

**INFINITELY MANY SOLUTIONS  
TO QUASILINEAR ELLIPTIC EQUATION  
WITH CONCAVE AND CONVEX TERMS**

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ABSTRACT. In this paper, we are concerned with the following quasilinear elliptic equation with concave and convex terms

$$(P) \quad -\Delta u - \frac{1}{2} u \Delta(|u|^2) = \alpha |u|^{p-2} u + \beta |u|^{q-2} u, \quad x \in \Omega,$$

where  $\Omega \subset \mathbb{R}^N$  is a bounded smooth domain,  $1 < p < 2$ ,  $4 < q \leq 22^*$ . The existence of infinitely many solutions is obtained by the perturbation methods

### 1. Introduction

In the present paper, we are concerned with the following quasilinear elliptic equation with concave and convex terms

$$(P) \quad \begin{cases} -\Delta u - \frac{1}{2} u \Delta(|u|^2) = \alpha |u|^{p-2} u + \beta |u|^{q-2} u, & x \in \Omega, \\ u = 0, & x \in \partial\Omega, \end{cases}$$

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where  $\Omega \subset \mathbb{R}^N$  is a bounded smooth domain,  $\alpha, \beta \in \mathbb{R}$  are parameters,  $1 < p < 2$ ,  $4 < q \leq 22^*$ ,  $2^* = 2N/(N-2)$  if  $N \geq 3$  and  $2^* = \infty$  if  $N = 1, 2$ . Such a problem is referred to as the so-called modified Schrödinger equation (see [3], [24] and [19]). Our motivation comes from the works about the semilinear case (see, for example, [2] and [6])

$$(1.1) \quad \begin{cases} -\Delta u = \alpha|u|^{p-2}u + \beta|u|^{q-2}u, & x \in \Omega, \\ u = 0, & x \in \partial\Omega, \end{cases}$$

where  $1 < p < 2 < q < 2^*$ . In [2] Ambrosetti, Brezis and Cerami showed that, for  $\alpha > 0$  small and  $\beta > 0$ , (1.1) has infinitely many solutions with negative energy and infinitely many solutions with positive energy in  $H_0^1(\Omega)$ . In [6] Bartsch and Willem dropped the restriction on  $\alpha$  via the fountain theorem and its dual version. More precisely, they show that for  $\beta > 0$  and  $\alpha \in \mathbb{R}$  (1.1) has infinitely many solutions with energy going to infinity, and for  $\alpha > 0$  and  $\beta \in \mathbb{R}$  (1.1) has infinitely many solutions with negative energy going to zero.

In the case  $q = 2^*$ , the existence of a positive solution was obtained by Brezis and Nirenberg in [9]. See [17] for the multiplicity result. A natural problem is whether the same conclusions hold true or not for the quasilinear problem (P)?

In this paper, we will give positive answer for the subcritical case  $q < 22^*$  and the critical case  $q = 22^*$ . The main idea of our arguments comes from the works concerning the fountain theorem and its dual version (see [4], [5] and [6]).

Problems similar to (P) were considered recently in some papers. The minimization methods was used in [19], [24]. The main tool in [3], [20] is the Nehari method. A change of variables argument was involved in [11], [21]. With this change of variables the quasilinear problem is transformed to a semilinear problem and various existing methods for semilinear problems can be adopted and modified to treat the resulting equation such as done recently in [1], [11]–[14], [18], [23], [25] and the references therein. In particular, in [13], the authors obtained the existence of a positive solution of a similar problem on  $\mathbb{R}^N$ .

The weak form of (P) is

$$(1.2) \quad \int_{\Omega} [(1+u^2)\nabla u \nabla \phi + u|\nabla u|^2 \phi - \alpha|u|^{p-2}u\phi - \beta|u|^{q-2}u\phi] dx = 0,$$

for all  $\phi \in C_0^\infty(\Omega)$ , which is formally the variational formulation of the following functional

$$(1.3) \quad I_0(u) = \frac{1}{2} \int_{\Omega} (1+u^2)|\nabla u|^2 dx - \frac{\alpha}{p} \int_{\Omega} |u|^p dx - \frac{\beta}{q} \int_{\Omega} |u|^q dx.$$

We may define the derivative of  $I_0$  at  $u$  in the direction of  $\phi \in C_0^\infty(\Omega)$  as follows

$$(1.4) \quad \langle I_0'(u), \phi \rangle = \int_{\Omega} [(1+u^2)\nabla u \nabla \phi + u|\nabla u|^2 \phi] dx$$

$$-\alpha \int_{\Omega} |u|^{p-2} u \phi \, dx - \beta \int_{\Omega} |u|^{q-2} u \phi \, dx.$$

We call  $u$  a critical point of  $I_0$  if  $u \in W_0^{1,2}(\Omega)$ ,  $\int_{\Omega} u^2 |\nabla u|^2 \, dx < \infty$  and  $\langle I_0'(u), \phi \rangle = 0$  for all  $\phi \in C_0^\infty(\Omega)$ . That is,  $u$  is a weak solution of (P).

The main difficulty in our problems is that there is no suitable space on which the functional  $I_0$  enjoys both smoothness and compactness, so the standard critical point theory can not be applied directly. To overcome this difficulty, we use a perturbation method developed recently in [22]. The main idea is, to find a family of  $C^1$ -functionals  $I_\mu$  with compactness on a suitable work space, adding a perturbation term to the original functional  $I_0$ . So, we seek for a sequence  $\{u_{\mu,n}\}$  of critical points of  $I_\mu$  for  $\mu > 0$  small via the arguments in fountain theorem (see [4], [5], [6] and [26]) and establish suitable estimates for the critical points as  $\mu \rightarrow 0$ , and hence we may pass to the limit to get a sequence of solutions of the original problem. More precisely, we consider a family of perturbed functionals

$$(1.5) \quad I_\mu(u) = \frac{\mu}{4} \int_{\Omega} |\nabla u|^4 \, dx + I_0(u)$$

where  $\mu \in (0, 1]$  is a parameter. Obviously,  $I_\mu$  is a  $C^1$ -functional on  $W_0^{1,4}(\Omega)$ . For all  $\phi \in W_0^{1,4}(\Omega)$ ,

$$(1.6) \quad \langle I_\mu'(u), \phi \rangle = \mu \int_{\Omega} |\nabla u|^2 \nabla u \nabla \phi \, dx + \langle I_0'(u), \phi \rangle.$$

We have the following existence results for (P).

**THEOREM 1.1.** *Assume  $4 < q < 22^*$ .*

- (a) *For every  $\beta > 0$ ,  $\alpha \in \mathbb{R}$ , the problem (P) has a sequence of weak solutions  $\{u_n\}$  such that  $I_0(u_n) \rightarrow \infty$  as  $n \rightarrow \infty$ .*
- (b) *For every  $\alpha > 0$ ,  $\beta \in \mathbb{R}$ , the problem (P) has a sequence of weak solutions  $\{v_n\}$  with  $I_0(v_n) < 0$  such that  $I_0(v_n) \rightarrow 0$  as  $n \rightarrow \infty$ .*

**THEOREM 1.2.** *Assume  $q = 22^*$  and  $\beta > 0$ . Then there exists  $\alpha^* > 0$  such that, for every  $0 < \alpha < \alpha^*$ , the problem (P) has a sequence of weak solutions  $\{v_n\}$  with  $I_0(v_n) < 0$  such that  $I_0(v_n) \rightarrow 0$  as  $n \rightarrow \infty$ .*

**REMARK 1.3.** In fact, our results can be generalized to the more general case

$$-\sum_{i,j=1}^N D_j(a_{ij}(x,u)D_i u) + \frac{1}{2} \sum_{i,j=1}^N D_s a_{ij}(x,u)D_i u D_j u = \alpha |u|^{p-2} u + \beta |u|^{q-2} u,$$

for  $x \in \Omega$ , where

$$D_i = \frac{\partial}{\partial x_i} \quad \text{and} \quad D_s a_{ij}(x,s) = \frac{\partial}{\partial s} a_{ij}(x,s).$$

For  $a_{ij}(x,u) = (1 + u^2)\delta_{ij}$ , the equation is reduced to (P).

NOTATIONS. We denote by  $\|\cdot\|$  the norm of  $W_0^{1,4}(\Omega)$ , by  $\|\cdot\|_2$  the norm of  $W_0^{1,2}(\Omega)$  and by  $|\cdot|_s$  the norm of  $L^s(\Omega)$  ( $1 < s < +\infty$ ),  $C$  and  $C_i$  stand for different positive constants.

## 2. Proof of Theorem 1.1

First, similar to [22], we have the following convergence results for (P).

LEMMA 2.1. *Let  $\mu_n \rightarrow 0$  and  $q \leq 22^*$ . Suppose  $\{u_n\} \subset W_0^{1,4}(\Omega)$  satisfies  $I'_{\mu_n}(u_n) = 0$  and  $I_{\mu_n}(u_n) \leq C$  for some  $C \in \mathbb{R}$  independent of  $n$ . Then there is  $u \in W_0^{1,4}(\Omega)$  such that, up to a subsequence,  $u_n \rightarrow u$  in  $W_0^{1,2}(\Omega)$ ,  $u_n \nabla u_n \rightarrow u \nabla u$  in  $L^2(\Omega)$ ,  $\mu_n \int_{\Omega} |\nabla u_n|^4 dx \rightarrow 0$  and  $I_{\mu_n}(u_n) \rightarrow I_0(u)$  as  $n \rightarrow \infty$ , and  $u$  is a critical point of  $I_0$ .*

PROOF. The proof is similar to [22]. We sketch it for completeness. By  $I'_{\mu_n}(u_n) = 0$  and  $I_{\mu_n}(u_n) \leq C$ , we obtain

$$(2.1) \quad \begin{aligned} C &\geq I_{\mu_n}(u_n) - \frac{1}{q} \langle I'_{\mu_n}(u_n), u_n \rangle \\ &= \left(\frac{1}{4} - \frac{1}{q}\right) \mu_n \int_{\Omega} |\nabla u_n|^4 dx + \left(\frac{1}{2} - \frac{1}{q}\right) \int_{\Omega} |\nabla u_n|^2 dx \\ &\quad + \left(\frac{1}{2} - \frac{2}{q}\right) \int_{\Omega} u_n^2 |\nabla u_n|^2 dx + \alpha \left(\frac{1}{q} - \frac{1}{p}\right) \int_{\Omega} |u_n|^p dx. \end{aligned}$$

We claim that there exists  $C_0 > 0$  such that

$$\int_{\Omega} |u_n|^p dx \leq C_0.$$

If not, without loss of generality, we may assume  $|u_n|_p \rightarrow \infty$  as  $n \rightarrow \infty$ . By (2.1), we have

$$(2.2) \quad \begin{aligned} C &\geq \left(\frac{1}{2} - \frac{2}{q}\right) \int_{\Omega} u_n^2 |\nabla u_n|^2 dx + \alpha \left(\frac{1}{q} - \frac{1}{p}\right) |u_n|_p^p \\ &= \left(\frac{1}{8} - \frac{1}{2q}\right) \int_{\Omega} |\nabla u_n^2|^2 dx + \alpha \left(\frac{1}{q} - \frac{1}{p}\right) |u_n|_p^p \\ &\geq \left(\frac{1}{8} - \frac{1}{2q}\right) C_1 |u_n|_4^4 + \alpha \left(\frac{1}{q} - \frac{1}{p}\right) |u_n|_p^p \\ &\geq \left(\frac{1}{8} - \frac{1}{2q}\right) C_2 |u_n|_p^4 - \alpha \left(\frac{1}{p} - \frac{1}{q}\right) |u_n|_p^p, \end{aligned}$$

which is impossible since  $p < 2$  and  $q > 4$ .

Using (2.1) again, we have

$$(2.3) \quad \mu_n \int_{\Omega} |\nabla u_n|^4 dx + \int_{\Omega} |\nabla u_n|^2 dx + \int_{\Omega} u_n^2 |\nabla u_n|^2 dx \leq C_3,$$

where  $C_3$  is independent of  $n$ . Then we have  $u_n \rightarrow u$  in  $W_0^{1,2}(\Omega)$ ,  $u_n \nabla u_n \rightarrow u \nabla u$  in  $L^2(\Omega)$  and  $u_n(x) \rightarrow u(x)$  for almost every  $x \in \Omega$ . Note that  $u_n$  satisfies

$$(2.4) \quad \mu_n \int_{\Omega} |\nabla u_n|^2 \nabla u_n \nabla \phi \, dx + \int_{\Omega} [(1 + u_n^2) \nabla u_n \nabla \phi + u_n |\nabla u_n|^2 \phi] \, dx - \alpha \int_{\Omega} |u_n|^{p-2} u_n \phi \, dx - \beta \int_{\Omega} |u_n|^{q-2} u_n \phi \, dx = 0,$$

for all  $\phi \in W_0^{1,4}(\Omega)$ . Since

$$\left( \int_{\Omega} |u_n|^{4N/(N-2)} \, dx \right)^{(N-2)/N} \leq C_4 \int_{\Omega} u_n^2 |\nabla u_n|^2 \, dx \leq C_5,$$

by Moser’s iteration we obtain

$$(2.5) \quad |u_n|_{L^\infty(\Omega)} \leq C_6,$$

and hence  $|u|_{L^\infty(\Omega)} \leq C_6$ , where  $C_6$  is independent of  $n$ . Now, similar to the arguments in [10] (see also [22]), one can show that  $u$  is a critical point of  $I_0$ . In fact, we choose  $\phi = \psi e^{-u_n}$  in (2.4), where  $\psi \in C_0^\infty(\Omega)$  satisfies  $\psi \geq 0$ . It follows from (2.4) that

$$(2.6) \quad \begin{aligned} 0 &= \mu_n \int_{\Omega} |\nabla u_n|^2 \nabla u_n (\nabla \psi e^{-u_n} - \psi \nabla u_n e^{-u_n}) \, dx \\ &\quad + \int_{\Omega} (1 + u_n^2) \nabla u_n (\nabla \psi e^{-u_n} - \psi \nabla u_n e^{-u_n}) \, dx \\ &\quad + \int_{\Omega} u_n |\nabla u_n|^2 \psi e^{-u_n} \, dx - \alpha \int_{\Omega} |u_n|^{p-2} u_n \psi e^{-u_n} \, dx \\ &\quad - \beta \int_{\Omega} |u_n|^{q-2} u_n \psi e^{-u_n} \, dx \\ &\leq \mu_n \int_{\Omega} |\nabla u_n|^2 \nabla u_n \nabla \psi e^{-u_n} \, dx + \int_{\Omega} (1 + u_n^2) \nabla u_n \nabla \psi e^{-u_n} \, dx \\ &\quad - \int_{\Omega} (1 + u_n^2 - u_n) |\nabla u_n|^2 \psi e^{-u_n} \, dx \\ &\quad - \alpha \int_{\Omega} |u_n|^{p-2} u_n \psi e^{-u_n} \, dx - \beta \int_{\Omega} |u_n|^{q-2} u_n \psi e^{-u_n} \, dx. \end{aligned}$$

By Fatou’s lemma, the weak convergence of  $u_n$  and (2.3) we have

$$(2.7) \quad \begin{aligned} 0 &\leq \int_{\Omega} (1 + u^2) \nabla u \nabla \psi e^{-u} \, dx - \int_{\Omega} (1 + u^2 - u) |\nabla u|^2 \psi e^{-u} \, dx \\ &\quad - \alpha \int_{\Omega} |u|^{p-2} u \psi e^{-u} \, dx - \beta \int_{\Omega} |u|^{q-2} u \psi e^{-u} \, dx \\ &= \int_{\Omega} (1 + u^2) \nabla u \nabla (\psi e^{-u}) \, dx + \int_{\Omega} u |\nabla u|^2 \psi e^{-u} \, dx \\ &\quad - \alpha \int_{\Omega} |u|^{p-2} u \psi e^{-u} \, dx - \beta \int_{\Omega} |u|^{q-2} u \psi e^{-u} \, dx. \end{aligned}$$

Let  $\chi \geq 0$ ,  $\chi \in C_0^\infty(\Omega)$ . We may choose a sequence of nonnegative functions  $\psi_n \rightarrow \chi e^u$  in  $W_0^{1,2}(\Omega)$ ,  $\psi_n \rightarrow \chi e^u$  for almost every  $x \in \Omega$  and  $\{\psi_n\}$  is uniformly bounded in  $L^\infty(\Omega)$ . Then, by approximations in (2.7), we have

$$(2.8) \quad \int_{\Omega} (1 + u^2) \nabla u \nabla \chi \, dx + \int_{\Omega} u |\nabla u|^2 \chi \, dx - \alpha \int_{\Omega} |u|^{p-2} u \chi \, dx - \beta \int_{\Omega} |u|^{q-2} u \chi \, dx \geq 0.$$

Similarly, we can obtain an opposite inequality. Thus, we have for all  $\chi \in C_0^\infty(\Omega)$ ,

$$(2.9) \quad \int_{\Omega} (1 + u^2) \nabla u \nabla \chi \, dx + \int_{\Omega} u |\nabla u|^2 \chi \, dx - \alpha \int_{\Omega} |u|^{p-2} u \chi \, dx - \beta \int_{\Omega} |u|^{q-2} u \chi \, dx = 0.$$

That is,  $u$  is a critical point of  $I_0$  and a solution of (P). Replacing  $\chi$  with  $u$  in (2.9) and doing approximations again we have

$$(2.10) \quad \int_{\Omega} (1 + u^2) |\nabla u|^2 \, dx - \alpha \int_{\Omega} |u|^p \, dx - \beta \int_{\Omega} |u|^q \, dx = 0.$$

Setting  $\phi = u_n$  in (2.4), we have

$$(2.11) \quad \mu_n \int_{\Omega} |\nabla u_n|^4 \, dx + \int_{\Omega} (1 + u_n^2) |\nabla u_n|^2 \, dx - \alpha \int_{\Omega} |u_n|^p \, dx - \beta \int_{\Omega} |u_n|^q \, dx = 0.$$

Using

$$\int_{\Omega} |u_n|^p \, dx \rightarrow \int_{\Omega} |u|^p \, dx, \quad \int_{\Omega} |u_n|^q \, dx \rightarrow \int_{\Omega} |u|^q \, dx,$$

(2.10), (2.11) and the lower semi-continuity we obtain

$$\int_{\Omega} |\nabla u_n|^2 \, dx \rightarrow \int_{\Omega} |\nabla u|^2 \, dx, \quad \int_{\Omega} u_n^2 |\nabla u_n|^2 \, dx \rightarrow \int_{\Omega} u^2 |\nabla u|^2 \, dx, \\ \mu_n \int_{\Omega} |\nabla u_n|^4 \, dx \rightarrow 0.$$

In particular, we have  $u_n \rightarrow u$  in  $W_0^{1,2}(\Omega)$ ,  $u_n \nabla u_n \rightarrow u \nabla u$  in  $L^2(\Omega)$  and  $I_{\mu_n}(u_n) \rightarrow I_0(u)$ . □

Let  $\{e_j\}$  be a Schauder basis of  $W_0^{1,4}(\Omega)$  (see [16] and [7]). Define  $X_j := \mathbb{R}e_j$ . Note that for each  $\mu \in (0, 1]$ ,  $I_\mu$  is even. Now, some notations are in order. Set

$$Y_k := \bigoplus_{j=0}^k X_j, \quad Z_k := \overline{\bigoplus_{j=k}^{\infty} X_j}, \\ B_k := \left\{ u \in Y_k : \int_{\Omega} (1 + u^2) |\nabla u|^2 \, dx \leq \rho_k^2 \right\}, \\ N_k := \left\{ u \in Z_k : \int_{\Omega} (1 + u^2) |\nabla u|^2 \, dx = r_k^2 \right\},$$

where  $\rho_k > r_k > 0$ .

The following intersection property is similar to Lemma 3.4 in [26].

LEMMA 2.2. *If  $\gamma \in C(B_k, W_0^{1,4}(\Omega))$  is odd and  $\gamma|_{\partial B_k} = \text{id}$ , then*

$$\gamma(B_k) \cap N_k \neq \emptyset.$$

PROOF. Define

$$U := \left\{ u \in B_k : \int_{\Omega} (1 + \gamma^2(u)) |\nabla \gamma(u)|^2 dx < r_k^2 \right\}.$$

Denote by  $P_k$  the projector onto  $Y_{k-1}$  such that  $P_k Z_k = \{0\}$ . By the Borsuk–Ulam Theorem, there is  $u_0 \in B_k$  with

$$\int_{\Omega} (1 + \gamma^2(u_0)) |\nabla \gamma(u_0)|^2 dx = r_k^2$$

such that  $P_k \gamma(u_0) = 0$ . Hence  $u_0 \in \gamma(B_k) \cap N_k$ . □

PROOF OF THEOREM 1.1. (a) Assume  $\alpha \in \mathbb{R}$  and  $\beta > 0$ . The proof is divided into several steps.

Step 1. For each  $k$ , there is  $r_k > 0$  independent of  $\mu \in (0, 1]$  such that

$$\inf_{u \in N_k} I_{\mu}(u) \rightarrow \infty, \quad \text{as } k \rightarrow \infty.$$

In fact, define

$$\theta_k := \sup_{\substack{u \in Z_k \\ u \neq 0}} \frac{|u|_q^2}{\int_{\Omega} (1 + u^2) |\nabla u|^2 dx}.$$

It is clear that  $0 < \theta_{k+1} \leq \theta_k$ , thus  $\theta_k \rightarrow \theta \geq 0$  as  $k \rightarrow \infty$ . For each  $k$ , there exists  $u_k \in Z_k$  such that

$$\left( \int_{\Omega} (1 + u_k^2) |\nabla u_k|^2 dx \right)^{1/2} = 1 \quad \text{and} \quad |u_k|_q > \frac{\theta_k}{2}.$$

By the definition of  $Z_k$ ,  $u_k \rightarrow 0$  in  $W_0^{1,4}(\Omega)$  (see p. 182–183 in [15]). The Sobolev imbedding theorem implies that  $u_k \rightarrow 0$  in  $L^q(\Omega)$ . Therefore,  $\theta = 0$ , i.e.

$$(2.12) \quad \theta_k \rightarrow 0 \quad \text{as } k \rightarrow \infty.$$

Observe that there exists  $C_1 > 0$  such that  $|u|^p \leq C_1(1 + |u|^q)$ , which yields that

$$\begin{aligned} I_0(u) &= \frac{1}{2} \int_{\Omega} (1 + u^2) |\nabla u|^2 dx - \frac{\alpha}{p} |u|_p^p - \frac{\beta}{q} |u|_q^q \\ &\geq \frac{1}{2} r_k^2 - \frac{|\alpha| C_1 |\Omega|}{p} - \left( \frac{\beta}{q} + \frac{|\alpha| C_1}{p} \right) \theta_k^q \left( \int_{\Omega} (1 + u^2) |\nabla u|^2 dx \right)^{q/2} \\ &= \frac{1}{2} r_k^2 - \frac{|\alpha| C_1 |\Omega|}{p} - \left( \frac{\beta}{q} + \frac{|\alpha| C_1}{p} \right) \theta_k^q r_k^q \\ &= r_k^2 \left[ \frac{1}{2} - \left( \frac{\beta}{q} + \frac{|\alpha| C_1}{p} \right) \theta_k^q r_k^{q-2} \right] - \frac{|\alpha| C_1 |\Omega|}{p} \end{aligned}$$

for  $u \in N_k$ . Choosing  $r_k = [4(\beta/q + |\alpha|C_1/p)]^{-1/(q-2)} \theta_k^{-q/(q-2)}$ , we have  $r_k \rightarrow \infty$  as  $k \rightarrow \infty$ . Thus

$$(2.13) \quad \inf_{u \in N_k} I_{\mu}(u) \geq \inf_{u \in N_k} I_0(u) \geq \frac{1}{4} r_k^2 - \frac{|\alpha| C_1 |\Omega|}{p} \rightarrow \infty \quad \text{as } k \rightarrow \infty.$$

*Step 2.* For each  $k$ , there is  $\rho_k > r_k$  independent of  $\mu \in (0, 1]$  such that

$$(2.14) \quad a_k := \max_{\substack{u \in Y_k \\ \int_{\Omega} (1+u^2)|\nabla u|^2 dx = \rho_k^2}} I_{\mu}(u) \leq 0.$$

In fact, for  $u \in Y_k$ , we have

$$\begin{aligned} I_{\mu}(u) &= \frac{1}{4}\mu \int_{\Omega} |\nabla u|^4 dx + \frac{1}{2} \int_{\Omega} (1+u^2)|\nabla u|^2 dx \\ &\quad - \frac{\alpha}{p} \int_{\Omega} |u|^p dx - \frac{\beta}{q} \int_{\Omega} |u|^q dx \\ &\leq \frac{1}{4}\mu \int_{\Omega} |\nabla u|^4 dx + \frac{1}{2} \int_{\Omega} |\nabla u|^2 dx + \frac{1}{2} \left( \int_{\Omega} |u|^4 dx \right)^{1/2} \left( \int_{\Omega} |\nabla u|^4 dx \right)^{1/2} \\ &\quad + \frac{|\alpha|}{p} \int_{\Omega} |u|^p dx - \frac{\beta}{q} \int_{\Omega} |u|^q dx \\ &\leq \frac{1}{4}\mu \|u\|^4 + C_2 \|u\|^2 + C_3 \|u\|^4 + C_4 \|u\|^p - C_5 \|u\|^q \\ &\leq \frac{1}{4} \|u\|^4 + C_2 \|u\|^2 + C_3 \|u\|^4 + C_4 \|u\|^p - C_5 \|u\|^q, \end{aligned}$$

since all norms are equivalent on the finite dimensional space  $Y_k$ , which implies that we can choose  $\rho_k > r_k$  independent of  $\mu \in (0, 1]$  such that  $b_k \leq 0$ .

*Step 3.* We claim that  $I_{\mu}$  satisfies the  $(PS)_c$  condition for every  $c > 0$ . In fact, let  $\{u_n\} \subset W_0^{1,4}(\Omega)$  be such that  $I_{\mu}(u_n) \rightarrow c$ ,  $I'_{\mu}(u_n) \rightarrow 0$  as  $n \rightarrow \infty$ . For  $n$  large enough, we have

$$\begin{aligned} (2.15) \quad c + 1 + \|u_n\| &\geq I_{\mu}(u_n) - \frac{1}{q} \langle I'_{\mu}(u_n), u_n \rangle \\ &= \left( \frac{1}{4} - \frac{1}{q} \right) \mu \int_{\Omega} |\nabla u_n|^4 dx + \left( \frac{1}{2} - \frac{1}{q} \right) \int_{\Omega} |\nabla u_n|^2 dx \\ &\quad + \left( \frac{1}{2} - \frac{2}{q} \right) \int_{\Omega} u_n^2 |\nabla u_n|^2 dx + \left( \frac{\alpha}{q} - \frac{\alpha}{p} \right) \int_{\Omega} |u_n|^p dx \\ &\geq \left( \frac{1}{4} - \frac{1}{q} \right) \mu \|u_n\|^4 - C_6 \|u_n\|^p. \end{aligned}$$

Thus  $\{u_n\}$  is bounded in  $W_0^{1,4}(\Omega)$ . Up to a subsequence, we may assume  $u_n \rightharpoonup u$  in  $W_0^{1,4}(\Omega)$  and  $u_n \rightarrow u$  in  $L^s(\Omega)$  for  $1 < s < 22^*$ . Choosing  $\phi = u_n - u_m$  in (1.6) we have

$$\begin{aligned} (2.16) \quad o(1) \|u_n - u_m\| &= \langle I'_{\mu}(u_n) - I'_{\mu}(u_m), u_n - u_m \rangle \\ &= \mu \int_{\Omega} (|\nabla u_n|^2 \nabla u_n - |\nabla u_m|^2 \nabla u_m) (\nabla u_n - \nabla u_m) dx \\ &\quad + \int_{\Omega} |\nabla u_n - \nabla u_m|^2 dx \\ &\quad + \int_{\Omega} (u_n^2 \nabla u_n - u_m^2 \nabla u_m) (\nabla u_n - u_m) dx \end{aligned}$$

$$\begin{aligned}
 & + \int_{\Omega} (u_n |\nabla u_n|^2 - u_m |\nabla u_m|^2) (u_n - u_m) dx \\
 & - \alpha \int_{\Omega} (|u_n|^{p-2} u_n - |u_m|^{p-2} u_m) (u_n - u_m) dx \\
 & - \beta \int_{\Omega} (|u_n|^{q-2} u_n - |u_m|^{q-2} u_m) (u_n - u_m) dx.
 \end{aligned}$$

Now we estimate the above terms appeared on the right hand one by one.

$$\begin{aligned}
 (2.17) \quad & \int_{\Omega} (u_n^2 \nabla u_n - u_m^2 \nabla u_m) (\nabla u_n - \nabla u_m) dx \\
 & = \int_{\Omega} u_n^2 |\nabla u_n - \nabla u_m|^2 dx + \int_{\Omega} (u_n^2 - u_m^2) \nabla u_m (\nabla u_n - \nabla u_m) dx \\
 & \geq -|u_n - u_m|_4 (|u_n|_4 + |u_m|_4) \|u_m\| (\|u_n\| + \|u_m\|) \rightarrow 0.
 \end{aligned}$$

$$\begin{aligned}
 (2.18) \quad & \left| \int_{\Omega} (u_n |\nabla u_n|^2 - u_m |\nabla u_m|^2) (u_n - u_m) dx \right| \\
 & \leq (|u_n|_4 \|u_n\|^2 + |u_m|_4 \|u_m\|^2) (|u_n - u_m|_4) \rightarrow 0.
 \end{aligned}$$

$$\begin{aligned}
 (2.19) \quad & \left| \alpha \int_{\Omega} (|u_n|^{p-2} u_n - |u_m|^{p-2} u_m) (u_n - u_m) dx \right| \\
 & \leq |\alpha| (|u_n|_p^{p-1} + |u_m|_p^{p-1}) |u_n - u_m|_p \rightarrow 0.
 \end{aligned}$$

$$\begin{aligned}
 (2.20) \quad & \left| \beta \int_{\Omega} (|u_n|^{q-2} u_n - |u_m|^{q-2} u_m) (u_n - u_m) dx \right| \\
 & \leq |\beta| \int_{\Omega} (|u_n|^{q-1} + |u_m|^{q-1}) |u_n - u_m| dx \\
 & \leq |\beta| (|u_n|_q^{q-1} + |u_m|_q^{q-1}) |u_n - u_m|_q \rightarrow 0.
 \end{aligned}$$

$$\begin{aligned}
 (2.21) \quad & \mu \int_{\Omega} (|\nabla u_n|^2 \nabla u_n - |\nabla u_m|^2 \nabla u_m) (\nabla u_n - \nabla u_m) dx \\
 & \geq C_7 \int_{\Omega} |\nabla u_n - \nabla u_m|^4 dx
 \end{aligned}$$

for some  $C_7 > 0$ . Combining (2.16)–(2.20) together we obtain

$$C_7 \int_{\Omega} |\nabla u_n - \nabla u_m|^4 dx \leq o(1) \|u_n - u_m\| + o(1),$$

which implies that  $\{u_n\}$  is a Cauchy sequence in  $W_0^{1,4}(\Omega)$ , and hence there is  $u \in W_0^{1,4}(\Omega)$  such that  $u_n \rightarrow u$  in  $W_0^{1,4}(\Omega)$ .

*Step 4.* Define for  $k \geq 2$ ,  $c_k(\mu) := \inf_{\gamma \in \Gamma_k} \max_{u \in B_k} I_{\mu}(\gamma(u))$ , where

$$\Gamma_k := \{\gamma \in C(B_k, X) : \gamma \text{ is odd and } \gamma|_{\partial B_k} = \text{id}\}.$$

Obviously, for each  $k$ , there holds  $c_k(\mu) \leq c_k(1) \leq \max_{u \in B_k} I_1(u) < \infty$ , since  $I_\mu$  is increasing in  $\mu$ . On the other hand, by Lemma 2.2,  $\gamma(B_k) \cap N_k \neq \emptyset$  for  $\gamma \in \Gamma_k$ . Therefore,  $c_k(\mu) \geq \inf_{u \in N_k} I_\mu(u) \geq \inf_{u \in N_k} I_0(u)$ . It follows from (2.13) that  $c_k(\mu) \rightarrow \infty$  as  $k \rightarrow \infty$ .

*Step 5.* For each  $k$ , there is a sequence  $u_{n,k}$  such that  $I_\mu(u_{n,k}) \rightarrow c_k(\mu)$  and  $I'_\mu(u_{n,k}) \rightarrow 0$  as  $n \rightarrow \infty$ . Otherwise, for every  $\varepsilon \in (0, (c_k - a_k)/2)$  and  $\gamma \in \Gamma_k$  with  $\max_{u \in B_k} I_\mu(\gamma(u)) \leq c_k(\mu) + \varepsilon$ , where  $a_k$  is given in (2.14), it follows from the equivariant deformation lemma (see Lemma 3.1 in [26]) that there exists  $\eta \in C([0, 1] \times W_0^{1,4}(\Omega), W_0^{1,4}(\Omega))$  such that  $\eta(1, I_\mu^{c_k(\mu)+\varepsilon}) \subset I_\mu^{c_k(\mu)-\varepsilon}$  and  $\varphi(u) := \eta(1, \gamma(u)) \in \Gamma_k$ . Thus  $c_k(\mu) \leq \max_{u \in B_k} I_\mu(\gamma(u)) \leq c_k(\mu) - \varepsilon$ , which is absurd.

By Step 3,  $c_k(\mu)$  is a critical value of  $I_\mu$ . Thus  $I_\mu$  has an unbounded sequence of critical values and hence  $I_\mu$  has a sequence of critical points  $\{u_{\mu,k}\}$ . By Lemma 2.1, passing to the limit for  $\mu \rightarrow 0$ ,  $I_0$  has a sequence of critical points  $\{u_k\}$  such that  $I_0(u_k) \rightarrow \infty$  as  $k \rightarrow \infty$ . This completes the proof of (a).

(b) Assume  $\alpha > 0$  and  $\beta \in \mathbb{R}$ . The proof is also divided into several steps.

*Step 1.* We claim there exists  $k_0$  such that, for each  $k \geq k_0$ , there is  $\rho_k > 0$  independent of  $\mu \in (0, 1]$  such that

$$\inf_{\substack{u \in Z_k \\ \int_{\Omega} (1+u^2)|\nabla u|^2 dx = \rho_k^2}} I_\mu(u) \geq 0.$$

In fact, define

$$\vartheta_k := \sup_{\substack{u \in Z_k \\ u \neq 0}} \frac{|u|_p^2}{\int_{\Omega} (1+u^2)|\nabla u|^2 dx}.$$

Similar to (2.12),  $\vartheta_k \rightarrow 0$  as  $k \rightarrow \infty$ . Since

$$|u|_q \leq C_0 \left( \int_{\Omega} |\nabla u|^2 dx \right)^{1/2} \leq C_0 \left( \int_{\Omega} (1+u^2)|\nabla u|^2 dx \right)^{1/2}$$

and  $q > 4$ , there exists  $R > 0$  such that

$$\int_{\Omega} (1+u^2)|\nabla u|^2 dx \leq R \Rightarrow \frac{\beta}{q} |u|_q^q \leq \frac{1}{4} \int_{\Omega} (1+u^2)|\nabla u|^2 dx,$$

which yields

$$\begin{aligned} (2.22) \quad I_0(u) &= \frac{1}{2} \int_{\Omega} (1+u^2)|\nabla u|^2 dx - \frac{\alpha}{p} |u|_p^p - \beta/q |u|_q^q \\ &\geq \frac{1}{4} \int_{\Omega} (1+u^2)|\nabla u|^2 dx - \alpha/p |u|_p^p \\ &\geq \frac{1}{4} \int_{\Omega} (1+u^2)|\nabla u|^2 dx - \frac{\alpha}{p} \vartheta_k^p \left( \int_{\Omega} (1+u^2)|\nabla u|^2 dx \right)^{p/2}, \end{aligned}$$

for  $u \in W_0^{1,4}(\Omega)$  with  $\int_{\Omega} (1+u^2)|\nabla u|^2 dx \leq R$ .

Choosing  $\rho_k = (8\alpha/p)^{1/(2-p)}\vartheta_k^{p/(2-p)}$  we have  $\rho_k \rightarrow 0$  as  $k \rightarrow \infty$ . Then there exists  $k_0$  such that  $\rho_k \leq R$  when  $k \geq k_0$ . Thus, for  $k \geq k_0$  and  $u \in Z_k$  with  $\int_{\Omega}(1+u^2)|\nabla u|^2 dx = \rho_k^2$ , it follows from (2.22) that

$$I_{\mu}(u) \geq I_0(u) \geq \rho_k^2 \left[ \frac{1}{4} - \frac{\alpha}{p} \vartheta_k^p \rho_k^{p-2} \right] \geq 0,$$

which implies that the claim is true.

*Step 2.* For each  $k \geq k_0$ , there is  $0 < r_k < \rho_k$  independent of  $\mu \in (0, 1]$  such that

$$\bar{b}_k := \max_{\substack{u \in Y_k \\ \int_{\Omega}(1+u^2)|\nabla u|^2 dx = r_k^2}} I_{\mu}(u) < 0.$$

In fact, for  $u \in Y_k$ , we have

$$\begin{aligned} I_{\mu}(u) &= \frac{\mu}{4} \int_{\Omega} |\nabla u|^4 dx + \frac{1}{2} \int_{\Omega} (1+u^2)|\nabla u|^2 dx - \frac{\alpha}{p} \int_{\Omega} |u|^p dx - \frac{\beta}{q} \int_{\Omega} |u|^q dx \\ &\leq \frac{\mu}{4} |\nabla u|_4^4 + \frac{1}{2} |\nabla u|_2^2 + \frac{1}{2} |u|_4^2 |\nabla u|_4^2 - \frac{\alpha}{p} |u|_p^p + \frac{|\beta|}{q} |u|_q^q \\ &\leq \frac{1}{4} \|u\|^4 + C_1 \|u\|^2 + C_2 \|u\|^4 - C_3 \|u\|^p + C_4 \|u\|^q, \end{aligned}$$

since all norms are equivalent on the finite dimensional space  $Y_k$ , which implies that we can choose  $0 < r_k < \rho_k$  independent of  $\mu \in (0, 1]$  such that  $\bar{b}_k < 0$ .

*Step 3.* We obtain from (2.22), for  $k \geq k_0$  and  $u \in B_k$

$$I_{\mu}(u) \geq I_0(u) \geq -\frac{\alpha}{p} \vartheta_k^p \left( \int_{\Omega} (1+u^2)|\nabla u|^2 dx \right)^{p/2} \geq -\frac{\alpha}{p} \vartheta_k^p \rho_k^p.$$

Then  $\bar{a}_k := \inf_{u \in B_k} I_{\mu}(u) \rightarrow 0$  as  $k \rightarrow \infty$  since  $\vartheta_k \rightarrow 0$  and  $\rho_k \rightarrow 0$  as  $k \rightarrow \infty$ .

*Step 4.* Now we prove that  $I_{\mu}$  satisfies the  $(PS)_c^*$  condition for each  $c < 0$  with respect to  $\{Y_k\}$ . Consider a sequence  $\{u_{n_k}\} \subset W_0^{1,4}(\Omega)$  such that  $n_k \rightarrow \infty$ ,  $u_{n_k} \in Y_{n_k}$ ,  $I_{\mu}(u_{n_k}) \rightarrow c$  and  $I_{\mu}'|_{Y_{n_k}}(u_{n_k}) \rightarrow 0$ . For  $k$  large enough, we have

$$\begin{aligned} c + 1 + \|u_{n_k}\| &\geq I_{\mu}(u_{n_k}) - \frac{1}{q} \langle I_{\mu}'(u_{n_k}), u_{n_k} \rangle \\ &= \left( \frac{1}{4} - \frac{1}{q} \right) \mu \int_{\Omega} |\nabla u_{n_k}|^4 dx + \left( \frac{1}{2} - \frac{1}{q} \right) \int_{\Omega} |\nabla u_{n_k}|^2 dx \\ &\quad + \left( \frac{1}{2} - \frac{2}{q} \right) \int_{\Omega} u_{n_k}^2 |\nabla u_{n_k}|^2 dx + \alpha \left( \frac{1}{q} - \frac{1}{p} \right) \int_{\Omega} |u_{n_k}|^p dx \\ &\geq \left( \frac{1}{4} - \frac{1}{q} \right) \mu \|u_{n_k}\|^4 + \alpha \left( \frac{1}{q} - \frac{1}{p} \right) C_7 \|u_{n_k}\|^p. \end{aligned}$$

Thus  $\{u_{n_k}\}$  is bounded in  $W_0^{1,4}(\Omega)$ . Similar to the proof of part (a), one can show that  $\{u_{n_k}\}$  has a convergent subsequence in  $W_0^{1,4}(\Omega)$ .

Step 5. We fix  $n \geq k \geq k_0$  and define

$$\begin{aligned} Z_k^n &:=, \bigoplus_{j=k}^n X_j, \\ B_k^n &:= \left\{ u \in Z_k^n : \int_{\Omega} (1 + u^2) |\nabla u|^2 dx \leq \rho_k^2 \right\}, \\ \Gamma_k^n &:= \{ \gamma \in C(B_k^n, Y_n) : \gamma \text{ is odd and } \gamma|_{\partial B_k^n} = \text{id} \}, \\ \bar{c}_k^n(\mu) &:= \sup_{\gamma \in \Gamma_k^n} \min_{u \in B_k^n} I_{\mu}(\gamma(u)). \end{aligned}$$

Then  $\bar{c}_k^n(\mu) \in [\bar{a}_k, \bar{b}_k]$ . Now, repeating the arguments in (a) to the functional  $-I_{\mu}$  defined on the space  $Y_n$ , there exists  $u_n \in Y_n$  such that

$$\bar{c}_k^n(\mu) - \frac{2}{n} \leq I_{\mu}(u_n) \leq \bar{c}_k^n(\mu) + \frac{2}{n}, \quad \|I_{\mu}'|_{X_n}(u_n)\| \leq \frac{8}{n}.$$

Since  $I_{\mu}$  satisfies the  $(PS)_c^*$  condition, we see that  $\{\bar{c}_k^n(\mu)\}$  converges along a subsequence to a critical value  $\bar{c}_k(\mu) \in [\bar{a}_k, \bar{b}_k]$  of  $I_{\mu}$  as  $n \rightarrow \infty$ . Moreover, by Step 3,  $\bar{c}_k(\mu) \rightarrow 0_-$  as  $k \rightarrow \infty$ . Using Lemma 2.1 and passing to the limit for  $\mu \rightarrow 0$  we have that  $I_0$  has a sequence of negative critical values going to 0. This completes the proof of (b).  $\square$

### 3. Proof of Theorem 1.2

This section is devoted to proving Theorem 1.2. The following lemma plays a key role in the proof.

LEMMA 3.1. *There is  $\lambda > 0$  such that, for any  $\alpha > 0$  and*

$$(3.1) \quad c < \frac{S^{N/2}}{2N2^{N/2}\beta^{(N-2)/2}} - \lambda\alpha^{22^*/(22^*-p)},$$

*the functional  $I_{\mu}$  satisfies the  $(PS)_c^*$  condition.*

PROOF. Consider a sequence  $\{u_{n_k}\} \subset W_0^{1,4}(\Omega)$  such that  $n_k \rightarrow \infty$ ,  $u_{n_k} \in Y_{n_k}$ ,  $I_{\mu}(u_{n_k}) \rightarrow c$ ,  $I_{\mu}'|_{Y_{n_k}}(u_{n_k}) \rightarrow 0$ . As in the proof of Theorem 1.1,  $\{u_{n_k}\}$  is bounded in  $W_0^{1,4}(\Omega)$ . Going if necessary to a subsequence, we can assume that  $u_{n_k} \rightharpoonup u$  in  $W_0^{1,4}(\Omega)$ ,  $u_{n_k} \rightarrow u$  in  $L^s(\Omega)$  for  $1 < s < 22^*$  and  $u_{n_k} \rightarrow u$  almost everywhere on  $\Omega$ . Since  $\{u_{n_k}\}$  is bounded in  $L^{22^*}(\Omega)$ ,  $\{|u_{n_k}|^{22^*-2}u_{n_k}\}$  is bound in  $L^{4N/(3N+2)}(\Omega)$  and so

$$|u_{n_k}|^{22^*-2}u_{n_k} \rightharpoonup |u|^{22^*-2}u \quad \text{in } L^{4N/(3N+2)}(\Omega).$$

Then a standard argument shows that  $u$  is a critical point of  $I_{\mu}$  (see [26]).

We write  $v_{n_k} := u_{n_k} - u$ . The Brezis–Lieb lemma (see [8]) leads to

$$\begin{aligned} |\nabla u_{n_k}|_2^2 &= |\nabla u|_2^2 + |\nabla v_{n_k}|_2^2 + o(1), \\ |u_{n_k}|_{22^*}^{22^*} &= |u|_{22^*}^{22^*} + |v_{n_k}|_{22^*}^{22^*} + o(1). \end{aligned}$$

Since  $\langle I'_\mu(u_{n_k}), u_{n_k} \rangle \rightarrow 0$ , so we have

$$\begin{aligned} & \mu|\nabla v_{n_k}|_4^4 + |\nabla v_{n_k}|_2^2 + \frac{1}{2}|\nabla v_{n_k}^2|_2^2 - \beta|v_{n_k}|_{22^*}^{22^*} \\ & \rightarrow -\mu \int_\Omega |\nabla u|^4 dx - 2 \int_\Omega u^2 |\nabla u|^2 dx - \int_\Omega |\nabla u|^2 dx + \alpha \int_\Omega |u|^p dx + \beta \int_\Omega |u|^{22^*} dx \\ & = -\langle I'_\mu(u), u \rangle = 0. \end{aligned}$$

Therefore, we may assume that

$$\mu|\nabla v_{n_k}|_4^4 + |\nabla v_{n_k}|_2^2 + \frac{1}{2}|\nabla v_{n_k}^2|_2^2 \rightarrow b, \quad \beta|v_{n_k}|_{22^*}^{22^*} \rightarrow b.$$

By the Soblev inequality, we have

$$b \geq \frac{1}{2}|\nabla v_{n_k}^2|_2^2 \geq \frac{1}{2}S|v_{n_k}^2|_{2^*}^2 = \frac{1}{2}S|v_{n_k}|_{22^*}^4,$$

and so  $b \geq S(b/\beta)^{2/2^*}/2$ . Then  $b = 0$  or  $b \geq S^{N/2}/(2^{N/2}\beta^{(N-2)/2})$ .

Assume  $b \geq S^{N/2}/(2^{N/2}\beta^{(N-2)/2})$ . We have

$$\begin{aligned} c + o(1) &= I_\mu(u_{n_k}) - \frac{1}{4}\langle I'_\mu(u_{n_k}), u_{n_k} \rangle \\ &= \frac{1}{4}|\nabla u_{n_k}|_2^2 + \alpha \left(\frac{1}{4} - \frac{1}{p}\right)|u_{n_k}|_p^p + \beta \left(\frac{1}{4} - \frac{1}{22^*}\right)|u_{n_k}|_{22^*}^{22^*} \\ &\geq \alpha \left(\frac{1}{4} - \frac{1}{p}\right)|u_{n_k}|_p^p + \frac{\beta}{2N}|u_{n_k}|_{22^*}^{22^*} \\ &= \alpha \left(\frac{1}{4} - \frac{1}{p}\right)|u|_p^p + \frac{\beta}{2N} \left(\frac{b}{\beta} + |u|_{22^*}^{22^*}\right) + o(1) \\ &\geq \frac{S^{N/2}}{2N2^{N/2}\beta^{(N-2)/2}} + \frac{\beta}{2N}|u|_{22^*}^{22^*} - C_1\alpha|u|_{22^*}^p \end{aligned}$$

for some  $C_1 > 0$ . A direct computation shows that

$$\min_{t>0} \left( \frac{\beta}{2N} t^{22^*} - C_1\alpha t^p \right) = - \left( 1 - \frac{p}{22^*} \right) C_1^{22^*/(22^*-p)} (pN)^{p/(22^*-p)} \alpha^{22^*/(22^*-p)}$$

Setting  $\lambda := (1 - p/22^*)C_1^{22^*/(22^*-p)}(pN)^{p/(22^*-p)} > 0$  we have

$$(3.2) \quad c \geq \frac{S^{N/2}}{2N2^{N/2}\beta^{(N-2)/2}} - \lambda\alpha^{22^*/(22^*-p)},$$

which contradicts (3.1). So  $b = 0$ , and therefore  $u_{n_k} \rightarrow u$  in  $W_0^{1,4}(\Omega)$ . □

**PROOF OF THEOREM 1.2.** By Lemma 3.1, there exists  $\alpha^* > 0$  such that for every  $0 < \alpha < \alpha^*$  and  $c < 0$ , the functional  $I_\mu(u)$  satisfies the  $(PS)_c^*$  condition. Now, repeating the proof of the part (b) of Theorem 1.1 we can obtain the conclusion. □

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