Asymptotic Analysis and Spectral Theory (Aspect'22)

Invisibility in acoustic waveguides

Lucas Chesnel¹

Coll. with A.-S. Bonnet-BenDhia², J. Heleine³, S.A. Nazarov⁴, V. Pagneux⁵

¹Idefix team, Inria/Institut Polytechnique de Paris/EDF, France
²Poems team, Inria/Ensta Paris, France
³IMT, Univ. Paul Sabatier, France
⁴FMM, St. Petersburg State University, Russia
⁵LAUM, Univ. du Maine, France





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▶ We consider the propagation of waves in a 2D acoustic waveguide with an obstacle (also relevant in optics, microwaves, water-waves theory,...).



• We fix $k \in (0; \pi)$ so that only the plane waves $e^{\pm ikx}$ can propagate.

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• We fix $k \in (0; \pi)$ so that only the plane waves $e^{\pm ikx}$ can propagate.

 \blacktriangleright The scattering of these waves leads us to consider the solutions of (\mathscr{P}) with the decomposition

$$u_{+} = \begin{vmatrix} e^{ikx} + R_{+} e^{-ikx} + \dots \\ T e^{+ikx} + \dots \end{vmatrix} \qquad u_{-} = \begin{vmatrix} T e^{-ikx} + \dots & x \to -\infty \\ e^{-ikx} + R_{-} e^{+ikx} + \dots & x \to +\infty \end{vmatrix}$$

 $R_{\pm}, T \in \mathbb{C}$ are the scattering coefficients , the ... are expon. decaying terms.

- We have the relations of conservation of energy $|R_{\pm}|^2 + |T|^2 = 1$.
- Without obstacle, $u_+ = e^{ikx}$ so that $(R_+, T) = (0, 1)$.

- With an obstacle, in general $(R_+, T) \neq (0, 1)$.

- We have the relations of conservation of energy $|R_{\pm}|^2 + |T|^2 = 1$.
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- With an obstacle, in general $(R_+, T) \neq (0, 1)$.

Goal of the talk

We wish to identify situations (geometries, k) where $R_{\pm} = 0$ and/or T = 1 (as if there were no obstacle) \Rightarrow cloaking at "infinity".



Difficulty: the scattering coefficients have a non explicit and non linear dependence wrt the geometry and k.



Remark: different from the usual cloaking picture (Pendry *et al.* 06, Leonhardt 06, Greenleaf *et al.* 09) because we wish to control only the scattering coef..

 \rightarrow Less ambitious but doable without fancy materials (and relevant in practice).

Outline of the talk

We present **two different** points of view on these questions of invisibility:

1 Cloaking of obstacles

Asymptotic analysis:

k and Ω are given, we explain how to perturb the geometry using thin resonant ligaments to get $T \approx 1$.



A spectral approach to determine non reflecting wavenumbers

SPECTRAL THEORY:

 Ω is given, we explain how to find non reflecting k by solving an unusual spectral problem.

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2 A spectral approach to determine non reflecting wavenumbers

Spectral theory:

 Ω is given, we explain how to find non reflecting k by solving an unusual spectral problem.

Setting



• In this geometry, we have the scattering solutions

$$u_{+}^{\mathfrak{e}} = \left| \begin{array}{c} e^{ikx} + R_{+}^{\mathfrak{e}} e^{-ikx} + \dots \\ T^{\mathfrak{e}} e^{+ikx} + \dots \end{array} \right| \begin{array}{c} T^{\mathfrak{e}} e^{-ikx} + \dots \\ e^{-ikx} + R_{-}^{\mathfrak{e}} e^{+ikx} + \dots \end{array} \begin{array}{c} x \to -\infty \\ x \to +\infty \end{array}$$

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In general, the thin ligament has only a weak influence on the scattering coefficients: $R_{\pm}^{\varepsilon} \approx R_{\pm}$, $T^{\varepsilon} \approx T$. But not always ...

• We vary the length of the ligament:

► For one particular length of the ligament, we get a standing mode (zero transmission):



To understand the phenomenon, we compute an asymptotic expansion of u_+^{ε} , R_+^{ε} , T^{ε} as $\varepsilon \to 0$.



$$u_{+}^{\boldsymbol{\varepsilon}} = \begin{vmatrix} e^{ikx} + R_{+}^{\boldsymbol{\varepsilon}} e^{-ikx} + \dots \\ T^{\boldsymbol{\varepsilon}} e^{+ikx} + \dots \end{vmatrix}$$

► To proceed we use techniques of matched asymptotic expansions (see Beale 73, Gadyl'shin 93, Kozlovet al. 94, Nazarov 96, Maz'ya et al. 00, Joly & Tordeux 06, Lin & Zhang 17, 18, Brandao, Holley, Schnitzer 20,...).

• We work with the outer expansions

$$\begin{split} u^{\varepsilon}_+(x,y) &= u^0(x,y) + \dots & \text{in } \Omega, \\ u^{\varepsilon}_+(x,y) &= \varepsilon^{-1} v^{-1}(y) + v^0(y) + \dots & \text{in the resonator} \end{split}$$

• Considering the restriction of $(\mathscr{P}^{\varepsilon})$ to the thin resonator, when ε tends to zero, we find that v^{-1} must solve the homogeneous 1D problem

$$(\mathscr{P}_{1\mathrm{D}}) \begin{vmatrix} \partial_y^2 v + k^2 v = 0 & \text{in } (1; 1+\ell) \\ v(1) = \partial_y v(1+\ell) = 0. \end{vmatrix}$$

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The features of (\mathscr{P}_{1D}) play a key role in the physical phenomena and in the asymptotic analysis.

• We denote by $\ell_{\rm res}$ (resonance lengths) the values of ℓ , given by

$$\ell_{\rm res} := \pi (m + 1/2)/k, \qquad m \in \mathbb{N},$$

such that (\mathscr{P}_{1D}) admits the non zero solution $v(y) = \sin(k(y-1))$.

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• Assume that $\ell \neq \ell_{\text{res}}$. Then we find $v^{-1} = 0$ and when $\varepsilon \to 0$, we get

$$\begin{split} u_{\pm}^{\varepsilon}(x,y) &= u_{\pm} + o(1) & \text{in } \Omega, \\ u_{\pm}^{\varepsilon}(x,y) &= u_{\pm}(A) v_0(y) + o(1) & \text{in the resonator,} \\ R_{\pm}^{\varepsilon} &= R_{\pm} + o(1), \qquad T^{\varepsilon} = T + o(1). \end{split}$$

Here $v_0(y) = \cos(k(y-1) + \tan(k(y-\ell)\sin(k(y-1))))$.

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The thin resonator has no influence at order ε^0 .

 \rightarrow Not interesting for our purpose because we want $\begin{cases} R_{\pm}^{\varepsilon} = 0 + \dots \\ T^{\varepsilon} = 1 + \dots \end{cases}$

For
$$\ell = \ell_{\text{res}}$$
, when $\varepsilon \to 0$, we obtain

$$\begin{split} u_{+}^{\varepsilon}(x,y) &= u_{+}(x,y) + ak\gamma(x,y) + o(1) \quad \text{ in } \Omega, \\ u_{+}^{\varepsilon}(x,y) &= \varepsilon^{-1}a\sin(k(y-1)) + O(1) \quad \text{ in the resonator}, \\ R_{+}^{\varepsilon} &= R_{+} + iau_{+}(A)/2 + o(1), \qquad T^{\varepsilon} = T + iau_{-}(A)/2 + o(1). \end{split}$$

Here γ is the outgoing Green function such that $\begin{vmatrix} \Delta \gamma + k^2 \gamma = 0 \text{ in } \Omega \\ \partial_n \gamma = \delta_A \text{ on } \partial\Omega \end{vmatrix}$ and

$$ak = -\frac{u_+(A)}{\Gamma + \pi^{-1}\ln|\varepsilon| + C_{\Xi}}.$$

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This time the thin resonator has an influence at order ε^0

For $\ell = \ell_{res} + \varepsilon \eta$ with $\eta \in \mathbb{R}$ fixed, when $\varepsilon \to 0$, we obtain

$$u_{+}^{\varepsilon}(x,y) = u_{+}(x,y) + \frac{a(\eta)k\gamma(x,y)}{(x,y)} + o(1) \quad \text{in } \Omega,$$

 $u^{\varepsilon}_{+}(x,y) = \varepsilon^{-1} a(\eta) \sin(k(y-1)) + O(1)$ in the resonator,

 $R_+^{\varepsilon} = R_+ + \frac{ia(\eta)u_+(A)/2}{i} + o(1), \qquad T^{\varepsilon} = T + \frac{ia(\eta)u_-(A)/2}{i} + o(1).$

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 in Ω ,

 $u^{\varepsilon}_{+}(x,y) = \varepsilon^{-1} a(\eta) \sin(k(y-1)) + O(1)$ in the resonator,

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This time the thin resonator has an influence at order ε^0 and it depends on the choice of η !



From this expansion, we find that asymptotically, when the length of the resonator is perturbed **around** ℓ_{res} , R_+^{ε} , T^{ε} run on **circles** whose **features depend on the choice for** A.



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Using the expansions of $u_{\pm}(A)$ far from the obstacle, one shows:

PROPOSITION: There are **positions of the resonator** A such that the circle $\{R^0_+(\eta) \mid \eta \in \mathbb{R}\}$ passes **through zero**.



From this expansion, we find that asymptotically, when the length of the resonator is perturbed **around** ℓ_{res} , R_+^{ε} , T^{ε} run on **circles** whose **features depend on the choice for** A.

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PROPOSITION: There are **positions of the resonator** *A* such that the circle $\{R^0_+(\eta) \mid \eta \in \mathbb{R}\}$ passes **through zero**. $\Rightarrow \exists$ situations s.t. $R^{\varepsilon}_+ = 0 + o(1)$.



Simulations realized with the Freefem++ library.

• Example of situation where we have almost zero reflection ($\varepsilon = 0.01$).



Simulations realized with the Freefem++ library.





Simulations realized with the Freefem++ library.

Conservation of energy guarantees that when $R_{+}^{\varepsilon} = 0$, $|T^{\varepsilon}| = 1$. \rightarrow To cloak the object, it remains to compensate the phase shift!

Phase shifter

▶ Working with two resonators, we can create phase shifters, that is devices with almost zero reflection and any desired phase.



Here the device is designed to obtain a phase shift approx. equal to $\pi/4$.

Cloaking with three resonators

▶ Now working in two steps, we can approximately cloak any object with three resonators:

- 1) With one resonant ligament, first we get almost zero reflection;
- 2) With two additional resonant ligaments, we compensate the phase shift.



Cloaking with two resonators

▶ Working a bit more, one can show that two resonators are enough to cloak any object.

 $t \mapsto \Re e\left(u_+(x,y)e^{-ikt}\right)$

 $t \mapsto \Re e\left(u_{+}^{\varepsilon}(x, y)e^{-ikt}\right)$

 $t\mapsto \Re e\,(e^{i\,k\,(x\,-\,t\,)})$

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SPECTRAL THEORY:

 Ω is given, we explain how to find non reflecting k by solving an unusual spectral problem.

Consider the scattering problem with $k \in ((N-1)\pi; N\pi), N \in \mathbb{N}^*$



 $\begin{array}{lll} \mbox{Find} v = v_i + v_s \mbox{ s. t.} \\ \Delta v + k^2 v &= 0 & \mbox{in} \ \Omega, \\ \partial_n v &= 0 & \mbox{on} \ \partial \Omega, \\ v_s \mbox{ is outgoing.} \end{array}$

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• For this problem, the modes are

 $\begin{array}{ll} \mbox{Propagating} & w_n^{\pm}(x,y) = e^{\pm i \beta_n x} \cos(n\pi y), \ \beta_n = \sqrt{k^2 - n^2 \pi^2}, \ n \in [\![0,N-1]\!] \\ \mbox{Evanescent} & w_n^{\pm}(x,y) = e^{\mp \beta_n x} \cos(n\pi y), \ \beta_n = \sqrt{n^2 \pi^2 - k^2}, \ n \geq N. \end{array}$

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• Set
$$v_i = \sum_{n=0}^{N-1} \alpha_n w_n^+$$
 for some given $(\alpha_n)_{n=0}^{N-1} \in \mathbb{C}^N$.

Consider the scattering problem with $k \in ((N-1)\pi; N\pi), N \in \mathbb{N}^*$



 $\begin{array}{lll} \mbox{Find} \ v = v_i + v_s \ {\rm s.} \ {\rm t.} \\ \Delta v + k^2 v &= 0 & {\rm in} \ \Omega, \\ \partial_n v &= 0 & {\rm on} \ \partial \Omega, \\ v_s \ {\rm is \ outgoing.} \end{array}$

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• Set
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 for some given $(\alpha_n)_{n=0}^{N-1} \in \mathbb{C}^N$.

• v_s is outgoing \Leftrightarrow $v_s = \sum_{n=0}^{+\infty} \gamma_n^{\pm} w_n^{\pm}$ for $\pm x \ge L$, with $(\gamma_n^{\pm}) \in \mathbb{C}^{\mathbb{N}}$.
Goal of the section

DEFINITION: v is a non reflecting mode if v_s is expo. decaying for $x \leq -L$ $\Leftrightarrow \quad \gamma_n^- = 0, \ n \in [\![0, N-1]\!] \quad \Leftrightarrow \quad \text{energy is completely transmitted.}$



For a given geometry, we present a method to find values of k such that there is a non reflecting mode v.

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GOAL

For a given geometry, we present a method to find values of k such that there is a non reflecting mode v.

 \rightarrow Note that non reflection occurs for **particular** v_i to be computed.





$$\mathcal{I}_{\theta}(x) = \begin{vmatrix} -L + (x+L) e^{i\theta} & \text{for } x \leq -L \\ x & \text{for } |x| < L \\ +L + (x-L) e^{i\theta} & \text{for } x \geq L. \end{vmatrix}$$



• For $\theta \in (0; \pi/2)$, consider the complex change of variables

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• Set $v_{\theta} := v_s \circ (\mathcal{I}_{\theta}(x), y)$.





$$v_{\theta} \text{ solves } \left| \begin{pmatrix} * \end{pmatrix} \right| \left| \begin{array}{c} \alpha_{\theta} \frac{\partial}{\partial x} \left(\alpha_{\theta} \frac{\partial v_{\theta}}{\partial x} \right) + \frac{\partial^2 v_{\theta}}{\partial y^2} + k^2 v_{\theta} = 0 & \text{in } \Omega \\ \partial_n v_{\theta} = -\partial_n v_i & \text{on } \partial\Omega. \end{array}$$

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•
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 $\partial_n v_{\theta} = -\partial_n v_i \quad \text{on } \partial \Omega.$

 $\alpha_{\theta}(x) = 1 \text{ for } |x| < L$ $\alpha_{\theta}(x) = e^{-i\theta} \text{ for } |x| \ge L$

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 $\alpha_{\theta}(x) = 1 \text{ for } |x| < L \qquad \alpha_{\theta}(x) = e^{-i\theta} \text{ for } |x| \ge L$

• Numerically we solve (*) in the truncated domain



 \Rightarrow We obtain a good approximation of v_s for |x| < L.

• This is the method of Perfectly Matched Layers (PMLs).

Spectral analysis

• Define the operators A, A_{θ} of $L^{2}(\Omega)$ such that

$$Av = -\Delta v, \qquad A_{\theta}v = -\left(\alpha_{\theta}\frac{\partial}{\partial x}\left(\alpha_{\theta}\frac{\partial v}{\partial x}\right) + \frac{\partial^2 v}{\partial y^2}\right) \qquad + \partial_n v = 0 \text{ on } \partial\Omega.$$



•
$$A_{\theta}$$
 is not selfadjoint. $\sigma(A_{\theta}) \subset \{\rho e^{i\gamma}, \rho \ge 0, \gamma \in [-2\theta; 0]\}.$

•
$$\sigma_{\text{ess}}(A_{\theta}) = \bigcup_{n \in \mathbb{N}} \{ n^2 \pi^2 + t \, e^{-2i\theta}, \ t \ge 0 \}.$$

• real eigenvalues of A_{θ} = real eigenvalues of A.







Discretized spectrum of A_{θ} in k (not in k^2). We take $\theta = \pi/4$. 0 -1 -2 -3 -4 $---\sigma_{\mathrm{ess}}(A_{\theta})$ (in k) -5 3 2 7 0 4 8

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• Discretized spectrum of A_{θ} in k (not in k^2). We take $\theta = \pi/4$.



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• Usual complex scaling selects scattered fields which are

outgoing at $-\infty$ and outgoing at $+\infty$.

IMPORTANT REMARK: general v decompose as

$$v = v_i + \sum_{n=0}^{N-1} \gamma_n^- w_n^- + \sum_{n=N}^{+\infty} \gamma_n^- w_n^- \quad x \le -L, \quad v = \sum_{n=0}^{+\infty} \gamma_n^+ w_n^+ \quad x \ge L.$$

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IMPORTANT REMARK: **non reflecting** v decompose as

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 $\blacktriangleright \quad \text{In other words,$ **non reflecting** $} v \text{ are}$

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IMPORTANT REMARK: **non reflecting** v decompose as

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• In other words, **non reflecting** v are

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Let us change the sign of the complex scaling at $-\infty$!

$$\mathcal{J}_{\theta}(x) = \begin{vmatrix} -L + (x+L) & e^{-i\theta} & \text{for } x \leq -L \\ x & \text{for } |x| < L \\ +L + (x-L) & e^{+i\theta} & \text{for } x \geq L. \end{vmatrix}$$

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Set $u_{\theta} := v \circ (\mathcal{J}_{\theta}(x), y)$.

$$1) u_{\theta} = v \text{ for } |x| < L.$$

$$2) u_{\theta} \text{ is exp. decaying at infinity.}$$

$$\bullet^{-i\beta_{0}}$$

$$\bullet^{-i\beta_{1}}$$

$$\bullet^$$

$$\mathcal{J}_{\theta}(x) = \begin{vmatrix} -L + (x+L) & e^{-i\theta} & \text{for } x \leq -L \\ x & \text{for } |x| < L \\ +L + (x-L) & e^{+i\theta} & \text{for } x \geq L. \end{vmatrix}$$

$$\cdot \quad \text{Set } \underbrace{u_{\theta} := v \circ (\mathcal{J}_{\theta}(x), y)}_{\substack{\theta = v \text{ for } |x| < L.} \\ 2) u_{\theta} \text{ is exp. decaying at infinity.}}_{\substack{\theta = -i\beta_{1} \\ -i\beta_{1} \\ \frac{\theta_{2}}{\beta_{2}} \\ \frac{\theta_{3}}{\beta_{3}} \\ \frac{\theta_{3}}{\beta_{2}} \\ \frac{\theta_{3}}{\beta_{3}} \\ \frac{\theta_{4}}{\beta_{2}} \\ \frac{\theta_{4}}{\beta_{3}} \\ \frac{\theta_{4}}{\beta_{2}} \\ \frac{\theta_{4}}{\beta_{3}} \\ \frac{\theta_{4}}{\beta_{2}} \\ \frac{\theta_{4}}{\beta_{2}} \\ \frac{\theta_{4}}{\beta_{3}} \\ \frac{\theta_{4}}{\beta_{4}} \\ \frac{\theta_{4}}{\beta_{4}$$

For $\theta \in (0; \pi/2)$, consider the complex change of variables

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$$\text{Set } \underbrace{u_{\theta} := v \circ (\mathcal{J}_{\theta}(x), y)}_{\theta_{2}} \text{.} \qquad 1) \underbrace{u_{\theta} = v \text{ for } |x| < L.}_{2) u_{\theta} \text{ is exp. decaying at infinity.}}$$

$$\stackrel{\bullet -i\beta_{0}}{\stackrel{\bullet -i\beta_{1}}{\stackrel{\theta}{\partial_{2}}} \underbrace{f_{3}}{\stackrel{\theta}{\partial_{3}}} \qquad \stackrel{\bullet -i\beta_{1}}{\stackrel{\theta}{\partial_{3}}} \underbrace{f_{3}}{\stackrel{\theta}{\partial_{3}}} \underbrace$$

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Spectral analysis

• Define the operator B_{θ} of $L^2(\Omega)$ such that

$$B_{\theta}v = -\left(\beta_{\theta}\frac{\partial}{\partial x}\left(\beta_{\theta}\frac{\partial v}{\partial x}\right) + \frac{\partial^2 v}{\partial y^2}\right) \qquad + \partial_n v = 0 \text{ on } \partial\Omega.$$

B_θ is not selfadjoint. σ(B_θ) ⊂ {ρe^{iγ}, ρ ≥ 0, γ ∈ [-2θ; 2θ]}.
σ_{ess}(B_θ) = ∪_{n∈N}{n²π² + t e^{-2iθ}, t ≥ 0} ∪ {n²π² + t e^{2iθ}, t ≥ 0}.
real eigenvalues of B_θ = real eigenvalues of A+non reflecting k².





1) • ? eig. correspond to solutions of the Helmholtz equation which are exp. growing at one side of Ω , exp. decaying at the other.

Different from **complex resonances** for which the eigenfunctions are exp. growing both at $\pm \infty$...

2) It is not simple to prove that $\sigma(B_{\theta}) \setminus \sigma_{\text{ess}}(B_{\theta})$ is discrete.



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• Define the operators \mathcal{P} (Parity), \mathcal{T} (Time reversal) such that

$$\mathcal{P}v(x,y) = v(-x,y)$$
 and $\mathcal{T}v(x,y) = \overline{v(x,y)}$.

PROP.: For symmetric $\Omega = \{(-x, y) | (x, y) \in \Omega\}, B_{\theta} \text{ is } \mathcal{PT} \text{ symmetric:}$

 $\mathcal{PT}B_{\theta}\mathcal{PT} = B_{\theta}.$

As a consequence, $\sigma(B_{\theta}) = \overline{\sigma(B_{\theta})}$.

 \Rightarrow If λ is an "isolated" eigenvalue located close to the real axis, then $\lambda \in \mathbb{R}$!

• Discretized spectrum in k (not in k^2). We take $\theta = \pi/4$.



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• We display the eigenmodes for the ten first real eigenvalues in the whole computational domain (including PMLs).

• Let us focus on the eigenmodes such that $0 < k < \pi$.



First trapped mode k = 1.2355...

Second trapped mode k = 2.3897...



First non reflecting mode k = 1.4513...



Second non reflecting mode k = 2.8896...
• To check our results, we compute $k \mapsto |R(k)|$ for $0 < k < \pi$.



First non reflecting mode k = 1.4513...

Second non reflecting mode k = 2.8896...

To check our results, we compute $k \mapsto |R(k)|$ for $0 < k < \pi$.



There is perfect agreement!

• Now the geometry is not symmetric in x nor in y:



- The operator B_{θ} is no longer \mathcal{PT} -symmetric and we expect:
 - No trapped modes
 - No invariance of the spectrum by complex conjugation.

• **Discretized** spectrum of B_{θ} in k (not in k^2). We take $\theta = \pi/4$.







Outline of the talk

We present **two different** points of view on these questions of invisibility:

1 Cloaking of obstacles

Asymptotic analysis:

k and Ω are given, we explain how to perturb the geometry using thin resonant ligaments to get $T \approx 1$.

2 A spectral approach to determine non reflecting wavenumbers

Spectral theory:

 Ω is given, we explain how to find non reflecting k by solving an unusual spectral problem.

Conclusion

Part I

- Method to cloak any object in monomode regime using thin resonators. Two main ingredients:
- Around resonant lengths, effects of order ε^0 with perturb. of width ε .
- Explicit dependence wrt to the geometry in the 1D limit resonator.
- 1) We can similarly hide penetrable obstacles or work in 3D.
- 2) We can do cloaking at a finite number of wavenumbers (thin structures are resonant at one wavenumber otherwise act at order ε).
- 3) With Dirichlet BCs, other ideas must be found.

Part II

- Spectral approach to compute non reflecting k (R = 0) for a given Ω .
- 1) Can we find a spectral approach to compute completely reflecting or completely invisible k?
- 2) Can we prove existence of non reflecting k for the \mathcal{PT} -symmetric pb?

Thank you for your attention!

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