

# The Cauchy problem for the CH and DP equations

Alex Himonas

University of Notre Dame, USA

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# Nonlinear waves and interface problems

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We shall consider the initial value problem for the Camassa-Holm (CH) and Degasperis-Procesi (DP) equations and discuss their well-posedness properties in Sobolev spaces  $H^s$ . For  $s > 3/2$  these equations are well-posed and their data-to-solution map is continuous but not uniformly continuous. When  $s < 3/2$ , both CH and DP are ill-posed in Sobolev spaces  $H^s$ , and this will be the main focus of our presentation. The talk is based on work with Carlos Kenig, Gerard Misiołek, Curtis Holliman and Katelyn Grayshan.

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# Solitary wave in Hawaii (Photo by Odom)



# Braking wave (Wikipedia)



# Water wave equations

Can the **motions of such a wave** be modeled by a solution to an evolution equation like the Korteweg-de Vries (KdV) equation

$$\partial_t u + u \partial_x u + \partial_x^3 u = 0,$$

or the Camassa-Holm (CH) equation

$$u_t - u_{xxt} + 3uu_x - 2u_x u_{xx} - uu_{xxx} = 0?$$



- In [J. Phys. A, 2009] Novikov investigated the question of **integrability** for equations of the form

$$(1 - \partial_x^2)u_t = F(u, u_x, u_{xx}, u_{xxx}, \dots), \quad (1)$$

where  $F$  is a polynomial of  $u$  and its  $x$ -derivatives.

- **Definition of integrability:** Existence of an infinite hierarchy of (quasi-) local higher symmetries.

He produced about 20 CH equations with quadratic nonlinearities that include the following two:

1• Camassa-Holm (CH):  $(1 - \partial_x^2)u_t = -3uu_x + 2u_x u_{xx} + uu_{xxx}$

2• Degasperis-Procesi (DP):  $(1 - \partial_x^2)u_t = -4uu_x + 3u_x u_{xx} + uu_{xxx}$

...

and about 10 CH equations with cubic nonlinearities including the following one:

3• Novikov equation (NE):  $(1 - \partial_x^2)u_t = -4u^2 u_x + 3uu_x u_{xx} + u^2 u_{xxx}$

...

# Fokas-Fuchssteiner derivation

If for every  $n$  the operator  $\theta_1 + n\theta_2$  is Hamiltonian, then

$$q_t = -(\theta_2\theta_1^{-1})q_x, \quad (2)$$

is an integrable equation. Letting  $\theta_1 = \partial \doteq \partial_x$ , and

$$\theta_2 = \partial + \gamma\partial^3 + \frac{\alpha}{3}(q\partial + \partial q), \quad \alpha, \gamma \text{ constants,}$$

gives the celebrated KdV equation

$$q_t + u_x + \gamma q_{xxx} + \alpha q q_x = 0. \quad (3)$$

Similarly, letting  $\theta_1 = \partial + \nu\partial^3$  and  $\theta_2$  as above with  $q = u + \nu u_{xx}$  gives the CH equation

$$u_t + u_x + \nu u_{xxt} + \gamma u_{xxx} + \alpha u u_x + \frac{\alpha\nu}{3}(u u_{xxx} + 2u_x u_{xx}) = 0. \quad (4)$$

- This equation was derived physically as a **water wave** equation by Camassa and Holm (1993) who also studied its “peakon” solutions.

This equation was introduced in the 1999 paper of Degasperis and Procesi, *Asymptotic integrability symmetry and perturbation theory*, as one of three equations to satisfy asymptotic integrability conditions for the following family of third order dispersive PDE conservation laws

$$u_t + c_0 u_x + \gamma u_{xxx} - \alpha^2 u_{txx} = (c_1 u^2 + c_2 u_x^2 + c_3 u u_{xx})_x, \quad (5)$$

where  $\alpha, c_0, c_1, c_2, c_3 \in \mathbb{R}$  are fixed constants. The other two equations arriving out of this machinery are the Camassa-Holm and KdV equations.



# Common phenomenon of CH, DP and NE

- They all have **peakon** solutions:

$$u(x, t) = ce^{-|x-ct|}$$

- The discovery of the **CH equation** by Camassa-Holm [1993] (Fokas-Fuchssteiner 1981) was partly driven by the desire to find a water wave equation which has traveling wave solutions that break. The Korteweg-de Vries equation (KdV),

$$\partial_t u + 6u\partial_x u + \partial_x^3 u = 0, \quad (6)$$

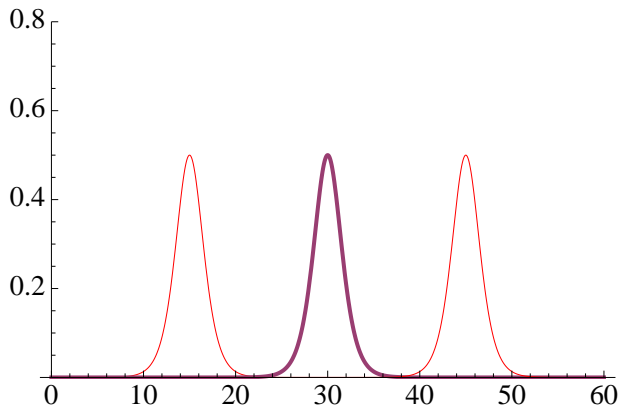
which was derived in 1895 as a model of long water waves propagating in a channel has only **smooth solitons**.

- Also, CH, DP and NE have **multipeakon** solutions:

$$u(x, t) = \sum_{j=1}^n p_j(t) e^{-|x-q_j(t)|}$$

# KdV Soliton: $u(x, t) = f(x - ct)$

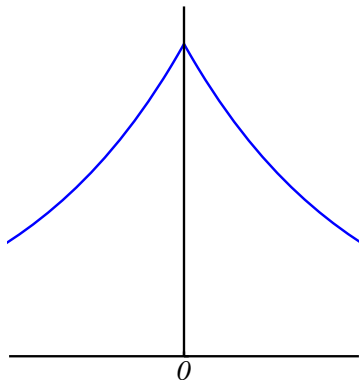
$$f(x) = \frac{c}{2} \operatorname{sech}^2 \left( \frac{\sqrt{c}}{2} x \right)$$



Peakon:  $u(x, t) = f(x - ct)$

CH & DP:  $f(x) = ce^{-|x|}$

NE:  $f(x) = \sqrt{c}e^{-|x|}$



# Definition of Well-Posedness in $H^s$

- (i) For any initial data  $u(0) \in H^s$  there exists  $T = T_{u(0)} > 0$  and a solution  $u \in C([0, T]; H^s)$  to the DP (CH or NE) Cauchy problem.
- (ii) This solution  $u$  is unique in the space  $u \in C([0, T]; H^s)$ .
- (iii) The data-to-solution map  $u(0) \mapsto u(t)$  is continuous. More precisely, if  $u_n(0)$  is a sequence of initial data converging to  $u_\infty(0)$  in  $H^s$  and if  $u_n(t) \in C([0, T_n]; H^s)$  is the solution to the Cauchy problem with initial data  $u_n(0)$ , then there is  $T \in (0, T_\infty)$  such that the solutions  $u_n(t)$  can be extended to the interval  $[0, T]$  for all sufficiently large  $n$  and

$$\lim_{n \rightarrow \infty} \sup_{0 \leq t \leq T} \|u_n(t) - u_\infty(t)\|_{H^s} = 0. \quad (7)$$

## Theorem (Well-Posedness)

**1•** *If  $s > 3/2$  and  $u_0 \in H^s$  then there exists  $T > 0$  and a unique solution  $u \in C([0, T]; H^s)$  of the initial value problem for CH or DP which depends continuously on the initial data  $u_0$ . Furthermore, we have the estimate*

$$\|u(t)\|_{H^s} \leq 2\|u_0\|_{H^s}, \quad \text{for } 0 \leq t \leq T \leq 1/(2c_s\|u_0\|_{H^s}) \quad (8)$$

*where  $c_s > 0$  is a constant depending on  $s$ .*

**2•** *Also, the data-to-solution map is not uniformly continuous from any bounded subset in  $H^s$  into  $C([0, T]; H^s)$ .*

- CH equation (H., Kenig, Misiolek,)
- DP equation (H., Holliman)

# The Proof of well-posedness

- The proof of **(1)** (well-posedness) begins by solving the mollified i.v.p.

$$\partial_t u + J_\varepsilon \left[ (J_\varepsilon u) \partial_x (J_\varepsilon u) \right] + F(u) = 0, \quad u(x, 0) = u_0(x), \quad (9)$$

with

$$F(u) = -\partial_x (1 - \partial_x^2)^{-1} \left[ \frac{b}{2} u^2 + \frac{3-b}{2} (\partial_x u)^2 \right]$$

where for CH  $b = 2$  and DP  $b = 3$ .

...

# The Proof of nonuniform continuity

We prove that there exist two sequences of CH or DP solutions  $u_n(t)$  and  $v_n(t)$  in  $C([0, T]; H^s(\mathbb{R}))$  such that:

- 1•  $\sup_n \|u_n(t)\|_{H^s} + \sup_n \|v_n(t)\|_{H^s} \lesssim 1,$
- 2•  $\lim_{n \rightarrow \infty} \|u_n(0) - v_n(0)\|_{H^s} = 0,$
- 3•  $\liminf_n \|u_n(t) - v_n(t)\|_{H^s} \gtrsim \sin t, \quad 0 \leq t < T \leq 1,$

For this we use approximate solutions.

# Approximate solutions for CH and DP

- The approximate solutions

$$u^{\omega,n}(x, t) = \omega n^{-1} + n^{-s} \cos(nx - \omega t), \quad \text{for } \omega = -1, 1, \quad (10)$$

where  $n \in \mathbb{Z}^+$ , satisfy conditions (1)-(3) for non-uniform dependence of the periodic CH and DP equations **but they are not solutions.**

- However, the **error**

$$E = CH(u^{\omega,n}) \quad \text{or} \quad E = DP(u^{\omega,n})$$

is **small.**

- Then solving the Cauchy problem with initial data

$$u^{\omega,n}(x, 0)$$

gives actual solutions, which satisfy the three condition of the non-uniform continuity.

**Remark.** For the Benjamin-Ono equation this **method** was used by H. Koch and N. Tzvetkov in IMRN (2005).



## Theorem (H.–Holliman)

**1•** *If  $s > 3/2$  and  $u_0 \in H^s$  then there exists  $T > 0$  and a unique solution  $u \in C([0, T]; H^s)$  of the initial value problem for NE, which depends continuously on the initial data  $u_0$ . Furthermore, we have the estimate*

$$\|u(t)\|_{H^s} \leq 2\|u_0\|_{H^s}, \quad \text{for } 0 \leq t \leq T \leq \frac{1}{4c_s\|u_0\|_{H^s}^2}, \quad (11)$$

where  $c_s > 0$  is a constant depending on  $s$ .

**2•** *Also, the data-to-solution map is not uniformly continuous from any bounded subset in  $H^s$  into  $C([0, T]; H^s)$ .*

# The Proof for NE

- The proof of **(1)** (well-posedness) begins by solving the mollified i.v.p.

$$\partial_t u + J_\varepsilon \left[ (J_\varepsilon u)^2 \partial_x (J_\varepsilon u) \right] + F(u) = 0, \quad u(x, 0) = u_0(x), \quad (12)$$

with

$$F(u) = -(1 - \partial_x^2)^{-1} \partial_x \left[ u^3 - \frac{3}{2} \left( u (\partial_x u)^2 \right) \right] - (1 - \partial_x^2)^{-1} \left[ \frac{1}{2} (\partial_x u)^3 \right].$$

- The NE approximate solutions used for the proof of **(2)** on the circle are:

$$u^{\omega, n} = \omega n^{-1/2} + n^{-s} \cos(nx - \omega t), \quad \text{for } \omega = 0, 1. \quad (13)$$

**Note.** Unlike in the case of CH and DP one of them ( $\omega = 0$ ) has **no low frequency**.

# Approximate solutions motivation (from Euler eqns)

- For any  $\omega \in \mathbb{R}$  and  $n \in \mathbb{Z}^+$  the divergence free vector field

$$u^{\omega,n}(t, x) = (\omega n^{-1} + n^{-s} \cos(nx_2 - \omega t), \omega n^{-1} + n^{-s} \cos(nx_1 - \omega t))$$

is a **solution!** to the Euler equations on  $\mathbb{T}^2$ .

- The corresponding to  $\omega \pm 1$  sequences

$$u^{+1,n}(t, x) \quad \text{and} \quad u^{-1,n}(t, x)$$

Satisfy conditions (1)-(3) for non-uniform dependence of the periodic Euler equations in 2-D.

**Remark.** Non-uniform dependence for the Euler equations in n-D was proved in [H.–Misiólek, CMP 2010].

# Non-uniform dependence for the Euler equations

## Theorem (H.–Misiótek, CMP 2010)

Let  $s \in \mathbb{R}$ . The solution map  $u_0 \mapsto u$  of the Cauchy problem for the Euler equations

$$\partial_t u + \nabla_u u + \nabla p = 0 \quad (14)$$

$$\operatorname{div} u = 0$$

$$u(0, x) = u_0(x), \quad x \in \mathbb{T}^n, \quad t \in \mathbb{R} \quad (15)$$

is **not uniformly continuous** from any bounded subset in  $H^s(\mathbb{T}^n, \mathbb{R}^n)$  into  $C([0, T], H^s(\mathbb{T}^n, \mathbb{R}^n))$ .

(Here  $n = 2$  or  $3$  and  $T$  is the lifespan.)

The same is true  $\mathbb{R}^n$  if  $s > 0$

## Theorem (H., Holliman, Grayshan, Byers)

*For  $s < 3/2$  the Cauchy problem for CH and DP is not well-posed in  $H^s$  in the sense of Hadamard.*

The Proof is based on:

- Conserved quantities ( $H^1$  for CH and twisted  $L^2$  for DP).
- The interaction of peakon-antipeakon traveling wave solutions.

Next, we describe the **proof for the case of DP on the line.**

The Cauchy problem for the Degasperis-Procesi (DP) equation, written in its nonlocal form, is given by

$$u_t + uu_x + \frac{3}{2} \partial_x D^{-2} [u^2] = 0, \quad D^{-2} \doteq (1 - \partial_x^2)^{-1}, \quad (16)$$

$$u(x, 0) = u_0(x). \quad (17)$$

# A Conserved Quantity for DP

The first tool used in our proof of Theorem 4 is the conservation of the following quantity:

$$\begin{aligned}\|f\|_{L^2}^2 &\doteq \int_{\mathbb{R}} (1 - \partial_x^2)f \cdot (4 - \partial_x^2)^{-1}f(x)dx & (18) \\ &= \frac{1}{2\pi} \int_{\mathbb{R}} \frac{1 + \xi^2}{4 + \xi^2} |\widehat{f}(\xi)|^2 d\xi \\ &\simeq \|f\|_{L^2}^2.\end{aligned}$$

# Peakon-antipeakon solutions

The peakon-antipeakon traveling wave

$$u(x, t) = p(t)e^{-|x+q(t)|} - p(t)e^{-|x-q(t)|} \quad (19)$$

is a weak solution to the DP equation if the amplitude  $p = p(t)$  and the “speed”  $q = q(t)$  are solutions to the following system of ordinary differential equations

$$q' = p(e^{-2q} - 1) \quad \text{and} \quad p' = 2p^2 e^{-2q}. \quad (20)$$

Furthermore, if for given  $\varepsilon > 0$  we choose  $p_0$  and  $q_0$  so that

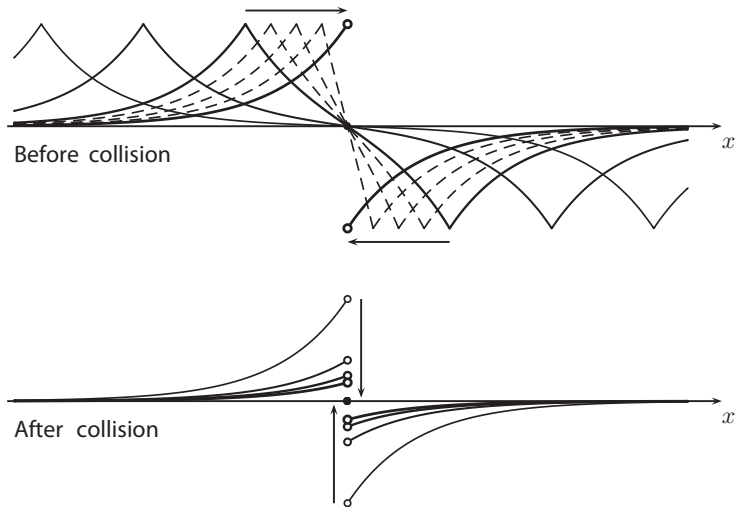
$$p_0 \geq \frac{1}{\varepsilon} \quad \text{and} \quad q_0 < \frac{\ln 2}{8}, \quad (21)$$

there exist  $\boxed{0 < T < \varepsilon}$  such that the system of ODEs has a unique smooth solution  $(q(t), p(t))$  in the interval  $[0, T)$  with  $p(t)$  increasing,  $q(t)$  decreasing, and

$$\lim_{t \rightarrow T^-} p(t) = \infty \quad \text{and} \quad \lim_{t \rightarrow T^-} q(t) = 0. \quad (22)$$



# DP Peakon-antipeakon collision



## Lemma

Let  $u(t)$  be the peakon-antipeakon solution, then for all  $t \in [0, T)$  we have the estimates

$$\|u(t)\|_{H^s} \approx \begin{cases} p(t)q(t)^{3/2-s}, & 1/2 < s < 3/2, \\ p(t)q(t)\sqrt{\ln(1/q(t))}, & s = 1/2, \\ p(t)q(t), & s < 1/2. \end{cases} \quad (23)$$

Using the last estimate and the conservation of the  $\tilde{L}^2$ -norm gives the following result.

## Theorem

*(Norm Inflation) Let  $s \in [\frac{1}{2}, \frac{3}{2})$ . Then for any  $\varepsilon > 0$  there exists  $T > 0$  such that the DP Cauchy problem has a solution  $u \in C([0, T]; H^s)$  satisfying the following three properties:*

- (1) Lifespan  $T < \varepsilon$ ,*
- (2)  $\|u_0\|_{H^s} < \varepsilon$ ,*
- (3)  $\lim_{t \rightarrow T^-} \|u(t)\|_{H^s} = \infty$ , (norm inflation).*

**Note.** For CH norm inflation occurs when  $s \in (1, \frac{3}{2})$

## Proof of DP III-Posedness Theorem: $1/2 \leq s < 3/2$

- Let  $u_n(t)$  be the peakon-antipeakon DP solution corresponding to the choice of  $\varepsilon = 1/n$  and let  $u_\infty(t) = 0$ . Then, by property (2) in Norm Inflation result we have  $\|u_n(0)\|_{H^s} < 1/n$ . Therefore,  $u_n(0)$  converges to  $u_\infty(0) = 0$  in  $H^s$ .
- Furthermore, by property (1) the lifespan  $T_n$  of each solution  $u_n(t)$  satisfies the inequality  $T_n < 1/n$ , whereas the lifespan  $T_\infty$  of  $u_\infty(t)$  is equal to  $\infty$ .
- Since, by property (3) in Norm Inflation result there is no  $T > 0$  such that the solutions  $u_n(t)$  can be extended to the interval  $[0, T]$  for all sufficiently large  $n$  we see that continuity condition (iii) of well-posedness fails.  $\square$

## Proof of Ill-Posedness Theorem: $s < 1/2$

Now, the  $H^s$  limit of  $u(t)$  as  $t \nearrow T$  exists and is given by

$$u(x, T) = -\sigma(x)p_0(1 - e^{-2q_0})e^{-|x|}, \quad (24)$$

where  $\sigma(x)$  is the sign function. Also, the shock peakon

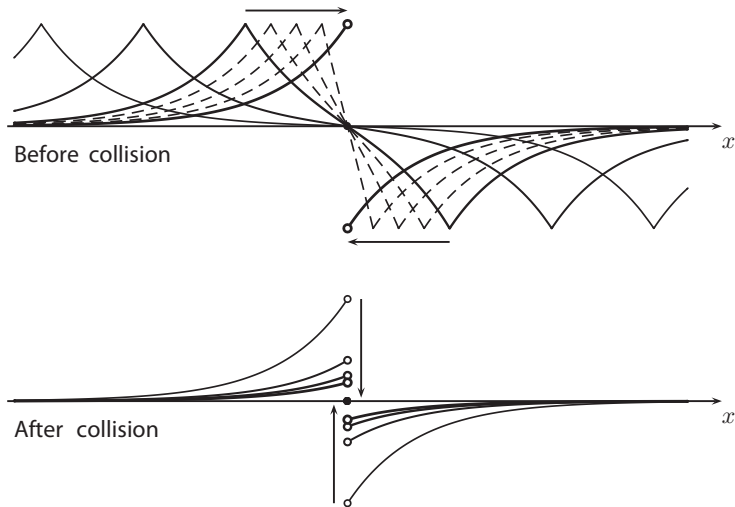
$$v(x, t) = \frac{\sigma(x)}{(T - t) - [p_0(1 - e^{-2q_0})]^{-1}} e^{-|x|} \quad (25)$$

is a solution to the DP equation for  $t \neq T - [p_0(1 - e^{-2q_0})]^{-1}$ , and  $v(t) \in H^s$  if  $s < 1/2$ . Furthermore, we have

$$T = q_0[p_0(1 - e^{-2q_0})]^{-1}, \quad (26)$$

which implies that  $T - [p_0(1 - e^{-2q_0})]^{-1} = (q_0 - 1)[p_0(1 - e^{-2q_0})]^{-1} < 0$ . Therefore, the shock peakon solution  $v(t)$  is well-defined for all  $t \geq 0$  and an element of  $C([0, T]; H^s)$ . This together with the fact that  $u(T) = v(T)$  shows that **uniqueness** of solutions for DP fails.

# DP Peakon-antipeakon collision [Lundmark, 2006]



# Norm Inflation: Proof for $1/2 < s < 3/2$

We use the fact that  $u$  conserves the  $\tilde{L}^2$ -norm, that is to say for some  $C$  we have  $C = \|u(t)\|_{\tilde{L}^2}$ . Therefore, using the fundamental estimate and the conserved quantity  $\tilde{L}^2$

$$\frac{C}{\|u(t)\|_{H^s}} = \frac{\|u(t)\|_{\tilde{L}^2}}{\|u(t)\|_{H^s}} \leq \frac{\|u(t)\|_{H^0}}{\|u(t)\|_{H^s}} \leq \frac{c_0 p q}{c_s^{-1} p q^{3/2-s}} = c_0 c_s q^{s-1/2}. \quad (27)$$

Since  $s > 1/2$  and  $q \rightarrow 0$  we obtain

$$0 \leq \lim_{t \rightarrow T} \frac{C}{\|u(t)\|_{H^s}} \leq c_0 c_s \lim_{t \rightarrow T} q^{s-1/2} = 0, \quad (28)$$

## Norm Inflation: Proof for $s = 1/2$

The case for  $s = 1/2$  follows in the same way

$$\frac{C}{\|u(t)\|_{H^{1/2}}} \leq \frac{\|u(t)\|_{H^0}}{\|u(t)\|_{H^{1/2}}} \leq \frac{c_0 p q}{c_{1/2}^{-1} p q \sqrt{\ln(1/q)}} = \frac{c_0 c_{1/2}}{\sqrt{\ln(1/q)}}, \quad (29)$$

which yields

$$0 \leq \lim_{t \rightarrow T} \frac{C}{\|u(t)\|_{H^{1/2}}} \leq \lim_{t \rightarrow T} \frac{c_0 c_{1/2}}{\sqrt{\ln(1/q)}} = 0, \quad (30)$$

or  $\lim_{t \rightarrow T} \|u(t)\|_{H^{1/2}} = \infty$ .

**Remark.** Norm inflation for CH holds when  $1 < s < 3/2$  (Byers).



**Thank you!**

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