

Tunneling for spatially cut-off $P(\phi)_2$ - Hamiltonian

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Introduction

(Spatially cut-off) $P(\phi)_2$ -Hamiltonian $-L + V_\lambda$ is an ∞ -dimensional Schrödinger operator defined on

$L^2(\mathcal{S}'(I), \mu)$, where $I = [-l/2, l/2]$ or $I = \mathbb{R}$ and

$$\lambda = \frac{1}{\hbar}.$$

I explain my recent results:

- Determination of the semi-classical limit of $E_1(\lambda)$ as $\lambda \rightarrow \infty$
- An estimate on the asymptotic behavior of the gap of spectrum $E_2(\lambda) - E_1(\lambda)$ as $\lambda \rightarrow \infty$.

Plan of Talk

1. $P(\phi)_2$ -Hamiltonian
2. Results for Schrödinger operator $-\Delta + \lambda U(\cdot/\lambda)$
3. Main Result 1 : $\lim_{\lambda \rightarrow \infty} E_1(\lambda)$
4. Main Result 2 :

$$\limsup_{\lambda \rightarrow \infty} \frac{\log (E_2(\lambda) - E_1(\lambda))}{\lambda} \leq -d_U^W(-h_0, h_0)$$

(= $-d_U^{Ag}(-h_0, h_0)$ if $I = [-l/2, l/2]$)

5. Properties of Agmon distance d_U^{Ag} .

$P(\phi)_2$ -Hamiltonian

Let $I = [-l/2, l/2]$ or $I = \mathbb{R}$ and $m > 0$. Let $H^s(I, dx)$ be the Sobolev space with the norm:

$$\|\varphi\|_{H^s(I, dx)} = \|(m^2 - \Delta)^{s/2} \varphi\|_{L^2(I, dx)}.$$

Let $H = H^{1/2}(I, dx)$. Let μ be the Gaussian measure whose covariance operator is $(m^2 - \Delta)^{-1/2}$ on $L^2(I, dx)$.

Let us consider a Hilbert space \mathcal{W} :

(1) When $I = [-l/2, l/2]$, $\mathcal{W} = H^{-\varepsilon}(I, dx)$, where ε is any positive number.

(2) When $I = \mathbb{R}$,

$$\mathbf{W} = \left\{ w \in \mathcal{S}'(\mathbb{R}) \mid \right. \\ \left. \|w\|_{\mathbf{W}}^2 = \int_{\mathbb{R}} |(1 + |x|^2 - \Delta)^{-1} w(x)|^2 dx < \infty \right\}.$$

Then $(\mathbf{W}, \mathbf{H}, \mu)$ is an abstract Wiener space in the sense of Gross. Define a self-adjoint operator \mathbf{A} on \mathbf{H} by

$$\begin{aligned} \mathbf{A}h &= (m^2 - \Delta)^{1/4} h, \\ \mathbf{D}(\mathbf{A}) &= H^1 \subset \mathbf{H}. \end{aligned}$$

Definition 1 (Free Hamiltonian)

Let \mathcal{E}_A be the Dirichlet form defined by

$$\mathcal{E}_A(f, f) = \int_{\mathcal{W}} \|ADf(w)\|_H^2 d\mu(w) \quad f \in \mathbf{D}(\mathcal{E}_A),$$

where

$$\mathbf{D}(\mathcal{E}_A) = \left\{ f \mid Df(w) \in \mathbf{D}(A) \text{ and } \int_{\mathcal{W}} \|ADf(w)\|_H^2 d\mu(w) < \infty \right\},$$

D : H -derivative,

– L : the non-negative generator of \mathcal{E}_A .

Definition 2 Let $P(x) = \sum_{k=0}^{2M} a_k x^k$ with $a_{2M} > 0$.

Let $g \in C_0^\infty(I)$ with $g(x) \geq 0$ for all x and define

$$V(h) = \int_I P(h(x))g(x)dx \quad h \in H$$

$$U(h) = \frac{1}{4} \|Ah\|_H^2 + V(h) \quad \text{for } h \in \mathbf{D}(A).$$

Remark 3 V is well-defined on H and we can rewrite

$$U(h) = \frac{1}{4} \int_I (h'(x)^2 + m^2 h(x)^2) dx \\ + \int_I P(h(x))g(x)dx \quad h \in H^1.$$

Definition 4 (1) Let $\lambda > 0$. For the polynomial $P = P(x) = \sum_{k=0}^{2M} a_k x^k$ with $a_{2M} > 0$, define

$$\begin{aligned} \int_I : P \left(\frac{w(x)}{\sqrt{\lambda}} \right) : g(x) dx \\ = \sum_{k=0}^{2M} a_k \int_I : \left(\frac{w(x)}{\sqrt{\lambda}} \right)^k : g(x) dx. \end{aligned}$$

We write

$$: V \left(\frac{w}{\sqrt{\lambda}} \right) : = \int_I : P \left(\frac{w(x)}{\sqrt{\lambda}} \right) : g(x) dx$$

and

$$V_\lambda(w) = \lambda : V \left(\frac{w}{\sqrt{\lambda}} \right) : .$$

(2) It is known that $(-L + V_\lambda, \mathfrak{F}C_A^\infty(W))$ is essentially self-adjoint, where $\mathfrak{F}C_A^\infty(W)$ denotes the set of smooth cylindrical functions.

We use the same notation $-L + V_\lambda$ for the self-adjoint extension.

It is known that $-L + V_\lambda$ is bounded from below and the lowest eigenvalue $E_1(\lambda)$ is simple.

Some known results

- (Hoegh-Krohn and Simon 1972)
 $\sigma_{ess}(-L + V_\lambda) \cap [E_1(\lambda), E_1(\lambda) + m) = \emptyset.$
- (Simon 1972) Example of spatially cut-off $P(\phi)_2$ -Hamiltonian for which there exist an eigenvalue which is in a continuous spectrum.
- (Derezinski and Gérard, 2000) $-L + V_\lambda$ does not have singular continuous spectrum.
- (A.Arai, 1996) Calculation of $\lim_{\lambda \rightarrow \infty} \text{tr} e^{t(L - V_\lambda)/\lambda}$ for certain $P(\phi)$ -type models (not including $P(\phi)_2$ -model)

Schrödinger operators on \mathbb{R}^N

Assume

- (i) $U \in C^\infty(\mathbb{R}^N)$, $U(x) \geq 0$ for all $x \in \mathbb{R}^N$ and $\liminf_{|x| \rightarrow \infty} U(x) > 0$.
- (ii) $\{x \mid U(x) = 0\} = \{x_1, \dots, x_n\}$.
- (iii) $Q_i = \frac{1}{2} D^2 U(x_i) > 0$ for all i .

Then the lowest eigenvalue $E_1(\lambda)$ of $-\Delta + \lambda U(\cdot/\sqrt{\lambda})$ is simple and

$$\lim_{\lambda \rightarrow \infty} E_1(\lambda) = \min_{1 \leq i \leq n} \operatorname{tr} \sqrt{Q_i}.$$

In addition to (i), (ii), (iii), we assume the symmetry of U :

$$(iv) \quad U(x) = U(-x),$$

$$(v) \quad \{x \mid U(x) = 0\} = \{-x_0, x_0\} \quad (x_0 \neq 0).$$

Then we have (due to Harrell, Jona-Lasinio, Martinelli and Scoppola, Simon, Helffer and Sjöstrand,...)

$$\lim_{\lambda \rightarrow \infty} \frac{\log(E_2(\lambda) - E_1(\lambda))}{\lambda} = -d_U^{Ag}(-x_0, x_0),$$

where $E_2(\lambda)$ is the second eigenvalue and $d_U^{Ag}(-x_0, x_0)$ is the Agmon distance between $-x_0$ and x_0 such that

$$d_U^{Ag}(-x_0, x_0) = \inf \left\{ \int_{-T}^T \sqrt{U(x(t))} |\dot{x}(t)| dt \right. \\ \left. \begin{array}{l} | \quad x \text{ is a smooth curve on } \mathbb{R}^N \\ \text{with } x(-T) = -x_0, x(T) = x_0 \end{array} \right\}.$$

The definition is independent of $T > 0$.

The Agmon distance $d_U^{Ag}(-x_0, x_0)$ is equal to the following action integral which is introduced by

Carmona and Simon (1981). The minimizing path of the following variational problem is called an instanton.

$$d_U^{CS}(-x_0, x_0) = \inf \left\{ \int_{-T}^T \left(\frac{1}{4} |x'(t)|^2 + U(x(t)) \right) dt \right. \\ \left. \begin{array}{l} | \text{ } x \text{ is a smooth curve on } \mathbb{R}^N \text{ with} \\ x(-T) = -x_0, x(T) = x_0, T > 0 \end{array} \right\}.$$

The elementary inequality $ab \leq \frac{a^2}{2} + \frac{b^2}{2}$ implies

$$\int_{-T}^T \sqrt{U(x(t))} |x'(t)| dt \leq \int_{-T}^T \left(\frac{1}{4} |x'(t)|^2 + U(x(t)) \right) dt$$

and $d_U^{Ag}(-x_0, x_0) \leq d_U^{CS}(-x_0, x_0)$.

$-L + V_\lambda$ as an ∞ -dimensional Schrödinger operator

$-L + V_\lambda$ is informally unitarily equivalent to the ∞ -dimensional Schrödinger operator on $L^2(L^2(I, dx), dw)$:

$$-\Delta_{L^2(I)} + \lambda : U(w/\sqrt{\lambda}) : -\frac{1}{2} \text{tr}(m^2 - \Delta)^{1/2},$$

where

$$\begin{aligned} : U(w) : &= \frac{1}{4} \int_I w'(x)^2 dx \\ &+ \int_I \left(\frac{m^2}{4} w(x)^2 + : P(w(x)) : g(x) \right) dx. \end{aligned}$$

In fact, $P(\phi)_2$ -Hamiltonian is related with the quantization of the classical field (nonlinear Klein-Gordon equation):

$$\frac{\partial^2 w}{\partial t^2}(t, x) = -2(\nabla U)(w(t, x)), (t, x) \in \mathbb{R} \times I$$

$$U(w) = \frac{1}{4} \int_I (w'(x)^2 + m^2 w(x)^2) dx$$

$$+ \int_I P(w(x))g(x) dx$$

$$2(\nabla U)(w(t, x)) = -\frac{\partial^2 w}{\partial x^2}(t, x) + m^2 w(t, x) + 2P'(w(t, x))g(x).$$

Main Result 1

Assumption 5

(A1) $U(h) \geq 0$ for all $h \in H^1$ and

$$\mathcal{Z} = \{h \in H^1 \mid U(h) = 0\} = \{h_1, \dots, h_n\}$$

is a finite set.

(A2) *The Hessian $D^2U(h_i)$ ($1 \leq i \leq n$) is strictly positive. The derivative D stands for the H -derivative.*

Remark 6

$$D^2U(h_i) = \frac{1}{2}A^2 + D^2V(h_i)$$

is an unbounded operator on H .

$$\inf \sigma(D^2U(h_i)) > 0 \iff \inf \sigma(m^2 - \Delta + 4v_i) > 0$$

where

$$v_i(x) = \frac{1}{2}P''(h_i(x))g(x).$$

Theorem 7 Assume **(A1)** and **(A2)** hold.

Let $E_1(\lambda) = \inf \sigma(-L + V_\lambda)$. Then

$$\lim_{\lambda \rightarrow \infty} E_1(\lambda) = \min_{1 \leq i \leq n} E_i,$$

where

$$E_i = \inf \sigma(-L + Q_{v_i}),$$

$$Q_{v_i} = \int_I : w(x)^2 : v_i(x) dx,$$

$$v_i(x) = \frac{1}{2} P''(h_i(x)) g(x).$$

Main Result 2 (Tunneling estimate)

Let

$$E_2(\lambda) = \inf \{ \sigma(-L + V_\lambda) \setminus \{E_1(\lambda)\} \}.$$

We prove that $E_2(\lambda) - E_1(\lambda)$ is exponentially small when $\lambda \rightarrow \infty$ under a certain assumption on P .

To state our estimate, we introduce infinite dimensional analogue of Agmon distance in quantum mechanics.

Let us fix $T > 0$ and take $h, k \in H(= H^{1/2}(I))$.

Let

$$\begin{aligned} H_{T,h,k}^1(I) &= \left\{ u = u(t, x) \ ((t, x) \in (-T, T) \times I) \mid \right. \\ &u \in H^1((-T, T) \times I), \\ &\left. u(-T, \cdot) = h, u(T, \cdot) = k \text{ in the sense of trace} \right\} \end{aligned}$$

Note $H_{T,h,k}^1(I) \neq \emptyset$.

Let U be a non-negative potential function which we introduced. Here we do not assume **(A1)**, **(A2)**.

For any $u \in H_{T,h,k}^1(I)$, the following properties hold:

- (i) $u(t, \cdot) \in H^1(I)$ for almost every t and $t(\in [-T, T]) \mapsto U(u(t, \cdot))$ is a Lebesgue measurable function,
- (ii) $t(\in (-T, T)) \rightarrow u(t, \cdot) \in L^2(I)$ is an absolutely continuous function and its derivative is in $L^2((-T, T) \rightarrow L^2(I))$,
- (iii)
$$\int_{-T}^T \sqrt{U(u(t, \cdot))} \|\partial_t u(t, \cdot)\|_{L^2(I)} dt < \infty.$$

The fact (iii) follows from the following argument. Let $u \in H^1((-T, T) \times I)$ and define

$$\begin{aligned} I_{T,P}(u) &= \frac{1}{4} \iint_{(-T,T) \times I} \left(\left| \frac{\partial u}{\partial t}(t, x) \right|^2 + \left| \frac{\partial u}{\partial x}(t, x) \right|^2 \right) dt dx \\ &\quad + \iint_{(-T,T) \times I} \left(\frac{m^2}{4} u(t, x)^2 + P(u(t, x))g(x) \right) dt dx. \end{aligned}$$

By Sobolev's theorem, $I_{T,P}(u) < \infty$ for any $u \in H^1((-T, T) \times I)$.

Hence

$$\begin{aligned} & \int_{-T}^T \sqrt{U(u(t, \cdot))} \|\partial_t u(t, \cdot)\|_{L^2} \\ & \leq \int_{-T}^T U(u(t, \cdot)) dt + \frac{1}{4} \int_{-T}^T \|\partial_t u(t, \cdot)\|_{L^2}^2 dt \\ & = I_{T,P}(u) < \infty. \end{aligned}$$

Now we define an infinite dimensional analogue of Agmon distance.

Definition 8 Let $0 < T < \infty$. We define the Agmon distance between $h, k \in H (= H^{1/2}(I))$ by

$$d_U^{Ag}(h, k) = \inf \left\{ \int_{-T}^T \sqrt{U(u(t, \cdot))} \|\partial_t u(t, \cdot)\|_{L^2} dt \mid u \in H_{T, h, k}^1(I) \right\}.$$

The definition of d_U^{Ag} does not depend on T .

To prove tunneling estimates, we need another quantity d_U^W .

Definition 9 Let u be a non-negative bounded continuous function on W . Let \bar{H} be the all mappings $c : [-1, 1] \rightarrow L^2(I, dx)$ such that

(i) c is an absolutely continuous path on L^2 and

$$\int_{-1}^1 \|c'(t)\|_{L^2}^2 dt < \infty.$$

(ii) $c(t) \in H$ for almost every $t \in [-1, 1]$ and $c(\cdot) \in L^2((-1, 1) \rightarrow H)$

For $w_1, w_2 \in W$, define

$$\begin{aligned} \rho_u^W(w_1, w_2) &= \inf \left\{ \int_{-1}^1 \sqrt{u(w_1 + c(t))} \|c'(t)\|_{L^2} dt \mid c \in \bar{H} \right. \\ &\quad \left. c(-1) = 0 \text{ and } c(1) = w_2 - w_1 \right\}. \end{aligned}$$

- If $h \in H$, then $\rho_u^W(w, w + h) < \infty$ for any $w \in W$.
- $H_{1,h,k}^1(I) \subset \bar{H}$.

Definition 10 Let \mathcal{F}_U^W be the set of non-negative bounded globally Lipschitz continuous functions u on W which satisfy the following conditions.

$$(1) \quad \begin{aligned} 0 &\leq u(h) \leq U(h) \quad \text{for all } h \in H^1, \\ \{h \in H^1 \mid U(h) - u(h) = 0\} &= \mathcal{Z}, \\ D^2(U - u)(h_i) &> 0, \quad \text{for all } h_i \in \mathcal{Z}, \end{aligned}$$

where \mathcal{Z} is the zero point set of U .

(2) There exists $\varepsilon > 0$ such that

$$u(w) = \varepsilon \|w - h_i\|_W^2 \quad \text{in a n.b.d. of } h_i, \quad 1 \leq i \leq n.$$

Let $h, k \in H$ and we write

$$B_\varepsilon(h) = \{w \in W \mid \|w - h\|_W \leq \varepsilon\}.$$

Definition 11 For $u \in \mathcal{F}_U^W$, set

$$\underline{\rho}_u^W(h, k) = \lim_{\varepsilon \rightarrow 0} \inf_{w \in B_\varepsilon(h), \eta \in B_\varepsilon(k)} \rho_u^W(w, \eta)$$

and define

$$d_U^W(h, k) = \sup_{u \in \mathcal{F}_U^W} \underline{\rho}_u^W(h, k).$$

Lemma 12

$$d_U^W(h, k) \leq d_U^{Ag}(h, k) < \infty \quad \text{for all } h, k \in H.$$

Assumption 13 (Double-well potential function)

Let $P = P(x)$ be the polynomial function which defines U .

We consider the following assumption.

(A3) For all x , $P(x) = P(-x)$ and $\mathcal{Z} = \{h_0, -h_0\}$, where $h_0 \neq 0$.

The following is our second main theorem.

Theorem 14 Assume that U satisfies **(A1)**, **(A2)**, **(A3)**.

(1) $d_U^W(h_0, -h_0) > 0$ and

$$\limsup_{\lambda \rightarrow \infty} \frac{\log(E_2(\lambda) - E_1(\lambda))}{\lambda} \leq -d_U^W(h_0, -h_0).$$

(2) Let $I = [-l/2, l/2]$. Then

$$d_U^W(-h_0, h_0) = d_U^{Ag}(-h_0, h_0).$$

Properties of Agmon distance

(1) Properties of Agmon distance

Proposition 15

(1) Assume U is non-negative. Then d_U^{Ag} is a continuous distance function on H .

(2) Let $U(h) = \frac{1}{4} \|Ah\|_H^2$ (that is $P = 0$). Then

$$d_U^{Ag}(0, h) = \frac{1}{4} \|h\|_H^2 \quad \text{for any } h \in H.$$

(3) Let $I = [-l/2, l/2]$ and assume **(A1)**, **(A2)**. Then

$$d_U^{Ag}(h, k) = d_U^W(h, k) \quad \text{for any } h, k \in H^1.$$

(2) Instanton

Let us consider a non-linear elliptic boundary value problem

$$\frac{\partial^2 u}{\partial t^2}(t, x) + \frac{\partial^2 u}{\partial x^2}(t, x) = m^2 u(t, x) + 2P'(u(t, x))g(x)$$

$$\lim_{t \rightarrow -\infty} u(t, x) = -h_0(x), \quad \lim_{t \rightarrow \infty} u(t, x) = h_0(x).$$

$$(t, x) \in \mathbb{R} \times I$$

The solution is a candidate of minimizers (instanton) whose action integral attain the value:

$$\inf_{T > 0, u \in H_{T, -h_0, h_0}^1(I)} I_{T, P}(u),$$

where

$$I_{T,P}(u)$$

$$= \frac{1}{4} \iint_{(-T,T) \times I} \left(\left| \frac{\partial u}{\partial t}(t, x) \right|^2 + \left| \frac{\partial u}{\partial x}(t, x) \right|^2 \right) dt dx$$
$$+ \iint_{(-T,T) \times I} \left(\frac{m^2}{4} u(t, x)^2 + P(u(t, x))g(x) \right) dt dx.$$

It is very likely that the minimum action integral of the instanton is equal to the Agmon distance $d_U^{Ag}(-h_0, h_0)$.

I show such a simple example.

(3) Example

Let us consider the case $I = [-l/2, l/2]$ and $g = 1$. Let $x_0 (\in \mathbb{R}) \neq 0$ and $a > 0$.

We consider the case where

$$U(h) = \frac{1}{4} \int_I h'(x)^2 dx + a \int_I (h(x)^2 - x_0^2)^2 dx.$$

This can be realized by a suitable choice of P .

Note $\mathcal{Z} = \{x_0, -x_0\}$.

These are zero points also of the potential function

$$Q(x) = a(x^2 - x_0^2)^2 \quad x \in \mathbb{R}.$$

Let

$$d_{1-dim}^{Ag}(-x_0, x_0) = \inf \left\{ \int_{-T}^T \sqrt{Q(x(t))} |x'(t)| dt \mid x(-T) = -x_0, x(T) = x_0 \right\}.$$

This is the Agmon distance which corresponds to 1-dimensional Schrödinger operator $-\frac{d^2}{dx^2} + Q(x)$ and

$$d_{1-dim}^{Ag}(-x_0, x_0) = \int_{-x_0}^{x_0} \sqrt{Q(x)} dx = \frac{5\sqrt{a}x_0^3}{3}.$$

We can prove the following.

Proposition 16 *Assume $2ax_0^2l^2 \leq \pi^2$.*

$$(1) \quad d_U^{Ag}(-x_0, x_0) = l d_{1-dim}^{Ag}(-x_0, x_0).$$

$$(2) \quad \text{Let } u_0(t) = x_0 \tanh(2\sqrt{a}x_0t).$$

Then $u_0(t)$ is the solution to

$$u''(t) = 2Q'(u(t)) \quad \text{for all } t \in \mathbb{R},$$

$$\lim_{t \rightarrow -\infty} u(t) = -x_0, \quad \lim_{t \rightarrow \infty} u(t) = x_0$$

and

$$\begin{aligned} I_{\infty, P}(u_0) &= \left(\frac{1}{4} \int_{-\infty}^{\infty} u_0'(t)^2 dt + \int_{-\infty}^{\infty} Q(u_0(t)) dt \right) l, \\ &= d_{1-dim}^{Ag}(-x_0, x_0) l \\ &= d_U^{Ag}(-h_0, h_0). \end{aligned}$$

That is,

- u_0 is the instanton for both operators: 1-dimensional

Schrödinger operator $-\frac{d^2}{dx^2} + \lambda Q(\cdot/\sqrt{\lambda})$ and $-L + V_\lambda$.

- The Agmon distance $d_U^{Ag}(-h_0, h_0)$ is equal to the action integral of the instanton in this case.

Open problems

- $d_U^W(-h_0, h_0) = d_U^{Ag}(-h_0, h_0)$ in the case of $I = \mathbb{R}$?
- Instanton solutions for general cases ?
- $\lim_{\lambda \rightarrow \infty} \frac{\log(E_2(\lambda) - E_1(\lambda))}{\lambda} = -d_U^{Ag}(h_0, -h_0)$. ?

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