

1 **THE ASYMPTOTIC OF TRANSMISSION EIGENVALUES FOR A DOMAIN**
2 **WITH A THIN COATING**

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4 **Abstract.** We consider the transmission eigenvalue problem for a medium surrounded by a thin layer of
5 inhomogeneous material with different refractive index. We derive explicit asymptotic expansion for the transmission
6 eigenvalues with respect to the thickness of the thin layer. We prove error estimate for the asymptotic expansion
7 up to order 1. This expansion can be used to obtain explicit expressions for constant index of refraction.

8 **Key words.** transmission eigenvalues, asymptotic expansions, thin layers, inverse scattering problems

9 **AMS subject classifications.** 35P30, 35P25

10 **1. Introduction.** This work is a contribution to the study of transmission eigenvalues [11, 4,
11 6] and their relation to the shape and material properties of scatterers. These special frequencies
12 are associated with the existence of an incident field that does not scatter. They can be equiva-
13 lently defined as the eigenvalues of a system of two coupled partial differential equations posed on
14 the inclusion domain. One of these equations refers to the equation satisfied by the total field and
15 the other one is satisfied by the incident field. The two equations are coupled on the boundary
16 by imposing that the Cauchy data coincide. This eigenvalue problem can then be formulated as
17 an eigenvalue problem for a non-selfadjoint compact operator. Although non intuitive, it can be
18 shown that this problem admits an infinite discrete set of real eigenvalues without finite accumu-
19 lation points [7, 26]. These special frequencies can be identified from far field data as proved in
20 [5, 19, 4]. Since they carry information on the material properties of the scatterer, transmission
21 eigenvalues would then be of interest for the inverse problem of retrieving qualitative information
22 on the material properties from measured multistatic data [14, 15]. In this perspective, it appears
23 important to study the dependence of these eigenfrequencies with respect to the material prop-
24 erties and the geometry. Several works in the literature have addressed this issue by considering
25 asymptotic regimes and quantifying the dependence of the first leading terms in the asymptotic
26 expansion of the transmission eigenvalue with respect to the small parameter [10, 8, 21, 16]. We
27 here consider the case of a scatterer made of a thin coating which corresponds to frequently en-
28 countered configurations in the stealth technology for instance. The goal is to characterize the
29 dependence of the first order term on the material properties and the thickness of the coating. A
30 first work on this topic was done in [10] where the case of coated perfect scatterer is considered.
31 One proves in particular for the latter case that the first order term depends only on the thickness.
32 We here address the more complicated configuration of a coated penetrable media. The analysis
33 indicates that the first order asymptotic resembles to the shape derivative for the buckling plate
34 equation [17] and contain non trivial dependence on the material properties. More importantly,
35 this expansion allows us to obtain explicit (approximate) expressions for the thin layer index of
36 refraction in terms of the thickness of the layer, the transmission eigenvalue for the coated medium
37 that can be extracted from the measurements and the transmission eigenvalues and eigenvectors
38 for the coated free medium that can be evaluated numerically. This indeed can be useful for the
39 solution of the inverse problem.

40 Although the formal derivation follows the systematic procedure using the classical scaled
41 expansion method (as in [3, 2, 13] for instance), the rigorous justification is much more involved.
42 For instance the arguments in [10] are hard to extend to the present case since special uniform
43 estimates have to be obtained for the transmission problem. We restrict ourselves here to the jus-
44 tification of the first two terms in the asymptotic expansion using the abstract theory developed
45 in [23, 21]. We follow the procedure developed in [8] for the case of small obstacles asymptotic.
46 The main technical point in the proof is to obtain the corrector for the main operator, which is

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47 here the biharmonic operator. Our main result provides explicit expansion for simple transmis-
 48 sion eigenvalues and for multiple transmission eigenvalues that are associated with a generalized
 49 eigenspace spanned only by eigenvectors.

50 We analyze the problem where the contrast in material properties affect only the lower order
 51 term in the Helmholtz equation. We finally indicate that although the problem is considered
 52 only in dimension 2, the results of the main theorem (including the expression of the first order
 53 asymptotic term) remain true for three dimensions (up to more complicated technicalities in the
 54 proof related to differential geometry).

55 The paper is organized as follows. We first introduce the transmission eigenvalues and write
 56 them as the eigenvalues of a non selfadjoint operator. We then present the main result of our paper
 57 and discuss applications to the inverse problem. We present next the outline of a classical formal
 58 procedure to obtain the expression of the asymptotic expansion. We give the expression till the
 59 second order term. We explain in particular why the expression of the second order term would
 60 have less interest in practice. We then proceed with the main part of the paper that provides
 61 explicit expressions and an error estimate for the first two terms in the asymptotic expansion.

62 **2. Problem statement and main results.** Let $\Omega \subset \mathbb{R}^2$ be a bounded domain with a
 63 smooth boundary Γ . We denote by

$$64 \quad \Omega_\epsilon^0 = \{x \in \Omega, \quad d(x, \Gamma) > \epsilon\}$$

65 and its boundary

$$66 \quad \Gamma_\epsilon = \{x \in \Omega, \quad d(x, \Gamma) = \epsilon\} = \partial\Omega_\epsilon^0,$$

67 for $\epsilon > 0$ a small enough parameter, where $d(x, \Gamma)$ denotes the distance of a point x to the boundary
 Γ . Let $\Omega_\epsilon = \Omega \setminus \overline{\Omega_\epsilon^0}$ be the layer of thickness ϵ around Ω_ϵ^0 (see Figure 1).

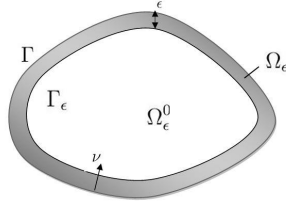


FIG. 1. *Stretch of the geometry*

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69

We consider the following transmission eigenvalue problem:

$$70 \quad (1) \quad \begin{cases} \Delta w_\epsilon + k_\epsilon^2 n_\epsilon(x) w_\epsilon = 0 & \text{in } \Omega, \\ \Delta v_\epsilon + k_\epsilon^2 v_\epsilon = 0 & \text{in } \Omega, \\ w_\epsilon = v_\epsilon & \text{on } \Gamma, \\ \frac{\partial w_\epsilon}{\partial \nu} = \frac{\partial v_\epsilon}{\partial \nu} & \text{on } \Gamma, \end{cases}$$

71 where k_ϵ denotes the unknown eigenfrequency and ν the unitary normal to Γ directed to the
 72 interior of Ω . The index of refraction n_ϵ is defined as follows:

$$73 \quad n_\epsilon(x) = \begin{cases} n_0(x) & \text{in } \Omega_\epsilon^0, \\ n_1(x) & \text{in } \Omega_\epsilon, \end{cases}$$

74 where n_0 and n_1 are non negative real valued functions $\in L^\infty(\mathbb{R}^2)$ that are independent from ϵ .
 75 For the sake of simplicity, we assume that the restriction of n_0 and n_1 to Ω_ϵ are constant functions
 76 along the normal coordinate to Γ for ϵ sufficiently small. We finally assume that the function
 77 $1/(1 - n_\epsilon)$ is either positive definite or negative definite on Ω . We remark that this assumption
 78 also implies that $1/(1 - n_0)$ is either positive definite or negative definite on Ω and that

$$79 \quad (2) \quad 1/|1 - n_\epsilon(x)| \geq \gamma > 0 \quad \text{for a.e. } x \in \Omega$$

with γ being independent from (sufficiently small) ϵ .

The main goal of this paper is to find the asymptotic expansion of eigenfrequencies k_ϵ with respect to ϵ . Assuming that $\frac{1}{1-n_\epsilon} \in L^\infty(\Omega)$, the transmission eigenvalue problem (1) can be reformulated as the nonlinear eigenvalue problem for $\lambda_\epsilon := k_\epsilon^2 \in \mathbb{R}$ and $u_\epsilon := w_\epsilon - v_\epsilon \in H_0^2(\Omega)$ such that

$$(\Delta + \lambda_\epsilon n_\epsilon) \frac{1}{1-n_\epsilon} (\Delta + \lambda_\epsilon) u_\epsilon = 0 \quad \text{in } \Omega,$$

80 which in variational form, after integration by parts, is formulated as finding $\lambda_\epsilon \in \mathbb{R}$ and non-trivial
81 function $u_\epsilon \in H_0^2(\Omega)$ such that

$$82 \quad (3) \quad \int_{\Omega} \frac{1}{1-n_\epsilon} (\Delta u_\epsilon + \lambda_\epsilon u_\epsilon) (\Delta \phi + \lambda_\epsilon n_\epsilon \phi) dx = 0, \quad \forall \phi \in H_0^2(\Omega).$$

83 The space $H_0^2(\Omega)$ denotes the closure in $H^2(\Omega)$ of the set of regular compactly supported functions
84 in Ω . We shall work with the reformulation of (3) as a linear eigenvalue problem for a non
85 selfadjoint compact operator [4]. First observe that (3) can be written as

$$86 \quad (4) \quad A_\epsilon u_\epsilon + \lambda_\epsilon B_\epsilon u_\epsilon + \lambda_\epsilon^2 C_\epsilon u_\epsilon = 0 \quad \text{in } H_0^2(\Omega)$$

87 where

$$88 \quad A_\epsilon : H_0^2(\Omega) \rightarrow H_0^2(\Omega), \quad B_\epsilon : H_0^2(\Omega) \rightarrow H_0^2(\Omega), \quad C_\epsilon : H_0^2(\Omega) \rightarrow H_0^2(\Omega)$$

89 are defined by the Riesz representation theorem as

$$90 \quad (5) \quad (A_\epsilon u_\epsilon, \phi)_{H_0^2(\Omega)} := \int_{\Omega} \frac{1}{1-n_\epsilon} \Delta u_\epsilon \Delta \phi dx,$$

91

$$92 \quad (6) \quad (B_\epsilon u_\epsilon, \phi)_{H_0^2(\Omega)} := \int_{\Omega} \frac{1}{1-n_\epsilon} (u_\epsilon \Delta \phi + n_\epsilon \Delta u_\epsilon \phi) dx,$$

93 and

$$94 \quad (7) \quad (C_\epsilon u_\epsilon, \phi)_{H_0^2(\Omega)} := \int_{\Omega} \frac{n_\epsilon}{1-n_\epsilon} u_\epsilon \phi dx.$$

95 Note that $A_\epsilon : H_0^2(\Omega) \rightarrow H_0^2(\Omega)$ is a bounded, self-adjoint and invertible operator (thanks to (2)),
96 $B_\epsilon : H_0^2(\Omega) \rightarrow H_0^2(\Omega)$ is a bounded, compact and self-adjoint operator and $C_\epsilon : H_0^2(\Omega) \rightarrow H_0^2(\Omega)$
97 is a (non negative or non positive) bounded, compact and self-adjoint operator. Observe that
98 since A_ϵ is invertible, $\lambda_\epsilon \neq 0$. In order to avoid distinguishing the cases of $1-n_\epsilon$ being positive or
99 negative we shall abusively set $C_\epsilon^{\frac{1}{2}} \equiv -(-C_\epsilon^{\frac{1}{2}})$ in the case where $1-n_\epsilon$ non positive.

100 Setting $U_\epsilon = (u_\epsilon, \lambda_\epsilon C_\epsilon^{\frac{1}{2}} u_\epsilon)$, the transmission eigenvalue problem (4) can be transformed into
101 the linear eigenvalue problem, $\tau_\epsilon \in \mathbb{R}$, $U_\epsilon \in H_0^2(\Omega) \times H_0^2(\Omega)$ such that

$$102 \quad (8) \quad (\mathcal{T}_\epsilon - \tau_\epsilon I) U_\epsilon = 0, \quad \text{with} \quad \tau_\epsilon = \frac{1}{\lambda_\epsilon},$$

103 for the compact non-selfadjoint operator $\mathcal{T}_\epsilon : H_0^2(\Omega) \times H_0^2(\Omega) \rightarrow H_0^2(\Omega) \times H_0^2(\Omega)$ defined by

$$104 \quad (9) \quad \mathcal{T}_\epsilon = \begin{pmatrix} -A_\epsilon^{-1} B_\epsilon & -A_\epsilon^{-1} C_\epsilon^{\frac{1}{2}} \\ C_\epsilon^{\frac{1}{2}} & 0 \end{pmatrix}.$$

105 We set

$$106 \quad (10) \quad \mathcal{T}_0 = \begin{pmatrix} -A_0^{-1} B_0 & -A_0^{-1} C_0^{\frac{1}{2}} \\ C_0^{\frac{1}{2}} & 0 \end{pmatrix}$$

107 where A_0, B_0 and C_0 are defined by (5), (6) and (7) respectively for $n_\epsilon = n_0$ in Ω . We state here
 108 the main result of this paper which will be proven in Section 4. In the following a transmission
 109 eigenvalue λ_0 is called simple if the corresponding $\tau_0 = 1/\lambda_0$ has an algebraic multiplicity equal
 110 to 1. We refer to Theorem 4.11 for the case where λ_0 has an associated eigenspace formed
 111 only by eigenvectors (and therefore an algebraic multiplicity that coincides with the geometrical
 112 multiplicity).

THEOREM 2.1. *Assume that $n_0, n_1 \in C^4(\overline{\Omega})$. Let $\lambda_0 \in \mathbb{R}$ be a simple transmission eigenvalue
 of (3) with $n_\epsilon = n_0$ in Ω and let $u_0 \in H_0^2(\Omega)$ be an associated eigenfunction. This implies in
 particular that*

$$\beta_0 := \int_{\Omega} \frac{1}{1-n_0} \left(\lambda_0^2 n_0 |u_0|^2 - |\Delta u_0|^2 \right) dx \neq 0.$$

113 *If we suppose in addition that u_0 and $A_0^{-1}u_0$ are in $C^6(\overline{\Omega})$, then, for sufficiently small $\epsilon > 0$, there
 114 exists a transmission eigenvalue λ_ϵ of (3) such that*

$$115 \quad \lambda_\epsilon = \lambda_0 + \epsilon \lambda_1 + O(\epsilon^{\frac{3}{2}})$$

116 *where λ_1 is given by the following expression*

$$117 \quad \lambda_1 := \frac{\lambda_0}{\beta_0} \int_{\Gamma} \frac{n_0 - n_1}{(1-n_0)^2} |\Delta u_0|^2 ds(x).$$

118 This theorem is an immediate consequence of Theorem 4.8 that is stated and proven in the
 119 last section of this paper.

120 The formal calculations in Section 3 show that the formula for λ_1 is generically valid whenever
 121 $\beta_0 \neq 0$. However, we remark that in the case of transmission eigenvalues with multiplicity greater
 122 than 1, this is not automatically ensured (See Theorem 4.11 for a rigorous expression of λ_1 that
 123 involves all eigenvectors associated with λ_0).

124 From the practical point of view, this theorem implies in particular that λ_1 gives a measure for
 125 the contrast $n_0 - n_1$. For instance, if n_1 is constant and n_0 is constant on Γ , one can approximate
 126 the value of n_1 using the identity

$$127 \quad (11) \quad n_1|_{\Gamma} = n_0|_{\Gamma} - \frac{\lambda_\epsilon - \lambda_0}{\epsilon \alpha_0} \int_{\Omega} \frac{1}{1-n_0} \left(\lambda_0 n_0 |u_0|^2 - \frac{1}{\lambda_0} |\Delta u_0|^2 \right) dx + O(\epsilon^{\frac{1}{2}})$$

with

$$\alpha_0 := \int_{\Gamma} \frac{|\Delta u_0|^2}{(1-n_0)^2} ds(x).$$

128 For the inverse problem where one would like to determine n_1 from multistatic measurements of
 129 scattered waves, the value of λ_ϵ can be approximated using sampling methods as in [5, 4] (see
 130 also [19] for an alternative approach). The values of λ_0 and u_0 can be computed numerically if
 131 one has a priori knowledge of n_0 and Ω (see for instance [12, 18, 20] for numerical methods to
 132 approximate λ_0 and u_0). We finally indicate that, although not carefully checked, we conjecture
 133 that the expression for λ_1 remains true in three dimensions (corrections due to the curvature of Γ
 134 only affect higher order terms).

135 **3. Formal asymptotic expansion.** In this section, we derive the formal asymptotic ex-
 136 pansion for transmission eigenvalues and give explicit formulas for the terms up to order 2. The
 137 idea here is to provide a systematic formal way to quickly obtain the explicit expression of λ_1 in
 138 Theorem 2.1 and also higher order terms. The latter turn out to have complicated expressions
 139 that would be of marginal interest for the solution of the inverse problem mentioned above. This
 140 formal stage will also be helpful in establishing the rigorous proof based of Osborn's theorem [23].
 141 It allows one to have an intuition for the expression of the corrector in the asymptotic of the main
 142 operator A_ϵ .

143 We assume the following expansions for the transmission eigenvalues :

$$144 \quad (12) \quad \lambda_\epsilon = \sum_{j=0}^{\infty} \epsilon^j \lambda_j,$$

145 and then follow a classical technique for thin layers asymptotics based on rescaling and asymptotic
146 expansion with respect to the thickness ϵ . We shall mainly follow the approach in [10].

147 **3.1. Scaling.** We assume that the boundary Γ is C^∞ -smooth, although much less regularity
148 is needed if we restrict ourselves to only few terms in the expansion. The issue of optimal regularity
149 assumptions for Γ is not discussed here. However, one can check that at least a C^2 regularity is
150 needed to get the expression of λ_1 . We parametrize Γ as

$$151 \quad \Gamma = \{x_\Gamma(s), s \in [0, L]\},$$

152 with L being the length of Γ and s is the curvilinear abscissa. At the point $x_\Gamma(s)$, the unit tangent
153 vector is $\tau(s) := \frac{dx_\Gamma(s)}{ds}$, the curvature $\kappa(s)$ is defined by:

$$154 \quad \frac{d\tau(s)}{ds} = -\kappa(s)\nu(s) \quad \text{or} \quad \frac{d\nu(s)}{ds} = \kappa(s)\tau(s).$$

155 Within these notations, the boundary of Ω_ϵ^0 is parametrized as

$$156 \quad \Gamma_\epsilon = \{x_\Gamma(s) + \epsilon\nu(s), s \in [0, L]\}.$$

157 This parametrization of the surface Γ_ϵ is equivalent to the definition of Γ_ϵ , for $\epsilon > 0$ a small enough
158 parameter.

159 For a function u defined in Ω_ϵ , we consider \tilde{u} defined on $[0, L] \times]0, \epsilon[$ by

$$160 \quad (13) \quad \tilde{u}(s, \eta) = u(\varphi(s, \eta)) \quad \text{where} \quad \varphi(s, \eta) := x_\Gamma(s) + \eta\nu(s).$$

161 Then, the gradient and Laplace operators are expressed in the local coordinates as:

$$162 \quad \nabla u = \left(\frac{1}{(1 + \eta\kappa(s))} \frac{\partial}{\partial s} \tau(s) + \frac{\partial}{\partial \eta} \nu(s) \right) \tilde{u},$$

$$163 \quad (14) \quad \Delta u = \left(\frac{1}{(1 + \eta\kappa)} \frac{\partial}{\partial s} \frac{1}{(1 + \eta\kappa)} \frac{\partial}{\partial s} + \frac{\kappa}{(1 + \eta\kappa)} \frac{\partial}{\partial \eta} + \frac{\partial^2}{\partial \eta^2} \right) \tilde{u}.$$

164 To make the formal calculations, we need to separate the thin layer and scaled it with respect
165 to the thickness so that the equation are posed on a domain independent from ϵ . We therefore
166 rewrite the transmission eigenvalue problem (1) in the following equivalent form

$$167 \quad (15) \quad \begin{cases} \Delta w_\epsilon^+ + k_\epsilon^2 n_1 w_\epsilon^+ = 0 & \text{in} & \Omega_\epsilon, \\ \Delta w_\epsilon^- + k_\epsilon^2 n_0 w_\epsilon^- = 0 & \text{in} & \Omega_\epsilon^0, \\ \Delta v_\epsilon + k_\epsilon^2 v_\epsilon = 0 & \text{in} & \Omega, \\ w_\epsilon^+ = w_\epsilon^-, \quad \frac{\partial w_\epsilon^+}{\partial \nu} = \frac{\partial w_\epsilon^-}{\partial \nu} & \text{on} & \Gamma_\epsilon, \\ w_\epsilon^+ = v_\epsilon & \text{on} & \Gamma, \\ \frac{\partial w_\epsilon^+}{\partial \nu} = \frac{\partial v_\epsilon}{\partial \nu} & \text{on} & \Gamma. \end{cases}$$

168 We denote by $\xi = \frac{\eta}{\epsilon}$ the stretched normal variable inside Ω_ϵ and define

$$169 \quad \varphi_\epsilon : \mathcal{G} = [0, L] \times]0, 1[\rightarrow \Omega_\epsilon$$

$$170 \quad (s, \xi) \mapsto \varphi_\epsilon(s, \xi) = x_\Gamma(s) + \epsilon\xi\nu(s).$$

170 Then the expression of the Laplace operator in the scaled layer is:

$$171 \quad (16) \quad \Delta u = \left(\frac{1}{(1 + \xi\epsilon\kappa)} \frac{\partial}{\partial s} \frac{1}{(1 + \xi\epsilon\kappa)} \frac{\partial}{\partial s} + \frac{\kappa}{(1 + \xi\epsilon\kappa)} \frac{\partial}{\partial \xi} + \frac{1}{\epsilon^2} \frac{\partial^2}{\partial \xi^2} \right) \hat{u} =: \Delta_{s, \xi} \hat{u}$$

172 for $\hat{u}(s, \xi) := u(\varphi_\epsilon(s, \xi))$.

173 The next step is to write the equation for w_ϵ^+ in the scaled domain and solve for the asymptotic
174 expansion of w_ϵ^+ in terms of the boundary values on Γ . These boundary values are given by the
175 asymptotic expansion of v_ϵ . More specifically, setting $\hat{w}_\epsilon(s, \xi) := w_\epsilon^+(\varphi_\epsilon(s, \xi))$, we have that

$$176 \quad (17) \quad \Delta_{s, \xi} \hat{w}_\epsilon + \lambda_\epsilon n_1 \hat{w}_\epsilon = 0 \quad \text{in} \quad \mathcal{G}$$

177 together with the boundary conditions

$$178 \quad (18) \quad \begin{cases} \hat{w}_\epsilon(s, 0) = v_\epsilon(x_\Gamma(s)) & s \in [0, L[, \\ \frac{1}{\epsilon} \frac{\partial \hat{w}_\epsilon}{\partial \xi}(s, 0) = \frac{\partial v_\epsilon}{\partial \nu}(x_\Gamma(s)) & s \in [0, L[. \end{cases}$$

179 We assume that

$$180 \quad (19) \quad \hat{w}_\epsilon(s, \xi) = \sum_{j=0}^{\infty} \epsilon^j \hat{w}_j(s, \xi), \quad (s, \xi) \in \mathcal{G} \quad \text{and} \quad v_\epsilon(x) = \sum_{j=0}^{\infty} \epsilon^j v_j(x), \quad x \in \Omega$$

181 for some functions \hat{w}_j defined on \mathcal{G} and v_j defined on Ω that are independent from ϵ . Multiplying
182 (17) by $\epsilon^2(1 + \xi\epsilon\kappa)^3$ and using (12), we obtain

$$183 \quad \sum_{k=0}^5 \epsilon^k A_k \hat{w}_\epsilon = 0,$$

184 where $(A_k)_{k=0\dots 5}$ are differential operators of order 2 at maximum with the following expressions
185 for the first fourth terms:

$$186 \quad A_0 = \frac{\partial^2}{\partial \xi^2},$$

$$187 \quad A_1 = 3\xi\kappa \frac{\partial^2}{\partial \xi^2} + \kappa \frac{\partial}{\partial \xi},$$

$$188 \quad A_2 = \frac{\partial^2}{\partial s^2} + 3\xi^2\kappa^2 \frac{\partial^2}{\partial \xi^2} + 2\xi\kappa^2 \frac{\partial}{\partial \xi} + \lambda_0 n_1,$$

$$189 \quad A_3 = \xi^3\kappa^3 \frac{\partial^2}{\partial \xi^2} + \xi^2\kappa^3 \frac{\partial}{\partial \xi} - \xi \frac{\partial \kappa}{\partial s} \frac{\partial}{\partial s} + \xi\kappa \frac{\partial^2}{\partial s^2} + 3\lambda_0 n_1 \xi\kappa + \lambda_1 n_1.$$

191 Inserting the ansatz (19) in (17) and (18) we obtain after equating the terms of same order in ϵ
192 and using the convention $\hat{w}_j = v_j = 0$ for $j < 0$,

$$193 \quad (20) \quad \begin{cases} \frac{\partial^2}{\partial \xi^2} \hat{w}_j = - \sum_{k=1}^5 A_k \hat{w}_{j-k} & \text{in } \mathcal{G}, \\ \hat{w}_j(s, 0) = v_j(x_\Gamma(s)) & s \in [0, L[, \\ \frac{\partial \hat{w}_j}{\partial \xi}(s, 0) = \frac{\partial v_{j-1}}{\partial \nu}(x_\Gamma(s)) & s \in [0, L[. \end{cases}$$

194 These equations can be solved inductively to get the expressions of \hat{w}_j in terms of the boundary
195 values of v_l , $l \leq j$. One gets for $j = 0, 1, 2$ and 3

$$196 \quad \hat{w}_0(s, \xi) = v_0(x_\Gamma(s)),$$

$$197 \quad \hat{w}_1(s, \xi) = \frac{\partial v_0}{\partial \nu}(x_\Gamma(s))\xi + v_1(x_\Gamma(s)),$$

(21)

$$198 \quad \hat{w}_2(s, \xi) = -\frac{\xi^2}{2} \left(\kappa \frac{\partial w_0^-}{\partial \nu}(x_\Gamma(s)) + \frac{\partial^2 w_0^-}{\partial s^2}(x_\Gamma(s)) + \lambda_0 n_1 w_0^-(x_\Gamma(s)) \right) + \frac{\partial v_1}{\partial \nu}(x_\Gamma(s))\xi + v_2(x_\Gamma(s)),$$

200 and

$$201 \quad \hat{w}_3(s, \xi) = \frac{\xi^3}{6} \left(-2\kappa^2 \frac{\partial w_0^-}{\partial \nu}(x_\Gamma(s)) - 3\kappa \frac{\partial^2 w_0^-}{\partial s^2}(x_\Gamma(s)) - \kappa \lambda_0 n_1 w_0^-(x_\Gamma(s)) + \lambda_0 n_1 \frac{\partial v_0}{\partial \nu}(x_\Gamma(s)) \right)$$

$$202 \quad + \frac{\xi^3}{6} \left(\frac{\partial^3 v_0}{\partial s^2 \partial \nu}(x_\Gamma(s)) - \kappa \frac{\partial w_0^-}{\partial s}(x_\Gamma(s)) \right)$$

(22)

$$203 \quad + \frac{\xi^2}{2} \left(\kappa \frac{\partial v_1}{\partial \nu}(x_\Gamma(s)) + \lambda_0 n_1 v_1(x_\Gamma(s)) + \lambda_1 n_1 w_0^-(x_\Gamma(s)) \right) + \frac{\partial v_2}{\partial \nu}(x_\Gamma(s))\xi + v_3(x_\Gamma(s)).$$

204

205 Now, we also postulate the following expansion for w_ϵ^- :

$$206 \quad (23) \quad w_\epsilon^-(x) = \sum_{j=0}^{\infty} \epsilon^j w_j^-(x)$$

207 with $w_j^- : \Omega \rightarrow \mathbb{R}$ are functions independent of ϵ . Then (w_j^-, v_j) solves

$$208 \quad (24) \quad \begin{cases} \Delta w_j^- + \lambda_0 n_0 w_j^- = - \sum_{l=1}^j \lambda_l n_0 w_{j-l}^- & \text{in } \Omega, \\ \Delta v_j + \lambda_0 v_j = - \sum_{l=1}^j \lambda_l v_{j-l} & \text{in } \Omega. \end{cases}$$

209 Note that the functions w_j^- are defined in all Ω and not only Ω_ϵ^0 and therefore (23) gives a extension
210 of w_ϵ^- to all Ω . The continuity conditions at Γ can be written as

$$211 \quad \tilde{w}_\epsilon^-(s, \epsilon) = \hat{w}_\epsilon(s, 1) \text{ and } \frac{\partial \tilde{w}_\epsilon^-}{\partial \eta}(s, \epsilon) = \frac{1}{\epsilon} \frac{\partial \hat{w}_\epsilon}{\partial \xi}(s, 1)$$

212 where \tilde{w}_ϵ^- is defined from w_ϵ^- using the local change of variables (13) in a neighborhood of Γ .
213 Using Taylor's expansion (up to the second order, which is sufficient to compute the first three
214 terms in the asymptotic expansion) we get

$$215 \quad (25) \quad \tilde{w}_\epsilon^-(s, \epsilon) = \tilde{w}_\epsilon^-(s, 0) + \epsilon \frac{\partial \tilde{w}_\epsilon^-}{\partial \eta}(s, 0) + \frac{\epsilon^2}{2} \frac{\partial^2 \tilde{w}_\epsilon^-}{\partial \eta^2}(s, 0) + o(\epsilon^2) = \hat{w}_\epsilon(s, 1)$$

216 and

$$217 \quad (26) \quad \frac{\partial \tilde{w}_\epsilon^-}{\partial \eta}(s, \epsilon) = \frac{\partial \tilde{w}_\epsilon^-}{\partial \eta}(s, 0) + \epsilon \frac{\partial^2 \tilde{w}_\epsilon^-}{\partial \eta^2}(s, 0) + \frac{\epsilon^2}{2} \frac{\partial^3 \tilde{w}_\epsilon^-}{\partial \eta^3}(s, 0) + o(\epsilon^2) = \frac{1}{\epsilon} \frac{\partial \hat{w}_\epsilon}{\partial \xi}(s, 1).$$

218 Injecting (19) and (23) into (25) and (26), we respectively obtain the following continuity conditions
219 on Γ ,

$$220 \quad w_0^-(x_\Gamma(s)) = \hat{w}_0(s, 1),$$

$$221 \quad (27) \quad w_1^-(x_\Gamma(s)) + \frac{\partial w_0^-}{\partial \nu}(x_\Gamma(s)) = \hat{w}_1(s, 1),$$

$$222 \quad w_2^-(x_\Gamma(s)) + \frac{\partial w_1^-}{\partial \nu}(x_\Gamma(s)) + \frac{1}{2} \frac{\partial^2 w_0^-}{\partial \nu^2}(x_\Gamma(s)) = \hat{w}_2(s, 1),$$

224 and

$$225 \quad 0 = \frac{\partial \hat{w}_0}{\partial \xi}(s, 1),$$

$$226 \quad (28) \quad \frac{\partial w_0^-}{\partial \nu}(x_\Gamma(s)) = \frac{\partial \hat{w}_1}{\partial \xi}(s, 1),$$

$$227 \quad \frac{\partial w_1^-}{\partial \nu}(x_\Gamma(s)) + \frac{\partial^2 w_0^-}{\partial \nu^2}(x_\Gamma(s)) = \frac{\partial \hat{w}_2}{\partial \xi}(s, 1).$$

229 System (24) coupled with the boundary conditions (28) and (27) provide an inductive way to
230 determine (w_j^-, v_j) . We obtain the set of equations satisfied by these terms after substituting the
231 expressions of $\hat{w}_j(s, 1)$ given by (21),(22). We hereafter summarize the set of equations obtained
232 for (w_j^-, v_j) and how to use them to get the expressions of λ_j , $j = 0, 1, 2$.

233 We first obtain that the couple (w_0^-, v_0) solves

$$234 \quad (29) \quad \begin{cases} \Delta w_0^- + \lambda_0 n_0 w_0^- = 0 & \text{in } \Omega, \\ \Delta v_0 + \lambda_0 v_0 = 0 & \text{in } \Omega, \\ w_0^- - v_0 = 0 & \text{on } \Gamma, \\ \frac{\partial w_0^-}{\partial \nu} - \frac{\partial v_0}{\partial \nu} = 0 & \text{on } \Gamma. \end{cases}$$

235 This means in particular that λ_0 is a transmission eigenvalue for the limiting problem where the
236 thin layer is removed. We then obtain that the couple (w_1^-, v_1) satisfies

$$237 \quad (30) \quad \begin{cases} \Delta w_1^- + \lambda_0 n_0 w_1^- = -\lambda_1 n_0 w_0^- & \text{in } \Omega, \\ \Delta v_1 + \lambda_0 v_1 = -\lambda_1 v_0 & \text{in } \Omega, \\ w_1^- - v_1 = 0 & \text{on } \Gamma, \\ \frac{\partial w_1^-}{\partial \nu} - \frac{\partial v_1}{\partial \nu} = \lambda_0(n_0 - n_1)w_0^- & \text{on } \Gamma. \end{cases}$$

Since λ_0 is an eigenvalue of the associated homogeneous system, this problem is solvable only if a compatibility condition is satisfied by the right hand sides. This compatibility condition can be obtained by multiplying the first equation with $\overline{w_0^-}$ and the second equation with $\overline{v_0}$, taking the difference then integrating by parts and using (29). One ends up with

$$\lambda_1 = \frac{\int_{\Gamma} \lambda_0(n_0 - n_1)|w_0^-|^2 ds(x)}{\int_{\Omega} (n_0|w_0^-|^2 - |v_0|^2) dx}$$

238 which coincides with the expression of given in Theorem 2.1 expressed in terms of $u_0 = w_0^- - v_0$.
239 Although not covered by the analysis of convergence, we also provide the expression of the third
240 term in the asymptotic expression. One get that the couple (w_2^-, v_2) solves

$$241 \quad (31) \quad \begin{cases} \Delta w_2^- + \lambda_0 n_0 w_2^- = -\lambda_1 n_0 w_1^- - \lambda_2 n_0 w_0^- & \text{in } \Omega, \\ \Delta v_2 + \lambda_0 v_2 = -\lambda_1 v_1 - \lambda_2 v_0 & \text{in } \Omega, \\ w_2^- - v_2 = h_1 & \text{on } \Gamma, \\ \frac{\partial w_2^-}{\partial \nu} - \frac{\partial v_2}{\partial \nu} = h_2 & \text{on } \Gamma, \end{cases}$$

242 where

$$243 \quad h_1 = -\frac{1}{2} \frac{\partial^2 w_0^-}{\partial \nu^2} - \frac{1}{2} \lambda_0(n_0 - n_1)w_0^-$$

244 and

$$245 \quad h_2 = \kappa \frac{\partial^2 w_0^-}{\partial \nu^2} - \frac{7\kappa}{2} \frac{\partial^2 w_0^-}{\partial s^2} + \left(2\kappa^2 + \lambda_0(n_0 + \frac{n_1}{2})\right) \frac{\partial w_0^-}{\partial \nu} - \frac{3\kappa}{2} \frac{\partial w_0^-}{\partial s} + \frac{3}{2} \frac{\partial^3 w_0^-}{\partial \nu \partial s^2}$$

$$246 \quad + \left(\lambda_1(2n_1 - n_0) + \lambda_0(\kappa(\frac{n_1}{2} - n_0))\right) w_0^- - \frac{\partial^2 w_1^-}{\partial \nu^2} + \kappa \frac{\partial w_1^-}{\partial \nu}.$$

248 Writing the compatibility condition for (31), we obtain the following formula for λ_2

$$249 \quad \lambda_2 \int_{\Omega} \frac{1}{1-n_0} \left(\frac{1}{\lambda_0} |\Delta u_0|^2 - \lambda_0 n_0 |u_0|^2 \right) dx = -\lambda_1^2 \int_{\Omega} \left(\frac{1}{\lambda_0} \Delta u_0 \bar{u}_0 + \frac{1}{1-n_0} |u_0|^2 \right) dx$$

$$250 \quad - \lambda_1 \int_{\Omega} \frac{1}{1-n_0} \left(u_1 \Delta \bar{u}_0 + n_0 \Delta u_1 \bar{u}_0 + 2n_0 \lambda_0 u_1 \bar{u}_0 \right) dx$$

$$251 \quad (32) \quad + \int_{\Gamma} h_1 \frac{\partial}{\partial \nu} \left(\frac{1}{1-n_0} (\Delta + \lambda_0) \bar{u}_0 \right) ds(x) - \int_{\Gamma} h_2 \left(\frac{1}{1-n_0} (\Delta + \lambda_0) \bar{u}_0 \right) ds(x).$$

253 This complicated expression shows in particular a nonlinear dependence of λ_2 in terms of n_1 . It
254 suggests that the use of λ_2 for solutions to the inverse problem of determining n_1 may not be
255 appropriate.

256 **4. Convergence analysis.** The main goal of this section is to prove Theorem 2.1 that
257 provides a rigorous mathematical justification of the formal asymptotic expansion for simple real
258 transmission eigenvalues up to the first order. The proof is split into several steps. The first one is
259 to establish the convergence in norm of the operator \mathcal{T}_ϵ to \mathcal{T}_0 . This ensures the convergence of λ_ϵ
260 to λ_0 . In order to get to the term of order 1 in ϵ , we shall apply the Osborn theorem which requires

261 for instance a characterization of the pointwise asymptotic expansion of $\mathcal{T}_\epsilon(U)$ up to order 1 in ϵ
 262 (for some given function $U \in H_0^2(\Omega) \times H_0^2(\Omega)$). The latter can be obtained from the asymptotic
 263 expansions of $A_\epsilon^{-1}u$, $B_\epsilon u$ and $C_\epsilon u$ for some $u \in H_0^2(\Omega)$. The difficult part to get the expansion of
 264 $A_\epsilon^{-1}u$ since for the two others, the first order terms are vanishing. This critical result is provided
 265 by Lemma 4.5.

266 In all the following we use the notation

$$267 \quad (f, g) := (f, g)_{H_0^2(\Omega)} = \int_{\Omega} \Delta f \Delta g dx \text{ and } \|g\| := (g, g)_{H_0^2(\Omega)}^{\frac{1}{2}}.$$

268 For an operator $A : V \rightarrow V$, $\|A\|$ denotes the operator norm. To simplify the writing, C will
 269 denote a generic constant whose value may change but remains independent from ϵ as $\epsilon \rightarrow 0$.

270 **4.1. Pointwise convergence of the spectrum of \mathcal{T}_ϵ .** In this first step, we prove pointwise
 271 convergence of the spectrum of the operator \mathcal{T}_ϵ to the spectrum of \mathcal{T}_0 . This is a direct consequence
 272 of the following convergence in norm [23, 8].

273 **THEOREM 4.1.** *Assume that $n_0 \in C^2(\bar{\Omega})$. Let \mathcal{T}_ϵ and \mathcal{T}_0 be defined by (9) and (10) respectively.
 274 Then \mathcal{T}_ϵ converges to \mathcal{T}_0 in the operator norm.*

275 *Proof.* The proof follows from Lemma 4.2 and Lemma 4.4 below, using the definition of \mathcal{T}_ϵ
 276 and \mathcal{T}_0 . \square

277 In the first lemma we prove norm convergence for B_ϵ and C_ϵ .

278 **LEMMA 4.2.** *Let B_ϵ , C_ϵ , B_0 and C_0 be the operators defined by (6) and (7). Then, for suffi-
 279 ciently small ϵ ,*

$$280 \quad (33) \quad \|B_\epsilon - B_0\| \leq C\epsilon^{\frac{1}{2}} \text{ and } \|C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}}\| \leq C\epsilon.$$

281 *Proof.* From the definitions of B_ϵ and B_0 , we have that for $u, \phi \in H_0^2(\Omega)$

$$282 \quad \begin{aligned} ((B_\epsilon - B_0)u, \phi) &= \int_{\Omega} \frac{1}{1 - n_\epsilon} (u\Delta\phi + n_\epsilon\Delta u\phi) dx - \int_{\Omega} \frac{1}{1 - n_0} (u\Delta\phi + n_0\Delta u\phi) dx \\ 283 \quad &= \int_{\Omega_\epsilon} \left(\frac{1}{1 - n_1} - \frac{1}{1 - n_0} \right) (u\Delta\phi + \Delta u\phi) dx. \end{aligned}$$

285 Therefore,

$$286 \quad |((B_\epsilon - B_0)u, \phi)| \leq C \left(\|u\|_{L^\infty(\Omega)} \|\Delta\phi\|_{L^1(\Omega_\epsilon)} + \|\phi\|_{L^\infty(\Omega)} \|\Delta u\|_{L^1(\Omega_\epsilon)} \right).$$

288 Using the Sobolev embedding theorem and the Cauchy Schwartz inequality, we get

$$289 \quad |((B_\epsilon - B_0)u, \phi)| \leq C\epsilon^{\frac{1}{2}} (\|u\|_{H_0^2(\Omega)} \|\phi\|_{H_0^2(\Omega)}).$$

290 By choosing $\phi = (B_\epsilon - B_0)u$, we get

$$291 \quad \|(B_\epsilon - B_0)u\|_{H_0^2(\Omega)} \leq C\epsilon^{\frac{1}{2}} \|u\|_{H_0^2(\Omega)}.$$

292 The proof is similar for the second inequality. For $u, \phi \in H_0^2(\Omega)$, we have

$$293 \quad \begin{aligned} ((C_\epsilon - C_0)u, \phi) &= \int_{\Omega_\epsilon} \left(\frac{1}{1 - n_1} - \frac{1}{1 - n_0} \right) u\phi dx \leq C \left(|\Omega_\epsilon| \|u\|_{L^\infty(\Omega)} \|\phi\|_{L^\infty(\Omega)} \right) \end{aligned}$$

295 From the Sobolev embedding theorem, we obtain

$$296 \quad ((C_\epsilon - C_0)u, \phi) \leq C\epsilon \left(\|u\|_{H_0^2(\Omega)} \|\phi\|_{H_0^2(\Omega)} \right).$$

297 By choosing $\phi = (C_\epsilon - C_0)u$, we have

$$298 \quad (34) \quad \|(C_\epsilon - C_0)u\|_{H_0^2(\Omega)} \leq C\epsilon \|u\|_{H_0^2(\Omega)}.$$

299 Using the square root Lemma in [24] and the fact that C_ϵ^n converges to C_0^n at the same order
 300 $O(\epsilon)$, we conclude that $C_\epsilon^{\frac{1}{2}}$ converges to $C_0^{\frac{1}{2}}$ at the same order $O(\epsilon)$. Hence we have

$$301 \quad (35) \quad \|(C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})u\|_{H_0^2(\Omega)} \leq C\epsilon \|u\|_{H_0^2(\Omega)}. \quad \square$$

302 Now we show convergence in the $H_0^2(\Omega)$ norm for $A_\epsilon^{-1}f$ assuming smoothness of f . This will be
 303 useful in the proof of Lemma 4.4 since the operators B_ϵ and C_ϵ are regularizing.

304 **LEMMA 4.3.** *Let A_ϵ and A_0 be defined by (5) for $\epsilon > 0$ and $\epsilon = 0$, respectively and $f \in H_0^2(\Omega)$.
 305 If $A_0^{-1}f \in \mathcal{C}^2(\bar{\Omega})$, then for sufficiently small ϵ ,*

$$306 \quad (36) \quad \|A_\epsilon^{-1}f - A_0^{-1}f\| \leq C\epsilon^{\frac{1}{2}}.$$

307 *Proof.* For a fixed $f \in H_0^2(\Omega)$, define z_ϵ and z_0 in $H_0^2(\Omega)$ as $z_\epsilon = A_\epsilon^{-1}f$ and $z_0 = A_0^{-1}f$. Since
 308 $A_\epsilon z_\epsilon = A_0 z_0 = f$, we have that for $\phi \in H_0^2(\Omega)$

$$309 \quad (37) \quad (A_\epsilon(z_\epsilon - z_0), \phi) = (A_0 z_0 - A_\epsilon z_0, \phi) = \int_{\Omega_\epsilon} \left(\frac{1}{1-n_0} - \frac{1}{1-n_1} \right) \Delta z_0 \Delta \phi dx.$$

310 If $z_0 \in \mathcal{C}^2(\bar{\Omega})$, we get

$$311 \quad \int_{\Omega_\epsilon} \left(\frac{1}{1-n_0} - \frac{1}{1-n_\epsilon} \right) \Delta z_0 \Delta \phi dx \leq C \|\Delta z_0\|_\infty \int_{\Omega_\epsilon} \Delta \phi dx \leq C\epsilon^{\frac{1}{2}} \|\phi\|_{H_0^2(\Omega)}.$$

313 Thus, we have shown that

$$314 \quad (A_\epsilon(z_\epsilon - z_0), \phi) \leq C\epsilon^{\frac{1}{2}} \|\phi\|_{H_0^2(\Omega)}.$$

315 By plugging in $\phi = z_\epsilon - z_0$, we obtain the desired convergence using the coercivity of A_ϵ . \square

316 **LEMMA 4.4.** *Assume that $n_0 \in \mathcal{C}^2(\bar{\Omega})$. Let $A_\epsilon, B_\epsilon, C_\epsilon, A_0, B_0$ and C_0 be defined by (5), (6)
 317 and (7) for $\epsilon > 0$ and $\epsilon = 0$, respectively. Then for sufficiently small ϵ ,*

$$318 \quad \|A_\epsilon^{-1}B_\epsilon - A_0^{-1}B_0\| \xrightarrow{\epsilon \rightarrow 0} 0 \quad \text{and} \quad \|A_\epsilon^{-1}C_\epsilon^{\frac{1}{2}} - A_0^{-1}C_0^{\frac{1}{2}}\| \xrightarrow{\epsilon \rightarrow 0} 0.$$

319 *Proof.* From (37), we have that for $f, \phi \in H_0^2(\Omega)$ and with $z_\epsilon = A_\epsilon^{-1}f$ and $z_0 = A_0^{-1}f$

$$320 \quad (A_\epsilon(z_\epsilon - z_0), \phi) \leq C \|\Delta A_0^{-1}f\|_{L^2(\Omega_\epsilon)} \|\phi\|_{H_0^2(\Omega)}.$$

322 Furthermore,

$$323 \quad \|A_\epsilon^{-1}B_\epsilon f - A_0^{-1}B_0 f\|_{H_0^2(\Omega)} \leq \|(A_\epsilon^{-1} - A_0^{-1})B_0 f\|_{H_0^2(\Omega)} + \|A_\epsilon^{-1}(B_\epsilon - B_0)f\|_{H_0^2(\Omega)}$$

$$324 \quad (38) \quad \leq C \|\Delta A_0^{-1}B_0 f\|_{L^2(\Omega_\epsilon)} + \|A_\epsilon^{-1}\| \| (B_\epsilon - B_0) \| \|f\|_{H_0^2(\Omega)}.$$

326 For estimating $\|\Delta A_0^{-1}B_0 f\|_{L^2(\Omega_\epsilon)}$, observe that $B_0 u \in H_0^2(\Omega)$ is the weak solution

$$327 \quad \Delta \Delta B_0 u = \Delta \left(\frac{n_0}{1-n_0} u \right) + \frac{1}{1-n_0} \Delta u \text{ in } \Omega.$$

328 Classical regularity results [22, 25] and the fact that $n_0 \in \mathcal{C}^2(\bar{\Omega})$ imply that $B_0 u \in H^4(\Omega) \cap H_0^2(\Omega)$
 329 and therefore

$$330 \quad \|\Delta A_0^{-1}B_0 f\|_{H^1(\Omega)} \leq C \|f\|_{H^2(\Omega)}.$$

331 By the Sobolev embedding theorem, this implies that

$$332 \quad \|\Delta A_0^{-1}B_0 f\|_{L^p(\Omega)} \leq C \|f\|_{H^2(\Omega)},$$

333 for $p > 2$. Let $\tilde{p} = \frac{p}{2} > 1$ and q such that $\frac{1}{\tilde{p}} + \frac{1}{q} = 1$.

$$334 \quad (39) \quad \|\Delta A_0^{-1}B_0 f\|_{L^2(\Omega_\epsilon)}^2 \leq \|\Delta A_0^{-1}B_0 f\|_{L^p(\Omega)}^2 |\Omega_\epsilon|^{\frac{1}{q}} \leq C\epsilon^{\frac{1}{2q}} \|f\|_{H^2(\Omega)}.$$

336 From (33) we obtain

$$337 \quad (40) \quad \|A_\epsilon^{-1}\| \| (B_\epsilon - B_0) \| \|f\|_{H_0^2(\Omega)} \leq C\epsilon^{\frac{1}{2}} \|f\|_{H_0^2(\Omega)}.$$

338 Using (38), (39) and (40) we have that

$$339 \quad \|A_\epsilon^{-1}B_\epsilon - A_0^{-1}B_0\| \xrightarrow{\epsilon \rightarrow 0} 0.$$

340 The second convergence result follows from similar arguments. \square

341 Now we would like to obtain explicit formula for the correction term in the asymptotic expansion
 342 for the operator \mathcal{T}_ϵ . More precisely, we define explicit formula for the corrector term associated
 343 with $A_\epsilon^{-1} - A_0^{-1}$.

344 **4.2. Corrector term for $A_\epsilon^{-1} - A_0^{-1}$.** In this subsection, we construct a corrector function
 345 and use it to estimate the convergence rate of $z_\epsilon = A_\epsilon^{-1}u$ for $u \in H_0^2(\Omega)$. Let $z_0 = A_0^{-1}u \in H_0^2(\Omega)$,
 346 i.e $z_0 \in H_0^2(\Omega)$ solution of

$$347 \quad (41) \quad \Delta \frac{1}{1-n_0} \Delta z_0 = \Delta \Delta u \quad \text{in} \quad \Omega.$$

348 Inspired by the formal calculations on the previous section, namely problem (30), we define z_1
 349 solution of

$$350 \quad (42) \quad \begin{cases} \Delta \frac{1}{1-n_0} \Delta z_1 = 0 & \text{in} \quad \Omega, \\ z_1 = 0 & \text{on} \quad \Gamma, \\ \frac{\partial z_1}{\partial \nu} = \left(\frac{1-n_1}{1-n_0} - 1 \right) \Delta z_0 & \text{on} \quad \Gamma. \end{cases}$$

351 We expect that $z_\epsilon = z_0 + \epsilon z_1 + O(\epsilon^2)$ in Ω_ϵ^0 . We extend z_1 in Ω_ϵ as \tilde{z}_1^ϵ defined by

$$352 \quad (43) \quad \tilde{z}_1^\epsilon = \begin{cases} z_1 & \text{in} \quad \Omega_\epsilon^0, \\ z_1 - \psi & \text{in} \quad \Omega_\epsilon \end{cases}$$

353 where ψ is a polynomial of order ≤ 3 and satisfying the boundary conditions:

$$354 \quad (44) \quad \begin{cases} \psi = 0, \quad \frac{\partial \psi}{\partial \nu} = \left(\frac{1-n_1}{1-n_0} - 1 \right) \Delta z_0 & \text{on} \quad \Gamma, \\ \psi = \frac{\partial \psi}{\partial \nu} = 0 & \text{on} \quad \Gamma_\epsilon. \end{cases}$$

355 This gives the following expression of ψ (that plays the role \hat{w}_2 in the formal calculations)

$$356 \quad \psi(x) = \psi(\varphi(s, \epsilon \xi)) = \hat{\psi}(s, \xi) = \epsilon \left(\frac{1-n_1}{1-n_0} - 1 \right) \Delta z_0(\varphi(s, 0)) \xi(1-\xi)^2.$$

The choice of ψ ensures in particular that $\tilde{z}_1^\epsilon \in H_0^2(\Omega)$. To simplify the notation we set

$$m := \left(\frac{1}{1-n_0} - \frac{1}{1-n_1} \right).$$

357 Now we have the following Lemma.

358 **LEMMA 4.5.** Assume that n_0 and n_1 are in $C^4(\bar{\Omega})$. Let $u \in H_0^2(\Omega)$ then set $z_\epsilon = A_\epsilon^{-1}u$ and
 359 $z_0 = A_0^{-1}u$. We define \tilde{z}_1^ϵ as in (43) and assume that $z_0 \in C^6(\bar{\Omega})$. Then we have, for sufficiently
 360 small ϵ ,

$$361 \quad \|z_\epsilon - z_0 - \epsilon \tilde{z}_1^\epsilon\|_{H_0^2(\Omega)} \leq C\epsilon^{\frac{3}{2}}.$$

362 *Proof.* For any $\phi \in H_0^2(\Omega)$ we have that

$$363 \quad (45) \quad (A_\epsilon(z_\epsilon - z_0 - \epsilon \tilde{z}_1^\epsilon), \phi) = (A_\epsilon(z_\epsilon - z_0), \phi) - \epsilon (A_\epsilon \tilde{z}_1^\epsilon, \phi).$$

364 We recall that

$$365 \quad (A_\epsilon(z_\epsilon - z_0), \phi) = \int_{\Omega_\epsilon} \left(\frac{1}{1-n_0} - \frac{1}{1-n_1} \right) \Delta z_0 \Delta \phi dx.$$

367 Furthermore, we have that

$$368 \quad (46) \quad (A_\epsilon \tilde{z}_1^\epsilon, \phi) = \int_{\Omega_\epsilon^0} \frac{1}{1-n_0} \Delta z_1 \Delta \phi dx + \int_{\Omega_\epsilon} \frac{1}{1-n_1} \Delta(z_1 - \psi) \Delta \phi dx.$$

369 Using the fact that $\Delta \frac{1}{1-n_0} \Delta z_1 = 0$ and the Green formula yield,

$$370 \quad (A_\epsilon \tilde{z}_1^\epsilon, \phi) = \int_{\Gamma_\epsilon} m \Delta z_1 \frac{\partial \phi}{\partial \nu} ds(x) + \int_{\Gamma_\epsilon} \left(\frac{\partial}{\partial \nu} \left(\frac{1}{1-n_1} \Delta z_1 \right) - \frac{\partial}{\partial \nu} \left(\frac{1}{1-n_0} \Delta z_1 \right) \right) \phi ds(x) \\ 371 \quad + \int_{\Gamma_\epsilon} \frac{1}{1-n_1} \Delta \psi \frac{\partial \phi}{\partial \nu} ds(x) - \int_{\Gamma_\epsilon} \frac{\partial}{\partial \nu} \left(\frac{1}{1-n_1} \Delta \psi \right) \phi ds(x) - \int_{\Omega_\epsilon} \Delta \frac{1}{1-n_1} \Delta \psi \phi dx.$$

373 Using the expression of ψ we have

$$\begin{aligned}
374 \quad & \frac{1}{1-n_1} \Delta \psi|_{\Gamma_\epsilon} = \frac{1}{1-n_1} \Delta_{s,\xi} \tilde{\psi}(s,1) = \frac{2}{\epsilon} m \Delta z_0(\varphi(s,0)), \\
375 \quad & \frac{\partial}{\partial \nu} \left(\frac{1}{1-n_1} \Delta \psi \right) |_{\Gamma_\epsilon} = \frac{\partial}{\partial \eta} \left(\frac{1}{1-n_1} \Delta \psi \right) |_{\Gamma_\epsilon} = \frac{1}{1-n_1} \frac{1}{\epsilon} \frac{\partial}{\partial \xi} (\Delta_{s,\xi} \tilde{\psi})(s,1) = \frac{6}{\epsilon^2} m \Delta z_0(\varphi(s,0)).
\end{aligned}$$

376 We then get after substitution of these expressions

$$\begin{aligned}
377 \quad & (A_\epsilon \tilde{z}_1^\epsilon, \phi) = \int_{\Gamma_\epsilon} m \left(\Delta z_1(\varphi(s,\epsilon)) + \frac{2}{\epsilon} \Delta z_0(\varphi(s,0)) \right) \frac{\partial \phi}{\partial \nu} ds(x) \\
378 \quad & - \int_{\Gamma_\epsilon} m \left(\frac{\partial}{\partial \nu} (\Delta z_1(\varphi(s,\epsilon))) + \frac{6}{\epsilon^2} \Delta z_0(\varphi(s,0)) \right) \phi ds(x) - \int_{\Omega_\epsilon} \Delta \frac{1}{1-n_1} \Delta \psi \phi dx \\
379 \quad & = \int_{\Gamma_\epsilon} \phi_1^\epsilon \frac{\partial \phi}{\partial \nu} ds(x) - \int_{\Gamma_\epsilon} \phi_2^\epsilon \phi ds(x) - \int_{\Omega_\epsilon} \Delta \frac{1}{1-n_1} \Delta \psi \phi dx \\
380 \quad &
\end{aligned}$$

381 where we have set

$$382 \quad \phi_1^\epsilon(s) := m \Delta z_1(\varphi(s,\epsilon)) + \frac{2}{\epsilon} m \Delta z_0(\varphi(s,0)),$$

$$383 \quad \phi_2^\epsilon(s) := m \frac{\partial}{\partial \nu} (\Delta z_1(\varphi(s,\epsilon))) + \frac{6}{\epsilon^2} m \Delta z_0(\varphi(s,0))$$

384 using the parametrization of the curve Γ_ϵ , $s \mapsto \varphi(s,\epsilon)$ with φ defined by (13). Using this
385 parametrization and setting $\tilde{\phi}(s,\eta) := \phi(\varphi(s,\eta))$ in Ω_ϵ we have

$$386 \quad \int_{\Gamma_\epsilon} \phi_1^\epsilon \frac{\partial \phi}{\partial \nu} ds(x) = \int_0^L \phi_1^\epsilon \frac{\partial \tilde{\phi}}{\partial \eta}(s,\epsilon) (1 + \epsilon \kappa) ds = \int_0^L \int_0^\epsilon \phi_1^\epsilon \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s,\eta) (1 + \epsilon \kappa) ds d\eta.$$

388 From the definition of ϕ_1^ϵ we then get for $\phi \in H_0^2(\Omega)$,

$$389 \quad \int_{\Gamma_\epsilon} \phi_1^\epsilon \frac{\partial \phi}{\partial \nu} ds(x) = \frac{2}{\epsilon} \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s,0)) \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s,\eta) ds d\eta + O(\epsilon^{\frac{1}{2}}) \|\phi\|_{H^2(\Omega)}.$$

391 Here and in all the following $O(\epsilon^r)$ denotes a function such that $O(\epsilon^r) \leq C \epsilon^r$ for a constant C
392 independent from the test function ϕ but that may depend on $\|z_0\|_{C^6(\overline{\Omega})}$. Using Taylor's expansion
393 we also get for $\phi \in H_0^2(\Omega)$,

$$\begin{aligned}
394 \quad & \int_{\Gamma_\epsilon} \phi_2^\epsilon \phi ds(x) = \frac{\epsilon}{2} \int_0^L \int_0^\epsilon \phi_2^\epsilon \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s,\eta) (1 + \epsilon \kappa) ds d\eta + O(\epsilon^{\frac{3}{2}}) \|\phi\|_{H^2(\Omega)} \\
395 \quad & = \frac{3}{\epsilon} \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s,0)) \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s,\eta) ds d\eta + O(\epsilon^{\frac{1}{2}}) \|\phi\|_{H^2(\Omega)} \\
396 \quad &
\end{aligned}$$

where the last equality is obtained after substituting the expression of ϕ_2^ϵ . One ends up with

$$\epsilon \int_{\Gamma_\epsilon} \left(\phi_1^\epsilon \frac{\partial \phi}{\partial \nu} - \phi_2^\epsilon \phi \right) ds(x) = - \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s,0)) \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s,\eta) ds d\eta + O(\epsilon^{\frac{3}{2}}) \|\phi\|_{H^2(\Omega)}.$$

397 Equation (45) then gives

$$\begin{aligned}
398 \quad & (A_\epsilon(z_\epsilon - z_0 - \epsilon \tilde{z}_1^\epsilon), \phi) = \int_{\Omega_\epsilon} m \Delta z_0 \Delta \phi dx - \epsilon (A_\epsilon \tilde{z}_1^\epsilon, \phi) \\
399 \quad & = \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s,\eta)) \Delta \phi(\varphi(s,\eta)) (1 + \eta \kappa) ds d\eta - \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s,0)) \frac{\partial^2 \phi}{\partial \eta^2}(\varphi(s,\eta)) ds d\eta \\
400 \quad & - \epsilon \int_{\Omega_\epsilon} \Delta \frac{1}{1-n_1} \Delta \psi \phi dx + O(\epsilon^{\frac{3}{2}}) \|\phi\|_{H^2(\Omega)}. \\
401 \quad &
\end{aligned}$$

402 We use the expression of the Laplacien in local coordinates

$$403 \quad (1 + \eta \kappa) \Delta \phi(\varphi(s,\eta)) = \frac{\partial}{\partial s} \left(\frac{1}{1 + \eta \kappa} \frac{\partial \tilde{\phi}}{\partial s}(s,\eta) \right) + \kappa \frac{\partial \tilde{\phi}}{\partial \eta}(s,\eta) + (1 + \eta \kappa) \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s,\eta)$$

404 to make the decomposition

$$\begin{aligned}
405 \quad & \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s, \eta)) \Delta \phi(\varphi(s, \eta)) (1 + \eta \kappa) ds d\eta = \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s, \eta)) \frac{\partial}{\partial s} \left(\frac{1}{1 + \eta \kappa} \frac{\partial \tilde{\phi}}{\partial s}(s, \eta) \right) \\
406 \quad & + \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s, \eta)) \left(\kappa \frac{\partial \tilde{\phi}}{\partial \eta}(s, \eta) + \eta \kappa \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s, \eta) \right) + \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s, \eta)) \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s, \eta). \\
407
\end{aligned}$$

408 To estimate the first term, we integrate by parts on $[0, L[$, we obtain

$$\begin{aligned}
409 \quad & \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s, \eta)) \frac{\partial}{\partial s} \left(\frac{1}{1 + \eta \kappa} \frac{\partial \tilde{\phi}}{\partial s}(s, \eta) \right) d\eta ds \\
410 \quad & = - \int_0^L \int_0^\epsilon \frac{1}{1 + \eta \kappa} \frac{\partial}{\partial s} (m \Delta z_0(\varphi(s, \eta))) \frac{\partial \tilde{\phi}}{\partial s}(s, \eta) ds d\eta \\
411 \quad & = -\epsilon \int_0^L \int_0^1 m \frac{1}{1 + \epsilon \xi \kappa} \frac{\partial}{\partial s} \Delta z_0(\varphi(s, \epsilon \xi)) \frac{\partial \tilde{\phi}}{\partial s}(s, \epsilon \xi) ds d\xi \\
412 \quad & = -\epsilon \int_0^L \int_0^1 m \frac{\partial}{\partial s} \Delta z_0(\varphi(s, 0)) \left(\int_0^{\epsilon \xi} \frac{\partial^2 \tilde{\phi}}{\partial \eta \partial s}(s, \eta) d\eta \right) ds d\xi + O(\epsilon^2) \|\phi\|_{H^2(\Omega)} \\
413 \quad & = O(\epsilon^{\frac{3}{2}}) \|\phi\|_{H^2(\Omega)}.
\end{aligned}$$

415 For the last term we proceed similarly to obtain

$$\begin{aligned}
416 \quad & \int_0^L \int_0^\epsilon m \Delta z_0(\varphi(s, \eta)) \frac{\partial \tilde{\phi}}{\partial \eta}(s, \eta) ds d\eta = \int_0^L \int_0^1 m \Delta z_0(\varphi(s, \epsilon \xi)) \frac{\partial \tilde{\phi}}{\partial \eta}(s, \epsilon \xi) \epsilon ds d\xi \\
417 \quad & = \epsilon \int_0^L \int_0^1 m \Delta z_0(\varphi(s, 0)) \left(\int_0^{\epsilon \xi} \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s, \eta) d\eta \right) ds d\xi + O(\epsilon^2) \|\phi\|_{H^2(\Omega)} = O(\epsilon^{\frac{3}{2}}) \|\phi\|_{H^2(\Omega)} \\
418
\end{aligned}$$

420 Observing in addition that

$$421 \quad \int_0^L \int_0^\epsilon \eta \kappa m (\Delta z_0(\varphi(s, \eta)) \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s, \eta)) ds d\eta = O(\epsilon^{\frac{3}{2}}) \|\phi\|_{H^2(\Omega)},$$

422 one ends up with

$$\begin{aligned}
423 \quad & (A_\epsilon(z_\epsilon - z_0 - \epsilon \tilde{z}_1^\epsilon), \phi) = \int_0^L \int_0^\epsilon m \left(\Delta z_0(\varphi(s, \eta)) - \Delta z_0(\varphi(s, 0)) \right) \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s, \eta) ds d\eta \\
424 \quad & - \epsilon \int_{\Omega_\epsilon} \Delta \frac{1}{1 - n_1} \Delta f \psi \phi dx + O(\epsilon^{\frac{3}{2}}) \|\phi\|_{H^2(\Omega)}. \\
425
\end{aligned}$$

To conclude we just observe that the two remaining terms are also of the form $O(\epsilon^{\frac{3}{2}}) \|\phi\|_{H^2(\Omega)}$. For the first term, we simply use a Taylor expansion for Δz_0 while for the second one we just use that, due to the regularity of n_0 and n_1 ,

$$\Delta \frac{1}{1 - n_1} \Delta \psi \in L^\infty(\Omega).$$

426 In conclusion,

$$427 \quad (A_\epsilon(z_\epsilon - z_0 - \epsilon \tilde{z}_1^\epsilon), \phi) \leq C \epsilon^{\frac{3}{2}} \|\phi\|_{H^2(\Omega)}.$$

428 Choosing $\phi = z_\epsilon - z_0 - \epsilon \tilde{z}_1^\epsilon$, since the coercivity constant associated with A_ϵ is independent from
429 ϵ , we get

$$430 \quad \|z_\epsilon - z_0 - \epsilon \tilde{z}_1^\epsilon\|_{H_0^2(\Omega)} \leq C \epsilon^{\frac{3}{2}}$$

431 which ends the proof. \square

432 **LEMMA 4.6.** *Assume that n_0 and n_1 are in $C^4(\overline{\Omega})$. If $u \in C^6(\overline{\Omega}) \cap H_0^2(\Omega)$, then for sufficiently
433 small ϵ ,*

$$434 \quad (47) \quad \|B_0(A_\epsilon^{-1} - A_0^{-1})u\|_{H_0^2(\Omega)} \leq C\epsilon \text{ and } \|C_0^{\frac{1}{2}}(A_\epsilon^{-1} - A_0^{-1})u\|_{H_0^2(\Omega)} \leq C\epsilon$$

435 where C independent of ϵ .

436 *Proof.* From the estimate of Lemma 4.5 we have that

$$437 \quad \|z_\epsilon - z_0 - \epsilon \tilde{z}_1^\epsilon\|_{L^2(\Omega)} \leq C\epsilon^{\frac{3}{2}}.$$

438 Since $\epsilon \|\tilde{z}_1^\epsilon\|_{L^2(\Omega)} = O(\epsilon)$, then

$$439 \quad \|z_\epsilon - z_0\|_{L^2(\Omega)} \leq C\epsilon.$$

440 Since B_0 is two orders smoothing, we have that

$$441 \quad \|B_0(z_\epsilon - z_0)\|_{H_0^2(\Omega)} \leq \|z_\epsilon - z_0\|_{L^2(\Omega)} \leq C\epsilon$$

442 The same proof holds for $C_0^{\frac{1}{2}}$. \square

443 Now to derive the eigenvalue expansion, we will apply the Theorem of Osborn [23], which we state
 444 here for reader's convenience. Suppose X is a Hilbert space with inner product denoted by $\langle \cdot, \cdot \rangle$
 445 and $K_n : X \rightarrow X$ is a sequence of compact linear operators such that K_n converge in the operator
 446 norm to K . It then follows that the adjoint operators also converges in norm. Let μ be a nonzero
 447 eigenvalue of K of algebraic multiplicity m . It is well known that for n large enough, there exist m
 448 eigenvalues of K_n : $\mu_1^n, \mu_2^n, \dots, \mu_m^n$ such that $\mu_j^n \xrightarrow{j \rightarrow \infty} \mu$ pour tout $j = 1, \dots, m$. Let E be the spectral
 449 projection onto the generalized eigenspace of K corresponding to eigenvalue μ . The space X can
 450 be decomposed in terms of the range and null space of E as $X = R(E) \oplus N(E)$. Then form the
 451 proof of Theorem 3 in [23], one can state the following theorem.

452 **THEOREM 4.7.** *Let $\phi_1, \phi_2, \dots, \phi_m$ be a normalized basis for $R(E)$, and let $\phi_1^*, \phi_2^*, \dots, \phi_m^*$ be the*
 453 *dual basis of $R(E)$ such that $\langle v, \phi_j^* \rangle = 0$ for all $v \in N(E)$. Then there exists a constant C such*
 454 *that :*

$$455 \quad (48) \quad \left| \mu - \frac{1}{m} \sum_{j=1}^m \mu_j^n - \frac{1}{m} \sum_{j=1}^m \langle (K - K_n)\phi_j, \phi_j^* \rangle \right| \leq C \| (K - K_n)|_{R(E)} \| \| (K^* - K_n^*)|_{R(E)^*} \|$$

456 In order to apply Theorem 4.7 and obtain explicit expression for the first order asymptotic
 457 $\sum_{j=1}^m \langle (K - K_n)\phi_j, \phi_j^* \rangle$, one has to construct the basis ϕ_j^* . Remark that in the case of selfadjoint
 458 operators, $\phi_j^* = \phi_j$, but this does not apply to our problem. One easily check that ϕ_j^* are necessarily
 459 a basis of the generalized eigenspace of K^* associated with $\bar{\mu}$.

460 We now turn our attention to application of this theorem with $K_n \equiv \mathcal{T}_\epsilon$ and $K \equiv \mathcal{T}_0$ and
 461 $X \equiv H_0^2(\Omega) \times H_0^2(\Omega)$. We already showed that \mathcal{T}_ϵ converges to \mathcal{T}_0 in the operator norm in
 462 Theorem 4.1. In order to simplify the calculations we define the inner product on $H_0^2(\Omega) \times H_0^2(\Omega)$
 463 by:

$$464 \quad \left\langle \begin{pmatrix} u \\ v \end{pmatrix}, \begin{pmatrix} w \\ z \end{pmatrix} \right\rangle := (A_0 u, w)_{H_0^2(\Omega)} + (v, z)_{H_0^2(\Omega)}.$$

465 Let τ_0 be a simple real eigenvalue of \mathcal{T}_0 , then for ϵ small enough, some eigenvalue τ_ϵ of \mathcal{T}_ϵ is such
 466 that $\tau_\epsilon \xrightarrow{\epsilon \rightarrow 0} \tau_0$.

467 Let $U_0 = \begin{pmatrix} u_0 \\ \lambda_0 C_0^{\frac{1}{2}} u_0 \end{pmatrix}$ be an eigenvector of \mathcal{T}_0 associated with τ_0 . Using the expression of \mathcal{T}_0 one

468 easily observes that $\tilde{U}_0^* = \begin{pmatrix} u_0 \\ -\lambda_0 C_0^{\frac{1}{2}} u_0 \end{pmatrix}$ is an eigenvector of \mathcal{T}_0^* associated with τ_0 . Then this
 469 eigenvector is proportional to the dual basis of U_0 if and only if

$$470 \quad (49) \quad -\beta_0 := \langle U_0, \tilde{U}_0^* \rangle = (A_0 u_0, u_0) - \lambda_0^2 (C_0 u_0, u_0) \neq 0.$$

We remark that since τ_0 is assumed to be a simple eigenvalue (i.e. also with geometrical multiplicity equals 1), then (49) holds. We then can define the dual vector as

$$U_0^* = \frac{-1}{\beta_0} \tilde{U}_0^*$$

471 and apply Theorem 4.7 to get that

$$472 \quad (50) \quad \left| \tau_0 - \tau_\epsilon - \langle (\mathcal{T}_0 - \mathcal{T}_\epsilon)U_0, U_0^* \rangle \right| \leq C \| (\mathcal{T}_0 - \mathcal{T}_\epsilon)U_0 \|_{H_0^2(\Omega)} \| (\mathcal{T}_0^* - \mathcal{T}_\epsilon^*)U_0^* \|_{H_0^2(\Omega)}.$$

473 We are now in position to prove the main result of Theorem of this paper. We refer to Theorem
 474 4.11 for an extension to the case of transmission eigenvalues with higher multiplicities.

475 **THEOREM 4.8.** *Assume that n_0 and n_1 are in $C^4(\overline{\Omega})$. Let λ_0 be a simple real transmission*
 476 *eigenvalue corresponding to n_0 and let $u_0 \in H_0^2(\Omega)$ be the corresponding eigenvector. This implies*
 477 *in particular that (49) holds. Further assume that u_0 and $A_0^{-1}u_0$ are in $C^6(\overline{\Omega})$. Then, for $\epsilon > 0$*
 478 *small enough, there exists a transmission eigenvalue λ_ϵ corresponding to n_ϵ such that*

$$479 \quad (51) \quad \frac{1}{\lambda_\epsilon} - \frac{1}{\lambda_0} = -\frac{\epsilon}{\beta_0 \lambda_0} \int_{\Gamma} \frac{n_0 - n_1}{(1 - n_0)^2} |\Delta u_0|^2 ds(x) + O(\epsilon^{\frac{3}{2}}).$$

480 *Proof.* Using estimate (50) with $\lambda_0 = \frac{1}{\tau_0}$, we have

$$481 \quad (52) \quad \left| \frac{1}{\lambda_0} - \frac{1}{\lambda_\epsilon} - \langle (\mathcal{T}_0 - \mathcal{T}_\epsilon)U_0, U_0^* \rangle \right| \leq C \|(\mathcal{T}_0 - \mathcal{T}_\epsilon)U_0\|_{H_0^2(\Omega)} \|(\mathcal{T}_0^* - \mathcal{T}_\epsilon^*)U_0^*\|_{H_0^2(\Omega)}$$

482 From the definition of (9) of \mathcal{T}_ϵ , we have

$$\begin{aligned} 483 \quad \mathcal{T}_\epsilon U_0 &= \begin{pmatrix} -A_\epsilon^{-1} B_\epsilon u_0 - \lambda_0 A_\epsilon^{-1} C_\epsilon^{\frac{1}{2}} C_0^{\frac{1}{2}} u_0 \\ C_\epsilon^{\frac{1}{2}} u_0 \end{pmatrix} \\ 484 &= \begin{pmatrix} -A_0^{-1} B_\epsilon u_0 - \lambda_0 A_0^{-1} C_\epsilon^{\frac{1}{2}} C_0^{\frac{1}{2}} u_0 \\ C_\epsilon^{\frac{1}{2}} u_0 \end{pmatrix} + \begin{pmatrix} -(A_\epsilon^{-1} - A_0^{-1})(B_0 u_0 + \lambda_0 C_0 u_0) \\ 0 \end{pmatrix} \\ 485 &+ \begin{pmatrix} -(A_\epsilon^{-1} - A_0^{-1})(B_\epsilon - B_0)u_0 - \lambda_0(A_\epsilon^{-1} - A_0^{-1})(C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})C_0^{\frac{1}{2}} u_0 \\ 0 \end{pmatrix} \\ 486 \end{aligned}$$

487 Using the definition (10) of \mathcal{T}_0 , we obtain

$$\begin{aligned} 488 \quad (\mathcal{T}_\epsilon - \mathcal{T}_0)U_0 &= \begin{pmatrix} -A_0^{-1}(B_\epsilon - B_0)u_0 - \lambda_0 A_0^{-1}(C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})C_0^{\frac{1}{2}} u_0 \\ (C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})u_0 \end{pmatrix} \\ 489 &+ \begin{pmatrix} -(A_\epsilon^{-1} - A_0^{-1})(B_0 u_0 + \lambda_0 C_0 u_0) \\ 0 \end{pmatrix} \\ 490 &+ \begin{pmatrix} -(A_\epsilon^{-1} - A_0^{-1})(B_\epsilon - B_0)u_0 - \lambda_0(A_\epsilon^{-1} - A_0^{-1})(C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})C_0^{\frac{1}{2}} u_0 \\ 0 \end{pmatrix} \\ 491 \end{aligned}$$

492 From (33) and (36), we have

$$493 \quad (53) \quad \|(\mathcal{T}_\epsilon - \mathcal{T}_0)U_0\|_{H_0^2(\Omega)} = O(\epsilon^{\frac{1}{2}}).$$

494 On the other hand, we have

$$\begin{aligned} 495 \quad (\mathcal{T}_\epsilon^* - \mathcal{T}_0^*)U_0^* &= -\frac{1}{\beta_0} \begin{pmatrix} -(B_\epsilon - B_0)A_0^{-1}u_0 - B_0(A_\epsilon^{-1} - A_0^{-1})u_0 - \lambda_0(C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})C_0^{\frac{1}{2}} u_0 \\ -(C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})A_0^{-1}u_0 - C_0^{\frac{1}{2}}(A_\epsilon^{-1} - A_0^{-1})u_0 \end{pmatrix} \\ 496 &- \frac{1}{\beta_0} \begin{pmatrix} -(B_\epsilon - B_0)(A_\epsilon^{-1} - A_0^{-1})u_0 \\ -(C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})(A_\epsilon^{-1} - A_0^{-1})u_0 \end{pmatrix} \\ 497 \end{aligned}$$

498 From estimates (33) and (47), we obtain

$$499 \quad (54) \quad \|(\mathcal{T}_\epsilon^* - \mathcal{T}_0^*)U_0^*\|_{H_0^2(\Omega)} = O(\epsilon).$$

500 Next, (52) implies

$$501 \quad \frac{1}{\lambda_\epsilon} - \frac{1}{\lambda_0} = \langle (\mathcal{T}_\epsilon - \mathcal{T}_0)U_0, U_0^* \rangle + O(\epsilon^{\frac{3}{2}}).$$

502 Using the expression of U_0^* we see that

$$\begin{aligned}
503 \quad \langle (\mathcal{T}_\epsilon - \mathcal{T}_0)U_0, U_0^* \rangle &= \frac{1}{\beta_0}((B_\epsilon - B_0)u_0, u_0) + \frac{1}{\beta_0}\lambda_0((C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})C_0^{\frac{1}{2}}u_0, u_0) \\
504 \quad &+ \frac{1}{\beta_0}(A_0((A_\epsilon^{-1} - A_0^{-1})(B_0u_0 + \lambda_0C_0u_0), u_0) \\
505 \quad &+ \frac{1}{\beta_0}((C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})u_0, \lambda_0C_0^{\frac{1}{2}}u_0) + O(\epsilon^{\frac{3}{2}}) \\
506
\end{aligned}$$

507 Recall that, by definition of u_0

$$508 \quad (55) \quad A_0u_0 + \lambda_0B_0u_0 + \lambda_0^2C_0u_0 = 0.$$

509 Since $C_0^{\frac{1}{2}}$ is self-adjoint, we have

$$\begin{aligned}
510 \quad \langle (\mathcal{T}_\epsilon - \mathcal{T}_0)U_0, U_0^* \rangle &= \frac{1}{\beta_0}((B_\epsilon - B_0)u_0, u_0) + \frac{2}{\beta_0}\lambda_0((C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})C_0^{\frac{1}{2}}u_0, u_0) \\
511 \quad &- \frac{1}{\beta_0}\frac{1}{\lambda_0}((A_\epsilon^{-1} - A_0^{-1})A_0u_0, A_0u_0) + O(\epsilon^{\frac{3}{2}}). \\
512
\end{aligned}$$

513 We then deduce

$$\begin{aligned}
514 \quad \frac{1}{\lambda_\epsilon} - \frac{1}{\lambda_0} &= \frac{1}{\beta_0}((B_\epsilon - B_0)u_0, u_0) + \frac{2}{\beta_0}\lambda_0((C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})C_0^{\frac{1}{2}}u_0, u_0) \\
515 \quad (56) \quad &- \frac{1}{\beta_0}\frac{1}{\lambda_0}((A_\epsilon^{-1} - A_0^{-1})A_0u_0, A_0u_0) + O(\epsilon^{\frac{3}{2}}). \\
516
\end{aligned}$$

517 In order to conclude, we use the results of the two lemmas below that treat the asymptotic for
518 each term in (56).

519 Applying Lemma 4.9 with $u = u_0$ and $\phi = u_0$ we have

$$520 \quad (57) \quad ((B_\epsilon - B_0)u_0, u_0) \leq C\epsilon^{\frac{3}{2}}$$

521 and with $u = u_0$ and $\phi = C_0^{\frac{1}{2}}u_0$, we obtain

$$522 \quad (58) \quad ((C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})u_0, C_0^{\frac{1}{2}}u_0) \leq C\epsilon^2.$$

523

524 Applying Lemma 4.10 with $u = A_0u_0$ (therefore $z_0 = u_0$) and $\phi = u_0$, we get, using the fact
525 that A_0 is selfadjoint,

$$526 \quad ((A_\epsilon^{-1} - A_0^{-1})A_0u_0, A_0u_0) = \epsilon \int_0^L \frac{n_0 - n_1}{(1 - n_0)^2} \Delta u_0(\varphi(s, 0)) \Delta u_0(\varphi(s, 0)) ds + O(\epsilon^{\frac{3}{2}}) \\ 527$$

528 We finally obtain

$$529 \quad (59) \quad \frac{1}{\lambda_\epsilon} - \frac{1}{\lambda_0} = -\frac{\epsilon}{\beta_0\lambda_0} \int_0^L \frac{n_0 - n_1}{(1 - n_0)^2} |\Delta u_0(\varphi(s, 0))|^2 ds + O(\epsilon^{\frac{3}{2}}) \quad \square$$

530 which corresponds with the formula announced in the theorem and concludes the proof.

531 **LEMMA 4.9.** *Under the assumptions of Theorem 4.8 one has*

$$532 \quad ((B_\epsilon - B_0)u, \phi) \leq C\epsilon^{\frac{3}{2}}\|\phi\|_{H^2(\Omega)} \quad \text{and} \quad ((C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})u, \phi) \leq C\epsilon^2\|\phi\|_{H^2(\Omega)}$$

533 for some C independent of ϵ and ϕ .

534 *Proof.* Since

$$535 \quad ((B_\epsilon - B_0)u, \phi) = \int_{\Omega_\epsilon} \left(\frac{1}{1 - n_1} - \frac{1}{1 - n_0} \right) (u\Delta\phi + \Delta u\phi) dx,$$

536 Using the local coordinates in Ω_ϵ , we obtain

$$\begin{aligned}
537 \quad \int_{\Omega_\epsilon} \left(\frac{1}{1-n_1} - \frac{1}{1-n_0} \right) \Delta u \phi dx &= \int_0^L \int_0^1 m \Delta u(\varphi(s, \epsilon\xi)) \tilde{\phi}(s, \epsilon\xi) \epsilon(1 + \xi\epsilon\kappa) ds d\xi \\
538 \quad &= \int_0^L \int_0^1 m \Delta u(\varphi(s, 0)) \left(\int_0^{\epsilon\xi} \frac{\partial^2 \tilde{\phi}}{\partial \eta^2}(s, \eta) d\eta \right) \epsilon(1 + \xi\epsilon\kappa) ds d\xi \\
539 \quad &\leq C\epsilon^{\frac{3}{2}} \|\phi\|_{H^2(\Omega)}
\end{aligned}$$

541 Hence $((B_\epsilon - B_0)u, \phi) \leq C\epsilon^{\frac{3}{2}} \|\phi\|_{H^2(\Omega)}$. Similarly, we compute the asymptotic formula of

$$\begin{aligned}
542 \quad ((C_\epsilon - C_0)u, \phi) &= \int_0^L \int_0^1 \frac{n_0}{1-n_0} u(\varphi(s, \epsilon\xi)) \phi(\varphi(s, \epsilon\xi)) \epsilon(1 + \xi\epsilon\kappa) ds d\xi \\
543 \quad &= \int_0^L \int_0^1 \frac{n_0}{1-n_0} \left(\int_0^{\epsilon\xi} \frac{\partial \tilde{u}}{\partial \eta}(s, \eta) d\eta \int_0^{\epsilon\xi} \frac{\partial \tilde{\phi}}{\partial \eta}(s, \eta) d\eta \right) \epsilon(1 + \xi\epsilon\kappa) ds d\xi \\
544 \quad &\leq C\epsilon^2 \|\phi\|_{H^2(\Omega)}
\end{aligned}$$

546 Using the square root Lemma in [24] and the fact that C_ϵ^n converges to C_0^n at the same order
547 $O(\epsilon^2)$, we conclude that $C_\epsilon^{\frac{1}{2}}$ converges to $C_0^{\frac{1}{2}}$ at the same order $O(\epsilon^2)$. Thus we have

$$548 \quad ((C_\epsilon^{\frac{1}{2}} - C_0^{\frac{1}{2}})u, \phi) \leq C\epsilon^2 \|\phi\|_{H^2(\Omega)} \quad \square$$

549 **LEMMA 4.10.** *Under the assumptions of Theorem 4.8 one has for any $\phi \in H_0^2(\Omega) \cap C^4(\bar{\Omega})$*

$$550 \quad (A_0(A_\epsilon^{-1} - A_0^{-1})u, \phi) = \epsilon \int_0^L \frac{n_0 - n_1}{(1-n_0)^2} \Delta z_0(\varphi(s, 0)) \Delta \phi(\varphi(s, 0)) ds + O(\epsilon^{\frac{3}{2}})$$

552 where $z_0 := A_0^{-1}u_0$.

553 *Proof.* With $z_\epsilon := A_\epsilon^{-1}u_0$,

$$\begin{aligned}
554 \quad \int_{\Omega} \frac{1}{1-n_0} \Delta(z_\epsilon - z_0) \Delta \phi dx &= \int_{\Omega} \left(\frac{1}{1-n_0} - \frac{1}{1-n_\epsilon} \right) \Delta z_\epsilon \Delta \phi dx = \int_{\Omega_\epsilon} m \Delta z_\epsilon \Delta \phi dx \\
555 \quad &= \int_{\Omega_\epsilon} m \Delta(z_\epsilon - z_0 - \epsilon \tilde{z}_1^\epsilon) \Delta \phi dx + \int_{\Omega_\epsilon} m \Delta(z_0 + \epsilon \tilde{z}_1^\epsilon) \Delta \phi dx \\
556 \quad &
\end{aligned}$$

557 Applying Lemma 4.5 we obtain

$$\begin{aligned}
558 \quad \int_{\Omega} \frac{1}{1-n_0} \Delta(z_\epsilon - z_0) \Delta \phi dx &= \int_{\Omega_\epsilon} m \Delta(z_0 + \epsilon \tilde{z}_1^\epsilon) \Delta \phi dx + O(\epsilon^{\frac{3}{2}}) \\
559 \quad &= \int_{\Omega_\epsilon} m \Delta z_0 \Delta \phi dx - \epsilon \int_{\Omega_\epsilon} m \Delta \psi \Delta \phi dx + O(\epsilon^{\frac{3}{2}}). \\
560 \quad &
\end{aligned}$$

561 Making use of the local coordinates we show

$$\begin{aligned}
562 \quad \int_{\Omega_\epsilon} m \Delta z_0 \Delta \phi dx &= \int_0^L \int_0^1 m \Delta z_0(\varphi(s, \epsilon\xi)) \Delta \phi(\varphi(s, \epsilon\xi)) \epsilon(1 + \xi\epsilon\kappa) ds d\xi \\
563 \quad &= \epsilon \int_0^L m \Delta z_0(\varphi(s, 0)) \Delta \phi(\varphi(s, 0)) ds + O(\epsilon^{\frac{3}{2}}). \\
564 \quad &
\end{aligned}$$

565 For the second term

$$566 \quad \epsilon \int_{\Omega_\epsilon} m \Delta \psi \Delta \phi dx = \epsilon \int_{\Omega_\epsilon} \psi \Delta m \Delta \phi dx - \epsilon \int_{\Gamma} m \frac{\partial \psi}{\partial \nu} \Delta \phi ds(x) + \epsilon \int_{\Gamma} m \psi \frac{\partial \Delta \phi}{\partial \nu} ds(x)$$

568 Or $\psi|_{\Gamma} = 0$ and $\frac{\partial\psi}{\partial\nu}|_{\Gamma} = \left(\frac{1-n_1}{1-n_0} - 1\right)\Delta z_0(\varphi(s, 0))$. Then we have

$$\begin{aligned}
569 \quad \epsilon \int_{\Omega_\epsilon} m \Delta \psi \Delta \phi dx &= \epsilon \int_{\Omega_\epsilon} \psi \Delta m \Delta \phi dx - \epsilon \int_{\Gamma} m \frac{\partial \psi}{\partial \eta} \Delta \phi ds(x) \\
570 &= \epsilon \int_0^L \int_0^1 \tilde{\psi}(s, \xi) \Delta m \Delta \phi(\varphi(s, \epsilon \xi)) \epsilon (1 + \epsilon \xi \kappa) ds d\xi \\
571 &- \epsilon \int_0^L m \left(\frac{1-n_1}{1-n_0} - 1\right) \Delta z_0(\varphi(s, 0)) \Delta \phi(\varphi(s, \epsilon \xi)) ds \\
572 &= \epsilon \int_0^L m \left(\frac{1-n_1}{1-n_0} - 1\right) \Delta z_0(\varphi(s, 0)) \Delta \phi(\varphi(s, 0)) ds + O(\epsilon^{\frac{3}{2}}) \\
573
\end{aligned}$$

574 Consequently

$$\begin{aligned}
575 \quad \int_{\Omega} \frac{1}{1-n_0} \Delta(z_\epsilon - z_0) \Delta \phi dx &= \epsilon \int_0^L \frac{n_0 - n_1}{(1-n_0)^2} \Delta z_0(\varphi(s, 0)) \Delta \phi(\varphi(s, 0)) ds + O(\epsilon^{\frac{3}{2}}) \\
576
\end{aligned}$$

577 which implies

$$\begin{aligned}
578 \quad (A_0(A_\epsilon^{-1} - A_0^{-1})u, \phi) &= \epsilon \int_0^L \frac{n_0 - n_1}{(1-n_0)^2} \Delta z_0(\varphi(s, 0)) \Delta \phi(\varphi(s, 0)) ds + O(\epsilon^{\frac{3}{2}}) \\
579
\end{aligned}$$

580 and concludes the proof. \square

581 We now indicate a possible extension to the case where the eigenvalue τ_0 is not simple. We need
582 in that case to assume that the geometric multiplicity m coincides with the algebraic multiplicity
583 so that a basis of $R(E)$ is formed by eigenvectors of \mathcal{T}_0 that we denote by $U_0^j = \begin{pmatrix} u_0^j \\ \lambda_0 C_0^{\frac{1}{2}} u_0^j \end{pmatrix}$. A

584 basis of $R(E)^*$ is then formed by $\tilde{U}_0^{j*} := \begin{pmatrix} u_0^j \\ -\lambda_0 C_0^{\frac{1}{2}} u_0^j \end{pmatrix}$. If we assume that

$$\begin{aligned}
585 \quad (60) \quad -\beta_0^j := \langle U_0^j, \tilde{U}_0^{j*} \rangle &= (A_0 u_0^j, u_0^j) - \lambda_0^2 (C_0 u_0^j, u_0^j) \neq 0,
\end{aligned}$$

then we can define the dual basis as

$$U_0^{j*} = \frac{-1}{\beta_0^j} \tilde{U}_0^{j*}.$$

Notice that the assumption on β_0^j is not guaranteed in general. Making this assumption makes the expression of the dual basis easier to express and allows us to follow the same calculations as above to express the leading term in

$$\langle (\mathcal{T}_0 - \mathcal{T}_\epsilon) U_0^j, U_0^{j*} \rangle.$$

586 We then obtain the following result as a consequence of the application of Theorem 4.7.

587 **THEOREM 4.11.** *Assume that n_0 and n_1 are in $C^4(\bar{\Omega})$. Let λ_0 be a real transmission eigenvalue
588 corresponding to n_0 such that the associated eigenspace is formed only with eigenvectors $u_0^j \in$
589 $H_0^2(\Omega)$, $j = 1, \dots, m$. Assume in addition that β_0^j defined by (60) does not vanish and that u_0^j and
590 $A_0^{-1} u_0^j$ are in $C^6(\bar{\Omega})$. Then, for $\epsilon > 0$ small enough, there exists m transmission eigenvalues λ_ϵ^j
591 corresponding to n_ϵ such that*

$$\begin{aligned}
592 \quad (61) \quad \frac{1}{m} \sum_{i=1}^m \frac{1}{\lambda_\epsilon^i} - \frac{1}{\lambda_0} &= -\frac{\epsilon}{\lambda_0} \frac{1}{m} \sum_{i=1}^m \frac{1}{\beta_0^i} \int_{\Gamma} \frac{n_0 - n_1}{(1-n_0)^2} |\Delta u_0^i|^2 ds(x) + O(\epsilon^{\frac{3}{2}}).
\end{aligned}$$

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