

On the regularity of characteristic functions in Nikol'skii-Besov Spaces

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1. Introduction

Let $E \subset \mathbb{R}^d$ be a measurable set with $0 < |E| < \infty$. Then

$$\chi_E \in L_p(\mathbb{R}^d) \quad \text{and} \quad \chi_E \notin W_p^1(\mathbb{R}^d).$$

In addition

$$\chi_E \notin C^s(\mathbb{R}^d) \quad \text{for any } s > 0$$

Hence, we need different spaces of fractional order of smoothness. Here we will deal with Nikol'skii-Besov spaces, but we could have chosen also Lizorkin-Triebel spaces.

2. Nikol'skii-Besov spaces

$0 < p, q \leq \infty, s \in \mathbb{R}$: $B_{p,q}^s(\mathbb{R}^d)$... (Fourier analysis, differences, atoms, wavelets, φ -transform)

$0 < \theta < 1, 1 \leq p, q \leq \infty, m \in \mathbb{N}$:

$$(W_p^{m-1}(\mathbb{R}^d), W_p^m(\mathbb{R}^d))_{\theta,q} = B_{p,q}^s(\mathbb{R}^d), \quad s := m - 1 + \theta.$$

Tr: $f(x) \mapsto f(0, x_2, \dots, x_d)$

$$1 < p < \infty: \quad \text{Tr}: W_p^m(\mathbb{R}^d) \longrightarrow B_{p,p}^{m-1/p}(\mathbb{R}^{d-1})$$

Differences

$$\Delta_h^1 f(x) := f(x+h) - f(x), \quad \Delta_h^{m+1} f(x) := \left(\Delta_h^1 (\Delta_h^m f) \right)(x)$$

Let $m \in \mathbb{N}$, $0 < s < m$. Then $f \in L_p(\mathbb{R}^d)$ belongs to $B_{p,q}^s(\mathbb{R}^d)$ if and only if

$$\left(\int_{\substack{h \in \mathbb{R}^d \\ 0 < |h| < 1}} \left[|h|^{-s} \|\Delta_h^m f\|_{L_p(\mathbb{R}^d)} \right]^q \frac{dh}{|h|^d} \right)^{1/q} < \infty.$$

$$\begin{aligned} \|f\|_{B_{p,q}^s(\mathbb{R}^d)} &:= \|f\|_{L_p(\mathbb{R}^d)} \\ &+ \left(\int_{\substack{h \in \mathbb{R}^d \\ 0 < |h| < 1}} \left(|h|^{-s} \|\Delta_h^m f\|_{L_p(\mathbb{R}^d)} \right)^q \frac{dh}{|h|^d} \right)^{1/q} \end{aligned}$$

A first example

$$\underline{1 \leq p \leq \infty, 0 < s < 1:}$$

$f \in L_p(\mathbb{R}^d)$ belongs to $B_{p,\infty}^s(\mathbb{R}^d)$ if

$$\sup_{0 < |h| < 1} |h|^{-s} \left(\int_{\mathbb{R}^d} |f(x+h) - f(x)|^p dx \right)^{1/p} < \infty.$$

\mathcal{X} - characteristic function of $(0, 1)$, $1 \leq p < \infty$, $0 < h < 1$:

$$\int_{-\infty}^{\infty} |\mathcal{X}(x+h) - \mathcal{X}(x)|^p dx = \int_{-h}^0 1^p dx + \int_{1-h}^1 1^p dx = 2h.$$

$$\underline{1 < p < \infty}: \quad \mathcal{X} \in B_{p,\infty}^s(\mathbb{R}) \quad \iff \quad 0 < s \leq 1/p.$$

3. How smooth are characteristic functions ?

3.1. Balls and cuboids

We put $F := \mathbb{R}^d \setminus E$. For $h \in \mathbb{R}^d$ we define

$$E(h) := \{x \in E : x + h \notin E\};$$

$$F(h) := \{x \in F : x + h \notin F\}.$$

$$\begin{aligned} \|\chi_E(\cdot + h) - \chi_E(\cdot)\|_{L^p(\mathbb{R}^d)}^p &= \int_{E(h)} 1 \, dx + \int_{F(h)} 1 \, dx \\ &= |E(h)| + |F(h)|. \end{aligned}$$

Lemma

Let $1 \leq p < \infty$ and $0 < s < 1$. Then \mathcal{X}_E belongs to $B_{p,\infty}^s(\mathbb{R}^d)$ if and only if

$$\sup_{|h|<1} |h|^{-s} (|E(h)| + |F(h)|)^{1/p} < \infty. \quad (1)$$

There is an easy but interesting consequence of Lemma 1.

Lemma

Let $1 < p < \infty$ and $0 < s < 1$. Then $\mathcal{X}_E \in B_{1,\infty}^s(\mathbb{R}^d)$ implies $\mathcal{X}_E \in B_{p,\infty}^{s/p}(\mathbb{R}^d)$ and vice versa.

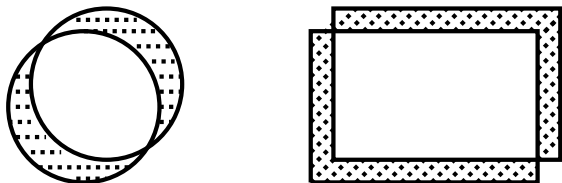


Fig. 1

Let E be a cube or a ball in \mathbb{R}^d . Then it is easily seen that $|E(h)| + |F(h)| \asymp |h|$, $|h| < 1$.

Lemma

Let $1 \leq p < \infty$ and $s > 0$.

- (i) The characteristic function χ belongs to $B_{p,\infty}^s(\mathbb{R})$ if and only if $s \leq 1/p$.
- (ii) Let $d \geq 2$. Then the characteristic function χ_E of either a ball or a cuboid, i.e., the cartesian product of d segments, belongs to $B_{p,\infty}^s(\mathbb{R}^d)$ if and only if $s \leq 1/p$.

3.2. The limiting case $s = 1/p$

Titchmarsh ($d = 1$), Gulisashvili ($d > 1$):

Lemma

Let B be a ball in \mathbb{R}^d . A locally integrable function u satisfying

$$\lim_{h \rightarrow 0} \frac{1}{|h|} \int_B |u(x+h) - u(x)| dx = 0$$

is constant a.e. on B .

$$\int_B |\chi_E(x+h) - \chi_E(x)| dx = \int_B |\chi_E(x+h) - \chi_E(x)|^p dx$$

Theorem

Let $1 \leq p < \infty$ and $1 \leq q < \infty$. Then there exists no subset $E \subset \mathbb{R}^d$, $0 < |E| < \infty$, such that $\chi_E \in B_{p,q}^{1/p}(\mathbb{R}^d)$.

Let $1 \leq p < \infty$, $1 \leq q < \infty$ and $s > 1/p$. Then

$$B_{p,\infty}^s(\mathbb{R}^d) \hookrightarrow B_{p,q}^{1/p}(\mathbb{R}^d) \hookrightarrow B_{p,\infty}^{1/p}(\mathbb{R}^d).$$

Within the class of Nikol'skii-Besov spaces the classes $B_{p,\infty}^{1/p}(\mathbb{R}^d)$ are the smallest in which we can find nontrivial characteristic functions, or, with other words, $B_{p,\infty}^{1/p}(\mathbb{R}^d)$ represents the maximal regularity, a characteristic function may have.

Recall $BV(\mathbb{R}) \cap L_1(\mathbb{R}) \hookrightarrow B_{1,\infty}^1(\mathbb{R})$. Clearly $\chi \in BV(\mathbb{R})$.

Extension to $d \geq 1$: A locally integrable function $f : \mathbb{R}^d \rightarrow \mathbb{R}$ is of bounded variation if its first order partial derivatives (in the distributional sense) are bounded Borel measures. The space $BV \cap L_1(\mathbb{R}^d)$ will be endowed with the norm

$$\|f|_{BV \cap L_1(\mathbb{R}^d)}\| := \sum_{j=1}^d \left| \frac{\partial f}{\partial x_j} \right| + \|f|_{L_1(\mathbb{R}^d)}\|.$$

where $\left| \frac{\partial f}{\partial x_j} \right|$ denotes the total variation of the measure.

\mathcal{H}^s -s-dimensional Hausdorff measure.

Definition

Then the perimeter of a set E is the quantity

$$\text{per } E := \liminf_{j \rightarrow \infty} \mathcal{H}^{d-1}(\partial M_j),$$

where the limit is taken with respect to all sequences $(M_j)_j$ of sets with a smooth boundary (or polyhedra) such that

$$\lim_{j \rightarrow \infty} \|\chi_E - \chi_{M_j}\|_{L_1(\mathbb{R}^d)} = 0.$$

Kronrod-Federer-Fleming-Rishel formula:

$$\|f\|_{BV(\mathbb{R}^d)} = \int_{-\infty}^{\infty} \text{per}(\{x \in \mathbb{R}^d : f(x) > t\}) dt,$$

Fleming, Rishel 1960, Burago, Zalgaller 1988.

$$\chi_E \in BV(\mathbb{R}^d) \quad \text{if and only if} \quad \text{per } E < \infty. \quad (2)$$

Hardy, Littlewood ($d = 1$), Gulisashvili ($d \geq 1$) 1984:

Lemma

Let E be a measurable set in \mathbb{R}^d with $|E| < \infty$. Then there exist positive constants c_1, c_2 such that

$$c_1 \sup_{t>0} t^{-1} \omega_1(t, \chi_E) \leq \text{per } E \leq c_2 \sup_{t>0} t^{-1} \omega_1(t, \chi_E)$$

where

$$\omega_1(t, \chi_E) := \sup_{|h|<t} \|\Delta_h^1 \chi_E\|_{L_1(\mathbb{R}^d)}, \quad t > 0.$$

The main result in the limiting case $s = 1/p$.

Theorem

Let $E \subset \mathbb{R}^d$ and $0 < |E| < \infty$. Then the following assertions are equivalent:

- (i) $\text{per } E < \infty$;
- (ii) $\sup_{|h| < 1} |h|^{-1} (|E(h)| + |F(h)|) < \infty$;
- (iii) $\chi_E \in BV(\mathbb{R}^d)$;
- (iv) $\chi_E \in B_{p_0, \infty}^{1/p_0}(\mathbb{R}^d)$ for some p_0 , $1 \leq p_0 < \infty$.
- (v) $\chi_E \in B_{p, \infty}^{1/p}(\mathbb{R}^d)$ for all p , $1 \leq p < \infty$.

- Gulisashvili 1984/1985
- Maz'ya/Shaposnikova 1985.

3.3. Examples

$$x = (x', x_d), \quad x' = (x_1, \dots, x_{d-1}) \in \mathbb{R}^{d-1}, \quad x_d \in \mathbb{R}.$$

Definition

Let $d \geq 2$. An open bounded set E is called *elementary Lipschitz domain* if there exist a function φ and numbers $0 < D_1 \leq D_2 < \infty$, a_1, \dots, a_d , b_1, \dots, b_{d-1} , L such that

- (i) $\text{diam}(E) \leq D_2$;
- (ii) $E = \{x \in \mathbb{R}^d : a_d < x_d < \varphi(x'), x' \in W\}$;
- (iii) $W := \{x' \in \mathbb{R}^{d-1} : a_i < x_i < b_i, i = 1, \dots, d-1\}$;
- (iv) $a_d + D_1 \leq \varphi(x'), x' \in W$;
- (v) $|\varphi(x') - \varphi(y')| \leq L|x' - y'|, \quad x', y' \in W$.

Lemma

Let E be an elementary Lipschitz domain. Then $\chi_E \in BV \cap B_{p,\infty}^{1/p}(\mathbb{R}^d)$ for all $p \in [1, \infty)$.

Basic properties of Nikol'skii-Besov spaces yield the following.

Corollary

Let E be a domain which can be written as the union of the closures of a finite number of pairwise disjoint domains E_1, \dots, E_N such that any of the E_j , $j = 1, \dots, N$, is the image of an elementary Lipschitz domain under a finite number of rotations, translations and reflections. Then $\chi_E \in BV \cap B_{p,\infty}^{1/p}(\mathbb{R}^d)$ for all $p \in [1, \infty)$.

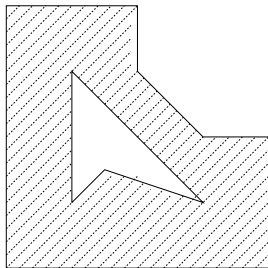


Fig. 2

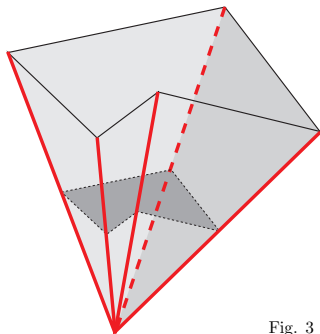


Fig. 3

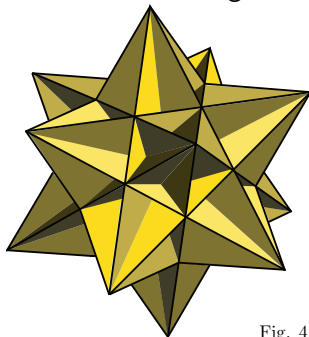


Fig. 4

A special polyhedral domain which is not Lipschitz

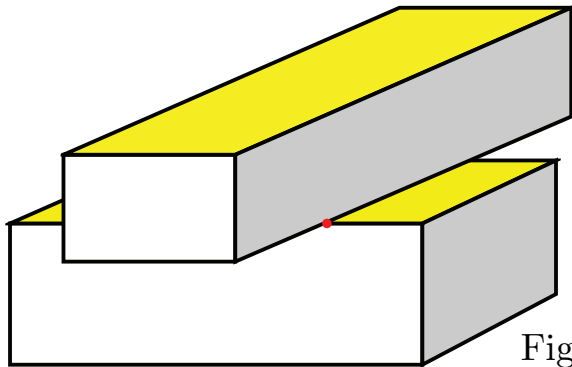


Fig. 8

The Astroid and the rotated Astroid

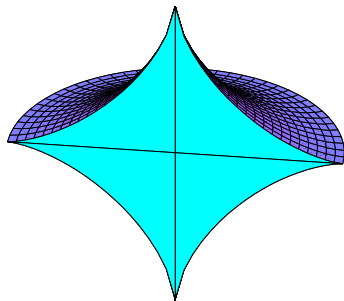


Fig. 5

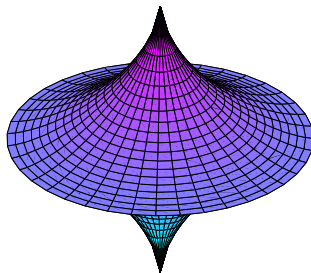


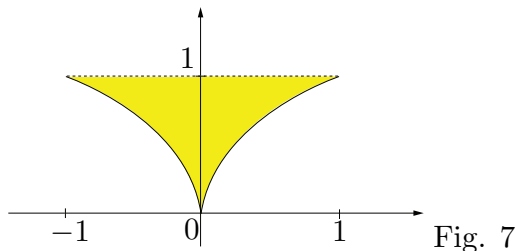
Fig. 6

Lipschitz boundary versus maximal regularity

- Let $0 < \varepsilon < 1$. The domains

$$\Omega_\varepsilon := \{(x, y) \in \mathbb{R}^2 : |x| < 1, |x|^\varepsilon < |y| < 1\}$$

have finite perimeter.



3.4. The case $s < 1/p$ - necessary conditions

Lemma

Let E be a bounded domain. If $\chi_E \in B_{p,q}^s(\mathbb{R}^d)$ for some $s > 0$, $1 \leq p < \infty$ and $1 \leq q \leq \infty$, then $|\partial E| = 0$ follows.

- There exists a further necessary condition in terms of the packing dimension by Jaffard, Meyer 1996.

3.5. The case $s < 1/p$ - sufficient conditions

For positive δ we define

$$\partial E^\delta := \{x \in \mathbb{R}^d : \text{dist}(x, \partial E) \leq \delta\}.$$

Definition

The s -dimensional upper Minkowski content of a set $A \subset \mathbb{R}^d$ is defined by

$$\mathcal{M}^{*s}(A) := \limsup_{\delta \downarrow 0} (2\delta)^{s-d} |A^\delta|$$

$$E(h) := \{x \in E : x + h \notin E\};$$

$$F(h) := \{x \in F : x + h \notin F\}.$$

$$(E(h) \cup F(h)) \subset \partial E^\delta, \quad |h| = \delta.$$

Lemma

Let $E \subset \mathbb{R}^d$ such that $0 < |E| < \infty$. Let $1 \leq p < \infty$, $0 < s \leq 1$ and $0 < a \leq 1$.

(i) If

$$\sup_{0 < \delta < a} \delta^{-s} |\partial E^\delta| < \infty,$$

then $\chi_E \in B_{p,\infty}^{s/p}(\mathbb{R}^d)$.

(ii) If the $d - s$ -dimensional upper Minkowski content of ∂E , i.e., $\mathcal{M}^{*(d-s)}(\partial E)$, is finite, then $\chi_E \in B_{p,\infty}^{s/p}(\mathbb{R}^d)$.

- Strichartz (Madych) 1993;
- Jaffard and Meyer 1996;
- Runst and Sickel 1996;
- Sickel 1999;

Approximation by piecewise constant functions

For $j \in \mathbb{N}_0$ and $k \in \mathbb{Z}^d$ we put

$$Q_{j,k} := \{x \in \mathbb{R}^d : 2^{-j}k_i \leq x_i < 2^{-j}(k_i + 1), i = 1, \dots, d\}.$$

For $f \in L_p(\mathbb{R}^d)$ we define

$$E_j(f)_p := \inf \left\{ \|f - g\|_{L_p(\mathbb{R}^d)} : g \in L_p(\mathbb{R}^d) \text{ and } g \text{ is constant on the dyadic cubes } Q_{j,k}, k \in \mathbb{Z}^d \right\}, j \in \mathbb{N}_0.$$

Let $1 \leq p < \infty$, $1 \leq q \leq \infty$ and $0 < s < 1/p$. Then $f \in B_{p,q}^s(\mathbb{R}^d)$ if and only if $f \in L_p(\mathbb{R}^d)$ and

$$\left(\sum_{j=0}^{\infty} [2^{js} E_j(f)_p]^q \right)^{1/q} < \infty, \quad (3)$$

..., Kashin, Saakyan (1989), Oswald (1995), ...

For a subset E of \mathbb{R}^d and $\delta > 0$ we put

$$\partial E_+^\delta := \{x \in E : \text{dist}(x, \partial E) \leq \delta\}, \quad (4)$$

Theorem

Let E be a bounded domain in \mathbb{R}^d . Let $1 \leq p < \infty$, $1 \leq q \leq \infty$ and $0 < s < 1/p$. Suppose either

$$\int_0^1 \delta^{-sq} |\partial E_+^\delta|^{q/p} \frac{d\delta}{\delta} < \infty \quad \text{if } q < \infty$$

or

$$\sup_{0 < \delta < 1} \delta^{-s} |\partial E_+^\delta|^{1/p} < \infty \quad \text{if } q = \infty.$$

Then $\chi_E \in B_{p,q}^s(\mathbb{R}^d)$ holds.

Quasiballs

A homeomorphism $f : \mathbb{R}^d \rightarrow \mathbb{R}^d$ is called K -quasiconformal if there is a constant $K < \infty$ such that for all $x \in \mathbb{R}^d$

$$K(x) := \limsup_{\varepsilon \rightarrow 0} \frac{\max_{a: |x-a|=\varepsilon} |f(x) - f(a)|}{\min_{b: |x-b|=\varepsilon} |f(x) - f(b)|} \leq K.$$

A K -quasiball is the image of the unit ball under a K -quasiconformal mapping. For $d = 2$ also the name quasicircle is commonly used.

Theorem

Let $1 \leq p < \infty$, $0 < s < 1$ and let $E \subset \mathbb{R}^d$ be a K -quasiball. Then

$$\| \mathcal{X}_E |B_{p,p}^s(\mathbb{R}^d)| \| \asymp \left(|E| + \int_0^{\delta^*} \delta^{-ps} |\partial E^\delta| \frac{d\delta}{\delta} \right)^{1/p},$$

where $\delta^* := \inf\{\delta : E \subset \partial E^\delta\}$.

- Faraco and Rogers 2012.

3.6. Examples

Definition

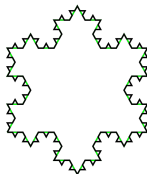
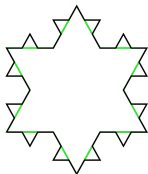
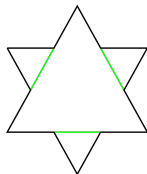
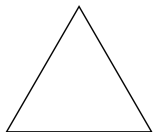
Let $d \geq 2$. We define an elementary domain with Hölder continuous boundary of order $\alpha \in (0, 1]$ by replacing (v) in Definition 2 by

$$|\varphi(x') - \varphi(y')| \leq L|x' - y'|^\alpha, \quad x', y' \in W.$$

Lemma

Let $d \geq 2$. Let $\alpha \in (0, 1)$. Let E be an elementary domain with Hölder continuous boundary of order α . Then $\chi_E \in B_{p,\infty}^{\alpha/p}(\mathbb{R}^d)$ for all $p \in [1, \infty)$.

The snowflake domain



Ω - snow flake domain with the von Koch curve as its boundary.

- (i) Ω is a (ε, ∞) domain;
- (ii) Ω is a John domain;
- (iii) Ω is a quasiball;
- (iv) Ω is a selfsimilar set;
- (v) $\dim_H \partial\Omega = \dim_M \partial\Omega = \log 4 / \log 3$;

- Jones 1981;
- Falconer 1990;
- Mattila 1995;
- Buckley, Koskela 1995;
- D. Meyer 2010;

Corollary

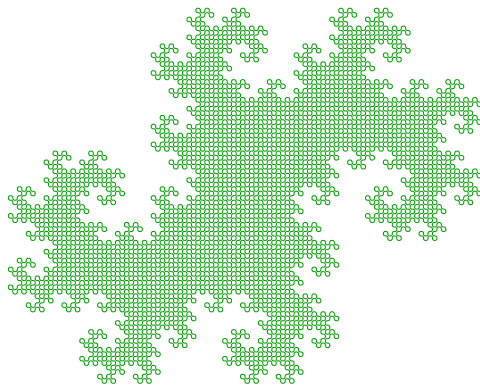
Let $1 \leq p < \infty$. The characteristic function χ_Ω of the snowflake domain belongs to $B_{p,p}^s(\mathbb{R}^2)$ if and only if $s < \frac{1}{p} \left(2 - \frac{\log 4}{\log 3} \right)$.

- S. 1999 (if-part);
- Jaffard, Meyer 1996;
- Faraco, Rogers 2013 (if and only if).

Theorem

Let $1 \leq p < \infty$. The characteristic function χ_Ω of the snowflake domain Ω belongs to $B_{p,\infty}^s(\mathbb{R}^2)$ if and only if $s \leq (2 - \log 4 / \log 3) / p$.

The twindragon



- a space filling curve with a fractal boundary.
- Relatives: highway dragon, Levy dragon.
- can be used as a scaling function in wavelet theory

Let T be the set filled by this curve and denote by ∂T its boundary. It holds that $\dim_H \partial T = \dim_M \partial T = \delta$, where δ is the unique solution of

$$\left(\frac{1}{\sqrt{2}}\right)^\delta + 2\left(\frac{1}{2\sqrt{2}}\right)^\delta = 1,$$

given by

$$\delta := \log_2 \left(\frac{1 + \sqrt[3]{73 - 6\sqrt{87}} + \sqrt[3]{73 + 6\sqrt{87}}}{3} \right) \sim 1.5236,$$

- Mandelbrot 1987.

Lemma

Let $1 \leq p < \infty$. Then we have $\mathcal{X}_T \in B_{p,\infty}^{\frac{2-\delta}{p}}(\mathbb{R}^2)$.

d-sets (Ahlfors regular sets)

Definition

Let Γ be a non-empty compact set in \mathbb{R}^d . Let $0 \leq \delta \leq d$. Then Γ is called an δ -set if there exists a finite Radon measure μ in \mathbb{R}^d satisfying

$$\text{supp } \mu = \Gamma \quad \text{and} \quad \mu(B(y, r)) \asymp r^\delta, \quad y \in \Gamma, \quad 0 < r < 1.$$

Corollary

Let E be a bounded domain in \mathbb{R}^d with boundary ∂E being an δ -set for some $d - 1 < \delta < d$. Let $1 \leq p < \infty$. Then we have $\chi_E \in B_{p, \infty}^{\frac{d-\delta}{p}}(\mathbb{R}^d)$ for all $p \in [1, \infty)$.

- Triebel 2003;
- Schneider, Vybiral 2013.

Particular examples of δ -sets are self-similar sets. E.g., ∂T and $\partial\Omega$ are self-similar sets. In view of these examples one may conjecture:

$\chi_E \in B_{p,\infty}^s(\mathbb{R}^d)$ and

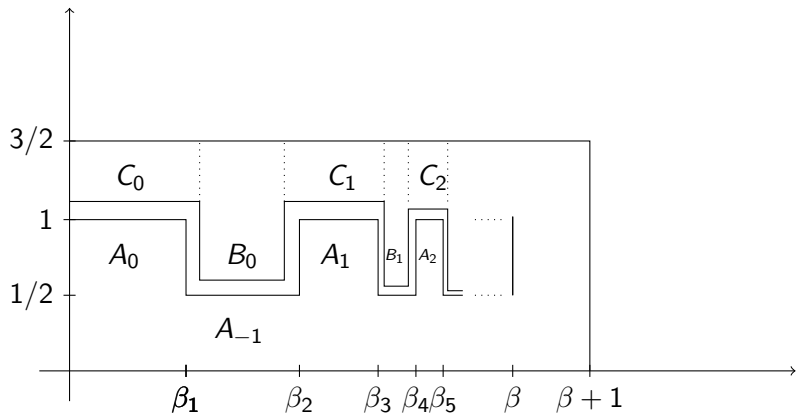
$$s = \frac{1}{p} \left(d - \dim_M \partial E \right) = \frac{1}{p} \left(d - \dim_H \partial E \right).$$

But this is wrong in general !

3.7. Generalized Nikodym domains $E_{\alpha,\gamma}$

Let $\gamma \geq \alpha > 1$. Then we define

$$\beta_j := \sum_{\ell=1}^j \ell^{-\alpha}, \quad \beta := \sum_{\ell=1}^{\infty} \ell^{-\alpha} \quad \text{and} \quad \delta_j := \frac{1}{4(2j+2)^\gamma}, \quad j \in \mathbb{N}.$$



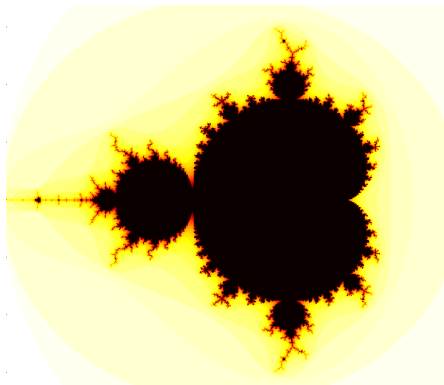
Theorem

Let $\gamma > \alpha > 1$. Then the sets $E_{\alpha,\gamma}$ have the following properties.

- (i) $\dim_M(\partial E_{\alpha,\gamma}) = 1 + 1/\alpha$.
- (ii) $\dim_H(\partial E_{\alpha,\gamma}) = \dim_P(\partial E_{\alpha,\gamma}) = 1$.
- (iii) $\chi_{E_{\alpha,\gamma}} \in B_{p,\infty}^s(\mathbb{R}^2)$ if and only if $sp \leq (1 - 1/\gamma)$.
- (iv) Let $1 \leq q < \infty$. Then $\chi_{E_{\alpha,\gamma}} \in B_{p,q}^s(\mathbb{R}^2)$ if and only if $sp < (1 - 1/\gamma)$.

$$\begin{aligned} \frac{1}{p} \left(d - \dim_M \partial E_{\alpha,\gamma} \right) &= \frac{1}{p} \left(2 - \left(1 + \frac{1}{\alpha} \right) \right) < \frac{1}{p} \left(1 - \frac{1}{\gamma} \right) \\ &< \frac{1}{p} (2 - 1) = \frac{1}{p} \left(d - \dim_H \partial E_{\alpha,\gamma} \right). \end{aligned}$$

4. The Mandelbrot set



The Mandelbrot set D has the following properties:

- $\dim_H D = 2$;
- $\dim_H \partial D = 2$;
- $\dim_M \partial D = 2$, see Shishikura 1998.

5. The necessary condition of Jaffard and Meyer

We define

$$\partial E_* = \left\{ x \in \partial E : \exists \mu > 0 \text{ such that } \forall \varepsilon, 0 < \varepsilon \leq 1, \exists A_\varepsilon, B_\varepsilon \text{ satisfying} \right. \\ \left. A_\varepsilon \subset B(x, \varepsilon) \cap E, B_\varepsilon \subset B(x, \varepsilon) \cap F, \text{ and } |A_\varepsilon| \cdot |B_\varepsilon| \geq \mu \varepsilon^{2d} \right\}.$$

• If E is an (ε, δ) -domain, then $\partial E = \partial E_*$.

Let A be a subset of \mathbb{R}^d . By $\dim_P(A)$ we denote the packing dimension of A .

Jaffard, Meyer (1996):

Theorem

Let E be a nontrivial subset of \mathbb{R}^d . Suppose \mathcal{X}_E belongs to $B_{p,p}^s(\mathbb{R}^d)$ for some $s > 0$ and $1 \leq p < \infty$. Then $\dim_P(\partial E_) \leq d - sp$.*

6. Some references

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