# On the lack of compactness in the 2D critical Sobolev embedding

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joint work with Hajer Bahouri & Nader Masmoudi

May 27, 2010

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#### Introduction

Critical 2D Sobolev embedding A first analysis of the lack of compactness Main result Qualitative study of nonlinear wave equation Concluding remarks

## Introduction

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The study of the lack of compactness in the Sobolev embedding has a long history. This question was investigated through several angles:

- P.-L. Lions[1985] : Defect measures.
- P. Gérard[1996-98]: Microlocal defect measures and profile decomposition.
- S. Jaffard[1999]: Nonlinear wavelet approximation theory.

## Application

• Qualitative study of nonlinear partial differential equations.

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• For 
$$d \ge 3$$
,  $0 < s < d/2$  and  $p = 2d/(d - 2s)$   
 $\dot{H}^{s}(\mathbb{R}^{d}) \hookrightarrow L^{p}(\mathbb{R}^{d})$  non-compact

 Translation and scaling invariance are the sole responsible for the defect of compactness (P. Gérard).

 $(\tau_{y_n}u), y_n \to \infty \text{ and } \delta_{h_n}u(\cdot) = h_n^{-\frac{d}{p}}u(\frac{\cdot}{h_n}), h_n \to \infty \text{ or } 0$ 

• 
$$\|\tau_{y_n}u\|_{L^p} = \|u\|_{L^p}, \|\delta_{h_n}u\|_{L^p} = \|u\|_{L^p}.$$

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#### Introduction

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The following profile decomposition was proved by P. Gérard

$$u_n(x) = u^0(x) + \sum_{j=1}^{\ell} \frac{1}{(h_n^{(j)})^{\frac{d}{p}}} \psi^{(j)}\left(\frac{x - x_n^{(j)}}{h_n^{(j)}}\right) + r_n^{\ell}(x)$$

- u<sup>0</sup> is the weak limit.
- $(h_n^{(j)})$ : scales,  $(x_n^{(j)})$ : cores,  $(\psi^{(j)})$ : profiles.
- **Orthogonality**:  $j \neq k$ 
  - $h_n^{(j)}/h_n^{(k)} \to 0$  or  $h_n^{(j)}/h_n^{(k)} \to \infty$
  - $h_n^{(j)} = h_n^{(k)}$  and  $|x_n^{(j)} x_n^{(k)}| / h_n^{(j)} \to \infty$ .
- $\mathbf{r}_n^{\ell}$  is small in  $L^p$ .

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#### Introduction

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#### • Stability

$$\|u_n\|_{\dot{H}^s}^2 = \sum_{j=1}^{\ell} \|\psi^{(j)}\|_{\dot{H}^s}^2 + \|\mathbf{r}_n^{(\ell)}\|_{\dot{H}^s}^2 + o(1), \quad n \to \infty.$$

•  $L^p$  norm  $\|u_n\|_{L^p}^p \to \sum_{j\geq 1} \|\psi^{(j)}\|_{L^p}^p.$ 

Applications

• Qualitative study of the 3D critical NLW (Bahouri-Gérard)

$$\partial_t^2 u - \Delta u + u^5 = 0$$

• Blow-up analysis of the critical focusing NLW (Kenig-Merle)

$$\partial_t^2 u - \Delta u - u^5 = 0$$

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## Critical 2D Sobolev embedding

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#### Definition

Let  $\phi : \mathbb{R}^+ \to \mathbb{R}^+$  be a convex increasing function such that

$$\phi(0) = 0 = \lim_{s \to 0^+} \phi(s), \quad \lim_{s \to \infty} \phi(s) = \infty.$$

The Orlicz space  $L^{\phi}$  is defined via the Luxembourg norm

$$\|u\|_{L^{\phi}} = \inf \left\{ \lambda > 0, \quad \int_{\mathbb{R}^d} \phi\left(rac{|u(x)|}{\lambda}
ight) \, dx \leq 1 
ight\}.$$

• We may replace 1 by any positive constant.

• 
$$\phi(s) = s^p, 1 \le p < \infty \Longrightarrow L^{\phi} = L^p.$$

• 
$$\phi_{\alpha}(s) = \mathrm{e}^{\alpha s^2} - 1 \Longrightarrow L^{\phi_{\alpha}} = L^{\phi_1} = \mathcal{L}.$$

#### Proposition

We have  $H^1(\mathbb{R}^2) \hookrightarrow \mathcal{L}(\mathbb{R}^2) \hookrightarrow \bigcap_{2 \le p < \infty} L^p(\mathbb{R}^2)$ . More precisely

$$\|u\|_{\mathcal{L}} \le \frac{1}{\sqrt{4\pi}} \|u\|_{H^1}$$
 (1)

• For  $\alpha < 4\pi$  there exists  $C_{\alpha}$  s.t.

$$\|\nabla u\|_{L^2} \leq 1 \Longrightarrow \left\| e^{\alpha |u|^2} - 1 \right\|_{L^1(\mathbb{R}^2)} \leq C_\alpha \|u\|_{L^2(\mathbb{R}^2)}^2.$$

- The condition  $\alpha < 4\pi$  is sharp.
- $\alpha = 4\pi$  becomes admissible if we require  $||u||_{H^1(\mathbb{R}^2)} \leq 1$ .

$$\sup_{\|u\|_{H^1} \le 1} \int_{\mathbb{R}^2} \left( e^{4\pi |u|^2} - 1 \right) dx := \kappa < \infty$$

- The inequality (1) is insensitive to space translation but not invariant under scaling nor oscillations.
- The embedding of  $H^1(\mathbb{R}^2)$  in  $\mathcal{L}(\mathbb{R}^2)$  is sharp within the context of Orlicz spaces.
- $H^1(\mathbb{R}^2) \hookrightarrow BW(\mathbb{R}^2) \subsetneqq \mathcal{L}(\mathbb{R}^2)$ .

Remark that the Brézis-Wainger space  $BW(\mathbb{R}^2)$  is a rearrangement invariant Banach space but not an Orlicz space.

•  $H^1(\mathbb{R}^2) \hookrightarrow BMO(\mathbb{R}^2) \cap L^2(\mathbb{R}^2)$ . The spaces  $\mathcal{L}$  and  $BMO \cap L^2$  are not comparable.

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## A first analysis of the lack of compactness

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The embedding  $H^1 \hookrightarrow \mathcal{L}$  is non-compact at least for two reasons.

- Lack of compactness at infinity:  $u_n(x) = \varphi(x + x_n), \ 0 \neq \varphi \in \mathcal{D}, \ |x_n| \to \infty.$
- Concentration: Lions's example

$$egin{array}{rcl} f_lpha(x)&=&\left\{egin{array}{ccc} 0& ext{if}&|x|\geq 1,\ &\ -rac{\log|x|}{\sqrt{2lpha\pi}}& ext{if}&\mathrm{e}^{-lpha}\leq |x|\leq 1,\ &\ &\sqrt{rac{lpha}{2\pi}}& ext{if}&|x|\leq \mathrm{e}^{-lpha}. \end{array}
ight.$$

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#### Straightforward computations show that

- $||f_{\alpha}||_{L^{2}(\mathbb{R}^{2})}^{2} = \frac{1}{4\alpha}(1 e^{-2\alpha}) \frac{1}{2}e^{-2\alpha}.$
- $\|\nabla f_{\alpha}\|_{L^2(\mathbb{R}^2)} = 1.$
- $f_{\alpha} \rightharpoonup 0$  in  $H^1(\mathbb{R}^2)$  as  $\alpha \to \infty$  or  $\alpha \to 0$ .
- $\|f_{\alpha}\|_{\mathcal{L}} \to \frac{1}{\sqrt{4\pi}}$  as  $\alpha \to \infty$ .
- $||f_{\alpha}||_{\mathcal{L}} \to 0$  as  $\alpha \to 0$ .

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The difference between the behavior of  $f_{\alpha}$  in Orlicz space when  $\alpha \to 0$  or  $\alpha \to \infty$  comes from the fact that the concentration effect is only displayed when  $\alpha \to \infty$ .

- $|\nabla f_{\alpha}|^2 \to \delta(x=0)$   $(\alpha \to \infty).$
- $\|f_{\alpha}\|_{\mathcal{L}} \sim \|f_{\alpha}\|_{L^2} \quad (\alpha \to 0).$
- In  $H^1(\mathbb{R}^2) \cap L^\infty(\mathbb{R}^2)$  we have

 $\|\cdot\|_{\mathcal{L}}\sim\|\cdot\|_{L^2}$ 

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The following result of P.-L. Lions (in a slightly different form) characterizes the possible loss of compactness macroscopically.

#### Proposition

Let  $(u_n)$  be a sequence in  $H^1(\mathbb{R}^2)$  such that

•  $u_n \rightarrow 0$ 

• 
$$\liminf_{n\to\infty} \|u_n\|_{\mathcal{L}} > 0$$

• 
$$\lim_{R \to \infty} \limsup_{n \to \infty} \int_{|x| > R} |u_n(x)|^2 dx = 0$$

Then, there exists  $x_0 \in \mathbb{R}^2$  and a constant c > 0 such that

$$|\nabla u_n(x)|^2 dx \rightarrow \mu \ge c \,\delta_{x_0} \quad (n \rightarrow \infty)$$

weakly in the sense of measures.

Concluding remarks

Main result

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• We restrict ourselves to the radial case. The reason behind is the following well known  $L^{\infty}$  estimate

$$|u(x)| \leq \frac{C}{r^{\frac{1}{2}}} \|u\|_{L^2}^{\frac{1}{2}} \|\nabla u\|_{L^2}^{\frac{1}{2}}$$

- No defect of compactness far from the origin.
- The fundamental remark in our analysis is

$$f_{lpha}(x) = \sqrt{rac{oldsymbol{lpha}}{2\pi}} \, {f L} \, igg( rac{-\log |x|}{oldsymbol{lpha}} igg),$$

where

$$f L(t) = egin{cases} 0 & ext{if} & t \leq 0, \ t & ext{if} & 0 \leq t \leq 1, \ 1 & ext{if} & t \geq 1. \end{cases}$$

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- The sequence  $\alpha \to \infty$  is called the scale and the function L the profile.
- $f_{\alpha} + f_{2\alpha} = \sqrt{\frac{\alpha}{2\pi}} \psi\left(\frac{s}{\alpha}\right)$  where

$$m{\psi}(t) \;\; = \;\; \left\{ egin{array}{cccc} 0 & ext{if} & t \leq 0, \ t + rac{t}{\sqrt{2}} & ext{if} & 0 \leq t \leq 1, \ 1 + rac{t}{\sqrt{2}} & ext{if} & 1 \leq t \leq 2, \ 1 + \sqrt{2} & ext{if} & t \geq 2. \end{array} 
ight.$$

- The situation is completely different for  $f_{\alpha} + f_{\alpha^2}$ .
- We have  $(\alpha) \perp (\alpha^2)$  and  $(\alpha) \perp (2\alpha)$ .

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• Our main goal is to establish that the characterization of the lack of compactness of the embedding

 $H^1_{rad} \hookrightarrow \mathcal{L}$ 

can be reduced to the Lions's example in terms of an asymptotic decomposition.

• In order to state our main result in a clear way, we need some definitions (Scales and Profiles).

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#### Definition

A scale is a sequence  $\underline{\alpha} := (\alpha_n)$  of positive real numbers going to infinity. We shall say that two scales  $\underline{\alpha}$  and  $\beta$  are orthogonal if

 $\log(\beta_n/\alpha_n) \to \infty.$ 

#### Definition

The set of profiles is

$$\mathcal{P} := \left\{ \psi \in L^2(\mathbb{R}, \mathrm{e}^{-2s} ds); \quad \psi' \in L^2(\mathbb{R}), \ \psi_{|]-\infty,0]} = 0 \right\}.$$

- $\psi \in \mathcal{P} \Longrightarrow \psi$  is continuous.
- If  $\psi \in \mathcal{P}$  and  $a \leq 0$  then  $\psi_a(s) := \psi(s+a)$  belongs to  $\mathcal{P}$ .

#### Proposition

Let  $\psi \in \mathcal{P}$  a profile,  $(\alpha_n)$  any scale and set

$$g_n(x) := \sqrt{\frac{\alpha_n}{2\pi}} \psi\left(\frac{-\log|x|}{\alpha_n}\right).$$

#### Then

$$\frac{1}{\sqrt{4\pi}} \sup_{s>0} \frac{|\psi(s)|}{\sqrt{s}} \leq \liminf_{n\to\infty} \|g_n\|_{\mathcal{L}} \leq \limsup_{n\to\infty} \|g_n\|_{\mathcal{L}} \leq \frac{1}{\sqrt{4\pi}} \|\psi'\|_{L^2}.$$

• If  $\|\psi'\|_{L^2} = 1 = \sup\left(\frac{|\psi(t)|}{\sqrt{t}}\right)$  there exists  $s_0 > 0$  such that  $\psi(s) = \psi(s_0) = \sqrt{s_0}$  for any  $s \ge s_0$ .

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#### Theorem

Let  $(u_n)$  be a sequence in  $H^1_{rad}(\mathbb{R}^2)$  such that

$$u_n 
ightarrow 0, \quad \limsup_{n \to \infty} \|u_n\|_{\mathcal{L}} = A_0 > 0,$$

$$\lim_{R\to\infty} \limsup_{n\to\infty} \|u_n\|_{L^2(|x|>R)} = 0.$$

Then (up to subsequence extraction), for all  $\ell \geq 1$ ,

 $n \rightarrow \infty$ 

$$u_n(x) = \sum_{j=1}^{\ell} \sqrt{\frac{\alpha_n^{(j)}}{2\pi}} \psi^{(j)} \left(\frac{-\log|x|}{\alpha_n^{(j)}}\right) + \mathbf{r}_n^{(\ell)}(x)$$

lim sup  $\|\mathbf{r}_n^{(\ell)}\|_{\mathcal{L}} \stackrel{\ell \to \infty}{\longrightarrow} 0.$ 

with

- $(\alpha_n^{(j)}) = \text{scales}, \ \alpha_n^{(j)} \to \infty \text{ as } n \to \infty.$
- $(\alpha_n^{(j)}) \perp (\alpha_n^{(k)})$  for all  $j \neq k$ .
- $(\psi^{(j)}) = \text{profiles}.$
- Stability

$$\|\nabla u_n\|_{L^2}^2 = \sum_{j=1}^{\ell} \|(\psi^{(j)})'\|_{L^2}^2 + \|\nabla r_n^{(\ell)}\|_{L^2}^2 + o(1), \quad n \to \infty.$$

• Orlicz norm

$$\|u_n\|_{\mathcal{L}} \to \sup_{j\geq 1} (\lim_{n\to\infty} \|g_n^{(j)}\|_{\mathcal{L}}).$$

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- Diagonal subsequence extraction.
- Crucial fact: Under the assumptions of the theorem we can extract a scale  $(\alpha_n)$  and a profile  $\psi$  such that

 $\|\psi'\|_{L^2} \ge C A_0$ .

- Study of the remainder term  $r_n$ : If  $||r_n||_{\mathcal{L}} \to 0$  we stop the process; if not,  $r_n$  satisfies the same properties as  $u_n$ .
- By contradiction arguments, we get the property of orthogonality between the two first scales.
- This process converges.

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- Compactness at infinity  $\implies ||u_n||_{L^2} \rightarrow 0.$
- Radial setting

 $\forall \ M \in \mathbb{R}, \ \|v_n\|_{L^\infty(]-\infty,M[)} \to 0 \ (n \to \infty), \ v_n(s) = u_n(\mathrm{e}^{-s}).$ 

As a consequence

$$\forall \ \delta > 0, \quad \sup_{s \ge 0} \left( \left| \frac{v_n(s)}{A_0 - \delta} \right|^2 - s \right) \to \infty \ (n \to \infty).$$

If not

$$\limsup_{n\to\infty} \|u_n\|_{\mathcal{L}} \leq A_0 - \delta.$$

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Sketch of the Proof

• Extraction of the first scale  $\alpha_n^{(1)}$ 

$$\frac{A_0}{2}\sqrt{\alpha_n^{(1)}} \leq |v_n(\alpha_n^{(1)})| \leq C\sqrt{\alpha_n^{(1)}} + \circ(1).$$

• Extraction of the first profile  $\psi^{(1)} \in \mathcal{P}$ 

$$\psi_n(y) = \sqrt{\frac{2\pi}{\alpha_n^{(1)}}} v_n(\alpha_n^{(1)}y).$$

•  $\psi'_n \rightharpoonup (\psi^{(1)})'$  in  $L^2(\mathbb{R})$  with  $\|(\psi^{(1)})'\|_{L^2} \ge \frac{\sqrt{2\pi}}{2} A_0.$ •  $\|\psi^{(1)}(1)\| = \Big| \int_0^1 (\psi^{(1)})'(\tau) \, d\tau \Big| \le \|(\psi^{(1)})'\|_{L^2}.$ 

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Sketch of the Proof

• 
$$\mathbf{r}_{n}^{(1)}(x) = \sqrt{\frac{\alpha_{n}^{(1)}}{2\pi}} \left( \psi_{n} \left( \frac{-\log|x|}{\alpha_{n}^{(1)}} \right) - \psi^{(1)} \left( \frac{-\log|x|}{\alpha_{n}^{(1)}} \right) \right).$$
  
 $\limsup_{n \to \infty} \|\nabla \mathbf{r}_{n}^{(1)}\|_{L^{2}}^{2} \le \limsup_{n \to \infty} \|\nabla u_{n}\|_{L^{2}}^{2} - \|(\psi^{(1)})'\|_{L^{2}}^{2}.$ 

Let

$$A_1 = \limsup_{n \to \infty} \, \|\mathbf{r}_n^{(1)}\|_{\mathcal{L}}.$$

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If  $A_1 = 0$  we are done. If not, we argue similarly to obtain a second scale  $\alpha_n^{(2)}$  with  $(\alpha_n^{(2)} \perp \alpha_n^{(1)})$ .

Sketch of the Proof

#### • By iteration

$$u_n(x) = \sum_{j=1}^{\ell} \sqrt{\frac{\alpha_n^{(j)}}{2\pi}} \psi^{(j)} \left(\frac{-\log|x|}{\alpha_n^{(j)}}\right) + r_n^{(\ell)}(x) .$$
$$\limsup_{n \to \infty} \|\nabla r_n^{(\ell)}\|_{L^2}^2 \le \limsup_{n \to \infty} \|\nabla u_n\|_{L^2}^2 - \sum_{j=1}^{\ell} \|(\psi^{(j)})'\|_{L^2}^2 .$$

- We have  $\|(\psi^{(j)})'\|_{L^2}^2 \geq CA_{j-1}$  for some absolute constant.
- It follows that

 $\limsup_{n\to\infty} \|\mathbf{r}_n^{(\ell)}\|_{H^1}^2 \leq \limsup_{n\to\infty} \|\nabla u_n\|_{L^2}^2 - C(A_0^2 + A_1^2 + \cdots + A_{\ell-1}^2).$ 

Hence

 $A_\ell \to 0$  as  $\ell \to \infty$ .

Sketch of the Proof

## Qualitative study of nonlinear wave equation

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Sketch of the Proof

#### Consider the following semi-linear Klein-Gordon equation

$$\partial_t^2 u - \Delta u + u + f(u) = 0, \quad u: \mathbb{R}_t \times \mathbb{R}_x^2 \to \mathbb{R},$$

where

$$f(u)=u \ \left(\mathrm{e}^{4\pi u^2}-1\right).$$

Conservation of energy

 $E(u,t) = \|\partial_t u(t)\|_{L^2}^2 + \|\nabla u(t)\|_{L^2}^2 + \frac{1}{4\pi} \|e^{4\pi u(t)^2} - 1\|_{L^1}$ =  $E(u,0) := E_0.$ 

• The notion of criticality here depends on the size of the initial energy  $E_0$  with respect to 1.

Sketch of the Proof

Nakamura-Ozawa: Global well-posedness and scattering for sufficiently small data.

Atallah: Local well-posedness for radially symmetric initial data (0, u1).

 Ibrahim-Majdoub-Masmoudi & Ibrahim-Majdoub-Masmoudi-Nakanishi: Global well-posedness and scattering in both subcritical and critical cases. Weak ill-posedness in the supercritical case.

Very recently, Struwe has constructed global smooth solutions with radially symmetric data. Although
the techniques are different, this result might be seen as an analogue of Tao's result for the 3D energy
supercritical wave equation.

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- We investigate the feature of solutions of the nonlinear Klein-Gordon equation taking into account the different regimes.
- Similar works of Gérard and Bahouri-Gérard.
- The approach that we adopt here is the one introduced by Gérard which consists to compare the evolution of oscillations and concentration effects displayed by sequences of solutions of the nonlinear Klein-Gordon equation and solutions of the linear Klein-Gordon equation.
- Roughly speaking, in the subcritical regime the nonlinear equation is linearizable. However, in the critical regime a nonlinear behavior appears.

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Sketch of the Proof

Let  $(\varphi_n, \psi_n) \in H^1 \times L^2$  supported in a fixed compact and satisfying

$$arphi_n 
ightarrow 0$$
 in  $H^1$ ,  $\psi_n 
ightarrow 0$  in  $L^2$  .

#### Definition

Let T > 0. We shall say that the sequence  $(u_n)$  is linearizable on [0, T], if  $\sup_{t \to \infty} E_t(u_n - v_n, t) \longrightarrow 0 \quad (n \to \infty)$ 

$$\sup_{\in [0,T]} E_c(u_n - v_n, t) \longrightarrow 0 \quad (n \to \infty)$$

where

$$E_{c}(w,t) = \int_{\mathbb{R}^{2}} \left[ |\partial_{t}w|^{2} + |\nabla_{x}w|^{2} + |w|^{2} \right] (t,x) dx$$

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Sketch of the Proof

#### Define

$$E^{n} = \|\psi_{n}\|_{L^{2}}^{2} + \|\nabla\varphi_{n}\|_{L^{2}}^{2} + \frac{1}{4\pi} \|e^{4\pi\varphi_{n}^{2}} - 1\|_{L^{1}}.$$

#### Theorem

If  $\limsup_{\substack{n \to \infty \\ n \to \infty}} E^n < 1$ , then  $(u_n)$  is linearizable. If  $\limsup_{\substack{n \to \infty \\ n \to \infty}} E^n = 1$ , then  $(u_n)$  is linearizable provided that the sequence  $(v_n)$  satisfies

$$L:=\limsup_{n\to\infty} \|v_n\|_{L^{\infty}([0,T];\mathcal{L})}<\frac{1}{\sqrt{4\pi}}$$

We believe that the converse is true (work in progress).

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Sketch of the Proof

We give in the sequel the ideas of the proof in the critical case. Define  $w_n = u_n - v_n$  and remark that

$$\partial_t^2 w_n - \Delta w_n + w_n = -f(u_n)$$
.

We have to prove that  $||f(u_n)||_{L^1([0,T];L^2(\mathbb{R}^2))} \to 0$ . The main tools to carry out the proof are:

- Energy and Strichartz estimates.
- Convergence in measure.
- Logarithmic inequality (New).
- Absorption argument.

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Sketch of the Proof

#### Write

 $f(u_n) = f(v_n + w_n) = f(v_n) + f'(v_n) w_n + \frac{1}{2} f''(v_n + \theta_n w_n) w_n^2.$ 

- Convergence in measure to 0 of  $(v_n)$ .
- The assumption lim sup<sub>n→∞</sub> ||v<sub>n</sub>||<sub>L∞([0, T];L)</sub> < 1/√4π together with the logarithmic inequality implies that (f(v<sub>n</sub>)) is bounded in L<sup>1+ε</sup>([0, T], L<sup>2+ε</sup>(ℝ<sup>2</sup>)) for some ε > 0.
- As a consequence

 $||f(v_n)||_{L^1([0,T];L^2(\mathbb{R}^2))} \to 0$ .

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Sketch of the Proof

• By Hölder inequality

 $\|f'(v_n) w_n\|_{L^1([0,T];L^2(\mathbb{R}^2))} \le \varepsilon_n \|w_n\|_{ST(I)} \quad (\varepsilon_n \to 0) .$ 

• For the last term we have

 $\|f''(v_n+\theta_n w_n) w_n^2\|_{L^1([0,T];L^2(\mathbb{R}^2))} \leq \varepsilon_n \|w_n\|_{ST(I)}^2 \quad (\varepsilon_n \to 0),$ 

provided that

$$\limsup_{n\to\infty} \|w_n\|_{L^{\infty}([0,T];H^1)} \leq \frac{1-L\sqrt{4\pi}}{2}$$

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• We conclude by absorption and continuity arguments.

## Concluding remarks

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- A similar result can be obtained in higher dimensions (work in progress).
- The description of the lack of compactness of the embedding of  $H^1(\mathbb{R}^2)$  into Orlicz space in the general frame is much harder than the radial setting (work in progress).
- An interesting (and difficult) question is to remove the radial symmetry assumption in the Struwe's result.

## **Thank You**

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## **Some Publications**



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