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# Lower bounds for zero energy eigenfunctions of Schrödinger operators<sup>1</sup>)

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Abstract. Let g be a non-zero solution in  $L^2(\mathbb{R}^n)$ ,  $n \ge 2$ , of  $(-\Delta + V)g = 0$ . If the potential V vanishes rapidly enough at infinity, then g cannot decay (in the  $L^2$ -sense) more rapidly than any power of |x|, i.e.  $|x|^N g \notin L^2(\mathbb{R}^n)$  for some finite N.

## 1. Introduction

A non-relativistic quantum mechanical particle moving on a line in a potential V cannot be bound at zero energy if V is such that

$$\int_{-\infty}^{+\infty} (1+|x|) |V(x)| dx < \infty.$$

In other words the equation  $-\psi'' + V\psi = 0$  has no non-zero solutions that are square-integrable over the real line  $\mathbb{R}$ . If  $\mathbb{R}$  is replaced by  $(0, \infty)$  for example, the same is true; more precisely, if  $\int_0^\infty r |V(r)| dr < \infty$ , there are no zero energy bound states in the l=0 partial wave subspace of a three-dimensional quantum mechanical system in the spherically symmetric potential V(r) (see e.g. [1], Chapters XVII.1 and II.1 respectively).

In the latter case one may however have zero energy bound states in the higher order partial wave subspaces  $(l \ge 1)$ , even if V has finite range (see [2], footnote on page 80 for a square well, [1] or [3], Remark 11.17(c) and Problem 11.11 for more general cases). The intuitive reason for this is roughly as follows: if l>0, then the effective potential is  $V(r)+l(l+1)r^{-2}$  which, at large r, is roughly  $l(l+1)r^{-2}$  under the above assumptions on V; hence, if the particle has zero energy, it sees a wall of infinite extension of the form  $cr^{-2}$  (c>0) which can produce a bound state<sup>2</sup>) (no tunnelling is possible).

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Notice that  $\int_1^\infty r \cdot cr^{-2} dr = \infty$ , so that the centrifugal part of the effective potential does not satisfy the condition needed for proving the non-existence of zero energy bound states.

The zero energy bound state eigenfunctions in the l-th partial wave subspace of  $L^2(\mathbb{R}^3)$  are known to behave like  $r^{-l-1}$  as  $r \to \infty$ . This is strikingly different from the exponential decay of eigenfunctions belonging to strictly negative eigenvalues: if  $\lambda < 0$ ,  $(-\Delta + V)\psi = \lambda \psi$  and  $\psi \in L^2(\mathbb{R}^3)$  and if V decays sufficiently rapidly, then  $\|e^{\kappa r}\psi\|_{L^2} < \infty$  for each  $\kappa < |\lambda|^{1/2}$ . The purpose of our paper is to prove quite generally (i.e. in  $n \ge 2$  space dimensions and without assuming spherical symmetry) that zero energy bound states are weakly localized in the sense indicated above: if V satisfies suitable decay conditions and if  $\psi \in L^2(\mathbb{R}^n)$  is such that  $(-\Delta + V)\psi = 0$ , then there is a number  $N < \infty$  such that  $\|(1+|x|)^N\psi\|_{L^2} = \infty$ , i.e.  $\psi$  cannot decay faster (in the  $L^2$ -sense) than some negative power of |x|. This follows from a more general result which we state and prove in the form of a theorem in Section 3. The proof makes heavy use of an inequality involving the Laplacean that we established in a previous paper [4].

# 2. Notation and preliminary results

We use the following notation: the symbol x is used for vectors in  $\mathbb{R}^n$ ,  $n \ge 2$ . We set r = |x|,  $\partial_j = \partial/\partial x_j$  (j = 1, ..., n),  $\nabla \equiv \operatorname{grad} = (\partial_1, ..., \partial_n)$ ,  $\partial_r = \sum_{j=1}^n x_j r^{-1} \partial_j$  and  $\Delta = \sum_{j=1}^n \partial_j^2$ . We shall refer to the operator  $(1 - \Delta)^{-1}$  acting on functions defined on  $\mathbb{R}^n$ ; it is given as the convolution operator by the Green's function of the negative Laplacean (one of the Bessel potentials in the terminology of [5]).

For  $0 \le a < b \le \infty$  we set  $\Omega(a,b) = \{x \in \mathbb{R}^n \mid a < |x| < b\}$ . Notice that  $\Omega(0,\infty) = \mathbb{R}^n \setminus \{0\}$ . The derivatives of locally integrable functions are understood to be in the sense of distributions. For  $1 \le q \le \infty$ ,  $k \ge 0$  and integer,  $a \ge 0$  and  $\Omega = \Omega(a,\infty)$ ,  $L^q(\Omega)$  denotes the Banach space of q-summable functions on  $\Omega$  and  $H^{k,q}(\Omega)$  the Sobolev space consisting of all  $f \in L^q(\Omega)$  such that  $\partial_1^{\alpha_1} \cdots \partial_n^{\alpha_n} f \in L^q(\Omega)$  for all n-tuples  $(\alpha_1, \ldots, \alpha_n)$  of non-negative integers with  $\sum_{j=1}^n \alpha_j \le k$ . We put

$$||f||_{H^{k,q}(\Omega)} = \sum_{\alpha_1 + \dots + \alpha_n \le k} ||\partial_1^{\alpha_1} \cdots \partial_n^{\alpha_n} f||_{L^q(\Omega)}.$$

$$\tag{1}$$

If q=2, we use the simpler notation  $H^k(\Omega) \equiv H^{k,2}(\Omega)$ . Finally we write  $\|\cdot\|_{L^q}$  for the norm in  $L^q(\mathbb{R}^n)$  and  $\|\cdot\|_{H^{k,q}}$  for that in  $H^{k,q}(\mathbb{R}^n)$ , and we denote by  $H^{k,q}_c(\mathbb{R}^n\setminus\{0\})$  the set of functions  $f\in H^{k,q}(\mathbb{R}^n)$  that have compact support in  $\mathbb{R}^n\setminus\{0\}$ .

The proof of our theorem is based on the Sobolev imbedding theorem and on the following known results that we announce as Propositions 1, 2 and 3.

**Proposition 1.** If  $1 < q < \infty$ , then  $(1-\Delta)^{-1}$  defines a bounded invertible operator from  $L^q(\mathbb{R}^n)$  onto  $H^{2,q}(\mathbb{R}^n)$ . In particular, if  $f, \Delta f \in L^q(\mathbb{R}^n)$ , then<sup>3</sup>)  $f \in H^{2,q}(\mathbb{R}^n)$  (see [5], Theorem V.3).

**Proposition 2.** Let  $n \ge 2$ ,  $p \in (n/2, \infty]$  with  $p \ge n-2$ . Set  $\mu = 2-n/p$ . Let q and s satisfy

$$1 \le q \le 2 \le s < \infty, \quad \frac{1}{p} = \frac{1}{q} - \frac{1}{s}.$$
 (2)

<sup>3)</sup> Write  $f = (1 - \Delta)^{-1} (f - \Delta f)$ .

Let  $\Gamma_{ns} = \{k + n - 3/2 - n/s \mid k = 1, 2, 3, ...\}$ . Then there is a finite constant C, depending only on n, p and s, such that

$$||r^{\nu}f||_{L^{s}} \le C ||r^{\nu+\mu} \Delta f||_{L^{q}} \tag{3}$$

for all  $\nu \in \Gamma_{ns}$  and all  $f \in H_c^{2,q}(\mathbb{R}^n \setminus \{0\})$ . If  $p = \infty$ , the inequality (3) holds with C replaced by  $2\nu^{-1}$ . (See [4], Theorem 1 and proof of Theorem 2.)

**Proposition 3.** Let R > 0 and  $\Omega = \Omega(R, \infty)$ , and let  $\alpha \ge 0$ . Then  $f \in H^{k,q}(\Omega) \Rightarrow r^{-\alpha}f \in H^{k,q}(\Omega)$ .

**Proof.** Clearly multiplication by  $r^{-\alpha}$  defines a bounded operator in  $L^q(\Omega)$ , since R > 0 and  $\alpha \ge 0$ . This proves the assertion for k = 0. Next notice that

$$\partial_i r^{-\alpha} f = r^{-\alpha} \ \partial_i f - \alpha x_i r^{-\alpha - 2} f. \tag{4}$$

Hence  $f \in H^{1,q}(\Omega) \Rightarrow r^{-\alpha} f \in H^{1,q}(\Omega)$ . The proof for k > 1 is similar.

# 3. Lower bounds for zero energy eigenfunctions

We now state and prove our principal result.

**Theorem.** Let  $n \ge 2$ ,  $R_0 \in [0, \infty)$  and set  $\Omega_0 = \Omega(R_0, \infty)$ . Let  $V: \Omega_0 \to \mathbb{C}$  and assume that there is a number  $p \in [1, \infty]$  such that p > n/2 and  $p \ge n-2$  and such that  $r^{2-n/p}V \in L^p(\Omega_0)$ . Suppose  $g \in H^1(\Omega_0)$  is such that  $\Delta g$  is a function and

$$|(\Delta g)(x)| \le |V(x)| |g(x)| \quad \text{a.e. on } \Omega_0.$$
 (5)

Then, if  $r^{\tau}g \in L^2(\Omega_0)$  for each  $\tau < \infty$ , one must have g = 0 (in the  $L^2$ -sense).

*Remark.* (a) If  $p = \infty$ , the condition on the function V means that  $|x|^2 |V(x)| \le \cos t < \infty$ , i.e. V(x) should decay at least as rapidly as  $|x|^{-2}$  for  $|x| \to \infty$ . If  $p < \infty$ , the condition on V means that

$$\int_{\Omega_0} |r^2 V(x)|^p \frac{d^n x}{r^n} < \infty,$$

i.e.  $r^2V(x)$  must tend to zero in an  $L^p$ -sense as  $|x| \to \infty$ . Of course local singularities of V are allowed, and for n = 2, 3, 4 the result is very natural.

(b) Let  $V:\mathbb{R}^n \to \mathbb{R}$  be such that  $(1+r)^{2-n/p}V \in L^p(\mathbb{R}^n)$  for some  $p \in (n/2, \infty]$  with  $p \ge n-2$ . Then  $H = -\Delta + V$  is self-adjoint in  $L^2(\mathbb{R}^n)$  on the domain  $\{f \in H^1(\mathbb{R}^n) \mid Hf \in L^2(\mathbb{R}^n)\}$ . If zero is an eigenvalue of H, then any associated eigenvector g has the following property: there is a number  $N < \infty$  such that  $\|r^N f\|_{L^2} = \infty$ . (To see this, it suffices to notice that an eigenvector g corresponding to the eigenvalue zero satisfies (5) with the equality sign.)

*Proof.* (i) We first fix s and q satisfying the hypotheses of Propositions 1 and 2. It suffices to choose the number s; q is then defined by  $q^{-1} = p^{-1} + s^{-1}$ .

If p > 2, we take s = 2. If  $p \le 2$  (which is possible only for n = 2, 3), we define s by  $s^{-1} = 3/4 - (2p)^{-1} - (2n)^{-1}$ . The assumptions made on p imply that  $s \in [3, \infty)$  in the second case and that  $1 < q \le \min\{2, p\}$  in both cases.

We set  $\mu = 2 - n/p$  and choose a number  $R \in (R_0, \infty)$  as follows. If  $p = \infty$ , we

take  $R = R_0 + 1$ ; if  $p < \infty$ , we let C = C(n, p, s) be the constant appearing in Proposition 2 and take R so large that  $C ||r^{\mu}V||_{L^p(\Omega(R,\infty))} < \frac{1}{2}$ , which is possible by the hypothesis made on V. We set  $\Omega = \Omega(R, \infty)$  and  $\lambda = ||r^{\mu}V||_{L^p(\Omega)}$ .

The Sobolev imbedding theorem ([6], Theorem 5.4 and Corollary 5.16) implies that, if p > n/2 and q and s are as above, one has the following imbeddings:  $H^1(\Omega) \subset L^s(\Omega)$  and  $H^{2,q}(\Omega) \subset L^s(\Omega)$ ; here  $X \subset Y$  means that each  $\xi \in X$  is also an element of Y and that there is a constant  $\kappa = \kappa_{XY}$  such that  $\|\xi\|_Y \le \kappa \|\xi\|_X$  for each  $\xi \in X$ .

(ii) Let  $\eta \in C^{\infty}(\mathbb{R}^n)$  be such that  $0 \le \eta \le 1$ ,  $\eta(x) = 0$  if  $|x| \le R$  and  $\eta(x) = 1$  if  $|x| \ge R + 1$ . Assume that g satisfies all the hypotheses stated in the theorem and set  $g_0 = \eta g$ . We shall show that  $r^{\tau}g_0$ ,  $r^{\tau} \Delta g_0$  and each component of  $r^{\tau}\nabla g_0$  belong to  $L^q(\mathbb{R}^n)$  for each  $\tau \in \mathbb{R}$ .

The first assertion follows from the Hölder inequality and the hypothesis that  $r^{\tau}g \in L^2(\Omega_0)$  for all  $\tau$ : if  $m \in (2, \infty]$  is defined by  $m^{-1} = q^{-1} - \frac{1}{2}$ , then

$$||r^{\tau}g_{c}||_{L^{q}} \leq ||r^{\tau}g||_{L^{q}(\Omega)} \leq ||r^{-n}||_{L^{m}(\Omega)} ||r^{\tau+n}g||_{L^{2}(\Omega)} < \infty.$$

Next we observe that

$$r^{\tau} \Delta g_0 = \eta r^{\tau} \Delta g + 2r^{\tau} (\nabla \eta) \cdot \nabla g + r^{\tau} (\Delta \eta) g. \tag{6}$$

Since g and the components of  $\nabla g$  are in  $L^2(\Omega)$  and  $\nabla \eta$ ,  $\Delta \eta$  have compact support, the last two terms on the r.h.s. of (6) are in  $L^q(\mathbb{R}^n)$  (remember that  $q \leq 2$ ). We denote by  $\beta_{\tau}$  the sum of their  $L^q$ -norms and then have by the Hölder inequality:

$$||r^{\tau} \Delta g_0||_{L^q} \le ||r^{\tau} \Delta g||_{L^q(\Omega)} + \beta_{\tau} \le ||r^{\mu} V||_{L^p(\Omega)} ||r^{\tau - \mu} g||_{L^s(\Omega)} + \beta_{\tau}. \tag{7}$$

In view of the last statement in (i), this leads to the following two inequalities, in which  $\lambda$  is the number defined in part (i) of the proof and  $\kappa_s$ ,  $\kappa_{qs}$  are finite constants depending on the values of the subscript(s):

$$\|\mathbf{r}^{\tau} \Delta \mathbf{g}_0\|_{L^{\alpha}} \leq \lambda \kappa_s \|\mathbf{r}^{\tau-\mu}\mathbf{g}\|_{H^1(\Omega)} + \beta_{\tau}, \tag{8}$$

$$|| \mathbf{r}^{\tau} \Delta g_{0} ||_{L^{q}} \leq \lambda \kappa_{qs} || \mathbf{r}^{\tau - \mu} g_{0} ||_{H^{2,q}} + \lambda || \mathbf{r}^{\tau - \mu} (1 - \eta) g ||_{L^{s}(\Omega)} + \beta_{\tau}$$

$$\leq \lambda \kappa_{qs} || \mathbf{r}^{\tau - \mu} g_{0} ||_{H^{2,q}} + \lambda \gamma_{\tau} \kappa_{s} || g ||_{H^{1}(\Omega)} + \beta_{\tau},$$

$$(9)$$

where  $\gamma_{\tau} = ||r^{\tau-\mu}(1-\eta)||_{L^{\infty}(\Omega)} < \infty$ .

Since  $g \in H^1(\Omega)$ , the inequality (8) and Proposition 3 imply that  $r^{\tau} \Delta g_0 \in L^q(\mathbb{R}^n)$  for  $\tau \leq \mu$ ; in particular  $\Delta g_0 \in L^q(\mathbb{R}^n)$ . By Proposition 1, we then have  $g_0 \in H^{2,q}(\mathbb{R}^n)$ .

Next we notice the identity

$$\Delta r^{\tau} g_0 = r^{\tau} \Delta g_0 + 2\tau \partial_r (r^{\tau - 1} g_0) + (n\tau - \tau^2) r^{\tau - 2} g_0. \tag{10}$$

Since  $\|\partial_r f\|_{L^q} \le \|f\|_{H^{1,q}} \le \|f\|_{H^{2,q}}$ , (10) leads to

$$\|\Delta r^{\tau} g_{c}\|_{L^{q}} \leq \|r^{\tau} \Delta g_{0}\|_{L^{q}} + 2|\tau| \|r^{\tau-1} g_{0}\|_{H^{2,q}} + (n|\tau| + \tau^{2}) \|r^{\tau-2} g_{0}\|_{L^{q}}.$$
 (11)

Hence, if  $\tau \leq \tau_0 \equiv \min \{\mu, 1\}$ , we have  $\Delta r^{\tau} g_0 \in L^q(\mathbb{R}^n)$ . Together with Proposition 1, this implies that  $r^{\tau} g_0 \in H^{2,q}(\mathbb{R}^n)$  for  $\tau \leq \tau_0$ .

This last inclusion may now be combined with the inequality (9) to deduce that  $r^{\tau} \Delta g_0 \in L^q(\mathbb{R}^n)$  for  $\tau \leq \tau_0 + \mu$ , and (11) then implies that  $\Delta r^{\tau} g_0 \in L^q(\mathbb{R}^n)$  if  $\tau \leq 2\tau_0$ . Hence, by Proposition 1,  $r^{\tau} g_0 \in H^{2,q}(\mathbb{R}^n)$  for  $\tau \leq 2\tau_0$ . By iterating this procedure one obtains that  $\Delta r^{\tau} g_0 \in L^q(\mathbb{R}^n)$  and  $r^{\tau} g_0 \in H^{2,q}(\mathbb{R}^n)$  for all  $\tau \in \mathbb{R}$ .

Finally we have for each  $\tau \in \mathbb{R}$  (see (4)):

$$||r^{\tau} \partial_{j} g_{0}||_{L^{q}} \leq ||\partial_{j} r^{\tau} g_{0}||_{L^{q}} + |\tau| ||r^{\tau-1} g_{0}||_{L^{q}} \leq ||r^{\tau} g_{0}||_{H^{2,q}} + |\tau| ||r^{\tau-1} g_{0}||_{L^{q}} < \infty.$$

(iii) We now show that g(x) = 0 for |x| > R + 1. For this, we let  $\theta \in C_0^{\infty}(\mathbb{R}^n)$  be such that  $\theta(x) = 1$  if  $|x| \le 1$  and  $\theta(x) = 0$  if  $|x| \ge 2$ . For a > 0 we define  $\theta_a$  by  $\theta_a(x) = \theta(x/a)$ , and we set  $\delta' = \||\nabla \theta||_{L^{\infty}}$ ,  $\delta'' = \|\Delta \theta\|_{L^{\infty}}$ . We observe that

$$|(\nabla \theta_a)(x)| \le \frac{\delta'}{a}, \qquad |(\Delta \theta_a)(x)| \le \frac{\delta''}{a^2} \quad \forall x \in \mathbb{R}^n.$$
 (12)

The identity

$$\Delta \theta_a g_0 = \theta_a \, \Delta g_0 + 2(\nabla \theta_a) \cdot \nabla g_0 + (\Delta \theta_a) g_0 \tag{13}$$

and a similar identity for  $\partial_i \theta_a g_0$  imply that  $\theta_a g_0 \in H_c^{2,q}(\mathbb{R}^n \setminus \{0\})$ . By setting  $f = \theta_a g_0$  in (3) and using (13) and (12) one finds that, for  $\nu \in \Gamma_{ns}$ :

$$||r^{\nu}\theta_{a}g_{0}||_{L^{s}} \leq C ||r^{\nu+\mu}\theta_{a}| \Delta g_{0}||_{L^{q}} + \frac{2\delta'}{a} C ||r^{\nu+\mu}| \nabla g_{0}||_{L^{q}} + \frac{\delta''}{a^{2}} C ||r^{\nu+\mu}g_{0}||_{L^{q}}.$$
(14)

Remembering that  $r^{\rho} \Delta g_0$ ,  $r^{\rho} \nabla g_0$  and  $r^{\rho} g_0$  are in  $L^q(\mathbb{R}^n)$  for each  $\rho \in \mathbb{R}$ , one may take the limit  $a \to \infty$  in (14) (by using for instance the dominated convergence theorem) to obtain the inequality

$$||r^{\nu}g_{0}||_{L^{s}} \le C ||r^{\nu+\mu} \Delta g_{0}||_{L^{q}}, \qquad \nu \in \Gamma_{ns}.$$
 (15)

The r.h.s. of (15) may be majorized by using the inequality (7), with  $\tau = \nu + \mu$ . We note that  $\beta_{\tau}$  satisfies  $\beta_{\tau} \leq (R+1)^{\tau} c(\eta, g)$ , where  $c(\eta, g)$  is a finite number that does not depend on  $\tau$ . We also have, as in (9), that

$$||r^{\nu}g||_{L^{s}(\Omega)} \le ||r^{\nu}g_{0}||_{L^{s}} + (R+1)^{\nu} ||g||_{L^{s}(\Omega)} \le ||r^{\nu}g_{0}||_{L^{s}} + \kappa_{s}(R+1)^{\nu} ||g||_{H^{1}(\Omega)}.$$

Consequently we obtain that

$$||r^{\nu}g_{0}||_{L^{s}} \leq C\lambda ||r^{\nu}g_{0}||_{L^{s}} + C\lambda\kappa_{s}(R+1)^{\nu} ||g||_{H^{1}(\Omega)} + Cc(\eta, g)(R+1)^{\nu+\mu}.$$
(16)

If  $p < \infty$ , we have  $C\lambda < \frac{1}{2}$ , and (16) implies that, for  $\nu \in \Gamma_{ns}$ :

$$||r^{\nu}g||_{L^{s}(\Omega(R+1,\infty))} \le ||r^{\nu}g_{0}||_{L^{s}(\mathbb{R}^{n})} \le c_{1}(R, \eta, g)(R+1)^{\nu}, \tag{17}$$

where  $c_1$  is a finite number independent of  $\nu$ . If  $p = \infty$ , one may replace C by  $2\nu^{-1}$  in (14)–(16) and obtains the validity of (17) for all  $\nu \in \Gamma_{ns} \cap [4\lambda, \infty)$ .

Now assume that  $\|g\|_{L^2(\Omega(R+1,\infty))} \neq 0$ . Then, as  $\nu \to \infty$  ( $\nu \in \Gamma_{ns}$ ), the l.h.s. of (17) grows faster than  $(R+1)^{\nu}$ , i.e. (17) is violated for  $\nu$  large enough. Hence we must have g=0 on  $\Omega(R+1,\infty)$ .

(iv) To show that g=0 on  $\Omega_0 = \Omega(R_0, \infty)$ , it suffices to notice that  $q \ge 2p/(p+2)$ , so that one may apply the unique continuation theorem proved in [4] (see [4], Theorem 2).

#### Additional remarks

(a) It is interesting to point out that A. Hinz recently obtained *upper* bounds for zero energy eigenfunctions that have the form of a negative power of |x|, see [7].

(b) One may ask to what extent our condition  $||r^{2-n/p}V||_{L^p} < \infty$  is optimal. For  $p = \infty$ , it requires that  $|V(x)| \le cr^{-2}$ . The following example shows that one may have exponentially decreasing zero energy eigenfunctions for potentials V tending to zero at infinity but doing so more slowly than  $r^{-2}$ : if  $-\Delta g + Vg = 0$ , then  $V = \Delta g/g$ . By taking g of the form  $g(x) = \exp[-\varphi(r)]$ , one obtains

$$V(x) = |\varphi'(r)|^2 - \varphi''(r) - (n-1)r^{-1}\varphi'(r).$$

If for example  $\varphi$  is a smooth function that is constant near r=0 and equal to  $r^{\alpha}$ ,  $0 < \alpha < 1$ , near infinity, then  $g \in L^{2}(\mathbb{R}^{n})$ , hence it is a zero energy bound state eigenfunction, and V(x) decays at infinity like  $r^{-2+2\alpha}$ . This gives a class of smooth potentials that decay like  $r^{-\beta}$ ,  $0 < \beta < 2$ , and give rise to zero energy eigenfunctions that decrease more rapidly than any negative power of |x|.

Note. This paper is an elaboration of one of the results announced in [8]. After submission of the paper for publication, our attention was drawn to Ref. [9] which contains various  $L^2$  lower bounds for eigenfunctions of Schrödinger operators, in particular a theorem of the type of that given here.

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