



# Resonant Tunneling of Fast Solitons through Large Potential Barriers

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*Abstract.* We rigorously study the resonant tunneling of fast solitons through large potential barriers for the nonlinear Schrödinger equation in one dimension. Our approach covers the case of general nonlinearities, both local and Hartree (nonlocal).

## 1 Introduction

### 1.1 Earlier Results and Heuristic Discussion

In the last few years, there has been substantial progress in rigorously understanding the effective dynamics of solitons for the nonlinear Schrödinger equation (NLS) in the presence of external potentials and perturbations, both in the *classical* and *quantum* regimes. If the soliton moves in a slowly varying external potential, or in the presence of a small (even nonlinear) perturbation, the long-time dynamics of the soliton center of mass are approximately that of a classical particle in an external potential corresponding to the restriction of the perturbation to the soliton manifold, plus error terms due to radiation damping ([1–4, 6, 8–10, 14–16]). On the other hand, for solitons with high velocity, we expect that the dynamics will be dominated by quantum effects, such as soliton splitting due to scattering from a delta-potential for the cubic NLS equation in one dimension ([16]), or the *blind* collision of two fast solitons for the generalized nonlinear Schrödinger equation in the presence of an external potential ([4]).

In this paper, we study the phenomenon of resonant tunneling of fast solitons through large potential barriers for NLS equations in one dimension. Since the soliton is exponentially localized in space and the potential barrier is compactly supported, the effective time of interaction between the fast traveling soliton and the potential is *short*. One expects linear effects to dominate in the interaction regime. Resonant tunneling is well known in linear scattering theory and refers to a situation where the reflection coefficient vanishes at certain energies of incoming waves. One expects to have an analogous phenomenon for nonlinear systems in special limiting regimes. We make this intuition mathematically precise and prove that this effect indeed occurs. A numerical illustration is presented in our recent work [5].

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For the sake of concreteness, we consider resonant tunneling for solitons of NLS equations with Hartree (nonlocal) nonlinearity and in the presence of a repulsive double delta-potential. We also discuss general assumptions for nonlinearities and potentials for which our results hold.

The main ingredients of our analysis are the symplectic structure of the soliton manifold for the study of the effective dynamics of solitons in the pre- and post-collision regimes, as developed in [4]; see also [1, 9, 14], and the linear scattering theory together with Strichartz estimates in one dimension to study the interacting regime ([23]).

The organization of this paper is as follows. In Section 1.2, we discuss a concrete example where our analysis is applicable, namely the Hartree NLS equation with a double-delta potential. For the sake of completeness, we recall basic results on scattering theory and NLS equations in Section 2. In Section 3, we present the effective soliton dynamics in different regimes, both close and far away from the potential, which sets the stage to prove the main result, Theorem 1.1. We finally discuss general conditions on the nonlinearity and on the external potential for which our analysis holds in Section 4.

## 1.2 The Model and Statement of the Main Result

In this section, we discuss the main result for the case of Hartree nonlinearity and double delta-potential. Our result holds for more general nonlinearities and other potentials, such as a box potential.

Consider the nonlinear Schrödinger equation given by

$$(1.1) \quad i\partial_t\psi = H\psi + f(\psi),$$

where  $H = H_0 + V$  is the interacting linear Hamiltonian,  $H_0 = -\frac{1}{2}\partial_x^2$ ,  $V$  is a (time-independent) external potential, and  $f$  is a focusing Hartree nonlinearity of the form

$$(1.2) \quad f(\psi) = (W \star |\psi|^2)\psi.$$

We assume that  $W$  is negative, spherically symmetric, and decaying at spatial infinity with  $W \in L^p$ ,  $2 \leq p < \infty$ . Under this assumption, the NLS equation admits solitary wave solutions when  $V = 0$ . In particular, there exists an interval  $I \subset \mathbb{R}$  such that, for all  $\mu \in I$ , the traveling wave

$$u_\sigma(t) = e^{i\mu t + i\gamma + iv(x-a-vt)}\eta_\mu(x-a-vt),$$

where

$$\sigma = (a, v, \gamma, \mu) \in \mathbb{R} \times \mathbb{R} \times [0, 2\pi) \times I.$$

Here,  $\eta_\mu$  is a positive spherically symmetric function solving the nonlinear eigenvalue problem

$$\left(-\frac{1}{2}\partial_x^2 + \mu\right)\eta_\mu + f(\eta_\mu) = 0.$$

Furthermore,  $\eta_\mu \in L^2(\mathbb{R}) \cap C^2(\mathbb{R})$  and  $\eta_\mu \propto e^{-\sqrt{\mu}|x|}$  as  $|x| \rightarrow \infty$ ; see for example [7, 22]. For the sake of concreteness, we consider first the case of scattering from a repulsive double delta-potential  $V$ , which is given by

$$(1.3) \quad V = q(\delta(x + l) + \delta(x - l)).$$

Here,  $q > 0$  is the *height* of the potential barrier, and  $2l$  is its *width*. For such a potential, we know that the resolvent  $R_V(\lambda) := (H - \lambda^2)^{-1}$  is meromorphic in  $\lambda \in \mathbb{C}$  with no poles for  $\text{Im}\lambda > 0$ ; see, for example, [19]. Moreover, for  $\lambda \in \mathbb{R} \setminus \{0\}$ ,

$$(H - \lambda^2)u = 0$$

has unique solutions  $e_\pm(x, \lambda)$  satisfying

$$(1.4) \quad e_\pm(x, \lambda) = \begin{cases} e^{\pm i\lambda x} + R(\lambda)e^{\mp i\lambda x}, & \pm x < -l, \\ T(\lambda)e^{\pm i\lambda x}, & \pm x > l. \end{cases}$$

Here,

$$R(\lambda) = q \frac{-ie^{-2il\lambda}(\lambda(1 + e^{4il\lambda}) + iq(1 - e^{4il\lambda}))}{\lambda^2 + 2i\lambda q - q^2 + e^{4il\lambda}q^2},$$

$$T(\lambda) = \frac{\lambda^2}{\lambda^2 + 2i\lambda q - q^2 + e^{4il\lambda}q^2}.$$

Note that

$$(1.5) \quad |T(\lambda)|^2 + |R(\lambda)|^2 = 1, \quad \lambda \in \mathbb{R},$$

which follows from the unitary character of the linear evolution. Furthermore, if  $\lambda_0$  is such that

$$(1.6) \quad \tan(2l\lambda_0) = -\lambda_0/q,$$

$R(\lambda_0) = 0$ , and resonant tunneling occurs. In the NLS equation, the role of the wave number  $\lambda$  is played by the velocity, which is assumed to be large.

We are interested in the scattering of a fast soliton from the potential barrier. We make the following assumption on the initial condition, which corresponds to a state that is close to a traveling soliton,

$$(1.7) \quad \psi(0) = u_{\sigma_0} + w_0,$$

where  $\sigma_0 = (a_0, v_0, \gamma_0, \mu_0) \in \mathbb{R} \times \mathbb{R} \times [0, 2\pi) \times I$  and  $w_0$  is a fluctuation that we will take to be small in  $L^2$  norm. Without loss of generality, we consider the scattering setting where  $a_0 < 0$  and  $v_0 > 0$ .

The following result holds for the above potential and nonlinearity. The same result holds for more general potentials and nonlinearities; see Section 4.

**Theorem 1.1** Consider the nonlinear Schrödinger equation (1.1), with nonlinearity (1.2), potential (1.3), and initial condition (1.7). Suppose that  $\|w_0\|_{L^2} = O(v_0^{-1})$  and that the resonant condition (1.6), where  $\lambda$  is replaced by  $v_0$ , is satisfied with  $l = O(v_0^{-1})$ ,  $q^{-1} = O(v_0^{-1})$ . Then for  $v_0$  sufficiently large, there exist positive constants  $C, \alpha, \beta$ , and  $\delta$  that are independent of  $v_0$  such that

$$\|\psi(t) - u_{\sigma_0}(t)\|_{L^2} \leq C \left( v_0^{-\beta} + e^{-\delta(|a_0+v_0t-l|+|a_0+v_0t+l|)} \right),$$

uniformly in the time interval  $t \in [0, \frac{|a_0|}{v_0} + \alpha \log v_0]$ .

In other words, for special values of  $v_0, q$ , and  $l$ , the fast soliton tunnels through the potential barrier. For different values with  $v_0 \gg 1, q \gg 1$ , the soliton typically splits into two wave packets; see Lemma 3.5, and also [16] for an elegant discussion of soliton splitting from a delta potential for the cubic NLS equation in one dimension. The use of the  $L^2$  norm (as opposed to norms in the energy space  $H^1$ ) is crucial in order to have estimates that are uniform in  $v_0$  ([4]).

## 2 Mathematical Setting

### 2.1 Linear Dynamics

#### 2.1.1 Scattering

In this subsection, we recall some basic results of linear scattering theory; see [19]. For  $\lambda \in \mathbb{R} \setminus \{0\}$ , the generalized eigenfunctions  $e_{\pm}$  appearing in (1.4) are given by

$$e_{\pm}(x, \lambda) = e^{\pm i\lambda x} - R_V(\lambda)(V e^{\pm i\lambda x}).$$

The resolvent can be expressed in terms of the generalized eigenfunctions

$$R_V(\lambda)(x, y) = \frac{1}{2i\lambda T(\lambda)} [e_+(x, \lambda)e_-(y, \lambda)\Theta(x - y) + e_+(y, \lambda)e_-(x, \lambda)\Theta(y - x)],$$

where  $\Theta$  is the Heaviside step function. Furthermore, we have the spectral decomposition

$$\delta(x - y) = \frac{1}{2\pi} \int_0^\infty d\lambda (e_+(x, \lambda)\overline{e_+(y, \lambda)} + e_-(x, \lambda)\overline{e_-(y, \lambda)})$$

and

$$(2.1) \quad H(x, y) = \frac{1}{2\pi} \int_0^\infty d\lambda \lambda^2 (e_+(x, \lambda)\overline{e_+(y, \lambda)} + e_-(x, \lambda)\overline{e_-(y, \lambda)}).$$

Here,  $\bar{\cdot}$  stands for complex conjugation.

### 2.1.2 Decay and Strichartz Estimates

We now discuss decay estimates involving  $U(t, s) := e^{-i(t-s)H}$ , the propagator corresponding to the linear dynamics generated by the interacting Hamiltonian  $H$ . For  $V$  given by (1.3),

$$\int dx |V|(1 + |x|)^\gamma < \infty, \quad \gamma > \frac{5}{2}.$$

It follows from [23] that

$$\|U(t, s)\|_{\mathcal{B}(L^p, L^{p'})} \leq \frac{C}{(t - s)^{\frac{1}{p} - \frac{1}{2}}}$$

for  $1 \leq p \leq 2$ . Here  $p'$  is the conjugate of  $p$ , i.e.,  $\frac{1}{p} + \frac{1}{p'} = 1$ . Earlier results in higher dimensions appeared in [17].

The above decay estimate implies that Strichartz estimates hold; see [11, 21] and also [12, 18, 20]. We say that a pair  $(q, r)$  is admissible if  $\frac{2}{q} = \frac{1}{2} - \frac{1}{r}$  with  $r \in [2, \infty]$ . For every  $\phi \in L^2(\mathbb{R})$  and every admissible pair  $(q, r)$ , the function  $t \rightarrow U(t, 0)\phi$  belongs to  $L^q(\mathbb{R}, L^r(\mathbb{R})) \cap C(\mathbb{R}, L^2(\mathbb{R}))$ , and the estimate

$$\|U(\cdot, 0)\phi\|_{L^q(\mathbb{R}, L^r)} \leq C\|\phi\|_{L^2}, \quad \forall \phi \in L^2(\mathbb{R}),$$

where  $C$  is a constant depending on  $q$  holds. Consider  $I \subset \mathbb{R}$  containing the origin. Let  $J \subset \bar{I}$  such that  $0 \in J$ , where  $\bar{\cdot}$  denotes the closure, and let  $(\gamma, \rho)$  be an admissible pair, with  $f \in L^{\gamma'}(I, L^{\rho'}(\mathbb{R}))$ . Then for all admissible pairs  $(q, r)$ , the function

$$t \rightarrow \Phi_f(t) = \int_0^t ds U(t, s)f(s) \in L^q(I, L^r(\mathbb{R})) \cap C(J, L^2(\mathbb{R})),$$

such that

$$(2.2) \quad \|\Phi_f\|_{L^q(I, L^r)} \leq C\|f\|_{L^{\gamma'}(I, L^{\rho'})},$$

where  $C$  is a constant independent of  $I$  and depends on  $q$  and  $\gamma$  only.

## 2.2 NLS Equation and the Soliton Manifold

We recall some basic properties of the NLS equation (1.1); see for example [9, 22].

The phase space for the NLS equation (1.1) is chosen to be  $H^1(\mathbb{R}, \mathbb{C})$ . The space  $H^1$  has a real inner product (Riemannian metric)  $\langle u, v \rangle := \text{Re} \int dx u \bar{v}$  for  $u, v \in H^1(\mathbb{R}, \mathbb{C})$ .<sup>1</sup> On  $H^1$ , one can define a symplectic 2-form

$$\omega(u, v) := \text{Im} \int dx u \bar{v} = \langle u, iv \rangle.$$

<sup>1</sup>The tangent space at an element  $\psi \in H^1$  is  $\mathcal{T}_\psi H^1 = H^1$ .

The Hamiltonian functional corresponding to the nonlinear Schrödinger equation (1.1) is

$$H_V(\psi) := \frac{1}{4} \int |\partial_x \psi|^2 dx + \frac{1}{2} \int V|\psi|^2 + F(\psi),$$

where  $F(\psi) = \int W * |\psi|^2 |\psi|^2$ . Using the correspondence

$$\begin{aligned} H^1 &\longleftrightarrow H^1(\mathbb{R}; \mathbb{R}) \oplus H^1(\mathbb{R}; \mathbb{R}) \\ \psi &\longleftrightarrow (\operatorname{Re}\psi \operatorname{Im}\psi) \\ i^{-1} &\longleftrightarrow J, \end{aligned}$$

where  $J := \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix}$  is the complex structure on  $H^1(\mathbb{R}; \mathbb{R}^2)$ , the nonlinear Schrödinger equation can be written as  $\partial_t \psi = JH'_V(\psi)$ . Furthermore,

$$\begin{aligned} \langle u, v \rangle &= \int dx (\operatorname{Re}u \operatorname{Im}u) \begin{pmatrix} \operatorname{Re}v \\ \operatorname{Im}v \end{pmatrix}, \\ \omega(u, v) &= \int dx (\operatorname{Re}u \operatorname{Im}u) \begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix} \begin{pmatrix} \operatorname{Re}v \\ \operatorname{Im}v \end{pmatrix}. \end{aligned}$$

The Hamiltonian  $H_V$  is conserved, and it is invariant under global gauge transformations,  $H_V(e^{i\gamma}\psi) = H_V(\psi)$ . The associated conserved quantity is the mass  $m(\psi) := \frac{1}{2} \int dx |\psi|^2$ . The assumptions on the nonlinearity imply that  $\partial_\mu m(\mu) > 0$ . It follows that  $\eta_\mu$  is a local minimizer of  $H_{V=0}(\psi)$  restricted to the balls  $\mathcal{B}_m := \{\psi \in H^1 : N(\psi) = m\}$ , for  $m > 0$  ([13]). They are critical points of the functional

$$(2.3) \quad \mathcal{E}_\mu(\psi) := \frac{1}{4} \int dx (|\partial_x \psi|^2 + 2\mu|\psi|^2) + F(\psi),$$

where  $\mu = \mu(m)$  is a Lagrange multiplier.

### 2.2.1 Nonlinearity

The Hartree nonlinearity given in (1.2) is in  $C^2(H^1, H^{-1})$ . From a direct application of Hölder and Young's inequality, we have that for  $W \in L^p(\mathbb{R})$ ,  $p \geq 2$ ,  $r = \frac{2p}{p-2} \in [0, \infty]$ ,

$$\|f(u_\sigma) - f(u_\sigma + v)\|_{L^{r'}} \leq C\|v\|_{L^2},$$

and

$$\|f(u_\sigma + v) - f(u_\sigma) - f'(u_\sigma)v\|_{L^{\frac{2p}{p+2}}} \leq C\|v\|_{L^2}^2,$$

where  $C$  depends on  $\|W\|_{L^p}$  and  $\|u_\sigma\|_{L^2}$ .

### 2.2.2 Soliton Manifold

We define the transformation  $T_{av\gamma}$  by

$$\psi_{av\gamma} := T_{av\gamma}\psi = e^{i(v(x-a)+\gamma)}\psi(x-a),$$

where  $v, a \in \mathbb{R}$  and  $\gamma \in [0, 2\pi)$ . The soliton manifold is

$$\mathcal{M}_s := \{\eta_\sigma := T_{av\gamma}\eta_\mu, \sigma = (a, v, \gamma, \mu) \in \mathbb{R} \times \mathbb{R} \times [0, 2\pi) \times I\}.$$

The tangent space to the soliton manifold  $\mathcal{M}_s$  at  $\eta_\mu \in \mathcal{M}_s$  is given by

$$\mathcal{T}_{\eta_\mu}\mathcal{M}_s = \text{span}\{E_t, E_g, E_b, E_s\},$$

where

$$\begin{aligned} E_t &:= \partial_a T_{a00}\eta_\mu|_{a=0} = -\partial_x\eta_\mu, & E_g &:= \partial_\gamma T_{00\gamma}\eta_\mu|_{\gamma=0} = i\eta_\mu, \\ E_b &:= \partial_v T_{0v0}\eta_\mu|_{v=0} = ix\eta_\mu, & E_s &:= \partial_\mu\eta_\mu. \end{aligned}$$

In the following, we let

$$(2.4) \quad e_1 := -\partial_x, \quad e_2 := ix, \quad e_3 := i; \quad e_4 := \partial_\mu,$$

which, when acting on  $\eta_\sigma \in \mathcal{M}_s$ , generate the basis vectors  $\{e_\alpha\eta_\sigma\}_{\alpha=1,\dots,4}$  of  $\mathcal{T}_{\eta_\sigma}\mathcal{M}_s$ . The soliton manifold  $\mathcal{M}_s$  inherits the symplectic structure from  $(H^1, \omega)$ . For  $\sigma = (a, v, \gamma, \mu) \in \mathbb{R} \times \mathbb{R} \times [0, 2\pi) \times I$ , the matrices

$$\Omega_\sigma := P_\sigma J^{-1} P_\sigma \in \mathcal{T}_{\eta_\sigma}^*\mathcal{M}_s \times \mathcal{T}_{\eta_\sigma}^*\mathcal{M}_s,$$

where  $\mathcal{T}_{\eta_\sigma}^*\mathcal{M}_s$  is the cotangent space at  $\eta_\sigma$ , and  $P_\sigma$  is the  $L^2$ -orthogonal projection onto  $\mathcal{T}_{\eta_\sigma}\mathcal{M}_s$ , define the induced symplectic structure on  $\mathcal{M}_s$ . Explicitly,

$$\begin{aligned} \Omega_\sigma|_{\mathcal{T}_{\eta_\sigma}\mathcal{M}_s} &:= \{\omega(e_\alpha\eta_\sigma, e_\beta\eta_\sigma)\}_{1 \leq \alpha, \beta \leq 4} \\ &= \begin{pmatrix} 0 & -m(\mu) & 0 & -vm'(\mu) \\ m(\mu) & 0 & 0 & am'(\mu) \\ 0 & 0 & 0 & m'(\mu) \\ vm'(\mu) & -am'(\mu) & -m'(\mu) & 0 \end{pmatrix}, \end{aligned}$$

which is invertible if  $m'(\mu) > 0$ .

### 2.2.3 Group Structure

The anti-selfadjoint operators  $\{e_\alpha\}_{\alpha=1,\dots,4}$  defined in (2.4) form the generators of the Lie algebra  $\mathfrak{g}$  corresponding to the Heisenberg group  $H^3$ , where the latter is given by

$$(a, v, \gamma) \cdot (a', v', \gamma') = (a'', v'', \gamma''),$$

with  $a'' = a + a'$ ,  $v'' = v + v'$ , and  $\gamma'' = \gamma' + \gamma + \frac{1}{2}va'$ . Elements of  $\mathfrak{g}$  satisfy the commutation relations

$$(2.5) \quad [e_1, e_2] = -e_3,$$

and the rest of the commutators are zero. This group structure has been noted in [14].

**2.2.4 Zero Modes**

The solitary wave solutions transform covariantly under translations and gauge transformations, i.e.,  $\mathcal{E}'_\mu(T_{a00}T_{00\gamma}\eta_\mu) = 0$  for all  $a \in \mathbb{R}$  and  $\gamma \in [0, 2\pi)$ . Here, the prime stands for the Fréchet derivative. There are associated zero modes of the Hessian

$$\mathcal{L}_\mu := -\frac{1}{2}\partial_x^2 + \mu + f'(\eta_\mu)$$

associated with these symmetries. In particular,

$$(2.6) \quad i\mathcal{L}_\mu : \mathcal{T}_{\eta_\mu}\mathcal{M}_s \rightarrow \mathcal{T}_{\eta_\mu}\mathcal{M}_s$$

with  $(i\mathcal{L}_\mu)^2X = 0$ , for any vector  $X \in \mathcal{T}_{\eta_\mu}\mathcal{M}_s$ .

**2.2.5 Skew-Orthogonal Decomposition**

We define

$$\Sigma := \{\sigma = (a, v, \gamma, \mu) \in \mathbb{R} \times \mathbb{R} \times [0, 2\pi) \times I\},$$

and let

$$\Sigma^0 := \{\sigma = (a, v, \gamma, \mu) \in \mathbb{R} \times \mathbb{R} \times [0, 2\pi) \times I_0, \text{ with } \bar{I}_0 \subset I \setminus \partial I \text{ bounded}\}.$$

We consider the neighbourhood  $U_\delta \subset H^1$  defined by

$$U_\delta := \left\{ \psi \in H^1, \inf_{\sigma \in \Sigma^0} \|\psi - \eta_\sigma\|_{L^2} < \delta \right\}.$$

We have the following proposition, whose proof follows from an application of the Implicit Function Theorem in [4].

**Proposition 2.1** *For  $\delta \ll 1$ , there exists a unique mapping  $\sigma(\cdot) : U_\delta \rightarrow \Sigma$  such that  $\psi = \eta_{\sigma(\psi)} + w$ , and  $\omega(w, X) = 0$ , for all  $X \in \mathcal{T}_{\eta_{\sigma(\psi)}}\mathcal{M}_s$ .*

The group element  $T_{av\gamma} \in H^3$  is given by  $T_{av\gamma} = e^{-a\partial_x} e^{ivx} e^{i\gamma}$ . It follows from (2.5) that  $T_{av\gamma}^{-1}YT_{av\gamma} \in \mathfrak{g}$  if  $Y \in \mathfrak{g}$ . Furthermore, from the translational invariance, we have that  $\omega(T_{av\gamma}u, T_{av\gamma}v) = \omega(u, v)$ , for  $u, v \in L^2$ . Therefore, Proposition 2.1 implies that

$$\omega(w, Y\eta_\sigma) = \omega(w', Y'\eta_{\sigma'}) = 0,$$

for all  $Y \in \mathfrak{g}$ , where  $Y' = T_{av\gamma}^{-1}YT_{av\gamma} \in \mathfrak{g}$ ,  $w' = T_{av\gamma}^{-1}w$ , and  $\eta_{\sigma'} = T_{av\gamma}^{-1}\eta_\sigma$ .

**3 Effective Dynamics**

We decompose the dynamics into three regimes. For  $\beta, \delta \in (0, 1)$ , we let

$$\begin{aligned} t_0 &= 0, & t_1 &= \frac{|a_0| - v_0^\delta}{v_0}, \\ t_2 &= \frac{|a_0| + v_0^\delta}{v_0}, & t_3 &= t_2 + \beta \log v_0. \end{aligned}$$

The *pre-collision* regime corresponds to  $t \in [t_0, t_1]$ , the *collision* regime to  $t \in [t_1, t_2]$ , and the *post-collision* regime to  $t \in [t_2, t_3]$ . Below, we will show that nonlinear effects dominate in the pre- and post-collision regimes such that one can neglect the external potential, since the potential is compactly supported and the traveling wave is exponentially localized in space, while the dynamics are almost linear in the collision regime due to the high velocity of the soliton, or equivalently, short time of interaction. The same decomposition was used in [16], except that in the latter reference, Strichartz estimates are used to control the dynamics in all three regimes, and the inverse scattering method is applied for the post-collision regime. Here, we only use Strichartz estimates in the collision regime, and we apply the skew-orthogonal projection onto the soliton manifold in the pre- and post-collision regimes.

### 3.1 Nonlinear Regime

The analysis in this subsection applies to the pre- and post-collision regimes. We discuss first the post-collision regime. A similar result holds for the pre-collision regime, which is simpler.

#### 3.1.1 Reparametrized Equations of Motion in the Post-Collision Regime

Suppose that the solution at time  $t = t_2$  has the form

$$(3.1) \quad \psi(t_2) = \eta_{\sigma_2} + w_2,$$

where  $\sigma_2 = (a_0 + v_0 t_2, v_0, \gamma_0, \mu_0)$ , and that  $\|w_2\|_{L^2} = O(|v_0|^{-\alpha})$  for some  $\alpha > 0$ .

**Lemma 3.1** *Consider the NLS equation (1.1) with initial condition (3.1), and assume that, for  $t \in [t_2, t_3]$ ,  $\psi(t) \in U_{\delta}$ ,  $\delta \ll 1$ . Then for  $v_0 \gg 1$ , the parameters  $\sigma = (a, v, \gamma, \mu)$  satisfy the equations*

$$(3.2) \quad \begin{aligned} \partial_t a &= v_0 + O(\|w\|_{L^2}^2 + qe^{-\xi|a|}), \\ \partial_t v &= O(\|w\|_{L^2}^2 + qe^{-\xi|a|}), \\ \partial_t \gamma &= \mu_0 + \frac{v_0^2}{2} + O(\|w\|_{L^2}^2 + qe^{-\xi|a|}), \\ \partial_t \mu &= O(\|w\|_{L^2}^2 + qe^{-\xi|a|}), \end{aligned}$$

for some constant  $\xi > 0$  independent of  $v_0$ .

**Proof** We first find the equation of motion in the center of mass reference frame, i.e., for

$$u = T_{av\gamma}^{-1}\psi = e^{-ivx - i\gamma} \psi(x + a).$$

Using the skew-orthogonal property (Proposition 2.1), we have

$$(3.4) \quad u = \eta_{\mu} + w', \quad w' = T_{av\gamma}^{-1}w,$$

where  $\omega(w', X) = 0$ , for all  $X \in \mathcal{T}_{\eta_\mu} \mathcal{M}_s$ , and

$$|v(t_2) - v_0|, |a(t_2) - a_0 - v_0 t_2|, |\mu(t_2) - \mu_0|, |\gamma(t_2) - \gamma_0| = O(v_0^{-\alpha}).$$

We define the coefficients

$$(3.5) \quad \begin{aligned} c_1 &:= \partial_t a - v, & c_2 &:= -\frac{1}{2} \partial_t v, \\ c_3 &:= \mu - \frac{1}{2} v^2 + \partial_t a v - \partial_t \gamma, & c_4 &:= -\partial_t \mu. \end{aligned}$$

Note that

$$(3.6) \quad e^{-i(vx+\gamma)} \partial_x^2 \psi(x+a) = \partial_x^2 u + 2iv \partial_x u - v^2 u$$

$$(3.7) \quad e^{-i(vx+\gamma)} f(\psi(x+a)) = f(u).$$

Differentiating  $u$  with respect to  $t$  and using (1.1) and (3.5)–(3.7), we get

$$\partial_t u = -i \left( \left( -\frac{1}{2} \partial_x^2 + \mu \right) u - f(u) \right) + \sum_{\alpha=1}^3 c_\alpha e_\alpha u - iV_a u,$$

where  $V_a(x) = V(x+a)$ . In other words,

$$(3.8) \quad \partial_t u = -i \mathcal{E}'_\mu(u) + \sum_{\alpha=1}^3 c_\alpha e_\alpha u - iV_a u,$$

where  $\mathcal{E}_\mu$  is defined in (2.3). Recall that  $\mathcal{E}'_\mu(\eta_\mu) = 0$ , which implies

$$(3.9) \quad \mathcal{E}'_\mu(u) = \mathcal{L}_\mu(w') + N_\mu(w'),$$

where

$$\mathcal{L}_\mu = \left( -\frac{1}{2} \partial_x^2 + \mu + f'(\eta_\mu) \right) \equiv \mathcal{E}''_\mu(\eta_\mu)$$

and

$$N_\mu(w') = f(\eta_\mu + w') - f(\eta_\mu) + f'(\eta_\mu)(w').$$

Substituting (3.4) and (3.9) into (3.8), we obtain

$$(3.10) \quad \partial_t w' = \left( -i \mathcal{L}_\mu + \sum_{\alpha=1}^3 c_\alpha e_\alpha - iV_a \right) w' + N_\mu(w') + \sum_{\alpha=1}^4 c_\alpha e_\alpha \eta_\mu - iV_a \eta_\mu.$$

To obtain the equations of motion for  $a, v, \gamma$  and  $\mu$ , we project equation (3.10) onto  $\mathcal{T}_{\eta_\mu} \mathcal{M}_s$  using the skew-orthogonal property.

We have

$$(3.11) \quad \partial_t \langle iw', X \rangle = \partial_t \mu \langle iw', \partial_\mu X \rangle + \langle i \partial_t w', X \rangle = 0.$$

Substituting the expression for  $\partial_t w'$  given by (3.10) in (3.11), and the fact that

$$(3.12) \quad e_\alpha^* = -e_\alpha, \quad \alpha = 1, \dots, 4,$$

we have

$$(3.13) \quad \langle \mathcal{L}_\mu w', X \rangle + \left\langle i \sum_{\alpha=1}^4 c_\alpha e_\alpha w', X \right\rangle + \langle V_a w', X \rangle + \langle i N_\mu(w'), X \rangle \\ + \left\langle i \sum_{\alpha=1}^4 c_\alpha e_\alpha \eta_\mu, X \right\rangle + \langle V_a \eta_\mu, X \rangle = 0.$$

Some of the terms in the above equation cancel due to the zero modes of the Hessian. It follows from (2.6) that  $X' = i \mathcal{L}_\mu X \in \mathcal{T}_{\eta_\mu \mathcal{M}_s}$  if  $X \in \mathcal{T}_{\eta_\mu \mathcal{M}_s}$ , and hence

$$\langle \mathcal{L}_\mu w', X \rangle = \langle w', \mathcal{L}_\mu X \rangle = -\omega(w, X') = 0.$$

Together with (3.12) and (3.13), this yields

$$(3.14) \quad \sum_{\alpha=1}^4 c_\alpha \omega(e_\alpha \eta_\mu, X) = \\ \langle V_a \eta_\mu, X \rangle + \sum_{\alpha=1}^4 c_\alpha \langle i e_\alpha w', X \rangle + \langle V_a w', X \rangle + \langle i N_\mu(w'), X \rangle.$$

We now estimate each term appearing in the right-hand-side of (3.14) with  $X = e_\beta \eta_\mu, \beta = 1, \dots, 4$ . Due to the exponential localization in space of the soliton profile and the fact that the potential is compactly supported, we have that

$$\|V_a e_\beta \eta_\mu\|_{L^2} = O(qe^{-\xi|a|}), \quad \beta = 1, \dots, 4, \\ \|X\|_{L^2} = \|e_\beta \eta_\mu\|_{L^2} = O(1), \quad \beta = 1, \dots, 4 \\ \|e_\alpha X\|_{L^2} = \|e_\alpha e_\beta \eta_\mu\|_{L^2} = O(1), \quad \alpha, \beta = 1, \dots, 4.$$

Hence, Hölder’s inequality and the fact that  $V$  is real yield the estimates

$$|\langle V_a \eta_\mu, X \rangle| = |\langle \eta_{\mu_1}, V_a X \rangle| = O(qe^{-\xi|a|}), \\ |\langle V_a w', X \rangle| = |\langle w', V_a X \rangle| \leq \|V_a e_\beta \eta_{\mu_1}\|_{L^2} \|w'\|_{L^2} = O(qe^{-\xi|a|} \|w'\|_{L^2}).$$

We also have from Hölder’s inequality that

$$\left| \sum_{\alpha=1}^4 c_\alpha \langle i e_\alpha w', X \rangle \right| = \left| \sum_{\alpha=1}^4 c_\alpha \langle i w', e_\alpha X \rangle \right| \leq C |c| \|w'\|_{L^2},$$

where  $|c| := \max_{\alpha=1,\dots,4} |c_\alpha|$ . Now, it follows from Section 2.2.1 and Hölder’s inequality that

$$|\langle i N_\mu(w'), X \rangle| = O(\|w'\|_{L^2}^2).$$

We hence obtain the estimate  $|c| \leq C(\|w'\|_{L^2}^2 + qe^{-\xi|a|})$  for some  $C$  and  $\xi > 0$ . Note that  $\|w'\|_{L^2} = \|w\|_{L^2}$ , and hence the claim of the lemma. ■

### 3.1.2 Control of the Fluctuation

We now control the  $L^2$ -norm of the fluctuation  $w$  using conservation of charge, the skew-orthogonal property, and the reparametrized equations of motion.

**Lemma 3.2** Consider (1.1) with initial condition (3.1). Suppose the hypotheses of Lemma 3.1 hold. Then for  $v_0 \gg 1$ ,

$$\sup_{t \in [t_2, t_2 + \beta \log v_0]} \|w'(t)\|_{L^2}^2 \leq C |v_0|^{-\alpha/2}$$

for some constants  $C > 0, \beta \in (0, 1)$ .

**Proof** From the conservation of the  $L^2$ -norm of the solution,  $\|\psi(t)\|_{L^2} = \|\phi\|_{L^2}$ , and the skew-orthogonal decomposition (Proposition 2.1), we have

$$(3.15) \quad \|\psi\|_{L^2}^2 = \|w\|_{L^2}^2 + \|\eta_{\mu_1}\|_{L^2}^2 = \|\phi\|_{L^2}^2,$$

where we have used

$$\langle w, \eta_\sigma \rangle = -\omega(w, i\eta_\sigma) = 0 \quad \text{and} \quad \|\eta_\sigma\|_{L^2} = \|\eta_\mu\|_{L^2}.$$

Differentiating (3.15) with respect to  $t$  and recalling that  $m(\mu) = \frac{1}{2}\|\eta_\mu\|_{L^2}^2$ , we get

$$(3.16) \quad \partial_t \|w\|_{L^2}^2 = -2\partial_t \mu \partial_\mu m(\mu).$$

Now, (3.3) implies that

$$|\partial_t \mu \partial_\mu m(\mu)| \leq C(qe^{-\xi|a|} + \|w\|_{L^2}^2).$$

Together with (3.16) and the Duhamel formula, this yields

$$(3.17) \quad \|w\|_{L^2}^2 \leq C \left( e^{\alpha t} \|w_2\|_{L^2}^2 + q \int_0^t ds e^{\alpha(t-s)} e^{-\xi|a|} \right).$$

For times  $t < Cv_0^\epsilon$ ,  $\epsilon \in (0, 1)$ , we know from (3.2) that  $v(s) \geq c_0 v_0$ , for some constant  $c_0 > 0$ , and hence

$$a(s) \geq a_0 + v_0 t_2 + c_0 v_0 s \gg 1.$$

This yields

$$\int_0^t ds e^{c(t-s)} e^{-\xi a(s)} \leq C e^{ct - \xi v_0^\delta}, \quad \delta \in (0, 1).$$

Together with (3.17), we get the estimate

$$(3.18) \quad \|w\|_{L^2}^2 \leq C \left( q e^{ct - \xi v_0^\delta} + \frac{1}{v_0^\alpha} e^{ct} \right)$$

for some positive constants  $C$  and  $c$  that are independent of  $v_0$ . Choose  $\tau < \frac{\alpha \log v_0}{2c}$ . For  $t_2 \leq t \leq t_2 + \tau$ , (3.18) implies

$$\sup_{t \in [0, \tau]} \|w\|_{L^2}^2 < C v_0^{-\alpha/2}. \quad \blacksquare$$

We have the following proposition, which follows from Lemmas 3.1 and 3.2.

**Proposition 3.3** Consider (1.1) with initial condition (3.1). Then for  $v_0 \gg 1$ ,

$$\sup_{t \in [t_2, t_3]} \|\psi(t) - u_{\sigma_0}(t)\|_{L^2} \leq C v_0^{-\tilde{\alpha}}$$

for some  $C$  and  $\tilde{\alpha} > 0$ .

The same result holds for  $t \in [t_0, t_1]$  (pre-collision regime).

### 3.2 Almost Linear Regime

This regime corresponds to  $t \in [t_1, t_2]$ .

**Proposition 3.4** At resonance and for  $v_0 \gg 1$ , there exist constants  $C > 0$  and  $\tilde{\beta}, \tilde{\delta} \in (0, 1)$  such that

$$\|\psi(t_1 + s) - u_{\sigma_0}(t_1 + s)\|_{L^2} \leq C \left( l^{1/4} + l + q^{-1} + v_0^{-\tilde{\beta}} + e^{-\tilde{\delta}(|a_0 + v_0 t - l| + |a_0 + v_0 t + l|)} \right)$$

uniformly in  $t \in [t_1, t_2]$ .

**Proof** We divide the proof into several steps.

*Step 1.* We start by estimating the  $L^2$  norm of the difference between the linear interacting evolution and the true solution. The Duhamel formula and the unitarity of the linear evolution imply that

$$\|e^{-isH}\psi(t_1) - \psi(t_1 + s)\|_{L^2} = \left\| \int_{t_1}^{t_1+s} ds' e^{is'H} W \star |\psi(t_1 + s')|^2 \psi(t_1 + s') \right\|_{L^2}.$$

Using the Strichartz estimate (2.2) and the fact that  $W \in L^p, p \geq 2$ , we have

$$\begin{aligned} & \left\| \int_{t_1}^{t_1+s} ds' e^{is'H} W \star |\psi(t_1 + s')|^2 \psi(t_1 + s') \right\|_{L^2} \\ & \leq C \|W \star |\psi(t_1 + s')|^2 \psi(t_1 + s')\|_{L^{\frac{1}{2p}}([0,s];L^{\frac{2p}{p+2})}} \\ & \leq Cs^{\frac{1}{2p}} \|W \star |\psi(t_1 + s')|^2 \psi(t_1 + s')\|_{L^\infty([0,s];L^{\frac{2p}{p+2})}} \end{aligned}$$

for some constant  $C > 0$ . Applying Hölder’s inequality yields

$$\begin{aligned} \|W \star |\psi(t_1 + s')|^2 \psi(t_1 + s')\|_{L^\infty([0,s];L^{\frac{2p}{p+2})}} & \leq \|W\|_{L^p} \|\psi(t_1 + s')\|_{L^\infty([0,s];L^2)}^2 \\ & \leq C \|\psi_0\|_{L^2}^2, \end{aligned}$$

where we have used the fact that charge is conserved in the last inequality, *i.e.*,  $\|\psi(t)\|_{L^2} = \|\psi_0\|_{L^2}$  for all  $t \in \mathbb{R}$ . Therefore,

$$(3.19) \quad \|e^{-iH} \psi(t_1) - \psi(t_1 + \cdot)\|_{L^\infty([0,s];L^2)} \leq Cs^{\frac{1}{2p}} \|\psi_0\|_{L^2}^2$$

uniformly in  $v_0 > 0$ .

*Step 2.* Recall that as the soliton quits the pre-collision regime,  $\psi(t_1) = u_{\sigma_0}(t_1) + w(t_1)$ . Using the Minkowski inequality,

$$(3.20) \quad \|e^{-isH} \psi(t_1)\|_{L^2} \leq \|e^{-isH} u_{\sigma_0}(t_1)\|_{L^2} + \|w(t_1)\|_{L^2},$$

where we have used the fact that  $\|e^{-isH} w(t_1)\|_{L^2} = \|w(t_1)\|_{L^2}$ .

*Step 3.* We now investigate the linear evolution of the traveling solitary wave. We have the following lemma.

**Lemma 3.5** *Under the resonance condition, we have*

$$(3.21) \quad e^{-isH} u_{\sigma_0}(t_1) = T(v_0) e^{-isH_0} u_{\sigma_0}(t_1) + R(v_0) e^{-isH_0} u_{\sigma_0}(t_1) + E_1(s) + E_2(s) + E_3(s),$$

with

$$\begin{aligned} \|E_1\|_{L^2} & \leq C(l + q^{-1}), \quad \text{supp}(E_1) \in [l, \infty), \\ \|E_2\|_{L^2} & \leq Cl^{1/4}, \quad \text{supp}(E_2) \in [-l, l], \\ \|E_3(s, x)\|_{L^2} & \leq Ce^{-v_0^\delta}, \end{aligned}$$

for some constant  $C$  that is independent of  $v_0$ .

**Proof** We use the spectral decomposition of the linear evolution in terms of the generalized eigenfunctions  $e_{\pm}$ . Let  $\phi$  be an arbitrary function in  $L^1 \cap L^2$  with support in  $(-\infty, -l)$ . It follows from (1.4), (1.5), and (2.1) that

$$e^{-isH}\phi|_{x<-l} = e^{-isH_0}\mathcal{F}^{-1}(R\widehat{\phi})(-x) + e^{-isH_0}\phi(x).$$

and

$$e^{-isH}\phi|_{x>l} = e^{-isH_0}\mathcal{F}^{-1}(T\widehat{\phi})(x) + \tilde{E}_1(s, x),$$

where

$$\tilde{E}_1(s, x) = \frac{1}{\pi} \int_0^\infty d\lambda e^{-i\lambda^2} e^{i\lambda x} \widehat{\phi}(-\lambda) \operatorname{Re}(T(\lambda)\overline{R}(\lambda)) \Theta(x-l)$$

and  $\mathcal{F}^{-1}$  stands for the inverse Fourier transform.

The linear evolution of  $\phi$  in the whole space can be expressed as

$$(3.22) \quad e^{-isH}\phi(x) = e^{-isH_0}\mathcal{F}^{-1}(T\widehat{\phi})(x)\Theta(x-l) + e^{-isH_0}\mathcal{F}^{-1}(R\widehat{\phi})(-x)\Theta(-x-l) \\ + e^{-isH_0}\phi(x)\Theta(-x-l) + \tilde{E}_1(s, x) + \tilde{E}_2(s, x),$$

where

$$\tilde{E}_2(s, x) := e^{-isH}\phi(x)(\Theta(x+l) - \Theta(x-l))$$

represents the contribution between the two delta potentials.

We now apply this decomposition to the solitary wave  $u_{\sigma_0}(t_1)$ , centered at distance of order  $-\nu_0^\delta$  away from the origin and exponentially localized. From (3.22), we have that

$$(3.23) \quad e^{-isH}u_{\sigma_0}(t_1)(x) = e^{-isH_0}\mathcal{F}^{-1}(T\widehat{u_{\sigma_0}})(x)\Theta(x-l) + e^{-isH_0}\mathcal{F}^{-1}(R\widehat{u_{\sigma_0}})(-x)\Theta(-x-l) \\ + e^{-isH_0}u_{\sigma_0}(x)\Theta(-x-l) + E_1(s, x) + E_2(s, x) + E_3(s, x),$$

where

$$(3.24) \quad E_1(s, x) = \frac{1}{\pi} \int_0^\infty d\lambda e^{-i\lambda^2} e^{i\lambda x} \widehat{u_{\sigma_0}(t_1)}(-\lambda) \operatorname{Re}(T(\lambda)\overline{R}(\lambda)) \Theta(x-l),$$

$$(3.25) \quad E_2(s, x) := e^{-isH}u_{\sigma_0}(t_1, x)(\Theta(x+l) - \Theta(x-l)),$$

and

$$(3.26) \quad \|E_3(s, x)\|_{L^2} \leq C e^{-\nu_0^\delta}$$

for some constant  $C$  that is independent of  $\nu_0$ . The correction term  $E_3$  comes from the exponential decay of  $u_\sigma$  in the considered region.

We now use the fact that  $u_{\sigma_0}$  is localized and  $\partial_\lambda T(\lambda)$  is of order  $O(\max(l, q^{-1}))$ . Applying the mean value theorem, we have

$$(3.27) \quad \|(T(\nu_0) - T(\lambda))\widehat{u_{\sigma_0}(t_1)}\|_{L^2} \leq C(l + q^{-1})$$

for some positive constant  $C > 0$  that is independent of  $v_0$ . Similarly,

$$(3.28) \quad \|(R(v_0) - R(\lambda))\widehat{u_{\sigma_0}(t_1)}\|_{L^2} \leq C (l + q^{-1}).$$

At resonance,  $R(v_0) = 0$  and  $|T(v_0)| = 1$ , which yields

$$(3.29) \quad \|E_1\|_{L^2} \leq C (l + q^{-1}).$$

To estimate  $E_2$ , note that

$$\begin{aligned} \|E_2\|_{L^2}^2 &= \langle u_{\sigma_0}(t_1), e^{isH}(\Theta(x+l) - \Theta(x-l))e^{-isH}u_{\sigma_0}(t_1) \rangle \\ &= \langle \eta_{\mu_0}, T_{\sigma_0(t_1)}^{-1} e^{isad_H}(\Theta(x+l) - \Theta(x-l)) T_{\sigma_0(t_1)} \eta_{\mu_0} \rangle \\ &= \langle \eta_{\mu_0}, e^{ad_{-(a_0+v_0t_1)}\partial_x} e^{ad_{iv_0x}} e^{isad_H}(\Theta(x+l) - \Theta(x-l)) \eta_{\mu_0} \rangle \\ &\leq \|\eta_{\mu_0}\|_{L^2} \|e^{ad_{-(a_0+v_0t_1)}\partial_x} e^{ad_{iv_0x}} e^{isad_H}(\Theta(x+l) - \Theta(x-l)) \eta_{\mu_0}\|_{L^2}, \end{aligned}$$

where  $ad_A f = [A, f]$ . It follows that

$$(3.30) \quad \|E_2\|_{L^2} \leq C \|e^{ad_{-(a_0+v_0t_1)}\partial_x} e^{ad_{iv_0x}} e^{isad_H}(\Theta(x+l) - \Theta(x-l)) \eta_{\mu_0}\|_{L^2}^{1/2} \\ \leq C \|(\Theta(x+l) - \Theta(x-l))\|_{L^2}^{1/2} \leq Cl^{1/4},$$

where we have used the unitarity of  $e^{ad_{-(a_0+v_0t_1)}\partial_x} e^{ad_{iv_0x}} e^{isad_H}$  in the second line. The lemma follows from (3.23)–(3.30). ■

*Step 4.* We now use the fact that the free linear evolution generated by  $H_0$  is close to the *nonlinear* evolution in the absence of the external potential over a short time interval of interaction. The analysis is almost identical to Step 1 above. We have

$$(3.31) \quad \|e^{-i \cdot H_0} u_{\sigma_0}(t_1) - u_{\sigma_0}(t_1 + \cdot)\|_{L^\infty([0,s];L^2)} \leq Cs^{\frac{1}{2p}} \|\psi_0\|_{L^2}^2$$

uniformly in  $v_0 > 0$ .

*Step 5.* Using the fact that the traveling wave is exponentially localized in space, we have

$$(3.32) \quad \|u_{\sigma_0}(t_1 + s)\Theta(-x - l)\|_{L^2} \leq Ce^{-\delta|a_0+v_0t+l|}.$$

Similarly,

$$(3.33) \quad \|u_{\sigma_0}(t_1 + s)(\Theta(x+l) - \Theta(x-l))\|_{L^2} \leq Ce^{-\delta(|a_0+v_0s+l|+|a_0+v_0s-l|)}.$$

The proposition follows, noting that  $|s| \leq v_0^{\delta-1}$  and using (3.19), (3.20), (3.21), (3.31), (3.32), and (3.33). ■

### 3.3 Proof of the Main Theorem

**Proof** Since  $l, q^{-1} = O(v_0^{-1})$ , the main theorem follows from Propositions 3.3 and 3.4. ■

## 4 General Nonlinearities and Potential

The resonant tunneling phenomenon described in the above example of an external potential in the form of double delta potential can be extended to more general potentials and nonlinearities. In this section, we list sufficient assumptions for our analysis to hold. We then remark how it is applied to another simple form of external potential, namely the box potential.

We assume that the potential  $V \in L^\infty_{\text{comp}} \cup L^1_{\text{comp}}$  such that the resolvent  $R_V(\lambda) = (H - \lambda^2)^{-1}$  has no poles for  $\text{Im}\lambda > 0$ . Also, for  $\lambda \in \mathbb{R} \setminus \{0\}$ , the equation  $(H - \lambda^2)u = 0$  has unique solutions  $e_\pm(x, \lambda)$  satisfying

$$e_\pm(x, \lambda) = \begin{cases} e^{\pm i\lambda x} + R(\lambda)e^{\mp i\lambda x}, & \pm x < -l, \\ T(\lambda)e^{\pm i\lambda x}, & \pm x > l, \end{cases}$$

for some  $l > 0$ . The transmission and reflection coefficients  $T(\lambda)$  and  $R(\lambda)$  respectively, satisfy the unitary condition  $|T(\lambda)|^2 + |R(\lambda)|^2 = 1$ . We assume in addition that  $T$  and  $R$  are differentiable in  $\lambda \in \mathbb{R} \setminus \{0\}$ , and

$$|\partial_\lambda T|, |\partial_\lambda R| = O(l + q^{-1}),$$

where  $l$  is a length scale that depends on the potential  $V$ , and  $q$  is a measure of the potential's size.

The important hypothesis concerns *resonant tunneling*. We assume that there exists  $\lambda_0$  that depends on  $V$  such that  $R(\lambda_0) = 0$ .

The hypotheses on the nonlinearity are those essentially sufficient for the existence of a global smooth solution to the NLS equation as well as the existence, in the absence of external potential, of an orbitally stable family of exponentially localized solitary waves with the usual symmetries (translation, gauge transformation, and Galilean boost). For the application of Strichartz estimates, we require that for  $r \in [2, \infty]$ ,

$$\begin{aligned} \|f(u_\sigma + v) - f(u_\sigma)\|_{L^{r'}} &\leq C\|v\|_{L^2}, \\ \|f(u_\sigma) - f(u_\sigma) - f'(u_\sigma)v\|_{L^{r'}} &\leq C\|v\|_{L^2}^2. \end{aligned}$$

**Remark 4.1** The above assumptions are satisfied by a box potential

$$V(x) = q(\Theta(x + l) - \Theta(x - l)),$$

where  $\Theta$  is the Heaviside step function. The corresponding transmission and reflection coefficients are

$$T(\lambda) = -\frac{4\lambda\sqrt{\lambda^2 - 2q}e^{2il(\sqrt{\lambda^2 - 2q} - \lambda)}}{e^{4il\sqrt{\lambda^2 - 2q}}(\lambda - \sqrt{\lambda^2 - 2q})^2 - (\lambda + \sqrt{\lambda^2 - 2q})^2}$$

and

$$R(\lambda) = \frac{2qe^{-2i\lambda l}(e^{4il\sqrt{\lambda^2-2q}} - 1)}{e^{4il\sqrt{\lambda^2-2q}}(\lambda - \sqrt{\lambda^2 - 2q})^2 - (\lambda + \sqrt{\lambda^2 - 2q})^2}$$

respectively. In this case, resonant tunneling occurs when  $2l = n\pi/\sqrt{v_0^2 - 2q}$  for some  $n \in \mathbb{N}$ .

**Remark 4.2** We note that the case of power nonlinearity  $f(\psi) = -|\psi|^{p-1}\psi$  ( $p < 5$ ) clearly satisfies all the assumptions.

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