

Convergence Analysis of the Two-Step Combined Method for Solving Nonlinear Operator Equations

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Abstract

In this paper, we consider the convergence of the two-step combined method for solving nonlinear operator equations. A semi-local convergence of the method is presented under some continuity conditions. Moreover, we establish the uniqueness result of the solutions. Finally, a numerical example is provided to demonstrate our theoretical results.

Keywords

Semi-Local Convergence, Two-Step Combined Method, Divided Differences

求解非线性算子方程的两步组合方法的收敛性分析

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摘要

本文考虑求解非线性方程问题的两步组合方法的收敛性。在某些连续性条件下，我们给出了该方法的半局部收敛性。另外对算子方程的解的唯一性也做出了说明。最后通过数值例子来说明收敛性分析的有效性。

关键词

半局部收敛性，两步组合方法，差商

1. 引言

设 X 与 Y 为 Banach 空间，且 D 为 X 中的一开凸子集。考虑非线性算子方程

$$F(x) = 0 \quad (1)$$

其中， F 为定义在 D 上的一个非线性算子。

众所周知，牛顿法是求解方程(1)的最著名的方法之一。其中，文献[1]及[2]研究了在算子 F 的一阶导数满足 Lipschitz 条件下牛顿法的平方收敛性结果。

在文章[3]中，M. Bartish 首次提出了两步修正牛顿法：

$$\begin{cases} x_{n+1} = x_n - \left[F' \left(\frac{x_n + y_n}{2} \right) \right]^{-1} F(x_n) \\ y_{n+1} = x_{n+1} - \left[F' \left(\frac{x_n + y_n}{2} \right) \right]^{-1} F(x_{n+1}) \end{cases} \quad \text{对任意的 } n = 0, 1, \dots \quad (2)$$

并且在康托洛维奇型条件下给出了该算法的半局部收敛性。这里， x_0, y_0 为给定的初始值。此外，文章[4] [5] [6] [7] [8]对该算法及其收敛性也做了一定的研究。

同样，通过引入了差商的定义，M. Bartish 在文章[3]中给出了不同于(2)的如下两步算法来求解方程(1)：

$$\begin{cases} x_{n+1} = x_n - [\delta F(x_n, y_n)]^{-1} F(x_n) \\ y_{n+1} = x_{n+1} - [\delta F(x_n, y_n)]^{-1} F(x_{n+1}) \end{cases} \quad \text{对任意的 } n = 0, 1, \dots \quad (3)$$

这里， x_0, y_0 为给定的初始值， δF 为由 X 到 Y 的有界线性算子。很多学者对算法(3)的收敛性也作出了一定的研究。例如，文[9]在相对弱的康托洛维奇条件下对算法(3)的半局部收敛性进行了研究。再如，类似[10] [11] [12]中古典割线法的收敛条件，S. M. Shakhno 研究了仅在 Hölder 条件下算法(3)的收敛性问题。又如，文章[13]与[14]给出了二阶均差满足 Lipschitz 条件下该方法的收敛性定理。另外，文章[15]及[16]也对算法(3)的收敛性进行了研究。特别地，当算子 F 满足下列条件时：

$$\|A_0^{-1}(\delta F(x, y) - \delta F(u, v))\| \leq p_0 (\|x - y\|^\alpha + \|u - v\|^\alpha), \quad (4)$$

文章[16]给出了算法(3)的半局部收敛性以及方程(1)的解的唯一性。这里， $\alpha \in (0, 1]$ ， $A_0 = \delta F(x_0, y_0)$ 。下面，我们考虑非线性算子方程

$$H(x) \equiv F(x) + G(x) = 0. \quad (5)$$

这里， F, G 均为定义在 D 上的非线性算子。 F 为 Fréchet 可微算子， G 为连续算子。最近，S. M.

Shakhno 等通过结合算法(2)与(3)在文章[17]中首次提出了下列两步组合方法用于求解方程(5):

$$\begin{cases} x_{n+1} = x_n - \left[F' \left(\frac{x_n + y_n}{2} \right) + \delta G(x_n, y_n) \right]^{-1} [F(x_n) + G(x_n)] \\ y_{n+1} = x_{n+1} - \left[F' \left(\frac{x_n + y_n}{2} \right) + \delta G(x_n, y_n) \right]^{-1} [F(x_{n+1}) + G(x_{n+1})] \end{cases} \quad \text{对任意的 } n = 0, 1, \dots \quad (6)$$

其中, x_0, y_0 为给定的初始值。文章[18]通过假设 F, G 满足带有积分形式的 Lipschitz 条件, 给出该算法的局部收敛性结果, 并且证明了它的收敛阶为 $1 + \sqrt{2}$ 。

在这篇文章中, 我们讨论用于求解方程(5)的两步组合方法的半局部收敛性问题。当算子 F 的一阶 F -导数满足 Lipschitz 条件, 二阶导数满足 Hölder 条件以及算子 G 的差商满足 Hölder 条件下, 我们给出了该方法的收敛性定理, 并证明了解的唯一性。另外, 在最后一节中, 我们还给出了一个数值例子来说明我们理论结果。

2. 定义与引理

本节中, 我们给出一些基本的定义及引理。

定义 1 [16] 假设 δG 表示由 X 到 Y 的一个线性算子。设 $x, y \in D$, 若 $\delta G(x, y)$ 满足条件:

$$\delta G(x, y)(x - y) = G(x) - G(y). \quad (7)$$

则称 $\delta G(x, y)$ 为在点 x, y 的差商。

引理 2 (Banach 引理[19]) 设 $F: X \rightarrow Y$ 的有界线性算子, $I: X \rightarrow Y$ 且为单位算子, 若 $\|F - I\| < 1$, 则 F 为可逆的且有

$$\|F^{-1}\| \leq \frac{1}{1 - \|F - I\|}.$$

引理 3 [8] 已知 $k \in N, \alpha \in (0, 1]$ 。设 $C^{2,\alpha}(D)$ 表示所有连续可微的且二阶导数 Hölder 连续的全体算子。假设(1) $F \in C^{2,\alpha}(D)$ 。

(2) $\forall x \in D, F'(x)$ 可逆且存在非负数 M 使得 $\sup_{x \in D} \|F'(x)^{-1}\| \leq M$ 。

(3) $\forall x, y \in D, h \in X$,

$$\begin{aligned} \|F'(x) - F'(y)\| &\leq L_1 \|x - y\|. \\ \|F''(x)h - F''(y)h\| &\leq L_2 \|x - y\|^\alpha \|h\|. \end{aligned}$$

则有

$$\begin{aligned} &F(x) - F(y) - F' \left(\frac{x+y}{2} \right) (x-y) \\ &= \frac{1}{4} \int_0^1 \left[(1-t) \left(F'' \left(\frac{x+y}{2} + \frac{t}{2}(x-y) \right) - F'' \left(\frac{x+y}{2} + \frac{t}{2}(y-x) \right) \right) \right] (x-y)(x-y) dt \end{aligned}$$

3. 半局部收敛性定理

下面, 我们建立两步组合方法的半局部收敛性定理。在下面的讨论中, 我们令 $U(x_0, r) = \{x: \|x - x_0\| \leq r\}$ 表示以 x_0 为中心以 r 为半径的闭球。假设算子 F 的一阶 F -导数 F' 和二阶 F' -导数 F'' , 以及算子 G 的差商 δG 均存在。设 x_0, y_0 为 D 中的两点。令 $p \equiv \|x_0 - y_0\|, q \equiv \|A_0^{-1}H(x_0)\|$ 。其中 $A_0 \equiv F' \left(\frac{x_0 + y_0}{2} \right) + \delta G(x_0, y_0)$ 。

定理 1 假设(1)算子 A_0 可逆;

(2)存在非负常数 a_0, b_0, c_0 及 $\alpha, \beta \in (0, 1]$, 使得对 $\forall x, y \in D$, 下列条件成立:

$$\|A_0^{-1}(F'(x) - F'(y))\| \leq a_0 \|x - y\| \quad (8)$$

$$\|A_0^{-1}(F''(x) - F''(y))\| \leq b_0 \|x - y\|^\alpha \quad (9)$$

$$\|A_0^{-1}(\delta G(x, y) - \delta G(u, v))\| \leq c_0 (\|x - u\|^\beta + \|y - v\|^\beta); \quad (10)$$

(3) $q > p$ 且存在非负数 r_0 使得

$$g_0 \left(r_0^{\alpha+1} + 3r_0^\beta + (3r_0)^\beta + (r_0 - p)^\beta \right) < 1, \quad r_0 \geq q/(1-\gamma), \quad (11)$$

其中

$$\gamma \equiv g_0 \left(r_0^{\alpha+1} + (r_0 - p)^\beta + 2r_0^\beta \right) / \left[1 - g_0 \left((3r_0)^\beta + r_0^\beta \right) \right],$$

$$g_0 \equiv \max \left\{ \frac{b_0}{4(\alpha+1)(\beta+1)}, \frac{1}{2}a_0 + c_0 \right\};$$

(4) 闭球 $U(x_0, r_0) \subset D$ 。假设实序列 $\{s_n\}_{n \geq 0}, \{t_n\}_{n \geq 0}$ 由如下定义:

$$t_0 = r_0, \quad s_0 = r_0 - p, \quad t_1 = r_0 - q. \quad (12)$$

$$t_{n+1} - t_{n+2} = \left(\frac{\frac{b_0}{4(\alpha+1)(\alpha+2)}(t_n - t_{n+1})^{\alpha+1} + \frac{1}{2}a_0(s_n - t_{n+1}) + c_0 \left((t_n - t_{n+1})^\beta + (t_n - s_n)^\beta \right)}{1 - \left(\frac{1}{2}a_0 + c_0 \right) \left((t_0 - t_{n+1})^\beta + (3(t_0 - s_{n+1}))^\beta \right)} \right) \quad (13)$$

$$(t_n - t_{n+1}) \equiv B_{n+2}(t_n - t_{n+1}),$$

$$t_{n+1} - s_{n+1} = \left(\frac{\frac{b_0}{4(\alpha+1)(\alpha+2)}(t_n - t_{n+1})^{\alpha+1} + \frac{1}{2}a_0(s_n - t_{n+1}) + c_0 \left((t_n - t_{n+1})^\beta + (t_n - s_n)^\beta \right)}{1 - \left(\frac{1}{2}a_0 + c_0 \right) \left((t_0 - t_n)^\beta + (3(t_0 - s_n))^\beta \right)} \right) \quad (14)$$

$$(t_n - t_{n+1}) \equiv C_{n+1}(t_n - t_{n+1}).$$

则我们有如下结论:

(i) $\{s_n\}_{n \geq 0}, \{t_n\}_{n \geq 0}$ 为非负, 递减序列且收敛于 $t^* \in R$ 满足 $r_0 - q/(1-\gamma) \leq t^* < t_0$;

(ii) 算法(6)是适定的。所得序列 $\{x_n\}, \{y_n\}$ 收敛于解 $x^* \in U(x_0, r_0)$, 且满足不等式

$$\|x_n - x^*\| \leq t_n - t^*, \quad \|y_n - x^*\| \leq s_n - s^*, \quad \text{对任意 } n = 0, 1, 2, \dots \quad (15)$$

并且解是唯一的。特别的, 当 $n \geq 1$ 时, 我们有

$$\|x_n - x^*\| \leq \left(\frac{\frac{b_0}{4(\alpha+1)(\alpha+2)}(t_n - t_{n-1})^{\alpha+1} + \frac{1}{2}a_0(s_{n-1} - t_n) + c_0 \left((t_n - t_{n-1})^\beta + (t_{n-1} - s_{n-1})^\beta \right)}{1 - \left(\frac{1}{2}a_0 + c_0 \right) \left((t_0 - s_0)^\beta + (t_0 - t_n)^\beta + (t_0 - t^*)^\beta \right)} \right) (t_n - t_{n-1}). \quad (16)$$

证明: (i) 我们用数学归纳法证明下列不等式是成立的:

$$s_n \geq t_{n+1} \geq s_{n+1} \geq t_{n+2} \geq r_0 - \frac{1-\gamma^{n+2}}{1-\gamma} q \geq 0. \quad (17)$$

以及

$$B_{n+2} \leq \gamma, C_{n+1} \leq \gamma. \quad (18)$$

其中, 由 γ 定义, 有 $0 \leq \gamma < 1$ 。那么由序列递减且有下界, 就可得序列 $\{s_n\}, \{t_n\}$ 是收敛的。因此, 由

$$t_{n+1} - t_{n+2} \geq s_{n+1} - t_{n+2} \geq 0 \text{ 及 } \lim_{n \rightarrow \infty} (t_{n+1} - t_{n+2}) = 0.$$

即可得 $\lim_{n \rightarrow \infty} s_{n+1} = \lim_{n \rightarrow \infty} t_{n+2}$, 从而 $\{t_n - s_n\}$ 也收敛。

首先, 当 $n=0$ 时, 由式子(12), (13), (14), 我们可以得到

$$s_0 \geq t_1 \geq s_1 \geq t_2.$$

又由于

$$r_0 - q(1 + \gamma) = r_0 - \frac{1 + g_0(r_0^{\alpha+1} + r_0^\beta + (r_0 - p)^\beta - (3r_0)^\beta)}{1 - g_0((3r_0)^\beta + r_0^\beta)} q.$$

因此

$$\begin{aligned} t_1 - t_2 &\leq \frac{g_0(t_0^{\alpha+1} + s_0 + 2t_0^\beta)}{1 - g_0((3t_0)^\beta + t_0^\beta)} q = \frac{g_0(r_0^{\alpha+1} + (r_0 - p) + 2r_0^\beta)}{1 - g_0(r_0^\beta + (3r_0)^\beta)} q \\ &\leq \frac{g_0(r_0^{\alpha+1} + (r_0 - p)^\beta + 2r_0^\beta)}{1 - g_0(r_0^\beta + (3r_0)^\beta)} q. \end{aligned}$$

即可得

$$t_2 \geq r_0 - \frac{1 + g_0(r_0^{\alpha+1} + r_0^\beta + (r_0 - p)^\beta - (3r_0)^\beta)}{1 - g_0(r_0^\beta + (3r_0)^\beta)} q = r_0 - q(1 + \gamma) \geq r_0 - \frac{q}{1 - \gamma} \geq 0.$$

所以

$$t_1 \geq s_1 \geq t_2 \geq r_0 - \frac{q}{1 - \gamma} \geq 0.$$

并且

$$B_2 \leq \gamma, C_1 \leq \gamma.$$

即当 $n=0$ 时, (17)与(18)成立。假设 $n=0, 1, 2 \cdots k$ 时, 不等式(17)与(18)是成立的, 即

$$t_{k+1} \geq s_{k+1} \geq t_{k+2} \geq r_0 - \frac{1 - \gamma^{k+2}}{1 - \gamma} q \geq 0.$$

且

$$B_{k+2} \leq \gamma, C_{k+1} \leq \gamma.$$

则当 $n=k+1$ 时,

$$B_{k+3} \leq \frac{\frac{b_0}{4(\alpha+1)(\alpha+2)} t_0^{\alpha+1} + \frac{1}{2} a_0 s_0 + c_0 (t_0^\beta + t_0^\beta)}{1 - \left(\frac{1}{2} a_0 + c_0\right) (t_0^\beta + (3t_0)^\beta)} \leq \gamma, \quad (19)$$

$$C_{k+2} \leq \frac{\frac{b_0}{4(\alpha+1)(\alpha+2)}t_0^{\alpha+1} + \frac{1}{2}a_0s_0 + c_0(t_0^\beta + t_0^\beta)}{1 - \left(\frac{1}{2}a_0 + c_0\right)(t_0^\beta + (3t_0)^\beta)} \leq \gamma. \quad (20)$$

由 B_{k+2}, C_{k+1} 定义及假设, 可得 $B_{k+2} \geq C_{k+1}$ 。由条件(13), (14)及假设, 我们可得:

$$t_{k+2} - t_{k+3} = B_{k+3}(t_{k+1} - t_{k+2}) \geq 0, \quad t_{k+2} - s_{k+2} = C_{k+2}(t_{k+1} - t_{k+2}) \geq 0,$$

以及

$$s_{k+2} - t_{k+3} = B_{k+3}(t_{k+1} - t_{k+2}) - C_{k+2}(t_{k+1} - t_{k+2}) \geq 0.$$

又由条件(13)及(19),

$$\begin{aligned} t_m - t_{m+1} &= B_{m+1}(t_{m-1} - t_m) \leq \gamma(t_{m-1} - t_m) \leq \gamma^2(t_{m-2} - t_{m-1}) \leq \dots \leq \gamma^m(t_0 - t_1) \\ &= \gamma^m q, \quad m = 1, 2, \dots, k+2. \end{aligned}$$

所以

$$t_{m+1} \geq t_m - \gamma^m q, \quad m = 1, 2, \dots, k+2.$$

因此, 由上式及 γ 定义可得

$$\begin{aligned} t_{k+3} &\geq t_{k+2} - \gamma^{k+2} q \geq t_{k+1} - \gamma^{k+1} q - \gamma^{k+2} q \geq \dots \geq t_0 - q - \gamma q - \dots - \gamma^{k+1} q - \gamma^{k+2} q \\ &= r_0 - \frac{1 - \gamma^{k+3}}{1 - \gamma} q. \end{aligned}$$

综上所述可得

$$s_{k+1} \geq t_{k+2} \geq s_{k+2} \geq t_{k+3} \geq r_0 - \frac{1 - \gamma^{k+3}}{1 - \gamma} q \geq 0.$$

即可得(17)与(18)对 $n = k+1$ 是成立的。从而, 我们证得(i)成立。

下面给出(ii)的证明。我们将用数学归纳法证明迭代过程(6)是适定的且有

$$\|x_n - x_{n+1}\| \leq t_n - t_{n+1}, \quad \|x_n - y_n\| \leq t_n - s_n. \quad (21)$$

因此

$$\|y_n - y_{n+1}\| \leq 2t_n - s_n - s_{n+1}.$$

当 $n=0$ 时, 显然, 由算法(6), p, q 定义及(12), 很容易可以证明(21)是成立的。现假设 k 为非负整数, 并且对所有 $n \leq k$, 不等式(21)是成立的。若令 $A_m \equiv F' \left(\frac{x_m + y_m}{2} \right) + \delta G(x_m, y_m)$, $m = 0, 1, \dots, k+1$, 则有

$$\begin{aligned} \|I - A_0^{-1} A_m\| &= \left\| A_0^{-1} \left(F' \left(\frac{x_0 + y_0}{2} \right) + \delta G(x_0, y_0) - F' \left(\frac{x_m + y_m}{2} \right) - \delta G(x_m, y_m) \right) \right\| \\ &\leq \frac{1}{2} a_0 (\|x_0 - x_m\| + \|y_0 - y_m\|) + c_0 (\|x_0 - x_m\|^\beta + \|y_0 - y_m\|^\beta) \\ &\leq \left(\frac{1}{2} a_0 + c_0 \right) (\|x_0 - x_m\|^\beta + \|y_0 - y_m\|^\beta). \end{aligned} \quad (22)$$

由假设及条件(11)

$$\begin{aligned} \|I - A_0^{-1} A_m\| &\leq \left(\frac{1}{2} a_0 + c_0 \right) ((t_0 - t_m)^\beta + (3(t_0 - s_m))^\beta) \\ &\leq \left(\frac{1}{2} a_0 + c_0 \right) (t_0^\beta + (3t_0)^\beta) = \left(\frac{1}{2} a_0 + c_0 \right) (r_0^\beta + (3r_0)^\beta) < 1 \end{aligned} \quad (23)$$

则由引理 2, $A_0^{-1}A_m$ 为可逆的, 并且

$$\|A_0^{-1}A_m\| \leq \left[1 - \left(\frac{1}{2}a_0 + c_0 \right) \left(\|x_0 - x_m\|^\beta + \|y_0 - y_m\|^\beta \right) \right]^{-1}. \quad (24)$$

下证当 $n = k + 1$ 时, 迭代过程是可以定义的。

$$\begin{aligned} F(x_{k+1}) + G(x_{k+1}) &= F(x_{k+1}) + G(x_{k+1}) \\ &\quad - \left[F' \left(\frac{x_k + y_k}{2} \right) + \delta G(x_k, y_k) \right] (x_{k+1} - x_k) - F(x_k) - G(x_k) \\ &= F(x_{k+1}) - F(x_k) - F' \left(\frac{x_{k+1} + x_k}{2} \right) (x_{k+1} - x_k) \\ &\quad + \left[F' \left(\frac{x_{k+1} + x_k}{2} \right) - F' \left(\frac{x_k + y_k}{2} \right) \right] (x_{k+1} - x_k) \\ &\quad + G(x_{k+1}) - G(x_k) - \delta G(x_k, y_k) (x_{k+1} - x_k) \end{aligned} \quad (25)$$

由引理 3, 有

$$\begin{aligned} &F(x) - F(y) - F' \left(\frac{x+y}{2} \right) (x-y) \\ &= \frac{1}{4} \int_0^1 \left[(1-t) \left(F'' \left(\frac{x+y}{2} + \frac{t}{2}(x-y) \right) - F'' \left(\frac{x+y}{2} + \frac{t}{2}(y-x) \right) \right) \right] (x-y)(x-y) dt. \end{aligned}$$

因此, 我们可以得到

$$\begin{aligned} &F(x_{k+1}) - F(x_k) - F' \left(\frac{x_{k+1} + x_k}{2} \right) (x_{k+1} - x_k) \\ &= \frac{1}{4} \int_0^1 \left[(1-t) \left(F'' \left(\frac{x_{k+1} + x_k}{2} + \frac{t}{2}(x_{k+1} - x_k) \right) - F'' \left(\frac{x_{k+1} + x_k}{2} + \frac{t}{2}(x_{k+1} - x_k) \right) \right) \right] \\ &\quad (x_{k+1} - x_k)(x_{k+1} - x_k) dt \end{aligned}$$

另外由均差定义, 有

$$G(x_{k+1}) - G(x_k) = \delta G(x_{k+1}, x_k)(x_{k+1} - x_k).$$

所以

$$\begin{aligned} &\|A_0^{-1}F(x_{k+1}) + G(x_{k+1})\| \\ &= \left\| \frac{1}{4} \int_0^1 \left[(1-t) A_0^{-1} \left(F'' \left(\frac{x_{k+1} + x_k}{2} + \frac{t}{2}(x_{k+1} - x_k) \right) - F'' \left(\frac{x_{k+1} + x_k}{2} + \frac{t}{2}(x_k - x_{k+1}) \right) \right) \right] \right. \\ &\quad (x_{k+1} - x_k)(x_{k+1} - x_k) dt + A_0^{-1} \left[F' \left(\frac{x_{k+1} + x_k}{2} \right) - F' \left(\frac{x_k + y_k}{2} \right) \right] (x_{k+1} - x_k) \\ &\quad \left. + A_0^{-1} [\delta G(x_{k+1}, x_k) - \delta G(x_k, y_k)] (x_{k+1} - x_k) \right\| \\ &\leq \frac{1}{4} \int_0^1 (1-t) b_0 t^\alpha \|x_{k+1} - x_k\|^{\alpha+2} dt + \frac{1}{2} a_0 \|x_{k+1} - y_k\| \cdot \|x_{k+1} - x_k\| \\ &\quad + c_0 (\|x_{k+1} - x_k\|^\beta + \|x_k - y_k\|^\beta) \|x_{k+1} - x_k\| \\ &= \frac{b_0}{4(\alpha+1)(\alpha+2)} \|x_{k+1} - x_k\|^{\alpha+2} + \frac{1}{2} a_0 \|x_{k+1} - y_k\| \cdot \|x_{k+1} - x_k\| \\ &\quad + c_0 (\|x_{k+1} - x_k\|^\beta + \|x_k - y_k\|^\beta) \|x_{k+1} - x_k\|. \end{aligned} \quad (26)$$

所以, 由上可得

$$\begin{aligned}
 & \|x_{k+2} - x_{k+1}\| \\
 &= \|A_{k+1}^{-1}(F(x_{k+1}) + G(x_{k+1}))\| \leq \|A_{k+1}^{-1}A_0\| \cdot \|A_0^{-1}(F(x_{k+1}) + G(x_{k+1}))\| \\
 &= \left(\frac{\frac{b_0}{4(\alpha+1)(\alpha+2)} \|x_{k+1} - x_k\|^{\alpha+1} + \frac{1}{2}a_0 \|x_{k+1} - y_k\| + c_0 (\|x_{k+1} - x_k\|^\beta + \|x_k - y_k\|^\beta)}{1 - \left(\frac{1}{2}a_0 + c_0\right) (\|x_0 - x_{k+1}\|^\beta + \|y_0 - y_{k+1}\|^\beta)} \right) \\
 & \quad \|x_{k+1} - x_k\|. \\
 & \|x_{k+1} - y_{k+1}\| \\
 &= \|A_{k+1}^{-1}(F(x_{k+1}) + G(x_{k+1}))\| \leq \|A_k^{-1}A_0\| \cdot \|A_0^{-1}(F(x_{k+1}) + G(x_{k+1}))\| \\
 &= \left(\frac{\frac{b_0}{4(\alpha+1)(\alpha+2)} \|x_{k+1} - x_k\|^{\alpha+1} + \frac{1}{2}a_0 \|x_{k+1} - y_k\| + c_0 (\|x_{k+1} - x_k\|^\beta + \|x_k - y_k\|^\beta)}{1 - \left(\frac{1}{2}a_0 + c_0\right) (\|x_0 - x_k\|^\beta + \|y_0 - y_k\|^\beta)} \right) \\
 & \quad \|x_{k+1} - x_k\|.
 \end{aligned}$$

然后, 由(21), (13), (14), 我们可得

$$\|x_{k+1} - x_{k+2}\| \leq t_{k+1} - t_{k+2}, \quad \|x_{k+1} - y_{k+1}\| \leq t_{k+1} - s_{k+1}. \quad (27)$$

因此, 即可证得迭代方法对任意 n 是可以定义的。又由

$$\|x_n - x_k\| \leq t_n - t_k, \quad \|y_n - x_k\| \leq s_n - t_k. \quad (28)$$

$$\|y_n\| = \|y_n - x_k + x_k\| \leq \|y_n - x_k\| + \|x_k\|, \quad 0 \leq n \leq k.$$

以及前面已证的 $\{t_n\}$ 及 $\{t_n - s_n\}$ 也收敛, 就证得了 $\{x_n\}_{n \geq 0}$, $\{y_n\}_{n \geq 0}$ 为柯西序列且是收敛的。不妨设 $\lim_{n \rightarrow \infty} x_n = x^*$, 因此, 在(28)中, 当 $n \rightarrow \infty$ 时, 我们便可以得到(15)是成立的, 即

$$\|x_n - x^*\| \leq t_n - t^*, \quad \|y_n - x^*\| \leq s_n - t^*. \quad (29)$$

又因为当 $k \rightarrow \infty$ 时, 有

$$\begin{aligned}
 \|A_0^{-1}(F(x_{k+1}) + G(x_{k+1}))\| &\leq \frac{b_0}{4(\alpha+1)(\alpha+2)} \|x_{k+1} - x_k\|^{\alpha+2} \\
 &\quad + \frac{1}{2}a_0 \|x_{k+1} - y_k\| \cdot \|x_{k+1} - x_k\| \\
 &\quad + c_0 (\|x_{k+1} - x_k\|^\beta + \|x_k - y_k\|^\beta) \|x_{k+1} - x_k\| \rightarrow 0.
 \end{aligned}$$

所以我们即可得 x^* 即为方程 $H(x) = 0$ 的根。

接下来我们证明(16)是成立的。由等式

$$\begin{aligned}
 x_n - x^* &= \left(F' \left(\frac{x_n + x^*}{2} \right) + \delta G(x_n, x^*) \right)^{-1} (F(x_n) + G(x_n) - F(x^*) - G(x^*)) \\
 &= \left[\left(F' \left(\frac{x_n + x^*}{2} \right) + \delta G(x_n, x^*) \right)^{-1} A_0 \right] \left[A_0^{-1}(F(x_n) + G(x_n)) \right].
 \end{aligned}$$

由条件(28), (29), (8), (9), (10)知

$$\begin{aligned}
 & \left\| I - A_0^{-1} \left(F' \left(\frac{x_n + x^*}{2} \right) + \delta G(x_n, x^*) \right) \right\| \\
 &= \left\| A_0^{-1} \left[\left(F' \left(\frac{x_0 + y_0}{2} \right) + \delta G(x_0, y_0) \right) - \left(F' \left(\frac{x_n + x^*}{2} \right) + \delta G(x_n, x^*) \right) \right] \right\| \\
 &= \left\| A_0^{-1} \left[\left(F' \left(\frac{x_0 + y_0}{2} \right) - F' \left(\frac{x_0 + x_0}{2} \right) + F' \left(\frac{x_0 + x_0}{2} \right) - F' \left(\frac{x_n + x^*}{2} \right) \right. \right. \right. \\
 &\quad \left. \left. + \left(\delta G(x_0, y_0) - \delta G(x_0, x_0) + \delta G(x_0, x_0) - \delta G(x_n, x^*) \right) \right] \right\| \\
 &\leq \frac{1}{2} a_0 (\|x_0 - y_0\| + \|x_0 - x_n\| + \|x_0 - x^*\|) + c_0 (\|x_0 - y_0\| + \|x_0 - x_n\|^\beta + \|x_0 - x^*\|^\beta) \\
 &\leq \left(\frac{1}{2} a_0 + c_0 \right) (\|x_0 - y_0\|^\beta + \|x_0 - x_n\|^\beta + \|x_0 - x^*\|^\beta) \\
 &\leq \left(\frac{1}{2} a_0 + c_0 \right) ((t_0 - s_0)^\beta + (t_0 - t_n)^\beta + (t_0 - t^*)^\beta) < 1.
 \end{aligned}$$

所以由引理 2, 线性算子 $F' \left(\frac{x_0 + x^*}{2} \right) + \delta G(x_0, x^*)$ 为可逆的, 且有

$$\begin{aligned}
 & \left\| \left(F' \left(\frac{x_n + x^*}{2} \right) + \delta G(x_n, x^*) \right)^{-1} A_0 \right\| \\
 &\leq \left(1 - \left(\frac{1}{2} a_0 + c_0 \right) ((t_0 - s_0)^\beta + (t_0 - t_n)^\beta + (t_0 - t^*)^\beta) \right)^{-1}.
 \end{aligned}$$

另外, (26)可得

$$\begin{aligned}
 & \left\| A_0^{-1} (F(x_n) + G(x_n)) \right\| \\
 &\leq \left[\frac{b_0}{4(\alpha + 1)(\alpha + 2)} (t_n - t_{n-1})^{\alpha+1} + \frac{1}{2} a_0 (t_n - s_{n-1}) + c_0 ((t_n - t_{n-1})^\beta + (t_{n-1} - s_{n-1})^\beta) \right] \\
 &\quad (t_n - t_{n-1}).
 \end{aligned}$$

所以

$$\begin{aligned}
 & \|x_n - x^*\| \\
 &\leq \left(\frac{\frac{b_0}{4(\alpha + 1)(\alpha + 2)} (t_n - t_{n-1})^{\alpha+1} + \frac{1}{2} a_0 (s_{n-1} - t_n) + c_0 ((t_n - t_{n-1})^\beta + (t_{n-1} - s_{n-1})^\beta)}{1 - \left(\frac{1}{2} a_0 + c_0 \right) ((t_0 - s_0)^\beta + (t_0 - t_n)^\beta + (t_0 - t^*)^\beta)} \right) \\
 &\quad (t_n - t_{n-1}).
 \end{aligned}$$

下面我们证解的唯一性。由(11)式, 我们可以得到

$$g_0 [r_0^{\alpha+1} + 2r_0^\beta + (r_0 - p)^\beta + q^\beta] < 1. \quad (30)$$

设 x^{**} 为方程 $H(x) = 0$ 在 $U(x_0, r_0)$ 上的另一解, 其中 r_0 是满足(12)式。则由迭代算法(5), (8), (9)及(1)

我们可以得

$$\begin{aligned}
 & x_{m+1} - x^{**} \\
 &= A_m^{-1} A_0 \left[A_0^{-1} \left(F' \left(\frac{x_m + y_m}{2} \right) + \delta G(x_m, y_m) \right) \left((x_m - x^{**}) - F(x_m) - G(x_m) \right) \right] \\
 &= A_m^{-1} A_0 \left\{ A_0^{-1} \left[\left(F' \left(\frac{x_m + y_m}{2} \right) - F' \left(\frac{x_m + x^{**}}{2} \right) \right) (x_m - x^{**}) \right. \right. \\
 &\quad \left. \left. - \left(F(x_m) - F(x^{**}) - F' \left(\frac{x_m + x^{**}}{2} \right) (x_m - x^{**}) \right) \right. \right. \\
 &\quad \left. \left. + (\delta G(x_m, y_m) - \delta G(x_m, x_m)) (x_m - x^{**}) \right. \right. \\
 &\quad \left. \left. + \delta G(x_m, x_m) (x_m - x^{**}) - (G(x_m) - G(x^{**})) \right] \right\}.
 \end{aligned}$$

因此, 由式(24), (8), (10)及引理 3, 我们即可得

$$\begin{aligned}
 & \|x_{m+1} - x^*\| \\
 &\leq \frac{\frac{1}{2} a_0 \|y_m - x^{**}\| + \frac{b_0}{4(\alpha+1)(\alpha+2)} \|x_m - x^{**}\|^{\alpha+1} + c_0 (\|y_m - x_m\|^\beta + \|x_m - x^{**}\|^\beta)}{1 - \left(\frac{1}{2} a_0 + c_0 \right) (\|x_0 - x_m\|^\beta + \|y_0 - y_m\|^\beta)} \\
 &\leq \left(\frac{\|x_m - x^{**}\| \left(\frac{1}{2} a_0 ((t_m - s_m) + \|x_m - x^{**}\|^{\alpha+1}) + \frac{b_0}{4(\alpha+1)(\alpha+2)} \|x_m - x^{**}\|^{\alpha+1} + c_0 ((t_m - s_m)^\beta + \|x_m - x^{**}\|^\beta) \right)}{1 - \left(\frac{1}{2} a_0 + c_0 \right) ((t_0 - t_m)^\beta + (s_0 - s_m)^\beta)} \right) \\
 &\equiv T_m \|x_m - x^{**}\|.
 \end{aligned}$$

下面我们用数学归纳法证明 T_m 是小于 1 的。首先, 由式(14), 我们可得

$$\|t_m - s_m\| \leq t_0 - t_1, \quad m = 0, 1, \dots, k+2. \quad (31)$$

当 $m=0$ 时由式(30), (31)及 $x_0 \in U(x^{**}, r_0)$,

$$\begin{aligned}
 \|x_1 - x^{**}\| &\leq \left[\frac{1}{2} a_0 ((t_0 - s_0) + \|x_0 - x^{**}\|) \right. \\
 &\quad \left. + \frac{b_0}{4(\alpha+1)(\alpha+2)} \|x_0 - x^{**}\|^{\alpha+1} \right. \\
 &\quad \left. + c_0 ((t_0 - s_0)^\beta + \|x_0 - x^{**}\|^\beta) \right] \|x_0 - x^{**}\| \\
 &\leq g_0 (r_0^{\alpha+1} + p^\beta + r_0^\beta) r_0 \\
 &\leq r_0.
 \end{aligned}$$

所以有 $x_1 \in U(x^{**}, r_0)$. 假设当 $m=k$ 时, 有 $x_{k+1} \in U(x^{**}, r_0)$. 则当 $m=k+1$ 时, 由假设及式(30), (31), 我们有

$$\begin{aligned}
 & \|x_{k+2} - x^{**}\| \\
 & \leq \frac{\frac{1}{2}a_0((t_{k+1} - s_{k+1}) + \|x_{k+1} - x^{**}\|) + \frac{b_0}{4(\alpha+1)(\alpha+2)}\|x_{k+1} - x^{**}\|^{\alpha+1} + c_0((t_{k+1} - s_{k+1})^\beta + \|x_1 - x^{**}\|^\beta)}{1 - \left(\frac{1}{2}a_0 + c_0\right)\left((t_0 - t_{k+1})^\beta + (s_0 - s_{k+1})^\beta\right)} \\
 & \leq \frac{\|x_{k+1} - x^{**}\|}{\frac{1}{2}a_0(q + r_0) + \frac{b_0}{4(\alpha+1)(\alpha+2)}r_0^{\alpha+1} + c_0(p^\beta + r_0^\beta)} r_0 \\
 & \leq \frac{g_0(r_0^{\alpha+1} + q^\beta + r_0^\beta)}{1 - \left(\frac{1}{2}a_0 + c_0\right)\left(r_0^\beta + (r_0 - p)^\beta\right)} r_0 \\
 & \leq r_0.
 \end{aligned}$$

取 a 表示 T_m 的上界, 则有 $0 < a < 1$.

$$\|x_{m+1} - x^{**}\| \leq a\|x_m - x^{**}\| \leq \dots \leq a^{m+1}\|x_0 - x^{**}\|.$$

当 $m \rightarrow \infty$ 时, $a^{m+1} \rightarrow 0$. 所以 $\|x_{m+1} - x^{**}\| \rightarrow 0$, $x^{**} = \lim_{m \rightarrow \infty} x_m = x^*$.

所以唯一性得证。

4. 数值例子

本文将引用文献[16]中的例子验证定理 1 中的条件是非空的。考虑下面的二阶非线性边界值问题:

$$\begin{cases} x'' + x^{1+\beta} = 0 \\ x(0) = x(1) = 0 \end{cases}, \quad 0 < \beta < 1. \tag{32}$$

将 $[0,1]$ 分成 n 个子区间, $\{t_k\}$ 表示细分的点, 且有 $0 = t_0 < t_1 < \dots < t_{n+1}$ 。令 $d \equiv \frac{1}{n+1}$. 我们给出一个二阶导数的标准近似:

$$x_i'' \cong \frac{x_{i-1} - 2x_i + 2x_{i+1}}{d^2}, \quad x_i = x(t_i), i = 0, 1, \dots, n.$$

取 $x_0 = x_{n+1} = 0$, 则将 x_i'' 代入问题(32), 我们即可得

$$\begin{cases} 2x_1 - x_2 - d^2x_1^{1+\beta} = 0 \\ -x_{i-1} + 2x_i - x_{i+1} - d^2x_i^{1+\beta} = 0, \quad i = 2, \dots, n-1. \\ -x_{n-1} + 2x_n - d^2x_n^{1+\beta} = 0 \end{cases} \tag{33}$$

因此我们可得方程组(33)的系数矩阵

$$\mathbf{A} \equiv \begin{pmatrix} 2 & -1 & & & & \\ -1 & 2 & \ddots & & & \\ & \ddots & \ddots & -1 & & \\ & & -1 & 2 & -1 & \\ & & & -1 & 2 \end{pmatrix}.$$

另外, 对于 $\forall A \in R^n \times R^n$, 相应的有范数 $\|A\| = \max_{1 \leq j \leq n} \sum_{i=1}^n |a_{ij}|$ 。定义

$$D(x) = d^2 (x_1^{1+\beta}, x_2^{1+\beta}, \dots, x_n^{1+\beta})^T, \quad x = (x_1, x_2, \dots, x_n)^T.$$

令 $H(x) = Ax - D(x)$, 其中 $F(x) = Ax$, $G(x) = -D(x)$, 显然 $H'(x) = A - d^2(1+\beta)(x_1^\beta, x_2^\beta, \dots, x_n^\beta)$ 。

接下来我们对 $G(x)$ 做一些相关计算。由文献[10], [11], [12], $\delta G(x, y)$ 可以由矩阵的元素来表示:

$$\delta G(x, y) = \begin{pmatrix} \frac{x_1^{1+\beta} - y_1^{1+\beta}}{x_1 - y_1} & & & & \\ & \frac{x_2^{1+\beta} - y_2^{1+\beta}}{x_2 - y_2} & & & \\ & & \ddots & & \\ & & & \ddots & \\ & & & & \frac{x_n^{1+\beta} - y_n^{1+\beta}}{x_n - y_n} \end{pmatrix}.$$

这里

$$\delta G(x, y)_{i,j} = \frac{G_i(x_1, \dots, x_j, y_{j+1}, \dots, y_n) - G_i(x_1, \dots, x_{j-1}, y_j, \dots, y_n)}{x_j - y_j}. (i, j = 1, 2, \dots, n).$$

由均差定义, 我们可以把 δG 转化为积分的形式(参见文献[16]):

$$\delta G(x, y) = \int_0^1 G'(x + t(y-x)) dt$$

注意到, 对所有 $x, y \in R^n, x_i > 0, y_i > 0, i = 0, 1, \dots, n$ 。

$$\begin{aligned} \|G'(x) - G'(y)\| &= \left\| \text{diag} \left\{ d^2(1+\beta)(y_i^\beta - x_i^\beta) \right\} \right\| \\ &\leq d^2(1+\beta) \max_{1 \leq i \leq n} |y_i - x_i|^\beta \\ &= d^2(1+\beta) \|y - x\|^\beta. \end{aligned}$$

由此

$$\begin{aligned} \|\delta G(x, y) - \delta G(u, v)\| &\leq \int_0^1 \|G'(x + t(y-x)) - G'(u + t(v-u))\| dt \\ &\leq d^2(1+\beta) \int_0^1 \left((1-t)^\beta \|x-u\|^\beta + t^\beta \|y-v\|^\beta \right) dt \\ &= d^2 \left(\|x-u\|^\beta + \|y-v\|^\beta \right) \end{aligned} \quad (34)$$

所以

$$\begin{aligned} \|A_0^{-1}(\delta G(x, y) - \delta G(u, v))\| &\leq \|A_0^{-1}\| \|\delta G(x, y) - \delta G(u, v)\| \\ &= \|A_0^{-1}\| d^2 \left(\|x-u\|^\beta + \|y-v\|^\beta \right). \end{aligned}$$

最后, 易知

$$\begin{aligned} \|A_0^{-1}(F'(x) - F'(y))\| &\leq \|A_0^{-1}\| \cdot \|F'(x) - F'(y)\| \leq \|A_0^{-1}\| d^2 \|x-y\| \\ \|A_0^{-1}(F''(x) - F''(y))\| &\leq \|A_0^{-1}\| \cdot \|F''(x) - F''(y)\| \leq \|A_0^{-1}\| d^2 \|x-y\|^\alpha \end{aligned}$$

即对条件(8), (9), (10)中的系数 a_0, b_0, c_0 均取为 $\|A_0^{-1}\| d^2$ 。

我们选定下组数据作为初始值:

$$x^{(0)} = \begin{pmatrix} 3.06718e+001 \\ 5.99397e+001 \\ 8.53725e+001 \\ 1.04286e+002 \\ 1.14398e+002 \\ 1.14398e+002 \\ 1.04286e+002 \\ 8.53725e+001 \\ 5.99397e+001 \\ 3.06718e+001 \end{pmatrix}, y^{(0)} = \begin{pmatrix} 3.06717e+001 \\ 5.99396e+001 \\ 8.53724e+001 \\ 1.04286e+002 \\ 1.14398e+002 \\ 1.14398e+002 \\ 1.04286e+002 \\ 8.53724e+001 \\ 5.99396e+001 \\ 3.06717e+001 \end{pmatrix}$$

下面我们通过计算来验证定理 1 的结论。为此, 取 $\alpha = \beta = 0.5$, 通过定理 1 及上面说明, 我们可得:

$$\begin{aligned} p &= 1.45514795136137e-004, \\ q &= 1.45614561567010796e-004, \\ a_0 &= b_0 = c_0 = 2.664588288e-001. \end{aligned}$$

取 $r_0 = 0.01$, 则通过计算(13), (14), (15)可得:

$$\begin{aligned} t_0 &= 1.000000000e-001, & s_0 &= 9.854485205e-003, \\ t_1 &= 9.854385438e-003, & s_1 &= 9.748889942e-003, \\ t_2 &= 9.748889942e-003, & s_2 &= 9.672460095e-003, \\ t_3 &= 9.672460095e-003, & t^* &= 9.672460095e-003, \\ C_1 &= 7.244845218e-001, & B_2 &= 7.244845218e-001, \\ C_2 &= 7.244844531e-001, & B_3 &= 7.244844531e-001, \\ \gamma &= 6.658011253e-001, \\ r_0 - q/(1-\gamma) &= 9.564287696e-003 < t^* < t_0. \end{aligned}$$

由上面计算, 我们可以看出定理 1 中的条件是非空的, 即存在这样的一组数据满足定理 1 的条件。

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