

Die gedämpfte Klein-Gordon Gleichung und Invariante Mannigfaltigkeiten

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Arbeit mit Nicolas Burq und Wilhelm Schlag

The Klein-Gordon equation

Klein and **Gordon** (1926) independently derived a relativistic equation for a charged particle in an electromagnetic field, using ideas of quantum theory \rightsquigarrow Klein-Gordon (or Klein-Gordon-Fock) equation:

$$\frac{1}{c^2}\psi_{tt} - \Delta\psi + \left(\frac{mc}{h}\right)^2\psi = 0,$$

for the special case of a free particle in \mathbb{R}^3 .

Mathematical generalisation:

$$\frac{1}{c^2}\psi_{tt} - \Delta\psi + \psi + V'(\psi) = 0,$$

where the potential V is s.t. V' is a nonlinear function. Invariance under the Lorentz transformations.

Examples: $V'(\psi) = \varepsilon|\psi|^{p-1}\psi$ where $2 < p \leq 5$, $\varepsilon = \pm 1$,
 $V'(\psi) = -\psi + \sin \psi$: sine-Gordon equation

The non-relativistic version leads to the Schrödinger equation

$$i\psi_t + \Delta\psi + V'(\psi) = 0$$

The focusing Klein-Gordon equation: the subcritical case

Let $\mathcal{H} = H^1(\mathbb{R}^3) \times L^2(\mathbb{R}^3)$.

We consider the NLKG equation with or without damping $\alpha \geq 0$:

$$\begin{aligned} u_{tt} + 2\alpha u_t - \Delta u + u - u^3 &= 0, \quad x \in \mathbb{R}^3, t \geq 0 \\ (u(x, 0), u_t(x, 0)) &= (u_0(x), u_1(x)) \in \mathcal{H}, \end{aligned} \quad (1)$$

which writes as the first order system

$$U_t \equiv \frac{d}{dt} \begin{pmatrix} u \\ u_t \end{pmatrix} = \begin{pmatrix} 0 & Id \\ \Delta - Id & -2\alpha Id \end{pmatrix} \begin{pmatrix} u \\ u_t \end{pmatrix} + \begin{pmatrix} 0 \\ u^3 \end{pmatrix}, \quad U(0) = U_0$$

or also

$$U_t = B_\alpha U + F(U), \quad U(0) = U_0.$$

The equation $U_t = B_\alpha U$ generates a linear C^0 -group $e^{B_\alpha t}$ in \mathcal{H} .

The function $U(t) = (u(t), u_t(t)) \in C^0((-T, T), \mathcal{H})$ is a **mild (or integral) solution** of (1) if, for any $t \in (-T, T)$,

$$U(t) \equiv S_\alpha(t)U_0 = e^{B_\alpha t}U_0 + \int_0^t e^{B_\alpha(t-s)}F(U(s))ds, \quad \text{Duhamel formula}$$

Basic well-posedness I: $\alpha \geq 0$

Theorem (Local existence)

- 1) For any $U_0 \in \mathcal{H}$, there *exists a unique mild solution* $S_\alpha(t)U_0 \in C^0([-T, T], \mathcal{H})$ for some $T \geq T_0(\|U_0\|_{\mathcal{H}}) > 0$.
- 2) Continuity w. r. to U_0 ; persistence of regularity.
- 3) The *energy functional* $E(u(t), u_t(t)) \in C^1([0, T])$ satisfies

$$\frac{d}{dt}(E(u(t), u_t(t))) = -2\alpha \|u_t(t)\|_{L^2}^2 \leq 0,$$

where

$$E(\varphi, \psi) \equiv \int_{\mathbb{R}^3} \left(\frac{1}{2} (|\psi|^2 + |\nabla\varphi|^2 + |\varphi|^2) - \frac{1}{4} |\varphi|^4 \right) dx.$$

Energy conservation if $\alpha = 0$. Strict Lyapunov functional if $\alpha > 0$

Basic well-posedness II: $\alpha \geq 0$

If $U_0 \in \mathcal{H}$ and $\alpha \geq 0$ small, one writes ($\|\cdot\|_{L_t^3 L_x^6}$ is a Strichartz norm):

$$\|S_\alpha(t)U_0\|_{\mathcal{H}} \leq C_0(\|U_0\|_{\mathcal{H}} + \int_0^t \|u^3\|_{L^2} ds) \leq C(\|U_0\|_{\mathcal{H}} + \|u\|_{L_t^3 L_x^6}^3).$$

Theorem (Global existence or blow-up)

1) If $\|U_0\|_{\mathcal{H}} \ll 1$, then *global existence* and $\|u\|_{L^3(\mathbb{R}_+, L^6(\mathbb{R}^3))} < +\infty$

2) Let $T^* > 0$ be the *maximal forward time* of existence:

$$T^* < +\infty \implies \|u\|_{L^3((0, T^*), L^6(\mathbb{R}^3))} = \infty.$$

3) Assume that $T^* = \infty$ and $\|u\|_{L^3((0, +\infty), L^6(\mathbb{R}^3))} < \infty$, then,
- if $\alpha = 0$, *u scatters*, i.e., there exists $(\tilde{u}_0, \tilde{u}_1) \in \mathcal{H}$ s.t.,

$$S_\alpha(t)U_0 \equiv U(t) = e^{B_\alpha t}(\tilde{u}_0, \tilde{u}_1) + o_{\mathcal{H}}(1), \quad t \rightarrow \infty,$$

- if $\alpha > 0$, $S_\alpha(t)U_0 \rightarrow 0$, $t \rightarrow \infty$.

Small data: global existence and scattering (or convergence to 0)

Large data: can have finite time blowup.

Simpler case of radial solutions: Restrict to the space \mathcal{H}_{rad}

Forward scattering set and purpose of this talk

Forward scattering set:

$$\mathcal{S}_+ = \{(u_0, u_1) \in \mathcal{H}_{rad} \mid S_0(t)(u_0, u_1) \text{ exists globally and scatters}\}$$

$\mathcal{S}_+ \supset B(0, r)$ in \mathcal{H}_{rad} , $\mathcal{S}_+ \neq \mathcal{H}_{rad}$, \mathcal{S}_+ open in \mathcal{H}_{rad} .

Questions of Nakanishi and Schlag when $\alpha = 0$: is \mathcal{S}_+ bounded in \mathcal{H}_{rad} ? Is $\partial\mathcal{S}_+$ a smooth manifold separating regions of finite time blowup and global existence? **Same questions for $\alpha > 0$.**

First goal: Describe **transition** between **blowup/global existence and scattering or convergence**. Results when the energy is **at most slightly larger** than the energy of the “ground state solution”.

Case $\alpha = 0$: nice book “Invariant manifolds and dispersive Hamiltonian Evolution Equations” of K. Nakanishi, W. Schlag. See also J. Krieger, ...

Case $\alpha > 0$: **work in progress** of N. Burq, W. Schlag, G.R.

Second goal: Illustrate with this study how **the simultaneous use of PDE technics and classical tools in the dynamical systems theory** gives new results in PDE's

Stationary solutions, ground state $\pm Q$

Stationary solution $u(t, x) = \varphi(x)$ of NLKG is a weak solution of

$$-\Delta\varphi + \varphi = \varphi^3 \quad (2)$$

Minimization problem: $\inf \{ \|\varphi\|_{H^1}^2 \mid \varphi \in H^1, \|\varphi\|_{L^4} = 1 \}$
has a **radial solution** $\varphi_\infty > 0$, decaying **exponentially**, $Q = \lambda\varphi_\infty$
satisfies (2) for some $\lambda > 0$ (Z. Nehari, 1963).

Coffman (1972): **unique radial positive solution** Q

Stationary energy: $J(\varphi) := \int_{\mathbb{R}^3} \left(\frac{1}{2} |\nabla\varphi|^2 + \frac{1}{2} \varphi^2 - \frac{1}{4} \varphi^4 \right) dx$

Dilation functional:

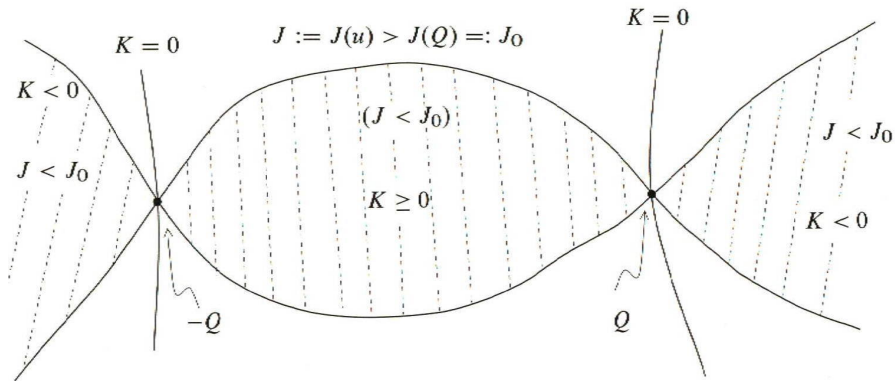
$$K_0(\varphi) = \langle J'(\varphi) | \varphi \rangle = \int_{\mathbb{R}^3} (|\nabla\varphi|^2 + \varphi^2 - \varphi^4)(x) dx$$

Variational characterization

$$J(Q) = \inf \{ J(\varphi) \mid \varphi \in H^1 \setminus \{0\}, K_0(\varphi) = 0 \} \quad (3)$$

The infima are achieved uniquely by $\pm Q$, up to translations.

Existence of infinite number of smooth nodal solutions of (2).



Splitting of $J(u) < J(Q)$ by the sign of $K = K_0$

Same picture for $E(u, u_t) < J(Q)$. The solutions are trapped by $K_0 \geq 0$ or $K_0 < 0$ in that case.

Payne-Sattinger criterion: $\alpha \geq 0$

Invariant decomposition of $E < J(Q)$: (Payne-Sattinger 1975)

$$\mathcal{PS}_+ := \{(u_0, u_1) \in \mathcal{H} \mid E(u_0, u_1) < J(Q), K_0(u_0) \geq 0\}$$

$$\mathcal{PS}_- := \{(u_0, u_1) \in \mathcal{H} \mid E(u_0, u_1) < J(Q), K_0(u_0) < 0\}$$

In \mathcal{PS}_+ , **global existence** for $t \in \mathbb{R}^+$: $K_0(u(t)) \geq 0$ implies:

$$\|u(t)\|_{H^1}^2 + \|u_t(t)\|_2^2 = 4E(U(t)) - (K_0(u(t)) + \|u_t(t)\|_2^2) \leq 4E(U(t)).$$

In \mathcal{PS}_- , **finite time blowup** for $t \in \mathbb{R}$ ($-K_0(u(t)) \geq \delta > 0$)

Convexity argument for $\alpha \geq 0$ with the auxiliary function

$$y^\alpha(t) \equiv \frac{1}{2} \|u(t)\|_{L^2}^2 + \alpha \int_0^t \|u(s)\|_{L^2}^2 ds:$$

$$y_{tt}^0 = \|u_t\|_2^2 - K_0(u) = 3\|u_t\|_2^2 + \|u\|_{H^1}^2 - 4E(U) > \delta.$$

Thus, $y_t^0(t)$ and $y^0(t)$ go to $+\infty$ as $t \rightarrow +\infty$. One proves that, for $t \geq t_0$, $\partial_t(y^{-1/2})(t) \leq \partial_t(y^{-1/2})(t_0) < 0$ and that **there exists $t_1 > 0$ s.t. $(y^{-1/2})(t_1) = 0$.**

Linearized equation around $(Q, 0)$

If we plug $u = Q + w$ into the NLKG equation (1), we get

$$w_{tt} + 2\alpha w_t + L_+ w - 3Qw^2 - w^3 = 0, \quad (4)$$

with $L_+ = -\Delta + Id - 3Q^2$ the linearized elliptic operator. One has

- $\langle L_+ Q | Q \rangle = -2\|Q\|_4^4 < 0$
- $L_+ \rho = -k^2 \rho$ **unique (simple) negative eigenvalue**, no kernel over radial functions
- **Gap property**: L_+ has **no eigenvalues in $(0, 1]$** , no **threshold resonance** (Demanet-Schlag, Costin-Huang-Schlag)
- $\sigma_{cont}(L_+) = [1, +\infty)$

Rewriting (4) as a system with $W = (w, w_t)^t$, we have

$$W_t = \begin{pmatrix} 0 & Id \\ -L_+ & -2\alpha Id \end{pmatrix} \begin{pmatrix} w \\ w_t \end{pmatrix} + \begin{pmatrix} 0 \\ 3Qw^2 + w^3 \end{pmatrix} = A_\alpha W + N(W)$$

Non hyperbolic/Hyperbolic dynamics

Spectrum of A_α : $\sigma(A_\alpha) = \{\mu_\alpha^-, \mu_\alpha^+\} \cup \sigma_{cont}(A_\alpha)$,

$\mu_\alpha^\pm = -\alpha \pm \sqrt{\alpha^2 + k^2}$: simple eigenvalues; $\mu_\alpha^- < 0$ and $\mu_\alpha^+ > 0$
(the eigenprojectors are denoted P_α^\pm).

Case $\alpha = 0$: $\sigma(A_0) = \{-k, +k\} \cup i(-\infty, 1] \cup i[1, +\infty)$

$\mathcal{H}_0^s = P_0^- \mathcal{H}$, $\mathcal{H}_0^u = P_0^+ \mathcal{H}$, $\mathcal{H}_0^c = (Id - P_0^- - P_0^+) \mathcal{H}$

Existence of a center space \mathcal{H}_0^c or center stable space $\mathcal{H}_0^{sc} = \mathcal{H}_0^s \oplus \mathcal{H}_0^c$.

Non hyperbolic dynamics

Case $\alpha > 0$: No central part. Hyperbolic dynamics

Case $0 < \alpha \leq 1$:

$\sigma_{cont}(A_\alpha) = \{-\alpha + i(-\infty, \sqrt{1 - \alpha^2}]\} \cup \{-\alpha + i[\sqrt{1 - \alpha^2}, +\infty)\}$

Case $\alpha > 1$:

$\sigma_{cont}(A_\alpha) = [-\alpha - \sqrt{\alpha^2 - 1}, -\alpha + \sqrt{\alpha^2 - 1}] \cup \{-\alpha + i(-\infty, +\infty)\}$

Unstable and stable spaces $\mathcal{H}_\alpha^u = P_\alpha^+ \mathcal{H}$, $\mathcal{H}_\alpha^s = (Id - P_\alpha^+) \mathcal{H}$.

Classical invariant manifolds theory in finite dimensions

$y_t = Ay + f(y)$, $f(0) = 0$, $Df(0) = 0$, $\mathbb{R}^n = X^s \oplus X^c \oplus X^u$, where X^s, X^c, X^u are A -invariant,

$\sigma(A_s) = \{\operatorname{Re} \lambda < 0\}$, $\sigma(A_u) = \{\operatorname{Re} \lambda > 0\}$, $\sigma(A_c) = \{\lambda \in i\mathbb{R}\}$.

Hyperbolic case $X^c = \{0\}$: Non hyperbolic case $X^c \neq \{0\}$:

Existence of **locally invariant** center, center stable manifolds W^c , W^{cs} at 0, tangent to X^c and X^{cs} (non unique in general !)

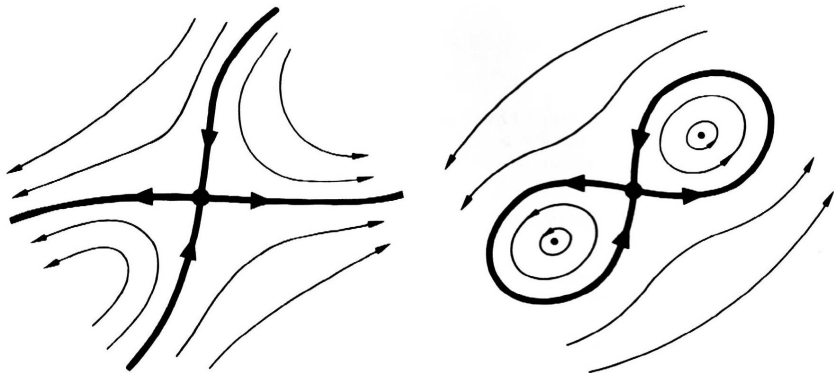
In both cases: $\exists!$ local **stable** and unstable manifolds W^s , W^u , tangent at 0 to X^s , X^u . Invariance properties.

$$W^s = \{|y_0| < r \mid y(t) \rightarrow 0 \text{ exponential fast as } t \rightarrow \infty\}$$

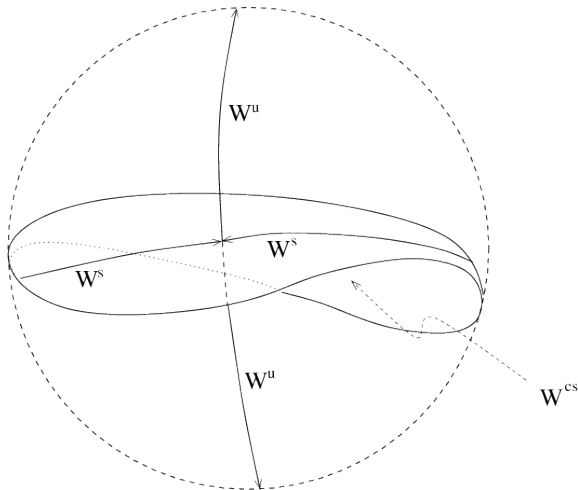
$$W^u = \{|y_0| < r \mid y(t) \rightarrow 0 \text{ exponential fast as } t \rightarrow -\infty\}$$

$$y_t = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 1 & 0 & 0 & 0 \\ 0 & 0 & -a & 1 \\ 0 & 0 & -1 & -a \end{pmatrix} y + O(|y|^2), \quad \sigma(A) = \{1, -1, -a-i, -a+i\}$$

Stable and unstable manifolds: Hyperbolic case



The invariant manifolds in the cases $\alpha = 0$ and $\alpha > 0$



$\alpha = 0$: Stable, unstable and center-stable manifolds W^s , W^u and W^{cs}

$\alpha > 0$: $W^{cs} \rightsquigarrow W_\alpha^s$, $W^u \rightsquigarrow W_\alpha^u$ and $W^s \rightsquigarrow W_\alpha^{ss}$

Theorem of Nakanishi and Schlag when $\alpha = 0$

Theorem (Nakanishi, Schlag)

There exists $\varepsilon_0 > 0$ s.t. if

$$E(u_0, u_1) < E(Q, 0) + \varepsilon_0^2, \quad \text{Energy assumption}$$

then, for $(u(t), u_t(t)) \equiv S_0(t)(u_0, u_1)$, one has, either

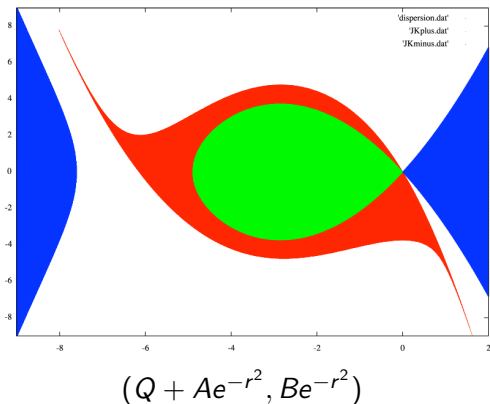
1. finite time blowup
2. global existence and scattering to 0
3. global existence and scattering to $(\pm Q, 0)$:
 $(u(t), u_t(t)) = (\pm Q, 0) + (v(t), v_t(t)) + o_{\mathcal{H}}(1)$ as $t \rightarrow \infty$,
where $(v(t), v_t(t)) = \Sigma_0(t)(v_0, v_1) \in \mathcal{H}$

All 9 combinations of this trichotomy allowed as $t \rightarrow \pm\infty$.

$\partial\mathcal{S}_+$ is the **unique center stable (smooth) manifold** of $(\pm Q, 0)$ (codimension 1), giving (3) and **separating** the open regions (1) and (2). Existence of 1-dimensional **strongly stable, unstable manifolds** of $(\pm Q, 0)$.

Stable manifold: Duyckaerts-Merle, Duyckaerts-Holmer-Roudenko

Numerical 2-dim section through $\partial\mathcal{S}_+$ (Donninger, Schlag)



- soliton at $(A, B) = (0, 0)$, (A, B) vary in $[-9, 2] \times [-9, 9]$
- **RED**: global existence, **WHITE**: finite time blowup, **GREEN**: \mathcal{PS}_+ , **BLUE**: \mathcal{PS}_-
- Results in a neighbourhood of $(Q, 0)$.

The case $\alpha > 0$

Theorem (I: Burq, Schlag, G.R.)

(i) There exists a continuous function $\varepsilon : \alpha \in [0, +\infty) \mapsto \varepsilon(\alpha) > 0$ s.t., $\inf_{0 \leq \alpha < +\infty} \varepsilon(\alpha) \geq \varepsilon_0 > 0$ and s.t., if

$$E(u_0, u_1) < E(Q, 0) + \varepsilon^2(\alpha), \quad \text{Energy assumption}$$

then, $S_\alpha(t)(u_0, u_1)$ satisfies, either

1. finite time blowup
2. global existence and convergence to 0
3. global existence and convergence to $(\pm Q, 0)$

(ii) The **(smooth) stable manifold** of $(\pm Q, 0)$ is of codimension 1, gives (3) and *separates* the open regions (1) and (2).

Existence of a 1-dimensional *unstable manifold* of $(\pm Q, 0)$.

At most, one sign change of $K_0(u(t))$ near $(Q, 0)$

Earlier convergence result to 0 of Keller (1983)

The case $\alpha > 0$

Theorem (II: Burq, Schlag, G.R.)

Let $(u_0, u_1) \in \mathcal{H}_{rad}$, then $S_\alpha(t)(u_0, u_1)$ satisfies, either

1. finite time blowup
2. or global existence and *convergence to an equilibrium point* $(\tilde{Q}, 0)$ of (1).

Proof: functional and dynamical systems arguments

The particular case $\alpha > 0$ large: we set $u(t, x) = u_\varepsilon(\tau, x)$, where $\tau = \varepsilon^{1/2}t$, $\varepsilon = (2\alpha)^{-2}$:

$$\varepsilon u_{\varepsilon, \tau \tau} + u_{\varepsilon, \tau} - \Delta u_\varepsilon + u_\varepsilon - u_\varepsilon^3 = 0, \quad (u_\varepsilon(0), u_{\varepsilon, \tau}(0)) = (u_0, \varepsilon^{-1/2} u_1).$$

Compare $(u_\varepsilon, u_{\varepsilon, \tau})$ with $(v_0(\tau), v_{0, \tau}(\tau))$ where $v_0(\tau)$ is the solution of the **parabolic** equation

$$v_{0, \tau} - \Delta v_0 + v_0 - v_0^3 = 0, \quad v_0(0) = u_0.$$

Dynamics near $(Q, 0)$, when $0 < \alpha_0 \leq \alpha \leq \alpha_1 < +\infty$

Proposition (A - Local manifolds, asymptotic phase)

There exist $R_1 > 0$ and $\beta_1 > 0$ s. t., in $\tilde{B}((Q, 0), R_1)$,

1. $\exists!$ local stable manifold $W_\alpha^s(Q, 0)$ of codim. 1, tangent to \mathcal{H}_α^s at $(Q, 0)$.
2. $\exists!$ local unstable manifold $W_\alpha^u(Q, 0)$ of dimension 1, tangent to \mathcal{H}_α^u at $(Q, 0)$.
3. Let $U_0 \in \tilde{B}((Q, 0), R_1) \setminus W_\alpha^s(Q, 0)$. As long as $S_\alpha(t)U_0 \in \tilde{B}((Q, 0), R_1)$,

$$\text{dist}_{\mathcal{H}}(S_\alpha(t)U_0, W_\alpha^u(Q, 0)) \leq Ce^{-\beta_1 t} \text{dist}_{\mathcal{H}}(U_0, W_\alpha^u(Q, 0))$$

4. There exist $0 < r_1 < R_1$, $\eta_1 > 0$ and for $U_0 \in \tilde{B}((Q, 0), r_1) \setminus W_\alpha^s(Q, 0)$, a time $t_1 > 0$, s. t. $S_\alpha(t_1)U_0$ is in the Payne-Sattinger region \mathcal{PS}_+ or \mathcal{PS}_- ($E(S_\alpha(t_1)U_0) \leq J(Q) - \eta_1$ and $S_\alpha(t_1)U_0 \in \tilde{B}((Q, 0), R_1)$)

Property 4 follows from 3 and the strict decay of $E(U(t))$. **Foliations**

Dynamics near $(Q, 0)$ when $\alpha = 0$ (or $\alpha \geq 0$ small)

Proposition (B - Unique local manifolds - Nakanishi, Schlag)

There exist $R_2 > 0$ s.t.

1. $\exists!$ local center stable manifold $W_0^{cs}(Q, 0)$ of codimension 1 in $\tilde{B}((Q, 0), R_2)$, tangent to \mathcal{H}_0^{cs} at $(Q, 0)$.
2. If $U_0 \in W_0^{cs}(Q, 0)$, then $S_0(t)U_0 \equiv (Q + w, w_t)$ satisfies

$$\|(w, w_t)\|_{L_t^\infty(0, +\infty), \mathcal{H}} + \|w\|_{L^3((0, +\infty), L^6)} \lesssim R_1.$$

$U(t)$ scatters to $(Q, 0)$, i.e.,

$U(t) = (Q, 0) + \Sigma_0(t)(v_0, v_1) + o_{\mathcal{H}}(1)$ as $t \rightarrow \infty$.

3. If $U(t) \in \tilde{B}((Q, 0), R_2)$, $\forall t \geq 0$, then $U(t) \in W_0^{cs}$, $\forall t \geq 0$.
4. $\exists!$ smooth local manifolds $W_0^s(Q, 0)$ and $W_0^u(Q, 0)$ of dimension 1 in $\tilde{B}((Q, 0), R_2)$, tangent to \mathcal{H}_0^s and \mathcal{H}_0^u at $(Q, 0)$.

The same proposition is true for $\alpha > 0$ small.

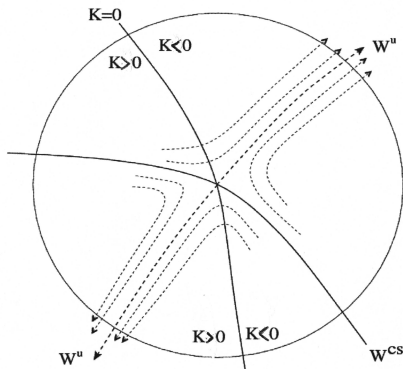
Use of Strichartz estimates for $\partial_{tt} + L_+$.

Unstable dynamics off $W_0^{cs}(Q, 0)$ when $\alpha \geq 0$ small

Ejection of trajectories, which are off W_α^{cs} : proof of Nakanishi-Schlag or proof with foliations over $W_0^u(Q, 0)$.

Stabilization of $\text{sign}(K_0(u(t)))$ and $\text{sign}(K_2(u(t)))$, where

$K_2(u) = \int_{\mathbb{R}^3} (|\nabla u|^2 - 3/4 u^4) dx$: virial



Sign of $K = K_0$ upon exit

Important variational estimates above $J(Q)$

Proposition (C - Variational property)

For any $r > 0$, there exist positive numbers $\varepsilon_0(r), \kappa_0, \kappa_1(r)$ s.t., for any $U \in \mathcal{H}$ satisfying

$$E(U) < J(Q) + \varepsilon_0(r)^2, \quad d_Q(U) \geq r,$$

one has either

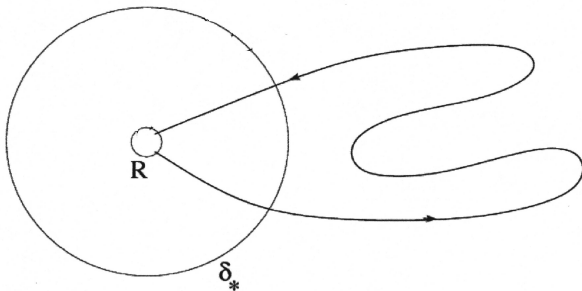
$$K_0(u) \leq -\kappa_1(r) \text{ and } K_2(u) \leq -\kappa_1(r), \text{ or}$$

$$K_0(u) \geq \min(\kappa_1(r), \kappa_0 \|u\|_{H^1}^2) \text{ and } K_2(u) \geq \min(\kappa_1(r), \kappa_0 \|\nabla u\|_{L^2}^2),$$

Propositions A and C allow to prove the main theorem in the case $\alpha_0 \leq \alpha \leq \alpha_1$.

One-pass theorem when $\alpha = 0$ or $\alpha \geq 0$ small

Crucial non-return property: the trajectories do not return into small balls around $(\pm Q, 0)$. Generalisation of the argument of Nakanishi and Schlag by contradiction. In the $K_0(u(t)) < 0$ region, one integrates the quantity $\langle u(t), u_t(t) \rangle + \alpha \|u(t)\|_{L^2}^2$ between T_1 and T_2 , which are exit and first re-entry times into a small R -ball. If $K_0(u(t)) > 0$, the proof is more involved (use of the virial $K_2(u(t))$).



One possible returning trajectory

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