

On finite time blow-up for the mass-critical Hartree equations

Yonggeun Cho

Department of Mathematics and Institute of Pure and Applied Mathematics, Chonbuk National University, Jeonju 561-756, Republic of Korea (changocho@jbnu.ac.kr)

Gyeongha Hwang*

Department of Mathematical Sciences, Ulsan National Institute of Science and Technology, Ulsan 689-798, Republic of Korea (ghhwang@unist.ac.kr)

Soonsik Kwon

Department of Mathematical Sciences, Korea Advanced Institute of Science and Technology, Daejeon 305-701, Republic of Korea (soonsikk@kaist.edu)

Sanghyuk Lee

Department of Mathematical Sciences, Seoul National University, Seoul 151-747, Republic of Korea (shklee@snu.ac.kr)

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We consider the fractional Schrödinger equations with focusing Hartree-type nonlinearities. When the energy is negative, we show that the solution blows up in a finite time. For this purpose, based on Glassey's argument, we obtain a virial-type inequality.

1. Introduction

In this paper we consider the Cauchy problem of the focusing fractional nonlinear Schrödinger equations

$$\left. \begin{aligned} i\partial_t u &= |\nabla|^\alpha u + F(u) && \text{in } \mathbb{R}^{1+n} \times \mathbb{R}, \\ u(x, 0) &= \varphi(x) && \text{in } \mathbb{R}^n, \end{aligned} \right\} \quad (1.1)$$

where $|\nabla| = (-\Delta)^{1/2}$, $n \geq 2$, $\alpha \geq 1$ and $F(u)$ is a non-local nonlinear term of Hartree type given by

$$F(u)(x) = -\left(\frac{\psi(\cdot)}{|\cdot|^\gamma} * |u|^2\right)(x)u(x) \equiv -V_\gamma(|u|^2)(x)u(x).$$

*Corresponding author.

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Here, $0 \leq \psi \in L^\infty(\mathbb{R}^n)$ and $0 < \gamma < n$. We say that (1.1) is focusing since $-V_\gamma(|u|^2)$ serves as an attractive self-reinforcing potential. We also use the simplified notation V_γ to denote $V_\gamma(|u|^2)$.

When ψ is homogeneous of degree zero (for example, $\psi \equiv 1$), (1.1) has scaling invariance. In fact, if u is a solution of (1.1), then u_λ , $\lambda > 0$, given by

$$u_\lambda(t, x) = \lambda^{-(\gamma-\alpha)/2+n/2} u(\lambda^\alpha t, \lambda x),$$

is also a solution. We denote the critical Sobolev exponent by $s_c = (\gamma - \alpha)/2$. Under the scaling $u \rightarrow u_\lambda$, the \dot{H}^{s_c} -norm of data is preserved. The solution u of (1.1) formally satisfies the mass and energy conservation laws

$$\left. \begin{aligned} m(u) &= \|u(t)\|_{L^2}^2, \\ E(u) &= K(u) + V(u), \end{aligned} \right\} \quad (1.2)$$

where

$$K(u) = \frac{1}{2} \langle u, |\nabla|^\alpha u \rangle, \quad V(u) = -\frac{1}{4} \langle u, V_\gamma(|u|^2) u \rangle.$$

Here $\langle \cdot, \cdot \rangle$ is the complex inner product in L^2 . In view of scaling invariance and the conservation laws, when each conserved quantity is invariant under scaling, we say that (1.1) is mass critical if $\gamma = \alpha$ and energy critical if $\gamma = 2\alpha$.

The aim of this paper is to show the finite time blow-up of solutions to the fractional or higher-order equations when (1.1) is mass critical. If the energy is negative (i.e. the magnitude of the potential energy $V(u)$ is larger than that of kinetic part $K(u)$), then self-attracting power dominates the overall dynamics and so it may result in a collapse in a finite time. For the usual Schrödinger equations ($\alpha = 2$), Glassey [6] introduced a convexity argument to show existence of finite time blow-up solutions. Indeed, if $\psi \equiv 1$, $2 \leq \gamma < \min(n, 4)$, $n \geq 3$ and $\varphi \in H^{\gamma/2}(\mathbb{R}^n)$ with $x\varphi \in L^2$, then

$$\|xu(t)\|_{L^2}^2 \leq 8t^2 E(\varphi) + 4t \langle \varphi, A\varphi \rangle + \|x\varphi\|_{L^2}^2,$$

where A is the dilation operator $(1/2i)(\nabla \cdot x + x \cdot \nabla)$. This implies that if $E(\varphi) < 0$, then the maximal time of existence satisfies $T^* < \infty$. For details, see [1, §6.5] and §3.

In the fractional or high-order equations, a variant of the second moment is the quantity

$$\mathcal{M}(u) := \langle u, x \cdot |\nabla|^{2-\alpha} x u \rangle.$$

This was first used by Fröhlich and Lenzmann [5] in their study of the semi-relativistic nonlinear Schrödinger equations ($\alpha = 1$). More precisely, they obtained

$$\mathcal{M}(u(t)) \leq 2t^2 E(\varphi) + 2t(\langle \varphi, A\varphi \rangle + C\|\varphi\|_{L^2}^4) + \mathcal{M}(\varphi)$$

for $\psi = e^{-\mu|x|}$ ($\mu \geq 0$), $\gamma = 1$, $\varphi \in H_{\text{rad}}^2(\mathbb{R}^3)$ with $|x|^2\varphi \in L^2$. Here, the function space X_{rad} denotes the subspace X of radial functions. The quartic term $\|\varphi\|_{L^2}^4$ appears due to the commutator $[|x|^2 V_\gamma, |\nabla|]$ and in \mathbb{R}^3 it is controlled by Newton's theorem.

Unlike the usual case ($\alpha = 2$), when $\alpha \neq 2$ the presence of $|\nabla|^{2-\alpha}$ gives rise to certain types of singular integrals that necessitate the use of commutators. So

the main issue is how to estimate the commutator $[|x|^2 V_\gamma, |\nabla|^{2-\alpha}]$ since Newton's theorem is generally not available except for $\alpha = 1$ in \mathbb{R}^3 . In order to obtain the desired estimate, we use the Stein–Weiss inequality (2.12) and combine this with a convolution estimate in lemma 2.3. To close our argument, we furthermore need an estimate for the moments $\|xu\|_{L^2}$ and $\| |x| \nabla u \|_{L^2}$ for t contained in the existence time interval (see proposition 3.1). It is done under some regularity assumption¹, which we need to impose to get estimates for the commutators $[|\nabla|^\alpha, |x|^2]$ and $[V_\gamma, \nabla \cdot (x \cdot |\nabla|^{2-\alpha} x \nabla)]$.

The Hartree nonlinearity is essentially a cubic one, though it is convolved with the potential. Thus, by a fairly standard argument, one can show the local well-posedness of the Cauchy problem for suitably regular initial data. Indeed, we have local well-posedness for $s \geq \gamma/2$ so that, within the maximal existence time interval $[0, T^*)$, there is a unique solution $u \in C([0, T^*); H^s) \cap C^1([0, T^*); H^{s-\alpha})$ and $\lim_{t \nearrow T^*} \|u(t)\|_{H^{\gamma/2}} = \infty$ if $T^* < \infty$. For the reader's convenience, we give the local well-posedness for general $\alpha > 0$ in the appendix.

Let us define a Sobolev index α^* by $\alpha^* = (2k)^2$, where k is the least integer satisfying $k \geq \alpha/2$. We separately state our results for the low order case, $1 \leq \alpha < 2$, and the high-order case, $2 < \alpha < n/2 + 1$.

THEOREM 1.1. *Let $\gamma = \alpha$, $1 \leq \alpha < 2$ and $n \geq 4$. Assume that ψ is a non-negative smooth decreasing and radial function with $|\psi'(\rho)| \leq C\rho^{-1}$ for some $C > 0$. Additionally, assume that the initial datum satisfies $\varphi \in H_{\text{rad}}^{\alpha^*}$ and $|x|^\ell \partial^j \varphi \in L^2(\mathbb{R})$ for $1 \leq \ell \leq 2$, $0 \leq |j| \leq 4 - 2\ell$. Then, if $E(\varphi) < 0$, the solution to (1.1) blows up in a finite time.*

THEOREM 1.2. *Let $\gamma = \alpha$, $2 < \alpha < 1 + n/2$ and $n \geq 4$. Assume that ψ is a non-negative smooth decreasing and radial function. Additionally, assume that the initial datum satisfies $\varphi \in H_{\text{rad}}^{\alpha^*}$ and $|x|^\ell \partial^j \varphi \in L^2(\mathbb{R})$ for $1 \leq \ell \leq 2k$, $0 \leq |j| \leq 2k(2k - \ell)$. Then, if $E(\varphi) < 0$, the solution to (1.1) blows up in a finite time.*

The restriction $n \geq 4$ is due to the use of the Stein–Weiss inequality. The technical condition $\alpha < 1 + n/2$ is imposed because we make use of the convolution estimate (2.10) (lemma 2.3) and $n \geq 4$. For the proof of the theorems we show that the mean dilation is decreasing when $E(\varphi) < 0$. Clearly, this follows from

$$\frac{d}{dt} \langle u, Au \rangle \leq 2\alpha E(\varphi), \tag{1.3}$$

which holds whenever $\gamma \geq \alpha$ and $\psi' \leq 0$. If $\gamma = \alpha$, from the estimate (2.7) we have, for $t \in [0, T^*)$,

$$\mathcal{M}(u) \leq 2\alpha^2 t^2 E(\varphi) + 2\alpha t (\langle \varphi, A\varphi \rangle + C\|\varphi\|_{L^2}^4) + \mathcal{M}(\varphi). \tag{1.4}$$

In order to validate (1.3) and (1.4), we need estimates for the moments $\|xu\|_{L^2}$ and $\| |x| \nabla u \|_{L^2}$ on the time-interval $[0, T^*)$.

We finally remark that the argument of this paper does not readily work for the power-type nonlinearity. Since our argument relies on an H^{α^*} regularity assumption and the Stein–Weiss inequality, a different approach seems to be necessary in order to control the commutators.

¹Such an assumption is not necessary for the usual Schrödinger equation.

The rest of paper is organized as follows. In §2 we show the finite time blow-up while assuming proposition 3.1. In §3 we provide the proof of proposition 3.1. The last section is devoted to the local well-posedness.

Notation

We use the following notation: $\partial^j = \prod_{1 \leq i \leq n} \partial_i^{j_i}$ for multi-index $j = (j_1, \dots, j_n)$ and $|j| = \sum_i j_i$. $|\nabla| = \sqrt{-\Delta}$, $\dot{H}_r^s = |\nabla|^{-s} L^r$, $\dot{H}^s = \dot{H}_2^s$ and $H_r^s = (1 - \Delta)^{-s/2} L^r$, $H^s = H_2^s$. $A \lesssim B$ and $A \gtrsim B$ means that $A \leq CB$ and $A \geq C^{-1}B$, respectively, for some $C > 0$. As usual, C denotes a positive constant, possibly depending on n , α and γ , which may differ at each occurrence.

2. Finite time blow-up

In this section we consider finite time blow-up of solutions to the Cauchy problem (1.1) of the mass-critical potentials. We begin with the dilation operator A . With more general assumptions for ψ and γ we obtain an estimate for the time evolution of the average of A .

LEMMA 2.1. *Let ψ be a radially symmetric smooth function such that $\psi' = \partial_r \psi \leq 0$. Suppose that $u \in H^\alpha$ and $xu(t), |x|\nabla u(t) \in L^2$ for $t \in [0, T^*)$, where T^* is the maximal existence time. Then, for $\gamma \geq \alpha$,*

$$\frac{d}{dt} \langle u, Au \rangle \leq 2\alpha E(\varphi). \tag{2.1}$$

Proof. Since $u \in H^\alpha$ and $|x|u, x \cdot \nabla u \in L^2$, $\langle u, Au \rangle$ is well defined and so is

$$\frac{d}{dt} \langle u, Au \rangle = i \langle u, [H, A]u \rangle, \tag{2.2}$$

where $H = |\nabla|^\alpha - V_\gamma$. Here $[H, A]$ denotes the commutator $HA - AH$. Using the identity $[|\nabla|^\alpha, x] = -\alpha|\nabla|^{\alpha-2}\nabla$, we have

$$[|\nabla|^\alpha, A] = -i\alpha|\nabla|^\alpha. \tag{2.3}$$

Similarly,

$$[-V_\gamma, A] = -i(x \cdot \nabla)V_\gamma. \tag{2.4}$$

Substituting (2.3) and (2.4) into (2.2), we obtain

$$\frac{d}{dt} \langle u, Au \rangle = \alpha \langle u, |\nabla|^\alpha u \rangle + \langle u, (x \cdot \nabla)V_\gamma u \rangle. \tag{2.5}$$

For Hartree type V_γ , we have

$$\begin{aligned} (x \cdot \nabla)V_\gamma &= -\gamma \int \frac{\psi(|x-y|)}{|x-y|^\gamma} |u(y)|^2 dy + \int \frac{\psi'(|x-y|)}{|x-y|^\gamma} |x-y| |u(y)|^2 dy \\ &\quad - \int \left(\gamma \frac{\psi(|x-y|)}{|x-y|^{\gamma+1}} - \frac{\psi'(|x-y|)}{|x-y|^\gamma} \right) \frac{y \cdot (x-y)}{|x-y|} |u(y)|^2 dy, \end{aligned}$$

$$\begin{aligned} \langle u, (x \cdot \nabla)V_\gamma u \rangle &= 4\gamma V(u) + \iint \frac{|x-y|\psi'(|x-y|)}{|x-y|^\gamma} |u(x)|^2 |u(y)|^2 dx dy \\ &\quad - \langle u, (x \cdot \nabla)V_\gamma u \rangle, \end{aligned}$$

which implies that

$$\langle u, (x \cdot \nabla)V_\gamma u \rangle = 2\gamma V(u) + \frac{1}{2} \iint \frac{|x-y|\psi'(|x-y|)}{|x-y|^\gamma} |u(x)|^2 |u(y)|^2 dx dy.$$

Substituting this into (2.5) gives

$$\begin{aligned} \frac{d}{dt} \langle u, Au \rangle &\leq 2\alpha E(\varphi) + 2(\gamma - \alpha)V(u) \\ &\quad + \frac{1}{2} \iint (|x-y|\psi'(|x-y|)) \frac{|u(x)|^2 |u(y)|^2}{|x-y|^\alpha} dx dy. \end{aligned}$$

Since $\gamma \geq \alpha$ and $\psi'(|x|) \leq 0$, we obtain (2.1). This completes the proof of lemma 2.1. □

Next we consider the non-negative quantity $\mathcal{M}(u) = \langle u, Mu \rangle$ with the virial operator

$$M := x \cdot |\nabla|^{2-\alpha} x = \sum_{k=1}^n x_k |\nabla|^{2-\alpha} x_k.$$

Suppose that $u(t) \in H^{\alpha^*}$ and $|x|^{2k}u(t) \in L^2$ for $t \in [0, T^*)$. Then, since $\mathcal{M}(u) \lesssim \| |x|\nabla u \|_{L^2} \| (1+|x|)^{2k}u \|_{L^2}$, from (3.5) the quantity $\mathcal{M}(u)$ is well defined and finite for all $t \in [0, T^*)$, and so is

$$\frac{d}{dt} \mathcal{M}(u) = i \langle u, [H, M]u \rangle = i \langle u, [|\nabla|^\alpha, M]u \rangle - i \langle u, [V_\gamma, M]u \rangle. \tag{2.6}$$

LEMMA 2.2. *Suppose that $u(t) \in H^{\alpha^*}$ and $|x|^{2k}u(t) \in L^2$ for $t \in [0, T^*)$. Then we have*

$$\frac{d}{dt} \mathcal{M}(u) \leq 2\alpha \langle u, Au \rangle + C \|\varphi\|_{L^2}^4 \tag{2.7}$$

for $t \in [0, T^*)$, where C is a positive constant depending on n and α , but not on u and φ .

Now, theorem 1.1 and theorem 1.2 immediately follow from lemmas 2.1 and 2.2 once we have proposition 3.1.

Proof. By the identity $|\nabla|^\alpha x = x|\nabla|^\alpha - \alpha|\nabla|^{\alpha-2}\nabla$, we have

$$[|\nabla|^\alpha, M] = |\nabla|^\alpha x \cdot |\nabla|^{2-\alpha} x - x \cdot |\nabla|^{2-\alpha} x |\nabla|^\alpha = -\alpha(x \cdot \nabla + \nabla \cdot x).$$

Hence, for a smooth function v we obtain

$$\begin{aligned} [v, M] &= vx \cdot |\nabla|^{2-\alpha} x - x \cdot |\nabla|^{2-\alpha} xv \\ &= v|x|^2|\nabla|^{2-\alpha} - (2-\alpha)vx \cdot \nabla|\nabla|^{-\alpha} - |\nabla|^{2-\alpha}|x|^2v - (2-\alpha)|\nabla|^{-\alpha}\nabla \cdot xv \\ &= [|x|^2v, |\nabla|^{2-\alpha}] + (\alpha-2) \left(vx \cdot \frac{\nabla}{|\nabla|} |\nabla|^{-\alpha} + |\nabla|^{-\alpha} \frac{\nabla}{|\nabla|} \cdot xv \right). \end{aligned}$$

By a density argument, we may assume that $v = V_\alpha$ in the above identity. Thus, it suffices to show that

$$\begin{aligned} \|\varphi\|_{L^2}^4 &\gtrsim |\langle u, [|x|^2 V_\alpha, |\nabla|^{2-\alpha}]u \rangle| \\ &\quad + \left| \left\langle u, \left(V_\alpha x \cdot \frac{\nabla}{|\nabla|} |\nabla| |\nabla|^{-\alpha} + |\nabla| |\nabla|^{-\alpha} \frac{\nabla}{|\nabla|} \cdot x V_\alpha \right) u \right\rangle \right|. \end{aligned} \tag{2.8}$$

CASE 1 ($\alpha > 2$). We first consider the higher-order case $\alpha > 2$. The first term of the left-hand side of (2.8) is rewritten as

$$2|\operatorname{Im}\langle u, |x|^2 V_\alpha |\nabla|^{2-\alpha} u \rangle|. \tag{2.9}$$

To handle this we recall the following weighted convolution estimate (see [2, 3]).

LEMMA 2.3. *Let $0 < \gamma < n - 1$ and $n \geq 2$. Then, for any $f \in L^1_{\text{rad}}$ and $x \neq 0$,*

$$\int |x - y|^{-\gamma} |f(y)| \, dy \lesssim |x|^{-\gamma} \|f\|_{L^1}. \tag{2.10}$$

From lemma 2.3 and mass conservation, (2.9) is bounded by

$$C\|\psi\|_{L^\infty} \|\varphi\|_{L^2}^2 \int |u(x)| |x|^{-(\alpha-2)} \int |x - y|^{-(n-\alpha+2)} |u(y)| \, dy \, dx. \tag{2.11}$$

To estimate this, we make use of the following inequality due to Stein–Weiss [9].

For $f \in L^p$ with $1 < p < \infty$, $0 < \lambda < n$, $\beta < n/p$ and $n = \lambda + \beta$,

$$\| |x|^{-\beta} (|\cdot|^{-\lambda} * f) \|_{L^p} \lesssim \|f\|_{L^p}. \tag{2.12}$$

Applying (2.12) with $p = 2$, $\beta = \alpha - 2$ and $\lambda = n - (\alpha - 2)$, (2.11) is bounded by $C\|\varphi\|_{L^2}^4$.

We write the second term of the right-hand side of (2.8) as

$$2 \left| \operatorname{Im} \left\langle u, V_\alpha x \cdot \frac{\nabla}{|\nabla|} |\nabla| |\nabla|^{-\alpha} u \right\rangle \right|.$$

By using lemma 2.3 we see that this is bounded by

$$C\|\psi\|_{L^\infty} \|\varphi\|_{L^2}^2 \int |u(x)| |x|^{-(\alpha-1)} \int |x - y|^{-(n-(\alpha-1))} \left| \left(\frac{\nabla}{|\nabla|} u \right) (y) \right| \, dy \, dx.$$

Applying (2.12) with $p = 2$, $\beta = \alpha - 1$ and $\lambda = n - (\alpha - 1)$, and Plancherel’s theorem, we get the desired bound (2.8).

CASE 2 ($1 \leq \alpha < 2$). Now we consider the fractional case $1 \leq \alpha < 2$. The second term of the right-hand side of (2.8) can be treated in the same way as the high-order case and it is bounded by $C\|\varphi\|_{L^2}^4$. Hence, it suffices to consider the first term. Let us set $g = |x|^2 V_\alpha$. Then we need only to obtain

$$\| [|\nabla|^{2-\alpha}, g]u \|_{L^2} \leq C\|\varphi\|_{L^2}^3, \tag{2.13}$$

which gives $|\langle u, [|x|^2 V_\alpha, |\nabla|^{2-\alpha}]u \rangle| \lesssim \|\varphi\|_{L^2}^4$, and thus (2.8). The kernel $K(x, y)$ of the commutator $[|\nabla|^{2-\alpha}, g]$ can be written as $k(x - y)(g(y) - g(x))$, where k is the

kernel of the pseudo-differential operator $|\nabla|^{2-\alpha}$. Let K^* be the kernel of the dual operator of $[|\nabla|^{2-\alpha}, g]$. Then, obviously, $K^*(x, y) = -K(x, y)$.

Suppose that

$$\|g\|_{\dot{A}^{2-\alpha}} = \sup_{x \neq y \in \mathbb{R}^n} \frac{|g(x) - g(y)|}{|x - y|^{2-\alpha}} < \infty.$$

Since $|k(x - y)| \lesssim |x - y|^{-n-(2-\alpha)}$, $|\nabla k(x - y)| \lesssim |x - y|^{-n-1-(2-\alpha)}$ and $0 < 2 - \alpha \leq 1$, it is easy to see that

$$\begin{aligned} |K(x, y)| &\lesssim |x - y|^{-n}, \\ |K(x, y) - K(x', y)| &\lesssim \frac{|x - x'|^{2-\alpha}}{|x - y|^{n+2-\alpha}} \quad \text{if } |x - x'| \leq \frac{|x - y|}{2}, \\ |K(x, y) - K(x, y')| &\lesssim \frac{|y - y'|^{2-\alpha}}{|x - y|^{n+2-\alpha}} \quad \text{if } |y - y'| \leq \frac{|x - y|}{2} \end{aligned}$$

and we obtain similar expressions for K^* (because $K^*(x, y) = -K(x, y)$). Let ζ be a normalized bump function supported in the unit ball and set $\zeta^{x_0, N}(x) = \zeta((x - x_0)/N)$. By [8, theorem 3, p. 294], in order to prove (2.13), it is sufficient to show that

$$\| [|\nabla|^{2-\alpha}, g](\zeta^{x_0, N}) \|_{L^2} \leq C \|\varphi\|_{L^2}^2 N^{n/2} \tag{2.14}$$

with C independent of x_0 , N and ζ .

We now show (2.14). The commutator $[|\nabla|^{2-\alpha}, g]$ can be written as

$$\sum_{j=1}^n [T_j, g] \partial_j + \sum_{j=1}^n T_j (\partial_j g), \tag{2.15}$$

where $T_j = -|\nabla|^{2-\alpha}(-\Delta)^{-1} \partial_j$. For the first sum of (2.15) we obtain

$$\| [T_j, g] \partial_j (\zeta^{x_0, N}) \|_{L^2} \leq C \|\varphi\|_{L^2}^2 N^{n/2}. \tag{2.16}$$

Indeed, let k_j be the kernel of T_j . If $\alpha = 1$, k_j is the kernel of the Riesz transform. If $1 < \alpha < 2$, it is easy to see that $|k_j(x, y)| \lesssim |x - y|^{-n+\alpha-1}$ (note that $|\hat{k}_j(\xi)| \lesssim |\xi|^{-(\alpha-1)}$). Thus, it follows that

$$|K_j(x, y)| = |k_j(x - y)| |g(y) - g(x)| \lesssim \|g\|_{\dot{A}^{2-\alpha}} |x - y|^{-(n-1)}.$$

Hence, for $|x - x_0| < 2N$, $\| [T_i, g] \partial_i (\zeta^{x_0, N})(x) \| \lesssim \|g\|_{\dot{A}^{2-\alpha}}$. This gives

$$\| [T_i, g] \partial_i (\zeta^{x_0, N}) \|_{L^2(\{|x-x_0| < 2N\})} \lesssim \|g\|_{\dot{A}^{2-\alpha}} N^{n/2}.$$

If $|x - x_0| \geq 2N$, we have $\| [T_i, g] \partial_i (\zeta^{x_0, N})(x) \| \lesssim \|g\|_{\dot{A}^{2-\alpha}} N^{n-1} |x - x_0|^{-(n-1)}$. Hence,

$$\begin{aligned} \| [T_i, g] \partial_i (\zeta^{x_0, N}) \|_{L^2(\{|x-x_0| \geq 2N\})} &\lesssim \|g\|_{\dot{A}^{2-\alpha}} N^{n-1} \left(\int_{|x| > 2N} |x|^{-2(n-1)} dx \right)^{1/2} \\ &\lesssim \|g\|_{\dot{A}^{2-\alpha}} N^{n/2}. \end{aligned}$$

We now show that $\|g\|_{\dot{A}^{2-\alpha}} \leq C \|\varphi\|_{L^2}^2$, which gives (2.16). If $x \neq y$, then

$$|g(x) - g(y)| \leq |x - y| \int_0^1 |\nabla g(z_s)| ds, \quad z_s = x + s(y - x).$$

Since $|\psi'(\rho)| \leq C\rho^{-1}$ for $\rho > 0$, from lemma 2.3 and mass conservation it follows that

$$|\nabla g(z_s)| \lesssim |z_s|^{1-\alpha} \|u\|_{L^2}^2 = \|x\| - s \|x - y\|^{1-\alpha} \|\varphi\|_{L^2}^2,$$

provided that $\alpha < n - 2$. Since

$$\sup_{a>0} \int_0^1 |a - s|^{-\theta} ds \leq C_\theta \quad \text{for } 0 < \theta < 1,$$

we have

$$|g(x) - g(y)| \lesssim |x - y|^{2-\alpha} \|\varphi\|_{L^2}^2.$$

Thus, we obtain (2.16).

Finally, we need to handle the second sum of (2.15). If $\alpha = 1$, T_j is a Riesz transform. Thus,

$$\|T_j((\partial_j g)\zeta^{x_0, N})\|_{L^2} \leq C \|\partial_j g\|_{L^\infty} N^{n/2}.$$

By lemma 2.3 for $\alpha = 1$, we obtain $|\partial_j g(x)| \leq |x|V_1 + |x|^2|\partial_j V_1| \lesssim \|\varphi\|_{L^2}^2$. Hence,

$$\|T_j((\partial_j g)\zeta^{x_0, N})\|_{L^2} \leq C \|\varphi\|_{L^2}^2 N^{n/2}. \tag{2.17}$$

For $1 < \alpha < 2$, the kernel $k_j(x)$ of T_j is bounded by $C|x|^{-(n-\alpha+1)}$. So, from the duality and lemma 2.3 with $\alpha < n - 2$, we have, for any $\psi \in L^2$,

$$\begin{aligned} |\langle \psi, T_j((\partial_j g)\zeta^{x_0, N}) \rangle| &= |\langle T_j^* \psi, (\partial_j g)\zeta^{x_0, N} \rangle| \\ &\leq CN^{n/2} \left\| |\partial_j g(\cdot)| \int |\cdot - y|^{-(n-\alpha+1)} |\psi(y)| dy \right\|_{L^2} \\ &\leq CN^{n/2} \|\varphi\|_{L^2}^2 \left\| |\cdot|^{1-\alpha} \int |\cdot - y|^{-(n-\alpha+1)} |\psi(y)| dy \right\|_{L^2}, \end{aligned}$$

where T_j^* is the dual operator of T_j . Using (2.12) with $\beta = \alpha - 1$, $\lambda = n - \alpha + 1$ and $p = 2$, we obtain

$$|\langle \psi, T_j((\partial_j g)\zeta^{x_0, N}) \rangle| \leq C \|\psi\|_{L^2} \|\varphi\|_{L^2}^2 N^{n/2}.$$

Thus, it follows that

$$\|T_j(\partial_j g\zeta^{x_0, N})\|_{L^2} \leq C \|\varphi\|_{L^2}^2 N^{n/2}. \tag{2.18}$$

Therefore, combining the estimates (2.16)–(2.18) yields (2.14). This completes the proof of lemma 2.2. \square

3. Propagation of the moment

We now discuss estimates for the propagation of moments $\| |x|^{2k} u \|_{L^2}$ when $|x|^{2k} \varphi \in L^2$ and the solution $u \in C([0, T^*]; H^{\alpha^*})$. For $\alpha < 2k$, we use the kernel estimate of Bessel potentials. Let us denote, respectively, the kernels of Bessel potentials $D^{-\beta}$ and $|\nabla|^\alpha D^{-2k}$ ($\beta = \alpha - 2k$) by $G_\beta(x)$ and $K(x)$, where $D = \sqrt{1 - \Delta}$. Then

$$K(x) = \sum_{j=0}^{\infty} A_j G_{2j+\beta}(x),$$

where the coefficients A_j are given by the expansion $(1 - t)^{\alpha/2} = \sum_{j=0}^{\infty} A_j t^j$ for $|t| < 1$ with $\sum_{j \geq 0} |A_j| < \infty$. One can show that $(1 + |x|)^\ell K \in L^1$ for $\ell \geq 1$ and that it has decreasing radial and integrable majorant. In fact, from the integral representation

$$G_{2j+\beta}(x) = \frac{1}{(4\pi)^{n/2} \Gamma(j + \beta/2)} \int_0^\infty \lambda^{(2j+\beta-n)/2-1} e^{-|x|^2/4\lambda} e^{-\lambda} d\lambda,$$

it follows that, for j with $2j + \beta < n$,

$$G_{2j+\beta}(x) \leq C(|x|^{-n+2j+\beta} \chi_{\{|x| \leq 1\}}(x) + e^{-c|x|} \chi_{\{|x| > 1\}}(x)) \tag{3.1}$$

and, for j with $2j + \beta \geq n$,

$$G_{2j+\beta}(x) \leq C(\chi_{\{|x| \leq 1\}}(x) + e^{-c|x|} \chi_{\{|x| > 1\}}(x)). \tag{3.2}$$

Here, the constants c and C of (3.1) and (3.2) are independent of j . So, the function $(1 + |x|)^\ell G_{2j+\beta}$ has a decreasing radial and integrable majorant, which is chosen uniformly on j , and so does K . For details see [7, pp. 132–135].

PROPOSITION 3.1. *Let T^* be the maximal time of solution $u \in C([0, T^*]; H^{\alpha^*})$ to (1.1). If $|x|^\ell \partial^j \varphi \in L^2(\mathbb{R})$ for $1 \leq \ell \leq 2k$, $0 \leq |j| \leq 2k(2k - \ell)$, then $|x|^\ell \partial^j u(t) \in L^2(\mathbb{R})$ for all $t \in [0, T^*)$.*

Let us set $\psi_\varepsilon(x) = e^{-\varepsilon|x|^2}$. For the proof of proposition 3.1 we use the following bootstrapping lemma.

LEMMA 3.2. *Let ℓ and m be integers such that $2 \leq \ell \leq 2k$ and $0 \leq m \leq \alpha^* - 2k$. Suppose that $\sup_{0 \leq t' \leq t} (\|u(t')\|_{H^{2k+m}} + \||x|^j \partial^j u(t')\|_{L^2}) < \infty$ for all $t \in [0, T^*)$ and $0 \leq j \leq \ell - 1$, $|j| \leq 2k + m$. Then $\sup_{0 \leq t' \leq t} \||x|^\ell \partial^m u(t')\|_{L^2} < \infty$ for all $t \in [0, T^*)$ and $|m| = m$.*

Proof. Let $v = \partial^m u$ and let

$$m_\varepsilon(t) = \langle v(t), |x|^{2\ell} \psi_\varepsilon^2 v(t) \rangle.$$

From the regularity of the solution u , it follows that

$$m'_\varepsilon(t) = 2 \operatorname{Im} \langle v, [|\nabla|^\alpha, |x|^{2\ell} \psi_\varepsilon^2] v \rangle + 2 \operatorname{Im} \langle |x|^\ell \psi_\varepsilon v, |x|^\ell \psi_\varepsilon \partial^m (V_\alpha u) \rangle =: 2(\text{I} + \text{II}).$$

We first prove the case $\alpha < 2k$. We rewrite I as

$$\begin{aligned} \text{I} &= \operatorname{Im} \langle |x|^\ell \psi_\varepsilon v, [|\nabla|^\alpha D^{-2k}, |x|^\ell \psi_\varepsilon] D^{2k} u \rangle + \operatorname{Im} \langle |\nabla|^\alpha D^{-2k} (|x|^\ell \psi_\varepsilon v), [D^{2k}, |x|^\ell \psi_\varepsilon] v \rangle \\ &=: I_1 + I_2. \end{aligned}$$

By the kernel representation of $|\nabla|^\alpha D^{-2k}$, we have

$$\begin{aligned} & \||\nabla D^{-2k}, |x|^\ell \psi_\varepsilon\| D^{2k} u(x) | \\ & \leq \int K(x - y) ||x|^\ell \psi_\varepsilon(x) - |y|^\ell \psi_\varepsilon(y)| |D^{2k} u(y)| dy \\ & \lesssim \int K(x - y) |x - y| (|x|^{\ell-1} + |y|^{\ell-1}) |D^{2k} u(y)| dy \\ & \lesssim \int K(x - y) |x - y|^\ell |D^{2k} u(y)| dy + \int K(x - y) |x - y| |y|^{\ell-1} |D^{2k} u(y)| dy. \end{aligned}$$

Since $|x|^\ell K$ is integrable, the Cauchy–Schwarz inequality gives

$$I_1 \lesssim \sqrt{m_\varepsilon} (\|u\|_{H^{2k}} + \||x|^{\ell-1} D^{2k} u\|_{L^2}).$$

As for I_2 , we have

$$\begin{aligned} I_2 &= \sum_{1 \leq j \leq k} c_j \operatorname{Im} \langle |\nabla|^\alpha D^{-2k} (|x|^\ell \psi_\varepsilon v), [\Delta^j, |x|^\ell \psi_\varepsilon] v \rangle \\ &= \sum_{1 \leq j \leq k} c_j \operatorname{Im} \left\langle |\nabla|^\alpha D^{-2k} (|x|^\ell \psi_\varepsilon v), \sum_{\substack{|j_1|+|j_2|+|j_3|=2j \\ 0 \leq |j_3| \leq 2j-1}} c_{j_1, j_2, j_3} \partial^{j_1} (|x|^\ell) \partial^{j_2} \psi_\varepsilon \partial^{j_3} v \right\rangle. \end{aligned}$$

Note that $|\partial^{j_1} (|x|^\ell)| \lesssim |x|^{\ell-|j_1|}$ and $|\partial^{j_2} \psi_\varepsilon(x)| \lesssim \varepsilon^{|j_2|/2} (1 + \varepsilon|x|^2)^{|j_2|/2} \psi_\varepsilon(x)$. Hence, it follows that

$$\begin{aligned} I_2 &\lesssim \||\nabla|^\alpha D^{-2k} (|x|^\ell \psi_\varepsilon v)\|_{L^2} \\ &\quad \times \sum_{1 \leq j \leq k} \left(\sum_{\substack{|j_1|+|j_2|+|j_3|=2j \\ 0 \leq |j_3| \leq j-\ell}} + \sum_{\substack{|j_1|+|j_2|+|j_3|=j \\ j-\ell \leq |j_3| \leq 2j-1}} \right) \||x|^{\ell-|j_1|-|j_2|} \partial^{j_3} v\|_{L^2} \\ &\lesssim \sqrt{m_\varepsilon} \sum_{1 \leq j \leq k} \left(\sum_{\substack{|j_1|+|j_2|+|j_3|=2j \\ 0 \leq |j_3| \leq j-\ell}} + \sum_{\substack{|j_1|+|j_2|+|j_3|=2j \\ j-\ell \leq |j_3| \leq 2j-1}} \right) \||x|^{|j_3|-(j-\ell)} \partial^{j_3} v\|_{L^2}. \end{aligned}$$

Here we used the fact that the kernel of $|\nabla|^\alpha D^{-2k}$ is integrable. Conventionally, the summand is zero if $j - \ell < 0$. By the Hardy–Sobolev inequality, we obtain, for $0 \leq |j_3| \leq j - \ell$,

$$\||x|^{|j_3|-(j-\ell)} \partial^{j_3} v\|_{L^2} \lesssim \|\partial^{j_3} v\|_{H^{j-\ell-|j_3|}} \lesssim \|v\|_{H^{j-\ell}} \lesssim \|u\|_{H^{j-\ell+m}}.$$

If $j - \ell \leq |j_3| \leq 2j - 1$, then

$$\||x|^{|j_3|-(j-\ell)} \partial^{j_3} v\|_{L^2} = \||x|^{|j_3|-(j-\ell)} \partial^{j_3+m} u\|_{L^2}.$$

Thus, we finally obtain

$$I \lesssim \sqrt{m_\varepsilon(t)} \left(\|u(t)\|_{H^{2k+m}} + \sum_{0 \leq |j| \leq 2k+m} \|(1 + |x|)^{\ell-1} \partial^j u(t)\|_{L^2} \right). \tag{3.3}$$

For the case in which $\alpha = 2k$, we do not need the estimate for I_1 . For the estimate of $I_2 = \operatorname{Im} \langle |x|^\ell \psi_\varepsilon v, [\Delta^k, |x|^\ell \psi_\varepsilon] v \rangle$, we estimate similarly to obtain (3.3).

Now we proceed to estimate II. For this let us observe that

$$\begin{aligned} \text{II} &= \sum_{\substack{m_1+m_2=m \\ 0 \leq |m_2| \leq m-1}} c_{m_1, m_2} \operatorname{Im} \langle |x|^\ell \psi_\varepsilon v, |x|^\ell \psi_\varepsilon \partial^{m_1} V_\alpha \partial^{m_2} u \rangle \\ &\lesssim \sqrt{m_\varepsilon} \sum_{\substack{m_1+m_2=m \\ 0 \leq |m_2| \leq m-1}} \||x| \partial^{m_1} V_\alpha\|_{L^\infty} \||x|^{\ell-1} \partial^{m_2} u\|_{L^2}. \end{aligned}$$

By Young’s inequality, we estimate

$$\begin{aligned}
 |x| |\partial^{m_1} V_\alpha| &\lesssim \sum_{m_1^1+m_1^2=m_1} \int |x-y|^{-\alpha} (|x-y|+|y|) |\partial^{m_1^1} u(y)| |\partial^{m_1^2} u(y)| dy \\
 &\lesssim \sum_{m_1^1+m_1^2=m_1} \left(\int |x-y|^{-(\alpha-1)} (|\partial^{m_1^1} u(y)|^2 + |\partial^{m_1^2} u(y)|^2) dy \right. \\
 &\quad \left. + \int |x-y|^{-\alpha} (|y|^2 |\partial^{m_1^1} u(y)|^2 + |\partial^{m_1^2} u(y)|^2) dy \right).
 \end{aligned}$$

Using the Hardy–Sobolev inequality, we get

$$\text{II} \lesssim \sqrt{\mathbf{m}_\varepsilon} \sum_{0 \leq |j| \leq k+m} \|(1+|x|)^{\ell-1} \partial^j u\|_{L^2}^3. \tag{3.4}$$

From (3.3) and (3.4) it follows that

$$\mathbf{m}'_\varepsilon(t) \leq \sqrt{\mathbf{m}_\varepsilon(t)} \left(\|u(t)\|_{H^{2k+m}} + \sum_{0 \leq |j| \leq 2k+m} (1 + \|(1+|x|)^{\ell-1} \partial^j u(t)\|_{L^2})^3 \right),$$

which implies

$$\begin{aligned}
 \sqrt{\mathbf{m}_\varepsilon(t)} &\lesssim \sqrt{\mathbf{m}_\varepsilon(0)} \\
 &+ \int_0^t \left(\|u(t')\|_{H^{2k+m}} + \sum_{0 \leq |j| \leq 2k+m} (1 + \|(1+|x|)^{\ell-1} \partial^j u(t')\|_{L^2})^3 \right) dt'.
 \end{aligned}$$

Letting $\varepsilon \rightarrow 0$, by Fatou’s lemma we obtain $\sup_{0 \leq t' \leq t} \| |x|^\ell \partial^m u \|_{L^2} < \infty$ for all $t \in [0, T^*)$. □

Proof of proposition 3.1. In view of lemma 3.2 it suffices to show that

$$\sup_{0 \leq t' \leq t} \| |x| \partial^j u(t') \|_{L^2} < \infty \quad \text{for all } |j| \leq \alpha^* - 2k \text{ and } t \in [0, T^*), \tag{3.5}$$

provided that $u \in C([0, T^*); H^{\alpha^*})$. In fact, we can use the same estimates of \mathbf{m}_ε as in (3.3) and (3.4) for the case $\ell = 1$, to obtain

$$\sqrt{\mathbf{m}_\varepsilon(t)} \lesssim \sqrt{\mathbf{m}_\varepsilon(0)} + \int_0^t (\|u(t)\|_{H^{\alpha^*}} + \|u(t)\|_{H^{\alpha^*}}^3) dt'.$$

A limiting argument implies (3.5). This completes the proof of proposition 3.1. □

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Appendix A.

In this section we provide a proof of the local well-posedness of the Hartree equation (1.1). Here we only assume that $\alpha > 0$ and $\psi \in L^\infty$.

PROPOSITION A.1. *Let $\psi \in L^\infty$. Let $\alpha > 0$, $0 < \gamma < n$ and $n \geq 1$. Suppose that $\varphi \in H^s(\mathbb{R}^n)$ with $s \geq \gamma/2$. There then exists a positive time T such that the Hartree equation (1.1) has a unique solution $u \in C([0, T]; H^s) \cap C^1([0, T]; H^{s-\alpha})$. Moreover, if T^* is the maximal existence time and is finite, then $\lim_{t \nearrow T^*} \|u(t)\|_{H^{\gamma/2}} = \infty$.*

Proof. We use the standard contraction-mapping argument, so we shall be brief.

Let $(X(T, \rho), d)$ be a complete metric space with metric d defined by

$$X(T, \rho) = \{u \in L_T^\infty(H^s(\mathbb{R}^n)) : \|u\|_{L_T^\infty H^s} \leq \rho\}, \quad d_X(u, v) = \|u - v\|_{L_T^\infty L^2}.$$

We define a mapping $\mathcal{N} : u \mapsto \mathcal{N}(u)$ on $X(T, \rho)$ by

$$\mathcal{N}(u)(t) = U(t)\varphi - i \int_0^t U(t-t')F(u)(t') dt', \tag{A 1}$$

where $U(t) = e^{-it|\nabla|^\alpha}$. For $u \in X(T, \rho)$ and $s \geq \gamma/2$ we estimate

$$\begin{aligned} \|\mathcal{N}(u)\|_{L_T^\infty H^s} &\leq \|\varphi\|_{H^s} + T\|F(u)\|_{L_T^\infty H^s} \\ &\lesssim \|\varphi\|_{H^s} + T(\|V_\gamma(|u|^2)\|_{L_T^\infty L^\infty} \|u\|_{L_T^\infty H^s} \\ &\quad + \|V_\gamma(|u|^2)\|_{L_T^\infty H^{2n/\gamma}}^s \|u\|_{L_T^\infty L^{2n/(n-\gamma)}}) \\ &\lesssim \|\varphi\|_{H^s} + T(\|V_\gamma(|u|^2)\|_{L_T^\infty L^\infty} \|u\|_{L_T^\infty H^s} \\ &\quad + \|V_\gamma(\langle \nabla \rangle^s(|u|^2))\|_{L_T^\infty L^{2n/\gamma}} \|u\|_{L_T^\infty L^{2n/(n-\gamma)}}) \\ &\lesssim \|\varphi\|_{H^s} + T(\|V_\gamma(|u|^2)\|_{L_T^\infty L^\infty} \|u\|_{L_T^\infty H^s} \\ &\quad + \|\langle \nabla \rangle^s(|u|^2)\|_{L_T^\infty L^{(2n-\gamma)/2n}} \|u\|_{L_T^\infty L^{2n/(n-\gamma)}}) \\ &\lesssim \|\varphi\|_{H^s} + T(\|u\|_{L_T^\infty H^{\gamma/2}}^2 \|u\|_{L_T^\infty H^s} + \|u\|_{L_T^\infty L^{2n/(n-\gamma)}}^2 \|u\|_{L_T^\infty H^s}) \\ &\lesssim \|\varphi\|_{H^s} + T\|u\|_{L_T^\infty H^{\gamma/2}}^2 \|u\|_{L_T^\infty H^s} \\ &\lesssim \|\varphi\|_{H^s} + T\rho^3. \end{aligned} \tag{A 2}$$

Here we used: the generalized Leibniz rule (see [4, lemmas A1–A4, appendix]) for the second and fifth inequalities; the fractional integration for the fourth inequality; and the trivial inequality

$$V_\gamma = \int_{\mathbb{R}^n} \frac{\psi(x-y)}{|x-y|^\gamma} |u(y)|^2 dy \leq \|\psi\|_{L^\infty} \int_{\mathbb{R}^n} |x-y|^{-\gamma} |u(y)|^2 dy,$$

the Hardy–Sobolev inequality

$$\sup_{x \in \mathbb{R}^n} \left| \int_{\mathbb{R}^n} \frac{|u(x-y)|^2}{|y|^\gamma} dy \right| \lesssim \|u\|_{\dot{H}^{\gamma/2}}^2$$

and the Sobolev embedding $H^{\gamma/2} \hookrightarrow L^{2n/(n-\gamma)}$ for the last one. If we choose ρ and T such that $\|\varphi\|_{H^s} \leq \rho/2$ and $CT\rho^3 \leq \rho/2$, then \mathcal{N} maps $X(T, \rho)$ to itself.

Now we show that \mathcal{N} is a Lipschitz map with a sufficiently small T . Let $u, v \in X(T, \rho)$. Then we have

$$\begin{aligned} d_X(\mathcal{N}(u), \mathcal{N}(v)) &\lesssim T \|V_\gamma(|u|^2)u - V_\gamma(|v|^2)v\|_{L_T^\infty L^2} \\ &\lesssim T (\|V_\gamma(|u|^2)(u - v)\|_{L_T^\infty L^2} + \|V_\gamma(|u|^2 - |v|^2)v\|_{L_T^\infty L^2}) \\ &\lesssim T (\|u\|_{L_T^\infty H^{\gamma/2}}^2 d_X(u, v) \\ &\quad + \|V_\gamma(|u|^2 - |v|^2)\|_{L_T^\infty L^{2n/\gamma}} \|v\|_{L_T^\infty L^{2n/(n-\gamma)}}) \\ &\lesssim T (\rho^2 d_X(u, v) + \rho \| |u|^2 - |v|^2 \|_{L_T^\infty L^{2n/(2n-\gamma)}}) \\ &\lesssim T (\rho^2 + \rho (\|u\|_{L_T^\infty L^{2n/(n-\gamma)}} + \|v\|_{L_T^\infty L^{2n/(n-\gamma)}})) d_X(u, v) \\ &\lesssim T \rho^2 d_X(u, v). \end{aligned}$$

The above estimate implies that the mapping \mathcal{N} is a contraction if T is sufficiently small. The uniqueness and time regularity follow easily from (1.1) and a similar contraction argument.

Finally, let T^* be the maximal existence time. If $T^* < \infty$, then it is obvious from the estimate (A 2) and the standard local well-posedness theory that $\lim_{t \nearrow T^*} \|u(t)\|_{H^{\gamma/2}} = \infty$. This completes the proof of proposition A.1. \square

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