

New Hierarchies of Derivative nonlinear Schrödinger Type Equation

Jingsong He

Department of Mathematics
Ningbo University, Ningbo, Zhejiang

Joint with Zhiwei Wu (Ningbo University), Yongshuai Zhang (USTC)

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Outline for Lecture

- Introduction
- Lie algebra splitting and soliton hierarchy
- Construction of hierarchies of DNLS type equations
- Algebraic structure of nonlocal NLS and DNLS type hierarchies
- \mathcal{PT} symmetric solution for nonlocal NLS equation
- Comments and future work

- The nonlinear Schrödinger (**NLS**) equation.
 - 1 $q_t = \frac{i}{2}(q_{xx} + 2|q|^2q)$ (focusing NLS).
 - 2 optical structures, Bose-Einstein condensates, ...
- The derivative nonlinear Schrödinger (**DNLS**) equation.
 - 1 $q_t = \frac{1}{2}(q_{xx}i \mp (|q|^2q)_x)$.
 - 2 plasma, optical waveguides with the self-steepening effect, rogue wave, ...
- **Nonlocal** reduction (**\mathcal{PT} -symmetry**) of NLS.
 - 1 Ablowitz-Musslimani (2013): $r(x) = -\bar{q}(-x)$ in AKNS.
 - 2 Lax pair, inverse scattering method, Hamiltonian formulation.
 - 3 Experimental evidences: optical waveguides, photonics lattices, microresonators, ...

DNLSI, II, III equations

NLS: R.Y. Chiao, E. Garmire and C.H. Townes,
PRL13(1964)479; V.E. Zakharov, J.Appl.Mech. and
Tech.Phys. 9(1968) 190

$$q_t = \frac{i}{2}(q_{xx} \pm 2|q|^2 q). \quad (1)$$

DNLSI: Kaup-Newell (JMP 19(1978)798),

$$q_t = \frac{1}{2}(q_{xx}i \mp (|q|^2 q)_x), \quad (2)$$

DNLSII: Chen-Lee-Liu (Phys.Scr.20(1979)490)

$$q_t = \frac{1}{2}(q_{xx}i \mp |q|^2 q_x), \quad (3)$$

DNLSIII: Gerdjikov-Ivanov (Bulg. J. Phys. 10(1983)130), Jyh-Hao
Lee(Transactions of American Mathematical Society
314(1989)107-118)

$$q_t = \frac{i}{2}q_{xx} \pm \frac{1}{2}q^2 \bar{q}_x + \frac{i}{4}|q|^4 q. \quad (4)$$

Lie algebra splitting

Integrable systems can be derived from Lie algebra splitting:

- Ablowitz-Kaup-Newell-Segur (1974).
- Jimbo-Miwa (1983).
- Drinfel'd-Sokolov (1984).
- Segal-Wilson (1985).
- Terng-Uhlenbeck (2000).

Notation:

- G : compact Lie group, \mathcal{G} : Lie algebra of G .
- $L(G)$: the group of smooth loops from S^1 to G ,
 $\mathcal{L}(\mathcal{G})$: the Lie algebra of $L(G)$.

$$\mathcal{L}(\mathcal{G}) = \left\{ \sum_{i \leq n_0} A_i \lambda^i \mid A_i \in \mathcal{G}, n_0 \in \mathbb{Z} \right\}.$$

G-hierarchy

- Splitting:

$$\begin{cases} L(\mathcal{G})_+, L(\mathcal{G})_- \subset L(\mathcal{G}), & L(\mathcal{G})_+ \cap L(\mathcal{G})_- = \{e\}, \\ \mathcal{L}(\mathcal{G}) = \mathcal{L}(\mathcal{G})_+ \oplus \mathcal{L}(\mathcal{G})_- \text{ (as direct sum of linear subspaces).} \end{cases}$$

- Vacuum sequence: a sequence of commuting elements in $\mathcal{L}(\mathcal{G})_+$: $\mathcal{J} = \{J_1, J_2, \dots\}$.
- Phase space: $\mathcal{M} = \pi_+(g_- J_1 g_-^{-1})$, $g_- \in L(\mathcal{G})_-$.

Theorem (Tereng-Uhlenbeck, 2000)

Given $\xi : \mathbb{R} \rightarrow \mathcal{M}$, there exists a unique $Q_j(\xi) \in \mathcal{L}(\mathcal{G})$ such that:

$$\begin{cases} [\partial_x + \xi, Q_j(\xi)] = 0, \\ Q_j(J_1) = J_j, \quad Q_j(\xi) \text{ is conjugate to } J_j. \end{cases}$$

The *j*-th flow in the G-hierarchy :

$$\xi_{t_j} = [\partial_x + \xi, (Q_j(\xi))_+].$$

(G, σ) -hierarchy

Let σ be an involution of G such that the induced involution $d_e\sigma$ on \mathcal{G} is complex linear (still using σ to denote $d_e\sigma$).

$$\mathcal{L}_\sigma(\mathcal{G}) = \{A(\lambda) \in \mathcal{L}(\mathcal{G}) \mid \sigma(A(-\lambda)) = A(\lambda)\}.$$

Splitting: $\mathcal{L}_\sigma(\mathcal{G}) = \mathcal{L}_\sigma(\mathcal{G})_+ \oplus \mathcal{L}_\sigma(\mathcal{G})_-$.

Vacuum sequence: $\mathcal{J} = \{J_1, J_2, \dots\} \in \mathcal{L}_\sigma(\mathcal{G})_+$.

Phase space: $\mathcal{M} = \pi_+(g_- J_1 g_-^{-1})$, $g_- \in L_\sigma(G)_-$.

Theorem (Tereng-Uhlenbeck, 2000)

Given $\xi \in C^\infty(\mathbb{R}, \mathcal{M})$, there exists a unique $Q_j(\xi) \in \mathcal{L}_\sigma(\mathcal{G})$ for any $j \geq 1$ such that

$$\begin{cases} [\partial_x + \xi, Q_j(\xi)] = 0, \\ Q_j(J_1) = J_j, \quad Q_j(\xi) \text{ is conjugate to } J_j. \end{cases}$$

The j -th flow in the (G, σ) -hierarchy is

$$[\partial_x + \xi, \partial_{t_j} + (Q_j(\xi))_+] = 0.$$



$SU(2)$ -hierarchy and the defocusing NLS equation

- $\mathcal{L}(su(2)) = \left\{ A(\lambda) = \sum_i A_i \lambda^i \mid A_i \in su(2), A(\lambda) = -\overline{A(\bar{\lambda})}^t \right\},$

$$\begin{cases} \mathcal{L}_+(su(2)) = \{ \sum_{i \geq 0} A_i \lambda^i \mid A_i \in su(2) \}, \\ \mathcal{L}_-(su(2)) = \{ \sum_{i < 0} A_i \lambda^i \mid A_i \in su(2) \}. \end{cases}$$

- $a = \text{diag}(i, -i), J_1 = a\lambda, \text{ and } \mathcal{J} = \{ a\lambda^i \mid i \geq 1 \}.$

- $\xi = J_1 + u = a\lambda + \begin{pmatrix} 0 & q \\ -\bar{q} & 0 \end{pmatrix}, \quad q \in C^\infty(\mathbb{R}, \mathbb{C}).$

- Solve

$$Q(u, \lambda) = a\lambda + Q_0 + Q_{-1}\lambda^{-1} + Q_{-2}\lambda^{-2} \dots \in \mathcal{L}(su(2)):$$

$$Q_0 = u, \quad Q_{-1} = \frac{i}{2} \begin{pmatrix} -|q|^2 & q_x \\ \bar{q}_x & |q|^2 \end{pmatrix},$$

$$Q_{-2} = \frac{1}{4} \begin{pmatrix} q_x \bar{q} - q \bar{q}_x & -q_{xx} - 2|q|^2 q \\ \bar{q}_{xx} + 2|q|^2 \bar{q} & q \bar{q}_x - q_x \bar{q} \end{pmatrix}.$$

- The second flow is the focusing NLS equation.

$U(1, 1)$ -hierarchy and defocusing NLS equation

Let $U(1, 1)$ be the subgroup of $SL(2, \mathbb{C})$ preserving the bilinear form in \mathbb{C}^2 :

$$\langle X, Y \rangle = \bar{X}^t I_{1,1} Y, \quad I_{1,1} = \text{diag}(1, -1), \quad X, Y \in \mathbb{C}^2.$$

Let $u(1, 1)$ be the Lie algebra for $U(1, 1)$:

$$u(1, 1) = \{g \in sl(2, \mathbb{C}) \mid \bar{g}^t I_{1,1} + I_{1,1} g = 0\} = \left\{ \begin{pmatrix} \alpha i & \beta \\ \bar{\beta} & -\alpha i \end{pmatrix} \mid \alpha \in \mathbb{R}, \beta \in \mathbb{C} \right\}.$$

- Splitting:
$$\begin{cases} \mathcal{L}_+(u(1, 1)) = \{\sum_{i \geq 0} A_i \lambda^i \mid A_i \in u(1, 1)\}, \\ \mathcal{L}_-(u(1, 1)) = \{\sum_{i < 0} A_i \lambda^i \mid A_i \in u(1, 1)\}. \end{cases}$$
- $\mathcal{J} = \{a\lambda^i \mid i \geq 1\}$.
- $\xi = a\lambda + u = a\lambda + \begin{pmatrix} 0 & q \\ \bar{q} & 0 \end{pmatrix}, \quad q \in C^\infty(\mathbb{R}, \mathbb{C})$.
- The second flow is the defocusing NLS equation:

$$q_t = \frac{i}{2}(q_{xx} - 2|q|^2 q). \quad (5)$$

The Kaup-Newell (KN) system

Scheme of the construction:

- Involution σ on $sl(2, \mathbb{C})$:

$$\sigma(A) = I_{1,1} A I_{1,1}^{-1}, \quad I_{1,1} = \text{diag}(1, -1).$$

-

$$\begin{cases} \mathcal{L}_\sigma(sl(2, \mathbb{C})) = \{A(\lambda) = \sum_{i \leq n_0} A_i \lambda^i \mid I_{1,1} A(-\lambda) I_{1,1} = A(\lambda)\}, \\ \mathcal{L}_\sigma(sl(2, \mathbb{C}))_+ = \{\sum_{i \geq 1} A_i \lambda^i \in \mathcal{L}_\sigma(sl(2, \mathbb{C}))\}, \\ \mathcal{L}_\sigma(sl(2, \mathbb{C}))_- = \{\sum_{i \leq 0} A_i \lambda^i \in \mathcal{L}_\sigma(sl(2, \mathbb{C}))\}. \end{cases}$$

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$$\mathcal{K} = \text{diag}(\alpha, -\alpha), \quad \mathcal{P} = \begin{pmatrix} 0 & \beta \\ \eta & 0 \end{pmatrix}, \quad \alpha, \beta, \eta \in \mathbb{C}.$$

- $A(\lambda) = \sum_i A_i \lambda^i \in \mathcal{L}_\sigma(sl(2, \mathbb{C}))$ if and only if

$$\begin{cases} A_i \in \mathcal{K}, & i \text{ even}, \\ A_i \in \mathcal{P}, & i \text{ odd}. \end{cases}$$

- Vacuum sequence: $\mathcal{J} = \{a \lambda^{2j} \mid j \geq 1\}$.



KN system (continue)

- Given $u = \begin{pmatrix} 0 & q \\ r & 0 \end{pmatrix} \in \mathcal{P}$, solve

$$Q(u, \lambda) = a\lambda^2 + Q_1\lambda + Q_0 + Q_{-1}\lambda^{-1} + \dots \in \mathcal{L}_\sigma(\mathfrak{sl}(2, \mathbb{C}))$$

from

$$\begin{cases} [\partial_x + a\lambda^2 + u\lambda, Q(u, \lambda)] = 0, \\ Q(u, \lambda)^2 = -\lambda^4. \end{cases}$$

Example (Explicit formula for first several coefficients)

$$Q_1 = u, \quad Q_0 = \frac{i}{2} \begin{pmatrix} qr & 0 \\ 0 & -qr \end{pmatrix}, \quad Q_{-1} = \frac{1}{2} \begin{pmatrix} 0 & q_x i + q^2 r \\ -r_x i + qr^2 & 0 \end{pmatrix},$$

$$Q_{-2} = \frac{1}{8} \begin{pmatrix} 2(qr_x - q_x r) + 3q^2 r^2 i & 0 \\ 0 & 2(q_x r - qr_x) - 3q^2 r^2 i \end{pmatrix},$$

$$Q_{-3} = -\frac{1}{8} \begin{pmatrix} 0 & 2q_{xx} - 6qrq_x i - 3q^3 r^2 \\ 2r_{xx} + qrr_x i - 3q^2 r^3 & 0 \end{pmatrix}.$$

The second and third flows and DNLSI

The second flow is the KN system,

$$\begin{cases} q_t = \frac{1}{2}(q_{xx}i + (q^2r)_x), \\ r_t = \frac{1}{2}(-r_{xx}i + (qr^2)_x). \end{cases}$$

The third flow is:

$$\begin{cases} q_t = -\frac{1}{4}q_{xxx} + \frac{3i}{4}(qrq_x)_x + \frac{3}{8}(q^3r^2)_x, \\ r_t = -\frac{1}{4}r_{xxx} - \frac{3i}{4}(qrr_x)_x + \frac{3}{8}(q^2r^3)_x. \end{cases}$$

Example

Let $G = SU(2)$, the second flow is the DNLSI equation (2) ($r = -\bar{q}$).

Theorem (He-Wu, 2015)

Equations belonging to the KN system admits the constraint $r = \pm\bar{q}$.

Derivative nonlinear Schrödinger equation II

- $\mathcal{B} : \mathcal{K} \rightarrow \mathcal{K}$ linear: $\mathcal{B}(A) = (1 - 2\alpha i)A, \alpha \in \mathbb{C}$.
- Projection: $(\sum_i A_i \lambda^i)_+ = \sum_{i \geq 1} A_i \lambda^i + A_0 - \mathcal{B}(A_0)$.
- Vacuum sequence: $\mathcal{J} = \{a\lambda^2, a\lambda^4, \dots\}$
- $\mathcal{M} = a\lambda^2 + u\lambda + P_0 = a\lambda^2 + \begin{pmatrix} 0 & q \\ r & 0 \end{pmatrix} \lambda - \alpha \begin{pmatrix} qr & 0 \\ 0 & -qr \end{pmatrix}$.
- Let $Q(u, \lambda) = a\lambda^2 + Q_1\lambda + Q_0 + \dots$ be the unique element in $\mathcal{L}_\sigma(\mathfrak{sl}(2, \mathbb{C}))$, such that:

$$\begin{cases} [\partial_x + a\lambda^2 + u\lambda + P_0, Q(u, \lambda)] = 0, \\ Q(u, \lambda)^2 = -\lambda^4. \end{cases}$$

The j -th flow in the $(SL(2, \mathbb{C}), \sigma)$ -hierarchy of twisted by \mathcal{B} is

$$u_{t_j} = (Q_{3-2j})_x + [P_0, Q_{3-2j}] + [u, Q_{2-2j} - \mathcal{B}(Q_{2-2j})]. \quad (6)$$

Second flow

$$Q_1 = u, \quad Q_0 = \frac{i}{2} \begin{pmatrix} qr & 0 \\ 0 & -qr \end{pmatrix},$$

$$Q_{-1} = \frac{1}{2} \begin{pmatrix} 0 & q_x i - (2i\alpha - 1)q^2 r \\ -r_x i - (2i\alpha - 1)qr^2 & 0 \end{pmatrix},$$

$$Q_{-2} = \frac{1}{4} \begin{pmatrix} qr_x - q_x r + (4\alpha + \frac{3}{2}i)q^2 r^2 & 0 \\ 0 & q_x r - qr_x - (4\alpha + \frac{3}{2}i)q^2 r^2 \end{pmatrix}.$$

The second flow is:

$$\begin{cases} q_t = \frac{i}{2}q_{xx} - (i\alpha - \frac{1}{2})(q^2 r)_x - i\alpha q^2 r_x + (\frac{1}{2}\alpha - 2i\alpha^2)q^3 r^2, \\ r_t = -\frac{1}{2}ir_{xx} - (i\alpha - \frac{1}{2})(qr^2)_x - i\alpha q_x r^2 + (2i\alpha^2 - \frac{1}{2}\alpha)q^2 r^3. \end{cases} \quad (7)$$

Consider the real form $SU(2)$ of $SL(2, \mathbb{C})$, then (7) becomes:

$$q_t = \frac{i}{2}q_{xx} + (2\alpha i - 1)|q|^2 q_x + (2\alpha i - \frac{1}{2})q^2 \bar{q}_x + (\frac{1}{2}\alpha - 2\alpha^2 i)|q|^4 q, \quad (8)$$

where α is pure imaginary.

Example

- When $\alpha = 0$, (8) is the DNLSI equation.
- When $\alpha = -\frac{i}{4}$, (8) is the DNLSII equation.
- When $\alpha = -\frac{i}{2}$, (8) is the DNLSIII equation.

Remark: The other equations in (2), (3) and (4) are derived by choosing $G = U(1, 1)$.

Theorem (He-Wu, 2015)

The j -th flows in generalized KN hierarchies admit the constraints $r = \pm \bar{q}$ for each $j \in \mathbb{N}$.

Theorem (He-Wu, 2015)

The even flows in the generalized KN hierarchies admits nonlocal constraints of the type $r(x, t) = \pm i\bar{q}(-x, t)$.

Main idea of the proof:

We prove this theorem by finding the algebra structure for each case then deriving the flows from Lie algebra splitting with certain automorphisms.

Nonlocal DNLSI equation

- $\xi : C^\infty(\mathbb{R}, sl(2, \mathbb{C})) \rightarrow C^\infty(\mathbb{R}, sl(2, \mathbb{C}))$:

$$\xi(A)(x) = \begin{pmatrix} 0 & i \\ i & 0 \end{pmatrix} \bar{A}(-x) \begin{pmatrix} 0 & i \\ i & 0 \end{pmatrix}.$$

- $\xi(A)$ induces an automorphism $\tilde{\xi}$ on $\mathcal{L}_\sigma(sl(2, \mathbb{C}))$:

$$\tilde{\xi}(f(x, t, \lambda)) = \sum_j \xi(f_j(-x, t))(i\lambda)^j. \quad (9)$$

- Let \mathcal{G}_j be the eigenspace of ξ in $C^\infty(\mathbb{R}, sl(2, \mathbb{C}))$ with respect to eigenvalue i^j , $0 \leq j \leq 3$.
- $\mathcal{L}_{\sigma, \xi}(sl(2, \mathbb{C}))$ the set of fixed points of $\xi(A)$ on $\mathcal{L}_\sigma(sl(2, \mathbb{C}))$.

$f(x, t, \lambda) = \sum_j \xi(f_j(x, t))(i\lambda)^j \in \mathcal{L}_{\sigma, \xi}(sl(2, \mathbb{C}))$ if and only if

$$f_{4k+j}(x, t) \in \mathcal{G}_j, \quad k \in \mathbb{Z}, \quad 0 \leq j \leq 3.$$

Nonlocal DNLSI equation

- $Q(u, \lambda) = a\lambda^2 + Q_1\lambda + Q_0 + Q_{-1}\lambda^{-1} + \dots \in \mathcal{L}_{\sigma, \xi}(sl(2, \mathbb{C}))$:

$$\begin{cases} [\partial_x + a\lambda^2 + u\lambda, Q(u, \lambda)] = 0, \\ Q(u, \lambda)^2 = -\lambda^4. \end{cases}$$

Example

$$Q_1 = u, \quad Q_0 = \frac{1}{2} \begin{pmatrix} q(x, t)\bar{q}(-x, t) & 0 \\ 0 & -q(x, t)\bar{q}(-x, t) \end{pmatrix},$$

$$Q_{-1} = \frac{1}{2} \begin{pmatrix} 0 & i(q_x(x, t) - q^2(x, t)\bar{q}(-x, t)) \\ \bar{q}_x(-x, t) - q(x, t)\bar{q}^2(-x, t) & 0 \end{pmatrix}.$$

Therefore, the second flow is

$$q_t(x, t) = \frac{i}{2}q_{xx}(x, t) - 2iq(x, t)\bar{q}(-x, t)q_x(x, t) + \frac{i}{2}q^2(x, t)\bar{q}_x(-x, t).$$

Three types of nonlocal DNLS equations

The nonlocal DNLSI equation

$$q_t(x, t) = \frac{i}{2}q_{xx}(x, t) \pm 2iq(x, t)\bar{q}(-x, t)q_x(x, t) \mp \frac{i}{2}q^2(x, t)\bar{q}_x(-x, t).$$

The nonlocal DNLSII equation

$$q_t(x, t) = \frac{i}{2}q_{xx}(x, t) \pm \frac{i}{2}q(x, t)\bar{q}(-x, t)q_x(x, t).$$

The nonlocal DNLSIII equation

$$q_t(x, t) = \frac{i}{2}q_{xx}(x, t) \pm \frac{i}{2}q^2(x, t)\bar{q}_x(-x, t) - \frac{i}{4}q^3(x, t)\bar{q}^2(-x, t).$$

PT symmetric solution for nonlocal NLS equation

The nonlocal NLS equation

$$q_t - iq_{xx} + 2iVq = 0, \quad V = q(x, t)\bar{q}(-x, t) = V_R(x, t) + iV_I(x, t) \quad (10)$$

Because of the PT symmetry:

$$V_R(x, t) = V_R(-x, t), \quad V_I(x, t) = -V_I(-x, t)$$

The Lax pair

$$\Phi_x(x, t; \lambda) = M(x, t; \lambda)\Phi(x, t; \lambda) = [-i\lambda\sigma + Q(x, t)]\Phi(x, t; \lambda),$$

$$\Phi_t(x, t; \lambda) = N(x, t; \lambda)\Phi(x, t; \lambda) = [-2i\lambda^2\sigma + \widetilde{Q}(x, t)]\Phi(x, t; \lambda)$$

$$\sigma = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}, \quad Q(x, t) = \begin{pmatrix} 0 & q(x, t) \\ r(x, t) & 0 \end{pmatrix},$$

$$\widetilde{Q}(x, t) = 2Q(x, t)\lambda - i\sigma Q^2(x, t) + i\sigma Q_x(x, t), \quad r(x, t) = q^*(-x, t).$$

PT symmetric solution

Let $q = e^{-2it}$ and take Darboux transformation

$$q_1 = -\frac{F_1}{G_1} \exp(-2it)$$

$$F_1 = \left(8J_1^2 + 8J_2^2 - 16J_2 + 8\right)t^2 + \left(8iJ_1^2 + 8iJ_2^2 - 16iJ_2 + 8i + 8J_1\right)t \\ - \left(2J_1^2 + 2J_2^2 - 4J_2 + 2\right)x^2 + \left(2iJ_1^2 + 2iJ_2^2 - 2i\right)x \\ + 4iJ_1 - J_1^2 - J_2^2 + 4J_2 - 1,$$

$$G_1 = \left(8J_1^2 + 8J_2^2 - 16J_2 + 8\right)t^2 + 8tJ_1 - \left(2J_1^2 + 2J_2^2 - 4J_2 + 2\right)x^2 \\ + \left(2iJ_1^2 + 2iJ_2^2 - 2i\right)x + J_1^2 + J_2^2 + 1.$$

If $J_1^2 + J_2^2 \neq 1$, q_1 is analytic. J_1, J_2 are phase parameters.

Structure related to phase parameters

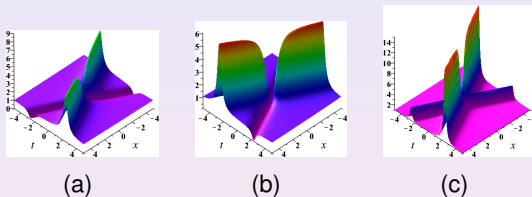


Figure: (Color online) $|q_1|^2$ displays three structures. (a) The dark-bright (DB) structure: $J_1 = 2$ and $J_2 = 3$. (b) The bright-dark (BD) structure: $J_1 = 0.2$ and $J_2 = 0.2$. (c) The bright-bright (BB) structure: $J_1 = 3$ and $J_2 = -1$.

Structure related to phase parameters(Continue)

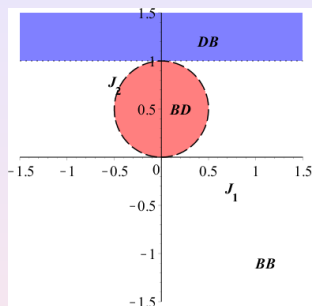


Figure: (Color online) $|q|$ has a DB structure in the blue area, a BD structure in the red area, a BB structure in the complementary area except the boundary lines, $J_2 = 1$, $J_1^2 + (J_2 - \frac{1}{2})^2 = \frac{1}{4}$ and $J_1^2 + J_2^2 = 1$.

Gain/loss profile implied by $V_I(x, t)$

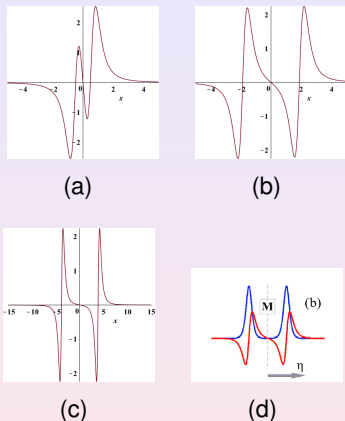





Figure: (Color online) Gain and loss profile. (a) $t = 0$. (b) $t = 1$. (c) $t = 2$. (d) Physical result (red line) (El-Ganainy 2007).

- 1 n -dim (nonlocal) NLS and (nonlocal) DNLS hierarchies
- 2 Bäcklund transformation
- 3 Bi-Hamiltonian structure
- 4 Rational solutions

Reference

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Thank You!