

Introduction to the Calculus of Variations: Lecture 16

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Elementary properties

Approximation and extension

Traces

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Poincaré-Sobolev inequalities

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Now we proceed to the question of compactness of the Sobolev embeddings. But before stating the result, we first record a criterion for compactness in $L^q(\Omega)$.

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Theorem (Kolmogorov-M.Riesz-Frechet)

Let \mathcal{F} be a bounded subset of $L^p(\mathbb{R}^n)$ with $1 \leq p < \infty$ such that

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Then the closure of $\mathcal{F}|_{\Omega}$ is **compact** in $L^p(\Omega)$

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Remark

Here τ_h is the translation operator, i.e.

$$\tau_h u(x) := u(x+h) \quad \text{for all } x \in \mathbb{R}^n.$$

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Remark

Note that the theorem **does not claim**

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Remark

Note that the theorem **does not claim** that the embedding of $W^{1,p}$ into L^{p^*} in the case $1 \leq p < n$ is compact. In fact, this injection, though continuous, is never compact.

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Remark

Note that the theorem **does not claim** that the embedding of $W^{1,p}$ into L^{p^*} in the case $1 \leq p < n$ is compact. In fact, this injection, though continuous, is never compact. This can be easily seen in the following example.

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Example

Let $u \in W^{1,p}(B_1^n)$,

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$$\|\nabla v_\varepsilon\|_{L^p(B_1^n)} = \|\nabla u\|_{L^p(B_1^n)}.$$

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Example

Let $u \in W^{1,p}(B_1^n)$, $u \not\equiv 0$, $\text{supp } u \subset B_1^n$ for some $1 \leq p < n$. Set

$$u_\varepsilon(x) := u\left(\frac{x}{\varepsilon}\right) \quad \text{and} \quad v_\varepsilon(x) := \left(\frac{1}{\varepsilon}\right)^{\frac{n-p}{p}} u_\varepsilon(x).$$

Now $u_\varepsilon, v_\varepsilon \in W^{1,p}(B_1^n)$ for every $\varepsilon > 0$. We compute

$$\|v_\varepsilon\|_{L^q(B_1^n)} = \left(\frac{1}{\varepsilon}\right)^{\frac{n-p}{p}} \|u_\varepsilon\|_{L^q(B_1^n)} = \varepsilon^{n\left(\frac{1}{q} - \frac{1}{p} - \frac{1}{n}\right)} \|u\|_{L^q(B_1^n)}.$$

for any $1 \leq q \leq p^*$. Similarly, we have

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Thus, the sequence $\{v_\varepsilon\}_\varepsilon$ is uniformly bounded in $W^{1,p}(B_1^n)$

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Thus, the sequence $\{v_\varepsilon\}_\varepsilon$ is uniformly bounded in $W^{1,p}(B_1^n)$ and $v_\varepsilon \rightarrow 0$ as $\varepsilon \rightarrow 0$ in $L^q(B_1^n)$ for any $1 \leq q < p^*$,

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Thus, the sequence $\{v_\varepsilon\}_\varepsilon$ is uniformly bounded in $W^{1,p}(B_1^n)$ and $v_\varepsilon \rightarrow 0$ as $\varepsilon \rightarrow 0$ in $L^q(B_1^n)$ for any $1 \leq q < p^*$, but

$$\|v_\varepsilon\|_{L^{p^*}(B_1^n)} = \|u\|_{L^{p^*}(B_1^n)} \neq 0 \quad \text{for every } \varepsilon > 0.$$

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Proof.

The case $p > n$ follows from Morrey's inequality and Ascoli-Arzelà theorem.

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The case $p > n$ follows from Morrey's inequality and Ascoli-Arzelà theorem. The case $p = n$ can be deduced from the case $1 \leq p < n$ case.

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$$\lim_{|h| \rightarrow 0} \|\tau_h u - u\|_{L^q(\mathbb{R}^n)} = 0 \quad \text{uniformly in } u \in \mathcal{F},$$

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By using extension and the Kolmogorov-M. Riesz-Frechet theorem, we only need to show

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This proves the theorem. □

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Let $\Omega \subset \mathbb{R}^n$ be open bounded and smooth.

- ▶ If $1 \leq p < n$, then the injections

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Dirichlet integral

Let $n \geq 2, N \geq 1$ be integers

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Dirichlet integral

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Dirichlet integral

Let $n \geq 2$, $N \geq 1$ be integers and let $\Omega \subset \mathbb{R}^n$ be open bounded and smooth. Let $u \in W^{1,2}(\Omega; \mathbb{R}^N)$.

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Now we are ready to begin our study of the modern direct methods in the calculus of variations.

Dirichlet integral

Let $n \geq 2, N \geq 1$ be integers and let $\Omega \subset \mathbb{R}^n$ be open bounded and smooth. Let $u \in W^{1,2}(\Omega; \mathbb{R}^N)$. Then the functional

$$\mathcal{D}[u] := \frac{1}{2} \int_{\Omega} |\nabla u|^2$$

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$$\begin{cases} \Delta \bar{u} = 0 & \text{in } \Omega, \\ \bar{u} = u_0 & \text{on } \partial\Omega. \end{cases}$$

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i.e. satisfies the weak form of the Euler-Lagrange equation

$$\int_{\Omega} \langle \nabla \bar{u}, \nabla \phi \rangle = 0 \quad \text{for all } \phi \in W_0^{1,2}(\Omega; \mathbb{R}^N).$$

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Proof.

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This proves that $\{u_s\}_{s \geq 1}$ is uniformly bounded in $W^{1,2}(\Omega; \mathbb{R}^N)$.

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Since $W^{1,2}(\Omega; \mathbb{R}^N)$ is reflexive, the uniform bound implies that there exists $\bar{u} \in W^{1,2}(\Omega; \mathbb{R}^N)$

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sequential weak lower semicontinuity

Now we wish to prove that

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$$2\mathcal{D}[u_s] = \int_{\Omega} \langle \nabla u_s - \nabla \bar{u} + \nabla \bar{u}, \nabla u_s - \nabla \bar{u} + \nabla \bar{u} \rangle$$

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$$\begin{aligned} 2\mathcal{D}[u_s] &= \int_{\Omega} \langle \nabla u_s - \nabla \bar{u} + \nabla \bar{u}, \nabla u_s - \nabla \bar{u} + \nabla \bar{u} \rangle \\ &= \int_{\Omega} \langle \nabla u_s - \nabla \bar{u}, \nabla u_s - \nabla \bar{u} \rangle + 2 \int_{\Omega} \langle \nabla u_s - \nabla \bar{u}, \nabla \bar{u} \rangle \\ &\quad + \int_{\Omega} \langle \nabla \bar{u}, \nabla \bar{u} \rangle \end{aligned}$$

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Since $W^{1,2}(\Omega; \mathbb{R}^N)$ is reflexive, the uniform bound implies that there exists $\bar{u} \in W^{1,2}(\Omega; \mathbb{R}^N)$ such that up to the extraction of a subsequence, which we do not relabel, we have

$$u_s \rightharpoonup \bar{u} \quad \text{weakly in } W^{1,2}(\Omega; \mathbb{R}^N).$$

sequential weak lower semicontinuity

Now we wish to prove that

$$\liminf_{s \rightarrow \infty} \mathcal{D}[u_s] \geq \mathcal{D}[\bar{u}].$$

We have,

$$\begin{aligned} 2\mathcal{D}[u_s] &= \int_{\Omega} \langle \nabla u_s - \nabla \bar{u} + \nabla \bar{u}, \nabla u_s - \nabla \bar{u} + \nabla \bar{u} \rangle \\ &= \int_{\Omega} \langle \nabla u_s - \nabla \bar{u}, \nabla u_s - \nabla \bar{u} \rangle + 2 \int_{\Omega} \langle \nabla u_s - \nabla \bar{u}, \nabla \bar{u} \rangle \\ &\quad + \int_{\Omega} \langle \nabla \bar{u}, \nabla \bar{u} \rangle \\ &\geq 2\mathcal{D}[\bar{u}] + 2 \int_{\Omega} \langle \nabla u_s - \nabla \bar{u}, \nabla \bar{u} \rangle. \end{aligned}$$

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Since

$$u_s \rightharpoonup \bar{u} \quad \text{weakly in } W^{1,2}(\Omega; \mathbb{R}^N).$$

implies

$$\nabla u_s \rightharpoonup \nabla \bar{u} \quad \text{weakly in } L^2(\Omega; \mathbb{R}^N),$$

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we deduce that

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Since

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$$\lim_{s \rightarrow \infty} \int_{\Omega} \langle \nabla u_s - \nabla \bar{u}, \nabla \bar{u} \rangle = 0.$$

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$$\lim_{s \rightarrow \infty} \int_{\Omega} \langle \nabla u_s - \nabla \bar{u}, \nabla \bar{u} \rangle = 0.$$

This proves the weak lower semicontinuity.

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Thus, we have

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Since

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This proves the weak lower semicontinuity.

Thus, we have

$$m \leq \mathcal{D}[\bar{u}] \leq \liminf_{s \rightarrow \infty} \mathcal{D}[u_s] = m.$$

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Thus, we have

$$m \leq \mathcal{D}[\bar{u}] \leq \liminf_{s \rightarrow \infty} \mathcal{D}[u_s] = m.$$

Hence \bar{u} is a minimizer.

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Uniqueness

Suppose \bar{u} and \bar{v} are both minimizers.

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Suppose \bar{u} and \bar{v} are both minimizers. Then let $\bar{w} := \frac{1}{2}(\bar{u} + \bar{v})$.

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$$m \leq \mathcal{D}[\bar{w}] \leq \frac{1}{2}\mathcal{D}[\bar{u}] + \frac{1}{2}\mathcal{D}[\bar{v}] \leq m.$$

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So \bar{w} is also a minimizer

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So \bar{w} is also a minimizer and hence we obtain,

$$\int_{\Omega} \left(\frac{1}{2} |\nabla \bar{u}|^2 + \frac{1}{2} |\nabla \bar{v}|^2 - \left| \frac{\nabla \bar{u} + \nabla \bar{v}}{2} \right|^2 \right) = 0.$$

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But this implies

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But this is impossible unless $u = v$

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But this implies

$$\frac{1}{2} |\nabla \bar{u}|^2 + \frac{1}{2} |\nabla \bar{v}|^2 - \left| \frac{\nabla \bar{u} + \nabla \bar{v}}{2} \right|^2 = 0 \quad \text{a.e.}$$

But this is impossible unless $u = v$ by the strict convexity of the function $\xi \mapsto |\xi|^2$.

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Now if \bar{u} is a minimizer,

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Euler-Lagrange equations

Now if \bar{u} is a minimizer, we must have

$$\left. \frac{d}{dt} (\mathcal{D}[\bar{u} + t\phi]) \right|_{t=0} = 0$$

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Euler-Lagrange equations

Now if \bar{u} is a minimizer, we must have

$$\frac{d}{dt} (\mathcal{D}[\bar{u} + t\phi]) \Big|_{t=0} = 0$$

for any $\phi \in C_c^\infty(\Omega; \mathbb{R}^N)$.

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$$0 = \lim_{t \rightarrow 0} \frac{1}{2t} \int_{\Omega} [|\nabla \bar{u} + t\nabla \phi|^2 - |\nabla \bar{u}|^2]$$

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But the fact that $\nabla \bar{u} \in L^2$

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But the fact that $\nabla \bar{u} \in L^2$ and the density of C_c^∞ functions in $W_0^{1,2}$

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Euler-Lagrange equations

Now if \bar{u} is a minimizer, we must have

$$\left. \frac{d}{dt} (\mathcal{D}[\bar{u} + t\phi]) \right|_{t=0} = 0$$

for any $\phi \in C_c^\infty(\Omega; \mathbb{R}^N)$. Thus we compute

$$\begin{aligned} 0 &= \lim_{t \rightarrow 0} \frac{1}{2t} \int_{\Omega} \left[|\nabla \bar{u} + t \nabla \phi|^2 - |\nabla \bar{u}|^2 \right] \\ &= \lim_{t \rightarrow 0} \frac{1}{2t} \int_{\Omega} \left[t \langle \nabla \phi, \nabla \bar{u} \rangle + t^2 |\phi|^2 \right] \\ &= \int_{\Omega} \langle \nabla \phi, \nabla \bar{u} \rangle. \end{aligned}$$

But the fact that $\nabla \bar{u} \in L^2$ and the density of C_c^∞ functions in $W_0^{1,2}$ implies that the identity holds for any $\phi \in W_0^{1,2}$ as well,

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But the fact that $\nabla \bar{u} \in L^2$ and the density of C_c^∞ functions in $W_0^{1,2}$ implies that the identity holds for any $\phi \in W_0^{1,2}$ as well, i.e.

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This completes the proof. □

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Thank you
Questions?