Low Regularity Aspects of NLS Blowup

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1 BLOWUP SOLUTIONS EXIST; PROPERTIES

2 Ground State Mass Concentration for H^s

3 Concentration & Strichartz Explosion

1. BLOWUP SOLUTIONS EXIST

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We consider the Cauchy problem for L^2 critical focusing NLS:

$$\begin{cases} (i\partial_t + \Delta)u = -|u|^2 u\\ u(0, x) = u_0(x). \end{cases}$$
 (NLS₃⁻(ℝ²))

The solution has an L^2 -invariant dilation symmetry

$$u^{\lambda}(\tau, y) = \lambda^{-1} u(\lambda^{-2}\tau, \lambda^{-1}y).$$

Time invariant conserved quantities:

$$\begin{split} \mathsf{Mass} &= \int_{\mathbb{R}^d} |u(t,x)|^2 dx.\\ \mathsf{Momentum} &= 2\Im \int_{\mathbb{R}^2} \overline{u}(t) \nabla u(t) dx.\\ \mathsf{Energy} &= H[u(t)] = \frac{1}{2} \int_{\mathbb{R}^2} |\nabla u(t)|^2 dx - \frac{1}{2} |u(t)|^4 dx. \end{split}$$

$NLS_3^-(\mathbb{R}^2)$ H^1 -GWP THEORY

• Weinstein's H^1 -GWP mass threshold for $NLS_3^-(\mathbb{R}^2)$:

$$\|u_0\|_{L^2} < \|Q\|_{L^2} \implies H^1 \ni u_0 \longmapsto u, T^* = \infty,$$

based on optimal Gagliardo-Nirenberg inequality on \mathbb{R}^2

$$\|u\|_{L^4}^4 \leq \left[\frac{2}{\|Q\|_{L^2}^2}\right] \|u\|_{L^2}^2 \|\nabla u\|_{L^2}^2.$$

- Q is the ground state solution to $-Q + \Delta Q = -Q^3$.
- The ground state soliton solution to $NLS_3^-(\mathbb{R}^2)$ is

$$u(t,x)=e^{it}Q(x).$$

PSEUDOCONFORMAL SYMMETRY

Pseudoconformal transformation:

$$\mathcal{PC}[u](\tau, y) = v(\tau, y) = \frac{1}{|\tau|^{d/2}} e^{\frac{i|y|^2}{4\tau}} u\left(-\frac{1}{\tau}, \frac{y}{\tau}\right),$$

■ \mathcal{PC} is L^2 -critical *NLS* solution symmetry: Suppose $0 < t_1 < t_2 < \infty$. If

$$u: [t_1, t_2] imes \mathbb{R}^2_x o \mathbb{C}$$
 solves $\mathit{NLS}^\pm_{1+rac{4}{d}}(\mathbb{R}^d)$

then

$$\mathcal{PC}[u] = v : [-t_1^{-1}, -t_2^{-1}]_{ au} imes \mathbb{R}^2_y o \mathbb{C}$$

solves

$$i\partial_{\tau}v + \Delta_y v = \pm |v|^{4/d}v.$$

•
$$\mathcal{PC}$$
 is an L^2 -Strichartz isometry:
If $\frac{2}{q} + \frac{d}{r} = \frac{d}{2}$ then
 $\|\mathcal{PC}[u]\|_{L^q_r L^r_y([-t_1^{-1}, -t_2^{-1}] \times \mathbb{R}^d)} = \|u\|_{L^q_t L^r_x([t_1, t_2] \times \mathbb{R}^d)}.$

EXPLICIT BLOWUP SOLUTIONS

• The *pseudoconformal* image of ground state soliton $e^{it}Q(x)$,

$$S(t,x) = \frac{1}{t}Q\left(\frac{x}{t}\right)e^{-i\frac{|x|^2}{4t}+\frac{i}{t}},$$

is an explicit blowup solution.

S has minimal mass:

$$\|S(-1)\|_{L^2_x} = \|Q\|_{L^2}.$$

All mass in S is conically concentrated into a point.

 ■ Minimal mass H¹ blowup solution characterization: u₀ ∈ H¹, ||u₀||_{L²} = ||Q||_{L²}, T^{*}(u₀) < ∞ implies that u = S up to an explicit solution symmetry. [Merle]

MANY NON-EXPLICIT BLOWUP SOLUTIONS

• Suppose $a : \mathbb{R}^2 \to \mathbb{R}$. Form virial weight

$$V_{\mathsf{a}} = \int_{\mathbb{R}^2} a(x) |u|^2(t, x) dx$$

and

$$\partial_t V_{\mathsf{a}} = M_{\mathsf{a}}(t) = \int_{\mathbb{R}^2} \nabla \mathsf{a} \cdot 2\Im(\overline{\phi} \nabla \phi) d\mathsf{x}.$$

Conservation identities lead to the generalized virial identity

$$\partial_t^2 V_a = \partial_t M_a = \int_{\mathbb{R}^2} (-\Delta \Delta a) |\phi|^2 + 4a_{jk} \Re(\overline{\phi_j} \phi_k) - a_{jj} |u|^4 dx.$$

• Choosing $a(x) = |x|^2$ produces the variance identity

$$\partial_t^2 \int_{\mathbb{R}^2} |x|^2 |u(t,x)|^2 dx = 16H[u_0]$$

H[u₀] < 0, ∫ |x|²|u₀(x)|²dx < ∞ blows up.
How do these solutions blow up?

If $H^s \ni u_0 \longmapsto u(t)$ with s > 0 solving $NLS_3^-(\mathbb{R}^2)$ for all t near T^* in the maximal finite (forward) interval of existence $[0, T^*)$ then

$$\frac{c}{(T^*-t)^{s/2}} \le \|D^s u(t)\|_{L^2_x}.$$

Scaling invariance and LWP theory:

$$v(\tau,y) := \frac{1}{\lambda}u(t+\frac{\tau}{\lambda^2},\frac{y}{\lambda}) \implies \|D^s v(0)\|_{L^2} = \frac{1}{\lambda^s}\|D^s u(t)\|_{L^2}.$$

• Choose λ so that $\|D^{s}v(0)\|_{L^{2}} = 1 \implies \lambda = \|D^{s}u(t)\|_{L^{2}}^{\frac{1}{s}}$.

• LWP
$$\implies v(0) \longmapsto v(t)$$
 for $\tau \in [0,1] \iff t + \frac{1}{\lambda^2} < T^*.$

•
$$\lambda^2 > \frac{1}{T^* - t} \implies \text{claim}.$$

Mass Concentration Property: H^1 theory

 H^1 Theory of Mass Concentration

•
$$H^1 \cap \{ radial \} \ni u_0 \longmapsto u, T^* < \infty \text{ implies}$$

$$\liminf_{t \nearrow T^*} \int_{|x| < (T^* - t)^{1/2-}} |u(t, x)|^2 dx \ge \|Q\|_{L^2}^2.$$

[Merle-Tsutsumi]

- H¹ blowups parabolically concentrate at least the ground state mass. Explicit blowups S concentrate mass much faster.
- Fantastic recent progress on the H¹ blowup theory. [Merle-Raphaël]

Mass Concentration Property: L^2 Theory

L² Theory of Mass Concentration

•
$$L^2 \ni u_0 \longmapsto u, T^* < \infty$$
 implies

$$\limsup_{t \nearrow T^*} \sup_{cubes} \sup_{I,side(I) \le (T^*-t)^{1/2}} \int_{I} |u(t,x)|^2 dx \ge ||u_0||_{L^2}^{-M}.$$

[Bourgain]

 L^2 blowups parabolically concentrate some mass.

- For large L^2 data, do there exist tiny concentrations?
- Extensions in [Merle-Vega], [Carles-Keraani], [Bégout-Vargas].
- Upgrading lim sup into lim inf appears challenging.

$NLS_3^-(\mathbb{R}^2)$: Conjectures/Questions

Scattering Below the Ground State Mass?

$$\|u_0\|_{L^2} < \|Q\|_{L^2} \implies \stackrel{???}{\longrightarrow} u_0 \longmapsto u \text{ with } \|u\|_{L^4_{tx}} < \infty.$$

Minimal Mass Blowup Characterization?

$$\|u_0\|_{L^2} = \|Q\|_{L^2}, u_0 \longmapsto u, T^* < \infty \implies \stackrel{???}{\Longrightarrow} u = S,$$

modulo symmetries. Intermediate step: Characterize in H^s?

- Concentrated mass amounts are quantized? Ground and excited state profiles are only asymptotic profiles?
- Are there any general upper bounds? lim sup vs. lim inf ?
- What are the possible "singular sets" for NLS blowups?

L^2 CRITICAL CASE: PARTIAL RESULTS

■ For 0.86 ~
$$\frac{1}{5}(1 + \sqrt{11}) < s < 1, H^s \cap \{radial\} \ni u_0 \mapsto u, T^* < \infty \implies$$

$$\limsup_{t \nearrow T^*} \int_{|x| < (T^* - t)^{s/2 - 1}} |u(t, x)|^2 dx \ge ||Q||_{L^2}^2.$$

H^s-blowup solutions concentrate ground state mass. [C-Raynor-C.Sulem-Wright]

||u₀||_{L²} = ||Q||_{L²}, u₀ ∈ H^s, ~ 0.86 < s < 1, T^{*} < ∞ ⇒
 ∃ t_n ∧ T^{*} s.t. u(t_n) → Q in H^{š(s)} (mod symmetry sequence).
 For H^s blowups with ||u₀||_{L²} > ||Q||_{L²}, u(t_n) → V ∈ H¹ (mod symmetry sequence). [Hmidi-Keraani] This is an H^s analog of an H¹ result of [Weinstein] which preceded the minimal H¹ blowup solution characterization.

L^2 CRITICAL CASE: PARTIAL RESULTS

Spacetime norm divergence rate

$$\|u\|_{L^4_{tx}([0,t] imes \mathbb{R}^2)}\gtrsim (T^*-t)^{-eta}$$

is linked with mass concentration rate

$$\limsup_{t \nearrow T^*} \sup_{cubes \ l,side(I) \le (T^* - t)^{\frac{1}{2} + \frac{\beta}{2}}} \int_{I} |u(t, x)|^2 dx \ge ||u_0||_{L^2}^{-M}$$

[C-Roudenko]

2. Ground State Mass Concentration for $H^{\mathfrak{s}}$

THEOREM (C-RAYNOR-SULEM-WRIGHT 05)

For 0.86 ~ $\frac{1}{5}(1 + \sqrt{11}) < s < 1, H^s \cap \{radial\} \ni u_0 \longmapsto u, T^* < \infty \implies$

$$\limsup_{t \nearrow T^*} \int_{|x| < (T^* - t)^{s/2-}} |u(t, x)|^2 dx \ge \|Q\|_{L^2}^2.$$

- {*radial*} removed by concentration compactness. [Tzirakis] *NLS*₅⁻(ℝ)
- Higher dimension generalization $NLS^{-}_{1+\frac{4}{d}}(\mathbb{R}^{d})$. [Visan-Zhang]

Recall [Merle-Tsutsumi]. $H^1 \cap \{radial\} \ni u_0 \longmapsto u \text{ with } T^* < \infty$.

Rescalings (weakly) converge to asymptotic profile.

Consider
$$\{u(t_n, \cdot)\}_{n \in \mathbb{N}} = \{u_n(\cdot)\}_{n \in \mathbb{N}}$$
 along $t_n \nearrow T^*$. Form

$$v_n(\cdot) = \lambda_n^{-1} u_n(\lambda_n^{-1}(\cdot))$$

with $\lambda_n = \|\nabla u_n\|_{L^2} \gtrsim (T^* - t_n)^{-1/2}$ so that $\|\nabla v_n\|_{L^2} = 1$. Thus, $\exists v \in H^1$ such that $v_n \rightharpoonup v$ in H^1 along subsequence.

Compactness and energy of rescaled asymptotic object.

Radial & Rellich Compactness $\implies v_n \rightarrow v$ strongly in L^4 . $|E[v_n]| = \lambda_n^{-2} |E[u(t_n)]| \rightarrow 0 \implies E[v] \le 0.$ $E[v] \le 0 \implies ||v||_{L^2} \ge ||Q||_{L^2}$; undo scaling. Recall [Merle-Tsutsumi]. $H^1 \cap \{radial\} \ni u_0 \longmapsto u \text{ with } T^* < \infty$.

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Blowup Parameter:

$$\lambda(t) = \|u(t)\|_{H^s}; \ \Lambda(t) = \sup_{\tau \in [0,t]} \lambda(\tau).$$

Modified Blowup Parameter:

$$\sigma(t) = \|I\langle \nabla
angle u(t)\|_{L^2}; \ \Sigma(t) = \sup_{\tau \in [0,t]} \sigma(\tau).$$

Recall,

$$\|f\|_{H^s} \leq \|I\langle \nabla \rangle f\|_{L^2} \leq N^{1-s} \|f\|_{H^s}.$$

Thus, $E[v] \leq 0 \implies ||v||_{L^2} \geq ||Q||_{L^2}$.

Lemma (Modified Kinetic \gg Modified Total Energy)

 $\forall s > 0.86 \text{ if } H^s \ni u_0 \longmapsto u \text{ on maximal } [0, T^*) \text{ then}$ $\forall T < T^* \exists N = N(T) \text{ such that}$

$$|E[I_{N(T)}u(T)]| \leq C_0 \Lambda(T)^{p(s)}$$

with p(s) < 2 and $C_0 = C_0(s, T^*, ||u_0||_{H^s})$.

- Modified Kinetic Energy >> Modified Total Energy.
- $N(T) = C\Lambda(T)^{\frac{p(s)}{2(1-s)}}$.
- Proof based on almost conservation; multilinear analysis.

Ground State Mass Concentration for $H^{\mathfrak{s}}$

1 Rescale by modified kinetic energy.

Choose any maximizing sequence $t_n \nearrow T^*$ satisfying $||u(t_n)||_{H^s} = \Lambda(t_n)$. Define $v_n(y) = \sigma_n^{-1} I_{N(t_n)} u(t_n, \sigma_n^{-1} y)$ where $N(t_n)$ is as in the Lemma.

- Weak convergence and L⁴ compactness. Rescaling ⇒ ||∇v_n||_{H¹} → 1 so ∃ v ∈ H¹ s.t. v_n → v along subsequence. Radial & Rellich ⇒ v_n → v strongly L⁴.
- Benergy of asymptotic object. $|E[v_n]| = \sigma_n^{-2} |E[I_N u_n]| \le \sigma_n^{-2} \Lambda^{p(s)}(t_n) \le (\Lambda(t_n))^{p(s)-2} \to 0.$
- 4 Undo the rescaling.

Unravelling scaling using lower bound $\sigma_n \gtrsim (T^* - t_n)^{-s/2}$ completes proof.

3. Concentration & Strichartz Explosion

3. Concentration & Strichartz Explosion

Idea!

• Ground state soliton $u(t, x) = e^{it}Q(x)$ satisfies

$$\|u\|_{L^4([j,j+1]_t imes \mathbb{R}^2_x)}=\eta=O(1), \ orall \ j\in\mathbb{N}.$$

• L⁴-isometry & explicit $S = \mathcal{PC}[e^{it}Q] \sim |\tau|^{-1}Q(\tau^{-1}y)e^{i\dots}$,

$$\|S\|_{L^4([-\frac{1}{j},-\frac{1}{j+1}]_{\tau} \times \mathbb{R}^2_y)} = \eta, \ \forall \ j \in \mathbb{N}.$$

- Thus, $\|S\|_{L^4([-1,t] imes \mathbb{R}^2)} \sim \frac{1}{|t|}$; Mass concentrated in $|y| \lesssim |t|$.
- Contrast with [Merle-Tsutsumi], [Bourgain] Concentration: $\|u\|_{L^4([-1,t]\times\mathbb{R}^2)} \nearrow \infty \implies$ Mass concentrated in $|y| \lesssim |t|^{1/2}$.
- Observation?

Strichartz explosion rate = f(concentration window size).

HEURISTIC: WINDOW SIZE & L^4 EXPLOSION

• When $||u||_{L^4([t_n,t_{n+1}]\times\mathbb{R}^2)} \sim \eta$ [Bourgain] shows parabolic concentration: $\exists t_n^* \in [t_n, t_{n+1}]$ and $x_0 \in \mathbb{R}^2$ where

$$\int_{|x-x_0| \lesssim |t_{n+1}-t_n|^{1/2}} |u(t,x)|^2 dx \gtrsim ||u_0||_{L^2}^{-M}.$$

In [C-Roudenko], we observe (overstated!):

$$\|u\|_{L^{4}_{[0,T^{*}-t]\times\mathbb{R}^{2}}} := f(T^{*}-t) \nearrow \infty \text{ as } t \nearrow T^{*}$$

$$\lim_{x_{0}\in\mathbb{R}^{2}} \int_{|x-x_{0}|\lesssim [-\partial_{t}f(T^{*}-t)]^{-1/2}} |u(t,x)|^{2} dx \gtrsim \|u_{0}\|_{L^{2}}^{-M}$$

Why? By first order Taylor approximation, we have $\eta \sim f(T^* - t_{n+1}) - f(T^* - t_n) \sim [-\partial_t f(T^* - t_n)](t_{n+1} - t_n).$

Ideas in Bourgain's Proof

Decompose $[0, T^*)$ into $\bigcup [t_n, t_{n+1})$ on which

$$\|u\|_{L^4([t_n,t_{n+1}]\times\mathbb{R}^2)}=\eta\sim \frac{1}{100}.$$

For t ∈ [t_n, t_{n+1}), we have u ~ e^{i(t-t_n)∆}u(t_n).
 Strichartz Refinements and the conditions

$$\|f\|_{L^2} < \|u_0\|_{L^2}; \ \|e^{it\Delta}f\|_{L^4} > \eta$$

spawn a spacetime tube decomposition of $e^{it\Delta}f$.

- ∃ concentration time $t_n^* \in [t_n, t_{n+1}) \forall n$. Thus, proof is more refined than the lim sup claim.
- Taylor expansion connects $(t_{n+1} t_n)$ with $T^* t_n$.



Lemma (Bourgain)

$$\forall \epsilon > 0 \text{ and } \forall f \in L^{2}(\mathbb{R}^{2}) \exists \{\widehat{f}_{r}\}_{1 \leq r \leq R(\epsilon)} \text{ such that}$$

$$\text{ spt } \widehat{f}_{r} \subset \tau_{r} \subset \mathbb{R}^{2} \text{ with } \tau_{r} \text{ a square of side } A_{r} \text{ centered at } \xi_{r}$$

$$||\widehat{f}_{r}|| \leq \frac{1}{A_{r}}$$

$$||\widehat{f}_{r}||_{L^{2}} \geq \delta(\epsilon) > 0$$
and
$$||e^{it\Delta}f - \sum_{r=1}^{R(\epsilon)} e^{it\Delta}f_{r}||_{L^{4}_{t,x}} \leq \epsilon.$$

The linear Schrödinger evolution of any L^2 function is approximated by the evolution of a function with Fourier support on a system of squares and bounded Fourier transform.

Squares Lemma



Squares Lemma



TUBES LEMMA

LEMMA (BOURGAIN)

Consider a function g satisfying: (Think of g as one of the f_r .)

spt ĝ ⊂ τ ⊂ ℝ² with τ a square of side A centered at ξ₀
 |ĝ| ≤ 1/A.

 $\forall \epsilon > 0 \exists$ spacetime tubes $\{Q_s\}_{1 \leq s \leq S(\epsilon)}$ of form

• $Q_s = \{(t, x) \in \mathbb{R}^3 : x - 2t\xi_0 \in \tau_s, t \in J_s\}$

• τ_s is a (dual sized to τ) cube of side $\frac{1}{A}$, $|J_s| = \frac{1}{A^2}$ and

$$\left(\int\limits_{\mathbb{R}^3\setminus\cup_s Q_s}|e^{it\Delta}g|^4dxdt\right)^{1/4}<\epsilon.$$

There is just dust outside the tubes!

TUBES LEMMA



TUBES LEMMA WITH TIME SLICES



THEOREM (C-ROUDENKO)

Suppose
$$T^* < \infty$$
 and $\|u\|_{L^{\frac{2(d+2)}{d}}([0,t] \times \mathbb{R}^d)} \gtrsim (T^* - t)^{-\beta}$. Then

$$\limsup_{t \nearrow T^*} \quad \sup_{\substack{t \not > T^* \\ cubes \ J \in \mathbb{R}^d : \\ I(J) < (T^* - t)^{\frac{1}{2} + \frac{\beta}{2}}} \int_J |u(t, x)|^2 \, dx \ge \|u_0\|_{L^2}^{-c(d)}.$$

Furthermore, $\forall t \in (0, T^*) \exists a \text{ cube } \tau(t) \subseteq \mathbb{R}^d_{\xi} \text{ of size } l(\tau(t)) \gtrsim (T^* - t)^{-(\frac{1}{2} + \frac{\beta}{2})} \text{ such that }$

 $\limsup_{\substack{t \nearrow T^* \\ t \neq T^*}} \sup_{\substack{cubes \ J \in \mathbb{R}^d : \\ I(J) < (T^* - t)^{\frac{1}{2} + \frac{\beta}{2}}}} \int_J |P_{\tau(t)} u(t, x)|^2 \, dx \ge \|u_0\|_{L^2}^{-c(d)}.$

THICKENED TIME INTERVAL OF CONCENTRATION

LEMMA (FREQUENCY LOCALIZED WAVES PERSIST)

Let $f \in L^2_x(\mathbb{R}^d)$ and spt $\hat{f} \subset [0,1]^d$ and suppose

$$\int_{[0,1]^d} |f(x)|^2 \, dx \ge c_1 > 0.$$

Then for $|t| < c(c_1, \|f\|_{L^2})$ concentration persists

$$\int_{[0,1]^d} |e^{it\Delta} f(x)|^2 \, dx \ge \frac{c_1}{2}$$

- Frequency localization in conclusion shows concentration persists for t in an interval containing t^{*}_n of size (T^{*} - t)^{1+β}.
- Thickened concentration interval may not cover $[t_n, t_{n+1}]$.

TIGHT WINDOW \implies STRICHARTZ EXPLOSION

Let
$$F(t) = ||u||_{L^4([0,t] \times \mathbb{R}^2)}^4$$
 and $P_{L(t)} = P_{\{|\xi| \le L(t)\}}$.

LEMMA (POINTWISE DERIVATIVE LOWER BOUND)

Suppose $\exists \alpha \geq \frac{1}{2}, \epsilon > 0$ such that

$$\limsup_{\substack{t\nearrow T^* \\ (J)<(T^*-t)^{\alpha}}} \sup_{\substack{x \ge \epsilon \\ J \subseteq \mathbb{R}^d \\ (J) < (T^*-t)^{\alpha}}} \int_J |P_{L(t)}u(t,x)|^2 dx \ge \epsilon.$$

Then $\exists t_n \nearrow T^*$ such that

$$F'(t_n)\gtrsim (T^*-t_n)^{-2\alpha}.$$

On thickened concentration time intervals, we integrate the derivative lower bound to get a Strichartz lower bound.

CAUTIOUS REMARK CONCERNING liminf

• Consider $NLS_3^-(\mathbb{R}^2)$ posed at time $t = -\epsilon$ with data

$$\phi_{\epsilon}(x) = e^{i\epsilon^{-1}|x|^2} e^{i\epsilon^{-1}} Q(x).$$

- Dilated explicit solution which blows up at $t = 0 = T^*$!
- The parabolic scale related to distance to blowup time is $\sqrt{\epsilon}$. For τ a cube of side $\sqrt{\epsilon}$, observe that ϕ_{ϵ} is non-concentrated

$$\int_{\tau} |\phi_{\epsilon}|^2 dx \lesssim \epsilon.$$

• Consider data $(1 - \delta)\phi_{\epsilon}...$

Phase oscillations violently influence L^2 blowup behavior.

Phased Centered Gaussian Initial Data








t = 0.015



































Phased Centered Gaussian Fourier transform snapshots along linear flow










































