

A PDE proof of the Riemannian Penrose inequality

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joint work with

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► **LINEAR** potential theory: $\Delta u = 0$

(M, g) complete noncompact
3-Riemannian manifold

- $\mathbb{R}^3 \rightsquigarrow$ Willmore inequality [A.-Mazzieri, 2016]

$$16\pi \leq \int_{\partial\Omega} H^2 d\sigma$$

- $\text{Ric} \geq 0 \rightsquigarrow$ generalised Willmore inequality [A.-Fogagnolo-Mazzieri, 2018]

$$16\pi \text{AVR}(g) \leq \int_{\partial\Omega} H^2 d\sigma$$

- $R \geq 0 \rightsquigarrow$ PMT [A.-Mazzieri-Oronzio, 2021]

$$0 \leq m_{\text{ADM}}(M, g)$$

► **NONLINEAR** potential theory: $\Delta_p u = 0$

- $\mathbb{R}^3 \rightsquigarrow$ Mink. ineq. for Ω out. min. [A.-Fogagnolo-Mazzieri, 2019]

$$\sqrt{16\pi|\partial\Omega|} \leq \int_{\partial\Omega} H d\sigma \quad \leftarrow \quad 2^{p+2}\pi C_p(\Omega)^{\frac{2-p}{2}} \leq \int_{\partial\Omega} |H|^p d\sigma$$

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- $R \geq 0 \rightsquigarrow$ RPI [A.-Mantegazza-Mazzieri-Oronzio, 2022]

$$\sqrt{\frac{|\partial M|}{16\pi}} \leq m_{\text{ADM}}(M, g) \quad \leftarrow \quad \frac{1}{2} C_p(\partial M)^{\frac{2-p}{2}} \leq m_{\text{Kou}}(M, g)$$

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summary:

- nonlinear potential in (M, g) , with $\partial M \neq \emptyset$
- monotonicity result
- RPI
- sketches of the proof of RPI and of the monotonicity

(M, g) complete, noncompact, 3-Riem. mfld, ∂M smooth and compact

$$\begin{cases} \Delta_p u \stackrel{1}{=} 0 & \text{in } M \\ u = 0 & \text{on } \partial M \\ u \rightarrow 1 & \text{at } \infty \end{cases} \quad (\text{P})$$

- ▶ range of u
- ▶ regularity
- ▶ critical points

A ${}^1\Delta_p u := \operatorname{div}(|Du|^{p-2}Du) = 0 \iff \int_{\Omega} \langle |Du|^{p-2}Du, D\psi \rangle d\mu = 0$, for every $\psi \in C_c^\infty(M)$

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► quantity $\mathcal{E}_p(t) := 4\pi t - \frac{t^{\frac{2}{p-1}}}{c_p} \int_{\{u=\alpha_p(t)\}} |Du| \, \mathbb{H} \, d\sigma + \frac{t^{\frac{5-p}{p-1}}}{c_p^2} \int_{\{u=\alpha_p(t)\}} |Du|^2 \, d\sigma$

$$c_p = \frac{(p-1)}{2} C_p^{\frac{1}{p-1}} \quad \alpha_p(t) = 1 - \left(\frac{t_p}{t}\right)^{\frac{3-p}{p-1}}$$

defined for every $t \geq t_p := ((p-1)/(3-p)c_p)^{(p-1)/(3-p)}$ such that $\alpha_p(t)$ is regular

► if $p = 2$, then $c_2 = 1$ and

$$\mathcal{E}_2(t) = \mathcal{E}(t) := 4\pi t - t^2 \int_{\{u=1-\frac{1}{t}\}} |Du| \, \mathbb{H} \, d\sigma + t^3 \int_{\{u=1-\frac{1}{t}\}} |Du|^2 \, d\sigma$$

A

$${}^2 C_p := \inf \left\{ \left(\frac{p-1}{3-p}\right)^{p-1} \frac{1}{4\pi} \int_M |Dw|^p \, d\mu : w \in C_c^\infty(M), w \equiv 1 \text{ on } \partial M \right\}$$

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Theorem [A.-Mantegazza-Mazzieri-Oronzio, 2022]:

$R \geq 0$ & ∂M connected & $H_2(M, \partial M; \mathbb{Z}) = \{0\}$ & \exists sln u to pb (P)



$$\left. \begin{array}{l} s \leq t \\ \alpha_p(s), \alpha_p(t) \text{ reg. values} \end{array} \right\} \implies \mathcal{E}_p(s) \leq \mathcal{E}_p(t)$$

comment: $H_2(M; \mathbb{Z}) = \{0\} \Rightarrow$ every regular level set of u is connected

Indeed:

- suppose $\{u = \tau\}$ regular $= \Sigma' \sqcup \Sigma''$
- $H_2(M; \mathbb{Z}) = \{0\} \Rightarrow \begin{cases} \Sigma' = \partial\Omega' \\ \Sigma'' = \partial\Omega'' \end{cases}$
- Strong maximum principle

$\Rightarrow o \in \Omega' \cap \Omega'' \Rightarrow \Omega' \subset\subset \Omega'' \Rightarrow o \in \Omega' \subset\subset \Omega'' \Rightarrow u \equiv \text{const. in } \bar{\Omega}'' \setminus \Omega' : \text{imp.}!$

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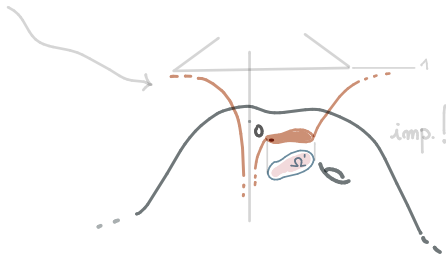
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TIME SYMMETRIC CASE & CONNECTED HORIZON

$\Lambda = 0$ **Theorem [Huisken-Ilmanen, 2001]:** (M, g) complete noncompact 3-mfld.

(i) $R \geq 0$

(ii) (M, g) is A. F.

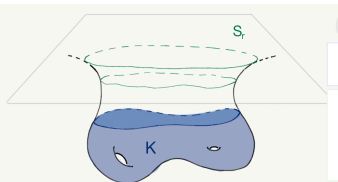
(iii) ∂M outermost minimal

\implies

$$m_{\text{ADM}}(M, g) \geq \sqrt{\frac{|\partial M|}{16\pi}}$$

▶ “=” holds iff

$$(M, g) \cong \left([2m, +\infty) \times S^2, \frac{dr \otimes dr}{1 - \frac{2m}{r}} + r^2 g_{S^2} \right)$$



(M, g) complete noncompact 3-Riem. mfd. is A. F. if

- $M \setminus K$ diffeo $\mathbb{R}^3 \setminus \bar{B}$
- $g_{ij}(x) = \delta_{ij} + O_2(|x|^{-\tau})$, $\tau > 1/2$

$$m_{\text{ADM}}(M, g) = \lim_{r \rightarrow +\infty} \frac{1}{16\pi} \int_{S_r} \sum_{i,k=1}^n \left(\frac{\partial g_{ik}}{\partial x^k} - \frac{\partial g_{kk}}{\partial x^i} \right) \nu^i d\sigma$$

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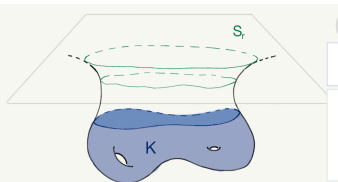
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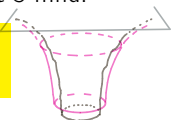
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Geometry of the spatial Schwarzschild metric:



$$M = [2m, +\infty) \times \mathbb{S}^2, \quad g = \frac{dr \otimes dr}{1 - \frac{2m}{r}} + r^2 g_{\mathbb{S}^2}, \quad u = \sqrt{1 - \frac{2m}{r}},$$

- the Ricci curvature of (M, g) is given by

$$\text{Ric} = -\frac{2m}{r^3} \frac{dr \otimes dr}{\left(1 - \frac{2m}{r}\right)} + \frac{m}{r} g_{\mathbb{S}^2};$$

static s.l.u

- the scalar curvature of (M, g) is

$$R = 0;$$

- the coordinate spheres S_r are totally umbilic surfaces with

$$h_{ij} = \frac{1}{r} \sqrt{1 - \frac{2m}{r}} g_{ij}$$

and constant mean curvature

$$H = \frac{2}{r} \sqrt{1 - \frac{2m}{r}}$$

simplistic physical facts on m

Newtonian theory of gravity

- $V: \mathbb{R}^3 \rightarrow \mathbb{R}$ gravitational potential
- $\rho: \mathbb{R}^3 \rightarrow \mathbb{R}$ mass density $\begin{cases} \Delta V = 4\pi\rho, & \text{in } \mathbb{R}^3 \\ V \rightarrow 0 & \text{at } \infty \end{cases}$

$$\Rightarrow \int_{\mathbb{R}^3} \rho d\mu = \frac{1}{4\pi} \lim_{r \rightarrow +\infty} \int_{S_r} \frac{\partial V}{\partial r} d\sigma = \frac{1}{4\pi} \lim_{r \rightarrow +\infty} \int_{S_r} \left(\frac{m}{r^2} + O(r^{-1}) \right) d\sigma = m$$

General relativity

- (M, g) complete 3D mflD = time-snapshot of an isolated gravitational system
- $\rho: \mathbb{R}^3 \rightarrow \mathbb{R}$ mass density $\begin{cases} R_g = 16\pi\rho, & \text{in } M \\ (M, g) \text{ A.F.} \end{cases}$

$$m := \frac{1}{16\pi} \int_M dR_{\bar{g}}[g - \bar{g}] d\mu = \frac{1}{16\pi} \lim_{r \rightarrow +\infty} \int_{S_r} \langle -\bar{D}\bar{\text{tr}}g + \bar{\text{div}}g, \bar{\nu} \rangle d\sigma = \frac{1}{16\pi} \lim_{r \rightarrow +\infty} \int_{S_r} \left(\frac{\partial g_{ij}}{\partial x^i} - \frac{\partial g_{ji}}{\partial x^j} \right) \nu^j d\sigma$$

~~$\int_{\mathbb{R}^3} \rho d\mu = m$~~

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$\Lambda = 0$ **Theorem [Huisken-Ilmanen, 2001]:** (M, g) complete noncompact 3-mfld.

(i) $R \geq 0$

(ii) (M, g) is A. F.

(iii) ∂M outermost minimal

\implies

▶ $m_{\text{ADM}}(M, g) \geq \sqrt{\frac{|\partial M|}{16\pi}}$

▶ “=” holds iff

$$(M, g) \cong \left([r_m, +\infty) \times S^2, \frac{dr \otimes dr}{1 - \frac{2m}{r}} + r^2 g_{S^2} \right)$$

$\Lambda < 0$ **Theorem [Lee-Neves, 2015]:** (M, g) complete noncompact 3-mfld.

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(iii) ∂M outermost minimal \implies
 $\cong \partial M_\infty$

(iv) $m(M, g) \leq 0$

▶ $m(M, g) \geq \frac{1}{\gamma} \left[1 - g(\partial M) + \frac{|\partial M|}{4\pi} \right] \sqrt{\frac{|\partial M|}{16\pi}}$

$$\gamma := \left(\max\{1, g(\partial M) - 1\} \right)^{3/2}$$

▶ “=” holds iff

$$(M, g) \cong \left([r_{m,k}, +\infty) \times \Sigma_k, \frac{dr \otimes dr}{k + r^2 - \frac{2m}{r}} + r^2 g_{\Sigma_k} \right)$$

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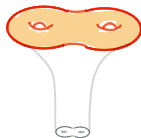
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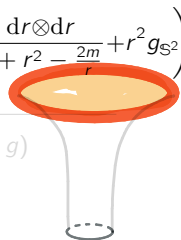
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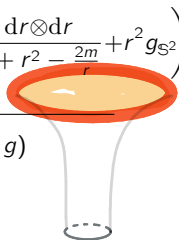
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sketch of our proof of RPI:

$$\Sigma_t := \{u = \alpha_\rho(t)\}$$

- $$\mathcal{E}_\rho(t) := 4\pi t - t^{\frac{2}{p-1}} c_\rho^{-1} \int_{\Sigma_t} |Du| H d\sigma + t^{\frac{5-p}{p-1}} c_\rho^{-2} \int_{\Sigma_t} |Du|^2 d\sigma$$

- $$s \leq t \implies \mathcal{E}_\rho(s) \leq \mathcal{E}_\rho(t)$$

- $$\partial M \text{ is minimal} \implies \mathcal{E}_\rho(t_p) = 4\pi t_p + \frac{t_p^{\frac{5-p}{p-1}}}{c_\rho^2} \int_{\partial M} |Du|^2 d\sigma \geq 4\pi t_p$$

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$$\implies \lim_{t \rightarrow +\infty} \mathcal{E}_\rho(t) \leq 8\pi m_{\text{ADM}}(M, g)$$

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(M, g) complete, noncompact, 3-Riem. mfld, ∂M smooth and compact

$$\begin{cases} \Delta_p u = 0 & \text{in } M \\ u = 0 & \text{on } \partial M \\ u \rightarrow 1 & \text{at } \infty \end{cases}$$

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Theorem [A.-Mantegazza-Mazzieri-Oronzio, 2022]:

$R \geq 0$ & ∂M connected & $H_2(M, \partial M; \mathbb{Z}) = \{0\}$ & \exists sln u to pb (P)



$$\left. \begin{array}{l} s \leq t \\ \alpha_p(s), \alpha_p(t) \text{ reg. values} \end{array} \right\} \implies \mathcal{E}_p(s) \leq \mathcal{E}_p(t)$$

idea of the proof:

- {critical values} = \emptyset

$$\begin{aligned} \mathcal{E}'_p(t) = & 4\pi - \int_{\{u=\alpha_p(t)\}} \frac{R^{\Sigma_t}}{2} d\sigma \\ & + \int_{\{u=\alpha_p(t)\}} \left\{ \frac{|D^{\Sigma_t} |Du||^2}{|Du|} + |\dot{h}|^2 + \frac{R}{2} + \left(\frac{5-p}{p-1} \right) \left[\frac{H}{2} - \left(\frac{p-1}{3-p} \right) \frac{|Du|}{1-u} \right]^2 \right\} d\sigma \end{aligned}$$

{critical values} = \emptyset :

$$\begin{aligned}
 \mathcal{E}'_2(\tau) &= \frac{d}{dt} \left(4\pi t - t^2 \int_{\{u=1-\frac{1}{t}\}} |Du| H \, d\sigma + t^3 \int_{\{u=1-\frac{1}{t}\}} |Du|^2 \, d\sigma \right) \\
 &= 4\pi \\
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- $[1, +\infty) \ni t \mapsto \mathcal{E}_2(t) := 4\pi t - t^2 \int_{\{u=1-\frac{1}{t}\}} |Du| \, \mathbf{H} \, d\sigma + t^3 \int_{\{u=1-\frac{1}{t}\}} |Du|^2 \, d\sigma$

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- now if $\{1 - 1/s < u < 1 - 1/t\} \cap \text{Crit}(u) \neq \emptyset$, then we define $Y_k := \eta_k \left(\frac{|Du|}{1-u} \right) Y$

$$\Rightarrow \text{div}(Y_k) = \eta_k P + \eta_k D + \eta'_k \left(\frac{|Du|}{1-u} \right) \left| D|Du| + \frac{|Du|}{1-u} Du \right|^2$$

$$\begin{aligned} \Rightarrow \mathcal{E}(t) - \mathcal{E}(s) &= 4\pi(t-s) + \int_{\{1-1/s < u < 1-1/t\}} \text{div} Y_k d\mu \\ &\geq 4\pi(t-s) + \int_{\{1-1/s < u < 1-1/t\}} \{\eta_k P + \eta_k D\} d\mu \\ &\xrightarrow{k \rightarrow +\infty} 4\pi(t-s) + \int_{\{1-1/s < u < 1-1/t\}} \mathbb{1}_{M \setminus \text{Crit}(u)} \text{div} Y d\mu \geq 0 \end{aligned}$$

$$|\{\text{critical values}\}| = 0$$

$$\mathcal{E}_2(t) = 4\pi t + \int_{\{u=1-\frac{1}{t}\}} \left\langle Y, \frac{Du}{|Du|} \right\rangle d\sigma, \quad Y := \frac{D|Du|}{(1-u)^2} + \frac{|Du|}{(1-u)^3} Du$$

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idea of the proof:

- $\{\text{critical values}\} = \emptyset$

$$\begin{aligned} \mathcal{E}'_\rho(t) = 4\pi - \int_{\{u=\alpha_\rho(t)\}} \frac{R^{\Sigma_t}}{2} d\sigma \\ + \int_{\{u=\alpha_\rho(t)\}} \left\{ \frac{|D^{\Sigma_t} Du|^2}{|Du|} + |\dot{h}|^2 + \frac{R}{2} + \left(\frac{5-p}{p-1}\right) \left[\frac{H}{2} - \left(\frac{p-1}{3-p}\right) \frac{|Du|}{1-u} \right]^2 \right\} d\sigma \end{aligned}$$

- $|\{\text{critical values}\}| = 0$

- $|\{\text{critical values}\}| > 0$

- ▶ for $0 < T < 1$, $M_T := \{0 \leq u \leq T\}$, $|\cdot| := \sqrt{|\cdot|^2 + \varepsilon}$

$$\begin{cases} \operatorname{div}(|Dv|_\varepsilon^{p-2} Dv) = 0 & \text{in } M_T \\ v = 0 & \text{on } \partial M \\ v = T & \text{on } \{u_\rho = T\} \end{cases}$$

- ▶ the solution u^ε is smooth

$$\mathcal{E}_\rho^\varepsilon(t) := 4\pi t - \frac{t^{\frac{2}{p-1}}}{C_{\rho,\varepsilon}} \int_{\{u=\alpha_\rho^\varepsilon(t)\}} |Du| H d\sigma + \frac{t^{\frac{5-p}{p-1}}}{C_{\rho,\varepsilon}^2} \int_{\{u=\alpha_\rho^\varepsilon(t)\}} |Du|^2 d\sigma$$

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- ▶ $\mathcal{E}_\rho^\varepsilon(t) \rightarrow \mathcal{E}_\rho(t)$, as $\varepsilon \rightarrow 0^+$

- ▶ suppose by contradiction that $s < t$ and $\mathcal{E}_\rho(t) < \mathcal{E}_\rho(s)$, then

$$0 > -\delta \geq \mathcal{E}_\rho^\varepsilon(t) - \mathcal{E}_\rho^\varepsilon(s) \geq -\frac{\varepsilon}{6} \left(\frac{p+1}{p-1}\right)^2 \int_{\{\alpha_\rho^\varepsilon(s) < u^\varepsilon < \alpha_\rho^\varepsilon(t)\}} \frac{C_{\rho,\varepsilon}^{\frac{p-1}{3-p}} |Du^\varepsilon|^2}{\left[\frac{3-p}{p-1} (1-u^\varepsilon)\right]^{\frac{p-1}{3-p}+3}} d\mu$$

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