

## ASYMMETRIC ROBIN BOUNDARY-VALUE PROBLEMS WITH $p$ -LAPLACIAN AND INDEFINITE POTENTIAL

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*Communicated by Vicentiu D. Radulescu*

ABSTRACT. Four nontrivial smooth solutions to a Robin boundary-value problem with  $p$ -Laplacian, indefinite potential, and asymmetric nonlinearity superlinear at  $+\infty$  are obtained, all with sign information. The semilinear case is also investigated, producing a nonzero fifth solution. Our proofs use variational methods, truncation techniques, and Morse theory.

### 1. INTRODUCTION

Let  $\Omega$  be a bounded domain in  $\mathbb{R}^n$  with a  $C^2$ -boundary  $\partial\Omega$ , let  $a \in L^\infty(\Omega)$ , and let  $f : \Omega \times \mathbb{R} \rightarrow \mathbb{R}$  be a Carathéodory function such that  $f(\cdot, 0) = 0$ . Consider the Robin problem

$$\begin{aligned} -\Delta_p u + a(x)|u|^{p-2}u &= f(x, u) \quad \text{in } \Omega, \\ \frac{\partial u}{\partial n_p} + \beta(x)|u|^{p-2}u &= 0 \quad \text{on } \partial\Omega, \end{aligned} \tag{1.1}$$

where  $1 < p < +\infty$ ,  $\Delta_p$  indicates the  $p$ -Laplacian,  $\frac{\partial u}{\partial n_p} := |\nabla u|^{p-2} \nabla u \cdot n$ , with  $n$  being the outward unit normal vector to  $\partial\Omega$ , and  $\beta \in C^{0,\alpha}(\partial\Omega, \mathbb{R}_0^+)$ . We say that  $u \in W^{1,p}(\Omega)$  is a (weak) solution of (1.1) provided

$$\int_{\Omega} |\nabla u|^{p-2} \nabla u \cdot \nabla v \, dx + \int_{\partial\Omega} \beta |u|^{p-2} uv \, d\sigma + \int_{\Omega} a |u|^{p-2} uv \, dx = \int_{\Omega} f(x, u) v \, dx$$

for all  $v \in W^{1,p}(\Omega)$ .

This paper studies the existence of multiple solutions to (1.1) when

- the potential function  $x \mapsto a(x)$  is indefinite, i.e., sign changing, and
- the reaction term  $(x, t) \mapsto f(x, t)$  exhibits an asymmetric behaviour as  $t$  goes from  $-\infty$  to  $+\infty$ .

For  $(x, \xi) \in \Omega \times \mathbb{R}$ , we define

$$F(x, \xi) := \int_0^\xi f(x, \tau) d\tau, \quad H(x, \xi) := f(x, \xi)\xi - pF(x, \xi). \tag{1.2}$$

Roughly speaking, our assumptions on the rate of  $f$  at infinity are the following.

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2010 *Mathematics Subject Classification.* 35J20, 35J60, 58E05.

*Key words and phrases.* Robin boundary condition;  $p$ -Laplacian; indefinite potential; asymmetric reaction; superlinear at  $+\infty$ ; resonance; multiple solutions.

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Submitted June 2, 2018. Published June 18, 2018.

- (1)  $\lim_{\xi \rightarrow +\infty} F(x, \xi)\xi^{-p} = +\infty$  uniformly in  $x \in \Omega$  and there exists  $c_1 > 0$  such that

$$H(x, \xi_1) \leq H(x, \xi_2) + c_1 \quad \text{whenever} \quad 0 \leq \xi_1 \leq \xi_2.$$

- (2) For appropriate  $c_2 \in \mathbb{R}$  one has

$$c_2 \leq \liminf_{t \rightarrow -\infty} \frac{f(x, t)}{|t|^{p-2}t} \leq \limsup_{t \rightarrow -\infty} \frac{f(x, t)}{|t|^{p-2}t} \leq \hat{\lambda}_1, \quad \lim_{\xi \rightarrow -\infty} H(x, \xi) = +\infty$$

uniformly in  $x \in \Omega$ .

Here  $\hat{\lambda}_n$  denotes the  $n^{\text{th}}$ -eigenvalue of the problem

$$-\Delta_p u + a(x)|u|^{p-2}u = \lambda|u|^{p-2}u \quad \text{in} \quad \Omega, \quad \frac{\partial u}{\partial n_p} + \beta(x)|u|^{p-2}u = 0 \quad \text{on} \quad \partial\Omega. \quad (1.3)$$

It should be noted that a possible interaction (resonance) with  $\hat{\lambda}_1$  is allowed and that  $f(x, \cdot)$  grows  $(p-1)$ -super-linearly near  $+\infty$ . Nevertheless, contrary to most previous works, we do not need here the stronger unilateral Ambrosetti-Rabinowitz condition.

Under (1), (2), and some additional hypotheses, one of which forces a  $p$ -concave behaviour of  $t \mapsto f(x, t)$  at zero, there are four  $C^1$ -solutions to (1.1), two positive, one negative, and the remaining nodal; see Section 3. If  $p := 2$  then (1.1) becomes

$$\begin{aligned} -\Delta u + a(x)u &= f(x, u) \quad \text{in} \quad \Omega, \\ \frac{\partial u}{\partial n} + \beta(x)u &= 0 \quad \text{on} \quad \partial\Omega. \end{aligned} \quad (1.4)$$

As in [6, 14], the assumptions on  $a$  and  $\beta$  can be significantly relaxed. However, we obtain five nontrivial smooth solutions; cf. Theorem 4.4.

The adopted approach exploits variational methods, truncation techniques, and results from Morse theory. Regularity is a standard matter, unless  $p := 2$ , in which case [24, Lemmas 5.1, 5.2] are employed.

Problem (1.4) has been widely investigated under various points of view; see, for instance, [6, 14] and the references given there. On the contrary, the equation

$$-\Delta_p u + a(x)|u|^{p-2}u = f(x, u) \quad \text{in} \quad \Omega,$$

with Dirichlet, Neumann, or Robin boundary conditions, did not receive much attention when  $p \neq 2$ , a sign-changing potential appears, and  $t \mapsto f(x, t)$  is asymmetric. Actually, we can only mention [16], where the Dirichlet problem is studied, [18], dealing with symmetric reactions and Neumann boundary conditions, [4, 9], devoted to  $(p-1)$ -super-linear reactions. The situation looks somewhat different if  $a \equiv 0$ ; vide, e.g., [8, 15, 20, 21] and their bibliographies.

## 2. PRELIMINARIES

Let  $(X, \|\cdot\|)$  be a real Banach space. Given a set  $V \subseteq X$ , write  $\bar{V}$  for the closure of  $V$ ,  $\partial V$  for the boundary of  $V$ , and  $\text{int}_X(V)$  or simply  $\text{int}(V)$ , when no confusion can arise, for the interior of  $V$ . If  $x \in X$  and  $\delta > 0$  then

$$B_\delta(x) := \{z \in X : \|z - x\| < \delta\}.$$

The symbol  $(X^*, \|\cdot\|_{X^*})$  denotes the dual space of  $X$ ,  $\langle \cdot, \cdot \rangle$  indicates the duality pairing between  $X$  and  $X^*$ , while  $x_n \rightarrow x$  (respectively,  $x_n \rightharpoonup x$ ) in  $X$  means ‘the sequence  $\{x_n\}$  converges strongly (respectively, weakly) in  $X$ ’.

We say that  $\Phi : X \rightarrow \mathbb{R}$  is coercive if

$$\lim_{\|x\| \rightarrow +\infty} \Phi(x) = +\infty.$$

A function  $\Phi$  is called weakly sequentially lower semi-continuous when

$$x_n \rightharpoonup x \text{ in } X \implies \Phi(x) \leq \liminf_{n \rightarrow \infty} \Phi(x_n).$$

Let  $\Phi \in C^1(X)$ . The classical Cerami compactness condition for  $\Phi$  reads as follows.

(C) Every sequence  $\{x_n\} \subseteq X$  such that  $\{\Phi(x_n)\}$  is bounded and

$$\lim_{n \rightarrow +\infty} (1 + \|x_n\|) \|\Phi'(x_n)\|_{X^*} = 0$$

has a convergent subsequence.

For  $c \in \mathbb{R}$ , we define

$$\Phi^c := \{x \in X : \Phi(x) \leq c\}, \quad K_c(\Phi) := K(\Phi) \cap \Phi^{-1}(c),$$

where, as usual,  $K(\Phi)$  denotes the critical set of  $\Phi$ , i.e.,

$$K(\Phi) := \{x \in X : \Phi'(x) = 0\}.$$

We say that  $A : X \rightarrow X^*$  is of type (S)<sub>+</sub> if

$$x_n \rightharpoonup x \text{ in } X, \quad \limsup_{n \rightarrow +\infty} \langle A(x_n), x_n - x \rangle \leq 0 \implies x_n \rightarrow x.$$

Given a topological pair  $(A, B)$  fulfilling  $B \subset A \subseteq X$ , the symbol  $H_q(A, B)$ ,  $q \in \mathbb{N}_0$ , indicates the  $q^{\text{th}}$ -relative singular homology group of  $(A, B)$  with integer coefficients. If  $x_0 \in K_c(\Phi)$  is an isolated point of  $K(\Phi)$  then

$$C_q(\Phi, x_0) := H_q(\Phi^c \cap V, \Phi^c \cap V \setminus \{x_0\}), \quad q \in \mathbb{N}_0,$$

are the critical groups of  $\Phi$  at  $x_0$ . Here,  $V$  stands for any neighborhood of  $x_0$  such that  $K(\Phi) \cap \Phi^c \cap V = \{x_0\}$ . By excision, this definition does not depend on the choice of  $V$ . Suppose  $\Phi$  satisfies condition (C),  $\Phi|_{K(\Phi)}$  is bounded below, and  $c < \inf_{x \in K(\Phi)} \Phi(x)$ . Put

$$C_q(\Phi, \infty) := H_q(X, \Phi^c), \quad q \in \mathbb{N}_0.$$

The second deformation lemma [10, Theorem 5.1.33] implies that this definition does not depend on the choice of  $c$ . If  $K(\Phi)$  is finite, then setting

$$M(t, x) := \sum_{q=0}^{+\infty} \text{rank } C_q(\Phi, x) t^q, \quad P(t, \infty) := \sum_{q=0}^{+\infty} \text{rank } C_q(\Phi, \infty) t^q$$

for  $(t, x) \in \mathbb{R} \times K(\Phi)$ , the following Morse relation holds

$$\sum_{x \in K(\Phi)} M(t, x) = P(t, \infty) + (1+t)Q(t), \quad (2.1)$$

where  $Q(t)$  denotes a formal series with nonnegative integer coefficients; see for instance [17, Theorem 6.62].

Now, let  $X$  be a Hilbert space, let  $x \in K(\Phi)$ , and let  $\Phi$  be  $C^2$  in a neighborhood of  $x$ . If  $\Phi''(x)$  turns out to be invertible, then  $x$  is called non-degenerate. The Morse index  $d$  of  $x$  is the supremum of the dimensions of the vector subspaces of  $X$  on which  $\Phi''(x)$  turns out to be negative definite. When  $x$  is non-degenerate and with Morse index  $d$  one has

$$C_q(\Phi, x) = \delta_{q,d} \mathbb{Z}, \quad q \in \mathbb{N}_0. \quad (2.2)$$

The monograph [17] represents a general reference on the subject.

Throughout this article,  $\Omega$  denotes a bounded domain of the real Euclidean  $N$ -space  $(\mathbb{R}^N, |\cdot|)$  whose boundary  $\partial\Omega$  is  $C^2$  while  $n(x)$  indicates the outward unit normal vector to  $\partial\Omega$  at its point  $x$ . On  $\partial\Omega$  we will employ the  $(N-1)$ -dimensional Hausdorff measure  $\sigma$ . The symbol  $m$  stands for the Lebesgue measure,  $p \in (1, +\infty)$ ,  $p' := p/(p-1)$ ,  $\|\cdot\|_q$  with  $q \geq 1$  is the usual norm of  $L^q(\Omega)$ ,  $X := W^{1,p}(\Omega)$ , and

$$\|u\| := (\|\nabla u\|_p^p + \|u\|_p^p)^{1/p}, \quad u \in X.$$

Write  $p^*$  for the critical exponent of the Sobolev embedding  $W^{1,p}(\Omega) \subseteq L^q(\Omega)$ . Recall that  $p^* = Np/(N-p)$  if  $p < N$ ,  $p^* = +\infty$  otherwise, and the embedding turns out to be compact whenever  $1 \leq q < p^*$ .

Given  $t \in \mathbb{R}$ ,  $u, v : \Omega \rightarrow \mathbb{R}$ , and  $f : \Omega \times \mathbb{R} \rightarrow \mathbb{R}$ , define

$$t^\pm := \max\{\pm t, 0\}, \quad u^\pm(x) := u(x)^\pm, \quad N_f(u)(x) := f(x, u(x)).$$

$u \leq v$  (respectively,  $u < v$ , etc.) means  $u(x) \leq v(x)$  (respectively,  $u(x) < v(x)$ , etc.) for almost every  $x \in \Omega$ . If  $u, v$  belong to a function space, say  $Y$ , then we set

$$[u, v] := \{w \in Y : u \leq w \leq v\}, \quad Y_+ := \{w \in Y : w \geq 0\}.$$

Putting  $C_+ := C^1(\bar{\Omega})_+$ ,  $\text{int}(C_+) := \text{int}_{C^1(\bar{\Omega})}(C_+)$ ,  $D_+ := \text{int}_{C^0(\bar{\Omega})}(C_+)$ , and

$$\hat{C}_+ := \left\{ u \in C_+ : u(x) > 0 \ \forall x \in \Omega, \quad \frac{\partial u}{\partial n} \Big|_{\partial\Omega \cap u^{-1}(0)} < 0 \text{ if } \partial\Omega \cap u^{-1}(0) \neq \emptyset \right\},$$

one evidently has  $D_+ = \{u \in C_+ : u(x) > 0 \ \forall x \in \bar{\Omega}\}$  as well as

$$D_+ \subseteq \hat{C}_+ \subseteq \text{int}(C_+).$$

Let  $A_p : X \rightarrow X^*$  be the nonlinear operator stemming from the negative  $p$ -Laplacian  $\Delta_p$ , i.e.,

$$\langle A_p(u), v \rangle := \int_{\Omega} |\nabla u(x)|^{p-2} \nabla u(x) \cdot \nabla v(x) \, dx \quad \forall u, v \in X.$$

A standard argument [17, Proposition 2.72] ensures that  $A_p$  is of type  $(S)_+$ .

**Remark 2.1.** Given  $u \in X$ ,  $w \in L^{p'}(\Omega)$ , and  $\beta \in C^{0,\alpha}(\partial\Omega, \mathbb{R}_0^+)$ , the assertion

$$\langle A_p(u), v \rangle + \int_{\partial\Omega} \beta(x) |u(x)|^{p-2} u(x) v(x) \, d\sigma = \int_{\Omega} w(x) v(x) \, dx, \quad v \in X,$$

is equivalent to

$$-\Delta_p u = w \text{ in } \Omega, \quad \frac{\partial u}{\partial n_p} + \beta(x) |u|^{p-2} u = 0 \text{ on } \partial\Omega.$$

This easily stems from the nonlinear Green's identity [10, Theorem 2.4.54]; see for instance the proof of [19, Proposition 3].

We shall employ some facts about the spectrum of the operator

$$u \mapsto -\Delta_p u + a(x) |u|^{p-2} u$$

in  $X$  with homogeneous Robin boundary conditions. So, consider the eigenvalue problem (1.3), where, henceforth,

$$a \in L^\infty(\Omega) \text{ and } \beta \in C^{0,\alpha}(\partial\Omega, \mathbb{R}_0^+) \text{ with } \alpha \in (0, 1). \quad (2.3)$$

Define

$$\mathcal{E}(u) := \|\nabla u\|_p^p + \int_{\Omega} a(x)|u(x)|^p dx + \int_{\partial\Omega} \beta(x)|u(x)|^p d\sigma \quad \forall u \in X. \quad (2.4)$$

The Liusternik-Schnirelman theory provides a strictly increasing sequence  $\{\hat{\lambda}_n\}$  of eigenvalues for (1.3). Denote by  $E(\hat{\lambda}_n)$  the eigenspace corresponding to  $\hat{\lambda}_n$ . As in [18, 19], one has

$$\hat{\lambda}_1 \text{ is isolated and simple. Further, } \hat{\lambda}_1 = \inf_{u \in X \setminus \{0\}} \frac{\mathcal{E}(u)}{\|u\|_p^p}. \quad (2.5)$$

There exists an  $L^p$ -normalized eigenfunction  $\hat{u}_1 \in D_+$  associated with  $\hat{\lambda}_1$ . (2.6)

Let  $p := 2$ . It is known [6, 14] that  $H^1(\Omega) = \overline{\oplus_{n=1}^{\infty} E(\hat{\lambda}_n)}$  and that, for any  $n \geq 2$ ,

$$\hat{\lambda}_n = \inf \left\{ \frac{\mathcal{E}(u)}{\|u\|_2^2} : u \in \hat{H}_n, u \neq 0 \right\} = \sup \left\{ \frac{\mathcal{E}(u)}{\|u\|_2^2} : u \in \bar{H}_n, u \neq 0 \right\}, \quad (2.7)$$

where

$$\bar{H}_m := \oplus_{n=1}^m E(\hat{\lambda}_n), \quad \hat{H}_m := \oplus_{n=m}^{\infty} E(\hat{\lambda}_n).$$

### 3. EXISTENCE RESULTS

To avoid unnecessary technicalities, for every  $x \in \Omega'$  will take the place of 'for almost every  $x \in \Omega$ ' while  $c_1, c_2, \dots$  indicate positive constants arising from the context.

Henceforth,  $f : \Omega \times \mathbb{R} \rightarrow \mathbb{R}$  denotes a Carathéodory function such that  $f(\cdot, 0) = 0$ . Let  $F$  and  $H$  be given by (1.2). We shall make the following assumptions.

(A1) There exist  $a_1 \in L^\infty(\Omega)$  and  $r \in (p, p^*)$  such that

$$|f(x, t)| \leq a_1(x)(1 + |t|^{r-1}) \quad \forall (x, t) \in \Omega \times \mathbb{R}.$$

(A2)  $\lim_{\xi \rightarrow +\infty} F(x, \xi)\xi^{-p} = +\infty$  uniformly in  $x \in \Omega$ . Moreover, for appropriate  $a_2 \in L^1(\Omega)_+$ ,

$$0 \leq \xi_1 \leq \xi_2 \implies H(x, \xi_1) \leq H(x, \xi_2) + a_2(x) \quad \forall x \in \Omega. \quad (3.1)$$

(A3) There exists  $\bar{u} \in D_+$  fulfilling

$$\frac{\partial \bar{u}}{\partial n} \Big|_{\partial\Omega} < 0, \quad \Delta_p \bar{u} \in L^{p'}(\Omega), \quad \langle A_p(\bar{u}), v \rangle \geq 0 \quad \forall v \in W^{1,p}(\Omega)_+,$$

$$\text{and } \text{ess sup}_{x \in \Omega} [f(x, \bar{u}(x)) - a(x)\bar{u}(x)^{p-1}] < 0.$$

(A4) For some  $a_3 \in L^\infty(\Omega)$  one has

$$a_3(x) \leq \liminf_{t \rightarrow -\infty} \frac{f(x, t)}{|t|^{p-2}t} \leq \limsup_{t \rightarrow -\infty} \frac{f(x, t)}{|t|^{p-2}t} \leq \hat{\lambda}_1, \quad \lim_{\xi \rightarrow -\infty} H(x, \xi) = +\infty$$

uniformly with respect to  $x \in \Omega$ .

(A5) There exist  $q \in (1, p)$  and  $\delta_1 > 0$  satisfying

$$0 < f(x, \xi)\xi \leq qF(x, \xi) \quad \text{in } \Omega \times ([-\delta_1, \delta_1] \setminus \{0\})$$

as well as  $\text{ess inf}_{x \in \Omega} F(x, \delta_1) > 0$ .

(A6) To every  $\rho > 0$  there corresponds  $\mu_\rho > 0$  such that  $t \mapsto f(x, t) + \mu_\rho t^{p-1}$  is nondecreasing on  $[0, \rho]$  for all  $x \in \Omega$ .

**Remark 3.1.** The assumption  $\lim_{\xi \rightarrow +\infty} F(x, \xi)\xi^{-p} = +\infty$  is weaker than the unilateral Ambrosetti-Rabinowitz condition below.

(AR) For appropriate  $\theta > p$  and  $M > 0$  one has  $\text{ess inf}_{x \in \Omega} F(x, M) > 0$  and

$$0 < \theta F(x, \xi) \leq f(x, \xi)\xi \quad \text{in } \Omega \times [M, +\infty).$$

A standard example is  $f(x, t) := t^{p-1} \log t$ ,  $t \geq M > 1$ .

**Remark 3.2.** Property (3.1) has been thoroughly investigated in [11, Lemma 2.4]. Among other things, this result ensures that (A2) forces  $\lim_{t \rightarrow +\infty} f(x, t)t^{-p+1} = +\infty$ , i.e.,  $f(x, \cdot)$  turns out to be  $(p-1)$ -super-linear at  $+\infty$ .

**Remark 3.3.** Assumption (A3) implies  $\Delta_p \bar{u} \leq 0$ . Indeed, via the nonlinear Green's identity [10, Theorem 2.4.54] we get

$$\int_{\Omega} v(x) \Delta_p \bar{u}(x) dx = -\langle A_p(\bar{u}), v \rangle + \left\langle \frac{\partial \bar{u}}{\partial n_p}, v \right\rangle_{\partial \Omega} \leq 0 \quad \forall v \in W^{1,p}(\Omega)_+.$$

Here,  $\langle \cdot, \cdot \rangle_{\partial \Omega}$  denotes the duality pairing between  $W^{-\frac{1}{p'}, p'}(\partial \Omega)$  and  $W^{\frac{1}{p'}, p}(\partial \Omega)$ . Moreover,

$$\langle A_p(\bar{u}), v \rangle + \int_{\Omega} a(x) \bar{u}(x)^{p-1} v(x) dx \geq \int_{\Omega} f(x, \bar{u}(x)) v(x) dx, \quad v \in W^{1,p}(\Omega)_+,$$

whence  $\bar{u}$  is a super-solution of (1.1).

**Remark 3.4.** Reasoning as in [6, Lemma 3.1] shows that (A4) entails

$$\lim_{\xi \rightarrow -\infty} [\hat{\lambda}_1 |\xi|^p - pF(x, \xi)] = +\infty \quad \text{uniformly with respect to } x \in \Omega.$$

Problem (1.1) is thus coercive in the negative direction, and direct methods can be used to find a negative solution.

**Remark 3.5.** After integration, (A5) easily leads to

$$\theta |\xi|^q \leq F(x, \xi) \quad \forall (x, \xi) \in \Omega \times [-\delta_1, \delta_1], \quad (3.2)$$

with suitable  $\theta > 0$ . Consequently,  $f(x, \cdot)$  exhibits a concave behaviour at zero.

We start by pointing out some auxiliary results.

**Proposition 3.6.** *Suppose  $0 \leq a$ . If  $h_i \in L^\infty(\Omega)$ ,  $u_i \in C^1(\bar{\Omega})$ ,  $i = 1, 2$ , fulfill*

- $-\Delta_p u_i + a(x)|u_i|^{p-2} u_i = h_i$  in  $\Omega$ ,
- $\text{ess inf}_{x \in K} [h_2(x) - h_1(x)] > 0$  for any compact set  $K \subseteq \Omega$ ,
- $u_1 \leq u_2$  and  $\frac{\partial u_2}{\partial n} < 0$  on  $\partial \Omega$ ,

then  $u_2 - u_1 \in \hat{C}_+$ .

*Proof.* Recall that  $a \in L^\infty(\Omega)$ . The first conclusion, namely  $u_2(x) - u_1(x) > 0$  for all  $x \in \Omega$ , is achieved arguing exactly as in the proof of [3, Proposition 2.6], while the other directly follows from [22, Theorem 5.5.1].  $\square$

**Proposition 3.7.** *Let (A3) and (A6) be satisfied. Then each nontrivial solution  $\tilde{u} \in [0, \bar{u}]$  to (1.1) lies in  $\text{int}(C_+) \cap (\bar{u} - \hat{C}_+)$ .*

*Proof.* Standard regularity arguments ensure that  $\tilde{u} \in C_+ \setminus \{0\}$ . Fix

$$\rho := \|\bar{u}\|_\infty \geq \|\tilde{u}\|_\infty > 0.$$

Assumption (A6) provides  $\mu_\rho > \|a\|_\infty$  fulfilling

$$-\Delta_p \tilde{u}(x) + (a(x) + \mu_\rho) \tilde{u}(x)^{p-1} = f(x, \tilde{u}(x)) + \mu_\rho \tilde{u}(x)^{p-1} \geq 0 \quad \text{a.e. in } \Omega.$$

Therefore, by [23, Theorem 5],  $\tilde{u} \in \hat{C}_+ \subseteq \text{int}(C_+)$ . Next, define  $u_\delta := \tilde{u} + \delta$ , where  $\delta > 0$ . Since

$$\begin{aligned} -\Delta_p \tilde{u} + (a + \mu_\rho) \tilde{u}^{p-1} &\leq -\Delta_p \tilde{u} + (a + \mu_\rho) u_\delta^{p-1} \\ &= -\Delta_p \tilde{u} + (a + \mu_\rho) \tilde{u}^{p-1} + o(\delta) \\ &= f(x, \tilde{u}) + \mu_\rho \tilde{u}^{p-1} + o(\delta), \end{aligned}$$

using (A6) and (A3), with appropriate  $c_1 > 0$ , we obtain

$$\begin{aligned} -\Delta_p \tilde{u} + (a + \mu_\rho) \tilde{u}^{p-1} &\leq f(x, \bar{u}) + \mu_\rho \bar{u}^{p-1} + o(\delta) \\ &\leq (a + \mu_\rho) \bar{u}^{p-1} - c_1 + o(\delta) \\ &\leq (a + \mu_\rho) \bar{u}^{p-1} - \frac{c_1}{2} \\ &\leq -\Delta_p \bar{u} + (a + \mu_\rho) \bar{u}^{p-1} - \frac{c_1}{2}, \end{aligned}$$

for any  $\delta > 0$  small enough, because  $\Delta_p \bar{u} \leq 0$ ; cf. Remark 3.3. Proposition 3.6 now gives  $\bar{u} - \tilde{u} \in \hat{C}_+$ , as desired.  $\square$

To simplify notation, write  $X := W^{1,p}(\Omega)$ . The energy functional  $\varphi : X \rightarrow \mathbb{R}$  stemming from problem (1.1) is

$$\varphi(u) := \frac{1}{p} \mathcal{E}(u) - \int_{\Omega} F(x, u(x)) \, dx, \quad u \in X, \quad (3.3)$$

with  $\mathcal{E}$  and  $F$  given by (2.4) and (1.2), respectively. One clearly has  $\varphi \in C^1(X)$ .

**Proposition 3.8.** *Under (2.3), (A1), (A2), and (A4), the functional  $\varphi$  satisfies condition (C).*

The proof is rather technical but standard (see, e.g., [14, Proposition 3.2]). So, we omit it.

Henceforth  $\bar{a}$  will denote a real constant strictly greater than  $\|a\|_\infty$ .

**3.1. Positive solutions.** Truncation-perturbation techniques and minimization methods produce a first positive solution whenever (A3) is assumed.

**Theorem 3.9.** *Let (2.3), (A1), (A3), (A5), and (A6) be fulfilled. Then (1.1) has a positive solution  $u_0 \in \text{int}_{C^1(\bar{\Omega})}([0, \bar{u}])$ . Moreover,  $u_0$  turns out to be a local minimizer of  $\varphi$ .*

*Proof.* For  $x \in \Omega$  and  $t, \xi \in \mathbb{R}$ , we define

$$\begin{aligned} \bar{f}(x, t) &:= \begin{cases} f(x, t^+) + \bar{a}(t^+)^{p-1} & \text{if } t^+ \leq \bar{u}(x), \\ f(x, \bar{u}(x)) + \bar{a}\bar{u}(x)^{p-1} & \text{otherwise,} \end{cases} \\ \bar{F}(x, \xi) &:= \int_0^\xi \bar{f}(x, t) \, dt. \end{aligned} \quad (3.4)$$

It is evident that the corresponding functional

$$\bar{\varphi}(u) := \frac{1}{p} (\mathcal{E}(u) + \bar{a}\|u\|_p^p) - \int_{\Omega} \bar{F}(x, u(x)) \, dx, \quad u \in X,$$

belongs to  $C^1(X)$ . A standard argument, which exploits Sobolev's embedding theorem besides the compactness of the trace operator, ensures that  $\bar{\varphi}$  is weakly

sequentially lower semi-continuous. Since, by (2.3), the choice of  $\bar{a}$ , and (3.4), it is coercive, we have

$$\inf_{u \in X} \bar{\varphi}(u) = \bar{\varphi}(u_0) \tag{3.5}$$

for some  $u_0 \in X$ . Set  $\delta := \min\{\delta_1, \min_{x \in \bar{\Omega}} \bar{u}(x)\}$ , where  $\delta_1$  is as in (A5). If  $\tau \in (0, 1)$  complies with  $\tau \hat{u}_1 \leq \delta$ , then

$$\bar{\varphi}(\tau \hat{u}_1) \leq \frac{\tau^p}{p} \mathcal{E}(\hat{u}_1) - \theta \tau^q \|\hat{u}_1\|_q^q = \tau^q \left( \frac{\tau^{p-q}}{p} \hat{\lambda}_1 - \theta \|\hat{u}_1\|_q^q \right)$$

thanks to (3.4), (3.2), and (2.6). Thus, for  $\tau$  small enough,  $\bar{\varphi}(\tau \hat{u}_1) < 0$ , which entails

$$\bar{\varphi}(u_0) < 0 = \bar{\varphi}(0).$$

Consequently,  $u_0 \neq 0$ . Through (3.5) we get  $\bar{\varphi}'(u_0) = 0$ , namely

$$\langle A_p(u_0), v \rangle + \int_{\Omega} (a + \bar{a}) |u_0|^{p-2} u_0 v \, dx + \int_{\partial\Omega} \beta |u_0|^{p-2} u_0 v \, d\sigma = \int_{\Omega} \bar{f}(x, u_0) v \, dx, \tag{3.6}$$

for  $v \in X$ . Using (3.4) and (3.6) written for  $v := -u_0^-$  produces

$$\min\{1, \bar{a} - \|a\|_{\infty}\} \|u_0^-\|^p \leq \mathcal{E}(u_0^-) + \bar{a} \|u_0^-\|_p^p = 0,$$

whence  $u_0 \geq 0$ . Now, choose  $v := (u_0 - \bar{u})^+$  in (3.6) and observe that

$$\begin{aligned} & \int_{\Omega} \bar{f}(x, u_0) (u_0 - \bar{u})^+ \, dx \\ &= \int_{\Omega} [f(x, \bar{u}) + \bar{a} \bar{u}^{p-1}] (u_0 - \bar{u})^+ \, dx \\ &\leq \int_{\Omega} (a + \bar{a}) \bar{u}^{p-1} (u_0 - \bar{u})^+ \, dx + \int_{\partial\Omega} \beta u_0^{p-1} (u_0 - \bar{u})^+ \, d\sigma \end{aligned}$$

because of (3.4), (A3), and (2.3). This yields

$$\langle A_p(u_0) - A_p(\bar{u}), (u_0 - \bar{u})^+ \rangle + (\bar{a} - \|a\|_{\infty}) \int_{\Omega} (u_0^{p-1} - \bar{u}^{p-1}) (u_0 - \bar{u})^+ \, dx \leq 0,$$

i.e.,  $u_0 \leq \bar{u}$ . Therefore, both  $u_0 \in [0, \bar{u}] \setminus \{0\}$  and  $u_0$  solves problem (1.1), so that, due to Proposition 3.7,  $u_0 \in \text{int}(C_+) \cap (\bar{u} - \hat{C}_+)$ , which implies  $u_0 \in \text{int}_{C^1(\bar{\Omega})}([0, \bar{u}])$ . Finally, since

$$\varphi|_{[0, \bar{u}]} = \bar{\varphi}|_{[0, \bar{u}]},$$

Equation (3.5), combined with [19, Proposition 3], ensures that  $u_0$  is a local minimizer for  $\varphi$ . □

Critical point arguments produce a second positive solution.

**Theorem 3.10.** *If (2.3), (A1)–(A3), (A5)–(A6) hold, then (1.1) possesses a solution  $u_1 \in \text{int}(C_+) \setminus \{u_0\}$  such that  $u_0 \leq u_1$ .*

*Proof.* For  $x \in \Omega$  and  $t, \xi \in \mathbb{R}$ , we define

$$\begin{aligned} f_0(x, t) &:= \begin{cases} f(x, u_0(x)) + \bar{a} u_0(x)^{p-1} & \text{if } t \leq u_0(x), \\ f(x, t) + \bar{a} t^{p-1} & \text{otherwise,} \end{cases} \\ F_0(x, \xi) &:= \int_0^{\xi} f_0(x, t) \, dt. \end{aligned} \tag{3.7}$$



It is evident that the corresponding truncated functional

$$\varphi_0(u) := \frac{1}{p} (\mathcal{E}(u) + \bar{a}\|u\|_p^p) - \int_{\Omega} F_0(x, u(x)) dx, \quad u \in X, \quad (3.8)$$

belongs to  $C^1(X)$  also. A standard argument, which exploits Sobolev's embedding theorem and the compactness of the trace operator, ensures that  $\varphi_0$  is weakly sequentially lower semi-continuous.

**Claim 1:**  $\varphi_0$  satisfies condition (C). Let  $\{u_n\}$  be a sequence in  $X$  be such that

$$|\varphi_0(u_n)| \leq c_1 \quad \forall n \in \mathbb{N}, \quad (3.9)$$

$$\lim_{n \rightarrow +\infty} (1 + \|u_n\|) \|\varphi_0'(u_n)\|_{X^*} = 0. \quad (3.10)$$

Through (3.10) one has

$$\begin{aligned} & \left| \langle A_p(u_n), w \rangle + \int_{\partial\Omega} \beta |u_n|^{p-2} u_n w d\sigma \right. \\ & \left. + \int_{\Omega} (a + \bar{a}) |u_n|^{p-2} u_n w dx - \int_{\Omega} f_0(x, u_n) w dx \right| \\ & \leq \frac{\varepsilon_n \|w\|}{1 + \|u_n\|} \quad \forall w \in X, \end{aligned} \quad (3.11)$$

where  $\varepsilon_n \rightarrow 0^+$ . We first show that  $\{u_n\}$  is bounded. This evidently happens once the same holds for both  $\{u_n^-\}$  and  $\{u_n^+\}$ . By (3.7), choosing  $w := -u_n^-$  in (3.11) easily yields

$$\mathcal{E}(u_n^-) + \bar{a} \|u_n^-\|_p^p \leq c_2.$$

From (2.3) and the choice of  $\bar{a}$  it thus follows  $\|u_n^-\| \leq c_3$ . As  $n$  was arbitrary, the sequence  $\{u_n^-\}$  turns out to be bounded. So, in particular, on account of (3.9),

$$\mathcal{E}(u_n^+) + \bar{a} \|u_n^+\|_p^p - p \int_{\Omega} F_0(x, u_n^+(x)) dx \leq c_4 \quad \forall n \in \mathbb{N}.$$

Since

$$\int_{\Omega} F_0(x, u_n^+) dx = \int_{\Omega} [F_0(x, u_n^+) - F_0(x, u_0)] dx + \int_{\Omega} [f(x, u_0) + \bar{a} u_0^{p-1}] u_0 dx,$$

an easy computation shows that

$$\mathcal{E}(u_n^+) - p \int_{\Omega} F(x, u_n^+(x)) dx \leq c_5, \quad n \in \mathbb{N}. \quad (3.12)$$

Now, (3.11) written with  $w := u_n^+$  furnishes

$$\begin{aligned} & -\mathcal{E}(u_n^+) - \bar{a} \|u_n^+\|_p^p + \int_{\Omega_1} [f(x, u_0) + \bar{a} u_0^{p-1}] u_n^+ dx + \int_{\Omega_2} [f(x, u_n^+) + \bar{a} (u_n^+)^{p-1}] u_n^+ dx \\ & \leq \varepsilon_n, \end{aligned}$$

where  $\Omega_1 := \{x \in \Omega : 0 \leq u_n(x) \leq u_0(x)\}$  and  $\Omega_2 := \{x \in \Omega : u_n(x) > u_0(x)\}$ . Hence,

$$-\mathcal{E}(u_n^+) + \int_{\Omega} f(x, u_n^+) u_n^+ dx \leq c_6. \quad (3.13)$$

Inequalities (3.12)–(3.13) lead to

$$\int_{\Omega} H(x, u_n^+(x)) dx \leq c_7 \quad \forall n \in \mathbb{N}.$$

Via the same arguments used in the proof (Claim 1) of [14, Proposition 3.2], with 2 replaced by  $p$ , we achieve  $\|u_n^+\| \leq c_8$ . Therefore,  $\{u_n\} \subseteq X$  is bounded. As before, and along a subsequence when necessary, one has  $u_n \rightarrow u$  in  $X$ .

**Claim 2:**  $K(\varphi_0) \subseteq \{u \in X : u_0 \leq u\}$ . If  $u \in K(\varphi_0)$  then

$$\langle A_p(u), v \rangle + \int_{\Omega} (a + \bar{a})|u|^{p-2}uv \, dx + \int_{\partial\Omega} \beta|u|^{p-2}uv \, d\sigma = \int_{\Omega} f_0(x, u)v \, dx,$$

for all  $v \in X$ . Letting  $v := (u_0 - u)^+$  and recalling that  $u_0$  solves (1.1) yields

$$\begin{aligned} & \langle A_p(u_0) - A_p(u), (u_0 - u)^+ \rangle + \int_{\Omega} (a + \bar{a})(u_0^{p-1} - |u|^{p-2}u)(u_0 - u)^+ \, dx \\ & + \int_{\partial\Omega} \beta(u_0^{p-1} - |u|^{p-2}u)(u_0 - u)^+ \, d\sigma = 0. \end{aligned}$$

By (2.3) this entails

$$\langle A_p(u_0) - A_p(u), (u_0 - u)^+ \rangle + \int_{\Omega} (a + \bar{a})(u_0^{p-1} - |u|^{p-2}u)(u_0 - u)^+ \, dx \leq 0,$$

whence  $u_0 \leq u$ , because  $\bar{a} > \|a\|_{\infty}$ .

We may evidently assume

$$K(\varphi_0) \cap [0, \bar{u}] = \{u_0\}, \quad (3.14)$$

otherwise, thanks to Claim 2, there would exist  $u_1 \in K(\varphi_0) \cap [u_0, \bar{u}] \setminus \{u_0\}$ , i.e., a second solution of (1.1). Moreover, Proposition 3.7 would give  $u_1 \in \text{int}(C_+) \cap (\bar{u} - \hat{C}_+)$ , and the conclusion follows.

For every  $x \in \Omega$ ,  $t, \xi \in \mathbb{R}$ , we put

$$\bar{f}_0(x, t) := \begin{cases} f_0(x, t) & \text{if } t \leq \bar{u}(x), \\ f_0(x, \bar{u}(x)) & \text{otherwise,} \end{cases} \quad \bar{F}_0(x, \xi) := \int_0^{\xi} \bar{f}_0(x, t) \, dt. \quad (3.15)$$

The associated truncated functional

$$\bar{\varphi}_0(u) := \frac{1}{p} (\mathcal{E}(u) + \bar{a}\|u\|_p^p) - \int_{\Omega} \bar{F}_0(x, u(x)) \, dx, \quad u \in X,$$

belongs to  $C^1(X)$  and is coercive. A standard argument, based on the Sobolev embedding theorem and the compactness of the trace operator, ensures that  $\bar{\varphi}_0$  is weakly sequentially lower semi-continuous. So,

$$\inf_{u \in X} \bar{\varphi}_0(u) = \bar{\varphi}_0(\bar{u}_0) \quad (3.16)$$

for some  $\bar{u}_0 \in X$ . Since, like in the proof of Theorem 3.9, one has  $K(\bar{\varphi}_0) \subseteq [u_0, \bar{u}]$ , (3.14)–(3.16) produce  $\bar{u}_0 = u_0$ . Observe now that

$$\bar{\varphi}_0|_{[0, \bar{u}]} = \varphi_0|_{[0, \bar{u}]}$$

while, by Theorem 3.9,  $u_0 \in \text{int}_{C^1(\bar{\Omega})}([0, \bar{u}])$ . Thus, due to [19, Proposition 3],  $u_0$  is a local minimizer for  $\varphi_0$ . Without loss of generality, suppose  $u_0$  isolated in  $K(\varphi_0)$ , or else (1.1) would possess infinitely many solutions bigger than  $u_0$ ; cf. Claim 2 and (3.7). The same reasoning made in the proof of [1, Proposition 29] provides here  $\rho > 0$  fulfilling

$$\varphi_0(u_0) < \inf_{u \in \partial B_{\rho}(u_0)} \varphi_0(u).$$

From (3.7) and (A2) it easily follows that

$$\lim_{\tau \rightarrow +\infty} \varphi_0(\tau \hat{u}_1) = -\infty.$$

Claim 1 guarantees that condition (C) holds for  $\varphi_0$ . Hence, the mountain-pass theorem gives a point  $u_1 \in K(\varphi_0) \setminus \{u_0\}$ . Obviously,  $u_0 \leq u_1$  by Claim 2 and  $u_1$  solves (1.1). Through the regularity arguments used above we then achieve  $u_1 \in C^1(\bar{\Omega})$ . It remains to check that  $u_1 \in \text{int}(C_+)$ , which can be performed arguing as in the proof of Proposition 3.7.  $\square$

**3.2. Negative solutions.** The minimization method yields a negative solution whenever (A4) is assumed.

**Theorem 3.11.** *Let (2.3), (A1), (A4), and (A5) be satisfied. Then (1.1) possesses a solution  $u_2 \in -\text{int}(C_+)$ .*

*Proof.* For  $x \in \Omega$  and  $t, \xi \in \mathbb{R}$ , we define

$$\tilde{f}(x, t) := \begin{cases} f(x, t) + \bar{a}|t|^{p-2}t & \text{if } t \leq 0, \\ 0 & \text{otherwise,} \end{cases} \quad \tilde{F}(x, \xi) := \int_0^\xi \tilde{f}(x, t) dt.$$

It is evident that the corresponding functional

$$\tilde{\varphi}(u) := \frac{1}{p} (\mathcal{E}(u) + \bar{a}\|u\|_p^p) - \int_\Omega \tilde{F}(x, u(x)) dx, \quad u \in X,$$

belongs to  $C^1(X)$ . A standard reasoning, which exploits Sobolev’s embedding theorem besides the compactness of the trace operator, ensures that  $\tilde{\varphi}$  turns out to be weakly sequentially lower semi-continuous. Moreover,  $\tilde{\varphi}$  is coercive. Indeed, if

$$\|u_n\| \rightarrow +\infty \quad \text{and} \quad \tilde{\varphi}(u_n) \leq c_1 \quad \forall n \in \mathbb{N}, \tag{3.17}$$

then

$$\begin{aligned} & \frac{1}{p} \mathcal{E}(u_n^-) - \int_\Omega F(x, -u_n^-(x)) dx \\ & \leq \frac{1}{p} \min\{1, \bar{a} - \|a\|_\infty\} \|u_n^+\|^p + \frac{1}{p} \mathcal{E}(u_n^-) - \int_\Omega F(x, -u_n^-(x)) dx \\ & \leq \frac{1}{p} (\mathcal{E}(u_n) + \bar{a}\|u_n\|_p^p) - \int_\Omega \tilde{F}(x, -u_n^-(x)) dx \leq c_1, \quad n \in \mathbb{N}. \end{aligned} \tag{3.18}$$

Suppose  $\|u_n^-\| \rightarrow +\infty$  and write  $w_n := \|u_n^-\|^{-1}u_n^-$ . From  $\|w_n\| = 1$  it follows, along a subsequence when necessary,

$$w_n \rightharpoonup w \text{ in } X, \quad w_n \rightarrow w \text{ in } L^p(\Omega) \text{ and in } L^p(\partial\Omega), \quad w \geq 0. \tag{3.19}$$

Through (3.18) one has

$$\frac{1}{p} \mathcal{E}(w_n) - \frac{1}{\|u_n^-\|^p} \int_\Omega F(x, -u_n^-(x)) dx \leq \frac{c_1}{\|u_n^-\|^p} \quad \forall n \in \mathbb{N} \tag{3.20}$$

while by (A1) the sequence  $\{\|u_n^-\|^{-p}N_F(-u_n^-)\} \subseteq L^1(\Omega)$  is uniformly integrable. Using the arguments made in the proof of [1, Proposition 14], besides (A4), we thus obtain a function  $\theta \in L^\infty(\Omega)$  such that  $-c_2 \leq \theta \leq \hat{\lambda}_1/p$  and

$$\frac{1}{\|u_n^-\|^p} N_F(-u_n^-) \rightharpoonup \frac{1}{p} \theta w^p \text{ in } L^1(\Omega). \tag{3.21}$$

Thanks to (3.19)–(3.20) this implies, as  $n \rightarrow +\infty$ ,

$$\mathcal{E}(w) \leq \int_{\Omega} \theta(x)w(x)^p dx. \quad (3.22)$$

If  $\theta \neq \hat{\lambda}_1$ , then [18, Lemma 4.11] forces  $w = 0$ . From (3.19)–(3.21) it follows  $\|w_n\| \rightarrow 0$ . However, this is impossible. So, suppose  $\theta = \hat{\lambda}_1$ . Gathering (3.22) and (p<sub>2</sub>) together leads to  $w = t\hat{u}_1$  for some  $t \geq 0$ . The above reasoning shows that  $t > 0$ . Hence,  $w \in \text{int}(C_+)$ . By the definition of  $\{w_n\}$  we actually have  $u_n^-(x) \rightarrow +\infty$  for every  $x \in \Omega$ . Since (A4) easily yields

$$\lim_{\xi \rightarrow -\infty} [\hat{\lambda}_1|\xi|^p - pF(x, \xi)] = +\infty \quad \text{uniformly in } x \in \Omega$$

(cf. Remark 3.4), Fatou's lemma gives

$$\lim_{n \rightarrow +\infty} \int_{\Omega} [\hat{\lambda}_1(u_n^-)^p - pF(x, -u_n^-(x))] dx = +\infty. \quad (3.23)$$

On the other hand, via (3.18), besides (2.5), we get

$$\int_{\Omega} [\hat{\lambda}_1 u_n^-(x)^p - pF(x, -u_n^-(x))] dx \leq pc_1 \quad \forall n \in \mathbb{N},$$

against (3.23). Therefore, the sequence  $\{u_n^-\} \subseteq X$  is bounded. Using (3.18) again one sees that  $\{u_n^+\}$  enjoys the same property, which contradicts (3.17).

Let  $u_2 \in X$  satisfy

$$\inf_{u \in X} \tilde{\varphi}(u) = \tilde{\varphi}(u_2).$$

Arguing as in the proof of Theorem 3.9 we achieve  $u_2 \leq 0$  and  $u_2 \neq 0$ . So,  $u_2$  solves problem (1.1) and belongs to  $(-C_+) \setminus \{0\}$  by standard nonlinear regularity results. Finally, (A1) and (A4) provide  $\tilde{\mu} > \|a\|_{\infty}$  such that

$$f(x, t) + \tilde{\mu}|t|^{p-2}t \leq 0, \quad (x, t) \in \Omega \times \mathbb{R}_0^-.$$

Consequently,

$$\Delta_p(-u_2) + (a + \tilde{\mu})|u_2|^{p-2}u_2 = f(x, u_2) + \tilde{\mu}|u_2|^{p-2}u_2 \leq 0,$$

whence

$$\Delta_p(-u_2) \leq (a + \tilde{\mu})(-u_2)^{p-1} \quad \text{in } \Omega.$$

Through [23, Theorem 5] this implies  $-u_2 \in \text{int}(C_+)$ , as desired.  $\square$

**3.3. Extremal constant-sign and nodal solutions.** The following stronger version of (A5) will be used.

(A5') There exist  $q \in (1, p)$ ,  $a_4 > 0$ , and  $\delta_1 > 0$  such that

$$a_4|\xi|^q \leq f(x, \xi)\xi \leq qF(x, \xi) \quad \forall (x, \xi) \in \Omega \times [-\delta_1, \delta_1].$$

It plays a crucial role in getting useful information on the critical groups of  $\varphi$  at zero. Precisely, the result below, whose proof is analogous to that of [21, Proposition 4.1] (cf. also [12, Theorem 3.6]), holds.

**Lemma 3.12.** *Suppose (2.3), (A1), (A5') hold and  $K(\varphi)$  is a finite set. Then  $C_k(\varphi, 0) = 0$  for all  $k \in \mathbb{N}_0$ .*

Combining (A1) with (A5') we obtain

$$f(x, t)t \geq a_4|t|^q - a_5|t|^r \quad \text{in } \Omega \times \mathbb{R} \tag{3.24}$$

for an appropriate  $a_5 > 0$ . Consider the auxiliary problem

$$\begin{aligned} -\Delta_p u + a(x)|u|^{p-2}u &= a_4|u|^{q-2}u - a_5|u|^{r-2}u \quad \text{in } \Omega, \\ \frac{\partial u}{\partial n_p} + \beta(x)|u|^{p-2}u &= 0 \quad \text{on } \partial\Omega. \end{aligned} \tag{3.25}$$

Note that if  $u$  is a solution then  $-u$  also solves this problem.

**Lemma 3.13.** *If (2.3) holds then (3.25) admits a unique positive solution  $u_+ \in \text{int}(C_+)$ .*

*Proof.* The  $C^1$ -functional  $\psi : X \rightarrow \mathbb{R}$  given by

$$\psi(u) := \frac{1}{p} (\mathcal{E}(u) + \bar{a}\|u^-\|_p^p) - \frac{a_4}{q}\|u^+\|_q^q + \frac{a_5}{r}\|u^+\|_r^r, \quad u \in X,$$

is coercive. Indeed, recalling that  $\beta \geq 0$ ,  $\bar{a} \geq \|a\|_\infty$ , and  $q < p < r$ , we have

$$\begin{aligned} \psi(u) &= \frac{1}{p}\mathcal{E}(u^+) + \frac{a_5}{r}\|u^+\|_r^r - \frac{a_4}{q}\|u^+\|_q^q + \frac{1}{p}(\mathcal{E}(u^-) + \bar{a}\|u^-\|_p^p) \\ &\geq \frac{1}{p}\|\nabla u^+\|_p^p + c_1\|u^+\|_p^r - c_2(\|u^+\|_p^p + 1) + c_3\|u^-\|^p \\ &= \frac{1}{p}\|\nabla u^+\|_p^p + \|u^+\|_p^p(c_1\|u^+\|_p^{r-p} - c_2) + c_3\|u^-\|^p - c_2 \\ &\geq c_4\|u\|^p - c_5. \end{aligned}$$

Since  $\psi$  is weakly sequentially lower semi-continuous also, there exists  $u_+ \in X$  fulfilling

$$\psi(u_+) = \inf_{u \in X} \psi(u).$$

Moreover,  $u_+ \neq 0$  because  $\psi(t) < 0$  for any  $t > 0$  small enough. As in the proof of Theorem 3.9 we next get  $u_+ \geq 0$ . Hence, by standard nonlinear regularity results,  $u_+ \in C_+ \setminus \{0\}$ . The conclusion  $u_+ \in \text{int}(C_+)$  easily derives from

$$\Delta_p u_+ \leq (\|a\|_\infty + a_5\|u_+\|_\infty^{r-p})u_+^{p-1} \leq c_6u_+^{p-1};$$

cf. [23, Theorem 5]. Let us now come to uniqueness. Suppose  $\hat{u} \in \text{int}(C_+)$  is another solution of (3.25). For  $u \in L^1(\Omega)$ , we put

$$J(u) := \begin{cases} \frac{1}{p}(\|\nabla u^{1/p}\|_p^p + \int_{\partial\Omega} au \, d\sigma) & \text{if } u \geq 0, \ u^{1/p} \in X, \\ +\infty & \text{otherwise.} \end{cases}$$

[7, Lemma 1 ] ensures that  $J : L^1(\Omega) \rightarrow \mathbb{R} \cup \{+\infty\}$  is proper, convex, and lower semi-continuous. A simple computation, chiefly based on [10, Theorem 2.4.54], yields

$$J'(u_+^p)(v) = \frac{1}{p} \int_\Omega \frac{-\Delta_p u_+}{u_+^{p-1}} v \, dx, \quad J'(\hat{u}^p)(v) = \frac{1}{p} \int_\Omega \frac{-\Delta_p \hat{u}}{\hat{u}^{p-1}} v \, dx \quad \forall v \in C^1(\bar{\Omega}),$$

while the monotonicity of  $J'$  leads to

$$\int_\Omega \left( \frac{-\Delta_p u_+}{u_+^{p-1}} - \frac{-\Delta_p \hat{u}}{\hat{u}^{p-1}} \right) (u_+^p - \hat{u}^p) \, dx \geq 0.$$

Therefore,

$$\int_{\Omega} \left[ a_4 \left( \frac{1}{u_+^{p-q}} - \frac{1}{\hat{u}^{p-q}} \right) - a_5 (u_+^{r-p} - \hat{u}^{r-p}) \right] (u_+^p - \hat{u}^p) dx \geq 0,$$

which implies  $u_+ = \hat{u}$ , because  $q < p < r$ . □

**Remark 3.14.** Recall that when  $u$  is a solution, so is  $-u$ . Then  $u_- := -u_+$  represents the unique negative solution of (3.25).

We define

$$\begin{aligned} \Sigma_+ &:= \{u \in X \setminus \{0\} : 0 \leq u, u \text{ solves (1.1)}\}, \\ \Sigma_- &:= \{u \in X \setminus \{0\} : u \leq 0, u \text{ solves (1.1)}\}. \end{aligned}$$

We already know (see Sections 3.1–3.2) that these sets are both nonempty and that

$$\Sigma_+, -\Sigma_- \subseteq \text{int}(C_+).$$

Moreover,  $\Sigma_+$  (resp.,  $\Sigma_-$ ) turns out to be downward (resp., upward) directed, as a standard argument shows; see for instance [8, Lemmas 4.2–4.3].

**Lemma 3.15.** *Under assumptions (A1)–(A4), (A5’), and (A6) one has*

$$u_+ \leq u \quad \forall u \in \Sigma_+, \quad u \leq u_- \quad \forall u \in \Sigma_-.$$

*Proof.* Pick  $u \in \Sigma_+$ . For  $x \in \Omega, t, \xi \in \mathbb{R}$ , we define

$$g(x, t) := \begin{cases} a_4(t^+)^{q-1} - a_5(t^+)^{r-1} & \text{if } t^+ \leq u(x), \\ a_4u(x)^{q-1} - a_5u(x)^{r-1} + \bar{a}u(x)^{p-1} & \text{otherwise,} \end{cases}$$

$$G(x, \xi) := \int_0^\xi g(x, t) dt.$$

Evidently, the functional

$$\psi_+(w) := \frac{1}{p} (\mathcal{E}(w) + \bar{a}\|w\|_p^p) - \int_{\Omega} G(x, w(x)) dx, \quad w \in X,$$

is  $C^1$ , weakly sequentially lower semi-continuous, and coercive. So, there exists  $w_0 \in X$  such that

$$\psi_+(w_0) = \inf_{w \in X} \psi_+(w).$$

From  $q < p < r$  it follows  $\psi_+(w_0) < 0 = \psi_+(0)$ , whence  $w_0 \neq 0$ . Via (3.24), reasoning as in the proof of Theorem 3.9, we arrive at

$$w_0 \in [0, u] \cap \text{int}(C_+). \tag{3.26}$$

So,  $w_0$  turns out to be a positive solution of (3.25). By Lemma 3.13 one has  $w_0 = u_+$ , and (3.26) then yields  $u_+ \leq u$ . Analogously,  $u \leq u_-$  for all  $u \in \Sigma_-$ . □

**Theorem 3.16.** *Let (2.3), (A1)–(A4), (A5’), (A6) be satisfied. Then (1.1) possesses a smallest positive solution  $u_*$  and a biggest negative solution  $v_*$ . Further,  $-v_*, u_* \in \text{int}(C_+)$ .*

*Proof.* Recall that  $\Sigma_+$  is downward directed. The same arguments employed to establish [2, Proposition 8] yield

- (1)  $\inf \Sigma_+ = \inf_{n \in \mathbb{N}} u_n = u_*$  for some  $\{u_n\} \subseteq \Sigma_+, u_* \in X$ ;
- (2)  $u_n \rightarrow u_*$  in  $X$  and in  $L^p(\partial\Omega)$ .

Hence, the function  $u_*$  solves (1.1). Through Lemma 3.15 we next obtain  $u_+ \leq u_*$ , namely  $u_* \in \Sigma_+ \subseteq \text{int}(C_+)$ . Finally, 1) ensures that  $u_*$  is minimal. A similar proof gives a function  $v_*$  with the asserted properties.  $\square$

Next, for every  $x \in \Omega$  and  $t, \xi \in \mathbb{R}$ , we define

$$\hat{f}(x, t) := \begin{cases} f(x, v_*(x)) + \bar{a}|v_*(x)|^{p-2}v_*(x) & \text{if } t < v_*(x), \\ f(x, t) + \bar{a}|t|^{p-2}t & \text{if } v_*(x) \leq t \leq u_*(x), \\ f(x, u_*(x)) + \bar{a}u_*(x)^{p-1} & \text{if } t > u_*(x), \end{cases} \tag{3.27}$$

$$\hat{f}_\pm(x, t) := \hat{f}(x, t^\pm),$$

$$\hat{F}(x, \xi) := \int_0^\xi \hat{f}(x, t)dt, \quad \hat{F}_\pm(x, \xi) := \int_0^\xi \hat{f}_\pm(x, t) dt.$$

It is evident that the corresponding truncated functionals

$$\hat{\varphi}(u) := \frac{1}{p} (\mathcal{E}(u) + \bar{a}\|u\|_p^p) - \int_\Omega \hat{F}(x, u(x)) dx, \quad u \in X, \tag{3.28}$$

$$\hat{\varphi}_\pm(u) := \frac{1}{p} (\mathcal{E}(u) + \bar{a}\|u\|_p^p) - \int_\Omega \hat{F}_\pm(x, u(x)) dx, \quad u \in X,$$

belong to  $C^1(X)$ . Moreover, by construction, one has

$$K(\hat{\varphi}) \subseteq [v_*, u_*], \quad K(\hat{\varphi}_-) = \{0, v_*\}, \quad K(\hat{\varphi}_+) = \{0, u_*\}; \tag{3.29}$$

see, e.g., [15, Lemma 3.1].

**Theorem 3.17.** *If (2.3), (A1)–(A4), (A5’), (A6) hold, then (1.1) possesses a nodal solution  $u_3 \in [v_*, u_*] \cap C^1(\bar{\Omega})$ .*

*Proof.*  $X$  compactly embeds in  $L^p(\Omega)$  while the Nemitskii operator  $N_{\hat{f}_+}$  turns out to be continuous on  $L^p(\Omega)$ . Thus, a standard argument ensures that  $\hat{\varphi}_+$  is weakly sequentially lower semi-continuous. Since, on account of (3.27), it is coercive, we obtain

$$\inf_{u \in X} \hat{\varphi}_+(u) = \hat{\varphi}_+(u_0)$$

for some  $u_0 \in X$ . Reasoning as in the proof of Theorem 3.9 produces  $u_0 \in \text{int}(C_+)$  and, by (3.29),  $u_0 = u_*$ . Since  $\hat{\varphi}|_{C_+} = \hat{\varphi}_+|_{C_+}$ , the function  $u_*$  turns out to be a  $C^1(\bar{\Omega})$ -local minimizer for  $\hat{\varphi}$ . Now, [19, Proposition 3] guarantees that the same remains true with  $X$  in place of  $C^1(\bar{\Omega})$ . A similar argument applies to  $v_*$ . Consequently,  $u_*, v_*$  are local minimizer for  $\hat{\varphi}$ .

We may assume  $K(\hat{\varphi})$  finite, otherwise infinitely many nodal solutions do exist by (3.29). Let  $\hat{\varphi}(v_*) \leq \hat{\varphi}(u_*)$  (the other case is analogous). Without loss of generality, the local minimizer  $u_*$  for  $\hat{\varphi}$  can be supposed proper. Thus, there exists  $\rho \in (0, \|u_* - v_*\|)$  such that

$$\hat{\varphi}(u_*) < c_\rho := \inf_{u \in \partial B_\rho(u_*)} \hat{\varphi}(u). \tag{3.30}$$

Moreover,  $\hat{\varphi}$  fulfills condition (C) because, by (3.27), it is coercive; vide for instance [13, Proposition 2.2]. So, the mountain-pass theorem yields a point  $u_3 \in X$  complying with  $\hat{\varphi}'(u_3) = 0$  and

$$c_\rho \leq \hat{\varphi}(u_3) = \inf_{\gamma \in \Gamma} \max_{t \in [0,1]} \hat{\varphi}(\gamma(t)), \tag{3.31}$$

where

$$\Gamma := \{\gamma \in C^0([0, 1], X) : \gamma(0) = v_*, \gamma(1) = u_*\}.$$

Obviously,  $u_3$  solves (1.1). Through (3.30)–(3.31), besides (3.29), we get

$$u_3 \in [v_*, u_*] \setminus \{v_*, u_*\},$$

while standard regularity arguments yield  $u_3 \in C^1(\bar{\Omega})$ . The proof is thus completed once one verifies that  $u_3 \neq 0$ . This will follow from

$$C_1(\hat{\varphi}, 0) = 0, \tag{3.32}$$

because  $C_1(\hat{\varphi}, u_3) \neq 0$  by [17, Corollary 6.81]. We claim that

$$C_k(\hat{\varphi}, 0) = C_k(\varphi, 0) \quad \forall k \in \mathbb{N}_0. \tag{3.33}$$

Indeed, consider the homotopy

$$h(t, u) := (1 - t)\hat{\varphi}(u) + t\varphi(u), \quad (t, u) \in [0, 1] \times X.$$

If there exist  $\{t_n\} \subseteq [0, 1]$  and  $\{u_n\} \subseteq X$  satisfying

$$t_n \rightarrow t, \quad u_n \rightarrow 0, \quad u_m \neq u_n \quad \text{for } m \neq n, \quad h'_u(t, u_n) = 0 \quad \forall n \in \mathbb{N} \tag{3.34}$$

then the same arguments of [20, Proposition 7] give  $\|u_n\|_\infty \leq c_1$ . By regularity, the sequence  $\{u_n\}$  is bounded in  $C^{1,\alpha}(\bar{\Omega})$  for some  $\alpha \in (0, 1)$ , whence  $u_n \rightarrow 0$  in  $C^1(\bar{\Omega})$ . Thus,  $u_n \in [v_*, u_*]$  provided  $n$  is large enough, and (3.27), (3.29), besides (3.34), lead to  $u_n \in K(\hat{\varphi})$ . However, this contradicts the assumption  $K(\hat{\varphi})$  finite. Now, [5, Theorem 5.2] directly yields (3.33). Combining (3.33) with Lemma 3.12 we finally arrive at (3.32), as desired.  $\square$

If  $f(x, \cdot)$  exhibits a  $(p - 1)$ -linear behavior at zero then the problem’s geometry changes, and another technical approach is necessary. We will use the hypothesis

(A5'') There exist  $a_6 > \hat{\lambda}_2$  and  $a_7 > 0$  such that

$$a_6 \leq \liminf_{t \rightarrow 0} \frac{f(x, t)}{|t|^{p-2}t} \leq \limsup_{t \rightarrow 0} \frac{f(x, t)}{|t|^{p-2}t} \leq a_7$$

uniformly in  $x \in \Omega$ .

Via (A1) and (A5'') one has

$$f(x, t)t \geq a_8|t|^p - a_9|t|^r, \quad (x, t) \in \Omega \times \mathbb{R},$$

for appropriate  $a_8 > \hat{\lambda}_2$ ,  $a_9 > 0$ . Consider the auxiliary problem

$$\begin{aligned} -\Delta_p u + a(x)|u|^{p-2}u &= a_8|u|^{p-2}u - a_9|u|^{r-2}u \quad \text{in } \Omega, \\ \frac{\partial u}{\partial n_p} + \beta(x)|u|^{p-2}u &= 0 \quad \text{on } \partial\Omega. \end{aligned} \tag{3.35}$$

Note that if  $u$  is a solution then  $-u$  also solves this problem. Reasoning as above we see that:

- Problem (3.35) admits a unique positive solution  $u_+ \in \text{int}(C_+)$ .
- $u_- := -u_+$  represents the unique negative solution of (3.35).
- Under assumptions (A1)–(A4), (A5''), (A6) and (2.3), problem (1.1) possesses both a smallest positive solution  $u_*$  and a biggest negative solution  $v_*$ . Further,  $-v_*, u_* \in \text{int}(C_+)$ .

Now, the same arguments used in the proof of [15, Theorem 3.3] yield the following result.



**Theorem 3.18.** *Let (2.3), (A1)–(A4), (A5’), and (A6) be satisfied. Then (1.1) admits a nodal solution  $u_3 \in [v_*, u_*] \cap C^1(\bar{\Omega})$ .*

**3.4. Existence of at least four nontrivial solutions.** Gathering the results in Sections 3.1–3.3 we directly obtain the next one.

**Theorem 3.19.** *If (2.3), (A1)–(A4), (A5’)–(A6) hold, then (1.1) possesses at least four solutions  $u_0, u_1 \in \text{int}(C_+)$ ,  $u_2 \in -\text{int}(C_+)$ , and  $u_3 \in [u_2, u_0] \cap C^1(\bar{\Omega})$  nodal. Moreover,  $u_0 \leq u_1$ .*

**Remark 3.20.** Hypothesis (A5’) can be substituted by (A5’’) without changing the conclusion.

#### 4. SEMILINEAR CASE

From now on we shall assume  $p = 2$ . Then the regularity results of [24] allow to weaken (2.3) as follow, see [6, 14],

$$a \in L^s(\Omega) \text{ for some } s > N, a^+ \in L^\infty(\Omega), \quad \beta \in W^{1,\infty}(\partial\Omega), \text{ and } \beta \geq 0. \quad (4.1)$$

Further, the energy functional  $\varphi$  given by (3.3) fulfills condition (C) once (4.1), (A1), (A2), and (A4) hold; see Proposition 3.8.

**Lemma 4.1.** *Under assumptions (4.1), (A1), and*

(A7)  $\hat{\lambda}_m t^2 \leq f(x, t)t \leq \hat{\lambda}_{m+1} t^2$  in  $\Omega \times [-\delta_2, \delta_2]$ , with appropriate  $m \in \mathbb{N}$ ,  $\delta_2 > 0$ , one has

$$C_k(\varphi, 0) = \delta_{k, d_m} \mathbb{Z} \quad \forall k \in \mathbb{N}_0,$$

where  $d_m := \dim(\bar{H}_m)$ , provided  $\varphi$  satisfies (C) and  $0 \in K(\varphi)$  is isolated.

*Proof.* It is similar to that of [6, Lemma 3.3]. So, we only sketch the main points. Pick a  $\theta \in (\hat{\lambda}_m, \hat{\lambda}_{m+1})$  and define

$$\psi(u) := \frac{1}{2} (\mathcal{E}(u) - \theta \|u\|_2^2), \quad u \in X.$$

Thanks to (A7), zero is a non-degenerate critical point of  $\psi$  having Morse index  $d_m$ , which entails

$$C_k(\psi, 0) = \delta_{k, d_m} \mathbb{Z} \quad \forall k \in \mathbb{N}_0;$$

see (2.2). Now, recall that every  $v \in X$  admits a unique sum decomposition  $v = \bar{v} + \hat{v}$ , with  $\bar{v} \in \bar{H}_m$ ,  $\hat{v} \in \overline{\hat{H}_{m+1}}$ . If  $u \in C^1(\bar{\Omega})$  and  $0 < \|u\|_{C^1(\bar{\Omega})} < \delta_2$  then

$$\langle \varphi'(u), \hat{u} - \bar{u} \rangle = \mathcal{E}(\hat{u}) - \mathcal{E}(\bar{u}) - \int_{\Omega} f(x, u)(\hat{u} - \bar{u}) \, dx. \quad (4.2)$$

By (A7) again, one arrives at

$$f(x, u)(\hat{u} - \bar{u}) = \frac{f(x, u)}{u} u(\hat{u} - \bar{u}) \leq \begin{cases} \hat{\lambda}_{m+1}(\hat{u}^2 - \bar{u}^2) & \text{if } u(\hat{u} - \bar{u}) \geq 0, \\ -\hat{\lambda}_m(\bar{u}^2 - \hat{u}^2) & \text{otherwise.} \end{cases}$$

Hence,

$$f(x, u(x))(\hat{u}(x) - \bar{u}(x)) \leq \hat{\lambda}_{m+1} \hat{u}(x)^2 - \hat{\lambda}_m \bar{u}(x)^2 \quad \text{in } \Omega. \quad (4.3)$$

From (4.2), (4.3), and (2.7) it follows that

$$\langle \varphi'(u), \hat{u} - \bar{u} \rangle \geq \mathcal{E}(\hat{u}) - \hat{\lambda}_{m+1} \|\hat{u}\|_2^2 - [\mathcal{E}(\bar{u}) - \hat{\lambda}_m \|\bar{u}\|_2^2] \geq 0.$$

Using [6, Lemma 2.2] we obtain

$$\langle \psi'(u), \hat{u} - \bar{u} \rangle = \mathcal{E}(\hat{u}) - \theta \|\hat{u}\|_2^2 - [\mathcal{E}(\bar{u}) - \theta \|\bar{u}\|_2^2] \geq c_1 \|u\|^2$$

for some  $c_1 > 0$ . Therefore, the homotopy

$$h(t, v) := (1 - t)\varphi(v) + t\psi(v), \quad (t, v) \in [0, 1] \times X$$

fulfills the inequality

$$\langle h'_v(t, u), \hat{u} - \bar{u} \rangle \geq tc_1 \|u\|^2 \quad \forall t \in [0, 1],$$

and [5, Theorem 5.2] can be applied. By that result  $C_k(\varphi, 0) = C_k(\psi, 0)$ , which completes the proof.  $\square$

The same arguments made in [20, Proposition 15] yield the next result.

**Lemma 4.2.** *Assume (4.1), (A1), and (A2) hold. If  $\varphi$  satisfies (C) and is bounded below on  $K(\varphi)$ , then  $C_k(\varphi, \infty) = 0$  for all  $k \in \mathbb{N}_0$ .*

The condition below will take the place of (A1).

(A1')  $f(x, \cdot) \in C^1(\mathbb{R})$  for every  $x \in \Omega$ . There exist  $a_1 \in L^\infty(\Omega)$ ,  $r \in (2, 2^*)$  such that

$$|f'_t(x, t)| \leq a_1(x)(1 + |t|^{r-2}) \quad \forall (x, t) \in \Omega \times \mathbb{R}.$$

**Remark 4.3.** An easy computation shows that (A1') implies (A6).

We are now in a position to establish a five-solutions existence result. It complements those previously obtained in [6, 14].

**Theorem 4.4.** *Let (4.1), (A1'), (A2)–(A4) be satisfied. Suppose also that*

(A7') *either*

$$a_{10}t^2 \leq f(x, t)t \leq \hat{\lambda}_3t^2, \quad (x, t) \in \Omega \times [-\delta_3, \delta_3],$$

for some  $a_{10} > \hat{\lambda}_2$  and  $\delta_3 > 0$ , or

$$\hat{\lambda}_mt^2 \leq f(x, t)t \leq \hat{\lambda}_{m+1}t^2, \quad (x, t) \in \Omega \times [-\delta_3, \delta_3],$$

where  $m \geq 3$ .

Then (1.4) possesses at least five nontrivial solutions  $u_i \in C^1(\bar{\Omega})$ ,  $i = 0, \dots, 4$ , with  $u_0, u_1, u_2, u_3$  as in Theorem 3.19.

*Proof.* Thanks to Remarks 3.20 and 4.3, the conclusion of Theorem 3.19 holds for the present framework. So, it remains to find a further solution  $u_4 \in C^1(\bar{\Omega}) \setminus \{0\}$ . Without loss of generality, we assume that  $u_0, u_3$  are extremal (see Section 3.3), while a standard argument based on (A6) and (4.1) yields  $u_3 \in \text{int}_{C^1(\bar{\Omega})}([u_2, u_0])$ ; vide, e.g., [14, Theorem 3.2]. Still we write  $\hat{f}$  for the function defined in (3.27) but with  $v_*$  and  $u_*$  replaced by  $u_2$  and  $u_0$ , respectively. [6, Lemma 2.1] provides  $\hat{a}, \hat{b} > 0$  fulfilling

$$\mathcal{E}(u) + \hat{a}\|u\|_2^2 \geq \hat{b}\|u\|^2 \quad \forall u \in X.$$

Pick any  $\bar{a} \geq \hat{a}$  and consider the functional  $\hat{\varphi}$  given by (3.28). The same reasoning adopted in the proof of Theorem 3.17 ensures here that  $C_k(\hat{\varphi}, u_3) = C_k(\varphi, u_3)$ . Thus

$$C_1(\varphi, u_3) \neq 0,$$

because  $u_3$  is a mountain-pass type critical point for  $\hat{\varphi}$ ; cf. [17, Corollary 6.81]. By (A1') one has  $\varphi \in C^2(X)$  as well as

$$\langle \varphi''(u_3)u, v \rangle = \int_{\Omega} (\nabla u \cdot \nabla v + auv)dx + \int_{\partial\Omega} \beta uv \, d\sigma - \int_{\Omega} f'_t(x, u_3)uvdx, \quad (4.4)$$

for  $u, v \in X$ . Hence, if the Morse index of  $u_3$  is zero, then

$$\|\nabla u\|_2^2 + \int_{\partial\Omega} \beta u^2 d\sigma \geq \int_{\Omega} [f'_t(x, u_3) - a]u^2 dx \quad \forall u \in X. \quad (4.5)$$

Write  $\alpha := [f'_t(x, u_3) - a]^+$  and observe that  $\alpha \in L^s(\Omega)$ . Two situations may occur.

(1)  $\alpha = 0$ . Due to (4.4), for every  $u \in \ker\varphi''(u_3)$  we get

$$\|\nabla u\|_2^2 + \int_{\partial\Omega} \beta(x)u(x)^2 d\sigma \leq 0,$$

which implies  $u$  constant.

(2)  $\alpha \neq 0$ . From (4.5) it follows  $\hat{\lambda}_1(\alpha) \geq 1$  and by (4.4) the assertion  $\ker\varphi''(u_3) \neq \{0\}$  forces  $\hat{\lambda}_1(\alpha) = 1$ , whence  $\dim \ker\varphi''(u_3) = 1$ .

In both cases we arrive at  $\dim \ker\varphi''(u_3) \leq 1$ . So, on account of [17, Proposition 6.101],

$$C_k(\varphi, u_3) = \delta_{k,1}\mathbb{Z} \quad \forall k \in \mathbb{N}_0. \quad (4.6)$$

Next, we define

$$\varphi_+(u) := \frac{1}{2}\mathcal{E}(u) - \int_{\Omega} F_+(x, u(x)) \, dx, \quad u \in X,$$

where  $F_+(x, \xi) := \int_0^{\xi} f(x, t)^+ \, dt$ . Assumption (A7) easily leads to  $\varphi|_{C_+} = \varphi_+|_{C_+}$ , which entails

$$C_k(\varphi|_{C^1(\bar{\Omega})}, u_1) = C_k(\varphi_+|_{C^1(\bar{\Omega})}, u_1)$$

because  $u_1 \in \text{int}(C_+)$ ; see Theorem 3.10. By denseness one has  $C_k(\varphi, u_1) = C_k(\varphi_+, u_1)$ . Now, observe that  $\varphi_+ = \varphi_0 + c$ , with appropriate  $c > 0$  and  $\varphi_0$  as in (3.8), on a neighbourhood of  $u_1$ . Consequently,  $C_k(\varphi_+, u_1) = C_k(\varphi_0, u_1)$ . Since  $u_1$  is a mountain-pass type critical point for  $\varphi_0$  (cf. the proof of Theorem 3.10), the same argument made above gives

$$C_k(\varphi, u_1) = \delta_{k,1}\mathbb{Z}, \quad k \in \mathbb{N}_0. \quad (4.7)$$

Gathering Theorem 3.10 and [17, Proposition 6.95], we derive

$$C_k(\varphi, u_0) = \delta_{k,0}\mathbb{Z} \quad \forall k \in \mathbb{N}_0. \quad (4.8)$$

Likewise,

$$C_k(\varphi, u_2) = \delta_{k,0}\mathbb{Z}, \quad \forall k \in \mathbb{N}_0, \quad (4.9)$$

while Lemmas 4.1–4.2 yield

$$C_k(\varphi, 0) = \delta_{k,d_m}\mathbb{Z}, \quad C_k(\varphi, \infty) = 0 \quad \forall k \in \mathbb{N}_0. \quad (4.10)$$

Finally, if  $K(\varphi) = \{0, u_0, u_1, u_2, u_3\}$  then (2.1), with  $t = -1$ , and (4.6)–(4.10) would imply

$$(-1)^{d_m} + 2(-1)^0 + 2(-1)^1 = 0,$$

which is impossible. Thus, there exists  $u_4 \in K(\varphi) \setminus \{0, u_0, u_1, u_2, u_3\}$ , i.e., a fifth nontrivial solution to (1.1). Standard regularity results [24] ensure that  $u_4 \in C^1(\bar{\Omega})$ .  $\square$

**Acknowledgements.** This research was done under the auspices of GNAMPA of INDAM and within the 2016–2018 Research Plan - Intervention Line 2: ‘Variational methods and differential equations’.

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