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

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Elmar Schrohe Universität Hannover Index Theorem for Boundary Value Problems

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Relies on joint work with

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

- Melo, Nest, Schrohe. C\*-structure and K-theory of Boutet de Monvel's algebra.
   J. Reine Angew. Math. 2003.
- 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)

Fredholm Operators The Index Problem Index Theorem

## The Index

#### **Fredholm Operators**

A linear operator *P* is a *Fredholm operator* if

dim ker P and codim ran P are both finite.

In that case

Index  $P = \dim \ker P - \operatorname{codim} \operatorname{ran} P \in \mathbb{Z}$ .

Fredholm Operators The Index Problem Index Theorem

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.

#### Important

Index is stable under small and compact perturbations.

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Fredholm Operators The Index Problem Index Theorem

#### The Classical Situation: Closed Manifold M

P (pseudo-)differential operator

The Index

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

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

Fredholm Operators The Index Problem Index Theorem

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#### **Central Facts**

The Index

- 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  $\sigma_P$ .

Motivation Index Theory

**Boundary Value Problems** 

**Fredholm Operators** The Index Problem Index Theorem

### The Index Problem

#### Gelfand 1960

Compute Index *P* from  $\sigma_P$ .

Motivation Index Theory

**Boundary Value Problems** 

**Fredholm Operators** The Index Problem Index Theorem

## The Index Problem

#### Gelfand 1960

Compute Index *P* from  $\sigma_P$ .

#### Atiyah und Singer 1963

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

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Fredholm Operators The Index Problem Index Theorem

## K-theory

#### Definition

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

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

Fredholm Operators The Index Problem Index Theorem

## K-theory

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#### **Principal Symbol**

 $\sigma_P$  'lives' on  $T^*M \setminus 0$ . Defines homomorphism  $\pi^*E \to \pi^*F$ . Moreover: Isomorphism outside zero section due to ellipticity. Hence: Defines an element

$$[\sigma_P] \in K_c(T^*M).$$

Fredholm Operators The Index Problem Index Theorem

## Index Theorem

#### **Topological Index Map**

There exists a homomorphism ('topological index map')

 $\chi_t: K_c(T^*M) \to \mathbb{Z}$ 

#### Corollary

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

- Take the Fredholm index of P
- Take the topological index of [σ<sub>P</sub>]

Index Theorem: Same result

Index 
$$P = \chi_t([\sigma_P])$$
.

Fredholm Operators The Index Problem Index Theorem

## Index Theorem

#### Cohomological Form

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

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

The Classical Case Boutet de Monvel's Algebra

#### 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  $\overline{\Omega}$  with

Pu = f in  $\Omega$  and Tu = g on  $\partial \Omega$ .



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The Classical Case Boutet de Monvel's Algebra

## Ellipticity

#### Lopatinskij-Shapiro Condition

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

- P is elliptic and
- for each  $(x',\xi') \in T^*(\partial X) \setminus 0$

$$\begin{pmatrix} \sigma_{P}(\mathbf{x}', 0, \xi', D_{n}) \\ \sigma_{T}(\mathbf{x}', \xi', D_{n}) \end{pmatrix} : \mathcal{S}(\mathbb{R}_{+}) \xrightarrow{\cong} \begin{array}{c} \mathcal{S}(\mathbb{R}_{+}) & \text{boundary symbol} \\ \oplus & \text{must be} \\ \mathbb{C} & \text{invertible} \end{cases}$$

Here, locally  $X = \{x_n \ge 0\}$ .

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The Classical Case Boutet de Monvel's Algebra

## 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

	$\Delta u_1 = f$	and	$\Delta u_2 = 0$	
	$\gamma_0 u_1 = 0$		$\gamma_0 u_2 = g.$	
Obtain				
<u>u</u> 1 using			u <sub>2</sub> using	
Green's function F			Poisson operator K	

 $u_1 = \Gamma f = \int_{\Omega} \Gamma(x, y) f(y) dy$ 

Poisson operator K $u_2 = Kg = \int_{\partial\Omega} K(x, y)g(y)dy$ 

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The Classical Case Boutet de Monvel's Algebra

### Detour: Solving the Dirichlet problem

Green's function  $\Gamma$  is the sum of

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

The Classical Case Boutet de Monvel's Algebra

## Detour: Solving the Dirichlet problem

Green's function Γ is the sum of

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

As an operator:

$$egin{pmatrix} \Delta\ \gamma_0 \end{pmatrix}: \mathbf{C}^\infty(\overline\Omega) o egin{pmatrix} \mathbf{C}^\infty(\overline\Omega)\ \oplus\ \mathbf{C}^\infty(\partial\Omega) \end{pmatrix}$$

Inverse:

$$\begin{pmatrix} \Delta \\ \gamma_0 \end{pmatrix}^{-1} = \begin{pmatrix} \underline{P} + \underline{G} & K \end{pmatrix} : \begin{array}{c} C^{\infty}(\overline{\Omega}) \\ \oplus \\ C^{\infty}(\partial\Omega) \end{pmatrix} \to C^{\infty}(\overline{\Omega})$$

The Classical Case Boutet de Monvel's Algebra

### 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.

The Classical Case Boutet de Monvel's Algebra

#### Boutet de Monvel's Algebra

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

$$A = \begin{pmatrix} P_+ + G & K \\ T & S \end{pmatrix} : \begin{array}{c} C^{\infty}(X, E_1) & C^{\infty}(X, E_2) \\ \oplus & \oplus \\ C^{\infty}(\partial X, F_1) & C^{\infty}(\partial X, F_2) \end{pmatrix}$$

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- K potential- or Poisson operator

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- S pdo on  $\partial X$ .

The Classical Case Boutet de Monvel's Algebra

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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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The Classical Case Boutet de Monvel's Algebra

### Ellipticity in Boutet de Monvel's Algebra

#### Two Symbols

$$A = \left(\begin{array}{cc} P_+ + G & K \\ T & S \end{array}\right)$$

- Interior symbol:  $\sigma(A) = \sigma_P$  on  $T^*X \setminus 0$
- boundary symbol  $\gamma(A)$  on  $T^*\partial X \setminus 0$

$$\gamma(A) = \begin{pmatrix} p_0(x', 0, \xi', D_n) + g_0(x', \xi', D_n) & k_0(x', \xi', D_n) \\ t_0(x', \xi', D_n) & s_0(x', \xi') \end{pmatrix}$$

Ellipticity = Invertibility of both symbols  $\rightarrow$  Fredholm operator. Index determined by two symbols.

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Boutet de Monvel's Theorem K-theory Idea of the Proof

## Boutet de Monvel's Index Theorem

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

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Boutet de Monvel's Theorem K-theory Idea of the Proof

### Boutet de Monvel's Index Theorem

- Reduces order and class/type to zero. Endomorphisms.
- Main Step: An elliptic operator *A* as above is stably homotopic to an operator of the form

$$\widetilde{\mathsf{A}} = egin{pmatrix} \widetilde{\mathsf{P}}_+ & 0 \ 0 & \mathsf{Q} \end{pmatrix},$$

where  $\sigma_{\tilde{P}}$  is elliptic and independent of  $\xi$  near  $\partial X$ .

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Boutet de Monvel's Theorem K-theory Idea of the Proof

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- Can associate to A a class [A] in  $K_c(T^*X^\circ)$  by letting

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• Using the Atiyah-Singer Index Theorem, he obtains

Index  $A = \chi_t([A])$ .

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Boutet de Monvel's Theorem K-theory Idea of the Proof

## Boutet de Monvel's Index Theorem

#### Cohomological form (Fedosov 1996)

$$\operatorname{\mathsf{Index}} A = \int_{\mathcal{T}^*X} \operatorname{ch}(\sigma(A)) \operatorname{Td}(X) + \int_{\mathcal{T}^*\partial X} \operatorname{ch}'(\gamma(A)) \operatorname{Td}(\partial X).$$

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Boutet de Monvel's Theorem K-theory Idea of the Proof

## 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
- $\mathfrak{K} = ideal of compact operators.$

Boutet de Monvel's Theorem K-theory Idea of the Proof

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K-theory

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#### Theorem

Find natural short exact sequences

$$0 \to {\mathcal K}_i({\mathcal C}(X)) \longrightarrow {\mathcal K}_i({\mathfrak A}/{\mathfrak K}) \stackrel{p}{\longrightarrow} {\mathcal K}_{1-i}({\mathcal C}_0({\mathcal T}^*X^\circ)) \to 0,$$

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

$$\mathcal{K}_i(\mathfrak{A}/\mathfrak{K}) = \mathcal{K}_i(\mathcal{C}(X)) \oplus \mathcal{K}_{1-i}(\mathcal{C}_0(\mathcal{T}^*X^\circ)).$$

Boutet de Monvel's Theorem K-theory Idea of the Proof

### K-theoretic Version of the Index Theorem

#### Theorem

The map p in the short exact sequence

$$0 o \mathcal{K}_1(\mathcal{C}(X)) \longrightarrow \mathcal{K}_1(\mathfrak{A}/\mathfrak{K}) \stackrel{\rho}{\longrightarrow} \mathcal{K}_0(\mathcal{C}_0(\mathcal{T}^*X^\circ)) o 0,$$

is Boutet de Monvel's map. With the topological index map  $\chi_t$ 

Index  $A = \chi_t(p(A))$ .

Also Fedosov's cohomological formula follows.

Boutet de Monvel's Theorem K-theory Idea of the Proof

### K-theoretic Version of the Index Theorem

#### Comparison with Boutet de Monvel

• Boutet de Monvel's proof is ingeneous, but hard to understand.

Boutet de Monvel's Theorem K-theory Idea of the Proof

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- His constructions are very geometric. Uses classical K-theory

Boutet de Monvel's Theorem K-theory Idea of the Proof

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- Boutet de Monvel's proof is ingeneous, but hard to understand.
- 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.

Boutet de Monvel's Theorem K-theory Idea of the Proof

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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.

Motivation Bou Boundary Value Problems K-th Index Theory Idea

Boutet de Monvel's Theorem K-theory Idea of the Proof

## Idea of the Proof

#### Understand Boundary Symbol

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

$$\gamma(A) = \begin{pmatrix} p_0(x', 0, \xi', D_n) + g_0(x', \xi', D_n) & k_0(x', \xi', D_n) \\ t_0(x', \xi', D_n) & s_0(x', \xi') \end{pmatrix}$$

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Motivation Boutet Boundary Value Problems K-theor Index Theory Idea of

Boutet de Monvel's Theorem K-theory Idea of the Proof

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• *g*<sub>0</sub>, *t*<sub>0</sub>, *k*<sub>0</sub>, *s*<sub>0</sub> compact.

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- $g_0, t_0, k_0, s_0$  compact.
- ker γ = {A : p<sup>0</sup> = 0 at ∂X, G, T, K, S lower order.}.
   Contains compact operators.

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- ker γ = {A : p<sup>0</sup> = 0 at ∂X, G, T, K, S lower order.}.
   Contains compact operators.
- ran γ = C(∂X) ⊕ C(S\*∂X, 𝔅).
   𝔅₀: Ideal of operators, for which symbol vanishes at ∞.

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Motivation Boutet de Monvel's Theorem **Boundary Value Problems** K-theory Index Theory

# Idea of the Proof

## Idea of the Proof

#### Understand Boundary Symbol

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

$$\gamma(A) = \begin{pmatrix} p_0(x', 0, \xi', D_n) + g_0(x', \xi', D_n) & k_0(x', \xi', D_n) \\ t_0(x', \xi', D_n) & s_0(x', \xi') \end{pmatrix}$$

- $g_0, t_0, k_0, s_0$  compact.
- ker  $\gamma = \{ A : p^0 = 0 \text{ at } \partial X, G, T, K, S \text{ lower order.} \}.$ Contains compact operators.
- ran  $\gamma = C(\partial X) \oplus C(S^* \partial X, \mathfrak{W}_0).$  $\mathfrak{M}_0$ : Ideal of operators, for which symbol vanishes at  $\infty$ .
- $K_i(\mathfrak{W}_0) = 0 \Rightarrow K_i(C(S^*\partial X, \mathfrak{W}_0)) = 0.$

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## Idea of the Proof

#### Understand Short Exact Sequence

$$0 \rightarrow \ker \gamma / \mathfrak{K} \rightarrow \mathfrak{A} / \mathfrak{K} \rightarrow \operatorname{ran} \gamma = \mathfrak{A} / \ker \gamma \rightarrow 0.$$

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• ker 
$$\gamma/\mathfrak{K} \cong \{ \boldsymbol{P} : \boldsymbol{\rho}^0 = 0 \text{ at } \partial X \} \cong C_0(S^*X^\circ)$$

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## Idea of the Proof

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$$\gamma/\mathfrak{K}\cong\{m{P}:m{p}^0=0 ext{ at }\partial X\}\cong C_0(S^*X^\circ)$$

• 
$$K_i(\operatorname{ran} \gamma) \cong K_i(C(\partial X)) \oplus \underbrace{K_i(C(S^*\partial X, \mathfrak{W}_0))}_{=0} = K_i(C(\partial X))$$

Isomorphism implemented by

$$oldsymbol{C}(\partial X) 
i g \stackrel{b}{\mapsto} egin{pmatrix} f & 0 \ 0 & 0 \end{pmatrix} \in \mathfrak{A}/\mathfrak{K},$$

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

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## Idea of the Proof

#### The commutative diagram

induces canonically a grid:





• *b* isomorphism  $\Rightarrow$  (right vertical)  $K_i(Cb) = 0$ 

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- *b* isomorphism  $\Rightarrow$  (right vertical)  $K_i(Cb) = 0$
- $\Rightarrow$  (middle horizontal)  $K_i(Cm) \cong K_i(Cm_0)$ .

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- *b* isomorphism  $\Rightarrow$  (right vertical)  $K_i(Cb) = 0$
- $\Rightarrow$  (middle horizontal)  $K_i(Cm) \cong K_i(Cm_0)$ .
- Study long exact sequence for left verticals.





• Principal symbol furnishes Iso ker  $\gamma/\Re \cong C_0(S^*X^\circ)$ .

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- ⇒ long exact sequence furnishes short exact sequences

$$0 \to \mathcal{K}_i(\mathcal{C}(X)) \xrightarrow{m_*} \mathcal{K}_i(\mathfrak{A}/\mathfrak{K}) \xrightarrow{\beta} \mathcal{K}_{1-i}(\mathcal{C}m) \to 0,$$



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$$0 \to \mathsf{K}_i(\mathsf{C}(\mathsf{X})) \xrightarrow{m_*} \mathsf{K}_i(\mathfrak{A}/\mathfrak{K}) \xrightarrow{\beta} \mathsf{K}_{1-i}(\mathsf{C}\mathsf{m}) \to 0,$$

• Now identify  $K_{1-i}(Cm) \cong K_{1-i}(C_0(T^*X^\circ))$ .

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## **Index Theory**

Show Index $A = \chi \circ p(A)$  on the ranges of  $\iota_* : K_i(\ker \gamma/\mathfrak{K}) \to K_i(\mathfrak{A}/\mathfrak{K})$ and  $m_* : K_i(C(X)) \to K_i(\mathfrak{A}/\mathfrak{K}))$ .

 On ran m<sub>\*</sub>, both are zero: ran m<sub>\*</sub>: 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.