

On the sharpness of Mockenhaupt's restriction estimate

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Restriction estimates for measures on \mathbb{R}^n

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Without additional assumptions on μ , that's all we can say. But for some types of μ , there is much more...

A classic result: Stein-Tomas restriction theorem

Theorem (Stein-Tomas, 1970s.) Let σ be the surface measure on the unit sphere $S^{n-1} \subset \mathbb{R}^n$. Then for all $p \geq \frac{2n+2}{n-1}$,

$$\|\widehat{fd\sigma}\|_{L^p(\mathbb{R}^n)} \leq C(p)\|f\|_{L^2(d\sigma)}$$

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Restriction estimates in classical harmonic analysis

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- ▶ The availability of such estimates, and range of exponents, depends on geometric properties of the manifold: dimension, curvature (via decay of Fourier transform of σ), Kakeya-type geometric information.

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- ▶ Many restriction estimates are now known for surface measures on manifolds (spheres, cones, curves in \mathbb{R}^3 , ...)
- ▶ The availability of such estimates, and range of exponents, depends on geometric properties of the manifold: dimension, curvature (via decay of Fourier transform of σ), Kakeya-type geometric information.
- ▶ Many important open problems remain, e.g. Stein's restriction conjecture for the sphere (partial results: Bourgain, Wolff, Tao, Bourgain-Guth.)

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- ▶ Finite field analogues (Mockenhaupt-Tao, Iosevich, Koh, A. Lewko, M. Lewko, Shen, ...)
- ▶ Instead of curvature (makes no sense for discrete sets), proofs use arithmetic information, e.g. counting solutions to equations $a_1 + \dots + a_n = a_{n+1} + \dots + a_{2n}$ with a_i in a given set.

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- ▶ Proof follows the same argument as the Tomas-Stein restriction theorem for the sphere.
- ▶ Main contribution: changing the point of view, shifting focus from “smooth” surface measures on manifolds to less regular fractal measures.
- ▶ X. Chen (2012): a restriction theorem for fractal measures based on a different mechanism.

Background: dimensionality of measures

- ▶ Let μ be a probability measure on \mathbb{R}^n and $0 \leq \alpha \leq n$. We say that μ obeys the **α -dimensional ball condition** if

$$\mu(B(x, r)) \leq Cr^\alpha \quad \forall x \in \mathbb{R}^n, r \in (0, \infty) \quad (*)$$

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- ▶ Let $E \subset \mathbb{R}^n$ closed, $\dim_H(E) =$ Hausdorff dimension of E .
Then

$$\dim_H(E) = \sup\{\alpha \in [0, n] : E \text{ supports a probability measure } \mu = \mu_\alpha \text{ obeying } (*)\}$$

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- ▶ $\dim_F(E) \leq \dim_H(E)$, always.
- ▶ Inequality can be strict: the $2/3$ Cantor set has Hausdorff dimension $\log 2 / \log 3$, but Fourier dimension 0.

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- ▶ Kaufman 1981: deterministic example of a Salem set (diophantine Cantor-type construction)
- ▶ Further examples: Bluhm 1996-98, Ł.-Pramanik 2008.

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- ▶ $|\widehat{\mu}(\xi)| \leq C_\beta (1 + |\xi|)^{-\beta/2}$ for all $\beta < \alpha_0$.

Theorem (Mockenhaupt 2000; endpoint Bak-Seeger 2011)

Let μ be a compactly supported positive measure on \mathbb{R}^n such that for some $\alpha, \beta \in (0, n)$

- ▶ $\mu(B(x, r)) \leq C_1 r^\alpha$ for all $x \in \mathbb{R}^n$, $r > 0$,
- ▶ $|\widehat{\mu}(\xi)| \leq C_2(1 + |\xi|)^{-\beta/2}$

Then for all $p \geq p_{n,\alpha,\beta} := \frac{2(2n-2\alpha+\beta)}{\beta}$,

$$\|\widehat{fd\mu}\|_{L^p(\mathbb{R}^n)} \leq C_p \|f\|_{L^2(d\mu)}$$

for all $f \in L^2(d\mu)$.

Range of exponents

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- ▶ If $\mu = \sigma$ is the surface measure on the sphere $S^{n-1} \subset \mathbb{R}^n$, Mockenhaupt's theorem recovers the classical Tomas-Stein theorem. In this case, the range of exponents is known to be optimal. (More on next slide.)

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- ▶ For fractal measures, the question was open. **This is what we address here.**

Range of exponents: the Stein-Tomas theorem

Stein-Tomas: if $\mu = \sigma$ is the surface measure on the sphere $S^{n-1} \subset \mathbb{R}^n$, the $L^2(d\mu) \rightarrow L^p(\mathbb{R}^n)$ restriction estimate holds for $p \geq \frac{2n+2}{n-1}$.

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- ▶ The range of p is optimal.
- ▶ **Knapp example:** Let f_δ be the characteristic function of a spherical cap of diameter δ . Then

$$|\widehat{fd\sigma}| \geq C \|f_\delta\|_{L^1(d\mu)}$$

on a “dual” cylinder. It follows that there are no uniform (in δ) $L^2 \rightarrow L^p$ estimates for $p > \frac{2n+2}{n-1}$.

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Mockenhaupt: the $L^2(d\mu) \rightarrow L^p(\mathbb{R}^n)$ restriction estimate holds for $p \geq \frac{4-2\alpha_0}{\alpha_0}$.

Easy argument via energy integrals: no such estimates if $p < 2/\alpha_0$.

Range of exponents: Mockenhaupt's theorem, cont.

This leaves the intermediate range

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Range of exponents: Mockenhaupt's theorem, cont.

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- ▶ Is there an analogue of Knapp's example for fractal sets?
- ▶ Mockenhaupt: cannot exclude possibility that restriction estimates for Salem measures of fractional dimension hold in the intermediate range of exponents.
- ▶ Chen (2012): there is a measure μ supported on a set of Hausdorff dimension α in \mathbb{R} for which a restriction estimate holds for all $p \geq 2/\alpha_0$. (Based on a probabilistic construction by Körner. The measure μ need not be Salem.)

Theorem (Hambrook-Łaba 2012)

Let $\alpha = \frac{\log(t_0)}{\log(N_0)}$ with $t_0, N_0 \in \mathbb{N}$. Let $1 \leq p < \frac{4-2\alpha}{\alpha}$. Then there exist a probability measure μ and functions $\{f_\ell\}_{j \in \mathbb{N}}$ on $[0, 1]$ such that

- ▶ μ is supported on a set E of dimension α ,
- ▶ μ obeys ball condition with the given value of α ,
- ▶ $|\widehat{\mu}(\xi)| \leq C_\beta(1 + |\xi|)^{-\beta/2}$ for all $\beta < \alpha$,
- ▶ the restriction estimate fails:

$$\frac{\|\widehat{f_\ell} d\mu\|_{L^p(\mathbb{R})}}{\|f_\ell\|_{L^2(d\mu)}} \rightarrow \infty \text{ as } \ell \rightarrow \infty.$$

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- ▶ This proves that range of exponents in Mockenhaupt's theorem, in its stated generality, is optimal.
- ▶ Chen's example: there are measures for which restriction estimates hold with exponents beyond Mockenhaupt's range. We do not know whether this can happen for Salem measures.
- ▶ It should be possible to modify the construction to allow arbitrary $\alpha \in (0, 1)$, but a dense set of α is still enough to get our conclusion.

Proof: construction of μ

Construct $E = \bigcap E_j$ via Cantor iteration:

- ▶ Let $N = N_0^{2^{n_0}}$, $t = t_0^{2^{n_0}}$ so that $\log t / \log N = \alpha$. (We will want n_0 to be sufficiently large.)

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- ▶ Suppose E_j has been constructed as a union of t^j intervals of length N^{-j} . For each such interval, subdivide it into N subintervals of length N^{-j-1} , then choose t of them, for a total of t^{j+1} subintervals. (The choices may be different for different intervals of E_j .)

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- ▶ This produces $E_1 \supset E_2 \supset \dots$, with E_j as described above.

Construction of μ , cont.

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- ▶ For *any* choice of subintervals in the construction, E has dimension α , and $\mu(B(x, r)) \leq Cr^\alpha$ for all $x \in \mathbb{R}$, $r > 0$.
- ▶ (Łaba-Pramanik 2008) There is a randomized choice of subintervals such that μ is a Salem measure.

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- ▶ Idea: modify the random construction so that the set of left endpoints of E_j contains a generalized arithmetic progression

$$P_j = N^{-1}P + N^{-2}P + \dots + N^{-j}P$$

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where $P \subset \{0, 1, \dots, N - 1\}$ is an arithmetic progression of length \sqrt{t} .

- ▶ Main challenge: we need to do this without destroying the Fourier decay estimates. Turns out that \sqrt{t} is the largest size of P for which this is possible.

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- ▶ The lower bound

$$\|\widehat{f_j d\mu}\|_{L^p(\mathbb{R})}^p \geq C(r) \frac{N^j r^{-j-1}}{t^{j(p+1)/2}}$$

is based on counting additive $2r$ -tuples

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- ▶ Conclusion follows if $p < 4/\alpha - 2$ and n_0 is large enough.

Knapp example revisited

Compare to Knapp example for the sphere:

- ▶ Knapp example: the sphere (curved) contains spherical caps (almost flat). Equivalently, the curved sphere is tangent to flat hyperplanes.

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- ▶ Knapp example: the sphere (curved) contains spherical caps (almost flat). Equivalently, the curved sphere is tangent to flat hyperplanes.
- ▶ The range of exponents in Stein-Tomas restriction theorem reflects the degree of tangency.
- ▶ In our example, we used that a Salem set (random) may contain a generalized arithmetic progression (structured). We could say that E is “tangent” to the more structured sets F_j , and that the degree of tangency is reflected in the range of restriction exponents.

Thank you!