

# Spherical set avoiding a prescribed set of angles

Evan DeCorte (McGill)

Oleg Pikhurko (Warwick)

$|\text{Aut}(K_5)|$ -th Anniversary of Kazimierz Kuratowski

# From Gil Kalai's blog

## How Large can a Spherical Set Without Two Orthogonal Vectors Be?

Posted on May 22, 2009



### The problem

**Problem:** Let  $A$  be a measurable subset of the  $d$ -dimensional sphere  $S^d = \{x \in \mathbb{R}^{d+1} : \|x\| = 1\}$ . Suppose that  $A$  **does not contain two orthogonal vectors**. How large can the  $d$ -dimensional volume of  $A$  be?

### A Conjecture

**Conjecture:** The maximum volume is attained by two open caps of diameter  $\pi/4$  around the south pole and the north pole.

For simplicity, let us normalize the volume of  $S^d$  to be 1.

- Gil Kalai on A Few Mathematical Snapshots from India (ICM2010)
- Asilomar Conference | GPU Enthusiast on Emmanuel Abbe: Erdal Arıkan's Polar Codes
- A Few Mathematical Snapshots from India (ICM2010) | Combinatorics and more on Mabruk Elon, India, and More
- valuevar on The Quantum Debate is Over! (and other Updates)
- Paul on When It Rains It Pours
- Gil Kalai on The Quantum Debate is Over! (and other Updates)
- Shmuel Weinberger on The Quantum Debate is Over! (and other Updates)

#### RSS

- Register
- Log in
- Entries RSS
- Comments RSS
- WordPress.com

#### Categories

- Academics (5)
- Algebra and Number Theory (5)
- Analysis (1)
- Applied mathematics (1)
- Art (4)
- Blogging (12)
- Book review (4)
- Combinatorics (69)
- Computer Science and Optimization (36)
- Conferences (24)
- Controversies and debates (14)
- Convex polytopes (43)
- Convexity (20)
- Economics (15)
- Education (1)

# Witsenhausen's Problem

# Witsenhausen's Problem

- ▶ *n*-dim sphere:  $\mathbb{S}^n := \{\mathbf{x} \in \mathbb{R}^{n+1} : \|\mathbf{x}\| = 1\}$

# Witsenhausen's Problem

- ▶  **$n$ -dim sphere:**  $\mathbb{S}^n := \{\mathbf{x} \in \mathbb{R}^{n+1} : \|\mathbf{x}\| = 1\}$
- ▶  $\mu$ : rotation-invariant prob measure on  $\mathbb{S}^n$

# Witsenhausen's Problem

- ▶  **$n$ -dim sphere:**  $\mathbb{S}^n := \{\mathbf{x} \in \mathbb{R}^{n+1} : \|\mathbf{x}\| = 1\}$
- ▶  $\mu$ : rotation-invariant prob measure on  $\mathbb{S}^n$
- ▶  $\mathcal{L} := \{ \text{Lebesgue measurable sets} \}$

# Witsenhausen's Problem

- ▶  **$n$ -dim sphere:**  $\mathbb{S}^n := \{x \in \mathbb{R}^{n+1} : \|x\| = 1\}$
- ▶  $\mu$ : rotation-invariant prob measure on  $\mathbb{S}^n$
- ▶  $\mathcal{L} := \{ \text{Lebesgue measurable sets} \}$
- ▶ **Witsenhausen'74:** Determine
$$\alpha_n := \sup \{ \mu(X) : X \in \mathcal{L}(\mathbb{S}^n), x, y \in X \Rightarrow x \cdot y \neq 0 \}$$

# Witsenhausen's Problem

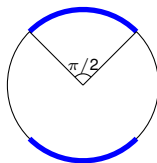
- ▶  **$n$ -dim sphere:**  $\mathbb{S}^n := \{x \in \mathbb{R}^{n+1} : \|x\| = 1\}$
- ▶  $\mu$ : rotation-invariant prob measure on  $\mathbb{S}^n$
- ▶  $\mathcal{L} := \{ \text{Lebesgue measurable sets} \}$
- ▶ **Witsenhausen'74:** Determine
$$\alpha_n := \sup \{ \mu(X) : X \in \mathcal{L}(\mathbb{S}^n), x, y \in X \Rightarrow x \cdot y \neq 0 \}$$
- ▶  $\alpha_1 = 1/2$ :



# Witsenhausen's Problem

- ▶  **$n$ -dim sphere:**  $\mathbb{S}^n := \{x \in \mathbb{R}^{n+1} : \|x\| = 1\}$
- ▶  $\mu$ : rotation-invariant prob measure on  $\mathbb{S}^n$
- ▶  $\mathcal{L} := \{ \text{Lebesgue measurable sets} \}$
- ▶ **Witsenhausen'74:** Determine
$$\alpha_n := \sup \{ \mu(X) : X \in \mathcal{L}(\mathbb{S}^n), x, y \in X \Rightarrow x \cdot y \neq 0 \}$$

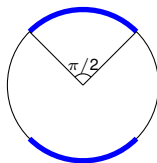
- ▶  $\alpha_1 = 1/2$ :



# Witsenhausen's Problem

- ▶  **$n$ -dim sphere:**  $\mathbb{S}^n := \{x \in \mathbb{R}^{n+1} : \|x\| = 1\}$
- ▶  $\mu$ : rotation-invariant prob measure on  $\mathbb{S}^n$
- ▶  $\mathcal{L} := \{ \text{Lebesgue measurable sets} \}$
- ▶ **Witsenhausen'74:** Determine
$$\alpha_n := \sup \{ \mu(X) : X \in \mathcal{L}(\mathbb{S}^n), x, y \in X \Rightarrow x \cdot y \neq 0 \}$$

- ▶  $\alpha_1 = 1/2$ :



- ▶ **Conjecture (Kalai'09):** two opposite caps are optimal

# Chromatic Number of $\mathbb{R}^n$

# Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi(\mathbb{R}^n) := \min k$  such that  $\exists c : \mathbb{R}^n \rightarrow \{1, \dots, k\}$  with

$$\|x - y\|_2 = 1 \Rightarrow c(x) \neq c(y)$$

# Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi(\mathbb{R}^n) := \min k$  such that  $\exists c : \mathbb{R}^n \rightarrow \{1, \dots, k\}$  with

$$\|x - y\|_2 = 1 \Rightarrow c(x) \neq c(y)$$

- ▶ **Nelson'50:**  $4 \leq \chi(\mathbb{R}^2) \leq 7$

# Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi(\mathbb{R}^n) := \min k$  such that  $\exists c : \mathbb{R}^n \rightarrow \{1, \dots, k\}$  with

$$\|x - y\|_2 = 1 \Rightarrow c(x) \neq c(y)$$

- ▶ **Nelson'50:**  $4 \leq \chi(\mathbb{R}^2) \leq 7$
- ▶ **Klee-Wagon'91:** *“we should know the answer by the year 2084”*

# Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi(\mathbb{R}^n) := \min k$  such that  $\exists c : \mathbb{R}^n \rightarrow \{1, \dots, k\}$  with

$$\|x - y\|_2 = 1 \Rightarrow c(x) \neq c(y)$$

- ▶ **Nelson'50:**  $4 \leq \chi(\mathbb{R}^2) \leq 7$
- ▶ **Klee-Wagon'91:** *"we should know the answer by the year 2084"*
- ▶ **Soifer'09:** *"If I had a choice, I would have asked to peek at the page [of THE BOOK] with the chromatic number of the plane"*

# Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi(\mathbb{R}^n) := \min k$  such that  $\exists c : \mathbb{R}^n \rightarrow \{1, \dots, k\}$  with

$$\|x - y\|_2 = 1 \Rightarrow c(x) \neq c(y)$$

- ▶ **Nelson'50:**  $4 \leq \chi(\mathbb{R}^2) \leq 7$
- ▶ **Klee-Wagon'91:** *"we should know the answer by the year 2084"*
- ▶ **Soifer'09:** *"If I had a choice, I would have asked to peek at the page [of THE BOOK] with the chromatic number of the plane"*
- ▶ **De Bruijn-Erdős'51:** attained by a finite subgraph



# Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi(\mathbb{R}^n) := \min k$  such that  $\exists c : \mathbb{R}^n \rightarrow \{1, \dots, k\}$  with

$$\|x - y\|_2 = 1 \Rightarrow c(x) \neq c(y)$$

- ▶ **Nelson'50:**  $4 \leq \chi(\mathbb{R}^2) \leq 7$
- ▶ **Klee-Wagon'91:** *"we should know the answer by the year 2084"*
- ▶ **Soifer'09:** *"If I had a choice, I would have asked to peek at the page [of THE BOOK] with the chromatic number of the plane"*
- ▶ **De Bruijn-Erdős'51:** attained by a finite subgraph
- ▶ **Frankl-Wilson'81:**  $\chi(\mathbb{R}^n) \geq (1.207 + o(1))^n$

# Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi(\mathbb{R}^n) := \min k$  such that  $\exists c : \mathbb{R}^n \rightarrow \{1, \dots, k\}$  with

$$\|x - y\|_2 = 1 \Rightarrow c(x) \neq c(y)$$

- ▶ **Nelson'50:**  $4 \leq \chi(\mathbb{R}^2) \leq 7$
- ▶ **Klee-Wagon'91:** *"we should know the answer by the year 2084"*
- ▶ **Soifer'09:** *"If I had a choice, I would have asked to peek at the page [of THE BOOK] with the chromatic number of the plane"*
- ▶ **De Bruijn-Erdős'51:** attained by a finite subgraph
- ▶ **Frankl-Wilson'81:**  $\chi(\mathbb{R}^n) \geq (1.207 + o(1))^n$
- ▶ **Raigorodskii'00:**  $\chi(\mathbb{R}^n) \geq (1.239 + o(1))^n$

# Measurable Chromatic Number of $\mathbb{R}^n$

# Measurable Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi_m$ : measurable colour classes

# Measurable Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi_m$ : measurable colour classes
- ▶  $\chi_m(\mathbb{R}^n) \geq \chi(\mathbb{R}^n)$

# Measurable Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi_m$ : measurable colour classes
- ▶  $\chi_m(\mathbb{R}^n) \geq \chi(\mathbb{R}^n)$
- ▶ **Falconer'81:**  $\chi_m(\mathbb{R}^2) \geq 5$

# Measurable Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi_m$ : measurable colour classes
- ▶  $\chi_m(\mathbb{R}^n) \geq \chi(\mathbb{R}^n)$
- ▶ **Falconer'81:**  $\chi_m(\mathbb{R}^2) \geq 5$
- ▶ **Bachoc-Passuello-Thiery'15:**  
 $\chi_m(\mathbb{R}^n) \geq 1/\alpha(\mathbb{R}^n) \geq (1.268 + o(1))^n$

# Measurable Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi_m$ : measurable colour classes
- ▶  $\chi_m(\mathbb{R}^n) \geq \chi(\mathbb{R}^n)$
- ▶ **Falconer'81:**  $\chi_m(\mathbb{R}^2) \geq 5$
- ▶ **Bachoc-Passuello-Thiery'15:**  
 $\chi_m(\mathbb{R}^n) \geq 1/\alpha(\mathbb{R}^n) \geq (1.268 + o(1))^n$
- ▶ **Larman-Roger'72:**  $\chi_m(\mathbb{R}^n) \leq (3 + o(1))^n$



# Measurable Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi_m$ : measurable colour classes
- ▶  $\chi_m(\mathbb{R}^n) \geq \chi(\mathbb{R}^n)$
- ▶ **Falconer'81:**  $\chi_m(\mathbb{R}^2) \geq 5$
- ▶ **Bachoc-Passuello-Thiery'15:**  
 $\chi_m(\mathbb{R}^n) \geq 1/\alpha(\mathbb{R}^n) \geq (1.268 + o(1))^n$
- ▶ **Larman-Roger'72:**  $\chi_m(\mathbb{R}^n) \leq (3 + o(1))^n$
- ▶  $\chi_m(\mathbb{R}^n) \geq 1/\alpha_{n-1}$

# Measurable Chromatic Number of $\mathbb{R}^n$

- ▶  $\chi_m$ : measurable colour classes
- ▶  $\chi_m(\mathbb{R}^n) \geq \chi(\mathbb{R}^n)$
- ▶ **Falconer'81:**  $\chi_m(\mathbb{R}^2) \geq 5$
- ▶ **Bachoc-Passuello-Thiery'15:**  
 $\chi_m(\mathbb{R}^n) \geq 1/\alpha(\mathbb{R}^n) \geq (1.268 + o(1))^n$
- ▶ **Larman-Roger'72:**  $\chi_m(\mathbb{R}^n) \leq (3 + o(1))^n$
- ▶  $\chi_m(\mathbb{R}^n) \geq 1/\alpha_{n-1}$
- ▶ Two caps conjecture  $\Rightarrow \chi_m(\mathbb{R}^n) \geq (\sqrt{2} + o(1))^n$

# General Problem for Sphere

# General Problem for Sphere

- ▶  $T \subset [-1, 1]$

# General Problem for Sphere

- ▶  $T \subset [-1, 1]$
- ▶  $X \subset \mathbb{S}^n$  is  **$T$ -independent**:  $x, y \in X \Rightarrow x \cdot y \notin T$

# General Problem for Sphere

- ▶  $T \subset [-1, 1]$
- ▶  $X \subset \mathbb{S}^n$  is  **$T$ -independent**:  $x, y \in X \Rightarrow x \cdot y \notin T$
- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$

# General Problem for Sphere

- ▶  $T \subset [-1, 1]$
- ▶  $X \subset \mathbb{S}^n$  is  **$T$ -independent**:  $x, y \in X \Rightarrow x \cdot y \notin T$
- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **E.g.**  $\alpha_n = \alpha_n(0)$

# General Problem for Sphere

- ▶  $T \subset [-1, 1]$
- ▶  $X \subset \mathbb{S}^n$  is  **$T$ -independent**:  $x, y \in X \Rightarrow x \cdot y \notin T$
- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **E.g.**  $\alpha_n = \alpha_n(0)$
- ▶ **E.g.**  $T = [-1, t)$ :



# General Problem for Sphere

- ▶  $T \subset [-1, 1]$
- ▶  $X \subset \mathbb{S}^n$  is  **$T$ -independent**:  $x, y \in X \Rightarrow x \cdot y \notin T$
- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **E.g.**  $\alpha_n = \alpha_n(0)$
- ▶ **E.g.**  $T = [-1, t)$ :
  - ▶ Maximise measure for given diameter

# General Problem for Sphere

- ▶  $T \subset [-1, 1]$
- ▶  $X \subset \mathbb{S}^n$  is  **$T$ -independent**:  $x, y \in X \Rightarrow x \cdot y \notin T$
- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **E.g.**  $\alpha_n = \alpha_n(0)$
- ▶ **E.g.**  $T = [-1, t)$ :
  - ▶ Maximise measure for given diameter
  - ▶ **Isodiametric Inequality**

# General Problem for Sphere

- ▶  $T \subset [-1, 1]$
- ▶  $X \subset \mathbb{S}^n$  is  **$T$ -independent**:  $x, y \in X \Rightarrow x \cdot y \notin T$
- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **E.g.**  $\alpha_n = \alpha_n(0)$
- ▶ **E.g.**  $T = [-1, t)$ :
  - ▶ Maximise measure for given diameter
  - ▶ **Isodiametric Inequality**
  - ▶ **Schmidt'48, Levi'51**: cap is optimal

# Attainment of Supremum

# Attainment of Supremum

►  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$

# Attainment of Supremum

- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **DeCorte-P.  $\geq$ '16:**  $\forall n \geq 2 \quad \forall T \subset [-1, 1]$   
 $\exists T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \text{ with } \mu(X) = \alpha_n(T)$

# Attainment of Supremum

- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **DeCorte-P.  $\geq$ '16:**  $\forall n \geq 2 \quad \forall T \subset [-1, 1]$   
 $\exists T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \text{ with } \mu(X) = \alpha_n(T)$
- ▶ **Not true** for  $n = 1$ :

# Attainment of Supremum

- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **DeCorte-P.  $\geq$ '16:**  $\forall n \geq 2 \quad \forall T \subset [-1, 1]$   
 $\exists T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \text{ with } \mu(X) = \alpha_n(T)$
- ▶ **Not true** for  $n = 1$ :
  - ▶  $t = \cos \theta$  with **irrational**  $\theta/\pi$



# Attainment of Supremum

- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **DeCorte-P.  $\geq$ '16:**  $\forall n \geq 2 \quad \forall T \subset [-1, 1]$   
 $\exists T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \text{ with } \mu(X) = \alpha_n(T)$
- ▶ **Not true** for  $n = 1$ :
  - ▶  $t = \cos \theta$  with **irrational**  $\theta/\pi$
  - ▶  $\alpha_1(t) = 1/2$

# Attainment of Supremum

- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **DeCorte-P.  $\geq$ '16:**  $\forall n \geq 2 \quad \forall T \subset [-1, 1]$   
 $\exists T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \text{ with } \mu(X) = \alpha_n(T)$
- ▶ **Not true** for  $n = 1$ :
  - ▶  $t = \cos \theta$  with **irrational**  $\theta/\pi$
  - ▶  $\alpha_1(t) = 1/2$
  - ▶  $(\mathbb{S}^1, \{\text{irrational rotation}\})$  is ergodic

# Attainment of Supremum

- ▶  $\alpha_n(T) := \sup\{ \mu(X) : T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \}$
- ▶ **DeCorte-P.  $\geq$ '16:**  $\forall n \geq 2 \quad \forall T \subset [-1, 1]$   
 $\exists T\text{-independent } X \in \mathcal{L}(\mathbb{S}^n) \text{ with } \mu(X) = \alpha_n(T)$
- ▶ **Not true** for  $n = 1$ :
  - ▶  $t = \cos \theta$  with **irrational**  $\theta/\pi$
  - ▶  $\alpha_1(t) = 1/2$
  - ▶  $(\mathbb{S}^1, \{\text{irrational rotation}\})$  is ergodic
  - ▶ **No** independent set of measure  $1/2$

$$\mathcal{S}_{2,0} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$$

$$\mathcal{S}_{2,0} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$$

- ▶ Two caps  $\Rightarrow \alpha_2 \geq 1 - 1/\sqrt{2} = 0.292\dots$

$$\mathcal{S}_{2,0} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$$

- ▶ Two caps  $\Rightarrow \alpha_2 \geq 1 - 1/\sqrt{2} = 0.292\dots$
- ▶ **Witsenhausen'74:**  $\alpha_2 \leq \frac{1}{3} = 0.333\dots$

$$\mathcal{S}_{2,0} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$$

- ▶ Two caps  $\Rightarrow \alpha_2 \geq 1 - 1/\sqrt{2} = 0.292\dots$
- ▶ **Witsenhausen'74:**  $\alpha_2 \leq \frac{1}{3} = 0.333\dots$ 
  - ▶  $\mathcal{S}_{2,0} \supset K_3$

$$\mathcal{S}_{2,0} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$$

- ▶ Two caps  $\Rightarrow \alpha_2 \geq 1 - 1/\sqrt{2} = 0.292\dots$
- ▶ **Witsenhausen'74:**  $\alpha_2 \leq \frac{1}{3} = 0.333\dots$ 
  - ▶  $\mathcal{S}_{2,0} \supset K_3$
- ▶ **Bachoc-Nebe-Oliveira Filho-Vallentin'09:**  
Lovász  $\theta$ -function



$$\mathcal{S}_{2,0} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$$

- ▶ Two caps  $\Rightarrow \alpha_2 \geq 1 - 1/\sqrt{2} = 0.292\dots$
- ▶ **Witsenhausen'74:**  $\alpha_2 \leq \frac{1}{3} = 0.333\dots$ 
  - ▶  $\mathcal{S}_{2,0} \supset K_3$
- ▶ **Bachoc-Nebe-Oliveira Filho-Vallentin'09:**  
Lovász  $\theta$ -function  $\Rightarrow \alpha_2 \leq \theta(\mathcal{S}_{2,0}) = 1/3$

$$\mathcal{S}_{2,0} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$$

- ▶ Two caps  $\Rightarrow \alpha_2 \geq 1 - 1/\sqrt{2} = 0.292\dots$
- ▶ **Witsenhausen'74:**  $\alpha_2 \leq \frac{1}{3} = 0.333\dots$ 
  - ▶  $\mathcal{S}_{2,0} \supset K_3$
- ▶ **Bachoc-Nebe-Oliveira Filho-Vallentin'09:**  
Lovász  $\theta$ -function  $\Rightarrow \alpha_2 \leq \theta(\mathcal{S}_{2,0}) = 1/3$
- ▶ **DeCorte-P.  $\geq$ '16:**  $\alpha_2 \leq 0.313$

$$\mathcal{S}_{2,0} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$$

- ▶ Two caps  $\Rightarrow \alpha_2 \geq 1 - 1/\sqrt{2} = 0.292\dots$
- ▶ **Witsenhausen'74:**  $\alpha_2 \leq \frac{1}{3} = 0.333\dots$ 
  - ▶  $\mathcal{S}_{2,0} \supset K_3$
- ▶ **Bachoc-Nebe-Oliveira Filho-Vallentin'09:**  
Lovász  $\theta$ -function  $\Rightarrow \alpha_2 \leq \theta(\mathcal{S}_{2,0}) = 1/3$
- ▶ **DeCorte-P.  $\geq$ '16:**  $\alpha_2 \leq 0.313$ 
  - ▶ Extra combinatorial constraints

$$\mathcal{S}_{2,0} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$$

- ▶ Two caps  $\Rightarrow \alpha_2 \geq 1 - 1/\sqrt{2} = 0.292\dots$
- ▶ **Witsenhausen'74:**  $\alpha_2 \leq \frac{1}{3} = 0.333\dots$ 
  - ▶  $\mathcal{S}_{2,0} \supset K_3$
- ▶ **Bachoc-Nebe-Oliveira Filho-Vallentin'09:**  
Lovász  $\theta$ -function  $\Rightarrow \alpha_2 \leq \theta(\mathcal{S}_{2,0}) = 1/3$
- ▶ **DeCorte-P.  $\geq$ '16:**  $\alpha_2 \leq 0.313$ 
  - ▶ Extra combinatorial constraints
- ▶ **Zhao  $\geq$ '16:**  $\alpha_2 \leq 4/13 = 0.307\dots$

$$\mathcal{S}_{2,0} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$$

- ▶ Two caps  $\Rightarrow \alpha_2 \geq 1 - 1/\sqrt{2} = 0.292\dots$
- ▶ **Witsenhausen'74:**  $\alpha_2 \leq \frac{1}{3} = 0.333\dots$ 
  - ▶  $\mathcal{S}_{2,0} \supset K_3$
- ▶ **Bachoc-Nebe-Oliveira Filho-Vallentin'09:**  
Lovász  $\theta$ -function  $\Rightarrow \alpha_2 \leq \theta(\mathcal{S}_{2,0}) = 1/3$
- ▶ **DeCorte-P.  $\geq$ '16:**  $\alpha_2 \leq 0.313$ 
  - ▶ Extra combinatorial constraints
- ▶ **Zhao  $\geq$ '16:**  $\alpha_2 \leq 4/13 = 0.307\dots$
- ▶ **DeCorte  $\geq$ '16:**  $\alpha_2 \leq 1382/4523 = 0.306\dots$

$$\mathcal{S}_{2,t} = (\mathbb{S}^2, \{\text{scalar product } t\})$$

$$\mathcal{S}_{2,t} = (\mathbb{S}^2, \{\text{scalar product } t\})$$

- Constructions for  $t \leq \cos \frac{2\pi}{5}$ : one or two caps

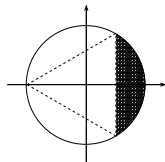
$$\mathcal{S}_{2,t} = (\mathbb{S}^2, \{\text{scalar product } t\})$$

- ▶ Constructions for  $t \leq \cos \frac{2\pi}{5}$ : one or two caps
- ▶ Borderline cases:



$$\mathcal{S}_{2,t} = (\mathbb{S}^2, \{\text{scalar product } t\})$$

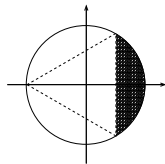
- Constructions for  $t \leq \cos \frac{2\pi}{5}$ : one or two caps
- Borderline cases:



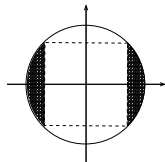
$$t = -1/2$$

$$\mathcal{S}_{2,t} = (\mathbb{S}^2, \{\text{scalar product } t\})$$

- Constructions for  $t \leq \cos \frac{2\pi}{5}$ : one or two caps
- Borderline cases:



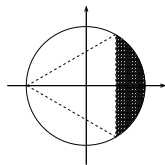
$$t = -1/2$$



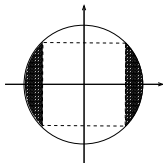
$$t = 0$$

$$\mathcal{S}_{2,t} = (\mathbb{S}^2, \{\text{scalar product } t\})$$

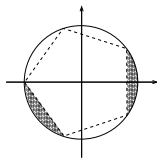
- Constructions for  $t \leq \cos \frac{2\pi}{5}$ : one or two caps
- Borderline cases:



$$t = -1/2$$



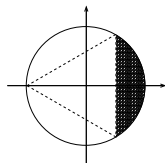
$$t = 0$$



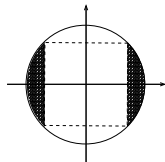
$$t = \cos \frac{2\pi}{5}$$

$$\mathcal{S}_{2,t} = (\mathbb{S}^2, \{\text{scalar product } t\})$$

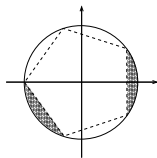
- Constructions for  $t \leq \cos \frac{2\pi}{5}$ : one or two caps
- Borderline cases:



$$t = -1/2$$



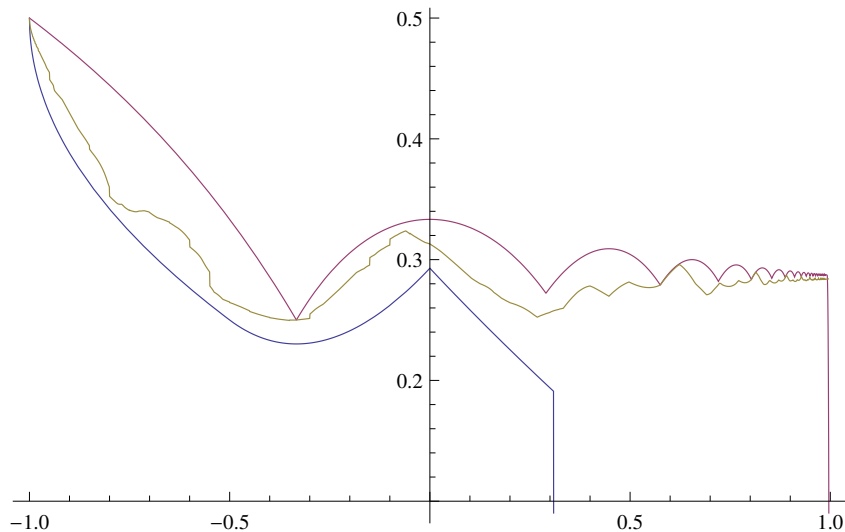
$$t = 0$$



$$t = \cos \frac{2\pi}{5}$$

- Bachoc-Nebe-Oliveira Filho-Vallentin'09:  $\theta(\mathcal{S}_{2,t})$

# Bounds on $\alpha_2(t)$



# Existence of a Maximiser

# Existence of a Maximiser

- ▶ Isoperimetric Inequality for  $\mathbb{R}^2$ :

# Existence of a Maximiser

- ▶ **Isoperimetric Inequality** for  $\mathbb{R}^2$ :
  - ▶ **Steiner 1838**: If a maximiser exists, it is a circle



# Existence of a Maximiser

- ▶ **Isoperimetric Inequality** for  $\mathbb{R}^2$ :
  - ▶ **Steiner 1838**: If a maximiser exists, it is a circle
  - ▶ **Weierstrass 1879; Edler 1882**: complete solution

# Existence of a Maximiser

- ▶ **Isoperimetric Inequality** for  $\mathbb{R}^2$ :
  - ▶ **Steiner 1838**: If a maximiser exists, it is a circle
  - ▶ **Weierstrass 1879; Edler 1882**: complete solution
- ▶ **DeCorte-P.  $\geq$ '16**:  $\forall n \geq 2 \quad \forall T \subset [-1, 1]$   
 $\exists T$ -independent  $A \in \mathcal{L}(\mathbb{S}^n)$  with  $\mu(A) = \alpha_n(T)$

# Existence of a Maximiser

- ▶ **Isoperimetric Inequality** for  $\mathbb{R}^2$ :
  - ▶ **Steiner 1838**: If a maximiser exists, it is a circle
  - ▶ **Weierstrass 1879; Edler 1882**: complete solution
- ▶ **DeCorte-P.  $\geq$ '16**:  $\forall n \geq 2 \quad \forall T \subset [-1, 1]$   
 $\exists T$ -independent  $A \in \mathcal{L}(\mathbb{S}^n)$  with  $\mu(A) = \alpha_n(T)$
- ▶  $n = 2$  and  $T = \{0\}$  for simplicity

# Existence of a Maximiser

- ▶ **Isoperimetric Inequality** for  $\mathbb{R}^2$ :
  - ▶ **Steiner 1838**: If a maximiser exists, it is a circle
  - ▶ **Weierstrass 1879; Edler 1882**: complete solution
- ▶ **DeCorte-P.  $\geq$ '16**:  $\forall n \geq 2 \quad \forall T \subset [-1, 1]$   
 $\exists T$ -independent  $A \in \mathcal{L}(\mathbb{S}^n)$  with  $\mu(A) = \alpha_n(T)$
- ▶  $n = 2$  and  $T = \{0\}$  for simplicity
- ▶ independent := 0-independent, etc...

# Existence of a Maximiser

- ▶ **Isoperimetric Inequality** for  $\mathbb{R}^2$ :
  - ▶ **Steiner 1838**: If a maximiser exists, it is a circle
  - ▶ **Weierstrass 1879; Edler 1882**: complete solution
- ▶ **DeCorte-P.  $\geq$ '16**:  $\forall n \geq 2 \quad \forall T \subset [-1, 1]$   
 $\exists T$ -independent  $A \in \mathcal{L}(\mathbb{S}^n)$  with  $\mu(A) = \alpha_n(T)$
- ▶  $n = 2$  and  $T = \{0\}$  for simplicity
- ▶ independent := 0-independent, etc...
- ▶  $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal pairs}\})$

# Idea of Strategy

# Idea of Strategy

- ▶ Finite graph  $G = ([m], E)$

# Idea of Strategy

- ▶ Finite graph  $G = ([m], E)$
- ▶  $X \subset [m] \rightsquigarrow$  indicator function  $\mathbb{I}_X : [m] \rightarrow \{0, 1\}$



# Idea of Strategy

- ▶ Finite graph  $G = ([m], E)$
- ▶  $X \subset [m] \rightsquigarrow$  indicator function  $\mathbb{I}_X : [m] \rightarrow \{0, 1\}$
- ▶ **Adjacency operator**  $A : \mathbb{R}^m \rightarrow \mathbb{R}^m$

$$A e_i = \sum_{j \in \Gamma(i)} e_j$$

# Idea of Strategy

- ▶ Finite graph  $G = ([m], E)$
- ▶  $X \subset [m] \rightsquigarrow$  indicator function  $\mathbb{I}_X : [m] \rightarrow \{0, 1\}$
- ▶ **Adjacency operator**  $A : \mathbb{R}^m \rightarrow \mathbb{R}^m$

$$A e_i = \sum_{j \in \Gamma(i)} e_j$$

- ▶  $X$  independent  $\Leftrightarrow \langle \mathbb{I}_X, A \mathbb{I}_X \rangle = 0$

# Idea of Strategy

- ▶ Finite graph  $G = ([m], E)$
- ▶  $X \subset [m] \rightsquigarrow$  indicator function  $\mathbb{I}_X : [m] \rightarrow \{0, 1\}$
- ▶ **Adjacency operator**  $A : \mathbb{R}^m \rightarrow \mathbb{R}^m$

$$A e_i = \sum_{j \in \Gamma(i)} e_j$$

- ▶  $X$  independent  $\Leftrightarrow \langle \mathbb{I}_X, A \mathbb{I}_X \rangle = 0$
- ▶  $|X| = \langle \mathbb{I}_X, \mathbf{1} \rangle$

# Idea of Strategy

- ▶ Finite graph  $G = ([m], E)$
- ▶  $X \subset [m] \rightsquigarrow$  indicator function  $\mathbb{I}_X : [m] \rightarrow \{0, 1\}$
- ▶ **Adjacency operator**  $A : \mathbb{R}^m \rightarrow \mathbb{R}^m$

$$A e_i = \sum_{j \in \Gamma(i)} e_j$$

- ▶  $X$  independent  $\Leftrightarrow \langle \mathbb{I}_X, A \mathbb{I}_X \rangle = 0$
- ▶  $|X| = \langle \mathbb{I}_X, \mathbf{1} \rangle$
- ▶ **Maximise**  $\langle f, \mathbf{1} \rangle$  for  $f : V \rightarrow [0, 1]$  with  $\langle f, A f \rangle = 0$

# Idea of Strategy II

# Idea of Strategy II

- ▶ **Maximise**  $\langle f, 1 \rangle$  for  $f : V \rightarrow [0, 1]$  with  $\langle f, A f \rangle = 0$

# Idea of Strategy II

- ▶ **Maximise**  $\langle f, 1 \rangle$  for  $f : V \rightarrow [0, 1]$  with  $\langle f, Af \rangle = 0$
- ▶ **Aim:** a maximiser exists

# Idea of Strategy II

- ▶ **Maximise**  $\langle f, 1 \rangle$  for  $f : V \rightarrow [0, 1]$  with  $\langle f, Af \rangle = 0$
- ▶ **Aim:** a maximiser exists,  $\{0, 1\}$ -valued



# Idea of Strategy II

- ▶ **Maximise**  $\langle f, 1 \rangle$  for  $f : V \rightarrow [0, 1]$  with  $\langle f, Af \rangle = 0$
- ▶ **Aim:** a maximiser exists,  $\{0, 1\}$ -valued
- ▶ **Topology** on  $\{f : V \rightarrow [0, 1]\}$  st

# Idea of Strategy II

- ▶ **Maximise**  $\langle f, 1 \rangle$  for  $f : V \rightarrow [0, 1]$  with  $\langle f, Af \rangle = 0$
- ▶ **Aim:** a maximiser exists,  $\{0, 1\}$ -valued
- ▶ **Topology** on  $\{f : V \rightarrow [0, 1]\}$  st
  - ▶ **compact**

# Idea of Strategy II

- ▶ **Maximise**  $\langle f, 1 \rangle$  for  $f : V \rightarrow [0, 1]$  with  $\langle f, Af \rangle = 0$
- ▶ **Aim:** a maximiser exists,  $\{0, 1\}$ -valued
- ▶ **Topology** on  $\{f : V \rightarrow [0, 1]\}$  st
  - ▶ **compact**
  - ▶  $f \mapsto \langle f, 1 \rangle$  and  $f \mapsto \langle f, Af \rangle$  are **continuous**

# Idea of Strategy II

- ▶ **Maximise**  $\langle f, 1 \rangle$  for  $f : V \rightarrow [0, 1]$  with  $\langle f, Af \rangle = 0$
- ▶ **Aim:** a maximiser exists,  $\{0, 1\}$ -valued
- ▶ **Topology** on  $\{f : V \rightarrow [0, 1]\}$  st
  - ▶ **compact**
  - ▶  $f \mapsto \langle f, 1 \rangle$  and  $f \mapsto \langle f, Af \rangle$  are **continuous**
- ▶ Asymptotically optimal  $f_n$

# Idea of Strategy II

- ▶ **Maximise**  $\langle f, 1 \rangle$  for  $f : V \rightarrow [0, 1]$  with  $\langle f, Af \rangle = 0$
- ▶ **Aim:** a maximiser exists,  $\{0, 1\}$ -valued
- ▶ **Topology** on  $\{f : V \rightarrow [0, 1]\}$  st
  - ▶ **compact**
  - ▶  $f \mapsto \langle f, 1 \rangle$  and  $f \mapsto \langle f, Af \rangle$  are **continuous**
- ▶ Asymptotically optimal  $f_n$
- ▶ Some subsequence  $f_{n_i} \rightarrow f$

# Idea of Strategy II

- ▶ **Maximise**  $\langle f, 1 \rangle$  for  $f : V \rightarrow [0, 1]$  with  $\langle f, Af \rangle = 0$
- ▶ **Aim:** a maximiser exists,  $\{0, 1\}$ -valued
- ▶ **Topology** on  $\{f : V \rightarrow [0, 1]\}$  st
  - ▶ **compact**
  - ▶  $f \mapsto \langle f, 1 \rangle$  and  $f \mapsto \langle f, Af \rangle$  are **continuous**
- ▶ Asymptotically optimal  $f_n$
- ▶ Some subsequence  $f_{n_i} \rightarrow f$
- ▶ **Show**  $f$  is  $\{0, 1\}$ -valued a.e.

Adjacency Operator for  $\mathcal{S} = (\mathbb{S}^2, \{x \cdot y = 0\})$

# Adjacency Operator for $\mathcal{S} = (\mathbb{S}^2, \{x \cdot y = 0\})$

- ▶  $\mathcal{H} := L^2(\mathbb{S}^2)$



# Adjacency Operator for $\mathcal{S} = (\mathbb{S}^2, \{x \cdot y = 0\})$

- ▶  $\mathcal{H} := L^2(\mathbb{S}^2) = \{f : \mathbb{S}^2 \rightarrow \mathbb{R} : \int f^2 d\mu < \infty\} / \text{a.e.}$

# Adjacency Operator for $\mathcal{S} = (\mathbb{S}^2, \{x \cdot y = 0\})$

- ▶  $\mathcal{H} := L^2(\mathbb{S}^2) = \{f : \mathbb{S}^2 \rightarrow \mathbb{R} : \int f^2 d\mu < \infty\} / \text{a.e.}$
- ▶ Inner product  $\langle f, g \rangle = \int fg d\mu$

# Adjacency Operator for $\mathcal{S} = (\mathbb{S}^2, \{x \cdot y = 0\})$

- ▶  $\mathcal{H} := L^2(\mathbb{S}^2) = \{f : \mathbb{S}^2 \rightarrow \mathbb{R} : \int f^2 d\mu < \infty\} / \text{a.e.}$
- ▶ **Inner product**  $\langle f, g \rangle = \int fg d\mu$
- ▶  $x^\perp := \{y \in \mathbb{S}^2 : x \cdot y = 0\}$

# Adjacency Operator for $\mathcal{S} = (\mathbb{S}^2, \{x \cdot y = 0\})$

- ▶  $\mathcal{H} := L^2(\mathbb{S}^2) = \{f : \mathbb{S}^2 \rightarrow \mathbb{R} : \int f^2 d\mu < \infty\} / \text{a.e.}$
- ▶ **Inner product**  $\langle f, g \rangle = \int fg d\mu$
- ▶  $x^\perp := \{y \in \mathbb{S}^2 : x \cdot y = 0\}$
- ▶  $\sigma_x$ : rotation-invariant prob measure on  $x^\perp$

# Adjacency Operator for $\mathcal{S} = (\mathbb{S}^2, \{x \cdot y = 0\})$

- ▶  $\mathcal{H} := L^2(\mathbb{S}^2) = \{f : \mathbb{S}^2 \rightarrow \mathbb{R} : \int f^2 d\mu < \infty\} / \text{a.e.}$
- ▶ **Inner product**  $\langle f, g \rangle = \int fg d\mu$
- ▶  $x^\perp := \{y \in \mathbb{S}^2 : x \cdot y = 0\}$
- ▶  $\sigma_x$ : rotation-invariant prob measure on  $x^\perp$
- ▶ **Adjacency** (or **spherical mean**) operator

$$(Af)(x) := \int_{x^\perp} f(y) d\sigma_x(y).$$

# Adjacency Operator for $\mathcal{S} = (\mathbb{S}^2, \{x \cdot y = 0\})$

- ▶  $\mathcal{H} := L^2(\mathbb{S}^2) = \{f : \mathbb{S}^2 \rightarrow \mathbb{R} : \int f^2 d\mu < \infty\} / \text{a.e.}$
- ▶ **Inner product**  $\langle f, g \rangle = \int fg d\mu$
- ▶  $x^\perp := \{y \in \mathbb{S}^2 : x \cdot y = 0\}$
- ▶  $\sigma_x$ : rotation-invariant prob measure on  $x^\perp$
- ▶ **Adjacency** (or **spherical mean**) operator

$$(Af)(x) := \int_{x^\perp} f(y) d\sigma_x(y).$$

- ▶ **Known:**  $A : \mathcal{H} \rightarrow \mathcal{H}$

# Adjacency Operator for $\mathcal{S} = (\mathbb{S}^2, \{x \cdot y = 0\})$

- ▶  $\mathcal{H} := L^2(\mathbb{S}^2) = \{f : \mathbb{S}^2 \rightarrow \mathbb{R} : \int f^2 d\mu < \infty\} / \text{a.e.}$
- ▶ **Inner product**  $\langle f, g \rangle = \int fg d\mu$
- ▶  $x^\perp := \{y \in \mathbb{S}^2 : x \cdot y = 0\}$
- ▶  $\sigma_x$ : rotation-invariant prob measure on  $x^\perp$
- ▶ **Adjacency** (or **spherical mean**) operator

$$(Af)(x) := \int_{x^\perp} f(y) d\sigma_x(y).$$

- ▶ **Known:**  $A : \mathcal{H} \rightarrow \mathcal{H}$  is bounded of norm 1

# Independent Sets



# Independent Sets

- ▶  $X \in \mathcal{L}(\mathbb{S}) \leadsto$  indicator function  $\mathbb{I}_X \in \mathcal{H}$

# Independent Sets

- ▶  $X \in \mathcal{L}(\mathbb{S}) \leadsto$  indicator function  $\mathbb{I}_X \in \mathcal{H}$
- ▶  $X$  independent  $\Rightarrow \langle \mathbb{I}_X, A\mathbb{I}_X \rangle = 0$

# Independent Sets

- ▶  $X \in \mathcal{L}(\mathcal{S}) \leadsto$  indicator function  $\mathbb{I}_X \in \mathcal{H}$
- ▶  $X$  independent  $\Rightarrow \langle \mathbb{I}_X, A\mathbb{I}_X \rangle = 0$
- ▶ If  $\langle \mathbb{I}_X, A\mathbb{I}_X \rangle = 0$ , we can **clean-up**:

# Independent Sets

- ▶  $X \in \mathcal{L}(\mathbb{S}) \rightsquigarrow$  indicator function  $\mathbb{I}_X \in \mathcal{H}$
- ▶  $X$  independent  $\Rightarrow \langle \mathbb{I}_X, A\mathbb{I}_X \rangle = 0$
- ▶ If  $\langle \mathbb{I}_X, A\mathbb{I}_X \rangle = 0$ , we can **clean-up**:
  - ▶  $Y = \{x \in X : \text{Lebesgue density point}\}$

# Independent Sets

- ▶  $X \in \mathcal{L}(\mathbb{S}) \leadsto$  indicator function  $\mathbb{I}_X \in \mathcal{H}$
- ▶  $X$  independent  $\Rightarrow \langle \mathbb{I}_X, A\mathbb{I}_X \rangle = 0$
- ▶ If  $\langle \mathbb{I}_X, A\mathbb{I}_X \rangle = 0$ , we can **clean-up**:
  - ▶  $Y = \{x \in X : \text{Lebesgue density point}\}$
  - ▶ **Lebesgue Density Theorem**:  $Y = X$  a.e.

# Independent Sets

- ▶  $X \in \mathcal{L}(\mathbb{S}) \rightsquigarrow$  indicator function  $\mathbb{I}_X \in \mathcal{H}$
- ▶  $X$  independent  $\Rightarrow \langle \mathbb{I}_X, A\mathbb{I}_X \rangle = 0$
- ▶ If  $\langle \mathbb{I}_X, A\mathbb{I}_X \rangle = 0$ , we can **clean-up**:
  - ▶  $Y = \{x \in X : \text{Lebesgue density point}\}$
  - ▶ **Lebesgue Density Theorem**:  $Y = X$  a.e.
  - ▶  $Y$  is independent

# Weak Limits

# Weak Limits

- ▶ **Pick**  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$



# Weak Limits

- ▶ **Pick**  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?

# Weak Limits

- ▶ Pick  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?
- ▶  $f_i \rightarrow f$  weakly:  $\forall L \in \mathcal{H}^* \quad Lf_i \rightarrow Lf$

# Weak Limits

- ▶ Pick  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?
- ▶  $f_i \rightarrow f$  weakly:  $\forall L \in \mathcal{H}^* \quad Lf_i \rightarrow Lf$ 
  - ▶ E.g. orthonormal vectors  $\rightarrow 0$

# Weak Limits

- ▶ Pick  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?
- ▶  $f_i \rightarrow f$  weakly:  $\forall L \in \mathcal{H}^* \quad Lf_i \rightarrow Lf$ 
  - ▶ E.g. orthonormal vectors  $\rightarrow 0$  (but not in norm)

# Weak Limits

- ▶ **Pick**  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?
- ▶  $f_i \rightarrow f$  **weakly**:  $\forall L \in \mathcal{H}^* \quad Lf_i \rightarrow Lf$ 
  - ▶ **E.g.** orthonormal vectors  $\rightarrow 0$  (but not in norm)
- ▶  $\|\mathbb{I}_{X_i}\| \leq 1$  uniformly bounded

# Weak Limits

- ▶ Pick  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?
- ▶  $f_i \rightarrow f$  weakly:  $\forall L \in \mathcal{H}^* \quad Lf_i \rightarrow Lf$ 
  - ▶ E.g. orthonormal vectors  $\rightarrow 0$  (but not in norm)
- ▶  $\|\mathbb{I}_{X_i}\| \leq 1$  uniformly bounded  $\Rightarrow \mathbb{I}_{X_{m_i}} \rightarrow f$

# Weak Limits

- ▶ **Pick**  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?
- ▶  $f_i \rightarrow f$  **weakly**:  $\forall L \in \mathcal{H}^* \quad Lf_i \rightarrow Lf$ 
  - ▶ **E.g.** orthonormal vectors  $\rightarrow 0$  (but not in norm)
- ▶  $\|\mathbb{I}_{X_i}\| \leq 1$  uniformly bounded  $\Rightarrow \mathbb{I}_{X_{m_i}} \rightarrow f$
- ▶  $f(x) \in [0, 1]$  a.e.

# Weak Limits

- ▶ **Pick**  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?
- ▶  $f_i \rightarrow f$  **weakly**:  $\forall L \in \mathcal{H}^* \quad Lf_i \rightarrow Lf$ 
  - ▶ **E.g.** orthonormal vectors  $\rightarrow 0$  (but not in norm)
- ▶  $\|\mathbb{I}_{X_i}\| \leq 1$  uniformly bounded  $\Rightarrow \mathbb{I}_{X_{m_i}} \rightarrow f$
- ▶  $f(x) \in [0, 1]$  a.e.
- ▶  $\langle -, 1 \rangle \in \mathcal{H}^*$



# Weak Limits

- ▶ **Pick**  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?
- ▶  $f_i \rightarrow f$  **weakly**:  $\forall L \in \mathcal{H}^* \quad Lf_i \rightarrow Lf$ 
  - ▶ **E.g.** orthonormal vectors  $\rightarrow 0$  (but not in norm)
- ▶  $\|\mathbb{I}_{X_i}\| \leq 1$  uniformly bounded  $\Rightarrow \mathbb{I}_{X_{m_i}} \rightarrow f$
- ▶  $f(x) \in [0, 1]$  a.e.
- ▶  $\langle -, 1 \rangle \in \mathcal{H}^*$ 
  - ▶  $\int f d\mu = \langle f, 1 \rangle$

# Weak Limits

- ▶ **Pick**  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?
- ▶  $f_i \rightarrow f$  **weakly**:  $\forall L \in \mathcal{H}^* \quad Lf_i \rightarrow Lf$ 
  - ▶ **E.g.** orthonormal vectors  $\rightarrow 0$  (but not in norm)
- ▶  $\|\mathbb{I}_{X_i}\| \leq 1$  uniformly bounded  $\Rightarrow \mathbb{I}_{X_{m_i}} \rightarrow f$
- ▶  $f(x) \in [0, 1]$  a.e.
- ▶  $\langle -, 1 \rangle \in \mathcal{H}^*$ 
  - ▶  $\int f d\mu = \langle f, 1 \rangle = \lim \langle \mathbb{I}_{X_{m_i}}, 1 \rangle$

# Weak Limits

- ▶ **Pick**  $X_i \in \mathcal{L}(\mathbb{S})$  with  $\mu(X_i) \geq \alpha_2 - \frac{1}{i}$
- ▶ Limit of  $\mathbb{I}_{X_i}$  within  $\mathcal{H}$  ?
- ▶  $f_i \rightarrow f$  **weakly**:  $\forall L \in \mathcal{H}^* \quad Lf_i \rightarrow Lf$ 
  - ▶ **E.g.** orthonormal vectors  $\rightarrow 0$  (but not in norm)
- ▶  $\|\mathbb{I}_{X_i}\| \leq 1$  uniformly bounded  $\Rightarrow \mathbb{I}_{X_{m_i}} \rightarrow f$
- ▶  $f(x) \in [0, 1]$  a.e.
- ▶  $\langle -, 1 \rangle \in \mathcal{H}^*$ 
  - ▶  $\int f d\mu = \langle f, 1 \rangle = \lim \langle \mathbb{I}_{X_{m_i}}, 1 \rangle = \alpha_2$

“Rounding”  $f : \mathbb{S}^2 \rightarrow [0, 1]$

“Rounding”  $f : \mathbb{S}^2 \rightarrow [0, 1]$

- ▶  $X = \{x : \text{Lebesgue point for } f \text{ \& } f(x) > 0\}$

“Rounding”  $f : \mathbb{S}^2 \rightarrow [0, 1]$

- ▶  $X = \{x : \text{Lebesgue point for } f \text{ \& } f(x) > 0\}$
- ▶ **Lebesgue Density Theorem:**  $\mathbb{I}_X \geq f$  a.e.

## “Rounding” $f : \mathbb{S}^2 \rightarrow [0, 1]$

- ▶  $X = \{x : \text{Lebesgue point for } f \text{ \& } f(x) > 0\}$
- ▶ **Lebesgue Density Theorem:**  $\mathbb{I}_X \geq f$  a.e.
- ▶  $\mu(X) = \int \mathbb{I}_X \, d\mu$

## “Rounding” $f : \mathbb{S}^2 \rightarrow [0, 1]$

- ▶  $X = \{x : \text{Lebesgue point for } f \text{ \& } f(x) > 0\}$
- ▶ **Lebesgue Density Theorem:**  $\mathbb{I}_X \geq f$  a.e.
- ▶  $\mu(X) = \int \mathbb{I}_X \, d\mu \geq \int f \, d\mu$



## “Rounding” $f : \mathbb{S}^2 \rightarrow [0, 1]$

- ▶  $X = \{x : \text{Lebesgue point for } f \text{ \& } f(x) > 0\}$
- ▶ **Lebesgue Density Theorem:**  $\mathbb{I}_X \geq f$  a.e.
- ▶  $\mu(X) = \int \mathbb{I}_X \, d\mu \geq \int f \, d\mu = \alpha_2$

# “Rounding” $f : \mathbb{S}^2 \rightarrow [0, 1]$

- ▶  $X = \{x : \text{Lebesgue point for } f \text{ \& } f(x) > 0\}$
- ▶ **Lebesgue Density Theorem:**  $\mathbb{I}_X \geq f$  a.e.
- ▶  $\mu(X) = \int \mathbb{I}_X d\mu \geq \int f d\mu = \alpha_2$
- ▶  $X$  independent a.e.  $\Leftrightarrow \langle f, Af \rangle = 0$

Is  $\langle f, Af \rangle = 0$ ?

Is  $\langle f, Af \rangle = 0$ ?

►  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?

Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ No:

Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ **No:**  $A = \text{Id}$  and  $f_i$  orthonormal

Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ **No:**  $A = \text{Id}$  and  $f_i$  orthonormal
- ▶ **Yes** if  $\dim A(\mathcal{H}) < \infty$

Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ **No:**  $A = \text{Id}$  and  $f_i$  orthonormal
- ▶ **Yes** if  $\dim A(\mathcal{H}) < \infty$
- ▶ **Yes** if  $A$  is **compact** (takes weak conv to norm conv)



Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ **No**:  $A = \text{Id}$  and  $f_i$  orthonormal
- ▶ **Yes** if  $\dim A(\mathcal{H}) < \infty$
- ▶ **Yes** if  $A$  is **compact** (takes weak conv to norm conv)
- ▶ For (separable)  $\mathcal{H}$ :  $\Leftrightarrow$  approximable by finite-dim ops

Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ **No**:  $A = \text{Id}$  and  $f_i$  orthonormal
- ▶ **Yes** if  $\dim A(\mathcal{H}) < \infty$
- ▶ **Yes** if  $A$  is **compact** (takes weak conv to norm conv)
- ▶ For (separable)  $\mathcal{H}$ :  $\Leftrightarrow$  approximable by finite-dim ops
  - ▶ **Uniform Boundedness Principle**:  $\|f_i\| \leq C$

Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ **No**:  $A = \text{Id}$  and  $f_i$  orthonormal
- ▶ **Yes** if  $\dim A(\mathcal{H}) < \infty$
- ▶ **Yes** if  $A$  is **compact** (takes weak conv to norm conv)
- ▶ For (separable)  $\mathcal{H}$ :  $\Leftrightarrow$  approximable by finite-dim ops
  - ▶ **Uniform Boundedness Principle**:  $\|f_i\| \leq C$
  - ▶ Finite-dim  $B$  s.t.  $\|B - A\| < \varepsilon/C$

Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ **No**:  $A = \text{Id}$  and  $f_i$  orthonormal
- ▶ **Yes** if  $\dim A(\mathcal{H}) < \infty$
- ▶ **Yes** if  $A$  is **compact** (takes weak conv to norm conv)
- ▶ For (separable)  $\mathcal{H}$ :  $\Leftrightarrow$  approximable by finite-dim ops
  - ▶ **Uniform Boundedness Principle**:  $\|f_i\| \leq C$
  - ▶ Finite-dim  $B$  s.t.  $\|B - A\| < \varepsilon/C$
  - ▶  $\|Bf_i - Bf\| < \varepsilon$

Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ **No**:  $A = \text{Id}$  and  $f_i$  orthonormal
- ▶ **Yes** if  $\dim A(\mathcal{H}) < \infty$
- ▶ **Yes** if  $A$  is **compact** (takes weak conv to norm conv)
- ▶ For (separable)  $\mathcal{H}$ :  $\Leftrightarrow$  approximable by finite-dim ops
  - ▶ **Uniform Boundedness Principle**:  $\|f_i\| \leq C$
  - ▶ Finite-dim  $B$  s.t.  $\|B - A\| < \varepsilon/C$
  - ▶  $\|Bf_i - Bf\| < \varepsilon$
  - ▶  $\|Af_i - Af\|$

Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ **No**:  $A = \text{Id}$  and  $f_i$  orthonormal
- ▶ **Yes** if  $\dim A(\mathcal{H}) < \infty$
- ▶ **Yes** if  $A$  is **compact** (takes weak conv to norm conv)
- ▶ For (separable)  $\mathcal{H}$ :  $\Leftrightarrow$  approximable by finite-dim ops
  - ▶ **Uniform Boundedness Principle**:  $\|f_i\| \leq C$
  - ▶ Finite-dim  $B$  s.t.  $\|B - A\| < \varepsilon/C$
  - ▶  $\|Bf_i - Bf\| < \varepsilon$
  - ▶  $\|Af_i - Af\| \leq \|Af_i - Bf_i\| + \|Bf_i - Bf\| + \|Bf - Af\|$

Is  $\langle f, Af \rangle = 0$ ?

- ▶  $f_i \rightarrow f$  weakly  $\Rightarrow \langle f_i, Af_i \rangle \rightarrow \langle f, Af \rangle$  ?
- ▶ **No**:  $A = \text{Id}$  and  $f_i$  orthonormal
- ▶ **Yes** if  $\dim A(\mathcal{H}) < \infty$
- ▶ **Yes** if  $A$  is **compact** (takes weak conv to norm conv)
- ▶ For (separable)  $\mathcal{H}$ :  $\Leftrightarrow$  approximable by finite-dim ops
  - ▶ **Uniform Boundedness Principle**:  $\|f_i\| \leq C$
  - ▶ Finite-dim  $B$  s.t.  $\|B - A\| < \varepsilon/C$
  - ▶  $\|Bf_i - Bf\| < \varepsilon$
  - ▶  $\|Af_i - Af\| \leq \|Af_i - Bf_i\| + \|Bf_i - Bf\| + \|Bf - Af\| < 3\varepsilon$

# Spectral Criterion



# Spectral Criterion

- ▶ **Remains:** adjacency operator  $A$  is compact

# Spectral Criterion

- ▶ **Remains:** adjacency operator  $A$  is compact
- ▶  $A$  is **self-adjoint**

# Spectral Criterion

- ▶ **Remains:** adjacency operator  $A$  is compact
- ▶  $A$  is **self-adjoint**  $\Rightarrow$  real spectrum

# Spectral Criterion

- ▶ **Remains:** adjacency operator  $A$  is compact
- ▶  $A$  is **self-adjoint**  $\Rightarrow$  real spectrum
- ▶ Discrete spectrum with  $\lambda_i \rightarrow 0 \Rightarrow$  compact

# Spectral Criterion

- ▶ **Remains:** adjacency operator  $A$  is compact
- ▶  $A$  is **self-adjoint**  $\Rightarrow$  real spectrum
- ▶ Discrete spectrum with  $\lambda_i \rightarrow 0 \Rightarrow$  compact
  - ▶ Eigenfunctions  $f_i$

# Spectral Criterion

- ▶ **Remains:** adjacency operator  $A$  is compact
- ▶  $A$  is **self-adjoint**  $\Rightarrow$  real spectrum
- ▶ Discrete spectrum with  $\lambda_i \rightarrow 0 \Rightarrow$  compact
  - ▶ Eigenfunctions  $f_i$
  - ▶  $B = \sum_{i: |\lambda_i| \geq \varepsilon} \lambda_i f_i f_i^*$

# Spectral Criterion

- ▶ **Remains:** adjacency operator  $A$  is compact
- ▶  $A$  is **self-adjoint**  $\Rightarrow$  real spectrum
- ▶ Discrete spectrum with  $\lambda_i \rightarrow 0 \Rightarrow$  compact
  - ▶ Eigenfunctions  $f_i$
  - ▶  $B = \sum_{i: |\lambda_i| \geq \varepsilon} \lambda_i f_i f_i^*$
  - ▶  $B = (\text{projection on span of } \{f_i : |\lambda_i| \geq \varepsilon\}) \circ A$

# Spectral Criterion

- ▶ **Remains:** adjacency operator  $A$  is compact
- ▶  $A$  is **self-adjoint**  $\Rightarrow$  real spectrum
- ▶ Discrete spectrum with  $\lambda_i \rightarrow 0 \Rightarrow$  compact
  - ▶ Eigenfunctions  $f_i$
  - ▶  $B = \sum_{i: |\lambda_i| \geq \varepsilon} \lambda_i f_i f_i^*$
  - ▶  $B = (\text{projection on span of } \{f_i : |\lambda_i| \geq \varepsilon\}) \circ A$
  - ▶  $\|B - A\| \leq \varepsilon$



# Spherical Harmonics on $S^n$

# Spherical Harmonics on $\mathbb{S}^n$

- ▶ **Note:**  $A$  is rotation-invariant

# Spherical Harmonics on $\mathbb{S}^n$

- ▶ **Note:**  $A$  is rotation-invariant
- ▶ Fourier basis  $\Rightarrow$  eigenfunctions

# Spherical Harmonics on $\mathbb{S}^n$

- ▶ **Note:**  $A$  is rotation-invariant
- ▶ Fourier basis  $\Rightarrow$  eigenfunctions
- ▶  $\mathcal{H} = \bigoplus_{i=0}^{\infty} \mathcal{H}_i$

# Spherical Harmonics on $\mathbb{S}^n$

- ▶ **Note:**  $A$  is rotation-invariant
- ▶ Fourier basis  $\Rightarrow$  eigenfunctions
- ▶  $\mathcal{H} = \bigoplus_{i=0}^{\infty} \mathcal{H}_i$
- ▶  $\mathcal{H}_i = \text{Span}\{f \in \mathbb{R}[x_1, \dots, x_{n+1}] : \text{hom of deg } i, \Delta p = 0\}$

# Spherical Harmonics on $\mathbb{S}^n$

- ▶ **Note:**  $A$  is rotation-invariant
- ▶ Fourier basis  $\Rightarrow$  eigenfunctions
- ▶  $\mathcal{H} = \bigoplus_{i=0}^{\infty} \mathcal{H}_i$
- ▶  $\mathcal{H}_i = \text{Span}\{f \in \mathbb{R}[x_1, \dots, x_{n+1}] : \text{hom of deg } i, \Delta p = 0\}$
- ▶  $\Delta = \left(\frac{\partial}{\partial_1}\right)^2 + \dots + \left(\frac{\partial}{\partial_{n+1}}\right)^2$  (**Laplacian**)

# Spherical Harmonics on $\mathbb{S}^n$

- ▶ **Note:**  $A$  is rotation-invariant
- ▶ Fourier basis  $\Rightarrow$  eigenfunctions
- ▶  $\mathcal{H} = \bigoplus_{i=0}^{\infty} \mathcal{H}_i$
- ▶  $\mathcal{H}_i = \text{Span}\{f \in \mathbb{R}[x_1, \dots, x_{n+1}] : \text{hom of deg } i, \Delta p = 0\}$
- ▶  $\Delta = \left(\frac{\partial}{\partial_1}\right)^2 + \dots + \left(\frac{\partial}{\partial_{n+1}}\right)^2$  (**Laplacian**)
- ▶  $n = 1$ :

# Spherical Harmonics on $\mathbb{S}^n$

- ▶ **Note:**  $A$  is rotation-invariant
- ▶ Fourier basis  $\Rightarrow$  eigenfunctions
- ▶  $\mathcal{H} = \bigoplus_{i=0}^{\infty} \mathcal{H}_i$
- ▶  $\mathcal{H}_i = \text{Span}\{f \in \mathbb{R}[x_1, \dots, x_{n+1}] : \text{hom of deg } i, \Delta p = 0\}$
- ▶  $\Delta = \left(\frac{\partial}{\partial_1}\right)^2 + \dots + \left(\frac{\partial}{\partial_{n+1}}\right)^2$  (**Laplacian**)
- ▶  $n = 1$ :
  - ▶  $\mathcal{H}_i = \text{Span}(\sin(i\theta), \cos(i\theta))$



# Spherical Harmonics on $\mathbb{S}^n$

- ▶ **Note:**  $\Delta$  is rotation-invariant
- ▶ Fourier basis  $\Rightarrow$  eigenfunctions
- ▶  $\mathcal{H} = \bigoplus_{i=0}^{\infty} \mathcal{H}_i$
- ▶  $\mathcal{H}_i = \text{Span}\{f \in \mathbb{R}[x_1, \dots, x_{n+1}] : \text{hom of deg } i, \Delta p = 0\}$
- ▶  $\Delta = \left(\frac{\partial}{\partial_1}\right)^2 + \dots + \left(\frac{\partial}{\partial_{n+1}}\right)^2$  (**Laplacian**)
- ▶  $n = 1$ :
  - ▶  $\mathcal{H}_i = \text{Span}(\sin(i\theta), \cos(i\theta))$
  - ▶  $(x_1, x_2) = (\cos \theta, \sin \theta)$

# Spherical Harmonics on $\mathbb{S}^n$

- ▶ **Note:**  $\Delta$  is rotation-invariant
- ▶ Fourier basis  $\Rightarrow$  eigenfunctions
- ▶  $\mathcal{H} = \bigoplus_{i=0}^{\infty} \mathcal{H}_i$
- ▶  $\mathcal{H}_i = \text{Span}\{f \in \mathbb{R}[x_1, \dots, x_{n+1}] : \text{hom of deg } i, \Delta p = 0\}$
- ▶  $\Delta = \left(\frac{\partial}{\partial_1}\right)^2 + \dots + \left(\frac{\partial}{\partial_{n+1}}\right)^2$  (**Laplacian**)
- ▶  $n = 1$ :
  - ▶  $\mathcal{H}_i = \text{Span}(\sin(i\theta), \cos(i\theta))$
  - ▶  $(x_1, x_2) = (\cos \theta, \sin \theta)$
  - ▶ **Chebyshev polynomial**  $T_i(\cos \theta) = \cos(i\theta)$

# Spherical Harmonics on $\mathbb{S}^n$

- ▶ **Note:**  $\Delta$  is rotation-invariant
- ▶ Fourier basis  $\Rightarrow$  eigenfunctions
- ▶  $\mathcal{H} = \bigoplus_{i=0}^{\infty} \mathcal{H}_i$
- ▶  $\mathcal{H}_i = \text{Span}\{f \in \mathbb{R}[x_1, \dots, x_{n+1}] : \text{hom of deg } i, \Delta p = 0\}$
- ▶  $\Delta = \left(\frac{\partial}{\partial_1}\right)^2 + \dots + \left(\frac{\partial}{\partial_{n+1}}\right)^2$  (**Laplacian**)
- ▶  $n = 1$ :
  - ▶  $\mathcal{H}_i = \text{Span}(\sin(i\theta), \cos(i\theta))$
  - ▶  $(x_1, x_2) = (\cos \theta, \sin \theta)$
  - ▶ **Chebyshev polynomial**  $T_i(\cos \theta) = \cos(i\theta)$ ,  
homogenised modulo  $x_1^2 + x_2^2 = 1$

# Orthogonality of Harmonics

# Orthogonality of Harmonics

- ▶  $f_i \in \mathcal{H}_i$  and  $f_j \in \mathcal{H}_j$  with  $i \neq j$

# Orthogonality of Harmonics

- ▶  $f_i \in \mathcal{H}_i$  and  $f_j \in \mathcal{H}_j$  with  $i \neq j$
- ▶ **Aim:**  $\langle f_i, f_j \rangle = 0$

# Orthogonality of Harmonics

- ▶  $f_i \in \mathcal{H}_i$  and  $f_j \in \mathcal{H}_j$  with  $i \neq j$
- ▶ **Aim:**  $\langle f_i, f_j \rangle = 0$
- ▶  $f_i(x) = r^i f_i(y)$ ,  $y = x/\|x\| \in \mathbb{S}^n$

# Orthogonality of Harmonics

- ▶  $f_i \in \mathcal{H}_i$  and  $f_j \in \mathcal{H}_j$  with  $i \neq j$
- ▶ **Aim:**  $\langle f_i, f_j \rangle = 0$
- ▶  $f_i(x) = r^i f_i(y)$ ,  $y = x/\|x\| \in \mathbb{S}^n$
- ▶  $\frac{\partial}{\partial r}$ : normal derivative



# Orthogonality of Harmonics

- ▶  $f_i \in \mathcal{H}_i$  and  $f_j \in \mathcal{H}_j$  with  $i \neq j$
- ▶ **Aim:**  $\langle f_i, f_j \rangle = 0$
- ▶  $f_i(x) = r^i f_i(y)$ ,  $y = x/\|x\| \in \mathbb{S}^n$
- ▶  $\frac{\partial}{\partial r}$ : normal derivative
- ▶  $\frac{\partial f_i}{\partial r}(y) = i f_i(y)$

# Orthogonality of Harmonics

- ▶  $f_i \in \mathcal{H}_i$  and  $f_j \in \mathcal{H}_j$  with  $i \neq j$
- ▶ **Aim:**  $\langle f_i, f_j \rangle = 0$
- ▶  $f_i(x) = r^i f_i(y)$ ,  $y = x/\|x\| \in \mathbb{S}^n$
- ▶  $\frac{\partial}{\partial r}$ : normal derivative
- ▶  $\frac{\partial f_i}{\partial r}(y) = i f_i(y)$
- ▶ **Green's identity:**

# Orthogonality of Harmonics

- ▶  $f_i \in \mathcal{H}_i$  and  $f_j \in \mathcal{H}_j$  with  $i \neq j$
- ▶ **Aim:**  $\langle f_i, f_j \rangle = 0$
- ▶  $f_i(x) = r^i f_i(y)$ ,  $y = x/\|x\| \in \mathbb{S}^n$
- ▶  $\frac{\partial}{\partial r}$ : normal derivative
- ▶  $\frac{\partial f_i}{\partial r}(y) = i f_i(y)$
- ▶ **Green's identity:**

$$\int_{\mathbb{B}^{n+1}} (f_i \Delta f_j - f_j \Delta f_i) dx = \int \left( f_i \frac{\partial f_j}{\partial r} - f_j \frac{\partial f_i}{\partial r} \right) d\mu$$

# Orthogonality of Harmonics

- ▶  $f_i \in \mathcal{H}_i$  and  $f_j \in \mathcal{H}_j$  with  $i \neq j$
- ▶ **Aim:**  $\langle f_i, f_j \rangle = 0$
- ▶  $f_i(x) = r^i f_i(y)$ ,  $y = x/\|x\| \in \mathbb{S}^n$
- ▶  $\frac{\partial}{\partial r}$ : normal derivative
- ▶  $\frac{\partial f_i}{\partial r}(y) = i f_i(y)$
- ▶ **Green's identity:**

$$\begin{aligned} \int_{\mathbb{B}^{n+1}} (f_i \Delta f_j - f_j \Delta f_i) \, dx &= \int \left( f_i \frac{\partial f_j}{\partial r} - f_j \frac{\partial f_i}{\partial r} \right) \, d\mu \\ &= (j - i) \int f_i f_j \, d\mu \end{aligned}$$

# Orthogonality of Harmonics

- ▶  $f_i \in \mathcal{H}_i$  and  $f_j \in \mathcal{H}_j$  with  $i \neq j$
- ▶ **Aim:**  $\langle f_i, f_j \rangle = 0$
- ▶  $f_i(x) = r^i f_i(y)$ ,  $y = x/\|x\| \in \mathbb{S}^n$
- ▶  $\frac{\partial}{\partial r}$ : normal derivative
- ▶  $\frac{\partial f_i}{\partial r}(y) = i f_i(y)$
- ▶ **Green's identity:**

$$\begin{aligned} \int_{\mathbb{B}^{n+1}} (f_i \Delta f_j - f_j \Delta f_i) \, dx &= \int \left( f_i \frac{\partial f_j}{\partial r} - f_j \frac{\partial f_i}{\partial r} \right) \, d\mu \\ &= (j - i) \int f_i f_j \, d\mu = (j - i) \langle f_i, f_j \rangle \end{aligned}$$

# Eigenvalues of Adjacency Operator

# Eigenvalues of Adjacency Operator

- ▶ Spherical harmonics are eigenfunctions

# Eigenvalues of Adjacency Operator

- ▶ Spherical harmonics are eigenfunctions
- ▶ Gegenbauer polynomial  $C_i = C_i^{(1/2)} \in \mathbb{R}[x_1]$ :



# Eigenvalues of Adjacency Operator

- ▶ Spherical harmonics are eigenfunctions
- ▶ Gegenbauer polynomial  $C_i = C_i^{(1/2)} \in \mathbb{R}[x_1]$ :
  - ▶ Apply Gram-Schmidt to  $0, t, t^2, \dots \in L^2([-1, 1])$

# Eigenvalues of Adjacency Operator

- ▶ Spherical harmonics are eigenfunctions
- ▶ Gegenbauer polynomial  $C_i = C_i^{(1/2)} \in \mathbb{R}[x_1]$ :
  - ▶ Apply Gram-Schmidt to  $0, t, t^2, \dots \in L^2([-1, 1])$
  - ▶ Special case of Jakobi polynomials:  $P_i^{(0,0)}$

# Eigenvalues of Adjacency Operator

- ▶ Spherical harmonics are eigenfunctions
- ▶ Gegenbauer polynomial  $C_i = C_i^{(1/2)} \in \mathbb{R}[x_1]$ :
  - ▶ Apply Gram-Schmidt to  $0, t, t^2, \dots \in L^2([-1, 1])$
  - ▶ Special case of Jakobi polynomials:  $P_i^{(0,0)}$
- ▶  $z_i(x) := C_i(x \cdot x_0)$  is in  $\mathcal{H}_i$

# Eigenvalues of Adjacency Operator

- ▶ Spherical harmonics are eigenfunctions
- ▶ Gegenbauer polynomial  $C_i = C_i^{(1/2)} \in \mathbb{R}[x_1]$ :
  - ▶ Apply Gram-Schmidt to  $0, t, t^2, \dots \in L^2([-1, 1])$
  - ▶ Special case of Jakobi polynomials:  $P_i^{(0,0)}$
- ▶  $z_i(x) := C_i(x \cdot x_0)$  is in  $\mathcal{H}_i$
- ▶  $\lambda_i = \langle z_i, A z_i \rangle / \|z_i\|^2$  with multiplicity  $\dim \mathcal{H}_i$

# Eigenvalues of Adjacency Operator

- ▶ Spherical harmonics are eigenfunctions
- ▶ Gegenbauer polynomial  $C_i = C_i^{(1/2)} \in \mathbb{R}[x_1]$ :
  - ▶ Apply Gram-Schmidt to  $0, t, t^2, \dots \in L^2([-1, 1])$
  - ▶ Special case of Jakobi polynomials:  $P_i^{(0,0)}$
- ▶  $z_i(x) := C_i(x \cdot x_0)$  is in  $\mathcal{H}_i$
- ▶  $\lambda_i = \langle z_i, A z_i \rangle / \|z_i\|^2$  with multiplicity  $\dim \mathcal{H}_i$
- ▶ Calculations:  $\lambda_i = C_i(0)$  with multiplicity  $2i + 1$

# Eigenvalues of Adjacency Operator

- ▶ Spherical harmonics are eigenfunctions
- ▶ Gegenbauer polynomial  $C_i = C_i^{(1/2)} \in \mathbb{R}[x_1]$ :
  - ▶ Apply Gram-Schmidt to  $0, t, t^2, \dots \in L^2([-1, 1])$
  - ▶ Special case of Jakobi polynomials:  $P_i^{(0,0)}$
- ▶  $z_i(x) := C_i(x \cdot x_0)$  is in  $\mathcal{H}_i$
- ▶  $\lambda_i = \langle z_i, A z_i \rangle / \|z_i\|^2$  with multiplicity  $\dim \mathcal{H}_i$
- ▶ Calculations:  $\lambda_i = C_i(0)$  with multiplicity  $2i + 1$
- ▶ Darboux 1878:  $\forall$  fixed  $x \in (-1, 1)$   $C_i(x) \rightarrow 0$

# Eigenvalues of Adjacency Operator

- ▶ Spherical harmonics are eigenfunctions
- ▶ Gegenbauer polynomial  $C_i = C_i^{(1/2)} \in \mathbb{R}[x_1]$ :
  - ▶ Apply Gram-Schmidt to  $0, t, t^2, \dots \in L^2([-1, 1])$
  - ▶ Special case of Jakobi polynomials:  $P_i^{(0,0)}$
- ▶  $z_i(x) := C_i(x \cdot x_0)$  is in  $\mathcal{H}_i$
- ▶  $\lambda_i = \langle z_i, A z_i \rangle / \|z_i\|^2$  with multiplicity  $\dim \mathcal{H}_i$
- ▶ Calculations:  $\lambda_i = C_i(0)$  with multiplicity  $2i + 1$
- ▶ Darboux 1878:  $\forall$  fixed  $x \in (-1, 1)$   $C_i(x) \rightarrow 0$
- ▶  $\lambda_i \rightarrow 0$

# Eigenvalues of Adjacency Operator

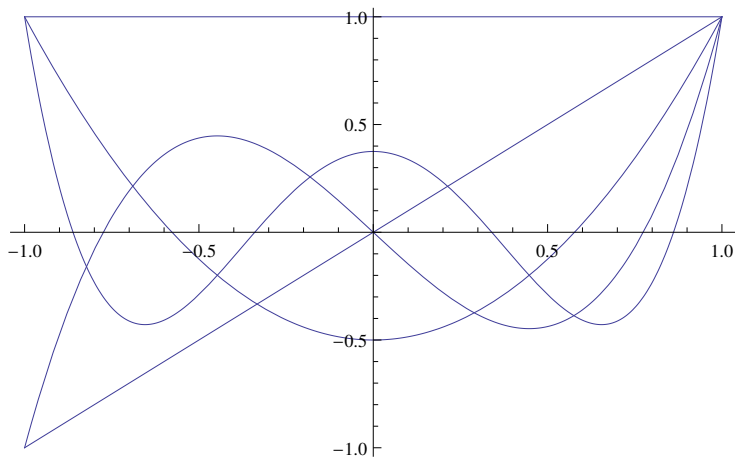
- ▶ Spherical harmonics are eigenfunctions
- ▶ Gegenbauer polynomial  $C_i = C_i^{(1/2)} \in \mathbb{R}[x_1]$ :
  - ▶ Apply Gram-Schmidt to  $0, t, t^2, \dots \in L^2([-1, 1])$
  - ▶ Special case of Jakobi polynomials:  $P_i^{(0,0)}$
- ▶  $z_i(x) := C_i(x \cdot x_0)$  is in  $\mathcal{H}_i$
- ▶  $\lambda_i = \langle z_i, A z_i \rangle / \|z_i\|^2$  with multiplicity  $\dim \mathcal{H}_i$
- ▶ Calculations:  $\lambda_i = C_i(0)$  with multiplicity  $2i + 1$
- ▶ Darboux 1878:  $\forall$  fixed  $x \in (-1, 1)$   $C_i(x) \rightarrow 0$
- ▶  $\lambda_i \rightarrow 0 \Rightarrow A$  compact



# Eigenvalues of Adjacency Operator

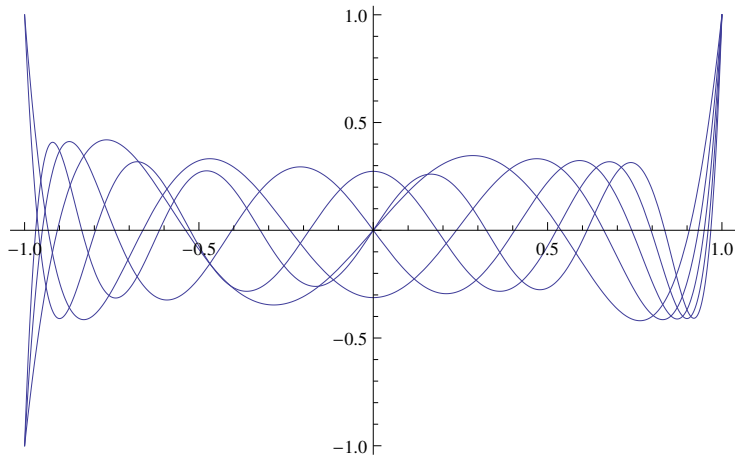
- ▶ Spherical harmonics are eigenfunctions
- ▶ Gegenbauer polynomial  $C_i = C_i^{(1/2)} \in \mathbb{R}[x_1]$ :
  - ▶ Apply Gram-Schmidt to  $0, t, t^2, \dots \in L^2([-1, 1])$
  - ▶ Special case of Jakobi polynomials:  $P_i^{(0,0)}$
- ▶  $z_i(x) := C_i(x \cdot x_0)$  is in  $\mathcal{H}_i$
- ▶  $\lambda_i = \langle z_i, A z_i \rangle / \|z_i\|^2$  with multiplicity  $\dim \mathcal{H}_i$
- ▶ Calculations:  $\lambda_i = C_i(0)$  with multiplicity  $2i + 1$
- ▶ Darboux 1878:  $\forall$  fixed  $x \in (-1, 1)$   $C_i(x) \rightarrow 0$
- ▶  $\lambda_i \rightarrow 0 \Rightarrow A$  compact  $\Rightarrow \exists$  max independent  $X$

# Gegenbauer Polynomials ( $n = 2$ )



First five

# Gegenbauer Polynomials ( $n = 2$ )



Next five

Attainment  $\Rightarrow \alpha_2 < 1/3$

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu$



Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu = \langle A\mathbb{I}_X, 1 \rangle$

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu = \langle A\mathbb{I}_X, 1 \rangle = \langle \mathbb{I}_X, A1 \rangle$

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu = \langle A\mathbb{I}_X, 1 \rangle = \langle \mathbb{I}_X, A1 \rangle = \langle \mathbb{I}_X, 1 \rangle$

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu = \langle A\mathbb{I}_X, 1 \rangle = \langle \mathbb{I}_X, A1 \rangle = \langle \mathbb{I}_X, 1 \rangle = \frac{1}{3}$

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu = \langle A\mathbb{I}_X, 1 \rangle = \langle \mathbb{I}_X, A1 \rangle = \langle \mathbb{I}_X, 1 \rangle = \frac{1}{3}$
- ▶  $\Rightarrow A\mathbb{I}_X \equiv \frac{1}{2}$  on  $\mathbb{S}^2 \setminus X$

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu = \langle A\mathbb{I}_X, 1 \rangle = \langle \mathbb{I}_X, A1 \rangle = \langle \mathbb{I}_X, 1 \rangle = \frac{1}{3}$
- ▶  $\Rightarrow A\mathbb{I}_X \equiv \frac{1}{2}$  on  $\mathbb{S}^2 \setminus X$
- ▶  $Af = -\frac{1}{2}f$  for  $f := \mathbb{I}_X - \frac{1}{3}$

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu = \langle A\mathbb{I}_X, 1 \rangle = \langle \mathbb{I}_X, A1 \rangle = \langle \mathbb{I}_X, 1 \rangle = \frac{1}{3}$
- ▶  $\Rightarrow A\mathbb{I}_X \equiv \frac{1}{2}$  on  $\mathbb{S}^2 \setminus X$
- ▶  $Af = -\frac{1}{2}f$  for  $f := \mathbb{I}_X - \frac{1}{3}$
- ▶ Eigenspace of  $-\frac{1}{2}$  is  $\mathcal{H}_2$

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu = \langle A\mathbb{I}_X, 1 \rangle = \langle \mathbb{I}_X, A1 \rangle = \langle \mathbb{I}_X, 1 \rangle = \frac{1}{3}$
- ▶  $\Rightarrow A\mathbb{I}_X \equiv \frac{1}{2}$  on  $\mathbb{S}^2 \setminus X$
- ▶  $Af = -\frac{1}{2}f$  for  $f := \mathbb{I}_X - \frac{1}{3}$
- ▶ Eigenspace of  $-\frac{1}{2}$  is  $\mathcal{H}_2 \subset \{\text{degree-2 polynomials}\}$



Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu = \langle A\mathbb{I}_X, 1 \rangle = \langle \mathbb{I}_X, A1 \rangle = \langle \mathbb{I}_X, 1 \rangle = \frac{1}{3}$
- ▶  $\Rightarrow A\mathbb{I}_X \equiv \frac{1}{2}$  on  $\mathbb{S}^2 \setminus X$
- ▶  $Af = -\frac{1}{2}f$  for  $f := \mathbb{I}_X - \frac{1}{3}$
- ▶ Eigenspace of  $-\frac{1}{2}$  is  $\mathcal{H}_2 \subset \{\text{degree-2 polynomials}\}$
- ▶  $f$  is  $\{\frac{2}{3}, -\frac{1}{3}\}$ -valued

Attainment  $\Rightarrow \alpha_2 < 1/3$

- ▶ Independent  $X \subset \mathbb{S}^2$  of measure  $1/3$
- ▶  $A\mathbb{I}_X \equiv 0$  on  $X$
- ▶  $A\mathbb{I}_X \leq 1/2$  a.e.
- ▶  $\int A\mathbb{I}_X d\mu = \langle A\mathbb{I}_X, 1 \rangle = \langle \mathbb{I}_X, A1 \rangle = \langle \mathbb{I}_X, 1 \rangle = \frac{1}{3}$
- ▶  $\Rightarrow A\mathbb{I}_X \equiv \frac{1}{2}$  on  $\mathbb{S}^2 \setminus X$
- ▶  $Af = -\frac{1}{2}f$  for  $f := \mathbb{I}_X - \frac{1}{3}$
- ▶ Eigenspace of  $-\frac{1}{2}$  is  $\mathcal{H}_2 \subset \{\text{degree-2 polynomials}\}$
- ▶  $f$  is  $\{\frac{2}{3}, -\frac{1}{3}\}$ -valued  $\Rightarrow \Leftarrow$

$$\alpha_2 < 0.313$$

$$\alpha_2 < 0.313$$

- ▶ **Idea 1:** Use Lovász  $\theta$ -function

$$\alpha_2 < 0.313$$

- ▶ Idea 1: Use Lovász  $\theta$ -function
  - ▶ Bachoc-Nebe-Oliveira Filho-Vallentin'09

$$\alpha_2 < 0.313$$

- ▶ **Idea 1:** Use Lovász  $\theta$ -function
  - ▶ Bachoc-Nebe-Oliveira Filho-Vallentin'09
- ▶ **Idea 2:** Add extra combinatorial constraints

$$\alpha_2 < 0.313$$

- ▶ **Idea 1:** Use Lovász  $\theta$ -function
  - ▶ Bachoc-Nebe-Oliveira Filho-Vallentin'09
- ▶ **Idea 2:** Add extra combinatorial constraints
  - ▶ Oliveira Filho-Vallentin'10

# Lovász $\theta$ -Function for Finite $G = (V, E)$



# Lovász $\theta$ -Function for Finite $G = (V, E)$

- ▶ Lovász'79: Shannon capacity of pentagon

# Lovász $\theta$ -Function for Finite $G = (V, E)$

- ▶ **Lovász'79:** Shannon capacity of pentagon
- ▶  **$\theta$ -function:**  $\theta(G) := \max \sum_{u,v \in V} Y(u, v)$  st

# Lovász $\theta$ -Function for Finite $G = (V, E)$

- ▶ **Lovász'79:** Shannon capacity of pentagon
- ▶  **$\theta$ -function:**  $\theta(G) := \max \sum_{u,v \in V} Y(u, v)$  st

$$\sum_{u \in V} Y(u, u) = 1$$

# Lovász $\theta$ -Function for Finite $G = (V, E)$

- ▶ **Lovász'79:** Shannon capacity of pentagon
- ▶  **$\theta$ -function:**  $\theta(G) := \max \sum_{u,v \in V} Y(u, v)$  st

$$\begin{aligned} \sum_{u \in V} Y(u, u) &= 1 \\ \forall uv \in E \quad Y(u, v) &= 0 \end{aligned}$$

# Lovász $\theta$ -Function for Finite $G = (V, E)$

- ▶ **Lovász'79:** Shannon capacity of pentagon
- ▶  **$\theta$ -function:**  $\theta(G) := \max \sum_{u,v \in V} Y(u, v)$  st

$$\begin{aligned} \sum_{u \in V} Y(u, u) &= 1 \\ \forall uv \in E \quad Y(u, v) &= 0 \\ Y &\succeq 0 \end{aligned}$$

# Lovász $\theta$ -Function for Finite $G = (V, E)$

- ▶ **Lovász'79:** Shannon capacity of pentagon
- ▶  **$\theta$ -function:**  $\theta(G) := \max \sum_{u,v \in V} Y(u, v)$  st

$$\begin{aligned}\sum_{u \in V} Y(u, u) &= 1 \\ \forall uv \in E \quad Y(u, v) &= 0 \\ Y &\succeq 0\end{aligned}$$

- ▶  $\alpha(G) \leq \theta(G)$ :

# Lovász $\theta$ -Function for Finite $G = (V, E)$

- ▶ **Lovász'79:** Shannon capacity of pentagon
- ▶  **$\theta$ -function:**  $\theta(G) := \max \sum_{u,v \in V} Y(u, v)$  st

$$\begin{aligned}\sum_{u \in V} Y(u, u) &= 1 \\ \forall uv \in E \quad Y(u, v) &= 0 \\ Y &\succeq 0\end{aligned}$$

- ▶  **$\alpha(G) \leq \theta(G)$ :**
  - ▶ Independent  $X \subset V$

# Lovász $\theta$ -Function for Finite $G = (V, E)$

- ▶ **Lovász'79:** Shannon capacity of pentagon
- ▶  **$\theta$ -function:**  $\theta(G) := \max \sum_{u,v \in V} Y(u, v)$  st

$$\begin{aligned}\sum_{u \in V} Y(u, u) &= 1 \\ \forall uv \in E \quad Y(u, v) &= 0 \\ Y &\succeq 0\end{aligned}$$

- ▶  **$\alpha(G) \leq \theta(G)$ :**
  - ▶ Independent  $X \subset V$
  - ▶  $Y(u, v) = \mathbb{I}_X(u) \mathbb{I}_X(v)$



# Lovász $\theta$ -Function for Finite $G = (V, E)$

- ▶ **Lovász'79:** Shannon capacity of pentagon
- ▶  **$\theta$ -function:**  $\theta(G) := \max \sum_{u,v \in V} Y(u, v)$  st

$$\begin{aligned}\sum_{u \in V} Y(u, u) &= 1 \\ \forall uv \in E \quad Y(u, v) &= 0 \\ Y &\succeq 0\end{aligned}$$

- ▶  **$\alpha(G) \leq \theta(G)$ :**
  - ▶ Independent  $X \subset V$
  - ▶  $Y(u, v) = \mathbb{I}_X(u) \mathbb{I}_X(v) / |X|$

# Exploiting Symmetries of $G$

# Exploiting Symmetries of $G$

- ▶  $\gamma \in \text{Aut}(G)$

# Exploiting Symmetries of $G$

- ▶  $\gamma \in \text{Aut}(G)$
- ▶  $Y^\gamma(u, v) := Y(\gamma^{-1}(u), \gamma^{-1}(v))$

# Exploiting Symmetries of $G$

- ▶  $\gamma \in \text{Aut}(G)$
- ▶  $Y^\gamma(u, v) := Y(\gamma^{-1}(u), \gamma^{-1}(v))$
- ▶  $Y$  feasible/optimal  $\Rightarrow \mathbf{E}Y := |\text{Aut}(G)|^{-1} \sum_{\gamma} Y^\gamma$  is

# Exploiting Symmetries of $G$

- ▶  $\gamma \in \text{Aut}(G)$
- ▶  $Y^\gamma(u, v) := Y(\gamma^{-1}(u), \gamma^{-1}(v))$
- ▶  $Y$  feasible/optimal  $\Rightarrow \mathbf{E}Y := |\text{Aut}(G)|^{-1} \sum_{\gamma} Y^\gamma$  is
- ▶  $(\mathbf{E}Y)^\tau$

# Exploiting Symmetries of $G$

- ▶  $\gamma \in \text{Aut}(G)$
- ▶  $Y^\gamma(u, v) := Y(\gamma^{-1}(u), \gamma^{-1}(v))$
- ▶  $Y$  feasible/optimal  $\Rightarrow \mathbf{E}Y := |\text{Aut}(G)|^{-1} \sum_{\gamma} Y^\gamma$  is
- ▶  $(\mathbf{E}Y)^\tau = |\text{Aut}(G)|^{-1} \sum_{\gamma} Y^{\tau\gamma}$

# Exploiting Symmetries of $G$

- ▶  $\gamma \in \text{Aut}(G)$
- ▶  $Y^\gamma(u, v) := Y(\gamma^{-1}(u), \gamma^{-1}(v))$
- ▶  $Y$  feasible/optimal  $\Rightarrow \mathbf{E}Y := |\text{Aut}(G)|^{-1} \sum_{\gamma} Y^\gamma$  is
- ▶  $(\mathbf{E}Y)^\tau = |\text{Aut}(G)|^{-1} \sum_{\gamma} Y^{\tau\gamma} = \mathbf{E}Y$



# Exploiting Symmetries of $G$

- ▶  $\gamma \in \text{Aut}(G)$
- ▶  $Y^\gamma(u, v) := Y(\gamma^{-1}(u), \gamma^{-1}(v))$
- ▶  $Y$  feasible/optimal  $\Rightarrow \mathbf{E}Y := |\text{Aut}(G)|^{-1} \sum_{\gamma} Y^\gamma$  is
- ▶  $(\mathbf{E}Y)^\tau = |\text{Aut}(G)|^{-1} \sum_{\gamma} Y^{\tau\gamma} = \mathbf{E}Y$
- ▶ **Moral:** enough to look at  $\text{Aut}(G)$ -invariant  $Y$

$\theta$ -Function for  $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

$\theta$ -Function for  $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- ▶  $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) \, \mathrm{d}\mu(u) \, \mathrm{d}\mu(v)$  st

## $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) \, \mathrm{d}\mu(u) \, \mathrm{d}\mu(v)$  st

$$\int Y(u, u) \, \mathrm{d}\mu(u) = 1$$

## $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) \, \mathrm{d}\mu(u) \, \mathrm{d}\mu(v)$  st

$$\begin{aligned} \int Y(u, u) \, \mathrm{d}\mu(u) &= 1 \\ \forall u \cdot v = 0 \quad Y(u, v) &= 0 \end{aligned}$$

## $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

►  $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) \, \mathrm{d}\mu(u) \, \mathrm{d}\mu(v)$  st

$$\int Y(u, u) \, \mathrm{d}\mu(u) = 1$$

$$\forall u \cdot v = 0 \quad Y(u, v) = 0$$

$$\text{continuous } Y \succeq 0$$

## $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) \, \mathrm{d}\mu(u) \, \mathrm{d}\mu(v)$  st

$$\begin{aligned}\int Y(u, u) \, \mathrm{d}\mu(u) &= 1 \\ \forall u \cdot v = 0 \quad Y(u, v) &= 0 \\ \text{continuous } Y &\succeq 0\end{aligned}$$

- $\alpha(\mathcal{G}) \leq \theta(\mathcal{G})$ :

## $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- ▶  $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) \, \mathrm{d}\mu(u) \, \mathrm{d}\mu(v)$  st

$$\int Y(u, u) \, \mathrm{d}\mu(u) = 1$$

$$\forall u \cdot v = 0 \quad Y(u, v) = 0$$

$$\text{continuous } Y \succeq 0$$

- ▶  $\alpha(\mathcal{G}) \leq \theta(\mathcal{G})$ :
  - ▶ Independent  $X \subset \mathbb{S}^2$



# $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- ▶  $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) d\mu(u) d\mu(v)$  st

$$\begin{aligned}\int Y(u, u) d\mu(u) &= 1 \\ \forall u \cdot v = 0 \quad Y(u, v) &= 0 \\ \text{continuous } Y &\succeq 0\end{aligned}$$

- ▶  $\alpha(\mathcal{G}) \leq \theta(\mathcal{G})$ :
  - ▶ Independent  $X \subset \mathbb{S}^2$
  - ▶ **Regularity** of  $\mu$ :  $\exists$  closed  $C \subset X$  with  $\mu(X \setminus C) < \varepsilon$

## $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- ▶  $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) d\mu(u) d\mu(v)$  st

$$\begin{aligned}\int Y(u, u) d\mu(u) &= 1 \\ \forall u \cdot v = 0 \quad Y(u, v) &= 0 \\ \text{continuous } Y &\succeq 0\end{aligned}$$

- ▶  $\alpha(\mathcal{G}) \leq \theta(\mathcal{G})$ :
  - ▶ Independent  $X \subset \mathbb{S}^2$
  - ▶ **Regularity** of  $\mu$ :  $\exists$  closed  $C \subset X$  with  $\mu(X \setminus C) < \varepsilon$
  - ▶ **Compactness**:  $\exists t > 0$  st  $C$  is  $(-t, t)$ -independent

## $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- ▶  $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) d\mu(u) d\mu(v)$  st

$$\begin{aligned}\int Y(u, u) d\mu(u) &= 1 \\ \forall u \cdot v = 0 \quad Y(u, v) &= 0 \\ \text{continuous } Y &\succeq 0\end{aligned}$$

- ▶  $\alpha(\mathcal{G}) \leq \theta(\mathcal{G})$ :
  - ▶ Independent  $X \subset \mathbb{S}^2$
  - ▶ **Regularity** of  $\mu$ :  $\exists$  closed  $C \subset X$  with  $\mu(X \setminus C) < \varepsilon$
  - ▶ **Compactness**:  $\exists t > 0$  st  $C$  is  $(-t, t)$ -independent
  - ▶  $Y(u, v) = f(u) f(v) / \|f\|_2^2$ , where

# $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- ▶  $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) d\mu(u) d\mu(v)$  st

$$\begin{aligned}\int Y(u, u) d\mu(u) &= 1 \\ \forall u \cdot v = 0 \quad Y(u, v) &= 0 \\ \text{continuous } Y &\succeq 0\end{aligned}$$

- ▶  $\alpha(\mathcal{G}) \leq \theta(\mathcal{G})$ :
  - ▶ Independent  $X \subset \mathbb{S}^2$
  - ▶ **Regularity** of  $\mu$ :  $\exists$  closed  $C \subset X$  with  $\mu(X \setminus C) < \varepsilon$
  - ▶ **Compactness**:  $\exists t > 0$  st  $C$  is  $(-t, t)$ -independent
  - ▶  $Y(u, v) = f(u) f(v) / \|f\|_2^2$ , where
    - ▶  $f : \mathbb{S}^2 \rightarrow [0, 1]$ , continuous

# $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- ▶  $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) d\mu(u) d\mu(v)$  st

$$\int Y(u, u) d\mu(u) = 1$$

$$\forall u \cdot v = 0 \quad Y(u, v) = 0$$

$$\text{continuous } Y \succeq 0$$

- ▶  $\alpha(\mathcal{G}) \leq \theta(\mathcal{G})$ :

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶ **Regularity** of  $\mu$ :  $\exists$  closed  $C \subset X$  with  $\mu(X \setminus C) < \varepsilon$
- ▶ **Compactness**:  $\exists t > 0$  st  $C$  is  $(-t, t)$ -independent
- ▶  $Y(u, v) = f(u) f(v) / \|f\|_2^2$ , where
  - ▶  $f : \mathbb{S}^2 \rightarrow [0, 1]$ , continuous
  - ▶ 1 on  $C$

# $\theta$ -Function for $\mathcal{S} = (\mathbb{S}^2, \{\text{orthogonal}\})$

- ▶  $\theta(\mathcal{S})$ : **maximise**  $\int Y(u, v) d\mu(u) d\mu(v)$  st

$$\int Y(u, u) d\mu(u) = 1$$

$$\forall u \cdot v = 0 \quad Y(u, v) = 0$$

$$\text{continuous } Y \succeq 0$$

- ▶  $\alpha(\mathcal{G}) \leq \theta(\mathcal{G})$ :

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶ **Regularity** of  $\mu$ :  $\exists$  closed  $C \subset X$  with  $\mu(X \setminus C) < \varepsilon$
- ▶ **Compactness**:  $\exists t > 0$  st  $C$  is  $(-t, t)$ -independent
- ▶  $Y(u, v) = f(u) f(v) / \|f\|_2^2$ , where
  - ▶  $f : \mathbb{S}^2 \rightarrow [0, 1]$ , continuous
  - ▶ 1 on  $C$
  - ▶ 0 outside small neighbourhood of  $C$

# Rotation-Invariant Kernel

# Rotation-Invariant Kernel

- ▶ Continuous  $Y \succeq 0$



# Rotation-Invariant Kernel

- ▶ Continuous  $Y \succeq 0$
- ▶  $\nu$ : Haar measure on  $SO(3)$

# Rotation-Invariant Kernel

- ▶ Continuous  $Y \succeq 0$
- ▶  $\nu$ : Haar measure on  $SO(3)$
- ▶  $\mathbf{E}Y(u, v) = \int Y(\gamma^{-1}(u), \gamma^{-1}(v)) \mathrm{d}\nu(\gamma)$

# Rotation-Invariant Kernel

- ▶ Continuous  $Y \succeq 0$
- ▶  $\nu$ : Haar measure on  $SO(3)$
- ▶  $\mathbf{E}Y(u, v) = \int Y(\gamma^{-1}(u), \gamma^{-1}(v)) \, d\nu(\gamma)$
- ▶  $\mathbf{E}Y \succeq 0$  and continuous

# Rotation-Invariant Kernel

- ▶ Continuous  $Y \succeq 0$
- ▶  $\nu$ : Haar measure on  $SO(3)$
- ▶  $\mathbf{E}Y(u, v) = \int Y(\gamma^{-1}(u), \gamma^{-1}(v)) \, d\nu(\gamma)$
- ▶  $\mathbf{E}Y \succeq 0$  and continuous
- ▶ Rotation-invariance  $\Rightarrow \mathbf{E}Y(u, v) = k(u \cdot v)$

# Schoenberg's Theorem

# Schoenberg's Theorem

- ▶ Continuous  $k : [-1, 1] \rightarrow [0, 1]$  st  $k(x \cdot y) \succeq 0$

# Schoenberg's Theorem

- ▶ Continuous  $k : [-1, 1] \rightarrow [0, 1]$  st  $k(x \cdot y) \succeq 0$
- ▶ **Schoenberg'42:** iff  $k = \sum_i x_i C_i$  with  $x_i \geq 0$  and  $\sum_i x_i < \infty$

# Schoenberg's Theorem

- ▶ Continuous  $k : [-1, 1] \rightarrow [0, 1]$  st  $k(x \cdot y) \succeq 0$
- ▶ **Schoenberg'42:** iff  $k = \sum_i x_i C_i$  with  $x_i \geq 0$  and  $\sum_i x_i < \infty$
- ▶ Gegenbauer polynomial  $C_i$ :



# Schoenberg's Theorem

- ▶ Continuous  $k : [-1, 1] \rightarrow [0, 1]$  st  $k(x \cdot y) \succeq 0$
- ▶ **Schoenberg'42:** iff  $k = \sum_i x_i C_i$  with  $x_i \geq 0$  and  $\sum_i x_i < \infty$
- ▶ Gegenbauer polynomial  $C_i$ :
  - ▶  $C_i(1) = 1$

# Schoenberg's Theorem

- ▶ Continuous  $k : [-1, 1] \rightarrow [0, 1]$  st  $k(x \cdot y) \succeq 0$
- ▶ **Schoenberg'42:** iff  $k = \sum_i x_i C_i$  with  $x_i \geq 0$  and  $\sum_i x_i < \infty$
- ▶ Gegenbauer polynomial  $C_i$ :
  - ▶  $C_i(1) = 1$
  - ▶  $\int_{-1}^1 C_i(t) C_j(t) dt = 0$  for  $i \neq j$

# LP Reformulation

# LP Reformulation

- ▶  $k(t) = \sum_i x_i C_i(t)$

# LP Reformulation

- ▶  $k(t) = \sum_i x_i C_i(t)$
- ▶ **Maximise**  $\int k(u \cdot v)$

# LP Reformulation

- ▶  $k(t) = \sum_i x_i C_i(t)$
- ▶ **Maximise**  $\int k(u \cdot v) = x_0$  st

$$\int k(u \cdot u)$$

# LP Reformulation

- ▶  $k(t) = \sum_i x_i C_i(t)$
- ▶ **Maximise**  $\int k(u \cdot v) = x_0$  st

$$\int k(u \cdot u) = \sum_i x_i$$

# LP Reformulation

- ▶  $k(t) = \sum_i x_i C_i(t)$
- ▶ **Maximise**  $\int k(u \cdot v) = x_0$  st

$$\int k(u \cdot u) = \sum_i x_i = 1$$



# LP Reformulation

- ▶  $k(t) = \sum_i x_i C_i(t)$
- ▶ **Maximise**  $\int k(u \cdot v) = x_0$  st

$$\int k(u \cdot u) = \sum_i x_i = 1$$

$$k(0)$$

# LP Reformulation

- ▶  $k(t) = \sum_i x_i C_i(t)$
- ▶ **Maximise**  $\int k(u \cdot v) = x_0$  st

$$\int k(u \cdot u) = \sum_i x_i = 1$$

$$k(0) = \sum_i x_i C_i(0)$$

# LP Reformulation

- ▶  $k(t) = \sum_i x_i C_i(t)$
- ▶ **Maximise**  $\int k(u \cdot v) = x_0$  st

$$\int k(u \cdot u) = \sum_i x_i = 1$$

$$k(0) = \sum_i x_i C_i(0) = 0$$

# LP Reformulation

- ▶  $k(t) = \sum_i x_i C_i(t)$
- ▶ **Maximise**  $\int k(u \cdot v) = x_0$  **st**

$$\int k(u \cdot u) = \sum_i x_i = 1$$

$$k(0) = \sum_i x_i C_i(0) = 0$$

$$x_i \geq 0$$

# LP Reformulation

- ▶  $k(t) = \sum_i x_i C_i(t)$
- ▶ **Maximise**  $\int k(u \cdot v) = x_0$  st

$$\int k(u \cdot u) = \sum_i x_i = 1$$

$$k(0) = \sum_i x_i C_i(0) = 0$$

$$x_i \geq 0$$

- ▶ **Bachoc-Nebe-Oliveira Filho-Vallentin'09:** Value =  $\frac{1}{3}$

# Improvements

# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$

# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$



# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$
- ▶  $k(t)$

# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$
- ▶  $k(t) = \frac{\Pr_{u \cdot v = t}[u, v \in X]}{\mu(X)}$

# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$
- ▶  $k(t) = \frac{\Pr_{u \cdot v = t}[u, v \in X]}{\mu(X)} = \Pr_{u \in v^t}[u \in X | v \in X]$

# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$
- ▶  $k(t) = \frac{\Pr_{u \cdot v = t}[u, v \in X]}{\mu(X)} = \Pr_{u \in v^t}[u \in X | v \in X]$
- ▶ **Idea:**  $(v^t, \{\text{orthogonal}\}) \supseteq C_{2k+1} \Rightarrow k(t) \leq \frac{k}{2k+1}$

# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$
- ▶  $k(t) = \frac{\Pr_{u \cdot v = t}[u, v \in X]}{\mu(X)} = \Pr_{u \in v^t}[u \in X | v \in X]$
- ▶ **Idea:**  $(v^t, \{\text{orthogonal}\}) \supseteq C_{2k+1} \Rightarrow k(t) \leq \frac{k}{2k+1}$
- ▶ 3-cycle and 5-cycle  $\Rightarrow$  **improve** to 0.313

# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$
- ▶  $k(t) = \frac{\Pr_{u \cdot v = t}[u, v \in X]}{\mu(X)} = \Pr_{u \in v^t}[u \in X | v \in X]$
- ▶ **Idea:**  $(v^t, \{\text{orthogonal}\}) \supseteq C_{2k+1} \Rightarrow k(t) \leq \frac{k}{2k+1}$
- ▶ 3-cycle and 5-cycle  $\Rightarrow$  **improve** to 0.313
- ▶ **Rigorous proof:**

# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$
- ▶  $k(t) = \frac{\Pr_{u \cdot v = t}[u, v \in X]}{\mu(X)} = \Pr_{u \in v^t}[u \in X | v \in X]$
- ▶ **Idea:**  $(v^t, \{\text{orthogonal}\}) \supseteq C_{2k+1} \Rightarrow k(t) \leq \frac{k}{2k+1}$
- ▶ 3-cycle and 5-cycle  $\Rightarrow$  **improve** to 0.313
- ▶ **Rigorous proof:** rational solution to dual

# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$
- ▶  $k(t) = \frac{\Pr_{u \cdot v = t}[u, v \in X]}{\mu(X)} = \Pr_{u \in v^t}[u \in X | v \in X]$
- ▶ **Idea:**  $(v^t, \{\text{orthogonal}\}) \supseteq C_{2k+1} \Rightarrow k(t) \leq \frac{k}{2k+1}$
- ▶ 3-cycle and 5-cycle  $\Rightarrow$  **improve** to 0.313
- ▶ **Rigorous proof:** rational solution to dual
- ▶ Infinitely many dual constraints:



# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$
- ▶  $k(t) = \frac{\Pr_{u \cdot v = t}[u, v \in X]}{\mu(X)} = \Pr_{u \in v^t}[u \in X | v \in X]$
- ▶ **Idea:**  $(v^t, \{\text{orthogonal}\}) \supseteq C_{2k+1} \Rightarrow k(t) \leq \frac{k}{2k+1}$
- ▶ 3-cycle and 5-cycle  $\Rightarrow$  **improve** to 0.313
- ▶ **Rigorous proof:** rational solution to dual
- ▶ Infinitely many dual constraints:
  - ▶ **First forty:** check by hand

# Improvements

- ▶ Independent  $X \subset \mathbb{S}^2$
- ▶  $u^t := \{v \in \mathbb{S}^2 : v \cdot u = t\}$
- ▶  $k(t) = \frac{\Pr_{u \cdot v = t}[u, v \in X]}{\mu(X)} = \Pr_{u \in v^t}[u \in X | v \in X]$
- ▶ **Idea:**  $(v^t, \{\text{orthogonal}\}) \supseteq C_{2k+1} \Rightarrow k(t) \leq \frac{k}{2k+1}$
- ▶ 3-cycle and 5-cycle  $\Rightarrow$  **improve** to 0.313
- ▶ **Rigorous proof:** rational solution to dual
- ▶ Infinitely many dual constraints:
  - ▶ **First forty:** check by hand
  - ▶ **Rest:** apply estimates by **Darboux 1878**

# Selected Open Problems

# Selected Open Problems

- ▶ Is  $\alpha_n(0)$  given by two caps ?

# Selected Open Problems

- ▶ Is  $\alpha_n(0)$  given by two caps ?
- ▶ Is  $\alpha_n(t)$  given by a cap for  $t \leq -1/2$  ?

# Selected Open Problems

- ▶ Is  $\alpha_n(0)$  given by two caps ?
- ▶ Is  $\alpha_n(t)$  given by a cap for  $t \leq -1/2$  ?
- ▶ Is  $\alpha_n(t)$  continuous for  $t \in (-1, 1)$  ?

# Selected Open Problems

- ▶ Is  $\alpha_n(0)$  given by two caps ?
- ▶ Is  $\alpha_n(t)$  given by a cap for  $t \leq -1/2$  ?
- ▶ Is  $\alpha_n(t)$  continuous for  $t \in (-1, 1)$  ?
  - ▶ Yes at  $t = -1$

# Selected Open Problems

- ▶ Is  $\alpha_n(0)$  given by two caps ?
- ▶ Is  $\alpha_n(t)$  given by a cap for  $t \leq -1/2$  ?
- ▶ Is  $\alpha_n(t)$  continuous for  $t \in (-1, 1)$  ?
  - ▶ Yes at  $t = -1$
  - ▶ No at  $t = 1$



Thank you!