

1. "Crash course" review of compact operators
2.  $G$  compact iff  $f$  asymptotically conformal

# Quasidisk geometry and the Grunsky operator (continued)

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## Philosophy/big picture

$$f \in \Sigma, f(z) = z + a_0 + a_1 z^{-1} + \dots, z \rightarrow \infty$$

$$\log \frac{f(z) - f(\zeta)}{z - \zeta} = - \sum_{m,n=1}^{\infty} b_{mn} z^{-m} \zeta^{-n}$$

These Grunsky coefficients  $(b_{mn})_{m,n=1}^{\infty}$  give rise to the natural operator

$$x = (x_m)_{m=1}^{\infty} \mapsto Gx := \left( \sum_{n=1}^{\infty} \sqrt{mn} b_{mn} x_n \right)_{m=1}^{\infty}$$

I.e. "matrix multiplication" of the infinite, symmetric matrix  $(\sqrt{mn} b_{mn})_{m,n=1}^{\infty}$  by the infinite column vector  $(x_m)_{m=1}^{\infty} \in \ell^2$ .

## Philosophy/big picture

We continue to explore the idea of how the geometry of  $E := \mathbb{C} \setminus f(\mathbb{D}^*)$  translates into operator-theoretic properties of the Grunsky operator, working "in coordinates" ( $b_{mn}$ ).

We've already seen:

- ▶ Peter:  $G$  is unitary iff  $\text{Area}(E) = 0$  (both directions hold).  $G$  is a strict contraction  $\|Gx\| < \|x\|$  iff  $\text{Area}(E) > 0$ .
- ▶ Steffen:  $\|G\| < 1$  iff  $E$  is a quasidisk.

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- ▶ Steffen:  $\|G\| < 1$  iff  $E$  is a quasidisk.
- ▶ Our goal:

### Theorem (Shen, TT)

*$G$  is a compact operator iff  $E$  is an asymptotically-conformal quasidisk.*

## A more abstract formulation:

Note we have a map

$$\mathcal{G} : \Sigma \rightarrow \overline{B_1(\mathcal{B}(\ell^2))}.$$

Now,

$$\log \frac{f(z) - f(\zeta)}{z - \zeta} = \log \frac{g(z) - g(\zeta)}{z - \zeta} \Leftrightarrow f(z) = g(z) + c,$$

so let's mod out by translation at  $\infty$  to make  $\mathcal{G}$  injective:

$$\Sigma_0 = \{ f \in \Sigma : f(z) = z + a_1/z + \dots, z \rightarrow \infty \},$$

Then,  $\mathcal{G} : \Sigma_0 \hookrightarrow \overline{B_1(\mathcal{B}(\ell^2))}$ .

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Restricting the domain to  $\bigcup_{\kappa < 1} \Sigma_0(\kappa) = T(1)$  puts us in the realm of Teichmüller theory. TT considered this "period mapping"

$$\hat{\mathcal{P}} : T(1) \hookrightarrow B_1(\mathcal{B}(\ell^2))$$

and showed

**Theorem (TT (Appendix B), Shen)**

*$\hat{\mathcal{P}}$  is a holomorphic inclusion of Banach manifolds.*

See Shen's paper for details on what this means and a fairly simple proof (which uses some Teichmüller machinery).

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Stated in this framework, our desired theorem becomes

$$\hat{\mathcal{P}}^{-1}(\mathcal{C}(\ell^2)) = \text{Asymptotically-conformal quasidisks} / \sim$$

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As an aside, an interesting (and open?) question: characterize the range of

$$\hat{\mathcal{P}} : T(1) \rightarrow B_1(\mathcal{B}(\ell^2))$$

(Perhaps answering our question if  $\|G\| = \kappa \Leftrightarrow f$  is  $\frac{1+\kappa}{1-\kappa}$ -QC would help.)



# Overview

1. “Crash course” review of compact operators
2.  $G$  compact iff  $f$  asymptotically conformal

## Bounded operators

Let  $A, B$  be normed vector spaces,  $T : A \rightarrow B$  a linear map. Recall:

- ▶  $T$  is *bounded* if there exists  $M \geq 0$  such that  $\|Tx\| \leq M\|x\|$  for all  $x \in A$ .
- ▶ The *operator norm* of  $T$  is  $\|T\| := \sup\{\|Tx\| : \|x\| = 1\}$
- ▶ Note  $\|Tx\| \leq \|T\|\|x\|$  for all  $x \in A$ .
- ▶ Boundedness of  $T$  is equivalent to continuity of  $T$ .
- ▶  $\mathcal{B}(A, B) := \{T : A \rightarrow B : T \text{ linear, bounded}\}$  is itself a normed vector space, and, if  $B$  is Banach, so is  $\mathcal{B}(A, B)$ .  
 $\mathcal{B}(A) := \mathcal{B}(A, A)$ .

## Compact operators

$T : A \rightarrow B$  is *compact* if the image  $(Tx_n)$  of any bounded sequence  $(x_n)$  in  $A$  has a convergent subsequence.

- ▶ Equivalently, the image  $T(B_1) \subset B$  of the unit ball  $B_1 \subset A$  is pre-compact (we're in a metric space, so compactness  $\Leftrightarrow$  sequential compactness).
- ▶ Note that if  $T$  is compact, then  $T$  is bounded.
  - ▶ Otherwise, find a sequence  $(x_n)$  with  $\|x_n\| = 1$  such that  $\|T(x_n)\| \rightarrow \infty$ . Contradicts subsequential convergence.

## Compact operators: examples

Let's build our intuition with several simple examples.

1.  $T \in \mathcal{B}(A, B)$  with finite rank is compact.
  - ▶ Suppose  $T(A) \subset F$ , a finite-dimensional subspace.
  - ▶ Closed, bounded sets are compact in  $F$ , since they are in Euclidean spaces, and any two norms on a finite-dimensional normed space are equivalent.
  - ▶ Now,  $(x_n)$  bounded  $\Rightarrow (Tx_n)$  bounded, and the closure of  $(Tx_n)$  is compact.
  - ▶ In particular, all linear operators on finite-dimensional vector spaces (matrices) are compact.

## Compact operators: examples

2. The identity map  $I : H \rightarrow H$  on a infinite-dimensional Hilbert space is not compact. (The unit ball in  $H$  is not pre-compact: the sequence of basis vectors  $(e_n)$  has no Cauchy subsequence.)

## Compact operators: examples

2. The identity map  $I : H \rightarrow H$  on an infinite-dimensional Hilbert space is not compact. (The unit ball in  $H$  is not pre-compact: the sequence of basis vectors  $(e_n)$  has no Cauchy subsequence.)
3.  $T \in \mathcal{B}(H)$ ,  $T = \text{diag}(\lambda_1, \lambda_2, \dots)$ , i.e.

$$T(e_n) = \lambda_n e_n$$

for a basis  $(e_n)$  for  $H$ . Then  $T$  is compact iff  $\lambda_n \rightarrow 0$ .

- ▶ Hint for  $\Leftarrow$ : Use truncation operators  $T_N(\sum_{n=1}^{\infty} \alpha_n e_n) := \sum_{n=1}^N \alpha_n \lambda_n e_n$ .  $T_N$  compact, argue  $\|T_N - T\| \rightarrow 0$ , and use the next theorem.

# Compact operators

$$\mathcal{C}(A, B) := \{T \in \mathcal{B}(A, B) : T \text{ compact}\}.$$

## Theorem

*If  $A$  and  $B$  are Banach,  $\mathcal{C}(A, B)$  is a closed subspace of  $\mathcal{B}(A, B)$  with respect to the operator topology.*

*Proof sketch:* Easy to see  $\mathcal{C}(A, B)$  is a subspace. Closed?  
Diagonalization +  $\epsilon/3$  argument.

## Diagonalization argument

We have  $(T_n)$  compact,  $\|T_n - T\| \rightarrow 0$ .

Let  $(x_n) \subset A$  with  $\|x_n\| \leq M$ . We want to find  $(x_{n_k}) \subset (x_n)$  such that  $(Tx_{n_k})$  converges.

- ▶ Extract a subsequence  $(x_n^1) \subset (x_n)$  for which  $(T_1x_n^1)$  converges.
- ▶ Extract a further subsequence  $(x_n^2) \subset (x_n^1)$  for which  $(T_2x_n^2)$  converges.
- ▶ Continue in this manner. Then the "diagonal" sequence  $(x_n^n)$  is such that  $(T_mx_n^n)_{n=1}^\infty$  converges for every  $m$ .

Show  $(Tx_n^n)$  converges.



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## $\epsilon/3$ argument

$$\begin{aligned}\|Tx_n^n - Tx_m^m\| &\leq \|(T - T_p)x_n^n\| + \|T_px_n^n - T_px_m^m\| + \|(T - T_p)x_m^m\| \\ &\leq \|T - T_p\| M + \|T_px_n^n - T_px_m^m\| + \|T - T_p\| M \\ &< \frac{\epsilon}{3} + \frac{\epsilon}{3} + \frac{\epsilon}{3}\end{aligned}$$

for all  $n, m > N = N(p)$ . □

## A last observation: $T^*T$

- ▶ Note that  $\mathcal{C}(A)$  is a two-sided ideal of  $\mathcal{B}(A)$ : For  $T \in \mathcal{C}(A)$  and  $S \in \mathcal{B}(A)$ ,

$$\begin{aligned}Tx_{n_k} \rightarrow y &\Rightarrow STx_{n_k} \rightarrow Sy, \\ \|x_n\| \leq M &\Rightarrow \|Sx_n\| \leq \|S\| \|x_n\| = M'.\end{aligned}$$

So both  $ST, TS \in \mathcal{C}(A)$ .

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So both  $ST, TS \in \mathcal{C}(A)$ .

- ▶ In particular,  $T \in \mathcal{C}(A) \Rightarrow T^*T \in \mathcal{C}(A)$ . Thus  $T^*T$  is a compact, self-adjoint operator. For  $T \in \mathcal{C}(H)$ , a separable Hilbert space, the *spectral theorem* for such operators states that there exists a complete orthonormal sequence  $(e_n)$  such that  $T^*Te_n = \lambda_n e_n$ .
  - ▶ Note  $\lambda_n \rightarrow 0$ .

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## 2. $G$ compact iff $f$ asymptotically conformal

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*Asymptotic conformality* is any of the following equivalent properties:

**Theorem (Becker-Pommerenke '78, Gardiner-Sullivan '92)**

Let  $f \in \Sigma$  such that  $E = \mathbb{C} \setminus f(\mathbb{D}^*)$  is a Jordan domain. TFAE:

1.  $f(\mathbb{S}^1)$  is a Jordan curve  $J \subset \mathbb{C}$  satisfying

$$\max_{w \in J(a,b)} \frac{|a-w| + |w-b|}{|a-b|} \rightarrow 1 \quad \text{as } a, b \in J, |a-b| \rightarrow 0,$$

where  $J(a,b)$  is the arc of  $J$  of smaller diameter between  $a$  and  $b$ .

## 2. $G$ compact iff $f$ asymptotically conformal

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where  $J(a,b)$  is the arc of  $J$  of smaller diameter between  $a$  and  $b$ .

2. The welding homeomorphism  $\varphi : \mathbb{S}^1 \rightarrow \mathbb{S}^1$  of  $f(\mathbb{S}^1)$  is "symmetric," i.e. its lift  $\hat{\varphi} : \mathbb{R} \rightarrow \mathbb{R}$  defined via  $\varphi(e^{2\pi i x}) = e^{2\pi i \hat{\varphi}(x)}$  satisfies

$$\lim_{t \rightarrow 0} \frac{\hat{\varphi}(x+t) - \hat{\varphi}(x)}{\hat{\varphi}(x) - \hat{\varphi}(x-t)} = 1 \quad \text{uniformly in } x \in \mathbb{R}$$

## Theorem (asymptotic conformality equivalences, cont)

3.  $(1 - |z|^2) \frac{f''(z)}{f'(z)} \rightarrow 0$  as  $|z| \rightarrow 1^+$ .
4.  $(1 - |z|^2)^2 S(f)(z) \rightarrow 0$  as  $|z| \rightarrow 1^+$ .
5.  $f \in \bigcup_{\kappa < 1} \Sigma(\kappa)$  where  $\mu := \bar{\partial}f / \partial f$  satisfies  $\mu(z) \rightarrow 0$  as  $|z| \rightarrow 1^-$ .

## Lemma: Grunsky coefficients and the Schwarzian

$$\log \frac{f(z) - f(\zeta)}{z - \zeta} = - \sum_{m,n=1}^{\infty} b_{mn} z^{-m} \zeta^{-n},$$

and so

$$\begin{aligned} \frac{\partial^2}{\partial z \partial \zeta} \log \frac{f(z) - f(\zeta)}{z - \zeta} &= \frac{f'(z)f'(\zeta)}{(f(z) - f(\zeta))^2} - \frac{1}{(z - \zeta)^2} \\ &= - \sum_{m,n=1}^{\infty} mn b_{mn} z^{-m-1} \zeta^{-n-1}. \end{aligned}$$

Now let  $\zeta \rightarrow z$ . Taylor expand  $f(\zeta)$  and  $f'(\zeta)$  at  $\zeta = z$ , and be careful. You get:



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## Lemma: Grunsky coefficients and the Schwarzian

Lemma

$$-\frac{1}{6}\mathcal{S}(f)(z) = \sum_{m,n=1}^{\infty} mnb_{mn}z^{-(m+n+2)}$$

## Proof $\Rightarrow$

We present Shen's argument.

Suppose first that  $G$  is compact. We show

$$(1 - |z|^2)^2 S(f)(z) \rightarrow 0 \quad \text{as} \quad |z| \rightarrow 1^+.$$

Idea: build a cleverly-chosen sequence  $x(z) = (x_m(z)) \in B_1(\ell^2)$  for each  $z \in \mathbb{D}^*$  such that  $\langle Gx(z), \overline{x(z)} \rangle$  gives a multiple of  $(1 - |z|^2)^2 S(f)(z)$ , but where we know, via compactness, that  $\langle Gx(z), \overline{x(z)} \rangle \rightarrow 0$  as  $|z| \rightarrow 1^+$ .

## Proof $\Rightarrow$

For  $z \in \mathbb{D}^*$ , define

$$x(z) = (x_m(z))_{m=1}^\infty = \left( \frac{1 - |z|^2}{|z|} \cdot \frac{\sqrt{m}}{z^m} \right)_{m=1}^\infty. \quad (1)$$

Claim 1:  $\|x(z)\| = 1$ .

## Proof $\Rightarrow$

For  $z \in \mathbb{D}^*$ , define

$$x(z) = (x_m(z))_{m=1}^{\infty} = \left( \frac{1 - |z|^2}{|z|} \cdot \frac{\sqrt{m}}{z^m} \right)_{m=1}^{\infty}. \quad (1)$$

Claim 1:  $\|x(z)\| = 1$ .

Indeed,  $\sum_{m=1}^{\infty} m x^m = \frac{x}{(1-x)^2}$  for  $|x| < 1$ . Therefore,

$$\begin{aligned} \|x(z)\|^2 &= \frac{(1 - |z|^2)^2}{|z|^2} \sum_{m=1}^{\infty} m \left( \frac{1}{|z|^2} \right)^m \\ &= \frac{(1 - |z|^2)^2}{|z|^2} \cdot \frac{1/|z|^2}{(1 - 1/|z|^2)^2} = 1, \end{aligned}$$

as claimed.

## Proof $\Rightarrow$

Claim 2:  $x(z) \rightarrow 0$  as  $|z| \rightarrow 1^+$ . I.e. for any fixed  $y \in \ell^2$ ,

$$\langle x(z), y \rangle \rightarrow 0 \quad \text{as} \quad |z| \rightarrow 1^+$$

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Indeed, choose  $M$  such that  $(\sum_{m=M+1}^{\infty} |y_m|^2)^{1/2} < \epsilon/2$ . Since for each fixed  $m$  we have  $x_m(z) \rightarrow 0$  as  $|z| \rightarrow 1^+$ ,

$$\begin{aligned} \langle x(z), y \rangle &= \sum_{m=1}^M x_m(z) \bar{y}_m + \sum_{m=M+1}^{\infty} x_m(z) \bar{y}_m \\ &\leq \frac{\epsilon}{2} + 1 \cdot \left( \sum_{m=M+1}^{\infty} |y_m|^2 \right)^{1/2} < \epsilon \end{aligned}$$

for all  $|z|$  close to  $1^+$ , as claimed.

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Proof  $\Rightarrow$

Claim 3:  $Gx(z) \rightarrow 0$  as  $|z| \rightarrow 1^+$ .

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Indeed, along any sequence  $(z_n) \subset \mathbb{D}^*$  with  $|z_n| \rightarrow 1^+$ , we have that  $(Gx(z_n))$  has a convergent subsequence  $Gx(z_{n_k}) \rightarrow y \in \ell^2$  as  $k \rightarrow \infty$ . Therefore

$$\langle Gx(z_{n_k}), y \rangle \rightarrow \langle y, y \rangle = \|y\|^2,$$

while simultaneously

$$\langle Gx(z_{n_k}), y \rangle = \langle x(z_{n_k}), G^*y \rangle \rightarrow 0,$$

showing  $y = 0$ .



## Proof $\Rightarrow$

Follows that any subsequence of  $(Gx(z_n))$  has a further subsequence which converges to 0, and hence  $Gx(z_n)$  itself converges to 0.

Since this holds for *any* sequence  $(x(z_n))$  where  $|z_n| \rightarrow 1^+$ , we conclude  $Gx(z) \rightarrow 0$  as  $|z| \rightarrow 1^+$ , as claimed.

In particular,  $\langle Gx(z), \overline{x(z)} \rangle \rightarrow 0$  as  $|z| \rightarrow 1^+$ .

## Proof $\Rightarrow$

Recall  $Gx := \left(\sum_{n=1}^{\infty} \sqrt{mn} b_{mn} x_n\right)_{m=1}^{\infty}$ , and so

$$\langle Gx, \bar{x} \rangle = \sum_{m=1}^{\infty} \sum_{n=1}^{\infty} \sqrt{mn} b_{mn} x_n x_m.$$

In particular, for  $x(z) = \left(\frac{1-|z|^2}{|z|} \cdot \frac{\sqrt{m}}{z^m}\right)_m$ ,

$$\begin{aligned} \langle Gx(z), \overline{x(z)} \rangle &= \frac{(1-|z|^2)^2}{|z|^2} \sum_{m,n=1}^{\infty} mn b_{mn} z^{-(n+m)} \\ &= \left(\frac{z}{|z|}\right)^2 (1-|z|^2)^2 \sum_{m,n=1}^{\infty} mn b_{mn} z^{-(m+n+2)} \\ &= -\frac{1}{6} \left(\frac{z}{|z|}\right)^2 (1-|z|^2)^2 S(f)(z) \rightarrow 0. \end{aligned}$$

Proof  $\Rightarrow$

So

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Q: If we merely assume that  $\|G\| \leq \kappa$ , can we use an argument like this with the pre-schwarzian  $\mathcal{P}(f)$  or  $\mathcal{S}(f)$  for  $f \in \bigcup_{\kappa < 1} \Sigma(\kappa)$ ?

## Proof $\Leftarrow$

Suppose  $f$  is asymptotically conformal. Idea: Work with continuity of  $\mu$  at  $\partial\mathbb{D}$  to build a sequence of "truncated operators", each of which is clearly compact, which converge to  $G$  (in operator norm). Will need to borrow from:

- ▶ Yilin's talk tomorrow.
- ▶ Teichmüller theory

## Proof $\Leftarrow$

Truncations: For  $0 < r < 1$ , set

$$\mu_r(z) := \chi_{r\mathbb{D}}(z)\mu(z).$$

Then the associated conformal maps  $f_{\mu_r}$  are conformal on the larger region  $\{|z| > 1 - r\} \supset \mathbb{D}^*$ , and now the quasicircles  $f_{\mu_r}(\mathbb{S}^1)$  are actually analytic Jordan curves.

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From Yilin's talk tomorrow, the operators  $G_r := G(f_{\mu_r})$  are Hilbert-Schmidt, and hence compact.

Suffices to show  $\|G_r - G\| \rightarrow 0$  as  $r \rightarrow 1^-$ .

## Aside on Teichmüller theory

Recall that one model of the universal Teichmüller space  $T(1)$  is

$$\begin{aligned} T(1) &:= B_1(L^\infty(\mathbb{D})) / \sim \\ &= \{ \mu \in L^\infty(\mathbb{D}) : \text{ess sup}_{z \in \mathbb{D}} |\mu(z)| < 1 \} / \sim, \end{aligned}$$

where  $\sim$  is as follows:

For  $\mu \in B_1(L^\infty(\mathbb{D}))$ , extend  $\mu$  to zero in  $\mathbb{D}^*$ , and solve the Beltrami equation to obtain  $f_\mu$  conformal on  $\mathbb{D}^*$  with hydrodynamic normalization  $f(z) = z + o(1)$  as  $z \rightarrow \infty$ . Then  $\mu \sim \nu$  iff  $f_\mu|_{\mathbb{D}^*} \equiv f_\nu|_{\mathbb{D}^*}$ .



## Aside on Teichmüller theory

The *Teichmüller distance* between points  $[\mu], [\nu] \in T(1)$  is

$$\tau([\mu], [\nu]) := \inf \left\{ \frac{1}{2} \log \frac{1 + \left\| \frac{\mu_1 - \nu_1}{1 - \bar{\mu}_1 \nu_1} \right\|_{L^\infty(\mathbb{D})}}{1 - \left\| \frac{\mu_1 - \nu_1}{1 - \bar{\mu}_1 \nu_1} \right\|_{L^\infty(\mathbb{D})}} : \mu \sim \mu_1, \nu \sim \nu_1 \right\}.$$

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Claim:  $\tau([\mu], [\mu_r]) \rightarrow 0$ . Easy to see:

$$\left\| \frac{\mu - \mu_r}{1 - \bar{\mu} \mu_r} \right\|_{L^\infty(\mathbb{D})} = \text{ess sup}_{|z| \geq r} |\mu(z)| \rightarrow 0$$

as  $r \rightarrow 1^-$ , by asymptotic conformality.

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Note that the Grunsky operator is well-defined on universal Teichmüller space via  $G([\mu]) = G(f_\mu|_{\mathbb{D}^*})$ .

Recall that this period map  $\hat{\mathcal{P}} : T(1) \rightarrow \mathcal{B}(\ell^2)$  is actually *holomorphic*. In particular, it is continuous, and so

$$\mu_r \rightarrow \mu \quad \Rightarrow \quad G_r \rightarrow G$$

in  $\mathcal{B}(\ell^2)$ . Thus  $G$  is compact, as claimed. □

## Summary of equivalences

<b>Geometry</b>	$\text{Area}(E) = 0$	$E$ quasidisk	$E$ asymptotically-conformal quasidisk
<b>Conformal map</b>		QC extension to $\hat{\mathbb{C}}$	$(1 -  z ^2)^2 S(f)(z) \rightarrow 0,  z  \rightarrow 1^+$
<b>Welding</b>		Quasisymmetric	Symmetric
<b>Dilatation</b>		Exists, $\ \mu\ _{L^\infty(\mathbb{C})} < 1$	$ \mu(z)  \rightarrow 0$ as $ z  \rightarrow 1^-$
<b>Operator</b>	$G$ unitary	$\ G\  < 1$	$G$ compact

Some questions:

- ▶ What would the operator property be for asymptotically-smooth quasidisks (can we fill in that column)?
- ▶ What can we say about the spectrums of the  $G$ 's in the various columns?

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