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ON THE KAM – THEORY CONDITIONS FOR THE KIRCHHOFF TOP

Ognyan Christov

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ABSTRACT. In this paper the classical Kirchhoff case of motion of a rigid body in an infinite ideal fluid is considered. Then for the corresponding Hamiltonian system on the zero integral level, the KAM theory conditions are checked. In contrast to the known similar results, there exists a curve in the bifurcation diagram along which the Kolmogorov's condition vanishes for certain values of the parameters.

1. Introduction. The question of integrability of Hamiltonian systems is one of the oldest problems of classical mechanics [1]. Classical results due to Poincare and Bruns show that most of the Hamiltonian systems are not integrable. This has lead Poincare [2] to define the main problem of dynamics to be the study Hamiltonian systems which are close to integrable ones. The most powerful approach to such systems is KAM – theory. Before giving a brief account of KAM – theory we remind the structure of the integrable Hamiltonian systems.

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The phase space of the generic integrable Hamiltonian systems with n -degrees of freedom is foliated into invariant manifolds the typical fibre being a n -dimensional torus, on which the motion is quasiperiodic. A natural question is whether small perturbations destroy these tori. KAM – theory gives conditions for the integrable systems which guarantee the survival of most of the invariant tori. The conditions are given in terms of so-called action – angle variables $J_1, J_2, \dots, J_n; \varphi_1, \varphi_2, \dots, \varphi_n$. Without going into details, we remind that the action – angle variables can be introduced for any integrable system locally near a fixed torus and have a property that $\mathbf{J} = (J_1, J_2, \dots, J_n)$ maps a neighbourhood of a fixed torus on an open subset of R^n . The functions $\varphi_1, \varphi_2, \dots, \varphi_n$ are the co-ordinates on any of the nearby tori. Moreover the first integrals become functions of the action variables J_1, J_2, \dots, J_n . At last to any fixed torus there corresponds an invariant torus on which the motion is quasiperiodic with frequencies $(\omega_1(\mathbf{J}), \dots, \omega_n(\mathbf{J})) = (\partial H / \partial J_1, \dots, \partial H / \partial J_n)$ (see [3] for details).

One condition, stated by Kolmogorov [3, app.8 and literature there] on the Hamiltonian of the integrable system that ensures the survival of most of the invariant tori under small perturbations is that the frequency map

$$\mathbf{J} \rightarrow (\omega_1(\mathbf{J}), \omega_2(\mathbf{J}), \dots, \omega_n(\mathbf{J}))$$

should be non-degenerate. Analytically this means that the Hesseian

$$(1) \quad \det \left(\frac{\partial^2 H}{\partial J_j \partial J_k} \right) \quad j, k = 1, \dots, n$$

does not vanish. We should note that the measure of the surviving tori decreases with the increase of both perturbation and measure of the set where the above hesseian is too close to zero.

Another condition of this type, stated by Arnold and Moser [3, appl. 8] is that of isoenergetical non-degeneracy which we explain next. Fix the energy level $H_0 = h_0$. If we write the Hamiltonian H_0 in action variables, then define the following map F_{h_0} from the $(n - 1)$ dimensional variety $H_0^{-1}(h_0)$ into the projective space P^{n-1} :

$$F_{h_0} : \mathbf{J} \rightarrow (\omega_1(\mathbf{J}) : \omega_2(\mathbf{J}) : \dots : \omega_n(\mathbf{J}))$$

then the system is isoenergetically non-degenerate if the map F_{h_0} is a homeomorphism. Analytically the isoenergetical non-degeneracy is tantamount to nonvan-

ishing of the determinant

$$(2) \quad \det \begin{pmatrix} \frac{\partial^2 H_0}{\partial \mathbf{J}^2} & \frac{\partial H_0}{\partial \mathbf{J}} \\ \frac{\partial H_0}{\partial \mathbf{J}} & 0 \end{pmatrix}.$$

Usually for the interesting systems studied by mathematical physics KAM – theory conditions can be expressed in terms of Abelian integrals. This makes them complicated for checking. (see References in [4] for existing results)

In this paper we study the KAM – theory conditions for the special case of the so called Kirchhoff top of the motion of a rigid body in an ideal infinite fluid [5, 6, 7]. The approach from one paper of Horozov [8] is adopted. One should note that in this case the algebraic curve is of 4th degree and the asymptotic behaviour of the corresponding Abelian integrals is different. In contrast to the similar works where the Hesseian is negative it turns out that in this case the Hesseian vanishes on a curve in bifurcation diagram for certain values of the parameters.

2. The Kirchhoff top. The free motion of a rigid body in an infinite ideal fluid can be described by the Kirchhoff equations [6]

$$(3) \quad \begin{aligned} \dot{\mathbf{y}} &= \mathbf{y} \times \boldsymbol{\omega} + \mathbf{x} \times \mathbf{u}, \\ \dot{\mathbf{x}} &= \mathbf{x} \times \boldsymbol{\omega}, \end{aligned}$$

where $\boldsymbol{\omega} = \partial H / \partial \mathbf{y}$, $\mathbf{u} = \partial H / \partial \mathbf{x}$ and $H(\mathbf{x}, \mathbf{y})$ is a positive definite quadratic form

$$(4) \quad H = \frac{1}{2} \{ (A\mathbf{y}, \mathbf{y}) + (B\mathbf{y}, \mathbf{x}) + (C\mathbf{x}, \mathbf{x}) \}$$

The vectors $\boldsymbol{\omega}$ and \mathbf{y} are called the angular velocity and the kinetic momentum of the body, \mathbf{x} and \mathbf{u} are called the impulsive force and the impulsive momentum. The Kirchhoff equations (2) have three integrals $F_1 = H$, $F_2 = (\mathbf{y}, \mathbf{x})$, and $F_3 = (\mathbf{x}, \mathbf{x})$. In general, the equations (2) are not integrable. The classical Kirchhoff case [5, 1] (usually called the Kirchhoff top) is when the body is axially symmetric. In this case, $A = \text{diag}(A_1, A_1, A_3)$, $B = \text{diag}(B_1, B_1, B_3)$, $C = \text{diag}(C_1, C_1, C_3)$, and there is an additional integral, namely the momentum with the respect to the symmetry axis

$$(5) \quad L(\mathbf{x}, \mathbf{y}) = y_3.$$

Then the system can be integrated via elliptic functions.

Define a Poisson bracket on R^6 by putting

$$(6) \quad \begin{aligned} \{y_i, y_j\} &= \epsilon_{ijk} y_k, & \{y_i, x_j\} &= \epsilon_{ijk} x_k, \\ \{x_i, x_k\} &= 0, & i, j, k &= 1, 2, 3. \end{aligned}$$

and extend $\{\cdot, \cdot\}$ to $C^\infty(R^6)$ in the natural way. Then, the Kirchhoff equations (2) can be expressed in the Hamiltonian form

$$(7) \quad \dot{y}_i = \{H, y_i\}, \quad \dot{x}_i = \{H, x_i\}, \quad i = 1, 2, 3.$$

However, the bracket (5) is degenerate – every smooth function commutes with the integrals F_2 and F_3 . This permits us to restrict $\{\cdot, \cdot\}$ to the integral surface level $M_c \stackrel{\text{def}}{=} \{F_2 = c, F_3 = 1\}$ in the usual way. Thus, the Kirchhoff top is effectively a two degree of freedom system. It can be easily checked that the symplectic leaves M_c are all diffeomorphic to T^*S^2 by the transformation $y = z + cx$ (we identify TS^2 with T^*S^2 via the standard Riemannian metric).

To simplify computation we shall consider the special case when the body has three mutually perpendicular planes of symmetry (like ellipsoid for example). In this case $B = 0$. Using $(\mathbf{x}, \mathbf{x}) = 1$ and a rescaling of time, the Hamiltonian can be written in the following way

$$(8) \quad H = \frac{1}{2} \{(y_1^2 + y_2^2) + Ay_3^2 + Cx_3^2\}.$$

Here $A > 1/2$, C are some parameters which depend on the shape of the rigid body and the density of the fluid. There are two topologically different cases: $A > 1$, $C > 0$ – prolate (ovary) ellipsoid case and $A > 1/2$, $C < 0$ – oblate (planetary) ellipsoid case.

On T^*S^2 the following coordinates are introduced [9]:

$$\begin{aligned} x_1 &= \cos \theta \cos \phi, & z_1 &= p_\phi \tan \theta \cos \phi - p_\theta \sin \theta, \\ x_2 &= \cos \theta \sin \phi, & z_2 &= p_\phi \tan \theta \sin \phi + p_\theta \cos \theta, \\ x_3 &= -\sin \theta, & z_3 &= p_\phi. \end{aligned}$$

where $\theta \in (-\pi/2, \pi/2)$, $\phi \in (0, 2\pi)$, $p_\phi, p_\theta \in R$. The Poisson brackets (6) reduce to

$$\begin{aligned} \{\theta, \phi\} &= \{p_\theta, \phi\} = \{p_\phi, \theta\} = 0, \\ \{\theta, p_\theta\} &= \{\phi, p_\phi\} = 1, \{p_\theta, p_\phi\} = c \cos \theta. \end{aligned}$$

The corresponding 2-form is $d\sigma$, where

$$(9) \quad \sigma = p_\theta d\theta + p_\phi d\phi - c \sin \theta d\phi.$$

Thus the symplectic structure on M_c is the standard symplectic structure on T^*S^2 distorted by the magnetic term $F = -c \cos \theta d\theta \wedge d\phi$. As noted by Novikov in [9], the Kirchhoff top is mathematically equivalent to a classical charged particle moving on S^2 under the influence of monopole like magnetic field given by F , albeit with a nonstandard metric, gyroscopic terms and an unusual potential.

In this paper we consider the Kirchhoff top in a special case i.e. on the special integral level $M_0(c = 0)$ (see the final remarks on the general case).

Remark. We note that the particular case $A = 1$ is equivalent to the system governed the so called square potential spherical pendulum, studied by [10]. See also [4] for additional comments.

Then, in the coordinates $\phi, \theta, p_\phi, p_\theta$ the Hamiltonian (8) reads ($C = 1$)

$$(10) \quad H = \frac{1}{2}(p_\theta^2 + p_\phi^2(\tan^2 \theta + A) + \sin^2 \theta) = h$$

with a second integral $L = p_\phi = l$.

In order to introduce the action-angle variables, we need to find the set of regular values of energy-momentum map

$$EM : TS^2 \rightarrow R^2 : (\mathbf{x}, \mathbf{y}) \rightarrow (H, L).$$

Lemma 2.1 [7]. *The regular values of the energy-momentum map are given by $U_r = \{(h, l) \in R^2, h > Al^2/2\} \setminus (1/2, 0)$ Moreover, for each $(h, l) \in U_r$ the level sets $EM^{-1}(h, l)$ is diffeomorphic to the two-torus $T_{h,l}$.*

Choose a basis γ_1, γ_2 of the homology group $H_1(T_{h,l}, Z)$ with the following representatives. For γ_1 take the curve on $T_{h,l}$ defined by fixing θ, p_θ, p_ϕ and letting ϕ run through $[0, 2\pi]$. For γ_2 fix ϕ and let θ, p_θ make one circle on the curve given by the equation

$$p_\theta^2 + l^2(\tan^2 \theta + A) + \sin^2 \theta = 2h.$$

Now, following [4] we can define the action co-ordinates J_1, J_2 by the formula

$$J_j = \int_{\gamma_j} \sigma, \quad j = 1, 2,$$

where σ is canonical one - form (8) with $c = 0$. Trivial computations give

$$(11) \quad J_1 = 2\pi l,$$

$$(12) \quad J_2 = \int_{\gamma_2} p_\theta d\theta = 2 \int_{\theta_-}^{\theta_+} \sqrt{2h - \sin^2 \theta - l^2(A + \tan^2 \theta)} d\theta,$$

where $\theta_+ > \theta_-$ are the two roots of the equation

$$l^2(\tan^2 \theta + A) + \sin^2 \theta = 2h$$

in the interval $(-\pi/2, \pi/2)$. For later use we make a change of the variables in the integral defining J_2 . Put $z = \sin \theta$, $y^2 = 2h(1 - z^2) - l^2(A + z^2(1 - A)) - z^2(1 - z^2)$. Denote the oval of the curve

$$\Gamma_{h,l} = \{(y, z) : y^2 = 2h(1 - z^2) - l^2(A + z^2(1 - A)) - z^2(1 - z^2)\}$$

by γ . Then we have

$$(13) \quad \psi(h, l) \stackrel{\text{def}}{=} J_2 = \int_\gamma \frac{y dz}{1 - z^2}.$$

Remark. It turns out that the action variables are not defined globally due to the existing of monodromy. However, one can construct them explicitly (see [10] for details) in the two simply connected domains where the global action variables exist. We continue our consideration in anyone of these domains.

3. Main results. Denote by $\tilde{H}(J_1, J_2)$ the Hamiltonian of the considered system in action co-ordinates. We state the theorems which are the aim of this paper.

Theorem 1.

(i) When $1/2 < A \leq 1$, for $(h, l) \in U_r$ the following determinant

$$(14) \quad \det \begin{pmatrix} \frac{\partial^2 \tilde{H}}{\partial J_1^2} & \frac{\partial^2 \tilde{H}}{\partial J_1 \partial J_2} \\ \frac{\partial^2 \tilde{H}}{\partial J_1 \partial J_2} & \frac{\partial^2 \tilde{H}}{\partial J_2^2} \end{pmatrix}.$$

does not vanish.

(ii) When $A > 1$, there exists a curve in U_r , passing through the singular point $(1/2, 0)$ on which the above determinant vanishes.

Theorem 2. *The isoenergetical non-degeneracy condition is fulfilled almost everywhere in U_r .*

$$(15) \quad \det \begin{pmatrix} \frac{\partial^2 \tilde{H}}{\partial J_1^2} & \frac{\partial^2 \tilde{H}}{\partial J_1 \partial J_2} & \frac{\partial \tilde{H}}{\partial J_1} \\ \frac{\partial^2 \tilde{H}}{\partial J_1 \partial J_2} & \frac{\partial^2 \tilde{H}}{\partial J_2^2} & \frac{\partial \tilde{H}}{\partial J_2} \\ \frac{\partial \tilde{H}}{\partial J_1} & \frac{\partial \tilde{H}}{\partial J_2} & 0 \end{pmatrix} \neq 0.$$

We shall give the conditions (14) and (15) the explicit form in terms of Abelian integrals of the second kind. Using the expressions (11) and (13) for J_1 and J_2 we can determine \tilde{L} and \tilde{H} implicitly from the equations

$$J_1 = 2\pi\tilde{L}, J_2 = \psi(\tilde{L}, \tilde{H}).$$

The following lemma gives the expression (14) in terms of Abelian integrals.

Lemma 3.1 ([10]).

$$(2\pi)^2 \left(\frac{\partial\psi}{\partial h}\right)^4 \det \begin{pmatrix} \frac{\partial^2 \tilde{H}}{\partial J_1^2} & \frac{\partial^2 \tilde{H}}{\partial J_1 \partial J_2} \\ \frac{\partial^2 \tilde{H}}{\partial J_1 \partial J_2} & \frac{\partial^2 \tilde{H}}{\partial J_2^2} \end{pmatrix} = \det \begin{pmatrix} \frac{\partial^2 \psi}{\partial h^2} & \frac{\partial^2 \psi}{\partial h \partial l} \\ \frac{\partial^2 \psi}{\partial h \partial l} & \frac{\partial^2 \psi}{\partial l^2} \end{pmatrix}.$$

Obviously we have

$$\psi_h = \int_{\gamma} \frac{dz}{y} \neq 0$$

in U_r . So, instead of proving the theorem with the expression (14) it is enough to consider the last Hesseian which we denote by D . Similarly we have that the isoenergetical non-degeneracy condition is reduced to ψ_u up to nonvanishing factor. We denote $D_1 = \psi_u$ for simplicity.

Next we would like to show that the entries of D and D_1 can be represented as elliptic integrals. Introduce functions

$$(16) \quad w_j(h, l) = \int_{\gamma} \frac{z^j dz}{y^3}, \quad j = 0, 1, \dots$$

It was proven in [11] that $w_0 \neq 0$ in U_r . Then obviously we have also that $w_2 \neq 0$ in U_r . The next lemma gives a representation of D as a quadratic form in w_0, w_2 .

Lemma 3.2. *The determinant D has the following representation*

$$(17) \quad \begin{aligned} D &= w_2^2\{1 - (1 - A)[2h + 1 + l^2(1 - A)]\} + \\ &w_0w_2\{2(1 - A)(2h - Al^2) - A[2h + 1 + l^2(1 - A)]\} + \\ &w_0^2\{(2h - Al^2)(2A - 1)\}. \end{aligned}$$

Similarly we have for D_1 .

$$(18) \quad D_1 = \psi_{ll} = [(2h - Al^2)(1 - A) - 2hA]w_0 - [2h(1 - A) - A]w_2.$$

It is seen that D and D_1 do not depend on the sign of l . That is why it is enough to prove theorems only for $l \geq 0$. We denote $U_r^+ = U_r \cap l \geq 0$.

4. The Kolmogorov's condition. The idea of the proof (see [8]) is first to evaluate the sign of the determinant D on line $l = 0$ and then to spread it along curves which filled all U_r^+ . The monotonicity of certain function plays essential role. The proof is done in several steps and the cases $A < 1$, $A = 1$, $A > 1$ are considered separately. Here we only state the corresponding results. (see [4] for the proofs)

Lemma 4.1. *Let $l = 0$. Then the functions w_0, w_2 satisfy the following system of Picard-Fuchs equations:*

$$(19) \quad \begin{aligned} 2h(1 - 2h)\frac{dw_0}{dh} &= 3w_2 + 2(3h - 1)w_0, \\ (1 - 2h)\frac{dw_2}{dh} &= 3w_2 + w_0. \end{aligned}$$

We also need the function

$$(20) \quad \sigma(h) = \frac{w_2(h, 0)}{w_0(h, 0)}$$

Easy calculations give that σ satisfies the Riccati equation

$$(21) \quad 2h(1 - 2h)\frac{d\sigma}{dh} = -3\sigma^2 + 2\sigma + 2h$$

When $l = 0$ the expression for D factors:

$$D = w_0^2 \sigma_1 \sigma_2,$$

where

$$\sigma_1(h) = \sigma(h) - 1, \quad \sigma_2(h) = [A + (A - 1)2h]\sigma(h) - 2h(2A - 1).$$

From (21) we obtain easily the Riccati equations for σ_1, σ_2 . They play decisive role in evaluating the signs of these functions.

We need also some other functions both for study of $\sigma, \sigma_1, \sigma_2$ and for the case $l > 0$. In order to introduce them we put the family of curves $\Gamma_{h,l}$ into the normal form:

$$(22) \quad \Gamma_p = \left\{ (u, v) \in C^2 : \frac{v^2}{2} = \frac{u^4}{4} - u^2 + p \right\},$$

by rescaling $y = \alpha v, z = \beta u$ where

$$(23) \quad \beta^2 = [2h + 1 + (1 - A)l^2]/4, \alpha^2 = 2\beta^4.$$

If we put

$$(24) \quad p(h, l) = \frac{4(2h - Al^2)}{[2h + 1 + (1 - A)l^2]^2}$$

we get (22). In these variables the integrals $w_0(h, l), w_2(h, l)$ become

$$w_0 = \frac{\beta}{\alpha^3} \int_{\gamma(p)} \frac{du}{v^3}, \quad w_2 = \frac{\beta^3}{\alpha^3} \int_{\gamma(p)} \frac{u^2 du}{v^3}.$$

Introduce the new functions

$$\theta_0(p) = \int_{\gamma(p)} \frac{du}{v^3}, \quad \theta_2(p) = \int_{\gamma(p)} \frac{u^2 du}{v^3}$$

and their ratio

$$\varrho(p) = \theta_2(p)/\theta_0(p).$$

In these notations we have

$$(25) \quad \sigma(h) = (2h + 1)\varrho(p(h, 0))/4.$$

Obviously the asymptotic behaviour of the functions $\sigma, \sigma_1, \sigma_2$ can be found easily from the function $\varrho(p)$. We state the corresponding result in the following lemma:

Lemma 4.2. *The function $\varrho(p)$ is strictly monotonic decreasing in the interval $(0, 1)$. $\varrho(0) = \frac{8}{3}, \varrho(1) = 2$.*

The proof is based on some elements of the Picard-Lefschetz theory and the Riccati equation for the function ϱ .

Now we begin with case $l = 0$.

Lemma 4.3. *The function $\sigma_1(h)$ satisfies the following inequalities:*

- (i) $\sigma_1(h) < 0$, when $h \in (0, 1/2)$;
- (ii) $\sigma_1(h) > 0$, when $h \in (1/2, \infty)$.

Similarly, we have

Lemma 4.4. *The function $\sigma_2(h)$ satisfies the following inequalities:*

- (i) Let $1/2 < A < 1$, $\sigma_2(h) > 0$ in the region $(0, 1/2)$, $\sigma_2(h) < 0$ in the region $(1/2, \infty)$;
- (ii) Let $A > 1$, $\sigma_2(h) > 0$ in the region $(0, 1/2) \cup (1/2, \infty)$.

Corollary. *For $l = 0$*

- (i) $D < 0$, when $1/2 < A < 1$;
- (ii) $D < 0$ in $(0, 1/2)$,
 $D > 0$ in $(1/2, \infty)$ when $A > 1$.

Next we turn to the case $l > 0$.

Lemma 4.5. *For $h > 0, l > 0$ we have the representation*

$$(26) \quad D = w_0^2 \nu^2 F(p, \nu)$$

where $\nu = \beta^2$ and

$$(27) \quad F(p, \nu) = \varrho^2(p)[1 - 4(1 - A)\nu] + 4[2(1 - A)p\nu - A]\varrho(p) + 4p(2A - 1)$$

The functions $\nu(h, l), p(h, l)$ map the set $U_r \cap \{h > 0, l > 0\}$ diffeomorphically on the set

$$V_r = \left\{ (p, \nu) : \nu \in (1/4, \infty), p \in \left(0, \frac{4\nu - 1}{4\nu^2} \right) \right\}.$$

Note that the line $l = 0$ maps on line $p = \frac{4\nu - 1}{4\nu^2}$.

When $A = 1$, F factors. One of the terms is positive in U_r . Using the Riccati equation for the other function we reach that $F < 0$ and hence $D < 0$ for $A = 1$.

Lemma 4.6. *For any fixed $p \in (0, 1)$ the function $F(p, \nu)$ is a*

- (i) *strictly decreasing function of ν , when $1/2 < A < 1$;*
- (ii) *strictly increasing function of ν , when $A > 1$.*

Lemma 4.7.

- (i) *For all $(p, \nu) \in V_r$ $F(p, \nu) < 0$ when $A < 1$;*
- (ii) *There exists a curve in V_r along which $F(p, \nu) = 0$, when $A > 1$.*

The last lemma finishes the proof of the Theorem 1.

5. The isoenergetical non-degeneracy condition. In order to prove Theorem 2, we need only to check that ψ_U is nonzero in one point of U_r . We take for instance the point $h = A/2, l = 0$ for the case $A < 1$, the point $h = 1/3, l = 0$ for the case $A > 1$ and substitute them in (18). Then, using the results from the previous paragraph, it is seen that $\psi_U \neq 0$ in these points. Hence, due to analyticity ψ_U is almost everywhere nonzero in U_r .

However, for the particular case $A = 1$ we can improve the above result, namely

Theorem 3. *Let $A = 1$.*

- (i) *For $h \in (0, 1/2] \cup [1, \infty)$, $D_1 = \psi_U \neq 0$.*
- (ii) *For $h \in (1/2, 1)$, ψ_U has exactly two zeros.*

Note that in this case $\psi_U = \frac{\beta\theta_0}{\alpha^3} \left[\varrho - \frac{4\nu - 1}{\nu} \right]$, where $\nu = \frac{2h + 1}{4}$. Then, the proof of theorem 3 follows the idea of [12].

Remark. It turns out that in the general case $c \neq 0$ the verification of the KAM – theory conditions is much more complicated and has not been done rigorously. However, the results from this paper afford us to claim that the KAM – theory conditions for the general Kirchhoff top are fulfilled almost everywhere.

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*Faculty of Mathematics and Informatics
Sofia University
5 J. Bouchier str.
1164 Sofia, Bulgaria*

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