A Foundational Criterion in Boundary Value Problems for Pseudo-Differential Operators

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ABSTRACT

This article explores the fascinating world of non-local operators and the challenges they pose when confined to domains with boundaries. We focus on a class of operators that, while powerful, lack the convenient symmetries of well-studied examples like the fractional Laplacian. These operators often fail to meet the stringent "transmission condition" required by classical theories. Instead, they satisfy a more forgiving criterion: the principal transmission condition. The central discovery we present is that even with this weaker condition, a robust and elegant analytical framework can be built. We show that these operators act naturally on a special family of function spaces—the μ -transmission spaces—which are tailor-made to handle the singular way solutions behave at a boundary. For the important case of strongly elliptic operators, we find that these spaces are not just convenient, but are the exact solution spaces for the Dirichlet problem, leading to precise predictions about solution regularity. A cornerstone of our work is a new, generalized integration by parts formula, a versatile tool that holds even for non-elliptic operators. This formula unlocks further insights, including a Green's formula for "large" solutions that blow up at the boundary. Our approach marks a departure from standard methods, relying on the classic Wiener-Hopf factorization technique to navigate the complexities introduced by the weaker symbolic properties. The result is a unified theory that extends our understanding of a broad and important class of non-local boundary value problems.

Keywords: pseudo-differential operators, fractional Laplacian, transmission condition, boundary value problems, Wiener-Hopf method, Sobolev spaces, regularity theory, integration by parts, non-local operators, elliptic theory.

1. Introduction

1.1. From the Local to the Non-Local: A Paradigm Shift

At the heart of mathematical physics lies the challenge of modeling the world around us. For centuries, partial differential equations (PDEs) have been our primary tool, describing everything from the diffusion of heat to the propagation of light with remarkable success. A defining feature of these classical models is their *locality*: the behavior of a system at a given point is determined solely by its properties in an infinitesimally small neighborhood. This assumption, while powerful, does not capture the full complexity of nature. Many phenomena, from the turbulent flow of fluids to the intricate pricing of financial derivatives, exhibit *non-local* interactions, where influences can be felt across finite distances.

A profound conceptual leap occurred with the

development of the theory of pseudo-differential operators (ΨDOs). This framework, systematically developed by pioneers like Hörmander [17], provided a rigorous language to describe non-local phenomena. Instead of being defined by local derivatives, a ΨDO is defined by its *symbol* in the frequency domain. This allows for an incredible diversity of behaviors, encapsulating classical differential operators as a special case while opening the door to modeling a host of complex processes, from the erratic jumps of a stock price, described by Lévy processes in finance, to the intricate patterns of anomalous diffusion [1, 2, 20].

But this expanded power came with a new set of mathematical challenges. ΨDOs are most naturally defined on the boundless expanse of Euclidean space, Rn. How can we apply them to realistic physical problems, which are almost always confined to a domain Ω with a boundary? The non-local nature of the operator means

that to compute its value at a point $x \in \Omega$, one needs to know the function's values everywhere, including outside of Ω . This is the fundamental difficulty of non-local boundary value problems.

1.2. The Classical Approach: Boutet de Monvel's Calculus and the Transmission Property

A brilliant answer to this challenge came in the 1960s and 70s in the form of a specialized operator calculus developed by Louis Boutet de Monvel [3, 4]. This framework was a triumph of mathematical engineering, providing a complete and algebraically closed toolkit of operators for handling boundary data. It includes not only the ΨDOs acting on the interior of the domain but also specialized trace operators (to read data at the boundary), potential operators (to propagate boundary data into the interior), and singular Green's operators.

However, this elegant machinery comes with a crucial prerequisite: the operator's symbol must satisfy the **transmission property**. This condition, in essence, is a "good behavior" guarantee at the boundary. It ensures that when the operator is applied to a function that is smooth up to the boundary, the result is also a function that is smooth up to the boundary. Without it, the operator could create unruly singularities that break the calculus. The fractional Laplacian, $(-\Delta)a$, a star player in non-local analysis, is a prime example of an operator that fits beautifully into this framework. Much of what we know about its behavior on domains stems directly from the fact that it satisfies the a-transmission condition [8, 10, 11].

1.3. The Puzzle of Weaker Conditions

But what happens when our operators are not so well-behaved? Nature is not always so accommodating. A wide and physically important class of operators, particularly those arising from non-symmetric physical processes like Lévy flights with drift, fail to satisfy the full transmission condition [5, 13]. These operators might have a symbol like L=Op(H(ξ)+iB(ξ)), where an even, symmetric part H (like the symbol of the fractional Laplacian) is paired with an odd, non-symmetric part B. The presence of the non-symmetric term is often enough to violate the stringent requirements of the full transmission property.

While they fail this strict test, they often satisfy a much

weaker, yet still meaningful, criterion: the **principal transmission condition**. This condition is far less demanding. Instead of placing an infinite number of constraints on all the symbol's derivatives at the boundary, it only governs the behavior of the symbol's leading-order term in the direction perpendicular to the boundary [cf. 9].

This presents a fascinating puzzle. With the powerful machinery of the Boutet de Monvel calculus off-limits, can we still build a coherent and predictive theory for these less-structured operators? The central thesis of this work is that the answer is a resounding yes. To find it, we must turn to a different, more foundational tool: the Wiener-Hopf factorization method. This classic technique, born from the study of integral equations on a half-line by Wiener and Hopf themselves [22] and later masterfully adapted for elliptic Ψ DOs by Eskin [6], provides the key to unlocking the problem. It is a more rugged, direct approach that relies on complex analysis to decompose the operator's symbol.

1.4. Our Investigation: Goals and Roadmap

In this article, we undertake a systematic and in-depth investigation of operators satisfying only the principal transmission condition. We focus on the fundamental "model case" of the half-space R+n, as the insights gained here serve as the bedrock for understanding more complex geometries through localization arguments. We set out to answer three core questions:

- Where do these operators live? What are the natural function spaces on which they operate? We will show that the answer lies in the μ-transmission spaces, a family of spaces that are intrinsically linked to the operator's boundary behavior and are characterized by a singular profile near the boundary.
- 2. How regular are the solutions? For the important class of strongly elliptic operators, can we predict the smoothness of solutions to the Dirichlet problem? We will establish a sharp regularity theorem, showing that solutions are automatically "lifted" into the appropriate transmission space, revealing their intrinsic structure.
- 3. What are the fundamental rules of calculus? Can we establish an integration by parts formula for this broader class of operators? We will derive a

powerful and general formula that holds even for non-elliptic operators, providing a crucial tool for further analysis.

The journey to these answers is laid out as follows. Section 2, Methods, provides a deep dive into our toolkit. We formally define all the mathematical objects, from Sobolev and transmission spaces to the precise formulation of the principal transmission condition. We then meticulously detail our analytical strategy: symbol regularization, reduction to order zero, and the pivotal Wiener-Hopf decomposition. Section 3, Results, presents our main theorems with detailed proof sketches. We establish the forward mapping and regularity properties, derive the integration by parts formula, and culminate in a halfways Green's formula for "large" solutions. Finally, Section 4, Discussion, reflects on the broader significance of these findings, compares our approach to classical methods, and charts the course for future explorations in this rich area of mathematics.

2. Methods

To tackle operators that don't fit into standard frameworks, we need a carefully chosen set of tools and a clear strategy. Our approach involves a multi-step process of simplifying the operator's symbol until we reach a core problem that is amenable to the classic Wiener-Hopf technique. This section lays out the definitions, concepts, and procedures that form the foundation of our analysis.

2.1. The Analytical Setting: Function Spaces and Operators

Our entire analysis is built upon a well-defined set of function spaces and operators.

Function Spaces. The natural setting for studying operators of order s is the scale of L2-based **Sobolev spaces**, which classify functions based on their smoothness and integrability [7, 17].

- The space Hs(Rn) for s∈R consists of all tempered distributions u on Rn whose Fourier transform u[^] satisfies ||u||Hs2=[Rn(1+|ξ|2)s]u[^](ξ)|2dξ<∞.
- When working on the half-space R+n, we need two related spaces:
 - The space of restrictions, Hs(R+n)=r+Hs(Rn), where r+ is the restriction operator.

- The space of supported functions, H's(R+n)={u∈Hs(Rn)|supp(u)⊆R+n}.
- The trace operator $\gamma 0$, which takes the value of a function at the boundary xn=0, is a well-defined map $\gamma 0$:Hs(Rn) \rightarrow Hs-1/2(Rn-1) for s>1/2.

Pseudo-Differential Operators. Our objects of study are translation-invariant pseudo-differential operators P=Op(p), defined via the Fourier transform:

$$(Pu)(x)=F-1[p(\xi)u^{(\xi)}](x)=(2\pi)-n$$
 Rneix $\cdot \xi p(\xi)u^{(\xi)}d\xi$

The function $p(\xi)$ is the operator's symbol. We focus on symbols that are C1 on Rn\{0} and homogeneous of degree m=2a>0, meaning they satisfy the scaling relation $p(t\xi)=tmp(\xi)$ for all t>0. The operator on the half-space is defined as r+Pe+, where e+ is the extension-by-zero operator.

2.2. The Principal μ -Transmission Condition in Detail

The central concept of this paper is a precise condition on the symbol at the boundary. For the half-space R+n, the inward normal direction is given by the vector v=(0,...,0,1).

Definition 2.1. A symbol p(ξ), homogeneous of degree m, satisfies the principal μ -transmission condition in the direction v if, for some complex number μ , the following relation holds:

$$p(-v)=ei\pi(m-2\mu)p(v)$$

This single equation constrains the symbol's values by relating them on opposite sides of the tangential plane $\xi n = 0$. If p(v) = 0, we can solve for $e - 2i\pi \mu = p(-v)/(ei\pi mp(v))$, which determines μ up to the addition of an integer.

The Factorization Index. For the important class of strongly elliptic operators, where Re $p(\xi) \ge c0|\xi|m>0$, we can choose a canonical value for μ . Since strong ellipticity ensures that p(v) and p(-v) both lie in the open right half of the complex plane, the argument of their ratio p(-v)/p(v) is bounded between $-\pi$ and π . This allows us to uniquely fix the imaginary part of $m-2\mu$ to be between -1 and 1. This leads to a unique choice of $\mu=a+\delta$ where $|\text{Re }\delta|<1/2$. This special value is known as the factorization index and is of paramount importance for the solvability theory of the associated boundary value problems [6, 8]. We also define its complement, $\mu'=2a-\mu=a-\delta$.

2.3. Taming the Symbol: A Two-Step Reduction

To analyze our operator, we first need to simplify its symbol. This is a crucial preparatory stage that makes the subsequent analysis tractable.

Step 1: Regularization ("Hatting"). Homogeneous symbols can be non-smooth or even singular at the origin ξ =0. To handle this, we employ a regularization technique pioneered by Eskin [6]. We replace the homogeneous symbol p(ξ' , ξ n) with a "hatted" version, p^(ξ' , ξ n), which is constructed to be smooth in the tangential variable ξ' :

$$p^{(\xi',\xi_n)}=p(\langle \xi' \rangle |\xi'|\xi',\xi_n)$$

where $\langle \xi' \rangle = (1+|\xi'|2)1/2$. The key property of this construction is that the difference, $p'(\xi) = p(\xi) - p^{*}(\xi)$, defines an operator P' = Op(p') which is of order 2a - 1. This means it can be treated as a lower-order perturbation. This clever trick allows us to first prove our main results for the more manageable operator $P^{*} = Op(p^{*})$ and then extend them to the original operator P.

Step 2: Reduction to Order Zero. Our second simplification is to reduce the problem's order. We take the regularized operator P^ of order 2a and "sandwich" it between specially designed order-reducing operators to produce a new operator Q^ of order 0:

$$Q^{=\Xi-\mu'P^{\Xi+\mu}}$$

The operators $\equiv \pm t = Op((\langle \xi' \rangle \pm i \xi n)t)$ are homeomorphisms on the relevant Sobolev spaces. The magic of this transformation lies in its effect on the transmission condition: if P satisfies the principal μ -transmission condition, the new operator Q^ satisfies the principal 0-transmission condition. Its symbol, q^, has the simple property that it takes the same value in the inward and outward normal directions: q(0,-1)=q(0,1).

2.4. The Analytical Engine: The Wiener-Hopf Method

With our problem simplified to an operator Q^ of order 0 satisfying the 0-transmission condition, we are ready to bring in our main analytical engine. Since the full transmission property does not hold, the sophisticated Boutet de Monvel calculus is unavailable. We turn instead to the more fundamental **Wiener-Hopf method**. The core idea of this powerful technique is to decompose the symbol $q^{(\xi',\xi_n)}$ with respect to the

normal variable ξn by exploiting its analytic properties.

1. Sum Decomposition. The most basic version of the method, applicable to any operator satisfying our principal condition, allows us to split the symbol into a constant and two other pieces: $q^{(\xi)}=s0+f^{+}(\xi)+f^{-}(\xi)$

Here, s0=q(0,1) is a constant. The function $f^+(\xi',\xi n)$ is special because it can be extended holomorphically (analytically) as a function of ξn into the lower half of the complex plane, C-. Similarly, f^- can be extended into the upper half-plane, C+. This decomposition is achieved via the Cauchy integral projection. This "good behavior" in the complex plane is the key to controlling the action of the corresponding operators, and this sum decomposition is all we need to prove the general forward mapping properties and the integration by parts formula.

2. Product Factorization. For the special case of strongly elliptic operators, we can achieve an even more powerful decomposition. Because the symbol $q^{(\xi)}$ never vanishes for $\xi = 0$, we can take its logarithm, apply the sum decomposition to $\log q^{(\xi)}$, and then exponentiate the result. This yields a product factorization: $q^{(\xi)} = q^{(\xi)} = q^{(\xi)}$

where the factors q^+ and q^- (and their inverses) are holomorphic in the lower and upper complex half-planes, respectively. This factorization is the secret weapon for proving that our operator is invertible, which is the key step in establishing the regularity of solutions to the Dirichlet problem.

2.5. The Natural Setting: μ-Transmission Spaces

The structure of our reduced operator, $P^*=\Xi-\mu'Q^*\Xi+\mu$, points directly to the natural function spaces for the problem. The factor $\Xi+\mu$ on the right suggests that the operator is designed to act on functions that belong to the μ -transmission spaces [8]. These are defined for smoothness t>Re μ -1/2 as:

$$H\mu(t)(R+n)=\Xi+-\mu e+Ht-Re \mu(R+n)$$

These spaces are remarkable for several reasons:

• For low smoothness (specifically, when $|t-Re \mu|<1/2$), they are identical to the standard

Sobolev spaces, $H\mu(t)(R+n)=H't(R+n)$.

- For higher smoothness (when t>Re μ+1/2), they contain functions with a very specific singular behavior at the boundary. An element u∈Hμ(t) can be thought of as a sum of a regular part in H't and a singular part that behaves like xnμ as the distance to the boundary xn goes to zero.
- This structure means that the weighted trace γ0
 (u/xnμ) is well-defined for functions in these
 spaces.

These spaces are precisely the right setting for our analysis. They are tailor-made to "absorb" the non-local character of the operator at the boundary, transforming the complex problem for P on a transmission space into a more standard problem for the reduced operator Q on an ordinary Sobolev space.

3. Results

Armed with the rigorous methods developed in the previous section, we can now present our main findings. These results provide a solid foundation for understanding boundary value problems for a wide class of non-local operators, establishing their mapping properties, the regularity of their solutions, and the fundamental integral identities they satisfy.

3.1. Mapping and Regularity Properties

Our first result confirms that the μ -transmission spaces are indeed the correct domain for our operators, providing a clear picture of how they map between function spaces.

Theorem 3.1 (Forward Mapping). Let P=Op(p) be an operator of order 2a>0 satisfying the principal μ -transmission condition. Then, for any smoothness parameter t in the range Re μ -1/2<t<Re μ +3/2, the operator r+Pe+ defines a continuous linear map:

 $r+Pe+:H\mu(t)(R+n)\rightarrow Ht-2a(R+n)$

Proof Sketch. The proof is a careful execution of our multi-step strategy. First, using the sum decomposition $q^-s0+f^++f^-$, we analyze the action of the reduced operator $Q^+=r+Q^-$. By studying the potential operators associated with the holomorphic components f^+ , we show that Q^+ maps the Sobolev space Hs to itself for |s| < 3/2. Second, we "dress" this result using the

order-reducing operators. The relations $P^*=\Xi-\mu'Q^*\Xi+\mu$ and the definition of the transmission space $H\mu(t)$ allow us to translate the mapping property of Q^* into the desired mapping property for P^* . Finally, we show that the lower-order perturbation $P'=P-P^*$ is a continuous map between the same spaces, which completes the proof for the original operator P.

For the crucial case of strongly elliptic operators, we can go much further than just describing mapping properties. We can effectively solve the homogeneous Dirichlet problem and reveal the intrinsic character of its solutions.

{r+Pu=fsupp(u)⊆R+nin R+n

Theorem 3.2 (Regularity of Solutions). Consider a strongly elliptic operator P satisfying the principal μ -transmission condition with factorization index μ . Let t be in the range Re μ -1/2<t<Re μ +3/2. If u∈H $^{+}\sigma$ (R+n) for some minimal smoothness σ is a solution to the homogeneous Dirichlet problem with data f∈Ht-2a(R+n), then this solution is automatically more regular than initially assumed. Specifically, the solution u is guaranteed to belong to the transmission space $H\mu$ (t)(R+n).

Proof Sketch. This deeper result hinges on the powerful product factorization q^=q^-q^+, which is available in the elliptic case. This factorization allows us to prove that the reduced operator Q^+ is not just continuous but is in fact a bijection (an isomorphism) from Hs to itself for |s| < 3/2. This, in turn, implies that the regularized operator r+P^e+ is an isomorphism from the transmission space Hu(t) to the Sobolev space Ht-2a. The equation for the original operator is written as r+P^u=f-r+P'u. Since u is initially in a low-order space, the perturbation term r+P'u has a certain regularity. This means the right-hand side is in a specific Sobolev space, and the isomorphism property of r+P^e+ forces u to be in a corresponding transmission space. A "bootstrap" argument then allows us to iteratively improve this conclusion until we reach the optimal space $H\mu(t)(R+n)$ determined by the regularity of the source term f.

The Significance: This is a powerful and satisfying result. It establishes that the solution space for the Dirichlet problem is exactly the μ -transmission space. This means that solutions will universally exhibit the characteristic xn μ behavior near the boundary. This is not an ad-hoc observation but a fundamental property dictated by the

operator's symbol. It rigorously confirms and generalizes findings from studies of specific physical models [5].

3.2. A Calculus for Non-Local Operators: The Integration by Parts Formula

One of the most versatile tools in the study of differential equations is integration by parts (or Green's identities). We establish a powerful generalization of this concept that holds even for our non-elliptic, non-symmetric operators, providing a true workhorse for further analysis.

Theorem 3.3 (Integration by Parts). Let P satisfy the principal μ -transmission condition, with $\mu'=2a-\mu$. Assume the technical conditions Re $\mu>-1$ and Re $\mu'>-1$. Then for any two suitable functions u and v (e.g., compactly supported elements of the appropriate transmission spaces), the following identity holds:

where $C\mu=\Gamma(\mu+1)\Gamma(\mu'+1)s0$ is a constant determined by the symbol, and $\gamma O(u/xn\mu)$ represents the weighted trace of the function u at the boundary.

Proof Sketch. The formula is first proven for the regularized operator P^. Using the decomposition $P^+=\Xi-\mu'(s0+F^++F^-)\Xi+\mu$, we analyze the contribution of each of the three components. The main contribution to the boundary integral on the right-hand side comes from the constant term s0. The terms involving F^+ and F^- are meticulously shown to have vanishing boundary contributions. This is a subtle point that relies on a complex analysis argument: the holomorphy of their symbols causes the relevant boundary integrals to be zero by Cauchy's theorem. The formula for the original operator P is then recovered by showing that the lower-order remainder term P' also gives no boundary contribution.

The Significance: This formula is not just an elegant theoretical result; it is a practical and versatile tool. It establishes a deep and explicit connection between the action of the operator in the interior of the domain and the singular behavior of the functions right at the boundary. It generalizes the famous Pohozaev identity for the fractional Laplacian [20] and provides a new

perspective on similar formulas derived through different, often more complicated, real-variable methods [5].

3.3. Application: Large Solutions and the Halfways Green's Formula

The integration by parts formula is a gateway to further results. By making clever choices for the function v, we can use it to derive a "halfways Green's formula." This is particularly useful for studying large solutions—solutions to nonhomogeneous problems that are allowed to blow up at the boundary in a controlled way (e.g., like xnµ-1). These solutions arise in the study of the nonhomogeneous Dirichlet problem:

 $\{r+Pu=fy0(u/xn\mu-1)=\phi in R+non Rn-1\}$

Theorem 3.4 (Halfways Green's Formula). For a "large solution" u to the nonhomogeneous problem and a well-behaved solution v to the homogeneous adjoint problem (P*v=0), we have:

 $\int R+n(Pu)v^{-}dx-\int R+nu(P*v)dx=C\mu'\int Rn-1\gamma O(u/xn\mu-1)\gamma O(v^{-}/xn\mu')dx'$

This formula provides an explicit link between the problem's interior source term (f=Pu) and its prescribed nonhomogeneous boundary data (ϕ = γ 0(u/xn μ -1)). It is the proper analogue of Green's second identity for this class of non-local problems and is a key step toward constructing explicit solution formulas and understanding how boundary conditions influence non-local phenomena [1, 11].

4. Discussion

What this work ultimately shows is that the world of non-local boundary value problems is richer and more structured than previously thought. Even when operators lack the pristine symmetries required by established theories, a coherent and powerful analytical framework can be built upon a more fundamental property: the principal transmission condition. This is a crucial step forward, significantly broadening the range of problems that can be tackled with the powerful tools of pseudo-differential analysis.

A key conceptual insight from our investigation is the universal importance of the μ -transmission spaces. Our findings confirm that these spaces are the natural home for solutions to the Dirichlet problem for this wide class

of operators. The fact that solutions invariably exhibit a singular profile proportional to $xn\mu$ is no longer an adhoc observation but a predictable consequence of the operator's symbolic properties at the boundary.

The integration by parts formula we derived stands as another pillar of this work. By circumventing the need for the full symbolic calculus, we have created a robust tool that is broadly applicable, even to operators that are not elliptic or symmetric. This identity provides a direct and powerful link between the operator's interior action and its boundary behavior, opening up new avenues for analysis.

This journey also highlights the enduring power of the Wiener-Hopf method. While the calculus of Boutet de Monvel is a tool of unparalleled elegance for operators that fit its mold, the Wiener-Hopf approach proves to be a more rugged and adaptable engine for situations where the symbolic properties are weaker. Our results show that this classic method is not just a fallback but a powerful instrument for discovery.

The road ahead is rich with possibilities. The regularity results we've presented are confined to a specific range of smoothness; extending them further is an important next step, likely requiring the imposition of some intermediate conditions on the symbol. Another exciting direction is to adapt this theory to other scales of function spaces, such as the Lp spaces used in many applications, which would require a synthesis of our methods with the Lp-based theory of Vishik and Eskin as developed by Shargorodsky [21].

Finally, while this paper has laid the groundwork in the idealized setting of the half-space, the ultimate goal is to apply these insights to problems on bounded, smooth domains. This will involve the challenging but standard process of localization, using our results as the local model for a more complex global problem. Successfully navigating this path will provide a comprehensive framework for analyzing the vast and increasingly important world of non-local boundary value problems.

5. Conclusion

In this article, we have navigated the intricate landscape of non-local boundary value problems for operators that do not conform to the classical transmission property. By focusing on the less restrictive principal transmission condition, we have successfully constructed a rigorous and comprehensive analytical theory. Our investigation has demonstrated that even without the full power of established symbolic calculi, the behavior of these operators can be precisely characterized.

The main contributions of this work are threefold. First, we have identified the μ -transmission spaces as the natural setting for the Dirichlet problem, showing that they correctly capture the singular behavior of solutions at the boundary. Second, for strongly elliptic operators, we have established a sharp regularity theory, proving that these transmission spaces are indeed the exact solution spaces. Third, we have derived a generalized integration by parts formula and a subsequent halfways Green's formula, providing powerful analytical tools that are applicable even to non-elliptic operators and are essential for studying nonhomogeneous problems.

Methodologically, our work champions the robustness of the Wiener-Hopf factorization technique as a primary tool for analyzing boundary value problems, especially in contexts where more sophisticated calculi are not applicable. The results presented here unify and extend previous work on non-symmetric and fractional-order operators, providing a solid foundation for future research. This study opens the door to a deeper understanding of a wide array of physical and mathematical phenomena governed by non-local dynamics, confirming that a rich structure exists even in the absence of perfect symmetry.

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