

A WEIERSTRASS EXTREMAL FIELD THEORY FOR NONLOCAL ELLIPTIC FUNCTIONALS

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joint work with X. Cabré (ICREA-UPC-CRM) and I. U. Erneta (UPC-BGSMath)



**DEPARTAMENTO
DE ANÁLISIS
MATEMÁTICO Y
MATEMÁTICA
APLICADA**

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The problem

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- If \mathcal{E} is (strictly) convex, then there is a unique extremal that turns out to be a minimizer
- Important models with **nonconvex** functional:
 - Allen-Cahn energy
 - Bernoulli free boundary problem
 - Perimeter

Outline of the talk

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- 2 **Definition** of the **calibration** functional

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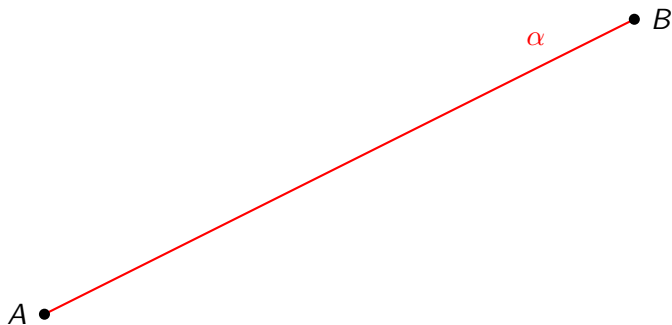
- 5 Applications to **monotone solutions** and the **viscosity theory**

Toy example

How to prove that a line in \mathbb{R}^2 is a minimizer of the perimeter functional?

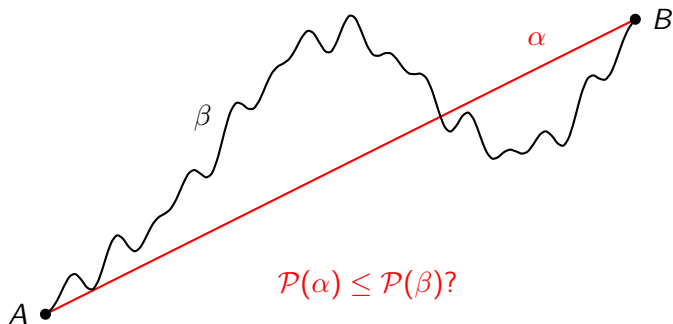
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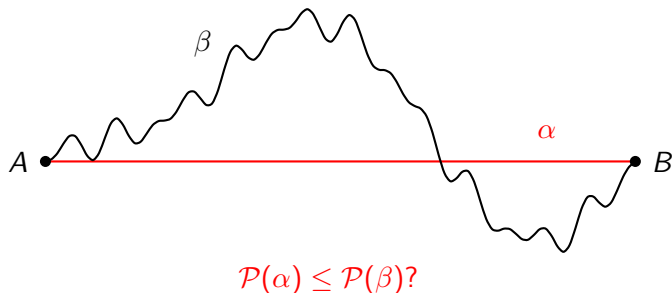
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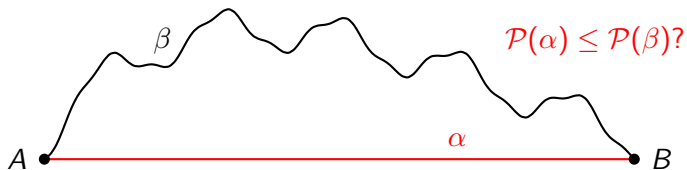
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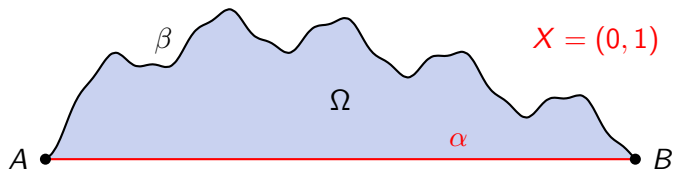
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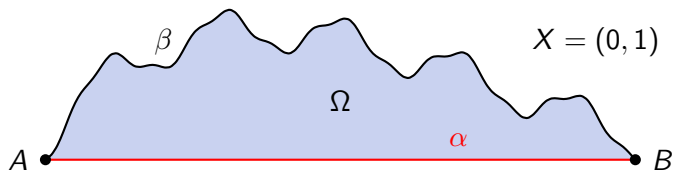
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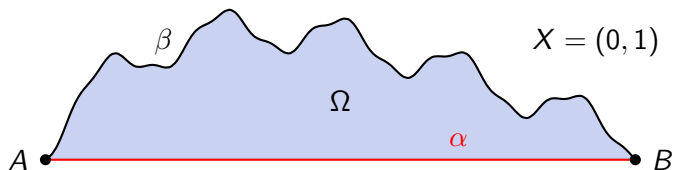
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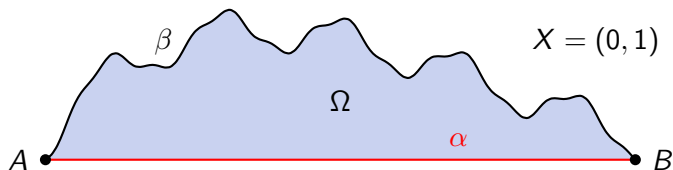
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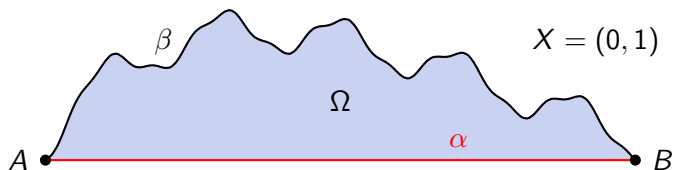
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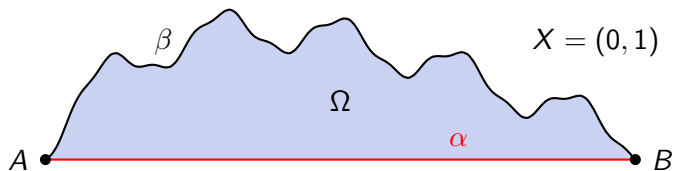
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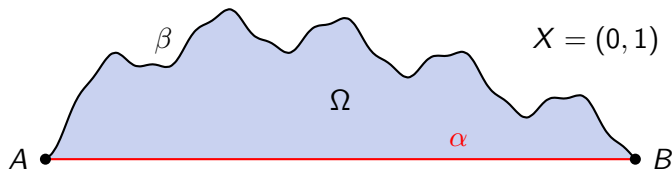
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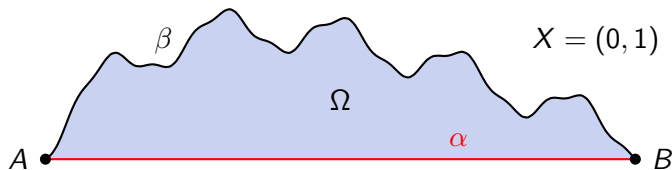
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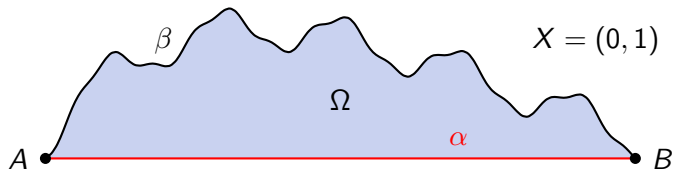


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Definition

A functional $\mathcal{C}: \mathcal{A} \rightarrow \mathbb{R}$ is a *calibration* for \mathcal{E} and $u \in \mathcal{A}$ if the following conditions hold:

- $\mathcal{C}(u) = \mathcal{E}(u)$.
- $\mathcal{C}(w) \leq \mathcal{E}(w)$ for all $w \in \mathcal{A}$ with the same Dirichlet condition as u .
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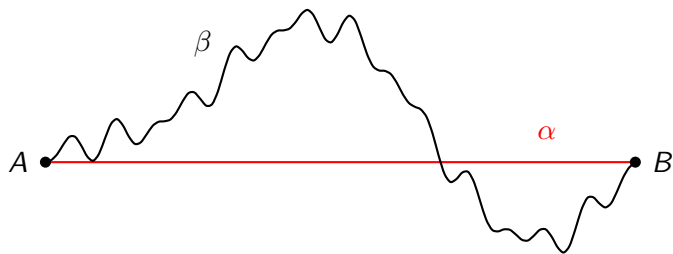
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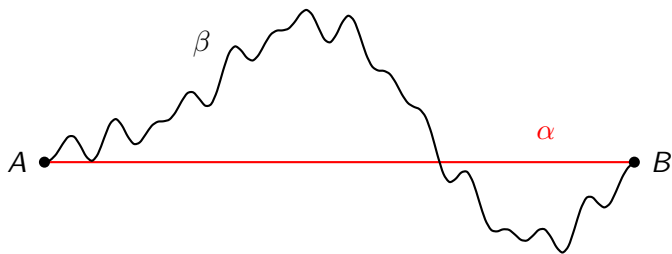
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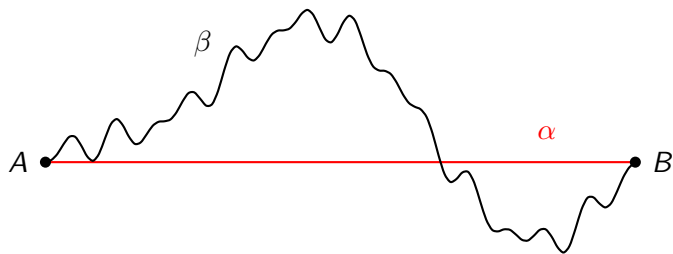


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$$\mathcal{C}(\beta) = \int_{\beta} X \cdot \nu_{\gamma} dl, \quad \text{where } X = (0, 1)$$

provides a **Calibration** for the line α and the perimeter \mathcal{P} .

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When is it possible to find such a functional?

Classical theory of Calibrations

Necessary conditions: First order

$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, w(x), \nabla w(x)) \, dx$$

First variation:

$$\delta_{\eta} \mathcal{E}_L(u) = \left. \frac{\partial}{\partial t} \right|_{t=0} \mathcal{E}_L(w + t\eta)$$

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u is **minimizer** of $\mathcal{E} \implies \mathcal{L}_L u = 0$ in Ω (in the weak sense)

Necessary conditions: Second order

$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, w(x), \nabla w(x)) \, dx$$

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Necessary conditions: Second order

$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, w(x), \nabla w(x)) \, dx$$

Second variation:

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Necessary conditions: Legendre

Stability condition:

$$\int_{\Omega} \left\{ \partial_{\lambda\lambda}^2 G_L(x, w(x), \nabla w(x)) \eta^2(x) + 2\partial_{\lambda q}^2 G_L(x, w(x), \nabla w(x)) \cdot \eta(x) \nabla \eta(x) \right. \\ \left. + \nabla \eta(x) \cdot \partial_{qq}^2 G_L(x, w(x), \nabla w(x)) \nabla \eta(x) \right\} \geq 0 \quad \text{for all } \eta = 0 \text{ on } \partial\Omega$$

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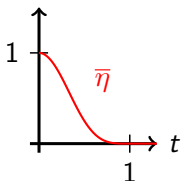
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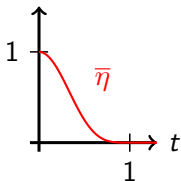
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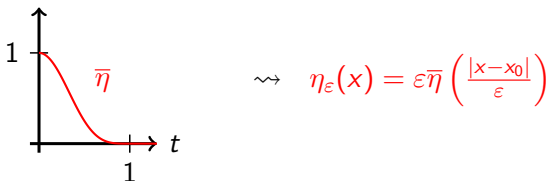
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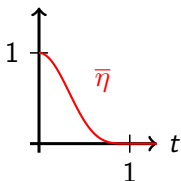
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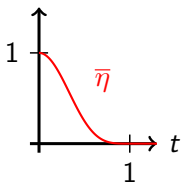
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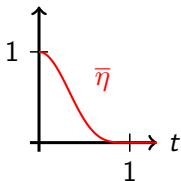
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Weierstrass excess function:

$$E(x, \lambda, q, \tilde{q}) = G_L(x, \lambda, \tilde{q}) - G_L(x, \lambda, q) - \partial_q G_L(x, \lambda, q) \cdot (\tilde{q} - q)$$

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Theorem (Weierstrass Necessary Condition)

Let u be a *minimizer* of the energy functional \mathcal{E}_L among functions with the same boundary data. Then, it satisfies

$$E(x, u(x), \nabla u(x), \xi) \geq 0 \quad \text{for all } x \in \Omega, \xi \in \mathbb{R}^n.$$

Sufficient conditions: Convexity

$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, w(x), \nabla w(x)) \, dx$$

$G_L(x, \lambda, q)$ convex in $(\lambda, q) \implies \mathcal{E}_L$ is convex

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Lemma (Comparison of energies)

Assume that $G_L(x, \lambda, q)$ is convex in (λ, q) . Then, given $u, w \in H^1(\Omega)$, they satisfy

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It provides a **Calibration** in this convex framework for u and \mathcal{E} :

$$\mathcal{C}(w) = \mathcal{E}_L(u) + \int_{\Omega} \mathcal{L}_L u(x) (w(x) - u(x)) \, dx + \int_{\partial\Omega} \mathcal{N}_L u(x) (w(x) - u(x)) \, d\mathcal{H}^{n-1}(x)$$

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Theorem (Weierstrass Sufficient Condition)

Assume that $G_L(x, \lambda, q)$ is **convex in q** . If u is **embedded** in an **extremal field**, then it is a minimizer of \mathcal{E}_L .

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We say that a family of functions $\{u^t\}_{t \in \mathbb{R}}$ is a *field* if

- the functions $t \mapsto u^t(x)$ are **increasing** for each x
- the map $(x, t) \mapsto u^t(x)$ is **continuous**

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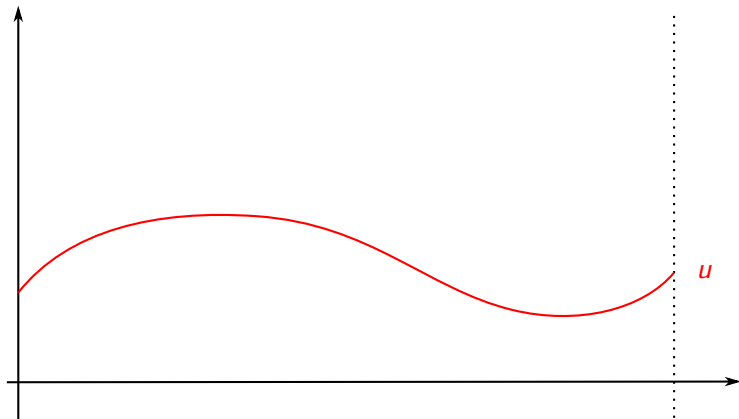
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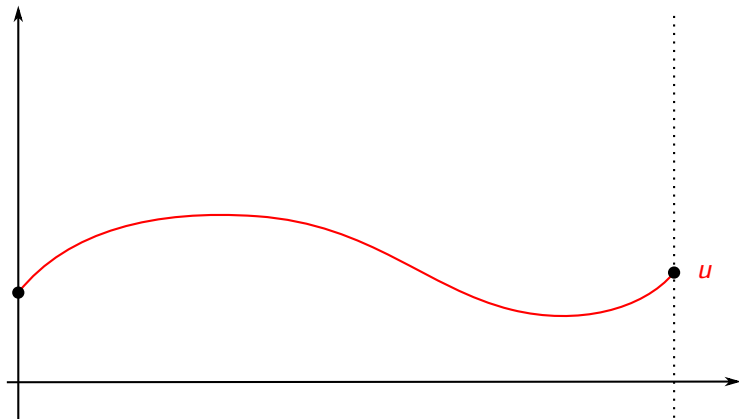
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Moreover, it is an **extremal field** if each leaf u^t satisfies the E-L equation.

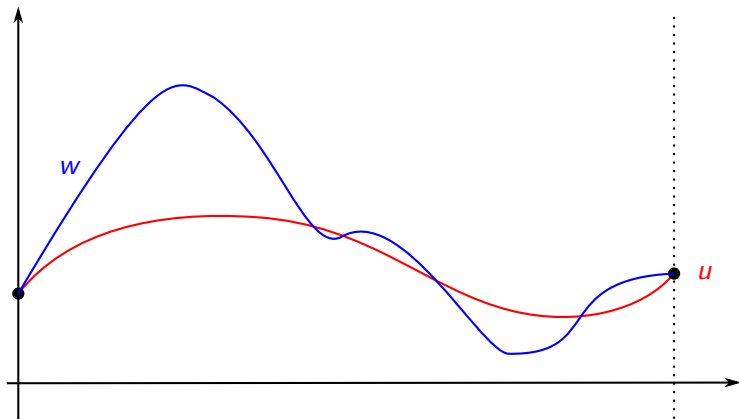
Proof via a touching argument



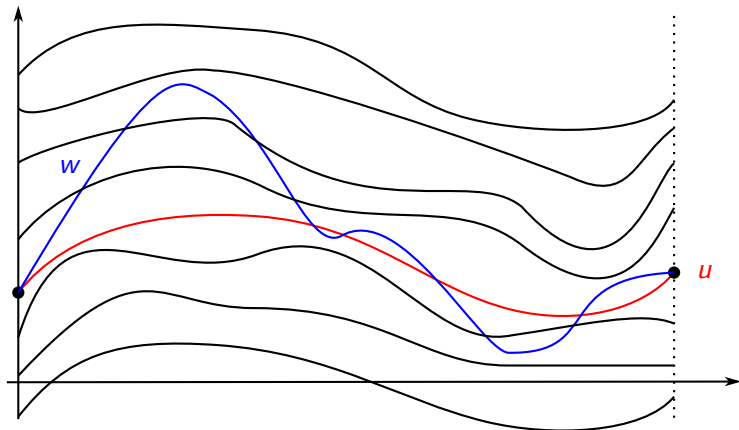
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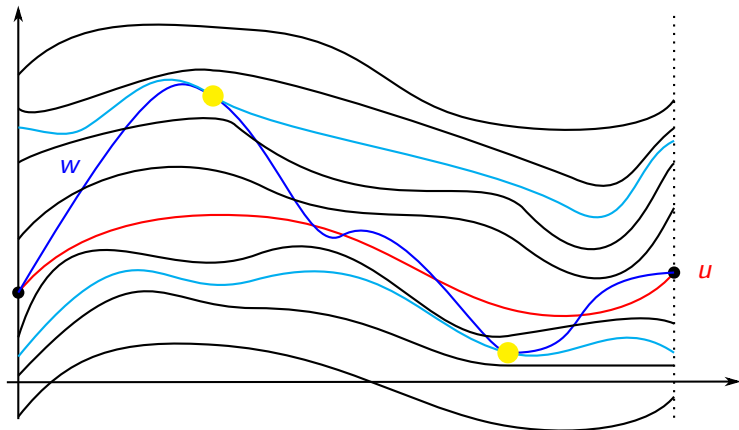
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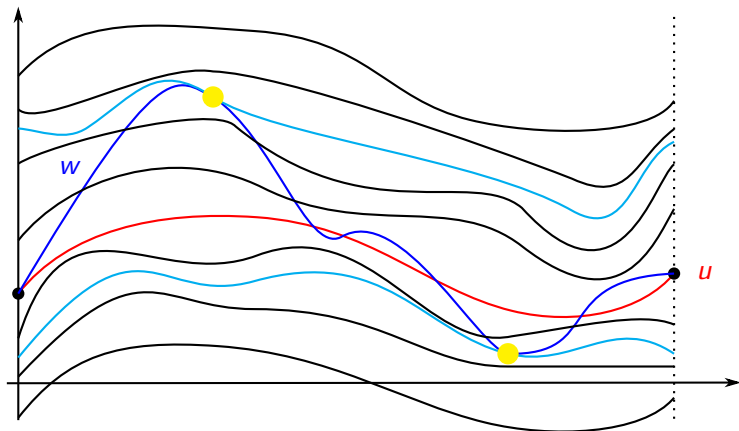
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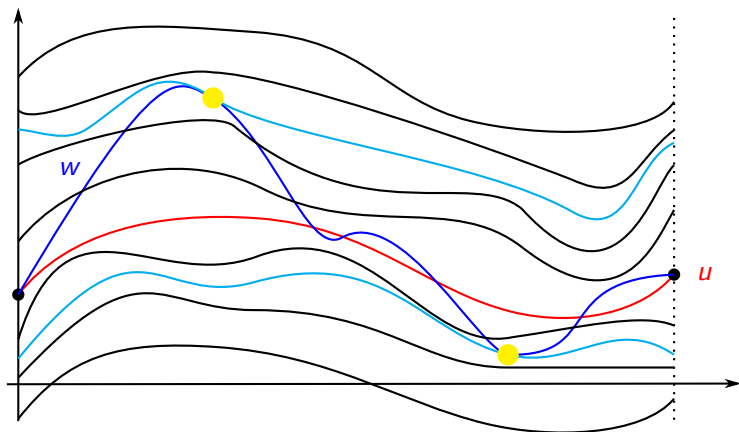
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Tools:

- Strong Comparison Principle

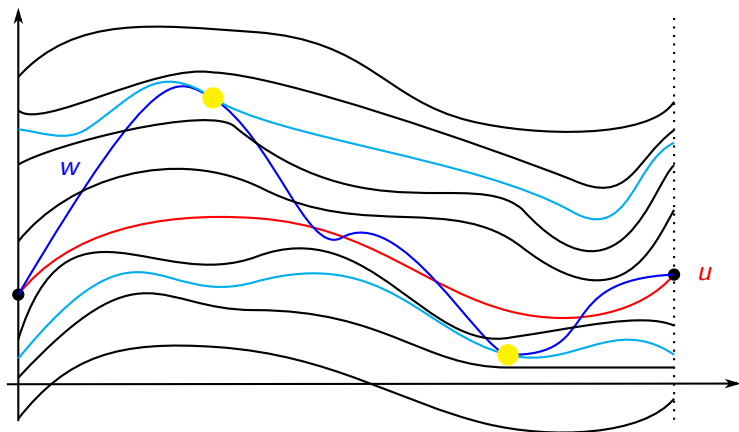
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Tools:

- Strong Comparison Principle (follows by the convexity assumption) ✓

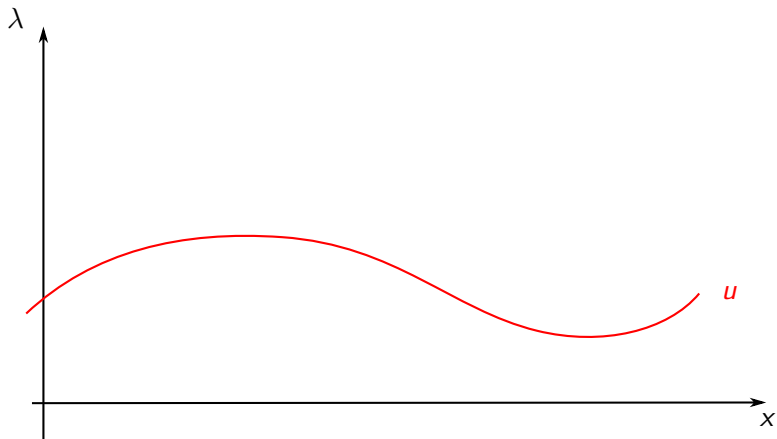
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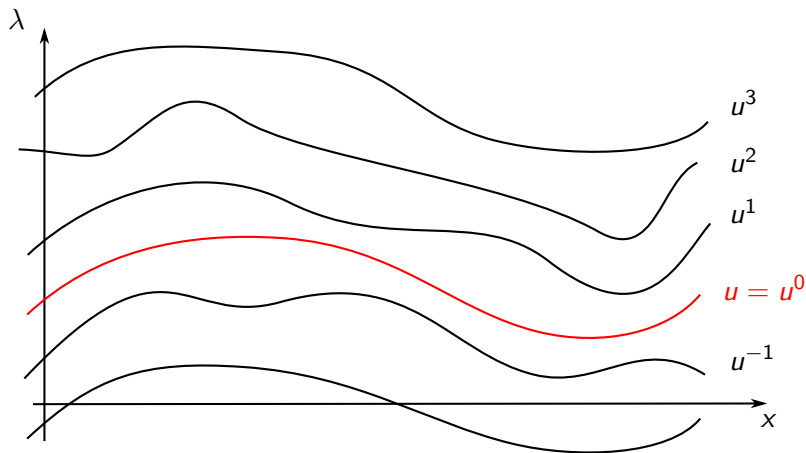
Tools:

- Strong Comparison Principle (follows by the convexity assumption) ✓
- Existence and regularity theory for minimizers ✗

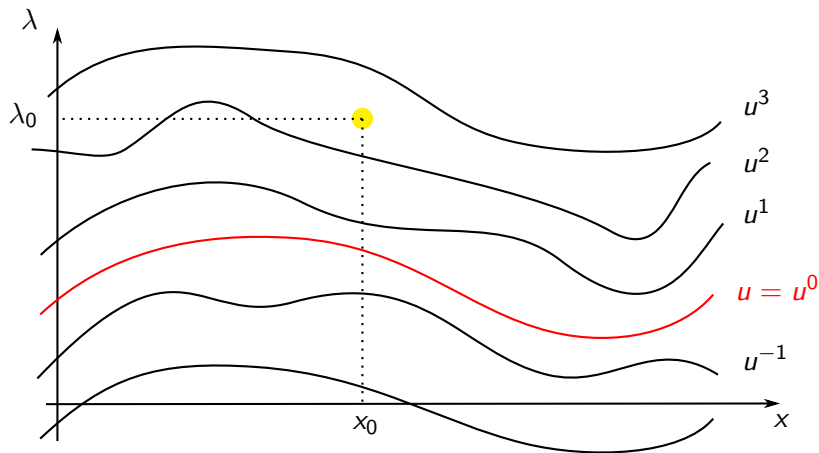
The leaf-parameter function



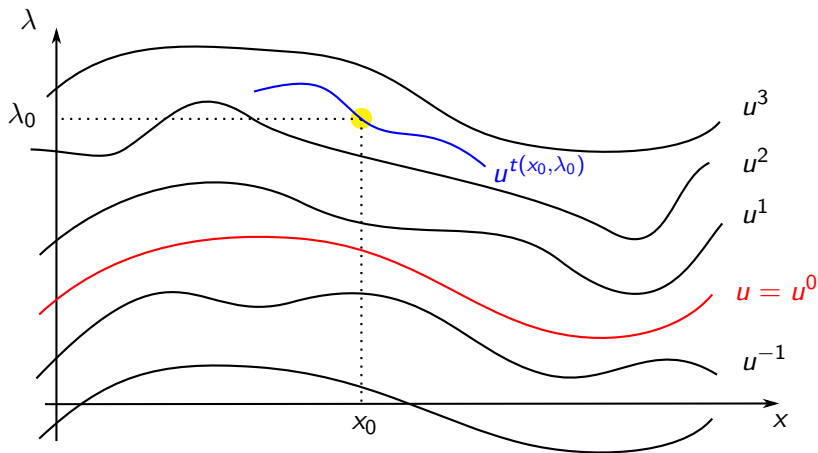
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$t(x_0, \lambda_0)$ is the unique $\tau \in \mathbb{R}$ such that $u^\tau(x_0) = \lambda_0$

Proof via the construction of a calibration (1/4)

$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, w(x), \nabla w(x)) \, dx$$

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$$\begin{aligned} \mathcal{C}_L(u) = & \int_{\Omega} \partial_q G_L(x, u^0(x), \nabla u^0(x)) (\nabla u^0(x) - \nabla u^0(x)) \, dx \\ & + \int_{\Omega} G_L(x, u^0(x), \nabla u^0(x)) \, dx \end{aligned}$$

Proof via the construction of a calibration (1/4)

$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, w(x), \nabla w(x)) \, dx$$



$$\begin{aligned} \mathcal{C}_L(w) &= \int_{\Omega} \partial_q G_L(x, u^t(x), \nabla u^t(x)) (\nabla w(x) - \nabla u^t(x)) \Big|_{t=t(x, w(x))} \, dx \\ &\quad + \int_{\Omega} G_L(x, u^t(x), \nabla u^t(x)) \Big|_{t=t(x, w(x))} \, dx \end{aligned}$$

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$$\mathcal{C}_L(u) = \int_{\Omega} G_L(x, u^0(x), \nabla u^0(x)) \, dx = \mathcal{E}_L(u)$$

Proof via the construction of a calibration (1/4)

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Proof via the construction of a calibration (2/4)

$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, w(x), \nabla w(x)) \, dx$$



$$\begin{aligned} \mathcal{C}_L(w) &= \int_{\Omega} \partial_q G_L(x, u^t(x), \nabla u^t(x)) (\nabla w(x) - \nabla u^t(x)) \Big|_{t=t(x, w(x))} \, dx \\ &\quad + \int_{\Omega} G_L(x, u^t(x), \nabla u^t(x)) \Big|_{t=t(x, w(x))} \, dx \end{aligned}$$

② $\mathcal{C}_L(w) \leq \mathcal{E}_L(w)$ for all w with the same Dirichlet condition as u ?

Proof via the construction of a calibration (2/4)

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$$\mathcal{E}_L(w) - \mathcal{C}_L(w)$$

Proof via the construction of a calibration (2/4)

$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, w(x), \nabla w(x)) \, dx$$



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$$\begin{aligned} \mathcal{E}_L(w) - \mathcal{C}_L(w) &= \int_{\Omega} \left\{ G_L(x, w(x), \nabla w(x)) - G_L(x, u^t(x), \nabla u^t(x)) \right. \\ &\quad \left. - \partial_q G_L(x, u^t(x), \nabla u^t(x)) (\nabla w(x) - \nabla u^t(x)) \right\} \Big|_{t=t(x, w(x))} \, dx \end{aligned}$$

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- 2 $\mathcal{C}_L(w) \leq \mathcal{E}_L(w)$ for all w with the same Dirichlet condition as u ?

$$\mathcal{E}_L(w) - \mathcal{C}_L(w) = \int_{\Omega} E(x, u^t(x), \nabla u^t(x), \nabla w(x)) \Big|_{t=t(x, w(x))} \, dx$$

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$$\mathcal{C}_L(w) = \int_{\Omega} \begin{pmatrix} X^1(x, t) \\ X^2(x, t) \end{pmatrix} \cdot \begin{pmatrix} -\nabla w(x) \\ 1 \end{pmatrix} \Big|_{t=t(x, w(x))} \, dx$$

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$$\mathcal{C}_L(w) = \int_{\text{graph}(w)} X \cdot \nu_w \, d\mathcal{H}^n, \quad \text{where } \operatorname{div} X = 0$$

Proof via the construction of a calibration (3/4)

$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, w(x), \nabla w(x)) \, dx$$



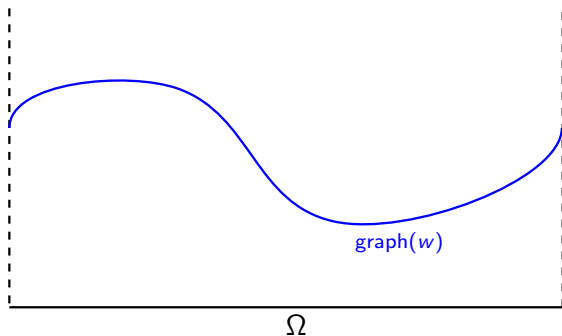
$$\begin{aligned} \mathcal{C}_L(w) &= \int_{\Omega} \partial_q G_L(x, u^t(x), \nabla u^t(x)) (\nabla w(x) - \nabla u^t(x)) \Big|_{t=t(x, w(x))} \, dx \\ &\quad + \int_{\Omega} G_L(x, u^t(x), \nabla u^t(x)) \Big|_{t=t(x, w(x))} \, dx \end{aligned}$$

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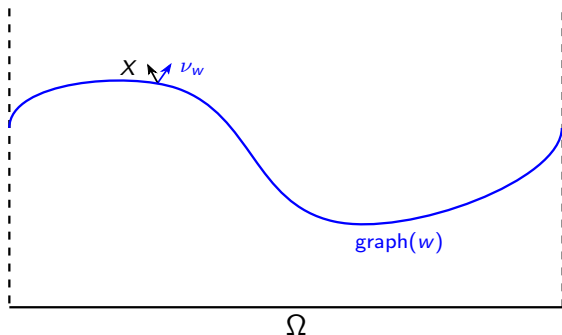
Proof via the construction of a calibration (4/4)

$$\mathcal{C}(w) = \int_{\text{graph}(w)} X \cdot \nu_w \, d\mathcal{H}^n, \quad \text{where} \quad \text{div} X = 0$$



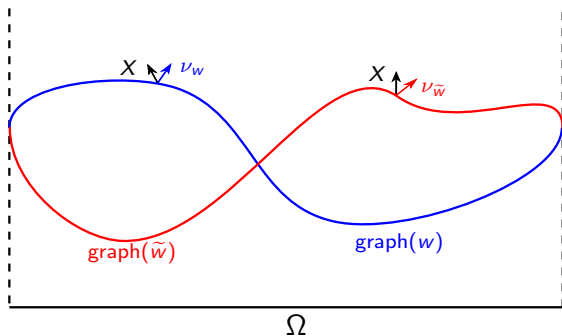
Proof via the construction of a calibration (4/4)

$$C(w) = \int_{\text{graph}(w)} X \cdot \nu_w \, d\mathcal{H}^n, \quad \text{where} \quad \text{div} X = 0$$



Proof via the construction of a calibration (4/4)

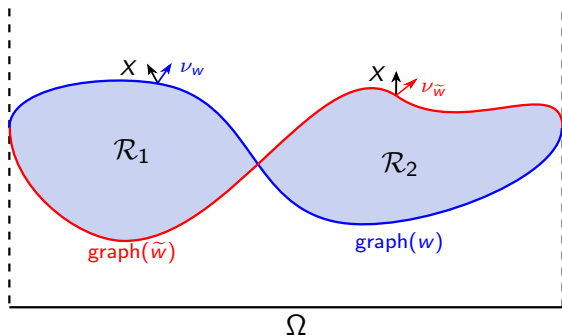
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$$C_L(w) - C_L(\tilde{w}) = \int_{\text{graph}(w)} X \cdot \nu_w \, d\mathcal{H}^n - \int_{\text{graph}(\tilde{w})} X \cdot \nu_{\tilde{w}} \, d\mathcal{H}^n$$

Proof via the construction of a calibration (4/4)

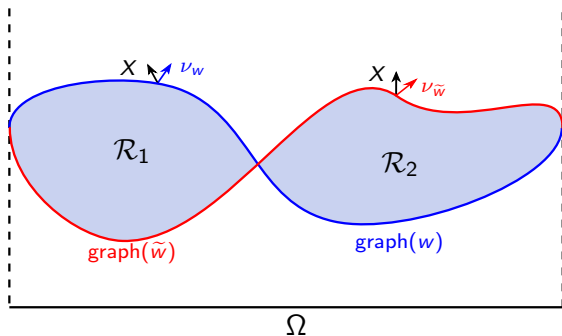
$$C(w) = \int_{\text{graph}(w)} X \cdot \nu_w \, d\mathcal{H}^n, \quad \text{where} \quad \text{div} X = 0$$



$$C_L(w) - C_L(\tilde{w}) = \int_{\partial\mathcal{R}_1} X \cdot \nu \, d\mathcal{H}^n - \int_{\partial\mathcal{R}_2} X \cdot \nu \, d\mathcal{H}^n$$

Proof via the construction of a calibration (4/4)

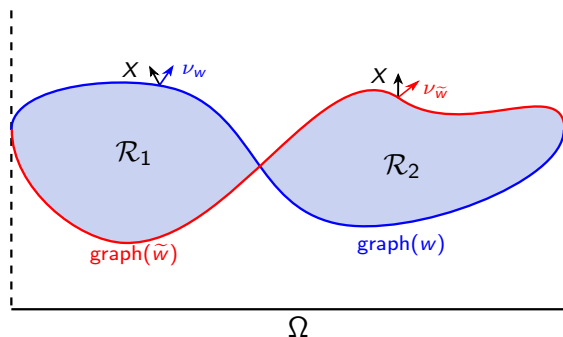
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This geometric strategy fails when applying to other problems

When can u be embedded into an extremal field for \mathcal{E} ?

- If there is translation invariance

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$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, \nabla w(x)) \, dx$$

Vertical invariance

$$\mathcal{E}_L(w) = \int_{\Omega} G_L(x, \nabla w(x)) \, dx$$

⇓

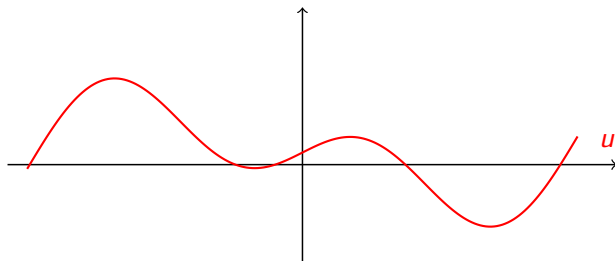
$$\mathcal{L}_L(u) = 0 \implies \mathcal{L}_L(u + t) = 0$$

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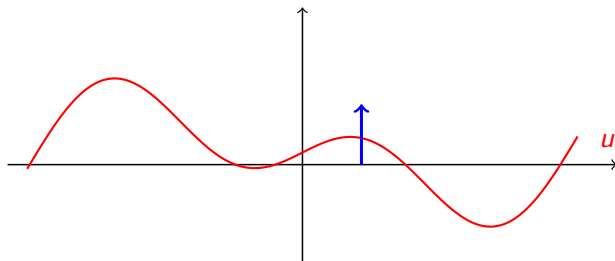


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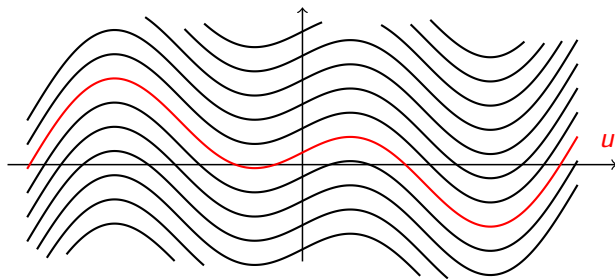


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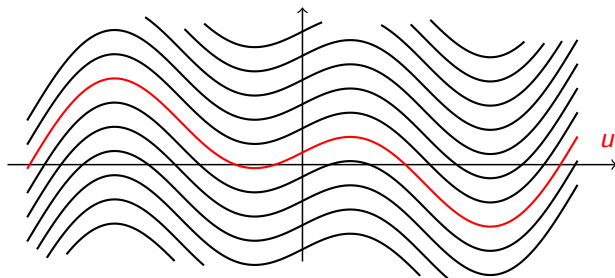


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$$u^t(x) := u(x) + t$$

Nonlocal theory of Calibrations

Fractional energy functional

$$\mathcal{E}_s(w) = \frac{c_{n,s}}{4} \iint_{(\Omega^c \times \Omega^c)^c} \frac{|w(x) - w(y)|^2}{|x - y|^{n+2s}} dx dy - \int_{\Omega} F(w(x)) dx$$

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First variation:

$$\begin{aligned} \frac{\partial}{\partial \varepsilon} \Big|_{\varepsilon=0} \mathcal{E}_s(w + \varepsilon \eta) &= \int_{\Omega} \{(-\Delta)^s w(x) - F'(w(x))\} \eta(x) dx \\ &\quad + \int_{\Omega^c} \mathcal{N}_s w(x) \eta(x) dx, \end{aligned}$$

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Towards the fractional calibration: First attempts

$$\mathcal{C}_1(w) = \int_{\Omega} \left\{ \nabla u^t(x) \cdot \nabla w(x) - \frac{1}{2} |\nabla u^t(x)|^2 \right\} \Big|_{t=t(x,w(x))} dx - \int_{\Omega} F(w(x)) dx$$

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- Replace the gradient terms by differences and integrals by double integrals

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Can we find the same **structure** in the local theory?

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Can we find the same structure in the local theory? **YES** ✓

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Theorem [Cabr e, Erneta & F-N '22]

Let u be embedded in an **extremal field** $\{u^t\}_{t \in \mathbb{R}}$ such that $(x, t) \rightarrow u^t(x)$ is a bounded C^2 function, and let \mathcal{C}_s be the functional

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Then, it follows that \mathcal{C}_s is a calibration for the functional \mathcal{E}_s and u .

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Fractional calibration: Proof II

- $\mathcal{C}_s(w) \leq \mathcal{E}_s(w)$ for all w with the same Dirichlet condition as u ?

$$\mathcal{C}_s(w) = c_{n,s} \iint_{(\Omega^c \times \Omega^c)^c} \int_{u(x)}^{w(x)} \frac{u^t(x) - u^t(y)}{|x - y|^{n+2s}} \Big|_{t=t(x,\lambda)} d\lambda dx dy$$
$$- \int_{\Omega} F(w(x)) dx + \frac{c_{n,s}}{4} \iint_{(\Omega^c \times \Omega^c)^c} \frac{|u(x) - u(y)|^2}{|x - y|^{n+2s}} dx dy.$$

$$\lambda = u^t(x) \quad \Downarrow \quad \text{Symmetrization in } x \text{ and } y$$

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$$- \int_{\Omega} F(w(x)) dx + \frac{c_{n,s}}{4} \iint_{(\Omega^c \times \Omega^c)^c} \frac{|u(x) - u(y)|^2}{|x - y|^{n+2s}} dx dy.$$

$$\lambda = u^t(x) \quad \Downarrow \quad \text{Symmetrization in } x \text{ and } y$$

$$\mathcal{C}_s(w) = - \frac{c_{n,s}}{2} \iint_{(\Omega^c \times \Omega^c)^c} \int_{t(x,w(x))}^{t(y,w(y))} \frac{u^t(x) - u^t(y)}{|x - y|^{n+2s}} \partial_t u^t(y) dt dx dy$$

$$+ \frac{c_{n,s}}{4} \iint_{(\Omega^c \times \Omega^c)^c} \frac{|w(x) - u^{t(x,w(x))}(y)|^2}{|x - y|^{n+2s}} dx dy - \int_{\Omega} F(w(x)) dx$$

Fractional calibration: Proof II

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$$\mathcal{C}_s(w) = c_{n,s} \iint_{(\Omega^c \times \Omega^c)^c} \int_{u(x)}^{w(x)} \frac{u^t(x) - u^t(y)}{|x - y|^{n+2s}} \Big|_{t=t(x,\lambda)} d\lambda dx dy$$

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Fractional calibration: Proof III

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Fractional calibration: Proof III

- $\mathcal{C}_s(w) \leq \mathcal{E}_s(w)$ for all w with the same Dirichlet condition as u ? ✓

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Then, we conclude

$$\mathcal{C}_s(w) \leq \mathcal{E}_s(w)$$

$$\mathcal{E}_N(w) = \frac{1}{2} \iint_{(\Omega^c \times \Omega^c)^c} G_N(x, y, w(x), w(y)) \, dx \, dy$$

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Theorem [Cabré, Erneta & F-N '23]

Let u be embedded in an **extremal field** $\{u^t\}_{t \in \mathbb{R}}$ such that $(x, t) \rightarrow u^t(x)$ is a bounded C^2 function. Assume that G_N is a function of (x, y, a, b) satisfying $\partial_{ab}^2 G_N \leq 0$ and let \mathcal{C}_N be the functional

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Then, it follows that \mathcal{C}_N is a **calibration** for the functional \mathcal{E}_N and u .

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The condition $\partial_{ab}^2 G_N \leq 0$ turns to be the natural ellipticity condition for the problem.

The ellipticity condition $\partial_{ab}^2 G_N \leq 0$

$$\partial_{ab}^2 G_N \leq 0 \implies \mathcal{L}_N \text{ satisfies the SCP}$$

We say that the operator \mathcal{L}_N satisfies the **Strong Comp. Princ. (SCP)** if

$$\begin{cases} \mathcal{L}_N w \leq \mathcal{L}_N v & \text{in } \Omega \\ w \leq v & \text{in } \mathbb{R}^n \\ w(x_0) = v(x_0) & \text{for some } x_0 \in \Omega \end{cases} \implies w \equiv v \text{ in } \Omega$$

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$$\partial_{ab}^2 G_N \leq 0 \not\Rightarrow \mathcal{L}_N \text{ satisfies the WCP}$$

We say that the operator \mathcal{L}_N satisfies the Weak Comp. Princ. (WCP) if

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Examples of nonlocal Lagrangians

- The case

$$G_N(x, y, a, b) = \frac{|a - b|^p}{2p|x - y|^{n+ps}}$$

corresponds to the **fractional p -Dirichlet functional**.

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- The Lagrangian

$$G_N(x, y, a, b) = \frac{G\left(\frac{a-b}{|x-y|}\right)}{|x - y|^{n+s-1}},$$

where $s \in (0, 1)$,

$$G''(\tau) = \frac{1}{(1 + \tau^2)^{\frac{n+s+1}{2}}}, \quad \text{and} \quad G'(0) = G(0) = 0,$$

gives rise to the **fractional perimeter for subgraphs**.

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gives rise to the fractional perimeter for subgraphs.

- The case

$$G_N(x, y, a, b) = -\mathbf{1}_{\Omega \times \Omega}(x, y)K(x - y)ab$$

corresponds to **convolution-type energies**.

$$\mathcal{L}_N(u)(x) = \int_{\mathbb{R}^n} \partial_a G_N(x, y, u(x), u(y)) dy$$

Corollary

Let u be a sufficiently regular solution of $\mathcal{L}_N(u) = 0$ in \mathbb{R}^n satisfying the monotonicity condition $\partial_{x_n} u > 0$ in \mathbb{R}^n .

Assume that the *ellipticity condition* $\partial_{ab} G_N \leq 0$ holds and that \mathcal{L}_N is *translation invariant*.

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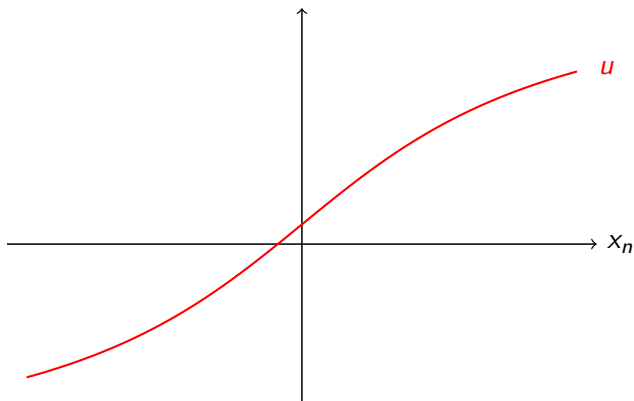
Assume that the ellipticity condition $\partial_{ab} G_N \leq 0$ holds and that \mathcal{L}_N is translation invariant.

Then, for each bounded domain $\Omega \subset \mathbb{R}^n$, u is a **minimizer** of \mathcal{E}_N in the set of functions w satisfying

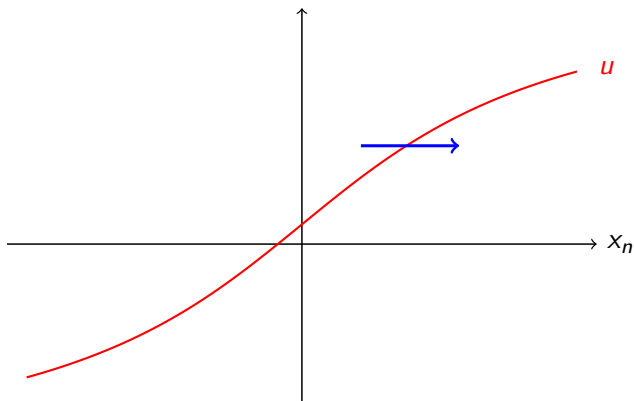
$$\lim_{\tau \rightarrow -\infty} u(x', \tau) < w(x', x_n) < \lim_{\tau \rightarrow +\infty} u(x', \tau)$$

and such that $w \equiv u$ in Ω^c .

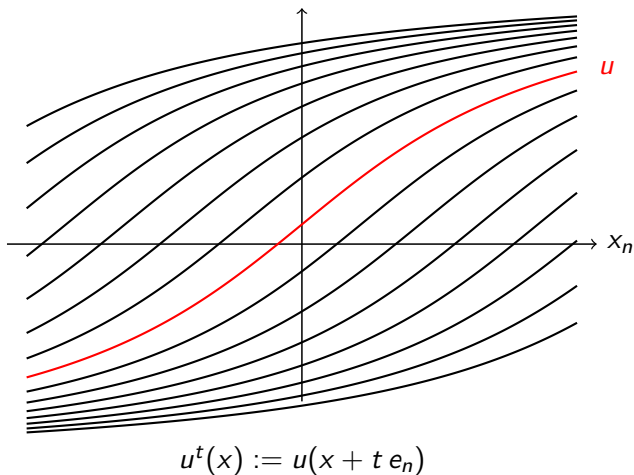
Application to monotone solutions: The field



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Theorem (Cabr e, Erneta & F-N '23)

Let u be a *minimizer* of \mathcal{E}_N among functions with same Dirichlet conditions. Assume that the *ellipticity condition* $\partial_{ab} G_N \leq 0$ holds. Then, it is a *viscosity solution* of the associated equation $\mathcal{L}_N(u) = 0$ in Ω .

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- We do not need a **weak comparison principle**

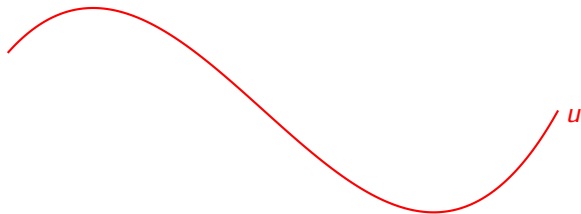
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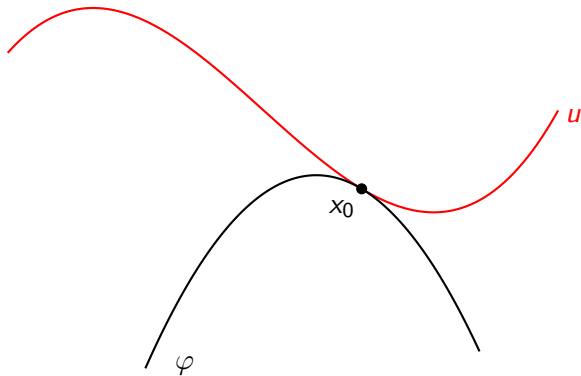
- We do not need a weak comparison principle
- We only treat **minimizers**, not general **weak solutions**

Application to the viscosity theory: Proof



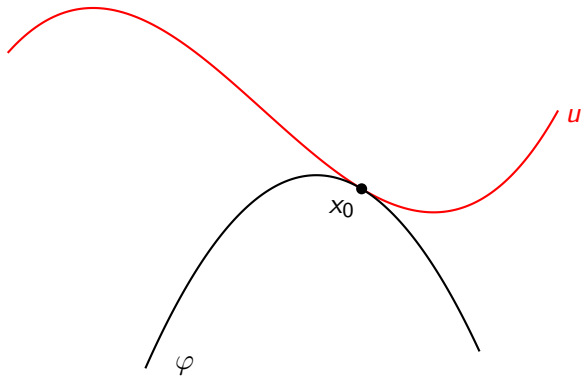
Application to the viscosity theory: Proof

$$\mathcal{L}_N \varphi(x_0) \geq 0?$$



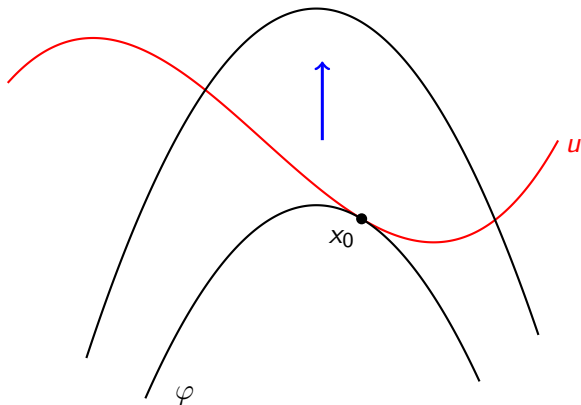
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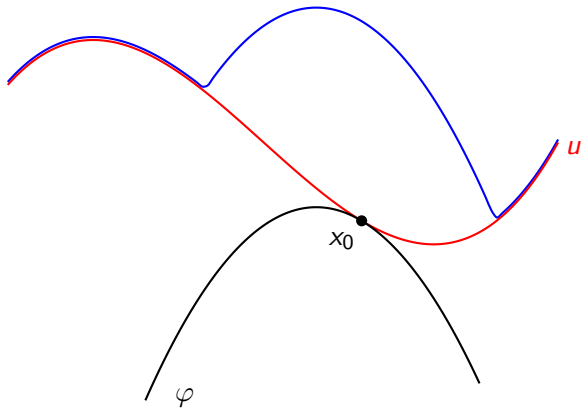
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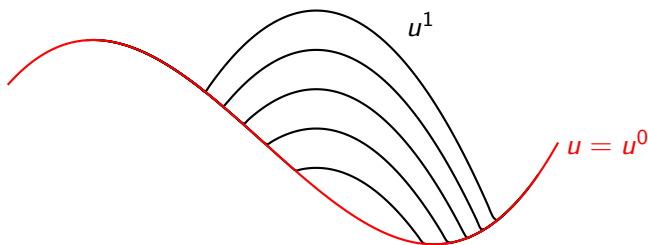
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Application to the viscosity theory: Proof

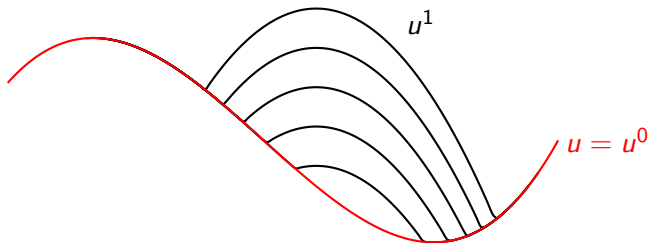
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$$u^t(x) := \max(u, \varphi + t)$$

Application to the viscosity theory: Proof

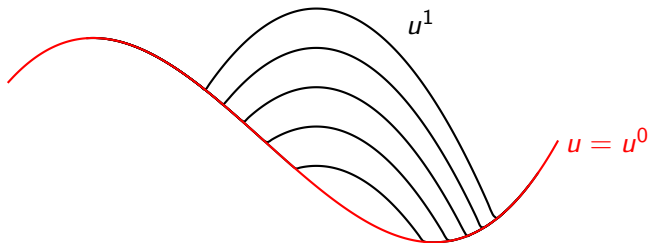
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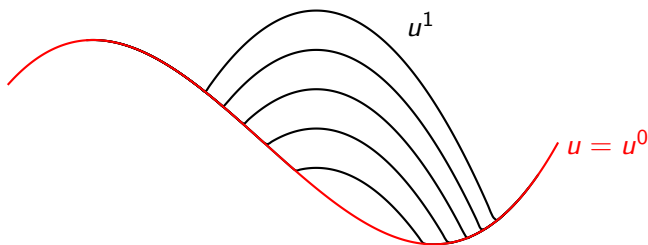


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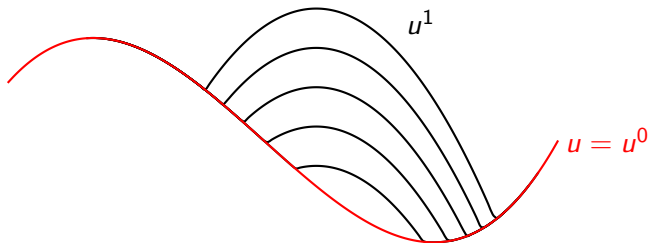
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Thank You

$$C_1(w) = \int_{\Omega} \left\{ \nabla u^t(x) \cdot \nabla w(x) - \frac{1}{2} |\nabla u^t(x)|^2 \right\} \Big|_{t=t(x,w(x))} dx - \int_{\Omega} F(w(x)) dx$$

- Replace the gradient terms by differences and integrals by double integrals

$$\begin{aligned} \mathcal{F}_s^2(w) &= \frac{C_{n,s}}{2} \iint_{(\Omega^c \times \Omega^c)^c} \frac{(u^\tau(x) - u^t(y))(w(x) - w(y))}{|x - y|^{n+2s}} \Big|_{\substack{t=t(x,w(x)) \\ \tau=t(y,w(y))}} dx dy \\ &\quad - \frac{C_{n,s}}{4} \iint_{(\Omega^c \times \Omega^c)^c} \frac{|u^\tau(x) - u^t(y)|^2}{|x - y|^{n+2s}} \Big|_{\substack{t=t(x,w(x)) \\ \tau=t(y,w(y))}} dx dy \\ &\quad - \int_{\Omega} F(w(x)) dx \end{aligned}$$

$$\mathcal{P}(F) = \frac{1}{2} \iint_{(\Omega^c \times \Omega^c)^c} |\mathbb{1}_F(x) - \mathbb{1}_F(y)| K(x - y) \, dx \, dy$$

\Downarrow [Cabré '19]

$$\begin{aligned} \mathcal{C}_{\mathcal{P}}(F) = & \int_{\Omega} \mathbb{1}_F(x) H_K[E^t](x) \Big|_{t=\phi(x)} \, dx \\ & + \int_{\Omega^c} \mathbb{1}_F(x) \left\{ \int_{\Omega} (\mathbb{1}_{(E^t)^c}(y) - \mathbb{1}_{E^t}(y)) K(x - y) \, dy \right\} \Big|_{t=\phi(x)} \, dx \end{aligned}$$

Here the Euler-Lagrange operator is given by

$$H_K[E](x) = \int_{\mathbb{R}^n} (\mathbb{1}_{E^c}(y) - \mathbb{1}_E(y)) K(x - y) \, dy$$

The fractional Laplacian

The **canonical** example of **integro-differential** operator

$$(-\Delta)^s w(x) = c_{n,s} \int_{\mathbb{R}^n} \frac{w(x) - w(y)}{|x - y|^{n+2s}} dy, \quad s \in (0, 1).$$

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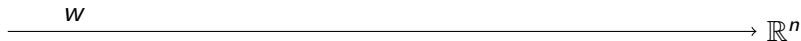
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- It has an associated local extension problem
- Representation via the heat semigroup:

$$(-\Delta)^s w(x) = \frac{1}{\Gamma(-s)} \int_0^\infty \left(e^{t\Delta} w - w \right) \frac{dt}{t^{1+s}}$$

The extension problem for the fractional Laplacian



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$$\begin{cases} \operatorname{div}(z^{1-2s} \nabla W) = 0, & \text{in } \mathbb{R}_+^{n+1}, \\ W(x, 0) = w(x), & \text{in } \partial\mathbb{R}_+^{n+1} = \mathbb{R}^n. \end{cases}$$

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$$-d_s \lim_{z \downarrow 0} z^{1-2s} \partial_z W = (-\Delta)^s w$$