Appendix 1. Sobolev Spaces

The space $\mathcal{L}^2(\Omega)$

Consider an open subset Ω of \mathbb{R}^n . The space $\mathcal{L}^2(\Omega)$ consists of functions f such that f^2 is Lebesgue integrable on Ω . The first result is well known.

Theorem 1

The space $\mathcal{L}^2(\Omega)$ is a Hilbert space with **inner product**

$$
(f,g)=\int_\Omega\ fg=\int_\Omega\ fg\ d\mu
$$

where μ is the *n*-dimensional Lebesgue measure.

Theorem 2

The space $\mathcal{L}^2(\Omega)$ is separable (See [Ad, Th 2.15, p 28]).

Theorem 3

 $C_0^{\infty}(\Omega)$ is dense in $\mathcal{L}^2(\Omega)$ (See [Ad, Th 2.13, p 28]).

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The one-dimensional case

Suppose Ω is a bounded open interval. The Sobolev spaces $H^m(\Omega)$ are subspaces of functions in $\mathcal{L}^2(\Omega)$ with weak derivatives up to order m in $\mathcal{L}^2(\Omega)$.

Definition

For f and g in $H^m(\Omega)$,

 $[f, g]_m = (f^{(m)}, g^{(m)})$ for $m = 0, 1, ...$

For $m \geq 1$, the bilinear form $[\cdot, \cdot]_m$ has all the properties of an inner product except that there exist functions $f \neq 0$ such that $[f, f]_m = 0$.

Definition

For f in $H^m(\Omega)$,

$$
|f|_m = \sqrt{[f, f]_m}
$$
 for $m = 0, 1, ...$

The function $|\cdot|_m$ is a semi-norm for $m \geq 1$.

The two-dimensional case

Suppose Ω is a bounded open convex subset of $I\!\!R^2.$ The Sobolev spaces $H^m(\Omega)$ are subspaces of functions in $\mathcal{L}^2(\Omega)$ with weak partial derivatives up to order m in $\mathcal{L}^2(\Omega)$.

Remark

It is not necessary to require that Ω be convex, but it is sufficient for our purpose. In the theory it is usually assumed that Ω is star shaped or has the cone property.

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Definition

For f and g in $H^m(\Omega)$,

$$
[f,g]_m = \sum_{i+j=m} (\partial_1^i \partial_2^j f, \partial_1^i \partial_2^j g) \text{ for } m = 0, 1, ...
$$

For $m \geq 1$ the bilinear form $[\cdot, \cdot]_m$ has all the properties of an inner product except that there exist functions $f \neq 0$ such that $[f, f]_m = 0$.

Definition

For f in $H^m(\Omega)$,

$$
|f|_m = \sqrt{[f, f]_m} \quad \text{for} \quad m = 0, 1, \dots
$$

The function $|\cdot|_m$ is a semi-norm for $m \geq 1$.

The boundary

Recall that a curve is called smooth if its parametrization has a continuous derivative. The boundary of Ω is called **piecewise smooth** if it consists of a finite number of smooth curves.

For a vector valued function r such that $r_i \in C^1[a, b]$ for $i = 1, 2$, the range C of r defines a smooth curve in the plane.

Suppose that C is a part of the boundary of Ω . A function f is Lebesgue integrable on C if $f \circ r \sqrt{(r'_1)^2 + (r'_2)^2}$ is Lebesgue integrable on the interval $[a, b]$.

A function f is in $\mathcal{L}^2(C)$ if f^2 is Lebesgue integrable over C. The inner product for $\mathcal{L}^2(\mathbf{C})$ is defined by

$$
(f,g)_C = \int_C fg \, ds = \int_a^b (f \circ r) (g \circ r) \sqrt{(r'_1)^2 + (r'_2)^2} .
$$

When necessary, we use the **notation** (f, g) _Ω and (f, g) _Γ to avoid confusion.

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Sobolev spaces of vector valued functions

Definition

$$
u \in \mathcal{L}^2(\Omega)^2 \text{ if } u_i \in \mathcal{L}^2(\Omega) \text{ for } i = 1, 2.
$$

\n
$$
u \in \mathcal{L}^2(\Gamma)^2 \text{ if } u_i \in \mathcal{L}^2(\Gamma) \text{ for } i = 1, 2.
$$

\n
$$
u \in H^k(\Omega)^2 \text{ if } u_i \in H^k(\Omega) \text{ for } i = 1, 2.
$$

\n
$$
[u, v]_{m,2} = [u_1, v_1]_m + [u_2, v_2]_m \text{ for } u \in \mathcal{L}^2(\Omega)^2 \text{ and } v \in \mathcal{L}^2(\Omega)^2.
$$

\n
$$
|u|_{m,2} = \sqrt{[u, u]_{m,2}} \text{ for } u \in \mathcal{L}^2(\Omega)^2.
$$

The function $|\cdot|_{m,2}$ is a semi-norm for $m \geq 1$.

When we need to distinguish between domains, we will use superscripts Ω and Γ in the cases of a double subscript, e.g. $\|\cdot\|_{m,2}^{\Omega}$ and $\|\cdot\|_{m,2}^{\Gamma}$.

General definitions and results

Suppose Ω is a bounded open interval or a bounded open convex subset of \mathbb{R}^2 .

Notation

 $H^0(\Omega) = \mathcal{L}^2(\Omega)$ and $H^0(\Omega)^2 = \mathcal{L}^2(\Omega)^2$.

Definition

The inner product for $H^m(\Omega)$ is defined by

$$
(f,g)_m = \sum_{k=0}^m [f,g]_k
$$
 for $m = 0, 1, ...$

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Definition

The norm for $H^m(\Omega)$ is defined by

$$
||f||_m = \sqrt{(f,g)_m}
$$
 for $m = 0, 1, ...$

Definition

The inner product for $H^m(\Omega)^2$ is defined by

$$
(f,g)_{m,2} = \sum_{k=0}^{m} [f,g]_{k,2}
$$
 for $m = 0, 1, ...$

Definition

The norm for $H^m(\Omega)^2$ is defined by

$$
||f||_{m,2} = \sqrt{(f,g)_{m,2}}
$$
 for $m = 0, 1, ...$

Theorem 4

The space $H^m(\Omega)$ is complete (See [Ad, Th 3.2, p 45]).

Theorem 5

 $C^m(\overline{\Omega})$ is dense in $H^m(\Omega)$ with respect to the norm of $H^m(\Omega)$. (See [OR, Th 2.10, p 53].)

Theorem 6

The space $H^m(\Omega)$ is separable (See [Ad, Th 3.5, p 47]).

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Theorem 7 (Rellich)

For m any nonnegative integer, the embedding of $H^{m+1}(\Omega)$ into $H^m(\Omega)$ is compact (See [Ad, Th 6.2, p 144]).

Notation

$$
\begin{array}{rcl}\n\partial^{\alpha} & = & \partial_1^{\alpha_1} \partial_2^{\alpha_2} \dots \partial_n^{\alpha_n}, \quad \text{where} \\
|\alpha| & = & \alpha_1 + \alpha_2 \cdots \alpha_n\n\end{array}
$$

and $|\alpha|$ denotes the order of the derivative.

Theorem 8 (Sobolev's lemma)

Let m be any nonnegative integer. If $u \in H^p(\Omega)$ where $p > n/2$, then $u \in C^m(\overline{\Omega})$ and

$$
\|\partial^{\alpha}u\|_{\sup}\leq\|u\|_{p}\quad\text{for}\quad|\alpha|\leq m.
$$

(See [OR, Th 3.10, p 80].)

Remarks

- 1. Theorems 4 to 8 are also true for vector valued functions. The proofs are all trivial.
- 2. When we need to distinguish between different domains, say Ω and Γ , they will appear as superscripts, for instance $\| \cdot \|_{k}^{\Omega}$ and $(f, g)_{m,2}^{\Gamma}$.

Appendix 2. Inequalities

The one-dimensional case

Proposition 1

Consider any $u \in C^1[0, 1]$. For any two points x and y in $[0, 1]$,

$$
|u(x)| \le ||u'|| + |u(y)|.
$$

Proof

Assuming that $x > y$ (without loss of generality), we have

$$
u(x) = \int_{y}^{x} u' + u(y).
$$

But $|\int_y^x f| \leq ||f||$ for any $f \in \mathcal{L}^2(0,1)$. This follows from the Cauchy-Schwartz inequality

$$
\left(\int_y^x fg\right)^2 \le \left(\int_y^x f^2\right) \left(\int_y^x g^2\right)
$$

by choosing $q = 1$. The rest is obvious.

Theorem 1

For any $u \in C^1[0,1]$ with a zero in $[0,1]$ we have

$$
||u|| \leq ||u'||.
$$

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Proof

Suppose $u(y) = 0$, then $|u(x)| \le ||u'||$ by Proposition 1.

Hence $||u||_{sup} \le ||u'||$. The rest is obvious since $||u|| \le ||u||_{sup}$.

Proposition 2

For any $u \in C^1[0,1], |u(0)| \leq \sqrt{2} ||u||_1$.

Proof

Let $g(x) = 1 - x$ and $v = gu$ and consider the fact that

$$
u(0) = v(0) = -\int_0^1 v' + v(1).
$$

Since $v(1) = 0$,

$$
|u(0)| = \left| \int_0^1 (u'g + ug') \right| \le ||u'|| ||g|| + ||u|| ||g'|| \le ||u'|| + ||u||.
$$

Using the inequality $(a+b)^2 \leq 2a^2 + 2b^2$, it follows that

$$
|u(0)|^2 \le 2||u'||^2 + 2||u||^2.
$$

The two-dimensional case

Suppose Ω is a bounded open convex subset of \mathbb{R}^2 with a piecewise smooth boundary. The following result is referred to as the Poincare-Friedrichs inequality or Friedrichs's inequality or Poincare's inequality.

Theorem 2

Suppose Σ is a part of the boundary of Ω with nonzero length. Denote the set

$$
\{u \in C^1(\bar{\Omega}) \, \big| \, u = 0 \text{ on } \Sigma\}
$$

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by $F(\Omega)$. There exists a constant c_F such that, for each $u \in F(\Omega)$,

$$
||u|| \leq c_F|u|_1.
$$

Proof

See e.g. [Br, p 30].

Corollary

Suppose Σ_1 and Σ_2 are parts of the boundary of Ω with nonzero length. Denote the set

$$
{u \in C^1(\bar{\Omega})^2 | u_1 = 0 \text{ on } \Sigma_1 \text{ and } u_2 = 0 \text{ on } \Sigma_2}
$$

by $F(\Omega)^2$. There exists a constant c_F such that for each $u \in F(\Omega)^2$,

$$
||u||_{0,2} \leq c_F|u|_{1,2}.
$$

Note that Σ_1 and Σ_2 may overlap and even be equal.

Theorem 3 (Korn's inequality)

Suppose b_B is the bilinear form for the Reissner-Mindlin plate. There exists a constant c_{Ω} such that

$$
|u|_{1,2}^2 \le c_\Omega b_B(u,u)
$$

for each $u \in V$.

Proof

See e.g. [Br, p 288-289].

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Appendix 3. Trace

The one-dimensional case

Recall that for each $u \in H^1(0,1)$, there exists a sequence $\{u_n\} \subset C^1[0,1]$ such that $||u_n - u||_1 \to 0$ as $n \to \infty$.

Theorem 1

For each $u \in H^1(0,1)$, there exists a unique real number γu with the following property: For each sequence $\{u_n\} \subset C^1[0,1]$ such that $||u_n - u||_1 \to 0$ as $n \to \infty$, we have

$$
\lim_{n\to\infty} u_n(0)=\gamma u.
$$

Proof

Due to Proposition 2 in Appendix 2, $\lim_{n\to\infty} u_n(0)$ exists for each sequence ${u_n} \subset C^1[0,1]$ such that $||u_n - u||_1 \to 0$ as $n \to \infty$. Also due to this proposition, the limit is independent of the choice of the sequence $\{u_n\}$.

Theorem 2

The mapping γ is linear and bounded. In fact,

 $|\gamma u| \leq \sqrt{2} ||u||_1$.

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Proof

The linearity follows from the properties of limits and the estimate from Proposition 2 in Appendix 2 by considering the limits.

Remark

The mapping γ is a bounded linear functional.

Theorem 3

For any $u \in H^1(0,1)$,

$$
||u|| \le ||u'|| + |\gamma u|.
$$

Proof

Consider any $u \in C^1[0,1]$. Proposition 1 in Appendix 2 implies that

 $||u||_{sup} \leq ||u'|| + |u(0)|.$

Consequently,

 $||u|| \leq ||u'|| + |\gamma u|.$

The same inequality holds for each $u \in H^1(0,1)$ since $C^1[0,1]$ is dense in $H^1(0,1)$.

The two-dimensional case

Definition (Trace operator γ)

For $u \in C(\overline{\Omega})$, the function γu is the restriction of the function u to Γ.

Theorem 4

The trace operator γ can be extended to a bounded linear operator mapping $H^1(\Omega)$ onto $L^2(\Gamma)$ and $\|\gamma u\|_{\Gamma} \leq K \|u\|_{1}^{\Omega}$.

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Proof

This result is a special case of results in [OR, p 141-142].

Definition

For $u \in H^1(\Omega)^2$, we define γu by

$$
\gamma u = \langle \gamma u_1, \gamma u_2 \rangle.
$$

Theorem 5

Suppose Ω is the open rectangle $0 < x_1 < 1$, $0 < x_2 < a$. Γ is the side where $x_2 = 0$ and $\gamma_0 u = u(\cdot, 0)$. Then there exists a constant K such that

$$
||u||_{\Omega} \le K|u|_{1}^{\Omega} + K||\gamma_0 u||_{\Gamma}
$$

for all $u \in H^1(\Omega)$.

Proof

Proposition 1 Appendix 2 implies that for each $x_2 \in [0, a]$,

$$
|u(x)|^2 \le 2a^2 \int_0^a \left[\partial_2 u(x_1, \cdot)\right]^2 + 2\left[u(x_1, 0)\right]^2.
$$

Therefore

$$
\int_0^a \left[u(x_1, \cdot) \right]^2 \le 2a^2 \int_0^a \left[\partial_2 u(x_1, \cdot) \right]^2 + 2 \left[u(x_1, 0) \right]^2.
$$

Integration with respect to x_1 yields

$$
||u||_{\Omega}^2 \le 2a^2 ||\partial_2 u||_{\Omega}^2 + 2||\gamma_0 u||_{\Gamma}^2.
$$

The result follows.

Appendix 4. The spaces $C^{k}(J;Y)$

Consider $J = (a, b)$ or $J = [a, b)$. Let Y be any Banach space and consider a function u with values in Y . Let t be any interior point of J .

Definition (Derivative)

Suppose there exists a $v \in Y$ such that

$$
\lim_{h \to 0} \|h^{-1}(u(t+h) - u(t)) - v\|_{Y} = 0,
$$

then v is the derivative of u at t. We write $u'(t)$ for the derivative.

It is obvious how to adapt the definition for the case $t = a$. The derivative (function) u' and the second order derivative u'' are defined in the usual way.

Notation

 $C^k([0,\infty);Y)$ and $C^k((0,\infty);Y)$

Appendix 5. Proofs

All the results and proofs are from [V4] and presented here for completeness.

Plate-beam system

Proposition 1

There exists a constant K_T such that

$$
||w||^2 + ||\phi||^2 \le K_T (||\phi'||^2 + ||w' - \phi||^2)
$$

for each $(w, \phi) \in T(0, 1) \times C^1[0, 1]$

Proof

Suppose it is not true. Then there exists a sequence $\{(w_n, \phi_n)\}\$ such that

$$
||w_n||^2 + ||\phi_n||^2 = 1,
$$

while

$$
\|\phi'_n\|^2 + \|w'_n - \phi_n\|^2 \to 0 \quad \text{as } n \to \infty.
$$

• We prove first that for n sufficiently large, ϕ_n does not have a zero.

Suppose ϕ_n does have a zero. Then $\|\phi_n\| \le \|\phi'_n\|$. We also have $\|w_n\| \le \|w'_n\|$ since $w_n(0) = 0$. Consequently

$$
||w_n|| \le ||w'_n|| \le ||w'_n - \phi_n|| + ||\phi_n|| \le ||w'_n - \phi_n|| + ||\phi'_n||.
$$

This implies that

$$
||w_n|| + ||\phi_n|| \le ||w'_n - \phi_n|| + ||\phi'_n||
$$
 for each *n*.

$$
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$$

This is a contradiction.

• We now show that $\|\phi_n\| > 1/2$ for n sufficiently large.

If it is not true, then

$$
||w_n|| \le ||w'_n|| \le ||w'_n - \phi_n|| + ||\phi_n|| \le 1/4 + 1/2 < 3/4
$$

for n sufficiently large. Consequently

$$
||w_n||^2 + ||\phi_n||^2 < 9/16 + 1/4 = 13/16 < 1.
$$

This is a contradiction.

• Next we show that $\int_0^1 \phi_n > 1/10$ for *n* sufficiently large.

We may assume without loss of generality that $\phi_n > 0$. Writing ϕ for ϕ_n , we have

 $\phi_{\text{max}} - \phi_{\text{min}} \le ||\phi'|| \le 1/20 \text{ and } \phi_{\text{max}} \le 21/20$

for n sufficiently large. Consequently

$$
\phi_{\min}^2 = \int_0^1 \phi_{\min}^2 = \int_0^1 [\phi_{\min}^2 - \phi^2] + \int_0^1 \phi^2
$$

=
$$
\int_0^1 \phi^2 - \int_0^1 [\phi^2 - \phi_{\min}^2] \ge 1/4 - 1/10 > 1/10.
$$

Therefore

$$
\int_0^1 \phi \ge \int_0^1 \phi_{\min} > 1/10.
$$

• $\int_0^1 w'_n > 0$ for *n* sufficiently large.

$$
\Big|\int_0^1 w'_n - \int_0^1 \phi_n\Big| \le \int_0^1 |w'_n - \phi_n| \le ||w' - \phi|| \le 1/20.
$$

• Finally we obtain a contradiction.

Since $\int_0^1 w'_n > 0$ and $w_n(0) = 0$, we have $w_n(1) > 0$ which is a contradiction. \Box

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Corollary

There exists a constant K such that

$$
||w||_1^2 + ||\phi||_1^2 \le K (||\phi'||^2 + ||w' - \phi||^2) .
$$

Proposition 2

 $||w||_{\Omega}^{2} + (||\psi||_{0,2}^{\Omega})^{2} \leq K (||\nabla w + \psi||_{0,2}^{\Omega})^{2} + K (|\psi|_{1,2}^{\Omega})^{2} + K ||\gamma_{0}\psi_{1}||_{I}^{2}$ for each $(w, \psi) \in T_1(\Omega) \times T_2(\Omega)$.

Proof

Since ψ_2 is zero on a part of the boundary, we may use the Friedrichs inequality $\|\psi_2\|_{\Omega} \leq c_F |\psi_2|_1^{\Omega}$. We also use

$$
\|\psi_1\|_{\Omega} \le c_1 |\psi_1|_1^{\Omega} + c_1 \|\gamma \psi_1\|_{I}
$$

(see Theorem 5 Appendix 3). Combining the two inequalities, we have

$$
\left(\|\psi\|_{0,2}^{\Omega}\right)^2 \leq c_2 \left(\|\psi\|_{1,2}^{\Omega}\right)^2 + c_2 \|\gamma\psi_1\|_{I}^2.
$$

Since w is zero on a part of the boundary, $||w||_{\Omega} \leq c_F |w|_{1}^{\Omega}$, using the Friedrichs inequality. Therefore

$$
||w||_{\Omega} \leq c_F |w|_{1}^{\Omega} = c_F ||\nabla w||_{0,2}^{\Omega} \leq c_F ||\nabla w + \psi||_{0,2}^{\Omega} + c_F ||\psi||_{0,2}^{\Omega}.
$$

Consequently

$$
\|w\|_{\Omega}^2 + \left(\|\psi\|_{0,2}^{\Omega}\right)^2 \leq K \left(\|\nabla w + \psi\|_{0,2}^{\Omega}\right)^2 + K \left(\|\psi\|_{0,2}^{\Omega}\right)^2
$$

$$
\leq K \left(\|\nabla w + \psi\|_{0,2}^{\Omega}\right)^2 + K \left(\|\psi\|_{1,2}^{\Omega}\right)^2 + K \|\gamma_0\psi_1\|_I^2,
$$

where K is a generic constant depending on c_1 and c_F .

Corollary

$$
\left(\|w\|_{1}^{\Omega}\right)^{2} + \left(\|\psi\|_{1,2}^{\Omega}\right)^{2} \leq K\left(\|\nabla w + \psi\|_{0,2}^{\Omega}\right)^{2} + K\left(\|\psi\|_{1,2}^{\Omega}\right)^{2} + K\|\gamma_{0}\psi_{1}\|_{I}^{2}.
$$

$$
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$$

Theorem 1

The inertia space X is a separable Hilbert space and V is dense in X .

Proof

Since $C_0^{\infty}(\Omega)$ is dense in $\mathcal{L}^2(\Omega)$, we have that $T_1(\Omega)$ is dense in $\mathcal{L}^2(\Omega)$ and $T_2(\Omega)$ is dense in $\mathcal{L}^2(\Omega)^2$. Also $T(I)$ is dense in $\mathcal{L}^2(I)$. We conclude that the space T is dense in the space X equipped with the inner product

$$
(u, v)_{\mathcal{L}^2} = (u_1, v_1)_{\Omega} + (u_2, v_2)_{0,2}^{\Omega} + \sum_{j=3}^6 (u_j, v_j)_I.
$$

The norms $||u||_X$ and $||u||_{\mathcal{L}^2}$, where

$$
||u||_X^2 = c(u, u)
$$
 and $||u||_{\mathcal{L}^2}^2 = (u, u)_{\mathcal{L}^2}$,

are equivalent. Therefor T is a dense subset of X with respect to the inertia norm and $T \subset V \subset X$.

Theorem 2 (Korn's inequality)

$$
b_B(u_2, u_2) \ge K |u_2|_{1,2}^2
$$
 for each $u \in T$.

Theorem 3

There exist constants c_1 and c_2 such that

$$
||u||_X \le c_1 ||u||_{H^1} \le c_2 ||u||_V
$$

for each $u \in T$.

Proof

From the corollary to Proposition 1, we have

$$
||u_3||_1^2 + ||u_4||_1^2 + ||u_5||_1^2 + ||u_6||_1^2 \leq C_{\Gamma}b_{\Gamma}(u, u).
$$

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Rewrite the corollary to Proposition 2.

$$
\left(\|u_1\|_1^{\Omega}\right)^2 + \left(\|u_2\|_{1,2}^{\Omega}\right)^2 \leq K \left(\|\nabla u_1 + u_2\|_{0,2}^{\Omega}\right)^2 + K \left(\|u_2\|_{1,2}^{\Omega}\right)^2 + K \|\gamma_0 u_{21}\|_I^2.
$$

Combining the results, we have

$$
||u||_{H^1}^2 \leq C (||\nabla u_1 + u_2||_{0,2}^{\Omega})^2 + C (|u_2|_{1,2}^{\Omega})^2 + Cb_{\Gamma}(u,u),
$$

using Proposition 1 again. Now use Korn's inequality.

Nonmodal damping

Theorem 1

For each $y \in H$ there exists a unique $x \in H$ such that

$$
x_2 = y_1
$$

$$
b(x_1, v) + a(x_2, v) = -c(y_2, v) \text{ for each } v \in V.
$$

Proof

Let

$$
g(v) = -a(y_1, v) - c(y_2, v)
$$
 for each $v \in V$,

then q is clearly a linear functional on V . Furthermore

 $|g(v)| \le K ||y_1||_V ||v||_V + c||y_2||_X ||v||_X$ for each $v \in V$,

showing that g is bounded. The result follows from the well known theorem of Riesz.

Theorem 2

Λ is bounded.

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Proof

Consider any $y \in H$ and suppose $x = \Lambda y$.

$$
x_2 = y_1
$$

$$
b(x_1, v) + a(x_2, v) = -c(y_2, v) \text{ for each } v \in V.
$$

It follows that

$$
||x_2||_X \le K||x_2||_V = ||y_1||_V
$$

and

$$
||x_1||_V^2 = b(x_1, x_1)
$$

\n
$$
\leq |a(x_2, x_1)| + |c(y_2, x_1)|
$$

\n
$$
\leq K||x_2||_V ||x_1||_V + K||y_2||_X ||x_1||_V
$$

Consequently

$$
||x_1||_V \le K||y_1||_V + K||y_2||_X \le K||y||_H.
$$

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