

# **Subelliptic estimates for some systems of complex vector fields : quasihomogeneous case**

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ESI, Vienna, November 2006

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## Abstract

For about twenty five years it was a kind of folk theorem that complex vector-fields defined on  $\Omega \times \mathbb{R}_t$  (with  $\Omega$  open set in  $\mathbb{R}^n$ ) by

$$L_j = \frac{\partial}{\partial t_j} + i \frac{\partial \varphi}{\partial t_j}(\mathbf{t}) \frac{\partial}{\partial x}, \quad j = 1, \dots, n, \quad \mathbf{t} \in \Omega, x \in \mathbb{R},$$

were subelliptic as soon as they were hypoelliptic when  $\varphi$  was analytic. This was the case when  $n = 1$  but in the case  $n > 1$ , an inaccurate reading of the proof given by Maire (see also Trèves) of the hypoellipticity of such systems, under the condition that  $\varphi$  does not admit any local maximum or minimum (through a non standard subelliptic estimate), was supporting the belief for this folk theorem. Quite recently, J.L. Journé and J.M. Trépreau show by examples that there are very simple systems (with polynomial  $\varphi$ 's) which were hypoelliptic but not subelliptic in the standard  $L^2$ -sense.

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So it is natural to analyze this problem of subellipticity which is in some sense intermediate (at least when  $\varphi$  is  $C^\infty$ ) between the maximal hypoellipticity (which was analyzed by Helffer-Nourrigat and Nourrigat) and the simple local hypoellipticity (or local microhypoellipticity) and to start first with the easiest non trivial examples. The analysis presented here is a continuation of a previous work by M. Derridj and is devoted to the case of quasihomogeneous functions.

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## Introduction and Main result

Let  $\Omega$  an open set in  $\mathbb{R}^n$  with  $0 \in \Omega$ . We consider the regularity properties of the following system on  $\Omega \times \mathbb{R}$

$$L_j = \frac{\partial}{\partial t_j} + i \frac{\partial \varphi}{\partial t_j}(\mathbf{t}) \frac{\partial}{\partial x}, \quad j = 1, \dots, n, \quad \mathbf{t} \in \Omega, x \in \mathbb{R}, \quad (1)$$

where  $\varphi \in C^1(\Omega, \mathbb{R})$ , with  $\varphi(0) = 0$ . We will concentrate our analysis near a point  $(0, 0)$ .

Many authors have considered this type of system. They were in particular interested in the existence, for some pair  $(s, N)$  such that  $s + N > 0$ , of the following family of inequalities.

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For any pair of open sets  $\omega, I$  such that  $\bar{\omega} \subset\subset \Omega$  and  $I \subset\subset \mathbb{R}$ ,  $\exists C_{s,N}(\omega, I)$  such that

$$\|u\|_s^2 \leq C_N(\omega, I) \left( \sum \|L_j u\|_0^2 + \|u\|_{-N}^2 \right), \quad (2)$$

$$\forall u \in C_0^\infty(\omega \times I),$$

where  $\|\cdot\|_r$  denotes the Sobolev norm in  $H^r(\Omega \times \mathbb{R})$ .

If  $s > 0$ , we say that we have a subelliptic estimate. In [JoTre], there are also results where  $s$  can be arbitrarily negative. We will then speak about weak-subellipticity.

Note that in this case ( $s \leq 0$ ) the existence of this inequality is not sufficient for proving hypoellipticity.

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The system (1) being elliptic in the  $\mathbf{t}$  variable, it is enough to analyze the subellipticity microlocally near  $\tau = 0$ , i.e. near  $(0, (0, \xi))$  in  $T^*(\omega \times I) \setminus \{0\}$  with  $\{\xi > 0\}$  or  $\{\xi < 0\}$ .

This leads to the analysis of the existence of two constants  $C_s^+$  and  $C_s^-$  such that the two following inequalities hold, for all  $u \in C_0^\infty(\omega \times \mathbb{R})$  :

$$\int_{\omega \times \mathbb{R}^+} \xi^{2s} |\widehat{u}(\mathbf{t}, \xi)|^2 dt d\xi \leq C_s^+ \int_{\omega \times \mathbb{R}^+} |\widehat{Lu}(\mathbf{t}, \xi)|^2 dt d\xi , \quad (3)$$

where  $\widehat{u}(\mathbf{t}, \xi)$  is the partial Fourier transform of  $u$  with respect to the  $x$  variable, and

$$\int_{\omega \times \mathbb{R}^-} |\xi|^{2s} |\widehat{u}(\mathbf{t}, \xi)|^2 dt d\xi \leq C_s^- \int_{\omega \times \mathbb{R}^-} |\widehat{Lu}(\mathbf{t}, \xi)|^2 dt d\xi , . \quad (4)$$

When (3) is satisfied, we will speak of microlocal subellipticity in  $\{\xi > 0\}$  and similarly when (4) is satisfied, we will speak of microlocal subellipticity in  $\{\xi < 0\}$ . Of course, when  $s > 0$ , it is standard that these two inequalities imply (2).

We now observe that (3) for  $\varphi$  is equivalent to (4) for  $-\varphi$ , so it is enough to consider the first case.

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## The main result

In [De], Derridj gave a sufficient condition on  $\varphi$  for getting (2) with  $s > 0$ . Here, we consider the case of quasihomogeneous functions  $\varphi$  on  $\mathbb{R}^2$  (i.e.  $n = 2$ ).

The conditions will be expressed for  $\varphi$  in  $C^1$  but note that they become more simple in the analytic case.

More precisely, let  $\ell$  and  $m$  in  $\mathbb{R}$ , such that

$$m \geq 2\ell \geq 2. \quad (5)$$

In the analytic case, we will assume  $\ell \in \mathbb{Q}$ .

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We consider in  $\mathbb{R}^2$   $(t, s)$  as the variables (instead of  $\mathbf{t}$ ) and

the functions  $\varphi \in C^1(\mathbb{R}^2)$  will be quasihomogeneous in the following sense

$$\varphi(\lambda t, \lambda^\ell s) = \lambda^m \varphi(t, s), \quad \forall (t, s, \lambda) \in \mathbb{R}^2 \times \mathbb{R}^+. \quad (6)$$

$\varphi$  is determined by its restriction  $\tilde{\varphi}$  to the distorted circle  $\mathcal{S}$

$$\tilde{\varphi} := \varphi|_{\mathcal{S}}.$$

where  $\mathcal{S}$  is defined by

$$\mathcal{S} = \{(t, s); t^{2\ell} + s^2 = 1\},$$



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Our main result is stated under the following assumption

**Assumption.** (H2)

- (i)  $\tilde{\varphi}$  is not strictly negative.
- (ii)  $\tilde{\varphi}$  can not have a local maximum equal to 0.
- (iii) If  $\mathcal{S}_j^+$  is a component of  $\tilde{\varphi}^{(-1)}(]0, +\infty[)$ , then one can write  $\mathcal{S}_j^+$  as a finite union of arcs satisfying Property 2 below.
- (iv) If  $\mathcal{S}_j^-$  is a component of  $\tilde{\varphi}^{(-1)}(]-\infty, 0[)$ , then  $\tilde{\varphi}$  has a unique minimum in  $\mathcal{S}_j^-$ .
- (v)  $\exists p \geq 1$ , s. t., if  $\theta_0$  is a zero of  $\tilde{\varphi}$ , then  $\exists$  an open arc  $\mathcal{V}_{\theta_0}$  containing  $\theta_0$  and  $C_0 > 0$ , such that

$$|\tilde{\varphi}(\theta) - \tilde{\varphi}(\theta')| \geq \frac{1}{C_0} |\theta - \theta'|^p, \quad \forall \theta, \theta' \in \mathcal{V}_{\theta_0}, \quad (7)$$

with  $\theta$  and  $\theta'$  in the same side.

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Here in the third item, we say that a closed arc  $[\theta, \theta']$  has Property (P) if :

**Property. [(P)]**

There exists on this arc  $\hat{\theta}$  s. t.

(i)  $\tilde{\varphi}$  is non decreasing on the arc  $[\theta, \hat{\theta}]$  and non increasing  $[\hat{\theta}, \theta']$ .

(ii)

$\langle \hat{\theta} | \theta \rangle_\ell \geq 0$  and  $\langle \hat{\theta} | \theta' \rangle_\ell \geq 0$ ,  
where for  $\theta = (\alpha, \beta)$  and  $\hat{\theta} = (\hat{\alpha}, \hat{\beta})$  in  $\mathcal{S} \subset \mathbb{R}^2$ ,

$$\langle \hat{\theta} | \theta \rangle_\ell := \hat{\alpha} \alpha |\hat{\alpha}|^{\ell-1} |\alpha|^{\ell-1} + \hat{\beta} \beta .$$

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We can now state our main theorem :

### Theorem 1.

Let  $\varphi \in C^1(\mathbb{R}^2, \mathbb{R})$  satisfying (6), with  $\ell$  and  $m$  satisfying (5). Then Assumption (H2) implies that the system is microlocally  $\alpha$ -subelliptic in the  $\{\xi > 0\}$  direction with  $\alpha = \frac{1}{\max(m,p)}$ .

### Remarks.

- (i) [De] was considering the homogeneous case  $\ell = 1$  and  $m \geq 2$ .
- (ii) If  $\varphi$  is analytic and  $\ell$  is rational. The statement of the main theorem becomes simpler. (iii) and (v) are indeed automatically satisfied as soon that  $\tilde{\varphi}$  is not identically 0. Moreover, if we write  $\ell = \frac{\ell_2}{\ell_1}$  (with  $\ell_1$  and  $\ell_2$  mutually prime integers), all the criteria on  $\tilde{\varphi}$  can be reinterpreted as criteria for the restriction  $\hat{\varphi}$  of  $\varphi$  on

$$\mathcal{S}_{\ell_1, \ell_2} = \{(t, s) ; t^{2\ell_2} + s^{2\ell_1} = 1\} .$$

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## Derridj's subellipticity criterion.

**Assumption.**  $(H_+(\alpha))$

$\exists \tilde{\omega} \subset \omega$ , with full Lebesgue measure in  $\omega$  and

$$\tilde{\omega} \times [0, 1] \ni (\mathbf{t}, \tau) \mapsto \gamma(\mathbf{t}, \tau) \in \Omega ,$$

such that

(i)  $\gamma(\mathbf{t}, 0) = \mathbf{t}$ ;  $\gamma(\mathbf{t}, 1) \notin \omega$ ,  $\forall \mathbf{t} \in \tilde{\omega}$ .

(ii)  $\gamma$  is  $C^1$  outside a negligible set  $E$  and  $\exists C_1 > 0$ ,  $C_2 > 0$  and  $C_3 > 0$  s.t.

(a)

$$|\partial_\tau \gamma(\mathbf{t}, \tau)| \leq C_2 , \quad \forall (\mathbf{t}, \tau) \in \tilde{\omega} \times [0, 1] \setminus E .$$

(b)

$$|\det(D_{\mathbf{t}}\gamma)(\mathbf{t}, \tau)| \geq \frac{1}{C_1} ,$$

where  $\det D_{\mathbf{t}}\gamma$  denotes the Jacobian of  $\gamma$  considered as a map from  $\tilde{\omega}$  into  $\mathbb{R}^2$ .

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(c)

$$\varphi(\gamma(\mathbf{t}, \tau)) - \varphi(\mathbf{t}) \geq \frac{1}{C_3} \tau^\alpha, \quad \forall (\mathbf{t}, \tau) \in \tilde{\omega} \times [0, 1].$$

Let us recall the result of [De].

**Theorem 2.**

*If  $\varphi$  satisfies  $(H_+(\alpha))$ , then the associated system  $(1)_\varphi$  is microlocally  $\frac{1}{\alpha}$ -subelliptic in  $\{\xi > 0\}$ .*

The proof is easy after taking the partial Fourier transform (with respect to  $x$ ) and reexpressing  $u$  from  $Lu$ .

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# Quasihomogeneous structure

## Distorted geometry

In the description of escaping curves, it appears useful to extend the usual terminology used in the Euclidean space  $\mathbb{R}^2$ . This is realized by introducing the *dressing* map :

$$(t, s) \mapsto d_\ell(t, s) = (t |t|^{\ell-1}, s) . \quad (8)$$

The first example was the unit distorted circle  $\mathcal{S}$  whose image by  $d_\ell$  becomes the standard unit circle in  $\mathbb{R}^2$  centered at  $(0, 0)$ .

Similarly, we will speak of disto-sectors, disto-arcs, disto-rays.

The “disto” scalar product of two vectors in  $\mathbb{R}^2$   $(t, s)$  et  $(t', s')$  is then given by

$$\langle (t, s) \mid (t', s') \rangle_\ell = tt' |tt'|^{\ell-1} + ss' . \quad (9)$$

(for  $\ell = 1$ , we recover the standard scalar product).

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For  $(t, s) \in \mathbb{R}^2$ , we introduce also the quasihomogeneous positive function  $\varrho$  defined on  $\mathbb{R}^2$  by :

$$\varrho(t, s)^{2\ell} = t^{2\ell} + s^2 . \quad (10)$$

With these notations, we observe that

$$(\tilde{t}, \tilde{s}) := \left( \frac{t}{\varrho(t, s)}, \frac{s}{\varrho(t, s)} \right) \in \mathcal{S} , \quad (11)$$

and

$$(t, s) \in \mathcal{R}_{(\tilde{t}, \tilde{s})} .$$

The open disto-disk  $D(R)$  is then defined by

$$D(R) = \{(x, y) \mid \varrho(x, y) < R\} .$$

Once an orientation is defined on  $\mathcal{S}$ , two points  $\theta_1$  and  $\theta_2$  (or  $(a_1, b_1)$  and  $(a_2, b_2)$ ) on  $\mathcal{S}$  will determine a unique “sector”  $V \subset D(1)$ .

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## Distorted dynamics

The parametrized curves  $\gamma$  permitting to satisfy Assumption will actually be “lines” (possibly broken) finally escaping from a neighborhood of the origin. In parametric coordinates, with

$$t(\tau) = t + \varrho\tau, \quad \varrho = \pm c, \quad (12)$$

the curve  $\gamma$  starting from  $(t, s)$  and “parallel” to  $(c, d)$  is defined by writing that the vectors  $(t(\tau)|t(\tau)|^{\ell-1} - t|t|^{\ell-1}, s(\tau) - s)$  and  $(c|c|^{\ell-1}, d)$  are collinear :

$$(t(\tau)|t(\tau)|^{\ell-1} - t|t|^{\ell-1}) d = c|c|^{\ell-1}(s(\tau) - s),$$

and we find

$$s(\tau) = s + \frac{d}{c|c|^{\ell-1}} (t(\tau)|t(\tau)|^{\ell-1} - t|t|^{\ell-1}), \quad (13)$$



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We consider the map  $\sigma \mapsto f_\ell(\sigma)$  which is defined by

$$f_\ell(\sigma) = \sigma|\sigma|^{\ell-1} .$$

Note that

$$f'_\ell(\sigma) = \ell|\sigma|^{\ell-1} \geq 0 .$$

With this new function, (13) can be written as

$$df_\ell(t(\tau)) - s(\tau)f_\ell(c) = df_\ell(t) - sf_\ell(c) . \quad (14)$$

This leads us to use the notion of distorted determinant of two vectors in  $\mathbb{R}^2$ .

$$\Delta_\ell(v; w) = f_\ell(v_1)w_2 - v_2f_\ell(w_1) .$$

We will also write :

$$\Delta_\ell(v; w) = \Delta_\ell(v_1, v_2, w_1, w_2) .$$

With these notations, (14) can be written

$$\Delta_\ell(c, d, t(\tau), s(\tau)) = \Delta_\ell(c, d, t, s) ,$$

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We now look at the variation of  $\psi$  which is defined (for a given initial point  $(t, s)$ ) by

$$\tau \mapsto \psi(\tau) = \rho(\tau)^{2\ell} = t(\tau)^{2\ell} + s(\tau)^2 . \quad (15)$$

Easy computations give also :

$$\psi'(\tau) = \frac{2\rho}{f_\ell(c)} f'_\ell(t + \rho\tau) \langle (c, d) \mid (t(\tau), s(\tau)) \rangle_\ell .$$

We now analyze the variation of the “scalar product”  $\langle (c, d) \mid (t(\tau), s(\tau)) \rangle_\ell$  as a function of  $\tau$ . We have the formula

$$\begin{aligned} & \langle (c, d) \mid (t(\tau), s(\tau)) \rangle_\ell \\ &= \langle (c, d) \mid (t, s) \rangle_\ell + \frac{1}{f_\ell(c)} (f_\ell(t(\tau)) - f_\ell(t)) . \end{aligned}$$

If we now assume that

$$c\rho > 0 , \quad \langle (c, d) \mid (a, b) \rangle_\ell \geq 0 , \quad (16)$$

Then for  $(s, t)$  in the unit sector  $\mathcal{V}_{abcd}$  associated to the arc  $((a, b), (c, d))$ , we obtain :

$$\psi'(\tau) \geq \frac{1}{f_\ell(c)^2} \times (2\rho f'_\ell(t + \rho\tau) (f_\ell(t(\tau)) - f_\ell(t))) .$$

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We rewrite this inequality in the form

$$\psi'(\sigma) \geq \frac{1}{f_\ell(c)^2} \times ((f_\ell(t(\sigma)) - f_\ell(t))^2)' , \forall \sigma \geq 0 .$$

Integrating over  $[0, \tau]$ , we get for  $\tau \geq 0$  :

$$\psi(\tau) \geq \frac{1}{f_\ell(c)^2} \times (f_\ell(t(\tau)) - f_\ell(t))^2 .$$

We now need the following

**Lemma 1.**

For any  $\ell \geq 1$ ,  $\tau \geq 0$ , and  $\gamma \in \mathbb{R}$ , we have

$$f_\ell(\tau + \gamma) - f_\ell(\gamma) \geq f_\ell\left(\frac{\tau}{2}\right) . \quad (17)$$

But using Lemma 1, this leads to

**Lemma 2.**

Under Condition (16), we have, for any  $\tau \geq 0$ , for any  $(t, s) \in \mathcal{V}_{abcd}$ ,

$$\rho(\tau)^{2\ell} - \rho(0)^{2\ell} \geq \left(\frac{\rho\tau}{2c}\right)^{2\ell} . \quad (18)$$

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If instead  $\varrho c < 0$ , we obtain :

$$\rho(\tau)^{2\ell} - \rho(0)^{2\ell} \leq -\left(\frac{\varrho\tau}{2c}\right)^{2\ell} . \quad (19)$$

We continue by analyzing the variation of  $s(\tau)$  and  $t(\tau)$  and more precisely the variation on the disto-circle of :

$$\tilde{t}(\tau) = \frac{t(\tau)}{\rho(\tau)} , \quad \tilde{s}(\tau) = \frac{s(\tau)}{\rho(\tau)^\ell} .$$

After some computations, we get, with

$$\varrho = \pm c ,$$

$$\tilde{t}'(\tau) = \pm |c|^{1-\ell} \frac{s(\tau)}{\rho(\tau)^{2\ell+1}} \Delta_\ell(c, d, t, s) ,$$

which can also be written in the form

$$\tilde{t}'(\tau) = \pm |c|^{1-\ell} \frac{\tilde{s}(\tau)}{\rho(\tau)} \Delta_\ell(c, d, \tilde{t}(\tau), \tilde{s}(\tau)) .$$

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Similarly, we get for  $\tilde{s}'$

$$\tilde{s}'(\tau) = \mp \ell |c|^{1-\ell} \frac{t(\tau)^{2\ell-1}}{\rho(\tau)^{3\ell}} \Delta_\ell(c, d, t, s) ,$$

and

$$\tilde{s}'(\tau) = \mp \ell |c|^{1-\ell} \frac{\tilde{t}^{2\ell-1}(\tau)}{\rho(\tau)} \Delta_\ell(c, d, \tilde{t}(\tau), \tilde{s}(\tau)) .$$

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## The analytic case and $\ell \in \mathbb{Q}$

We keep the previous assumptions but now assume that

$$\ell = \ell_2/\ell_1 ,$$

with  $\ell_1$  and  $\ell_2$  mutually prime integers and that  $\varphi$  is analytic. In this case assumption (6) on  $\varphi$  implies that  $\varphi$  is actually a polynomial and we can write  $\varphi$  in the form

$$\varphi(t, s) = \sum_{\ell_1 j + \ell_2 k = \ell_1 m} a_{j,k} t^j s^k , \quad (20)$$

where  $(j, k)$  are integers and the  $a_{j,k}$  are real.

We can of course apply the main theorem but it is nicer to have a criterion involving more directly the assumptions on  $\varphi$  instead those on  $\tilde{\varphi}$ . It is indeed more natural to express the conditions on the restriction  $\hat{\varphi}$  of  $\varphi$  to the quasi-circle

$$\mathcal{S}_{\ell_1, \ell_2} := \{t^{2\ell_2} + s^{2\ell_1} = 1\} .$$

instead of the disto-circle  $\mathcal{S}$ . There are absolutely no problems if the critical points or zeroes of  $\tilde{\varphi}$  avoid

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$\{t = 0\} \cup \{s = 0\}$  but one should be more careful in order to analyze Condition (7), if it is not satisfied.

### Theorem 3.

Let  $\varphi$  be a real analytic non identically 0 quasihomogeneous function satisfying (6) and (5), with  $\ell = \ell_2/\ell_1$ . Suppose that  $\varphi$  is not a negative function. Suppose in addition that :

If  $\mathcal{S}_k^- = (\theta_k, \theta_{k+1})$  is a maximal arc where  $\widehat{\varphi}$  is negative, then  $\widehat{\varphi}'$  has a unique zero on  $] \theta_k, \theta_{k+1} [$ .

Then  $\varphi$  satisfies  $(H_+)$  with  $\alpha > 0$ . Hence the system (1) is microlocally subelliptic in  $\{\xi > 0\}$ .

### Example 4.

We recover some examples treated by H. Maire [Mai4]

$$\varphi(t, s) = t(s^2 - t^{2\ell}), \ell \geq 1.$$

Here  $m = 2\ell + 1$ .

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## Around Journé-Trépreau

For

$$\varphi(t, s) = -t^{2m} - t^2 s^{2p} + s^q ,$$

with

$$m \geq 1 , p \geq 2 , q \geq \frac{2mp}{m-1} ,$$

J.L. Journé and J.M. Trépreau show that one cannot obtain a better  $\rho$ -subellipticity than

$$\rho \leq -\left(1 - \frac{2p}{q} - \frac{1}{m}\right) \frac{n-1}{4} + \frac{1}{2q} + \frac{m-1}{4mp} .$$

The right hand side can become strictly negative, but **Not** in the quasihomogeneous case !!



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Inside this class ( $m = 2, p = 2$ ), a particularly interesting example where the authors can obtain the optimal subellipticity is

$$\varphi(t, s) = -t^4 - t^2 s^4 + s^q ,$$

with  $q \geq 8$ .

The optimal subellipticity is  $\rho_q = \frac{3}{2q} - \frac{1}{16}$ . Here let us observe that the only quasihomogeneous case corresponds to  $q = 8$  and that in this case their result is coherent with our result. This example show also that we loose the “positive” subellipticity for  $q \geq 24$ .

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