



## 无穷格点上长波 - 短波共振方程组 核截面的分形维数估计 \*

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**摘要:** 该文证明了无穷格点上长波 - 短波共振方程组核截面的分形维数估计.

**关键词:** 格点长波 - 短波共振方程组; 核截面; 分形维数.

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### 1 引言

本文讨论下面非自治格点长波 - 短波共振方程组的初值问题

$$i\dot{u}_m - (Au)_m - u_m v_m + i\alpha u_m = f_m(t), \quad m \in \mathbb{Z}, \quad t > \tau, \quad (1.1)$$

$$\dot{v}_m + \beta v_m + \gamma(B(|u|^2))_m = g_m(t), \quad m \in \mathbb{Z}, \quad t > \tau, \quad (1.2)$$

$$u_m(\tau) = u_{m,\tau}, \quad v_m(\tau) = v_{m,\tau}, \quad m \in \mathbb{Z}, \quad \tau \in \mathbb{R}, \quad (1.3)$$

其中  $u_m(t) \in \mathbb{C}$ (复数集),  $v_m(t) \in \mathbb{R}$ (实数集),  $\mathbb{Z}$  为整数集,  $i$  为虚数单位,  $\alpha, \beta, \gamma$  为正的常数,  $A$  和  $B$  均为线性算子, 分别定义为

$$(Au)_m = 2u_m - u_{m+1} - u_{m-1}, \quad \forall u = (u_m)_{m \in \mathbb{Z}}, \quad (1.4)$$

$$(Bu)_m = u_{m+1} - u_m, \quad \forall u = (u_m)_{m \in \mathbb{Z}}. \quad (1.5)$$

格点系统是某些变量离散化的时空系统, 包括耦合的常微分方程组、耦合映射格点和细胞自动机<sup>[12-13]</sup>. 在某些情况下, 格点系统表现为偏微分方程的空间变量离散化近似. 格点系统在许多领域有广泛的应用, 涉及电子工程<sup>[11]</sup>、图象处理与模式识别<sup>[14-16]</sup>、激光理论<sup>[20]</sup>、材料科学<sup>[22]</sup>、化学反应理论<sup>[19,32]</sup>、生物学<sup>[31]</sup>等.

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目前已有许多文献研究了格点系统. 例如, 文献 [9, 26–29] 研究了随机格点系统, 文献 [1–2, 25, 40, 43–47, 49–50] 研究了格点系统指数吸引子, 拉回指数吸引子和一致指数吸引子, 文献 [8, 17, 23–24] 研究了格点方程组的行波解问题. 同时, 数学物理学家们把格点动力系统的理论应用到许多数学物理模型中. 例如, 文献 [7] 研究了格点反应扩散方程组, 文献 [30] 研究了三分子可逆 Gray-Scott 方程组, 文献 [33] 研究了离散的非线性 Schrödinger 方程组, 文献 [36,42] 研究了离散的耦合非线性 Schrödinger 型方程组, 文献 [51] 研究了格点 KGS 方程组, 文献 [52] 研究了格点长波 - 短波共振方程组.

方程组 (1.1)–(1.2) 可以看作是下面非自治长波 - 短波共振方程组在  $\mathbb{R}$  上的一个离散近似

$$iu_t + u_{xx} - uv + i\alpha u = f(x, t), \tag{1.6}$$

$$v_t + \beta v + \gamma(|u|^2)_x = g(x, t), \tag{1.7}$$

其中复值函数  $u(x, t)$  表示高频电场的包络, 实值函数  $v(x, t)$  表示短波的振幅, 外力项函数  $g(x, t)$  和  $f(x, t)$  均表示依赖于时间的外力项. 长波 - 短波共振方程组来源于考虑重力和毛细模式的表面波及内部波 (参见文献 [4]). 在激光物理中, 长波 - 短波共振方程组描述高频电子激光的碰撞效果及稠密低频离子的混动行为 (参见文献 [35, 37]).

由于它的重要性, 长波 - 短波共振方程组已经被广泛地研究, 参见文献 [3, 5–6, 21, 35, 52]. 特别地, 文献 [52] 研究了格点长波 - 短波共振方程组 (1.1)–(1.2), 作者首先证明了方程组的解算子生成的过程存在紧致核截面, 然后给出核截面的 Kolmogorov  $\epsilon$ -entropy 熵的上界估计, 最后, 证明了核截面的上半连续性.

本文的主要目的是估计文献 [52] 中所得的核截面的分形维数. 正如文献 [48] 所指出, 有限分形维数的重要性体现为: 对某个度量空间  $E$ , 若  $\mathcal{A}$  是它的紧子集, 且  $\dim_f(\mathcal{A}) < m/2$ , 其中  $m$  是某个自然数, 则存在 Lipschitz 内射  $\varphi: \mathcal{A} \mapsto \mathbb{R}^m$ , 并且  $\mathcal{A}$  的逆映射是 Hölder 连续的. 这个性质表明  $\mathcal{A}$  可以被放入到映  $\mathbb{R}^m$  中的某个紧集到  $\mathcal{A}$  的连续映射的图中.

不变集的分形维数已被广泛地研究 [10,18,34,39]. 值得强调的是, 文献 [18] 证明了吸引子存在有限分形维数的一个准则, 该准则是 Ladyzhenskaya 的关于不变集的有限维数定理 (见文献 [34]) 的一个推广. 后来, 文献 [48] 利用文献 [18] 中的思想方法来证明 Hilbert 空间中不变子集存在有限分形维数的准则.

在这篇文章中, 我们将用文献 [48] 中法则去估计文献 [52] 中所得的核截面的分形维数. 本文的主要任务是证明方程组 (1.1)–(1.2) 所生成的过程: (1) 在核截面  $\mathcal{K}(\tau)$  上有 Lipschitz 性质; (2) 在吸收集  $\mathcal{B}_0$  中有压榨性质. 这里想指出的是, 格点长波 - 短波共振方程组含有非线性项  $(B(|u|^2))_m$ , 这给我们在证明 Lipschitz 性质和压榨性质时带来了困难, 因此需要做细致的计算和分析来处理这一项.

## 2 解的存在唯一性与有界性

先介绍相关空间和算子. 记

$$\ell^2 = \left\{ u = (u_m)_{m \in \mathbb{Z}}, u_m \in \mathbb{C} : \sum_{m \in \mathbb{Z}} |u_m|^2 < +\infty \right\}, \tag{2.1}$$

$$l^2 = \left\{ v = (v_m)_{m \in \mathbb{Z}}, v_m \in \mathbb{R} : \sum_{m \in \mathbb{Z}} v_m^2 < +\infty \right\}. \tag{2.2}$$

为了简洁起见, 用  $X$  表示  $\ell^2$  或  $l^2$ , 并在  $X$  中定义内积与范数

$$(u, v) = \sum_{m \in \mathbb{Z}} u_m \bar{v}_m, \quad \|u\|^2 = (u, u), \quad \forall u = (u_m)_{m \in \mathbb{Z}}, v = (v_m)_{m \in \mathbb{Z}} \in X,$$

其中  $\bar{v}_m$  是  $v_m$  的共轭. 同时, 定义从  $X$  到  $X$  的线性算子  $B^*$  如下

$$(B^*u)_m = u_{m-1} - u_m, \quad \forall m \in \mathbb{Z}, \quad \forall u = (u_m)_{m \in \mathbb{Z}} \in X.$$

可验证  $B^*$  与  $B$  互为伴随算子, 且

$$(Bu, v) = (u, B^*v), \quad (Au, v) = (Bu, Bv), \quad \forall u, v \in X. \quad (2.3)$$

通过简单的计算有

$$\|Bu\|^2 = \sum_{m \in \mathbb{Z}} |u_{m+1} - u_m|^2 \leq 2 \sum_{m \in \mathbb{Z}} (|u_{m+1}|^2 + |u_m|^2) = 4\|u\|^2, \quad \forall u \in X.$$

为把格点方程组 (1.1)–(1.3) 写成向量形式, 记

$$\ell^2 = (\ell^2, (\cdot, \cdot), \|\cdot\|), \quad l^2 = (l^2, (\cdot, \cdot), \|\cdot\|),$$

则  $\ell^2$  和  $l^2$  均为 Hilbert 空间. 记  $E = \ell^2 \times l^2$ , 并在其中定义内积: 对于任意的  $\psi^{(j)} = (u^{(j)}, v^{(j)})^T \in E, j = 1, 2$ ,

$$(\psi^{(1)}, \psi^{(2)})_E = (u^{(1)}, u^{(2)}) + (v^{(1)}, v^{(2)}) = \sum_{m \in \mathbb{Z}} (u_m^{(1)} \bar{u}_m^{(2)} + v_m^{(1)} \bar{v}_m^{(2)}), \quad (2.4)$$

$$\|\psi\|_E^2 = (\psi, \psi)_E, \quad \forall \psi \in E,$$

其中  $\bar{u}_m^{(2)}$  表示  $u_m^{(2)}$  的共轭. 显然,  $E$  为 Hilbert 空间.

记

$$u = (u_m)_{m \in \mathbb{Z}}, \quad v = (v_m)_{m \in \mathbb{Z}}, \quad B|u|^2 = (B(|u|^2))_{m \in \mathbb{Z}}, \quad f(t) = (f_m(t))_{m \in \mathbb{Z}},$$

$$g(t) = (g_m(t))_{m \in \mathbb{Z}}, \quad u_\tau = (u_{m,\tau})_{m \in \mathbb{Z}}, \quad v_\tau = (v_{m,\tau})_{m \in \mathbb{Z}},$$

则方程组 (1.1)–(1.3) 可以写成如下形式

$$i\dot{u} - Au - uv + i\alpha u = f(t), \quad t > \tau, \quad (2.5)$$

$$\dot{v} + \beta v + \gamma B|u|^2 = g(t), \quad t > \tau, \quad (2.6)$$

$$u(\tau) = u_\tau, \quad v(\tau) = v_\tau, \quad \tau \in \mathbb{R}, \quad (2.7)$$

其中算子  $A$  和  $B$  分别由 (1.4) 式和 (1.5) 式所定义. 进一步, 我们把 (2.5)–(2.7) 式写成  $E$  中关于时间  $t$  的抽象的一阶常微分方程的初值问题

$$\dot{\psi} + \Theta\psi = F(\psi, t), \quad t > \tau, \quad (2.8)$$

$$\psi(\tau) = \psi_\tau = (u_\tau, v_\tau)^T, \quad \tau \in \mathbb{R}, \quad (2.9)$$

其中  $\psi = (u, v)^T, F(\psi, t) = (-iuv - if(t), g(t) - \gamma B|u|^2)^T$ , 且

$$\Theta = \begin{pmatrix} \alpha I + iA & 0 \\ 0 & \beta I \end{pmatrix}. \tag{2.10}$$

为讨论初值问题 (2.5)–(2.7) 解的适定性, 我们需要假设外力项函数满足的一定的性质. 记  $C_b(\mathbb{R}, X)$  为从  $\mathbb{R}$  到  $X$  的连续有界函数全体, 则  $\forall f(t) \in C_b(\mathbb{R}, X)$ , 有  $\sup_{t \in \mathbb{R}} \sum_{m \in \mathbb{Z}} |f_m(t)|^2 < +\infty$ .

记

$$\mathcal{H} = \left\{ f(t) = (f_m(t))_{m \in \mathbb{Z}} \in C_b(\mathbb{R}, X) : \text{对每个 } \tau \in \mathbb{R}, \forall \varepsilon > 0, \exists M(\varepsilon, \tau) \in \mathbb{N}, \right. \\ \left. \text{使得 } \sum_{|m| \geq M(\varepsilon, \tau)} |f_m(s)|^2 \leq \varepsilon, \forall s \leq \tau \right\}. \tag{2.11}$$

本文, 我们需要以下假设.

假设 (H) 设常数  $\alpha, \beta, \gamma$  和  $f(t), g(t)$  满足

$$\min\{\alpha, \beta\} > 2\sqrt{\frac{(8\gamma^2 + 1)}{\min\{\frac{\alpha}{2}, \frac{\beta}{2}\}} \left( \frac{\| \|f\| \|^2}{\alpha} + \frac{2\| \|g\| \|^2}{\beta} + \frac{8\gamma^4 \| \|f\| \|^4}{\alpha^4 \beta} \right)}. \tag{2.12}$$

下面我们给出方程组 (2.8)–(2.9) 已有的一些结果.

**引理 2.1**<sup>[52]</sup> 设  $f(t) = (f_m(t))_{m \in \mathbb{Z}} \in C_b(\mathbb{R}, \ell^2), g(t) = (g_m(t))_{m \in \mathbb{Z}} \in C_b(\mathbb{R}, \ell^2)$ . 则对任意的初值  $\psi_\tau = (u_\tau, v_\tau)^T \in E$ , 方程组 (2.8)–(2.9) 有唯一解  $\psi(t) = (u(t), v(t))^T \in E$  且  $\psi(t) \in C([\tau, +\infty), E) \cap C^1((\tau, +\infty), E)$ . 另外, 解映射

$$U(t, \tau) : \psi_\tau = (u_\tau, v_\tau)^T \in E \mapsto \psi(t) = (u(t), v(t))^T \in E, \forall t \geq \tau, \tag{2.13}$$

在  $E$  上生成了一个连续的过程  $\{U(t, \tau)\}_{t \geq \tau}$ .

**引理 2.2**<sup>[52]</sup> 设引理 2.1 的条件成立. 则方程组 (2.8)–(2.9) 相应于初值  $\psi_{t-s} = (u_{t-s}, v_{t-s})^T \in E$  的解  $\psi(t) = (u(t), v(t))^T = U(t, t-s)\psi_{t-s} \in E$  满足

$$\|\psi(t)\|_E^2 \leq C_0 e^{-\theta s} + \frac{r_0^2}{2\theta}, \forall s > 0,$$

其中  $C_0, \theta = \min\{\frac{\alpha}{2}, \frac{\beta}{2}\}$  和  $r_0$  均为不依赖于  $t$  和  $s$  的常数. 也就是说, 过程  $\{U(t, \tau)\}_{t \geq \tau}$  在  $E$  上存在一致有界吸收集  $\mathcal{B}_0 \subset E$ , 即对任意有界集  $\mathcal{B} \subset E$ , 存在时间  $s(\mathcal{B}) > 0$ , 使得

$$U(t, t-s)\mathcal{B} \subseteq \mathcal{B}_0, \forall s \geq s(\mathcal{B}),$$

其中  $\mathcal{B}_0 = \mathcal{B}(0, R_0) \subset E$  是  $E$  中以 0 为中心,  $R_0 := \frac{r_0}{\sqrt{\theta}}$  为半径的闭球.

由引理 2.2 知存在时间  $t_0 := t_0(\mathcal{B}_0)$ , 使得

$$U(t, t-s)\mathcal{B}_0 \subseteq \mathcal{B}_0, \forall s \geq t_0. \tag{2.14}$$

**引理 2.3**<sup>[52]</sup> 设  $f(t) = (f_m(t))_{m \in \mathbb{Z}} \in \mathcal{H}(X = \ell^2), g(t) = (g_m(t))_{m \in \mathbb{Z}} \in \mathcal{H}(X = \ell^2)$ , 则  $U(t, t-s)\psi_{t-s} = \psi(t) = (\psi_m(t))_{m \in \mathbb{Z}} \in E$  为初值问题 (2.8)–(2.9) 的解, 其中  $\psi_{t-s} \in \mathcal{B}_0$ . 则对任意的  $\varepsilon > 0$ , 存在时间  $T(\varepsilon, \mathcal{B}_0) > 0, M(\varepsilon, s, \mathcal{B}_0) \in \mathbb{Z}_+$  使得

$$\sum_{|m| > M(\varepsilon, s, \mathcal{B}_0)} |(U(t, t-s)\psi_{t-s})_m|_E^2 = \sum_{|m| > M(\varepsilon, s, \mathcal{B}_0)} |\psi_m(t)|_E^2 \leq \varepsilon^2, s \geq T(\varepsilon, \mathcal{B}_0), \tag{2.15}$$

其中  $|\psi_m|_E^2 = |u_m|^2 + v_m^2$ .

**引理 2.4**<sup>[52]</sup> 设引理 2.3 的条件成立. 则  $\{U(t, \tau)\}_{t \geq \tau}$  存在一族紧致核截面  $\{\mathcal{K}(\tau)\}_{\tau \in \mathbb{R}} \subset E$ , 满足

- (1) 紧致性: 对每个  $\tau \in \mathbb{R}$ ,  $\mathcal{K}(\tau)$  是  $E$  中紧集, 且  $\mathcal{K}(\tau) = \bigcap_{T>0, s>T} \overline{U(\tau, \tau-s)\mathcal{B}_0} \subset \mathcal{B}_0$ ;
- (2) 不变性:  $U(t, \tau)\mathcal{K}(\tau) = \mathcal{K}(t), \forall t \geq \tau, \tau \in \mathbb{R}$ ;
- (3) 拉回吸引力: 对  $E$  中的任何有界集  $\mathcal{B}$ , 都有

$$\lim_{s \rightarrow +\infty} \text{dist}_E(U(\tau, \tau-s)\mathcal{B}, \mathcal{K}(\tau)) = 0,$$

其中  $\text{dist}_E(Y_1, Y_2) = \sup_{x \in Y_1} \inf_{y \in Y_2} \|x - y\|_E$ .

### 3 核截面的分形维数

本部分估计引理 2.4 所得核截面的分形维数.

**定义 3.1** 对任意的  $\tau \in \mathbb{R}$ , 核截面  $\mathcal{K}(\tau)$  的分形维数定义为

$$\dim_F \mathcal{K}(\tau) = \limsup_{\varepsilon \rightarrow 0} \frac{\ln \mathcal{N}(\mathcal{K}(\tau), \varepsilon)}{\ln(1/\varepsilon)}, \quad (3.1)$$

其中  $\mathcal{N}(\mathcal{K}(\tau), \varepsilon)$  表示  $E$  中直径不超过  $2\varepsilon$  的覆盖  $\mathcal{K}(\tau)$  所需球的最少个数.

关于向量空间中不变集的分形维数的一般定义 (参见文献 [18, 34, 39]). 记

$$E^{(N)} = \{\psi = (\psi_m)_{m \in \mathbb{Z}} \in E \mid \psi_m = (0, 0)^T \text{ 当 } |m| > N \text{ 时}\}, \quad (3.2)$$

则  $E^{(N)}$  是  $E$  中的  $3(2N+1)$  维子空间. 定义映射  $P_N : E \mapsto E^{(N)} \subset E$  如下

$$(P_N \psi)_m = \begin{cases} \psi_m, & |m| \leq N; \\ 0, & |m| > N, \end{cases} \quad \psi = (\psi_m)_{m \in \mathbb{Z}} \in E.$$

下面的引理在估计核截面的分形维数时起关键作用.

**引理 3.1** 若假设 (H) 成立且引理 2.4 的条件成立. 则对任意的  $\tau \in \mathbb{R}$ , 存在不依赖于  $\tau \in \mathbb{R}$  的正数  $T^*, L(T^*), N^*$  和  $\eta \in (0, 1/2)$ , 使得

- (I) 对任意的  $\psi_\tau^{(1)}, \psi_\tau^{(2)} \in \mathcal{K}(\tau)$ , 有

$$\|U(T^* + \tau, \tau)\psi_\tau^{(1)} - U(T^* + \tau, \tau)\psi_\tau^{(2)}\|_E \leq L(T^*)\|\psi_\tau^{(1)} - \psi_\tau^{(2)}\|_E, \quad (3.3)$$

也即  $U(T^* + \tau, \tau)$  是  $\mathcal{K}(\tau)$  上的 Lipschitz 映射.

- (II) 存在投影算子  $P_{2N^*} : E \mapsto E^{(2N^*)}$  使得对每个  $\tau \in \mathbb{R}, \psi_\tau^{(1)}, \psi_\tau^{(2)} \in \mathcal{K}(\tau) \subseteq \mathcal{B}_0$ , 有

$$\|(I - P_{2N^*})[U(T^* + \tau, \tau)\psi_\tau^{(1)} - U(T^* + \tau, \tau)\psi_\tau^{(2)}]\|_E \leq \eta\|\psi_\tau^{(1)} - \psi_\tau^{(2)}\|_E, \quad (3.4)$$

其中  $I$  是投影算子.

**证** 由文献 [52, 引理 3.1] 知, 存在  $E$  中以 2 为直径覆盖  $\mathcal{K}(\tau)$  的一致有界闭子集. 对任意的  $\tau \in \mathbb{R}$ , 记

$$\psi^{(1)}(t) = (u^{(1)}(t), v^{(1)}(t))^T = U(t, \tau)\psi_\tau^{(1)},$$

$$\psi^{(2)}(t) = (u^{(2)}(t), v^{(2)}(t))^T = U(t, \tau)\psi_\tau^{(2)}, \quad \forall t \geq \tau$$

为初值问题 (2.8)-(2.9) 的两个解, 其中  $\psi_\tau^{(1)}, \psi_\tau^{(2)} \in \mathcal{K}(\tau) \subseteq \mathcal{B}_0$ . 对  $t - \tau \geq t_0, \psi^{(1)}(t), \psi^{(2)}(t) \in \mathcal{K}(t) \subset \mathcal{B}_0$ . 文后记

$$\psi_d(t) = \psi^{(1)}(t) - \psi^{(2)}(t), \quad u_d(t) = u^{(1)}(t) - u^{(2)}(t), \quad v_d(t) = v^{(1)}(t) - v^{(2)}(t).$$

由 (2.8)-(2.9) 式得

$$\begin{aligned} \dot{\psi}_d + \Theta\psi_d &= F(\psi^{(1)}, t) - F(\psi^{(2)}, t), \quad t > \tau, \\ \psi_d(\tau) &= \psi_\tau^{(1)} - \psi_\tau^{(2)}. \end{aligned} \quad (3.5)$$

用  $\psi_d$  与 (3.5) 式在  $E$  上作内积, 然后取实部得

$$\frac{1}{2} \frac{d}{dt} \|\psi_d(t)\|_E^2 + \operatorname{Re}(\Theta\psi_d(t), \psi_d(t))_E = \operatorname{Re}(F(\psi^{(1)}, t) - F(\psi^{(2)}, t), \psi_d(t))_E, \quad \forall t > \tau. \quad (3.6)$$

由于  $\Theta : E \rightarrow E$  为有界线性算子 (见 (2.3) 和 (2.10) 式), 而  $F : E \times \mathbb{R} \rightarrow E$  为满足局部 Lipschitz 条件的连续算子 (参见文献 [52, 引理 2.2]), 并且  $\mathcal{B}_0$  为  $E$  中的有界集, 因此有

$$\operatorname{Re}(\Theta\psi_d, \psi_d)_E = \alpha(u_d, u_d) + \beta(v_d, v_d), \quad (3.7)$$

$$\begin{aligned} & \operatorname{Re}(F(\psi^1, t) - F(\psi^2, t), \psi_d)_E \\ & \leq \|(F(\psi^1, t) - F(\psi^2, t), \psi_d)_E| \leq \|F(\psi^1, t) - F(\psi^2, t)\|_E \|\psi_d\|_E \\ & \leq \sqrt{\frac{2(16\gamma^2 + 2)}{\theta}} \|\psi_d\|_E^2 \leq 2\sqrt{\frac{8\gamma^2 + 1}{\theta}} \sqrt{\frac{1}{\alpha} \|f\|^2 + \frac{2\|g\|^2}{\beta} + \frac{8\gamma^4 \|f\|^4}{\alpha^4 \beta}} \|\psi_d\|_E^2. \end{aligned} \quad (3.8)$$

由 (3.6), (3.7) 和 (3.8) 式得

$$\frac{d}{dt} \|\psi_d(t)\|_E^2 \leq 2(K_2 - K_1) \|\psi_d(t)\|_E^2, \quad \forall t - \tau > t_0, \quad (3.9)$$

其中  $K_1 = \min\{\alpha, \beta\}$ ,  $K_2 = 2\sqrt{\frac{8\gamma^2 + 1}{\theta} (\frac{1}{\alpha} \|f\|^2 + \frac{2\|g\|^2}{\beta} + \frac{8\gamma^4 \|f\|^4}{\alpha^4 \beta})}$ , 因此,

$$\begin{aligned} \|\psi^{(1)}(T^* + \tau) - \psi^{(2)}(T^* + \tau)\|_E &= \|\psi_d(T^* + \tau)\|_E \\ &\leq e^{(K_2 - K_1)T^*} \|\psi^{(1)}(\tau) - \psi^{(2)}(\tau)\|_E, \end{aligned} \quad (3.10)$$

其中  $T^* > 0$  (将在文后 (3.32) 式中给出) 是不依赖于  $\tau$  的常数. 由 (3.10) 式知  $U(T^* + \tau, \tau)$  是  $\mathcal{K}(\tau)$  中的 Lipschitz 映射, 且 Lipschitz 常数为  $L(T^*) = e^{(K_2 - K_1)T^*}$ .

(II) 定义一个光滑函数  $\chi(x) \in C^1(\mathbb{R}_+, [0, 1])$ , 满足

$$\chi(x) = \begin{cases} 0, & 0 \leq x \leq 1; \\ 1, & x \geq 2, \end{cases} \quad \text{且 } |\chi'(x)| \leq \chi_0 \text{ (正常数)}, \quad \forall x \in \mathbb{R}_+.$$

记

$$\begin{aligned} p_d &= (p_{dm})_{m \in \mathbb{Z}}, \quad q_d = (q_{dm})_{m \in \mathbb{Z}}, \quad z_d = (z_{dm})_{m \in \mathbb{Z}}, \\ p_{dm} &= \chi\left(\frac{|m|}{M}\right) u_{dm}, \quad q_{dm} = \chi\left(\frac{|m|}{M}\right) v_{dm}, \quad z_{dm} = (p_{dm}, q_{dm}), \end{aligned}$$

其中  $M$  为某个正数. 由于  $(u^{(1)}, v^{(1)})$  和  $(u^{(2)}, v^{(2)})$  满足 (2.5) 式, 因此

$$i\dot{u}_d - Au_d + i\alpha u_d = u^{(1)}v^{(1)} - u^{(2)}v^{(2)}. \tag{3.11}$$

用  $p_d$  在  $\ell^2$  上与 (3.11) 式作内积, 然后取虚部, 得

$$\begin{aligned} & \frac{1}{2} \frac{d}{dt} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_{dm}|^2 - \mathbf{Im}(Au_d, p_d) + \alpha \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_{dm}|^2 \\ &= \mathbf{Im}(u^{(1)}v^{(1)} - u^{(2)}v^{(2)}, p_d). \end{aligned} \tag{3.12}$$

通过计算, 我们有

$$\begin{aligned} -\mathbf{Im}(Au_d, p_d) &= -\mathbf{Im}(Bu_d, Bp_d) \\ &= -\mathbf{Im} \sum_{m \in \mathbb{Z}} (u_{dm+1} - u_{dm}) \left( \chi\left(\frac{|m+1|}{M}\right) \bar{u}_{dm+1} - \chi\left(\frac{|m|}{M}\right) \bar{u}_{dm} \right) \\ &= \mathbf{Im} \sum_{m \in \mathbb{Z}} \left( \chi\left(\frac{|m+1|}{M}\right) \bar{u}_{dm+1} u_{dm} + \chi\left(\frac{|m|}{M}\right) \bar{u}_{dm} u_{dm+1} \right) \\ &= \mathbf{Im} \sum_{m \in \mathbb{Z}} \left( \chi\left(\frac{|m+1|}{M}\right) \bar{u}_{dm+1} u_{dm} - \chi\left(\frac{|m|}{M}\right) \bar{u}_{dm+1} u_{dm} \right) \\ &\geq - \sum_{m \in \mathbb{Z}} |\chi'\left(\frac{\tilde{m}}{M}\right)| \frac{1}{M} |u_{dm+1}| |u_{dm}| \\ &\geq -\frac{\chi_0}{M} \|\psi_d\|_E^2, \quad \forall t > \tau, \end{aligned} \tag{3.13}$$

其中  $\tilde{m}$  为介于  $|m+1|$  和  $|m|$  中的某个常数. 由引理 2.3 知, 存在  $t_1 = t_1(\alpha, \beta, B_0) > 0$ ,  $M_1 = M_1(\alpha, \beta, t - \tau, B_0) \in \mathbb{N}$  使得

$$\begin{aligned} & \mathbf{Im} \sum_{m \in \mathbb{Z}} (u_m^{(1)}v_m^{(1)} - u_m^{(2)}v_m^{(2)}) \chi\left(\frac{|m|}{M}\right) (\bar{u}_m^{(1)} - \bar{u}_m^{(2)}) \\ &\leq \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_m^{(1)}v_m^{(1)} - u_m^{(2)}v_m^{(2)}| |u_m^{(1)} - u_m^{(2)}| \\ &= \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_m^{(1)}(v_m^{(1)} - v_m^{(2)}) + v_m^{(2)}(u_m^{(1)} - u_m^{(2)})| |u_m^{(1)} - u_m^{(2)}| \\ &\leq \frac{\alpha}{4} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_m^{(1)} - u_m^{(2)}|^2 + \frac{\sqrt{\alpha\beta}}{2} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_m^{(1)} - u_m^{(2)}| |v_m^{(1)} - v_m^{(2)}| \\ &\leq \frac{\alpha}{2} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_{dm}|^2 + \frac{\beta}{4} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |v_{dm}|^2, \quad \forall t - \tau > t_1, \quad \forall M > M_1, \end{aligned} \tag{3.14}$$

故对任意的  $t - \tau > t_1, M > M_1$ , 有

$$\mathbf{Im}(u^{(1)}v^{(1)} - u^{(2)}v^{(2)}, p_d) \leq \frac{\alpha}{2} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_{dm}|^2 + \frac{\beta}{4} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |v_{dm}|^2. \tag{3.15}$$

由 (3.12)-(3.15) 式知,

$$\begin{aligned} & \frac{1}{2} \frac{d}{dt} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_{dm}|^2 + \frac{\alpha}{2} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_{dm}|^2 \\ &\leq \frac{\beta}{4} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |v_{dm}|^2 + \frac{\chi_0}{M} \|\psi_d\|_E^2, \quad \forall t - \tau > t_1, \quad M > M_1. \end{aligned} \tag{3.16}$$

类似 (3.11) 式,  $v_d$  满足

$$\dot{v}_d + \beta v_d + \gamma B(|u^{(1)}|^2 - |u^{(2)}|^2) = 0. \quad (3.17)$$

用  $q_d$  在  $l^2$  上与 (3.17) 式作内积, 得

$$\frac{1}{2} \frac{d}{dt} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) v_{dm}^2 + \beta \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) v_{dm}^2 + \gamma (B(|u^{(1)}|^2 - |u^{(2)}|^2), q_d) = 0. \quad (3.18)$$

下面估计  $\gamma(B(|u^{(1)}|^2 - |u^{(2)}|^2), q_d)$ . 首先,

$$\begin{aligned} |\gamma(B(|u^{(1)}|^2 - |u^{(2)}|^2), q_d)| &= \left| \gamma \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) (B(|u^{(1)}|^2 - |u^{(2)}|^2))_m v_{dm} \right| \\ &= \left| \gamma \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) [(|u_{m+1}^{(1)}|^2 - |u_{m+1}^{(2)}|^2) - (|u_m^{(1)}|^2 - |u_m^{(2)}|^2)] v_{dm} \right| \\ &\leq I_1 + I_2, \end{aligned} \quad (3.19)$$

其中

$$\begin{aligned} I_1 &= \gamma \left| \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) (|u_m^{(1)}|^2 - |u_m^{(2)}|^2) v_{dm} \right|, \\ I_2 &= \gamma \left| \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) (|u_{m+1}^{(1)}|^2 - |u_{m+1}^{(2)}|^2) v_{dm} \right|. \end{aligned}$$

由引理 2.3 和柯西不等式知, 存在  $t_2 = t_2(\alpha, \beta, \gamma, \mathcal{B}_0) > 0$ ,  $M_2 = M_2(\alpha, \beta, \gamma, t - \tau, \mathcal{B}_0) \in \mathbb{N}$ , 使得

$$\begin{aligned} I_1 &\leq \frac{\beta}{4} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) v_{dm}^2 + \frac{\gamma^2}{\beta} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) [(|u_m^{(1)}|^2 - |u_m^{(2)}|^2)]^2 \\ &\leq \frac{\beta}{4} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) v_{dm}^2 + \frac{\gamma^2}{\beta} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_m^{(1)} - u_m^{(2)}|^2 (|u_m^{(1)}|^2 + |u_m^{(2)}|^2) \\ &\leq \frac{\beta}{4} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) v_{dm}^2 + \frac{\alpha}{4} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_{dm}|^2, \quad t - \tau > t_2, \quad M > M_2. \end{aligned} \quad (3.20)$$

其次, 由柯西不等式得

$$\begin{aligned} I_2 &\leq \frac{\beta}{4} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) v_{dm}^2 + \frac{\gamma^2}{\beta} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) [(|u_{m+1}^{(1)}|^2 - |u_{m+1}^{(2)}|^2)]^2 \\ &\leq \frac{\beta}{4} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) v_{dm}^2 + \frac{2\gamma^2 \|\psi_d\|_{\mathcal{E}}^2}{\beta} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) (|u_{m+1}^{(1)}|^2 + |u_{m+1}^{(2)}|^2). \end{aligned} \quad (3.21)$$

再由文献 [52, (3.15) 式] 知,

$$\begin{aligned} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |u_{m+1}^{(j)}(t)|^2 &\leq \frac{1}{\alpha} \int_{\tau}^t \left( \sum_{|m| \geq M} |f_{m+1}(\sigma)|^2 \right) e^{-\alpha(t-\sigma)} d\sigma \\ &\quad + R_0^2 e^{-\alpha(t-\tau)} + \frac{2\chi_0 R_0^2}{\alpha M}, \quad j = 1, 2, \quad \forall t - \tau \geq t_0, \end{aligned} \quad (3.22)$$

其中  $t_0$  由 (2.14) 式确定. 由 (3.16), (3.18) 式和 (3.19)–(3.22) 式得

$$\frac{d}{dt} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |\psi_{dm}|_E^2 + \vartheta \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |\psi_{dm}|_E^2 \leq I_3 \|\psi_d\|_E^2, \tag{3.23}$$

其中  $\vartheta = \min\{\alpha/2, \beta/2\}$ ,  $t - \tau > \max\{t_0, t_1, t_2\}$ ,  $M > \max\{M_1, M_2\}$ ,

$$\begin{aligned} I_3 &= \frac{8\gamma^2}{\beta} \left[ \frac{1}{\alpha} \int_{\tau}^t \left( \sum_{|m| \geq M} |f_{m+1}(\sigma)|^2 \right) e^{-\alpha(t-\sigma)} d\sigma + R_0^2 e^{-\alpha(t-\tau)} + \frac{2\chi_0 R_0^2}{\alpha M} \right] + \frac{2\chi_0}{M} \\ &\leq \frac{8\gamma^2}{\alpha^2 \beta} \sup_{t \in \mathbb{R}} \sum_{|m| \geq M} |f_{m+1}(t)|^2 + \left( \frac{8\gamma^2 2\chi_0 R_0^2}{\beta \alpha M} + \frac{2\chi_0}{M} \right) + \frac{8\gamma^2}{\beta} R_0^2 e^{-\alpha(t-\tau)}. \end{aligned} \tag{3.24}$$

对 (3.23) 式从  $\tau$  到  $t$  应用格朗沃尔不等式, 有

$$\sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |\psi_{dm}(t)|_E^2 \leq e^{-\vartheta(t-\tau)} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |\psi_{dm}(\tau)|_E^2 + \int_{\tau}^t I_3 \|\psi_d(y)\|_E^2 e^{-\vartheta(t-y)} dy, \tag{3.25}$$

由 (3.10) 式得,

$$\int_{\tau}^t I_3 \|\psi_d(y)\|_E^2 e^{-\vartheta(t-y)} dy \leq \|\psi_d(\tau)\|_E^2 \int_{\tau}^t I_3 e^{-\vartheta(t-y)+2(K_2-K_1)(y-\tau)} dy. \tag{3.26}$$

注意到

$$\begin{aligned} &\int_{\tau}^t \left( \frac{2\gamma^2 2\chi_0 R_0^2}{\beta \alpha M} + \frac{2\chi_0}{M} \right) e^{-\vartheta(t-y)+2(K_2-K_1)(y-\tau)} dy \\ &\leq \frac{1}{M} \left( \frac{8\gamma^2 2\chi_0 R_0^2}{\beta \alpha} + 2\chi_0 \right) \frac{\chi_0 e^{2(K_2-K_1)(t-\tau)}}{(\vartheta + 2K_2 - 2K_1)}, \end{aligned} \tag{3.27}$$

$$\begin{aligned} &\frac{8\gamma^2}{\beta} \int_{\tau}^t R_0^2 e^{-\alpha(y-\tau)} e^{-\vartheta(t-y)+2(K_2-K_1)(y-\tau)} dy \\ &\leq \frac{8\gamma^2 R_0^2}{\beta [2(K_2 - K_1) + \vartheta - \alpha]} e^{(2K_2 - 2K_1 - \alpha)(t-\tau)}, \end{aligned} \tag{3.28}$$

$$\begin{aligned} &\int_{\tau}^t \frac{8\gamma^2}{\alpha^2 \beta} \sup_{y \in \mathbb{R}} \sum_{|m| \geq M} |f_{m+1}(y)|^2 e^{-\vartheta(t-y)+2(K_2-K_1)(y-\tau)} dy \\ &\leq \frac{8\gamma^2 \|f\|^2}{\alpha^2 \beta (\vartheta + 2K_2 - 2K_1)} e^{(2K_2 - 2K_1)(t-\tau)}. \end{aligned} \tag{3.29}$$

对任意的  $M > \max\{M_1, M_2\}$ ,  $t - \tau > \max\{t_0, t_1, t_2\}$ , 由 (3.24)–(3.29) 式得

$$\begin{aligned} \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{M}\right) |\psi_{dm}(t)|_E^2 &\leq \left[ e^{-\vartheta(t-\tau)} + \frac{8\gamma^2 R_0^2}{[2(K_2 - K_1) + \vartheta - \alpha]\beta} e^{(2K_2 - 2K_1 - \alpha)(t-\tau)} \right. \\ &\quad \left. + \frac{8\gamma^2}{\alpha^2 \beta (\vartheta + 2K_2 - 2K_1)} e^{(2K_2 - 2K_1)(t-\tau)} \right] \|\psi_d(\tau)\|_E^2 \\ &\quad + \frac{1}{M} \left( 2\chi_0 + \frac{16\chi_0 \gamma^2 R_0^2}{\alpha \beta} \right) \frac{\chi_0 e^{2(K_2+K_1)(t-\tau)}}{\vartheta + 2K_2 - 2K_1} \|\psi_d(\tau)\|_E^2. \end{aligned} \tag{3.30}$$

由 (2.12) 式知  $K_1 > K_2$ . 取定  $T^* \geq \max\{t_0, t_1, t_2\}$ , 使得

$$e^{-\vartheta T^*} < \frac{1}{16}, \quad \frac{8\gamma^2 R_0^2}{\beta[2(K_2 - K_1) + \vartheta - \alpha]} e^{(2K_2 - 2K_1 - \alpha)T^*} < \frac{1}{16}, \quad (3.31)$$

$$\frac{8\gamma^2}{\alpha^2 \beta (\vartheta + 2K_2 - 2K_1)} e^{(2K_2 - 2K_1)T^*} < \frac{1}{16}. \quad (3.32)$$

对上述确定的  $T^*$ , 取  $N^* \geq \max\{M_1, M_2\}$ , 使得

$$\frac{1}{M} \left( 2\chi_0 + \frac{16\chi_0 \gamma^2 R_0^2}{\alpha\beta} \right) \frac{\chi_0 e^{2(K_2 - K_1)T^*}}{\vartheta + 2K_2 - 2K_1} < \frac{1}{16}, \quad \forall M \geq N^*. \quad (3.33)$$

因此, 由 (3.30) 式得

$$\sum_{|m| > 2N^*} |\psi_{dm}(T^* + \tau)|_E^2 \leq \sum_{m \in \mathbb{Z}} \chi\left(\frac{|m|}{N^*}\right) |\psi_{dm}(T^* + \tau)|_E^2 \leq \eta^2 \|\psi_d(\tau)\|_E^2, \quad (3.34)$$

其中

$$\begin{aligned} \eta^2 &= e^{-\vartheta T^*} + \frac{8\gamma^2 R_0^2}{\beta[2(K_2 - K_1) + \vartheta - \alpha]} e^{(2K_2 - 2K_1 - \alpha)T^*} \\ &\quad + \frac{8\gamma^2}{\alpha^2 \beta (\vartheta + 2K_2 - 2K_1)} e^{(2K_2 - 2K_1)T^*} \\ &\quad + \frac{1}{M} \left( 2\chi_0 + \frac{16\chi_0 \gamma^2 R_0^2}{\alpha\beta} \right) \frac{\chi_0 e^{2(K_2 - K_1)T^*}}{\vartheta + 2K_2 - 2K_1} < \frac{1}{4}. \end{aligned} \quad (3.35)$$

由 (3.34) 式得

$$\|(I - P_{2N^*})[U(T^* + \tau, \tau)\psi_\tau^{(1)} - U(T^* + \tau, \tau)\psi_\tau^{(2)}]\|_E \leq \eta \|\psi_\tau^{(1)} - \psi_\tau^{(2)}\|_E. \quad (3.36)$$

引理 3.1 证明完毕.  $\square$

**定理 3.1** 若假设 (H) 成立且引理 2.4 的条件成立,  $\{\mathcal{K}(\tau)\}_{\tau \in \mathbb{R}}$  为过程  $\{U(t, \tau)\}_{t \geq \tau}$  的核截面. 则对任意的  $\tau \in \mathbb{R}$ , 核截面  $\mathcal{K}(\tau)$  的分形维数满足

$$\dim_F \mathcal{K}(\tau) \leq 3(4N^* + 1) \cdot \ln \left( 1 + \frac{8(1 + e^{(K_1 + K_2)T^*})}{\frac{1}{2} - \eta} \right) \cdot \left( \ln \frac{2}{\frac{1}{2} + \eta} \right)^{-1}, \quad (3.37)$$

其中  $T^*$ ,  $N^*$ ,  $\eta$ ,  $K_1$  和  $K_2$  为不依赖于  $\tau$  的常数.

**证** 由文献 [48, 引理 3.1 和定理 2.1] 可得该定理的结果. 证明完毕.  $\square$

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## Finite Fractal Dimension of Kernel Sections for Long-Wave-Short-Wave Resonance Equations on Infinite Lattices

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**Abstract:** This paper proves an upper bound of fractal dimension of the kernel sections for the long-wave-short-wave resonance equations on infinite lattices.

**Key words:** Lattice long-wave-short-wave resonance equations; Kernel sections; Fractal dimension.

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