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# NONEXISTENCE OF DEC SPIN FILL-INS

## SIMON RAULOT

ABSTRACT. In this note, we show that a closed spin Riemannian manifold does not admit a spin fill-in satisfying the dominant energy condition (DEC) if a certain generalized mean curvature function is point-wise large.

Given a closed *n*-dimensional Riemannian manifold  $(\Sigma, \gamma)$ , it is a very interesting question to know whether there exists an (n + 1)-dimensional compact Riemannian manifold  $(\Omega, g)$  with nonnegative scalar curvature (NNSC) whose boundary is isometric to  $(\Sigma, \gamma)$ . If so, the Riemannian manifold is called a fill-in of  $(\Sigma, \gamma)$  and the set of all such fill-ins, referred to as NNSC fill-ins of  $(\Sigma, \gamma)$ , is denoted by  $\mathcal{F}(\Sigma, \gamma)$ . The problem of the existence of such fill-ins has recently been solved by Shi, Wang and Wei [SWW22] where it is shown that if  $\Sigma$  is the boundary of an (n + 1)-dimensional compact manifold  $\Omega$  then, any metric  $\gamma$  on  $\Sigma$  can be extended to a Riemannian metric g on  $\Omega$  with positive scalar curvature.

One can also try to find a fill-in whose mean curvature is prescribed by a smooth function H on  $\Sigma$ . This problem is tightly related to the Bartnik quasi-local mass [Bar89] and a triplet  $(\Sigma, \gamma, H)$  is then usually called a Bartnik data.

In [Mia21], Miao proved that if  $\Sigma$  is the boundary of some compact (n+1)-dimensional manifold  $\Omega$ , then given any Riemannian metric  $\gamma$  on  $\Sigma$ , there exists a constant  $H_0$ , depending on  $\gamma$  and  $\Omega$ , such that, if  $\min_{\Sigma} H \geq H_0$ , there does not exist NNSC fill-ins of  $(\Sigma, \gamma, H)$ . The proof makes use of the work of Shi, Wang and Wei [SWW22] and of Schoen and Yau's results on closed manifolds [SY79, SY19]. Such a result is also obtained for fill-ins with a negative scalar curvature lower bound.

This fact was previously demonstrated by Gromov [Gro18] for spin manifolds. More precisely, he showed that if  $(\Omega, g)$  is a NNSC spin fill-in of  $(\Sigma, \gamma, H)$ , then

$$\min_{\Sigma} H \le \frac{n}{\operatorname{Rad}(\Sigma, \gamma)}$$

where  $\operatorname{Rad}(\Sigma, \gamma)$  is a constant only depending on  $(\Sigma, \gamma)$  and known as the hyperspherical radius of  $(\Sigma, \gamma)$ . The main remark here, which is the key point of our argument, is that the nonexistence of NNSC spin fill-ins can be obtained by taking another route. Indeed, it can be deduced from from an eigenvalue estimate on the first eigenvalue  $\lambda_1(\Sigma, \gamma)$  of the Dirac operator of  $(\Sigma, \gamma)$  proved by Hijazi, Montiel and Zhang [HMZ01] and which states that

$$\min_{\Sigma} H \le 2|\lambda_1(\Sigma,\gamma)|. \tag{1}$$

Since  $\lambda_1(\Sigma, \gamma)$  depends only on  $\Sigma$ ,  $\gamma$  and the involved spin structure, the nonexistence of NNSC spin fill-ins is a direct consequence of (1). This inequality is sharp since round balls in the Euclidean space satisfy the equality case of (1). Note that a similar result can

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### SIMON RAULOT

be deduced for spin fill-ins with a negative scalar curvature lower bound from [HMR03] as in [Gro18].

In this note, we use the aforementioned observation to generalize this result in the context of spin fill-ins satisfying the dominant energy condition (DEC). Following [Bar97], a 5-uple  $(\Sigma, \gamma, H, \alpha, \mathfrak{h})$  is called a spacetime Bartnik data set if  $(\Sigma, \gamma)$  is an oriented, closed Riemannian manifold, H and  $\mathfrak{h}$  are smooth functions on  $\Sigma$  and  $\alpha$  is a smooth 1-form on  $\Sigma$ . In this situation, a triplet  $(\Omega, g, k)$  is a fill-in of such a spacetime Bartnik data if

- (1)  $(\Omega, g, k)$  is a compact initial data set, that is  $(\Omega, g)$  is an (n + 1)-dimensional compact Riemannian manifold with boundary and k is a smooth symmetric (0, 2)-tensor field on  $\Omega$ ,
- (2) there exists an isometry  $f: (\Sigma, \gamma) \to (\partial\Omega, g_{|\partial\Omega})$  such that
  - (a)  $f^*H_g = H$ , where  $H_g$  is the mean curvature of  $\partial\Omega$  in  $(\Omega, g)$  with respect to the outward unit normal  $\tilde{\nu}$ ,
  - (b)  $f^*(k(\widetilde{\nu}, \cdot)^T) = \alpha$ ,
  - (c)  $f^*(\operatorname{Tr}_{q_{|\partial\Omega}} k) = \mathfrak{h}.$

Here  $\operatorname{Tr}_{g_{|\partial\Omega}}$  denotes the trace operator on  $\partial\Omega$  and  $\omega^T$  is the tangent part to  $\Sigma$  of a 1-form  $\omega$  defined along  $\Sigma$ . In the following, we will omit the isometry f in the identification between  $\Sigma$  and  $\partial\Omega$ . Then, a fill-in  $(\Omega, g, k)$  of  $(\Sigma, \gamma, H, \alpha, \mathfrak{h})$  satisfies the dominant energy condition, or is a DEC fill-in, if

 $\mu \ge |J|_g$ 

where  $\mu$  and J are respectively the mass density and the current density defined by

$$\mu = \frac{1}{2} \left( R_g + (\operatorname{Tr}_g k)^2 - |k|_g^2 \right)$$

and

$$J = \operatorname{div}_g \left( k - (\operatorname{Tr}_g k)g \right).$$

Here  $R_g$  and  $\text{Tr}_g$  denote respectively the scalar curvature and the trace operator of  $(\Omega, g)$ . In this situation, a natural generalization of the mean curvature is given by the function

$$\mathcal{H}_g := H_g - \sqrt{|k(\widetilde{\nu}, \cdot)^T|_g^2 + (\operatorname{Tr}_{g|\partial\Omega} k)^2}$$

which corresponds, for a spacetime Bartnik data, to

$$\mathcal{H} := f^* \mathcal{H}_g = H - \sqrt{|\alpha|_{\gamma}^2 + \mathfrak{h}^2}.$$
(2)

When  $\Sigma$  is endowed with a spin structure, we will say that  $(\Omega, g, k)$  is a DEC spin fill-in of the spacetime Bartnik data  $(\Sigma, \gamma, H, \alpha, \mathfrak{h})$  if  $(\Omega, g, k)$  is a DEC fill-in and if  $\Omega$  is a spin manifold which induces the given spin structure on  $\Sigma$ . We then have the following result.

**Theorem 1.** Given any Riemannian metric  $\gamma$  on an n-dimensional spin manifold  $\Sigma$ , there exists a constant  $\mathcal{H}_0$ , depending only on  $\Sigma$ ,  $\gamma$  and the spin structure of  $\Sigma$ , such that, if  $\min_{\Sigma} \mathcal{H} \geq \mathcal{H}_0$ , there do not exist DEC spin fill-ins of  $(\Sigma, \gamma, H, \alpha, \mathfrak{h})$ . This question was tackled by Tsang in [Tsa22] where several partial results are proved. We remark that if k = 0 then  $\alpha = 0$  and  $\mathfrak{h} = 0$ , and the DEC gives the nonnegativity of the scalar curvature so that a DEC fill-in of  $(\Sigma, \gamma, H)$  corresponds to a NNSC fill-in. In a same way, if k = cg,  $c \neq 0$ , then  $\alpha = 0$  and  $\mathfrak{h} = nc$ , and the DEC condition implies that the scalar curvature of  $(\Omega, g)$  is bounded from below by a negative constant, namely  $R_g \geq -n(n+1)c^2$ . These remarks imply that our result covers both of these cases. As mentioned above, the proof is a direct consequence of an eigenvalue estimate for the first eigenvalue of the Dirac operator of a spacetime Bartnik spin data which admits a DEC spin fill-in. This lower bound is stated as follow.

**Theorem 2.** If a spacetime Bartnik spin data  $(\Sigma, \gamma, H, \alpha, \mathfrak{h})$  admits a DEC spin fill-in  $(\Omega, g, k)$  with  $\mathcal{H} > 0$ , then the first eigenvalue  $\lambda_1(\Sigma, \gamma)$  of the Dirac operator of  $(\Sigma, \gamma)$  satisfies

$$\min_{\Sigma} \mathcal{H} \le 2|\lambda_1(\Sigma,\gamma)|.$$

One can consider  $\mathcal{F}_{spin}(\Sigma, \gamma)$ , the set of the DEC spin fill-ins of the Riemannian spin manifold  $(\Sigma, \gamma)$  without specifying the data H,  $\alpha$  and  $\mathfrak{h}$ . Then Theorem 2 implies that if  $\mathcal{F}_{spin}(\Sigma, \gamma) \neq \emptyset$ , it holds that

$$\sup_{(\Omega,g,k)\in\mathcal{F}_{spin}(\Sigma,\gamma)}\min_{\Sigma}\mathcal{H}\leq 2|\lambda_1(\Sigma,\gamma)|<\infty.$$

The proof of Theorem 2 relies on spin geometry and we refer especially to  $[BHM^{+}15,$ Fri98, Gin09 for more details on this subject. Let us briefly recall what we need here. Since  $(\Omega, q)$  is a Riemannian spin manifold, there exists a smooth Hermitian vector bundle over  $\Omega$ , the spinor bundle, denoted by  $\mathbf{S}\Omega$ , whose sections are called spinor fields. The Hermitian scalar product is denoted by  $\langle , \rangle$ . Moreover, the tangent bundle  $T\Omega$  acts on  $\mathbf{S}\Omega$  by Clifford multiplication  $X \otimes \psi \mapsto c(X)\psi$  for any tangent vector fields X and any spinor fields  $\psi$ . On the other hand, the Riemannian Levi-Civita connection  $\nabla$  lifts to the so-called spin Levi-Civita connection, also denoted by  $\nabla$ , and defines a metric covariant derivative on  $S\Omega$  that preserves the Clifford multiplication. A quadruplet  $(\mathbf{S}\Omega, c, \langle , \rangle, \nabla)$  which satisfies the previous assumptions is usually referred to as a Dirac bundle. The Dirac operator is then the first order elliptic differential operator acting on  $\mathbf{S}\Omega$  defined by  $D := c \circ \nabla$ . The spin structure on  $\Omega$  induces, via a choice of an unit normal field to  $\partial \Omega \simeq \Sigma$ , a spin structure on  $\Sigma$ . This allows to define the *extrinsic* spinor bundle  $\beta := \mathbf{S}\Omega_{|\Sigma}$  over  $\Sigma$  on which there exists a Clifford multiplication  $\not{c}$  and a metric covariant derivative  $\nabla$ . The quadruplet  $(\beta, c, \langle , \rangle, \nabla)$  is thus endowed with a Dirac bundle structure. Similarly, the extrinsic Dirac operator is defined by taking the Clifford trace of the covariant derivative  $\nabla$  that is  $\mathcal{D} := c \circ \nabla$ . It is by now well-known that this operator can be expressed using the Dirac operator  $D_{\Sigma}$  of  $(\Sigma, \gamma)$  endowed with the induced spin structure. What is important to us here is that the first nonnegative eigenvalue of the extrinsic Dirac operator  $\mathbb{D}$  corresponds to  $|\lambda_1(\Sigma, \gamma)|$ , the absolute value of the first eigenvalue of  $D_{\Sigma}$  and so it only depends on  $(\Sigma, \gamma)$  and the spin structure on Σ.

Proof of Theorem 2: Let  $(\Omega, g, k)$  be a DEC spin fill-in of the spacetime Bartnik spin data  $(\Sigma, \gamma, H, \alpha, \mathfrak{h})$  and consider the modified spin covariant derivatives defined by

$$\nabla_X^{\pm}\psi := \nabla_X\psi \pm \frac{i}{2}c\big(k(X)\big)\psi \tag{3}$$

### SIMON RAULOT

for  $X \in \Gamma(T\Omega)$  and  $\psi \in \Gamma(\mathbf{S}\Omega)$ . The associated Dirac-type operators given by  $D^{\pm} := c \circ \nabla^{\pm}$  are easily seen to satisfy

$$D^{\pm}\psi = D\psi \mp \frac{i}{2}(\operatorname{Tr}_{g} k)\psi.$$
(4)

These are first order elliptic differential operators whose formal adjoints, with respect to the  $L^2$  scalar product on  $\mathbf{S}\Omega$ , are  $D^{\mp}$  as deduced from the following integration by parts formulae

$$\int_{\Omega} \langle D^{\pm}\psi, \varphi \rangle d\mu = \int_{\Omega} \langle \psi, D^{\mp}\varphi \rangle d\mu - \int_{\Sigma} \langle c(\nu)\psi, \varphi \rangle d\sigma$$
(5)

for all smooth spinor fields  $\psi$ ,  $\varphi$  on  $\Omega$ . Here  $d\mu$  (resp.  $d\sigma$ ) denotes the Riemannian volume (resp. area) element of  $(\Omega, g)$  (resp.  $(\Sigma, \gamma)$ ) and  $\nu$  is the inner unit normal to  $\Sigma$  in  $(\Omega, g)$ . In a same way, a straightforward computation implies that

$$(\nabla^{\pm})^* \nabla^{\pm} \psi = -\sum_{j=1}^{n+1} \nabla^{\mp}_{e_j} \nabla^{\pm}_{e_j} \psi$$
(6)

where  $(\nabla^{\pm})^*$  denote the formal adjoints of the modified connection  $\nabla^{\pm}$  and  $\{e_1, \cdots, e_{n+1}\}$  is a local g-orthonormal frame of  $T\Omega$ . In particular, the Stokes formula leads to

$$\int_{\Omega} \langle \left(\nabla^{\pm}\right)^* \nabla^{\pm} \psi, \psi \rangle d\mu = \int_{\Omega} |\nabla^{\pm} \psi|^2 d\mu + \int_{\Sigma} \langle \nabla^{\pm}_{\nu} \psi, \psi \rangle d\sigma.$$
(7)

Then, it follows from the fact that  $(D^{\pm})^* = D^{\mp}$ , from (6) and the classical Schrödinger-Lichnerowicz formula

$$D^2\psi = \nabla^*\nabla\psi + \frac{R_g}{4}\psi$$

that

$$(D^{\pm})^* D^{\pm} \psi = (\nabla^{\pm})^* \nabla^{\pm} \psi + \frac{1}{2} (\mu \psi \pm i c(J) \psi)$$
(8)

for all  $\psi \in \Gamma(\mathbf{S}\Omega)$ . This is the (n+1)-dimensional Riemannian counterpart of the formula obtained by Witten [Wit81] in his proof of the positive energy theorem. Now observe that since the point-wise symmetric endomorphism  $J^{\pm} := \pm ic(J)$  satisfies  $(J^{\pm})^2 \psi = |J|_q^2 \psi$  it holds that

$$\langle J^{\pm}\psi,\psi\rangle \ge -|J|_g|\psi|^2$$

so that the DEC and (8) imply the point-wise inequalities

$$\langle \left(D^{\pm}\right)^* D^{\pm}\psi,\psi\rangle \geq \langle \left(\nabla^{\pm}\right)^* \nabla^{\pm}\psi,\psi\rangle$$

for all  $\psi \in \Gamma(\mathbf{S}\Omega)$ . Now integrating by part these estimates on  $\Omega$  using (5) and (7) leads to the following important integral inequalities

$$\int_{\Omega} \left( |\nabla^{\pm}\psi|^2 - |D^{\pm}\psi|^2 \right) d\mu \le - \int_{\Sigma} \langle \nabla^{\pm}_{\nu}\psi + c(\nu)D^{\pm}\psi, \psi \rangle d\sigma.$$
(9)

From the very definitions (3) and (4) of the modified covariant derivatives and the associated Dirac operators, we compute that

where

$$\mathcal{V} := \alpha^{\sharp} + \mathfrak{h}\nu \in \Gamma(T\Omega_{|\Sigma})$$

since  $(\Omega, g, k)$  is a fill-in of the data  $(\Sigma, \gamma, H, \alpha, \mathfrak{h})$ . Here  $\sharp : T^*\Omega \to T\Omega$  denotes the classical musical isomorphism between the cotangent bundle and the tangent bundle. Observe that the endomorphisms  $\mathcal{V}^{\pm} := \pm ic(\mathcal{V})$  of  $\mathscr{S}$  is point-wise symmetric with respect to the Hermitian structure and satisfies  $(\mathcal{V}^{\pm})^2\psi = |\mathcal{V}|^2\psi$  in such a way that

$$\langle \mathcal{V}^{\pm}\psi,\psi\rangle \ge -|\mathcal{V}|_g|\psi|^2 = -\sqrt{\mathfrak{h}^2 + |\alpha|_{\gamma}^2} |\psi|^2 \tag{11}$$

for all  $\psi \in \Gamma(\beta)$ . Combining (9), (10) and (11) yields the following integral inequalities

$$\int_{\Omega} \left( |\nabla^{\pm}\psi|^2 - |D^{\pm}\psi|^2 \right) d\mu \le \int_{\Sigma} \langle D\!\!\!/\psi - \frac{1}{2} \mathcal{H}\psi, \psi \rangle d\sigma.$$
(12)

which hold for all  $\psi \in \Gamma(\mathbf{S}\Omega)$  and where  $\mathcal{H}$  is the generalized mean curvature function defined in (2).

Now we are going to show that one can extend any spinor fields on  $\Sigma$  in a suitable way. For this, we recall that the map  $\chi := ic(\nu)$  is a boundary chirality operator (in the sense of [BB12, Example 7.26]) and so it is an orthogonal involution of  $\beta$  which induces an orthogonal splitting  $\beta = \beta^+ \oplus \beta^-$  into the eigenbundles of  $\chi$  for the eigenvalues  $\pm 1$ . The associated projection maps  $P^{\pm} : \beta \to \beta^{\pm}$  define elliptic local boundary conditions for the Dirac-type operators  $D^{\pm}$  (see [BB12, Corollary 7.23] for example). This implies that the operators

$$D_{\pm}^{+}:\left\{\psi\in H^{1}(\mathbf{S}\Omega) / P^{\pm}\psi_{|\Sigma}=0\right\} \longrightarrow L^{2}(\mathbf{S}\Omega)$$

are of Fredholm type and that if  $\Phi \in \Gamma(\mathbf{S}\Omega)$  and  $\Psi \in \Gamma(\mathcal{S})$  are smooth spinor fields, any solutions  $\psi \in \Gamma(\mathbf{S}\Omega)$  of the boundary problem

$$\begin{cases} D^+\psi = \Phi & \text{on } \Omega\\ P^\pm\psi_{|\Sigma} = P^\pm\Psi & \text{on } \Sigma \end{cases}$$
(13)

are smooth. The same holds for the operators  $D_{\pm}^-$ . It turns out that these operators are isomorphisms. To prove this fact, we notice that it is enough to show that  $D_{\pm}^+$  and  $D_{\pm}^-$  are one-to-one since it follows from the integration by parts formulae (5) that the adjoint of  $D_{\pm}^+$  is  $D_{\pm}^-$ . So take  $\psi_{\pm}$ , non trivial, in the kernel of  $D_{\pm}^+$ , that is  $\psi_{\pm} \in \Gamma(\mathbf{S}\Omega)$ satisfies (13) with  $\Phi = 0$  and  $\Psi = 0$ . In particular,  $\psi_{\pm}$  is smooth on  $\Omega$ . On the other hand, from the self-adjointness of the Dirac operator  $\mathcal{P}$  and the fact that  $\mathcal{P}\chi = -\chi \mathcal{P}$ , we get that

$$\int_{\Sigma} \langle D\!\!\!\!/\psi, \psi \rangle d\sigma = 2 \int_{\Sigma} \operatorname{Re} \langle D\!\!\!\!/ (P^{\pm}\psi), P^{\mp}\psi \rangle d\sigma$$
(14)

for all  $\psi \in \Gamma(\mathbf{S}\Omega)$ . Using this formula for  $\psi = \psi_{\pm}$ , we deduce from (12) that

$$0 \le \int_{\Omega} |\nabla^{\pm}\psi_{\pm}|^2 d\mu \le -\frac{1}{2} \min_{\Sigma} \mathcal{H} \int_{\Sigma} |\psi_{\pm}|^2 d\sigma.$$

Since we assumed that  $\mathcal{H}$  is positive on  $\Sigma$ , we conclude that  $\psi_{\pm}$  is zero on  $\Sigma$  and  $\nabla^{\pm}\psi_{\pm} = 0$ . This leads to a contradiction since this last property implies that  $\psi_{\pm}$  is nowhere vanishing on  $\Omega$ . The same holds for  $D_{\pm}^-$ .

### SIMON RAULOT

Now take  $\Psi_1 \in \Gamma(\mathcal{S})$  be an eigenspinor for the operator  $\mathcal{D}$  associated with the eigenvalue  $|\lambda_1(\Sigma, \gamma)|$  and so, from the previous discussion, there exists an unique smooth solution  $\varphi \in \Gamma(\mathbf{S}\Omega)$  satisfying

$$\begin{cases} D^+\varphi = 0 & \text{on } \Omega\\ P^+\varphi_{|\Sigma} = P^+\Psi_1 & \text{on } \Sigma. \end{cases}$$

Taking  $\psi = \varphi$  in (12) and using the fact that

$$2\operatorname{Re}\langle P^{-}\Psi_{1}, P^{-}\varphi\rangle \leq |P^{-}\Psi_{1}|^{2} + |P^{-}\varphi|^{2},$$

finally lead to

$$0 \le \left( |\lambda_1(\Sigma, \gamma)| - \frac{1}{2} \min_{\Sigma} \mathcal{H} \right) \int_{\Sigma} |\varphi|^2 d\sigma$$

which implies the estimate of Theorem 2. To get this last inequality, we implicitly used the fact that

$$\begin{aligned} |\lambda_1(\Sigma,\gamma)| \int_{\Sigma} |P^-\Psi_1|^2 d\sigma &= \int_{\Sigma} \langle \not\!\!D(P^+\varphi), P^-\Psi_1 \rangle d\sigma \\ &= \int_{\Sigma} \langle P^+\varphi, \not\!\!D(P^-\Psi_1) \rangle d\sigma \\ &= \int_{\Sigma} \langle P^+\varphi, P^+(\not\!\!D\Psi_1) \rangle d\sigma \\ &= |\lambda_1(\Sigma,\gamma)| \int_{\Sigma} |P^+\varphi|^2 d\sigma \end{aligned}$$

which follows from the identity (14) and the self-adjointness of  $\mathcal{D}$ .

We conclude this note by noticing that this method is probably easily generalized to other situations (like the Einstein-Maxwell equations with nonnegative cosmological constant).

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