

Frames, Erasures, and Excess in Infinite Dimensions

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Frames (Duffin and Schaeffer, 1952)

A sequence $\{x_n\}_{n \in \mathbb{N}}$ in a Hilbert space H is a frame if $\exists A, B > 0$ such that

$$\forall x \in H, \quad A \|x\|^2 \leq \sum_n |\langle x, x_n \rangle|^2 \leq B \|x\|^2$$

In this case (DS, 1952):

- The frame operator $Sx = \sum_n \langle x, x_n \rangle x_n$ is a topological isomorphism $S: H \rightarrow H$
- The canonical dual frame is $\{\tilde{x}_n\}_{n \in \mathbb{N}}$ where $\tilde{x}_n = S^{-1}x_n$
- $x = \sum_n \langle x, \tilde{x}_n \rangle x_n = \sum_n \langle x, x_n \rangle \tilde{x}_n$ for every $x \in H$

- **If** $x = \sum c_n x_n$, **then** $\sum_n |c_n|^2 = \sum_n |\langle x, \tilde{x}_n \rangle|^2 + \sum_n |c_n - \langle x, \tilde{x}_n \rangle|^2$

- * $\sum_{n \neq m} |\langle x_m, \tilde{x}_n \rangle|^2 = \frac{1 - |\langle x_m, \tilde{x}_m \rangle|^2 - |1 - \langle x_m, \tilde{x}_m \rangle|^2}{2}$

- **If** $\langle x_m, \tilde{x}_m \rangle = 1$, **then** $\langle x_m, \tilde{x}_n \rangle = 0$ **for** $n \neq m$.

- **The removal of a vector from a frame leaves either a frame or an incomplete set:**

$$\langle x_m, \tilde{x}_m \rangle \neq 1 \quad \implies \quad \{x_n\}_{n \neq m} \text{ is a frame}$$

$$\langle x_m, \tilde{x}_m \rangle = 1 \quad \implies \quad \{x_n\}_{n \neq m} \text{ is incomplete}$$

Multiplicative Completion (Boas and Pollard, 1948)

Problem

If $\{f_k\}_{k \in \mathbb{Z}}$ is an ONB for $L^2[0, 1]$ and $F \subseteq \mathbb{Z}$ is finite then $\{f_k\}_{k \notin F}$ is incomplete.

Does $\exists m \in L^\infty[0, 1]$ such that $\{f_k \cdot m\}_{k \notin F}$ is complete?

Multiplicative Completion (Boas and Pollard, 1948)

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Does $\exists m \in L^\infty[0, 1]$ such that $\{f_k \cdot m\}_{k \notin F}$ is complete?

Yes: Proof for $F = \{0\}$

Chose m so $f_0/m \notin L^2$. If $\langle f, f_k \cdot m \rangle = 0$ for $k \neq 0$ then $\langle f \cdot \bar{m}, f_k \rangle = 0$ for $k \neq 0$, so

$$f \cdot \bar{m} = cf_0$$

Hence $f = cf_0/m$. Contradiction if $c \neq 0$. Therefore $\{f_k \cdot m\}_{k \neq 0}$ is complete.

A (not entirely trivial) induction extends to finite F .

Constructing m

Choose $E \subseteq [0, 1]$ with $|E| > 0$ and $\inf_{x \in E} |f_0(x)| = \varepsilon > 0$.

Choose $\psi \in L^\infty \setminus L^2$ with $\text{supp}(\psi) \subseteq E$. Set

$$m(x) = \begin{cases} 1, & x \notin \text{supp}(\psi), \\ 1/\psi(x), & x \in \text{supp}(\psi). \end{cases}$$

Then

$$f_0(x)/m(x) \geq \varepsilon \psi(x), \quad x \in \text{supp}(\psi),$$

so $f_0/m \notin L^2$.

Generalizes to frames and less structured systems in function spaces.

Lemma. Let \mathcal{A} be a solid Banach space of measurable functions on a measure space (X, Σ, μ) . Assume for each measurable $E \subseteq X$ there is a measurable function ψ on X such that $\{\psi \neq 0\} \subseteq E$ and $\psi \notin \mathcal{A}$. If $f_1, \dots, f_N \in \mathcal{A}$, then $\exists g \in L^\infty(\mu)$ such that

(a) $g(x) \neq 0$ for $x \in X$, and

(b) $f/g \notin \mathcal{A}$ for all $f \in \text{span}\{f_1, \dots, f_N\} \setminus \{0\}$.

Need “nonatomicness”

Multiplicative completion fails in $\ell^2(\mathbb{Z})$.

Surprising Equivalences (Talalyan, and Price and Zink, 1957–1975)

If $\{f_n\}_{n \in \mathbb{N}} \subseteq L^2(\mu)$, where (X, μ) is a separable measure space with $\mu(X) = 1$, then TFAE:

(a) If $\varepsilon > 0$ then $\exists S \subseteq X$ such that $\mu(S) > 1 - \varepsilon$ and $\{f_n \chi_S\}$ is complete in $L^2(S)$.

(b) If f is finite a.e. and $\varepsilon > 0$ then $\exists S \subseteq X$ and $g \in \text{span}\{f_n\}$ such that $\mu(S) > 1 - \varepsilon$ and $|f - g| < \varepsilon$ on S .

(c) There exists a bounded, nonnegative function m such that $\{mf_n\}$ is complete in $L^2(\mu)$.

There are a wide variety of related results by Kazarian.

Weighted Exponentials: Fix $g \in L^2[0, 1]$, set $\mathcal{E}_g = \{e^{2\pi i n x} g(x)\}_{n \in \mathbb{Z}}$

(a) \mathcal{E}_g is complete $\iff g \neq 0$ a.e.

(b) \mathcal{E}_g is minimal $\iff 1/g \in L^2[0, 1]$

(c) \mathcal{E}_g is a Schauder basis $\iff |g|^2 \in \mathcal{A}_2[0, 1]$

(d) \mathcal{E}_g is a Bessel sequence $\iff g \in L^\infty[0, 1]$

(e) \mathcal{E}_g is a frame sequence $\iff \exists A, B > 0$ such that $A \leq |g(x)|^2 \leq B$ for a.e. x with $g(x) \neq 0$

(f) \mathcal{E}_g is a Riesz basis $\iff \exists A, B > 0$ such that $A \leq |g(x)|^2 \leq B$ a.e.

(g) \mathcal{E}_g is an orthonormal basis $\iff |g(x)| = 1$ a.e.

Attribution

(c) Hunt, Muckenhaupt, Wheeden (1973)

(e) Benedetto and Li (1998)

Multiplicative Completion for $\{e^{2\pi inx}\}_{n \neq 0}$. Let $e_n(x) = e^{2\pi inx}$.

- $1/x \notin L^2[0, 1]$ so $\{xe_n\}_{n \neq 0}$ is complete
- Biorthogonal system is $\tilde{e}_n(x) = \frac{e^{2\pi inx} - 1}{x}$ for $n \neq 0$
- $\{xe_n\}_{n \neq 0}$ is minimal (and complete, so exact).
- If $\{xe_n\}_{n \neq 0}$ were a Schauder basis then $1 \leq \|xe_n\|_2 \|\tilde{e}_n\|_2 \leq 2C$
- $\|xe_n\|_2 = 3^{-1/2}$ and $\|\tilde{e}_n\|_2 = 4\pi n \int_0^{\pi n} \frac{\sin^2 u}{u^2} du \rightarrow \infty$ as $n \rightarrow \infty$
- $\{xe_n\}_{n \neq 0}$ is not a Schauder basis
- (Other results by Yoon/H., 2012)

The original Gabor system, generated by the Gaussian at the critical density, has similar properties:

$$\mathcal{G}(\phi, 1, 1) = \{M_n T_k \phi\}_{k, n \in \mathbb{Z}} = \{e^{2\pi inx} e^{-(x-k)^2}\}_{k, n \in \mathbb{Z}}$$

Both systems have density 1. Why?

Beurling Density for $\Lambda \subseteq \mathbb{R}^2$

Let $Q_r(z)$ be the square centered at z with side lengths r .

Lower Beurling density: $D^-(\Lambda) = \liminf_{r \rightarrow \infty} \inf_{z \in \mathbb{R}^2} \frac{\#(\Lambda \cap Q_r(z))}{r^2}$

Upper Beurling density: $D^+(\Lambda) = \limsup_{r \rightarrow \infty} \sup_{z \in \mathbb{R}^2} \frac{\#(\Lambda \cap Q_r(z))}{r^2}$

Examples: $D^\pm(\alpha\mathbb{Z} \times \beta\mathbb{Z}) = \frac{1}{\alpha\beta}$, $D^-(\alpha\mathbb{Z} \times \beta\mathbb{Z}^+) = 0$, $D^+(\alpha\mathbb{Z} \times \beta\mathbb{Z}^+) = \frac{1}{\alpha\beta}$

Conjecture

A Gabor system $\{M_b T_a g\}_{(a,b) \in \Lambda}$ is complete $\implies D^-(\Lambda) \geq 1$

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H./Walnut, 1995 (builds on H. Landau, 1964)

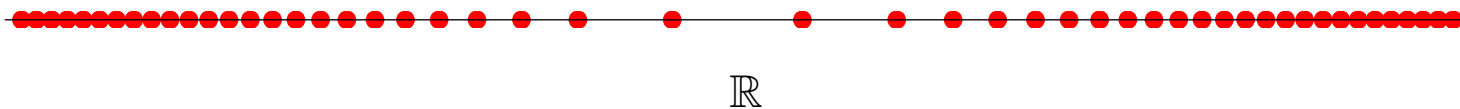
False: \exists complete Gabor system with $D^+(\Lambda) < \varepsilon$

Translates of Gaussians (Zalik, 1978) $\phi(x) = e^{-x^2}$

$\exists \Gamma \subseteq \mathbb{R}$ such that $\{T_a\phi\}_{a \in \Gamma}$ is complete

Complete in $L^2(\mathbb{R})$, not just a subspace like PW!

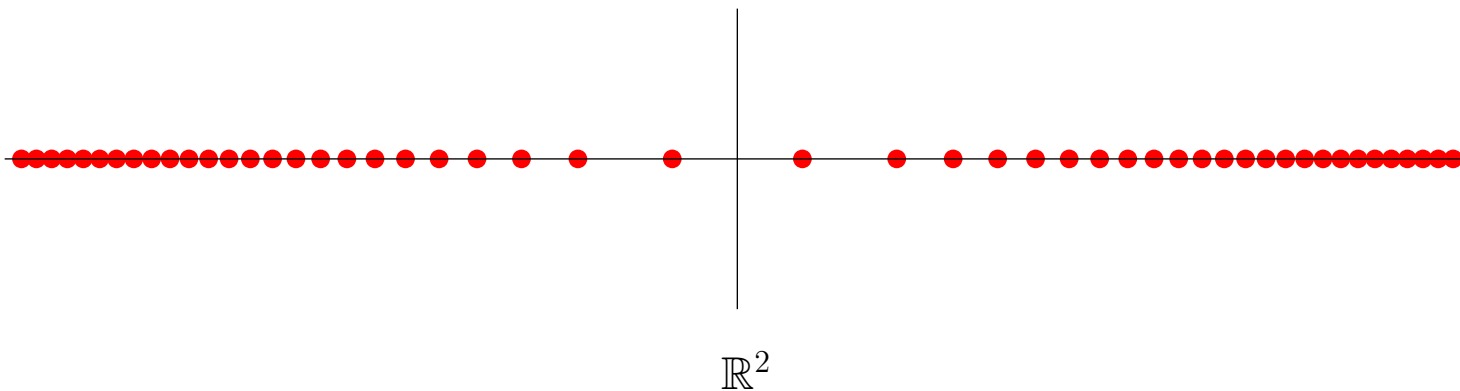
For this example, $D^+(\Gamma) = \infty$ as a subset of \mathbb{R}



Complete Gabor system with no modulations

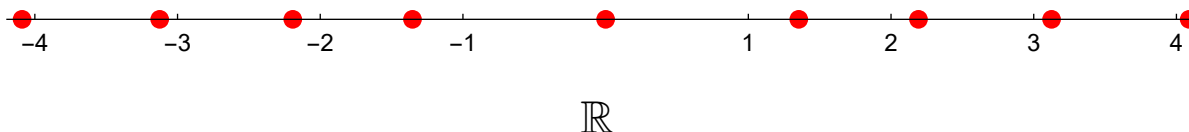
$\{T_a\phi\}_{a \in \Gamma}$ is a Gabor system $\{M_b T_a \phi\}_{(a,b) \in \Lambda}$ with $\Lambda = \Gamma \times \{0\}$

Complete, yet $D^-(\Lambda) = 0$ and $D^+(\Lambda) = \infty$ as a subset of \mathbb{R}^2



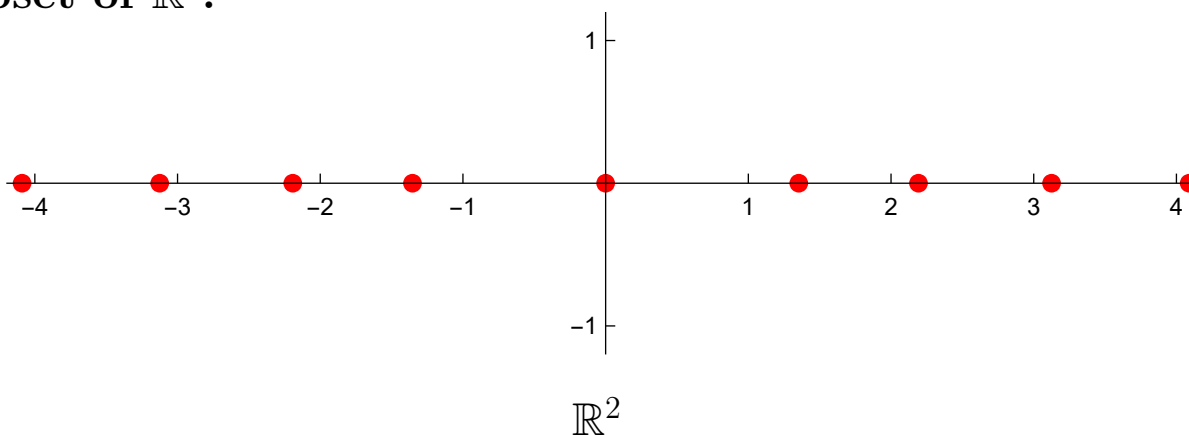
Olevskii (1997) and Olevskii/Ulanovskii (2004)

\exists (nice!) g and Γ a (small!) perturbation of \mathbb{Z} such that $\{T_a\phi\}_{a\in\Gamma}$ is complete in $L^2(\mathbb{R})$. Density: $D^\pm(\Gamma) = 1$ as a subset of \mathbb{R} :



As a Gabor System

$\{T_a\phi\}_{a\in\Gamma}$ is a Gabor system with $\Lambda = \Gamma \times \{0\}$. Complete, but $D^\pm(\Lambda) = 0$ as a subset of \mathbb{R}^2 :



But how nice can these systems be? Frames? Bases?

Olson–Zalik Conjecture (1992)

No set of translates $\{T_ag\}_{a \in \Gamma}$ can be a Schauder basis for $L^2(\mathbb{R})$

Results in this direction:

- **Olson/Zalik:** $\{T_ag\}_{a \in \Gamma}$ cannot be a Riesz basis for $L^2(\mathbb{R})$
- **Christensen/Deng/H. (1999):**

$$\{M_b T_ag\}_{(a,b) \in \Lambda} \text{ is a frame for } L^2(\mathbb{R}) \implies D^-(\Lambda) \geq 1$$

Corollary: $\{T_ag\}_{a \in \Gamma}$ cannot be a frame for $L^2(\mathbb{R})$

Definition: $\{T_ag\}_{a \in \Gamma}$ is a Schauder basis if there is some enumeration

$\Gamma = \{a_k\}_{k \in \mathbb{N}}$ such that

$$f = \sum_{k=1}^{\infty} c_k(f) T_{a_k} g \text{ uniquely,} \quad \text{for all } f \in L^2(\mathbb{R})$$

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- **Deng/H. (2000):**

$$\{M_b T_ag\}_{(a,b) \in \Lambda} \text{ is a Schauder basis for } L^2(\mathbb{R}) \implies D^+(\Lambda) \leq 1$$

- **Deng/H. (2000):**

$$g \in L^2 \setminus L^1 \implies \{T_ag\}_{(a,b) \in \Gamma} \text{ not a Schauder basis}$$

Olson–Zalik Conjecture (1992)

No set of translates $\{T_a g\}_{a \in \Gamma}$ can be a Schauder basis for $L^2(\mathbb{R})$

The full Olson–Zalik conjecture is still open!

Conjecture: Density of Gabor Schauder bases (Deng/H.)

If $\{M_b T_a g\}_{(a,b) \in \Lambda}$ is a Schauder basis for $L^2(\mathbb{R})$, then $D^\pm(\Lambda) = 1$

Olson–Zalik is a Corollary if true:

$\{T_a g\}_{a \in \Gamma}$ can never be a Schauder basis for $L^2(\mathbb{R})$, because

$\Lambda = \Gamma \times \{0\} \subseteq \mathbb{R}^2$ has density $D^-(\Lambda) = 0$

Gabor Schauder bases do exist:

If $g(x) = |x|^{-1/4} \chi_{[-\frac{1}{2}, \frac{1}{2}]}$ then $\{M_n T_k g\}_{k,n \in \mathbb{Z}}$ is a Gabor Schauder basis that is not a Riesz basis

H./Powell (2006)

$\{M_n T_k g\}_{k,n \in \mathbb{Z}}$ is Schauder basis for $L^2(\mathbb{R}) \iff |Zg|^2 \in \mathcal{A}_2(\mathbb{T} \times \mathbb{T})$

Product \mathcal{A}_2 weights

$w \in \mathcal{A}_2(\mathbb{T} \times \mathbb{T})$ if \forall intervals $I, J \subseteq \mathbb{R}$,

$$\left(\frac{1}{|I||J|} \int_J \int_I w(x, y) dx dy \right) \left(\frac{1}{|I||J|} \int_I \int_J \frac{1}{w(x, y)} dx dy \right) \leq C.$$

Conditionality

The Schauder basis condition is with respect to a particular class of enumerations of \mathbb{Z}^2 .

What about exact Gabor systems? Exact = minimal and complete
Exact is “slightly less” than a Schauder basis

Example from before with $\phi(x) = e^{-x^2}$

$\{M_n T_k \phi\}_{(k,n) \neq (0,0)}$ is exact; $\Lambda = \mathbb{Z}^2 \setminus \{(0,0)\}$ has density $D^\pm(\Lambda) = 1$

Ascensi/Lyubarskii/Seip (2008) with $\phi(x) = e^{-x^2}$

If $\Lambda = \{(-1, 0), (1, 0), (0, \pm\sqrt{2n}), (\pm\sqrt{2n}, 0)\}$ then $\{M_b T_a \phi\}_{(a,b) \in \Lambda}$ is exact

Density: $D^-(\Lambda) = 0, D^+(\Lambda) = \infty$.

Used in the proof:

Λ is the zero set of the entire function $s(z) = \frac{z^2 - 1}{z^2} \sin \frac{\pi z^2}{2}$.

Question

Does there exist a set of translations $\{T_a g\}_{a \in \Gamma}$ that is exact in $L^2(\mathbb{R})$?

Translations Again

Translations $\{T_a g\}_{a \in \Gamma}$ are finitely linearly independent in $L^2(\mathbb{R})$

Same is true in $L^p(\mathbb{R})$ if $1 \leq p \leq 2$ via the Fourier transform:

$$\sum_{k=1}^N c_k g(x - a_k) = 0 \implies \left(\sum_{k=1}^N c_k e^{2\pi i \xi a_k} \right) \widehat{g}(\xi) = 0 \implies \widehat{g} = 0.$$

But if $p > 2$ then \widehat{g} is a distribution:

$$\sum_{k=1}^N c_k g(x - a_k) = 0 \implies \varphi \widehat{g} = 0 \not\Rightarrow \widehat{g} = 0$$

Distributions can be supported at a single point, functions cannot.

$$\mathbf{Q.} \exists g \in L^p(\mathbb{R}) \quad \mathbf{s.t.} \quad \left(\sum_{k=1}^N c_k e^{2\pi i \xi a_k} \right) \widehat{g}(\xi) = 0?$$

Theorem (Edgar/Rosenblatt, 1979)

Assume $S \subseteq \mathbb{R}^n$ is closed and has Hausdorff dimension $\leq n - 1$. If $g \in L^p(\mathbb{R}^n)$ and $\text{supp}(\widehat{g}) \subseteq S$, then $p \geq 2n/(n - 1)$.

Corollary

If $g \in L^p(\mathbb{R}^n)$ and $p < 2n/(n - 1)$, then translates of g are linearly independent.

Proof sketch

The zero set of a trigonometric polynomial φ on \mathbb{R}^n is the intersection of an analytic variety in \mathbb{C}^n with \mathbb{R}^n . The Hausdorff dimension of this zero set is $\leq n - 1$.

Corollary

If $g \in L^p(\mathbb{R}^n)$ and $p < 2n/(n - 1)$, then translates of g are linearly independent. (Rosenblatt, 1995, added $p = 2n/(n - 1)$)

Theorem (Edgar/Rosenblatt, 1979)

If $2n/(n - 1) < p < \infty$, then there exists a function $g \in L^p(\mathbb{R}^n)$ that has linearly dependent translates.

Example

Translates are independent in $L^1(\mathbb{R})$ for $1 \leq p < \infty$,
but translates are independent in $L^2(\mathbb{R}^2)$ for $1 \leq p \leq 4$.

The HRT Conjecture (1996)

Time-frequency translates are finitely linearly independent. That is, if:

(a) $0 < \int_{-\infty}^{\infty} |g(x)|^2 dx < \infty,$

(b) $\{(a_k, b_k)\}_{k=1}^N$ are finitely many distinct points in $\mathbb{R}^2,$

then:

$$\sum_{k=1}^N c_k e^{2\pi i b_k x} g(x - a_k) = 0 \quad \implies \quad c_1 = \cdots = c_N = 0.$$

This conjecture is open in the generality stated, even if we require g to be continuous (or smoother).

HRT Subconjecture

If $g: \mathbb{R} \rightarrow \mathbb{R}$ is continuous and $0 < \int_{-\infty}^{\infty} |g(x)|^2 dx < \infty$, then

$$c_1 g(x) + c_2 g(x - 1) + c_3 g(x) e^{2\pi i x} + c_4 g(x - \sqrt{2}) e^{2\pi i \sqrt{3} x} = 0$$

implies

$$c_1 = c_2 = c_3 = c_4 = 0.$$

That is,

$$\left\{ g(x), g(x - 1), g(x) e^{2\pi i x}, g(x - \sqrt{2}) e^{2\pi i \sqrt{3} x} \right\}$$

is linearly independent.

This is open even if we assume that g is Schwartz-class.

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Quote from H., “What is a Frame?”

Sadly, Duffin and Schaeffer both passed away before anyone thought to ask why they called such a system a “frame”. Is it because $A \|f\|^2$ and $B \|f\|^2$ “frame” the sum between them? We will never know.

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But there’s more to the story ...

Mathematics Genealogy Project

Richard James Duffin

[MathSciNet](#)

Ph.D. [University of Illinois at Urbana-Champaign](#) 1935 

Dissertation: *Galvanomagnetic and Thermomagnetic Phenomena*

Advisor 1: [Harold Meade Mott-Smith](#)

Advisor 2: [David Gordon Bourgin](#)

Students:

Click [here](#) to see the students ordered by family name.

Name	School	Year	Descendants
Bott, Raoul	Carnegie Mellon University	1949	1241
Weinberger, Hans	Carnegie Mellon University	1950	27
Boyce, Elsa	Carnegie Mellon University	1954	
Rogers, Edwin	Carnegie Mellon University	1962	14
Duris, Charles	Carnegie Mellon University	1963	1
Karlovitz, Les	Carnegie Mellon University	1964	1
Mangrad, Moshe	Carnegie Mellon University	1964	
Patrick, Merrell	Carnegie Mellon University	1964	2
Peterson, Elmor	Carnegie Mellon University	1964	43
Porsching, Thomas	Carnegie Mellon University	1964	14
Winter, Mary	Carnegie Mellon University	1966	2
Bhargava, Srinivasamurthy	Carnegie Mellon University	1972	14
Morley, Thomas	Carnegie Mellon University	1976	5
Buckwalter, Jeff	Carnegie Mellon University	1978	

According to our current on-line database, Richard Duffin has 14 [students](#) and 1378 [descendants](#).

THANK YOU.