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### Inverse problems

### for the fourth-order differential operators

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### Sturm-Liouville equation

$$-y'' + q(x)y = \lambda y, \quad x \in (0,1),$$
(1)

 $q \in L_1[0,1]$  is a real-valued potential.

$$\{\lambda_n\}_{n \ge 1}: \quad y(0) = 0, \quad y(1) = 0, \{\mu_n\}_{n \ge 1}: \quad y'(0) = 0, \quad y(1) = 0.$$

### Theorem (G. Borg, 1946)

The two spectra  $\{\lambda_n\}_{n \ge 1}$  and  $\{\mu_n\}_{n \ge 1}$  uniquely specify the potential q.

### Sturm-Liouville equation

$$-y'' + q(x)y = \lambda y, \quad x \in (0, 1),$$
(1)

$$y(0) = y(1) = 0. (2)$$

- $\{\lambda_n\}_{n \ge 1}$  eigenvalues of (1)-(2),
- $\{y_n\}_{n \ge 1}$  normalized eigenfunctions:  $\int_0^1 y_n^2(x) dx = 1$ ,
- $\alpha_n := y'_n(0) > 0$  norming constants.

#### Theorem (V.A. Marchenko, 1950)

The spectral data  $\{\lambda_n, \alpha_n\}_{n \ge 1}$  uniquely specify q.

Gel'fand, I.M.; Levitan, B.M. On the determination of a differential equation from its spectral function, Izv. Akad. Nauk SSSR, Ser. Mat. (1951).

$$-y'' + q(x)y = \lambda y, \quad x \in (0, 1).$$
 (1)

Denote by  $S(x,\lambda)$  and  $C(x,\lambda)$  the solutions of (1) satisfying

$$S(0,\lambda) = 0, \quad S'(0,\lambda) = 1, \quad C(0,\lambda) = 1, \quad C'(0,\lambda) = 0.$$

- $S(x,\lambda)$  and  $C(x,\lambda)$  are entire analytic in  $\lambda$  for each fixed  $x \in [0,1]$ .
- $\{\lambda_n\}_{n \ge 1}$  are the zeros of  $S(1, \lambda)$ .
- $\{\mu_n\}_{n \ge 1}$  are the zeros of  $C(1, \lambda)$ .
- Weyl function  $M(\lambda) := \frac{C(1,\lambda)}{S(1,\lambda)}$  is meromorphic.
- $\blacksquare \operatorname{Res}_{\lambda = \lambda_n} M(\lambda) = \alpha_n^2.$
- The three sets of the spectral data:  $\{\lambda_n, \mu_n\}_{n \ge 1}$ ,  $\{\lambda_n, \alpha_n\}_{n \ge 1}$ , and  $M(\lambda)$  uniquely specify each other and the potential q.

### Barcilon's problem

$$y^{(4)} - (p(x)y')' + q(x)y = \lambda y, \quad x \in (0,1),$$

$$p, q \in L_1[0,1].$$
(3)

$$\begin{split} \mathfrak{S}_{12} : & y(0) = y'(0) = 0, \quad y(1) = y'(1) = 0, \\ \mathfrak{S}_{13} : & y(0) = y''(0) = 0, \quad y(1) = y'(1) = 0, \\ \mathfrak{S}_{23} : & y'(0) = y''(0) = 0, \quad y(1) = y'(1) = 0. \end{split}$$

### Inverse problem

Given the three spectra  $\mathfrak{S}_{12}$ ,  $\mathfrak{S}_{13}$ , and  $\mathfrak{S}_{23}$ , find p and q.

- Barcilon V. On the uniqueness of inverse eigenvalue problems, Geophysical Journal International 38 (1974), no. 2, 287-298.
- 2 Barcilon V. On the solution of inverse eigenvalue problems of high orders, Geophysical Journal International 39 (1974), no. 1, 143-154.

Uniqueness was not rigorously proved.

### McLaughlin's problem

 McLaughlin, J.R. Higher order inverse eigenvalue problems. In: Everitt, W., Sleeman, B. (eds) Ordinary and Partial Differential Equations. Lecture Notes in Mathematics, vol 964. Springer, Berlin, Heidelberg, 1982.

$$y^{(4)} - (p(x)y')' + q(x)y = \lambda y, \quad x \in (0,1),$$
(3)

$$\left. \begin{array}{l}
 U_1(y) := y''(0) + ay'(0) - by(0) = 0, \\
 U_2(y) := y^{[3]}(0) + by'(0) + cy(0) = 0, \\
 y(1) = y'(1) = 0,
 \end{array} \right\}$$
(4)

 $y^{[3]} := y^{\prime\prime\prime} - py^{\prime} - quasi-derivative.$ 

- $\{\lambda_n\}_{n \ge 1}$  eigenvalues, assume that they are simple.
- $\{y_n(x)\}_{n \ge 1}$  eigenfunctions,  $\int_0^1 y_n^2(x) dx = 1, n \ge 1.$
- $\gamma_n := y_n(0), \, \xi_n := y'_n(0) \text{norming constants.}$

### Inverse problem

Given the spectral data  $\{\lambda_n, \gamma_n, \xi_n\}_{n \ge 1}$ , find p, q, a, b, and c.

J.R. McLaughlin studied solvability for the inverse problem under a restrictive condition that transformation operator exists. Uniqueness was an open question

$$y^{(4)} - (p(x)y')' + q(x)y = \lambda y, \quad x \in (0,1),$$
(3)

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$$y(x,\lambda) = y_0(x,\lambda) + \int_0^x K(x,t)y_0(t,\lambda) \, dt.$$

Transformation operators are effective for order 2, ineffective for higher orders.

Transformation operators & inverse spectral problems for higher-orders: L.A. Sakhnovich, I.G. Khachatryan, M.M. Malamud, ... (analytic / piecewise analytic coefficients)

### Inverse problems for higher orders: general approach

$$y^{(n)} + \sum_{k=0}^{n-2} p_k(x) y^{(k)}, \quad n > 2.$$
(5)

The theory of inverse spectral problems for higher-order differential operators with regular coefficients  $p_k \in W_1^k[0, 1]$  has been created by V.A. Yurko.

N.P. Bondarenko has transferred those results to differential operators with distribution coefficients.

- Yurko, V.A. Reconstruction of higher-order differential operators, Differ. Equ. (1989).
- 2 Yurko, V.A. Method of Spectral Mappings in the Inverse Problem Theory, Inverse and Ill-Posed Problems Series, VNU Science, Utrecht (2002).
- **3** Bondarenko, N.P. Linear differential operators with distribution coefficients of various singularity orders, Math. Meth. Appl. Sci. (2023).

$$y^{(4)} - (p(x)y')' - (r(x)y)' - r(x)y' + q(x)y = \lambda y, \quad x \in (0,1),$$
(6)

where  $p, q, r \in L_1[0, 1]$ . Quasi-derivatives:

 $y^{[j]} := y^{(j)}, \quad j = 0, 1, 2, \qquad y^{[3]} := y^{\prime\prime\prime} - py^{\prime} - ry.$ 

Linear forms:

$$U_s(y) := y^{[s-1]}(0), \quad s = \overline{1,4}, \qquad V_j(y) := y^{[j-1]}(1), \quad j = \overline{1,4}.$$
(7)

Denote by  $\{\Phi_k(x,\lambda)\}_{k=1}^4$  the solutions of (6) satisfying

$$U_s(\Phi_k) = \delta_{sk}, \quad s = \overline{1,k}, \qquad V_j(\Phi_k) = 0, \quad j = \overline{1,4-k}.$$
(8)

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where  $\delta_{sk}$  is the Kronecker delta.  $\{\Phi_k(x,\lambda)\}_{k=1}^4$  are called the Weyl solutions, they are meromorphic in  $\lambda$  for each fixed  $x \in [0, 1]$ .

Weyl-Yurko matrix  $M(\lambda) := [U_s(\Phi_k)]_{s,k=1}^4$ .

#### Theorem 1 (Yurko — smooth, Bond. — non-smooth)

The Weyl-Yurko matrix  $M(\lambda)$  uniquely specifies p, q, and r.

$$M(\lambda) = \begin{bmatrix} 1 & 0 & 0 & 0\\ m_{21}(\lambda) & 1 & 0 & 0\\ m_{31}(\lambda) & m_{32}(\lambda) & 1 & 0\\ m_{41}(\lambda) & m_{42}(\lambda) & m_{43}(\lambda) & 1 \end{bmatrix},$$

Denote by  $\{C_k(x,\lambda)\}_{k=1}^4$  the solutions of equation (6) satisfying

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$$U_s(C_k) = \delta_{sk}, \quad s = \overline{1, 4}. \tag{9}$$

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Then

$$m_{jk}(\lambda) = -\frac{\Delta_{jk}(\lambda)}{\Delta_{kk}(\lambda)}, \quad 1 \le k < j \le 4,$$
(10)

where  $\Delta_{kk}(\lambda) := \det\left( [V_{5-p}(C_r)]_{s,p=k+1}^4 \right)$  and  $\Delta_{jk}(\lambda)$  is obtained from  $\Delta_{kk}(\lambda)$  by replacing  $C_j$  by  $C_k$ .

The zeros of  $\Delta_{jk}(\lambda)$  coincide with the eigenvalues of the boundary value problem  $\mathcal{L}_{jk}$  for equation (6) with the boundary conditions:

$$U_{\xi}(y) = 0, \quad \xi = \overline{1, k - 1}, j, \quad V_{\eta}(y) = 0, \quad \eta = \overline{1, 4 - k}.$$
 (11)

Put  $\mathcal{L}_k := \mathcal{L}_{kk}, \ k = 1, 2, 3.$ 

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### Separation condition

For k = 1, 2, the problems  $\mathcal{L}_k$  and  $\mathcal{L}_{k+1}$  have no common eigenvalues.

### Theorem 2 (Yurko — smooth, Bond. — non-smooth)

Under the separation condition, the functions  $m_{21}(\lambda)$ ,  $m_{32}(\lambda)$ , and  $m_{43}(\lambda)$  uniquely specify p, q, and r.

$$M(\lambda) = \begin{bmatrix} 1 & 0 & 0 & 0 \\ m_{21}(\lambda) & 1 & 0 & 0 \\ m_{31}(\lambda) & m_{32}(\lambda) & 1 & 0 \\ m_{41}(\lambda) & m_{42}(\lambda) & m_{43}(\lambda) & 1 \end{bmatrix}$$

• Lejbenzon, Z.L. The uniqueness of the solution of the inverse problem for ordinary differential operators of order  $n \ge 2$  and the transformation of such operators, Sov. Math. Dokl. (1962).

$$y^{(4)} - (p(x)y')' - (r(x)y)' - r(x)y' + q(x)y = \lambda y, \quad x \in (0,1),$$
(6)

**FAQ**: Do there exist such p, q, r that the separation condition holds?

- 1 Separation condition holds for p = q = r = 0.
- 2 Recently, the spectral data characterization was obtained in [Bondarenko N.P., Mathematics, 2024] for the class of equations (6) with real-valued  $p \in W_2^{1}[0, 1]$ ,  $ir \in L_2[0, 1]$ ,  $q \in W_2^{-1}[0, 1]$ , and the eigenvalues of the problems  $\mathcal{L}_k$ , k = 1, 2, 3, being simple and satisfying the separation condition.
- 3 One can achieve the separation condition by a finite perturbation of the spectral data for any p, q, r.

$$y^{(4)} - (p(x)y')' + q(x)y = \lambda y, \quad x \in (0,1),$$
(3)

#### Theorem 3 (Guan, Yang & Bond., 2023)

Under the separation condition, the spectra  $\mathfrak{S}_{12}$ ,  $\mathfrak{S}_{13}$ , and  $\mathfrak{S}_{23}$  uniquely specify the coefficients  $p, q \in L_1[0, 1]$  of equation (3).

#### Lemma 1

The spectra  $\mathfrak{S}_{12}$ ,  $\mathfrak{S}_{13}$ ,  $\mathfrak{S}_{23}$  coincide with the zeros of the functions  $\Delta_{22}(\lambda)$ ,  $\Delta_{32}(\lambda)$ ,  $\Delta_{42}(\lambda)$ .

Hadamard's Factorization Theorem implies

$$\Delta_{j2}(\lambda) = c_j \prod_{n=1}^{\infty} \left( 1 - \frac{\lambda}{\mu_{jn}} \right), \quad j = 2, 3, 4.$$
(12)

 $\mathfrak{S}_{12},\,\mathfrak{S}_{13},\,\mathfrak{S}_{23}\ \Rightarrow\ \Delta_{22}(\lambda),\,\Delta_{32}(\lambda),\,\Delta_{42}(\lambda)\ \Rightarrow\ m_{32}(\lambda),\,m_{42}(\lambda).$ 

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## Barcilon's problem

$$M(\lambda) = \begin{bmatrix} 1 & 0 & 0 & 0 \\ m_{21}(\lambda) & 1 & 0 & 0 \\ m_{31}(\lambda) & m_{32}(\lambda) & 1 & 0 \\ m_{41}(\lambda) & m_{42}(\lambda) & m_{43}(\lambda) & 1 \end{bmatrix}$$

#### Lemma 2

For the Weyl-Yurko matrix of equation (3), the following relations hold:

$$m_{43}(\lambda) = m_{21}(\lambda),\tag{13}$$

(日)

$$m_{42}(\lambda) - m_{32}(\lambda)m_{21}(\lambda) + m_{31}(\lambda) = 0.$$
(14)

For Lemma 2, the equality r = 0 and special structure of the boundary conditions are crucial.

Denote  $\mathfrak{S}_{12} = \{\lambda_n\}_{n \ge 1}$ . Using (14), one can find  $\{m_{21}(\lambda_n)\}_{n \ge 1}$  from  $\mathfrak{S}_{12}$ ,  $\mathfrak{S}_{13}$ ,  $\mathfrak{S}_{23}$ .

#### Lemma 3

The values  $\{m_{21}(\lambda_n)\}_{n \ge 1}$  uniquely specify  $m_{21}(\lambda)$ .

### Relationship between Barcilon's and McLaughlin's problems

$$y^{(4)} - (p(x)y')' + q(x)y = \lambda y, \quad x \in (0,1),$$
(3)

$$\left. \begin{array}{l}
 U_1(y) := y''(0) + ay'(0) - by(0) = 0, \\
 U_2(y) := y^{[3]}(0) + by'(0) + cy(0) = 0, \\
 y(1) = y'(1) = 0.
 \end{array} \right\} 
 \tag{4}$$

Introduce the linear forms

$$U_3(y) = y(0), \quad U_4(y) = y'(0), \quad V_s(y) = y^{[s-1]}(1), \quad s = \overline{1, 4}.$$
 (15)

Let  $\mathfrak{S}_{jk}$  for  $(j,k) \in \{(1,2), (1,3), (2,3)\}$  be the spectra for (3) with the boundary conditions

$$U_j(y) = U_k(y) = 0, \quad V_1(y) = V_2(y) = 0.$$
 (16)

Recall that  $\mathfrak{S}_{12} = \{\lambda_n\}_{n \ge 1}$  are assumed to be simple,  $\gamma_n := y_n(0), \xi_n := y'_n(0), y_n(x)$  – normalized eigenfunctions:  $\int_0^1 y_n^2(x) \, dx = 1.$ 

### Theorem 4 (Bond., 2023)

Under the separation condition, the three spectra  $\mathfrak{S}_{12}$ ,  $\mathfrak{S}_{13}$ ,  $\mathfrak{S}_{23}$  uniquely determine McLaughlin's data  $\{\lambda_n, \gamma_n, \xi_n\}_{n \ge 1}$  (up to the signs of  $\gamma_n$  and  $\xi_n$ ) and vice versa.

### Relationship between Barcilon's and McLaughlin's problems

$$\mathfrak{S}_{12}, \mathfrak{S}_{13}, \mathfrak{S}_{23} \Leftrightarrow \Delta_{22}(\lambda), \Delta_{32}(\lambda), \Delta_{42}(\lambda) \Leftrightarrow \{\lambda_n, \Delta_{32}(\lambda_n), \Delta_{42}(\lambda_n)\}_{n \ge 1}$$
$$\Delta_{32}(\lambda_n) = \frac{d}{d\lambda} \Delta_{22}(\lambda_n) \gamma_n^2, \quad \Delta_{42}(\lambda_n) = \frac{d}{d\lambda} \Delta_{22}(\lambda_n) \xi_n \gamma_n. \tag{17}$$

Theorem 4 implies

Theorem 5 (Bond., 2023)

Under the separation condition, the spectral data  $\{\lambda_n, \gamma_n, \xi_n\}_{n \ge 1}$  uniquely specify p, q, a, b, and c.

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Let us show that the separation condition in Theorem 5 is unnecessary.

### Weight matrices

Using the linear forms (4) and (15), define the problems  $\mathcal{L}_k$ , k = 1, 2, 3, and the Weyl-Yurko matrix  $M(\lambda) = [m_{jk}(\lambda)]_{i,k=1}^4$ .

$$\mathcal{L}_k: U_s(y) = 0, \quad s = \overline{1, k}, \qquad V_j(y) = 0, \quad j = \overline{1, 4 - k}.$$
(18)

Simplicity condition

Assume that the eigenvalues of  $\mathcal{L}_1$  and  $\mathcal{L}_2$  are simple.

Then, all the poles  $\Lambda$  of the Weyl-Yurko matrix elements are simple:

$$M(\lambda) = \frac{M_{\langle -1 \rangle}(\lambda_0)}{\lambda - \lambda_0} + M_{\langle 0 \rangle}(\lambda_0) + M_{\langle 1 \rangle}(\lambda_0)(\lambda - \lambda_0) + \dots, \quad \lambda_0 \in \Lambda.$$
(19)

Define the weight matrices:  $\mathcal{N}(\lambda_0) := M_{\langle 0 \rangle}^{-1}(\lambda_0) M_{\langle -1 \rangle}(\lambda_0), \ \lambda_0 \in \Lambda.$ 

### Theorem 6 (Yurko - smooth, Bond. - non-smooth)

Under the simplicity condition, the spectral data  $\{\lambda_0, \mathcal{N}(\lambda_0)\}_{\lambda_0 \in \Lambda}$  uniquely specify p, q, a, b, c.

Multiple eigenvalues:

Buterin, S.A. On inverse spectral problem for non-selfadjoint Sturm-Liouville operator on a finite interval, J. Math. Anal. Appl. (2007).

#### Theorem 7 (Bond., 2023)

Under the simplicity condition, the spectral data  $\{\lambda_n, \xi_n, \gamma_n\}_{n \ge 1}$  uniquely specify p, q, a, b, c.

The eigenfunctions fulfill the conditions:

$$U_1(y_n) = U_2(y_n) = 0, \quad V_1(y_n) = V_2(y_n) = 0.$$

Cases:

 $\begin{array}{ll} (I): & U_3(y_n) \neq 0, \quad V_3(y_n) \neq 0 \mbox{ (Separation condition);} \\ (II): & U_3(y_n) \neq 0, \quad V_3(y_n) = 0; \\ (III): & U_3(y_n) = 0, \quad V_3(y_n) \neq 0; \\ (IV): & U_3(y_n) = 0, \quad V_3(y_n) = 0. \end{array}$ 

## Structure of weight matrices

$$\{\lambda_n, \gamma_n, \xi_n\}_{n \ge 1} \quad \Rightarrow \quad \{\lambda_0, \mathcal{N}(\lambda_0)\}_{\lambda_0 \in \Lambda}.$$

This idea proves Theorem 7.

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In the uniqueness theorem for Barcilon's problem (Theorem 3), the separation condition cannot be omitted.

**Idea:** Specify the discrete spectral data  $\{\lambda_{n,k}, \mathcal{N}_{n,k}\}$  (corresponding to the Weyl-Yurko matrix  $M(\lambda)$ ) and construct p(x), q(x) by using the method of spectral mappings.

#### Notations:

For  $k \in \{1, 2, 3\}$ , denote by  $\{\lambda_{n,k}\}_{n \ge 1}$  the eigenvalues of  $\mathcal{L}_k$  and  $\mathcal{N}_{n,k} := \mathcal{N}(\lambda_{n,k})$ .

$$\begin{aligned} \mathcal{L}_1: \quad y(0) &= 0, \quad y(1) = y'(1) = y''(1) = 0, \\ \mathcal{L}_2: \quad y(0) = y'(0) = 0, \quad y(1) = y'(1) = 0, \\ \mathcal{L}_3: \quad y(0) = y'(0) = y''(0), \quad y(1) = 0. \\ \mathcal{L}_2 &= \mathcal{L}_2^*, \quad \mathcal{L}_1 = \mathcal{L}_3^*. \end{aligned}$$

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### Counterexample

Model problem:  $\tilde{p} = \tilde{q} = 0$ .

- $\{\tilde{\lambda}_{n,2}\}_{n \ge 1}$  are simple and positive.
- $\{\tilde{\lambda}_{n,1}\}_{n \ge 1}$  and  $\{\tilde{\lambda}_{n,3}\}_{n \ge 1}$  are simple and negative.

#### Theorem 8 (Bond., 2024)

For each  $\gamma > 0$ , there exist unique functions  $p_{\gamma}$  and  $q_{\gamma}$  of  $C^{\infty}[0, 1]$  such that equation (3) with the coefficients  $p = p_{\gamma}$  and  $q = q_{\gamma}$  has the spectral data  $\{\lambda_{n,k}, \mathcal{N}_{n,k}\}_{n \ge 1, k = 1, 2, 3}$ . The corresponding three spectra  $\mathfrak{S}_{12}$ ,  $\mathfrak{S}_{13}$ ,  $\mathfrak{S}_{23}$  do not depend on the parameter  $\gamma > 0$ .

## Conclusions

- Under the separation condition, solution of Barcilon's problem is unique.
- In general, solution of Barcilon's problem can be non-unique.
- Under the separation condition, Barcilon's and McLaughlin's problems are equivalent.

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- For McLaughlin's problem, the uniqueness holds without the separation condition.
- Barcilon's and McLaughlin's problems can be interpreted within the framework of the general approach.

### Papers

- Guan, A.-W.; Yang, C.-F.; Bondarenko, N.P. Solving Barcilon's inverse problems for the method of spectral mappings, arXiv:2304.05747.
- 2 Guan, A.-W.; Yang, C.-F.; Bondarenko, N.P. A class of higher order inverse spectral problems, arXiv:2402.18343, accepted in Acta Mathematica Sinica.
- Bondarenko, N.P. McLaughlin's inverse problem for the fourth-order differential operator, arXiv:2312.15988.
- 4 Bondarenko, N.P. Counterexample to Barcilon's uniqueness theorem for the fourth-order inverse spectral problem, Results in Mathematics 79 (2024), Article Number 183.

# Thank you for your attention!

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