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The global solution and blow-up phenomena to a modified Novikov equation

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Abstract

A modified Novikov equation with symmetric coefficients is investigated. Provided that the initial value $u_0 \in H^s(R)$ ($s > \frac{3}{2}$), $(1 - \partial_x^2)u_0$ does not change sign and the solution u itself belongs to $L^1(R)$, the existence and uniqueness of the global strong solutions to the equation are established in the space $C([0, \infty); H^s(R)) \cap C^1([0, \infty); H^{s-1}(R))$. A blow-up result to the development of singularities in finite time for the equation is acquired.

MSC: 35G25; 35L05

Keywords: global existence; strong solutions; blow-up result

1 Introduction

Many scholars have paid attention to the integrable equation

$$u_t - u_{txx} + 4u^2u_x = 3uu_xu_{xx} + u^2u_{xxx}, \quad (1)$$

which was derived by Novikov [1]. Well-posedness of the Novikov equation in the Sobolev spaces on the torus was first done by Tiglay in [2], and was completed on both the line and the circle by Himonas and Holliman in [3]. Its Hölder continuity properties were studied in Himonas and Holmes [4]. The periodic and the non-periodic Cauchy problem for Eq. (1) and continuity results for the data-to-solution map in the Sobolev spaces are discussed in Grayshan [5]. A matrix Lax pair for Eq. (1) is acquired in [6] and is shown to be related to a negative flow in the Sawada-Kotera hierarchy. The scattering theory is applied to find non-smooth explicit soliton solutions with multiple peaks for Eq. (1) in [7]. Sufficient conditions on the initial data to guarantee the formation of singularities in finite time for Eq. (1) are given in Jiang and Ni [8]. This multiple peak property is common with the Camassa-Holm and Degasperis-Procesi equations [9–11]. Mi and Mu [12] established many dynamic results for a modified Novikov equation with peak solution. It is shown in Ni and Zhou [13] that the Novikov equation associated with initial value has locally well-posedness in a Sobolev space H^s with $s > \frac{3}{2}$ by using the abstract Kato theorem. Two results about the persistence properties of the strong solution for Eq. (1) are established in [13]. Using the Littlewood-Paley decomposition and nonhomogeneous Besov spaces, Yan *et al.* [14] proved the global existence and blow-up phenomena for the weakly dissipative Novikov equation. For other methods to handle the Novikov equation and the related partial differential equations, the reader is referred to [15–22] and the references therein.

Observing the coefficients of the Novikov equation (1), we see that the coefficient of $u^2 u_x$ is equal to the coefficient of $uu_x u_{xx}$ plus the coefficient of $u^2 u_{xxx}$. That is,

$$4 = 3 + 1.$$

Indeed, this relationship among the coefficients plays important roles in the study of the essential dynamical properties of the Novikov model [1, 2, 11–13]. This motivates us to study the following equation:

$$u_t - u_{txx} + (a + b)u^2 u_x = auu_x u_{xx} + bu^2 u_{xxx}, \tag{2}$$

where $a > 0$ and $b > 0$ are arbitrary constants. Clearly, letting $a = 3$ and $b = 1$, Eq. (2) becomes the Novikov equation (1). The essential difference between Eq. (2) and the Novikov equation (1) is that Eq. (2) does not conform with the following conservation law:

$$\int_R (u^2 + u_x^2) dx = \int_R (u_0^2 + u_{0x}^2) dx,$$

which results in the bounds of $\|u(t, \cdot)\|_{L^\infty(R)}$ for Eq. (1).

Making use of $u_0 \in H^s(R)$, $s > \frac{3}{2}$, the assumption that $(1 - \partial_x^2)u_0$ does not change sign, and the assumption that the solution of Eq. (2) satisfies $u \in L^1(R)$, we prove the global existence theorem of Eq. (2) in the Sobolev space,

$$u(t, x) \in C([0, \infty); H^s(R)) \cap C^1([0, \infty); H^{s-1}(R)).$$

The objective of this work is to investigate Eq. (2). Since $a > 0$ and $b > 0$ are arbitrary constants, we cannot obtain the boundedness of the solution u for Eq. (2) although the initial data satisfy the sign condition. To overcome this, assuming that the solution itself satisfies $u \in L^1(R)$ and the initial data satisfy the sign condition, we adopt the methods used in Rodriguez-Blanco [16] to derive that $\|\frac{\partial u(t, x)}{\partial x}\|_{L^\infty(R)}$ possesses bounds for any time $t > 0$. This leads us to establish the well-posedness of the global strong solutions to Eq. (2). Parts of the main results in [17, 18] are extended. In addition, we acquire a blow-up result to the development of singularities in finite time, which includes the blow-up result in [12].

The rest of this paper is organized as follows. Section 2 states the main results of this work. Section 3 proves the global existence result. The proof of a blow-up result is given in Section 4.

2 Main results

We let $L^p = L^p(R)$ ($1 \leq p < +\infty$) be the space of all measurable functions h such that $\|h\|_{L^p}^p = \int_R |h(t, x)|^p dx < \infty$. We define $L^\infty = L^\infty(R)$ with the standard norm $\|h\|_{L^\infty} = \inf_{m(\epsilon)=0} \sup_{x \in R} |h(t, x)|$. For any real number s , we let $H^s = H^s(R)$ denote the Sobolev space with the norm defined by

$$\|h\|_{H^s} = \left(\int_R (1 + |\xi|^2)^s |\hat{h}(t, \xi)|^2 d\xi \right)^{\frac{1}{2}} < \infty,$$

where $\hat{h}(t, \xi) = \int_R e^{-ix\xi} h(t, x) dx$. Here we note that the norms $\|\cdot\|_{L^p}$, $\|\cdot\|_{L^\infty}$ and $\|\cdot\|_{H^s}$ depend on variable t .

For $T > 0$ and nonnegative number s , $C([0, T]; H^s(R))$ denotes the Frechet space of all continuous H^s -valued functions on $[0, T]$. We set $\Lambda = (1 - \partial_x^2)^{\frac{1}{2}}$.

In order to study the existence of solutions for Eq. (2), we consider its Cauchy problem in the form

$$\begin{cases} u_t - u_{txx} + (a + b)u^2 u_x = auu_x u_{xx} + bu^2 u_{xxx}, \\ u(0, x) = u_0(x), \end{cases} \quad (3)$$

which is equivalent to

$$\begin{cases} u_t + bu^2 u_x = \Lambda^{-2} [(-au^2 u_x + \frac{a-6b}{2}(uu_x^2)_x + \frac{2b-a}{2}u_x^3)], \\ u(0, x) = u_0(x), \end{cases} \quad (4)$$

where $a > 0$ and $b > 0$ are arbitrary constants. Now we give the main results for problem (3).

Theorem 1 *Assume that the solution of problem (3) satisfies $u(t, x) \in L^1(R)$ and let $u_0(x) \in H^s$, $s > \frac{3}{2}$ and $(1 - \partial_x^2)u_0 \geq 0$ for all $x \in R$ (or equivalently $(1 - \partial_x^2)u_0 \leq 0$ for all $x \in R$). Then problem (3) has a unique solution satisfying*

$$u(t, x) \in C([0, \infty); H^s(R)) \cap C^1([0, \infty); H^{s-1}(R)).$$

Theorem 2 *Assume that $u_0(x) \in H^s(R)$ with $s > \frac{3}{2}$. If $a = b$, then every solution of problem (3) exists globally in time. If $a > b$, then the solution blows up in finite time if and only if uu_x becomes unbounded from below in finite time. If $a < b$, then the solution blows up in finite time if and only if uu_x becomes unbounded from above in finite time.*

3 Global strong solutions

For proving the global existence for problem (3), we cite the local well-posedness result presented in [18].

Lemma 3.1 ([18]) *Let $u_0(x) \in H^s(R)$ with $s > \frac{3}{2}$. Then the Cauchy problem (3) has a unique solution $u(t, x) \in C([0, T]; H^s(R)) \cap C^1([0, T]; H^{s-1}(R))$ where $T > 0$ depends on $\|u_0\|_{H^s(R)}$.*

Assume $u_0 \in H^s(R)$ with $s > \frac{3}{2}$. Then there exists a unique solution $u(t, x)$ to problem (3) and

$$u(t, x) \in C([0, T]; H^s(R)) \cap C^1([0, T]; H^{s-1}(R))$$

with the maximal existence time $T > 0$. First, we study the differential equation

$$\begin{cases} p_t = bu^2(t, p), & t \in [0, T], \\ p(0, x) = x. \end{cases} \quad (5)$$

Lemma 3.2 *Let $u_0 \in H^s$, $s > 3$ and let $T > 0$ be the maximal existence time of the solution to problem (3). Then problem (5) has a unique solution $p \in C^1([0, T] \times R, R)$. Moreover, the map $p(t, \cdot)$ is an increasing diffeomorphism of R with $p_x(t, x) > 0$ for $(t, x) \in [0, T] \times R$.*

Proof From Lemma 3.1, we have $u \in C^1([0, T]; H^{s-1}(R))$ and $H^{s-1} \in C^1(R)$. Thus we conclude that both functions $u(t, x)$ and $u_x(t, x)$ are bounded, Lipschitz in space and C^1 in time. Using the existence and uniqueness theorem of ordinary differential equations derives that problem (5) has a unique solution $p \in C^1([0, T] \times R, R)$.

Differentiating Eq. (5) with respect to x yields

$$\begin{cases} \frac{d}{dt} p_x = 2buu_x(t, p)p_x, & t \in [0, T], b \neq 0, \\ p_x(0, x) = 1, \end{cases} \tag{6}$$

which leads to

$$p_x(t, x) = \exp\left(\int_0^t 2buu_x(\tau, p(\tau, x)) d\tau\right). \tag{7}$$

For every $T' < T$, using the Sobolev imbedding theorem yields

$$\sup_{(\tau, x) \in [0, T'] \times R} |uu_x(\tau, x)| < \infty.$$

It is inferred that there exists a constant $K_0 > 0$ such that $p_x(t, x) \geq e^{-K_0 t}$ for $(t, x) \in [0, T] \times R$. It completes the proof. \square

Lemma 3.3 *Let $u_0 \in H^s$ with $s > 3$, and let $T > 0$ be the maximal existence time of the problem (3). We have*

$$y(t, p(t, x))p_x^2(t, x) = y_0(x)e^{-(a-4b)\int_0^t uu_x d\tau}, \tag{8}$$

where $(t, x) \in [0, T] \times R$ and $y := u - u_{xx}$.

Proof Using Eqs. (2) and (6)-(8), we have

$$\begin{aligned} & \frac{d}{dt} [y(t, p(t, x))p_x^2(t, x)] \\ &= y_t p_x^2 + 2y p_x p_{xt} + y_x p_t p_x^2 \\ &= y_t p_x^2 + 4byu_x p_x^2 + bu^2 y_x p_x^2 \\ &= (u_t - u_{txx} + auu_x(u - u_{xx}) + bu^2(u_x - u_{xxx}))p_x^2 - auu_x y p_x^2 + 4buu_x y p_x^2 \\ &= (u_t - u_{txx} + (a + b)u^2 u_x - auu_x u_{xx} - bu^2 u_{xxx})p_x^2 - (a - 4b)uu_x y p_x^2 \\ &= -(a - 4b)uu_x y p_x^2. \end{aligned} \tag{9}$$

Using $p_x(0, x) = 1$ and solving the above equation, we complete the proof of the lemma. \square

Remark 1 From Lemma 3.3, we conclude that, if $u_0 - u_{0xx} = (1 - \partial_x^2)u_0 \geq 0$, then $(1 - \partial_x^2)u(t, x) \geq 0$. Since the operator $(1 - \partial_x^2)^{-1}$ preserves positivity, we get $u \geq 0$. Similarly, if $(1 - \partial_x^2)u_0 \leq 0$, we have $(1 - \partial_x^2)u \leq 0$ and $u \leq 0$.

Lemma 3.4 *If $u_0 \in H^s$, $s > \frac{3}{2}$, such that $(1 - \partial_x^2)u_0 \geq 0$ (or $(1 - \partial_x^2)u_0 \leq 0$) and $\int_{\mathbb{R}} |u| dx < \infty$, then there exists a constant $K > 0$ such that the solution of problem (3) satisfies $\|u_x\|_{L^\infty} \leq K$.*

Proof We will prove this lemma to assume $u_0 \in H^\infty$ which results in $u \in H^\infty$ from Lemma 3.1. For $(1 - \partial_x^2)u_0 \geq 0$, from Lemma 3.3, we have $(1 - \partial_x^2)u \geq 0$. Then $u \geq 0$ does not change sign. From the assumption $\int_{\mathbb{R}} |u| dx < \infty$ one derives

$$-u_x + \int_{-\infty}^x u dx = \int_{-\infty}^x (u - u_{xx}) dx \leq \int_{-\infty}^{\infty} (u - u_{xx}) dx = c, \tag{10}$$

where c is a positive constant. Then

$$-u_x \leq c - \int_{-\infty}^x u dx \leq c + \int_{-\infty}^x u dx \leq 2c. \tag{11}$$

On the other hand, we have

$$u_x + \int_x^{\infty} u dx = \int_x^{\infty} (u - u_{xx}) dx \leq \int_{-\infty}^{\infty} (u - u_{xx}) dx = c, \tag{12}$$

which results in

$$u_x \leq c - \int_x^{\infty} u dx \leq c + \int_x^{\infty} u dx \leq 2c. \tag{13}$$

We conclude from Eqs. (11) and (13) that $\|u_x\|_{L^\infty} \leq K$. To complete the proof, we use a simple density argument [16]. Setting $u_0^\varepsilon = e^{\varepsilon \partial_x^2} u_0$, we have $u_0^\varepsilon \in H^\infty$ and $\|u_x^\varepsilon\|_{L^\infty} \leq 2 \int_{\mathbb{R}} |u| dx < K$. Applying $\|u_x^\varepsilon - u_x\|_{L^\infty} \leq \sup_{[0,T]} \|u_x^\varepsilon - u_x\|_{H^s} \rightarrow 0$ when $\varepsilon \rightarrow 0$, we have $\|u_x\|_{L^\infty} \leq K$. \square

Using the first equation of system (3) one derives

$$\frac{d}{dt} \int_{\mathbb{R}} (u^2 + u_x^2) dx + 2(a - 3b) \int_{\mathbb{R}} uu_x^3 dx = 0,$$

from which we have the conservation law

$$\int_{\mathbb{R}} (u^2 + u_x^2) dx + 2(a - 3b) \int_0^t \int_{\mathbb{R}} uu_x^3 dx = \int_{\mathbb{R}} (u_0^2 + u_{0x}^2) dx. \tag{14}$$

Lemma 3.5 (Kato and Ponce [23]) *If $r \geq 0$, then $H^r \cap L^\infty$ is an algebra. Moreover*

$$\|uv\|_r \leq c(\|u\|_{L^\infty} \|v\|_r + \|u\|_r \|v\|_{L^\infty}),$$

where c is a constant depending only on r .

Lemma 3.6 (Kato and Ponce [23]) *Let $r > 0$. If $u \in H^r \cap W^{1,\infty}$ and $v \in H^{r-1} \cap L^\infty$, then*

$$\|[\Lambda^r, u]v\|_{L^2} \leq c(\|\partial_x u\|_{L^\infty} \|\Lambda^{r-1} v\|_{L^2} + \|\Lambda^r u\|_{L^2} \|v\|_{L^\infty}).$$

Lemma 3.7 *Let $s > \frac{3}{2}$ and the function $u(t, x)$ is a solution of problem (3) and the initial data $u_0(x) \in H^s(R)$. Then the following results hold:*

$$\|u\|_{L^\infty} \leq \|u\|_{H^1} \leq \|u_0\|_{H^1(R)} e^{\frac{|a-3b|}{2} \int_0^t \|u_x\|_{L^\infty(R)}^2 d\tau}. \tag{15}$$

For $q \in (0, s - 1]$, there is a constant c only depending on a and b such that

$$\begin{aligned} \int_R (\Lambda^{q+1}u)^2 dx &\leq \int_R [(\Lambda^{q+1}u_0)^2] dx \\ &+ c \int_0^t \|u\|_{H^{q+1}}^2 (\|u_x\|_{L^\infty} \|u\|_{L^\infty} + \|u_x\|_{L^\infty}^2) d\tau. \end{aligned} \tag{16}$$

Proof Using $|2uu_x| \leq (u^2 + u_x^2)$, the Gronwall inequality and Eq. (14), one derives Eq. (15). Using $\partial_x^2 = -\Lambda^2 + 1$ and the Parseval equality gives rise to

$$\int_R \Lambda^q u \Lambda^q \partial_x^3 (u^3) dx = -3 \int_R (\Lambda^{q+1}u) \Lambda^{q+1} (u^2 u_x) dx + 3 \int_R (\Lambda^q u) \Lambda^q (u^2 u_x) dx.$$

For $q \in (0, s - 1]$, applying $(\Lambda^q u) \Lambda^q$ to both sides of the first equation of system (3) and integrating with respect to x by parts, we have the identity

$$\begin{aligned} \frac{1}{2} \frac{d}{dt} \int_R [(\Lambda^q u)^2 + (\Lambda^q u_x)^2] dx &= -a \int_R (\Lambda^q u) \Lambda^q (u^2 u_x) dx \\ &- b \int_R (\Lambda^{q+1}u) \Lambda^{q+1} (u^2 u_x) dx - 2b \int_R \Lambda^q u \Lambda^q u_x^3 dx \\ &+ (a - 6b) \int_R \Lambda^q u \Lambda^q (uu_x u_{xx}) dx. \end{aligned} \tag{17}$$

We will estimate the terms on the right-hand side of Eq. (17) separately. For the first term, by using the Cauchy-Schwartz inequality and Lemmas 3.5 and 3.6, we have

$$\begin{aligned} \left| \int_R (\Lambda^q u) \Lambda^q (u^2 u_x) dx \right| &= \left| \int_R (\Lambda^q u) [\Lambda^q (u^2 u_x) - u^2 \Lambda^q u_x] dx + \int_R (\Lambda^q u) u^2 \Lambda^q u_x dx \right| \\ &\leq c \|u\|_{H^q} (2 \|u\|_{L^\infty} \|u_x\|_{L^\infty} \|u\|_{H^q} + \|u_x\|_{L^\infty} \|u\|_{L^\infty} \|u\|_{H^q}) \\ &\quad + \|u\|_{L^\infty} \|u_x\|_{L^\infty} \|\Lambda^q u\|_{L^2}^2 \\ &\leq c \|u\|_{H^q}^2 \|u\|_{L^\infty} \|u_x\|_{L^\infty}. \end{aligned} \tag{18}$$

Using the above estimate to the second term yields

$$\left| \int_R (\Lambda^{q+1}u) \Lambda^{q+1} (u^2 u_x) dx \right| \leq c \|u\|_{H^{q+1}}^2 \|u\|_{L^\infty} \|u_x\|_{L^\infty}. \tag{19}$$

Using the Cauchy-Schwartz inequality and Lemma 3.5, we obtain

$$\begin{aligned} \left| \int_R (\Lambda^q u_x) \Lambda^q (uu_x^2) dx \right| &\leq \|\Lambda^q u_x\|_{L^2} \|\Lambda^q (uu_x^2)\|_{L^2} \\ &\leq c \|u\|_{H^{q+1}} (\|u\|_{L^\infty} \|u_x^2\|_{H^q} + \|u\|_{H^q} \|u_x^2\|_{L^\infty}) \\ &\leq c \|u\|_{H^{q+1}}^2 (\|u\|_{L^\infty} \|u_x\|_{L^\infty} + \|u_x\|_{L^\infty}^2). \end{aligned} \tag{20}$$

For the last term in Eq. (17), using $u(u_x^2)_x = (uu_x^2)_x - u_x u_x^2$ results in

$$\begin{aligned} & \left| \int_R (\Lambda^q u) \Lambda^q (uu_x u_{xx}) \, dx \right| \\ & \leq \frac{1}{2} \left| \int_R \Lambda^q u_x \Lambda^q (uu_x^2) \, dx \right| + \frac{1}{2} \left| \int_R \Lambda^q u \Lambda^q [u_x u_x^2] \, dx \right| \\ & = K_1 + K_2. \end{aligned} \tag{21}$$

For K_1 , it follows from Eq. (20) that

$$K_1 \leq c \|u\|_{H^{q+1}}^2 (\|u\|_{L^\infty} \|u_x\|_{L^\infty} + \|u_x\|_{L^\infty}^2). \tag{22}$$

For K_2 , applying Lemma 3.5 derives

$$\begin{aligned} K_2 & \leq c \|u\|_{H^q} \|u_x u_x^2\|_{H^q} \\ & \leq c \|u\|_{H^q} (\|u_x\|_{L^\infty} \|u_x^2\|_{H^q} + \|u_x\|_{H^q} \|u_x^2\|_{L^\infty}) \\ & \leq c \|u\|_{H^{q+1}}^2 \|u_x\|_{L^\infty}^2. \end{aligned} \tag{23}$$

It follows from Eqs. (18)-(23) that there exists a constant c such that

$$\frac{1}{2} \frac{d}{dt} \int_R [(\Lambda^q u)^2 + (\Lambda^q u_x)^2] \, dx \leq c \|u\|_{H^{q+1}}^2 (\|u_x\|_{L^\infty} \|u\|_{L^\infty} + \|u_x\|_{L^\infty}^2). \tag{24}$$

Integrating both sides of the above inequality with respect to t results in inequality (16). □

Proof of Theorem 1 Using Eq. (16) with $q = s - 1$, we obtain

$$\|u\|_{H^s}^2 \leq \|u_0\|_{H^s}^2 + c \int_0^t \|u\|_{H^s}^2 (\|u\|_{L^\infty} \|u_x\|_{L^\infty} + \|u_x\|_{L^\infty}^2) \, d\tau. \tag{25}$$

Applying the Gronwall inequality, we get

$$\|u\|_{H^s}^2 \leq \|u_0\|_{H^s}^2 e^{2c \int_0^t (\|u\|_{L^\infty} \|u_x\|_{L^\infty} + \|u_x\|_{L^\infty}^2) \, d\tau}. \tag{26}$$

Using Eq. (15) and Lemma 3.4, we complete the proof of Theorem 1. □

Remark 2 In fact, using $\|u_x\|_{L^\infty} \leq \|u\|_{H^s}$ with $s > \frac{3}{2}$, Eqs. (15) and (26), we derive that the solution of Eq. (2) in space $H^s(R)$ blows up in finite time if and only if $\|u_x\|_{L^\infty} = +\infty$.

4 Proof of Theorem 2

Multiplying Eq. (2) by $y = u - u_{xx}$ and integrating by parts, we get

$$\begin{aligned} \frac{1}{2} \frac{d}{dt} \int_R y^2 \, dx & = \int_R y y_t \, dx \\ & = \int_R y (a u u_x u_{xx} + b u^2 u_{xxx} - (a + b) u^2 u_x) \, dx \end{aligned}$$

$$\begin{aligned}
 &= \int_R y(auu_x(u-y) + bu^2(u_x - y_x) - (a+b)u^2u_x) dx \\
 &= \int_R y(-auu_xy - bu^2y_x) dx \\
 &= (b-a) \int_R uu_xy^2 dx. \tag{27}
 \end{aligned}$$

When $a = b$, from Eq. (27), we derive $\|u_x\|_{L^\infty}$ is bounded. From Lemma 3.7 and Remark 2, we see that problem (3) has a global solution in the space

$$C([0, \infty); H^s(R)) \cap C^1([0, \infty); H^{s-1}(R)).$$

Assume that the solution $u = u(\cdot, u_0)$ of problem (3) blows up in finite time in the space $H^s(R)$ with $s > \frac{3}{2}$. If $b - a < 0$, we assume that uu_x is bounded from below on $[0, T) \times R$, i.e., there exists a constant $M > 1$ such that

$$(b-a)uu_x(t, x) \leq M \quad \text{on } [0, T) \times R.$$

From Eq. (27), we get

$$\|u\|_{H^2} \leq c\|u_0\|_{H^2}e^{Mt}, \tag{28}$$

from which we derive that the H^2 norm of the solution to problem (3) does not blow up in finite time. From Remark 2, we know that this is impossible. Therefore, we have $\lim_{t \rightarrow T} \inf\{\inf_{x \in R} uu_x(t, x)\} = -\infty$.

Similar to the above, we know that if $b - a > 0$, the solution of problem (3) blows up if and only if $\lim_{t \rightarrow T} \inf\{\inf_{x \in R} uu_x(t, x)\} = \infty$.

Competing interests

The authors declare that they have no competing interests.

Authors' contributions

The article is a joint work of three authors who contributed equally to the final version of the paper. All authors read and approved the final manuscript.

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