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Radial extensions in fractional Sobolev spaces

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Abstract Given $f : \partial(-1, 1)^n \to \mathbb{R}$, consider its radial extension $Tf(X) := f(X/||X||_{\infty})$, $\forall X \in [-1, 1]^n \setminus \{0\}$. Brezis and Mironescu (RACSAM Rev. R. Acad. Cienc. Exactas Fís. Nat. Ser. A Mat. 95:121–143, 2001), stated the following auxiliary result (Lemma D.1). If $0 < s < 1, 1 < p < \infty$ and $n \ge 2$ are such that 1 < sp < n, then $f \mapsto Tf$ is a bounded linear operator from $W^{s,p}(\partial(-1, 1)^n)$ into $W^{s,p}((-1, 1)^n)$. The proof of this result contained a flaw detected by Shafrir. We present a correct proof. We also establish a variant of this result involving higher order derivatives and more general radial extension operators. More specifically, let *B* be the unit ball for the standard Euclidean norm $| | \text{ in } \mathbb{R}^n$, and set $U_a f(X) := |X|^a f(X/|X|), \forall X \in \overline{B} \setminus \{0\}, \forall f : \partial B \to \mathbb{R}$. Let $a \in \mathbb{R}$, $s > 0, 1 \le p < \infty$ and $n \ge 2$ be such that (s - a)p < n. Then $f \mapsto U_a f$ is a bounded linear operator from $W^{s,p}(\partial B)$ into $W^{s,p}(B)$.

Keywords Sobolev spaces · Fractional Sobolev spaces · Radial extensions

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In [1], the first two authors stated the following

Lemma 1 [1, Lemma D.1] *Let* 0 < s < 1, $1 and <math>n \ge 2$ be such that 1 < sp < n. *Let*

$$Q := (-1, 1)^n.$$
(1)

Set

$$Tf(X) := f(X/\|X\|_{\infty}), \quad \forall X \in \overline{Q} \setminus \{0\}, \quad \forall f : \partial Q \to \mathbb{R};$$
(2)

here, $\| \|_{\infty}$ is the sup norm in \mathbb{R}^n . Then $f \mapsto Tf$ is a bounded linear operator from $W^{s,p}(\partial Q)$ into $W^{s,p}(Q)$.

The argument presented in [1] does not imply the conclusion of Lemma 1. Indeed, it is established in [1] (see estimate (D.3) there) that

$$|Tf|_{W^{s,p}(Q)}^{p} \leq C \int_{\partial Q} \int_{\partial Q} \frac{|f(x) - f(y)|^{p}}{\|x - y\|_{\infty}^{n+sp}} d\sigma(x) d\sigma(y).$$

However, this does not imply the desired conclusion in Lemma 1, for which we need the stronger estimate

$$|Tf|_{W^{s,p}(Q)}^{p} \leq C \int_{\partial Q} \int_{\partial Q} \frac{|f(x) - f(y)|^{p}}{\|x - y\|_{\infty}^{n-1+sp}} d\sigma(x) d\sigma(y).$$

In what follows, we establish the following slight generalization of Lemma 1.

Lemma 2 Let $0 < s \le 1$, $1 \le p < \infty$ and $n \ge 2$ be such that sp < n. Let Q, T be as in (1), (2). Then $f \mapsto Tf$ is a bounded linear operator from $W^{s,p}(\partial Q)$ into $W^{s,p}(Q)$.

Lemma 2 can be generalized beyond one derivative, but for this purpose it is necessary to work on unit spheres arising from norms smoother that $\| \|_{\infty}$. We consider for example maps $f : \partial B \to \mathbb{R}$, with

$$B := \text{ the Euclidean unit ball in } \mathbb{R}^n.$$
(3)

For $a \in \mathbb{R}$, set

$$U_a f(X) := |X|^a f(X/|X|), \quad \forall X \in B \setminus \{0\}, \quad \forall f : \partial B \to \mathbb{R};$$
(4)

here, || is the standard Euclidean norm in \mathbb{R}^n .

We will prove the following

Lemma 3 Let $a \in \mathbb{R}$, s > 0, $1 \le p < \infty$ and $n \ge 2$ be such that (s - a)p < n. Then $f \mapsto U_a f$ is a bounded linear operator from $W^{s,p}(\partial B)$ into $W^{s,p}(B)$.

It is possible to establish directly Lemma 2 by adapting some arguments presented in Step 3 in the proof of Lemma 4.1 in [2]. However, we will derive it from Lemma 3.

Proof of Lemma 2 using Lemma 3 Let

$$\Phi: \mathbb{R}^n \to \mathbb{R}^n, \quad \Phi(X) := \begin{cases} \frac{|X|}{\|X\|_{\infty}} X, & \text{if } X \neq 0\\ 0, & \text{if } X = 0 \end{cases}, \quad \Lambda := \Phi_{|\overline{B}} \text{ and } \Psi := \Phi_{|\partial B}.$$

Clearly,

$$\Lambda: \overline{B} \to \overline{Q}, \ \Psi: \partial B \to \partial Q \text{ are bi-Lipschitz homeomorphisms}$$
(5)

and

$$Tf = [U_0(f \circ \Psi)] \circ \Lambda^{-1}.$$
(6)

Using (5) and the fact that $0 < s \le 1$, we find that

$$f \mapsto f \circ \Psi$$
 is a bounded linear operator from $W^{s,p}(\partial Q)$ into $W^{s,p}(\partial B)$ (7)

and

$$g \mapsto g \circ \Lambda^{-1}$$
 is a bounded linear operator from $W^{s,p}(B)$ into $W^{s,p}(Q)$. (8)

We obtain Lemma 2 from (6)–(8) and Lemma 3 (with a = 0). The same argument shows that the conclusion of Lemma 2 holds for the unit sphere and ball of any norm in \mathbb{R}^n .

Proof of Lemma 3 Consider a, s, p and n such that

$$a \in \mathbb{R}, s > 0, \quad 1 \le p < \infty, \quad n \ge 2 \text{ and } (s-a)p < n.$$
 (9)

Considering spherical coordinates on B, we obtain that

$$\|U_{a}f\|_{L^{p}(B)}^{p} = \int_{0}^{1} \int_{\partial B} r^{n-1} |U_{a}f(rx)|^{p} d\sigma(x) dr$$

$$= \int_{0}^{1} \int_{\partial B} r^{n-1+ap} |f(x)|^{p} d\sigma(x) dr$$

$$= \frac{1}{n+ap} \|f\|_{L^{p}(\partial B)}^{p}.$$
 (10)

Here, we have used the fact that, by (9), we have n + ap > n - (s - a)p > 0. In view of (10), it suffices to establish the estimate

$$|U_a f|_{W^{s,p}(B)}^p \le C ||f||_{W^{s,p}(\partial B)}^p, \quad \forall f \in W^{s,p}(\partial B),$$
(11)

for some appropriate $C = C_{a,s,p,n}$ and semi-norm $||_{W^{s,p}}$ on $W^{s,p}(B)$. Step 1. Proof of (11) when 0 < s < 1. We consider the standard Gagliardo semi-norm on $W^{s,p}(B)$. We have

$$\begin{split} |U_a f|_{W^{s,p}(B)}^p &= \int_B \int_B \frac{|U_a f(X) - U_a f(Y)|^p}{|X - Y|^{n+sp}} \, dX dY \\ &= \int_0^1 \int_0^1 \int_{\partial B} \int_{\partial B} r^{n-1} \rho^{n-1} \frac{|U_a f(r \, x) - U_a f(\rho \, y)|^p}{|r \, x - \rho \, y|^{n+sp}} \, d\sigma(x) d\sigma(y) dr d\rho \\ &= \int_0^1 \int_0^1 \int_{\partial B} \int_{\partial B} r^{n-1} \rho^{n-1} \frac{|r^a f(x) - \rho^a f(y)|^p}{|r \, x - \rho \, y|^{n+sp}} \, d\sigma(x) d\sigma(y) dr d\rho \\ &= 2 \int_{\partial B} \int_{\partial B} \int_0^1 \int_0^r r^{n-1} \rho^{n-1} \frac{|r^a f(x) - \rho^a f(y)|^p}{|r \, x - \rho \, y|^{n+sp}} \, d\rho dr d\sigma(x) d\sigma(y). \end{split}$$

With the change of variable $\rho = t r, t \in [0, 1]$, we find that

$$\begin{aligned} |U_a f|_{W^{s,p}(B)}^p &= 2 \int_0^1 r^{n-(s-a)p-1} \, dr \int_{\partial B} \int_{\partial B} \int_0^1 t^{n-1} \frac{|f(x) - t^a f(y)|^p}{|x - t y|^{n+sp}} \, dt d\sigma(x) d\sigma(y) \\ &= \frac{2}{n - (s-a)p} \int_{\partial B} \int_{\partial B} \int_0^1 k(x, y, t) \, dt d\sigma(x) d\sigma(y), \end{aligned}$$

with

$$k(x, y, t) := t^{n-1} \, \frac{|f(x) - t^a \, f(y)|^p}{|x - t \, y|^{n+sp}}, \quad \forall x, \, y \in \partial B, \, \forall t \in [0, 1].$$

In order to complete this step, it thus suffices to establish the estimates

$$I_1 := \int_{\partial B} \int_{\partial B} \int_0^{1/2} k(x, y, t) \, dt d\sigma(x) d\sigma(y) \le C \|f\|_{L^p(\partial B)}^p, \tag{12}$$

$$I_{2} := \int_{\partial B} \int_{\partial B} \int_{1/2}^{1} \frac{|f(x) - f(y)|^{p}}{|x - t|y|^{n + sp}} dt d\sigma(x) d\sigma(y) \le C |f|^{p}_{W^{s, p}(\partial B)},$$
(13)

$$I_{3} := \int_{\partial B} \int_{\partial B} \int_{1/2}^{1} \frac{|(1 - t^{a}) f(y)|^{p}}{|x - t y|^{n + sp}} dt d\sigma(x) d\sigma(y) \le C \|f\|_{L^{p}(\partial B)}^{p};$$
(14)

here, $||_{W^{s,p}(\partial B)}$ is the standard Gagliardo semi-norm on ∂B .

In the above and in what follows, C denotes a generic finite positive constant independent of f, whose value may change with different occurrences.

Using the obvious inequalities

$$|x - t y| \ge 1 - t \ge 1/2, \quad \forall x, y \in \partial B, \ \forall t \in [0, 1/2],$$
$$|f(x) - t^a f(y)| \le (1 + t^a) \left(|f(x)| + |f(y)|\right),$$

and the fact that, by (9), we have n + ap > 0, we find that

$$I_1 \le C \int_0^{1/2} (t^{n-1} + t^{n-1+ap}) dt \, \|f\|_{L^p(\partial B)}^p \le C \|f\|_{L^p(\partial B)}^p,$$

so that (12) holds.

In order to obtain (13), it suffices to establish the estimate

$$\int_{1/2}^{1} \frac{1}{|x - t y|^{n + sp}} dt \le \frac{C}{|x - y|^{n - 1 + sp}}, \quad \forall x, y \in \partial B.$$
(15)

Set $A := \langle x, y \rangle \in [-1, 1]$. If $A \le 0$, then $|x - ty| \ge 1$, $\forall t \in [1/2, 1]$, and then (15) is clear. Assuming $A \ge 0$ we find, using the change of variable $t = A + (1 - A^2)^{1/2} \tau$,

$$\begin{split} \int_{1/2}^{1} \frac{1}{|x - t y|^{n + sp}} \, dt &\leq \int_{\mathbb{R}} \frac{1}{|x - t y|^{n + sp}} \, dt \\ &= \int_{\mathbb{R}} \frac{1}{(t^2 + 1 - 2A t)^{(n + sp)/2}} \, dt \\ &= \frac{1}{(1 - A^2)^{(n - 1 + sp)/2}} \int_{\mathbb{R}} \frac{1}{(\tau^2 + 1)^{(n + sp)/2}} \, d\tau \\ &= \frac{C}{(1 - A^2)^{(n - 1 + sp)/2}} \leq \frac{C}{(2 - 2A)^{(n - 1 + sp)/2}} \\ &= \frac{C}{|x - y|^{n - 1 + sp}}, \end{split}$$

and thus (15) holds again. This completes the proof of (13).

In order to prove (14), we note that

$$|1 - t^{a}|^{p} \le C(1 - t)^{p}, \quad \forall t \in [1/2, 1],$$

and that the integral

$$J := \int_{1/2}^1 \int_{\partial B} \frac{(1-t)^p}{|x-t|^{n+sp}} \, d\sigma(x) dt$$

does not depend on $y \in \partial B$.

By the above, we have

$$I_{3} \leq C \int_{1/2}^{1} \int_{\partial B} \int_{\partial B} \frac{(1-t)^{p} |f(y)|^{p}}{|x-t|y|^{n+sp}} d\sigma(x) d\sigma(y) dt$$

= $C J ||f||_{L^{p}(\partial B)}^{p}$,

and thus (14) amounts to proving that $J < \infty$. Since J does not depend on y, we may assume that y = (0, ..., 0, 1). Expressing J in spherical coordinates and using the change of variable $t = 1 - \tau$, $\tau \in [0, 1/2]$, we find that

$$J = C \int_{1/2}^{1} \int_{0}^{\pi} \frac{\tau^{p} \sin^{n-1} \theta}{(\tau^{2} + 4(1-\tau) \sin^{2} \theta/2)^{(n+sp)/2}} \, d\theta d\tau.$$

When $\tau \in [0, 1/2]$ and $\theta \in [0, \pi]$, we have

$$\frac{\tau^p \sin^{n-1}\theta}{(\tau^2 + 4(1-\tau)\sin^2\theta/2)^{(n+sp)/2}} \le C \frac{\tau^p \sin^{n-1}\theta}{(\tau + \sin\theta/2)^{n+sp}}$$
$$\le C \frac{\tau^p \sin^{n-1}\theta/2 \cos\theta/2}{(\tau + \sin\theta/2)^{n+sp}}$$
$$\le C(\tau + \sin\theta/2)^{p-sp-1} \cos\theta/2.$$

Inserting the last inequality into the formula of J, we find that

$$J \le C \int_0^{1/2} \int_0^{\pi} (\tau + \sin \theta / 2)^{p - sp - 1} \cos \theta / 2 \, d\theta d\tau$$

= $C \int_0^{1/2} \int_0^1 (\tau + \xi)^{p - sp - 1} \, d\xi d\tau < \infty,$

the latter inequality following from p - sp > 0. This completes the proof of (14) and Step 1.

Step 2. Proof of (11) when $s \ge 1$. We will reduce the case $s \ge 1$ to the case $0 \le s < 1$. Using the linearity of $f \mapsto U_a f$ and a partition of unity, we may assume with no loss of generality that supp f is contained in a spherical cap of the form $\{x \in \partial B; |x - \mathbf{e}| < \varepsilon\}$ for some $\mathbf{e} \in \partial B$ and sufficiently small ε . We may further assume that $\mathbf{e} = (0, 0, \dots, 0, 1)$, and thus

$$f \in W^{s,p}(\partial B; \mathbb{R}), \quad \text{supp} \ f \subset \mathcal{E} := \{ x \in \partial B; \ |x - (0, 0, \dots, 0, 1)| < \varepsilon \}.$$
(16)

Let

$$\mathcal{S} := \{ x \in \partial B; |x - (0, 0, \dots, 0, 1)| \le 2\varepsilon \} \text{ and } \mathcal{H} := \mathbb{R}^{n-1} \times \{1\}.$$

Consider the projection Θ with vertex 0 of

$$\mathbb{R}^{n}_{+} := \{ X = (X', X_{n}) \in \mathbb{R}^{n-1} \times \mathbb{R}; X_{n} > 0 \}$$

onto \mathcal{H} , given by the formula $\Theta(X', X_n) = (X'/X_n, 1)$. The restriction Π of Θ to S maps S onto $\mathcal{N} := \mathcal{B} \times \{1\}$, with

$$\mathcal{B} := \{ X' \in \mathbb{R}^{n-1}; \ |X'| \le r := 2\varepsilon \sqrt{1 - \varepsilon^2} / (1 - 2\varepsilon^2) \},\$$

and is a smooth diffeomorphism between these two sets. We choose ε such that r = 1/2, and thus $\mathcal{B} \subset \{X' \in \mathbb{R}^{n-1}; \|X'\|_{\infty} \le 1/2\}.$

Set

$$g(X') := \begin{cases} |(X', 1)|^a f(\Pi^{-1}(X', 1)), & \text{if } X' \in \mathcal{B} \\ 0, & \text{otherwise} \end{cases}.$$
 (17)

By the above, there exist C, C' > 0 such that for every $f \in W^{s,p}(\partial B)$ satisfying (16), the function g defined in (17) satisfies

$$C \|g\|_{W^{s,p}(\mathbb{R}^{n-1})} \le \|f\|_{W^{s,p}(\partial B)} \le C' \|g\|_{W^{s,p}(\mathbb{R}^{n-1})}.$$
(18)

On the other hand, set $C := \{(t Y', t); Y' \in \mathcal{B}, t > 0\}$ and

$$V_a g(X', X_n) := \begin{cases} (X_n)^a g(X'/X_n), & \text{if } (X', X_n) \in \mathcal{C} \\ 0, & \text{otherwise} \end{cases}$$

Then we have $U_a f(X', X_n) = V_a g(X', X_n), \forall (X', X_n) \in \overline{B} \setminus \{0\}.$

Write now $s = m + \sigma$, with $m \in \mathbb{N}$ and $0 \le \sigma < 1$. When s = m, we consider, on $W^{s, p}(B)$, the semi-norm

$$|F|_{W^{s,p}(B)}^{p} = \sum_{\substack{\alpha \in \mathbb{N}^{n} \setminus \{0\} \\ |\alpha| \le m}} \|\partial^{\alpha} F\|_{L^{p}(B)}^{p}.$$
(19)

When s is not an integer, we consider the semi-norm

$$|F|_{W^{s,p}(B)}^{p} = \sum_{\substack{\alpha \in \mathbb{N}^{n} \setminus \{0\}\\ |\alpha| \le m}} \|\partial^{\alpha} F\|_{L^{p}(B)}^{p} + \sum_{\substack{\alpha \in \mathbb{N}^{n}\\ |\alpha| = m}} |\partial^{\alpha} F|_{W^{\sigma,p}(B)}^{p}$$
(20)

(the semi-norm on $W^{\sigma, p}(B)$ is the standard Gagliardo one.)

By the above discussion, in order to obtain (11) it suffices to establish the estimate

$$|V_ag|_{W^{s,p}(B)}^p \le C \|g\|_{W^{s,p}(\mathbb{R}^{n-1})}^p, \quad \forall g \in W^{s,p}(\mathbb{R}^{n-1}) \text{ with supp } g \subset \mathcal{B}.$$
 (21)

Let $\alpha \in \mathbb{N}^n \setminus \{0\}$ be such that $|\alpha| \le m$. By a straightforward induction on $|\alpha|$, the distributional derivative $\partial^{\alpha}[V_a g]$ satisfies

$$\partial^{\alpha}[V_{a}g](X', X_{n}) = \sum_{|\beta'| \le |\alpha|} V_{a-|\alpha|}[P_{\alpha,\beta'} \,\partial^{\beta'}g](X', X_{n}) \quad \text{in } \mathcal{D}'(B \setminus \{0\}), \tag{22}$$

for some appropriate polynomials $P_{\alpha,\beta'}(Y')$, $Y' \in \mathbb{R}^{n-1}$, depending only on $a \in \mathbb{R}$, $\alpha \in \mathbb{N}^n$ and $\beta' \in \mathbb{N}^{n-1}$.

Thanks to the fact that $g(X'/X_n) = 0$ when $(X', X_n) \notin C$, we find that for any such α we have

$$\int_{B} |\partial^{\alpha} [V_{a}g]|^{p} dx \leq C \sum_{|\beta'| \leq |\alpha|} \int_{\mathcal{C} \cap \mathcal{Q}} (X_{n})^{(a-|\alpha|)p} |\partial^{\beta'}g(X'/X_{n})|^{p} dX' dX_{n}$$

$$= \frac{C}{n + (a-|\alpha|)p} \sum_{|\beta'| \leq |\alpha|} \int_{\mathcal{B}} |\partial^{\beta'}g(Y')|^{p} dY'.$$
(23)

Here, we rely on

$$\int_0^1 (X_n)^{n-1+(a-|\alpha|)p} \, dX_n = \frac{1}{n+(a-|\alpha|)p} < \infty,$$

thanks to the assumption (9), which implies that $(|\alpha| - a)p < n$.

Using (23), the fact that $V_{ag} \in W_{loc}^{m,p}(B \setminus \{0\})$ and the assumption that $n \ge 2$, we find that the equality (22) holds also in $\mathcal{D}'(B)$, that $V_{ag} \in W^{m,p}(B)$ and that

$$\|V_ag\|_{W^{m,p}(B)}^p \le C \|g\|_{W^{m,p}(\mathbb{R}^{n-1})}^p, \quad \forall g \in W^{m,p}(\mathbb{R}^{n-1}) \text{ with supp } g \subset \mathcal{B}.$$
(24)

In particular, Eq. (21) holds when *s* is an integer.

Assume next that s is not an integer. In view of (18), (22) and (24), estimate (21) will be a consequence of

$$|V_{b}[Ph]|_{W^{\sigma,p}(B)}^{p} \leq C \|h\|_{W^{\sigma,p}(\mathbb{R}^{n-1})}^{p}, \quad \forall h \in W^{\sigma,p}(\mathbb{R}^{n-1})$$

with supp $h \subset \mathcal{B}$, (25)

under the assumptions

 $0 < \sigma < 1, \quad 1 \le p < \infty, \quad n \ge 2, \quad (\sigma - b)p < n$ (26)

and

$$P \in C^{\infty}(\mathbb{R}^{n-1}).$$
⁽²⁷⁾

(Estimate (25) is applied with b := a - m, $P := P_{\alpha,\beta'}$ and $h := \partial^{\beta'}g$.)

In turn, estimate (25) follows from Step 1. Indeed, consider $k : \partial B \to \mathbb{R}$ such that supp $k \subset \mathcal{B}$ and $U_b k = V_b[Ph]$. (The explicit formula of k can be obtained by "inverting" the formula (17).) By Step 1 and (18), we have

$$\begin{aligned} |V_b[Ph]|_{W^{s,p}(B)}^p &= |U_b k|_{W^{s,p}(B)}^p \le C \|k\|_{W^{s,p}(\partial B)}^p \le C \|Ph\|_{W^{s,p}(\mathbb{R}^{n-1})}^p \\ &\le C \|h\|_{W^{s,p}(\mathbb{R}^{n-1})}^p. \end{aligned}$$

This completes Step 2 and the proof of Lemma 3.

Finally, we note that the assumptions of Lemma 3 are optimal in order to obtain that $U_a f \in W^{s,p}(B)$.

Lemma 4 Let $a \in \mathbb{R}$, s > 0, $1 \le p < \infty$ and $n \ge 2$. Assume that for some measurable function $f : \partial B \to \mathbb{R}$ we have $U_a f \in W^{s,p}(B)$. Then:

- 1. $f \in W^{s,p}(\partial B)$.
- 2. If, in addition, $U_a f$ is not a polynomial, we deduce that (s a)p < n.

Proof 1. Let $G: (1/2, 1) \times \partial B \to \mathbb{R}$, $G(r, x) := r^{-a} U_a f(r x)$. If $U_a f \in W^{s, p}(B)$, then $G \in W^{s, p}((1/2, 1) \times \partial B)$. In particular, we have $G(r, \cdot) \in W^{s, p}(\partial B)$ for a.e. r. Noting that G(r, x) = f(x), we find that $f \in W^{s, p}(\partial B)$.

2. Let

$$\Omega_j := \{ X \in \mathbb{R}^n; \ 2^{-j-1} < |X| < 2^{-j} \}, \quad j \in \mathbb{N}.$$

We consider on each Ω_j a semi-norm as in (19), (20). Assuming that $U_a f$ is not a polynomial, we have $|U_a f|_{W^{s,p}(\Omega_0)} > 0$. By scaling and the homogeneity of $U_a f$, we have

$$|U_a f|_{W^{s,p}(\Omega_j)}^p = 2^{j[(s-a)p-n]} |U_a f|_{W^{s,p}(\Omega_0)}^p.$$

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Assuming that $U_a f \in W^{s,p}(B)$, we find that

$$\infty > |U_a f|_{W^{s,p}(B)}^p \ge \sum_{j \ge 0} |U_a f|_{W^{s,p}(\Omega_j)}^p = \sum_{j \ge 0} 2^{j[(s-a)p-n]} |U_a f|_{W^{s,p}(\Omega_0)}^p > 0,$$

at $(s-a)p < n$.

so that (s - a)p < n.

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