

## Research Article

# Blow-Up Criteria for the Modified Novikov Equation

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We investigate the Cauchy problem for the modified Novikov equation. We establish blow-up criteria on the initial data to guarantee the corresponding solution blowing up in finite time.

## 1. Introduction

In this paper, we consider the following Cauchy problem of the modified Novikov equation:

$$\begin{aligned} u_t - u_{xxt} + (a + b)u^2u_x \\ = auu_xu_{xx} + bu^2u_{xxx}, \quad t > 0, \quad x \in \mathbb{R}, \\ u(0, x) = u_0(x), \quad x \in \mathbb{R}, \end{aligned} \quad (1)$$

where the coefficients  $a$  and  $b$  are positive constants.

In [1], Lai et al. presented the global existence of strong solutions and gave a blow-up scenario of strong solutions to the equation.

By using Green's function  $G(x) = (1/2)e^{-x}$  for the operator  $\Lambda = (1 - \partial_x^2)^{1/2}$ , (1) is equivalent to the nonlocal equation

$$\begin{aligned} u_t + bu^2u_x \\ = G * \left[ -au^2u_x + \frac{a-6b}{2}(uu_x^2)_x + \frac{2b-a}{2}u_x^3 \right] \\ t > 0, \quad x \in \mathbb{R}, \end{aligned} \quad (2)$$

$$u(0, x) = u_0(x), \quad x \in \mathbb{R},$$

where notation  $*$  denotes the spatial convolution.

Letting  $a = 3b$  and using the scaling translation  $\tilde{u} = bu$ , (1) can be reformulated into the Novikov equation

$$\tilde{u}_t - \tilde{u}_{xxt} + 4\tilde{u}^2\tilde{u}_x = 3\tilde{u}\tilde{u}_x\tilde{u}_{xx} + \tilde{u}^2u_{xxx}, \quad (3)$$

which was derived by Novikov in a symmetry classification of nonlocal PDEs with quadratic or cubic nonlinearity [2]; subsequently, he found a scalar Lax pair for the Novikov equation (also see [3]) and proved that the Novikov equation is integrable. The equation has been investigated by many scholars. Hone and Wang gave a matrix Lax pair for the Novikov equation in [4] and showed how it was related by a reciprocal transformation to a negative flow in the Sawada-Kotera hierarchy. By using the matrix Lax pair, Hone et al. calculated the explicit formulas for multipeak on solutions of (1) in [3]. Ni and Zhou showed that the Novikov equation is well-posed in  $H^s$ ,  $s > 3/2$  by applying Kato's semigroup theory and the Novikov equation is locally well-posed in the Besov spaces  $B_{2,r}^s$  with the critical index  $s = 3/2$  and also considered the persistence properties of the solution. In [5], Jiang and Ni gave sufficient conditions on the initial data to guarantee the formulation of singularities in finite time and a global existence result was also established in [6]. It is worth pointing out recent many works have been done for the Novikov equation and the related equations, one can refer to [7–12] and the references therein.

Now, we give some elementary results and a blow-up scenario of strong solutions which will be used in this paper.

**Theorem 1** (see [13]). *Given  $u(x, t = 0) = u_0 \in H^s(\mathbb{R})$  with  $s > 3/2$ , then there exist a maximal  $T = T(u_0) > 0$  and a unique solution  $u$  to (1) such that*

$$u = u(\cdot, u_0) \in C([0, T]; H^s(\mathbb{R})) \cap C^1([0, T]; H^{s-1}(\mathbb{R})). \quad (4)$$

Moreover, the solution depends continuously on the initial data; that is, the mapping  $u_0 \rightarrow u(\cdot, u_0) : H^s(\mathbb{R}) \rightarrow C([0, T]; H^s(\mathbb{R})) \cap C^1([0, T]; H^{s-1}(\mathbb{R}))$  is continuous.

**Theorem 2** (see [1]). Assume  $u_0(x) \in H^s$ ,  $s \geq 3/2$ , and let  $T$  be the maximal existence time of the solution  $u(x, t)$  to (1) with the initial data  $u_0(x)$ . If  $a > b$ , then the corresponding solution blows up in finite time if and only if

$$\lim_{t \uparrow T} \liminf_{x \in \mathbb{R}} (uu_x)(x, t) = -\infty. \tag{5}$$

We also need to introduce the classical particle trajectory method. Suppose  $u(x, t)$  is a solution of the Novikov equation; let  $q(x, t)$  be the particle line evolved by the solution  $u$ :

$$\begin{aligned} \frac{dq(x, t)}{dt} &= bu^2(q(x, t), t), \\ q(x, t = 0) &= x. \end{aligned} \tag{6}$$

Then

$$q_x(x, t) = \exp\left(2 \int_0^t uu_x(q, s) ds\right), \quad q_x(x, 0) = 1, \tag{7}$$

which is always positive before the blow-up time. Therefore, the function  $q(x, t)$  is an increasing diffeomorphism of the line before blow-up.

Let  $y = \Lambda^2 u = (1 - \partial_x^2)u$ ; the following identity can be obtained:

$$y(q(x, t), t) q_x^2(x, t) = y_0(x) e^{(4b-a) \int_0^t uu_x ds}. \tag{8}$$

In fact, direct computation yields

$$\begin{aligned} &\frac{d}{dt} (y(q) q_x^2) \\ &= y_t q_x^2 + 2y q_x q_{xt} + y_x q_t q_x^2 \\ &= y_t q_x^2 + 4byuu_x q_x^2 + bu^2 y_x q_x^2 \\ &= (u_t - u_{txx} + auu_x(u - u_{xx}) + bu^2(u_x - u_{xxx})) q_x^2 \\ &\quad - auu_x y q_x^2 + 4buu_x y q_x^2 \\ &= (4b - a) uu_x y q_x^2. \end{aligned} \tag{9}$$

*Remark 3.* From (8), it follows that if  $y_0(x) = \Lambda^2 u_0(x) \geq 0$  then  $y(t, x) = \Lambda^2 u(t, x) \geq 0$ . Since  $\Lambda^{-2} f = G * f$ , for  $f \in L^2(\mathbb{R})$ , therefore, we obtain  $u(x) \geq 0$ . If  $y_0 = (1 - \partial_x^2)u_0(x) \leq 0$ , the result is similar.

## 2. Blow-Up Criteria

In this section, we present the following blow-up criteria on the initial data to guarantee that the corresponding strong solution of (1) blowing up. Our method is partially motivated by [14].

**Theorem 4.** If  $a > 3b$ , suppose that  $u_0 \in H^s(\mathbb{R})$ ,  $s > 3/2$ , and there exists  $x_0 \in \mathbb{R}$  such that  $u_0(x_0) \geq 0$  and  $y_0(x_0) = (1 - \partial_x^2)u_0(x_0) = 0$ ,

$$\begin{aligned} y_0(x) &\geq 0 (\neq 0) \quad \text{for } x \in (-\infty, x_0), \\ y_0(x) &\leq 0 (\neq 0) \quad \text{for } x \in (x_0, \infty). \end{aligned} \tag{10}$$

Then the corresponding solution  $u(x, t)$  to the modified Novikov equation (1) with  $u_0(x)$  as the initial datum blows up in finite time.

*Proof.* By the local well-posedness theorem and a density argument, it suffices to consider the case  $s \geq 3$ ; without loss of generality, we take  $s = 3$  for simplicity of notation. We also assume  $u_0 \neq 0$ ; otherwise, solutions are trivial.

Suppose that the solution exists globally. Due to (8) and the initial condition (10), we have

$$\begin{aligned} &y(q(x_0, t), t) = 0, \\ &y(q(x, t), t) \geq 0 (\neq 0), \quad \text{for } x \in (-\infty, x_0), \\ &y(q(x, t), t) \leq 0 (\neq 0), \quad \text{for } x \in (x_0, \infty), \end{aligned} \tag{11}$$

for all  $t \geq 0$ . Since  $u(x, t) = G * y(x, t)$ ,  $x \in \mathbb{R}$ ,  $t > 0$ , we can write  $u(x, t)$  and  $u_x(x, t)$  as follows:

$$\begin{aligned} u(x, t) &= \frac{1}{2} e^{-x} \int_{-\infty}^x e^\xi y(\xi, t) d\xi + \frac{1}{2} e^x \int_x^\infty e^{-\xi} y(\xi, t) d\xi, \\ u_x(x, t) &= -\frac{1}{2} e^{-x} \int_{-\infty}^x e^\xi y(\xi, t) d\xi + \frac{1}{2} e^x \int_x^\infty e^{-\xi} y(\xi, t) d\xi. \end{aligned} \tag{12}$$

As a result of (12)

$$(u + u_x)(x, t) = e^x \int_x^\infty e^{-\xi} y(\xi, t) d\xi, \tag{13}$$

$$(u - u_x)(x, t) = e^{-x} \int_{-\infty}^x e^\xi y(\xi, t) d\xi, \tag{14}$$

for all  $t \geq 0$ .

From (12) and differentiating  $uu_x(q(x_0, t), t)$  with respect to  $t$ , we have

$$\begin{aligned} &\frac{d}{dt} (2uu_x)(q(x_0, t), t) \\ &= \frac{d}{dt} \left\{ -\frac{1}{2} e^{-2q(x_0, t)} \left( \int_{-\infty}^{q(x_0, t)} e^\xi y(\xi, t) d\xi \right)^2 \right. \\ &\quad \left. + \frac{1}{2} e^{2q(x_0, t)} \left( \int_{q(x_0, t)}^\infty e^{-\xi} y(\xi, t) d\xi \right)^2 \right\} \end{aligned}$$

$$\begin{aligned}
 &= bu^2(q(x_0, t), t) e^{-2q(x_0, t)} \left( \int_{-\infty}^{q(x_0, t)} e^\xi y(\xi, t) d\xi \right)^2 \\
 &\quad - e^{-2q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi y(\xi, t) d\xi \int_{-\infty}^{q(x_0, t)} e^\xi y_t(\xi, t) d\xi \\
 &\quad + bu^2(q(x_0, t), t) e^{2q(x_0, t)} \left( \int_{q(x_0, t)}^{\infty} e^{-\xi} y(\xi, t) d\xi \right)^2 \\
 &\quad + e^{2q(x_0, t)} \int_{q(x_0, t)}^{\infty} e^{-\xi} y(\xi, t) d\xi \int_{q(x_0, t)}^{\infty} e^{-\xi} y_t(\xi, t) d\xi \\
 &= bu^2(u - u_x)^2(q(x_0, t), t) \\
 &\quad - (u - u_x)(q(x_0, t), t) e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi y_t(\xi, t) d\xi \\
 &\quad + bu^2(u + u_x)^2(q(x_0, t), t) \\
 &\quad + (u + u_x)(q(x_0, t), t) e^{q(x_0, t)} \int_{q(x_0, t)}^{\infty} e^{-\xi} y_t(\xi, t) d\xi.
 \end{aligned} \tag{15}$$

Equation (1) can be rewritten as

$$y_t = -b(yu^2)_x + (2b - a) yuu_x. \tag{16}$$

Firstly, we can estimate the first term as

$$\begin{aligned}
 &e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi y_t(\xi, t) d\xi \\
 &= -be^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi (y(\xi, t) u^2(\xi, t))_\xi d\xi \\
 &\quad + (2b - a) e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi y(\xi, t) u(\xi, t) u_\xi(\xi, t) d\xi \\
 &= be^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi y(\xi, t) u^2(\xi, t) d\xi \\
 &\quad + (2b - a) e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi y(\xi, t) u(\xi, t) u_\xi(\xi, t) d\xi \\
 &= be^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi (u^3 - u^2 u_{xx}) d\xi \\
 &\quad + (2b - a) e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi (u^2 u_x - uu_x u_{xx}) d\xi \\
 &= \frac{3b - a}{3} u^3 - bu^2 u_x - \frac{2b - a}{2} uu_x^2 \\
 &\quad + \frac{a}{3} e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi u^3 d\xi
 \end{aligned}$$

$$\begin{aligned}
 &+ \frac{6b - a}{2} e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi uu_x^2 d\xi \\
 &+ \frac{2b - a}{2} e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi u_x^3 d\xi.
 \end{aligned} \tag{17}$$

We also apply the following inequality in [6]:

$$\begin{aligned}
 &\int_{-\infty}^{q(x_0, t)} e^\xi (2u^3 + 3uu_\xi^2 - u_\xi^3)(\xi, t) d\xi \\
 &\geq e^{q(x_0, t)} u^3(q(x_0, t), t).
 \end{aligned} \tag{18}$$

So we can derive

$$\begin{aligned}
 &\frac{a}{3} e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi u^3 d\xi \\
 &\quad + \frac{6b - a}{2} e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi uu_x^2 d\xi \\
 &\quad + \frac{2b - a}{2} e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi u_x^3 d\xi \\
 &= \frac{1}{6} e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi [(a - 3b)(2u^3 - 3uu_x^2 - 3u_x^3) \\
 &\quad + 3b(2u^3 + 3uu_x^2 - 3u_x^3)] d\xi \\
 &\geq \frac{a - 3b}{6} u^3 + \frac{3b}{6} u^3 = \frac{a}{6} u^3.
 \end{aligned} \tag{19}$$

Putting (19) into (17), we have

$$\begin{aligned}
 &e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^\xi y_t(\xi, t) d\xi \\
 &\geq -bu^2(q(x_0, t), t) u_x(q(x_0, t), t) \\
 &\quad - \frac{2b - a}{2} u(q(x_0, t), t) u_x^2(q(x_0, t), t) \\
 &\quad + \frac{6b - a}{6} u^3(q(x_0, t), t).
 \end{aligned} \tag{20}$$

Similarly, we have

$$\begin{aligned}
 &e^{q(x_0, t)} \int_{q(x_0, t)}^{\infty} e^{-\xi} y_t(\xi, t) d\xi \\
 &\geq -bu^2(q(x_0, t), t) u_x(q(x_0, t), t) \\
 &\quad + \frac{2b - a}{2} u(q(x_0, t), t) u_x^2(q(x_0, t), t) \\
 &\quad + \frac{a - 6b}{6} u^3(q(x_0, t), t).
 \end{aligned} \tag{21}$$

Putting (21) and (22) into (15), we obtain

$$\begin{aligned} & \frac{d}{dt} 2uu_x(q(x_0, t), t) \\ & \leq 2b(u^4 + u^2u_x^2)(q(x_0, t), t) \\ & \quad - (u - u_x) \left( \frac{6b-a}{6}u^3 - bu^2u_x - \frac{2b-a}{2}uu_x^2 \right) \\ & \quad + (u + u_x) \left( -\frac{6b-a}{6}u^3 - bu^2u_x + \frac{2b-a}{2}uu_x^2 \right) \\ & = \frac{a}{3}u^2(u^2 - u_x^2)(q(x_0, t), t). \end{aligned} \quad (22)$$

Here we use the facts that  $(u - u_x)(q(x, t), t) \geq 0$ ,  $x \in (-\infty, q(x_0, t))$ , from (10) and (14), and  $(u + u_x)(q(x, t), t) \leq 0$ ,  $x \in (q(x_0, t), \infty)$ , from (10) and (13).

*Claim 1.*  $uu_x(q(x_0, t), t) < 0$  is decreasing and  $u^2(q(x_0, t), t) < u_x^2(q(x_0, t), t)$  for all  $t \geq 0$ .

Suppose that there exists a  $t_0$  such that  $u^2(q(x_0, t), t) < u_x^2(q(x_0, t), t)$  on  $[0, t_0)$  and  $u^2(q(x_0, t_0), t_0) \geq u_x^2(q(x_0, t_0), t_0)$ . Now, let

$$\begin{aligned} I(t) & := u(u - u_x)(q(x_0, t), t), \\ II(t) & := u(u + u_x)(q(x_0, t), t). \end{aligned} \quad (23)$$

Firstly, differentiating  $I(t)$ , we get

$$\begin{aligned} \frac{dI(t)}{dt} & = -bu^2(q(x_0, t), t) \\ & \quad \times \left( e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^{\xi} y(\xi, t) d\xi \right)^2 \\ & \quad + \left( e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^{\xi} y(\xi, t) d\xi \right) \\ & \quad \times \left( e^{-q(x_0, t)} \int_{-\infty}^{q(x_0, t)} e^{\xi} y_t(\xi, t) d\xi \right) \\ & \quad + \frac{1}{2} \int_{-\infty}^{q(x_0, t)} e^{\xi} y_t(\xi, t) d\xi \int_{q(x_0, t)}^{\infty} e^{-\xi} y(\xi, t) d\xi \\ & \quad + \frac{1}{2} \int_{-\infty}^{q(x_0, t)} e^{\xi} y(\xi, t) d\xi \int_{q(x_0, t)}^{\infty} e^{-\xi} y_t(\xi, t) d\xi \\ & \geq -bu^2(u - u_x)^2(q(x_0, t), t) \\ & \quad + \left( \frac{6b-a}{6}u^3 - bu^2u_x - \frac{2b-a}{2}uu_x^2 \right) u(q(x_0, t), t) \\ & \quad + \frac{1}{2} \left( \frac{6b-a}{6}u^3 - bu^2u_x - \frac{2b-a}{2}uu_x^2 \right) \\ & \quad \times (u - u_x)(q(x_0, t), t) \end{aligned}$$

$$\begin{aligned} & - \frac{1}{2} \left( \frac{6b-a}{6}u^3 + bu^2u_x - \frac{2b-a}{2}uu_x^2 \right) \\ & \quad \times (u - u_x)(q(x_0, t), t) \\ & \geq \frac{a}{6}u^2(u_x^2 - u^2), \quad \text{on } [0, t_0). \end{aligned} \quad (24)$$

Secondly, differentiating  $II(t)$ , we get

$$\begin{aligned} \frac{dII(t)}{dt} & = bu^2(q(x_0, t), t) \\ & \quad \times \left( e^{q(x_0, t)} \int_{q(x_0, t)}^{\infty} e^{-\xi} y(\xi, t) d\xi \right)^2 \\ & \quad + \left( e^{q(x_0, t)} \int_{q(x_0, t)}^{\infty} e^{-\xi} y(\xi, t) d\xi \right) \\ & \quad \times \left( e^{q(x_0, t)} \int_{q(x_0, t)}^{\infty} e^{-\xi} y_t(\xi, t) d\xi \right) \\ & \quad + \frac{1}{2} \int_{-\infty}^{q(x_0, t)} e^{\xi} y_t(\xi, t) d\xi \int_{q(x_0, t)}^{\infty} e^{-\xi} y(\xi, t) d\xi \\ & \quad + \frac{1}{2} \int_{-\infty}^{q(x_0, t)} e^{\xi} y(\xi, t) d\xi \int_{q(x_0, t)}^{\infty} e^{-\xi} y_t(\xi, t) d\xi \\ & \leq bu^2(u + u_x)^2(q(x_0, t), t) \\ & \quad - \left( \frac{6b-a}{6}u^3 + bu^2u_x - \frac{2b-a}{2}uu_x^2 \right) \\ & \quad \times u_x(q(x_0, t), t) \\ & \quad + \frac{1}{2} \left( \frac{6b-a}{6}u^3 - bu^2u_x - \frac{2b-a}{2}uu_x^2 \right) \\ & \quad \times (u + u_x)(q(x_0, t), t) \\ & \quad - \frac{1}{2} \left( \frac{6b-a}{6}u^3 + bu^2u_x - \frac{2b-a}{2}uu_x^2 \right) \\ & \quad \times (u + u_x)(q(x_0, t), t) \\ & = -\frac{a}{6}u^2(u_x^2 - u^2), \quad \text{on } [0, t_0). \end{aligned} \quad (25)$$

Hence, from (24), (25), and the continuity property of ODEs, we can draw

$$u^2(u_x^2 - u^2)(q(x_0, t), t) = -I(t)II(t) > -I(0)II(0) > 0, \quad (26)$$

for all  $t > 0$ . This means  $t_0$  can be extended to infinity. This is a contradiction, so the claim is true.

Moreover, using (24) and (25) again, we have the following inequality for  $u^2(u_x^2 - u^2)(q(x_0, t), t)$ :

$$\begin{aligned} & \frac{d}{dt} u^2(u_x^2 - u^2)(q(x_0, t), t) \\ & \geq -\frac{a}{3} uu_x(q(x_0, t), t) u^2(u_x^2 - u^2)(q(x_0, t), t). \end{aligned} \tag{27}$$

Putting (22) into (27) yields

$$\begin{aligned} & \frac{d}{dt} u^2(u_x^2 - u^2)(q(x_0, t), t) \\ & \geq \frac{a}{3} u^2(u_x^2 - u^2)(q(x_0, t), t) \\ & \quad \times \left( \frac{a}{6} \int_0^t u^2(u_x^2 - u^2)(q(x_0, s), s) ds - \frac{a}{6} u_0 u_{0x}(x_0) \right). \end{aligned} \tag{28}$$

Before completing the proof, we want the following technical lemma.

**Lemma 5** (see [15]). *Suppose that  $\Phi$  is a twice continuous differential satisfying*

$$\begin{aligned} \Phi''(t) & \geq C_0 \Phi'(t) \Phi(t), \quad t > 0, \quad C_0 > 0, \\ \Phi(0) & > 0, \quad \Phi'(0) > 0. \end{aligned} \tag{29}$$

*Then  $\Phi(t)$  blows up in finite time. Moreover the blow-up time  $T$  can be estimated in terms of the initial datum as*

$$T \leq \max \left\{ \frac{2}{C_0 \Phi(0)}, \frac{\Phi(0)}{\Phi'(0)} \right\}. \tag{30}$$

Let  $\Phi(t) = \int_0^t u^2(u_x^2 - u^2)(q(x_0, s), s) ds - u_0 u_{0x}(x_0)$ ; then (28) is an equation of type (29) with  $C_0 = a^2/18$ . The proof is complete by applying Lemma 5.  $\square$

When we change the signs of  $u_0(x_0)$  and  $y_0(x)$  in Theorem 4, similarly, we have the following blow-up criterion.

**Theorem 6.** *If  $a > 3b$ , suppose that  $u_0 \in H^s(\mathbb{R})$ ,  $s > (3/2)$ , and there exists a  $x_0 \in \mathbb{R}$  such that  $u_0(x_0) \leq 0$  and  $y_0(x_0) = (1 - \partial_x^2)u_0(x_0) = 0$ ,*

$$\begin{aligned} y_0(x) & \leq 0 (\neq 0) \quad \text{for } x \in (-\infty, x_0), \\ y_0(x) & \geq 0 (\neq 0) \quad \text{for } x \in (x_0, \infty). \end{aligned} \tag{31}$$

*Then the corresponding solution  $u(x, t)$  to the modified Novikov equation (1) with  $u_0(x)$  as the initial datum blows up in finite time.*

**Conflict of Interests**

The authors declare that there is no conflict of interests regarding the publication of this paper.

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