

# LOCAL WELL-POSEDNESS FOR QUASILINEAR WAVE EQUATIONS

## (D'APRÉS SMITH-TATARU)

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**ABSTRACT.** In this note, we outline the work by Smith-Tataru [ST05] concerning the sharp local well-posedness for generic quasi-linear wave equations. That is, given sufficiently regular Lorentzian metrics  $\mathbf{g}_{\mu\nu}(\phi)$  and semi-linear terms  $\mathcal{N}(\phi)(\partial\phi, \partial\phi)$ , we prove that the initial data problem

$$\begin{aligned}\square_{\mathbf{g}(\phi)}\phi &= \mathcal{N}(\phi)(\partial\phi, \partial\phi), \\ (\phi, \partial_t\phi)_{|t=0} &= (\phi_0, \phi_1),\end{aligned}$$

is locally well-posed in  $H_x^s \times H_x^{s-1}(\mathbb{R}^n)$  for  $s > \frac{n}{2} + \frac{1}{2}$  when  $n = 3, 4, 5$ .

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## 1. INTRODUCTION

In this note, we consider the local well-posedness of *quasilinear wave equations* of the form

$$\begin{aligned}\square_{\mathbf{g}(\phi)}\phi &= \mathcal{N}(\phi)(\partial\phi, \partial\phi), && \text{on } [0, T] \times \mathbb{R}^n, \\ (\phi, \partial_t\phi) &= (\phi_0, \phi_1), && \text{on } t = 0,\end{aligned}\tag{QNLW}$$

where  $\mathbf{g}_{\mu\nu}(\phi)$  is a symmetric matrix with signature  $(-, +, \dots, +)$ , using the convention<sup>1</sup>  $\square_{\mathbf{g}} := \mathbf{g}^{\mu\nu}\partial_\mu\partial_\nu$  for its associated wave operator, and  $\mathcal{N}(\phi)(\partial\phi, \partial\phi) := \mathcal{N}^{\alpha\beta}(\phi)\partial_\alpha\phi\partial_\beta\phi$  is a bilinear form. Without loss of generality, we can take  $t = \text{const}$  to be space-like hypersurfaces by reducing to metrics of the form

$$\mathbf{g}_{\mu\nu}dx^\mu dx^\nu = -dt^2 + \mathbf{g}_{ij}dx^i dx^j.$$

We shall also assume sufficient smoothness and boundedness of the metric  $\mathbf{g}^{\mu\nu}(\phi)$ , its inverse  $\mathbf{g}_{\mu\nu}(\phi)$ , and of the bilinear form  $\mathcal{N}^{\alpha\beta}(\phi)$  as functions of  $\phi$ .

*Example.* The following can be recast in the form (QNLW),

- the Einstein vacuum equations in wave coordinates,
- the irrotational compressible Euler equations.

For the former, this was observed by Choquet-Bruhat [Fou52], while the later is due to Hughes-Kato-Marsden [HKM77]. The reader may find the lecture notes [Luk] as a more modern reference.

Following the standard set by Hadamard, we say that the initial data problem for the quasi-linear wave equation (QNLW) is *locally well-posed* in  $(H_x^s \times H_x^{s-1})(\mathbb{R}^n)$  if the following hold:

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<sup>1</sup>One can equivalently consider the divergence form of the equation, i.e. using  $\partial_\mu\mathbf{g}^{\mu\nu}\partial_\nu$  instead of  $\mathbf{g}^{\mu\nu}\partial_\mu\partial_\nu$  on the left-hand side, as the lower-order terms are encapsulated by the right-hand side.

- item:exist1**
- (a) *Existence:* for each initial data  $\phi[0] \in (H_x^s \times H_x^{s-1})(\mathbb{R}^n)$ , there exists a time  $T > 0$  and a solution  $\phi[t] \in C_t^0(H_x^s \times H_x^{s-1})([0, T] \times \mathbb{R}^n)$  to **(QNLW)**.
  - (b) *(Unconditional) uniqueness:* for each initial data  $\phi[0] \in (H_x^s \times H_x^{s-1})(\mathbb{R}^n)$ , the solution  $\phi[t]$  to **(QNLW)** is unique in the space  $C_t^0(H_x^s \times H_x^{s-1})([0, T] \times \mathbb{R}^n)$ .

**item:cty**

  - (c) *Continuity of data-to-solution map:* if  $\{\phi_k[0]\}_k$  is a sequence of data converging in the  $(H_x^s \times H_x^{s-1})$ -topology to  $\phi[0]$ , then there exists a common time of existence<sup>2</sup> on which the corresponding sequence of solutions  $\{\phi_k[t]\}_k$  to **(QNLW)** converges to  $\phi[t]$  in the  $L_t^\infty(H_x^s \times H_x^{s-1})$ -topology,

$$\begin{aligned} \phi_k[0] &\xrightarrow{k \rightarrow \infty} \phi[0] && \text{in } H_x^s \times H_x^{s-1} \\ \text{implies} \quad \phi_k[t] &\xrightarrow{k \rightarrow \infty} \phi[t] && \text{in } L_t^\infty(H_x^s \times H_x^{s-1}). \end{aligned}$$

This leads us to the following natural question

*For which values of  $s \in \mathbb{R}$  is the initial data problem for the quasi-linear wave equation **(QNLW)** locally well-posed in  $(H^s \times H^{s-1})_x(\mathbb{R}^n)$ ?*

The sharp answer to this question is due to Smith-Tataru [ST05], and will be the subject of this article. To simplify the presentation, we will only consider high spatial dimensions, i.e.  $n \geq 3$ ; for  $n = 2$ , the dispersion of waves is weaker, though analogues of various statements made in this note continue to hold with suitable modifications. For the working definition, we will need to slightly modify the existence and uniqueness statements, strengthening the former while weakening the latter, and require an additional property of the data-to-solution map:

- item:exist**
- (a+) *(Sub-critical) existence:* the time of existence can be taken to depend only on the size of the data

$$T \equiv T(\|\phi[0]\|_{H_x^s \times H_x^{s-1}}).$$

- item:unique**
- (b') *(Conditional) uniqueness:* uniqueness holds only in the smaller Strichartz space,

$$\left\{ \phi[0] \in C_t^0(H_x^s \times H_x^{s-1}) : \partial\phi \in L_t^2 L_x^\infty \right\}.$$

- item:lipschitz**
- (c+) *Weak Lipschitz continuity of data-to-solution map:* there exists a regularity  $s_{\text{Lip}} < s$  such that the data-to-solution map is Lipschitz continuous on bounded sets in  $(H^s \times H^{s-1})_x(\mathbb{R}^n)$  with respect to the weaker  $(H^{s_{\text{Lip}}} \times H^{s_{\text{Lip}}-1})_x(\mathbb{R}^n)$ -topology, i.e. for solutions  $\phi[t], \psi[t] \in C_t^0(H_x^s \times H_x^{s-1})([0, T] \times \mathbb{R}^n)$  to **(QNLW)** satisfying

$$\|\phi[0]\|_{H^s \times H^{s-1}}, \|\psi[0]\|_{H^s \times H^{s-1}} \leq R,$$

the following stability estimate holds:

$$\|\phi[t] - \psi[t]\|_{L_t^\infty(H^{s_{\text{Lip}}} \times H^{s_{\text{Lip}}-1})_x} \leq C(R) \cdot \|\phi[0] - \psi[0]\|_{(H^{s_{\text{Lip}}} \times H^{s_{\text{Lip}}-1})_x}.$$

In this setting, the sharp result, due to Smith-Tataru, may be stated as follows,

**thm:main**

**Theorem 1.1** (Sharp local well-posedness for **(QNLW)** [ST05]). *In dimensions  $n = 3, 4, 5$ , the initial data problem for the quasi-linear wave equation **(QNLW)** is locally well-posed in  $(H^s \times H^{s-1})_x(\mathbb{R}^n)$  for  $s > \frac{n}{2} + \frac{1}{2}$ , with weak Lipschitz continuity of the data-to-solution map with respect to the  $(H^1 \times L^2)_x$ -topology.*

*Remark.* The equation **(QNLW)** is invariant under the scaling symmetry

$$\phi(x^\mu) \mapsto \phi(\frac{x^\mu}{\lambda})$$

which also preserves the homogeneous Sobolev norm  $(\dot{H}^{s_{\text{crit}}} \times \dot{H}^{s_{\text{crit}}-1})_x(\mathbb{R}^n)$ , where  $s_{\text{crit}} := \frac{n}{2}$ . It is natural to ask whether one can prove well-posedness up to the critical regularity. Unfortunately, Theorem 1.1 is sharp for generic **(QNLW)** in dimensions  $n = 2, 3$  due to counterexamples of Lindblad [Lin93, Lin96]. On the other hand, it is not difficult to show that the *Nirenberg example*

$$\square\phi = \partial^\alpha \phi \partial_\alpha \phi,$$

is locally well-posed for  $s > s_{\text{crit}}$ , thanks to the *null structure* of the non-linearity.

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<sup>2</sup>To be more precise, one can introduce the notion of the *maximal lifespan*  $T \equiv T(\phi[0])$  of a solution, and require it to be lower semi-continuous as a function of initial data  $\phi[0] \in (H_x^s \times H_x^{s-1})(\mathbb{R}^n)$ .

*Remark.* The proof contained in [ST05] breaks down in higher dimensions  $n \geq 6$  due to a technical failure in the orthogonality argument for the wave packet decomposition; see Section 5.

The basic starting point is the energy estimate, and local well-posedness result for sufficiently smooth initial data,

**Theorem 1.2** (Local well-posedness for (QNLW) with smooth data [HKM77]). *The initial data problem for the quasi-linear wave equation (QNLW) is (unconditionally) locally well-posed in  $(H_x^s \times H_x^{s-1})(\mathbb{R}^n)$  for  $s > \frac{n}{2} + 1$ . Furthermore, for all  $s \geq 0$ , there exists  $C \gg 1$  such that any smooth solution  $\phi$  obeys the a priori estimate*

$$\|\partial\phi\|_{L_t^\infty H_x^{s-1}} \lesssim \exp\left(C \int_0^T \|\partial\phi\|_{L_x^\infty} dt\right) \|\partial\phi(0)\|_{H_x^{s-1}}. \quad (1.1)$$

*Proof.* See [IT22] for a modern treatment. □

*Remark.* The dimension of the  $L_t^p L_x^\infty$ -norm of  $\partial\phi$  under the scaling symmetry reads

$$\|\partial\phi\|_{L_t^p L_x^\infty} \approx [t]^{\frac{1}{p}} [x]^{-1} \approx [\partial]^{1-\frac{1}{p}}.$$

Thus, the continuation criterion  $L_t^1 L_x^\infty$  is scale-invariant, controlling  $L_{t,x}^\infty$  via Sobolev embedding incurs a full derivative difference from scaling  $1 - \frac{1}{\infty} = 1$ , while control of  $L_t^2 L_x^\infty$  in  $n \geq 3$  via Strichartz leads to half-derivative from scaling  $1 - \frac{1}{2} = \frac{1}{2}$ , and similarly  $L_t^4 L_x^\infty$  in  $n = 2$  leads to three-quarters  $1 - \frac{1}{4} = \frac{1}{2} + \frac{1}{4}$ .

To prove Theorem 1.1, one essentially needs to close the energy estimate. This is accomplished by proving Strichartz estimates for the linearised equation<sup>3</sup>

$$\begin{aligned} \square_{\mathbf{g}(\phi)} \psi &= 0, \\ (\psi, \partial_t \psi)|_{t=0} &= (\psi_0, \psi_1), \end{aligned} \quad (\text{LW}) \quad \boxed{\text{eq:LW}}$$

and its paradifferential counterpart

$$\begin{aligned} \square_{\mathbf{g}(\phi)_{<\lambda}} P_\lambda \psi &= 0, \\ (\psi, \partial_t \psi)|_{t=0} &= (P_\lambda \psi_0, P_\lambda \psi_1), \end{aligned} \quad (\text{PLW}) \quad \boxed{\text{eq:LWpara}}$$

where  $\phi$  is a solution to (QNLW). For flat backgrounds  $\mathbf{g}(\phi) \equiv \mathbf{m}$ , i.e. when (LW) reduces to the classical linear wave equation, one has the classical Strichartz estimates

$$\|\partial\phi\|_{L_t^\infty H_x^{s-1}} + \|\partial\phi\|_{L_t^2 L_x^\infty} \lesssim \|\phi[0]\|_{H_x^s \times H_x^{s-1}}, \quad s > \frac{n}{2} + \frac{1}{2},$$

with the  $L_t^2 L_x^\infty$ -control allowing us to close the argument. If one only assumes  $\partial\mathbf{g} \in L_t^2 L_x^\infty$  in (LW), then the best one can do is to obtain the above Strichartz estimate but with a  $\frac{1}{6}$ -derivative loss [Tat01a, Tat01b]. The major breakthrough of Smith-Tataru was that actually there is no derivative-loss in Strichartz for (LW) when one uses that  $\phi$  is a solution to (QNLW), which in turn roughly implies  $\square_{\mathbf{g}(\phi)} \mathbf{g}(\phi) \approx 0$ , see Table 1 for a brief summary of this historical progression.

nm:strichartz

**Theorem 1.3** (Loss-less Strichartz estimates for (QNLW) [ST05]). *Let  $\phi[t] \in C_t^0(H_x^s \times H_x^{s-1})([0, T] \times \mathbb{R}^n)$  be a solution to (QNLW) as in Theorem 1.1. Then*

(a) *Strichartz bounds for non-linear evolution: the solution satisfies*

$$\|\partial\phi\|_{L_t^\infty H_x^{s-1}} + \|\partial\phi\|_{L_t^2 L_x^\infty} \lesssim \|\phi[0]\|_{H_x^s \times H_x^{s-1}}.$$

(b) *Strichartz bounds for linear evolution: for  $1 \leq \sigma \leq s + 1$  and each  $t_0 \in [0, T]$ , the initial data problem for the linear equation (LW) is well-posed in  $(H_x^\sigma \times H_x^{\sigma-1})(\mathbb{R}^n)$ . Furthermore, the solution satisfies*

$$\|\partial\psi\|_{L_t^\infty H_x^{\sigma-1}} + \|\langle \nabla_x \rangle^{\sigma - \frac{n}{2} - \frac{1}{2} - 1} \partial\psi\|_{L_t^2 L_x^\infty} \lesssim \|\psi[t_0]\|_{H_x^\sigma \times H_x^{\sigma-1}}. \quad (1.2)$$

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<sup>3</sup>Strictly speaking, this is not quite the linearisation of (QNLW), as there is an extra order-zero term  $(\partial_\phi \mathbf{g})^{\mu\nu}(\phi) \partial_\mu \partial_\nu \phi \psi$ , however this can be easily treated as perturbative on short time-scales.

|                              | <b>g in (LW)</b>                  | <b>Strichartz</b>           | <b>Well-posedness</b>                                  |
|------------------------------|-----------------------------------|-----------------------------|--|
| Hughes-Kato-Marsden [HKM77]  | $\partial g \in L_{t,x}^\infty$   | N/A                         | $s > \frac{n}{2} + 1$                                  |
| Bahouri-Chemin [BC99]        | $\partial g \in L_t^2 L_x^\infty$ | $\frac{1}{4}$ loss          | $s > \frac{n}{2} + \frac{1}{2} + \frac{1}{4}$          |
| Tataru [Tat01a, Tat01b]      | $\partial g \in L_t^2 L_x^\infty$ | $\frac{1}{6}$ loss          | $s > \frac{n}{2} + \frac{1}{2} + \frac{1}{6}$          |
| Klainerman-Rodnianski [KR03] | $\square g g \approx 0$           | $\frac{2-\sqrt{3}}{2}$ loss | $s > \frac{n}{2} + \frac{1}{2} + \frac{2-\sqrt{3}}{2}$ |
| Smith-Tataru [ST05]          | $\square g g \approx 0$           | lossless                    | $s > \frac{n}{2} + \frac{1}{2}$                        |

TABLE 1. A non-exhaustive historical overview of the local well-posedness of quasi-linear wave equations for  $n \geq 3$ , though one can find results concerning  $n = 2$  among the references, and the result of Klainerman-Rodnianski [KR03] works only with  $n = 3$ .

## 2. THE BOOTSTRAP ARGUMENT

To simplify presentation, we shall only work in dimensions  $n = 3, 4, 5$  for the remainder of this article. We shall also recast the original bootstrap argument of Smith-Tataru in more modern language, following the expository article of Ifrim-Tataru [IT22] (see also [AIT24]).

Let  $s > \frac{n}{2} + \frac{1}{2}$ , and consider initial data  $\phi[0] \in (H^s \times H^{s-1})_x(\mathbb{R}^n)$  which is sufficiently small, i.e.

$$\|\phi[0]\|_{(H^s \times H^{s-1})_x} \leq \varepsilon \ll 1. \quad (2.1)$$

For each  $\lambda \in 2^{\mathbb{N}}$ , define

$$\begin{aligned} \phi^{(\lambda)} &:= \text{solution to (QNLW) with } \phi^{(\lambda)}[0] := P_{\leq \lambda} \phi[0], \\ \psi^{(\lambda)} &:= \text{solution to (QNLW) with } \psi^{(\lambda)}[0] := P_\lambda \phi[0]. \end{aligned}$$

By persistence of regularity, these are smooth solutions. Furthermore, the initial data satisfy the bounds

$$\begin{aligned} \|\phi^{(\lambda)}[0]\|_{(H^s \times H^{s-1})_x} &\lesssim \varepsilon, \\ \|\psi^{(\lambda)}[0]\|_{(H^1 \times L^2)_x} &\lesssim \lambda^{1-s} \varepsilon. \end{aligned} \quad (2.2)$$

**Theorem 2.1** (Estimates for smooth solutions from regularised data). *The solutions  $\phi^{(\lambda)}$  to (QNLW) satisfy the following properties:*

(a) Uniform bounds: *the solutions exist up to unit time-scale  $[0, 1]$ , and satisfy the uniform bounds*

$$\|\phi^{(\lambda)}[t]\|_{L_t^\infty(H^s \times H^{s-1})_x} \lesssim \varepsilon, \quad (2.3)$$

*and higher regularity bounds*

$$\|\phi^{(\lambda)}[t]\|_{L_t^\infty(H^{s+1} \times H^s)_x} \lesssim \lambda \varepsilon. \quad (2.4)$$

(b) Difference bounds: *the linearised equations (LW) around  $\phi^{(\lambda)}$  are well-posed in  $(H^1 \times L^2)_x(\mathbb{R}^n)$ , and satisfy the Strichartz estimates*

$$\|\partial \psi\|_{L_t^\infty L_x^2} + \|\langle \nabla_x \rangle^{-\frac{n-1}{2}} \partial \psi\|_{L_t^2 L_x^\infty} \lesssim \|\partial \psi[0]\|_{L_x^2}, \quad (2.5)$$

*uniformly in  $\lambda \in 2^{\mathbb{N}}$ .*

Bootstrap assumptions,

(a) Uniform  $(H^s \times H^{s-1})_x$ -bounds,

$$\|\phi^{(\lambda)}[t]\|_{L_t^\infty(H^s \times H^{s-1})_x} \leq 2\varepsilon_2, \quad (2.6)$$

(b) Difference bounds

$$\|\psi^{(\lambda)}[t]\|_{L_t^\infty(H^1 \times L^2)_x} \leq N^{-s}, \quad (2.7)$$

(c) Null geometry bounds,

$$\sup_{\theta,r} \|\phi^{(\lambda)}\|_{L_t^2 H_{x'_\theta}^s(\Sigma_{\theta,r})} + \|\partial_t \phi^{(\lambda)}\|_{L_t^2 H_{x'_\theta}^{s-1}(\Sigma_{\theta,r})} \leq 2\varepsilon_1. \quad (2.8)$$

### 3. GEOMETRY AND REGULARITY OF NULL HYPERSURFACES

Let  $u_\theta$  be the solution the eikonal equation initialised at  $t = -2$ ,

$$\begin{aligned} \mathbf{g}^{\mu\nu} \partial_\mu u \partial_\nu u &= 0, \\ u|_{t=-2} &= \theta \cdot x + 2. \end{aligned} \quad (3.1)$$

We denote the level sets  $u_\theta = r$ , which are null hypersurfaces with respect to the metric  $\mathbf{g}$ , by  $\Sigma_{\theta,r}$ . Write  $x_\theta := x \cdot \theta$  and let  $x'_\theta$  be coordinates on the orthogonal complement  $\theta^\perp$ , so that  $(x'_\theta, x_\theta)$  form an orthonormal coordinate system on  $\mathbb{R}^n$ . By the implicit function theorem, we can write these level sets as the graphs of functions  $\tau_{\theta,r} \equiv \tau_{\theta,r}(t, x'_\theta)$ . Thus we may parametrise  $\Sigma_{\theta,r}$  by  $(t, x'_\theta) \in [-2, 2] \times \mathbb{R}^{n-1}$ , and we can write

$$\Sigma_{\theta,r} := \{(t, x) \in [-2, 2] \times \mathbb{R}^n : x_\theta - \tau_{\theta,r}(t, x'_\theta) = 0\}.$$

*Example.* In the flat case  $\mathbf{g} = \mathbf{m}$ , we have the explicit solution

$$u_\theta(t, x) = x \cdot \theta - t,$$

so that the null hypersurfaces are hyperplanes given by

$$\Sigma_{\theta,r} = \{(t, x) : x_\theta - t = r\},$$

where  $r \in \mathbb{R}$  is a fixed constant (not radius! confusingly enough), and  $\tau := t + r$ .

#### 3.1. Regularity of null hypersurfaces.

**Proposition 3.1** (Characteristic energy estimates).

$$\|\mathbf{g} - \mathbf{m}\|_{(\Sigma_{\theta,r})} + \|\partial \mathbf{g}_{<\lambda}\|_{(\Sigma_{\theta,r})} + \lambda^{-1} \|\partial_x \partial \mathbf{g}_{<\lambda}\|_{(\Sigma_{\theta,r})} \lesssim \varepsilon_2. \quad (3.2)$$

**Proposition 3.2.**

$$\|d\tau_{\theta,r}(t) - dt\|_{C_{x'_\theta}^{1,0+}(\mathbb{R}^{n-1})} \lesssim \varepsilon_2 + \|\partial \mathbf{g}(t)\|_{C_x^{0,0+}(\mathbb{R}^n)}. \quad (3.3)$$

#### 3.2. Geometry of light cones.

**Proposition 3.3** (Angle of null generators). *Let  $\theta, \omega \in \mathbb{S}^{n-1}$ , then*

$$\mathbf{L}_\theta - \mathbf{L}_\omega = (\theta - \omega) + o(|\theta - \omega|). \quad (3.4)$$

Also,

$$\langle \mathbf{L}_\theta, \mathbf{L}_\omega \rangle_{\mathbf{g}} = -\frac{1}{2} |\theta - \omega|^2 + o(|\theta - \omega|^2). \quad (3.5)$$

**Proposition 3.4** (Separation of null geodesics). *Let  $\theta, \omega \in \mathbb{S}^{n-1}$ , and fix  $(t_1, x_1) \in [-2, 2] \times \mathbb{R}^n$ . Denote  $\gamma_\theta$  and  $\gamma_\omega$  the null geodesics with data*

$$\gamma_\theta(t_1) = \gamma_\omega(t_1) = x_1, \quad \dot{\gamma}_\theta(t_1) \parallel \theta, \quad \dot{\gamma}_\omega(t_1) \parallel \omega.$$

Then

$$\gamma_\theta(t) - \gamma_\omega(t) = (t - t_1)(\theta - \omega) + o(|t - t_1| \cdot |\theta - \omega|). \quad (3.6)$$

#### 4. PARADIFFERENTIAL DECOMPOSITION

Decomposing the left-hand side via the Littlewood-Paley trichotomy, we schematically write the low-high, high-low, and high-high interactions of  $\square_{\mathbf{g}(\phi)}$  as

$$\square_{\mathbf{g}(\phi)} \phi \approx \square_{\mathbf{g}(\phi)_{<\lambda}} \phi_\lambda + \mathbf{g}(\phi)_\lambda \cdot \partial \partial \phi_{<\lambda} + \sum_{\mu \geq \lambda} \mathbf{g}(\phi)_\mu \cdot \partial \partial \phi_\mu.$$

Placing the latter two on the right-hand side, we obtain the paradiagonal formulation of the equation (QNLW)

$$\square_{\mathbf{g}(\phi)_{<\lambda}} \phi_\lambda \approx \mathbf{g}(\phi)_\lambda \cdot \partial \partial \phi_{<\lambda} + \mathbf{g}(\phi)_\lambda \cdot \partial \partial \phi_{<\lambda} + \sum_{\mu \geq \lambda} \mathbf{g}(\phi)_\mu \cdot \partial \partial \phi_\mu + \mathcal{N}(\phi)(\partial \phi, \partial \phi)_\lambda. \quad (4.1)$$

$$\begin{aligned} \square_{\mathbf{g}(\phi)} \psi &= 0, \\ (\psi, \partial_t \psi)_{|t=0} &= (\psi_0, \psi_1), \end{aligned} \quad (\text{LW}) \quad \boxed{\text{eq:linearwave}}$$

and its paradifferential counterpart

$$\begin{aligned} \square_{\mathbf{g}(\phi)_{<\lambda}} P_\lambda \psi &= 0, \\ (\psi, \partial_t \psi)_{|t=0} &= (P_\lambda \psi_0, P_\lambda \psi_1), \end{aligned} \quad (\text{PLW}) \quad \boxed{\text{eq:paralinear}}$$

#### Proposition 4.1.

$$\|\psi\|_{L_t^2 L_x^\infty} \lesssim \varepsilon_0^{-\frac{1}{2}} \lambda^{\sigma-1} \|\psi[-2]\|_{H_x^1 \times L_x^2}, \quad (4.2)$$

#### 5. WAVE PACKET PARAMETRIX

To prove Strichartz estimates for the linear wave equation, we construct a *wave packet parametrix*, that is, a superposition of wave packets which form an approximate solution to the initial data problem. Given a null geodesic  $\gamma(t)$  contained in a null hypersurface  $\Sigma_{\theta,r} = \{x_\theta - \tau_{\theta,r} = 0\}$ , we define a *wave packet*  $\mathfrak{w}$  localised around  $\gamma$  at scale  $\lambda \in 2^{\mathbb{N}}$  to be a function of the form

$$\mathfrak{w} := (\varepsilon_0 \lambda)^{\frac{1}{2} \frac{n-1}{2}} \lambda^{\frac{1}{2}-1-1} T_{<\lambda}(w \delta(u_{\theta,r})),$$

where  $\delta$  is the Dirac mass at zero, and thus  $\delta(u_{\theta,r})$  is a measure<sup>4</sup> supported on the null hypersurface  $\Sigma_{\theta,r}$  which takes the form

$$\langle \delta(u_\theta), \varphi \rangle := \int_{[-2,2]} \int_{\mathbb{R}^{n-1}} \varphi(t, x'_\theta, \tau_{\theta,r}) dx'_\theta dt \quad \text{for } \varphi \in C_c^\infty((-2,2) \times \mathbb{R}^n),$$

and  $w$  is a smooth bump function on  $\Sigma_{\theta,r}$  localised at scale  $(\varepsilon_0 \lambda)^{-\frac{1}{2}}$  about the null geodesic  $\gamma$ , i.e.

$$w(t, x'_\theta) = w_0((\varepsilon_0 \lambda)^{\frac{1}{2}}(x'_\theta - \gamma'_\theta(t))), \quad w_0 \in C_c^\infty(|x'| \leq 1),$$

and finally  $T_{<\lambda}$  is a mollification to spatial scales  $\Delta x \sim \frac{1}{\lambda}$ , taking it with kernel  $\chi_{<\lambda}(x) := \lambda^n \chi(\lambda x)$  for some compactly-supported cut-off  $\chi \in C_c^\infty(|x| \leq \frac{1}{2000})$ ; morally, one should think of this as a localisation to frequency  $|\xi| \lesssim \lambda$ .

The parameter  $\varepsilon_0 \ll 1$  shall be chosen such that the error as an approximate solution  $\square_{\mathbf{g}} \mathfrak{w}$  is small in  $L_t^1 L_x^2$ , while the choice of amplitude will normalise the wave packet to be of size  $O(1)$  in  $(H^1 \times L^2)_x$ ; see Lemmas 5.4 and 5.2 respectively.

Given a function restricted to frequency  $\lambda$  for all  $t$ , we want to construct a wave packet resolution, i.e. show that it arises as a superposition of wave packets. To that end, decompose  $\mathbb{R}^n$  into a parallel tiling of

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<sup>4</sup>Alternatively, one can think of this as the pushforward of the Lebesgue measure on  $[-2,2] \times \mathbb{R}^{n-1}$  under the embedding  $(t, x') \mapsto (t, x', \tau)$ . This convention is common in harmonic analysis in the context of the Fourier extension and restriction problems. Strictly speaking, this is not the same as *surface measure* as it is referred in [ST05].

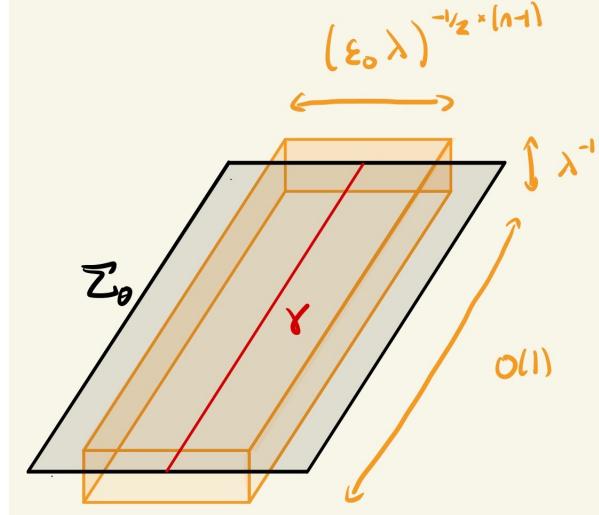


FIGURE 1. Given a null geodesic  $\gamma$  residing in a null hypersurface  $\Sigma_{\theta,u}$ , the corresponding wave packet is supported in a  $1 \times \lambda^{-1} \times (\varepsilon_0 \lambda)^{-\frac{1}{2} \times (n-1)}$ -slab.

rectangles of dimensions  $(4\varepsilon_0 \lambda)^{-\frac{1}{2} \times (n-1)} \times (8\lambda)^{-1}$  in  $(x'_\theta, x_\theta)$ -coordinates. Then define

$$\begin{aligned} R_{\theta,j} &:= \text{doubles of these rectangles at } t = -2, \\ \Sigma_{\theta,j} &:= \text{null hypersurface centered on } R_{\theta,j}, \\ \gamma_{\theta,j} &:= \text{null geodesic in } \Sigma_{\theta,j} \text{ through center of } R_{\theta,j}, \\ T_{\theta,j} &:= (32\lambda)^{-1}\text{-neighborhood of } \Sigma_{\theta,j} \cap \{|x'_\theta - \gamma_{\theta,j}(t)| \leq (\varepsilon_0 \lambda)^{-\frac{1}{2}}\}. \end{aligned}$$

We shall refer to the space-time regions  $T_{\theta,j}$  as slabs; by construction, wave packets are supported in slabs. These slabs satisfy a finite-overlap condition; indeed, those associated to different null hypersurfaces are disjoint, while those associated to the same null hypersurface have finite overlap in the  $x'_\theta$ -variable. Furthermore, we consider slabs with angles  $\theta$  taken from

$$\Omega := \text{maximal collection of } \varepsilon_0^{\frac{n-1}{2}} \lambda^{\frac{n-1}{2}} \text{-many unit vectors } \theta \in S^{n-1} \text{ separated by at least } (\varepsilon_0 \lambda)^{-\frac{1}{2}}.$$

op:parametrix **Proposition 5.1** (Existence of wave packet parametrix). *Let  $(\phi_0, \phi_1) \in (H^1 \times L^2)_x(\mathbb{R}^n)$  be initial data. Then, in dimensions  $n = 2, 3, 4, 5$ , there exists a superposition of wave packets*

$$\phi := \sum_{\theta,j} a_{\theta,j} w^{\theta,j}$$

*which is an approximate solution to the paralinearised initial data problem (PLW) in the sense that*

item:WPdata (a) *it matches the initial data at  $t = -2$ ,*

$$P_\lambda \phi[-2] = (\phi_0, \phi_1) \tag{5.1}$$

item:WPSIZE (b) *the size of the coefficients is comparable to the size of the initial data,*

$$\left( \sum_{\theta,j} |a_{\theta,j}|^2 \right)^{\frac{1}{2}} \lesssim \|\phi[0]\|_{(H^1 \times L^2)_x}. \tag{5.2}$$

item:WPenergy (c) *the energy estimate holds,*

$$\|\partial P_\lambda \phi\|_{L_t^\infty L_x^2} \lesssim \left( \sum_{\theta,j} |a_{\theta,j}|^2 \right)^{\frac{1}{2}} \tag{5.3}$$

eq:parametrix

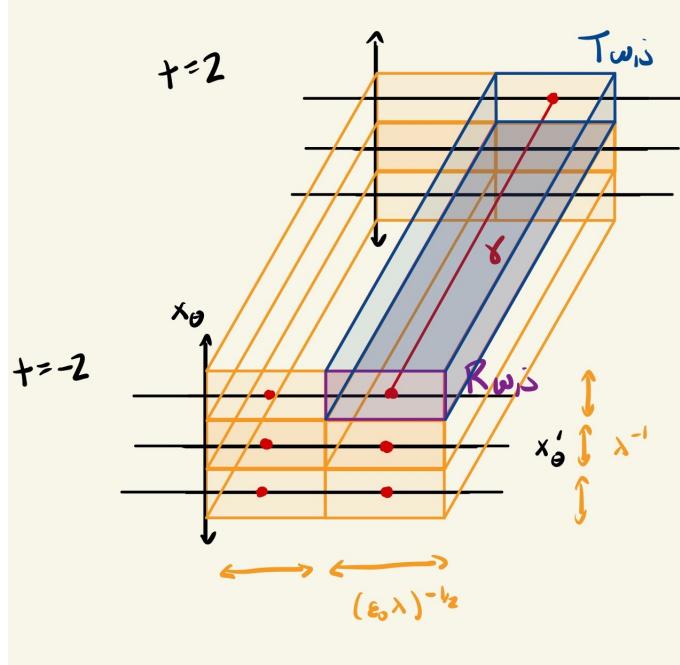


FIGURE 2. Given a fixed angle  $\theta$ , we cover  $[-2, 2] \times \mathbb{R}^n$  by slabs localised along null geodesics  $\gamma_{\theta,j}$  with dimensions  $(\varepsilon_0 \lambda)^{-\frac{1}{2} \times (n-1)} \times \lambda^{-1}$ .

fig:physicalW

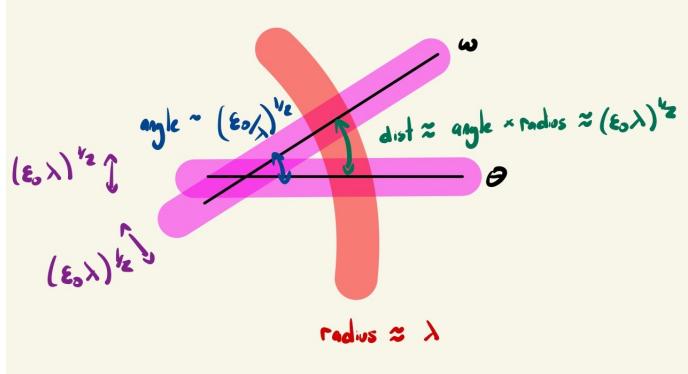


FIGURE 3. In frequency space, the wave packets at time  $t = -2$  are effectively localised to  $(\varepsilon_0 \lambda)^{\frac{1}{2}}$ -neighborhoods of the angles  $\theta$ . These angles are separated by at least  $(\frac{\varepsilon_0}{\lambda})^{\frac{1}{2}}$ , so when restricted to the dyadic shell  $|\xi| \sim \lambda$ , there is  $O(1)$ -overlap between wave packets.

fig:frequency

item:WPerror (d) the error on the right-hand side is small,

$$\|\square g_{<\lambda} \phi_\lambda\|_{L_t^1 L_x^2} \lesssim \varepsilon_0 \left( \sum_{\theta,j} |a_{\theta,j}|^2 \right)^{\frac{1}{2}}. \quad (5.4)$$

eq:parametrix

**5.1. Properties of wave packets.** As a first step, we prove that a singular wave packet is an approximate solution, in the sense that it satisfies the energy bound and error estimate.

lem:energyWP **Lemma 5.2** (Energy estimate for  $w$ ). *Wave packets have  $O(1)$ -energy,*

$$\|\partial P_\lambda w\|_{L_t^\infty L_x^2} \lesssim 1. \quad (5.5)$$

eq:WPenergy

*Proof for  $\partial = \partial_x$ .* The estimate for the full space-time gradient will follow from the usual energy estimate once one has the error estimate (5.9), though it is instructive to see how to read off the result for the

spatial derivatives from the construction. Roughly speaking<sup>5</sup>,

$$\begin{aligned} \text{support of } T_{<\lambda}(w\delta(u_{\theta,r})) &\approx 1 \times \lambda^{-1} \times (\varepsilon_0\lambda)^{-\frac{1}{2}\times(n-1)}, \\ \text{amplitude of } T_{<\lambda}(w\delta(u_{\theta,r})) &\approx \lambda. \end{aligned}$$

The former is fairly clear; to say a word about the latter,  $\delta(x_\theta - \tau)$  is a unit point mass, while the mollification spreads it out in the  $\theta$ -direction to scale  $\lambda^{-1}$ , so dimensional analysis tells us the resulting amplitude is  $\lambda$ . Using the usual heuristic that  $\partial_x \approx \lambda$  at frequencies comparable to  $\lambda$ , we arrive at

$$\|\partial_x P_\lambda w\|_{L_t^\infty L_x^2} \lesssim \lambda \cdot (\varepsilon_0\lambda)^{\frac{1}{2}\frac{n-1}{2}} \lambda^{\frac{1}{2}-1-1} |\text{amplitude}| \cdot |\text{support}|^{\frac{1}{2}} \lesssim 1.$$

This gives (5.5), modulo time-derivative control.  $\square$

**Lemma 5.3** (Wave packet error decomposition). *Let  $w$  be a wave packet, then the error decomposes as*

$$\square_{g_{<\lambda}} P_\lambda w = \mathcal{L}(\partial g, \partial \tilde{P}_\lambda \tilde{w}) + (\varepsilon_0\lambda)^{\frac{1}{2}\frac{n-1}{2}} \lambda^{\frac{1}{2}-1-1} P_\lambda T_{<\lambda} \sum_{j=0,1,2} \psi_j \delta^{(j)}(x_\theta - \tau_{\theta,r}), \quad (5.6)$$

where  $\mathcal{L}$  is a bilinear form which obeys Hölder's inequality,  $\tilde{P}_\lambda$  is a fattened frequency projection,  $\tilde{w}$  is another wave packet,  $\delta^{(j)}$  are derivatives of the Dirac mass, and  $\psi_j(t, x')$  obey

$$\|\psi_j((\varepsilon_0\lambda)^{-\frac{1}{2}} x_\theta)\|_{L_t^2 H_{x_\theta'}^{s-1}} \lesssim \varepsilon_0 \lambda^{1-j}. \quad (5.7)$$

**Corollary 5.4** (Error estimate for  $w$ ). *Each wave packet has small error,*

$$\|\square_{g_{<\lambda}} P_\lambda w\|_{L_t^1 L_x^2} \lesssim \varepsilon_0, \quad (5.8)$$

$$\|\square_{g_{<\lambda}} P_\lambda w\|_{L_{t,x}^2} \lesssim \varepsilon_0. \quad (5.9)$$

*Proof.* Obviously (5.9) is stronger than (5.8), so we focus on proving an  $L_{t,x}^2$ -error estimate. For the first term on the right-hand side of (5.6), we place  $\partial g$  in  $L_t^2 L_x^\infty$ , gaining smallness from our bootstrap assumption, and  $\partial \tilde{w}$  in  $L_t^\infty L_x^2$ , in which it is unit size by<sup>6</sup> (5.5), yielding

$$\|\mathcal{L}(\partial g, \partial \tilde{P}_\lambda \tilde{w})\|_{L_{t,x}^2} \lesssim \|\partial g\|_{L_t^2 L_x^\infty} \|\partial \tilde{w}\|_{L_t^\infty L_x^2} \lesssim \varepsilon_2.$$

Taking  $\varepsilon_2 \ll \varepsilon_0$  is an acceptable contribution towards (5.9).

For the second term on the right-hand side of (5.6), dimensional analysis yields

$$\begin{aligned} \text{support of } P_\lambda T_{<\lambda}(\psi_j \delta^{(j)}) &\approx 1 \times \lambda^{-1} \times (\varepsilon_0\lambda)^{-\frac{1}{2}\times(n-1)}, \\ \|\text{amplitude of } P_\lambda T_{<\lambda}(\psi_j \delta^{(j)})\|_{L_t^2} &\lesssim \|\text{amplitude of } \psi_j\|_{L_t^2} \cdot \lambda^{1+j} \lesssim \varepsilon_0 \lambda^2. \end{aligned}$$

Roughly speaking,  $s-1 > \frac{n-1}{2}$  under the assumptions of Theorem 1.1, we can use Sobolev embedding on  $\mathbb{R}^{n-1}$  to read off the amplitude bounds using the scaled Sobolev estimate (5.7), while derivatives of the Dirac mass contribute amplitude  $\lambda$ . By dimensional analysis, we arrive at (5.9).  $\square$

*Proof of error decomposition (5.6).* Suppressing subscripts for clarity  $u \equiv u_{\theta,r}$  and  $\tau \equiv \tau_{\theta,r}$ , we compute

$$\begin{aligned} \square_{g_{<\lambda}} P_\lambda w &= (\varepsilon_0\lambda)^{\frac{1}{2}\frac{n-1}{2}} \lambda^{-\frac{1}{2}+1} \left( [\square_{g_{<\lambda}}, P_\lambda T_{<\lambda}] + P_\lambda T_{<\lambda} \square_{g_{<\lambda}} \right) w \delta(u) \\ &= (\varepsilon_0\lambda)^{\frac{1}{2}\frac{n-1}{2}} \lambda^{-\frac{1}{2}+1} [\square_{g_{<\lambda}}, P_\lambda T_{<\lambda}] w \delta(u) \\ &\quad + (\varepsilon_0\lambda)^{\frac{1}{2}\frac{n-1}{2}} \lambda^{-\frac{1}{2}+1} P_\lambda T_{<\lambda} \left( \square_{g_{<\lambda}} w \cdot \delta(u) + 2\bar{g}_{<\lambda}^{\alpha\beta} \partial_\alpha w \cdot \partial_\beta \delta(u) + w \cdot \square_{g_{<\lambda}} \delta(u) \right) \\ &=: \text{I} + \text{II} + \text{III} + \text{IV}, \end{aligned}$$

commuting  $\square$  with the frequency projections and then applying the product rule. Here we have denoted  $\bar{g}_{<\lambda}^{\alpha\beta} = \frac{1}{2}(\mathbf{g}_{<\lambda}^{\alpha\beta} + \mathbf{g}_{<\lambda}^{\beta\alpha})$ .

<sup>5</sup>Here, we write  $\lesssim$  and  $\approx$  to mean that we aren't making any rigorous claims.

<sup>6</sup>To be perfectly rigorous, the energy estimate and the error estimate should be proved in conjunction.

We analyse each term. The main game one has the play is that derivatives of the metric  $\partial g_{<\lambda}$  are small thanks to the bootstrap assumption, while the low frequencies of the metric itself  $g_{<\lambda}$  is *a priori*  $O(1)$ , but we can replace it by the high frequencies  $g_{>\lambda} \lesssim \frac{1}{\lambda} \partial g_{>\lambda}$  plus the metric itself  $g$ , which will be contracted by terms such that there is favourable cancellation.

Term I. Since the metric is cut-off to frequencies much lower than  $\lambda$ , the commutator clearly projects to frequencies  $|\xi| \sim \lambda$ . Thus, one can harmlessly insert fattened projections  $\tilde{P}_\lambda \tilde{T}_{<\lambda}$  in front of the commutator. Furthermore, while two derivatives fall on the wave packet, standard commutator arguments<sup>7</sup> allow us to move one derivative onto the metric. In total, we can rewrite

$$I = [g_{<\lambda}^{\alpha\beta}, P_\lambda T_{<\lambda}] \partial_\alpha \partial_\beta \tilde{w} = \mathcal{L}(\partial g, \partial \tilde{w})$$

for another wave packet  $\tilde{w}$  and some translation-invariant bilinear operator  $\mathcal{L}(-, -)$ .

Term II. We compute two derivatives of the bump function on  $\mathbb{R}^{n-1}$  localised to the null geodesic  $\gamma$ ,

$$\partial_\alpha \partial_\beta w = \begin{cases} O(\varepsilon_0 \lambda) & \text{if two spatial derivatives,} \\ O((\varepsilon_0 \lambda)^{\frac{1}{2}} \dot{\gamma}) & \text{if two time derivatives,} \\ O(\varepsilon_0 \lambda \dot{\gamma}) \end{cases}$$

Since  $\|\dot{\gamma}\|_{L_t^2} \lesssim \varepsilon_1$ , this is acceptable for (5.7) when placed into  $\psi_0$ .

Term III. We compute, schematically,

$$\begin{aligned} \bar{g}_{<\lambda} \cdot \partial w \cdot \partial \delta(u) &= \overline{g_{<\lambda}} \cdot \partial w \cdot \partial u \cdot \delta^{(1)}(u) \\ &= (\bar{g}_{<\lambda})_{|\Sigma} \cdot \partial w \cdot \partial u \cdot \delta^{(1)}(u) + (\partial \bar{g}_{<\lambda})_{|\Sigma} \cdot \partial w \cdot \partial u \cdot \delta(u). \end{aligned}$$

Putting the coefficients then in their respective boxes,

$$\begin{aligned} \psi_0 &:= \partial u \cdot \partial \bar{g}_{<\lambda} \cdot \partial w, \\ \psi_1 &:= \partial u \cdot \bar{g}_{<\lambda} \cdot \partial w. \end{aligned}$$

It is easy to see that the first coefficient is acceptable for (5.7). To see that the second is also acceptable, we decompose

$$\begin{aligned} \psi_1 &= \bar{g}_{<\lambda}^{\alpha\beta} \partial_\alpha u \partial_\beta w = \bar{g}^{\alpha\beta} \partial_\alpha u \partial_\beta w - \bar{g}_{>\lambda}^{\alpha\beta} \partial_\alpha u \partial_\beta w \\ &= \left( \bar{g}^{\alpha\beta} - \bar{g}_{|x'=\gamma(t)}^{\alpha\beta} \right) \partial_\alpha u \partial_\beta w - \bar{g}_{>\lambda}^{\alpha\beta} \partial_\alpha u \partial_\beta w. \end{aligned}$$

The first line is obvious, for the second line, we use the fact that  $g \cdot \partial u \cdot \partial w = 0$  when restricted to the null geodesic  $\gamma$ , since  $(1, \dot{\gamma}) \propto g^{\alpha\beta} \partial_\alpha u$ . These terms can then easily be estimated by  $\partial g$ .

Term IV. We compute

$$\square_{g_{<\lambda}} \delta(u) = g_{<\lambda}^{\alpha\beta} \left( \partial_\alpha u \partial_\beta u \delta^{(2)}(u) + \partial_\alpha \partial_\beta \tau \delta^{(1)}(u) \right).$$

Applying the distributional product rule, we can rewrite the terms above schematically as

$$\begin{aligned} g_{<\lambda} \cdot \partial \partial \tau \cdot \delta^{(1)}(x_\theta - \tau) &= (\partial g)_{|\Sigma} \cdot \partial \partial \tau \cdot \delta(x_\theta - \tau) \\ g_{<\lambda} \cdot (\partial u)^2 \cdot \delta^{(2)}(x_\theta - \tau) &= (\partial \partial g_{<\lambda})_{|\Sigma} \cdot (\partial u)^2 \cdot \delta(x_\theta - \tau) \\ &\quad + 2(\partial g_{<\lambda})_{|\Sigma} \cdot (\partial u)^2 \cdot \delta^{(1)}(x_\theta - \tau) \\ &\quad + (g_{>\lambda})_{|\Sigma} (\partial u)^2 \cdot \delta^{(2)}(x_\theta - \tau) \end{aligned}$$

Here, the derivatives on the metric are in the  $\theta$ -direction; observe that  $\partial u$  depends only on  $t$  and  $x'_\theta$  so no  $x^\theta$ -derivatives fall on these terms. In the last line, we have freely replaced  $g_{<\lambda} (\partial u)^2$  by  $g_{>\lambda} (\partial u)^2$ , since  $u$  is optical, i.e.  $g^{\alpha\beta} \partial_\alpha u \partial_\beta u = 0$ .

<sup>7</sup>In a word, the principal symbol of the commutator is given by the Poisson bracket, so one can, to leading order, write  $[g(x), \chi(\nabla/\lambda)] \approx \{g(x), \chi(\xi/\lambda)\} \approx \partial_x g \cdot \partial_\xi \chi(\xi/\lambda) \approx \frac{1}{\lambda} \partial_x g$ .

Putting the coefficients then in their respective boxes,

$$\begin{aligned}\psi_0 &:= w \cdot \left( \partial \partial \mathbf{g}_{<\lambda} \cdot (\partial u)^2 + \partial \mathbf{g}_{<\lambda} \cdot \partial \partial \tau \right), \\ \psi_1 &:= w \cdot \left( 2 \partial \mathbf{g}_{<\lambda} \cdot (\partial u)^2 - \mathbf{g}_{<\lambda} \cdot \partial \partial \tau \right), \\ \psi_2 &:= w \cdot (\mathbf{g}_{>\lambda})_{|\Sigma} \cdot (\partial u)^2,\end{aligned}$$

the error bound (5.7) follow from characteristic energy estimates.  $\square$

*Remark.* It is instructive to compare the computation above against the flat case. Writing  $u := x_\theta - t$  and  $\underline{u}_\theta := x_\theta + t$ , we write in coordinates  $\square = -4\partial \underline{\partial} + \Delta_{x'_\theta}$ , so

$$\square \delta(u) = \partial_\alpha u \partial^\alpha u \delta^{(2)}(u) + \square u \delta^{(1)}(u) = 0.$$

Thus, the measures  $\delta(u)$  on null hypersurfaces are exact solutions to the linear wave equation on flat backgrounds.

**5.2. Orthogonality of wave packets.** We want to show that, given any superposition of wave packets, the energy estimate (5.3) and the error estimate (5.4) hold. In view of the corresponding estimate for a single wave packet, we want to show that the interactions between wave packets are negligible, i.e. they are almost orthogonal. In place of the  $L_t^\infty L_x^2$ -bound (5.3), it is convenient to prove the weaker  $L_{t,x}^2$ -bound,

$$\|\partial P_\lambda \phi\|_{L_{t,x}^2} \lesssim \left( \sum_{\theta,j} |a_{\theta,j}|^2 \right)^{\frac{1}{2}}. \quad (5.10)$$

Then (5.10) and (5.4) imply (5.3) by the energy estimate.

We prove (5.10) by showing a fixed-time  $t = \text{const}$  orthogonality estimate. This will be a consequence of the following two “properties” of wave packets which are “morally” true,

- Parallel wave packets, i.e. fixing  $\theta$ , have finitely-overlapping supports  $T_{\theta,j}^t$  in physical space, see Figure 2
- Non-parallel wave packets, i.e. distinct  $\theta, \omega \in \Omega$ , at scale  $\lambda$  are effectively localised in frequency space to the dual rectangles  $(T_{\theta,j}^t)^*$  and  $(T_{\omega,k}^t)^*$ , which are contained in  $(\varepsilon_0 \lambda)^{\frac{1}{2}}$ -neighborhoods of  $\theta$  and  $\omega$  respectively. Since we have chosen angles separated by at least  $(\frac{\varepsilon_0}{\lambda})^{\frac{1}{2}}$ , the supports are effectively disjoint on the dyadic shell  $|\xi| \sim \lambda$ , see Figure 3.

Evidently these hold in the flat case, we want to show these persist for the variable background.

**Lemma 5.5** (Sobolev trace extension-type estimate). *We effectively need to show the reverse Sobolev trace theorem*

$$\|T_{<\lambda}(\psi^{\theta,j} \cdot \delta(u_{\theta,j}))\|_{L^2 H^{\frac{n-1}{2}+}(\mathbb{R}^n)} \lesssim \lambda^{\frac{1}{2}} \|\psi^{\theta,j}\|_{H^{\frac{n-1}{2}+}(\mathbb{R}^{n-1})}. \quad (5.11)$$

*Proof.*

$$\left\| T_{<\lambda}(\psi(y') \delta(x_\theta - \tau(x'_\theta))) \right\|_{L_{x_\theta}^2 H_{x'_\theta}^{\frac{n-1}{2}+}(\mathbb{R}^n)} \lesssim \lambda^{\frac{1}{2}} \|\psi\|_{H^{\frac{n-1}{2}+}(\mathbb{R}^{n-1})}$$

$\square$

**Lemma 5.6** (Orthogonality at “good”  $t$ ). *Set*

$$\Phi := (\varepsilon_0 \lambda)^{\frac{1}{2} \frac{n-1}{2}} \lambda^{\frac{1}{2}-1} P_\lambda T_{<\lambda} \sum_{\theta,j} \psi^{\theta,j} \delta(u_{\theta,j}).$$

Suppose  $t \in [-2, 2]$  is a time such that  $\|\partial \mathbf{g}(t)\|_{C_x^{0,0+}} \leq \varepsilon_0$ , then

$$\|\Phi\|_{L_x^2}^2 \lesssim \sum_{\theta,j} \left\| \psi^{\theta,j} ((\varepsilon_0 \lambda)^{-\frac{1}{2}} x) \right\|_{H^{\frac{n-1}{2}+}(\mathbb{R}^{n-1})}^2 \quad (5.12)$$

eq:goodorthog

*Proof.* Decompose

$$\begin{aligned}\Phi &:= \sum_{\theta \in \Omega} \Phi_\theta, \\ \Phi_\theta &:= \mathsf{P}_\lambda \sum_j \mathfrak{v}^{\theta,j}, \\ \mathfrak{v}^{\theta,j} &:= (\varepsilon_0 \lambda)^{\frac{1}{2} \frac{n-1}{2}} \lambda^{\frac{1}{2}-1} \mathsf{T}_{<\lambda}(\psi^{\theta,j} \delta(u_{\theta,j})).\end{aligned}$$

Thanks to the finite-overlap property in physical space and the estimate (5.11), we have

$$\|\Phi_\theta\|_{L_{y_\theta}^2 H_{y_\theta}^{\frac{n-1}{2}+}(\mathbb{R}^n)}^2 \lesssim (\varepsilon_0 \lambda)^{\frac{n-1}{2}} \sum_j \|\psi^{\theta,j}((\varepsilon_0 \lambda)^{-\frac{1}{2}} x'_\theta)\|_{H^{\frac{n-1}{2}+}(\mathbb{R}^{n-1})}^2.$$

after rescaling.

By Plancharel's theorem,

$$\|\Phi(t)\|_{L_x^2}^2 \sim \int_{|\xi| \sim \lambda} \left| \sum_{\theta \in \Omega} \widehat{v}_\theta \right|^2 d\xi$$

□

**Lemma 5.7** (Orthogonality at “bad”  $t$ ). *Set*

$$\Phi := (\varepsilon_0 \lambda)^{\frac{1}{2} \frac{n-1}{2}} \lambda^{\frac{1}{2}-1} \mathsf{P}_\lambda \mathsf{T}_{<\lambda} \sum_{\theta,j} \psi^{\theta,j} \delta(u_{\theta,j}).$$

Suppose  $t \in [-2, 2]$  is a time such that  $\|\partial \mathbf{g}(t)\|_{C_x^{0,0+}} \geq \varepsilon_0$ . Then

$$\|\Phi(t)\|_{L_x^2}^2 \lesssim \left( \frac{1}{\varepsilon_0} \|\partial \mathbf{g}(t)\|_{C_x^{0,0+}} \right)^{\frac{n-1}{2}} \sum_{\theta,j} \|\psi^{\theta,j}\|_{H^{\frac{n-1}{2}+}(\mathbb{R}^{n-1})}^2. \quad (5.13)$$

*Proof.* Suppose  $\|\partial \mathbf{g}(t)\|_{C_x^{0,0+}} \geq \lambda$ , then the bound follows from Cauchy-Schwartz in  $\theta$ . Indeed, since there are  $O((\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}})$ -many angles,

$$|\Phi|^2 \lesssim (\varepsilon_0 \lambda)^{\frac{n-1}{2}} \lambda^{-1} \cdot \left( \frac{\lambda}{\varepsilon_0} \right)^{\frac{n-1}{2}} \sum_\theta \left| \mathsf{P}_\lambda \sum_j \mathsf{T}_{<\lambda}(\psi^{\theta,j} \delta(u_{\theta,j})) \right|^2,$$

then integrating and applying Bernstein,

$$\|\Phi\|_{L_x^2(\mathbb{R}^n)}^2 \lesssim \sum_\theta \lambda^{-1} \left\| \mathsf{P}_\lambda \sum_j \mathsf{T}_{<\lambda}(\psi^{\theta,j} \delta(u_{\theta,j})) \right\|_{L_x^2(\mathbb{R}^n)}^2 \lesssim \sum_{\theta,j} \|\psi^{\theta,j}\|_{L_{x_\theta}^2(\mathbb{R}^{n-1})}^2$$

□

*Proof of Proposition 5.1 (c) (energy bounds).* It immediately follows from the fixed-time orthogonality estimates (5.12)-(5.13)

$$\|\partial_x \mathsf{P}_\lambda \phi(t)\|_{L_x^2}^2 \lesssim \left( 1 + \left( \frac{1}{\varepsilon_0} \|\partial \mathbf{g}(t)\|_{C_x^{0,0+}} \right)^{\frac{n-1}{2}} \right) \sum_{\theta,j} |a_{\theta,j}|^2.$$

Integrating in time, we can control the right-hand side by the bootstrap  $\|\partial \mathbf{g}\|_{L_t^2 C_x^{0,0+}} \lesssim \varepsilon_0$  in dimensions  $n = 3, 4, 5$ , which yields the energy bound (5.3) for the spatial derivatives. We leave the time derivatives as an exercise. □

*Proof of Proposition 5.1 (d) (error bounds).* Summing the error decompositions (5.6) of each wave packet,

$$\square_{\mathbf{g}_{<\lambda}} \mathsf{P}_\lambda \phi = \mathcal{L}(\partial \mathbf{g}, \partial \widetilde{\mathsf{P}_\lambda \phi}) + (\varepsilon_0 \lambda)^{\frac{1}{2} \frac{n-1}{2}} \lambda^{\frac{1}{2}-1-1} \mathsf{P}_\lambda \mathsf{T}_{<\lambda} \sum_{\theta,j} a_{\theta,j} \sum_{k=0,1,2} \psi_k^{\theta,j} \delta^{(k)}(x_\theta - \tau_{\theta,j}),$$

where  $\tilde{\phi}$  is another superposition of wave packets with the same coefficients. Hölder's inequality and the energy bound (5.3) tell us that the first term on the right is harmless,

$$\|\mathcal{L}(\partial \mathbf{g}, \partial \widetilde{\mathcal{P}}_\lambda \tilde{\phi})\|_{L_t^1 L_x^2} \lesssim \|\partial \mathbf{g}\|_{L_t^2 L_x^\infty} \|\partial \tilde{\phi}\|_{L_t^\infty L_x^2} \lesssim \varepsilon_0 \left( \sum_{\theta,j} |a_{\theta,j}|^2 \right)^{\frac{1}{2}}.$$

Applying the fixed-time orthogonality estimates (5.12)-(5.13) to the remaining terms, setting

$$f(t) := (\varepsilon_0 \lambda)^{\frac{1}{2} \frac{n-1}{2}} \lambda^{\frac{1}{2}-1-1} \mathcal{P}_\lambda T_{<\lambda} \sum_{\theta,j} a_{\theta,j} \sum_{k=0,1,2} \psi_k^{\theta,j} \delta^{(k)}(x_\theta - \tau_{\theta,j})$$

then

$$\|f(t)\|_{L_x^2}^2 \lesssim \left( 1 + \left( \frac{1}{\varepsilon_0} \|\partial \mathbf{g}(t)\|_{C_x^{0,0+}} \right)^{\frac{n-1}{2}} \right) \sum_{\theta,j} |a_{\theta,j}|^2 \sum_{k=0,1,2} \lambda^{k-1} \|\psi_k^{\theta,j}((\varepsilon_0 \lambda)^{-\frac{1}{2}} x'_\theta)\|_{H^{\frac{n-1}{2}+}(\mathbb{R}^{n-1})}^2.$$

Applying Cauchy-Schwartz in time,

$$\begin{aligned} \|f\|_{L_t^1 L_x^2}^2 &\lesssim \left( \int_{-2}^2 1 + \left( \frac{1}{\varepsilon_0} \|\partial \mathbf{g}(t)\|_{C_x^{0,0+}} \right)^{\frac{n-1}{2}} dt \right) \\ &\quad \times \left( \int_{-2}^2 \sum_{\theta,j} |a_{\theta,j}|^2 \sum_{k=0,1,2} \lambda^{2(k-1)} \|\psi_k^{\theta,j}((\varepsilon_0 \lambda)^{-\frac{1}{2}} x'_\theta)\|_{H^{\frac{n-1}{2}+}(\mathbb{R}^{n-1})}^2 dt \right) \\ &\lesssim \varepsilon_0 \sum_{\theta,j} |a_{\theta,j}|^2, \end{aligned}$$

again using the  $L_t^2 C^{0,0+}$ -smallness of the metric and the error bounds (5.7).  $\square$

**5.3. Matching wave packets to initial data.** It remains to show Proposition 5.1 (a)-(b); put loosely, any initial data  $(\phi_0, \phi_1) \in (H^1 \times L^2)_x(\mathbb{R}^n)$  can be matched at time  $t = -2$  to a superposition of wave packets.

Maximal collection of  $\theta$ . We decompose

$$\phi[0] = \sum_{\theta \in \Omega} \phi^\theta[0],$$

where

$$\phi^\theta := \frac{1}{2} (\phi_0^\theta(x + t\theta) + u_0)$$

Approximate solution for  $\square_{\mathbf{g}_{<\lambda}}$ . Fourier transform trick,  $u_0^\omega$  compact support in frequency, take Fourier transform in  $x_\theta$ , then extend periodically the Fourier transform with period  $\lambda\theta$ ,

$$\widehat{\phi^\theta} = \sum_{k \in \mathbb{Z}}$$

## 6. DISPERSIVE ESTIMATES

The analysis in the previous sections tell us that the geometry of slabs is approximately that of Minkowski space. Thus, one can expect that the same harmonic analysis counting arguments used to prove Strichartz estimate hold in our setting.

**Proposition 6.1** (Strichartz estimate for wave packet parametrix). *Let  $\mathcal{T}$  be the collection of  $\lambda$ -scale wave packets, then*

$$\left\| \sum_{T \in \mathcal{T}} a_T \mathbf{w}^T \right\|_{L_t^2 L_x^\infty} \lesssim \lambda^{\frac{n-1}{2}} \lambda^{-1} \|a_T\|_{\ell_T^2}. \quad (6.1)$$

Here we use the standard harmonic analysis asymptotic notation  $A \lesssim B$ , i.e. the inequality holds up to logarithmic losses in  $\lambda$ . For our purposes, it will suffice  $A \lesssim_\varepsilon \lambda^\varepsilon B$  for any  $\varepsilon > 0$ . Our proof will proceed in two steps. First, we count the number of slabs containing any pair of points. This can be thought of as a dispersive decay-type estimate, considering data localised around a singular point, and estimating pointwise how the ensuing wave packets spread. Second, we discretise the Strichartz-type estimate and reduce it to counting.

**6.1. Dispersive decay.** Fix two points  $P_1 = (t_1, x_1)$  and  $P_2 = (t_2, x_2)$  in  $[-2, 2] \times \mathbb{R}^n$ . Our goal is to estimate

$$\#_\lambda(P_1, P_2) := \# \text{ of slabs at scale } \lambda \text{ containing } P_1 \text{ and } P_2.$$

**Proposition 6.2** (Dispersive decay). *The number of slabs at scale  $\lambda$  containing a pair of points  $P_1$  and  $P_2$  is bounded by*

$$\#_\lambda(P_1, P_2) \lesssim \left( \frac{\lambda}{\varepsilon_0} \right)^{\frac{n-1}{2}} (\lambda |t_1 - t_2|)^{-1}. \quad (6.2)$$

To this end, we introduce  $C_{P_1} \subseteq [-2, 2] \times \mathbb{R}^n$  the forward light cone starting from  $P_1$ , and let  $\gamma_\theta$  be the null geodesic contained in  $\Sigma_\theta$  starting from  $\gamma_\theta(t_1) = x_1$ . Denote  $q_\theta := \gamma_\theta(t_2)$ . Define

$$\text{dist}(x_2, C_{P_1}^{t_2}) = \inf_{\theta \in S^{n-1}} |x_2 - \gamma_\theta(t_2)|$$

which is the distance of  $x_2$  to the  $t_2$ -slice of the cone, and set

$$\delta u(P_1, P_2) := \sup_{\theta \in S^{n-1}} |u_\theta(P_2) - u_\theta(P_1)|.$$

These two are related as follows,

**Lemma 6.3** ( $\delta u$  is signed distance to cone). *The parameter  $\delta u$  is negative if  $P_2$  is inside the cone, positive in the exterior. Furthermore,  $\delta u \approx \text{dist}(x_2, C_1^{t_2})$ .*

*Proof.* See [ST05, Lemma 9.1]. □

**Lemma 6.4** (Characterisation of slabs containing two points). *Define then the set of angles*

$$A_\lambda := \left\{ \theta \in S^{n-1} : |u_\theta(P_2) - u_\theta(P_1)| \leq \lambda^{-1} \text{ and } |\gamma_\theta(t_2) - x_2| \leq (\varepsilon_0 \lambda)^{-\frac{1}{2}} \right\},$$

Then

$$\#_\lambda(P_1, P_2) \lesssim \# \text{ of } \left( \frac{\varepsilon_0}{\lambda} \right)^{\frac{1}{2}} \text{-balls covering } A_\lambda. \quad (6.3)$$

*Proof.* Recall that if a slab at scale  $\lambda$  in the direction  $\theta$  contains both points  $P_1$  and  $P_2$ , then the slab centered on  $\gamma_\theta$  of scale  $\lambda/4$  must also contain  $P_1$  and  $P_2$ . The result follows. □

$$u_\omega(t_2, q_2) - u_\omega(t_1, x_1) = -\frac{1}{2} |t_1 - t_2| \cdot |\omega - \theta|^2 + (\omega - \theta) \cdot \overrightarrow{q_\theta q_2} + \text{error}. \quad (6.4)$$

We now turn to the proof of Proposition 6.2.

*Proof of  $|t_1 - t_2| \leq 2\lambda^{-1}$  case.* In this case, the wave packets emanating from  $P_1$  have not had time to spread, so we are free to use the trivial bound

$$\#_\lambda(P_1, P_2) \lesssim \left( \frac{\lambda}{\varepsilon_0} \right)^{\frac{n-1}{2}} \lesssim \left( \frac{\lambda}{\varepsilon_0} \right)^{\frac{n-1}{2}} (\lambda |t_1 - t_2|)^{-1}.$$

□

*Proof of  $\delta u < -4\lambda^{-1}$  case.* In this case,

$$\#_\lambda(P_1, P_2) = 0.$$

□

*Proof of  $|\delta u| \leq 4\lambda^{-1}$  and  $|t_1 - t_2| > 2\lambda^{-1}$  case.*

$$\# \text{ of } \left( \frac{\varepsilon_0}{\lambda} \right)^{\frac{1}{2}} \text{-balls covering } A_\lambda \lesssim (\varepsilon_0 |t_1 - t_2|)^{-\frac{n-1}{2}},$$

which for  $n \geq 3$  is stronger than the desired bound. The result follows from (6.3). □

*Proof of  $\delta u \geq 4\lambda^{-1}$  and  $|t_1 - t_2| > 2\lambda^{-1}$  and  $2|t_1 - t_2| \geq \delta u$  case.* □

*Proof of  $\delta u \geq 4\lambda^{-1}$  and  $|t_1 - t_2| > 2\lambda^{-1}$  and  $2|t_1 - t_2| \leq \delta u$  case.* □

**6.2. Strichartz estimates.** Our proof of the dispersive estimate for the parametrix relies only on pointwise bounds on the wave packets, not their oscillation. That is, it will suffice to bound a superposition of wave packets pointwise by

$$\left| \sum_{T \in \mathcal{T}} a_T \mathbf{1}_T \right| \lesssim (\varepsilon_0 \lambda)^{\frac{1}{2} \frac{n-1}{2}} \lambda^{-\frac{1}{2}} \sum_{T \in \mathcal{T}} |a_T| \cdot \mathbf{1}_T,$$

which holds since wave packets have amplitude  $O((\varepsilon_0 \lambda)^{\frac{1}{2} \frac{n-1}{2}} \lambda^{-\frac{1}{2}})$ . Thus, to prove Strichartz for the wave packet parametrix (6.1), it suffices to prove that, for functions of the form

$$\phi := \sum_{T \in \mathcal{T}} a_T \mathbf{1}_T$$

we have the Strichartz-type bound

$$\|\phi\|_{L_t^2 L_x^\infty} \lesssim \left( \frac{\lambda}{\varepsilon_0} \right)^{\frac{1}{2} \frac{n-1}{2}} \lambda^{-\frac{1}{2}} \|a_T\|_{\ell_T^2} \quad (6.5) \quad \boxed{\text{eq:strichartz}}$$

By scaling, we may assume  $\|a_T\| \leq 1$ .

*Step 1: discretising the problem.* Dividing  $[0, 1]$  into  $O(\lambda)$ -many sub-intervals  $I_j$  of length  $2\lambda^{-1}$ , we can find points  $P_j = (t_j, x_j)$  nearly maximising  $|\phi|$  on each space-time region  $I_j \times \mathbb{R}^n$ . It follows that

$$\|\phi\|_{L_t^2 L_x^\infty} \lesssim \left( \sum_j \int_{I_j} \|\phi(t)\|_{L_x^\infty}^2 dt \right)^{\frac{1}{2}} \lesssim \left( \sum_j \lambda^{-1} |\phi(t_j, x_j)|^2 \right)^{\frac{1}{2}}.$$

After passing to an  $O(\lambda)$  subset of points, we can choose  $t_j$  to be  $\lambda^{-1}$ -separated and such that the inequality above continues to hold. Next, we dyadically decompose the sum over slabs  $T$  with respect to the size  $N^{-\frac{1}{2}}$  of the coefficients  $a_T$ , and similarly the sum over points  $P_j$  with respect to  $L$  the number of slabs containing them; we denote the number of such points by  $m(L)$ . It follows that

$$\begin{aligned} \|\phi\|_{L_t^2 L_x^\infty} &\lesssim \lambda^{-\frac{1}{2}} \sum_{\substack{L \in 2^{\mathbb{N}} \\ L \lesssim (\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}}}} \left( \sum_j \left| \sum_{\substack{N \in 2^{\mathbb{N}} \\ N \lesssim (\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}}}} \sum_{\substack{T \in \mathcal{T} : P_j \in T \\ |\alpha_T| \sim N^{-\frac{1}{2}}}} a_T \mathbf{1}_T(t_j, x_j) \right|^2 \right)^{\frac{1}{2}} \\ &\lesssim \lambda^{-\frac{1}{2}} \sum_{\substack{L \in 2^{\mathbb{N}} \\ L \lesssim (\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}}}} \left( \sum_j \left| \sum_{\substack{N \in 2^{\mathbb{N}} \\ N \lesssim (\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}}}} \sum_{\substack{T \in \mathcal{T} : P_j \in T \\ |\alpha_T| \sim N^{-\frac{1}{2}}}} a_T \mathbf{1}_T(t_j, x_j) \right|^2 \right)^{\frac{1}{2}} \\ &\lesssim \lambda^{-\frac{1}{2}} \sum_{\substack{L \in 2^{\mathbb{N}} \\ L \lesssim (\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}}}} \left( \sum_j \left| \sum_{\substack{N \in 2^{\mathbb{N}} \\ N \lesssim (\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}}}} LN^{-\frac{1}{2}} \right|^2 \right)^{\frac{1}{2}} \\ &\lesssim \lambda^{-\frac{1}{2}} \sum_{\substack{L \in 2^{\mathbb{N}} \\ L \lesssim (\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}}}} \sum_{\substack{N \in 2^{\mathbb{N}} \\ N \lesssim (\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}}}} \left( m(L) L^2 N^{-1} \right)^{\frac{1}{2}} \end{aligned}$$

In the above, we needed only to sum over a finite range of scales, since each point lies in  $O((\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}})$ -many slabs. This restricts us to a finite range of scales for  $L$ , and allows us to regard the contribution of slabs with small coefficients  $|a_T| \lesssim (\frac{\varepsilon_0}{\lambda})^{\frac{n-1}{2}}$  as  $O(1)$ . The dyadic sums are thus harmless, as they only contribute a logarithm. Therefore the Strichartz-type estimate (6.5) is reduced to

$$m(L) N^{-1} L^2 \lesssim \left( \frac{\lambda}{\varepsilon_0} \right)^{\frac{n-1}{2}}, \quad (6.6) \quad \boxed{\text{eq:counting}}$$

fixing  $N$  and  $L$  for the remainder of the argument.

*Step 2: counting argument (or Fubini's theorem).* We conclude with a counting argument. To summarise notation and introduce new ones,

$$\begin{aligned} N^{-\frac{1}{2}} &:= \text{size of coefficient}, \\ L &:= \# \text{ of slabs containing a point}, \\ m &:= \# \text{ of points intersecting } L\text{-many slabs}, \\ k &:= \# \text{ of pairs } (i, j) \text{ for which } P_i, P_j \text{ lie in a common slab w/ multiplicity}, \\ n(T) &:= \# \text{ of points in slab } T, \\ \mathcal{T}_N &:= \text{set of slabs with coefficients of size } a_T \sim N^{-\frac{1}{2}}. \end{aligned}$$

We count  $k$  in two different ways<sup>8</sup>: we could either fix a slab  $T$  with at least two points, and count the approximately  $\binom{n(T)}{2} \approx |n(T)|^2$  pairs; or we could fix a pair of points  $(P_i, P_j)$  and count the number of slabs containing both points, i.e.  $\#\lambda(P_i, P_j)$ ,

$$\begin{aligned} k &\approx \sum_{\substack{T \in \mathcal{T}_N \\ n(T) \geq 2}} |n(T)|^2 \\ &\approx \sum_{\substack{1 \leq i, j \leq m \\ i \neq j}} \#\lambda(P_i, P_j). \end{aligned} \tag{6.7} \quad \boxed{\text{eq:Kcounting}}$$

On the other hand, by counting in two different ways, namely fixing a slab and counting the points, or fixing a point and counting the slabs,

$$\sum_{T \in \mathcal{T}_N} n(T) \sim m \cdot L. \tag{6.8} \quad \boxed{\text{eq:totalpoint}}$$

*Step 3: establishing a dichotomy.* Partitioning the collection of slabs based on the size of their coefficients,  $\sum_T |a_T|^2 \sim \sum_N \sum_{T \in \mathcal{T}_N} N^{-1}$ , we see from the pigeonhole principle that the number of slabs with coefficients of size  $N^{-\frac{1}{2}}$  is of size

$$|\mathcal{T}_N| \lesssim N. \tag{6.9} \quad \boxed{\text{eq:slabcount}}$$

It follows from Cauchy-Schwartz in the slabs  $T$  and counting pairs (6.7) that

$$\sum_{\substack{T \in \mathcal{T}_N \\ n(T) \geq 2}} n(T) \lesssim N^{\frac{1}{2}} \left( \sum_{\substack{T \in \mathcal{T}_N \\ n(T) \geq 2}} |n(T)|^2 \right)^{\frac{1}{2}} \approx N^{\frac{1}{2}} k^{\frac{1}{2}}. \tag{6.10} \quad \boxed{\text{eq:CS-slabs}}$$

Our dichotomy will follow by considering two cases in the sum (6.8): one where the contribution from slabs with only a single point dominates, which allows us to estimate using the naive estimate on the number of slabs (6.9), or when the contribution from slabs with at least two points dominates, in which Cauchy-Schwartz (6.10) is more judicious,

(a) Either

$$\sum_{\substack{T \in \mathcal{T}_N \\ n(T) \geq 2}} n(T) \leq \sum_{\substack{T \in \mathcal{T}_N \\ n(T)=1}} n(T)$$

which, combined with (6.8) and counting the number of slabs (6.9), implies

$$\begin{aligned} m \cdot L &\approx \sum_{T \in \mathcal{T}_N} n(T) \\ &\approx \sum_{\substack{T \in \mathcal{T}_N \\ n(T)=1}} n(T) \lesssim \sum_{\substack{T \in \mathcal{T}_N \\ n(T)=1}} 1 \lesssim |\mathcal{T}_N| \lesssim N. \end{aligned}$$

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<sup>8</sup>Otherwise known as Fubini's theorem.

(b) Or

$$\sum_{\substack{T \in \mathcal{T}_N \\ n(T) \geq 2}} n(T) \geq \sum_{\substack{T \in \mathcal{T}_N \\ n(T)=1}} n(T),$$

so by (6.8), Cauchy-Schwartz (6.10), we have

$$\begin{aligned} m \cdot L &\approx \sum_{T \in \mathcal{T}_N} n(T) \\ &\approx \sum_{\substack{T \in \mathcal{T}_N \\ n(T) \geq 2}} n(T) \lesssim N^{\frac{1}{2}} k^{\frac{1}{2}}. \end{aligned}$$

Rearranging gives

$$k \gtrsim m^2 N^{-1} L^2.$$

*Step 4: concluding the argument.* Proceeding from the conclusions of the dichotomy,

(a)  $N \gtrsim mL$ ; in this case,

$$mN^{-1}L^2 \lesssim L,$$

so (6.6) follows from the trivial bound  $O((\frac{\lambda}{\varepsilon_0})^{\frac{n-1}{2}})$  on the number of slabs.

(b)  $k \gtrsim m^2 N^{-1} L^2$ ; then, counting  $k$  by the number of slabs intersecting two points (6.7), using the “dispersive decay” estimate (6.2), and also the  $\lambda^{-1}$ -separation of  $t_j$ , we have

$$\begin{aligned} mN^{-1}L^2 &\lesssim m^{-1}k \\ &\lesssim m^{-1} \sum_{\substack{1 \leq i, j \leq m \\ i \neq j}} \#_\lambda(P_i, P_j) \\ &\lesssim \left(\frac{\lambda}{\varepsilon_0}\right)^{\frac{n-1}{2}} m^{-1} \sum_{\substack{1 \leq i, j \leq m \\ i \neq j}} (\lambda |t_i - t_j|)^{-1} \lesssim \left(\frac{\lambda}{\varepsilon_0}\right)^{\frac{n-1}{2}}, \end{aligned}$$

which concludes (6.5).

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