

## Finding upper bound for the heat & Green kernel

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# Introduction

$(M^n, g)$  will be a complete Riemannian manifold.

Recall that in local coordinate

$$\Delta = -\frac{1}{\Theta} \sum_{i,j} \frac{\partial}{\partial x_i} \Theta g^{i,j} \frac{\partial}{\partial x_j}$$

where

$$\Theta = \sqrt{\det[g_{i,j}]}.$$

## Introduction : the heat kernel

The operator  $e^{-t\Delta}$  has a smooth Schwartz kernel, the **heat kernel**  $h_t(x, y)$ : for  $f \in C_0^\infty(M)$ , :

$$f_t(x) := \left( e^{-t\Delta} f \right) (x) = \int_M h_t(x, y) f(y) dy$$

solve the evolution equation :

$$\begin{cases} \frac{\partial}{\partial t} f_t + \Delta f_t = 0 & \text{on } (0, +\infty) \times M \\ f_0 = f \end{cases}$$

## Introduction : the Green kernel

If moreover, there is some  $x, y \in M$  such that

$$\int_1^{+\infty} h_t(x, y) dt < \infty$$

Then for all  $x \neq y$ , we can define

$$G(x, y) = \int_0^{+\infty} h_t(x, y) dt$$

the Green kernel. And if  $f \in C_0^\infty(M)$  then

$$u(x) =: \int_M G(x, y) f(y) dy$$

solve the equation :

$$\Delta u = f$$

with the extra property that  $f \geq 0 \Rightarrow u \geq 0$ .

# Motivations

A good understanding of the Green kernel  $G(x, y)$

$\Rightarrow$

a good information on solution of the equation :

$$\Delta u = f$$

An example :

On a complete Riemannian  $(M^{n>2}, g)$  with

$$\text{Ricci}_g \geq 0$$

and Euclidean growth :

$$\forall r > 0, \forall x \in M : \text{vol}B(x, r) \geq v r^n$$

then Li-Yau 's estimates<sub>1986</sub> implies that

$$G(x, y) \leq \frac{C(n)}{v d(x, y)^{n-2}}.$$

On a complete Riemannian  $(M^{n>2}, g)$  with  $\text{Ricci}_g \geq 0$  and Euclidean growth, if for some  $\alpha > 2$

$$|f(x)| \leq \frac{C}{d(x, o)^\alpha},$$

then the equation  $\Delta u = f$  has a unique solution such that

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Li and Yau obtained a upper bound on the gradient of the Green kernel :  
If for some  $\alpha > 1$

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then the equation  $\Delta u = f$  has a solution such that

$$|du(x)| \leq \frac{C'}{d(x, o)^{\alpha-1}}.$$

These estimates have been used by Mok, Siu and Yau in order to obtain some geometric property of Kaelher manifold with non negative bisectional curvature.

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Another motivation is that a good tool for doing analysis on non compact manifold should be able to give good informations on the heat/Green kernel.

# Very precise estimate : harmonic analysis

In the Euclidean space  $\mathbb{R}^n$  :

$$(\widehat{e^{-t\Delta}f})(\xi) = e^{-t|\xi|^2}\widehat{f}(\xi)$$

hence

$$h_t(x, y) = \frac{e^{-\frac{d(x,y)^2}{4t}}}{(4\pi t)^{n/2}}$$

and if  $n > 2$  :

$$G(x, y) = \frac{c(n)}{d(x, y)^{n-2}} .$$

## Very precise estimate : harmonic analysis

The case of symmetric space  $M = G/K$  with  $\sec \leq 0$  :

Sometimes, there are explicit expression (when the group  $G$  is complex):  
for instance in the real hyperbolic space  $\mathbb{H}^3 = SL_2(\mathbb{C})/SU(2)$  :

$$h_t(x, y) = \frac{d(x, y)}{\sinh d(x, y)} \frac{e^{-\frac{d(x, y)^2}{4t}}}{(4\pi t)^{3/2}}$$

$$\text{and } G(x, y) = \frac{c(n)}{\sinh d(x, y)} .$$

The case of symmetric space  $M = G/K$  with  $\text{sec} \leq 0$  : The spherical Fourier transform can be used to obtain a very precise description (Anker and Ji<sub>1999</sub> in some case, Anker and Ostellari<sub>2004</sub> announcement)

$$h_t(o, y) \approx \frac{e^{-\frac{d(o,y)^2}{4t} - \lambda_0 t - \rho(y)}}{t^{n/2}} P(t, y)$$

where we say that  $f \approx g$  if both  $\frac{f}{g}$  and  $\frac{g}{f}$  are bounded.

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- $\lambda_0$  is the bottom of the spectrum of the Laplacian  $\Delta$ .
- $P(t, y)$  is an explicit polynomial in  $t$  and  $y$ .
- $\rho(y)$  is a function that measures the volume growth of  $K$ -orbit :

$$\text{vol}KB(y, 1) \approx e^{2\rho(y)}.$$

This method also gives similar estimates on the derivative of the heat/Green kernel and it also give some asymptotic expansion when

$$(t, y) \rightarrow \infty.$$

Using perturbation theory (Duhamel formula), on can extend this to space that are asymptotic to symmetric space, a good frame work is the introduction of a good  $\Psi$ DO calculus.

## Very precise estimate : $\Psi$ DO calculus

**Example 1** : *Asymptotically Hyperbolic manifold* : i.e. the interior of a compact manifold  $\overline{M}$  with boundary  $\partial\overline{M}$  endowed with a metric

$$g = \frac{\bar{g}}{y^2}$$

where  $\bar{g}$  is a smooth Riemannian metric on  $\overline{M}$  and  $y : \overline{M} \rightarrow [0, +\infty)$  a smooth defining function for  $\partial\overline{M}$  such that  $|dy|_{\bar{g}} = 1$  along  $\partial\overline{M}$ . For instance the real hyperbolic space

$$\mathbb{H}^n = \left( \mathbb{B}^n, \frac{4 \text{ eucl}}{(1 - \|x\|^2)^2} \right).$$

# Very precise estimate : $\Psi$ DO calculus, Asymptotically Hyperbolic manifold

In this setting, Mazzeo and Melrose<sub>1988</sub> have developed a  $\Psi$ DO calculus (the 0-calculus) and obtained very precise description of the spectrum of the Laplacian and of the behaviour of the resolvent

$$(\Delta - z)^{-1}, \quad z \rightarrow \text{Spec } \Delta.$$

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$$(\Delta - z)^{-1}, \quad z \rightarrow \text{Spec } \Delta.$$

With  $\lambda_0 = \inf \text{Spec } \Delta$ , I guess that one can get for any  $t \geq 1$  :

$$\begin{cases} h_t(x, y) \leq C e^{-\lambda_0 t} & \text{if } \lambda_0 < (n-1)^2/4 \\ h_t(x, y) \leq C \frac{e^{-\lambda_0 t}}{t^{3/2}} & \text{if } \lambda_0 = (n-1)^2/4 \end{cases}$$

## Very precise estimate : $\Psi$ DO calculus, Asymptotically conical manifold

**Example 2** : *Asymptotically conical manifold* : outside a compact set the metric is asymptotic to a conical metric

$$((1, +\infty) \times N, (dr)^2 + r^2 h)$$

$N$  : a compact manifold without boundary.

A  $\Psi$ DO calculus (the scattering calculus) has been introduced by Melrose<sub>1994</sub>, a recent extension of this calculus has been recently defined and used by Guillarmou and Hassell<sub>2008–2009</sub> in order to obtain a very good description of the resolvent

$$(\Delta + V - z)^{-1}, \quad z \rightarrow 0.$$

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Some important consequences are new results about the  $L^p$  boundness of the Riesz transform :

$$d(\Delta + V)^{-1/2}.$$

## Very precise estimate :

The advantage of these tools :

- Very precise estimates are obtained
- The results are not limited to the scalar Laplacian (Laplacian on forms, spinors can be treated also)

## Rough estimate

I will now concentrate on Euclidean type upper bound :

$$h_t(x, y) \leq \frac{C}{t^{n/2}}.$$

or

$$G(x, y) \leq \frac{C}{d(x, y)^{n-2}}.$$

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Although, the same tools will lead to estimate of the type

$$h_t(x, y) \leq \frac{C}{\text{vol}B(x, \sqrt{t})}.$$

On manifold with Ricci  $\geq 0$ , the above estimates are true according to Li and Yau's estimates.

## Rough estimate

We will not speak on lower bound (i.e. we do not search for the optimal upper bound). For instance on the hyperbolic space  $\mathbb{H}^3$  :

$$h_t(x, x) = \frac{e^{-t}}{(4\pi t)^{3/2}}.$$

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$$h_t(x, x) = \frac{e^{-t}}{(4\pi t)^{3/2}}.$$

But the Euclidean type upper bound :

$$h_t(x, y) \leq \frac{C}{t^{n/2}},$$

+ a Euclidean's type upper bound on the volume growth implies the lower bound

$$\frac{C}{t^{n/2}} \leq h_t(x, x).$$

## Rough estimate : Gaussian upper bound

It is well known that such a Euclidean type upper bound implies Gaussian upper bound, the end point result is due to A. Sikora<sub>1996</sub>:

### Theorem

If we have

$$\forall t > 0, \forall x \in M, \quad h_t(x, x) \leq \frac{C}{t^{n/2}}.$$

then

$$\forall t > 0, \forall x, y \in M, \quad h_t(x, y) \leq C \left(1 + \frac{d(x, y)}{\sqrt{t}}\right)^{n-1} \frac{e^{-\frac{d(x, y)^2}{4t}}}{t^{n/2}}.$$

Hence the Euclidean type upper bound on the heat kernel (when  $n > 2$ ) implies an upper bound on the Green kernel :

$$G(x, y) \leq \frac{C}{d(x, y)^{n-2}}.$$

## Rough estimate : Gaussian upper bound

A very general result has been obtained by A. Grigor'yan<sub>1997</sub>:

### Theorem

Assume that for **some**  $x, y \in M$  we have

$$\forall t > 0, h_t(x, x) \leq \frac{C}{t^{n/2}} \text{ and } h_t(y, y) \leq \frac{C}{t^{n/2}}$$

then for all  $D > 4$ , there is a constant  $C'$  such that

$$\forall t > 0, h_t(x, y) \leq C' \frac{e^{-\frac{d(x,y)^2}{Dt}}}{t^{n/2}}.$$

## Euclidean's type estimate : : the Sobolev inequality

A very useful result has been shown by J. Nash<sub>ii)⇒i),1958</sub> and N. Varopoulos<sub>i)⇒ii),1985</sub> :

### Theorem

The following are equivalent

- i)  $\forall t > 0, \forall x, y \in M \quad h_t(x, y) \leq \frac{C}{t^{n/2}}$ .
- ii)  $(M, g)$  satisfies the Sobolev inequality :

$$\forall f \in C_0^\infty(M), \quad \|f\|_{L^{\frac{2n}{n-2}}} \leq A \|df\|_{L^2}.$$

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This result implies that in order to obtain Euclidean type upper bound on the heat kernel, we only need to understand the geometry up to bilipschitz equivalence : indeed if  $h, g$  are two Riemannian metric such that

$$ch \leq g \leq Ch$$

then the Sobolev inequality hold for  $g$  if and only if it hold for  $h$ .

## Euclidean's type estimate : : the Sobolev inequality

Moreover the validity on the Sobolev inequality only depend on the infinity : i.e. if for a compact set  $K \subset M$  we have the Sobolev inequality outside  $K$  :

$$\forall f \in C_0^\infty(M \setminus K), \|f\|_{L^{\frac{2n}{n-2}}} \leq C \|df\|_{L^2},$$

then it hold on  $M$  :

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### Applications

- If  $M^n \subset \mathbb{R}^n$  is a submanifold with mean curvature  $h \in L^n$  then  $M$  satisfies the Sobolev inequality ( $C_{1998}$ ).
- If  $\Omega \subset \bar{M}$  is a open set in a compact Riemannian manifold  $(\bar{M}, \bar{g})$  endowed with a complete Riemannian metric  $g = e^{2f} \bar{g}$  such that

$$\int_{\Omega} \text{Scal}_+^{n/2} d\text{vol}_g < \infty$$

then  $(\Omega, g)$  satisfies the Sobolev inequality (C-Herzlich<sub>2006</sub>).

## Euclidean's type estimate :small times behaviour

A control on the local geometry implies a control on the small times behaviour of the heat kernel

### Theorem

Assume that the ball  $B(x, r) \subset M$  satisfies the Sobolev inequality :

$$\forall f \in C_0^\infty(B(x, r)), \quad \|f\|_{L^{\frac{2n}{n-2}}} \leq A \|df\|_{L^2}.$$

Then

$$\forall t \in (0, \sqrt{r}), \quad h_t(x, x) \leq \frac{C(n)A^n}{t^{n/2}}.$$

That is the estimate is true as soon as not almost all the heat is not outside  $B(x, r)$ .

## Euclidean's type estimate :small times behaviour

For instance if

$$\begin{cases} \text{Ricci} \geq -(n-1)\kappa^2 g \\ v := \inf_{x \in M} \text{vol} B(x, 1) > 0 \end{cases}$$

then

$$\forall t \in (0, 1), \forall x, y \in M, \quad h_t(x, y) \leq \frac{C(n)}{vt^{n/2}}.$$

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If moreover  $\text{Spec } \Delta \subset [\lambda_0, +\infty)$  with  $\lambda_0 > 0$ , then

$$\forall x, y \in M, \quad h_t(x, y) \leq \begin{cases} \frac{C(n)}{vt^{n/2}} & \text{if } t \in (0, 1) \\ Ce^{-\lambda_0 t} & \text{if } t \geq 1 \end{cases}$$

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so that

$$\forall t > 0, \forall x, y \in M, \quad h_t(x, y) \leq \frac{C}{t^{n/2}}.$$

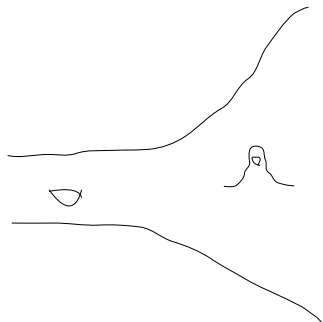
## Euclidean's type estimate : discretisation

Such a manifold can be discretize : choose a discrete set  $E = \{x_i\} \subset M$  such that

①  $\forall i \neq j, d(x_i, x_j) \geq 1$

②  $M = \cup_i B(x_i, 1)$

and say that  $x_i \sim x_j \Leftrightarrow d(x_i, x_j) \leq 4$ . We obtain a graph.



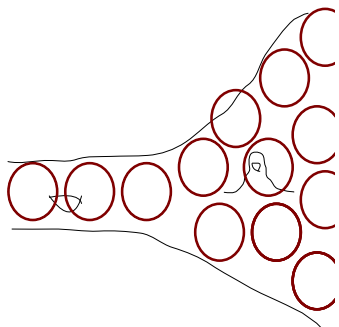
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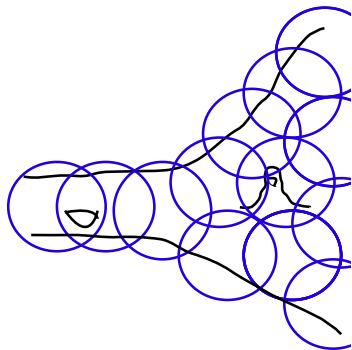
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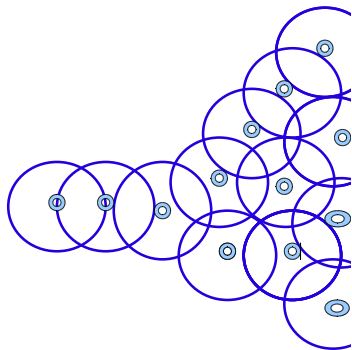
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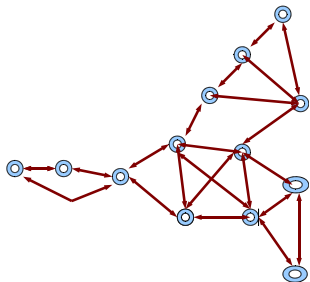
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# Euclidean's type estimate : discretisation

The result of Kanai<sub>1986</sub> is that

## Theorem

Assume that

$$\begin{cases} \text{Ricci} \geq -(n-1)\kappa^2 g \\ \nu := \inf_{x \in M} \text{vol} B(x, 1) > 0 \end{cases}$$

The Euclidean's type upper bound :

$$\forall t > 0, \forall x, y \in M \quad h_t(x, y) \leq \frac{C}{t^{n/2}}$$

is equivalent to the discrete Sobolev inequality :  $\forall f \in \mathcal{L}_0^1(E)$  with finite support

$$\left( \sum_i |f(x_i)|^{\frac{2n}{n-2}} \right)^{1-\frac{2}{n}} \leq A \sum_{x_i \sim x_j} |f(x_i) - f(x_j)|^2.$$

## Euclidean's type estimate : discretisation

Example (Coulhon and Saloff-Coste<sub>1993</sub>): If  $M \rightarrow \check{M}$  is a Riemannian covering of a compact Riemannian manifold  $(\check{M}, g)$  such that for some  $o \in M$  and all  $r > 0$  :

$$\text{vol}B(o, r) \geq vr^n$$

then

$$\forall t > 0, \forall x, y \in M, h_t(x, y) \leq \frac{C}{t^{n/2}}$$

# Euclidean's type estimate and the isoperimetric inequality :

The Sobolev inequality

$$\forall f \in C_0^\infty(M), \|f\|_{L^{\frac{2n}{n-2}}} \leq C \|df\|_{L^2}.$$

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This  $L^1$ -Sobolev inequality is equivalent to the isoperimetric inequality :

$$\forall \Omega \subset M, (\text{vol} \Omega)^{\frac{n-1}{n}} \leq C \text{vol} \partial \Omega.$$

# Euclidean's type estimate and the isoperimetric inequality :

## Theorem

If  $\text{Ricci} \geq -(n-1)\kappa^2 g$  and  $v := \inf_{x \in M} \text{vol} B(x, 1) > 0$   
then the Sobolev inequality

$$\forall f \in C_0^\infty(M), \|f\|_{L^{\frac{2n}{n-2}}} \leq C \|df\|_{L^2}.$$

implies the the isoperimetric inequality :

$$\forall \Omega \subset M, \text{ such that } \text{vol} \Omega \geq 1$$

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# Euclidean's type estimate and isoperimetric inequality :

Theorem, (Grigor'yan, C. 1994)

The Euclidean's type upper bound :

$$\forall t > 0, \forall x, y \in M \quad h_t(x, y) \leq \frac{C}{t^{n/2}}$$

is equivalent to the Faber-Krahn isoperimetric inequality :

$$\forall \Omega \subset M, \quad C (\text{vol} \Omega)^{-\frac{2}{n}} \leq \lambda_0(\Omega).$$

## Euclidean's type estimate : Grigor'yan and Saloff-Coste's result

The hypothesis are ( $o \in M$  is a fixed point).

- for all  $r > 0$  :  $Ar^n \leq \text{vol}B(o, r) \leq Br^n$ .

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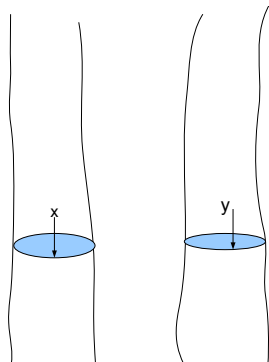
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- $(M, g)$  satisfies the Relatively Connected Annuli conditions : for all  $x, y \in M$  such that  $d(x, y) = r \geq 1$  can be connected by a  $C^1$  curve  $\gamma$  in  $B(o, Cr) \setminus B(o, r/C)$ .

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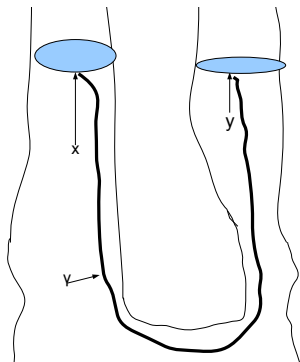
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# Euclidean's type estimate : Grigor'yan and Saloff-Coste's result

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- All “remote” balls satisfies the Sobolev and Poincaré inequalities : if  $r < d(x, o)/2$  then

$$\forall f \in C_0^\infty(B(x, r)), \|f\|_{L^{\frac{2n}{n-2}}} \leq D \|df\|_{L^2}.$$

$$\forall f \in C^\infty(B(x, r)), \|f - \bar{f}\|_{L^2} \leq Er \|df\|_{L^2}.$$

$$\text{(with } \bar{f} = \oint_{B(x, r)} f = \frac{1}{\text{vol}B(x, r)} \int_{B(x, r)} f)$$

# Euclidean's type estimate : Grigor'yan and Saloff-Coste's result

Theorem ( Grigor'yan and Saloff-Coste<sub>2005</sub>, Minerbe<sub>2009</sub>)

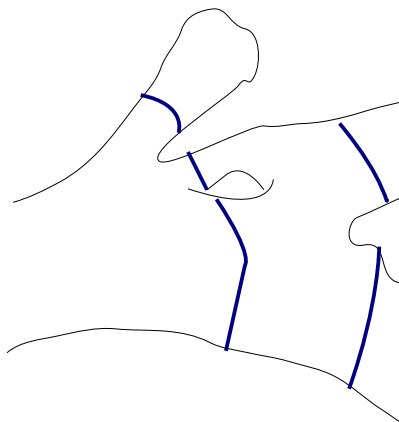
Under these assumptions on  $(M, g)$ , we have Euclidean's type upper bound for the heat kernel :

$$\forall t > 0, \forall x, y \in M \quad h_t(x, y) \leq \frac{C}{t^{n/2}}.$$

idea of the proof : used twice the above discretisation.

**First step** : discretize the annuli  $A_k = B(o, 2^{k+a}) \setminus B(o, 2^{k-a})$  by balls on radius  $2^k$ . One get a graph  $G_k$ .

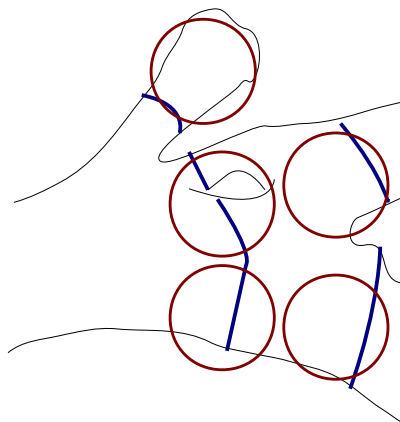
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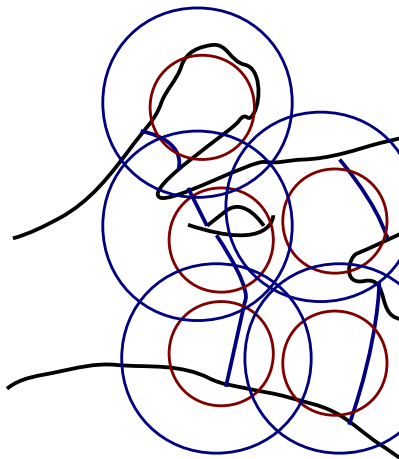
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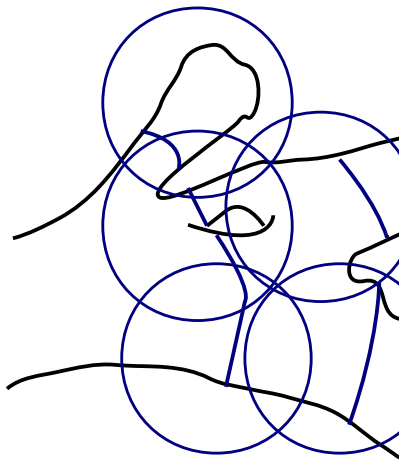
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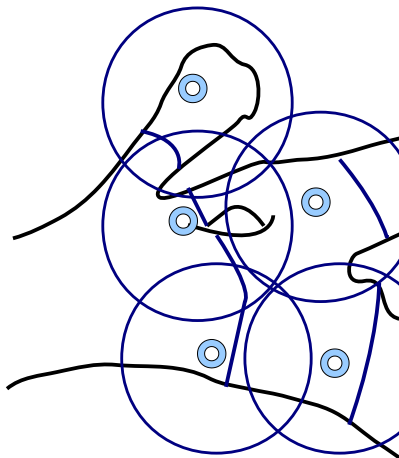
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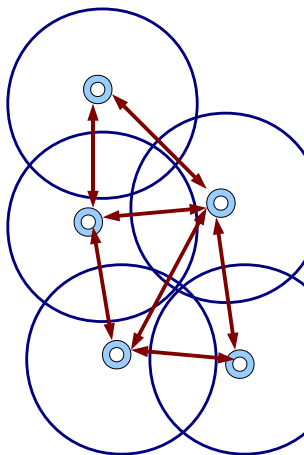
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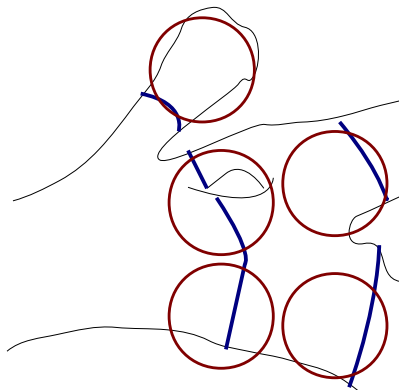
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- $G_k$  is connected (by the Relatively Connected Annuli conditions condition).
- $\#G_k \leq c_n B D^{n/2}$  There is a uniform Poincaré inequality (with  $\mu$  independent of  $k$ ) :  $\forall f : G_k \rightarrow \mathbb{R}$  with  $m(f) = \frac{1}{\#G_k} \sum_{x \in G_k} f(x)$  :

$$\sum_{x \in G_k} |f(x) - m(f)|^2 \leq \mu \sum_{x \sim y} |f(x) - f(y)|^2.$$

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Deduce via discretisation that for  $\tilde{A}_k = B(o, 2^{k+a+1}) \setminus B(o, 2^{k-a-1})$

$$\forall f \in C_0^\infty(\tilde{A}_k), \|f\|_{L^{\frac{2n}{n-2}}(A_k)} \leq C \|df\|_{L^2(\tilde{A}_k)}.$$

$$\forall f \in C^\infty(\tilde{A}_k), \|f - \bar{f}\|_{L^2(A_k)} \leq Cr \|df\|_{L^2(\tilde{A}_k)}.$$

idea of the proof, **second step** :

Let  $A_0 = B(o, 2^{1+a})$  and  $\tilde{A}_0 = B(o, 2^{2+a})$ , and  $v_k = \text{vol}A_k$  we discretize  $M$  by  $\mathbb{N}$ : to any  $f \in C_0^\infty(M)$  we associated the sequence  $(\varphi_k)$  defined by

$$\varphi_k = \oint_{A_k} f, k \geq 0$$

Because  $v_k = \text{vol}A_k \approx 2^{kn}$ :

$$\sum_k v_k^{1-\frac{2}{n}} \varphi_k^2 \leq C \sum_k v_k^{1-\frac{2}{n}} |\varphi_k - \varphi_{k+1}|^2.$$

Then they used this discrete gap estimate to glue together the different Sobolev inequality and get the Sobolev inequality on  $M$  .

idea of the proof, **second step** :

Then

$$\|f\|_{L^{\frac{2n}{n-2}}}^2 \leq C \sum_k \|f\|_{L^{\frac{2n}{n-2}}(A_k)}^2 \leq C \sum_k \|f - \varphi_k\|_{L^{\frac{2n}{n-2}}(A_k)}^2 + C \sum_k v_k^{1-\frac{2}{n}} |\varphi_k|^2$$

Recall :

$$\sum_k v_k^{1-\frac{2}{n}} |\varphi_k|^2 \leq C \sum_k v_k^{1-\frac{2}{n}} |\varphi_k - \varphi_{k+1}|^2.$$

And moreover using Poincaré and Sobolev inequalities :

$$\|f - \varphi_k\|_{L^{\frac{2n}{n-2}}(A_k)}^2 \leq C \|df\|_{L^2(\tilde{A}_k)}^2.$$

Hence

$$\begin{aligned} \|f\|_{L^{\frac{2n}{n-2}}}^2 &\leq C \sum_k C \|df\|_{L^2(\tilde{A}_k)}^2 + C \sum_k v_k^{1-\frac{2}{n}} |\varphi_k - \varphi_{k+1}|^2.. \\ &\leq C \|df\|_{L^2(M)}^2 + C \sum_k v_k^{1-\frac{2}{n}} |\varphi_k - \varphi_{k+1}|^2. \end{aligned}$$

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Application to QALE manifold.

### Theorem (Joyce<sub>2000</sub>)

A QALE manifold  $(M^{n>2}, g)$  satisfies the Sobolev inequality, hence :

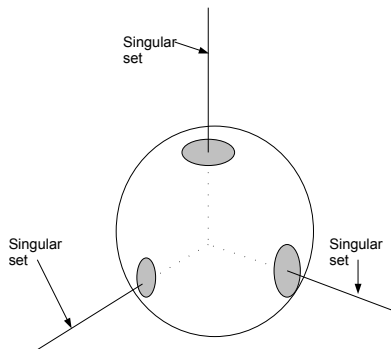
$$G(x, y) \leq \frac{C}{d(x, y)^{n-2}}.$$

## What is a QALE manifold ?

When  $\Gamma \subset SO(n)$  is a finite group, then

$$(\mathbb{R}^n \setminus \mathbb{B}^n)/\Gamma = U \cup \bigcup_i V_i$$

where  $U$  is the smooth part and  $V_i$  is "conical" neighbourhood of the singular part.

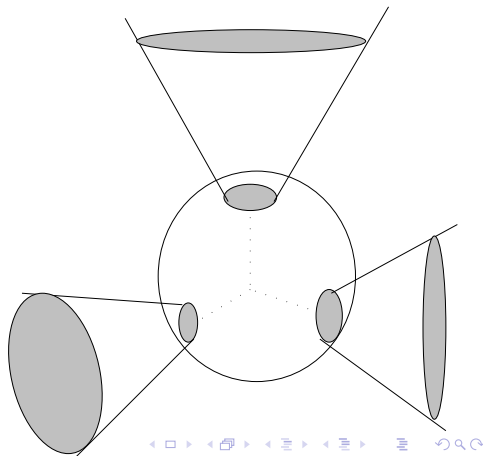


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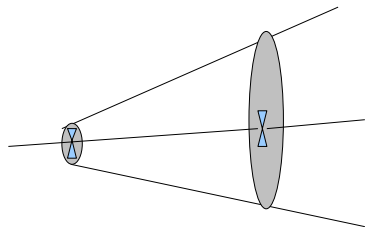
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A Quasi Asymptotically Locally Euclidean manifold  $(M^n, g)$  asymptotic to  $\mathbb{R}^n/\Gamma$  is a manifold such that outside a compact set  $K$

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on  $U$ ,  $g \approx \text{eucl}$

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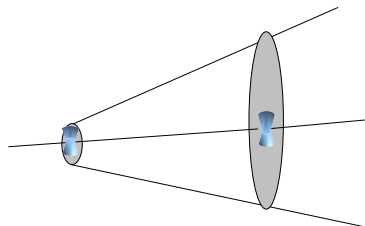
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Then  $\widehat{V}_i \subset Y_i \times \mathbb{R}^{m_i}$  where  $Y_i$  is a QALE manifold asymptotic to  $\mathbb{R}^{n_i}/A_i$ , and on  $\widehat{V}_i$  the metric  $g$  is bilipschitz to the product metric.



On a QALE manifold, we have two distance's type function :

$\rho \approx$  distance to a fixed point.

$\sigma \approx$  distance to the singular set.

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### Theorem (C<sub>2010</sub>)

Let  $(M^n, g)$  be a QALE manifold asymptotic to  $\mathbb{R}^n/\Gamma$  and assume that the singular set has codimension  $> 2$ . If for some  $\alpha > 0$

$$|f(x)| \leq \frac{C}{\rho^\alpha \sigma^2}$$

then the equation  $\Delta u = f$  has a unique solution such that

$$|u(x)| \leq \frac{C' \log(\rho + 2)}{\rho^\alpha} .$$