On reducibility of Quantum Harmonic Oscillator on $R^d$
with quasiperiodic in time potential
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BENOÎT GRÉBERT AND ERIC PATUREL

Abstract. We prove that a linear $d$-dimensional Schrödinger equation on $\mathbb{R}^d$ with harmonic potential $|x|^2$ and small $t$-quasiperiodic potential
\[ i\partial_t u - \Delta u + |x|^2 u + \varepsilon V(t\omega, x)u = 0, \quad x \in \mathbb{R}^d \]
reduces to an autonomous system for most values of the frequency vector $\omega \in \mathbb{R}^n$. As a consequence any solution of such a linear PDE is almost periodic in time and remains bounded in all Sobolev norms.

CONTENTS

1. Introduction 2
2. Reducibility theorem 7
   2.1. Setting 7
   2.2. Hypothesis on the spectrum 11
   2.3. The reducibility Theorem 11
3. Applications to the quantum harmonic oscillator on $\mathbb{R}^d$ 12
   3.1. Verification of the hypothesis 12
   3.2. Proof of Theorem 1.2 and Corollaries 1.3, 1.4 16
4. Proof of Theorem 2.3 17
   4.1. General strategy 17
   4.2. Homological equation 18
   4.3. The KAM step. 23
   4.4. Iterative lemma 24
4.5. Transition to the limit and proof of Theorem 2.3 27
Appendix A. Proof of Lemma 2.1 28
Appendix B. Proof of Lemma 4.3 31
References 34

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1. Introduction.

We consider the following linear Schrödinger equation in $\mathbb{R}^d$
\begin{equation}
(1.1) \quad i \frac{\partial u}{\partial t}(t, x) + (-\Delta + |x|^2)u(t, x) + \varepsilon V(\omega t, x)u(t, x) = 0, \quad t \in \mathbb{R}, \ x \in \mathbb{R}^d.
\end{equation}
Here $\varepsilon > 0$ is a small parameter and the frequency vector $\omega$ of forced oscillations is regarded as a parameter in $\mathcal{D}$ an open bounded subset of $\mathbb{R}^n$. The function $V$ is a real multiplicative potential, which is quasiperiodic in time: namely $V$ is a continuous function of $(\varphi, x) \in \mathbb{T}^n \times \mathbb{R}^d$ and $V$ is $\mathcal{H}^s$ (see (1.3)) with $s > d/2$ with respect to the space variable $x \in \mathbb{R}^d$ and real analytic with respect to the angle variable $\varphi \in \mathbb{T}^d$.

We consider the previous equation as a linear non-autonomous equation in the complex Hilbert space $L^2(\mathbb{R}^d)$ and we prove (see Theorem 2.3 below) that it reduces to an autonomous system for most values of the frequency vector $\omega$.

The general problem of reducibility for linear differential systems with time quasi-periodic coefficients, $\dot{x} = A(\omega t)x$, goes back to Bogolyubov [4] and Moser [18]. Then there is a large literature around reducibility of finite dimensional systems by means of the KAM tools. In particular, the basic local result states the following: Consider the non autonomous linear system
\begin{equation}
\dot{x} = A_0x + \varepsilon F(\omega t)x
\end{equation}
where $A_0$ and $F(\cdot)$ take values in $gl(k, \mathbb{R})$, $\mathbb{T}^n \ni \varphi \mapsto F(\varphi)$ admits an analytic extension to a strip in $\mathbb{C}^n$ and the imaginary part of the eigenvalues of $A$ satisfy certain non resonance conditions, then for $\varepsilon$ small enough and for $\omega$ in a Cantor set asymptotically full measure, this linear system is reducible to a constant coefficients system. This result was then extended in many different directions (see in particular [15] [9] and [16]).

Essentially our Theorem 2.3 is an infinite dimensional (i.e. $k = +\infty$) version of this basic result.

Such kind of reducibility result for PDE using KAM machinery was first obtained by Bambusi & Graffi (see [3]) for Schrödinger equation on $\mathbb{R}$ with a $x^\beta$ potential, $\beta$ being strictly larger than 2. Here we follow the more recent approach developed by Eliasson & Kuksin (see [10]) for the Schrödinger equation on the multidimensional torus. The one dimensional case ($d = 1$) was considered in [13] as a consequence of a nonlinear KAM theorem. In the present paper we extend [13] to the multidimensional linear Schrödinger equation (1.1) by adapting the linear algebra tools.

We need some notations. Let
\begin{equation}
T = -\Delta + |x|^2 = -\Delta + x_1^2 + x_2^2 + \cdots + x_d^2
\end{equation}
be the $d$-dimensional quantum harmonic oscillator. Its spectrum is the sum of $d$ copies of the odd integers set, i.e. the spectrum of $T$ equals
\begin{equation}
\hat{\mathcal{E}} := \{d, d+2, d+4 \cdots\}.
\end{equation}
For $j \in \hat{E}$ we denote the associated eigenspace $E_j$ whose dimension is
\[ \text{card} \{ (i_1, i_2, \cdots, i_d) \in (2N - 1)^d \mid i_1 + i_2 + \cdots + i_d = j \} := d_j \leq j^d - 1. \]
We denote $\{ \Phi_{j,l}, l = 1, \cdots, d_j \}$, the basis of $E_j$ obtained by $d$-tensor product of Hermite functions: $\Phi_{j,l} = \varphi_{i_1} \otimes \varphi_{i_2} \otimes \cdots \otimes \varphi_{i_d}$ for some choice of $i_1 + i_2 + \cdots + i_d = j$. Then setting
\[ E := \{ (j, \ell) \in \hat{E} \times \mathbb{N} \mid \ell = 1, \cdots, d_j \} \]
$(\Phi_a)_{a \in E}$ is a basis of $L^2(\mathbb{R}^d)$ and denoting
\[ w_{j,l} = j \quad \text{for} \quad (j, \ell) \in E \]
we have
\[ T\Phi_a = w_a \Phi_a, \quad a \in E. \]
We define on $E$ an equivalence relation:
\[ a \sim b \iff w_a = w_b \]
and denote by $[a]$ the equivalence class associated to $a \in E$. We notice that
\[ \text{card} \ [a] \leq d_j - 1. \]
For $s \geq 0$ an integer we define
\[ \mathcal{H}^s = \{ f \in H^s(\mathbb{R}^d, \mathbb{C}) \mid x \mapsto x^\alpha \partial^\beta f \in L^2(\mathbb{R}^d) \}
\text{for any } \alpha, \beta \in \mathbb{N}^d \text{ satisfying } 0 \leq |\alpha| + |\beta| \leq s \}. \]
We note that, for any $s \geq 0$, $\mathcal{H}^s$ is the form domain of $T^s$ and the domain of $T^{s/2}$ (see for instance [14] Proposition 1.6.6) and that this allows to extend the definition of $\mathcal{H}^s$ to real values of $s \geq 0$. Furthermore for $s > d/2$, $\mathcal{H}^s$ is an algebra.
To a function $u \in \mathcal{H}^s$ we associate the sequence $\xi$ of its Hermite coefficients by the formula $u(x) = \sum_{a \in E} \xi_a \Phi_a(x)$. Then defining
\[ \ell^2_s := \{ (\xi)_{a \in E} \mid \sum_{a \in E} w_a^s |\xi_a|^2 < +\infty \}, \]
we have for $s \geq 0$
\[ u \in \mathcal{H}^s \iff \xi \in \ell^2_s. \]
Then we endow both spaces with the norm
\[ \|u\|_s = \|\xi\|_s = \left( \sum_{a \in E} w_a^s |\xi_a|^2 \right)^{1/2}. \]
If $s$ is a positive integer, we will use the fact that the norms on $\mathcal{H}^s$ are equivalently defined as $\|T^{s/2} \varphi\|_{L^2(\mathbb{R}^d)}$ and $\sum_{0 \leq |\alpha| + |\beta| \leq s} \|x^\alpha \partial^\beta \varphi\|_{L^2(\mathbb{R}^d)}$. We finally introduce a regularity assumption on the potential $V$:

\[^1\text{Take care that our choose of the weight } w_a^{1/2} \text{ instead of } w_a \text{ is non standard. It is motivated by the relation [14].} \]
**Definition 1.1.** A potential $V : \mathbb{T}^n \times \mathbb{R}^d \ni (\varphi, x) \mapsto V(\varphi, x) \in \mathbb{R}$ is $s$-admissible if $\mathbb{T}^n \ni \varphi \mapsto V(\varphi, \cdot)$ is real analytic with value in $\mathcal{H}^s$ with

$$\begin{cases} s \geq 0 & \text{if } d = 1 \\ s > 2(d - 1) & \text{if } d \geq 2. \end{cases}$$

In particular if $V$ is admissible then the map $\mathbb{T}^n \ni \varphi \mapsto V(\varphi, \cdot) \in \mathcal{H}^s$ analytically extends to

$$\mathbb{T}_\sigma^n = \{(a + ib) \in \mathbb{C}^n/2\pi \mathbb{Z}^n \mid |b| < \sigma\}$$

for some $\sigma > 0$. Now we can state our main Theorem:

**Theorem 1.2.** Assume that the potential $V : \mathbb{T}^n \times \mathbb{R}^d \ni (\varphi, x) \mapsto \mathbb{R}$ is $s$-admissible (see Definition 1.1). Then, there exists $\delta_0 > 0$ (depending only on $s$ and $d$) and $\varepsilon_\ast > 0$ such that for all $0 \leq \varepsilon < \varepsilon_\ast$ there exists $\mathcal{D}_\varepsilon \subset [0, 2\pi)^n$ satisfying

$$\text{meas}(\mathcal{D} \setminus \mathcal{D}_\varepsilon) \leq \varepsilon^\delta_0,$$

such that for all $\omega \in \mathcal{D}_\varepsilon$, the linear Schrödinger equation

$$i\partial_t u + (-\Delta + |x|^2)u + \varepsilon V(t\omega, x)u = 0$$

reduces to a linear equation with constant coefficients in the energy space $\mathcal{H}^1$.

More precisely, for all $0 < \delta \leq \delta_0$, there exists $\varepsilon_0$ such that for all $0 < \varepsilon < \varepsilon_0$ there exists $\mathcal{D}_\varepsilon \subset [0, 2\pi)^n$ satisfying

$$\text{meas}(\mathcal{D} \setminus \mathcal{D}_\varepsilon) \leq \varepsilon^\delta,$$

and for $\omega \in \mathcal{D}_\varepsilon$, there exist a linear isomorphism $\Psi(\varphi) = \Psi_{\omega, \varepsilon}(\varphi) \in \mathcal{L}(\mathcal{H}^s)$, for $0 < s' \leq \max(1, s)$, unitary on $L^2(\mathbb{R}^d)$, which analytically depends on $\varphi \in \mathbb{T}_{\sigma/2}^n$ and a bounded Hermitian operator $W = W_{\omega, \varepsilon} \in \mathcal{L}(\mathcal{H}^s)$ such that $t \mapsto u(t, \cdot) \in \mathcal{H}^1$ satisfies (1.5) if and only if $t \mapsto v(t, \cdot) = \Psi(\omega t)u(t, \cdot)$ satisfies the autonomous equation

$$i\partial_t v + (-\Delta + |x|^2)v + \varepsilon W(v) = 0.$$

Furthermore, for all $0 \leq s' \leq \max(1, s)$,

$$\|\Psi(\varphi) - Id\|_{\mathcal{L}(\mathcal{H}^{s'}, \mathcal{H}^{s'+2\beta})}, \|\Psi(\varphi)^{-1} - Id\|_{\mathcal{L}(\mathcal{H}^{s'}, \mathcal{H}^{s'+2\beta})} \leq \varepsilon^{1-\delta/\delta_0} \quad \forall \varphi \in \mathbb{T}_{\sigma/2}^n.$$

On the other hand, the infinite matrix $(W^b_a)_{a,b, \varepsilon}$ of the operator $W$ written in the Hermite basis $(W_a^b = \int_{\mathbb{R}^d} \Phi_a W(\Phi_b) \, dx)$ is block diagonal, i.e.

$$W^b_a = 0 \text{ if } w_a \neq w_b$$

and, denoting by $[V](x) = \int_{\mathbb{T}^d} V(\varphi, x) \, d\varphi$ the mean value of $V$ on the torus $\mathbb{T}^d$, and by $(V^b_a)_{a,b, \varepsilon}$ the corresponding infinite matrix, we have

$$\|(W^b_a)_{a,b, \varepsilon} - \Pi((V^b_a)_{a,b, \varepsilon})\|_{\mathcal{L}(\mathcal{H}^s)} \leq \varepsilon^{1/2},$$

where $\Pi$ is the projection on the diagonal blocks.
As a consequence of our reducibility result, we prove the following corollary concerning the solutions of (1.1).

**Corollary 1.3.** Assume that \((\varphi, x) \mapsto V(\varphi, x)\) is s-admissible (see Definition 1.1). Let \(1 \leq s' \leq \max(1, s)\) and let \(u_0 \in H^{s'}\). Then there exists \(\varepsilon_0 > 0\) such that for all \(0 < \varepsilon < \varepsilon_0\) and \(\omega \in \mathcal{D}_\varepsilon\), there exists a unique solution \(u \in C(\mathbb{R}; H^{s'})\) of (1.5) such that \(u(0) = u_0\). Moreover, \(u\) is almost-periodic in time and satisfies

\[
(1 - \varepsilon C)\|u_0\|_{H^{s'}} \leq \|u(t)\|_{H^{s'}} \leq (1 + \varepsilon C)\|u_0\|_{H^{s'}}, \quad \forall t \in \mathbb{R},
\]

for some \(C = C(s', s, d)\).

Another way to understand the result of Theorem 1.2 is in term of Floquet operator (see [9] or [20]). Consider on \(L^2(T^n) \otimes L^2(\mathbb{R}^d)\) the Floquet Hamiltonian operator

\[
K := i \sum_{k=1}^{n} \omega_k \frac{\partial}{\partial \varphi_k} - \Delta + |x|^2 + \varepsilon V(\varphi, x),
\]

then we have

**Corollary 1.4.** Assume that \((\varphi, x) \mapsto V(\varphi, x)\) is s-admissible (see Definition 1.1). There exists \(\varepsilon_0 > 0\) such that for all \(0 < \varepsilon < \varepsilon_0\) and \(\omega \in \mathcal{D}_\varepsilon\), the spectrum of the Floquet operator \(K\) is pure point.

Let us explain our general strategy of proof of Theorem 1.2. In the phase space \(H^s \times H^s\) endowed with the symplectic 2-form \(idu \wedge d\bar{u}\) equation (1.1) reads as the Hamiltonian system associated to the Hamiltonian function

\[
H(u, \bar{u}) = h(u, \bar{u}) + \varepsilon q(\omega t, u, \bar{u})
\]

where

\[
h(u, \bar{u}) := \int_{\mathbb{R}^d} (|\nabla u|^2 + |x|^2 |u|^2) dx,
\]

\[
q(\omega t, u, \bar{u}) := \int_{\mathbb{R}^d} V(\omega t, x)|u|^2 dx.
\]

Decomposing \(u\) and \(\bar{u}\) on the basis \((\Phi_{j,l})(j,l)\in\mathcal{E}\) of real valued functions,

\[
u = \sum_{a \in \mathcal{E}} \xi_a \Phi_a, \quad \bar{u} = \sum_{a \in \mathcal{E}} \eta_a \Phi_a
\]

the phase space \((u, \bar{u}) \in H^s \times H^s\) becomes the phase space \((\xi, \eta) \in Y_s\)

\[
Y_s = \{\zeta = (\zeta_a \in \mathbb{C}^2, a \in \mathcal{E}) | \|\zeta\|_s < \infty\}
\]

where

\[
\|\zeta\|_s^2 = \sum_{a \in \mathcal{E}} |\zeta_a|^2 w_a^s.
\]
We endow $Y_s$ with the symplectic structure $id\xi \wedge d\eta$. In this setting the Hamiltonians read

$$h = \sum_{a \in E} w_a \xi_a \eta_a,$$

$$q = \langle \xi, Q(\omega t) \eta \rangle$$

where $Q$ is the infinite matrix whose entries are

$$Q^b_a(\omega t) = \int_{\mathbb{R}^d} V(\omega t, x) \Phi_a(x) \Phi_b(x) dx$$

defining a linear operator on $\ell_2(E, \mathbb{C})$ and $\langle \cdot, \cdot \rangle$ is the natural pairing on $\ell_2(E, \mathbb{C})$: $\langle \xi, \eta \rangle = \sum_{a \in E} \xi_a \eta_a$ (no complex conjugation).

Therefore Theorem 1.2 is equivalent to the reducibility problem for the Hamiltonian system associated to quadratic non autonomous Hamiltonian

$$\sum_{a \in E} w_a \xi_a \eta_a + \varepsilon \langle \xi, Q(\omega t) \eta \rangle.$$ 

This reducibility is obtained by constructing a canonical change of variables close to identity such that in the new variables the Hamiltonian is autonomous and reads

$$\sum_{a \in E} w_a \xi_a \eta_a + \varepsilon \langle \xi, Q_\infty \eta \rangle$$

where $Q_\infty$ is block diagonal: $(Q_\infty)^{b}_a = 0$ for $w_a \neq w_b$. This last condition means that, in the new variables, there is no interaction between modes of different energies, and this leads to Corollary 1.3.

The proof of the reducibility theorem is based on the following analysis already used in [3], [10], [13]: the non homogeneous Hamiltonian system

$$\begin{cases}
\dot{\xi}_a = -i\lambda_a \xi_a - i\varepsilon \langle (Q(\omega t) \xi)\rangle_a & a \in E \\
\dot{\eta}_a = i\lambda_a \eta_a + i\varepsilon \langle Q(\omega t) \eta \rangle_a
\end{cases}$$

is equivalent to the homogeneous system

$$\begin{cases}
\dot{\xi}_a = -i\lambda_a \xi_a - i\varepsilon \langle (Q(\varphi) \xi)\rangle_a \\
\dot{\eta}_a = i\lambda_a \eta_a + i\varepsilon \langle Q(\varphi) \eta \rangle_a \\
\dot{\varphi} = \omega
\end{cases}$$

Consequently the canonical change of variables is constructed applying a KAM strategy to the Hamiltonian

$$H(y, \varphi, \xi, \eta) = \omega \cdot y + \sum_{a \in E} w_a \xi_a \eta_a + \varepsilon \langle \xi, Q(\varphi) \eta \rangle$$

in the extended phase space $\mathcal{P}_s = \mathbb{R}^n \times \mathbb{T}^n \times Y_s$.

**Remark 1.5.** We can also prove a similar reducibility result for the Klein Gordon equation on the sphere $\mathbb{S}^d$, or for the beam equation on $\mathbb{T}^d$, by adapting the matrix space $M_{s, \beta}$ defined in Section 2 (see [12]). Nevertheless,
since we need a regularizing effect of the perturbation ($\beta > 0$ in [2.2]), in order to apply our method we cannot use it for NLS on compact domains.

Remark 1.6. The resolution of the reducibility problem for a linear Hamiltonian PDE leads naturally to a KAM result for the corresponding nonlinear PDE. Actually the KAM procedure for nonlinear perturbations consists, roughly speaking, in linearizing the nonlinear equation around a solution of the linear PDE and to reduce this linearized equation to a PDE with constant coefficients. This approach is possible in the case of the Klein Gordon equation on the sphere $S^d$ (see [12]) or in the one dimensional case (see [13]) with analytic regularity in the space direction $x$ : the extension to the $d$-dimensional quantum harmonic oscillator, following the realms of this paper and [12], is the goal of a forthcoming paper.

Remark 1.7. As a difference with [10] and [13], we work here in spaces of finite regularity in the space variable $x$. This allows us to get a better control of the inverse of block diagonal matrices, especially when the dimensions of the blocks are unbounded. In return, working with finite regularity in $x$ forbids any loss in this direction, at any step of the process (which is classically bypassed in the analytic case with a reduction of the analyticity strip).

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2. Reducibility theorem.

In this section we state an abstract reducibility theorem for quadratic quasiperiodic in time Hamiltonians of the form

$$\sum_{a \in \mathcal{E}} \lambda_a \xi_a \eta_a + \varepsilon \langle \xi, Q(\omega t) \eta \rangle.$$ 

2.1. Setting. First we need to introduce some notations.

Linear space. Let $s \geq 0$, we consider the complex weighted $\ell^2$-space

$$\ell^2_s = \{ \xi = (\xi_a \in \mathbb{C}, a \in \mathcal{E}) \mid \| \xi \|_s < \infty \}$$

where

$$\| \xi \|_s^2 = \sum_{a \in \mathcal{E}} |\xi_a|^2 w_a^s.$$ 

Then we define

$$Y_s = \ell^2_s \times \ell^2_s = \{ \zeta = (\zeta_a \in \mathbb{C}^2, a \in \mathcal{E}) \mid \| \zeta \|_s < \infty \}$$

where\(^2\)

$$\| \zeta \|_s^2 = \sum_{a \in \mathcal{E}} |\zeta_a|^2 w_a^s.$$ 

\(^2\) We provide $\mathbb{C}^2$ with the euclidian norm, $|\zeta_a| = |(\xi_a, \eta_a)| = \sqrt{|\xi_a|^2 + |\eta_a|^2}$. 


We provide the spaces $Y_s$, $s \geq 0$, with the symplectic structure $i d \xi \wedge d \eta$. To any $C^1$-smooth function defined on a domain $\mathcal{O} \subset Y_s$, corresponds the Hamiltonian equation

$$
\begin{align*}
\dot{\xi} &= -i \nabla f(\xi, \eta) \\
\dot{\eta} &= i \nabla \xi f(\xi, \eta)
\end{align*}
$$

where $\nabla f = \langle \nabla_\xi f, \nabla_\eta f \rangle$ is the gradient with respect to the scalar product in $Y_0$.

For any $C^1$-smooth functions, $F, G$, defined on a domain $\mathcal{O} \subset Y_s$, we define the Poisson bracket

$$
\{F, G\} = i \sum_{a \in \mathcal{E}} \frac{\partial F}{\partial \xi_a} \frac{\partial G}{\partial \eta_a} - \frac{\partial G}{\partial \xi_a} \frac{\partial F}{\partial \eta_a}.
$$

We will also consider the extended phase space

$$
\mathcal{P}_s = \mathbb{R}^n \times T^n \times Y_s \ni (y, \varphi, (\xi, \eta))
$$

For any $C^1$-smooth functions, $F, G$, defined on a domain $\mathcal{O} \subset \mathcal{P}_s$, we define the extended Poisson bracket (denoted by the same symbol)

$$
(2.1) \quad \{F, G\} = \nabla_y F \nabla_\varphi G - \nabla_y G \nabla_\varphi F + i \sum_{a \in \mathcal{E}} \frac{\partial F}{\partial \xi_a} \frac{\partial G}{\partial \eta_a} - \frac{\partial G}{\partial \xi_a} \frac{\partial F}{\partial \eta_a}.
$$

**Infinite matrices.** We denote by $\mathcal{M}_{s,\beta}$ the set of infinite matrix $A : \mathcal{L} \times \mathcal{L} \to \mathbb{C}$ that satisfy

$$
(2.2) \quad |A|_{s,\beta} := \sup_{a,b \in \mathcal{E}} (w_a w_b)^\beta \left\| A^{[b]}_{[a]} \right\| \left( \frac{\sqrt{\min(w_a, w_b)} + |w_a - w_b|}{\sqrt{\min(w_u, w_v)}} \right)^{s/2} < \infty
$$

where $A^{[b]}_{[a]}$ denotes the restriction of $A$ to the block $[a] \times [b]$ and $\| \cdot \|$ denotes the operator norm. Further we denote $\mathcal{M} = \mathcal{M}_{0,0}$. We will also need the space $\mathcal{M}_{s,\beta}^+$ the following subspace of $\mathcal{M}_{s,\beta}$: an infinite matrix $A \in \mathcal{M}$ is in $\mathcal{M}_{s,\beta}^+$ if

$$
|A|_{s,\beta^+} := \sup_{a,b \in \mathcal{E}} \frac{(w_a w_b)^\beta}{1 + |w_a - w_b|} \left\| A^{[b]}_{[a]} \right\| \left( \frac{\sqrt{\min(w_a, w_b)} + |w_a - w_b|}{\sqrt{\min(w_u, w_v)}} \right)^{s/2} < \infty
$$

The following structural lemma is proved in Appendix:

**Lemma 2.1.** Let $0 < \beta \leq 1$ and $s \geq 0$ there exists a constant $C \equiv C(\beta, s) > 0$ such that

(i) Let $A \in \mathcal{M}_{s,\beta}$ and $B \in \mathcal{M}_{s,\beta}^+$. Then $AB$ and $BA$ belong to $\mathcal{M}_{s,\beta}$ and

$$
|AB|_{s,\beta}, |BA|_{s,\beta} \leq C |A|_{s,\beta} |B|_{s,\beta^+}.
$$

(ii) Let $A, B \in \mathcal{M}_{s,\beta}^+$. Then $AB$ and $BA$ belong to $\mathcal{M}_{s,\beta}^+$ and

$$
|AB|_{s,\beta^+}, |BA|_{s,\beta^+} \leq C |A|_{s,\beta^+} |B|_{s,\beta^+}.
$$
(iii) Let $A \in \mathcal{M}_{s,\beta}$. Then for any $t \geq 1$, $A \in \mathcal{L}(\ell^2_t, \ell^2_{t-1})$ and
\[
\|A\xi\|_{-t} \leq C|A|_{s,\beta}\|\xi\|_t.
\]
(iv) Let $A \in \mathcal{M}_{s,\beta}^+$. Then $A \in \mathcal{L}(\ell^2_s, \ell^2_{s+2\beta})$ for all $0 \leq s' \leq s$ and
\[
\|A\xi\|_{s'+2\beta} \leq C|A|_{s,\beta}\|\xi\|_{s'}.
\]
Moreover $A \in \mathcal{L}(\ell^2_1, \ell^2_0)$ and
\[
\|A\xi\|_1 \leq C|A|_{s,\beta} + \|\xi\|_1.
\]

Notice that in particular, for all $\beta > 0$, matrices in $\mathcal{M}_{0,\beta}^+$ define bounded operator on $\ell^2_1$ but, even for $s$ large, we cannot insure that $\mathcal{M}_{s,\beta} \subset \mathcal{L}(\ell^2)$.

**Normal form:**

**Definition 2.2.** A matrix $Q : \mathcal{E} \times \mathcal{E} \to \mathbb{C}$ is in normal form, and we denote $Q \in \mathcal{N}\mathcal{F}$, if

(i) $Q$ is Hermitian, i.e. $Q^\dagger_a = \overline{Q^b_a}$,

(ii) $Q$ is block diagonal, i.e. $Q^b_a = 0$ for all $w_a \neq w_b$.

Notice that a block diagonal matrix with bounded blocks in operator norm defines a bounded operator on $\ell^2$ and thus we have $\mathcal{M}_{s,\beta}(\mathcal{D}, \sigma) \cap \mathcal{N}\mathcal{F} \subset \mathcal{L}(\ell^2)$.

To a matrix $Q = (Q^b_a) \in \mathcal{L}(\ell^2_s, \ell^2_{-t})$ we associate in a unique way a quadratic form on $Y_s \ni (\xi_a)_{a \in \mathcal{E}} = (\xi_a, \eta_a)_{a \in \mathcal{E}}$ by the formula
\[
q(\xi, \eta) = \langle \xi, Q\eta \rangle = \sum_{a,b \in \mathcal{E}} Q^b_a \xi_a \eta_b.
\]

We notice for later use that
\[
(2.3) \quad \{q_1, q_2\}(\xi, \eta) = -i\langle \xi, [Q_1, Q_2]\eta \rangle
\]
where
\[
[Q_1, Q_2] = Q_1 Q_2 - Q_2 Q_1
\]
is the commutator of the two matrices $Q_1$ and $Q_2$.

If $Q \in \mathcal{M}_{s,\beta}$ then
\[
(2.4) \quad \sup_{a,b \in \mathcal{E}} \left\langle (\nabla \xi \nabla \eta)_{[a]}^{[b]} \rightangle \leq \frac{|Q|_{s,\beta}}{(w_a w_b)^{3}} \left( \frac{\sqrt{\min(w_a, w_b)}}{\sqrt{\min(w_a, w_b) + |w_a - w_b|}} \right)^{s/2}.
\]

**Parameter.** In all the paper $\omega$ will play the role of a parameter belonging to $\mathcal{D}_0 = [0, 2\pi]^n$. All the constructed functions will depend on $\omega$ with $C^1$ regularity. When a function is only defined on a Cantor subset of $\mathcal{D}_0$ the regularity has to be understood in the Whitney sense.

**A class of quadratic Hamiltonians.** Let $s \geq 0$, $\beta > 0$, $\mathcal{D} \subset \mathcal{D}_0$ and $\sigma > 0$. We denote by $\mathcal{M}_{s,\beta}(\mathcal{D}, \sigma)$ the set of $C^1$ mappings
\[
\mathcal{D} \times \mathcal{T}_\sigma \ni (\omega, \varphi) \to Q(\omega, \varphi) \in \mathcal{M}_{s,\beta}
\]
which is real analytic in $\varphi \in T_\sigma := \{ \varphi \in \mathbb{C}^n \mid |\Im \varphi| < \sigma \}$. This space is equipped with the norm

$$[Q]^{D,\sigma}_{s,\beta} = \sup_{\omega \in D, j=0,1} |\partial_\omega^j Q(\omega, \varphi)|_{s,\beta}.$$  

In view of Lemma 2.1 (iii), to a matrix $Q \in \mathcal{M}_{s,\beta}(D, \sigma)$ we can associate the quadratic form on $Y_1$

$$q(\xi, \eta; \omega, \varphi) = \langle \xi, Q(\omega, \varphi) \eta \rangle$$

and we have

$$(2.5) \quad |q(\xi, \eta; \omega, \varphi)| \leq [Q]^{D,\sigma}_{s,\beta} \| (\xi, \eta) \|_1^2 \quad \text{for } (\xi, \eta) \in Y_1, \omega \in D, \varphi \in T_\sigma.$$  

The subspace of $\mathcal{M}_{s,\beta}(D, \sigma)$ formed by Hamiltonians $S$ such that $S(\omega, \varphi) \in \mathcal{M}^+_{s,\beta}$ is denoted by $\mathcal{M}^+_{s,\beta}(D, \sigma)$ and is equipped with the norm

$$[S]^{D,\sigma}_{s,\beta+} = \sup_{\omega \in D, j=0,1} |\partial_\omega^j S(\omega, \varphi)|_{s,\beta+}.$$  

The space of Hamiltonians $N \in \mathcal{M}_{s,\beta}(D, \sigma)$ that are independent of $\varphi$ will be denoted by $\mathcal{M}_{s,\beta}(D)$ and is equipped with the norm

$$[N]^{D}_{s,\beta} = \sup_{\omega \in D, j=0,1} |\partial_\omega^j N(\omega)|_{s,\beta}.$$  

**Hamiltonian flow.** To any $S \in \mathcal{M}^+_{s,\beta}$ with $s \geq 0$ and $\beta > 0$ we associate the symplectic linear change of variable on $Y_s$:

$$(\xi, \eta) \mapsto (e^{-itS} \xi, e^{itS} \eta).$$

It is well defined and invertible in $\mathcal{L}(Y_{s'})$ for all $0 \leq s' \leq \max(1, s)$ as a consequence of Lemma 2.1 (iv). We note that it corresponds to the flow at time 1 generated by the quadratic Hamiltonian $(\xi, \eta) \mapsto \langle \xi, S \eta \rangle$. Notice that a necessary and sufficient condition for this flow to preserve the symmetry $\eta = \overline{\xi}$ (verified by any initial condition considered in this paper) is

$$(2.6) \quad t S = \overline{S},$$

that is, $S$ is a hermitian matrix.

When $S$ also depends smoothly on $\varphi$, $\mathbb{T}^n \ni \varphi \mapsto S(\varphi) \in \mathcal{M}^+_{s,\beta}$ we associate to $S$ the symplectic linear change of variable on the extended phase space $\mathcal{P}_s$:

$$(2.7) \quad \Phi_S(y, \varphi, \xi, \eta) \mapsto (\tilde{y}, \varphi, e^{-itS} \xi, e^{itS} \eta)$$

where $\tilde{y}$ is the solution at time $t = 1$ of the equation $\dot{\tilde{y}} = \langle e^{-itS} \xi, \nabla_\varphi S e^{itS} \eta \rangle$ with $\tilde{y}(0) = y$. We note that it corresponds to the flow at time 1 generated by the Hamiltonian $(y, \varphi, \xi, \eta) \mapsto \langle \xi, S(\varphi) \eta \rangle$. Concretely we will never calculate $\tilde{y}$ explicitly since the non homogeneous Hamiltonian system (1.12) is equivalent to the system (1.13) where the variable conjugated to $\varphi$ is not required.
2.2. **Hypothesis on the spectrum.** Now we formulate our hypothesis on $\lambda_a$, $a \in \mathcal{E}$:

**Hypothesis A1 – Asymptotics.** We assume that there exists an absolute constant $c_0 > 0$ such that

\[
\lambda_a \geq c_0 w_a \quad a \in \mathcal{E}
\]

and

\[
|\lambda_a - \lambda_b| \geq c_0 |w_a - w_b| \quad a, b \in \mathcal{E}
\]

**Hypothesis A2 – second Melnikov condition in measure.** There exist absolute constants $\alpha_1 > 0$, $\alpha_2 > 0$ and $C > 0$ such that the following holds:

\[
\text{for each } \kappa > 0 \text{ and } K \geq 1 \text{ there exists a closed subset } D' = D'(\kappa, K) \subset D \text{ (where } D \text{ is the initial set of vector frequencies) satisfying }
\]

\[
\text{meas}(D \setminus D') \leq CK^{\alpha_1 \kappa \alpha_2}
\]

such that for all $\omega \in D'$, all $k \in \mathbb{Z}^n$ with $0 < |k| \leq K$ and all $a, b \in \mathcal{L}$ we have

\[
|k \cdot \omega + \lambda_a - \lambda_b| \geq \kappa (1 + |w_a - w_b|).
\]

2.3. **The reducibility Theorem.** Let us consider the non autonomous Hamiltonian

\[
H_\omega(t, \xi, \eta) = \sum_{a \in \mathcal{E}} \lambda_a \xi_a \eta_a + \varepsilon \langle \xi, Q(\omega t) \eta \rangle
\]

and the associated Hamiltonian system on $Y_s$

\[
\begin{cases}
\dot{\xi} &= -i N_0 \xi - i \varepsilon t Q(\omega t) \xi \\
\dot{\eta} &= i N_0 \eta + i \varepsilon Q(\omega t) \eta
\end{cases}
\]

where $N_0 = \text{diag}(\lambda_a \mid a \in \mathcal{E})$.

**Theorem 2.3.** Fix $s \geq 0$, $\sigma > 0$, $\beta > 0$. Assume that $(\lambda_a)_{a \in \mathcal{E}}$ satisfies Hypothesis A1, A2, and that $Q \in M_{s, \beta}(D, \sigma)$. Fix $0 < \delta \leq \delta_0 := \frac{\beta^2 \alpha_2}{10(2 + d + 2s \alpha_2 d + 2d)}$. Then there exists $\varepsilon_* > 0$ and if $0 < \varepsilon < \varepsilon_*$, there exist

(i) a Cantor set $D_\varepsilon \subset D$ with $\text{Meas}(D \setminus D_\varepsilon) \leq \varepsilon^\delta$;

(ii) a $C^1$ family (in $\omega \in D_\varepsilon$) of real analytic (in $\varphi \in \mathbb{T}_{\sigma/2}$) linear, unitary and symplectic coordinate transformation on $Y_0$:

\[
\begin{cases}
Y_0 &\rightarrow Y_0 \\
(\xi, \eta) &\rightarrow \Psi_{\omega}(\varphi)(\xi, \eta) = \langle M_\omega(\varphi) \xi, M_\omega(\varphi) \eta \rangle, \quad \omega \in D_\varepsilon, \varphi \in \mathbb{T}_{\sigma/2};
\end{cases}
\]

(iii) a $C^1$ family of quadratic autonomous Hamiltonians in normal form

\[
\mathcal{H}_\omega = \langle \xi, N(\omega) \eta \rangle, \quad \omega \in D_\varepsilon,
\]

where $N(\omega) \in \mathcal{N}_F$, in particular block diagonal (i.e. $N^b_a = 0$ for $w_a \neq w_b$), and is close to $N_0 = \text{diag}(\lambda_a \mid a \in \mathcal{E})$: $N(\omega) - N_0 \in M_{s, \beta}$ and

\[
\|N(\omega) - N_0\|_{s, \beta} \leq 2\varepsilon \quad \omega \in D_\varepsilon;
\]
such that
\[ H_\omega(t, \Psi_\omega(\omega t)(\xi, \eta)) = H_\omega(\xi, \eta), \quad t \in \mathbb{R}, \; (\xi, \eta) \in Y_1, \; \omega \in D_\varepsilon. \]

Furthermore \( \Psi_\omega(\varphi) \) and \( \Psi_\omega(\varphi)^{-1} \) are bounded operators from \( Y_{s'} \) into itself for all \( 0 \leq s' \leq \max(1, s) \) and they are close to identity:
\[
\| M_\omega(\varphi) - Id \|_{\mathcal{L}(\ell^2_s, \ell^2_{s+2\beta})}, \quad \| M_\omega(\varphi)^{-1} - Id \|_{\mathcal{L}(\ell^2_s, \ell^2_{s+2\beta})} \leq \varepsilon^{1-\delta/\delta_0}.
\]

Remark 2.4. Although \( \Psi_\omega(\varphi) \) is defined on \( Y_0 \), the normal form \( N \) (in particular \( N_0 \)) defines a quadratic form on \( Y_s \) only when \( s \geq 1 \). Nevertheless its flow is well defined and continuous from \( Y_0 \) into itself (cf. (3.6)). Fortunately our change of variable \( \Psi_\omega(\varphi) \) is always well defined on \( Y_1 \) even when \( Q \in M_{0, \beta}(D, \sigma) \) (i.e. when \( s = 0 \)). This is essentially a consequence of the second part of Lemma 2.1 assertion (iv). We also remark that \( \Psi_\omega(\varphi) - Id \in \mathcal{L}(Y_s, Y_{s+2\beta}) \), hence it is a regularizing operator.

Remark 2.5. Notice that \( \Psi_\omega(\varphi) - Id \in \mathcal{L}(Y_s, Y_{s+2\beta}) \), i.e. it is a regularizing operator.

Theorem 2.3 is proved in Section 4.

3. Applications to the quantum harmonic oscillator on \( \mathbb{R}^d \)

In this section we prove Theorem 1.2 as a corollary of Theorem 2.3. We use notations introduced in the introduction.

3.1. Verification of the hypothesis. We first verify the hypothesis of Theorem 1.2

Lemma 3.1. When \( \lambda_a = w_a, \ a \in E, \) Hypothesis A1 and A2 hold true with \( c_0 = 1/2 \) and \( D = [0, 1]^n \).

Proof. The asymptotics A1 are trivially verified with \( c_0 = 1 \).

It is well known (see for instance [1]) that for \( \tau > n \) the diophantine set
\[
G_\tau(\kappa) := \{ \omega \in [0, 2\pi]^n \mid |\langle \omega, k \rangle + j| \geq \frac{\kappa}{|k|^\tau}, \text{ for all } j \in \mathbb{Z} \text{ and } k \in \mathbb{Z}^n \setminus \{0\} \}
\]
satisfies
\[
\operatorname{meas} \left( [0, 2\pi]^n \setminus G_\tau(\kappa) \right) \leq C(\tau) \kappa.
\]

Since \( w_a - w_b \in \mathbb{Z} \), Hypothesis A2 it satisfies choosing
\[
D = [0, 1]^n, \quad D' = G_{n+1}(\kappa N^{n+1}), \quad \alpha_1 = n + 1 \text{ and } \alpha_2 = 1.
\]

Lemma 3.2. Let \( d \geq 1 \). Suppose that
\[
\begin{cases}
  s \geq 0 & \text{if } d = 1 \\
  s > 2(d-2) & \text{if } d \geq 2
\end{cases}
\]
and \( V \in \mathcal{H}^s \). Then there exists \( \beta(d, s) > 0 \) such that the matrix \( Q \) defined by

\[
Q_a^b = \int_{\mathbb{R}^d} V(x) \Phi_a(x) \Phi_b(x) \, dx
\]

belongs to \( \mathcal{M}_{s, \beta(d, s)} \). Moreover, there exists \( C(d, s) > 0 \) such that

\[
|Q|_{s, \beta} \leq C(d, s) \|V\|_s.
\]

As a consequence if \( V \) is admissible (see Definition 1.1) then, defining

\[
Q_a^b(\phi) = \int_{\mathbb{R}^d} V(\phi, x) \Phi_a(x) \Phi_b(x) \, dx,
\]

the mapping \( \phi \mapsto Q(\phi) \) belongs to \( \mathcal{M}_{s, \beta}(D_0, \sigma) \) for some \( \sigma > 0 \).

**Proof.** First we notice that

\[
\|Q_a^b\| = \sup_{\|u\|, \|v\| = 1} |\langle Q_{[a][b]} u, v \rangle| = \sup_{\Psi_a \in E_{[a]}, \|\Psi_a\| = 1} \sup_{\Psi_b \in E_{[b]}, \|\Psi_b\| = 1} \left| \int_{\mathbb{R}^d} V(x) \Psi_a \Psi_b \, dx \right|
\]

where \( E_{[a]} \) (resp. \( E_{[b]} \)) is the eigenspace of \( T \) associated to the cluster \([a]\) (resp. \([b]\)). Then we follow arguments developed in [2, Proposition 2] and already used in the context of the harmonic oscillator in [11]. The basic idea lies in the following commutator lemma: Let \( A \) be a linear operator which maps \( \mathcal{H}^s \) into itself and define the sequence of operators

\[
A_N := [T, A_{N-1}], \quad A_0 := A
\]

then by [2, Lemma 7], we have for any \( a, b \in \mathcal{L} \) with \( w_a \neq w_b \), for any \( \Psi_a \in E_{[a]} \), \( \Psi_b \in E_{[b]} \) and any \( N \geq 0 \)

\[
|\langle A \Psi_a, \Psi_b \rangle| \leq \frac{1}{|w_a - w_b|^N} |\langle A_N \Psi_a, \Psi_b \rangle| = \frac{1}{|w_a - w_b|^N} \|\Psi_b\|_{L^\infty} \|A_N \Psi_a\|_{L^1}.
\]

Let \( A \) be the operator given by the multiplication by the function \( V(x) \). Then, by an induction argument,

\[
A_N = \sum_{0 \leq |\alpha| \leq N} C_{\alpha, N} D^\alpha \quad \text{with} \quad C_{\alpha, N} = \sum_{0 \leq |\beta| \leq 2N - |\alpha|} P_{\alpha, \beta, N}(x) D^\beta V
\]

and \( P_{\alpha, \beta, N} \) are polynomials of degree less than \( 2N - |\alpha| - |\beta| \).

We first address the case \( d = 1 \), that we treat in the same way as in [13]. In this case, we have in [17] the following estimate on \( L^\infty \) norm of Hermite eigenfunctions with \( \|\Psi_b\|_{L^2} = 1 \),

\[
\|\Psi_b\|_{L^\infty} \leq w_b^{-1/12}.
\]
On the other hand, for $N \geq 0$, we have
\[
\|A_N\Psi_a\|_{L^1} \leq \sum_{0 \leq |\alpha| \leq N} \sum_{0 \leq |\beta| \leq 2N - |\alpha|} \|P_{\alpha,\beta,N}(x)D^\beta V D^\alpha \Psi_a\|_{L^1}
\leq C \sum_{0 \leq |\alpha| \leq N} \sum_{0 \leq |\beta| \leq 2N - |\alpha| |\gamma| \leq 2N - |\alpha| - |\beta|} \|\langle x \rangle^\gamma D^\beta V D^\alpha \Psi_a\|_{L^1}
\leq C \sum_{0 \leq |\alpha| \leq N} \sum_{0 \leq |\beta| \leq 2N - |\alpha| |\gamma| \leq 2N - |\beta|} \|\langle x \rangle^\gamma D^\beta V\|_{L^2} \sum_{|\gamma| \leq \alpha} \|\langle x \rangle^{\gamma} D^\alpha \Psi_a\|_{L^2}
\leq C \|V\|_{2N} \|\Psi_a\|_N,
\]
where $\langle x \rangle^\alpha = \prod_{i=1}^{d} (1 + |x_i|^2)^{\alpha_i/2}$ for $\alpha \in \mathbb{N}^d$. Moreover, since $T\Psi_a = w_a \Psi_a$ and $\|\Psi_a\|_{L^2} = 1$,

\[(3.1) \quad \|\Psi_a\|_{N} \leq C w_a^{N/2}.
\]
Therefore choosing $N = s/2$, we obtain
\[
\left|\int_{\mathbb{R}^d} \Psi_a \Psi_b V dx\right| \leq \frac{C}{w_b^{1/12}} \left(\frac{\sqrt{w_a}}{|w_a - w_b|}\right)^{s/2} \|V\|_{s}
\leq \frac{2^{s/2}}{w_b^{1/12}} C \left(\frac{\sqrt{w_a}}{|w_a + |w_a - w_b||}\right)^{s/2} \|V\|_{s}
\]
where we used that if $\sqrt{w_a} \leq |w_a - w_b|$ then $\frac{\sqrt{w_a}}{|w_a - w_b|} \leq 2 \frac{\sqrt{w_a}}{\sqrt{w_a + |w_a - w_b|}}$ while if $\sqrt{w_a} \geq |w_a - w_b|$ then $\frac{\sqrt{w_a}}{\sqrt{w_a + |w_a - w_b|}} \geq \frac{1}{2}$ and since $|\int_{\mathbb{R}^d} \Psi_a \Psi_b V dx| \leq \|V\|_{L^\infty}$, (3.2) is still true providing that $C$ is large enough. Exchanging $a$ and $b$ gives
\[
\left|\int_{\mathbb{R}^d} \Psi_a \Psi_b V dx\right| \leq \frac{2^{s/2} C}{\max(w_a, w_b)^{1/12}} \left(\frac{\sqrt{\min(w_a, w_b)}}{\sqrt{\min(w_a, w_b) + |w_a - w_b|}}\right)^{s/2} \|V\|_{s}
\leq \frac{2^{s/2} C}{(w_a w_b)^{1/24}} \left(\frac{\sqrt{\min(w_a, w_b)}}{\sqrt{\min(w_a, w_b) + |w_a - w_b|}}\right)^{s/2} \|V\|_{s},
\]
hence $Q \in \mathcal{M}_{s,1/24}$ and $|Q|_{s,1/24} \leq C(d, s) \|V\|_{s}$. The case $s \notin 2N$ comes after a standard interpolation argument, the Stein-Weiss theorem (see e.g. [5 Corollary 5.5.4]) : indeed, fixing $a$, $b$ and $s_0 = 2N$, we may estimate the norm of the linear form $V \mapsto \int_{\mathbb{R}^d} \Psi_a \Psi_b V dx$ acting on $\mathcal{H}^s$ for $s = \theta s_0$, $\theta \in [0,1]$, using the direct estimate
\[
\left|\int_{\mathbb{R}^d} \Psi_a \Psi_b V dx\right| \leq \frac{C'}{(w_a w_b)^{1/24}} \|V\|_{L^2}
\]
and (3.3), and we get
\[
\left|\int_{\mathbb{R}^d} \Psi_a \Psi_b V dx\right| \leq \frac{C'}{(w_a w_b)^{1/24}} \left(\frac{\sqrt{\min(w_a, w_b)}}{\sqrt{\min(w_a, w_b) + |w_a - w_b|}}\right)^{s_0/2} \|V\|_{s_0}.
\]
We now treat the case \( d \geq 2 \). Take \( p > 2 \) if \( d = 2 \) and \( 2 < p < \frac{2d}{d-2} \) if \( d \geq 3 \). Using the Hölder inequality, we get, for \( \frac{1}{p} + \frac{1}{q} = 1 \),

\[
|\langle A \Psi_a, \Psi_b \rangle| \leq \frac{1}{|w_a - w_b|^s} \|\Psi_b\|_{L^p} A_N \|\Psi_a\|_{L^q} .
\]

In \([17]\), the \( L^p \) estimate on Hermite eigenfunctions (with \( \|\Psi_b\|_{L^2} = 1 \)) gives

\[
\|\Psi_b\|_{L^p} \leq w_b^{-\tilde{\beta}(p)} ,
\]

with \( \tilde{\beta}(p) = \frac{1}{3p} \) if \( d = 2 \) (and \( \tilde{\beta}(p) = \frac{1}{2} \left( \frac{d}{3p} - \frac{d-2}{6} \right) \) > 0 if \( d > 2 \) and \( \frac{2(d+3)}{d+1} \leq p < \frac{2d}{d-2} \). Moreover, we may estimate \( \|A_N \Psi_a\|_{L^q} \), using Young inequality (with \( \frac{1}{2} + \frac{1}{q} = \frac{d}{2} \))

\[
\|A_N \Psi_a\|_{L^q} \leq \sum_{0 \leq |\alpha| \leq N} \sum_{0 \leq |\beta| \leq 2N - |\alpha|} \|P_{\alpha, \beta, N}(x) D^\beta V D^\alpha \Psi_a\|_{L^q}
\]

\[
\leq C \left( \sum_{0 \leq |\alpha| \leq N/2} \sum_{0 \leq |\beta| \leq 2N - |\alpha|} \|\langle x \rangle^\gamma D^\beta V\|_{L^2} \sum_{|\gamma| \leq \alpha} \|\langle x \rangle^{-|\gamma|} \Psi_a\|_{L^r} + \sum_{N/2 < |\alpha| \leq N} \sum_{0 \leq |\beta| \leq 2N - |\alpha| - |\beta|} \|\langle x \rangle^\gamma D^\beta V\|_{L^r} \|D^\alpha \Psi_a\|_{L^2} \right)
\]

\[
\leq C \left( \|V\|_{2N} \|\Psi_a\|_{N/2 + \nu} + \|V\|_{3N/2 + \nu} \|\Psi_a\|_{N} \right) ,
\]

using the embedding \( \mathcal{H}^\nu(\mathbb{R}^d) \hookrightarrow H^\nu(\mathbb{R}^d) \) composed with the Sobolev embedding \( H^\nu(\mathbb{R}^d) \hookrightarrow L^r(\mathbb{R}^d) \), valid for \( \nu \geq d \left( \frac{1}{2} - \frac{1}{r} \right) = \frac{d}{p} > \frac{d-2}{2} \). Hence, for \( s = 2N \) and \( \nu \leq \frac{N}{2} = \frac{s}{4} \), i.e. \( s > 2(d - 2) \), we have

\[
\left| \int_{\mathbb{R}^d} \Psi_a \Psi_b V dx \right| \leq \frac{C_N}{w_b^{\tilde{\beta}(p)}} \frac{1}{|w_a - w_b|^{s/2}} \|\Psi_a\|_{s/2} \|V\|_s
\]

\[
\leq \frac{C'_N}{w_b^{\tilde{\beta}(p)}} \frac{w_a^{s/4}}{|w_a - w_b|^{s/2}} \|V\|_s ,
\]

and thus

(3.4)

\[
\left| \int_{\mathbb{R}^d} \Psi_a \Psi_b V dx \right| \leq \frac{C'_N}{(w_a w_b)^{\tilde{\beta}(p)/2}} \left( \frac{\min(w_a, w_b)^{1/2}}{\min(w_a, w_b)^{1/2} + |w_a - w_b|} \right)^{s/2} \|V\|_s ,
\]

using the same trick as in the case \( d = 1 \). Now fixing \( p(d, s) \) satisfying all the constraints \( 2 < p < \frac{2d}{d-2} \) and \( p \geq \frac{4d}{s} \) (which is always possible since \( \frac{4d}{s} < \frac{2d}{d-2} \)) and defining \( \tilde{\beta}(d, s) = \tilde{\beta}(p(d, s)) \) gives the result for an even integer \( s \) satisfying \( s > 2(d - 2) \). In order to get the estimate for any real number \( s > 2(d - 2) \), we interpolate: we take any even integer \( s_0 \) larger
than \( s \), and define \( s_1 = 0 \) and \( p = +\infty \) in the case \( d = 2 \), and \( s_1 = 2(d-2) \), \( p = \frac{2d}{d-2} \) if \( d > 2 \). There exists \( \theta \in [0, 1] \) such that \( s = \theta s_0 + (1 - \theta) s_1 \).

Moreover, following the last computations, we easily find

\[
| \int_{\mathbb{R}^d} \Psi_a \Psi_b V \, dx | \leq C \left( \frac{\min(w_a, w_b)^{1/2}}{\min(w_a, w_b)^{1/2} + |w_a - w_b|} \right)^{s_1/2} \| V \|_{s_1} .
\]

Hence, using \([5, \text{Corollary 5.5.4}]\), (3.4) and (3.5), interpolation gives the desired estimate for \( s_1 < s \leq s_0 \).

3.2. Proof of Theorem 1.2 and Corollaries 1.3, 1.4. The Schrödinger equation (1.5) is a Hamiltonian system on \( H^s \times H^s \) \((s \geq 1)\) governed by the Hamiltonian function \((2.10)\). Expanding it on the orthonormal basis \((\Phi_a)_{a \in \mathcal{E}}\), it is equivalent to the Hamiltonian system on \( \mathcal{Y}_s \) governed by \((1.11)\) which reads as \((2.13)\) with \( \lambda_a = w_a \) and \( Q \) given by \((1.10)\). By Lemmas 3.1, 3.2, if \( V \) is \( s \)-admissible, we can apply Theorem 2.3 to \((1.11)\) and this leads to Theorem 1.2. More precisely, in the new coordinates given by Theorem 1.2,

\[
(\xi'(t), \eta'(t)) = (M_{\omega}(\omega t) \xi, M_{\omega}(\omega t) \eta),
\]

the system \((1.12)\) becomes autonomous and decomposes in blocks as follows (remark that since \( N \) is in normal form we have \( tN = 0 \)):

\[
\begin{align*}
\dot{\xi}'_{[a]} &= -i N_{[a]}^{\prime} \xi_{[a]}', \\
\dot{\eta}'_{[a]} &= i N_{[a]} \eta_{[a]}',
\end{align*}
\]

In particular, the solution \( u(t, x) \) of \((1.5)\) corresponding to the initial datum \( u_0(x) = \sum_{a \in \mathcal{E}} \xi(0)_a \Phi_a(x) \in H^1 \) reads \( u(t, x) = \sum_{a \in \mathcal{E}} \xi(t)_a \Phi_a(x) \) with

\[
\xi(t) = tM_{\omega}(\omega t)e^{-iNt} \overline{M_{\omega}(0)} \xi(0).
\]

In other words, let us define the transformation \( \Psi(\varphi) \in \mathcal{L}(\mathcal{H}^s) \) by

\[
\Psi(\varphi) \left( \sum_{a \in \mathcal{E}} \xi_a \Phi_a(x) \right) = \sum_{a \in \mathcal{E}} \left( M_{\omega}^{\prime}(\varphi) \right)^{\prime} \xi_a \Phi_a(x).
\]

Then \( u(t, x) \) satisfies \((1.5)\) if and only if \( v(t, \cdot) = \Psi(\omega t)u(t, \cdot) \) satisfies

\[
i \partial_t v + (-\Delta + |x|^2) v + \varepsilon W(v) = 0,
\]

where \( W \) is defined as follows:

\[
W \left( \sum_{a \in \mathcal{E}} \xi_a \Phi_a \right) = \sum_{a \in \mathcal{E}} (N_{\omega} \xi)_a \Phi_a.
\]

Furthermore, remembering the construction of \( N_{\omega} \) (see \((4.36)\) and \((4.25)\)) we get that

\[
\| N_{\omega} - (N_0 + \tilde{N}_1) \| \leq 2\varepsilon_1 = 2\varepsilon^{3/2}
\]

which leads to \((1.6)\). This achieves the proof of Theorem 1.2.
To prove Corollary 1.3 let us explicit the formula (3.7). The exponential map $e^{-i\mathcal{N}t}$ decomposes on the finite dimensional blocks:

\[(e^{-i\mathcal{N}t})_a = e^{-i\mathcal{N}_a t}\]

and $\mathcal{N}_a$ diagonalizes in orthonormal basis:

\[P_\mathcal{N}_a [\mathcal{N}_a] t P_\mathcal{N}_a = \text{diag}(\mu_c), \quad P_\mathcal{N}_a t P_\mathcal{N}_a = I_d_a\]

where $\mu_c$ are real numbers that, in view of (2.14), satisfy

\[|\mu_a - \lambda_a| \leq C \frac{\varepsilon}{w_0^2} \beta, \quad a \in \mathcal{E}.
\]

Thus

\[u(t, x) = \sum_{a \in \mathcal{E}} \xi_a(t) \Phi_a(x)\]

where

\[\xi(t) = t M_\omega(\omega t) PD(t)^t \overline{PM_\omega(0)} \xi(0)\]

with

\[D(t) = \text{diag}(e^{i\mu_c t}, \ c \in \mathcal{E})\]

and $P$ is the $\ell^2$ unitary block diagonal map whose diagonal blocks are $P_\mathcal{N}_a$. In particular the solutions are all almost periodic in time with frequencies vector $(\omega, \mu)$. Furthermore, since $\|P\xi\|_s = \|\xi\|_s$ and $M_\omega(\varphi)$ is close to identity (see estimate (2.15)) we deduce (1.7).

Now it remains to prove Corollary 1.4. Defining, for any $c \in \mathcal{E}$ the sequence $\delta^c \in \ell^2$ as $\delta^c = 1$ and $\delta^{c_a} = 0$ if $a \neq c$, then the function $u(t, x)$ defined as

\[u(t, x) = e^{i\mu_c t} \sum_{a \in [c]} (t M_\omega(\omega t) P \delta^c)_a \Phi_a(x)\]

solves (1.5) if and only if $\mu_c + k \cdot \omega$ is an eigenvalue of $K$ defined in (1.8), with associated eigenfunction

\[(\theta, x) \mapsto e^{i\theta, k} \sum_{a \in [c]} (t M_\omega(\theta) P \delta^c)_a \Phi_a(x).
\]

This shows that the spectrum of the Floquet operator (1.8) equals \[\{\mu_c + k \cdot \omega \mid k \in \mathbb{Z}^n, \ c \in \mathcal{E}\}\] and thus Corollary 1.4 is proved.

4. Proof of Theorem 2.3

4.1. General strategy. Let $h$ be a Hamiltonian in normal form:

\[h(y, \varphi, \xi, \eta) = \omega \cdot y + \langle \xi, N(\omega) \eta \rangle\]

with $N$ in normal form (see Definition 2.2). Notice that at the beginning of the procedure $N$ is diagonal,

\[N = N_0 = \text{diag}(w_a, \ a \in \mathcal{E})\]

and is independent of $\omega$. Let $q$ be a quadratic Hamiltonian of the form

\[q(\xi, \eta) = \langle \xi, Q(\varphi) \eta \rangle\]
and of size $O(\varepsilon)$.
We search for a quadratic hamiltonian $\chi(\varphi, \xi, \eta) = \langle \xi, S(\varphi) \eta \rangle$ with $S = O(\varepsilon)$ such that its time-one flow $\Phi_S \equiv \Phi^{t=1}_S$ transforms the Hamiltonian $h + q$ into

$$(h + q(\varphi)) \circ \Phi_S = h_+ + q_+ (\varphi),$$

where $h_+$ is a new normal form, $\varepsilon$-close to $h$, and the new perturbation $q_+$ is of size $O(\varepsilon^2)$.

As a consequence of the Hamiltonian structure we have (at least formally) that

$$(h + q(\varphi)) \circ \Phi_S = h + \{h, \chi\} + q(\varphi) + O(\varepsilon^2).$$

So to achieve the goal above we should solve the homological equation:

(4.2) \[ \{h, \chi\} = h_+ - h - q(\varphi) + O(\varepsilon^2). \]

or equivalently (see (2.1) and (2.3))

(4.3) \[ \omega \cdot \nabla \varphi S - i[N, S] = N_+ - N - Q + O(\varepsilon^2). \]

Repeating iteratively the same procedure with $h_+$ instead of $h$, we will construct a change of variable $\Phi$ such that

$$(h + q(\varphi)) \circ \Phi = h_\infty,$$

with $h_\infty = \omega \cdot y + \langle \xi, N_\infty(\omega) \eta \rangle$ in normal form. Note that we will be forced to solve the homological equation, not only for the diagonal normal form $N_0$, but for more general normal form Hamiltonians (4.1) with $N$ close to $N_0$.

4.2. Homological equation. In this section we will consider a homological equation of the form

(4.4) \[ \omega \cdot \nabla \varphi S - i[N, S] + Q = \text{remainder} \]

with $N$ in normal form close to $N_0$ and $Q \in \mathcal{M}_{s,\beta}$. We will construct a solution $S \in \mathcal{M}^+_{s,\beta}$.

Proposition 4.1. Let $\mathcal{D} \subset \mathcal{D}_0$. Let $\mathcal{D} \ni \rho \mapsto N(\omega) \in \mathcal{N}\mathcal{F}$ be a $C^1$ mapping that verifies

(4.5) \[ \left\| \partial^j_\omega (N(\omega) - N_0)_{[a]} \right\| \leq \frac{c_0}{4w_a^{2\beta}} \]

for $j = 0, 1$, $a \in \mathcal{E}$ and $\omega \in \mathcal{D}$. Let $Q \in \mathcal{M}_{s,\beta}$, $0 < \kappa \leq c_0/2$ and $K \geq 1$.

Then there exists a subset $\mathcal{D}' = \mathcal{D}'(\kappa, K) \subset \mathcal{D}$, satisfying

(4.6) \[ \text{meas}(\mathcal{D} \setminus \mathcal{D}') \leq CK^{-71}K^{72}, \]

and there exist $C^1$-functions $\tilde{N} : \mathcal{D}' \to \mathcal{M}_{s,\beta} \cap \mathcal{N}\mathcal{F}$, $S : \mathbb{T}^n_\sigma \times \mathcal{D}' \to \mathcal{M}^+_{s,\beta}$ hermitian and $R : \mathbb{T}^n_\sigma \times \mathcal{D}' \to \mathcal{M}_{s,\beta}$, analytic in $\varphi$, such that

(4.7) \[ \omega \cdot \nabla \varphi S - i[N, S] = \tilde{N} - Q + R \]
and for all \((\varphi, \omega) \in T^m_{\alpha'} \times D', \sigma' < \sigma\), and \(j = 0, 1\)

\[
(4.8) \quad \left| \partial_{\omega}^j R(\varphi, \omega) \right|_{s,\beta} \leq C \frac{K^{1+\frac{d}{2}}e^{-\frac{1}{2}(\sigma-\sigma')K}}{\kappa^{1+\frac{d}{2}}(\sigma-\sigma')^n} \sup_{j=0,1} \left| \partial_{\omega}^j Q(\varphi) \right|_{s,\beta},
\]

\[
(4.9) \quad \left| \partial_{\omega}^j S(\varphi, \omega) \right|_{s,\beta} \leq C \frac{K^{d+1}}{\kappa^{\frac{d}{2}+2}(\sigma-\sigma')^n} \sup_{j=0,1} \left| \partial_{\omega}^j Q(\varphi) \right|_{s,\beta},
\]

\[
(4.10) \quad \left| \partial_{\omega}^j \bar{N}(\omega) \right|_{s,\beta} \leq \sup_{|\omega|<\sigma} \left| \partial_{\omega}^j Q(\varphi) \right|_{s,\beta}.
\]

The constant \(C\) depends on \(n, d, s, \beta\) and \(|\omega|\), \(\gamma_2 = \frac{\beta_2}{4+d+2\alpha_2}\) and \(\gamma_1 = \max(\alpha_1, 2 + d + n)\).

**Proof.** Written in Fourier variables (w.r.t. \(\varphi\)), (4.7) reads

\[
(4.11) \quad i\omega \cdot k \hat{S}(k) - i[N, \hat{S}(k)] = \delta_{k,0} \hat{N} - \hat{Q}(k) + \hat{R}(k)
\]

where \(\delta_{k,j}\) denotes the Kronecker symbol.

We decompose the equation into “components” on each product block \([a] \times [b]\):

\[
(4.12) \quad L S_{[a]}^{[b]}(k) = -i\delta_{k,0} N_{[a]}^{[b]} + iQ_{[a]}^{[b]}(k) - iR_{[a]}^{[b]}(k)
\]

where the operator \(L := L(k, [a], [b], \omega)\) is the linear operator, acting in the space of complex \([a] \times [b]\)-matrices defined by

\[
LM = (k \cdot \omega I - N_{[a]}(\omega))M + MN_{[b]}(\omega)
\]

with \(N_{[a]} = N_{[a]}^{[a]}\).

First we solve this equation when \(k = 0\) and \(w_a = w_b\) by defining

\[
\hat{S}_{[a]}^{[a]}(0) = 0, \quad \hat{R}_{[a]}^{[a]}(0) = 0 \text{ and } \hat{N}_{[a]}^{[a]} = \hat{Q}_{[a]}^{[a]}(0).
\]

Then we set \(\hat{N}_{[a]}^{[b]} = 0\) for \(w_a \neq w_b\) in such a way \(\hat{N} \in \mathcal{M}_{s,\beta} \cap \mathcal{N} \mathcal{F}\) and satisfies

\[
|\hat{N}|_{s,\beta} \leq |\hat{F}(0)|_{s,\beta}.
\]

The estimates of the derivatives with respect to \(\omega\) are obtained by differentiating the expressions for \(\hat{N}\).

It remains to consider the case when \(k \neq 0\) or \(w_a \neq w_b\). The matrix \(N_{[a]}\) can be diagonalized in an orthonormal basis:

\[
tP_{[a]}^{[a]} N_{[a]} P_{[a]} = D_{[a]}.
\]

Then we denote \(\hat{S}_{[a]}^{[b]} = tP_{[a]}^{[b]} S_{[a]}^{[b]} P_{[a]}, \hat{Q}_{[a]}^{[b]} = tP_{[a]}^{[b]} Q_{[a]}^{[b]} P_{[a]}\) and \(\hat{R}_{[a]}^{[b]} = tP_{[a]}^{[b]} R_{[a]}^{[b]} P_{[a]}\) and we notice for later use that \(\|M_{[a]}^{[b]}\| = \|M_{[a]}^{[b]}\|\) for \(M = S, Q, R\).
In this new variables the homological equation (4.12) reads
\[(4.13) \quad (k \cdot \omega - D_{[a]})(\hat{S}_{[a]}^{[b]}(k)) + \hat{S}_{[a]}^{[b]}(k)(k)D_{[b]} = i\hat{Q}_{[a]}^{[b]}(k) - i\hat{R}_{[a]}^{[b]}(k).\]
This equation can be solved term by term: let \(a, b \in E\), we set
\[(4.14) \quad \hat{R}_{[a]}^{[b]}(k) = 0 \quad \text{for } |k| \leq K,\]
\[\hat{R}_{j\ell}^{[a]}(k) = \hat{Q}_{j\ell}^{[a]}(k), \quad j \in [a], \ell \in [b], |k| > K,\]
and
\[(4.15) \quad (\hat{S}_{[a]}^{[b]}(k))_{j\ell} = \frac{i}{k \cdot \omega - \alpha_j + \beta_{\ell}} (\hat{Q}_{[a]}^{[b]}(k))_{j\ell} \quad \text{in the other cases.}\]
Here \(\alpha_j(\omega)\) and \(\beta_{\ell}(\omega)\) denote eigenvalues of \(N_{[a]}(\omega)\) and \(N_{[b]}(\omega)\), respectively. Before the estimations of such matrices, first remark that with this resolution, we ensure that
\[(Q_{[a]}^{[b]}(k))_{j\ell} = (\hat{Q}_{[a]}^{[b]}(-k))_{j\ell} \Rightarrow (\hat{S}_{[a]}^{[b]}(k))_{j\ell} = (\hat{S}_{[a]}^{[b]}(-k))_{j\ell}\]
hence, if \(Q\) verifies condition (2.6), then this is also the case for \(S\), hence the flow induced by \(S\) preserves the symmetry \(\eta = \xi\).

First notice that (4.14) classically leads to (see for instance [19])
\[|R(\varphi)|_{s,\beta} = |R'(\varphi)|_{s,\beta} \leq C \frac{e^{-\frac{1}{2}(\sigma - \sigma')K}}{(\sigma - \sigma')^n} \sup_{|3\theta| < \sigma} |Q(\theta)|_{s,\beta}, \quad \text{for } |3\varphi| < \sigma'.\]
In order to estimate \(S\), we will use Lemma 4.3 stated at the end of this section and proved in the appendix. We face the small divisors
\[(4.16) \quad k \cdot \omega - \alpha_j(\omega) + \beta_{\ell}(\omega), \quad j \in [a], \ell \in [b].\]
To estimate them, we have to distinguish two cases, depending on whether \(k = 0\) or not.

**The case \(k = 0\).** In that case, we know that \(w_a \neq w_b\) and we use (4.15) and (2.9) to get
\[|\alpha_j(\rho) - \beta_{\ell}(\rho)| \geq c_0|w_a - w_b| - \frac{c_0}{4w_a^{2\beta}} - \frac{c_0}{4w_b^{2\beta}} \geq \kappa(1 + |w_a - w_b|).\]
This last estimate allows us to use Lemma 4.3 to conclude that
\[(4.17) \quad |\hat{S}(0)|_{\beta+} \leq C \frac{1}{\kappa^{1-\frac{2\beta}{n}}} |\hat{F}(0)|_{\beta}.\]

\[\text{---}\]
\[\text{\textsuperscript{3}We use that the modulus of the eigenvalues are controlled by the operator norm of the matrix.}\]
The case \( k \neq 0 \) . Using Hypothesis A2, for any \( \eta > 0 \), there is a set \( D_1 = D(2\eta, K) \),

\[
\text{meas}(D \setminus D_1) \leq CK^{\alpha_1} \eta^{\alpha_2},
\]
such that for all \( \omega \in D_1 \) and \( 0 < |k| \leq K \)

\[
|k \cdot \omega - \lambda_a(\omega) + \lambda_b(\omega)| \geq 2\eta(1 + |w_a - w_b|).
\]

By (4.5) this implies

\[
|k \cdot \omega - \alpha_j(\omega) + \beta_\ell(\omega)| \geq 2\eta(1 + |w_a - w_b|) - \frac{c_0}{4w_a^{2\beta}} - \frac{c_0}{4w_b^{2\beta}}
\]

\[
\geq \eta(1 + |w_a - w_b|)
\]

if

\[
w_b \geq w_a \geq \left(\frac{c_0}{2\eta}\right)^\frac{1}{2\beta}.
\]

Let now \( w_a \leq \left(\frac{c_0}{2\eta}\right)^\frac{1}{2\beta} \). We note that \( |k \cdot \omega - \lambda_a(\omega) + \lambda_b(\omega)| \leq 1 \) implies that

\[
w_b \leq 1 + \left(\frac{c_0}{2\eta}\right)^\frac{1}{2\beta} + C|k| \leq C\left(\left(\frac{c_0}{2\eta}\right)^\frac{1}{2\beta} + K\right). 
\]

Since \( |\partial_\omega(k \cdot \omega)(\frac{k}{|k|})| = |k| \geq 1 \),

we get, using condition (4.5),

\[
|\partial_\omega(k \cdot \omega - \alpha_j(\omega) + \beta_\ell(\omega))(\frac{k}{|k|})| \geq \frac{1}{2}.
\]

Then we recall the following classical lemma:

**Lemma 4.2.** Let \( f : [0, 1] \mapsto \mathbb{R} \) a \( C^1 \)-map satisfying \( |f'(x)| \geq \delta \) for all \( x \in [0, 1] \) and let \( \kappa > 0 \) then

\[
\text{meas}\{x \in [0, 1] \mid |f(x)| \leq \kappa\} \leq \frac{\kappa}{\delta}.
\]

Using (4.18) and the Lemma 4.2, we conclude that

\[
|k \cdot \omega - \alpha_j(\omega) + \beta_\ell(\omega)| \geq \kappa(1 + |w_a - w_b|) \quad \forall j \in [a], \forall \ell \in [b]
\]

holds outside a set \( F_{[a], [b], k} \) of measure \( \leq Cw_a^d w_b^d (1 + |w_a - w_b|) \kappa \).

If \( F \) is the union of \( F_{[a], [b], k} \) for \( |k| \leq K \), \( [a], [b] \in \mathcal{D} \) such that \( w_a \leq \left(\frac{c_0}{2\eta}\right)^\frac{1}{2\beta} \)

and \( w_b \leq C\left(\left(\frac{c_0}{2\eta}\right)^\frac{1}{2\beta} + K\right) \) respectively, we have

\[
\text{meas}(F) \leq C\left(\left(\frac{c_0}{2\eta}\right)^\frac{1}{2\beta} + K\right)^{d+1} K^n \left(\left(\frac{c_0}{2\eta}\right)^\frac{1}{2\beta} + K\right)^{d+1} \left(\frac{c_0}{2\eta}\right)\frac{d}{2\beta} \kappa
\]

\[
\leq CK^{n+d+2\eta} \eta^{-\frac{4+d}{2\beta} \kappa}.
\]

Now we choose \( \eta \) such that

\[
\eta^{\alpha_2} = \eta^{-\frac{4+d}{2\beta} \kappa} \quad \text{ i.e. } \eta = K^{\frac{2\beta}{4+d+2\beta \alpha_2}}.
\]

Then, as \( \beta \leq 1, \eta \geq \kappa \) and we have

\[
\text{meas}(F) \leq CK^{n+d+2\kappa^{\frac{2\beta}{4+d+2\beta \alpha_2}}}.
\]
Let $\mathcal{D}_2 = \mathcal{D}_1 \cup F$, we have

$$\text{meas}(\mathcal{D} \setminus \mathcal{D}_2) \leq CK^{\alpha_1+\eta_{\alpha_2}} + CK^{n+d+2} \frac{\kappa}{\delta_0} \frac{\alpha_2^{2/3} \alpha_2}{4+\delta} \leq CK^{\gamma_1}$$

with $\gamma_1 = \max(\alpha_1, 2 + d + n)$, $\gamma_2 = \frac{\alpha_2^{2/3} \alpha_2}{4+\delta}$. Further, by construction, for all $\rho \in \mathcal{D}_3$, $0 < |k| \leq K$, $a, b \in \mathcal{L}$ and $j \in [a]$, $\ell \in [b]$ we have

$$\langle (k, \omega(\rho)) - \alpha_j(\rho) + \beta_\ell(\rho) \rangle \geq \kappa(1 + |w_a - w_b|).$$

Hence using Lemma 4.3 and in view of (4.15), we get that $\hat{S}'(k) \in \mathcal{M}_{s,\beta}^+$ and

$$|\hat{S}'(k)|_{s,\beta} \leq C \frac{|\hat{Q}(k)|_{s,\beta} K^\frac{d}{2}}{\kappa^{1+\frac{d}{23}}}, \quad 0 < |k| \leq K.$$

Combining this last estimate with (4.17) we obtain a solution $S$ satisfying for any $|\Im \varphi| < \sigma'$

$$|S(\varphi)|_{s,\beta} \leq C \sup_{|\Im \varphi| < \sigma} |Q(\varphi)|_{s,\beta}$$

The estimates for the derivatives with respect to $\rho$ are obtained by differentiating (4.12) which leads to

$$L(\partial_\omega S_{[a]}^{[b]}(k, \omega)) = -(\partial_\omega L) S_{[a]}^{[b]}(k, \omega) + i \partial_\omega \hat{Q}_{[a]}^{[b]}(k, \omega) - i \partial_\omega \hat{R}_{[a]}^{[b]}(k, \omega)$$

which is an equation of the same type as (4.12) for $\partial_\omega S_{[a]}^{[b]}(k, \omega)$ and $\partial_\omega \hat{R}_{[a]}^{[b]}(k, \omega)$ where $i \hat{Q}_{[a]}^{[b]}(k, \omega)$ is replaced by $B_{[a]}^{[b]}(k, \omega) = -(\partial_\omega L) S_{[a]}^{[b]}(k, \omega) + i \partial_\omega \hat{Q}_{[a]}^{[b]}(k, \omega)$.

This equation is solved by defining

$$\partial_\omega S_{[a]}^{[b]}(k, \omega) = \chi_{|k| \leq K} \langle k(k, [a], [b], \omega)^{-1} B_{[a]}^{[b]}(k, \omega),$$

$$\partial_\omega \hat{R}_{[a]}^{[b]}(k, \omega) = -i \chi_{|k| > K} \langle k(k, [a], [b], \omega)^{-1} B_{[a]}^{[b]}(k, \omega),$$

Since

$$|(\partial_\omega L)\hat{S}(k, \omega)|_{s,\beta} \leq C(K + 2(\|\partial_\omega A_0\| + \delta_0)) |\hat{S}(k, \omega)|_{s,\beta} \leq CK |\hat{S}(k, \omega)|_{s,\beta}$$

we obtain

$$|B(k, \omega)|_{s,\beta} \leq CK \kappa^{-\frac{d}{23}} K^{d/2} \langle |\hat{Q}(k)|_{s,\beta} + |\partial_\omega \hat{Q}(k)|_{s,\beta} \rangle$$

and thus following the same strategy as in the resolution of (4.12) we get for $|\Im \varphi| < \sigma'$

$$|\partial_\omega S(\varphi)|_{s,\beta} \leq \frac{K^{d+1}}{\kappa^{n+\frac{d}{2}}(\sigma - \sigma')^n} \left( \sup_{|\Im \varphi| < \sigma} |Q(\varphi)|_{s,\beta} + \sup_{|\Im \varphi| < \sigma} |\partial_\omega Q(\varphi)|_{s,\beta} \right),$$

$$|\partial_\omega R(\varphi)|_{s,\beta} \leq \frac{K^{1+d/2} e^{-\frac{1}{2}(\sigma - \sigma')^2}}{\kappa^{1+\frac{d}{23}}(\sigma - \sigma')^n} \left( \sup_{|\Im \varphi| < \sigma} |Q(\varphi)|_{s,\beta} + \sup_{|\Im \varphi| < \sigma} |\partial_\omega Q(\varphi)|_{s,\beta} \right).$$

□
Lemma 4.3. Let $A \in \mathcal{M}$ and let $B(k)$ defined for $k \in \mathbb{Z}^n$ by
\begin{equation}
B(k)^{j}_\ell = \frac{1}{\mu_j - \mu_i + \mu_i^j} A^j_i, \quad j \in [a], \ell \in [b]
\end{equation}
where $\omega \in \mathbb{R}^n$ and $(\mu_a)_{a \in \mathcal{L}}$ is a sequence of real numbers satisfying
\begin{equation}
|\mu_a - w_a| \leq \min \left\{ \frac{C_\mu}{w_a^\delta}, \frac{1}{4} \right\}, \quad \text{for all } a \in \mathcal{L}
\end{equation}
for a given $C_\mu > 0$ and $\delta > 0$, and such that for all $a, b \in \mathcal{L}$ and all $|k| \leq K$
\begin{equation}
|k \cdot \omega - \mu_a + \mu_b| \geq \kappa(1 + |w_a - w_b|).
\end{equation}
Then $B \in \mathcal{M}$ and there exists a constant $C > 0$ depending only on $C_\mu, |\omega|$ and $\delta$ such that
\begin{equation}
\|B(k)^{[b]}_{[a]}\| \leq C \frac{N^\frac{4}{\delta}}{\kappa^{1 + \frac{\delta}{2\varepsilon}} (1 + |w_a - w_b|)} \|A^{[b]}_{[a]}\| \quad \text{for all } a, b \in \mathcal{L}, \ |k| \leq K.
\end{equation}

The proof is based on the fact that the lemma is trivially true when $\mu_a = w_a$ is constant on each block. It is given in Appendix B.

4.3. The KAM step. Theorem 2.3 is proved by an iterative KAM procedure. We begin with the initial Hamiltonian $H_\omega = h_0 + q_0$ where
\begin{equation}
h_0(y, \varphi, \xi, \eta) = \omega \cdot y + \langle \xi, N_0 \eta \rangle,
\end{equation}
$N_0 = \text{diag}(w_a, \ a \in \mathcal{E})$, $\omega \in D_0$ and the quadratic perturbation $q_0(\varphi, \xi, \eta) = \langle \xi, Q_0(\omega, \varphi, \eta) \rangle$ with $Q_0 = \varepsilon \mathcal{Q} \in \mathcal{M}_{s, \beta}(\sigma_0, D_0)$ where $\sigma_0 = \sigma$. Then we construct iteratively the change of variables $\Phi_{S_m}$, the normal form $h_m = \omega \cdot y + \langle \xi, N_m \eta \rangle$ and the perturbation $q_m(\varphi, \xi, \eta; \omega) = \langle \xi, Q_m(\omega, \varphi) \eta \rangle$ with $Q_m \in \mathcal{M}_{s, \beta}(\sigma_m, D_m)$ as follows: assume that the construction is done up to step $m \geq 0$ then
(i) using Proposition 4.1 we construct $S_{m+1}(\omega, \varphi)$ solution of the homological equation for $\omega \in D_{m+1}$ and $\varphi \in T_{\sigma_{m+1}}$
\begin{equation}
\omega \cdot \nabla \varphi S_{m+1} - i[N_m, S_{m+1}] + Q_m = \tilde{N}_m + R_m
\end{equation}
with $\tilde{N}_m(\omega), R_m(\omega, \varphi)$ defined for $\omega \in D_{m+1}$ and $\varphi \in T_{\sigma_{m+1}}$ by
\begin{equation}
\tilde{N}_m(\omega) = \left( \delta_{[j]} = |\theta \hat{Q}_m(0)_{j} \dot{\varphi}, \varphi \right) \in \mathcal{E}
\end{equation}
\begin{equation}
R_m(\omega, \varphi) = \sum_{|k| > K_m} \hat{Q}_m(\omega, k) e^{ik \cdot \varphi};
\end{equation}
(ii) we define $Q_{m+1}, N_{m+1}$ for $\omega \in D_{m+1}$ and $\varphi \in T_{\sigma_{m+1}}$ by
\begin{equation}
N_{m+1} = N_m + \tilde{N}_m;
\end{equation}
\begin{equation}
Q_{m+1} = Q_m + R_m.
\end{equation}
and

\begin{equation}
(4.28)
Q_{m+1} = R_m + \int_0^1 e^{itS_{m+1}}[(1-t)(N_{m+1}-N_m+R_{m+1})+tQ_m,S_{m+1}]e^{-itS_{m+1}}dt.
\end{equation}

By construction, if \( Q_m \) and \( N_m \) are hermitian, so are \( R_m, S_{m+1} \), by the resolution of the homological equation, and also \( N_{m+1} \) and \( Q_{m+1} \). Then we define

\begin{equation}
(4.29)
h_{m+1}(y, \varphi, \xi, \eta; \omega) = \omega \cdot y + \langle \xi, N_{m+1}(\omega) \eta \rangle,
\end{equation}

\begin{equation}
(4.29)
s_{m+1}(y, \varphi, \xi, \eta; \omega) = \langle \xi, S_{m+1}(\omega, \varphi) \eta \rangle,
\end{equation}

\begin{equation}
(4.29)
q_{m+1}(y, \varphi, \xi, \eta; \omega) = \langle \xi, Q_{m+1}(\omega, \varphi) \eta \rangle.
\end{equation}

Recall that \( \Phi^t_S \) denotes the time \( t \) flow associated to \( S \) (see \( (2.7) \)) and \( \Phi_S = \Phi^1_S \). For any regular Hamiltonian \( f \) we have, using the Taylor expansion of \( g(t) = f \circ \Phi^t_S \) between \( t = 0 \) and \( t = 1 \)

\begin{equation}
(4.29)
f \circ \Phi_{S_{m+1}} = f + \{f, s_{m+1}\} + \int_0^1 (1-t)\{\{f, s_{m+1}\}, s_{m+1}\} \circ \Phi^t_{S_{m+1}} dt.
\end{equation}

Therefore we get for \( \omega \in D_{m+1} \)

\begin{equation}
(4.29)
(h_m + q_m) \circ \Phi_{S_{m+1}} = h_m + \{h_m, s_{m+1}\} + \int_0^1 (1-t)\{\{h_m, s_{m+1}\}, s_{m+1}\} \circ \Phi^t_{S_{m+1}} dt
\end{equation}

\begin{equation}
(4.29)
+ q_m + \int_0^1 \{q_m, s_{m+1}\} \circ \Phi^t_{S_{m+1}} dt
\end{equation}

\begin{equation}
(4.29)
= h_m + \langle \xi, (\tilde{N}_m + R_m) \eta \rangle
\end{equation}

\begin{equation}
(4.29)
+ \int_0^1 \{(1-t)\langle \xi, (\tilde{N}_m + R_m) \eta \rangle + t q_m, s_{m+1}\} \circ \Phi^t_{S_{m+1}} dt
\end{equation}

\begin{equation}
(4.29)
= h_{m+1} + q_{m+1}
\end{equation}

where for the last equality we used \( (2.8) \) and \( (2.7) \).

4.4. Iterative lemma. Following the general scheme \( (4.24)-(4.29) \) we have

\begin{equation}
(4.29)
(h_0 + q_0) \circ \Phi^1_{S_1} \circ \cdots \circ \Phi^1_{S_m} = h_m + q_m
\end{equation}

where \( q_m \in T^{s,\beta}(D_m, \sigma_m) \), \( h_m = \omega \cdot y + \langle \xi, N_m \eta \rangle \) is in normal form. At step \( m \) the Fourier series are truncated at order \( K_m \) and the small divisors are controlled by \( \kappa_m \). Now we specify the choice of all the parameters for \( m \geq 0 \) in term of \( \varepsilon_m \) which will control with \([q_m]_{D_m,\sigma_m} \).

First we define \( \varepsilon_0 = \varepsilon, \sigma_0 = \sigma \) and for \( m \geq 1 \) we choose

\begin{equation}
(4.29)
\sigma_{m-1} - \sigma_m = C_\ast \sigma_0 m^{-2},
\end{equation}

\begin{equation}
(4.29)
K_m = 2(\sigma_{m-1} - \sigma_m)^{-1} \ln \varepsilon_m^{-1},
\end{equation}

\begin{equation}
(4.29)
\kappa_m = \varepsilon_m^\delta
\end{equation}

where \( (C_\ast)^{-1} = 2 \sum_{j \geq 1} \frac{1}{j^2} \) and \( \delta > 0 \).
Lemma 4.4. Let \( 0 < \delta' \leq \delta_0 := \frac{\alpha}{8d+2\beta} \). There exists \( \varepsilon_* \) depending on \( \delta' \), \( d, n, s, \beta, \gamma, \alpha_1, \alpha_2 \) and \( h_0 \) such that, for \( 0 < \varepsilon \leq \varepsilon_* \) and

\[
\varepsilon_m = \varepsilon_0^{(3/2)^m} \quad m \geq 0,
\]

we have the following:

For all \( m \geq 1 \) there exist \( D_m \subset D_{m-1}, S_m \in M_{s,\beta}(D_m, \sigma_m), h_m = (\omega, y) + \langle \xi, N_m \eta \rangle \) in normal form where \( N_m \in M_{s,\beta}(D_m) \) and there exists \( q_m \in T_{s,\beta}(D_m, \sigma_m) \) such that for \( m \geq 1 \)

(i) The mapping

\[
(4.30) \quad \Phi_m(\cdot, \omega, \varphi) = \Phi_{S_m}^1 : Y_s \rightarrow Y_s, \quad \rho \in D_m, \quad \varphi \in T_{\sigma_m}
\]

is linear isomorphism linking the Hamiltonian at step \( m-1 \) and the Hamiltonian at step \( m \), i.e.

\[
(h_{m-1} + q_{m-1}) \circ \Phi_m = h_m + q_m.
\]

(ii) we have the estimates

\[
(4.31) \quad \text{meas}(D_{m-1} \setminus D_m) \leq \varepsilon_{m-1}^{\alpha \delta'},
\]

\[
(4.32) \quad [\hat{N}_{m-1}]_{s,\beta}^{D_m} \leq \varepsilon_{m-1},
\]

\[
(4.33) \quad [q_m]_{s,\beta}^{D_m,\sigma_m} \leq \varepsilon_m,
\]

\[
(4.34) \quad \| \Phi_m(\cdot, \omega, \varphi) - Id\|_{L(Y_s, Y_s + 2\beta)} \leq \varepsilon_{m-1}^{1-\nu \delta'}, \quad \text{for } \varphi \in T_{\sigma_m}, \omega \in D_m.
\]

The exponent \( \alpha \) and \( \nu \) are given by the formulas

\[
\nu = 4(d/\beta + 2) \quad \text{and} \quad \alpha = \frac{\beta \alpha_2}{2 + d + 2\beta \alpha_2}.
\]

Proof. At step 1, \( h_0 = \omega \cdot y + \langle \xi, N_0 \eta \rangle \) and thus hypothesis (4.3) is trivially satisfied and we can apply Proposition 4.1 to construct \( S_1, N_1, R_1 \) and \( D_1 \) such that for \( \omega \in D_1 \)

\[
\omega \cdot \nabla \varphi S_1 - i[N_0, S_1] = N_1 - N_0 - Q_0 + R_1.
\]

Then, using (4.6), we have

\[
\text{meas}(D \setminus D_1) \leq CK^2 \kappa_1^{2\alpha} \leq \varepsilon_0^{\alpha \delta'}
\]

for \( \varepsilon = \varepsilon_0 \) small enough. Using (4.9) we have for \( \varepsilon_0 \) small enough

\[
[S_1]_{s,\beta}^{D_1,\sigma_1} \leq C \frac{K_1^{d+1}}{\kappa_1^{d+2}} \varepsilon_0 \leq \varepsilon_0^{1-\nu \delta'}
\]

with \( \nu = 4(d/\beta + 2) \) and thus in view of (2.7) and assertion (iv) of Lemma 2.1 we get

\[
\| \Phi_1(\cdot, \omega, \varphi) - Id\|_{L(Y_s, Y_s + 2\beta)} \leq \varepsilon_0^{1-\nu \delta'}.
\]

Similarly using (4.8), (4.10) we have

\[
[N_1 - N_0]_{s,\beta}^{D_1} \leq \varepsilon_0.
\]
and
\[ [R_1]^{\mathcal{D}_{1}, \sigma_{1}}_{s, \beta} \leq \varepsilon_0^{2-\nu \delta'} \]
for \( \varepsilon = \varepsilon_0 \) small enough. Thus using (4.28) we get
\[ [Q_1]^{\mathcal{D}_{1}, \sigma_{1}}_{s, \beta} \leq C[R_1]^{\mathcal{D}_{1}, \sigma_{1}}_{s, \beta} + C([N_1 - N_0]^{\mathcal{D}_{1}, \sigma_{1}}_{s, \beta} + [R_1]^{\mathcal{D}_{1}, \sigma_{1}}_{s, \beta} + [Q_0]^{\mathcal{D}_{1}, \sigma_{1}}_{s, \beta}) [S_1]^{\mathcal{D}_{1}, \sigma_{1}}_{s, \beta} \leq C \varepsilon_0^{2-\nu \delta'}. \]
Thus for \( \delta' \leq \delta'_0 \) and \( \varepsilon_0 \) small enough
\[ [Q_1]^{\mathcal{D}_{1}, \sigma_{1}}_{s, \beta} \leq \varepsilon_0^{3/2} = \varepsilon_1. \]

Now assume that we have verified Lemma 4.4 up to step \( m \). We want to perform the step \( m + 1 \). We have \( h_m = \omega \cdot y + \langle \xi, N_m \eta \rangle \) and since
\[ [N_m - N_0]^{\mathcal{D}_{m}}_{s, \beta} \leq [N_m - N_0]^{\mathcal{D}_{m}}_{s, \beta} + \cdots + [N_1 - N_0]^{\mathcal{D}_{m}}_{s, \beta} \leq \sum_{j=0}^{m-1} \varepsilon_j \leq 2\varepsilon_0, \]
hypothesis (1.5) is satisfied and we can apply Proposition 4.1 to construct \( S_{m+1}, N_{m+1}, R_{m+1} \) and \( \mathcal{D}_{m+1} \) such that for \( \omega \in \mathcal{D}_{m+1} \)
\[ \omega \cdot \nabla_{\nu} S_{m+1} - i[N_m, S_m] = N_{m+1} - N_m - Q_m + R_{m+1}. \]
Then, using (4.6), we have
\[ \text{meas}(\mathcal{D}_m \setminus \mathcal{D}_{m+1}) \leq CK_{m+1}^{e} K_{m+1}^{2\alpha} \leq \varepsilon_0^{\delta'} \]
for \( \varepsilon_0 \) small enough. Using (4.9) we have for \( \varepsilon_0 \) small enough
\[ [S_m]^{\mathcal{D}_{m+1}}_{s, \beta+1} \leq C \frac{K_{m+1}^{d+1}}{\kappa_{m+1}^{\beta+1}} \varepsilon_m \leq \varepsilon_m^{1-\frac{1}{m} \nu \delta'}. \]
Thus in view of (2.7) and assertion (iv) of Lemma 2.1 we get
\[ \| \Phi_{m+1} (\cdot, \omega, \varphi) - \text{Id} \|_{L(Y_s, Y_{s+2\beta})} \leq \varepsilon_m^{1-\nu \delta'}. \]
Similarly using (4.8), (4.10) we have
\[ [N_{m+1} - N_m]^{\mathcal{D}_{m+1}}_{s, \beta} \leq \varepsilon_m, \]
and
\[ [R_{m+1}]^{\mathcal{D}_{m+1}, \sigma_{m+1}}_{s, \beta} \leq \varepsilon_0^{2-\nu \delta'} \]
for \( \varepsilon_0 \) small enough. Thus using (4.28) we get
\[ [Q_{m+1}]^{\mathcal{D}_{m+1}, \sigma_{m+1}}_{s, \beta} \leq C[R_{m+1}]^{\mathcal{D}_{m+1}, \sigma_{m+1}}_{s, \beta} + C([N_{m+1} - N_m]^{\mathcal{D}_{m+1}}_{s, \beta} + [R_{m+1}]^{\mathcal{D}_{m+1}, \sigma_{m+1}}_{s, \beta} + [Q_m]^{\mathcal{D}_{m+1}, \sigma_{m+1}}_{s, \beta}) [S_{m+1}]^{\mathcal{D}_{m+1}, \sigma_{m+1}}_{s, \beta} \leq C \varepsilon_m^{2-\nu \delta'}. \]
Thus for \( \delta' \leq \delta'_0 \) and \( \varepsilon_0 \) small enough
\[ [Q_{m+1}]^{\mathcal{D}_{m+1}, \sigma_{m+1}}_{s, \beta} \leq \varepsilon_0^{3/2} = \varepsilon_{m+1}. \]
4.5. Transition to the limit and proof of Theorem 2.3. Let 
\[ \mathcal{D}' = \cap_{m \geq 0} \mathcal{D}_m. \]
In view of (4.31), this is a Borel set satisfying 
\[ \text{meas}(\mathcal{D} \setminus \mathcal{D}') \leq \sum_{m \geq 0} \varepsilon_m^{\alpha \delta'} \leq 2\varepsilon_0^{\alpha \delta'}. \]

Let us denote \( \Phi_1^N(\cdot, \omega, \varphi) = \Phi_1(\cdot, \omega, \varphi) \circ \cdots \circ \Phi_N(\cdot, \omega, \varphi) \). Due to (4.33), it maps \( Y_s \to Y_s \) and due to (4.34) it satisfies for \( M \leq N \) and for \( \omega \in \mathcal{D}' \), \( \varphi \in \mathbb{T}_{\sigma/2} \)
\[ \| \Phi_1^N(\cdot, \omega, \varphi) - \Phi_1^M(\cdot, \omega, \varphi) \|_{\mathcal{L}(Y_s, Y_{s+2\beta})} \leq \sum_{m=M}^{N} \varepsilon_m^{1-\nu \delta'} \leq 2\varepsilon_0^{1-\nu \delta'}. \]

Therefore \( (\Phi_1^N(\cdot, \omega, \varphi))_{N} \) is a Cauchy sequence in \( \mathcal{L}(Y_s, Y_{s+2\beta}) \). Thus when \( N \to \infty \) the maps \( \Phi_1^N(\cdot, \omega, \varphi) \) converge to a limit mapping \( \Phi_1^\infty(\cdot, \omega, \varphi) \in \mathcal{L}(Y_s) \). Furthermore since the convergence is uniform on \( \omega \in \mathcal{D}' \) and \( \varphi \in \mathbb{T}_{\sigma/2} \), \( (\omega, \varphi) \to \Phi_1^\infty(\cdot, \omega, \varphi) \) is analytic in \( \varphi \) and \( C^1 \) in \( \omega \). Moreover, defining \( \delta = \alpha \delta'/2 \) and taking \( \delta_0 = \alpha/(4\nu) \), we get
\[ (4.35) \quad \| \Phi_1^\infty(\cdot, \omega, \varphi) - Id\|_{\mathcal{L}(Y_s, Y_{s+2\beta})} \leq 2\varepsilon_0^{1-\nu \delta'} < \varepsilon_0^{1-\delta/\delta_0}. \]

By construction, the map \( \Phi_1^M(\cdot, \omega, \omega t) \) transforms the original Hamiltonian
\[ H_0 = H_\omega(t, \xi, \eta) = \langle \xi, N_0 \eta \rangle + \varepsilon_\omega Q(\omega, \omega t) \eta \]
into
\[ H_m(t, \xi, \eta) = \langle \xi, N_m \eta \rangle + \langle \xi, Q_m(\omega, \omega t) \eta \rangle. \]

By (4.33), \( Q_m \to 0 \) when \( m \to \infty \) and by (4.32) \( N_m \to N \) when \( m \to \infty \) where the operator
\[ N \equiv N(\omega) = N_0 + \sum_{k=1}^{+\infty} \tilde{N}_k \]
is \( C^1 \) with respect to \( \omega \) and is in normal form, since this is the case for all the \( \tilde{N}_k(\omega) \). Further for all \( \omega \in \mathcal{D}' \) we have using (4.32)
\[ \| N(\omega) - N_0 \|_{s,\beta} \leq \sum_{m=0}^{+\infty} \varepsilon_m^m \leq 2\varepsilon. \]

Let us denote \( \Psi_\omega(\varphi) = \Phi_1^\infty(\cdot, \omega, \varphi) \). By construction,
\[ \Psi_\omega(\varphi) = \langle M_\omega(\varphi) \xi, M_\omega(\varphi) \eta \rangle, \]
where
\[ M_\omega(\varphi) = \lim_{j \to +\infty} e^{iS_1(\omega, \varphi)} \cdots e^{iS_j(\omega, \varphi)}. \]
Further, denoting the limiting Hamiltonian \( \mathcal{H}_\omega(\xi, \eta) = \langle \xi, N \eta \rangle \) we have
\[ H_\omega(t, \Psi_\omega(\omega t)(\xi, \eta)) = \mathcal{H}_\omega(\xi, \eta), \quad t \in \mathbb{R}, \ (\xi, \eta) \in Y_s, \ \omega \in \mathcal{D}_\varepsilon. \]
This concludes the proof of Theorem 2.3.
Appendix A. Proof of Lemma 2.1

We start with two auxiliary lemmas

Lemma A.1. Let \( j, k, \ell \in \mathbb{N} \setminus \{0\} \) then

\[
\sqrt{\frac{\min(j, k)}{\min(j, k) + |j - k|}} \sqrt{\frac{\min(\ell, k)}{\min(\ell, k) + |\ell - k|}} \leq \frac{\min(j, \ell)}{\min(j, \ell) + |j - \ell|}.
\]

Proof. Without loss of generality we can assume \( j \leq \ell \). If \( k \leq j \) then \( |k - \ell| \geq |j - \ell| \) and thus

\[
\sqrt{\frac{\min(j, \ell)}{\min(j, \ell) + |j - \ell|}} = \frac{\sqrt{j}}{\sqrt{j} + |j - \ell|} \geq \frac{\sqrt{j}}{\sqrt{k} + |k - \ell|} = \sqrt{\min(k, \ell)} \sqrt{\min(k, \ell) + |k - \ell|}
\]

which leads to (A.1). The case \( \ell \leq k \) is similar.

In the case \( j \leq k \leq \ell \) we have

\[
\sqrt{\frac{\min(j, k)}{\min(j, k) + |j - k|}} \sqrt{\frac{\min(\ell, k)}{\min(\ell, k) + |\ell - k|}} \leq \frac{\sqrt{j}}{\sqrt{j} + |j - k|} \frac{\sqrt{k}}{\sqrt{k} + |k - \ell|} \leq \frac{\sqrt{j}}{\sqrt{j} + |j - k|} \frac{\sqrt{k}}{\sqrt{k} + |k - \ell|} \leq \frac{\sqrt{j}}{\sqrt{j} + |j - k| + |k - \ell|} \leq \frac{\sqrt{j}}{\sqrt{j} + |j - \ell|} = \frac{\min(j, \ell)}{\min(j, \ell) + |j - \ell|}.
\]

Lemma A.2. Let \( j \in \mathbb{N} \) then

\[
\sum_{k \in \mathbb{N}} \frac{1}{k^\beta(1 + |k - j|)} \leq C(\beta)
\]

for a constant \( C(\beta) > 0 \) depending only on \( \beta > 0 \).

Proof. We note that

\[
\sum_{k \in \mathbb{N}} \frac{1}{k^\beta(1 + |k - j|)} = a \ast b(j)
\]

where \( a_k = \frac{1}{k^\beta} \) for \( k \geq 1 \), \( a_k = 0 \) for \( k \leq 0 \) and \( b_k = \frac{1}{1 + |k|} \), \( k \in \mathbb{Z} \). We have that \( b \in \ell^p \) for any \( 1 < p \leq +\infty \) and that \( a \in \ell^q \) for any \( \frac{1}{\beta} < q \leq +\infty \). Thus by Young inequality \( a \ast b \in \ell_r \) for \( r \) such that \( \frac{1}{p} + \frac{1}{q} = 1 + \frac{1}{r} \). In particular choosing \( q = \frac{2}{\beta} \) and \( p = \frac{2}{2 - \beta} \) we conclude that \( a \ast b \in \ell_\infty \). \(\square\)
Proof. of Lemma 24.1
(i) Let \( a, b \in E \)
\[
\left\| (AB)^{[b]}_{[a]} \right\| \leq \sum_{c \in E} \left\| A^{[c]}_{[a]} \right\| \left\| B^{[b]}_{[c]} \right\|
\]
\[
\leq \frac{|A|_{s,\beta+s} + |B|_{s,\beta}}{(a,w_b)^\beta} \left( \frac{\sqrt{\min(w_a,w_b)}}{\sqrt{\min(w_a,w_b) + |w_a - w_b|}} \right)^{s/2} \sum_{c \in E} \frac{1}{w_c^{2\beta}(1 + |w_a - w_c|) (1 + |w_b - w_c|)}
\]
\[
\leq C \frac{|A|_{s,\beta} + |B|_{s,\beta}}{(a,w_b)^\beta} \left( \frac{\sqrt{\min(w_a,w_b)}}{\sqrt{\min(w_a,w_b) + |w_a - w_b|}} \right)^{s/2} \sum_{c \in E} \frac{1}{w_c^{2\beta}(1 + |w_a - w_c|) (1 + |w_b - w_c|)}
\]
where we used that by Lemma A.1
\[
\frac{\sqrt{\min(w_a,w_b)}}{\sqrt{\min(w_a,w_b) + |w_a - w_b|}} \geq \frac{\sqrt{\min(w_a,w_c)}}{\sqrt{\min(w_a,w_c) + |w_a - w_c|}} \frac{\sqrt{\min(w_c,w_b)}}{\sqrt{\min(w_c,w_b) + |w_c - w_b|}}
\]
and that by Lemma A.2
\[
\sum_{c \in E} \frac{1}{w_c^{2\beta}(1 + |w_a - w_c|) (1 + |w_b - w_c|)} \leq C \text{ where } C \text{ only depends on } \beta.
\]
(ii) Similarly let \( a, b \in \mathcal{L} \) and assume without loss of generality that \( w_a \leq w_b \)
\[
\left\| (AB)^{[b]}_{[a]} \right\| \leq \sum_{c \in E} \left\| A^{[c]}_{[a]} \right\| \left\| B^{[b]}_{[c]} \right\|
\]
\[
\leq \frac{|A|_{s,\beta+s} + |B|_{s,\beta}}{(a,w_b)^\beta} \left( \frac{\sqrt{\min(w_a,w_b)}}{\sqrt{\min(w_a,w_b) + |w_a - w_b|}} \right)^{s/2} \sum_{c \in E} \frac{1}{w_c^{2\beta}(1 + |w_a - w_c|) (1 + |w_b - w_c|)}
\]
\[
\leq \frac{2|A|_{s,\beta+s} + |B|_{s,\beta}}{(a,w_b)^\beta(1 + |w_a - w_b|)} \left( \frac{\sqrt{\min(w_a,w_b)}}{\sqrt{\min(w_a,w_b) + |w_a - w_b|}} \right)^{s/2} \sum_{c \in E} \frac{1}{w_c^{2\beta}(1 + |w_a - w_c|) (1 + |w_b - w_c|)}
\]
\[
\leq \sum_{c \in E} \frac{1}{w_c^{2\beta}(1 + |w_a - w_c|) (1 + |w_b - w_c|)} + \sum_{c \in E} \frac{1}{w_c^{2\beta}(1 + |w_b - w_c|)}
\]
\[
\leq C \frac{|A|_{s,\beta+s} + |B|_{s,\beta}}{(a,w_b)^\beta(1 + |w_a - w_b|)} \left( \frac{\sqrt{\min(w_a,w_b)}}{\sqrt{\min(w_a,w_b) + |w_a - w_b|}} \right)^{s/2}.
\]
(iii) Let \( \xi \in \ell^2_t \), with \( t \geq 1 \). We have
\[
\| A\xi \|_t^2 \leq \sum_{a \in E} w_a^{-t} \left( \sum_{b \in E} \left\| A^{[b]}_{[a]} \right\| \left\| \xi_{[b]} \right\| \right)^2
\]
\[
\leq |A|_{s,\beta+s}^2 \sum_{a \in E} \left( \sum_{b \in E} \frac{\| w_a^{t/2} \xi_{[b]} \|_{t/2+\beta}}{w_a^{t/2+\beta} |w_b|^{t/2+\beta}} \left( \frac{\sqrt{\min(w_a,w_b)}}{\sqrt{\min(w_a,w_b) + |w_a - w_b|}} \right)^{s/2} \right)^2
\]
\[
\leq \sum_{a \in E} \frac{1}{w_a^{t+2\beta}} \sum_{b \in E} \frac{1}{w_b^{t+2\beta}} |A|_{s,\beta}^2 \left\| \xi \right\|_t^2.
\]
(iv) Let $\xi \in \ell^2_s$. We have

$$
\|A\xi\|_{s+2\beta}^2 \leq \sum_{a \in \hat{E}} w_a^{s+2\beta} \left( \sum_{b \in \hat{E}} \left\| A_{[b]}^{[a]} \right\| \| \xi_{[b]} \| \right)^2
$$

$$
\leq |A|_{s,\beta}^2 + \sum_{a \in \hat{E}} \left( \sum_{b \in \hat{E}} \frac{w_a^{s/2} \| w_b^{s/2} \xi_{[b]} \|}{w_b^{\beta} (1 + |w_a - w_b|)} \left( \sqrt{\min(w_a, w_b)} + \sqrt{\min(w_a, w_b) + |w_a - w_b|} \right)^{s/2} \right)^2
$$

$$
\leq 2^{s+1} |A|_{s,\beta}^2 + \sum_{a \in \hat{E}} \left( \sum_{b \in \hat{E}} \frac{w_a^{s/2} \| \xi_{[b]} \|}{w_b^{s/2+\beta} (1 + |w_a - w_b|)} \left( \min(w_a, w_b) \right)^{s/4} \right)^2
$$

Then we note that

$$
\sum_{b \in \hat{E}} \frac{\| w_b^s \xi_{[b]} \|}{w_b^{\beta} (1 + |w_a - w_b|)} = u \ast v (a)
$$

with $u_b = \| w_b^{s/2-\beta} \xi_{[b]} \|$ and $v_b = \frac{1}{(1 + |w_b|)}$. Using the Cauchy Schwarz inequality we get

$$
\sum_{b \in \hat{E}} u_b^p \leq \left( \sum_{b \in \hat{E}} \left( \frac{2}{2-\beta} \sum_{b \in \hat{E}} w_b^{\frac{2p}{p-2}} \right)^{\frac{p}{p-2}} \right)^{\frac{p}{p-2}} \left( \sum_{b \in \hat{E}} w_b^{\frac{2p}{p} - p} \right)^{\frac{p}{p-2}}
$$

Choosing $p = \frac{2}{1+\beta}$ we have $\frac{2p}{p-2} = 2 > 1$ and thus $u \in \ell^p$. Choosing $q = \frac{2p}{2-\beta}$ we have $q = \frac{2}{2-\beta} > 1$ and thus $v \in \ell^q$. Since $1/p + 1/q = 3/2$ we conclude that $u \ast v \in \ell^2$ and

$$
\| u \ast v \|_{\ell^2} \leq C \| u \|_{\ell^p} \| v \|_{\ell^q}.
$$
This leads to the first part of (iv) since \( \|u\|_{L^p} \leq C\|\xi\|_s \). Now we prove the second assertion of (iv) in a similar way: let \( \xi \in \ell^2 \), we have

\[
\|A\xi\|_1^2 \leq \sum_{a \in E} w_a \left( \sum_{b \in E} \|A^{[b]}_a\| \|\xi_b\| \right)^2
\]

\[
\leq |A|^{s+1}_{s,\beta} \sum_{a \in E} \left( \sum_{b \in E \setminus \{b \}} (w_a w_b)^{\beta} w_b^{1/2} \right) \left( \frac{\sqrt{\min(w_a, w_b)}}{\sqrt{\min(w_a, w_b) + |w_a - w_b|}} \right)^{s/2}
\]

\[
\leq 2^{s+1} |A|^{s+1}_{s,\beta} \sum_{a \in E} \left( \sum_{b \in E \setminus \{b \}} (w_a w_b)^{\beta} w_b^{1/2} \right) \left( \frac{\sqrt{\min(w_a, w_b)}}{2} \right)^{s/2}
\]

\[
+ \sum_{b \in E \setminus \{a\}} \frac{\|w_b^{1/2} \xi_b\| \|w_a^{1-s/2}\|}{(w_a w_b)^{\beta} w_b^{1/2-s/4} \left( 1 + |w_a - w_b| \right)}
\]

The last sum may be bounded above by (notice that \( |w_a - w_b| \geq w_b \))

\[
\sum_{b \in E \setminus \{a\}} \frac{\|w_b^{1/2} \xi_b\| \|w_a^{1-s/2}\|}{(w_a w_b)^{\beta} w_b^{1/2-s/4} \left( 1 + |w_a - w_b| \right)} \leq \sum_{b \in E \setminus \{a\}} \frac{\|w_b^{1/2} \xi_b\|}{(w_a w_b)^{\beta} w_b^{1/2-s/4} \left( 1 + |w_a - w_b| \right)^{1/2+s/2}}
\]

\[
\leq \frac{1}{w_a^{\beta}} \sum_{b \in E \setminus \{a\}} \frac{\|w_b^{1/2} \xi_b\|}{w_b^{1/2-s/2} \left( 1 + |w_a - w_b| \right)^{1/2+s/2}}
\]

and this last sum is the convolution product \( u' \ast v'(a) \), with

\[
u'_b = \frac{\|w_b^{1/2} \xi_b\|}{w_b^{1/2-s/2} \left( 1 + |w_a - w_b| \right)^{1/2+s/2}}
\]

which defines a \( \ell^1 \) sequence thanks to Cauchy Schwarz inequality, and \( v'_b = \frac{1}{(1+w_b)^{1/2+s/2}} \), which defines a \( \ell^2 \) sequence. Therefore, it is a \( \ell^2 \) sequence with index \( a \). We treat the first sum in the same way as before, and we obtain

\[
\|A\xi\|_1^2 \leq C|A|^{s+1}_{s,\beta} \|\xi\|_1^2
\]

\[
\Box
\]

**Appendix B. Proof of Lemma 4.3**

Since we estimate the operator norm of \( B^{[b]}_a \), we need to rewrite the definition (4.20) in an operator way: denoting by \( D^{[a]} \) the diagonal (square) matrix with entries \( \mu_j \), for \( j \in [a] \) and \( D^{[a]}_j \) the diagonal (square) matrix with entries \( k \cdot \omega + \varepsilon \mu_j \), for \( j \in [a] \), equation (4.20) reads

\[
D^{[a]}_j B^{[b]}_a - B^{[b]}_a D^{[b]}_j = iA^{[b]}_a
\]

Then we distinguish 3 cases:
We have
\[|k \cdot \omega + \varepsilon \mu_j| \geq w_a - \frac{1}{4} - N|\omega| \geq \frac{1}{2} w_a,\]
for
\[K_1 \geq 4N|\omega|,\]
that proves that \(D'_{[a]}\) is invertible and gives an upper bound for the operator norm of its inverse. Then \((\mathbf{B.1})\) is equivalent to
\[B_{[a]}^b - D'_{[a]}^{-1}B_{[a]}^bD_{[b]} = iD'_{[a]}^{-1}A_{[a]}^b.\]

Next consider the operator \(\mathcal{L}^1_{[a] \times [b]}\) acting on matrices of size \([a] \times [b]\) such that
\[\mathcal{L}^1_{[a] \times [b]}(B_{[a]}^b) := D'_{[a]}^{-1}B_{[a]}^bD_{[b]},\]
We have
\[\|\mathcal{L}^1_{[a] \times [b]}(B_{[a]}^b)\| \leq \frac{2w_b}{w_a}\|B_{[a]}^b\| \leq \frac{2}{K_1}\|B_{[a]}^b\|,\]
hence, in operator norm, \(\|\mathcal{L}^1_{[a] \times [b]}\| \leq \frac{1}{2}\) if \(K_1 \geq 4\). Then the operator \(\text{Id} - \mathcal{L}^1_{[a] \times [b]}\) is invertible and
\[\|B_{[a]}^b\| \leq \|\text{Id} - \mathcal{L}^1_{[a] \times [b]}\|^{-1}\|iD'_{[a]}^{-1}A_{[a]}^b\| \leq \frac{4}{w_a}\|A_{[a]}^b\|.\]

But in case 1, \(1 + |w_a - w_b| \leq 1 + w_a \leq 2w_a\), therefore
\[\|B_{[a]}^b\| \leq \frac{1}{1 + |w_a - w_b|}\|A_{[a]}^b\|.\]

Case 2: suppose that \(a, b\) satisfy
\[\max(w_a, w_b) \leq K_1 \min(w_a, w_b)\] and \(\max(w_a, w_b) > K_2\).
Notice that these two conditions imply that
\[\min(w_a, w_b) \geq \frac{K_2}{K_1}.\]
We define the square matrix \(\tilde{D}_{[a]} = w_a1_{[a]}\), where \(1_{[a]}\) is the identity matrix. Then
\[\|D_{[a]} - \tilde{D}_{[a]}\| \leq \frac{C_\mu}{w_a^4},\]
and equation \((4.20)\) may be rewritten as
\[\mathcal{L}^2_{[a] \times [b]}(B_{[a]}^b) - (\tilde{D}_{[a]} - D_{[a]})B_{[a]}^b + B_{[a]}^b(\tilde{D}_{[b]} - D_{[b]}) = A_{[a]}^b,\]
where we denote by $L_{[a] \times [b]}^2$ the operator acting on matrices of size $[a] \times [b]$ such that

$$(B.10) \quad L_{[a] \times [b]}^2 \left( B_{[a]}^{|b|} \right) := (k \cdot \omega + w_a - w_b) B_{[a]}^{|b|}.$$ 

This dilation is invertible and (4.22) then gives, in operator norm,

$$(B.11) \quad \| \left( L_{[a] \times [b]}^2 \right)^{-1} \| \leq \frac{1}{\kappa (1 + |w_a - w_b|)}.$$ 

This allows to write (B.9) as

$$(B.12) \quad B_{[a]}^{|b|} = (\mathcal{L}_{[a] \times [b]}^2)^{-1} \mathcal{R}_{[a] \times [b]} \left( B_{[a]}^{|b|} \right) = (\mathcal{L}_{[a] \times [b]}^2)^{-1} \left( A_{[a]}^{|b|} \right),$$

where $\mathcal{R}_{[a] \times [b]} \left( B_{[a]}^{|b|} \right) = (\tilde{D}_{[a]} - D_{[a]}) B_{[a]}^{|b|} - B_{[a]}^{|b|} (\tilde{D}_{[b]} - D_{[b]}).$ We have, thanks to (4.21), in operator norm,

$$(B.13) \quad \| \mathcal{R}_{[a] \times [b]} \| \leq C_\mu \left( \frac{1}{w_a^\delta} + \frac{1}{w_b^\delta} \right) \leq C_\mu \left( \frac{K_1}{K_2} \right)^\delta.$$ 

Then for

$$(B.14) \quad K_2 \geq K_1 \left( \frac{2C_\mu}{\kappa} \right)^{1/\delta},$$

the operator $\text{Id} - (\mathcal{L}_{[a] \times [b]}^2)^{-1} \mathcal{R}_{[a] \times [b]}$ is invertible and from (B.12) we get

$$\| B_{[a]}^{|b|} \| = \| (\text{Id} - (\mathcal{L}_{[a] \times [b]}^2)^{-1} \mathcal{R}_{[a] \times [b]})^{-1} \left( \mathcal{L}_{[a] \times [b]}^2 \right)^{-1} \left( A_{[a]}^{|b|} \right) \| \leq 2 \| (\mathcal{L}_{[a] \times [b]}^2)^{-1} \left( A_{[a]}^{|b|} \right) \|,$$

Hence in this case

$$(B.15) \quad \| B_{[a]}^{|b|} \| \leq \frac{2}{\kappa (1 + |w_a - w_b|)} \| A_{[a]}^{|b|} \|.$$ 

**Case 3:** suppose that $a, b \in \mathcal{L}$ satisfy

$$\max(w_a, w_b) \leq K_1 \min(w_a, w_b) \text{ and } \max(w_a, w_b) \leq K_2.$$ 

In that case the size of the blocks are less than $K_2^d$ and we have

$$(B.16) \quad |B_{j}^{|b|} | = \left| \frac{i}{\langle k, \omega (\rho) \rangle + \varepsilon \mu_j - \mu_i} \right| A_{j}^{|b|} \leq \frac{1}{\kappa (1 + |w_a - w_b|)} |A_{j}^{|b|}|.$$ 

A majoration of the coefficients gives a poor majoration of the operator norm of a matrix, but it is sufficient here:

$$(B.17) \quad \| B_{[a]}^{|b|} \| \leq \frac{K_2^{d/2}}{\kappa (1 + |w_a - w_b|)} \| A_{[a]}^{|b|} \|.$$ 

Collecting (B.7), (B.15) and (B.17) and taking into account (B.3), (B.14) leads to the result.
References

ON REDUCIBILITY OF QUANTUM HARMONIC OSCILLATOR ON $\mathbb{R}^d$

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