

Periodic Waves in Fractional KdV Equation

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Fractional Korteweg de Vries Equation

The fractional KdV is a popular model for dynamics of waves in shallow fluids:

$$u_t + 2uu_x - (D^\alpha u)_x = 0,$$

where the fractional derivative operator D_α is defined by

$$\widehat{D^\alpha u}(\xi) = |\xi|^\alpha \hat{u}(\xi), \quad \xi \in \mathbb{R}.$$

Integrable cases: Benjamin–Ono equation ($\alpha = 1$) and KdV equation ($\alpha = 2$).

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Here we consider 2π -periodic solutions on $\mathbb{T} := (-\pi, \pi)$, so that $\xi \in \mathbb{Z}$.

- 1 Positivity of periodic travelling wave solution
- 2 Convergence of Petviashvili method for fixed-point iterations
- 3 New variational formulation of periodic wave solutions

Background

- Well-posedness in Sobolev spaces:
 - F. Linares, D. Pilod, J.C. Saut (2014)
 - L. Molinet, D. Pilod, S. Vento (2018)
- Existence and modulation stability of periodic waves by using
 - perturbative methods in M. Johnson (2013),
 - variational methods in H. Chen, J. Bona (2013), V.Hur, M. Johnson (2015)
 - fixed-point methods in H. Chen (2004)
- Existence and stability of solitary waves in J. Angulo (2018):
 - stable for $\frac{1}{2} < \alpha \leq 2$
 - unstable for $\frac{1}{3} < \alpha < \frac{1}{2}$
- Convergence of Petviashvili's method near periodic waves in
 - J. Alvarez, A. Duran (2017)
 - D. Clamond, D. Dutykh (2018)

Stationary equations for periodic waves

The right propagating, periodic travelling wave solution takes the form

$$u(x, t) = \psi(x - ct), \quad c > 0.$$

Integrating the equation with zero constant yields the boundary value problem

$$(c + D^\alpha)\psi = \psi^2, \quad \psi \in H_{per}^\alpha(-\pi, \pi).$$

Advantage: $c + D^\alpha$ is positive (useful for fixed-point iterations).

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The left propagating wave $u(x, t) = \phi(x + ct)$ with same $c > 0$ is related to ψ by

$$\phi(x) = \psi(x) - c,$$

and satisfies the boundary value problem

$$(c - D^\alpha)\phi + \phi^2 = 0, \quad \phi \in H_{per}^\alpha(-\pi, \pi).$$

Advantage: $c - D^\alpha$ may vanish (useful for local bifurcation theory).

Stokes expansions of small-amplitude waves

Consider the BVP as a bifurcation problem:

$$(c - D^\alpha)\phi + \phi^2 = 0, \quad \phi \in H_{per}^\alpha(-\pi, \pi),$$

with $\sigma(c - D^\alpha) = \{c, c - 1, c - 2^\alpha, c - 3^\alpha, \dots\}$.

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Theorem. For every $\alpha > \frac{1}{2}$, there exists a locally unique even solution ϕ bifurcating from zero solution. The wave profile ϕ and the wave speed c are real analytic in wave amplitude a and satisfy the following Stokes expansions

$$\begin{aligned}\phi &= a \cos(x) + a^2 \phi_2(x) + a^3 \phi_3(x) + \mathcal{O}(a^4), \\ c &= 1 + c_2 a^2 + \mathcal{O}(a^4).\end{aligned}$$

with

$$\phi_2(x) = -\frac{1}{2} + \frac{1}{2(2^\alpha - 1)} \cos(2x) \quad \text{and} \quad c_2 = 1 - \frac{1}{2(2^\alpha - 1)}.$$

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Note **the threshold behavior**: $c_2 > 0$ for $\alpha > \alpha_0$ and $c_2 < 0$ for $\alpha < \alpha_0$, where $\alpha_0 \approx 0.585$.

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Positivity of ψ

ϕ is not positive. Recall the relation between ψ and ϕ

$$\psi(x) = \phi(x) + c, \quad x \in [-\pi, \pi].$$

Since $c \approx 1$ and $\phi \approx 0$, then ψ is positive.

In the integrable cases, ψ remains positive for every $c > 1$, e.g.

$$\alpha = 1 : \quad \psi(x) = \frac{\sinh \gamma}{\cosh \gamma - \cos x}, \quad c = \coth \gamma.$$

Question: Is ψ positive for every $c > 1$ if $\alpha > \alpha_0$?

Main result on positivity of ψ

Theorem (Le-P, 2019)

For every $c > 1$ and $\alpha \in (\alpha_0, 2]$, there exists an even single-lobe solution $\psi \in H_{per}^\alpha(-\pi, \pi)$ to the BVP

$$(c + D_\alpha)\psi = \psi^2.$$

such that $\psi(x) > 0$ on $[-\pi, \pi]$.

We say the periodic wave has **single-lobe profile** if there is only one maximum and minimum of ψ on the period.

Small-amplitude waves bifurcating from zero at $c = 1$ are single-lobe solutions.

Proof of positivity of ψ : Step 1

Green's function for $c + D^\alpha$ is obtained from the solution of

$$(c + D^\alpha)\varphi(x) = h, \quad h \in L^2_{per}(-\pi, \pi),$$

in the convolution form

$$\varphi(x) = \int_{-\pi}^{\pi} G(x-s)h(s)ds$$

or in Fourier form,

$$G_{c,\alpha}(x) = \frac{1}{2\pi} \sum_{n \in \mathbb{Z}} \frac{e^{inx}}{c + |n|^\alpha} \Rightarrow \|G_{c,\alpha}\|_{L^2_{per}} \leq M_{c,\alpha}, \quad \alpha > 1/2.$$

For $\alpha \leq 2$, the Greens function is strictly positive:

$$G_{c,\alpha}(x) \geq m_{c,\alpha},$$

Nieto (2010) for $\alpha \in (0, 1)$; Bai-Lu (2005) for $\alpha \in (1, 2)$.

Proof of positivity of ψ : Step 2

Operator A in the positive cone

From the BVP

$$(c + D^\alpha)\psi = \psi^2,$$

we define the nonlinear operator

$$A_{c,\alpha}(\psi) := (c + D^\alpha)^{-1}\psi^2 \Rightarrow A_{c,\alpha}(\psi)(x) = \int_{-\pi}^{\pi} G_{c,\alpha}(x-s)\psi(s)^2 ds,$$

and the positive cone in $L^2_{per}(-\pi, \pi)$

$$P_{c,\alpha} := \left\{ \psi \in L^2_{per}(-\pi, \pi) : \psi(x) \geq \frac{m_{c,\alpha}}{M_{c,\alpha}} \|\psi\|_{L^2_{per}}, x \in [-\pi, \pi] \right\}.$$

- i) $A_{c,\alpha}$ is bounded and continuous in $L^2_{per}(-\pi, \pi)$ (Young's inequality),
- ii) $A_{c,\alpha}$ is compact as it is a limit of compact operators $A_{c,\alpha}^{(N)}$, where $A_{c,\alpha}^{(N)}$ are given by $2N + 1$ Fourier coefficients.
- iii) $A_{c,\alpha}(\psi)$ is closed in $P_{c,\alpha}$: $A_{c,\alpha}(\psi) \geq m_{c,\alpha} \|\psi\|_{L^2_{per}}^2 \geq \frac{m_{c,\alpha}}{M_{c,\alpha}} \|A_{c,\alpha}(\psi)\|_{L^2_{per}}$.

Proof of positivity of ψ : Step 3

3) Existence of fixed point in the cone

Let

$$B_r := \{\psi \in L^2_{per}(-\pi, \pi) : \|\psi\|_{L^2_{per}} < r\}$$

By Krasnoselskii's fixed point theorem if there exists r_- and r_+ such that

$$\|A_{c,\alpha}(\psi)\|_{L^2_{per}} < \|\psi\|_{L^2_{per}}, \quad \psi \in P_{c,\alpha} \cap \partial B_{r_-}$$

$$\|A_{c,\alpha}(\psi)\|_{L^2_{per}} > \|\psi\|_{L^2_{per}}, \quad \psi \in P_{c,\alpha} \cap \partial B_{r_+}$$

then, $A_{c,\alpha}$ has fixed point in $P_{c,\alpha}$.

- r_- is small enough so that $r_- M_{c,\alpha} < 1$
- r_+ is large enough so that $\sqrt{2\pi} r_+ m_{c,\alpha} > 1$
- $r_- < r_+$ because $\sqrt{2\pi} m_{c,\alpha} \leq M_{c,\alpha}$.

By bootstrapping argument, if $\psi \in L^2_{per}$, then $\psi \in H^\infty_{per}$.

Remark: The positive fixed point may not be single-lobe since the constant solution $\psi = c$ is always a positive fixed point of $A_{c,\alpha}$ in $P_{c,\alpha}$ for every $c > 0$.

Proof of positivity of ψ : Step 4

4) Distinguishing ψ from constant fixed point

Definition (Leray-Schauder index)

The Leray-Schauder index of the fixed point ψ is defined as $(-1)^N$, where N is the number of unstable eigenvalues of $A'_{c,\alpha}(\psi)$ outside the unit disk with the account of the multiplicities.

For the constant solution $\psi = c$, the linearized operator

$$A'_{c,\alpha}(c) = 2c(c + D^\alpha)^{-1} : L^2_{per} \rightarrow L^2_{per}$$

in the space of even functions has $N = k + 1$ unstable eigenvalues outside the unit disk for $c \in (k^\alpha, (k + 1)^\alpha)$ with $k \in \mathbb{N}$. The index of the constant solution changes sign every time c crosses the resonance at k^α , $k \in \mathbb{N}$.

Number of unstable eigenvalues along solution branches

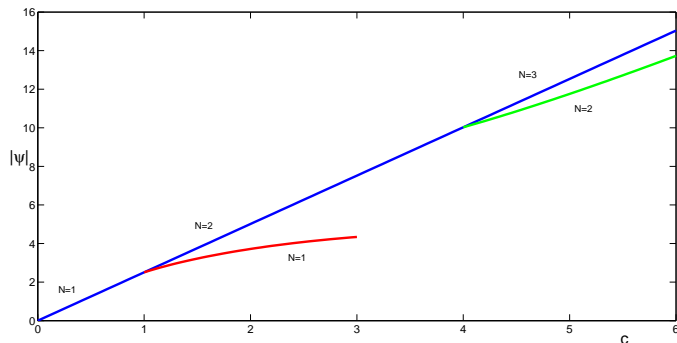


Figure: Schematic representation of bifurcations from the constant fixed point $\psi = c$. Here $\alpha = 2$.

No bifurcations along the single-lobe solutions

Positive single-lobe fixed point ψ bifurcates for $c > 1$ if $\alpha > \alpha_0$. The linearized operator at ψ is given by

$$A'_{c,\alpha}(\psi) = 2(c + D^\alpha)^{-1}\psi = Id - (c + D^\alpha)^{-1}\mathcal{H}_{c,\alpha}.$$

where $\mathcal{H}_{c,\alpha} := c + D^\alpha - 2\psi$ is the linearization of the fractional KdV.

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Lemma

$N = 1$ is true for every $c > 1$ along the branch of single-lobe solutions.

- For $c \gtrsim 1$, this can be shown by the perturbative argument (if $\alpha > \alpha_0$).
- For other $c > 1$, we rely on the result of V.Hur and M.Johson (2015), $\text{Ker}(\mathcal{H}_{c,\alpha}) = \text{span}(\partial_x \psi) \Rightarrow$ if $N = 1$ for $c \gtrsim 1$, then $N = 1$ for $c > 1$.

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Petviashvili method for fixed point iterations

Recall the stationary equation for ψ :

$$(c + D^\alpha)\psi = \psi^2, \quad \Rightarrow \quad \psi = A_{c,\alpha}(\psi) := (c + D^\alpha)^{-1}\psi^2.$$

However, the linearized operator

$$A'_{c,\alpha}(\psi) = 2(c - D_\alpha)^{-1}\psi$$

always has $N = 1$ unstable eigenvalue outside the unit disk.

\Rightarrow Fixed-point iterations diverge from the single-lobe periodic waves.

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V. Petviashvili (1976) introduced a stabilizing factor in the fixed-point iterations:

$$w_{n+1} = T_{c,\alpha}(w_n) := [M_{c,\alpha}(w_n)]^2 (c + D^\alpha)^{-1}(w_n^2), \quad n \in \mathbb{N},$$

where

$$M_{c,\alpha}(w) := \frac{\langle (c + D^\alpha)w, w \rangle}{\langle w^2, w \rangle}, \quad w \in H_{per}^\alpha(-\pi, \pi).$$

If $w = \psi$, then $M_{c,\alpha}(\psi) = 1$ and $T_{c,\alpha}(\psi) = \psi$.

Main results on convergence of fixed-point iterations

Theorem (Le-P, 2019)

For every $c > 1$ and $\alpha \in (\alpha_0, 2]$, the single-lobe solution $\psi \in H_{per}^\alpha$ to

$$(c + D^\alpha)\psi = \psi^2,$$

is an asymptotically stable fixed point of $T_{c,\alpha}$.

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Question: Does the Petviashvili's method converge for sign-indefinite wave such as ϕ satisfying $(c - D^\alpha)\phi + \phi^2 = 0$?

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Answer:

- i) ϕ is an unstable fixed point of $T_{c,\alpha}$ for $\alpha \in (\alpha_0, \alpha_1)$, where $\alpha_1 \approx 1.322$
- ii) ϕ is an asymptotically stable fixed point for $\alpha \in (\alpha_1, 2]$ if $c \gtrsim 1$ and is unstable if $c > 1$ is large enough.

Proof of convergence

Consider again the linearized fixed-point iterations:

$$\begin{aligned}A'_{c,\alpha}(\phi) &:= 2(-c + D^\alpha)^{-1}\phi = Id - (-c + D^\alpha)^{-1}\mathcal{H}_{c,\alpha}, \\ \mathcal{H}_{c,\alpha} &:= -c + D^\alpha - 2\phi.\end{aligned}$$

Spectrum of $A'_{c,\alpha}(\phi)$ is related to the spectrum of $(-c + D^\alpha)^{-1}\mathcal{H}_{c,\alpha}$:

$$\mathcal{H}_{c,\alpha}v = \lambda(-c + D^\alpha)v, \quad v \in H_{per}^\alpha(-\pi, \pi),$$

where both $\mathcal{H}_{c,\alpha}$ and $(-c + D^\alpha)$ are sign-indefinite.

Eigenvalues of $(-c + D^\alpha)^{-1}\mathcal{H}_{c,\alpha}$ are divided for $c \gtrsim 1$ into two sets $\{\sigma_1, \sigma_2\}$:

- 1) σ_1 contains sequence of eigenvalues near 1 and converging to 1, related to the subspace $L_{per}^2(-\pi, \pi) \setminus \{e^{ix}, e^{-ix}\}$,
- 2) σ_2 contains finite number of eigenvalues related to the subspace $\{e^{ix}, e^{-ix}\}$.

Small-amplitude periodic wave: $c \gtrsim 1$

Related to the subspace $\{e^{ix}, e^{-ix}\}$, we find $\sigma_2 = \{-1, 0, \lambda_1, \lambda_2\}$, where

$$\lambda_1 \rightarrow \frac{2^{\alpha+1} - 5}{2^{\alpha+1} - 3}, \quad \lambda_2 < 2, \quad \lambda_2 \rightarrow 2 \text{ as } c \rightarrow 1.$$

The eigenvalues $\{-1, 0\}$ are due to exact solutions:

$$\begin{aligned} (-c + D^\alpha)^{-1} \mathcal{H}_{c,\alpha} \phi &= -\phi, \\ (-c + D^\alpha)^{-1} \mathcal{H}_{c,\alpha} \phi' &= 0, \end{aligned} \quad \Rightarrow \quad \{-1, 0\} \subset \sigma_2.$$

for which

$$A'_{c,\alpha}(\phi) = Id - (-c + D^\alpha)^{-1} \mathcal{H}_{c,\alpha} \Rightarrow \{2, 1\} \subset \sigma(A'_{c,\alpha}(\phi)).$$

For $\alpha_0 \approx 0.585$ and $\alpha_1 \approx 1.322$

$$\lambda_1 < 0 \text{ if } \alpha \in (\alpha_0, \alpha_1), \quad \lambda_1 \in (0, 1) \text{ if } \alpha \in (\alpha_1, 2]$$

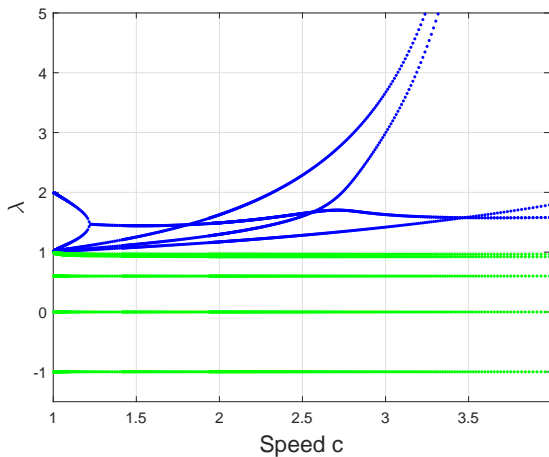


Figure: Eigenvalues of the operator $(-c + D^\alpha)^{-1} \mathcal{H}_{c,\alpha}$ for $\alpha = 2$ (KdV equation)

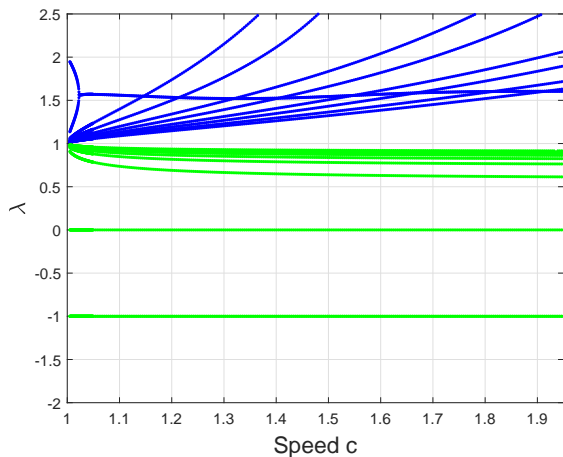


Figure: Eigenvalues of the operator $(-c + D^\alpha)^{-1}\mathcal{H}_{c,\alpha}$ for $\alpha = 1$ (Benjamin-Ono equation): Here $\lambda = -1$ is a double eigenvalue!

Convergence case for $(-c + D^\alpha)\phi = \phi^2$, $\alpha = 2$, $c = 2$

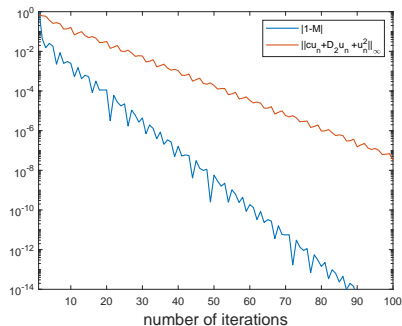
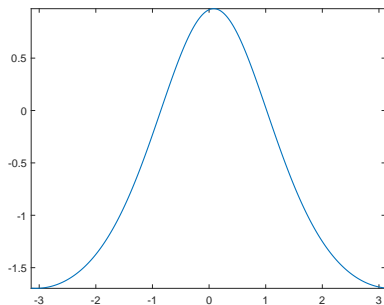


Figure: Iterations for $c = 2$ and $\alpha = 2$. Left) The last iteration versus x . (Right) Computational errors versus n .

Divergence case for $(-c + D^\alpha)\phi = \phi^2$, $\alpha = 1$, $c = 1.1$

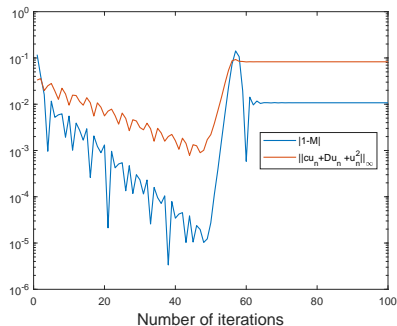
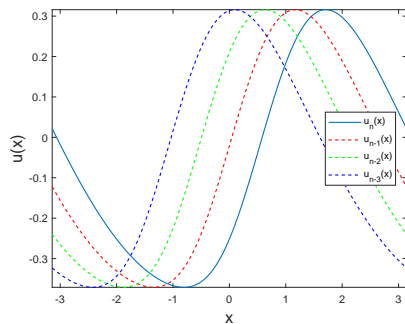


Figure: Iterations for $c = 1.1$ and $\alpha = 1$. (Left) The last four iterations versus x . (Right) Computational errors versus n .

Summary on convergence of Petviashvili's method

- Petviashvili's method does not converge well for left-propagating sign-indefinite periodic waves satisfying

$$(c - D^\alpha)\phi + \phi^2 = 0, \quad \phi \in H_{per}^\alpha(-\pi, \pi).$$

- Petviashvili's method converge unconditionally for right-propagating positive periodic waves satisfying

$$(c + D^\alpha)\psi = \psi^2, \quad \psi \in H_{per}^\alpha(-\pi, \pi).$$

where $\psi(x) = c + \phi(x)$. This is related to the fact that

$$A'_{c,\alpha} = 2(c + D^\alpha)^{-1}\psi$$

has only $N = 1$ unstable eigenvalue lying outside the unit disk.

Convergence case for $(c + D^\alpha)\psi = \psi^2$, $\alpha = 1$, $c = 1.6$

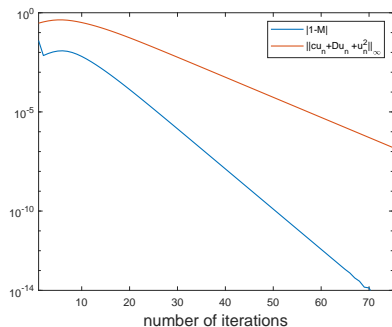
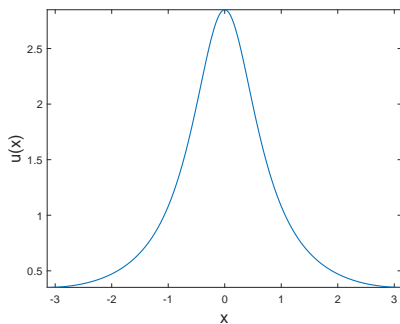


Figure: Iterations for $c = 1.6$ and $\alpha = 1$. (a) The last iteration versus x . (b) Computational errors versus n .

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Thanks to the Galilean transformation

$$\psi(x) = \frac{1}{2} \left(c - \sqrt{c^2 + 4b} \right) + \varphi(x),$$

the periodic wave φ is a solution to the stationary equation

$$(\omega + D^\alpha)\varphi - \varphi^2 = 0,$$

with only one parameter $\omega := \sqrt{c^2 + 4b}$.

Different formulations

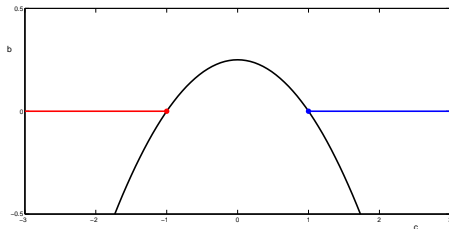
Stationary equation

$$(c + D^\alpha)\psi - \psi^2 + b = 0 \quad \Rightarrow \quad (\omega + D^\alpha)\varphi - \varphi^2 = 0.$$

admit two families of periodic wave solutions:

- ψ is obtained for $c > 1$ and $b = 0$
- ϕ is obtained for $c < -1$ and $b = 0$.

Obstacle on existence: When $\alpha < \alpha_0 \approx 0.585$, Stokes waves ψ bifurcate to $c < 1$ instead of $c > 1$ because $c = 1 + c_2 a^2 + \mathcal{O}(a^4)$ with $c_2 < 0$.



New formulation

Stationary equation

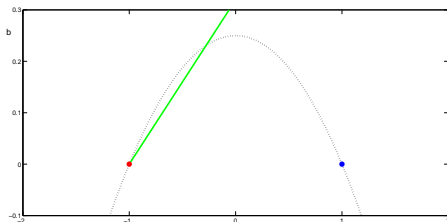
$$(c + D^\alpha)\psi - \psi^2 + b = 0 \quad \Rightarrow \quad (\omega + D^\alpha)\varphi - \varphi^2 = 0.$$

Let ψ has zero mean on \mathcal{T} so that $\psi = \varphi - \frac{1}{2\pi} \int_{-\pi}^{\pi} \varphi dx$. Then, b is defined by

$$b(c) := \frac{1}{2\pi} \int_{-\pi}^{\pi} \psi^2 dx.$$

No fold point appears for $\alpha < \alpha_0$:

$$c = -1 + \frac{1}{2(2^\alpha - 1)} a^2 + \mathcal{O}(a^4), \quad b(c) = \frac{1}{2} a^2 + \mathcal{O}(a^4).$$



Existence of periodic waves

Standard variational method: find minimizers of energy

$$E(u) = \frac{1}{2} \int_{-\pi}^{\pi} (D^{\frac{\alpha}{2}} u)^2 - \frac{1}{3} \int_{-\pi}^{\pi} u^3 dx,$$

subject to fixed momentum and mass

$$F(u) = \frac{1}{2} \int_{-\pi}^{\pi} u^2 dx, \quad M(u) = \int_{-\pi}^{\pi} u dx.$$

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$$F(u) = \frac{1}{2} \int_{-\pi}^{\pi} u^2 dx, \quad M(u) = \int_{-\pi}^{\pi} u dx.$$

New variational method: find minimizer of the quadratic energy

$$\mathcal{B}_c(u) := \frac{1}{2} \int_{-\pi}^{\pi} [(D^{\frac{\alpha}{2}} u)^2 + cu^2] dx$$

subject to fixed cubic energy and zero-mean constraint:

$$Y := \left\{ u \in H_{\text{per}}^{\frac{\alpha}{2}}(\mathbb{T}) : \int_{-\pi}^{\pi} u^3 dx = 1, \quad \int_{-\pi}^{\pi} u dx = 0 \right\}.$$

There exists a constrained minimizer $u_* \in Y$ for every $\alpha > 1/3$ and every $c > -1$.

Continuation of periodic waves: standard approach

Hessian operator for both variational problems is the same operator:

$$\mathcal{L} = D^\alpha + c - 2\psi : H_{\text{per}}^\alpha(\mathbb{T}) \subset L_{\text{per}}^2(\mathbb{T}) \rightarrow L_{\text{per}}^2(\mathbb{T}),$$

This operator enjoys Sturm's oscillation theory [Hur–Johnson, 2015] which yields

Lemma (Hur–Johnson, 2015)

Assume $\alpha \in (\frac{1}{3}, 2]$ and that $\psi \in H_{\text{per}}^\infty(\mathbb{T})$ be an even single-lobe periodic wave. If $\{1, \psi, \psi^2\} \in \text{Range}(\mathcal{L})$, then $\text{Ker}(\mathcal{L}) = \text{span}(\partial_x \psi)$.

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At the fold point for $\alpha < \alpha_0 \approx 0.585$, $\{1, \psi, \psi^2\} \in \text{Range}(\mathcal{L})$ is false.

As a result, $\dim \text{Ker}(\mathcal{L}) = 2$ at the fold point.

Since c and b are Lagrange multipliers in $G(u) = E(u) + cF(u) + bM(u)$, the periodic wave ψ may not be differentiable in c and b . As a result,

$$\mathcal{L}\partial_c \psi = -\psi, \quad \mathcal{L}\partial_b \psi = -1$$

may not follow from $(c + D^\alpha)\psi - \psi^2 + b = 0$.

Continuation of periodic waves: new approach

For the zero-mean periodic wave ψ with $b(c) = \frac{1}{2\pi} F(\psi)$, we verify:

$$\mathcal{L}\psi = -\psi^2 - b(c),$$

$$\mathcal{L}1 = -2\psi + c.$$

Theorem (Natali, Le, P, 2019)

If $\text{Ker}(\mathcal{L}|_{1^\perp}) = \text{span}(\partial_x \psi)$ at $c = c_0$, then the mapping $c \mapsto \psi$ is C^1 at $c = c_0$.

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Hence, we add the third equation:

$$\mathcal{L}\partial_c \psi = -\psi - b'(c), \quad \Rightarrow \quad \mathcal{L}(1 - 2\partial_c \psi) = c + 2b'(c).$$

Corollary

If $c + 2b'(c) \neq 0$, then $\text{Ker}(\mathcal{L}) = \text{span}(\partial_x \psi)$. If $c + 2b'(c) = 0$, then $\text{Ker}(\mathcal{L}) = \text{span}(\partial_x \psi, 1 - 2\partial_c \psi)$.

Stability of periodic waves: new approach

Since ψ is a minimizer of the new variational problem, we have:

$$\mathcal{L}|_{\{1, \psi^2\}^\perp} \geq 0,$$

which yields the exact formula for the number of negative eigenvalues of \mathcal{L} :

$$n(\mathcal{L}) = \begin{cases} 1, & c + 2b'(c) \geq 0, \\ 2, & c + 2b'(c) < 0. \end{cases}$$

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and the number of negative eigenvalues in the old variational problem:

$$n(\mathcal{L}|_{\{1, \psi\}^\perp}) = \begin{cases} 0, & b'(c) \geq 0, \\ 1, & b'(c) < 0. \end{cases}$$

Theorem (Natali, Le, P, 2019)

Assume $\text{Ker}(\mathcal{L}|_{1^\perp}) = \text{span}(\partial_x \psi)$ for $c \in (-1, \infty)$. The zero-mean periodic wave ψ is spectrally stable if $b'(c) > 0$ and is spectrally unstable if $b'(c) < 0$.

Summary

For the periodic waves in the fractional KdV equation satisfying

$$(c + D^\alpha)\psi - \psi^2 + b = 0,$$

we have showed the following:

- 1 $\psi > 0$ for $c > 1$, $b = 0$, and $\alpha > \alpha_0 \approx 0.585$
- 2 Petviashvili method diverges for ψ for $c < -1$, $b = 0$, and $\alpha > \alpha_0$
- 3 Periodic waves ψ with zero mean are obtained with a new variational problem with $b \neq 0$ for both $\alpha > \alpha_0$ and $\alpha < \alpha_0$.

Thank you! Questions???

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