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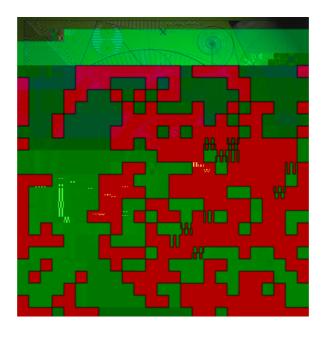
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The Stokes Conjecture for Waves with Vorticity

by

Eugen Varvaruca and Georg S. Weiss



THE STOKES CONJECTURE FOR WAVES WITH VORTICITY

EUGEN VARVARUCA AND GEORG S. WEISS

Abstract. We study stagnation points of two-dimensional steady gravity free-surface water waves with vorticity.

We obtain for example that, in the case where the free surface is an injective curve, the asymptotics at any stagnation point is given either by the \Stokes corner ow" where the free surface has a *corner of* 120 , or the free surface ends in a *horizontal cusp*, or the free surface is *horizontally at* at the stagnation point. The cusp case is a new feature in the case with vorticity, and it is not possible in the absence of vorticity.

In a second main result we exclude horizontally at singularities in the case that the vorticity is 0 on the free surface. Here the vorticity may have in nitely many sign changes accumulating at the free surface, which makes this case particularly dicult and explains why it has been almost untouched by research so far.

Our results are based on calculations in the original variables and do not rely on structural assumptions needed in previous results such as isolated singularities, symmetry and monotonicity.

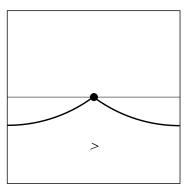
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1. Introduction

The classical hydrodynamical problem of traveling two-dimensional gravity water waves with vorticity can be described mathematically as a free-boundary problem

for a semilinear elliptic equation: given an open connected set in the (x; y) plane and a function of one variable, nd a non-negative function in such that



the vorticity function , and therefore, as a a consequence of [22], the free surface of such a wave necessarily has corners of 120 at stagnation points.

The present paper is the rst study of stagnation points of steady two-dimensional gravity water waves with vorticity in the absence of structural assumptions of isolatedness of stagnation points, symmetry and monotonicity of the free boundary, which have been essential assumptions in all previous works. We obtain for example that, in the case when the free surface is an injective curve, the asymptotics at any stagnation point is given either by the \Stokes corner ow" where the free surface has a *corner of* 120 , or the free surface ends in a *horizontal cusp*,

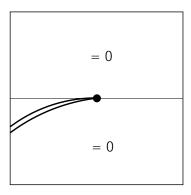


Figure 2. Cusp or the free surface is *horizontally at* at the stagnation point.

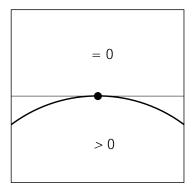


Figure 3. Horizontally at stagnation point

The cusp case is a new feature in the case with vorticity, and it is not possible without the presence of vorticity [23]. It is interesting to point out that Gerstner [10] constructed an explicit example of a steady wave with vorticity whose free surface has a *vertical cusp* at a stagnation point. However, this vertical cusp is due to the fact that in his example the vorticity is in nite at the free surface, while in the present paper we only consider the case of vorticities which are smooth up to the free surface. We conjecture the cusps in our paper | the existence of which is still open | to be due to the break-down of the Rayleigh-Taylor condition in the presence of vorticity.

The second half of our paper is devoted to *excluding horizontally at singularities* in the case that the vorticity is non-negative at the free surface. (Horizontally at singularities are possible if the vorticity is negative at the free surface.) Of particular diculty is the case when the vorticity is 0 at the free surface, and may have in nitely many sign changes accumulating there.

Let us brie y state our main result and give a plan of the paper:

Main Result. Let be a suitable weak solution of (1.1) (compare to De nition 3.2) satisfying

$$jr(x;y)j^2$$
 C max(y;0) locally in;

let the free boundary @f > 0g be a continuous injective curve $= \begin{pmatrix} 1 & 2 \end{pmatrix}$ such that $(0) = (x^0; 0)$, and assume that the vorticity function satis es either j(z)j(z), or (z) = 0, for all z in a right neighborhood of 0.

(i) If the Lebesgue density of the set f > 0g at $(x^0;0)$ is positive, then the free boundary is in a neighborhood of $(x^0;0)$ the union of two

provided that $jf(u)j = C_D$ in D. Letting / 0 and using that u is continuous and nonnegative in , we obtain 7

$$(\Gamma U \Gamma C_D) dx 0$$
:

Thus $u + C_D$ is a nonnegative distribution in D, and the stated property follows. Since we want to focus in the present paper on the analysis of stagnation points, we will assume that everything is smooth away from $x_n = 0$, however this assumption may be weakened considerably by using in $fx_n > 0g$ regularity theory for the Bernoulli free boundary problem (see [2] for regularity theory in the case f = 0| which could e ortlessly be perturbed to include the case of bounded f | and see [5] for another regularity approach which already includes the perturbation).

De nition 3.2 (Weak Solution). We de ne $u \ge W_{loc}^{1,2}($) to be a weak solution of (3.1) if the following are satis ed:

$$M_{x^0;u}(r) = M(r) = I(r)$$

for a.e. r = 2(0;):

Note also that

The also that
$$Z = I^{\theta}(r) = (n+1)r^{-n-2} \qquad (j \cap uj^2 \quad uf(u) + x_{n-fu>0g}) dx$$

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$$= I^{\theta}(r) = (n+1)r^{-n-2}$$

Lemma 4.4. Let u be a variational solution of (3.1) satisfying Assumption 4.1. Then:

- (i) Let x^0 2 be such that $x_n^0 = 0$. Then the limit $M_{x^0;u}(0+)$ exists and is nite. (Note that u = 0 in $fx_n = 0g$ by assumption.)
- (ii) Let x^0 2 be such that $x_n^0 = 0$, and let $0 < r_m / 0 + as m / 1$ be a sequence such that the blow-up sequence

$$u_m(x) := \frac{u(x^0 + r_m x)}{r_m^{3-2}}$$
 (4.2)

converges weakly in $W_{loc}^{1,2}(\mathbf{R}^n)$ to a blow-up limit u_0 . Then u_0 is a homogeneous function of degree 3=2, i.e.

$$u_0(x) = {}^{3-2}u_0(x)$$
 for any $x \ge R^n$ and > 0 :

- (iii) Let u_m be a converging sequence of (ii). Then u_m converges strongly in $W^{1,2}_{loc}(\mathbf{R}^n)$.
 - (iv) Let x^0 2 be such that $x_n^0 = 0$. Then

$$M_{X^0;u}(0+) = \lim_{r \to \infty} \frac{1}{r}$$

(ii): For each 0 < < 1 the sequence u_m is by assumption bounded in $C^{0;1}(B)$. For any 0 < % < < 1, we write the identity (3.8) in integral form as

It follows by rescaling in (4.4) that

which yields the desired homogeneity of u_0 .

(iii): In order to show strong convergence of u_m in $W_{loc}^{1,2}(\mathbf{R}^n)$, it is sulcient, in view of the weak L^2 -convergence of ru_m , to show that

Z Z

$$\lim \sup_{m! = 1} \int r u_m f^2 dx \int r u_0 f^2 dx$$

for each $2C_0^1(\mathbb{R}^n)$. Let $:= \operatorname{dist}(x^0; \mathscr{Q}) = 2$. Then, for each m, u_m is a variational solution of

$$u_m = r_m^{1=2} f(r_m^{3=2} u_m) \text{ in } B_{=r_m} \setminus fu_m > 0g;$$
 (4.5)
 $j \cap u_m \int_{-r_m}^{2} = x_n \text{ on } B_{=r_m} \setminus \mathscr{Q} fu_m > 0g;$

Since u_m converges to u_0 locally uniformly, it follows from (4.5) that u_0 is harmonic in $fu_0 > 0g$. Also, using the uniform convergence, the continuity of u_0 and its harmonic0 Td [(0)6Td [(u0)6F11 9.962 12.6794161

of u_0 , we obtain that

$$\lim_{m! \to 1} M_{x^0;u}(r_m) = \sum_{B_1}^{Z} \int_{B_1}^{Z} u_0 f^2 dx + \sum_{B_1}^{Z} \int_{B_1}^{Z} u_0^2 dH^{n-1} + \lim_{r! \to 0} \int_{B_1}^{Z} \int_{B_r(x^0)}^{B_1} u_0^2 dH^{n-1} + \lim_{r! \to 0} \int_{B_r(x^0)}^{Z} \int_{B_r(x^0)}^{B_1} u_0^2 dx + \lim_{r! \to 0} \int_{B_r(x^0)}^{Z} \int_{B_r(x^0)}^{Z} dx + \int_{B_r(x^0)}^{Z} dx + \int_{B_r(x^0)}^{Z} dx + \int_{B_r(x^0)}^{Z} \int_{B_r(x^0)}^{Z} dx + \int_{B_r(x^0)}^{Z} dx + \int_{B_r(x^0)}^{Z} \int_{B_r(x^0)}^{Z} dx + \int_{B_r($$

Thus $M_{X^0;u}(0+)=0$, and equality implies that for each >0, u_m converges to 0 in measure in the set $fx_n>g$ as m!=1, and consequently $u_0=0$ in \mathbf{R}^n .

(v): For each > 0 we obtain from the Monotonicity Formula (Theorem 3.4), Remark 4.2 as well as the fact that $\lim_{x \neq x^0} M_{x;u}(r) = M_{x^0;u}(r)$

Proof. Consider a blow-up sequence u_m

@fu>0g is in a neighborhood of x^0 a continuous injective curve $:(t_0;t_0)$! \mathbb{R}^2 such that $=(t_0;t_0)$ and $t_0:x_0$ and $t_0:x_0$ are the following hold:

(i) If $M(0+) = {n \choose B_1} x_2^+$ $f_{X:=6} < 5 = 6g dx$, then (cf. Figure 4) $f_{X:=6} < 6g dx$ $f_{X:=6} < 6g dx$, then (cf. Figure 4) $f_{X:=6} < 6g dx$ in (t₁; t₁) n f0g and, depending on the parametrization, either

$$\lim_{t \not = 0+} \frac{2(t)}{1(t)} \frac{2}{x_1^0} = \cancel{P}_{\overline{3}} \ \ and \ \lim_{t \not = 0} \frac{2(t)}{1(t)} \frac{2}{x_1^0} = -\cancel{P}_{\overline{3}};$$

or

$$\lim_{t \neq 0+} \frac{2(t)}{1(t)} = \frac{1}{3} \text{ and } \lim_{t \neq 0} \frac{2(t)}{1(t)} = \frac{1}{3}.$$

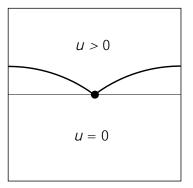


Figure 4. Stokes corner (ii) If $M(0+) = {R \atop B_1} x_2^+ dx$, then (cf. Figure 5) $_1(t) \notin x_1^0$ in ($t_1;t_1$) $n \not= t_1$ for t_2 in t_3 changes sign at t_3 and

$$\lim_{t \neq 0} \frac{2(t)}{1(t) x_1^0} = 0$$

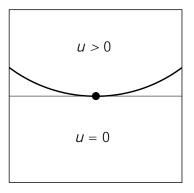


Figure 5. Full density singularity (iii) If M(0+) = 0, then (cf. Figure 6 and Figure 7) $_1(t) \notin x_1^0$ in $(t_1; t_1) \cap f_0g$, $_1 x_1^0$ does not change its sign at t = 0, and

$$\lim_{t \neq 0} \frac{2(t)}{1(t) x_1^0} = 0:$$

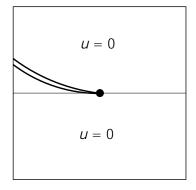


Figure 6. Left cusp

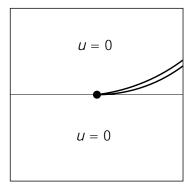


Figure 7. Right cusp

Proof. We may assume that $x_1^0 = 0$. Moreover, for each $y \ge \mathbb{R}^2$ we de ne arg y as the complex argument of y, and we de ne the sets

$$L := f_0 2[0;$$

Remark 4.7. In [23] we used a strong version of the Rayleigh-Taylor condition (which is always valid in the case of zero vorticity) in order to prove that the cusps of case (iii) are not possible. Unfortunately we do not have the Rayleigh-Taylor condition (4.1) in the case with nonzero vorticity, and the method of [23] breaks down here. Still we *conjecture* that the cusps in case (iii) are *not* possible when assuming the Rayleigh-Taylor condition.

5. Partial regularity at non-degenerate points

De nition 5.1 (Stagnation Points). Let u be a variational solution of (3.1). We call $S^u := fx \ 2$: $x_n = 0$ and $x \ 2 \ @fu > 0 \ gg$ the set of stagnation points.

Throughout the rest of this section we assume that n = 2.

De nition 5.2 (Non-degeneracy). Let u be a variational solution of (3.1). We say that a point x^0 $2 \setminus @fu > 0g \setminus fx_2 = 0g$ is *degenerate* if

$$\frac{u(x^0+rx)}{r^{3=}}$$

By the proof of Theorem 4.5(ii), the sequence u_m converges strongly in $W_{\rm loc}^{1,2}({\bf R}^2)$ to the homogeneous solution

to the homogeneous solution
$$u_0(\ ;\)=\frac{\rho_{\overline{2}}}{3}^{3=2}\cos(\frac{3}{2}(\min(\max(\ ;\)$$

Lemma 6.6. Let $r_0 > 0$ and > 1. Let

$$G := f(\cos ; \sin): 0 < < r_0; j j < =(2)g:$$

Let $w \ 2 \ C^2(G) \setminus C(\overline{G})$ be a superharmonic function in G, such that w(0;0) = 0 and w > 0 in \overline{G} in f(0;0)g. Then there exists > 0 such that

$$w(\cos : \sin) \cos in \overline{G}$$

and in particular

$$w(;0)$$
 for all $2(0;r_0)$:

Suppose for a contradiction that $M(0+) = \frac{R}{B_1} x_2^+ dx$. Then, the assumption on f and Theorem 4.6 yield the existence of $r_0 > 0$ and 2(0; =6), such that u is superharmonic in $fu > 0g \setminus B_{r_0}$ and $\overline{G} \cap f(0;0)g = fu > 0g \setminus B_{r_0}$, where $G := f(\cos ; \sin): 0 < < r_0; < < g$. After a suitable rotation, we may apply Lemma 6.6, obtaining the existence > 0 such that

$$u(0; x_2)$$
 x_2 for all $x_2 = 2(0; r_0)$;

where := = (2), so that < 3=2. But this contradicts the estimate

$$u(0; x_2) C x_2^{3=2};$$

which is a consequence of the Bernstein estimate assumption 4.1.

Motivated by Remark 6.4, we will focus in the present paper on the case f(0) = 0.

Theorem 6.7 (Frequency Formula). Let u be a variational solution of (3.1) satisfying Assumption 4.1, let x^0 be a stagnation point, and let $:= dist(x^0; @) = 2$. Let

$$D_{x^{0};u}(r) = D(r) = \frac{r \frac{R}{B_{r}(x^{0})} (jr uj^{2} uf(u)) dx}{\frac{R}{R}(x^{0})} u^{2} dH^{n-1}$$

and

$$V_{X^{0};u}(r) = V(r) = \frac{r R_{B_{r}(X^{0})} X_{n}^{+} (1 \quad f_{u>0g}) dx}{R_{B_{r}(X^{0})} u^{2} dH^{n-1}}$$

Then the \frequency"

$$H_{X^{0};u}(r) = H(r) = D(r) \qquad V(r)$$

$$= \frac{r R_{B_{r}(X^{0})} \quad j \cap u j^{2} \quad u f(u) + x_{n}^{+}(f_{u>0g}) \quad 1) \quad dx}{R R_{B_{r}(X^{0})} \quad u^{2} \, dH^{n-1}}$$

satis es for a.e. r 2 (0;) the identities

$$H^{0}(r) = \frac{2}{r} \sum_{@B_{r}(x^{0})}^{2} 4 \frac{r(ru)}{R_{@B_{r}(x^{0})} u^{2} dH^{n-1}}^{2} D(r) \frac{u}{R_{@B_{r}(x^{0})} u^{2} dH^{n-1}}^{2} \frac{3_{2}}{r^{2}} dH^{n-1} + \frac{2}{r} V^{2}(r) + \frac{2}{r} V(r) H(r) \frac{3}{2} + \frac{R}{@B_{r}(x^{0})} \frac{K(r)}{u^{2} dH^{n-1}}^{2}$$

$$(6.1)$$

and

$$H^{0}(r) = \frac{2}{r} \sum_{@B_{r}(x^{0})}^{Z} 4 \frac{r(ru)}{R R U^{0} U^{2} dH^{n-1}} H(r) - U$$

Using the identities (3.6) and (3.7), we therefore obtain that, for a.e. $r \ge (0;)$,

$$H^{\emptyset}(r) = \frac{2r^{R}_{@B_{r}(x^{0})}(ru)^{2}dH^{n-1}}{(D(r)V(r))^{\frac{1}{r}}\frac{2r^{R}_{@B_{r}(x^{0})}u^{r}u}{(B_{r}(x^{0})u^{r}u)^{2}dH^{n-1}}}$$

$$= \frac{2}{r}\frac{r^{2}_{@B_{r}(x^{0})}(ru)^{2}dH^{n-1}}{(B_{r}(x^{0})u^{r}u)^{2}dH^{n-1}}\frac{3}{2}D(r)$$

$$= \frac{2}{r}(D(r)V(r))D(r)\frac{3}{2} + \frac{R}{(B_{r}(x^{0})u^{r}u)^{2}dH^{n-1}}; \qquad (6.3)$$

Note that when f is a C^1 function, the above is a consequence of f(0) = 0. Assumption 6.10 also implies that

$$jF(z)j Cz^2=2$$
 for all $z = 2(0; z_0)$:

As a corollary of Lemma 6.9 we obtain thus:

Corollary 6.11. Let u be a variational solution of (B.1) such that Assumption 4. and Assumption 6.10 hold. Then there exists $r_0 > 0$ such that

and

$$Z \\ jK(r)j \quad C_0r \\ {}_{\mathscr{C}B_r(x^0)} u^2 \quad \textit{for all } r \ 2 \ (0; r_0):$$

Theorem 6.12. Let u be a variational solution (5.10) such the and Assumption 6.10 hold, let ∞

Let
$$Y:(0;r_0)$$
 ! **R** be given by
$$Y(r) = \begin{bmatrix} Z_r & Z \\ t^{n-1} \end{bmatrix} u^2 dH^n$$

Since, by part (ii), $r \not v H(r)$ is bounded below as $r \neq 0$, we obtain (iii). We also deduce from (6.16) and part (i) that H(r) has a limit as $r \neq 0+$, and that H(0+) = 3=2, thus proving (iv).

We now consider (6.2), and deduce from part (i) using (6.15) that, for a.e. $r \ge (0; r_0)$,

$$H^{0}(r) = \frac{2}{r} \frac{7}{{}_{@B_{r}(x^{0})}} \frac{r(r u)}{R} \frac{r(r u)}{{}_{@B_{r}(x^{0})} u^{2} dH^{n-1}} \frac{1=2}{{}_{$}^{\#_{2}}} dH^{n-1}$$

$$= \frac{u}{{}_{@B_{r}(x^{0})} u^{2} dH^{n-1}} \frac{dH^{n-1}}{1=2} dH^{n-1}$$

$$= \frac{2C_{0}rV(r)}{r} C_{2}r$$

$$= \frac{1}{r}V^{2}(r) C_{1}^{2}r^{3} C_{0}r; \qquad (6.18)$$

which, together with part (iii), proves (v).

7. Blow-up limits

The Frequency Formula allows passing to blow-up limits.

Proposition 7.1. Let u be a variational solution of (3.1), and let $x^0 2^{-u}$. Then:

- (i) There exist $\lim_{r \neq 0+} V(r) = 0$ and $\lim_{r \neq 0+} D(r) = H_{X^0;u}(0+)$.
- (ii) For any sequence $r_m ! 0 + as m ! 1$, the sequence

$$V_m(x) := \frac{u(x^0 + r_m x)}{r_m^1 r_m^{n} e^{B_{r_m}(x^0)} u^2 dH^{n-1}}$$
(7.1)

is bounded in $W^{1,2}(B_1)$.

(iii) For any sequence $r_m ! 0+ as m! 1$ such that the sequence v_m in (7.1) converges weakly in $W^{1,2}(B_1)$ to a blow-up limit v_0 , the function v_0 is homogeneous of degree $H_{x^0:u}(0+)$ in B_1 , and satis es

$$v_0 = 0$$
 in B_1 , $v_0 = 0$ in $B_1 \setminus fx_n = 0$ g and $\int_{@B_1} v_0^2 dH^{n-1} = 1$.

Proof. We rst prove that, for any sequence $r_m ! 0 + \$ / 1000$

Indeed, for any such % such that $r_m <$,

$$Z = \frac{Z}{r} = \frac{Z}{r} + \frac{r(r)}{R} = \frac{R}{R} = \frac{R}{R}$$

as a consequence of The

Z Z Z
$$\frac{2}{r_{2}}$$
 $\frac{2}{\sqrt{9}r}$ $\frac{4}{R}$ $\frac{r(r)}{\sqrt{8}B_{r}}$ V_{m}^{2} dH^{n-1} $\frac{1}{r}$ $\frac{1}{r$

ws by scaling from (6.18) that, for every m

$$H(r_{m}r) = \frac{v_{m}}{R_{eB_{r}} v_{m}^{2} dH^{n-1}} \int_{1}^{1} dH^{n-1} dr$$

$$\frac{1}{r}V^2(r) + C_1^2r^3 + C_0rdr \mid 0 \text{ as } m \mid 1;$$

-(v). The above implies that

$$H(0+) = \frac{v_m}{R_{@B_r} v_m^2 dH^{n-1}} = \frac{7}{5} dH^{n-1} dr$$
(7.3)

Now note that, for every $r \ge (\%)$ (0;1) and all m as before, it follows by using Theorem 6.12 (ii), that

Ζ

@**#2**

and

$$(e_1 \forall_m)^2$$
 $(e_2 \forall_m)^2$! $(e_1 v_0)^2$ $(e_2 v_0)^2$

in the sense of distributions on B as $m \not = 1$. It follows that

$$e_1 V_m e_2 V_m ! e_1 V_0 e_2 V_0$$
 (8.4)

and

$$(@_1 V_m)^2$$
 $(@_2 V_m)^2$! $(@_1 V_0)^2$ $(@_2 V_0)^2$

in the sense of distributions on B as m ! 1. Let us remark that this alone would allow us to pass to the limit in the domain variation formula for v_m in the set $fx_2 > 0g$.

 $z \ge f(1=2;0);(1=2;0)g$. Consider the blow-up sequence v_m given by (7.1), and also the sequence

$$u_m(x) = \frac{u(x^0 + r_m x)}{r_m^{3=2}}.$$

Note that each u_m is a variational solution of (4.5), and v_m is a scalar multiple of u_m . Since $x_m \ 2^{-u}$, it it 9226 Tfra73.y7itu

 $N(x^0)$ 2 such that

$$v_r(x) := \frac{u(x^0 + rx)}{r^{-1} \frac{R}{e^{B_r(x^0)}} u^2 dH^1}$$

$$V_r(x) := \frac{u(x^0 + rx)}{r^{-1} \frac{R}{e^{B_r(x^0)}} \int \sin(N(x^0) \min(\max(x^0)))}{\sin(N(x^0) \min(\max(x^0)))}$$
(10.1)

We are going to use a atness-implies-regularity result of [5]. Note that although not stated in [5], [5, Lemma 4.1] yields as in the proof of [5, Theorem 1.1] that for each $2(0;_0)$

$$\max(x ; 0) \quad w \quad \max(x + ; 0) \text{ in } B_1$$
 (10.3)

implies that the outward unit normal w on the free boundary @fw > 0g satis es

$$j^{w}(0)$$
 j C^{2} :

Note that w(0) = (). Since (10.3) is by (10.2) satis ed for $= (1=2)^{\frac{p}{3}} = 2$, r = r() and every surciently small > 0, we obtain that the outward unit normal (x) on @fu > 0g converges to $as x \neq 0$; $x_1 > 0$. It follows that the present curve component is the graph of a C^1 -function (up to $x_1 = x_1^0$) in the x_2 -direction.

The remaining statements of the Theorem follow from Theorem 4.6.

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