

Semiclassical Soliton Ensembles for the Intermediate Long Wave¹ and Korteweg-de Vries² Equations

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Equations of Interest

The intermediate long wave (ILW) equation are nonlinear PDE in 1+1 dimensions which come from asymptotic models of fluid interface dynamics [5, 8, 2, 16]:

$$0 = u_t + 2uu_x + \epsilon \mathcal{T}_{\delta\epsilon}[u_{xx}], \quad (1)$$

where

$$\mathcal{T}_{\delta\epsilon}[f](x) := \frac{1}{2\delta\epsilon} \text{P.V.} \int_{\mathbb{R}} \left[\coth \left(\frac{\pi}{2\delta\epsilon}(y-x) \right) - \text{sgn}(y-x) \right] f(y) \, dy. \quad (2)$$

The parameter $\delta > 0$ is a fixed constant determined by the depth of the fluid system. In the limit $\delta \rightarrow 0$, the ILW equation recovers the Korteweg de-Vries (KdV) equation [7]

$$0 = u_t + 2uu_x + \frac{\epsilon^2}{3}u_{xxx}. \quad (3)$$

The parameter $\epsilon > 0$ in both equations controls the amount of linear dispersion.

Zero Dispersion Equation: Inviscid Burgers'

Setting $\epsilon = 0$ in both equations recovers inviscid Burgers' equation,

$$0 = u_t^B + 2u^B u_x^B, \quad (4)$$

whose Cauchy problem for initial condition u_0 is solvable by the method of characteristics:

$$u^B(x, t) = u_0(y) \quad \text{where} \quad x = y + 2u_0(y)t, \quad (5)$$

up to a critical time of gradient catastrophe

$$t_c := \frac{1}{\max_{x \in \mathbb{R}} -2u'_0(x)}. \quad (6)$$

Small-Dispersion Limit

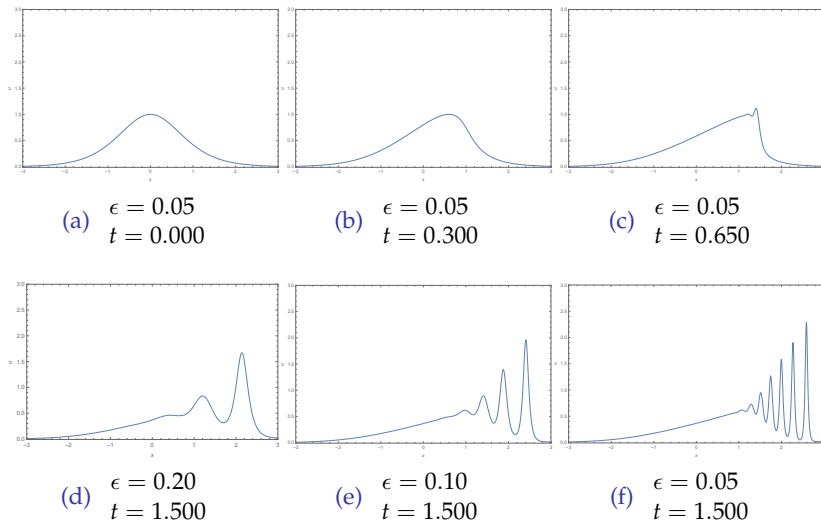


Figure: Split-step simulation of the ILW eq. in the small-dispersion limit.

Inverse Scattering: Semiclassical Soliton Ensembles

Both equations have Lax pairs [3, 6] and are integrable by inverse scattering transforms

$$u(x, t) \leftrightarrow \left\{ \begin{array}{ll} \kappa_n & \text{(eigenvalues),} \\ c_n(t) & \text{(norming constants),} \\ r(k, t) & \text{(reflection coefficient)} \end{array} \right\} \quad (7)$$

For positive, bell-shaped initial conditions, as $\epsilon \rightarrow 0$, the number of eigenvalues (solitons) grows and the reflection coefficient is suppressed.

Definition (Semiclassical soliton ensemble (SSE))

For $N \in \mathbb{N}$, a sequence of scattering data with identically zero reflection coefficient is considered. Typically the eigenvalues and norming constants $\{\kappa_n, c_n\}_{n=1}^N$ are chosen from some distributions. The solution associated to this scattering data $u_N(x, t)$ is considered for a sequence of ϵ_N which goes to zero as $N \rightarrow \infty$.

Intermediate Long Wave

ILW: Formal Direct Scattering

The scattering equation [6] in the ILW Lax pair with spectral parameter $\zeta \in \mathbb{C}$ can be written as

$$\mathrm{i}\epsilon\Phi_x^+(x) + u(x)\Phi^+(x) = \zeta e^{-2\delta\zeta}\Phi^-(x). \quad (8)$$

where Φ is analytic on the strip $|\mathrm{Im}[z]| < \delta\epsilon$ and $\Phi^\pm$ are the lower/upper boundary values.

Eigenvalues ζ_n are when normalizable wavefunctions Φ_n exist and occur on the quadratrix [1] parameterized by $\zeta(\kappa) := \kappa \cot(2\delta\kappa) + \mathrm{i}\kappa$.

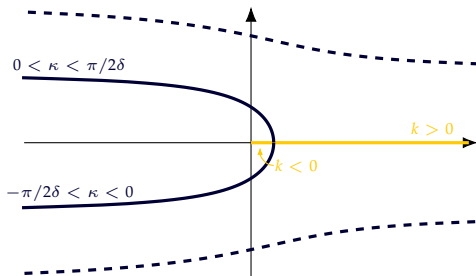


Figure: The proposed ILW scattering equation spectrum in the ζ plane.

ILW: Formal Direct Scattering (cont.)

Let $u(x) = U > 0$ and $\Phi(z) = e^{-i\eta z/\epsilon}$, then the scattering equation reduces to

$$\eta + U = \zeta e^{-2\delta(\zeta - \eta)} \implies \eta_n = -U - \frac{1}{2\delta} W_n(-2\delta\zeta e^{-2\delta(\zeta + U)}) \quad (9)$$

where W_n is the n^{th} branch of the Lambert W function [14, Section 4.13].

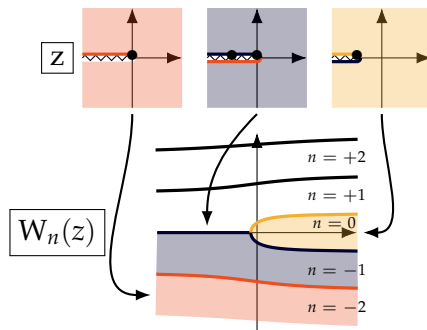


Figure: $z \mapsto W_n(z)$ demonstrated for three characteristic branches:

ILW: Asymptotic Phase

Conducting WKB, we let $\Phi(z) = A(z)e^{-i\theta(z)/\epsilon}(1 + \mathcal{O}(\epsilon))$. Plugging in and solving the series term-by-term gives

$$\theta_x(x) = -U - \frac{1}{2\delta} W_n(-e^{-2\delta(u(x)-E(\zeta))-1}), \quad E(\zeta) := -\zeta + \frac{1}{2\delta} (1 + \log(2\delta\zeta))$$

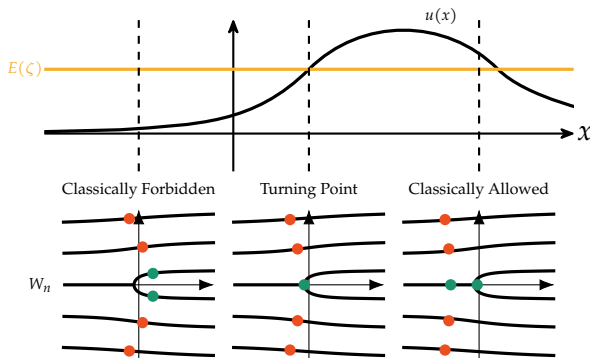


Figure: The values for the extraneous solutions ($n \neq -1, 0$) are shown in red and those for the scattering solutions ($n = -1, 0$) are shown in green.

ILW: Modified Scattering data

Definition (The Modified Scattering Data)

Let $u_0 : \mathbb{R} \rightarrow \mathbb{R}^+$ be an admissible initial condition. Define the turning points $u_0(x_{\pm}(\zeta)) = E(\zeta)$ and functions

$$R^{\text{Weyl}}(\zeta) := \frac{1}{4\delta} \int_{x_{-}(\zeta)}^{x_{+}(\zeta)} W_0 \left(-2\delta\zeta e^{-2\delta(\zeta+u_0(x))} \right) - W_{-1} \left(-2\delta\zeta e^{-2\delta(\zeta+u_0(x))} \right) dx, \quad (10)$$

$$\theta_{\pm}(\zeta) := \text{Im} [\zeta] x_{\pm}(\zeta) + \int_{x_{\pm}(\zeta)}^{\pm\infty} \text{Im} \left[\zeta + \frac{1}{2\delta} W_{-1} \left(-2\delta\zeta e^{-2\delta(\zeta+u_0(x))} \right) \right] dx, \quad (11)$$

and the sequence $\epsilon_N = R^{\text{Weyl}}(1/2\delta) / \pi N$. Then we define the set of distinct eigenvalues $\{\zeta_n\}_{n=1}^N$ by $R^{\text{Weyl}}(\zeta_n) = \pi \epsilon_N (n - 1/2)$ and associated norming constants $c_n = e^{-2\theta_{+}(\zeta_n)/\epsilon_N}$ for all $1 \leq n \leq N$. Lastly, we take the reflection coefficient to be identically zero.

The formal WKB argument was first done in [12], but our formula for the norming constants is entirely new. The rigorous study of this SSE follows the analysis [9, 10] closely.

ILW: N-Soliton Formula

[6] gives an ILW N -soliton formula for zero reflection coefficient⁴

$$u_N^{\text{SSE}}(x, t) = -i\epsilon_N \partial_x \log \det \left(\frac{I_N + \Delta_N(x + i\delta\epsilon_N, t; \epsilon_N)}{I_N + \Delta_N(x - i\delta\epsilon_N, t; \epsilon_N)} \right) \quad (12)$$

where I_N is the $N \times N$ identity and Δ_N is a matrix with the structure

$$\Delta_N(z, t; \epsilon_N) = D_N(z, t; \epsilon_N) C_N D_N(z, t; \epsilon_N) \quad (13)$$

where D_N is a diagonal matrix with elements

$$[D_N(z, t; \epsilon)]_{nn} := c_n^{1/2} \exp \left(-\text{Im} [\zeta_n] \frac{z}{\epsilon} - \text{Im} \left[\left(\zeta_n - \frac{1}{2\delta} \right)^2 \right] \frac{t}{\epsilon} \right) \quad (14)$$

for $1 \leq n \leq N$ and C_N is a Cauchy matrix which only depends on the eigenvalues

$$[C_N]_{n\ell} = \frac{i}{\zeta_n - \zeta_\ell^*} \text{ for } 1 \leq n, \ell \leq N. \quad (15)$$

⁴For proof that (12) solves (1) with $\epsilon = \epsilon_N$, see [11].

Theorem (3.4 and 3.5 [13])

For any $t \in \mathbb{R}$, the distributional limit of (12) is given by

$$d - \lim_{N \rightarrow \infty} u_N^{\text{SSE}}(\diamond, t) = -\frac{4\delta}{\pi} \partial_x^2 E_\infty^{\min}(\diamond, t) \quad (16)$$

where $E_\infty^{\min}(x, t) := \min_{\rho \in \mathcal{A}} \mathcal{E}[\rho^{\min}](x, t)$ and $\mathcal{A}$ is the admissible set of densities ($0 \leq \rho(\kappa) \leq \rho^{\text{Weyl}}(\kappa) := -\frac{d}{d\kappa} R^{\text{Weyl}}(\zeta(\kappa))$) and

$$\mathcal{E}[\rho](x, t) := \int_0^{\kappa_{\max}} \left(V(\zeta(\kappa); x, t) + \frac{1}{2} \mathcal{L}[\rho](\zeta(\kappa)) \right) \rho(\kappa) d\kappa, \quad (17)$$

$$V(\zeta; z, t) := z \operatorname{Im} [\zeta] + t \operatorname{Im} \left[\left(\zeta - \frac{1}{2\delta} \right)^2 \right] - \theta_+(\zeta), \quad (18)$$

$$\mathcal{L}[\rho](\lambda) := \frac{1}{\pi} \int_0^{\kappa_{\max}} \log \left| \frac{\lambda - \zeta(\kappa)^*}{\lambda - \zeta(\kappa)} \right| \rho(\kappa) d\kappa, \quad (19)$$

Theorem (3.7 [13])

For each (x, t) , the minimizing density $\rho^{\min}(\kappa; x, t) \in \mathcal{A}$ is uniquely determined by the variational conditions

$$\left\{ \begin{array}{ll} \rho^{\min} = 0 & \text{if } V(\diamond; x, t) + \mathcal{L}[\rho^{\min}] > 0, \quad (\text{voids}) \\ 0 \leq \rho^{\min} \leq \rho^{\text{Weyl}} & \text{if } V(\diamond; x, t) + \mathcal{L}[\rho^{\min}] = 0, \quad (\text{bands}) \\ \rho^{\min} = \rho^{\text{Weyl}} & \text{if } V(\diamond; x, t) + \mathcal{L}[\rho^{\min}] < 0, \quad (\text{ saturations}) \end{array} \right. . \quad (20)$$

Naïvely taking derivatives in x and t gives

$$\left\{ \begin{array}{ll} \mathcal{L}[\rho_x^{\min}](\zeta) = -\text{Im} [\zeta] & \text{if } \zeta \text{ is in a band ,} \\ \rho_x^{\min}(\kappa) = 0 & \text{if } \kappa \text{ is not in a band ,} \end{array} \right. \quad (21)$$

$$\left\{ \begin{array}{ll} \mathcal{L}[\rho_t^{\min}](\zeta) = -\text{Im} \left[\left(\zeta - \frac{1}{2\delta} \right)^2 \right] & \text{if } \zeta \text{ is in a band ,} \\ \rho_t^{\min}(\kappa) = 0 & \text{if } \kappa \text{ is not in a band .} \end{array} \right. \quad (22)$$

Under the ansatz of a single continuous band, we have

Lemma (3.8 [13])

If ρ' is Hölder continuous with power $-1/2$ and has logarithmic potential $\mathcal{L}[\rho']$ which satisfies the differentiated variational conditions (21) or (22), then the logarithmic potential $\mathcal{L}[\rho']$ is uniquely identified by the properties:

- ① *harmonic on $\mathbb{C} \setminus I$ and continuous on $\mathbb{C}$,*
- ② *the value on I is dictated by the differentiated variational conditions (21) or (22),*
- ③ *odd symmetry under reflection across the real axis:*
$$\mathcal{L}[\rho'](\zeta) = -\mathcal{L}[\rho'](\zeta^*),$$
- ④ *decay at infinity $\mathcal{L}[\rho'](\zeta) = \mathcal{O}(1/\zeta)$ as $\zeta \rightarrow \infty$.*

Additionally, the density ρ' can be extracted from $\mathcal{L}[\rho']$ [15].

ILW: One Band Ansatz (cont.)

$W(-ze^{-z-y})$ for $y > 0$ where for each $-z$ in a branch-region, we use the corresponding branch of Lambert W .

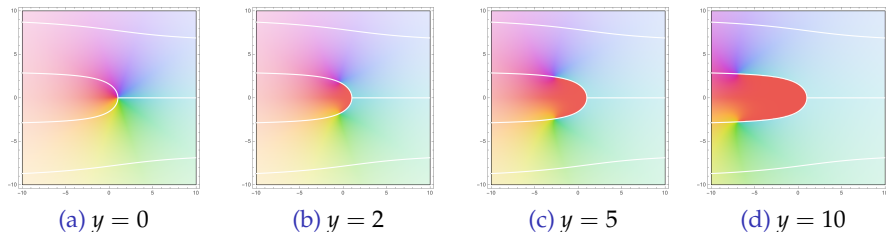


Figure: Complex plots of $W(-ze^{-z-y}) + 1$ for different y values. Color denotes the argument with red: 0 and cyan: $\pm\pi$.

It has a branch cut on $[\beta(y)^*, \beta(y)]$ where the boundary values are real.
 $W(-ze^{-z-y}) = -z - y - y/z + \mathcal{O}(1/z^2)$ as $z \rightarrow \infty$.

ILW: One Band Ansatz (cont.)

For any sized interval there is a $y \leq 0$ such that the expressions

$$\mathcal{L}[\rho_x^{\min}](\zeta) = -\text{Im} \left[\zeta + \frac{y}{2\delta} + \frac{1}{2\delta} W \left(-2\delta\zeta e^{-2\delta\zeta - y} \right) \right], \quad (23)$$

$$\mathcal{L}[\rho_t^{\min}](\zeta) = -\text{Im} \left[\left(\zeta - \frac{1}{2\delta} \right)^2 + \frac{y}{2\delta^2} - \left(\frac{y + 1 + W \left(-2\delta\zeta e^{-2\delta\zeta - y} \right)}{2\delta} \right)^2 \right], \quad (24)$$

solve the differentiated variational conditions (21) and (22). Consistent integration in x and t requires

$$0 = \partial_x \mathcal{L}[\rho_t^{\min}](\zeta) - \partial_t \mathcal{L}[\rho_x^{\min}](\zeta) = \left(\frac{y_t}{2\delta} + 2 \frac{y_x}{2\delta} \frac{y}{2\delta} \right) \text{Im} \left[\frac{1}{1 + W \left(-2\delta\zeta e^{-2\delta\zeta - y} \right)} \right]. \quad (25)$$

Applying Theorem 3.5 [13], the distributional limit is

$$\text{d} - \lim_{N \rightarrow \infty} u_N^{\text{SSE}}(x, t) = \frac{y}{2\delta}. \quad (26)$$

Setting $y = 2\delta u^{\text{B}}$ and integrating in x from $+\infty$, we show that the result solves the variational conditions (20) [13, Theorem 3.9].

ILW: The main result (cont.)

With a little bit more work, relying on theorems from [9, 10], we can upgrade the distributional limit to an L^2 one.

Theorem (1.1 [13])

Let u_0 be an admissible initial condition and $u_N^{\text{SSE}}(\diamond, t)$ be the associated semiclassical soliton ensemble. Furthermore, let u^{B} denote the solution to invicid Burgers' equation (4) with initial condition $u^{\text{B}}(x, 0) = u_0(x)$. Recall that this is only globally well-defined up until the time of gradient catastrophe t_c (6). Then as $N \rightarrow +\infty$,

$$\lim_{N \rightarrow +\infty} u_N^{\text{SSE}}(\diamond, t) = u^{\text{B}}(\diamond, t) \quad (27)$$

converging in $L^2(\mathbb{R})$ norm uniformly for all $0 \leq t < t_c$.

Beyond break time, the equilibrium measure should have more bands. Constructing the solution is still an open problem.

Korteweg-de Vries

KdV: Exact Direct Scattering

The KdV direct scattering problem is the Schrodinger equation

$$0 = \epsilon^2 \psi_{xx} + (u_0 + \lambda) \psi, \quad (28)$$

The continuous spectrum occurs when $k \in \mathbb{R}$ and $\lambda = k^2$ while the discrete spectrum is for $\kappa \in \mathbb{R}$ and $\lambda = -\kappa^2$.

It is well-known that for the specific potential $u_0(x) = \text{sech}^2(x)$ and the sequence $\epsilon_N = 1/\sqrt{N(N+1)}$, there are exactly N eigenvalues and connection coefficients

$$\kappa_n = \epsilon_N n \quad \text{and} \quad b_n = (-1)^{N-n}, \quad (29)$$

for $1 \leq n \leq N$ and the reflection coefficient is identically zero.
This is an exact SSE!

KdV: Riemann-Hilbert Analysis

$\mathbf{m}(z) \equiv \mathbf{m}(z; x, t, N)$ is a 2-dim row vector meromorphic in $\mathbb{C}$ with large z limit

$$\lim_{z \rightarrow \infty} \mathbf{m}_N(z) = \begin{bmatrix} 1 & 1 \end{bmatrix}. \quad (30)$$

$\mathbf{m}$ has simple poles at the points $\{\pm i\kappa_n\}_{n=1}^N$, and $\mathbf{m}_N$ satisfies the residue conditions

$$\operatorname{res}_{z=i\kappa_n} \mathbf{m}_N(z) = \lim_{z \rightarrow i\kappa_n} \mathbf{m}_N(z) \begin{bmatrix} 0 & 0 \\ \frac{b_n}{a'(z)} e^{i2\theta(z;x,t)/\epsilon} & 0 \end{bmatrix} \quad (31)$$

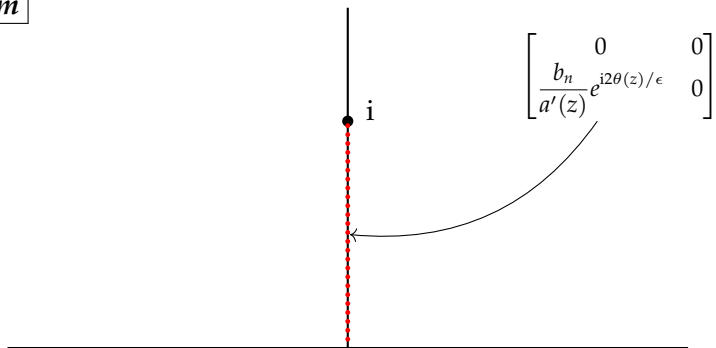
$$\operatorname{res}_{z=-i\kappa_n} \mathbf{m}(z) = \lim_{z \rightarrow -i\kappa_n} \mathbf{m}_N(z) \begin{bmatrix} 0 & \frac{b_n}{\bar{a}'(z)} e^{-i2\theta(z;x,t)/\epsilon} \\ 0 & 0 \end{bmatrix} \quad (32)$$

where a and $\bar{a}$ are the Blaschke factors $a(z) = \prod_{n=1}^N \frac{z - i\kappa_n}{z + i\kappa_n} = \frac{1}{\bar{a}(z)}$ and

$$\theta(z; x, t) := zx + 4z^3t/3.$$

KdV: Riemann-Hilbert Analysis (cont.)

m

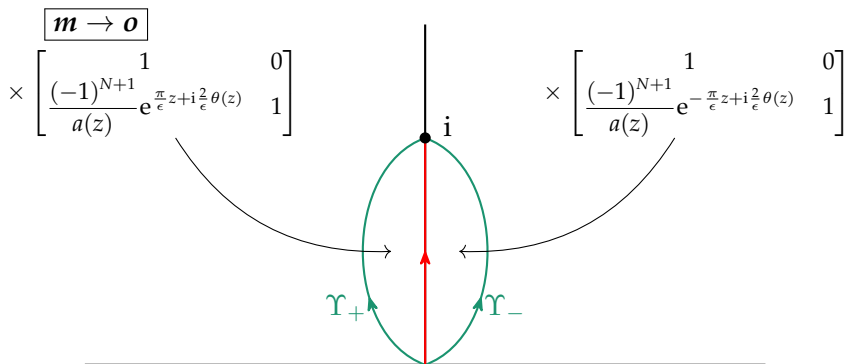


Using the following, we can multiply by meromorphic matrices to remove the poles

$$b_n = (-1)^{N-n} = (-1)^N e^{\pm i\pi n} = (-1)^N e^{\pm \pi i \kappa_n / \epsilon}. \quad (33)$$

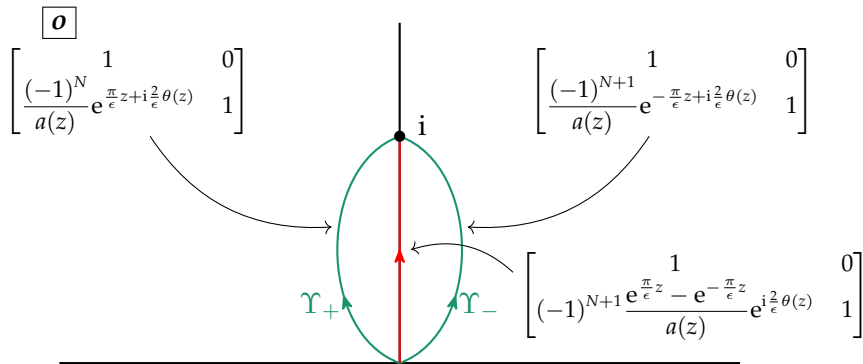
(Everything in the lower half plane is handled by the essential symmetry $m(-z) = m(z)\sigma_1$.)

KdV: Riemann-Hilbert Analysis (cont.)



Multiplying m by the above matrices in the above regions yields the new RHP for the new sectionally-analytic unknown o with “jumps” on the boundaries of the regions.

KdV: Riemann-Hilbert Analysis (cont.)

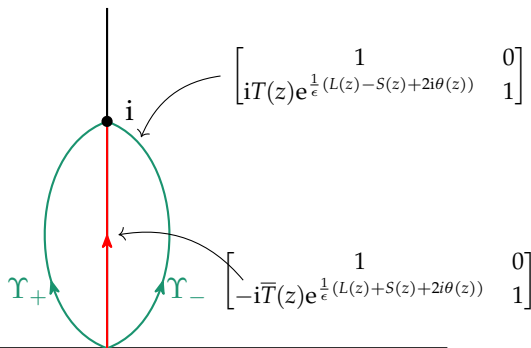


Asymptotics of a can be computed using Γ functions both on and off axis

$$a(z) = \exp \left[-\frac{1}{\epsilon} L(z) + O(\epsilon) \right], \quad L(z) = -iz \log \left(\frac{1+z^2}{z^2} \right) + \log \left(\frac{-iz+1}{-iz-1} \right). \quad (34)$$

KdV: Riemann-Hilbert Analysis (cont.)

n

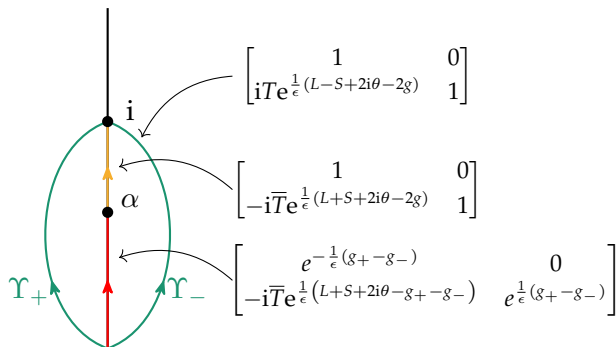


T and $\bar{T}$ are $1 + \mathcal{O}(\epsilon)$ functions, we've defined

$S(z) := \text{sgn}(\text{Re}[z])\pi(z - i)$ and $L + S$ is real and analytic on $(-i, i)$.

KdV: Riemann-Hilbert Analysis, Genus-0

$\mathcal{O}$



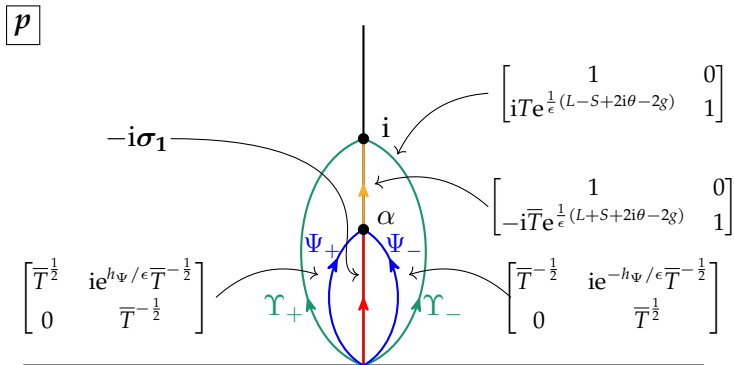
Inserting a g -function $\mathcal{O}(z) := \mathbf{n}(z)e^{-\sigma_3 g(z)/\epsilon}$ such that g is cut on $(-\alpha, \alpha)$, odd, and has jump

$$g_+(z) + g_-(z) = 2i\theta(z) + L(z) + S(z) \text{ for } z \in (-\alpha, \alpha). \quad (35)$$

This can be solved exactly yielding condition

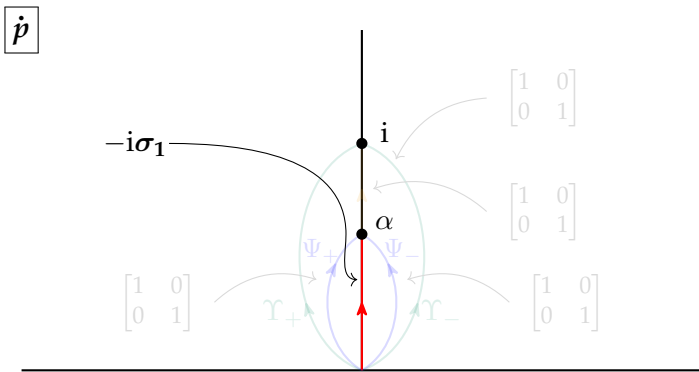
$$-\alpha^2 = \operatorname{sech}^2(x + 2\alpha^2 t) = u^B(x, t). \quad (36)$$

KdV: Riemann-Hilbert Analysis, Genus-0 (cont.)



Now we three-factor the jump on $(0, \alpha)$ and, multiplying by the outside analytic matrices on the left and on the right, we “open the lens” to get the RHP for another unknown p . Here, $g_+ - g_-$ admits an analytic continuation h_Ψ .

KdV: Model Problem, Genus-0



Replacing every jump with its limit, we generate the “model problem” for $\dot{p}$ which determines the leading order asymptotics of the solution to the RHP for p .

KdV: Riemann-Hilbert Analysis, Genus-0 (cont.)

After throwing away the jumps that are near identity, then it satisfies

$$\dot{p}_+(z) = \dot{p}_-(z) \begin{cases} -i\sigma_1 & \text{if } z \in (0, \alpha) \\ i\sigma_1 & \text{if } z \in (-\alpha, 0) \end{cases} . \quad (37)$$

The solution can be written as

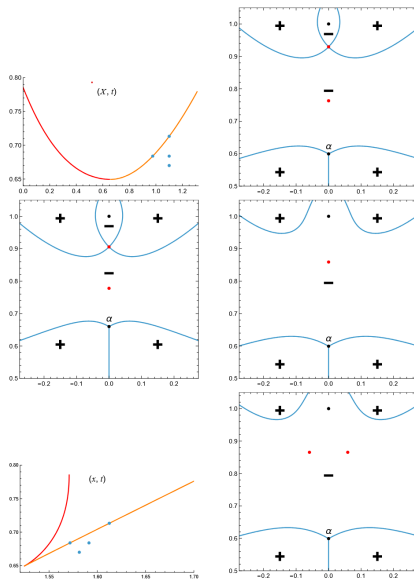
$$\dot{p}(z) = \left(\frac{z^2}{z^2 - \alpha^2} \right)^{1/4} \begin{bmatrix} 1 & 1 \end{bmatrix} . \quad (38)$$

By undoing the explicit series of transformations $\dot{p} \approx p \rightarrow o \rightarrow n \rightarrow m$, the leading-order solution is given by the extraction formula

$$u(x, t) = \lim_{z \rightarrow \infty} 2z^2 (1 - m_1(z; x, t) m_2(z; x, t)) \approx -\alpha^2 = u^B(x, t) , \quad (39)$$

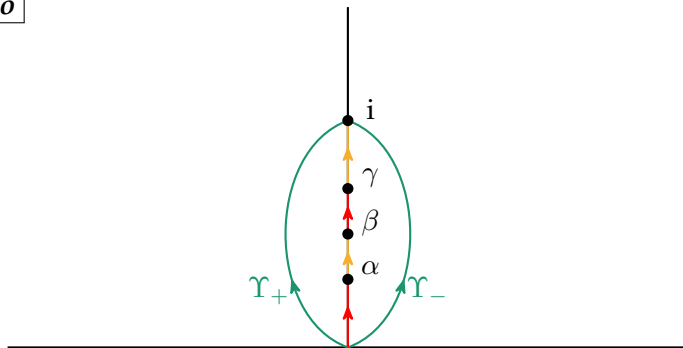
the solution to invicid Burgers' equation!

KdV: Riemann-Hilbert Analysis, Breaking



KdV: Riemann-Hilbert Analysis, Genus 1

$\mathfrak{o}$



Returning to $\mathfrak{o}$ and inserting a genus-1 G -function yields the jump conditions for some constant $\omega \in \mathbb{R}$

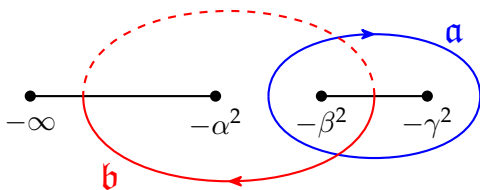
$$G_+(z) + G_-(z) = 2i\theta(z) + L(z) + S(z) \quad z \in [-\alpha, \alpha] \quad (40)$$

$$G_+(z) - G_-(z) = i\omega \quad z \in [-\beta, -\alpha] \cup [\alpha, \beta] \quad (41)$$

$$G_+(z) + G_-(z) = 2i\theta(z) + L(z) + S(z) \quad z \in [-\gamma, -\beta] \cup [\beta, \gamma], \quad (42)$$

KdV: Riemann-Hilbert Analysis, Genus-1

Due to the symmetry, we fold up the plane and get two bands, leading us to define the following genus-1 Riemann surface:



The leading order solution to KdV is extracted from the RHP model problem as

$$u(x, t) \approx \beta^2 - \alpha^2 - \gamma^2 - \frac{\alpha^2 - \gamma^2}{8K(m)^2} \left(\frac{\Theta''(0)}{\Theta(0)^2} - (\partial^2 \log \Theta) \left(\frac{i\Delta}{2\pi\epsilon} \right) \right) \quad (43)$$

with $\frac{i\Delta}{2\pi\epsilon} = \frac{i\sqrt{\alpha^2 - \gamma^2}}{2K(m)} \left(x + \frac{4}{3}(\alpha^2 + \beta^2 + \gamma^2)t - x_0 \right).$

KdV: Conclusion and Remaining Work

- Rigorous error analysis
 - requires the construction of a matrix solution to the model problem
 - easy in the genus-0 case
 - for genus-1, we believe it can be done following the techniques of [4]
- Work out all the details regarding “triangularity flipping” in the genus-1 region
- Demonstrate that there is no further breaking beyond genus-1

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Questions