



## Regular article

## Stability of 3D perturbations to 2D Navier–Stokes flows with vertical dissipation

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## ABSTRACT

The stability of 3D perturbations to 2D Navier–Stokes solutions is a fundamental problem with significant mathematical and physical implications. Stability has been established for the 3D Navier–Stokes equations with full dissipation or anisotropic dissipation in two spatial directions. This paper intends to understand the stability problem under the situation when dissipation is present only in one direction. We establish stability results in the case where dissipation acts only in the vertical direction and on the vertical average of the solution.

## 1. Introduction

Many real-world flows, like in the atmosphere and oceans, are effectively two-dimensional (2D) due to strong stratification or rotation (see, e.g. [1,2]). Understanding the stability of these 2D flows under 3D perturbations is crucial for explaining the emergence and persistence of 2D behavior in such systems. Mathematically the 3D incompressible Navier–Stokes equations are extremely difficult to analyze. If 2D flows can be shown to be stable under 3D perturbations, this justifies using simplified 2D models in place of full 3D dynamics in certain regimes.

This type of stability problem has been investigated by several authors (see, e.g. [3–5]). The work of Ponce, Racke, Sideris, and Titi showed that any 2D solution in the class  $L^1 \cap H^1$  of the 2D Navier–Stokes is stable under 3D  $H^1$  perturbations [5]. All these previous results rely on full dissipation in the 3D Navier–Stokes equations. Our main objective is to relax this requirement and still establish stability. Prior work has succeeded in proving stability when full dissipation is reduced to anisotropic dissipation in two directions [4,6–8]. This paper focuses on the case with dissipation only in one direction, partly motivated by applications in physical fluid systems.

Consider the 2D Navier–Stokes system in the 2D periodic box  $\mathbb{T}^2 = [0, 1]^2$ ,

$$\begin{cases} U_t + (U \cdot \nabla)U + \nabla q = \nu \Delta U, \\ \nabla \cdot U = 0, \\ U(t=0) = U_0. \end{cases} \quad (1.1)$$

It is well-known that, for any  $U_0 \in H^k(\mathbb{T}^2)$  with  $k \geq 0$ , (1.1) has a unique global solution  $U$  satisfying

$$U \in C([0, \infty); H^k(\mathbb{T}^2)) \cap L^2(0, \infty; H^{k+1}(\mathbb{T}^2)).$$

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In addition, if  $U_0$  has mean zero,

$$\iint U_0 dx dy = 0,$$

then there exists a constant  $a = a(\nu) > 0$  such that

$$\|U(t)\|_{H^k} \leq C e^{-at} \|U_0\|_{H^k} \leq M e^{-at}, \quad k \leq 4. \quad (1.2)$$

Our objective is to study the stability of 3D perturbations near this 2D solution. More precisely, we analyze the 3D Navier–Stokes equations that govern perturbations around  $U$ ,

$$\begin{cases} \partial_t u + (u + U) \cdot \nabla u + u \cdot \nabla U = -\nabla p + \nu \partial_3^2 u + \nu \Delta \bar{u}, & x \in \mathbb{T}^3, \quad t > 0, \\ \nabla \cdot u = 0, \\ u(x, 0) = u_0(x), \end{cases} \quad (1.3)$$

where the spatial domain is taken to be the 3D periodic box  $\mathbb{T}^3 = [0, 1]^3$ ,  $u$  denotes the velocity field,  $p$  the pressure and  $\nu$  the viscosity. Here  $\nu \partial_3^2 u$  is dissipation acting only in the vertical direction, where  $\bar{u}$  is defined as

$$\bar{u}(x_1, x_2) = \frac{1}{|\mathbb{T}|} \int_{\mathbb{T}} u(x_1, x_2, x_3) dx_3.$$

This study is motivated by turbulence models involving anisotropic viscosity, where vertical viscosity is enhanced due to strong stratification, while horizontal mixing occurs on a larger scale (see, e.g., [9]).

We establish the following theorem.

**Theorem 1.1.** *Consider (1.3) with  $\nu > 0$ . Assume  $u_0 \in H^3(\mathbb{T}^3)$  with  $\nabla \cdot u_0 = 0$ . There exists a suitable constant  $C_0(\nu, \|U_0\|_{H^3}) > 0$  such that, if*

$$\|u_0\|_{H^3} \leq C_0 \nu,$$

*then (1.3) has a unique global solution  $u \in L^\infty([0, \infty); H^3(\mathbb{T}^3))$ . Furthermore,  $u$  remains uniformly bounded. That is, there is  $C_1(\nu, \|U_0\|_{H^3}, C_0)$ , such that for any  $t > 0$ ,*

$$\|u(\cdot, t)\|_{H^3(\mathbb{T}^3)} \leq C_1(\nu, \|U_0\|_{H^3}, C_0). \quad (1.4)$$

## 2. Proof of Theorem 1.1

We prove Theorem 1.1 in this section. As a preparatory step, we first state two tool lemmas. We express

$$f = \bar{f} + \tilde{f},$$

where  $\bar{f}$  denotes the vertical average of  $f$  and  $\tilde{f}$  denotes the oscillation part,

$$\bar{f}(x_1, x_2) = \int_{\mathbb{T}} f(x_1, x_2, x_3) dx_3 \quad \text{and} \quad \tilde{f} = f - \bar{f}. \quad (2.1)$$

The following lemma outlines some basic properties of  $\bar{f}$  and  $\tilde{f}$ .

**Lemma 2.1.** *Let  $\bar{f}$  and  $\tilde{f}$  be defined as in (2.1). The following properties hold:*

(1) *The average and oscillation commute with any derivatives, namely*

$$\overline{\partial_i f} = \partial_i \bar{f}, \quad \partial_i \tilde{f} = \partial_i \tilde{f}.$$

*As a special consequence, if  $u$  is divergence-free,  $\nabla \cdot u = 0$ , then  $\bar{u}$  and  $\tilde{u}$  are also divergence-free,  $\nabla \cdot \bar{u} = 0$  and  $\nabla \cdot \tilde{u} = 0$ .*

(2)  *$\bar{f}$  and  $\tilde{f}$  are orthogonal. More precisely, for  $f \in H^k(\mathbb{T}^3)$  with any non-negative integer  $k$ , the inner product of  $\bar{f}$  and  $\tilde{f}$  in  $H^k$  is zero,*

$$\int_{\mathbb{T}^3} \partial^\alpha \bar{f}(x) \partial^\alpha \tilde{f}(x) dx = 0$$

*for any multi-index  $\alpha$  with  $|\alpha| \leq k$ . As a special consequence,*

$$\|f\|_{H^k}^2 = \|\bar{f}\|_{H^k}^2 + \|\tilde{f}\|_{H^k}^2$$

*and*

$$\|\tilde{f}\|_{H^k} \leq \|f\|_{H^k} \quad \text{and} \quad \|\tilde{f}\|_{H^k} \leq \|f\|_{H^k}.$$

(3)  *$\tilde{f}$  satisfies the strong Poincaré type inequality*

$$\|\tilde{f}\|_{L^2} \leq C \|\partial_3 \tilde{f}\|_{L^2} \quad (2.2)$$

Several versions of [Lemma 2.1](#) for different types of spatial domains can be found in [\[10–13\]](#).

Throughout this paper, we adopt the following notation for anisotropic Lebesgue spaces

$$\|f\|_{L_{x_1}^p L_{x_2}^q L_{x_3}^r} := \| \| \| f \|_{L_{x_1}^p(\mathbb{T})} \|_{L_{x_2}^q(\mathbb{T})} \|_{L_{x_3}^r(\mathbb{T})}.$$

The subscripts  $x_1$ ,  $x_2$  and  $x_3$  indicate in which direction the norm is taken. The notation for anisotropic Lebesgue and Sobolev norms should be understood similarly.

The following lemma provides an anisotropic upper bound on the integral of triple products, which is particularly useful when estimating the nonlinear terms of PDEs with anisotropic dissipation.

**Lemma 2.2.** *Assume that  $f, \partial_1 f, g, \partial_2 g, h, \partial_3 h$  are all in  $L^2(\mathbb{T}^3)$ . Then, for a constant  $C$  independent of  $f, g$  and  $h$ ,*

$$\begin{aligned} \left| \int_{\mathbb{T}^3} f(x) g(x) h(x) dx \right| &\leq C \|f\|_{L^2}^{\frac{1}{2}} (\|f\|_{L^2} + \|\partial_1 f\|_{L^2})^{\frac{1}{2}} \|g\|_{L^2}^{\frac{1}{2}} (\|g\|_{L^2} + \|\partial_2 g\|_{L^2})^{\frac{1}{2}} \\ &\quad \times \|h\|_{L^2}^{\frac{1}{2}} (\|h\|_{L^2} + \|\partial_3 h\|_{L^2})^{\frac{1}{2}}. \end{aligned}$$

As a special consequence, if  $h$  just has the vertical oscillation part, then

$$\begin{aligned} \left| \int_{\mathbb{T}^3} f(x) g(x) \tilde{h}(x) dx \right| &\leq C \|f\|_{L^2}^{\frac{1}{2}} (\|f\|_{L^2} + \|\partial_1 f\|_{L^2})^{\frac{1}{2}} \|g\|_{L^2}^{\frac{1}{2}} (\|g\|_{L^2} + \|\partial_2 g\|_{L^2})^{\frac{1}{2}} \\ &\quad \times \|\tilde{h}\|_{L^2}^{\frac{1}{2}} \|\partial_3 \tilde{h}\|_{L^2}^{\frac{1}{2}}. \end{aligned}$$

We will also use the following 2D version of the anisotropic upper bound.

**Lemma 2.3.** *Assume that  $f, \partial_1 f, g, \partial_2 g, h$  are all in  $L^2(\mathbb{T}^2)$ . Then, for a constant  $C$  independent of  $f, g$  and  $h$ ,*

$$\left| \int_{\mathbb{T}^2} f(x) g(x) h(x) dx \right| \leq C \|f\|_{L^2}^{\frac{1}{2}} (\|f\|_{L^2} + \|\partial_1 f\|_{L^2})^{\frac{1}{2}} \|g\|_{L^2}^{\frac{1}{2}} (\|g\|_{L^2} + \|\partial_2 g\|_{L^2})^{\frac{1}{2}} \|h\|_{L^2}.$$

**Proof of Theorem 1.1.** We first take the  $L^2$ -inner product of [\(1.3\)](#) with  $u$  to obtain

$$\frac{1}{2} \frac{d}{dt} \|u(t)\|_{L^2}^2 + \nu \|\partial_3 u(t)\|_{L^2}^2 + \nu \|\nabla \tilde{u}\|_{L^2}^2 \leq \|\nabla U\|_{L^\infty} \|u\|_{L^2}^2. \quad (2.3)$$

Let  $\omega = \nabla \times u$  be the vorticity and  $\Omega = \nabla \times U$

$$\partial_t \omega + (u + U) \cdot \nabla \omega + u \cdot \nabla \Omega - (\Omega + \omega) \cdot \nabla u - \omega \cdot \nabla U - \nu \partial_3^2 \omega - \nu \Delta \tilde{\omega} = 0. \quad (2.4)$$

Due to the equivalence of the two norms  $\|u\|_{H^3}$  and  $\|u\|_{L^2} + \|D^3 u\|_{L^2}$ , it suffices to estimate  $\|D^3 u\|_{L^2}$ . We recall that  $\|D^3 u\|_{L^2}$  is comparable to  $\|\Delta \omega\|_{L^2}$ . Applying  $\Delta$  to [\(2.4\)](#) and taking the inner product with  $\Delta \omega$ , we have

$$\frac{1}{2} \frac{d}{dt} \|\Delta \omega\|_{L^2}^2 + \nu \|\partial_3 \Delta \omega\|_{L^2}^2 + \nu \|\nabla \Delta \tilde{\omega}\|_{L^2}^2 = I_1 + I_2 + I_3, \quad (2.5)$$

where

$$\begin{aligned} I_1 &= - \int \Delta(u \cdot \nabla \omega) \cdot \Delta \omega dx, \quad I_2 = \int \Delta(\omega \cdot \nabla u) \cdot \Delta \omega dx, \\ I_3 &= - \int \Delta(U \cdot \nabla \omega + u \cdot \nabla \Omega - \Omega \cdot \nabla u - \omega \cdot \nabla U) \cdot \Delta \omega dx. \end{aligned}$$

Due to  $\nabla \cdot u = 0$ ,

$$I_1 = - \int \Delta u \cdot \nabla \omega \cdot \Delta \omega dx - 2 \int \nabla u \cdot \nabla \nabla \omega \cdot \Delta \omega dx \quad (2.6)$$

and

$$I_2 = \int \Delta \omega \cdot \nabla u \cdot \Delta \omega dx + 2 \int \nabla \omega \cdot \nabla \nabla u \cdot \Delta \omega dx + \int \omega \cdot \nabla \Delta u \cdot \Delta \omega dx. \quad (2.7)$$

Moreover,

$$\begin{aligned} I_3 &= - \int \Delta U \cdot \nabla \omega \cdot \Delta \omega dx - 2 \int \nabla U \cdot \nabla \nabla \omega \cdot \Delta \omega dx \\ &\quad - \int \Delta(u \cdot \nabla \Omega - \Omega \cdot \nabla u - \omega \cdot \nabla U) \cdot \Delta \omega dx. \end{aligned} \quad (2.8)$$

We first bound the terms in  $I_3$ . By Hölder's and Sobolev's inequalities,

$$\begin{aligned} - \int \Delta U \cdot \nabla \omega \cdot \Delta \omega dx &\leq \|\Delta U\|_{L^3} \|\nabla \omega\|_{L^6} \|\Delta \omega\|_{L^2} \leq C \|U\|_{H^3} \|\Delta \omega\|_{L^2}^2, \\ - 2 \int \nabla U \cdot \nabla \nabla \omega \cdot \Delta \omega dx &\leq \|\nabla U\|_{L^\infty} \|\Delta \omega\|_{L^2}^2 \leq C \|U\|_{H^3} \|\Delta \omega\|_{L^2}^2. \end{aligned}$$

After applying Leibniz's rule for differentiation, along with Hölder's and Sobolev inequalities, we obtain

$$\begin{aligned}
& - \int \Delta(u \cdot \nabla \Omega - \Omega \cdot \nabla u - \omega \cdot \nabla U) \cdot \Delta \omega \, dx \\
& \leq \|\Delta u\|_{L^6} \|\nabla \Omega\|_{L^3} \|\Delta \omega\|_{L^2} + 2\|\nabla u\|_{L^\infty} \|\Delta \Omega\|_{L^2} \|\Delta \omega\|_{L^2} \\
& \quad + \|u\|_{L^\infty} \|U\|_{H^4} \|\Delta \omega\|_{L^2} + \|\Omega\|_{L^\infty} \|\Delta \omega\|_{L^2}^2 \\
& \quad + \|\nabla U\|_{L^\infty} \|\Delta \omega\|_{L^2}^2 + \|\nabla \omega\|_{L^6} \|\Delta U\|_{L^3} \|\Delta \omega\|_{L^2} \\
& \leq C \|U\|_{H^4} \|\Delta \omega\|_{L^2}^2.
\end{aligned}$$

That is,

$$|I_3| \leq C \|U\|_{H^4} \|\Delta \omega\|_{L^2}^2. \quad (2.9)$$

For  $I_1$  and  $I_2$ , we will use the following estimates to bound all these terms.

**Proposition 2.4.** Assume that  $f, g, h$  are all elements of matrix  $(\partial_j u^k)_{3 \times 3}$ . Then, for a constant  $C$  independent of  $f, g$  and  $h$ ,

$$\begin{aligned}
& \left| \int_{\mathbb{T}^3} f(x) \partial_{lj} g(x) \partial_{ik} h(x) \, dx \right| + \left| \int_{\mathbb{T}^3} \partial_l f(x) \partial_j g(x) \partial_{ik} h(x) \, dx \right| \\
& \leq C \|\omega\|_{H^2} (\|\partial_3 \Delta \omega\|_{L^2}^2 + \|\nabla \Delta \bar{\omega}\|_{L^2}^2).
\end{aligned}$$

**Proof.** We first write

$$f = \bar{f} + \tilde{f}, \quad g = \bar{g} + \tilde{g} \quad \text{and} \quad h = \bar{h} + \tilde{h}.$$

The integral can be written

$$\begin{aligned}
& \left| \int_{\mathbb{T}^3} f(x) \partial_{lj} g(x) \partial_{ik} h(x) \, dx \right| + \left| \int_{\mathbb{T}^3} \partial_l f(x) \partial_j g(x) \partial_{ik} h(x) \, dx \right| \\
& \leq \int_{\mathbb{T}^3} \left[ |f(x) \partial_{lj} g(x)| + |\partial_l f(x) \partial_j g(x)| \right] |\partial_{ik} h(x)| \, dx \\
& \leq E_1 + E_2 + E_3 + E_4 + E_5,
\end{aligned}$$

where

$$\begin{aligned}
E_1 &= \int (|\partial_l \tilde{f} \partial_j \tilde{g}| + |\tilde{f} \partial_{lj} \tilde{g}|) |\partial_{ki} \tilde{h}| \, dx, & E_2 &= \int (|\partial_l \bar{f} \partial_j \tilde{g}| + |\tilde{f} \partial_{lj} \tilde{g}|) |\partial_{ki} \tilde{h}| \, dx, \\
E_3 &= \int (|\partial_l \tilde{f} \partial_j \bar{g}| + |\tilde{f} \partial_{lj} \bar{g}|) |\partial_{ki} \tilde{h}| \, dx, & E_4 &= \int (|\partial_l \tilde{f} \partial_j \tilde{g}| + |\tilde{f} \partial_{lj} \tilde{g}|) |\partial_{ki} \bar{h}| \, dx, \\
E_5 &= \int (|\partial_l \bar{f} \partial_j \bar{g}| + |\bar{f} \partial_{lj} \bar{g}|) |\partial_{ki} \bar{h}| \, dx.
\end{aligned}$$

We will use Lemma 2.2 and then Lemma 2.1 to obtain bounds for these terms.

$$\begin{aligned}
|E_1| &\leq C \|\partial_l \tilde{f}\|_{L^2}^{\frac{1}{2}} \|\partial_l \tilde{f}\|_{H^1}^{\frac{1}{2}} \|\partial_j \tilde{g}\|_{L^2}^{\frac{1}{2}} \|\partial_j \tilde{g}\|_{H^1}^{\frac{1}{2}} \|\partial_{ki} \tilde{h}\|_{L^2}^{\frac{1}{2}} \|\partial_{3ki} \tilde{h}\|_{L^2}^{\frac{1}{2}} \\
&\quad + \|\tilde{f}\|_{L^\infty} \|\partial_{lj} \tilde{g}\|_{L^2} \|\partial_{ki} \tilde{h}\|_{L^2} \\
&\leq C \|\partial_l \tilde{f}\|_{H^1} \|\partial_{3j} \tilde{g}\|_{H^1} \|\partial_{3ki} \tilde{h}\|_{L^2} + C \|\tilde{f}\|_{H^2} \|\partial_{3lj} \tilde{g}\|_{L^2} \|\partial_{3ki} \tilde{h}\|_{L^2} \\
&\leq C \|\omega\|_{H^2} (\|\partial_3 \Delta \omega\|_{L^2}^2 + \|\nabla \Delta \bar{\omega}\|_{L^2}^2),
\end{aligned}$$

and

$$\begin{aligned}
|E_2| &\leq C \|\partial_l \bar{f}\|_{L^2}^{\frac{1}{2}} \|\partial_l \bar{f}\|_{H^1}^{\frac{1}{2}} \|\partial_j \tilde{g}\|_{L^2}^{\frac{1}{2}} \|\partial_j \tilde{g}\|_{H^1}^{\frac{1}{2}} \|\partial_{ki} \tilde{h}\|_{L^2}^{\frac{1}{2}} \|\partial_{3ki} \tilde{h}\|_{L^2}^{\frac{1}{2}} \\
&\quad + \|\tilde{f}\|_{L^\infty} \|\partial_{lj} \tilde{g}\|_{L^2} \|\partial_{ki} \tilde{h}\|_{L^2} \\
&\leq C \|\partial_l \bar{f}\|_{H^1} \|\partial_{3j} \tilde{g}\|_{H^1} \|\partial_{3ki} \tilde{h}\|_{L^2} + C \|\tilde{f}\|_{L^\infty} \|\partial_{lj} \tilde{g}\|_{L^2} \|\partial_{ki} \tilde{h}\|_{L^2} \\
&\leq C \|\omega\|_{H^2} (\|\partial_3 \Delta \omega\|_{L^2}^2 + \|\nabla \Delta \bar{\omega}\|_{L^2}^2).
\end{aligned}$$

And also

$$\begin{aligned}
|E_3| &\leq C \|\partial_l \tilde{f}\|_{L^2}^{\frac{1}{2}} \|\partial_l \tilde{f}\|_{H^1}^{\frac{1}{2}} \|\partial_j \bar{g}\|_{L^2}^{\frac{1}{2}} \|\partial_j \bar{g}\|_{H^1}^{\frac{1}{2}} \|\partial_{ki} \tilde{h}\|_{L^2}^{\frac{1}{2}} \|\partial_{3ki} \tilde{h}\|_{L^2}^{\frac{1}{2}} \\
&\quad + \|\tilde{f}\|_{L^\infty} \|\partial_{lj} \bar{g}\|_{L^2} \|\partial_{ki} \tilde{h}\|_{L^2} \\
&\leq C \|\partial_{3l} \tilde{f}\|_{H^1} \|\partial_j \bar{g}\|_{H^1} \|\partial_{3ki} \tilde{h}\|_{L^2} + C \|\partial_{3l} \tilde{f}\|_{H^2} \|\partial_{lj} \bar{g}\|_{L^2} \|\partial_{3ki} \tilde{h}\|_{L^2} \\
&\leq C \|\omega\|_{H^2} (\|\partial_3 \Delta \omega\|_{L^2}^2 + \|\nabla \Delta \bar{\omega}\|_{L^2}^2),
\end{aligned}$$

and

$$\begin{aligned} |E_4| &\leq C \|\partial_l \tilde{f}\|_{L^2}^{\frac{1}{4}} \|\partial_l \tilde{f}\|_{H^1}^{\frac{3}{4}} \|\partial_j \tilde{g}\|_{L^2}^{\frac{1}{4}} \|\partial_j \tilde{g}\|_{H^1}^{\frac{3}{4}} \|\partial_{ki} \tilde{h}\|_{L^2} + \|\tilde{f}\|_{L^\infty} \|\partial_{lj} \tilde{g}\|_{L^2} \|\partial_{ki} \tilde{h}\|_{L^2} \\ &\leq C \|\partial_{3l} \tilde{f}\|_{H^1} \|\partial_{3j} \tilde{g}\|_{H^1} \|\partial_{ki} \tilde{h}\|_{L^2} + C \|\partial_3 \tilde{f}\|_{H^2} \|\partial_{3lj} \tilde{g}\|_{L^2} \|\partial_{ki} \tilde{h}\|_{L^2} \\ &\leq C \|\omega\|_{H^2} (\|\partial_3 \Delta \omega\|_{L^2}^2 + \|\nabla \Delta \tilde{\omega}\|_{L^2}^2). \end{aligned}$$

By 2.3, we have

$$\begin{aligned} |E_5| &\leq C \|\partial_l \tilde{f}\|_{L^2}^{\frac{1}{2}} \|\partial_l \tilde{f}\|_{H^1}^{\frac{1}{2}} \|\partial_j \tilde{g}\|_{L^2}^{\frac{1}{2}} \|\partial_j \tilde{g}\|_{H^1}^{\frac{1}{2}} \|\partial_{ki} \tilde{h}\|_{L^2} + \|\tilde{f}\|_{L^\infty} \|\partial_{lj} \tilde{g}\|_{L^2} \|\partial_{ki} \tilde{h}\|_{L^2} \\ &\leq C \|\tilde{\omega}\|_{H^2} \|\nabla \Delta \tilde{\omega}\|_{L^2}^2. \end{aligned}$$

This completes the proof of Proposition 2.4.  $\square$

We continue the proof of Theorem 1.1. By Proposition 2.4,  $I_1$  and  $I_2$  can be bounded by

$$|I_1| + |I_2| \leq C \|\omega\|_{H^2} (\|\partial_3 \Delta \omega\|_{L^2}^2 + \|\nabla \Delta \tilde{\omega}\|_{L^2}^2). \quad (2.10)$$

Inserting the bounds (2.9) and (2.10) in (2.5) yields

$$\begin{aligned} &\frac{1}{2} \frac{d}{dt} \|\Delta \omega\|_{L^2}^2 + \nu \|\partial_3 \Delta \omega\|_{L^2}^2 + \nu \|\nabla \Delta \tilde{\omega}\|_{L^2}^2 \\ &\leq C \|\omega\|_{H^2} (\|\partial_3 \Delta \omega\|_{L^2}^2 + \|\nabla \Delta \tilde{\omega}\|_{L^2}^2) + C \|U\|_{H^4} \|\Delta \omega\|_{L^2}^2. \end{aligned} \quad (2.11)$$

Adding (2.3) and (2.11) yields

$$\frac{d}{dt} \|u\|_{H^3}^2 + (2\nu - C_2 \|u\|_{H^3}) (\|\partial_3 u\|_{H^3}^2 + \nu \|\nabla \tilde{u}\|_{H^3}^2) \leq C_3 \|U\|_{H^4} \|u\|_{H^3}^2. \quad (2.12)$$

We use the bootstrapping argument to show that, if the initial data  $u_0$  satisfies

$$\|u_0\|_{H^3} \leq C_2^{-1} e^{-C_3 M/(2a)} \nu,$$

then (1.3) has a unique global solution  $u$  satisfying (1.4). In fact, if we make the ansatz that

$$2\nu - C_2 \|u(t)\|_{H^3} \geq 0 \quad \text{or} \quad \|u(t)\|_{H^3} \leq 2C_2^{-1} \nu.$$

Then, by applying Gronwall's inequality and the bound in (1.2), we obtain from (2.12) that

$$\|u(t)\|_{H^3}^2 \leq \|u_0\|_{H^3}^2 e^{C_3 \int_0^t \|U(\tau)\|_{H^4} d\tau} \leq \|u_0\|_{H^3}^2 e^{C_3 M/a} \leq (C_2^{-1} \nu)^2$$

or

$$\|u(t)\|_{H^3} \leq C_2^{-1} \nu. \quad (2.13)$$

The bootstrapping argument then implies that (2.13) holds for all  $t > 0$ . This completes the proof of Theorem 1.1.  $\square$

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## Data availability

No data was used for the research described in the article.

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