

## ABSOLUTE CONTINUITY OF THE “EVEN” PERIODIC SCHRÖDINGER OPERATOR WITH NONSMOOTH COEFFICIENTS

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### §1. INTRODUCTION

The question about the absolute continuity of the spectrum of the Schrödinger operator is actively studied (see [2, 3, 6, 8, 13, 10]). The operator in question can be described in detail as follows. For any set  $\Xi \subset \mathbb{R}^d$ , let  $h_{\Xi}[u, v]$  denote the integral

$$(1) \quad h_{\Xi}[u, v] = \int_{\Xi} (\langle g(i\nabla + A)u, (i\nabla + A)v \rangle + Vu\bar{v}) \, dx, \quad u, v \in H^1(\Xi),$$

where  $\langle \cdot, \cdot \rangle$  is the scalar product in  $\mathbb{C}^d$ . In  $L_2(\mathbb{R}^d)$ , consider the bilinear form  $h_{\mathbb{R}^d}$  defined on the Sobolev space  $\text{Dom } h_{\mathbb{R}^d} = H^1(\mathbb{R}^d)$ . We assume that the coefficients satisfy the following conditions.

**Condition 1.** *The functions  $g$ ,  $A$ , and  $V$  are real-valued and  $2\pi$ -periodic in all variables.*

**Condition 2.** a) *The matrix-valued function  $g$  (metric) is positive and bounded,*

$$c_0 1 \leq g(x) \leq c_1 1, \quad 0 < c_0 \leq c_1 < \infty.$$

b) *The magnetic potential  $A$  and the electric potential  $V$  belong to the following classes:*

$$A \in L_{q,\text{loc}}, \quad V \in L_{q/2,\text{loc}}, \quad \text{where } q = d \text{ if } d \geq 3, \quad \text{and } q > 2 \text{ if } d = 2.$$

Under Conditions 1 and 2,  $h_{\mathbb{R}^d}$  is a semibounded closed form. The selfadjoint operator  $H$  corresponding to  $h_{\mathbb{R}^d}$  will be called the *Schrödinger operator*.

At present, the absolute continuity of the spectrum of  $H$  is known under the following assumptions. For  $d = 2$ , it suffices to assume that  $\det g \in W_{q,\text{loc}}^1$ ,  $q > 2$  (see [13]). For  $d \geq 3$ , absolute continuity was proved if  $g(x) = a(x)1$ , where  $a$  is a scalar function,  $a \in C^1$ ,  $A \in H_{\text{loc}}^s$ ,  $s > (3d - 2)/2$ , and  $V \in L_{p,\text{loc}}$ ,  $p = \max\{d/2, d - 2\}$  (see [9]).

In [12], Friedlander considered the situation under an additional condition of “evenness”.

**Condition 3.** *The operator  $H$  is invariant under the inversion  $x_1 \mapsto -x_1$ . In terms of its coefficients, this means that*

$$\begin{aligned} g_{11}(-x_1, x') &= g_{11}(x_1, x'), & g_{\alpha\beta}(-x_1, x') &= g_{\alpha\beta}(x_1, x'), \\ A_{\alpha}(-x_1, x') &= A_{\alpha}(x_1, x'), & V(-x_1, x') &= V(x_1, x'), \\ g_{1\alpha}(-x_1, x') &= -g_{1\alpha}(x_1, x'), & A_1(-x_1, x') &= -A_1(x_1, x'), \\ & & \alpha, \beta &= 2, \dots, d. \end{aligned}$$

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2000 *Mathematics Subject Classification.* Primary 35Q40.

*Key words and phrases.* Absolute continuity of the spectrum, periodic Schrödinger operator.

The first author was supported by RFBR (grants nos. 01-01-00218 and 02-01-00798).

Friedlander showed that the absolute continuity of  $H$  follows from Conditions 1, 2a), and 3 if  $g, A,$  and  $V$  are infinitely smooth. Our goal in this paper is to generalize his result to the case of nonsmooth coefficients. For this, we only need to require that  $H$  satisfy the *unique continuation property*.

**Condition 4.** For any  $\Xi \subset \mathbb{R}^d$ , if  $u \in H^1(\Xi)$ ,  $h_{\Xi}[u, v] = 0$  for all  $v \in \mathring{H}^1(\Xi)$ , and  $u|_B = 0$ , where  $B \subset \Xi$  is a ball, then  $u = 0$  in  $\Xi$ .

§2. FORMULATION OF THE RESULT

Let  $\mathbb{T}^{d-1}$  be a  $(d - 1)$ -dimensional torus,  $\Omega = (-\pi, \pi) \times \mathbb{T}^{d-1}$  a toroidal cylinder,  $\Gamma_{\pm} = \{\pm\pi\} \times \mathbb{T}^{d-1}$  the left and right edges of  $\Omega$ ,  $\partial\Omega = \Gamma_- \cup \Gamma_+$ . For the set  $\Omega$ , we omit the index in the form (1),  $h[u, v] := h_{\Omega}[u, v]$ .

**Theorem 2.1.** Suppose the coefficients  $g, A, V$  of the form (1) satisfy Conditions 1–4. Then the set of points  $\zeta \in \mathbb{C}$  satisfying the following properties is finite:

- 1)  $\text{Im } \zeta \neq 0, |\zeta| \neq 1;$
- 2) there exists  $u_{\zeta} \in H^1(\Omega) \setminus \{0\}$  such that  $u_{\zeta}|_{\Gamma_+} = \zeta u_{\zeta}|_{\Gamma_-}$  and

$$h[u_{\zeta}, v] = 0 \quad \text{for all } v \in H^1(\Omega) \text{ with } \bar{\zeta}v|_{\Gamma_+} = v|_{\Gamma_-}.$$

This theorem implies by standard methods (see [3, 7]) that the number  $\lambda = 0$  cannot be an eigenvalue of the operator  $H$ .

The unique continuation property for the solutions of elliptic equations is well investigated.

**Theorem 2.2** (see [14]). Let  $d = 2$ , and let  $g, V \in L_{\infty}, A = 0$ . Then  $H$  has the unique continuation property.

**Theorem 2.3** (see [5]). Suppose  $d \geq 3, g \in \text{Lip}, A \in L_{q,\text{loc}}, q > d,$  and  $V \in L_{d/2,\text{loc}}$ . Then  $H$  has the unique continuation property.

Under these assumptions about the coefficients, we shall see that  $\lambda = 0$  is not an eigenvalue of  $H$ . Since the conditions on the potential  $V$  are invariant with respect to the shift by a constant, the point spectrum of  $H$  is empty. So, the following statement is true.

**Theorem 2.4.** Suppose that the coefficients of the operator  $H$  satisfy Conditions 1, 2a), and 3, and that

- a)  $V \in L_{\infty}, A = 0$  if  $d = 2;$
- b)  $g \in \text{Lip}, A \in L_{q,\text{loc}}, q > d, V \in L_{d/2,\text{loc}}$  if  $d \geq 3$ .

Then the spectrum of  $H$  corresponding to the form (1) with  $\Xi = \mathbb{R}^d$  is absolutely continuous.

*Remark 2.1.* From the unique continuation theorem (see [5]) it follows that in the two-dimensional case with  $g \in \text{Lip}$  and  $A \in L_{q,\text{loc}}, V \in L_{q/2,\text{loc}}, q > 2,$  the spectrum of the “even” operator  $H$  is absolutely continuous. But this result has already been known without the assumption of “evenness” (see [13]).

*Remark 2.2.* The assumptions in b) are close to optimal. If  $d \geq 3,$  then there exists a Schrödinger operator  $H$  with  $g \in \bigcap_{\alpha < 1} C^{\alpha}, A = 0,$  and  $V = 0$  that does not possess the unique continuation property and has an eigenvalue of infinite multiplicity (see [11]).

*Remark 2.3.* In the same way, a similar statement for a waveguide can be proved. Let  $U$  be a bounded domain in  $\mathbb{R}^k, k < d,$  with Lipschitz boundary. Suppose that  $g, A, V$  satisfy the assumptions of Theorem 2.4 in  $\Xi = \mathbb{R}^{d-k} \times U$  ( $g, A, V$  are periodic in the first  $(d - k)$  variables). Then the spectrum of the operator  $H$  corresponding to the form

(1) and defined on  $\text{Dom } h_{\Xi} = \mathring{H}^1(\Xi)$  (the Dirichlet problem) or  $\text{Dom } h_{\Xi} = H^1(\Xi)$  (the Neumann problem) is absolutely continuous.

The remaining part of the paper is devoted to the proof of Theorem 2.1. Mostly, we use the method of [12], where the Dirichlet-to-Neumann operators play a crucial role. We do not use the pseudodifferential technique, working with Dirichlet–Neumann forms (defined on the trace space  $H^{1/2}(\Gamma_{\pm})$ ) instead of operators; this approach permits us to handle nonsmooth coefficients.

In §3, the solvability of various boundary value problems in the cell  $\Omega$  is discussed. In §4, we prove an auxiliary estimate. In §5 we define the Dirichlet–Neumann forms and investigate their properties. The proof of Theorem 2.1 will be completed in §6.

§3. BOUNDARY-VALUE PROBLEMS IN THE CELL

Consider the kernel of the Dirichlet problem

$$\ker_D := \{w \in \mathring{H}^1(\Omega) : h[w, v] = 0, v \in \mathring{H}^1(\Omega)\}.$$

It is easily seen that  $\dim \ker_D < \infty$ .

Let  $B : H^{1/2}(\mathbb{T}^{d-1}) \rightarrow H^1(\Omega)$  be a bounded linear extension operator such that  $(B\varphi)|_{\Gamma_-} = \varphi$ ,  $(B\varphi)|_{\Gamma_+} = 0$ . By definition, we put

$$\text{Dom} := \{\varphi \in H^{1/2}(\mathbb{T}^{d-1}) : h[B\varphi, w] = 0, w \in \ker_D\}.$$

*Remark 3.1.* 1) The definition of  $\text{Dom}$  does not depend on the choice of the operator  $B$ .  
 2) The codimension of  $\text{Dom}$  in  $H^{1/2}$  is finite.

**Lemma 3.1.** *The problem*

$$(2) \quad \begin{cases} h[u, v] = 0 & \text{for all } v \in \mathring{H}^1(\Omega), \\ u|_{\Gamma_-} = \varphi, & u|_{\Gamma_+} = 0, \end{cases}$$

has a solution in  $H^1(\Omega)$  if and only if  $\varphi \in \text{Dom}$ . If  $\varphi \in \text{Dom}$ , then there exists a unique solution  $u$  of (2) such that  $u \perp \ker_D$ .

*Proof.* Obviously, if (2) is solvable, then  $\varphi \in \text{Dom}$ . Conversely, let  $\varphi \in \text{Dom}$ . The Fredholm theory shows that there exists  $u_0 \in \mathring{H}^1(\Omega)$  such that

$$h[u_0, v] = h[B\varphi, v] \quad \text{for all } v \in \mathring{H}^1(\Omega).$$

Then  $u = B\varphi - u_0$  is a solution of (2). The final statement of the lemma is obvious.  $\square$

**Definition 1.** By the Poisson operator  $\mathcal{P}$  we shall mean the operator  $\mathcal{P} : \text{Dom} \rightarrow H^1(\Omega)$  that takes  $\varphi \in \text{Dom}$  to the solution  $u$  of (2) orthogonal to  $\ker_D$ .

*Remark 3.2.* The two-sided estimate

$$(3) \quad c_2 \|\varphi\|_{H^{1/2}} \leq \|\mathcal{P}\varphi\|_{H^1} \leq c_3 \|\varphi\|_{H^{1/2}}$$

is true.

Also, we introduce the inversion operator

$$(Ju)(x_1, x') := u(-x_1, x')$$

and the operators  $\tilde{B} := JB$ ,  $\tilde{\mathcal{P}} := J\mathcal{P}$ . By Condition 3, we have

$$h[J u, J v] = h[u, v], \quad u, v \in H^1(\Omega),$$

and  $J \ker_D = \ker_D$ .

**Lemma 3.2.** *Let  $\zeta \neq \pm 1$ . The problem*

$$(4) \quad \begin{cases} h[u, v] = 0 & \text{for all } v \in \mathring{H}^1(\Omega), \\ u|_{\Gamma_-} = \varphi, & u|_{\Gamma_+} = \zeta\varphi, \end{cases}$$

*has a solution in  $H^1$  if and only if  $\varphi \in \text{Dom}$ . In this case*

$$(5) \quad u = \mathcal{P}\varphi + \zeta\tilde{\mathcal{P}}\varphi + w, \quad \text{where } w \in \ker_D.$$

*Proof.* Let  $u$  be a solution of (4). Then  $(1 - \zeta^2)^{-1}(u - \zeta Ju)$  is a solution of (2), whence  $\varphi \in \text{Dom}$ . Conversely, let  $\varphi \in \text{Dom}$ . Then the function  $u = \mathcal{P}\varphi + \zeta\tilde{\mathcal{P}}\varphi$  is a solution of (4). The final statement of the lemma is obvious. □

§4. THE SPACE  $R(\mathcal{P})$

The image of the Poisson operator can be described explicitly:

$$R(\mathcal{P}) = \{u \in H^1(\Omega) : u|_{\Gamma_+} = 0, h[u, v] = 0 \forall v \in \mathring{H}^1(\Omega), u \perp \ker_D\}.$$

Thus,  $R(\mathcal{P})$  is a closed subspace of  $H^1(\Omega)$ , and  $R(\mathcal{P}) \cap \mathring{H}^1(\Omega) = \{0\}$ .

**Lemma 4.1.** *Let  $W$  be a closed subspace of  $H^1(\Omega)$  with  $W \cap \mathring{H}^1(\Omega) = \{0\}$ . Let  $\psi \in L_r(\Omega)$ , where  $r > 1$  if  $d = 2$  and  $r = d/2$  if  $d \geq 3$ . Then for any  $\varepsilon > 0$  there exists  $c(\varepsilon)$  such that*

$$\int_{\Omega} |\psi u^2| dx \leq \varepsilon \int_{\Omega} |\nabla u|^2 dx + c(\varepsilon) \int_{\partial\Omega} |u|^2 dS, \quad u \in W.$$

*Remark 4.1.* Of course, this statement is valid for any bounded domain with Lipschitz boundary.

*Proof.* Suppose that for some  $\varepsilon > 0$  there exists a sequence  $\{u_n\} \subset W$  such that

$$\int_{\Omega} |\psi u_n^2| dx = 1 \geq \varepsilon \|\nabla u_n\|_{L_2(\Omega)}^2 + n \|u_n|_{\partial\Omega}\|_{L_2(\partial\Omega)}^2.$$

Without loss of generality we may assume that  $u_n \xrightarrow{H^1} u$ . It is well known that the embedding

$$H^1(\Omega) \subset L_2(\Omega, |\psi|dx)$$

is compact (for  $d = 2$  this is a consequence of the fact that the embedding  $H^1 \subset L_{2r/(r-1)}$  is compact; for  $d \geq 3$  we refer the reader to [1]). Thus,  $\int_{\Omega} |\psi u^2| dx = 1$ . On the other hand, since  $\|u_n|_{\partial\Omega}\|_{L_2} \rightarrow 0$  and the embedding  $H^1(\Omega) \subset L_2(\partial\Omega)$  is also compact, we have  $u|_{\partial\Omega} = 0$ . Therefore,

$$u \in \mathring{H}^1(\Omega) \cap W \implies u = 0,$$

a contradiction. □

**Corollary 1.** *Suppose  $g, A$ , and  $V$  satisfy Condition 2. Then for any  $\varepsilon > 0$  there exists  $C(\varepsilon)$  such that*

$$\begin{aligned} & \int_{\Omega} (\langle gA, A \rangle + |V|) |u|^2 dx + 2 \int_{\Omega} |\langle gAu, \nabla u \rangle| dx \\ & \leq \varepsilon \int_{\Omega} |\nabla u|^2 dx + C(\varepsilon) \int_{\Gamma_-} |u|^2 dS, \quad u \in R(\mathcal{P}). \end{aligned}$$

§5. DIRICHLET–NEUMANN FORMS

In  $L_2(\mathbb{T}^{d-1})$ , consider the subspace  $\mathcal{H} := \overline{\text{Dom}}^{L_2}$  (if  $\ker_D = \{0\}$ , then  $\mathcal{H}$  coincides with  $L_2$ ).

**Definition 2.** The forms  $n_0, n_1$  in the Hilbert space  $\mathcal{H}$  that are defined on the domain

$$\text{Dom } n_0 = \text{Dom } n_1 = \text{Dom}$$

by the formulas

$$n_0[\varphi, \psi] = h[\mathcal{P}\varphi, \mathcal{P}\psi], \quad n_1[\varphi, \psi] = h[\mathcal{P}\varphi, \tilde{\mathcal{P}}\psi],$$

will be called the Dirichlet–Neumann forms.

It is easily seen that  $n_0$  is Hermitian. The form  $n_1$  is also Hermitian, which follows from Condition 3:

$$n_1[\varphi, \psi] = h[\mathcal{P}\varphi, \tilde{\mathcal{P}}\psi] = h[\tilde{\mathcal{P}}\varphi, \mathcal{P}\psi] = \overline{n_1[\psi, \varphi]}.$$

**Lemma 5.1.** *The form  $n_0$  is semibounded and closed.*

*Proof.* Let  $\varphi \in \text{Dom}$ ,  $\mathcal{P}\varphi = u$ . By the corollary to Lemma 4.1, we get

$$\begin{aligned} n_0[\varphi, \varphi] &= \int_{\Omega} (\langle g(i\nabla + A)u, (i\nabla + A)u \rangle + V|u|^2) \, dx \\ (6) \qquad &\geq \frac{c_0}{2} \int_{\Omega} |\nabla u|^2 \, dx - c_4 \int_{\Gamma_-} |\varphi|^2 \, dS. \end{aligned}$$

Thus, the form  $n_0$  is semibounded. Combining (6) and (3), we obtain

$$c_5 \|\varphi\|_{H^{1/2}}^2 \leq n_0[\varphi, \varphi] + c_4 \|\varphi\|_{L_2}^2 \leq c_6 \|\varphi\|_{H^{1/2}}^2,$$

so that  $n_0$  is closed. □

To prove that  $\ker n_1 = \{0\}$ , we need the following facts.

**Lemma 5.2** (see, e.g., [4]). *Let  $l, l_1, \dots, l_n$  be bounded linear functionals on a Hilbert space. If  $\bigcap_{k=1}^n \ker l_k \subset \ker l$ , then  $l$  is a linear combination of  $l_1, \dots, l_n$ , i.e.,  $l = \sum_{k=1}^n \alpha_k l_k$ .*

**Lemma 5.3.** *Suppose the coefficients of the form  $h$  satisfy Condition 4. If the function  $w \in H^1(\Omega)$  is such that*

- 1)  $w|_{\Gamma_+} = 0$ ,
- 2)  $h[v, w] = 0$  for any  $v \in H^1(\Omega)$  with  $v|_{\Gamma_-} = 0$ ,

then  $w = 0$ .

*Proof.* Consider the cylinder  $\Xi = (-\pi, 4) \times \mathbb{T}^{d-1}$  and the function  $\hat{w}(x) \in H^1(\Xi)$  such that  $\hat{w}(x) = w(x)$  if  $x_1 \leq \pi$  and  $\hat{w}(x) = 0$  if  $x_1 > \pi$ . Then  $\hat{w} \in H^1(\Xi)$  and

$$h_{\Xi}[\hat{w}, v] = h[w, v|_{\Omega}] = 0, \quad v \in \dot{H}^1(\Xi).$$

Now, the identity  $w = 0$  follows from Condition 4. □

**Theorem 5.1.** *The kernel of the form  $n_1$  is trivial,  $\ker n_1 = \{0\}$ .*

*Proof.* Let  $\varphi \in \ker n_1$ ,  $\mathcal{P}\varphi = u$ . Then

$$h[v, u] = 0 \quad \text{for all } v \in R(\tilde{\mathcal{P}}).$$

Let  $\{u_k\}$  be a basis in  $\ker_D$ . Consider the linear functionals

$$l(\psi) = h[\tilde{B}\psi, u], \quad l_k(\psi) = h[\tilde{B}\psi, u_k]$$

on  $H^{1/2}(\mathbb{T}^{d-1})$ . By definition,  $\bigcap_k \ker l_k = \text{Dom}$ . If  $\psi \in \text{Dom}$ , then  $h[\tilde{B}\psi, u] = h[\tilde{\mathcal{P}}\psi, u] = 0$ , whence  $\text{Dom} \subset \ker l$ . By Lemma 5.2, there exists  $u_0 \in \ker_D$  such that

$$h[\tilde{B}\psi, u - u_0] = 0 \quad \text{for all } \psi \in H^{1/2}(\mathbb{T}^{d-1}).$$

If  $w = u - u_0$ , then  $h[v, w] = 0, v \in \dot{H}^1(\Omega)$ . Consequently,

$$h[v, w] = 0 \quad \text{for all } v \in H^1(\Omega) : v|_{\Gamma_-} = 0.$$

Lemma 5.2 yields  $w = 0$ , so that  $u = u_0 \in \dot{H}^1(\Omega) \iff u = 0$ . □

§6. PROOF OF THEOREM 2.1

We shall use the following abstract statement.

**Lemma 6.1.** *Let  $\mathcal{H}$  be a Hilbert space, let  $\mathcal{F}$  be a dense linear set in  $\mathcal{H}$ , and let  $n_0, n_1$  be Hermitian bilinear forms such that  $\text{Dom } n_0 = \text{Dom } n_1 = \mathcal{F}$ . Assume that  $n_0$  is semibounded from below and closed,  $\ker n_1 = \{0\}$ . If the embedding of  $\mathcal{F}$  with norm  $\|f\|_{\mathcal{F}}^2 = n_0[f, f] + \gamma\|f\|_{\mathcal{H}}^2$  in  $\mathcal{H}$  is compact, then the set of nonreal  $z$  such that  $\ker(n_0 + zn_1) \neq \{0\}$  is finite.*

*Proof.* Without loss of generality we can assume that  $\text{Im } z > 0$ . Consider the set

$$M = \{z \in \mathbb{C} : \text{Im } z > 0, \ker(n_0 + zn_1) \neq \{0\}\},$$

and let

$$\mathcal{M} = \sum_{z \in M} \ker(n_0 + zn_1)$$

be the linear span of such kernels. For  $z_1, z_2 \in M$  (including the case where  $z_1 = z_2$ ) and  $\varphi_k \in \ker(n_0 + z_k n_1), k = 1, 2$ , we have

$$n_0[\varphi_1, \varphi_2] + z_1 n_1[\varphi_1, \varphi_2] = 0, \quad n_0[\varphi_1, \varphi_2] + \bar{z}_2 n_1[\varphi_1, \varphi_2] = 0.$$

Therefore,  $n_0[\varphi_1, \varphi_2] = n_1[\varphi_1, \varphi_2] = 0$ , whence  $n_0[\varphi, \psi] = n_1[\varphi, \psi] = 0, \varphi, \psi \in \mathcal{M}$ . Combining this and the compactness of the embedding  $\mathcal{F} \subset \mathcal{H}$ , we see that  $\dim \mathcal{M} < \infty$ .

Next, there exist operators  $N_0, N_1 : \mathcal{M} \rightarrow \mathcal{F}$  such that

$$(N_k \varphi, \psi)_{\mathcal{F}} = n_k[\varphi, \psi], \quad \varphi \in \mathcal{M}, \psi \in \mathcal{F}.$$

Obviously,  $\ker N_1 = \{0\}$ . If  $\varphi \in \ker(n_0 + zn_1)$ , then  $N_0 \varphi = -z N_1 \varphi$ , whence  $R(N_0) = R(N_1)$ , and we can define the operator  $N_1^{-1} N_0$  acting in  $\mathcal{M}$ . Then the cardinality of  $M$  does not exceed the dimension of  $\mathcal{M}$ , because  $M \subset \sigma(-N_1^{-1} N_0)$ . □

*Proof of Theorem 2.1.* Suppose that  $\zeta \in \mathbb{C}, \text{Im } \zeta \neq 0, |\zeta| \neq 1$  and there exists  $u_\zeta \in H^1(\Omega), u_\zeta \neq 0$ , such that  $u_\zeta|_{\Gamma_+} = \zeta u_\zeta|_{\Gamma_-}$  and

$$h[u_\zeta, v] = 0 \quad \text{for all } v \in H^1(\Omega) \text{ with } \bar{\zeta} v|_{\Gamma_+} = v|_{\Gamma_-}.$$

By Lemma 3.2 (formula (5)), we have  $u_\zeta = \mathcal{P}\varphi + \zeta \tilde{\mathcal{P}}\varphi + w$ , where  $w \in \ker_D, \varphi = u_\zeta|_{\Gamma_-}$ .

First, suppose  $\varphi = 0$ . Then  $u_\zeta \in \ker_D$ . If  $f \in H^1(\Omega)$  and  $f|_{\Gamma_-} = 0$ , then

$$h[\zeta J u_\zeta + u_\zeta, f] = h[u_\zeta, \bar{\zeta} J f + f] = 0.$$

By Lemma 5.3,  $J u_\zeta = -\zeta^{-1} u_\zeta$ . Since the spectrum of  $J$  consists of two numbers 1 and  $-1$ , we have  $u_\zeta = 0$ , a contradiction.

Now, let  $\varphi \neq 0$ . Then, for any  $\psi \in \text{Dom}$ , choosing  $v = \tilde{\mathcal{P}}\psi + \bar{\zeta} \mathcal{P}\psi$ , we get

$$\begin{aligned} 0 &= h[u_\zeta, v] = h[\mathcal{P}\varphi + \zeta \tilde{\mathcal{P}}\varphi + w, \tilde{\mathcal{P}}\psi + \bar{\zeta} \mathcal{P}\psi] = (1 + \zeta^2)n_1[\varphi, \psi] + 2\zeta n_0[\varphi, \psi] \\ &\implies n_0[\varphi, \psi] + z n_1[\varphi, \psi] = 0, \end{aligned}$$

where  $z = (1 + \zeta^2)/(2\zeta)$ . Recall that  $z \notin \mathbb{R}$  by assumption. The compactness of the embedding  $\mathcal{F} = \text{Dom} \subset \mathcal{H}$  follows from the compactness of the embedding  $H^{1/2}(\mathbb{T}^{d-1}) \subset L_2(\mathbb{T}^{d-1})$ , which allows us to apply Lemma 6.1. So, the number of such  $\zeta$  is finite.  $\square$

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Received 1/SEP/2003

Translated by M. TIKHOMIROV