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Ed Nelson's Work in Analysis, Especially Related to Quantum Field Theory

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Two Great Contributions

This talk will focus on some of Ed Nelson's contributions to analysis. Ed also made significant contributions to probability and to mathematical logic. Moreover, other than one multi-part slide, I will focus on two subjects where Ed's seminal contributions have had enormous impact (and which were singled out in the citation for his 1995 Steele Prize for Seminal Contributions to Research):

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- ① **Hypercontractive Semigroups** In 1966, Ed defined what came to be called hypercontractive semigroups.

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- ① **Hypercontractive Semigroups** In 1966, Ed defined what came to be called hypercontractive semigroups.
- ② **Euclidean (Constructive) Quantum Field Theory** In 1972-73, Ed was the initiator of what was a revolution in the mathematical theory of constructing relativistic quantum fields, so that after his work, essentially all research was done in a Euclidean framework.

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Two Great Contributions

Hypercontractivity appeared initially as a tool in studying boundedness from below and self-adjointness but from the earlier 70's onwards it spread wings so that a Google search finds over 100,000 entries and an infinitesimal version ("log Sobolev inequalities") was used for example in Perlman's solution of the Poincaré conjecture.

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Two common themes in both these works were the idea of path integrals for semigroups and an extensive probabilistic intuition. Another is that both were incredibly innovative – developing strikingly new approaches which turned out to be incredibly powerful and useful.



Other Work in Analysis

I should at least mention some of Ed's other contributions to analysis:

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- Nelson's model - a non-relativistic quantum field model with zero mass particles that is useful in the study of the infrared problem and remains heavily studied (e.g. 20 papers since 2010)

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- His theory of analytic vectors providing both a self-adjointness technique and a simple way to relate Lie algebras and Lie group representations
- His example of a quantum problem which has a unique self-adjoint extension even though the classical analog gets to infinity in finite time (unpublished, but it appeared in Reed-Simon, Vol 2 with attribution).

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Other Work in Analysis

- His elegant proof of Liouville's theorem for positive harmonic functions from the mean value theorem. It appeared in a *Proc. AMS* paper of 9 lines (*lines, not pages*) without a single formula or the words "definition" or "theorem".

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- His proof of diamagnetic inequalities which some have called *Nelson-Simon inequalities*
- Some influential Lecture Notes including on quadratic form methods
- Results in non-standard analysis and in stochastic mechanics



Hamiltonian CQFT

A major accomplishment of mathematical physicists in the period from 1965-1985 was the construction of interacting quantum field theories in 2 and 3 space time dimensions but not, alas, 4 dimensions.

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Hamiltonian CQFT

A major accomplishment of mathematical physicists in the period from 1965-1985 was the construction of interacting quantum field theories in 2 and 3 space time dimensions but not, alas, 4 dimensions. When Ed started, there was essentially no prior work. I want to describe the problem he faced and solved that led to the start of the theory of hypercontractive semigroups.

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The idea was to generalize the anharmonic oscillator, $H_0 + x^4$ where H_0 is the Hamiltonian operator of a harmonic oscillator. One replaces the harmonic oscillator by the Hamiltonian, H_0 of a massive free field and formally wants to look at

$$H = H_0 + \int \phi^4(x) dx$$



Hamiltonian CQFT

The first issue is that the integral is over all of \mathbb{R} and so will surely diverge applied to any state. One puts in some kind of spatial cutoff which eventually one wants remove.

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But the real problem involves the fact that $\phi(x)$ isn't just an operator; it is an operator valued distribution. So taking powers is impossible. This is the simplest of case of the famous infinities that plague formal quantum field theory.

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Hamiltonian CQFT

The solution in this case is easy - one cuts off the field (by considering only finitely many modes)

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Hamiltonian CQFT

The solution in this case is easy - one cuts off the field (by considering only finitely many modes) and replaces $\phi^4(x)$ by $c_N^4 h_4(\phi_N(x)/c_N)$ where h_4 is the monic fourth Hermite polynomial and c_N is a constant that goes to infinity as $\log(N)$. One can then take a limit as $N \rightarrow \infty$.

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This "Wick ordered" $\phi^4(x)$ is a well defined distribution and one can form the integral over the circle and get a well defined operator, V . But since the Hermite polynomial is negative at some values, and is being multiplied by an infinite constant, V is no longer bounded from below.



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Hamiltonian CQFT

For each mode, it is natural to take the x -space quantum probability density in the its ground state which gives an Gaussian measure on \mathbb{R}^∞ . Ed's paper had three critical steps:

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For each mode, it is natural to take the x -space quantum probability density in its ground state which gives a Gaussian measure on \mathbb{R}^∞ . Ed's paper had three critical steps:

- 1 **L^p properties of e^{-V}** . In this realization, V is a multiplication operator by a function not bounded below. Ed realized because the divergence is only logarithmic, e^{-V} lies in every L^p space, $p < \infty$.

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- 2 **Hypercontractive semigroups.** He proved some L^p smoothing of e^{-tH_0} that we now call hypercontractivity (of which more below)

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For each mode, it is natural to take the x-space quantum probability density in the its ground state which gives an Gaussian measure on \mathbb{R}^∞ . Ed's paper had three critical steps:

- ① **L^p properties of e^{-V} .** In this realization, V is a multiplication operator by a function not bounded below. Ed realized because the divergence is only logarithmic, e^{-V} lies in every L^p space, $p < \infty$.
- ② **Hypercontractive semigroups.** He proved some L^p smoothing of e^{-tH_0} that we now call hypercontractivity (of which more below)
- ③ **Boundedness from below.** He proved that if V is a multiplication operator with e^{-V} in every L^p space, $p < \infty$ and if H_0 generates a hypercontractive semigroup, then $H_0 + V$ is bounded below.

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Definition of Hypercontractivity

An L^p **contractive semigroup** is a self-adjoint semigroup, e^{-tA} on $L^2(X, d\mu)$ that is a contraction on each $L^p(X, d\mu)$.

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An L^p **contractive semigroup** is a self-adjoint semigroup, e^{-tA} on $L^2(X, d\mu)$ that is a contraction on each $L^p(X, d\mu)$. A common way they arise is if the semigroup takes positive functions to positive functions and $\mathbb{1}$ to itself (because then $|e^{-tA}f(x)| \leq \|f\|_\infty e^{-tA}\mathbb{1}(x)$).

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A **hypercontractive semigroup** is an L^p contractive semigroup on a probability measure space so that for some T , e^{-TA} maps L^2 to L^4 .

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A **hypercontractive semigroup** is an L^p contractive semigroup on a probability measure space so that for some T , e^{-TA} maps L^2 to L^4 . Ed didn't make a formal definition of this form but he did prove the L^2 to L^4 result for the periodic boundary condition free field.

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Definition of Hypercontractivity

The formal definition was made in a 1972 paper I wrote with Høegh-Krohn where the name hypercontractive first appeared.

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Semiboundedness

While not his original proof of semiboundedness from hypercontractivity + L^p properties of e^{-tV} , here a general version going back to Segal:

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Segal's Lemma For bounded operators A and B , we have that $\|e^{A+B}\| \leq \|e^{A/2}e^B e^{A/2}\|$ where the norms are operator norm.

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By taking $A = -2TH_0$ and $B = -2TV$ and using that $e^{A/2}$ maps L^2 to L^4 and also $L^{4/3}$ to L^2 by duality and that e^B maps L^4 to $L^{4/3}$ (and taking limits of bounded cutoffs), one gets hypercontractive semiboundedness.

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Semiboundedness

To prove Segal's Lemma apply the three line theorem to the analytic operator valued function $F(z) = e^{zB/2}e^{zA/2}$ on $\{z|0 \leq \Re(z) \leq 1\}$, to see that

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$$\|e^{B/2^n} e^{A/2^n}\| \leq \|e^{B/2} e^{A/2}\|^{2^{-(n-1)}}$$

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Using $\|C^m\| \leq \|C\|^m$ and $\|D^*D\| = \|D\|^2$, we get

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Using $\|C^m\| \leq \|C\|^m$ and $\|D^*D\| = \|D\|^2$, we get

$$\|(e^{B/2^n} e^{A/2^n})^{2^n}\| \leq \|e^{A/2} e^B e^{A/2}\|$$

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Using $\|C^m\| \leq \|C\|^m$ and $\|D^*D\| = \|D\|^2$, we get

$$\|(e^{B/2^n} e^{A/2^n})^{2^n}\| \leq \|e^{A/2} e^B e^{A/2}\|$$

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The Trotter product formula completes the proof.

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Later devolvments: Some highpoints

Here are some of the major developments focusing on those close to Ed's original purpose and/or major ones

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Later devolvments: Some highpoints

Here are some of the major developments focusing on those close to Ed's original purpose and/or major ones (ignores applications to probability and to computer science and the non-commutative (Fermion) version):

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- Glimm and Federbush refine original semiboundedness results (1968-69)

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- Glimm and Federbush refine original semiboundedness results (1968-69)
- Segal and Simon-Høegh-Krohn discuss self-adjointness and abstract versions (1970-71)

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- Glimm and Federbush refine original semiboundedness results (1968-69)
- Segal and Simon-Høegh-Krohn discuss self-adjointness and abstract versions (1970-71)
- In his papers on EQFT, Nelson found optimal hypercontractive estimates in one and then more dimensions.

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- Segal and Simon-Høegh-Krohn discuss self-adjointness and abstract versions (1970-71)
- In his papers on EQFT, Nelson found optimal hypercontractive estimates in one and then more dimensions. A suitably normalized H_0 has $\exp(-tH_0)$ bounded from $L^p \rightarrow L^q$ if and only if $e^{-t} \leq \sqrt{p - 1/q - 1}$ and then it is a contraction (1971-72).

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- In the most significant development after Ed's original paper, Gross found the infinitesimal version of hypercontractivity (called *log Sobolev inequalities*) and how to go back and forth (1972-73).

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- In the most significant development after Ed's original paper, Gross found the infinitesimal version of hypercontractivity (called *log Sobolev inequalities*) and how to go back and forth (1972-73).
- Gross also had the idea of studying hypercontractivity for semigroups on \mathbb{R}^2 rather than an infinite dimensional L^2 and got Nelson's optimal result by getting the two dimensional best constants (now called Bonami-Gross inequalities) and using a central limit theorem to get a Gaussian measure result. (1972-73)

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- Motivated by Gross, Beckner found optimal constants in the Hausdorff-Young inequalities. (1974)

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- Motivated by Gross, Beckner found optimal constants in the Hausdorff-Young inequalities. (1974)
- Davies-Simon develop the theory of ultracontractivity (instantaneous map from $L^2 \rightarrow L^\infty$). (1984)

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Later devolvments: Some highpoints

- In the most significant development after Ed's original paper, Gross found the infinitesimal version of hypercontractivity (called *log Sobolev inequalities*) and how to go back and forth (1972-73).
- Gross also had the idea of studying hypercontractivity for semigroups on \mathbb{R}^2 rather than an infinite dimensional L^2 and got Nelson's optimal result by getting the two dimensional best constants (now called Bonami-Gross inequalities) and using a central limit theorem to get a Gaussian measure result. (1972-73)
- Motivated by Gross, Beckner found optimal constants in the Hausdorff-Young inequalities. (1974)
- Davies-Simon develop the theory of ultracontractivity (instantaneous map from $L^2 \rightarrow L^\infty$). (1984)
- Perelman uses log Sobolev inequalities in his work on Ricci flow that proved the Poincaré conjecture. (2008)

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Gaussian processes

To explain Ed's contribution to Euclidean Quantum Field Theory (EQFT), it is useful to first look at path integrals for ordinary quantum mechanics.

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Gaussian processes

To explain Ed's contribution to Euclidean Quantum Field Theory (EQFT), it is useful to first look at path integrals for ordinary quantum mechanics. A finite number of jointly Gaussian random variables have a probability distribution determined by their covariance $\mathbb{E}(X_i X_j)$ and any positive definite matrix can occur.

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Gaussian processes

To explain Ed's contribution to Euclidean Quantum Field Theory (EQFT), it is useful to first look at path integrals for ordinary quantum mechanics. A finite number of jointly Gaussian random variables have a probability distribution determined by their covariance $\mathbb{E}(X_i X_j)$ and any positive definite matrix can occur. One can extend this to countably many variables or even to variables indexed by a real parameter if continuity properties of the covariance imply a separable Hilbert space defined by the covariance.

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Brownian motion is the Gaussian process indexed by $t \geq 0$ with $\mathbb{E}(b(t)b(s)) = \min(t, s)$ and the oscillator process is indexed by $t \in \mathbb{R}$ with $\mathbb{E}(q(t)q(s)) = \exp(-|t - s|)$.

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Brownian motion is the Gaussian process indexed by $t \geq 0$ with $\mathbb{E}(b(t)b(s)) = \min(t, s)$ and the oscillator process is indexed by $t \in \mathbb{R}$ with $\mathbb{E}(q(t)q(s)) = \exp(-|t - s|)$. We note that the covariances in these cases are fundamental solutions for $-d^2/dt^2$ (with Dirichlet conditions at $t = 0$) and for $-d^2/dt^2 + 1$.

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The Feynman-Kac formula

The oscillator process defines a path integral for $H_0 = -\frac{1}{2} \frac{d^2}{dx^2} + \frac{1}{2} x^2 - 1$ in that if Ω_0 is the lowest eigenvector for H_0 , then

$$(x\Omega_0, \exp(-tH_0)x\Omega_0) = \mathbb{E}(q(0)q(t))$$

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and this leads to a Feynman-Kac formula

$$(\Omega_0, \exp(-t(H_0 + V(x)))\Omega_0) = \mathbb{E} \left(\exp(-\int_0^t V(q(s)) ds) \right)$$

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EQFT on One Foot

What Ed realized is that the proper path integral for a massive free Bose field is just a Gaussian process with covariance given by the Green's function for $-\Delta + 1$.

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What Ed realized is that the proper path integral for a massive free Bose field is just a Gaussian process with covariance given by the Green's function for $-\Delta + 1$. In two dimensions this Green's function has a logarithmic divergence at 0 so one need to view this field as a distribution.

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EQFT on One Foot

What Ed realized is that the proper path integral for a massive free Bose field is just a Gaussian process with covariance given by the Green's function for $-\Delta + 1$. In two dimensions this Green's function has a logarithmic divergence at 0 so one need to view this field as a distribution. The analog of $(x\Omega_0, \exp(-tH_0)x\Omega_0) = \mathbb{E}(q(0)q(t))$ is just

$$(\phi(x_0)\Omega_0, \exp(-tH_0)\phi(x_1)\Omega_0) = \mathbb{E}(\Phi(x_0, 0)\Phi(x_1, t))$$

where ϕ is the quantum field and Φ its "path" which is called the Euclidean field.

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EQFT on One Foot

This leads to a Feynman-Kac formula. If

$$H_\ell = H_0 + \int_0^\ell : \phi(x)^4 : dx, \text{ then}$$

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In particular, by the Euclidean covariance, one has what is called *Nelson's symmetry*:

$$(\Omega_0, \exp(-tH_\ell)\Omega_0) = (\Omega_0, \exp(-\ell H_t)\Omega_0)$$

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By combining this with what hypercontractivity says about decoupling in the Euclidean space, Ed found a proof of the linear lower bound. originally found by Glimm-Jaffe:

$$E_\ell \geq -C\ell \text{ for some finite } C$$

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A Thumbnail History

Between Ed's hypercontractive paper and the end of 1971, there was an intensive effort to try and construct interacting quantum fields by studying the spatial cutoff Hamiltonians and taking some kind of limit.

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Ed probably found his results by early 1971 and talked about it at Princeton in Feb. or March of that year; he gave some poorly attended follow-up talks which I missed since I was out of town.



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Ed probably found his results by early 1971 and talked about it at Princeton in Feb. or March of that year; he gave some poorly attended follow-up talks which I missed since I was out of town. He also talked about the work at a summer conference in Berkeley which I know Glimm and Jaffe attended.



A Thumbnail History

With one exception, no one paid any attention to this work until early January, 1972.

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- ④ Some of us weren't clever enough to pick up on his brilliant insights!

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A Thumbnail History

Francesco Guerra was a young protege of Caianiello, an Italian physicist and good friend of Arthur Wightman. Italian money was found for him to visit Princeton for two years starting in the fall of 1970.

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Francesco Guerra was a young protege of Caianiello, an Italian physicist and good friend of Arthur Wightman. Italian money was found for him to visit Princeton for two years starting in the fall of 1970. Those who know the current confident Prof. Guerra would be surprised to find out that he was shy and quiet and he had almost no interactions with anyone but Wightman and Sergio Albeverio.

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In Dec. 1971, Lon Rosen, Wightman and I attended a conference in Miami and Arthur told us that before he left, Guerra had said he had something to report and wanted to meet with us.

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In Dec. 1971, Lon Rosen, Wightman and I attended a conference in Miami and Arthur told us that before he left, Guerra had said he had something to report and wanted to meet with us. I had trouble remembering who Guerra was, but agreed that we should meet with him which we did in Wightman's office after our return.



A Thumbnail History

Guerra began by writing on the blackboard, three things he was going to prove about : Φ^4 : field theories in two space-time dimensions.

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A Thumbnail History

Guerra began by writing on the blackboard, three things he was going to prove about Φ^4 : field theories in two space-time dimensions. It was as if he was from a different planet. For example, it was difficult enough to prove that $E_\ell \geq -C\ell$ for some finite C and he said he could prove that E_ℓ/ℓ had a limit!

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He began by writing down Nelson’s symmetry, which we’d seen but not paid attention to.

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He began by writing down Nelson’s symmetry, which we’d seen but not paid attention to. Literally 15 minutes later, he had proven his claims.



A Thumbnail History

While he didn't show it that way, the limit result can be proven by noting that, by the spectral theorem, $\log [(\Omega_0, \exp(-tH_\ell)\Omega_0)]$ is convex in t and so in ℓ and then by taking a limit as $t \rightarrow \infty$, E_ℓ is concave in ℓ which yields the limit.

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Ed had opened up a new world and essentially all work since has been in the Euclidean realm.

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An Innovator

In looking over these two amazing contributions from the perspective of a,

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An Innovator

In looking over these two amazing contributions from the perspective of a, er, senior mathematician, I am struck by how innovative they were. Both had at least some prior work: The Bonami-Gross optimal estimate on a two point space is named because Bonami found them, while studying Fourier analysis on groups, in 1970 (before Nelson's optimal estimate but after his hypercontractive paper). And Stam in 1959 and Blachman in 1965 had the results equivalent to the optimal log Sobolev inequalities for Gaussian measures but not in a context of infinitesimal semigroup bounds.

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An Innovator

EQFT also had some precursors. Shortly before, Pitt had written down the same objects that Ed did for his free fields – that is the Gaussian process indexed by \mathbb{R}^n with covariance given by the Green's function of $-\Delta + 1$ and he had noted it had the Markov property.

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Nakano and Schwinger had noted the vacuum expectation values had a continuation to imaginary time that had Euclidean invariance in place of Minkowski.

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An Innovator

Most importantly, Symanzik had an amazing unpublished 1965 NYU 50 page manuscript with a shorter J. Math. Phys. article and published summer school lecture. He realized that there was an underlying measure space, that there were analogies to statistical mechanics (something Nelson didn't do but Guerra-Rosen-Simon did exploit) and he developed some integral equations.

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Symanzik deserves admiration but Ed still developed related ideas in a form that emphasized the mathematical structures and motivated important follow-up work. Ed was basically inventing a framework from close to scratch that has been the standard one now for over 40 years.

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An Unusual Publication Record

You might have expected that revolutionary results like the two I've discussed, especially by a Princeton professor would have wound up in the *Annals of Mathematics* (where Ed did have some other papers)

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You might have expected that revolutionary results like the two I've discussed, especially by a Princeton professor would have wound up in the *Annals of Mathematics* (where Ed did have some other papers) but not these. The hypercontractive result with its three important realizations never appeared in journal but only as a 5 page contribution to a conference proceedings!

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An Unusual Publication Record

The other called *The Free Markoff Field* had his best hypercontractive bound and discussed the free field.

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There is one other curiosity about Ed's publication record that I wish to mention. The set of mathematicians can be studied using what for lack of a better term I'll call the Erdős topology where coauthors are joined by a line.

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Assuming one ignores papers like the *Notices* memorial for Irving Segal, Ed's thesis advisor, Ed is a member of a triplet – he has a single coauthored paper with W. Stinespring, whose coauthors are Ed and David Shale (whose only joint papers are with Stinespring)!



The Tale of Nelson's Commutator Theorem

Ed was both a gentle man and a gentleman as is seen in the following story.

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The Tale of Nelson's Commutator Theorem

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Then Faris and Lavine found an elegant way of using this result to get self-adjointness of Stark Hamiltonians (constant electric field) with fairly general two body potentials. They could control single commutators but doubly commutators would have required two body potentials to be smooth, so Ed's version was essential.

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Shortly afterwards, Reed and I were polishing Volume 2 of our series of 4 books, *Methods of Modern Mathematical Physics*, and it was natural to explain this method and its application to Stark Hamiltonians. We called the added section *Nelson's Commutator Theorem*.

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We decided to rename the section *The Commutator Theorem*. But before we let the publisher know we decided we needed to make sure Ed was OK with this change.



The Tale of Nelson's Commutator Theorem

I explained the situation to Ed and asked if he had any objection to the name change.

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I explained the situation to Ed and asked if he had any objection to the name change. He smiled in his inimitable way and said:

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I explained the situation to Ed and asked if he had any objection to the name change. He smiled in his inimitable way and said: "Of course you can make the change. But if you'd prefer, you can keep it and tell them that you wanted to make the change but I wouldn't let you do it."

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Loewner and Nelson

I have long been an admirer of the work of Charles Loewner, who like Ed had two great contributions (matrix monotone functions and Loewner evolution).

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Loewner and Nelson

I have long been an admirer of the work of Charles Loewner, who like Ed had two great contributions (matrix monotone functions and Loewner evolution). When preparing my talk for Ed's 70+ birthday celebration, I came across words that Bers wrote about his advisor, Loewner, that so fit Ed, I'd like to end with them as I did in that talk:

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Loewner and Nelson

a man whom everyone liked, perhaps because he was a man at peace with himself. He conducted a life-long passionate love affair with mathematics, but was neither competitive, nor jealous, nor vain. His kindness and generosity in scientific matters, to students and colleagues alike, were proverbial.

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Contemplate how many really first-class mathematicians about whom one can say they are “neither competitive, nor jealous, nor vain” and appreciate Ed for who he was!

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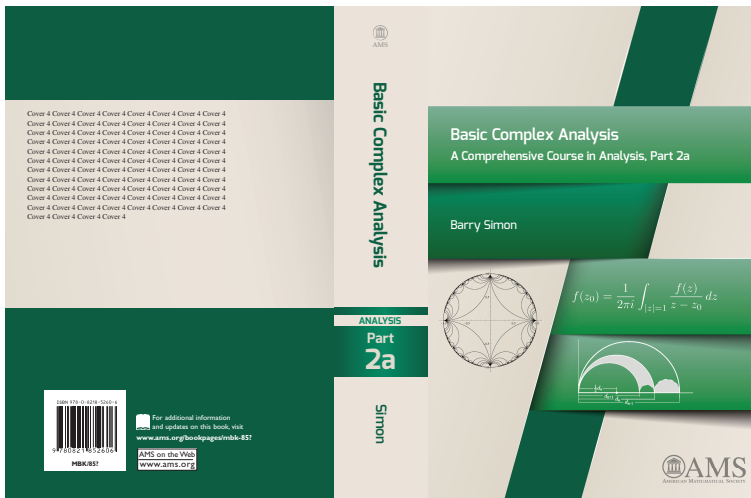
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