Theta correspondence and special unipotent representations $\!\!\!\!^*$

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1 Dual pairs and theta lifting

Basics of Howe's theory

- W: a finite-dimensional real symplectic vector space.
- σ : the anti-involution of $\operatorname{End}_{\mathbb{R}}(W)$ determined by \langle , \rangle_W .
- (A, A'): a pair of σ -stable semisimple \mathbb{R} -subalgebras of $\operatorname{End}_{\mathbb{R}}(W)$ that are mutual centralizers of each other.
- $G := A \cap \operatorname{Sp}(W)$ and $G' := A' \cap \operatorname{Sp}(W)$.
- (G, G'): a reductive dual pair in Sp(W).
 - irreducible if the algebra A (or A') is either simple or the product of two simple algebras that are exchanged by σ .

Construction of irreducible dual pairs:

• (D, σ_0): an \mathbb{R} -algebra with an anti-involution

 $(\mathbb{R}, \mathrm{id}), \quad (\mathbb{C}, \mathrm{id}), \quad (\mathbb{C}, \overline{}), \quad (\mathbb{H}, \overline{}),$

 $(\mathbb{R}\times\mathbb{R},\leftrightarrow),\quad (\mathbb{C}\times\mathbb{C},\leftrightarrow),\quad (\mathbb{H}\times\mathbb{H},(x,y)\mapsto(\bar{y},\bar{x})).$

- V: an ϵ -Hermitian right D-module, where $\epsilon = \pm 1$.
- G(V): the isometry group of V, is a <u>classical Lie group</u>:
 - a real orthogonal/symplectic group;
 - a complex orthogonal/symplectic group;
 - a unitary group;
 - a quaternionic symplectic/orthogonal group;
 - a real/complex/quaternionic general linear group.

- V': an ϵ' -Hermitian right D-module, where $\epsilon\epsilon' = -1$.
- $W := \operatorname{Hom}_{\mathcal{D}}(V, V')$, with the symplectic form

$$\langle T, S \rangle_W := \operatorname{Tr}_{\mathbb{R}}(T^*S), \qquad T, S \in \operatorname{Hom}_{\mathcal{D}}(V, V').$$

• Identify G(V) and G(V') with subgroups of Sp(W) via the natural homomorphism: $G(V) \times G(V') \longrightarrow Sp(W)$:

$$(g,g') \cdot T = g'Tg^{-1}, \qquad g \in G, \ g' \in G', \ T \in W.$$

- If both V and V' are nonzero, then (G(V), G(V')) is an irreducible reductive dual pair in Sp(W).
- All irreducible reductive dual pairs arise in this way.

(G, G'): a reductive dual pair in Sp(W).

• $H(W) := W \times \mathbb{R}$, the Heisenberg group with group multiplication

 $(u,t)\cdot(u',t')=(u+u',t+t'+\langle u,u'\rangle_W), \qquad u,u'\in W, \ t,t'\in\mathbb{R}.$

- Fix a nontrivial unitary character $\psi : \mathbb{R} \to \mathbb{C}^{\times}$.
- Stone-von Neumann Theorem: there exists a <u>unique</u> irreducible unitary representation of H(W) with central character ψ .

• Define the Jacobi group

$$J := (\widetilde{G} \times \widetilde{G}') \ltimes \mathrm{H}(W),$$

where \widetilde{G} and \widetilde{G}' are finite fold coverings of G and G'.

- e.g. take the inverse image of (G, G') in Sp(W) (the real metaplectic group).
- Assume that J has a unitary representation $\widehat{\omega}$ such that $\widehat{\omega}|_{\mathcal{H}(W)}$ is irreducible with central character ψ .
 - All such representations, if they exist, are isomorphic to each other up to twisting by unitary characters. Fix one $\hat{\omega}$.
 - ω : the space of smooth vectors of $\widehat{\omega}|_{\mathcal{H}(W)}$.
 - * called a smooth oscillator representation of J.

- π : a Casselman-Wallach representation of G.
 - The <u>full theta lift</u> of π :

 $\Theta_{\widetilde{G}}^{\widetilde{G}'}(\pi) := (\omega \widehat{\otimes} \pi^{\vee})_{\widetilde{G}}, \qquad \text{(the Hausdorff coinvariant space)}.$

• The theta lift $\theta_{\widetilde{G}}^{\widetilde{G}'}(\pi)$ of π :

the largest semisimple quotient of $\Theta_{\widetilde{G}}^{\widetilde{G}'}(\pi)$.

• Howe duality theorem: if π is irreducible, then $\theta_{\tilde{G}}^{\tilde{G}'}(\pi)$ is irreducible or zero. Consequently,

- theta lifting is injective: for any irreducible π_1 and π_2 of \tilde{G} , if $\theta_{\tilde{G}}^{\tilde{G}'}(\pi_1) \cong \theta_{\tilde{G}}^{\tilde{G}'}(\pi_2) \neq \{0\}$, then $\pi_1 \cong \pi_2$.

2 Theta lifting via matrix coefficient integrals

V: an ϵ -Hermitian right D-module. Fix a maximal compact subgroup K_V of G(V).

• Ψ_V : the function of G(V) such that

- it is bi- K_V -invariant; and for all hyperbolic elements $g \in G(V)$,

$$\Psi_V(g) = \prod_a \left(\frac{1+a}{2}\right)^{-\frac{1}{2}}.$$

where a runs over all eigenvalues of $g \otimes 1 : V \otimes_{\mathbb{R}} \mathbb{C} \to V \otimes_{\mathbb{R}} \mathbb{C}$, counted with multiplicities.

• Ξ_V : the bi- K_V -invariant Harish-Chandra's Ξ function on G(V).

$$\nu_V := \operatorname{rank}_{\mathcal{D}}(V) - \frac{2 \dim_{\mathbb{R}} \{ t \in \mathcal{D} \mid t^{\sigma_0} = \epsilon t \}}{\dim_{\mathbb{R}}(\mathcal{D})}.$$

• If G(V) is noncompact, then ν_V is the smallest real number such that

 $\Psi_V^{\nu_V} \cdot \Xi_V^{-1}$ is bounded.

• Given $\nu \in \mathbb{R}$, a positive function Ψ on G(V) is said to be <u> ν -bounded</u> if there is a real number r > 0 such that

 $\Psi(kak') \le (\log(3 + \operatorname{Tr}_{\mathbb{R}}(a)))^r \cdot \Psi_V^{\nu}(a) \cdot \Xi_V(a)$

for all $k, k' \in K_V$ and all hyperbolic elements $a \in G(V)$.

• A Casselman-Wallach representation π of \widetilde{G} is said to be $\underline{\nu}$ -bounded if there exist a ν -bounded positive function Ψ on G(V), and continuous seminorms $|\cdot|_{\pi}$ and $|\cdot|_{\pi^{\vee}}$ on π and π^{\vee} (respectively) such that

 $|\langle \tilde{g} \cdot u, v \rangle| \leq \Psi(g) \cdot |u|_{\pi} \cdot |v|_{\pi^{\vee}}$

for all $u \in \pi$, $v \in \pi^{\vee}$, and $\tilde{g} \in \tilde{G}$.

Let π be a Casselman-Wallach representation of \widetilde{G} . Assume that π is genuine, namely the kernel of $\widetilde{G} \to G$ acts on π and ω by the same character.

- π is said to be <u>convergent</u> for $\Theta_{\widetilde{G}}^{\widetilde{G}'}$ if it is ν -bounded for some $\nu > \nu_V \operatorname{rank}_{D}(V')$.
- Then the integral

 $\begin{array}{rcl} \omega \times \pi^{\vee} \times \bar{\omega} \times \pi & \to & \mathbb{C}, \\ (\phi, v', \phi', v) & \mapsto & \int_{G} \langle \tilde{g} \cdot \phi, \phi' \rangle \cdot \langle \tilde{g} \cdot v', v \rangle \, dg, \end{array}$

is <u>absolutely convergent</u> and it yields a continuous bilinear map

 $(\omega\widehat{\otimes}\pi^{\vee})\times(\bar{\omega}\widehat{\otimes}\pi)\to\mathbb{C}.$

• Define

$$\bar{\theta}_{\tilde{G}}^{\tilde{G}'}(\pi) := \frac{\omega \widehat{\otimes} \pi^{\vee}}{\text{the left kernel of the bilinear map}}$$

This is a quotient of $\Theta_{\widetilde{G}}^{\widetilde{G}'}(\pi)$, and hence a Casselman-Wallach representation of \widetilde{G}' .

3 Preservation of unitarity

• π is said to be <u>overconvergent</u> for $\Theta_{\widetilde{G}}^{\widetilde{G}'}$ if it is ν -bounded for some $\nu > \nu_V^{\circ} - \operatorname{rank}_D(V')$, where

 $\nu_{V}^{\circ} := \begin{cases} \nu_{V} + 1, & \text{if } G \text{ is a real/complex odd orthogonal group;} \\ \nu_{V} + \frac{1}{2}, & \text{if } G \text{ is a quaternionic symp./orth. group;} \\ \nu_{V}, & \text{otherwise.} \end{cases}$

• **Theorem:** Assume that $\operatorname{rank}_{D}(V') \geq \nu_{V}^{\circ}$, and π is overconvergent for $\Theta_{\widetilde{G}}^{\widetilde{G}'}$. If π is unitarizable, so is $\bar{\theta}_{\widetilde{G}}^{\widetilde{G}'}(\pi)$.

Remarks:

- Given that $\bar{\theta}_{\tilde{G}}^{\tilde{G}'}(\pi)$ is unitarizable, it is a semisimple quotient of $\Theta_{\tilde{G}}^{\tilde{G}'}(\pi)$. Thus if π is irreducible and $\bar{\theta}_{\tilde{G}}^{\tilde{G}'}(\pi) \neq \{0\}$, then Howe Duality Theorem implies that $\theta_{\tilde{G}}^{\tilde{G}'}(\pi) = \bar{\theta}_{\tilde{G}}^{\tilde{G}'}(\pi)$ and is irreducible.
- Important earlier work in the same direction were due to Li and He.

4 Combinatorial parameters for special unipotent representations

- We illustrate using the examples of real even orthogonal groups and real symplectic groups, and
- construct a <u>parameter set</u> which underlies the special unipotent representations of both groups.

Notation: For a Young diagram i, write $\mathbf{R}_i(i)$ and $\mathbf{C}_i(i)$ $(i \in \mathbb{N}^+)$ respectively for its *i*-th row length and *i*-th column length.

• Let $\check{\mathcal{O}}$ be a nonempty Young diagram which satisfies the following good parity condition (for type D and C):

All nonzero row lengths of $\check{\mathcal{O}}$ are <u>odd</u>.

$$m := |\check{\mathcal{O}}| := \sum_{i=1}^{\infty} \mathbf{R}_i(\check{\mathcal{O}})$$
 and $l := \mathbf{C}_1(\check{\mathcal{O}}).$

• Define a pair $(i_{\check{\mathcal{O}}}, j_{\check{\mathcal{O}}})$ of Young diagrams such that the nonzero column lengths are given by

$$\mathbf{C}_{i}(\imath_{\check{\mathcal{O}}}) = \frac{\mathbf{R}_{2i}(\check{\mathcal{O}})+1}{2}, \quad 1 \le i \le \frac{l-1}{2};$$
$$\mathbf{C}_{i}(\jmath_{\check{\mathcal{O}}}) = \frac{\mathbf{R}_{2i-1}(\check{\mathcal{O}})-1}{2}, \quad 1 \le i \le \frac{l+1}{2},$$

if l is odd, and

$$\mathbf{C}_{i}(i_{\check{\mathcal{O}}}) = \frac{\mathbf{R}_{2i-1}(\check{\mathcal{O}})+1}{2}, \quad 1 \le i \le \frac{l}{2};$$
$$\mathbf{C}_{i}(j_{\check{\mathcal{O}}}) = \frac{\mathbf{R}_{2i}(\check{\mathcal{O}})-1}{2}, \quad 1 \le i \le \frac{l}{2}.$$

if l is even.

We introduce the set BOX(i) of boxes of a Young diagram *i*: $BOX(i) := \{(i, j) \in \mathbb{N}^+ \times \mathbb{N}^+ \mid j \leq \mathbf{R}_i(i)\},\$

and introduce five symbols \bullet , s, r, c and d to fill the boxes.

• A painting on a Young diagram i is a map

 $\mathcal{P}: \operatorname{Box}(i) \to \{\bullet, s, r, c, d\}$

with the following properties:

- $\mathcal{P}^{-1}(S)$ is the set of boxes of a Young diagram when $S = \{\bullet\}, \{\bullet, s\}, \{\bullet, s, r\}$ or $\{\bullet, s, r, c\};$
- when $S = \{s\}$ or $\{r\}$, every row of i has at most one box in $\mathcal{P}^{-1}(S)$;
- when $S = \{c\}$ or $\{d\}$, every column of i has at most one box in $\mathcal{P}^{-1}(S)$.

• Define $PBP(\check{O})$ to be the set of all pairs $(\mathcal{P}, \mathcal{Q})$, where \mathcal{P} and \mathcal{Q} are paintings on $\imath_{\check{O}}$ and $\jmath_{\check{O}}$ respectively, such that

$$- \mathcal{P}^{-1}(\bullet) = \mathcal{Q}^{-1}(\bullet);$$

– the image of ${\mathcal P}$ is contained in

$$\begin{cases} \{\bullet, r, c, d\}, & \text{if } l \text{ is odd}; \\ \{\bullet, s, r, c, d\}, & \text{if } l \text{ is even.} \end{cases}$$

– the image of \mathcal{Q} is contained in

$$\{\bullet, s\},$$
 if l is odd;
 $\{\bullet\},$ if l is even.

• We call $(\mathcal{P}, \mathcal{Q})$ a painted bipartition attached to $\check{\mathcal{O}}$.

For $\tau = (\mathcal{P}, \mathcal{Q}) \in \text{PBP}(\check{\mathcal{O}})$, we associate a <u>classical group</u> G_{τ} as follows.

- If l is odd, define $G_{\tau} := \operatorname{Sp}_{m-1}(\mathbb{R})$.
- If l is even, define the signature (p_{τ}, q_{τ}) by counting the various symbols appearing in $(i_{\check{\mathcal{O}}}, \mathcal{P}), (j_{\check{\mathcal{O}}}, \mathcal{Q})$:

$$p_{\tau} := (\#\bullet) + 2(\#r) + (\#c) + (\#d);$$
$$q_{\tau} := (\#\bullet) + 2(\#s) + (\#c) + (\#d).$$

Define $G_{\tau} := \mathcal{O}(p_{\tau}, q_{\tau})$. Also define $\varepsilon_{\tau} \in \mathbb{Z}/2\mathbb{Z}$ such that $\varepsilon_{\tau} = 0$ if and only if the symbol d occurs in the first column of \mathcal{P} .

- If l > 1, we define Õ' to be the Young diagram obtained from
 Õ by removing the first row.
- There is a (combinatorially defined) descent map

 $\nabla: \operatorname{PBP}(\check{\mathcal{O}}) \to \operatorname{PBP}(\check{\mathcal{O}}').$

- Define $PP(\check{\mathcal{O}})$ to be the set of all $i \in \mathbb{N}^+$ such that $\mathbf{R}_i(\check{\mathcal{O}}) > \mathbf{R}_{i+1}(\check{\mathcal{O}}) > 0$ and $i \equiv l \pmod{2}$.
- Define the (extended) parameter set

 $\mathrm{PBP}^{\mathrm{ext}}(\check{\mathcal{O}}) := \mathrm{PBP}(\check{\mathcal{O}}) \times \{\wp \subset \mathrm{PP}(\check{\mathcal{O}})\}.$

For each $(\tau, \wp) \in \text{PBP}^{\text{ext}}(\check{\mathcal{O}})$, we will construct a representation $\pi_{\tau,\wp}$ of G_{τ} .

5 Construction and classification

 $\check{\mathcal{O}}$: a nonempty Young diagram satisfying the good parity condition, and $(\tau, \wp) \in \text{PBP}^{\text{ext}}(\check{\mathcal{O}})$.

- Let $G := G_{\tau}$, whose complexification $G_{\mathbb{C}}$ equals $\operatorname{Sp}_{m-1}(\mathbb{C})$ or $O_m(\mathbb{C})$ respectively when l is odd or even.
- The Langlands dual of $G_{\mathbb{C}}$ is defined to be $\mathcal{O}_m(\mathbb{C})$.
- View $\check{\mathcal{O}}$ as a nilpotent $\mathcal{O}_m(\mathbb{C})$ -orbit in $\mathfrak{o}_m(\mathbb{C})$.

- Take an \mathfrak{sl}_2 -triple $(\check{e},\check{h},\check{f})$ in $\mathfrak{o}_m(\mathbb{C})$ such that $\check{e}\in\check{\mathcal{O}}$. Then $\frac{1}{2}\check{h}$ is a semisimple element of $\mathfrak{o}_m(\mathbb{C})$, which determines a character $\chi(\check{\mathcal{O}}):\mathcal{U}(\mathfrak{g})^{G_{\mathbb{C}}}\to\mathbb{C}$ in the usual way.
- By a theorem of Dixmier, there exists a unique maximal G-stable ideal of U(g) that contains the kernel of χ(Ŏ). Write I_Ŏ for this ideal.
- The associated variety of $I_{\check{\mathcal{O}}}$ is the closure of a nilpotent orbit $\mathcal{O} \in \operatorname{Nil}_{G_{\mathbb{C}}}(\mathfrak{g})$, called the Barbasch-Vogan dual of $\check{\mathcal{O}}$.

Definition: (Barbasch and Vogan) an irreducible Casselman-Wallach representation π of G is said to be <u>special</u> unipotent attached to $\check{\mathcal{O}}$ if $I_{\check{\mathcal{O}}}$ annihilates π .

Notation: Unip_{\mathcal{O}}(G), the set of equivalent classes of irreducible Casselman-Wallach representations of G that are special unipotent attached to \mathcal{O} .

Put

$$\operatorname{Unip}(\check{\mathcal{O}}) := \begin{cases} \operatorname{Unip}_{\check{\mathcal{O}}}(\operatorname{Sp}_{m-1}(\mathbb{R})), & \text{if } l \text{ is odd}; \\ \\ & \bigsqcup_{p,q \in \mathbb{N}, p+q=m} \operatorname{Unip}_{\check{\mathcal{O}}}(\operatorname{O}(p,q)), & \text{if } l \text{ is even.} \end{cases}$$

Theorem: Let $\check{\mathcal{O}}$ be a nonempty Young diagram which satisfies the good parity condition. Then

$$#(\text{Unip}(\check{\mathcal{O}})) = \begin{cases} #(\text{PBP}^{\text{ext}}(\check{\mathcal{O}})), & \text{if } l \text{ is odd}; \\ 2#(\text{PBP}^{\text{ext}}(\check{\mathcal{O}})), & \text{if } l \text{ is even}. \end{cases}$$

For each $(\tau, \wp) \in \text{PBP}^{\text{ext}}(\check{\mathcal{O}})$, we shall construct an irreducible Casselman-Wallach representation $\pi_{\tau,\wp}$ of G by <u>induction</u> on l.

- l = 1: the Young diagram $\check{\mathcal{O}}$ has only one row. Then $G = \operatorname{Sp}_{m-1}(\mathbb{R})$, and the set $\operatorname{PBP}^{\operatorname{ext}}(\check{\mathcal{O}})$ has a unique element. We define $\pi_{\tau,\wp}$ to be the trivial representation of G.
- $l \geq 2$: write $\tau' := \nabla(\tau) \in \text{PBP}(\check{\mathcal{O}}')$, and define

 $\wp' := \{ i \in \mathbb{N}^+ \mid i+1 \in \wp \} \subset \operatorname{PP}(\check{\mathcal{O}}').$

Write $m' := |\check{\mathcal{O}}'|$ and $G' := G_{\tau'}$.

• G and G' form a reductive dual pair in Sp(W), where W is a real symplectic space of dimension (m-1)m' or m(m'-1), respectively when l is odd or even.

- Let $J = (G \times G') \ltimes H(W)$ and ω be a smooth oscillator representation (in which the orthogonal group acts via the natural linear action in a Schrodinger model).
- By induction hypothesis, we have an irreducible Casselman-Wallach representation $\pi_{\tau',\wp'}$ of G'. Define

$$\pi_{\tau,\wp} := \begin{cases} \Theta_{G'}^G(\pi_{\tau',\wp'}^{\vee} \otimes \det^{\varepsilon_{\wp}}), & \text{if } l \text{ is odd}; \\ \\ \Theta_{G'}^G(\pi_{\tau',\wp'}^{\vee}) \otimes (1_{p_{\tau},q_{\tau}}^{+,-})^{\varepsilon_{\tau}}, & \text{if } l \text{ is even}. \end{cases}$$

Here ε_{\wp} denote the element in $\mathbb{Z}/2\mathbb{Z}$ such that

$$\varepsilon_{\wp} = 1 \Leftrightarrow 1 \in \wp.$$

Theorem:

- (a) For every $(\tau, \wp) \in \text{PBP}^{\text{ext}}(\check{\mathcal{O}})$, the representation $\pi_{\tau,\wp}$ of G_{τ} is irreducible, unitarizable, and special unipotent attached to $\check{\mathcal{O}}$.
- (b) Suppose that l is odd so that $G = \text{Sp}_{m-1}(\mathbb{R})$. Then the following map is <u>bijective</u>:

$$PBP^{\text{ext}}(\check{\mathcal{O}}) \to \text{Unip}_{\check{\mathcal{O}}}(G),$$
$$(\tau, \wp) \mapsto \pi_{\tau, \wp}.$$

(c) Suppose that l is even, and p, q are non-negative integers with p + q = m. Then the following map is bijective:

$$\left\{ \begin{array}{ll} (\tau, \wp) \in \mathrm{PBP}^{\mathrm{ext}}(\check{\mathcal{O}}) \mid \\ (p_{\tau}, q_{\tau}) = (p, q) \end{array} \right\} \times \mathbb{Z}/2\mathbb{Z} \quad \rightarrow \quad \mathrm{Unip}_{\check{\mathcal{O}}}(\mathrm{O}(p, q)), \\ ((\tau, \wp), \epsilon) \quad \mapsto \quad \pi_{\tau, \wp} \otimes \mathrm{det}^{\epsilon} \,. \end{array}$$

- We have thus explicitly constructed all special unipotent representations in $\operatorname{Unip}_{\check{\mathcal{O}}}(G)$, when all row lengths of $\check{\mathcal{O}}$ are odd.
- If some row lengths of $\check{\mathcal{O}}$ are even, then they must come in pairs. Via irreducible unitary parabolic inductions, the construction of representations in $\mathrm{Unip}_{\check{\mathcal{O}}}(G)$ is reduced to the case when all row lengths of $\check{\mathcal{O}}$ are odd.
- In the same approach, we may parameterize and construct all special unipotent representations of the real classical groups GL_n(R), GL_n(C), GL_n(H), U(p,q), O(p,q), Sp_{2n}(R), O^{*}(2n), Sp(p,q), O_n(C), Sp_{2n}(C), as well as all metaplectic special unipotent representations of Sp_{2n}(R) and Sp_{2n}(C).

Theorem: (confirming the Arthur-Barbasch-Vogan conjecture for real classical groups)

- All special unipotent representations of the real classical groups are unitarizable;
- all metaplectic special unipotent representations of $\operatorname{Sp}_{2n}(\mathbb{R})$ and $\operatorname{Sp}_{2n}(\mathbb{C})$ are also unitarizable.

Remark: The unitarizability of special unipotent representations for quasisplit classical groups is independently due to Adams, Arancibia Robert and Mezo, as a consequence of their result

Arthur packet = ABV packet.

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