

# KAM for NLS with harmonic potential

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(Joint work with Benoît Grébert)

**The equation** : We consider the nonlinear Schrödinger equation with harmonic potential

$$\begin{cases} i\partial_t u + \partial_x^2 u - x^2 u = |u|^2 u, & (t, x) \in \mathbb{R} \times \mathbb{R}, \\ u(0, x) = u_0(x), \end{cases}$$

**Physical interest** : Model for Bose-Einstein condensates.

**Litterature** : R. Fukuizumi, K. Yajima - G. Zang, R. Carles, ...

**Motivation** : The equation is globally well-posed in the energy space.

Let  $p > 1$ . Behaviour of

$$\|u(t)\|_{\mathcal{H}^p(\mathbb{R})}$$

when  $t \rightarrow \infty$  ?

## Introduction

**Difficulty** : Spectral structure of  $-\partial_x^2 + x^2$  : the eigenvalues are  $\lambda_j = 2j - 1$ ,  $j \geq 1$  and are **completely resonant** in the sense that there exist many  $k \in \mathbb{N}^\infty$  of finite length so that  $k \cdot \lambda = \sum_{j \geq 1} k_j \lambda_j = 0$ .

Therefore, we consider

$$\begin{cases} i\partial_t u + \partial_x^2 u - x^2 u + \varepsilon V(x)u = \varepsilon |u|^2 u, & (t, x) \in \mathbb{R} \times \mathbb{R}, \\ u(0, x) = u_0(x). \end{cases} \quad (\text{NLS})$$

where  $\varepsilon \ll 1$  and  $V \in \mathcal{S}(\mathbb{R}, \mathbb{R})$ .

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where  $\varepsilon \ll 1$  and  $V \in \mathcal{S}(\mathbb{R}, \mathbb{R})$ .

**Aim** :

Construction of quasi-periodic in time solutions to (NLS) for typical  $V$ . In particular, the  $\mathcal{H}^p$  norm of these solutions will be bounded.

**Quasi-periodicity** :

$f : \mathbb{R} \rightarrow \mathbb{C}$ ,  $t \mapsto f(t)$  is quasi-periodic if there exist  $n \geq 1$ , a periodic function  $U : \mathbb{T}^n \rightarrow \mathbb{C}$  and  $(\omega_1, \dots, \omega_n) \in \mathbb{R}^n$  so that for all  $t \in \mathbb{R}$ ,  $f(t) = U(\omega_1 t, \dots, \omega_n t)$ .

# Introduction

Denote by  $A = -\partial_x^2 + x^2 - \varepsilon V(x)$ .

- ▶ There exists an Hilbertian basis of  $L^2(\mathbb{R})$  of eigenfunctions  $(\varphi_j)_{j \geq 1}$  of  $A$

$$A \varphi_j = \lambda_j \varphi_j, \quad \text{with } \lambda_j \sim 2j - 1 \quad \text{and} \quad \varphi_j \sim h_j,$$

where  $(h_j)_{j \geq 1}$  are the Hermite functions.

- ▶ For  $p \geq 0$ , we define the Sobolev spaces

$$\mathcal{H}^p = \mathcal{H}^p(\mathbb{R}) = \{u \in \mathcal{S}'(\mathbb{R}) : A^{p/2} u \in L^2(\mathbb{R})\}.$$

- ▶ Let  $u = \sum_{j \geq 1} w_j \varphi_j \in \mathcal{H}^p$ , then

$$\|u\|_{\mathcal{H}^p}^2 \sim \sum_{j \geq 1} j^p |w_j|^2.$$

## The result on the nonlinear equation

Our main result concerning the nonlinear Schrödinger equation (*NLS*) is the following

### Theorem (B. Grébert - LT)

Let  $n \geq 1$  be an integer. Then there exist a large class of  $V \in \mathcal{S}(\mathbb{R})$  and  $\varepsilon_0 > 0$  such that for each  $\varepsilon < \varepsilon_0$  the solution of (*NLS*) with initial datum

$$u_0(x) = \sum_{j=1}^n I_j^{1/2} e^{i\theta_j} \varphi_j(x), \quad (IC)$$

with  $(I_1, \dots, I_n) \subset (0, 1]^n$  and  $(\theta_1, \dots, \theta_n) \in \mathbb{T}^n$ , is quasi-periodic.

- ▶ When  $\theta$  covers  $\mathbb{T}^n$ , the set of solutions of (*NLS*) with initial condition (*IC*) covers a  $n$  dimensional torus which is invariant by (*NLS*).
- ▶ Our result also applies to any non linearity  $\pm|u|^{2m}u$ , with  $m \geq 1$ .
- ▶ The set  $\{1, \dots, n\}$  can be replaced by any finite set of  $\mathbb{N}$  of cardinality  $n$ .

## The more precise result

Let  $n \geq 1$  and  $\Pi = [-1, 1]^n$ . There exist  $(f_k)_{1 \leq k \leq n} \in \mathcal{S}(\mathbb{R})$  such that if we set

$$V(x, \xi) = \sum_{j=1}^n \xi_k \tilde{f}_k(x),$$

with  $\xi = (\xi_1, \dots, \xi_n) \in \Pi$  we have

### Theorem (B. Grébert - LT)

Let  $n \geq 1$  be an integer. Then there exists a **Cantor set**  $\tilde{\Pi} \subset \Pi$  of full measure and  $\varepsilon_0 > 0$  so that for each  $\varepsilon < \varepsilon_0$  and  $\xi \in \tilde{\Pi}$  the solution of (NLS) with initial datum

$$u_0(x) = \sum_{j=1}^n l_j^{1/2} e^{i\theta_j} \varphi_j(\xi, x), \quad (\text{IC})$$

with  $(l_1, \dots, l_n) \subset (0, 1]^n$  and  $(\theta_1, \dots, \theta_n) \in \mathbb{T}^n$ , is quasi-periodic.

The solution  $u$  reads

$$u(t, x) = \sum_{j=1}^n (l_j + y_j(t))^{\frac{1}{2}} e^{i\theta_j(t)} \varphi_j(\xi, x) + \sum_{j \geq 1} z_j(t) \varphi_{j+n}(\xi, x).$$

## Some previous results

- ▶ S.B. Kuksin '93 and J. Pöschel '96 :  
Case  $\lambda_j \sim cj^d$  with  $d > 1$  or with smoothing nonlinearity.
- ▶ S.B. Kuksin & J. Pöschel '96 :  
NLS on  $[0, \pi]$  without external parameter  $\xi$ .
- ▶ H. Eliasson & S.B. Kuksin '08 :  
NLS on  $\mathbb{T}^d$  with  $V \star u$  perturbation.
- ▶ B. Grébert, R. Imekraz & E. Paturel '08 :  
Normal forms technics.

### Key ingredient

Use of dispersive properties of the Hermite functions

$$\forall r > 2, \exists \beta(r) > 0, \|h_j\|_{L^r(\mathbb{R})} \leq C_r j^{-\beta(r)} \|h_j\|_{L^2(\mathbb{R})}.$$

(K. Yajima-G. Zhang '01)



## The symplectic structure

We consider the (complex) Hilbert space  $\ell_p^2$  defined by the norm

$$\|w\|_p^2 = \sum_{j \geq 1} |w_j|^2 j^p.$$

We define the symplectic phase space  $\mathcal{P}^p$  as

$$\mathcal{P}^p = \mathbb{T}^n \times \mathbb{R}^n \times \ell_p^2 \times \ell_p^2 \ni (\theta, y, z, \bar{z}),$$

equipped with the canonic symplectic structure

$$\sum_{j=1}^n d\theta_j \wedge dy_j + i \sum_{j \geq 1} dz_j \wedge d\bar{z}_j.$$

## The Hamiltonian formulation

Let  $p \geq 2$  and  $n \geq 1$ . Fix  $(l_1, \dots, l_n) \in ]0, 1]^n$  and write

$$\begin{cases} u(x) = \sum_{j=1}^n (y_j + l_j)^{\frac{1}{2}} e^{i\theta_j} \varphi_j(\xi, x) + \sum_{j \geq 1} z_j \varphi_{j+n}(\xi, x), \\ \bar{u}(x) = \sum_{j=1}^n (y_j + l_j)^{\frac{1}{2}} e^{-i\theta_j} \varphi_j(\xi, x) + \sum_{j \geq 1} \bar{z}_j \varphi_{j+n}(\xi, x), \end{cases}$$

where  $(\theta, y, z, \bar{z}) \in \mathcal{P}^p = \mathbb{T}^n \times \mathbb{R}^n \times \ell_p^2 \times \ell_p^2$  are regarded as variables. In this setting equation (NLS) reads as the Hamilton equations associated to the Hamiltonian function  $H = N + P$  where

$$N = \sum_{j=1}^n \lambda_j(\xi) y_j + \sum_{j \geq 1} \Lambda_j(\xi) z_j \bar{z}_j,$$

$\Lambda_j(\xi) = \lambda_{j+n}(\xi)$  and

$$P(\theta, y, z, \bar{z}) = \frac{\varepsilon}{2} \int_{\mathbb{R}} \left| \sum_{j=1}^n (y_j + l_j)^{\frac{1}{2}} e^{i\theta_j} \varphi_j(\xi, x) + \sum_{j \geq 1} z_j \varphi_{j+n}(\xi, x), \right. \\ \left. \sum_{j=1}^n (y_j + l_j)^{\frac{1}{2}} e^{-i\theta_j} \varphi_j(\xi, x) + \sum_{j \geq 1} \bar{z}_j \varphi_{j+n}(\xi, x) \right|^4 dx.$$

## The Hamiltonian formulation

In other words, we obtain the following system, which is equivalent to (NLS)

$$\begin{cases} \dot{\theta}_j = \frac{\partial H}{\partial y_j}, & \dot{y}_j = -\frac{\partial H}{\partial \theta_j}, & 1 \leq j \leq n \\ \dot{z}_j = i \frac{\partial H}{\partial \bar{z}_j}, & \dot{\bar{z}}_j = -i \frac{\partial H}{\partial z_j}, & j \geq 1 \\ (\theta_j(0), y_j(0), z_j(0), \bar{z}_j(0)) = (\theta_j^0, y_j^0, z_j^0, \bar{z}_j^0), \end{cases}$$

where the initial conditions are chosen so that

$$u_0(x) = \sum_{j=1}^n (I_j + y_j^0)^{\frac{1}{2}} e^{i\theta_j^0} \varphi_j(\varepsilon, x) + \sum_{j \geq 1} z_j^0 \varphi_{j+n}(\xi, x).$$

## The general KAM strategy

Consider a smooth function  $F = F(\theta, y, z, \bar{z})$ , and denote by  $X_F^t$  the flow of the equation

$$\begin{cases} \dot{\theta}_j = \frac{\partial F}{\partial y_j}, & \dot{y}_j = -\frac{\partial F}{\partial \theta_j}, & 1 \leq j \leq n \\ \dot{z}_j = i \frac{\partial F}{\partial \bar{z}_j}, & \dot{\bar{z}}_j = -i \frac{\partial F}{\partial z_j}, & j \geq 1 \\ (\theta_j(0), y_j(0), z_j(0), \bar{z}_j(0)) = (\theta_j^0, y_j^0, z_j^0, \bar{z}_j^0). \end{cases}$$

If  $F$  is small enough,  $X_F^1$  is well defined and we have

- (i) The application  $X_F^1$  preserves the symplectic structure.
- (ii) For any smooth  $G$  we have

$$\frac{d}{dt}(G \circ X_F^t) = \{G, F\} \circ X_F^t.$$

### Idea of the KAM iteration

Find  $F$  so that  $H \circ X_F^1$  is in a better form than  $H = N + P$ .

## The general KAM strategy

Write the expansion

$$P = \sum_{m,q,\bar{q}} \sum_{k \in \mathbb{Z}^n} P_{kmq\bar{q}} e^{ik \cdot \theta} y^m z^q \bar{z}^{\bar{q}},$$

We then consider the second order Taylor approximation of  $P$  which is

$$R = \sum_{2|m|+|q+\bar{q}| \leq 2} \sum_{k \in \mathbb{Z}^n} R_{kmq\bar{q}} e^{ik \cdot \theta} y^m z^q \bar{z}^{\bar{q}},$$

where  $R_{kmq\bar{q}} = P_{kmq\bar{q}}$

Thanks to the Taylor formula we can write

$$\begin{aligned} H \circ X_F^1 &= N \circ X_F^1 + R \circ X_F^1 + (P - R) \circ X_F^1 \\ &= N + \{N, F\} + \int_0^1 (1-t) \{ \{N, F\}, F \} \circ X_F^t dt + \\ &\quad + R + \int_0^1 \{R, F\} \circ X_F^t dt + (P - R) \circ X_F^1. \end{aligned}$$

Assume that we can find  $F$  and  $\widehat{N}$  which has the same form as  $N$  and which satisfy the so-called homological equation

$$\{N, F\} + R = \widehat{N}.$$

## The general KAM strategy

Once the homological equation is solved : We define the new normal form by  $N_+ = N + \widehat{N}$ , the frequencies of which are given by

$$\lambda^+(\xi) = \lambda(\xi) + \widehat{\lambda}(\xi) \quad \text{and} \quad \Lambda^+(\xi) = \Lambda(\xi) + \widehat{\Lambda}(\xi),$$

where

$$\widehat{\lambda}_j(\xi) = \frac{\partial \widehat{N}}{\partial y_j}(0, 0, 0, 0, \xi) \quad \text{and} \quad \widehat{\Lambda}_j(\xi) = \frac{\partial^2 \widehat{N}}{\partial z_j \partial \bar{z}_j}(0, 0, 0, 0, \xi).$$

We define the new perturbation term  $P_+$  by

$$P_+ = (P - R) \circ X_F^1 + \int_0^1 \{ R(t), F \} \circ X_F^t dt,$$

where  $R(t) = (1 - t)\widehat{N} + tR$  in such a way that

$$H \circ X_F^1 = N_+ + P_+ .$$

**Convergence** : If  $P = O(\varepsilon)$  and  $F = O(\varepsilon)$ . Then  $R = O(\varepsilon)$  and the quadratic part of  $P_+$  is  $O(\varepsilon^2)$ .

## The general KAM strategy

At the end we obtain a symplectic transformation  $\Phi$  (near the origin) so that  $H^* = H \circ \Phi = N^* + P^*$ , where

$$N^* = \sum_{j=1}^n \lambda_j^*(\xi) y_j + \sum_{j \geq 1} \Lambda_j^*(\xi) z_j \bar{z}_j,$$

and  $P^*$  has no quadratic part in  $z, \bar{z}$  and no linear part in  $y$ . Then the new coordinates  $(y', \theta', z', \bar{z}') = \Phi^{-1}(y, \theta, z, \bar{z})$  satisfy

$$\begin{cases} \dot{\theta}'_j = \frac{\partial H^*}{\partial y'_j}, & \dot{y}'_j = -\frac{\partial H^*}{\partial \theta'_j}, & 1 \leq j \leq n \\ \dot{z}'_j = i \frac{\partial H^*}{\partial \bar{z}'_j}, & \dot{\bar{z}}'_j = -i \frac{\partial H^*}{\partial z'_j}, & j \geq 1. \end{cases} \quad (NH)$$

In particular, the solution to (NH) with initial condition  $(\theta'_j(0), y'_j(0), z'_j(0), \bar{z}'_j(0)) = (\theta_j^{j0}, 0, 0, 0)$  reads

$$(\theta'_j(t), y'_j(t), z'_j(t), \bar{z}'_j(t)) = (t\lambda_j^* + \theta_j^{j0}, 0, 0, 0).$$

Hence we have constructed a quasi-periodic solution to (NLS).

# The homological equation

**Aim** : Solve

$$\{N, F\} + R = \widehat{N},$$

with

$$N = \sum_{j=1}^n \lambda_j(\xi) y_j + \sum_{j \geq 1} \Lambda_j(\xi) z_j \bar{z}_j .$$

We look for a solution  $F$  of the form

$$F = \sum_{2|m|+|q+\bar{q}| \leq 2} \sum_{k \in \mathbb{Z}^n} F_{kmq\bar{q}} e^{ik \cdot \theta} y^m z^q \bar{z}^{\bar{q}} .$$

A direct computation gives

$$iF_{kmq\bar{q}} = \begin{cases} \frac{R_{kmq\bar{q}}}{k \cdot \lambda(\xi) + (q - \bar{q}) \cdot \Lambda(\xi)}, & \text{if } |k| + |q - \bar{q}| \neq 0, \\ 0, & \text{otherwise,} \end{cases}$$

$$\widehat{N} = [R] = \sum_{|m|+|q|=1} R_{0mq\bar{q}} y^m z^q \bar{z}^{\bar{q}} .$$



## Control of the frequencies

We show that we can find  $(f_k)_{1 \leq k \leq n}$  such that

**Small divisors control :** There exist a subset  $\Pi_\alpha \subset \Pi$  with  $\text{Meas}(\Pi \setminus \Pi_\alpha) \rightarrow 0$  when  $\alpha \rightarrow 0$  and  $\tau > 1$ , such that for all  $\xi \in \Pi_\alpha$

$$|k \cdot \lambda(\xi) + l \cdot \Lambda(\xi)| \geq \alpha \frac{\langle l \rangle}{1 + |k|^\tau}, \quad (k, l) \in \mathcal{Z},$$

where  $\mathcal{Z} := \{(k, l) \in \mathbb{Z}^n \times \mathbb{Z}^\infty, (k, l) \neq 0, |l| \leq 2\}$ .

To perform the KAM method, we now have to check this condition **persists** after each iteration. This will be the case if the perturbation  $\widehat{\Lambda}_j$  satisfies  $|\widehat{\Lambda}_j| \leq C\epsilon j^{-\beta}$  for some  $\beta > 0$ .

## Control of the frequencies

We have

$$\widehat{\Lambda}_j(\xi) = \frac{\partial^2 \widehat{N}}{\partial z_j \partial \bar{z}_j}(0, 0, 0, 0, \xi) = \frac{\partial^2 P}{\partial z_j \partial \bar{z}_j}(0, 0, 0, 0, \xi).$$

In our case, we have  $P = \frac{\varepsilon}{2} \int_{\mathbb{R}} |u|^4$ , therefore  $\frac{\partial^2 P}{\partial z_j \partial \bar{z}_j} = 2\varepsilon \int_{\mathbb{R}} \varphi_{j+n}^2 |u|^2$ .

Now by the **dispersive estimate**  $\|\varphi_j\|_{L^\infty(\mathbb{R})} \leq Cj^{-1/12}$  we get

$$\left| \frac{\partial^2 P}{\partial z_j \partial \bar{z}_j} \right| \leq \varepsilon \|\varphi_{j+n}\|_{L^\infty(\mathbb{R})}^2 \|u\|_{L^2(\mathbb{R})}^2 \leq C\varepsilon j^{-1/6} \|u\|_{L^2(\mathbb{R})}^2.$$

## Reducibility of the linear equation

We consider the linear equation

$$\begin{cases} i\partial_t u + \partial_x^2 u - x^2 u + \epsilon V(t\omega, x)u = 0, & (t, x) \in \mathbb{R} \times \mathbb{R}, \\ u(0, x) = u_0(x), \end{cases} \quad (LS)$$

where the potential  $V : \mathbb{T}^n \times \mathbb{R} \ni (\theta, x) \mapsto \mathbb{R}$  satisfies

- ▶  $V$  is analytic in  $\theta$ .
- ▶  $V$  is  $\mathcal{C}^\infty$  in  $x$ , with bounded derivatives.
- ▶  $V$  satisfies  $|V(\theta, x)| \leq C(1 + x^2)^{-\delta}$  for some  $\delta > 0$ .

## Reducibility of the linear equation

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### Theorem (B. Grébert - LT)

*There exists  $\epsilon_0$  such that for all  $0 \leq \epsilon < \epsilon_0$  there exists  $\Lambda_\epsilon \subset [0, 2\pi]^n$  such that  $|[0, 2\pi]^n \setminus \Lambda_\epsilon| \rightarrow 0$  as  $\epsilon \rightarrow 0$ , and such that for all  $\omega \in \Lambda_\epsilon$ , the linear Schrödinger equation (LS) reduces, in  $L^2(\mathbb{R})$ , to a linear equation with constant coefficients.*

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### Corollary

*Let  $\omega \in \Lambda_\epsilon$ , then any solution  $u$  of (LS) is almost-periodic in time and we have the bounds*

$$(1 - \epsilon C) \|u_0\|_{\mathcal{H}^p} \leq \|u(t)\|_{\mathcal{H}^p} \leq (1 + \epsilon C) \|u_0\|_{\mathcal{H}^p}, \quad \forall t \in \mathbb{R},$$

*for some  $C = C(p, \omega)$ .*

# Reducibility of the linear equation

## Some previous results

- ▶ D. Bambusi & S. Graffi '01 ; J. Lui & X. Yuan '10 :  
Case  $x^\beta$ ,  $\beta > 2$ .
- ▶ W.-M. Wang '08 :  
Case  $x^2$ , for some particular  $V$ .
- ▶ H. Eliasson & S.B. Kuksin '08 :  
NLS on  $\mathbb{T}^d$ .
- ▶ W.-M. Wang '08, J.-M. Delort '10, D. Fang & Q. Zhang '10 :  
NLS on  $\mathbb{T}^d$  : Bounds  $\|u(t)\|_{HP} \lesssim (\ln t)^{CP}$  if  $V$  is analytic.
- ▶ J.-M. Delort '10 :  
Existence of solutions so that  $\|u(t)\|_{\mathcal{H}^P} \gtrsim t^{P/2}$  if  $V$  is allowed to be a pseudo-differential operator.

## Hamiltonian formulation

Equation (LS) reads as a non autonomous Hamiltonian system

$$\begin{cases} \dot{z}_j = -i(2j-1)z_j - i\varepsilon \frac{\partial}{\partial \bar{z}_j} \tilde{Q}(t, z, \bar{z}), & j \geq 1 \\ \dot{\bar{z}}_j = i(2j-1)\bar{z}_j + i\varepsilon \frac{\partial}{\partial z_j} \tilde{Q}(t, z, \bar{z}), & j \geq 1 \end{cases}$$

where

$$\tilde{Q}(t, z, \bar{z}) = \int_{\mathbb{R}} V(\omega t, x) \left( \sum_{j \geq 1} z_j h_j(x) \right) \left( \sum_{j \geq 1} \bar{z}_j h_j(x) \right) dx.$$

We re-interpret this system as an autonomous Hamiltonian system in an **extended phase space**

$$\begin{cases} \dot{z}_j = -i(2j-1)z_j - i\varepsilon \frac{\partial}{\partial \bar{z}_j} Q(\theta, z, \bar{z}) & j \geq 1 \\ \dot{\bar{z}}_j = i(2j-1)\bar{z}_j + i\varepsilon \frac{\partial}{\partial z_j} Q(\theta, z, \bar{z}) & j \geq 1 \\ \dot{\theta}_j = \omega_j & j = 1, \dots, n \\ \dot{y}_j = -\varepsilon \frac{\partial}{\partial \theta_j} Q(\theta, z, \bar{z}) & j = 1, \dots, n \end{cases}$$

where

$$Q(\theta, z, \bar{z}) = \int_{\mathbb{R}} V(\theta, x) \left( \sum_{j \geq 1} z_j h_j(x) \right) \left( \sum_{j \geq 1} \bar{z}_j h_j(x) \right) dx.$$

## Linear dynamics

Here the external parameters are directly the frequencies

$\omega = (\omega_j)_{1 \leq j \leq n} \in [0, 2\pi)^n =: \Pi$  and the normal frequencies  $\Omega_j = 2j - 1$  are constant.

Using the KAM scheme, we are able to show the existence of a set of parameters  $\Pi_\varepsilon \subset \Pi$  with  $|\Pi \setminus \Pi_\varepsilon| \rightarrow 0$  when  $\varepsilon \rightarrow 0$  and a coordinate transformation  $\Phi : \Pi_\varepsilon \times \mathcal{P}^0 \rightarrow \mathcal{P}^0$ , such that  $H \circ \Phi = N^*$ , where  $N^*$  takes the form

$$N^*(\omega) = \sum_{j=1}^n \omega_j y_j + \sum_{j \geq 1} \Omega_j^* z_j \bar{z}_j.$$

In the new coordinates,  $(y', \theta', z', \bar{z}') = \Phi^{-1}(y, \theta, z, \bar{z})$ , the dynamic is linear with  $y'$  invariant :

$$\begin{cases} \dot{z}'_j = i\Omega_j^* z'_j & j \geq 1 \\ \dot{\bar{z}}'_j = -i\Omega_j^* \bar{z}'_j & j \geq 1 \\ \dot{\theta}'_j = \omega_j & j = 1, \dots, n \\ \dot{y}'_j = 0 & j = 1, \dots, n. \end{cases}$$