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# From Fractal Weyl Laws to spectral questions on sparse directed graphs

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# Wave scattering and decay

Wave scattering problem: wave equation  $(\partial_t^2 - \Delta_\Omega)u = 0$  outside a set of obstacles,  $\Omega = \mathbb{R}^d \setminus 0$ .

• Long time behaviour of  $u(t)? \sim$  consider the "spectrum" of the Laplacian  $-\Delta_{\Omega}$  on  $L^2$ .

Continuous real spectrum, but complex-valued resonances govern the long time evolution:

inside 
$$B(0,R)$$
,  $u(t) = \sum_{\text{Im }\lambda_j > -A} e^{-it\lambda_j} \langle v_j, \partial_t u(0) \rangle v_j + \mathcal{O}(e^{-At}), \quad t \to \infty.$ 



## High frequency resonances. Quantum open chaos



High frequency waves: need to understand the distribution of resonances in the regime  $\operatorname{Re} \lambda_j \gg 1$ .

- Counting resonances:  $\mathcal{N}(\Lambda, \gamma) \sim ?$  when  $\Lambda \gg 1?$
- Is there a resonance gap  $\operatorname{Im} \lambda_j \leq -\alpha$ ?

High frequency  $\implies$  ray dynamics. Long times  $\rightarrow$  trapped rays are crucial.



For  $n \geq 3$  convex obstacles, the trapped rays form a *fractal chaotic repeller*.

[SJÖSTRAND'90, ZWORSKI'99] conjecture a fractal Weyl law

$$\mathcal{N}(\Lambda,\gamma)\sim C\Lambda^{\nu},$$

with  $\nu > 0$  related with the dimension of the trapped set. They proved the upper bound.

#### A chaotic toy model: the open baker's map

Difficult to compute the resonances of  $-\Delta_{\Omega}$  numerically at high frequency.  $\implies$  construct toy models: discrete-time dynamics



An example of chaotic map: the **open baker's map** on  $\mathbb{T}^2 \ni (q, p)$ :

$$(q,p) \mapsto B(q,p) = \begin{cases} (3q \mod 1, \frac{1}{3}(p+[3q])), & q \in [0,1/3) \cup [2/3,1) \\ \infty & \text{(hole)}, & q \in [1/3,2/3) \end{cases}$$

In base 3:  $(p,q) \equiv \ldots \epsilon'_2 \epsilon'_1 \bullet \epsilon_1 \epsilon_2 \ldots \mapsto \ldots \epsilon'_2 \epsilon'_1 \epsilon_1 \bullet \epsilon_2 \epsilon_3 \ldots$  if  $\epsilon_1 \in \{0,2\}$ .



(each color: points escaping at a given time).

Trapped set:  $\Gamma_{-} = \{(p,q), B^{n}(p,q) \text{ exists for all } n \geq 1\}$  $= \{\ldots \epsilon'_2 \epsilon'_1 \bullet \epsilon_1 \epsilon_2 \ldots, \epsilon_k \neq 1\}$  $\Gamma_{-} = [0,1] \times Can$ , with  $\nu = \dim(Can) = \frac{\log 2}{\log 3}$ . (ロ) (同) (三) (三) (三) (三) (○) (○)

## Quantum open baker

One can set up a quantum mechanics associated with the *phase space*  $\mathbb{T}^2$ : to each  $N \in \mathbb{N}^*$  the quantum space  $\mathcal{H}_N \equiv \mathbb{C}^N$  is generated by the basis of *position states*  $\{\mathbf{q}_0, \ldots, \mathbf{q}_{N-1}\}$  localized at positions  $q_j = \frac{j}{N}$  connected with *momentum states*  $\{\mathbf{p}_0, \ldots, \mathbf{p}_{N-1}\}$  through the discrete Fourier transform:

$$p_k = F_N^* q_k = \sum_{j=0}^{N-1} (F_N^*)_{jk} q_j, \qquad (F_N)_{kj} = \frac{\mathrm{e}^{-2i\pi \frac{jk}{N}}}{\sqrt{N}}$$

The open map  $B : \mathbb{T}^2 \to \mathbb{T}^2$  can be quantized (when 3|N) into a subunitary matrix  $M_N : \mathcal{H}_N \to \mathcal{H}_N$  [BALAZS-VOROS'89]:

$$B_N = F_N^* \begin{pmatrix} F_{N/3} & & \\ & 0 & \\ & & F_{N/3} \end{pmatrix}$$

Like in the classical map, the central position states  $\{1/3 \le q_j < 2/3\}$  are killed by  $B_N$ .



3N = 27

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# Spectrum of the open baker

We expect the eigenvalues  $(z_{j,N})_{j=1,...,N}$  of  $B_N$  to have a similar distribution as the resonances of the Laplacian.

Large-N regime  $\iff$  High-frequency regime.



$$\{z_{j,N}\} \iff \{e^{-i\lambda_k}, \operatorname{Re}\lambda_k \approx N\}$$

Although  $rank(B_N) = 2N/3$ , we observe that most of the eigenvalues are very small.

We count eigenvalues in annuli  $\{1 \ge |z| \ge r\}$ :

 $\mathcal{N}(N,r) = \#\{|z_{j,N}| \ge r\}.$ 

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Do we have  $\mathcal{N}(N,r) \sim C(r)N^{\nu}$  as  $N \rightarrow \infty$ ? (Fractal Weyl Law)

## Fractal Weyl law for the open baker

We know the fractal dimension of the trapped set:  $\nu = \frac{\log 2}{\log 3}$ . Left: plot of  $\mathcal{N}(N, r)$  as function of r, for several N. Right: plot of  $\mathcal{N}(N, r)/N^{\nu}$ .



A FWL has been numerically observed on various quantized chaotic maps [SCHOMERUS-TWORZYDŁO'04,N-ZWORSKI'05, N-RUBIN'07, SHEPELYANSKY'08, KOPP-SCHOMERUS'10].

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## A toy model of the toy model

#### Even for a simple matrix like $B_N$ , we have no proof of the FWL. (Only the upper bound could be proved, for a "smoothed" map.)



•  $(B_N)_{jk}$  is concentrated around the "lines" discretizing the graph of  $q \mapsto 3q \mod 1$  on  $[0, 1/3) \cup [2/3, 1)$ .

 $\implies$  Toy<sup>2</sup> model: replace  $B_N$  by its skeleton matrix  $S_N$ , keeping only the values along the "lines"  $\{j = 3k + \epsilon, \epsilon = 0, 1, 2\}$  [N-ZWORSKI'05].

#### Explicit spectrum of $S_{3K}$

 $\oplus$  For dimensions  $N = 3^K$ , the spectrum of the matrix  $S_N$  can be computed explicitly thanks to a tensor product decomposition.

$$S_{9} = \frac{1}{\sqrt{3}} \begin{pmatrix} 1 & 0 & 0 & 0 & 0 & 0 & 1 & 0 & 0 \\ 1 & 0 & 0 & 0 & 0 & 0 & \omega^{2} & 0 & 0 \\ 1 & 0 & 0 & 0 & 0 & 0 & \omega & 0 & 0 \\ 0 & 1 & 0 & 0 & 0 & 0 & 0 & 1 & 0 \\ 0 & 1 & 0 & 0 & 0 & 0 & 0 & \omega^{2} & 0 \\ 0 & 1 & 0 & 0 & 0 & 0 & 0 & \omega & 0 \\ 0 & 0 & 1 & 0 & 0 & 0 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 & 0 & 0 & 0 & 0 & \omega^{2} \\ 0 & 0 & 1 & 0 & 0 & 0 & 0 & 0 & \omega^{2} \\ 0 & 0 & 1 & 0 & 0 & 0 & 0 & 0 & \omega \end{pmatrix}, \ \omega = e^{2\pi i/3} \,.$$

In base 3,  $j \in \{0, \dots, N-1\}$  is written as  $j \equiv \epsilon_1 \epsilon_2 \cdots \epsilon_K$ , with  $\epsilon_i \in \{0, 1, 2\}$ .  $\mathbf{q}_j \in \mathbb{C}^N$  is represented by  $e_{\epsilon_1} \otimes e_{\epsilon_2} \otimes \cdots \otimes e_{\epsilon_K} \in (\mathbb{C}^3)^{\otimes K}$ 

 $S_N$  acts nicely on this tensor product structure:

$$S_N(v_1 \otimes v_2 \otimes \cdots v_K) = v_2 \otimes v_3 \cdots v_K \otimes \Omega_3 v_1, \text{ with } \Omega_3 = \frac{1}{\sqrt{3}} \begin{pmatrix} 1 & 0 & 1\\ 1 & 0 & \omega^2\\ 1 & 0 & \omega \end{pmatrix}$$

 $\implies (S_N)^K v_1 \otimes v_2 \otimes \cdots \otimes v_K = \Omega_3 v_1 \otimes \Omega_3 v_2 \otimes \cdots \otimes \Omega_3 v_K.$ 

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#### Spectrum of $S_{3K}$

$$(S_N)^K = (\Omega_3)^{\otimes K}, \qquad \Omega_3 = \frac{1}{\sqrt{3}} \begin{pmatrix} 1 & 0 & 1\\ 1 & 0 & \omega^2\\ 1 & 0 & \omega \end{pmatrix}$$
  
Spec $(\Omega_3) = \{0, \lambda_-, \lambda_+\} \Longrightarrow$  Spec $(S_N) = \{\lambda_+^{\ell/K} \lambda_-^{1-\ell/K} e^{2i\pi n/K}\} \cup \{0\}.$ 

 Large multiplicities, eigenvalues asymptotically concentrate near a circle.

Since rank  $\Omega_3 = 2$ , the nontrivial spectrum of  $S_N$  has dimension  $2^K = N^{\log 2/\log 3}$  $\implies S_{3^K}$  satisfies a **fractal Weyl law**.

 $\oplus$  First rigorous example of fractal Weyl law. [N.-Zworski'05]

 $\ominus$  The spectrum is very regular, strongly depends on  $\text{Spec}(\Omega_3)$ . For some modified versions of  $S_N$ , the corresponding  $\Omega_3$  may accidentally have a larger kernel (rank  $\Omega_3 = 1 \implies \text{rank } S_N = 1$ ).

What can we learn from the sole topology of the skeleton  $S_N$ ?

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#### Deriving the FWL from the topology of $S_N$

The topology of  $S_N$  is represented by a matrix  $A_N$ .

$$A_{9} = \begin{pmatrix} 1 & 0 & 0 & 0 & 0 & 0 & 1 & 0 & 0 \\ 1 & 0 & 0 & 0 & 0 & 0 & 1 & 0 & 0 \\ 1 & 0 & 0 & 0 & 0 & 0 & 1 & 0 & 0 \\ 0 & 1 & 0 & 0 & 0 & 0 & 0 & 1 & 0 \\ 0 & 1 & 0 & 0 & 0 & 0 & 0 & 1 & 0 \\ 0 & 1 & 0 & 0 & 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 1 & 0 & 0 & 0 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 & 0 & 0 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 & 0 & 0 & 0 & 0 & 1 \end{pmatrix}$$

For  $N = 3^K$ , the tensor product structure shows that  $(A_N)^K = |\Omega_3|^{\otimes K}$ , with  $|\Omega_3| = \begin{pmatrix} 1 & 0 & 1 \\ 1 & 0 & 1 \\ 1 & 0 & 1 \end{pmatrix}$ .

 $\implies$  all columns indexed by  $j \equiv \epsilon_1 \cdots \epsilon_K$  with some  $\epsilon_\ell = 1$  are null.  $(A_N)^K$  has exactly  $3^K - 2^K$  null columns  $\implies \dim(\operatorname{gker}(S_N)) \ge 3^K - 2^K$ .

• topological property: applies to  $S_N$  as well.

We may view  $A_N$  as the adjacency matrix of a directed graph  $G_N$  with  $V = \{j \in \{0..., N-1\}\}$  and  $E = \{(kj), A_{jk} = 1\}$ .

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# $A_N$ as a directed graph



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#### $A_N$ as a directed graph



Yellow vertices have no image; red vertices have for only images the yellow ones. The remaining vertices belong to the same strongly connected component (s.c.c.). They are the non-null columns of  $(A_9)^2$ .

<u>Def</u>:  $H \subset G$  is strongly connected iff for all pair  $v, w \in H$ , there is a path  $v \to w$  and a path  $w \to v$ , and H is maximal.

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<u>Fact</u>: if we contract each s.c.c. to a point, the *reduced graph*  $\tilde{G}$  we obtain is *acyclic*. One can *order* its vertices such that  $\tilde{v} < \tilde{w}$  if  $\tilde{v}\tilde{w} \in \tilde{E}$ .

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#### Ordered reduced graph $\equiv$ Jordan structure

If we *permute* the indices of the reduced graph  $G_N$  according to this order, the (reduced) adjacency matrix becomes lower triangular, with the nonzero diagonal elements representing the s.c.c.



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Restoring the s.c.c., we obtain for  $A(G_N)$  a **block-lower triangular matrix**, where each diagonal block represents a s.c.c.

The same permutation P applies to  $S_N$ .

 $\implies$  the nontrivial spectrum of  $S_N$  is given by the spectrum of the diagonal block (= spectrum of the s.c.c.).

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#### The strongly connected component of $S_{3K}$

$$\begin{array}{c} 2 \\ \hline \\ 0 \\ \hline \\ 8 \\ \hline \\ \end{array} \qquad A_9^{scc} = \frac{2}{6} \begin{pmatrix} 1 & 1 & 1 \\ 1 & 1 & 1 \\ 1 & 1 & 1 \\ 1 & 1 \\ \end{array} \end{pmatrix}, S_9^{scc} = \frac{1}{\sqrt{3}} \begin{pmatrix} 1 & 1 & 1 \\ 1 & \omega & 1 \\ 1 & 0 \\ 1 & 1 \\ 1 & \omega \end{pmatrix}$$

The only s.c.c. in  $G_9$  is the *De Bruijn graph*  $D_B(2,2)$  (alphabet of 2 symbols, words of length 2): we recover the rule  $\epsilon_1 \epsilon_2 \rightarrow \epsilon_2 \epsilon_3$ , with  $\epsilon_i \in \{0,2\}$ .

- Similar structure for  $N = 3^K$ :  $G_N$  has a unique s.c.c.,  $D_B(2, K)$ .
- Nontrivial spectrum depends on  $\{\lambda_{-}, \lambda_{+}\}$ , eigenvalues of  $\tilde{\Omega}_{3} = \begin{pmatrix} 1 & 1 \\ 1 & \omega \end{pmatrix}$ .

Questions:

- 1. what happens if we modify the nontrivial entries of  $S_{3^K}$ ?
- 2. what happens if we take  $N \neq 3^K$ ?
- 3. what happens for other types of directed graphs?

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#### **1.** Inserting random phases: a new random matrix model To make the spectrum more "generic", we randomize our skeleton $S_N$ : replace its nonzero entries by *independent random numbers*. Ex: $z_{ik}$ uniformly distributed random phases.

$$R_{9} = \begin{pmatrix} z_{0,0} & 0 & 0 & 0 & 0 & 0 & z_{0,6} & 0 & 0 \\ z_{1,0} & 0 & 0 & 0 & 0 & 0 & z_{1,6} & 0 & 0 \\ z_{2,0} & 0 & 0 & 0 & 0 & 0 & z_{2,6} & 0 & 0 \\ 0 & z_{3,1} & 0 & 0 & 0 & 0 & 0 & z_{3,7} & 0 \\ 0 & z_{4,1} & 0 & 0 & 0 & 0 & 0 & z_{4,7} & 0 \\ 0 & z_{5,1} & 0 & 0 & 0 & 0 & 0 & z_{5,7} & 0 \\ 0 & 0 & z_{6,2} & 0 & 0 & 0 & 0 & z_{6,8} \\ 0 & 0 & z_{7,2} & 0 & 0 & 0 & 0 & z_{7,8} \\ 0 & 0 & z_{8,2} & 0 & 0 & 0 & 0 & z_{8,8} \end{pmatrix}$$

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  $\sim R_{9}^{scc} = \widetilde{R}_{4} \stackrel{\text{def}}{=} \begin{pmatrix} z_{0,0} & z_{0,6} \\ z_{2,0} & z_{2,6} \\ z_{8,2} & z_{8,8} \end{pmatrix}$ 

The nontrivial spectrum reduces to  $R_9^{scc}$ , equal to a random matrix  $\widetilde{R}_4$ . (Generalizes to  $N = 3^K \rightsquigarrow \widetilde{R}_{2^K}$ ).

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 $\rightarrow$  (New) random matrix problem: how does the spectrum of  $\widetilde{R}_M$  look like?

 $\oplus$  for any even M,  $\widetilde{R}_M \widetilde{R}_M^*$  is block-diagonal, with *independent*  $2 \times 2$  blocks  $\rightarrow$  statistics of the singular values of  $\widetilde{R}_M$  is easy.

#### Theorem ([GENDRON-N-SABRI])

 $\exists C > 0, \forall r > 0, w.h.p. as M \to \infty, \# \{ \operatorname{Spec}(\widetilde{R}_M) \cap \{ |z| \le r \} \} \le C r M.$ 

 $\implies$  Most of the  $2^{K}$  eigenvalues of  $R_{3K}^{scc}$  are of order 1. We have obtained, w.h.p., a *lower bound* for the Fractal Weyl Law of  $R_{3K}$ .

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#### How does the spectrum of $R_{3^K}$ look like?

Does the empirical measure  $\nu_M = \frac{1}{M} \sum_{z \in \text{Spec } \tilde{R}_M} \delta_z$  converge to a limit when  $M \to \infty$ ?

Numerically,  $\nu_M$  seems to be distributed according to a smooth density, vanishing near the origin.



Left: the spectrum of a single realization of  $\widetilde{R}_M$  for M = 4096.

Right: rescaled counting function for matrices  $\widetilde{R}_M$  of sizes M = 100 - 1000. Observe the sharp spectral radius at  $r \approx \sqrt{2}$ . (Plots by Q.Gendron).

# Random model $R_N$ for $N \neq 3^K$

If we now consider random matrices  $R_N$  for values  $N \neq 3^K$ , the structure of the graph  $G_N$  may be more complicated.



Ex: for N = 12, the complement of the "hole" forms a s.c.c..

$$R_{12}^{s.c.c.} = \begin{pmatrix} * & * \\ * & * \\ * & * \\ * & * \\ * & * \\ * & * \\ * & * \\ * & * \end{pmatrix}$$

The reduced matrix  $R_{12}^{s.c.}$  is less 'regular' than the De Bruijn type matrix, but it keeps a similar shape.

Notice that  $R^{s.c.c.}R^{s.c.c.*}$  is still block diagonal, but now with blocks of different sizes.

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# Random model $R_N$ for $N \neq 3^K$ (2)

For arbitrary N (divisible by 3), [TRIAS'12] showed that

- 1. the nontrivial spectrum of  $R_N$  has size  $\leq 5 N^{\nu} \implies$  upper bound for the FWL.
- 2. there is always a "large" s.c.c. component of size  $\asymp N^{\nu}$  (plus possibly some extra "small" s.c.c.).

Combining these facts with the  $\widetilde{R}\widetilde{R}^*$  trick, one can hope to prove the following

#### Conjecture

For any *N* divisible by 3, the nontrivial spectrum of  $R_N$  has size  $\approx N^{\nu}$ . Besides, w.h.p. this nontrivial spectrum does not have a macroscopic accumulation near the origin.

As a consequence, the matrices  $R_N$  would satisfy a FWL, in the following sense:

$$\forall r > 0, \quad \mathcal{N}(R_N, r) \stackrel{\text{def}}{=} \# \operatorname{Spec}(R_N) \cap \{ |z| \ge r \} \asymp N^{\nu}, \qquad N \to \infty.$$

What Ansatz could we have?

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# A limiting spectral density?

To recover a more precise version of the FWL,  $\mathcal{N}(R_N, r) \sim C(r) N^{\nu}$ , we would need to better understand the empirical measure of the reduced matrices  $\widetilde{R}_M$ .

[TRIAS'12] computed the rescaled counting functions  $\frac{N(R_M,r)}{M}$  for all values  $300 \le M \le 9300$ :



The curves have a similar shape, up to a global prefactor approximately varying in the interval [0.7, 1.2].

Apart from this prefactor, is there an asymptotic curve C(r)?

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## More general directed graphs

- Above we have studied random matrices  $R_N$  constructed above a *deterministic* skeleton  $G_N \rightsquigarrow$  deterministic s.c.c.  $\widetilde{G}_M$  with  $M \asymp N^{\nu} \rightsquigarrow$  upper bound for the FWL.
- To get a more precise FWL, we would need to better understand the spectral distribution of the random matrices  $\widetilde{R}_M$ .

How about considering the graph  $\tilde{G}_M$  to be random as well?

# More general directed graphs

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How about considering the graph  $\tilde{G}_M$  to be random as well?

The reduced graphs  $\widetilde{G}_M$  we encoutered had the following property:

For any vertex j,  $d_j^- = 2$  and  $d_j^+ \in \{1, 2, 3\}$ (De Bruijn graph:  $d_j^+ = d_j^- = 2$ ).

• For a given set of degrees  $\mathbf{d} = (d_j^{\pm})_{j=1,...,M}$  (satisfying  $\sum_j d_j^+ = \sum_j d_j^-$ ), one can consider the family  $\mathcal{G}_{\mathbf{d}}$  of all directed graphs on M vertices with these degrees: a class of random directed graphs  $\widetilde{G} \in \mathcal{G}_{\mathbf{d}}$ .

• equip each edge with a random phase  $\sim$  obtain an ensemble of random matrices  $\widetilde{R} \in \mathcal{R}_d$ .

## Spectrum of random sparse directed graphs

What do we know about spectral behaviour of the random graphs in  $\mathfrak{G}_{\mathbf{d}}$  and the matrices in  $\mathcal{R}_{\mathbf{d}}$  when  $M\to\infty$ 

• [COOPER-FRIEZE'04]: If all vertices have  $d_j^+ \ge 2$ , then w.h.p. as  $M \to \infty$ ,  $G \in \mathcal{G}_d$  is strongly connected. If  $d_j^{\pm} = 1$ , then  $\widetilde{G}$  contains a s.c.c. of size M(1 - o(1)).

• The spectrum of the adjacency matrices  $\{A_{\widetilde{G}}, \widetilde{G} \in \mathcal{G}_{\mathbf{d}}\}$  has been studied. [BORDENAVE-CHAFAĨ'12] conjecture that for the ensemble of random *d*-regular digraphs  $(d_j^+ = d_j^- = d)$ , the empirical measure of  $A_{\widetilde{G}}$  converges to  $\frac{1}{\pi} \frac{d^2(d-1)}{(d^2-|z|^2)^2} \mathbb{1}_{|z|<\sqrt{d}} dx \, dy$  (complex Kesten-McKay measure).



d = 2: the induced counting function seems compatible with our numerics for  $\tilde{R}_M$  (De Bruijn graphs), including spectral edge at  $\sqrt{2}$ .

Would adding phases to the De Brujin graph make the spectrum of  $\widetilde{R}_M$  more "typical"?

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# **Conclusion & Perspectives**

- The class of random matrices  $R_N$  has a large kernel because the corresponding directed graph  $G_N$  has small strongly connected components.  $\implies$  upper bound for the FWL obtained from the topology of  $G_N$ .
- The spectrum of the s.c.c.  $\tilde{R}_M$  did not have a macroscopic kernel, nor an accumulation of spectrum near the origin. Proved only in the case of the De Buijn graph.  $\implies$  lower bound for the FWL. Asymptotic spectral density?
- Larger scope: spectrum of random matrices  $\widetilde{R}$  living on a random graph  $\widetilde{G} \in \mathcal{G}_d$  with specified (bounded) degrees. The random phases should make the analysis easier than for the adjacency matrices. [COSTE'17] studied the statistics of the second largest eigenvalue of  $A_{\widetilde{G}}$  in ensembles  $\widetilde{G} \in \mathcal{G}_d$ ; this could give the spectral radius for  $\widetilde{R}$ .
- Our matrices  $A_N$  were discretizing  $q \mapsto 3q$  on  $[0, 1/3) \cup [2/3, 1)$ . One could discretize any piecewise smooth *open expanding maps* on [0, 1], and study the corresponding random matrices.