

# ON THE STABILITY OF RADIAL SOLUTIONS TO AN ANISOTROPIC GINZBURG-LANDAU EQUATION

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ABSTRACT. We study the linear stability of entire radial solutions  $u(re^{i\theta}) = f(r)e^{i\theta}$ , with positive increasing profile  $f(r)$ , to the anisotropic Ginzburg-Landau equation

$$-\Delta u - \delta(\partial_x + i\partial_y)^2 \bar{u} = (1 - |u|^2)u, \quad -1 < \delta < 1,$$

which arises in various liquid crystal models. In the isotropic case  $\delta = 0$ , Mironescu showed that such solution is nondegenerately stable. We prove stability of this radial solution in the range  $\delta \in (\delta_1, 0]$  for some  $-1 < \delta_1 < 0$ , and instability outside this range. In strong contrast with the isotropic case, stability with respect to higher Fourier modes is *not* a direct consequence of stability with respect to lower Fourier modes. In particular, in the case where  $\delta \approx -1$ , lower modes are stable and yet higher modes are unstable.

## 1. INTRODUCTION

Given  $\delta \in (-1, 1)$  and  $u : \mathbb{R}^2 \rightarrow \mathbb{C}$ , we consider the anisotropic energy

$$(1) \quad \mathfrak{E}[u] = \int_{\mathbb{R}^2} \frac{1}{2} |\nabla u|^2 + \frac{\delta}{2} \operatorname{Re} \{ (\partial_\eta \bar{u})^2 \} + \frac{1}{4} (1 - |u|^2)^2 dx, \quad \text{where } \partial_\eta = \partial_x + i\partial_y.$$

Minimizers and stable critical points of  $\mathfrak{E}$  are relevant in describing 2D point defects (or 3D straight-line defects) in some liquid crystal configurations (e.g. smectic- $C^*$  thin films [4] and nematics close to the Fréedericksz transition [2]). This energy can also be viewed as a toy model to understand intricate phenomena triggered by elastic anisotropy in the more complex Landau-de Gennes energy [11].

**Remark 1.1.** The anisotropic term  $\operatorname{Re} \{ (\partial_\eta \bar{u})^2 \}$  can be rewritten as

$$\operatorname{Re} \{ (\partial_\eta \bar{u})^2 \} = (\nabla \cdot u)^2 - (\nabla \times u)^2,$$

so that, in view of the identity  $|\nabla u|^2 = (\nabla \cdot u)^2 + (\nabla \times u)^2 - 2 \det(\nabla u)$ , energy (1) differs from

$$\tilde{\mathfrak{E}}[u] = \int \frac{k_s}{2} (\nabla \cdot u)^2 + \frac{k_b}{2} (\nabla \times u)^2 + \frac{1}{4} (1 - |u|^2)^2, \quad k_s = 1 + \delta, \quad k_b = 1 - \delta,$$

only by the integral of the null Lagrangian  $\det(\nabla u)$ . This is precisely the form that appears in [4] where minimizers of

$$(2) \quad \tilde{\mathfrak{E}}_\varepsilon[u] = \int_\Omega \frac{k_s}{2} (\nabla \cdot u)^2 + \frac{k_b}{2} (\nabla \times u)^2 + \frac{1}{4\varepsilon^2} (1 - |u|^2)^2$$

are investigated in the limit as  $\varepsilon \rightarrow 0^+$  in a bounded planar domain  $\Omega$ .

Critical points of  $\mathfrak{E}$  are solutions of the Euler-Lagrange equation

$$(3) \quad \begin{aligned} \mathfrak{L}_\delta u &= (|u|^2 - 1)u && \text{in } \mathbb{R}^2 \\ \mathfrak{L}_\delta u &:= \Delta u + \delta \partial_{\eta\eta} \bar{u}. \end{aligned}$$

We are interested in symmetric solutions of the form

$$(4) \quad u(re^{i\theta}) = f(r)e^{i\alpha}e^{i\theta} \quad \text{for some } \alpha \in \mathbb{R},$$

with a radial profile  $f(r)$  satisfying

$$(5) \quad f(0) = 0, \quad \lim_{r \rightarrow +\infty} f(r) = 1, \quad |f(r)| > 0 \quad \forall r \in (0, \infty).$$

Formally, one can always look for solutions of (3) in the form (4) (as a consequence of the  $O(2)$ -invariance of  $\mathfrak{E}$ ), and  $f$  must solve

$$Tf + \delta e^{-2i\alpha} T\bar{f} = \left(|f|^2 - 1\right) f, \quad T = \frac{d^2}{dr^2} + \frac{1}{r} \frac{d}{dr} - \frac{1}{r^2}.$$

At this point we see a fundamental difference with respect to the isotropic case  $\delta = 0$ . If  $\delta = 0$ , one can find solutions as above for a real-valued function  $f$ , which moreover does not depend on  $\alpha$ . In the anisotropic case  $\delta \neq 0$ , as remarked in [2], the function  $f$  can be real-valued only if  $\alpha \equiv 0$  modulo  $\pi/2$ . In that case, the existence and uniqueness of a solution satisfying (5) follows from the case  $\delta = 0$  (see [1, 6]). Otherwise, the function  $f$  must be complex valued.

**Remark 1.2.** Another difference with respect to the isotropic case is that for  $\delta \neq 0$  the Ansatz  $u(re^{i\theta}) = f(r)e^{im\theta}$  cannot provide a solution when the winding number  $m$  is  $\neq 1$ .

In [2], the core energies of the two symmetric solutions corresponding to  $\alpha = 0, \pi/2$  are compared, to find that the lowest energy corresponds to  $\alpha = 0$  for  $\delta < 0$  and  $\alpha = \pi/2$  for  $\delta > 0$ . In view of Remark 1.1 this is consistent with the fact that  $\nabla \times e^{i\theta} = 0$ , while  $\nabla \cdot i e^{i\theta} = 0$ ; indeed, for  $\delta < 0$  the energy  $\tilde{\mathfrak{E}}[u]$  in Remark 1.1 penalizes more strongly the term  $(\nabla \times u)^2$  than the term  $(\nabla \cdot u)^2$ , since in this case  $k_b = 1 - \delta > k_s = 1 + \delta$ . In [4, Proposition 3.1] the authors use this to show that minimizers of (2) behave like  $e^{i\alpha}e^{i\theta}$  around point defects, with  $\alpha \equiv 0$  (resp.  $\pi/2$ ) modulo  $\pi$  if  $\delta < 0$  (resp.  $\delta > 0$ ). These results tell us, for  $\delta \neq 0$ , which one is the minimizing behavior at infinity.

Here, in contrast, we fix the far-field behavior and investigate the local stability of radial solutions with respect to compactly supported perturbations. For the isotropic case  $\delta = 0$ , this study has been performed in [12] (see also [5]), and the radial solution is stable. In the anisotropic situation  $\delta \neq 0$  we find that the corresponding symmetric solution stays stable for negative  $\delta$  close to zero and it loses stability for  $\delta$  either positive or close to minus one (see Theorem 1.3 for precise statements).

It can be readily seen that the case  $\alpha = \pi/2$  corresponds to  $\alpha = 0$ , after changing the sign of  $\delta$ . Accordingly, we only treat the case where  $\alpha = 0$ . That is, we investigate the linear stability of solutions  $u$  of the form

$$(6) \quad u_{\text{rad}}^\delta(r, \theta) = f(r)e^{i\theta}, \quad f: (0, +\infty) \rightarrow (0, +\infty) \quad \text{with} \quad f(0) = 0, \quad \lim_{r \rightarrow +\infty} f(r) = 1.$$

Let us note that the equation satisfied by  $u_{\text{rad}}^\delta$ , (3), reduces to the following ODE for  $f$

$$(7) \quad (1 + \delta)Tf = (f^2 - 1)f, \quad T = \frac{d^2}{dr^2} + \frac{1}{r} \frac{d}{dr} - \frac{1}{r^2}.$$

As pointed out in [2], the rescaling of the variable by  $(1 + \delta)^{\frac{1}{2}}$  simplifies (7) to the standard ODE corresponding to the isotropic case  $\delta = 0$ . Whence, existence and uniqueness of  $f$  follow from [1, 6]. Moreover, it is known that  $f$  takes values in  $(0, 1)$  and is strictly increasing.

The second variation of the energy  $\mathfrak{E}$  around  $u_{\text{rad}}^\delta$  is the quadratic form

$$(8) \quad \begin{aligned} \mathfrak{Q}_{\text{rad}}^\delta[v] &= \int_{\mathbb{R}^2} |\nabla v|^2 + \delta \operatorname{Re} \{ (\partial_\eta \bar{v})^2 \} - (1 - |u_{\text{rad}}^\delta|^2) |v|^2 + 2 (u_{\text{rad}}^\delta \cdot v)^2 \, dx \\ &= \int_{\mathbb{R}^2} |\nabla v|^2 + \delta \operatorname{Re} \{ (\partial_\eta \bar{v})^2 \} - (1 - f^2) |v|^2 + 2f^2 (e^{i\theta} \cdot v)^2 \, dx \end{aligned}$$

associated to the linear operator obtained by linearizing (3) around  $u_{\text{rad}}^\delta$ :

$$\mathcal{L}(u_{\text{rad}}^\delta)[v] = -\mathfrak{L}_\delta v - (1 - |u_{\text{rad}}^\delta|^2)v + 2 (u_{\text{rad}}^\delta \cdot v) u_{\text{rad}}^\delta,$$

where  $u \cdot v := \operatorname{Re} \{ u \bar{v} \}$  denotes the standard inner product of complex-valued functions.

Taking into account the asymptotic expansion  $f(r) = 1 + O(r^{-2})$  as  $r \rightarrow \infty$  (see [1, 6]), it follows that the energy space of  $\mathfrak{Q}_{\text{rad}}^\delta$  naturally corresponds to

$$\mathcal{H} := \left\{ v \in H_{loc}^1(\mathbb{R}^2) : \int_{\mathbb{R}^2} |\nabla v|^2 + \frac{1}{r^2} |v|^2 + (e^{i\theta} \cdot v)^2 \, dx < +\infty \right\}.$$

Also, the translational invariance of  $\mathfrak{E}$  readily provides two elements of  $\mathcal{H}$  at which  $\mathfrak{Q}_{\text{rad}}^\delta$  vanishes, namely

$$\partial_x u_{\text{rad}}^\delta = e^{i\theta} \left( f' \cos \theta - i \frac{f}{r} \sin \theta \right), \quad \partial_y u_{\text{rad}}^\delta = e^{i\theta} \left( f' \sin \theta + i \frac{f}{r} \cos \theta \right),$$

and the linear space they generate is denoted by

$$K_0 = \operatorname{span} \{ \partial_x u_{\text{rad}}^\delta, \partial_y u_{\text{rad}}^\delta \}.$$

Our main result shows that the symmetric solution  $u_{\text{rad}}^\delta$  is stable when  $\delta \leq 0$  is small, and unstable otherwise:

**Theorem 1.3.** *Let  $u_{\text{rad}}^\delta$  denote the radial solution (6) of the anisotropic Ginzburg-Landau equation (3), and let  $\mathfrak{Q}_{\text{rad}}^\delta$  denote the quadratic form (8) associated to the energy  $\mathfrak{E}$  around  $u_{\text{rad}}^\delta$ . Then, there exists a unique number  $\delta_1 \in (-1, 0)$  such that*

- for every  $\delta \in (\delta_1, 0]$ ,  $u_{\text{rad}}^\delta$  is nondegenerately stable: namely,

$$\mathfrak{Q}_{\text{rad}}^\delta[v] > 0 \quad \text{for all } v \in H \setminus K_0,$$

- for every  $\delta \in (-1, \delta_1) \cup (0, 1)$ ,  $u_{\text{rad}}^\delta$  is linearly unstable: namely,

$$\mathfrak{Q}_{\text{rad}}^\delta[v] < 0 \quad \text{for some } v \in H.$$

**Remark 1.4.** The most relevant range from the stand point of physics is  $\delta \in (-1, 0]$  since for  $\delta > 0$  the far-field behavior corresponding to  $\alpha = 0$  is non-minimizing, and this translates here into instability of the radial solution.

**Remark 1.5.** In the stability range  $\delta \in (\delta_1, 0]$ , a contradiction argument as in [5, Lemma 3.1] provides a coercivity estimate of the form

$$\mathfrak{Q}_{\text{rad}}^\delta[v] \geq C(\delta) \int_{\mathbb{R}^2} |\nabla v|^2 dx \quad \forall v \in K_0^\perp : \int_{\mathbb{S}^1} (ie^{i\theta}) \cdot v(re^{i\theta}) d\theta = 0 \quad \forall r > 0,$$

where  $\perp$  denotes orthogonality in  $\mathcal{H}$ . Using this coercivity for  $\delta = 0$ , one can deduce stability for small negative  $\delta$  via a relatively simple perturbation argument, combined with properties of the lower modes in § 3. Instead, we will give a more quantitative proof, which provides an explicit range for stability: we deduce that  $\delta_1 \leq -1/\sqrt{5}$ .

Our proof of Theorem 1.3 follows the general strategy of [12]: we decompose  $v$  into Fourier modes

$$v = e^{i\theta} \sum_{n \in \mathbb{Z}} w_n(r) e^{in\theta}.$$

and we are led to studying the sign of  $\mathfrak{Q}_{\text{rad}}^\delta$ , separately, for each mode

$$e^{i\theta} \left( w_n(r) e^{in\theta} + w_{-n}(r) e^{-in\theta} \right).$$

As in [12], the lower modes  $n = 0$  and  $n = 1$  play a special role. They can be studied via an appropriate decomposition already used in [12] (see also [5]). For any  $\delta \in (-1, 0]$  we find that these lower modes are stable, while for  $\delta > 0$  the mode corresponding to  $n = 0$  is unstable.

A major difference of the present work compared to [12] (or similar results in [8–10]) pertains to the higher modes  $n \geq 2$ . In contrast with the cited works, stability for the higher modes is not an obvious consequence of stability for the lower modes. More precisely in the isotropic case we have

$$\mathfrak{Q}_{\text{rad}}^0 \left[ e^{i\theta} \left( w_+(r) e^{in\theta} + w_-(r) e^{-in\theta} \right) \right] \geq \mathfrak{Q}_{\text{rad}}^0 \left[ e^{i\theta} \left( w_+(r) e^{i\theta} + w_-(r) e^{-i\theta} \right) \right] \quad \forall n \geq 1,$$

but for  $\delta \neq 0$  this is not valid anymore, see (16). This feature is new and specific to the anisotropic case  $\delta \neq 0$ . Our strategy to study the sign of these higher modes is based on the same decomposition used for  $n = 1$ , and a careful balance of the contributions of additional terms, which end up causing instability for  $\delta \approx -1$ .

The article is organized as follows. In Section 2 we recall the splitting property of the quadratic form  $\mathfrak{Q}_{\text{rad}}^\delta$  with respect to Fourier expansion. In Section 3 we study the stability of lower modes, and in Section 4 the instability of higher modes. In Section 5 we give the proof of Theorem 1.3. In addition, we included Appendix A to recall the details of the decomposition used to study the lower modes, adapted to our notations.

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## 2. FOURIER SPLITTING

Recall that  $f(r) = f_0((1 + \delta)^{-\frac{1}{2}}r)$  where  $f_0$  is the classical Ginzburg-Landau vortex profile corresponding to the case  $\delta = 0$ . That is, the unique solution of

$$(9) \quad f_0'' + \frac{1}{r}f_0' - \frac{1}{r^2}f_0 = -(1 - f_0^2)f_0, \quad f_0 > 0 \text{ on } (0, +\infty), \quad f_0(0) = 0, \quad \lim_{r \rightarrow +\infty} f_0(r) = 1.$$

We rescale variables and consider  $\mathcal{Q}^\delta[v] = \mathfrak{Q}_{\text{rad}}^\delta[\tilde{v}]$  where  $\tilde{v}(\tilde{x}) = v((1 + \delta)^{-\frac{1}{2}}\tilde{x})$ , so that

$$(10) \quad \mathcal{Q}^\delta[v] = \int_{\mathbb{R}^2} |\nabla v|^2 + \delta \operatorname{Re} \{(\partial_\eta \bar{v})^2\} + (1 + \delta) \left\{ 2f_0^2 (e^{i\theta} \cdot v)^2 - (1 - f_0^2)|v|^2 \right\} dx,$$

which corresponds to the second variation of the appropriately rescaled energy around  $u_{\text{rad}}^0$ . Following [12] we decompose  $v$  using Fourier series, as

$$(11) \quad v = e^{i\theta}w = e^{i\theta} \sum_{n \in \mathbb{Z}} w_n(r)e^{in\theta},$$

where we have conveniently shifted the index  $n - 1 \mapsto n$ .

This decomposition provides a “diagonalization” of the linearized operator:

**Lemma 2.1.** *The quadratic form (10) splits as*

$$\mathcal{Q}^\delta[v] = \mathcal{Q}^\delta \left[ w_0(r)e^{i\theta} \right] + \sum_{n \geq 1} \mathcal{Q}^\delta \left[ e^{i\theta} \left( w_n(r)e^{in\theta} + w_{-n}(r)e^{-in\theta} \right) \right].$$

*Proof of Lemma 2.1.* Lemma 2.1 essentially asserts that the family of functions

$$(12) \quad w_0(r)e^{i\theta}, \quad \{e^{i\theta} (w_n(r)e^{in\theta} + w_{-n}(r)e^{-in\theta}) : n \geq 1\},$$

is orthogonal for the quadratic form  $\mathcal{Q}$ . This quadratic form (10) is composed of three terms. For the first term,

$$\int_{\mathbb{R}^2} |\nabla v|^2 dx,$$

the orthogonality of (12) is a standard fact (recall e.g. in [12]). For the third term,

$$\int_{\mathbb{R}^2} \left\{ f_0^2 (e^{i\theta} \cdot v)^2 - (1 - f_0^2)|v|^2 \right\} dx,$$

the orthogonality of (12) is proved in [12]. The novelty here, with respect to [12], concerns the anisotropic term

$$\int_{\mathbb{R}^2} \operatorname{Re} \{(\partial_\eta \bar{v})^2\} dx.$$

The orthogonality of (12) for this anisotropic term, as a matter of fact, follows from the calculations in [3, § 3.2]. As our notations are different, we sketch a proof here for the reader's convenience.

We compute

$$\partial_\eta \bar{v} = e^{i\theta} \partial_r \bar{v} + \frac{ie^{i\theta}}{r} \partial_\theta \bar{v} = \sum_{n \in \mathbb{Z}} \left( \bar{w}'_n + \frac{1+n}{r} \bar{w}_n \right) e^{-in\theta},$$

and deduce, using the orthogonality of  $\{e^{in\theta}\}$  in  $L^2(\mathbb{S}^1)$ ,

$$\begin{aligned}
& \int_{\mathbb{S}^1} \operatorname{Re} \{(\partial_\eta \bar{v})^2\} d\theta \\
&= \operatorname{Re} \left\{ \sum_{n,m \in \mathbb{Z}} \left( \bar{w}'_n + \frac{1+n}{r} \bar{w}_n \right) \left( \bar{w}'_m + \frac{1+m}{r} \bar{w}_m \right) \int_{\mathbb{S}^1} e^{-i(n+m)\theta} d\theta \right\} \\
&= \operatorname{Re} \left\{ \sum_{n \in \mathbb{Z}} \left( \bar{w}'_n + \frac{1+n}{r} \bar{w}_n \right) \left( \bar{w}'_{-n} + \frac{1-n}{r} \bar{w}_{-n} \right) \right\} \\
&= \sum_{n \in \mathbb{Z}} \operatorname{Re} \left\{ \left( \bar{w}'_n + \frac{1+n}{r} \bar{w}_n \right) \left( \bar{w}'_{-n} + \frac{1-n}{r} \bar{w}_{-n} \right) \right\}.
\end{aligned}$$

This implies the announced orthogonality and completes the proof of Lemma 2.1.  $\square$

According to the decomposition of Lemma (2.1), we define the quadratic forms

$$\begin{aligned}
Q_0^\delta[\varphi] &= \frac{1}{2\pi} \mathcal{Q}^\delta \left[ \varphi(r) e^{i\theta} \right] && \text{for } \varphi \in \mathcal{H}_0, \\
Q_n^\delta[\varphi, \psi] &= \frac{1}{2\pi} \mathcal{Q}^\delta \left[ e^{i\theta} \left( \varphi(r) e^{in\theta} + \psi(r) e^{-in\theta} \right) \right] && \text{for } (\varphi, \psi) \in \mathcal{H}_1,
\end{aligned}$$

where  $\mathcal{H}_0$  and  $\mathcal{H}_1$  are the natural spaces corresponding to the conditions  $\varphi(r) e^{i\theta} \in \mathcal{H}$  and  $e^{i\theta} (\varphi(r) e^{in\theta} + \psi(r) e^{-in\theta}) \in \mathcal{H}$  for  $n \geq 1$ , respectively.

$$\begin{aligned}
\mathcal{H}_0 &= \left\{ \varphi \in H_{loc}^1(0, \infty) : \int_0^{+\infty} \left( |\varphi'|^2 + \frac{|\varphi|^2}{r^2} + \operatorname{Re} \{ \varphi \}^2 \right) r dr < +\infty \right\}, \\
\mathcal{H}_1 &= \left\{ (\varphi, \psi) \in (H_{loc}^1(0, \infty))^2 : \int_0^{+\infty} \left( |\varphi'|^2 + |\psi'|^2 + \frac{|\varphi|^2 + |\psi|^2}{r^2} + |\varphi + \bar{\psi}|^2 \right) r dr < +\infty \right\}
\end{aligned}$$

**Remark 2.2.** Using the density of smooth functions in  $H_{loc}^1$  and cut-off functions  $\chi_\varepsilon$  such that  $\mathbf{1}_{2\varepsilon < r < \varepsilon^{-1}} \leq \chi_\varepsilon(r) \leq \mathbf{1}_{\varepsilon < r < 2\varepsilon^{-1}}$  and  $|\chi'_\varepsilon(r)| \leq C/r$ , we see that smooth test functions with compact support in  $(0, \infty)$  are dense in  $\mathcal{H}_0$  and  $\mathcal{H}_1$ . Hence, in the sequel, we will always be able to perform calculations assuming, without loss of generality, that  $\varphi$  and  $\psi$  are such test functions.

The quadratic forms  $Q_0^\delta$  and  $Q_n^\delta$  are explicitly given by

$$(13) \quad Q_0^\delta[\varphi] = \int_0^\infty \left[ |\varphi'|^2 + \frac{1}{r^2} |\varphi|^2 + \delta \operatorname{Re} \left\{ \left( \bar{\varphi}' + \frac{1}{r} \bar{\varphi} \right)^2 \right\} \right. \\ \left. + (1 + \delta) \left\{ 2f_0^2 (\operatorname{Re} \{\varphi\})^2 - (1 - f_0^2) |\varphi|^2 \right\} \right] r dr,$$

$$(14) \quad Q_n^\delta[\varphi, \psi] = \int_0^\infty \left[ |\varphi'|^2 + |\psi'|^2 + \frac{(1+n)^2}{r^2} |\varphi|^2 + \frac{(1-n)^2}{r^2} |\psi|^2 \right. \\ \left. + 2\delta \operatorname{Re} \left\{ \left( \bar{\varphi}' + \frac{1+n}{r} \bar{\varphi} \right) \left( \bar{\psi}' + \frac{1-n}{r} \bar{\psi} \right) \right\} \right. \\ \left. + (1 + \delta) \left\{ f_0^2 |\varphi + \bar{\psi}|^2 - (1 - f_0^2) (|\varphi|^2 + |\psi|^2) \right\} \right] r dr.$$

**Remark 2.3.** For every  $n \geq 1$  there is a further splitting, namely

$$Q_n^\delta[\varphi, \psi] = Q_n^\delta[\operatorname{Re} \{\varphi\}, \operatorname{Re} \{\psi\}] + Q_n^\delta[\operatorname{Im} \{\varphi\}, -\operatorname{Im} \{\psi\}].$$

Consequently, it will be sufficient to consider real-valued test functions  $\varphi, \psi$ .

### 3. STUDY OF THE LOWER MODES $Q_0^\delta$ AND $Q_1^\delta$

We show that  $Q_0^\delta$  is positive for  $\delta \leq 0$ , but it can become negative for  $\delta > 0$ . In addition, we prove that  $Q_1^\delta$  is nonnegative for all  $\delta \in (-1, 0]$ .

**3.1. Positivity of  $Q_0^\delta$  for  $\delta \in (-1, 0]$ .** Let us recall from (13) that  $Q_0^\delta$  is given by

$$Q_0^\delta[\varphi] = \int_0^\infty \left[ |\varphi'|^2 + \frac{1}{r^2} |\varphi|^2 + \delta \operatorname{Re} \left\{ \left( \bar{\varphi}' + \frac{1}{r} \bar{\varphi} \right)^2 \right\} \right. \\ \left. + (1 + \delta) \left\{ 2f_0^2 (\operatorname{Re} \{\varphi\})^2 - (1 - f_0^2) |\varphi|^2 \right\} \right] r dr$$

We now introduce the quadratic form

$$A_0[\varphi] := Q_0^0[\varphi] \\ = \int_0^\infty \left[ |\varphi'|^2 + \frac{1}{r^2} |\varphi|^2 + 2f_0^2 (\operatorname{Re} \{\varphi\})^2 - (1 - f_0^2) |\varphi|^2 \right] r dr.$$

It is known that  $A_0[\varphi] > 0$ , unless  $\varphi = 0$  (see Appendix A for more details). Moreover, we have the identity

$$\begin{aligned} Q_0^\delta[\varphi] &= (1 + \delta)A_0[\operatorname{Re}\{\varphi\}] + (1 - \delta)A_0[i\operatorname{Im}\{\varphi\}] - 2\delta \int (1 - f_0^2)(\operatorname{Im}\{\varphi\})^2 r dr \\ &\quad + \delta \int_0^\infty \frac{d}{dr} [(\operatorname{Re}\{\varphi\})^2 - (\operatorname{Im}\{\varphi\})^2] dr \\ &= (1 + \delta)A_0[\operatorname{Re}\{\varphi\}] + (1 - \delta)A_0[i\operatorname{Im}\{\varphi\}] - 2\delta \int (1 - f_0^2)(\operatorname{Im}\{\varphi\})^2 r dr, \end{aligned}$$

which is valid for any  $\varphi \in C_c^\infty(0, \infty)$ , hence for  $\varphi \in \mathcal{H}_0$  thanks to Remark 2.2. Since  $1 - f_0^2 \geq 0$ , we deduce the positivity of  $Q_0^\delta$  for every  $\delta \in (-1, 0]$ .

**3.2. Instability for  $\delta > 0$ .** Using the formula (18) obtained for  $A_0$  in Appendix A, we see that for any compactly supported real-valued test function  $\chi$  we have

$$Q_0^\delta[if_0\chi] = (1 - \delta) \int f_0^2(\chi')^2 r dr - 2\delta \int (1 - f_0^2)f_0^2\chi^2 r dr.$$

Applying this to  $\chi_n(r) = \chi_1(r/n)$ , for a fixed test function  $\chi_1$ , and using the asymptotic expansion [1, 6]:

$$f_0(r) = 1 - \frac{1}{2r^2} + O(r^{-4}) \quad \text{as } r \rightarrow \infty,$$

we see that

$$\lim_{n \rightarrow \infty} Q_0^\delta[if_0\chi_n] = (1 - \delta) \int (\chi_1')^2 r dr - 2\delta \int \frac{\chi_1^2}{r^2} r dr.$$

When  $\delta > 0$ , this expression must be negative for some  $\chi_1$ , since Hardy's inequality is known to fail in two dimensions. Explicitly, by choosing

$$\chi_1(r) = \sin(\sqrt{\lambda} \ln r) \mathbf{1}_{(1, e^{\pi/\sqrt{\lambda}})}(r) \quad \text{for } \lambda = \frac{\delta}{1 - \delta} > 0,$$

we have that  $\chi_1 \in H^1(0, \infty)$  is compactly supported, and

$$\lim_{n \rightarrow \infty} Q_0^\delta[if_0\chi_n] = -\delta \int \frac{\chi_1^2}{r^2} r dr < 0.$$

Whence, for  $\delta > 0$ , the mode of order 0 already brings instability. This comes as no surprise as this mode corresponds to infinitesimal rotations (see Appendix A), and we know that the far-field behavior  $e^{i\theta}$  is unstable: rotating this far-field behavior decreases the energy.

3.3. **Positivity of  $Q_1^\delta$  for  $\delta \leq 0$ .** Recall, according to (14), that  $Q_1^\delta$  is given by

$$\begin{aligned} Q_1^\delta[\varphi, \psi] = \int_0^\infty & \left[ |\varphi'|^2 + |\psi'|^2 + \frac{4}{r^2} |\varphi|^2 \right. \\ & + 2\delta \operatorname{Re} \left\{ \left( \bar{\varphi}' + \frac{2}{r} \bar{\varphi} \right) \bar{\psi}' \right\} \\ & \left. + (1 + \delta) \left\{ f_0^2 |\varphi + \bar{\psi}|^2 - (1 - f_0^2) (|\varphi|^2 + |\psi|^2) \right\} \right] r dr. \end{aligned}$$

We introduce the quadratic form  $A_1 := Q_1^0$ , namely

$$\begin{aligned} A_1[\varphi, \psi] = \int_0^\infty & \left[ |\varphi'|^2 + |\psi'|^2 + \frac{4}{r^2} |\varphi|^2 \right. \\ & \left. + f_0^2 |\varphi + \bar{\psi}|^2 - (1 - f_0^2) (|\varphi|^2 + |\psi|^2) \right] r dr. \end{aligned}$$

It is a known fact that  $A_1$  is nonnegative on  $\mathcal{H}_1$ , and vanishes exactly at pairs  $(\varphi, \psi)$  corresponding to maps  $v$  which are linear combinations of  $\partial_x u_{\text{rad}}^0$  and  $\partial_y u_{\text{rad}}^0$  (see Appendix A for more details). Moreover, we have

$$\begin{aligned} (15) \quad Q_1^\delta[\varphi, \psi] - (1 + \delta)A_1[\varphi, \psi] &= -\delta \int_0^\infty \left[ |\varphi'|^2 + |\psi'|^2 + \frac{4}{r^2} |\varphi|^2 \right] r dr \\ &+ 2\delta \int_0^\infty \operatorname{Re} \left\{ \left( \bar{\varphi}' + \frac{2}{r} \bar{\varphi} \right) \bar{\psi}' \right\} r dr \\ &= -\delta \int_0^\infty \left| \varphi' + \frac{2}{r} \varphi - \bar{\psi}' \right|^2 r dr - 2\delta \int_0^\infty \frac{d}{dr} [|\varphi|^2] dr \\ &= -\delta \int_0^\infty \left| \varphi' + \frac{2}{r} \varphi - \bar{\psi}' \right|^2 r dr, \end{aligned}$$

for  $(\varphi, \psi) \in (C_c^\infty(0, \infty))^2$ , hence for all  $(\varphi, \psi) \in \mathcal{H}_1$ . From this identity we infer that  $Q_1^\delta \geq 0$  for every  $\delta \in (-1, 0]$ , and equality can only occur when  $v$  is a linear combination of  $\partial_x u_{\text{rad}}^0$  and  $\partial_y u_{\text{rad}}^0$ .

#### 4. STUDY OF THE HIGHER MODES $Q_n^\delta$ FOR $n \geq 2$

4.1. **Positivity of  $Q_n^\delta$  for  $n \geq 2$  and  $\delta \in [-1/\sqrt{5}, 0]$ .** Let us recall: in the isotropic case, the positivity of  $Q_n^\delta$  (any  $n \geq 2$ ) is a consequence of the fact that  $Q_n^0 \geq Q_1^0$ . Here, from the

definition (14) of  $Q_n^\delta$ , we have

$$(16) \quad \begin{aligned} Q_n^\delta[\varphi, \psi] - Q_1^\delta[\varphi, \psi] \\ = (n-1) \int_0^\infty \left[ \frac{n+3}{r^2} |\varphi|^2 + \frac{n-1}{r^2} |\psi|^2 - 2\delta \frac{n+1}{r^2} \operatorname{Re} \{ \bar{\varphi} \bar{\psi} \} \right. \\ \left. + 2 \frac{\delta}{r} \operatorname{Re} \{ \bar{\varphi} \bar{\psi}' - \bar{\varphi}' \bar{\psi} \} \right] r dr. \end{aligned}$$

Unlike what happens in the isotropic case, this does not obviously have a sign (because of the last term which contains derivatives).

It seems reasonable to use a decomposition for  $\varphi, \psi$  adapted to  $Q_1^\delta$ , as in Appendix A. Accordingly, we define for any real-valued test functions  $\zeta, \eta$ , the adapted quadratic form

$$B_n^\delta[\zeta, \eta] = \frac{1}{2} Q_n^\delta [f_0' \zeta - r^{-1} f_0 \eta, f_0' \zeta + r^{-1} f_0 \eta]$$

Decomposing

$$Q_n^\delta = (1+\delta)A_1 + Q_1^\delta - (1+\delta)A_1 + Q_n^\delta - Q_1^\delta$$

and using the above expressions of  $Q_n^\delta - Q_1^\delta$  (16) and  $Q_1^\delta - (1+\delta)A_1$  (15), we have, for real-valued  $(\varphi, \psi) \in \mathcal{H}_1$ :

$$\begin{aligned} Q_n^\delta[\varphi, \psi] &= (1+\delta)A_1[\varphi, \psi] \\ &\quad - \delta \int_0^\infty \left( \varphi' + \frac{2}{r} \varphi - \psi' \right)^2 r dr \\ &\quad + (n-1) \int_0^\infty \left[ \frac{n+3}{r^2} \varphi^2 + \frac{n-1}{r^2} \psi^2 - 2\delta \frac{n+1}{r^2} \varphi \psi \right] r dr \\ &\quad + 2\delta(n-1) \int_0^\infty \frac{1}{r} (\varphi \psi' - \varphi' \psi) r dr. \end{aligned}$$

When plugging in  $\varphi = f_0' \zeta - r^{-1} f_0 \eta$ ,  $\psi = f_0' \zeta + r^{-1} f_0 \eta$ , the first term significantly simplifies thanks to the formula (19) for  $A_1$  in Appendix A. For the other terms we directly expand

$$\begin{aligned} \varphi' + \frac{2}{r} \varphi - \psi' &= 2f_0' \frac{\zeta - \eta}{r} - 2 \frac{f_0}{r} \eta', \\ \frac{n+3}{r^2} \varphi^2 + \frac{n-1}{r^2} \psi^2 - 2\delta \frac{n+1}{r^2} \varphi \psi \\ &= 2(1-\delta) \frac{n+1}{r^2} (f_0' \zeta)^2 + 2(1+\delta) \frac{n+1}{r^2} \left( \frac{f_0}{r} \eta \right)^2 - \frac{8}{r^2} f_0' \zeta \frac{f_0}{r} \eta \\ \varphi \psi' - \varphi' \psi &= 2 \left( \frac{f_0}{r} \eta \right)' f_0' \zeta - 2(f_0' \zeta)' \frac{f_0}{r} \eta, \end{aligned}$$

from which it follows that  $B_n^\delta[\zeta, \eta] = (1/2)Q_n^\delta[f_0'\zeta - r^{-1}f_0\eta, f_0'\zeta + r^{-1}f_0\eta]$  can be rewritten as

$$(17) \quad B_n^\delta[\zeta, \eta] = (1 + \delta) \int_0^\infty \left[ \frac{f_0'^2}{r^2} (\eta')^2 + (f_0')^2 (\zeta')^2 + \frac{2}{r^3} f_0 f_0' (\eta - \zeta)^2 \right] r dr \\ - 2\delta \int_0^\infty \left[ \frac{f_0'}{r} (\eta - \zeta) + \frac{f_0}{r} \eta' \right]^2 r dr \\ + (n-1) \int_0^\infty \left[ (1-\delta) \frac{n+1}{r^2} (f_0'\zeta)^2 + (1+\delta) \frac{n+1}{r^2} \left( \frac{f_0}{r} \eta \right)^2 - \frac{4}{r^2} (f_0'\zeta) \left( \frac{f_0}{r} \eta \right) \right] r dr \\ + 2\delta(n-1) \int_0^\infty \frac{1}{r} \left[ \left( \frac{f_0}{r} \eta \right)' f_0'\zeta - (f_0'\zeta)' \frac{f_0}{r} \eta \right] r dr.$$

Integrating by parts, the last integral becomes

$$\int_0^\infty \frac{1}{r} \left[ \left( \frac{f_0}{r} \eta \right)' f_0'\zeta - (f_0'\zeta)' \frac{f_0}{r} \eta \right] r dr = 2 \int_0^\infty \left( \frac{f_0}{r} \eta \right)' f_0' \frac{\zeta}{r} r dr \\ = 2 \int_0^\infty \left[ \left( f_0' - \frac{f_0}{r} \right) f_0' \frac{\eta \zeta}{r r} + \frac{f_0}{r} \eta' f_0' \frac{\zeta}{r} \right] r dr.$$

We use the first positive term in (17) in order to absorb this latter term: thanks to the identity

$$(1 + \delta) \frac{f_0'^2}{r^2} (\eta')^2 + 4\delta(n-1) \frac{f_0}{r} \eta' f_0' \frac{\zeta}{r} = (1 + \delta) \left( \frac{f_0}{r} \eta' + \frac{2\delta}{1+\delta} (n-1) f_0' \frac{\zeta}{r} \right)^2 \\ - 4 \frac{\delta^2}{1+\delta} (n-1)^2 (f_0')^2 \left( \frac{\zeta}{r} \right)^2,$$

we rewrite (17) as

$$B_n^\delta[\zeta, \eta] = B_n^{\delta,1}[\zeta, \eta] + (n-1)B_n^{\delta,2}[\zeta, \eta], \\ B_n^{\delta,1}[\zeta, \eta] = (1 + \delta) \int_0^\infty \left[ \left( \frac{f_0}{r} \eta' + \frac{2\delta}{1+\delta} (n-1) f_0' \frac{\zeta}{r} \right)^2 + (f_0')^2 (\zeta')^2 \right] r dr \\ + 2 \int_0^\infty \left\{ (1 + \delta) f_0' \frac{f_0}{r} \frac{(\eta - \zeta)^2}{r^2} - \delta \left[ \frac{f_0'}{r} (\eta - \zeta) + \frac{f_0}{r} \eta' \right]^2 \right\} r dr, \\ B_n^{\delta,2}[\zeta, \eta] = \int_0^\infty q_n^\delta(r) \left[ f_0' \frac{\zeta}{r}, \frac{f_0}{r} \eta \right] r dr,$$

and  $q_n^\delta(r)$  is the quadratic form on  $\mathbb{R}^2$  given by

$$q_n^\delta(r)[X, Y] = a_n X^2 + b_n Y^2 + 2c(r)XY, \\ a_n = (1 - \delta)(n + 1) - 4 \frac{\delta^2}{1 + \delta} (n - 1) \\ b_n = (1 + \delta)(n + 1) \\ c(r) = -2 - 2\delta \left( 1 - r \frac{f_0'}{f_0} \right)$$

We readily see that  $B_n^{\delta,1}$  is nonnegative for  $\delta \leq 0$ . Moreover, since  $1 > rf'_0/f_0 > 0$  [7, Proposition 2.2], for  $\delta \leq 0$ , it follows that

$$|c(r)| \leq 2.$$

As  $b_n > 0$ , a sufficient condition for  $q_n^\delta(r)$  to be positive definite for all  $r > 0$  is

$$4 < a_n b_n = (1 - \delta^2)(n+1)^2 - 4\delta^2(n^2 - 1).$$

This amounts to the condition

$$0 < \alpha(\delta)n^2 + \beta(\delta)n + \gamma(\delta),$$

where

$$\alpha(\delta) = 1 - 5\delta^2,$$

$$\beta(\delta) = 2(1 - \delta^2),$$

$$\gamma(\delta) = -3(1 - \delta^2).$$

For  $\delta \in [-1/\sqrt{5}, 0]$  we have  $\alpha(\delta), \beta(\delta) \geq 0$  so that the above polynomial in  $n$  is nondecreasing on  $[0, +\infty)$ . Hence, it is positive for all values of  $n \geq 2$  if and only if it is positive for  $n = 2$ . That is,

$$0 < 4\alpha(\delta) + 2\beta(\delta) + \gamma(\delta) = 5 - 21\delta^2.$$

We deduce that  $q_n^\delta$  is a positive definite quadratic form for all  $n \geq 2$  whenever  $\delta \in [-1/\sqrt{5}, 0]$ . In particular,  $B_n^{\delta,2} \geq 0$  and therefore  $Q_n^\delta \geq 0$  for  $\delta \in [-1/\sqrt{5}, 0]$ , with equality only at  $(0, 0)$ .

**4.2. Instability for  $\delta \approx -1$ .** In this section we show that  $Q_n^\delta$  can take negative values for  $\delta \approx -1$  and  $n \geq 1$  large enough. To this end, we choose  $\eta = \zeta$  in (17), to obtain

$$\begin{aligned} \hat{B}_n^\delta[\zeta] &= B_n^\delta[\zeta, \zeta] \\ &= (1 - \delta) \int_0^\infty \frac{f_0^2}{r^2} (\zeta')^2 r dr + (1 + \delta) \int_0^\infty (f_0')^2 (\zeta')^2 r dr + (n - 1) \int_0^\infty \frac{\zeta^2}{r^2} \alpha_n^\delta(r) r dr \\ \alpha_n^\delta(r) &= (1 - \delta)(n + 1)(f_0')^2 + (1 + \delta)(n + 1) \left( \frac{f_0}{r} \right)^2 - 2(2 + \delta)f_0' \frac{f_0}{r} + 2\delta(f_0')^2 - 2\delta f_0 f_0''. \end{aligned}$$

Using the asymptotics of  $f_0$  ([1, 6])

$$f_0(r) = 1 - \frac{1}{2}r^{-2} + O(r^{-4}), \quad f_0'(r) = r^{-3} + O(r^{-5}), \quad f_0''(r) = -3r^{-4} + O(r^{-6}),$$

we find, for  $r \rightarrow +\infty$ ,

$$\alpha_n^\delta(r) = \frac{(1 + \delta)(n + 1)}{r^2} \left( 1 - \frac{1}{r^2} \right) - 4 \frac{1 - \delta}{r^4} + O(r^{-6}).$$

For  $\delta = -1$  the leading order is negative. Hence, there exists  $\varepsilon > 0$  and a compact interval  $[r_0, r_0 + 1]$  on which  $\alpha_n^{-1} \leq -2\varepsilon$ . Thus, we deduce that for all  $n \geq 2$  there exists  $\delta_n > -1$  such that for all  $\delta \in (-1, \delta_n]$ ,

$$-\varepsilon \geq \alpha_n^\delta(r), \quad \forall r \in [r_0, r_0 + 1].$$

Choosing a nonzero test function  $\zeta_0$  with support in  $[r_0, r_0 + 1]$ , we obtain

$$\hat{B}_n^\delta[\zeta_0] \leq C_1(\zeta_0) - (n-1)\varepsilon C_2(\zeta_0) \quad \forall \delta \in (-1, \delta_n],$$

for some  $C_1(\zeta_0), C_2(\zeta_0) > 0$ . If  $n$  is large enough this becomes negative. Compared to the isotropic case this is a really new situation: lower modes are positive but higher modes can bring instability.

### 5. PROOF OF THEOREM 1.3

In what precedes we have shown that  $u_{\text{rad}}^\delta$  is nondegenerately stable for small  $\delta \leq 0$ , and unstable for  $\delta > 0$  and  $\delta$  close to  $-1$ . In particular, setting

$$\delta_1 = \sup\{\delta \in (-1, 0) : u_{\text{rad}}^\delta \text{ is unstable}\},$$

we know that  $-1 < \delta_1 < 0$ . It remains to show that  $u_{\text{rad}}^\delta$  is unstable for all  $\delta \in (-1, \delta_1)$ , and nondegenerately stable for  $\delta \in (\delta_1, 0]$ .

Let  $\delta' \in (-1, \delta_1)$  be such that  $u_{\text{rad}}^{\delta'}$  is unstable, that is,  $\mathcal{Q}^{\delta'}[v] < 0$  for some choice of  $v \in H$ . Given that  $\delta \mapsto \mathcal{Q}^\delta[v]$  is an affine function which is nonnegative for  $\delta = 0$  and negative for  $\delta = \delta'$ , we deduce that  $\mathcal{Q}^\delta[v] < 0$  for all  $\delta \leq \delta'$ . Therefore,  $u_{\text{rad}}^\delta$  is unstable for all  $\delta \in (-1, \delta')$ . By arbitrariness of  $\delta'$  we deduce that  $u_{\text{rad}}^\delta$  is unstable for all  $\delta \in (-1, \delta_1)$ .

Let us now fix  $\delta \in (\delta_1, 0]$ . By definition of  $\delta_1$ ,  $u_{\text{rad}}^\delta$  is not unstable for all  $\delta \in (\delta_1, 0]$ . In other words,  $\mathcal{Q}^\delta[v]$  is nonnegative for all  $v \in \mathcal{H}$ . It remains to show that, in fact,  $\mathcal{Q}^\delta[v] > 0$  for all  $v \in \mathcal{H} \setminus \text{span}(\partial_x u_{\text{rad}}^0, \partial_y u_{\text{rad}}^0)$ . We observe that the function  $\delta \mapsto \mathcal{Q}^\delta[v]$  is affine for any given  $v \in \mathcal{H} \setminus \text{span}(\partial_x u_{\text{rad}}^0, \partial_y u_{\text{rad}}^0)$ ; it is positive for  $\delta = 0$  because  $u_{\text{rad}}^0$  is nondegenerately stable, and it is nonnegative for  $\delta \in (\delta_1, 0)$ . Thus, it must be strictly positive for  $\delta \in (\delta_1, 0)$ . This proves the desired nondegenerate stability in the announced range.

### APPENDIX A. POSITIVITY OF $A_0, A_1$

We sketch here the approach in [12], adapted to our notation (see also [5]), based on Hardy-type decompositions to show positivity of the two following quadratic forms

$$\begin{aligned} A_0[\varphi] &= \int_0^\infty \left[ |\varphi'|^2 + \frac{1}{r^2} |\varphi|^2 \right. \\ &\quad \left. + 2f_0^2 (\text{Re}\{\varphi\})^2 - (1 - f_0^2) |\varphi|^2 \right] r dr, \\ A_1[\varphi, \psi] &= \int_0^\infty \left[ |\varphi'|^2 + |\psi'|^2 + \frac{4}{r^2} |\varphi|^2 \right. \\ &\quad \left. + f_0^2 |\varphi + \bar{\psi}|^2 - (1 - f_0^2) (|\varphi|^2 + |\psi|^2) \right] r dr. \end{aligned}$$

Testing equation (9), solved by  $f_0$ , against  $f_0|\tilde{\varphi}|^2$  for any smooth compactly supported  $\tilde{\varphi} \in C_c^\infty(\mathbb{R}; \mathbb{C})$ , one obtains

$$\int_0^\infty \left[ (f_0')^2 |\tilde{\varphi}|^2 + 2f_0 f_0' \tilde{\varphi} \cdot \tilde{\varphi}' + \frac{f_0^2}{r^2} |\tilde{\varphi}|^2 - (1 - f_0^2) f_0^2 |\tilde{\varphi}|^2 \right] r dr = 0,$$

so that

$$(18) \quad A_0[f_0 \tilde{\varphi}] = \int_0^\infty \left[ f_0^2 |\tilde{\varphi}'|^2 + 2f_0^4 (\operatorname{Re} \{\tilde{\varphi}\})^2 \right] r dr.$$

By density of test functions, and since  $f_0 > 0$ , we deduce that  $A_0[\varphi] > 0$  for any non-zero  $\varphi \in \mathcal{H}_0$ . Moreover  $A_0[\varphi] \approx 0$  exactly when  $\varphi \approx if_0$ . This corresponds to the fact that in the isotropic case  $\delta = 0$ ,

$$\partial_\alpha [e^{i\alpha} u_{\text{rad}}^\delta]_{|\alpha=0} = if_0 e^{i\theta}$$

solves the linearized equation due to rotational invariance.

For  $A_1$ , it is convenient to start by splitting it as

$$A_1[\varphi, \psi] = A_1[\operatorname{Re} \{\varphi\}, \operatorname{Re} \{\psi\}] + A_1[\operatorname{Im} \{\varphi\}, -\operatorname{Im} \{\psi\}],$$

so we may just treat the case of real-valued test functions  $\varphi, \psi$ . Guided by the fact that

$$\partial_x u_{\text{rad}}^0 = e^{i\theta} (f_0' \cos \theta - i \frac{f_0}{r} \sin \theta), \quad \partial_y u_{\text{rad}}^0 = e^{i\theta} (f_0' \sin \theta + i \frac{f_0}{r} \cos \theta),$$

solve the linearized equation around  $u_{\text{rad}}^0$ , one uses the ansatz

$$\varphi = f_0' \zeta - \frac{f_0}{r} \eta, \quad \psi = f_0' \zeta + \frac{f_0}{r} \eta,$$

for some real-valued  $\eta, \zeta \in C_c^\infty(0, \infty)$ . Testing equation (9), solved by  $f_0$ , against  $f_0 r^{-2} \eta^2$  we obtain

$$\int_0^\infty \left[ \left( \left( \frac{f_0}{r} \right)' \right)^2 \eta^2 + 2 \left( \frac{f_0}{r} \right)' \frac{f_0}{r} \eta \eta' + \frac{2}{r^4} f_0^2 \eta^2 - \frac{2}{r^3} f_0 f_0' \eta^2 - (1 - f_0^2) \frac{f_0^2}{r^2} \eta^2 \right] r dr = 0,$$

and similarly testing (9) against  $(f_0' \zeta^2)'$  we find

$$\int_0^\infty \left[ (f_0'')^2 \zeta^2 + 2f_0' f_0'' \zeta \zeta' + \frac{2}{r^2} (f_0')^2 \zeta^2 - \frac{2}{r^3} f_0 f_0' \zeta^2 + (3f_0^2 - 1) (f_0')^2 \zeta^2 \right] r dr = 0.$$

As a consequence of these two identities, we learn

$$(19) \quad \begin{aligned} & A_1 [f_0' \zeta - r^{-1} f_0 \eta, f_0' \zeta + r^{-1} f_0 \eta] \\ &= 2 \int_0^\infty \left[ \frac{f_0^2}{r^2} (\eta')^2 + (f_0')^2 (\zeta')^2 + \frac{2}{r^3} f_0 f_0' (\eta - \zeta)^2 \right] r dr. \end{aligned}$$

Since  $f_0, f_0' > 0$  one may consider the choice

$$\zeta = \frac{1}{2f_0'} (\varphi + \psi), \quad \eta = \frac{r}{2f_0} (\psi - \varphi),$$

and deduce from the above that  $A_1[\varphi, \psi] > 0$  for all non-zero  $(\varphi, \psi) \in \mathcal{H}_1$ . Moreover  $A_1[\varphi, \psi] = 0$  exactly when  $(\varphi, \psi)$  is in the real linear span of

$$\left( f'_0 - \frac{f_0}{r}, f'_0 + \frac{f_0}{r} \right), \quad \left( i \left( f'_0 - \frac{f_0}{r} \right), -i \left( f'_0 + \frac{f_0}{r} \right) \right),$$

which corresponds to the fact that  $\partial_x u_{\text{rad}}^0$  and  $\partial_y u_{\text{rad}}^0$  solve the linearized equation.

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