

Resonance at Two Consecutive Eigenvalues for Semilinear Elliptic Equations (*).

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Abstract. – *The solvability of the Dirichlet problem for a semilinear elliptic equation is studied in some situations where the classical resonance conditions of Landesman and Lazer may fail.*

1. – Introduction.

Let Ω be a bounded domain in \mathbf{R}^n , with a smooth boundary, and let $g: \Omega \times \mathbf{R} \rightarrow \mathbf{R}$ be a nonlinear function satisfying the Carathéodory conditions. We consider the Dirichlet problem

$$(1.1) \quad -\Delta u = g(x, u) + h(x), \quad \text{in } \Omega,$$

$$(1.2) \quad u = 0, \quad \text{on } \text{bdry}\Omega,$$

where $h \in L^p(\Omega)$, for some suitable $p \geq 2$, is given.

It is well known that, when g grows at most linearly with respect to its second variable, the solvability of (1.1)-(1.2) depends on the interaction of the ratio $g(x, s)/s$ with the spectrum $\sigma = \{\lambda_N: N = 1, 2, \dots\}$ of $-\Delta$ in $H_0^1(\Omega)$. The conditions imposed on g are usually classified as nonresonant or resonant, according as they yield the solvability of (1.1)-(1.2) for every h or not. Of course, in the linear case $g(x, s) = \lambda s$, such conditions reduce to $\lambda \notin \sigma$ or to $\lambda = \lambda_N \in \sigma$; accordingly, by the Fredholm alternative, (1.1)-(1.2) has a solution for every h , or has a solution if and only if $h \in E_N^\perp$, where E_N denotes the eigenspace corresponding to the eigenvalue λ_N . Many papers have been devoted to the obtention of nonresonance conditions (see e.g. [Do], [B-N], [A-M], [B-DF], [M-Wa], [DF-G], [Gos], [C-O]), as well as of resonance conditions (see e.g. [L-L], [A-L-P], [B-B-F], [F-F]). Here, we are concerned with the latter situation, that is with the resonant case. Namely, for a pair of consecutive eigenvalues $\lambda_N < \lambda_{N+1}$, we assume

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$$(i_1) \lambda_N s^2 \leq sg(x, s) \leq \lambda_{N+1} s^2, \quad \text{for } |s| \geq r > 0 \text{ and a.e. } x \in \Omega,$$

and

$$(i_2) h \in E_N^\perp \cap E_{N+1}^\perp.$$

Comparing with the linear case, one could expect that (i_1) and (i_2) imply the existence of solutions for (1.1)-(1.2). Yet, generally speaking, this is not true, even if (i_1) is assumed to hold for every s and a.e. $x \in \Omega$, as is shown by a counterexample in [I-N]. Therefore, some further conditions on the behaviour of g must be imposed. Here, to conclude solvability, in addition to (i_1) and (i_2) , we assume, if $N > 1$,

$$(i_3) \operatorname{ess\,inf}_{x \in \Omega'} sg(x, s) - \lambda_N s^2 \rightarrow +\infty, \quad \text{as } s \rightarrow +\infty \text{ or } s \rightarrow -\infty,$$

and

$$(i_4) \lambda_{N+1} s^2 - \operatorname{ess\,sup}_{x \in \Omega''} sg(x, s) \rightarrow +\infty, \quad \text{as } s \rightarrow +\infty \text{ or } s \rightarrow -\infty,$$

where Ω' and Ω'' are sufficiently large subsets of Ω . While, if $N = 1$, we assume either

$$(i_3'') \operatorname{ess\,inf}_{x \in \Omega'} sg(x, s) - \lambda_1 s^2 \rightarrow +\infty, \quad \text{as } |s| \rightarrow +\infty,$$

where Ω' is a sufficiently large subset of Ω , or

$$(i_3''') sg(x, s) - \lambda_1 s^2 \geq 0, \quad \text{for } s \in \mathbf{R} \text{ and a.e. } x \in \Omega.$$

The special assumptions considered with respect to the first eigenvalue λ_1 are due to the fact that each nonzero eigenfunction in E_1 has a definite sign in Ω , while in E_N , with $N > 1$, each nonzero eigenfunction changes sign on subsets of Ω of positive measure. We recall that (i_3''') was already assumed in [DF-N], [I-N-W], [Gu], [D-T], but it was always coupled with a nonresonance condition with respect to the second eigenvalue λ_2 .

We point out that, under (i_1) , (i_3) , (respectively (i_3') , or (i_3''')) and (i_4) , it may happen that

$$g_-(x) = \limsup_{s \rightarrow -\infty} (g(x, s) - \lambda_N s) = 0, \quad \text{a.e. in } \Omega,$$

and

$$g_+(x) = \liminf_{s \rightarrow +\infty} (g(x, s) - \lambda_N s) = 0, \quad \text{a.e. in } \Omega,$$

as well as

$$\gamma_-(x) = \limsup_{s \rightarrow -\infty} (\lambda_{N+1} s - g(x, s)) = 0, \quad \text{a.e. in } \Omega,$$

and

$$\gamma_+(x) = \liminf_{s \rightarrow +\infty} (\lambda_{N+1} s - g(x, s)) = 0, \quad \text{a.e. in } \Omega.$$

So that the classical Landesman-Lazer conditions [L-L] may fail, both at the eigenvalue λ_N and at the eigenvalue λ_{N+1} , since they require respectively

$$\int_{\Omega} g_+ v^+ - \int_{\Omega} g_- v^- > \int_{\Omega} h v \quad (= 0, \text{ by } (i_2)),$$

for all $(0 \neq) v \in E_N$, and

$$\int_{\Omega} \gamma_+ w^+ - \int_{\Omega} \gamma_- w^- > \int_{\Omega} h w \quad (= 0, \text{ by } (i_2)),$$

for all $(0 \neq) w \in E_{N+1}$, where $u^+ = \max\{u, 0\}$ and $u^- = \max\{-u, 0\}$ (the element of volume dx is omitted in the above integrals).

On the other hand, conditions (i_1) , (i_3) , (respectively (i'_3)) and (i_4) imply the validity of the Ahmad-Lazer-Paul conditions [A-L-P], with respect to λ_N and λ_{N+1} . Namely, if $G(x, s)$ denotes the primitive $\int_{[0, s]} g(x, t) dt$, we have

$$\lim_{\|v\| \rightarrow +\infty} \int_{\Omega} (G(x, v(x)) - (\lambda_N/2)|v(x)|^2) dx = +\infty \quad (\text{by } (i_3)),$$

where $v \in E_N$, and

$$\lim_{\|w\| \rightarrow +\infty} \int_{\Omega} ((\lambda_{N+1}/2)|w(x)|^2 - G(x, w(x))) dx = +\infty \quad (\text{by } (i_4)),$$

where $w \in E_{N+1}$ (here, $\|\cdot\|$ denotes any norm in E_N and E_{N+1}). Yet, to the best of our knowledge, it remains an open problem to establish the existence of solutions to (1.2)-(1.2), under (i_1) , (i_2) and the Ahmad-Lazer-Paul conditions, both at λ_N and at λ_{N+1} . So that our results can be regarded as (partial) contributions in this direction. Other papers related to these questions are [T], [Gon], [Ca], [Co].

Actually, our results are more in the spirit of those obtained in [F-K] (see also [He], [F-H], [Dr], [W], [Hi]). But, in all these papers resonance occurs only at the eigenvalue λ_N , since the function g is required to satisfy a nonresonance condition with respect to the eigenvalue λ_{N+1} , namely, it is always assumed that, for some $\delta > 0$,

$$sg(x, s) \leq (\lambda_{N+1} - \delta)s^2, \quad \text{for } |s| \geq r > 0 \text{ and a.e. } x \in \Omega.$$

On the contrary, under our assumptions double resonance (at λ_N and at λ_{N+1}) may arise.

Moreover, as a consequence of our main theorems, in the case $g(x, s) = g(s)$, $g(0) = 0$ and $g \in C^1(\mathbf{R})$, we can replace conditions (i_1) , (i_3) and (i_4) with the following

$$(i_5) \quad \lambda_N \leq g'(s) \leq \lambda_{N+1}, \quad \text{for } s \in \mathbf{R},$$

and again conclude solvability, for any h satisfying (i_2) . In this way, we complete some known results, which relate the solvability of (1.1)-(1.2) to the location of the

range $R(g')$ of g' with respect to the spectrum σ . Indeed, it is well-known ([Do], [M₁]) that if $\text{cl } R(g') \cap \sigma = \emptyset$, then (1.1)-(1.2) is uniquely solvable for every h , whereas if $\text{int } R(g') \cap \sigma \neq \emptyset$, then there exist h such that (1.1)-(1.2) has more than one solution [Da]. Now we can say that if $\text{int } R(g') \cap \sigma = \emptyset$, then (1.1)-(1.2) has at least one solution for any h satisfying (i₂), even if $R(g') \cap \sigma \neq \emptyset$. In this way we also extend to a more general framework a result in [Di], obtained in the study of periodic solutions of a second order ordinary differential equation, by a technique which strongly relies upon the one dimensional character of the problem. It is also worthy to mention that, even if, under (i₅), G is a convex function, our result is independent from those obtained by methods based on convex analysis, like e.g. in [M-Wi].

Finally, we observe that using the theorems stated in the next section one can easily obtain some nonresonance results for problem (1.1)-(1.2), which recover previous ones contained in [O-Z₁], [O-Z₃].

2. - The existence results.

The case of 2m-th order elliptic equations.

Let Ω be a bounded domain in \mathbf{R}^n , with a boundary of class C^{2m} , with $m \geq 1$, and let

$$\mathcal{L}u = \sum_{0 \leq |i|, |j| \leq m} (-1)^{|j|} D^j(a_{ij}(x) D^i u),$$

be a symmetric uniformly strongly elliptic differential operator of order $2m$, acting on functions u defined on Ω . The coefficients a_{ij} are real value functions defined on $\text{cl } \Omega$, with $a_{ij} \in C^{|j|}(\text{cl } \Omega)$, for $0 \leq |i|, |j| \leq m$. We are concerned with the weak solvability of the Dirichlet problem

$$\mathcal{L}u = f(x, u) + h(x), \quad \text{in } \Omega,$$

$$\partial^i u / \partial n^i = 0, \quad \text{for } 0 \leq i \leq m-1, \quad \text{on bdy } \Omega,$$

where $\partial/\partial n$ denotes the differentiation with respect to the outward normal to the boundary. We assume that $h \in L^2(\Omega)$ and $f: \Omega \times \mathbf{R} \rightarrow \mathbf{R}$ satisfies the Carathéodory conditions and

(h₁) *there exist $a > 0$ and $b \in L^2(\Omega)$ such that $|f(x, s)| \leq a|s| + b(x)$, for $s \in \mathbf{R}$ and a.e. $x \in \Omega$.*

In order to study the above problem, we consider the operator $L: D(L) \subset L^2(\Omega) \rightarrow L^2(\Omega)$, with domain $D(L) = H^{2m}(\Omega) \cap H_0^m(\Omega)$, induced by \mathcal{L} . It is known (see e.g. [F], [DF]) that L is a (densely defined) self-adjoint linear operator, having a closed range $R(L)$ and a spectrum $\sigma(L)$ made up of an increasing sequence $\{\lambda_N\}$ of real eigenvalues, with $\lambda_N \rightarrow +\infty$, as $N \rightarrow +\infty$. Moreover, the corresponding eigenspaces $N(L - \lambda_N)$ are finite dimensional.

From now on, we suppose that 0 is an eigenvalue and we denote by μ_1 the minimal positive eigenvalue (this is a model situation which one can always reduce to in the study of resonance problems between two consecutive eigenvalues $\lambda_N < \lambda_{N+1}$). We also indicate by $K: R(L) \rightarrow R(L)$ the right inverse of L , which is compact. For each real valued function u defined on Ω , we define $\Omega^-(u) = \{x \in \Omega: u(x) < 0\}$ and $\Omega^+(u) = \{x \in \Omega: u(x) > 0\}$. The following assumptions are then considered:

(h₂) for every $v \in N(L) - \{0\}$, the sets $\Omega^\pm(v)$ have both positive measure

and

(h₃) for every $w \in N(L - \mu_1) - \{0\}$, the sets $\Omega^\pm(w)$ have both positive measure.

THEOREM 1. - Let (h₁), (h₂), (h₃) and

(h₄) $0 \leq sf(x, s) \leq \mu_1 s^2$, for $|s| \geq r > 0$ and a.e. $x \in \Omega$,

hold. Moreover, assume that there exist subsets Ω' and Ω'' of Ω , with

(h₅) $\text{meas}(\Omega' \cap \Omega^-(v)) > 0$ and $\text{meas}(\Omega' \cap \Omega^-(v)) > 0$, for every $v \in N(L) - \{0\}$

and

(h₆) $\text{meas}(\Omega'' \cap \Omega^-(w)) > 0$ and $\text{meas}(\Omega'' \cap \Omega^-(w)) > 0$, for every $w \in N(L - \mu_1) - \{0\}$,

such that

(h₇) $\text{ess inf}_{x \in \Omega'} sf(x, s) \rightarrow +\infty$, as $s \rightarrow +\infty$ or $s \rightarrow -\infty$,

and

(h₈) $\mu_1 s^2 - \text{ess sup}_{x \in \Omega''} sf(x, s) \rightarrow +\infty$, as $s \rightarrow +\infty$ or $s \rightarrow -\infty$.

Then equation

$$(2.1) \quad Lu = f(x, u) + h,$$

has at least one solution $u \in H^{2m}(\Omega) \cap H_0^m(\Omega)$, for each $h \in L^2(\Omega)$ such that

(h₉) $h \in N(L)^\perp \cap N(L - \mu_1)^\perp$.

REMARK 1. - A preliminary version of Theorem 1 has been presented in [O]. Its proof combines topological degree methods with some technical arguments introduced in [O-Z₁] and refined in [O-Z₃]. The main effort is devoted to the obtention of a priori bounds for the L^2 -norm of the term $f(x, u; \lambda)$ (cf. relation (2.15)). We also point out that, even if here we confine ourselves to selfadjoint problems, nevertheless our

technique can be adapted to the treatment of some classes of nonselfadjoint problems as well. Some results in this direction are contained in [O-Z₂] and [A-O-Z].

PROOF. - We use the Leray-Schauder continuation theorem as stated in [M₂, Th. IV.5]. We set $A: L^2(\Omega) \rightarrow L^2(\Omega)$, $A = \nu I$, with $\nu \in]0, \mu_1[$, and $N: L^2(\Omega) \rightarrow L^2(\Omega)$, $Nu = f(\cdot, u) + h$, $u \in L^2(\Omega)$. Clearly, L is a Fredholm mapping of index zero, A and N are L -completely continuous and the kernel $N(L - A) = \{0\}$. Then equation (2.1) will have a solution $u \in D(L)$, if a constant $R > 0$ can be found such that, for every $u \in D(L)$ satisfying, for some $\lambda \in]0, 1[$, the equation

$$(2.1_\lambda) \quad Lu = (1 - \lambda)Au + \lambda Nu,$$

it results

$$(2.2) \quad |u|_{L^2} < R.$$

Henceforth, in the process of this proof, the L^2 -scalar product $(\cdot, \cdot)_{L^2}$ and the L^2 -norm $|\cdot|_{L^2}$ will be simply denoted by (\cdot, \cdot) and $|\cdot|$, respectively. Setting

$$f(x, s; \lambda) = (1 - \lambda)\nu s + \lambda f(x, s),$$

equation (2.1_λ) can be rewritten in the form

$$(2.1_\lambda) \quad Lu = f(x, u; \lambda) + \lambda h.$$

Using (h₄), (h₇) and (h₈), we can easily construct (see e.g. [O-Z₁]) two continuous, non-decreasing and sublinear functions $\alpha^\pm: \mathbf{R} \rightarrow [0, +\infty[$ such that

$$\alpha^-(s) \leq sf(x, s), \quad \text{for } |s| \geq r \text{ and a.e. } x \in \Omega',$$

and

$$sf(x, s) \leq \mu_1 s^2 - \alpha^+(s), \quad \text{for } |s| \geq r \text{ and a.e. } x \in \Omega'',$$

with

$$\alpha^\pm(s) \rightarrow +\infty, \quad \text{as } s \rightarrow +\infty, \quad \text{and} \quad \alpha^\pm(s) = 0, \quad \text{for } s \leq 0,$$

if (h₇) and (h₈) hold at $+\infty$ (the other cases being treated similarly). Accordingly, conditions (h₄), (h₇) and (h₈) can be formulated as

$$\alpha^-(\chi_{\Omega'}(x)s) \leq sf(x, s) \leq \mu_1 s^2 - \alpha^+(\chi_{\Omega''}(x)s), \quad \text{for } |s| \geq r \text{ and a.e. } x \in \Omega,$$

where $\chi_{\Omega'}$ and $\chi_{\Omega''}$ stand for the characteristic functions of Ω' and Ω'' , respectively. Hence, it follows

$$(2.3) \quad \alpha^-(\chi_{\Omega'}(x)s) \leq sf(x, s; \lambda) \leq \mu_1 s^2 - \alpha^+(\chi_{\Omega''}(x)s),$$

for $|s| \geq r$, a.e. $x \in \Omega$ and $\lambda \in [0, 1]$.

We claim that (2.3) and (h₁) yield, for some function $c \in L^1(\Omega)$,

$$(2.4) \quad sf(x, s; \lambda) \geq (1/\mu_1)|f(x, s; \lambda)|^2 + \beta^+(\chi_{\Omega'}(x)f(x, s; \lambda)) - c(x),$$

for $s \in \mathbf{R}$, a.e. $x \in \Omega$ and $\lambda \in [0, 1]$, with $\beta^+ : \mathbf{R} \rightarrow [0, +\infty[$ a continuous sublinear function such that

$$\beta^+(s) \rightarrow +\infty, \quad \text{as } s \rightarrow +\infty, \quad \text{and} \quad \beta^+(s) = 0, \quad \text{for } s \leq 0.$$

In fact, by (2.3), we have

$$\text{sign}(s)f(x, s; \lambda) = |f(x, s; \lambda)| \leq \mu_1 |s|,$$

for $|s| \geq r$, a.e. $x \in \Omega$ and $\lambda \in [0, 1]$. Multiplying (2.3) by $(1/\mu_1)f(x, s; \lambda)/s = (1/\mu_1)|f(x, s; \lambda)|/|s|$, we get

$$(2.5) \quad sf(x, s; \lambda) \geq (1/\mu_1)|f(x, s; \lambda)|^2 + \alpha^+(\chi_{\Omega^r}(x)s)|f(x, s; \lambda)|/(\mu_1|s|),$$

for $|s| \geq r$, a.e. $x \in \Omega$ and $\lambda \in [0, 1]$. Suppose $s \geq r$ and $x \in \Omega''$. We prove that, for some constant $c_1 > 0$,

$$(2.6) \quad sf(x, s; \lambda) \geq (1/\mu_1)|f(x, s; \lambda)|^2 + (1/2)\alpha^+(|f(x, s; \lambda)|/\mu_1) - c_1,$$

for $s \geq r$, a.e. $x \in \Omega''$ and $\lambda \in [0, 1]$. Indeed, if (x, s, λ) is such that

$$(0 \leq) f(x, s; \lambda) < (1/2)\mu_1 s,$$

it is

$$sf(x, s; \lambda) \geq (2/\mu_1)|f(x, s; \lambda)|^2 \geq (1/\mu_1)|f(x, s; \lambda)|^2 + (1/2)\alpha^+(f(x, s; \lambda)/\mu_1) - c_1,$$

recalling that, since α^+ is sublinear, there exists a constant $c_1 > 0$ such that $(1/2)\alpha^+(\xi/\mu_1) \leq (1/\mu_1)\xi^2 + c_1$, for every ξ . Whereas, if (x, s, λ) is such that

$$\mu_1 s \geq f(x, s; \lambda) \geq (1/2)\mu_1 s (\geq 0),$$

by (2.5) and α^+ non-decreasing, we get

$$sf(x, s; \lambda) \geq (1/\mu_1)|f(x, s; \lambda)|^2 + (1/2)\alpha^+(f(x, s; \lambda)/\mu_1).$$

Hence, (2.6) follows, setting $\beta^+(\xi) = (1/2)\alpha^+(\xi/\mu_1)$. Note that, for $s \leq -r$ and a.e. $x \in \Omega$, or $s \geq r$ and a.e. $x \in \Omega - \Omega''$, (2.5) simply reads as

$$sf(x, s; \lambda) \geq (1/\mu_1)|f(x, s; \lambda)|^2,$$

by the properties of α^+ . Hence (2.6) holds for $|s| \geq r$, a.e. $x \in \Omega$. Finally, (2.4) is proved, using (h₁).

By (2.4), we also derive, for every $u \in D(L)$ and $\lambda \in [0, 1]$,

$$(2.7) \quad u(x)f(x, u(x); \lambda) \geq (1/\mu_1)|f(x, u(x); \lambda)|^2 + \beta^+(\chi_{\Omega^r}(x)f(x, u(x); \lambda)) - c(x),$$

for a.e. $x \in \Omega$. Integrating (2.7) on Ω and using the properties of β^+ , we find

$$(2.8) \quad (u, f(\cdot, u; \lambda)) \geq (1/\mu_1)|f(\cdot, u; \lambda)|^2 + \int_{\Omega^r} \beta^+(f(x, u(x); \lambda)) dx - \int_{\Omega} c(x) dx,$$

for every $u \in D(L)$ and $\lambda \in [0, 1]$.

Let $u \in D(L)$ be a possible solution to (2.1) $_{\lambda}$, for some $\lambda \in]0, 1[$. Denote by

$$P, Q: L^2(\Omega) \rightarrow L^2(\Omega),$$

the orthogonal projections onto $N(L)$ and $N(L - \mu_1)$, respectively, and set, for simplicity,

$$\varphi = f(\cdot, u; \lambda).$$

Clearly, it is

$$P\varphi = 0.$$

Applying the operator K to both sides of (2.1) $_{\lambda}$, we get, as $\varphi, h \in R(L)$ and $KL = I - P$,

$$(2.9) \quad u - Pu = K\varphi + \lambda Kh.$$

We want to bound $|\varphi|$. Multiplying (2.9) by φ , and using $\varphi \in R(L) = N(L)^\perp$, K symmetric and (h₉), we find

$$\begin{aligned} (u - Pu, \varphi) &= (u, \varphi) = (K\varphi, \varphi) + \lambda(Kh, \varphi) = \\ &= (KQ\varphi + K(I - Q)\varphi, Q\varphi + (I - Q)\varphi) + \lambda(Kh, Q\varphi + (I - Q)\varphi) = \\ &= (KQ\varphi, Q\varphi) + 2(KQ\varphi, (I - Q)\varphi) + (K(I - Q)\varphi, (I - Q)\varphi) + \lambda(h, KQ\varphi) + \lambda(Kh, (I - Q)\varphi) = \\ &= (1/\mu_1)|Q\varphi|^2 + (2/\mu_1)(Q\varphi, (I - Q)\varphi) + (K(I - Q)\varphi, (I - Q)\varphi) + \\ &+ (\lambda/\mu_1)(h, Q\varphi) + \lambda(Kh, (I - Q)\varphi) = \\ &= (1/\mu_1)|Q\varphi|^2 + (K(I - Q)\varphi, (I - Q)\varphi) + \lambda(Kh, (I - Q)\varphi). \end{aligned}$$

Denoting by μ_2 the smallest (positive) eigenvalue of L greater than μ_1 , we obtain, using the Cauchy-Schwarz inequality,

$$(2.10) \quad (u, \varphi) \leq (1/\mu_1)|Q\varphi|^2 + (1/\mu_2)|(I - Q)\varphi|^2 + |Kh| |(I - Q)\varphi|.$$

On the other hand, by (2.8), as $\beta^\pm \geq 0$, we get

$$(2.11) \quad (1/\mu_1)|Q\varphi|^2 + (1/\mu_1)|(I - Q)\varphi|^2 - \int_{\Omega} c(x) dx = (1/\mu_1)|\varphi|^2 - \int_{\Omega} c(x) dx \leq (u, \varphi).$$

A comparison between (2.10) and (2.11) yields

$$(\mu_1^{-1} - \mu_2^{-1})|(I - Q)\varphi|^2 - |Kh| |(I - Q)\varphi| - \int_{\Omega} c(x) dx \leq 0,$$

and then, for some constant $c_2 > 0$,

$$(2.12) \quad |(I - Q)\varphi| \leq c_2.$$

Hence, using (2.8) and (2.10) again, we have

$$(2.13) \quad \int_{\Omega'} \beta^+(f(x, u(x); \lambda)) dx \leq (\mu_2^{-1} - \mu_1^{-1}) |(I - Q)\varphi|^2 + |Kh| |(I - Q)\varphi| + \\ + \int_{\Omega} c(x) dx \leq 0 + |Kh| c_2 + \int_{\Omega} |c(x)| dx = c_3.$$

Now, we assume the existence of a sequence $\{u_n\}$ of solutions to (2.1 _{λ}), with $\lambda = \lambda_n$, such that

$$|Q\varphi_n| \rightarrow +\infty,$$

where $\varphi_n = f(\cdot, u_n; \lambda_n)$. Then, since $N(L - \mu_1)$ is finite dimensional, possibly passing to a subsequence, we get, as $n \rightarrow +\infty$,

$$Q\varphi_n / |Q\varphi_n| \rightarrow w \in N(L - \mu_1),$$

and hence, by (2.12),

$$\varphi_n / |Q\varphi_n| = Q\varphi_n / |Q\varphi_n| + (I - Q)\varphi_n / |Q\varphi_n| \rightarrow w.$$

Moreover, possibly passing to a further subsequence,

$$\varphi_n(x) / |Q\varphi_n| \rightarrow w(x), \quad \text{as } n \rightarrow +\infty, \text{ a.e. in } \Omega.$$

Further, by (h₃) and $|w| = 1$, the sets $\Omega^\pm(w)$ have both positive measure. Thus, we have, in particular,

$$\varphi_n(x) \rightarrow +\infty, \quad \text{as } n \rightarrow +\infty,$$

in $\Omega^+(w)$ and then

$$(2.14) \quad \beta^+(\varphi_n(x)) \rightarrow +\infty, \quad \text{as } n \rightarrow +\infty,$$

in $\Omega'' \cap \Omega^+(w)$, with $\Omega'' \cap \Omega^+(w)$ having positive measure by (h₆). On the other hand, as $\beta^+ \geq 0$, it is by (2.13)

$$\int_{\Omega'' \cap \Omega^+(w)} \beta^+(\varphi_n(x)) dx \leq \int_{\Omega'} \beta^+(\varphi_n(x)) dx \leq c_3;$$

so that, by Fatou's lemma, we could conclude that the function

$$\liminf_{n \rightarrow +\infty} \beta^+(\varphi_n(\cdot)),$$

is integrable on $\Omega'' \cap \Omega^+(w)$: thus contradicting (2.14). This implies the existence of a constant $c_4 > 0$, independent of u and λ , such that

$$(2.15) \quad |\varphi|_{L^2} = |f(x, u; \lambda)|_{L^2} \leq c_4.$$

Since $K: R(L) \rightarrow R(L)$ is continuous, from (2.9) and (2.15), we derive

$$(2.16) \quad |u - Pu| \leq (1/\mu_1)|\varphi| + \lambda|Kh| \leq (1/\mu_1)c_4 + |Kh| = c_5.$$

Now, in order to bound $|Pu|$, assume, by contradiction, that there exists a sequence $\{u_n\}$ of solutions to (2.1 _{λ}), with $\lambda = \lambda_n$, such that

$$|Pu_n| \rightarrow +\infty, \quad \text{as } n \rightarrow +\infty.$$

Since $N(L)$ is finite dimensional, arguing as above, we get, possibly for a subsequence,

$$u_n(x)/|Pu_n| \rightarrow v(x), \quad \text{as } n \rightarrow +\infty, \text{ a.e. in } \Omega,$$

for some $v \in N(L)$, with $|v| = 1$. Since, by (h₂) and $|v| = 1$, the sets $\Omega^\pm(v)$ have both positive measure, we obtain, in particular,

$$u_n(x) \rightarrow +\infty, \quad \text{as } n \rightarrow +\infty,$$

in $\Omega^+(v)$ and then

$$(2.17) \quad \alpha^-(u_n(x)) \rightarrow +\infty, \quad \text{as } n \rightarrow +\infty,$$

in $\Omega' \cap \Omega^+(v)$, with $\Omega' \cap \Omega^+(v)$ having positive measure by (h₅). From the right hand side of (2.3), using (h₁), we derive, for some function $d \in L^1(\Omega)$,

$$\alpha^-(\chi_{\Omega'}(x)s) - d(x) \leq sf(x, s; \lambda),$$

for $s \in \mathbf{R}$, a.e. $x \in \Omega$ and $\lambda \in [0, 1]$. Accordingly, using $P\varphi = 0$, we obtain

$$\begin{aligned} \int_{\Omega'} \alpha^-(u_n(x)) dx - \int_{\Omega} d(x) dx &\leq (u_n, f(\cdot, u_n; \lambda_n)) = (u_n, \varphi_n) = \\ &= (Pu_n, \varphi_n) + ((I - P)u_n, \varphi_n) = ((I - P)u_n, \varphi_n) \leq |(I - P)u_n| |\varphi_n|. \end{aligned}$$

This implies, by (2.15), (2.16) and $\alpha^- \geq 0$,

$$\int_{\Omega' \cap \Omega^+(v)} \alpha^-(u_n(x)) dx \leq \int_{\Omega'} \alpha^-(u_n(x)) dx \leq c_6,$$

for some constant $c_6 > 0$: thus contradicting (2.17), by Fatou's lemma. Finally, we conclude the existence of a constant $c_7 > 0$, independent of u and λ , such that

$$|Pu| \leq c_7.$$

Hence, (2.2) follows, for any $R > c_5 + c_7$. Q.E.D.

REMARK 2. - If (h₂) fails, then condition (h₅) and (h₇) can be replaced for instance by

$$\text{ess inf}_{x \in \Omega} sf(x, s) \rightarrow +\infty, \quad \text{as } |s| \rightarrow +\infty.$$

A similar condition can be assumed, in place of (h₆) and (h₈), if (h₃) fails.

Theorem 1 takes a particularly simple form when $f(x, s) = f(s)$ does not depend on the x -variable. In such a case one can choose $\Omega' = \Omega'' = \Omega$, so that (h_5) and (h_6) are fulfilled by (h_2) and (h_3) , and (h_6) and (h_8) read respectively

$$(h'_7) \quad sf(s) \rightarrow +\infty, \quad \text{as } s \rightarrow +\infty \text{ or } s \rightarrow -\infty,$$

and

$$(h'_8) \quad \mu_1 s^2 - sf(s) \rightarrow +\infty, \quad \text{as } s \rightarrow +\infty \text{ or } s \rightarrow -\infty.$$

Accordingly, we can state the following result.

COROLLARY 1. - Assume (h_2) and (h_3) . Suppose that $f(x, s) = f(s)$ and let

$$(h'_4) \quad 0 \leq sf(s) \leq \mu_1 s^2, \quad \text{for } |s| \geq r > 0,$$

(h'_7) and (h'_8) be satisfied. Then equation (2.1) has at least one solution $u \in H^{2m}(\Omega) \cap H_0^m(\Omega)$, for each $h \in L^2(\Omega)$ satisfying (h_9) .

A further consequence of Theorem 1 is the following Corollary 2, which extends to elliptic equations a similar result obtained in [D], for the periodic problem for a second order ordinary differential equation by a phase-plane analysis argument which of course cannot be transferred to the present situation.

COROLLARY 2. - Let (h_2) and (h_3) hold. Assume that $f(x, s) = f(s)$, $f(0) = 0$, $f \in C^1(\mathbf{R})$ and

$$(k_1) \quad 0 \leq f'(s) \leq \mu_1, \quad \text{for } s \in \mathbf{R}.$$

Then equation (2.1) has at least one solution $u \in H^{2m}(\Omega) \cap H_0^m(\Omega)$, for each $h \in L^2(\Omega)$ satisfying (h_9) .

PROOF. - At first we notice that (k_1) implies (h_1) . Moreover, from (k_1) , it follows that $f'(s) = 0$, for all s , or $f'(s) = \mu_1$, for all s , or there are points s_1, s_2 such that $0 < f'(s_1), f'(s_2) < \mu_1$. Since the first two situations are trivial, let us consider the third one. By continuity, there exist $s^* \in \mathbf{R}$, $\varepsilon > 0$, $\delta > 0$ such that

$$\varepsilon \leq f'(s) \leq \mu_1 - \varepsilon,$$

for every $s \in [s^* - \delta, s^* + \delta]$. Let $s^* \geq 0$ be and take $s > s^* + \delta$; we have

$$\varepsilon \delta \leq f(s) = \int_{[0, s^*]} f'(t) dt + \int_{[s^*, s^* + \delta]} f'(t) dt + \int_{[s^* + \delta, s]} f'(t) dt \leq \mu_1 s - \varepsilon \delta.$$

Hence, we easily conclude that (h'_7) and (h'_8) hold. Similarly one works, if $s^* < 0$. Q.E.D.

REMARK 3. - Dealing with second order elliptic operators, the above stated results, where (h_2) and (h_3) are assumed, model more efficiently the case where 0 and μ_1

are higher order eigenvalues. In the following subsection we will restrict to this kind of operators and study the situation where 0 is the first eigenvalue, so that (h₂) fails.

The case of second order elliptic equations.

Let Ω be a bounded domain in \mathbf{R}^n ($n \geq 2$), with a boundary of class C^2 , and let

$$\mathcal{L}u = - \sum_{i,j=1,\dots,n} \partial/\partial x_j (a_{ij}(x) \partial u/\partial x_i) + a_0(x) u,$$

be a symmetric uniformly strongly elliptic second order differential operator, acting on real valued functions u defined on Ω . The coefficients a_{ij} are real valued functions defined on $\text{cl}\Omega$, with $a_{ij} \in C^1(\text{cl}\Omega)$, for $i, j = 1, \dots, n$, and $a_0 \in C^0(\text{cl}\Omega)$, $a_0(x) \geq 0$ on $\text{cl}\Omega$. Under these assumptions, it is well-known that the first eigenvalue λ_1 of \mathcal{L} in $H_0^1(\Omega)$ is simple and that there exists a corresponding smooth eigenfunction ϕ , with $\phi > 0$ in Ω and $\partial\phi/\partial n < 0$ on $\text{bdry}\Omega$. Let us consider the Dirichlet problem

$$\begin{aligned} \mathcal{L}u - \lambda_1 u &= f(x, u) + h(x), & \text{in } \Omega, \\ u &= 0, & \text{on } \text{bdry}\Omega. \end{aligned}$$

We assume that $h \in L^p(\Omega)$, with $p > n$, and $f: \Omega \times \mathbf{R} \rightarrow \mathbf{R}$ satisfies the Carathéodory conditions and

$$(h'_1) \text{ there exist } a > 0 \text{ and } b \in L^p(\Omega), \text{ with } p > n, \text{ such that } |f(x, s)| \leq a|s| + b(x), \text{ for } s \in \mathbf{R} \text{ and a.e. } x \in \Omega.$$

As well-known, $\mathcal{L} - \lambda_1$ induces a (densely defined) self-adjoint linear operator $D(L) \subset L^2(\Omega) \rightarrow L^2(\Omega)$, with domain $D(L) = H^2(\Omega) \cap H_0^1(\Omega)$. Since the kernel $N(L)$ of L is one dimensional and is spanned by the function ϕ , all nonzero eigenfunctions in $N(L)$ have a definite sign on Ω , so that (h₂) fails. While, setting $\mu_1 = \lambda_2 - \lambda_1 > 0$, λ_2 being the second eigenvalue of \mathcal{L} , all nonzero eigenfunctions in $N(L - \mu_1)$ change sign on subsets of Ω of positive measure, and hence (h₃) holds. Of course, all the other structural assumptions previously considered are satisfied. The following theorems complete, for second order elliptic operators, the results stated in the previous subsection.

THEOREM 2. - *Let (h'_1),*

$$(h''_4) \ 0 \leq sf(x, s), \quad \text{for } s \in \mathbf{R} \text{ and a.e. } x \in \Omega,$$

and

$$(h'''_4) \ sf(x, s) \leq \mu_1 s^2, \quad \text{for } |s| \geq r > 0 \text{ and a.e. } x \in \Omega,$$

hold. Moreover, assume that there exists a subset Ω'' of Ω , such that (h₆) and (h₈) are

fulfilled. Then equation

$$(2.18) \quad Lu = f(x, u) + h,$$

has at least one solution $u \in W^{2,p}(\Omega) \cap H_0^1(\Omega)$, for each $h \in L^p(\Omega)$, with $p > n$, satisfying (h_9) .

PROOF. – We start observing that, using (h'_1) and $h \in L^p(\Omega)$, with $p > n$, by the L^p -theory for the Dirichlet problem [A] and a standard bootstrap argument, each solution $u \in H^2(\Omega) \cap H_0^1(\Omega)$ to

$$(2.19)_\lambda \quad Lu = f(x, u; \lambda) + \lambda h,$$

for some $\lambda \in]0, 1[$, belongs to $W^{2,p}(\Omega)$ and hence to $C^1(\text{cl}\Omega)$. Here, as in the proof of Theorem 1, we set, for some $\nu \in]0, \mu_1[$,

$$f(x, u; \lambda) = (1 - \lambda)\nu s + \lambda f(x, s).$$

Then, we proceed as in that proof up to the point where

$$(2.20) \quad \|u - Pu\|_{L^2} \leq c_5,$$

is obtained. In order to get (2.2), we assume by contradiction that there exists a sequence $\{u_n\}$ in $W^{2,p}(\Omega) \cap H_0^1(\Omega)$ of solutions to $(2.19)_\lambda$, with $\lambda = \lambda_n \in]0, 1[$, such that, as $n \rightarrow +\infty$,

$$\|u_n\|_{L^2} \rightarrow +\infty,$$

and then

$$\|u_n\|_{C^1} \rightarrow +\infty.$$

Using again (h'_1) and $h \in L^p(\Omega)$, with $p > n$, by the L^p -theory and the compact imbedding of $W^{2,p}(\Omega)$ in $C^1(\text{cl}\Omega)$, we obtain that, possibly passing to a subsequence,

$$(2.21) \quad u_n / \|u_n\|_{C^1} \rightarrow v, \quad \text{in } C^1(\text{cl}\Omega),$$

with $\|v\|_{C^1} = 1$. From (2.20), we also deduce that

$$(u_n - Pu_n) / \|u_n\|_{C^1} \rightarrow 0, \quad \text{in } L^2(\Omega),$$

and then $v - Pv = 0$, i.e. $v \in N(L)$. Since $\|v\|_{C^1} = 1$, we have that either $v > 0$ in Ω and $\partial v / \partial n < 0$ on $\text{bdry } \Omega$, or $v < 0$ in Ω and $\partial v / \partial n > 0$ on $\text{bdry } \Omega$. Assuming, for instance, that the first eventuality holds, we deduce, from (2.21), that $u_n > 0$ in Ω , for all large

n . Now, taking the L^2 -scalar product of (2.19 _{λ}) by v , we obtain, recalling that $\lambda_n \in [0, 1[$,

$$0 = \int_{\Omega} f(x, u_n; \lambda_n) v(x) dx = (1 - \lambda_n) \int_{\Omega} u_n(x) v(x) dx + \lambda_n \int_{\Omega} f(x, u_n(x)) v(x) dx > \lambda_n \int_{\Omega} f(x, u_n(x)) v(x) dx,$$

thus contradicting (h_4') , when n is large. Q.E.D.

We recall that the sign condition (h_4') was already considered in [DF-N], [I-N-W], [Gu], [D-T], but it was always coupled with some stronger nonresonance condition at the second eigenvalue μ_1 . The next Corollary 3 illustrates better such a difference in the case of an autonomous nonlinearity f .

COROLLARY 3. - *Suppose that $f(x, s) = f(s)$ and let*

$$(h_4^{IV}) \quad 0 \leq sf(s), \quad \text{for } s \in \mathbf{R},$$

$$(h_4^V) \quad sf(s) \leq \mu_1 s^2, \quad \text{for } |s| \geq r > 0,$$

and (h_8) be satisfied. Then equation (2.18) has at least one solution $u \in W^{2,p}(\Omega) \cap H_0^1(\Omega)$, for each $h \in L^p(\Omega)$, with $p > n$, satisfying (h_9) .

COROLLARY 4. - *Assume that $f(x, s) = f(s)$, $f(0) = 0$, $f \in C^1(\mathbf{R})$ and (k_1) holds. Then equation (2.18) has at least one solution $u \in W^{2,p}(\Omega) \cap H_0^1(\Omega)$, for each $h \in L^p(\Omega)$, with $p > n$, satisfying (h_9) .*

PROOF. - It suffices to observe that (h_4^{IV}) and (h_4^V) are fulfilled and then to work as in the proof of Corollary 2, in order to apply Corollary 3. Q.E.D.

The one-dimensional case.

In order to explain better the meaning of conditions (h_5) , (h_6) , (h_7) , (h_8) and the role of the sets Ω^\pm , we present now the simplified statements which can be obtained in the one-dimensional case. Let us consider the two-point boundary value problem

$$(2.21) \quad -u'' - \lambda_N u = f(x, u) + h(x), \quad x \in]0, \pi[,$$

$$(2.22) \quad u(0) = u(\pi) = 0.$$

We recall that, here, $\lambda_N = N^2$, for $N = 1, 2, \dots$, and the corresponding eigenspace is spanned by the function $\sin(Nx)$. We assume that $f:]0, \pi[\times \mathbf{R} \rightarrow \mathbf{R}$ satisfies the Carathéodory conditions. Then a careful reading of the proof of the preceding results (in particular observing that $h \in L^1(0, \pi)$ suffices) shows that the following theorems hold.

PROPOSITION 1. - *Let $N > 1$ be. Suppose that (h_1) and*

$$0 \leq sf(x, s) \leq (2N + 1)s^2, \quad \text{for } |s| \geq r > 0 \text{ and a.e. } x \in]0, \pi[,$$

hold. Moreover, assume that there exist subintervals J' and J'' of $]0, \pi[$, with $\text{meas}(J') > \pi/N$ and $\text{meas}(J'') > \pi/(N + 1)$, such that

$$\text{ess inf}_{x \in J'} sf(x, s) \rightarrow +\infty, \quad \text{as } s \rightarrow +\infty \text{ or } s \rightarrow -\infty,$$

and

$$(2N + 1)s^2 - \text{ess sup}_{x \in J''} sf(x, s) \rightarrow +\infty, \quad \text{as } s \rightarrow +\infty \text{ or } s \rightarrow -\infty.$$

Then problem (2.21)-(2.22) has at least one solution $u \in W^{2,1}(0, \pi)$, for each $h \in L^1(0, \pi)$ such that

$$\int_{]0, \pi[} h(x) \sin(Nx) dx = 0 = \int_{]0, \pi[} h(x) \sin((N + 1)x) dx.$$

PROPOSITION 2. - *Let (h_1) ,*

$$0 \leq sf(x, s), \quad \text{for } s \in \mathbf{R} \text{ and a.e. } x \in]0, \pi[,$$

and

$$sf(x, s) \leq 3s^2, \quad \text{for } |s| \geq r > 0 \text{ and a.e. } x \in]0, \pi[,$$

hold. Moreover, assume that there exist a subinterval J'' of $]0, \pi[$, with $\text{meas}(J'') > \pi/2$, such that

$$3s^2 - \text{ess sup}_{x \in J''} sf(x, s) \rightarrow +\infty, \quad \text{as } s \rightarrow +\infty \text{ or } s \rightarrow -\infty.$$

Then problem (2.21)-(2.22) has at least one solution $u \in W^{2,1}(0, \pi)$, for each $h \in L^1(0, \pi)$ such that

$$\int_{]0, \pi[} h(x) \sin(x) dx = 0 = \int_{]0, \pi[} h(x) \sin(2x) dx.$$

A counterexample.

We conclude this paper showing that the assumptions considered in the above theorems are, in some sense, sharp. Let us consider the two point boundary value problem

$$(2.23) \quad -u'' - 4u = f(x, u) + h(x), \quad x \in]0, \pi[,$$

$$(2.24) \quad u(0) = u(\pi) = 0,$$

where $h(x) = c \sin x$, with $c < 0$, and $f(x, s)$ is defined as follows

$$\begin{aligned} f(x, s) &= \sin(2x) \sqrt{s}, & \text{for } x \in]0, \pi/2[, \quad s \geq 0, \\ &= 0, & \text{otherwise.} \end{aligned}$$

Observe that the functions f and h satisfy the following conditions:

$$\begin{aligned} 0 \leq sf(x, s) \leq 5s^2, & \quad \text{for } |s| \geq 1 \text{ and } x \in]0, \pi[, \\ 5s^2 - \operatorname{ess\,sup}_{x \in]0, \pi[} sf(x, s) = 5s^2 - s\sqrt{s} \rightarrow +\infty, & \quad \text{as } s \rightarrow +\infty, \end{aligned}$$

and

$$\int_{]0, \pi[} h(x) \sin(2x) dx = 0 = \int_{]0, \pi[} h(x) \sin(3x) dx.$$

Concerning the condition

$$\operatorname{ess\,inf}_{x \in J'} sf(x, s) \rightarrow +\infty, \quad \text{as } s \rightarrow +\infty,$$

we note that it can be satisfied only on subsets J' of $]0, \pi[$, with $\operatorname{meas}(J') < \pi/2$. Thus all the assumptions of Proposition 1 are fulfilled, for $N = 2$ and $J'' =]0, \pi[$, with the only exception of the condition: $\operatorname{meas}(J') > \pi/N$. On the other hand, it can be easily checked that problem (2.23)-(2.24) possesses no solution. Indeed, any possible solution $u(x)$ of (2.23)-(2.24) must satisfy

$$\int_{]0, \pi[} f(x, u(x)) \sin(2x) dx = 0$$

and therefore, by definition of f , $u(x) \leq 0$, on $]0, \pi/2[$, which in turns implies that

$$-u'' - 4u = c \sin x, \quad \text{on }]0, \pi/2[.$$

This yields a contradiction by a direct inspection of the linear equation.

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