

A GENERAL BOUND FOR OSCILLATORY INTEGRALS WITH A POLYNOMIAL PHASE OF DEGREE k

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ABSTRACT. Let $f \in \mathbb{R}[X_1, \dots, X_n]$ be a polynomial of degree $k \geq 2$. We consider the oscillatory integral $I(\lambda) = \int \varphi(\mathbf{x})e^{i\lambda f(\mathbf{x})}d\mathbf{x}$, where φ is a C^1 function with compact support. A classical result due to E.M. Stein implies that $I(\lambda) = O(\lambda^{-1/k})$, as $\lambda \rightarrow +\infty$. The exponent $1/k$ is best possible, as shown by the example $f(\mathbf{x}) = f(\mathbf{x}_0) \pm L(\mathbf{x} - \mathbf{x}_0)^k$, where \mathbf{x}_0 is any point in \mathbb{R}^n and L is any nonzero linear form on \mathbb{R}^n . In this paper, we show that, if f is precisely not of the above form, then the stronger bound $I(\lambda) = O(\lambda^{-1/(k-1)})$ holds, and the exponent $-1/(k-1)$ is best possible.

1. Statement of the result

We consider a polynomial $f \in \mathbb{R}[X_1, \dots, X_n]$ of total degree k , i.e. $f(\mathbf{x}) = \sum_{\alpha} a_{\alpha} \mathbf{x}^{\alpha}$, with $\alpha = (\alpha_1, \dots, \alpha_n)$, such that $|\alpha| = \alpha_1 + \dots + \alpha_n \leq k$, for each α in the summation, and such that there exists at least one α with $|\alpha| = k$ and $a_{\alpha} \neq 0$; here, as usual, we have set $\mathbf{x}^{\alpha} = x_1^{\alpha_1} \dots x_n^{\alpha_n}$. Let us denote by $C_c^1(\Omega)$ the set of all functions φ which are C^1 with compact support contained in the open set Ω . Let Δ denote the largest size of those $|a_{\alpha}|$ for which $|\alpha| = k$. Then for any $\varphi \in C_c^1(\mathbb{R}^n)$, the general bound of Stein’s Lemma (cf Lemma 1 below) applies here in the following form :

$$(1.1) \quad \left| \int \varphi(\mathbf{x})e^{i\lambda f(\mathbf{x})}d\mathbf{x} \right| \leq C_1(k)(\Delta\lambda)^{-1/k}(\|\varphi\|_{L^{\infty}} + \|\varphi'\|_{L^1}), \text{ for all } \lambda > 0$$

where $C_1(k)$ is a positive constant that depends only on the degree k . Such a bound is quite uniform. Our aim is to improve the exponent $-1/k$ in $-1/(k-1)$, providing that f cannot be written as

$$(1.2) \quad f(\mathbf{x}) = f(\mathbf{x}_0) \pm L(\mathbf{x} - \mathbf{x}_0)^k,$$

for some $\mathbf{x}_0 \in \mathbb{R}^n$ and some linear form L on \mathbb{R}^n . If so it is, we shall say that f satisfies the hypothesis $H_{k,n}$. Our analog of (1.1) is as follows.

Theorem 1. *We suppose that f satisfies the hypothesis $H_{k,n}$ and that Ω is a bounded open set in \mathbb{R}^n . We then have, for any $\varphi \in C_c^1(\Omega)$,*

$$(1.3) \quad \left| \int \varphi(\mathbf{x})e^{i\lambda f(\mathbf{x})}d\mathbf{x} \right| \leq C_2(f, \Omega) \|\varphi\|_1 \lambda^{-1/(k-1)}, \text{ for all } \lambda > 0$$

where $C_2(f, \Omega)$ is a positive constant which depends only on f and Ω , and where we have set

$$\|\varphi\|_1 = \|\varphi\|_{L^{\infty}} + \|\varphi'\|_{L^{\infty}}.$$

Received by the editors January 12, 2005.

This bound is far from being as uniform as (1.1), the constant $C_2(f, \Omega)$ depending on an abstract partition of unity. However, the exponent $-1/(k - 1)$ is best possible, as shown by the example $f(x, y) = x^{k-1}y$, where in that case the true order of the oscillatory integral (restricted to a neighbourhood of the origin) is given by the stationary phase method, see e.g. Theorem 3 in §8.3, CH.II of [1].

Now, we present a slight generalisation of Theorem 1, which may be of some interest, and which does not increase our proof. We consider a Lebesgue-measurable subset Γ of \mathbb{R}^n which has the following property :

$$(1.4) \quad \text{''For any line } D, \text{ the set } D \cap \Gamma \text{ is the union of at most } N \text{ segments''}.$$

The example we have in mind is the following : Γ is the intersection of a compact convex subset of \mathbb{R}^n with the set

$$\{\mathbf{x} \in \mathbb{R}^n; Q(\mathbf{x}) \geq 0\}, \text{ where } Q \in \mathbb{R}[X_1, \dots, X_n] \text{ has degree at most } N.$$

Theorem 2. *We suppose that all hypotheses of Theorem 1 are satisfied and that Γ satisfies (1.4). We then have, for any $\varphi \in C_c^1(\Omega)$:*

$$(1.5) \quad \left| \int_{\Gamma} \varphi(\mathbf{x}) e^{i\lambda f(\mathbf{x})} d\mathbf{x} \right| \leq NC_3(f, \Omega) \|\varphi\|_1 \lambda^{-1/(k-1)}, \text{ for all } \lambda > 0$$

where $C_3(f, \Omega)$ is a positive constant which depends at most on f and Ω .

Of course, Theorem 2 contains Theorem 1 and the rest of this paper is devoted to its proof.

2. Basic lemmas

We first recall Stein’s fundamental lemma (cf [2], Proposition 5, page 342), with a slight modification concerning the domain Γ of integration.

Lemma 1. *Let Ω be a bounded open set in \mathbb{R}^n and let $g : \Omega \rightarrow \mathbb{R}$ be a regular function such that the derivative $\partial^\alpha g = \frac{\partial^k g}{\partial x_1^{\alpha_1} \dots \partial x_n^{\alpha_n}}$, with $k = |\alpha|$, and $k \geq 1$, satisfies*

$$(2.1) \quad |\partial^\alpha g(\mathbf{x})| \geq 1, \text{ for all } \mathbf{x} \in \Omega$$

and let Γ satisfy (1.4). Then, for any $\varphi \in C_c^1(\Omega)$, one has

$$(2.2) \quad \left| \int_{\Gamma} \varphi(\mathbf{x}) e^{i\lambda g(\mathbf{x})} d\mathbf{x} \right| \leq NC_4(\|g\|_{k+1}, k) (\|\varphi\|_{L^\infty} + \|\varphi'\|_{L^1}) \lambda^{-1/k} \text{ for } \lambda > 0$$

where $C_4(\|g\|_{k+1}, k)$ is a positive constant which depends at most on k and on the maximal size of the derivatives of order $k + 1$ of g .

Proof. In the case $N = 1$, this lemma is exactly Stein’s Lemma. For proving it in the case $N > 1$, note that Stein’s proof uses a linear change of variables which does not alter the property (1.4) and which reduces the problem to a one dimensional oscillatory integral, but, in our case, with several (at most N) intervals. It is thus obvious that the case $N > 1$ reduces to the case $N = 1$ by multiplying the final bound by N . □

The following elementary one dimensional lemma is also needed.

Lemma 2. *Let $k \geq 2$ be an integer, $s \geq 1$ be real, $\chi : [a, b] \rightarrow \mathbb{C}$ be a C^1 function, with $0 \leq a < b \leq 1$. We then have the bound*

$$(2.3) \quad \int_a^b \chi(t)e^{i\lambda t^k} t^s dt = O\left(\|\chi\|_1 \lambda^{-1/(k-1)}\right)$$

where the implied constant depends only on k .

Proof. We make a change of variable by setting $t = \tau^{(k-1)/k}$, and we get

$$\int_a^b \chi(t)e^{i\lambda t^k} t^s dt = \int_{a_1}^{b_1} \chi_1(\tau)e^{i\lambda\tau^{k-1}} d\tau,$$

where we have introduced obvious notations. As we have assumed $s \geq 1$ and $k \geq 2$, we have $\|\chi_1\|_{L^1} = O(\|\chi\|_1)$ and $\|\chi_1\|_{L^\infty} = O(\|\chi\|_1)$, so that we may apply the Corollary of Proposition 2 in page 332 of [2]. \square

We need also an immediate algebraic lemma.

Lemma 3. *Let $P \in \mathbb{R}[X_1, \dots, X_n]$, with $n \geq 2$, be a homogeneous polynomial which satisfies*

$$P(x_1, \dots, x_{n-1}, 1) = 0, \text{ for all real numbers } x_1, \dots, x_{n-1}.$$

Then $P(\mathbf{x}) = 0$ for all $\mathbf{x} \in \mathbb{R}^n$.

Proof. Of course, applying Taylor’s formula over the x_n variable, we see that P is divisible by $x_n - 1$. \square

3. The local form of the theorem

We establish now the main intermediate result in the proof of Theorem 2 ; we show how to divide the domain of integration according to the local properties of f , considering here the worst case.

Theorem 3. *Let $P \in \mathbb{R}[X_1, \dots, X_n]$ be a homogeneous polynomial of degree $k \geq 2$, satisfying the property*

$$(3.1) \quad \text{” There does not exist a linear form } L \text{ on } \mathbb{R}^n \text{ such that } P(x) = \pm L(x)^k \text{.”}$$

Then there exists an open neighbourhood V of 0 in \mathbb{R}^n such that, for any set Γ satisfying (1.4) and any $\psi \in C_c^1(V)$, one has

$$(3.2) \quad \left| \int_{\Gamma} \psi(\mathbf{x})e^{i\lambda P(\mathbf{x})} d\mathbf{x} \right| \leq NC_5(P) \|\psi\|_1 \lambda^{-1/(k-1)},$$

where $C_5(P)$ is a positive constant which depends at most on P .

Proof. We divide the proof in several steps.

1) *Splitting the domain of integration*

We fix a C^1 test function ψ whose support is contained in $[-1, 1]^n$. From now on, we shall use the symbol $u \ll v$ to mean that there exists a constant C (which depends at most on P and on other parameters that will be recalled when necessary), such that one has $|u| \leq Cv$. We then set

$$I(\lambda) = \int_{\Gamma} \psi(\mathbf{x})e^{i\lambda P(\mathbf{x})} d\mathbf{x}$$

and we have to prove that

$$(3.3) \quad I(\lambda) \ll N \|\psi\|_1 \lambda^{-1/(k-1)}, \text{ for all } \lambda > 0,$$

providing that ψ has its support contained in a sufficiently small neighbourhood of 0. We split the domain of integration into 2^n parts, writing, for each $\varepsilon = (\varepsilon_1, \dots, \varepsilon_n) \in \{-1, 1\}^n$,

$$\Gamma_\varepsilon = \{\mathbf{x} \in \Gamma; \varepsilon_j x_j \geq 0, j = 1, \dots, n\}$$

so that we have $\Gamma = \cup_\varepsilon \Gamma_\varepsilon$. Moreover, for each ε , we split Γ_ε into n parts : for each $r = 1, 2, \dots, n$, we define

$$\Gamma_{\varepsilon,r} = \{\mathbf{x} \in \Gamma_\varepsilon; |x_j| \leq |x_r| \text{ for } j = 1, \dots, n\}$$

so that we have

$$(3.4) \quad |I(\lambda)| \leq n2^n \max_{\varepsilon,r} \left| \int_{\Gamma_{\varepsilon,r}} \psi(\mathbf{x}) e^{i\lambda P(\mathbf{x})} d\mathbf{x} \right|.$$

We are going to bound, for instance,

$$I_0(\lambda) = \int_{\Gamma_0} \psi(\mathbf{x}) e^{i\lambda P(\mathbf{x})} d\mathbf{x}, \text{ with } \Gamma_0 = \{\mathbf{x} \in \Gamma; 0 \leq x_j \leq x_n, j = 1, 2, \dots, n-1\}$$

and we have to prove that there exists a neighbourhood V of 0 in \mathbb{R}^n such that the bound

$$(3.5) \quad I_0(\lambda) \ll N \|\psi\|_1 \lambda^{-1/(k-1)}, \text{ for all } \lambda > 0 \text{ and for all } \psi \in C_c^1(V)$$

holds, the implied constant depending at most on P (and thus on n and k).

2) *A change of variables*

We want to prove Theorem 3 by induction on n . We note that, for $n = 1$, there is nothing to prove, because a homogeneous polynomial of degree k in one variable cannot satisfy (3.1). Thus, we suppose $n \geq 2$. If $n \geq 3$, we assume that the theorem have been proved up to the dimension $n - 1$, and if $n = 2$, we have nothing to assume, Lemma 1 being a sufficient reference. In order to make a change of variables which will reduce the dimension (in some way, at least), we define the sets $S = \{\mathbf{x} \in [0, 1]^n; x_j \leq x_n \text{ for } j = 1, \dots, n-1\}$ and $T = [0, 1]^{n-1}$. We set $x_1 = tu_1, \dots, x_{n-1} = tu_{n-1}, x_n = t$, so that we have the general formula

$$(3.6) \quad \int_S \chi(\mathbf{x}) d\mathbf{x} = \int_0^1 \int_T \chi(t\mathbf{u}, t) t^{n-1} dt d\mathbf{u}.$$

for any integrable function χ . Now, we define $\gamma(\mathbf{x})$ as being the characteristic function of Γ , so that we may write

$$(3.7) \quad I_0(\lambda) = \int_0^1 \int_T \gamma(t\mathbf{u}, t) \psi(t\mathbf{u}, t) e^{it^k \lambda Q(\mathbf{u})} t^{n-1} dt d\mathbf{u},$$

where we have set $Q(\mathbf{u}) = P(\mathbf{u}, 1)$.

3) *An intermediate property*

Let $\mathbf{a} \in T$ be fixed. We want to ensure the existence of a neighbourhood $V(\mathbf{a})$ of \mathbf{a} in \mathbb{R}^{n-1} such that

$$(3.8) \quad \int_0^1 \int_{T \cap V(\mathbf{a})} \gamma(t\mathbf{u}, t) \psi(t\mathbf{u}, t) e^{it^k \lambda Q(\mathbf{u})} t^{n-1} dt d\mathbf{u} \ll N \|\psi\|_1 \lambda^{-1/(k-1)}.$$

Suppose first that $Q(\mathbf{a}) \neq 0$, say $|Q(\mathbf{a})| = 2\delta$, with $\delta > 0$. Then we choose $V(\mathbf{a})$ so small that $|Q(\mathbf{u})| \geq \delta$ throughout $V(\mathbf{a})$. For each fixed $\mathbf{u} \in V(\mathbf{a})$, we bound the integral $\int_0^1 \gamma(t\mathbf{u}, t)\psi(t\mathbf{u}, t) \exp(i\lambda Q(\mathbf{u})t^k) dt$ by means of Lemma 2 ; for this, we have to recall that we have fixed $n \geq 2$, and to note that the function $t \rightarrow \gamma(t\mathbf{u}, t)$ is the characteristic function of a union of at most N intervals. Integrating then over \mathbf{u} , we obtain (3.8) in the case $Q(\mathbf{a}) \neq 0$.

4) We consider now the more difficult case where $Q(\mathbf{a}) = 0$. We set $\mathbf{u} = \mathbf{a} + \mathbf{v}$ and $R(\mathbf{v}) = Q(\mathbf{a} + \mathbf{v})$; R is thus a polynomial in $n - 1$ variables, of degree $\leq k$, with $R(\mathbf{0}) = 0$.

We write $R(\mathbf{v}) = \sum_{\alpha} b_{\alpha} \mathbf{v}^{\alpha}$, with $\alpha = (\alpha_1, \dots, \alpha_{n-1}) \in \mathbb{N}^{n-1}$, $|\alpha| \leq k$. We dismiss the case $R(\mathbf{v}) \equiv 0$; indeed, this would mean that $P(x_1 - a_1, \dots, x_{n-1} - a_{n-1}, 1) \equiv 0$, which is impossible by Lemma 3.

Thus, we know that there is at least one index $\alpha \neq \mathbf{0}$ such that $b_{\alpha} \neq 0$. We first consider the case where this α satisfies $|\alpha| = l$, with $1 \leq l \leq k - 1$.

For each fixed $t \in [0, 1]$, we note that the function $\mathbf{u} \rightarrow \gamma(t\mathbf{u}, t)$ is the characteristic function of a set in \mathbb{R}^{n-1} which satisfies (1.4).

Now, the derivative $\partial^{\alpha} R(\mathbf{v})$ is equal to the constant term $(\alpha_1!)\dots(\alpha_{n-1}!)b_{\alpha}$ plus non constant monomials that will be small if we restrict \mathbf{v} to a sufficiently small neighbourhood of $\mathbf{0}$ in \mathbb{R}^{n-1} . We have shown that there exists a neighbourhood W of $\mathbf{0}$ in \mathbb{R}^{n-1} and a real $\delta > 0$, both depending only on \mathbf{a} and P (and, in particular, not on t) such that $|\partial^{\alpha} R(\mathbf{v})| \geq \delta$ throughout W .

We set $V(\mathbf{a}) = \mathbf{a} + W$, so that we have $|\partial^{\alpha} Q(\mathbf{u})| \geq \delta$ throughout $V(\mathbf{a})$, and we apply Lemma 1 :

$$(3.9) \quad \int_{T \cap V(\mathbf{a})} \gamma(t\mathbf{u}, t)\psi(t\mathbf{u}, t) \exp(i\lambda t^k Q(\mathbf{u})) d\mathbf{u} \ll N \|\psi\|_1 (\delta t^k \lambda)^{-1/l},$$

for all $\lambda > 0$ and each $t \in [0, 1]$.

Integrating this inequality over t , we set $A(t) = t^{n-1} \min\{1, (t^k \lambda)^{-1/l}\}$, and we write

$$\begin{aligned} \int_0^1 A(t) dt &= \int_0^{\tau} A(t) dt + \int_{\tau}^1 A(t) dt \\ &\leq \int_0^{\tau} t^{n-1} dt + \lambda^{-1/l} \int_{\tau}^1 t^{n-1-k/l} dt \\ &\ll \tau^n (1 + \lambda^{-1/l} \tau^{-k/l}) + \lambda^{-1/l} \end{aligned}$$

In this last bound, we take $\tau = \lambda^{-1/k}$ (assuming $\lambda \geq 1$, otherwise there is nothing to prove), and we get

$$\int_0^1 A(t) dt \ll \lambda^{-n/k} + \lambda^{-1/l}.$$

From this, we recover (3.8).

5) For proving (3.8), it remains to consider the case where $Q(\mathbf{a}) = 0$ and where $R(\mathbf{v})$ is a homogeneous polynomial of degree k .

But such a situation cannot occur in the case $n = 2$. Indeed, $R(v)$ is a homogeneous polynomial of degree k and can be written as $R(v) = bv^k$, and thus, $P(x, 1) =$

$b(x - a)^k$. By Lemma 3, the only polynomial $P(x, y)$, homogeneous of degree k , which satisfies $P(x, 1) = b(x - a)^k$ is $P(x, y) = b(x - ay)^k$, so that (3.1) is not satisfied.

Now, we suppose $n \geq 3$. In the same way as above, we show that $R(\mathbf{v})$ cannot be written as $R(\mathbf{v}) = \pm L(\mathbf{v})^k$: otherwise we should have

$$P(x_1, \dots, x_{n-1}, 1) = \pm L(x_1 - a_1, \dots, x_{n-1} - a_{n-1})^k$$

and this would imply that

$$P(x_1, \dots, x_{n-1}, x_n) = \pm L(x_1 - a_1x_n, \dots, x_{n-1} - a_{n-1}x_n)^k + P_0(\mathbf{x})$$

where $P_0(\mathbf{x})$ is a homogeneous polynomial which satisfies $P_0(x_1, \dots, x_{n-1}, 1) = 0$, for all x_1, \dots, x_{n-1} . By Lemma 3, this is possible only if $P_0(\mathbf{x}) \equiv 0$. Thus R satisfies (3.1) in the lower dimension $n - 1$.

From our recurrence hypothesis (that the theorem is true in the $n - 1$ dimensional case), there exists a neighbourhood W of $\mathbf{0}$ in \mathbb{R}^{n-1} such that, setting $V(\mathbf{a}) = \mathbf{a} + W$, we have

$$(3.10) \quad \int_{T \cap V(\mathbf{a})} \gamma(t\mathbf{u}, t)\psi(t\mathbf{u}, t)e^{i\lambda t^k Q(\mathbf{u})} d\mathbf{u} \ll N \|\psi\|_1 (t^k \lambda)^{-1/(k-1)}.$$

We integrate this inequality over t as previously (see the corresponding proof in step 4), and we recover (3.8).

We have finally proved (3.8) unconditionally when $n = 2$, and also for $n > 2$, providing that the theorem is true in dimension $n - 1$.

6) *Conclusion*

We treat together the cases $n = 2$ and $n > 2$ because they are identical, but one should have to prove firstly the case $n = 2$, and then, the case $n > 2$ by induction on n .

We have to prove (3.5). For each $\mathbf{a} \in T$, we choose a neighbourhood $V(\mathbf{a})$ as in (3.8). Let χ_1, \dots, χ_s be C^1 functions on \mathbb{R}^{n-1} , each one having his support included in one of the $V(\mathbf{a})$, and such that $\sum_{r=1}^s \chi_r(\mathbf{u}) = 1$ for all $\mathbf{u} \in T$. We have

$$I_0(\lambda) = \sum_{r=1}^s \int_0^1 \int_T \gamma(t\mathbf{u}, t)\chi_r(\mathbf{u})\psi(t\mathbf{u}, t)e^{it^k \lambda Q(\mathbf{u})} t^{n-1} dt d\mathbf{u}.$$

We bound each integral in the sum using (3.8) and we obtain (3.5). The proof is complete. \square

4. Proof of Theorem 2

Let f, φ, Ω and Γ be as in Theorem 2. For each \mathbf{x}_0 in the compact $\bar{\Omega}$, we are going to construct a neighbourhood $V(\mathbf{x}_0)$ of \mathbf{x}_0 in \mathbb{R}^n , so that, for each $\chi \in C_c^1(V(\mathbf{x}_0))$ and each $\lambda > 0$, we have

$$(4.1) \quad \int_{\Gamma} \chi(\mathbf{x})e^{i\lambda f(\mathbf{x})} d\mathbf{x} \ll N \|\chi\|_1 \lambda^{-1/(k-1)},$$

where the implied constant depends at most on f . Assuming (4.1), it is easy to deduce (1.5) with a partition of unity, in the same way as above. Now, our aim is to prove (4.1).

We fix $\mathbf{x}_0 \in \bar{\Omega}$. We set $P(\mathbf{y}) = f(\mathbf{y} + \mathbf{x}_0) - f(\mathbf{x}_0)$; P is a polynomial of degree k , which is not of the form $\pm L(\mathbf{y})^k$. We have to find a neighbourhood W of $\mathbf{0}$ in \mathbb{R}^n such that we have

$$(4.2) \quad \int_{\tilde{\Gamma}} \chi(\mathbf{y}) e^{i\lambda P(\mathbf{y})} d\mathbf{y} \ll N \|\chi\|_1 \lambda^{-1/(k-1)}, \text{ for } \chi \in C_c^1(W) \text{ and } \lambda > 0,$$

where we have set $\tilde{\Gamma} = -\mathbf{x}_0 + \Gamma$, and where the implied constant depends at most on f .

As P vanishes at $\mathbf{0}$, either P is a homogeneous polynomial of degree k , or we have

$$(4.3) \quad P(\mathbf{y}) = \sum_{\alpha} a_{\alpha} \mathbf{y}^{\alpha}, \text{ where } a_{\alpha} \neq 0 \text{ for some } \alpha \text{ with } 1 \leq |\alpha| \leq k-1.$$

In the first case, which is the more difficult, (4.2) is precisely the conclusion of Theorem 3, so that we may suppose that (4.3) holds. Let $\alpha \in \mathbb{N}^n$ such that $1 \leq |\alpha| \leq k-1$, and $|a_{\alpha}| = 2\delta$ for some $\delta > 0$. Then there exists a sufficiently small neighbourhood W of $\mathbf{0}$ in \mathbb{R}^n such that the derivative $\partial^{\alpha} P$ satisfies $|\partial^{\alpha} P(\mathbf{y})| \geq \delta$ throughout W .

Thus we may apply Lemma 1 and this implies precisely (4.2). The proof of Theorem 2 is now complete. \square

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