

Structure of the scattering operator for time-periodic Schrödinger equations

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§1. Introduction.

In this paper we study the structure of the scattering operator for time-periodic Schrödinger equations with period ω :

$$(1.1) \quad i \frac{\partial}{\partial t} \phi(t, x) = (-\Delta + V(t, x))\phi(t, x), \quad \phi(t, \cdot) \in \mathcal{H} = L^2(\mathbf{R}^n),$$

$$(1.2) \quad V(t + \omega, x) = V(t, x) \in \mathbf{R}, \quad (t \in \mathbf{R}, x \in \mathbf{R}^n).$$

Under suitable conditions on $V(t, x)$ to be specified below, (1.1) generates a unitary evolution operator $U(t, s)$, $-\infty < t, s < \infty$, and for each $s \in \mathbf{R}$, the wave operators defined by

$$(1.3) \quad W_{\pm}(s) = \text{s-lim}_{t \rightarrow \pm\infty} U(s, t) e^{-i(t-s)H_0}, \quad H_0 = -\Delta,$$

exist and are complete: $\text{Ran } W_{\pm}(s) = \mathcal{H}^{\text{ac}}(U(s + \omega, s))$ (see Yajima [14], Howland [6], Kitada-Yajima [8], Nakamura [11]). Then the scattering operator defined by

$$(1.4) \quad S(s) = W_+(s) * W_-(s)$$

is unitary, and by virtue of the time-periodicity, it satisfies

$$(1.5) \quad S(s) e^{-i\omega H_0} = e^{-i\omega H_0} S(s).$$

It follows that, if we denote a spectral representation of H_0 by $(\tilde{F}(\lambda), \mathfrak{X}(\lambda), d\lambda)$, $S(s)$ is decomposed as

$$(1.6) \quad \left\{ \begin{array}{l} S(s) = \sum_{\mu \in \mathbf{Z}} S_{\mu}, \\ \tilde{F}\left(\lambda - \frac{2\pi}{\omega} \mu\right) S_{\mu} \phi = \tilde{S}_{\mu}(\lambda) \tilde{F}(\lambda) \phi \quad (\text{a.e. } \lambda), \\ \tilde{S}_{\mu}(\lambda) \in \mathbf{B}\left(\mathfrak{X}(\lambda), \mathfrak{X}\left(\lambda - \frac{2\pi}{\omega} \mu\right)\right), \end{array} \right.$$

for any $\phi \in \mathcal{H}$. We call $\{\tilde{S}_{\mu}(\lambda)\}$ S -matrices (see §2 for details).

In this paper we are concerned with the structure of $S(s)$ or $\{\tilde{S}_{\mu}(\lambda)\}$, and show that the decay of $\tilde{S}_{\mu}(\lambda)$ as μ tends to infinity is completely determined by

the smoothness property of $V(t, x)$ in t . We assume that the potential $V(t, x)$ satisfies

ASSUMPTION $(A)_\beta$. For some $p > n$, $\alpha > 1/2$, and $\beta > 0$, $t \rightarrow (1 + |x|^2)^\alpha \cdot V(t, x)$ is an $(L^p(\mathbf{R}^n) + L^\infty(\mathbf{R}^n))$ -valued $C^{1+\beta}$ -function.

We denote the eigenvalues of $U(s + \omega, s)$ by $\{e^{-i\omega\lambda_j}\}_{j=1,2,\dots}$, and set the exceptional set \mathcal{E} as

$$(1.7) \quad \mathcal{E} = \left\{ \frac{2\pi}{\omega} \mu + \lambda_j : \mu \in \mathbf{Z}, j = 1, 2, \dots \right\} \cup \frac{2\pi}{\omega} \mathbf{Z}.$$

Under Assumption $(A)_\beta$, it is known that \mathcal{E} is a closed set with no accumulation points except $(2\pi/\omega)\mathbf{Z}$ (see Nakamura [11] Theorem 2.18). Our main result is formulated as follows.

THEOREM 1. Let $(A)_\beta$ be satisfied. Suppose that J is a compact subset of \mathbf{R} such that $J \cap \mathcal{E} = \emptyset$, and that $\varepsilon < \beta$ is a positive constant. Then

$$(1.8) \quad \|P_{\{\lambda: \lambda > E\}}(H_0)S(s)P_J(H_0)\| < CE^{-(1/4+\varepsilon)} \quad (E > 0),$$

where $\{P_\Omega(H_0)\}$ is the spectral measure of H_0 .

Scattering theory for time-periodic Schrödinger equations has been studied by Schmidt [13], Yajima [14], Howland [6], Kitada-Yajima [8], and others ([1], [3], [11]), and the existence and the completeness of the wave operators have been proved by them. To prove these properties, Schmidt used the trace class method of Birman-Kato; Yajima and Howland employed a time-periodic version of the Howland stationary theory for time-dependent Hamiltonians ([5]); and Kitada-Yajima used a variation of Enss time-dependent method ([2]). See Yajima [15] for further references. On the other hand, representation of the scattering operator for time-independent Schrödinger operators had been known in the physical literature since 1950's, and proved rigorously by stationary scattering theory (see the note for XII-§6 of Reed-Simon [12], and Kuroda [10] for example). Here we shall combine an abstract representation formula given by Kuroda [9] with the method of Yajima-Howland to obtain a representation of $S(s)$ (see Theorem 2).

In §2 we review the method of Yajima-Howland, and construct an explicit representation of $S(s)$. In §3 we estimate $\{\tilde{S}_\mu(\lambda)\}$ and prove Theorem 1.

NOTATIONS. We shall use the following notations throughout the paper.

We denote the set of natural numbers by \mathbf{N} , integers by \mathbf{Z} , and reals by \mathbf{R} . We write \mathbf{R}^n for the Euclidian n -space.

For a Hilbert space \mathcal{H} and a measure space M , we write $L^p(M, \mathcal{H})$ for the \mathcal{H} -valued L^p -space on M , and write $l^p(\mathcal{H}) = L^p(\mathbf{Z}, \mathcal{H})$. For a pair of Banach spaces (X, Y) , $B(X, Y)$ denotes the Banach space of all bounded operators from

X to Y , and we write $B(X)=B(X, X)$.

$H^\gamma(\mathbf{R}^n)$ is the Sobolev space of order γ on \mathbf{R}^n , and $H_\alpha^\gamma(\mathbf{R}^n)$ denotes the weighted Sobolev space:

$$(1.9) \quad H_\alpha^\gamma(\mathbf{R}^n)=\{\phi \in \mathcal{S}'(\mathbf{R}^n) : (1+|x|^2)^{\alpha/2}\phi(x) \in H^\gamma(\mathbf{R}^n)\}.$$

We write $L_\alpha^2(\mathbf{R}^n)=H_\alpha^0(\mathbf{R}^n)$ for the weighted L^2 -space. For $m \in \mathbf{N}$ and $0 < \beta < 1$, $C^{m+\beta}(\mathbf{R})$ denotes the class of C^m -functions whose m -th derivative is Hölder continuous of order β .

For a function $F=F(x)$, we denote the multiplication operator by $F(x)$ by the same symbol F . We write $\langle x \rangle = \sqrt{1+|x|^2}$ for $x \in \mathbf{R}^n$.

$\mathcal{F}_{x \rightarrow \xi}$ denotes the Fourier transform from \mathbf{R}_x^n -space to \mathbf{R}_ξ^n -space and is defined by

$$(1.10) \quad (\mathcal{F}_{x \rightarrow \xi}\phi)(\xi) = \hat{\phi}(\xi) = (2\pi)^{-n/2} \int_{\mathbf{R}^n} e^{-ix \cdot \xi} \phi(x) dx.$$

$\mathcal{F}_{t \rightarrow \mu}\phi$ denotes the Fourier series expansion of ϕ on $[0, \omega)$ and is defined by

$$(1.11) \quad (\mathcal{F}_{t \rightarrow \mu}\phi)_\mu = \omega^{-1/2} \int_0^\omega e^{-i2\pi\mu t/\omega} \phi(t) dt.$$

We define the energy support of $\phi \in L^2(\mathbf{R}^n)$ by

$$(1.12) \quad \text{E-supp } \phi = \{|\xi|^2 : \xi \in \text{supp}(\mathcal{F}_{x \rightarrow \xi}\phi)\}.$$

§ 2. Representation of the scattering operator.

In this section we assume $(A)_\beta$. Then it is known that (1.1) generates a unitary evolution operators.

PROPOSITION 2.1. *There exists a set of unitary operators $\{U(t, s) : t, s \in \mathbf{R}\}$ such that*

$$(2.1) \quad (t, s) \rightarrow U(t, s) : \quad \text{strongly continuous.}$$

$$(2.2) \quad U(t, s) = U(t, r)U(r, s) \quad (t, r, s \in \mathbf{R}).$$

$$(2.3) \quad U(t+\omega, s+\omega) = U(t, s) \quad (t, s \in \mathbf{R}).$$

$$(2.4) \quad U(t, s)H^2(\mathbf{R}^n) = H^2(\mathbf{R}^n) \quad (t, s \in \mathbf{R}).$$

$$(2.5) \quad \begin{aligned} \frac{d}{dt}U(t, s)\phi &= i(H_0 + V(t))U(t, s)\phi \quad (t, s \in \mathbf{R}, \phi \in H^2(\mathbf{R}^n)), \\ \frac{d}{ds}U(t, s)\phi &= -iU(t, s)(H_0 + V(s))\phi \quad (t, s \in \mathbf{R}, \phi \in H^2(\mathbf{R}^n)), \end{aligned}$$

where the derivatives are taken in the strong sense.

For the proof see Kato [7], Yajima [14].

It is known also that the wave operators exist and are complete (Kitada-

Yajima [8], see also Yajima [14], Howland [6], Nakamura [11]).

PROPOSITION 2.2. *The wave operators defined by*

$$(2.6) \quad W_{\pm}(s) = \text{s-lim}_{t \rightarrow \pm\infty} U(s, t) e^{-i(t-s)H_0}$$

exist and are complete:

$$(2.7) \quad \text{Ran } W_{\pm}(s) = \mathcal{H}^{\text{ac}}(U(s, s+\omega)).$$

Now, following Yajima [14] and Howland [6], we introduce

$$(2.8) \quad \mathcal{K} = L^2(\mathbf{T}, \mathcal{H}) \cong L^2(\mathbf{T}) \otimes \mathcal{H}, \quad \mathcal{H} = L^2(\mathbf{R}^n), \quad \mathbf{T} = \mathbf{R}/\omega,$$

and we define the propagators $\mathcal{U}_o(\sigma)$, $\mathcal{U}(\sigma)$ by

$$(2.9) \quad (\mathcal{U}_o(\sigma)\Psi)(t) = e^{-i\sigma H_0}\Psi(t-\sigma),$$

$$(2.10) \quad (\mathcal{U}(\sigma)\Psi)(t) = U(t, t-\sigma)\Psi(t-\sigma),$$

for $\Psi = \{\Psi(t) : t \in \mathbf{T}, \Psi(t) \in \mathcal{H}\} \in \mathcal{K}$. It follows easily from Proposition 2.1 that $\{\mathcal{U}_o(\sigma) : \sigma \in \mathbf{R}\}$ and $\{\mathcal{U}(\sigma) : \sigma \in \mathbf{R}\}$ are one parameter unitary groups on \mathcal{K} . Then by Stone's theorem, there exist self-adjoint operators K_0 and K such that $\mathcal{U}_o(\sigma) = e^{-i\sigma K_0}$ and $\mathcal{U}(\sigma) = e^{-i\sigma K}$.

We define \mathcal{U}_{os} and $\mathcal{U}_s \in \mathcal{B}(\mathcal{H}, \mathcal{K})$ by

$$(2.11) \quad (\mathcal{U}_{os}\phi)(t) = e^{-i(t-s)H_0}\phi \quad (0 \leq t < \omega),$$

$$(2.12) \quad (\mathcal{U}_s\phi)(t) = U(t, s)\phi \quad (0 \leq t < \omega),$$

for $\phi \in \mathcal{H}$, where we identify \mathbf{T} with $[0, \omega)$.

LEMMA 2.3 (Yajima [14], Howland [6]). *Wave operators defined by*

$$(2.13) \quad \mathcal{W}_{\pm} = \text{s-lim}_{t \rightarrow \pm\infty} \mathcal{U}(-\sigma)\mathcal{U}_o(\sigma)$$

exist and are complete: $\text{Ran } \mathcal{W}_{\pm} = \mathcal{K}^{\text{ac}}(K)$. Thus the scattering operator defined by $S = \mathcal{W}_{+}^ \mathcal{W}_{-}$ is unitary. Moreover,*

$$(2.14) \quad \mathcal{W}_{\pm} \mathcal{U}_{os} = \mathcal{U}_s \mathcal{W}_{\pm}(s),$$

$$(2.15) \quad \mathcal{U}_{os}^* S \mathcal{U}_{os} = \omega S(s).$$

PROOF. From the definitions (2.9)~(2.12), we see for $\Psi \in \mathcal{K}$,

$$(2.16) \quad \begin{aligned} & (\mathcal{U}(\sigma)^* \mathcal{U}_o(\sigma)\Psi)(t) \quad (0 \leq t < \omega) \\ & = U(t, t+\sigma) e^{-i\sigma H_0} \Psi(t) \\ & = U(t, s) \{U(s, t+\sigma) e^{-i(\sigma+t-s)H_0}\} e^{i(t-s)H_0} \Psi(t). \end{aligned}$$

By this formula, we obtain the existence of \mathcal{W}_{\pm} , (2.14) and (2.15). If we set $(\tilde{\mathcal{U}}_s \Psi)(t) = U(t, s)\Psi(t)$ ($0 \leq t < \omega$), we see also

$$\begin{aligned}
 (2.17) \quad (\mathcal{U}(\omega)\Psi)(t) &= U(t+\omega, t)\Psi(t) \\
 &= U(t, s)U(s+\omega, s)U(s, t)\Psi(t) \\
 &= (\tilde{\mathcal{U}}_s(I \otimes U(s+\omega, s))\tilde{\mathcal{U}}_s^*\Psi)(t).
 \end{aligned}$$

Thus we have

$$\begin{aligned}
 (2.18) \quad \mathcal{K}^{ac}(K) &= \mathcal{K}^{ac}(\mathcal{U}(\omega)) \\
 &= \mathcal{K}^{ac}(\tilde{\mathcal{U}}_s(I \otimes U(s+\omega, s))\tilde{\mathcal{U}}_s^*) \\
 &= \tilde{\mathcal{U}}_s \mathcal{K}^{ac}(I \otimes U(s+\omega, s)) \\
 &= \tilde{\mathcal{U}}_s(L^2(\mathbf{T}) \otimes \text{Ran } W_{\pm}(s)) \quad (\text{by Proposition 2.2}).
 \end{aligned}$$

The completeness follows from (2.16) and (2.18). \square

Let us consider K_0 . Denote by $\gamma(\rho)$ the trace operator: $\gamma(\rho)\phi(x) = \phi(x)$ ($x \in \rho S^{n-1}$), $H^\alpha(\mathbf{R}^n) \rightarrow L^2(\rho S^{n-1})$, and define $\tilde{F}(\lambda) : L^2_\alpha(\mathbf{R}^n) \rightarrow L^2(\lambda^{1/2} S^{n-1}) \equiv \mathcal{X}(\lambda)$ by $\tilde{F}(\lambda) = 2^{-1/2} \lambda^{-1/4} \gamma(\lambda^{1/2}) \mathcal{F}_{x \rightarrow \xi}$ if $\lambda \geq 0$, and $\tilde{F}(\lambda) = 0$ if $\lambda < 0$. Then it is well-known that $(\tilde{F}(\lambda), \mathcal{X}(\lambda), d\lambda)$ provides a spectral representation of H_0 i.e.

$$(2.19) \quad P_\Omega(H_0) = \int_{\lambda \in \Omega} \tilde{F}(\lambda)^* \tilde{F}(\lambda) d\lambda \quad (\Omega : \text{a Borel set of } \mathbf{R})$$

where the integral is a Riemann integral of $B(L^2_\alpha(\mathbf{R}^n), L^2_\alpha(\mathbf{R}^n))$ -valued continuous function.

LEMMA 2.4. K_0 can be represented as

$$(2.20) \quad (\mathcal{F}_{t \rightarrow \mu} K_0 \Psi)_\mu = \left(H_0 + \frac{2\pi}{\omega} \mu \right) (\mathcal{F}_{t \rightarrow \mu} \Psi)_\mu, \quad \Psi \in D(K_0).$$

Further, if we define

$$F(\lambda) : L^2(\mathbf{T}, L^2_\alpha) \longrightarrow \bigoplus_{\mu < (\omega/2\pi)\lambda} \mathcal{X}\left(\lambda - \frac{2\pi}{\omega} \mu\right) \equiv \mathcal{Y}(\lambda)$$

by

$$(F(\lambda)\Psi)_\mu = \tilde{F}\left(\lambda - \frac{2\pi}{\omega} \mu\right) (\mathcal{F}_{t \rightarrow \mu} \Psi)_\mu,$$

then $(F(\lambda), \mathcal{Y}(\lambda), d\lambda)$ provides a spectral representation of K_0 i.e.

$$(2.21) \quad P_\Omega(K_0) = \int_{\lambda \in \Omega} F(\lambda)^* F(\lambda) d\lambda \quad (\Omega : \text{a Borel set of } \mathbf{R})$$

where the integral is a Riemann integral of $B(L^2(\mathbf{T}, L^2_\alpha), L^2(\mathbf{T}, L^2_\alpha))$ -valued continuous function.

PROOF. (2.20) follows easily from the definition (2.9). From (2.20) we have

$$(2.22) \quad \mathcal{F}_{t \rightarrow \mu} f(K_0) = f\left(H_0 + \frac{2\pi}{\omega} \mu\right) \mathcal{F}_{t \rightarrow \mu},$$

for any bounded Borel function f on \mathbf{R} . So we see

$$\begin{aligned}
 (2.23) \quad (\Phi, P_\Omega(K_0)\Psi) &= \sum_\mu ((\mathcal{F}_{t \rightarrow \mu} \Phi)_\mu, P_\Omega(H_0 + \frac{2\pi}{\omega} \mu)(\mathcal{F}_{t \rightarrow \mu} \Psi)_\mu) \\
 &= \sum_\mu \int_{\lambda + (2\pi/\omega)\mu \in \Omega} ((\mathcal{F}_{t \rightarrow \mu} \Phi)_\mu, \tilde{F}(\lambda) * \tilde{F}(\lambda)(\mathcal{F}_{t \rightarrow \mu} \Psi)_\mu) d\lambda \\
 &= \int_{\lambda \in \Omega} \sum_\mu (\tilde{F}(\lambda - \frac{2\pi}{\omega} \mu)(\mathcal{F}_{t \rightarrow \mu} \Phi)_\mu, \tilde{F}(\lambda - \frac{2\pi}{\omega} \mu)(\mathcal{F}_{t \rightarrow \mu} \Psi)_\mu) d\lambda \\
 &= \int_{\lambda \in \Omega} (F(\lambda)\Phi, F(\lambda)\Psi) d\lambda,
 \end{aligned}$$

for $\Phi, \Psi \in L^2(\mathbf{T}, L^2_\alpha)$. This proves (2.21). \square

Next we consider the potential function $V(t, x)$. We define an operator V on \mathcal{K} by $(Vf)(t, x) = V(t, x)f(t, x)$, and set

$$(2.24) \quad V_\mu(x) = \omega^{1/2} (\mathcal{F}_{t \rightarrow \mu} V)_\mu = \int_0^\omega e^{-i2\pi\mu t/\omega} V(t, x) dt.$$

LEMMA 2.5. For γ such that $n/p < \gamma < 1$, and for $\varepsilon < \beta$,

$$(2.25) \quad \sum_{\mu \in \mathbf{Z}} \langle \mu \rangle^\varepsilon \| \langle x \rangle^{2\alpha} V_\mu \|_{\mathbf{B}(H^\gamma, L^2)} < \infty,$$

and for $\Psi \in L^2(\mathbf{T}, H^\gamma)$,

$$(2.26) \quad (\mathcal{F}_{t \rightarrow \mu} V\Psi)_\mu = \sum_{\nu \in \mathbf{Z}} V_{\mu-\nu} (\mathcal{F}_{t \rightarrow \mu} \Psi)_\nu.$$

PROOF. By Assumption (A) $_\beta$, we have

$$(2.27) \quad \sup_{\mu \in \mathbf{Z}} \langle \mu \rangle^{1+\beta} \| \langle x \rangle^{2\alpha} V_\mu(x) \|_{L^p + L^\infty} < \infty.$$

Thus,

$$(2.28) \quad \sum_{\mu \in \mathbf{Z}} \langle \mu \rangle^\varepsilon \| \langle x \rangle^{2\alpha} V_\mu(x) \|_{L^p + L^\infty} < \infty.$$

Since for any multiplication operator $F = F(x)$ and for $n/p < \gamma < 1$, $\|F\|_{\mathbf{B}(H^\gamma, L^2)} \leq C\|F\|_{L^p + L^\infty}$ by Sobolev embedding theorem, we obtain (2.25). (2.26) is obvious. \square

We fix γ in the above lemma.

LEMMA 2.6 (Yajima-Kitada [16]). V is K_0 -bounded with zero K_0 -bound and $K = K_0 + V$.

PROOF. The lemma follows from (2.26) and the fact that $\langle x \rangle^{-\alpha}(H_0 + 1)^{(1/2)r}$ is K_0 -bounded with zero K_0 -bound (see Lemma 4.2 of Yajima-Kitada [16], see also Proposition 2.4 of Nakamura [11]). \square

LEMMA 2.7. $G_-(\lambda) = \lim_{\varepsilon \downarrow 0} (1 + (K_0 - (\lambda + i\varepsilon))^{-1}V)^{-1}$ exists for $\lambda \notin \mathcal{E}$ in $\mathbf{B}(L^2(\mathbf{T}, H^r_\alpha(\mathbf{R}^n)))$, and $G_-(\lambda)$ is uniformly bounded in $\lambda \in J$ if J satisfies the as-

sumptions of Theorem 1.

For the proof, see Nakamura [11], or Appendix of this paper.

We define $T(\lambda) = VG_-(\lambda)$, then $T(\lambda)$ is a bounded operator from $L^2(\mathbf{T}, H_{\alpha}^{\perp})$ to $L^2(\mathbf{T}, L_{\alpha}^2)$ if $\lambda \notin \mathcal{E}$, by Lemma 2.5 and Lemma 2.7. We denote by $T(\lambda)_{\mu\nu}$ the (μ, ν) -matrix element of $\mathcal{F}_{t \rightarrow \mu} T(\lambda) \mathcal{F}_{t \rightarrow \mu}^{-1}$. Now we can state our main result of this section.

THEOREM 2. Suppose $\phi, \psi \in C_0^{\infty}(\mathbf{R}^n)$ and $E\text{-supp } \phi \cap \mathcal{E} = \emptyset$, then

$$(2.29) \quad (\phi, S(s)\psi) = (\phi, \psi) - 2\pi i \sum_{\mu \in \mathbf{Z}} e^{is(2\pi/\omega)\mu} \int_0^{\infty} d\lambda \left(\tilde{F}\left(\lambda - \frac{2\pi}{\omega}\mu\right)^* \tilde{F}\left(\lambda - \frac{2\pi}{\omega}\mu\right) \phi, T(\lambda)_{\mu 0} \tilde{F}(\lambda)^* \tilde{F}(\lambda) \psi \right)$$

or, in the form of S -matrices defined by (1.6),

$$(2.30) \quad \begin{aligned} \tilde{S}_{\mu}(\lambda) &= \delta_{\mu 0} - 2\pi i e^{is(2\pi/\omega)\mu} \tilde{F}\left(\lambda - \frac{2\pi}{\omega}\mu\right) T(\lambda)_{\mu 0} \tilde{F}(\lambda)^* \\ &= \delta_{\mu 0} - \pi i e^{is(2\pi/\omega)\mu} \left(\lambda - \frac{2\pi}{\omega}\mu\right)^{-1/4} \gamma\left(\left(\lambda - \frac{2\pi}{\omega}\mu\right)^{1/2}\right) \mathcal{F}_{x \rightarrow \xi} T(\lambda)_{\mu 0} \mathcal{F}_{x \rightarrow \xi}^{-1} \gamma(\lambda^{1/2})^* \lambda^{-1/4} \end{aligned}$$

where $\delta_{\mu 0}$ is the Kronecker's delta symbol.

REMARK. The integrant in the right hand side of (2.29) is continuous in λ because $\tilde{F}(\lambda)^* \tilde{F}(\lambda)$ is a continuous $B(L_{\alpha}^2, H_{\alpha}^{\perp})$ -valued function as is easily seen from the definition of $\tilde{F}(\lambda)$, and $T(\lambda)$ is continuous in $\lambda \notin \mathcal{E}$.

PROOF. If we set

$$(2.31) \quad \tilde{S}(\lambda) = 1 - 2\pi i F(\lambda) T(\lambda) F(\lambda)^*,$$

Theorem 6.3 of Kuroda [9] yields

$$(2.32) \quad F(\lambda) S \Phi = \tilde{S}(\lambda) F(\lambda) \Phi \quad (\text{a.e. } \lambda)$$

for $\Phi \in L^2(\mathbf{T}, L_{\alpha}^2)$. Hence if Φ and $\Psi \in L^2(\mathbf{T}, H_{\alpha}^{\perp})$ satisfy $\text{dist}(\cup_{\mu} E\text{-supp}(\mathcal{F}_{t \rightarrow \mu} \Psi)_{\mu}, \mathcal{E}) > 0$, we see

$$(2.33) \quad \begin{aligned} (\Phi, (S-1)\Psi) &= -2\pi i \int d\lambda (F(\lambda) \Phi, (\tilde{S}(\lambda) - 1) F(\lambda) \Psi) \\ &= -2\pi i \sum_{\mu, \nu} \int d\lambda \left(\tilde{F}\left(\lambda - \frac{2\pi}{\omega}\mu\right)^* \tilde{F}\left(\lambda - \frac{2\pi}{\omega}\mu\right) (\mathcal{F}_{t \rightarrow \mu} \Phi)_{\mu}, \right. \\ &\quad \left. T(\lambda)_{\mu\nu} \tilde{F}\left(\lambda - \frac{2\pi}{\omega}\nu\right)^* \tilde{F}\left(\lambda - \frac{2\pi}{\omega}\nu\right) (\mathcal{F}_{t \rightarrow \mu} \Psi)_{\nu} \right). \end{aligned}$$

Note that $\mathcal{F}_{t \rightarrow \mu} \mathcal{U}_{os} \phi$ is given by

$$(2.34) \quad (\mathcal{F}_{t \rightarrow \mu} \mathcal{U}_{os} \phi)_{\mu} = i\omega^{-1/2} \left(H_0 + \frac{2\pi}{\omega} \mu \right)^{-1} (e^{-i\omega H_0} - 1) e^{isH_0} \phi.$$

Combining (2.15), (2.33) and (2.34), we have

$$\begin{aligned}
 (2.35) \quad & (\phi, (S(s)-1)\phi) = \omega^{-1}(\mathcal{U}_{os}\phi, (S-1)\mathcal{U}_{os}\phi) \\
 & = -\frac{2\pi i}{\omega^2} \sum_{\mu, \nu} \int d\lambda \frac{|e^{i\omega\lambda}-1|^2}{\lambda^2} e^{is(2\pi/\omega)(\mu-\nu)} \\
 & \quad \times \left(\tilde{F}\left(\lambda - \frac{2\pi}{\omega}\mu\right)^* \tilde{F}\left(\lambda - \frac{2\pi}{\omega}\mu\right)\phi, T(\lambda)_{\mu\nu} \tilde{F}\left(\lambda - \frac{2\pi}{\omega}\nu\right)^* \tilde{F}\left(\lambda - \frac{2\pi}{\omega}\nu\right)\phi \right).
 \end{aligned}$$

Then observing the property: $T(E)_{\mu\nu} = T(E - (2\pi/\omega)m)_{\mu-m, \nu-m}$, we can write the right hand side of (2.35) as

$$\begin{aligned}
 (2.36) \quad & -2\pi i \sum_{\mu} \int d\lambda \left\{ \frac{1}{\omega^2} \sum_{\nu} \frac{|e^{i\omega\lambda}-1|^2}{(\lambda + (2\pi/\omega)\nu)^2} \right\} e^{is(2\pi/\omega)\mu} \\
 & \quad \times \left(\tilde{F}\left(\lambda - \frac{2\pi}{\omega}\mu\right)^* \tilde{F}\left(\lambda - \frac{2\pi}{\omega}\mu\right)\phi, T(\lambda)_{\mu 0} \tilde{F}(\lambda)^* \tilde{F}(\lambda)\phi \right).
 \end{aligned}$$

Note $\frac{1}{\omega^2} \sum_{\nu} \frac{|e^{i\omega\lambda}-1|^2}{(\lambda + (2\pi/\omega)\nu)^2} \equiv 1$ by Plancherel's theorem since $-i\omega^{-1/2} \frac{e^{i\omega\lambda}-1}{\lambda - (2\pi/\omega)\nu}$ are Fourier coefficients of $e^{it\lambda}$. Thus the theorem is proved. \square

REMARK. Theorem 2 holds under a slightly weaker assumption:

ASSUMPTION (A)'. For some $p > n$ and $\alpha > 1/2$, $t \rightarrow \langle x \rangle^{2\alpha} V(t, x)$ is an $(L^p(\mathbf{R}^n) + L^\infty(\mathbf{R}^n))$ -valued absolutely continuous function.

In fact, Lemma 2.6 and Lemma 2.7 still remains valid under (A)'. Moreover if we employ a different formulation of $T(\lambda)$, we can obtain an analogous representation formula of $S(s)$ under

ASSUMPTION (A)". For some $p > n/2$ and $\alpha > 1/2$, $t \rightarrow \langle x \rangle^{2\alpha} V(t, x)$ is an $(L^p(\mathbf{R}^n) + L^\infty(\mathbf{R}^n))$ -valued absolutely continuous function. \square

§ 3. Proof of Theorem 1.

In this section, we assume (A) $_{\beta}$ and suppose that J and ε satisfy the assumption of the theorem. We begin with

LEMMA 3.1. Let W be a multiplication operator by $W(x)$. Suppose $\langle x \rangle^{2\alpha} W(x) \in L^p(\mathbf{R}^n) + L^\infty(\mathbf{R}^n)$ for $\alpha > 1/2$ and $p > n$. Then for $n/p < \gamma < 1$ and $\delta > 0$, there exists $\varepsilon_1 > 0$ such that

$$(3.1) \quad \|(H_0 - \zeta)^{-1} W\|_{\mathbf{B}(H^{\gamma}_{-\alpha}(\mathbf{R}^n))} \leq C |\zeta|^{-s_1} \|\langle x \rangle^{2\alpha} W\|_{L^p + L^\infty} \quad (|\zeta| > \delta).$$

PROOF. It is sufficient to prove

$$\begin{aligned}
 (3.2) \quad & \|(H_0 + 1)^{\gamma/2} \langle x \rangle^{-\alpha} (H_0 - \zeta)^{-1} W \langle x \rangle^{\alpha} (H_0 + 1)^{-\gamma/2}\|_{\mathbf{B}(L^2)} \\
 & \leq C |\zeta|^{-s_1} \|\langle x \rangle^{2\alpha} W\|_{L^p + L^\infty} \quad (|\zeta| > \delta).
 \end{aligned}$$

Now we have

$$(3.3) \quad \begin{aligned} & (H_0+1)^{\gamma/2}\langle x \rangle^{-\alpha}(H_0-\zeta)^{-1}W\langle x \rangle^\alpha(H_0+1)^{-\gamma/2} \\ & = \{(H_0+1)^{\gamma/2}\langle x \rangle^{-\alpha}(H_0-\zeta)^{-1}\langle x \rangle^{-\alpha}\} \{\langle x \rangle^{2\alpha}W(H_0+1)^{-\gamma/2}\}. \end{aligned}$$

By Sobolev embedding theorem, we see

$$(3.4) \quad \|(\langle x \rangle^{2\alpha}W)(H_0+1)^{-\gamma/2}\| \leq C\|\langle x \rangle^{2\alpha}W\|_{L^p+L^\infty}.$$

Hence it remains only to prove

$$(3.5) \quad \|(H_0+1)^{\gamma/2}\langle x \rangle^{-\alpha}(H_0-\zeta)^{-1}\langle x \rangle^{-\alpha}\| \leq C|\zeta|^{-\varepsilon_1} \quad (|\zeta| > \delta).$$

If $\gamma=0$, by Proposition 2.3.2 of Ginibre-Moulin [4],

$$(3.6) \quad \|\langle x \rangle^{-\alpha}(H_0-\zeta)^{-1}\langle x \rangle^{-\alpha}\| \leq C|\zeta|^{-1/2}.$$

On the other hand, if $\gamma=2$,

$$(3.7) \quad \begin{aligned} & \|(H_0+1)\langle x \rangle^{-\alpha}(H_0-\zeta)^{-1}\langle x \rangle^{-\alpha}\| \\ & \leq \|[H_0, \langle x \rangle^{-\alpha}](H_0-\zeta)^{-1}\langle x \rangle^{-\alpha}\| + \|\langle x \rangle^{-\alpha}\{1+(\zeta+1)(H_0-\zeta)^{-1}\}\langle x \rangle^{-\alpha}\| \\ & \leq C\|\langle x \rangle^{-\alpha-1}\nabla_x(H_0-\zeta)^{-1}\langle x \rangle^{-\alpha}\| + C(|\zeta|+1)\|\langle x \rangle^{-\alpha}(H_0-\zeta)^{-1}\langle x \rangle^{-\alpha}\| + C \\ & \leq C|\zeta|^{1/2} \quad (|\zeta| > \delta), \end{aligned}$$

where we have used the relation $\|\langle x \rangle^{-\alpha}\nabla_x(H_0-\zeta)^{-1}\langle x \rangle^{-\alpha}\| \leq C$ for any ζ . Using interpolation theorem of Calderón-Lions (Reed-Simon [12], Theorem IX-20) between (3.6) and (3.7), we obtain (3.5). \square

We denote by $G_-(\lambda)_{\mu\nu}$ the (μ, ν) -matrix component of $\mathcal{F}_{t \rightarrow \mu}G_-(\lambda)\mathcal{F}_{t \rightarrow \mu}^{-1}$. Then $\{G_-(\lambda)_{\mu o}\}$ are estimated as follows:

PROPOSITION 3.2. For $\phi \in H^{\gamma, \alpha}(\mathbf{R}^n)$ and $\lambda \in J$,

$$(3.8) \quad \left(\sum_{\mu \in \mathbf{Z}} \langle \mu \rangle^{2\varepsilon} \|G_-(\lambda)_{\mu o}\phi\|_{\dot{H}^{\gamma, \alpha}}^2\right)^{1/2} \leq C\|\phi\|_{\dot{H}^{\gamma, \alpha}}.$$

PROOF. Let $\Phi \in L^2(\mathbf{T}, H^{\gamma, \alpha})$ be $\Phi(t) \equiv \phi \in H^{\gamma, \alpha}$, and let $\Psi = G_-(\lambda)\Phi$. We denote $(\mathcal{F}_{t \rightarrow \mu}\Psi)_\mu = G_-(\lambda)_{\mu o}\phi$ by $\phi_\mu \in H^{\gamma, \alpha}$. Then obviously

$$(3.9) \quad \phi_\mu = \delta_{\mu o}\phi - \sum_{\nu \in \mathbf{Z}} \left(H_0 - (\lambda + i0) + \frac{2\pi}{\omega}\mu\right)^{-1} V_{\mu-\nu}\phi_\nu.$$

On the other hand Lemma 2.7 implies

$$(3.10) \quad \sum_{\mu \in \mathbf{Z}} \|\phi_\mu\|_{\dot{H}^{\gamma, \alpha}}^2 \leq C\|\phi\|_{\dot{H}^{\gamma, \alpha}}^2.$$

By Lemma 3.1 and (3.9), we see

$$(3.11) \quad \|\phi_\mu\|_{\dot{H}^{\gamma, \alpha}} \leq \delta_{\mu o}\|\phi\|_{\dot{H}^{\gamma, \alpha}} + C\langle \mu \rangle^{-\varepsilon_1} \sum_{\nu \in \mathbf{Z}} \|\langle x \rangle^{2\alpha}V_{\mu-\nu}\|_{L^p+L^\infty} \|\phi_\nu\|_{\dot{H}^{\gamma, \alpha}}.$$

Using Young's inequality, (3.10) and (3.11) we obtain

$$(3.12) \quad \left(\sum_{\mu \in \mathbf{Z}} \langle \mu \rangle^{2\varepsilon_1} \|\phi_\mu\|_{\dot{H}^{\gamma-\alpha}}^2\right)^{1/2} \leq C(1 + \sum_{\nu \in \mathbf{Z}} \|\langle x \rangle^{2\alpha} V_\nu\|_{L^p+L^\infty}) \|\phi\|_{\dot{H}^{\gamma-\alpha}} \\ \leq C \|\phi\|_{\dot{H}^{\gamma-\alpha}}.$$

Similarly, for $\varepsilon_1 < \varepsilon$ and $2\varepsilon_1 < \beta$, using Young's inequality, (3.11) and (3.12), we obtain

$$(3.13) \quad \left(\sum_{\mu \in \mathbf{Z}} \langle \mu \rangle^{4\varepsilon_1} \|\phi_\mu\|_{\dot{H}^{\gamma-\alpha}}^2\right)^{1/2} \\ \leq C(1 + \sum_{\nu \in \mathbf{Z}} \|\langle \nu \rangle^{\varepsilon_1} \langle x \rangle^{2\alpha} V_\nu\|_{L^p+L^\infty}) \|\phi\|_{\dot{H}^{\gamma-\alpha}} \\ \leq C \|\phi\|_{\dot{H}^{\gamma-\alpha}}.$$

Repeating this procedure, we have

$$(3.14) \quad \left(\sum_{\mu \in \mathbf{Z}} \langle \mu \rangle^{2m\varepsilon_1} \|\phi_\mu\|_{\dot{H}^{\gamma-\alpha}}^2\right)^{1/2} \leq C \|\phi\|_{\dot{H}^{\gamma-\alpha}}$$

provided $m\varepsilon_1 < \beta$. Replacing ε_1 by smaller one if necessary, we can find $m \in \mathbf{N}$ such that $\varepsilon < m\varepsilon_1 < \beta$. This completes the proof. \square

PROPOSITION 3.3. For $\phi \in \dot{H}^{\gamma-\alpha}(\mathbf{R}^n)$ and $\lambda \in J$,

$$(3.15) \quad \left(\sum_{\mu \in \mathbf{Z}} \langle \mu \rangle^{2\varepsilon} \|T(\lambda)_{\mu 0} \phi\|_{L_\alpha^2}\right)^{1/2} \leq C \|\phi\|_{\dot{H}^{\gamma-\alpha}}.$$

PROOF. If we observe that

$$(3.16) \quad \|T(\lambda)_{\mu 0} \phi\|_{L_\alpha^2} \leq C \langle \mu \rangle^{-\varepsilon} \sum_{\nu \in \mathbf{Z}} (\langle \mu - \nu \rangle^\varepsilon \|V_{\mu-\nu}\|_{L^p+L^\infty}) \langle \nu \rangle^\varepsilon \|G_-(\lambda)_{\nu 0} \phi\|_{\dot{H}^{\gamma-\alpha}},$$

the proposition follows from Young's inequality and Proposition 3.2. \square

PROOF OF THEOREM 1. We may assume without loss of generality that $J \subset ((2\pi/\omega)k, (2\pi/\omega)(k+1))$ for some $k \in \mathbf{N}$, then the ranges of $\{S_\mu P_J(H_0)\}$ are mutually orthogonal where S_μ is defined by (1.6). By Theorem 2, $S_\mu P_J(H_0)$ has a representation:

$$(3.17) \quad (\phi, S_\mu P_J(H_0)\phi) = \delta_{\mu 0} (\phi, P_J(H_0)\phi) - \pi i e^{i\varepsilon(2\pi/\omega)\mu} \int_{\lambda \in J} d\lambda \left(\lambda - \frac{2\pi}{\omega} \mu\right)^{-1/4} \lambda^{-1/4} \\ \times \left(\mathcal{F}_{x \rightarrow \xi}^{-1} \gamma \left(\left(\lambda - \frac{2\pi}{\omega} \mu\right)^{1/2}\right)^* \tilde{F} \left(\lambda - \frac{2\pi}{\omega} \mu\right) \phi, T(\lambda)_{\mu 0} \mathcal{F}_{x \rightarrow \xi}^{-1} \gamma(\lambda^{1/2})^* \tilde{F}(\lambda) \phi\right)$$

for $\phi, \psi \in L_\alpha^2(\mathbf{R}^n)$. Because $\gamma(\rho)$ is uniformly bounded in ρ as operators from $H^\alpha(\mathbf{R}^n)$ to $L^2(\rho S^{n-1})$, we see

$$(3.18) \quad |(\phi, S_\mu P_J(H_0)\phi)| \\ \leq \delta_{\mu 0} \|\phi\| \|\phi\| \\ + C \langle \mu \rangle^{-1/4} \int_{\lambda \in J} d\lambda \left\| \tilde{F} \left(\lambda - \frac{2\pi}{\omega} \mu\right) \phi \right\|_{\mathcal{X}(\lambda - (2\pi/\omega)\mu)} \|T(\lambda)_{\mu 0} \mathcal{F}_{x \rightarrow \xi}^{-1} \gamma(\lambda^{1/2})^* \tilde{F}(\lambda) \phi\|_{L_\alpha^2}$$

$$\leq \delta_{\mu_0} \|\phi\| \|\psi\| + C \langle \mu \rangle^{-(1/4+\varepsilon)} \|\phi\| \left\{ \int_{\lambda \in J} d\lambda \langle \mu \rangle^{2\varepsilon} \|T(\lambda)_{\mu_0} \mathcal{F}_{x \rightarrow \xi}^{-1} \gamma(\lambda^{1/2})^* \tilde{F}(\lambda) \phi\|_{L^2_\alpha}^2 \right\}^{1/2}$$

by Schwartz inequality.

Hence we obtain for $m > k$ and $\phi \in L^2_\alpha(\mathbf{R}^n)$,

$$\begin{aligned} (3.19) \quad & \|P_{\{\lambda: \lambda > (2\pi/\omega) m\}}(H_0) S_\mu P_J(H_0) \phi\|^2 \\ &= \sum_{-\mu \geq m-k} \|S_\mu P_J(H_0) \phi\|^2 \\ &\leq C \sum_{-\mu \geq m-k} \langle \mu \rangle^{-2(1/4+\varepsilon)} \int_{\lambda \in J} d\lambda \langle \mu \rangle^{2\varepsilon} \|T(\lambda)_{\mu_0} \mathcal{F}_{x \rightarrow \xi}^{-1} \gamma(\lambda^{1/2})^* \tilde{F}(\lambda) \phi\|_{L^2_\alpha}^2 \quad (\text{by (3.18)}) \\ &\leq C \langle m \rangle^{-2(1/4+\varepsilon)} \int_{\lambda \in J} d\lambda \left\{ \sum_{\mu} \langle \mu \rangle^{2\varepsilon} \|T(\lambda)_{\mu_0} \mathcal{F}_{x \rightarrow \xi}^{-1} \gamma(\lambda^{1/2})^* \tilde{F}(\lambda) \phi\|_{L^2_\alpha}^2 \right\} \\ &\leq C \langle m \rangle^{-2(1/4+\varepsilon)} \int_{\lambda \in J} d\lambda \|\mathcal{F}_{x \rightarrow \xi}^{-1} \gamma(\lambda^{1/2})^* \tilde{F}(\lambda) \phi\|_{H^1_{-\alpha}}^2 \quad (\text{by Proposition 3.3}) \\ &\leq C \langle m \rangle^{-2(1/4+\varepsilon)} \|\phi\|_{L^2}^2. \end{aligned}$$

This proves the theorem. \square

Appendix.

Here we sketch the proof of Lemma 2.7.

At first, we prove the existence of $G_-(\lambda)$ for almost every λ by Lemma 3.1.

LEMMA A.1. *There exists a closed null set $\mathcal{E}' \subset \mathbf{R}$ such that for $\lambda \notin \mathcal{E}'$, $G_-(\lambda) = \lim_{\varepsilon \downarrow 0} (1 + (K_0 - (\lambda + i\varepsilon))^{-1} V)^{-1}$ exists in $B(L^2(\mathbf{T}, H^1_\alpha(\mathbf{R}^n)))$. Moreover $G_-(\lambda)$ is locally uniformly bounded in $\mathbf{R} \setminus \mathcal{E}'$.*

PROOF. By Lemma 3.1, it is obvious that $(K_0 - \zeta)^{-1} V$ is bounded in $L^2(\mathbf{T}, H^1_\alpha(\mathbf{R}^n))$ if $\zeta \in \mathbf{C} \setminus \mathbf{R}$, and is uniformly bounded if ζ is away from $(2\pi/\omega)\mathbf{Z}$. Further, since $(H_0 - \zeta)^{-1} V_\mu$ is compact for each μ , Lemma 3.1 implies the compactness of $(K_0 - \zeta)^{-1} V$. Then the theorem of F. and M. Riesz can be applied and we obtain the assertion. \square

Now it remains only to prove $\mathcal{E} \supset \mathcal{E}'$. To prove that, we follow the trace method due to Agmon (see Reed-Simon [12], § XIII-8).

LEMMA A.2. *Let $\delta > 1/2$ and suppose that $\phi \in L^2(\mathbf{T}, L^2_\delta(\mathbf{R}^n))$ satisfies*

$$(A.1) \quad \text{Im}(\phi, (K_0 - (\lambda + i0))^{-1} \phi) = 0$$

for $\lambda \in \mathbf{R} \setminus (2\pi/\omega)\mathbf{Z}$. Then $(K_0 - (\lambda + i0))^{-1} \phi \in L^2(\mathbf{T}, H^{1/2}_\delta(\mathbf{R}^n))$.

Lemma A.2 can be proved analogously to Lemma 3.1 using Proposition 2.6.1 of Ginibre-Moulin [4] and interpolation.

PROOF OF LEMMA 2.7. If $\lambda \in \mathcal{E}'$ and $\lambda \notin (2\pi/\omega)\mathcal{Z}$, the Fredholm theorem implies that there exists $\phi \in L^2(\mathbf{T}, H_{-\alpha}^{\gamma}(\mathbf{R}^n))$ such that

$$(A.2) \quad \phi + (K_0 - (\lambda + i0))^{-1}V\phi = 0.$$

If we set $\psi = V\phi \in L^2(\mathbf{T}, L_{\alpha}^{\gamma}(\mathbf{R}^n))$, we can see easily that ψ satisfies (A.1). Hence $\phi = -(K_0 - (\lambda + i0))^{-1}\psi$ is an element of $L^2(\mathbf{T}, H_{\alpha-1}^{1/2}(\mathbf{R}^n)) = L^2(\mathbf{T}, H_{-\alpha+(2\alpha-1)}^{1/2}(\mathbf{R}^n))$. Repeating this procedure m -times, we have $\phi \in L^2(\mathbf{T}, H_{-\alpha+m(2\alpha-1)}^{1/2}(\mathbf{R}^n))$, and $\phi \in L^2(\mathbf{T}, H_{\alpha+m(2\alpha-1)}^{1/2}(\mathbf{R}^n))$. Thus we obtain $\phi \in \mathcal{K}$ and it is clear from (A.2) that ϕ is a λ -eigenfunction of K . This implies $\lambda \in \mathcal{E}$. \square

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