

STABLE STEADY STATES AND SELF-SIMILAR BLOW UP SOLUTIONS  
FOR THE RELATIVISTIC GRAVITATIONAL VLASOV- POISSON SYSTEM

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## OUTLINE

Consider the relativistic gravitational Vlasov-Poisson system (RVP) :

$$\partial_t f + \frac{v}{\sqrt{1 + |v|^2}} \cdot \nabla_x f - \nabla_x \phi_f \cdot \nabla_v f = 0, \quad f(t = 0, x, v) = f_0(x, v),$$

$$\phi_f(t, y) = -\frac{1}{4\pi} \int_{\mathbb{R}^3} \frac{1}{|x - y|} \rho_f(t, y) dy, \quad \rho_f(t, x) = \int_{\mathbb{R}^3} f(t, x, v) dv.$$

We present two different types of solutions for this system :

- ▮▮▮▮ ➔ **stable steady states** in a **subcritical** regime (first part of the talk) ;
- ▮▮▮▮ ➔ **self-similar blow-up solutions** in a **supercritical** regime (second part of the talk).

N.B. In all this talk, we shall implicitly consider spherically symmetric solutions.

## INVARIANTS OF THE FLOW AND ENERGY SPACE

The following quantities are independent of time :

⇒  $\|f(t)\|_{L^q}$  for all  $q \in [1, \infty]$ , and more generally all  $\|j(f)\|_{L^1}$

$$\Rightarrow \mathcal{H}(f) = \int_{\mathbb{R}^6} \left( \sqrt{1 + |v|^2} - 1 \right) f(t, x, v) dx dv - \int_{\mathbb{R}^3} |\nabla_x \phi_f(t, x)|^2 dx$$

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The interpolation inequality (of Gagliardo-Nirenberg type) : if  $p > 3/2$

$$\|\nabla_x \phi_f\|_{L^2}^2 \leq C_{inter} \|\sqrt{1 + |v|^2} f\|_{L^1} \|f\|_{L^1}^{\frac{2p-3}{3(p-1)}} \|f\|_{L^p}^{\frac{p}{3(p-1)}}$$

The kinetic and potential energies have the same exponent : **critical case**.

The energy space :

$$\mathcal{E}_p = \{ f \geq 0 \text{ with } f \in L^1, \quad f \in L^p, \quad |v|f \in L^1 \}$$

## CONTROL OF THE KINETIC ENERGY ?

Glasse-Schaeffer (1985) have proved that the Cauchy problem is well-posed in the case of **spherically symmetric solutions** as long as the kinetic energy remains bounded.

The interpolation inequality can lead to a bound on the kinetic energy :

$$\begin{aligned}\mathcal{H}(f_0) &= \mathcal{H}(f(t)) = \|\sqrt{1 + |v|^2} f(t)\|_{L^1} - \|\nabla_x \phi_f(t)\|_{L^2}^2 - \|f(t)\|_{L^1} \\ &\geq \|\sqrt{1 + |v|^2} f(t)\|_{L^1} \left( 1 - C_{inter} \|f(t)\|_{L^1}^{\frac{2p-3}{3(p-1)}} \|f(t)\|_{L^p}^{\frac{p}{3(p-1)}} \right) - \|f(t)\|_{L^1} \\ &= \|\sqrt{1 + |v|^2} f(t)\|_{L^1} \left( 1 - C_{inter} \|f_0\|_{L^1}^{\frac{2p-3}{3(p-1)}} \|f_0\|_{L^p}^{\frac{p}{3(p-1)}} \right) - \|f_0\|_{L^1}\end{aligned}$$

This yields a **global existence criterion** : (not sharp)

$$C_{inter} \|f_0\|_{L^1}^{\frac{2p-3}{3(p-1)}} \|f_0\|_{L^p}^{\frac{p}{3(p-1)}} < 1.$$

## BLOW UP

Conversely, Glassey and Schaeffer (1985) have given a well-known argument based on the virial :

$$\int |x|^2 f(t, x, v) dx dv \leq (\mathcal{H}(f_0) + \|f_0\|_{L^1})t^2 + C(f_0)(1 + t).$$

If  $\mathcal{H}(f_0) + \|f_0\|_{L^1} < 0$  then the solution cannot exist for all time.

## BLOW UP

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If  $\mathcal{H}(f_0) + \|f_0\|_{L^1} < 0$  then the solution cannot exist for all time.

Program : construct in a variational way two types of solutions.

- ▮▮▮▮ Stable steady states with satisfy the global criterium ("subcritical").
- ▮▮▮▮ Nearly self-similar blow up solutions ("supercritical").

Functions under the form  $f(x, v) = F\left(\sqrt{1 + |v|^2} + \phi_f(x)\right)$  are **steady states** :

$$\frac{v}{\sqrt{1 + |v|^2}} \cdot \nabla_x f - \nabla_x \phi_f \cdot \nabla_v f = 0.$$



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A natural construction of such solution via a variational problem : **minimize the energy under two constraints**

$$\min \left\{ \mathcal{H}(f) \text{ where } f \in \mathcal{E}_p, \int f = M_1, \int j(f) = M_j \right\},$$

where  $j$  is a given convex function such that  $j(f) \geq C f^p$ .

### Short bibliography.

- This problem has been well understood for the classical VP system :  
Wolansky, Guo, Rein in 1999–2001  
See also Schaeffer, Dolbeault, Sanchez, Soler, Lemou, FM, Raphael...
- For the RVP system, there are less results. Hadzic and Rein (2007) have constructed stable steady states in a non variational way, by solving nonlinear Poisson equations.

### THE MINIMIZATION PROBLEM WITH TWO CONSTRAINTS

Consider the problem

$$\min \left\{ \mathcal{H}(f) \text{ where } f \in \mathcal{E}_p, \int f = M_1, \int j(f) = M_j \right\}$$

Two dangers :

- (i) that  $\inf \mathcal{H} = -\infty$  : **ill-posed problem** ;
- (ii) that  $\inf \mathcal{H} = 0$  with **no minimizer** (minimizing sequences converge to 0).

(i) does not occur.

Let  $j(f) \geq f^p$  and  $M_1, M_j$  **subcritical** in the sense

$$C_{inter} M_1^{\frac{2p-3}{3(p-1)}} M_j^{\frac{1}{3(p-1)}} < 1.$$

The same calculation as above shows that

$$\begin{aligned} \mathcal{H}(f) &\geq \|\sqrt{1+|v|^2}f\|_{L^1} \left( 1 - C_{inter} \|f\|_{L^1}^{\frac{2p-3}{3(p-1)}} \|f\|_{L^p}^{\frac{p}{3(p-1)}} \right) - \|f\|_{L^1} \\ &= \|\sqrt{1+|v|^2}f\|_{L^1} \left( 1 - C_{inter} M_1^{\frac{2p-3}{3(p-1)}} M_j L^p \frac{p}{3(p-1)} \right) - M_1 \end{aligned}$$

Hence we have  $\inf \mathcal{H} \geq -M_1$  : the Hamiltonian is **bounded from below** under this condition.

Note that any minimization problem with only one constraint leads to unbounded Hamiltonian.

(ii) does not occur.

A crucial property of "homogeneity breaking" prevents (ii) : let

$$f_\lambda(x, v) = f\left(\frac{x}{\lambda}, \lambda v\right).$$

Then

$$\begin{aligned}\lambda\mathcal{H}(f) &= \int \frac{|v|^2 f}{\sqrt{\lambda^2 + |v|^2} + \lambda} dx dv - \frac{1}{2} \|\nabla \phi_f\|_{L^2}^2 \\ &\sim -\frac{1}{2} \|\nabla \phi_f\|_{L^2}^2 \quad \text{as } \lambda \rightarrow +\infty.\end{aligned}$$

Hence  $\inf \mathcal{H} < 0$ , which will prevent that minimizing sequences vanish.

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Hence  $\inf \mathcal{H} < 0$ , which will prevent that minimizing sequences vanish.

Note that if we replace  $\sqrt{1 + |v|^2} - 1$  by  $|v|$  (ultrarelativistic VP system), we have

$$\mathcal{H}(f_\lambda) = \frac{1}{\lambda} \mathcal{H}(f)$$

and the subcritical problem is not attained by a minimizer :  $\inf \mathcal{H} = 0$ .

### THE EULER-LAGRANGE EQUATION

**Theorem.** Under the *subcritical assumption* of  $M_1, M_j$  and the following non dichotomy condition :

$$3/2 < p_1 \leq \frac{tj'(t)}{j(t)} \leq p_2,$$

every minimizing sequence is relatively compact in the energy space. Moreover, any minimizer  $Q$  satisfies the following *Euler-Lagrange equation* :

$$\sqrt{1 + |v|^2} + \phi_Q = \lambda + \mu j'(Q) \quad \text{on } \text{Supp}(Q), \quad \lambda, \mu < 0$$

In other words, we have

$$Q = (j')^{-1} \left( \frac{\sqrt{1 + |v|^2} + \phi_Q(x) - \lambda}{\mu} \right)_+$$

**Proof.** Application of *concentration-compactness techniques* due to P.-L. Lions.

### FROM THIS COMPACTNESS THEOREM TO A STABILITY RESULT

If the minimizer is unique (or isolated), one can deduce directly from this theorem the stability of  $Q$  by the RVP flow (simple contradiction argument). Crucial : RVP preserves  $\mathcal{H}$ ,  $\|f\|_{L^1}$  and  $\|j(f)\|_{L^1}$ . But the question of uniqueness is open!



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⇒ **New trick** based on the rigidity of the flow.

In fact, VPR also preserves any Casimir functional  $\int G(f)$ , ie  $f(t)$  is always **equimeasurable** with  $f_0$ .

**Consequence** : the flow only selects minimizers which are equimeasurable :

$$\text{meas}\{(x, v), Q_1(x, v) > \alpha\} = \text{meas}\{(x, v), Q_2(x, v) > \alpha\}, \quad \forall \alpha > 0.$$

We conclude the stability proof by showing that **equimeasurable minimizers are isolated** (in fact, that there are at most two minimizers equimeasurable together).

What happens when the subcritical condition is not satisfied ?

$$C_{inter} \|f\|_{L^1}^{\frac{2p-3}{3(p-1)}} \|f\|_{L^p}^{\frac{p}{3(p-1)}} > 1$$

➡ When finite time blow up occurs, velocities are very large and a good model to understand the dynamics is the **ultrarelativistic VP system** (URVP) : "all particles have the speed of light"

$$\partial_t f + \frac{v}{|v|} \cdot \nabla_x f - \nabla_x \phi_f \cdot \nabla_v f = 0$$

➡ A simple model which displays the same invariance properties is the **classical VP system in dimension 4** (VP4D).

$$\partial_t f + v \cdot \nabla_x f - \nabla_x \phi_f \cdot \nabla_v f = 0$$

#### INVARIANTS OF THE SYSTEM, INTERPOLATION INEQUALITIES

For (VP) in dimension 4 ( $x \in \mathbb{R}^4, v \in \mathbb{R}^4$ ), the following quantities still do not depend on  $t$  :

⇒  $\|f(t)\|_{L^q}$  for all  $q \in [1, \infty]$ , or more generally all  $\|j(f)\|_{L^1}$

⇒  $\mathcal{H}(f) = \int_{\mathbb{R}^6} |v|^2 f(t, x, v) dx dv - \int_{\mathbb{R}^3} |\nabla_x \phi_f(t, x)|^2 dx$

and the interpolation inequality is also **critical** :

$$\|\nabla_x \phi_f\|_{L^2}^2 \leq C \| |v|^2 f \|_{L^1} \|f\|_{L^1}^{\frac{p-2}{2(p-1)}} \|f\|_{L^p}^{\frac{p}{2(p-1)}} .$$

We thus have the same **phenomenology** as for RVP, but with supplementary symmetry properties...

#### VARIATIONAL THEORY

**First problem** : in dimension 4, the previous minimization problem is ill-posed, the energy is not bounded from below (as for URVP).

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**Alternative** : in the special case  $j(f) = f^p$ , we shall consider the question of **optimization of the interpolation constant**

$$\inf_{f \neq 0} \frac{\| |v|^2 f \|_{L^1} \| f \|_{L^1}^{\frac{p-2}{2(p-1)}} \| f \|_{L^p}^{\frac{p}{2(p-1)}}}{\| \nabla_x \phi_f \|_{L^2}^2}.$$

This problem is well-posed and admits a **3 parameters family** of solutions :

$\gamma Q \left( \frac{x}{\lambda}, \mu v \right)$ , with  $Q$  defined by

$$Q(x, v) = \left( -1 - \frac{|v|^2}{2} - \phi_Q \right)_+^{\frac{1}{p-1}}.$$

**Lemma.** *If  $\mathcal{H}(f) = \mathcal{H}(Q) = 0$ ,  $\|f\|_{L^1} = \|Q\|_{L^1}$  and  $\|f\|_{L^p} = \|Q\|_{L^p}$  then there exists  $\lambda > 0$  such that  $f(x, v) = Q(\frac{x}{\lambda}, \lambda v)$ .*

**Crucial!** This new invariance parameter  $\lambda$ .

**Lemma.** *If  $\mathcal{H}(f) = \mathcal{H}(Q) = 0$ ,  $\|f\|_{L^1} = \|Q\|_{L^1}$  and  $\|f\|_{L^p} = \|Q\|_{L^p}$  then there exists  $\lambda > 0$  such that  $f(x, v) = Q\left(\frac{x}{\lambda}, \lambda v\right)$ .*

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By concentration-compactness techniques, one can prove the following "stability result" :

**Theorem.** *For all  $\varepsilon > 0$ , there exists  $\alpha > 0$  such that if  $f_0$  satisfies*

$$|\mathcal{H}(f_0) - \mathcal{H}(Q)| < \alpha, \quad \left| \|f_0\|_{L^1} - \|Q\|_{L^1} \right| < \alpha, \quad \left| \|f_0\|_{L^p} - \|Q\|_{L^p} \right| < \alpha$$

*then, for some  $\lambda(t) > 0$ , we have*

$$\left\| f(t, x, v) - Q\left(\frac{x}{\lambda(t)}, \lambda(t)v\right) \right\|_{\mathcal{E}_p} < \varepsilon.$$

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It remains **a free parameter to be controlled** : finite-time blow up occurs when  $\lambda(t) \rightarrow 0$  for  $t \rightarrow T$ .



#### CONSTRUCTION OF BLOWING UP SELF-SIMILAR SOLUTIONS

Let us search special solutions of (VP4D) under the form

$$f(t, x, v) = g \left( \frac{x}{\lambda(t)}, \lambda(t)v \right).$$

Then  $g$  satisfies

$$v \cdot \nabla_x g - \nabla_x \phi_g \cdot \nabla_v g - \lambda \dot{\lambda} (x \cdot \nabla_x g - v \cdot \nabla_v g) = 0.$$

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It is natural to set  $-\lambda \dot{\lambda} = b$  with  $b > 0$ , which implies  $\lambda = \sqrt{2b(T - t)}$  (blow up as  $t \rightarrow T$ ). The self-similar equation reads

$$v \cdot \nabla_x g - \nabla_x \phi_g \cdot \nabla_v g + b (x \cdot \nabla_x g - v \cdot \nabla_v g) = 0.$$

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$$v \cdot \nabla_x g - \nabla_x \phi_g \cdot \nabla_v g + b (x \cdot \nabla_x g - v \cdot \nabla_v g) = 0.$$

Generically, we seek a function  $g(x, v) = F \left( \frac{|v|^2}{2} + \phi_g + bx \cdot v \right)$ .

**Difficulty** : the level sets of  $\frac{|v|^2}{2} + \phi_g + bx \cdot v = \frac{|v-bx|^2}{2} - \frac{b^2|x|^2}{2} + \phi_g$  go to the infinity. Because of this tail, such functions  $g$  do not have finite energy and mass.

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**Trick** : in fact, for  $b$  small enough, one can throw out the tail, which **does not create a gravitational field** on the other part of the function because of spherical symmetry.

This amounts to seek  $g(x, v) = F\left(\frac{|v|^2}{2} + \phi_g + b\chi(x)x \cdot v\right)$  where  $\chi(x)$  is a truncation.

$\implies$  For  $b$  small enough, the support of this function is compact, and we have  $\chi(x) = 1$  on this support.

Third variational problem !

We construct such solution by studying the following problem :

$$\min \left\{ \int |v|^2 f + b\chi(x)x \cdot v f + f + f^p \text{ where } f \in \mathcal{E}_p \text{ et } \|\nabla_x f\|_{L^2} = C_0 \right\}$$

In fine, we construct a **self-similar** blowing up solution for VP4D :

$$f(t, x, v) = Q_b \left( \frac{x}{\sqrt{2b(T-t)}}, \sqrt{2b(T-t)}v \right).$$

The same can be done for URVP... In order to be able to come back to RVP, we need first **a stability result for the blow up profile.**

#### STABILITY OF THE SELF-SIMILAR BLOW UP DYNAMICS

**Theorem.** For  $b_0$  and  $\lambda_0$  small enough, there exists  $\alpha$  such that if

$$\left\| f_0 - Q_{b_0} \left( \frac{x}{\lambda_0}, \lambda_0 v \right) \right\|_{\mathcal{E}_p} < \alpha$$

then the solution of VP4D blows up in finite time and

$$f(t, x, v) = (Q_{b(t)} + \varepsilon) \left( t, \frac{x}{\lambda(t)}, \lambda(t)v \right),$$

where  $C_1 \sqrt{T-t} \leq \lambda(t) \leq C_2 \sqrt{T-t}$ ,

$$0 < b_0 \leq b(t) \leq 2b_0$$

and the function  $\varepsilon(t, x, v)$  remains small in  $L^1$ .

**Sketch of the proof** : contrary to the previous proofs, it is not only variational but **based on the dynamics of the VP equation**. It is inspired by works of Merle and Raphael for NLS in the critical regime.



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- Start with a detailed analysis of the linearized VP flow to detect the algebraic instability directions.
- Apply the modulation theory to write

$$f(t, x, v) = (Q_{b(t)} + \varepsilon) \left( t, \frac{x}{\lambda(t)}, \lambda(t)v \right)$$

so that  $\varepsilon(t, x, v)$  is orthogonal to two of these directions.

- The linearized energy enables to control  $\varepsilon(t)$ .
- The key point is the control of  $b(t)$ , which relies on the virial identity.
- Control of  $\lambda(t)$  by the self-similar equation  $\lambda \dot{\lambda} \sim -b$ .

The idea : when the system RVP blows up, we have  $\|\sqrt{1 + |v|^2} f\|_{L^1} \rightarrow +\infty$  whereas  $\|f\|_{L^1}$  remains bounded.

$\implies$  velocities are large and the behavior of RVP is close to the one of the ultrarelativistic system

(URVP) 
$$\partial_t f + \frac{v}{|v|} \cdot \nabla_x f - \nabla_x \phi_f \cdot \nabla_v f = 0$$

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Advantage of this system : one can reproduce the previous analysis of VP4D.

Let

$$f(t, x, v) = g \left( \frac{x}{b(T-t)}, b(T-t)v \right).$$

Then  $f$  satisfies URVP iff  $g$  satisfies :

$$\frac{v}{|v|} \cdot \nabla_x g - \nabla_x \phi_g \cdot \nabla_v g + b(x \cdot \nabla_x g - v \cdot \nabla_v g) = 0$$

A solution of this equation provides a blowing up solution of URVP.

### Theorem.

The system URVP admits a *stable family of blow up self-similar solutions* under the form

$$f(t, x, v) = Q_b \left( \frac{x}{b(T-t)}, b(T-t)v \right),$$

with

$$Q_b(x, v) = (-|v| - \phi_{Q_b} - b\chi(x)x \cdot v - 1)_+^{1/(p-1)}.$$

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### Theorem.

There exists solutions of RVP under the form

$$f(t, x, v) = (Q_{b(t)} + \varepsilon) \left( \frac{x}{\lambda(t)}, \lambda(t)v \right),$$

where  $C_1(T-t) \leq \lambda(t) \leq C_2(T-t)$ ,  $0 < b_0 \leq b(t) \leq 2b_0$  and the function  $\varepsilon(t, x, v)$  remains small.

M. Lemou, F. M., P. Raphaël, *Stable ground states for the relativistic gravitational Vlasov-Poisson system*, accepté dans *Comm. Partial Diff. Eq.*

- Variational construction of stable steady states, using the argument of "homogeneity breaking".
- New argument of stability without uniqueness, using the rigidity of the flow and re-usable to other collisionless kinetic systems.

M. Lemou, F. M., P. Raphaël, *Stable self-similar blow up dynamics for the three dimensional relativistic gravitational Vlasov-Poisson system*, *J. Amer. Math. Soc.* **21** (2008), no. 4, 1019-1063.

- Construction of self-similar blow up solution for VP4D and URVP in the energy space.
- Characterization of a profile of self-similar blow up solutions for RVP : tells much more than the obstructive virial argument (Glasse, Schaeffer 1985).