

A Geometric Maximum Principle for Surfaces of Prescribed Mean Curvature in Riemannian Manifolds^{o)}

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Sei M eine dreidimensionale Riemannsche Mannigfaltigkeit und f eine Fläche vorgeschriebener mittlerer Krümmung, die in einer Menge $J \cup S \subset M$ mit S als Rand beschränkter mittlerer Krümmung \mathfrak{H} liegt. Unter natürlichen Bedingungen wird bewiesen, daß S völlig in J liegt. Als unmittelbare Konsequenz dieses Resultats ergibt sich eine hinreichende Bedingung für die Existenz von Minimalflächen in einer Menge $J \subset \mathbb{R}^3$, deren Rand S nicht \mathfrak{H} -konvex ist.

Пусть M трёхмерное римановое многообразие и пусть f поверхность предписанной средней кривизны и лежащая в множестве $J \cup S \subset M$ с краём S ограниченной средней кривизны \mathfrak{H} . При естественных условиях доказывается, что S лежит полностью в J . Как непосредственное следствие получается достаточное условие существования минимальных поверхностей в множестве $J \subset \mathbb{R}^3$ край которых не \mathfrak{H} -выпукло.

Let M be a three-dimensional Riemannian manifold and let f be some surface of prescribed mean curvature which is restricted to lie in some set $J \cup S \subset M$ with boundary S of bounded mean curvature \mathfrak{H} . Assuming natural conditions, we prove that the image of f lies completely in J . An immediate consequence of this result is a sufficient condition for the existence of minimal surfaces in a set $J \subset \mathbb{R}^3$, the boundary S of which is not \mathfrak{H} -convex.

0. Introduction

In this paper we shall derive an inclusion theorem for surfaces f of prescribed mean curvature H in a three-dimensional Riemannian manifold M . The decisive quantities which are involved in our result are the absolute values of both, the prescribed mean curvature H and the mean curvature \mathfrak{H} of the boundary S of some including set J , the area of the surface f and the distance from the boundary of f to S . To be more precise, if $f: \Omega \rightarrow J \cup S \subset M$ is some conformally parametrized surface which is of prescribed mean curvature H in the interior J ; then there exists some constant $c = c(A, \tau, \kappa, R)$ depending only on $A = \max\{|H|_0, |\mathfrak{H}|_0\}$, the injectivity radius τ , an upper bound for the sectional curvature κ and the distance $R = \text{dist}_M(f(\partial\Omega), S)$ such that $f(\bar{\Omega}) \subset \text{int } J$ provided the area of f is smaller than c .

Thus the main emphasis of the theorem, which also distinguishes this result from the $\mathfrak{H} - A$ maximum principle by HILDEBRANDT [11], and GULLIVER and SPRUCK [7], is the fact that the inward mean curvature \mathfrak{H} of the boundary S need not be greater than the absolute value of the prescribed mean curvature H . In particular we allow obstacles S the (inward) mean curvature \mathfrak{H} of which is negative. Exterior domains are therefore typical examples which fit in our framework.

The analytic tool for the proof of our theorem is an estimate by GRÜTER [5], who used a method from geometric measure theory to prove a pulled back version of the standard monotonicity formula.

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In view of certain existence-regularity results of HILDEBRANDT and KAUL [13] and HILDEBRANDT [12] a direct consequence of the inclusion theorem is a new existence result for minimal surfaces in \mathbb{R}^3 , which are restricted to lie in J (Proposition 1). Again we are interested in cases where S is not \mathfrak{S} -convex (i.e. $\mathfrak{S} \geq 0$ is not satisfied). If $A_{\Gamma, J}$ is the infimum of area of surfaces spanned by the curve Γ in J , then the condition is that $|\mathfrak{S}|_0 < \{-1/4R^2 + \pi/2A_{\Gamma, J}\}^{1/2} - 1/2R$. Two examples illustrate this result. Another application of Theorem 1 appears in Proposition 2, which sharpens a result of BÖHME, HILDEBRANDT and TAUSCH [1: Theorems 12, 13] concerning the existence of extremals for the integral $E(x) = \int x_3 |\nabla x(u, v)|^2 du dv$. Again a smallness condition on the quantity $A_{\Gamma, J}$ implies existence of an extremal for E .

A further application is treated in [3].

1. Notations and results

We shall adopt here the definition of H -surfaces in Riemannian manifolds given by HILDEBRANDT and KAUL [13], but, in short, repeat the basic concept. Let M be a complete, connected and orientable Riemannian manifold of differentiability class three and $\Omega \subset \mathbb{R}^2$ be an open, connected and bounded set with Lipschitz boundary $\partial\Omega$ and with standard Euclidean metric, put $w = u + iv$, and $u = u_1, v = u_2$. The Levi-Civita connection on M will be denoted by D ; furthermore $d: M \times M \rightarrow \mathbb{R}$ stands for the distance function on M and $\|\cdot\|, \langle \cdot, \cdot \rangle$, denote the norm and the scalar product on $T_p M$, respectively. A function $f: \Omega \rightarrow M$ belongs to the class $H_2^1(\Omega, M)$ if $f \in H_2^1(\Omega, \mathbb{R}^N)$ and $f(\Omega - N) \subset M, N \subset \Omega$ denoting some null set (cp. [5: (2.1) Def.]). Here M is thought to be isometrically embedded into some \mathbb{R}^N , and $H_2^1(\Omega, \mathbb{R}^N)$ stands for the Sobolev space of $L_2(\Omega, \mathbb{R}^N)$ -functions the derivatives of which are again in L_2 . The classes $H_2^2(\Omega, M)$ are defined similarly.

In the following let M be three-dimensional and $\varphi: U \rightarrow \mathbb{R}^3$ denote some chart of an open set $U \subset M$. Then x stands for the representation of f corresponding to that chart. Furthermore, with respect to these coordinates, g_{ik} and Γ_{ij}^k denote the coefficients of the metric and the Christoffel symbols, respectively. Put $g := \det g_{ik}$ and $g^{ik} := (g_{ik})^{-1}$. Consider now a function $\sigma \in C^2(M, \mathbb{R})$ and its level surface $S_c := \{p \in M: \sigma(p) = c\}$, for $c \in \mathbb{R}$, as well as its "interior" $J_c := \{p \in M: \sigma(p) < c\}$. Note that S_c is regular at p , provided $\text{grad}_p \sigma \neq 0$. As usual the gradient vector field $\text{grad}_p \sigma$ for $p \in M$ is given by $\langle \text{grad}_p \sigma, V \rangle = V\sigma$ for any $V \in T_p M$. Also the Hessian tensor $\text{Hess } \sigma$, the Hessian bilinear form $\text{hess } \sigma$ and the Laplacian $\text{Lap } \sigma$ are defined by

$$\text{Hess}_p \sigma V = D_V \text{grad}_p \sigma, \quad p \in M, V \in T_p M,$$

$$\text{hess}_p \sigma(V, W) = \langle \text{Hess}_p \sigma V, W \rangle, \quad V, W \in T_p M,$$

$$\text{Lap}_p \sigma = \text{trace}(\text{Hess}_p \sigma).$$

The mean curvature $\mathfrak{S}(p)$ of S_c at p with respect to the "interior normal" — $\text{grad}_p \sigma / \|\text{grad}_p \sigma\|$ is defined by

$$\mathfrak{S}(p) = \frac{1}{2 \|\text{grad}_p \sigma\|} \left\{ \text{Lap } \sigma(p) - \frac{1}{\|\text{grad}_p \sigma\|^2} \text{hess}_p \sigma(\text{grad}_p \sigma, \text{grad}_p \sigma) \right\}.$$

Consider a mapping $f \in H_{2, \text{loc}}^2(\Omega, M) \cap H_2^1(\Omega, M)$ and let $H = H(f)$ be a function of class $L_\infty(\Omega, \mathbb{R})$. Then f is called an H -surface if it satisfies the equation

$$D_{U_\alpha} f_\star(U_\alpha) = 2H(f(w)) f_\star(U_1) \times f_\star(U_2) \quad (1)$$

and $\|f_*(U_1)\| = \|f_*(U_2)\|$, $\langle f_*(U_1), f_*(U_2) \rangle = 0$ a.e. in Ω . Here U_1, U_2 denote the basis fields with respect to u_1, u_2 and $f_*: T\Omega \rightarrow TM$ is the induced mapping of the tangent bundles. Moreover “ \times ” denotes the cross product on T_pM . Let $w_0 \in \Omega$ and $\Omega_1 \subset \Omega$ be a neighbourhood of w_0 such that $f(\Omega_1)$ is contained in some coordinate neighbourhood $U \subset M$ with some chart $\varphi: U \rightarrow \mathbb{R}^3$. If $x = \varphi \circ f$ is the representation of f , then (1) implies

$$\Delta x^l + \Gamma_{ij}^l x_u^i x_v^j = 2H(x(w)) g^{lk} \sqrt{g(x_u \wedge x_v)_k} \quad \text{a.e. on } \Omega_1 \quad (l = 1, 2, 3),$$

$$g_{ij}(x) x_u^i x_u^j = g_{ij}(x) x_v^i x_v^j, \quad g_{ij}(x) x_u^i x_v^j = 0 \quad \text{a.e. on } \Omega_1.$$

Here $\Delta = \partial^2/\partial u^2 + \partial^2/\partial v^2$ denotes the (Euclidean) Laplacian. Note that H -surfaces are also weak H -surfaces in the sense of [5: cp. (3.5) Def.]. Moreover we use the abbreviations $D(f) = \int_{\Omega} g_{ij}(x) D_\alpha x^i D_\alpha x^j du dv$ and $\Gamma = f(\partial\Omega)$ to denote the Dirichlet

integral and the boundary of f , respectively. Finally, put $R = \text{dist}(\Gamma, S_c) = \inf\{d(\xi, \eta) : \xi \in \Gamma, \eta \in S_c\}$, $A(f) = \text{area of } f$, $\lambda = \max\{|H|_{0,\Omega}, |\mathfrak{S}|_{0,S_c}\}$, where

$$|H|_{0,\Omega} = \text{ess sup}_{\Omega} |H(f(w))| \quad \text{and} \quad |\mathfrak{S}|_{0,S_c} = \sup_{S_c} |\mathfrak{S}(\xi)|.$$

Let τ be the injectivity radius on $f(\Omega)$ and κ denote an upper bound for the sectional curvature on $f(\Omega)$ (for a precise definition and further properties concerning the injectivity radius and the sectional curvature we refer to GROMOLL, KLINGENBERG and MEYER [4]).

Theorem 1: *Let $\Omega, M, \sigma, J_c, S_c$ be defined as above. Assume that $f \neq \text{const}$ is some surface of class $H_2^1(\Omega, M) \cap C^0(\bar{\Omega}, M) \cap H_{2,\text{loc}}^2(\Omega, M)$ with the following properties:*

- (i) $f(\Omega) \subset J_c \cup S_c$,
- (ii) $D_U f_*(U_\alpha) = 2H(f) f_*(U_1) \times f_*(U_2)$ a.e. on $\Omega' := \Omega - \Omega^*$, where $\Omega^* = f^{-1}(S_c)$,
- (iii) $\|f_*(U_1)\| = \|f_*(U_2)\|$, $\langle f_*(U_1), f_*(U_2) \rangle = 0$ a.e. on Ω .

Then $f(\bar{\Omega}) \subset J_c$ provided that either of the cases I or II holds:

(I) $\kappa \leq 0$ and $A(f) < \frac{\pi \varrho^2}{1 + 2\lambda \varrho + 2^{\alpha-1}(2\lambda \varrho)^2}$, $\varrho := \min\{R, \tau\}$.

(II) $\kappa > 0$ and $A(f) < \frac{\pi \kappa^{-1}}{\frac{1}{\sin^2(\varrho \sqrt{\kappa})} + \frac{2\lambda \varrho}{\sin^2(\varrho \sqrt{\kappa})} + \frac{(2\lambda)^2}{\kappa}}$, $\varrho := \min\left\{R, \tau, \frac{\pi}{2\sqrt{\kappa}}\right\}$.

Furthermore f is of class $C^{k,\alpha}(\Omega, M)$ if M belongs to $C^{k+1,\alpha}$ and H is of class $C^{k-1,\alpha}(M, \mathbb{R})$, $k \geq 2$.

Remarks: 1. Since f is supposed to be continuous on $\bar{\Omega}$ we have $\tau > 0$ and $\kappa < \infty$. 2. If, in addition to the other hypotheses M is simply connected then case I holds with $\varrho = R$ provided that $\kappa \leq 0$. In fact, this is a consequence of a theorem of Hadamard and Cartan, cf. [4: Section 7.2/Satz]. 3. In view of (iii) we find that $D(f)/2 = \text{area of } f$. 4. The area of f can be estimated by $L^2(\Gamma)$, $L = \text{length of } \Gamma = f(\partial\Omega)$, plus suitable error terms, cf. [14].

The following corollaries are simple consequences of the theorem.

Corollary 1: *Suppose that M is a simply connected, complete and orientable Riemannian manifold of class C^3 with non-positive sectional curvature and let $f \in C^0(\bar{\Omega}, M) \cap H_{2,\text{loc}}^2(\Omega, M) \cap H_2^1(\Omega, M)$ satisfy conditions (i)–(iii) of Theorem 1 with $H \equiv 0$. Then*

¹⁾ Here and in the sequel we agree to sum over repeated latin indices $i, j, k \dots$ from 1 to 3 and over α, β from 1 to 2.

$f(\bar{\Omega}) \subset J_c$ is a minimal surface in M provided that, in addition, $A(f) < \pi R^2 / (1 + 2AR + 2^{-1}(2AR)^2)$ where $\Lambda = |\mathfrak{H}|_{0,S}$. (Note that $M = \mathbb{R}^3$ is possible.)

Corollary 2: Let the assumption of Theorem 1 hold with $\kappa \leq 0$ and assume

$$\Lambda < \sqrt{\pi/A(f)}. \text{ Then } f(\Omega) \subset J_c \text{ provided that } \sqrt{D} \frac{\Lambda \sqrt{D} + \sqrt{2\pi - \Lambda^2 D}}{2\pi - 2\Lambda^2 D} < \varrho, D = 2A(f).$$

Let $\Gamma \subset J \subset \mathbb{R}^3$ denote some closed Jordan arc, then the class $\mathfrak{C}(\Gamma, J)$ is defined by $\mathfrak{C}(\Gamma, J) := \{f \in H_2^1(B, \mathbb{R}^3) : f(\bar{B}) \subset \bar{J} \text{ a.e., } f|_{\partial B} : \partial B \rightarrow \Gamma \text{ is continuous and weakly monotonic}\}$, where $B = \{(u, v) : u^2 + v^2 < 1\}$. Put $A_{\Gamma,J} = 2^{-1} \inf \{D(f) : f \in \mathfrak{C}(\Gamma, J)\}$, then the existence-regularity results of [12, 13] together with Corollary 1 immediately lead to

Proposition 1: Let $\Gamma \subset \text{int } J$ be a closed Jordan curve with $\mathfrak{C}(\Gamma, J) \neq \emptyset$ and suppose $S = \partial J$ is of class C^3 , has bounded principal curvatures and a global parallel surface in J . If $\Lambda = |\mathfrak{H}|_{0,S}$ satisfies $\Lambda < \{-1/4R^2 + \pi/2A_{\Gamma,J}\}^{1/2} - 1/2R$, then there exists a minimal surface h in J , i.e. (i)–(iii) of Theorem 1 hold with $H \equiv 0, \Omega^* = \emptyset$.

Example 1: Let J be the torus of revolution which is generated by revolving the disk $(\xi_1 - a)^2 + \xi_2^2 < r^2$ about the ξ_2 -axis and assume Γ permits $\mathfrak{C}(\Gamma, J) \neq \emptyset$. For $r < a < 2r$ the torus $S = \partial J$ has regions of negative inward mean curvature and thus the $\mathfrak{H} - \Lambda$ maximum principle by HILDEBRANDT [11] and GULLIVER and SPRUCK [6, 7] cannot be applied to solutions of the variational problem $D(f) = \int |\nabla f(u, v)|^2 du dv \rightarrow \text{minimum in } \mathfrak{C}(\Gamma, J)$. On the other hand the maximum absolute value of the mean curvature of S is given by $A_0 = 2^{-1} \max \{(a + 2r)/r(a + r), |a - 2r|/r(a - r)\}$. Proposition 1 gives the existence of a minimal surface spanned by Γ in J provided $A_{\Gamma,J}$ and R satisfy $A_0 < \{-1/4R^2 + \pi/2A_{\Gamma,J}\}^{1/2} - 1/2R$. To obtain a numerical example one may assume further that Γ is contained in the torus of revolution that is generated by the disk $(\xi_1 - a)^2 + \xi_2^2 \leq (0.8r)^2$ and that $r = 2, a = 3$. Then $R = 2/5$ leads to the sufficient condition $A_{\Gamma,J} \leq 0.41$.

Example 2: Let $J = \{\xi \in \mathbb{R}^3 : |\xi| \geq 1\}$ be the exterior of the unit ball. Then $\mathfrak{H} = -1, \Lambda = 1$ and for $R \geq 1$ Proposition 1 gives the existence of a minimal surface spanned by Γ in J if $A_{\Gamma,J} < \pi/5$. Note that the critical value for $A_{\Gamma,J}$ in this configuration is 3π , since the disk spanned by the circle $\{\xi_3 = 1\} \cap \{|\xi| = 2\}$ has area 3π and touches $|\xi| = 1$ in $(0, 0, 1)$.

Now we are concerned with solutions of the degenerate system

$$\Delta x_1 = -\frac{1}{x_3} (\nabla x_1 \nabla x_3), \quad \Delta x_2 = -\frac{1}{x_3} (\nabla x_2 \nabla x_3), \quad \Delta x_3 = -\frac{1}{x_3} (\nabla x_3 \nabla x_3) + \frac{1}{2x_3} |\nabla x|^2 \tag{2}$$

which turns out to be the system of Euler equation for the integral $E(x) = \int x_3 |\nabla x(u, v)|^2 du dv, x = x(u, v)$. Special interest is given to the variational problem $E(\cdot) \rightarrow \text{minimum on } \mathfrak{C}(\Gamma, J), J \subset \{\xi_3 \geq 0\}$, since it describes surfaces of least potential energy under gravitational forces, cf. [1, 2] for various existence results. Proposition 2 improves the corresponding results Theorem 12, 13 in [1].²⁾

Proposition 2: Let $J = J_\varepsilon = \{\xi \in \mathbb{R}^3 : \xi_3 \geq \varepsilon\}, \varepsilon > 0$, and let $h(\Gamma) := \sup \{\xi_3 : \xi \in \Gamma\}$ denote the height of Γ . Assume that $f \in \mathfrak{C}(\Gamma, J_\varepsilon)$ is a solution of $E(\cdot) \rightarrow \text{minimum on } \mathfrak{C}(\Gamma, J_\varepsilon)$, and that either

$$A(f) = \frac{1}{2} \int_B |\nabla f|^2 du dv < \frac{\pi R^2 \varepsilon^2}{\varepsilon^2 + \varepsilon R + \frac{1}{2} R^2} \quad \text{or} \quad A_{\Gamma,J_\varepsilon} < \frac{\varepsilon}{h(\Gamma)} \frac{\pi R^2 \varepsilon^2}{\varepsilon^2 + \varepsilon R + \frac{1}{2} R^2}$$

²⁾ The constants $2^2 \pi \varepsilon^{-2} \varepsilon^2$ and $(\varepsilon/h) \pi (4\varepsilon/e)^2$ which appear in [1: Theorems 12, 13] have to be replaced by $2^2 \pi \varepsilon^{-2} \varepsilon^2$ and $(\varepsilon/h) \pi (2\varepsilon/e)^2$, because in Lemma 7 of that article \mathfrak{H} denotes 2-times the mean curvatures which is actually used by these authors.

Then $f = f(u, v)$ is contained in the open half space $\{\xi_3 > \varepsilon\}$ and furnishes an analytic solution of (2).

We now turn to the proof of Theorem 1: Let χ denote the characteristic function of $\Omega^* = f^{-1}(S_c)$ and put $A^*(w) = \chi(w) \mathfrak{F}(f(w)) + (1 - \chi(w)) H(f(w))$. Following an observation of HILDEBRANDT [11], which was also used in [2], we claim that

$$D_{U_\alpha} f_*(U_\alpha) = 2A^* f_*(U_1) \times f_*(U_2) \quad \text{a.e. on } \Omega. \tag{3}$$

In fact, (3) is obvious on $\Omega - \Omega^*$, while it is a consequence of the conformality relations on Ω^* . We refer to [2, 11] for explicit calculations. Introduce local coordinates $\varphi: U \rightarrow \mathbb{R}^3$, where $\Omega_1 \subset \Omega$ fulfils $f(\Omega_1) \subset U \subset M$, and let $x(w) = \varphi \circ f(w)$. Then (3) yields

$$\Delta x^l + \Gamma_{ij}^l (x_u^i x_u^j + x_v^i x_v^j) = 2A^*(w) \sqrt{g} g^{ln} (x_u \wedge x_v)^n \tag{4}$$

a.e. on Ω_1 and for $l = 1, 2, 3$. By virtue of $|A^*|_{0,\Omega} \leq A < \infty$ and arguments from L_p -theory one immediately infers $f \in H_{p,\text{loc}}^2(\Omega, M) \cap C^{1,\alpha}(\Omega, M)$, for all $p < \infty$ and $\alpha \in (0, 1)$. In view of $f \in C^1(\Omega, M)$ and (4) we see that $|\Delta x| \leq \text{const} |\nabla x|$ a.e. in $\tilde{\Omega}$ for every $\tilde{\Omega} \subset\subset \Omega$. Hence a technique of HARTMAN and WINTNER is applicable, cf. [8 to 10]. In particular one obtains the asymptotic expansions

$$2x_w(w) := x_u - ix_v = (a - ib) (w - w_0)^\nu + o(|w - w_0|^\nu) \tag{5}$$

for w close to $w_0 \in \Omega$. Here the vectors $a, b \in \mathbb{R}^3$ fulfil the conformality conditions $\|a\| = \|b\|, \langle a, b \rangle = 0$ and $\nu = \nu(w_0)$ stands for a non-negative integer. It is now proven as in [2: cf. Lemma 3.11] that (5) in turn implies the density estimate

$$\limsup_{\varrho \rightarrow 0} \frac{1}{\varrho^2} \int_{K_\varrho(w_0)} g_{ij}(x) D_a x^i D_a x^j du dv \geq 2\pi(\nu + 1) \tag{6}$$

where $K_\varrho(w_0) = \{w \in \Omega: d(f(w), f(w_0)) < \varrho\}$. Note that (6) holds for every $w_0 \in \Omega$, and for some $\nu \geq 0$. We are thus in a position to carry over a result of GRÜTER, compare [5: (3.10) Theorem].³

Lemma (cf. [5]): *Let f be as above, then the following assertions hold.*

a) *If $\kappa \leq 0$ and if $\inf_{\partial\Omega} d(f(w), f(w_0)) \geq r$ for some $w_0 \in \Omega$ where $0 < r \leq \tau$, then*

$$(\nu + 1) 2\pi r^2 \leq D(f) \{1 + 2Ar + 2^{-1}(2Ar)^2\}.$$

b) *If $\kappa > 0$ and if $\inf_{\partial\Omega} d(f(w), f(w_0)) \geq r$ for some $w_0 \in \Omega$ where $0 < r \leq \min\{\tau, \pi/2\sqrt{\kappa}\}$, then*

$$\frac{2\pi(\nu + 1)}{\kappa} \leq D(f) \left\{ \frac{1}{\sin^2(r\sqrt{\kappa})} + \frac{2Ar}{\sin^2(r\sqrt{\kappa})} + \frac{(2A)^2}{\kappa} \right\}.$$

Observe that the proof of the theorem in [5: (3.10)] applies to our situation even if w_0 is a branch point, i.e. $\nabla x(w_0) = 0$. In fact in this case w_0 may not belong to the class of "good" points, compare the definition of the set A in [5]. However, in view

³ (Note that the left-hand side of (3.11) in [5] has to be replaced by $2\pi/\kappa$ (instead of $2\pi/\sqrt{\kappa}$):

of what was said before, especially relation (6), it is clear that, in our case, branch points are even "better" points, since $\nu \geq 1$ then. This, in turn leads to the estimates of the Lemma, as follows now from a repetition of Grüters argument.

Proceeding with the proof of our theorem, we now assume on the contrary to the assertion that there exists some $w_0 \in \Omega^*$. Since $R = \text{dist}(\Gamma, S_c)$ we obtain $\inf_{\partial\Omega} d(f(w), f(w_0)) \geq R \geq \rho$. Putting $r := \rho$ and $\nu = 0$ in the previous lemma one immediately derives the desired contradiction. We have thus proved that $f(\bar{\Omega}) \subset J_c$. The remaining assertions will follow from potential theory ■

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