SPECTRAL SHIFT FUNCTION FOR OPERATORS WITH CROSSED MAGNETIC AND ELECTRIC FIELDS

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ABSTRACT. We obtain a representation formula for the derivative of the spectral shift function \( \xi(\lambda; B, \epsilon) \) related to the operators \( H_0(B, \epsilon) = (D_x - B y)^2 + D_y^2 + \epsilon x \) and \( H(B, \epsilon) = H_0(B, \epsilon) + V(x, y) \). We establish a limiting absorption principle for \( H(B, \epsilon) \) and an estimate \( \mathcal{O}(\epsilon^{n-2}) \) for \( \xi'(\lambda; B, \epsilon) \), provided \( \lambda \notin \sigma(Q) \), where \( Q = (D_x - B y)^2 + D_y^2 + V(x, y) \).

1. Introduction

Consider the two-dimensional Schrödinger operator with homogeneous magnetic and electric fields

\[
H = H(B, \epsilon) = H_0(B, \epsilon) + V(x, y), \quad D_x = -i \partial_x, \quad D_y = -i \partial_y,
\]

where

\[
H_0 = H_0(B, \epsilon) = (D_x - B y)^2 + D_y^2 + \epsilon x.
\]

Here \( B > 0 \) and \( \epsilon > 0 \) are proportional to the strength of the homogeneous magnetic and electric fields. We assume that \( V, \partial_x V \in C^0(\mathbb{R}^2; \mathbb{R}) \cap L^\infty(\mathbb{R}^2; \mathbb{R}) \) and \( V(x, y) \) satisfies the estimate

\[
|V(x, y)| \leq C(1 + |x|)^{-2-\delta}(1 + |y|)^{-1-\delta}, \quad \delta > 0.
\]

(1.1)

For \( \epsilon \neq 0 \) we have \( \sigma_{\text{ess}}(H_0(B, \epsilon)) = \sigma_{\text{ess}}(H(B, \epsilon)) = \mathbb{R} \). On the other hand, for decreasing potentials \( V \) we may have embedded eigenvalues \( \lambda \in \mathbb{R} \) and this situation is completely different from that with \( \epsilon = 0 \) when the spectrum of \( H(B, 0) \) is formed by eigenvalues with finite multiplicities which may accumulate only to Landau levels \( \lambda_n = 2n + 1)B, n \in \mathbb{N} \) (see [9], [13], [15] and the references cited there). The spectral properties of \( H \) and the existence of resonances have been studied in [7], [8], [5] under the assumption that \( V(x, y) \) admits a holomorphic extension in the \( x \)-variable into a domain

\[
\Gamma_{\delta_0} = \{ z \in \mathbb{C} : 0 \leq |\text{Im} \, z| \leq \delta_0 \}.
\]

Moreover, without any assumption on the analyticity of \( V(x, y) \) we show in Proposition 2 below that the operator \( (H - z)^{-1} - (H_0 - z)^{-1} \) for \( z \in \mathbb{C} \), \( \text{Im} \, z \neq 0 \), is trace class and following the general setup [11], [20], we define the spectral shift function \( \xi(\lambda) = \xi(\lambda; B, \epsilon) \) related to \( H_0(B, \epsilon) \) and \( H(B, \epsilon) \) by

\[
\langle \xi', f \rangle = \text{tr} \left( f(H) - f(H_0) \right), \quad f \in C_0^\infty(\mathbb{R}).
\]

By this formula \( \xi(\lambda) \) is defined modulo a constant but for the analysis of the derivative \( \xi'(\lambda) \) this is not important. Moreover, the above property of the resolvents and Birman-Kuroda theorem imply \( \sigma_{\text{ac}}(H_0(B, \epsilon)) = \sigma_{\text{ac}}(H(B, \epsilon)) = \mathbb{R} \). A representation of the derivative \( \xi'(\lambda; B, \epsilon) \) has been obtained in [5] for strong magnetic fields \( B \rightarrow +\infty \) under the assumption that \( V(x, y) \) admits an analytic

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continuation in $x$-direction. Moreover, the distribution of the resonances $z_j$ of the perturbed operator $H(B, \epsilon)$ has been examined in [5] and a Breit-Wigner representation of $\xi'(\lambda; B, \epsilon)$ involving the resonances $z_j$ was established.

In the literature there are a lot of works concerning Schrödinger operators with magnetic fields ($\epsilon = 0$) but there are only few ones dealing with magnetic and Stark potentials ($\epsilon \neq 0$) (see [7], [8], [5] and the references given there). It should be mentioned that the tools in [7], [8] and [5] are related to the resonances of the perturbed problem and to define the resonances one supposes that the potential $V(x, y)$ has an analytic continuation in $x$ variable. In this paper we consider the operator $H$ without any assumption on the analytic continuation of $V(x, y)$ and without the restriction $B \to +\infty$. Our purpose is to study $\xi'(\lambda; B, \epsilon)$ and the existence of embedded eigenvalues of $H$. To examine the behavior of the spectral shift function we need a representation of the derivative $\xi'(\lambda; B, \epsilon)$. The key point in this direction is the following

**Theorem 1.** Let $V, \partial_x V \in C^0(\mathbb{R}^2; \mathbb{R}) \cap L^\infty(\mathbb{R}^2; \mathbb{R})$ and let (1.1) hold for $V$ and $\partial_x V$. Then for every $f \in C^0_\infty(\mathbb{R})$ and $\epsilon \neq 0$ we have

$$\text{tr} \left( f(H) - f(H_0) \right) = -\frac{1}{\epsilon} \text{tr} \left( \partial_x V f(H) \right).$$

(1.2)

The formula (1.2) has been proved by D. Robert and X.P. Wang [18] for Stark Hamiltonians in absence of magnetic field ($B = 0$). In fact, the result in [18] says that

$$\xi'(\lambda; 0, \epsilon) = -\frac{1}{\epsilon} \int_{\mathbb{R}^2} \partial_x V \frac{\partial e}{\partial \lambda}(x, y, x, y; \lambda, 0, \epsilon) dxdy,$$

(1.3)

where $e(\cdot, \cdot; \lambda, 0, \epsilon)$ is the spectral function of $H(0, \epsilon)$. The presence of magnetic filed $B \neq 0$ and Stark potential lead to some serious difficulties. The operator $H$ is not elliptic for $|x| + |y| \to \infty$ and we have double characteristics. On the other hand, the commutator $[H, x]$ involves the term $(D_x - By)$ and it creates additional difficulties. The proof of Theorem 1 is long and technical. We are going to study the trace class properties of the operators $\psi(H \mp i)^{-N}$, $\partial_x \circ \psi(H \pm i)^{-N-1}$, $(H \pm i)\partial_x \circ \psi(H \pm i)^{-N-2}$ etc. for $N \geq 2$ and $\psi \in C^\infty_0(\mathbb{R}^2)$ (see Lemmas 1 and 2). Moreover, by an argument similar to that in Proposition 2.1 in [5], we obtain estimates for the trace norms of the operators

$$(z - H)^{-1}V(z' - H)^{-1}, \ V(z - H)^{-1}(z' - H)^{-1}, \ z \notin \mathbb{R}, \ z' \notin \mathbb{R}$$

and we apply an approximation argument. Notice that in [18] the spectral shift function is related to the trace of the time delay operator $T(\mathcal{L})$ defined via the corresponding scattering matrix $S(\lambda)$ (see [17]). In contrast to [18], our proof is direct and neither $T(\lambda)$ nor $S(\lambda)$ corresponding to the operator $H(B, \epsilon)$ are used.

The second question examined in this work is the existence of embedded real eigenvalues and the limiting absorption principle for $H$. In the physical literature one conjectures that for $\epsilon \neq 0$ there are no embedded eigenvalues. We establish in Section 3 a weaker result saying that in any interval $[a, b]$ we may have at most a finite number embedded eigenvalues with finite multiplicities. Under the assumption for analytic continuation of $V$ it was proved in [7] that for some finite interval $[\alpha(B, \epsilon), \beta(B, \epsilon)]$ there are no resonances $z$ of $H(B, \epsilon)$ with $\text{Re} \ z \notin [\alpha(B, \epsilon), \beta(B, \epsilon)]$. Since the real resonances $z$ coincide with the eigenvalues of $H(B, \epsilon)$, we obtain some information for the embedded eigenvalues. On the other hand, exploiting the analytic continuation and the resonances we proved in [5] that for $B \to +\infty$ the reals parts $\text{Re} \ z_j$ of the resonances $z_j$ lie outside some
neighboringhoods of the Landau levels. Thus the Landau levels play a role in the distribution of the resonances. It is known that the spectrum of the operator $Q = (D_x - B y)^2 + D^2_y + V(x, y)$ with decreasing potential $V$ is formed by eigenvalues (see [9], [13], [15]). In this paper we establish a limiting absorption principle for $\lambda \notin \sigma(Q)$. In particular, we show that there are no embedded eigenvalues outside $\sigma(Q)$. This agrees with the result in [5] obtained under the restrictions on the behavior of $V$ and $B \to +\infty$. On the other hand, the result of Proposition 3 and the estimates (4.3) have been established by X. P. Wang [19] for Stark operators with $B = 0$.

Following the results in Section 4 and the representation of $\xi'(\lambda; B, \epsilon)$ given in [5], it is natural to expect that for $\lambda \notin \sigma(Q)$ the derivative of the spectral shift function $\xi'(\lambda; B, \epsilon)$ must be bounded. In fact, we prove the following stronger result.

Theorem 2. Let the potential $V \in C^\infty(\mathbb{R}^2; \mathbb{R})$ satisfy with some $\delta > 0$ and $n \in \mathbb{N}, n \geq 2$ the estimates

$$|\partial^\alpha_x \partial^\beta_y V(x, y)| \leq C_{\alpha, \beta}(1 + |x|)^{-n-\delta-|\alpha|}(1 + |y|)^{-2-\delta-|\beta|}, \forall \alpha, \forall \beta. \quad (1.4)$$

Then for $\lambda_0 \notin \sigma(Q)$ we have

$$\xi'(\lambda; B, \epsilon) = O(\epsilon^{n-2}) \quad (1.5)$$

uniformly for $\lambda$ in a small neighborhood $\Xi \subset \mathbb{R}$ of $\lambda_0$.

The estimate (1.5) has been obtained in [18] in the case of absence of magnetic field $B = 0$ (for a Breit-Wigner formula see [10], [4] for Stark Hamiltonians and [5] for the operator $H(B, \epsilon)$). Our approach is quite different from that in [18]. Our proof is going without an application of a representation similar to (1.3) which leads to complications connected with the behavior of the spectral function $e(\cdot; \lambda, B, \epsilon)$ corresponding to $H(B, \epsilon)$. The formula (1.2) plays a crucial role and our analysis is based on a complex analysis argument combined with a representation of $f(H)$ involving the almost analytic continuation of $f \in C_0^\infty(\mathbb{R})$. In this direction our argument is similar to that developed in [4] and [5].

The plan of this paper is as follows. In Sect. 2 we establish Theorem 1. The embedded eigenvalues and Mourre estimates are examined in Sect. 3. In Sect. 4 we prove Proposition 3 concerning the limiting absorption principle for $H(B, \epsilon)$. Finally, in Sect. 5 we establish Theorem 2.

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2. Representation of the spectral shift function

Throughout this work we will use the notations of [3] for symbols and pseudodifferential operators. In particular, if $m : \mathbb{R}^4 \to [0, +\infty]$ is an order function (see [3], Definition 7.4), we say that $a(z, \zeta) \in S^0(m)$ if for every $\alpha \in \mathbb{N}^4$ there exists $C_\alpha > 0$ such that

$$|\partial^\alpha_{z, \zeta} a(z, \zeta)| \leq C_\alpha m(z, \zeta).$$

In the special case when $m = 1$, we will write $S^0$ instead of $S^0(1)$. We will use the standard Weyl quantization of symbols. More precisely, if $p(z, \zeta), (z, \zeta) \in \mathbb{R}^4$, is a symbol in $S^0(m)$, then
$P^w(z, D_z)$ is the operator defined by

$$P^w(z, D_z)u(z) = (2\pi)^{-2} \iint e^{i(z-z')\zeta} p\left(\frac{z+z'}{2}, \zeta\right) u(z') dz' d\zeta, \quad \text{for } u \in \mathcal{S}(\mathbb{R}^2).$$

We denote by $P^w(z, hD_z)$ the semiclassical quantization obtained as above by quantizing $p(z, h\zeta)$.

Our goal in this section is to prove Theorem 1. For this purpose we need some Lemmas. We set

$$Q_0 = H_0 - \epsilon x = (D_x - By)^2 + D_y^2, \quad Q = Q_0 + V,$$

and in Lemma 1 we will use the notation $H_1 = H$. For the simplicity we assume that $\epsilon = B = 1$. The general case can covered by the same argument.

**Lemma 1.** Assume that $V, \partial_x V \in C^0(\mathbb{R}^2; \mathbb{R}) \cap L^\infty(\mathbb{R}^2; \mathbb{R})$ and let $\psi \in C^\infty_0(\mathbb{R}^2)$. Then for $N \geq 2$, $j = 0, 1$ and for $\text{Im} \ z \neq 0$, the following operators are trace class:

1. $\psi(H_j \pm i)^{-N}$, $\partial_x \circ \psi(H_j \pm i)^{-N-1}$, $(H_j \pm i)\partial_x \circ \psi(H_j \pm i)^{-N-2}$.
2. $(H_j \pm i)^{-N} \psi$, $(H_j \pm i)^{-N-1} \psi \cdot \partial_x$.
3. $\psi \circ \partial_x (H_j \pm i)^{-N-1}$, $(H_j \pm i)\psi \circ \partial_x (H_j \pm i)^{-N-2}$.
4. $(H_j \pm i)\partial_x (H_j \pm i)^{-N-2}\psi$.
5. $(H_1 + i)\partial_x (H_1 + i)^{-N-1}(H_1 - z)^{-1}\psi$.

Moreover,

$$\|(H_1 + i)\partial_x (H_1 + i)^{-N-1}(H_1 - z)^{-1}\psi\|_{\text{tr}} = O\left(\frac{|z| + 1}{|\text{Im} \ z|^2}\right). \quad (2.1)$$

**Proof.** We will prove the lemma only for $(H_1 + i)$, the case concerning $(H_1 - i)$ is similar. On the other hand, the statements for $(H_0 + i)$ follow from those for $(H_1 + i)$ when $V = 0$.

From the first resolvent equation, we obtain

$$(H_1 + z)^{-1} = (Q_0 + z)^{-1} - (Q_0 + z)^{-1}(x + V)(H_1 + z)^{-1}$$

$$= (Q_0 + z)^{-1} + \sum_{j=1}^{N+2} (-1)^j (Q_0 + z)^{-1} \left((x + V)(Q_0 + z)^{-1}\right)^j$$

$$+ (-1)^{N+3} \left((Q_0 + z)^{-1}(x + V)\right)^{N+3}(H_1 + z)^{-1}. \quad (2.2)$$

Taking $(N - 1)$ derivatives with respect to $z$ in the above identity and setting $z = i$, we see that $(H_1 + i)^{-N}$ is a linear combination of terms

$$K_N := (Q_0 + i)^{-j_1} W(Q_0 + i)^{-j_2} W \ldots (Q_0 + i)^{-j_r} W (H_1 + i)^{-p},$$

with $j_1 + \ldots + j_r \geq N$, $j_1 \geq 1$, $p \geq 0$ and $W(x) = x + V(x)$.

Recall that if $P \in S^0(m)$ with $m \in L^1(\mathbb{R}^4)$, (resp. $m \in L^2(\mathbb{R}^4)$) then the corresponding operator is trace class (resp. Hilbert-Schmidt). By using this and the fact that the symbol of $(Q_0 + i)^{-1}$ is in $S^0((\xi - y, \eta)^{-2})$, we deduce that the operator

$$K_{l,p,l',p'}^{j_1,j_2} := \langle x \rangle^{-l}(y)^{-p}(Q_0 + i)^{-j_1}(y)^{l'} \langle y \rangle^{p'}$$

is trace class one for $l - l', p - p' > 1$, $j \geq 2$ and Hilbert-Schmidt one for $l - l', p - p' > 1/2, j \geq 1$. Next, we write $\psi K_N$ as follows

$$\psi K_N = \psi \langle x \rangle^{3r}(y)^{2r} K_{3r,2r,3r-2,2r-2}^{j_1,j_2} W(x)^{-1} K_{3r-3,2r-3,2r-3}^{j_1,j_2} W(x)^{-1}$$

$$\ldots W(x)^{-1} K_{3,2,1,0}^{j_1,j_2} W(x)^{-1}(H_1 + i)^{-p}. \quad (2.3)$$
Since $j_1 + j_2 + \ldots + j_r \geq N \geq 2$, in the above decomposition, there are at least two Hilbert-Schmidt operators or one of trace class. Combining this with the fact $\psi(x)^2r(y)^2r$, $W(x)^{-1}$ and $(H_1 + i)^{-p}$ are bounded from $L^2(\mathbb{R}^2)$ into $L^2(\mathbb{R}^2)$, we conclude that $\psi \mathcal{K}_N$ is trace class operator. Thus $\psi(H_1 + i)^{-N}$ is also a trace class operator. Repeating the same arguments, we obtain the proof for $\partial_x \psi(H_j \pm i)^{-N-1}$.

As above to treat $(H_j \pm i)\partial_x \psi(H_j \pm i)^{-N-2}$, it suffices to show that $(H_j \pm i)\partial_x \psi \mathcal{K}_N$ is trace class. If we have $j_1 \geq 2$ the proof is completely similar to that of $\psi(H_1 + i)^{-N}$. In the case where $j_1 = 1$ since $(H_1 + i)\partial_x (Q_0 + i)^{-1}$ is not bounded, we have to exploit the following representation

$$(H_1 + i)\partial_x \psi \mathcal{K}_N = (H_1 + i)(\partial_x \psi) \mathcal{K}_N$$

and apply (i) and (ii) to each term on the right hand side of (2.5), we get (iv). Next use the fact that $\partial_x W \in L^\infty$ and repeat the argument of the proof above.

Recall that $A$ is trace class if and only if the adjoint operator $A^*$ is trace class. Consequently, (i) implies (ii). Since $\psi \cdot \partial_x = \partial_x \psi - (\partial_x \psi)$, the assertion (iii) follows from (i).

To deal with (iv), we apply the following obvious identity with $z = -i$,

$$\partial_x (H - z)^{-1} = (H - z)^{-1} \partial_x + (H - z)^{-1} (1 + \partial_x V)(H - z)^{-1},$$

and obtain

$$(H_1 + i)\partial_x (H_1 + i)^{-N} \psi = (H_1 + i)^{-N} \partial_x \psi + \sum_{j=0}^{N-1} (H_1 + i)^{-j} (1 + \partial_x V)(H_1 + i)^{-N+j} \psi.$$ (2.5)

Applying (i) and (ii) to each term on the right hand side of (2.5), we get (iv).

Now we pass to the proof of (v). Applying (2.4), we obtain

$$(H_1 + i)\partial_x (H_1 + i)^{-N-1} (H_1 - z)^{-1} \psi = (H_1 + i)(H_1 - z)^{-1} \partial_x (H_1 + i)^{-N-1} \psi + (H_1 + i)(H_1 - z)^{-1} (1 + \partial_x V)(H_1 - z)^{-1} (H_1 + i)^{-N} \psi.$$

Combining the above equation with (i), (ii), (iv) and using the estimate

$$\| (H_1 + i)(H_1 - z)^{-1} \| = O\left( \frac{|z| + 1}{|\text{Im} \, z|} \right),$$

we get (2.1).

\[ \square \]

**Lemma 2.** Assume that $V(x, y) = \phi(x, y)W(x, y)$, where $\phi \in C_0^\infty(\mathbb{R}^2; \mathbb{R})$ and $W, \partial_x W \in C^0(\mathbb{R}^2; \mathbb{R}) \cap L^\infty(\mathbb{R}^2; \mathbb{R})$. Then for $N \geq 4$ the operator

$$(H + i)\partial_x \left[ (H + i)^{-N} - (H_0 + i)^{-N} \right],$$

is trace class.

**Proof.** Taking $(N - 1)$ derivatives with respect to $z$ in the resolvent identity

$$(H + z)^{-1} - (H_0 + z)^{-1} = -(H + z)^{-1} V(H_0 + z)^{-1}$$

and setting $z = i$, we see that $(H + i)^{-N} - (H_0 + i)^{-N}$ is a linear combination of terms

$$(H + i)^{-j} V(H_0 + i)^{-(N+1+j)}$$

with $1 \leq j \leq N$. Composing the above terms by $(H + i)\partial_x$ and applying Lemma 1, we complete the proof. \[ \square \]
Lemma 3. Assume that $V$ satisfies the assumptions of Lemma 1. Let $f \in C_0^\infty(\mathbb{R})$ and $\psi \in C_0^\infty(\mathbb{R}^2)$. Then the operators

$$\psi f(H_i), \ H_i \psi \partial_x f(H_i), \ \psi \partial_x H_i f(H_i)$$

are trace class and we have

$$\text{tr} \left( H_i \psi \partial_x f(H_i) \right) = \text{tr} \left( \psi \partial_x H_i f(H_i) \right).$$

Proof. Set $g(x) = (x+i)^4 f(x)$. Since $g(H_i)$ is bounded, it follows from Lemma 1 that the operators

$$\psi(H_i + i)^4 g(H_i), \ H_i \psi \partial_x (H_i + i)^4 g(H_i), \ \psi \partial_x (H_i + i)^4 g(H_i),$$

are trace class, and the cyclicity of the trace yields

$$\text{tr} \left( H_i \psi \partial_x f(H_i) \right) = \text{tr} \left( H_i \psi \partial_x (H_i + i)^4 g(H_i) \right) = \text{tr} \left( H_i g(H_i) \psi \partial_x (H_i + i)^4 \right)$$

$$= \text{tr} \left( \psi \partial_x (H_i + i)^4 g(H_i) \right) = \text{tr} \left( \psi \partial_x H_i f(H_i) \right).$$

Notice that in the above equalities we have used the fact that the operators $g(H_i), H_i$ and $(H_i + i)^4$ commute. □

Lemma 4. Let $V$ be as in Lemma 2. Then for every $f \in C_0^\infty(\mathbb{R})$ the operators

$$f(H) - f(H_0), \ \partial_x \left( f(H) - f(H_0) \right) \text{ and } (H \pm i) \partial_x \left( f(H) - f(H_0) \right)$$

are trace class.

Proof. Let $g(x) = (x+i)^4 f(x)$ be as above. We decompose

$$(H + i) \partial_x \left( f(H) - f(H_0) \right) = (H + i) \partial_x \left( (H + i)^4 - (H_0 + i)^4 \right) g(H_0) +$$

$$(H + i) \partial_x (H + i)^4 \left( g(H) - g(H_0) \right) = I + II.$$  

According to Lemma 2, the operator $I$ is trace class. To treat $II$, we use the Helffer-Sjöstrand formula

$$(II) = -\frac{1}{\pi} \int \partial \tilde{g}(z)(H + i) \partial_x (H + i)^{-4} \left( (z - H)^{-1} - (z - H_0)^{-1} \right) L(dz)$$

$$= -\frac{1}{\pi} \int \partial \tilde{g}(z)(H + i) \partial_x (H + i)^{-4} (z - H)^{-1} V(z - H_0)^{-1} L(dz),$$

where $\tilde{g}(z) \in C_0^\infty(\mathbb{C})$ is an almost analytic continuation of $g$ such that $\overline{\partial} \tilde{g}(z) = O(|\text{Im} z|^\infty)$, while $L(dz)$ is the Lebesgue measure on $\mathbb{C}$. Now applying Lemma 1, (v), we see that the operator

$$(H + i) \partial_x (H + i)^{-4} (z - H)^{-1} V$$

is trace class. Since $|z|$ is bounded on supp $\tilde{g}$, we can apply (2.1) to the right hand part of the above equation and combining this with $\overline{\partial} \tilde{g}(z) = O(|\text{Im} z|^\infty)$, we deduce that $II$ is trace class. Summing up, we conclude that $(H + i) \partial_x \left( f(H) - f(H_0) \right)$ is trace class. The same argument works for $(H - i) \partial_x \left( f(H) - f(H_0) \right)$. The proof concerning $f(H) - f(H_0)$ and $\partial_x \left( f(H) - f(H_0) \right)$ are similar and simpler. □

To establish Theorem 1, we also need the following abstract result. For the reader convenience we present a proof.
Proposition 1. Let $A$ be an operator of trace class on some Hilbert space $H$ and let $\{K_n\}$ be sequences of bounded linear operators which converges strongly to $K \in \mathcal{L}(H)$. Then
\[
\lim_{n \to \infty} \|K_n A - KA\|_{tr} = 0.
\]

Proof. First assume that $A$ is a finite rank operator having the form $A = \sum_{k=1}^{m} \langle \cdot, \psi_k \rangle \phi_k$, where $\psi_k, \phi_k \in H$. Since
\[
\|A\|_{tr} \leq \sum_{k=1}^{m} \|\phi_k\| \|\psi_k\|,
\]
we have
\[
\|(K_n - K)A\|_{tr} \leq \sum_{k=1}^{m} \|(K_n - K)\phi_k\| \|\psi_k\| \to 0, \quad n \to \infty.
\] (2.6)
The general case can be covered by an approximation. Since $K_n$ converges strongly, it follows from the Banach-Streinhaus theorem that $\mu = \sup \|K_n\| < \infty$. Let $\eta$ be an arbitrary positive constant and let $A_\eta$ be a finite rank operator such that $\|A - A_\eta\|_{tr} \leq \frac{\mu}{2n}$. We have
\[
\|(K_n - K)A\|_{tr} \leq \|(K_n - K)(A - A_\eta)\|_{tr} + \|(K_n - K)A_\eta\|_{tr} \leq \eta + \|(K_n - K)A_\eta\|_{tr}.
\]
Next we apply (2.6) for the finite rank operator $A_\eta$ and obtain
\[
\lim_{n \to \infty} \|(K_n - K)A\|_{tr} \leq \eta,
\]
which implies Proposition 1, since $\eta$ is arbitrary.

Proof of Theorem 1. Assume first that $V = \phi W$ where $\phi \in C_0^\infty(\mathbb{R}^2; \mathbb{R})$ and $W, \partial_x W \in C^0(\mathbb{R}^2; \mathbb{R}) \cap L^\infty(\mathbb{R}^2; \mathbb{R})$. Choose a function $\chi \in C_0^\infty(\mathbb{R}^2)$ such that $\chi = 1$ for $|\langle x, y \rangle| \leq 1$. For $R > 0$ set
\[
\chi_R(x, y) = \chi\left(\frac{x}{R}, \frac{y}{R}\right),
\]
and introduce
\[
B_R := [\chi_R \partial_x, H]f(H) - [\chi_R \partial_x, H_0]f(H_0).
\]
Here $[A, B] = AB - BA$ denotes the commutator of $A$ and $B$. According to Lemma 3, we have
\[
\text{tr} \left( [\chi_R \partial_x, H]f(H) \right) = \text{tr} \left( [\chi_R \partial_x, H_0]f(H_0) \right) = 0.
\]
Thus
\[
\text{tr} \left( B_R \right) = 0. \tag{2.7}
\]
On the other hand, a simple calculus shows that
\[
B_R = \chi_R \left( \left[ \partial_x, H \right]f(H) - \left[ \partial_x, H_0 \right]f(H_0) \right) + [\chi_R, H_0] \partial_x \left( f(H) - f(H_0) \right) := B^1_R + B^2_R, \tag{2.8}
\]
where we have used that $[\chi_R, H] = [\chi_R, H_0]$.
Since $[\partial_x, H] = 1 + \partial_x V$ and $[\partial_x, H_0] = 1$, it follows from Lemma 3, Lemma 4 and Proposition 1 that
\[
\lim_{R \to \infty} \text{tr} \left( B^1_R \right) = \text{tr} \left( f(H) - f(H_0) \right) + \text{tr} \left( \partial_x Vf(H) \right). \tag{2.9}
\]
Next we claim that
\[
\lim_{R \to \infty} B^2_R = 0. \tag{2.10}
\]
Proof. Moreover, if \( (1.1) \). According to Lemma 8 in the Appendix, \((2.9)\) and \((2.10)\), we obtain Theorem 1 in the case where Consequently, \((2.11)\) and \((2.12)\) imply \((2.10)\) and the claim is proved. Now, combining \((2.7)\), \((2.8)\), we repeat the above argument. Thus we deduce

\[
I^1_R = -\frac{2}{R} (D_x \chi)(D_x - y) \partial_x( f(H) - f(H_0)),
I^2_R = -\frac{2}{R} (D_y \chi)(D_y - y) \partial_x( f(H) - f(H_0)),
I^3_R = \frac{1}{R^2} (\Delta \chi) \partial_x( f(H) - f(H_0)).
\]

To treat \( I^1_R \), we set \( Q = H - x \) and write

\[
I^1_R = -\frac{2}{R} (D_x \chi)(D_x - y) (Q_0 - i)^{-1} (H - i) \partial_x( f(H) - f(H_0))
\]

\[
+ \frac{2}{R} (D_x \chi)(D_x - y) (Q - i)^{-1}, x] \partial_x( f(H) - f(H_0))
\]

\[
+ \frac{2}{R} x (D_x \chi)(D_x - y) (Q - i)^{-1} \partial_x( f(H) - f(H_0)).
\]

The operators \( [(D_x - y)(Q - i)^{-1}, x] \) and \( (D_x - y)(Q - i)^{-1} \) are bounded, while \( \partial_x( f(H) - f(H_0)) \) and \( (H - i) \partial_x( f(H) - f(H_0)) \) are trace class operators (see Lemma 4). On the other hand, \( \frac{2}{R} (D_x \chi)_R \)

\[
\frac{2}{R} x (D_x \chi) \text{ converges strongly to zero. Indeed, since } \chi(x, y) = 1 \text{ for } |(x, y)| \leq 1, \text{ we get}
\]

\[
\int |\frac{1}{R} (D_x \chi)_R u|^2 dx dy \leq \sup_{(x, y) \in \mathbb{R}^2} |x D_x \chi(x, y)| \int_{\{|(x, y)| \geq R\}} |u|^2 dx dy \to 0, R \to \infty,
\]

for all \( u \in L^2(\mathbb{R}^2) \). Applying Proposition 1, we conclude that

\[
\lim_{R \to \infty} I^1_R = 0. \tag{2.11}
\]

(2.11) and \( (2.12) \) imply \((2.10)\) and the claim is proved. Now, combining \((2.7)\), \((2.8)\), \((2.9)\) and \((2.10)\), we obtain Theorem 1 in the case where \( V \) satisfies the assumption of Lemma 2 and \( \epsilon = 1 \).

**Proposition 2.** Assume that \( V \in L^\infty(\mathbb{R}^2; \mathbb{R}) \) satisfies \((1.1)\). Then for \( z \notin \mathbb{R}, z' \notin \mathbb{R} \) the operators

\[
(z - H)^{-1} V(z' - H)^{-1}, \quad V(z - H)^{-1}(z' - H)^{-1}, \quad (H - z)^{-1} - (H_0 - z)^{-1}
\]

are trace class and

\[
\|(z - H)^{-1} V(z' - H)^{-1}\|_{\text{tr}} \leq C_1 |\text{Im } z|^{-1} |\text{Im } z'|^{-1}, \tag{2.13}
\]

\[
\|V(z - H)^{-1}(z' - H)^{-1}\|_{\text{tr}} \leq C_1 |\text{Im } z|^{-1} |\text{Im } z'|^{-1}.
\]

Moreover, if \( g \in C_0^\infty(\mathbb{R}) \), then the operator \( V g(H) \) is trace class.

**Proof.** Set \( g_\delta(x, y) = \langle x \rangle^{-1-\delta} \langle y \rangle^{-1-\delta} \) and \( f_\delta(x, y) = \langle x \rangle^{-2-\delta} \langle y \rangle^{-1-\delta} \), where \( \delta \) is the constant in \((1.1)\). According to Lemma 8 in the Appendix, \( g_\delta(H_0 + i)^{-1} \), \( (H_0 + i)^{-1} g_\delta \) are Hilbert-Schmidt operators and \( f_\delta(H_0 + i)^{-2} \) is a trace one. Since \( g_\delta^{-1} V g_\delta^{-1} \), \( V f_\delta^{-1} \in L^\infty \), it follows that

\[
(H_0 + i)^{-1} V(H_0 + i)^{-1} = (H_0 + i)^{-1} g_\delta [g_\delta^{-1} V g_\delta^{-1} [g_\delta(H_0 + i)^{-1}]
\]
and $V(H_0 + i)^{-2}$ are trace class operators. Next we write

$$(H + i)^{-1} - (H_0 + i)^{-1} = -(H_0 + i)^{-1}V(H_0 + i)^{-1} + (H + i)^{-1}V(H_0 + i)^{-1}V(H_0 + i)^{-1}$$

and conclude that $(H + i)^{-1} - (H_0 + i)^{-1} = -(H + i)^{-1}V(H_0 + i)^{-1}$ is trace class. Now consider the following equalities

$$(i + H)^{-1}V(i + H)^{-1} = (i + H_0)^{-1}V(i + H_0)^{-1} + (i + H)^{-1}V(i + H_0)^{-1} + (i + H_0)^{-1}V(i + H_0)^{-1}V(i + H)^{-1}$$

and

$$V(H + i)^{-2} = V(H_0 + i)^{-2} - V(H_0 + i)^{-1}(H + i)^{-1}V(H_0 + i)^{-1} - V(H + i)^{-1}V(H_0 + i)^{-1}(H + i)^{-1}.$$ 

By using the trace class properties established above, we get (2.13) for $z = z' = -i$. By applying the first resolvent equation

$$(H - z)^{-1} = (H + i)^{-1} + (i - z)(H + i)^{-1}(H - z)^{-1},$$

we obtain the general case.

To examine $V g(H)$, consider the function $h(x) = (x + i)^2g(x)$. Then $V g(H) = V(H + i)^{-2}h(H)$ and since $V(H + i)^{-2}$ is trace class, we obtain the result. \qed

For $R > 0$ introduce

$$H_R := H_0 + \chi_R(x, y)V(x, y),$$

where $\chi_R(x, y) = \chi(\frac{x}{R}, \frac{y}{R})$ with $\chi \in C_0^\infty(\mathbb{R}^2)$ such that $\chi = 1$ in a neighborhood of $|(x, y)| \leq 1$.

**Remark 1.** The result of Proposition 2 concerning the trace class property of $(H - z)^{-1} - (H_0 - z)^{-1}$, $\text{Im } z \neq 0$, improves considerably Proposition 2 in [5], where much more regular potentials have been examined. On the other hand, if the potential $V$ satisfies (1.1) and $V, \partial_x V \in C^0(\mathbb{R}^2; \mathbb{R}) \cap L^\infty(\mathbb{R}^2; \mathbb{R})$, then the statements of Proposition 2 hold for the operators $(z - H_R)^{-1}V(z' - H)^{-1}$, $z \notin \mathbb{R}$, $z' \notin \mathbb{R}$.

The proof of Theorem 1 in the general case will be a simple consequence of the following

**Lemma 5.** Let $V(x, y)$ be as in Theorem 1. Then for $f \in C_0^\infty(\mathbb{R})$ we have

$$\lim_{R \to \infty} \text{tr} \left( f(H_R) - f(H) \right) = 0, \quad (2.14)$$

$$\lim_{R \to \infty} \text{tr} \left( \partial_x (\chi_R V)f(H_R) \right) = \text{tr} \left( \partial_x V f(H) \right). \quad (2.15)$$

**Proof.** Let $g(x) = (x + i)^2f(x)$ be as above. We decompose

$$f(H_R) - f(H) = \left( (H_R + i)^{-1} - (H + i)^{-1} \right) g(H) + (H_R + i)^{-1} \left( g(H_R) - g(H) \right) = J_R + K_R.$$

From the first resolvent identity, we obtain

$$J_R = (H_R - i)^{-1}(1 - \chi_R)V(H + i)^{-1}g(H) = (H_R - i)^{-1}(1 - \chi_R)Vf(H).$$

According to Proposition 2, the operator $Vf(H)$ is trace class and $(H_R - i)^{-1}(1 - \chi_R)$ converges strongly to zero. Then from Proposition 1 it follows that

$$\lim_{R \to \infty} \text{tr} J_R = 0. \quad (2.16)$$
To treat $\text{tr} K_R$, as in the proof of Lemma 4, we use the Helffer-Sjöstrand formula and write

$$\text{tr} K_R = -\frac{1}{\pi} \int \bar{\partial}g(z) \text{tr} \left( (H_R + i)^{-1} (z - H_R)^{-1} (z - H)^{-1} \right) L(dz) \bigg|_{z=0}$$

$$= \frac{1}{\pi} \int \bar{\partial}g(z) \text{tr} \left( (H_R + i)^{-1} (z - H_R)^{-1} (1 - \chi_R) V (z - H)^{-1} \right) L(dz).$$

By cyclicity of the traces we obtain

$$\text{tr} \left( (H_R + i)^{-1} (z - H_R)^{-1} (1 - \chi_R) V (z - H)^{-1} \right) = \text{tr} \left( (z - H_R)^{-1} (1 - \chi_R) V (z - H)^{-1} (H_R + i)^{-1} \right)$$

$$+ \text{tr} \left( (1 - \chi_R) V (H_R + i)^{-1} (z - H_R)^{-1} (1 - \chi_R) V (z - H)^{-1} (H + i)^{-1} \right).$$

Now notice that for $z \notin \mathbb{R}$ the operators $(1 - \chi_R) V (H_R + i)^{-1} (z - H_R)^{-1} (1 - \chi_R)$ and $(z - H_R)^{-1} (1 - \chi_R) V (z - H)^{-1}$ converge strongly to zero. On the other hand, from Proposition 2 we deduce that the operator $V (z - H)^{-1} (i + H)^{-1}$ is trace class. Thus for $z \notin \mathbb{R}$, we conclude that the integrand converge to 0 as $R \to \infty$. An application of the Lebesgue convergence domination theorem combined with the estimates (2.13) yield

$$\lim_{R \to \infty} \text{tr} K_R = 0. \quad (2.17)$$

Putting together (2.16) and (2.17), we obtain (2.14).

Next, we pass to the proof of (2.15). A simple calculus shows that

$$\partial_x (\chi_R V) f(H_R) = \partial_x (\chi_R V)(f(H_R) - f(H)) + \frac{1}{R} (\partial_x \chi_R) V f(H) + (\chi_R \partial_x V f(H)). \quad (2.18)$$

Repeating the same arguments as in the proof of (2.14), we show that

$$\lim_{R \to \infty} \text{tr} \left( \partial_x (\chi_R V)(f(H_R) - f(H)) \right) = 0. \quad (2.19)$$

On the other hand, since $\frac{1}{R} (\partial_x \chi_R)$ (resp. $\chi_R$) converges strongly to zero (resp.1), it follows from Proposition 1 that

$$\lim_{R \to \infty} \text{tr} \left( \frac{1}{R} (\partial_x \chi_R) V f(H) \right) = 0, \quad \lim_{R \to \infty} \text{tr} \left( \chi_R \partial_x V f(H) \right) = \text{tr} \left( \partial_x V f(H) \right),$$

which together with (2.18) and (2.19) yield (2.15).

\textbf{End of the proof of Theorem 1.} Applying Theorem 1 to $H_R$, we obtain :

$$\text{tr} \left[ f(H_R) - f(H) \right] + \text{tr} \left[ f(H) - f(H_0) \right] = \text{tr} \left[ f(H_R) - f(H_0) \right] = -\text{tr} \left( \partial_x (\chi_R V) f(H) \right),$$

and an application of Lemma 5 implies Theorem 1.
3. Mourre estimate and embedded eigenvalues

Consider the operator
\[ Q = (D_x - By)^2 + D_y^2 + V(x, y), \]
and set \( \langle x \rangle = (1 + |x|^2)^{1/2}, \quad \langle D_x \rangle = (1 + D_x^2)^{1/2}. \)

**Lemma 6.** Assume that \( V, \partial_x V \in C^0(\mathbb{R}^2; \mathbb{R}) \cap L^\infty(\mathbb{R}^2; \mathbb{R}) \) and let \( \|\mathbb{I}_{\{|x|>|y|>R\}}(x, y)\partial_x V\|_{L^\infty} \to 0 \) for \( R \to +\infty. \) Then for all \( f \in C_0^\infty(\mathbb{R}), \) the operator \( f(H)\partial_x Vf(H) \) is compact.

**Proof.** Let \( \varphi(x, y) \in C_0^\infty(\mathbb{R}^2) \) be equal to one near zero. Set \( \varphi_n(x, y) = \varphi \left( \frac{x}{n}, \frac{y}{n} \right). \) According to Lemma 3, the operator \( f(H)\varphi_n\partial_x Vf(H) \) is trace class. The set of compact operators is closed with respect to the norm \( \| \cdot \|_{\mathcal{L}(L^2)} \) and the lemma follows from the obvious estimate
\[ \|f(H)(1 - \varphi_n)\partial_x Vf(H)\|_{\mathcal{L}(L^2)} \leq \|f^2(H)\|_{\mathcal{L}(L^2)} \|(1 - \varphi_n)\partial_x V\|_{\infty}. \]

**Theorem 3.** Let \( [a, b] \subset \mathbb{R}. \) Under the assumptions of Lemma 6, there exists a compact operator \( K \) such that
\[ \mathbb{I}_{[a, b]}(H)\partial_x H\mathbb{I}_{[a, b]}(H) \geq \epsilon \mathbb{I}_{[a, b]}(H) + \mathbb{I}_{[a, b]}(H)K\mathbb{I}_{[a, b]}(H). \]  

**Proof.** Since the operator \( \partial_x \) commutes with \((D_x - By)\) and \( D_y^2, \) we have \([\partial_x, H] = \epsilon + \partial_x V.\)

Consequently,
\[ \mathbb{I}_{[a, b]}(H)\partial_x H\mathbb{I}_{[a, b]}(H) = \epsilon \mathbb{I}_{[a, b]}(H) + \mathbb{I}_{[a, b]}(H)\partial_x V\mathbb{I}_{[a, b]}(H) \]
\[ = \epsilon \mathbb{I}_{[a, b]}(H) + \mathbb{I}_{[a, b]}(H)f(H)\partial_x Vf(H)\mathbb{I}_{[a, b]}(H), \]
where \( f \in C_0^\infty(\mathbb{R}) \) is a cut-off function such that \( f = 1 \) on \([a, b].\) Thus, Theorem 3 follows from Lemma 6.

The use of commutators with the operator \( \partial_x \) is well known for the analysis of the operator without magnetic field \((B = 0)\) (see the pioneering work [2] and [1] for a more complete list of references). On the other hand, to treat crossed magnetic and electric fields we need Lemma 1 and Lemma 3.

**Corollary 1.** In addition to the assumptions of Theorem 3 assume that \( \partial_x^2 V \in C^0(\mathbb{R}^2) \cap L^\infty(\mathbb{R}^2). \) Then the point spectrum of \( H \) in \([a, b]\) is finite and with finite multiplicity. Moreover, the singular continuous spectrum of \( H \) is empty.

**Proof.** Set \( A = D_x \) and let \( \alpha \in \mathbb{R}. \) The explicit formula
\[ e^{i\alpha A}(H + i)^{-1} = (e^{i\alpha A}He^{-i\alpha A} + i)^{-1}e^{i\alpha A} = (H + \epsilon\alpha + V(x + \alpha, y) - V(x, y) + i)^{-1}e^{i\alpha A} \]
shows that \( e^{i\alpha A} \) leaves \( D(H) \) invariant. On the other hand, since
\[ \|He^{i\alpha A}(H + i)^{-1}\psi\| = \|e^{-i\alpha A}He^{i\alpha A}(H + i)^{-1}\psi\| \]
\[ = \|\left(H - \epsilon\alpha + V(x - \alpha, y) - V(x, y)\right)(H + i)^{-1}\psi\|, \]
we deduce that for each \( \varphi \in D(H) \)
\[ \sup_{|\alpha|<1}\|He^{i\alpha A}\varphi\| < \infty. \]
Combining this with the fact \( i[A, H] = \epsilon + \partial_x V, \quad [A, [A, H]] = -\partial_x^2 V \) and using (3.1), we conclude that the self-adjoint operator \( \tilde{A} \) is a conjugate operator for \( H \) at every \( E \in \mathbb{R} \) in the sense of [14]. Consequently, Corollary 1 follows from the main result in [14] (see also [1], [6]).
Remark 2. For any sign-definite and bounded potential $V(x, y)$ such that $|V(x, y)| \to 0$ as $|x| + |y| \to \infty$ sufficiently fast in [15] and [13] it was established that for $\epsilon = 0$ the potential $V$ creates an infinite number of eigenvalues of $Q$ which accumulate to Landau levels. The above corollary shows that only a finite number of these eigenvalues may survive in the presence of a non vanishing constant electric field. In general, the problem of absence of embedded eigenvalues when $\epsilon \neq 0$ remains open and this is an interesting conjecture.

For a fixed value of $\epsilon \neq 0$, the following result shows that there are potentials for which $H$ has absolutely continuous spectrum without embedded eigenvalues.

Corollary 2. Fix $\epsilon > 0$. Assume that $\partial_x^\alpha V \in C^0(\mathbb{R}^2; \mathbb{R}) \cap L^\infty(\mathbb{R}^2; \mathbb{R})$, $\alpha = 0, 1, 2$ and
\[ \epsilon + \partial_x V(x, y) > c > 0, \quad (3.3) \]
uniformly on $(x, y) \in \mathbb{R}^2$. Then $H$ has no eigenvalues. Moreover, for $s > 1/2$, the following estimates holds uniformly on $\lambda$ in a compact interval
\[ \| \langle D_x \rangle^{-s}(H - \lambda \pm i0)^{-1} \langle D_x \rangle^{-s} \| = O^*_\epsilon(1). \quad (3.4) \]

Proof. Let $[a, b]$ be a compact interval in $\mathbb{R}$. From (3.1) and (3.3), we have
\[ \| I_{[a, b]}[\partial_x, H] \| \geq c I_{[a, b]}(H). \quad (3.5) \]
According to the proof of Corollary 1, $A = D_x$ is a conjugate operator in the sense of [14]. Combining this with (3.5) we deduce from [14] that $H$ has no eigenvalue in $\mathbb{R}$. Applying once more Mourre theorem (see [14], [1], [6]), we obtain the estimate (3.4). \qed

4. Limiting Absorption Principle

In this section we treat the case when $\epsilon$ is small enough. Notice that when $\epsilon$ tends to zero in general the assumption $\epsilon + \partial_x V > c > 0$ is not satisfied and we cannot apply Corollary 2. Our goal is to study the behavior of the resolvent $(H - \lambda \pm i\delta)^{-1}$ as $\delta \to 0$ for $\lambda \notin \sigma(Q)$. For such $\lambda$ we could have eigenvalues of $H$ and a direct application of Mourre argument is not possible. We will obtain the result assuming that $\epsilon$ is small and for this purpose we need the following

Lemma 7. Assume that $V \in L^\infty(\mathbb{R}^2; \mathbb{R})$ and let $\lambda \notin \sigma(Q)$. Let $\chi \in C^\infty_0(\mathbb{R}; \mathbb{R})$ be equal to 1 near $\lambda$ and let $\text{supp } \chi \cap \sigma(Q) = \emptyset$. Then
\[ \| \chi(H) \langle x \rangle^{-2} \| \leq C \epsilon^2. \quad (4.1) \]

Proof. Since $\text{supp } \chi \cap \sigma(Q) = \emptyset$, the operators $(z - Q)^{-1}$ and $(z - Q)^{-1}x(z - Q)^{-1}$ are analytic operator valued functions for $z$ in a complex neighborhood of $\text{supp } \chi$. Let $\tilde{\chi}(z) \in C^\infty_0(\mathbb{C})$ be an almost analytic continuation of $\chi(x)$ such that
\[ \tilde{\delta} \tilde{\chi}(z) = O(\| \text{Im } z \|^\infty) \]
and $\text{supp } \tilde{\chi}(z) \cap \sigma(Q) = \emptyset$. We have the representation
\[ \chi(H) = -\frac{1}{\pi} \int \tilde{\delta} \tilde{\chi}(z)(z - H)^{-1}L(dz), \]
where $L(dz)$ is the Lebesgue measure in $\mathbb{C}$. By using the resolvent identity, we get
\[ (z - H)^{-1} = (z - Q)^{-1} + \epsilon(z - Q)^{-1}x(z - Q)^{-1} + \epsilon^2(z - H)^{-1}x(z - Q)^{-1}x(z - Q)^{-1}, \]

\[ \text{for } z \in \mathbb{C} \setminus \mathbb{R}. \]

□
and we obtain
\[
\chi(H) = \chi(Q) - \frac{\epsilon}{\pi} \int \tilde{\partial} \tilde{\chi}(z)(z - Q)^{-1} x(z - Q)^{-1} L(dz) \\
- \frac{\epsilon^2}{\pi} \int \tilde{\partial} \tilde{\chi}(z)(z - H)^{-1} x(z - Q)^{-1} x(z - Q)^{-1} L(dz).
\]
Since \(\text{supp} \tilde{\chi}(z) \cap \sigma(Q) = \emptyset\), the first two terms on the right hand side vanish. Consequently,
\[
\chi(H) = -\frac{\epsilon^2}{\pi} \int \tilde{\partial} \tilde{\chi}(z)(z - H)^{-1} x(z - Q)^{-1} x(z - Q)^{-1} L(dz).
\] (4.2)

Next we observe that
\[
x(z - Q)^{-1} = (z - Q)^{-1} x + (z - Q)^{-1} [x, Q](z - Q)^{-1} = (z - Q)^{-1} x + L_1.
\]
We have \([x, Q] = 2(D_x - B_y)\). Thus it is easy to see that for \(z \notin \sigma(Q)\), \(L_1 = (z - Q)^{-1} [x, Q](z - Q)^{-1}\) is a bounded operator since \((D_x - B_y)(i - Q)^{-1}\) is bounded and \((z - Q)^{-1} = (i - Q)^{-1} + (i - Q)^{-1}(i - z)(z - Q)^{-1}\). We write
\[
x(z - Q)^{-1} x(z - Q)^{-1} = (z - Q)^{-1} x(z - Q)^{-1} x \\
+ (z - Q)^{-1} x L_1 + L_1(z - Q)^{-1} x + L_1^2 = \sum_{j=1}^{4} I_j.
\]
The operators \(I_1 = L_1^2\) and \(I_3 = L_1(z - Q)^{-1} x(x)^{-2}\) are bounded. To see that \(I_1(x)^{-2}\) is bounded, note that
\[
I_1(x)^{-2} = (z - Q)^{-2} x^2(x)^{-2} + (z - Q)^{-1} L_1(x(x)^{-2}.
\]
Finally,
\[
I_2(x)^{-2} = (z - Q)^{-2} x [x, Q](z - Q)^{-1} (x)^{-2} + (z - Q)^{-1} L_1 [x, Q](z - Q)^{-1} (x)^{-2}
\]
and since the second term on the right hand side is bounded, it remains to examine the operator
\[
x [x, Q](z - Q)^{-1} (x)^{-2} = [x, Q] x (z - Q)^{-1} (x)^{-2} + 2i(z - Q)^{-1} (x)^{-2}.
\]
Applying the above argument, we see that the last operator is bounded. Consequently, the operator under integration in (4.2) is bounded by \(O((1 \text{ Im } z)^{-1})\) and this proves the statement.

**Proposition 3.** Assume that \(\partial_x^2 V \in C^0(\mathbb{R}^2; \mathbb{R}) \cap L^\infty(\mathbb{R}^2; \mathbb{R})\) for \(\alpha = 0, 1, 2\) and let \(\langle x \rangle^2 \partial_x V \in L^\infty(\mathbb{R}^2)\). Let \([a, b]\) be a compact interval such that \([a, b] \cap \sigma(Q) = \emptyset\). Then for \(s > 1/2\) and sufficiently small \(\epsilon_0 > 0\) we have the following estimate uniformly with respect to \(\lambda \in [a, b]\) and \(\epsilon \in [0, \epsilon_0]\)
\[
\| \langle D_x \rangle^{-s} (H - \lambda \pm i0)^{-1} \langle D_x \rangle^{-s} \| \leq C \epsilon^{-1}.
\] (4.3)
Moreover, \(H\) has no embedded eigenvalues and singular continuous spectrum in \([a, b]\).

**Proof.** Let \([a - \delta, b + \delta] \cap \sigma(Q) = \emptyset\) for \(0 < \delta \ll 1\). Choose a function \(\chi(t) \in C^\infty(\mathbb{R}; \mathbb{R})\) such that supp \(\chi \subset [a - \delta, b + \delta]\) and \(\chi(t) = 1\) for \(a_1 = a - \delta/2 \leq t \leq b + \delta/2 = b_1\). Then
\[
\| [a_1, b_1] [H] [\partial_x, H] [a_1, b_1] (H) = \epsilon \| [a_1, b_1] (H) \partial_x V [a_1, b_1] (H) \\
- \epsilon \| [a_1, b_1] (H) + [a_1, b_1] (H) \chi(H) (\langle x \rangle)^{-2} + (\langle x \rangle^2 \partial_x V) [a_1, b_1] (H)
\]
Our assumption implies that the multiplication operator \(\langle x \rangle^2 \partial_x V \in L^\infty\), while Lemma 7 says that
\[
\| \chi(H) (\langle x \rangle)^{-2} \| \leq C \epsilon^2.
\]
Thus
\[\mathbb{I}_{[a_1, b_1]}(H)\left(\chi(H)(x)^{-2}\right)\left(\langle x \rangle^{2}\partial_x V\right)\mathbb{I}_{[a_1, b_1]}(H) \leq C_1\epsilon^2\mathbb{I}_{[a_1, b_1]}(H)\]
and with a constant \(c_0 > 0\) we deduce
\[\mathbb{I}_{[a_1, b_1]}(H)\partial_x H\mathbb{I}_{[a_1, b_1]}(H) \geq c_0\epsilon^2\mathbb{I}_{[a_1, b_1]}(H)\].

Then it is well known (see for instance [3], Theorem 9.4) that for \(\lambda \in [a, b]\) we get (4.3) and \(H\) has no eigenvalues and singular continuous spectrum in \([a, b]\).

\[\square\]

**Remark 3.** As we mentioned in Remark 2 for sign-definite rapidly decreasing potentials the spectrum of the operator \(Q\) is formed by infinite number eigenvalues having as points of accumulation the Landau levels \(\mu_n = (2n + 1)B, n \in \mathbb{N}\). For such potentials Proposition 3 shows that the embedded eigenvalues of \(H\) could appear only in small neighborhoods of the eigenvalues of \(Q\). Since in every interval we may have only a finite number of eigenvalues of \(H\), it is clear that for some eigenvalues \(\nu\) of \(Q\) there are no eigenvalues of \(H\) in their neighborhoods. Moreover, it was proved in [12] that for potentials \(V \in C_0^\infty(\mathbb{R}^2)\) we have \(\sigma(Q) \cap [\mu_n - B, \mu_n + B] \subseteq (\mu_n - Cn^{-1/2}, \mu_n + Cn^{-1/2}), n \geq N\) with \(C > 0\) and \(N\) depending only on \(\sup|V|\) and the diameter of the support of \(V\). Thus for \(M\) large the embedded eigenvalues \(\lambda \geq M\) of \(H\) are sufficiently close to Landau levels \(\Lambda_n\).

5. Estimates for the derivative of the spectral shift function

First we notice that the assumption (1.4) makes possible to define the spectral shift function \(\xi(\lambda, \epsilon)\) related to operators \(H_0(\epsilon) = H_0(B, \epsilon)\) and \(H(\epsilon) = H_0(B, \epsilon) + V(x, y)\) by the equality
\[\langle \xi' f, f \rangle = \text{tr} \left( f(H(\epsilon)) - f(H_0(\epsilon)) \right), f \in C_0^\infty(\mathbb{R}).\]

Here and below we omit the dependence of \(B\) in the notations. Our purpose in this section is to establish Theorem 2. For the proof we need the following

**Proposition 4.** Under the assumptions of Theorem 2, for \(\lambda_0 \notin \sigma(Q)\) and \(1/2 < s \leq \min(1/2 + \delta/4, 1)\) the operator
\[\langle D_x \rangle^s \partial_x V \left( \langle Q - z \rangle^{-1} x \right)^n \langle D_x \rangle^s\]
is trace class for \(z\) in a small complex neighborhood \(\Xi \subset \mathbb{C}\) of \(\lambda_0\).

**Proof.** Before starting the proof, notice that it is easy to establish the statement for \(z \ll 0\) since in this case the operator \((Q - z)^{-1}\) is a pseudodifferential one and we can apply the calculus of pseudodifferential operators and the criteria which guarantees that a pseudodifferential operator is trace class (see for instance, [3], Theorem 9.4). For \(z \in \mathbb{R}^+ \setminus \sigma(Q)\) this is not the case and \((Q - z)^{-1}\) is a bounded operator but not a pseudodifferential one. We may replace \((Q - z)^{-1}\) by the pseudodifferential operator \((Q - i)^{-1}\) modulo bounded operators but therefore it is difficult to examine the product involving many bounded operators and factors \(x^k\). To overcome this difficulty, we are going to apply a convenient decomposition by product of operators having in mind that the operator on the left of a such product must be trace class one.

First we treat the case \(n = 2\), the general case will be covered by a recurrence. We start with the analysis of the operator
\[\langle D_x \rangle^2 \partial_x V \left| \langle Q - z \rangle^{-1} x \right|^2.\] (5.1)

Our goal is to show that (5.1) is a trace class operator. Write
\[\langle D_x \rangle^2 \partial_x V \langle x \rangle^2 \langle x \rangle^{-2} \langle Q - z \rangle^{-2} x(Q - z)^{-1} x = \langle D_x \rangle^2 (\partial_x V) \langle x \rangle^2 (Q - z)^{-1} \langle x \rangle^{-2} x(Q - z)^{-1} x\]
and we will show that the operator

\[ + (D_x)^2 \partial_x V(x)^2 (Q - z)^{-1} [Q, \langle x \rangle^{-2}] (Q - z)^{-1} x (Q - z)^{-1} x \]

\[ = (D_x)^2 \partial_x V(x)^2 (Q - z)^{-2} \left[ (x)^{-2} x^2 + [Q, \langle x \rangle^{-2} x] (Q - z)^{-1} x \right] \]

\[ + (D_x)^2 \partial_x V(x)^2 (Q - z)^{-1} [Q, \langle x \rangle^{-2}] (Q - z)^{-1} x (Q - z)^{-1} x = T_1 + T_2. \]

To deal with \( T_1 \), we use the representation

\[ T_1 = (D_x)^2 \partial_x V(x)^2 (Q - z)^{-2} W_1 \]

and we will show that the operator

\[ W_1 = \langle x \rangle^{-2} x^2 + [Q, \langle x \rangle^{-2} x] (Q - z)^{-1} x \]

\[ = \langle x \rangle^{-2} x^2 - i \left[ (D_x - B y) \frac{1 - x^2}{(1 + x^2)^2} + \frac{1 - x^2}{(1 + x^2)^2} (D_x - B y) \right] (Q - z)^{-1} x \]

is bounded. Consider the operator

\[ (D_x - B y) \frac{1 - x^2}{(1 + x^2)^2} (Q - z)^{-1} x = (D_x - B y) \frac{1 - x^2}{(1 + x^2)^2} (Q - i)^{-1} \left[ 1 + (z - i)(Q - z)^{-1} \right] \]

\[ + (D_x - B y) \frac{1 - x^2}{(1 + x^2)^2} (Q - z)^{-1} [Q, x](Q - z)^{-1} \]

The pseudodifferential operator

\[ (D_x - B y) \frac{1 - x^2}{(1 + x^2)^2} (Q - i)^{-1} \]

is bounded and the product of this operator with \( \left[ 1 + (i - z)(Q - z)^{-1} \right] \) is bounded, too. As in the proof of Lemma 7, we see that \([Q, x](Q - z)^{-1}\) is bounded and with the same argument we treat the other terms. Thus we conclude that \( W_1 \) is a bounded operator. Next we write

\[ T_2 = (D_x)^2 \partial_x V(x)^2 (Q - z)^{-2} W_2, \]

where

\[ W_2 = [Q, \langle x \rangle^{-2}] x(Q - z)^{-1} x + [Q, [Q, \langle x \rangle^{-2}]] (Q - z)^{-1} x(Q - z)^{-1} x = W_{21} + W_{22}. \]

We have

\[ W_{21} = 2i \left[ (D_x - B y) \frac{x^2}{(1 + x^2)^2} (Q - z)^{-1} x + \frac{x}{(1 + x^2)^2} (D_x - B y) x(Q - z)^{-1} x \right] \]

and as above we deduce that \( W_{21} \) is a bounded operator. For the analysis of \( W_{22} \), we write

\[ W_{22} = \left\{ \frac{1 - 3x^2}{(1 + x^2)^3} 4(D_x - B y)^2 + R_1(x)(D_x - B y) + R_2(x) + \frac{x}{(1 + x^2)^2} (4 \partial_x V + 8 BD_y) \right\} \]

\[ \times (Q - z)^{-1} x(Q - z)^{-1} x. \]

A simple calculus gives

\[ (Q - z)^{-1} x(Q - z)^{-1} x = (Q - z)^{-1} x^2 (Q - z)^{-1} + (Q - z)^{-1} x M_1 \]

\[ = x^2 (Q - z)^{-2} + 4(Q - z)^{-1} x(D_x - B y)(Q - z)^{-2} + x(Q - z)^{-1} M_1 + (Q - z)^{-1} M_2 \]

\[ = x^2 (Q - z)^{-2} + 4x(Q - z)^{-1} M_3 + (Q - z)^{-1} M_4 \]

\[ = x^2 (Q - i)^{-2} M_5 + 4x(Q - i)^{-1} M_6 + (Q - i)^{-1} M_7, \]
where $M_k$, $k = 1, 2, \ldots$, denote bounded operators. The pseudodifferential calculus implies that
the product of the term in the brackets $\{\ldots\}$ with $x^j(Q - i)^{-j}$, $j = 1, 2$ is a bounded operator. Combining
this with the above equality, we conclude that $W_{22}$ is bounded.

Now it remains to see that the operator
\[ T = \langle D_x \rangle^{2s} \partial_x V (x)^2 (Q - z)^{-2} \]
is trace class. For this purpose we replace $(Q - z)^2$ by
\[ (Q - i)^{-2} \left[ I + (z - i)(Q - z)^{-1} \right]^2 \]
and consider the pseudodifferential operator
\[ \langle D_x \rangle^{2s} \partial_x V (x)^2 (Q - i)^{-2} \] (5.2)
with principal symbol
\[ g_s(x, y, \xi, \eta) = \frac{\xi^{2s} (\partial_x V)(x, y)(1 + x^2)}{((\xi - By)^2 + \eta^2 + V(x, y) - i)^2}. \]

We use the estimate $\langle \xi \rangle^{2s} \leq C \langle \xi - By \rangle^{2s} \langle y \rangle^{2s}$ and we apply Theorem 9.4 in [3] to deduce that (5.2)
is a trace class operator. In fact we have
\[ \sum_{|\alpha| \leq 5} \| \partial^\alpha_{x,y,\xi,\eta} g_s \|_{L^1(\mathbb{R}^4)} < \infty \]
since $2s < 2$ guarantees that the integral with respect to $\xi$ is convergent, while $2s < 1 + \delta/2$ and the estimate (1.4) imply that integral with respect to $y$ is convergent. Consequently, $T$ is a trace
class operator and this completes the analysis of (5.1). Notice also that the same argument implies
that the operator
\[ \langle D_x \rangle^s \partial_x V [(Q - z)^{-1} x]^2 \]
is trace class.

To prove that the operator $\langle D_x \rangle^s \partial_x V [(Q - z)^{-1} x]^2 \langle D_x \rangle^s$ is trace class, we commute the operator $\langle D_x \rangle^s$ with $(Q - z)^{-1} x$ and $\partial_x V$ in order to reduce the proof to that of (5.1). The commutators $[x, \langle D_x \rangle^s]$ and $[V, \langle D_x \rangle^s] x$ are bounded since $s < 1$. Next
\[ [(Q - z)^{-1}, \langle D_x \rangle^s] x = (Q - z)^{-1} [V, \langle D_x \rangle^s] (Q - z)^{-1} x \]
\[ = (Q - z)^{-1} [V, \langle D_x \rangle^s] \left( x(Q - z)^{-1} + (Q - z)^{-1} M_1 \right) = (Q - z)^{-1} M_2 \]
and we obtain operators which can be handled by the above argument. Thus the assertion is proved
for $n = 2$.

Passing to the general case $n > 2$, assume that the assertion holds for $n = 2, \ldots, k - 1$, and suppose that $V$ satisfy the estimate (1.4) with $n = k$. The idea is to replace the operator
\[ \langle D_x \rangle^s \partial_x V [(Q - z)^{-1} x]^k \langle D_x \rangle^s \]
by the trace class operator $\langle D_x \rangle^s (\partial_x V) x^k (Q - z)^{-2} \langle D_x \rangle^s$ plus a sum of several operators which are trace
class according to the recurrence assumption. Notice that if $M_j$ is bounded operator obtained
as a product of \((D_x - By)\) and \((Q - z)^{-j}, j \geq 1\), the operator \(\langle D_x \rangle^{-s}M_j\langle D_x \rangle^s\) becomes a bounded operators and this makes possible to exploit the representation

\[
\langle D_x \rangle^s\partial_x V(Q - z)^{-1}x\ldots M_j\langle D_x \rangle^s = \left(\langle D_x \rangle^s\partial_x V(Q - z)^{-1}x\ldots\langle D_x \rangle^s\right)^{\left(\langle D_x \rangle^{-s}M_j\langle D_x \rangle^s\right)}
\]

Thus we reduce the analysis to the trace class property of \(\langle D_x \rangle^s\partial_x V(Q - z)^{-1}x\ldots\langle D_x \rangle^s\). For simplicity of the notations we will write \(A \sim_t B\) if the difference \(A - B\) is a trace class operator.

We start with the observation that

\[
\langle D_x \rangle^s\partial_x V[(Q - z)^{-1}x]^k\langle D_x \rangle^s \sim_t \langle D_x \rangle^s\partial_x V[(Q - z)^{-1}x]^{k-2}(Q - z)^{-1}x^2(Q - z)^{-1}\langle D_x \rangle^s.
\]

We can establish this by a recurrence. For \(k - 1\) we apply the equality

\[
\langle D_x \rangle^s\partial_x V[(Q - z)^{-1}x]^{k-1}\langle D_x \rangle^s = \langle D_x \rangle^s\partial_x V[(Q - z)^{-1}x]^{k-3}(Q - z)^{-1}x^2(Q - z)^{-1}\langle D_x \rangle^s
\]

\[
\sim_t \langle D_x \rangle^s\partial_x V[(Q - z)^{-1}x]^{k-3}(Q - z)^{-1}x^2(Q - z)^{-1}\langle D_x \rangle^s.
\]

Commuting \((Q - z)^{-1}\) and \(x^2\), we obtain the result for \(k - 1\) and in the same way we continue for \(p \leq k - 1\).

Next we commute \((Q - z)^{-1}\) and \(x^2\) and get

\[
\langle D_x \rangle^s\partial_x V[(Q - z)^{-1}x]^{k-2}(Q - z)^{-1}x^2(Q - z)^{-1}\langle D_x \rangle^s
\]

\[
\sim_t \langle D_x \rangle^s\partial_x V[(Q - z)^{-1}x]^{k-3}(Q - z)^{-1}x^3(Q - z)^{-2}\langle D_x \rangle^s.
\]

Indeed, \([Q, x^2] = 4(D_x - By)\) yields

\[
(Q - z)^{-1}x^2(Q - z)^{-1} = x^2(Q - z)^{-2} - 4i(Q - z)^{-1}x(D_x - By)(Q - z)^{-1} - 2(Q - z)^{-2}
\]

and for the term

\[
\langle D_x \rangle^s\partial_x V[(Q - z)^{-1}x]^{k-1}(D_x - By)(Q - z)^{-1}\langle D_x \rangle^s
\]

we use the recurrence assumption and the fact that \(M_2 = (D_x - By)(Q - z)^{-1}\) is a bounded operator. In the same way for \(1 \leq j \leq k - 1\) we show that

\[
\langle D_x \rangle^s\partial_x V[(Q - z)^{-1}x]^{k-j}(Q - z)^{-1}x^j(Q - z)^{-2}\langle D_x \rangle^s
\]

\[
\sim_t \langle D_x \rangle^s\partial_x V[(Q - z)^{-1}x]^{k-j-1}(Q - z)^{-1}x^{j+1}(Q - z)^{-2}\langle D_x \rangle^s;
\]

taking into account the equality

\[
[Q, x^j] = 2j(D_x - By)x^{j-1} = 2jx^{j-1}(D_x - By) - 2ij(j - 1)x^{j-1}
\]

and the recurrence assumption. Finally, we prove that

\[
\langle D_x \rangle^t\partial_x V[(Q - z)^{-1}x]^k\langle D_x \rangle^s \sim_t \langle D_x \rangle^s(\partial_x V)x^k(Q - z)^{-2}\langle D_x \rangle^s
\]

and, as in the proof in the case \(n = 2\), we conclude that the operator on the right hand side is trace class one.

\(\square\)
After this preparation we pass to the proof of Theorem 2.

**Proof of Theorem 2.** Let $\Xi \subset \mathbb{R}$ be a small neighborhood of $\lambda_0$ such that $\Xi \cap \sigma(Q) = \emptyset$. For the simplicity of the notations we will write $H(\epsilon)$, $\xi(\lambda, \epsilon)$ instead of $H(B, \epsilon)$, $\xi(\lambda; B, \epsilon)$. Given $f \in C_0^\infty(\Xi)$, introduce an almost analytic continuation $\tilde{f} \in C_0^\infty(\mathcal{C})$ of $f$ so that $\partial\tilde{f}(z) = O(\text{Im } z^{\infty})$ and $\text{supp} \tilde{f}(z) \cap \sigma(Q) = \emptyset$. Since $(z - Q)^{-1}$ is analytic over the support of $\tilde{f}(z)$, applying the resolvent equality, we get

$$\partial_x V f(H(\epsilon)) = -\frac{1}{\pi} \int \partial\tilde{f}(z) \partial_x V(z - H(\epsilon))^{-1} L(dz)$$

(5.3)

Taking into account Proposition 4 and the cyclicity of the trace, we get

$$\text{tr} \int \partial\tilde{f}(z) \langle D_x \rangle^{-s} \left[ (D_x)^s \partial_x V[(z - Q)^{-1}x]^n (D_x)^s \right] \langle D_x \rangle^{-s} (z - H(\epsilon))^{-1} L(dz)$$

$$= \text{tr} \int \partial\tilde{f}(z) \left[ (D_x)^s \partial_x V[(z - Q)^{-1}x]^n (D_x)^s \right] \langle D_x \rangle^{-s} (z - H(\epsilon))^{-1} \langle D_x \rangle^{-s} L(dz).$$

Set $W(z) = \langle D_x \rangle^s \partial_x V[(z - Q)^{-1}x]^n (D_x)^s$ and note that for $z \in \text{supp} \tilde{f}$ this operator is trace class and $W(z)$ is analytic. We write

$$-\frac{1}{\pi} \int \partial\tilde{f}(z) \text{tr} \left( \partial_x V[(z - Q)^{-1}x]^n (z - H(\epsilon))^{-1} \right) L(dz)$$

$$= \frac{1}{\pi} \lim_{\eta \searrow 0} \int_{\text{Im } z > 0} \partial\tilde{f}(z + i\eta) \text{tr} \left[ (W(z + i\eta) \langle D_x \rangle^{-s} (H(\epsilon) - (z + i\eta))^{-1} \langle D_x \rangle^{-s}) \right] L(dz)$$

$$+ \int_{\text{Im } z < 0} \partial\tilde{f}(z - i\eta) \text{tr} \left( W(z - i\eta) \langle D_x \rangle^{-s} (H(\epsilon) - (z - i\eta))^{-1} \langle D_x \rangle^{-s} \right) L(dz).$$

Notice that the functions

$$\text{tr} \left( W(z \pm i\eta) \langle D_x \rangle^{-s} (H(\epsilon) - (z \pm i\eta))^{-1} \langle D_x \rangle^{-s} \right)$$

are analytic in $\pm \text{Im } z > 0$. Applying Green formula, as in Lemma 1 in [4], we deduce

$$\langle \xi'(\lambda, \epsilon), f \rangle = \text{tr} \left( f(H(\epsilon) - f(H_0) \right) = -\frac{1}{\epsilon} \text{tr} \left( \partial_x V f(H(\epsilon) \right)$$

$$= \lim_{\eta \searrow 0} \frac{(-1)^n \epsilon^{n-1}}{2\pi i} \int f(\lambda) \text{tr} \left( W(\lambda) \left[ (D_x)^{s-1} \left( (H(\epsilon) - (\lambda + i\eta))^{-1} - (H(\epsilon) - (\lambda - i\eta))^{-1} \right) \langle D_x \rangle^{-s} \right) \right) d\lambda,$$

where the integral is taken in the sense of distributions. On the other hand, Proposition 4 combined with (4.3) show that the right hand side of the above representation is finite and has order $O(\epsilon^{n-2})$. Thus for $\forall f \in C_0^\infty(\Xi)$ we obtain

$$\langle \xi'(\lambda, \epsilon), f \rangle = \int f(\lambda) T_\epsilon(\lambda) d\lambda$$

with $T_\epsilon(\lambda) = O(\epsilon^{n-2})$ and this completes the proof.
The proof of the following Lemma is similar to the proof of Proposition 2.1 in [5] and for the reader convenience we give it.

**Lemma 8.** Let $\delta > 0$ and let $k_j(x, y) = \langle x \rangle^{-j(1+\delta)}\langle y \rangle^{-j(\frac{1}{2}+\delta)}$, $j = 1, 2$. The operators $G_2 := k_2(H_0 + i)^{-2}$, $G_2^*$, (resp. $G_1 := k_1(H_0 + i)^{-1}$, $G_1^*$), are trace class (resp. Hilbert-Schmidt).

**Proof.** Without loss of the generality we may assume that $B = \epsilon = 1$. Introduce the unitary operator $U : L^2(\mathbb{R}^2) \to L^2(\mathbb{R}^2)$ by

$$(Uu)(x, y) = \frac{2}{\pi} \iint_{\mathbb{R}^2} e^{i\varphi(x, y, x', y')} u(x', y') \, dx' \, dy',$$

where $\varphi(x, y, x', y') = xy - xy' - x'y + x'y' - \frac{1}{2}y'$. A simple calculus shows that

$$\tilde{H}_0 = U^{-1}H_0U = (D_y^2 + y^2) + x - \frac{1}{4},$$

$$\tilde{k}_j^\omega = U^{-1}k_jU = k_j^\omega \left( x - D_y - \frac{1}{2}, y + D_x \right).$$

Since $U$ is unitary, it suffices to prove the lemma for $\tilde{G}_j := UG_jU^{-1} = \tilde{k}_j^\omega(\tilde{H}_0 + i)^{-j}$.

Let $\chi(t) \in C_0^\infty([0, 1])$ be a cut-off function such that $\chi(t) = 1$ for $|t| \leq 1$ and $\chi(t) = 0$ for $|t| \geq 2$. Fix a number $k$, $\max\{1, \frac{2}{1+2\delta}\} < k < 2$, and introduce the symbol

$q(x, y, \eta) = \chi\left( \frac{\langle y, \eta \rangle^k}{|\eta^2 + y^2 + (x + i)|} \right),$

where $\langle y, \eta \rangle = (1 + y^2 + \eta^2)^{1/2}$. It clear that $q(x, y, \eta) \in S^0(\mathbb{R}^4; \langle x, \xi \rangle, \langle y, \eta \rangle)$ and we set $A = q^\omega(x, y, D_y)$.

We decompose

$$\tilde{k}_j^\omega(\tilde{H}_0 + i)^{-j} = A\tilde{k}_j^\omega(\tilde{H}_0 + i)^{-j} + (I - A)\tilde{k}_j^\omega(\tilde{H}_0 + i)^{-j} = L_j + M_j.$$  \hspace{1cm} (6.1)

To treat $L_j$, notice that on the support of $q(x, y, \eta)$ we have

$$(\eta^2 + y^2 + x + i)^{-1} \in S^0(\mathbb{R}^4; \langle y, \eta \rangle)^{-k}).$$

In fact, on the support of $q$ we obtain

$$\langle y, \eta \rangle^k \leq 2|\eta^2 + y^2 + x + i|,$$

and it is easy to estimate the derivatives of $(\eta^2 + y^2 + x + i)^{-1}$. According to the calculus of pseudodifferential operators, $L_j$ becomes a pseudodifferentail operator with symbol in

$S^0(\mathbb{R}^4; \langle y, \eta \rangle)^{-k}\langle x - \eta \rangle^{-j(1+\delta)}\langle y + \xi \rangle^{-j(\frac{1}{2}+\delta)}),$\hspace{1cm}

and the trace norm (resp. Hilbert-Schmidt norm) of $L_2$ (resp. $L_1$) can be estimated (see for instance, Proposition 9.2 and Theorem 9.4 in [3]) by

$$\|L_1\|_{HS}^2 + \|L_2\|_{tr} \leq C_0 \iint \langle y, \eta \rangle^{-2k}\langle x - \eta \rangle^{-2-2\delta}\langle y + \xi \rangle^{-1-2\delta} \, dx d\xi dy d\eta$$ \hspace{1cm} (6.2)

$$\leq C_0' \iint \langle y, \eta \rangle^{-2k} \, dy d\eta \leq C_0''.$$

To deal with $M_j$, $j = 1, 2$, we will show that $(I - A)\tilde{k}_2^\omega$ is trace class operator and $(I - A)\tilde{k}_1^\omega$ is Hilbert-Schmidt one.
Notice that on the support of the symbol of \((I - A)\) we have
\[
\langle y, \eta \rangle^k \geq |\eta^2 + y^2 + x + i|.
\]
Taking into account the estimate \(\partial_x^j \partial_y^m k_j(x, y) = O_{l,m}(\langle x \rangle^{-j(1+\delta)} \langle y \rangle^{-j(\frac{1}{2} + \delta)})\), we get
\[
\|(I - A)k_1^\alpha\|_{\text{HS}} + \|(I - A)k_2^\alpha\|_{\text{tr}} \leq C_1 \int \int \int_{\langle y, \eta \rangle \geq |\eta^2 + y^2 + x + i|} \langle x - \eta \rangle^{-2 - 2\delta} \langle y + \xi \rangle^{-1 - 2\delta} dx d\xi dy d\eta
\]
\[
\leq C_2 \int \int \int_{\langle y, \eta \rangle \geq |\eta^2 + y^2 + x + i|} \langle x - \eta \rangle^{-2 - 2\delta} dx dy d\eta \leq C_2 \int \int \int_{\langle y, \eta \rangle \geq |\eta^2 + y^2 + \eta + u|} \langle u \rangle^{-2 - 2\delta} du dy d\eta
\]
\[
\leq C_2' \int \int \int_{\langle y, \eta \rangle \geq |\eta^2 + y^2 + \eta + u|} \langle u \rangle^{-2 - 2\delta} du dy d\eta + C_2' \int \int \int_{\langle y, \eta \rangle \geq |\eta^2 + y^2 + \eta + u|} \langle u \rangle^{-2 - 2\delta} du dy d\eta
\]
\[
\leq C_2' \int \int \int_{|u| \leq C_3, \langle \eta \rangle \leq C_3} \langle u \rangle^{-2 - 2\delta} du dy d\eta + \int \int \int_{|u| \geq \frac{1}{2} \langle y, \eta \rangle} \langle u \rangle^{-2 - 2\delta} du dy d\eta
\]
\[
\leq C_4 + C_5 \int \langle u \rangle^{-2 - 2\delta} \int_0^{2|u|} r dr du \leq C_4 + C_6 \int \langle u \rangle^{-2 - 2\delta + 2/k} du \leq C_7
\]

since \(-2 - 2\delta + 2/k < -1\).

Using (6.1), (6.2), (6.3) and the fact that \(M\) is trace class (resp. Hilbert-Schmidt) operator if and only if \(M^*\) is trace class (resp. Hilbert-Schmidt) operator, we complete the proof of the lemma. \(\square\)

References


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