

The limiting absorption principle for uniformly propagative systems

By Kenji YAJIMA

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§ 0. Introductions.

The present paper is concerned with some spectral properties, especially with the limiting absorption principle, of uniformly propagative systems and their perturbed operators. The investigations of such systems were initiated by C. H. Wilcox [11]. The spectral property and the scattering theory of them have been investigated by C. H. Wilcox, J. R. Schulenberger, T. Kato, and others [2] [7] [8] [9]. In these works however, rather stronger assumptions on the rate of the decrease of the perturbation were assumed, except for a remark in [2].

On the other hand, S. Agmon [1] recently proved the limiting absorption principle for general elliptic operators under weaker assumptions on the perturbations.

In this paper we use Agmon's method, especially a result which we call here Agmon's Lemma, and prove that the limiting absorption principle holds for uniformly propagative systems under weaker assumptions. The writer is informed by T. Ikebe that he proved the limiting absorption principle in a similar but somewhat different way.

An almost equivalent result is recently obtained by T. Suzuki [10] using rather abstract methods.

Our main results are stated in Theorem 1.1, Theorem 1.3, and Theorem 1.7.

§ 1. Notations and Theorems.

The following notations will be used throughout this paper.

R^n : the n -dimensional euclidean space with a generic point $x = (x_1, \dots, x_n)$;

E^n : the dual space of R^n with a generic point $\xi = (\xi_1, \dots, \xi_n)$;

C^m : the m -dimensional unitary space with a generic point $\zeta = (\zeta_1, \dots, \zeta_m)$.

Inner products in R^n , E^n and C^m are denoted by $(x, x') = \sum_{j=1}^n x_j x'_j$, $(\xi, \xi') = \sum_{j=1}^n \xi_j \xi'_j$ and $(\zeta, \zeta') = \sum_{j=1}^m \zeta_j \bar{\zeta}'_j$, respectively. We write $(x, x) = |x|^2$, $(\xi, \xi) = |\xi|^2$ and $(\zeta, \zeta) = |\zeta|^2$ for brevity.

$$D_j = -i \frac{\partial}{\partial x_j}, \quad j=1, 2, \dots, n;$$

$\mathcal{S}(R^n)$, $\mathcal{S}'(R^n)$: the space of rapidly decreasing functions and its dual space;

$\mathcal{D}(R^n)$, $\mathcal{D}'(R^n)$: the space of test functions and the space of distributions.

\mathcal{F} : the Fourier transform $\mathcal{S}' \rightarrow \mathcal{S}'$; its restriction to a subspace of \mathcal{S}' is also denoted by \mathcal{F} , for example $\mathcal{F}: L^2 \rightarrow L^2$.

For the pair of Banach spaces X and Y , $B(X, Y)$ and $B_\infty(X, Y)$ denote the spaces of all bounded linear operators and compact linear operators from X to Y , respectively. When $X=Y$ we write $B(X, X)=B(X)$ and $B_\infty(X, X)=B_\infty(X)$ for brevity. For a closed operator $T: X \rightarrow Y$, $D(T)$, $R(T)$, $N(T)$, $\sigma(T)$, $\sigma_p(T)$, and $\rho(T)$ stand for the domain, the range, the nullspace, the spectrum, the point spectrum and the resolvent set of T , respectively. For $\zeta \in \rho(T)$ we put $R_T(\zeta) = (T - \zeta)^{-1}$. For a densely defined operator $T: X \rightarrow Y$ its adjoint operator is denoted by $T^*: Y^* \rightarrow X^*$.

In the following part of this paper we shall deal with the spectral properties of selfadjoint operators associated with differential systems of the following form operating on C^m -valued functions defined on R^n

$$(L_0) \quad L_0(D) = \sum_{j=1}^n A_j D_j$$

$$(L) \quad L(D) = M(x)^{-1} \sum_{j=1}^n A_j D_j.$$

Our assumptions are as follows.

(A.1) L_0 is the uniformly propagative system in the sense of Wilcox, i.e.,

(a.1.1) the A_1, \dots, A_n are $m \times m$ (Hermitian) symmetric matrices;

(a.1.2) the roots $\lambda_j(\xi)$ of the characteristic equation $p(\lambda, \xi) = \det(\lambda I - \sum_{j=1}^n A_j \xi_j) = 0$ have constant multiplicity for all $\xi \in \mathbb{E}^n \setminus \{0\}$, and $\lambda_j(\xi) \neq 0$ for any $\xi \in \mathbb{E}^n \setminus \{0\}$ unless $\lambda_j(\xi) \equiv 0$ for all $\xi \in \mathbb{E}^n$. Here I is the $m \times m$ unit matrix.

(A.2) $M(x) = (m_{ij}(x))$ is an $m \times m$ matrix depending on $x \in R^n$ satisfying the following conditions;

(a.2.1) there exists a constant $C_1 > 0$ such that

$$(1.1) \quad C_1 |\xi|^2 \leq (\xi, M(x)\xi) \leq C_1^{-1} |\xi|^2 \text{ for all } \xi \in \mathbb{E}^n \text{ and all } x \in R^n$$

(a.2.2) there exist constants $\delta > 1$ and $C_2 > 0$ such that

$$(1.2) \quad \sup |m_{ij}(x) - \delta_{ij}| \leq C_2 (1 + |x|^2)^{-\delta/2} \text{ for all } x \in R^n, \text{ where } \delta_{ij} = 1 \\ \text{if } i=j \text{ and } \delta_{ij} = 0 \text{ if } i \neq j.$$

In order to state the theorems we have to define the operators L_0 and L

precisely and to introduce some auxiliary spaces. For $\sigma \in \mathbb{R}^1$ and a non-negative integer s we put

$$H_{0,\sigma}^s = \left\{ u \in \mathcal{S}'(\mathbb{R}^n; C^m); \|u\|_{H_{0,\sigma}^s}^2 \equiv \sum_{|\alpha| \leq s} \int |D^\alpha u(x)|^2 (1+|x|^2)^\sigma dx < \infty \right\}$$

$$H_{1,\sigma}^s = \left\{ u \in \mathcal{S}'(\mathbb{R}^n; C^m); \|u\|_{H_{1,\sigma}^s}^2 \equiv \sum_{|\alpha| \leq s} \int (D^\alpha u(x) \cdot M(x) D^\alpha u(x)) (1+|x|^2)^\sigma dx < \infty \right\}.$$

We write for brevity $H_{0,\sigma}^0, H_{0,\sigma}^1, H_{0,\sigma}^s, H_{1,\sigma}^0, H_{1,\sigma}^1$ and $H_{1,\sigma}^s$ as $H_0, H_{0,\sigma}, H^s, H_1, H_{1,\sigma}$ and H_1^s , respectively.

Since the formal differential operator $L_0(D)$ has constant coefficients, it has a natural selfadjoint realization L_0 in the Hilbert space H_0 . Namely, $L_0 = \mathcal{S}'^{-1} L_0(\xi) \mathcal{S}$, where the operator $L_0(\xi)$ is the maximal operator determined by the multiplication by the symbol $L_0(\xi) = \sum A_j \xi_j$. Let J be the identification operator from H_1 to H_0 defined as $(Ju)(x) = u(x)$ for all $u \in H_1$. Then J^* is an operator determined by the multiplication by $M(x)^{-1}$. Define the operator L by

$$(1.3) \quad Lu = J^* L_0 J u, \quad u \in D(L) = J^{-1} D(L_0).$$

Obviously L is a selfadjoint operator in H_1 .

Main results in this paper are summarized in the following theorems and corollaries.

THEOREM 1.1. *Let $I_0 = \mathbb{R}^1 \setminus \{0\}$ and let $\Pi^\pm = \{\zeta \in \mathbb{C}^1; \text{Im } \zeta \gtrless 0\}$ be the upper or the lower half plane of \mathbb{C}^1 . Let ϵ be any positive number. Under the assumption (A.1) the following statements hold.*

- (1) *Let P_0 be the orthogonal projection onto $N(L_0)$ in H_0 . Then $R_{L_0}(\zeta)(1 - P_0)$ ($\text{Im } \zeta \neq 0$) can be extended to $\Pi^\pm \cup I_0$ as a $B(H_{0,(1+\epsilon)/2}, H_{0,-(1+\epsilon)/2}^1)$ -valued locally Hölder continuous function. Furthermore $R_{L_0}(\zeta)$ ($\text{Im } \zeta \neq 0$) itself can be extended as a $B(H_{0,(1+\epsilon)/2}, H_{0,-(1+\epsilon)/2})$ -valued locally Hölder continuous function. We put $R_{L_0}(\lambda \pm i0) = \lim_{\epsilon \downarrow 0} R_{L_0}(\lambda \pm i\epsilon)$ and $R'_{L_0}(\lambda \pm i0) = \lim_{\epsilon \downarrow 0} R_{L_0}(\lambda \pm i\epsilon)(1 - P_0)$, where the limit is considered in $B(H_{0,(1+\epsilon)/2}, H_{0,-(1+\epsilon)/2})$ and $B(H_{0,(1+\epsilon)/2}, H_{0,-(1+\epsilon)/2}^1)$, respectively.*
- (2) *For any $u \in H_{0,(1+\epsilon)/2}$ and $\lambda \in I_0$, $(L_0 - \lambda)R_{L_0}(\lambda \pm i0)u = u$ holds in the sense of \mathcal{D}' .*

COROLLARY 1.2. *Let $I_0 = \mathbb{R}^1 \setminus \{0\}$ and let K be any compact subset of \mathbb{C}^1 satisfying $K \cap \mathbb{R}^1 \subset I_0$. Then there exists a constant $C_{K,\epsilon}$ depending only on K and $\epsilon > 0$ such that*

$$(1.4) \quad \|(1 - P_0)u\|_{H_{0,-(1+\epsilon)/2}^1} \leq C_{K,\epsilon} \|(L_0 - \zeta)(1 - P_0)u\|_{H_{0,(1+\epsilon)/2}},$$

$$(1.5) \quad \|u\|_{H_{0, -(1+\varepsilon)/2}} \leq C_{K,\varepsilon} \|(L_0 - \zeta)u\|_{H_{0, (1+\varepsilon)/2}}$$

for all $u \in H_{0, (1+\varepsilon)/2} \cap D(L_0)$ and all $\zeta \in K$.

THEOREM 1.3. *Let assumptions (A.1) and (A.2) be satisfied, and let I be any interval not intersecting with $\sigma_p(L) \cup \{0\}$. Then the following statements hold.*

- (1) $R_L(\zeta)$ ($\text{Im } \zeta \neq 0$) can be extended to $\Pi^\pm \cup I$ as a $B(H_{1, \delta/2}, H_{1, -\delta/2})$ -valued locally Hölder continuous function. We put $R_L(\lambda \pm i0) = \lim_{\varepsilon \downarrow 0} R_L(\lambda \pm i\varepsilon)$.
- (2) For any $u \in H_{1, \delta/2}$ and $\lambda \in I$, $(L - \lambda)R_L(\lambda \pm i0)u = u$ holds in the sense of \mathcal{D}' .

COROLLARY 1.4. *Let I be as in Theorem 1.3 and let K be a compact subset of C^1 with $K \cap R^1 \subset I$. Then there exists a constant $C_K > 0$ depending only on K such that*

$$(1.6) \quad \|u\|_{H_{1, -\delta/2}} \leq C_K \|(L - \zeta)u\|_{H_{1, \delta/2}} \text{ for all } u \in D(L) \cap H_{1, \delta/2} \text{ and all } \zeta \in K.$$

COROLLARY 1.5. $\sigma(L) \setminus \sigma_p(L)$ is absolutely continuous.

Concerning the point spectrum $\sigma_p(L)$ and the corresponding eigenfunctions we obtain the following theorems.

THEOREM 1.6. *Let assumptions (A.1) and (A.2) be satisfied. Then each eigenfunction u_λ of L corresponding to eigenvalue $\lambda \in \sigma_p(L) \setminus \{0\}$ belongs to $H_{1, \sigma}$ for any $\sigma > 0$. Moreover there exists a constant $C_{\lambda, \sigma}$ such that $\|u_\lambda\|_{H_{1, \sigma}} \leq C_{\lambda, \sigma} \|u\|_{H_1}$ holds for all eigenfunction u_λ corresponding to $\lambda \in \sigma_p(L) \setminus \{0\}$, where for fixed $\sigma > 0$ the constant $C_{\lambda, \sigma}$ can be taken independent of λ if λ is in a compact subset of $\sigma_p(L) \setminus \{0\}$.*

THEOREM 1.7. *Let assumptions (A.1) and (A.2) be satisfied. Then $\sigma_p(L) \setminus \{0\}$ is discrete and the only possible accumulation point is the origin; that is, the eigenspace corresponding to each eigenvalue $\lambda \in \sigma_p(L) \setminus \{0\}$ is finite dimensional and $\sigma_p(L) \setminus \{0\}$ does not have any limit point in $R^1 \setminus \{0\}$.*

§2. Proof of theorems.

In this section we will prove theorems and corollaries stated in §1. First we will introduce some notations which are necessary for the proofs. As the consequence of the assumption (A.1) the distinct roots of the characteristic equation $p(\lambda, \xi) = \det(\lambda I - \sum A_j \xi_j) = 0$ can be enumerated as $\lambda_\mu(\xi) > \lambda_{\mu-1}(\xi) > \cdots > \lambda_1(\xi) > \lambda_0(\xi) > \lambda_{-1}(\xi) > \cdots > \lambda_{-\mu+1}(\xi) > \lambda_{-\mu}(\xi)$, where $\lambda_0(\xi)$ is the constantly vanishing root when it exists, and will be omitted otherwise. The roots $\lambda_j(\xi)$ are positively homogeneous

of degree 1, and they satisfy $-\lambda_j(\xi) = \lambda_{-j}(-\xi)$. We put $S_j = \{\xi \in \Xi^n, \lambda_j(\xi) = \text{sign } j\}$ ($j \neq 0$), then S_j are C^∞ compact hypersurfaces without boundary and they satisfy $S_j = -S_{-j}$ (See [8]).

For each j , define

$$\hat{P}_j(\xi) = -\frac{1}{2\pi i} \int_{\Gamma_j(\xi)} (\sum A_j \xi_j - \lambda I)^{-1} d\lambda, \quad \Gamma_j(\xi) = \{\lambda \in C^1; |\lambda - \lambda_j(\xi)| = \delta_j(\xi) > 0\},$$

where $\delta_j(\xi)$ is chosen so small that $\Gamma_j(\xi)$ does not enclose any root of $p(\lambda, \xi) = 0$ except $\lambda_j(\xi)$. Let P_j be $\mathcal{S}^{-1} \hat{P}_j(\xi) \mathcal{S}: H_0 \rightarrow H_0$, where $\hat{P}_j(\xi)$ is the maximal operator determined by the multiplication by $\hat{P}_j(\xi)$. Then the following statements hold. (See, for example, [8].)

(2.1) $\{P_j\}_{j=-\mu, \dots, \mu}$ is a complete system of projectors in H_0 reducing the operator L_0 .

(2.2) $L_0 P_j u = \mathcal{S}^{-1}(\lambda_j(\xi)) \mathcal{S} P_j u$ for all $u \in H_0$.

In what follows, using the above results, we shall construct a spectral representation of L_0 . We write $R_\pm = \{\lambda \geq 0; \lambda \in R^1\}$. The symbol $\text{sign } j$ is used to denote $+$ or $-$ as well as $+1$ or -1 according to $j > 0$ or $j < 0$.

For each $j \neq 0$ we define the non-degenerate C^∞ -mapping $F_j: \Xi^n \setminus \{0\} \rightarrow R_{\text{sign } j} \times S_j$ by $F_j(\xi) = (\lambda_j(\xi), (\text{sign } j)\xi/\lambda_j(\xi))$ and the operator $\hat{F}_j: \mathcal{D}(\Xi^n; C^m) \rightarrow \mathcal{D}(R_{\text{sign } j}; L^2(S_j; C^m))$ by $(\hat{F}_j f)(\mu, \omega) = f(F_j^{-1}(\mu, \omega))$ for $f \in \mathcal{D}(\Xi^n; C^m)$.

(2.3) There exist a positive C^∞ -measure $d\sigma_j(\omega_j)$ on S_j , and a measure $d\rho_\pm(\mu)$ on R_\pm such that \hat{F}_j can be extended to a unitary operator $\hat{\Gamma}_j: L^2(\Xi^n; C^m) \rightarrow L^2(d\rho_{\text{sign } j}; L^2(S_j, d\sigma_j; C^m))$.

Define Γ_j by $\Gamma_j = \hat{\Gamma}_j \mathcal{S} P_j = \hat{\Gamma}_j \hat{P}_j \mathcal{S}^{-1}$, then the following relations (2.4), (2.5), (2.6) and (2.7) can be verified easily.

(2.4) $(\Gamma_j L_0 u)(\mu) = \mu(\Gamma_j u)(\mu)$ a.e. $\mu \in R_{\text{sign } j}$, for all $u \in H_0$.

(2.5) $\Gamma_j P_i = 0$ when $i \neq j$.

(2.6) If $u \in H_{0,\sigma}(\sigma > \frac{1}{2})$ then $(\Gamma_j u)(\cdot): R_{\text{sign } j} \rightarrow L^2(S_j, d\sigma_j; C^m)$ is locally Hölder continuous.

(2.7) If we define $\Gamma_j(\mu): H_{0,\sigma} \rightarrow L^2(S_j, d\sigma_j; C^m)(\sigma > \frac{1}{2})$ by $\Gamma_j(\mu)u = (\Gamma_j u)(\mu)$ for $\mu \in R_{\text{sign } j}$, then the mapping $\Gamma_j(\cdot): R_{\text{sign } j} \rightarrow B(H_{0,\sigma}; L^2(S_j, d\sigma_j; C^m))$ is locally Hölder continuous.

PROOF OF THEOREM 1.1. For non-real $\zeta \in C^1$, we have $R_{L_0}(\zeta) = \sum_{j \neq 0} R_{L_0}(\zeta) P_j - \zeta^{-1} P_0$.

Therefore it is sufficient for the proof of the first part of the theorem to show that $R_{L_0}(\zeta)P_j$ ($j \neq 0$) can be extended to $H^\pm \cup I_0$ as a $B(H_{0,(1+\varepsilon)/2}, H_{0,-(1+\varepsilon)/2}^1)$ -valued locally Hölder continuous function. To this end we let M be the operator determined by the multiplication of the function $(1+|x|^2)^{-(1+\varepsilon)/4}$ and prove that $MD_k R_{L_0}(\zeta)P_j M$ ($\text{Im } \zeta \neq 0$) has an extension to $H^\pm \cup I'$ as a $B(H_0)$ -valued Hölder continuous function, where I' is an arbitrary closed interval contained in I_0 . It is clear that the above mentioned result follows from this. We give the proof for the case $I' \subset (0, \infty)$. Let $\lambda \in I'$ and put $I'' = R^+ \setminus I'$. Let $E_0(d\lambda)$ be the spectral measure for L_0 . Then the equation

$$(2.8) \quad MD_k R_{L_0}(\zeta)P_j M = MD_k R_{L_0}(\zeta)P_j E_0(I')M + MD_k R_{L_0}(\zeta)P_j E_0(I'')M \quad (\text{Im } \zeta \neq 0)$$

holds. Since $\lambda \notin I'$ the limit value as $H^\pm \ni \zeta \rightarrow \lambda$ of the second term on the right hand side of equation (2.8) obviously exists locally uniformly for $\lambda \in I'$. Since $I' \subset (0, \infty)$ the same is true for the first term if j is negative. Thus we assume $j > 0$ in the following.

For $u, v \in H_0$ it is clear that Mu and $Mv \in H_{0,(1+\varepsilon)/2}$. Therefore by (2.3), (2.4), (2.6) and (2.7) we obtain the equation

$$(2.9) \quad \begin{aligned} (MD_k R_{L_0}(\zeta)P_j E_0(I')Mu, v)_{H_0} &= (P_j E_0(I')Mu, D_k P_j R_{L_0}(\bar{\zeta})Mv)_{H_0} \\ &= (I'_j(E_0(I')Mu), \Gamma_j(D_k P_j R_{L_0}(\bar{\zeta})Mv))_{L^2(d\rho_+, L^2(S_j, d\sigma_j; C^m))} \\ &= \int_{R_+} (I'_j(E_0(I')Mu)(\mu), \Gamma_j(D_k P_j R_{L_0}(\bar{\zeta})Mv)(\mu))_{L^2(S_j, d\sigma_j; C^m)} d\rho_+(\mu) \\ &= \int_{I'} (I'_j(Mu)(\mu), \Gamma_j(D_k P_j R_{L_0}(\bar{\zeta})Mv)(\mu))_{L^2(S_j, d\sigma_j; C^m)} d\rho_+(\mu). \end{aligned}$$

Since $D_k = \mathcal{A}^{-1} \xi_k \mathcal{A}$, where ξ_k is the maximal operator determined by the multiplication by ξ_k , we can express $\Gamma_j(D_k P_j R_{L_0}(\bar{\zeta})Mv)(\mu)$ as $\Phi_k(\mu)(\Gamma_j Mv)(\mu)/(\mu - \bar{\zeta}) = \Phi_k(\mu)I'_j(\mu)Mv/(\mu - \bar{\zeta})$. Here $\Phi_k(\mu)$ is a $B(L^2(S_j, d\sigma_j; C^m))$ -valued C^∞ -function on R_+ . Using this expression, we see after simple calculations that the right hand side of (2.9) is equal to

$$\int_{I'} \left(\frac{1}{\mu - \zeta} M I'_j(\mu) * \Phi_k(\mu) * \Gamma_j(\mu) Mu, v \right)_{H_0} d\rho_+(\mu).$$

Therefore as an equation for $B(H_0)$ -valued functions the following equation holds:

$$(2.10) \quad MD_k R_{L_0}(\zeta)P_j E_0(I')M = \int_{I'} \frac{1}{\mu - \zeta} M I'_j(\mu) * \Phi_k(\mu) * \Gamma_j(\mu) M d\rho_+(\mu).$$

Here $M I'_j(\mu) * \Phi_k(\mu) * \Gamma_j(\mu) M: I' \rightarrow B(H_0)$ is a $B(H_0)$ -valued locally Hölder continuous function. Therefore the application of the famous Privaloff's theorem shows that the left hand side of (2.10) can be extended to $H^\pm \cup I'$ as a $B(H_0)$ -valued locally

Hölder continuous function and the first part of the theorem is proved.

Statement (2) of the theorem can be proved easily using the theory of distributions. (Q.E.D.)

Here we record the following two lemmas for later use. The first one is proved implicitly in the proof of the theorem and the second is a direct consequence of the first.

COROLLARY 2.1. *Let $\lambda \in R^1 \setminus \{0\}$ and $I \subset R^1 \setminus \{0\}$ be a closed interval containing λ in its interior. Then in $B(H_{0,(1+\epsilon)/2}, H_{0,-(1+\epsilon)/2})$ the following equation holds:*

$$(2.11) \quad R_{L_0}(\lambda \pm i0) = \text{p.v.} \int_{R^+ \cap I} \frac{1}{\mu - \lambda} \sum_{j>0} \Gamma_j(\mu) * \Gamma_j(\mu) d\rho_+(\mu) \\ + \text{p.v.} \int_{R^- \cap I} \frac{1}{\mu - \lambda} \sum_{j<0} \Gamma_j(\mu) * \Gamma_j(\mu) d\rho_+(\mu) \mp i\pi \sum_{\text{sign } j = \text{sign } \lambda} \Gamma_j(\lambda) * \Gamma_j(\lambda) \frac{d\rho_{\text{sign } \lambda}}{d\lambda} \\ + \sum_{j \neq 0} \int_I \frac{P_j E_0(d\lambda)}{\mu - \lambda} - \frac{1}{\lambda} P_0.$$

Here the symbol p.v. stands for Cauchy's principal value.

COROLLARY 2.2. *Let $\lambda \in R^1 \setminus \{0\}$ and let $u \in H_{0,\sigma}(\sigma > 1/2)$. Then if $\Gamma_j(\lambda)u = 0$ for all j satisfying $\text{sign } j = \text{sign } \lambda$, the following equation holds:*

$$(2.12) \quad \mathcal{S}(R_{L_0}(\lambda \pm i0)u)(\xi) = \sum_{j=-\mu}^{\mu} \frac{\hat{P}_j(\xi)(\mathcal{S}u)(\xi)}{\lambda_j(\xi) - \lambda}.$$

PROOF OF THEOREM 1.3. For $\zeta \in C^1 \setminus R^1$ we put $G(\zeta) = (L_0 - \zeta)JR_L(\zeta)$ and $G_0(\zeta) = (L - \zeta)J^{-1}R_{L_0}(\zeta)$. Then the following equations hold:

$$(2.13) \quad R_{L_0}(\zeta)G(\zeta) = JR_L(\zeta), \quad G(\zeta)G_0(\zeta) = I_{H_0} \quad \text{and} \quad G_0(\zeta)G(\zeta) = I_{H_1}.$$

Hence, since it is known that $R_{L_0}(\zeta)$ ($\text{Im } \zeta \neq 0$) can be extended as described in Theorem 1.1, it is sufficient to show that $G(\zeta) = G_0(\zeta)^{-1}$ ($\text{Im } \zeta \neq 0$) can be extended to $\Pi^\pm \cup I$ as a $B(H_{1,\delta/2}, J_{0,\delta/2})$ -valued locally Hölder continuous function. By assumption (A.2) the following relation at infinity can be verified easily.

$$(2.14) \quad M(x)^{-1} - I = 0(|x|^{-\delta}) \quad \text{as} \quad |x| \rightarrow \infty.$$

Therefore by the result of Theorem 1.1 we find that

$$G_0(\zeta) = J^{-1} + (J^* - J^{-1})L_0R_{L_0}(\zeta) = J^{-1} + (J^* - J^{-1})L_0R_{L_0}(\zeta)(1 - P_0)$$

($\text{Im } \zeta \neq 0$) can be extended to $\Pi^\pm \cup I$ as a $B(H_{0,\delta/2}, H_{1,\delta/2})$ -valued locally Hölder continuous function. We denote the boundary value thus obtained by $G_0(\lambda \pm i0)$. Using the resolvent equation for $R_{L_0}(\zeta)$ and taking the limit as $\zeta \rightarrow \lambda \pm i0$ we get the following equation for $G_0(\lambda \pm i0)$ in $B(H_{0,\delta/2}, H_{1,\delta/2})$:

$$(2.15) \quad G_0(\lambda \pm i0) = J^{-1} + [(J^* - J^{-1})L_0 R_{L_0}(i) + (J^* - J^{-1})(\lambda - i)L_0 R_{L_0}(i) R'_{L_0}(\lambda \pm i0)] \\ = G_0(i)[I + (\lambda - i)G(i)(J^* - J^{-1})L_0 R_{L_0}(i) R'_{L_0}(\lambda \pm i0)] .$$

In taking the limit we used the following two facts: (A) $L_0 R_{L_0}(i)$ can be considered as a bounded operator $H_{0,\sigma}^s \rightarrow H_{0,\sigma}^s$ for any $\sigma \in R^1$ and any integer s ; (This fact can be proved easily by the use of the Fourier transform.) (B) Since $G(i) = J + (I - JJ^*)L_0 J R_L(i) \in B(H_{1,\delta/2}, H_{0,\delta/2})$, $G(i)$ is the inverse of $G_0(i) \in B(H_{0,\delta/2}, H_{1,\delta/2})$.

Now we prove that $G_0(\lambda \pm i0) \in B(H_{0,\delta/2}, H_{1,\delta/2})$ is an invertible operator, that is, we prove the existence of $G_0(\lambda \pm i0)^{-1} \in B(H_{1,\delta/2}, H_{0,\delta/2})$. To this end we first show that

$$(2.16) \quad K_{\pm}(\lambda) \equiv G(i)(J^* - J^{-1})L_0 R_{L_0}(i) R'_{L_0}(\lambda \pm i0) \in B_{\infty}(H_{0,\delta/2}) .$$

By Theorem 1.1 and fact (A) given above, we have $L_0 R_{L_0}(i) R'_{L_0}(\lambda \pm i0) \in B(H_{0,(1+\varepsilon)/2}, H_{0,-1+\varepsilon/2}^1)$ for arbitrary $\varepsilon > 0$. Take $\varepsilon > 0$ so small that $1 + \varepsilon < \delta$. Then using Rellich theorem and the diagonal argument we can easily see that

$$(2.17) \quad (J^* - J^{-1})L_0 R_{L_0}(i) R'_{L_0}(\lambda \pm i0) \in B_{\infty}(H_{0,\delta/2}, H_{1,\delta/2}) .$$

(2.17) and the fact (B) show that (2.16) holds. Now (2.15) can be written as

$$(2.15') \quad G_0(\lambda \pm i0) = G_0(i)(I + (\lambda - i)K_{\pm}(\lambda)) .$$

Hence if we are able to prove $-1 \notin \sigma_p((\lambda - i)K_{\pm}(\lambda))$, then the application of Riesz-Schauder's theorem shows the existence of $G_0(\lambda \pm i0)^{-1}$. In what follows we prove that the supposition $-1 \in \sigma_p((\lambda - i)K_{\pm}(\lambda))$ results in a contradiction. Let $-1 \in \sigma_p((\lambda - i)K_{\pm}(\lambda))$ and $\varphi_{\pm} \in H_{0,\delta/2}$ be a corresponding eigenfunction. For any $\varepsilon > 0$, we put $v_{\pm\varepsilon} = R_{L_0}(\lambda \pm i\varepsilon)\varphi_{\pm}$ and $v_{\pm} = R_{L_0}(\lambda \pm i0)\varphi_{\pm} \in H_{0,-\delta/2}$. Then by Theorem 1.1 we have $J^{-1}v_{\pm} \neq 0$ obviously. Since $G_0(\lambda \pm i0)\varphi_{\pm} = 0$ and $J^{-1}R_{L_0}(\lambda \pm i0)\varphi_{\pm} = J^{-1}v_{\pm}$, $\lim_{\varepsilon \downarrow 0} (L - \lambda)J^{-1}v_{\pm\varepsilon} = 0$ holds in $H_{1,-\delta/2}$, that is, $\lim_{\varepsilon \downarrow 0} L J^{-1}v_{\pm\varepsilon} = \lambda J^{-1}v_{\pm}$ holds in $H_{1,-\delta/2}$. This implies $\lim_{\varepsilon \downarrow 0} L_0 v_{\pm\varepsilon} = \lim_{\varepsilon \downarrow 0} J^* L J^{-1}v_{\pm\varepsilon} = \lambda J^* J^{-1}v_{\pm}$, and hence $L_0 v_{\pm} - \lambda J^* J^{-1}v_{\pm} = 0$ in the sense of distribution. Hence, if we can obtain $J^{-1}v_{\pm} \in H_1$, we get $(L - \lambda)J^{-1}v_{\pm} = 0$ and the contradiction occurs, since we assumed $\lambda \in I$.

Let us prove $J^{-1}v_{\pm} \in H_1$ or the equivalent fact $v_{\pm} \in H_0$. Since other cases can be similarly proved we restrict ourselves to the case $I \subset R_+$. Since the above argument shows that $\varphi_{\pm} = (L_0 - \lambda)v_{\pm} = \lambda(J^{*-1}J^{-1} - I)v_{\pm}$ we obtain

$$(2.18) \quad \langle R_{L_0}(\lambda \pm i0)\varphi_{\pm}, \varphi_{\pm} \rangle = \langle v_{\pm}, \lambda(J^{*-1}J^{-1} - I)v_{\pm} \rangle$$

where \langle, \rangle denotes the natural coupling between $H_{0,-\delta/2}$ and $H_{0,\delta/2}$. Since the definition of J^* means $(J^{*-1}J^{-1}v_{\pm})(x) = M(x)v_{\pm}(x)$ and $M(x)$ is a Hermitian symmetric matrix by the assumption, the last member of (2.18) is a real number. Hence

the left hand side $\langle R_{L_0}(\lambda \pm i0)\varphi_{\pm}, \varphi_{\pm} \rangle$ must be a real number also. Since the other case can be similarly proved we give the proof for the + case only, and the sign + is omitted in the following. Now applying Corollary 2.1 we obtain

$$(2.19) \quad \begin{aligned} \langle R_{L_0}(\lambda + i0)\varphi, \varphi \rangle = & \text{p.v.} \int_I \frac{1}{\mu - \lambda} \sum_{j>0} (F_j(\mu)\varphi, F_j(\mu)\varphi)_{L^2(S_j, d\sigma_j; C^m)} d\rho_+(\mu) \\ & - i\pi \sum_{j>0} \|F_j(\lambda)\varphi\|^2 \frac{d\rho_+}{d\lambda} + \sum_{j \neq 0} \int_{R \setminus I} \frac{1}{\mu - \lambda} (P_j\varphi, E_0(d\mu)P_j\varphi)_{H_0} \\ & - \frac{1}{\lambda} (P_0\varphi, \varphi)_{H_0}. \end{aligned}$$

In the equation (2.19) all terms except for $-i\pi \sum_{j>0} \|F_j(\lambda)\varphi\|^2 \frac{d\rho_+}{d\lambda}$ are real numbers. Therefore $F_j(\lambda)\varphi = 0$ for $j > 0$. Then the application of Corollary 2.2 shows

$$(2.20) \quad \mathcal{F}(R_{L_0}(\lambda + i0)\varphi)(\xi) = \sum_{j=-\mu}^{\mu} \frac{\hat{P}_j(\xi)(\mathcal{F}\varphi)(\xi)}{\lambda_j(\xi) - \lambda}.$$

And $F_j(\lambda)\varphi = 0$ ($j > 0$) implies

$$(2.21) \quad \begin{aligned} & \text{the trace of } \hat{P}_j(\xi)(\mathcal{F}\varphi)(\xi) \text{ on the hypersurface } \Sigma'_j \text{ vanishes,} \\ & \text{where } \Sigma'_j = \{\xi \in \Xi^n; \lambda_j(\xi) = \lambda\}. \end{aligned}$$

Let $\eta > 0$ be so small that the ball $\{|\xi| < 2\eta\}$ does not intersect with Σ'_j for any $j \neq 0$ and let $\phi(\xi) \in \mathcal{D}(\Xi^n; R^1)$ be a function satisfying

$$(2.22) \quad \phi(\xi) = 0 \text{ for } |\xi| > \frac{3}{2}|\eta|, \phi(\xi) = 1 \text{ for } |\xi| < |\eta|, \text{ and } 0 \leq \phi(\xi) \leq 1 \text{ for all } \xi \in \Xi^n.$$

Then by (2.20) we get obviously

$$(2.20)' \quad \mathcal{F}(R_{L_0}(\lambda + i0)\varphi)(\xi) = \sum_{j=-\mu}^{\mu} \phi(\xi) \frac{\hat{P}_j(\xi)(\mathcal{F}\varphi)(\xi)}{\lambda_j(\xi) - \lambda} + \sum_{j=-\mu}^{\mu} (1 - \phi(\xi)) \frac{\hat{P}_j(\xi)(\mathcal{F}\varphi)(\xi)}{\lambda_j(\xi) - \lambda}.$$

By the choice of $\phi(\xi)$, $\lambda_j(\xi) - \lambda \neq 0$ on the support of $\phi(\xi)$. Hence the first term on the right hand side of (2.20)' can be rewritten as $\phi(\xi) (\sum_{j=1}^{\mu} A_j \xi_j - \lambda)^{-1} (\mathcal{F}\varphi)(\xi)$ and has the same regularity as $(\mathcal{F}\varphi)(\xi)$. As for the second term, $(1 - \phi(\xi))\hat{P}_j(\xi)$ are C^∞ -class bounded functions. Therefore $(1 - \phi(\xi))\hat{P}_j(\xi)(\mathcal{F}\varphi)(\xi) \in H^{\delta/2}$. Then using (2.21), by the repeated application of Agmon's Lemma (given in a lecture at Oberwolfach, 1971, see [12]) we get $\mathcal{F}(R_{L_0}(\lambda + i0)\varphi) \in H_0^{m_1 n((\delta/2) - 1 + n\epsilon)}$ for any positive integer n . Therefore $R_{L_0}(\lambda + i0)\varphi \in H_0$ and this means $v \in H_0$. Thus we have proved that $G_0(\lambda \pm i0)^{-1} \in B(H_{0, \delta/2}, H_{1, \delta/2})$ exists. Local Hölder continuity of $G_0(\lambda \pm i0)$ and statement (2) of the theorem are proved easily. (Q.E.D.)

Corollary 1.4 follows from Theorem 1.3 obviously and Corollary 1.5 is proved easily by the application of Corollary 1.4.

For the preparation of the proof of Theorem 1.6 and Theorem 1.7 we prove the following lemma. In the remaining part of the paper we identify $u \in H_{1,\sigma}$ and $Ju \in H_{0,\sigma}$ for any $\sigma \in R^1$ and omit the symbols J or J^{-1} and the indices 0 or 1. We use the notation H^σ for any $\sigma \in R^1$ to denote the usual Sobolev space of order σ .

LEMMA 2.3. *Let assumptions (A.1) and (A.2) be satisfied. Let u_λ be an eigenfunction of L corresponding to the eigenvalue $\lambda \in \sigma_p(L) \setminus \{0\}$. Put $(L_0 - \lambda)u_\lambda = f_\lambda$. Then the following statements hold:*

$$(2.23) \quad f_\lambda = (M(x) - I)u_\lambda \quad (\in H_\delta);$$

$$(2.24) \quad I_j(\lambda)f_\lambda = 0 \text{ for all } j \text{ satisfying } \text{sign } j = \text{sign } \lambda.$$

PROOF. $Lu_\lambda = \lambda u_\lambda$ means $L_0 u_\lambda = \lambda M(x)u_\lambda$. Therefore $f_\lambda = (L_0 - \lambda)u_\lambda = \lambda(M(x) - I)u_\lambda \in H_\delta$ which proves (2.23). Apply I_j to the both sides of $(L_0 - \lambda)u_\lambda = f_\lambda$, then

$$(2.25) \quad (I_j f_\lambda)(\mu) = (\mu - \lambda)(I_j u_\lambda)(\mu) \quad \text{for a.e. } \mu \in R_{\text{sign } j}, j \neq 0.$$

Here in the right hand side of (2.25) $(I_j u_\lambda)(\mu)$ belongs to $L^2(d\rho_{\text{sign } j}; L^2(S_j, d\sigma_j; C^m))$ and in the left hand side $(I_j u_\lambda)(\mu)$ is continuous because $f_\lambda \in H_\delta$ ($\delta > 1$). Therefore $(I_j f_\lambda)(\lambda) = I_j(\lambda)f_\lambda = 0$ for all j satisfying $\text{sign } j = \text{sign } \lambda$. (Q.E.D.)

We remark here again that (2.21) means that the trace of $\hat{P}_j(\xi)(\mathcal{F}f_\lambda)(\xi)$ on the hypersurface Σ'_j vanishes. This fact will be used frequently in the sequel.

PROOF OF THEOREM 1.6. Let u_λ be the eigenfunction of L corresponding to $\lambda \in \sigma_p(L) \setminus \{0\}$, and put $f_\lambda = (L_0 - \lambda)u_\lambda$. Then by (2.23) of Lemma 2.3 $f_\lambda \in H_\delta$ and hence $(\mathcal{F}f_\lambda) \in H^\delta$. Applying the Fourier transform to $(L_0 - \lambda)u_\lambda = f_\lambda$, we obtain

$$(2.26) \quad \left(\sum_{j=1}^n A_j \xi_j - \lambda\right)(\mathcal{F}u_\lambda)(\xi) = (\mathcal{F}f_\lambda)(\xi).$$

Let $\tau_j > 0$ and $\phi(\xi)$ be a function determined as (2.22). Then $(\sum_{j=1}^n A_j \xi_j - \lambda)$ is non-singular on the support of $\phi(\xi)$. Therefore using Lemma 2.2 and Lemma 2.3, we get from (2.26)

$$(2.27) \quad (\mathcal{F}u_\lambda)(\xi) = \phi(\xi) \left(\sum_{j=1}^n A_j \xi_j - \lambda\right)^{-1} (\mathcal{F}f_\lambda)(\xi) + \sum_{j=-n}^n (1 - \phi(\xi)) \frac{\hat{P}_j(\xi)(\mathcal{F}f_\lambda)(\xi)}{\lambda_j(\xi) - \lambda},$$

$$(2.21') \quad \text{the trace of } \hat{P}_j(\xi)(\mathcal{F}f_\lambda)(\xi) \text{ on the hypersurface } \Sigma'_j \text{ vanishes} \\ \text{for all } j \text{ satisfying } \text{sign } j = \text{sign } \lambda_k.$$

Then the application of Agmon's Lemma which was mentioned above implies

$$(2.28) \quad (\mathcal{S}u_\lambda)(\xi) \in H^{\delta-1} \quad \text{and} \quad \|u\|_{H^{\delta-1}} \leq C_\lambda \|f\|_{H^\delta},$$

where C_λ is the constant depending only on λ and δ , and which can be taken independent of λ when λ is in a compact subset of $R^1 \setminus \{0\}$. Therefore remembering (2.23), we obtain

$$(2.29) \quad u_\lambda \in H_{\delta-1} \quad \text{and} \quad \|u_\lambda\|_{H_{\delta-1}} \leq C_\lambda \|u_\lambda\|_H.$$

Now (2.23) and (2.29) imply $f_\lambda \in H_{2\delta-1}$. Then repeating the above process, we obtain with another constant C_λ which has the same property as above

$$(2.30) \quad u \in H_{2(\delta-1)} \quad \text{and} \quad \|u_\lambda\|_{H_{2(\delta-1)}} \leq C_\lambda \|u_\lambda\|_H.$$

We can repeat the above process arbitrarily many times. Hence the statement of Theorem 1.6 holds. (Q.E.D.)

PROOF OF THEOREM 1.7. Let λ_k belong to $\sigma_p(L) \setminus \{0\}$, and u_k be corresponding eigenfunctions for $k=1, 2, \dots, n, \dots$ which are orthonormalized. It is sufficient to prove that $\lambda_k \rightarrow \lambda \in \sigma_p(L) \setminus \{0\}$ never occurs. Let $\lambda_k \rightarrow \lambda \in \sigma_p(L) \setminus \{0\}$. Theorem 1.6 implies that $\{u_k\}$ forms a bounded subset of H_σ for any $\sigma > 0$. Put $f_k = (L_0 - \lambda_k)u_k$, then by Lemma 2.3 we have that $\{f_k\}$ forms a bounded subset of H_σ for any $\sigma > 1$. Applying $G_0(\lambda_k + i0)$ to $f_k = (L_0 - \lambda_k)u_k$, we obtain

$$(2.31) \quad \begin{aligned} G_0(\lambda_k + i0)f_k &= [\lim_{\epsilon \downarrow 0} (L - (\lambda_k + i\epsilon))R_{L_0}(\lambda_k + i\epsilon)](L_0 - \lambda_k)u_k \\ &= \lim_{\epsilon \downarrow 0} [L - (\lambda_k + i\epsilon)][u_k + i\epsilon R_{L_0}(\lambda_k + i\epsilon)u_k] \\ &= \lim_{\epsilon \downarrow 0} [-i\epsilon + i\epsilon G_0(\lambda_k + i\epsilon)]u_k = 0. \end{aligned}$$

Therefore using (2.15) and (2.16) we obtain

$$(2.32) \quad f_k = -(\lambda_k - i)K(\lambda_k)f_k.$$

By (2.16), $K(\lambda)$ is $B_\infty(H_{\delta/2})$ -valued locally Hölder continuous function on $R^1 \setminus \{0\}$. Hence by (2.32), we can choose a subsequence $\{f_{k_j}\}$, of $\{f_k\}$ which converges to $f_\infty \in H_{\delta/2}$ in $H_{\delta/2}$. We denote this subsequence by f_k again. Choose $\phi(\xi) \in C^\omega(\mathbb{E}^n)$ as (2.22). Then by Lemma 2.3 and Corollary 2.2 we get

(2.33) the trace of $\hat{P}_j(\xi)(\mathcal{S}f_k)(\xi)$ on the hypersurface Σ_j^i vanishes for all j satisfying $\text{sign } j = \text{sign } \lambda$;

$$(2.34) \quad \begin{aligned} \mathcal{S}(f_k)(\xi) &= \phi(\xi) \sum_{j \neq 0} \frac{\hat{P}_j(\xi)(\mathcal{S}f_k)(\xi)}{\lambda_j(\xi) - \lambda_k} + (1 - \phi(\xi)) \sum_{j \neq 0} \frac{\hat{P}_j(\xi)(\mathcal{S}f_k)(\xi)}{\lambda_j(\xi) - \lambda_k} \\ &\quad - \frac{\hat{P}_0(\xi)(\mathcal{S}f_k)(\xi)}{\lambda_k} \\ &= \mathcal{S}(R'_{L_0}(\lambda_k + i0)f_k)(\xi) - \frac{\hat{P}_0(\xi)(\mathcal{S}f_k)(\xi)}{\lambda_k}. \end{aligned}$$

The first and the third terms of the middle member are convergent in H . Put $h_k(\xi) = (1 - \phi(\xi)) \sum_{j \neq 0} \frac{\hat{P}_j(\xi)(\mathcal{S}f_k)(\xi)}{\lambda_j(\xi) - \lambda_k}$. Then as in the proof of Theorem 1.6 $\{h_k\}$ forms a bounded subset of H^σ for any $\sigma > 0$. On the other hand Theorem 1.1 shows that $\mathcal{S}(R'_{j_0}(\lambda_k + i0)f_k)$ forms a bounded subset of $H_1^{-\delta/2}$ and so does $\{h_k\}$. Thus $\{\mathcal{S}^{-1}h_k\}$ is bounded simultaneously in H_σ and $H_1^{\delta/2}$. Therefore Rellich's theorem and the diagonal argument show that there exists a subsequence $\{h_{k_j}\}$ which is convergent in H . Hence $\{\mathcal{S}(u_{k_j})\}$ is convergent in H , which means $\{u_{k_j}\}$ is convergent in H . This contradicts the fact that $\{u_k\}$ is orthonormal. (Q.E.D.)

Concluding remarks.

REMARK 1. We record here the immediate corollary of Theorem 1.3 and the abstract stationary method of scattering theory developed by Kato-Kuroda [4] and Dječ [2].

THEOREM 2.4. *Let assumptions (A.1) and (A.2) be satisfied. Let P_{ac} and $P_{0,ac}$ be the projection operators in H_1 and H_0 onto the absolutely continuous subspaces of H_1 and H_0 with respect to L and L_0 , respectively. Then the wave operators*

$$(2.35) \quad W_{\pm}(L, L_0; J^*) = \text{s-lim}_{t \rightarrow \pm\infty} e^{itL} J^* e^{-itL_0} P_{0,ac}$$

$$(2.36) \quad W_{\pm}(L_0, L; J) = \text{s-lim}_{t \rightarrow \pm\infty} e^{itL_0} J e^{-itL} P_{ac}$$

exist. Therefore the absolutely continuous parts of L and L_0 are unitarily equivalent.

REMARK 2. As another application of Theorem 1.3 we can obtain the eigenfunction expansions for the system in a generalized sense with their applications to scattering theory. We discuss the subjects elsewhere.

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Department of Mathematics
Faculty of Science
University of Tokyo
Hongo, Tokyo
113 Japan