

Sub-Riemannian Heisenberg Groups

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Context

- Invariant sub-Riemannian structures on Lie groups.
- Structures on nilpotent groups and Carnot groups.

Problem: structures on Heisenberg groups

- Classification of sub-Riemannian (and Riemannian) structures.
- Determination of isometry group for normal forms.
- Computation of geodesics.

Outline

- 1 Introduction
- 2 Classification
- 3 Isometry group
- 4 Geodesics
- 5 Conclusion

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Left-invariant sub-Riemannian manifold $(G, \mathcal{D}, \mathbf{g})$

- **Lie group** G with Lie algebra \mathfrak{g} .
- Left-invariant bracket generating **distribution** \mathcal{D}
 - $\mathcal{D}(g)$ is subspace of $T_g G$
 - $\mathcal{D}(g) = T_1 L_g \cdot \mathcal{D}(\mathbf{1})$
 - $\text{Lie}(\mathcal{D}(\mathbf{1})) = \mathfrak{g}$.
- Left-invariant Riemannian **metric** \mathbf{g} on \mathcal{D}
 - \mathbf{g}_g is a symmetric positive definite inner product on $\mathcal{D}(g)$
 - $\mathbf{g}_g(T_1 L_g \cdot A, T_1 L_g \cdot B) = \mathbf{g}_1(A, B)$ for $A, B \in \mathfrak{g}$.

Remark

Structure $(\mathcal{D}, \mathbf{g})$ on G is fully specified by

- subspace $\mathcal{D}(\mathbf{1})$ of Lie algebra \mathfrak{g}
- inner product \mathbf{g}_1 on $\mathcal{D}(\mathbf{1})$.

Isometric

$(G, \mathcal{D}, \mathbf{g})$ and $(G', \mathcal{D}', \mathbf{g}')$ are isometric
if there exists a **diffeomorphism** $\phi : G \rightarrow G'$ such that
$$\phi_* \mathcal{D} = \mathcal{D}' \text{ and } \mathbf{g} = \phi^* \mathbf{g}'$$

Theorem (cf. [Lau99a, Lau99b, Wil82])

On simply connected nilpotent Lie groups, any isometry between left-invariant Riemannian structures is the composition of a left translation and a Lie group isomorphism.

Theorem (cf. [Ham90, Kis03], see also [CaLeD14])

On Carnot groups, any isometry between the associated left-invariant sub-Riemannian structures is the composition of a left translation and a Lie group isomorphism.

Heisenberg group

$$H_n : \begin{bmatrix} 1 & x_1 & x_2 & \cdots & x_n & z \\ 0 & 1 & 0 & & 0 & y_1 \\ 0 & 0 & 1 & & 0 & y_2 \\ \vdots & & & \ddots & & \vdots \\ 0 & \cdots & & & 1 & y_n \\ 0 & \cdots & & & 0 & 1 \end{bmatrix} = m(z, x, y), \quad z, x_i, y_i \in \mathbb{R}$$

- Simply connected $(2n + 1)$ -dimensional nilpotent Lie group.
- Has one-dimensional centre: $\{m(z, 0, 0) : z \in \mathbb{R}\}$.
- Two-step Carnot group.

Heisenberg Lie algebra

$$\mathfrak{h}_n : \begin{bmatrix} 0 & x_1 & x_2 & \cdots & x_n & z \\ 0 & 0 & 0 & & 0 & y_1 \\ 0 & 0 & 0 & & 0 & y_2 \\ \vdots & & & \ddots & & \vdots \\ 0 & & \cdots & & 0 & y_n \\ 0 & & \cdots & & 0 & 0 \end{bmatrix} = zZ + \sum_{i=1}^n (x_i X_i + y_i Y_i), \quad z, x_i, y_i \in \mathbb{R}$$

- Commutators: $[X_i, Y_j] = \delta_{ij}Z$.
- Ordered basis: $(Z, X_1, Y_1, \dots, X_n, Y_n)$.

Automorphism group

Let ω be the skew-symmetric bilinear form on \mathfrak{h}_n specified by

$$[A, B] = \omega(A, B)Z, \quad A, B \in \mathfrak{h}_n.$$

Characterization

(cf. [GoOnVi97])

A linear isomorphism $\psi : \mathfrak{h}_n \rightarrow \mathfrak{h}_n$ is a Lie algebra automorphism if and only if $\psi \cdot Z = cZ$ and $\omega(\psi \cdot A, \psi \cdot B) = c\omega(A, B)$ for some $c \neq 0$.

With respect to ordered basis: $(Z, X_1, Y_1, X_2, Y_2, \dots, X_n, Y_n)$,

$$\omega = \begin{bmatrix} 0 & 0 \\ 0 & J \end{bmatrix}, \quad \text{where } J = \begin{bmatrix} 0 & 1 & & & 0 \\ -1 & 0 & & & \\ & & \ddots & & \\ & & & 0 & 1 \\ 0 & & & -1 & 0 \end{bmatrix}.$$

Automorphism group

Proposition (cf. [Saal96, BiNa13])

The group of automorphisms $\text{Aut}(\mathfrak{h}_n)$ is given by

$$\left\{ \begin{bmatrix} r^2 & v \\ 0 & rg \end{bmatrix}, \sigma \begin{bmatrix} r^2 & v \\ 0 & rg \end{bmatrix} : r > 0, v \in \mathbb{R}^{1 \times 2n}, g \in \text{Sp}(n, \mathbb{R}) \right\}$$

where

$$\text{Sp}(n, \mathbb{R}) = \left\{ g \in \mathbb{R}^{2n \times 2n} : g^T J g = J \right\}$$

is the $n(2n + 1)$ -dimensional symplectic group over \mathbb{R} and

$$\sigma = \begin{bmatrix} -1 & 0 & \cdots & 0 \\ 0 & 0 & 1 & 0 \\ & 1 & 0 & \\ \vdots & & & \ddots & \\ & & & & 0 & 1 \\ 0 & 0 & & & 1 & 0 \end{bmatrix}.$$

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Theorem ([BiNa13])

Any left-invariant Riemannian structure on H_n is isometric to exactly one of the structures

$$\mathfrak{g}_1^\lambda = \begin{bmatrix} 1 & 0 \\ 0 & \Lambda \end{bmatrix}, \quad \Lambda = \text{diag}(\lambda_1, \lambda_1, \lambda_2, \lambda_2, \dots, \lambda_n, \lambda_n)$$

i.e., with orthonormal base

$$\left(Z, \frac{1}{\sqrt{\lambda_1}} X_1, \frac{1}{\sqrt{\lambda_1}} Y_1, \frac{1}{\sqrt{\lambda_2}} X_2, \frac{1}{\sqrt{\lambda_2}} Y_2, \dots, \frac{1}{\sqrt{\lambda_n}} X_n, \frac{1}{\sqrt{\lambda_n}} Y_n \right).$$

Here $\lambda_1 \geq \lambda_2 \geq \dots \geq \lambda_n > 0$ parametrize a family of (non-isometric) class representatives.

Proof sketch

- \mathbf{g} and \mathbf{g}' isometric if and only if $\mathbf{g}_1(A, B) = \mathbf{g}_1(\psi \cdot A, \psi \cdot B)$ for some $\psi \in \text{Aut}(\mathfrak{h}_3)$.
- In coordinates, application of inner automorphism:

$$\psi = \begin{bmatrix} 1 & v \\ 0 & I_{2n} \end{bmatrix} \quad \mathbf{g}'_1 = \psi^\top \mathbf{g}_1 \psi = \begin{bmatrix} \frac{1}{r^2} & 0 \\ 0 & Q' \end{bmatrix}.$$

- Application of automorphism $\psi' = \text{diag}(r^2, r, \dots, r)$:

$$\mathbf{g}''_1 = \psi'^\top \mathbf{g}'_1 \psi' = \begin{bmatrix} 1 & 0 \\ 0 & Q'' \end{bmatrix}.$$

- Application of symplectic transformations $\begin{bmatrix} 1 & 0 \\ 0 & g \end{bmatrix}$, $g \in \text{Sp}(n, \mathbb{R})$ we can diagonalize to given form.

Theorem ([BiNa13])

Any left-invariant sub-Riemannian structure on H_n is isometric to exactly one of the structures $(\mathcal{D}, \mathbf{g}^\lambda)$ specified by

$$\begin{cases} \mathcal{D}(\mathbf{1}) = \text{span}(X_1, Y_1, \dots, X_n, Y_n) \\ \mathbf{g}_1^\lambda = \Lambda = \text{diag}(\lambda_1, \lambda_1, \lambda_2, \lambda_2, \dots, \lambda_n, \lambda_n) \end{cases}$$

i.e., with orthonormal base

$$\left(\frac{1}{\sqrt{\lambda_1}} X_1, \frac{1}{\sqrt{\lambda_1}} Y_1, \frac{1}{\sqrt{\lambda_2}} X_2, \frac{1}{\sqrt{\lambda_2}} Y_2, \dots, \frac{1}{\sqrt{\lambda_n}} X_n, \frac{1}{\sqrt{\lambda_n}} Y_n \right).$$

Here $1 = \lambda_1 \geq \lambda_2 \geq \dots \geq \lambda_n > 0$ parametrize a family of (non-isometric) class representatives.

Proof sketch

- $(\mathcal{D}, \mathbf{g})$ and $(\mathcal{D}', \mathbf{g}')$ isometric if and only if

$$\psi \cdot \mathcal{D}(\mathbf{1}) = \mathcal{D}'(\mathbf{1}) \quad \text{and} \quad \mathbf{g}_1(A, B) = \mathbf{g}_1(\psi \cdot A, \psi \cdot B)$$

for some $\psi \in \text{Aut}(\mathfrak{h}_3)$.

- For any subspace $\mathfrak{s} \subseteq \mathfrak{h}_n$, we have $\text{Lie}(\mathfrak{s}) \leq \text{span}(\mathfrak{s}, Z)$. So, if $\text{Lie}(\mathfrak{s}) = \mathfrak{h}_n$ and $\mathfrak{s} \neq \mathfrak{h}_n$, then \mathfrak{s} has codimension one and

$$\mathfrak{s} = \text{span}(X_1 + v_1 Z, \dots, X_n + v_n Z, Y_1 + v_{n+1} Z, \dots, Y_n + v_{2n} Z).$$

Accordingly, we have an inner automorphism

$$\psi = \begin{bmatrix} 1 & -v \\ 0 & I_{2n} \end{bmatrix}, \quad \psi \cdot \mathfrak{s} = \text{span}(X_1, \dots, X_n, Y_1, \dots, Y_n).$$

- Diagonalize metric by symplectic transformations.

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Structure of isometry group

- The isometry group decomposes as semidirect product

$$\text{Iso}(\mathbb{H}_n, \mathcal{D}, \mathbf{g}) = \mathbb{H}_n \rtimes \text{Iso}_1(\mathbb{H}_n, \mathcal{D}, \mathbf{g})$$

of left translations (normal) and the isotropy group of the identity.

- As \mathbb{H}_n is simply connected, there is a one-to-one correspondence between $\text{Aut}(\mathbb{H}_n)$ and $\text{Aut}(\mathfrak{h}_n)$.
- Accordingly, to determine $\text{Iso}_1(\mathbb{H}_n, \mathcal{D}, \mathbf{g})$, we need only find the subgroup of linearized isotropies

$$d \text{Iso}_1(\mathbb{H}_n, \mathcal{D}, \mathbf{g}) = \left\{ \psi \in \text{Aut}(\mathfrak{h}_n) : \begin{array}{l} \psi \cdot \mathcal{D}(\mathbf{1}) = \mathcal{D}(\mathbf{1}) \\ \mathbf{g}_1(A, B) = \mathbf{g}_1(\psi \cdot A, \psi \cdot B) \end{array} \right\}.$$

Theorem

The group of linearized isotropies $d \text{Iso}_1(H_n, \mathcal{D}, \mathbf{g}^\lambda)$ for both the Riemannian and sub-Riemannian structures are given by

$$\left\{ \left[\begin{array}{cccc} 1 & 0 & \cdots & 0 \\ 0 & g_1 & & 0 \\ \vdots & & \ddots & \\ 0 & 0 & & g_k \end{array} \right], \sigma \left[\begin{array}{cccc} 1 & 0 & \cdots & 0 \\ 0 & g_1 & & 0 \\ \vdots & & \ddots & \\ 0 & 0 & & g_k \end{array} \right] : g_i \in \text{U}(m_i) \right\}$$

where the unitary group $\text{U}(m_i) = \text{Sp}(m_i, \mathbb{R}) \cap \text{O}(2m_i)$.

The numbers m_1, \dots, m_k denote the multiplicities of the distinct values in the list $(\lambda_1, \lambda_2, \dots, \lambda_n)$.

Proof sketch

- Automorphisms:

$$\psi = \begin{bmatrix} r^2 & v \\ 0 & rg \end{bmatrix} \quad \text{or} \quad \psi = \sigma \begin{bmatrix} r^2 & v \\ 0 & rg \end{bmatrix}$$

- For the sub-Riemannian case, we have $v = 0$ as $\psi \cdot \mathcal{D}(\mathbf{1}) = \mathcal{D}(\mathbf{1})$; preservation of metric implies $r = 1$. Likewise for Riemannian case.
- In either case: $\psi = \begin{bmatrix} 1 & 0 \\ 0 & g \end{bmatrix}$, $g^\top Jg = J$, and $g^\top \Lambda g = \Lambda$.
- Can show that g must preserve eigenspaces of Λ^2 and so $g = \text{diag}(g_1, \dots, g_k)$, $g \in \text{GL}(2m_i, \mathbb{R})$.
- Conditions $g^\top Jg = J$, and $g^\top \Lambda g = \Lambda$ then imply $g_i \in \text{Sp}(m_i, \mathbb{R})$ and $g_i \in \text{O}(2m_i)$, respectively.

- The automorphisms

$$\psi = \begin{bmatrix} 1 & 0 & \cdots & 0 \\ 0 & g_1 & & 0 \\ \vdots & & \ddots & \\ 0 & 0 & & g_n \end{bmatrix}, \quad g_i \in \text{SO}(2)$$

are isotropies for all structures.

- $n \leq \dim \text{Iso}_1(\mathbb{H}_n, \mathcal{D}, \mathbf{g}^\lambda) = \sum_{i=1}^k m_i^2 \leq n^2$
 - Minimal symmetry: all values $\lambda_1, \dots, \lambda_n$ are distinct.
 - Maximal symmetry: all values $\lambda_1, \dots, \lambda_n$ are identical.
- Riemannian structures not symmetric. However, sub-Riemannian structures are sub-symmetric.

Theorem

For the sub-Riemannian structures on H_n , a mapping $\phi : G \rightarrow G$ is a diffeomorphism such that $\phi_\mathcal{D} = \mathcal{D}$ and $\phi^*\mathbf{g}^\lambda = r\mathbf{g}^\lambda$ for some $r > 0$ if and only if ϕ is the composition of an isometry and an automorphism $\delta_r \in \text{Aut}(H_n)$ given by*

$$\delta_r : m(z, x, y) \mapsto m(rz, \sqrt{r}x, \sqrt{r}y).$$

Remark

For the Riemannian structures, a mapping $\phi : G \rightarrow G$ is an automorphism such that $\phi^*\mathbf{g}^\lambda = r\mathbf{g}^\lambda$ for some $r > 0$ if and only if ϕ is an isometry (and $r = 1$).

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Theorem

The unit speed geodesics for the sub-Riemannian structure $(H_n, \mathcal{D}, \mathbf{g}^\lambda)$ are, up to composition with an isometry, given by

(i) $g(t) = m(z(t), x(t), y(t))$, where

$$z(t) = \frac{1}{4} \sum_{i=1}^n \frac{c_i^2}{c_0^2} \left(\frac{2c_0}{\lambda_i} t - \sin\left(\frac{2c_0}{\lambda_i} t\right) \right)$$

$$x_i(t) = \frac{c_i}{c_0} \sin\left(\frac{c_0}{\lambda_i} t\right)$$

$$y_i(t) = \frac{c_i}{c_0} \left(1 - \cos\left(\frac{c_0}{\lambda_i} t\right)\right);$$

(ii) $g(t) = m(0, x(t), 0)$, where $x_i(t) = \frac{c_i}{\lambda_i} t$.

Here $c_1, \dots, c_n \geq 0$, $\sum_{i=1}^n \frac{c_i^2}{\lambda_i} = 1$ and $c_0 > 0$ parametrize a family of geodesics.

Remark

A geodesic (from identity) is uniquely determined by its first and second derivative (at identity). For the above curves we have

$$\dot{z}(0) = 0$$

$$\ddot{z}(0) = 0$$

$$\dot{x}_i(0) = \frac{c_i}{\lambda_i}$$

$$\ddot{x}_i(0) = 0$$

$$\dot{y}_i(0) = 0$$

$$\ddot{y}_i(0) = \frac{c_i}{\lambda_i^2} c_0.$$

Proof sketch (1/3)

The length minimization problem

$$\dot{g}(t) \in \mathcal{D}(g(t)), \quad g(0) = g_0, \quad g(t_1) = g_1, \\ \int_0^T \sqrt{\mathbf{g}^\lambda(\dot{g}(t), \dot{g}(t))} \rightarrow \min$$

is equivalent to the energy minimization problem (or invariant optimal control problem)

$$\dot{g}(t) = g(t) \sum_{i=1}^n (u_{X_i}(t) X_i + u_{Y_i}(t) Y_i), \quad g(0) = g_0, \quad g(T) = g_1 \\ \int_0^T \sum_{i=1}^n \lambda_i (u_{X_i}(t)^2 + u_{Y_i}(t)^2) dt \rightarrow \min.$$

Proof sketch (2/3)

- Via the Pontryagin Maximum Principle, lift problem to cotangent bundle $T^*\mathbb{H}_n = \mathbb{H}_n \times \mathfrak{h}_n^*$.
- Geodesics are projections of integral curves of

$$H(g, p) = \sum_{i=1}^n \frac{1}{\lambda_i} (p_{X_i}^2 + p_{Y_i}^2), \quad (g, p) \in \mathbb{H}_n \times \mathfrak{h}_n^*.$$

- Accordingly, geodesics $g(t) = m(z(t), x(t), y(t))$ are solutions of

$$\begin{aligned} \dot{z} &= \sum_{i=1}^n \frac{1}{\lambda_i} x_i p_{Y_i} & \dot{x}_i &= \frac{1}{\lambda_i} p_{X_i} & \dot{y}_i &= \frac{1}{\lambda_i} p_{Y_i} \\ \dot{p}_Z &= 0 & \dot{p}_{X_i} &= -\frac{1}{\lambda_i} p_Z p_{Y_i} & \dot{p}_{Y_i} &= \frac{1}{\lambda_i} p_Z p_{X_i}. \end{aligned}$$

Proof sketch (3/3)

- By application of a left-translation, we may assume $g(0) = \mathbf{1}$, i.e., $z(0) = x_i(0) = y_i(0) = 0$.
- By application of an isotropy

$$\psi = \begin{bmatrix} 1 & 0 & \cdots & 0 \\ 0 & g_1 & & 0 \\ \vdots & & \ddots & \\ 0 & 0 & & g_n \end{bmatrix}, \quad g_i \in SO(2)$$

we may assume $\dot{y}_i(0) = 0$ and $\dot{x}_i(0) \geq 0$, i.e., $p_{Y_i}(0) = 0$ and $p_{X_i}(0) \geq 0$.

- Finally, solve Cauchy problem and find unit speed reparametrization.

Totally geodesic submanifold N

Satisfies property: whenever a geodesic $g(\cdot)$ is tangent to N at some point $g \in N$, then the entire trace of $g(\cdot)$ is contained in N .

Corollary

The subgroups with Lie algebra spanned by

$$\begin{aligned} &(Z, X_1, Y_1) \\ &(Z, X_1, Y_1, X_2, Y_2) \\ &\vdots \end{aligned}$$

are totally geodesic submanifolds for $(H_n, \mathcal{D}, \mathbf{g}^\lambda)$.

Theorem

The unit speed geodesics for the Riemannian structure \mathbf{g}^λ are, up to a composition with an isometry, given by

(i) $g(t) = m(z(t), x(t), y(t))$, where

$$z(t) = c_0 t + \frac{1}{4} \sum_{i=1}^n \frac{c_i^2}{c_0^2} \left(\frac{2c_0}{\lambda_i} t - \sin\left(\frac{2c_0}{\lambda_i} t\right) \right)$$

$$x_i(t) = \frac{c_i}{c_0} \sin\left(\frac{c_0}{\lambda_i} t\right)$$

$$y_i(t) = \frac{c_i}{c_0} \left(1 - \cos\left(\frac{c_0}{\lambda_i} t\right)\right);$$

(ii) $g(t) = m(0, x(t), 0)$, where $x_i(t) = \frac{c_i}{\lambda_i} t$ if $a_0 = 0$.

Here $c_0, c_i \geq 0$, $c_0^2 + \sum_{i=1}^n \frac{c_i^2}{\lambda_i} = 1$.

Remark

A geodesic (from identity) is uniquely determined by its first derivative (at identity). For the above curves we have

$$\dot{z}(0) = c_0$$

$$\dot{x}_i(0) = \frac{c_i}{\lambda_i}$$

$$\dot{y}_i(0) = 0.$$

Relation between geodesics

Sub-Riemannian and Riemannian geodesics are very similar:

Sub-Riemannian geodesics	Riemannian geodesics
$z(t) = \frac{1}{4} \sum \frac{c_i^2}{c_0^2} \left(\frac{2c_0}{\lambda_i} t - \sin\left(\frac{2c_0}{\lambda_i} t\right) \right)$ $x_i(t) = \frac{c_i}{c_0} \sin\left(\frac{c_0}{\lambda_i} t\right)$ $y_i(t) = \frac{c_i}{c_0} \left(1 - \cos\left(\frac{c_0}{\lambda_i} t\right) \right)$	$z(t) = c_0 t + \frac{1}{4} \sum \frac{c_i^2}{c_0^2} \left(\frac{2c_0}{\lambda_i} t - \sin\left(\frac{2c_0}{\lambda_i} t\right) \right)$ $x_i(t) = \frac{c_i}{c_0} \sin\left(\frac{c_0}{\lambda_i} t\right)$ $y_i(t) = \frac{c_i}{c_0} \left(1 - \cos\left(\frac{c_0}{\lambda_i} t\right) \right)$
$z(t) = 0$ $x_i(t) = \frac{c_i}{c_0} \sin\left(\frac{c_0}{\lambda_i} t\right)$ $y_i(t) = 0$	$z(t) = 0$ $x_i(t) = \frac{c_i}{c_0} \sin\left(\frac{c_0}{\lambda_i} t\right)$ $y_i(t) = 0$

Relation between geodesics

The mapping

$$\pi : H_n \rightarrow \mathbb{R}^{2n} \cong H_n / Z(H_n), \quad m(z, x, y) \mapsto (x, y).$$

is a Lie group epimorphism with kernel $\ker \pi = Z(H_n)$.

- Let $\tilde{\mathcal{G}}$ denote the collection of geodesics of $(H_n, \tilde{\mathfrak{g}})$.
- Let \mathcal{G} denote the collection of geodesics of $(H_n, \mathcal{D}, \mathfrak{g})$.

Theorem

If $(H_n, \tilde{\mathfrak{g}})$ tames $(H_n, \mathcal{D}, \mathfrak{g})$ and $\mathcal{D}(\mathbf{1}) = Z(\mathfrak{h}_n)^\perp$ with respect to $\tilde{\mathfrak{g}}_1$, then $\pi(\tilde{\mathcal{G}}) = \pi(\mathcal{G})$.

Relation between geodesics

Let $\tilde{g}(\cdot)$ be a geodesic of $(H_n, \tilde{\mathbf{g}})$. There exists a unique curve $g(\cdot)$ on H_n such that

$$g(0) = \tilde{g}(0), \quad \pi(g(t)) = \pi(\tilde{g}(t)), \quad \dot{g}(t) \in \mathcal{D}(g(t)).$$

We call $g(\cdot)$ the \mathcal{D} -projection of $\tilde{g}(\cdot)$.

Corollary

If $(H_n, \tilde{\mathbf{g}})$ tames $(H_n, \mathcal{D}, \mathbf{g})$ and $\mathcal{D}(\mathbf{1}) = Z(\mathfrak{h}_n)^\perp$ with respect to $\tilde{\mathbf{g}}_1$, then the geodesics of $(H_n, \mathcal{D}, \mathbf{g})$ are exactly the \mathcal{D} -projections of the geodesics of $(H_n, \tilde{\mathbf{g}})$.

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Outlook

- minimizing geodesics (cf. [TaYa04])
- totally geodesic submanifolds
- relation between geodesics: true for larger class?
- affine distributions (& optimal control)
- complete treatment for lower-dimensional Lie groups (cf. [AgBa12, Alm14, HaLe09, ArSa11, BoRo08, Maz12, MoSa10, MoAn02, Sac10])



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