


# On the positive mass theorem for CR manifolds

Several Complex Variables and Complex Geometry

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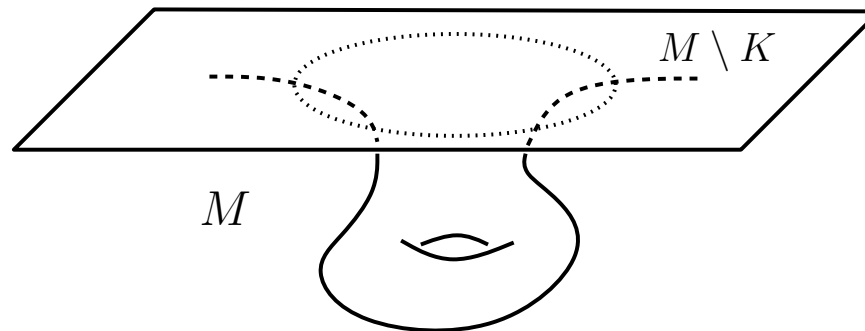


Jih-Hsin Cheng-A.M.-Paul Yang, A positive mass theorem in three dimensional Cauchy-Riemann geometry, in preparation.

## Asymptotically flat (Riemannian) manifolds ■

A manifold  $(M^3, g)$  is said to be *asymptotically flat* if  $\exists K \subseteq\subseteq M$  s.t.  $M \setminus K$  is diffeo. to  $\mathbb{R}^3 \setminus B_1(0)$  and s.t., under this diffeo.

$$g_{ij} = \left(1 + \frac{M}{r}\right)^4 \delta_{ij} + h_{ij}, \quad \partial^l h_{ij} = O(|x|^{-2-l}), \quad l = 0, 1, 2.$$



■ In general relativity these manifolds represent time-slices of static spacetimes where gravity is present.

## Einstein equation ■

The structure of spacetime according to general relativity is governed by Einstein's equation ■

$$E_{ab} := R_{ab} - \frac{1}{2}R_g g_{ab} = T_{ab}. \blacksquare$$

Here  $R_{ab}$  is the Ricci tensor,  $R_g$  the scalar curvature, and  $T_{ab}$  the stress-energy tensor, generated by matter. ■

In vacuum ( $T_{ab} \equiv 0$ ), this equation has variational structure, with Euler-Lagrange functional given by

$$\mathcal{A}(g) := \int_M R_g dV_g \quad \text{Einstein-Hilbert functional.} \blacksquare$$

In fact, one has

$$\frac{d}{dg} (R_g dV_g) [h] = - \left( h^{ij} E_{ij} + \nabla^* \zeta \right) dV_g, \blacksquare$$

$$\zeta = - (\nabla^* h + \nabla(\text{tr}_g h)) = \left( h_{jk}^{',k} - h^k_{k,j} \right) dx^j.$$

## The mass of an asymptotically flat manifold ■

If we consider variations which preserve asymptotic flatness, then the divergence term has a role (flux at infinity), and

$$\frac{d}{dg}(\mathcal{A}(g) + m(g))[h] = \int_M h^{ij} E_{ij} dV_g. \blacksquare$$

The quantity  $m(g)$ , called *ADM mass*, is defined as

$$m(g) := \lim_{r \rightarrow \infty} \oint_{S_r} (g_{jk}^{',k} - g_{k,j}^k) \nu^j d\sigma. \blacksquare$$

**Example: Schwarzschild metric.** ■ It describes a static black hole of total mass  $m = m_{ADM}$ . ■ The expression is

$$\left(1 + \frac{m}{2r}\right)^4 (dr^2 + r^2 d\xi^2). \blacksquare$$

At  $r = \frac{m}{2}$  there is a minimal surface, representing a *event horizon*.

## The positive mass theorem ■

**Theorem** ([Schoen-Yau, '79]) If  $R_g \geq 0$  then  $m(g) \geq 0$ . In case  $m(g) = 0$ , then  $(M, g)$  is isometric to  $(\mathbb{R}^3, dx^2)$ . ■

Physically, this means that a positive local energy density implies a positive global energy for the system. ■

*A simplified model* ■ In Newtonian gravity, the gravitational potential is described by the Poisson equation. ■ If

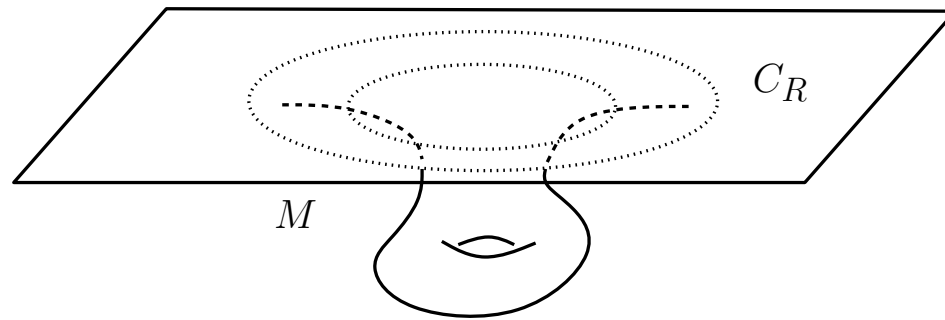
$$\Delta f = \rho \in C_c(\mathbb{R}^3) \quad \implies \quad f(y) \simeq_\infty \frac{A}{|y|}; \quad A = \int_{\mathbb{R}^3} \rho.$$

The issue is that  $R_g$  and  $m(g)$  are nonlinear in the metric. ■

- The above theorem has a fundamental role in the study of the Yamabe problem (more details later).

## Idea of the proof ■

The main argument relies on constructing an asymptotically planar minimal surface in  $M$ . ■ This is done by solving Plateau problems on larger and larger circles  $C_R$  of (asymptotic) radius  $R$ . ■



- - By contradiction, if  $m(g) < 0$  there is a uniform control on the height and it is possible to pass to the limit as  $R \rightarrow +\infty$  and find a stable minimal surface. ■
  - On the other hand  $R_g \geq 0$  implies instability by the second variation formula for the area. ■
- The argument works for every dimension  $n \leq 7$  ■ needs regularity for minimal surfaces.

## Witten's approach ■

On *spin manifolds* E.Witten used Dirac's equation to find an alternative proof. ■ He solved for

$$(*) \quad \bar{D}\psi := \sum_i e_i \cdot \nabla_{e_i} \psi = 0; \quad \psi \rightarrow \psi_0 \text{ as } |x| \rightarrow \infty. \blacksquare$$

The square of the  $\bar{D}$  operator satisfies *Lichnerowicz's formula*

$$\bar{D}^2 = \nabla^* \nabla + \frac{1}{4} R_g. \blacksquare$$

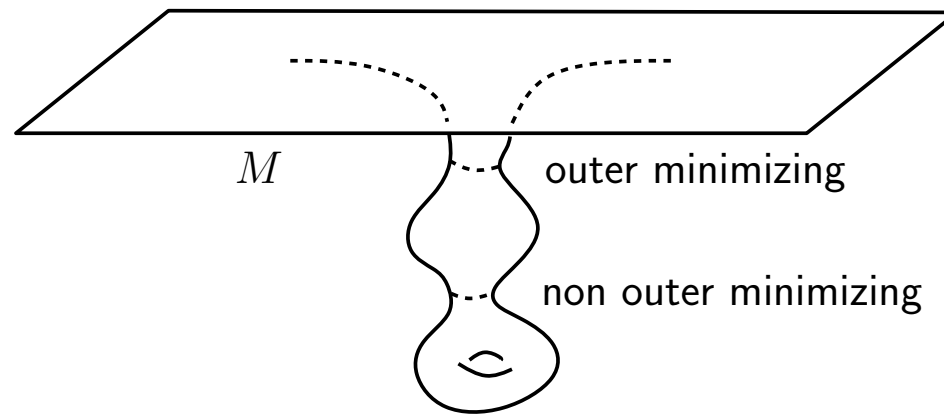
Integrating  $(*)$  by parts, the mass appears in the boundary terms

$$m(g) = c_n \int_M \left( |\nabla \psi|^2 + \frac{1}{4} R_g |\psi|^2 \right) dV_g. \blacksquare$$

The last formula allows also to characterize  $\mathbb{R}^n$  as the unique asymptotically flat space with  $(R_g \geq 0 \text{ and})$  zero mass

## Some extensions ■

There are also quantitative lower bounds on the mass. ■ One is *Penrose's inequality*, concerning *outer minimizing surfaces*



■ If  $A$  is the total area of the outer minimizing surfaces, Penrose's inequality asserts that  $m \geq \sqrt{\frac{A}{16\pi}}$ . ■ The inequality was proved in [Huisken-Ilmanen, '97], [Bray, '01] using geometric flows. ■

Energia positiva



## Conformal blow-up of a compact manifold ■

Motivated by the study of Yamabe's problem, one obtains asymptotically flat manifolds by conformal blow-up of compact ones. ■

Consider the *conformal Laplacian*

$$\varphi \mapsto L_g \varphi := -8\Delta\varphi + R_g\varphi. \blacksquare$$

This operator rules the conformal transformation law of scalar curvature, and behaves nicely under conformal changes of metric. ■

If the first eigenvalue of  $L_g$  is positive, its Green's function  $G(x, y)$  is also positive ■ choosing any  $p \in M$ , consider the metric

$$\tilde{g}(x) = G(x, p)^4 g(x). \blacksquare$$

Since  $G(x, p) \simeq d(x, p)^{-1}$  near  $p$ , one can show that  $(M \setminus \{p\}, \tilde{g})$  is an asymptotically flat manifold.

## CR manifolds: notation ■

Consider a three dimensional CR manifold endowed with a contact structure  $\xi$  and a CR structure  $J : \xi \rightarrow \xi$  such that  $J^2 = -1$ . ■

We assume that there exists a global choice of contact form  $\theta$  which annihilates  $\xi$  and for which  $\theta \wedge d\theta$  is always nonzero. ■ The *Reeb vector field* is the unique vector field  $T$  for which

$$\theta(T) \equiv 1; \quad T \lrcorner d\theta = 0. \blacksquare$$

Given  $J$  as above, we have locally a vector field  $Z_1$  such that

$$(1) \quad JZ_1 = iZ_1; \quad JZ_{\bar{1}} = -iZ_{\bar{1}} \quad \text{where} \quad Z_{\bar{1}} = \overline{(Z_1)}.$$

We also define  $(\theta, \theta^1, \theta^{\bar{1}})$  as the dual triple to  $(T, Z_1, Z_{\bar{1}})$ , so that

$$d\theta = ih_{1\bar{1}}\theta^1 \wedge \theta^{\bar{1}} \quad \text{for some } h_{1\bar{1}} > 0 \quad \blacksquare (\text{w.l.o.g. } h_{1\bar{1}} \equiv 1).$$

The connection 1-form  $\omega_1^1$  and the torsion  $A_1^1$  are uniquely determined by the equations

$$\begin{cases} d\theta^1 = \theta^1 \wedge \omega_1^1 + A_1^1 \theta \wedge \theta^{\bar{1}}; \\ \omega_1^1 + \omega_1^{\bar{1}} = 0. \end{cases} \quad \blacksquare$$

The *Webster curvature* is then defined by the formula

$$d\omega_1^1 = W \theta^1 \wedge \theta^{\bar{1}} \pmod{\theta}. \quad \blacksquare$$

**Example:** the *Heisenberg group*  $\mathbb{H}^1 = \{(z, t) \in \mathbb{C} \times \mathbb{R}\}$

$$\begin{cases} \overset{\circ}{\theta} = dt + izd\bar{z} - i\bar{z}dz; \\ \overset{\circ}{\theta}^1 = \sqrt{2}dz; \\ \overset{\circ}{\theta}^{\bar{1}} = \sqrt{2}d\bar{z}, \end{cases} \quad \blacksquare \quad \begin{cases} \overset{\circ}{T} = \frac{\partial}{\partial t}; \\ \overset{\circ}{Z}_1 = \frac{1}{\sqrt{2}} \left( \frac{\partial}{\partial z} + i\bar{z} \frac{\partial}{\partial t} \right); \\ \overset{\circ}{Z}_{\bar{1}} = \frac{1}{\sqrt{2}} \left( \frac{\partial}{\partial \bar{z}} - iz \frac{\partial}{\partial t} \right). \end{cases}$$

$\xi_0$  on  $\mathbb{H}^1$  is spanned by real and imaginary parts of  $\overset{\circ}{Z}_1$ . The standard CR structure verifies  $J_0 : \xi_0 \rightarrow \xi_0$  by  $J_0 \overset{\circ}{Z}_1 = i \overset{\circ}{Z}_1$ .

## Blow-up of a CR manifold ■

We will consider manifolds of *positive Webster class*, namely for which there exists a conformal  $\hat{\theta} = u^2\theta$  with  $W_{\hat{\theta}} > 0$ .

This class can be characterized via the *conformal sublaplacian*

$$u \mapsto \mathcal{L}u := -4\Delta_b u + Wu = -4(u_{1,\bar{1}} + u_{\bar{1}1}) + Wu. \blacksquare$$

Positivity of the class is equivalent to positivity of  $\lambda_1(\mathcal{L})$ .

If  $M(\xi, J)$  has positive Webster class, then as before the Green's function  $\mathcal{G}(x, y)$  of  $\mathcal{L}$  is positive, and for  $p \in M$  we can consider the form  $\hat{\theta} = \mathcal{G}(p, \cdot)^2\theta$ . ■ Correspondingly,  $\hat{\theta}^1 = u(\theta^1 + 2i(\log u)^1)$ . ■

This means that we are solving for

$$-4\Delta_b \mathcal{G}(p, \cdot) + W\mathcal{G}(p, \cdot) = \delta_p, \blacksquare$$

namely we get zero curvature outside  $p$ .

In CR normal coordinates  $(z(x), t(x))$  at  $p$  ([Jerison-Lee, '111]) one has the following asymptotics for  $\mathcal{G}$

$$\mathcal{G}(p, x) = \frac{1}{32\pi} \rho(x)^{-2} + A + o_x(1), \quad \rho^4(x) = |z|^4 + t^2,$$

for some  $A \in \mathbb{R}$ , where  $o_x(1) \rightarrow 0$  as  $(z, t) \rightarrow 0$ .

## CR inversion ■

If  $(z, t)$  are CR normal coordinates in a neighborhood  $\mathcal{U}$  of  $p$ , we define *inverted CR normal coordinates*  $(z_*, t_*)$  as

$$(2) \quad z_* = \frac{z}{v}; \quad t_* = -\frac{t}{|v|^2}; \quad \text{on } \mathcal{U} \setminus \{p\},$$

where  $v = t + i|z|^2$ . ■ Notice that  $\rho_*(z_*, t_*) = \rho(z, t)^{-1}$ . ■

In these coordinates the new forms become

$$\hat{\theta} = \left(1 + 4\pi A \rho_*^{-2} + O(\rho_*^{-3})\right) (\theta_0)_* + O(\rho_*^{-3}) dz_* + O(\rho_*^{-3}) d\bar{z}_*;$$

$$\begin{aligned} \hat{\theta}^1 &= \left(-2\sqrt{2}\pi A \frac{z_* v_*}{\rho_*^6} + O(\rho_*^{-5})\right) (\theta_0)_* + O(\rho_*^{-4}) d\bar{z}_* \\ &+ \left(1 + 2\pi A \rho_*^{-2} + O(\rho_*^{-3})\right) \sqrt{2} dz_*. \end{aligned}$$

converging to the standard  $\overset{\circ}{\theta}$  and  $\overset{\circ}{\theta}^1$  as  $\rho_* \rightarrow +\infty$ .

## Asymptotically flat pseudohermitian manifolds ■

Motivated by the above computations we introduce the ■

**Definition** A three dimensional pseudohermitian manifold  $(N, J, \theta)$  is said to be asymptotically flat pseudohermitian if  $N = N_0 \cup N_\infty$ , with  $N_0$  compact and  $N_\infty$  diffeomorphic to  $\mathbb{H}^1 \setminus B_{\rho_0}$  in which  $(J, \theta)$  is close to  $(J_0, \theta_0)$  in the sense that

$$\theta = \left(1 + 4\pi A \rho^{-2} + O(\rho^{-3})\right) \theta_0 + O(\rho^{-3}) dz + O(\rho^{-3}) d\bar{z};$$

$$\theta^1 = O(\rho^{-3}) \theta_0 + O(\rho^{-4}) d\bar{z} + \left(1 + 2\pi A \rho^{-2} + O(\rho^{-3})\right) \sqrt{2} dz,$$

for some  $A \in \mathbb{R}$  and a unitary coframe  $\theta^1$  in some system of coordinates (asymptotic coordinates). We also require  $W \in L^1(N)$ .

## A notion of CR-mass ■

Given a one-parameter family of CR structures  $J(s)$ , we have

$$\dot{J} = 2E = 2E_{11}\theta^1 \otimes Z_{\bar{1}} + 2E_{\bar{1}\bar{1}}\theta^{\bar{1}} \otimes Z_1.$$

If  $W(s)$  is the corresponding Webster curvature, then

$$\begin{aligned} \frac{d}{ds}\bigg|_{s=0} \int_N R(s) \theta \wedge d\theta &= \int_N \dot{R} \theta \wedge d\theta \\ &= - \int_N d(E_{11,1} \theta \wedge \theta^1) + \text{conj.} - \int_N (A_{11}E_{\bar{1}\bar{1}} + \text{conj.}) \theta \wedge d\theta \\ &= \oint_{\infty} i\dot{\omega}_1^1 \wedge \theta - \int_N (A_{11}E_{\bar{1}\bar{1}} + \text{conj.}) \theta \wedge d\theta. \end{aligned}$$

This formula leads us to the following

**Definition** Let  $N$  be an asymptotically flat manifold. We define

$$m(J, \theta) := i \oint_{\infty} \omega_1^1 \wedge \theta := \lim_{\Lambda \rightarrow +\infty} i \oint_{S_{\Lambda}} \omega_1^1 \wedge \theta,$$

where  $S_{\Lambda} = \{\rho = \Lambda\}$ .



## The Paneitz operator ■

The CR Paneitz operator  $P$  is defined by

$$P\varphi := 4(\varphi_{\bar{1}1} + iA_{11}\varphi^1)^1 + \text{conj..}$$

Let  $\tilde{P}_3\varphi := \varphi_{\bar{1}1} + iA_{11}\varphi^1$ . The CR pluriharmonic functions are characterized by  $\tilde{P}_3\varphi = 0$  ([?]) compatibility (see [?]). Moreover, for the contact form change  $\theta = e^{2f}\hat{\theta}$  one has

$$P_{\hat{\theta}}\varphi = e^{4f}P_{\theta}\varphi$$

- We call  $P$  *nonnegative* if  $\langle \varphi, P\varphi \rangle_{L^2} \geq 0$  for all  $\varphi$ .

The Paneitz operator enters in the assumptions of the following embeddability theorem. ■ Recall that  $\square_b u := -2u_{,\bar{1}1}$

**Theorem** ([Chanillo-Chiu-Yang, '10]) ■ Let  $M$  be a compact 3D CR manifold. If  $P \geq 0$  and  $W > 0$ , then every eigenvalue  $\lambda \neq 0$  of  $\square_b$  is greater or equal to  $\min_M W$ . In particular  $\text{range}(\square_b)$  is closed. Moreover,  $M$  can be embedded into  $\mathbb{C}^N$  for some  $N \in \mathbb{N}$ .

## An integral formula for the mass ■

**Proposition** Let  $(N, J, \theta)$  be an asymptotically flat pseudohermitian manifold. Let  $\beta : N \rightarrow \mathbb{C}$  be such that

$$\beta = \bar{z} + \beta_{-1} + O(\rho^{-2+\varepsilon}) \quad \text{and} \quad \square_b \beta = O(\rho^{-4}) \quad \text{near } \infty,$$

where  $\beta_{-1}$  is a term with the homogeneity of  $\rho^{-1}$  satisfying

$$(\beta_{-1})_{,\bar{1}} = -2\sqrt{2}\pi A \frac{1}{\rho^2} - \frac{\sqrt{2}A}{|z|^2 + it},$$

and where  $\varepsilon \in (0, 1)$ . Then one has

$$\begin{aligned} \frac{2}{3}m(J, \theta) &= - \int_N |\square_b \beta|^2 \theta \wedge d\theta + 2 \int_N |\beta_{,\bar{1}\bar{1}}|^2 \theta \wedge d\theta \\ &+ 2 \int_N W |\beta_{,\bar{1}}|^2 \theta \wedge d\theta + \frac{1}{2} \int_N \bar{\beta} P \beta \theta \wedge d\theta. \blacksquare \end{aligned}$$

The proof uses integration by parts. ■ The asymptotics on  $\beta_{-1}$  arises from trying to annihilate  $\square_b \beta$

## On the asymptotics of $\beta$ ■

**Proposition** Let

## Solvability of $\square_b \beta = 0$ ■

**Proposition** Let

## Positive mass theorem ■

Massa = Green

**Proposition** Let

## The zero mass case ■

Suppose that  $m(J, \theta) = 0$ . From the integral formula we get

$$\beta_{,11} \equiv 0; \quad \beta_{,\bar{1}\bar{1}} \equiv 0; \quad P\beta \equiv 0.$$

The first two relations imply  $|\beta_{,\bar{1}}|^2 \equiv \text{const.} = \frac{1}{2}$ , from the behavior of  $\beta$  at infinity. ■ We also have then  $W \equiv 0$ . ■

$P\beta = 0$  also implies  $A_{11,\bar{1}} \equiv 0$ . Let us show that indeed  $A_{11} \equiv 0$ . ■

Consider the flow  $\varphi_s$  generated by the Reeb v.f.  $T$  of  $N$ , and let

$$J_{(s)} = \varphi_s^* J \quad (\dot{J} = L_T J = 2A_{J,\theta}).$$

For  $s$  small, it is possible to solve for

$$-4\Delta_b u_s + R_{J_{(s)},\theta} u_s = 0 \quad \text{on } N,$$

so we get  $m(J, u_s^2 \theta) \geq 0$ . ■ Differentiating the mass in  $s$  one finds

$$\frac{d}{ds} \Big|_{s=0} m(J, u_s^2 \theta) = \frac{3}{2} \int_N |A_{11}|^2 \theta \wedge d\theta \quad \implies \quad A_{11} \equiv 0.$$

## Congruence to the Heisenberg group ■

To show that  $N$  coincides with  $\mathbb{H}^1$ , first we define a map from a (simply connected) nb. of infinity  $\mathcal{U}$  in  $N$  to a neighborhood of infinity  $\mathcal{V}$  in  $\mathbb{H}^1$ . From the above equations one finds

$$d(\beta_{,\bar{1}}\theta^{\bar{1}}) = \beta_{,\bar{1}1}\theta^1 \wedge \theta^{\bar{1}} + \beta_{,\bar{1}0}\theta \wedge \theta^{\bar{1}} = 0,$$

which implies that  $d\beta = \beta_{,\bar{1}}\theta^{\bar{1}}$ . Taking  $z = \bar{\beta}$  we have

$$d(\theta - izd\bar{z} + i\bar{z}dz) = i\theta^1 \wedge \theta^{\bar{1}} - 2idz \wedge d\bar{z} = 0.$$

Hence there exists a function  $\tilde{t}$  such that

$$d\tilde{t} = \theta - izd\bar{z} + i\bar{z}dz.$$

So we get a pseudohermitian isomorphism between  $\mathcal{U}$  and its image in  $\mathbb{H}_1$ ,  $\mathcal{V}$ , if we send  $q \in N$  into

$$q \mapsto (z(q), t(q)) = \left( \bar{\beta}(q), \int_{q_0}^q d\tilde{t} \right).$$

where we are taking curves connecting  $q_0$  to  $q$  inside  $\mathcal{U}$ .

We call  $\Psi : \mathcal{V} \rightarrow \mathcal{U}$  (sets which we can assume to be connected by arcs) the inverse of this map: next, we want to extend  $\Psi$  globally on  $\mathbb{H}^1$ . Taking  $q_0 \in \mathcal{V}$  and  $q \in \mathbb{H}^1$  arbitrary, we can find a curve

$$\Gamma : [0, 1] \rightarrow \mathbb{H}^1, \quad \Gamma(0) = q_0, \quad \Gamma(1) = q.$$

We show that this procedure defines a map  $\tilde{\Psi} : \mathbb{H}^1 \rightarrow N$ , showing that  $\tilde{\Gamma}(1)$  is independent of the choice of  $\Gamma$ , by patching local pseudohermitian isometries.



## The CR Yamabe problem ■

Yamabe's problem consists in finding conformal metrics with constant scalar curvature. ■ Solved in [Aubin, '76] and [Schoen, '84] in complementary cases. ■

In the CR case one looks for constant Webster curvature under a conformal change of contact form. ■ If  $\hat{\theta} = u^2\theta$ , then

$$-4\Delta_b u + Wu = \hat{W}u^3. \blacksquare$$

If one wants to solve for constant  $\hat{W}$ , it is possible to do it looking for solutions of the following extremization problem

$$\mathcal{Y}(M, J) := \inf_{\hat{\theta}} \frac{\int_M W_{J, \hat{\theta}} \hat{\theta} \wedge d\hat{\theta}}{\left(\int_M \hat{\theta} \wedge d\hat{\theta}\right)^{\frac{1}{2}}} \blacksquare = \inf_{u \neq 0} \frac{\int_M \left(2|\nabla_b u|^2 + \frac{1}{2}W_{J, \theta} u^2\right) \theta \wedge d\theta}{\left(\int_M u^4 \theta \wedge d\theta\right)^{\frac{1}{2}}}. \blacksquare$$

The cases  $\mathcal{Y}(M, J) < 0$  and  $\mathcal{Y}(M, J) = 0$  are easy, while the positive case is difficult since the embedding  $\mathcal{S}^{1,2} \hookrightarrow L^4$  is critical.

## The positive case ■

In the *positive case*, one has always  $\mathcal{Y}(M, J) \leq \mathcal{Y}(S^3, J_0)$  ■ To see this, one can exploit the conformality of the map  $\varpi : S^3 \setminus p \rightarrow \mathbb{H}^1$ ,  $p = (0, 1) \in \mathbb{C}^2$ , defined as

$$\varpi(z_1, z_2) = \left( \frac{z_1}{1 + z_2}, \operatorname{Re} \left( i \frac{1 - z_2}{1 + z_2} \right) \right),$$

where  $(z_1, z_2)$  are standard coordinates in  $\mathbb{C}^2$ . ■ Composing with a dilation, the conformal factor of the inverse map is given by

$$\omega_\lambda(z, t) = \frac{1}{\lambda} \left( t^2 + |z|^4 + \frac{2}{\lambda^2} |z|^2 + \frac{1}{\lambda^4} \right)^{-\frac{1}{2}}; \quad \lambda > 0, \quad (z, t) \in \mathbb{H}^1.$$

In [Jerison-Lee, '77] these functions were classified as extremals for the Sobolev-type ratio in  $\mathbb{H}^1$ , equal to  $\mathcal{Y}(S^3, J_0)$ . ■

Localizing these functions on any manifold with  $\lambda$  large, in the quotient one can get arbitrarily close to  $\mathcal{Y}(S^3, J_0)$ .

## Compactness recovery ■

Compactness of minimizing sequences indeed holds provided one has the strict inequality  $\mathcal{Y}(M, J) < \mathcal{Y}(S^3, J_0)$  (there would not be enough energy for blow-up). ■

This condition was proved in [Jerison-Lee, '84] in dimension greater or equal to 7 and non locally spherical manifolds using local expansions of the energy. ■

In low dimension the decay of extremals is slower, so a global argument is needed. ■ Here the positive mass enters.

Following the argument in [Schoen, '84], one can glue a highly peaked  $\omega_\lambda$  at  $p \in M$  to a scaled Green's function. ■

More precisely, we set

$$u(z, t) \simeq \begin{cases} \omega_\lambda(z, t) & \text{in } \{\rho \leq \rho_0\}; \varepsilon_0 \tilde{G}_p(z, t) \\ \text{in } M \setminus \{\rho \leq \rho_0\}, \end{cases}$$

where

$$\varepsilon_0 = \frac{1}{\lambda(1 + 2\pi A\rho_0^2)}.$$

Then one finds

$$\frac{\int_M \left(2|\nabla_b u|^2 + \frac{1}{2}W_{J,\theta} u^2\right) \theta \wedge d\theta}{\left(\int_M u^4 \theta \wedge d\theta\right)^{\frac{1}{2}}} \leq \mathcal{Y}(S^3, J_0) - \frac{c_0 A}{\lambda^2 \rho_0^2},$$

which implies strict inequality and compactness.

## An example with positive $W$ and negative mass ■

Let  $J(s)$  be a perturbation of the standard structure on  $\mathbb{H}^1$ , fast decaying at infinity. ■ As noticed before, one can solve for

$$-4\Delta_b u_s + W_{J(s),\theta} u_s = 0 \quad \text{on } \mathbb{H}^1. \blacksquare$$

Using some asymptotic analysis one finds

$$u_s = 1 - \frac{1}{32\pi\rho^2} \int_N W_{J(s),\theta} u_s \theta \wedge d\theta + O(\rho^{-3}) \quad \text{at infinity,}$$

Recalling that  $m(J, \theta) = 48\pi^2 A$  (2nd order term in  $\mathcal{G}$ ), we get

$$m(J(s), u_s^2 \theta) = -\frac{3}{4} \int_N W_{J(s),\theta} u_s \theta \wedge d\theta.$$

We choose a deformation  $J(s)$  so that  $E_{11}$  is a CR function, i.e.  $E_{11,\bar{1}} = 0$ . We can take for example

$$E_{11}(z, \bar{z}, t) = \left( t + i(|z|^2 + 1) \right)^{-k},$$

with  $k$  large (to have decay).

For this choice of  $E_{11}$  one has

$$\dot{W} = i \left( E_{11, \bar{1}\bar{1}} - E_{\bar{1}\bar{1}, 11} \right) - \left( A_{11} E_{\bar{1}\bar{1}} + A_{\bar{1}\bar{1}} E_{11} \right) = 0,$$

and moreover

$$\ddot{W} = -2|E_{11,1}|^2 - 2E_{11}E_{\bar{1}\bar{1},\bar{1}\bar{1}} - 2E_{\bar{1}\bar{1}}E_{11,1\bar{1}}.$$

Since  $W_0 \equiv 0$  and  $u_0 \equiv 1$  we have that

$$\ddot{m}(J_{(s)}, u_s^2 \theta)|_{s=0} = -\frac{3}{4} \int_N \ddot{W} \theta \wedge d\theta.$$

so integrating by parts we get negative mass since

$$\ddot{m}(J, \theta) = -\frac{3}{2} \int_{\mathbb{H}^1} |E_{11,1}|^2 \overset{\circ}{\theta} \wedge d \overset{\circ}{\theta} < 0.$$

We can transport the latter example on  $S^3$  using

## Open problems ■

*On spin manifolds*

Thanks for your attention