

# $L^2$ hypocoercivity, inequalities and applications

Jean Dolbeault

<http://www.ceremade.dauphine.fr/~dolbeaul>

Ceremade, Université Paris-Dauphine

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# Outline

- **Diffusion rates and functional inequalities**
  - ▷ Poincaré inequality
  - ▷ Nash inequality
  - ▷ Inequality for the intermediate range: weighed Nash and Caffarelli-Kohn-Nirenberg inequalities
- **$L^2$  Hypocoercivity**
  - ▷ Abstract setting
  - ▷ The diffusion limit
  - ▷ The non-compact case
- **Decay and convergence rates for kinetic equations**
  - ▷ The global picture
  - ▷ Without confinement: Nash inequality
  - ▷ With very weak confinement
  - ▷ Without confinement and with sub-exponential local equilibria

# Diffusion, rates and functional inequalities

# Diffusion (Fokker-Planck) equations

If  $\rho \geq 0$  is a solution of the *Fokker-Planck equation*

$$\frac{\partial \rho}{\partial t} = \Delta \rho + \nabla \cdot (\rho \nabla V) \quad \text{in } \mathbb{R}^d$$

with initial datum  $\rho_0 \in L^1(\mathbb{R}^d)$  (of mass 1), if  $\mu = e^{-V}$  is the density of a probability measure such that the *Poincaré inequality*

$$\int_{\mathbb{R}^d} |u - \bar{u}|^2 d\mu \leq \mathcal{C}_P \int_{\mathbb{R}^d} |\nabla u|^2 d\mu \quad \forall u \in \mathcal{H}^1(\mathbb{R}^d, d\mu)$$

then  $u = \rho/\mu$  solves the Ornstein-Uhlenbeck equation

$$\frac{\partial u}{\partial t} = \Delta u - \nabla u \cdot \nabla V$$

and  $\|u(t, \cdot)\|_{L^1(\mathbb{R}^d, d\mu)} = \|\rho(t, \cdot)\|_{L^1(\mathbb{R}^d, dx)} = \|\rho_0\|_{L^1(\mathbb{R}^d, dx)} = \bar{u}$ ,

$$\frac{d}{dt} \|u(t, \cdot) - \bar{u}\|_{L^2(\mathbb{R}^d, dx)}^2 = -2 \|\nabla u(t, \cdot)\|_{L^2(\mathbb{R}^d, dx)}^2 \leq -\frac{2}{\mathcal{C}_P} \|u(t, \cdot) - \bar{u}\|_{L^2(\mathbb{R}^d, dx)}^2$$

$$\text{and } \int_{\mathbb{R}^d} |u(t, \cdot) - \bar{u}|^2 d\mu \leq \int_{\mathbb{R}^d} |u_0 - \bar{u}|^2 d\mu e^{-2t/\mathcal{C}_P} \quad \forall t \geq 0$$

# The decay rate of the heat equation

If  $\rho$  is a solution of the *heat equation*

$$\frac{\partial \rho}{\partial t} = \Delta \rho \quad \text{in } \mathbb{R}^d$$

with initial datum  $\rho_0 \in L^1(\mathbb{R}^d)$ , then

$$\|\rho(t, \cdot)\|_{L^1(\mathbb{R}^d, dx)} = \|\rho_0\|_{L^1(\mathbb{R}^d, dx)}$$

$$\frac{d}{dt} \|\rho(t, \cdot)\|_{L^2(\mathbb{R}^d, dx)}^2 = -2 \|\nabla \rho(t, \cdot)\|_{L^2(\mathbb{R}^d, dx)}^2 \leq -\mathcal{C} \|\rho(t, \cdot)\|_{L^2(\mathbb{R}^d, dx)}^{2+\frac{4}{d}}$$

by Nash's inequality

$$\|u\|_2^{2+\frac{4}{d}} \leq \mathcal{C}_{\text{Nash}} \|u\|_1^{\frac{4}{d}} \|\nabla u\|_2^2$$

and so

$$\|\rho(t, \cdot)\|_{L^2(\mathbb{R}^d, dx)} \leq \mathcal{C} \|\rho_0\|_{L^2(\mathbb{R}^d, dx)} (1+t)^{-d/2}$$

# Diffusion (Fokker-Planck) equations

Potential	$V = 0$	$V(x) = \gamma \log  x $ $\gamma < d$	$V(x) =  x ^\alpha$ $\alpha \in (0, 1)$	$V(x) =  x ^\alpha$ $\alpha \geq 1$
Inequality	Nash	Caffarelli-Kohn -Nirenberg	Weak Poincaré or Weighted Poincaré	Poincaré
Asymptotic behavior	$t^{-d/2}$ decay	$t^{-(d-\gamma)/2}$ decay	$t^{-\mu}$ or $t^{-\frac{k}{2(1-\alpha)}}$ convergence	$e^{-\lambda t}$ convergence

Table 1:  $\partial_t u = \Delta u + \nabla \cdot (u \nabla V)$

## Very weak confinement: Caffarelli-Kohn-Nirenberg

$$\frac{\partial u}{\partial t} = \Delta_x u + \nabla_x \cdot (\nabla_x V u) = \nabla_x (e^{-V} \nabla_x (e^V u))$$

Here  $x \in \mathbb{R}^d$ ,  $d \geq 3$ , and  $V$  is a potential such that  $e^{-V} \notin L^1(\mathbb{R}^d)$  corresponding to a *very weak confinement*

Two examples

$$V_1(x) = \gamma \log |x| \quad \text{and} \quad V_2(x) = \gamma \log \langle x \rangle$$

with  $\gamma < d$  and  $\langle x \rangle := \sqrt{1 + |x|^2}$  for any  $x \in \mathbb{R}^d$

In collaboration with Emeric Bouin and Christian Schmeiser

Potential	$V = 0$	$V(x) = \gamma \log  x $ $\gamma < d$	$V(x) =  x ^\alpha$ $\alpha \in (0, 1)$	$V(x) =  x ^\alpha$ $\alpha \geq 1$
Inequality	Nash	Caffarelli-Kohn -Nirenberg	Weak Poincaré or Weighted Poincaré	Poincaré
Asymptotic behavior	$t^{-d/2}$ decay	$t^{-(d-\gamma)/2}$ decay	$t^{-\mu}$ or $t^{-\frac{k}{2(1-\alpha)}}$ convergence	$e^{-\lambda t}$ convergence

Table 2:  $\partial_t u = \Delta u + \nabla \cdot (u \nabla V)$ 

*Actually, this is more complicated, because the rate depends on the functional space (and of the range of the parameters)...*



# A first decay result (1/3)

## Theorem

Assume that  $d \geq 3$ ,  $\gamma < (d-2)/2$  and  $V = V_1$  or  $V = V_2$

For any solution  $u$  with initial datum  $u_0 \in L^1_+ \cap L^2(\mathbb{R}^d)$ ,

$$\|u(t, \cdot)\|_2^2 \leq \frac{\|u_0\|_2^2}{(1+ct)^{\frac{d}{2}}} \quad \text{with} \quad c := \frac{4}{d} \min \left\{ 1, 1 - \frac{2\gamma}{d-2} \right\} \mathcal{C}_{\text{Nash}}^{-1} \frac{\|u_0\|_2^{4/d}}{\|u_0\|_1^{4/d}}$$

Here  $\mathcal{C}_{\text{Nash}}$  denotes the optimal constant in Nash's inequality

$$\|u\|_2^{2+\frac{4}{d}} \leq \mathcal{C}_{\text{Nash}} \|u\|_1^{\frac{4}{d}} \|\nabla u\|_2^2 \quad \forall u \in L^1 \cap H^1(\mathbb{R}^d)$$

# Extended range of exponents, with moments (2/3)

## Theorem

Let  $d \geq 1$ ,  $0 < \gamma < d$ ,  $V = V_1$  or  $V = V_2$ , and  $u_0 \in L^1_+ \cap L^2(e^V)$   
 with  $\| |x|^k u_0 \|_1 < \infty$  for some  $k \geq \max\{2, \gamma/2\}$

$$\forall t \geq 0, \quad \|u(t, \cdot)\|_{L^2(e^V dx)}^2 \leq \|u_0\|_{L^2(e^V dx)}^2 (1 + ct)^{-\frac{d-\gamma}{2}}$$

for some  $c$  depending on  $d$ ,  $\gamma$ ,  $k$ ,  $\|u_0\|_{L^2(e^V dx)}$ ,  $\|u_0\|_1$ , and  $\| |x|^k u_0 \|_1$

# Extended range of exponents, self-similar variables (3/3)

$$u_\star(t, x) = \frac{c_\star}{(1+2t)^{\frac{d-\gamma}{2}}} |x|^{-\gamma} \exp\left(-\frac{|x|^2}{2(1+2t)}\right)$$

Here the initial data need to have a sufficient decay...

$c_\star$  is chosen such that  $\|u_\star\|_1 = \|u_0\|_1$

## Theorem

Let  $d \geq 1$ ,  $\gamma \in (0, d)$ ,  $V = V_1$  assume that

$$\forall x \in \mathbb{R}^d, \quad 0 \leq u_0(x) \leq K u_\star(0, x)$$

for some constant  $K > 1$

$$\forall t \geq 0, \quad \|u(t, \cdot) - u_\star(t, \cdot)\|_p \leq K c_\star^{1-\frac{1}{p}} \|u_0\|_1^{\frac{1}{p}} \left(\frac{e}{2|\gamma|}\right)^{\frac{\gamma}{2}} \left(1 - \frac{1}{p}\right) (1+2t)^{-\zeta_p}$$

for any  $p \in [1, +\infty)$ , where  $\zeta_p := \frac{d}{2} \left(1 - \frac{1}{p}\right) + \frac{1}{2p} \min\left\{2, \frac{d}{d-\gamma}\right\}$

# Proofs: basic case (1/3)

$$\frac{d}{dt} \int_{\mathbb{R}^d} u^2 dx = -2 \int_{\mathbb{R}^d} |\nabla u|^2 dx + \int_{\mathbb{R}^d} \Delta V |u|^2 dx$$

with either  $V = V_1$  or  $V = V_2$  and

$$\Delta V_1(x) = \gamma \frac{d-2}{|x|^2} \quad \text{and} \quad \Delta V_2(x) = \gamma \frac{d-2}{1+|x|^2} + \frac{2\gamma}{(1+|x|^2)^2}$$

For  $\gamma \leq 0$ : apply Nash's inequality

$$\frac{d}{dt} \|u\|_2^2 \leq -2 \|\nabla u\|_2^2 \leq -\frac{2}{\mathcal{C}_{\text{Nash}}} \|u_0\|_1^{-4/d} \|u\|_2^{2+4/d}$$

For  $0 < \gamma < (d-2)/2$ : *Hardy-Nash inequalities*

## Lemma

Let  $d \geq 3$ ,  $\delta < (d-2)^2/4$  and  $\mathcal{C}_\delta = \mathcal{C}_{\text{Nash}} / \left(1 - \frac{4\delta}{(d-2)^2}\right)$

$$\|u\|_2^{2+\frac{4}{d}} \leq \mathcal{C}_\delta \left( \|\nabla u\|_2^2 - \delta \int_{\mathbb{R}^d} \frac{u^2}{|x|^2} dx \right) \|u\|_1^{\frac{4}{d}} \quad \forall u \in L^1 \cap H^1(\mathbb{R}^d)$$

# Proofs: moments (2/3)

Growth of the moment

$$M_k(t) := \int_{\mathbb{R}^d} |x|^k u \, dx$$

From the equation

$$M'_k = k(d+k-2-\gamma) \int_{\mathbb{R}^d} u |x|^{k-2} \, dx \leq k(d+k-2-\gamma) M_0^{\frac{2}{k}} M_k^{1-\frac{2}{k}}$$

then use the *Caffarelli-Kohn-Nirenberg inequality*

$$\int_{\mathbb{R}^d} |x|^\gamma u^2 \, dx \leq \mathfrak{C} \left( \int_{\mathbb{R}^d} |x|^{-\gamma} |\nabla(|x|^\gamma u)|^2 \, dx \right)^a \left( \int_{\mathbb{R}^d} |x|^k |u| \, dx \right)^{2(1-a)}$$

## Proofs: self-similar solutions (3/3)

The proof relies on *uniform decay estimates* + *Poincaré inequality*  
in self-similar variables

### Proposition

Let  $\gamma \in (0, d)$  and assume that

$$0 \leq u(0, x) \leq c_\star (\sigma + |x|^2)^{-\gamma/2} \exp\left(-\frac{|x|^2}{2}\right) \quad \forall x \in \mathbb{R}^d$$

with  $\sigma = 0$  if  $V = V_1$  and  $\sigma = 1$  if  $V = V_2$ . Then

$$0 \leq u(t, x) \leq \frac{c_\star}{(1 + 2t)^{\frac{d-\gamma}{2}}} (\sigma + |x|^2)^{-\gamma/2} \exp\left(-\frac{|x|^2}{2(1 + 2t)}\right)$$

for any  $x \in \mathbb{R}^d$  and  $t \geq 0$

## With sub-exponential equilibria

▷ We consider the *homogeneous Fokker-Planck equation*

$$\partial_t g = \nabla_v \cdot \left( F \nabla_v (F^{-1} g) \right)$$

associated with *sub-exponential equilibria*

$$F(v) = C_\alpha e^{-\langle v \rangle^\alpha}, \quad \alpha \in (0, 1)$$

or the corresponding Ornstein-Uhlenbeck equation for  $h = g/F$

– decay rates based on the weak Poincaré inequality (Kavian, Mischler)

– decay rates based on a weighted Poincaré / Hardy-Poincaré inequality

In collaboration with Emeric Bouin, Laurent Lafleche and Christian Schmeiser

Potential	$V = 0$	$V(x) = \gamma \log  x $ $\gamma < d$	$V(x) =  x ^\alpha$ $\alpha \in (0, 1)$	$V(x) =  x ^\alpha$ $\alpha \geq 1$
Inequality	Nash	Caffarelli-Kohn -Nirenberg	Weak Poincaré or Weighted Poincaré	Poincaré
Asymptotic behavior	$t^{-d/2}$ decay	$t^{-(d-\gamma)/2}$ decay	$t^{-\mu}$ or $t^{-\frac{k}{2(1-\alpha)}}$ convergence	$e^{-\lambda t}$ convergence

Table 3:  $\partial_t u = \Delta u + \nabla \cdot (u \nabla V)$



# Weak Poincaré inequality

$$\int_{\mathbb{R}^d} |h - \tilde{h}|^2 d\xi \leq \mathcal{C}_{\alpha, \tau} \left( \int_{\mathbb{R}^d} |\nabla h|^2 d\xi \right)^{\frac{\tau}{1+\tau}} \left\| h - \tilde{h} \right\|_{L^\infty(\mathbb{R}^d)}^{\frac{2}{1+\tau}}$$

for some explicit positive constant  $\mathcal{C}_{\alpha, \tau}$ ,  $\tilde{h} := \int_{\mathbb{R}^d} h d\xi$ . Using

$$\frac{d}{dt} \int_{\mathbb{R}^d} |h(t, \cdot) - \tilde{h}|^2 d\xi = -2 \int_{\mathbb{R}^d} |\nabla_v h|^2 d\xi$$

where  $h = g/F$  and  $d\xi = F dv$  + Hölder's inequality

$$\int_{\mathbb{R}^d} |h - \tilde{h}|^2 d\xi \leq \left( \int_{\mathbb{R}^d} |h - \tilde{h}|^2 \langle v \rangle^{-\beta} d\xi \right)^{\frac{\tau}{\tau+1}} \left( \int_{\mathbb{R}^d} \|h - \tilde{h}\|_{L^\infty(\mathbb{R}^d)}^2 \langle v \rangle^{\beta \tau} d\xi \right)^{\frac{1}{\tau+1}}$$

with  $(\tau + 1)/\tau = \beta/\eta$ , then for with  $\mathcal{M} = \sup_{s \in (0, t)} \|h(s, \cdot) - \tilde{h}\|_{L^\infty(\mathbb{R}^d)}^{2/\tau}$

$$\int_{\mathbb{R}^d} |h(t, \cdot) - \tilde{h}|^2 d\xi \leq \left( \left( \int_{\mathbb{R}^d} |h(0, \cdot) - \tilde{h}|^2 d\xi \right)^{-\frac{1}{\tau}} + \frac{2\tau^{-1}}{\mathcal{C}_{\alpha, \tau}^{1+1/\tau} \mathcal{M}} t \right)^{-\tau}$$

# Weighted Poincaré inequality

There exists a constant  $\mathcal{C} > 0$  such that

$$\int_{\mathbb{R}^d} |\nabla h|^2 F \, dv \geq \mathcal{C} \int_{\mathbb{R}^d} |h - \tilde{h}|^2 \langle v \rangle^{-\beta} F \, dv$$

with  $\beta = 2(1 - \alpha)$ ,  $\tilde{h} := \int_{\mathbb{R}^d} h F \, dv$  and  $F(v) = C_\alpha e^{-\langle v \rangle^\alpha}$  and  $\alpha \in (0, 1)$

Written in terms of  $g = h F$ , the inequality becomes

$$\int_{\mathbb{R}^d} |\nabla_v (F^{-1} g)|^2 F^2 \, d\mu \geq \mathcal{C} \int_{\mathbb{R}^d} |g - \bar{g}|^2 \langle v \rangle^{-2(1-\alpha)} \, d\mu$$

where  $d\mu = F \, dv$  and  $\bar{g} := \left( \int_{\mathbb{R}^d} g \, dv \right) F$

$$\begin{aligned} \frac{d}{dt} \int_{\mathbb{R}^d} |h(t, v)|^2 \langle v \rangle^k F dv + 2 \int_{\mathbb{R}^d} |\nabla_v h|^2 \langle v \rangle^k F dv \\ = - \int_{\mathbb{R}^d} \nabla_v (h^2) \cdot (\nabla_v \langle v \rangle^k) F dv \end{aligned}$$

With  $\ell = 2 - \alpha$ ,  $a \in \mathbb{R}$ ,  $b \in (0, +\infty)$

$$\nabla_v \cdot (F \nabla_v \langle v \rangle^k) = \frac{k}{\langle v \rangle^4} (d + (k + d - 2) |v|^2 - \alpha \langle v \rangle^\alpha |v|^2) \leq a - b \langle v \rangle^{-\ell}$$

### Proposition (Weighted L<sup>2</sup> norm)

*There exists a constant  $\mathcal{K}_k > 0$  such that, if  $h$  solves the Ornstein-Uhlenbeck equation, then*

$$\forall t \geq 0 \quad \|h(t, \cdot)\|_{L^2(\langle v \rangle^k d\xi)} \leq \mathcal{K}_k \|h^{\text{in}}\|_{L^2(\langle v \rangle^k d\xi)}$$

$$\frac{d}{dt} \int_{\mathbb{R}^d} |h(t, \cdot) - \tilde{h}|^2 d\xi = -2 \int_{\mathbb{R}^d} |\nabla_v h|^2 d\xi \leq -2\mathcal{C} \int_{\mathbb{R}^d} |h - \tilde{h}|^2 \langle v \rangle^{-\beta} d\xi$$

+ Hölder

### Theorem

Assume that  $\alpha \in (0, 1)$ . Let  $g^{\text{in}} \in L^1_+(\mathrm{d}\mu) \cap L^2(\langle v \rangle^k \mathrm{d}\mu)$  for some  $k > 0$  and consider the solution  $g$  to the homogeneous Fokker-Planck equation with initial datum  $g^{\text{in}}$ . If  $\bar{g} = (\int_{\mathbb{R}^d} g \mathrm{d}v) F$ , then

$$\int_{\mathbb{R}^d} |g(t, \cdot) - \bar{g}|^2 \mathrm{d}\mu \leq \left( \left( \int_{\mathbb{R}^d} |g^{\text{in}} - \bar{g}|^2 \mathrm{d}\mu \right)^{-\beta/k} + \frac{2\beta\mathcal{C}}{k\mathcal{K}^{\beta/k}} t \right)^{-k/\beta}$$

with  $\beta = 2(1 - \alpha)$  and  $\mathcal{K} := \mathcal{K}_k^2 \|g^{\text{in}}\|_{L^2(\langle v \rangle^k \mathrm{d}\mu)}^2 + \Theta_k (\int_{\mathbb{R}^d} g^{\text{in}} \mathrm{d}v)^2$

# L<sup>2</sup> Hypocoercivity

- ▷ Abstract statement
- ▷ Diffusion limit
- ▷ The extension to the non-compact case

Collaboration with C. Mouhot and C. Schmeiser  
+ E. Bouin, S. Mischler

## An abstract evolution equation

Let us consider the equation

$$\frac{dF}{dt} + \mathbb{T}F = \mathbb{L}F$$

In the framework of kinetic equations,  $\mathbb{T}$  and  $\mathbb{L}$  are respectively the transport and the collision operators

We assume that  $\mathbb{T}$  and  $\mathbb{L}$  are respectively anti-Hermitian and Hermitian operators defined on the complex Hilbert space  $(\mathcal{H}, \langle \cdot, \cdot \rangle)$

$$\mathbb{A} := (1 + (\mathbb{T}\Pi)^* \mathbb{T}\Pi)^{-1} (\mathbb{T}\Pi)^*$$

\* denotes the adjoint with respect to  $\langle \cdot, \cdot \rangle$

$\Pi$  is the orthogonal projection onto the null space of  $\mathbb{L}$

# The assumptions

$\lambda_m$ ,  $\lambda_M$ , and  $C_M$  are positive constants such that, for any  $F \in \mathcal{H}$

▷ *microscopic coercivity:*

$$-\langle \mathbf{L}F, F \rangle \geq \lambda_m \|(1 - \Pi)F\|^2 \quad (\text{H1})$$

▷ *macroscopic coercivity:*

$$\|\mathbf{T}\Pi F\|^2 \geq \lambda_M \|\Pi F\|^2 \quad (\text{H2})$$

▷ *parabolic macroscopic dynamics:*

$$\Pi\mathbf{T}\Pi F = 0 \quad (\text{H3})$$

▷ *bounded auxiliary operators:*

$$\|\mathbf{A}\mathbf{T}(1 - \Pi)F\| + \|\mathbf{A}\mathbf{L}F\| \leq C_M \|(1 - \Pi)F\| \quad (\text{H4})$$

The estimate

$$\frac{1}{2} \frac{d}{dt} \|F\|^2 = \langle \mathbf{L}F, F \rangle \leq -\lambda_m \|(1 - \Pi)F\|^2$$

is not enough to conclude that  $\|F(t, \cdot)\|^2$  decays exponentially

# Equivalence and entropy decay

For some  $\delta > 0$  to be determined later, the  $L^2$  entropy / Lyapunov functional is defined by

$$\mathbf{H}[F] := \frac{1}{2} \|F\|^2 + \delta \operatorname{Re}\langle AF, F \rangle$$

so that  $\langle A\Pi F, F \rangle \sim \|\Pi F\|^2$  and

$$\begin{aligned} -\frac{d}{dt}\mathbf{H}[F] &= : \mathbf{D}[F] \\ &= -\langle LF, F \rangle + \delta \langle A\Pi F, F \rangle \\ &\quad - \delta \operatorname{Re}\langle TAF, F \rangle + \delta \operatorname{Re}\langle A\mathbf{T}(1 - \Pi)F, F \rangle - \delta \operatorname{Re}\langle ALF, F \rangle \end{aligned}$$

▷ *entropy decay rate*: for any  $\delta > 0$  small enough and  $\lambda = \lambda(\delta)$

$$\lambda \mathbf{H}[F] \leq \mathbf{D}[F]$$

▷ *norm equivalence* of  $\mathbf{H}[F]$  and  $\|F\|^2$

$$\frac{2 - \delta}{4} \|F\|^2 \leq \mathbf{H}[F] \leq \frac{2 + \delta}{4} \|F\|^2$$



# Exponential decay of the entropy

$$\lambda = \frac{\lambda_M}{3(1+\lambda_M)} \min \left\{ 1, \lambda_m, \frac{\lambda_m \lambda_M}{(1+\lambda_M) C_M^2} \right\}, \quad \delta = \frac{1}{2} \min \left\{ 1, \lambda_m, \frac{\lambda_m \lambda_M}{(1+\lambda_M) C_M^2} \right\}$$

$$h_1(\delta, \lambda) := (\delta C_M)^2 - 4 \left( \lambda_m - \delta - \frac{2+\delta}{4} \lambda \right) \left( \frac{\delta \lambda_M}{1+\lambda_M} - \frac{2+\delta}{4} \lambda \right)$$

## Theorem

Let  $\mathbf{L}$  and  $\mathbf{T}$  be closed linear operators (respectively Hermitian and anti-Hermitian) on  $\mathcal{H}$ . Under (H1)–(H4), for any  $t \geq 0$

$$\mathbf{H}[F(t, \cdot)] \leq \mathbf{H}[F_0] e^{-\lambda_* t}$$

where  $\lambda_*$  is characterized by

$$\lambda_* := \sup \left\{ \lambda > 0 : \exists \delta > 0 \text{ s.t. } h_1(\delta, \lambda) = 0, \lambda_m - \delta - \frac{1}{4} (2 + \delta) \lambda > 0 \right\}$$

## Sketch of the proof

- Since  $A\Pi = (1 + (\Pi)^*\Pi)^{-1} (\Pi)^*\Pi$ , from (H1) and (H2)

$$-\langle LF, F \rangle + \delta \langle A\Pi F, F \rangle \geq \lambda_m \|(1 - \Pi)F\|^2 + \frac{\delta \lambda_M}{1 + \lambda_M} \|\Pi F\|^2$$

- By (H4), we know that

$$|\operatorname{Re}\langle A\Pi(1 - \Pi)F, F \rangle + \operatorname{Re}\langle ALF, F \rangle| \leq C_M \|\Pi F\| \|(1 - \Pi)F\|$$

- The equation  $G = AF$  is equivalent to  $(\Pi)^*F = G + (\Pi)^*\Pi G$

$$\langle TAF, F \rangle = \langle G, (\Pi)^*F \rangle = \|G\|^2 + \|\Pi G\|^2 = \|AF\|^2 + \|TAF\|^2$$

$$\langle G, (\Pi)^*F \rangle \leq \|TAF\| \|(1 - \Pi)F\| \leq \frac{1}{2\mu} \|TAF\|^2 + \frac{\mu}{2} \|(1 - \Pi)F\|^2$$

$$\|AF\| \leq \frac{1}{2} \|(1 - \Pi)F\|, \quad \|TAF\| \leq \|(1 - \Pi)F\|, \quad |\langle TAF, F \rangle| \leq \|(1 - \Pi)F\|^2$$

- With  $X := \|(1 - \Pi)F\|$  and  $Y := \|\Pi F\|$

$$D[F] - \lambda H[F] \geq (\lambda_m - \delta) X^2 + \frac{\delta \lambda_M}{1 + \lambda_M} Y^2 - \delta C_M XY - \frac{2 + \delta}{4} \lambda (X^2 + Y^2)$$

# Hypocoercivity

## Corollary

For any  $\delta \in (0, 2)$ , if  $\lambda(\delta)$  is the largest positive root of  $h_1(\delta, \lambda) = 0$  for which  $\lambda_m - \delta - \frac{1}{4}(2 + \delta)\lambda > 0$ , then for any solution  $F$  of the evolution equation

$$\|F(t)\|^2 \leq \frac{2 + \delta}{2 - \delta} e^{-\lambda(\delta)t} \|F(0)\|^2 \quad \forall t \geq 0$$

From the norm equivalence of  $\mathbf{H}[F]$  and  $\|F\|^2$

$$\frac{2 - \delta}{4} \|F\|^2 \leq \mathbf{H}[F] \leq \frac{2 + \delta}{4} \|F\|^2$$

We use  $\frac{2 - \delta}{4} \|F_0\|^2 \leq \mathbf{H}[F_0]$  so that  $\lambda_\star \geq \sup_{\delta \in (0, 2)} \lambda(\delta)$

## Formal macroscopic (diffusion) limit

Scaled evolution equation

$$\varepsilon \frac{dF}{dt} + \mathbb{T}F = \frac{1}{\varepsilon} \mathbb{L}F$$

on the Hilbert space  $\mathcal{H}$ .  $F_\varepsilon = F_0 + \varepsilon F_1 + \varepsilon^2 F_2 + \mathcal{O}(\varepsilon^3)$  as  $\varepsilon \rightarrow 0_+$

$$\varepsilon^{-1} : \quad \mathbb{L}F_0 = 0,$$

$$\varepsilon^0 : \quad \mathbb{T}F_0 = \mathbb{L}F_1,$$

$$\varepsilon^1 : \quad \frac{dF_0}{dt} + \mathbb{T}F_1 = \mathbb{L}F_2$$

The first equation reads as  $u = F_0 = \Pi F_0$

The second equation is simply solved by  $F_1 = -(\mathbb{T}\Pi) F_0$

After projection, the third equation is

$$\frac{d}{dt} (\Pi F_0) - \Pi \mathbb{T} (\mathbb{T}\Pi) F_0 = \Pi \mathbb{L}F_2 = 0$$

$$\partial_t u + (\mathbb{T}\Pi)^* (\mathbb{T}\Pi) u = 0$$

is such that  $\frac{d}{dt} \|u\|^2 = -2 \|(\mathbb{T}\Pi) u\|^2 \leq -2 \lambda_M \|u\|^2$

# The compact case

(H1) *Regularity & Normalization*:  $V \in W_{\text{loc}}^{2,\infty}(\mathbb{R}^d)$ ,  $\int_{\mathbb{R}^d} e^{-V} dx = 1$

(H2) *Spectral gap / Poincaré inequality*: for some  $\Lambda > 0$ ,

$\forall u \in H^1(e^{-V} dx)$  such that  $\int_{\mathbb{R}^d} u e^{-V} dx = 0$

$$\int_{\mathbb{R}^d} |u|^2 e^{-V} dx \leq \Lambda \int_{\mathbb{R}^d} |\nabla_x u|^2 e^{-V} dx$$

(H3) *Pointwise conditions*:

there exists  $c_0 > 0$ ,  $c_1 > 0$  and  $\theta \in (0, 1)$  s.t.

$$\Delta V \leq \frac{\theta}{2} |\nabla_x V(x)|^2 + c_0, \quad |\nabla_x^2 V(x)| \leq c_1 (1 + |\nabla_x V(x)|) \quad \forall x \in \mathbb{R}^d$$

(H4) *Growth condition*:  $\int_{\mathbb{R}^d} |\nabla_x V|^2 e^{-V} dx < \infty$

## Theorem (D., Mouhot, Schmeiser)

Let  $\mathsf{L}$  be either a Fokker-Planck operator or a linear relaxation operator with a local equilibrium  $F(v) = (2\pi)^{-d/2} \exp(-|v|^2/2)$ . If  $f$  solves

$$\partial_t f + v \cdot \nabla_x f - \nabla_x V \cdot \nabla_v f = \mathsf{L}f$$

then

$$\forall t \geq 0, \quad \|f(t) - F\|^2 \leq (1 + \eta) \|f_0 - F\|^2 e^{-\lambda t}$$

# Decay and convergence rates for kinetic equations

*What can we do when at least one of the coercivity conditions is missing ? microscopic coercivity (H1) or macroscopic coercivity (H2)*

In collaboration with Emeric Bouin, Stéphane Mischler, Clément Mouhot, Christian Schmeiser + Laurent Lafleche

## Some non-compact cases

- The global picture
  - ▷ by what can we replace the Poincaré inequalities ?
- Nash's inequality and a decay rate when  $V = 0$
- Very weak confinement: Caffarelli-Kohn-Nirenberg inequalities and moments
- With sub-exponential equilibria: weighted Poincaré / Hardy-Poincaré

## Some references

- 📌 *Some entries in the literature which will not be considered in this lecture*
  - ▷ *Weak Poincaré inequality:* (Röckner & Wang, 2001), (Kavian, Mischler), (Cao, PhD thesis), (Hu, Wang, 2019) + (Ben-Artzi, Einav) for recent spectral considerations
  - ▷ *Weighted Nash inequalities:* (Bakry, Bolley, Gentil, Maheux, 2012), (Wang, 2000, 2002, 2010)
  - ▷ Related topic:  
fractional diffusion (Cattiaux, Puel, Fournier, Tardif,...)
- 📌 *Our strategy: rely on the estimates of the diffusion limits*



## The global picture

Depending on the local equilibria and on the external potential (H1) and (H2) (which are Poincaré type inequalities) can be replaced by other functional inequalities:

▷ *microscopic coercivity* (H1)

$$-\langle LF, F \rangle \geq \lambda_m \|(1 - \Pi)F\|^2$$

⇒ *weak Poincaré inequalities* or  
*Hardy-Poincaré inequalities*

▷ *macroscopic coercivity* (H2)

$$\|\mathbb{T}\Pi F\|^2 \geq \lambda_M \|\Pi F\|^2$$

⇒ *Nash inequality, weighted Nash* or  
*Caffarelli-Kohn-Nirenberg inequalities*

This can be done at the level of the *diffusion equation* (homogeneous case) or at the level of the *kinetic equation* (non-homogeneous case)

# Kinetic Fokker-Planck equations

B = Bouin, L = Lafleche, M = Mouhot, MM = Mischler, Mouhot  
S = Schmeiser

Potential	$V = 0$	$V(x) = \gamma \log  x $ $\gamma < d$	$V(x) =  x ^\alpha$ $\alpha \in (0, 1)$	$V(x) =  x ^\alpha$ $\alpha \geq 1$ , or $\mathbb{T}^d$ Macro Poincaré
Micro Poincaré $F(v) = e^{-\langle v \rangle^\beta}$ , $\beta \geq 1$	BDMMS: $t^{-d/2}$ decay	BDS: $t^{-(d-\gamma)/2}$ decay	Cao: $e^{-t^b}$ , $b < 1$ , $\beta = 2$ convergence	DMS, Mischler- Mouhot $e^{-\lambda t}$ convergence
$F(v) = e^{-\langle v \rangle^\beta}$ , $\beta \in (0, 1)$	BDLS: $t^{-\zeta}$ , $\zeta =$ $\min \left\{ \frac{d}{2}, \frac{k}{\beta} \right\}$ decay			
$F(v) = \langle v \rangle^{-d-\beta}$	BDLS, fractional in progress			

Table 1:  $\partial_t f + v \cdot \nabla_x f = F \nabla_v (F^{-1} \nabla_v f)$ . Notation:  $\langle v \rangle = \sqrt{1 + |v|^2}$

## A result based on Nash's inequality

$$\partial_t f + v \cdot \nabla_x f = \mathbf{L}f, \quad (t, x, v) \in \mathbb{R}^+ \times \mathbb{R}^d \times \mathbb{R}^d$$

$$\mathbf{D}[f] = -\frac{d}{dt} \mathbf{H}[f] \geq \mathbf{a} \left( \|(1 - \Pi)f\|^2 + 2 \langle \mathbf{A}\Pi f, f \rangle \right)$$

We observe that

$$\begin{aligned} \mathbf{A}^* f &= \mathbf{T}\Pi (1 + (\mathbf{T}\Pi)^* \mathbf{T}\Pi)^{-1} f \\ &= \mathbf{T} (1 + (\mathbf{T}\Pi)^* \mathbf{T}\Pi)^{-1} \Pi f = M \mathbf{T} u_f = v M \cdot \nabla_x u_f \end{aligned}$$

if  $u_f$  is the solution in  $H^1(\mathbb{R}^d)$  of  $u_f - \Theta \Delta u_f = \rho_f$ , and

$$\|u_f(t, \cdot)\|_{L^1(dx)} = \|\rho_f(t, \cdot)\|_{L^1(dx)} = \|f_0\|_{L^1(dx dv)}$$

$$\|u_f\|_{L^2(dx)}^2 \leq \|\rho_f\|_{L^2(dx)}^2, \quad \|\nabla_x u_f\|_{L^2(dx)}^2 \leq \frac{1}{\Theta} \langle \mathbf{A}\Pi f, f \rangle$$

$$\|\rho_f\|_{L^2(dx)}^2 = \|\Pi f\|^2 \leq \|u_f\|_{L^2(dx)}^2 + 2 \langle \mathbf{A}\Pi f, f \rangle$$

*Nash's inequality*

$$\|u\|_{L^2(dx)}^2 \leq \mathfrak{C}_{\text{Nash}} \|u\|_{L^1(dx)}^{\frac{4}{d+2}} \|\nabla u\|_{L^2(dx)}^{\frac{2d}{d+2}} \quad \forall u \in L^1 \cap H^1(\mathbb{R}^d)$$

Use  $\|\Pi f\|^2 \leq \Phi^{-1}(2 \langle \text{AT}\Pi f, f \rangle)$  with  $\Phi^{-1}(y) := y + \left(\frac{y}{c}\right)^{\frac{d}{d+2}}$  to get

$$\|(1 - \Pi)f\|^2 + 2 \langle \text{AT}\Pi f, f \rangle \geq \Phi(\|f\|^2) \geq \Phi\left(\frac{2}{1+\delta} \mathsf{H}[f]\right)$$

$$\mathsf{D}[f(t, \cdot)] = -\frac{d}{dt} \mathsf{H}[f(t, \cdot)] \geq \mathfrak{a} \Phi\left(\frac{2}{1+\delta} \mathsf{H}[f(t, \cdot)]\right)$$

As  $s \rightarrow 0_+$ ,  $\Phi(s) \sim s^{1+\frac{d}{2}}$  + Grönwall:  $\mathsf{H}[f(t, \cdot)] \sim t^{-d/2}$  as  $t \rightarrow +\infty$

# Algebraic decay rates in $\mathbb{R}^d$

$V = 0$ : On the whole Euclidean space, we can define the entropy

$$H[f] := \frac{1}{2} \|f\|_{L^2(dx d\gamma)}^2 + \delta \langle Af, f \rangle_{dx d\gamma}$$

Replacing the *macroscopic coercivity* condition by *Nash's inequality*

$$\|u\|_{L^2(dx)}^2 \leq C_{\text{Nash}} \|u\|_{L^1(dx)}^{\frac{4}{d+2}} \|\nabla u\|_{L^2(dx)}^{\frac{2d}{d+2}}$$

proves that  $H[f] \leq C \left( H[f_0] + \|f_0\|_{L^1(dx dv)}^2 \right) (1+t)^{-\frac{d}{2}}$

## Theorem

There exists a constant  $C > 0$  such that, for any  $t \geq 0$

$$\|f(t, \cdot, \cdot)\|_{L^2(dx d\gamma)}^2 \leq C \left( \|f_0\|_{L^2(dx d\gamma)}^2 + \|f_0\|_{L^2(d\gamma; L^1(dx))}^2 \right) (1+t)^{-\frac{d}{2}}$$

- Factorization / enlargement of the space (Gualdani, Mischler, Mouhot) allows to consider weights with polynomial growth
- Zero moments of order larger than 1 and mode-by-mode analysis (Fourier): faster decay rates (BDMMS)

# Kinetic Fokker-Planck equation, very weak confinement

Let us consider the kinetic equation

$$\partial_t f + v \cdot \nabla_x f - \nabla_x V \cdot \nabla_v f = \mathsf{L}f$$

where  $\mathsf{L}f$  is one of the two following collision operators

(a) a Fokker-Planck operator

$$\mathsf{L}f = \nabla_v \cdot \left( F \nabla_v (F^{-1} f) \right)$$

(b) a scattering collision operator

$$\mathsf{L}f = \int_{\mathbb{R}^d} \sigma(\cdot, v') (f(v') F(\cdot) - f(\cdot) F(v')) dv'$$

$$V(x) \sim \gamma \log |x|, \quad \gamma \in (0, d)$$

Potential	$V = 0$	$V(x) = \gamma \log  x $ $\gamma < d$	$V(x) =  x ^\alpha$ $\alpha \in (0, 1)$	$V(x) =  x ^\alpha$ $\alpha \geq 1$ , or $\mathbb{T}^d$ Macro Poincaré
Micro Poincaré $F(v) = e^{-\langle v \rangle^\beta}$ , $\beta \geq 1$	BDMMS: $t^{-d/2}$ decay	BDS: $t^{-(d-\gamma)/2}$ decay	Cao: $e^{-t^b}$ , $b < 1$ , $\beta = 2$ convergence	DMS, Mischler- Mouhot $e^{-\lambda t}$ convergence
$F(v) = e^{-\langle v \rangle^\beta}$ , $\beta \in (0, 1)$	BDLS: $t^{-\zeta}$ , $\zeta =$ $\min \left\{ \frac{d}{2}, \frac{k}{\beta} \right\}$ decay			
$F(v) = \langle v \rangle^{-d-\beta}$	BDLS, fractional in progress			

Table 2:  $\partial_t f + v \cdot \nabla_x f = F \nabla_v (F^{-1} \nabla_v f)$ . Notation:  $\langle v \rangle = \sqrt{1 + |v|^2}$

# Decay rates

$$\forall (x, v) \in \mathbb{R}^d \times \mathbb{R}^d, \quad \mathcal{F}(x, v) = M(v) e^{-V(x)}, \quad M(v) = (2\pi)^{-\frac{d}{2}} e^{-\frac{1}{2}|v|^2}$$

$$\text{(H1)} \quad 1 \leq \sigma(v, v') \leq \bar{\sigma}, \quad \forall v, v' \in \mathbb{R}^d, \quad \text{for some } \bar{\sigma} \geq 1$$

$$\text{(H2)} \quad \int_{\mathbb{R}^d} (\sigma(v, v') - \sigma(v', v)) M(v') dv' = 0 \quad \forall v \in \mathbb{R}^d$$

+ *Caffarelli-Kohn-Nirenberg inequalities*

## Theorem

Let  $d \geq 1$ ,  $V = V_2$  with  $\gamma \in [0, d)$ ,  $k > \max\{2, \gamma/2\}$  and  $f_0 \in L^2(\mathcal{M}^{-1} dx dv)$  such that

$$\iint_{\mathbb{R}^d \times \mathbb{R}^d} \langle x \rangle^k f_0 dx dv + \iint_{\mathbb{R}^d \times \mathbb{R}^d} |v|^k f_0 dx dv < +\infty$$

If (H1)–(H2) hold, then there exists  $C > 0$  such that

$$\forall t \geq 0, \quad \|f(t, \cdot, \cdot)\|_{L^2(\mathcal{M}^{-1} dx dv)}^2 \leq C (1+t)^{-\frac{d-\gamma}{2}}$$



## • Kinetic Fokker-Planck, no confinement and sub-exponential local equilibria

- the *Fokker-Planck* operator

$$\mathcal{L}_1 f = \nabla_v \cdot \left( F \nabla_v (F^{-1} f) \right)$$

- the *scattering* collision operator

$$\mathcal{L}_2 f = \int_{\mathbb{R}^d} \sigma(\cdot, v') \left( f(v') F(\cdot) - f(\cdot) F(v') \right) dv'$$

under assumptions (H1)–(H2)

$$V = 0 \quad \boxed{F(v) = e^{-\langle v \rangle^\beta} \quad \beta \in (0, 1)}$$

Potential	$V = 0$	$V(x) = \gamma \log  x $ $\gamma < d$	$V(x) =  x ^\alpha$ $\alpha \in (0, 1)$	$V(x) =  x ^\alpha$ $\alpha \geq 1$ , or $\mathbb{T}^d$ Macro Poincaré
Micro Poincaré $F(v) = e^{-\langle v \rangle^\beta}$ , $\beta \geq 1$	BDMMS: $t^{-d/2}$ decay	BDS: $t^{-(d-\gamma)/2}$ decay	Cao: $e^{-t^b}$ , $b < 1$ , $\beta = 2$ convergence	DMS, Mischler- Mouhot $e^{-\lambda t}$ convergence
$F(v) = e^{-\langle v \rangle^\beta}$ , $\beta \in (0, 1)$	BDLS: $t^{-\zeta}$ , $\zeta =$ $\min \{ \frac{d}{2}, \frac{k}{\beta} \}$ decay			
$F(v) = \langle v \rangle^{-d-\beta}$	BDLS, fractional in progress			

Table 3:  $\partial_t f + v \cdot \nabla_x f = F \nabla_v (F^{-1} \nabla_v f)$ . Notation:  $\langle v \rangle = \sqrt{1 + |v|^2}$

# The decay rate with sub-exponential local equilibria

## Theorem

Let  $\alpha \in (0, 1)$ ,  $\beta > 0$ ,  $k > 0$  and let  $F(v) = C_\alpha e^{-\langle v \rangle^\alpha}$ . Assume that either  $L = L_1$  and  $\beta = 2(1 - \alpha)$ , or  $L = L_2 + \text{Assumptions}$ . There exists a numerical constant  $\mathcal{C} > 0$  such that any solution  $f$  of

$$\partial_t f + v \cdot \nabla_x f = Lf, \quad f(0, \cdot, \cdot) = f^{\text{in}} \in L^2(\langle v \rangle^k dx d\mu) \cap L^1_+(dx dv)$$

satisfies

$$\forall t \geq 0, \quad \|f(t, \cdot, \cdot)\|^2 = \iint_{\mathbb{R}^d \times \mathbb{R}^d} |f(t, x, v)|^2 dx d\mu \leq \mathcal{C} \frac{\|f^{\text{in}}\|^2}{(1 + \kappa t) \zeta}$$

with rate  $\zeta = \min\{d/2, k/\beta\}$ , for some positive  $\kappa$  which is an explicit function of the two quotients,  $\|f^{\text{in}}\| / \|f^{\text{in}}\|_k$  and  $\|f^{\text{in}}\|_{L^1(dx dv)} / \|f^{\text{in}}\|$

## Proof (1/2)

$$\begin{aligned}
 D[f] &:= - \langle Lf, f \rangle + \delta \langle A \Pi f, \Pi f \rangle \\
 &\quad + \delta \langle A T (\text{Id} - \Pi) f, \Pi f \rangle - \delta \langle T A (\text{Id} - \Pi) f, (\text{Id} - \Pi) f \rangle \\
 &\quad - \delta \langle A L (\text{Id} - \Pi) f, \Pi f \rangle
 \end{aligned}$$

• *microscopic coercivity.* If  $L = L_1$ , we rely on the *weighted Poincaré inequality*

$$\langle Lf, f \rangle \leq -\mathcal{C} \|(\text{Id} - \Pi)f\|_{-\beta}^2$$

If  $L = L_2$ , we assume that there exists a constant  $\mathcal{C} > 0$  such that

$$\int_{\mathbb{R}^d} |h - \tilde{h}|^2 \langle v \rangle^{-\beta} F \, dv \leq \mathcal{C} \iint_{\mathbb{R}^d \times \mathbb{R}^d} \sigma(v, v') |h' - h|^2 F F' \, dv \, dv'$$

• *Weighted L<sup>2</sup> norms* Let  $k > 0$ ,  $f^{\text{in}} \in L^2(\langle v \rangle^k \, dx \, d\mu)$  a solution.  
 $\exists \mathcal{K}_k > 1$  such that

$$\forall t \geq 0, \quad \|f(t, \cdot, \cdot)\|_{L^2(\langle v \rangle^k \, dx \, d\mu)} \leq \mathcal{K}_k \|f^{\text{in}}\|_{L^2(\langle v \rangle^k \, dx \, d\mu)}$$

## Proof (2/2)

$$\mathbf{H}_\delta[f] := \frac{1}{2} \|f\|^2 + \delta \langle \mathbf{A}f, f \rangle, \quad \frac{d}{dt} \mathbf{H}_\delta[f] = -\mathbf{D}[f]$$

- There exists  $\kappa > 0$  such that  $\forall f \in L^2(\langle v \rangle^{-\beta} dx d\mu) \cap L^1(dx dv)$ ,

$$\mathbf{D}[f] \geq \kappa \left( \|(\text{Id} - \Pi)f\|_{-\beta}^2 + \langle \mathbf{A}\Pi f, \Pi f \rangle \right)$$

- For any  $f \in L^1(dx d\mu) \cap L^2(dx dv)$ ,

$$\langle \mathbf{A}\Pi f, \Pi f \rangle \geq \Phi(\|\Pi f\|^2)$$

$$\Phi^{-1}(y) := 2y + \left(\frac{y}{c}\right)^{\frac{d}{d+2}}, \quad c = \Theta \mathcal{C}_{\text{Nash}}^{-\frac{d+2}{d}} \|f\|_{L^1(dx dv)}^{-\frac{4}{d}}$$

- For any  $f \in L^2(\langle v \rangle^k dx d\mu) \cap L^1(dx dv)$ ,

$$\|(\text{Id} - \Pi)f\|_{-\beta}^2 \geq \Psi\left(\|(\text{Id} - \Pi)f\|^2\right)$$

$$\Psi(y) := C_0 y^{1+\beta/k}, \quad C_0 := \left(\mathcal{K}_k (1 + \Theta_k) \|f^{\text{in}}\|_k\right)^{-\frac{2\beta}{k}}$$

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