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Einstein and the old quantum theory

Alexander Afriat

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1 Introduction

Einstein's role in quantum theory is well known: one associates him with the foundational debate in the twenties and thirties, with the photoelectric effect, perhaps with the quantum theory of gases—or even statistical mechanics—in general; but less with the old quantum theory of Bohr and Sommerfeld (from 1913), or with analytical mechanics for that matter. "Zum Quantensatz von Sommerfeld und Epstein" (1917a), which I propose to consider, has an unusual place in the history of science, characterised by neglect, limited attention then unexpected, retarded recognition. Gutzwiller (1990) and Graffi (2005) mention the peculiar history of its citations: practically half a century of silence, then rediscovery in the very different and more mathematical context of analytical mechanics, dynamical systems. Even if analytical mechanics lay outside of Einstein's main mechanical interests—statistical mechanics, relativistic mechanics, foundations of mechanics—Quantensatz should be treated more as analytical mechanics than as quantum theory. Sommerfeld's quantum rule³ ((1) below), referred to in the title, becomes little more than a point of departure, almost a pretext for the development or at least adumbration of a futuristic, topological, highly invariant analytical mechanics—that at any rate is what it amounts to, however Einstein himself saw it.

In a nutshell, Einstein (1917a,b) objects that Sommerfeld's rule refers to particular coordinates, in the sense that there's a condition for each of the l coordinates q_1,\ldots,q_l . Einstein proposes another rule ((4) below), which is more invariant inasmuch as it integrates the *entire* momentum one-form p—not one component p_i at a time—over the l homotopy classes that characterise the topology of the torus he eventually introduces (§2 below). Which raises the issue of why Einstein's rule should be any better than Sommerfeld's. *Empirical* superiority is often important in physics. Not here: Einstein never even brings it up, being only concerned with formal invariance; and even for us,

¹Punctuated by two important citations: Broglie (1924) pp. 63ff, and the footnote on p. 495 of Schrödinger (1926). The story of how the *mécanique ondulatoire* emerged (Lanczos (1952) pp. 277ff) as if by mistake from Louis de Broglie's remarkable misunderstandings of *Quantensatz* deserves to be told, but elsewhere; and Schrödinger suggests, in the footnote, that *Quantensatz* was behind his *Wellenmechanik* as well.

²See Keller (1958), Gutzwiller (1990) pp. 215, 282, 315, Spivak (2010) p. 640.

³Sommerfeld (1915) p. 429, Sommerfeld (1916) p. 9; see also Epstein (1916a) p. 173, Epstein (1916b) pp. 490, 501.

favoured as we are by hindsight, empirical adequacy can hardly be invoked to discriminate between empirically very inadequate theories.⁴ But perhaps there are cases where Einstein's rule makes more sense than Sommerfeld's, or works better. For an elliptical Kepler motion, Einstein's rule is no better than Sommerfeld's, both work well: the score there is *one all*. And neither rule can really handle the self-intersections of a more complicated *Rosettenbahn*: nil nil (cumulatively one all). The superiority of Einstein's rule will only emerge in the toroidal configuration space he constructs to resolve the self-intersections: one nil there (cumulatively two one). But even on the torus, the advantage is only qualified: all one can say is that Einstein's rule makes more sense and is more invariant, not that Sommerfeld's rule would make no sense at all.

The peculiarities of *Quantensatz*, which is paradoxically both primitive and decades ahead of its time, give rise to peculiar historiographical difficulties which require a peculiar, *ad hoc* methodology. Some of the mathematics is so futuristic that anachronisms are needed to make any sense of it at all; but there one's on a slippery slope that can lead to the worst exaggerations. Anachronisms, however indispensable in such cases, have to be kept under control, it is too easy to get carried away.

Much of my analysis will concern three central (indeed related) ideas: (i) *mechanics in configuration space* Q (as opposed to phase space); (ii) *integrability, ergodicity*; (iii) *Liouville-Arnol'd*:

- (i) Even if Einstein uses the Hamiltonian function of position and momentum (and confusingly makes a reference to *Phasenraum*⁵), his mechanics seems to be firmly rooted in the q_i -Raum he so often mentions. It is not a symplectic mechanics, in phase space.
- (ii) Einstein's treatment of integrability and ergodicity is undeniably modern, perhaps decades ahead of its time. But does it all make sense? Is mere configuration space enough? Would phase space be needed after all?
- (iii) One can easily identify features of the Liouville-Arnol'd theorem (§6 below) in *Quantensatz*. But is it *all* there? Does Einstein really have a *steady* motion on a *rigid* torus? Or just a shapeless, merely 'topological' torus?

Is it possible that Einstein, with little or no symplectic geometry, anticipated so much modern, geometrical mechanics: integrability, ergodicity, Liouville-Arnol'd?

"Integrability" can mean various things. There is the purely geometrical notion, well exemplified by the exactness of a one-form $\alpha = df$: infinitesimal objects $\alpha(\mathbf{q})$ assigned to every point fit together in such a way as to permit 'derivation [df] from a potential f' (as Einstein would say). But that's abstract; other notions are more concretely arithmetical, and have to do with the simplicity or even the very possibility of coordinate representation. The numbers involved acquire geometrical meaning by

⁴There is no reason why the two rules should agree on motions, ruling out the same ones. Even if that would make the rules significantly inequivalent, it would only give the preference to one if an independent (empirical) way of checking the selections were available. We now know that an *undulatory* quantum theory—with superposition, coherence, interference, resonance *etc.*—is needed to make any sense at all of atomic mechanics, and select the right motions.

⁵Einstein (1917a) p. 90

⁶In §6 below there will be the conserved quantities $f=(f_1,\ldots,f_l)\in\mathbb{R}^l$.

identifying manifolds, which can simplify the representation of (integrated) motion by *adaptation*—by 'following it so as to eliminate it,' absorbing its twists & turns into the manifolds used to enclose and therefore represent it.

Einstein has his own notion of integrability, which is so strong it goes well beyond what is now called 'complete' integrability: it involves confining the motion to a one-dimensional *closed* manifold—"die Bahn ist dann eine geschlossene, ihre Punkte bilden ein Kontinuum von nur einer Dimension." He seems to reduce integrability and separability⁸ (§5 below) to two simple 'topological' distinctions: whether the motion eventually closes, or never does (which would pose an *irremediable* problem for quantisation); and if it does close, whether it intersects itself (which poses a *remediable*, indeed most welcome, problem for quantisation—so welcome that Einstein's whole invariant, topological agenda rests on it). Again, self-intersections are remedied by *Riemannisierung*, in other words enlargement of the configuration space, considered in the next section.

2 The two quantum rules

Sommerfeld's quantum conditions

$$J^* = \oint p_i dq_i = n_i h,$$

 $i=1,\ldots,l$, rule out atomic motions whose action J^* is not an integer multiple $n_i\in\mathbb{Z}$ of Planck's constant h. Having spent the previous years immersed in the tensorial covariance of general relativity, Einstein sees a problem here: Sommerfeld's rule refers to the specific coordinates q_1,\ldots,q_l ; each one of the l conditions concerns a particular momentum component p_i . Einstein replaces them with l conditions, each one of which involves the *entire* momentum one-form

$$\mathbf{p} = \sum_{i=1}^{l} p_i dq_i,$$

now integrated over the l homotopy classes $\mathbb{H}_1, \dots, \mathbb{H}_l$ or 'topological features' of the space—there being a quantum condition for every such feature. To understand the construction we can begin with an annulus.

Einstein considers the example of an annulus $\mathfrak Q$ bounded by circles of radii r_1 , r_2 . Motions on $\mathfrak Q$ that never close are *in*tractable; those that close without intersecting themselves are *too* tractable—for Sommerfeld's rule in particular, thereby giving Einstein no advantage. Einstein's whole strategy relies on closed motions that intersect themselves: the only motions combining the two virtues of being somehow tractable, but not so much as to preclude the welcome difficulties whose solution gives Einstein his real edge over Sommerfeld, and which represent the chief interest of *Quantensatz*.

To see the problem, the above 'topological' classification of motions can be reexpressed in terms of momentum assignments to (or around) points: [1] *one*, [2] *finitely*

⁷Einstein (1917a) p. 88

⁸See Gutzwiller (1990) §3.7 on the *modern* distinction (not Einstein's).

many, [3] infinitely many. Einstein considers an infinitesimal region $\mathfrak{r} \subset \mathfrak{Q}$ crossed by the motion, the following cases can arise:

- [1] The next time the motion crosses \mathfrak{r} it assigns to $\mathbf{q} \in \mathfrak{r}$ the same momentum \mathbf{p} —and hence every time thereafter. This is the simplest kind of periodicity: the motion is closed (and hence confined to a loop, a one-dimensional manifold of finite length) and never intersects itself.
- [2] The motion eventually assigns a *finite* number N of momenta $\mathbf{p}_1, \dots, \mathbf{p}_N$ to \mathbf{r} , finally closing on the N-th lap. The *Bahn* is still *eine geschlossene*, *ihre Punkte bilden ein Kontinuum von nur einer Dimension*; but it intersects itself. \mathbf{p}_1
- [3] The motion assigns an *infinite* number of momenta to r, without ever closing. Being ergodic, the motion cannot be confined to a loop, an *exakt geschlossene Bahn*.

The quantisation rules at issue here only make sense with a single momentum at (or around) a point. To make the momentum assignment amenable to quantisation, Einstein enlarges the configuration space, thus restoring single-valuedness. But the enlargement procedure he adopts is *finite*, and cannot be repeated *infinitely many times* (for infinitely many momentum values). Einstein's *Riemannisierung* cannot be applied to ergodic motions.

Again, Einstein takes a closed but nontrivial *Rosettenbahn*, which intersects itself. He chooses a point $\mathbf{q} \in \mathfrak{Q}$ to which the motion assigns two momenta, \mathbf{p}_1 and \mathbf{p}_2 . In order to restore the *Einwertigkeit* needed for quantisation he superposes a second annulus on the first, identifying the delimiting circles, and stipulating that whenever the motion reaches either one it changes annulus. The motion on the resulting 2-torus \mathfrak{T}^2 can now be quantised since it no longer intersects itself. The topology of the torus is captured by the (nontrivial) homotopy classes¹¹ \mathbb{H}_1 and \mathbb{H}_2 , respectively made up of loops going around the first and second circles of the torus (once).¹² The integral

$$\langle \mathbf{p}, \mathbb{H}_i \rangle = \oint_{\mathbb{H}} \mathbf{p}$$

vanishes for neither \mathbb{H}_1 nor \mathbb{H}_2 , whereas $\langle \mathbf{p}, \mathbb{H}_0 \rangle$ does vanish for the trivial homotopy class \mathbb{H}_0 of 'contractible' loops going around neither circle: Einstein specifies that the one-form \mathbf{p} on \mathfrak{T}^2 is closed (but see §4 below). The new quantum rule¹³

$$\langle \mathbf{p}, \mathbb{H}_i \rangle = n_i h$$

 $i=1,\ldots,l$, which in fact applies more generally to any l-torus¹⁴ \mathfrak{T}^l , requires the loop integrals to be integer multiples $n_i \in \mathbb{Z}$ of Planck's constant h. The methodological,

⁹Each $\mathbf{p}_k \in \bigwedge^1(Q)$ is a one-form and not a coordinate $\in \mathbb{R}$.

¹⁰See Gutzwiller (1990) figures 10 & 30.

¹¹Graffi (2005) p. 23: "curve topologicalmente inequivalenti."

¹²See Gutzwiller (1990) figure 30.

¹³See Graffi (2004) p. 175.

 $^{^{14}}$ In the paragraph on p. 90 containing figures 1 & 2 Einstein seems to have in mind an l-dimensional torus \mathfrak{T}^l (rather than a more general manifold with Betti number l). In two dimensions, *Riemannisierung* clearly produces a torus; little generality is lost in considering \mathfrak{T}^2 ; and one wonders how the scheme can work in general if the enlarged configuration space is not toroidal. So I'll speak of a torus \mathfrak{T}^l even with l > 2.

æsthetic superiority of the rule lies in the double invariance of the expression

$$\oint_{\mathbb{H}_k} \sum_i p_i dq_i :$$

invariance with respect to the choice of coordinates q_i , and also with respect to the particular loop of \mathbb{H}_k —with respect to 'loop deformations,' as it were.¹⁵ All 'old quantum theories' are empirically so inadequate that it makes less sense to speak of an *empirical* superiority of Einstein's rule over Sommerfeld's.

Again, both quantum rules work in case [1], neither one in cases [2] and [3]; but at least in case [2], the multi-valuedness, being finite, can be resolved on a larger configuration space \mathfrak{T}^l , where Einstein's rule works well and makes perfect sense. Even Sommerfeld's conditions can be *made* to work on \mathfrak{T}^l —which, however, is eminently suited to the double invariance of Einstein's rule.

3 Loops, gauge and Louis de Broglie's trajectoires

Einstein's loops are meaningless on their own and only acquire significance collectively as elements of the homotopy classes $\mathbb{H}_1, \ldots, \mathbb{H}_l$ which capture the topological peculiarities of the enlarged configuration space. Even if Einstein goes to the trouble of writing "irgendeine geschlossene Kurve, welche durchaus keine "Bahnkurve" des mechanischen Systems zu sein braucht," Broglie (1924) p. 63 nonetheless speaks of "trajectoires fermées." But Broglie's misunderstanding is in fact more interesting than one may imagine.

Consider such a mechanical *trajectoire* ξ in the plane \mathbb{P} , and the action integral

(5)
$$J^* = \oint_{\mathcal{E}} (p_1 dq_1 + p_2 dq_2)$$

calculated with respect to the coordinates q_1 , q_2 . To simplify we can confine the 'source' ¹⁶ to the origin $0 \in \mathbb{P}$; in other words the curl $d\mathbf{p}$ vanishes everywhere else, on all of $\bar{\mathbb{P}} = \mathbb{P} - \{0\}$. The integral (5) has various interesting symmetries ¹⁷ which are highly relevant and worth looking at. A diffeomorphism $\gamma : \mathbb{P} \to \mathbb{P}$ defined on all of \mathbb{P} displaces everything—trajectoire, source 0 and other points $\bar{\mathbb{P}}$ —so as to preserve the relations of inclusion and inclusion, and hence the integral J^* itself. Even a diffeomorphism $\bar{\gamma} : \bar{\mathbb{P}} \to \bar{\mathbb{P}}$ on $\bar{\mathbb{P}}$ (as opposed to \mathbb{P})—which only displaces points where $d\mathbf{p}$ vanishes, and the trajectoire itself, but not the source 0—would be just as symmetric, as it could never drag ξ over the origin. For a diffeomorphism to affect the topological relations on which (5) depends it would have to drag selectively, distinguishing between the origin and the points of ξ . If we think of γ as an active coordinate transformation $\mathbf{q} \mapsto \mathbf{Q} = \gamma(\mathbf{q})$, in other words

$$(q_1, q_2) \mapsto (Q_1(q_1, q_2), Q_2(q_1, q_2)) = \gamma(q_1, q_2),$$

¹⁵Cf. Graffi (2005) p. 22.

¹⁶The term "source" comes from the 'divergence' version of Stokes's theorem (attributed to Gauß or Ostrogradsky or perhaps Green), here it is more metaphorical. Here the 'source' at the origin produces a turbulence which by Stokes' theorem manifests itself on the loop ξ as the circulation $J^*(\xi)$.

¹⁷See Epstein (1916a) p. 172, Whittaker (1917) pp. 271ff, Levi-Civita & Amaldi (1974) pp. 353ff.

we can write

$$J^* = \oint_{\xi} \mathbf{p} = \oint_{\xi} (p_1 dq_1 + p_2 dq_2) = \oint_{\Xi} \mathbf{P} = \oint_{\Xi} (P_1 dQ_1 + P_2 dQ_2),$$

where $\Xi = \gamma(\xi)$ and

$$\mathbf{P} = \gamma^* \mathbf{p} = P_1 dQ_1 + P_2 dQ_2.$$

Provided we avoid the origin we can also write

$$J^* = \oint_{\Xi} \mathbf{p} = \oint_{\Xi} (p_1 dq_1 + p_2 dq_2).$$

De Broglie's trajectoires thus become largely topological entities.

In Hamiltonian mechanics one distinguishes between *point* transformations (on the l-dimensional q_i -Raum) and canonical transformations (on the 2l-dimensional phase space Γ). ¹⁸ So far we've applied the rather restrictive 'point' condition

(6)
$$\mathbf{p} = \sum_{i} p_i dq_i = \sum_{i} P_i dQ_i$$

of Lagrangian mechanics; but in fact the weaker 'symplectic' condition

$$\omega = d\mathbf{p} = d\mathbf{p}' = d(\mathbf{p} + dF) = \sum_{i} dp_i \wedge dq_i = \sum_{i} dp_i \wedge dq_i + d^2F$$

also preserves J^* , where

$$\mathbf{p} \mapsto \mathbf{p}' = \mathbf{p} + dF$$

and F is a zero-form. So in addition to the point freedom γ (or $\bar{\gamma}$) and the homotopic freedom $\xi \mapsto \Xi$ (keeping clear of the origin), we have the 'gauge' or 'symplectic' freedom to add an exact term dF.

The canonical transformation generated by F also corresponds to a deformation of curves in $\bar{\mathbb{P}}$, reminiscent of the loop deformation $\xi \mapsto \Xi$. Even if the curl at the origin (or the correspondingly nonvanishing circulation J^*) prevents the one-form \mathbf{p} from having a global primitive, one can think of a local primitive λ satisfying $\mathbf{p} = d\lambda$ locally. In much the same way as one can take the trajectory ξ to be displaced by the point transformation γ , one can take the level sets $\lambda = \text{const.}$ to be deformed by F.

The symplectic freedom (7) is undeniably *available*; but Einstein's mechanics is so *un*symplectic, so firmly rooted in the q_i -Raum he so often mentions, that I doubt he had in mind anything beyond the q_i -Raum 'point' freedom γ (with (6)).

4 Hamilton-Jacobi theory

The old quantum theory, including *Quantensatz*, was formulated in terms of Hamilton-Jacobi theory, ²⁰ which therefore deserves some attention.

¹⁸See Landau & Lifschitz (1970) § 45.

¹⁹"Locally" could mean, for instance, on any simply-connected region of $\bar{\mathbb{P}}$.

²⁰See Hamilton (1833, 1834), Jacobi (1884) pp. 143ff, Appell (1909) pp. 556ff, Epstein (1916b) pp. 493ff, Whittaker (1917) pp. 288ff, Carathéodory (1937) pp. 66ff, Brillouin (1938) pp. 168ff, Appell (1953) pp. 429ff, Levi-Civita & Amaldi (1974) pp. 355ff, Arnol'd (1988) §9.4, Jacobi (1996) pp. 216ff, Fasano & Marmi (2002) §11.1, Graffi (2004) p. 51, Benci & Fortunato (2014) §1.4.

The principle of least action²¹ exists in two versions, which in Einstein's notation would be distinguished by a star indicating neglect of time.

[i] The 'space-time' Hamiltonian version determines the spatial shape of trajectories as well as motion along them by minimising the full Hamiltonian action²²

$$J = \int_{t_0}^t L \, dt,$$

where the 'momentum' or 'covariant' Lagrangian can be written

$$L = \sum_{i} p_i \frac{\partial H}{\partial p_i} - H.$$

[ii] The 'spatial' version attributed to Maupertuis only gives the spatial shape of the trajectory, by minimising the purely spatial part of the action

(8)
$$J^* = \int_{\mathbf{q}_0}^{\mathbf{q}} \mathbf{p} = \int_{\mathbf{q}_0}^{\mathbf{q}} \sum_i p_i dq_i.$$

Hamilton's principle is in a sense more general; but the generality it adds to Maupertuis' is only of any interest if the Hamiltonian H depends explicitly on time. Since Einstein takes it not to, the motion is confined to a level surface where the Hamiltonian remains equal to some constant E; and the action assumes the degenerate additive form²³

$$J = J^* - Et.$$

Let us write H=T+U (and L=T-U), where the potential U depends only on position and the kinetic energy

$$T = \frac{1}{2} \sum_{i} p_i \frac{\partial H}{\partial p_i}$$

is quadratic. In such cases only the spatial shape of the trajectory remains interesting. To confine our attention to that shape, ignoring the trivial time evolution given by the term -Et, we just take the spatial 'Maupertuis' part of J, namely (8). Viewing \mathbf{q}_0 as a fixed initial position and \mathbf{q} as a variable final position, we can radiate \mathbf{q} in all directions from \mathbf{q}_0 (now reminiscent of a source in geometrical optics²⁴) along dynamical trajectories derived from the action function $J^*(\mathbf{q}, \mathbf{q}_0)$ satisfying the Hamilton-Jacobi equation²⁵ $H(\mathbf{q}, dJ^*) = E$, or rather

$$\|\mathbf{p}\|^2 = \|dJ^*\|^2 = 2m(E - U).$$

²¹See Brillouin (1938) pp. 159ff.

²²Cf. Carathéodory (1937) p. 10.

²³See Jacobi (1884) *Einundzwanzigste Vorlesung*, Appell (1953) pp. 430ff, Levi-Civita & Amaldi (1974) pp. 362ff.

²⁴See Hamilton (1833, 1834), Whittaker (1917) pp. 288ff.

²⁵See Graffi (2004) p. 51.

Choosing an infinitesimal action δJ^* , we first have the sphere $\sigma(\mathbf{q}_0)$ of radius

$$\zeta(\mathbf{q}_0, \delta J^*) = \frac{\delta J^*}{\sqrt{2m(E - U(\mathbf{q}_0))}}$$

around q_0 . The momentum p at any q on the sphere is the differential

$$\mathbf{p}(\mathbf{q}) = dJ^*(\mathbf{q}) = \sum_{i=1}^{l} \frac{\partial J^*(\mathbf{q})}{\partial q_i} dq_i$$

of J^* viewed as a function of the final position ${\bf q}$. Once we have a level surface $\sigma({\bf q}_0)$ of J^* , we might as well propagate from an arbitrary (l-1)-dimensional initial surface $\Sigma_1=\Sigma_{J_1^*}$ (which could be a sphere σ or not), viewed as a level surface of action J_1^* . I'll follow Schrödinger (1926) pp. 492-3 on the way to his Wellenmechanik. We can choose the same increment 27 δJ^* , which provides a distance $\zeta({\bf q}_1,\delta J^*)$ at the generic point ${\bf q}_1\in\Sigma_1$. Then there are two possible constructions. Either we repeat the above construction, now treating ${\bf q}_1$ as the source of a 'secondary' wave, 28 a sphere $\sigma({\bf q}_1)$ of radius $\zeta({\bf q}_1,\delta J^*)$ emanated from the 'primary' wavefront Σ_1 , in which case the surface Σ_2 of action

$$J_2^* = J_1^* + \delta J^*$$

is the envelope of the secondary waves. Alternatively one lays off $\zeta(\mathbf{q}_1, \delta J^*)$ normally at every point, to define Σ_2 even more directly. 'Normally' can be understood as follows: The (l-1)-dimensional linear space

$$\mathbb{T}_{\mathbf{q}_1}\Sigma_1\subset\mathbb{T}_{\mathbf{q}_1}Q$$

tangent to Σ_1 at \mathbf{q}_1 determines a ray ρ_1^{\flat} in the cotangent space $\mathbb{T}_{\mathbf{q}_1}^*Q$. The direction of the momentum \mathbf{p}_1 at \mathbf{q}_1 is given by $\mathbf{p}_1 \in \rho_1^{\flat}$, the length by

$$\|\mathbf{p}_1\| = \sqrt{2m(E - U(\mathbf{q}_1))}.$$

The inverse m^{\sharp} of the mass tensor²⁹ m^{\flat} determines a vector $\mathbf{p}_{1}^{\sharp} = m^{\sharp}\mathbf{p}_{1}$, indeed a ray ρ_{1}^{\sharp} containing \mathbf{p}_{1}^{\sharp} in the tangent space $\mathbb{T}_{\mathbf{q}_{1}}Q$. The action increment δJ^{*} fixes the length $\zeta(\mathbf{q}_{1},\delta J^{*})$ of the required vector $\hat{\mathbf{p}}_{1}^{\sharp} \in \rho_{1}^{\sharp}$, which goes from Σ_{1} to the corresponding point of Σ_{2} .

In Schrödinger's construction, the direction of propagation from the initial surface Σ_1 is determined by the local slant of the surface itself,³⁰ not by initial data freely assigned to it, point by point. In § 3 of *Quantensatz*, Einstein also propagates from an (l-1)-dimensional surface in the q_i -Raum Q, but obliquely—at an 'angle,' relative

²⁶But see also Brillouin (1938) pp. 169ff, Arnol'd (1988) pp. 251ff.

²⁷A smaller increment would be even better, if we are propagating secondary waves from an *already infinitesimal* primary wavefront $\sigma(\mathbf{q}_0)$.

²⁸See Huygens (1690), Whittaker (1917) pp. 289ff, Carathéodory (1937) pp. 13ff, Arnol'd (1988) §9.3.

²⁹See Brillouin (1938) p. 143.

 $^{^{30}}$ Here the normal direction of propagation is determined by the mass tensor m. With a more general Hamiltonian (and Lagrangian), the duality relations $\sharp \flat$ between level surface and motions are given by the fibre derivatives, with components $\partial H/\partial p_i$, $\partial L/\partial \dot{q}_i$.

to the surface, that varies from point to point. Schrödinger's 'orthogonal propagation,' which makes the initial surface Σ_1 a *level* surface of J^* , also makes the propagated field exact, indeed consistent with a potential J^* ; Einstein's 'oblique' construction has to require exactness independently, as it is not provided by orthogonality.

The difference between *closed* and *exact*, it should be noted, may not have been entirely clear to Einstein. In (1917c) he seems to treat his equations (7) and (7a) as equivalent; in *Quantensatz* he writes "bzw." between his equations 10) and 10a)—but then does draw a related distinction, between *einwertig* and *vielwertig*, on the next page:

Ist aber der in Betracht kommende Raum der q_i ein mehrfach zusammenhängender, so gibt es geschlossene Bahnen, welche nicht durch stetige Änderung auf einen Punkt zusammengezogen werden können; ist dann J^* keine einwertige (sondern eine ∞ vielwertige) Funktion der q_i , so wird das Integral $[\int \sum p_i dq_i]$ für eine solche Kurve im allgemeinen von Null verschieden sein.

Indeed if the one-form **p** is only

CMC: closed on a multiply-connected region,

it may or may not be exact, the loop integral (3) may or may not vanish. If \mathbf{p} is not exact,³¹ the loop integral $\langle \mathbf{p}, \mathbb{H} \rangle$ will not vanish, but its *Vielwertigkeit* will be the *denkbar einfachste*: every point \mathbf{q} on a given loop acquires an additional $\langle \mathbf{p}, \mathbb{H} \rangle$ on every lap:

$$J_{(n+1)}^*(\mathbf{q}) = J_n^*(\mathbf{q}) + \langle \mathbf{p}, \mathbb{H} \rangle = J_1^*(\mathbf{q}) + n \langle \mathbf{p}, \mathbb{H} \rangle,$$

where the integer n represents the lap. In terms of the Ein/Vielwertigkeit of the primitive J^* , exact means has a single-valued global primitive J^* ; merely closed means locally exact—the primitive J^* is locally einwertig but may be globally vielwertig. Since I am using "closed" in two entirely different senses, I'll write κ losed for this second sense ('locally exact'), pertaining to differential forms.

Returning to Einstein's construction, he freely assigns momenta $\mathbf{p}_1(\mathbf{q}_1)$ to the points \mathbf{q}_1 of Σ_1 , then radiates dynamical (Hamiltonian) trajectories³² L satisfying

$$\dot{L}(\mathbf{q}_1) = \mathbf{p}_1^{\sharp}(\mathbf{q}_1) = m^{\sharp} \mathbf{p}_1(\mathbf{q}_1)$$

throughout Σ_1 . The dynamical vector field \dot{L} thus determined by the one-form

$$\mathbf{p}_1 = \mathbf{p}|_{\Sigma_1}$$

provides a one-form $\mathbf{p} = m^{\flat} \dot{L}$ on an l-dimensional region $U \subset Q$ covered by \dot{L} .

Einstein then wonders when the one-form ${\bf p}$ determined by the Hamiltonian vector field \dot{L} will also satisfy the Hamilton-Jacobi equation; for the radiated congruence

³¹The 'topological interpretation' of the Aharonov-Bohm effect shows how important it is to distinguish between *not* exact and the above condition **CMC**: not *necessarily* exact.

 $^{^{32}}$ The almost superfluous curves L and vectors \dot{L} used to extend the one-form \mathbf{p}_0 defined on Σ_0 to a one-form \mathbf{p} defined on the l-dimensional region U are only introduced because Einstein seems to have such objects in mind. They can easily be dispensed with, the one-forms are enough.

can, confusingly, be 'Hamiltonian' (in other words *made up of dynamical trajectories*) without being 'Hamilton-Jacobi.' It turns out that \mathbf{p}_1 has to be κ losed, for then \mathbf{p} will be too; and as long as U is simply-connected, κ losed means exact:

$$(d\mathbf{p}_1 = 0) \Leftrightarrow (d\mathbf{p} = 0) \Leftrightarrow (\exists J^* : \mathbf{p} = dJ^*).$$

The potential J^* satisfying the Hamilton-Jacobi equation is slightly underdetemined by its derivative dJ^* , in other words

$$d^{-1}\mathbf{p} = [J^*] = [J^* + \eta]_{\eta},$$

where η is a constant on U. A value $J^*(\mathbf{q})$ at a single $\mathbf{q} \in U$ is enough to overcome the underdetermination and fix all of J^* . Summing up, the theorem can be given as follows: Only a κ losed momentum field \mathbf{p} (radiated *dynamically* from the momenta \mathbf{p}_1 freely assigned to an initial surface $\Sigma_1 \subset Q$) can be derived $\mathbf{p} = dJ^*$ from a potential J^* satisfying the Hamilton-Jacobi equation.

Einstein seems to change his mind in the *Nachtrag zur Korrektur*, p. 91:

LB: Liefert eine Bewegung ein p_i -Feld, so besitzt dieses notwendig ein Potential J^* .

Whatever he means has to do with \S 4 of *Quantensatz*: "die zweite der in \S 4 angegebenen Bedingungen für die Anwendbarkeit der Formel 11) stets von selbst erfüllt sein muß [...]"; at the end of \S 4 one reads that

Die Anwendung der Quantenbedingung 11) verlangt, daß derartige Bahnen existieren, daß die einzelne Bahn ein p_i -Feld bestimmt, für welches ein Potential J^* existiert.

To try to make sense of this we can start with the primitive notion of *Bewegung*: a motion, a trajectory in configuration space—however it is defined or generated. Returning to the above classification, the motion can be closed (cases [1] or [2]) or ergodic (case [3]). If it is closed, it will assign to no point \mathbf{q} or even neighbourhood of Q more than finitely many momenta $\mathbf{p}_1, \ldots, \mathbf{p}_N$. That's what Einstein means by a p_i -Feld: an assignment of at most finitely many momenta to (certain) points of Q. If the momentum is *finitely* multi-valued here and there, the configuration space can be enlarged to restore single-valuedness—but not if it is ergodic.

There remains the issue of how a single *Bewegung*, confined as it is to a one-dimensional manifold, can yield a *Feld*, a field on an *l*-dimensional manifold. Since Einstein goes to the trouble of emphasising die einzelne Bahn with Sperrdruck, he really does seem to mean a *single* trajectory. He may simply be unaware of the problem; or perhaps it somehow doesn't bother him and he just ignores it; or perhaps he has a way of dealing with it. But if he does, it would surely have to involve a *congruence*, a Schar—despite the einzelne Bahn in Sperrdruck.

Einstein's use of Hamilton-Jacobi theory is most peculiar, perhaps even contradictory or downright wrong. It is a theory that undeniably involves *congruences* of trajectories. In § 3 of *Quantensatz* and in (1917c), Einstein considers the entire congruence; but elsewhere in *Quantensatz* he seems to use the same theory to produce a *single*

trajectory. The integral (3) only makes invariant sense if \mathbf{p} is defined *everywhere* on Q, not just on a single trajectory—and indeed Einstein does speak of an entire p_i -Feld. But Einstein's whole analysis and classification of trajectories (our cases [1]-[3])—which would get confused, perhaps even undermined, by congruences—seems to depend on *single* trajectories. We may simply have a case of Einstein wanting to have his cake and eat it.

Returning to **LB**, the issue of a Hamilton-Jacobi potential J^* or of a vanishing curl $d\mathbf{p}$ does not even arise with a single trajectory. With a whole congruence of motions radiated from an initial surface, the curl $d\mathbf{p}$ will automatically vanish if the propagation is orthogonal. If the propagation is only transversal, as in § 3 of *Quantensatz*, the curl has to vanish for the motions to admit a Hamilton-Jacobi potential J^* .

5 Einwertigkeit, separability and quantisation

Einstein's imaginative, idiosyncratic understanding of integrability and ergodicity is of the greatest interest; as is what he puts on the torus he constructs to restore single-valuedness. For us the point is more what Einstein does to restore single-valuedness, than *why* single-valuedness should ever be important in the first place; so this section will be short.

Even if it may be enough to say that *integrals, like (1) or (3), only make sense for single-valued integrands*, Einstein seems to view it as a matter of separability: quantisation relies on separability, which in turn depends on single-valuedness. *Separability*, ³³ as the term is used in Hamilton-Jacobi theory, is a condition

$$\tau[J^*;(q_1,\ldots,q_l)]$$

relating the coordinate system q_1,\ldots,q_l to a particular solution J^* . Locally, around a point $\mathbf{q}\in U$ in Q, the coordinates can always be adapted to satisfy the condition. The problem is global: as Einstein explains in the *Nachtrag*, J^* may eventually³⁴ reach the same \mathbf{q} from different directions; coordinates that satisfy the relationship on the first pass may not satisfy it on the next: coordinates can be adapted to a single J^* , but not to two different passes³⁵ J_1^* , J_2^* . Which is why Einstein has to enlarge the configuration space to resolve self-intersections; in the larger toroidal configuration space, not only are self-intersections eliminated, but separability is restored, since the coordinates can be adapted everywhere to the single-valued trajectory. One can see the problem around a point $\mathbf{q} \in \mathfrak{U} \subset \mathfrak{Q}$ on the annulus: suppose the self-intersecting motion, the propagation of J^* , first assigns one momentum

$$\mathbf{p}(\mathbf{q}, t_1) = \mathbf{p}_1(\mathbf{q}) = dJ(\mathbf{q}, t_1) = dJ_1^*(\mathbf{q})$$

³³See Appell (1909) pp. 576ff, Epstein (1916a) pp. 170ff, Epstein (1916b) pp. 494ff, Born (1925) §14, Appell (1953) pp. 437ff, Levi-Civita & Amaldi (1974) pp. 405ff, Fasano & Marmi (2002) §11.2, Graffi (2004) p. 175, Lowenstein (2012) pp. 57ff.

 $^{^{34}}$ Even if we are in a configuration space Q in which time has no more than an *implicit* role, Einstein himself uses explicitly temporal language: "im Laufe der Zeit."

 $^{^{35}}$ In an (l+1)-dimensional configuration space $Q \times \mathbb{R}$, enlarged to include time, the two passes would of course take place at different times t_1 and t_2 .

to q, then a second

$$\mathbf{p}(\mathbf{q}, t_2) = \mathbf{p}_2(\mathbf{q}) = dJ(\mathbf{q}, t_2) = dJ_2^*(\mathbf{q});$$

separabilty would require one coordinate system for the first pass J_1^* , another for the second J_2^* . Once there are two annuli $\mathfrak{Q}_1, \mathfrak{Q}_2$ forming a torus \mathfrak{T}^2 , everything gets split: \mathbf{q} becomes two points $\mathbf{q}_1 \in \mathfrak{U}_1 \subset \mathfrak{Q}_1, \mathbf{q}_2 \in \mathfrak{U}_2 \subset \mathfrak{Q}_2$, with

$$\mathbf{p}(\mathbf{q}_1, t_1) = \mathbf{p}_1(\mathbf{q}_1) = dJ(\mathbf{q}_1, t_1) = dJ_1^*(\mathbf{q}_1)$$

at \mathbf{q}_1 and

$$\mathbf{p}(\mathbf{q}_2, t_2) = \mathbf{p}_2(\mathbf{q}_2) = dJ(\mathbf{q}_2, t_2) = dJ_2^*(\mathbf{q}_2)$$

at q_2 . Separability is restored by assigning different coordinates to \mathfrak{U}_1 and \mathfrak{U}_2 , both satisfying τ .

6 Liouville-Einstein-Arnol'd?

In the second-last paragraph of the *Nachtrag* Einstein formulates an integrability theorem that deserves attention:

IT: Existieren l Integrale der 2l Bewegungsgleichungen von der Form

(9)
$$R_k(q_i, p_i) = \text{konst.},$$

wobei die R_k algebraische Funktionen der p_i sind, so ist $\sum_i p_i dq$ immer ein vollständiges Differential, wenn man die p_i vermöge (9) durch die q_i ausgedrückt denkt.

The formulation is misleading, he may be groping towards the theorem now attributed to Liouville³⁶ and Arnol'd.³⁷

We can begin with features of the Liouville-Arnol'd theorem, and then try to understand how much of it is already in *Quantensatz*. It uses l functions $F_i: \Gamma \to \mathbb{R}$ on an 2l-dimensional phase space Γ to reduce the number of dynamically relevant dimensions from 2l to l, in the sense that by l-1 intersections of level surfaces of appropriately compatible and independent functions it confines the dynamics to an l-dimensional manifold. A function F foliates the phase space into (2l-1)-dimensional level surfaces on which F= const.; specifying a value f of F already eliminates one dimension by fixing a level surface. But the theorem concerns dynamics; the issue is whether a given dynamics³⁸

$$X_G = (dG)^{\sharp} = \omega^{\sharp}(dG)$$

is tangent—in which case the graphs of its integral curves are confined—to the level surfaces F = const., or just transversal to them. If the dynamics X_G were just transversal to the level surfaces of F, the dimension lost by choosing a level surface would be thus restored, with no net progress in the effort to eliminate dimensions.

³⁶See Appell (1909) pp. 576ff, Appell (1953) pp. 437ff, Fasano & Marmi (2002) §11.4.

³⁷See Fasano & Marmi (2002) §11.5, Graffi (2004) §1.7.1, Graffi (2005) §2, Lowenstein (2012) pp. 56ff.

³⁸See Arnol'd (1988) §8.1.3, Sternberg & Guillemin (1984) p. 88, Graffi (2004) p. 51.

The relevant notion is Poisson compatibility³⁹ $\{F,G\}=0$, which can either be understood as compatibility between the dynamics X_F generated by F and the level surfaces of G, or the other way around. $\{F,G\}$ vanishes if the vector field X_F is tangent to the level surfaces of G, in other words if the graph of each integral curve of X_F is confined to a level surface of G. We can take the first function F_1 to be the Hamiltonian H, whose generic value E singles out a (2l-1)-dimensional energy surface. The two compatibilities

$${H, F_2} = 0 = {H, F_3}$$

and values $F_2 = f_2$, $F_3 = f_3$ only eliminate two dimensions (and not just one) if dF_2 and dF_3 are independent; if dF_2 and dF_3 were parallel, F_2 and F_3 would have the same level surfaces, which would be redundant. Complete integrability is given by l values $f = (f_1, \ldots, f_l)$ of the compatible, independent functions F_1, \ldots, F_l , which eliminate l of the initial 2l dimensions of phase space, leaving an l-dimensional manifold \mathcal{M}_f . Einstein's aforementioned integrability theorem IT suggests he may have got this far. But the two cases at the bottom of p. 87 of Quantensatz give the impression that Einstein wants to reduce the dynamically available dimensions of q_i -Raum, not phase space; that he wants to confine the Bahnkurve to a lower-dimensional manifold of configuration space:

Die Bahnkurve läßt sich ganz in einem Kontinuum von weniger als l Dimensionen unterbringen.

The kind of integrability he has in mind, taken as far as possible, would confine the Bahnkurve to a one-dimensional submanifold of Q:

Hierzu gehört als spezieller Fall derjenige der Bewegung in exakt geschlossener Bahn. [...] die Bahn ist dann eine geschlossene, ihre Punkte bilden ein Kontinuum von nur einer Dimension.

This brings us to the next part of the Liouville-Arnol'd theorem. So far we have little more than a number l of dimensions. Without compactness, the l-dimensional manifold \mathcal{M}_f could be a product of lines and loops; compactness rules out the lines, leaving a torus \mathfrak{T}^l , a product of l topological circles. It is worth noting that Arnol'd and Einstein obtain their tori in different ways: Arnol'd by imposing compactness, Einstein by *Riemannisierung*, to eliminate self-intersections. The two ways, however different, are not unrelated: if the l-dimensional manifold \mathcal{M}_f were a product of l lines, it would amount to \mathbb{R}^l ; compactness prevents immersion in \mathbb{R}^l by 'swelling' \mathcal{M}_f . A two-dimensional torus \mathfrak{T}^2 , for instance, is an *enlarged* two-dimensional configuration space inasmuch as it cannot be embedded in the plane. Suppose for definiteness that \mathfrak{T}^2 not just a 'topological torus' (a product of two loops) but a 'rigid torus' (a product of two rigid and not just topological circles)—literally a doughnut, with a shape and a size, embedded

³⁹See Graffi (2004) p. 50.

 $^{^{40}}$ In the aforementioned 'effort to eliminate dimensions,' Poisson incompatibility $\{F,G\} \neq 0$ would be *counter*-productive (reversing progress already made by effectively *restoring* an eliminated dimension), whereas linear dependence dF = kdG would be merely *un*-productive (producing neither loss nor gain, leaving the number of dimensions unchanged).

in \mathbb{R}^3 parallel to the xy plane. Take for instance the simplest possible motion, given by fixed rates of rotation around both circles of such a \mathfrak{T}^2 : projected onto the xy plane it would intersect itself. That's how compactness is related, albeit indirectly, to Einstein's *Riemannisierung*.

The distinction between rigid and topological tori, introduced above for mere definiteness of representation, will actually prove quite useful. According to the Liouville-Arnol'd theorem, a completely integrable (and compact) dynamics can be represented as l constant rates

$$\dot{\varphi}_i = \omega_i = \frac{\partial H}{\partial J_i^*}$$

of rotation on an l-dimensional torus \mathfrak{T}^l , where the l angles⁴¹ φ_i with linear evolutions

$$\varphi_i(t) = \omega_i t + \varphi_i(0)$$

are canonically conjugate

(11)
$$\{\varphi_i, J_i^*\} = \delta_{ij} = \{q_i, p_j\}$$

to the actions J_i^* ; $i, j = 1, \dots, l$.

Einstein seems to construct a *topological*, l-dimensional torus (topologically equivalent to a rigid torus) to resolve self-intersections; his l integrals (3) are undeniably *action* integrals; but that's not enough to provide the 'symplectic' rigidity that turns a topological torus into a rigid one. To do so, Einstein would have needed something along the lines of (10) or (11)—which were by no means obvious in 1917, especially to a physicist, and cannot be taken for granted. To obtain a rigid torus one has to recognise that the angles φ_i yielding the constant frequencies ω_i are canonically conjugate to the actions J_i^* ; but nowhere does Einstein betray such symplectic awareness. The rigid torus of the Liouville-Arnol'd theorem is really quite different from Einstein's merely topological torus: it has a metrically definite shape and is twice as big, with 2l degrees freedom (l areas and l angles), not just l (l arbitrary parameters along l loops).

With little loss of generality we can consider two frequencies ω_1 , ω_2 on a two-torus \mathfrak{T}^2 . The motion can in any case be confined to a one-dimensional manifold; the issue is its length (finite or not), its topology (closed or open)—whether we have a Bewegung in exakt geschlossener Bahn, whose Punkte bilden ein Kontinuum von nur einer Dimension. The relevant criterion is rational dependence: if ω_1/ω_2 is rational, the motion can be confined to a one-dimensional Kontinuum which, being geschlossen, is of finite length; whereas if ω_1/ω_2 is irrational the motion can still be confined to a one-dimensional Kontinuum, but not of finite length. Einstein has clearly understood the geometrical significance of confining motion to intersections of level surfaces of appropriately compatible and independent functions; what may have been less clear to him is the numerical—rational vs. irrational—rather than set-theoretical character of the last step, needed to bring the (compact) dimensions down to one. Indeed in the very last paragraph of the Nachtrag he seems to suggest that ergodic motion is only

⁴¹See Sternberg & Guillemin (1984) pp. 356ff, Lowenstein (2012) pp. 68ff.

⁴²See Born (1933) pp. 80ff, Fasano & Marmi (2002) §11.7.

possible with an *incomplete* set R_1, \ldots, R_j (j < l). We now know that ergodicity can be a merely numerical matter, of *irrational dependence*—compatible with a 'complete' set of l functions R_1, \ldots, R_l .

Returning to Einstein's integrability theorem IT, he mentions that the momentum (2) would be a "vollständiges Differential." I think the point is not exact vs. κ losed, but that once ergodic motion is ruled out, with its 'infinite-valued' momentum, the momentum just makes sense, being single-valued on an appropriate configuration space. He seems to understand the theorem as follows: his l conserved quantities R_1, \ldots, R_l are sufficiently numerous to provide a well-defined momentum \mathbf{p} by confining the motion to an exakt geschlossene Bahn whose Punkte bilden ein Kontinuum von nur einer Dimension, thus ruling out ergodic motion which, being 'infinite-valued,' is unmanageable.

7 Final remarks

The 'complete' integrability one finds in the modern literature is hardly complete by Einstein's standards, being compatible with both ergodic and closed motions. The more extreme kind of integrability Einstein has in mind corresponds to closed, not ergodic motions: *tertium non datur*. He needs a self-intersecting motion assigning more than one momentum here and there—to justify the *Riemannisierung* that gives rise to his torus, whose topological peculiarities are captured by the homotopy classes he integrates over—but not the *infinitely many* momenta assigned by ergodic motion; his *Riemannisierung* is necessarily finite. And once on the torus, where the greater invariance of Einstein's integrals $\langle \mathbf{p}, \mathbb{H}_i \rangle$ is evident, Sommerfeld's defeat becomes manifest.

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