

Existence and non-existence for nonlinear Schrödinger equations

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0. Introduction

In this report, we will introduce the results of my paper [S]. In [S], we consider the one dimensional case of the following nonlinear Schrödinger equations:

$$\begin{aligned} -u'' + (1 + b(x))u &= f(u) \quad \text{in } \mathbf{R}, \\ u &\in H^1(\mathbf{R}). \end{aligned} \tag{*}$$

Here, we assume that the potential $b(x) \in C(\mathbf{R}, \mathbf{R})$ satisfies the following assumptions:

- (b.1) $1 + b(x) \geq 0$ for all $x \in \mathbf{R}$.
- (b.2) $\lim_{|x| \rightarrow \infty} b(x) = 0$.
- (b.3) There exist $\beta_0 > 2$ and $C_0 > 0$ such that $b(x) \leq C_0 e^{-\beta_0|x|}$ for all $x \in \mathbf{R}$.

We set $F(u) = \int_0^u f(\tau) d\tau$ and assume that the nonlinearity $f(u)$ satisfies

- (f.1) There exists $\eta_0 > 0$ such that $\lim_{|u| \rightarrow \infty} \frac{f(u)}{|u|^{1+\eta_0}} = 0$.
- (f.2) There exists $u_0 > 0$ such that

$$\begin{aligned} F(u) &< \frac{1}{2}u^2 \quad \text{for all } u \in (0, u_0), \\ F(u_0) &= \frac{1}{2}u_0^2, \quad f(u_0) > u_0. \end{aligned}$$

- (f.3) There exists $\mu_0 > 2$ such that $0 < \mu_0 F(u) \leq uf(u)$ for all $u \neq 0$.

The conditions (f.1) and (f.2) are sufficient conditions for the following equation to have an unique positive solution:

$$-u'' + u = f(u) \quad \text{in } \mathbf{R}, \quad u \in H^1(\mathbf{R}). \tag{0.1}$$

From (b.2), the equation $-u'' + u = f(u)$ appears as a limit when $|x|$ goes to ∞ in (*). The condition (f.3) is so called Ambrosetti-Rabinowitz condition, which guarantees the

boundedness of (PS)-sequences for the functional corresponding to the equation (*) and (0.1).

To state our result about the existence of solutions for (*), we also need the following assumption for $b(x)$.

(b.4) There exists $x_0 \in \mathbf{R}$ such that

$$\overline{\lim}_{r \rightarrow \infty} \int_{-r}^r b(x - x_0) e^{2|x|} dx \in [-\infty, 2).$$

Our first theorem is the following.

Theorem 0.1. *Assume that (b.1)–(b.4) and (f.1)–(f.3) hold. Then (*) has at least a positive solution.*

When we prove Theorem 0.1 in [S], it is important to estimate interaction of $\omega(x - R)$ and $\omega(x + R)$ for large $R \gg 1$. Here, $\omega(x)$ is a unique solution of (0.1) with $u(0) = \max_{x \in \mathbf{R}} u(x)$. When we estimate interaction of $\omega(x - R)$ and $\omega(x + R)$, we naturally get the conditions (b.4) as a sufficient condition for (*) to have nontrivial solutions.

In the next section, we will mainly give the outline of the proof of Theorem 0.1. In respect to details of the proof of Theorem 0.1, see [S].

We must remark that, for the case function $b(x)$ is contained in nonlinearity or higher dimensional cases, there exist non-trivial solutions without conditions like (b.4). In fact, Bahri-Li [BaL] showed that there exists a positive solution of

$$-\Delta u + u = (1 - b(x))|u|^{p-1}u \quad \text{in } \mathbf{R}^N, \quad u \in H^1(\mathbf{R}^N), \quad (0.2)$$

where $N \geq 3$, $1 < p < \frac{N+2}{N-2}$ and $b(x) \in C(\mathbf{R}, \mathbf{R})$ satisfies the following conditions:

(b.1)' $1 - b(x) \geq 0$ for all $x \in \mathbf{R}^N$.

(b.2)' $\lim_{|x| \rightarrow \infty} b(x) = 0$.

(b.3)' There exist $\beta_0 > 2$ and $C_0 > 0$ such that $b(x) \leq C_0 e^{-\beta_0|x|}$ for all $x \in \mathbf{R}^N$.

For one dimensional case, Spradlin [Sp] proved that there exists a positive solution of the equation

$$-u'' + u = (1 - b(x))f(u) \quad \text{in } \mathbf{R}, \quad u \in H^1(\mathbf{R}). \quad (0.3)$$

They assumed that $b(x) \in C(\mathbf{R}, \mathbf{R})$ satisfies $1 - b(x) \geq 0$ in \mathbf{R} and (b.2)–(b.3) and $f(u)$ satisfies (f.1)–(f.3) and

(f.4) $\frac{f(u)}{u}$ is an increasing function for all $u > 0$.

Moreover, we can easily apply the computations in [BaL] to the following equation which is a higher dimensional version of (*).

$$-\Delta u + (1 + b(x))u = |u|^{p-1}u \quad \text{in } \mathbf{R}^N, \quad u \in H^1(\mathbf{R}^N). \quad (0.4)$$

From this application, we see that (0.4) also has at least a positive solution when $N \geq 3$, $1 < p < \frac{N+2}{N-2}$ and $b(x)$ satisfies $1 + b(x) \geq 0$ in \mathbf{R}^N and (b.2)'–(b.3)'.

From the above results, it seems that Theorem 0.1 holds without condition (b.4). However (b.4) is an essential assumption for (*) to have non-trivial solutions. In what follows, we will show a result about the non-existence of nontrivial solutions for (*).

In next our result, we will assume that $b(x)$ satisfies the following condition:

(b.5) There exist $\mu > 0$ and $m_2 \geq m_1 > 0$ such that

$$m_1 \mu e^{-\mu|x|} \leq b(x) \leq m_2 \mu e^{-\mu|x|} \quad \text{for all } x \in \mathbf{R}.$$

Here, we remark that, if (b.5) holds for $\mu > 2$, then $b(x)$ satisfies (b.1)–(b.3) and

$$\frac{2\mu}{\mu-2} m_1 \leq \int_{-\infty}^{\infty} b(x) e^{2|x|} dx \leq \frac{2\mu}{\mu-2} m_2.$$

Thus, when $m_2 < 1$ and μ is very large, the condition (b.4) also holds.

Our second result is the following:

Theorem 0.2. *Assume that (b.5) holds and $f(u) = |u|^{p-1}u$ ($p > 1$).*

- (i) *If $m_1 > 1$, there exists $\mu_1 > 0$ such that (*) does not have non-trivial solution for all $\mu \geq \mu_1$.*
- (ii) *If $m_2 < 1$, there exists $\mu_2 > 0$ such that (*) has at least a non-trivial solution for all $\mu \geq \mu_2$.*

From Theorem 0.2, we see that Theorem 0.1 does not hold except for condition (b.4). This is a drastically different situation from the higher dimensional cases. This is one of the interesting points in our results.

We remark that the condition (b.4) implies $\overline{\lim}_{r \rightarrow \infty} \int_{-r}^r b(x) dx < 2$ and the assumption of (ii) of Theorem 0.2 also means $\int_{-\infty}^{\infty} b(x) dx < 2$. Thus we expect that the difference from existence and non-existence of non-trivial solutions of (*) depends on the quantity of integrate of $b(x)$.

We can obtain this expectation from another viewpoint, which is a perturbation problem. Setting $b_\mu(x) = m\mu e^{-\mu|x|}$, $b_\mu(x)$ satisfies (b.5) and, when $\mu \rightarrow \infty$, $b_\mu(x)$ converges to the delta function $2m\delta_0$ in distribution sense. Thus (*) approaches to the equation

$$-u'' + (1 + 2m\delta_0)u = |u|^{p-1}u \quad \text{in } \mathbf{R}, \quad u \in H^1(\mathbf{R}), \quad (0.5)$$

in distribution sense. Here, if u is a solution of (0.5) in distribution sense, we can see that u is of C^2 -function in $\mathbf{R} \setminus \{0\}$ and continuous in \mathbf{R} and u satisfies

$$u'(+0) - u'(-0) = 2mu(0). \quad (0.6)$$

Moreover, since u is a homoclinic orbit of $-u'' + u = f(u)$ in $(-\infty, 0)$ or $(0, \infty)$, respectively, u satisfies

$$-\frac{1}{2}u'(x)^2 + \frac{1}{2}u(x)^2 - \frac{1}{p+1}|u(x)|^{p+1} = 0 \quad \text{for } x \neq 0. \quad (0.7)$$

When $x \rightarrow \pm 0$ in (0.7), from (f.1), we find

$$u'(-0) = -u'(+0), \quad |u'(\pm 0)| < |u(0)|. \quad (0.8)$$

Thus, from (0.6) and (0.8), it easily see that (0.5) has an unique positive solution when $|m| < 1$ and (0.5) has no non-trivial solutions when $|m| \geq 1$. Therefore we can regard Theorem 0.2 as results of a perturbation problem of (0.5).

To prove Theorem 0.2, we develop the shooting arguments which used in [BE]. Bianchi and Egnell [BE] argued about the existence and non-existence of radial solutions for

$$-\Delta u = K(|x|)|u|^{\frac{N+2}{N-2}}, \quad u > 0 \quad \text{in } \mathbf{R}^N, \quad u(x) = O(|x|^{2-N}) \quad \text{as } |x| \rightarrow \infty. \quad (0.9)$$

Here $N \geq 3$ and $K(|x|)$ is a radial continuous function. Roughly speaking, they reduce (0.9) to an ordinary differential equation and considered two solutions for two initial value problems of that ordinary differential equation from $-\infty$ and 0. And, examining whether those solutions has suitable matchings at $r = 1$, they argued about the existence and non-existence of radial solutions.

In [S], to prove Theorem 0.2, we also consider two initial value problems from $\pm\infty$, that is, for $\lambda_1, \lambda_2 > 0$, we consider the following two problems:

$$\begin{aligned} -u'' + (1 + b(x))u &= f(u), \\ \lim_{x \rightarrow -\infty} e^{-x}u(x) &= \lim_{x \rightarrow -\infty} e^{-x}u'(x) = \lambda_1, \end{aligned} \quad (0.10)$$

and

$$\begin{aligned} -u'' + (1 + b(x))u &= f(u), \\ \lim_{x \rightarrow \infty} e^x u(x) &= - \lim_{x \rightarrow \infty} e^x u(x) = \lambda_2. \end{aligned} \tag{0.11}$$

We can prove (0.10) and (0.11) have an unique solution respectively and write those unique solutions as $u_1(x; \lambda_1)$ and $u_2(x; \lambda_2)$ respectively. We set

$$\begin{aligned} \Gamma_1 &= \{(u_1(0; \lambda_1), u_1'(0; \lambda_1)) \in \mathbf{R}^2 \mid \lambda_1 > 0\}, \\ \Gamma_2 &= \{(u_2(0; \lambda_2), u_2'(0; \lambda_2)) \in \mathbf{R}^2 \mid \lambda_2 > 0\}. \end{aligned}$$

Then, $\Gamma_1 \cap \Gamma_2 = \emptyset$ is equivalent to the non-existence of solutions for (*). Thus it is important to study shapes of Γ_1 and Γ_2 . In respect to the details of proofs of Theorem 0.2, see [S].

In next section, we state about the outline of the proof of Theorem 0.1 in [S].

1. The outline of the proof of Theorem 0.1

In this section, we state the outline of the proof of Theorem 0.1. We will developed a variational approach which was used in [BaL] and [Sp].

In what follows, since we seek positive solutions of (*), without loss of generalities, we assume $f(u) = 0$ for $u < 0$. To prove Theorem 0.1, we seek non-trivial critical points of the functional

$$I(u) = \frac{1}{2} \|u\|_{H^1(\mathbf{R})}^2 + \frac{1}{2} \int_{-\infty}^{\infty} b(x)u^2 dx - \int_{-\infty}^{\infty} F(u) dx \in C^1(H^1(\mathbf{R}), \mathbf{R}),$$

whose critical points are positive solutions of (*). Here we use the following notations:

$$\begin{aligned} \|u\|_{H^1(\mathbf{R})}^2 &= \|u'\|_{L^2(\mathbf{R})}^2 + \|u\|_{L^2(\mathbf{R})}^2, \\ \|u\|_{L^p(\mathbf{R})}^p &= \int_{\mathbf{R}} |u|^p dx \quad \text{for } p > 1. \end{aligned}$$

From (f.1)–(f.2), we can see that $I(u)$ satisfies a mountain pass geometry, that is, $I(u)$ satisfies

- (i) $I(0) = 0$.
- (ii) There exist $\delta > 0$ and $\rho > 0$ such that $I(u) \geq \delta$ for all $\|u\|_{H^1(\mathbf{R})} = \rho$.
- (iii) There exists $u_0 \in H^1(\mathbf{R})$ such that $I(u_0) < 0$ and $\|u_0\|_{H^1(\mathbf{R})} > \rho$.

From the mountain pass geometry (i)–(iii), we can define a standard minimax value $c > 0$ by

$$c = \inf_{\gamma \in \Gamma} \max_{t \in [0,1]} I(\gamma(t)), \tag{1.1}$$

$$\Gamma = \{\gamma(t) \in C([0,1], H^1(\mathbf{R})) \mid \gamma(0) = 0, I(\gamma(1)) < 0\}.$$

And, by a standard way, we can construct $(PS)_c$ -sequence $(u_n)_{n=1}^\infty$, that is, $(u_n)_{n=1}^\infty$ satisfies

$$\begin{aligned} I(u_n) &\rightarrow c \quad (n \rightarrow \infty), \\ I'(u_n) &\rightarrow 0 \quad \text{in } H^{-1}(\mathbf{R}) \quad (n \rightarrow \infty). \end{aligned}$$

Moreover, since $(u_n)_{n=1}^\infty$ is bounded in $H^1(\mathbf{R})$ from (f.3), $(u_n)_{n=1}^\infty$ has a subsequence $(u_{n_j})_{j=1}^\infty$ which weakly converges to some u_0 in $H^1(\mathbf{R})$. If $(u_{n_j})_{j=1}^\infty$ strongly converges to u_0 in $H^1(\mathbf{R})$, c is a non-trivial critical value of $I(u)$ and our proof is completed. However, since the embedding $L^p(\mathbf{R}) \subset H^1(\mathbf{R})$ ($p > 1$) is not compact, there may not exist a subsequence $(u_{n_j})_{j=1}^\infty$ which strongly converges in $H^1(\mathbf{R})$. Therefore, in our situation, we don't know c is a critical value.

In our situation, from the lack of the compactness mentioned the above, we must use the concentration-compactness approach as [BaL] and [Sp]. In the concentration-compactness approach, we examine in detail what happens in bounded (PS)-sequences. When we state the concentration-compactness argument for the (PS)-sequences of $I(u)$, the limit problem (0.1) plays an important role. Setting

$$I_0(u) = \frac{1}{2} \|u\|_{H^1(\mathbf{R})}^2 - \int_{-\infty}^{\infty} F(u) dx \in C^1(H^1(\mathbf{R}), \mathbf{R}),$$

the critical points of $I_0(u)$ correspond to the solutions of limit problem (0.1). The equation (0.1) has an unique positive solution, identifying ones which obtain by translations. Thus let $\omega(x)$ be an unique positive solution of (0.1) with $\max_{x \in \mathbf{R}} \omega(x) = \omega(0)$ and we set $c_0 = I_0(\omega)$. Since I_0 also satisfies the mountain pass geometry (i)–(iii), we see $c_0 > 0$ and c_0 is an unique non-trivial critical value.

For the bounded (PS)-sequences of $I(u)$, we have the following:

Proposition 1.1. *Suppose (b.1)–(b.2) and (f.1)–(f.2) holds. If $(u_n)_{n=1}^\infty$ is a bounded (PS)-sequence of $I(u)$, then there exist a subsequence $n_j \rightarrow \infty$, $k \in \mathbf{N} \cup \{0\}$, k -sequences $(x_j^1)_{j=1}^\infty, \dots, (x_j^k)_{j=1}^\infty \subset \mathbf{R}$, and a critical point u_0 of $I(u)$ such that*

$$\begin{aligned} I(u_{n_j}) &\rightarrow I(u_0) + kc_0 \quad (j \rightarrow \infty), \\ \left\| u_{n_j}(x) - u_0(x) - \sum_{\ell=1}^k \omega(x - x_j^\ell) \right\|_{H^1(\mathbf{R})} &\rightarrow 0 \quad (j \rightarrow \infty), \\ |x_j^\ell - x_j^{\ell'}| &\rightarrow \infty \quad (j \rightarrow \infty) \quad (\ell \neq \ell'), \\ |x_j^\ell| &\rightarrow \infty \quad (j \rightarrow \infty) \quad (\ell = 1, 2, \dots, k). \end{aligned}$$

Proof. See [JT1].

If the minimax value c satisfies $c \in (0, c_0)$, from Proposition 1.1, we see that $I(u)$ has at least a non-trivial critical point. In fact, let $(u_n)_{n=1}^\infty$ be a bounded $(PS)_c$ -sequence of $I(u)$, from Proposition 1.1, there exists a subsequence $n_j \rightarrow \infty$, $k \in \mathbf{N} \cup \{0\}$ and a critical point u_0 of $I(u)$ such that

$$I(u_{n_j}) \rightarrow I(u_0) + kc_0 \quad (j \rightarrow \infty).$$

Here, if $u_0 = 0$, we get $I(u_{n_j}) \rightarrow kc_0$ as $j \rightarrow \infty$. However this contradicts to the fact that $I(u_n) \rightarrow c \in (0, c_0)$ as $n \rightarrow \infty$. Thus $u_0 \neq 0$ and u_0 is a non-trivial critical point of $I(u)$. From the above argument, we have the following corollary.

Corollary 1.2. *Suppose $I(u)$ has no non-trivial critical points and let $(u_n)_{n=1}^\infty$ be a (PS) -sequence of $I(u)$. Then, only kc_0 's ($k \in \mathbf{N} \cup \{0\}$) can be limit points of $\{I(u_n) \mid n \in \mathbf{N}\}$.*

Remark 1.3. Corollary 1.2 essentially depends on the uniqueness of the positive solution of (0.1).

As mentioned the above, when $c \in (0, c_0)$, $I(u)$ has at least a non-trivial critical point. However, unfortunately, under the condition (b.1)–(b.4), it may be $c = c_0$. Thus we need consider another minimax value. To define another minimax value, we use a path $\gamma_0(t) \in C(\mathbf{R}, H^1(\mathbf{R}))$ which is defined as follows: for small $\epsilon_0 > 0$, we set

$$h(x) = \begin{cases} \omega(x) & x \in [0, \infty), \\ x^4 + u_0 & x \in [-\epsilon_0, 0), \\ \epsilon_0^4 + u_0 & x \in (-\infty, -\epsilon_0), \end{cases}$$

$$\gamma_0(t)(x) = \begin{cases} h(x-t) & x \geq 0, \\ h(-x-t) & x < 0. \end{cases}$$

Here, we remark that u_0 was given in (f.2). This path $\gamma_0(t)$ was introduced in [JT2]. Choosing a proper $\epsilon_0 > 0$ sufficiently small, $\gamma_0(t)$ achieves the mountain pass value of $I_0(u)$ and satisfies the followings:

Lemma 1.4. *Suppose (f.1)–(f.2) hold. Then $\gamma_0(t)$ satisfies*

- (i) $\gamma_0(0)(x) = \omega(x)$.
- (ii) $I_0(\gamma_0(t)) < I_0(\omega) = c_0$ for all $t \neq 0$.
- (iii) $\lim_{t \rightarrow -\infty} \|\gamma_0(t)\|_{H^1(\mathbf{R})} = 0$, $\lim_{t \rightarrow \infty} \|\gamma_0(t)\|_{H^1(\mathbf{R})} = \infty$.

Proof. See [JT2].

Now, for $R > 0$, we consider a path $\gamma_R \in C(\mathbf{R}^2, H^1(\mathbf{R}))$ which is defined by

$$\gamma_R(s, t)(x) = \max\{\gamma_0(s)(x+R), \gamma_0(t)(x-R)\}.$$

In our proof of Theorem 0.1 in [S], the following proposition is a key proposition.

Proposition 1.5. *Suppose (b.1)–(b.3) and (f.1)–(f.2) hold. Then, for any $L > 0$, we have*

$$\lim_{R \rightarrow \infty} e^{2R} \left\{ \max_{(s,t) \in [-L,L]^2} I(\gamma_R(s,t)) - 2c_0 \right\} = \frac{\lambda_0^2}{2} \left(\lim_{r \rightarrow \infty} \int_{-r}^r b(x) e^{2|x|} dx - 2 \right).$$

Here $\lambda_0 = \lim_{x \rightarrow \pm\infty} \omega(x) e^{|x|}$.

Proof. See [S].

By using a translation, without loss of generalities, we assume $x_0 = 0$ in (b.4). If (b.4) with $x_0 = 0$ holds, from Proposition 1.5, for any $L > 0$, there exists $R_0 > 0$ such that

$$\max_{(s,t) \in [-L,L]^2} I(\gamma_{R_0}(s,t)) < 2c_0.$$

To prove the Theorem 0.1, we also need a map $m : H^1(\mathbf{R}) \setminus \{0\} \rightarrow \mathbf{R}$ which is defined by the following: for any $u \in H^1(\mathbf{R}) \setminus \{0\}$, a function

$$T_u(s) = \int_{-\infty}^{\infty} \tan^{-1}(x-s) |u(x)|^2 dx : \mathbf{R} \rightarrow \mathbf{R}$$

is strictly decreasing and $\lim_{s \rightarrow \infty} T_u(s) = -\|u\|_{L^2(\mathbf{R})}^2 < 0$ and $\lim_{s \rightarrow -\infty} T_u(s) = \|u\|_{L^2(\mathbf{R})}^2 > 0$. Thus, from the theorem of the intermediate value, $T_u(s)$ has an unique $s = m(u)$ such that $T_u(m(u)) = 0$. We also find that $m(u)$ is of continuous by the implicit function theorem to $(u, s) \mapsto T_u(s)$. The map $m(u)$ was introduced in [S]. We remark that $m(u)$ is regarded as a kind of center of mass of $|u(x)|^2$ and we can check the followings.

Lemma 1.6. *We have*

- (i) $m(\gamma_0(t)) = 0$ for all $t \in \mathbf{R}$.
- (ii) $m(\gamma_R(s,t)) > 0$ for all $-R < s < t < R$.
- (iii) $m(\gamma_R(s,t)) < 0$ for all $-R < t < s < R$.

Proof. Since $\gamma_0(t)(x)$ is an even function, we have (i). We Note that

$$\gamma_R(s,t)(x) = \begin{cases} \gamma_0(s)(x+R) & \text{for } x \in (-\infty, \frac{s-t}{2}], \\ \gamma_0(t)(x-R) & \text{for } x \in (\frac{s-t}{2}, \infty). \end{cases}$$

Since $\gamma_R(s,s)(x)$ is also an even function, we have

$$m(\gamma_R(s,s)) = 0 \quad \text{for all } s \in \mathbf{R},$$

and we get (ii)–(iii). ■

In what follows, we will complete the proof of Theorem 0.1.

Proof of Theorem 0.1. First of all, we defined a minimax value $c_1 > 0$ by

$$c_1 = \inf_{\gamma \in \Gamma_1} \max_{t \in [0,1]} I(\gamma(t)),$$

$$\Gamma_1 = \{\gamma(t) \in C([0,1], H^1(\mathbf{R})) \mid \gamma(0) = 0, I(\gamma(1)) < 0, |m(\gamma(t))| < 1\}.$$

Noting $\Gamma_1 \subset \Gamma$, we have

$$0 < c \leq c_1.$$

Since Γ_1 is not invariant by standard deformation flows of $I(u)$, c_1 may not be a critical point of $I(u)$. We will use c_1 to divide the case. We divide the case into the following three cases:

- (i) $c_1 < c_0$.
- (ii) $c_1 = c_0$.
- (iii) $c_1 > c_0$.

Proof of Theorem 0.1 for the case (i). Since the inequality $c_1 < c_0$ implies $0 < c < c_0$, from Corollary 1.2, we can see $I(u)$ has at least a non-trivial critical point. \blacksquare

Proof of Theorem 0.1 for the case (ii). In this case, if $c < c_1 = c_0$, then $I(u)$ has at least a non-trivial critical point from Corollary 1.2. Thus we may consider the case $c = c_1 = c_0$. In this case, for any $\epsilon > 0$, there exists $\gamma_\epsilon(t) \in \Gamma_1$ such that

$$c \leq \max_{t \in [0,1]} I(\gamma_\epsilon(t)) < c + \epsilon.$$

Since $\gamma_\epsilon \in \Gamma_1 \subset \Gamma$ and Γ is an invariant set by standard deformation flows of $I(u)$, by a standard Eklund principle, there exists $u_\epsilon \in H^1(\mathbf{R})$ such that

$$\begin{aligned} c &\leq I(u_\epsilon) \leq \max_{t \in [0,1]} I(\gamma_\epsilon(t)) < c + \epsilon, \\ \|I'(u_\epsilon)\| &< 2\sqrt{\epsilon}, \\ \inf_{t \in [0,1]} \|u_\epsilon - \gamma_\epsilon(t)\|_{H^1(\mathbf{R})} &< \epsilon. \end{aligned} \tag{1.2}$$

Then, from Proposition 1.1, there exist a subsequence $\epsilon_j \rightarrow 0$, $k \in \mathbf{N} \cup \{0\}$, k -sequences $(x_j^1)_{j=1}^\infty, \dots, (x_j^k)_{j=1}^\infty \subset \mathbf{R}$, and a critical point u_0 of $I(u)$ such that

$$\begin{aligned} I(u_{\epsilon_j}) &\rightarrow I(u_0) + kc_0 \quad (j \rightarrow \infty), \\ \left\| u_{\epsilon_j}(x) - u_0(x) - \sum_{\ell=1}^k \omega(x - x_j^\ell) \right\|_{H^1(\mathbf{R})} &\rightarrow 0 \quad (j \rightarrow \infty), \\ |x_j^\ell - x_j^{\ell'}| &\rightarrow \infty \quad (j \rightarrow \infty) \quad (\ell \neq \ell'), \\ |x_j^\ell| &\rightarrow \infty \quad (j \rightarrow \infty) \quad (\ell = 1, 2, \dots, k). \end{aligned} \tag{1.3}$$

Now, if $u_0 \neq 0$, our proof is completed. So we suppose $u_0 = 0$. Then, from (1.3), it must be $k = 1$. Thus, we have

$$\begin{aligned} \|u_{\varepsilon_j}(x) - \omega(x - x_j^1)\|_{H^1(\mathbf{R})} &\rightarrow 0 \quad (j \rightarrow \infty). \\ |x_j^1| &\rightarrow \infty \quad (j \rightarrow \infty). \end{aligned} \quad (1.4)$$

On the other hand, we remark that, since $m(\omega) = 0$ and m is of continuous, there exists $\delta > 0$ such that

$$|m(u)| < 1 \quad \text{for all } u \in B_\delta(\omega) = \{v \in H^1(\mathbf{R}) \mid \|v - \omega\|_{H^1(\mathbf{R})} < \delta\}.$$

Thus, from (1.2) and (1.4), for some $\varepsilon_0 \in (0, \frac{\delta}{2})$ and $t_0 \in [0, 1]$, we have

$$|m(\gamma_{\varepsilon_0}(t_0)) - x_j^1| < 1.$$

This contradicts to $\gamma_{\varepsilon_0} \in \Gamma_1$. Therefore $u_0 \neq 0$ and $I(u)$ has at least a non-trivial critical point. \blacksquare

Proof of the Theorem 0.1 for the case (iii). First of all, we set $\delta = \frac{c_1 - c_0}{2} > 0$ and choose $L_0 > 0$ such that

$$\max_{(s,t) \in D_{2L_0} \setminus D_{L_0}} I(\gamma_R(s,t)) < c_0 + \delta < c_1 \quad \text{for all } R > 3L_0. \quad (1.5)$$

Here we set $D_L = [L, L] \times [L, L] \subset \mathbf{R}^2$. Next, from Proposition 1.5, we can choose $R_0 > 3L_0$ such that

$$\max_{(s,t) \in D_{L_0}} I(\gamma_{R_0}(s,t)) < 2c_0. \quad (1.6)$$

Here we fix $\gamma_{R_0}(s,t)$ and define the following minimax value:

$$c_2 = \inf_{\gamma \in \Gamma_2} \max_{(s,t) \in D_{2L_0}} I(\gamma(s,t)),$$

$$\Gamma_2 = \{\gamma(s,t) \in C(D_{2L_0}, H^1(\mathbf{R})) \mid \gamma(s,t) = \gamma_{R_0}(s,t) \text{ for all } (s,t) \in D_{2L_0} \setminus D_{L_0}\}.$$

Then we have the following lemma.

Lemma 1.7. *We have*

$$0 < c_0 < c_1 \leq c_2 < 2c_0.$$

We postpone the proof of Lemma 1.7 to end of this section. If Lemma 1.7 is true, then Γ_2 is an invariant set by the deformation flows of $I(u)$. Thus $I(u)$ has a (PS)-sequence $(u_n)_{n=1}^\infty$ such that

$$I(u_n) \rightarrow c_2 \in (c_0, 2c_0) \quad (n \rightarrow \infty).$$

From Corollary 1.2, we can see that $I(u)$ must have at least a non-trivial critical point. Combining the proofs of the cases (i)–(iii), we complete a proof of Theorem 0.1. ■

Finally we show Lemma 1.7.

Proof of Lemma 1.7. The inequality $c_0 < c_1$ is an assumption of the case (iii). From $\gamma_{R_0} \in \Gamma_2$ and (1.5)–(1.6), $c_2 < 2c_0$ is obvious. Thus we show $c_1 \leq c_2$. For any $\gamma(s, t) \in \Gamma_2$, we have

$$m(\gamma(s, t)) > 0 \quad \text{for all } (s, t) \in D_1, \quad (1.7)$$

$$m(\gamma(s, t)) < 0 \quad \text{for all } (s, t) \in D_2. \quad (1.8)$$

Here we set $D_1 = \{(s, t) \in D_{2L_0} \setminus D_{L_0} \mid s < t\}$ and $D_2 = \{(s, t) \in D_{2L_0} \setminus D_{L_0} \mid s > t\}$. From (1.7)–(1.8), a set $\{(s, t) \in D_{2L_0} \mid |m(\gamma(s, t))| < 1\}$ have a connected component which contains a path joining two points $\gamma_{R_0}(-2L_0, -2L_0)$ and $\gamma_{R_0}(2L_0, 2L_0)$. Thus we construct a path $\gamma_1(t) \in \Gamma_1$ such that

$$\begin{aligned} \{\gamma_1(t) \mid t \in [1/3, 2/3]\} &\subset \{\gamma(s, t) \mid (s, t) \in D_{2L_0}\}, \\ \max_{t \in [0, 1/3] \cup [2/3, 1]} I(\gamma_1(t)) &\leq c_0. \end{aligned}$$

Thus we see

$$\begin{aligned} c_1 &\leq \max_{t \in [0, 1]} I(\gamma_1(t)) \\ &\leq \max_{(s, t) \in D_{2L_0}} I(\gamma(s, t)). \end{aligned} \quad (1.9)$$

Since $\gamma(s, t) \in \Gamma_2$ is arbitrary, from (1.9), we have

$$c_1 \leq c_2.$$

Thus we get Lemma 1.7. ■

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