

Lyapunov-Schmidt reduction, critical groups and multiple solutions of elliptic resonant problems*

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1. Morse theory

Let X be a Hilbert space, $f \in C^1(X, \mathbb{R})$ satisfies *(PS)*. If u is an isolated critical point of f , $f(u) = c$, then

$$C_q(f, u) := H_q(f_c, f_c \setminus \{u\}), \quad q = 0, 1, \dots;$$

$f_c = f^{-1}(-\infty, c]$. If the critical values of f are greater than α , then

$$C_q(f, \infty) := H_q(X, f_\alpha), \quad q = 0, 1, \dots.$$

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We have the Morse inequalities

$$\begin{aligned} M_q - M_1 + \dots + (-1)^q M_0 &\geq \beta_q - \beta_1 + \dots + (-1)^q \beta_0, \quad \forall q \in \mathbb{N} \\ M_0 - M_1 + \dots + (-1)^q M_q + \dots &= \beta_0 - \beta_1 + \dots + (-1)^q \beta_q + \dots, \quad (1) \end{aligned}$$

where $M_q = \sum_{f'(u)=0} \text{rank} C_q(f, u)$, $\beta_q = \text{rank} C_q(f, \infty)$.

Pro 1. Suppose $f \in C^1(X, \mathbb{R})$ satisfies (PS). If for some $k \in \mathbb{N}$:

- (i) $C_k(f, \infty) \neq 0$, then f has critical point u with $C_k(f, u) \neq 0$.
- (ii) $C_k(f, \infty) \neq C_k(f, 0)$, then f has a nonzero critical point.

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Pro 2. Let $f \in C^1(X, \mathbb{R})$, $X = X^- \oplus X^+$, $k = \dim X^- < \infty$, $\rho > 0$. If

$$\begin{aligned} f(u) &\leq 0, & u \in X^-, & \|u\| \leq \rho, \\ f(u) &\geq 0, & u \in X^+, & \|u\| \leq \rho, \end{aligned} \quad \text{local linking}$$

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Pro 3. Let $f \in C^1(X, \mathbb{R})$ satisfies (PS), $X = X^- \oplus X^+$, $k = \dim X^- < \infty$. If f is bounded from below on X^+ and

$$f(u) \rightarrow -\infty, \quad \text{as } u \in X^-, \|u\| \rightarrow \infty,$$

then $C_k(f, \infty) \neq 0$.

2. L-S reduction and critical groups

Pro 4. Let X be a Hilbert space, X^\pm closed subspaces such that $X = X^- \oplus X^+$. If $f \in C^1(X, \mathbb{R})$ and $\kappa > 0$ such that

$$\pm \langle \nabla f(v + w_1) - \nabla f(v + w_2), w_1 - w_2 \rangle \geq \kappa \|w_1 - w_2\|^2 \quad (E_\pm)$$

for $v \in X^-$ and $w_1, w_2 \in X^+$. Then, there is $\psi : X^- \rightarrow X^+$,

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(ii) If (E_-) holds, then

$$\varphi(v) := f(v + \psi(v)) = \max_{w \in X^+} f(v + w).$$

Moreover, $\varphi \in C^1(X^-, \mathbb{R})$,

$v \in X^-$ is a critical point of φ iff $v + \psi(v)$ is a critical point of f .

In [Liu-Li, 03], we showed that: Suppose $X = X^- \oplus X^+$,

Thm 5. (i) If $\langle \nabla f(v+w_1) - \nabla f(v+w_2), w_1 - w_2 \rangle \geq \kappa \|w_1 - w_2\|^2$,

$$\text{then } C_q(f, \infty) \cong C_q(\varphi, \infty), \quad q = 0, 1, \dots. \quad (2)$$

Moreover, if $k = \dim X^- < \infty$ and $C_k(f, \infty) \neq 0$, then

$$C_q(f, \infty) \cong \delta_{q,k} \mathbf{G} := \begin{cases} \mathbf{G}, & q = k, \\ 0, & q \neq k. \end{cases}$$

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$$C_k(\varphi, \infty) \neq 0 \implies C_q(\varphi, \infty) \cong \delta_{q,k} G.$$

Consider the elliptic BVP

$$\begin{cases} -\Delta u = p(x, u), & \text{in } \Omega, \\ u = 0, & \text{on } \partial\Omega. \end{cases} \quad (3)$$

Here $p \in C(\Omega \times \mathbb{R}, \mathbb{R})$, $\lim_{|t| \rightarrow \infty} \frac{p(x, t)}{t} = \lambda$. (4)

The solutions of (3) are critical points of $f : X = H_0^1(\Omega) \rightarrow \mathbb{R}$,

$$f(u) = \frac{1}{2} \int_{\Omega} |\nabla u|^2 dx - \int_{\Omega} P(x, u) dx .$$

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$\lambda = \lambda_{\ell}$, if for some $\alpha \in [0, 1)$,

$$|p(x, t) - \lambda_{\ell} t| \leq C(1 + |t|^{\alpha}), \quad \lim_{|t| \rightarrow \infty} \frac{1}{|t|^{2\alpha}} \left(P(x, t) - \frac{\lambda_{\ell}}{2} t^2 \right) = \pm\infty,$$

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then $C_k(f, \infty) \cong \delta_{q, \ell} G$ for '+',

$C_k(f, \infty) \cong \delta_{q, \ell-1} G$ for '-', see [Li-Liu, 99].

In what follows we do not require (4).

(p_+) there exist $\varepsilon, R > 0$ such that for $|t| \geq R$,

$$\lambda_\ell \leq \frac{p(x, t)}{t} \leq \lambda_{\ell+1} - \varepsilon, \quad \lim_{|t| \rightarrow \infty} \frac{1}{|t|} \left(P(x, t) - \frac{\lambda_\ell}{2} t^2 \right) = +\infty.$$

(p_-) there exist $\varepsilon, R > 0$ such that for $|t| \geq R$,

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Pro 7. (i) If (p_+) holds, then $C_q(f, \infty) \cong \delta_{q, \ell} G$, provided

$$\frac{p(x, t) - p(x, s)}{t - s} \leq \beta, \quad \text{for some } \beta < \lambda_{\ell+1}. \quad (5)$$

(ii) If (p_-) holds, then $C_q(f, \infty) \cong \delta_{q, \ell-1} G$, provided

$$\frac{p(x, t) - p(x, s)}{t - s} \geq \beta, \quad \text{for some } \beta \geq \lambda_{\ell-1}. \quad (6)$$

The fun f satisfies (PS), Pro 3 and (E_\pm). Thm 5 is applied.

3. Reduction, homotopy and Alexander duality

Assume that for some $\Lambda > 0$, $|p(x, t) - p(x, s)| \leq \Lambda |t - s|$. (7)

- Thm 8 (Nonl. Anal., 08). (i) if (7), (p_-) hold, then $C_q(f, \infty) \cong \delta_{q, \ell-1} G$.
- (ii) if (7) and (p_+) hold, then $C_q(f, \infty) \cong \delta_{q, \ell} G$.

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(ii) if (7) and (p_+) hold, then $C_q(f, \infty) \cong \delta_{q, \ell} G$.

Rek 9. Thm 8 improves [Li-Perera-Su, 01, Pro 1.3]. For $|t| \geq R$,

$$\lambda_{\ell-1} + \varepsilon \leq \frac{p(x, t)}{t} \leq \lambda_{\ell}, P(x, t) \leq \frac{\lambda_{\ell} - \varepsilon}{2} |t|^2 \Rightarrow C_q(f, \infty) \cong \delta_{q, \ell-1} G;$$

$$\lambda_{\ell} \leq \frac{p(x, t)}{t} \leq \lambda_{\ell+1} - \varepsilon, P(x, t) \geq \frac{\lambda_{\ell} + \varepsilon}{2} |t|^2 \Rightarrow C_{\ell}(f, \infty) \neq 0.$$

Incompatible with $\lim_{|t| \rightarrow \infty} \frac{p(x, t)}{t} = \lambda_{\ell}$.

(p_0) there is $\rho > 0$, $\lambda_k t^2 \leq 2P(x, t) \leq \lambda_{k+1} t^2$ for $|t| \leq \rho$.

Thm 10 (Nonl. Anal., 08). (3) has a nonzero solution in case

- (i) (p_0) , (7) and (p_+) hold, $k \neq l$; or
- (ii) (p_0) , (7) and (p_-) hold, $k \neq l - 1$.

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Pf. By (p_0) , f has local linking at 0, so $C_k(f, 0) \neq 0$. By Thm 8

$$C_q(f, \infty) \cong \delta_{q,l} G \text{ in (i),} \quad C_q(f, \infty) \cong \delta_{q,l-1} G \text{ in (ii).}$$

By Pro 1, the result follows. ■

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For the proof of Thm 8, we use homotopy method.

Pro 11 ([Li-Perera-Su, 01, Thm 3.1]). If $\{f_t\} \subset C_{loc}^{2-0}(X, \mathbb{R})$ satisfies (PS), and there exist $\alpha \in \mathbb{R}$ and $\delta > 0$ such that

$$f_t(u) \leq \alpha \implies \|f'_t(u)\| \geq \delta, \tag{8}$$

then $(f_0)_\alpha \approx (f_1)_\alpha$. In particular, $C_q(f_0, \infty) \cong C_q(f_1, \infty)$ for all $q \in \mathbb{N}$.

3.1. Proof of Thm 8 (i)

Define $A_\ell : X \rightarrow X$ by

$$\langle A_\ell(u), v \rangle = \int_{\Omega} (\nabla u \nabla v - \lambda_\ell u v) dx, \quad u, v \in X. \quad (9)$$

Let $X^0 = \ker(A_\ell)$, X^\pm be the ' \pm '-space of A_ℓ .

3.1. Proof of Thm 8 (i)

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Let $X^0 = \ker(A_\ell)$, X^\pm be the ' \pm '-space of A_ℓ . Let u^\star be the orthogonal projection of u in X^\star ($\star = 0, \pm$). Consider $f_t : X \rightarrow \mathbb{R}$,

$$f_t(u) = (1 - t)f(u) + t(\|u^+\|^2 + \|u^0\|^2 - \|u^-\|^2), \quad t \in [0, 1].$$

3.1. Proof of Thm 8 (i)

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$$f_t(u) = (1-t)f(u) + t(\|u^+\|^2 + \|u^0\|^2 - \|u^-\|^2), \quad t \in [0, 1].$$

It is standard to show that f satisfies (PS). Adapt that argument,

$$\left. \begin{array}{l} f'_{t_n}(u_n) \rightarrow 0 \\ \|u_n\| \rightarrow \infty \end{array} \right\} \implies f_{t_n}(u_n) \rightarrow +\infty. \quad (10)$$

This implies (8), and Pro 11 yields

$$C_q(f, \infty) = C_q(f_0, \infty) \cong C_q(f_1, \infty) \cong \delta_{q, \dim X - G} = \delta_{q, \ell - 1} G. \quad \blacksquare$$

3.2. Proof of Thm 8 (ii)

Let $h(u) = \frac{1}{2} \langle A_\ell(u), u \rangle - \|u^0\|^2$, and Consider

$$f_t(u) = (1 - t)f(u) + t \cdot h(u), \quad t \in [0, 1].$$

As in §3.1 we have a claim 'dual' to (10):

$$\left. \begin{array}{l} f'_{t_n}(u_n) \rightarrow 0 \\ \|u_n\| \rightarrow \infty \end{array} \right\} \implies f_{t_n}(u_n) \rightarrow -\infty.$$

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However, we can not deduce $C_q(f_0, \infty) \cong C_q(f_1, \infty)$.

By (7) we can apply Thm 5 to reduce the problem into a finite dim space, then apply the Alexander Duality Theorem.

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Let $\varphi \in C^1(X, \mathbb{R})$ satisfies (PS). If its critical values are greater than α , then

$$c^q(\varphi, \infty) := H^q(X, \varphi_\alpha), \quad q = 0, 1, \dots$$

Lem 12 (dual). If $\varphi \in C^1(\mathbb{R}^m, \mathbb{R})$ satisfies (PS), with critical values bounded, then $C_q(\varphi, \infty) \cong c^{m-q}(-\varphi, \infty)$.

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Pf of Thm 8 (ii). Since $\lim_{k \rightarrow \infty} \lambda_k = +\infty$, there is $m > \ell$,

$$d := \max \{\Lambda, \lambda_\ell\} \leq \lambda_m < \lambda_{m+1}.$$

Let Y be the '+' space of A_m , $Z = Y^\perp$. Then $\dim Z = m$. Using $X^0 \subset Z$ and (7), for $z \in Z$ and $y_1, y_2 \in Y$,

$$\langle \nabla f_t(z + y_1) - \nabla f_t(z + y_2), y_1 - y_2 \rangle \geq \kappa \|y_1 - y_2\|^2,$$

where $\kappa = 1 - \lambda_{m+1}^{-1} d > 0$.

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where $\kappa = 1 - \lambda_{m+1}^{-1} d > 0$. By Thm 5, there is $\varphi_t \in C_{\text{loc}}^{2-0}(Z, \mathbb{R})$ such that

$$C_q(f_t, \infty) \cong C_q(\varphi_t, \infty).$$

From (11) and the analytic property of the L-S reduction that

$$\left. \begin{array}{l} \varphi'_{t_n}(z_n) \rightarrow 0 \\ \|z_n\| \rightarrow \infty \end{array} \right\} \implies (-\varphi)_{t_n}(z_n) \rightarrow +\infty.$$

By Pro 11, $(-\varphi_0)_\alpha \approx (-\varphi_1)_\alpha$ and $\mathcal{E}^q(-\varphi_0, \infty) \cong \mathcal{E}^q(-\varphi_1, \infty)$.

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$$\begin{aligned} \text{By Lem 12, } C_q(f, \infty) &= C_q(f_0, \infty) \cong C_q(\varphi_0, \infty) \\ &\cong \mathcal{E}^{m-q}(-\varphi_0, \infty) \cong \mathcal{E}^{m-q}(-\varphi_1, \infty) \\ &\cong C_q(f_1, \infty) \\ &\cong \delta_{q,\ell} G. \end{aligned}$$



4. Multiple solutions of elliptic BVP

Consider

$$\begin{cases} -\Delta u = p(x, u), & \text{in } \Omega, \\ u = 0, & \text{on } \partial\Omega. \end{cases} \quad \text{let } p_\infty = \lim_{|t| \rightarrow \infty} \frac{p(x, t)}{t}. \quad (12)$$

$$(p_1) \quad p \in C^1(\Omega \times \mathbb{R}, \mathbb{R}), \quad p(x, 0) = 0, \quad \frac{\partial p(x, 0)}{\partial t} < \lambda_1 < p_\infty = \lambda_\ell.$$

$$(p_2) \quad \text{for some } \gamma < \lambda_{\ell+1}, \quad \frac{\partial p(x, t)}{\partial t} \leq \gamma. \quad \text{enable to use reduction.}$$

Solutions of (12) are critical points of $f : H_0^1(\Omega) \rightarrow \mathbb{R}$,

$$f(u) = \frac{1}{2} \int_{\Omega} |\nabla u|^2 \, dx - \int_{\Omega} P(x, u) \, dx.$$

If p_∞ is not an eigenvalue, [Castro-Cossio, 94] obtained 5 solutions for (12).

For $p_\infty = \lambda_\ell$, assume in addition

★ $\exists \alpha \in [0, 1)$, $c > 0$, such that $|p(x, t) - \lambda_\ell t| \leq c(1 + |t|^\alpha)$,

$$\lim_{|t| \rightarrow \infty} \frac{1}{|t|^{2\alpha}} \left\{ P(x, t) - \frac{\lambda_\ell}{2} t^2 \right\} = +\infty,$$

[Li-Zhang, 99] also obtained 5 solutions.

In [Liu-Li, 03], we obtained 5 solutions under (p_1) , (p_2) and

$$\lim_{|t| \rightarrow \infty} \frac{1}{|t|} \left\{ P(x, t) - \frac{\lambda_\ell}{2} t^2 \right\} = +\infty.$$

As in [Li-Zhang, 99], the proof is based on Morse theory, but we used Thm 5 (i) to compute $C_q(f, \infty)$, see Pro 7 .

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Thm 13 (JMAA, 07). Assume (p_1) , (p_2) and

$$\lim_{|t| \rightarrow \infty} \left\{ P(x, t) - \frac{\lambda_\ell}{2} t^2 \right\} = +\infty, \text{ then (12) has 5 solutions.}$$

Unlike [Castro-Cossio, 94, Li-Zhang, 99, Liu-Li, 03], now f does not satisfy (PS) . So we can not apply Morse theory to f .

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The Pf is based on the following observation:

- (i) Since $(0, p_\infty), (p_\infty, 0) \notin \Sigma_2$, the Fučik spectrum, f_\pm does satisfy (PS). This will produce two critical points u_\pm of mountain pass type,

$$C_q(f, u_\pm) \cong \delta_{q,1}G.$$

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$$\varphi : X^- = \text{span} \{ \phi_1, \dots, \phi_l \} \rightarrow \mathbb{R},$$

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Lem 14. If (E_+) in Pro 4 holds, and v is a critical point of φ , then $C_q(\varphi, v) \cong C_q(f, v + \psi(v))$.

Pf of Thm 13. First note that

$$C_q(f, 0) \cong \delta_{q,0}G, \quad C_q(f, u_{\pm}) \cong \delta_{q,1}G.$$

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Since φ is anti-coercive and $l = \dim X^- < \infty$, we deduce

- (i) φ attains its maximum at $v \in X^-$, so $C_q(\varphi, v) \cong \delta_{q,l}G$.
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If φ has no critical points **other than θ, v_+, v_- and v** , the Morse inequality (1) becomes

$$(-1)^0 + 2 \times (-1)^1 + (-1)^{\ell} = (-1)^{\ell}, \quad \text{impossible!}$$

Therefore φ , and hence f , has at least 5 critical points. ■

Next, we consider the case that 0 is not a local min of f .

[Li-Willem, 98] obtained 3 solutions of (12) assume $p \in C^1(\Omega \times \mathbb{R}, \mathbb{R})$, $|p(x, t) - \lambda_\ell t| \leq c(1 + |t|^\alpha)$ for some $\alpha \in [0, 1)$.

$$\lim_{|t| \rightarrow 0} \frac{p(x, t)}{t} = p_0,$$

$$\lim_{|t| \rightarrow \infty} \frac{p(x, t)}{t} = \lambda_\ell,$$

$$\frac{\partial p(x, t)}{\partial t} \geq \gamma > \lambda_{\ell-1},$$

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These conditions imply (PS), and Morse theory is applied.

We improve their result. Assume

(p_*) $p \in C(\Omega \times \mathbb{R}, \mathbb{R})$, $\exists \Lambda > 0$ s.t. $|p(x, t)| \leq \Lambda |t|$.

(p_0) $\exists \delta > 0$ and $k \geq \ell$, $\lambda_k t^2 \leq 2P(x, t) \leq \lambda_{k+1} t^2$ for $|t| \leq \delta$.

(p_1) $\exists \gamma > \lambda_{\ell-1}$ such that

$$\frac{p(x, t) - p(x, s)}{t - s} \geq \gamma, \quad \lim_{|t| \rightarrow \infty} \left\{ P(x, t) - \frac{\lambda_\ell}{2} t^2 \right\} = -\infty. \quad (13)$$

Thm 15 (P Roy Soc Edinb, 07). Assume (p_*) , (p_0) and (p_1) , then (12) has 3 solutions.

Unlike [Li-Willem, 98] here the functional $f : H_0^1(\Omega) \rightarrow \mathbb{R}$,

$$f(u) = \frac{1}{2} \int_{\Omega} |\nabla u|^2 dx - \int_{\Omega} P(x, u) dx$$

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By (14), one considers the L-S reduction $\varphi : X^- \rightarrow \mathbb{R}$. Since $\dim X^- < \infty$, it is easy to verify that φ is anti-coercive thus satisfies (PS).

Our situation is more delicate, because the reduced functional is defined on an **infinite dim** subspace.

Pf of Thm 15. Let X^+ be the $'-'$ -space of A_ℓ and $X^- = (X^+)^\perp$. Then $X = X^- \oplus X^+$, for $v \in X^-$ and $w_1, w_2 \in X^+$, we have

$$-\langle \nabla f(v + w_1) - \nabla f(v + w_2), w_1 - w_2 \rangle \geq \left(\frac{\gamma}{\lambda_{\ell-1}} - 1 \right) \|w_1 - w_2\|^2.$$

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$$\lim_{\|v\| \rightarrow \infty} \varphi(v) = +\infty. \quad (15)$$

Naturally, one picks $\{v_n\} \subset X^-$ such that $\|v_n\| \rightarrow \infty$. Then $\{\|v_n\|^{-1} v_n\}$ is bounded and converges weakly up to a subsequence. But **$\dim X^- = \infty$** , **the weak limit may be 0**. This makes it difficult to show (15).

We consider $f_1 = f|_{X^-}$, then $\nabla f_1 = P_{X^-} \nabla f$, for $v, \phi \in X^-$

$$\langle \nabla f_1(v), \phi \rangle = \langle \nabla f(v), \phi \rangle = \int_{\Omega} \nabla v \nabla \phi \, dx - \int_{\Omega} p(x, v) \phi \, dx.$$

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So φ is coercive. But $\nabla \varphi = 1$ - comp, so φ satisfies (PS).

Using (p_0) , φ has a **local linking** at 0.

By the **three critical points theorem**, φ has 3 critical points, and f also has 3 critical points. ■

The Pf of Clm 16 is based on

Lem 17. Let $\{v_n\} \subset X^-$ such that $\nabla f_1(v_n) \rightarrow 0$ and $\|v_n\| \rightarrow \infty$. Let $v_n^0 = \|v_n\|^{-1} v_n$. Then $\exists v \neq 0$, up to a subsequence $v_n^0 \rightarrow v$.

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$$\begin{aligned} \|v_n\| &\geq \langle \nabla f_1(v_n), v_n \rangle \\ &= \int_{\Omega} \nabla v_n \cdot \nabla v_n dx - \int_{\Omega} p(x, v_n) v_n dx \\ &\geq \int_{\Omega} |\nabla v_n|^2 dx - \Lambda \int_{\Omega} v_n^2 dx = \|v_n\|^2 - \Lambda |v_n|_2^2. \quad (\text{n large}) \end{aligned}$$

The Pf of Clm 16 is based on

Lem 17. Let $\{v_n\} \subset X^-$ such that $\nabla f_1(v_n) \rightarrow 0$ and $\|v_n\| \rightarrow \infty$. Let $v_n^0 = \|v_n\|^{-1} v_n$. Then $\exists v \neq 0$, up to a subsequence $v_n^0 \rightarrow v$.

Pf. Assume $v_n^0 \rightarrow v$. Then $v_n^0 \rightarrow v$ in $L^2(\Omega)$. Since $|p(x, t)| \leq \Lambda |t|$, $\nabla f_1(v_n) \rightarrow 0$, we deduce

$$\begin{aligned} \|v_n\| &\geq \langle \nabla f_1(v_n), v_n \rangle \\ &= \int_{\Omega} \nabla v_n \cdot \nabla v_n dx - \int_{\Omega} p(x, v_n) v_n dx \\ &\geq \int_{\Omega} |\nabla v_n|^2 dx - \Lambda \int_{\Omega} v_n^2 dx = \|v_n\|^2 - \Lambda |v_n|_2^2. \quad (\text{n large}) \end{aligned}$$

So $\|v_n\|^{-1} \geq 1 - \Lambda |v_n^0|_2^2$. Let $n \rightarrow \infty$, we get $|v|_2^2 \geq \Lambda^{-1}$. ■

That f_1 satisfies (PS) follows from Lem 17 and (13).

Thank you!

谢谢!

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Contents

1	Morse theory	2
2	L-S reduction and critical groups	4
3	Reduction, homotopy and Alexander duality	8
3.1	Proof of Thm 8 (i)	10
3.2	Proof of Thm 8 (ii)	11
4	Multiple solutions of elliptic BVP	14