

Hydrodynamic stability analysis in terms of action-angle variables

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1. Introduction

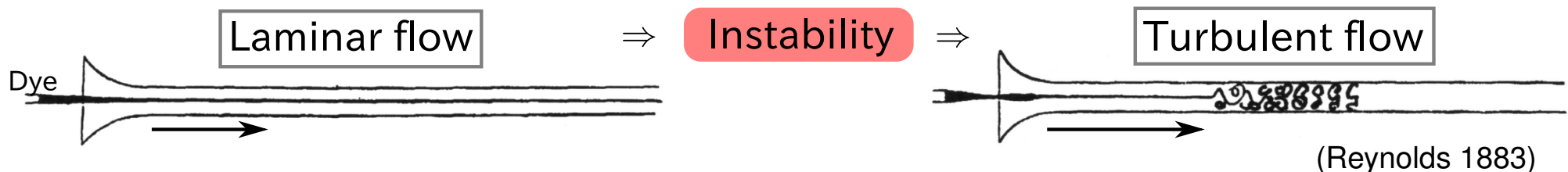
How is Fluid mechanics different from “Classical” mechanics?

- **Infinite** degree of freedom
- **Eulerian** description for velocity field
(vs. **Lagrangian** description for particle orbit)

⇒ The partial differential equations (PDEs) for vector and scalar fields

- Mathematical methods used in classical mechanics are not directly applicable.
- It is hard to solve the PDEs even by using computers.

⇒ Linear and weakly nonlinear stability analysis (perturbation analysis) is one of the feasible approaches.



Outline

Stability theory for Hamiltonian systems $\xrightarrow{?}$ Hydrodynamic stability theory

Based on the Hamiltonian viewpoint of fluid mechanics, the variational method is shown to be useful for predicting stability (both theoretically and numerically).

1. Introduction

(As a typical and simple hydrodynamic stability problem, we consider)

2. Rayleigh equation — stability of inviscid parallel shear flow
3. Action-angle variables (in classical mechanics)
4. Variational stability conditions (in classical mechanics)
5. Wave action (action variable in fluid mechanics)
6. Variational stability conditions for Rayleigh equation
7. Summary

Rayleigh equation ~ Stability of inviscid parallel shear flow ~

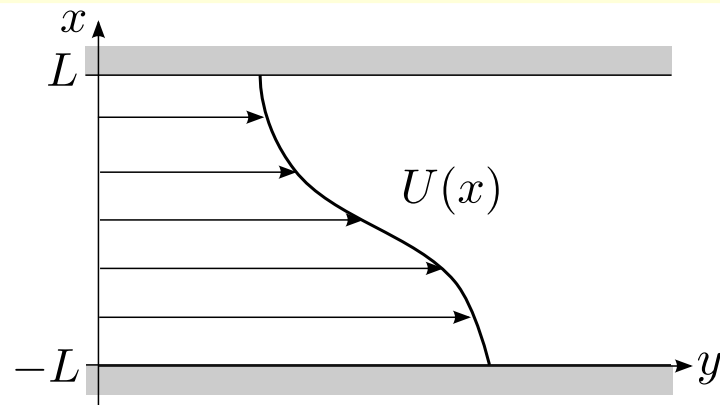
Shear flow $\mathbf{U} = U(x)\mathbf{e}_y$,

Disturbance $\tilde{\mathbf{u}} = \nabla[\phi(x)e^{ik(y-ct)} + \text{c.c.}] \times \mathbf{e}_z$, ($c \in \mathbb{C}$, $k \in \mathbb{R}$)

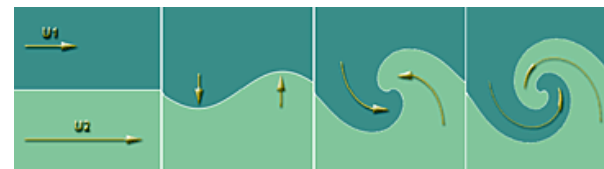
$$(c - U)(\phi'' - k^2\phi) + U''\phi = 0, \quad \phi(-L) = \phi(L) = 0$$

(where ' is the x -derivative)

If there exists an eigenvalue c with $\text{Im } c > 0$, the flow is unstable.



Kelvin-Helmholtz instability:



- One of the most classical hydrodynamic stability problems
- But, the stability condition on $U(x)$ is still nontrivial.

$$\boxed{U''(x) \neq 0 \text{ everywhere}} \begin{matrix} \implies \\ \nleftarrow \end{matrix} \boxed{\text{Stable}} \quad (\text{Rayleigh 1880})$$

History

- 1880 Rayleigh

No inflection point ($U'' \neq 0$) \Rightarrow Stable



- 1950 Fjørtoft

One inflection point x_I and $U''(U - U_I) > 0$ where $U_I = U(x_I)$ \Rightarrow Stable



- 1964 Rosenbluth & Simon (Nyquist method)

In the limit $k \rightarrow 0$,

$$\frac{1}{U'(U - U_I)} \Big|_{-L}^L + \int_{-L}^L \frac{U''}{U'^2(U - U_I)} dx > 0 \Leftrightarrow \text{Stable}$$



- 1969 Arnold (variational method)

$\delta^2 E$ is positive or negative definite \Rightarrow Stable



- 1991 Barston (variational method)

- 1999 Balmforth & Morrison (Nyquist method) a **necessary and sufficient** condition★

- 2003, 2005 Lin (Tollmien's method) a necessary condition★

★ These methods requires a solution of Rayleigh's equation.

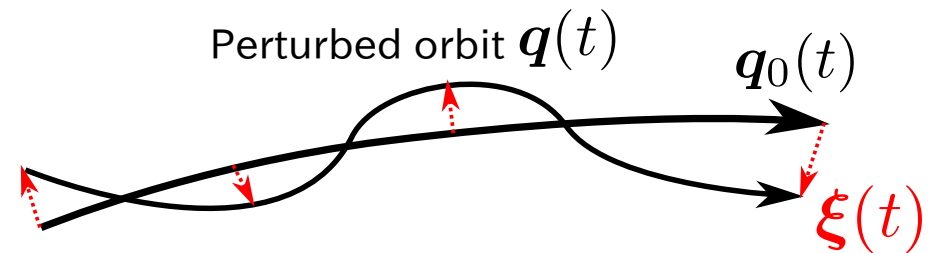
- 2014 Hirota, Morrison & Hattori (variational method)
a **necessary and sufficient** stability condition

General perturbation theory

Lagrangian: $L[\mathbf{q}] = L(\mathbf{q}, \dot{\mathbf{q}})$

$$\mathbf{q}(t) = \mathbf{q}_0(t) + \boldsymbol{\xi}(t)$$

\mathbf{q}_0 : known solution, $\boldsymbol{\xi}$: perturbation



Weakly nonlinear dynamics

$$L = L_0 + \delta L[\boldsymbol{\xi}] + \delta^2 L[\boldsymbol{\xi}, \boldsymbol{\xi}] + \delta^3 L[\boldsymbol{\xi}, \boldsymbol{\xi}, \boldsymbol{\xi}] + \delta^4 L[\boldsymbol{\xi}, \boldsymbol{\xi}, \boldsymbol{\xi}, \boldsymbol{\xi}] + \dots$$

at equilibrium 0

Linearized dynamics

"Two-mode" coupling
 $\omega_a = \omega_b$
 • Linear instability
 • Resonant absorption/growth

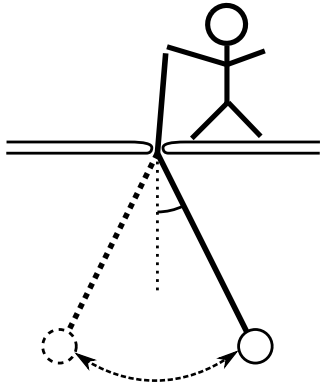
Three-mode coupling
 $\omega_a = \omega_b + \omega_c$
 • Parametric instability
 • Second harmonic resonance
 etc.

Four-mode coupling
 $\omega_a = \omega_b + \omega_c + \omega_d$
 • Modulational instability
 • Nonlinear frequency shift
 etc.

- Analysis of $\boldsymbol{\xi}$ is, however, tedious when $\boldsymbol{\xi}$ has a large degree of freedom.
- Each mode coupling can be reduced to a **"normal form"** by the transformation to **action-angle variables**.

Action-angle variables in classical mechanics

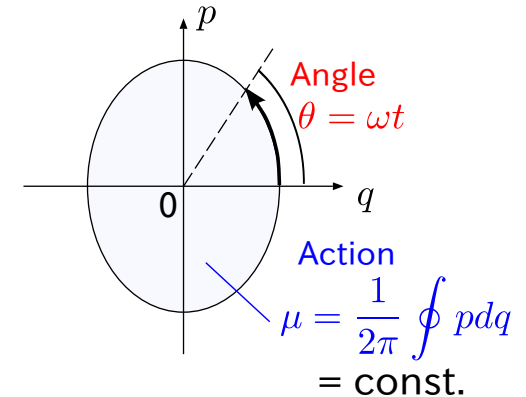
Periodic motion ... Canonical variables $(q, p) \Rightarrow$ Action-angle variables (μ, θ)



$$H = \omega \frac{q^2 + p^2}{2} = \omega \mu$$

Normal form of single mode

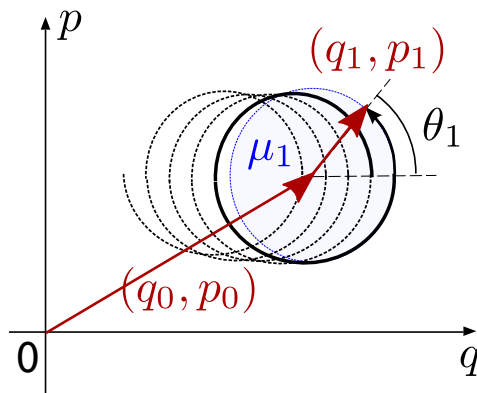
Energy = Frequency \times Action



- Adiabatic invariance

$\mu \simeq \text{const.}$ when a parameter (such as ω) is slowly varying.

- Averaging



If (q_1, p_1) is fast oscillation,

$$H \simeq H_0(q_0, p_0) + \omega_1(q_0, p_0)\mu_1$$

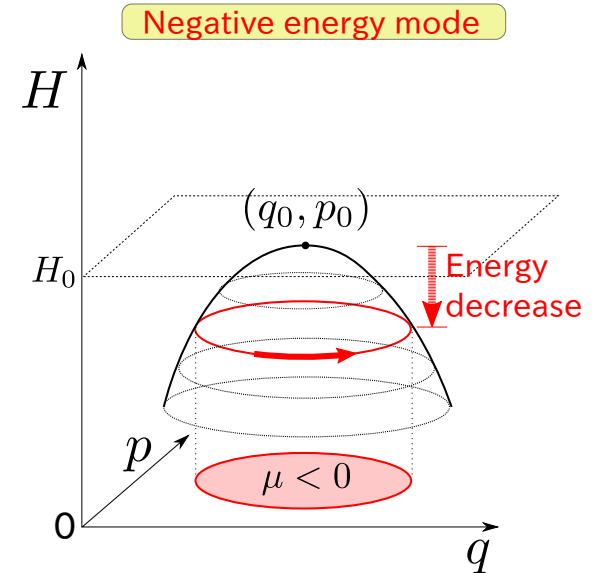
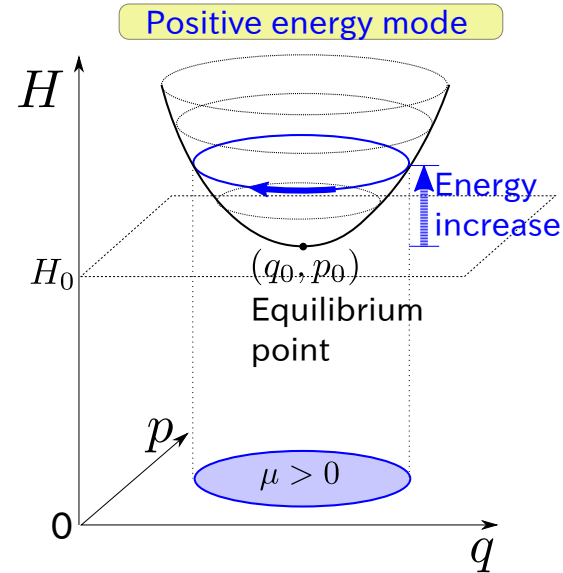
\Rightarrow Averaged equation for (q_0, p_0)

• Instability

- ▷ An instability is caused by a resonance $\omega_1 = \omega_2$ between **positive** and **negative** energy modes. (Krein 1950)

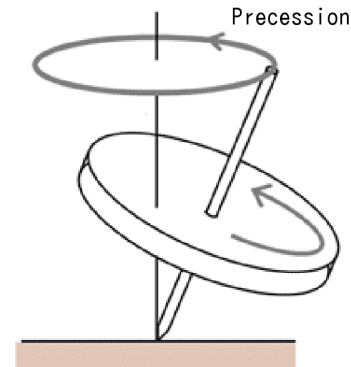
$$H = H_0 + \omega_1 \mu_1 + \omega_2 \mu_2$$

$$\begin{array}{cc} > 0 & < 0 \end{array}$$



- ▷ **Negative energy mode** is also destabilized by energy dissipation effect.

Ex. Precession of spinning top



∴ Signs of modal energies (called Krein signatures) are important!

Variational stability conditions

Linear Hamiltonian system with N degrees of freedom

$$u = (q_1, q_2, \dots, q_N, p_1, p_2, \dots, p_N);$$

$$\begin{cases} \partial_t \mathbf{q} = \partial H / \partial \mathbf{p}, \\ \partial_t \mathbf{p} = -\partial H / \partial \mathbf{q}, \end{cases} \Leftrightarrow \partial_t u = \mathcal{J} \mathcal{H} u, \quad \mathcal{J} = \begin{pmatrix} 0 & I \\ -I & 0 \end{pmatrix}, \quad H = \frac{1}{2} \langle u, \mathcal{H} u \rangle$$

$$\Leftrightarrow i \partial_t u = \mathcal{L} u, \quad \mathcal{L} = i \mathcal{J} \mathcal{H}$$

where $\mathcal{H}^* = \mathcal{H}$ and $\mathcal{J}^* = -\mathcal{J}$. But, \mathcal{L} is non-self-adjoint $\mathcal{L}^* \neq \mathcal{L}$.

Lyapunov stability theorem (Oberman and Kruskal 1965, Case 1965, Barston 1977)

$Q := \langle \bar{u}, i \mathcal{J} P(\mathcal{L}) u \rangle$ is a constant of motion, where P is **any** real polynomial.

$$\exists P \text{ and } \exists \epsilon > 0 \text{ s.t. } Q \geq \epsilon \|u\|^2 \text{ or } -Q \geq \epsilon \|u\|^2 \Rightarrow \text{Stable}$$

(Hint) If $P(\mathcal{L}) = \mathcal{L}/2$, then $Q = H$.

If $P(\mathcal{L}) = \mathcal{L}^3$, $i \mathcal{J} P(\mathcal{L}) = \mathcal{H}(i \mathcal{J}) \mathcal{H}(i \mathcal{J}) \mathcal{H}$ is also self-adjoint.

Lots of sufficient stability conditions . . . **What choice of P leads to a better condition?**

Modal decomposition:

$$u = \sum_{\alpha=1}^{2N} u_{\alpha} e^{-i\omega_{\alpha} t} = \sum_{\alpha=1}^{2N} u_{\bar{\alpha}} e^{-i\bar{\omega}_{\alpha} t}$$

Eigenvalue problem: $\mathcal{E}(\omega_{\alpha})u_{\alpha} = \mathcal{E}(\bar{\omega}_{\alpha})u_{\bar{\alpha}} = 0$ where $\mathcal{E}(\omega) = \omega i\mathcal{J} - \mathcal{H}$.

Accordingly, Q is decomposed into

$$Q = \sum_{\alpha=1}^{2N} P(\omega_{\alpha})\mu_{\alpha} \quad \text{with} \quad \mu_{\alpha} = \langle \bar{u}_{\bar{\alpha}}, i\mathcal{J}u_{\alpha} \rangle = \bar{q}_{\bar{\alpha}1} \frac{1}{\mathcal{E}_{1,1}(\omega_{\alpha})} \frac{\partial D}{\partial \omega}(\omega_{\alpha})q_{\alpha 1}$$

where μ_{α} corresponds to the **action variable** for a neutrally stable mode ($\omega_{\alpha} \in \mathbb{R}$).

- $\mathcal{E}_{1,1}$ is the (1, 1) cofactor of the matrix \mathcal{E} .
- $D(\omega) = \det|\mathcal{E}(\omega)|$ is the characteristic polynomial; $D(\omega_{\alpha}) = 0$.

Even when $H = \frac{1}{2} \sum_{\alpha=1}^{2N} \omega_{\alpha} \mu_{\alpha}$ is indefinite, it is possible to make Q positive or negative definite by choosing P .

Theorem: If a polynomial $P(\omega)$ is chosen such that $\frac{P(\omega)}{\mathcal{E}_{1,1}(\omega)} \frac{\partial D}{\partial \omega}(\omega) \leq 0$ holds for all $\omega \in \mathbb{R}$, then

$$\max_u \frac{Q}{|u|^2} > 0 \iff \text{Spectrally unstable; } \text{Im } \exists \omega_\alpha > 0$$

(Necessary and sufficient condition)

$\because Q \leq 0$ for all neutrally stable modes

$Q \geq 0$ only for growing ($\text{Im } \omega_\alpha > 0$) and damping ($\text{Im } \bar{\omega}_\alpha < 0$) modes

- A trivial choice is $P(\omega) = -\mathcal{E}_{1,1}(\omega) \frac{\partial D}{\partial \omega}(\omega)$. But, this choice is not practically useful because $D(\omega)$ is needed to construct Q .
- What is interesting here is that

Number of **unstable** eigenvalues ($\text{Im } \omega_\alpha > 0$) of the **non-self-adjoint** \mathcal{L}

\Updownarrow one to one relation

Number of **positive** eigenvalues of the **self-adjoint** Q where $Q = \langle \bar{u}, Qu \rangle$

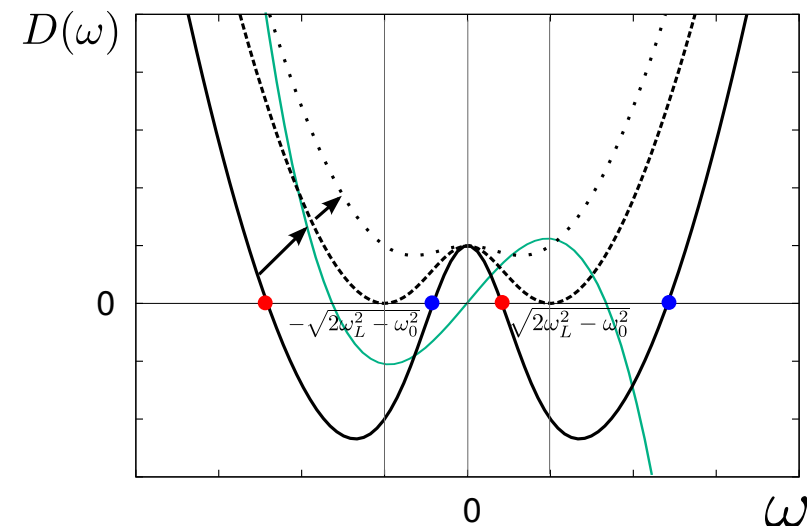
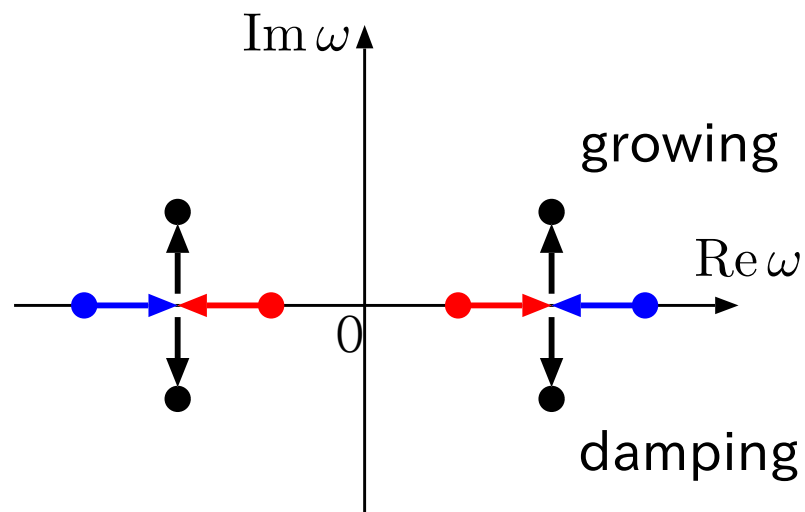
Example

$$\frac{\partial^2}{\partial t^2} \begin{pmatrix} q_1 \\ q_2 \end{pmatrix} + 2 \begin{pmatrix} 0 & -\omega_L \\ \omega_L & 0 \end{pmatrix} \frac{\partial}{\partial t} \begin{pmatrix} q_1 \\ q_2 \end{pmatrix} = \omega_0^2 \begin{pmatrix} q_1 \\ q_2 \end{pmatrix}$$

Coriolis force

Potential force

An instability is caused by resonance between a **positive energy mode** and a **negative energy mode**.

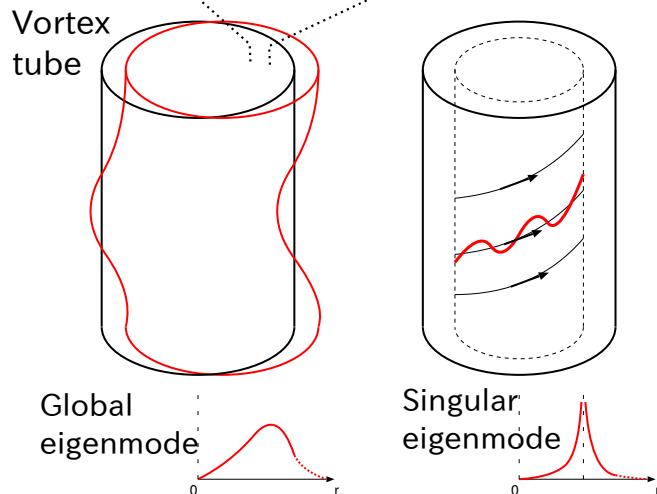
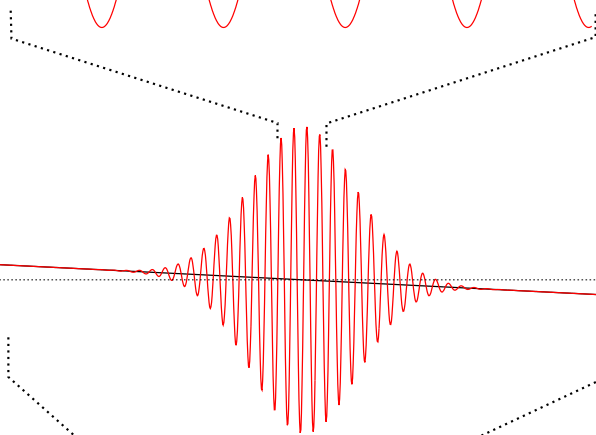
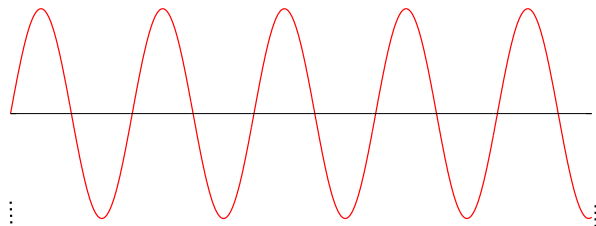


$$D(\omega) = \omega^4 - 2(2\omega_L^2 - \omega_0^2)\omega^2 + \omega_0^4$$

$$\mathcal{E}_{1,1}(\omega) = \omega^2 + \omega_0^2$$

By choosing $P(\omega) = -(\omega^2 + \omega_0^2)\omega(\omega^2 - 2\omega_L^2 + \omega_0^2)$, we obtain a necessary and sufficient condition as $\max Q/\|u\|^2 > 0 \Leftrightarrow$ Unstable.

Wave action theory for fluid (mode \Rightarrow wave)



Uniform background

- Plane wave: $A \exp(i\mathbf{k} \cdot \mathbf{x} - \omega t)$
- Dispersion relation: $D(\omega, \mathbf{k}) = 0$
- Wave action = $\frac{\partial D}{\partial \omega}(\omega, \mathbf{k}) |A|^2$ (Auer *et al.* 1958)

Weakly non-uniform background (short wavelength limit)

- Wave packet: $A(\mathbf{x}) \exp(i\mathbf{k} \cdot \mathbf{x} - \omega t)$,
 - Local dispersion relation: $D(\omega, \mathbf{k}, \mathbf{x}) = 0$
 - Wave action density = $\frac{\partial D}{\partial \omega}(\omega, \mathbf{k}, \mathbf{x}) |A(\mathbf{x})|^2$
- \Rightarrow Wave-kinetic theory & Weak turbulence theory
(Stix 1962, Sagdeev & Galeev 1969)

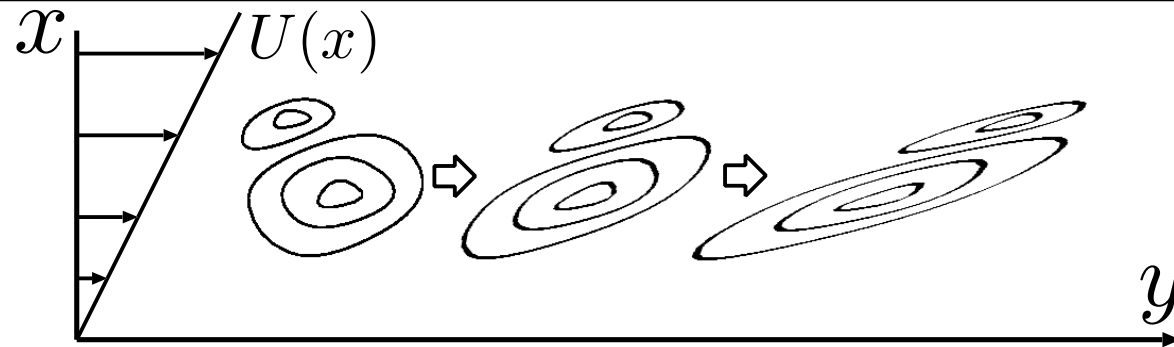
Non-uniform background

Eigenvalue problem \Rightarrow discrete and continuous spectra
(Differential equation)

Wave action (= action variable) is nontrivial.

Continuous spectrum in hydrodynamic disturbance

Vorticity disturbance stretched by background shear flow $U(x)$ (Case 1960)



- Initial condition $e^{iky} \Rightarrow e^{iky - ikU(x)t}$: the Doppler shift $kU(x)$ depends on x .
 \Rightarrow Continuous spectrum $\{kU(x) | x \in \mathbb{R}\}$
- “Continuum mode”
 Integral of **infinite number of singular eigenmodes** localized on each streamline
 e.g. delta functions

Since the singular function is not square integrable, it has been difficult to calculate wave action (and also wave energy) for continuous spectrum.

- Van Kampen mode (Morrison & Pfirsch 1992),
- Rayleigh equation (Balmforth & Morrison 2002)
- General singular mode (Hirota & Fukumoto 2008)

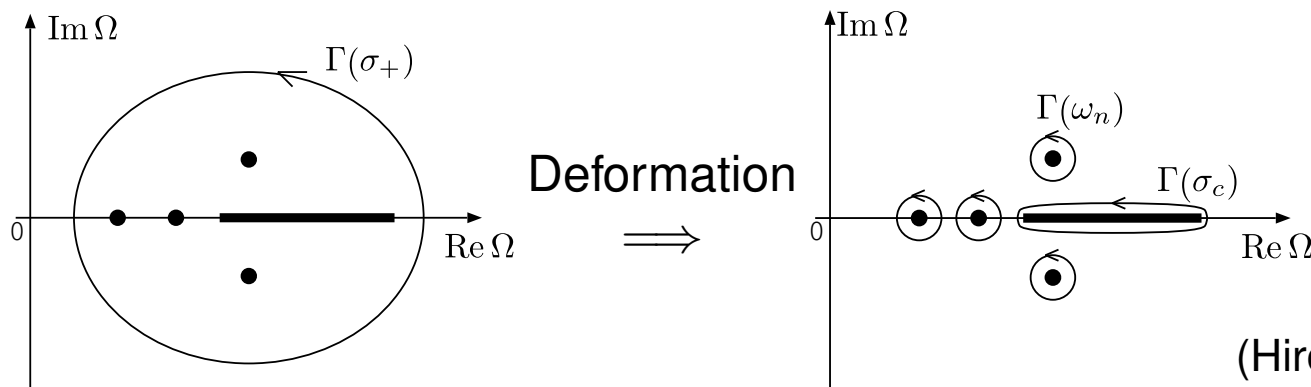
Action variables for eigenmode and continuum mode

$$i\partial_t u = \mathcal{L}u, \quad \mathcal{L}\mathcal{J} = \mathcal{J}\mathcal{L}^*$$

Laplace transform $u(t) \mapsto U(\Omega) = \frac{iu(0)}{\Omega - \mathcal{L}}$, and define $D^{-1}(\Omega) := \langle \overline{u(0)}, i\mathcal{J}U(\Omega) \rangle$

$$S = \frac{1}{4\pi} \int_0^{2\pi} \left\langle u, \mathcal{J}^{-1} \frac{\partial u}{\partial \theta} \right\rangle d\theta = \frac{1}{2\pi i} \oint_{\Gamma(\sigma_+)} D^{-1}(\Omega) d\Omega = \sum_n \mu_n + \int_{\sigma_c} \mu(\omega) d\omega$$

- Eigenvalues $\{\omega_n | n = 1, 2, \dots\}$, $\mu_n = \frac{1}{2\pi i} \oint_{\Gamma(\omega_n)} D^{-1}(\Omega) d\Omega = \left(\frac{\partial D}{\partial \Omega} \right)^{-1}(\omega_n)$, (residue)
- Continuous spectrum $\omega \in \sigma_c \subset \mathbb{R}$, $\mu(\omega) = \frac{i}{2\pi} [D^{-1}(\omega + i0) - D^{-1}(\omega - i0)]$. (jump)



(Hirota & Fukumoto 2008)

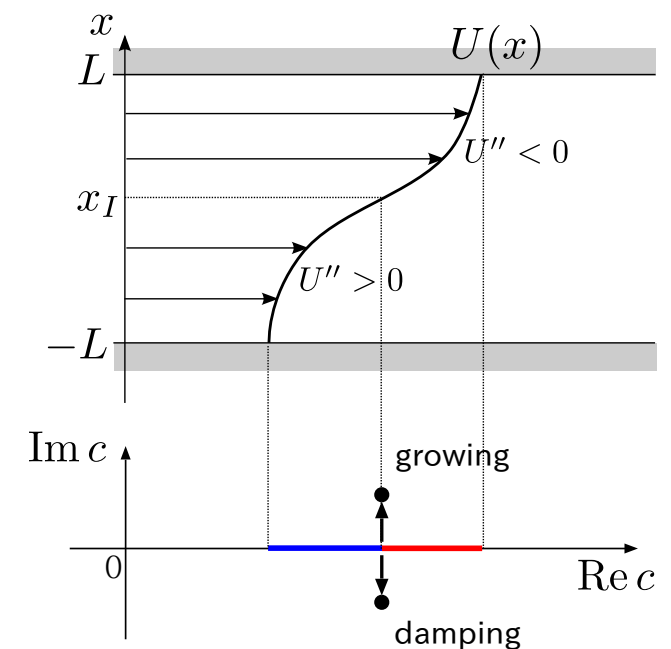
Rayleigh equation \sim Stability of inviscid parallel shear flow \sim

Basic flow $\mathbf{U} = U(x)\mathbf{e}_y$, Disturbance $\tilde{\mathbf{u}} = \nabla[\phi(x)e^{-i\omega t +iky} + \text{c.c.}] \times \mathbf{e}_z$, ($\omega \in \mathbb{C}$, $k \in \mathbb{R}$)

$$(c - U)(\phi'' - k^2\phi) + U''\phi = 0, \quad \phi(-L) = \phi(L) = 0$$

If there exists an eigenvalue $c = \omega/k$ with $\text{Im } c > 0$, the flow is spectrally unstable.

- (Case 1960) A continuous spectrum exists,
 $c = \omega/k \in \{U(x) \in \mathbb{R} \mid x \in [-L, L]\}$.
- Sign of the energy of continuous spectrum
 = Sign of UU''
 (Balmforth & Morrison 2002, Hirota & Fukumoto 2008)
- Kelvin-Helmholtz instability emerges from a contact point between **positive-** and **negative-**energy continuous spectra.
 ... Analogous to Krein's theory
 (Hagstrom & Morrison 2011)



Variational stability conditions

In terms of vorticity disturbance $w = -\Delta\phi := -\phi'' + k^2\phi$,

$$\frac{i}{k}\partial_t w = \mathcal{L}w \quad \text{where} \quad \mathcal{L} = U - U''\Delta^{-1}$$

\mathcal{L} is non-self-adjoint ($\mathcal{L} \neq \mathcal{L}^*$), but has a **Hamiltonian property** $\mathcal{L}U'' = U''\mathcal{L}^*$.

Theorem [Oberman and Kruskal 1965, Case 1965, Barston 1977]

Let $P(c)$ be any real polynomial. Then,

$$Q = \int_{-L}^L \bar{w} \frac{1}{U''} P(\mathcal{L}) w dx = \text{const.}$$

Therefore,

If $\exists P$ and $\epsilon > 0$ s.t. $Q \geq \epsilon \|u\|^2$ or $-Q \geq \epsilon \|u\|^2 \Rightarrow$ (Lyapunov) Stable

\Rightarrow What is the best choice of P ?

- If $U(x)$ has only one inflection point $x = x_I$,

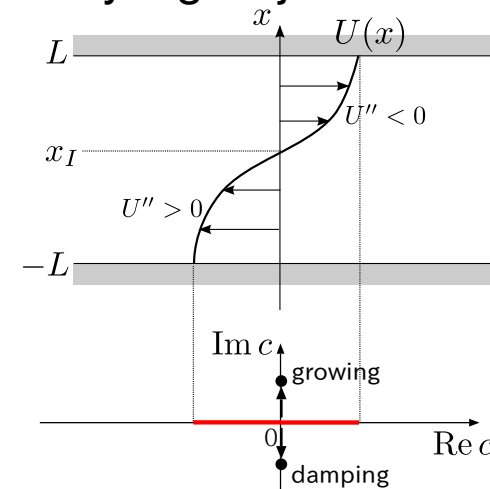
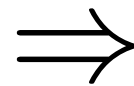
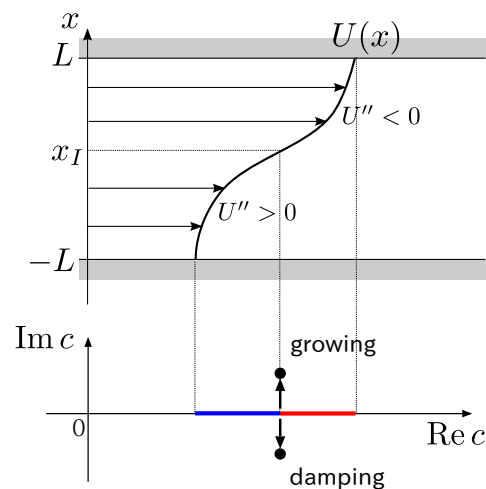
the choice of $P(c) = c - U(x_I)$ results in

(Arnold 1966) The second variation of the energy **in the inertial frame moving at the velocity $U_I = U(x_I)$** is

$$Q = \delta^2 E_I = \int_{-L}^L \bar{w} \left(\frac{U - U_I}{U''} - \Delta^{-1} \right) w dx.$$

The shear flow U is stable if $\delta^2 E_I$ is either positive or negative definite.

(This includes Rayleigh-Fjørtoft's stability criterion.)



In this frame, the energy of the continuous spectrum is **negative** everywhere.

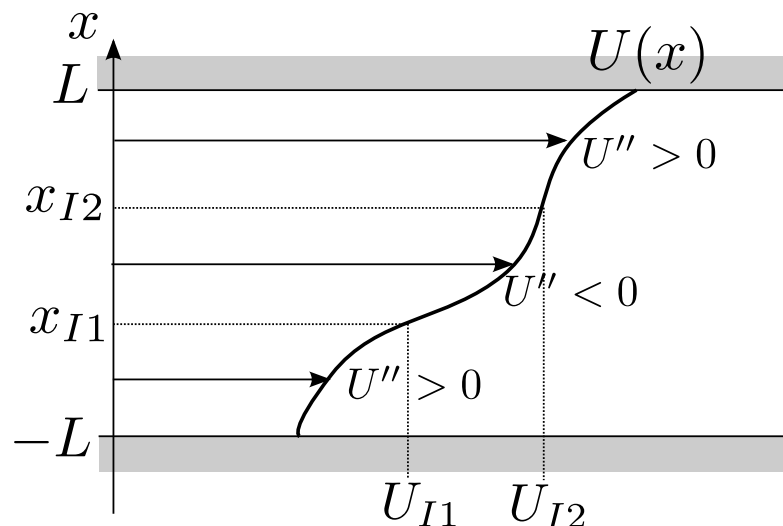
- If $U(x)$ has multiple inflection points x_{In} , $n = 1, 2, \dots, N_I$,

the choice of $P(c) = \prod_{n=1}^{N_I} (c - U_{In})$, where $U_{In} = U(x_{In})$, results in

(Barston 1991) The shear flow U is stable if

$$Q = \int_{-L}^L w \frac{1}{U''} \prod_{n=1}^{N_I} [(U - U_{In}) - U'' \Delta^{-1}] w dx,$$

is either positive or negative definite.



... still **sufficient** conditions, but very close to **necessary and sufficient** one.

Theorem: Assume

- 1) $U(x)$ is an **analytic**, bounded and **strictly monotonic** function on $[-L, L]$.
- 2) if $U''(x_I) = 0$ at $x = x_I$, then $U'''(x_I) \neq 0$.

Define the quadratic form Q by choosing $P(c) = \nu \prod_{n=1}^{N_I} (c - U_{In})$ where either $\nu = 1$ or $\nu = -1$ is chosen such that

$$\frac{\nu}{U''} \prod_{n=1}^{N_I} (U - U_{In}) \leq 0 \quad \text{for all } x.$$

Then,

$$\max \frac{Q}{\int |w|^2 dx} > 0 \quad \Leftrightarrow \quad (\text{Spectrally}) \text{ Unstable}$$

(Necessary and sufficient stability condition!)

(Hirota, Morrison, Hattori 2014)

By showing $Q > 0$ for some w , we can prove instability!

Outline of the proof:

- Spectrum: $Sp(\mathcal{L}) = \{c_\alpha, \bar{c}_\alpha \in \mathbb{C}; \text{Im } c_\alpha \neq 0, \alpha = 1, 2, \dots, N\} \cup \{U(x) \in \mathbb{R}; x \in [-L, L]\}$
 (discrete) (continuous)

- Mode decomposition:

$$w = \sum_{\alpha=1}^N \left(w_\alpha e^{-ikc_\alpha t} + w_{\bar{\alpha}} e^{-ik\bar{c}_\alpha t} \right) + \int_{U_{\min}}^{U_{\max}} \hat{w}(c) e^{-ikct} dc$$

Exponentially growing
and damping modes

Neutrally stable
continuum mode

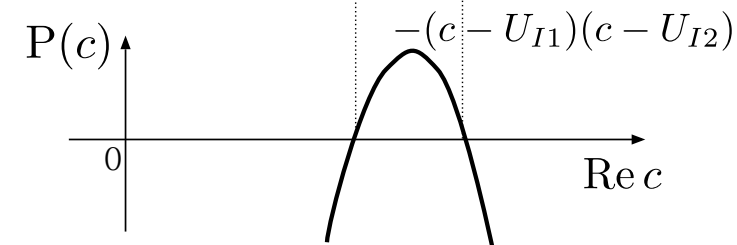
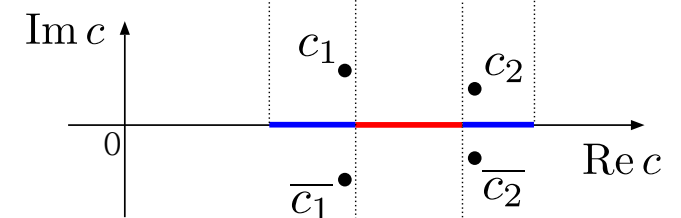
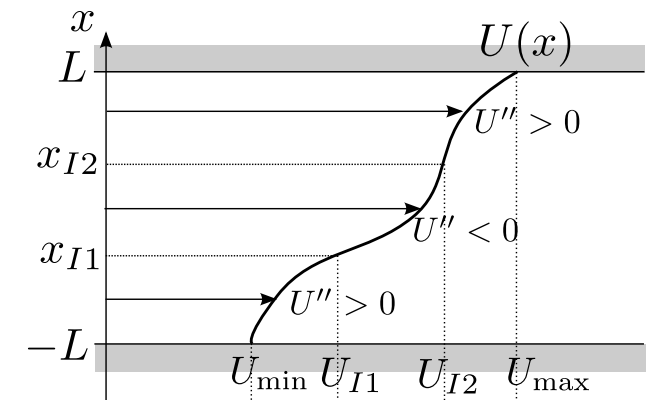
- Then, Q is also decomposed into

$$Q = \underbrace{\sum_{\alpha=1}^N [P(c_\alpha)\mu_\alpha + P(\bar{c}_\alpha)\bar{\mu}_\alpha]}_{\geq 0} + \underbrace{\int_{U_{\min}}^{U_{\max}} P(c)\hat{\mu}(c)dc}_{\leq 0}$$

where $\mu_\alpha = \int_{-L}^L \bar{w}_\alpha w_\alpha / U'' dx$
and $\text{sgn } \hat{\mu}(c) = \text{sgn } U''(U^{-1}(c))$.

(Balmforth & Morrison 2002, Hirota & Fukumoto 2008)

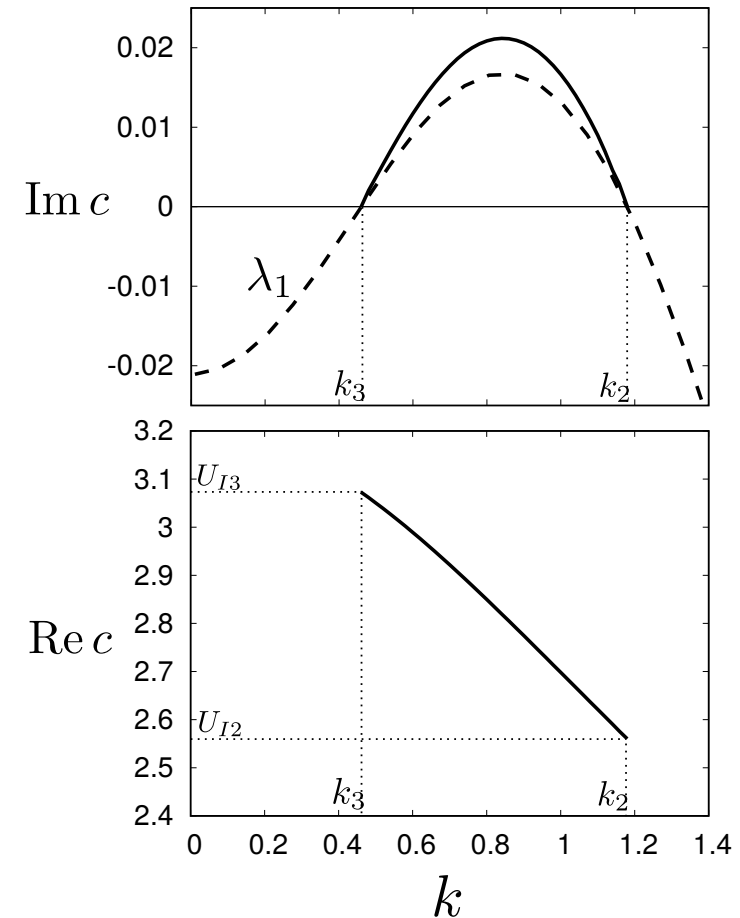
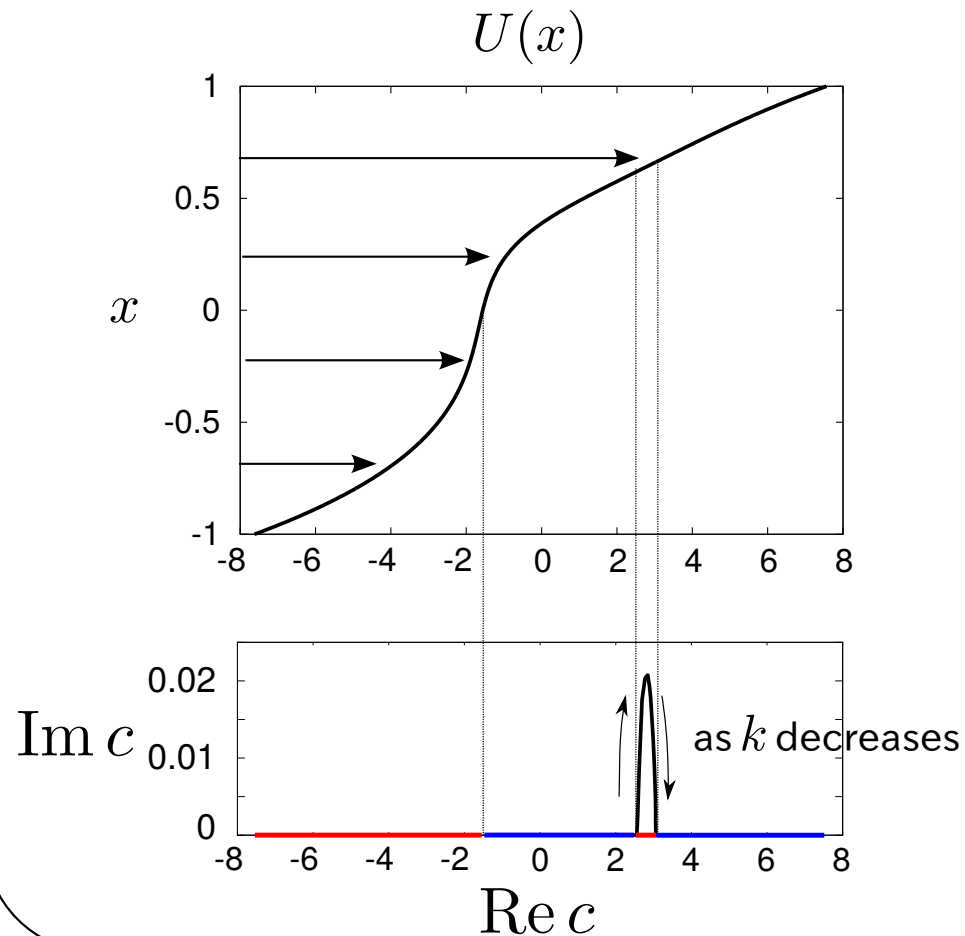
- ∴ If $Q > 0$ for some w , there exists at least a growing eigenmode. \square



Numerical tests

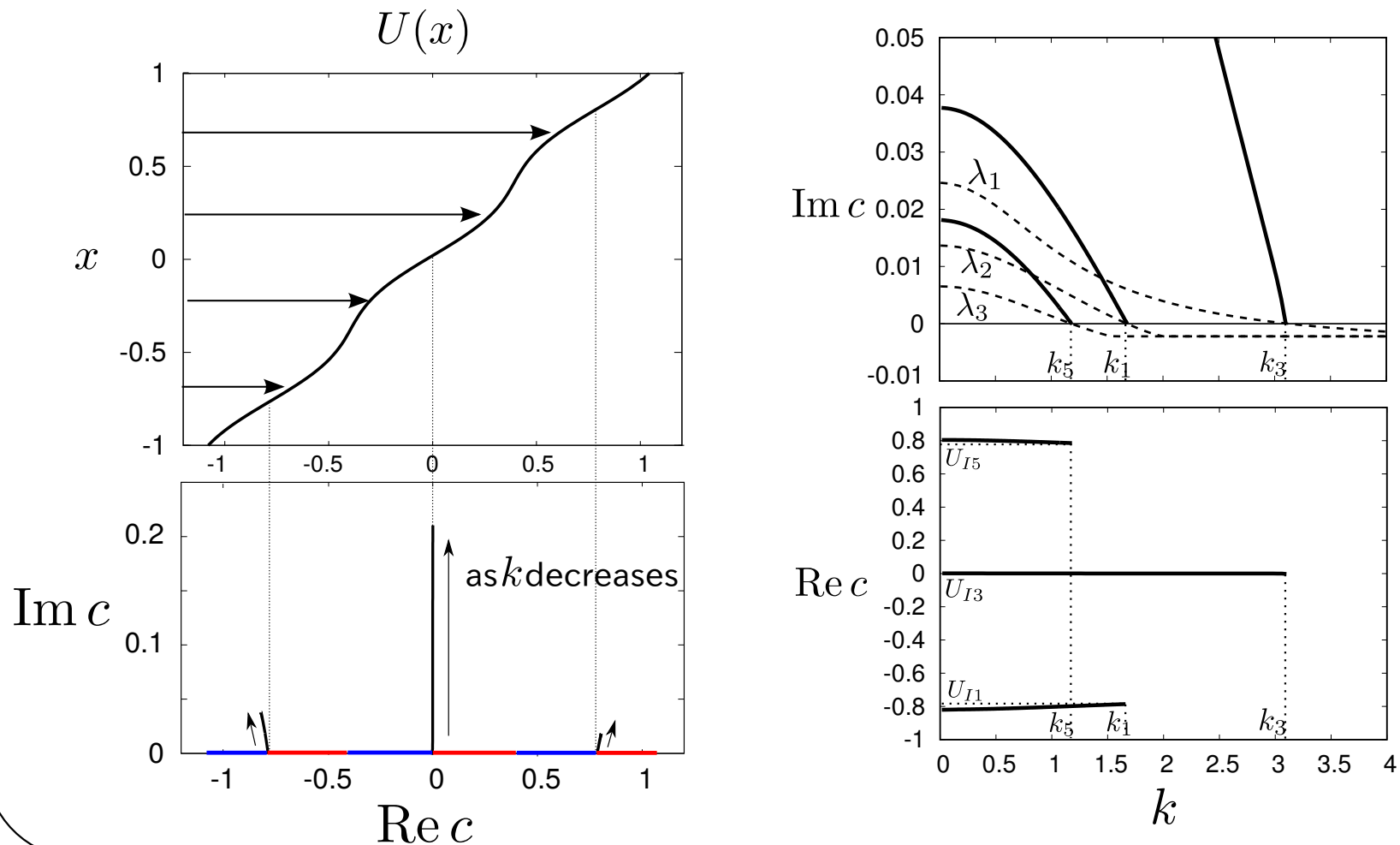
$$\lambda_1 = \max Q / \int |w|^2 dx$$

Example 1 $U(x) = x + 5x^3 + 1.62 \tanh[4(x - 0.5)], \quad x \in [-1, 1]$



Corollary: At the marginal stability $\lambda_1 \simeq 0$, Q is non-singular ($\int |w_1|^2 dx < \infty$).

Example 2 $U(x) = x - 0.02 + \sin[8(x - 0.02)]/16, \quad x \in [-1, 1]$



Corollary: Number of positive signatures of Q corresponds to number of unstable eigenmodes.

5. Summary

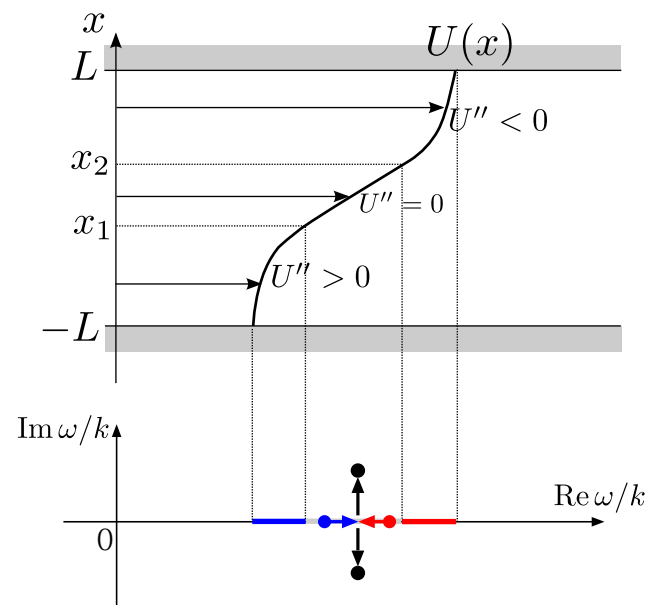
- Using Rayleigh's equation, we have demonstrated that the **variational method** can be improved to give **necessary and sufficient** stability criteria.

Linearized system $i\partial_t w = k\mathcal{L}w$	Variational criterion $\max Q/\ w\ ^2 > 0$
non-self-adjoint	self-adjoint
$c_1, c_2, \dots \in \mathbb{C}$	$\lambda_1 > \lambda_2 > \dots \in \mathbb{R}$
$w(x) \in \mathbb{C}$	$w(x) \in \mathbb{R}$
$\exists j, \text{Im } c_j > 0 \Leftrightarrow \text{Unstable}$	$\lambda_1 > 0 \Leftrightarrow \text{Unstable}$
singular as $\text{Im } c \rightarrow +0$	non-singular around $\lambda = 0$

- We can determine the stability more **efficiently and accurately** than directly solving the linearized equation.

However, I have a lot of open questions.

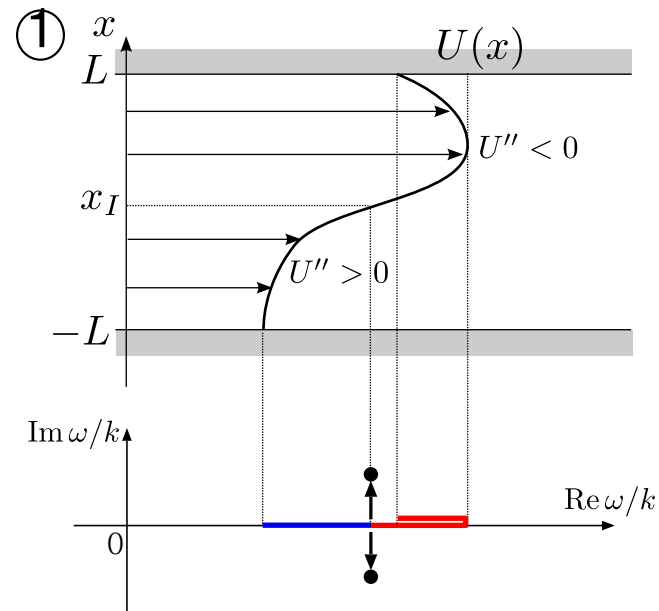
- This variational method can calculate neither growth rates nor frequencies of the unstable modes.
- So far, this method is not useful for systems of finite degree of freedom.
- Piecewise-linear flows are more complicated.



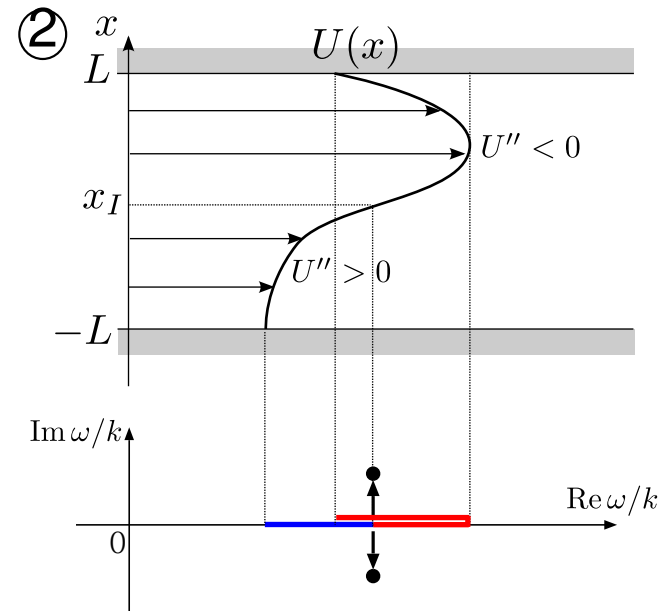
- The linear part $[x_1, x_2]$ is a set of inflection points, on which the classical Krein collision occurs.

$$\min_{x_I \in [x_1, x_2]} \max_{\|w\|=1} Q|_{P=c-U(x_I)} > 0 \quad \Leftrightarrow \text{Ustable}$$

- The variational method is not always applicable to nonmonotonic shear flows,



OK



Impossible to make all signatures negative

- We can think of many difficult situations when multiple continuous spectra exist. (e.g., stratified shear flow, MHD etc.)
- Smoothness of shear flow is mathematically important, but physically not.
- Is it possible to obtain an unified view of resonance among discrete modes and continuum modes? (like the normal forms)

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