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SELF-ADJOINT EXTENSIONS OF DISCRETE MAGNETIC SCHRÖDINGER OPERATORS

OGNJEN MILATOVIC, FRANÇOISE TRUC

ABSTRACT. Using the concept of intrinsic metric on a locally finite weighted graph, we give sufficient conditions for the magnetic Schrödinger operator to be essentially self-adjoint. The present paper is an extension of some recent results proven in the context of graphs of bounded degree.

1. Introduction and the main results

- 1.1. **The setting.** Let V be a countably infinite set. We assume that V is equipped with a measure $\mu: V \to (0, \infty)$. Let $b: V \times V \to [0, \infty)$ be a function such that
- (i) b(x, y) = b(y, x), for all $x, y \in V$;
- (ii) b(x, x) = 0, for all $x \in V$;
- (iii) $\deg(x) := \sharp \{y \in V : b(x,y) > 0\} < \infty$, for all $x \in V$. Here, $\sharp S$ denotes the number of elements in the set S.

Vertices $x, y \in V$ with b(x, y) > 0 are called *neighbors*, and we denote this relationship by $x \sim y$. We call the triple (V, b, μ) a *locally finite weighted graph*. We assume that (V, b, μ) is connected, that is, for any $x, y \in V$ there exists a path γ joining x and y. Here, γ is a sequence $x_0, x_2, \ldots, x_n \in V$ such that $x = x_0, y = x_n$, and $x_j \sim x_{j+1}$ for all $0 \le j \le n-1$.

1.2. **Intrinsic metric.** Following [15] we define a *pseudo metric* to be a map $d: V \times V$ such that d(x,y) = d(y,x), for all $x, y \in V$; d(x,x) = 0, for all $x \in V$; and d(x,y) satisfies the triangle inequality. A pseudo-metric $d = d_{\sigma}$ is called a path pseudo-metric if there exists a map $\sigma: V \times V \to [0,\infty)$ such that $\sigma(x,y) = \sigma(y,x)$, for all $x, y \in V$; $\sigma(x,y) > 0$ if and only if $x \sim y$; and

$$d_{\sigma} = \inf\{l_{\sigma}(\gamma) : \gamma = (x_0, x_1, \dots, x_n), n \geq 1, \text{ is a path connecting } x \text{ and } y\},$$

where the length l_{σ} of the path $\gamma = (x_0, x_1, \dots, x_n)$ is given by

$$l_{\sigma}(\gamma) = \sum_{i=0}^{n-1} \sigma(x_i, x_{i+1}). \tag{1.1}$$

As in [15] we make the following definitions.

Definition 1.3. (i) A pseudo metric d on (V, b, μ) is called *intrinsic* if

$$\frac{1}{\mu(x)} \sum_{y \in V} b(x, y) (d(x, y))^2 \le 1, \quad \text{for all } x \in V.$$

(ii) An intrinsic path pseudo metric $d = d_{\sigma}$ on (V, b, μ) is called *strongly intrinsic* if

$$\frac{1}{\mu(x)} \sum_{y \in V} b(x, y) (\sigma(x, y))^2 \le 1, \quad \text{for all } x \in V.$$

Remark 1.4. On a locally finite graph (V, b, μ) , the formula

$$\sigma_1(x,y) = b(x,y)^{-1/2} \min\left\{\frac{\mu(x)}{\deg(x)}, \frac{\mu(y)}{\deg(y)}\right\}^{1/2}, \quad \text{with } x \sim y,$$
 (1.2)

where deg(x) is as in property (iii) of b(x, y), defines a strongly intrinsic path metric; see [15, Example 2.1].

1.5. Cauchy boundary. For a path metric $d = d_{\sigma}$ on V, we denote the metric completion by $(\widehat{V}, \widehat{d})$. As in [15] we define the Cauchy boundary $\partial_C V$ as follows: $\partial_C V := \widehat{V} \setminus V$. Note that (V, d) is metrically complete if and only if $\partial_C V$ is empty. For a path metric $d = d_{\sigma}$ on V and $x \in V$, we define

$$D(x) := \inf_{z \in \partial_C V} d_{\sigma}(x, z). \tag{1.3}$$

1.6. Inner product. In what follows, C(V) is the set of complex-valued functions on V, and $C_c(V)$ is the set of finitely supported elements of C(V). By $\ell^2_{\mu}(V)$ we denote the space of functions $f \in C(V)$ such that

$$||f||^2 := \sum_{x \in V} \mu(x)|f(x)|^2 < \infty, \tag{1.4}$$

where $|\cdot|$ denotes the modulus of a complex number.

In particular, the space $\ell^2_{\mu}(V)$ is a Hilbert space with the inner product

$$(f,g) := \sum_{x \in V} \mu(x) f(x) \overline{g(x)}. \tag{1.5}$$

1.7. **Laplacian operator.** We define the formal Laplacian $\Delta_b : C(V) \to C(V)$ on (V, b, μ) by the formula

$$(\Delta_{b,\mu}u)(x) = \frac{1}{\mu(x)} \sum_{y \in V} b(x,y)(u(x) - u(y)). \tag{1.6}$$

1.8. Magnetic Schrödinger operator. We fix a phase function $\theta: V \times V \to [-\pi, \pi]$ such that $\theta(x, y) = -\theta(y, x)$ for all $x, y \in V$, and denote $\theta_{x,y} := \theta(x, y)$. We define the formal magnetic Laplacian $\Delta_{b,\mu;\theta}: C(V) \to C(V)$ on (V, b, μ) by the formula

$$(\Delta_{b,\mu;\theta}u)(x) = \frac{1}{\mu(x)} \sum_{y \in V} b(x,y)(u(x) - e^{i\theta_{x,y}}u(y)). \tag{1.7}$$

We define the formal magnetic Schrödinger operator $H: C(V) \to C(V)$ by the formula

$$Hu := \Delta_{b.u:\theta} u + Wu, \tag{1.8}$$

where $W: V \to \mathbb{R}$.

1.9. Statements of the results. We are ready to state our first result.

Theorem 1. Assume that (V, b, μ) is a locally finite, weighted, and connected graph. Let $d = d_{\sigma}$ be an intrinsic path metric on V such that (V, d) is not metrically complete. Assume that there exists a constant C such that

$$W(x) \ge \frac{1}{2(D(x))^2} - C, \quad \text{for all } x \in V, \tag{1.9}$$

where D(x) is as in (1.3). Then H is essentially self-adjoint on $C_c(V)$.

Remark 1.10. It is possible find μ , b, and a potential W satisfying $W(x) \geq \frac{k}{2(D(x))^2}$ with 0 < k < 1, such that $H = \Delta_{b,\mu} + W$ is not essentially self-adjoint; see [2, Section 5.3.2].

If the graph (V, b, μ) has a special type of covering, the condition (1.9) on W can be relaxed with the help of "effective potential," as seen in the next theorem. First, we give a description of this special type of covering. In what follows, for a graph (V, b, μ) , we define the set of unoriented edges as $E := \{\{x, y\}: x, y \in V \text{ and } b(x, y) > 0\}$. Sometimes, when we want to emphasize the set E, instead of $G = (V, b, \mu)$ we will use the notation G = (V, E).

Definition 1.11. Let $m \in \mathbb{N}$. A good covering of degree m of G = (V, E) is a family $G_l = (V_l, E_l)_{l \in L}$ of finite connected sub-graphs of G so that

- (i) $V = \bigcup_{l \in L} V_l$;
- (ii) for any $\{x, y\} \in E$,

$$0 < \#\{l \in L \mid \{x, y\} \in E_l\} < m.$$

Remark 1.12. It is known that a graph with bounded vertex degree admits a good covering; see [3, Proposition 2.2]. The graph in Example 5.2 below does not have a bounded vertex degree. Note that this graph has a good covering of degree m = 1.

Assume that (V, b, μ) has a good covering $(V_l, E_l)_{l \in L}$. Let θ_l be the restriction of θ to $V_l \times V_l$. Let $\Delta_{1,\mu;\theta}^{(l)}$ be as in (1.7) with $V = V_l$, $\theta = \theta_l$, and $b \equiv 1$. Then $\Delta_{1,\mu;\theta}^{(l)}$ is a bounded and non-negative self-adjoint operator in $\ell_{\mu}^2(V_l)$. Let p_l denote the lowest eigenvalue of $\Delta_{1,\mu;\theta}^{(l)}$. With these notations, for a graph (V, b, μ) and the phase function θ , we define the *effective potential* corresponding to a good covering $(V_l, E_l)_{l \in L}$ of degree m as follows:

$$W_e(x) := \frac{1}{m} \sum_{\{l \in L \mid x \in V_l\}} p_l \inf_{\{y, z\} \in E_l} b(y, z).$$
(1.10)

We now state our second result.

Theorem 2. Assume that (V, b, μ) is a locally finite, weighted, and connected graph. Assume that (V, b, μ) has a good covering $(V_l, E_l)_{l \in L}$. Let $d = d_{\sigma}$ be an intrinsic path metric on V such that (V, d) is not metrically complete. Assume that there exists a constant C such that

$$W_e(x) + W(x) \ge \frac{1}{2(D(x))^2} - C, \quad \text{for all } x \in V,$$
 (1.11)

where W_e is as in (1.10) and D(x) is as in (1.3). Then H is essentially self-adjoint on $C_c(V)$.

In the setting of metrically complete graphs, we have the following result:

Theorem 3. Assume that (V, b, μ) be a locally finite, weighted, and connected graph. Let d_{σ} be a strongly intrinsic path metric on V. Let $q: V \to [1, \infty)$ be a function satisfying

$$|q^{-1/2}(x) - q^{-1/2}(y)| \le K\sigma(x, y), \quad \text{for all } x, y \in V \text{ such that } x \sim y,$$
 (1.12)

where K is a constant. Let H be as in (1.8) with $W: V \to \mathbb{R}$ satisfying

$$W(x) \ge -q(x)$$
, for all $x \in V$. (1.13)

Let

$$\sigma_q(x,y) = \min\{q^{-1/2}(x), q^{-1/2}(y)\} \cdot \sigma(x,y)$$
(1.14)

and let d_{σ_q} be the path metric corresponding to σ_q . Assume that (V, d_{σ_q}) is metrically complete. Then H is essentially self-adjoint on $C_c(V)$.

1.13. Some comments on the existing literature. The notion of intrinsic metric allows us to remove the bounded vertex degree assumption present in [2, 3, 20]. More specifically, Theorem 1 extends [2, Theorem 4.2], which was proven in the context of graphs of bounded vertex degree for the operator $\Delta_{b,\mu} + W$, with $\Delta_{b,\mu}$ as in (1.6). Theorem 2 is an extension of [3, Theorem 3.1], which was proven in the context of graphs of bounded vertex degree for the operator $\Delta_{b,\mu;\theta}$. In this regard, the first two results of the present paper answer a question posed in [3, Section 5]. Theorem 3 extends [20, Theorem 1], which was proven in the context of graphs of bounded vertex degree for the operator $\Delta_{b,\mu;\theta} + W$ with W as in (1.13). We should also mention that in the context of locally finite graphs (with an assumption on b and μ originating from [17]), a sufficient condition for the essential self-adjointness of a semi-bounded from below operator $\Delta_{b,\mu;\theta} + W$ is given in [19, Theorem 1.2]. In the setting of locally finite graphs, another sufficient condition for the essential self-adjointness of $\Delta_{b,\mu;\theta} + W$ is given in [9, Proposition 2.2]: $Take \lambda \in \mathbb{R}$ so that

$$\{x \in V : \lambda + \text{Deg}(x) + W(x) = 0\} = \emptyset,$$
 (1.15)

where Deg(x) denotes the "weighted degree"

$$Deg(x) := \frac{1}{\mu(x)} \sum_{y \in V} b(x, y), \qquad x \in V.$$
 (1.16)

Suppose that for every sequence of vertices $\{y_1, y_2, ...\}$ such that $y_j \sim y_{j+1}, j \geq 1$, the following property holds:

$$\sum_{n=1}^{\infty} ((a_n)^2 \mu(y_n)) = \infty, \quad \text{where} \quad a_n := \prod_{j=1}^{n-1} \left(1 + \frac{\lambda + W(y_j)}{\text{Deg}(y_j)} \right), \quad n \ge 1,$$
 (1.17)

and $a_1 := 1$. Then $\Delta_{b,\mu;\theta} + W$ is essentially self-adjoint on $C_c(V)$.

Note that [9, Proposition 2.2] allows potentials that are unbounded from below. We mention that Example 5.1 below describes a situation where Theorem 2 is applicable, while neither [19, Theorem 1.2] nor [9, Proposition 2.2] is applicable. Additionally, Example 5.2 below describes a situation where Theorem 3 is applicable, while neither [19, Theorem 1.2] nor [9, Proposition 2.2] is applicable.

The recent study [15] is concerned with the operator $\Delta_{b,\mu}$ as in (1.6), with property (iii) of b (see Section 1.1 above) replaced by the following more general condition:

$$\sum_{y \in V} b(x, y) < \infty, \quad \text{for all } x \in V.$$

Using the notion of intrinsic distance d with finite jump size, the authors of [15] show that if the weighted degree (1.16) is bounded on balls defined with respect to any such distance d, then $\Delta_{b,\mu}$ is essentially self-adjoint. In the context of a locally finite graph, the authors of [15] show that if the graph is metrically complete in any intrinsic path metric with finite jump size, then $\Delta_{b,\mu}$ is essentially self-adjoint. In the metrically incomplete case, one of the results of [15] shows that if the Cauchy boundary has finite capacity, then $\Delta_{b,\mu}$ has a unique Markovian extension if and only if the Cauchy boundary is polar (here, "Cauchy boundary is polar" means that the Cauchy boundary has zero capacity). Another result of [15] shows that if the upper Minkowski codimension of the Cauchy boundary is greater than 2, then the Cauchy boundary is polar. Additionally, we should mention that the authors of [15] prove Hopf-Rinow-type theorem for locally finite weighted graphs with a path pseudo metric.

In recent years, various authors have developed independently the concept of intrinsic metric on a graph. The definition given in the present paper can be traced back to the work [8]. For applications of intrinsic metrics in various contexts, see, for instance, [1, 5, 6, 7, 10, 12, 13, 14, 18].

With regard to the problem of self-adjoint extensions of adjacency, (magnetic) Laplacian and Schrödinger-type operators on infinite graphs, we should mention that there has been a lot of interest this area in the past few years. For pointers to the existing literature on this topic, see, for instance, [2, 3, 9, 11, 15, 17, 20, 24].

2. Proof of Theorem 1

In this section, we modify the proof of [2, Theorem 4.2]. Throughout the section, we assume that the hypotheses of Theorem 1 are satisfied. We begin with the following lemma, whose proof is given in [3, Lemma 3.3].

Lemma 2.1. Let H be as in (1.8), let $v \in \ell^2_{\mu}(V)$ be a weak solution of Hv = 0, and let $f \in C_c(V)$ be a real-valued function. Then the following equality holds:

$$(fv, H(fv)) = \frac{1}{2} \sum_{x \in V} \sum_{y \sim x} b(x, y) \operatorname{Re} \left[e^{-i\theta(x, y)} v(x) \overline{v(y)} \right] (f(x) - f(y))^{2}.$$
 (2.1)

The key ingredient in the proof of Theorem 1 is the Agmon-type estimate given in the next lemma, whose proof, inspired by an idea of [21], is based on the technique developed in [4] for magnetic Laplacians on an open set with compact boundary in \mathbb{R}^n .

Lemma 2.2. Let $\lambda \in \mathbb{R}$ and let $v \in \ell^2_{\mu}(V)$ be a weak solution of $(H - \lambda)v = 0$. Assume that that there exists a constant $c_1 > 0$ such that, for all $u \in C_c(V)$,

$$(u, (H - \lambda)u) \ge \frac{1}{2} \sum_{x \in V} \max\left(\frac{1}{D(x)^2}, 1\right) \mu(x) |u(x)|^2 + c_1 ||u||^2.$$
 (2.2)

Then $v \equiv 0$.

Proof. Let ρ and R be numbers satisfying $0 < \rho < 1/2$ and $1 < R < +\infty$. For any $\epsilon > 0$, we define the function $f_{\epsilon} \colon V \to \mathbb{R}$ by $f_{\epsilon}(x) = F_{\epsilon}(D(x))$, where D(x) is as in (1.3) and $F_{\epsilon} \colon \mathbb{R}^+ \to \mathbb{R}$ is the continuous piecewise affine function defined by

$$F_{\epsilon}(s) = \begin{cases} 0 \text{ for } s \leq \epsilon \\ \rho(s - \epsilon)/(\rho - \epsilon) \text{ for } \epsilon \leq s \leq \rho \\ s \text{ for } \rho \leq s \leq 1 \\ 1 \text{ for } 1 \leq s \leq R \\ R + 1 - s \text{ for } R \leq s \leq R + 1 \\ 0 \text{ for } s \geq R + 1 \end{cases}$$

We first note that by the definition of F_{ϵ} and continuity of D(x), the support of f_{ϵ} is compact. Now by [15, Lemma A.3(b)] it follows that the support of f_{ϵ} finite. Using Lemma 2.1 with $H - \lambda$ in place of H, the inequality

Re
$$[e^{-i\theta(x,y)}v(x)\overline{v(y)}] \le \frac{1}{2}(|v(x)|^2 + |v(y)|^2),$$

and Definition 1.3(i) we have

$$(f_{\epsilon}v, (H - \lambda)(f_{\epsilon}v)) \leq \frac{1}{2} \sum_{x \in V} \sum_{y \sim x} b(x, y)|v(x)|^{2} (f_{\epsilon}(x) - f_{\epsilon}(y))^{2}$$

$$\leq \frac{\rho^{2}}{2(\rho - \epsilon)^{2}} \sum_{x \in V} \sum_{y \sim x} |v(x)|^{2} b(x, y) (d(x, y))^{2} \leq \frac{\rho^{2}}{2(\rho - \epsilon)^{2}} \sum_{x \in V} \mu(x)|v(x)|^{2}, \qquad (2.3)$$

where the second inequality uses the fact that f_{ϵ} is a β -Lipschitz function with $\beta = \rho/(\rho - \epsilon)$.

On the other hand, using the definition of f_{ϵ} and the assumption (2.2) we have

$$(f_{\epsilon}v, (H-\lambda)(f_{\epsilon}v)) \ge \frac{1}{2} \sum_{\rho \le D(x) \le R} \mu(x)|v(x)|^2 + c_1 ||f_{\epsilon}v||^2.$$
 (2.4)

We now combine (2.4) and (2.3) to get

$$\frac{1}{2} \sum_{\rho < D(x) < R} \mu(x) |v(x)|^2 + c_1 ||f_{\epsilon}v||^2 \le \frac{\rho^2}{2(\rho - \epsilon)^2} \sum_{x \in V} \mu(x) |v(x)|^2.$$

We fix ρ and R, and let $\epsilon \to 0+$. After that, we let $\rho \to 0+$ and $R \to +\infty$. As a result, we get $v \equiv 0$.

Conclusion of the proof of Theorem 1. Since $\Delta_{b,\mu;\theta}|_{C_c(V)}$ is a non-negative operator, for all $u \in C_c(V)$, we have

$$(u, Hu) \ge \sum_{x \in V} \mu(x) W(x) |u(x)|^2,$$

and, hence, by assumption (1.9) we get:

$$(u, (H - \lambda)u) \ge \frac{1}{2} \sum_{x \in V} \frac{1}{D(x)^2} \mu(x) |u(x)|^2 - (\lambda + C) ||u||^2$$

$$\ge \frac{1}{2} \sum_{x \in V} \max\left(\frac{1}{D(x)^2}, 1\right) \mu(x) |u(x)|^2 - (\lambda + C + 1/2) ||u||^2.$$
(2.5)

Choosing, for instance, $\lambda = -C - 3/2$ in (2.5) we get the inequality (2.2) with $c_1 = 1$.

Thus, $(H-\lambda)|_{C_c(V)}$ with $\lambda = -C-3/2$ is a symmetric operator satisfying $(u, (H-\lambda)u) \geq ||u||^2$, for all $u \in C_c(V)$. In this case, it is known (see [22, Theorem X.26]) that the essential self-adjointness of $(H-\lambda)|_{C_c(V)}$ is equivalent to the following statement: if $v \in \ell^2_\mu(V)$ satisfies $(H-\lambda)v = 0$, then v = 0. Thus, by Lemma 2.2, the operator $(H-\lambda)|_{C_c(V)}$ is essentially self-adjoint. Hence, $H|_{C_c(V)}$ is essentially self-adjoint.

3. Proof of Theorem 2

Throughout the section, we assume that the hypotheses of Theorem 2 are satisfied. We begin with the following lemma.

Lemma 3.1. Let $(V_l, E_l)_{l \in L}$ be a good covering of degree m of (V, b, μ) , let H be as in (1.8), and let W_e be as in (1.10). Then, for all $u \in C_c(V)$ we have

$$(u, Hu) \ge \sum_{x \in V} \mu(x)(W_e(x) + W(x))|u(x)|^2.$$
(3.1)

Proof. It is well known that

$$(u, Hu) = \sum_{\{x,y\} \in E} b(x,y)|u(x) - e^{i\theta(x,y)}u(y)|^2 + \sum_{x \in V} \mu(x)W(x)|u(x)|^2,$$

where E is the set of unoriented edges of (V, b, μ) . Thus, using the definition of the covering $(V_l, E_l)_{l \in L}$ of degree m and the definition of p_l we have

$$(u, Hu) \ge \frac{1}{m} \sum_{l \in L} \sum_{\{x, y\} \in E_l} b(x, y) |u(x) - e^{i\theta(x, y)} u(y)|^2 + \sum_{x \in V} \mu(x) W(x) |u(x)|^2$$

$$\geq \frac{1}{m}\sum_{l\in L}\left(\left(\inf_{\{y,z\}\in E_l}b(y,z)\right)p_l\sum_{x\in V_l}\mu(x)|u(x)|^2\right)+\sum_{x\in V}\mu(x)W(x)|u(x)|^2,$$

which together with (1.10) gives (3.1).

Conclusion of the proof of Theorem 2. By Lemma 3.1 and assumption (1.11), for all $u \in C_c(V)$ we have

$$(u, (H - \lambda)u) \ge \sum_{x \in V} \mu(x)(W_e(x) + W(x) - \lambda)|u(x)|^2$$

$$\ge \frac{1}{2} \sum_{x \in V} \max\left(\frac{1}{D(x)^2}, 1\right) \mu(x)|u(x)|^2 - (C + \lambda + 1/2)||u||^2.$$

From hereon we proceed in the same way as in the proof of Theorem 1.

4. Proof of Theorem 3

In this section we modify the proof of [20, Theorem 1], which is based on the technique of [23] in the context of Riemannian manifolds. Throughout the section, we assume that the hypotheses of Theorem 3 are satisfied.

We begin with the definitions of minimal and maximal operators associated with the expression (1.8). We define the operator H_{\min} by the formula $H_{\min}u := Hu$, for all $u \in \text{Dom}(H_{\min}) := C_c(V)$. As W is real-valued, it follows easily that the operator H_{\min} is symmetric in $\ell_{\mu}^2(V)$. We define $H_{\max} := (H_{\min})^*$, where T^* denotes the adjoint of operator T. Additionally, we define $\mathcal{D} := \{u \in \ell_{\mu}^2(V) : Hu \in \ell_{\mu}^2(V)\}$. Then, the following hold: $\text{Dom}(H_{\max}) = \mathcal{D}$ and $H_{\max}u = Hu$ for all $u \in \mathcal{D}$; see, for instance, [20, Section 3] or [24, Section 3] for details. Furthermore, by [16, Problem V.3.10], the operator H_{\min} is essentially self-adjoint if and only if

$$(H_{\max}u, v) = (u, H_{\max}v), \quad \text{for all } u, v \in \text{Dom}(H_{\max}). \tag{4.1}$$

In the setting of graphs of bounded vertex degree, the following proposition was proven in [20, Proposition 12].

Proposition 4.1. If $u \in Dom(H_{max})$, then

$$\sum_{x,y \in V} b(x,y) \min\{q^{-1}(x), q^{-1}(y)\} |u(x) - e^{i\theta_{x,y}} u(y)|^2 \le 4(\|Hu\| \|u\| + (K^2 + 1)\|u\|^2), \quad (4.2)$$

where H is as in (1.8) and K is as in (1.12).

Before proving Proposition 4.1, we define a sequence of cut-off functions. Let d_{σ} and d_{σ_q} be as in the hypothesis of Theorem 3. Fix $x_0 \in V$ and define

$$\chi_n(x) := \left(\left(\frac{2n - d_{\sigma}(x_0, x)}{n} \right) \vee 0 \right) \wedge 1, \qquad x \in V, \quad n \in \mathbb{Z}_+.$$
 (4.3)

Denote

$$B_n^{\sigma}(x_0) := \{ x \in V : d_{\sigma}(x_0, x) \le n \}. \tag{4.4}$$

The sequence $\{\chi_n\}_{n\in\mathbb{Z}_+}$ satisfies the following properties: (i) $0 \leq \chi_n(x) \leq 1$, for all $x \in V$; (ii) $\chi_n(x) = 1$ for $x \in B_n^{\sigma}(x_0)$ and $\chi_n(x) = 0$ for $x \notin B_{2n}^{\sigma}(x_0)$; (iii) for all $x \in V$, we have $\lim_{n\to\infty}\chi_n(x)=1$; (iv) the functions χ_n have finite support; and (v) the functions χ_n satisfy the inequality

$$|\chi_n(x) - \chi_n(y)| \le \frac{\sigma(x,y)}{n}$$
, for all $x \sim y$.

The properties (i)–(iii) and (v) can be checked easily. By hypothesis, we know that (V, d_{σ_q}) is a complete metric space and, thus, balls with respect to d_{σ_q} are finite; see, for instance, [15, Theorem A.1]. Let $B_{2n}^{\sigma_q}(x_0)$ be as in (4.4) with d_{σ} replaced by d_{σ_q} . Since $q \geq 1$ it follows that $B_{2n}^{\sigma}(x_0) \subseteq B_{2n}^{\sigma_q}(x_0)$. Thus, property (iv) is a consequence of property (ii) and the finiteness of $B_{2n}^{\tilde{\sigma}_q}(x_0).$

Proof of Proposition 4.1. Let $u \in \text{Dom}(H_{\text{max}})$ and let $\phi \in C_c(V)$ be a real-valued function. Define

$$I := \left(\sum_{x,y \in V} b(x,y)|u(x) - e^{i\theta_{x,y}}u(y)|^2((\phi(x))^2 + (\phi(y))^2)\right)^{1/2}.$$
 (4.5)

We will first show that

$$I^2 \le 4|(\phi^2 H u, u)| + 4(\phi^2 q u, u)$$

$$+\sqrt{2}I\left(\sum_{x,y\in V}b(x,y)(\phi(x)-\phi(y))^{2}|(u(x)+e^{i\theta_{x,y}}u(y)|^{2}\right)^{1/2}.$$
(4.6)

To do this, we first note that

$$I^{2} = 4(\phi^{2}Hu, u) - 4(\phi^{2}Wu, u) + \sum_{x,y \in V} b(x, y)(e^{i\theta_{x,y}}u(y) - u(x))(e^{-i\theta_{x,y}}\overline{u(y)} + \overline{u(x)})((\phi(x))^{2} - (\phi(y))^{2}),$$
(4.7)

which can be checked by expanding the terms under summations on both sides of the equality and using the properties b(x,y) = b(y,x) and $\theta(x,y) = -\theta(y,x)$. The details of this computation can be found in the proof of [20, Proposition 12].

The inequality (4.6) is obtained from (4.7) by using (1.13), the factorization

$$(\phi(x))^2 - (\phi(y))^2 = (\phi(x) - \phi(y))(\phi(x) + \phi(y)),$$

Cauchy-Schwarz inequality, and

$$(\phi(x) + \phi(y))^2 \le 2(\phi^2(x) + \phi^2(y)).$$

Let χ_n be as in (4.3) and let q be as in (1.13). Define

$$\phi_n(x) := \chi_n(x)q^{-1/2}(x). \tag{4.8}$$

By property (iv) of χ_n it follows that ϕ_n has finite support. By property (i) of χ_n and since $q \geq 1$, we have

$$0 \le \phi_n(x) \le q^{-1/2}(x) \le 1,$$
 for all $x \in V$. (4.9)

By property (iii) of χ_n we have

$$\lim_{n \to \infty} \phi_n(x) = q^{-1/2}(x), \quad \text{for all } x \in V.$$
 (4.10)

By (1.12), properties (i) and (v) of χ_n , and the inequality $q \geq 1$, we have

$$|\phi_n(x) - \phi_n(y)| \le \left(\frac{1}{n} + K\right) \sigma(x, y), \quad \text{for all } x \sim y,$$
 (4.11)

where K is as in (1.12). We will also use the inequality

$$|e^{i\theta_{x,y}}u(y) + u(x)|^2 \le 2(|u(x)|^2 + |u(y)|^2). \tag{4.12}$$

By (4.11), (4.12), and Definition 1.3(ii), we get

$$\left(\sum_{x,y\in V} b(x,y)(\phi_n(x) - \phi_n(y))^2 |(u(x) + e^{i\theta_{x,y}}u(y)|^2\right)^{1/2} \\
\leq \sqrt{2} \left(\frac{1}{n} + K\right) \left(\sum_{x,y\in V} b(x,y)(\sigma(x,y))^2 (|u(x)|^2 + |u(y)|^2)\right)^{1/2} \\
= 2 \left(\frac{1}{n} + K\right) \left(\sum_{x,y\in V} b(x,y)(\sigma(x,y))^2 |u(x)|^2\right)^{1/2} \\
\leq 2 \left(\frac{1}{n} + K\right) \left(\sum_{x\in V} \mu(x)|u(x)|^2\right)^{1/2} \tag{4.13}$$

By (4.6) with $\phi = \phi_n$, (4.13), and (4.9), we obtain

$$I_n^2 \le 4\|Hu\|\|u\| + 4\|u\|^2 + 2\sqrt{2}I_n\left(\frac{1}{n} + K\right)\|u\|,$$
 (4.14)

for all $u \in \text{Dom}(H_{\text{max}})$, where I_n is as in (4.5) with $\phi = \phi_n$.

Using the inequality $ab \leq \frac{a^2}{4} + b^2$ with $a = \sqrt{2}I_n$ in the third term on the right-hand side of (4.14) and rearranging, we obtain

$$I_n^2 \le 8 \left(\|Hu\| \|u\| + \left(\left(\frac{1}{n} + K \right)^2 + 1 \right) \|u\|^2 \right).$$
 (4.15)

Letting $n \to \infty$ in (4.15) and using (4.10) together with Fatou's lemma, we get

$$\sum_{x,y\in V} b(x,y)|u(x) - e^{i\theta_{x,y}}u(y)|^2(q^{-1}(x) + q^{-1}(y))$$

$$\leq 8\left(\|Hu\|\|u\| + (K^2 + 1)\|u\|^2\right). \tag{4.16}$$

Since

$$2\min\{q^{-1}(x), q^{-1}(y)\} \le q^{-1}(x) + q^{-1}(y),$$
 for all $x, y \in V$,

the inequality (4.2) follows directly from (4.16).

Continuation of the proof of Theorem 3. Our final goal is to prove (4.1). Let d_{σ_q} be as in the hypothesis of Theorem 3. Fix $x_0 \in V$ and define

$$P(x) := d_{\sigma_a}(x_0, x), \qquad x \in V.$$
 (4.17)

In what follows, for a function $f: V \to \mathbb{R}$ we define $f^+(x) := \max\{f(x), 0\}$. Let $u, v \in \text{Dom}(H_{\text{max}})$, let s > 0, and define

$$J_s := \sum_{x \in V} \left(1 - \frac{P(x)}{s} \right)^+ \left((Hu)(x) \overline{v(x)} - u(x) \overline{(Hv)(x)} \right) \mu(x), \tag{4.18}$$

where P is as in (4.17) and H is as in (1.8).

Since (V, d_{σ_q}) is a complete metric space, by [15, Theorem A.1] it follows that the set

$$U_s := \{ x \in V \colon P(x) \le s \}$$

is finite. Thus, for all s > 0, the summation in (4.18) is performed over finitely many vertices.

The following lemma follows easily from the definition of J_s and the dominated convergence theorem; see the proof of [20, Lemma 13] for details.

Lemma 4.2. Let J_s be as in (4.18). Then

$$\lim_{s \to +\infty} J_s = (Hu, v) - (u, Hv). \tag{4.19}$$

In what follows, for $u \in Dom(H_{max})$, define

$$T_u := \left(\sum_{x,y \in V} b(x,y) \min\{q^{-1}(x), q^{-1}(y)\} |u(x) - e^{i\theta_{x,y}} u(y)|^2\right)^{1/2}.$$
 (4.20)

Note that T_u is finite by Proposition 4.1.

Lemma 4.3. Let $u, v \in \text{Dom}(H_{\text{max}})$, let T_u and T_v be as in (4.20), and let J_s be as in (4.18). Then

$$|J_s| \le \frac{1}{2s} (\|v\| T_u + \|u\| T_v). \tag{4.21}$$

Proof. A computation shows that

$$2J_{s} = \sum_{x,y \in V} \left((1 - P(x)/s)^{+} - (1 - P(y)/s)^{+} \right) b(x,y) \left((e^{-i\theta_{x,y}} \overline{v(y)} - \overline{v(x)}) u(x) - (e^{i\theta_{x,y}} u(y) - u(x)) \overline{v(x)} \right),$$

which, together with the triangle inequality and property

$$|f^+(x) - g^+(x)| \le |f(x) - g(x)|,$$

leads to the following estimate:

$$2|J_{s}| \leq \frac{1}{s} \sum_{x,y \in V} b(x,y)|P(x) - P(y)| \left(|e^{i\theta_{x,y}}v(y) - v(x)||u(x)| + |e^{i\theta_{x,y}}u(y) - u(x)||v(x)| \right). \tag{4.22}$$

By (4.17) and (1.14), for all $x \sim y$ we have

$$|P(x) - P(y)| \le d_{\sigma_q}(x, y) \le \sigma_q(x, y) = \min\{q^{-1/2}(x), q^{-1/2}(y)\} \cdot \sigma(x, y). \tag{4.23}$$

To obtain (4.21), we combine (4.22) and (4.23) and use Cauchy–Schwarz inequality together with Definition 1.3(ii). \Box

The end of the proof of Theorem 3. Let $u \in \text{Dom}(H_{\text{max}})$ and $v \in \text{Dom}(H_{\text{max}})$. By the definition of H_{max} , it follows that $Hu \in \ell^2_{\mu}(V)$ and $Hv \in \ell^2_{\mu}(V)$. Letting $s \to +\infty$ in (4.21) and using the finiteness of T_u and T_v , it follows that $J_s \to 0$ as $s \to +\infty$. This, together with (4.19), shows (4.1).

5. Examples

In this section we give some examples that illustrate the main results of the paper. In what follows, for $x \in \mathbb{R}$, the notation $\lceil x \rceil$ denotes the smallest integer N such that $N \geq x$. Additionally, |x| denotes the greatest integer N such that $N \leq x$.

Example 5.1. In this example we consider the graph G = (V, E) whose vertices $x_{j,k}$ are arranged in a "triangular" pattern so that the first row contains $x_{1,1}$; for $2 \le j \le 4$, the j-th row contains $x_{j,1}$ and $x_{j,2}$; for $5 \le j \le 9$, the j-th row contains $x_{j,1}$, $x_{j,2}$, and $x_{j,3}$; for $10 \le j \le 16$, the j-th row contains $x_{j,1}$, $x_{j,2}$, $x_{j,3}$, and $x_{j,4}$; and so on. There are two types of edges in the graph: (i) for every $j \ge 1$, we have $x_{j,1} \sim x_{j+1,k}$ for all $1 \le k \le \lceil (j+1)^{1/2} \rceil$; (ii) for every $j \ge 2$, we have the "horizontal" edges $x_{j,k} \sim x_{j,k+1}$, for all $1 \le k \le \lceil j^{1/2} \rceil - 1$. Clearly, G does not have a bounded vertex degree.

Let $T=(V_T,E_T)$ be the subgraph of G whose set of edges E_T consists of type-(i) edges of G described above. Note that T is a spanning tree of G. Additionally, note that for every type-(ii) edge e of G the following are true: (i) $e \notin E_T$ and (ii) there is a unique 3-cycle (a cycle with 3 vertices) that contains e. Thus, by [3, Lemma 2.1], the corresponding 3-cycles, which we enumerate by $\{C_l\}_{l\in\mathbb{Z}_+}$, form a basis for the space of cycles of G. Furthermore, by Definition 1.11, the family $\{C_l = (V_l, E_l)\}_{l\in\mathbb{Z}_+}$ is a good covering of degree m=2 of G. Following [3, Proposition 2.1(a)] and [3, Lemma 2.3], we define the phase function $\theta: V_l \times V_l \to [-\pi, \pi]$ satisfying the following properties: (i) if an edge $\{x,y\}$ belongs to $E_l \setminus E_T$, we have $\theta(x,y) = -\theta(y,x)$; (ii) if $\{x,y\} \in E_T$, we have $\theta(x,y) = 0$; and (iii) $p_l = |1 - e^{i\pi/3}|^2 = 1$, where p_l is as in (1.10) with G_l replaced by C_l .

With this choice of p_l and using the good covering $\{C_l\}_{l\in\mathbb{Z}_+}$ of degree m=2, the definition of the effective potential (1.10) simplifies to

$$W_e(x) := \frac{1}{2} \sum_{\{l \in L \mid x \in V_l\}} \inf_{\{y,z\} \in E_l} b(y,z).$$
 (5.1)

Let $\{b_j\}_{j\in\mathbb{Z}_+}$ be an increasing sequence of positive numbers. We define (i) $b(x,y)=b_j$ if $x\sim y$ and x is in the j-th row and y is in the (j+1)-st row; (ii) $b(x,y)=b_j$ if $x\sim y$ and x and y are both in the (j+1)-st row; (iii) b(x,y)=0, otherwise. With this choice of b(x,y), we have $W_e(x_{1,1})=b_1/2$. Additionally, since b_j is an increasing sequence of positive numbers, using (5.1) it is easy to see that if a vertex x is in the j-th row, then

$$W_e(x) \ge \frac{1}{2}b_{j-1}$$
, for all $j \ge 2$. (5.2)

Let $0 < \beta < 3/4$, and set $\mu(x) := j^{-2\beta}$ if the vertex x is in the j-th row. Let $\alpha > 0$ satisfy $\alpha + 2\beta > 3/2$, and set $b_j := j^{\alpha}$, for all $j \in \mathbb{Z}_+$. With this choice of b(x,y) and $\mu(x)$, let $\sigma_1(x,y)$ be as in (1.2) and let d_{σ_1} be the intrinsic path metric associated with σ_1 as in Section 1.2. As there are $\lfloor \sqrt{j} \rfloor + 3$ edges departing from the vertex $x_{j,1}$, we have

$$\sigma_1(x_{j,1}; x_{j+1,1}) = j^{-\alpha/2}(j+1)^{-\beta}(\lfloor \sqrt{j+1} \rfloor + 3)^{-1/2}, \quad \text{for all } j \in \mathbb{Z}_+.$$
 (5.3)

Additionally, note that the path $\gamma = (x_{1,1}; x_{2,1}; x_{3,1}; \dots)$ is a geodesic with respect to the path metric d_{σ_1} , that is, $d_{\sigma_1}(x_{1,1}; x_{j,1}) = l_{\sigma_1}(x_{1,1}; x_{2,1}; \dots; x_{j,1})$ for all $j \in \mathbb{Z}_+$, where l_{σ_1} is as in (1.1). Since $\alpha + 2\beta > 3/2$, it follows that

$$\sum_{j=1}^{\infty} j^{-\alpha/2} (j+1)^{-\beta} (\lfloor \sqrt{j+1} \rfloor + 3)^{-1/2} < \infty;$$

hence, by [15, Theorem A.1] the space (V, d_{σ_1}) is not metrically complete. Let D(x) be as in (1.3) corresponding to d_{σ_1} . If a vertex x is in the n-th row, using (5.3) and

$$|\sqrt{j+1}| + 3 \le 3\sqrt{j+1}$$
, for all $j \in \mathbb{Z}_+$,

we have

$$D(x) \ge \frac{1}{\sqrt{3}} \sum_{k=n}^{\infty} (j+1)^{-\beta - \alpha/2 - 1/4} \ge \frac{(n+1)^{-\beta - \alpha/2 + 3/4}}{\sqrt{3}(\beta + \alpha/2 - 3/4)},$$

which leads to

$$\frac{1}{2D(x)^2} \le \frac{3(4\beta + 2\alpha - 3)^2(n+1)^{2\beta + \alpha - 3/2}}{32},\tag{5.4}$$

for all vertices x in the n-th row, where $n \geq 1$. Define $W(x) = -n^{2\beta+\alpha-3/2}$ for all vertices x in the n-th row, where $n \geq 1$. Using (5.2) and $W_e(x_{1,1}) = b_1/2$, together with (5.4) and the assumption $0 < \beta < 3/4$, it follows that there exists a constant C > 0 (depending on α and β) such that (1.11) is satisfied. Thus, by Theorem 2 the operator $\Delta_{b,\mu;\theta} + W$ is essentially self-adjoint on $C_c(V)$. Clearly, Theorem 2 is also applicable in the case W(x) = 0 for all $x \in V$, that is, the operator $\Delta_{b,\mu;\theta}$ is essentially self-adjoint on $C_c(V)$. A calculation shows that μ and b in this example do not satisfy [19, Assumption A]; hence, we cannot use [19, Theorem 1.2].

We will now show that under more restrictive assumption $1/2 < \beta < 3/4$, we cannot apply [9, Proposition 2.2] to this example with $W(x) \equiv 0$. To see this, using (1.16) and the fact that among the $\lfloor \sqrt{j} \rfloor + 3$ edges departing from the vertex $x_{j,1}$, there are $\lfloor \sqrt{j} \rfloor + 1$ edges with weight b_j and 2 edges with weight b_{j-1} , we first note that

$$\operatorname{Deg}(x_{1,1}) = 2$$
, $\operatorname{Deg}(x_{j,1}) = j^{2\beta}((|\sqrt{j}| + 1)j^{\alpha} + 2(j-1)^{\alpha})$, for all $j \ge 2$.

Let $\lambda \in \mathbb{R}$ be such that (1.15) is satisfied, with $W(x) \equiv 0$. Let a_n be as in (1.17) corresponding to the path $\gamma = (x_{1,1}; x_{2,1}; x_{3,1}; \dots)$, the potential $W \equiv 0$, and λ . Then $a_1 = 1$,

$$(a_2)^2 = (1 + \lambda/2)^2 = (\lambda + 2)^2/4,$$

and

$$(a_n)^2 = \frac{(\lambda+2)^2}{4} \prod_{j=2}^{n-1} \left(1 + \frac{\lambda}{j^{\alpha+2\beta}(\lfloor \sqrt{j} \rfloor + 1) + 2j^{2\beta}(j-1)^{\alpha}} \right)^2$$

$$= \frac{(\lambda+2)^2}{4} \prod_{j=2}^{n-1} \left(\frac{j^{\alpha+2\beta}(\lfloor \sqrt{j} \rfloor + 1) + 2j^{2\beta}(j-1)^{\alpha} + \lambda}{j^{\alpha+2\beta}(\lfloor \sqrt{j} \rfloor + 1) + 2j^{2\beta}(j-1)^{\alpha}} \right)^2, \qquad n \ge 3.$$

Therefore,

$$\sum_{n=1}^{\infty} (a_n)^2 \mu(x_{n,1}) = 1 + \frac{(\lambda+2)^2}{4(2)^{2\beta}} + \sum_{n=3}^{\infty} \frac{(a_n)^2}{n^{2\beta}}.$$

Using Raabe's test, it can be checked that the series on the right hand side of this equality converges. (Here, we used the more restrictive assumption $1/2 < \beta < 3/4$.) Hence, looking at (1.17), we see that [9, Proposition 2.2] cannot be used in this example.

Example 5.2. Consider the graph whose vertices are arranged in a "triangular" pattern so that $x_{1,1}$ is in the first row, $x_{2,1}$ and $x_{2,2}$ are in the second row, $x_{3,1}$, $x_{3,2}$, and $x_{3,3}$ are in the third row, and so on. The vertex $x_{1,1}$ is connected to $x_{2,1}$ and $x_{2,2}$. The vertex $x_{2,i}$, where i = 1, 2, is connected to every vertex $x_{3,j}$, where j = 1, 2, 3. The pattern continues so that each of k vertices in the k-th row is connected to each of k + 1 vertices in the (k + 1)-st row. Note that for all $k \geq 1$ and $j \geq 1$ we have $\deg(x_{k,j}) = 2k$, where $\deg(x)$ is as in (1.2). Let $\mu(x) = n^{-1/2}$

for every vertex x in the n-th row, and let $b(x,y) \equiv 1$ for all vertices $x \sim y$. Following (1.2), for every vertex x in the n-th row and every vertex y in the (n+1)-st row, define

$$\sigma(x,y) := \min \left\{ \frac{n^{-1/2}}{2n}, \frac{(n+1)^{-1/2}}{2(n+1)} \right\}^{1/2} = 2^{-1/2}(n+1)^{-3/4}.$$

For all vertices x in the n-th row, define $W(x) = -n^{1/2}$ and $q(x) = n^{1/2}$. Clearly, the inequality (1.13) is satisfied. With this choice of q, following (1.14), for every vertex x in the n-th row and every vertex y in the (n + 1)-st row, define

$$\sigma_q(x,y) := \min\{n^{-1/4}, (n+1)^{-1/4}\} \cdot \sigma(x,y) = 2^{-1/2}(n+1)^{-1}.$$

Since

$$\sum_{j=1}^{\infty} 2^{-1/2} (j+1)^{-1} = \infty,$$

by [15, Theorem A.1] it follows that the space (V, d_{σ_q}) is metrically complete. Additionally, it is easily checked that (1.12) is satisfied with $K = \sqrt{2}$. Therefore, by Theorem 3 the operator $\Delta_{b,\mu} + W$ is essentially self-adjoint on $C_c(V)$. Furthermore, it is easy to see that for every $k \in \mathbb{R}$, there exists a function $u \in C_c(V)$ such that the inequality

$$((\Delta_{b,\mu} + W)u, u) \ge k||u||^2$$

is not satisfied. Thus, the operator $\Delta_{b,\mu} + W$ is not semi-bounded from below, and we cannot use [19, Theorem 1.2].

It turns out that [9, Proposition 2.2] is not applicable in this example. To see this, using (1.16) we first note that $\text{Deg}(x_{k,j}) = 2k^{3/2}$, for all $k \ge 1$ and all $j \ge 1$. Let $\lambda \in \mathbb{R}$ be such that (1.15) is satisfied, with W as in this example. Let a_n be as in (1.17) corresponding to the path $\gamma = (x_{1,1}; x_{2,1}; x_{3,1}; \ldots)$, the potential $W(x_{k,1}) = -k^{1/2}$, and λ . Then $a_1 = 1$,

$$(a_2)^2 = (1 + (\lambda - 1)/2)^2 = (\lambda + 1)^2/4,$$

and for $n \geq 3$ we have

$$(a_n)^2 = \frac{(\lambda+1)^2}{4} \prod_{k=2}^{n-1} \left(1 + \frac{\lambda - k^{1/2}}{2k^{3/2}} \right)^2 = \frac{(\lambda+1)^2}{4} \prod_{k=2}^{n-1} \left(\frac{2k^{3/2} - k^{1/2} + \lambda}{2k^{3/2}} \right)^2.$$

Therefore,

$$\sum_{n=1}^{\infty} (a_n)^2 \mu(x_{n,1}) = 1 + \frac{(\lambda+1)^2}{4\sqrt{2}} + \sum_{n=3}^{\infty} \frac{(a_n)^2}{\sqrt{n}}.$$

Using Raabe's test, it can be checked that the series on the right hand side of this equality converges. Hence, looking at (1.17), we see that [9, Proposition 2.2] cannot be used in this example.

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