

SCHWARZ'S LEMMA IN H_p SPACES

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§ 1. Introduction.

Let R be a Riemann surface and let $t \in R$ be any fixed point. For $0 < p < \infty$, let $H_p(R)$ denote the class of all functions f analytic on R for which the subharmonic function $|f|^p$ has a harmonic majorant. We put for any $f \in H_p(R)$

$$(1) \quad \|f\|_p = (u(t))^{1/p},$$

where u is the least harmonic majorant of $|f|^p$ on R . Then, for $1 \leq p < \infty$, $H_p(R)$ is a Banach space with the norm $\|\cdot\|_p$, and for $0 < p < 1$, $H_p(R)$ is not a Banach space but a Fréchet space with the metric $d(\cdot, \cdot)$ defined by $d(f, g) = \|f - g\|_p^p$ ($f, g \in H_p(R)$). Although the "norm" $\|\cdot\|_p$ defined by (1) depends on the choice of t , the induced topology does not ([11]). Let $H_\infty(R)$ be the Banach algebra of all functions which are analytic and bounded on R , with the uniform norm $\|\cdot\|_\infty$. These H_p spaces, which generalize the classical Hardy classes in the unit disc, were introduced by Parreau [10] and independently by Rudin [11].

In this paper we are concerned with the problem of maximizing $|f'(t)|$ under the restrictions $f \in H_p(R)$, $f(t) = 0$ and $\|f\|_p \leq 1$. Let H_p^0 denote the class which consists of all $f \in H_p(R)$ such that $f(t) = 0$ and $\|f\|_p \leq 1$. We put for $0 < p \leq \infty$

$$\alpha_p = \sup_{f \in H_p^0} |f'(t)|.$$

We shall investigate some properties of α_p as a function of p on $(0, \infty]$. It is easily shown by the normal family argument that there exists a function $f \in H_p^0$ for which $f'(t) = \alpha_p$. Such a function is called an extremal function for H_p^0 and denoted by f_p . If $1 < p < \infty$, then the uniform convexity of $H_p(R)$ implies that f_p is unique for any Riemann surface. It is well known that for any plane region there is a unique extremal function f_∞ for H_∞^0 ([5]). In this paper we shall also investigate the convergence of f_p as p approaches to some p_0 with $1 < p_0 \leq \infty$. In Section 5, we shall consider another extremal problem similar to the above one.

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§ 2. Some lemmas on L_p .

We begin with three lemmas on L_p spaces. Lemma 1 is easily proved by applying Holder's inequality, and Lemma 2 by Fatou's lemma. Lemma 3, which is a generalization of Clarkson's result, is proved by the same method as his ([2], p. 403).

LEMMA 1. Let $(X, d\mu)$ be a measure space with total mass 1. If $0 < r < s \leq \infty$ and $f \in L_s(d\mu)$, then $f \in L_r(d\mu)$ and

$$(2) \quad \|f\|_r \leq \|f\|_s.$$

Equality holds in (2) if and only if $|f| = \text{const. a. e. on } X$.

LEMMA 2. Let $(X, d\mu)$ be a measure space with total mass 1, and let $0 < p \leq \infty$. If $f \in L_q(d\mu)$ for all $q < p$, then

$$(3) \quad \|f\|_p = \lim_{q \uparrow p} \|f\|_q.$$

In the case that $f \notin L_p(d\mu)$, the left side of (3) should be interpreted as $+\infty$.

LEMMA 3. Let $(X, d\mu)$ be a measure space and let $1 < a < b < \infty$. Then, for any positive number ε , there exists a positive number δ such that if $a \leq p \leq b$, $f, g \in L_p(d\mu)$, $\|f\|_p, \|g\|_p \leq 1$ and $\|1/2(f+g)\|_p \geq 1 - \delta$, then $\|f-g\|_p < \varepsilon$.

Remark. Since we can regard $H_p(R)$ as a subspace of $L_p(C, (1/2\pi)d\theta)$, where C is the unit circle and $(1/2\pi)d\theta$ is the normalized Lebesgue measure on C ([11], p. 51), the above three lemmas are also valid for $H_p(R)$.

§ 3. Continuity of α_p and convergence of f_p .

THEOREM 1. α_p is nonincreasing and left-continuous on $(0, \infty]$.

We need a lemma.

LEMMA 4. Let $0 < p \leq \infty$ and $g_k \in H_p(R)$ for $k=1, 2, \dots$. If g_k converges to some g uniformly on every compact subset of R , then

$$(4) \quad \|g\|_p \leq \liminf_{k \rightarrow \infty} \|g_k\|_p.$$

In the case that $g \notin H_p(R)$, the left side of (4) should be interpreted as $+\infty$.

Proof. Let $\{R_m\}$ be a regular exhaustion of R such that $t \in R_1$. Let μ_m denote the harmonic measure for t on the boundary ∂R_m of R_m . It is known that for $0 < p < \infty$ and for any function f analytic on R

$$(5) \quad \|f\|_p = \lim_{m \rightarrow \infty} \left(\int_{\partial R_m} |f|^p d\mu_m \right)^{1/p},$$

where the sequence of the right side is nondecreasing in m and the limit does not depend on the choice of $\{R_m\}$. In the case that $f \in H_p(R)$, the left side of (5) should be interpreted as $+\infty$ ([10], p. 137).

If $p < \infty$, then we see by (5)

$$\begin{aligned} \|g\|_p &= \lim_{m \rightarrow \infty} \left(\int_{\partial R_m} |g|^p d\mu_m \right)^{1/p} \\ &= \lim_{m \rightarrow \infty} \lim_{k \rightarrow \infty} \left(\int_{\partial R_m} |g_k|^p d\mu_m \right)^{1/p} \\ &\leq \varliminf_{k \rightarrow \infty} \|g_k\|_p. \end{aligned}$$

If $p = \infty$, then the assertion of the lemma is almost trivial.

Proof of Theorem 1. It is evident from Lemma 1 that α_p is nonincreasing on $(0, \infty]$. Let $p_0 \in (0, \infty]$. Since $\{f_p; c < p < p_0\}$ forms a normal family, where $0 < c < p_0$, we can choose a sequence $\{p_k\}$ which converges increasingly to p_0 so that f_{p_k} converges to some g uniformly on every compact subset of R as $k \rightarrow \infty$. It is easily shown that $g(t) = 0$ and $g'(t) \geq \alpha_{p_0}$. By Lemma 4, we see

$$\|g\|_p \leq \varliminf_{k \rightarrow \infty} \|f_{p_k}\|_p \leq \lim_{k \rightarrow \infty} \|f_{p_k}\|_{p_k} = 1,$$

for any $p < p_0$. Then, by Lemma 2, we see that $g \in H_{p_0}^0$, and hence g is an extremal function for $H_{p_0}^0$ and $\lim_{p \uparrow p_0} \alpha_p = \alpha_{p_0}$.

COROLLARY 1. *If $1 < p_0 < \infty$, then f_p converges to f_{p_0} uniformly on every compact subset of R as $p \uparrow p_0$.*

THEOREM 2. *If $1 < p_0 < \infty$, then $\lim_{p \uparrow p_0} \|f_p - f_{p_0}\|_p = 0$.*

Proof. Let $a = 1/2(p_0 + 1)$ and $b = p_0$. Let ε be any positive number. Applying Lemma 3, we can find a positive number δ such that if $a \leq p \leq b$, $f, g \in H_p(R)$, $\|f\|_p, \|g\|_p \leq 1$ and $\|1/2(f+g)\|_p \geq 1 - \delta$, then $\|f - g\|_p < \varepsilon$. Since f_p converges to f_{p_0} uniformly on every compact subset of R as $p \uparrow p_0$ by Corollary 1, we see by (5) and Fatou's lemma

$$\begin{aligned} \varliminf_{p \uparrow p_0} \left\| \frac{1}{2}(f_p + f_{p_0}) \right\|_p &\geq \varliminf_{p \uparrow p_0} \left(\int_{\partial R_m} \left| \frac{1}{2}(f_p + f_{p_0}) \right|^p d\mu_m \right)^{1/p} \\ &\geq \left(\int_{\partial R_m} |f_{p_0}|^{p_0} d\mu_m \right)^{1/p_0}, \end{aligned}$$

for any m . Letting $m \rightarrow \infty$, we have

$$\varliminf_{p \uparrow p_0} \left\| \frac{1}{2}(f_p + f_{p_0}) \right\|_p \geq \|f_{p_0}\|_{p_0} = 1.$$

Therefore we can find p_1 such that $\|1/2(f_p + f_{p_0})\|_p \geq 1 - \delta$ for $p_1 \leq p < p_0$. Thus we have $\|f_p - f_{p_0}\|_p < \varepsilon$.

THEOREM 3. If $1 < p_0 < \infty$, then the following conditions are equivalent:

- (a) α_p is continuous at p_0 .
 (b) $\lim_{p \downarrow p_0} \|f_p - f_{p_0}\|_{p_0} = 0$.

Proof. Suppose that (a) holds. Since $\{f_p; p > p_0\}$ forms a normal family, we can find a sequence $\{p_k\}$ which converges decreasingly to p_0 so that f_{p_k} converges to some g uniformly on every compact subset of R . Applying Lemma 1 and 4, we see $\|g\|_{p_0} \leq 1$. Since α_p is continuous at p_0 , we see $g'(t) = \alpha_{p_0}$. Then the uniqueness of f_{p_0} implies that $g = f_{p_0}$ and that f_p converges to f_{p_0} uniformly on every compact subset of R as $p \downarrow p_0$. Applying Lemma 4, we see

$$\lim_{p \downarrow p_0} \left\| \frac{1}{2}(f_p + f_{p_0}) \right\|_{p_0} \geq \|f_{p_0}\|_{p_0} = 1,$$

and hence the uniform convexity of $H_{p_0}(R)$ implies (b).

Next we assume that (b) holds. Then we see

$$\lim_{p \downarrow p_0} \alpha_p = \lim_{p \downarrow p_0} f'_p(t) = f'_{p_0}(t) = \alpha_{p_0}.$$

THEOREM 4. Let $0 < p_0 < \infty$. If $H_p(R)$ is dense in $H_{p_0}(R)$ for some p with $p_0 < p \leq \infty$, then α_p is continuous at p_0 .

Proof. Let $\{g_k\}$ be a sequence of functions in $H_p(R)$ such that $\lim_{k \rightarrow \infty} \|g_k - f_{p_0}\|_{p_0} = 0$. Since $\alpha_r \geq |g'_k(t)| / \|g_k - g_k(t)\|_r$ for any r with $p_0 < r \leq p$, we see

$$\lim_{r \downarrow p_0} \alpha_r \geq \lim_{r \downarrow p_0} |g'_k(t)| / \|g_k - g_k(t)\|_r = |g'_k(t)| / \|g_k - g_k(t)\|_{p_0},$$

for any k . Letting $k \rightarrow \infty$, we have $\lim_{r \downarrow p_0} \alpha_r \geq \alpha_{p_0}$.

COROLLARY 2. If D is a regular region (i. e. D is bounded by a finite number of disjoint analytic simple closed curves) in the extended complex plane, then α_p is continuous on $(0, \infty]$.

Proof. By Lemma 3.4 of Rudin's paper ([11], p. 57), $H_\infty(D)$ is dense in $H_p(D)$ for any $p \in (0, \infty]$.

Remark. It is known that for $0 < p < \infty$

$$O_p \subseteq \bigcap_{q > p} O_q,$$

where O_p denotes the class of all Riemann surfaces R for which $H_p(R)$ contains no functions but the constants ([7], p. 34). Therefore we see that there is a Riemann surface for which α_p is not necessarily continuous.

THEOREM 5. If D is a regular region in the extended complex plane, then $\lim_{r \rightarrow \infty} \|f_r - f_\infty\|_p = 0$ for any p with $0 < p < \infty$.

Proof. Since f_∞ is analytic on \bar{D} and $|f_\infty| = 1$ on ∂D ([1], [5], [6]), we see

that $\|f_\infty\|_p=1$ for $0 < p < \infty$. Then, applying Lemma 1 and 4, we have $\lim_{r \rightarrow \infty} \|f_r\|_p = 1$ for $0 < p < \infty$. Since we may assume $1 < p < \infty$, the uniform convexity of $H_p(D)$ implies $\lim_{r \rightarrow \infty} \|f_r - f_\infty\|_p = 0$.

Remark. We do not know whether Theorem 5 is valid or not for general regions.

§ 4. Condition for $\alpha_1 = \alpha_\infty$.

THEOREM 6. *If there are r and s such that $0 < r < s \leq \infty$ and $\alpha_r = \alpha_s$, then $\alpha_r = \alpha_\infty$.*

Proof. Since $f_s \in H_r^0$ by Lemma 1, we see

$$\alpha_s = \alpha_r \geq f'_s(t) = \alpha_s.$$

Thus, again by Lemma 1, we have $f_s \in H_\infty^0$, and hence $\alpha_r = \alpha_\infty$.

THEOREM 7. *Let $1 < p < \infty$. If $H_p(R)$ is dense in $H_1(R)$ and if $\alpha_p = \alpha_r$ for some r with $p < r \leq \infty$, then $\alpha_1 = \alpha_\infty$.*

Proof. We can regard $H_p(R)$ as a subspace of $L_p(C, (1/2\pi)d\theta)$ as we stated in the remark after Lemma 3. By Hahn-Banach theorem and the conjugate relation between L_p and L_q , where $1/p + 1/q = 1$, we can find a function $g \in L_q(C, (1/2\pi)d\theta)$ such that $\|g\|_q = \alpha_p$ and

$$f'(t) = \frac{1}{2\pi} \int_C f(e^{i\theta})g(e^{i\theta})d\theta$$

for any $f \in H_p^0$. Applying Lemma 1, we see that $|g| = \alpha_p$ a. e. on C . Since there are $g_k \in H_p(R)$, $k = 1, 2, \dots$, such that $\lim_{k \rightarrow \infty} \|g_k - f_1\|_1 = 0$,

$$\begin{aligned} \alpha_1 = f'_1(t) &= \lim_{k \rightarrow \infty} g'_k(t) = \lim_{k \rightarrow \infty} \frac{1}{2\pi} \int_C g_k(e^{i\theta})g(e^{i\theta})d\theta \\ &\leq \lim_{k \rightarrow \infty} \alpha_p \|g_k\|_1 = \alpha_p. \end{aligned}$$

Hence, by Theorem 6, we obtain $\alpha_1 = \alpha_\infty$.

COROLLARY 3. *Let D be a regular region in the extended complex plane. If there are r and s such that $0 < r < s \leq \infty$ and $\alpha_r = \alpha_s$, then $\alpha_1 = \alpha_\infty$.*

Remark. It is known that for $0 < p < \infty$

$$\bigcup_{q < p} O_q \not\subseteq O_p,$$

where O_p is as we stated in the remark after Theorem 4 ([7], p. 34). Then we see that there is a Riemann surface for which $\alpha_r = 0$ if $p \leq r \leq \infty$ but $\alpha_r > 0$ if $0 < r < p$.

§ 5. Another extremal problem.

In this section we consider a similar extremal problem without the restriction $f(t)=0$, that is, consider the problem of maximizing $|f'(t)|$ under the restrictions $f \in H_p(R)$ and $\|f\|_p \leq 1$. Let H_p^1 denote the unit ball of $H_p(R)$, and we put

$$\beta_p = \sup_{f \in H_p^1} |f'(t)|$$

for $0 < p \leq \infty$. A function $f \in H_p^1$ for which $f'(t) = \beta_p$ (such a function always exists) is called an extremal function for H_p^1 . It is evident that $\alpha_p \leq \beta_p$ for $0 < p \leq \infty$, and it is well known that $\alpha_\infty = \beta_\infty$ ([1]).

We can prove by a similar way the same propositions for this extremal problem as all the theorems and the corollaries before mentioned.

LEMMA 5. $\alpha_2 = \beta_2$.

Proof. Let f be the extremal function for H_2^1 , and we put $g(z) = f(z) - c$, where $c = f(t)$. Then we see by (5)

$$\begin{aligned} \|g\|_2^2 &= \lim_{m \rightarrow \infty} \int_{\partial R_m} |g|^2 d\mu_m \\ &= \lim_{m \rightarrow \infty} \int_{\partial R_m} (|f|^2 - \bar{c}f - c\bar{f} + |c|^2) d\mu_m \\ &= \|f\|_2^2 - |c|^2 \leq 1, \end{aligned}$$

and hence $\alpha_2 = \beta_2$.

Combining Corollary 3, $\alpha_\infty = \beta_\infty$ and Lemma 5, we have the following theorem:

THEOREM 8. Let D be a regular region in the extended complex plane. Then the following conditions are equivalent:

- (a) $\alpha_1 = \alpha_\infty$.
- (b) There are r and s such that $0 < r < s \leq \infty$ and $\alpha_r = \alpha_s$.
- (c) $\beta_1 = \beta_\infty$.
- (d) There are r and s such that $0 < r < s \leq \infty$ and $\beta_r = \beta_s$.

Remark. By Rudin's result ([11], p. 63), the conditions of Theorem 8 are also equivalent to the following condition:

- (e) The critical points of Green's function $G(z, t)$ for D , with pole at t , coincide, including multiplicity, with the zeros of f_∞ except t .

He also showed that for any ring domain D there is a point $t \in D$ for which $\alpha_1 = \alpha_\infty$. And he posed a problem whether there is such a point, if the connectivity of D is greater than 2 ([11], p. 64). The following example, which was given by the author and Suita [9], partially presents an affirmative answer to the problem.

Example. Let k be any positive integer and let

$$E_j = \{z; |z - e^{i(2\pi j/k)}| \leq \varepsilon\},$$

for $j=0, 1, \dots, k-1$, where ε is such a small positive number that E_j are pairwise disjoint. Let D be the domain obtained by removing $\bigcup_{j=0}^{k-1} E_j$ from the extended complex plane, and let $t=0$. Then it is easily shown, by the symmetry of D and the uniqueness of $G(z, 0)$ and f_∞ , that both the critical points of $G(z, 0)$ and the zeros of f_∞ except 0 are placed at ∞ with multiplicity $k-1$. Therefore the condition (e) in the previous remark is satisfied, and hence $\alpha_1 = \alpha_\infty$.

§ 6. Simply-connected region.

THEOREM 9. *Suppose that R is a simply-connected hyperbolic Riemann surface, then*

- (i) α_p is constant on $(0, \infty]$;
- (ii) f_p is unique and the same for $0 < p \leq \infty$.

Proof. Since the problem is conformally invariant, we may assume that $R=U$ and $t=0$. It is easily shown by Cauchy's integral formula that $\alpha_p=1$ and $f_p(z)=z$ for $1 \leq p \leq \infty$. Let $0 < p < 1$ and let g be any extremal function for H_p^0 . We put

$$(6) \quad h(z) = z(g(z)/B(z))^{\frac{1}{2}p}.$$

where $B(z)$ is the Blaschke product formed by the zeros of g . By the canonical factorization theorem ([3], p. 24, [9], p. 67), we see $h \in H_2^0$. On the other hand

$$|h'(0)| = \lim_{z \rightarrow 0} |h(z)/z| = |g'(0)/B_1(0)|^{\frac{1}{2}p} \geq \alpha_p^{\frac{1}{2}p},$$

where $B_1(z) = B(z)/z$. Hence we have that $\alpha_p=1$, $B(z)=z$ and $h(z)=f_2(z)=z$. Thus, by (6), we obtain $g(z)=z$.

Remark. Theorem 9 is not true for the other extremal problem considered in Section 5. In fact, if $R=U$, $t=0$ and $f(z)=1/2(z+1)^2$, then we easily see that $\|f\|_1=1$ and $f'(t)=1$. Since $\beta_p=1$ on $[1, \infty]$ by Theorem 8 and 9, f is an extremal function for H_1^1 , which distincts from f_∞ . Then, by Lemma 1, $\|f\|_p < 1$ for $0 < p < 1$, since $|f| \neq \text{const.}$ on C . Thus $\beta_p > \beta_1 = \beta_\infty$ and β_p is strictly decreasing on $(0, 1)$.

THEOREM 10. *Let D be a regular region in the extended complex plane. If $\alpha_{p_0} = \alpha_1$ for some p_0 with $0 < p_0 < 1$, then D is conformally equivalent to the unit disc U .*

Proof. By Theorem 6 we have $\alpha_1 = \alpha_\infty$, and hence the condition (e) in the remark after Theorem 8 is satisfied. Let k be the connectivity of D and we

assume $k \geq 2$. Let $G=G(z, t)$ be Green's function for D , with pole at t , and put $P=G+iH$, where H is the harmonic conjugate of G . Let t_1, \dots, t_{k-1} be the critical points of G , that is, the zeros of $P'dz$. It is well known that \bar{D} can be completed, by symmetrization, to a closed Riemann surface \hat{D} , which is called the double of \bar{D} . There is given an involutory, indirectly conformal mapping of \hat{D} onto itself which leaves every point on ∂D fixed, and the image of $z \in \bar{D}$ is denoted by \bar{z} . Let δ be the divisor defined by $\delta=t_1 \cdots t_{k-1} \bar{t}_1 \cdots \bar{t}_{k-1} t^{-1} \bar{t}^{-1}$. If two or more of $t_1 \cdots t_{k-1}$ coincide, we must modify the representation. But nothing in our proof is affected by such a change. Let \mathcal{L} be the complex vector space consisting of all functions meromorphic on \hat{D} which are multiples of δ^{-1} , and \mathcal{B} be that of all Abelian differentials on \hat{D} which are multiples of δ . By Riemann-Roch theorem [12], we see

$$(7) \quad \dim \mathcal{L} = \dim \mathcal{B} + (2(k-2) + 1 - (k-1)) = \dim \mathcal{B} + k - 2,$$

since the order of δ is $2(k-2)$ and the genus of \hat{D} is $k-1$. As usual, we can extend P' to a function meromorphic on \hat{D} , which is again denoted by P' . For any $\omega \in \mathcal{B}$, $h = \omega / (P'dz) = \text{const.}$ on \hat{D} , since h has no poles on \hat{D} , and hence $\dim \mathcal{B} = 1$. Then, by (7), we have $\dim \mathcal{L} = k - 1$. Therefore there exists a non-constant function $\phi \in \mathcal{L}$. If we put $g_1(z) = (\phi(z) + \overline{\phi(\bar{z})})/2$ and $g_2(z) = (\phi(z) - \overline{\phi(\bar{z})})/2i$ for $z \in \bar{D}$, then at least one of them, say g_1 , is non-constant on \bar{D} . It is evident that g_1 is meromorphic on \bar{D} , real-valued on ∂D and multiple of δ_1^{-1} , where δ_1 is the divisor defined by $\delta_1 = t_1 \cdots t_{k-1} t^{-1}$. Let $\phi(z) = (g_1(z) + K)/K$, where K is such a large positive number that $\phi \geq 0$ on ∂D , and let $f(z) = \phi(z)f_\infty(z)$. So we have

$$\begin{aligned} \|f\|_1 &= \frac{i}{2\pi} \int_{\partial D} |\phi(z)f_\infty(z)| P'(z) dz \\ &= \frac{i}{2\pi} \int_{\partial D} \phi(z) P'(z) dz = \phi(t) = 1, \end{aligned}$$

since $|f_\infty| = 1$ and $\phi \geq 0$ on ∂D . It is easily shown that $f'(t) = \alpha_1$ and $f(t) = 0$, that is, f is an extremal function for H_1^0 . Since ϕ is non-constant on ∂D , we see $\|f\|_{p_0} < 1$ by Lemma 1, and hence $\alpha_{p_0} > \alpha_1$. This contradiction shows $k=1$, and hence D is conformally equivalent to U .

Remark. If D is a regular region in the extended complex plane, then the set of all extremal functions for H_1^0 can be imbedded in \mathbf{R}^{k-1} as a convex compact subset with non-empty interior, where k is the connectivity of D ([9]).

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