

# Contrôle des équations des water waves

Daniel Han-Kwan

CNRS

&

Centre de mathématiques Laurent Schwartz  
École polytechnique

6 mars 2015

GT Contrôle (UPMC)

Avec Thomas Alazard (ENS) et Pietro Baldi (Università di Napoli)

- We study the **dynamics of water waves**, i.e. of disturbances of the free surface of a liquid. These can be generated by the immersion of a solid body or by impulsive pressures (blowing) applied on the free surface.
- **Question** : which waves can be generated by **impulsive pressures** applied on a **localized** portion of the free surface ?

**Main result** : given any time  $T > 0$ , any two-dimensional, periodic in space, small amplitude gravity-capillary water waves.

- **Local exact controllability** of the Euler equations with free surface.

- The Water Waves system involves several physical parameters and numerous asymptotic (simplified) models can be derived, such as **KdV**, **NLS**, **Benjamin-Ono**, etc. (see the book of D. Lannes). There exist many controllability results for such asymptotic equations (see the book of J.-M. Coron).
- We consider here the **full model**, which is **fully nonlinear** instead of semi-linear. In addition, it is not a PDE but instead a pseudo-differential equation, involving the Dirichlet-Neumann operator which is **nonlocal**.

## The equations 1/2

At time  $t \geq 0$ , the fluid occupies the domain  $\Omega(t)$  with a free surface parametrized by a graph :

$$\Omega(t) = \{ (x, y) \in \mathbb{R} \times \mathbb{R} : -b < y < \eta(t, x) \},$$

where  $b \in \mathbb{R}^+ \cup \{+\infty\}$  and  $x \mapsto \eta(t, x)$  is part of the unknowns.

The fluid is **incompressible**, **irrotational**, and the velocity field  $v: \Omega(t) \rightarrow \mathbb{R}^2$  solves

$$\partial_t v + v \cdot \nabla v + \nabla(P + gy) = 0, \quad \operatorname{div} v = 0, \quad \operatorname{curl} v = 0 \quad \text{in } \Omega(t).$$

Boundary conditions :

$$\partial_t \eta = \sqrt{1 + |\partial_x \eta|^2} v \cdot n \quad \text{on } y = \eta(t, x),$$

$$P = \underbrace{\partial_x \left( \frac{\partial_x \eta}{\sqrt{1 + (\partial_x \eta)^2}} \right)}_{=: H(\eta)} + P_{\text{ext}}(t, x) \quad \text{on } y = \eta(t, x),$$

$$v_y = 0 \quad \text{on } y = -b.$$

## The equations 2/2

Since  $\text{curl } v = 0$ , we can write  $v = \nabla\phi$  and we have

$$\Delta_{x,y}\phi = 0, \quad \partial_t\phi + \frac{1}{2} |\nabla_{x,y}\phi|^2 + P + gy = 0, \quad \partial_y\phi|_{y=-b} = 0,$$

Finally we set  $\psi(t, x) = \phi(t, x, \eta(t, x))$ , introduce the Dirichlet-Neumann operator  $G(\eta)$  that relates  $\psi$  to the normal derivative  $\partial_n\phi$  of the potential by

$$(G(\eta)\psi)(t, x) = \sqrt{1 + (\partial_x\eta)^2} \partial_n\phi|_{y=\eta(t,x)}.$$

Then  $(\eta, \psi)$  solves the Zakharov-Craig-Sulem-Sulem formulation of Water Waves ( $t \in \mathbb{R}^+$ ,  $x \in \mathbb{T}$ )

$$\begin{cases} \partial_t\eta = G(\eta)\psi, \\ \partial_t\psi + g\eta + \frac{1}{2}(\partial_x\psi)^2 - \frac{1}{2} \frac{(G(\eta)\psi + (\partial_x\eta)(\partial_x\psi))^2}{1 + (\partial_x\eta)^2} = H(\eta) + P_{\text{ext}}. \end{cases}$$

Denote  $H_0^s := \{u \in H^s, \int_{\mathbb{T}} u \, dx = 0\}$ .

### Theorem 1 (Main result)

Let  $T > 0$  and consider a non-empty open subset  $\omega \subset \mathbb{T}$ . There exist  $\sigma > 0, M_0 > 0$  such that, for any  $(\eta_{in}, \psi_{in}), (\eta_{final}, \psi_{final})$  in  $H_0^{\sigma+\frac{1}{2}}(\mathbb{T}) \times H^\sigma(\mathbb{T})$  satisfying

$$\|\eta_{in}\|_{H^{\sigma+\frac{1}{2}}} + \|\psi_{in}\|_{H^\sigma} < M_0, \quad \|\eta_{final}\|_{H^{\sigma+\frac{1}{2}}} + \|\psi_{final}\|_{H^\sigma} < M_0,$$

there exists  $P_{ext}$  in  $C^0([0, T]; H^\sigma(\mathbb{T}))$  satisfying

$$\text{supp } P_{ext}(t, \cdot) \subset \omega, \quad \forall t \in [0, T],$$

such that the Cauchy problem for the Water Waves equations with initial conditions  $(\eta_{in}, \psi_{in})$  has a unique solution

$$(\eta, \psi) \in C^0([0, T]; H_0^{\sigma+\frac{1}{2}}(\mathbb{T}) \times H^\sigma(\mathbb{T})),$$

and the solution  $(\eta, \psi)$  satisfies  $(\eta|_{t=T}, \psi|_{t=T}) = (\eta_{final}, \psi_{final})$ .

## Strategy of the proof

To simplify, we shall only consider the case  $b = +\infty$  (infinite depth).

- A. Diagonalization of the equations.
- B. Quasi-linear scheme.
- C. Controllability/Observability for some linear dispersive equations with non-constant coefficients.
- D. Reduction to linear constant coefficient equations (modulo some zero order operators).
- E. Ingham type inequalities.

## A. Diagonalization of the equations 1/2

Linearized equations around 0 :

$$\begin{cases} \partial_t \eta = |D_x| \psi \\ \partial_t \psi + g\eta - \partial_x^2 \eta = P_{ext} \end{cases}$$

Introduce

$$L = ((g - \partial_x^2)|D_x|)^{\frac{1}{2}} =: \langle D_x \rangle |D_x|^{\frac{1}{2}}.$$

Then  $u = \psi - iL|D_x|^{-1}\eta$  satisfies the dispersive equation

$$\partial_t u + iLu = P_{ext}.$$

Similar **diagonalization** of the nonlinear equations, based on

- pseudodifferential calculus (Lannes);
- paradifferential calculus (Alazard, Métivier);
- symmetrization (Alazard, Burq, Zuily);
- normal forms and analysis of quadratic terms (Alazard, Delort);
- conjugation (Alazard, Baldi).



## A. Diagonalization of the equations 2/2

We follow the analysis of Alazard-Burq-Zuily.

Let  $s > 5/2$  and consider  $(\eta, \psi) \in C^0([0, T]; H_0^{s+\frac{1}{2}}(\mathbb{T}) \times H^s(\mathbb{T}))$ . There is a symbol  $p$  of order 0 and a symbol  $q$  of order 1/2 (depending on  $(\eta, \psi)$ ) such that

$$u := T_p \psi + iT_q \eta \quad (\in \mathbb{C})$$

satisfies

$$\partial_t u + T_V \partial_x u + iL^{\frac{1}{2}}(T_c L^{\frac{1}{2}} u) + R(u)u = T_p P_{\text{ext}}$$

with  $c := (1 + (\partial_x \eta)^2)^{-\frac{3}{4}}$ ,  $V = (\partial_x \phi)|_{y=\eta}$ ,

$$\|R(\eta, \psi)u\|_{H^s} \leq C(\|\eta\|_{H^{s+\frac{1}{2}}}) \|\eta\|_{H^{s+\frac{1}{2}}}^\theta \left\{ \|\psi\|_{H^s} + \|\eta\|_{H^{s+\frac{1}{2}}} \right\}.$$

Moreover,  $(p, q)$  can be so chosen that  $(\eta, \psi) \mapsto u$  is **invertible** from  $H_0^{s+\frac{1}{2}}(\mathbb{T}) \times H^s(\mathbb{T})$  to  $\tilde{H}^s(\mathbb{T}) = \{u \in H^s : \int_{\mathbb{T}} \text{Im } u(x) dx = 0\}$ .

## B. Quasi-linear scheme

Introduce the following **quasi-linear scheme** :

## B. Quasi-linear scheme

Introduce the following **quasi-linear scheme** :

- $(u_0, f_0) = (0, 0)$

## B. Quasi-linear scheme

Introduce the following **quasi-linear scheme** :

- $(u_0, f_0) = (0, 0)$
- The  $(u_{n+1}, f_{n+1})$  are defined by induction :  $f_{n+1}$  is determined by asking that the unique solution  $u_{n+1}$  to the Cauchy problem

$$(\partial_t + T_{V(u_n)} \partial_x + iL^{\frac{1}{2}} T_{c(u_n)} L^{\frac{1}{2}}) u_{n+1} + R(u_n) u_{n+1} = T_{\rho(u_n)} \chi_\omega \operatorname{Re} f_{n+1}$$

$$u_{n+1}|_{t=0} = u_{in},$$

$$\text{satisfies } u_{n+1}|_{t=T} = 0.$$

## B. Quasi-linear scheme

Introduce the following **quasi-linear scheme** :

- $(u_0, f_0) = (0, 0)$
- The  $(u_{n+1}, f_{n+1})$  are defined by induction :  $f_{n+1}$  is determined by asking that the unique solution  $u_{n+1}$  to the Cauchy problem

$$(\partial_t + T_{V(u_n)} \partial_x + iL^{\frac{1}{2}} T_{c(u_n)} L^{\frac{1}{2}}) u_{n+1} + R(u_n) u_{n+1} = T_{\rho(u_n)} \chi_\omega \operatorname{Re} f_{n+1}$$

$$u_{n+1}|_{t=0} = u_{in},$$

satisfies  $u_{n+1}|_{t=T} = 0$ .

- We have to prove that each step is well-defined (**solve linear control pb.**) and that the scheme converges (**stability estimates in the control pb.**).

## B. Quasi-linear scheme

Introduce the following **quasi-linear scheme** :

- $(u_0, f_0) = (0, 0)$
- The  $(u_{n+1}, f_{n+1})$  are defined by induction :  $f_{n+1}$  is determined by asking that the unique solution  $u_{n+1}$  to the Cauchy problem

$$(\partial_t + T_{V(u_n)}\partial_x + iL^{\frac{1}{2}} T_{c(u_n)}L^{\frac{1}{2}})u_{n+1} + R(u_n)u_{n+1} = T_{\rho(u_n)}\chi_\omega \operatorname{Re} f_{n+1}$$

$$u_{n+1}|_{t=0} = u_{in},$$

satisfies  $u_{n+1}|_{t=T} = 0$ .

- We have to prove that each step is well-defined (**solve linear control pb.**) and that the scheme converges (**stability estimates in the control pb.**).

Then define  $P_{ext} := \lim_{n \rightarrow +\infty} \operatorname{Re} \chi_\omega f_{n+1}$  and solve the WW system for  $(\eta, \psi)$  with data  $(\eta_{in}, \psi_{in})$  with this pressure seen as a source term. Then  $u$  solves the previous equation so  $u|_{t=T} = 0$  which in turn implies that  $(\eta, \psi)|_{t=T} = 0$ .

We obtain the Theorem by **reversibility** of WW.

## C. Controllability of a linear equation with non-constant coefficients

Consider the linear op.  $P(\underline{u}) = \partial_t + T_{V(\underline{u})}\partial_x + iL^{\frac{1}{2}}(T_{c(\underline{u})}L^{\frac{1}{2}} \cdot) + R(\underline{u})$  satisfying  $\bullet \|V(\underline{u})\| + \|c(\underline{u}) - 1\| + \|R(\underline{u})\|_{\mathcal{L}(L^2)} \lesssim \|\underline{u}\|_{C^0([0,T];H^{s_0})}$ .

- If  $P(\underline{u})v$  is real valued, then  $\frac{d}{dt} \int_{\mathbb{T}} \text{Im } v(t, x) dx = 0$ .

### Proposition 1

Let  $T > 0$ . There exists  $s_0$  such that, if  $\|\underline{u}\|_{C^0([0,T];H^{s_0})}$  is small enough, depending on  $T$ , then the following properties hold.

i) **(Controllability)** For all  $\sigma \geq s_0$  and all  $u_{in} \in \tilde{H}^\sigma(\mathbb{T})$  there exists  $f$  satisfying  $\|f\|_{C^0([0,T];H^\sigma)} \leq K(T) \|u_{in}\|_{H^\sigma}$  such that the unique solution  $u$  to  $P(\underline{u})u = T_p \chi_\omega \text{Re } f$  ;  $u|_{t=0} = u_{in}$ , satisfies  $u|_{t=T} = 0$ .

ii) **(Stability)** Consider another state  $\underline{u}'$  with  $\|\underline{u}'\|_{C^0([0,T];H^{s_0})}$  small enough and denote by  $f'$  the control associated to  $\underline{u}'$ . Then

$$\|f - f'\|_{C^0([0,T];H^{\sigma-\frac{3}{2}})} \leq K'(T) \|u_{in}\|_{H^\sigma} \|\underline{u} - \underline{u}'\|_{C^0([0,T];H^{s_0})}.$$

## D. Reduction to a regularized equation 1/3

Write  $P = \partial_t + T_V \partial_x + iL^{\frac{1}{2}}(T_c L^{\frac{1}{2}} \cdot) + R$ .

**Reduce the analysis** by proving that it is enough

- to prove an  $L^2$ -result instead of a Sobolev-result ;
- to consider a *classical* equation instead of a *paradifferential* equation.

The idea is to commute the equation with an **elliptic semi-classical operator**  $\Lambda_{h,s}$  of order  $s$ , satisfying

$$\|[\Lambda_{h,s}, P]\Lambda_{h,s}^{-1}\|_{\mathcal{L}(L^2)} = O(1),$$

$$\|[\Lambda_{h,s}, \chi_\omega]\Lambda_{h,s}^{-1}\|_{\mathcal{L}(L^2)} = O(h),$$

which is the reason to introduce the small parameter  $h$ .



## D. Reduction to a regularized equation 2/3

A possible choice is  $\Lambda_{h,s} = I + h^s T_{c^{2s/3}} L^{2s/3}$  which satisfies the following.

i)  $\Lambda_{h,s}$  is invertible from  $H^s$  to  $L^2$  and

$$\begin{aligned} \left\| [\Lambda_{h,s}, T_V \partial_x] \Lambda_{h,s}^{-1} \right\|_{\mathcal{L}(L^2)} &= O(1), \\ \left\| [\Lambda_{h,s}, \chi_\omega] \Lambda_{h,s}^{-1} \right\|_{\mathcal{L}(L^2)} &\lesssim h \|\chi_\omega\|_{H^{s+1}}. \end{aligned}$$

ii) Setting  $\tilde{P} = \Lambda_{h,s} P \Lambda_{h,s}^{-1}$ , we have

$\tilde{P} = \partial_t + T_V \partial_x + iL^{\frac{1}{2}}(T_c L^{\frac{1}{2}} \cdot) + R_1 = \partial_t + V \partial_x + iL^{\frac{1}{2}}(cL^{\frac{1}{2}} \cdot) + R_2$  with

$$\|R_1\|_{\mathcal{L}(L^2)} = O(1),$$

$$R_2 = R_1 + (V - T_V) \partial_x + i(L^{\frac{1}{2}}(cL^{\frac{1}{2}} \cdot) - L^{\frac{1}{2}}(T_c L^{\frac{1}{2}} \cdot)).$$

$$\tilde{P} = \Lambda_{h,s} P \Lambda_{h,s}^{-1} = \partial_t + V(\underline{u}) \partial_x + iL^{\frac{1}{2}}(c(\underline{u})L^{\frac{1}{2}} \cdot) + R_2(\underline{u}).$$

## Proposition 2

Let  $T > 0$ . There exists  $s_0$  such that, if  $\|\underline{u}\|_{C^0([0,T];H^{s_0})}$  is small enough, then the following properties hold.

i) **(Controllability up to imaginary constants)** For all  $v_{in} \in L^2(\mathbb{T})$  there exists  $f$  with  $\|f\|_{C^0([0,T];L^2)} \leq K(T) \|v_{in}\|_{L^2}$  such that the unique solution  $v$  to  $\tilde{P}(\underline{u})v = \chi_\omega \operatorname{Re} f$ ,  $v|_{t=0} = v_{in}$  is such that  $v(T)$  is an imaginary constant :

$$\exists b \in \mathbb{R}, \forall x \in \mathbb{T}, \quad v(T, x) = ib.$$

ii) **(Regularity)** Moreover  $\|f\|_{C^0([0,T];H^{\frac{3}{2}})} \leq K(T) \|v_{in}\|_{H^{\frac{3}{2}}}$ .

iii) **(Stability)** Consider another state  $\underline{u}'$  with  $\|\underline{u}'\|_{C^0([0,T];H^{s_0})}$  small enough and denote by  $f'$  the control associated to  $\underline{u}'$ . Then

$$\|f - f'\|_{C^0([0,T];L^2)} \leq K'(T) \|v_{in}\|_{H^{\frac{3}{2}}} \|\underline{u} - \underline{u}'\|_{C^0([0,T];H^{s_0})}.$$

## D. Reduction to a regularized equation 3/3

Let  $v_{in} \in \tilde{H}^s$  and seek  $f \in C^0([0, T]; H^s(\mathbb{T}))$  such that

$$Pv = T_p \chi_\omega \operatorname{Re} f, \quad v(0) = v_{in} \implies v(T) = 0.$$

Assume that Prop 2, i) holds.

## D. Reduction to a regularized equation 3/3

Let  $v_{in} \in \tilde{H}^s$  and seek  $f \in C^0([0, T]; H^s(\mathbb{T}))$  such that

$$Pv = T_p \chi_\omega \operatorname{Re} f, \quad v(0) = v_{in} \implies v(T) = 0.$$

**Assume that Prop 2, i) holds.** For all  $y \in L^2(\mathbb{T})$  there is  $\tilde{f} \in C^0([0, T]; L^2(\mathbb{T}))$  s.t. the unique solution  $u_1$  to

$$\tilde{P}u_1 = \chi_\omega \operatorname{Re} \tilde{f}, \quad u_1|_{t=0} = y \implies u_1(T, x) = ib, \quad b \in \mathbb{R}.$$

## D. Reduction to a regularized equation 3/3

Let  $v_{in} \in \tilde{H}^s$  and seek  $f \in C^0([0, T]; H^s(\mathbb{T}))$  such that

$$Pv = T_p \chi_\omega \operatorname{Re} f, \quad v(0) = v_{in} \implies v(T) = 0.$$

**Assume that Prop 2, i) holds.** For all  $y \in L^2(\mathbb{T})$  there is  $\tilde{f} \in C^0([0, T]; L^2(\mathbb{T}))$  s.t. the unique solution  $u_1$  to

$$\tilde{P}u_1 = \chi_\omega \operatorname{Re} \tilde{f}, \quad u_1|_{t=0} = y \implies u_1(T, x) = ib, \quad b \in \mathbb{R}.$$

Define  $\mathcal{K}y = u_2(0)$  where  $u_2$  is the solution to

$$\tilde{P}u_2 = (\Lambda_{h,s} T_p \chi_\omega \Lambda_{h,s}^{-1} - \chi_\omega) \operatorname{Re} \tilde{f}, \quad u_2|_{t=T} = 0.$$

Then, with  $f := \Lambda_{h,s}^{-1} \tilde{f}$  and  $v := \Lambda_{h,s}^{-1}(u_1 + u_2)$ ,

$$Pv = T_p \chi_\omega \operatorname{Re} f, \quad v(0) = \Lambda_{h,s}^{-1}(y + \mathcal{K}y), \quad v(T, x) = ib, \quad b \in \mathbb{R}.$$

## D. Reduction to a regularized equation 3/3

Let  $v_{in} \in \tilde{H}^s$  and seek  $f \in C^0([0, T]; H^s(\mathbb{T}))$  such that

$$Pv = T_p \chi_\omega \operatorname{Re} f, \quad v(0) = v_{in} \implies v(T) = 0.$$

**Assume that Prop 2, i) holds.** For all  $y \in L^2(\mathbb{T})$  there is  $\tilde{f} \in C^0([0, T]; L^2(\mathbb{T}))$  s.t. the unique solution  $u_1$  to

$$\tilde{P}u_1 = \chi_\omega \operatorname{Re} \tilde{f}, \quad u_1|_{t=0} = y \implies u_1(T, x) = ib, \quad b \in \mathbb{R}.$$

Define  $\mathcal{K}y = u_2(0)$  where  $u_2$  is the solution to

$$\tilde{P}u_2 = (\Lambda_{h,s} T_p \chi_\omega \Lambda_{h,s}^{-1} - \chi_\omega) \operatorname{Re} \tilde{f}, \quad u_2|_{t=T} = 0.$$

Then, with  $f := \Lambda_{h,s}^{-1} \tilde{f}$  and  $v := \Lambda_{h,s}^{-1}(u_1 + u_2)$ ,

$$Pv = T_p \chi_\omega \operatorname{Re} f, \quad v(0) = \Lambda_{h,s}^{-1}(y + \mathcal{K}y), \quad v(T, x) = ib, \quad b \in \mathbb{R}.$$

But  $I + \mathcal{K}$  is invertible for  $h$  small, and  $y \in L^2$  can be so chosen that

$$y + \mathcal{K}y = \Lambda_{h,s} v_{in}.$$

## D. Reduction to a regularized equation 3/3

Let  $v_{in} \in \tilde{H}^s$  and seek  $f \in C^0([0, T]; H^s(\mathbb{T}))$  such that

$$Pv = T_p \chi_\omega \operatorname{Re} f, \quad v(0) = v_{in} \implies v(T) = 0.$$

**Assume that Prop 2, i) holds.** For all  $y \in L^2(\mathbb{T})$  there is  $\tilde{f} \in C^0([0, T]; L^2(\mathbb{T}))$  s.t. the unique solution  $u_1$  to

$$\tilde{P}u_1 = \chi_\omega \operatorname{Re} \tilde{f}, \quad u_1|_{t=0} = y \implies u_1(T, x) = ib, \quad b \in \mathbb{R}.$$

Define  $\mathcal{K}y = u_2(0)$  where  $u_2$  is the solution to

$$\tilde{P}u_2 = (\Lambda_{h,s} T_p \chi_\omega \Lambda_{h,s}^{-1} - \chi_\omega) \operatorname{Re} \tilde{f}, \quad u_2|_{t=T} = 0.$$

Then, with  $f := \Lambda_{h,s}^{-1} \tilde{f}$  and  $v := \Lambda_{h,s}^{-1}(u_1 + u_2)$ ,

$$Pv = T_p \chi_\omega \operatorname{Re} f, \quad v(0) = \Lambda_{h,s}^{-1}(y + \mathcal{K}y), \quad v(T, x) = ib, \quad b \in \mathbb{R}.$$

But  $I + \mathcal{K}$  is invertible for  $h$  small, and  $y \in L^2$  can be so chosen that

$$y + \mathcal{K}y = \Lambda_{h,s} v_{in}.$$

Since  $\frac{d}{dt} \int_{\mathbb{T}} \operatorname{Im} v(t, x) dx = 0$  and  $\int_{\mathbb{T}} \operatorname{Im} v(0, x) dx = 0$ , we deduce  $v(T) = 0$ . Which is the control result of the first prop.

## D. Reduction to constant coefficients 1/2

The next step is to replace  $\tilde{P} = \partial_t + V\partial_x + iL^{\frac{1}{2}}(cL^{\frac{1}{2}}\cdot) + R_2$  by

$$Q := \Phi\tilde{P}\Phi^{-1} = \partial_t + W\partial_x + iL + R_3,$$

where  $W = W(t, x)$  satisfies  $\int_{\mathbb{T}} W(t, x) dx = 0$  and

$$\|W\|_{C^0([0, T]; H^{s_0-d})} \leq C \|V\|_{C^0([0, T]; H^{s_0})} + \|c - 1\|_{C^0([0, T]; H^{s_0})}$$

where  $d > 0$  is a universal constant, and  $R_3$  is of order zero.

$\Phi$  is obtained as a composition of the 3 change of variables (preserving the  $L^2$ -norm in  $x$ )

$$(1 + \partial_x \kappa(t, x))^{\frac{1}{2}} h(t, x + \kappa(t, x)),$$

$$h(a(t), x),$$

$$h(t, x - b(t)).$$

(Cancellation of a term of order 1/2.)



## D. Reduction to constant coefficients 1/2

We now study **observability** for the **dual** operator

$$Q^* := -\partial_t - W\partial_x - iL + R_4.$$

We seek an operator  $\mathcal{A}$  such that

$$i[\mathcal{A}, L] + W\partial_x\mathcal{A} \text{ is a zero order operator.}$$

As in Alazard-Baldi, we find an (non-local) operator of the form

$$\mathcal{A} = \text{Op} (q(t, x, \xi) e^{i\beta(t, x)|\xi|^{\frac{1}{2}}})$$

such that

$$(\partial_t + W\partial_x + iL + R_4)\mathcal{A} = \mathcal{A}(\partial_t + iL + R_5)$$

with  $R_5$  of order 0 satisfying

$$\begin{aligned} \|R_5\|_{C^0([0, T]; \mathcal{L}(L^2))} \\ \lesssim \|V\|_{C^0([0, T]; H^{s_0})} + \|c - 1\|_{C^0([0, T]; H^{s_0})} + \|R\|_{C^0([0, T]; \mathcal{L}(L^2))}. \end{aligned}$$

## E. Ingham type inequalities 1/3

We now study Ingham inequalities for sums of oscillatory functions whose phases differ from the one of the linearized equation. For some given real-valued function  $\beta \in C^3(\mathbb{R})$ , set

$$\mu_n(t) = \text{sign}(n) \left[ \langle n \rangle |n|^{\frac{1}{2}} t + \beta(t) |n|^{\frac{1}{2}} \right].$$

**Not perturbative** since  $e^{i\beta(t)|n|^{\frac{1}{2}}} - 1$  is not small.

## E. Ingham type inequalities 1/3

We now study Ingham inequalities for sums of oscillatory functions whose phases differ from the one of the linearized equation. For some given real-valued function  $\beta \in C^3(\mathbb{R})$ , set

$$\mu_n(t) = \text{sign}(n) \left[ \langle n \rangle |n|^{\frac{1}{2}} t + \beta(t) |n|^{\frac{1}{2}} \right].$$

**Not perturbative** since  $e^{i\beta(t)|n|^{\frac{1}{2}}} - 1$  is not small.

We follow the usual strategy and first prove a **high frequency result** : there exists  $\delta_1 > 0$  such that, if

$$\|(\partial_t \beta, \partial_t^2 \beta)\|_{L^\infty} \leq \delta_1,$$

then, for any  $T > 0$ , there is  $N_0 \in \mathbb{N}$  such that,

$$\frac{T}{2} \sum_{\substack{n \in \mathbb{Z} \\ |n| \geq N_0}} |w_n|^2 \leq \int_0^T \left| \sum_{\substack{n \in \mathbb{Z} \\ |n| \geq N_0}} w_n e^{i\mu_n(t)} \right|^2 dt.$$

For  $\beta = 0$  this result holds with  $N_0 = 0$  : Kahane, Ball-Slemrod, Haraux.

## E. Ingham type inequalities 2/3

We then prove upper bounds :

- for any sequence  $(w_n)$  (not only for high frequencies) ;
- with **amplitudes**  $\zeta_n$  depending on time **whose derivatives in time of order  $k$  can grow with  $n$  as  $|n|^{k/2}$ .**

### Proposition 3

There are  $\delta_2, A > 0$  such that, if  $\|(\partial_t \beta, \partial_t^2 \beta, \partial_t^3 \beta)\|_{L^\infty} \leq \delta_2$ , then,

$$\int_0^T \left| \sum_{n \in \mathbb{Z}} w_n \zeta_n(t) e^{i\mu_n(t)} \right|^2 dt \leq AN(\zeta)^2 T \sum_{n \in \mathbb{Z}} |w_n|^2$$

with

$$N(\zeta) := \sum_{0 \leq k \leq 2} \sup_{n \in \mathbb{Z}} \sup_t \left| (1 + |n|)^{-\frac{k}{2}} \partial_t^k \zeta_n(t) \right|.$$

## E. Ingham type inequalities 3/3

Using the upper bound, we finally get :

### **Proposition 4 (*Sharp Ingham type inequality*)**

For any  $T \in (0, 1]$  there are  $C(T)$  and  $\delta(T)$  such that, if

$$\|(\partial_t \beta, \partial_t^2 \beta, \partial_t^3 \beta)\|_{L^\infty} \leq \delta(T),$$

then

$$C(T) \sum_{n \in \mathbb{Z}} |w_n|^2 \leq \int_0^T \left| \sum_{n \in \mathbb{Z}} w_n e^{i\mu_n(t)} \right|^2 dt.$$

## Remainder on the strategy

- A. Diagonalization of the equations.
- B. Quasi-linear scheme.
- C. **Controllability/Observability for some linear dispersive equations with non-constant coefficients.**
- D. Reduction to linear constant coefficient equations (modulo some zero order operators).
- E. Ingham type inequalities.

### Proposition 5 (Observability, as a consequence of Ingham)

Consider  $\omega \subset \mathbb{T}$  and  $T > 0$ . There are  $\varepsilon_0 > 0$  and  $K > 0$  such that, if

$$\sup_{t \in [0, T]} \sum_{1 \leq k \leq 3} \left\| \partial_t^k W(t) \right\|_{H^1} + \sup_{t \in [0, T]} \|W(t)\|_{H^r} \leq \varepsilon_0,$$

then, for any initial data  $v_0$  whose mean value  $\langle v_0 \rangle = \int_{\mathbb{T}} v_0(x) dx$  satisfies

$$|\operatorname{Re} \langle v_0 \rangle| \geq \frac{1}{2} |\langle v_0 \rangle| - \varepsilon \|v_0\|_{L^2}, \quad (\Delta)$$

the solution  $v$  of

$$\partial_t v + iLv = 0, \quad v(0) = v_0,$$

satisfies

$$\int_0^T \int_{\omega} |\operatorname{Re}(\mathcal{A}v)(t, x)|^2 dx dt \geq K \int_{\mathbb{T}} |v_0(x)|^2 dx.$$

Assume  $W = 0$  so that  $\mathcal{A} = I$ . Then (\*) is false if  $v(t, x) = C$  with  $C \in i\mathbb{R}$ .

## C. HUM Method 1/2

One deduces an observability result for  $Q^* = -\partial_t - W\partial_x - iL + R_4$ .  
Now let  $M$  such that  $M - 1$  is small enough and introduce

$$L_M^2 := \left\{ \varphi \in L^2(\mathbb{T}; \mathbb{C}) ; \operatorname{Im} \int_{\mathbb{T}} M(x)\varphi(x) dx = 0 \right\}.$$

(Functions of  $L_M^2$  satisfy  $(\Delta)$ .)



## C. HUM Method 1/2

One deduces an observability result for  $Q^* = -\partial_t - W\partial_x - iL + R_4$ .  
Now let  $M$  such that  $M - 1$  is small enough and introduce

$$L_M^2 := \left\{ \varphi \in L^2(\mathbb{T}; \mathbb{C}); \operatorname{Im} \int_{\mathbb{T}} M(x)\varphi(x) dx = 0 \right\}.$$

(Functions of  $L_M^2$  satisfy  $(\Delta)$ .)

For any  $w_{in} \in L^2(\mathbb{T})$ , there exists a unique  $f_1 \in L_M^2$  such that,

$$\forall \phi_1 \in L_M^2, \quad \operatorname{Re} \int_0^T (\chi_\omega \operatorname{Re} f(t), \phi(t)) dt = -\operatorname{Re}(w_{in}, \phi(0)),$$

where  $f$  and  $\phi$  are the unique functions in  $C^0(\mathbb{R}; L^2(\mathbb{T}))$  satisfying

$$\begin{aligned} Q^* f &= 0, & f|_{t=T} &= f_1, \\ Q^* \phi &= 0, & \phi|_{t=T} &= \phi_1. \end{aligned}$$

## C. HUM Method 2/2

- H.U.M. method : There exists a control  $f$  such that the solution of

$$Qw = \partial_t w + W\partial_x w + iLw + R_3 w = \chi_\omega \operatorname{Re} f, \quad w(0) = w_{in},$$

satisfies  $w(T, x) = ibM(x)$  for some constant  $b \in \mathbb{R}$ .

## C. HUM Method 2/2

- H.U.M. method : There exists a control  $f$  such that the solution of

$$Qw = \partial_t w + W\partial_x w + iLw + R_3 w = \chi_\omega \operatorname{Re} f, \quad w(0) = w_{in},$$

satisfies  $w(T, x) = ibM(x)$  for some constant  $b \in \mathbb{R}$ .

- Since  $Q = \Phi^{-1} \tilde{P} \Phi$ ,  $\Phi$  is a change of variable (**local** transformation), one deduces  $L^2$ -controllability for  $\tilde{P}$  from  $L^2$ -controllability for  $Q$  (applied with a smaller control domain  $\omega' \subset \omega$ ).

## C. HUM Method 2/2

- H.U.M. method : There exists a control  $f$  such that the solution of

$$Qw = \partial_t w + W\partial_x w + iLw + R_3 w = \chi_\omega \operatorname{Re} f, \quad w(0) = w_{in},$$

satisfies  $w(T, x) = ibM(x)$  for some constant  $b \in \mathbb{R}$ .

- Since  $Q = \Phi^{-1} \tilde{P} \Phi$ ,  $\Phi$  is a change of variable (**local** transformation), one deduces  $L^2$ -controllability for  $\tilde{P}$  from  $L^2$ -controllability for  $Q$  (applied with a smaller control domain  $\omega' \subset \omega$ ).

Choosing  $M(x) = \Phi(1)$  (which is not  $M = 1$ ), the final state is constant.

There exists a control  $f$  such that the solution of

$$\partial_t v + V\partial_x v + iL^{\frac{1}{2}}(cL^{\frac{1}{2}}v) + R_2 v = \chi_\omega \operatorname{Re} f, \quad v(0) = v_{in},$$

satisfies

$$v(T, x) = ib,$$

for some constant  $b \in \mathbb{R}$ . This proves the control result of Prop. 2.

For the stability estimates, some extra work is needed...

Merci pour votre attention !