

# Unconditional uniqueness of solutions to the derivative nonlinear Schrödinger equation

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# The derivative nonlinear Schrödinger equation

Consider the initial-value problem:

$$\begin{cases} \partial_t u - i\partial_x^2 u = \partial_x(|u|^2 u), & t \in \mathbb{R}, x \in \mathbb{R}, \\ u|_{t=0} = u_0 \in H^s(\mathbb{R}). \end{cases} \quad (\text{DNLS})$$

Model in plasma physics: Mjølhus, Røgister, Mio, Ogino, Takeda, ... (1970s)  
propagation of Alfvén waves in magnetized plasma with const. magnetic field

Kaup-Newell '78: DNLS admits Lax pair.

**Aim:** Study the uniqueness of low-regularity solutions ( $s < 1$ ).

**Def. Solution:**  $u \in C([0, T]; H^s(\mathbb{R})) =: C_T H^s$  which satisfies

$$u(t) = e^{it\partial_x^2} u_0 + \int_0^t e^{i(t-t')\partial_x^2} \partial_x(|u(t')|^2 u(t')) dt'$$

in the sense of (spatial) distributions, for all  $t$ .

Usually, the well-posedness results yield *conditional uniqueness* of solutions, i.e. in  $C_T H^s \cap X_T$ .

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# The 1- $d$ cubic nonlinear Schrödinger equation (NLS)

$$\partial_t u - i\partial_x^2 u = i|u|^2 u \quad (\text{NLS})$$

**Local well-posedness (LWP) in  $H^s(\mathbb{M})$ :**

1.  $s > \frac{1}{2}$ :  $H^s$  is an algebra  $\implies$  LWP in  $H^s$
2. Tsutsumi '87: LWP in  $L^2(\mathbb{R})$  via Strichartz estimates
3. Bourgain '93: LWP in  $L^2(\mathbb{T})$  via the Fourier restriction norm method
  - Uniqueness in **2** and **3** holds *conditionally*, i.e. in

$$\mathbf{2} : C_T L_x^2 \cap L_T^8 L_x^4$$

$$\mathbf{3} : X_T^{0, \frac{1}{2} + \varepsilon} \subset C_T L_x^2 \cap L_{T,x}^4$$

4. NLS is ill-posed in negative regularity Sobolev spaces

**Unconditional uniqueness (UU):**

5. Kato '95: UU in  $H^s(\mathbb{R})$ , for any  $s \geq \frac{1}{6}$
6. Guo-Kwon-Oh '13: UU in  $H^s(\mathbb{T})$ , for any  $s \geq \frac{1}{6}$ 
  - *infinitely-many* normal form reductions.
  - Kwon-Oh-Yoon '18: extended the Guo-Kwon-Oh method to the non-periodic setting.

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## Theorem (M.-Yoon '18)

Let  $s > \frac{1}{2}$  and  $u_0 \in H^s(\mathbb{R})$ . Then, there is a unique sol. to (DNLS) in  $C_T H^s$ .

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# Set-up for the normal form method

$$\partial_t u - i\partial_x^2 u = \partial_x (|u|^2 u) \quad (\text{DNLS})$$

- use a gauge transformation (Lee '89, Hayashi '92, Hayashi-Ozawa '92):

$$u \mapsto w := \mathcal{G}(u)(x) = u(x) \exp\left(-i \int_{-\infty}^x |u(y)|^2 dy\right).$$

[ Lemma: For  $s \geq 0$ ,  $\mathcal{G}$  is bi-Lipschitz on bounded subsets of  $H^s(\mathbb{R})$ . ]

$$(\text{DNLS}) \iff \partial_t w - i\partial_x^2 w = -w^2 \partial_x \bar{w} + \frac{i}{2} |w|^4 w \quad (\text{gDNLS})$$

Why? A.: this eliminates the bad trilinear term  $|u|^2 \partial_x u$ .

- use the van der Pole change of variable:

$$w \mapsto v := e^{-it\partial_x^2} (w(t))$$

$$(\text{DNLS}) \iff \boxed{\partial_t v = \mathcal{T}(v) + \mathcal{Q}(v)} \quad (\star)$$

Why? A.: we can exploit an oscillatory factor (of the form  $e^{it\Phi}$ ) in  $\mathcal{T}(v)$ .



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# The nonlinearities of $(\star)$

$$\partial_t v = \mathcal{T}(v) + \mathcal{Q}(v) \quad (\star)$$

where  $\mathcal{T}(v)$  is cubic with **derivative on the complex-conjugate factor**, i.e.

$$\widehat{\mathcal{T}(v)}(t, \xi) = \int_{\xi_1 - \xi_2 + \xi_3 = \xi} e^{i\Phi(\vec{\xi})t} \xi_2 \widehat{v}(t, \xi_1) \overline{\widehat{v}(t, \xi_2)} \widehat{v}(t, \xi_3) d\xi_1 d\xi_2,$$

$$\Phi(\vec{\xi}) = \xi^2 - \xi_1^2 + \xi_2^2 - \xi_3^2 = 2(\xi_2 - \xi_1)(\xi_2 - \xi_3),$$

and  $\mathcal{Q}(v)$  is quintic, i.e.  $\mathcal{Q}(v)(t) := \frac{i}{2} |e^{it\partial_x^2} v(t)|^4 e^{it\partial_x^2} v(t)$ .

The quintic term is easy to control in  $H^s(\mathbb{R})$  for  $s > \frac{1}{2}$ :

$$\|\mathcal{Q}(v)\|_{H^s} \lesssim \|e^{it\partial_x^2} v\|_{H^s}^5 = \|v\|_{H^s}^5.$$

Henceforth, let's ignore  $\mathcal{Q}(v)$  in  $(\star)$ .

## Two key ideas for $\mathcal{T}(v)$ :

- (i) If we restrict the phase  $\Phi(\vec{\xi})$ , then we can establish a useful estimate.
- (ii) If  $|\Phi(\vec{\xi})| \gg 1$ , then we exploit the highly oscillating nature of the integrand.

# Infinitely-many normal form reductions: bird's eye view

## Algorithmic procedure:

- (i) Separate the problematic nonlinear terms into *nearly resonant* and *non-resonant* parts; **Rmk.:** *the threshold may change at each step!*
- (ii) *Eliminate the non-resonant parts* via integration by parts in time  $\implies$  introduces *higher order terms*;
- (iii) Repeat (or terminate the process at some finite step).  
**Rmk.:** for DNLS, infinitely-many iterations are needed.

**Initially:** 
$$\partial_t v = \mathcal{T}(v) + \mathcal{Q}(v) \quad (\star)$$

**At the  $J$ th step:** 
$$\partial_t v = \sum_{j=2}^J \partial_t \mathcal{T}_0^{(j)}(v) + \sum_{j=1}^J \mathcal{T}_1^{(j)}(v) + \mathcal{T}_2^{(J)}(v) + \sum_{j=2}^J \mathcal{T}_\mathcal{Q}^{(j)}(v) + \mathcal{Q}(v)$$

**Key:** the “remainder” term vanishes in the limit: **for any fixed  $N$ ,**

$$\|\mathcal{T}_2^{(J)}(v)\|_{H^{s-1}} \rightarrow 0 \text{ as } J \rightarrow \infty.$$

Thus, any solution to  $(\star)$  is also a solution to

$$\partial_t v = \sum_{j=2}^{\infty} \partial_t \mathcal{T}_0^{(j)}(v) + \sum_{j=1}^{\infty} \mathcal{T}_1^{(j)}(v) + \sum_{j=2}^{\infty} \mathcal{T}_\mathcal{Q}^{(j)}(v) + \mathcal{Q}(v). \quad (\text{NFeq})$$

## 1st iteration:

(1.i) Decompose:

$$\mathcal{T}(v) = \underbrace{\mathcal{T}_1^{(1)}(v)}_{|\Phi(\vec{\xi})| \leq N} + \underbrace{\mathcal{T}_2^{(1)}(v)}_{|\Phi(\vec{\xi})| > N}$$

(1.ii) Normal form reduction:

$$\begin{aligned} \widehat{\mathcal{T}_2^{(1)}(v)}(t, \xi) &= \partial_t \int_{\xi_1 - \xi_2 + \xi_3 = \xi} \mathbf{1}_{|\Phi(\vec{\xi})| > N} \frac{e^{it\Phi(\vec{\xi})} \xi_2}{\Phi(\vec{\xi})} \widehat{v}(t, \xi_1) \overline{\widehat{v}(t, \xi_2)} \widehat{v}(t, \xi_3) d\xi_1 d\xi_2 \\ &\quad - \int_{\xi_1 - \xi_2 + \xi_3 = \xi} \mathbf{1}_{|\Phi(\vec{\xi})| > N} \frac{e^{it\Phi(\vec{\xi})} \xi_2}{\Phi(\vec{\xi})} \partial_t \left( \widehat{v}(t, \xi_1) \overline{\widehat{v}(t, \xi_2)} \widehat{v}(t, \xi_3) \right) d\xi_1 d\xi_2 \\ &= \partial_t \widehat{\mathcal{T}_0^{(2)}(v)}(t, \xi) \\ &\quad - \int_{\xi_1 - \xi_2 + \xi_3 = \xi} \mathbf{1}_{|\Phi(\vec{\xi})| > N} \left( \int_{\xi_{11} - \xi_{12} + \xi_{13} = \xi_1} \frac{e^{it(\Phi(\vec{\xi}) + \Phi(\vec{\xi}_1))} \xi_2 \xi_{12}}{\Phi(\vec{\xi})} \widehat{v}(\xi_{11}) \overline{\widehat{v}(\xi_{12})} \widehat{v}(\xi_{13}) \right) \overline{\widehat{v}(\xi_2)} \widehat{v}(\xi_3) \\ &\quad - \int_{\xi_1 - \xi_2 + \xi_3 = \xi} \mathbf{1}_{|\Phi(\vec{\xi})| > N} \widehat{v}(\xi_1) \left( \int_{\xi_{21} - \xi_{22} + \xi_{23} = \xi_2} \frac{e^{-it(\Phi(\vec{\xi}) + \Phi(\vec{\xi}_2))} \xi_2 \xi_{22}}{\Phi(\vec{\xi})} \overline{\widehat{v}(\xi_{11})} \widehat{v}(\xi_{12}) \overline{\widehat{v}(\xi_{13})} \right) \widehat{v}(\xi_3) \\ &\quad - \int_{\xi_1 - \xi_2 + \xi_3 = \xi} \mathbf{1}_{|\Phi(\vec{\xi})| > N} \widehat{v}(\xi_1) \overline{\widehat{v}(\xi_2)} \left( \int_{\xi_{31} - \xi_{32} + \xi_{33} = \xi_3} \frac{e^{it(\Phi(\vec{\xi}) + \Phi(\vec{\xi}_3))} \xi_2 \xi_{32}}{\Phi(\vec{\xi})} \widehat{v}(\xi_{11}) \overline{\widehat{v}(\xi_{12})} \widehat{v}(\xi_{13}) \right) \end{aligned}$$

It is convenient to keep track of the various terms by using tree diagrams. Schematically, we rewrite the above step as:

$$\begin{aligned} \mathcal{T}_2^{(1)} &= \partial_t \mathcal{T}_0^{(2)} - \int_* \frac{e^{it\Phi} \xi_2}{\Phi} \partial_t (\text{tree diagram}) \\ &= \partial_t \mathcal{T}_0^{(2)} - \underbrace{\int_* \frac{e^{it(\Phi + \Phi^{(1)})} \xi_2 \xi_2^{(1)}}{\Phi} (\text{tree diagram} + \text{tree diagram} + \text{tree diagram})}_{=:\mathcal{T}^{(2)}} \end{aligned}$$

Upshot:  $\partial_t v = \mathcal{T}_1^{(1)}(v) + \partial_t \mathcal{T}_0^{(2)}(v) + \mathcal{T}^{(2)}(v) \quad (**)$

2nd iteration:

(2.i) Decompose:  $\mathcal{T}^{(2)}(v) = \underbrace{\mathcal{T}_1^{(2)}(v)}_{|\Phi + \Phi^{(1)}| \leq \beta_1 |\Phi|} + \underbrace{\mathcal{T}_2^{(2)}(v)}_{|\Phi + \Phi^{(1)}| > \beta_1 |\Phi|} \quad (\beta_1 \geq 2)$

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$$\begin{aligned} \mathcal{T}_2^{(2)} &= \partial_t \mathcal{T}_0^{(3)} - \int_* \frac{e^{it(\Phi + \Phi^{(1)})} \xi_2 \xi_2^{(1)}}{\Phi} \partial_t (\text{tree diagram} + \text{tree diagram} + \text{tree diagram}) \\ &= \partial_t \mathcal{T}_0^{(3)} - \int_* \frac{e^{it(\Phi + \Phi^{(1)} + \Phi^{(2)})} \xi_2 \xi_2^{(1)} \xi_2^{(2)}}{\Phi(\Phi + \Phi^{(1)})} \left( \begin{array}{l} \text{tree diagram} + \text{tree diagram} + \text{tree diagram} + \boxed{\text{tree diagram}} + \text{tree diagram} \\ + \boxed{\text{tree diagram}} + \text{tree diagram} + \text{tree diagram} + \text{tree diagram} + \text{tree diagram} \\ + \text{tree diagram} + \text{tree diagram} + \text{tree diagram} + \text{tree diagram} + \text{tree diagram} + \text{tree diagram} \end{array} \right) \end{aligned}$$

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$$\partial_t v = \mathcal{T}_1^{(1)}(v) + \partial_t \mathcal{T}_0^{(2)}(v) + \mathcal{T}^{(2)}(v) \quad (**)$$

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**Difficulty:** When we apply integration by parts, the time derivative may fall on any of the factors  $\widehat{v}(t, \xi_j)$ . *The structure of the resulting terms depends on where the time derivative falls.*

Christ '07, *Power series solution of a nonlinear Schrödinger equation:*

- introduced *ordered trees* for indexing such terms arising at the  $J$ th step.
- ordered trees = (ternary) trees “with memory”  
NB: keep track of the order in which we have used the  $\partial_t v$ -equation.
- $\#\{\text{ordered trees of generation } J\} = 1 \cdot 3 \cdot 5 \cdots (2J - 1) = (2J - 1)!!$ .  
NB: we need to overcome this **rapidly growing cardinality**.
- For any tree  $T$  of generation  $J$ :  
$$\# \{\text{root (non-terminal) nodes of } T\} = J,$$
$$\# \{\text{terminal nodes of } T\} = 2J + 1.$$

# The analytical part

Consider the trilinear operator  $\mathcal{T}_\Phi$  defined by

$$\mathcal{F}\left[\mathcal{T}_{|\Phi|^{\frac{1}{2}}}(v_1, v_2, v_3)\right](\xi) = \int_{\xi=\xi_1-\xi_2+\xi_3} \frac{|\xi_2|}{|\Phi(\vec{\xi})|^{\frac{1}{2}}} \widehat{v}_1(\xi_1) \overline{\widehat{v}_2(\xi_2)} \widehat{v}_3(\xi_3) d\xi_1 d\xi_2$$

Recall:  $\Phi(\vec{\xi}) = 2(\xi_2 - \xi_1)(\xi_2 - \xi_3)$ .

## Lemma 1 (Basic trilinear estimate in the $H^s$ -norm)

Let  $s > \frac{1}{2}$ . Then there exists  $C = C(s) > 0$  such that

$$\left\| \mathcal{T}_{|\Phi|^{\frac{1}{2}}}(v_1, v_2, v_3) \right\|_{H^s} \leq C \prod_{j=1}^3 \|v_j\|_{H^s}.$$

Schematically:  $\left\| \int_* \frac{|\xi_2|}{|\Phi|^{\frac{1}{2}}} \text{triple product} \right\|_{H^s} \leq C \| \cdot \|_{H^s}^3$

$$\implies \left\| \mathcal{T}_1^{(1)}(v) \right\|_{H^s} \lesssim \left\| \int_* \mathbf{1}_{|\Phi| \leq N} |\xi_2| \text{triple product} \right\|_{H^s} \lesssim N^{\frac{1}{2}} \|v\|_{H^s}^3$$

$$\implies \left\| \mathcal{T}_0^{(1)}(v) \right\|_{H^s} \sim \left\| \int_* \mathbf{1}_{|\Phi| > N} \frac{|\xi_2|}{|\Phi|} \text{triple product} \right\|_{H^s} \lesssim N^{-\frac{1}{2}} \|v\|_{H^s}^3$$



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**Terms in the 2nd iteration:**

$$|\Phi| > N \text{ and } |\Phi + \Phi^{(1)}| \leq \beta_1 |\Phi| \implies |\Phi^{(1)}| \leq 2\beta_1 |\Phi|.$$

$$\begin{aligned} \implies \left\| \int_* \frac{|\xi_2| \cdot |\xi_2^{(1)}|}{|\Phi|} \text{ (tree diagram) } \right\|_{H^s} &\leq (2\beta_1)^{\frac{1}{2}} \left\| \int_* \frac{|\xi_2| |\xi_2^{(1)}|}{|\Phi|^{\frac{1}{2}} |\Phi^{(1)}|^{\frac{1}{2}}} \text{ (tree diagram) } \right\|_{H^s} \\ &\leq (2\beta_1)^{\frac{1}{2}} C \left\| \int_* \frac{|\xi_2^{(1)}|}{|\Phi^{(1)}|^{\frac{1}{2}}} \text{ (tree diagram) } \right\|_{H^s} \|v\|_{H^s}^2 \\ &\leq (2\beta_1)^{\frac{1}{2}} C^2 \|v\|_{H^s}^3 \|v\|_{H^s}^2 \\ \implies \|\mathcal{T}_1^{(2)}(v)\|_{H^s} &\leq 3(2\beta_1)^{\frac{1}{2}} C^2 \|v\|_{H^s}^5 \end{aligned}$$

### Terms in the 3rd iteration:

$$|\Phi| > N, |\Phi + \Phi^{(1)}| > \beta_1 |\Phi|, \text{ and } |\Phi + \Phi^{(1)} + \Phi^{(2)}| \leq \beta_2 |\Phi + \Phi^{(1)}|$$

$$\implies |\Phi^{(1)}| \sim |\Phi + \Phi^{(1)}| > N \text{ and } |\Phi^{(2)}| \leq 2\beta_2 |\Phi + \Phi^{(1)}|.$$

$$\implies \left\| \int_* \frac{|\xi_2| \cdot |\xi_2^{(1)}| \cdot |\xi_2^{(2)}|}{|\Phi| \cdot |\Phi + \Phi^{(1)}|} \mathfrak{A} \right\|_{H^s} \leq 2(2\beta_2)^{\frac{1}{2}} N^{-\frac{1}{2}} \left\| \int_* \frac{|\xi_2| \cdot |\xi_2^{(1)}| \cdot |\xi_2^{(2)}|}{|\Phi|^{\frac{1}{2}} |\Phi^{(1)}|^{\frac{1}{2}} |\Phi^{(2)}|^{\frac{1}{2}}} \mathfrak{A} \right\|_{H^s}$$

$$\implies \|\mathcal{T}_1^{(3)}(v)\|_{H^s} \leq (3 \cdot 5) \beta_2^{\frac{1}{2}} C^3 N^{-\frac{1}{2}} \|v\|_{H^s}^7$$

### Terms in the $J$ th iteration:

We postulate that the *nearly resonant* contribution corresponds to:

$$|\Phi + \Phi^{(1)} + \dots + \Phi^{(J)}| \leq \beta_J |\Phi + \dots + \Phi^{(J-1)}|$$

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### Proposition

Let  $s > \frac{1}{2}$  and  $J \geq 2$ . Then,

$$\|\mathcal{T}_1^{(J+1)}(v) - \mathcal{T}_1^{(J+1)}(w)\|_{H^s} \lesssim N^{-\frac{1}{2}(J-1)} \left( \|v\|_{H^s}^{2J+2} + \|w\|_{H^s}^{2J+2} \right) \|v - w\|_{H^s}.$$

### Terms in the 3rd iteration:

$$|\Phi| > N, |\Phi + \Phi^{(1)}| > \beta_1 |\Phi|, \text{ and } |\Phi + \Phi^{(1)} + \Phi^{(2)}| \leq \beta_2 |\Phi + \Phi^{(1)}|$$

$$\implies |\Phi^{(1)}| \sim |\Phi + \Phi^{(1)}| > N \text{ and } |\Phi^{(2)}| \leq 2\beta_2 |\Phi + \Phi^{(1)}|.$$

$$\implies \left\| \int_* \frac{|\xi_2| \cdot |\xi_2^{(1)}| \cdot |\xi_2^{(2)}|}{|\Phi| \cdot |\Phi + \Phi^{(1)}|} \mathfrak{A} \right\|_{H^s} \leq 2(2\beta_2)^{\frac{1}{2}} N^{-\frac{1}{2}} \left\| \int_* \frac{|\xi_2| \cdot |\xi_2^{(1)}| \cdot |\xi_2^{(2)}|}{|\Phi|^{\frac{1}{2}} |\Phi^{(1)}|^{\frac{1}{2}} |\Phi^{(2)}|^{\frac{1}{2}}} \mathfrak{A} \right\|_{H^s}$$

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# Convergence to zero of the remainder term

The estimate  $\|\partial_t v\|_{H_x^s} = \|v^2 \partial_x \bar{v}\|_{H_x^s} \lesssim \|v\|_{H_x^s}^3$  fails. However, for  $s > \frac{1}{2}$ ,

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Consider the trilinear operator  $\mathcal{T}_{|\Phi|>M}$  defined by

$$\mathcal{F}\left[\mathcal{T}_{|\Phi|>M}(v_1, v_2, v_3)\right](\xi) = \int_{\substack{\xi = \xi_1 - \xi_2 + \xi_3 \\ |\Phi(\xi)| > M}} \frac{|\xi_2|}{|\Phi(\xi)|} \widehat{v}_1(\xi_1) \overline{\widehat{v}_2(\xi_2)} \widehat{v}_3(\xi_3) d\xi_1 d\xi_2.$$

Lemma 2. (Basic trilinear estimate in the  $H^{s-1}$ -norm)

Let  $s > \frac{1}{2}$  and  $M \geq 1$ . Then, for  $\theta = \theta(s) := \min\{2s - 1, \frac{1}{2}\}$ ,

$$\|\mathcal{T}_{|\Phi|>M}(v_1, v_2, v_3)\|_{H^{s-1}} \leq CM^{-\theta} \|v_j\|_{H^{s-1}} \|v_k\|_{H^s} \|v_\ell\|_{H^s},$$

for any  $j, k, \ell$  such that  $\{j, k, \ell\} = \{1, 2, 3\}$ .

Also, from Lemma 1, we immediately get

$$\|\mathcal{T}_{|\Phi|>M}(v_1, v_2, v_3)\|_{H^s} \leq CM^{-\theta} \prod_{j=1}^3 \|v_j\|_{H^s}.$$

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# Proof of concept for the remainder term

Recall  $\bullet = v$ , and now also  $\blacksquare = \partial_t v$ :

$$\begin{aligned}
 & \left\| \int_* \frac{|\xi_2| \cdot |\xi_2^{(1)}| \cdot |\xi_2^{(2)}| \cdot |\xi_2^{(3)}|}{|\Phi| \cdot |\Phi + \Phi^{(1)}| \cdot |\Phi + \Phi^{(1)} + \Phi^{(2)}| \cdot |\Phi + \dots + \Phi^{(3)}|} \text{Diagram} \right\|_{H^{s-1}} \\
 & \leq 2^3 \left\| \int_* \frac{|\xi_2|}{|\Phi|} \cdot \frac{|\xi_2^{(1)}|}{|\Phi^{(1)}|} \cdot \frac{|\xi_2^{(2)}|}{|\Phi^{(2)}|} \cdot \frac{|\xi_2^{(3)}|}{|\Phi^{(3)}|} \text{Diagram} \right\|_{H^{s-1}} \\
 & \leq \frac{2^3 C}{\beta_1^\theta} N^{-\theta} \|v\|_{H^s}^2 \left\| \int_* \frac{|\xi_2^{(1)}|}{|\Phi^{(1)}|} \cdot \frac{|\xi_2^{(2)}|}{|\Phi^{(2)}|} \cdot \frac{|\xi_2^{(3)}|}{|\Phi^{(3)}|} \text{Diagram} \right\|_{H^{s-1}} \\
 & \leq \frac{2^3 C^2}{(\beta_1 \beta_2)^\theta} N^{-2\theta} \|v\|_{H^s}^2 \left\| \int_* \frac{|\xi_2^{(2)}|}{|\Phi^{(2)}|} \frac{|\xi_2^{(3)}|}{|\Phi^{(3)}|} \text{Diagram} \right\|_{H^{s-1}} \|v\|_{H^s}^2 \\
 & \leq \frac{2^3 C^3}{(\beta_1 \beta_2 \beta_3)^\theta} N^{-3\theta} \|v\|_{H^s}^2 \left\| \int_* \frac{|\xi_2^{(3)}|}{|\Phi^{(3)}|} \text{Diagram} \right\|_{H^s} \|v\|_{H^s} \|\blacksquare\|_{H^{s-1}} \|v\|_{H^s}^2 \\
 & \leq \frac{2^3 C^4}{(\beta_1 \beta_2 \beta_3 \beta_4)^\theta} N^{-4\theta} \|v\|_{H^s}^{11}
 \end{aligned}$$

## Proposition

Let  $s > \frac{1}{2}$  and  $\theta = \min\{2s - 1, \frac{1}{2}\}$ . Then,

$$\|\mathcal{T}^{(J+1)}(v)\|_{H^{s-1}} \leq N^{-\theta J} \|v\|_{H^s}^{2J+3}.$$

The above estimates also allows us to *justify the other NF steps*, i.e.

- switching time derivatives and integrals in spatial frequencies, and
- the application of the product rule.

Consequently, if  $v \in C_T H^s$  is a solution to  $(\star)$  then

$$v(t) = v_0 + \sum_{j=2}^{\infty} [\mathcal{T}_0^{(j)}(v)]_{t'=0}^{t'=t} + \sum_{j=1}^{\infty} \int_0^t \mathcal{T}_1^{(j)}(v) dt'.$$

Choose  $N = N(\|v_0\|_{H^s}) \gg 1$  and  $T = T(N) \ll 1$ .

$\implies$  the right-hand side is a contraction in  $\{v \in C_T H^s : \|v\|_{C_T H^s} \leq 2\|v_0\|_{H^s}\}$ .



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- Usually, harmonic analytic methods consist of an *intricate functional setting* on a *simple Duhamel formula*.
- Here, we first derive an *intricate Duhamel formula* (NFeq) after which *the functional setting is simple*.
- The analytical part is easy: fixed point argument in  $C_t H_x^s$  for the (Duhamel formulation of the) *normal form equation*.
- The relevant estimates can be established by recursively applying trilinear estimates (which in turn are proved simply with the Cauchy-Schwarz inequality).