

On the weak $(1, 1)$ boundedness of a class of oscillatory singular integrals

by

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Abstract. We prove the uniform weak $(1, 1)$ boundedness of a class of oscillatory singular integrals under certain conditions on the phase functions. Our conditions allow the phase function to be completely flat. Examples of such phase functions include $\phi(x) = e^{-1/x^2}$ and $\phi(x) = xe^{-1/|x|}$. Some related counterexample is also discussed.

1. Introduction. Oscillatory singular integrals have arisen in many problems in Fourier analysis and related areas. Such operators have been studied by many authors ([1], [2], [4], [5], [8]–[14]). In this article we shall focus on the study of the weak $(1, 1)$ boundedness of such operators.

For a given function f , we let λ_f be its distribution function, i.e. $\lambda_f(s) = m\{x : f(x) > s\}$. The function f is said to be in $L^{1,\infty}$ if $\|f\|_{1,\infty} = \sup_s s\lambda_f(s) < \infty$. An operator is said to be of weak type $(1, 1)$ if it is bounded from L^1 to $L^{1,\infty}$.

Let $\lambda \in \mathbb{R}$, ϕ be a real-valued function and $\varphi \in C_0^\infty(\mathbb{R})$. Define the operator T_λ by

$$(1) \quad T_\lambda f(x) = \text{p.v.} \int_{\mathbb{R}} e^{i\lambda\phi(x-y)} \frac{\varphi(x-y)}{x-y} f(y) dy,$$

where $x \in \mathbb{R}$. We now state our main result.

THEOREM A. Suppose $\phi \in C^3([0, d])$ for some $d > 0$ and satisfies (i) ϕ is even or odd; (ii) $\phi'''(t) \geq 0$, for $0 \leq t \leq d$. Then the operators T_λ are uniformly bounded from L^1 to $L^{1,\infty}$, i.e. there exists a constant C which is independent of λ such that

$$(2) \quad m\{x : |T_\lambda f(x)| > \alpha\} \leq C\alpha^{-1}\|f\|_1$$

for all $\alpha > 0$, $f \in L^1$.

Earlier results on the weak $(1, 1)$ estimates for oscillatory singular integrals can be found in [1], [2] and [10], among others. Recall that in [12]

Ricci and Stein proved the L^p boundedness of oscillatory singular integrals with polynomial phases. Shortly thereafter, Chanillo and Christ proved the weak $(1, 1)$ boundedness for operators with polynomial phases ([1]). In [10], the author obtained the uniform weak $(1, 1)$ estimate for the operators T_λ with real-analytic phase functions. Actually, the estimates obtained in [10] are valid for all dimensions and the analyticity of the phase was used in an essential way only for dimensions greater than one. For $n = 1$, the method in [10] can be used to prove the weak $(1, 1)$ estimates for T_λ with smooth phases. Namely, we have

THEOREM B. *Let T_λ be given by (1). Suppose there is an integer $k \geq 2$, such that ϕ is in C^{2k-1} on $\text{supp}(\varphi)$ and $\phi^{(k)}(0) \neq 0$. Then the operators T_λ are uniformly bounded from L^1 to $L^{1,\infty}$.*

Although Theorem B has not appeared before, its proof does not require new ideas. Therefore, we decide not to include a proof for Theorem B here. The reader may consult [8] and [10].

If the phase function ϕ satisfies $\phi^{(j)}(0) = 0$ for $j = 2, 3, \dots$, the operators T_λ may fail to be uniformly bounded from L^1 to $L^{1,\infty}$. An example will be given by using a function constructed by Nagel and Wainger in [7]. This shows that Theorem B becomes false if the condition $\phi^{(k)}(0) \neq 0$ (for some $k \geq 2$) is removed. The phase function in the example is also convex, which shows that condition (ii) in Theorem A cannot be replaced by $\phi'' \geq 0$.

On the other hand, Theorem A implies that the uniform boundedness of T_λ from L^1 to $L^{1,\infty}$ holds for many phase functions with vanishing derivatives at $x = 0$. Examples of such phase functions include $\phi(x) = e^{-1/x^2}$ and $\phi(x) = xe^{-1/|x|}$.

2. Some reductions and lemmas. To prove Theorem A, first we make a few simple reductions. Since the singularities of the kernel of T_λ are along the line $\{x = y\}$, by using appropriate cut-off functions, we may assume that $\varphi(x) \equiv 1$ near the origin. Without loss of generality, we shall assume that ϕ is defined on $[-1, 1]$ and T_λ is of the following form:

$$(3) \quad T_\lambda f(x) = \text{p.v.} \int_{|x-y| \leq 1} e^{i\lambda\phi(x-y)} \frac{1}{x-y} f(y) dy.$$

In order to prove Theorem A, it suffices to show that T_λ are uniformly bounded from L^1 to $L^{1,\infty}$ provided that ϕ satisfies the following conditions:

- (C1) ϕ is even or odd;
- (C2) $\phi'''(t) \geq 0$, for $t \in [0, 1]$;
- (C3) $\phi(0) = \phi'(0) = \phi''(0) = 0$.

Let us clarify condition (C3). One may assume that $\phi(0) = \phi'(0)$

$= 0$ because replacing the phase function $\phi(x - y)$ by $\phi(x - y) - (\phi(0) + \phi'(0)(x - y))$ does not change the operator norm. One may further assume that $\phi''(0) = 0$ because, if $\phi''(0) \neq 0$, the uniform boundedness of T_λ from L^1 to $L^{1,\infty}$ would follow automatically from Theorem B.

We now recall a few known facts.

LEMMA 1 (van der Corput). *Suppose ψ is smooth and real-valued on $[a, b]$. If $|\psi'(x)| \geq \lambda$, and ψ' is monotone on $[a, b]$, then*

$$(4) \quad \left| \int_a^b e^{i\psi(x)} dx \right| \leq 4\lambda^{-1}.$$

LEMMA 2. *Assume that ϕ satisfies (C1)–(C3). Let T_λ be given as in (3). Then T_λ are uniformly bounded on $L^2(\mathbb{R})$, i.e. there exists a constant C which is independent of λ such that*

$$(5) \quad \|T_\lambda f\|_{L^2(\mathbb{R})} \leq C \|f\|_{L^2(\mathbb{R})}$$

for $f \in L^2(\mathbb{R})$, $\lambda \in \mathbb{R}$.

Proof. If $\phi''(t_0) = 0$, for some $t_0 > 0$, then $\phi''(t) \equiv 0$ for $|t| \leq t_0$, which implies that ϕ is identically zero in $[-t_0, t_0]$. In this case, the uniform boundedness of $\|T_\lambda\|_{2,2}$ is well-known.

We now assume that $\phi''(t) > 0$ for $t \in [0, 1]$. Since $\phi'(t)/t$ is increasing in $[0, 1]$, we have

$$(6) \quad \phi'(2t) > 2\phi'(t).$$

By Plancherel's Theorem, we find

$$(7) \quad \sup_{\lambda \in \mathbb{R}} \|T_\lambda\|_{L^2(\mathbb{R}) \rightarrow L^2(\mathbb{R})} = \|H_\phi\|_{L^2(\mathbb{R}^2) \rightarrow L^2(\mathbb{R}^2)},$$

where H_ϕ is the Hilbert transform along the curve $t \rightarrow (t, \phi(t))$ in \mathbb{R}^2 , i.e.

$$(8) \quad H_\phi g(x_1, x_2) = \int_{-1}^1 g(x_1 - t, x_2 - \phi(t)) \frac{dt}{t}.$$

By (C1), (6)–(8) and a result of Nagel, Vance, Wainger and Weinberg ([6], Theorems 1, 2 and Lemma 2), we find

$$(9) \quad \sup_{\lambda \in \mathbb{R}} \|T_\lambda\|_{L^2(\mathbb{R}) \rightarrow L^2(\mathbb{R})} < \infty. \quad \blacksquare$$

3. The proof of Theorem A. Let $f \in L^1(\mathbb{R})$. For $\alpha > 0$, we make a Calderón–Zygmund decomposition $f = g + \sum_j b_j$, where

- (i) $\|g\|_\infty < \alpha$, and $\|g\|_1 \leq \|f\|_1$;
- (ii) b_j is supported on an interval I_j , with $|I_j| = 2^{n_j}$, and the I_j are pairwise disjoint;

- (iii) $(1/|I_j|) \int_{I_j} |b_j(y)| dy \leq C\alpha$, $\sum_j |I_j| \leq C\alpha^{-1} \|f\|_1$;
 (iv) $d(I_i, I_j) \leq 2^{n_i}$ implies $|n_i - n_j| \leq N_0$, for some fixed N_0 .

This decomposition may be obtained via a Whitney decomposition of the set where the Hardy–Littlewood maximal function of f is greater than α ([1], [15]).

Let $\lambda > 0$ be sufficiently large and $\omega = \phi^{-1}(1/\lambda)$. Define S_λ^1 and S_λ^2 by

$$(10) \quad S_\lambda^1 f(x) = \int_{\omega \leq |x-y| \leq 1} \frac{e^{i\lambda\phi(x-y)}}{x-y} f(y) dy,$$

$$(11) \quad S_\lambda^2 f(x) = T_\lambda f(x) - S_\lambda^1 f(x).$$

Let

$$(12) \quad H_\alpha f(x) = \text{p.v.} \int_{|x-y| \leq \alpha} \frac{f(y)}{x-y} dy.$$

Then we have

LEMMA 3. Let M be the Hardy–Littlewood maximal operator. Then

$$|S_\lambda^2 f(x)| \leq 16Mf(x) + |H_{\omega/4} f(x)|.$$

Proof. By the definition, we have

$$(13) \quad |S_\lambda^2 f(x)| = \left| \int_{|x-y| \leq \omega} \frac{e^{i\lambda\phi(x-y)}}{x-y} f(y) dy \right| \\ \leq \int_{|x-y| \leq \omega/4} \left| \frac{e^{i\lambda\phi(x-y)} - 1}{x-y} \right| |f(y)| dy \\ + |H_{\omega/4} f(x)| + \int_{\omega/4 \leq |x-y| \leq \omega} \left| \frac{f(x)}{x-y} \right| dy \\ \leq \lambda \int_{|x-y| \leq \omega/4} \left| \frac{\phi(x-y)}{x-y} \right| |f(y)| dy + |H_{\omega/4} f(x)| + 8Mf(x).$$

Since ϕ is increasing on $[0, 1]$, we find

$$(14) \quad \int_{|x-y| \leq \omega/4} \left| \frac{\phi(x-y)}{x-y} \right| |f(y)| dy \leq \sum_{2^j \leq \omega/2} \int_{2^{j-1} \leq |x-y| \leq 2^j} \frac{|\phi(x-y)|}{|x-y|} |f(y)| dy \\ \leq \sum_{2^j \leq \omega/2} \frac{\phi(2^j)}{2^{j-1}} \int_{|x-y| \leq 2^j} |f(y)| dy$$

$$\leq 8Mf(x) \sum_{2^j \leq \omega/2} \int_{2^j}^{2^{j+1}} \frac{\phi(t)}{t} dt \\ \leq 8Mf(x) \int_0^\omega \phi'(t) dt \leq 8\lambda^{-1} Mf(x).$$

By (13) and (14), the lemma is proved. ■

Remark. By Lemmas 2 and 3, we conclude that both S_λ^1 and S_λ^2 are uniformly bounded on $L^2(\mathbb{R})$.

For each j , let $\omega_j = \max\{\omega, 2^{n_j}\}$, and

$$(15) \quad T_{\lambda,j}^0 f(x) = \int_{\omega_j \leq x-y \leq 1} \frac{e^{i\lambda\phi(x-y)}}{x-y} f(y) dy,$$

$$(16) \quad T_{\lambda,j}^1 f(x) = \int_{-1 \leq x-y \leq -\omega_j} \frac{e^{i\lambda\phi(x-y)}}{x-y} f(y) dy.$$

We have

LEMMA 4. There is a constant C which is independent of λ and α such that

$$(17) \quad \left\| \sum_j T_{\lambda,j}^t b_j \right\|_2^2 \leq C\alpha \|f\|_1$$

for $t = 0, 1$.

Proof. We shall prove (17) for $t = 0$. The proof for $t = 1$ is similar.

Let $L_{\lambda,i,j}(x, y)$ be the kernel of $(T_{\lambda,i}^0)^* T_{\lambda,j}^0$. Then, we have

$$L_{\lambda,i,j}(x, y) = \int_{\omega_i \leq z-x \leq 1, \omega_j \leq z-y \leq 1} e^{i\lambda(\phi(z-y)-\phi(z-x))} \frac{dz}{(z-y)(z-x)}.$$

Suppose $\omega_i \geq \omega_j$. We shall need the following two inequalities:

$$(18) \quad |L_{\lambda,i,j}(x, y)| \leq C\omega_i^{-1} (1 + \ln(\omega_i/\omega_j)),$$

$$(19) \quad |L_{\lambda,i,j}(x, y)| \leq C(\lambda\phi''(\omega)\omega)^{-1} |x-y|^{-2}.$$

(18) can be proved by taking the absolute value of the integrand and the argument is straightforward. To prove (19), we let $A = \max\{\omega_i + x, \omega_j + y\}$, $B = \min\{1+x, 1+y\}$, and

$$J_r = \int_A^r e^{i\lambda(\phi(z-y)-\phi(z-x))} dz,$$

for $A \leq r \leq B$. We find

$$\left| \frac{\partial}{\partial z} (\phi(z-y) - \phi(z-x)) \right| \geq \phi''(\omega) |x-y|,$$

$$\frac{\partial^2}{\partial z^2} (\phi(z-y) - \phi(z-x)) = \phi'''(\xi)(x-y),$$

for some $\xi = \xi(x, y, z)$ which lies between $z-x$ and $z-y$. By van der Corput's lemma, we have

$$(20) \quad |J_r| \leq C(\lambda\phi''(\omega)|x-y|)^{-1}.$$

By (20) and integration by parts, we find

$$|L_{\lambda,i,j}(x, y)| = \left| \int_A^B \frac{d}{dz} \left(\int_A^z e^{i\lambda(\phi(t-y) - \phi(t-x))} dt \right) \frac{dz}{(z-y)(z-x)} \right|$$

$$\leq C(\lambda\phi''(\omega)\omega)^{-1} |x-y|^{-2},$$

which proves (19). Now we prove that, for fixed $i, x \in I_i$, the following holds:

$$(21) \quad \sum_{j: \omega_j \leq \omega_i} \left| \int_{I_j} L_{\lambda,i,j}(x, y) b_j(y) dy \right| \leq C\alpha,$$

where the constant C is independent of i, α and x . To prove (21), we break the summation into two parts

$$(22) \quad \sum_{j: \omega_j \leq \omega_i} = \sum_{I_j \in S_i} + \sum_{I_j \in F_i},$$

where $S_i = \{I_j \mid \text{dist}(I_j, I_i) \leq \omega_i, \omega_j \leq \omega_i\}$ and $F_i = \{I_j \mid \text{dist}(I_j, I_i) > \omega_i, \omega_j \leq \omega_i\}$.

If $\omega_i = 2^{n_i}$ and $I_j \in S_i$, then $1 \leq |\omega_i/\omega_j| \leq 2^{N_0}$, $|S_i| \leq 2^{N_0}$. By (18), we get

$$(23) \quad \left| \sum_{I_j \in S_i} \int L_{\lambda,i,j}(x, y) b_j(y) dy \right| \leq C\alpha.$$

If $\omega_i = \omega$ and $I_j \in S_i$, then $\omega_j = \omega_i$. Hence

$$(24) \quad \left| \sum_{I_j \in S_i} \int L_{\lambda,i,j}(x, y) b_j(y) dy \right| \leq C\omega^{-1}\alpha \sum_{I_j \in S_i} |I_j| \leq C\alpha.$$

To treat the other part, we use (19). For $x \in I_i$, $I_j \in F_i$, and $y \in I_j$, we have $|x-y| \leq C \min_{z \in I_j} |x-z|$ and

$$\left| \int L_{\lambda,i,j}(x, y) b_j(y) dy \right| \leq C(\lambda\phi''(\omega)\omega)^{-1} \int_{I_j} \frac{|b_j(y)|}{|x-y|^2} dy$$

$$\leq C\alpha(\lambda\phi''(\omega)\omega)^{-1} \int_{I_j} |x-y|^{-2} dy.$$

Hence

$$(25) \quad \sum_{I_j \in F_i} \left| \int L_{\lambda,i,j}(x, y) b_j(y) dy \right| \leq C\alpha(\lambda\phi''(\omega)\omega)^{-1} \int_{|x-y|>\omega} |x-y|^{-2} dy$$

$$= C\alpha(\lambda\phi''(\omega)\omega^2)^{-1} \leq C\alpha(\lambda\phi(\omega))^{-1}$$

$$= C\alpha.$$

(21) now follows from (22)–(25). By (21), we observe that

$$(26) \quad \left\| \sum_j T_{\lambda,j}^0 b_j \right\|_2^2 \leq 2 \sum_{\omega_j \leq \omega_i} |\langle T_{\lambda,i}^0 b_i, T_{\lambda,j}^0 b_j \rangle|$$

$$\leq C\alpha \sum_i \int |b_i(x)| dx \leq C\alpha^2 \sum_i |I_i| \leq C\alpha \|f\|_1,$$

which concludes the proof of the lemma. ■

We are now ready to prove Theorem A.

Proof Theorem A. For $\alpha > 0$, we have

$$m\{x : |T_\lambda f(x)| > \alpha\} \leq m\{x : |S_\lambda^1 f(x)| > \alpha/2\} + m\{x : |S_\lambda^2 f(x)| > \alpha/2\}.$$

By Lemma 3 and the well-known boundedness properties of the operators M and H_u , we can find a constant C such that

$$(27) \quad m\{x : |S_\lambda^2 f(x)| > \alpha/2\} \leq C\alpha^{-1} \|f\|_1,$$

where C is independent of λ . To obtain a similar estimate for $S_\lambda^1 f$, we write $f = g + \sum_j b_j$. Let I_j^* be the 4-fold dilates of the I_j and $\Omega = (\bigcup_j I_j^*)^c$. Then we have

$$(28) \quad m\{x : |S_\lambda^1 g(x)| > \alpha/4\} \leq C\alpha^{-2} \|S_\lambda^1 g\|_2^2 \leq C\alpha^{-2} \|g\|_2^2 \leq C\alpha^{-1} \|f\|_1,$$

where we used the uniform L^2 boundedness of S_λ^1 . To finish the proof, it suffices to show that

$$(29) \quad m\left\{x \in \Omega : \left| S_\lambda^1 \left(\sum_j b_j \right)(x) \right| > \alpha/4 \right\} \leq C\alpha^{-1} \|f\|_1.$$

Since $S_\lambda^1(\sum_j b_j)(x) = \sum_j (T_{\lambda,j}^0 b_j)(x) + \sum_j (T_{\lambda,j}^1 b_j)(x)$, for $x \in \Omega$. By Lemma 4, we find

$$m\left\{x \in \Omega : \left| S_\lambda^1 \left(\sum_j b_j \right)(x) \right| > \alpha/4 \right\}$$

$$\leq C\alpha^{-2} \left\| \sum_j T_{\lambda,j}^0 b_j + \sum_j T_{\lambda,j}^1 b_j \right\|_2^2 \leq C\alpha^{-1} \|f\|_1.$$

The proof is now complete. ■

Remark. The idea of using an $L^1 \rightarrow L^2$ argument to prove weak type bounds for oscillatory integrals was used in [1] and [3]. See also [10].

4. An example

THEOREM C. *There exists an odd, C^∞ function $\phi(t)$, defined for $-1 \leq t \leq 1$, with $\phi''(t) \geq 0$ for $t > 0$, such that T_λ are not uniformly bounded from L^1 to $L^{1,\infty}$.*

To prove Theorem C, we shall use a function which was constructed in [7] by Nagel and Wainger. Let $\{r_n\}$ be a sequence of positive numbers such that $r_1 \leq 1$ and $r_{n+1} \leq r_n/4(n+1)$. Let $B_n = (r_n, nr_n)$ and $B'_n = ((n+1)r_{n+1}, r_n)$. Let $h(t)$ be a C^∞ function on $[-1, 1]$ such that (i) h is odd; (ii) $h(t) > 0$ for $t \in \bigcup_{n=1}^\infty B'_n$; (iii) $h(t) = 0$ for $t \in \bigcup_{n=1}^\infty B_n$. Define the function ϕ by

$$(30) \quad \phi(t) = \int_0^t \int_0^s h(\tau) d\tau ds.$$

Clearly, $\phi \in C^\infty$. Since $\phi''(t) = 0$ for $t \in B_n$, there exist constants σ_n and ζ_n such that $\phi(t) = \sigma_n t + \zeta_n$, for $t \in B_n$. The following estimate can be found in [7].

PROPOSITION 1 ([7], p. 248). *There exists a sequence of positive numbers $\{\lambda_n\}$ such that $\lim_{n \rightarrow \infty} \lambda_n = \infty$ and*

$$\left| \int_0^1 \sin(\lambda_n \phi(t) - \sigma_n \lambda_n t) \frac{dt}{t} \right| > (\ln n)/2,$$

for $n = 1, 2, \dots$

Proof of Theorem C. Let ϕ be given as in (30). For $\beta \in \mathbb{R}$, let $f_\beta(x) = \chi_{[-2,2]}(x)e^{i\beta x}$. Then we have, for $x \in [-1, 1]$,

$$\begin{aligned} T_\lambda f_\beta(x) &= \int_{|x-y| \leq 1} \frac{e^{i\lambda\phi(x-y)}}{x-y} f_\beta(y) dy \\ &= \int_{-1}^1 e^{i\lambda\phi(t)} e^{i\beta(x-t)} \frac{dt}{t} \\ &= 2ie^{i\beta x} \int_0^1 \sin(\lambda\phi(t) - \beta t) \frac{dt}{t}. \end{aligned}$$

Let $\beta_n = \lambda_n \sigma_n$. By Proposition 1, we find

$$m\{x : |T_{\lambda_n} f_{\beta_n}(x)| > \ln n\} \geq m([-1, 1]) = 2,$$

while $\|f_{\beta_n}\|_1 = 4$. Therefore, (2) cannot hold uniformly in λ . ■

Remark. It is easy to see that the function ϕ defined in (30) satisfies $\phi^{(k)}(0) = 0$, for $k \geq 0$.

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