# Proper Actions and Representation Theory. I — Discontinuous dual and properness criterion

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Mini-courses of Mini-lectures
AIM Research Community
Representation Theory & Noncommutative Geometry
Organizers: P. Clare, N. Higson, and B. Speh
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# Mini · Mini · Mini — Proper actions and representation theory

Some general rules that I try to follow:

- Mini series
   (possibly loosely related) topics
- Mini lectures
   (short talks that fit into teatime)
- Minimal prerequizites.

I am going to talk about some aspects of transformation groups in loose relationship to representation theory, hopefully somewhat relaxing for teatime/bedtime.

### The Calabi-Markus phenomenon (1962)

In contrast to the Bonnet–Myers theorem in Riemannian geometry, global features of pseudo-Riemannian manifolds are quite mysterious:

Theorem 1.(Calabi–Markus, 1962\*)
Any de Sitter manifold is non-compact.

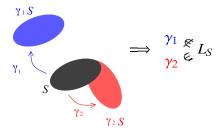
de Sitter mfd = Lorentzian manifold with sectional curvature  $\equiv 1$ 

Model space: 
$$\{(x_1,\cdots,x_{n+1}): x_1^2+\cdots+x_n^2-x_{n+1}^2=1\}$$
 in  $\mathbb{R}^{n,1}=(\mathbb{R}^{n+1},dx_1^2+\cdots+dx_n^2-dx_{n+1}^2)$ 

<sup>\*</sup> E. Calabi-L. Markus, Relativistic space forms, Ann. Math., 75, (1962), 63-76.

#### Basic notion · · · proper [properly discontinuous, free] action

$$X$$
  $L$  subset  $\cup \sim \cup$   $S$   $\cup$   $L_S := \{ \gamma \in L : \gamma S \cap S \neq \emptyset \}$ 



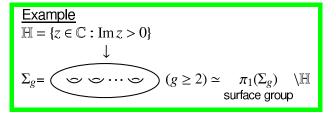
# Basic notion · · · proper [properly discontinuous, free] action

$$\begin{array}{ccc} X & L \\ \text{subset} \cup & \leadsto & \cup \\ S & L_S := \{ \pmb{\gamma} \in L : \pmb{\gamma} S \cap S \neq \emptyset \} \\ \\ S = \{ x \} & \leadsto & L_{\{x\}} \equiv L_x = \text{stabilizer of } x \end{array}$$

#### 

#### Covering transformation and properly discontinuous action

 $\begin{array}{ccc} & \Gamma \overset{\frown}{\sim} & X & \text{properly discontinuously and freely} \\ \Longrightarrow & \text{The quotient } \Gamma \backslash X \text{ carries a } C^{\infty}\text{-manifold structure} \\ & \text{such that } X \to \Gamma \backslash X \text{ is a covering.} \end{array}$ 



Uniformization theorem (Klein-Poincaré-Koebe)

### Properly discontinuous actions: Riemannian geometry

(X,g): a complete Riemannian manifold,  $G = \operatorname{Isom}(X)$ : the group of isometries,  $\Gamma \subset G$  subgroup.

#### Proposition 2 (i) $\iff$ (ii) on $\Gamma$

- (i)  $\Gamma$  is discrete subgroup in G.
- (ii)  $\Gamma$  acts properly discontinuously on X.
- $(ii) \Rightarrow (i)$  easy.
- (i)  $\Rightarrow$  (ii) The proof depends heavily on the positivity of g. Use Ascoli–Arzela to the metric space (X,g).

### Calabi-Markus phenomenon (1962) in group language

Riemannian geometry

Actions of discrete subgroups of isometries

⇔ isometric property discontinuous actions

#### Lorentzian geometry

Actions of discrete subgroups of isometries

⇔ isometric properly discontinuous actions

$$\Gamma \subset G \cap G \cap G \cap G/H \simeq \{x_1^2 + \dots + x_n^2 - x_{n+1}^2 = 1\} \subset \mathbb{R}^{n,1}$$
 de Sitter space

<u>Theorem 1'.</u>(Calabi–Markus)\* Let (G, H) = (O(n, 1), O(n - 1, 1)). If a discrete subgroup  $\Gamma$  of G acts on G/H properly discontinuously, then  $\Gamma$  must be a finite group.

<sup>\*</sup> E. Calabi-L. Markus, Relativistic space forms, Ann. Math., 75, (1962), 63-76.

#### proper + discrete = properly discontinuous

#### proper + discrete = properly discontinuous

action properly discontinuous action

||
action proper action
+
group is discrete

<u>Definition</u> (discontinuous group for X) For a G-space X, we say  $\Gamma$  is a discontinuous group for X if  $\Gamma$  is a discrete subgroup of G and the  $\Gamma$ -action on X is proper.

#### Proper actions and proper maps

G: locally compact group

X: locally compact, Hausdorff space

#### Definition (proper action)

$$L^{\curvearrowright}X$$
 is proper

$$\iff L \times X \to X \times X, \quad (g, x) \mapsto (x, gx) \text{ is a proper map.}$$

$$\iff L \times X \to X \times X, \quad (g, x) \mapsto (x, gx) \text{ is a proper map.}$$
 $\iff L_{S \to T} \text{ is compact} \qquad \qquad \forall \text{ compact } S, T \subset X.$ 

$$\iff L_S \ (\equiv L_{S \to S}) \text{ is compact } \ ^{\forall} \text{ compact } S \subset X.$$

$$L_{S \to T} := \{g \in L : gS \cap T \neq \emptyset\} \text{ for } S, T \subset X.$$

Definition A continuous map  $f: X \to Y$  is proper if  $f^{-1}(S)$  is compact for any compact  $S \subset Y$ .

### Proper maps and representation theory

<u>Definition</u> A continuous map  $f: X \to Y$  is <u>proper</u> if  $f^{-1}(S)$  is compact for any compact  $S \subset X$ .

cf. Branching problem in rep theory: Study the restriction  $\pi|_H$  for

$$H \subset G \xrightarrow{\pi} GL(\mathcal{H})$$
.

\* T. Kobayashi, Ann. Math. (1998); Duflo-Vargas, Proc. Japan Acad., (2010)

#### Proper actions and representation theory

$$L^{\curvearrowright}X$$
 is a proper action.  $\iff L_{S \to T}$  is compact  $Y$  compact  $S, T \subset X$ .

$$L_{S \to T} := \{g \in L : gS \cap T \neq \emptyset\} \text{ for } S, T \subset X.$$

- Geometric viewpoint
  - The local to global study of geometries
  - When we highlight "homogeneous structure" as a local property,
  - "discontinuous groups" are responsible for the global geometry.
- Analytic viewpoint & Representation theory
   Quantify "properness" of actions (3rd and 4th lectures)

   e.g., asymptotic estimates of volume.

# Proper actions and representation theory

#### Plan

1	Discontinuous dual and properness criterior	า (4/25)
2	The Mackey analogy and proper actions	(5/2)
3	Tempered subgroups	(5/9)
4	Tempered homogeneous spaces	(5/16)

#### Elementary consequences of proper actions

L: locally compact group.

X: locally compact, Hausdorff space.

#### <u>Proposition</u> If L acts properly on X, then one has

- (1) L/X is Hausdorff in the quotient topology;
- (2) Any orbit  $L \cdot x$  is closed in X;
- (3) Any isotropy subgroup  $L_x$  is compact.

• (2) and (3) are easily verified.

#### **Delicate examples**

 $L^{\frown}X$  manifold

(A)	free action	$\stackrel{?}{\Longrightarrow}$ proper action
(B)	any orbit is closed	$\stackrel{?}{\Longrightarrow} L \backslash X$ is Hausdorff

Shall see counterexamples to (A) and (B).

# **Delicate examples**

$$a \in \mathbb{R}_{>0} \curvearrowright X = \mathbb{R}^2 \setminus \{ \begin{pmatrix} 0 \\ 0 \end{pmatrix} \}, \quad \begin{pmatrix} x \\ y \end{pmatrix} \mapsto \begin{pmatrix} ax \\ \frac{1}{a}y \end{pmatrix}$$

This action is free, and any orbit is closed.

But the action is not proper, and  $\mathbb{R}_{>0}\backslash X$  is not Hausdorff.



# Interpretation in group language

$$A = \{ \begin{pmatrix} a & 0 \\ 0 & a^{-1} \end{pmatrix} : a > 0 \} \subset G = SL(2, \mathbb{R}) \supset N = \{ \begin{pmatrix} 1 & n \\ 0 & 1 \end{pmatrix} : n \in \mathbb{R} \}$$

$$\mathbb{R}_{>0} \simeq A \curvearrowright G/N \simeq X = \mathbb{R}^2 \setminus \{ \begin{pmatrix} 0 \\ 0 \end{pmatrix} \}$$

 $A \curvearrowright G/N$  non-proper  $\iff N \curvearrowright G/A$  non-proper (Lorentz isometry)

# Lipsman's conjecture (1995)

Setting 
$$X = G/H$$
 where  $L \subset G \supset H$  closed subgp

Lipsman's conjecture(1995)\* 
$$G$$
: 1-conn nilpotent Lie group  $L \curvearrowright X$  free  $\stackrel{?}{\Longleftrightarrow} L \curvearrowright X$  proper

True : *G*: 2-step nilpotent Lie group (Nasrin '01)

G: 3-step nilpotent Lie group (Baklouti '05, Yoshino '07)\*\*

<sup>\*</sup> R. Lipsman, Proper actions and a cocompactness condition, J. Lie Theory 5 (1995), 25–39.

<sup>\*\*</sup> A. Baklouti, Internat. J. Math. 16 (2005); T. Yoshino, Internat. J. Math. 18 (2007).

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G: 3-step nilpotent Lie group (Baklouti '05, Yoshino '07)\*\*

False: G: 4-step nilpotent Lie group (Yoshino)\*\*\*

$$L \simeq \mathbb{R}^2 \curvearrowright X \simeq \mathbb{R}^5$$
 (nilmanifold)

<sup>\*</sup> R. Lipsman, Proper actions and a cocompactness condition, J. Lie Theory 5 (1995), 25–39.

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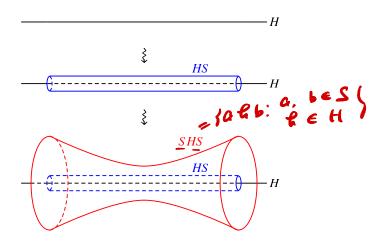
T. Yoshino, A counterexample to Lipsman's conjecture, Internat. J. Math. 16 (2005), pp. 561–566.

#### Proper actions — three directions

- Give a "handy" criterion to detect proper actions
   yeometric applications.
- Relax the definition of proper actions, e.g. "measurably proper"
   connection to representation theory.
- Quantify "proper actions"
   connection to global analysis.

### Expanding H by compact set S

 $G \supset H$  S: compact subset



# $\pitchfork$ and $\sim$ for locally compact group G

$$L \subset G \supset H$$

Idea: forget even that L and H are subgroups

#### **Definition**

- 1)  $L \pitchfork H \Longleftrightarrow \overline{L \cap SHS}$  is compact for any compact subset  $S \subset G$
- 2)  $L \sim H \iff$   $\exists$  compact subset  $S \subset G$ . such that  $L \subset SHS$  and  $H \subset SLS$ .
  - SHS HS

#### $\uparrow$ and $\sim$ for locally compact group G

$$L \subset G \supset H$$

Idea: forget even that L and H are subgroups

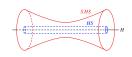
#### Definition

- 1)  $L \cap H \iff \overline{L \cap SHS}$  is compact  $\text{for any compact subset } S \subset G$  2)  $L \sim H \Longleftrightarrow \exists \text{ compact subset } S \subset G.$ 
  - such that  $L \subset SHS$  and  $H \subset SLS$ .

$$\underline{Ex.} \quad G = \mathbb{R}^n; L, H \text{ subspaces}$$

$$L \cap H \iff L \cap H = \{0\}.$$

$$L \sim H \iff L = H.$$



#### $\pitchfork$ and $\sim$ (meaning)

$$L \quad \subset \quad \begin{array}{c} G \\ \text{loc compact group} \end{array} \quad \supset \quad H$$

Meaning of  $\pitchfork$ : If both L and H are closed subgroups, then

$$L \pitchfork H \iff L ^{igcap}G/H$$
 proper action  $\ \updownarrow \ \ H \pitchfork L \iff H ^{igcap}G/L$  proper action

 $\sim$  defines an equivalence relation suitable for  $\pitchfork$ 

$$H \sim H' \Longrightarrow H \pitchfork L \Longleftrightarrow H' \pitchfork L$$

# **Discontinuous duality theorem**

G: locally compact topological group, separable

 $G \supset H$  subset

 $\rightsquigarrow \pitchfork (H : G) := \{L : L \pitchfork H\}$  discontinuous dual

<u>Theorem 3</u> (Yoshino (2007) \*, discontinuous duality theorem)\*\* Any subset H is determined uniquely by  $\pitchfork (H : G)$  up to  $\sim$ .

cf.  $G \rightsquigarrow \widehat{G}$  (unitary dual)

<u>Fact</u> (Pontrjagin–Tannaka–Tatsuuma duality theorem) G is recovered from the unitary dual  $\widehat{G}$ .

<sup>\*\*</sup> T. Yoshino, Discontinuous duality theorem, Internat, J. Math. 18 (2007), pp. 887–893, · · · loc, compact op

G: real reductive Lie group Want to find a handy criterion for two subsets  $L, H \subset G$  such that

 $L \cap H$ ,

or

 $L \sim H$ .

G: real reductive Lie group

Want to find a handy criterion for two subsets  $L, H \subset G$  such that  $L \pitchfork H$ , or  $L \sim H$ .

 $G = K \exp(\mathfrak{a})K$ : Cartan decomposition  $\mu: G \to \mathfrak{a}/W$ : Cartan projection  $(W \equiv W(\Sigma(\mathfrak{g}, \mathfrak{a})))$ : Weyl gp.)

E.g. 
$$\mu$$
:  $GL(n,\mathbb{R}) \longrightarrow \mathbb{R}^n/\mathfrak{S}_n$ 
 $g \mapsto \frac{1}{2}(\log \lambda_1, \cdots, \log \lambda_n)$ 
Here,  $\lambda_1 \ge \cdots \ge \lambda_n (>0)$  are the eigenvalues of  ${}^t gg$ .

$$G = GL(n, \mathbb{R})$$
 $K = O(n)$ 
 $\mathfrak{a} \simeq \mathbb{R}^n$ 
Weyl group  $\simeq S_n$ 

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#### Theorem 4 \*

- (1)  $L \sim H$  in  $G \iff \mu(L) \sim \mu(H)$  in a. (2)  $L \pitchfork H$  in  $G \iff \mu(L) \pitchfork \mu(H)$  in a.

abelian



T. Kobayashi, Math. Ann. (1989); J. Lie Theory 6 (1996) 147-163.; Y. Benoist, Ann. Math., 144 (1996) 315-347.

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abelian

#### Special cases include

- $\Rightarrow$  in (1): Uniform error estimates of eigenvalues when a matrix is perturbed.
- ⇔ in (2): Criterion for proper actions.
  - Quantitative estimate for properness (3rd lecture)

T. Kobayashi, Math. Ann. (1989); J. Lie Theory **6** (1996) 147–163.; Y. Benoist, Ann. Math., **144** (1996) 315–347.

### Properness criterion — special case (H, L reductive)

Give a flavor of proof in a special case.

For a reductive subgroup G' in G, the Cartan projection of G' takes the form  $\mu(G') = W \cdot \mathfrak{a}_{G'}$  in  $\mathfrak{a}$  (after conjugation of G' in G):

$$g = f + p \supset p \longrightarrow a$$

$$\max \text{ abelian}$$

$$\cup \quad \cup \quad \cup \quad \cup$$

$$g' = f' + p' \supset p' \longrightarrow a_{G'} := a \cap g'.$$

$$\max \text{ abelian}$$

A special case of Theorem 4 includes:

Theorem 5\* Assume  $H, L \subset G$  are reductive subgroups.  $L \curvearrowright G/H$  proper  $\iff \mathfrak{a}_H \cap W \cdot \mathfrak{a}_L = \{0\}$  in  $\mathfrak{a}$ .

Remark easy to see  $\mu(H) \pitchfork \mu(L)$  in  $\mathfrak{a} \iff \mathfrak{a}_H \cap W \cdot \mathfrak{a}_L = \{0\}$ .

<sup>\*</sup> Kobayashi, Proper action on homogeneous spaces of reductive type, Math. Ann. (1989).

#### Reduction of properness criterion to abelian subgps

 $G = K \exp(\mathfrak{a})K$  Cartan decomposition W: Weyl group of  $\Sigma(\mathfrak{g}, \mathfrak{a})$ 

Suppose  $\mathfrak{l},\mathfrak{h}\subset\mathfrak{a}$  abelian subspaces,  $L=\exp\mathfrak{l},H=\exp\mathfrak{h}.$ 

Theorem 5'  $L^{\frown}G/H$  proper  $\iff$  1  $\cap$  Wh = {0}.

← non-trivial.

### Proof of Theorem 5' for abelian $H, L \subset G$ : Step 1

Suppose  $I, h \subset a$ .

<u>Want to prove:</u> L  $^{\frown}G/H$  not proper  $\Rightarrow$  !  $\cap$  W!  $\neq$   $\{0\}$ .

Assume  $L \cap SHS$  is non-compact for some compact subset  $S \subset G$ . One can find sequences

$$\begin{cases} \exp(t_n Y_n) = c_n \exp(t_n' Z_n) d_n & \text{in } G. \\ & \cap & \cap & \cap & \cap \\ & I & S & \text{if } S \end{cases} \\ 0 < t_n \uparrow \infty \\ c_n \to c, \ d_n \to d \text{in } S \\ Y_n \to Y(\neq 0) \in I, \ Z_n \to Z(\neq 0) \in \mathfrak{f}. \end{cases}$$

By taking subsequences, renormalizing, and replacing  $\mathfrak{h} \rightsquigarrow w \cdot \mathfrak{h}$   $(w \in W)$ ,  $S \rightsquigarrow KSK$ , we may assume  $t'_n = t_n$  and  $Y, Z \in \overline{\mathfrak{a}_+}$ .

# **Proof of Theorem 5' for abelian** $H, L \subset G$ **: Step 2**

$$\underline{\mathsf{Plan}}\ L \not \pitchfork H \Rightarrow Y = Z \Rightarrow \mathfrak{l} \cap W\mathfrak{h} \neq \{0\}.$$

Have seen, if  $L \not \cap H$ , one finds sequences (after replacing  $\mathfrak{h}$  by  $w \cdot \mathfrak{h}$  for some  $w \in W$ ):

$$\begin{cases} c_n = \exp(t_n Y_n) d_n^{-1} \exp(-t_n Z_n) & (1) \\ t_n \uparrow \infty; c_n \to c, \ d_n \to d \text{ in } G. \\ Y_n \to Y \in \mathbb{I} \cap \overline{\alpha_+}, \ Z_n \to Z \in \mathfrak{h} \cap \overline{\alpha_+}. \end{cases}$$

This argument leads us to  $Y = Z \in I \cap \mathfrak{h}$ .  $\Longrightarrow I \cap W \cdot \mathfrak{h} \neq \{0\}$ .

#### Criterion for the Calabi-Markus phenomenon

Corollary 6 (criterion of Calabi-Markus phenomenon) \*

 $\overline{G \supset H}$  pair of real reductive Lie groups.

Then (i)  $\iff$  (ii)  $\iff$  (iv).

(i) G/H admits a discontinuous group  $\Gamma \simeq \mathbb{Z}$ .

(ii) G/H admits an infinite discontinuous group  $\Gamma$ .

(iii)  $G \nsim H$ .

(iv)  $\operatorname{rank}_{\mathbb{R}} G > \operatorname{rank}_{\mathbb{R}} H$ .

$$(i) \underset{\Gamma \ \pitchfork}{\Longrightarrow} (ii) \underset{\Gamma \ \pitchfork}{\Longrightarrow} (iii) \underset{Cartan \ decomposition}{\Longrightarrow} (iv) \underset{Theorem \ 5}{\Longrightarrow} (i)$$

Theorem 1' (Calabi–Markus, 1962)\*\* (G, H) = (O(n, 1), O(n - 1, 1)). G/H does not admit an infinite discontinuous group.

<sup>\*</sup> Kobayashi, Proper action on homogeneous spaces of reductive type, Math. Ann. (1989).
\*\* E. Calabi-L. Markus, Relativistic space forms, Ann. Math., 75, (1962), 63-76.

#### **Example** $G/H = SL(n, \mathbb{R})/SL(m, \mathbb{R}) \ (n > m)$

Ex.  $\exists$  proper action of  $SL(2,\mathbb{R})$  on  $SL(n,\mathbb{R})/SL(m,\mathbb{R})$  if n is even.

• Cartan projection  $\mu: G \to \mathfrak{a}/\mathfrak{S}_n$  for  $G = SL(n, \mathbb{R})$ .

$$W \simeq \mathfrak{S}_n \curvearrowright \mathfrak{a} := \{(a_1, \cdots, a_n) : \sum_{j=1}^n a_j = 0\} \underset{\text{diag}}{\hookrightarrow} \mathfrak{g} = \mathfrak{sl}(n, \mathbb{R})$$

• For  $H = SL(m, \mathbb{R})$  (m < n),

$$\therefore \mu(H) = \mathfrak{S}_n \cdot \mathfrak{a}_H = \mathfrak{S}_n \cdot \{(b_1, \cdots, b_m, 0, \cdots, 0) : \sum_{i=1}^m b_i = 0\}.$$

• For  $L := \varphi(SL(2,\mathbb{R}))$ , where  $\varphi : SL(2,\mathbb{R}) \to SL(n,\mathbb{R})$  is an irreducible n-dimensional rep,

$$\mu(L) = \mathfrak{S}_n \cdot \mathfrak{a}_L = \mathfrak{S}_n \cdot \mathbb{R}(n-1, n-3, \cdots, 1-n).$$

$$\therefore L^{\frown}G/H \text{ proper} \iff \mu(L) \pitchfork \mu(H) = \{0\}$$
$$\iff n \text{ is even or } n-m \geq 2.$$

# Properly discontinuous action of surface group

$$\pi_1(\Sigma_g) \cdots$$
 surface group  $(g \ge 2)$ 

#### Theorem 7

If G/H is a reductive symmetric space then (i)  $\iff$  (ii)  $\iff$  (iii).

- (i) G/H admits a discontinuous group  $\Gamma \simeq \mathbb{Z}$  generated by a unipotent element.
- (ii) G/H admits a proper action of a subgroup L which is locally isomoprhic to  $SL(2,\mathbb{R})$ .
- (iii) G/H admits a discontinuous group  $\Gamma \simeq$  surface group.

For a pair of real reductive Lie groups  $G \supset H$ , (i)  $\iff$  (ii)  $\implies$  (iii).

# Proper actions and representation theory

#### Plan

1 Discontinuous dual and properness criterion (4/2)	:5)
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- 2 The Mackey analogy and proper actions (5/2)
- 3 Tempered subgroups (5/9)
- 4 Tempered homogeneous spaces (5/16)