A Generalization of Bertilsson's Theorem

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Abstract

We are concerned with the following problem. Let L and K be fixed real numbers. When does the Koebe function $k(z) = z(1-z)^{-2}$ maximize the Nth Taylor coefficient of $(1/f'(z))^L(z/f(z))^K$ for f in the class S of normalized schlicht functions? A sufficient condition for $L \ge -1$ is $1 \le N \le 2L + K + 1$. A necessary condition is that a certain trigonometric sum involving hypergeometric functions is non-negative. These results generalize a recent theorem of Bertilsson and suggest a link between Brennan's conjecture in conformal mapping and Baernstein's theorem about integral means of functions in S.

1 Introduction

An open problem in conformal mapping, which recently received a great deal of attention [2, 3, 4, 8], is Brennan's conjecture [7]. It states

$$\iint_{\mathbb{D}} |f'(z)|^{-L} \, dx \, dy < \infty \tag{1}$$

for every conformal map f from the unit disk $\mathbb{D} := \{z \in \mathbb{C} : |z| < 1\}$ into the complex plane \mathbb{C} and every real number $L \ge 2$. Of course, one may assume f belongs to the class S of univalent functions $f : \mathbb{D} \to \mathbb{C}$, normalized by f(0) = 0 and f'(0) = 1. In [3] Bertilsson observed Brennan's conjecture is equivalent to the

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following conjecture about integral means of the derivatives of functions f in S: for every $L \ge 2$ there exists a constant $C_L > 0$ such that

$$\int_{|z|=r} \left| \frac{1}{f'(z)} \right|^L d\theta \le C_L \int_{|z|=r} \left| \frac{1}{k'(z)} \right|^L d\theta$$
(2)

for every $f \in S$ and every $0 \le r < 1$, where

$$k(z) = \frac{z}{(1-z)^2}$$

is the Koebe function. It is even conjectured (see [3]) that one may take $C_L = 1$. The corresponding problem of estimating the integral means of the functions in S instead of their derivatives was completely settled by Baernstein [1], who proved

$$\int_{|z|=r} \left| \frac{z}{f(z)} \right|^K d\theta \le \int_{|z|=r} \left| \frac{z}{k(z)} \right|^K d\theta$$
(3)

for every $0 \le r < 1$, every $K \in \mathbb{R}$ and every $f \in S$. The purpose of the present note is to point out a possible link between Brennan's conjecture (2) and Baernstein's result (3), which might be useful in attacking Brennan's conjecture.

We first note Brennan's conjecture can be stated as a coefficient problem for univalent functions as follows. For $f \in S$ and $L, K \in \mathbb{R}$ let

$$\left(\frac{1}{f'(z)}\right)^L = \sum_{N=0}^{\infty} a_N(L, f) \, z^N, \qquad a_0(L, f) = 1,$$

and

$$\left(\frac{z}{f(z)}\right)^K = \sum_{N=0}^{\infty} b_N(K, f) \, z^N, \qquad b_0(K, f) = 1.$$

Then (see, for instance, [3]), Brennan's conjecture is equivalent to the coefficient estimate

$$|a_N(L,f)| \le c_L |a_N(L,k)|$$
 for $N \ge 1, f \in S, L \ge 2.$ (4)

Here, c_L is a constant which does not depend on f and N. Again, one might suspect $c_L = 1$.

In [2, 3] D. Bertilsson was able to prove an estimate of the form (4). Specifically, he established for L > 0 the inequality

$$|a_N(L, f)| \le |a_N(L, k)|$$
 for $1 \le N \le 2L + 1$, $f \in S$. (5)

Bertilsson's proof of (5) is based on an ingenious modification of de Branges's method [5] and is quite involved. A quick proof of Bertilsson's inequalities (5) was given in [17]. Recently, the method of [17] was adapted in [13] to establish the following similar result for the Taylor coefficients $b_N(K, f)$:

$$|b_N(K, f)| \le |b_N(K, k)|$$
 for $1 \le N \le K + 1$, $f \in S$. (6)

Consequently, combining (5) and (6), it is easy to see that

$$|c_N(L,K,f)| \le |c_N(L,K,k)|$$

for every $f \in S$ and every $1 \leq N \leq \min\{K+1, 2L+1\}$ where the coefficients $c_N(L, K, f)$ are defined by

$$\left(\frac{1}{f'(z)}\right)^{L} \left(\frac{z}{f(z)}\right)^{K} = \sum_{N=0}^{\infty} c_{N}(L, K, f) z^{N}, \qquad c_{0}(L, K, f) = 1.$$

Somewhat surprisingly much more than this is true:

Theorem 1. Let $f \in S$. Then for every $L \ge -1$, every $K \in \mathbb{R}$ and all integers N with $1 \le N \le 2L + K + 1$ the inequalities

$$|c_N(L,K,f)| \le |c_N(L,K,k)| \tag{7}$$

are valid. Except for the cases

$$\begin{array}{ll} 2L+K=0, & N=1, \\ 2L+K=1, & N=2, \\ L+1=0, & N=K-1, & K\geq 2 \end{array}$$

equality is attained if and only if f is the Koebe function or one of its rotations.

The proof of Theorem 1 will be given in Section 2. It uses the Löwner differential equation and proceeds along similar lines as the proofs in [11, 13, 17].

Remarks.

(a) We shall see in Section 3 that in general not all of the individual coefficients $a_j(L, f)$ and $b_{N-j}(K, f)$ in the sum

$$c_N(L, K, f) = \sum_{j=0}^{N} a_j(L, f) b_{N-j}(K, f)$$
(8)

are maximized by the Koebe function. Nevertheless, Theorem 1 guarantees that the Koebe function does maximize the absolute value of the sum (8) itself if $1 \le N \le 2L + K + 1$. So in a sense a kind of averaging phenomenon occurs, which is to be reminiscent of Milin's inequality for the weighted sums

$$\sum_{k=1}^{N} k(N-k+1)|\gamma_k|^2$$
(9)

of the logarithmic coefficients of univalent functions defined by

$$\log \frac{f(z)}{z} = 2\sum_{n=1}^{\infty} \gamma_n z^n.$$

As in (8) the Koebe function is not extremal for the absolute value of the individual logarithmic coefficients γ_n , $n \geq 2$ (see, for instance, [9]), but by de Branges's theorem [5] the weighted sums (9) are indeed maximized by the Koebe function.

(b) In view of the equivalence of Brennan's conjecture with the coefficient problem(4), Theorem 1 strongly suggests to consider the integral means of the product

$$\left(\frac{1}{f'(z)}\right)^L \left(\frac{z}{f(z)}\right)^K$$

and makes the following generalization of Brennan's problem (2) irresistable.

Problem. For which real numbers K and $L \ge 2$ does there exist a constant $E_{K,L}$ such that

$$\int_{|z|=r} \left| \frac{1}{f'(z)} \right|^L \left| \frac{z}{f(z)} \right|^K d\theta \le E_{K,L} \cdot \int_{|z|=r} \left| \frac{1}{k'(z)} \right|^L \left| \frac{z}{k(z)} \right|^K d\theta,$$

for every $f \in S$ and every $0 \leq r < 1$?

(c) Theorem 1 simultaneously generalizes Bertilsson's theorem (5) and the inequalities (6).

We now return to estimate (7) and derive a necessary condition for this inequality for fixed $N \in \mathbb{N}$ and fixed real parameters K and L. As in many extremal problems for univalent functions [6, 15] hypergeometric functions enter the picture. We first recall that for fixed complex numbers a, b, c with $c \neq -n$ (n = 0, 1, 2, ...), the Gaussian hypergeometric series is defined by

$$_{2}F_{1}(a,b,c;z) := \sum_{n=0}^{\infty} \frac{(a)_{n} (b)_{n}}{(c)_{n}} \frac{z^{n}}{n!}, \qquad |z| < 1,$$

where

$$(a)_n = a(a+1)(a+2)\cdots(a+n-1) = \frac{\Gamma(a+n)}{\Gamma(a)}$$

is the Pochhammer symbol. If b is a negative integer, b = -j, then

$$_{2}F_{1}(a,-j,c;z) = \sum_{n=0}^{j} \frac{(a)_{n} (-j)_{n}}{(c)_{n}} \frac{z^{n}}{n!},$$

is a polynomial of degree j and it is easy to check that

$$\alpha_j(L,K) = \frac{\Gamma(L+j)}{j!\,\Gamma(L)} {}_2F_1(-2K-3L,-j,1-L-j;-1)$$
(10)

are well–defined real numbers for every $L, K \in \mathbb{R}$ and $j = 0, 1, 2, \ldots$ We also note

$$\left(\frac{1}{k_0'(z)}\right)^L \left(\frac{z}{k_0(z)}\right)^K = \frac{(1+z)^{3L+2K}}{(1-z)^L} \\ = \sum_{N=0}^{\infty} \left(\sum_{j=0}^N \binom{3L+2K}{j} \binom{-L}{N-j} (-1)^{N-j}\right) z^N \qquad (11) \\ = \sum_{N=0}^{\infty} \alpha_N(L,K) z^N,$$

for $k_0(z) = -k(-z) = z/(1+z)^2$, that is,

$$\alpha_N(L,K) = c_N(L,K,k_0)$$

Theorem 2. Let $N \ge 1$ be a fixed integer and let L, K be real numbers. If the inequality (7) holds for all functions $f \in S$, then the trigonometric sum

$$\alpha_N(L,K) \sum_{j=1}^N \left((L+K)\alpha_{N-j}(L,K) + Lj\alpha_{N-j}(L+1,K-1) \right) \sin(j\,u)$$
(12)

is non-negative for $u \in [0, \pi]$.

Condition (12) can easily be checked for fixed L, K and N with the help of a computer. It follows from Theorem 2 (see Section 3) that (7) does *not* hold for every $N \in \mathbb{N}$. In this sense Theorem 2 complements Theorem 1. The proof of Theorem 2 is given in Section 3 and is based on an elementary special case of Schiffer's method of boundary variation [16].

2 Proof of Theorem 1

We begin relating the Taylor coefficients $c_N(L, K, f)$ of

$$\left(\frac{1}{f'(z)}\right)^L \left(\frac{z}{f(z)}\right)^K$$

to the Taylor coefficients $d_n(L, K, N, f)$ defined by

$$F'(w)^{L+1} \left(\frac{F(w)}{w}\right)^{K-N-1} = 1 + \sum_{n=1}^{\infty} d_n(L, K, N, f) w^n,$$
(13)

where F is the inverse function to $f \in S$.

Lemma 3. Let $f \in S$ and F be the inverse function of f. For any real numbers L and K and any positive integer N let the coefficients $d_n(L, K, N, f)$ be defined by (13). Then

$$c_N(L, K, f) = d_N(L, K, N, f).$$

In particular, $c_N(-1, N+1, f) = 0$ for any $N \ge 1$.

Proof. By Koebe's One–Quarter Theorem, $f(\mathbb{D})$ contains the disk |w| < 1/4, so the circle Γ of radius 1/8, say, centered at the origin belongs to $f(\mathbb{D})$ and Cauchy's integral formula gives

$$d_N(L, K, N, f) = \frac{1}{2\pi i} \int_{\Gamma} \frac{F'(w)^{L+1} F(w)^{K-N-1}}{w^K} dw$$

= $\frac{1}{2\pi i} \int_{F(\Gamma)} \left(\frac{1}{f'(z)}\right)^L \left(\frac{z}{f(z)}\right)^K \frac{1}{z^{N+1}} dz = c_N(L, K, f).$

In the next step we apply Löwner's theory to find the sharp upper bound for the coefficients $d_n(L, K, N, f)$. The method goes back to Löwner's paper [12] and has been used before in [11], [17] and [13].

Theorem 4. Let K and L be real numbers with $L \ge -1$ and let N be a positive integer with $1 \le N \le 2L + K + 1$ such that either $L \ne -1$ or $K - N - 1 \ne 0$. Moreover, let $f \in S$ and $d_n(L, K, N, f)$ be defined as in Lemma 3. Then the sharp estimate

$$|d_n(L, K, N, f)| \le |d_n(L, K, N, k)|$$

holds for any positive integer n. Except for the cases 2L + K + 1 = N and n = 1 or n = 2 equality occurs if and only if f is the Koebe function or one of its rotations.

Proof. We first recall some basics from Löwner's theory (see [12, 14] for details). Every $f \in S$ can be embedded in a normalized subordination chain f(z,t), $0 \leq t < \infty$, with f(z,0) = f(z). This means $z \mapsto f(z,t) = e^t z + \cdots$ is univalent in \mathbb{D} and $f(\mathbb{D},t) \subseteq f(\mathbb{D},\tau)$ for $0 \leq t \leq \tau < \infty$, i.e., the image domains $f(\mathbb{D},t)$ are increasing. Since f(z,t) is absolutely continuous in $t \geq 0$ for each $z \in \mathbb{D}$, (see [14, Theorem 6.2]), the function

$$p(z,t) := \frac{\frac{\partial f(z,t)}{\partial t}}{z \frac{\partial f(z,t)}{\partial z}} = \sum_{n=0}^{\infty} p_n(t) z^n, \qquad p_0(t) = 1,$$
(14)

is an analytic function of $z \in \mathbb{D}$ for a.e. $t \ge 0$, and a measurable function of tin $[0, \infty)$ for each fixed $z \in \mathbb{D}$. Moreover, $\operatorname{Re} p(z, t) \ge 0$. This is geometrically obvious from (14) since the image domains of the functions f(z, t) are increasing. Consequently, $z \mapsto p(z, t)$ belongs to the class of normalized analytic functions with positive real part, so $|p_n(t)| \le 2$ for every $n \ge 1$. If, moreover, $p_1(t) = 2$ (a.e.), then $p_n(t) = 2$ (a.e.) for every $n \ge 1$. The only normalized subordination chain in which the Koebe function f(z) = k(z) can be embedded is $f(z,t) = e^t k(z)$, so we have p(z,t) = (1+z)/(1-z) in this case.

Now, let $w \mapsto \Phi(w,t)$ be the inverse function of $z \mapsto f^{-1}(f(z),t)$. Then (14) implies

$$\frac{\partial \Phi(w,t)}{\partial t} = w \frac{\partial \Phi(w,t)}{\partial w} p(w,t), \tag{15}$$

for every w in some neighborhood of w = 0 (depending on t) and

$$\Phi(w,0) = w, \qquad F(w) = \lim_{t \to \infty} \Phi(e^{-t}w, t).$$

Using the differential equation (15) the function

$$Q(w,t) = \left(\frac{\partial \Phi(w,t)}{\partial w}\right)^{L+1} \left(\frac{\Phi(w,t)}{w}\right)^{K-N-1} = \sum_{n=0}^{\infty} D_n(t) w^n$$

is easily seen to be a solution of the partial differential equation

$$\begin{aligned} \frac{\partial Q(w,t)}{\partial t} &= \left((L+1) \frac{\partial (wp(w,t))}{\partial w} + (K-N-1)p(w,t) \right) Q(w,t) \\ &+ \frac{\partial Q(w,t)}{\partial w} wp(w,t), \end{aligned}$$

that is,

$$\sum_{n=0}^{\infty} \frac{dD_n(t)}{dt} w^n = \sum_{n=0}^{\infty} \left(\sum_{j=0}^n ((L+1)(n-j+1) + j - N + K - 1)D_j(t)p_{n-j}(t) \right) w^n.$$

This yields the following initial value problems for the Taylor coefficients $D_n(t)$:

$$\frac{dD_0(t)}{dt} = (L - N + K)D_0(t), \qquad D_0(0) = 1,$$

and

$$\frac{dD_n(t)}{dt} = (L+n-N+K)D_n(t) + \sum_{j=0}^{n-1} ((L+1)(n-j+1)+j-N+K-1)D_j(t)p_{n-j}(t), \quad D_n(0) = 0,$$

for n = 1, 2, ... These initial value problems have the solutions $D_0(t) = e^{(L-N+K)t}$,

$$D_n(t) = \int_0^t e^{(L+n-N+K)(t-\tau)} \sum_{j=0}^{n-1} ((L+1)(n-j+1) + j - N + K - 1) D_j(\tau) p_{n-j}(\tau) d\tau,$$

for $n = 1, 2, \dots$ In particular, $D_1(t) \equiv 0$ if $N = 2L + K + 1$.

We note

$$(L+1)(n-j+1) + j - N + K - 1 \ge 2(L+1) + j - N + K - 1 \ge 2L + K + 1 - N \ge 0$$

for $0 \leq j \leq n-1$, $L \geq -1$ and $1 \leq N \leq 2L + K + 1$. Moreover, equality occurs if and only if n = 1 and 2L + K + 1 = N. It follows $\operatorname{Re} D_n(t)$ is maximized for fixed $t \geq 0$, if we choose $D_j(\tau)$ real and maximal for every $j = 1, \ldots, n-1$ and a.e. $\tau \in [0, t]$, and also $p_j(\tau) = 2$ for every $j = 1, \ldots, n$ and a.e. $\tau \in [0, t]$. These conditions are also necessary for $\operatorname{Re} D_n(t)$ to be maximal except N = 2L + K = 1and either n = 1 or n = 2.

In view of the relation

$$d_n(L, K, N, f) = \lim_{t \to \infty} e^{-t(L+n-N+K)} D_n(t)$$

we conclude the functional $f \mapsto \operatorname{Re} d_n(L, K, N, f)$ attains its maximal value on the set S if

$$p(w,t) = \frac{1+w}{1-w},$$
(16)

that is, if f(z) = k(z). Only in the cases 2L + K + 1 = N and either n = 1 or n = 2, p(w, t) doesn't have to be of the form (16).

Now the assertion of Theorem 4 follows immediately from the fact that a function $F \in S$ maximizes $|d_n(L, K, N, f)|$, if and only if a suitable rotation $e^{-i\theta}F(e^{i\theta}z) \in S$, $\theta \in \mathbb{R}$, maximizes $\operatorname{Re} d_n(L, K, N, f)$.

After this preparations, Theorem 1 is an immediate consequence of Lemma 3 and Theorem 4.

Remarks.

(a) In the first exceptional case, 2L+K = 0 and N = 1, of Theorem 1, the estimate (7) is trivial since $c_1(L, K, f) = 0$ for every $f \in S$. We next consider the second exceptional case 2L + K = 1 and N = 1. Now, $c_2(L, K, f) = (L+1)(a_2^2 - a_3)$ for every $f(z) = z + a_2 z^2 + a_3 z^3 + \cdots$ in S. Hence, if L = -1, then again (7) is trivially satisfied. If L > -1, then equality occurs in (7) if and only if f is a rotation of

$$G(z) = \frac{z}{1 + cz + z^2}$$

where c is a real number with $-2 \le c \le 2$. This is classical and may be found in [10, Chapter 2]. Note in Exercise 1 of [9, Chapter 2] there is the erroneous statement that equality holds only if f is a rotation of the Koebe function. Finally, the third exceptional case, L = -1 and N = K - 1, of Theorem 1 is again trivial since $c_N(L, K, f) = 0$ for every $f \in S$ by Lemma 3.

(b) Our method of proof can also be used to consider the cases L < -1, K > 0. In these cases one is lead to the conclusion the Taylor coefficients $c_N(L, K, f)$ are maximized by the Koebe function if $N \leq -1 - K/L$.

3 Proof of Theorem 2

If the inequality (7) holds, then the Koebe function

$$k_0(z) = \frac{z}{(1+z)^2}$$

maximizes the functional

$$\phi(f) = |c_N(L, K, f)|^2$$

on the set S. We produce a one-parameter family of neighboring functions

$$k_r(z) = k_0(z) + \frac{r^2}{4} \left(1 - e^{i\gamma} \right) \frac{k_0(z)^2}{\eta^2(\eta - k_0(z))} + O(r^3), \qquad r \to 0, \tag{17}$$

with $\gamma \in \mathbb{R}$ and $\eta > 1/4$ as follows.

Let $\varphi(u) = u - u^{-1} + ...$ be the inverse of the Joukowski transform $\Psi(\xi) = \xi + 1/\xi$, which maps $|\xi| > 1$ conformally onto $\mathbb{C} \setminus [-2, 2]$. The rotation $h(\xi) = \xi + e^{i\gamma}/\xi$, $\gamma \in \mathbb{R}$, of the Joukowski function maps $|\xi| > 1$ conformally onto \mathbb{C} minus a line segment of length 4. We deduce that for fixed $\eta > 1/4$ and fixed $0 < r < \eta - 1/4$ the function

$$H_{r}(w) = h\left(\varphi\left(\frac{2}{r}(w-\eta)\right)\right) = \frac{2}{r}(w-\eta) - \frac{r}{2}\frac{1-e^{i\gamma}}{w-\eta} + O(r^{2})$$

is univalent on $k_0(\mathbb{D}) = \mathbb{C} \setminus [1/4, \infty)$. Finally, we normalize

$$G_r(w) = \frac{H_r(w) - H_r(0)}{H_r'(0)} = w - \frac{r^2}{4} \left(1 - e^{i\gamma}\right) \frac{w^2}{\eta^2(w - \eta)} + O(r^3),$$

and set $k_r(z) = G_r(k_0(z))$ to obtain the variation (17).

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Next, a calculation using (17) gives

$$c_N(L, K, k_r) = c_N(L, K, k_0) - \frac{1 - e^{i\gamma}}{4\eta^3} \delta_N(\eta) r^2 + O(r^3),$$
(18)

where $\delta_N(\eta)$ is the Nth Taylor coefficient of the function

$$\left(\frac{1}{k_0'(z)}\right)^L \left(\frac{z}{k_0(z)}\right)^K \frac{\eta \, k_0(z)}{\left(\eta - k_0(z)\right)^2} \left[\eta \left(K + 2L\right) - k_0(z)(K+L)\right]. \tag{19}$$

From (18) we obtain

$$|c_N(L,K,k_r)|^2 = |c_N(L,K,k_0)|^2 - \frac{1}{2} \operatorname{Re} \left\{ \frac{1 - e^{i\gamma}}{\eta^3} r^2 c_N(L,K,k_0) \delta_N(\eta) \right\} + O(r^3).$$

Now k_0 maximizes $|c_N(L, K, f)|^2$ on S. This implies

$$\operatorname{Re}\left\{\frac{1-e^{i\gamma}}{\eta^3}c_N(L,K,k_0)\delta_N(\eta)\right\} \ge 0, \qquad \gamma \in \mathbb{R}, \, \eta > 1/4,$$

or

$$c_N(L, K, k_0)\delta_N(k_0(\xi)) \ge 0$$
(20)

for every $|\xi| = 1$.

Since the identity (19) may be written for $\eta = k_0(\xi)$ as

$$(L+K)t_{\xi}(z)\left(\frac{1}{k_{0}'(z)}\right)^{L}\left(\frac{z}{k_{0}(z)}\right)^{K}+Lzt_{\xi}'(z)\left(\frac{1}{k_{0}'(z)}\right)^{L+1}\left(\frac{z}{k_{0}(z)}\right)^{K-1}$$

with

$$t_{\xi}(z) = \frac{z}{1 - (\xi + \overline{\xi})z + z^2} = \sum_{j=1}^{\infty} \frac{\sin(j\,u)}{\sin\,u} z^j, \qquad \xi = e^{iu},$$

and using (10), we see that (20) reduces to the fact that (12) is non-negative for $0 \le u \le \pi$.

Remarks. We take briefly a closer look at Theorem 1 and Theorem 2 in the case N = 2 and $L \ge -1$. It follows from these two results that

$$|b_2(K,f)| \le |b_2(K,k)| \tag{21}$$

for every $f \in S$ if and only if $K \ge 1$, (see also [13]), that

$$|a_2(L,f)| \le |a_2(L,k)|$$
 (22)

for every $f \in S$ if and only if $L \ge 1/2$, and also that

$$|c_2(L, K, f)| \le |c_2(L, K, k)|$$
(23)

for every $f \in S$ if $K + 2L \geq 1$. In particular, if K = 1/2 and L = 1/4, then $K + 2L \geq 1$, so (23) holds for every $f \in S$, but (21) and (22) are not fulfilled for any $f \in S$. We see that in the sum

$$c_2(L, K, f) = b_2(K, f) + b_1(K, f)a_1(L, f) + a_2(L, f)$$

not all of the individual terms are maximized by the Koebe function, but the sum itself is. Theorem 2 also implies that (23) can only hold if either $K + 2L \ge 1$ or if K + 3L > 0 and $(K + 2L)^2 + K + 4L < 0$. In particular, (23) fails to hold for K + 3L < 0. Finally we note that a similar analysis can be carried out for N > 2 or L < -1.

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