

A RESTRICTION THEOREM FOR FLAT MANIFOLDS OF CODIMENSION TWO

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Introduction: Let M denote a submanifold of \mathbb{R}^{n+2} of codimension 2. Let \mathcal{R} denote a restriction operator

$$((1.1)r) \quad \mathcal{R}f(\eta) = \int e^{-i\langle x, \eta \rangle} f(x) dx, \quad \eta \in M, \quad f \in \mathcal{S}(\mathbb{R}^{n+2}).$$

We wish to find an optimal range of exponents p such that

$$((1.2)) \quad \|\mathcal{R}f\|_{L^2(M, d\sigma)} \leq C_p \|f\|_{L^p(\mathbb{R}^{n+2})},$$

where $d\sigma$ is a compactly supported measure on M .

Let $\mathcal{F}[d\sigma]$ denote the Fourier transform of $d\sigma$. By a theorem of Greenleaf (see [G]), the inequality ((1.2)) holds for $p = \frac{2(2+\gamma)}{4+\gamma}$ if

$$((1.3)) \quad |\mathcal{F}[d\sigma](R\zeta)| \leq C(1+R)^{-\gamma}, \quad \zeta \in S^{n+1}.$$

The purpose of this paper is to use Greenleaf's result to establish a restriction theorem for a class of degenerate submanifolds of \mathbb{R}^{n+2} of codimension 2. We shall assume that our manifold is given as a joint graph of two homogeneous functions, where the first graphing function is homogeneous of degree 1 and the second graphing function is homogeneous of degree m . Under the appropriate curvature assumption we will show that ((1.3)) holds with $\gamma = \frac{n}{m}$.

An application of Greenleaf's result yields a restriction theorem with $p = \frac{2(2m+n)}{4m+n}$.

We shall need the following definitions.

Nonvanishing Gaussian curvature: Let Σ be a submanifold of \mathbb{R}^{N+1} of codimension 1 equipped with a smooth compactly supported measure $d\mu$. Let $J : \Sigma \rightarrow S^N$ be the usual Gauss map taking each point on Σ to the outward unit normal at that point. We say that Σ has everywhere nonvanishing Gaussian curvature if the differential of the Gauss map dJ is always nonsingular.

Strong curvature condition: Let S be a submanifold of \mathbb{R}^{N+2} of codimension 2 equipped with a smooth compactly supported measure $d\mu$. Suppose that S is a joint graph of smooth functions g_1 and g_2 , where $g_j : \mathbb{R}^N \rightarrow \mathbb{R}$. Let $\mathcal{N}_{x_0}(S)$ denote the two dimensional space of normals to S at a point x_0 . We say that S satisfies the strong curvature condition (SCC) if for all $x_0 \in S$ in some neighborhood of support($d\mu$),

$$\det D^2(\nu_1 g_1(x) + \nu_2 g_2(x)) \neq 0, \quad \forall \nu \in \mathcal{N}_{x_0}$$

, where D^2 denotes the Hessian matrix.

One can check that the above definitions are independent of the parametrization. Our main result is the following:

Main Theorem. *Let $M = \{(x, x_{n+1}, x_{n+2}) \in \mathbb{R}^{n+2} : x_{n+1} = \phi_1(x), x_{n+2} = \phi_2(x)\}$, $n \geq 2$, where $\phi_i \in C_0^\infty(\mathbb{R}^n \setminus \{0\})$, ϕ_1 is homogeneous of degree 1, and ϕ_2 is homogeneous of degree $m \geq 2$. Let $\Sigma_j = \{x : \phi_j(x) = 1\}$. Assume also that ϕ_2 only vanishes at the origin and that Σ_2 has everywhere nonvanishing Gaussian curvature. Let*

$$F(\xi, \lambda_1, \lambda_2) = \int_{\mathbb{R}^n} e^{i(\langle \xi, x \rangle + \lambda_1 \phi_1(x) + \lambda_2 \phi_2(x))} \chi(x) dx,$$

where $\chi \in C_0^\infty(\mathbb{R}^n)$.

a) *Suppose that the restriction of ϕ_1 to the set where $\phi_2 = 1$, $\phi_1|_{\Sigma_2}$, is constant. Then*

$$(1.4) \quad |F(\xi, \lambda_1, \lambda_2)| \leq C(|\xi| + |\lambda_1| + |\lambda_2|)^{-\frac{n}{m}}$$

when $m \geq 2n$.

b) *Let $M|_{\{x_{n+2}=1\}}$ denote the restriction of M to the hyperplane $\{x_{n+2} = 1\}$. If $M|_{\{x_{n+2}=1\}}$ (viewed as a submanifold of codimension 2 of $\{x_{n+2} = 1\}$) satisfies the strong curvature condition, then (1.4) holds for $m \geq 2$.*

The conclusions of part (a) do not in general hold if $m < 2n$. Let $\phi_1(x) = |x|$, $\phi_2(x) = |x|^m$. Let $\xi = (0, 0, \dots, 0)$. Then, in polar coordinates,

$$F(0, \lambda_1, \lambda_2) = C \int_0^\infty e^{i(\lambda_1 r + \lambda_2 r^m)} r^{n-1} \chi(r) dr.$$

It is not hard to see that the best isotropic decay for this integral cannot exceed

$$O\left(\left(\sqrt{\lambda_1^2 + \lambda_2^2}\right)^{-\frac{1}{2}}\right). \text{ Hence the restriction } m \geq 2n \text{ is necessary.}$$

Remarks: (1) It is known that isotropic decay estimates for the Fourier transform of the surface-carried measure cannot be expected to yield an optimal restriction theorem (see

e.g. [C]). We shall apply a homogeneity argument due to Knapp to the class of manifolds considered in the theorem above.

Let \mathcal{R} denote the restriction operator defined above. Let $\hat{f}_\delta = h$, where h is the characteristic function of a rectangle in \mathbb{R}^{n+2} with sides of lengths $(1, 1, \dots, 1, C, C)$, C large.

Then

$$\|f_\delta\|_p \approx \delta^{(1-1/p)(n+m+1)} \quad \text{and} \quad \|\mathcal{R}f_\delta\|_p \approx \delta^{n/2}.$$

Hence ((1.2)) can only hold if $p \leq \frac{2(n+m+1)}{n+2(m+1)}$.

If we apply Greenleaf's result ((1.3)) to the Main Theorem, we see that ((1.2)) holds for $p \leq \frac{2(2m+n)}{4m+n}$.

The gap between this exponent and the exponent given by Knapp's homogeneity argument suggests that the restriction theorem (1.2) may hold for a wider range of exponents. The result obtained using the Main Theorem is not sharp. In order to obtain a sharp result one would probably have to obtain precise non-isotropic estimates for the Fourier transform of the surface carried measure using the techniques of M. Christ (see [C]).

(2) The curvature conditions of the Main Theorem are not entirely satisfying because there is no natural transition between parts (a) and (b).

We hope to address these difficulties in a subsequent paper.

Proof of the main result:

Notation:

- (1) Given $a, b > 0$ we say that $a \approx b$ (a comparable to b) if there exist $c_1, c_2 > 0$ such that $c_1 a \leq b \leq c_2 a$. We say that $a \gg b$ (a much larger than b) if the inequality $a \leq Cb$ is not satisfied for any $C > 0$. The notion $a \ll b$ is defined similarly.
- (2) We denote by C a generic constant which may change from line to line.

Proof of part (a) of the Main Theorem. Let $\Psi(x) = \langle \xi, x \rangle + \lambda_1 \phi_1(x) + \lambda_2 \phi_2(x)$. Then $\nabla \Psi(x) = \xi + \lambda_1 \nabla \phi_1(x) + \lambda_2 \nabla \phi_2(x)$. Since $\phi_1|_{\Sigma_2}$ is constant by assumption, then $\phi_1 \neq 0$ away from the origin. Hence, $\nabla \phi_1(x) \neq 0$ away from the origin by the Euler homogeneity relation, and since every component of $\nabla \phi_1(x)$ is homogeneous of degree zero, we have $|\nabla \phi_1(x)| \geq C$ for all $x \in \text{support}(\phi_1)$.

Suppose that $|\xi| \ll |\lambda_2| \ll |\lambda_1|$ or $|\lambda_2| \ll |\xi| \ll |\lambda_1|$. Then $|\nabla \Psi(x)| \geq C|\lambda_1|$ and so an integration by parts argument (see theorem (1) in the appendix) shows that $|F(\xi, \lambda_1, \lambda_2)| \leq C(1 + |\lambda_1|)^{-N} \quad \forall N > 0$. Similarly, if $|\lambda_1| \ll |\lambda_2| \ll |\xi|$, or $|\lambda_1| \approx |\lambda_2| < |\xi|$, then $|F(\xi, \lambda_1, \lambda_2)| \leq C(1 + |\xi|)^{-N} \quad \forall N > 0$.

If we rewrite F using polar coordinates with respect to Σ_2 and assume that χ is radial with respect to Σ_2 , we get

$$F(\xi, \lambda_1, \lambda_2) = \int_0^{+\infty} r^{n-1} \chi(r) \int_{\Sigma_2} e^{i(r\langle \xi, \omega \rangle + r\lambda_1 + r^m \lambda_2)} d\sigma(\omega) dr,$$

where $d\sigma$ is the Lebesgue measure carried by Σ_2 . Let $I(\xi)$ denote the Fourier transform of the surface-carried measure on Σ_2 ,

$$I(\xi) = \int_{\Sigma_2} e^{i\langle \xi, \omega \rangle} d\sigma(\omega).$$

Since the Gaussian curvature on Σ_2 never vanishes, we can use the method of stationary phase (see theorem (3) in the appendix) to write $I(\xi) = b(\xi)e^{iq(\xi)}$, where ξ belongs to a cone Γ containing the normal directions to Σ_2 on the support of $d\sigma$, and where $b(\xi)$ is a symbol of order $-\frac{n-1}{2}$, $q(\xi)$ is homogeneous of degree 1, and $q(\xi) \approx |\xi|$. Away from Γ , $I(\xi)$ decays rapidly in $|\xi|$.

Suppose that we are in one of the cases where $|\xi|$ dominates:

- (1) $|\lambda_2| \ll |\lambda_1| \approx |\xi|$,
- (2) $|\lambda_1| \ll |\lambda_2| \approx |\xi|$,
- (3) $|\lambda_1| \ll |\lambda_2| \ll |\xi|$,
- (4) $|\lambda_2| \ll |\lambda_1| \ll |\xi|$,
- (5) $|\lambda_1| \approx |\lambda_2| \approx |\xi|$.

Using our observation about $I(\xi)$, we write

$$F(\xi, \lambda_1, \lambda_2) = \int_0^{+\infty} r^{n-1} e^{i(rq(\xi) + r\lambda_1 + r^m \lambda_2)} b(r\xi) \chi(r) dr.$$

Then

$$|F(\xi, \lambda_1, \lambda_2)| \leq C \int_0^2 r^{n-1} |b(r\xi)| dr.$$

Let $s = r|\xi|$, and define $\tilde{\xi} = \xi|\xi|^{-1}$. The integral above is bounded by

$$\begin{aligned} & C|\xi|^{-n} \int_0^{2|\xi|} s^{n-1} |b(s\tilde{\xi})| ds = \\ & = C|\xi|^{-n} \int_0^N s^{n-1} |b(s\tilde{\xi})| ds + C|\xi|^{-n} \int_N^{2|\xi|} s^{n-1} |b(s\tilde{\xi})| ds, \end{aligned}$$

where N is large. The first integral is $O(|\xi|^{-n})$ and the second integral is bounded by

$$C|\xi|^{-n} \int_N^{2|\xi|} s^{\frac{n-1}{2}} ds \leq C(1 + |\xi|)^{-\frac{n-1}{2}}.$$

Note that $\frac{n-1}{2} \geq \frac{n}{m}$ when $m \geq \frac{2n}{n-1}$.

We are left to consider the cases where λ_2 dominates:

- (1) $|\xi| \approx |\lambda_1| \ll |\lambda_2|$,
- (2) $|\xi| \ll |\lambda_1| \approx |\lambda_2|$,
- (3) $|\xi| \ll |\lambda_1| \ll |\lambda_2|$,
- (4) $|\lambda_1| \ll |\xi| \ll |\lambda_2|$.

As before, let

$$F(\xi, \lambda_1, \lambda_2) = \int_0^{+\infty} r^{n-1} e^{i(rq(\xi)+r\lambda_1+r^m\lambda_2)} b(r\xi) \chi(r) dr.$$

Let $s\lambda_2^{-1/m} = r$. Then

$$F(\xi, \lambda_1, \lambda_2) = \lambda_2^{-\frac{n}{m}} \int_0^{+\infty} s^{n-1} e^{i(q(s\lambda_2^{-1/m}\xi)+s\lambda_2^{-1/m}\lambda_1+s^m)} b(s\lambda_2^{-1/m}\xi) \chi(s\lambda_2^{-1/m}) ds.$$

Let

$$G(\xi, \lambda_1, \lambda_2) = \int_0^{+\infty} s^{n-1} e^{i(\lambda_2^{-1/m}sq(\xi)+s\lambda_2^{-1/m}\lambda_1+s^m)} b(s\lambda_2^{-1/m}\xi) \chi(s\lambda_2^{-1/m}) ds.$$

It suffices to show that $|G(\xi, \lambda_1, \lambda_2)|$ is uniformly bounded. When $|\frac{\lambda_1 + |\xi|}{\lambda_2^{\frac{1}{m}}}|$ is sufficiently small, then $|G|$ is bounded by $C|\int_0^{+\infty} e^{it^m} t^{n-1} dt|$. An integration by parts argument shows that this integral converges. In particular the above integral equals $e^{\frac{2\pi i}{m}} \frac{1}{m} \Gamma\left(\frac{n}{m}\right)$. Thus we may assume that $|\frac{\lambda_1 + |\xi|}{\lambda_2^{\frac{1}{m}}}| \geq C$.

Let $\Phi(s) = s\frac{\lambda_1 + q(\xi)}{\lambda_2^{\frac{1}{m}}} + s^m$. Then $\Phi'(s) = 0$ if $s = C\left(\frac{\lambda_1 + q(\xi)}{\lambda_2^{\frac{1}{m}}}\right)^{\frac{1}{m-1}}$, and $\Phi''(s) = m(m-1)s^{m-2}$.

If we apply the van der Corput Lemma (see theorem (2) in the appendix) in the case $k = 2$, and recall that in particular $|b|$ is uniformly bounded, we see that $|G|$ is bounded by

$$C\left|\frac{\lambda_1 + |\xi|}{\lambda_2^{\frac{1}{m}}}\right|^{-\frac{(m-2)}{2(m-1)} + \frac{n-1}{m-1}}.$$

The power of $|\frac{\lambda_1 + |\xi|}{\lambda_2^{\frac{1}{m}}}|$ in the expression above is non-positive if $m \geq 2n$, and so $G(\xi, \lambda_1, \lambda_2)$ is uniformly bounded. This completes the proof of part (a) of the Main Theorem.

Proof of part (b) of the Main Theorem. As before, we rewrite F using polar coordinates associated to Σ_2 . We get

$$F(\xi, \lambda_1, \lambda_2) = \int_0^{+\infty} \int_{\Sigma_2} e^{i(r\langle\omega, \xi\rangle+r\lambda_1\phi_1(\omega)+\lambda_2r^m)} r^{n-1} \chi(r) d\omega dr,$$

where, as before, χ is a smooth cutoff function which is radial with respect to the polar coordinates associated to Σ_2 . Let

$$I(\xi, \lambda_1) = \int_{\Sigma_2} e^{i(\langle \omega, \xi \rangle + \lambda_1 \phi_1(\omega))} d\omega.$$

Using the implicit function theorem we can parametrize Σ_2 near a point s_0 by a smooth function $\psi : \mathbb{R}^{n-1} \rightarrow \mathbb{R}$. Without loss of generality, we can assume that $\nabla \phi_1(s_0) = 0$ and that $\nabla \phi_2(s_0) = (0, 0, \dots, 0, 1)$. Thus, we can locally write $\Sigma_2 = \{(\omega', \omega_n) : \omega_n = \psi(\omega')\}$. The restriction of M to the hyperplane $\{x_{n+2} = 1\}$ can thus be locally parametrized by the functions $\psi(\omega')$ and $\phi_1(\omega', \psi(\omega'))$. If we let $\xi = (\xi', \xi_n)$, we can write $I(\xi, \lambda_1)$ as a finite sum of terms of the form

$$(1.5) \quad \int_{\mathbb{R}^{n-1}} e^{i(\langle \omega', \xi' \rangle + \xi_n \psi(\omega') + \lambda_1 \phi_1(\omega', \psi(\omega')))} \chi_1(\omega') d\omega',$$

where χ_1 is a smooth cutoff function supported in a neighborhood of s_0 . It was observed by M. Christ (see [C]) that the strong curvature condition (see the introduction) implies the following result.

Lemma. *Let Ω be a submanifold of \mathbb{R}^{N+2} of codimension 2 locally parametrized by smooth functions g_1 and g_2 , where $g_j : \mathbb{R}^N \rightarrow \mathbb{R}$. Let $d\sigma$ denote a smooth measure on Ω . Suppose that Ω satisfies the strong curvature condition. Then*

$$|\mathcal{F}[d\sigma](R\eta)| \leq C(1 + R)^{-\frac{N}{2}}.$$

The proof of the lemma shows that the integral in (1.5) can be written as $b(\xi, \lambda_1)e^{iq(\xi, \lambda_1)}$, where (ξ, λ_1) belongs to a cone containing the normal directions to $M|_{\{x_{n+2}=1\}}$ on the support of $d\sigma$, $b(\xi, \lambda_1)$ is a symbol of order $-\frac{n-1}{2}$, $q(\xi, \lambda_1)$ is homogeneous of degree 1, and $|q(\xi, \lambda_1)| \approx (|\xi| + |\lambda_1|)$.

We must analyze the following integral:

$$(1.6) \quad \int_0^{+\infty} r^{n-1} e^{i(rq(\xi, \lambda_1) + r^m \lambda_2)} b(r\xi, r\lambda_1) \chi(r) dr.$$

We may assume that $|q(\xi, \lambda_1)| \leq C|\lambda_2|$, since if $|q(\xi, \lambda_1)| \geq c|\lambda_2|$ for a sufficiently large $c > 0$, then the integral in (1.6) decays rapidly in $|\xi| + |\lambda_1|$. (See theorem (1) in the appendix.)

Let $s = r\lambda_2^{\frac{1}{m}}$. Then, the integral in (1.6) can be written as

$$\lambda_2^{-\frac{n}{m}} \int_0^{+\infty} s^{n-1} e^{i(s\lambda_2^{\frac{1}{m}} q(\xi, \lambda_1) + s^m)} b(s\lambda_2^{\frac{1}{m}} \xi, s\lambda_2^{\frac{1}{m}} \lambda_1) \chi(s\lambda_2^{\frac{1}{m}}) dr.$$

Let

$$G(\xi, \lambda_1, \lambda_2) = \int_0^{+\infty} s^{n-1} e^{i(s\lambda_2^{\frac{1}{m}} q(\xi, \lambda_1) + s^m)} b(s\lambda_2^{\frac{1}{m}} \xi, s\lambda_2^{\frac{1}{m}} \lambda_1) \chi(s\lambda_2^{\frac{1}{m}}) dr.$$

As before, it suffices to show that $|G(\xi, \lambda_1, \lambda_2)|$ is uniformly bounded. When $\left| \frac{|\lambda_1| + |\xi|}{\lambda_2^{\frac{1}{m}}} \right|$ is sufficiently small, then $|G|$ is bounded by $C \left| \int_0^{+\infty} e^{it^m} t^{n-1} dt \right|$. Hence we can assume $\left| \frac{|\lambda_1| + |\xi|}{\lambda_2^{\frac{1}{m}}} \right| \geq C$. We can write $G(\xi, \lambda_1, \lambda_2) = \int_0^N + \int_N^{C|\lambda_2|^{\frac{1}{m}}}$, N large. The first integral is uniformly bounded. In order to handle the second integral let $\Phi(s) = s\lambda_2^{\frac{1}{m}} q(\xi, \lambda_1) + s^m$. Then $\Phi'(s) = 0$ if $s = c_m \left(\lambda_2^{-\frac{1}{m}} q(\xi, \lambda_1) \right)^{\frac{1}{m-1}}$, and $\Phi''(s) = m(m-1)s^{m-2}$. If the critical point is smaller than N the integral has rapid decay, so we may assume that $\left| \lambda_2^{-\frac{1}{m}} q(\xi, \lambda_1) \right|$ is large. If we recall that $|q(\xi, \lambda_1)| \approx |\xi| + |\lambda_1|$, then by the van der Corput lemma (see theorem (2) in the appendix) we get

$$(1.7) \quad \int_N^{C|\lambda_2|^{\frac{1}{m}}} \leq \left| \frac{|\lambda_1| + |\xi|}{\lambda_2^{\frac{1}{m}}} \right|^{-\frac{(m-2)}{2(m-1)} + \frac{n-1}{m-1} - \frac{n-1}{2(m-1)} - \frac{n-1}{2}}.$$

Note that the third and the fourth terms in the power of $\left| \frac{|\lambda_1| + |\xi|}{\lambda_2^{\frac{1}{m}}} \right|$ arise from the fact that b is a symbol of order $-\frac{n-1}{2}$, and $\left| \frac{|\lambda_1| + |\xi|}{\lambda_2^{\frac{1}{m}}} \right|$ is large.

The power of $\left| \frac{|\lambda_1| + |\xi|}{\lambda_2^{\frac{1}{m}}} \right|$ in (1.7) is nonnegative provided that $m \geq 2$. Hence, $|G(\xi, \lambda_1, \lambda_2)|$ is bounded and the proof is complete.

Appendix

In this section we recall a few classical results that we used to prove the Main Theorem. The first two theorems, which deal with oscillatory integrals, can be found e.g. in [St].

Theorem 1. *Suppose $\phi \in C_0^\infty \mathbb{R}^n$ and suppose that ψ is a real-valued and smooth function which has no critical points on the support of ϕ . Then*

$$\left| \int_{\mathbb{R}^n} e^{i\lambda\psi(x)} \phi(x) dx \right| = O(\lambda^{-N})$$

as $\lambda \rightarrow \infty$, for every $N \geq 0$.

Theorem 2. *Suppose that ψ is real-valued and smooth and that ϕ is complex-valued and smooth in $[a, b]$. If $|\psi^{(k)}(x)| \geq 1$, then*

$$\left| \int_a^b e^{i\lambda\psi(x)} \phi(x) dx \right| \leq C_k \lambda^{-\frac{1}{k}} \left[|\phi(b)| + \int_a^b |\phi'(t)| dt \right]$$

holds when

- (1) $k \geq 2$
- (2) or $k = 1$, if in addition it is assumed that $\psi'(x)$ is monotonic.

Theorem 3. *Let S be a smooth hypersurface in \mathbb{R}^n with nonvanishing Gaussian curvature, and let $d\sigma$ be a C^∞ measure on S . Then*

$$\left| \widehat{d\mu}(\xi) \right| \leq C(1 + |\xi|)^{-\frac{n-1}{2}}.$$

Moreover suppose that $\Gamma \subset \mathbb{R}^n \setminus \{0\}$ is the cone consisting of all ξ which are normal to some point $x \in S$ belonging to some compact neighborhood \mathcal{N} of $\text{support}(d\mu)$. Then,

$$\frac{\partial^\alpha}{\partial \xi^\alpha} \widehat{d\mu}(\xi) = O((1 + |\xi|)^{-N}), \quad \forall N, \text{ if } \xi \notin \Gamma,$$

$$\widehat{d\mu}(\xi) = \sum = a_j(\xi) e^{i\langle x_j, \xi \rangle}, \quad \text{if } \xi \in \Gamma,$$

where the finite sum is taken over all points $x_j \in \mathcal{N}$ having ξ as a normal and

$$\left| \frac{\partial^{(\alpha)}}{\partial \xi^\alpha} \widehat{d\mu}(\xi) \right| \leq C_\alpha (1 + |\xi|)^{-\frac{n-1}{2} - |\alpha|}.$$

Proof. See [So] pag. 50-51.

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