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Mathematical analysis. — Hardy–Sobolev inequalities and hyperbolic symmetry, by DANIELE CASTORINA, ISABELLA FABBRI, GIANNI MANCINI and KUNNATH SANDEEP, communicated on 12 June 2008.

ABSTRACT. - We discuss uniqueness and nondegeneracy of extremals for some weighted Sobolev inequalities and give some applications to Grushin and scalar curvature type equations. The main theme is hyperbolic symmetry.

KEY WORDS: Nonlinear PDE; hyperbolic symmetry; Hardy-Sobolev inequalities.

MATHEMATICS SUBJECT CLASSIFICATION (2000): Primary 35J60; Secondary 35B05, 35A15.

1. INTRODUCTION

In this note we announce some results (see [3] and [11] for details) concerning positive extremals for optimal Hardy–Sobolev–Maz'ya inequalities (see [12])

(1.1)
$$\sqrt{S_t^{\mu}} \left(\int_{\mathbb{R}^k \times \mathbb{R}^h} \frac{|u|^p}{|y|^t} \, dy \, dz \right)^{1/p} \leq \left(\int_{\mathbb{R}^k \times \mathbb{R}^h} \left[|\nabla u|^2 - \mu \frac{u^2}{|y|^2} \right] dy \, dz \right)^{1/2},$$

where $(y, z) \in \mathbb{R}^k \times \mathbb{R}^h$, $k, h \in \mathbb{N}$, N = k + h, p > 2 and $p \leq 2N/(N-2)$ if where $(0, 2) \in \mathbb{R}^{n} \times \mathbb{R}^{n}$, $k, n \in \mathbb{N}$, N = k + n, p > 2 and $p \leq 2N/(N - 2)$ if $N \geq 3$, t = N - (N - 2)p/2. Inequality (1.1) holds for all $\mu \leq ((k - 2)/2)^2$ and $u \in C_0^{\infty}((\mathbb{R}^k \setminus \{0\}) \times \mathbb{R}^h)$. If k = 1, we mean \mathbb{R}^+ instead of \mathbb{R} . Existence of minimizers for (1.1) has been established in [2] in the special case

 $\mu = 0, k \ge 2$ and subsequently in [14] and [15] in other cases.

In case $k \geq 2$ and $\mu = 0$, cylindrical symmetry, regularity and decay properties of (positive) extremals have been established in [5]. Actually, in case p = 2(N-1)/(N-2) extremals have been completely identified therein: they are given, up to dilation and translation in z, by

(1.2)
$$U(y,z) = \left[\frac{(N-2)(k-1)}{(1+|y|)^2+|z|^2}\right]^{(N-2)/2}$$

Cylindrical symmetry has been established in case $0 \le \mu \le ((k-2)/2)^2$ in [8].

We address here uniqueness and nondegeneracy of positive extremals. We work out this problem by studying the Euler–Lagrange equation for (1.1):

(1.3)
$$-\Delta u = \mu \frac{u}{|y|^2} + \frac{|u|^{p-2}u}{|y|^t} \quad \text{in } \mathbb{R}^N \quad (\text{in } \mathbb{R}^+ \times \mathbb{R}^h \text{ if } k = 1).$$

The starting point, to be discussed in Section 2, where a symmetry result is also presented, is the connection we discovered between (1.3) and the following equation on \mathbb{H}^n , the n = h + 1-dimensional hyperbolic space:

(1.4)
$$\Delta_{\mathbb{H}^n} v + \lambda v + v^{p-1} = 0,$$

where $\Delta_{\mathbb{H}^n}$ is the Laplace–Beltrami operator in \mathbb{H}^n . In Sections 3–4, we present uniqueness results for (1.4), which apply to (1.3) and to critical Grushin equations as well and then we prove nondegeneracy in some cases.

In Section 4 we apply these results to scalar curvature type equations.

2. HYPERBOLIC SYMMETRY

We deal with symmetric entire solutions of (1.3), i.e. solutions $u \in \mathcal{D}_{\mu}$, the closure, with respect to the norm given by the r.h.s. in (1.1), of the space of cylindrically symmetric $C_0^{\infty}((\mathbb{R}^k \setminus \{0\}) \times \mathbb{R}^h)$ functions. Actually, \mathcal{D}_{μ} is the class where solutions of (1.3) have been found (see [14], [8], [15], [11]). If $\mu < ((k-2)/2)^2$ and $k \neq 2$ then $\mathcal{D}_{\mu} = D^1(\mathbb{R}^N)$. However, $\mathcal{D}_{((k-2)/2)^2}$ is larger than $D^1(\mathbb{R}^N)$. In fact, $u \in \mathcal{D}_{((k-2)/2)^2}$ iff $\int_{\mathbb{R}^k \times \mathbb{R}^h} |y|^{2-k} |\nabla|y|^{(k-2)/2} u|^2 dy dz < +\infty$. So, let $u \in \mathcal{D}_{\mu}$ be a positive solution of (1.3). Set

$$u = u(|y|, z),$$
 $(Hu)(r, z) := r^{(N-2)/2}u(r, z).$

The crucial observation is the following. Let n := h + 1. Then Hu solves

(2.1)
$$-\Delta_{\mathbb{H}^n} v := -(r^2 \Delta v - (n-2)rv_r) = \lambda v + v^{p-1} \quad \text{in } \mathbb{R}^+ \times \mathbb{R}^h,$$

where $\lambda = \mu + ((n-1)^2 - (k-2)^2)/4$ and $\Delta_{\mathbb{H}^n}$ denotes the Laplace-Beltrami operator on (the half-space model for) \mathbb{H}^n . In addition, the map H is energy preserving, in the sense we are going to specify. First, recall that in the half-space model for \mathbb{H}^n the Sobolev norm of $v \in H^1(\mathbb{H}^n)$ is

$$|||v|||^{2} := \int_{\mathbb{H}^{n}} [|\nabla_{\mathbb{H}^{n}} v|^{2} + v^{2}] dV_{\mathbb{H}^{n}} = \int_{\mathbb{R}^{+} \times \mathbb{R}^{h}} [r^{2} |\nabla v|^{2} + v^{2}] \frac{dr dz}{r^{h+1}}.$$

Now, given $v \in C_0^{\infty}(\mathbb{R}^+ \times \mathbb{R}^h)$, let

$$(T_k v)(y, z) := |y|^{-(N-2)/2} v(|y|, z), \quad y \in \mathbb{R}^k, \ z \in \mathbb{R}^{n-1}.$$

Then

(2.2)
$$\omega_k \int_{\mathbb{H}^n} [|\nabla_{\mathbb{H}^n} v|^2 - \lambda v^2] dV_{\mathbb{H}^n} = \int_{\mathbb{R}^k \times \mathbb{R}^h} \left[|\nabla T_k v|^2 - \mu \frac{(T_k v)^2}{|y|^2} \right] dy dz,$$

where $\lambda = \mu + ((n-1)^2 - (k-2)^2)/4$. From (2.2) and (1.1) we get the (sharp) Poincaré and Sobolev inequalities

(2.3)
$$\int_{\mathbb{H}^n} |\nabla_{\mathbb{H}^n} v|^2 dV_{\mathbb{H}^n} \ge \frac{(n-1)^2}{4} \int_{\mathbb{H}^n} v^2 dV_{\mathbb{H}^n} \quad \forall v \in H^1(\mathbb{H}^n),$$

(2.4)
$$ilde{S}_{n,p} \left(\int_{\mathbb{H}^n} v^p \, dV_{\mathbb{H}^n} \right)^{2/p} \leq \int_{\mathbb{H}^n} \left[|\nabla_{\mathbb{H}^n} v|^2 - \frac{(n-1)^2}{4} v^2 \right] dV_{\mathbb{H}^n},$$

where, in (2.4), $2 if <math>n \geq 3$ and p > 2 if n = 2. In particular, $(\int_{\mathbb{H}^n} [|\nabla_{\mathbb{H}^n} v|^2 - \lambda v^2] dV_{\mathbb{H}^n})^{1/2}$ is a norm on $C_0^{\infty}(\mathbb{H}^n)$ if $\lambda \leq 1$ $(n-1)^2/4$. We let \mathcal{H}_{λ} be the closure of $C_0^{\infty}(\mathbb{H}^n)$ with respect to this norm. From (2.2) we see that T_k extends to an isometry between \mathcal{H}_{λ} and \mathcal{D}_{μ} .

THEOREM 2.1. Let p > 2 if n = 2, and $2 if <math>n \ge 3$. Let $v \in \mathcal{H}_{\lambda}$ be a positive solution of (2.1). Then v has hyperbolic symmetry, i.e., for some $x_0 \in \mathbb{H}$, v(x) depends only on the distance between x_0 and x in \mathbb{H}^n .

The proof of Theorem 2.1 is based on a hyperbolic version of the moving plane method (cf. [1]) in connection with (2.4).

3. HYPERBOLIC SYMMETRY AND UNIQUENESS

THEOREM 3.1. Let $\lambda \le 2p/(p+2)^2$ if n = 2, and $\lambda \le (n-1)^2/4$ if $n \ge 3$. Then (2.1) has at most one positive solution in \mathcal{H}_{λ} .

COROLLARY 3.2. Positive symmetric extremals of (1.1) are unique if $\mu \leq (k-2)^2/4$ and $h \geq 2, k \geq 1$. If h = 1, we have to assume $\mu \leq (k-2)^2/4 - \frac{1}{4}(\frac{p-2}{p+2})^2$.

To prove Theorem 3.1 we can assume, by Theorem 2.1 and in the ball model for \mathbb{H}^n , that $v \in \mathcal{H}_{\lambda}$ is a positive radial solution in $\{\xi \in \mathbb{R}^n : |\xi| < 1\}$ of

(3.1)
$$\left[\frac{1-|\xi|^2}{2}\right]^2 \Delta v + (n-2) \left[\frac{1-|\xi|^2}{2}\right] \langle \nabla v, \xi \rangle + \lambda v + v^{p-1} = 0$$

In hyperbolic polar coordinates $t = \log \frac{1+|\xi|}{1-|\xi|}$, $w(t) := v(\tanh \frac{t}{2})$, (3.1) reads

(3.2)
$$w'' + (n-1)(\coth t)w' + \lambda w + w^{p-1} = 0, \quad w'(0) = 0.$$

By means of an auxiliary energy, inspired by Kwong's work (see [9]), and Sturm comparison arguments we first prove

PROPOSITION 3.3. Let $\lambda \leq (n-1)^2/4$ and $p \leq 2^*$ if $n \geq 3$. If n = 2 assume $\lambda \leq 2p/(p+2)^2$. Then the Dirichlet problem

(3.3)
$$\begin{aligned} \psi'' + (n-1)(\coth t)\psi' + \lambda\psi + \psi^{p-1} &= 0, \\ \psi'(0) &= 0, \quad \psi(T) = 0, \quad \psi(t) > 0 \quad \forall t \in [0, T), \end{aligned}$$

has at most one solution, and no solution if $n \ge 3$, $p = 2^*$, $\lambda = n(n-2)/4$.

The next step is to establish precise asymptotic decay.

LEMMA 3.4. Let $n \ge 2$, p > 2, $\lambda \le (n-1)^2/4$. Let $v \in \mathcal{H}_{\lambda}$ be a positive radial solution of (3.1) and $w(t) := v(\tanh \frac{t}{2})$. Then

$$\lim_{t \to +\infty} \frac{\log w^2}{t} = \lim_{t \to +\infty} \frac{\log w'^2}{t} = -[n - 1 + \sqrt{(n - 1)^2 - 4\lambda}]$$

Using Proposition 3.3 and Lemma 3.4 we can prove Theorem 3.1.

We now derive from Theorem 3.1 uniqueness of cylindrically symmetric positive extremals of the weighted Sobolev inequality (see [13])

(3.4)
$$\|u\|_{\alpha}^{2} := \int_{\mathbb{R}^{N}} (|\nabla_{y}u|^{2} + (\alpha + 1)^{2}|y|^{2\alpha}|\nabla_{z}u|^{2}) \, dy \, dz$$
$$\geq \tilde{S} \left(\int_{\mathbb{R}^{N}} |u|^{2Q/Q-2} \, dy \, dz \right)^{(Q-2)/Q} \quad \forall u \in C_{0}^{\infty}(\mathbb{R}^{N})$$

where N := k + h, $k, h \ge 1$, $(y, z) \in \mathbb{R}^k \times \mathbb{R}^h$, $\alpha > 0$, $Q := k + h(1 + \alpha)$. The associated Euler–Lagrange equation is the critical Grushin-type equation

(3.5)
$$-\Delta_y u - (\alpha+1)^2 |y|^{2\alpha} \Delta_z u = |u|^{4/(Q-2)} u, \quad u \in \mathcal{D}^{\alpha}(\mathbb{R}^N),$$

where $\mathcal{D}^{\alpha}(\mathbb{R}^N)$ is the closure of $C_0^{\infty}(\mathbb{R}^N)$ with respect to $||u||_{\alpha}$ (see [13] and [7]). A cylindrically symmetric positive solution *u* of (3.5) gives, via the change of variables

$$v(r, z) := (\alpha + 1)^{-(Q-2)/2} r^{(Q-2)/2(1+\alpha)} u(r^{1/(1+\alpha)}, z),$$

a solution of

$$-\Delta_{\mathbb{H}^{n}}v - \frac{1}{4}\left[h^{2} - \left(\frac{k-2}{\alpha+1}\right)^{2}\right]v = v^{(Q+2)/(Q-2)}.$$

In addition, a direct computation gives for every $u \in C_0^{\infty}((\mathbb{R}^k \setminus \{0\}) \times \mathbb{R}^h), u = u(|y|, z)$ and n = h + 1,

$$\omega_k(\alpha+1)\int_{\mathbb{H}^n} \left[|\nabla_{\mathbb{H}^n} v|^2 - \frac{h^2}{4}v^2 \right] dV_{\mathbb{H}^n} = (\alpha+1)^{-(Q-2)} \left[\|u\|_{\alpha}^2 - \frac{(k-2)^2}{4} \int_{\mathbb{R}^N} \frac{u^2}{|y|^2} \right].$$

This gives a Hardy inequality (see also [4]), which in turn implies, when $k \ge 3$, that $v \in H^1(\mathbb{H}^n)$ iff $||u||_{\alpha} < \infty$ ((3.4) can be similarly derived from (2.4)).

So, as another application of Theorem 3.1, we get the following improvement (in case $k \ge 2$) of a uniqueness result in [13]:

PROPOSITION 3.5. Let $k \neq 2$ and $h \ge 1$, or k = 2 and $h \ge 2$. Then there is at most one cylindrically symmetric positive entire solution of (3.5).

4. HYPERBOLIC SYMMETRY AND NONDEGENERACY

We now show how to prove nondegeneracy of positive solutions for

(4.1)
$$-\Delta u = \frac{u^{N/(N-2)}}{|y|}, \quad u \in D^1(\mathbb{R}^N).$$

Positive solutions of (4.1) are given by $U_{\lambda,\zeta}(y,z) := \lambda^{(N-2)/2} U(\lambda y, \lambda z + \zeta), \lambda > 0, \zeta \in \mathbb{R}^h, U$ as in (1.2). Taking derivatives in λ and ζ , we see that

(4.2)
$$\Psi_0 := \frac{1 - |y|^2 - |z|^2}{[(1 + |y|)^2 + |z|^2]^{N/2}} \text{ and } \Psi_j := \frac{z_j}{[(1 + |y|)^2 + |z|^2]^{N/2}}$$

for j = 1, ..., h are solutions for the linearization of (4.1) at U:

(4.3)
$$-\Delta \Psi = \frac{N(k-1)}{(1+|y|)^2 + |z|^2} \Psi, \quad \Psi \in D^1(\mathbb{R}^N).$$

Nondegeneracy is the content of the following:

THEOREM 4.1. Let Ψ be a solution of (4.3) and Ψ_i be as in (4.2). Then

$$\exists c_0, \ldots, c_h \in \mathbb{R}: \quad \Psi = \sum_{j=0}^h c_j \Psi_j$$

Qualitative properties of solutions of (4.3) are first required.

PROPOSITION 4.2. Let Ψ be a solution of (4.3). Then Ψ is smooth in $\{y \neq 0\}$ and Hölder continuous up to $\{y = 0\}$. Furthermore,

(i) $|\Psi(x)| \le c/(1+|x|^{N-2})$ for some c > 0,

(ii) Ψ is radially symmetric in y.

Thanks to (ii), we can rewrite (4.3) as an equation for the hyperbolic laplacian on the ball model. Let M denote the Möbius map (the standard hyperbolic isometry between the half-space and the ball model)

$$M(r,z) := \left(\frac{1-r^2-|z|^2}{(1+r)^2+|z|^2}, \frac{2z}{(1+r)^2+|z|^2}\right).$$

Then $\Phi(\xi) := (H\Psi)(M\xi), \xi \in \mathbb{R}^n, |\xi| < 1$, is in $H^1(\mathbb{H}^n)$ and solves

(4.4)
$$-\Delta_{\mathbb{H}^{n}} \Phi := -\left[\frac{1-|\xi|^{2}}{2}\right]^{2} \Delta \Phi - (n-2) \left[\frac{1-|\xi|^{2}}{2}\right] \langle \nabla \Phi, \xi \rangle$$
$$= \frac{h^{2} - (k-2)^{2}}{4} \Phi + \frac{N(k-1)}{4} (1-|\xi|^{2}) \Phi.$$

In particular, (4.4) has the solutions

$$\Phi_j(\xi) = \left(\frac{1-|\xi|^2}{4}\right)^{(N-2)/2} \xi_j, \quad j = 0, \dots, h.$$

Now the proof of Theorem 4.1 ends in two steps. If Φ solves (4.3), then

STEP 1. $\exists c_0, \ldots, c_h \in \mathbb{R}$ such that $\Phi^r := \Phi - \sum_{j=0}^h c_j \Phi_j$ is radial. STEP 2. (4.4) has no nontrivial radial solution in $H^1(\mathbb{H}^n)$.

We sketch the proof of Step 2. Let $z(\rho) := \Phi^r(\sqrt{\rho})(\frac{1-\rho}{2})^{-(N-2)/2}$ for $\rho \in (0, 1)$. Proposition 4.2(ii) implies z is bounded in (0, 1), while, easily,

(4.5)
$$\rho(1-\rho)z'' + \left[\frac{h+1}{2} - \left(\frac{h+2k-3}{2} + 1\right)\rho\right]z' + \frac{k-1}{2}z = 0$$

in (0, 1). Now, (4.5) is *Gauss's hypergeometric equation*. Its solutions are given explicitly by hypergeometric functions and one can deduce that $z \neq 0$ implies z unbounded on (0, 1). Thus $z \equiv 0$.

5. SCALAR CURVATURE TYPE EQUATIONS

The Webster scalar curvature problem on the unit sphere in \mathbb{C}^n , a CR analogue of the Nirenberg problem, is to find positive solutions of

(5.1)
$$-\Delta_{H^n} u(\xi) = \mathcal{R}(\xi) u(\xi)^{(Q+2)/(Q-2)} \quad \text{in } H^n.$$

where Q := 2n+2, $H^n = \mathbb{R}^{2n} \times \mathbb{R}$ is the Heisenberg group and Δ_{H^n} is the Heisenberg sublaplacian.

In case $\mathcal{R}(\xi) = 1 + \varepsilon \mathcal{K}(\xi)$, (5.1) has been studied in [10], and in case $\mathcal{R}(\xi) = \mathcal{R}(|Z|, t), \xi = (Z, t) \in \mathbb{R}^{2n} \times \mathbb{R}$, it has been studied in [6]. In this regard, we recall (see [13]) that the Heisenberg sublaplacian acts on cylindrically symmetric functions as the Grushin operator:

if
$$u(Z, t) = u(|Z|, t)$$
 then $\Delta_{H^n} u = \Delta_Z u + 4|Z|^2 u_{tt}$,

where Δ_Z is the laplacian in \mathbb{R}^{2n} . More general critical Grushin equations appear in [7], related to the Yamabe problem in groups of Heisenberg type:

(5.2)
$$-\Delta_{y}u - 4|y|^{2}\Delta_{z}u = u^{(Q+2)/(Q-2)}$$

for $(y, z) \in \mathbb{R}^{2n} \times \mathbb{R}^h$ and $h \ge 1$. Here Q = 2n + 2h. So, (5.1) belongs to the class

(5.3)
$$-\Delta_y u - 4|y|^2 \Delta_z u = K(y, z) u^{(Q+2)/(Q-2)}.$$

Under symmetry assumptions, (5.3) is related to equation (4.1), in the following sense.

Let N = n + 1 + h and consider the equation

(5.4)
$$-\Delta u = \phi(y, z) \frac{u^{N/(N-2)}}{|y|}, \quad (y, z) \in \mathbb{R}^{n+1} \times \mathbb{R}^h$$

LEMMA 5.1. Let K(y, z) = K(|y|, z). Set $\phi(y, t) := \frac{1}{4}K(\sqrt{|y|}, z)$ and assume u = u(|y|, z) solves (5.4). Then $v(y, t) := u(|y|^2, t)$ solves (5.3).

On the base of Sections 3-4, several results can be proved for (5.4). We present some of them, somehow global in nature, applied to (5.1).

THEOREM 5.1. Let $\mathcal{R} = \mathcal{R}(|Z|, t)$, with $\mathcal{R} \equiv \mathcal{R}(\infty) = 1$ on $\{Z = 0\}$. Suppose that either inf $\mathcal{R}(\xi) > 2^{-2-1/n}$, or $\mathcal{R}(Z, t) = 1 + \rho(Z, t)$ where $\rho \in C_c$ $(H^n \setminus \{Z = 0\})$. Then (5.1) has a solution.

We solve (5.4) by global variational methods. For $u \in D^1(\mathbb{R}^N)$, let

(5.5)
$$J(u) = \frac{1}{2} \int_{\mathbb{R}^N} |\nabla u|^2 \, dx - \frac{N-2}{2(N-1)} \int_{\mathbb{R}^N} \phi(x) \frac{|u|^{2(N-1)/(N-2)}}{|y|} \, dx.$$

A blow-up analysis can be carried out for Palais–Smale sequences of J. Thanks to the uniqueness result for (4.1), precise information on how blow-up can occur can be obtained assuming $\phi(0, z) \equiv \phi(\infty) = 1$. Denoting by $S = S_1^0$ the best constant in (1.1) with $\mu = 0$ and t = 1, we can prove in this case

LEMMA 5.2. Either J has a positive critical point, or Palais–Smale sequences at levels $\beta \in (S^{N-1}/2(N-1), S^{N-1}/(N-1))$ cannot blow up.

The nature of blow-up implies low sublevels are disconnected and this leads to a min-max level $\beta > S^{N-1}/2(N-1)$ while the assumptions in Theorems 5.1 allow proving that $\beta < S^{N-1}/(N-1)$, a rather surprising result under the second one.

Finally, nondegeneracy of the critical points of J established in Section 4 allows one to perform a finite-dimensional reduction, in the spirit of [10]. Let

$$N \ge 4$$
, $\phi = 1 + \varepsilon \varphi$, $\psi(z) := \varphi(0, z)$, $z \in \mathbb{R}^h$,

) the limits $\lim_{x \to 0} \phi\left(\frac{x}{|x|^2}\right)$ and $\lim_{x \to 0} \nabla_z \phi\left(\frac{x}{|x|^2}\right) \neq 0$ exist.

THEOREM 5.2. Assume (*). Let $\psi(z)$ have a finite number of nondegenerate critical points ζ_j , j = 1, ..., m, of index $m_j = m(\psi; \zeta_j)$ such that

$$\Delta^*(\zeta_j) := (k-1)\Delta_y \varphi(0,\zeta_j) + (2k+h-3)\Delta_z \varphi(0,\zeta_j) \neq 0 \quad \forall j.$$

Then (5.4) *has a solution for* $|\varepsilon|$ *small provided*

$$\sum_{\{j: \Delta^*(\zeta_j) > 0\}} (-1)^{m_j} \neq 1$$

As for (5.1), let $\mathcal{K} = \mathcal{K}(|Z|, t)$ be smooth, such that $\lim_{|Z|^2 + t^2 \to \infty} \mathcal{K}$ exists and

$$\frac{\partial^{i} \mathcal{K}}{\partial r^{i}}(0,t) \equiv 0 \quad \forall i = 1, \dots, 4, \quad \exists c \neq 0 : \quad t^{2} \mathcal{K}_{t}(0,t) \underset{|t| \to \infty}{\longrightarrow} c$$

COROLLARY 5.3. Let $\mathcal{R} := 1 + \varepsilon \mathcal{K}$, \mathcal{K} as above and such that $\mathcal{K}(0, t)$ has only a finite number of, nondegenerate, critical points. Then (5.1) has a solution for ε small, provided $\mathcal{K}(0, t)$ has at least two minima.

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