

# 具 $p$ -双调和算子的非局部椭圆方程 Navier 边值问题的广义解

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**摘要:** 利用变分方法和相应的临界点定理研究一类具有  $p$ -双调和算子的非局部椭圆方程 Navier 边值问题, 在非线项满足超线性条件时, 得到了两个非平凡广义解的存在性定理.

**关键词:** 非局部椭圆方程; Navier 边值问题;  $p$ -双调和算子; 变分方法; 广义解

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## Generalized Solutions to Nonlocal Elliptic Equations Navier Boundary Value Problems with $p$ -Biharmonic Operators

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**Abstract:** By using variational methods and corresponding critical points theorems, we investigated a class of nonlocal elliptic equations Navier boundary value problems with  $p$ -biharmonic operators. We obtained two existence theorems for nontrivial generalized solutions when nonlinear terms satisfied super-linear conditions.

**Keywords:** nonlocal elliptic equation; Navier boundary value problem;  $p$ -biharmonic operator; variational method; generalized solution

### 0 引言

四阶非线性椭圆方程边值问题在微机电系统、多相系统的相场模型、固体表面扩散及界面动力学等领域应用广泛. Kirchhoff 型椭圆方程是带有非局部项的非线性方程, 该类方程的很多定性性质可解释物理学和工程学中许多非线性模型的物理意义<sup>[1]</sup>. 为研究拉伸弦的振动, Lions<sup>[2]</sup>建立了该类方程的抽象框架. 近年来, 利用变分方法结合临界点理论, 对非线性微分方程解的存在性及解存在数量的研究得到广泛关注<sup>[3-18]</sup>. 例如: 文献[4, 14]分别在一定的条件下研究了四阶脉冲弹性梁方程解的存在数量; 文献[5]在非线项满足一定的增长性条件下, 利用变分方法结合相应的临界点定理研究了一类 Kirchhoff 型四阶弹性梁方程两个非平凡广义解的存在性.

受上述研究启发, 本文研究下列具有  $p$ -双调和算子的 Kirchhoff 型椭圆方程 Navier 边值问题广义解的存在性:

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$$\begin{cases} \Delta_p^2 u + K \left( \int_{\Omega} \left( \frac{|\nabla u|^p}{p} + \frac{|u|^p}{p} \right) dt \right) (-\Delta_p u + |u|^{p-2} u) = \lambda f(x, u), & \text{在 } \Omega \text{ 内,} \\ u = \Delta u = 0, & \text{在 } \partial\Omega \text{ 上,} \end{cases} \quad (1)$$

其中  $\Omega$  是包含于  $\mathbb{R}^N$  ( $N \geq 1$ ) 的边界光滑的有界开区域,  $p > \max\left\{1, \frac{N}{2}\right\}$ ,  $\Delta_p^2 u = \Delta(|\Delta u|^{p-2} \Delta u)$  是  $p$ -双调和算子,  $\Delta_p u = \operatorname{div}(|\nabla u|^{p-2} \nabla u)$  是  $p$ -Laplace 算子,  $f \in C^0(\bar{\Omega} \times \mathbb{R})$ ,  $\lambda > 0$ ,  $K: [0, +\infty) \rightarrow \mathbb{R}$  是连续的, 且存在正数  $m_0, m_1$ , 使得对任意的  $x \geq 0$ , 均有  $m_0 \leq K(x) \leq m_1$ .

## 1 预备知识

令  $X = W_0^{1,p}(\Omega) \cap W^{2,p}(\Omega)$ , 其范数为

$$\|u\| := \left( \int_{\Omega} |\Delta u|^p dt \right)^{1/p}.$$

结合 Poincaré 不等式, 经计算可知,  $\|u\|$  与下列范数等价:

$$\|u\|_X = \left[ \int_{\Omega} (|\Delta u|^p + |\nabla u|^p + |u|^p) dt \right]^{1/p},$$

因此存在  $c_1 > 0$ , 使得  $\|u\|_X \leq c_1 \|u\|$ .

由于  $p > \frac{N}{2}$ , 所以嵌入  $X \hookrightarrow C^0(\bar{\Omega})$  是紧嵌入, 从而存在常数  $k > 0$ , 使得

$$\|u\|_{\infty} \leq k \|u\|, \quad (2)$$

其中  $\|u\|_{\infty} = \sup_{x \in \bar{\Omega}} |u(x)|$ .

定义泛函  $I_{\lambda}: X \rightarrow \mathbb{R}$ :

$$I_{\lambda}(u) = \Phi(u) - \lambda \Psi(u),$$

其中

$$\begin{aligned} \Phi(u) &= \int_{\Omega} \frac{|\Delta u|^p}{p} dx + \mathbb{K} \left( \int_{\Omega} \left( \frac{|\nabla u|^p}{p} + \frac{|u|^p}{p} \right) dx \right), \\ \mathbb{K}(u) &= \int_0^u K(x) dx, \quad \forall u > 0, \\ \Psi(u) &= \int_{\Omega} F(x, u) dx, \\ F(t, u) &= \int_0^u f(t, x) dx, \quad \forall (t, u) \in \Omega \times \mathbb{R}. \end{aligned} \quad (3)$$

经过简单计算可得:

**引理 1** 泛函  $\Phi, \Psi$  是连续 Gâteaux 可微的, 且对任意的  $u \in X$ , 有

$$\begin{aligned} \langle \Phi'(u), v \rangle &= \int_{\Omega} |\Delta u|^{p-2} \Delta u \Delta v dx + K \left( \int_{\Omega} \left( \frac{|\nabla u|^p}{p} + \frac{|u|^p}{p} \right) dx \right) \times \\ &\quad \left( \int_{\Omega} |\nabla u|^{p-2} \nabla u \nabla v dx + \int_{\Omega} |u|^{p-2} uv dx \right), \\ \langle \Psi'(u), v \rangle &= \int_{\Omega} f(x, u) v dx, \quad \forall v \in X. \end{aligned}$$

**定义 1**<sup>[19]</sup> 如果  $X$  是实自反 Banach 空间,  $I_{\lambda}$  是连续 Gâteaux 可微泛函, 对于  $\{u_n\} \subset X$ , 满足  $\{I_{\lambda}(u_n)\}$  有界, 且  $I'_{\lambda}(u_n) \rightarrow 0$  ( $n \rightarrow +\infty$ ),  $\{u_n\}$  在  $X$  中有收敛子列, 则称泛函  $I_{\lambda}$  满足 Palais-Smale 条件.

**引理 2**<sup>[20]</sup>  $X$  是实 Banach 空间,  $\Phi, \Psi: X \rightarrow \mathbb{R}$  是连续 Gâteaux 可微泛函,  $\Phi$  下方有界,  $\Phi(0) = \Psi(0) = 0$ . 取  $r > 0$ , 使得  $\sup_{\Phi(u) \leq r} \Psi(u) < +\infty$ , 若对任意的  $\lambda \in \left(0, \frac{r}{\sup_{\Phi(u) \leq r} \Psi(u)}\right)$ , 泛函  $\Phi - \lambda \Psi$  满足 Palais-Smale 条件, 且无下界, 则对任意的  $\lambda \in \left(0, \frac{r}{\sup_{\Phi(u) \leq r} \Psi(u)}\right)$ , 泛函  $\Phi - \lambda \Psi$  至少有两个不同的临界点.

**引理 3**<sup>[21]</sup>  $X$  是实 Banach 空间,  $\Phi, \Psi: X \rightarrow \mathbb{R}$  是连续 Gâteaux 可微泛函, 满足  $\inf_X \Phi = \Phi(0) = \Psi(0) = 0$ . 若存在  $r \in \mathbb{R}, \bar{u} \in X, 0 < \Phi(\bar{u}) < r$ , 使得

$$\frac{1}{r} \sup_{\Phi(u) \leq r} \Psi(u) < \frac{\Psi(\bar{u})}{\Phi(\bar{u})},$$

且对任意的  $\lambda \in \left( \frac{\Phi(\bar{u})}{\Psi(\bar{u})}, \frac{r}{\sup_{\Phi(u) \leq r} \Psi(u)} \right)$ , 泛函  $I_\lambda = \Phi - \lambda \Psi$  满足 Palais-Smale 条件, 并且无下界, 则对任意的  $\lambda \in \left( \frac{\Phi(\bar{u})}{\Psi(\bar{u})}, \frac{r}{\sup_{\Phi(x) \leq r} \Psi(u)} \right)$ , 泛函  $I_\lambda$  至少有两个非平凡临界点  $u_{\lambda,1}, u_{\lambda,2}$ , 且满足  $I_\lambda(u_{\lambda,1}) < 0 < I_\lambda(u_{\lambda,2})$ .

## 2 主要结果

**定理 1** 若存在  $\mu > \frac{pm_1}{m_0}$ , 使得

$$0 < \mu F(x, u) \leq f(x, u)u, \quad \forall x \in \Omega, \quad u \in \mathbb{R} \setminus \{0\},$$

则当  $\lambda \in \left( 0, \frac{c_a}{pk^p} \right)$  时, 方程(1)至少有两个广义解, 其中

$$c_a = \sup_{a > 0} \frac{a^p}{\int_{\Omega} \max_{|u| \leq a} F(x, u) dx}.$$

证明: 由条件  $K(x) \geq m_0 (\forall x \geq 0)$  可知,

$$\Phi(u) = \int_{\Omega} \frac{|\Delta u|^p}{p} dx + \mathbb{K} \left( \int_{\Omega} \left( \frac{|\nabla u|^p}{p} + \frac{|u|^p}{p} \right) dx \right) \geq \min \left\{ \frac{1}{p}, \frac{m_0}{p} \right\} \|u\|_X^2,$$

因此可知泛函  $\Phi$  有下界.

取  $\{u_n\} \subset X$ , 使得  $\{I_\lambda(u_n)\}$  有界, 且  $I'_\lambda(u_n) \rightarrow 0 (n \rightarrow +\infty)$ , 下面证明  $\{u_n\}$  在  $X$  中有界, 且泛函  $I_\lambda$  满足 Palais-Smale 条件. 事实上, 注意到  $\mu > \frac{pm_1}{m_0} > p$ , 有

$$\begin{aligned} \mu I_\lambda(u_n) - I'_\lambda(u_n)u_n &= \mu \int_{\Omega} \frac{|\Delta u_n|^p}{p} dx + \mu \mathbb{K} \left( \int_{\Omega} \left( \frac{|\nabla u_n|^p}{p} + \frac{|u_n|^p}{p} \right) dx \right) - \\ &\quad \lambda \mu \int_{\Omega} F(x, u_n) dx - \int_{\Omega} |\Delta u_n|^p dx - \mathbb{K} \left( \int_{\Omega} \left( \frac{|\nabla u_n|^p}{p} + \frac{|u_n|^p}{p} \right) dx \right) \times \\ &\quad \left( \int_{\Omega} |\nabla u_n|^p dx + \int_{\Omega} |u_n|^p dx \right) + \lambda \int_{\Omega} f(x, u_n)u_n dx \geq \\ &\quad \left( \frac{\mu}{p} - 1 \right) \int_{\Omega} |\Delta u_n|^p dx + \\ &\quad \left( \frac{\mu m_0}{p} - m_1 \right) \left( \int_{\Omega} |\nabla u_n|^p dx + \int_{\Omega} |u_n|^p dx \right) \geq \\ &\quad \left( \frac{\mu}{p} - 1 \right) \|u_n\|^p, \end{aligned}$$

这蕴含着  $\{u_n\}$  有界, 因此存在  $\{u_n\}$  的一个子列  $\{u_{n_k}\}$  弱收敛于  $X$  中某元素  $u$ , 则当  $k \rightarrow +\infty$  时, 有  $I'_\lambda(u)(u_{n_k} - u) \rightarrow 0$ , 从而可得

$$(I'_\lambda(u_{n_k}) - I'_\lambda(u))(u_{n_k} - u) \rightarrow 0, \quad k \rightarrow +\infty, \tag{4}$$

根据嵌入  $X \hookrightarrow C^0(\bar{\Omega})$  是紧嵌入可知  $\Psi'$  是紧算子, 于是有

$$\Psi'(u_{n_k}) - \Psi'(u) \rightarrow 0, \quad k \rightarrow +\infty. \tag{5}$$

注意到  $\Phi'$  是  $(S_+)$  型映射, 即若在  $X$  中  $u_n \rightharpoonup u, \overline{\lim}_{n \rightarrow \infty} \langle \Phi'(u_n) - \Phi'(u), u_n - u \rangle \leq 0$ , 则有  $\|u_n - u\| \rightarrow 0 (n \rightarrow +\infty)$ . 结合式(4), (5)以及  $\Phi' = I'_\lambda + \lambda \Psi'$  可知,

$$\langle \Phi'(u_n) - \Phi'(u), u_{n_k} - u \rangle \rightarrow 0, \quad k \rightarrow +\infty,$$

因此, 结合  $\Phi'$  是  $(S_+)$  型映射, 可知  $\|u_{n_k} - u\| \rightarrow 0 (k \rightarrow +\infty)$ , 所以泛函  $I_\lambda$  满足 Palais-Smale 条件.

下面证明泛函  $I_\lambda$  无下界. 注意到  $\forall t \in \Omega, u \in \mathbb{R} \setminus \{0\}, 0 < \mu(t, u) \leq f(t, u)u$ , 因此存在正常数  $\bar{\alpha}, \bar{\beta}$ , 使得

$$F(t, u) \geq \bar{\alpha}|u|^\mu - \bar{\beta}, \quad u \in \mathbb{R} \setminus \{0\}.$$

选取  $\rho_n(t) = \xi_n \in \mathbb{R}^N$ , 则有  $\rho_n(t) \in X$  及

$$I_\lambda(\rho_n) = I_\lambda(\xi_n) = \mathbb{K} \left( \int_\Omega \frac{|\xi_n|^p}{p} dx \right) - \lambda \int_\Omega F(x, \xi_n) dx \leq \left( \frac{m_1}{p} |\xi_n|^p - \lambda \bar{\alpha} |\xi_n|^\mu + \lambda \bar{\beta} \right) |\Omega|.$$

结合  $\mu > \frac{pm_1}{m_0} > p$ , 可得  $I_\lambda(\rho_n) \rightarrow -\infty (|\rho_n| \rightarrow +\infty)$ , 从而可知泛函  $I_\lambda$  无下界.

固定  $r > 0$ , 根据式(2), (3), 对满足条件  $\Phi(u) \leq r$  的任意  $u \in X$ , 有

$$\|u\| \leq (pr)^{1/p}, \quad \|u\|_\infty \leq k \|u\| \leq k(pr)^{1/p} := \alpha,$$

以及

$$\sup_{\Phi(u) \leq r} \Psi(u) = \sup_{\Phi(u) \leq r} \int_\Omega F(x, u) dx \leq \int_\Omega \max_{|u| \leq \alpha} F(x, u) dx < +\infty.$$

取  $c_\alpha = \sup_{\alpha > 0} \frac{\alpha^p}{\int_\Omega \max_{|u| \leq \alpha} F(x, u) dx}$ , 根据引理 3 可知, 对任意的  $\lambda \in \left(0, \frac{c_\alpha}{pk^p}\right)$ , 泛函  $K_\lambda$  至少有两个不同的临界点, 其中一个可能是零, 因此可知方程(1) 至少存在一个非平凡广义解.

**注 1** 注意到  $F(t, u) = \int_0^u f(t, \xi) d\xi$ , 对于  $u$  是连续的, 则定理 1 中的条件可以被替换为下列条件:

(H) 存在  $\mu > \frac{pm_1}{m_0}, m > 0$ , 使得  $0 < \mu F(t, u) \leq f(t, u)u, \forall x \in \Omega, |u| \geq m$ .

**定理 2** 若条件(H)成立,  $\forall (x, \xi) \in B(\bar{x}, d) \times [0, \delta], F(x, \xi) \geq 0$ , 且存在正常数  $c_\delta, \alpha$ , 满足  $\alpha > kc_1 \sqrt[p]{c_\delta(1+m_1)}$ , 使得  $\lambda_1 < \lambda_2$ , 其中

$$c_\delta = \left(\frac{4\delta}{d^2}\right)^p \frac{(N+5)^{2p}}{(N+2)^p} \frac{\pi^{N/2}}{\Gamma(1+N/2)} \left[ d^N - \left(\frac{d}{2}\right)^N \right],$$

$$\lambda_1 = \frac{pk^p}{\alpha^p} \int_\Omega \max_{|t| \leq \alpha} F(x, t) dx, \quad \lambda_2 = \frac{p \int_{B(\bar{x}, d/2)} F(x, \delta) dx}{c_1^p c_\delta (1+m_1)}.$$

则对任意的  $\lambda \in \left(\frac{1}{\lambda_2}, \frac{1}{\lambda_1}\right)$ , 泛函  $K_\lambda$  至少有两个非平凡的临界点, 即方程(1) 至少存在两个非平凡广义解.

证明: 取  $d = \sup_{x \in \Omega} \delta(x)$ , 其中  $\delta(x) = \sup\{\delta > 0: B(x, \delta) \subseteq \Omega\}, \forall x \in \Omega$ , 则存在  $\bar{x} \in \Omega$ , 使得  $B(\bar{x}, d) \subseteq \Omega$ . 选取

$$\bar{u}(x) = \begin{cases} 0, & x \in \bar{\Omega} \setminus B(\bar{x}, d), \\ \frac{16\delta}{d^4}(l^4 - 2dl^3 + d^2l^2), & x \in B(\bar{x}, d) \setminus B(\bar{x}, d/2), \\ \delta, & x \in B(\bar{x}, d/2), \end{cases}$$

其中  $l = |x - \bar{x}|$  表示  $x$  和  $\bar{x}$  之间的距离.

直接计算可得

$$\Delta \bar{u}(x) = \sum_{i=1}^N \frac{\partial^2 \bar{u}(x)}{\partial x_i^2} = \begin{cases} 0, & x \in \bar{\Omega} \setminus B(\bar{x}, d), \\ \frac{32\delta}{d^4} [2(N+2)l^2 - 3d(N+1)l + d^2N], & x \in B(\bar{x}, d) \setminus B(\bar{x}, d/2), \\ 0, & x \in B(\bar{x}, d/2), \end{cases}$$

因此

$$\Phi(\bar{u}) = \int_\Omega \frac{|\Delta \bar{u}|^p}{p} dx + \mathbb{K} \left( \int_\Omega \left( \frac{|\nabla \bar{u}|^p}{p} + \frac{|\bar{u}|^p}{p} \right) dx \right) \leq$$

$$\begin{aligned}
& \frac{1}{p} \int_{\Omega} |\Delta \bar{u}|^p dx + \frac{m_1}{p} \int_{\Omega} (|\nabla \bar{u}|^p + |\bar{u}|^p) dx \leq \\
& \max\left\{\frac{1}{p}, \frac{m_1}{p}\right\} \|\bar{u}\|_{\frac{p}{p-1}}^p \leq c_1^p \max\left\{\frac{1}{p}, \frac{m_1}{p}\right\} \|\bar{u}\|_p^p \leq \\
& \frac{c_1^p(1+m_1)}{p} \left(\frac{32\delta}{d^4}\right)^p \int_{B(\bar{x}, d) \setminus B(\bar{x}, d/2)} |2(N+2)l^2 - 3d(N+1)l + d^2N|^p dx = \\
& |B(0, 1)| \frac{Nc_1^p(1+m_1)}{p} \left(\frac{32\delta}{d^4}\right)^p \int_{d/2}^d |2(N+2)r^2 - 3d(N+1)r + d^2N|^p r^{N-1} dr \leq \\
& \frac{c_1^p(1+m_1)}{p} \left(\frac{4\delta}{d^2}\right)^p \frac{(N+5)^{2p}}{(N+2)^p} |B(0, 1)| \left[d^N - \left(\frac{d}{2}\right)^N\right] = \\
& \frac{c_1^p(1+m_1)}{p} \left(\frac{4\delta}{d^2}\right)^p \frac{(N+5)^{2p}}{(N+2)^p} \frac{\pi^{N/2}}{\Gamma(1+N/2)} \left[d^N - \left(\frac{d}{2}\right)^N\right] = \\
& \frac{c_1^p(1+m_1)}{p} c_{\delta}, \tag{6}
\end{aligned}$$

其中  $|B(0, 1)| = \frac{\pi^{N/2}}{\Gamma(1+N/2)}$  表示  $N$  维单位球的体积,  $\Gamma(x)$  表示 Gamma 函数.

根据  $\alpha > kc_1 \sqrt[p]{c_{\delta}(1+m_1)}$ , 可得

$$0 < \Phi(\bar{u}) \leq \frac{c_1^p(1+m_1)}{p} c_{\delta} < \frac{\alpha^p}{pk^p} := r.$$

对于任意满足  $\Phi(u) \leq r$  的  $u \in X$ , 有

$$\begin{aligned}
& \|u\| \leq (pr)^{1/p}, \quad \|u\|_{u_{\infty}} \leq k \|u\| \leq k(pr)^{1/p} = \alpha, \\
& \Psi(u) = \int_{\Omega} F(x, u) dx \leq \int_{\Omega} \max_{|t| \leq \alpha} F(x, t) dx, \\
& \frac{\sup_{\Phi(u) \leq r} \Psi(u)}{r} \leq \frac{\int_{\Omega} \max_{|t| \leq \alpha} F(x, t) dx}{r} = \frac{pk^p}{\alpha^p} \int_{\Omega} \max_{|t| \leq \alpha} F(x, t) dx. \tag{7}
\end{aligned}$$

注意到

$$\max_{l \in [d/2, d]} (l^4 - 2dl^3 + d^2l^2) = \frac{d^4}{16},$$

则有  $0 \leq \bar{u}(x) \leq \delta$ , 结合条件  $F(x, \xi) \geq 0 (\forall (x, \xi) \in B(\bar{x}, d) \times [0, \delta])$ , 可知

$$\Psi(\bar{u}) = \int_{\Omega} F(x, \bar{u}(x)) dx \geq \int_{B(\bar{x}, d/2)} F(x, \delta) dx, \tag{8}$$

再结合式(6)~(8)可得

$$\frac{\sup_{\Phi(u) \leq r} \Psi(u)}{r} \leq \frac{pk^p}{\alpha^p} \int_{\Omega} \max_{|t| \leq \alpha} F(x, t) dx = \lambda_1 < \frac{p \int_{B(\bar{x}, d/2)} F(x, \delta) dx}{c_1^p c_{\delta} (1+m_1)} = \lambda_2 \leq \frac{\Psi(\bar{u})}{\Phi(\bar{u})},$$

从而引理 3 的条件均满足, 则对任意的  $\lambda \in \left(\frac{1}{\lambda_2}, \frac{1}{\lambda_1}\right)$ , 泛函  $K_{\lambda}$  至少有两个非平凡的临界点, 即方程(1)至少存在两个非平凡广义解.

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