Lectures in Noncommutative Geometry Seminar 2005 TRACE FUNCTIONALS AND TRACE DEFECT FORMULAS ...

I. Traces on classical ψ do's.

We consider:

X — compact boundaryless *n*-dimensional manifold (closed).

E — hermitian vector bundle over X.

 \mathcal{A} — the 'algebra' of classical ψ do's A acting in E.

On pseudodifferential operators:

Recall that a differential operator of order $m \ge 0$ on \mathbb{R}^n can be written:

$$Au = \sum_{|\alpha| \le m} a_{\alpha}(x) D^{\alpha} u = \mathcal{F}_{\xi \to x}^{-1} \left(\sum_{\alpha} a_{\alpha}(x) \xi^{\alpha} \hat{u}(\xi) \right)$$
$$= OP(a(x,\xi))u, \text{ with } a(x,\xi) = \sum_{\alpha} a_{\alpha}(x) \xi^{\alpha}.$$

A classical pseudodifferential symbol of order $\nu \in \mathbb{R}$:

$$a(x,\xi) \sim a_{\nu}(x,\xi) + a_{\nu-1}(x,\xi) + \dots + a_{\nu-j}(x,\xi) + \dots$$

$$a_{\nu-j}(x,t\xi) = t^{\nu-j}a(x,\xi)$$
 for $|\xi| \ge 1, t \ge 1$.

Elliptic, when the principal symbol $a_{\nu}(x,\xi) \neq 0$ for $|\xi| \geq 1$. Defines a pseudodifferential operator (ψ do):

$$Au = \operatorname{Op}(a)u = \mathcal{F}_{\xi \to x}^{-1}(a(x,\xi)\hat{u}(\xi))$$

Continuous from $H^{s}(\mathbb{R}^{n})$ to $H^{s-\nu}(\mathbb{R}^{n})$. Composition:

$$Op(a(x,\xi)) Op(b(x,\xi)) = Op(a\#b), \text{ where}$$
$$a\#b \sim a \cdot b + \sum_{\alpha \neq 0} \frac{(-i)^{|\alpha|}}{\alpha!} \partial_{\xi}^{\alpha} a \, \partial_{x}^{\alpha} b.$$

Elliptic operators have (approximate) inverses.

 Ψ do's are defined on manifolds by use of local coordinates.

Consider A on a closed manifold X. For $\nu < -n$, A is traceclass, $\operatorname{Tr} A = \int_X \operatorname{tr} K_A(x, x) dx$. Here $\operatorname{Tr}([A, A']) = 0$, where [A, A'] = AA' - A'A.

A trace functional $\ell(A)$ is a linear functional that vanishes on commutators: $\ell([A, A']) = 0$. Search for nontrivial trace functionals on higher-order ψ do's! (I) Wodzicki, Guillemin ca. '84: The noncommutative residue

$$\operatorname{res}(A) = \int_X \int_{|\xi|=1} \operatorname{tr} a_{-n}(x,\xi) \, \mathscr{A}S(\xi) dx;$$

it has a coordinate invariant meaning. $(\not d = (2\pi)^{-n} d.)$

- Local (depends only on certain homogeneous terms in a).
- Defined for all $A \in \mathcal{A}$, unique up to a factor.
- Vanishes for $\nu \notin \mathbb{Z}$.
- Vanishes for $\nu < -n$; does **not** extend Tr A!

(II) Kontsevich and Vishik ca. '94: The canonical trace TR(A)

- Global (depends on the full structure).
- Defined only for some A, namely in the cases:
 - (1) $\nu < -n$, then TR A = Tr A;
 - (2) $\nu \notin \mathbb{Z};$
 - (3) $\nu \in \mathbb{Z}$, *n* odd, *A* has even-even parity;

(4) $\nu \in \mathbb{Z}$, *n* even, *A* has even-odd parity. (Added by GG.) (Will give formula later.) Parity properties:

even-even alternating parity: Even order terms are even in ξ ,

$$a_{\nu-j}(x,-\xi) = (-1)^{\nu-j} a_{\nu-j}(x,\xi)$$
 for $|\xi| \ge 1$.

Example: Differential operators and their parametrices.

even-odd alternating parity: Even order terms are odd in ξ ,

$$a_{\nu-j}(x,-\xi) = (-1)^{\nu-j-1}a_{\nu-j}(x,\xi)$$
 for $|\xi| \ge 1$.

Example: $D|D|^{-1}$, D a selfadj. first-order elliptic diff. op.

The trace property holds in the following sense:

$$\operatorname{TR}([A, A']) = 0$$
 in the cases

(1') $\nu + \nu' < -n,$

(2') $\nu + \nu' \in \mathbb{R} \setminus \mathbb{Z}.$

(3') ν and $\nu' \in \mathbb{Z}$, *n* is odd, *A* and *A'* are both even-even or both even-odd.

(4') ν and $\nu' \in \mathbb{Z}$, *n* is even, *A* is even-odd and *A'* is eveneven. Both res A and TR A were originally defined by use of

complex powers:

Let P be elliptic of even order m > 0, say P > 0.

Define $\zeta(A, P, s) = \text{Tr}(AP^{-s})$, the generalized zeta function, holomorphic for $\text{Re} s > (n + \nu)/m$, extends meromorphically to \mathbb{C} with simple poles in

$$\{(n+\nu-j)/m \mid j \in \mathbb{N}\} \cup \{-k \mid k \in \mathbb{N}\};\$$

here $\mathbb{N} = \{0, 1, 2, ... \}.$

In particular, ζ has a Laurent expansion at s = 0:

$$\zeta(A, P, s) \sim \frac{1}{s} C_{-1}(A, P) + C_0(A, P) + \sum_{l \ge 1} C_l(A, P) s^l.$$

Then

(I) res $A = m \cdot C_{-1}(A, P)$, the residue at s = 0.

(II) In the cases (1)-(4) (with P even-even for (3)-(4)),

 $C_{-1}(A, P) = 0$ and

$$\mathrm{TR}\,A = C_0(A, P).$$

NB! Independent of P!

THREE OPERATOR FAMILIES:

P: strongly elliptic ps.d.o. on X of even order m > 0.

Resolvent $(P - \lambda)^{-1}$,

Heat operator e^{-tP} ,

Power operator P^{-s} (defined as 0 on ker P).

Can be obtained from one another:

Resolvent $(P - \lambda)^{-1}$ $\stackrel{\text{Cauchy int.}}{\rightleftharpoons} e^{-tP}$ Heat operator Laplace transf.

Cauchy int. $\searrow \sim$ $\sim \swarrow$ Mellin transf.

 $\Gamma(s)P^{-s}$

Power operator

Example of Cauchy integral:

$$P^{-s} = \frac{i}{2\pi} \int_{\mathcal{C}} \lambda^{-s} (P - \lambda)^{-1} d\lambda.$$

THREE EQUIVALENT ASYMPTOTIC TRACE EXPANSIONS:

The resolvent trace expansion:

$$\operatorname{Tr}(A(P-\lambda)^{-N}) \sim \sum_{j\geq 0} \tilde{c}_j(-\lambda)^{-\frac{\nu+n-j}{m}-N} + \sum_{k\geq 0} \left(\tilde{c}'_k \log(-\lambda) + \tilde{c}''_k \right) (-\lambda)^{-k-N},$$
for $\lambda \to \infty$ in $\mathbb{C} \setminus \overline{\mathbb{R}}_+$. $(N > (\nu+n)/m.)$

The heat trace expansion:

$$\operatorname{Tr}(Ae^{-tP}) \sim \sum_{j\geq 0} c_j t^{\frac{j-\nu-n}{m}} + \sum_{k\geq 0} (-c'_k \log t + c''_k) t^k$$

for $t \to 0+$.

The complex power trace expansion:

$$\Gamma(s) \operatorname{Tr}(AP^{-s}) \sim \sum_{j \ge 0} \frac{c_j}{s + \frac{j - \nu - n}{m}} + \sum_{k \ge 0} \left(\frac{c'_k}{(s + k)^2} + \frac{c''_k}{s + k} \right);$$

where the right-hand side gives the pole structure of the meromorphic extension. Division by $\Gamma(s)$ gives simple poles, and

$$C_{-1}(A,P) = \tilde{c}'_0 = c'_0, \quad C_0(A,P) = \tilde{c}_{n+\nu} + \tilde{c}''_0 = c_{n+\nu} + c''_0;$$

where we set $\tilde{c}_{n+\nu} = c_{n+\nu} = 0$ if $n + \nu \notin \mathbb{N}$. In cases (1)–(4),

$$C_0(A,P) = c_0'' = \operatorname{TR} A.$$

Moreover, in cases (1)-(4),

$$c_0'' = \operatorname{TR}(A) = \int_X \oint \operatorname{tr} a(x,\xi) \, d\xi \, dx;$$

it has a coordinate invariant meaning. Here $\oint f(x,\xi) \, d\xi$ is a *partie finie* integral, defined as follows: When $f(x,\xi)$ is a classical symbol of order ν , then

$$\int_{|\xi| \le R} f(x,\xi) \, d\xi \sim \sum_{j \in \mathbb{N}, j \ne n+\nu} a_j(x) R^{n+\nu-j} + a_0'(x) \log R + a_0''(x)$$

for $R \to \infty$, and one sets $\oint f(x,\xi) \, d\xi = a_0''(x)$.

Instead of considering powers AP^{-s} , one can deduce these results directly from trace expansions of resolvents $A(P-\lambda)^{-1}$, using the calculus of G-Seeley '95. Details in vol. 366 of AMS Comtemp. Math. Proc., 2005.

II. Trace defect formulas.

Consider $C_0(A, P)$ in general. When (1)–(4) do not hold, $C_0(A, P)$ will depend on P and need not vanish on [A, A']. However, there are formulas for the **trace defects**:

(a)
$$C_0(A, P) - C_0(A, P') = -\frac{1}{m} \operatorname{res}(A(\log P - \log P'))),$$

(b)
$$C_0([A, A'], P) = -\frac{1}{m} \operatorname{res}(A[A', \log P]),$$

showing in particular that they are **local**. ((a) by Okikiolu '95, Konts.-V. '95, (a)+(b) by Melrose-Nistor '96 unpublished.) Their proofs go via the holomorphic family P^{-s} , with

$$\frac{d}{ds}P^{-s}|_{s=0} = -\log P.$$

log P has symbol $m \log |\xi| + b(x, \xi)$, where b is classical of order 0. Thus

 $A(\log P - \log P')$ is classical of order ν ,

 $A(A' \log P - \log PA')$ is classical of order ν ,

so res is defined.

Question: Do similar formulas hold for manifolds with boundary?

A reasonable ψ do boundary operator calculus containing elliptic differential boundary problems and their solution operators is the Boutet de Monvel calculus. Can we show similar formulas for such operators?

Problematic fact: Even for $P_T = (-\Delta)_{\text{Dirichlet}}$, the complex powers $(P_T)^s$ and the logarithm $\log(P_T)$ are not in the BdM calculus. But the resolvent $(P_T - \lambda)^{-1}$ does belong to a parameter-dependent version of the BdM calculus.

Subquestion: Can we prove the formulas (a) and (b) using only resolvent information?

III. Some applications of res, TR and $C_0(A, P)$.

Recall: res A is proportional to the residue of $\zeta(A, P, s)$ at s = 0, so

res $A = 0 \iff \zeta(A, P, s)$ is regular at 0.

Holds when A is a diff. op., in particular for $\zeta(I, P, s) \equiv \zeta(P, s)$. The *eta function* of a selfadjoint, not semibounded elliptic ψ do:

$$\eta(P,s) = \sum_{\lambda \text{ ev. } \neq 0} \operatorname{sign} \lambda \, |\lambda|^{-s} = \zeta(P|P|^{-1}, |P|, s),$$

is not covered by this. Deep result by Atiyah-Patodi-Singer and Gilkey:

(*) $\operatorname{res}(P|P|^{-1}) = 0,$

i.e., $\eta(P, s)$ is regular at s = 0. For a Dirac operator D, with

 $D = \sigma(\partial_{x_n} + A)$ near ∂X , A tangential selfadjoint,

the value $\eta(A, 0)$ for A on ∂X is a nonlocal term entering in the index formula for the APS realization of D.

From (*) one can moreover deduce that res $\Pi = 0$ for any classical ψ do projection Π , a fact with various applications.

Concerning TR and $C_0(A, P)$:

Some people call $C_0(A, P)$ a regularized trace of A, with notation e.g. $\overline{\text{Tr}}(A)$ (Melrose). Enters in an index formula for A: When B is an approximate inverse (a parametrix),

ind
$$A = \operatorname{Tr}(AB - I) - \operatorname{Tr}(BA - I)$$

= $C_0(AB - I, P) - C_0(BA - I, P) = C_0([A, B], P)$
= $-\frac{1}{m} \operatorname{res}(A[B, \log P]),$

by the trace defect formula. This is a point of departure for further calculations.

IV. Manifolds with boundary.

Now let X be a compact n-dimensional manifold with smooth boundary $X' = \partial X$ (itself a closed manifold).

Typical operators when $X \subset \mathbb{R}^n$:

$$\begin{pmatrix} 1-\Delta\\ \gamma_0 \end{pmatrix}$$
 and its inverse $(Q_+ + G_- K);$

 γ_0 is the trace operator $u \mapsto u|_{X'}$,

$$Q = (1 - \Delta)^{-1} = \operatorname{Op}(\frac{1}{1 + |\xi|^2}) \text{ on } \mathbb{R}^n,$$
$$Q_+ = r^+ Q e^+ \ (e^+ \text{ extends by } 0, r^+ \text{ restricts to } X),$$

G is a singular Green operator (the "boundary correction"),

K is a Poisson operator.

Here $R = Q_+ + G$ and K solve the respective semi-homogeneous problems:

$$\begin{cases} (1-\Delta)u &= f \text{ in } X, \\ \gamma_0 u &= 0 \text{ on } X'; \end{cases} \qquad \begin{cases} (1-\Delta)u &= 0 \text{ in } X, \\ \gamma_0 u &= g \text{ on } X'. \end{cases}$$

Boutet de Monvel '71 defined pseudodifferential boundary operators (ψ dbo's) in general as systems (Green operators):

$$\begin{pmatrix} P_+ + G & K \\ & & \\ T & S \end{pmatrix} : \begin{array}{c} C^{\infty}(X, E) & C^{\infty}(X, E') \\ \vdots & \times & \to & \times \\ C^{\infty}(X', F) & C^{\infty}(X', F') \end{array},$$

where

- P is a ψ do on a closed manifold $\widetilde{X} \supset X$, $P_+ = r^+ P e^+$, G is a singular Green operator,
- T is a trace operator from X to X',
- K is a Poisson operator from X' to X,
- S is a ψ do on X'.

P must satisfy the transmission condition at X', assuring that P_+ preserves smoothness on X. Consider operators of order ν with polyhomogeneous symbols of suitable types.

Traces can be studied when E = E', F = F'; the new object is $A = P_+ + G : C^{\infty}(X, E) \to C^{\infty}(X, E)$. Transmission requires integer order. For G alone one can study all real orders. Technical condition: G should be of class 0 (well-defined on $L_2(X)$), for otherwise, order < -n does not assure trace-class.

The noncommutative residue was defined by Fedosov, Golse, Leichtnam and Schrohe '96 for $A = P_+ + G$ by:

$$\operatorname{res}(A) = \int_X \int_{|\xi|=1} \operatorname{tr} p_{-n}(x,\xi) \, dS(\xi) dx + \int_{X'} \int_{|\xi'|=1} \operatorname{tr}(\operatorname{tr}_n g)_{1-n}(x',\xi') \, dS(\xi') dx';$$

here tr_n takes the trace in the normal direction to X'; in fact $\operatorname{tr}_n G$ is a classical ψ do on X'.

That this is indeed a residue was shown by G-Schrohe '01: As auxiliary operator we can take an elliptic differential operator P_1 of order $m > n + \nu$ on \widetilde{X} having a sector V around $\mathbb{R}_$ in its resolvent set. Then

$$\operatorname{Tr}(A(P_1 - \lambda)_+^{-1}) \sim \sum_{0 \le j \le n + \nu} c_j(-\lambda)^{\frac{n+\nu-j}{m}-1} + (c'_0 \log(-\lambda) + c''_0)(-\lambda)^{-1} + O(\lambda^{-1-\varepsilon}), \text{ for } \lambda \to \infty \text{ in } V.$$

There is a corresponding expansion for $\Gamma(s) \operatorname{Tr}(A(P_1^{-s})_+)$. In particular,

$$Tr(A(P_1^{-s})_+) = \frac{1}{s}C_{-1}(A, P_{1,+}) + C_0(A, P_{1,+}) + O(s)$$

for $s \to 0$, with $C_{-1}(A, P_{1,+}) = c'_0$, $C_0(A, P_{1,+}) = c_{n+\nu} + c''_0$
(as usual, we set $c_{n+\nu} = 0$ if $\nu + n \notin \mathbb{N}$). By G-Schrohe '01,
 $res(A) = m \cdot C_{-1}(A, P_{1,+}).$

Searching for a *canonical trace*, G-Schrohe '04 showed: (i) $C_0(A, P_{1,+})$ is a quasi-trace, in the sense that

$$C_0(A, P_{1,+}) - C_0(A, P_{2,+})$$
 and $C_0([A, A'], P_{1,+})$ are local.

(ii) The value of $C_0(A, P_{1,+})$ is a finite part integral

$$\int_X \oint \operatorname{tr} p(x,\xi) \, \operatorname{d} \xi \, dx + \int_{X'} \oint \operatorname{tr}(\operatorname{tr}_n g)(x',\xi') \, \operatorname{d} \xi' \, dx',$$

modulo local contributions.

But $C_0(A, P_{1,+})$ is rarely a canonical trace. Yes, if $\nu < -n$. Yes, if $\nu \notin \mathbb{Z}$, but then only G enters. When $\nu \in \mathbb{Z}$ and $P \neq 0$, parity does not help much, for both dimensions n and n-1 enter at the same time. Cf. the closed manifold conditions:

(3) n odd and A even-even, **or** (4) n even and A even-odd. So, $C_0(A, P_{1,+})$ itself becomes the important object! Trace defect formulas? (See slide 9 for closed manifolds.)

By a proof that completely avoids the issue of how the operators $(P_1^{-s})_+$ and $(\log P_1)_+$ really act, relying instead on resolvent formulations, we have managed to show (G '05):

Theorem. Let $A = P_+ + G$, $A' = P'_+ + G'$ be given, with two auxiliary elliptic differential operators P_1 and P_2 .

One can construct ψ do's S and S' on X' in a specific way from the given operators such that

(a)
$$C_0(A, P_{1,+}) - C_0(A, P_{2,+})$$

 $= -\frac{1}{m} \operatorname{res}_X((P(\log P_1 - \log P_2))_+) - \frac{1}{m} \operatorname{res}_{X'}(S),$
(b) $C_0([A, A'], P_{1,+})$
 $= -\frac{1}{m} \operatorname{res}_X((P[P', \log P_1])_+) - \frac{1}{m} \operatorname{res}_{X'}(S').$

V. Ingredients in the proofs.

P is assumed elliptic with \mathbb{R}_{-} in the resolvent set.

 $Q_{\lambda} = (P - \lambda)^{-1}$ defined in sector V around \mathbb{R}_{-} , symbol $q(x,\xi,\lambda) \sim \sum_{j\geq 0} q_{-m-j}(x,\xi,\lambda)$. Then

 P^{-s} is a classical ψ do of order -ms (Seeley '67), symbol

 $p^{(-s)}(x,\xi) \sim \sum_{j\geq 0} p^{(-s)}_{-ms-j}(x,\xi)$, where

$$p_{-ms-j}^{(-s)}(x,\xi) = \frac{i}{2\pi} \int_{\mathcal{C}} \lambda^{-s} q_{-m-j}(x,\xi,\lambda) \, d\lambda;$$

 \mathcal{C} a closed curve in $\mathbb{C} \setminus \mathbb{R}_{-}$ encircling the eigenvalues of $p_m(x,\xi)$.

 $\log P = \operatorname{Op}(m \log[\xi] + b(x,\xi)); \quad [\xi] = |\xi| \text{ for } |\xi| \ge 1;$ $b(x,\xi) \sim \sum_{j\ge 0} b_{-j}(x,\xi) \text{ classical of order } 0,$

$$b_{-j}(x,\xi) = \frac{i}{2\pi} \int_{\mathcal{C}} \log \lambda q_{-m-j}(x,\xi,\lambda) \, d\lambda \text{ for } j > 0.$$

Note that $\operatorname{res}(\log P) = \int_X \int_{|\xi|=1} \operatorname{tr} b_{-n}(x,\xi) \, dS(\xi) dx$ $= \int_X \int_{|\xi|=1} \frac{i}{2\pi} \int_{\mathcal{C}} \log \lambda \operatorname{tr} q_{-m-n}(x,\xi,\lambda) \, d\lambda \, dS(\xi) dx.$

Remarkable fact (Scott '04, partially known earlier):

$$C_0(I,P) = -\frac{1}{m} \operatorname{res}(\log P).$$

We can show it without using complex powers, by observing:

Lemma 1. The strictly homogeneous symbol $q^h_{-m-n}(x,\xi,\lambda)$ is integrable at $\xi = 0$ and ∞ , and

$$C_0(I,P) = \int_X c_n(x), \text{ with } c_n(x) = \int_{\mathbb{R}^n} q^h_{-m-n}(x,\xi,-1) \, d\!\!\!/ \xi.$$

Lemma 2. When $f(x,\xi,\lambda)$ is holomorphic in λ on a nbd. of

 $\overline{\mathbb{R}}_{-}$, with suitable bounds, then (with a curve \mathcal{C} in $\mathbb{C} \setminus \overline{\mathbb{R}}_{-}$)

$$\frac{1}{2\pi i} \int_{\mathcal{C}} \log \lambda f(x,\xi,\lambda) \, d\lambda = \int_{-\infty}^{0} f(x,\xi,t) \, dt.$$

For, $\log \lambda$ gives a jump of $2\pi i$ at \mathbb{R}_{-} ; the contributions from $\log |\lambda|$ cancel out.

Combine this with homogeneity, polar coordinates:

$$\begin{split} \int_{\mathbb{R}^n} q^h_{-m-n}(x,\xi,-1) \, d\!\!\!/\xi &= \frac{1}{m} \int_{|\eta|=1} \int_{-\infty}^0 q^h_{-m-n}(x,\eta,t) \, dt d\!\!\!/S(\eta) \\ &= -\frac{1}{m} \int_{|\eta|=1} \frac{i}{2\pi} \int_{\mathcal{C}} \log \lambda q^h_{-m-n}(x,\eta,\lambda) \, d\lambda d\!\!\!/S(\eta) \\ &= -\frac{1}{m} \int_{|\eta|=1} b_{-n}(x,\eta) \, d\!\!/S(\eta), \end{split}$$

the inner integral in the residue of $\log P!$

The trace defect formulas in the closed manifold case can be proved by calculations where this type of argument is central; we never need to consider P^{-s} , and $\log P$ enters only in a very rudimentary way.

Finally, for the case with boundary, this argument is again central, but a lot of extra efforts are needed to master the contributions from the boundary.

Application e.g. to index formulas:

If $A = P_+ + G \colon C^{\infty}(X, E) \to C^{\infty}(X, F)$ is elliptic of order and class 0, and B is a parametrix, then with auxiliary elliptic operators P_1 in E and P_2 in F,

$$\begin{aligned} &\text{ind} \, A = C_0(AB - I, P_{2,+}) - C_0(BA - I, P_{1,+}) \\ &= C_0(AB, P_{2,+}) - C_0(BA, P_{1,+}) \\ &+ \frac{1}{m} \operatorname{res}((\log P_2)_+) - \frac{1}{m} \operatorname{res}((\log P_1)_+). \end{aligned}$$

Here $C_0(AB, P_{2,+}) - C_0(BA, P_{1,+})$ is a res with ψ do part

 $\operatorname{res}((B\log P_2A - BA\log P_1)_+).$

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