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The End

# Introduction to the Calculus of Variations: Lecture 11

Swarnendu Sil

Department of Mathematics Indian Institute of Science

Spring Semester 2021

### Outline

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Theorem (Poincaré inequality)

Let (a, b) be a bounded interval

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# Theorem (Poincaré inequality)

Let (a, b) be a bounded interval and let  $u \in W_0^{1,p}((a, b); \mathbb{R}^N)$  for  $1 \le p < \infty$ .

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$$\int_a^b |u(t)|^p \, \mathrm{d}t \leq (b-a)^p \int_a^b |\dot{u}(t)|^p \, \mathrm{d}t.$$

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Now we can show an important inequality known as the  $\ensuremath{\textbf{Poincar\acute{e}}}$  inequality.

# Theorem (Poincaré inequality)

Let (a, b) be a bounded interval and let  $u \in W_0^{1,p}((a, b); \mathbb{R}^N)$  for  $1 \le p < \infty$ . Then we have

$$\int_{a}^{b} |u(t)|^{p} \, \mathrm{d}t \leq (b-a)^{p} \int_{a}^{b} |\dot{u}(t)|^{p} \, \mathrm{d}t.$$

In particular, the expression

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$$\left(\int_{a}^{b}\left|\dot{u}\left(t\right)\right|^{p} \mathrm{d}t\right)^{\frac{1}{p}}$$

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### Proof.

We leave out the details of the proof and only provide a sketch, as this is fairly easy.

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### Proof.

We leave out the details of the proof and only provide a sketch, as this is fairly easy. We prove it for  $C_c^{\infty}$  functions first

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We leave out the details of the proof and only provide a sketch, as this is fairly easy. We prove it for  $C_c^{\infty}$  functions first using the fundamental theorem of calculus

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We leave out the details of the proof and only provide a sketch, as this is fairly easy. We prove it for  $C_c^{\infty}$  functions first using the fundamental theorem of calculus and easy estimates and Hölder inequality.

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We leave out the details of the proof and only provide a sketch, as this is fairly easy. We prove it for  $C_c^{\infty}$  functions first using the fundamental theorem of calculus and easy estimates and Hölder inequality. Then we claim the result for  $W_0^{1,p}$  by density.

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# Absolutely continuous functions

The geodesic problem was first solved for **absolutely continuous** curves,

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# Definition (absolutely continuous functions)

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A function  $u : (a, b) \rightarrow \mathbb{R}$  is said to be absolutely continuous, denoted  $u \in AC((a, b))$ ,

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A function  $u : (a, b) \to \mathbb{R}$  is said to be absolutely continuous, denoted  $u \in AC((a, b))$ , if, for every  $\varepsilon > 0$ ,

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$$\sum_{i=1}^{M} |\beta_i - \alpha_i| < \delta \quad \text{ implies } \quad \sum_{i=1}^{M} |u(\beta_i) - u(\alpha_i)| < \varepsilon$$

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$$\sum_{i=1}^{M} |\beta_i - \alpha_i| < \delta \quad \text{ implies } \quad \sum_{i=1}^{M} |u(\beta_i) - u(\alpha_i)| < \varepsilon$$

whenever  $(\alpha_1, \beta_1), \ldots, (\alpha_M, \beta_M)$  are disjoint segments in (a, b).

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### Absolutely continuous functions

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The vector-valued version is defined similarly.

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### Absolutely continuous functions

### Remark

- The vector-valued version is defined similarly.
- Clearly, any absolutely continuous function is uniformly continuous.

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- The vector-valued version is defined similarly.
- Clearly, any absolutely continuous function is uniformly continuous.
- Any absolutely continuous function is also of bounded variation.

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- The vector-valued version is defined similarly.
- Clearly, any absolutely continuous function is uniformly continuous.
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- Clearly, any absolutely continuous function is uniformly continuous.
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$$V^b_a(u):=\sup\sum_{i=1}^M |u(x_i)-u(x_{i-1})|<+\infty,$$

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where the supremum is taken over all natural numbers M

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$$V_{a}^{b}(u) := \sup \sum_{i=1}^{M} |u(x_{i}) - u(x_{i-1})| < +\infty,$$

where the supremum is taken over all natural numbers M and all choices of  $x_is$  such that  $a < x_0 < x_1 < \ldots < x_M < b$ .

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However, much more is true. In fact, we have,

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$$\mathsf{AC}\left((a,b);\mathbb{R}^{\mathsf{N}}
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We shall prove it in the problem sheet in stages.

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Now we return to the problem of showing the existence of a geodesic.

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$$\inf_{\gamma \in X} \left\{ L(c) := \int_0^T \left( g_{ij}(\gamma(t)) \dot{\gamma^i}(t) \dot{\gamma^j}(t) \right)^{\frac{1}{2}} \mathrm{d}t \right\} = m.$$

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$$\inf_{\gamma \in X} \left\{ L(c) := \int_0^T \left( g_{ij}(\gamma(t)) \dot{\gamma^i}(t) \dot{\gamma^j}(t) \right)^{\frac{1}{2}} \mathrm{d}t \right\} = m.$$

where

$$X = \{: \gamma \in C^{1}([0, T]; U) : \gamma(0) = f^{-1}(p_{1}), \gamma(T) = f^{-1}(p_{2})\}.$$

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Here we are implicitly making the identification of c with  $\gamma$  via a fixed local chart f.

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We have already seen that this problem does not have enough compactness properties.

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We have already seen that this problem does not have enough compactness properties. We are going to inspect why in a bit more detail from another perspective. Introduction to the Calculus of Variations

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$$\tau: [0, S] \rightarrow [0, T]$$

be a diffeomorphism.

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 $\tau: [0,S] \rightarrow [0,T]$ 

be a diffeomorphism. Then we see

 $L(c) = L(c \circ \tau)$  for any curve  $c : [0, T] \to \mathbb{R}^N$ .

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Indeed,

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 $\tau: [0,S] \rightarrow [0,T]$ 

be a diffeomorphism. Then we see

$$L(c) = L(c \circ au)$$
 for any curve  $c : [0, T] o \mathbb{R}^N$ .

Indeed,

$$\begin{split} \mathcal{L}(\boldsymbol{c}\circ\tau) &= \int_{0}^{S} \left| \frac{d}{ds} \left( \boldsymbol{c}\circ\tau \right) (\boldsymbol{s}) \right| \, \mathrm{d}\boldsymbol{s} \\ &= \int_{0}^{S} \left| \left( \frac{d}{dt} \boldsymbol{c} \right) \left( \tau(\boldsymbol{s}) \right) \right| \left| \frac{d\tau}{ds} \left( \boldsymbol{s} \right) \right| \, \mathrm{d}\boldsymbol{s} \\ &= \int_{0}^{T} \left| \dot{\boldsymbol{c}} \left( t \right) \right| \, \, \mathrm{d}\boldsymbol{t} = \mathcal{L}\left( \boldsymbol{c} \right). \end{split}$$

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What is happening here is a noncompactness due to a group action,

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Just for an analogy, suppose we are looking to find the unit interval [0, 1].

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Now, the trouble is, though our problem does not distinguish between copies of the same interval, we do and thus instead of finding the compact interval [0, 1], we would find the collection of all integer translated copies of the interval, which is  $\mathbb{R}(!)$ 

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Probably it is better to view the analogy in reverse.

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Suppose we are working with the **noncompact** space  $\mathbb{R}$ , and the lack of compactness causes trouble for us.

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Suppose we are working with the **noncompact** space  $\mathbb{R}$ , and the lack of compactness causes trouble for us.

But suppose that our problem is invariant under the action of  $\mathbb{Z}$ .

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which is **compact**!

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$$E(c) := \frac{1}{2} \int_0^T \left| \dot{c}(t) \right|^2 \, \mathrm{d}t = \frac{1}{2} \int_0^T g_{ij}(\gamma(t)) \dot{\gamma}^i(t) \dot{\gamma}^j(t) \, \mathrm{d}t$$

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Now we notice that for  $c \in W^{1,2}\left([0,T];\mathbb{R}^N\right)$ , we have,

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$$\begin{split} L(c) &= \int_{0}^{T} |\dot{c}(t)| \, \mathrm{d}t \\ &\stackrel{\text{H\"older}}{\leq} \sqrt{T} \left( \int_{0}^{T} |\dot{c}(t)|^{2} \, \mathrm{d}t \right)^{\frac{1}{2}} \\ &\leq \sqrt{2T} \sqrt{E(c)}, \end{split}$$

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with equality if and only if

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$$E(c) := \frac{1}{2} \int_0^T \left| \dot{c}(t) \right|^2 \, \mathrm{d}t = \frac{1}{2} \int_0^T g_{ij}(\gamma(t)) \dot{\gamma}^i(t) \dot{\gamma}^j(t) \, \mathrm{d}t$$

Now we notice that for  $c \in W^{1,2}([0, T]; \mathbb{R}^N)$ , we have,

$$\begin{split} L(c) &= \int_{0}^{T} |\dot{c}(t)| \, \mathrm{d}t \\ &\stackrel{\mathsf{H\"older}}{\leq} \sqrt{T} \left( \int_{0}^{T} |\dot{c}(t)|^{2} \, \mathrm{d}t \right)^{\frac{1}{2}} \\ &\leq \sqrt{2T} \sqrt{E(c)}, \end{split}$$

with equality if and only if

$$\dot{c}(t)| = \text{constant}$$
 a.e.

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We say a curve  $c \in AC([0, T]; \mathbb{R}^N)$  is parametrized proportionally to arc-length

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We say a curve  $c \in AC([0, T]; \mathbb{R}^N)$  is parametrized proportionally to arc-length if it satisfies

$$|\dot{c}(t)| = \text{constant}$$
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### Remark

► Any Lipschitz curve can be (re)parametrized by arc-length.

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 $|\dot{c}(t)| = \text{constant}$  a.e.

We say the curve is parametrized by arc-length if

$$|\dot{c}(t)|=1$$
 a.e

### Remark

- Any Lipschitz curve can be (re)parametrized by arc-length.
- Any injective, rectifiable, absolutely continuous curve can be (re)parametrized by arc-length.

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Let  $c : [0, L(c)] \rightarrow \mathbb{R}^N$  be a curve which can be parametrized by arc-lenth.

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Let  $c : [0, L(c)] \rightarrow \mathbb{R}^N$  be a curve which can be parametrized by arc-lenth. Then among all reparametrizations

 $\tau:\left[0,L\left(c\right)\right]\rightarrow\left[0,L\left(c\right)\right],$ 

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the parametrization by arc-length has the **smallest** energy and satisfies

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$$L(c) = 2E(c).$$

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# Proposition

Let  $c : [0, L(c)] \to \mathbb{R}^N$  be a curve which can be parametrized by arc-lenth. Then among all reparametrizations

 $\tau:\left[0,L\left(c\right)\right]\rightarrow\left[0,L\left(c\right)\right],$ 

the parametrization by arc-length has the **smallest** energy and satisfies

L(c) = 2E(c).

Thus, we can minimize E(c) instead of L(c) to find geodesic curves.

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**Theorem (existence of geodesics)** Assume  $f: U \subset \mathbb{R}^N \to M \subset \mathbb{R}^d$  be a chart on M

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# Theorem (existence of geodesics)

Assume  $f : U \subset \mathbb{R}^N \to M \subset \mathbb{R}^d$  be a chart on M such that the metric tensor is uniformly positive definite in f(U)

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# Theorem (existence of geodesics)

Assume  $f : U \subset \mathbb{R}^N \to M \subset \mathbb{R}^d$  be a chart on M such that the metric tensor is uniformly positive definite in f(U) and let  $p_1 \neq p_2 \in M$  be contained in the image of f.

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 $D := \inf \{L(c) : c \text{ is a Lipschitz curve on } f(U) \text{ joining } p_1 \text{ and } p_2\}.$ 

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Then the variational problem

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Then the variational problem

$$\inf_{\gamma \in \gamma_0 + W_0^{1,2}([0,D];U)} \left\{ I(\gamma) := \frac{1}{2} \int_0^D g_{ij}(\gamma(t)) \dot{\gamma^i}(t) \dot{\gamma^j}(t) dt \right\} = \frac{1}{2} D,$$

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where  $f \circ \gamma_0 = c_0$ ,

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where  $f \circ \gamma_0 = c_0$ , has a minimizer.

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**Proof.** Let  $\{\gamma_{\nu}\}_{\nu\geq 1}$  be a minimizing sequence,

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**Proof.** Let  $\{\gamma_{\nu}\}_{\nu\geq 1}$  be a minimizing sequence, i.e.

$$I\left(\gamma_{
u}
ight)
ightarrowrac{1}{2}D\qquad ext{ as }
u
ightarrow\infty.$$

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**Proof.** Let  $\{\gamma_{\nu}\}_{\nu>1}$  be a minimizing sequence, i.e.

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We write the metric tensor as  $G := (g_{ij})_{i,i}$ 

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 $I\left(\gamma_{
u}
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u}\left(t
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ight)\dot{\gamma_{
u}}\left(t
ight);\dot{\gamma_{
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ight
angle \,\,\mathrm{d}t.$ 

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Since the metric tensor G is uniformly positive definite in f(U),

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Since the metric tensor G is uniformly positive definite in f(U), there exists a constant  $\lambda > 0$  such that

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Since the metric tensor G is uniformly positive definite in f(U), there exists a constant  $\lambda > 0$  such that

$$\left\langle {{G}\left( {{\gamma }_{
u }}\left( t 
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ight)\dot {{\gamma }_{
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ight
angle \ge \lambda \left| {\dot {{\gamma }_{
u }}\left( t 
ight)} 
ight|^{2}.$$

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Thus, we have

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Thus, we have

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Now since  $\gamma_{\nu} - \gamma_0 \in W_0^{1,2}([0,D]; U)$ ,

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Now since  $\gamma_{\nu} - \gamma_0 \in W_0^{1,2}([0,D]; U)$ , by using Poincaré inequality, we have

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$$\begin{split} \|\gamma_{\nu}\|_{L^{2}([0,D];U)} &\leq \|\gamma_{\nu} - \gamma_{0}\|_{L^{2}([0,D];U)} + \|\gamma_{0}\|_{L^{2}([0,D];U)} \\ &\leq D \|\dot{\gamma_{\nu}} - \dot{\gamma_{0}}\|_{L^{2}([0,D];U)} + \|\gamma_{0}\|_{L^{2}([0,D];U)} \\ &\leq D \|\dot{\gamma_{\nu}}\|_{L^{2}([0,D];U)} + (D+1) \|\gamma_{0}\|_{W^{1,2}([0,D];U)} \\ &\leq \frac{2}{\lambda}D^{2} + (D+1) \|\gamma_{0}\|_{W^{1,2}([0,D];U)} \,. \end{split}$$

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This implies  $\{\gamma_{\nu}\}_{\nu\geq 1}$  is uniformly bounded in  $W^{1,2}$ 

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$$\begin{split} \|\gamma_{\nu}\|_{L^{2}([0,D];U)} &\leq \|\gamma_{\nu} - \gamma_{0}\|_{L^{2}([0,D];U)} + \|\gamma_{0}\|_{L^{2}([0,D];U)} \\ &\leq D \|\dot{\gamma_{\nu}} - \dot{\gamma_{0}}\|_{L^{2}([0,D];U)} + \|\gamma_{0}\|_{L^{2}([0,D];U)} \\ &\leq D \|\dot{\gamma_{\nu}}\|_{L^{2}([0,D];U)} + (D+1) \|\gamma_{0}\|_{W^{1,2}([0,D];U)} \\ &\leq \frac{2}{\lambda}D^{2} + (D+1) \|\gamma_{0}\|_{W^{1,2}([0,D];U)} \,. \end{split}$$

This implies  $\{\gamma_\nu\}_{\nu\geq 1}$  is uniformly bounded in  $W^{1,2}$  and thus, we deduce

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Note that here we have used the fact that  $W_0^{1,2}$ , being a convex subset of  $W^{1,2}$ , is weakly closed.

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Note that here we have used the fact that  $W_0^{1,2}$ , being a convex subset of  $W^{1,2}$ , is weakly closed. However, here in dimension one, we could have also used the fact that

 $\gamma_{\nu} 
ightarrow \gamma \quad \text{in } W^{1,2} \qquad \Rightarrow \qquad \gamma_{\nu} 
ightarrow \gamma \quad \text{in } C^{0}.$ 

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$$\begin{split} I\left(\gamma_{\nu}\right) &= \frac{1}{2} \int_{0}^{D} \left\langle G\dot{\gamma_{\nu}}; \dot{\gamma_{\nu}} \right\rangle & \qquad \begin{array}{c} \text{Absolute contrainty } f \\ \text{encounts with bolds} \\ \text{explore} \\ &= \frac{1}{2} \int_{0}^{D} \left\langle G\left[\dot{\gamma} + \left(\dot{\gamma_{\nu}} - \dot{\gamma}\right)\right]; \dot{\gamma} + \left(\dot{\gamma_{\nu}} - \dot{\gamma}\right) \right\rangle \\ &= \frac{1}{2} \int_{0}^{D} \left\langle G\dot{\gamma}; \dot{\gamma} \right\rangle + \int_{0}^{D} \left\langle G\dot{\gamma}; \dot{\gamma_{\nu}} - \dot{\gamma} \right\rangle + \frac{1}{2} \int_{0}^{D} \left\langle G\left(\dot{\gamma_{\nu}} - \dot{\gamma}\right); \dot{\gamma_{\nu}} - \dot{\gamma} \right\rangle, \end{split}$$

where we used the fact that G is symmetric.

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where we used the fact that G is symmetric. By the uniform positive definiteness of G, we have

$$rac{1}{2}\int_{0}^{D}\left\langle \mathcal{G}\left(\dot{\gamma_{
u}}-\dot{\gamma}
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# **Existence of geodesics**

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Combining, we obtain

$$I\left(\gamma_{
u}
ight)\geq I\left(\gamma
ight)+\int_{0}^{D}\left\langle G\dot{\gamma};\dot{\gamma_{
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$$\dot{\gamma_{\nu}} \rightharpoonup \dot{\gamma}$$
 in  $L^2$ ,

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$$\dot{\gamma_{\nu}} \rightharpoonup \dot{\gamma} \quad \text{in } L^2,$$

we deduce

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Thus, we deduce

$$\frac{1}{2}D = \liminf_{\nu \to \infty} I\left(\gamma_{\nu}\right) \geq I\left(\gamma\right) + \lim_{\nu \to \infty} \int_{0}^{D} \left\langle G\dot{\gamma}; \dot{\gamma_{\nu}} - \dot{\gamma} \right\rangle = I\left(\gamma\right) \geq \frac{1}{2}D.$$

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Hence  $\gamma$  is a minimizer.

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# Theorem (Regularity)

Let 
$$f \in C^1([a, b] \times \mathbb{R}^N \times \mathbb{R}^N)$$
,  $f = f(t, u, \xi)$  be such that  
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Then u is  $C^2$ .

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Then *u* is  $C^2$ . Moreover, if  $f_{\xi}$  is  $C^k$  for some  $k \ge 2$ ,

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Now we are going to show that this curve is actually  $C^2$  and not just  $W^{1,2}$ . Results of this type are called regularity results. We show a general result.

# Theorem (Regularity)

Let  $f \in C^1([a, b] \times \mathbb{R}^N \times \mathbb{R}^N)$ ,  $f = f(t, u, \xi)$  be such that  $f_{\xi}$  is  $C^1$ ,

•  $u \in W^{1,1}([a,b];\mathbb{R}^N)$  is a critical point of the functional

$$I[u] = \int_{a}^{b} f(t, u(t), \dot{u}(t)) dt,$$

▶  $f_u(t, u(t), \dot{u}(t)), f_{\xi}(t, u(t), \dot{u}(t))$  are  $L^1$  and ▶  $f_{\xi\xi}$  is positive definite on  $\Omega \times \mathbb{R}^N$ , where  $\Omega \subset \mathbb{R}^{N+1}$  contains  $\{(t, u(t)) : t \in [a, b]\}$ .

Then *u* is  $C^2$ . Moreover, if  $f_{\xi}$  is  $C^k$  for some  $k \ge 2$ , then *u* is  $C^{k+1}$ . In particular, *u* is  $C^{\infty}$  if  $f_{\xi}$  is  $C^{\infty}$ .

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$$\phi(t, u, \xi, \eta) := f_{\xi}(t, u, \xi) - \eta.$$

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Let  $t_0 \in [a, b], u_0 = u(t_0), \xi_0 = \dot{u}(t_0)$ 

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(1)

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$$\phi(t, u, \varphi(t, u, \eta), \eta) = 0 \tag{1}$$

in a neighborhood of  $(t_0, u_0, \xi_0, \eta_0)$ . However, since  $(t, u(t), \dot{u}(t), f_{\xi}(t, u(t), \dot{u}(t)))$  also solves (1) in a neighborhood of  $(t_0, u_0, \xi_0, \eta_0)$ ,

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$$\dot{u}(t) = \varphi(t, u(t), f_{\xi}(t, u(t), \dot{u}(t))).$$

However, we can not claim it just yet.

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Thus, we have

$$\int_a^b \left[f_{\xi\xi}\left(t, u, sp_1 + (1-s) \, p_2\right)\right] \left(p_2 - p_1\right) \, \mathrm{d}s = 0.$$

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Since  $f_{\xi\xi}$  is positive definite,

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Since  $f_{\xi\xi}$  is positive definite, this implies  $p_1 = p_2$ .

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The uniqueness we just proved implies

$$\dot{u}\left(t
ight)=arphi\left(t,u\left(t
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for almost all t in a neighborhood of  $t_0$ .

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for almost all t in a neighborhood of  $t_0$ . Now, u(t) is absolutely continuous w.r.t. t.

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for almost all t in a neighborhood of  $t_0$ . Now, u(t) is absolutely continuous w.r.t. t. We can also prove  $f_{\xi}(t, u(t), \dot{u}(t))$  is absolutely continuous w.r.t t

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for almost all t in a neighborhood of  $t_0$ . Now, u(t) is absolutely continuous w.r.t. t. We can also prove  $f_{\xi}(t, u(t), \dot{u}(t))$  is absolutely continuous w.r.t t since u is a critical point. So the RHS of (2) is an absolutely continuous function, say v(t). But if  $\dot{u}$  agrees with an absolutely continuous function for a.e. t in a neighborhood of  $t_0$ ,

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The uniqueness we just proved implies

$$\dot{u}\left(t\right) = \varphi\left(t, u\left(t\right), f_{\xi}\left(t, u\left(t\right), \dot{u}\left(t\right)\right)\right)$$

for almost all t in a neighborhood of  $t_0$ . Now, u(t) is absolutely continuous w.r.t. t. We can also prove  $f_{\xi}(t, u(t), \dot{u}(t))$  is absolutely continuous w.r.t t since u is a critical point. So the RHS of (2) is an absolutely continuous function, say v(t). But if  $\dot{u}$  agrees with an absolutely continuous function for a.e. t in a neighborhood of  $t_0$ , we have

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for a.e. t in a neighborhood of  $t_0$ . The LHS above is clearly  $C^1$ , hence so is u and thus  $\dot{u}$  is continuous. So now the uniqueness for implicit function theorem implies (2) holds and u is  $C^2$ .

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# **Thank you** *Questions?*