

A characterization of dense vector fields in $\mathcal{G}^1(M)$ on 3-manifolds

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Abstract. Recently Morales-Pacfico-Pujals introduced the new concept of singular hyperbolicity and showed that C^1 robust transitive sets of 3-flows are singular hyperbolic sets ([8], [9]). Based on their papers, we shall characterize a dense subset of $\mathcal{G}^1(M)$ with $\dim M = 3$.

Key words: $\mathcal{G}^1(M)$, singular hyperbolic set, Axiom A.

1. Introduction

The purpose of this paper is to study the space of vector fields known as $\mathcal{G}^1(M)$. Let M be a compact smooth manifold without boundary. We denote by $\chi^1(M)$ the set of C^1 vector fields on M , endowed with the C^1 topology and by X_t ($t \in \mathbb{R}$) the C^1 flow on M generated by $X \in \chi^1(M)$. $\Omega(X)$, $per(X)$, $Sing(X)$ are the sets of nonwandering, periodic and singular points of X respectively. Recall that a set $\Lambda \subset M$ is called a hyperbolic set of X if compact, invariant and there exists a continuous splitting $TM/\Lambda = E^s \oplus E^X \oplus E^u$, invariant under the derivative of flow X_t , DX_t , where E^s and E^u are exponentially contracted and expanded respectively by DX_t and E^X is tangent to X . We say that $X \in \chi^1(M)$ satisfies Axiom A if $\Omega(X)$ is a hyperbolic set of X and $\Omega(X) = \overline{Sing(X) \cup per(X)}$ (We denote by \bar{A} the closure of A in M). Let $\mathcal{G}^1(M)$ be the interior of the set of vector fields in $\chi^1(M)$ whose critical elements (singularities and periodic orbits) are hyperbolic.

In [3], Hayashi showed that diffeomorphisms in $\mathcal{F}^1(M)$ satisfy Axiom A where $\mathcal{F}^1(M)$ is the diffeomorphism version of $\mathcal{G}^1(M)$ and this naturally give rise to the following question: Do vector fields in $\mathcal{G}^1(M)$ satisfy Axiom A? Unfortunately this does not hold generally and the geometric Lorenz attractor in [2] is well-known as one of the counter examples. Vector field generating this attractor is an element of $\mathcal{G}^1(M)$ but has singularities accu-

mulated by the periodic orbits, hence its nonwandering set cannot be the hyperbolic set. So we hope for the other characterization of $\mathcal{G}^1(M)$, or at least dense subset of $\mathcal{G}^1(M)$, replacing Axiom A but until now no such a characterization exists for any dimension ≥ 3 .

Recently Morales-Pacifico-Pujals introduced the notion of singular hyperbolic set by generalizing both the geometric Lorenz attractor and the concept of hyperbolic set, and showed that C^1 robust transitive sets of 3-flows are singular hyperbolic sets ([8], [9]). Based on their papers, we shall characterize a dense subset of $\mathcal{G}^1(M)$ on 3-manifold in this paper. Throughout the rest of this paper, we assume $\dim M = 3$.

Before stating our theorem, we need the following definition.

Definition 1.1 ([8], Definition 1) A compact invariant set Λ is a singular hyperbolic set of $X \in \chi^1(M)$ if it has singularities, all of them hyperbolic and there is a continuous splitting $TM/\Lambda = E^s \oplus E^{cu}$ invariant under DX_t such that E^{cu} contains the direction of the flow X_t , E^s is one-dimensional and there exist two numbers $\lambda > 0$ and $C > 0$ satisfying

- $\|DX_t/E_x^s\| \cdot \|DX_{-t}/E_{X_t(x)}^{cu}\| \leq Ce^{-\lambda t}$
- $\|DX_t/E_x^s\| \leq Ce^{-\lambda t}$
- $|\det(DX_t/E_x^{cu})| \geq Ce^{\lambda t}$

for all $t \geq 0$ and $x \in \Lambda$. Here $\det(A)$ means the determinant of A .

Singular hyperbolic set is as sort of “partially” hyperbolic set which has volume expanding central direction. Here partially hyperbolicity implies that TM/Λ can be decomposed into $E^s \oplus E^{cu}$, E^s being a uniformly contracting one-dimensional bundle that dominates E^{cu} . Definition 1.1 requires the additional condition that E^{cu} is volume expanding. It is easy to see that if singular hyperbolic set Λ has a compact invariant subset which is isolated from singularities in Λ , then this subset is hyperbolic. Hence we see that singular hyperbolicity is a generalized concept of hyperbolicity for 3-flows which can handle the invariant sets with singularities.

Now we state our result.

Theorem *There exists a dense subset $\mathcal{U} \subset \mathcal{G}^1(M)$ such that for any $X \in \mathcal{U}$, replacing X by $-X$ if necessary, X satisfies Axiom A or exhibits a singular hyperbolic set.*

By above Theorem, any vector field in $\mathcal{G}^1(M)$ can be approximated by the vector fields which satisfy Axiom A or have the structure like the geometric Lorenz attractor.

2. Some Preliminaries

In this section we will state several results needed for the proof of Theorem. Let S be any vector field in $\mathcal{G}^1(M)$ and σ be any singularity of S . Since σ is hyperbolic, there exist neighborhoods $\mathcal{N}(S) \subset \mathcal{G}^1(M)$, $U_\sigma \subset M$ of S and σ respectively and a continuous function $\rho : \mathcal{N}(S) \rightarrow U_\sigma$ which to each vector field $X \in \mathcal{N}(S)$ associates the unique singularity of X in U_σ . We call $\rho(X)$ the continuation of σ for X . By ρ and compactness of M , S has finite number of singularities, denoted by $\sigma_1(S), \dots, \sigma_l(S)$ respectively, and next lemma is immediate.

Lemma 2.1 *For any $S \in \mathcal{G}^1(M)$, there exists a neighborhood $\mathcal{U}_0 = \mathcal{U}_0(S)$ of S in $\mathcal{G}^1(M)$ such that singularities of each $X \in \mathcal{U}_0$ are only $\sigma_1(X), \dots, \sigma_l(X)$, which are the continuations of $\sigma_1(S), \dots, \sigma_l(S)$ for X respectively.*

It is well-known that each element of $\mathcal{G}^1(M)$ has finitely many attracting and repelling periodic orbits ([10]). Denote the number of these periodic orbits of $S \in \mathcal{G}^1(M)$ by $a(S)$ and $r(S)$ respectively.

Lemma 2.2 *Any $S \in \mathcal{G}^1(M)$ can be approximated by neighborhood $\mathcal{U}_1 = \mathcal{U}_1(S)$ in $\mathcal{G}^1(M)$ such that $a(X) = a(Y)$, $r(X) = r(Y)$ for all $X, Y \in \mathcal{U}_1$.*

Proof. By contradiction, suppose that there exists a vector field S_0 and its neighborhood $\mathcal{B}_0 \subset \mathcal{G}^1(M)$ such that each $X \in \mathcal{B}_0$ is approximated by Y satisfying $a(X) + r(X) < a(Y) + r(Y)$. Let $\mathcal{B}_n = \{X \in \mathcal{B}_0 : a(X) + r(X) \geq n\}$ ($n \geq 1$) and then \mathcal{B}_n is open and dense in \mathcal{B}_0 . Since \mathcal{B}_0 is a Baire space, we can take $X_0 \in \bigcap_n \mathcal{B}_n \subset \mathcal{B}_0$. But clearly $a(X_0) + r(X_0) = \infty$, i.e., X_0 has infinite number of attracting or repelling periodic orbits. This is a contradiction to [10]. \square

We take $\mathcal{U}_1 \subset \mathcal{U}_0$ in the following. Next we will characterize singularities of vector fields in \mathcal{U}_1 accumulated by the periodic orbits. To do this, we need the following definition.

Definition 2.3 ([8], Definition 3) Let $X \in \mathcal{G}^1(M)$. We say that $\sigma \in \text{Sing}(X)$ is Lorenz-like if the eigenvalues $\{\lambda_1, \lambda_2, \lambda_3\}$ of the derivative $D_\sigma X$ are real and satisfy

$$\lambda_2 < \lambda_3 < 0 < -\lambda_3 < \lambda_1.$$

In the following we denote by $\text{per}_1(X)$ and $\overline{\text{per}_1}(X)$ the sets of saddle periodic points of X and its closure respectively. We also denote by $\text{ind } \sigma$ the index of σ , i.e., the dimension of stable subspace of $D_\sigma X$.

Proposition 2.4 *Let $X \in \mathcal{U}_1$ and $\sigma_X \in \text{Sing}(X) \cap \overline{\text{per}_1}(X)$ be given. Assume that $\text{ind } \sigma_X = 2$. Then σ_X is Lorenz-like and satisfies*

$$W^{ss}(\sigma_X) \cap \overline{\text{per}_1}(X) = \{\sigma_X\},$$

where $W^{ss}(\sigma_X)$ is the stable manifold associated to the strong contracting eigenvalue λ_2 .

Proof. Proposition 2.4 is obtained by using the methods in the proof of [9, Lemmas 4.1 and 4.2] and the following lemma.

Lemma 2.5 ([4], the C^1 Connecting Lemma) *Let $X \in \chi^1(M)$ and p, q be two points which are not periodic. Assume that for all neighborhood U and V of p and q respectively, there is $x \in U$ such that $X_t(x) \in V$ for some $t \geq 0$. Then $\forall \epsilon > 0, \exists L > 0$ such that for any $\delta > 0$, there is Y C^1 - ϵ -close to X satisfying*

- $Y = X$ on $M - B_\delta(X_{[0,L]}(p) \cup X_{[-L,0]}(q))$
- q is on the forward Y -orbit of p .

Here $X_{[a,b]}(x)$ denotes the segment of orbit $\{X_t(x) \mid a \leq t \leq b\}$ and $B_\delta(A)$ is δ -neighborhood of A in M .

By Lemma 2.5, we can perturb X to Y so that $Y \in \mathcal{U}_1$ and Y exhibits a homoclinic loop associated to σ_Y (continuation of σ_X for Y). We can further perturb Y to obtain C^∞ vector field $Z \in \mathcal{U}_1$ such that Z still has a homoclinic loop associated to σ_Z .

Assume that there exists $X \in \mathcal{U}_1$ with $\sigma_X \in \text{Sing}(X) \cap \overline{\text{per}_1}(X)$ having a complex eigenvalue. Then σ_Z also has a complex eigenvalue. The argument of [14, p.247] shows that we can perturb Z to Z_1 , arbitrarily C^1 close to Z , to generate a new attracting periodic orbit. This contradicts $Z \in \mathcal{U}_1$, proving that the eigenvalues of σ_X are real.

We can arrange the eigenvalues $\lambda_1, \lambda_2, \lambda_3$ of $D_\sigma X$ such that

$$\lambda_2 \leq \lambda_3 \leq \lambda_1.$$

Then $X \in \mathcal{U}_1$ implies that $\lambda_3 < 0$ and $\lambda_1 > 0$. So if σ_X is not Lorenz-like, we

have that $|\lambda_2|, |\lambda_3| > \lambda_1$. Since the eigenvalues of σ_Z satisfy this inequality, [14, Theorem 3.2.12] enable us to perturb Z to generate a new attracting periodic orbit. This contradicts $Z \in \mathcal{U}_1$, proving σ_X is Lorenz-like. For the rest of Propotion, we can perturb X as in the proof of [9, Lemma 4.2] to generate an attracting periodic orbit again, which contradicts $X \in \mathcal{U}_1$. \square

3. Proof of Theorem

In this section we complete the proof of Theorem. For this let us state two key results. In [6], it was shown that on 2-manifolds compact invariant sets of diffeomorphisms in $\mathcal{F}^1(M)$ which have dense periodic orbits are hyperbolic. By applying the same method, we can immediately obtain the corresponding result for 3-flows as in the following (see also [12]).

Proposition 3.1 *Let $X \in \mathcal{G}^1(M)$ and Λ is a compact invariant set of X which has dense periodic orbits. Then if $\Lambda \cap \text{Sing}(X) = \phi$, Λ is a hyperbolic set of X .*

If $\Lambda \cap \text{Sing}(X) \neq \phi$, Λ cannot be a hyperbolic set of X . However the following result holds in parallel with above Proposition.

Proposition 3.2 *Let $X \in \mathcal{G}^1(M)$ and Λ is a compact invariant set of X which has dense periodic orbits. Suppose that X has a neighborhood \mathcal{U}_X such that $a(Y_1) = a(Y_2)$ and $r(Y_1) = r(Y_2)$ for all $Y_1, Y_2 \in \mathcal{U}_X$. Then if $\Lambda \cap \text{Sing}(X) \neq \phi$ and every singularity in Λ is Lorenz-like, Λ is a singular hyperbolic set of X .*

Proposition 3.2 is obtained from the methods in the proof of [9, Theorem C]. Let \mathcal{P}_Λ be the set of periodic orbits contained in Λ . Then we have the hyperbolic splitting $TM/\mathcal{P}_\Lambda = E^s \oplus E^X \oplus E^u$, where E^s is the stable bundle, E^u is the unstable bundle and E^X is tangent to the flow direction. We set $E^{cu} = E^X \oplus E^u$ and define over \mathcal{P}_Λ the splitting

$$TM/\mathcal{P}_\Lambda = E^s \oplus E^{cu}. \tag{1}$$

Suppose that we can extend this splitting continuously to the closure $\overline{\mathcal{P}_\Lambda} = \Lambda$, denoted by $TM/\Lambda = \tilde{E}^s \oplus \tilde{E}^{cu}$, and \tilde{E}^s dominates \tilde{E}^{cu} . Then we can show that \tilde{E}^s and \tilde{E}^{cu} is actually uniformly contracting and volume expanding bundle respectively. In fact if \tilde{E}^s (resp. \tilde{E}^{cu}) is not contracting (resp. volume

expanding), we can perturb X to generate a new repelling (resp. attracting) periodic orbit by [9, §5.3 and 5.4], the argument similar to [6, pp.521–524]. But this contradicts $X \in \mathcal{U}_1$. Thus we see that Λ is a singular hyperbolic set of X .

The proof of the continuous extension of (1) to Λ and the domination property of $(\tilde{E}^s, \tilde{E}^{cu})$ is rather technical, but the basic idea follow from [6] substantially. In fact it is primarily proved that (E^s, E^{cu}) has the domination property, then by this property and [7, Proposition 1.3], (1) can be extended continuously to Λ . To prove the domination property of (E^s, E^{cu}) , roughly speaking, it is enough to show that the angle between E^s and E^{cu} is uniformly bounded away from 0 over \mathcal{P}_Λ , which corresponds to the result of [6, Lemma II.9].

The hypothesis of robust transitivity is necessary to prove these facts for two reasons: to utilize the property of the periodic orbits of [9, Theorem 3.11] and prohibit the generation of new attracting or repelling periodic orbit by small C^1 perturbation. But our situation that $X \in \mathcal{U}_1$ satisfies these properties, hence we can directly use the proof of [9, Theorem C] to show Proposition 3.2.

To complete the proof of Theorem, we shall show that there exists a vector field in \mathcal{U}_1 of Lemma 2.2 which satisfies Axiom A or has a compact invariant subset satisfying the condition of Proposition 3.2. At first we state a well-known generic property without proof.

Lemma 3.3 *There exists a residual subset \mathcal{R} of $\chi^1(M)$ such that, for any $X \in \mathcal{R}$, if K is a compact subset in M satisfying $\overline{\text{per}}_1(X) \cap K = \emptyset$, then $\overline{\text{per}}_1(Y) \cap K = \emptyset$ for all Y sufficiently C^1 close to X .*

Since we now take $\mathcal{U}_1 \subset \mathcal{U}_0$, each $X \in \mathcal{U}_1$ has l singularities, $\sigma_1(X), \dots, \sigma_l(X)$. By using Lemma 3.3 and arranging the subscript of these singularities appropriately, we obtain the following lemma.

Lemma 3.4 *There exist a neighborhood $\mathcal{U}_2 \subset \mathcal{U}_1$ and number k with $0 \leq k \leq l$ such that*

- 1) $X \in \mathcal{U}_2 \Rightarrow \sigma_1(X), \dots, \sigma_k(X)$ are not accumulated by the periodic orbits of X .
- 2) $X \in \mathcal{U}_2 \cap \mathcal{R} \Rightarrow \sigma_{k+1}(X), \dots, \sigma_l(X)$ are accumulated by the periodic orbits of X .

Proof. First assume that there exist $X_1 \in \mathcal{U}_1 \cap \mathcal{R}$ and $\sigma_1(X_1) \in \text{Sing}(X_1)$ such that $\overline{\text{per}}_1(X_1) \cap \{\sigma_1(X_1)\} = \emptyset$, otherwise the lemma is proved by setting $\mathcal{U}_2 = \mathcal{U}_1$ and $k = 0$. Then by Lemma 3.3, there exists a neighborhood \mathcal{V}_1 of X_1 in \mathcal{U}_1 such that $\overline{\text{per}}_1(Y) \cap \{\sigma_1(Y)\} = \emptyset$ for any $Y \in \mathcal{V}_1$. Next assume that there exist $X_2 \in \mathcal{V}_1 \cap \mathcal{R}$ and $\sigma_2(X_2) \in \text{Sing}(X_2)$ such that $\overline{\text{per}}_1(X_2) \cap \{\sigma_2(X_2)\} = \emptyset$, otherwise the lemma is proved by setting $\mathcal{U}_2 = \mathcal{V}_1$ and $k = 1$. Again by Lemma 3.3, there exists a neighborhood \mathcal{V}_2 of X_2 in \mathcal{V}_1 such that $\overline{\text{per}}_1(Y) \cap \{\sigma_2(Y)\} = \emptyset$ for any $Y \in \mathcal{V}_2$. Since the number of singularities of vector fields in \mathcal{U}_1 is l , we can prove the lemma by continuing this process at most l times. \square

Remark After continuing this process, suppose that we have reached the situation such that $\text{Sing}(X_0) \cap \overline{\text{per}}_1(X_0) = \emptyset$ for some $X_0 \in \mathcal{U}_1 \cap \mathcal{R}$. Then by Proposition 3.1, we have that $\overline{\text{per}}_1(X_0)$ (and therefore $\overline{\text{Sing}(X_0) \cup \text{per}(X_0)}$) is a hyperbolic set of X_0 . Moreover by the general density theorem ([11]), we may assume that $\Omega(X_0) = \overline{\text{Sing}(X_0) \cup \text{per}(X_0)}$. This implies X_0 satisfies Axiom A, proving our Theorem. So we will assume $k \leq l$ in the following.

Lemma 3.5 *Let $X \in \mathcal{U}_2 \cap \mathcal{R}$. Then for any $\sigma_X \in \text{Sing}(X) \cap \overline{\text{per}}_1(X)$ and any $\delta > 0$, there exists a neighborhood \mathcal{W} of X in \mathcal{U}_2 such that each $Y \in \mathcal{W}$ satisfies*

$$W^u(\sigma_Y) \subset B_\delta(\overline{\text{per}}_1(X)) \quad \text{or} \quad W^s(\sigma_Y) \subset B_\delta(\overline{\text{per}}_1(X))$$

according to $\text{ind } \sigma_X = 2$ or 1 respectively. Here σ_Y is the continuation of σ_X for Y .

Proof. This Lemma corresponds to [9, Corollary 3.5], for which the property of robust transitivity is essential. The proof here is, however, the consequence from Lemma 3.3.

Suppose that on the contrary, there exist $\sigma_X \in \text{Sing}(X) \cap \overline{\text{per}}_1(X)$, $\delta_0 > 0$ and Y_0 arbitrarily C^1 close to X such that the lemma is false. Replacing X by $-X$ if necessary, we may assume $\text{ind } \sigma_X = 2$, i.e., σ_X is Lorenz-like. So we assume that

$$W^u(\sigma_{Y_0}) \not\subset B_{\delta_0}(\overline{\text{per}}_1(X)).$$

Then there exists a neighborhood $\mathcal{V}(Y_0)$ of Y_0 in \mathcal{U}_2 such that for each $Z \in \mathcal{V}(Y_0)$, σ_Z is Lorenz-like and

$$W^u(\sigma_Z) \not\subset B_{\delta_0}(\overline{\text{per}}_1(X)). \tag{2}$$

Shrinking $\mathcal{V}(Y_0)$ if necessary, we may also assume that

$$\overline{per}_1(Z) \subset B_{\delta_0}(\overline{per}_1(X)) \quad (3)$$

from Lemma 3.3. Now we carry out the following sequence of perturbations of Y_0 .

1. By Lemma 3.4 and (2), we can perturb Y_0 to Y_1 , arbitrarily C^1 close to Y_0 , so that $\sigma_{Y_1} \in \text{Sing}(Y_1) \cap \overline{per}_1(Y_1)$ and $W^u(\sigma_{Y_1}) \not\subset B_{\delta_0}(\overline{per}_1(X))$.
2. Then by using Lemma 2.5, we can perturb Y_1 to Y_2 , arbitrarily C^1 close to Y_1 , so that Y_2 exhibits a homoclinic loop Γ associated to σ_{Y_2} and still $W^u(\sigma_{Y_2}) \not\subset B_{\delta_0}(\overline{per}_1(X))$.
3. Since $W^u(\sigma_{Y_2}) \not\subset B_{\delta_0}(\overline{per}_1(X))$, there are orbits which are through points arbitrarily near Γ and leave $B_{\delta_0}(\overline{per}_1(X))$ along one branch of $W^u(\sigma_{Y_2})$. So we can perturb Y_2 to Y_3 , arbitrarily C^1 close to Y_2 , so that both branches of $W^u(\sigma_{Y_3})$ leave $B_{\delta_0}(\overline{per}_1(X))$.
4. Again by Lemma 3.4 we can perturb Y_3 to Y_4 , arbitrarily C^1 close to Y_3 , so that $\sigma_{Y_4} \in \text{Sing}(Y_4) \cap \overline{per}_1(Y_4)$ and both branches of $W^u(\sigma_{Y_4})$ still leave $B_{\delta_0}(\overline{per}_1(X))$. Clearly we have $\overline{per}_1(Y_4) - B_{\delta_0}(\overline{per}_1(X)) \neq \emptyset$.

As we can perturb Y_0 to Y_4 arbitrarily C^1 close to Y_0 , this is a contradiction to (3). Thus we have completed the proof of Lemma 3.5. \square

Lemma 3.6 *Let $X \in \mathcal{U}_2 \cap \mathcal{R}$. Then we have the following:*

Let σ_1, σ_2 be any two singularities of X . If there are points $p_n \in \overline{per}_1(X)$ and numbers $t_n > 0$ such that $\lim_{n \rightarrow \infty} p_n = \sigma_1$ and $\lim_{n \rightarrow \infty} X_{t_n}(p_n) = \sigma_2$, then $\text{ind } \sigma_1 = \text{ind } \sigma_2$.

Proof. Suppose that X has two singularities $\sigma_1(X), \sigma_2(X)$ such that the lemma is false. Let $\text{ind } \sigma_1(X) = 1$ and $\text{ind } \sigma_2(X) = 2$ respectively. By Proposition 2.4, we have $W^{uu}(\sigma_1(X)) \not\subset V$ for a small neighborhood V of $\overline{per}_1(X)$. Then using the argument in the proof of [9, Lemma 4.3], we can perturb X to Y , arbitrarily C^1 close to X so that $W^u(\sigma_2(Y)) \not\subset V$. This contradicts Lemma 3.5. \square

Now we conclude the proof of Theorem. Let S be any vector field in $\mathcal{G}^1(M)$. Then S can be C^1 approximated by $X \in \mathcal{U}_2 \cap \mathcal{R}$. By Lemma 3.4 and Remark after it, X has singularities accumulated by the periodic orbits, so we can take a sequence of saddle periodic orbits of X , $\{\gamma_n\}_{n \geq 1}$, such that

$\overline{\bigcup_{n=1}^{\infty} \gamma_n} \cap \text{Sing}(X) \neq \emptyset$. Set $K = \overline{\bigcup_{n=1}^{\infty} \gamma_n}$. Since all the singularities in K have the same index by Lemma 3.6, replacing X by $-X$ if necessary, we may assume that those index is two. So given $\sigma \in K \cap \text{Sing}(X)$, σ is Lorenz-like by Proposition 2.4. Then Proposition 3.2 implies that K is a singular hyperbolic set of X . We have completed the proof of Theorem.

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