

Weak Localization in the alloy-type 3D Anderson Model

Zhenwei Cao

Math Department
Virginia Tech

Arizona School of Analysis and Mathematical Physics
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Outline

- Background
- Statement of the result
- Proof of weak localization
- Wegner's estimate
- Proof of lemma

Setup

Consider the random Schrödinger operator of the following type

$$(H_\omega^\lambda \psi)(x) := -\frac{1}{2} (\Delta \psi)(x) + \lambda V_\omega(x) \psi(x).$$

Here Δ denotes the discrete Laplace operator,

$$(\Delta \psi)(x) = \sum_{e \in \mathbb{Z}^3, |e|=1} \psi(x+e) - 6\psi(x),$$

and V_ω stands for a random multiplication operator of the form

$$V_\omega(x) = \sum_{i \in \mathbb{Z}^3} \omega_i u(x-i).$$

Note the spectrum of the unperturbed operator H_ω^0 is absolutely continuous and is the interval $[0, 6]$.

- For $3D$ models, the first weak localization result for the Anderson model was proved by Frölich and Spencer(1983) through multiscale analysis.
- There are many results quantifying the weak localization region when the single cite potential is a delta function. For example, Aizenman(1994) shows there is localization in the region $[-a\lambda, -a\lambda + \lambda^{5/4}]$. Klopp(2002) derives a upper bound on the of order $-\lambda^{7/6}$. Elgart(2009) pushes the upper bound to $-\lambda^2$ by using a Feynman diagrammatic technique.
- This work extends the results in Elgart(2009) to a general single cite potential. Related work on diagrammatic techniques includes Erdos and Yau(2000) and Chen(2005). Notice non-monotonicity of the single cite potential poses a problem in deriving Wegner's estimate. Also there are issues involving employing the diagrammatic technique.

Assumptions

- u decays exponentially fast:

$$|u(x)| \leq Ce^{-A|x|}$$

- u is compactly supported.
- The random variables $\{\omega_i\}$ are independent, identically distributed, even, and compactly supported on an interval J , with bounded probability density ρ . Moreover, function ρ is Lipschitz continuous:

$$|\rho(x) - \rho(y)| \leq K|x - y|$$

- The moments of ω_i satisfy

$$\mathbb{E}[\omega_i^{2m}] = \tilde{c}_{2m} \leq (2m)!c_v, \quad \tilde{c}_2 = 1, \quad \forall i \in \mathbb{Z}^3, m \in \mathbb{N}$$

Results

Let \hat{u} denotes the Fourier transform of u .

$$\hat{u}(p) = \sum_{n \in \mathbb{Z}^3} e^{-i2\pi p \cdot n} u(n), \quad p \in \mathbb{T}^3 = [-1/2, 1/2]^3$$

Spectral localization

$$E_0 = -2\lambda^2 \|\hat{u}\|_\infty^2 - 2\lambda^4 \|\hat{u}\|_\infty^4 \quad (1)$$

For any $\alpha > 0$ there exists $\lambda_0(\alpha)$ such that for all $\lambda < \lambda_0(\alpha)$ the spectrum of H_ω within the set $E < E_0 - \lambda^{4-\alpha}$ is almost surely of the pure-point type, and the corresponding eigenfunctions are exponentially localized.

Lemma 1

For any integer N and energies E that satisfy the condition of above theorem we have the decomposition

$$R(x, y) = \sum_{n=0}^{N-1} A_n(x, y) + \sum_{z \in \mathbb{Z}^3} \tilde{A}_N(x, z) R(z, y),$$

with $A_0(x, y) = R_r(x, y)$, and where the (real valued) kernels A_n, \tilde{A}_N satisfy bounds

$$\mathbb{E}|A_n(x, y)|^2 \leq (4n)! E^* \left(C(E^*) \frac{\lambda^2}{\sqrt{E^*}} \right)^n e^{-\delta|x-y|}, \quad n \geq 1;$$

$$\mathbb{E}|\tilde{A}_N(x, y)| \leq \sqrt{(4N)!} \left(C(E^*) \frac{\lambda^2}{\sqrt{E^*}} \right)^{N/2} e^{-\delta|x-y|/2}, \quad N > 1;$$

where $\delta := \sqrt{E_0 - E - E^*}/(\sqrt{6}\pi)$.

The zero order contribution A_0 satisfies

$$|A_0(x, y)| \leq 2 e^{-\frac{\delta}{3\sqrt{3}}|x-y|} \quad (2)$$

for all $x, y \in \mathbb{Z}^3$.

Proof of the theorem

Using above lemma, choosing $(4N)^4 = \frac{\sqrt{E^*}}{C(E^*)\lambda^2}$, we get a bound

$$\mathbb{E}|R(E + i\epsilon; x, k)| \leq C \left(e^{-\delta L/2} + \frac{e^{-N}}{\epsilon \delta} \right).$$

Hence we obtain

$$\begin{aligned} & \mathbb{E}|R_{\Lambda_{L,x}}(E + i\epsilon; x, w)| \\ & \leq \mathbb{E}|R(E + i\epsilon; x, w)| + \mathbb{E}|R_{\Lambda_{L,x}}(E + i\epsilon; x, w) - R(E + i\epsilon; x, w)| \\ & \leq C \frac{L^2}{\epsilon} \max_{\text{dist}(k, \partial\Lambda) \leq 1} \mathbb{E}|R(E + i\epsilon; x, k)| \\ & \leq C \frac{L^2}{\epsilon} \left[e^{-\delta L/2} + \frac{e^{-N}}{\epsilon \delta} \right]. \quad (3) \end{aligned}$$

Let $I = [E - \epsilon^{1/4}, E + \epsilon^{1/4}]$, and consider two events, the first one is $G_\omega(I) := \{\omega \in \Omega : \sigma(H_{\Lambda_{L,x}}) \cap I = \emptyset\}$, the other one is $\sigma(H_{\Lambda_{L,x}}) \cap I \neq \emptyset$. For the first part, since

$$|R_{\Lambda_{L,x}}(E + i\epsilon; x, w) - R_{\Lambda_{L,x}}(E; x, w)| \leq \epsilon^{1/2}.$$

Proof of the theorem

Pairing this bound with (3) and using Chebyshev's inequality

$$\begin{aligned} \text{Prob} \left\{ \omega \in G_\omega(I) : |R_{\Lambda_{L,x}}(E; x, w)| \geq C \frac{L^2}{\epsilon^{5/4}} \left[e^{-\delta L/2} + \frac{e^{-N}}{\epsilon \delta} \right] + \epsilon^{1/4} \right\} \\ \leq C \epsilon^{1/4}. \quad (4) \end{aligned}$$

The Wegner estimate implies that for the second event

$$\text{Prob} \{ \sigma(H_{\Lambda_{L,x}}) \cap I \neq \emptyset \} \leq C |I| |\Lambda_{L,x}|^2 D^{-3/2} = C \epsilon^{1/4} D^{-3/2} L^4. \quad (5)$$

Combining (4) and (5) we arrive at

$$\begin{aligned} \text{Prob} \left\{ |R_{\Lambda_{L,x}}(E; x, w)| \geq C \frac{L^2}{\epsilon^{4/3}} \left[e^{-\delta L/2} + \frac{e^{-N}}{\epsilon \delta} \right] + \epsilon^{1/4} \right\} \\ \leq C \epsilon^{1/4} D^{-3/2} L^4. \end{aligned}$$

Choose $E^* = \lambda^{4-\alpha}/2$, $L = \lambda^{-2}$ and $\epsilon = e^{-4\lambda^{-B'\alpha/2}}$ we get the following initial volume estimate

$$\text{Prob} \left\{ |R_{\Lambda_{\lambda^{-2},x}}(E; x, w)| \geq e^{-\lambda^{-B'\alpha/2}} \right\} \leq e^{-\lambda^{-B'\alpha/2}}. \quad (6)$$

Wegner's estimate

Let I be an open interval of energies such that

$$D := \text{dist}(I, \sigma(H_\omega^0)) > 0.$$

Then we have

$$\mathbb{E} \text{tr} P_I(H_\omega^{\Lambda, \lambda}) \leq C |I| |\Lambda|^2 D^{-3/2}, \quad (7)$$

where $H_\omega^{\Lambda, \lambda}$ denotes a natural restriction of H_ω^λ to $\Lambda \subset \mathbb{Z}^3$.

This Wegner's estimate may not be the optimal one, as in the δ potential case, where it is Λ instead of Λ^2 . But suffice for the proof of localization.

Proof of Wegner's estimate

Notice

$$\mathbb{E} F_\omega = \int F_\omega \prod_{i \in \Lambda} \rho(\omega_i) d\omega_i = \frac{1}{2\delta} \int_{1-\delta}^{1+\delta} v^{|\Lambda|} dv \int F_{v\hat{\omega}} \prod_{i \in \Lambda} \rho(v\hat{\omega}_i) d\hat{\omega}_i.$$

$$\begin{aligned} & \mathbb{E} \operatorname{tr} \operatorname{Im} \left(H_\omega^{\Lambda, \lambda} - E - i\eta \right)^{-1} \\ & \leq \frac{e}{2\delta} \int_{1-\delta}^{1+\delta} dv \int \frac{\eta}{v^2} \operatorname{tr} \left((v^{-1}A + V_{\hat{\omega}})^2 + (\eta/2)^2 \right)^{-1} \prod_{i \in \Lambda} \rho(v\hat{\omega}_i) d\hat{\omega}_i. \end{aligned}$$

where $A = \Delta_\Lambda - E$ is positive. Change variable $u = v^{-1}$, and factor out $A = A^{1/2} \cdot A^{1/2}$. We get

$$\begin{aligned} & \operatorname{Tr} \left((uA + V_{\hat{\omega}})^2 + (\eta/2)^2 \right)^{-1} \\ & \leq \|A^{-1}\| \operatorname{Tr} \left(E^* (u + A^{-1/2} V_{\hat{\omega}} A^{-1/2})^2 + \frac{\eta^2}{4\|A\|} \right)^{-1}. \quad (8) \end{aligned}$$

Integrate over u first and then $d\hat{\omega}_i$'s. We finally get

$$\mathbb{E} \operatorname{tr} P_I(H_\omega^{\Lambda, \lambda}) \leq C |I| |\Lambda|^2 (E^*)^{-3/2}.$$

Outline of the proof of Lemma 1

- Resolvent expansion near the self-energy, and the range of localization follows from the bound on the self-energy.
- Renormalization (cancellation of tadpoles).
- Extraction of exponential decay.
- Diagrammatic estimation on the resulting integral.

Resolvent expansion

Decompose H_ω^λ as

$$H_\omega^\lambda = H_r + \tilde{V}, \quad H_r := -\frac{1}{2}\Delta - \sigma(p, E + i\epsilon), \quad \tilde{V} := \lambda V_\omega + \sigma(p, E + i\epsilon),$$

Let $R_r := (H_r - E - i\epsilon)^{-1}$. We can expand R into resolvent series

$$R = \sum_{i=0}^n (-R_r \tilde{V})^i R_r + (-R_r \tilde{V})^{n+1} R. \quad (9)$$

Stop expansion term by term at order N . An order of a term is the number of appearances of σ and V_ω , where σ counts as 2. Thus $R_r \sigma R_r \lambda V_\omega R_r \sigma R$ has order 5. The following is the expansion for $N = 2$ following this stopping rule.

$$\begin{aligned} R &= R_r - R_r \sigma R - \{\lambda R_r V_\omega R\} = \\ &R_r - R_r \sigma R - \lambda R_r V_\omega R_r \\ &\quad + \lambda R_r V_\omega R_r \sigma R + \lambda^2 R_r V_\omega R_r V_\omega R, \end{aligned}$$

An example

The advantage of the above stopping rule is that all tadpoles will be cancelled. The following example illustrates this idea. Consider all the terms of order 4 in the expansion.

$$\begin{aligned} & \lambda^4 R_r V_\omega R_r V_\omega R_r V_\omega R_r V_\omega R_r, \quad -\lambda^2 R_r V_\omega R_r V_\omega R_r \sigma R_r, \\ & -\lambda^2 R_r V_\omega R_r \sigma R_r V_\omega R_r, \quad -\lambda^2 R_r \sigma R_r V_\omega R_r V_\omega R_r, \quad R_r \sigma R_r \sigma R_r \end{aligned}$$

The expectation of the product of random variables will give us some delta functions.

$$\begin{aligned} & \mathbb{E}[\omega(x_1)\omega(x_2)\omega(x_3)\omega(x_4)] \\ &= (1-\delta(x_1-x_3))\delta(x_1-x_2)\delta(x_3-x_4) + (1-\delta(x_1-x_2))\delta(x_1-x_3)\delta(x_2-x_4) \\ & \quad + (1-\delta(x_1-x_3))\delta(x_1-x_4)\delta(x_2-x_3) + \tilde{c}_4\delta(x_1-x_2)\delta(x_3-x_4)\delta(x_1-x_3) \\ &= \delta(x_1-x_2)\delta(x_3-x_4) + \delta(x_1-x_3)\delta(x_2-x_4) + \delta(x_1-x_4)\delta(x_2-x_3) \\ & \quad + (\tilde{c}_4 - 3)\delta(x_1-x_2)\delta(x_3-x_4)\delta(x_1-x_3) \end{aligned}$$

Set $c_4 = \tilde{c}_4 - 3$, notice $\sigma = \lambda^2 R_r(x, x)$

An example

$$\begin{aligned} & \mathbb{E}\langle \lambda^4 x R_r V_\omega R_r V_\omega R_r V_\omega R_r V_\omega R_r y \rangle \\ &= \sum_{x_1, x_2, x_3, x_4} \langle x R_r x_1 \rangle \langle x_1 R_r x_2 \rangle \langle x_2 R_r x_3 \rangle \langle x_3 R_r x_4 \rangle \langle x_4 R_r y \rangle \mathbb{E}[\omega_{x_1} \omega_{x_2} \omega_{x_3} \omega_{x_4}] \\ &= \sigma^2 \langle x R_r^3 y \rangle + \lambda^4 \sum_{x_1, x_2} \langle x R_r x_1 \rangle \langle x_1 R_r x_2 \rangle \langle x_2 R_r x_1 \rangle \langle x_1 R_r x_2 \rangle \langle x_2 R_r y \rangle \\ &+ \lambda^2 \sigma \sum_{x_1} \langle x R_r x_1 \rangle \langle x_1 R_r^2 x_1 \rangle \langle x_1 R_r y \rangle + c_4 \lambda^4 \sum_{x_1} \langle x R_r x_1 \rangle \langle x_1 R_r x_1 \rangle^3 \langle x_1 R_r x_1 \rangle \end{aligned}$$

The tadpoles are the first term and third terms. The first term is equal to $\mathbb{E}\langle x \lambda^2 R_r V_\omega R_r V_\omega R_r \sigma R_r y \rangle$, $\mathbb{E}\langle x \lambda^2 R_r \sigma R_r V_\omega R_r V_\omega R_r y \rangle$, and $\mathbb{E}\langle x R_r \sigma R_r \sigma R_r y \rangle$. The third term is equal to $\mathbb{E}\langle x \lambda^2 R_r V_\omega R_r \sigma R_r V_\omega R_r y \rangle$. So they cancel out exactly. This is the case when the single cite function is the delta function.

An example

When the single site potential is of the more general form

$$V_\omega(x) = \lambda \sum_{i \in \mathbb{Z}^d} q_i(\omega) u(x - i),$$

we represent it in its Fourier transform. Using

$$R_r(z, w) = \int e^{i2\pi(z-p)} \frac{d^3 p}{E(p)}, \quad \hat{V}_\omega(p) = \hat{u}(p) \hat{w}(p),$$

We get for $\mathbb{E} \langle \lambda^4 x R_r V_\omega R_r V_\omega R_r V_\omega R_r V_\omega R_r y \rangle$

$$\int_{(\mathbb{T}^3)^5} e^{2\pi i(p_1 x - p_5 y)} \prod_{i=1}^5 \frac{d^3 p_i}{E(p_i)} \prod_{i=1}^4 \hat{u}(p_i - p_{i+1}) \\ \mathbb{E} [\hat{w}(p_1 - p_2) \hat{w}(p_2 - p_3) \hat{w}(p_3 - p_4) \hat{w}(p_4 - p_5)]$$

and the renormalization process goes through.

General case

Some combinatorics will show the renormalization is true for general N . Without concerning too much details of the notation, we present the following identity.

$$\mathbb{E} \left[\prod_{j \in \Upsilon_{N,N}} \omega_{x_j} \right] = \sum_{m=1}^N \sum_{\pi = \{S_j\}_{j=1}^m} \prod_{j=1}^m c_{|S_j|} \delta(x_{S_j}),$$

where

$$\delta(x_S) = \sum_{y \in \mathbb{Z}^3} \prod_{j \in S} \delta_{|x_j - y|},$$

and $c_{2l} \leq (cl)^{2l+1}$, $c_2 = \mathbb{E} \omega_x^2 = 1$. If S_j in $\pi \in \Pi$ has form $S_j = \{i, i+1\}$, we refer to it as a tadpole. Then the following lemma is a result of the following identity

$$\sum_{k=0}^N (-1)^k \sum_{\substack{\pi \in \Pi: \\ \pi = \pi_k^c \cup \{S\}}} \mathbb{E} \left[\prod_{i \in S} \omega_{x_i} \right] \prod_{S_l \in \pi_k^c} \delta(x_{S_l}) = \sum_{\substack{\pi \in \Pi: \\ \pi = \pi_0}} \prod_{S_j \in \pi} c_{|S_j|} \delta(x_{S_j}).$$

Lemma 2

For A_l defined in Lemma 1, the function $\mathbb{E} |A_l(x, y)|^2$ is a function of the variable $x - y$. Let

$$\mathcal{A}_{l,E}(x - y) := \mathbb{E} |A_l(x, y)|^2,$$

then we have

$$\begin{aligned} \mathbb{E} |A_l(x, y)|^2 = & \lambda^{2l} \int_{(\mathbb{T}^3)^{2l+2}} e^{i\alpha} \frac{dp_{l+1}}{E(p_{l+1})} \frac{dp_{2l+2}}{E(p_{2l+2})} \prod_{j=1}^l \frac{dp_j}{E(p_j)} \prod_{j=l+2}^{2l+1} \frac{dp_j}{E^*(p_j)} \\ & \times \prod_{i \in \Upsilon_l} \hat{u}(p_j - p_{j+1}) \sum_{\substack{\pi \in \Pi_l: \\ \pi = \pi_0}} \prod_{S_k \in \pi} c_{|S_k|} \delta \left(\sum_{i \in S_k} p_i - p_{i+1} \right), \quad (10) \end{aligned}$$

Proof of the Lemma 1

We first want to establish the exponential decay of $\mathcal{A}_{l,E}(x-y)$ in $|x-y|$. We will show that for a general value of l ,

$$\mathcal{A}_{l,E}(x) \leq \|\hat{u}\|_{\infty, \mathcal{R}}^{2l} \cdot e^{-\sqrt{\delta/3}|x|} \hat{\mathcal{A}}_{l,E^*}(0), \quad (11)$$

where

$$\begin{aligned} \hat{\mathcal{A}}_{l,E^*}(0) := & \lambda^{2l} \int_{(\mathbb{T}^3)^{2l+2}} e^{i\alpha} \frac{dp_{l+1}}{e(p_{l+1}) + E^*} \frac{dp_{2l+2}}{e(p_{2l+2}) + E^*} \prod_{j \in \Upsilon_l} \frac{dp_j}{e(p_j) + E^*} \\ & \times \sum_{\substack{\pi \in \Pi_l: \\ \pi = \pi_0}} \prod_{S_k \in \pi} c_{|S_k|} \delta \left(\sum_{i \in S_k} p_i - p_{i+1} \right). \quad (12) \end{aligned}$$

The expression $\hat{\mathcal{A}}_{l,E^*}(0)$ has been studied in Elgart(2009) before and shown that

$$\hat{\mathcal{A}}_{l,E^*}(0) \leq (4l)! E^* \left(C \ln^9(E^*) \frac{\lambda^2}{\sqrt{E^*}} \right)^l. \quad (13)$$

Proof of the Lemma 1

Using the delta function introduced before and integrate over the tree momenta. Let $E(p) = e(p) - E - i\epsilon - \sigma(p, E + i\epsilon)$.

$$\begin{aligned} \mathcal{A}_{l,E}(x) &= \lambda^{2l} \sum_{\pi} c_{\pi} \int dw_1 e^{-i2\pi w_1 \cdot x} \prod_{i=1}^{r_{\pi}} \frac{1}{E^{\sharp}(w_1 + q_i)} \prod_{j=1}^{s_{\pi}} \hat{u}(w_1 + Q_j) \\ &\times \int e^{-i2\pi w_2 \cdot x} \prod_{t \in \Phi'} dw_t \prod_{i=r_{\pi}+1}^{2n+2} \frac{1}{E^{\sharp}(q_i)} \prod_{j=s_{\pi}+1}^{2n} \hat{u}(Q_j), \end{aligned}$$

where $E^{\sharp}(p)$ stands for either $E(p)$ or $E^*(p)$, Φ' is a set of indices of loop momentum that does not include w_1 , and q_i, Q_j are some linear combinations of the loop variables in Φ' . Note now that the integral with respect to w_1 becomes

$$\begin{aligned} &\int dw_1^{\perp} e^{-i2\pi(w_1 \cdot x - (w_1 \cdot e_{\gamma})x_{\gamma})} \times \\ &\int_{-1/2}^{1/2} d(w_1 \cdot e_{\gamma}) \prod_{i=1}^{r_{\pi}} \frac{1}{E^{\sharp}(w_1 + q_i)} e^{-i2\pi(w_1 \cdot e_{\gamma})x_{\gamma}} \prod_{j=1}^{s_{\pi}} \hat{u}(w_1 + Q_j) \end{aligned} \tag{14}$$

Proof of the Lemma 1

The exponential decay is established by extending the second part of (14) to complex coordinate. Let \mathcal{R} denote

$$\{ -1/2 \pm i\sqrt{\delta}; 1/2 \pm i\sqrt{\delta} \}.$$

This integral is periodic over vertical segments of \mathcal{R} and therefore

$$\begin{aligned} & \left| \int_{\mathbb{T}} d(w_1 \cdot e_\gamma) \prod_{i=1}^{r_\pi} \frac{1}{E^\sharp(w_1 + q_i)} e^{-i2\pi x_\gamma (w_1 \cdot e_\gamma)} \prod_{j=1}^{s_\pi} \hat{u}(w_1 + Q_j) \right| \\ &= \left| \int_{\mathbb{T} - i\sqrt{\delta}} d(w_1 \cdot e_\gamma) \prod_{i=1}^{r_\pi} \frac{1}{E^\sharp(w_1 + q_i)} e^{-i2\pi x_\gamma (w_1 \cdot e_\gamma)} \prod_{j=1}^{s_\pi} \hat{u}(w_1 + Q_j) \right| \\ &\leq \|\hat{u}\|_{\infty, E^*}^{s_\pi} \cdot e^{-|x|\sqrt{E^*/3}} \int_{\mathbb{T}} d(w_1 \cdot e_\gamma) \prod_{i=1}^{r_\pi} \frac{1}{e(w_1 + q_i) + E^*}, \end{aligned} \tag{15}$$

Now we have arrived at (11).

Properties of self-energy $\sigma(p, E)$

Recall the self energy term σ , associated with H_ω^λ , is given by the solution of the self-consistent equation

$$\sigma(p, E + i\epsilon) = \lambda^2 \int_{\mathbb{T}^3} d^3q \frac{|\hat{u}(p - q)|^2}{e(q) - E - i\epsilon - \sigma(q, E + i\epsilon)}. \quad (16)$$

We need existence, periodicity, and analyticity of the self energy operator $\sigma(p, E + i\epsilon)$. Consider space

$$L(\mathbb{T}^3) = \{f : \mathbb{T}^3 \rightarrow \mathbb{C} \mid \|f\|_\infty < \infty, f \text{ is real analytic}\}.$$

and define map $T_\epsilon : L(\mathbb{T}^3) \rightarrow L(\mathbb{T}^3)$ pointwise as

$$(T_\epsilon f)(p) = \lambda^2 \int_{\mathbb{T}^3} d^3q \frac{|\hat{u}(p - q)|^2}{e(q) - E - i\epsilon - f(q)}. \quad (17)$$

Then T_ϵ is a contraction on the ball $B_\beta(0)$ where $\beta = 2\lambda^2 \|\hat{u}\|_\infty^2$ for all p, ϵ and $E \leq E_0 = -2\lambda^2 \|\hat{u}\|_\infty^2 - 2\lambda^4 \|\hat{u}\|_\infty^4$.

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- Thank you**

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