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SOBOLEV INEQUALITY AND STABILITY OF MINIMAL SUBMANIFOLDS

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1. Introduction

Let M^n be an *n* dimensional connected minimal submanifold in an (n+l) dimensional simply connected space form $\overline{M}^{n+l}(b)$ with constant nonpositive sectional curvature *b*. We denote the L^p norm of a function *f* by $||f||_p$. Sobolev inequalities of the following types play important roles in studying stability of M in \overline{M} :

(1)
$$||f||_{n/(n-1)} \leq A_1 ||\nabla f||_1 \quad \text{for all } f \in C^{\infty}_0(M),$$

in particular, when n>2,

(2)
$$||f||_{2n/(n-2)} \leq A_2 ||\nabla f||_2$$
 for all $f \in C_0^{\infty}(M)$.

We notice that (i) (1) is also called an isoperimetric inequality, (ii) $A_2 \leq (2(n-1)/n-2)A_1$, and (iii) when M^n is a bounded domain in $\overline{M}^n(b)$, $A_1 = A_1(n)$ and $A_2 = A_2(n)$ have the following asymptotic behaviors as n tends to ∞ :

$$A_1 = A_1(n) = \left(\frac{1}{n}\right)^{(n-1)/n} \omega_{n-1}^{-1/n} \sim \frac{1}{\sqrt{2\pi e}} \frac{1}{\sqrt{n}},$$

and

$$A_2 = A_2(n) = \frac{2}{\sqrt{n(n-2)}} \omega_{n-1}^{-1/n} \sim \frac{2}{\sqrt{\pi e}} \frac{1}{\sqrt{n}} .$$

Here ω_{n-1} is the volume of (n-1) dimensional unit sphere $S^{n-1}(1)$.

D. Hoffman-J. Spruck [7] derived (2) from (1) with constant $A_1 = A_1(n) \sim \text{const. } 2^n \sqrt{n}$ for minimal submanifolds in \mathbb{R}^N (see also J. H. Michael - L. M. Simon [11]).

On the other hand, S-Y. Cheng-P. Li-S. T. Yau [3] gave a comparison theorem for the heat kernel of the Laplacian Δ and P. Li-G. Tian [8] showed a similar comparison theorem for the heat kernel of the Laplacian of an algebraic subvariety in a complex projective space. We point out that E.B. Davies [4] derived a Sobolev inequality of type (2) from can estimate of the heat kernel. But the constant is not given concretely.

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In this paper, we give the constant explicitly (Theorem 3) and prove the following:

THEOREM 1. Let M^n be an *n* dimensional minimal submanifold (n>2) in $\overline{M}^{n+l}(b)$ $(b\leq 0)$. Then we have that

$$\|f\|_{2n/(n-2)} \leq \frac{4\sqrt{6}}{\pi} \|\nabla f\|_2 \quad \text{for all } f \in C^{\infty}_0(M).$$

THEOREM 2. Let M^n be an *n* dimensional algebraic subvariety (n>1) with a singular set Σ_M in an (n+l) dimensional complex projective space $\mathbb{C}P^{n+l}$ (l>0)with sectional curvature K, $1 \leq K \leq 4$. Then for the induced Riemannian metric on $M^n \setminus \Sigma_M$ from the standard Fubini-Study metric on $\mathbb{C}P^{n+l}$, we have

$$\|f\|_{2n/(n-1)}^2 \leq \left(\frac{8\sqrt{6}}{\sqrt{\pi}}\right)^2 e^{1/4n} \max\left\{\frac{\pi^2}{4}, n\right\} \omega_{2n}^{-1/n} (\|\nabla f\|_2^2 + \|f\|_2^2),$$

for all $f \in C_0^{\infty}(M \setminus \Sigma_M)$.

As geometric applications of Theorem 1, we study stability of a minimal submanifold in $\overline{M}^{n+l}(b)$ in section 3.

2. Proof of Theorems 1 and 2

We denote the operator norm of a linear operator H of L^p to L^q by $||H||_{q,p}$. Let \mathcal{Q} be an n dimensional compact Riemannian manifold. Let H be a positive definite elliptic differential operator on \mathcal{Q} and $H_t = e^{-tH}$ be the semi-group generated by H (under Dirichlet boundary condition if \mathcal{Q} has boundary) with positive kernel function $H_{\mathcal{Q}}(t, x, y)$. Then the following inequalities (1) and (2) are equivalent to each other.

(1) $H_{\Omega}(t, x, y) \leq \alpha t^{-n/2}$ for all t > 0 and $x, y \in \Omega$,

(2) $||H_t||_{\infty,1} \leq \alpha t^{-n/2}$ for all t > 0.

When H is a Laplacian Δ , $H_{\Omega}(t, x, y)$ is the heat kernel $p_{\Omega}(t, x, y)$ of Δ and p_{Ω} and $e^{-t\Delta}$ satisfy

$$\begin{aligned} &\int_{\Omega} p_{\mathcal{Q}}(t, x, y) dy \leq 1 & \text{ for all } t > 0 \text{ and } x \in \mathcal{Q}, \\ &\|e^{-t\Delta}\|_{p, p} \leq 1 & \text{ for all } t > 0 \text{ and } 1 \leq p \leq \infty, \\ &\|\Delta^{1/2} f\|_2 = \|df\|_2 & \text{ for all } f \in C_0^{\infty}(\mathcal{Q}). \end{aligned}$$

The following theorem is proved in E. B. Davies [4] (Theorem 2.4.2). But the constant is not given concretely.

THEOREM 3. Let Ω be an *n* dimensional compact Riemannian manifold with boundary (n>2). Assume that

 $\|H_t\|_{p,p} \leq 1$ for all t > 0 and $1 \leq p \leq \infty$,

and there exists a positive constant α such that

$$||H_t||_{\infty,1} \leq \alpha t^{-n/2}$$
 for all $t > 0$.

Then we have

$$\|f\|_{2n/(n-2)} \leq \frac{8\sqrt{6}}{\sqrt{\pi}} \alpha^{1/n} \|H^{1/2}f\|_2 \quad \text{for all } f \in C_0^{\infty}(\Omega).$$

Proof. By Riesz interpolation theorem, we have for all $p \in [1, \infty]$ and t > 0,

$$||H_t||_{\infty, p} \leq \alpha^{1/p} t^{-n/2p}$$
.

In particular, for $p \in [1, n)$ and $f \in L^p$, we can define L by

$$Lf = \Gamma(1/2)^{-1} \int_0^\infty t^{-1/2} H_t f \, dt$$

where $\Gamma(x)$ is the Gamma function and $\Gamma(1/2) = \sqrt{\pi}$. We notice here that $L_{1C_0^{\infty}(\mathcal{Q})} = (H_{1C_0^{\infty}(\mathcal{Q})})^{-1/2}$. For $f \in L^p$ $(1 \leq p < n)$ and a positive constant T, we write Lf by

 $Lf = g_T + h_T$

where

$$g_T = \frac{1}{\sqrt{\pi}} \int_0^{\pi} t^{-1/2} H_t f \, dt \,, \qquad h_T = \frac{1}{\sqrt{\pi}} \int_r^{\infty} t^{-1/2} H_t f \, dt \,.$$

Define q(p), $C_1(p)$ and M(p) by 1/q(p)=1/p-1/n,

$$C_1(p) = \frac{1}{\sqrt{\pi}} \alpha^{1/p} \frac{2p}{n-p} \quad \text{and} \quad M(p) = \frac{4}{\sqrt{\pi}} \alpha^{1/n} \left(\frac{p}{n-p}\right)^{p/n}.$$

And define T_{λ} for all $\lambda > 0$ by $\lambda/2 = C_1(p) ||f||_p T_{\lambda}^{(1/2)-(n/2p)}$. Then we see that $||h_{T_{\lambda}}||_{\infty} \leq \lambda/2$ and $\{x \in \Omega : |Lf(x)| \geq \lambda\} \subset \{x \in \Omega : |g_{T_{\lambda}}(x)| \geq \lambda/2\}$. So we have

$$\operatorname{vol} \{x \in \mathcal{Q} : |Lf(x)| \ge \lambda\} \le \operatorname{vol} \{x \in \mathcal{Q} : |g_{T_{\lambda}}(x)| \ge \lambda/2\}$$
$$\le (\lambda/2)^{-p} \int_{|g_{T_{\lambda}}| \ge \lambda/2} |g_{T_{\lambda}}(x)|^{p} dx$$
$$\le (\lambda/2)^{-p} ||g_{T_{\lambda}}||_{p}^{p}.$$

On the other hand,

$$\|g_{T_{\lambda}}\|_{p} = \left\|\frac{1}{\sqrt{\pi}}\int_{0}^{T_{\lambda}}t^{-1/2}H_{\iota}f\,dt\right\|_{p}$$
$$\leq \frac{1}{\sqrt{\pi}}\int_{0}^{T_{\lambda}}t^{-1/2}\|H_{\iota}f\|_{p}dt$$
$$\leq \frac{2}{\sqrt{\pi}}\|f\|_{p}T_{\lambda}^{1/2}.$$

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Therefore

$$vol \{x \in \Omega: |Lf(x)| \ge \lambda\} \le \left(\frac{M(\lambda)}{\lambda} \|f\|_p\right)^{q(p)}.$$

For all p_1 and p_2 $(1 \le p_1 < 2 < p_2 < n)$, define q_1 , q_2 and $\theta(p_1, p_2)$ by $q_1 = q(p_1)$, $q_2 = q(p_2)$ and $1/2 = (1 - \theta(p_1, p_2))/p_1 + \theta(p_1, p_2)/p_2$. We here apply Marcinkiewicz interpolation theorem to L for p_1 and p_2 above. We use the constant K in A. Zygmund [16] (see also D. Gilbarg-N.S. Trudinger [6], p. 228 and p. 254). Then we have for all $f \in L^2$,

$$\|Lf\|_{2n/(n-2)} \leq K(p_1, p_2) M(p_1)^{1-\theta(p_1, p_2)} M(p_2)^{\theta(p_1, p_2)} \|f\|_2.$$

Here

$$K(p_1, p_2) = 2q(2)^{1/q(2)} \left(\frac{(p_1/2)^{q_1/p_1}}{|q_1 - q(2)|} + \frac{(p_2/2)^{q_2/p_2}}{|q_2 - q(2)|} \right)^{1/q(2)}$$

Set $F(p_1, p_2, x)$ by

$$\begin{split} F(p_1, p_2, x) &= \frac{8}{\sqrt{\pi}} \Big(\frac{p_1}{2 - p_1} (1 - p_1 x) (p_1/2)^{p_1 x/(1 - p_1 x)} \\ &\quad + \frac{p_2}{p_2 - 2} (1 - p_2 x) (p_2/2)^{p_2 x/(1 - p_2 x)} \Big)^{1/2 - x} \\ &\quad \times \Big(\frac{p_1 x}{1 - p_1 x} \Big)^{p_1 x(1/2 - 1/p_2)/(1/p_1 - 1/p_2)} \\ &\quad \times \Big(\frac{p_2 x}{1 - p_2 x} \Big)^{p_2 x(1/p_1 - 1/2)/(1/p_1 - 1/p_2)} . \end{split}$$

Since $||Lf||_{2n/(n-2)} \leq F(p_1, p_2, 1/n) ||f||_2$, we may show

$$\inf_{1 \le p_1 < 8 < p_2 < 1/x} F(p_1, p_2, x) < \frac{8\sqrt{6}}{\sqrt{\pi}} \quad \text{for } x = 1/3, 1/4, 1/5, \cdots.$$

Since $F(1.7, 2.2, 1/3) = 10.3946 \dots < 8\sqrt{6}/\sqrt{\pi}$, we consider F(1, 5/2, x) for all $0 < x \le 1/4$. We easily see that

$$F(1, 5/2, 1/4) = 7.59103 \cdots,$$

$$\left(\frac{1}{2}\right)^{x/(1-x)} \leq 1 \qquad \text{for } 0 < x < 1,$$

$$1 < 5\left(1 - \frac{5}{2}x\right) \left(\frac{5}{4}\right)^{5x/(2-5x)} \leq 5 \qquad \text{for } 0 < x \leq \frac{1}{4} < \frac{2}{5}\log\frac{4e}{5},$$

$$\left(\frac{x}{1-x}\right)^x \leq 1 \qquad \text{for } 0 < x \leq 1/2.$$

Therefore we have

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$$F(1, 5/2, x) < \frac{8\sqrt{6}}{\sqrt{\pi}}$$
 for $x = 1/5, 1/6, \cdots$,

and

$$\|\phi\|_{2n/(n-2)} \leq \frac{8\sqrt{6}}{\sqrt{\pi}} \alpha^{1/n} \|H^{1/2}\phi\|_2 \quad \text{for all } \phi \in C_0^{\infty}(\Omega).$$

To prove Theorems 1 and 2, we prepare some comparison theorems for the heat kernel of the Laplacian. We notice here that the heat kernel p(t, x, y) of Laplacian on a symmetric space depends only on t>0 and the distance d(x, y) of x and y. So we can write p(t, x, y) on a symmetric space as p(t, d(x, y)).

THEOREM 4 (S-Y. Cheng-P. Li-S. T. Yau [3]). Let M^n be an *n* dimensional minimal submanifold of $\overline{M}^{n+l}(b)$ $(l>0, b\leq 0)$ and Ω compact domain in M and any $p\in \Omega$. Let p(t, x, y) be the heat kernel of the Laplacian on M under Dirichlet boundary condition. We define the extrinsic outer radius at p by

$$a = \sup_{\mathbf{z} \in \mathcal{Q}} d(\mathbf{p}, \mathbf{z})$$

Then

$$p(t, p, y) \leq \overline{p}_a(t, d(p, y))$$

for all $y \in \Omega$ and $t \in (0, \infty)$. Here $\overline{d}(p, z)$ is the distance function on \overline{M} and $\overline{p}_a(t, d(p, y))$ stands for the heat kernel under Dirichlet boundary condition on the ball centered at some fix point with radius a in $\overline{M}^n(b)$.

THEOREM 5 (P. Li-G. Tian [8]). Let M^n be an *n* dimensional embedded algebraic submanifold of $\mathbb{C}P^{n+t}$. Let p(t, x, y) be the heat kernel of M with respect to the induced metric. When M has boundary, p(t, x, y) is taken to be the heat kernel under Dirichlet boundary condition. Then for all $x, y \in M$ and $t \in (0, \infty)$, we have

$$p(t, x, y) \leq \overline{p}(t, \overline{d}(x, y)).$$

Here $\bar{p}(t, \bar{d}(x, y))$ is the heat kernel of $\mathbb{C}P^n$ and $\bar{d}(x, y)$ is the distance function of \overline{M} .

Proof of Theorem 1. Let $p_{\mathcal{Q}}(t, x, y)$ be the heat kernel of the Laplacian of a bounded domain \mathcal{Q} in M under Dirichlet boundary condition. By Theorem 4, we have

$$p_{\mathcal{Q}}(t, x, y) \leq \frac{1}{(4\pi t)^{n/2}}$$
 for all $x, y \in \mathcal{Q}$ and $t > 0$.

So by Theorem 3, we have

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$$\|f\|_{2n/(n-2)} \leq \frac{4\sqrt{6}}{\sqrt{\pi}} \|\nabla f\|_2 \quad \text{for all } f \in C^{\infty}_{0}(M) ,$$

Proof of Theorem 2. Let \mathcal{Q} be a bounded domain $M \setminus \Sigma$ and let $\overline{p}(t, \overline{d}(\overline{x}, \overline{y}))$ be the heat kernel of the Laplacian on $\mathbb{C}P^n$ with the Fubini-Study metric. The kernel function H(t, x, y) of e^{-tH} for $H=(-\Delta+1)$ on \mathcal{Q} under Dirichlet boundary condition is $e^{-t}p_{\mathcal{Q}}(t, x, y)$. By Theorem 5, we have

$$p_{\mathcal{Q}}(t, x, y) \leq \overline{p}(t, 0)$$
 for all $x, y \in \mathcal{Q}$ and $t > 0$.

On the other hand, a heat kernel $\tilde{p}(t, \tilde{x}, \tilde{y})$ on an *m* dimensional compact connected Riemannian manifold (\tilde{M}^m, \tilde{g}) with nonnegative Ricci curvature satisfies

$$\tilde{p}(t, \tilde{x}, \tilde{x}) \leq \tilde{p}(t+s, \tilde{x}, \tilde{y}) \Big(\frac{t+s}{t}\Big)^{m/2} \exp\left(\frac{\tilde{d}^2(\tilde{x}, \tilde{y})}{4s}\right),$$

for all t, s>0 and $\tilde{x}, \tilde{y} \in \tilde{M}$ (see P. Li and S. T. Yau [10]). Let \tilde{D} be the diameter of \tilde{M} . Integrating the both sides in $\tilde{y} \in \tilde{M}$ and substituting $s = \tilde{D}^2$, we have

$$e^{-t}\tilde{p}(t, \tilde{x}, \tilde{x}) \leq e^{-t} \left(\frac{t+\tilde{D}^2}{t}\right)^{m/2} e^{1/4} \frac{1}{\operatorname{vol}(\tilde{M}, \tilde{g})} \\ \leq \left(e^{1/2m} \max\left\{\tilde{D}^2, \frac{m}{2}\right\}\right)^{m/2} \frac{1}{\operatorname{vol}(\tilde{M}, \tilde{g})} t^{-m/2} .$$

Therefore we have

$$H(t, x, y) \leq e^{-t} \bar{p}(t, 0)$$

$$\leq \left(e^{1/4n} \max\left\{\frac{\pi^2}{4}, n\right\} \right)^n \frac{1}{\operatorname{vol}(CP^n)} t^{-n}$$

$$= \left(e^{1/4n} \max\left\{\frac{\pi^2}{4}, n\right\} \right)^n \frac{1}{2\pi\omega_{2n}} t^{-n}$$

Applying Theorem 3 to H, we have for all $f \in C_0^{\infty}(M \setminus \Sigma_M)$,

$$\|f\|_{2n/(n-1)}^{2} \leq \left(\frac{8\sqrt{6}}{\sqrt{\pi}}\right)^{2} e^{(1/4n)} \max\left\{\frac{\pi^{2}}{4}, n\right\} \omega_{2n/(n-1)}^{-1/n} (\|\nabla f\|_{2}^{2} + \|f\|_{2}^{2}).$$

3. Applications

A compact minimal submanifold Ω with boundary is a critical point of volume functional for variations fixing boundary. Define the index of Ω , $index(\Omega)$, by the number of negative eigenvalues of the elliptic differential operator J called a Jacobi operator arising from the second variation of the

volume functional. For a noncompact minimal submanifold M, define the index of M, index(M), by $\lim_{i\to\infty} \{index(\Omega_i): \{\Omega_i\}$ is an exhaustion of $M\}$. And M (resp. Ω) is said to be stable when index(M)=0 (resp. $index(\Omega)=0$).

As geometric applications of Theorem 1, we give an estimate of the index of a minimal submanifold M^n in $\overline{M}^{n+l}(b)$ $(b \leq 0)$ and give some conditions for M^n in \mathbb{R}^{n+l} to be an *n* dimensional plane.

For index(M), J. Tysk [15] showed the following theorem using Sobolev inequality of type (2) derived from Sobolev inequality of type (1).

We denote the second fundamental form of M in \overline{M} by B.

THEOREM 6 (J. Tysk [16]). Let M^n be an *n* dimensional oriented complete minimal hypersurface in \mathbb{R}^{n+1} (n>2). Then we have

$$index(M) \leq \frac{n}{\omega_{n-1}} \left(\frac{\sqrt{e}(n-1)2^{2n+3}}{n-2}\right)^n \int_M |B|^n.$$

So we can prove the following theorem in the same way as in [13]. Since we only replace the Sobolev inequality of type (2) in [13] by the inequality in Theorem 1, we omit the proof. Set $f_{+}=\max(f, 0)$.

THEOREM 7. Let M^n be an *n* dimensional oriented noncompact complete minimal hypersurface (n>2) in $\overline{M}^{n+1}(b)$ $(b\leq 0)$. Then we have

index(M)
$$\leq e^{n/2} \left(\frac{4\sqrt{6}}{\pi} \right)^n \int_M (|B|^2 + nb)_+^{n/2}.$$

We next study the stability of a minimal submanifold in \mathbf{R}^{n+l} .

THEOREM 8 (P.H. Bérard [1]). Let M^n be an *n* dimensional noncompact complete minimal submanifold (n>2) in \mathbb{R}^N . Set

$$\begin{aligned} \alpha(n, N) &= \frac{2}{(n+2)(N-n)-2}, \qquad \beta(n, N) = 2 - \frac{1}{N-n}, \\ C_1(n) &= 2^{n-1} \pi (n+1)^{(n+1)/n} \omega_n^{-1/n} / (n-1), \\ C_2(n) &= 2C_1(n) \frac{n-1}{n-2}, \\ C_3(n, N) &= 2 \frac{n+\alpha(n, N)-1}{n^2 C_2(n)^2 \beta(n, N)}. \end{aligned}$$

If $||B||_n^2 < C_3(n, N)$, then M is an n dimensional plane.

In [1], P.H. Bérard used an inequality of J. Simons [13] and a Sobolev inequality of type (2) in section 1. Replacing an inequality of J. Simons by T. Okayasu [12] and a Sobolev inequality of type (2) by Theorem 1, we can improve the above condition.

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THEOREM 9. Let M^n be an n dimensional noncompact complete minimal submanifold (n>2) in \mathbb{R}^N . If

$$||B||_n^2 < 4 \frac{n + (2/n) - 1}{n^2 \beta(n, N)} \left(\frac{\pi}{4\sqrt{6}}\right)^2$$
,

then M is an n dimensional plane.

Under a weaker condition, we show that M is stable as follows (see J. Spruck [14]).

THEOREM 10. Let M^n be an *n* dimensional noncompact complete minimal submanifold (n>2) in $\overline{M}^{n+l}(b)$ $(b\leq 0)$. If

$$\|\sqrt{(|B|^2+nb)_+}\|_n \leq \frac{\pi}{4\sqrt{6}}$$
,

then M is stable.

In particular, if M^n is a minimal hypersurface in \mathbb{R}^{n+1} satisfying $||B||_n \leq \pi/4\sqrt{6}$ and $||B||_2 < \infty$, then M is an n dimensional hyperplane.

Proof. Let Ω be a bounded domain in M. By Theorem 1, for a variation vector field X on Ω in M fixing boundary, u = |X| satisfies that $u_{1\partial\Omega} = 0$ and

$$V''(0) = \int_{\mathcal{Q}} (JX, X)$$

$$\geq \int_{\mathcal{Q}} |\nabla u|^{2} - (|B|^{2} + nb) + u^{2}$$

$$\geq \left(\frac{\pi}{4\sqrt{6}}\right)^{2} \left(\int_{\mathcal{Q}} u^{2n/(n-2)}\right)^{(n-2)/n}$$

$$- \left(\int_{\mathcal{Q}} (|B|^{2} + nb)_{+}^{n/2}\right)^{2/n} \left(\int_{\mathcal{Q}} u^{2n/(n-2)}\right)^{(n-2)/n}$$

$$\geq \left(\left(\frac{\pi}{4\sqrt{6}}\right)^{2} - \|\sqrt{(|B|^{2} + nb)_{+}}\|_{n}^{2}\right) \left(\int_{\mathcal{Q}} u^{2n/(n-2)}\right)^{(n-2)/n}$$

$$\geq 0.$$

Therefore, every bounded domain in M is stable. And a complete stable minimal hypersurface in \mathbb{R}^{n+1} with $||B||_2 < \infty$, it is a hyperplane (see M. do Carmo and C. K. Peng [5]). \Box

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