

Slow Modulation & Large-Time Dynamics Near Periodic Waves

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SIAG-APDE Prize Lecture

Jointly with **Mathew Johnson** (Kansas), **Pascal Noble** (INSA Toulouse),
Kevin Zumbrun (Indiana). Formerly **Lyon/Indiana**.

Part of a larger project also including **Blake Barker** (Brown).

Outline.

- 1 Motivation
 - Model result
 - Some surface waves
- 2 Structure of the spectrum
- 3 Dynamical stability
- 4 Averaged dynamics
- 5 Conclusion

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Ordinary differential equations.

$\mathbf{F} : \mathbb{R}^n \rightarrow \mathbb{R}^n$ smooth.

$\mathbf{U} : \mathbb{R}_+ \rightarrow \mathbb{R}^n$ solving

$$\mathbf{U}_t = \mathbf{F}(\mathbf{U}) \quad \text{and} \quad \mathbf{U}(0) = \mathbf{U}_0.$$

Steady solution, $0 = \mathbf{F}(\underline{\mathbf{U}})$.

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Stability

$\forall \delta > 0, \exists \varepsilon > 0,$

$$d(\mathbf{U}_0, \underline{\mathbf{U}}) < \varepsilon \quad \Rightarrow \quad (\exists! \mathbf{U} \quad \text{and} \quad (\forall t \geq 0, d(\mathbf{U}(t), \underline{\mathbf{U}}) < \delta)).$$

Asymptotic stability

Stability + $\exists \varepsilon_0 > 0,$

$$d(\mathbf{U}_0, \underline{\mathbf{U}}) < \varepsilon_0 \quad \Rightarrow \quad \left(\exists! \mathbf{U} \quad \text{and} \quad d(\mathbf{U}(t), \underline{\mathbf{U}}) \xrightarrow{t \rightarrow \infty} 0 \right).$$

From the spectrum to the nonlinear dynamics.

Spectral stability

$$\sigma(d\mathbf{F}(\underline{\mathbf{U}})) \subset \{\lambda \mid \operatorname{Re}\lambda < 0\}.$$

Theorem

Spectral stability implies asymptotic stability.

Decay is exponentially fast.

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Theorem

Spectral stability implies asymptotic stability.

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Goal : PDE version for periodic plane waves.

$\mathbf{U} : \mathbb{R}_+ \times \mathbb{R} \rightarrow \mathbb{R}^d$ solving

$$\mathbf{U}_t = \mathbf{F}(\mathbf{U}, \mathbf{U}_x, \dots) \quad \text{and} \quad \mathbf{U}(0, \cdot) = \mathbf{U}_0(\cdot).$$

- Adapted notion of nonlinear stability for periodic waves.
- Adapted notion of spectral stability, depending on the PDE type.

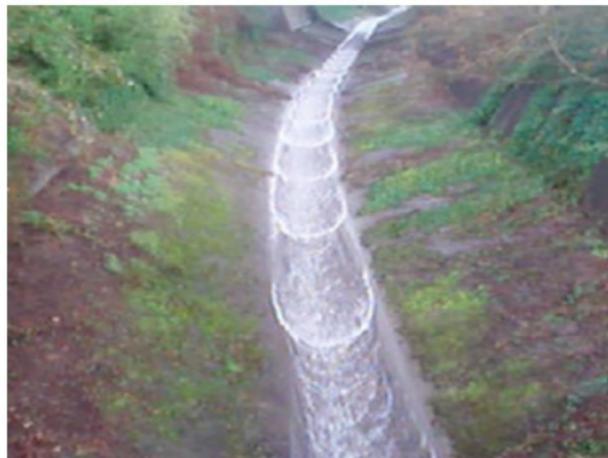
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Roll-waves in thin films.

In a channel.

Courtesy of Neil Balmforth (British Columbia).



The **Saint-Venant** system (SV)

$$h_t + (hu)_x = 0,$$

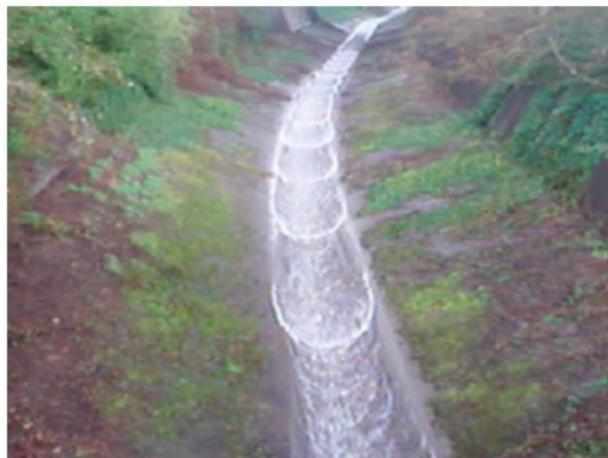
$$\begin{aligned} (hu)_t + \left(hu^2 + \frac{h^2}{2F^2} \right)_x \\ = h - |u|u + (h u_x)_x. \end{aligned}$$

$F > 2$, primary instability.

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$F > 2$, primary instability.

The **Korteweg-de Vries/Kuramoto-Sivashinsky** equation (KdV-KS)

$$U_T + \left(\frac{1}{2}U^2\right)_X + U_{XXX} + \delta(U_{XX} + U_{XXXX}) = 0.$$

Near threshold, $\delta \sim \sqrt{F - 2}$.

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About a wave.

$t > 0$ time, $x \in \mathbf{R}$ space, $\mathbf{U}(x, t) \in \mathbf{R}^d$ unknown. \mathbf{f} smooth.

$$(P) \quad \mathbf{U}_t + (\mathbf{f}(\mathbf{U}))_x = \mathbf{U}_{xx}.$$

Traveling wave. $\mathbf{U}(t, x) = \underline{\mathbf{U}}(x - ct)$ moving with speed c .

Profile $\underline{\mathbf{U}}$ solving $-c \underline{\mathbf{U}}_x + (\mathbf{f}(\underline{\mathbf{U}}))_x = \underline{\mathbf{U}}_{xx}$.

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Generator

$$L := \partial_x^2 + \underline{c} \partial_x - \partial_x \mathbf{d}\mathbf{f}(\underline{\mathbf{U}})$$

in the frame of the wave.

Integral transform.

Bloch-wave decomposition

$$g(x) = \int_{-\pi}^{\pi} e^{i\xi x} \check{g}(\xi, x) d\xi,$$

where ξ is a Floquet exponent

$$\check{g}(\xi, x+1) = \check{g}(\xi, x),$$

$$e^{i\xi(x+1)} \check{g}(\xi, x+1) = e^{i\xi} e^{i\xi x} \check{g}(\xi, x).$$

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From the Fourier decomposition

$$g(x) = \int_{\mathbf{R}} e^{i\xi x} \hat{g}(\xi) d\xi.$$

Floquet-Bloch transform

$$\check{g}(\xi, x) := \sum_{j \in \mathbf{Z}} e^{i2j\pi x} \hat{g}(\xi + 2j\pi) = \sum_{k \in \mathbf{Z}} e^{-i\xi(x+k)} g(x+k).$$

First observations.

$$h(x) = \int_{-\pi}^{\pi} e^{i\xi x} \check{h}(\xi, x) \, d\xi.$$

Observations

$$(g h)^\vee(\xi, x) = g(x) \check{h}(\xi, x), \quad g \text{ of period } 1,$$

$$(\partial_x h)^\vee(\xi, \cdot) = (\partial_x + i\xi) \check{h}(\xi, \cdot),$$

$$\check{h}(\xi, x) = \hat{h}(\xi), \quad h \text{ low-frequency.}$$

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Remark : If g is of period 1 and h is low-frequency

$$(g h)^\vee(\xi, x) = g(x) \hat{h}(\xi).$$

Bloch symbols.

$\mathbf{U}(t, x) = \underline{\mathbf{U}}(\underline{k}(x - \underline{c}t))$, $\underline{\mathbf{U}}$ of period 1.

Generator

$$L := \underline{k}^2 \partial_x^2 + \underline{k} \underline{c} \partial_x - \underline{k} \partial_x \mathbf{d}\mathbf{f}(\underline{\mathbf{U}})$$

with Bloch symbols

$$L_\xi := \underline{k}^2 (\partial_x + i\xi)^2 + \underline{k} (\partial_x + i\xi)(\underline{c} - \mathbf{d}\mathbf{f}(\underline{\mathbf{U}})), \quad \xi \in [-\pi, \pi].$$

Bloch diagonalization

$$(\underline{L}g)(x) = \int_{-\pi}^{\pi} e^{i\xi x} (\underline{L}_\xi \check{g}(\xi, \cdot))(x) d\xi.$$

Each L_ξ acts on functions of period 1.

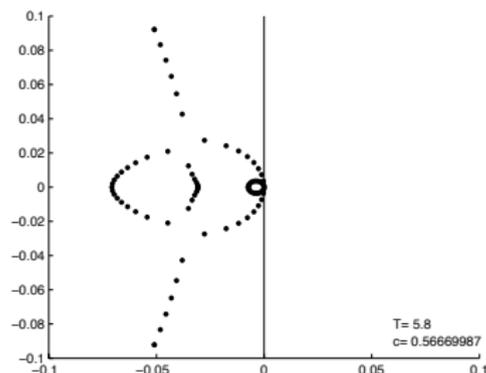
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Diffusive spectral stability.

Spectral decomposition

$$\sigma(L) = \bigcup_{\xi \in [-\pi, \pi]} \sigma_{per}(L_\xi).$$



Spectrum of a stable wave of (SV). [Barker-Johnson-Noble-LMR-Zumbrun, Proc. Port-d'Albret 2010.](#)

(D1) Critical spectrum reduced to $\{0\}$.

$$\sigma(L) \subset \{\lambda \mid \operatorname{Re}\lambda < 0\} \cup \{0\}.$$

(D2) Diffusion. $\exists \theta > 0, \forall \xi \in [-\pi, \pi],$

$$\sigma_{per}(L_\xi) \subset \{\lambda \mid \operatorname{Re}\lambda \leq -\theta|\xi|^2\}.$$

(D3) $\lambda = 0$ of multiplicity $d + 1$ for L_0 (**minimal dimension**).

(H) Distinct group velocities (**strict hyperbolicity**).

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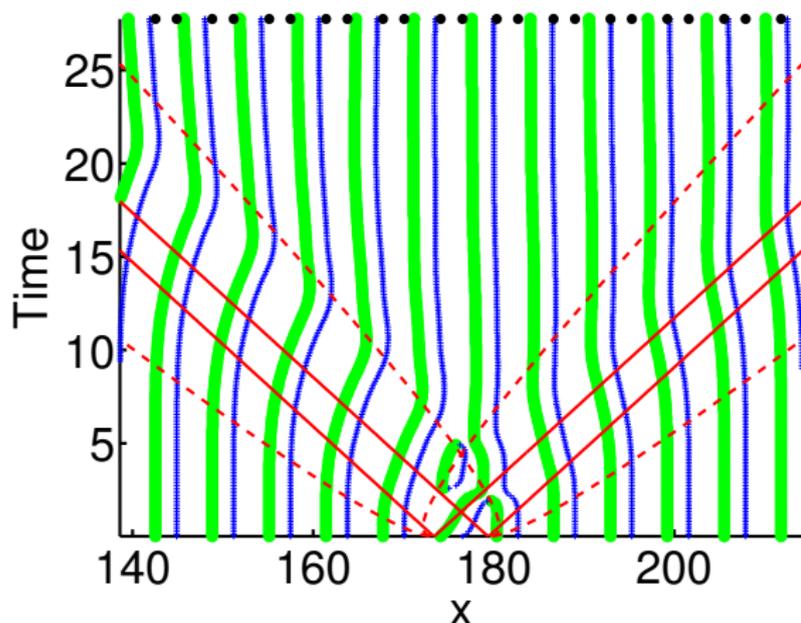
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Direct simulation : space-time diagramm.

About a stable wave of (KdV-KS).

Barker-Johnson-Noble-LMR-Zumbrun, *Phys. D* 2013.

Peaks.
Troughs.
Theory.



Space-modulation of distances.

Allow for resynchronization by comparing functions with

$$\delta_{\mathcal{H}}(u, v) = \inf_{\Psi \text{ one-to-one}} \|u \circ \Psi - v\|_{\mathcal{H}} + \|\partial_x(\Psi - \text{Id}_{\mathbf{R}})\|_{\mathcal{H}}.$$

\mathbf{U} reference wave.

$$\|\mathbf{U}(t, \cdot) - \underline{\mathbf{U}}\|_{L^p(\mathbf{R})} \stackrel{t \rightarrow \infty}{\sim} \sigma t^{\frac{1}{p}}$$

while, in a diffusive context,

$$\delta_{L^p(\mathbf{R})}(\mathbf{U}(t, \cdot), \underline{\mathbf{U}}) \stackrel{t \rightarrow \infty}{\sim} \sigma t^{-\frac{1}{2}(1-1/p)}.$$

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Nonlinear diffusive stability.

Theorem (Johnson-Noble-LMR-Zumbrun, *Inventiones Math.* 2014.)

A **diffusively spectrally stable** periodic wave of (P) is

$$\delta_{L^1(\mathbf{R}) \cap H^K(\mathbf{R})} \quad \text{to} \quad \delta_{H^K(\mathbf{R})}$$

asymptotically stable when $K \geq 3$, with algebraic decay rates.

Elements of proof : introducing the phase.

Seek for (\mathbf{V}, ψ) with $(\mathbf{V}, \partial_x \psi)$ small and such that

$$\mathbf{V}(t, \cdot) = \mathbf{U}(t, \cdot) \circ (\text{Id}_{\mathbf{R}} - \psi(t, \cdot)) - \underline{\mathbf{U}}.$$

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Equation

$$(\partial_t - L) (\mathbf{V}(t) + \underline{\mathbf{U}}_x \psi(t)) = \mathcal{N}(t).$$

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Equation

$$(\partial_t - L) (\mathbf{V}(t) + \underline{\mathbf{U}}_x \psi(t)) = \mathcal{N}(t).$$

Integral formulation

$$\mathbf{V}(t) + \underline{\mathbf{U}}_x \psi(t) = S(t) (\mathbf{V}(0) + \underline{\mathbf{U}}_x \psi_0) + \int_0^t S(t-s) \mathcal{N}(s) ds,$$

with $S(t) := e^{tL}$.

Isolating the phase.

Separation

$$S(t) = \underline{\mathbf{u}}_x s^\phi(t) + \tilde{S}(t)$$

$$\psi(t) = s^\phi(t) (\mathbf{v}_0 + \underline{\mathbf{u}}_x \psi_0) + \int_0^t s^\phi(t-s) \mathcal{N}(s) ds$$

$$\mathbf{v}(t) = \tilde{S}(t) (\mathbf{v}_0 + \underline{\mathbf{u}}_x \psi_0) + \int_0^t \tilde{S}(t-s) \mathcal{N}(s) ds$$

Isolating the phase.

Separation

$$S(t) = \underline{\mathbf{U}}_x s^\phi(t) + \tilde{S}(t)$$

$$\begin{aligned} \psi(t) &= s^\phi(t) (\mathbf{V}_0 + \underline{\mathbf{U}}_x \psi_0) + \int_0^t s^\phi(t-s) \mathcal{N}(s) ds \\ &- \chi(t) \left[s^\phi(t) (\mathbf{V}_0 + \underline{\mathbf{U}}_x \psi_0) - \psi_0 + \int_0^t s^\phi(t-s) \mathcal{N}(s) ds \right] \end{aligned}$$

$$\begin{aligned} \mathbf{V}(t) &= \tilde{S}(t) (\mathbf{V}_0 + \underline{\mathbf{U}}_x \psi_0) + \int_0^t \tilde{S}(t-s) \mathcal{N}(s) ds \\ &+ \chi(t) \underline{\mathbf{U}}_x \left[s^\phi(t) (\mathbf{V}_0 + \underline{\mathbf{U}}_x \psi_0) - \psi_0 + \int_0^t s^\phi(t-s) \mathcal{N}(s) ds \right] \end{aligned}$$

with χ cutting off large times.

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with χ cutting off large times.

Critical evolution.

Expand

$$\frac{1}{ik\xi} \sum_{\alpha=1}^{d+1} e^{\lambda_{\alpha}(\xi)t} \psi_{\alpha}(\xi, \cdot) \langle \tilde{\phi}_{\alpha}(\xi, \cdot) | \cdot \rangle$$

with

$$\psi_{\alpha}(\xi, \cdot) = \underline{\mathbf{u}}_{\mathbf{x}}(\cdot) \beta^{(\alpha)}(\xi) + \mathcal{O}(\xi)$$

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with

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to

$$\underline{\mathbf{u}}_x(\cdot) \sum_{\alpha=1}^{d+1} \left\langle \frac{1}{ik\xi} e^{\lambda_{\alpha}(\xi)t} \beta^{(\alpha)}(\xi) \tilde{\phi}_{\alpha}(\xi, \cdot) \middle| \cdot \right\rangle + \mathcal{O}(e^{-\theta' |\xi|^2 t}).$$

Decomposition

$$S(t) = \underline{\mathbf{u}}_x s^{\phi}(t) + \tilde{S}(t)$$

$$\text{with } s^{\phi}(t) = \sum_{\alpha=1}^{d+1} s_{\alpha}^{\phi}(t).$$

Bounds.

1 Bloch analysis.

Hausdorff-Young inequalities

For $2 \leq p \leq \infty$,

$$\begin{aligned}\|g\|_{L^p(\mathbf{R})} &\lesssim \|\check{g}\|_{L^{p'}([- \pi, \pi], L^p([0, 1]))}, \\ \|\check{g}\|_{L^p([- \pi, \pi], L^{p'}([0, 1]))} &\lesssim \|g\|_{L^{p'}(\mathbf{R})}.\end{aligned}$$

One estimate

$\psi_0(-\infty) = -\psi_0(\infty)$. For $t \geq 0$, $2 \leq p \leq \infty$,

$$\left\| \partial_x s_\alpha^\phi(t)(\psi_0 \underline{\mathbf{U}}_x) \right\|_{L^p(\mathbf{R})} \lesssim (1+t)^{-\frac{1}{2}(1-1/p)} \|\partial_x \psi_0\|_{L^1(\mathbf{R})}.$$

2 Energy estimates and resolvent estimates in a Hilbertian framework.

▶ Out of time ?

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Parametrization.

At fixed k wavenumber,

$$\mathbf{U}(t, x) = \underline{\mathbf{U}}(k(x - ct))$$

with $\underline{\mathbf{U}}$ of period 1 determined by averaged values $\mathbf{M} := \langle \underline{\mathbf{U}} \rangle$.

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Profile : $\underline{\mathbf{U}} = \underline{\mathbf{U}}^{(\mathbf{M}, k)}$. Phase velocity and time frequency

$$c = c(\mathbf{M}, k), \quad \omega(\mathbf{M}, k) = -k c(\mathbf{M}, k).$$

Two-scale ansatz.

'Two-timing' method. Fast oscillation/slow variation.

$$\mathbf{U}(t, x) = (\mathbf{U}_0 + \varepsilon \mathbf{U}_1 + \varepsilon^2 \mathbf{U}_2) \left(\underbrace{\varepsilon t}_T, \underbrace{\varepsilon x}_X, \underbrace{\frac{(\Psi_0 + \varepsilon \Psi_1)(\varepsilon t, \varepsilon x)}{\varepsilon}}_{\theta} \right) + o(\varepsilon^2)$$

with \mathbf{U}_0 , \mathbf{U}_1 and \mathbf{U}_2 of period 1 in θ .

Slow modulation behavior.

$$(\mathbf{U}_0 + \varepsilon \mathbf{U}_1)(T, X, \theta) = \underline{\mathbf{u}}^{((\mathcal{M}_0, \kappa_0) + \varepsilon(\mathcal{M}_1, \kappa_1))(T, X)}(\theta) + o(\varepsilon)$$

with

$$\begin{aligned} \kappa_0 + \varepsilon \kappa_1 &= (\Psi_0 + \varepsilon \Psi_1)_X && \text{local wave number,} \\ \mathcal{M}_0 + \varepsilon \mathcal{M}_1 &&& \text{local averages.} \end{aligned}$$

Averaged dynamics : matching with **slow evolution**.

Evolution of $(\mathcal{M}_0, \kappa_0)$, $(\mathcal{M}_1, \kappa_1)$ coincide with expansion of **slow ansatz**

$$(\mathcal{M}, \kappa)(x, t) = \left((\mathcal{M}_0, \kappa_0) + \varepsilon(\mathcal{M}_1, \kappa_1) \right) \left(\underbrace{\varepsilon t}_T, \underbrace{\varepsilon x}_X \right) + o(\varepsilon^2)$$

into

$$(W) \quad \begin{cases} \mathcal{M}_t + (F(\mathcal{M}, \kappa))_x = (d_{11}(\mathcal{M}, \kappa)\mathcal{M}_x + d_{12}(\mathcal{M}, \kappa)\kappa_x)_x, \\ \kappa_t - (\omega(\mathcal{M}, \kappa))_x = (d_{21}(\mathcal{M}, \kappa)\mathcal{M}_x + d_{22}(\mathcal{M}, \kappa)\kappa_x)_x. \end{cases}$$

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I shall hide a **choice** leading to a canonical **artificial viscosity system**.

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Asymptotic behavior, refined description.

Theorem (Johnson-Noble-LMR-Zumbrun, *Inventiones Math.* 2014.)

Let $\eta > 0$ and $K \geq 4$. There exists $\varepsilon > 0$ and $C > 0$ such that if

$$E_0 := \|\mathbf{U}_0 \circ (\text{Id}_{\mathbf{R}} - \psi_0) - \underline{\mathbf{U}}\|_{L^1(\mathbf{R}) \cap H^K(\mathbf{R})} + \|\partial_x \psi_0\|_{L^1(\mathbf{R}) \cap H^K(\mathbf{R})} \leq \varepsilon$$

for some ψ_0 ,

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for some ψ_0 , then, there exist (\mathbf{U}, ψ) with initial data (\mathbf{U}_0, ψ_0) and \mathbf{M} such that, for $t > 0$ and $2 \leq p \leq \infty$,

$$\begin{aligned} \|\mathbf{U}(t, \cdot - \psi(t, \cdot)) - \underline{\mathbf{U}}\left(\frac{\mathbf{M} + \mathbf{M}(t, \cdot)}{1 - \psi_x(t, \cdot)}\right)(\cdot)\|_{L^p(\mathbf{R})} \\ \leq C E_0 \ln(2 + t) (1 + t)^{-\frac{3}{4}} \end{aligned}$$

$$\|(\mathbf{M}, \underline{k} \psi_x)(t, \cdot)\|_{L^p(\mathbf{R})} \leq C E_0 (1 + t)^{-\frac{1}{2}(1-1/p)}.$$

Asymptotic behavior, validation of (W).

Theorem (Johnson-Noble-LMR-Zumbrun, *Inventiones Math.* 2014.)

Moreover, setting $\Psi(t, \cdot) = (\text{Id}_{\mathbf{R}} - \psi(t, \cdot))^{-1}$, $\kappa = \underline{k} \partial_x \Psi$,

$$\mathcal{M}(t, \cdot) = (\underline{\mathbf{M}} + \mathbf{M}(t, \cdot)) \circ \Psi(t, \cdot),$$

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$$\kappa_W(0, \cdot) = \underline{k} \partial_x \Psi(0, \cdot), \quad \Psi_W(0, \cdot) = \Psi(0, \cdot),$$

$$\begin{aligned} \mathcal{M}_W(0, \cdot) &= \underline{\mathbf{M}} + \underline{\mathbf{U}}_0 - \underline{\mathbf{U}} \circ \Psi(0, \cdot) \\ &+ \left(\frac{1}{\partial_x \Psi(0, \cdot)} - 1 \right) (\underline{\mathbf{U}} \circ \Psi(0, \cdot) - \underline{\mathbf{M}}), \end{aligned}$$

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we have, for $t \geq 0$, $2 \leq p \leq \infty$,

$$\|(\mathcal{M}, \kappa)(t, \cdot) - (\mathcal{M}_W, \kappa_W)(t, \cdot)\|_{L^p(\mathbf{R})} \leq C E_0 (1+t)^{-\frac{1}{2}(1-1/p) - \frac{1}{2} + \eta},$$

$$\|\Psi(t, \cdot) - \Psi_W(t, \cdot)\|_{L^p(\mathbf{R})} \leq C E_0 (1+t)^{-\frac{1}{2}(1-1/p) + \eta}.$$

Corollaries when $\psi_0 \equiv 0$.

Question : Could we get **usual asymptotic stability** in some special cases ?

Roadmap : look at uncoupling of

$$\kappa_t - (\omega(\mathcal{M}, \kappa))_x = (d_{21}(\mathcal{M}, \kappa)\mathcal{M}_x + d_{22}(\mathcal{M}, \kappa)\kappa_x)_x.$$

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Quadratic phase uncoupling

$$d_{\mathbf{M}}\omega(\underline{\mathbf{M}}, \underline{k}) \equiv 0 \quad \text{and} \quad d_{\mathbf{M}}^2\omega(\underline{\mathbf{M}}, \underline{k}) \equiv 0.$$

Corollary (Johnson-Noble-LMR-Zumbrun, *Inventiones Math.* 2014.)

Jointly with previous assumptions this implies **asymptotic stability**

$$\text{from } \|\cdot\|_{L^1(\mathbf{R}) \cap H^K(\mathbf{R})} \quad \text{to} \quad \|\cdot\|_{H^K(\mathbf{R})}.$$

with decay $(1+t)^{-\frac{1}{2}(1-1/p)-\frac{1}{2}+\eta}$ in $L^p(\mathbf{R})$, $2 \leq p \leq \infty$.

Corollaries when $\psi_0 \equiv 0$.

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$$\kappa_t - (\omega(\mathcal{M}, \kappa))_x = (d_{21}(\mathcal{M}, \kappa)\mathcal{M}_x + d_{22}(\mathcal{M}, \kappa)\kappa_x)_x.$$

Linear phase uncoupling

$$d_{\mathbf{M}}\omega(\underline{\mathbf{M}}, k) \equiv 0.$$

Corollary (Johnson-Noble-LMR-Zumbrun, *Inventiones Math.* 2014.)

Jointly with previous assumptions this implies **asymptotic stability**

$$\text{from } \|\cdot\|_{L^1(\mathbf{R}; (1+|\cdot|)) \cap H^K(\mathbf{R})} \quad \text{to} \quad \|\cdot\|_{H^K(\mathbf{R})}.$$

with decay $(1+t)^{-\frac{1}{2}(1-1/p)-\frac{1}{4}+\eta}$ in $L^p(\mathbf{R})$, $2 \leq p \leq \infty$.

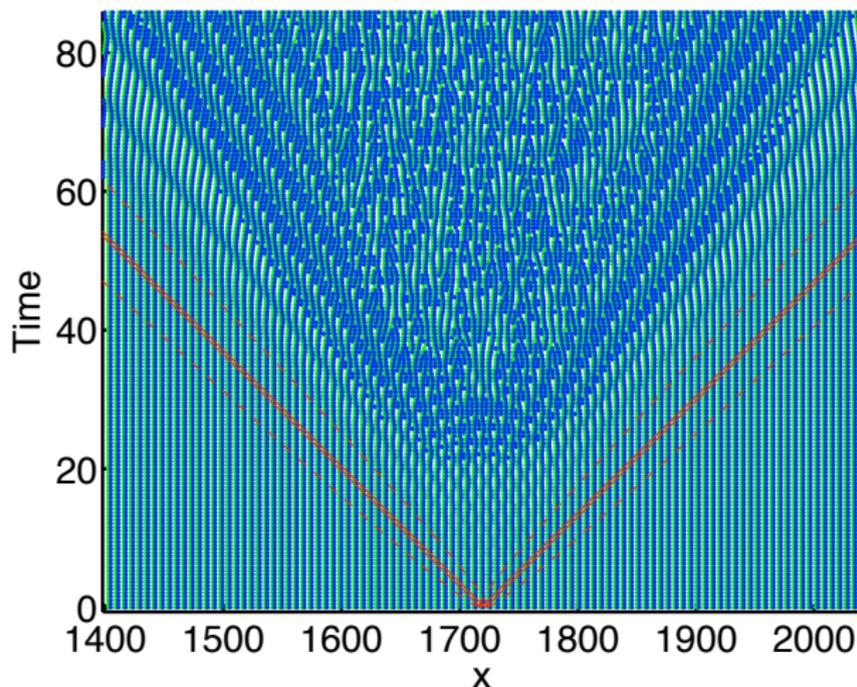
Outline.

- 1 Motivation
- 2 Structure of the spectrum
- 3 Dynamical stability
- 4 Averaged dynamics
- 5 Conclusion

Open questions.

- Verification of **spectral assumptions** : case-by-case.
- Space-modulated **instability**.
- **Genuinely multidimensional** periodic waves.
- **Dispersive nonlinear stability** (not on a torus).
- **Composed patterns**.

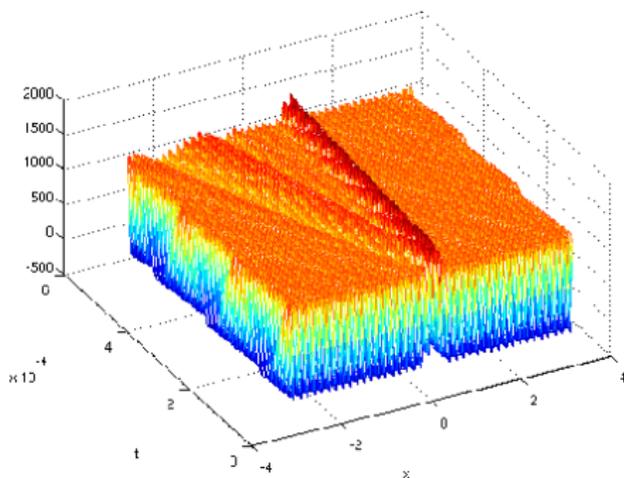
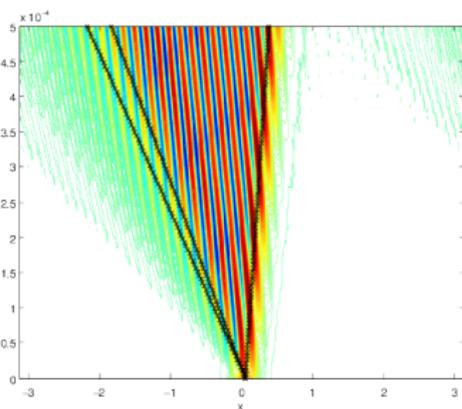
Bonus 1 : diffusive instability.



Failure of diffusivity in (KdV-KS).

Barker-Johnson-Noble-LMR-Zumbrun, *Phys. D* 2013.

Bonus 2 : nonlinear dynamics of (KdV).

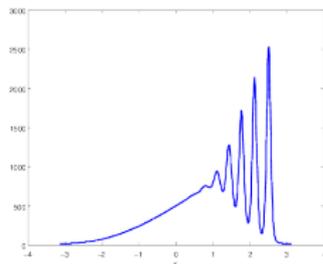
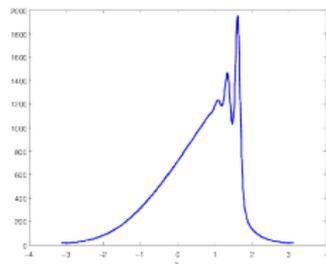
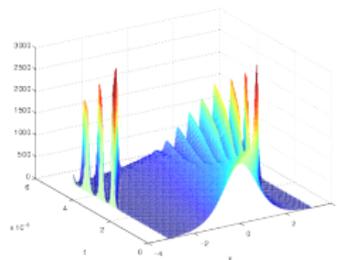
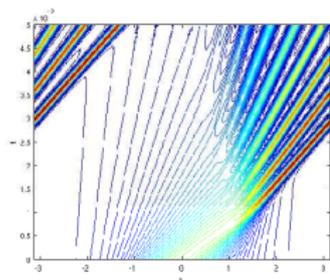


LMR, *in preparation.*

Right : graph of the full solution.

Left : perturbation seen from above.

Bonus 3 : a dispersive shock in (KdV).



A 2-rarefaction wave
of the averaged system.

LMR, *in preparation.*