# Dispersive analysis for Capillary-gravity Water waves in 3D

#### Benoit Pausader (with Y. Deng, A. Ionescu and F. Pusateri)

November 2, 2015



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Figure: "Diving grebe" by Brocken Inaglory. Licensed under CC BY-SA 3.0 via Commons -

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Figure: "Capillary 1" downloaded from http://epod.usra.edu/blog/2014/08/capillary-waves.html

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#### 1 Introduction

#### 2 Dispersive analysis

- Quadratic space-time resonances
- Nonlinear analysis
  - properties of the phase

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Outline	Introduction	Dispersive analysis 000000000 0000000
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We consider the dynamics of an interface between an inert atmosphere (without dynamics) and a large body of incompressible, inviscid, irrotational water, subjected to both gravity and surface tension.

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does it converge back to equilibrium?

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We consider a small perturbation of a fluid at rest (basic equilibrium) and we study its asymptotic behavior:

- does it converge back to equilibrium?
- does it lead to concentration of energy (and eventual blow-up?)

We show that the former is true (work with Y. **Deng**, A. **Ionescu** and F. **Pusateri**).

# Equations

#### Hypothesis:

Simple dynamics in the bulk: No dynamics in the air: p ≡ Cte ≡ 0, inviscid, incompressible, irrotational fluid in the water:

$$(\partial_t + v \cdot \nabla) v + \nabla p = -\mathbf{g} e_y, \quad \operatorname{div}(v) = 0 = \operatorname{curl}(v)$$

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Coupling by boundary conditions:

$$\begin{array}{ll} (\text{rest at }\infty): |u| \to 0, & |x| \to \infty, \\ \text{cont. of stress tensor}: \llbracket p \rrbracket \mathbf{n} = \sigma H \mathbf{n}, \\ \text{interface advected}: & (\partial_t + v_x \cdot \nabla_x) h = v_y. \end{array}$$

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Influence of the vorticity?

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Multi-solitons

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- Multi-solitons
- Stability close to solitons (e.g. Instability result by Rousset-Tzvetkov)

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#### Water waves and semilinear dispersive equations

Many dispersive equations appear as some limit from the WW:

KdV in the some form of Shallow-water regime; also KP-I/II.

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- See Schneider-Wayne, Craig, Bona-Colin-Lannes, Alvarez-Samaniego-Lannes, Totz-Wu.

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# See Schneider-Wayne, Craig, Bona-Colin-Lannes, Alvarez-Samaniego-Lannes, Totz-Wu.

Semilinear equations better understood than WW equations. It would be great to understand what can be inferred from properties of these flows to properties of solutions to the WW problem (e.g. control of 1D NLS helps in scattering for gKdV, see **Killip-Kwon-Shao-Visan**).

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#### Steady waves

The best understood setup is the case of steady or standing waves, with many contributions, even for large data/vorticity/stratifications. Amick, Beale, Toland, Ioss, Plotnikov, Varvaruca, Constantine, Strauss, Wahlen, Hur, Walsh, Wheeler, Craig, Groves, Kirchgässner, Alazard-Métivier.

## Global existence for 3D GCWW

GWP for small localized smooth perturbations of a flat 2D interface at rest, over an infinite bottom subject to gravity and surface tension.

#### GWP for small gravity-capillary waves [DIPP]

There exists a norm (finite on S) and  $\varepsilon > 0$  such that if  $(h, \phi)$  solve the water-wave problem in ZCS formulation with

 $\|(h(0),\phi(0))\|\leq\varepsilon,$ 

then  $(h, \phi)$  can be extended globally and scatters in  $L^2$ ,

$$\|U(t)\|_{L^{\infty}} \lesssim (1+|t|)^{-rac{5}{6}+}$$

and we have precise information on  $U = \sqrt{\sigma - \sigma \Lambda} h + i |\nabla|^{\frac{1}{2}} \phi$ Benoit Pausader(with Y. Deng, A. Jonescu and F. Pusateri)

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#### Previous works on WW

Among many previous works:

 Local well-posedness: Nalimov, Yoshihara, Kano-Nishida, Beale-Hou-Lowengrub, Craig, Iguchi, Ogawa-Tani, Wu, Ambrose-Masmoudi, Christodoulou-Lindblad, Lannes, Lindblad, Coutand-Shkoller, Zhang-Zhang, Shatah-Zeng, Beyer-Gunther, Christianson-Hur-Staffilani, Alazard-Burq-Zuily, de Poyferre-NGuyen.

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Among many previous works:

- Global well-posedness in 2D (1d interface):
  - Wu, Hunter-Ifrim-Tataru (gravity, almost global), Alazard-Delort, Ionescu-Pusateri, Ifrim-Tataru, X. Wang (gravity)

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Ifrim-Tataru, Ionescu-Pusateri (surface tension).

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- Global well-posedness in 3D (2d interface):
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Germain-Masmoudi-Shatah (surface tension).

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### Specificity of the gravity-capillary problem

The case of gravity-capillary WW presents serious new difficulties:

Slower linear decay  $(t^{-\frac{5}{6}} \rightarrow nonintegrable)$ 

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- Slower linear decay  $(t^{-\frac{5}{6}} \rightarrow nonintegrable)$
- Quadratic resonances  $\rightarrow$  no normal form
- No scaling invariance
- $\blacksquare$  Presence of space-time resonances  $\rightarrow$  delicate semilinear analysis

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#### Dispersion relation

Linearize at equilibrium:

$$\left(\partial_t + i\sqrt{|\nabla|(\mathbf{g} - \sigma\Delta)}\right)U = 0.$$

Solve by Fourier transform:

$$U(t)=e^{-it\Lambda}U(0),$$

Need to understand dispersive properties of free solutions: Dispersion relation

$$\Lambda(\xi) = \lambda(|\xi|), \qquad \lambda(r) = \sqrt{gr + \sigma r^3}.$$

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#### **Dispersion** relation

Solve by Fourier transform:

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#### In water, $\gamma_0\sim 58 { m m}^{-1}$ , $2\pi/\gamma_0\simeq 1.7 { m cm}.$

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# Slower linear decay

Inflexion point in the dispersion relation  $(\gamma_0) \to$  slower decay, Van Der Corput:

$$\|e^{it\Lambda}P_Nf\|_{L^{\infty}} \lesssim \min\{N^{\frac{3}{2}}, N^{\frac{1}{2}}\}t^{-1+\frac{1}{6}}\|P_Nf\|_{L^1}.$$

Loosing "almost integrable decay" leads to many complications.

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#### We proceed in two main steps

Energy estimates: allows to control high regularity norms of the solution assuming good dispersive behavior of low frequencies,

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#### We proceed in two main steps

- Energy estimates: allows to control high regularity norms of the solution assuming good dispersive behavior of low frequencies,
- **2** Dispersive analysis: allows to control the dispersive behavior of the solution assuming good energy estimates.

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### Zakharov-Craig-Sulem equation

Restrict to the boundary (graph over equilibrium  $h \equiv 0$ ):

$$(h, \phi), \qquad \phi(x) = \Phi(x, h(x)), \qquad v = \nabla \Phi, \quad \Delta \Phi = 0,$$
  
 $G(h)\phi = \sqrt{1 + |\nabla h|^2} \mathbf{n} \cdot \nabla \Phi_{|y=h(x)}$ 

Equations become

$$\partial_t h = G(h)\phi,$$
  
$$\partial_t \phi = -\mathbf{g}h - \sigma \operatorname{div}\left[\frac{\nabla h}{\left[1 + |\nabla h|^2\right]^{\frac{3}{2}}}\right] - \frac{1}{2}|\nabla \phi|^2 + \frac{(G(h)\phi + \nabla h \cdot \nabla \phi)^2}{1 + |\nabla h|^2}$$

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This is the *Hamiltonian flow* associated to the usual symplectic structure and to the physical energy:

$$\mathcal{H}(h,\phi) = \frac{1}{2} \int_{\mathbb{R}^2} \left\{ \phi \cdot G(h)\phi + \frac{g}{h^2} + 2\sigma \left[ \sqrt{1 + |\nabla h|^2} - 1 \right] \right\} dx$$

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#### 2 Dispersive analysis

- Quadratic space-time resonances
- Nonlinear analysis
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### Semilinear approach

Assume smoothness of solution (EE)  $\rightarrow$  Taylor expansion:

$$(\partial_t + i\Lambda) U = Q(U, U) + C(U, U, U) + h.o.t, \Lambda = \sqrt{|\nabla|(g - \sigma\Delta)}, \qquad U = \sqrt{g - \sigma\Delta}h + i|\nabla|^{\frac{1}{2}}\phi.$$

Want: decay of solutions  $\rightarrow$  need to to exploit dispersive effects. Conjugating by the linear flow:

$$U(t)=e^{-it\Lambda}u(t),$$

then *u* evolves nonlinearly

$$\partial_t u =$$
quadratic + h.o.t.,  $\|U\|_{L^{\infty}} \lesssim t^{-\frac{5}{6}} \|u\|_{W^{2,1}}$ 

New unknown: *u*.

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### Vector fields

Want: use stationary-phase arguments to obtain decay:

$$U(x,t) = \int_{\mathbb{R}^2} e^{i[t\Lambda(\xi) + \langle x, \xi 
angle]} \widehat{u}(\xi,t) d\xi$$

Need: smoothness of  $\hat{u}$ .

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**Vector-fields** (Klainerman): look for  $\mathcal{X}$  such that

•  $\widehat{\mathcal{X}}$  also vector field.

•  $\hat{\mathcal{X}}$  commutes to first order with linearized operator.

Then: similar properties to  $\widehat{\mathcal{X}}_{e} = \nabla \rightarrow$  energy estimates. Informally: need 2 such vector fields.



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Need: smoothness of  $\hat{u}$ .

Vector-fields

Isotropic problem: rotational vector field:  $\mathcal{X} = \Omega$ ,  $\widehat{\mathcal{X}} = \Omega$ ,

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**Remark:** in case of only gravity or surface tension, scaling invariance:  $S = x \cdot \nabla + ct\partial_t + c'$ .

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### Smoothness in Fourier space

To compensate for the missing vector field, we will try to obtain full smoothness (cf Germain-Masmoudi-Shatah, Gustafson-Nakanishi-Tsai):

 $\|\widehat{u}(t)\|_{H^{s}}\simeq \|\langle x\rangle^{s}u(t)\|_{L^{2}}.$ 

In general, need s = 1 = (d/2). Here 1 vector field  $\rightarrow s > 1/2$ .

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In general, need s = 1 = (d/2). Here 1 vector field  $\rightarrow s > 1/2$ . First attempt for a decay norm:

$$||u(t)||_{B_1} := ||\langle x \rangle^{1-\delta} u(t)||_{L^2}$$

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#### Insufficient!

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Quadratic space-time resonances

# A nonlinear norm

#### Previous discussion only based solely on linear considerations.

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Previous discussion only based solely on linear considerations. Special nonlinear interactions prevents propagation of smooth norms.

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 $\rightarrow$  Need to modify the norm (Norm dependent on nonlinearity).

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Quadratic space-time resonances

Space-resonant/Coherent interaction: Same velocity

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Quadratic space-time resonances

#### Space-time resonant interactions

Interactions of waves at frequencies  $\xi_1$  and  $\xi_2$  such that

$$abla \Lambda(\xi_1) = 
abla \Lambda(\xi_2) \quad \Leftrightarrow 
abla_\eta \Phi = 0,$$
  
 $\Lambda(\xi_1) + \Lambda(\xi_2) = \Lambda(\xi_1 + \xi_2) \quad \Leftrightarrow \Phi = 0,$ 

cannot in general be avoided: (D+1) equations in 2D dimensions.

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cannot in general be avoided: (D+1) equations in 2D dimensions. Create space-time resonances (terminology of **Germain-Masmoudi-Shatah**).

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#### Germain-Masmoudi-Shatah).

Presence of space-time resonances makes analysis more complicated. **Bernicot-Germain** studied the first iterate:

• no correction to optimal decay in 3D:  $1/t^{3/2}$ ,

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- no correction to optimal decay in 3D:  $1/t^{3/2}$ ,
- best decay in 2*D*:

 $\log(t)/t$ 

### Space-time resonant interactions

Interactions of waves at frequencies  $\xi_1$  and  $\xi_2$  such that

$$abla \Lambda(\xi_1) = 
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abla_\eta \Phi = 0,$$
  
 $\Lambda(\xi_1) + \Lambda(\xi_2) = \Lambda(\xi_1 + \xi_2) \quad \Leftrightarrow \Phi = 0,$ 

cannot in general be avoided: (D+1) equations in 2D dimensions. Create space-time resonances (terminology of

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Presence of space-time resonances makes analysis more complicated. **Bernicot-Germain** studied the first iterate:

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#### Genuinely nonlinear effect!

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STR are generic  $\rightarrow$  appear in many dispersive systems. E.g. in Euler-Maxwell systems.

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Led to global solutions for the 2-fluid Euler-Maxwell system in 3D **Guo-Ionescu-P.** and electron system in 2D **Deng-Ionescu-P.**.

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Quadratic space-time resonances

# Duhamel formula

Introducing quadratic interactions:

 $(\partial_t + i\Lambda) U = Q_1[U, U] + Q_2[U, \overline{U}] + Q_3[\overline{U}, \overline{U}] + h.o.t.$ 

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Duhamel formula for *u*:

$$\begin{split} \widehat{u}(\xi,t) &= \widehat{u}(\xi,0) - i \int_0^t \int_{\mathbb{R}^2} e^{i s \Phi(\xi,\eta)} \mathfrak{m}(\xi,\eta) \widehat{u}(\xi-\eta,s) \widehat{u}(\eta,s) d\eta ds, \\ \Phi(\xi,\eta) &= \Lambda(\xi) - \Lambda(\xi-\eta) - \Lambda(\eta), \end{split}$$

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Coherence-resonance information contained in the stationary points of the phase  $s\Phi$  (*space-time resonance method* **Germain-Masmoudi-Shatah**).

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Quadratic space-time resonances

# Non degenerate STR

We call an interaction nondegenerate if

$$\Phi = 0 \& \nabla_{\eta} \Phi = 0 \quad \Rightarrow \quad \det \nabla^2_{\eta\eta} \Phi \neq 0$$

generically satisfied for isotropic problems (true for GCWW).

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$$\partial_t \widehat{u}(\xi) = \frac{1}{t} e^{it\Psi(\xi)} g(\xi) + R(\xi), \qquad g \in C^{\infty}, \quad \|R\|_{L^2} \lesssim (1+|t|)^{-\frac{3}{2}},$$
  
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First term does not behave as a linear wave  $\rightarrow$  treated differently!

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Introduction

Dispersive analysis

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### Build up due to space-time resonance



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### Norms

We will bootstrap control of the following norms:

$$\begin{split} \sup_{0 \le t \le T} \left\{ \| U(t) \|_{H^{N_0}} + \| \Omega^{N_2} U(t) \|_{L^2} + \| u(t) \|_Z \right\} \le \varepsilon, \\ \| f \|_Z \lesssim \sup_{0 \le a \le N_2/2} \| \Omega^a f \|_{\widetilde{Z}}, \\ \| f \|_{\widetilde{Z}} = \sup_{N \cdot X \ge 1} (1 + N^{30}) \| Q_{X,N} f \|_{B^1_{X,N} + B^2_{X,N}}, \\ \| f \|_{B^1_{X,N}} = X^{1-9\delta} \| f \|_{L^2}, \\ \| f \|_{B^2_{X,N}} \sim (N^{-10} + N^{10}) X^{1-\delta} \| \Psi(\xi) \widehat{f}(\xi) \|_{L^{\infty}}, \qquad \Psi(\xi) \simeq |\xi| - \sqrt{2} \\ \text{where } Q_{X,N} \text{ localizes at frequency } |\xi| \simeq N \text{ and at position } |x| \simeq X. \end{split}$$

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# A typical function



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The following generic assumptions are verified for our problem:

STR are separated: if (ξ, η) is STR, then (η, χ) is not STR for any χ. No STR feeds into another STR.

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#### Nonlinear analysis

# Main properties

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- No nontrivial iterated resonances: if (ξ, η) is a STR and (χ, ξ) is resonant which is coherent with the new wave, then they have the same speed:

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$$\Phi_{1} + \Psi_{2} = \Lambda_{\sigma}(\xi) - \Lambda_{\mu}(\xi - \eta) - \Lambda_{\nu}(\eta) + [\Lambda_{\nu}(\eta) + \Lambda_{\mu}(\eta - \theta) - \Lambda_{\sigma}(\theta)]$$
  
$$\nabla_{\eta}\Phi_{2} = \nabla\Lambda_{\mu}(\eta - \theta) + \nabla\Lambda_{\sigma}(\theta) = 0$$

then  $\xi = \theta$ .

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Decompose the inputs all the way to the uncertainty principle

$$u = \sum_{N:X \ge 1} Q_{X,N} u, \qquad Q_{X,N} \simeq \mathbf{1}_{|x|\simeq X} \mathbf{1}_{|\xi|\simeq N}$$

and we plug in the Duhamel formula

$$\widehat{u}(\xi,t) = \widehat{u}(\xi,0) - i \sum_{X_1 \cdot N_1 \ge 1} \sum_{X_2 \cdot N_2 \ge 1} \int_0^t e^{it\Phi(\xi,\eta)} \widehat{u}_{X_1,N_1}(\xi-\eta) \widehat{u}_{X_2,N_2}(\eta) d\eta,$$

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and we estimate  $Q_{X,N}u$ .

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### • By energy estimates, we may assume that $N, N_1, N_2 \lesssim 1$ .

This allows to evacuate most of the easy cases.

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- By energy estimates, we may assume that  $N, N_1, N_2 \lesssim 1$ .
- By finite speed of propagation, we may assume that  $X, X_1, X_2 \leq T$  and then T is the largest parameter.

This allows to evacuate most of the easy cases.

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Nonlinear analysis

## "Local" slow frequency

At the inflexion point  $\gamma_0,$  particularly slow decay  $\rightarrow$  rely more on normal form transformation.

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Nonlinear analysis

### "Local" slow frequency

At the inflexion point  $\gamma_0$ , particularly slow decay  $\rightarrow$  rely more on normal form transformation.

Key:  $\gamma_0$  has the slowest group velocity  $\rightarrow$  interacts mostly with itself  $\rightarrow$  local ( $\sim |u|^2 u$ ).

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Separation assumption: a ST resonance created *only* by "strong" inputs (already studied in 3D).

Hardest case: one input is Schwartz and one is very delocalized:  $X_1 \sim 0$ ,  $X_2 \simeq T$ . No space-resonances/coherence analysis. Need to reiterate the analysis (cf EP/e 2D).