

Variational Principles for Nonpotential Operators

V. M. FILIPPOV

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**Variational Principles
for Nonpotential Operators**

V. M. FILIPPOV

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В. М. ФИЛИПPOB

ВАРИАЦИОННЫЕ ПРИНЦИПЫ ДЛЯ НЕПОТЕНЦИАЛЬНЫХ ОПЕРАТОРОВ

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ABSTRACT. A variational method for solving linear equations with B -symmetric and B -positive operators and its generalization to nonlinear equations with nonpotential operators are developed. A constructive extension of the variational method to "nonvariational" equations (including parabolic equations) is carried out in classes of functionals which differ from the Euler-Lagrange functionals; in connection with this some new function spaces are considered.

The book is intended for mathematicians working in the areas of functional analysis and differential equations and also for specialists, graduate students, and students in advanced courses who use variational methods in solving linear and nonlinear boundary value problems in continuum mechanics and theoretical physics.

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Preface

In the domestic and foreign literature there are remarkable books devoted to the variational method of investigating equations with selfadjoint operators (in the nonlinear case with potential operators). At a mathematical level these are primarily the monographs of S. L. Sobolev, *Applications of Functional Analysis in Mathematical Physics*, L. D. Kudryavtsev, *Direct and Inverse Imbedding Theorems. Applications to the Solution of Elliptic Equations by a Variational Method*, and M. M. Väinberg, *Variational Methods of Investigating Nonlinear Equations*. Other books by S. G. Mikhlin, K. O. Friedrichs, and K. Rektorys were of major importance for the popularization of variational methods in applications.

The development of computational techniques and the possibility of automating variational methods aroused the current interest in questions of further improving them and constructive extension to new classes of equations. The books of W. Velte [337], G. I. Marchuk and V. I. Agoshkov [207], and P. Blanchard and E. Brüning [39] which have appeared in recent years are partially devoted to these problems. However, in the mathematical literature there is no single monograph specially devoted to variational principles for equations with nonsymmetric (nonpotential) operators, although the basic mathematical aspects of this direction were worked out by A. E. Martynyuk, W. V. Petryshyn, and V. M. Shalov back in 1957–1965. The present book is intended to fill this gap to some extent.

In applications most people know the practical value of the fact that for a particular boundary value problem (generally speaking, with an unbounded nonpotential operator) it is possible to construct a functional analogous in variational properties to the Dirichlet functional for the Laplace equation; but variational principles for nonsymmetric nonpotential operators have not been widely used either by mathematicians or in applications. One of the basic reasons for this is, apparently, the complexity of a constructive approach to the necessary “symmetrizing” operators. In Marchuk and Agoshkov’s book [207] many results are presented

for equations with B -symmetric and B -positive-definite operators (in the sense of W. V. Petryshyn), but the symmetrization of the neutron-transport equation presented as a substantial example (a result obtained by V. S. Vladimirov [340] in his doctoral dissertation) is one of the few cases of constructive execution of symmetrization of an operator of a rather complex boundary value problem.

The theoretical foundations of a variational method for investigating linear equations with, generally speaking, nonsymmetric and nonpositive operators are presented in the first part of the book (Chapters 1 and 2). Chapter 3 is devoted to a constructive approach to variational principles for various boundary value problems for partial differential equations. Generalizations of the variational method of investigating nonlinear equations with nonpotential operators proposed by M. Z. Nashed [235], A. D. Lyashko [202], and E. Tonti [324] are developed in Chapter 4.

The development of a variational method for investigating a differential equation $N(u) = f$ is closely connected with the inverse problem of the calculus of variations, and throughout the entire book a quasiclassical solution of this inverse problem is investigated in the sense of seeking functionals $F[u]$, bounded below in some Hilbert space, which contain derivatives of the unknown function u of lower order than in the equation $N(u) - f = 0$ and are such that the set of solutions of the equation coincides with the set of critical points of the functional.

Many of the results presented here were reported in 1961–1983 by V. M. Shalov and by the author to the Steklov Mathematical Institute of the Academy of Sciences of the USSR in the seminar of Academician S. M. Nikol'skii and Corresponding Member of the Academy of Sciences of the USSR L. D. Kudryavtsev; the author is deeply grateful to all participants of the seminar for their attention. During one report of the author Professor Kudryavtsev pointed out the expediency of investigating nonclassical boundary value problems for partial differential equations (PDE) by the variational method developed here; in Chapter 3 we carry out constructive approaches to variational principles and their investigation, mainly for known equations of mathematical physics with nonclassical boundary conditions or for nonclassical PDE.

Also during one of the author's reports Academician Nikol'skii noted that if a linear boundary value problem can be rigorously investigated by the Bubnov-Galerkin method, then it is possible to select a corresponding quadratic functional of the variational method, while in the nonlinear case with a nonnegative operator the selection is, of course, almost impossible; in Chapter 4 we prove the existence of solutions of the inverse problem

of the calculus of variations for broad classes of nonlinear equations and develop a variational method for investigating nonlinear equations with nonpotential operators.

I am especially grateful to Corresponding Member of the Academy of Sciences of the USSR L. D. Kudryavtsev, whose ideas regarding the development and application of variational methods constantly aided me in the work.

A large part of the book was written during my stay in 1983–1984 at the Free University of Brussels, and I should thank Professors J. P. Gosset, I. R. Prigogine, and P. Glansdorf (Belgium) for the assistance and support they showed me. I am grateful also to Professor V. I. Burenkov, Professor A. N. Skorokhodov, and A. Yu. Rodionov, who examined individual sections and made a number of valuable remarks. Especially valuable were the remarks and discussion of the results obtained with one of the founders of the theory developed here—Professor W. V. Petryshyn (USA)—to whom I am deeply grateful.

The Author

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Notation and Terminology

1. R_n is the n -dimensional Euclidean, arithmetic space of points $x = (x_1, \dots, x_n)$, $|x| = (\sum_1^n x_i^2)^{1/2}$, and $x\xi = \sum_1^n x_i \xi_i$.

2. Ω is a domain, an open connected set in R_n (which is bounded everywhere in this book), with boundary $\partial\Omega$ which is piecewise smooth unless higher smoothness is specified; and $\bar{\Omega}$ is the closure of Ω in R_n ($\bar{\Omega} = \Omega \cup \partial\Omega$; $\bar{\Omega}$ is compact).

3. $C^k(\Omega)$ ($C^k(\bar{\Omega})$) is the set of functions having uniformly continuous derivatives in Ω ($\bar{\Omega}$) through k th order, $k \geq 0$, and the norm is

$$\|u|C^k(\bar{\Omega})\| = \sum_{|\bar{\alpha}| \leq k} \max_{\Omega} |D^{\bar{\alpha}}u(x)|.$$

$\overset{\circ}{C}^l(\Omega) \equiv \overset{\circ}{C}^l(\bar{\Omega})$ is the set of functions in $C^l(\bar{\Omega})$ which vanish on $\partial\Omega$ together with all partial derivatives through order l .

$C_0^l(\Omega)$ is the set of functions in $C^l(\bar{\Omega})$ with compact support in Ω .

$\overset{\circ}{C}^\infty(\Omega)$ is the set of functions for which all partial derivatives of any order in Ω exist and vanish on $\partial\Omega$.

4. $D^{\bar{\alpha}} = \partial^{|\bar{\alpha}|}/\partial x_1^{\alpha_1} \dots \partial x_n^{\alpha_n}$, where $\bar{\alpha} = (\alpha_1, \dots, \alpha_n)$ and $|\bar{\alpha}| = \sum_1^n \alpha_j$; $\alpha_j \geq 0$, $j = 1, \dots, n$.

$\Delta = \sum_1^n \partial^2/\partial x_k^2$ is the Laplacian.

$\nabla u \equiv \text{grad } u = (u_{x_1}, \dots, u_{x_n})$, where $u_{x_i} = \partial u(x)/\partial x_i$, $i = 1, \dots, n$,

Finally, $|\nabla u|^2 = \sum_1^n (u_{x_i})^2$.

5. $L_p(\Omega)$ is the (linear, normed, complete) real Banach space of measurable functions for which the norm

$$\|u|L_p(\Omega)\| = \left(\int_{\Omega} |u(x)|^p dx \right)^{1/p}, \quad \infty > p \geq 1,$$

exists and is finite. An equivalent definition of $L_p(\Omega)$ is the completion in the norm $\|\cdot\|_{L_p(\Omega)}$ of the sets of functions $C(\Omega)$, $\overset{\circ}{C}^{\bar{\alpha}}(\Omega)$, $C_0^{\bar{\alpha}}(\Omega)$

($\bar{\alpha} = (\alpha_1, \dots, \alpha_n)$, $\alpha_j \geq 0$, $j = 1, \dots, n$), and $C_0^\infty(\Omega)$. The Sobolev spaces $W_p^m(\Omega)$ are defined as follows:

$$W_p^m(\Omega) = \{u(x): D^\alpha u \in L_p(\Omega), |\alpha| \leq m\}, \quad \infty > m \geq 1,$$

$$\|u\|_{W_p^m(\Omega)} = \left[\int_\Omega \left\{ |u|^p + \sum_{|\bar{k}| \leq m} |D^{\bar{k}} u(x)|^p \right\} dx \right]^{1/p},$$

where the $D^{\bar{k}}$ are generalized partial derivatives in the Sobolev sense, $\bar{k} = (k_1, \dots, k_n)$; $\mathring{W}_p^m(\Omega)$ is the closure of $\mathring{C}^\infty(\Omega)$ in the norm of $W_p^m(\Omega)$; for the domains Ω considered here the functions $u(x) \in \mathring{W}_p^m(\Omega)$ vanish on $\partial\Omega$ in the sense of $L_p(\partial\Omega)$ together with all j generalized derivatives to order $m - 1$.

Note that we used both $\|\cdot\|_W$ and $\|\cdot\|_W$ as the norm for a function space W . Moreover, in the definition of the norm of a negative space

$$\|u\|_{W_2^-} = \sup_{v \neq 0} \frac{|(u, v)|}{\|v\|_{W_2^+}}$$

to shorten notation we shall not always indicate that the sup is taken over all functions v in W_2^+ .

6. The symbol \forall denotes "for every" or "for any"; $\exists \alpha \in M$ means "there exists an element α in the set M ".

$\exists! \alpha \in M$ means "in the set M there exists a unique element α ".

$M \Leftrightarrow N$ means that assertion M holds if and only if assertion N holds or, in other words, for the validity of M it is necessary and sufficient that N be satisfied.

$A := B$ means " A is set equal to B ". $l = 1, \dots, n$ indicates that the quantity l takes integral values from 1 to n .

C_0, C_1, C_2, \dots denote positive constants not depending on the functions explicitly written in the formula in question. The notation $C_n(g)$ for some n means that this coefficients $C_n > 0$ depends on the function g .

The enumeration of the constants C_0, C_1, C_2, \dots is done independently in each section.

7. H and H_i everywhere denote Hilbert spaces; $\|u'\|_{H_1} \sim \|u'\|_{H_2}$ means the two norms are equivalent, i.e., there exist $C_1, C_2 > 0$ such that $\|u'\|_{H_1} \leq C_1 \|u'\|_{H_2} \leq C_2 \|u'\|_{H_1}$ for all $u' \in H_1$. A space H_1 is *equivalent* to a space H_2 , $H_1 \sim H_2$, if $H_1 \subseteq H_2 \subseteq H_1$ and $\|u'\|_{H_1} \sim \|u'\|_{H_2}$.

$\bar{Q} = H$ means that the completion of the set Q in the norm of the space H is the entire space (set) H .

8. We shall sometimes write “a sequence $\{u_n\} \subset H$ ”, having in mind that this sequence is formed from elements of the space H .

Strong convergence “ $u_n \rightarrow u$ ($n \rightarrow \infty$) in H ” means convergence in the norm of this space: $\|u_n - u\|_H \rightarrow 0$ ($n \rightarrow \infty$), $u, u_n \in H$ for all n .

Weak convergence “ $u_n \rightharpoonup u$ ($n \rightarrow \infty$) in H ” means that $|(u_n - u, v)| \rightarrow 0$ ($n \rightarrow \infty$) for all $v \in H$ and $u_n, u \in H$, where (\cdot, \cdot) is the inner product in H .

9. $W_1 \rightarrow W_2$, i.e., “the space W_1 is imbedded in W_2 ”, means that $W_1 \subseteq W_2$ and $\|u\|_{W_2} \leq C_n \|u\|_{W_1}$ for all $u \in W_1$.

10. A function u is some function space $W_1(\Omega)$ has stable boundary values in the sense of a space $W_2(\Gamma)$ if the norm $\|u\|_{W_2(\Gamma)}$ exists and the estimate

$$\|u\|_{W_2(\Gamma)} \leq C_n \|u\|_{W_1(\Omega)} \quad \forall u \in W_1(\Omega), \Gamma = \partial\Omega,$$

holds with a constant $C_n > 0$ not depending on u .

11. $D(A)$ is the domain and $R(A)$ the range of an operator A . Linearity of an operator A is understood only in the following sense:

$$A(\alpha_1 u_1 + \alpha_2 u_2) = \alpha_1 A u_1 + \alpha_2 A u_2 \quad \forall \alpha_1, \alpha_2 \in R_1, \forall u_1, u_2 \in D(A);^{(1)}$$

$$D(A, B) = \{v : v \in D(A) \cap D(B)\};$$

$$R_A(B) = \{Bv : v \in D(A)\};^{(1)}$$

A^* is the adjoint operator, A^{-1} is the inverse operator, and I is the identity operator.

The notation $A \supseteq B$ for two operators A and B means that A is an extension of B , i.e., $D(A) \supseteq D(B)$ and $Au = Bu$ for all $u \in D(B)$.

12. The convolution of functions $(f * g)(x) = \int_{R_n} f(x - y)g(y) dy$.

13. Two equations are considered equivalent if any solution (in a particular sense) of one of them is a solution of the other as well.

14. Well-posedness of some problem $Au = f$ in a pair of spaces W, G is understood in the Hadamard sense: for any element $f \in G$ there exists a unique element u_0 in W —the solution of the equation—and this solution depends continuously on f : $\|u_0\|_W \leq C_0 \|f\|_G$.

15. The book is broken into chapters, Chapters into sections, and some of the sections into subsections.

In a number $(m.n)$ of a formula the first number (m) denotes the number of the section, while the second (n) denotes the order number of this formula in § m . Similarly, “Theorem M.N” (or “Corollary M.N”, “Lemma M.N”, “Remark M.N”, “Assertion M.N”) means that this is the theorem (corollary, etc.) with order number N in § M .

⁽¹⁾Operators possessing this property will sometimes be called *distributive* below.

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APPENDIX

On the Nonexistence of Semibounded Solutions of Inverse Problems of the Calculus of Variations

V. M. FILIPPOV AND V. M. SAVCHIN

Suppose there is given a boundary value problem

$$\mathcal{L}u \equiv \sum_{i,j=1}^n p^{ij}u_{ij} + \sum_{i=1}^n q^i u_i + r \cdot u = f(x), \quad x \in \Omega, \quad (1)$$

$$u(x) = 0, \quad x \in \partial\Omega. \quad (2)$$

Here Ω is a bounded domain in R^n with piecewise smooth boundary $\partial\Omega$; the $p^{ij} = p^{ji}$ and q^i ($i, j = 1, \dots, n$) are constant coefficients in $\bar{\Omega}$; $r(x) \in C(\bar{\Omega})$ and $f(x) \in C(\bar{\Omega})$ are given functions; $u = u(x) \in M = C^2(\Omega) \cap C^1(\bar{\Omega}) \cap \dot{C}(\bar{\Omega})$, $x = (x_1, \dots, x_n)$; $u_i = \partial u / \partial x_i \equiv D_i u$, and $u_{ij} = D_j D_i u$ ($i, j = 1, \dots, n$).

We introduce the class of Euler-Lagrange functionals

$$\mathcal{J}_{[u]} = \int_{\Omega} L(x, u, u_1, \dots, u_n) dx. \quad (3)$$

The following formulation of the inverse problem of the calculus of variations (IPC) for equation (1) is known (see [54] and [18]).

FORMULATION 1. Find a function $\mu(x, u, u') \equiv \mu(x, u, u_1, \dots, u_n)$ which is continuously differentiable in R^{2n+1} , with $\mu(x, u, u') \neq 0$ ($x \in \bar{\Omega}$) for all $u \in M$, and in the class of functionals (3) find a functional $F_{\mu}[u]$ such that for all $u \in M$

$$\delta F_{\mu}[u] = \int_{\Omega} \mu(x, u, u') \cdot (Lu - f) \delta u dx. \quad (4)$$

If $\partial\mu/\partial u \neq 0$ or $\partial\mu/\partial u_i \neq 0$ for some $i = 1, \dots, n$, then because of the nonlinearity of the integrand in (4) it is obvious that the corresponding functional $F[u]$ is nonquadratic. Since for a linear equation (1) it is expedient to restrict attention to functionals (3) quadratic in u and u_1, \dots, u_n , we henceforth consider the following IPCV (see [54]).

FORMULATION 2. Find a function $\mu(x) \in C^1(\overline{\Omega})$, $\mu(x) \neq 0$ ($x \in \overline{\Omega}$), and a functional $F_\mu[u]$ in the class (3) quadratic in u and u_1, \dots, u_n such that for all $u \in M$

$$\delta F_\mu[u] = \int_\Omega \mu(x) \cdot (\mathcal{L}u - f) \cdot \delta u \, dx. \tag{5}$$

The usual IPCV follows from this for $\mu(x) \equiv 1$.

Results of Copson [54] were presented in §11.

LEMMA 1. For any equation (1) nonparabolic in Ω the general solution of the IPCV in Formulation 2 is given by⁽⁴⁷⁾

$$V[u] = \int_\Omega \exp\left(\sum_1^n k_i x_i\right) \cdot \left\{ \sum_{i,j=1}^n p^{ij} D_i u D_j u - \left[r(x) - \sum_{i=1}^n b^i k_i \right] \cdot u^2 + 2f \cdot u \right\} dx, \tag{6}$$

where

$$k_j = \det P_j / \det P, \quad j = 1, \dots, n, \tag{7}$$

and the matrix P_j is obtained from the matrix $P = (p^{\alpha\beta})$ by replacing the j th column by the column (q^1, \dots, q^n) ; the constants b^1, \dots, b^n do not depend on x or u .

COROLLARY 1. For any nonparabolic equation (1) with constant coefficients p^{ij} ($i, j = 1, \dots, n$) and $q^i = 0$ ($i = 1, \dots, n$), and $r(x), f(x) \in C(\overline{\Omega})$, solutions of the IPCV in Formulation 2 are given by

$$\tilde{V}[u] = \int_\Omega \left[\sum_{i,j=1}^n p^{ij} D_i u D_j u - r(x) \cdot u^2 + 2f \cdot u \right] dx.$$

The functional $\tilde{V}[u]$ is obtained from (6), since for $q^i = 0$ ($i = 1, \dots, n$) from (7) we have $k_i = 0$ ($i = 1, \dots, n$).

⁽⁴⁷⁾Sets of functions are henceforth given up to a factor and term not depending on x or u .

COROLLARY 2. *An element $u_0 \in M$ is a solution of the Dirichlet problem for the nonparabolic equation (1) if and only if u_0 is a critical point of the functional $V[u]$ (6), (7).*

Thus, for any nonparabolic operator \mathcal{L} of problem (1), (2) the IPCV in Formulation 2 always has a solution—this should be borne in mind with regard to assertions of “nonvariational” nonselfadjoint elliptic or hyperbolic equations.

We now consider in more detail the question of semiboundedness (that is, boundedness above or below) of the functionals (6) constructed for nonparabolic equations (1).

It is known ([57], vol. II, Chapter 3, §3) that any PDE (1) with constant coefficients (we further assume that $r(x) \equiv \text{const}$, $x \in \bar{\Omega}$) by a change of the independent variables

$$x_i = \sum_{j=1}^n t_{ij}y_j, \quad i = 1, \dots, n \quad (x = Ty) \tag{8}$$

can be transformed to the form

$$\mathcal{L}_1 u \equiv \sum_{i=1}^n a^i \frac{\partial^2 u}{\partial y_i^2} + \sum_{i=1}^n b_1^i \frac{\partial u}{\partial y_i} + r_1 \cdot u = g_1(y). \tag{9}$$

Here $\det(t_{ij})_{i,j=1}^n \neq 0$, the t_{ij} ($i, j = 1, \dots, n$) are constant real coefficients in $\bar{\Omega}$, the constants a^i ($i = 1, \dots, n$) assume the values 0, 1, or -1 , r_j is a constant in $\bar{\Omega}$, and $g_1(y) = f(Ty)$.

For a nonparabolic equation (1) in Ω it is possible ([57], vol. II) by a change of the unknown function

$$u(y) = v(y) \cdot \exp\left(-\frac{1}{2} \cdot z\right), \quad z = \sum_{i=1}^n b_1^i y_i / a^i \tag{10}$$

to transform equation (9) into

$$\mathcal{L}_2 v \equiv \sum_{i=1}^n a^i \partial^2 v / \partial y_i^2 + \lambda \cdot v = \tilde{g}, \tag{11}$$

where

$$\lambda = r_1 - \frac{1}{4} \cdot \sum_{i=1}^n \frac{(b_1^i)^2}{a^i}, \quad \tilde{g} = g_1 \cdot \exp\left(\frac{1}{2} z\right). \tag{12}$$

Thus, any equation (1) elliptic in Ω can be transformed into⁽⁴⁸⁾

$$\Delta u + \lambda u = f(\xi), \quad \lambda \equiv \text{const}, \quad \xi \in \tilde{\Omega}, \tag{13}$$

⁽⁴⁸⁾Appearance of the variables ξ_i ($i = 1, \dots, n$) is connected with a possible renumbering of the variables in passing from (11) to (13) or (14).

while any ultrahyperbolic (including properly hyperbolic) equation (1) can be transformed into

$$\sum_{i=1}^m \frac{\partial^2 u}{\partial \xi_i^2} - \sum_{i=m+1}^n \frac{\partial^2 u}{\partial \xi_i^2} + \lambda \cdot u(\xi) = f(\xi), \quad \xi \in \tilde{\Omega}, \quad (14)$$

where $1 \leq m < n$, $n \geq 2$, and $\lambda = \text{const}$ in $\tilde{\Omega}$.

For equations (13) and (14) functionals are known which are solutions of the IPCV. A natural question arises: if for equation (13) or (14) a solution of the IPCV has been constructed, will the functional obtained by transformations inverse to (8) and (10) be a solution of the IPCV for the original equation (1) of the corresponding type? It is convenient to first consider the question of transformation of functionals of this type in a more general case.

Suppose we are given a functional

$$\mathcal{J}[u] = \int_{\Omega} F(x_k, u^j, D_k u^j) dx, \quad k = 1, \dots, n; \quad j = 1, \dots, m, \quad (15)$$

where

$$F(x_k, u^j, D_k u^j) \equiv F(x_1, \dots, x_n, u^1, \dots, u^m, D_1 u^1, \dots, D_n u^1, \dots, D_1 u^m, \dots, D_n u^m)$$

is a function continuously differentiable in all its arguments in R^{n+m+mn} , and $u^j(x) \in M$ ($j = 1, \dots, m$).

We introduce a nonsingular transformation $y = y(x)$,

$$\begin{cases} y_k = y_k(x_i), & i, k = 1, \dots, n, \quad y_k \in C^1(\bar{\Omega}), \\ \det(\partial y_k / \partial x_i)_{i,k=1}^n \neq 0, & x \in \bar{\Omega}. \end{cases} \quad (16)$$

We denote the inverse transformation by $x = x(y)$.

The variational derivative $\delta F / \delta u^j$ for the functional $\mathcal{J}[u]$ is the left side of the j th Euler equation for the functional (15). We have

LEMMA 2. For any $u^{j'} \in M$ ($j' = 1, \dots, m$)

$$\begin{aligned} \left(\frac{\partial F}{\partial u^{j'}} \right)_{x=x(y)} &= \det \left(\frac{\partial y_r}{\partial x_s} \right)_{r,s=1}^n \\ &\cdot \frac{\delta}{\delta \tilde{u}^{j'}} \left[\tilde{F}(y_k, \tilde{u}^j(y), D_k \tilde{u}^j(y)) \cdot \det \left(\frac{\partial x_r}{\partial y_s} \right)_{r,s=1}^n \right], \\ & \quad j' = 1, \dots, m, \quad (17) \end{aligned}$$

where

$$\begin{aligned} \tilde{F}(y_k, \tilde{u}^j(y), D_k \tilde{u}^j(y)) &= F \left[x_i(y_k), u^j(x_i(y_k)), \sum_{k=1}^n \frac{\partial \tilde{u}^j}{\partial y_k} \cdot \frac{\partial y_k}{\partial x_i} \right], \\ u^j(x(y)) &= \tilde{u}^j(y) \quad (j = 1, \dots, m). \end{aligned}$$

PROOF. For any $u^j \in M$ ($j = 1, \dots, m$) we have

$$\begin{aligned} \frac{\partial u^j}{\partial x_i} &= \sum_{k=1}^n \frac{\partial \tilde{u}^j}{\partial y_k} \cdot \frac{\partial y_k}{\partial x_i}, \\ \int_{\Omega} (x_k, u^j(x), D_k u^j(x)) dx &= \int_{\tilde{\Omega}} \tilde{F}(y_k, \tilde{u}^j(y), D_k \tilde{u}^j(y)) / \det \left(\frac{\partial x_r}{\partial y_s} \right)_{r,s=1}^n / dy, \end{aligned} \tag{18}$$

where $\tilde{\Omega}$ is the domain obtained from Ω by means of the mapping (16). From this we obtain

$$\begin{aligned} \int_{\Omega} \frac{\delta F}{\delta u^{j'}} \cdot \eta^{j'} dx &= \left[\frac{\partial}{\partial \alpha^{j'}} \int_{\Omega} F(x_k, u^j + \alpha^j \eta^j, D_k u^j + \alpha^j \cdot D_k \eta^j) dx \right]_{\alpha=0} \\ &= \left[\frac{\partial}{\partial \alpha^{j'}} \int_{\tilde{\Omega}} \tilde{F}(y_k, \tilde{u}^j(y) + \alpha^j \cdot \tilde{\eta}^j(y), D_k \tilde{u}^j(y) + \alpha^j \cdot D_k \tilde{\eta}^j(y)) \right. \\ &\quad \left. \times \left| \det \left(\frac{\partial x_r}{\partial y_s} \right)_{r,s=1}^n \right| dy \right]_{\alpha=0} \\ &= \int_{\tilde{\Omega}} \frac{\delta}{\delta \tilde{u}^{j'}} \left[\tilde{F}(y_k, \tilde{u}^j(y), D_k \tilde{u}^j(y)) \cdot \left| \det \left(\frac{\partial x_r}{\partial y_s} \right)_{r,s=1}^n \right| \right] \\ &\quad \cdot \eta^j(x(y)) \cdot dy, \quad j' = 1, \dots, m. \end{aligned} \tag{19}$$

Here $\alpha = (\alpha^1, \dots, \alpha^m)$ is an arbitrary m -dimensional vector of real numbers, and $\eta^{j'} \in M$ ($j' = 1, \dots, m$).

Using (19), we obtain

$$\begin{aligned} \int_{\Omega} \frac{\delta F}{\delta u^{j'}} \cdot \eta^{j'} dx &= \int_{\tilde{\Omega}} \left(\frac{\delta F}{\delta u^{j'}} \right)_{x=x(y)} \cdot \eta^{j'}(x(y)) \cdot \left| \det \left(\frac{\partial x_r}{\partial y_s} \right)_{r,s=1}^n \right| dy \\ &= \int_{\tilde{\Omega}} \frac{\delta}{\delta \tilde{u}^{j'}} \left[\tilde{F}(y_k, \tilde{u}^j, D_k \tilde{u}^j) \cdot \left| \det \left(\frac{\partial x_r}{\partial y_s} \right)_{r,s=1}^n \right| \right] \eta^{j'}(x(y)) dy, \\ &\quad j' = 1, \dots, m. \end{aligned}$$

The required equality (17) follows from this, since $\eta^{j'} \in M$ ($j' = 1, \dots, m$) is arbitrary. ■

Suppose now that equation (1) is transformed into (9) by means of the transformation (8) (see (16)).

LEMMA 3. *A function $\tilde{E}[v]$ is a solution of the IPCV for the nonparabolic equation (11), (12) if and only if the functional*

$$\mathcal{F}[u(x)] = \tilde{E}[u \cdot \exp(\frac{1}{2} \cdot z)]|_{y=y(x)} \quad (20)$$

is a solution of the IPCV for equation (1).

PROOF. By Lemma 1 we find that the set of solutions of the IPCV for (11) and (12) is given by

$$\tilde{E}[v] = \int_{\tilde{\Omega}} \left[\sum_{i=1}^n a^i \left(\frac{\partial v}{\partial y_i} \right)^2 - \lambda \cdot v^2 + 2 \cdot \tilde{g} \cdot v \right] dy. \quad (21)$$

From (10) we have

$$v(y) = u(y) \cdot \exp(\frac{1}{2} \cdot z), \quad (22)$$

$$\frac{\partial v}{\partial y_i} = \left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \frac{b_1^i}{a^i} u \right) \cdot \exp(\frac{1}{2} z), \quad i = 1, \dots, n. \quad (23)$$

Substituting (22), (23) into (21), we obtain

$$\begin{aligned} \mathcal{F}_1[u] &= \tilde{E}[u \cdot \exp(\frac{1}{2} \cdot z)] \\ &= \int_{\tilde{\Omega}} \left[\sum_{i=1}^n a^i \cdot \left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} u \right)^2 - \lambda \cdot u^2 + 2g_1 \cdot u \right] \cdot \exp z \, dy. \end{aligned}$$

Hence

$$\begin{aligned} \delta \mathcal{F}_1[u] &= 2 \cdot \int_{\tilde{\Omega}} \exp z \cdot \left[\sum_{i=1}^n a^i \cdot \left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} u \right) \right. \\ &\quad \times \left. \left(\delta u_{y_i} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} \cdot \delta u \right) - \lambda u \cdot \delta u + g_1 \cdot \delta u \right] dy \\ &= 2 \cdot \int_{\tilde{\Omega}} \exp z \cdot \left\{ \sum_{i=1}^n a^i \frac{\partial}{\partial y_i} \left[\left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} u \right) \delta u \right] \right. \\ &\quad - \sum_{i=1}^n a^i \left(\frac{\partial^2 u}{\partial y_i^2} + \frac{1}{2} \frac{b_1^i}{a^i} \cdot \frac{\partial u}{\partial y_i} \right) \delta u - \lambda \cdot u \cdot \delta u \\ &\quad \left. + \frac{1}{2} \cdot \sum_{i=1}^n b_1^i \left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} u \right) \cdot \delta u + g_1 \cdot \delta u \right\} dy. \quad (24) \end{aligned}$$

Noting that for all $u \in M$

$$\begin{aligned} & \int_{\Omega} \exp z \cdot \sum_{i=1}^n a^i \frac{\partial}{\partial y_i} \left[\left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} \cdot u \right) \delta u \right] dy \\ &= \int_{\Omega} \left\{ \sum_{i=1}^n a^i \frac{\partial}{\partial y_i} \left[\exp z \cdot \left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} \cdot u \right) \delta u \right] \right. \\ & \quad \left. - \sum_{i=1}^n b_1^i \left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} u \right) \delta u \cdot \exp z \right\} dy, \end{aligned}$$

from (24) we obtain, for all $u \in M$,

$$\begin{aligned} \delta \mathcal{S}_1[u] &= -2 \cdot \int_{\Omega} \exp z \cdot \left\{ \sum_{i=1}^n b_1^i \cdot \left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \frac{b_1^i}{a^i} \cdot u \right) + \right. \\ & \quad \left. + \sum_{i=1}^n a^i \left(\frac{\partial^2 u}{\partial y_i^2} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} \cdot \frac{\partial u}{\partial y_i} \right) \right. \\ & \quad \left. - \frac{1}{2} \cdot \sum_{i=1}^n b_1^i \cdot \left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} u \right) \right. \\ & \quad \left. + r_1 \cdot u - \frac{1}{4} \cdot \sum_{i=1}^n \frac{(b_1^i)^2}{a^i} \cdot u - g_1 \right\} \delta u dy \\ &= -2 \cdot \int_{\Omega} \exp z \cdot (\mathcal{L}_1 u - g_1) \cdot \delta u \cdot dy. \end{aligned}$$

The lemma follows from this via (17) and (20). ■

From the lemmas proved above we obtain

COROLLARY 2. *Suppose problem (11), (12), (2) is obtained from (1) and (2) by means of transformations (8) and (10). Then the general solution of the IPCV in Formulation 2 for problem (1), (2) is the functional $\mathcal{S}[u]$ obtained from the functional $\tilde{E}[v]$ of (21) by the transformations (22) and (16).*

In theoretical investigations of differential equations by a variational method, and also in justifying direct methods of the calculus of variations, in applications it is important that the corresponding functional should have not a stationary point but an extremal point (a maximum or minimum). For the elliptic equation

$$-\Delta u + \lambda u = g(x), \quad \lambda \equiv \text{const} < -\lambda_1^2, \quad x \in \Omega \subset R^n, \quad (25)$$

or for the wave equation

$$u_{tt} - \Delta u = g(x, t), \quad (x, t) \in Q \subset R^{n+1} \quad (26)$$

functionals which are solutions of the IPCV are well known: respectively,

$$V_1[u] = \int_{\Omega} [|\nabla u|^2 + \lambda \cdot u^2 - 2 \cdot g \cdot u] dx, \quad (27)$$

$$V_2[u] = \int_Q \{-u_t^2 + |\nabla u|^2 - 2 \cdot g \cdot u\} dx dt. \quad (28)$$

It can be shown, however (see below), that these functionals are not bounded on M above and below, and the following question arises: for equations (25) and (26) and for the more general nonparabolic equation (1) do there exist semibounded functionals which are solutions of the IPCV in Formulation 2?

THEOREM 1. *If*

$$\sum_{i,j=1}^n p^{ij} \xi_i \xi_j \geq \mu |\xi|^2 > 0,$$

then for an equation (1) of elliptic type in Ω for

$$r > r_0(\Omega) > 0 \quad (29)$$

in the class of Euler-Lagrange functionals (3) there are no solutions of the IPCV which are semibounded on M .

PROOF. *Step 1.* According to Corollary 1 and Lemma 3, the general solution of the IPCV in Formulation 2 for equation (9) is given by

$$\begin{aligned} \mathcal{S}_1[u] = \int_{\Omega} \left\{ \sum_{i=1}^n a_i \cdot \left(\frac{\partial u}{\partial y_i} + \frac{1}{2} \cdot \frac{b_1^i}{a^i} \cdot u \right)^2 \right. \\ \left. - \left(r_1 - \frac{1}{4} \cdot \sum_{i=1}^n \frac{(b_1^i)^2}{a^i} \right) \cdot u^2 + 2 \cdot g_1 \cdot u \right\} \exp z dy. \quad (30) \end{aligned}$$

Here (see (20))

$$\mathcal{S}_1[u] = \tilde{E}[u \cdot \exp(\frac{1}{2} \cdot z)], \quad (31)$$

where $\tilde{E}[v]$ is the functional (21) constructed for equation (11). Therefore, from (31) it is obvious by (10) that for unboundedness above and below on M of the functional $\mathcal{S}_1[u]$ of (31) it is necessary and sufficient that the functional $\tilde{E}[v]$ be unbounded above and below on M .

Step 2. We establish the unboundedness on M of the functional

$$E[v] = \int_{\Omega} \cdot \left\{ \sum_{i=1}^n \left(\frac{\partial v}{\partial y_i} \right)^2 - \lambda \cdot v^2 + 2 \cdot \tilde{g} \cdot v \right\} dy \quad (32)$$

of the form (21) (for an elliptic equation, as stipulated in (9), $a^i = 1$, $i = 1, \dots, n$). It is obvious that for all $v \in M$

$$E[v] - \int_{\tilde{\Omega}} \tilde{g}^2 dy \leq \int_{\tilde{\Omega}} \left\{ \left(\frac{\partial v}{\partial y_i} \right)^2 + (1 - \lambda) \cdot v^2 \right\} dy \equiv E_2[v], \quad (33)$$

$$E[v] + \int_{\tilde{\Omega}} \tilde{g} dy \geq \int_{\tilde{\Omega}} \left\{ \sum_{i=1}^n \left(\frac{\partial v}{\partial y_i} \right)^2 - (1 + \lambda) \cdot v^2 \right\} dy \equiv E_1[v]. \quad (34)$$

Since with a piecewise smooth boundary $\partial\Omega$ the domain $\Omega \subset R^n$ contains some n -dimensional parallelepiped, because of the nondegeneracy of the transformation (16) taking Ω into $\tilde{\Omega}$, the domain $\tilde{\Omega}$ also contains some parallelepiped

$$Q = (a, b) \equiv (a_1, b_1) \times \dots \times (a_n, b_n), \quad |Q| = \prod_{i=1}^n (b_i - a_i) > 0.$$

We set

$$v_m(y) = \begin{cases} \prod_{i=1}^n \sin[m(l_i y_i + c_i)], & y \in Q, \\ 0, & y \in \tilde{\Omega} \setminus Q, \end{cases} \quad (35)$$

where $m = 1, 2, \dots$, and

$$l_i = 2\pi/(b_i - a_i), \quad c_i = -a_i \cdot l_i, \quad i = 1, \dots, n. \quad (36)$$

It is obvious that $v_m(y) \in \overset{\circ}{W}_2^1(\tilde{\Omega})$ and

$$\|v_m\|_{\overset{\circ}{W}_2^1(\tilde{\Omega})} = \left\{ \int_{\tilde{\Omega}} \sum_{i=1}^n \left(\frac{\partial v_m}{\partial y_i} \right)^2 dy \right\}^{1/2} < \infty, \quad m = 1, 2, 3, \dots,$$

and by direct computations we find

$$E_2[v_m] = \left(\frac{1}{2} \right)^n \cdot |Q| \cdot \left[1 - \lambda + m^2 \cdot \sum_{j=1}^n l_j^2 \right]. \quad (37)$$

Setting $m = 1$, from this we conclude that for any

$$\lambda > 1 + \sum_{j=1}^n l_j^2 \quad (38)$$

we have $E_2[v_1] < 0$. Then for any ρ , not depending on y or v , for the quadratic functional $E_2[v]$ of (33) we have $E_2[\rho v_1] = \rho^2 E_2[v_1] \rightarrow -\infty$ ($\rho \rightarrow \infty$). Therefore, the functional $E_2[v]$ and by (33) also $E[v]$ are unbounded below on $\overset{\circ}{W}_2^1(\tilde{\Omega})$.

Similarly, for the functional $E_1[v]$ of (34) by direct computations we find that

$$E_1[v_m] = \left(\frac{1}{2}\right)^n \cdot |Q| \cdot \left\{ -1 - \lambda + m^2 \sum_{j=1}^n l_j^2 \right\}.$$

Obviously for any $\lambda \in R^1$ we can find $N = N(\lambda)$ such that $E_1[v_N] > 0$. Therefore, $E_1[\rho v_N] = \rho^2 E_1[v_N] \rightarrow +\infty$ as $\rho \rightarrow \infty$. From this and (34) we conclude also that the functional $E[v]$ is not bounded above on $\overset{\circ}{W}_2^1(\Omega)$.

It is now not hard to obtain the unboundedness above and below on the set M of the functional $E[v]$ of (32) and (38) from the fact that the functional $E[v]$ is continuous on $\overset{\circ}{W}_1^2(\Omega)$, the set M is dense in $\overset{\circ}{W}_2^1(\Omega)$, and $E[v]$ of (32) and (38) is unbounded on $\overset{\circ}{W}_2^1(\Omega)$.

Since the functional $E[v]$ of (32) by Corollary 1 is the general solution of the IPCV for the equation

$$\Delta v + \lambda \cdot v = \tilde{g}(y), \quad y \in \tilde{\Omega}, \quad v|_{\partial\tilde{\Omega}} = 0, \quad (39)$$

it is useful to distinguish the result of this second step separately.

COROLLARY 4. *For problem (39), (38) in the class of Euler-Lagrange functionals there are no solutions of the IPCV which are semibounded on M .*

Step 3. Since the functional $\mathcal{S}_1[u]$ of (30) is the general solution of the IPCV for equation (9), from the results of Step 2 and the arguments of Step 1 we also obtain

COROLLARY 5. *For the elliptic equation (9) ($a^i = 1, i = 1, \dots, n$), where*

$$\lambda \equiv r_1 - \frac{1}{4} \cdot \sum_{i=1}^n (b_i^i)^2 > 1 + \sum_{j=1}^n l_j^2. \quad (40)$$

in the class of Euler-Lagrange functionals there do not exist solutions of the IPCV which are semibounded on M .

Thus, the functional $\mathcal{S}_1[u]$ of (30) is unbounded on M above and below under condition (40). The functional $V[u]$, which is the general solution of the IPCV for equation (1), is obtained, according to Lemma 2, by a nondegenerate change of the independent variables $y = y(x)$ in the functional $\mathcal{S}_1[u(y)]$, i.e., a change of the independent variable occurs under the integral which does not change the value of the integral (see (18)). Therefore, the functional $V[u(x)] = \mathcal{S}_1[u(y)]_{y=y(x)}$, which is the general solution of the IPCV for equation (1), is also unbounded on M above and below for $r > r_0(\Omega)$. The theorem is proved. ■

THEOREM 2. *For any ultrahyperbolic (including properly hyperbolic) equation (1) in the class of Euler-Lagrange functionals there are no semi-bounded solutions of the IPCV.*

From the proof of Theorem 1 it is not hard to see that we need only establish unboundedness on M of the functional

$$G[v] = \int_{\tilde{\Omega}} \left\{ \sum_{i=1}^m v_{y_i}^2 - \sum_{k=m+1}^n v_{y_k}^2 - \lambda \cdot v^2 + 2 \cdot \tilde{g} \cdot v \right\} dy \quad (41)$$

which is the general solution (see Corollary 1) of the IPCV for the ultrahyperbolic equation (14).

For all $v \in M$ we have

$$\begin{aligned} G[v] - \int_{\tilde{\Omega}} \tilde{g}^2 dy &\leq \int_{\tilde{\Omega}} \left\{ \sum_{i=1}^m v_{y_i}^2 - \sum_{k=m+1}^n v_{y_k}^2 + (1 - \lambda) \cdot v^2 \right\} dy & (42) \\ &\equiv G_1[v]; \end{aligned}$$

$$\begin{aligned} G[v] + \int_{\tilde{\Omega}} \tilde{g}^2 dy &\geq \int_{\tilde{\Omega}} \left\{ \sum_{i=1}^m v_{y_i}^2 - \sum_{k=m+1}^n v_{y_k}^2 - (1 + \lambda) \cdot v^2 \right\} dy & (43) \\ &\equiv G_2[v]. \end{aligned}$$

Since the domain Ω contains some parallelepiped and the transformation (16) mapping Ω to $\tilde{\Omega}$ is nondegenerate, the domain $\tilde{\Omega}$ also contains some parallelepiped

$$\begin{aligned} Q_1 &= (a_1, b_1) \times \cdots \times (a_m, b_m) \times (\bar{a}_{m+1}, \bar{b}_{m+1}) \times \cdots \times (\bar{a}_n, \bar{b}_n), \\ |Q_1| &= \prod_{i=1}^m (b_i - a_i) \prod_{i=m+1}^n (\bar{b}_i - \bar{a}_i) > 0. \end{aligned}$$

For $t, s = 1, 2, \dots$ we set

$$v_{ts}(y) = \begin{cases} \prod_{i=1}^m \sin[t(l_i y_i + c_i)] \prod_{i=m+1}^n \sin[s(l_i y_i + c_i)], & y \in Q_1, \\ 0, & y \in \tilde{\Omega} \setminus Q_1. \end{cases} \quad (44)$$

Here the l_i and c_i for $i = 1, \dots, m$ are defined in (36), while

$$l_i = \frac{2\pi}{\bar{b}_i - \bar{a}_i}, \quad c_i = -\bar{a}_i \cdot l_i, \quad i = m + 1, \dots, n. \quad (45)$$

Obviously $v_{ts}(y) \in \overset{\circ}{W}_2^1(\tilde{\Omega})$ for all $t, s = 1, 2, \dots$, and by direct computations we find that

$$G_1[v_{ts}] = \left(\frac{1}{2}\right)^n \cdot |Q_1| \cdot \left\{ (t^2 - s^2) \cdot \sum_{j=1}^n l_j + 1 - \lambda \right\}, \quad (46)$$

$$G_2[v_{ts}] = \left(\frac{1}{2}\right)^n \cdot |Q_1| \cdot \left\{ (t^2 - s^2) \cdot \sum_{j=1}^n l_j^2 - 1 - \lambda \right\}. \quad (47)$$

From this it is easy to see that the functional $G_1[v_{ts}]$, ($G_2[v_{ts}]$) for any $\lambda \in R^1$ is unbounded below (respectively, above), and from (42) (from (43)) we find that the functional $G[v]$, which is the general solution of the IPCV for equation (14), is unbounded below (respectively, above) on $\overset{\circ}{W}_2^1(\Omega)$.

Further, repeating the arguments of Steps 1 and 3 of the proof of Theorem 1, we can show that the functional $\tilde{G}[u]$ obtained from $G[v]$ of (41) by the changes inverse to (10) and (8) (see Lemmas 2 and 3), which is the general solution of the IPCV for the ultrahyperbolic equation (1), is unbounded on M both above and below for any constant coefficients p^{ij} , b_1^i ($i, j = 1, \dots, n$), and r . ■

For a parabolic equation there does not exist a solution of the IPCV in the class of Euler-Lagrange functionals (3) [54]. For any nonparabolic equation (1) in Ω such solutions exist (Lemma 1). However, for any ultrahyperbolic (including hyperbolic) equation (1) and also for an elliptic equation (1) for $r \geq r_0 > 0$ (assuming that $\sum_{i,j=1}^r p^{ij} \xi_i \xi_j > \mu |\xi|^2 > 0$) in the class of Euler-Lagrange functionals there are no functionals bounded above or below which are solutions of the IPCV in Formulation 2. It is therefore necessary to invoke other classes of functionals distinct from the class of Euler-Lagrange functionals (3) to develop a direct variational method of investigating even these basic equations of mathematical physics and to apply minimization methods to the functionals of the corresponding variational problem.

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