



HAL
open science

Null-controllability of the Generalized Baouendi-Grushin heat like equations

Philippe Jaming, Yunlei Wang

► **To cite this version:**

Philippe Jaming, Yunlei Wang. Null-controllability of the Generalized Baouendi-Grushin heat like equations. 2023. hal-04245179v1

HAL Id: hal-04245179

<https://hal.science/hal-04245179v1>

Preprint submitted on 16 Oct 2023 (v1), last revised 17 Apr 2024 (v3)

HAL is a multi-disciplinary open access archive for the deposit and dissemination of scientific research documents, whether they are published or not. The documents may come from teaching and research institutions in France or abroad, or from public or private research centers.

L'archive ouverte pluridisciplinaire **HAL**, est destinée au dépôt et à la diffusion de documents scientifiques de niveau recherche, publiés ou non, émanant des établissements d'enseignement et de recherche français ou étrangers, des laboratoires publics ou privés.

NULL-CONTROLLABILITY OF THE GENERALIZED BAOUENDI-GRUSHIN HEAT LIKE EQUATIONS

PHILIPPE JAMING AND YUNLEI WANG

ABSTRACT. In this article, we prove null-controllability results for the heat equation associated to fractional Baouendi-Grushin operators

$$\partial_t u + (-\Delta_x - V(x)\Delta_y)^s u = 1_\Omega h$$

where V is a potential that satisfies some power growth conditions and the set Ω is thick in some sense. This extends previously known results for potentials $V(x) = |x|^{2k}$.

To do so, we study Zhu-Zhuge's spectral inequality for Schrödinger operators with power growth potentials, and give a precised quantitative form of it.

CONTENTS

1. Introduction	1
1.1. Null-controllability, observability and spectral inequalities	1
1.2. Generalized Baouendi-Grushin operator	4
1.3. Strategy of proof and outline of the work	7
2. Eigenfunctions of the Schrödinger operator	8
2.1. Lower bound of the first eigenvalue	9
2.2. Localization property of eigenfunctions	10
3. Spectral inequality for the Schrödinger operator	13
3.1. Precised form of Zhu-Zhuge's spectral inequality	13
3.2. Scaling the potential	16
3.3. From the spectral inequality to observability of scaled Schrödinger operators	20
4. Essential self adjointness of Baouendi-Grushin operators	24
5. Proof of the exact observability inequalities	25
6. Data availability	27
7. Funding and/or Conflicts of interests/Competing interests	27
References	27

1. INTRODUCTION

The aim of this paper is to prove null-controllability and observability from equidistributed subsets of \mathbb{R}^d for heat equations associated to Baouendi-Grushin type operators

$$\mathcal{L}_V(x, y) = -\Delta_x - V(x)\Delta_y, \quad x \in \mathbb{R}^n \text{ and } y \in \mathbb{R}^m \text{ or } \mathbb{T}^m$$

where the potential V has a power growth $c_1|x|^{\beta_1} \leq V(x) \leq c_2|x|^{\beta_2}$ and an upper bound on the gradient (for precise assumptions on V , see Assumptions [A1-A2](#) below). Let us now make this more precise.

1.1. Null-controllability, observability and spectral inequalities. First recall that null-controllability is defined as follows:

Definition 1.1 (Null-controllability). Let P be a closed operator on $L^2(\mathbb{R}^d)$ which is the infinitesimal generator of a strongly continuous semigroup $(e^{-tP})_{t \geq 0}$ on $L^2(\mathbb{R}^d)$, $T > 0$ and Ω be a measurable

subset of \mathbb{R}^d . The equation

$$(1.1) \quad \begin{cases} (\partial_t + P)u(t, x) = h(t, x)1_\Omega(x), & x \in \mathbb{R}^d, t > 0, \\ u|_{t=0} = u_0 \in L^2(\mathbb{R}^d), \end{cases}$$

is said to be *null-controllable from the set Ω in time $T > 0$* if, for any initial datum $u_0 \in L^2(\mathbb{R}^d)$, there exists $h \in L^2((0, T) \times \mathbb{R}^d)$, supported in $(0, T) \times \Omega$, such that the mild (or semigroup) solution of (1.1) satisfies $u|_{t=T} = 0$.

By the Hilbert Uniqueness Method, see [Co07, Theorem 2.44] or [Li88, TW09], the null controllability of the equation (1.1) is equivalent to the (final state) observability of the adjoint system

$$(1.2) \quad \begin{cases} (\partial_t + P^*)v(t, x) = 0, & x \in \mathbb{R}^d, t > 0, \\ v|_{t=0} = v_0 \in L^2(\mathbb{R}^d), \end{cases}$$

where P^* stands for the $L^2(\mathbb{R}^d)$ -adjoint of P . This notion of observability is defined as follows:

Definition 1.2 (Observability). Let $T > 0$ and Ω be a measurable subset of \mathbb{R}^d . Equation (1.2) is said to be *observable from the set Ω in time $T > 0$* if there exists a positive constant $C_T > 0$ such that, for any initial datum $v_0 \in L^2(\mathbb{R}^d)$, the mild (or semigroup) solution of (1.2) satisfies

$$\int_{\mathbb{R}^d} |v(T, x)|^2 dx \leq C_T \int_0^T \left(\int_{\Omega} |v(t, x)|^2 dx \right) dt.$$

Null-controllability/observability problems of heat equations associated to elliptic operators on domains is a an old and vast subject (see [Co07, Li88, TW09] and references therein). More recently, following the seminal work by K. Beauchard, P. Cannarsa and R. Guglielmi [CBG13], research about null-controllability properties of heat equations associated to degenerate hypo-elliptic operators of the Baouendi-Grushin type have attracted a lot of attention (see e.g. [FrMu16, Koe17, DK20, DKR22, BMM15, BDE20, ABM21, Lis22]).

In another direction, there has been a lot of recent activity on null-controllability/observability problems for operators P defined on the whole space \mathbb{R}^n and sets ω satisfying various thickness conditions. The first result in this direction concerns the heat equation on \mathbb{R}^d ($P = \Delta$), and observability from so-called thick sets. To define this notion, let us introduce the following notation: we denote by $\mathcal{B}_r(z)$ the Euclidean ball with radius r centered on z and $\mathcal{B}_r = \mathcal{B}_r(0)$. We write $\mathcal{Q}_r = [-r/2, r/2]^d$ and $\mathcal{Q}_r(z) = z + \mathcal{Q}_r$ denotes the cube with side length r centered on z . The Lebesgue measure of a set $E \subset \mathbb{R}^d$ will be denoted by $|E|$.

Definition 1.3. Let $\gamma \in (0, 1)$ and $\ell > 0$. A set $\omega \subset \mathbb{R}^d$ is said to be γ -thick (at scale $\ell > 0$) if, for every $z \in \mathbb{R}^d$,

$$|\omega \cap (z + \mathcal{Q}_\ell)| \geq \gamma |\mathcal{Q}_\ell|.$$

We will say that ω is thick, if it is γ -thick at scale ℓ for some $\gamma \in (0, 1)$ and $\ell > 0$.

It is easy to check that the notion of thickness does not depend on the norm used to define it, in particular cubes may be replaced by balls. In other words, ω is thick if and only if there is a $\gamma' \in (0, 1)$ and an $\ell' > 0$ such that, for every $z \in \mathbb{R}^d$, $|\omega \cap (z + \mathcal{B}_{\ell'})| \geq \gamma' |\mathcal{B}_{\ell'}|$.

It was then proven in [EV18] and independently in [WWZZ19] that the heat equation on \mathbb{R}^d is controllable/observable from a set ω if and only if ω is thick:

Theorem 1.4 (Egidi & Veselić [EV18], Wang, Wang, Zhang & Zhang [WWZZ19]). *Let $\omega \subset \mathbb{R}^d$ and $T > 0$. Then the following are equivalent:*

- (i) Ω is thick;
- (ii) *Observability: there exists a constant $C > 0$ such that, for every $f \in L^2(\mathbb{R}^d)$,*

$$\|e^{-T\Delta} f\|_{L^2(\mathbb{R}^d)}^2 \leq C \int_0^T \|e^{-t\Delta} f\|_{L^2(\Omega)}^2 dt.;$$

- (iii) *Controllability: For every $u_0 \in L^2(\mathbb{R}^d)$ there exists $h \in L^2((0, T) \times \Omega)$ such that the solution of the heat equation $\partial_t u - \Delta_x u = h(t, x)1_\Omega(x)$ with initial condition $u(0, x) = u_0(x)$ satisfies $u(T, x) = 0$.*

Soon after, the case of heat equations associated to some Schrödinger operators

$$P = H_V := -\Delta_x + V(x), \quad x \in \mathbb{R}^d,$$

started to be investigated. For $V = |x|^2$, P is the harmonic oscillator and observability inequalities from different kinds of ω were established, see [BPS18, BJPS21, ES21, MPS22, DSV23]. For $V = |x|^{2k}$, null controllability and observability inequalities were established for $P = H_V$ in [AS23, Alp20, MPS22, Mi09, Ma22]. Very recently, in [AS23], P. Alphonse and A. Seelman extended some of those results to Baouendi-Grushin operators $P = \mathcal{L}_{|x|^{2k}}$. Our aim here is to pursue this line of research by extending the class of potentials V .

All those results require various restrictions on ω . Apart from thick sets that we already defined, we now need to introduce two further classes. The first one was introduced in control theory in [RMV13] and consists of a particular class of thick sets and are those one would naturally consider if one wants to construct such sets:

Definition 1.5. Let $\gamma \in (0, 1)$ and $0 \leq \sigma < 1$.

- (i) A set $\omega \subset \mathbb{R}^d$ is said to be γ -*equidistributed* or simply *equidistributed* if there exists a set of points $\{z_k\}_{k \in \mathbb{Z}^d} \subset \mathbb{R}^d$ such that, for every k

$$\omega \cap (k + \mathcal{Q}_1) \supset \mathcal{B}_\gamma(z_k).$$

Since [RMV13], a larger class has appeared:

- (ii) ω is (γ, σ) -*distributed* if there exists a set of points $\{z_k\}_{k \in \mathbb{Z}^d} \subset \mathbb{R}^d$ such that, for every $k \in \mathbb{Z}^d$,

$$z_k \in k + \mathcal{Q}_1 \quad \text{and} \quad \omega \cap (k + \mathcal{Q}_1) \supset \mathcal{B}_{\gamma+|k|^\sigma}(z_k).$$

Note that a $(\gamma, 0)$ -distributed set is $\sqrt{\gamma}$ -equidistributed.

Next, thanks to the famous Lebeau-Robbiano method introduced in [LR95] (see also [TT11, BPS18, NTTV20, GST20]), the mentioned results are based on some form of Spectral Inequality. To be more precise, recall that a spectral inequality for a nonnegative selfadjoint operator P in $L^2(\mathbb{R}^d)$ takes the form

$$(1.3) \quad \|\phi\|_{L^2(\mathbb{R}^d)}^2 \leq \kappa_0 e^{\kappa_1 \lambda^\zeta} \|\phi\|_{L^2(\omega)}^2, \quad \forall \phi \in \mathcal{E}_P(\lambda), \lambda \geq 0,$$

where ω is a measurable subset of \mathbb{R}^d , $\mathcal{E}_P(\lambda)$ are the spectral sets associated to P , and $\kappa_0, \kappa_1, \zeta$ are constants. Such an inequality is a quantitative version of a unique continuation property (i.e., $f = 0$ on ω implies $f = 0$ on \mathbb{R}^d).

In the case of $P = -\Delta$ being the Laplacian on \mathbb{R}^d , this inequality is a reformulation of Kovrijkine's sharp version of the Logvinenko-Sereda Uncertainty Principle [Kov01] and is valid if (and only if) ω is γ -thick for some $\gamma > 0$. The strategy of proof of Kovrijkine is very powerful and the authors of several of the results mentioned so far have managed to implement this strategy in different settings.

Alternative strategies are based on Carleman estimates and allow for potentials V that are less regular at the price of having slightly more regular sets ω . In this direction, Dicke, Seelmann and Veselić [DSV22] recently considered the Schrödinger operator with power growth potentials and a set ω that is (γ, σ) -distributed. Precisely speaking, they establish the spectral inequality (1.3) when the potential $V \in W_{\text{loc}}^{1, \infty}(\mathbb{R}^d)$ has suitable power growth.

Shortly after, Zhu and Zhuge [ZZ23] improved the exponent of λ in (1.3) for a slightly larger class of potentials (thus positively answering to the questions asked in [DSV22]), namely those satisfying the following assumption:

Assumption A. $V \in L_{\text{loc}}^1(\mathbb{R}^d)$ is real valued and there are constants $c_1, c_2 > 0$ and $0 < \beta_1 \leq \beta_2$ such that

$$(1.4) \quad \begin{aligned} & \text{(i) for every } x \in \mathbb{R}^d, \\ & c_1(|x| - 1)_+^{\beta_1} \leq V(x). \end{aligned}$$

where $(a)_+ := \max\{a, 0\}$;

(ii) we can write $V = V_1 + V_2$ with

$$|V_1(x)| + |\nabla V_1(x)| + |V_2(x)|^{\frac{4}{3}} \leq c_2(|x| + 1)^{\beta_2}$$

for every $x \in \mathbb{R}^d$.

The main result of Zhu and Zhuge [ZZ23] is then that, when $P = H_V := -\Delta + V$ with V satisfying assumption **A** and ω a (γ, σ) -distributed set,

$$(1.5) \quad \|\phi\|_{L^2(\mathbb{R}^d)}^2 \leq \kappa_0 \left(\frac{1}{\gamma}\right)^{\kappa_1 \lambda^\zeta} \|\phi\|_{L^2(\omega)}^2, \quad \forall \phi \in \mathcal{E}_P(\lambda), \lambda \geq 0,$$

where $\zeta = \frac{2\sigma + \beta_2}{2\beta_1}$ (thus improving the exponent $\zeta = \frac{3\sigma + 2\beta_2}{3\beta_1}$ in [DSV22]). Note for future use that [ZZ23, DSV22] do not provide estimates of the constants κ_0, κ_1 in (1.3) in terms of c_1, c_2 that we will need here. We will thus revisit their proofs in Theorem 3.1 below in order to obtain those estimates.

Also, in view of the results by L. Miller [Mi09] and J. Martin [Ma22], one should expect to be able to improve those results when $\beta_1 > 2$ by taking much smaller sets ω (in the case of the Baouendi-Grushin operator, ω can be any open set). We do not pursue in this direction here.

1.2. Generalized Baouendi-Grushin operator. Let us now move to the focus of this article. We will here consider observability/controlability properties of evolution equations

$$\partial_t u + Pu = 0$$

where P is an operator of Baouendi-Grushin type associated to a real-valued potential V ,

$$P = \begin{cases} \mathcal{L}_V := -\Delta_x - V(x)\Delta_y & x \in \mathbb{R}^n, y \in \mathbb{R}^m \\ \mathcal{L}_{V,p} := -\Delta_x - V(x)\Delta_y & x \in \mathbb{R}^n, y \in \mathbb{T}^m \end{cases}$$

where $\mathbb{T} = \mathbb{R}/2\pi\mathbb{Z}$ (by abuse of notation, we will write \mathcal{L}_V for both operators).

The potential V will satisfy some assumptions those are a bit stronger than Assumption **A** that will be made precisely soon and will cover both the Grushin operator

$$\Delta_G = \mathcal{L}_{|x|^2} := -\Delta_x - |x|^2 \Delta_y$$

and the Baouendi-Grushin operator

$$\Delta_k = \mathcal{L}_{|x|^{2k}} := -\Delta_x - |x|^{2k} \Delta_y, \quad k \text{ a positive integer.}$$

The first assumption we will consider is satisfied in the above case $V(x) = |x|^{2k}$, $k \in \mathbb{N}^*$ and more generally when $V(x) = |x|^\beta$, $\beta > 1$ and is defined as follows:

Assumption A1. $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ and there exist positive $c_1, c_2, \beta_1, \beta_2 > 0$ such that, for every $x \in \mathbb{R}^n$,

$$c_1|x|^{\beta_1} \leq V(x) \text{ and } |V(x)| + |\nabla V(x)| \leq c_2|x|^{\beta_2}.$$

Next we notice that $V(x) = |x|^\beta$ does not satisfy this assumption when $0 < \beta \leq 1$ and we will replace Assumption **A1** with the following weaker one:

Assumption A2. $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ and there exist positive $c_1, c_2, \beta_1, \beta_2 > 0$ such that the following two conditions are satisfied:

(i) for every $x \in \mathbb{R}^n$,

$$(1.6) \quad c_1|x|^{\beta_1} \leq V(x).$$

(ii) We can write $V = V_1 + V_2$ such that for every $x \in \mathbb{R}^n$,

$$|V_1(x)| + |\nabla V_1(x)| + |V_2(x)|^{\frac{4}{3}} \leq c_2(|x| + 1)^{\beta_2}.$$

Remark 1.6. Notice that, as $c_1 > 0$, $V = 0$ is excluded.

Further, if V satisfies Assumption **A1**, then setting $V_1 = V$ and $V_2 = 0$ we obtain that V also satisfies Assumption **A2**. As expected, our results will be stronger under Assumption **A1** than under Assumption **A2**.

On the other hand, let us consider the standard case $V = |x|^\beta$ with $0 < \beta \leq 1$. Take a smooth cut-off function η such that $\eta = 1$ in \mathcal{B}_1 and $\eta = 0$ in $\mathbb{R}^n \setminus \mathcal{B}_2$ and write $V_1 = |x|^\beta(1 - \eta(x))$ and $V_2(x) = |x|^\beta \eta(x)$,

then we see that V satisfies Assumption **A2**. This is the main reason for introduction of Assumption **A** in [ZZ23].

Also it should be noted that in [ZZ23] the original Assumption **A** is different from Assumption **A2** only in (1.4), in which the lower bound is $c_1(|x| - 1)_+^{\beta_1}$ instead of $c_1|x|^{\beta_1}$ in (1.6). This will play a key role in order to obtain a lower bound of the first eigenvalue of the Schrödinger operator $-\Delta + V(x)$ with suitable dependence on the parameter c_1 (see Subsection 2.1 for details).

Our main result gives conditions for null-controllability of the heat equation associated to $(-\Delta_x - V(x)\Delta_y)^s$ from sets of the form $\omega \times \mathbb{R}^m$, ω being γ -equidistributed.

Theorem 1.7. *Let $\gamma \in (0, 1/2)$, $\sigma \geq 0$, $s, T > 0$, $c_1, c_2, \beta_1, \beta_2 > 0$. Take $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ satisfying Assumption **A2** with parameters $c_1, c_2, \beta_1, \beta_2$. Let $s_* = \frac{\beta_1 + 2}{3}$.*

Let $\omega \subset \mathbb{R}^n$ be a γ -equidistributed set. Then the fractional Baouendi-Grushin heat equation associated to V

$$(E_{BG,s}) \quad \begin{cases} \partial_t u(t, x, y) + (-\Delta_x - V(x)\Delta_y)^s u(t, x, y) = h(t, x, y)1_{\omega \times \mathbb{R}^m}(x, y) \\ u(0, x, y) = u_0(x, y) \quad \text{for } (x, y) \in \mathbb{R}^n \times \mathbb{R}^m \end{cases} \quad \text{for } t > 0, (x, y) \in \mathbb{R}^n \times \mathbb{R}^m,$$

with initial condition $u_0 \in L^2(\mathbb{R}^n \times \mathbb{R}^m)$ is exactly null-controllable from $\omega \times \mathbb{R}^m$

- (i) *in any time $T > 0$ if $\beta_2 = \beta_1$ and $s > s_*$;*
- (ii) *in large enough time $T > T_* \gtrsim \ln\left(\frac{1}{\gamma}\right)$ if $\beta_2 = \beta_1$ and $s = s_*$.*

*If V further satisfies Assumption **A1**, then the same holds with the critical power $s_* = \frac{\beta_1 + 2}{4}$ instead of $\frac{\beta_1 + 2}{3}$.*

Our second result is that, in the presence of a second potential, the set ω can be sparser. More precisely, we have the following:

Proposition 1.8. *Let $\gamma \in (0, 1/2)$, $\sigma \geq 0$, $T > 0$, $c_1, c_2, \beta_1, \beta_2 > 0$ and $s > \frac{\beta_2 + 2\sigma}{2\beta_1}$. Take $V, \tilde{V} \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ satisfying Assumption **A2** with parameters $c_1, c_2, \beta_1, \beta_2$. Let $s_* = \frac{\beta_1 + 2}{3}$. Let $\omega \subset \mathbb{R}^n$ be a (γ, σ) -distributed set. Then the fractional Baouendi-Grushin-Schrödinger heat equation associated to V and \tilde{V}*

$$(E_{BGS,s}) \quad \begin{cases} \partial_t u(t, x, y) + (-\Delta_x - V(x)\Delta_y + \tilde{V}(x))^s u(t, x, y) = h(t, x, y)1_{\omega \times \mathbb{R}^m}(x, y) \\ u(0, x, y) = u_0(x, y) \quad \text{for } (x, y) \in \mathbb{R}^n \times \mathbb{R}^m \end{cases} \quad \text{for } t > 0, (x, y) \in \mathbb{R}^n \times \mathbb{R}^m,$$

with initial condition $u(0, \cdot, \cdot) = u_0 \in L^2(\mathbb{R}^n \times \mathbb{R}^m)$ is exactly null-controllable

- (i) *in any time $T > 0$ if $\beta_2 = \beta_1$ and $s > s_*$;*
- (ii) *in large enough time $T > T_* \gtrsim \ln\left(\frac{1}{\gamma}\right)$ if $\beta_2 = \beta_1$ and $s = s_*$.*

*If V further satisfies Assumption **A1**, then the same holds with the critical power $s_* = \frac{\beta_1 + 2}{4}$ instead of $\frac{\beta_1 + 2}{3}$.*

Finally, we also obtain a result on $\mathbb{R}^n \times \mathbb{T}^m$, that is, when the equation is periodic in the y variable. Here the sets ω need again to be γ -equidistributed, but there is a relaxation on the potential as the upper bound can now be of a different order than the lower bound ($\beta_2 > \beta_1$):

Theorem 1.9. *Let $\gamma \in (0, 1/2)$, $\sigma \geq 0$, $s, T > 0$, $c_1, c_2, \beta_1, \beta_2 > 0$. Take $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ satisfying Assumption **A2** with parameters $c_1, c_2, \beta_1, \beta_2$. Let $s_* = \frac{\beta_1 + 2}{3}$.*

Let $\omega \subset \mathbb{R}^n$ be a γ -equidistributed set. Then the semi-periodic fractional Baouendi-Grushin heat equation associated to V

$$(E_{pBG,s}) \quad \begin{cases} \partial_t u(t, x, y) + (-\Delta_x - V(x)\Delta_y)^s u(t, x, y) = h(t, x, y)1_{\omega \times \mathbb{R}^m}(x, y) \\ u(0, x, y) = u_0(x, y) \quad \text{for } (x, y) \in \mathbb{R}^n \times \mathbb{T}^m \end{cases} \quad \text{for } t > 0, (x, y) \in \mathbb{R}^n \times \mathbb{T}^m,$$

with initial condition $u(0, \cdot, \cdot) = u_0 \in L^2(\mathbb{R}^n \times \mathbb{T}^m)$ is exactly null-controllable

- (i) in any time $T > 0$ if $s > s_*$;
- (ii) in large enough time $T > T_* \gtrsim \ln\left(\frac{1}{\gamma}\right)$ if $s = s_*$.

If V further satisfies Assumption **A1**, then the same holds with the critical power $s_* = \frac{\beta_1 + 2}{4}$ instead of $\frac{\beta_1 + 2}{3}$.

Remark 1.10. For the sake of this last theorem, the main difference between the Baouendi-Grushin operator on $\mathbb{R}^n \times \mathbb{R}^m$ and $\mathbb{R}^n \times \mathbb{T}^m$ is that $L^2(\mathbb{T}^m)$ has an orthonormal basis of eigenvectors of the Laplace operator on \mathbb{T}^m . The same result would be true e.g. if \mathbb{T}^m is replaced by any compact Riemannian manifold S and Δ_y the Laplace-Beltrami operator on S .

Our proof does not extend to controllability from (γ, σ) -distributed sets mainly because 0 is an eigenvalue. This difficulty no longer arises when adding a second potential \tilde{V} satisfying the same assumption as V and considering

$$\partial_t u(t, x, y) + (-\Delta_x - V(x)\Delta_y + \tilde{V}(x))^s u(t, x, y) = h(t, x, y)1_{\omega \times \mathbb{T}^m}(x, y) \\ t > 0, (x, y) \in \mathbb{R}^n \times \mathbb{T}^m,$$

instead of $(E_{pBG,s})$.

The results have been recasted in the synthetic Table 1, Section 5 where we will show the corresponding observability inequalities.

Remark 1.11. In the standard case of $V(x) = |x|^\beta$, the null-controllability from sets of the form $\tilde{\omega} = \omega \times \mathbb{R}^m$ resp. $\tilde{\omega} = \omega \times \mathbb{T}^m$ of the evolution equation

$$(E_{\beta,s}) \quad \begin{cases} \partial_t u(t, x, y) + (-\Delta_x - |x|^\beta \Delta_y)^s u(t, x, y) = h(t, x, y)1_{\omega \times \mathbb{T}^m}(x, y) \\ t > 0, x \in \mathbb{R}^n, y \in \mathbb{R}^n \text{ resp. } \mathbb{T}^m, \end{cases}$$

with initial condition $u(0, \cdot, \cdot) = u_0 \in L^2(\mathbb{R}^n \times \mathbb{R}^m)$ resp. $L^2(\mathbb{R}^n \times \mathbb{T}^m)$. is summarized in the following picture:

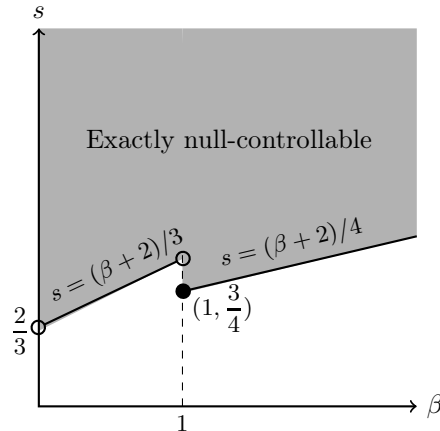


FIGURE 1. The standard case

Our results thus partially recover those of Alphonse and Seelmann [AS23]. The main loss is that our control sets are a bit less general. The main gain is that our potentials are more general.

Further, when $\beta = 2k$, Alphonse and Seelmann [AS23, Theorem 2.17] show that the evolution equation is never exactly null-controllable from any control support $\omega \subset \mathbb{R}^n \times \mathbb{T}^m$ satisfying $\bar{\omega} \cap \{x = 0\} = \emptyset$. This implies $s = (\beta + 2)/4$ is the critical value for $\beta = 2k \geq 2$. Based on our results, it is reasonable to conjecture that it is the critical value for all $\beta \geq 1$ under Assumption A1 and $\beta = \beta_1 = \beta_2$.

For the case $0 < \beta < 1$, it seems that the critical value may be a little worse. Indeed, we only obtain exactly null-controllability results up to $s = \frac{\beta + 2}{3} > \frac{\beta + 2}{4}$. One of the possible reasons may be the wilder behavior of $V = |x|^\beta$ around 0.

Our results presented above are in line with articles devoted to the study of null-controllability of $(E_{\beta,s})$ in bounded domains, see [CBG13, ABM21, BDE20, BMM15, DKR22, DK20, Koe17]. All results in these articles give a fact that the null-controllability of $(E_{\beta,s})$ is governed by minimal time as in Theorem 1.7 in the critical case $s = (\beta_1 + 2)/4$. Note that we have a larger critical point $s = (\beta_1 + 2)/3$ in Theorem 1.7 under Assumption A2. It is worthy to mention that in [Lis22, Theorem 1.2] the author considers the case of dimension $n = m = 1, \beta = 2$ and $s = 1$, and then proved the equation $(E_{\beta,s})$ is never exactly null-controllable from any control support of the form $\mathbb{R} \times \omega$ whenever $\bar{\omega} \neq \mathbb{R}$.

1.3. Strategy of proof and outline of the work. Our strategy of proof is near to the one developed in Alphonse and Seelmann's work in [AS23] and based on an earlier idea of Beauchard, Cannarsa and Guglielmi [CBG13]. To avoid technicalities, we concentrate on the non-fractional case ($s = 1$).

We observe that the operator $-\Delta_x + V(x)\Delta_y$ is self-adjoint when V is real valued so that null-controllability is equivalent to observability. The first step consists in taking a partial Fourier transform in the y -variable of u :

$$u^\lambda(t, x) = \int_{\mathbb{R}^m} u(t, x, y) e^{-i\langle y, \lambda \rangle} dy$$

so that we are lead to observability of the heat equation associated to Schrödinger operator

$$\partial_t u^\lambda - \Delta_x u^\lambda - \lambda^2 V(x) u^\lambda = 0.$$

We can then use results on the observability of this equation, in particular those of Zhu-Zhugue [ZZ23]. Note that the potential $V_\lambda = \lambda^2 V(x)$ now depends on the frequency parameter λ . The main difficulty is precisely to deal with this parameter. This has been done by Alphonse and Seelmann when V is a power function and is more difficult here and requires two key differences in the proof:

- (1) We use a different kind of spectral inequality, which we call Zhu-Zhugue's inequality given in [ZZ23, Theorem 1]. However, the original form of this theorem cannot be used directly, since it does not provide explicit dependence of the cost constant on the parameters in Assumptions A1-A2. Our first task is thus to convert Zhu-Zhugue's proof into a more quantitative one which leads us to an explicit form of the cost constant in the spectral inequality in terms of the parameters. This is vital for our proofs in order to invert the partial Fourier transform in the y -variable. This allows to take into account the frequency parameter λ .
- (2) The lowest eigenvalue of the Schrödinger operator $-\Delta + V$ is easily obtained in the case $V = c|x|^{2k}, k \in \mathbb{N}$ by the rescaling approach. It does not work for our general potentials under Assumption A1 or A2. To overcome this difficulty, we do not calculate the exact value of the lowest eigenvalue, instead we just calculate a lower bound which satisfies our needs. This allows us to deal with more general potentials.

In Theorem 1.7 the set ω is $(\gamma, 0)$ -distributed rather than a sparser (γ, σ) -distributed set. This comes from the fact that the spectral multiplier associated to $-\Delta_y$, namely $|\lambda|^2$ degenerates at $\lambda = 0$. This singularity is erased when adding a second potential as in Proposition 1.8 and explains why sparser sets are allowed there.

The remaining of the paper is organised as follows:

Section 2 is devoted to the spectral theory of Schrödinger operators $H_{r,V} = -\Delta + rV$ where $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ with a polynomial growth $V(x) \geq c|x|^\beta, c, \beta > 0$ and a scaling parameter $r > 0$. In the Section 2.1, we provide a lower bound of the lowest eigenvalue of $H_{r,V}$ in terms of the scaling parameter

while in the Section 2.2 we then provide a more quantitative version of the localization property of eigenfunctions of H_V first established in [DSV22, Theorem 1.4] and [ZZ23, Proposition 3].

Section 3 is then devoted to the precised form of Zhu-Zhuge's Spectral Inequality (1.5) in which we clarify the dependence of the constant κ_1 appearing there in terms of the parameters c_1, c_2 (and β_1, β_2). This allows us in Section 3.2 to obtain precised version of (1.5) in which κ_1 is estimated in terms of the scaling parameter r of the potential *i.e.* when applying (1.5) to H_{rV} instead of H_V . In Section 3.3, we conclude this section by computing an observability constant of H_{rV} from (γ, σ) -distributed sets and then bound this constant when r varies over $]0, 1[$ or $[1, +\infty)$.

Section 4 is devoted to well-posedness of the considered equations and also introduces some notation for the last section.

Finally, we prove Theorem 1.7, Proposition 1.8 and their y -periodic counterparts in Section 5 by establishing the corresponding observability inequalities. In the simplest cases, we also provide an explicit form of the observability constants.

Throughout the paper, we will write $A(x) \lesssim B(x)$ to say that there is a constant C that does not depend on the parameter x such that $A \leq CB$. At times, it will be more convenient to make the constants appear explicitly and in this case, they may change from line to line and still be called with the same letter.

2. EIGENFUNCTIONS OF THE SCHRÖDINGER OPERATOR

Let V be a real valued, non-negative function on \mathbb{R}^n with $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ and

$$\lim_{|x| \rightarrow +\infty} V(x) = +\infty$$

but for some integer m ,

$$\lim_{|x| \rightarrow +\infty} x^m V(x) = 0$$

and consider the associated Schrödinger operator

$$H_V f(x) = -\Delta f(x) + V(x)f(x).$$

This operator is well defined on $\mathcal{S}(\mathbb{R}^n)$ and extends to an (unbounded) self-adjoint operator on $L^2(\mathbb{R}^n)$. Further it is positive since, for every $f \in \mathcal{S}(\mathbb{R}^n)$,

$$\langle H_V f, f \rangle = \int_{\mathbb{R}^n} |\nabla f(x)|^2 + V(x)|f(x)|^2 dx \geq 0$$

The following is well-known (*see e.g.* [BS91]):

Theorem 2.1. *Let $c, \beta > 0$ and $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ be such that $V(x) \geq c|x|^\beta$. Then there exists a sequence $(\lambda_k)_{k \in \mathbb{N}}$, with $0 \leq \lambda_0 \leq \lambda_1 \leq \dots$ and $|\lambda_k| \rightarrow +\infty$ and an orthonormal basis $(\phi_k)_{k \in \mathbb{N}}$ of $L^2(\mathbb{R}^n)$ consisting of eigenvectors of H_V , $\phi_k \in H^1(\mathbb{R}^n)$ and $H_V \phi_k = \lambda_k \phi_k$. Moreover, there exists $a, C > 0$ such that, for every x ,*

$$|\phi_k(x)| \leq C \exp(-a|x|^{1+\frac{\beta}{2}}).$$

Notation 2.2. We will write $\mathcal{E}_V(\lambda) = \mathcal{E}_{H_V}(\lambda)$ for the spectral set associated to H_V , that is

$$\mathcal{E}_V(\lambda) = \text{span}\{\phi_k : k \text{ s.t. } \lambda_k \leq \lambda\}.$$

In the remaining of this section, we assume that the potential $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ satisfies a global estimate

$$V(x) \geq c|x|^\beta$$

which is common to Assumptions A1 and A2. We first compute a lower bound of the lowest eigenvalue $\lambda_0(V)$. We then give a detailed decay estimate of linear combinations of eigenfunctions for the Schrödinger operator in terms of the parameters c, β .

2.1. Lower bound of the first eigenvalue. We start with the estimate of the first eigenvalue.

Proposition 2.3. *Let $V \in L^1_{\text{loc}}(\mathbb{R}^n)$ and assume that there are $c, \beta > 0$ such that $V \geq c|x|^\beta$. Let $\lambda_0(V)$ be the lowest eigenvalue of the operator $H_V = -\Delta_x + V(x)$. Then we have*

$$(2.1) \quad \lambda_0(V) \geq \mu_* := c^{\frac{2}{\beta+2}} \lambda_*$$

where λ_* is a positive constant and depends only β and n .

The proof is based on the following result by Barnes, Brascamp and Lieb:

Theorem 2.4 (Barnes, Brascamp and Lieb, [BBL76]). *For all $a > 0$, define*

$$I_V(a) = \int_{\mathbb{R}^n} e^{-aV(x)} dx$$

and assume that, for every $a > 0$, $I_V(a) < +\infty$. Then we have

$$\lambda_0(V) \geq \sup_{t>0} t \left[n + \frac{n}{2} \ln \frac{\pi}{t} - \ln I_V \left(\frac{1}{t} \right) \right].$$

Now we finish the proof of Proposition 2.3.

Proof of Proposition 2.3. In the case of $V(x) = c|x|^\beta$, a change into polar coordinates and then a change of variable $s = acr^\beta$ shows that

$$I_{c|x|^\beta}(a) = \int_{\mathbb{R}^n} e^{-ac|x|^\beta} dx = \sigma_n \int_0^{+\infty} e^{-acr^\beta} r^{n-1} dr = \sigma_n \int_0^{+\infty} e^{-s} \left(\frac{s}{ac} \right)^{\frac{n}{\beta}} \frac{ds}{\beta s} = \frac{\sigma_n}{\beta(ac)^{n/\beta}} \Gamma \left(\frac{n}{\beta} \right)$$

where $\sigma_n = \frac{2\pi^{n/2}}{\Gamma(n/2)}$ is the surface measure of the unit ball in \mathbb{R}^n , and $\Gamma(z) = \int_0^\infty t^{z-1} e^{-t} dt$ is the Gamma function. It follows that

$$\lambda_0(c|x|^\beta) \geq \sup_{t>0} t \left[n - \ln \frac{2}{\beta} \frac{\Gamma \left(\frac{n}{\beta} \right)}{\Gamma \left(\frac{n}{2} \right)} - n \left(\frac{1}{\beta} + \frac{1}{2} \right) \ln t + \frac{n}{\beta} \ln c \right].$$

The maximum is attained when

$$n - \ln \frac{2\pi^{\frac{n}{2}}}{\beta} \frac{\Gamma \left(\frac{n}{\beta} \right)}{\Gamma \left(\frac{n}{2} \right)} - n \left(\frac{1}{\beta} + \frac{1}{2} \right) \ln t + \frac{n}{\beta} \ln c = n \left(\frac{1}{\beta} + \frac{1}{2} \right)$$

so that

$$\lambda_0(c|x|^\beta) \geq n \frac{\beta+2}{2\beta} \exp \left(\frac{\beta-2}{\beta+2} \right) \left(\frac{\beta}{2\pi^{\frac{n}{2}}} \frac{\Gamma \left(\frac{n}{2\pi^{\frac{n}{2}}} \right)}{\Gamma \left(\frac{n}{\beta} \right)} \right)^{\frac{2\beta}{n(\beta+2)}} c^{\frac{2}{\beta+2}} := \lambda_* c^{\frac{2}{\beta+2}}.$$

Note that, by definition, λ_* depends only on β and n .

Finally, if $V(x) \geq c|x|^\beta$, it is obvious that $I_V(a) \leq I_{c|x|^\beta}(a)$. Hence we obtain

$$\lambda_0(V) \geq \lambda_0(c|x|^\beta) \geq \lambda_* c^{\frac{2}{\beta+2}}$$

as claimed. \square

From this, we immediately obtain the following:

Corollary 2.5. *Let $V \in L^1_{\text{loc}}(\mathbb{R}^n)$ and assume that there are $c, \beta > 0$ such that $V(x) \geq c|x|^\beta$ for every $x \in \mathbb{R}^n$. Let $r > 0$ $H_{rV} = -\Delta_x + rV(x)$. Then, for every $f \in L^2(\mathbb{R}^n)$ and every $s, t > 0$,*

$$\left\| e^{-tH_{rV}^s} f \right\|_{L^2(\mathbb{R}^n)} \leq e^{-tr \frac{2s}{\beta+2} \mu_*} \|f\|_{L^2(\mathbb{R}^n)}.$$

where μ_* is defined in (2.1) and is thus a positive constant that depends only c, β and n .

2.2. Localization property of eigenfunctions. In this section we still assume that $V(x) \geq c|x|^\beta$ and prove the following localization (or decay) property of eigenfunctions which is adapted from [DSV22, Theorem 1.4] and [ZZ23, Proposition 3] but with more precise quantitative estimates.

Proposition 2.6. *Assume that $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ is such that $V(x) \geq c|x|^\beta$ and let $H_V = -\Delta + V$. Let $\lambda > 0$ and $\phi \in \mathcal{E}_V(\lambda)$ then*

$$\|\phi\|_{L^2(\mathbb{R}^n)} \leq 2\|\phi\|_{L^2(\mathcal{B}_\rho(0))} \quad \text{and} \quad \|\phi\|_{H^1(\mathbb{R}^n)} \leq 2\|\phi\|_{H^1(\mathcal{B}_\rho(0))}$$

with

$$(2.2) \quad \rho = \hat{C} \left(\frac{n+4}{2\beta} \log_+ \frac{\lambda+1}{c} + \left(\frac{\lambda+2}{c} \right)^{1/\beta} + 1 \right).$$

and \hat{C} depending only on n .

Before the proof of Proposition 2.6, we give several lemmas.

Lemma 2.7. *Let $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ be such that $V(x) \geq c|x|^\beta$. Let ϕ be an eigenvector of $H_V = -\Delta + V$ with eigenvalue λ_k and let $R_k = \max\{(\lambda_k + 2)/c, 1\}$. Then we have*

$$(2.3) \quad \|e^{|\cdot|/2} \phi_k\|_{L^2(\mathbb{R}^n)}^2 \leq 7e^{R_k^{1/\beta} + 1} \|\phi_k\|_{L^2(\mathbb{R}^n)}^2$$

and

$$(2.4) \quad \|e^{|\cdot|/2} \nabla \phi_k\|_{L^2(\mathbb{R}^n)}^2 \leq C e^{R_k^{1/\beta}} \|\phi_k\|_{L^2(\mathbb{R}^n)}^2$$

where $C > 0$ is a constant that depends on n only.

The first part is [DSV22, Proposition 2.3]. For the second part, we first prove a local Caccioppoli inequality:

Lemma 2.8. *Under the notation of Lemma 2.7: for every $\rho > 0$ there exists a positive constant $C(\rho)$ depending on ρ only such that, for every $z \in \mathbb{R}^n$,*

$$\|\nabla \phi_k\|_{L^2(\mathcal{B}_{2\rho}(z))}^2 \leq C(\rho) (1 + \lambda_k) \|\phi_k\|_{L^2(\mathcal{B}_{2\rho}(z))}^2.$$

Proof of Lemma 2.8. Choose a cutoff function $\eta \in C_c^\infty(\mathcal{B}_{2\rho}(z))$ and $\eta = 1$ in $\mathcal{B}_\rho(z)$ and $|\nabla \eta| < \frac{2}{\rho}$. Let $\psi_k = \eta^2 \phi_k$, then

$$\int_{\mathcal{B}_{2\rho}(z)} \nabla \phi_k(x) \cdot \nabla \psi_k(x) \, dx = - \int_{\mathcal{B}_{2\rho}(z)} \psi_k(x) \Delta \phi_k(x) \, dx = - \int_{\mathcal{B}_{2\rho}(z)} \psi_k(x) (V(x) - \lambda_k) \phi_k(x) \, dx.$$

Further

$$(2.5) \quad \begin{aligned} \int_{\mathcal{B}_{2\rho}(z)} |\eta(x) \nabla \phi_k(x)|^2 \, dx &= \int_{\mathcal{B}_{2\rho}(z)} \eta(x)^2 \nabla \phi_k(x) \cdot \nabla \phi_k(x) \, dx \\ &= - \int_{\mathcal{B}_{2\rho}(z)} 2\eta(x) (\nabla \eta(x) \cdot \nabla \phi_k(x)) \phi_k(x) \, dx - \int_{\mathcal{B}_{2\rho}(z)} \eta(x)^2 (V(x) - \lambda_k) \phi_k(x)^2 \, dx \\ &\leq \int_{\mathcal{B}_{2\rho}(z)} \frac{4}{\rho} |\eta(x) \nabla \phi_k(x)| |\phi_k(x)| \, dx - \int_{\mathcal{B}_{2\rho}(z)} V(x) |\eta(x) \phi_k(x)|^2 \, dx + \lambda_k \|\phi_k\|_{L^2(\mathcal{B}_{2\rho}(z))}^2 \\ &\leq \int_{\mathcal{B}_{2\rho}(z)} \frac{4}{\rho} |\eta(x) \nabla \phi_k(x)| |\phi_k(x)| \, dx + \lambda_k \|\phi_k\|_{L^2(\mathcal{B}_{2\rho}(z))}^2 \end{aligned}$$

since $V \geq 0$. Note that

$$\begin{aligned} \int_{\mathcal{B}_{2\rho}(z)} \frac{4}{\rho} |\eta(x) \nabla \phi_k(x)| |\phi_k(x)| \, dx &= \int_{\mathcal{B}_{2\rho}(z)} 2 \left| \frac{1}{\sqrt{2}} \eta(x) \nabla \phi_k(x) \right| \left| \frac{2\sqrt{2}}{\rho} \phi_k(x) \right| \, dx \\ &\leq \frac{1}{2} \int_{\mathcal{B}_{2\rho}(z)} |\eta(x) \nabla \phi_k(x)|^2 \, dx + \frac{8}{\rho^2} \int_{\mathcal{B}_{2\rho}(z)} |\phi_k(x)|^2 \, dx \end{aligned}$$

so that (2.5) implies

$$\begin{aligned} \int_{\mathcal{B}_{2\rho}(z)} |\eta(x)\nabla\phi_k(x)|^2 dx &\leq \frac{1}{2} \int_{\mathcal{B}_{2\rho}(z)} |\eta(x)\nabla\phi_k(x)|^2 dx + \frac{8}{\rho^2} \|\phi_k\|_{L^2(\mathcal{B}_{2\rho}(z))}^2 + \lambda_k \|\phi_k\|_{L^2(\mathcal{B}_{2\rho}(z))}^2 \\ &\leq \left(1 + \frac{8}{\rho^2}\right) (1 + \lambda_k) \|\phi_k\|_{L^2(\mathcal{B}_{2\rho}(z))}^2. \end{aligned}$$

As $\eta = 1$ on $\mathcal{B}_\rho(z)$ we conclude that

$$\|\nabla\phi_k\|_{L^2(\mathcal{B}_\rho(z))}^2 \leq C(\rho)(1 + \lambda_k) \|\phi_k\|_{L^2(\mathcal{B}_{2\rho}(z))}^2$$

with $C(\rho) = 1 + \frac{8}{\rho^2}$. □

We can now complete the proof of Lemma 2.7.

Proof of (2.4) in Lemma 2.7. First we fix $z \in \mathbb{R}^n$ and apply Lemma 2.7 with $\rho = 1$ to obtain

$$\|\nabla\phi_k\|_{L^2(\mathcal{B}_1(z))}^2 \leq A(1 + \lambda_k) \|\phi_k\|_{L^2(\mathcal{B}_2(z))}^2$$

where $A = C(1)$ is a numerical constant ($A = 9$ with the previous proof). Further, as for $x \in \mathcal{B}_2(z)$,

$$e^{-1}e^{|z|/2} \leq e^{|x|/2} \leq e^{|z|/2}$$

we get

$$\begin{aligned} \|e^{|\cdot|/2}\nabla\phi_k\|_{L^2(\mathcal{B}_1(z))}^2 &\leq e^2 e^{|z|} \|\nabla\phi_k\|_{L^2(\mathcal{B}_1(z))}^2 \leq e^2 A e^{|z|} (1 + \lambda_k) \|\phi_k\|_{L^2(\mathcal{B}_2(z))}^2 \\ &\leq e^4 A (1 + \lambda_k) \|e^{|\cdot|/2}\phi_k\|_{L^2(\mathcal{B}_2(z))}^2. \end{aligned}$$

We then cover \mathbb{R}^n with a family of balls $\mathbb{R}^n = \bigcup_{i \in \mathbb{N}} \mathcal{B}_1(z_i)$ such that the balls $\{\mathcal{B}_2(z_i)\}$ have a finite covering number *i.e.* such that $N := \max_{z \in \mathbb{R}^n} \#\{i : z \in \mathcal{B}_2(z_i)\} < +\infty$. Then

$$\begin{aligned} \|e^{|\cdot|/2}\nabla\phi_k\|_{L^2(\mathbb{R}^n)}^2 &\leq \sum_{i \in \mathbb{N}} \|e^{|\cdot|/2}\nabla\phi_k\|_{L^2(\mathcal{B}_1(z_i))}^2 \leq e^4 A (1 + \lambda_k) \sum_{i \in \mathbb{N}} \|e^{|\cdot|/2}\phi_k\|_{L^2(\mathcal{B}_2(z_i))}^2 \\ &\leq e^4 AN (1 + \lambda_k) \|e^{|\cdot|/2}\phi_k\|_{L^2(\mathbb{R}^n)}^2 \\ &\leq e^4 AN (1 + \lambda_k) 7e^{R_k^{1/\beta} + 1} \|\phi_k\|_{L^2(\mathbb{R}^n)}^2 \end{aligned}$$

with (2.3). As N depends on n only, we obtain (2.4) with $C = e^5 AN$. □

Define

$$N(\lambda) := \#\{\lambda_k | \lambda_k \leq \lambda\}.$$

Note that, from

$$N(\lambda) \leq \sum_{k=1}^{N(\lambda)} (\lambda + 1 - \lambda_k)$$

and the lower bound $V(x) \geq c|x|^\beta$, the right hand side can be estimated explicitly by means of the classic Lieb-Thirring bound from [LT01, Theorem 1]. More precisely, for $\lambda > 0$ we have

$$\begin{aligned} \sum_{k=1}^{N(\lambda)} (\lambda + 1 - \lambda_k) &\lesssim_n \int_{\mathbb{R}^n} \max\{\lambda + 1 - V(x), 0\}^{n/2+1} dx \\ (2.6) \qquad \qquad \qquad &\leq \int_{\mathcal{B}_0(((\lambda+1)/c)^{1/\beta})} |x|^{n/2+1} dx \\ &\leq \kappa_n \left(\frac{\lambda + 1}{c}\right)^{\frac{n+4}{2\beta}} \end{aligned}$$

with κ_n depending on n only.

We are now in position to prove the main result of this section.

Proof of Proposition 2.6. Let us write

$$(2.7) \quad \phi = \sum_{k \leq N(\lambda)} \psi_k \quad \text{where } \psi_k = c_k \phi_k, \quad c_k \in \mathbb{C}.$$

For every $\rho > 0$, we have

$$(2.8) \quad \begin{aligned} \|\phi\|_{H^1(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 &= \|\phi\|_{L^2(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 + \|\nabla \phi\|_{L^2(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 \\ &\leq e^{-\rho} \left(\|e^{|\cdot|/2} \phi\|_{L^2(\mathbb{R}^n)}^2 + \|e^{|\cdot|/2} \nabla \phi\|_{L^2(\mathbb{R}^n)}^2 \right). \end{aligned}$$

Moreover, using the expansion (2.7) and Cauchy-Schwartz, we obtain

$$(2.9) \quad \|e^{|\cdot|/2} \phi\|_{L^2(\mathbb{R}^n)}^2 \leq \left(\sum_{k=1}^{N(\lambda)} \|e^{|\cdot|/2} \psi_k\|_{L^2(\mathbb{R}^n)} \right)^2 \leq N(\lambda) \sum_{k=1}^{N(\lambda)} \|e^{|\cdot|/2} \psi_k\|_{L^2(\mathbb{R}^n)}^2$$

as well as

$$(2.10) \quad \|e^{|\cdot|/2} \nabla \phi\|_{L^2(\mathbb{R}^n)}^2 \leq N(\lambda) \sum_{k=1}^{N(\lambda)} \|e^{|\cdot|/2} \nabla \psi_k\|_{L^2(\mathbb{R}^n)}^2.$$

Taking (2.9) and (2.10) into (2.8), we obtain

$$(2.11) \quad \|\phi\|_{H^1(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 \leq e^{-\rho} N(\lambda) \left(\sum_{k=1}^{N(\lambda)} \|e^{|\cdot|/2} \psi_k\|_{L^2(\mathbb{R}^n)}^2 + \sum_{k=1}^{N(\lambda)} \|e^{|\cdot|/2} \nabla \psi_k\|_{L^2(\mathbb{R}^n)}^2 \right).$$

Taking (2.3), (2.4) and (2.6) into (2.11) we obtain

$$\|\phi\|_{H^1(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 \leq C e^{-\rho} \left(\frac{\lambda+1}{c_1} \right)^{\frac{n+4}{2\beta_1}} \sum_{k=1}^{N(\lambda)} e^{R_k^{1/\beta}} \|\psi_k\|_{L^2(\mathbb{R}^n)}^2$$

where $R_k = \max\{(\lambda_k + 2)/c, 1\}$ and C is a constant depending only on n . As the ψ_k 's are orthogonal and $R_k \leq R := \max\{(\lambda + 2)/c, 1\}$, we get

$$\|\phi\|_{H^1(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 \leq C e^{-\rho} \left(\frac{\lambda+1}{c_1} \right)^{\frac{n+4}{2\beta_1}} e^{R^{1/\beta}} \|\phi\|_{L^2(\mathbb{R}^n)}^2.$$

We now chose \hat{C} large enough so that

$$\rho = \hat{C} \left(\frac{n+4}{2\beta} \log_+ \frac{\lambda+1}{c} + \left(\frac{\lambda+2}{c} \right)^{1/\beta} + 1 \right)$$

satisfies

$$\rho \geq \log 2 + \log C + \frac{n+4}{2\beta_1} \log \frac{\lambda+1}{c_1} + R^{1/\beta}.$$

Note that \hat{C} depends on C only so that it depends only on n . With this choice,

$$\begin{aligned} \|\phi\|_{L^2(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 + \frac{1}{2} \|\nabla \phi\|_{L^2(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 &\leq \|\phi\|_{H^1(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 \\ &\leq \frac{1}{2} \|\phi\|_{L^2(\mathbb{R}^n)}^2 = \frac{1}{2} \|\phi\|_{L^2(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 + \frac{1}{2} \|\phi\|_{L^2(\mathcal{B}_\rho(0))}^2. \end{aligned}$$

This yields

$$\|\phi\|_{L^2(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 \leq \|\phi\|_{H^1(\mathbb{R}^n \setminus \mathcal{B}_\rho(0))}^2 \leq \|\phi\|_{L^2(\mathcal{B}_\rho(0))}^2$$

and finally $\|\phi\|_{L^2(\mathbb{R}^n)}^2 \leq 2\|\phi\|_{L^2(\mathcal{B}_\rho(0))}^2$ as well as $\|\phi\|_{H^1(\mathbb{R}^n)}^2 \leq 2\|\phi\|_{H^1(\mathcal{B}_\rho(0))}^2$. \square

3. SPECTRAL INEQUALITY FOR THE SCHRÖDINGER OPERATOR

3.1. Precised form of Zhu-Zhuge's spectral inequality. The aim of this section is to prove the following precised form of [ZZ23, Theorem 1] :

Theorem 3.1 (Zhu-Zhuge, precised form). *Let $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ be such that Assumption A2 is satisfied. Let $\sigma \geq 0$, $\gamma \in (0, 1/2)$ and $\omega \subset \mathbb{R}^n$ be a (γ, σ) -distributed set. Then there exists a constant C depending only on n such that for every $\lambda \geq \lambda_0(V)$ and every $\phi \in \mathcal{E}_V(\lambda)$,*

$$\|\phi\|_{L^2(\mathbb{R}^n)} \leq \left(\frac{1}{\gamma}\right)^{C\mathcal{J}_V(\lambda)} \|\phi\|_{L^2(\omega)},$$

where

$$(3.1) \quad \begin{aligned} \mathcal{J}_V(\lambda) &:= \mathcal{J}(c_1, c_2, \lambda) = \mathbf{J}(c_1, \lambda)^{2\sigma/\beta_2} \widehat{\mathbf{J}}(c_1, c_2, \lambda), \\ \text{with } \mathbf{J}(c_1, \lambda) &= \left(1 + \left(\frac{\lambda + 2}{c_1}\right)^{1/\beta_1}\right)^{\frac{\beta_2}{2}}, \quad \text{and } \widehat{\mathbf{J}}(c_1, c_2, \lambda) = \lambda^{\frac{1}{2}} + c_2^{\frac{1}{2}} \mathbf{J}(c_1, \lambda). \end{aligned}$$

The main difference with Zhu & Zhuge's result is that the exponent \mathcal{J} depends explicitly on the parameters c_1 and c_2 in Assumption A2. Recall that those are given by $V = V_1 + V_2 \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ and

$$V(x) \geq c_1|x|^{\beta_1} \quad , \quad |V_1(x)| + |\nabla V_1(x)| + |V_2(x)|^{4/3} \leq c_2(|x| + 1)^{\beta_2}.$$

To obtain this result we follow step by step the proof in [ZZ23]. This starts with two kinds of three-ball inequalities that are already given in a quantitative form sufficient for our needs. Then, we follow the strategy in [DSV22, ZZ23] to prove the spectral inequality.

Let us start with some notation:

Notation 3.2. Given $L > 0$, recall that $\mathcal{Q}_L := \left[-\frac{L}{2}, \frac{L}{2}\right]^n$, $\mathcal{B}_r(x) \subset \mathbb{R}^n$ is the ball with radius r and center x . We denote by $\mathbb{B}_r(x)$ the ball in \mathbb{R}^{n+1} centered at x and radius r .

Let $\delta \in (0, \frac{1}{2})$, $b = (0, \dots, 0, -b_{n+1}) \in \mathbb{R}^{n+1}$ and $b_{n+1} = \frac{\delta}{100}$. Define

$$W_1 = \left\{y \in \mathbb{R}_+^{n+1} : |y - b| \leq \frac{1}{4}\delta\right\} \quad , \quad W_2 = \left\{y \in \mathbb{R}_+^{n+1} : |y - b| \leq \frac{2}{3}\delta\right\},$$

so that $W_1 \subset W_2 \subset \mathbb{B}_\delta(b)$. Write $\Lambda_L := \mathcal{Q}_L \cap \mathbb{Z}^n$ and define

$$W_j(z_i) := (z_i, 0) + W_j, \quad j = 1, 2.$$

as well as

$$P_j(L) = \bigcup_{i \in \Lambda_L} W_j(z_i), \quad j = 1, 2 \quad \text{and} \quad D_\delta(L) = \bigcup_{i \in \Lambda_L} \mathcal{B}_\delta(z_i).$$

Define $R = 9\sqrt{n}$ and

$$X_1 = \mathcal{Q}_L \times [-1, 1] \quad \text{and} \quad \widetilde{X}_R = \mathcal{Q}_{L+R} \times [-R, R].$$

The first three-ball inequality in \mathbb{R}^{n+1} we need is the following:

Lemma 3.3 ([ZZ23, Lemma 1]). *Let $\delta \in (0, \frac{1}{2})$. There exist $0 < \alpha < 1$ and $C > 0$, depending only on n such that, if v is the solution of*

$$\begin{cases} -(\Delta_x + \partial_{x_{n+1}}^2)v(x, x_{n+1}) + V(x)v(x, x_{n+1}) = 0 & x \in \mathbb{R}^n, \quad x_{n+1} \in \mathbb{R} \\ v(x, 0) = 0 & x \in \mathbb{R}^n \end{cases}$$

then

$$(3.2) \quad \|v\|_{H^1(P_1(L))} \leq \delta^{-\alpha} \exp(C(1 + \mathcal{G}(V_1, V_2, 9\sqrt{n}L))) \|v\|_{H^1(P_2(L))}^\alpha \left\| \frac{\partial v}{\partial y_{n+1}} \right\|_{L^2(D_\delta(L))}^{1-\alpha},$$

where

$$(3.3) \quad \mathcal{G}(V_1, V_2, L) = \|V_1\|_{W^{1,\infty}(\mathcal{Q}_L)}^{\frac{1}{2}} + \|V_2\|_{L^\infty(\mathcal{Q}_L)}^{\frac{2}{3}}.$$

The second inequality is:

Lemma 3.4 ([ZZ23, Lemma 2]). *Let $\delta \in (0, \frac{1}{2})$. There exist $C > 0$ depending only on n , $0 < \alpha < 1$ depending on δ and n such that, if v is the solution of*

$$\begin{cases} -(\Delta_x + \partial_{x_{n+1}}^2)v(x, x_{n+1}) + V(x)v(x, x_{n+1}) = 0 & x \in \mathbb{R}^n, x_{n+1} \in \mathbb{R} \\ v(x, -y) = -v(x, y) & x \in \mathbb{R}^n, y \in \mathbb{R} \end{cases}$$

then

$$(3.4) \quad \|v\|_{H^1(X_1)} \leq \delta^{-2\alpha_1} \exp\left(C(1 + \mathcal{G}(V_1, V_2, 9\sqrt{n}L))\right) \|v\|_{H^1(\tilde{X}_R)}^{1-\alpha_1} \|v\|_{H^1(P_1(L))}^{\alpha_1},$$

where $\mathcal{G}(V_1, V_2, L)$ is given by (3.3). Further, α_1 can be given in the form

$$(3.5) \quad 0 < \alpha_1 = \frac{\epsilon_1}{|\log \delta| + \epsilon_2} < 1$$

with positive constants ϵ_1 and ϵ_2 depending only on n .

Now let $\phi \in \mathcal{E}_\lambda(H)$ and define

$$\Phi(x, x_{n+1}) = \sum_{0 < \lambda_k \leq \lambda} \alpha_k \phi_k(x) \frac{\sinh(\sqrt{\lambda_k} x_{n+1})}{\sqrt{\lambda_k}}.$$

Then $\Phi(x, x_{n+1})$ satisfies the equation

$$(3.6) \quad H\Phi := -\Delta\Phi + V(x)\Phi = 0, \quad (x, x_{n+1}) \in \mathbb{R}^{n+1}.$$

We need to mention that $\Delta = \Delta_x + \partial_{x_{n+1}}^2$ with $\Delta_x = \sum_{j=1}^n \partial_j^2$ in (3.6). It is easy to check that

$$\partial_{n+1}\Phi(x, 0) = \phi(x) \text{ and } \Phi(x, 0) = 0.$$

The following estimate for Φ is standard and can be found in [ZZ23, Lemma 3].

Lemma 3.5. *Let $\phi \in \mathcal{E}_V(\lambda)$ and Φ be given in (3.6). For any $\rho > 0$, we have*

$$2\rho \|\phi\|_{L^2(\mathbb{R}^n)}^2 \leq \|\Phi\|_{H^1(\mathbb{R}^n \times (-\rho, \rho))}^2 \leq 2\rho \left(1 + \frac{\rho^2}{3}(1 + \lambda)e^{2\rho\sqrt{\lambda}}\right) \|\phi\|_{L^2(\mathbb{R}^n)}^2.$$

To use Proposition 2.6, we need to extend it from ϕ to Φ . Indeed, we have the following corollary:

Corollary 3.6. *Given the same condition as in Proposition 2.6, we have*

$$(3.7) \quad \|\Phi\|_{H^1(\mathbb{R}^n \times (-1, 1))}^2 \leq 2\|\Phi\|_{H^1(\mathcal{B}_r \times (-1, 1))}^2.$$

Proof. Since $\Phi(\cdot, x_{n+1}) \in \mathcal{E}_\lambda(H)$, by Proposition 2.6 we obtain

$$(3.8) \quad \|\Phi(\cdot, x_{n+1})\|_{H^1(\mathbb{R}^n)}^2 \leq 2\|\Phi(\cdot, x_{n+1})\|_{L^2(\mathcal{B}_r(0))}^2 \leq 2\|\Phi(\cdot, x_{n+1})\|_{H^1(\mathcal{B}_r(0))}^2.$$

Since $\partial_{n+1}\Phi(\cdot, x_{n+1}) \in \mathcal{E}_\lambda(H)$, we obtain

$$(3.9) \quad \|\partial_{n+1}\Phi(\cdot, x_{n+1})\|_{L^2(\mathbb{R}^n)}^2 \leq \|\partial_{n+1}\Phi(\cdot, x_{n+1})\|_{H^1(\mathbb{R}^n)}^2 \leq 2\|\partial_{n+1}\Phi\|_{L^2(\mathcal{B}_r(0))}^2.$$

Then we have

$$\begin{aligned} \|\Phi\|_{H^1(\mathbb{R}^n \times (-1, 1))}^2 &= \int_{-1}^1 \|\Phi(\cdot, x_{n+1})\|_{L^2(\mathbb{R}^n)}^2 dx_{n+1} + \int_{-1}^1 \sum_{j=1}^n \|\partial_j \Phi(\cdot, x_{n+1})\|_{L^2(\mathbb{R}^n)}^2 dx_{n+1} \\ &\quad + \int_{-1}^1 \|\partial_{n+1}\Phi(\cdot, x_{n+1})\|_{L^2(\mathbb{R}^n)}^2 dx_{n+1} \\ &\leq \int_{-1}^1 \|\Phi(\cdot, x_{n+1})\|_{H^1(\mathbb{R}^n)}^2 dx_{n+1} + \int_{-1}^1 2\|\partial_{n+1}\Phi(\cdot, x_{n+1})\|_{L^2(\mathcal{B}_r(0))}^2 dx_{n+1} \end{aligned}$$

with (3.9). Using (3.8) we then obtain

$$\begin{aligned} \|\Phi\|_{H^1(\mathbb{R}^n \times (-1, 1))}^2 &\leq \int_{-1}^1 2\|\Phi(\cdot, x_{n+1})\|_{H^1(\mathcal{B}_r(0))}^2 dx_{n+1} + \int_{-1}^1 2\|\partial_{n+1}\Phi(\cdot, x_{n+1})\|_{L^2(\mathcal{B}_r(0))}^2 dx_{n+1} \\ &= 2\|\Phi\|_{H^1(\mathcal{B}_r(0))}^2 \end{aligned}$$

as claimed. \square

We can now prove Theorem 3.1:

Proof of Theorem 3.1. Let $L = 2 \lceil r \rceil + 1$, where r is given in Proposition 2.6 and $\lceil a \rceil$ means the largest integer smaller than $a + 1$. Then we have $\mathcal{B}_r(0) \subset \mathcal{Q}_L$. Moreover, we can decompose \mathcal{Q}_L as

$$\mathcal{Q}_L = \bigcup_{k \in \Lambda_L} \left(k + \left[-\frac{1}{2}, \frac{1}{2} \right]^n \right).$$

For each $k \in \Lambda_L$, we have $|k| \leq \sqrt{n} \lceil r \rceil$. As $\gamma \in (0, \frac{1}{2})$, we get

$$\delta := \gamma^{1+(\sqrt{n}\lceil r \rceil)^\sigma} \leq \gamma^{1+|k|^\sigma}, \quad \forall k \in \Lambda_L \cap \mathbb{Z}^n.$$

Now we show an interpolation inequality. Note that Φ is odd in x_{n+1} , so taking $v = \Phi$, we combine (3.2) in Lemma 3.3 and (3.4) in Lemma 3.4 with δ and L defined above to get

$$\begin{aligned} \|\Phi\|_{H^1(X_1)} &\leq \delta^{-2\alpha_1} \exp\left(C(1 + \mathcal{G}(V_1, V_2, 9\sqrt{n}L))\right) \|\Phi\|_{H^1(\tilde{X}_R)}^{1-\alpha_1} \|\Phi\|_{H^1(P_1(L))}^{\alpha_1} \\ &\leq \delta^{-2\alpha_1 - \alpha\alpha_1} \exp\left(C(1 + \mathcal{G}(V_1, V_2, 9\sqrt{n}L))\right) \|\Phi\|_{H^1(P_2(L))}^{\alpha\alpha_1} \left\| \frac{\partial \Phi}{\partial y_{n+1}} \right\|_{L^2(D_\delta(L))}^{\alpha_1(1-\alpha)} \|\Phi\|_{H^1(\tilde{X}_R)}^{1-\alpha_1} \\ &\leq \delta^{-3\alpha_1} \exp\left(C(1 + \mathcal{G}(V_1, V_2, 9\sqrt{n}L))\right) \|\phi\|_{L^2(D_\delta(L))}^{\hat{\alpha}} \|\Phi\|_{H^1(\tilde{X}_R)}^{1-\hat{\alpha}}, \end{aligned}$$

where $\hat{\alpha} = \alpha_1(1 - \alpha)$ and we have used the facts $P_2(L) \subset \tilde{X}_R$ and $\frac{\partial \Phi}{\partial y_{n+1}}(\cdot, 0) = \phi$. Here and below, the symbol C may represent different positive constants depending on n .

Recall α_1 in (3.5), we have $\alpha_1 \approx \hat{\alpha} \approx \frac{1}{|\log \delta|}$ for any $\delta \in (0, \frac{1}{2})$. Hence $\delta^{-3\alpha_1} \leq C$ and then

$$(3.10) \quad \|\Phi\|_{H^1(X_1)} \leq \exp\left(C(1 + \mathcal{G}(V_1, V_2, 9\sqrt{n}L))\right) \|\phi\|_{L^2(\omega \cap \mathcal{Q}_L)}^{\hat{\alpha}} \|\Phi\|_{H^1(\tilde{X}_R)}^{1-\hat{\alpha}},$$

where we have also used the fact $D_\delta(L) \subset \omega \cap \mathcal{Q}_L$.

Substituting $L = 2 \lceil r \rceil + 1$ and (2.2) into $\mathcal{G}(V_1, V_2, L)$ and by Assumption A2, we have

$$\begin{aligned} \mathcal{G}(V_1, V_2, 9\sqrt{n}L) &\leq c_2^{\frac{1}{2}} (2 \lceil r \rceil + 2)^{\frac{\beta_2}{2}} \lesssim c_2^{\frac{1}{2}} \left(\frac{n+4}{2\beta_1} \log_+ \frac{\lambda+1}{c_1} + \left(\frac{\lambda+2}{c_1} \right)^{1/\beta_1} + 1 \right)^{\frac{\beta_2}{2}} \\ &\lesssim c_2^{\frac{1}{2}} \left(+ \left(\frac{\lambda+2}{c_1} \right)^{1/\beta_1} + 1 \right)^{\frac{\beta_2}{2}} := c_2^{\frac{1}{2}} \mathbf{J}(c_1, \lambda) \end{aligned}$$

where $\mathbf{J}(c_1, \lambda)$ was defined in (3.1). We can then write (3.10) as

$$(3.11) \quad \|\Phi\|_{H^1(X_1)} \leq \exp\left(Cc_2^{\frac{1}{2}} \mathbf{J}(c_1, \lambda)\right) \|\phi\|_{L^2(\omega \cap \mathcal{Q}_L)}^{\hat{\alpha}} \|\Phi\|_{H^1(\tilde{X}_R)}^{1-\hat{\alpha}}.$$

We now bound $\|\Phi\|_{H^1(\mathbb{R}^n \times (-\rho, \rho))}^2$ from above and below by respectively taking $\rho = R$ and $\rho = 1$ in Lemma 3.5. This gives

$$\frac{\|\Phi\|_{H^1(\mathbb{R}^n \times (-R, R))}^2}{\|\Phi\|_{H^1(\mathbb{R}^n \times (-1, 1))}^2} \leq R \left(1 + \frac{R^2}{3} (1 + \lambda) \right) \exp\left(2R\sqrt{\lambda}\right) \leq \exp\left(C_2\sqrt{\lambda}\right).$$

With the aid of (3.7) and $\mathcal{B}_r(0) \subset \mathcal{Q}_L$, we get

$$(3.12) \quad \begin{aligned} \|\Phi\|_{H^1(\mathbb{R}^n \times (-R, R))} &\leq \exp\left(\frac{1}{2}C_2\sqrt{\lambda}\right) \|\Phi\|_{H^1(\mathbb{R}^n \times (-1, 1))} \\ &\leq \sqrt{2} \exp\left(\frac{1}{2}C_2\sqrt{\lambda}\right) \|\Phi\|_{H^1(\mathcal{Q}_L \times (-1, 1))}. \end{aligned}$$

Recall that $X_1 = \mathcal{Q}_L \times (-1, 1)$, substituting (3.12) into (3.11) we obtain

$$\|\Phi\|_{H^1(\mathbb{R}^n \times (-R, R))} \leq \exp\left(C_3 \hat{\mathbf{J}}(c_1, c_2, \lambda)\right) \|\phi\|_{L^2(\omega \cap \mathcal{Q}_L)}^{\hat{\alpha}} \|\Phi\|_{H^1(\tilde{X}_R)}^{1-\hat{\alpha}}$$

where $\widehat{\mathbf{J}}(c_1, c_2, \lambda)$ was defined in (3.1). Since $\widetilde{X}_R \subset \mathbb{R}^n \times (-R, R)$, it follows that

$$\|\Phi\|_{H^1(\mathbb{R}^n \times (-R, R))} \leq \exp\left(\widehat{\alpha}^{-1} C_3 \widehat{\mathbf{J}}(c_1, c_2, \lambda)\right) \|\phi\|_{L^2(\omega \cap \mathcal{Q}_L)}.$$

Recall that

$$\widehat{\alpha}^{-1} \approx \alpha_1^{-1} \approx |\log \delta| \approx |\log \gamma| \mathbf{J}^{\frac{2\sigma}{\beta_2}}$$

we obtain

$$\|\Phi\|_{H^1(\mathbb{R}^n \times (-R, R))} \leq \left(\frac{1}{\gamma}\right)^{C \mathbf{J}^{\frac{2\sigma}{\beta_2}} \widehat{\mathbf{J}}} \|\phi\|_{L^2(\omega \cap \mathcal{Q}_L)}.$$

Finally, using the lower bound in Lemma 3.5 with $\rho = R$, we obtain

$$\|\phi\|_{L^2(\mathbb{R}^n)} \leq \left(\frac{1}{2R}\right)^{\frac{1}{2}} \|\Phi\|_{H^1(\mathbb{R}^n \times (-R, R))} \leq \left(\frac{1}{\gamma}\right)^{C \mathbf{J}^{\frac{2\sigma}{\beta_2}} \widehat{\mathbf{J}}} \|\phi\|_{L^2(\omega)}$$

where C is a positive constant depending only on n . \square

3.2. Scaling the potential. The aim of this section is to consider the ‘‘scaled’’ Schrödinger operator

$$(3.13) \quad H_{rV} = -\Delta_x + rV(x), \quad r > 0$$

and to evaluate the influence of r on the exponent \mathcal{J} in Theorem 3.1. This will be slightly different according to when V satisfies Assumption A1 or A2.

First, we assume that V in (3.13) satisfies Assumption A1. Then the potential rV satisfies Assumption A1 but replacing c_1, c_2 with rc_1, rc_2 respectively, while β_1, β_2 are unchanged. We thus need to estimate

$$\mathcal{J}^1(r, \lambda) := \mathcal{J}_{rV} = \mathcal{J}(rc_1, rc_2, \lambda)$$

for $\lambda \geq \lambda_0(rV)$.

On the other hand, if we assume that V in (3.13) satisfies Assumption A2. Then the potential rV satisfies Assumption A1 by replacing c_1, c_2 with $rc_1, r^{4/3}c_2$ respectively, and the same β_1, β_2 . We thus need to estimate

$$\mathcal{J}^2(r, \lambda) := \mathcal{J}(rc_1, r^{4/3}c_2, \lambda)$$

for $\lambda \geq \lambda_0(rV)$.

Further, according to Proposition 2.3, $\lambda_0(V) \geq c_1^{\frac{2}{\beta_1+2}} \lambda_*$ where λ_* depends on β_1 and n only. Thus $\lambda_0(rV) \geq r^{\frac{2}{\beta_1+2}} c_1^{\frac{2}{\beta_1+2}} \lambda_* := r^{\frac{2}{\beta_1+2}} \mu_*$. Recall that μ_* depends only on c_1, β_1, n .

The estimates of $\mathcal{J}^1, \mathcal{J}^2$ we need are given in the following proposition:

Proposition 3.7. *Fix $\sigma \geq 0, \gamma \in (0, 1/2)$ and let $\omega \subset \mathbb{R}^n$ be a (γ, σ) -distributed set. Fix $c_1, c_2, \beta_1, \beta_2 > 0$ and let $V \in L_{\text{loc}}^\infty(\mathbb{R}^n)$ be such that one of Assumptions A1-A2 is satisfied with parameters $c_1, c_2, \beta_1, \beta_2$. Let $\zeta = \frac{\beta_2 + 2\sigma}{2\beta_1}$.*

Then there exists a constant $C_{V, \omega} \geq 1$ depending on $n, c_1, c_2, \beta_1, \beta_2$ and σ such that, for every $r > 0$ and for every $\phi \in \mathcal{E}_{rV}(\lambda)$

$$(3.14) \quad \|\phi\|_{L^2(\mathbb{R}^n)} \leq \left(\frac{1}{\gamma}\right)^{C_{V, \omega} \mathcal{J}_{rV}(\lambda)} \|\phi\|_{L^2(\omega)},$$

with

$$(3.15) \quad \mathcal{J}_{rV}(\lambda) = \begin{cases} r^{a_-} + r^{b_-} \lambda^\zeta & \text{if } 0 < r < 1 \\ r^{a_+} + r^{b_+} \lambda^\zeta & \text{if } r \geq 1 \end{cases}$$

where a_-, b_-, a_+, b_+ are given as follows:

- (i) if V satisfies Assumption A1, then

$$a_- = \frac{1}{2} - \zeta \leq 0, \quad b_- = \frac{1}{2} - \zeta \leq 0,$$

$$a_+ = \frac{1}{2}, \quad b_+ = \begin{cases} \frac{1 - \sigma - 2\zeta}{\beta_1 + 2} \leq 0 & \text{if } (\beta_1 - \beta_2)\sigma = 0 \\ \max\left(\frac{1}{2} - \frac{\sigma}{\beta_1 + 2}, \frac{1}{\beta_1 + 2}\right) - \frac{2\zeta}{\beta_1 + 2} & \text{if } (\beta_1 - \beta_2)\sigma \neq 0 \end{cases}.$$

(ii) If V satisfies Assumption A2 with $\beta_* := 3\beta_2 - 4\beta_1 - 2 \leq 0$, then

$$a_- = \frac{2}{3} - \zeta, \quad b_- = \begin{cases} -\left(\frac{\sigma}{\beta_1} + \frac{\beta_2 - \beta_1}{(\beta_1 + 2)\beta_1}\right) \leq 0 & \text{if } \beta_*\sigma = 0 \\ \min\left(\frac{2}{3} - \frac{\beta_2}{2\beta_1} - \frac{\sigma}{\beta_1 + 2}, \frac{1}{\beta_1 + 2} - \frac{\sigma}{\beta_1}\right) - \frac{2\zeta}{\beta_1 + 2} < 0 & \text{if } \beta_*\sigma \neq 0 \end{cases},$$

$$a_+ = \frac{2}{3}, \quad b_+ = -\frac{\sigma}{\beta_1 + 2} + \frac{2}{3} - \frac{\beta_2}{2\beta_1} - \frac{2\zeta}{\beta_1 + 2}.$$

(iii) If V satisfies Assumption A2 with $\beta_* > 0$, then

$$a_- = \frac{2}{3} - \zeta, \quad b_- = -\left(\frac{\beta_*}{2(\beta_1 + 2)} + \frac{\sigma}{\beta_1 + 2} + \frac{2\zeta - 1}{\beta_1 + 2}\right) < 0,$$

$$a_+ = \frac{2}{3}, \quad b_+ = \begin{cases} -\frac{\beta_2 - \beta_1}{(\beta_1 + 2)\beta_1} \leq 0 & \text{if } \sigma = 0 \\ \max\left(\frac{2}{3} - \frac{\sigma}{\beta_1 + 2}, \frac{1}{\beta_1 + 2}\right) - \frac{2\zeta}{\beta_1 + 2} & \text{if } \sigma \neq 0 \end{cases}.$$

Remark 3.8. The separation of cases at $r = 1$ in (3.15) is arbitrary and can be replaced with

$$\mathcal{J}_{rV}(\lambda) = \begin{cases} r^{a_-} + r^{b_-} \lambda^\zeta & \text{if } 0 < r < \alpha \\ r^{a_+} + r^{b_+} \lambda^\zeta & \text{if } r \geq \alpha \end{cases}$$

for any $\alpha > 0$. This only influences the constant $C_{V,\omega}$ in (3.14) but not the exponents a_\pm, b_\pm and ζ .

Remark 3.9. Note that if V, \tilde{V} both satisfy either Assumption A1 or Assumption A2 with same exponents β_1, β_2 and (without loss of generality) same coefficients c_1, c_2 , then $rV + \tilde{V}$ satisfy the same assumption, still with exponents β_1, β_2 , but with parameters $(r+1)c_1, (r+1)c_2$ in case of Assumption A1 and $(r+1)c_1, (r^{4/3} + 1)c_2$. As $(r^{4/3} + 1) \lesssim (1+r)^{4/3}$, we get that $\mathcal{J}_{rV + \tilde{V}}$ satisfies the same bounds but with r replaced by $r+1 \geq 1$.

Proof. Recall that $\mathcal{J}(c_1, c_2, \lambda)$ is given in (3.1). As $\lambda_0(rV) \geq r^{\frac{2}{\beta_1+2}} \mu_*$ we may write $\lambda = r^{\frac{2}{\beta_1+2}} \mu$ with $\mu \gtrsim 1$. We thus want to estimate $\mathcal{J}^1(r, \lambda) = \mathcal{J}(rc_1, rc_2, r^{\frac{2}{\beta_1+2}} \mu)$.

As $\mu \gtrsim 1$, We will use that, for $a, b, c, d \in \mathbb{R}, \alpha, \beta \geq 0$

$$\begin{aligned} (r^a + r^b \mu^\alpha)(r^c + r^d \mu^\beta) &= r^{a+c} + r^{a+d} \mu^\beta + r^{b+c} \mu^\alpha + r^{b+d} \mu^{\alpha+\beta} \\ &\lesssim \begin{cases} r^{a+c} + r^{\min(a+d, b+c, b+d)} \mu^{\alpha+\beta} & \text{when } 0 < r < 1 \\ r^{a+c} + r^{\max(a+d, b+c, b+d)} \mu^{\alpha+\beta} & \text{when } r \geq 1 \end{cases} \end{aligned}$$

when $\delta := (b-a)\beta - (d-c)\alpha \neq 0$. Here we use that $\mu \gtrsim 1$ to absorb μ^α, μ^β into $\mu^{\alpha+\beta}$ and then keep only the smallest power of r when $r < 1$ and the largest one otherwise.

When $\delta = (b-a)\beta - (d-c)\alpha = 0$, one can improve this as follows: observe that for $t \geq 0$, $t^\alpha, t^\beta \leq \max(1, t^{\alpha+\beta})$ so that $(1+t^\alpha)(1+t^\beta) \leq 3(1+t^{\alpha+\beta})$. Thus, with $t = r^{\frac{b-a}{\alpha}} \mu = r^{\frac{d-c}{\beta}} \mu$ we get

$$\begin{aligned} (r^a + r^b \mu^\alpha)(r^c + r^d \mu^\beta) &= r^{a+c} \left(1 + \left(r^{\frac{b-a}{\alpha}} \mu\right)^\alpha\right) \left(1 + \left(r^{\frac{d-c}{\beta}} \mu\right)^\beta\right) \\ &\lesssim r^{a+c} \left(1 + \left(r^{\frac{b-a}{\alpha}} \mu\right)^{\alpha+\beta}\right) \\ &\lesssim r^{a+c} + r^{b+d} \mu^{\alpha+\beta}. \end{aligned}$$

Now

$$\mathbf{J}(rc_1, r^{\frac{2}{\beta_1+2}}\mu) \lesssim \left(\frac{r^{\frac{2}{\beta_1+2}}\mu + 1}{rc_1} \right)^{\frac{\beta_2}{2\beta_1}} + 1 \lesssim 1 + r^{-\frac{\beta_2}{2\beta_1}} + r^{-\frac{\beta_2}{2(\beta_1+2)}} \mu^{\frac{\beta_2}{2\beta_1}}$$

with the implied constants depending on β_1, β_2 and c_1 , as well as

$$\begin{aligned} \mathbf{J}(rc_1, r^{\frac{2}{\beta_1+2}}\mu)^{2\sigma/\beta_2} &\lesssim \left(\frac{r^{\frac{2}{\beta_1+2}}\mu + 1}{rc_1} \right)^{\frac{\sigma}{\beta_1}} + 1 \lesssim 1 + r^{-\frac{\sigma}{\beta_1}} + r^{-\frac{\sigma}{\beta_1+2}} \mu^{\frac{\sigma}{\beta_1}} \\ &\lesssim \begin{cases} r^{-\frac{\sigma}{\beta_1}} (1 + (r^{\frac{2}{\beta_1+2}}\mu)^{\frac{\sigma}{\beta_1}}) & \text{if } 0 < r < 1 \\ 1 + r^{-\frac{\sigma}{\beta_1+2}} \mu^{\frac{\sigma}{\beta_1}} & \text{if } r \geq 1 \end{cases} \end{aligned}$$

with the implied constants depending on σ, β_1, β_2 and c_1 .

On the other hand

$$\begin{aligned} \widehat{\mathbf{J}}(rc_1, rc_2, r^{\frac{2}{\beta_1+2}}\mu) &= r^{\frac{1}{\beta_1+2}}\mu^{1/2} + r^{1/2}c_2^{1/2}\mathbf{J}(rc_1, r^{\frac{2}{\beta_1+2}}\mu) \\ &\lesssim r^{\frac{1}{\beta_1+2}}\mu^{1/2} + r^{1/2} + r^{-\frac{\beta_2-\beta_1}{2\beta_1}} + r^{\frac{1}{2}-\frac{\beta_2}{2(\beta_1+2)}} \mu^{\frac{\beta_2}{2\beta_1}} \\ &\lesssim r^{1/2} + r^{-\frac{\beta_2-\beta_1}{2\beta_1}} + \left(r^{\frac{1}{\beta_1+2}} + r^{\frac{1}{2}-\frac{\beta_2}{2(\beta_1+2)}} \right) \mu^{\frac{\beta_2}{2\beta_1}} \end{aligned}$$

where, in the last line, we used that $\mu \gtrsim 1$ and $\frac{\beta_2}{2\beta_1} \geq \frac{1}{2}$ so that $\mu^{\frac{1}{2}} \lesssim \mu^{\frac{\beta_2}{2\beta_1}}$. The implied constant here depends on σ, β_1, β_2 and c_1, c_2 . Now note that $\beta_2 \geq \beta_1$ implies

$$\frac{1}{\beta_1+2} \geq \frac{2-(\beta_2-\beta_1)}{2(\beta_1+2)} = \frac{1}{2} - \frac{\beta_2}{2(\beta_1+2)}.$$

It follows that

$$(3.20) \quad \widehat{\mathbf{J}}(rc_1, rc_2, r^{\frac{2}{\beta_1+2}}\mu) \lesssim \begin{cases} r^{-\frac{\beta_2-\beta_1}{2\beta_1}} (1 + (r^{\frac{2}{\beta_1+2}}\mu)^{\frac{\beta_2}{2\beta_1}}) & \text{if } 0 < r < 1 \\ r^{\frac{1}{2}} + r^{\frac{1}{\beta_1+2}} \mu^{\frac{\beta_2}{2\beta_1}} & \text{if } r \geq 1 \end{cases}.$$

For $0 < r < 1$, we multiply (3.19) with (3.20) by using (3.17) and obtain

$$(3.21) \quad \mathcal{J}_{rV}(r, \lambda) \lesssim r^{-\frac{\sigma}{\beta_1} - \frac{\beta_2-\beta_1}{2\beta_1}} (1 + (r^{\frac{2}{\beta_1+2}}\mu)^{\frac{\beta_2+2\sigma}{2\beta_1}}), \quad 0 < r < 1.$$

For $r \geq 1$, we take $a = 0, b = -\frac{\sigma}{\beta_1+2}, c = \frac{1}{2}, d = \frac{1}{\beta_1+2}, \alpha = \frac{\sigma}{\beta_1}, \beta = \frac{\beta_2}{2\beta_1}$ and then obtain

$$\delta = (b-a)\beta - (d-c)\alpha = \frac{(\beta_1 - \beta_2)\sigma}{2(\beta_1+2)\beta_1}.$$

Then $\delta = 0$ if and only if $\beta_1 = \beta_2$ or $\sigma = 0$. Multiplying (3.19) and (3.20) and using (3.18) when $\delta = 0$ (resp. (3.16) when $\delta \neq 0$) we obtain

$$(3.22) \quad \mathcal{J}_{rV}(r, \lambda) \lesssim \begin{cases} r^{\frac{1}{2}} + r^{-\frac{\sigma}{\beta_1+2} + \frac{1}{\beta_1+2}} \mu^{\frac{\beta_2+2\sigma}{2\beta_1}} & \text{if } (\beta_1 - \beta_2)\sigma = 0 \\ r^{\frac{1}{2}} + r^{\tilde{b}_+} \mu^{\frac{2\sigma+\beta_2}{2\beta_1}} & \text{if } (\beta_1 - \beta_2)\sigma \neq 0 \end{cases}, \quad r \geq 1$$

where

$$\tilde{b}_+ := \max \left(\frac{1}{2} - \frac{\sigma}{\beta_1+2}, \frac{1}{\beta_1+2} \right) \geq \frac{1}{\beta_1+2} - \frac{\sigma}{\beta_1+2}.$$

Replacing μ in (3.21) and (3.22) by $r^{-\frac{2}{\beta_1+2}}\lambda$, we obtain the claimed inequality.

To estimate \mathcal{J}_{rV} under Assumption A2, the main difference is that we need to estimate

$$\begin{aligned} \widehat{\mathbf{J}}(rc_1, r^{4/3}c_2, r^{\frac{2}{\beta_1+2}}\mu) &= r^{\frac{1}{\beta_1+2}}\mu^{1/2} + r^{2/3}c_2^{1/2}\mathbf{J}(rc_1, r^{\frac{2}{\beta_1+2}}\mu) \\ &\lesssim r^{\frac{2}{3}} + r^{\frac{2}{3}-\frac{\beta_2}{2\beta_1}} + r^{\frac{1}{\beta_1+2}}\mu^{1/2} + r^{\frac{2}{3}-\frac{\beta_2}{2(\beta_1+2)}} \mu^{\frac{\beta_2}{2\beta_1}} \\ &\lesssim r^{\frac{2}{3}} + r^{\frac{2}{3}-\frac{\beta_2}{2\beta_1}} + \left(r^{\frac{1}{\beta_1+2}} + r^{\frac{2}{3}-\frac{\beta_2}{2(\beta_1+2)}} \right) \mu^{\frac{\beta_2}{2\beta_1}}. \end{aligned}$$

There are now two cases to be distinguished since

$$\frac{1}{\beta_1+2} \leq \frac{2}{3} - \frac{\beta_2}{2(\beta_1+2)}$$

if and only if $3\beta_2 \leq 4\beta_1 + 2$ or equivalently $\frac{1}{2} \leq \frac{\beta_2}{2\beta_1} \leq \frac{2}{3} + \frac{1}{3\beta_1}$.

So assume first that $3\beta_2 \leq 4\beta_1 + 2$, then

$$(3.23) \quad \widehat{\mathbf{J}}(rc_1, r^{4/3}c_2, r^{\frac{2}{\beta_1+2}}\mu) \lesssim \begin{cases} r^{\frac{2}{3}-\frac{\beta_2}{2\beta_1}} + r^{\frac{1}{\beta_1+2}}\mu^{\frac{\beta_2}{2\beta_1}} & \text{if } 0 < r < 1 \\ r^{\frac{2}{3}} + r^{\frac{2}{3}-\frac{\beta_2}{2(\beta_1+2)}}\mu^{\frac{\beta_2}{2\beta_1}} & \text{if } r \geq 1 \end{cases}.$$

For $0 < r < 1$, we take $a = -\frac{\sigma}{\beta_1}$, $b = -\frac{\sigma}{\beta_1+2}$, $c = \frac{2}{3} - \frac{\beta_2}{2\beta_1}$, $d = \frac{1}{\beta_1+2}$, $\alpha = \frac{\sigma}{\beta_1}$ and $\beta = \frac{\beta_2}{2\beta_1}$ so that

$$\delta := (b-a)\beta - (d-c)\alpha = \frac{(2+4\beta_1-3\beta_2)\sigma}{6(\beta_1+2)\beta_1}.$$

Hence $\delta \neq 0$ if and only if $3\beta_2 < 4\beta_1 + 2$ and $\sigma \neq 0$. Using (3.16) and (3.18) when $\delta \neq 0$ and $\delta = 0$ respectively to multiply (3.19) and (3.23), we obtain

$$(3.24) \quad \mathcal{J}_{rV}(r, \lambda) \lesssim \begin{cases} r^{\frac{2}{3}-\frac{\beta_2+2\sigma}{2\beta_1}} + r^{\frac{1-\sigma}{\beta_1+2}}\mu^{\frac{\beta_2+2\sigma}{2\beta_1}} & \text{if } (2+4\beta_1-3\beta_2)\sigma = 0 \\ r^{\frac{2}{3}-\frac{\beta_2+2\sigma}{2\beta_1}} + r^{\tilde{b}-\mu^{\frac{\beta_2+2\sigma}{2\beta_1}}} & \text{if } (2+4\beta_1-3\beta_2)\sigma \neq 0 \end{cases}, \quad 0 < r < 1$$

where

$$\tilde{b}_- := \min\left(\frac{2}{3} - \frac{\beta_2}{2\beta_1} - \frac{\sigma}{\beta_1+2}, \frac{1}{\beta_1+2} - \frac{\sigma}{\beta_1}\right) \leq \frac{1}{\beta_1+2} - \frac{\sigma}{\beta_1+2}.$$

For $r \geq 1$, we take $a = 0$, $b = -\frac{\sigma}{\beta_1+2}$, $c = \frac{2}{3}$, $d = \frac{2}{3} - \frac{\beta_2}{2\beta_1}$, $\alpha = \frac{\sigma}{\beta_1}$, $\beta = \frac{\beta_2}{2\beta_1}$ and then obtain

$$\delta := (b-a)\beta - (d-c)\alpha = 0.$$

Using (3.18) to multiply (3.19) and (3.23), we obtain

$$(3.25) \quad \mathcal{J}_{rV}(r, \lambda) \lesssim r^{\frac{2}{3}} + r^{-\frac{\sigma}{\beta_1+2} + \frac{2}{3} - \frac{\beta_2}{2\beta_1}}\mu^{\frac{\beta_2+2\sigma}{2\beta_1}}, \quad r \geq 1.$$

Replacing μ in (3.24) and (3.25) by $r^{-\frac{2}{\beta_1+2}}\lambda$, we obtain the claimed inequality.

On the other hand, if $3\beta_2 > 4\beta_1 + 2$, then

$$(3.26) \quad \widehat{\mathbf{J}}(rc_1, r^{4/3}c_2, r^{\frac{2}{\beta_1+2}}\mu) \lesssim \begin{cases} r^{\frac{2}{3}-\frac{\beta_2}{2\beta_1}} + r^{\frac{2}{3}-\frac{\beta_2}{2(\beta_1+2)}}\mu^{\frac{\beta_2}{2\beta_1}} & \text{if } 0 < r < 1 \\ r^{\frac{2}{3}} + r^{\frac{1}{\beta_1+2}}\mu^{\frac{\beta_2}{2\beta_1}} & \text{if } r \geq 1 \end{cases}.$$

For $0 < r < 1$, we take $a = -\frac{\sigma}{\beta_1}$, $b = -\frac{\sigma}{\beta_1+2}$, $c = \frac{2}{3} - \frac{\beta_2}{2\beta_1}$, $d = \frac{2}{3} - \frac{\beta_2}{2(\beta_1+2)}$, $\alpha = \frac{\sigma}{\beta_1}$, $\beta = \frac{\beta_2}{2\beta_1}$ and then obtain

$$\delta := (b-a)\beta - (d-c)\alpha = 0.$$

Using (3.18) to multiply (3.19) and (3.23), we obtain

$$(3.27) \quad \mathcal{J}_{rV}(r, \lambda) \lesssim r^{\frac{2}{3}-\frac{\beta_2+2\sigma}{2\beta_1}} + r^{-\frac{\sigma}{\beta_1+2} + \frac{2}{3} - \frac{\beta_2}{2(\beta_1+2)}}\mu^{\frac{\beta_2+2\sigma}{2\beta_1}}, \quad 0 < r < 1.$$

For $r \geq 1$, we take $a = 0$, $b = -\frac{\sigma}{\beta_1+2}$, $c = \frac{2}{3}$, $d = \frac{1}{\beta_1+2}$, $\alpha = \frac{\sigma}{\beta_1}$, $\beta = \frac{\beta_2}{2\beta_1}$ and then obtain

$$\delta := (b-a)\beta - (d-c)\alpha = -\frac{(3\beta_2-4\beta_1-2)\sigma}{6(\beta_1+2)\beta_1} \leq 0.$$

Hence $\delta \neq 0$ if and only if $\sigma \neq 0$. Using (3.16) and (3.18) when $\delta \neq 0$ and $\delta = 0$ respectively to multiply (3.19) and (3.26), we obtain

$$(3.28) \quad \mathcal{J}_{rV}(r, \lambda) \lesssim \begin{cases} r^{\frac{2}{3}} + r^{\frac{1}{\beta_1+2}}\mu^{\frac{\beta_2}{2\beta_1}} & \text{if } \sigma = 0 \\ r^{\frac{2}{3}} + r^{\tilde{b}_+}\mu^{\frac{\beta_2+2\sigma}{2\beta_1}} & \text{if } \sigma \neq 0 \end{cases}, \quad r \geq 1$$

where

$$\tilde{b}_+ = \max\left(-\frac{\sigma}{\beta_1+2} + \frac{2}{3}, \frac{1}{\beta_1+2}\right) \geq \frac{1}{\beta_1+2} - \frac{\sigma}{\beta_1+2}$$

We again conclude by replacing μ in (3.27) and (3.28) by $r^{-\frac{2}{\beta_1+2}}\lambda$. \square

3.3. From the spectral inequality to observability of scaled Schrödinger operators. We can now prove observability inequalities for “scaled” Schrödinger operators $H_{rV} = -\Delta_x + rV(x)$ on \mathbb{R}^n in which we give an explicit dependence on r . To do so, we will use the following result from [NTTV20] that allows to go from a spectral inequality to an observability inequality. (see [BPS18, Theorem 2.1] for a similar result in which constants are less explicit).

Theorem 3.10 ([NTTV20, Theorem 2.8]). *Let P be a non-negative selfadjoint operator on $L^2(\mathbb{R}^n)$, $s > 0$ and $\omega \subset \mathbb{R}^n$ be measurable. Suppose that there are $\alpha_0 \geq 1$, $\alpha_1 \geq 0$ and $0 < \zeta < s$ such that, for all $\lambda \geq 0$ and $\phi \in \mathcal{E}_\lambda(P)$,*

$$(3.29) \quad \|\phi\|_{L^2(\mathbb{R}^n)}^2 \leq \alpha_0 e^{\alpha_1 \lambda^\zeta} \|\phi\|_{L^2(\omega)}^2.$$

Then there exist positive constants $\kappa_1, \kappa_2, \kappa_3 > 0$ depending only on n, ζ and s , such that for all $T > 0$ and $g \in L^2(\mathbb{R}^n)$ we have the observability estimate

$$\|e^{-tP^s} g\|_{L^2(\mathbb{R}^n)}^2 \leq \frac{C_{\text{obs}}}{T} \int_0^T \|e^{-tP^s} g\|_{L^2(\omega)}^2 dt,$$

where the positive constant $C_{\text{obs}} > 0$ is given by

$$C_{\text{obs}} = \kappa_1 \alpha_0^{\kappa_2} \exp\left(\kappa_3 \alpha_1^{\frac{s}{s-\zeta}} T^{-\frac{\zeta}{s-\zeta}}\right).$$

In [NTTV20], the theorem is stated with $s = 1$, but this form follows directly from the transformation formula for spectral measures (see [Sch12, Proposition 4.24]), for all $s > 0$ and $\lambda \geq 0$ we have

$$\mathcal{E}_\lambda(P^s) = \mathcal{E}_{\lambda^s}(P).$$

We can now prove the following:

Proposition 3.11. *Let $r > 0$ and $V \in L^1_{\text{loc}}(\mathbb{R}^n)$ satisfying one of Assumptions A1-A2, with corresponding constants $c_1, c_2, \beta_1, \beta_2$. Let $H_{rV} = -\Delta + rV$ be the Schrödinger operator associated to rV . Let $0 < \gamma < 1$ and $\sigma \geq 0$ and $\omega \subset \mathbb{R}^n$ be a (γ, σ) -distributed set. Let a_\pm, b_\pm be defined in Proposition 3.7. Let $\zeta = \frac{\beta_2 + 2\sigma}{2\beta_1}$ and $s > \zeta$.*

For $T > 0$ and $g \in L^2(\mathbb{R}^n)$ we have

$$\|e^{-TH_{rV}^s} g\|_{L^2(\mathbb{R}^n)}^2 \leq \frac{C_{\text{obs}}(T, s, rV, \omega)}{T} \int_0^T \|e^{-tH_r^s} g\|_{L^2(\omega)}^2 dt$$

where the positive constant C_{obs} is given by

$$(3.30) \quad C_{\text{obs}}(T, s, rV, \omega) \leq C_0 \exp\left[C_1 \log\left(\frac{1}{\gamma}\right) r^{a_\pm} + C_2 T^{-\frac{\zeta}{s-\zeta}} \log^{\frac{s}{s-\zeta}}\left(\frac{1}{\gamma}\right) r^{\frac{s}{s-\zeta} b_\pm} - C_3 T r^{\frac{2s}{\beta_1+2}}\right]$$

with positive constants C_0, C_1, C_2, C_3 depending on n, σ and on $c_1, c_2, \beta_1, \beta_2$. The exponents a_\pm and b_\pm are given in Proposition 3.7 (a_-, b_- are for $0 < r < 1$ while a_+, b_+ are for $r \geq 1$).

Proof. For $P = H_{rV}$, Inequality (3.29) was established in Proposition 3.7. We can apply Theorem 3.10 with $\alpha_0 = C \exp\left[C_{V, \omega} \log\left(\frac{1}{\gamma}\right) r^{a_\pm}\right] \geq 1$ (we can assume that $C \geq 1$), $\alpha_1 = C \log\left(\frac{1}{\gamma}\right) r^{b_\pm}$. we thus get, the following:

For $T > 0$ and $g \in L^2(\mathbb{R}^n)$ we have

$$\|e^{-\frac{T}{2} H_r^s} g\|_{L^2(\mathbb{R}^n)}^2 \leq \frac{\tilde{C}_{\text{obs}}(T/2, s, rV, \omega)}{T} \int_0^{T/2} \|e^{-tH_r^s} g\|_{L^2(\omega)}^2 dt$$

where the positive constant $\tilde{C}_{\text{obs}}(T/2, s, rV, \omega)$ is given by

$$(3.31) \quad \tilde{C}_{\text{obs}}(T/2, s, rV, \omega) = C_0 \exp\left[C_1 \log\left(\frac{1}{\gamma}\right) r^{a_\pm} + C_2 T^{-\frac{\zeta}{s-\zeta}} \log^{\frac{s}{s-\zeta}}\left(\frac{1}{\gamma}\right) r^{\frac{s}{s-\zeta} b_\pm}\right]$$

with constants $C_0, C_1, C_2 > 0$ depending on n, σ and on $c_1, c_2, \beta_1, \beta_2$ of Assumptions A1-A2 only and a_\pm, b_\pm are given in Proposition 3.7. Recall that a_-, b_- is for $0 < r < 1$ and a_+, b_+ is for $r \geq 1$.

Next, using Corollary 2.5, we get

$$(3.32) \quad \|e^{-TH_r^s} g\|_{L^2(\mathbb{R}^n)}^2 = \|e^{-\frac{T}{2}H_r^s} (e^{-\frac{T}{2}H_r^s} g)\|_{L^2(\mathbb{R}^n)}^2 \leq e^{-\frac{\mu_*}{2} r^{\frac{2s}{\beta_1+2}} T} \|e^{-\frac{T}{2}H_r^s} g\|_{L^2(\mathbb{R}^n)}^2$$

with μ_* depending only on c_1, β_1 and n . Combining (3.31) and (3.32) we obtain (3.30) with $C_3 = \mu_*/2$ and $C_{\text{obs}}(T, s, rV, \omega) = \tilde{C}_{\text{obs}}(T/2, s, rV, \omega) \exp(-C_3 T r^{\frac{2s}{\beta_1+2}})$. \square

Simple calculus shows the following:

Lemma 3.12. *With the notation and conditions of Proposition 3.11*

(i) *for every $T > 0$, $\sup_{0 < r < 1} C_{\text{obs}}(T, s, rV, \omega) < +\infty$ if and only if $a_-, b_- \geq 0$ in which case we obtain*

$$\sup_{0 < r < 1} C_{\text{obs}}(T, s, rV, \omega) \leq A_0(T, s, \gamma) := C_0 \left(\frac{1}{\gamma}\right)^{C_2} \exp\left[C_2 T^{-\frac{\zeta}{s-\zeta}} \log^{\frac{s}{s-\zeta}}\left(\frac{1}{\gamma}\right)\right].$$

(ii) *If $\frac{2s}{\beta_1+2} > \nu := \max\left(a_+, \frac{s}{s-\zeta} b_+\right)$ then $\sup_{r \geq 1} C_{\text{obs}}(T, s, rV, \omega) < +\infty$. Further,*

$$\sup_{r \geq 1} C_{\text{obs}}(T, s, rV, \omega) \leq A_1(T, s, \gamma) := \begin{cases} C_0 \exp C_4 T^{-(\delta + \frac{\zeta}{s-\zeta}(1+\delta))} \log^{\frac{s}{s-\zeta}(1+\delta)}\left(\frac{1}{\gamma}\right) & \text{for } T \leq 1 \\ C_0 \exp C_5 T^{-\delta} \log^{\frac{s}{s-\zeta}(1+\delta)}\left(\frac{1}{\gamma}\right) & \text{otherwise} \end{cases}$$

where $\delta = \left(\frac{2s}{\beta_1+2} - \nu\right)^{-1}$ and C_4, C_5 do not depend on T, γ .

(iii) *If $\frac{2s}{\beta_1+2} = \nu := \max\left(a_+, \frac{s}{s-\zeta} b_+\right)$ then there is a constant C_6 such that, if*

$$T \geq T_* := C_6 \log\left(\frac{1}{\gamma}\right)$$

then $\sup_{r \geq 1} C_{\text{obs}}(T, s, rV, \omega) \leq 1$.

In all other cases, $\sup_{r \geq 1} C_{\text{obs}}(rV, \omega) = +\infty$.

Proof. The first bound is trivial, for the second one, we use that

$$\sup_{r \geq 1} C_{\text{obs}}(T, s, rV, \omega) \leq C_0 \sup_{r \geq 1} \exp\left[C_1 \min(1, T)^{-\frac{\zeta}{s-\zeta}} \log^{\frac{s}{s-\zeta}}\left(\frac{1}{\gamma}\right) r^\nu - C_3 T r^{\frac{2s}{\beta_1+2}}\right]$$

and then that $\sup_{r \geq 1} \exp(Ar^u - Br^v) = \exp\frac{v-u}{u} A \left(\frac{Au}{Bv}\right)^{1/(v-u)}$ when $0 \leq u \leq v$.

For the third bound, we note that, if $T \geq C \log\left(\frac{1}{\gamma}\right)$ then

$$\begin{aligned} C_1 \log\left(\frac{1}{\gamma}\right) r^{a_+} + C_2 T^{-\frac{\zeta}{s-\zeta}} \log^{\frac{s}{s-\zeta}}\left(\frac{1}{\gamma}\right) r^{\frac{b_+ s}{s-\zeta}} - C_3 T r^{\frac{2s}{\beta_1+2}} \\ \leq (C_1 + C_2 C^{-\frac{\zeta}{s-\zeta}} - C_3 C) \log\left(\frac{1}{\gamma}\right) r^\nu \leq 0 \end{aligned}$$

if $C \geq \max\left(1, \frac{C_1 + C_2}{C_3}\right)$. \square

Remark 3.13. From Remark 3.9 we get that, if V, \tilde{V} both satisfy Assumption A1 or Assumption A2 with same parameters c_1, c_2, β_1 and β_2 , then

$$\sup_{r \geq 0} C_{\text{obs}}(T, s, rV + \tilde{V}, \omega) \lesssim \sup_{r \geq 1} C_{\text{obs}}(T, s, rV, \omega).$$

Lemma 3.14. *With the notation and conditions of Proposition 3.11 and assuming that $s > \zeta$, the condition $\frac{2s}{\beta_1+2} > \nu := \max\left(a_+, \frac{s}{s-\zeta} b_+\right)$ (resp. $\frac{2s}{\beta_1+2} = \nu$) simplifies to the following:*

(i) *if V satisfies Assumption A1, $s > s_{A1} := \frac{\beta_1+2}{4}$ (resp. $s = s_{A1}$);*

(ii) if V satisfies Assumption **A2**, $s > s_{A2} := \frac{\beta_1 + 2}{3}$ (resp. $s = s_{A2}$).

Proof. We only prove it under the condition $\frac{2s}{\beta_1 + 2} > \nu$. The critical case $\frac{2s}{\beta_1 + 2} = \nu$ is essentially the same hence we omit here.

(i) Let us first assume that V satisfies Assumption **A1**. Remember that

$$a_+ = \frac{1}{2}, \quad b_+ = \begin{cases} \frac{1 - \sigma - 2\zeta}{\beta_1 + 2} \leq 0 & \text{if } (\beta_1 - \beta_2)\sigma = 0 \\ \max\left(\frac{1}{2} - \frac{\sigma}{\beta_1 + 2}, \frac{1}{\beta_1 + 2}\right) - \frac{2\zeta}{\beta_1 + 2} & \text{if } (\beta_1 - \beta_2)\sigma \neq 0 \end{cases}.$$

In particular, $\frac{2s}{\beta_1 + 2} > a_+$ is satisfied if and only if $s > s_{A1}$. We will thus assume that $s > s_{A1}$ and we only need to prove that $\frac{2s}{\beta_1 + 2} > \frac{s}{s - \zeta}b_+$ as well. As $s > \zeta$, this is equivalent to

$$(3.33) \quad s > \frac{\beta_1 + 2}{2}b_+ + \zeta.$$

Using again that $s > \zeta$, this is obviously satisfied if $b_+ \leq 0$, hence we only need to consider the case $b_+ > 0$, *i.e.*,

$$b_+ = \max\left(\frac{1}{2} - \frac{\sigma}{\beta_1 + 2}, \frac{1}{\beta_1 + 2}\right) - \frac{2\zeta}{\beta_1 + 2} > 0.$$

As $\zeta \geq \frac{1}{2}$, b_+ can only be positive when

$$b_+ = \frac{1}{2} - \frac{\sigma}{\beta_1 + 2} - \frac{2\zeta}{\beta_1 + 2}.$$

Substitute this into (3.33) we obtain the equivalent form

$$s > \frac{\beta_1 + 2}{4} - \frac{\sigma}{2} = s_{A1} - \frac{\sigma}{2}$$

which is clearly satisfied under our assumption $s > s_{A1}$.

(ii) Let us now assume that V satisfies Assumption **A2** with $3\beta_2 \leq 4\beta_1 + 2$ and $s > s_{A2}$. Remember that

$$a_+ = \frac{2}{3}, \quad b_+ = \frac{2}{3} - \left(\frac{\sigma}{\beta_1 + 2} + \frac{\beta_2}{2\beta_1} + \frac{2\zeta}{\beta_1 + 2}\right)$$

Again, $\frac{2s}{\beta_1 + 2} > a_+$ is equivalent to $s > s_{A2}$. We thus assume that $s > s_{A2}$ and we only need to prove (3.33) which, in this case, is equivalent to

$$s > s_{A2} - \frac{\beta_1 + 2}{2} \left(\frac{\sigma}{\beta_1 + 2} + \frac{\beta_2}{2\beta_1} + \frac{2\zeta}{\beta_1 + 2}\right)$$

and is thus clearly satisfied when $s > s_{A2}$.

Assume that V satisfies Assumption **A2** with $3\beta_2 > 4\beta_1 + 2$. Remember that

$$a_+ = \frac{2}{3}, \quad b_+ = \begin{cases} \frac{1}{\beta_1 + 2} - \frac{\beta_2}{(\beta_1 + 2)\beta_1} \leq 0 & \text{if } \sigma = 0 \\ \max\left(\frac{2}{3} - \frac{\sigma}{\beta_1 + 2}, \frac{1}{\beta_1 + 2}\right) - \frac{2\zeta}{\beta_1 + 2} & \text{if } \sigma \neq 0 \end{cases}.$$

As for the previous case, we have to impose $s > s_{A2}$ and only need to show that $\frac{2s}{\beta_1 + 2} > \frac{s}{s - \zeta}b_+$. This is satisfied when $b_+ \leq 0$ so that we only need to consider the case $\sigma > 0$ and

$$b_+ = \frac{2}{3} - \frac{2\zeta + \sigma}{\beta_1 + 2}$$

since $2\zeta \geq 1$. Substitute this into (3.33) we want $s > s_{A2} - (4\zeta + 2\sigma)$ which follows from the assumption $s > s_{A2}$. \square

Let us now determine under which conditions

$$\sup_{r>0} C_{\text{obs}}(T, s, rV, \omega) < +\infty.$$

By Lemma 3.12 (i) it is necessary to ensure

$$a_- \geq 0 \text{ and } b_- \geq 0.$$

From Proposition 3.7, this only happens in the following cases:

- (i) If V satisfies Assumption A1, $a_-, b_- \geq 0$ is equivalent to $\zeta := \frac{\beta_2 + 2\sigma}{2\beta_1} = \frac{1}{2}$ which, as $\beta_2 \geq \beta_1$ and $\sigma \geq 0$, reduces to $\beta_2 = \beta_1$ and $\sigma = 0$.
- (ii) If V satisfies Assumption A2 and $3\beta_2 - 4\beta_1 - 2 \leq 0$, then $b_- < 0$ unless $\sigma(3\beta_2 - 4\beta_1 - 2) = 0$ and in this case $b_- = -\left(\frac{\sigma}{\beta_1 + 2} + \frac{\beta_2 - \beta_1}{\beta_1(\beta_1 + 2)}\right) < 0$ unless $\beta_2 = \beta_1$ and $\sigma = 0$. Note that again $\zeta = \frac{1}{2}$ in this case.
- (iii) If V satisfies Assumption A2 and $3\beta_2 - 4\beta_1 - 2 < 0$, then $b_- < 0$.

Note also that if $\beta_1 = \beta_2$ then $3\beta_2 - 4\beta_1 - 2 = -(\beta_1 + 2) < 0$ so that, if V satisfies Assumption A2, $b_- \geq 0$ if and only if $\beta_2 = \beta_1$ and $\sigma = 0$.

Now it remains to make sure that

$$\sup_{r \geq 1} C_{\text{obs}}(T, s, rV, \omega) < +\infty.$$

By Lemma 3.14 it is equivalent to $s \geq s_{A1}$ (resp. $s \geq s_{A2}$) under Assumption A1 (resp. Assumption A2). Hence we obtain the following corollary from Lemma 3.12 and Lemma 3.14.

Corollary 3.15. *With the notation and conditions of Proposition 3.11, then*

$$\sup_{r>0} C_{\text{obs}}(T, s, rV, \omega) < +\infty$$

if and only if

- (i) V satisfies Assumption A1 with $\beta_1 = \beta_2, \sigma = 0$ and either $s > s_{A1}$ or $s = s_{A1}$ and $T \geq T_*$;
- (ii) V satisfies Assumption A2 with $\beta_1 = \beta_2, \sigma = 0$ and either $s > s_{A2}$ or $s = s_{A2}$ and $T \geq T_*$.

Further if V satisfies Assumption A1 (resp. V satisfies Assumption A2) and the above conditions is satisfied, then set $s_A = s_{A1}$, (resp. $s_A = s_{A2}$) $\delta = \frac{\beta_1 + 2}{2(s - s_A)}$, then

- (a) if $s > s_A$ and $T \leq 1$,

$$(3.34) \quad B_-(T, s, rV, \omega) := \sup_{r>0} C_{\text{obs}}(s, rV, \omega) \lesssim \left(\frac{1}{\gamma}\right)^{C_1} \exp\left[C_2 T^{-\frac{1}{2s-1}} \log^{-\frac{2s}{2s-1}}\left(\frac{1}{\gamma}\right)\right] \\ + \exp\left[C_3 T^{-\delta - \frac{1+\delta}{2s-1}} \log^{-\frac{2s}{2s-1}(1+\delta)}\left(\frac{1}{\gamma}\right)\right];$$

- (b) if $s > s_A$ and $T \geq 1$,

$$(3.35) \quad B_+(T, s, rV, \omega) := \sup_{r>0} C_{\text{obs}}(s, rV, \omega) \lesssim \left(\frac{1}{\gamma}\right)^{C_1} \exp\left[C_2 T^{-\frac{1}{2s-1}} \log^{-\frac{2s}{2s-1}}\left(\frac{1}{\gamma}\right)\right] \\ + \exp\left[C_3 T^{-\delta} \log^{-\frac{2s}{2s-1}(1+\delta)}\left(\frac{1}{\gamma}\right)\right];$$

- (c) if $s = s_A$ and $T \geq T_*$,

$$(3.36) \quad B_=(T, s, rV, \omega) := \sup_{r>0} C_{\text{obs}}(s, rV, \omega) \lesssim \left(\frac{1}{\gamma}\right)^{C_1} \exp\left[C_2 T^{-\frac{1}{2s-1}} \log^{-\frac{2s}{2s-1}}\left(\frac{1}{\gamma}\right)\right] + 1.$$

4. ESSENTIAL SELF ADJOINTNESS OF BAOUENDI-GRUSHIN OPERATORS

The results and the proofs in this section are essentially the same as for [DM21, Proposition 3.1].

For $f \in L^1(\mathbb{R}^n \times \mathbb{R}^m)$, we write its partial Fourier transform as

$$\mathcal{F}_2[f](x, \eta) = f^\eta(x) = (2\pi)^{-m/2} \int_{\mathbb{R}^m} f(x, y) e^{-i\langle y, \eta \rangle} d\eta \quad \eta \in \mathbb{R}^m.$$

For $f \in L^1(\mathbb{R}^n \times \mathbb{R}^m) \cap L^2(\mathbb{R}^n \times \mathbb{R}^m)$, Parseval's relation writes $\|\mathcal{F}_2[f]\|_{L^2(\mathbb{R}^{n+m})} = \|f\|_{L^2(\mathbb{R}^{n+m})}$. We may thus extend \mathcal{F} into a unitary transform on $L^2(\mathbb{R}^n \times \mathbb{R}^m)$ and in particular f^η is well defined for almost every η and, for $u \in L^2(\mathbb{R}^n)$, $v \in L^2(\mathbb{R}^m)$,

$$\int_{\mathbb{R}^{n+m}} f(x, y) \overline{u(x)v(y)} dx dy = \int_{\mathbb{R}^m} \int_{\mathbb{R}^n} \mathcal{F}_2[f](x, \eta) \overline{u(x)} dx \overline{\widehat{v}(\eta)} d\eta$$

where \widehat{u} (resp. \widehat{v}) is the usual Fourier transforms of u in $L^2(\mathbb{R}^n)$, resp. of v in $L^2(\mathbb{R}^m)$.

We will use the same notation for $f \in L^1(\mathbb{R}^n \times \mathbb{T}^m)$, and its partial Fourier coefficient as

$$\mathcal{F}_2^p[f](x, k) = f^k(x) = (2\pi)^{-m/2} \int_{\mathbb{T}^m} f(x, y) e^{-i\langle y, k \rangle} d\eta \quad k \in \mathbb{Z}^m.$$

For $f \in L^1(\mathbb{R}^n \times \mathbb{T}^m) \cap L^2(\mathbb{R}^n \times \mathbb{T}^m)$, Parseval's relation writes $\|\mathcal{F}_2[f]\|_{L^2(\mathbb{R}^n, \ell^2(\mathbb{Z}^m))} = \|f\|_{L^2(\mathbb{R}^n \times \mathbb{T}^m)}$. We may thus extend \mathcal{F} into a unitary transform from $L^2(\mathbb{R}^n \times \mathbb{T}^m)$ to $L^2(\mathbb{R}^n, \ell^2(\mathbb{Z}^m))$. In particular, for $u \in L^2(\mathbb{R}^n)$, $v \in L^2(\mathbb{T}^m)$,

$$\int_{\mathbb{R}^n \times \mathbb{T}^m} f(x, y) \overline{u(x)v(y)} dx dy = \sum_{k \in \mathbb{Z}^m} \int_{\mathbb{R}^n} \mathcal{F}_2[f](x, k) \overline{u(x)} dx \overline{c_k(v)}$$

where $(c_k(v))_{k \in \mathbb{Z}^m}$ are the usual Fourier coefficients of v .

Proposition 4.1. *Let $V \in L^1_{\text{loc}}(\mathbb{R}^n)$ and assume that V satisfies assumption A2. Let $\mathcal{L}_V = -\Delta_x - V(x)\Delta_y$, then \mathcal{L} is essentially self-adjoint on $L^2(\mathbb{R}^n \times \mathbb{R}^m)$ as well as on $L^2(\mathbb{R}^n \times \mathbb{T}^m)$.*

Proof. Let \mathcal{L}^* be the Hilbert adjoint of \mathcal{L} on $L^2(\mathbb{R}^{n+m})$. According to [RS72, Corollary of Theorem VIII.3] it is enough to show that, for every $\lambda \in \mathbb{C} \setminus \mathbb{R}$, $\mathcal{L}^* - \lambda$ is one-to-one. We thus want to show that, if $f \in L^2(\mathbb{R}^{n+m})$ is such that, for every $\varphi \in \mathcal{C}_c^\infty(\mathbb{R}^{n+m})$,

$$\int_{\mathbb{R}^{n+m}} f(x, y) \overline{(-\Delta_x - V(x)\Delta_y - \lambda)\varphi(x, y)} dx dy = 0$$

then $f = 0$.

Taking $\varphi(x, y) = u(x)v(y)$ with u, v smooth and compactly supported, we assume that

$$\begin{aligned} 0 &= \int_{\mathbb{R}^m} \int_{\mathbb{R}^n} f(x, y) \overline{(-\Delta u(x) - \lambda u(x))} dx \overline{v(y)} dy - \int_{\mathbb{R}^m} \int_{\mathbb{R}^n} f(x, y) V(x) u(x) dx \overline{\Delta v(y)} dy \\ &= \int_{\mathbb{R}^m} \int_{\mathbb{R}^n} \mathcal{F}_2[f](x, \eta) \overline{(-\Delta + |\eta|^2 V(x) - \lambda)u(x)} dx \overline{\widehat{v}(\eta)} d\eta. \end{aligned}$$

This implies that, for every $u \in \mathcal{C}_c(\mathbb{R}^n)$,

$$\int_{\mathbb{R}^n} \mathcal{F}_2[f](x, \eta) \overline{(-\Delta + |\eta|^2 V(x) - \lambda)u(x)} dx = 0$$

for almost every η . Consider the Schrödinger operator $H_\eta = -\Delta + |\eta|^2 V(x)$ which, under assumption A2 is essentially self-adjoint so that, if $g \in L^2(\mathbb{R}^n)$, then

$$\int_{\mathbb{R}^n} g(x) \overline{(H_\eta - \lambda)u(x)} dx = 0$$

for every $u \in \mathcal{C}_c^\infty(\mathbb{R}^n)$ implies that $g = 0$ a.e. We conclude that $\mathcal{F}_2[f](x, \eta) = 0$ for almost every x and almost every η so that $f = 0$ a.e.

On $L^2(\mathbb{R}^n \times \mathbb{T}^m)$, we replace partial Fourier transform with partial Fourier coefficients. \square

	Assumption A2	Assumption A1
$s > (\beta_1 + 2)/3$	$s > (\beta + 2)/3$, exactly null-controllable for any $T > 0$	exactly null-controllable for any $T > 0$
$s = (\beta_1 + 2)/3$	$s = (\beta + 2)/3$, exactly null-controllable for $T \geq T^*$	
$s > (\beta_1 + 2)/4$	not known under Assumption A2 even for the standard case	exactly null-controllable for $T \geq T^*$
$s = (\beta_1 + 2)/4$		not known under Assumption A1 see Remark 1.11 for the standard case
$s < (\beta_1 + 2)/4$		not known under Assumption A1 see Remark 1.11 for the standard case

TABLE 1. Exactly null-controllability results. For the case $y \in \mathbb{T}^m$, we need to set $\beta = \beta_1$. For the case $y \in \mathbb{R}^m$, we need to assume $\beta = \beta_1 = \beta_2$.

5. PROOF OF THE EXACT OBSERVABILITY INEQUALITIES

We are now ready to prove the main theorem. Let us recall what we want to prove in the synthetic table, Table 1.

As already mentioned, it is enough to prove the observability properties. Let us start with the non-periodic case. The observability equation corresponding to $(E_{BG,s})$ is the following:

Theorem 5.1. *Let $T > 0$, $\beta_1 = \beta_2 > 0$, and $\gamma > 0$. Let $V \in L^1_{\text{loc}}(\mathbb{R}^n)$ that satisfies Assumption **A1** (resp. Assumption **A2**) and let $\mathcal{L}_V = -\Delta_x - V(x)\Delta_y$ be the corresponding Baouendi-Grushin operator on $\mathbb{R}^n \times \mathbb{R}^m$. Let $\omega \subset \mathbb{R}^n$ be a γ -equidistributed set. Then there exists a constant $C_{\text{obs}}^{\mathcal{L}}(T, s, V, \omega)$ such that the inequality*

$$\left\| e^{-T\mathcal{L}_V^s} f \right\|_{L^2(\mathbb{R}^n \times \mathbb{R}^m)} \leq C_{\text{obs}}^{\mathcal{L}}(T, s, V, \omega) \int_0^T \left\| e^{-t\mathcal{L}_V^s} f \right\|_{L^2(\omega \times \mathbb{R}^m)} dt$$

holds for every $f \in L^2(\mathbb{R}^n \times \mathbb{R}^m)$ in the following cases

- (i) $s > s_{A1}$ (resp. $s > s_{A2}$);
- (ii) $s = s_{A1}$ (resp. $s = s_{A2}$) and $T > T_*$.

Here $T_* \gtrsim \log \frac{1}{\gamma}$ is given by Lemma 3.12.

Proof. We have, using Fubini, Parseval (for \mathcal{F}_2) and Proposition 3.11

$$\begin{aligned} \left\| e^{-T\mathcal{L}_V^s} u \right\|_{L^2(\mathbb{R}^n \times \mathbb{R}^m)}^2 &= \left\| \mathcal{F}_2[e^{-T\mathcal{L}_V^s} u] \right\|_{L^2(\mathbb{R}^n \times \mathbb{R}^m)}^2 = \int_{\mathbb{R}^m} \int_{\mathbb{R}^n} \left| e^{-tH_{|\eta|^2}^s} \mathcal{F}_2[u](x, \eta) \right|^2 dx d\eta \\ &\leq \int_{\mathbb{R}^m} \frac{C_{\text{obs}}(T, s, |\eta|^2 V, \omega)}{T} \int_0^T \int_{\omega} \left| e^{-tH_{|\eta|^2}^s} \mathcal{F}_2[u](x, \eta) \right|^2 dx d\eta dt \\ &\leq \frac{\sup_{r>0} C_{\text{obs}}(T, s, rV, \omega)}{T} \int_0^T \int_{\omega} \int_{\mathbb{R}^m} \left| e^{-tH_{|\eta|^2}^s} \mathcal{F}_2[u](x, \eta) \right|^2 dx d\eta dt \\ &= \frac{\sup_{r>0} C_{\text{obs}}(T, s, rV, \omega)}{T} \int_0^T \int_{\omega} \int_{\mathbb{R}^m} \left| e^{-t\mathcal{L}_V^s} u(x, y) \right|^2 dx dy dt \end{aligned}$$

provided

$$C_{\text{obs}}^{\mathcal{L}}(T, s, V, \omega) := \frac{1}{T} \sup_{r>0} C_{\text{obs}}(T, s, rV, \omega) < +\infty.$$

It remains to use Proposition 3.11 and Lemma 3.12 to conclude that the observability inequality holds in the listed case. \square

Remark 5.2. The proof actually also provides an estimate of the observability constants, namely

- (i) when $s > s_{A1}$ (resp. $s > s_{A2}$) and $C_{\text{obs}}^{\mathcal{L}}(T, s, V, \omega) \lesssim \frac{B_-(T, s, \omega, V)}{T}$ when $T < 1$ and $C(T, s, \omega, V) \lesssim \frac{B_+(T, s, \omega, V)}{T}$ when $T \geq 1$ where B_- and B_+ are defined in (3.34)-(3.35);

- (ii) when $s = s_{A1}$ (resp. $s = s_{A2}$), $T > T_*$ and $C_{\text{obs}}^{\mathcal{L}}(T, s, V, \omega) \lesssim \frac{B_=(T, s, \omega, V)}{T}$ with $B_ =$ defined in (3.36).

Next, we show that adding a zero-order term to \mathcal{L}_V allows to obtain observability corresponding to $(E_{BGS,s})$ from smaller sets:

Proposition 5.3. *Let $T > 0$, $\sigma \geq 0$, and $\gamma > 0$. Let $V, \tilde{V} \in L^1_{\text{loc}}(\mathbb{R}^n)$ that satisfy Assumption A2 (resp. Assumption A1) with same parameters β_1, β_2 and let $\mathcal{L}_{V, \tilde{V}} = -\Delta_x - V(x)\Delta_y + \tilde{V}$ be the corresponding Baouendi-Grushin-Schrödinger operator on $\mathbb{R}^n \times \mathbb{R}^m$. Let $\omega \subset \mathbb{R}^n$ be a (γ, σ) -distributed set. Assume further that $s, \beta_1, \beta_2, \sigma, T$ satisfy (ii) or (iii) with in Lemma 3.12.*

Then there exists a constant $C_{\text{obs}}^{\mathcal{L}}(T, s, V, \tilde{V}, \omega)$ such that for every $f \in L^2(\mathbb{R}^n \times \mathbb{R}^m)$

$$\left\| e^{-T\mathcal{L}_{V, \tilde{V}}^s} f \right\|_{L^2(\mathbb{R}^n \times \mathbb{R}^m)} \leq C_{\text{obs}}^{\mathcal{L}}(T, s, V, \tilde{V}, \omega) \int_0^T \left\| e^{-t\mathcal{L}_{V, \tilde{V}}^s} f \right\|_{L^2(\omega \times \mathbb{R}^m)} dt.$$

Proof. We have, using Fubini, Parseval (for \mathcal{F}_2) and Proposition 3.11

$$\begin{aligned} \left\| e^{-T\mathcal{L}_{V, v_0}^s} u \right\|_{L^2(\mathbb{R}^n \times \mathbb{R}^m)}^2 &= \left\| \mathcal{F}_2[e^{-T\mathcal{L}_{V, v_0}^s} u] \right\|_{L^2(\mathbb{R}^n \times \mathbb{R}^m)}^2 = \int_{\mathbb{R}^m} \int_{\mathbb{R}^n} \left| e^{-TH^s_{|\eta|^2 V + v_0}} \mathcal{F}_2[u](x, \eta) \right|^2 dx d\eta \\ &\leq \int_{\mathbb{R}^m} \frac{C_{\text{obs}}(T, s, (1 + |\eta|^2)V, \omega)}{T} \int_0^T \int_{\omega} \left| e^{-tH^s_{|\eta|^2 V + v_0}} \mathcal{F}_2[u](x, \eta) \right|^2 dx d\eta dt. \end{aligned}$$

Here we use Remark 3.13 to absorb \tilde{V} into V . We thus get

$$\left\| e^{-T\mathcal{L}_{V, v_0}^s} u \right\|_{L^2(\mathbb{R}^n \times \mathbb{R}^m)}^2 \leq \frac{\sup_{r \geq 1} C_{\text{obs}}(T, s, rV, \omega)}{T} \int_0^T \int_{\omega} \int_{\mathbb{R}^m} \left| e^{-t\mathcal{L}_{V, v_0}^s} u(x, y) \right|^2 dx dy dt$$

provided

$$C_{\text{obs}}^{\mathcal{L}}(T, s, V, \tilde{V}, \omega) := \frac{1}{T} \sup_{r > 1} C_{\text{obs}}(T, s, rV, \omega) < +\infty.$$

It remains to use Lemmas 3.12 and 3.14 to conclude. \square

We finally treat the semi-periodic case:

Theorem 5.4. *Let $T > 0$, $\beta_2 \geq \beta_1 > 0$, and $\gamma > 0$. Let $V \in L^1_{\text{loc}}(\mathbb{R}^n)$ that satisfies Assumption A1 (resp. Assumption A2) and let $\mathcal{L}_V = -\Delta_x - V(x)\Delta_y$ be the corresponding Baouendi-Grushin operator on $\mathbb{R}^n \times \mathbb{T}^m$. Let $\omega \subset \mathbb{R}^n$ be a γ -equidistributed set. Then there exists a constant $C_{\text{obs}}^{\mathcal{L}}(T, s, V, \omega)$ such that the inequality*

$$\left\| e^{-T\mathcal{L}_V^s} f \right\|_{L^2(\mathbb{R}^n \times \mathbb{T}^m)} \leq C_{\text{obs}}^{\mathcal{L}}(T, s, V, \omega) \int_0^T \left\| e^{-t\mathcal{L}_V^s} f \right\|_{L^2(\omega \times \mathbb{T}^m)} dt$$

holds for every $f \in L^2(\mathbb{R}^n \times \mathbb{T}^m)$ in the following cases

- (i) $s > s_{A1}$ (resp. $s > s_{A2}$);
- (ii) $s = s_{A1}$ (resp. $s = s_{A2}$) and $T > T_*$.

Here $T_* \gtrsim \log \frac{1}{\gamma}$ is given by Lemma 3.12.

Proof. We have, using Fubini and Parseval (for \mathcal{F}_2^p)

$$\left\| e^{-T\mathcal{L}_V^s} u \right\|_{L^2(\mathbb{R}^n \times \mathbb{T}^m)}^2 = \left\| \mathcal{F}_2^p[e^{-T\mathcal{L}_V^s} u] \right\|_{L^2(\mathbb{R}^n \times \mathbb{T}^m)}^2 = \sum_{k \in \mathbb{Z}^m} \int_{\mathbb{R}^n} \left| e^{-TH^s_{|k|^2 V}} \mathcal{F}_2^p[u](x, k) \right|^2 dx.$$

For $k = 0$, we use that a γ -equidistributed set is also γ -thick. Then, as $H_{0V} = \Delta$ we can appeal to Theorem 1.4 to bound

$$\int_{\mathbb{R}^n} \left| e^{-TH_{0V}^s} \mathcal{F}_2^p[u](x, k) \right|^2 dx \leq C \int_0^T \int_{\omega} \left| e^{-tH_{0V}^s} \mathcal{F}_2^p[u](x, k) \right|^2 dx dt.$$

For $k \neq 0$, we have $|k| \geq 1$. Then we apply Lemma 3.12, Lemma 3.14 and Proposition 3.11 to obtain

$$\sum_{k \in \mathbb{Z}^m \setminus \{0\}} \int_{\mathbb{R}^n} \left| e^{-TH_{|k|^2}^s} \mathcal{F}_2^p[u](x, k) \right|^2 dx \leq C \sum_{k \in \mathbb{Z}^m \setminus \{0\}} \int_0^T \int_{\omega} \left| e^{-TH_{|k|^2}^s} \mathcal{F}_2^p[u](x, k) \right|^2 dx dt.$$

Grouping both estimates and applying Parseval's relation gives us the desired observability inequality. \square

Note that the $k = 0$ case in the above proof requires ω to be γ -thick so that, for this proof to work for (γ, σ) -distributed sets, one needs $\sigma = 0$.

6. DATA AVAILABILITY

No data has been generated or analysed during this study.

7. FUNDING AND/OR CONFLICTS OF INTERESTS/COMPETING INTERESTS

The authors have no relevant financial or non-financial interests to disclose.

Ce travail a bénéficié d'une aide de l'État attribué à l'Université de Bordeaux en tant qu'Initiative d'excellence, au titre du plan France 2030.

REFERENCES

- [ABM21] D. Allonsius, F. Boyer & M. Morancey. Analysis of the null controllability of degenerate parabolic systems of Grushin type via the moments method. *Journal of Evolution Equations*, **21** (2021), 4799–4843.
- [Alp20] P. Alphonse. Null-controllability of evolution equations associated with fractional Shubin operators through quantitative Agmon estimates. *To appear in Annales de l'Institut Fourier*, *arXiv:2012.04374*, 2020.
- [AS23] P. Alphonse & A. Seilmann. Quantitative spectral inequalities for the anisotropic Shubin operators and applications to null-controllability *arXiv:2212.10842*, 2022.
- [BBL76] J. F. Barnes, H. Brascamp & E. H. Lieb. Lower bound for the ground state energy of the Schrödinger equation using the sharp form of Uoung's inequality. In *Studies in mathematical physics*. 1976.
- [CBG13] K. Beauchard, P. Cannarsa & R. Guglielmi. Null controllability of Grushin-type operators in dimension two. *Journal of the European Mathematical Society*, **16** (2013), 67–101.
- [BDE20] K. Beauchard, J. Dardé & S. Ervedoza. Minimal time issues for the observability of Grushin-type equations. *Annales de l'Institut Fourier*, **70** (2020), 247–312, 2020.
- [BJPS21] K. Beauchard, Ph. Jaming & K. Pravda-Starov. Spectral inequality for finite combinations of hermite functions and null-controllability of hypoelliptic quadratic equations. *Studia Mathematica*, **260** (2021), 1–43.
- [BMM15] K. Beauchard, L. Miller & M. Morancey. 2D Grushin-type equations: minimal time and null controllable data. *Journal of Differential Equations*, **259** (2015), 5813–5845.
- [BPS18] K. Beauchard & K. Pravda-Starov. Null-controllability of hypoelliptic quadratic differential equations. *Journal de l'École polytechnique-Mathématiques*, **5** (2018), 1–43.
- [BS91] F. A. Berezin & M. A. Shubin. *The Schrödinger Equation*. Kluwer, Dordrecht, 1991.
- [Co07] J.-M. Coron. *Control and nonlinearity*. Mathematical Surveys and Monographs 136, AMS, Providence, RI (2007).
- [DM21] G. M. Dall'Ara & A. Martini. An optimal multiplier theorem for Grushin operators in the plane, I. *arXiv:2107.12015*, 2021.
- [DKR22] J. Dardé, A. Koenig & J. Royer. Null-controllability properties of the generalized two-dimensional Baouendi-Grushin equation with non-rectangular control sets. *arXiv:2207.03313*, 2022.
- [DSV22] A. Dicke, A. Seilmann & I. Veselić. Spectral inequality with sensor sets of decaying density for schrödinger operators with power growth potentials. *arXiv:2206.08682*, 2022.
- [DSV23] A. Dicke, A. Seilmann & I. Veselić. Uncertainty Principle for Hermite functions and null-controllability with sensor sets of decaying density. *Journal of Fourier Analysis and Applications*, **29** (2023), Article N° 11.
- [DK20] M. Duprez & A. Koenig. Control of the Grushin equation: non-rectangular control region and minimal time. *ESAIM: Control, Optimisation and Calculus of Variations*, **26** (2020), Article N° 3.
- [ES21] M. Egidi & A. Seilmann. An abstract Logvinenko-Sereda type theorem for spectral subspaces. *Journal of Mathematical Analysis and Applications*, **500** (2021), Article N° 125149.
- [EV18] M. Egidi & I. Veselić. Sharp geometric condition for null-controllability of the heat equation on \mathbb{R}^d and consistent estimates on the control cost. *Archiv der Mathematik*, **111** (2018), 85–99.
- [FrMu16] G. Fragnelli & D. Mugnai. Carleman estimates, observability inequalities and null controllability for interior degenerate non smooth parabolic equations *Memoirs of the American Mathematical Society*, **242** (2016).
- [GST20] D. Gallaun, C. Seifert & M. Tautenhahn. Sufficient criteria and sharp geometric conditions for observability in Banach spaces. *SIAM Journal on Control and Optimization*, **58** (2020), 2639–2657.
- [Koe17] A. Koenig. Non-null-controllability of the Grushin operator in 2D. *Comptes Rendus Mathématique*, **355** (2017), 1215–1235.

- [Kov01] O. Kovrijkine. Some results related to the logvinenko-sereda theorem. *Proceedings of the American Mathematical Society*, **129** (2001), 3037–3047.
- [Li88] J.-L. Lions, *Contrôlabilité exacte, perturbations et stabilisation de systèmes distribués*. Tome 1 et 2, vol. 8, Recherches en Mathématiques Appliquées, Masson, Paris (1988).
- [Lis22] P. Lissy. A non-controllability result for the half-heat equation on the whole line based on the prolate spheroidal wave functions and its application to the Grushin equation. *hal-02420212*, 2019.
- [LR95] G. Lebeau & L. Robbiano. Contrôle exact de l'équation de la chaleur. *Communications in Partial Differential Equations*, **20**, (1995), 335–356.
- [LT01] E. H. Lieb & W. E. Thirring. Inequalities for the moments of the eigenvalues of the Schrödinger hamiltonian and their relation to Sobolev inequalities. *The Stability of Matter: From Atoms to Stars: Selecta of Elliott H. Lieb*, pages 205–239, 2001.
- [Ma22] J. Martin. Spectral Inequalities For Anisotropic Shubin Operators. *arXiv:2205.11868v2*.
- [MPS22] J. Martin & K. Pravda-Starov. Spectral inequalities for combinations of Hermite functions and null-controllability for evolution equations enjoying Gelfand–Shilov smoothing effects. To appear in *Journal of the Institute of Mathematics of Jussieu*, *arXiv:1804.04895*, 2020.
- [Mi09] L. Miller. Unique continuation estimates for sums of semiclassical eigenfunctions and null-controllability from cones. *hal-00411840, version 2*.
- [NTTV20] I. Nakić, M. Täufer, M. Tautenhahn & I. Veselić. Sharp estimates and homogenization of the control cost of the heat equation on large domains. *ESAIM: Control, Optimisation and Calculus of Variations*, **26** (2020), Article N° 54.
- [RS72] M. Reed & B. Simon. *Methods of modern mathematical physics. I. Functional analysis*. Academic Press, New York-London, 1972.
- [RMV13] C. Rojas-Molina & I. Veselić. Scale-free unique continuation estimates and applications to random Schrödinger operators. *Communications in mathematical physics*, **320**(2013), 245–274.
- [Sch12] K. Schmüdgen. *Unbounded self-adjoint operators on Hilbert space*, volume 265. Springer Science & Business Media, 2012.
- [TT11] G. Tenenbaum & M. Tucsnak. On the null-controllability of diffusion equations. *ESAIM: Control, Optimisation and Calculus of Variations*, **17** (2011), 1088–1100.
- [TW09] M. Tucsnak & G. Weiss. *Observation and Control for Operator Semigroups*. Birkhäuser, Basel-Boston-Berlin, 2009.
- [WWZZ19] G. Wang, M. Wang, C. Zhang & Y. Zhang. Observable set, observability, interpolation inequality and spectral inequality for the heat equation in \mathbb{R}^n . *Journal de Mathématiques Pures et Appliquées*, **126** (2019) 144–194.
- [ZZ23] J. Zhu & J. Zhuge. Spectral inequality for Schrödinger equations with power growth potentials. *arXiv:2301.12338*, 2023.

UNIV. BORDEAUX, CNRS, BORDEAUX INP, IMB, UMR 5251, F-33400 TALENCE, FRANCE
 Email address: philippe.jaming@math.u-bordeaux.fr, yunlei.wang@math.u-bordeaux.fr