

ON THE FUNDAMENTAL INEQUALITY FOR DEGENERATE SYSTEMS OF ENTIRE FUNCTIONS

Dedicated to Professor H. Ohtsuka on the occasion of his sixtieth birthday

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§1. Introduction

Let $f = (f_0, f_1, \dots, f_n)$ ($n \geq 1$) be a transcendental system in $|z| < \infty$. That is, f_0, f_1, \dots, f_n are entire functions without common zeros and the characteristic function of f defined by H. Cartan ([1]):

$$T(r, f) = \frac{1}{2\pi} \int_0^{2\pi} U(re^{i\theta}) d\theta - U(0),$$

where

$$U(z) = \max_{0 \leq j \leq n} \log |f_j(z)|,$$

satisfies the condition

$$\lim_{r \rightarrow \infty} \frac{T(r, f)}{\log r} = \infty.$$

Let X be a set of linear combinations ($\neq 0$) of f_0, f_1, \dots, f_n with coefficients in C in general position; that is, for any $n + 1$ elements

$$a_{0j}f_0 + a_{1j}f_1 + \dots + a_{nj}f_n \quad (j = 1, \dots, n + 1)$$

in X , $n + 1$ vectors $(a_{0j}, a_{1j}, \dots, a_{nj})$ are linearly independent, and

$$\lambda = \dim \{(c_0, c_1, \dots, c_n) \in C^{n+1}; c_0f_0 + c_1f_1 + \dots + c_nf_n = 0\}.$$

It is clear that $0 \leq \lambda \leq n - 1$. We note that, for any $n + 1$ elements F_0, F_1, \dots, F_n in X ,

$$\dim \{(c_0, c_1, \dots, c_n) \in C^{n+1}; c_0F_0 + c_1F_1 + \dots + c_nF_n = 0\}$$

is also equal to λ . We say that the system f is degenerate when $\lambda > 0$.

About fifty years ago, H. Cartan ([1]) proved

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THEOREM A. *When $\lambda = 0$, for any q combinations F_1, \dots, F_q in X ,*

$$(q - n - 1)T(r, f) \leq \sum_{j=1}^q N_n(r, 0, F_j) + S(r),$$

where $N_n(r, 0, F_j) = N_n(r, F_j)$ in [1] and

$$S(r) = O(\log r) + O(\log T(r, f))$$

as $r \rightarrow \infty$ except for a set of finite linear measure.

He also gave the following conjecture for $\lambda \geq 1$ (originally in the case of algebroid functions).

CONJECTURE OF CARTAN. *For any q combinations F_1, \dots, F_q in X ,*

$$(q - n - \lambda - 1)T(r, f) \leq \sum_{j=1}^q N_{n-\lambda}(r, 0, F_j) + S(r).$$

It is uncertain that this conjecture is true or not in general, except when $\lambda = n - 1$ ([1], p. 18). However, it is known that this holds in some special cases. For example,

THEOREM B. *For any $n + \lambda + 2$ combinations $F_1, \dots, F_{n+\lambda+2}$ in X ,*

$$T(r, f) \leq \sum_{j=1}^{n+\lambda+2} N_{n-\lambda}(r, 0, F_j) + S(r)$$

([5]).

This theorem shows that Cartan's conjecture holds when $q = n + \lambda + 2$.

The purpose of this paper is to prove that the conjecture is true when $\lambda = 1$. Besides, we shall give an improvement of a result of B. Shiffman ([3]).

We use the standard notation of the Nevanlinna theory (See [2]).

§2. Lemmas

Let f, X and λ be as in Section 1. In this section, we shall give some lemmas which will be used in Section 3.

LEMMA 1. *For H_1, \dots, H_k in X ($2 \leq k \leq n + 1 - \lambda$),*

$$m(r, \|H_1, \dots, H_k\|/H_1 \cdots H_k) = S(r),$$

where $\|H_1, \dots, H_k\|$ means the Wronskian of H_1, \dots, H_k (See [1]).

LEMMA 2. *For F_1, \dots, F_q in X ($q \geq n + 1$), let*

$$v(z) = \max_{(\beta_1, \dots, \beta_{q-n})} \log |F_{\beta_1}(z) \cdots F_{\beta_{q-n}}(z)|,$$

where $\beta_1, \dots, \beta_{q-n}$ are mutually disjoint $q - n$ numbers from $\{1, 2, \dots, q\}$. Then,

$$(q - n)T(r, f) \leq \frac{1}{2\pi} \int_0^{2\pi} v(re^{i\theta})d\theta + O(1)$$

(See [4], Lemma 3).

LEMMA 3. For any G_1, \dots, G_q in X ($q \geq n + 1$), put

$$u(z) = \min_{j_1 < \dots < j_{n+1-\lambda}} \log |G_{j_1}(z) \cdots G_{j_{n+1-\lambda}}(z)|,$$

where $G_{j_1}, \dots, G_{j_{n+1-\lambda}}$ are linearly independent and in $\{G_j\}$. Then,

$$-S(r) \leq \frac{1}{2\pi} \int_0^{2\pi} u(re^{i\theta})d\theta.$$

Proof. We suppose without loss of generality that $f_0, f_1, \dots, f_{n-\lambda}$ are linearly independent. For an arbitrarily fixed $z = re^{i\theta}$, we may suppose that

$$|G_1(z)| \leq |G_2(z)| \leq \dots \leq |G_q(z)|$$

for brevity. Then, there are $G_{j_1}, \dots, G_{j_{n+1-\lambda}}$ ($1 \leq j_1 < \dots < j_{n+1-\lambda} \leq n + 1$) which are linearly independent and satisfy

$$u(z) = \log |G_{j_1}(z) \cdots G_{j_{n+1-\lambda}}(z)|.$$

As

$$\|G_{j_1}, \dots, G_{j_{n+1-\lambda}}\| = c \|f_0, \dots, f_{n-\lambda}\| \quad (c \neq 0, \text{ constant}),$$

we have

$$\frac{G_{j_1} \cdots G_{j_{n+1-\lambda}}}{\|G_{j_1}, \dots, G_{j_{n+1-\lambda}}\|} = \frac{G_{j_1} \cdots G_{j_{n+1-\lambda}}}{c \|f_0, \dots, f_{n-\lambda}\|},$$

so that

$$\log \|f_0, \dots, f_{n-\lambda}\| \leq u(z) + \sum_{j_1, \dots, j_{n+1-\lambda}=1}^q \log^+ \left| \frac{\|G_{j_1}, \dots, G_{j_{n+1-\lambda}}\|}{G_{j_1} \cdots G_{j_{n+1-\lambda}}} \right| + O(1),$$

where $O(1)$ is a constant dependent only on G_1, \dots, G_q . This inequality holds for any z . Integrating with respect to θ from 0 to 2π and dividing by 2π , we obtain

$$N(r, 0, \|f_0, \dots, f_{n-\lambda}\|) \leq \frac{1}{2\pi} \int_0^{2\pi} u(re^{i\theta})d\theta + S(r),$$

which includes the desired inequality.

According to B. Shiffman ([3]), we let \mathcal{E}_ρ denote the ring of entire functions of the form

$$g(z) = \sum_{k=1}^p \phi_k(z) \exp P_k(z)$$

where the P_k are polynomials of degree at most ρ and the ϕ_k are meromorphic functions in $|z| < \infty$ such that

$$T(r, \phi_k) = o(r^\rho) \quad (r \rightarrow \infty).$$

Moreover, according to Definition 1 ([3]), we say that a system $f = (f_0, \dots, f_n)$ is of special exponential type of order ρ ($0 < \rho < \infty$) if

$$c_1 r^\rho < T(r, f) < c_2 r^\rho \quad \text{as } r \rightarrow \infty,$$

where c_1 and c_2 are positive constants, and if f_0, \dots, f_n belong to \mathcal{E}_ρ .

LEMMA 4. *Let $h = (h_1, \dots, h_N)$ be of special exponential type of order ρ such that $h_j \neq 0$ for $1 \leq j \leq N$. Then,*

$$\frac{1}{2\pi} \int_0^{2\pi} \log \sum_{j=1}^N (1/|h_j(re^{i\theta})|)d\theta \leq \frac{1}{2\pi} \int_0^{2\pi} \log \sum_{j=1}^N |h_j(re^{i\theta})| d\theta + o(r^\rho)$$

as $r \rightarrow \infty$ ([3], Lemma 2).

§3. Theorems

Let f, X and λ be as in Section 1.

THEOREM 1. *When $\lambda = 1$, for any q ($q \geq n + 2$) combinations F_1, \dots, F_q in X ,*

$$(q - n - 2)T(r, f) \leq \sum_{j=1}^q N_{n-1}(r, 0, F_j) + S(r).$$

Proof. We may suppose that f_1, \dots, f_n are linearly independent without loss of generality since $\lambda = 1$. Now, there exists an integer k such that any k elements in $X_0 = \{F_j\}_{j=1}^q$ are linearly independent, but some $k + 1$ elements in X_0 are linearly dependent. It is clear that $1 \leq k \leq n$. For an arbitrarily fixed $z = re^{i\theta}$ ($r > 0$), let K_1, \dots, K_{n+1} be $n + 1$ elements of X_0 such that $|K_1(z)|, \dots, |K_{n+1}(z)|$ are the smallest $n + 1$ elements of

$\{|F_1(z)|, \dots, |F_q(z)|\}$. As $\lambda = 1$, we suppose without loss of generality that K_1, \dots, K_n are linearly independent and

$$K_{n+1} = \alpha_1 K_1 + \dots + \alpha_m K_m \quad (m \geq k, \alpha_1 \dots \alpha_m \neq 0).$$

Put

$$W_0 = \|K_1, \dots, K_n\| \prod_{j=1}^k \|K_1, \dots, K_{j-1}, K_{n+1}, K_{j+1}, \dots, K_n\|,$$

then, $W_0 \neq 0$ and in W_0 , K_1, \dots, K_k and K_{n+1} appear k times and K_{k+1}, \dots, K_n appear $k + 1$ times. Since

$$\|K_1, \dots, K_n\| = c_1 \|f_1, \dots, f_n\|,$$

where c_1 is a constant ($\neq 0$), we have the equality

$$(1) \quad \frac{(F_1 \dots F_q)^k}{W_0} = \frac{(F_1 \dots F_q)^k}{c \|f_1, \dots, f_n\|^{k+1}} \quad (c = c_1^{k+1} \alpha_1 \dots \alpha_k)$$

so that we obtain the following inequality as usual (cf. [1], [4]):

$$k(q - n - 1)U(z) \leq k \sum_{j=1}^q \log |F_j(z)| + \sum_{j_1, \dots, j_n=1}^q \log^+ \left| \frac{\|F_{j_1}, \dots, F_{j_n}\|}{F_{j_1} \dots F_{j_n}} \right| + (n - k)U(z) - (k + 1) \log \|f_1, \dots, f_n\| + O(1),$$

where $O(1)$ is a constant depending only on X_0 . This inequality holds for every z , so that, integrating with respect to θ from 0 to 2π and dividing by 2π , we obtain

$$k(q - n - 1)T(r, f) \leq k \sum_{j=1}^q N(r, 0, F_j) + (n - k)T(r, f) - (k + 1)N(r, 0, \|f_1, \dots, f_n\|) + S(r)$$

by Lemma 1; that is,

$$(2) \quad \begin{aligned} & (q - n - 1 - (n - k)/k)T(r, f) \\ & \leq \sum_{j=1}^q N(r, 0, F_j) - (1 + 1/k)N(r, 0, \|f_1, \dots, f_n\|) \\ & + S(r) \leq \sum_{j=1}^q N_{n-1}(r, 0, F_j) + S(r). \end{aligned}$$

We have the last inequality by calculating the multiplicity of zero at z of the righthand side of (1) as in the case of the fundamental theorem of Cartan ([1], p. 14).

I. Therefore, when $(n - k)/k \leq 1$, that is, $n/2 \leq k$, we have the theorem.

II. Next, we prove this theorem when $1 \leq k < n/2$. To begin with, we note that there exists an element G in X_0 such that any $n - k$ elements in $X_0 - \{G\}$ are linearly independent. Indeed, let G, H_1, \dots, H_k be $k + 1$ elements in X_0 which are linearly dependent, then G may be represented by H_1, \dots, H_k :

$$G = d_1 H_1 + \dots + d_k H_k \quad (d_1 \dots d_k \neq 0)$$

because of the definition of the number k . If there exist I_1, \dots, I_{n-k} in $X_0 - \{G\}$ which are linearly dependent, there are at least two distinct linear relations among $G, H_1, \dots, H_k, I_1, \dots, I_{n-k}$. This is a contradiction to the hypothesis of $\lambda = 1$. Let

$$X_0 - \{G\} = \{G_1, G_2, \dots, G_{q-1}\}.$$

For a fixed $z = re^{i\theta} (\neq 0)$, we may suppose for brevity that

$$|G_j(z)| \leq |G_{n+1}(z)| \leq \dots \leq |G_{q-1}(z)| \quad (j = 1, \dots, n).$$

We consider the following two cases.

(i) The case when G_1, \dots, G_n are linearly dependent.

Let, for example, without loss of generality

$$G_n = \beta_1 G_1 + \dots + \beta_\nu G_\nu \quad (\beta_1 \dots \beta_\nu \neq 0)$$

then $\nu \geq n - k$ and G_1, \dots, G_{n-1}, G are linearly independent. Consider the following product

$$W_1 = \|G_1, \dots, G_{n-1}, G\| \prod_{j=1}^{n-k} \|G_1, \dots, G_{j-1}, G_n, G_{j+1}, \dots, G_{n-1}, G\|.$$

Then, $W_1 \neq 0$ and in W_1, G_1, \dots, G_{n-k} appear $n - k$ times and $G_{n+1-k}, \dots, G_{n-1}, G$ appear $n + 1 - k$ times. As in (1), we obtain

$$(3) \quad \frac{(G_1 \dots G_{q-1})^{n-k}}{W_1} = \frac{(G_1 \dots G_{q-1})^{n-k}}{c_1 \|f_1, \dots, f_n\|^{n+1-k}} \quad (c_1 \neq 0, \text{ constant})$$

so that we have the following inequality:

$$\begin{aligned} (n - k)v_1(z) &\leq (n - k) \sum_{j=1}^{q-1} \log |G_j(z)| + (n - k) \log |G(z)| + kU(z) \\ &\quad + \sum_{j_1, \dots, j_n=1}^q \log^+ \left| \frac{\|F_{j_1}, \dots, F_{j_n}\|}{F_{j_1} \dots F_{j_n}} \right| \\ &\quad - (n + 1 - k) \log \|f_1, \dots, f_n\| + O(1), \end{aligned}$$

where $v_1(z)$ is equal to $v(z)$ given in Lemma 2 for G_1, \dots, G_{q-1} and $O(1)$ is dependent only on X_0 .

As

$$\log |G(z)| \leq U(z) + O(1)$$

and $n - k > k$, we have

$$(n - k) \log |G(z)| + kU(z) \leq k \log |G(z)| + (n - k)U(z) + O(1).$$

Therefore,

$$(4) \quad \begin{aligned} (n - k)v_1(z) &\leq (n - k) \sum_{j=1}^{q-1} \log |G_j(z)| + k \log |G(z)| + (n - k)U(z) \\ &- (n + 1 - k) \log \|f_1, \dots, f_n\| \\ &+ \sum_{j_1, \dots, j_n=1}^q \log^+ \left| \frac{\|F_{j_1}, \dots, F_{j_n}\|}{F_{j_1} \dots F_{j_n}} \right| + O(1). \end{aligned}$$

(ii) The case when G_1, \dots, G_n are linearly independent.

In this case G can be represented by G_1, \dots, G_n ; that is, without loss of generality we may write

$$G = \gamma_1 G_1 + \dots + \gamma_\mu G_\mu \quad (\mu \geq k, \gamma_1 \dots \gamma_\mu \neq 0).$$

Consider the following product

$$W_2 = \|G_1, \dots, G_n\|^{n+1-2k} \prod_{j=1}^k \|G_1, \dots, G_{j-1}, G, G_{j+1}, \dots, G_n\|.$$

Then, $W_2 \neq 0$ and in W_2 , G_1, \dots, G_k appear $n - k$ times, G_{k+1}, \dots, G_n appear $n + 1 - k$ times and G appears k times. As in (3), it holds the following equality:

$$(5) \quad \frac{(G_1 \dots G_{q-1})^{n-k}}{W_2} = \frac{(G_1 \dots G_{q-1})^{n-k}}{c_2 \|f_1, \dots, f_n\|^{n+1-k}} \quad (c_2 \neq 0, \text{ constant})$$

from which we obtain the following inequality:

$$(6) \quad \begin{aligned} (n - k)v_1(z) &\leq (n - k) \sum_{j=1}^{q-1} \log |G_j(z)| + k \log |G(z)| + (n - k)U(z) \\ &- (n + 1 - k) \log \|f_1, \dots, f_n\| \\ &+ \sum_{j_1, \dots, j_n=1}^q \log^+ \left| \frac{\|F_{j_1}, \dots, F_{j_n}\|}{F_{j_1} \dots F_{j_n}} \right| + O(1). \end{aligned}$$

In both cases (i) and (ii), we obtain the same inequality (4) or (6) which holds for any $z (\neq 0)$. Integrating the inequality with respect to θ from

0 to 2π , dividing by 2π and applying Lemmas 1 and 2, we have

$$(n - k)(q - n - 1)T(r, f) \leq (n - k) \sum_{j=1}^{q-1} N(r, 0, G_j) + kN(r, 0, G) + (n - k)T(r, f) - (n + 1 - k)N(r, 0, \|f_1, \dots, f_n\|) + S(r),$$

that is,

$$(7) \quad \begin{aligned} (q - n - 2)T(r, f) &\leq \sum_{j=1}^{q-1} N(r, 0, G_j) + kN(r, 0, G)/(n - k) \\ &- (1 + 1/(n - k))N(r, 0, \|f_1, \dots, f_n\|) \\ &+ S(r) \leq \sum_{j=1}^q N_{n-1}(r, 0, F_j) + S(r). \end{aligned}$$

We can easily prove the last inequality using the following inequality (8). Let m_j be the multiplicity of zero of G_j at z ($j = 1, \dots, q - 1$) and m that of G at z , then we obtain

$$(8) \quad \begin{aligned} \text{the multiplicity of zero of } &\frac{(G_1 \cdots G_{q-1})^{n-k} G^k}{\|f_1, \dots, f_n\|^{n+1-k}} \\ &\leq (n - k) \sum_{j=1}^{q-1} \min(m_j, n - 1) + k \min(m, n - 1) \end{aligned}$$

applying the method used in the proof of the fundamental theorem of Cartan ([1]) to

$$\frac{(G_1 \cdots G_{q-1})^{n-k} G^k}{W_j} = \frac{(G_1 \cdots G_{q-1})^{n-k} G^k}{c_j \|f_1, \dots, f_n\|^{n+1-k}} \quad (j = 1 \text{ or } 2).$$

Thus the proof of our theorem is complete.

COROLLARY 1. *Under the same assumption as in Theorem 1,*

$$(9) \quad \sum_{F \in X} \delta(F) \leq n + 2.$$

If the equality holds in (9) and if n is odd, there are at least two F in X for which $\delta(F) = 1$. Here, $\delta(F) = 1 - \limsup_{r \rightarrow \infty} N(r, 0, F)/T(r, f)$.

Proof. We can prove easily (9) as usual. Now, suppose that n is odd and

$$\sum_{F \in X} \delta(F) = n + 2.$$

In the sequel in this proof, we use the same notation as in the proof of

Theorem 1. Let ε be any positive number smaller than $1/n$. Then, there are F_1, \dots, F_q in X for which $\delta(F_j) > 0$ ($j = 1, \dots, q$) and such that

$$(10) \quad n + 2 - \varepsilon < \sum_{j=1}^q \delta(F_j).$$

Then for $X_0 = \{F_1, \dots, F_q\}$, $k < n/2$. Because, if $k \geq n/2$, then $k \geq (n + 1)/2$ since n is odd and from (2) we have

$$\sum_{j=1}^q \delta(F_j) \leq n + 1 + (n - k)/k \leq n + 2 - 2/(n + 2),$$

which contradicts (10).

There are G, H_1, \dots, H_k in X_0 such that

$$G = d_1 H_1 + \dots + d_k H_k \quad (d_1 \dots d_k \neq 0)$$

as in II. Suppose

$$\delta = \min \{ \delta(G), \delta(H_1), \dots, \delta(H_k) \} < 1$$

and let ε' be any positive number smaller than $(1 - \delta)/n$. Let X_1 be a finite subset of X which contains X_0 such that

$$(11) \quad n + 2 - \varepsilon' < \sum_{F \in X_1} \delta(F).$$

Then any $k + 1$ elements in X_1 which are not in coincidence with $\{G, H_1, \dots, H_k\}$ are linearly independent as $k \leq (n - 1)/2$ and $\lambda = 1$. Indeed, if there are $k + 1$ elements I_1, \dots, I_{k+1} in X_1 which are linearly dependent and don't coincide with $\{G, H_1, \dots, H_k\}$, then $2(k + 1) \leq n + 1$ and there are at least two linearly independent linear relations among $G, H_1, \dots, H_k, I_1, \dots, I_{k+1}$. That is, $\lambda \geq 2$, which is a contradiction

Now, as is easily seen, we can use any one of $\{H_j\}_{j=1}^k$ instead of G in II so that from the first inequality in (7), we have

$$\sum_{F \in X_1} \delta(F) \leq n + 1 + (n - 2k)(1 - \delta)/(n - k),$$

which contradicts (11). This shows that δ must be equal to 1 and so

$$\delta(G) = \delta(H_1) = \dots = \delta(H_k) = 1.$$

This completes the proof.

THEOREM 2. *Suppose that f is of special exponential type of order ρ . Then for any F_1, \dots, F_q in X ,*

$$(q - n - \lambda - 1)T(r, f) \leq \sum_{j=1}^q N(r, 0, F_j) + o(T(r, f)) + S(r).$$

Proof. We have only to prove this theorem when $q \geq n + \lambda + 2$. Let $h_1 = F_1 F_2 \cdots F_\lambda$, $h_2 = F_1 \cdots F_{\lambda-1} F_{\lambda+1}, \dots, h_N = F_{q+1-\lambda} \cdots F_q$ ($N = \binom{q}{\lambda}$). Then, $h_j \neq 0$ and $h = (h_1, \dots, h_N)$ is a system of special exponential type of order ρ . Now, for an arbitrarily fixed $z = re^{i\theta}$ ($\neq 0$), we suppose without loss of generality that

$$|F_1(z)| \leq |F_2(z)| \leq \cdots \leq |F_q(z)|.$$

Then

$$u(z) + (q - n - 1)U(z) \leq \sum_{j=1}^q \log |F_j(z)| + \log \sum_{j=1}^N |1/h_j(z)| + O(1),$$

where $O(1)$ is dependent only on $\{F_j\}_{j=1}^q$, so that we have by Lemmas 3 and 4

$$(q - n - 1)T(r, f) \leq \sum_{j=1}^q N(r, 0, F_j) + \frac{1}{2\pi} \int_0^{2\pi} \log \sum_{j=1}^N |h_j(re^{i\theta})| d\theta + o(r^\rho) + S(r).$$

Here we use the following inequalities

$$|h_j(z)| \leq a_j \exp \lambda U(z) \quad (j = 1, \dots, N),$$

where a_j are constants. These are true because

$$|F_\nu(z)| \leq b_\nu \max_{0 \leq j \leq n} |f_j(z)| \quad (\nu = 1, \dots, q)$$

and

$$|h_j(z)| \leq a_j (\max_{0 \leq j \leq n} |f_j(z)|)^\lambda = a_j \exp \lambda U(z) \quad (j = 1, \dots, N).$$

That is, we obtain

$$(q - n - \lambda - 1)T(r, f) \leq \sum_{j=1}^q N(r, 0, F_j) + o(r^\rho) + S(r),$$

which is the desired inequality.

COROLLARY 2. *Under the same assumption of Theorem 2,*

$$\sum_{F \in X} \delta(F) \leq n + \lambda + 1.$$

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