

160. The Generalized Form of Poincaré's Inequality and its Application to Hypoellipticity

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Introduction. In this paper we shall derive an inequality of the form

$$(0.1) \quad \|u\| \leq C(\zeta^{-\tau} \|u\|_{\tau} + \zeta^l \|gu\|) \quad \text{for } u \in C_0^\infty(B_{\delta_0}), \zeta > 0$$

as an extended form of Poincaré's inequality, where B_{δ_0} is the open ball in R_x^n with the center $x=0$ and the radius $\delta_0 > 0$, τ is a positive number, and $g(x)$ is a real valued C^∞ -function which vanishes of finite order l at the origin. If g is a homogeneous function satisfying $|g(x)| \geq C_0 |x|^l$ ($C_0 > 0$) we can easily derive (0.1) by deriving first an inequality $\|u\| \leq C(\|D_x^\tau u\| + \|gu\|)$ and using the homogeneity of g as in Grushin [2]. In the present paper using Hörmander's theorem in [4] we shall prove that the inequality (0.1) holds even in the case of non-homogeneous function $g(x)$.

As an application we shall prove the hypoellipticity for the operator of the form

$$(0.2) \quad L = a(X, D_x) + g(X)b(X, Y, D_y),$$

when $a(x, \xi)$ satisfies the conditions similar to those in [3] and [7], $b(x, y, \eta)$ satisfies the conditions similar to those in the strongly elliptic case, and $g(x)$ is a non-negative function such that $\partial_x^{\alpha_0} g(0) \neq 0$ for some α_0 . The idea of the proof is found in the proof of the hypoellipticity of the operator $Lu = |x|^2 \Delta_x^2(|x|^2 u) - \Delta_x u + i|x|^2 \Delta_y^2 u$ by Beals [1]. We note that the operator of the form (0.2) is a generalization of the operators $A(x; D_x) + g(x)^2 B(x, y; D_y)$ in Kato [5] and $(-\Delta_x)^l + |x|^{2\nu} (-\Delta_y)^{l'}$ in Grushin [2] and Taniguchi [8].

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§ 1. The generalized form of Poincaré's inequality. In this paper we shall use the following notations:

$$\begin{aligned} \partial_{x_j} &= \partial / \partial x_j, & j &= 1, \dots, n, \\ \partial_x^\alpha &= \partial_{x_1}^{\alpha_1} \cdots \partial_{x_n}^{\alpha_n} & \text{for multi-index } \alpha &= (\alpha_1, \dots, \alpha_n), \\ \mathcal{B}(R_x^n) &= \{u \in C^\infty(R_x^n); \sup_x |\partial_x^\alpha u(x)| < \infty \text{ for any } \alpha\}, \\ \mathcal{S}(R_x^n) &= \{u \in \mathcal{B}(R_x^n); x^\alpha \partial_x^\beta u \in \mathcal{B}(R_x^n) \text{ for any } \alpha, \beta\}. \end{aligned}$$

Theorem 1. Let $g(x) \in C^\infty(\overline{B_{\delta_0}})$ be a real valued function which satisfies for some α_0

$$(1.1) \quad |\partial_x^{\alpha_0} g(x)| \geq c_0 > 0 \quad \text{in } B_{\delta_0},$$

$$(1.1)' \quad \partial_x^{\beta} g(0) = 0 \quad \text{for } |\beta| < |\alpha_0|,$$

where B_{δ_0} is an open ball in R_x^n with the center $x=0$ and the radius $\delta_0(>0)$. Then we have for $\tau > 0$

$$(1.2) \quad \|u\| \leq C(\zeta^{-\tau} \|u\|_{\tau} + \zeta^{|\alpha_0|} \|gu\|) \quad \text{for } u \in C_0^{\infty}(B_{\delta_0}), \zeta > 0.$$

Remark. In (1.2) setting $\zeta = c\delta^{-1}$ for small constant c we can easily prove Poincaré's inequality

$$\|u\| \leq C\delta^{\tau} \|u\|_{\tau} \quad \text{for } u \in C_0^{\infty}(B_{\delta}), 0 < \delta < \delta_0,$$

since we have $|g(x)| \leq C_1|x|^{|\alpha_0|}$ for a constant C_1 .

Proof. As in [4] we use the notations e^{tX} , $|v|_{X,s}$ for a vector field X in $\Omega = B_{\delta_0} \times R_y^1$ and $0 < s \leq 1$ as follows:

e^{tX} : one parameter group of transformations in Ω defined by X ,

$$|v|_{X,s} = \sup_{0 < t \leq 1} t^{-s} \|e^{tX}v - v\|_{L_{X,y}^2}, \quad \text{where } L_{X,y}^2 = L^2(R_x^n \times R_y^1).$$

First we assume $0 < \tau \leq 1$ and prove the next inequality

$$(1.2)' \quad \zeta^{\tau_1} \|u\| \leq C(\|u\|_{\tau} + \zeta \|gu\|) \quad (\tau_1 = (1 + |\alpha_0|/\tau)^{-1})$$

which is equivalent to (1.2). Moreover we may assume $\zeta \geq C_0$ for some constant $C_0 > 0$ in (1.2)', since (1.2)' is trivial for $0 < \zeta \leq C_0$. We put $X_0 = g(x)\partial_y$, $X_1 = \partial_{x_1}$, \dots , $X_n = \partial_{x_n}$, $s_0 = 1$, $s_1 = \dots = s_n = \tau$. Then we have for $Y = \partial_y$

$$Y = (\partial_x^{\alpha_0} g(x))^{-1} (\text{ad } X_1)^{\alpha_{01}} (\text{ad } X_2)^{\alpha_{02}} \dots (\text{ad } X_n)^{\alpha_{0n}} X_0$$

$$((\text{ad } X)Y = XY - YX, \alpha_0 = (\alpha_{01}, \dots, \alpha_{0n}))$$

and we have the next formula by Theorem 4.3 in [4]

$$(1.3) \quad |v|_{Y,\tau_1} \leq C_1 \left(\sum_{j=1}^n |v|_{X_j,\tau} + |v|_{X_0,1} + \|v\| \right)$$

for $v \in C_0^{\infty}(B_{\delta_0} \times \{y; |y| < 1\})$.

We fix a function $\chi(y) \in C_0^{\infty}((-1, 1))$ such that $\chi \geq 0$ and $\int \chi(y)^2 dy = 1$, and put $v_{\zeta}(x, y) = \chi(y)e^{i\zeta y}u(x)$ for $u \in C_0^{\infty}(B_{\delta_0})$. Then we have from (1.3)

$$(1.4) \quad |v_{\zeta}|_{Y,\tau_1} \leq C_1 \left(\sum_{j=1}^n |v_{\zeta}|_{X_j,\tau} + |v_{\zeta}|_{X_0,1} + \|v_{\zeta}\| \right).$$

We calculate each term. To begin with we have

$$(1.5) \quad \|v_{\zeta}\|^2 = \iint |\chi(y)e^{i\zeta y}u(x)|^2 dx dy = \|u\|^2 \leq C_2 \|u\|_{\tau}^2.$$

Since $(e^{tX_j}v)(x, y) = v(x + te_j, y)$ ($e_j = (0, \dots, 0, \underset{j}{1}, 0, \dots, 0)$) for $j \geq 1$, we have

$$(1.6) \quad |v_{\zeta}|_{X_j,\tau} = \sup_{0 < t \leq 1} \left\{ t^{-2\tau} \iint |\chi(y)|^2 |u(x + te_j) - u(x)|^2 dx dy \right\}^{1/2}$$

$$= \sup_{0 < t \leq 1} \left\{ t^{-2\tau} \int |u(x + te_j) - u(x)|^2 dx \right\}^{1/2} \leq C_3 \|u\|_{\tau}.$$

Next we have from $(e^{tX_0}v_{\zeta})(x, y) = v_{\zeta}(x, y + tg(x))$

$$t^{-2} \|e^{tX_0}v_{\zeta} - v_{\zeta}\|^2$$

$$= t^{-2} \iint |\chi(y + tg(x))e^{i\zeta(y + tg(x))}u(x) - \chi(y)e^{i\zeta y}u(x)|^2 dx dy$$

$$\begin{aligned}
 &= \int |g(x)u(x)|^2 dx \int \left| \int_0^1 \{ \chi'(y + \theta t g(x)) e^{i\zeta(y + \theta t g(x))} \right. \\
 &\quad \left. + \chi(y + \theta t g(x)) i\zeta e^{i\zeta(y + \theta t g(x))} \} d\theta \right|^2 dy \\
 &\leq C_4^2 \zeta^2 \|gu\|^2 \quad (\zeta \geq C_0).
 \end{aligned}$$

Then we get

$$(1.7) \quad |v_\zeta|_{X_0,1} \leq C_4 \zeta \|gu\|.$$

Similarly we have

$$\begin{aligned}
 (1.8) \quad |v_\zeta|_{Y,\tau_1}^2 &= \sup_{0 < t \leq 1} t^{-2\tau_1} \|e^{tY} v_\zeta - v_\zeta\|^2 \\
 &= \sup_{0 < t \leq 1} t^{-2\tau_1} \iint |\chi(y+t)e^{i\zeta(y+t)}u(x) - \chi(y)e^{i\zeta y}u(x)|^2 dx dy \\
 &\geq \|u\|^2 \sup_{0 < t \leq 1} t^{-2\tau_1} \int \left\{ \frac{1}{2} |\chi(y)|^2 |e^{i\zeta(y+t)} - e^{i\zeta y}|^2 \right. \\
 &\quad \left. - |\chi(y+t) - \chi(y)|^2 |e^{i\zeta(y+t)}|^2 \right\} dy \\
 &\geq C_5 \zeta^{2\tau_1} \|u\|^2 - C_6 \|u\|^2 \quad (\zeta \geq C_0).
 \end{aligned}$$

Therefore we have (1.2)' from (1.4)–(1.8). For $\tau \geq 1$ we can prove (1.2) by interpolation and (1.2) for $0 < \tau \leq 1$.

§ 2. Hypocoellipticity at the origin. In this section we shall study a scalar differential operator in $R_x^n \times R_y^k$ of the form

$$(2.1) \quad L(X, Y, D_x, D_y) = a(X, D_x) + g(X)b(X, Y, D_y).$$

We say that L is hypoelliptic at the origin if there exists a neighborhood Ω of the origin such that $Lu \in C^\infty(\Omega')$ implies $u \in C^\infty(\Omega')$ for $u \in \mathcal{D}'(\Omega)$ and any open set Ω' in Ω .

Before the formulation we introduce some notations.

Notations. Let $\lambda(\xi), \mu(\eta)$ be C^∞ -functions in R_ξ^n, R_η^k , respectively, such that for $0 < \sigma \leq 1$

$$(2.2) \quad (1 + |\xi|)^\sigma \leq \lambda(\xi) \leq C(1 + |\xi|), \quad (1 + |\eta|)^\sigma \leq \mu(\eta) \leq C'(1 + |\eta|),$$

$$(2.3) \quad |\partial_\xi^\alpha \lambda(\xi)| \leq C_\alpha \lambda(\xi)^{1-|\alpha|}, \quad |\partial_\eta^{\alpha'} \mu(\eta)| \leq C_{\alpha'} \mu(\eta)^{1-|\alpha'|}.$$

$$\begin{aligned}
 1^\circ) \quad S_{\lambda,1,\delta}^m &= \{p(x, \xi) \in C^\infty(R_{x,\xi}^{2n}); |\partial_\xi^\alpha \partial_x^\beta p(x, \xi)| \leq C_{\alpha\beta} \lambda(\xi)^{m-|\alpha|+\delta|\beta|}\} \\
 &\quad (-\infty < m < \infty, 0 \leq \delta < 1).
 \end{aligned}$$

$$S_\lambda^{-\infty} = \bigcap_m S_{\lambda,1,\delta}^m \quad (\text{cf. [3], [6] and [8]}).$$

$$\begin{aligned}
 2^\circ) \quad \mathcal{B}_x(S_\mu^{m'}) &= \{q(x, y, \eta) \in C^\infty(R_x^n \times R_{y,\eta}^{2k}); |\partial_x^\alpha \partial_y^{\alpha'} \partial_\eta^{\beta'} q(x, y, \eta)| \\
 &\quad \leq C_{\alpha'\beta'\gamma} \mu(\eta)^{m'-|\alpha'|}\} \quad (-\infty < m' < \infty).
 \end{aligned}$$

3°) For $p(x, \xi) \in S_{\lambda,1,\delta}^m$ and $q(x, y, \eta) \in \mathcal{B}_x(S_\mu^{m'})$ we define pseudo-differential operators $P = p(X, D_x), Q = q(X, Y, D_y)$ with symbols $\sigma(P)(x, \xi) = p(x, \xi), \sigma(Q)(x, y, \eta) = q(x, y, \eta)$ by

$$Pv = (2\pi)^{-n} \int e^{ix \cdot \xi} p(x, \xi) \left(\int e^{-ix \cdot \xi} v(x) dx \right) d\xi,$$

$$Pu = (2\pi)^{-n} \int e^{ix \cdot \xi} p(x, \xi) \left(\int e^{-ix \cdot \xi} u(x, y) dx \right) d\xi,$$

$$Qu = (2\pi)^{-k} \int e^{iy \cdot \eta} q(x, y, \eta) \left(\int e^{-iy \cdot \eta} u(x, y) dy \right) d\eta,$$

for $v \in \mathcal{S}(R_x^n)$ and $u \in \mathcal{S}(R_{x,y}^{n+k})$.

4°) For $P=p(X, D_x) \in S_{\lambda,1,\delta}^m$, we denote the formal adjoint of P by $P^{(*)} = p^{(*)}(X, D_x)$, which is defined by

$$(Pu, v) = (u, P^{(*)}v) \quad \text{for } u, v \in \mathcal{S}(R_x^n).$$

Conditions. 1) $a(x, \xi)$ belongs to $S_{\lambda,1,0}^m$ ($m > 0$) and satisfies for large $|\xi|$

$$(2.4) \quad \operatorname{Re} a(x, \xi) \geq C_0 \lambda(\xi)^{\tau m} \quad (0 < \tau \leq 1, C_0 > 0),$$

$$(2.5) \quad |\partial_{\xi}^{\alpha} \partial_x^{\beta} a(x, \xi) / \operatorname{Re} a(x, \xi)| \leq C_{\alpha\beta} \lambda(\xi)^{-|\alpha| + \delta|\beta|} \quad (0 \leq \delta < 1)$$

(cf. [3], p. 164 and [7], p. 154).

2) $b(x, y, \eta)$ belongs to $\mathcal{B}_x(S_{\mu}^{m'})$ ($m' > 0$) and there exists $b_0(x, y, \eta) \in \mathcal{B}_x(S_{\mu}^{m'})$ such that

$$b(x, y, \eta) - b_0(x, y, \eta) \in \mathcal{B}_x(S_{\mu}^{m'-1})$$

and for large $|\eta|$

$$(2.6) \quad |b_0(x, y, \eta)| \geq C'_0 \mu(\eta)^{m'} \quad (C'_0 > 0)$$

$$(2.7) \quad \operatorname{Re} b_0(x, y, \eta) \geq 0.$$

3) $g(x)$ belongs to $\mathcal{B}(R_x^n)$, $g(x) \geq 0$ and for some α_0

$$(2.8) \quad \partial_x^{\alpha_0} g(0) \neq 0.$$

Theorem 2. Under the conditions above the operator (2.1) is hypoelliptic at the origin.

Lemma. We put $p(x, \xi) = (1/2)(a(x, \xi) + a^{(*)}(x, \xi))$. Then $p(x, \xi)$ has a fractional power $\{p_t\}_{t \in \mathbb{R}}$ such that

$$(2.9) \quad \begin{cases} p_t \in S_{\lambda,1,\delta}^{m_t}, & |p_t(x, \xi)| \geq C \lambda(\xi)^{\tau m_t} \text{ for large } |\xi| \quad (t \geq 0) \\ p_t \in S_{\lambda,1,\delta}^{m_t}, & |p_t(x, \xi)| \geq C' \lambda(\xi)^{m_t} \text{ for large } |\xi| \quad (t < 0). \end{cases}$$

$$(2.10) \quad P_0 = I \text{ (identity operator),} \quad P_1 = P \text{ (original operator).}$$

$$(2.11) \quad |\partial_{\xi}^{\alpha} \partial_x^{\beta} p_t(x, \xi) / p_t(x, \xi)| \leq C_{\alpha\beta} \lambda(\xi)^{-|\alpha| + \delta|\beta|} \quad \text{for large } |\xi|.$$

$$(2.12) \quad \sigma(P_{t_1} P_{t_2}) - p_{t_1+t_2} \in S_{\lambda}^{-\infty}, \quad p_t^{(*)} - p_t \in S_{\lambda}^{-\infty}.$$

Proof is carried out by the similar way to that in [7].

Here we introduce three Sobolev spaces.

$$H_{t,s} = \{u \in S'(R_{x,y}^{n+k}); \lambda(D_x)^t \mu(D_y)^s u \in L^2\}$$

with the norm $\|u\|_{t,s} = \|\lambda(D_x)^t \mu(D_y)^s u\|_{L_{x,y}^2}$.

$$\mathcal{H}_{t,s} = \{u \in \bigcup_{t'} H_{t',s}; P_t \mu(D_y)^s u \in L^2\}$$

with the norm

$$(2.13) \quad \|u\|_{t,s,P} = \{\|P_t u\|_{0,s}^2 + \|\Phi(D_x)u\|_{0,s}^2\}^{1/2}$$

where $\Phi(\xi)$ is a fixed function of $\mathcal{S}(R_{\xi}^n)$ such that $\Phi(\xi) > 0$ in R_{ξ}^n (cf. § 4 of [7]).

$$W_s = \{u \in \mathcal{H}_{\frac{1}{2},s}; gu \in \mathcal{H}_{-\frac{1}{2},s+m'}\}$$

with the norm $\|u\|_s = \{\|u\|_{\frac{1}{2},s,P}^2 + \|gu\|_{-\frac{1}{2},s+m',P}^2\}^{1/2}$ (cf. [1]).

Let ω be a neighborhood of the origin in R_x^n such that

$$(2.14) \quad |\partial_x^{\alpha_0} g(x)| \geq c_0 > 0 \quad \text{on } \bar{\omega},$$

which is guaranteed by (2.8). Then we have

Proposition 1. For $s \in \mathbb{R}^1$ and $0 \leq t \leq 1$ there exists a constant C such that

$$(2.15) \quad \|u\|_{t/2, s+\rho_0(1-t), P} \leq C \|u\|_s \quad \text{for } u \in C_0^{\infty}(\Omega)$$

where $\rho_0 = \sigma\tau mm' / 2(\sigma\tau m + 2|\alpha_0|)$ and $\Omega = \omega \times R_y^k$.

Proof. From Theorem 1 and (2.14) we have for $\tau_1 = (\sigma\tau m + 2|\alpha_0|) / \sigma\tau m$

$$(2.16) \quad \zeta \|v\|^2 \leq C_1 (\|v\|_{\frac{3}{2}\sigma\tau m}^2 + \zeta^{\tau_1} \|gv\|^2) \quad \text{for } v \in C_0^\infty(\omega), \zeta > 0.$$

Since we can write $I = P_{\frac{1}{2}}^{(*)} P_{-\frac{1}{2}} + R$ ($R \in S_\lambda^{-\infty}$) from (2.12), we have

$$(2.17) \quad \begin{aligned} \|gv\|^2 &\leq C_2 \|\sqrt{g}v\|^2 = C_2(gv, v) \\ &= C_2\{(P_{-\frac{1}{2}}gv, P_{\frac{1}{2}}v) + (Rgv, v)\} \\ &\leq C_3\{\zeta^{\tau_1} \|P_{-\frac{1}{2}}gv\|^2 + \zeta^{-\tau_1} \|P_{\frac{1}{2}}v\|^2 + \zeta^{\tau_1} \|\lambda(D_x)^{-\frac{1}{2}m}gv\|^2 \\ &\quad + \zeta^{-\tau_1} \|\lambda(D_x)^{\frac{1}{2}m}v\|^2\}. \end{aligned}$$

Noting (2.2) we have from (2.16) and (2.17)

$$(2.18) \quad \zeta \|v\|^2 \leq C_4 \{\|P_{\frac{1}{2}}v\|^2 + \|\lambda(D_x)^{\frac{1}{2}m}v\|^2 + \zeta^{2\tau_1} (\|P_{-\frac{1}{2}}gv\|^2 + \|\lambda(D_x)^{-\frac{1}{2}m}gv\|^2)\}.$$

We denote for Φ used in (2.13)

$$\|v\|_{l,P} = \{\|P_l v\|^2 + \|\Phi(D_x)v\|^2\}^{1/2}.$$

Then we have as Theorem 4.1 in [7]

$$\|\lambda(D_x)^{\frac{1}{2}m}v\| \leq C_5 \|v\|_{\frac{1}{2},P}, \quad \|\lambda(D_x)^{-\frac{1}{2}m}v\| \leq C_6 \|v\|_{-\frac{1}{2},P}$$

and we get from (2.18)

$$(2.19) \quad \zeta \|v\|^2 \leq C_7 (\|v\|_{\frac{1}{2},P}^2 + \zeta^{2\tau_1} \|gv\|_{-\frac{1}{2},P}^2).$$

Using this and Friedrichs parts as in [6] with respect to

$$\zeta^{(1-t)} (\operatorname{Re} a(x, \xi) + \psi(\xi))^t \leq C (\operatorname{Re} a(x, \xi) + \psi(\xi) + \zeta) \quad (0 \leq t \leq 1)$$

for some $\psi(\xi) \in C_0^\infty(R_\xi^n)$ such that $\operatorname{Re} a(x, \xi) + \psi(\xi) \geq 0$ for all ξ , we can get for $0 \leq t \leq 1$

$$(2.20) \quad \zeta^{(1-t)} \|v\|_{l/2,P}^2 \leq C_8 (\|v\|_{\frac{1}{2},P}^2 + \zeta^{2\tau_1} \|gv\|_{-\frac{1}{2},P}^2) \quad \text{for } v \in C_0^\infty(\omega), \zeta > 0.$$

Writing $\tilde{u}(x, \eta) = \int e^{-iy \cdot \eta} u(x, y) dy$, we have

$$\|u\|_{l,s,P}^2 = (2\pi)^{-k} \int \mu(\eta)^{2s} \|\tilde{u}(\cdot, \eta)\|_{l,P}^2 d\eta.$$

By putting $\zeta = \mu(\eta)^{2\rho_0}$ in (2.20) we have (2.15) as follows:

$$\begin{aligned} \|u\|_{l/2, s+\rho_0(1-t), P}^2 &= (2\pi)^{-k} \int \mu(\eta)^{2s} \zeta^{(1-t)} \|\tilde{u}\|_{l/2, P}^2 d\eta \\ &\leq (2\pi)^{-k} C_8 \int \mu(\eta)^{2s} \{\|\tilde{u}\|_{\frac{1}{2}, P}^2 + \zeta^{2\tau_1} \|g\tilde{u}\|_{-\frac{1}{2}, P}^2\} d\eta \\ &= C_8 \|u\|_s^2. \end{aligned}$$

Here we use the fact that $\zeta^{2\tau_1} = \mu(\eta)^{2m'}$.

Proposition 2. For any integer $l (\geq 0)$, and real numbers s, s_1, t_1 , there exists a constant C such that

$$(2.21) \quad \begin{aligned} \|u\|_{l+\frac{1}{2}, s-lm', P} + \|gu\|_{l-\frac{1}{2}, s+m'-lm', P} \\ \leq C (\|Lu\|_{l-\frac{1}{2}, s, P} + \|u\|_{l_1, s_1}) \quad \text{for } u \in C_0^\infty(\Omega). \end{aligned}$$

Proof is omitted.

Using Propositions 1 and 2 we can prove that for any open set Ω' in Ω , integer $l (\geq 0)$, real number s , and $u \in \mathcal{D}'(\Omega)$, $Lu \in \mathcal{H}_{l-\frac{1}{2}, s}^{loc}(\Omega')$ implies $u \in \mathcal{H}_{l+\frac{1}{2}, s-lm'}^{loc}(\Omega')$. Then Theorem 2 is proved. The detailed proof will be published elsewhere.

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