

**MULTI-PARTICLE DYNAMICAL LOCALIZATION
IN A CONTINUOUS ANDERSON MODEL
WITH AN ALLOY-TYPE POTENTIAL**

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ABSTRACT. This paper is a complement to our earlier work [4]. With the help of the multi-scale analysis, we derive, from estimates obtained in [4], dynamical localization for a multi-particle Anderson model in a Euclidean space \mathbb{R}^d , $d \geq 1$, with a short-range interaction, subject to a random alloy-type potential.

1. INTRODUCTION

1.1. **The model.** In this paper we continue our study of a multi-particle Anderson model in \mathbb{R}^d with interaction and in an external random potential of alloy type. The Hamiltonian \mathbf{H} ($= \mathbf{H}^{(N)}(\omega)$) is a random Schrödinger operator of the form

$$\mathbf{H} = -\frac{1}{2}\Delta + \mathbf{U}(\mathbf{x}) + \mathbf{V}(\omega; \mathbf{x}) \quad (1.1)$$

acting in $L^2(\mathbb{R}^{Nd})$. This means that we consider a system of N interacting quantum particles in \mathbb{R}^d . Here $\mathbf{x} = (x_1, \dots, x_N) \in \mathbb{R}^{Nd}$ is for the joint position vector, where each component $x_j \in \mathbb{R}^d$ represents the position of the j th particle, $1 \leq j \leq N$. Next, Δ stands for the Laplacian in \mathbb{R}^{Nd} . The interaction energy operator $\mathbf{U}(\mathbf{x})$ acts as multiplication by a function $U(\mathbf{x})$. Finally, the term $\mathbf{V}(\omega; \mathbf{x})$ represents the operator of multiplication by a function

$$\mathbf{x} \mapsto V(x_1; \omega) + \dots + V(x_N; \omega), \quad (1.2)$$

where $x \in \mathbb{R}^d \mapsto V(x; \omega)$ is a random external field potential assumed to be of the form

$$V(x; \omega) = \sum_{s \in \mathbb{Z}^d} V_s(\omega) \varphi(x - s). \quad (1.3)$$

Here and below V_s , $s \in \mathbb{Z}^d$, are i.i.d. (independent and identically distributed) real random variables on some probability space $(\Omega, \mathfrak{B}, \mathbb{P})$ and $\varphi: \mathbb{R}^d \rightarrow \mathbb{R}$ is usually referred to as a “bump” function.

1.2. **Basic geometric notations.** Throughout this paper, we will fix an integer $N \geq 2$ and work in Euclidean spaces of the form $\mathbb{R}^{ld} \cong \mathbb{R}^d \times \dots \times \mathbb{R}^d$ (l times) associated with l -particle sub-systems where $1 \leq l \leq N$. Correspondingly, the notations \mathbf{x} , \mathbf{y}, \dots will be used for vectors from \mathbb{R}^{ld} , depending on the context. Given a vector $\mathbf{x} \in \mathbb{R}^{ld}$, we will consider “sub-configurations” \mathbf{x}' and \mathbf{x}'' generated by \mathbf{x} for a given partition of an l -particle system into disjoint sub-systems with l' and l'' particles, where $l' + l'' = l$, $l', l'' \geq 1$; the vectors \mathbf{x}' and \mathbf{x}'' are identified with points from $\mathbb{R}^{l'd}$ and $\mathbb{R}^{l''d}$, respectively, by re-labelling the particles accordingly.

All Euclidean spaces will be endowed with the max-norm denoted by $|\cdot|$. We will consider ld -dimensional cubes of integer size in \mathbb{R}^{ld} centered at lattice points $\mathbf{u} \in \mathbb{Z}^{ld} \subset \mathbb{R}^{ld}$ and with edges parallel to the co-ordinate axes. The cube of edge length $2L$ centered at \mathbf{u} is denoted by $\mathbf{A}_L(\mathbf{u})$; in the max-norm it represents the ball of radius L centered at \mathbf{u} :

$$\mathbf{A}_L(\mathbf{u}) = \{\mathbf{x} \in \mathbb{R}^{ld} : |\mathbf{x} - \mathbf{u}| < L\}. \quad (1.4)$$

The lattice counterpart for $\mathbf{A}_L(\mathbf{u})$ is denoted by $\mathbf{B}_L(\mathbf{u})$:

$$\mathbf{B}_L(\mathbf{u}) = \overline{\mathbf{A}_L(\mathbf{u})} \cap \mathbb{Z}^{ld}; \quad \mathbf{u} \in \mathbb{Z}^{ld}.$$

Finally, we consider ‘‘cells’’ (cubes of radius 1) centered at lattice points $\mathbf{u} \in \mathbb{Z}^{ld}$:

$$\mathbf{C}(\mathbf{u}) = \mathbf{A}_1(\mathbf{u}) \subset \mathbb{R}^{ld}.$$

The union of all cells $\mathbf{C}(\mathbf{u})$, $\mathbf{u} \in \mathbb{Z}^{ld}$, covers the entire Euclidean space \mathbb{R}^{ld} . For each $i \in \{1, \dots, l\}$ we introduce the projection $\Pi_i: \mathbb{R}^{ld} \rightarrow \mathbb{R}^d$ defined by

$$\Pi_i: (x_1, \dots, x_l) \mapsto x_i, \quad 1 \leq i \leq l.$$

1.3. Interaction potential. The interaction within the system of particles is represented by the term $\mathbf{U}(\mathbf{x})$ in the expression (1.1) of the Hamiltonian \mathbf{H} . As was said, it is the operator of multiplication by a function $\mathbf{x} \in \mathbb{R}^{ld} \mapsto U(\mathbf{x}) \in \mathbb{R}$, $1 \leq l \leq N$. A usual assumption is that $U(\mathbf{x})$ (considered for $\mathbf{x} \in \mathbb{R}^{ld}$ with $1 \leq l \leq N$) is a sum of k -body potentials

$$U(\mathbf{x}) = \sum_{k=1}^l \sum_{1 \leq i_1 < \dots < i_k \leq l} U^{(k)}(x_{i_1}, \dots, x_{i_k}), \quad \mathbf{x} = (x_1, \dots, x_l) \in \mathbb{R}^{ld}.$$

In this paper we do not assume isotropy, symmetry or translation invariance of this interaction. However, we use the conditions of finite range, nonnegativity and boundedness, as stated below.

Assume a partition of a configuration $\mathbf{x} \in \mathbb{Z}^{ld}$ is given, into complementary sub-configurations $\mathbf{x}_{\mathcal{J}} = (x_j)_{j \in \mathcal{J}}$ and $\mathbf{x}_{\mathcal{J}^c} = (x_j)_{j \in \{1, \dots, l\} \setminus \mathcal{J}}$, where $\emptyset \neq \mathcal{J} \subsetneq \{1, 2, \dots, l\}$. The *energy of interaction* between $\mathbf{x}_{\mathcal{J}}$ and $\mathbf{x}_{\mathcal{J}^c}$ is defined by

$$U(\mathbf{x}_{\mathcal{J}} | \mathbf{x}_{\mathcal{J}^c}) := U(\mathbf{x}) - U(\mathbf{x}_{\mathcal{J}}) - U(\mathbf{x}_{\mathcal{J}^c}). \quad (1.5)$$

Next, define

$$\rho(\mathbf{x}_{\mathcal{J}}, \mathbf{x}_{\mathcal{J}^c}) := \min \left[|x_i - x_j| : i \in \mathcal{J}, j \in \mathcal{J}^c \right]. \quad (1.6)$$

We say that this interaction has *range* $r_0 \in (0, \infty)$ if, for all $l = 1, \dots, N$ and $\mathbf{x} \in \mathbb{R}^{ld}$,

$$\rho(\mathbf{x}_{\mathcal{J}}, \mathbf{x}_{\mathcal{J}^c}) > r_0 \implies U(\mathbf{x}_{\mathcal{J}} | \mathbf{x}_{\mathcal{J}^c}) = 0. \quad (1.7)$$

Finally, we say that the interaction is *non-negative* and *bounded* if

$$\inf_{\mathbf{x} \in \mathbb{R}^{ld}} U(\mathbf{x}) \geq 0 \quad \text{and} \quad \sup_{\mathbf{x} \in \mathbb{R}^{ld}} U(\mathbf{x}) < +\infty, \quad 1 \leq l \leq N. \quad (1.8)$$

The boundedness condition can be relaxed to include hard-core interactions where $U(\mathbf{x}) = +\infty$ if $|x_i - x_j| \leq a$, for some given $a \in (0, r_0)$.

1.4. **Assumptions.** Our assumptions on the interaction potential U are borrowed from [4]:

(E1) U is non-negative, bounded and has a finite range $r_0 \geq 0$.

Similarly, we use assumptions on the i.i.d. random variables V_s , $s \in \mathbb{Z}^d$, and the bump function φ introduced in [4]:

(E2) There exists a constant $v \in (0, \infty)$ such that

$$\mathbb{P}\{0 \leq V_0 \leq v\} = 1 \quad (1.9)$$

and

$$\forall \epsilon > 0 \quad \mathbb{P}\{V_0 \leq \epsilon\} > 0. \quad (1.10)$$

(E3) *Uniform Hölder continuity*:¹ There exist constants $a, b > 0$ such that for all $\epsilon \in [0, 1]$, the common distribution function F of the random variables V_s satisfies

$$\sup_{y \in \mathbb{R}} [F(y + \epsilon) - F(y)] \leq a\epsilon^b. \quad (1.11)$$

(E4) The function $\varphi: \mathbb{R}^d \rightarrow \mathbb{R}$ is bounded, nonnegative and compactly supported:

$$\text{diam}(\text{supp } \varphi) \leq r_1 < \infty. \quad (1.12)$$

(E5) For all $L \geq 1$ and $u \in \mathbb{Z}^d$,

$$\sum_{s \in \Lambda_L(u) \cap \mathbb{Z}^d} \varphi(x - s) \geq \mathbf{1}_{\Lambda_L(u)}(x). \quad (1.13)$$

Here and below, $\mathbf{1}_A$ stands for the indicator function of a set A .

Henceforth, we suppose that d and N are fixed, as well as the interaction \mathbf{U} and the structure of the external potential (i.e., the distribution function F and the bump function φ). All constants emerging in various bounds below are introduced under this assumption.

1.5. **Dynamical localization.** The main result of this paper, Theorem 1.1, establishes the so-called “strong dynamical localization” for the operator $\mathbf{H}(\omega)$ defined in (1.1) near the lower edge E^0 of its spectrum. More precisely, let E^0 be the lower edge of the spectrum $\text{spec}(\mathbf{H}^0)$ of the N -particle operator without interaction,

$$\mathbf{H}^0 = -\frac{1}{2}\Delta + \sum_{j=1}^N V(x_j; \omega). \quad (1.14)$$

Actually, it follows from our conditions (1.9) and (1.10) that $E^0 = 0$. Owing to the non-negativity of the interaction potential U , the lower edge of the spectrum of \mathbf{H} is bounded from below by E^0 . Moreover, \mathbf{H} has a non-empty spectrum in the interval $[E^0, E^0 + \epsilon]$, for any $\epsilon > 0$. This follows, e.g., from a result by Klopp and Zenk [8] which says that the integrated density of states for a multi-particle system with a decaying interaction is the same as for the system without interaction.

Denote by \mathbf{X} the operator of multiplication by the norm of \mathbf{x} , i.e.,

$$\mathbf{X}f(\mathbf{x}) = |\mathbf{x}| f(\mathbf{x}), \quad \mathbf{x} \in \mathbb{R}^{Nd}. \quad (1.15)$$

The main result of this paper is the following

¹The Hölder continuity can be relaxed to the log-Hölder continuity.

Theorem 1.1. *Consider the operator \mathbf{H} from (1.1) and assume that conditions **(E1)**–**(E5)** are fulfilled. Then for any $Q > 0$ there exists a nonrandom number $\eta = \eta(Q) > 0$ such that for any compact subset $\mathbf{K} \subset \mathbb{R}^{Nd}$ the following bound holds:*

$$\mathbb{E} \left[\sup_{t \in \mathbb{R}} \left\| \mathbf{X}^Q e^{-it\mathbf{H}(\omega)} P_{I(\eta)}(\mathbf{H}(\omega)) \mathbf{1}_{\mathbf{K}} \right\|_{L^2(\mathbb{R}^{Nd})} \right] < \infty, \quad (1.16)$$

where $P_{I(\eta)}(\mathbf{H})$ is the spectral projection of the Hamiltonian \mathbf{H} on the interval $I(\eta) = [E^0, E^0 + \eta]$.

Remark 1.2. The interval $I(\eta)$ is a sub-interval of the interval of energies $[E^0, E^0 + \eta^*]$ for which the spectrum of \mathbf{H} was proven to be pure point (and the eigenfunctions to be decaying exponentially); see [4].

2. RESULTS OF THE MULTI-PARTICLE MSA

The MSA works with the finite-volume approximations $\mathbf{H}_{\Lambda_L(\mathbf{u})}$ of \mathbf{H} , relative to the cubes $\Lambda_L(\mathbf{u})$. More precisely, $\mathbf{H}_{\Lambda_L(\mathbf{u})}$ is an operator in $L^2(\Lambda_L(\mathbf{u}))$, given by the same expression as in (1.1) (for $\mathbf{x} \in \Lambda_L(\mathbf{u})$), with Dirichlet's boundary conditions on $\partial\Lambda_L(\mathbf{u})$; see [4]. Specifically, the Green operator $\mathbf{G}_{\Lambda_L(\mathbf{u})}(E)$ is of particular interest:

$$\mathbf{G}_{\Lambda_L(\mathbf{u})}(E) = (\mathbf{H}_{\Lambda_L(\mathbf{u})} - E)^{-1}, \quad (2.1)$$

defined for $E \in \mathbb{R} \setminus \text{spec}(\mathbf{H}_{\Lambda_L(\mathbf{u})})$.

Let $[\cdot]$ denote the integer part. For a cube $\Lambda_L(\mathbf{u})$ we denote

$$\Lambda_L^{\text{int}}(\mathbf{u}) = \Lambda_{[L/3]}(\mathbf{u}), \quad \Lambda_L^{\text{out}}(\mathbf{u}) = \Lambda_L(\mathbf{u}) \setminus \Lambda_{L-2}(\mathbf{u}). \quad (2.2)$$

Next, given two points $\mathbf{v}, \mathbf{w} \in \mathbf{B}_L(\mathbf{u})$ such that $\mathbf{C}(\mathbf{v}), \mathbf{C}(\mathbf{w}) \subset \Lambda_L(\mathbf{u})$, set

$$\mathbf{G}_{\mathbf{v}, \mathbf{w}}^{\Lambda_L(\mathbf{u})}(E) := \mathbf{1}_{\mathbf{C}(\mathbf{v})} \mathbf{G}_{\Lambda_L(\mathbf{u})}(E) \mathbf{1}_{\mathbf{C}(\mathbf{w})}. \quad (2.3)$$

Following a long-standing tradition, we use a parameter $\alpha \in (1, 2)$ in the definition of a sequence of scales L_k (cf. Eqn (2.5)); For our purposes, it suffices to set $\alpha = 3/2$; this will be always assumed below.

Definition 2.1. A cube $\Lambda_L(\mathbf{u})$ is called (E, m) -non-singular $((E, m)$ -NS, in short) if for any $\mathbf{v} \in \mathbf{B}_{[L^{1/\alpha}]}(\mathbf{u})$ and $\mathbf{y} \in \Lambda_L^{\text{out}}(\mathbf{u}) \cap \mathbb{Z}^{Nd}$ the norm of the operator $\mathbf{G}_{\mathbf{v}, \mathbf{y}}^{\Lambda_L(\mathbf{u})}(E)$ satisfies

$$\left\| \mathbf{G}_{\mathbf{v}, \mathbf{y}}^{\Lambda_L(\mathbf{u})}(E) \right\|_{L^2(\Lambda_L(\mathbf{u}))} \leq e^{-mL}. \quad (2.4)$$

Otherwise, it is called (E, m) -singular $((E, m)$ -S).

We will work with a sequence of “scales” L_k (positive integers) defined recursively by

$$L_k := [L_{k-1}^\alpha] + 1, \quad \text{where } \alpha = \frac{3}{2}. \quad (2.5)$$

The sequence L_k is determined by an initial scale $L_0 \geq 2$. Most of arguments in Sect. 3 require L_0 to be large enough, to fulfill some specific numerical inequalities. In addition, we also assume that $L_0 \geq r_1$ (defined in (1.12)) in order to simplify some cumbersome technicalities.

We will use a well-known property of generalized eigenfunctions of the operator \mathbf{H} which can be found, e.g., in [9, Lemma 3.3.2]:

Lemma 2.2. *For every bounded set $I_0 \subset \mathbb{R}$ there exists a constant $C^{(0)} = C^{(0)}(I_0)$ such that, for any cube $\Lambda_L(\mathbf{u})$ with $L > 7$, any point $\mathbf{w} \in \mathbf{B}_L(\mathbf{u})$ with $\mathbf{C}(\mathbf{w}) \subseteq \Lambda_L^{\text{int}}(\mathbf{u})$ and every generalized eigenfunction Ψ of \mathbf{H} with eigenvalue $E \in I_0$, the norm of the vector $\mathbf{1}_{\mathbf{C}(\mathbf{w})}\Psi$ satisfies*

$$\|\mathbf{1}_{\mathbf{C}(\mathbf{w})}\Psi\| \leq C^{(0)} \|\mathbf{1}_{\Lambda_L^{\text{out}}(\mathbf{u})}\mathbf{G}_{\Lambda_L(\mathbf{u})}(E)\mathbf{1}_{\mathbf{C}(\mathbf{w})}\| \cdot \|\mathbf{1}_{\Lambda_L^{\text{out}}(\mathbf{u})}\Psi\|. \quad (2.6)$$

(From now on we omit the subscript indicating the L^2 -space where a given norm is considered, as this will be clear in the context of the argument.)

The following geometric notion is used in the forthcoming analysis.

Definition 2.3. (see [4]). Let \mathcal{J} be a non-empty subset of $\{1, \dots, N\}$.

We say that the cube $\Lambda_L(\mathbf{y})$ is \mathcal{J} -separable from the cube $\Lambda_L(\mathbf{x})$ if

$$\left(\bigcup_{j \in \mathcal{J}} \Pi_j \Lambda_{L+r_1}(\mathbf{y}) \right) \cap \left(\bigcup_{i \notin \mathcal{J}} \Pi_i \Lambda_{L+r_1}(\mathbf{y}) \cup \Pi \Lambda_{L+r_1}(\mathbf{x}) \right) = \emptyset \quad (2.7)$$

where $\Pi \Lambda_{L+r_1}(\mathbf{x}) = \bigcup_{j=1}^N \Pi_j \Lambda_{L+r_1}(\mathbf{x})$.

A pair of cubes $\Lambda_L(\mathbf{x})$, $\Lambda_L(\mathbf{y})$ is *separable* if, for some $\mathcal{J} \subseteq \{1, \dots, N\}$, either $\Lambda_L(\mathbf{y})$ is \mathcal{J} -separable from $\Lambda_L(\mathbf{x})$, or $\Lambda_L(\mathbf{x})$ is \mathcal{J} -separable from $\Lambda_L(\mathbf{y})$.

We will use the following easy assertion (see [4]):

Lemma 2.4. *For any $L > 1$ and $\mathbf{x} \in \mathbb{R}^{Nd}$, there exists a collection of N -particle cubes $\Lambda_{2N(L+r_1)}(\mathbf{x}^{(l)})$, $l = 1, \dots, K(\mathbf{x}, N)$, with $K(\mathbf{x}, N) \leq N^N$, such that if a vector $\mathbf{y} \in \mathbb{Z}^{Nd}$ satisfies²*

$$\mathbf{y} \notin \bigcup_{\ell=1}^{K(\mathbf{x}, N)} \Lambda_{2N(L+r_1)}(\mathbf{x}^{(l)}), \quad (2.8)$$

then two cubes $\Lambda_L(\mathbf{x})$ and $\Lambda_L(\mathbf{y})$ with $\text{dist}(\Lambda_L(\mathbf{x}), \Lambda_L(\mathbf{y})) > 2N(L+r_1)$ are separable. In particular, assuming $L \geq r_1$, a pair of cubes $\Lambda_L(\mathbf{x})$, $\Lambda_L(\mathbf{y})$ is separable if

$$|\mathbf{y}| > |\mathbf{x}| + (4N+2)L. \quad (2.9)$$

Since $N \geq 2$, one can replace the condition (2.9) by

$$|\mathbf{y}| > |\mathbf{x}| + 5NL. \quad (2.10)$$

In particular, two cubes of the form $\Lambda_L(\mathbf{0})$, $\Lambda_L(\mathbf{y})$ with $|\mathbf{y}| > 5NL$ are always separable.

The main outcome of [4] is summarized in the following Theorem 2.5:

Theorem 2.5 (see [4]). *For any large enough $p > 0$ there exist $m^*(p) > 0$, $\eta^*(p) > 0$, and $L_0^*(p) > 0$ such that*

- (i) *if $L_0 \geq L_0^*(p)$ then for all $k \geq 0$ and for any pair of separable cubes $\Lambda_{L_k}(\mathbf{x})$, $\Lambda_{L_k}(\mathbf{y})$ with $\mathbf{x}, \mathbf{y} \in \mathbb{Z}^{Nd}$,*

$$\mathbb{P}\{\exists E \in [E^0, E^0 + \eta^*] : \Lambda_{L_k}(\mathbf{x}) \text{ and } \Lambda_{L_k}(\mathbf{y}) \text{ are } (E, m)\text{-S}\} \leq L_k^{-2p}, \quad (2.11)$$

- (ii) *with probability one, the spectrum of \mathbf{H} in the interval $I = [E^0, E^0 + \eta^*(p)]$ is pure point, and the eigenfunctions Φ_n of \mathbf{H} with eigenvalues $E_n \in I$ satisfy*

$$\|\Phi_n \mathbf{1}_{\mathbf{C}(\mathbf{w})}\| \leq C_n(\omega) e^{-m^*(p)|\mathbf{w}|}, \quad \mathbf{w} \in \mathbb{Z}^{Nd}, \quad C_n(\omega) < \infty. \quad (2.12)$$

²The constant r_1 is defined in (1.12).

3. DERIVATION OF DYNAMICAL LOCALIZATION FROM MSA ESTIMATES

In this section we prove a statement that is slightly more general than Theorem 1.1. Namely, given $Q > 0$, the interval $I = I(\eta) = [E^0, E^0 + \eta]$ with $\eta = \eta(Q)$, and a compact subset $\mathbf{K} \subset \mathbb{R}^d$, there exists a constant $C(Q, \mathbf{K}) \in (0, \infty)$ such that for any bounded measurable function $\xi: \mathbb{R} \rightarrow \mathbb{C}$ with $\text{supp } \xi \subset I(\eta)$,

$$\mathbb{E} [\| \mathbf{X}^Q \xi(\mathbf{H}(\omega)) \mathbf{1}_{\mathbf{K}} \|] < C(Q, \mathbf{K}) \|\xi\|_{\infty} < \infty. \quad (3.1)$$

Moreover, $Q > 0$ can be made arbitrarily large, by choosing $\eta = \eta(Q) > 0$ sufficiently small. Theorem 1.1 follows from (3.1) applied to the functions $\xi(s) = e^{-its} \mathbf{1}_{I(\eta)}(s)$, parametrised by $t \in \mathbb{R}$.

Throughout the section, we assume that the parameter p from (2.11) satisfies

$$2p > 3Nd\alpha + \alpha Q. \quad (3.2)$$

More precisely, given $Q > 0$ and p satisfying (3.2), we work with

$$\eta = \eta(Q) \in (0, \eta^*(p)) \quad \text{and} \quad m = m^*(p) > 0, \quad (3.3)$$

where $\eta^*(p)$ and $m^*(p)$ are specified in Theorem 2.5. Further, for p satisfying (3.2) we introduce the event $\Omega_1 = \Omega_1(p) \subseteq \Omega$ of probability $\mathbb{P}(\Omega_1) = 1$, defined by

$$\Omega_1 = \{ \omega \in \Omega : \text{the spectrum of } \mathbf{H}(\omega) \text{ in } [E^0, E^0 + \eta^*(p)] \text{ is pure point} \}. \quad (3.4)$$

3.1. Probability of “bad samples”. Given $j \geq 1$, consider the event

$$\mathcal{S}_j = \{ \omega : \text{there exists } E \in I \text{ and } \mathbf{y}, \mathbf{z} \in \mathbf{B}_{5NL_{j+1}}(\mathbf{0}) \text{ such that} \\ \mathbf{\Lambda}_{L_j}(\mathbf{y}), \mathbf{\Lambda}_{L_j}(\mathbf{z}) \text{ are separable and } (m, E)\text{-S} \}.$$

Further, for $k \geq 1$ we denote

$$\Omega_k^{\text{bad}} = \bigcup_{j \geq k} \mathcal{S}_j. \quad (3.5)$$

Lemma 3.1. *There exists a constant $c_1 \in (0, \infty)$ such that for all $k \geq 1$,*

$$\mathbb{P} \{ \Omega_k^{\text{bad}} \} \leq c_1 L_k^{-(2p-2Nd\alpha)}.$$

Proof. The number of separable pairs $\mathbf{\Lambda}_{L_j}(\mathbf{x}), \mathbf{\Lambda}_{L_j}(\mathbf{y})$ with $\mathbf{x}, \mathbf{y} \in \mathbf{B}_{5NL_{j+1}}(\mathbf{0})$ is bounded by $(10NL_{j+1} + 1)^2 < C(N)L_{j+1}^2$. We can apply the bound (2.11) and write

$$\mathbb{P} \{ \mathcal{S}_j \} \leq C(N)L_{j+1}^{2Nd} L_j^{-2p} \leq L_j^{-2p+2Nd\alpha}.$$

Therefore,

$$\Omega_k^{\text{bad}} \leq L_k^{-2p+2Nd\alpha} \sum_{i \geq 0} \left(\frac{L_{k+i}}{L_k} \right)^{-2p+2Nd\alpha}.$$

For $2p > 2Nd\alpha$ and $L_0 \geq 2$ the claim follows from the inequality

$$\frac{L_{k+i}}{L_k} \geq \left[L_k^{\alpha^i - 1} \right]. \quad \square$$

3.2. Centers of localization. Denote by $\Phi_n = \Phi_n(\omega)$ the normalized eigenfunctions of $\mathbf{H}(\omega)$, $\omega \in \Omega_1$, with corresponding eigenvalues $E_n = E_n(\omega) \in I$. For each n we define a *center of localization* for Φ_n as a point $\hat{\mathbf{x}} \in \mathbb{Z}^d$ such that

$$\|\mathbf{1}_{\mathbf{C}(\hat{\mathbf{x}})} \Phi_n\| = \max_{\mathbf{y} \in \mathbb{Z}^{Nd}} \|\mathbf{1}_{\mathbf{C}(\mathbf{y})} \Phi_n\|. \quad (3.6)$$

Since $\|\Phi_n\| = 1$, for any given n such centers exist and their number is finite. We will assume that, for any eigenfunction Φ_n , the centers of localization $\hat{\mathbf{x}}_{n,a}$, $a = 1, \dots, \hat{C}(n)$, are enumerated in such a way that $|\hat{\mathbf{x}}_{n,1}| = \min_a |\hat{\mathbf{x}}_{n,a}|$.

Lemma 3.2. *There exists k_0 large enough such that, for all $\mathbf{u} \in \mathbb{Z}^{Nd}$, $\omega \in \Omega_1$ and $k \geq k_0$, if $\hat{\mathbf{x}}_{n,a} \in \mathbf{B}_{L_k}(\mathbf{u})$ then the box $\Lambda_{L_k}(\mathbf{u})$ is (m, E_n) -S.*

Proof. Assume otherwise. Then from (2.6) it follows that

$$\|\mathbf{1}_{\mathbf{C}(\hat{\mathbf{x}}_{n,a})} \Phi_n\| \leq C' e^{-mL_k} \|\mathbf{1}_{\Lambda_{L_k}^{\text{out}}(\mathbf{u})} \Phi_n\|.$$

Since the number of cells in $\Lambda_{L_k}^{\text{out}}(\mathbf{u})$ is bounded by L_k^{Nd} , we conclude that

$$\|\mathbf{1}_{\mathbf{C}(\hat{\mathbf{x}}_{n,a})} \Phi_n\| \leq C' e^{-mL_k} L_k^{Nd} \cdot \max_{\mathbf{y} \in \mathbf{B}_{L_k}^{\text{out}}(\mathbf{u})} \|\mathbf{1}_{\mathbf{C}(\mathbf{y})} \Phi_n\|.$$

If k_0 is large enough so that $C' e^{-mL_k} L_k^{Nd} < 1$ for $k \geq k_0$, the above inequality contradicts the definition of $\hat{\mathbf{x}}_{n,a}$ as center of localization. \square

3.3. Annular regions. From now on we work with the integer k_0 from Lemma 3.2. Given $k > k_0$, set:

$$\Omega_k^{\text{good}} = \Omega_1 \setminus \Omega_k^{\text{bad}}. \quad (3.7)$$

Assume that $\omega \in \Omega_k^{\text{good}}$. Let $\hat{\mathbf{x}}_{n,a}$, $\hat{\mathbf{x}}_{n,b}$ be two centers of localization for the same eigenfunction Φ_n . It follows from the definition of the event Ω_k^{good} that the cubes $\Lambda_{L_i}(\hat{\mathbf{x}}_{n,a})$ and $\Lambda_{L_i}(\hat{\mathbf{x}}_{n,b})$ with $i \geq k - 1$ cannot be separable, since they must be (m, E) -S. Further, by Lemma 2.4, if $L_0 \geq r_1$ then any cube of the form $\Lambda_{L_k}(\mathbf{y})$ with $|\mathbf{y}| > |\hat{\mathbf{x}}_{n,1}| + 5NL_k$ is separable from $\Lambda_{L_k}(\hat{\mathbf{x}}_{n,1})$; this also applies, of course, to any localization center $\mathbf{y} = \hat{\mathbf{x}}_{n,a}$ with $a > 1$, provided that such centers exist for a given n . Since $\omega \in \Omega_k^{\text{good}}$, for any eigenfunction Φ_n there is no center of localization $\hat{\mathbf{x}}_{n,a}$ either outside the cube $\Lambda_{|\hat{\mathbf{x}}_{n,1}|+5NL_k}(\mathbf{0})$ or inside $\Lambda_{|\hat{\mathbf{x}}_{n,1}|}(\mathbf{0})$ (since $|\hat{\mathbf{x}}_{n,1}| = \min_a |\hat{\mathbf{x}}_{n,a}|$). In other words, within the event Ω_k^{good} , all centers of localization $\hat{\mathbf{x}}_{n,a}$ with a fixed value of n are located in the annulus

$$\Lambda_{|\hat{\mathbf{x}}_{n,1}|+5NL_k}(\mathbf{0}) \setminus \Lambda_{|\hat{\mathbf{x}}_{n,1}|}(\mathbf{0})$$

of width $5NL_k$ and of inner radius $|\hat{\mathbf{x}}_{n,1}|$. This explains why, for our purposes, an eigenfunction Φ_n can be effectively “labeled” by a single localization center.

In other words, although in this paper we cannot rule out the possibility of existence of multiple centers of localization at arbitrarily large distances (depending on Φ_n through $|\hat{\mathbf{x}}_{n,1}|$), such centers do not contribute to a “radial” quantum transport – away from the origin $\mathbf{0}$ – which might have lead to dynamical delocalization.

Lemma 3.3. *Given $k > k_0$, there exists $j_0 \geq k$ large enough such that if $j \geq j_0$, $\omega \in \Omega_k^{\text{good}}$ and $\hat{\mathbf{x}}_{n,1} \in \mathbf{B}_{L_j}(\mathbf{0})$ then*

$$\left\| \left(1 - \mathbf{1}_{\Lambda_{L_{j+2}}(\mathbf{0})}\right) \Phi_n \right\| \leq \frac{1}{4}.$$

Proof. By Lemma 2.4 (see also (2.10)),

$$\forall i \geq j+1, \forall \mathbf{w} \in \mathbb{Z}^{Nd} \setminus \mathbf{B}_{5NL_i}(\mathbf{0}), \text{ the cubes } \mathbf{A}_{L_i}(\mathbf{w}) \text{ and } \mathbf{A}_{L_i}(\mathbf{0}) \text{ are separable.}$$

In addition, we take $j \geq k$, as suggested in the lemma.

Next, we divide the complement $\mathbb{R}^{Nd} \setminus \mathbf{A}_{5NL_{j+2}}(\mathbf{0})$ into annular regions

$$\mathbf{M}_i(\mathbf{0}) := \mathbf{A}_{5NL_{i+1}}(\mathbf{0}) \setminus \mathbf{A}_{5NL_i}(\mathbf{0}), \quad i \geq j+2, \quad (3.8)$$

and write

$$\left\| \left(1 - \mathbf{1}_{\mathbf{A}_{L_{j+2}}(\mathbf{0})}\right) \Phi_n \right\|^2 = \sum_{i \geq j+2} \left\| \mathbf{1}_{\mathbf{M}_i(\mathbf{0})} \Phi_n \right\|^2 \leq \sum_{i \geq j+2} \sum_{\mathbf{w} \in \mathbf{M}_i(\mathbf{0})} \left\| \mathbf{1}_{\mathbf{C}(\mathbf{w})} \Phi_n \right\|^2.$$

Furthermore, $\hat{\mathbf{x}}_{n,1} \in \mathbf{B}_{L_j}(\mathbf{0}) \subset \mathbf{B}_{L_{i-1}}(\mathbf{0})$, so that by Lemma 3.2, the cube $\mathbf{A}_{L_i}(\mathbf{0})$ must be (m, E_n) -S. Therefore, by the definition of the event Ω_k^{good} , the cube $\mathbf{A}_{L_i}(\mathbf{w})$ is (m, E_n) -NS. Applying Lemma 2.2 to the cube $\mathbf{A}_{L_i}(\mathbf{w})$ and to the cell $\mathbf{C}(\mathbf{w})$, we obtain

$$\left\| \mathbf{1}_{\mathbf{C}(\mathbf{w})} \Phi_n \right\|^2 \leq e^{-2mL_i}.$$

Since the volume $|\mathbf{M}_i(\mathbf{0})|$ of the annular region $\mathbf{M}_i(\mathbf{0})$ grows polynomially in L_i , the assertion of Lemma 3.3 follows. \square

3.4. Bounds on concentration of localization centers.

Lemma 3.4. *There exists a constant $c_2 \in (0, \infty)$ such that for $\omega \in \Omega_k^{\text{bad}}$, $j \geq k$,*

$$\text{card} \{n : \hat{\mathbf{x}}_{n,1} \in \mathbf{B}_{L_{j+1}}(\mathbf{0})\} \leq c_2 L_{j+1}^{\alpha Nd}. \quad (3.9)$$

Proof. The left-hand-side of (3.9) is nondecreasing in j , so we can restrict ourselves to the case $j \geq j_0$. First, observe that, with $\mathbf{A}_{L_{j+2}} = \mathbf{A}_{L_{j+2}}(\mathbf{0})$

$$\sum_{n: \hat{\mathbf{x}}_{n,1} \in \mathbf{B}_{L_{j+1}}(\mathbf{0})} \left(\mathbf{1}_{\mathbf{A}_{L_{j+2}}} P_I \mathbf{1}_{\mathbf{A}_{L_{j+2}}} \Phi_n, \Phi_n \right) \leq \text{tr}(\mathbf{1}_{\mathbf{A}_{L_{j+2}}} P_I). \quad (3.10)$$

Each term in the above sum is not less than $1/2$. Indeed,

$$\begin{aligned} & \left(\mathbf{1}_{\mathbf{A}_{L_{j+2}}} P_I \mathbf{1}_{\mathbf{A}_{L_{j+2}}} \Phi_n, \Phi_n \right) \\ &= \left(\mathbf{1}_{\mathbf{A}_{L_{j+2}}} P_I \Phi_n, \Phi_n \right) - \left(\mathbf{1}_{\mathbf{A}_{L_{j+2}}} P_I (1 - \mathbf{1}_{\mathbf{A}_{L_{j+2}}}) \Phi_n, \Phi_n \right) \\ &\geq \left(\mathbf{1}_{\mathbf{A}_{L_{j+2}}} \Phi_n, \Phi_n \right) - \frac{1}{4} \quad (\text{using Lemma 3.3}) \end{aligned} \quad (3.11)$$

$$\begin{aligned} &= \left(\Phi_n, \Phi_n \right) - \left((1 - \mathbf{1}_{\mathbf{A}_{L_{j+2}}}) \Phi_n, \Phi_n \right) - \frac{1}{4} \\ &\geq \frac{1}{2}. \end{aligned} \quad (3.12)$$

Substituting the lower bounds from (3.11) – (3.12) under the trace in Eqn (3.10), we get the desired upper bound on the LHS of Eqn (3.9). \square

3.5. Bounds for “good” samples of potential.

Lemma 3.5. *There exists an integer $k_1 = k_1(L_0)$ such that $\forall k \geq k_1$, $\omega \in \Omega_{k+1}^{\text{good}}$ and \mathbf{x} from the annular region \mathbf{M}_{k+1} defined in (3.8),*

$$\left\| \mathbf{1}_{\mathbf{A}_{L_k}(\mathbf{x})} P_I \xi(\mathbf{H}) \mathbf{1}_{\mathbf{A}_{L_k}(\mathbf{0})} \right\| \leq e^{-mL_k/2} \|\xi\|_\infty. \quad (3.13)$$

Proof. It suffices to prove (3.13) in the particular case where $\|\xi\|_\infty \leq 1$, which we assume below. First, we bound the LHS of (3.13) as follows:

$$\begin{aligned} \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{x})} P_I \xi(\mathbf{H}) \mathbf{1}_{\Lambda_{L_k}(\mathbf{0})}\| &\leq \sum_{E_n \in I} |\xi(E_n)| \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{x})} \Phi_n\| \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \Phi_n\| \\ &\leq \sum_{E_n \in I} \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{x})} \Phi_n\| \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \Phi_n\| \end{aligned} \quad (3.14)$$

since $\|\eta\|_\infty \leq 1$. Now divide the sum according to where $\hat{\mathbf{x}}_{n,1}$ are located and write

$$\begin{aligned} \sum_{E_n \in I} \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{x})} \Phi_n\| \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \Phi_n\| &= \sum_{\substack{E_n \in I \\ \hat{\mathbf{x}}_{n,1} \in \mathbf{A}_{5NL_{k+1}}(\mathbf{0})}} \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{x})} \Phi_n\| \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \Phi_n\| \\ &\quad + \sum_{j=k+1}^{\infty} \sum_{\substack{E_n \in I \\ \hat{\mathbf{x}}_{n,1} \in \mathbf{M}_j(\mathbf{0})}} \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{x})} \Phi_n\| \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \Phi_n\|, \end{aligned}$$

with $\mathbf{M}_j(\mathbf{0})$ defined in (3.8). Since $\mathbf{x} \in \mathbf{M}_{k+1}(\mathbf{0})$, we have $\mathbf{B}_{L_k}(\mathbf{x}) \cap \mathbf{B}_{L_k}(\mathbf{0}) = \emptyset$. Then, by Lemma 2.4, the two cubes $\mathbf{B}_{L_k}(\mathbf{x})$ and $\mathbf{B}_{L_k}(\mathbf{0})$ are separable. In turn, this implies that one of these cubes is (m, E_n) -NS. Therefore, by Lemma 3.4,

$$\sum_{\substack{E_n \in I \\ \hat{\mathbf{x}}_{n,1} \in \mathbf{A}_{L_{k+1}}(\mathbf{0})}} \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{x})} \Phi_n\| \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \Phi_n\| \leq c_2 C' L_{k+1}^{\alpha Nd} e^{-mL_k}.$$

Furthermore, for $k > k_0$ large enough,

$$\sum_{\substack{E_n \in I \\ \hat{\mathbf{x}}_{n,1} \in \mathbf{A}_{L_{k+1}}(\mathbf{0})}} \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{x})} \Phi_n\| \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \Phi_n\| \leq \frac{1}{2} e^{-mL_k/2}. \quad (3.15)$$

For any $j \geq k+2$ and $\hat{\mathbf{x}}_{n,1} \in \mathbf{M}_j(\mathbf{0})$, by Lemma 3.2, the cube $\mathbf{B}_{L_j}(\hat{\mathbf{x}}_{n,1})$ must be (m, E_n) -S, so that $\mathbf{B}_{L_j}(\mathbf{0})$ has to be (m, E_n) -NS:

$$\|\mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \Phi_n\| \leq \|\mathbf{1}_{\Lambda_{L_j}(\mathbf{0})} \Phi_n\| \leq C' e^{-mL_j}.$$

Applying again Lemma 3.4, we see that, if $k \geq k_1$, then

$$\begin{aligned} \sum_{j=k+1}^{\infty} \sum_{\substack{E_n \in I \\ \hat{\mathbf{x}}_{n,1} \in \mathbf{M}_j(\mathbf{0})}} \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{x})} \Phi_n\| \|\mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \Phi_n\| &\leq C \sum_{j=k+2}^{\infty} e^{-mL_j} L_j^{\alpha Nd} \\ &\leq \frac{1}{2} e^{-mL_k/2}. \end{aligned}$$

Combining this estimate with (3.14) and (3.15), the assertion of Lemma 3.5 follows. \square

3.6. Bounds for “bad” samples of potential.

Lemma 3.6. *Let k_1 be as in Lemma 3.5 and assume that $k \geq k_1$ and $\mathbf{x} \in \mathbf{M}_{k+1}(\mathbf{0})$. We have:*

$$\mathbb{E} \left[\left\| \mathbf{1}_{\Lambda_{L_k}(\mathbf{x})} P_I \xi(\mathbf{H}) \mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \right\| \right] \leq \|\xi\|_\infty \left(CL_k^{-2p+2Nd\alpha} + e^{-mL_k/2} \right).$$

Proof. We again assume $\|\xi\|_\infty \leq 1$. For $\omega \in \Omega_k^{\text{bad}}$ we can use Sect. 3.1 while for $\omega \in \Omega_k^{\text{good}}$ we can use Sect. 3.5. More precisely, the above expectation is bounded by

$$\mathbb{P} \{ \Omega_k^{\text{bad}} \} + e^{-mL_k/2} \mathbb{P} \{ \Omega_k^{\text{good}} \} \leq CL_k^{-2p+2Nd\alpha} + e^{-mL_k/2}. \quad \square$$

3.7. Conclusion. For a compact subset $\mathbf{K} \subset \mathbb{R}^{Nd}$ we find an integer $k \geq k_1$ such that $\mathbf{K} \subset \Lambda_{L_k}(\mathbf{0})$. Then, with the annular regions $\mathbf{M}_j(\mathbf{0})$,

$$\begin{aligned} \mathbb{E} [\| \mathbf{X}^Q P_I \xi(\mathbf{H}(\omega)) \mathbf{1}_{\mathbf{K}} \|] &\leq L_k^Q + \sum_{j \geq k+1} \mathbb{E} [\| \mathbf{X}^Q \mathbf{1}_{\mathbf{M}_j(\mathbf{0})} P_I \xi(\mathbf{H}) \mathbf{1}_{\mathbf{K}} \|] \\ &\leq L_k^Q + \sum_{j \geq k+1} L_{j+1}^Q \left(\sum_{\mathbf{w} \in \mathbf{M}_j(\mathbf{0})} \mathbb{E} [\| \mathbf{1}_{\Lambda_{L_k}(\mathbf{w})} P_I \xi(\mathbf{H}) \mathbf{1}_{\Lambda_{L_k}(\mathbf{0})} \|] \right) \\ &\leq L_k^Q + \sum_{j \geq k+1} L_j^{\alpha Q} L_j^{Nd\alpha} \left(L_j^{-2p+2Nd\alpha} + e^{-mL_j/2} \right) < \infty, \end{aligned}$$

since $2p > 3Nd\alpha + \alpha Q$ by assumption (3.2), and $L_j \sim [L_0^{\alpha^j}]$ grow fast enough.

This completes the proof of dynamical localization. \square

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