On Infinitesimal and Local Rigidity of Harmonic Maps between Spheres Defined by Spherical Harmonics (*).

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Sunto. – Si studia la deformabilità infinitesimale e locale di mappe armoniche in sfere dimostrando che le immersioni minime standard $f: S^2 \rightarrow S^n$ (in particolare, la superficie di Veronese) sono localmente rigide. Si dà un esempio in cui la rigidità locale non implica la rigidità infinitesimale.

1. - Introduction and preliminaries.

To any harmonic map $f: M \to S^n$ [4] of a compact oriented Riemannian manifold M of dimension m into the Euclidean n-sphere S^n there is associated a finite dimensional vector space K(f) [12] consisting of all Jacobi fields along f whose generalized divergence vanishes, i.e. a vector field v along f belongs to K(f) if and only if

- (i) $\nabla^2 v = \text{trace } \langle f_*, v \rangle f_* 2e(f)v$,
- (ii) div, $v = \text{trace } \langle f_*, \nabla v \rangle = 0$

are satisfied, where ∇ and \langle , \rangle denote the canonical connection and metric of the Riemannian-connected bundle $F \otimes \Lambda^*(T^*(M)), F = f^*(T(S^n))$, resp., f_* is the differential of f considered as a section of the bundle $F \otimes T^*(M)$ and e(f) stands for the energy density of f. Identifying the Lie algebra of Killing vector fields on S^n with so(n + 1) we have $so(n + 1) \circ f \subset PK(f)$ [11], where $PK(f) \subset K(f)$ denotes the linear subspace of all projectable vector fields along f. The harmonic map $f: M \to S^n$ is said to be infinitesimally rigid if $so(n + 1) \circ f = PK(f)$ [11].

The variation space V(f) of $f: M \to S^n$ defined by

$$V(f) = \{ v \in K(f) | ||v|| = \text{const} \}$$

can be geometrically interpreted as the set of vector fields v along f for which $t \to f_t = \exp(tv), t \in \mathbf{R}$, is a variation of f through harmonic maps (i.e. $f_t: M \to S^n$)

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is harmonic for all $t \in \mathbf{R}$ [10]. Equivalently, $v \in V(f)$ if and only if v is a Jacobi field along f such that $e(f_i) = e(f), f_i = \exp(tv), t \in \mathbf{R}$, holds [10]. The harmonic map $f: M \to S^n$ is said to be locally rigid if for every $v \in V(f) \cap PK(f)$ there exists a one-parameter subgroup $(\varphi_i) \subset SO(n+1)$ of isometries of S^n such that $f_i = \exp(tv) =$ $= \varphi_i \circ f, t \in \mathbf{R}$, is valid.

The aim of this note is to continue the earlier studies ([9], [10], [11], [12] and [13]) describing infinitesimal and local behaviour of harmonic maps from the point of view of rigidity. In Sec. 2, using Calabi's rigidity theorem [2] we prove that any full homothetic minimal immersion $f: S^2 \to S^n$ has zero variation space, in particular, is locally rigid. (This can also be considered as an extension of an earlier result, settled by elementary computation, for the Veronese surface $f: S^2 \to S^4$ [7].) Finally, in Sec. 3 we prove that the harmonic map $f: S^3 \to S^4$ arising from the Hopf-Whitehead construction, [14] or [8], p. 20, applied to the real tensor product $\mu: \mathbf{R}^2 \times \mathbf{R}^2 \to \mathbf{R}^4$ is locally rigid but non infinitesimally rigid showing that local rigidity cannot be considered as a local version of infinitesimal rigidity introduced above.

Throughout this note all manifolds, maps, etc. will be smooth and adopting the sign conventions of [6], we use the Report [4] and [5] as general references and background for the theory of harmonic maps.

We wish to thank A. Lee for giving a matrix theoretical approach for the last step in proving Theorem 2.

2. – Rigidity of homothetic minimal immersions $f: S^2 \to S^n$.

A subset $H \subset S^n$ is said to be full if $H \in \mathbb{R}^{n+1}$ is not contained in any proper linear subspace of \mathbb{R}^{n+1} . A map $f: M \to S^n$ is full if f has a full image in S^n . The aim of this section is to prove the following:

THEOREM 1. – Any full homothetic minimal immersion $f: S^2 \to S^n$ has zero variation space, in particular, is locally rigid.

REMARK – There is a large supply of full homothetic minimal immersions $f: S^m \to S^n$ provided (partly) by the standard minimal immersions. Namely, if $\mathcal{H}_{\lambda(s)}$, s = 2, 3, ..., denotes the Euclidean vector space of spherical harmonics of order s on S^m , i.e. the eigenspace of the Laplacian Δ^{s^m} corresponding to the eigenvalue $\lambda(s) = s(s + m - 1)$ [1], with

dim
$$\mathcal{K}_{\lambda(s)} = n(s) + 1$$
, $n(s) = (2s + m - 1) \frac{(s + m - 2)!}{s!(m - 1)!}$

then fixing an orthonormal base $\{f^1, ..., f^{n(s)+1}\} \in \mathcal{K}_{\lambda(s)}$ we have $\sum_{i=1}^{n(s)+1} (f^i)^2 = \text{const} [3]$ and hence, by a normalizing factor N > 0, the standard minimal immersion $f: S^m \to S^{n(s)}$ is defined by $f(x) = (Nf^1(x), ..., Nf^{n(s)+1}(x)), x \in S^m$. Then [1] f is a full homothetic minimal immersion and different choices of the base give rise to maps that differ by performing isometries of the codomain $S^{n(s)}$. In contrast to Theorem 1 we proved in [13] that for $m \ge 3$ odd the standard minimal immersion $f: S^m \to S^{n(s)}$ is non locally rigid for all $s \ge 2$. Combining this with the rigidity theorem of M. Do CARMO - N. WALLACH [3] to the effect that, for s < 3, full homothetic minimal immersions $f: S^m \to S^{n(s)}$ are standard we obtain, in case s < 3, the existence of a harmonic variation $v \in V(f)$ such that the deformed harmonic maps $f_i = \exp(iv)$ will not be in general homothetic. Further, according to a result in [13], in case s = 2, the standard minimal immersion $f: S^m \to S^{n(2)}$ is infinitesimally rigid if and only if m = 2 and, moreover, local rigidity of the Veronese surface $f: S^2 \to S^4$ (i.e. case n = n(2) = 4 of Theorem 1) was proved in [7] by matrix computation.

The proof of Theorem 1 is preceded by the following:

LEMMA 1. – Let $H \subset S^n$ be a full subset and $\varphi : (-\varepsilon, \varepsilon) \to SO(n+1), \varepsilon > 0$, a curve with $\varphi_0 = I_{n+1}$ (= identity) such that for $y \in H$ the curve $t \to \varphi_t(y) \in S^n$, $|t| < \varepsilon$, is a geodesic segment parametrized by the arc-length. Then $X = d\varphi_t/dt|_{t=0} \in \varepsilon$ so(n+1) is a complex structure on \mathbb{R}^{n+1} , in particular, n is odd. Moreover, φ is a local one-parameter subgroup of SO(n+1) and can then be extended to a (global) one-parameter subgroup all of whose trajectories are closed geodesics on S^n .

PROOF. – Identifying X, as usual, with the corresponding Killing vector field on S^n , for $y \in H$, we have

$$\varphi_t \cdot y = \varphi_t(y) = \exp(tX_*) = \cos t \cdot y + \sin t \cdot Xy , \quad |t| < \varepsilon ,$$

where the matrices φ_t and X are considered to act on the vector $y \in \mathbf{R}^{n+1}$ by the usual multiplication. As $H \subset S^n$ is full we get

(1)
$$\varphi_t = \cos t \cdot I_{n+1} + \sin t \cdot X, \quad |t| < \varepsilon,$$

in particular, the orthogonality relation $\varphi_t \cdot \varphi_t^T = I_{n+1}$, with skew-symmetricity of X, implies

$$(\cos t I_{n+1} + \sin t X)(\cos t I_{n+1} - \sin t X) = I_{n+1}$$
.

Differentiating twice at t = 0 we obtain $X^2 = -I_{n+1}$, i.e. X is a complex structure on \mathbb{R}^{n+1} . Further, for $s, t \in \mathbb{R}$ with $|s|, |t|, |s+t| < \varepsilon$, by (1), we get

 $\varphi_s \cdot \varphi_t = (\cos sI_{n+1} + \sin sX)(\cos tI_{n+1} + \sin tX) =$

 $= \cos (s+t) I_{n+1} + \sin (s+t) X = \varphi_{s+t},$

i.e. φ is a local one-parameter subgroup of SO(n + 1). Denoting by $\varphi: \mathbf{R} \to SO(n + 1)$ the canonical extension, the Killing vector field X is clearly induced by φ and $(\nabla_{\mathbf{X}}X)|H = 0$ holds. The connected components of Zero $(\nabla_{\mathbf{X}}X)$, being the intersections of the eigenspaces in \mathbf{R}^{n+1} of the matrix X^2 with S^n (cf. proof of Th. 2 in [12]), are totally geodesic submanifolds and so fullness of H implies that $\nabla_{\mathbf{X}}X = 0$ on S^n , i.e. all the integral curves of φ are closed geodesics of S^n and the lemma follows.

PROOF OF THEOREM 1. – Suppose, on the contrary, that there exists a nonzero element $v \in V(f)$ and consider the deformed harmonic maps $f_t: S^2 \to S^n$, $t \in \mathbf{R}$. As there is no holomorphic quadratic differential on S^2 [5] the map f_t is conformal for all $t \in \mathbf{R}$, i.e. there exists a scalar $\mu_t: S^2 \to \mathbf{R}$ with $||(f_t)_*X||^2 = \mu_t ||X||^2$, $X \in \mathfrak{X}(S^2)$. Conservation of the energy density along a harmonic variation, mentioned in Sec. 1, yields

$$\mu_t = \frac{1}{2} \operatorname{trace} \| (f_t)_* \|^2 = e(f_t) = e(f) = \mu_0, \quad t \in \mathbf{R}$$

and we obtain that the deformed harmonic maps $f_t: S^2 \to S^n, t \in \mathbf{R}$, are homothetic (and hence minimal [4]) immersions with the same homothety constant μ_0 . Further, fullness of f being expressed by open relations, there exists $\varepsilon > 0$ such that

$$f_t: S^2 \to S^n$$
 is full for $|t| < \varepsilon$.

Then [2] CALABI's rigidity theorem applies to the full homothetic minimal immersions f and f_t , $|t| < \varepsilon$, yielding the existence of an isometry $\varphi_t \in O(n + 1)$ such that

(2)
$$f_t = \varphi_t \circ f, \quad |t| < \varepsilon,$$

holds. As a linear transformation, $\varphi_i: \mathbb{R}^{n+1} \to \mathbb{R}^{n+1}$ is determined by its values on a base of \mathbb{R}^{n+1} , in particular, φ_i occuring in (2) is uniquely determined. We claim that the curve $\varphi: (-\varepsilon, \varepsilon) \to O(n+1)$ is smooth. Indeed, again by fullness of f, there exist $x_1, \ldots, x_{n+1} \in S^2$ such that $\{f(x_1), \ldots, f(x_{n+1})\} \subset \mathbb{R}^{n+1}$ is a base and, for $i = 1, \ldots, \ldots, n + 1$, the curve $t \to \varphi_t(f(x_i)) = f_t(x_i), |t| < \varepsilon$, being smooth, the matrix function $t \to \varphi_i \in O(n+1), |t| < \varepsilon$, is also smooth. Now the preceding lemma applies (with $H = \operatorname{im} f$) yielding that n is odd. On the other hand, according to CALABI's rigidity theorem [2] any full homothetic minimal immersion $f: S^2 \to S^n$ has even dimensional codomain which is a contradiction.

Thus the theorem is proved.

3. - An example of a locally rigid but non infinitesimally rigid harmonic map $f: S^3 \rightarrow S^4$.

The Hopf-Whitehead construction [8] applied to the real tensor product $\mu: \mathbb{R}^2 \times \mathbb{R}^2 \to \mathbb{R}^4$ gives rise to a (full) harmonic polynomial map $f: S^3 \to S^4$ defined com-

ponentwise by spherical harmonics of order 2 as

(3)
$$f = (\varphi_1 + \varphi_2 - \varphi_3 - \varphi_4, 2\varphi_{13}, 2\varphi_{14}, 2\varphi_{23}, 2\varphi_{24}),$$

where $\varphi_k(x) = x_k^2$, $\varphi_{ij}(x) = x_i x_j$, $x = (x_1, \dots, x_4) \in \mathbb{R}^4$, $k = 1, \dots, 4, 1 \leq i < j \leq 4$. In this section we prove the following:

THEOREM 2. – For the harmonic map $f: S^3 \to S^4$ we have

dim
$$PK(f) = 11$$
 and $V(f) \cap PK(f) = \{0\}$,

in particular, as dim so(5) = 10, f is non infinitesimally rigid but locally rigid.

The proof of Theorem 2 is broken up into two steps.

I. Infinitesimal behaviour. – Translating the vectors tangent to $S^4 \subset \mathbb{R}^5$ to the origin of \mathbb{R}^5 any vector field $v: S^3 \to T(S^4)$ along f gives rise to a vector-valued function $\hat{v}: S^3 \to \mathbb{R}^5$ with $\langle f, \hat{v} \rangle = 0$, where f is considered to take its values in \mathbb{R}^5 . Then, by [7], $v \in K(f)$ if and only if

$$\Delta \hat{v} = 2e(f)\hat{v}$$

is satisfied, i.e. as e(f) = 4, the components \hat{v}^r , r = 0, ..., 4, are spherical harmonics of order 2 on S^3 . Hence [1]

$$\hat{v}^r = \sum_{k=1}^4 a_k^r \varphi_k + \sum_{i < j} b_{ij}^r \varphi_{ij}, \quad r = 0, ..., 4,$$

holds for some a_k^r , $b_{ij}^r \in \mathbf{R}$, $k = 1, ..., 4, 1 \le i < j \le 4$, such that $\sum_{k=1}^4 a_k^r = 0$.

As the projectable elements of K(f) are to be determined we state the following:

LEMMA 2. – A scalar $\mu: S^3 \rightarrow \mathbf{R}$ of the form

$$\mu = \sum_{k=1}^{4} a_k \varphi_k + \sum_{i < j} b_{ij} \varphi_{ij}, \qquad \sum_{k=1}^{4} a_k = 0,$$

with a_k , $b_{ij} \in \mathbf{R}$, k = 1, ..., 4, $1 \le i < j \le 4$, is projectable along f (i.e. f(x) = f(x'), $x, x' \in S^3$, implies $\mu(x) = \mu(x')$) if and only if

(4)
$$a_1 = a_2 = -a_3 = -a_4$$
 and $b_{12} = b_{34} = 0$

are valid.

PROOF. – The first coordinate function $\varphi_1 + \varphi_2 - \varphi_3 - \varphi_4$ of f suggests to use É. CARTAN's isoparametric coordinates of degree 2, i.e. we write

 $x = (x_1, x_2, x_3, x_4) = (\cos t \cos \varphi, \cos t \sin \varphi, \sin t \cos \psi, \sin t \sin \psi) \in S^3,$

where $0 \leq t, \varphi, \psi < 2\pi$. Then we have

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 $f(x) = (\cos (2t), \sin (2t) \cos \varphi \cos \psi, \sin (2t) \cos \varphi \sin \psi,$

 $\sin(2t)\sin\varphi\cos\psi, \sin(2t)\sin\varphi\sin\psi$,

in particular, the focal varieties of S^s parametrized by $(0, \varphi, 0)$ and $(\pi/2, 0, \psi), 0 \leq \varphi$, $\psi < 2\pi$, are mapped by f to (1, 0, 0, 0, 0) and (-1, 0, 0, 0, 0), respectively. Assuming that μ is projectable we obtain

$$\mu(\cos \varphi, \sin \varphi, 0, 0) = \text{const}$$
 and $\mu(0, 0, \cos \psi, \sin \psi) = \text{const}$.

Expanding these equations into Fourier polynomials the relations (4) are easily obtained. The converse being obvious the statement follows.

By Lemma 2 a vector field v along f belongs to PK(f) if and only if there exist $a^r, b^r_{ij} \in \mathbf{R}, 1 \le i < j \le 4, r = 0, ..., 4$, such that

(5)
$$\hat{v}^r = a^r(\varphi_1 + \varphi_2 - \varphi_3 - \varphi_4) + b^r_{13}\varphi_{13} + b^r_{14}\varphi_{14} + b^r_{23}\varphi_{23} + b^r_{24}\varphi_{24}, \quad r = 0, \dots, 4,$$

holds or equivalently

$$\hat{v} = \frac{1}{2}A \cdot f,$$

where the r-th row of A is $(2a^r, b_{13}^r, b_{14}^r, b_{23}^r, b_{24}^r)$, r = 0, ..., 4, and in (6) the matrix A acts on the vector f (given in (3)) by the usual multiplication. Hence, to compute dim PK(f), we have to determine the vector space of functions $\hat{v}: S^3 \to \mathbf{R}^5$ of the form (6) satisfying the equation $\langle f, \hat{v} \rangle = \frac{1}{2} \langle f, A \cdot f \rangle = 0$. The scalar $\langle f, A \cdot f \rangle$ is a fourth-order homogeneous polynomial whose coefficients have to vanish.

Computing these coefficients we obtain that $\langle f, A \cdot f \rangle = 0$ holds if and only if A, with new variables, has the form

(7)
$$A = \begin{bmatrix} 0 & \alpha_1 & \alpha_2 & \alpha_3 & \alpha_4 \\ -\alpha_1 & 0 & \beta_1 & \beta_2 & \gamma_1 \\ -\alpha_2 & -\beta_1 & 0 & \gamma_2 & \beta_3 \\ -\alpha_3 & -\beta_2 & -\gamma_3 & 0 & \beta_4 \\ -\alpha_4 & -\gamma_4 & -\beta_3 & -\beta_4 & 0 \end{bmatrix}$$

with

(8)
$$\gamma_1 + \gamma_2 = \gamma_3 + \gamma_4$$

(The only relation to be taken into account among the spherical harmonics involved is $\varphi_{24}\varphi_{13} = \varphi_{23}\varphi_{14}$ which results (8), apart from this \mathcal{A} is skew-symmetric.) In particular, dim PK(f) = 11 which completes the proof of the first step.

II. Local behaviour. - Assuming $v \in V(f) \cap PK(f)$, with ||v|| = 1, the function ϑ has the form (6)-(7) such that

$$\sum_{r=0}^{4} (\hat{v}^r)^2 = \langle \frac{1}{2} A \cdot f, \frac{1}{2} A \cdot f \rangle = 1$$

is valid on S^3 . All the functions \hat{v}^r , r = 0, ..., 4, can also be considered as secondorder homogeneous (harmonic) polynomials on \mathbb{R}^4 , i.e. the last equation translates into

(9)
$$\langle A \cdot f, A \cdot f \rangle = \langle A^T A \cdot f, f \rangle = 4(\varphi_1 + \varphi_2 + \varphi_3 + \varphi_4)^2$$

which is valid on R^4 . Denoting by

(10)
$$H(c) = \begin{bmatrix} 4 & 0 & 0 & 0 & 0 \\ 0 & 4 & 0 & 0 & c \\ 0 & 0 & 4 & -c & 0 \\ 0 & 0 & -c & 4 & 0 \\ 0 & c & 0 & 0 & 4 \end{bmatrix}, \quad c \in \mathbf{R},$$

and taking into account (3) it follows that (9) is equivalent to the relation $A^{T}A = H(c)$ for some $c \in \mathbf{R}$. To accomplish the proof of Theorem 2 we need to show the following:

LEMMA 3. – There are no constants $\alpha_i, \beta_i, \gamma_i \in \mathbf{R}$ with $\gamma_1 + \gamma_2 = \gamma_3 + \gamma_4$ such that the matrix A in (8) satisfies

for some $c \in \mathbf{R}$.

REMARK. – Writing out (11) componentwise we obtain an overdetermined system of 14 quadratic equations for the variables $\alpha_i, \beta_i, \gamma_i \in \mathbf{R}, i = 1, ..., 4$. Using elementary computation a tedious discussion shows that this system has no solution proving Lemma 3. Nevertheless, to reduce the amount of computations involved we first use a matrix theoretical approach due to A. LEE.

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PROOF. – Denote by M(p,q), $p, q \in N$, the vector space of $(p \times q)$ matrices and $I_p \in M(p, p)$ the identity. We write, with obvious notations,

$$A = \begin{bmatrix} B & U \\ -V^T & C \end{bmatrix} \quad \text{and} \quad H(c) = \begin{bmatrix} 4I_3 & c[-e_3e_2] \\ c[-e_3^Te_2^T] & 4I_2 \end{bmatrix}$$

where $B \in so(3)$, $C \in so(2)$ and $\{e_1, e_2, e_3\} \subset \mathbb{R}^3$ is the canonical base. In terms of these decompositions (11) is equivalent to the system

$$B^T B + V V^T = 4I_3$$

(13)
$$B^{T}U - VC = c[-e_{3}e_{2}],$$

(14)
$$U^T U + C^T C = 4I_2$$
.

As $B \in so(3)$ the matrices B and $B^{T}B$ are singular and have a joint eigenvector $0 \neq X \in \mathbf{R}^{3}$ corresponding to the zero eigenvalue. Thus, $B^{T}BX = BX = 0$ and so, by (12), we obtain $VV^{T}X = 4X$, i.e. X is an eigenvector of the matrix $VV^{T} \in M(3,3)$ with eigenvalue 4. Further, V being of size (3×2) , rank $(VV^{T}) = \operatorname{rank} V \leqslant 2$ and hence there exists $0 \neq Y \in \mathbf{R}^{3}$ such that $VV^{T}Y(=V^{T}Y) = 0$ and $\langle X, Y \rangle = 0$. Again by (12) we get $B^{T}BY = 4Y$, i.e. Y is an eigenvector of $B^{T}B$ with eigenvalue 4. As B is skew, this eigenvalue must have multiplicity 2 which implies the existence of a vector $0 \neq Z \in \mathbf{R}^{3}$ with $\langle X, Z \rangle = 0$ such that $\{X, Y, Z\} \subset \mathbf{R}^{3}$ is a base and Span $\{Y, Z\} \subset \mathbf{R}^{3}$ is the eigenspace of $B^{T}BZ + VV^{T}Z = 4Z + VV^{T}Z = 4Z$, i.e. Span $\{Y, Z\} \subset \mathbf{R}^{3}$ is the nullspace of VV^{T} .

In particular, rank $(VV^T) = \text{rank } V = 1$, i.e. the coloumns of V are linearly dependent. We may suppose that the first coloumn $(\alpha_3, \beta_2, \gamma_3)$ of V is nonzero since the other case can be treated similarly. Then there exists $p \in \mathbf{R}$ such that

(15)
$$\alpha_4 = p\alpha_3, \quad \gamma_4 = p\beta_2, \quad \beta_3 = p\gamma_3$$

hold. On the other hand, the vector $(-\beta_1, \alpha_2, -\alpha_1)$ is in the nullspace of B and nonzero since $B \neq 0$. So, we may choose X as

$$X=(-\beta_1,\,\alpha_2,\,-\alpha_1)\,.$$

Then, by (12), we get

$$V V^{T} X = (1 + p^{2})(-\alpha_{3}\beta_{1} + \alpha_{2}\beta_{2} - \alpha_{1}\gamma_{3})(\alpha_{3}, \beta_{2}, \gamma_{3}) = 4(-\beta_{1}, \alpha_{2}, -\alpha_{1}) = 4X,$$

i.e. putting $q = \frac{1}{4}(1+p^2)(-\alpha_3\beta_1+\alpha_2\beta_2-\alpha_1\gamma_3) \ (\neq 0)$ we obtain

(16)
$$\beta_1 = -q\alpha_3, \quad \alpha_2 = q\beta_2, \quad \alpha_1 = -q\gamma_3$$

and hence

$$(1 + p^2)(\alpha_3^2 + \beta_2^2 + \gamma_3^2) = 4$$
.

Further, a direct computation shows that (13) is equivalent to the system

(17)
$$(1+p^2)c(\alpha_1, \alpha_2) = 4q\beta_4(p, -1).$$

Moreover, from (11) it follows that

$$\alpha_1\alpha_4 + \alpha_2\alpha_3 + (\beta_1 - \beta_4)(\beta_2 - \beta_3) = 0$$

and multiplying this with c and using (15)-(16)-(17) we get

(18)
$$\beta_4^2(p^2-1) = 0$$
.

Again, by making use of (15)-(16), we can write (11) componentwise is terms of the variables α_3 , β_2 , β_4 , γ_1 , γ_2 , γ_3 , $p, q \in \mathbf{R}$ and, by (18), an easy discussion of the possible cases leads to contradiction.

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