



# Well-posedness and ill-posedness of KdV equation with higher dispersion



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## ABSTRACT

First, the Cauchy problem for KdV equation with  $2n + 1$  order dispersion is studied, and the local well-posedness result for the initial data in Sobolev spaces  $H^s(\mathbf{R})$  with  $s > -n + \frac{1}{4}$  is established via the Fourier restriction norm method. Second, we prove that the KdV equation with  $2n + 1$  order dispersion is ill-posed for the initial data in  $H^s(\mathbf{R})$  with  $s < -n + \frac{1}{4}$ ,  $n \geq 2$ ,  $n \in \mathbf{N}^+$  if the flow map is  $C^2$  differentiable at zero form  $\dot{H}^s(\mathbf{R})$  to  $C([0, T]; \dot{H}^s(\mathbf{R}))$ . Finally, we obtain the sharp regularity requirement for the KdV equation with  $2n + 1$  order dispersion  $s > -n + \frac{1}{4}$ .

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## 1. Introduction

This paper is devoted to the Cauchy problem for the following KdV equation with  $2n + 1$  order dispersion

$$\partial_t u + \partial_x^{2n+1} u + \frac{1}{2} \partial_x (u^2) = 0, \quad x, t \in \mathbf{R}, \quad n \in \mathbf{N}^+, \quad n \geq 2, \quad (1.1)$$

$$u(x, 0) = u_0(x), \quad (1.2)$$

which arises in the study of propagation of unidirectional nonlinear dispersive waves. Note that (1.1) at least possesses the following three invariant functionals

$$I_1(u) = \int_{\mathbf{R}} u \, dx,$$

$$I_2(u) = \frac{1}{2} \int_{\mathbf{R}} u^2 \, dx,$$

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$$I_3(u) = \frac{(-1)^{n+1}}{2} \int_{\mathbf{R}} (\partial_x^n u)^2 dx - \frac{1}{6} \int_{\mathbf{R}} u^3 dx. \quad (1.3)$$

Consequently, (1.1) at least possesses three conservation laws

$$I_j(u) = I_j(u_0) \quad (j = 1, 2, 3). \quad (1.4)$$

We define Poisson bracket as follows:

$$\{F, G\} = \int_{\mathbf{R}} \frac{\delta F}{\delta u} \frac{\partial}{\partial x} \frac{\delta G}{\delta u} dx. \quad (1.5)$$

It is easily checked that the bracket (1.5) is anti-symmetric and satisfies Jacobi identity. Thus  $\partial_x$  is a Hamiltonian operator, see [26]. Obviously, (1.1) can be rewritten in the following form

$$\partial_t u = \frac{\partial}{\partial x} \frac{\delta I_3(u)}{\delta u}.$$

Thus (1.1) possesses Hamiltonian structure. When  $n = 1$  in (1.1), we have the KdV equation which has been extensively studied by lots of authors, for instance, see [18,27,29,19,2,21–23,11,6,4,12,14,13]. The KdV equation possesses bi-Hamiltonian structure, Lax pairs and infinite conservation laws. It is known that the KdV equation is associated with the Virasoro algebra, see [7]. The KdV equation can be viewed as the geodesic equation on some diffeomorphism group with respect to the invariant  $L^2$  metric, thus the KdV equation is also viewed as the generalized Euler equation. In [28], the authors studied the long time behavior of solutions to a class of Korteweg–de Vries type equations

$$\partial_t u + \partial_x \left( \frac{u^\lambda}{\lambda} \right) + \partial_x (-\partial_x^2)^\alpha u = 0, \quad (1.6)$$

where  $\lambda \in \mathbf{Z}^+$ ,  $\lambda \geq 2$  and  $\alpha \in \mathbf{R}$ ,  $\alpha \geq \frac{1}{2}$ . They showed that for  $\alpha \geq \frac{1}{2}$  and  $\lambda > \alpha + \frac{3}{2} + (\alpha^2 + 3\alpha + \frac{5}{4})^{1/2}$ , solutions of the nonlinear equation with small initial conditions are smooth in the large and asymptotic when  $t \rightarrow \pm\infty$  to solutions of the linear problem. In [20], the authors also considered the long time behavior of solutions to (1.6), (1.2) and improved the result of [28]. In [2], the authors proposed the Fourier restriction norm method. In [21,23], the authors developed the Fourier restriction norm method. In [23], by using the Cauchy–Schwartz’s inequality and the Fourier restriction norm method, the authors established the local well-posedness of the KdV equation for the initial data in  $H^s(\mathbf{R})$  with  $-\frac{3}{4} < s < 0$ . In [3], the author proved that the KdV equation is locally ill-posed for the initial data in  $H^s(\mathbf{R})$  with  $s < -\frac{3}{4}$  if the flow map is  $C^3$ -differentiable at zero from  $H^s(\mathbf{R})$  to  $C([0, T]; H^s(\mathbf{R}))$ . In [30], the author proved that the KdV equation is locally ill-posed for the initial data in  $\dot{H}^s(\mathbf{R})$  with  $s < -\frac{3}{4}$  if the flow map is  $C^2$ -differentiable at zero from  $\dot{H}^s(\mathbf{R})$  to  $C([0, T]; \dot{H}^s(\mathbf{R}))$ . In [5], by using the  $I$ -method, the authors established the global well-posedness of the KdV equation for the initial data in  $H^s(\mathbf{R})$  with  $-\frac{3}{8} < s < 0$ . In [6], by using the  $I$ -method, the authors proved that the KdV equation is globally well-posed for the initial data in  $H^s(\mathbf{R})$  with  $-\frac{3}{4} < s < 0$ . In [4], the authors proved that the KdV equation is locally well-posed for the initial data in  $H^s(\mathbf{R})$  with  $s = -\frac{3}{4}$  and that the real KdV equation is ill-posed for the initial data in  $H^s(\mathbf{R})$  with  $-1 \leq s < -\frac{3}{4}$  if the flow map is uniformly continuous. In [13], by using the  $I$ -method which can be seen in [6] and the dyadic bilinear estimates and resolution spaces which can be seen in [16,17], the author proved that the KdV equation is globally well-posed for the initial data in  $H^s(\mathbf{R})$  with  $s = -\frac{3}{4}$ . In [24], the authors proved that the complex KdV is not uniformly continuous for the initial data in  $H^s(\mathbf{R})$  with  $s < -\frac{3}{4}$ . In [1], the authors introduced a general well-posedness principle. Recently, in [9], the authors considered the

periodic case of (1.1), (1.2) with  $n \geq 2$  and  $n \in \mathbf{N}^+$ , they proved that (1.1), (1.2) are locally well-posed for the initial data in  $H^s(\mathbf{T})$  with  $s \geq -\frac{1}{2}$ .

In this paper, inspired by [9,15,10], we consider the nonperiodic initial value problem of (1.1), (1.2). By using the Fourier restriction norm method which can be used to establish bilinear estimate and the fixed point argument, we derive the local well-posedness of (1.1), (1.2) for the initial data in  $H^s(\mathbf{R})$ . We prove that (1.1), (1.2) are ill-posed for the initial data in  $H^s(\mathbf{R})$  with  $s < -n + \frac{1}{4}$ ,  $n \geq 2$ ,  $n \in \mathbf{N}^+$  if we require that the flow map

$$u_0 \longrightarrow u(t), \quad t \in [0, T]$$

is  $C^2$ -differentiable at zero from  $\dot{H}^s(\mathbf{R})$  to  $C([0, T]; \dot{H}^s(\mathbf{R}))$ .

We introduce some definitions and notations before giving the main results. Throughout this paper, we denote  $\langle \xi \rangle^s = (1 + \xi^2)^{\frac{s}{2}}$  for any  $\xi \in \mathbf{R}$ .  $\mathcal{F}u$  is the Fourier transform of  $u$  with respect to its all variables.  $\mathcal{F}^{-1}u$  is the Fourier inverse transform of  $u$  with respect to its all variables.  $\mathcal{F}_x u$  is the Fourier transform of  $u$  with respect to its space variable.  $\mathcal{F}_x^{-1}u$  is the Fourier inverse transform of  $u$  with respect to its space variable.  $\mathcal{S}(\mathbf{R}^n)$  is the Schwartz space and  $\mathcal{S}'(\mathbf{R}^n)$  is its dual space.  $H^s(\mathbf{R})$  is the usual Sobolev space with norm  $\|f\|_{H^s(\mathbf{R})} = \|\langle \xi \rangle^s \mathcal{F}_x f(\xi)\|_{L^2_\xi(\mathbf{R})}$ . For any  $s, \alpha \in \mathbf{R}$ ,  $X_{s,\alpha}(\mathbf{R}^2)$  is the Bourgain space with phase function  $\phi(\xi) = (-1)^n \xi^{2n+1}$ . That is, a functions  $u(x, t)$  in  $\mathcal{S}'(\mathbf{R}^2)$  belongs to  $X_{s,\alpha}(\mathbf{R}^2)$  if

$$\|u\|_{X_{s,\alpha}(\mathbf{R}^2)} = \|\langle \xi \rangle^s \langle \tau + (-1)^n \xi^{2n+1} \rangle^\alpha \mathcal{F}u(\xi, \tau)\|_{L^2_\tau(\mathbf{R})L^2_\xi(\mathbf{R})} < \infty.$$

For any given interval  $L$ ,  $X_{s,\alpha}(\mathbf{R} \times L)$  is the space of the restriction of all functions in  $X_{s,\alpha}(\mathbf{R}^2)$  on  $\mathbf{R} \times L$ , and for  $u \in X_{s,\alpha}(\mathbf{R} \times L)$  its norm is

$$\|u\|_{X_{s,\alpha}(\mathbf{R} \times L)} = \inf\{\|U\|_{X_{s,\alpha}(\mathbf{R}^2)}; U|_{\mathbf{R} \times L} = u\}.$$

When  $L = [0, T]$ ,  $X_{s,\alpha}(\mathbf{R} \times L)$  is abbreviated as  $X_{s,\alpha}^T$ . We always assume that  $\psi$  is a smooth function,  $\psi_\delta(t) = \psi(\frac{t}{\delta})$ , satisfying  $0 \leq \psi \leq 1$ ,  $\psi = 1$  when  $t \in [-1, 1]$ ,  $\text{supp } \psi \subset [-2, 2]$ . We define  $\sigma = \tau + (-1)^n \xi^{2n+1}$  and  $\sigma_j = \tau_j + (-1)^n \xi_j^{2n+1}$  ( $j = 1, 2$ ). We define

$$W(t)u_0 = C \int_{\mathbf{R}} e^{i(x\xi+t(-1)^n \xi^{2n+1})} \mathcal{F}_x u_0(\xi) d\xi$$

and

$$\|f\|_{L_t^q L_x^p} = \left( \int_{\mathbf{R}} \left( \int_{\mathbf{R}} |f(x, t)|^p dx \right)^{\frac{q}{p}} dt \right)^{\frac{1}{q}}, \quad \|f\|_{L_t^p L_x^p} = \|f\|_{L_{xt}^p}.$$

We use  $|X| \leq C_0|Y|$  to denote  $X \preceq Y$ , where  $C_0$  is a generic positive constant. We denote  $X \sim Y$  by  $A_1|X| \leq |Y| \leq A_2|X|$ , where  $A_j > 0$  ( $j = 1, 2$ ), which may depend on  $C$ .  $C$  is a generic constant which may depend on  $n$  and may vary from line to line.

Obviously, (1.1), (1.2) are equivalent to the following integral equation

$$u(t) = W(t)u_0(x) - \frac{1}{2} \int_0^t W(t - \tau) \partial_x (u^2(\tau)) d\tau. \tag{1.7}$$

The main results of this paper are as follows.

**Theorem 1.1.** *Let  $s > -n + \frac{1}{4}$ ,  $n \in \mathbf{N}^+$ . Then (1.1), (1.2) are locally well-posed for the initial data in  $H^s(\mathbf{R})$ .*

**Theorem 1.2.** *Let  $s < -n + \frac{1}{4}$ ,  $n \geq 2$ ,  $n \in \mathbf{N}^+$ . Then there does not exist any  $T > 0$  such that (1.7) admits a unique local solution defined on the interval  $[0, T]$  and such that the flow map*

$$u_0 \longrightarrow u, \quad t \in [0, T]$$

*is  $C^2$ -differentiable at zero from  $\dot{H}^s(\mathbf{R})$  to  $C([0, T]; \dot{H}^s(\mathbf{R}))$ .*

**Remark 1.** When  $n = 1$ , (1.1), (1.2) are ill-posed if the flow map is uniformly continuous, see [4]. Thus we only consider the case  $n \geq 2$  of (1.1), (1.2).

**Remark 2.** We believe that the local well-posedness for the case  $s = -n + \frac{1}{4}$  can be obtained with the aid of the idea of [13].

**Remark 3.** In Theorem 1.2, inspired by [1], we choose  $t = N^{-2n + \frac{2}{4n-3}}$ .

**Remark 4.** In Theorem 1.2, for an arbitrary fixed  $T > 0$ , we can choose sufficiently  $N$  such that  $t = N^{-2n + \frac{2}{4n-3}} < T$  for  $n \geq 2$  and  $n \in \mathbf{Z}$ .

The remainder of this paper is organized as follows. In Section 2, we give some preliminaries. In Section 3, by using the Fourier restriction norm method, we establish a crucial bilinear estimate. In Section 4, we give the proof of Theorem 1.1. In Section 5, we give the proof of Theorem 1.2.

## 2. Preliminaries

**Lemma 2.1.** *Let  $n \in \mathbf{N}^+$  and  $\xi = \xi_1 + \xi_2$ . Then*

$$|\xi^{2n+1} - \xi_1^{2n+1} - \xi_2^{2n+1}| \sim |\xi_{\min}| |\xi_{\max}|^{2n}, \tag{2.1}$$

where  $|\xi_{\min}| := \min\{|\xi|, |\xi_1|, |\xi_2|\}$  and  $|\xi_{\max}| := \max\{|\xi|, |\xi_1|, |\xi_2|\}$ .

Lemma 2.1 can be found in Lemma 2.5 in [31].

**Lemma 2.2.** *For  $0 < \delta < 1$ ,  $s \in \mathbf{R}$  and  $\frac{1}{2} < b \leq 1$ , we have*

$$\|\psi_\delta(t)W(t)u_0\|_{X_{s,b}} \leq C\delta^{\frac{1}{2}-b}\|u_0\|_{H^s}, \tag{2.2}$$

and for  $-\frac{1}{2} < b' \leq 0 \leq b \leq b' + 1$ , we have

$$\left\| \psi_\delta(t) \int_0^t W(t-\tau)f(\tau) d\tau \right\|_{X_{s,b}} \leq C\delta^{1+b'-b}\|f\|_{X_{s,b'}}. \tag{2.3}$$

Lemma 2.2 can be seen in Lemmas 3.1 and 3.2 of [8].

## 3. Bilinear estimates

In this section, we will prove a crucial bilinear estimate.

**Lemma 3.1.** *Let  $s \geq -n + \frac{1}{4} + (6n + 3)\epsilon$ ,  $n \in \mathbf{N}^+$ ,  $b = \frac{1}{2} + 2\epsilon$ ,  $b' = -\frac{1}{2} + 3\epsilon$ ,  $0 < \epsilon \ll 1$ . Then*

$$\left\| \partial_x \left( \prod_{j=1}^2 u_j \right) \right\|_{X_{s,b'}} \leq C \prod_{j=1}^2 \|u_j\|_{X_{s,b}}. \tag{3.1}$$

**Proof.** Let

$$\begin{aligned} F_j(\xi_j, \tau_j) &= \langle \xi_j \rangle^s \langle \sigma_j \rangle^b \mathcal{F} u_j(\xi_j, \tau_j) \quad (j = 1, 2), \\ F(\xi, \tau) &= \langle \xi \rangle^{-s} \langle \sigma \rangle^{-b'} \mathcal{F} u(\xi, \tau). \end{aligned}$$

By duality and the Plancherel’s identity, to derive (3.1), it suffices to prove

$$\int_{\mathbf{R}^2} \int_{\substack{\xi = \xi_1 + \xi_2 \\ \tau = \tau_1 + \tau_2}} \frac{|\xi| \langle \xi \rangle^s |F| \prod_{j=1}^2 |F_j|}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b \langle \xi_j \rangle^s} d\xi_1 d\tau_1 d\xi d\tau \leq C \|F\|_{L_{\xi\tau}^2} \prod_{j=1}^2 \|F_j\|_{L_{\xi\tau}^2}. \tag{3.2}$$

Without loss of generality, we can assume that  $F_j(\xi_j, \tau_j)$  ( $j = 1, 2$ )  $\geq 0$  and  $F(\xi, \tau) \geq 0$  and  $|\xi_1| \geq |\xi_2|$  since  $|\xi_1|$  and  $|\xi_2|$  is symmetrical. It is easily checked that  $\{|\xi_2| \leq |\xi_1|\} \subset \bigcup_{j=1}^7 \Omega_j$ , where,

$$\begin{aligned} \Omega_1 &= \{|\xi_2| \leq |\xi_1| \leq 1\}, \\ \Omega_2 &= \{4|\xi_2| < |\xi_1|, |\xi_2| \leq 1, |\xi_1| \geq 1\}, \\ \Omega_3 &= \{4|\xi_2| < |\xi_1|, |\xi_2| \geq 1, |\xi_1| \geq 1\}, \\ \Omega_4 &= \{|\xi_2| \leq 1 \leq |\xi_1| \leq 4|\xi_2|\}, \\ \Omega_5 &= \{1 \leq |\xi_2| \leq |\xi_1| \leq 4|\xi_2|, \xi_1 \xi_2 \leq 0, 2|\xi| \leq |\xi_2|\}, \\ \Omega_6 &= \{1 \leq |\xi_2| \leq |\xi_1| \leq 4|\xi_2|, \xi_1 \xi_2 \leq 0, |\xi_2| \leq 2|\xi|\}, \\ \Omega_7 &= \{1 \leq |\xi_2| \leq |\xi_1| \leq 4|\xi_2|, \xi_1 \xi_2 \geq 0\}. \end{aligned}$$

In this lemma, integrals over the subregion  $\Omega_k$ ’s are respectively denoted as  $J_k$  ( $1 \leq k \leq 7$ ). Let

$$K_1(\xi_1, \tau_1, \xi, \tau) = \frac{|\xi| \langle \xi \rangle^s}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b \langle \xi_j \rangle^s},$$

and

$$\mathcal{F} f_j = \frac{F_j}{\langle \sigma_j \rangle^b} \quad (j = 1, 2), \quad \mathcal{F} f = \frac{F}{\langle \sigma \rangle^{-b'}}.$$

(1) **Subregion**  $\{|\xi_2| \leq |\xi_1| \leq 1\}$ . In this subregion,

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq \frac{C}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b}.$$

This case can be treated similarly to Subregion (1) of Lemma 3.2 of [25].

(2) **Subregion**  $\{|\xi_1| > 4|\xi_2|, |\xi_2| \leq 1, |\xi_1| \geq 1\}$ . In this subregion,  $|\xi| \sim |\xi_1|$  which yields

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi|}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b} \leq C \frac{|\xi_1^{2n} - \xi_2^{2n}|^{\frac{1}{2}}}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b}.$$

This case can be treated similarly to Subregion (2) of Lemma 3.3 of [25].

(3) **Subregion**  $\{|\xi_1| > 4|\xi_2|, |\xi_2| \geq 1, |\xi_1| \geq 1\}$ . In this subregion,  $|\xi| \sim |\xi_1|$ . By using (2.1), since  $\xi = \xi_1 + \xi_2$ , we have

$$\begin{aligned} 3 \max\{|\sigma|, |\sigma_1|, |\sigma_2|\} &\geq |\sigma - \sigma_1 - \sigma_2| = |\xi^{2n+1} - \xi_1^{2n+1} - \xi_2^{2n+1}| \\ &\geq C|\xi_{\min}||\xi_{\max}|^{2n}. \end{aligned} \tag{3.3}$$

(3.3) implies that one of the following three cases always occurs.

$$|\sigma| = \max\{|\sigma|, |\sigma_1|, |\sigma_2|\} \geq C|\xi_{\min}||\xi_{\max}|^{2n}, \tag{3.4}$$

$$|\sigma_1| = \max\{|\sigma|, |\sigma_1|, |\sigma_2|\} \geq C|\xi_{\min}||\xi_{\max}|^{2n}, \tag{3.5}$$

$$|\sigma_2| = \max\{|\sigma|, |\sigma_1|, |\sigma_2|\} \geq C|\xi_{\min}||\xi_{\max}|^{2n}. \tag{3.6}$$

In the case  $s \geq 0$ , we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi|}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b} \leq C \frac{|\xi_1^{2n} - \xi_2^{2n}|^{1/2}}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b},$$

can be treated similarly to Subregion (2) of Lemma 3.3 of [25].

In the case  $s < 0$ , we consider the cases (3.4), (3.5), (3.6), respectively.

**Case (1).** When (3.4) holds.

If  $-s + b' \leq 0$ , since  $b' = -\frac{1}{2} + 3\epsilon$ , we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi|^{1+2nb'} |\xi_2|^{-s+b'}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b} \leq C \frac{|\xi_1|^{\frac{2n-1}{4}}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b}.$$

If  $-s + b' \geq 0$ , since  $s \geq -n + \frac{1}{4} + (6n + 3)\epsilon$  and  $b' = -\frac{1}{2} + 3\epsilon$ , we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi|^{1+2nb'} |\xi_2|^{-s+b'}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b} \leq C \frac{|\xi|^{1-s+2nb'+b'}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b} \leq C \frac{|\xi_1|^{\frac{2n-1}{4}}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b}.$$

This case can be treated similarly to case 3.6 of Subregion (5) of Lemma 3.2 of [25].

**Case (2).** When (3.5) holds.

In this case, since  $\langle \sigma \rangle^{b'+b} \leq \langle \sigma_1 \rangle^{b'+b}$  which yields  $\langle \sigma_1 \rangle^{-b} \langle \sigma \rangle^{b'} \leq \langle \sigma_1 \rangle^{b'} \langle \sigma \rangle^{-b}$ , we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi| |\xi_2|^{-s} \langle \sigma_1 \rangle^{b'}}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b} \leq C \frac{|\xi|^{1+2nb'} |\xi_2|^{-s+b'}}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b},$$

if  $-s + b' \leq 0$ , since  $b' = -\frac{1}{2} + 3\epsilon$ , we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi|^{1+2nb'}}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b} \leq C \frac{|\xi_2^{2n} - \xi^{2n}|^{\frac{1}{2}}}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b},$$

if  $-s + b' \geq 0$ , since  $s \geq -n + \frac{1}{4} + (6n + 3)\epsilon$  and  $b' = -\frac{1}{2} + 3\epsilon$ , then

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi|^{1-s+b'+2nb'}}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b} \leq C \frac{|\xi_2^{2n} - \xi^{2n}|^{\frac{1}{2}}}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b}.$$

This case can be treated similarly to case 3.6 of  $1 \leq n \leq 2$  of Subregion (4) of Lemma 3.2 of [25].

**Case (3).** When (3.6) holds.

In this case, since  $\langle \sigma \rangle^{b'+b} \leq \langle \sigma_2 \rangle^{b'+b}$  which yields  $\langle \sigma_2 \rangle^{-b} \langle \sigma \rangle^{b'} \leq \langle \sigma_2 \rangle^{b'} \langle \sigma \rangle^{-b}$ , we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi| |\xi_2|^{-s} \langle \sigma_2 \rangle^{b'}}{\langle \sigma_1 \rangle^b \langle \sigma \rangle^b} \leq C \frac{|\xi|^{1+2nb'} |\xi_2|^{-s+b'}}{\langle \sigma_1 \rangle^b \langle \sigma \rangle^b},$$

if  $-s + b' \leq 0$ , since  $b' = -\frac{1}{2} + 3\epsilon$ , we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi|^{1+2nb'}}{\langle \sigma_1 \rangle^b \langle \sigma \rangle^b} \leq C \frac{|\xi_1|^{\frac{2n-1}{4}}}{\langle \sigma_1 \rangle^b \langle \sigma \rangle^b},$$

if  $-s + b' \geq 0$ , since  $s \geq -n + \frac{1}{4} + (6n + 3)\epsilon$  and  $b' = -\frac{1}{2} + 3\epsilon$ , we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi|^{1-s+b'+2nb'}}{\langle \sigma_1 \rangle^b \langle \sigma \rangle^b} \leq C \frac{|\xi_1|^{\frac{2n-1}{4}}}{\langle \sigma_1 \rangle^b \langle \sigma \rangle^b}.$$

This case can be treated similarly to case 3.7 of Subregion (5) of Lemma 3.2 of [25].

(4) **Subregion**  $\{|\xi_2| \leq 1 \leq |\xi_1| \leq 4|\xi_2|\}$ . In this subregion,

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq \frac{C}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b}.$$

This case can be treated similarly to Subregion (1) of Lemma 3.2 of [25].

(5) **Subregion**  $\{1 \leq |\xi_2| \leq |\xi_1| \leq 4|\xi_2|, \xi_1 \xi_2 \leq 0, 2|\xi| \leq |\xi_2|\}$ . Obviously, in this subregion, since  $\xi_1 \xi_2 \leq 0$ ,  $2|\xi| \leq |\xi_2|$  and  $|\xi_2| \leq |\xi_1| \leq 4|\xi_2|$ , we have

$$|\xi_1^{2n} - \xi_2^{2n}|^{\frac{1}{2}} \geq C |\xi|^{\frac{1}{2}} |\xi_1|^{n-\frac{1}{2}}, \quad |\xi^{2n} - \xi_2^{2n}|^{\frac{1}{2}} \geq C |\xi_1|^n, \quad |\xi^{2n} - \xi_1^{2n}|^{\frac{1}{2}} \geq C |\xi_1|^n$$

which can be seen in [25].

In the case  $s \geq 0$ , we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi|}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b} \leq C \frac{|\xi_1^{2n} - \xi_2^{2n}|^{1/2}}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b}.$$

This case can be treated similarly to Subregion (2) of Lemma 3.3 of [25].

In the case  $s < 0$ , we consider cases (3.4), (3.5), (3.6), respectively.

**Case (1).** When (3.4) holds.

By using (3.4), since  $-n + \frac{1}{4} + (6n + 3)\epsilon \leq s < 0$  and  $b' = -\frac{1}{2} + 3\epsilon$ , we have

$$\begin{aligned} K_1(\xi_1, \tau_1, \xi, \tau) &\leq C \frac{|\xi|^{1+b'} \prod_{j=1}^2 |\xi_j|^{-s+nb'}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b} \leq C \frac{|\xi|^{\frac{1}{2}} |\xi_1|^{\frac{1}{2}-2s+(2n+1)b'}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b} \\ &\leq C \frac{|\xi|^{\frac{1}{2}} |\xi_1|^{n-\frac{1}{2}}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b} \leq C \frac{|\xi_1^{2n} - \xi_2^{2n}|^{\frac{1}{2}}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b}. \end{aligned}$$

This case can be treated similarly to case 3.6 of  $1 \leq n \leq 2$  of Subregion (4) of Lemma 3.3 of [25].

**Case (2).** When (3.5) holds.

In this case, since  $\langle \sigma \rangle^{b'+b} \leq \langle \sigma_1 \rangle^{b'+b}$  which yields  $\langle \sigma_1 \rangle^{-b} \langle \sigma \rangle^{b'} \leq \langle \sigma_1 \rangle^{b'} \langle \sigma \rangle^{-b}$ , since  $-n + \frac{1}{4} + (6n + 3)\epsilon \leq s < 0$  and  $b' = -\frac{1}{2} + 3\epsilon$ , we have

$$\begin{aligned} K_1(\xi_1, \tau_1, \xi, \tau) &\leq C \frac{|\xi| \langle \sigma_1 \rangle^{b'}}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b \prod_{j=1}^2 \langle \xi_j \rangle^s} \leq C \frac{|\xi|^{1+b'} \prod_{j=1}^2 |\xi_j|^{-s+nb'}}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b} \leq C \frac{|\xi_1|^{1-2s+(2n+1)b'}}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b} \\ &\leq C \frac{|\xi_1|^n}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b} \leq C \frac{|\xi_1|^{2n} - \xi_2^{2n}}{\langle \sigma \rangle^b \langle \sigma_2 \rangle^b}. \end{aligned}$$

This case can be treated similarly to case 3.6 of  $1 \leq n \leq 2$  of Subregion (4) of Lemma 3.3 of [25].

**Case (3).** When (3.6) holds.

By using  $|\xi^{2n} - \xi_1^{2n}|^{\frac{1}{2}} \geq C|\xi_1|^n$  and an idea similar to Case (3.5), in this case we obtain

$$J_5 \leq C \|F\|_{L^2_{\xi\tau}} \prod_{j=1}^2 \|F_j\|_{L^2_{\xi\tau}}.$$

(6) **Subregion**  $\{1 \leq |\xi_2| \leq |\xi_1| \leq 4|\xi_2|, \xi_1 \xi_2 \leq 0, |\xi_2| \leq 2|\xi_1|\}$ . In this subregion,  $|\xi_1| \sim |\xi_2| \sim |\xi|$  which yields

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi_1|^{1-s}}{\langle \sigma \rangle^{-b'} \prod_{j=1}^2 \langle \sigma_j \rangle^b}.$$

We consider (3.4), (3.5), (3.6), respectively.

**Case (1).** When (3.4) holds.

Since  $-n + \frac{1}{4} + (6n + 3)\epsilon \leq s < 0$  and  $b' = -\frac{1}{2} + 3\epsilon$ , we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi_1|^{1-s+(2n+1)b'}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b} \leq C \frac{|\xi_1|^{\frac{2n-1}{4}}}{\prod_{j=1}^2 \langle \sigma_j \rangle^b}.$$

This case can be treated similarly to case 3.6 of Subregion (5) of Lemma 3.2 of [25].

**Case (2).** When (3.5) holds.

Since  $\langle \sigma \rangle^{b'+b} \leq \langle \sigma_1 \rangle^{b'+b}$  which yields  $\langle \sigma_1 \rangle^{-b} \langle \sigma \rangle^{b'} \leq \langle \sigma_1 \rangle^{b'} \langle \sigma \rangle^{-b}$ , by a calculation similar to Case (3.4), we have

$$K_1(\xi_1, \tau_1, \xi, \tau) \leq C \frac{|\xi_2|^{\frac{2n-1}{4}}}{\langle \sigma_2 \rangle^b \langle \sigma \rangle^b}.$$

This case can be treated similarly to case 3.7 of Subregion (5) of Lemma 3.2 of [25].

**Case (3).** When (3.6) holds.

This case can be treated similarly to case 3.7 of Subregion (5) of Lemma 3.2 of [25].

(7) **Subregion**  $\{1 \leq |\xi_2| \leq |\xi_1| \leq 4|\xi_2|, \xi_1 \xi_2 \geq 0\}$ .

This case can be treated similarly to subregion of Lemma 3.2 of [25].

Consequently, by putting the estimates of  $J_k (1 \leq k \leq 7)$  together, we obtain

$$\int_{\mathbf{R}^2} \int_{\substack{\xi=\xi_1+\xi_2 \\ \tau=\tau_1+\tau_2}} K_1(\xi_1, \tau_1, \xi, \tau) F \prod_{j=1}^2 F_j d\xi_1 d\tau_1 d\xi d\tau \leq C \|F\|_{L^2_{\xi\tau}} \prod_{j=1}^2 \|F_j\|_{L^2_{\xi\tau}}. \tag{3.7}$$

Thus we complete the proof of Lemma 3.1.

**4. Proof of Theorem 1.1**

In order to prove Theorem 1.1, firstly, for  $u_0 \in H^s(\mathbf{R})$  and  $\delta \in (0, 1]$ ,  $v \in X_{s,b}(\mathbf{R}^2)$ , we define  $G_{u_0}(v)$  by

$$G_{u_0}(v) = \psi(t)W(t)u_0 - \frac{1}{2}\psi_\delta \int_0^t W(t-t')(\partial_x v^2) dt'. \tag{4.1}$$

Applying Lemma 2.2 and Lemma 3.1 to (4.1), we conclude that for a certain constant  $C$ ,

$$\|G_{u_0}(v)\|_{X_{s,b}(\mathbf{R}^2)} \leq C\|u_0\|_{H^s(\mathbf{R})} + C\delta^{b'+1-b}\|v\|_{X_{s,b}(\mathbf{R}^2)}^2, \tag{4.2}$$

where  $s, b, b'$  of (4.2) concords with  $s, b$  and  $b'$  of Lemma 3.1. Let

$$\delta = \left( \frac{1}{8C^2(\|u_0\|_{H^s(\mathbf{R})} + 2)} \right)^{\frac{1}{b'+1-b}}, \quad \text{and} \quad r = 2C\|u_0\|_{H^s(\mathbf{R})}, \tag{4.3}$$

where  $0 < \delta < 1$ , thus based on (4.2) and (4.3), we obtain that  $G$  is a mapping from the closed ball  $B(0, r) = \{u \in X_{s,b}(\mathbf{R}^2), \|u\|_{X_{s,b}(\mathbf{R}^2)} \leq r\}$  into itself. By a similar calculation, we have

$$\begin{aligned} \|G_{u_0}(v) - G_{u_0}(u)\|_{X_{s,b}(\mathbf{R}^2)} &\leq C\delta^{b'+1-b}\|v - u\|_{X_{s,b}(\mathbf{R}^2)}(\|u\|_{X_{s,b}(\mathbf{R}^2)} + \|v\|_{X_{s,b}(\mathbf{R}^2)}) \\ &\leq \frac{1}{2}\|v - u\|_{X_{s,b}(\mathbf{R}^2)}, \end{aligned}$$

thus  $G$  is a contraction mapping from the closed ball  $B(0, r) = \{u \in X_{s,b}(\mathbf{R}^2), \|u\|_{X_{s,b}(\mathbf{R}^2)} \leq r\}$  into itself, by using Banach fixed point theorem, we have  $G_{u_0}(v) = v$ . The rest of local well-posedness of Theorem 1.1 follow from a standard proof. Consequently, we complete the proof of Theorem 1.1.

**5. Proof of Theorem 1.2**

This section is devoted to proving Theorem 1.2. We give Theorem 5.1 before proving Theorem 1.2.

**Theorem 5.1.** *Let  $s < -n + \frac{1}{4}$  and  $T$  be a positive real number. Then there does not exist a space  $Y_T$  continuously embedded in  $C([0, T]; \dot{H}^s(\mathbf{R}))$  such that*

$$\|W(t)u_0\|_{Y_T} \leq C\|u_0\|_{\dot{H}^s}, \quad \forall u_0 \in \dot{H}^s(\mathbf{R}), \tag{5.1}$$

$$\left\| \int_0^t W(t-\tau)\partial_x(u^2(\tau)) d\tau \right\|_{Y_T} \leq C\|u\|_{Y_T}^2, \quad \forall u \in Y_T. \tag{5.2}$$

**Proof.** We assume that  $u = W(t)u_0$  in (5.2) and  $Y_T$  satisfies (5.1), (5.2), since  $Y_T$  is continuously embedded in  $C([0, T]; \dot{H}^s(\mathbf{R}))$ , for any  $t \in [0, T]$ , we have

$$\left\| \int_0^t W(t-\tau)\partial_x(W(t)u_0)^2 d\tau \right\|_{\dot{H}^s} \leq C\|u_0\|_{\dot{H}^s}^2, \quad \text{for all } u_0 \in Y_T. \tag{5.3}$$

We prove that (5.3) fails by choosing

$$\mathcal{F}_x u_{0N}(x) = \gamma^{-1/2}N^{-s}(\chi_{I_N}(\xi) + \chi_{I_N}(-\xi)),$$

where  $I_N = [N, N + 2\gamma]$  and  $N \gg 1$  and  $\gamma$  will be chosen later. Thus

$$\|u_{0N}\|_{\dot{H}^s} \sim 1.$$

We define

$$u_{2,N} = \int_0^t W(t - \tau) \partial_x (W(\tau) u_{0N})^2 d\tau.$$

Thus

$$u_{2,N} = C(f - g),$$

where

$$f = \gamma^{-1} N^{-2s} \int_{K_\xi} \frac{(\xi_1 + \xi_2) e^{ix(\xi_1 + \xi_2) + it(\phi(\xi_1) + \phi(\xi_2))}}{\phi(\xi_1) + \phi(\xi_2) - \phi(\xi_1 + \xi_2)} d\xi_1,$$

$$g = \gamma^{-1} N^{-2s} \int_{K_\xi} \frac{(\xi_1 + \xi_2) e^{ix(\xi_1 + \xi_2) + it\phi(\xi_1 + \xi_2)}}{\phi(\xi_1) + \phi(\xi_2) - \phi(\xi_1 + \xi_2)} d\xi_1.$$

Thus we deduce that

$$\begin{aligned} \|u_{2,N}(t)\|_{\dot{H}^s}^2 &\geq \int_{-\frac{\gamma}{2}}^{\frac{\gamma}{2}} |\xi|^{2s} |\mathcal{F}_x u_{2,N}(t, \xi)|^2 d\xi \\ &= N^{-4s} \gamma^{-2} \int_{-\frac{\gamma}{2}}^{\frac{\gamma}{2}} |\xi|^{2s} |\xi|^2 \left| \int_{K_\xi} \frac{e^{it(\phi(\xi_1) + \phi(\xi_2) - \phi(\xi_1 + \xi_2)) - 1}}{\phi(\xi_1) + \phi(\xi_2) - \phi(\xi_1 + \xi_2)} d\xi_1 \right|^2 d\xi, \end{aligned}$$

where

$$K_\xi = \{\xi_1 \mid \xi - \xi_1 \in I_N, \xi_1 \in -I_N\} \cup \{\xi_1 \mid \xi_1 \in I_N, \xi - \xi_1 \in -I_N\}.$$

Notice that  $\text{mes}(K_\xi) \geq \gamma$  where  $\text{mes}$  denotes the Lebesgue measure. Thus we have

$$\|u_{2,N}(t)\|_{\dot{H}^s}^2 \geq N^{-4s} \gamma^{-2} \gamma^{2s} \gamma^2 \gamma N^{-4n} \gamma^{-2} \gamma^2 = N^{-4s-4n} \gamma^{1+2s}.$$

Taking  $\gamma = N^{-\frac{2}{4n-3}}$  and  $t = N^{-2n+\frac{2}{4n-3}}$  which yields

$$t |(\phi(\xi_1) + \phi(\xi_2) - \phi(\xi_1 + \xi_2))| \sim t |\xi| |\xi_1|^{2n} \sim 1$$

resulting from (2.1), then we have

$$\|u_{2,N}(t)\|_{\dot{H}^s}^2 \geq N^{-4s-4n} N^{-\frac{4s+2}{4n-3}} = N^{-4s\frac{4n-2}{4n-3}-4n-\frac{2}{4n-3}}. \tag{5.4}$$

When  $s < -n + \frac{1}{4}$  which yields  $-4s\frac{4n-2}{4n-3} - 4n - \frac{2}{4n-3} > 0$ , (5.4) contradicts with (5.3) for sufficiently  $N$ .

We complete the proof of Theorem 5.1.

Now we prove [Theorem 1.2](#).

Let  $u$  be a solution of [\(1.1\)](#), [\(1.2\)](#), then we have

$$u(x, t, u_0) = W(t)u_0 - \frac{1}{2} \int_0^t W(t - \tau) \partial_x (u(\cdot, \tau, u_0)^2) d\tau.$$

Suppose that the flow-map is  $C^2$ . By using the fact that  $u(x, t, 0) = 0$ , we derive

$$\begin{aligned} u_1(x, t) &= \frac{\partial u}{\partial u_0}(x, t, 0)[h] = W(t)h, \\ u_2(x, t) &= \frac{\partial^2 u}{\partial^2 u_0}(x, t, 0)[h, h] = - \int_0^t W(t - \tau) \partial_x (W(t)h)^2 d\tau. \end{aligned}$$

By using the fact that the flow-map is  $C^2$ , we derive

$$\|u_2(t)\|_{\dot{H}^s} \leq C \|h\|_{\dot{H}^s}^2, \quad \forall h \in \dot{H}^s(\mathbf{R}). \quad (5.5)$$

By using [Theorem 5.1](#), we have that [\(5.5\)](#) does hold. Consequently, we have completed the proof of [Theorem 1.2](#).

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