}(C(X)) \longrightarrow K_{i}(\mathfrak{A} / \mathfrak{K}) \xrightarrow{p} K_{1-i}\left(C_{0}\left(T^{*} X^{\circ}\right)\right) \rightarrow 0,
$$

$i=0,1$. The sequences split (though not naturally), and

$$
K_{i}(\mathfrak{A} / \mathfrak{K})=K_{i}(C(X)) \oplus K_{1-i}\left(C_{0}\left(T^{*} X^{\circ}\right)\right) .
$$

## K-theoretic Version of the Index Theorem

## Theorem

The map $p$ in the short exact sequence

$$
0 \rightarrow K_{1}(C(X)) \longrightarrow K_{1}(\mathfrak{A} / \mathfrak{K}) \xrightarrow{p} K_{0}\left(C_{0}\left(T^{*} X^{\circ}\right)\right) \rightarrow 0,
$$

is Boutet de Monvel's map. With the topological index map $\chi_{t}$

$$
\text { Index } A=\chi_{t}(p(A))
$$

Also Fedosov's cohomological formula follows.

## K-theoretic Version of the Index Theorem

## Comparison with Boutet de Monvel

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- His constructions are very geometric. Uses classical K-theory
- Our proof relies on
- knowledge of algebra structure of Boutet de Monvel's algebra
- K-theory of $C^{*}$-algebras (not yet developed in 1971!)
- standard constructions in K-theory.


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- Boutet de Monvel's proof is ingeneous, but hard to understand.
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- Our proof relies on
- knowledge of algebra structure of Boutet de Monvel's algebra
- K-theory of $C^{*}$-algebras (not yet developed in 1971!)
- standard constructions in K-theory.
- Much simpler, but sometimes less explicit.


## Idea of the Proof

## Understand Boundary Symbol

$\gamma: \mathfrak{A} \rightarrow C\left(S^{*} \partial X, \mathfrak{W}\right) \mathfrak{W}$ Wiener-Hopf operators ( $\approx$ Toeplitz).

$$
\gamma(A)=\left(\begin{array}{cc}
p_{0}\left(x^{\prime}, 0, \xi^{\prime}, D_{n}\right)+g_{0}\left(x^{\prime}, \xi^{\prime}, D_{n}\right) & k_{0}\left(x^{\prime}, \xi^{\prime}, D_{n}\right) \\
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- $g_{0}, t_{0}, k_{0}, s_{0}$ compact.


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- $g_{0}, t_{0}, k_{0}, s_{0}$ compact.
- $\operatorname{ker} \gamma=\left\{A: p^{0}=0\right.$ at $\partial X, G, T, K, S$ lower order. $\}$. Contains compact operators.


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- $\operatorname{ker} \gamma=\left\{A: p^{0}=0\right.$ at $\partial X, G, T, K, S$ lower order. $\}$. Contains compact operators.
- $\operatorname{ran} \gamma=\boldsymbol{C}(\partial X) \oplus C\left(S^{*} \partial X, \mathfrak{W}_{0}\right)$.
$\mathfrak{W}_{0}$ : Ideal of operators, for which symbol vanishes at $\infty$.


## Idea of the Proof

## Understand Boundary Symbol

$\gamma: \mathfrak{A} \rightarrow C\left(S^{*} \partial X, \mathfrak{W}\right) \mathfrak{W}$ Wiener-Hopf operators ( $\approx$ Toeplitz).

$$
\gamma(A)=\left(\begin{array}{cc}
p_{0}\left(x^{\prime}, 0, \xi^{\prime}, D_{n}\right)+g_{0}\left(x^{\prime}, \xi^{\prime}, D_{n}\right) & k_{0}\left(x^{\prime}, \xi^{\prime}, D_{n}\right) \\
t_{0}\left(x^{\prime}, \xi^{\prime}, D_{n}\right) & s_{0}\left(x^{\prime}, \xi^{\prime}\right)
\end{array}\right)
$$

- $g_{0}, t_{0}, k_{0}, s_{0}$ compact.
- $\operatorname{ker} \gamma=\left\{A: p^{0}=0\right.$ at $\partial X, G, T, K, S$ lower order. $\}$.

Contains compact operators.

- ran $\gamma=\boldsymbol{C}(\partial X) \oplus C\left(S^{*} \partial X, \mathfrak{W}_{0}\right)$.
$\mathfrak{W}_{0}$ : Ideal of operators, for which symbol vanishes at $\infty$.
- $K_{i}\left(\mathfrak{W}_{0}\right)=0 \Rightarrow K_{i}\left(C\left(S^{*} \partial X, \mathfrak{W}_{0}\right)\right)=0$.


## Idea of the Proof

## Understand Short Exact Sequence

$$
0 \rightarrow \operatorname{ker} \gamma / \mathfrak{K} \rightarrow \mathfrak{A} / \mathfrak{K} \rightarrow \operatorname{ran} \gamma=\mathfrak{A} / \operatorname{ker} \gamma \rightarrow 0
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- $\operatorname{ker} \gamma / \mathfrak{K} \cong\left\{P: p^{0}=0\right.$ at $\left.\partial X\right\} \cong C_{0}\left(S^{*} X^{\circ}\right)$


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- $K_{i}(\operatorname{ran} \gamma) \cong K_{i}(C(\partial X)) \oplus \underbrace{K_{i}\left(C\left(S^{*} \partial X, \mathfrak{W}_{0}\right)\right)}_{=0}=K_{i}(C(\partial X))$


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- Isomorphism implemented by

$$
C(\partial X) \ni g \stackrel{b}{\mapsto}\left(\begin{array}{ll}
f & 0 \\
0 & 0
\end{array}\right) \in \mathfrak{A} / \mathfrak{K}
$$

where $f$ is a function in $C(X)$ with $f=g$ on $\partial X$, considered as multiplication operator.

## Idea of the Proof

The commutative diagram

induces canonically a grid:

- $b$ isomorphism $\Rightarrow$ (right vertical) $K_{i}(C b)=0$

$$
\begin{aligned}
& \uparrow \uparrow \\
& 0 \longrightarrow C\left(X^{\circ}\right) \longrightarrow C(X) \xrightarrow{r} C(\partial X) \longrightarrow 0
\end{aligned}
$$

$$
\begin{aligned}
& \uparrow \uparrow \uparrow \\
& 0 \longrightarrow S(\operatorname{ker} \gamma / \mathfrak{K}) \longrightarrow S(\mathfrak{A} / \mathfrak{K}) \xrightarrow{S \pi} S(\operatorname{ran} \gamma) \longrightarrow 0 \\
& 0 \\
& 0 \\
& 0
\end{aligned}
$$

- $b$ isomorphism $\Rightarrow$ (right vertical) $K_{i}(C b)=0$
- $\Rightarrow$ (middle horizontal) $K_{i}(\mathrm{Cm}) \cong K_{i}\left(C m_{0}\right)$.

$$
\begin{aligned}
& \uparrow \uparrow \uparrow \\
& 0 \longrightarrow C(X) \longrightarrow C(\partial X) \longrightarrow 0
\end{aligned}
$$

$$
\begin{aligned}
& 0 \longrightarrow S(\operatorname{ker} \gamma / \mathfrak{K}) \longrightarrow S(\mathfrak{A} / \mathfrak{K}) \xrightarrow{S \pi} S(\operatorname{ran} \gamma) \longrightarrow 0 \\
& 0 \\
& 0
\end{aligned}
$$

- $b$ isomorphism $\Rightarrow$ (right vertical) $K_{i}(C b)=0$
- $\Rightarrow$ (middle horizontal) $K_{i}(\mathrm{Cm}) \cong K_{i}\left(\mathrm{Cm}_{0}\right)$.
- Study long exact sequence for left verticals.


$$
\begin{aligned}
& \left.\longrightarrow K_{i}(X)\right) \xrightarrow{m_{*}} \quad K_{i}(21 / \Omega) \xrightarrow{\beta} \\
& \uparrow \quad i \uparrow \quad \phi \uparrow \\
& \longrightarrow K_{i}\left(\mathrm{CO}_{0}\left(X^{\circ}\right)\right) \xrightarrow{m_{0 *}} K_{i}\left(\operatorname{Ker}_{\gamma} / \Re_{i}\right) \xrightarrow{\alpha} K_{1-i}\left(\mathrm{Cm}_{0}\right)
\end{aligned}
$$

- Principal symbol furnishes Iso $\operatorname{ker} \gamma / \mathfrak{K} \cong C_{0}\left(S^{*} X^{\circ}\right)$.

$$
\begin{array}{cccc}
\longrightarrow K_{i}(C(X)) \\
\uparrow & m_{*} & K_{i}(\mathfrak{A} / \mathfrak{K}) & \xrightarrow{\beta} \\
i \uparrow & & K_{1-i}(C m) \\
\longrightarrow & K_{i}\left(C_{0}\left(X^{\circ}\right)\right) \xrightarrow{m_{0 *}} & K_{i}(\operatorname{ker} \gamma / \mathfrak{K}) \xrightarrow{\alpha} \xrightarrow{\alpha} & K_{1-i}\left(C m_{0}\right) \longrightarrow
\end{array}
$$

- Principal symbol furnishes Iso $\operatorname{ker} \gamma / \mathfrak{K} \cong C_{0}\left(S^{*} X^{\circ}\right)$.
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$\longrightarrow K_{i}(C(X)) \xrightarrow{m_{*}} K_{i}(\mathfrak{A} / \mathfrak{K}) \xrightarrow{\beta} K_{1-i}(C m)$
$\uparrow \quad i \uparrow \quad \phi \uparrow \cong$
$\longrightarrow K_{i}\left(C_{0}\left(X^{\circ}\right)\right) \xrightarrow{m_{0 *}} K_{i}(\operatorname{ker} \gamma / \mathfrak{K}) \xrightarrow{\alpha} K_{1-i}\left(C m_{0}\right)$
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- $\Rightarrow$ splits at $\alpha \Rightarrow$ splits at $\beta$.
- $\Rightarrow$ long exact sequence furnishes short exact sequences

$$
0 \rightarrow K_{i}(C(X)) \xrightarrow{m_{*}} K_{i}(\mathfrak{A} / \mathfrak{K}) \xrightarrow{\beta} K_{1-i}(C m) \rightarrow 0,
$$

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$$

- Now identify $K_{1-i}(C m) \cong K_{1-i}\left(C_{0}\left(T^{*} X^{\circ}\right)\right)$.


## Index Theory

$0 \longrightarrow K_{i}(C(X)) \xrightarrow{m_{*}} K_{i}(\mathfrak{A} / \mathfrak{K}) \xrightarrow{p} K_{1-i}\left(C_{0}\left(T^{*} X^{\circ}\right)\right)$ $\qquad$
$\iota \uparrow \quad \phi \uparrow \cong$
$0 \longrightarrow K_{i}\left(C_{0}\left(X^{\circ}\right)\right) \xrightarrow{m_{0 *}} K_{i}(\mathfrak{I} / \mathfrak{K}) \longrightarrow K_{1-i}\left(C m_{0}\right) \longrightarrow 0$
Show Index $A=\chi \circ p(A)$ on the ranges of $\iota_{*}: K_{i}(\operatorname{ker} \gamma / \mathfrak{K}) \rightarrow K_{i}(\mathfrak{A} / \mathfrak{K})$ and $\left.m_{*}: K_{i}(C(X)) \rightarrow K_{i}(\mathfrak{A} / \mathfrak{K})\right)$.

- On ran $m_{*}$, both are zero:
ran $m_{*}$ : Equivalence classes of invertible multiplication operators. (Index =0).
On the other hand, exactness of the sequence implies that ran $m_{*} \rightarrow 0$.
- On ran $\iota_{*}$ use Atiyah-Singer Theorem.

