

COMPLETE MANIFOLDS WITH NONNEGATIVE CURVATURE OPERATOR

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ABSTRACT. In this short note, as a simple application of the strong result proved recently by Böhm and Wilking, we give a classification on closed manifolds with 2-nonnegative curvature operator. Moreover, by the new invariant cone constructions of Böhm and Wilking, we show that any complete Riemannian manifold (with dimension ≥ 3) whose curvature operator is bounded and satisfies the pinching condition $R \geq \delta \frac{\text{tr}(R)}{2n(n-1)} I > 0$, for some $\delta > 0$, must be compact. This provides an intrinsic analogue of a result of Hamilton on convex hypersurfaces.

1. INTRODUCTION

Let (M, g) be a Riemannian manifold. The curvature operator of (M, g) lies in the subspace $S_B^2(\Lambda^2 TM)$ of $S^2(\Lambda^2 TM)$ cut out by the Bianchi identity. The decomposition $S_B^2(\Lambda^2 TM) = \langle I \rangle \oplus \langle \text{Ric}_0 \rangle \oplus \langle W \rangle$ splits the space of algebraic curvature operators into $O(n)$ -invariant orthogonal irreducible subspaces. For an orthonormal basis ϕ_α (say $\phi_\alpha = e_i \wedge e_j$) of $\Lambda^2 TM$ (which can be identified with $so(n)$), the Lie bracket is given in terms of

$$[\phi_\alpha, \phi_\beta] = c_{\alpha\beta\gamma} \phi_\gamma.$$

It is easy to check, by simple linear algebra, that $\langle [\phi, \psi], \omega \rangle = -\langle [\omega, \psi], \phi \rangle$. Here $\langle A, B \rangle = -\frac{1}{2} \text{tr}(AB)$. This immediately implies that $c_{\alpha\beta\gamma}$ is anti-symmetric. If $A, B \in S^2(\Lambda^2 TM)$ one can define

$$(A\#B)_{\alpha\beta} = \frac{1}{2} c_{\alpha\gamma\eta} c_{\beta\delta\theta} A_{\gamma\delta} B_{\eta\theta}.$$

It is easy to see that $A\#B$ is symmetric too. Also from the anti-symmetry of $c_{\alpha\beta\gamma}$, $A\#B = B\#A$.

In [BW], a remarkable algebraic identity was proved on how a linear transformation of $S_B^2(\Lambda^2 TM)$ changes the quadratic form $Q(R) = R^2 + R\#$. Böhm and Wilking then constructed a continuous *pinching family of invariant closed convex cones*. Using this construction they confirmed a conjecture of Hamilton stating that *on a compact manifold the normalized Ricci flow evolves a Riemannian metric with 2-positive curvature operator to a limit metric with constant sectional curvature*.

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Hence it gives a complete topological classification of compact manifolds with positive 2-positive curvature operator. In this short note, based on the strong result and the techniques of [BW], we give the classification for manifolds with 2-nonnegative curvature operators and an application of their invariant cone constructions to the compactness of Riemannian manifolds with pinching curvature operator.

2. A STRONG MAXIMUM PRINCIPLE

Let $(M, g(t))$ be a complete solution to Ricci flow such that there exists a constant A and the curvature tensor of $g(t)$ satisfies $|R_{ijkl}|^2(x, t) \leq A$, for all $(x, t) \in M \times [0, T]$. In [H1], Hamilton proved that under the evolving normal frame the curvature tensor satisfies the following evolution equation.

Proposition 2.1 (Hamilton).

$$(2.1) \quad \left(\frac{\partial}{\partial t} - \Delta \right) R = 2(R^2 + R^\#),$$

where $R^\# = R \# R$.

The following was observed for compact manifolds in [Chen, H3]. We spell out the argument for the noncompact case for the sake of the completeness.

Proposition 2.2. *The convex cone of the 2-nonnegative curvature operator is preserved under the Ricci flow.*

Proof. Let I be the identity of $S_B^2(\wedge^2 TM)$, which can be identified with the induced metric on $\wedge^2 TM$ (as a section of $\wedge^2 TM \otimes \wedge^2 TM$). We also denote the identity map of TM by id . With respect to the evolving normal frame we have that $\nabla I = 0$ and $\frac{\partial}{\partial t} I = 0$. Let $\psi(x, t) > 0$ be the fast growth function constructed in Lemma 1.1 of [NT1] satisfying $\frac{\partial}{\partial t} \psi - \Delta \psi \geq C_1 \psi$. Here C_1 can be chosen as arbitrarily large as we wish. We shall consider $\tilde{R} = R + \epsilon \psi I$ and show that \tilde{R} is 2-positive for every (sufficiently small) ϵ . If not, by the boundedness of R and growth of ψ we know that it can only fail somewhere finite. Assume that t_0 is the first time \tilde{R} fails to be 2-positive and it happens at some point x_0 . Also assume an orthonormal basis ω_α (it may not be in the form of $e_i \wedge e_j$ as ϕ_α) such that \tilde{R} is diagonal (so is R) with eigenvalues $\mu_1 \leq \mu_2 \leq \dots \leq \mu_N$, where $N = \frac{n(n-1)}{2}$. Parallel translate ω_α to a neighborhood of (x_0, t_0) , and let $\tilde{R}_{\alpha\alpha} = \langle R(\omega_\alpha), \omega_\alpha \rangle$. Then at (x_0, t_0) we have, by the maximum principle, that

$$\begin{aligned} 0 &\geq \left(\frac{\partial}{\partial t} - \Delta \right) (\tilde{R}_{11} + \tilde{R}_{22}) \\ &\geq (R^2 + R^\#)_{11} + (R^2 + R^\#)_{22} + 2\epsilon C_1 \psi \\ &= (\tilde{R}^2 + \tilde{R}^\#)_{11} + (\tilde{R}^2 + \tilde{R}^\#)_{22} + 2\epsilon C_1 \psi \\ &\quad + \left(R^2 + R^\# - \tilde{R}^2 - \tilde{R}^\# \right)_{11} + \left(R^2 + R^\# - \tilde{R}^2 - \tilde{R}^\# \right)_{22} \\ &= \mu_1^2 + \mu_2^2 + \sum (c_{1\beta\gamma}^2 + c_{2\beta\gamma}^2) \mu_\beta \mu_\gamma + 2\epsilon C_1 \psi \\ &\quad - \epsilon \psi ((2\text{Ric} \wedge \text{id} + (n-1)\epsilon \psi I)_{11} + (2\text{Ric} \wedge \text{id} + (n-1)\epsilon \psi I)_{22}). \end{aligned}$$

In the previous equation we have used Lemma 2.1 of [BW], which asserts that $R + R \# I = \text{Ric} \wedge \text{id}$ (the use is not really necessary). Since $\mu_1 + \mu_2 \geq 0$ and $\mu_\gamma \geq 0$

for all $\gamma \geq 2$,

$$\sum (c_{1\beta\gamma}^2 + c_{2\beta\gamma}^2)\mu_\beta\mu_\gamma = 2 \sum_{\gamma \geq 3} (c_{12\gamma}^2 + c_{21\gamma}^2)(\mu_1 + \mu_2)\mu_\gamma + \sum_{\beta, \gamma \geq 3} (c_{1\beta\gamma}^2 + c_{2\beta\gamma}^2)\mu_\beta\mu_\gamma \geq 0.$$

Note also that at (x_0, t_0) we have that $\mu_{11} + \mu_{22} = 0$, which implies that $R_{11} + R_{22} = -2\epsilon\psi$; then $2\epsilon\psi(x_0, t_0) \leq 2A$. Hence at (x_0, t_0) we have that

$$\begin{aligned} 0 &\geq \left(\frac{\partial}{\partial t} - \Delta\right) (\tilde{R}_{11} + \tilde{R}_{22}) \\ (2.2) \quad &\geq \mu_1^2 + \mu_2^2 + 2\epsilon C_1\psi - 200nA\epsilon\psi. \end{aligned}$$

This is a contradiction if we choose $C_1 > 100nA$. □

By choosing the barrier function more carefully as in [NT2, N1] (see for example Theorem 2.1 of [N1]), we can have the following strong maximum principle.

Corollary 2.3. *Assume that $R(g(0))$ is 2-nonnegative and 2-positive somewhere. Then there exists $f(x, 0) \geq \frac{1}{2}(\mu_1 + \mu_2)(x, 0)$, which satisfies $f(x, t) > 0$ for $t > 0$ and*

$$(\mu_1 + \mu_2)(x, t) \geq f(x, t).$$

In particular, if $R(g(0))$ is 2-nonnegative and $(\mu_1 + \mu_2)(x_0, t_0) = 0$ for some $t_0 \geq 0$, then $(\mu_1 + \mu_2)(x, t) \equiv 0$ for all (x, t) with $t \leq t_0$. Moreover, $\mu_1(x, t) = \mu_2(x, t) = 0$ for all (x, t) with $t \leq t_0$ and

$$\mathcal{N}_2(x, t) = \text{span}\{\omega_1, \omega_2\}$$

is a distribution on M which is invariant under the parallel translation. In particular, $(M, g(t))$, for $t \leq t_0$, has nonnegative curvature operator.

Proof. For the existence of f and the lower estimate of $\mu_1 + \mu_2$ please see [NT2], Theorem 2.1. If $\mu_1 + \mu_2$ achieves its minimum at (x_0, t_0) , we can deduce from the lower estimate that $(\mu_1 + \mu_2)(x, t) \equiv 0$ for all (x, t) with $t < t_0$ (which implies that it also holds at $t = t_0$ by continuity). Apply (2.2) with $\epsilon = 0$. We can conclude that $M_i(x, t) \equiv 0$ for $i = 1, 2$. Hence $R \geq 0$. Please see Corollary 2.1 of [NT2] for the details on the part that $\mathcal{N}_2(x, t)$ is parallel. □

The above result implies the following classification of closed 2-nonnegative manifolds.

Corollary 2.4. *Assume that $R(g(0))$ is 2-nonnegative. Then for $t > 0$, either the curvature operator $R(g(t))$ is 2-positive, or $R(g(t)) \geq 0$. Hence Suppose (M^n, g_0) is a closed Riemannian manifold with 2-nonnegative curvature operator. Let $\tilde{g}(t)$ be the lift to the universal cover \tilde{M} of the solution $g(t)$ to the Ricci flow with $g(0) = g_0$. Then for any $t > 0$ we have that either $(\tilde{M}^n, \tilde{g}(t))$ is a closed manifold with 2-positive curvature operator or it is isometric to the product of the following:*

- (1) Euclidean space,
- (2) closed symmetric space,
- (3) closed Riemannian manifold with positive curvature operator,
- (4) closed Kähler manifold with positive curvature operator on real $(1, 1)$ -forms.

Proof. It follows from the above corollary and Hamilton’s classification result on the solutions with nonnegative curvature operator. See for example [CLN], Theorem 7.34. □

Topologically, it is now known, by [BW], that simply-connected 2-positive manifolds is sphere, and the Kähler manifold in the last case is biholomorphic to the complex projective space by the earlier result of Mori-Siu-Yau. The fact that the curvature operator of the evolving metrics becomes either 2-positive or nonnegative has been observed in [Chen]. However, in [Chen] there is no clear statement of the strong maximum principle, namely Corollary 2.3, on which the observation relies. If evoking Theorem 2.3 of [N1], the splitting result on solutions of Ricci flow on a complete Riemannian manifold with nonnegative curvature operator, we can write a similar statement even when M is not assume to be compact. However, in this case the Euclidean factor is only topological (not isometric). Also we do not know if a complete noncompact 2-positive Riemannian manifold is diffeomorphic to \mathbb{R}^n or not.

3. MANIFOLDS WITH PINCHED CURVATURE

In [H2] Hamilton proved that any convex hypersurface (with dimension ≥ 3) in Euclidean space with second fundamental form $h_{ij} \geq \delta \frac{\text{tr}(h)}{n} \text{id}$ must be compact. In [CZ], using the pre-established estimates of [Hu] and [Sh2], Chen and Zhu proved the following weak version of the above-mentioned Hamilton's result in terms of curvature operators. Namely, they proved that *if a complete Riemannian manifold (M^n, g) with bounded and (ϵ, δ_n) -pinched curvature operator (with $n \geq 3$) in the sense that*

$$|R_W|^2 + |R_{\text{Ric}_0}|^2 \leq \delta_n(1 - \epsilon)^2 |R_I|^2 = \delta_n(1 - \epsilon)^2 \frac{2}{n(n-1)} \text{Scal}(R)^2$$

for $\epsilon > 0$, $\delta_3 > 0$, $\delta_4 = \frac{1}{5}$, $\delta_5 = \frac{1}{10}$ and $\delta_n = \frac{2}{(n-2)(n+1)}$, where R_W , R_{Ric_0} and R_I denote the Weyl curvature tensor, traceless Ricci part and the scalar curvature part, then M must be compact. The strong pinching condition was the one originally assumed in [Hu] to obtain various estimates and the smooth convergence result. It was also shown in [Hu] that it implies that $R \geq \epsilon R_I$. In [N3] the first author showed that the above result of Chen-Zhu can be shown by the blow-up analysis of [H3] and some nonexistence results on gradient steady and expanding solitons obtained in [N3]. (The detailed proof of these nonexistence results was submitted to the 2004 ICCM proceedings a while ago. See also the book [CLN].) With the help of a family of invariant cones constructed in [BW], we can now prove the following general result.

Theorem 3.1. *Let (M^n, g_0) be a complete Riemannian manifold with $n \geq 3$. Assume that the curvature operator of M is uniformly bounded ($|R_{ijkl}|(x) \leq A$) and satisfies that*

$$(3.1) \quad R \geq \delta R_I > 0$$

for some $\delta > 0$. Then (M, g_0) must be compact.

Recall that $R_I = \frac{1}{n(n-1)} \text{Scal}(R) \text{I}$, where I is the identity of $S_B^2(\mathfrak{so}(n))$. Hence $R_I > 0$ is equivalent to $\text{Scal}(R) > 0$, and the above result is a natural analogue of the Hamilton result for hypersurfaces.

Proof. Let $g(t)$ be the solution to the Ricci flow with initial metric g_0 constructed by [Sh1]. First we show that if M is noncompact, $g(t)$ can be extended to a long-time solution defined on $M \times [0, \infty)$. In order to do that we first show that for

sufficiently small $b > 0$, $R(g_0)$ lies inside the invariant cone constructed by Lemma 3.4 of [BW]. Recall from [BW] the linear transformation

$$l_{a,b} : R \rightarrow R + 2(n - 1)aR_I + (n - 2)bR_{\text{Ric}_0}.$$

More precisely

$$\begin{aligned} l_{a,b}(R) &= R + 2a\bar{\lambda}I + 2b \text{id} \wedge \text{Ric}_0(R) \\ &= (1 + 2(n - 1)a)R_I + (1 + (n - 2)b)R_{\text{Ric}_0} + R_W. \end{aligned}$$

It is easy to see that $l_{a,b}(S_B^2(\text{so}(n))) \subset S_B^2(\text{so}(n))$ and is invertible if $a \neq -\frac{1}{2(n-1)}$ and $b \neq -\frac{1}{n-2}$. Using this linear map and Theorem 2 of [BW], a pinching family of invariant convex cones are constructed. In particular, as one step of the construction, it was shown that

Lemma 3.2 (Böhm-Wilking). *For $b \in [0, \frac{1}{2}]$, let*

$$a = \frac{(n - 2)b^2 + 2b}{2 + 2(n - 2)b^2} \text{ and } p = \frac{(n - 2)b^2}{1 + (n - 2)b^2}.$$

Then the set $l_{a,b}(C(b))$, where

$$C(b) = \left\{ R \in S_B^2(\text{so}(n)) \mid R \geq 0, \text{Ric} \geq p(b) \frac{\text{tr}(\text{Ric})}{n} \right\},$$

is invariant under the vector fields $Q(R)$. In fact for $b \in (0, \frac{1}{2}]$ it is transverse to the boundary of the set at all boundary points $R \neq 0$.

We claim that there exists $b > 0$ sufficiently small such that $R(g_0) \in l_{a,b}(C(b))$, which is equivalent to the fact that $l_{a,b}^{-1}(R(g_0)) \in C(b)$. For simplicity let $\tilde{R} = R(g_0)$, $\bar{\lambda}(\tilde{R}) = \frac{\text{Scal}(\tilde{R})}{n}$ and $l = l_{a,b}$. Direct computation shows that

$$R := l^{-1}(\tilde{R}) = \tilde{R}_W + \frac{1}{1 + 2(n - 1)a} \tilde{R}_I + \frac{1}{1 + (n - 2)b} \tilde{R}_{\text{Ric}_0},$$

which implies that

$$\text{Ric}(l^{-1}(\tilde{R})) = \frac{\bar{\lambda}(\tilde{R})}{1 + 2(n - 1)a} \text{id} + \frac{1}{1 + (n - 2)b} \text{Ric}_0(\tilde{R})$$

and

$$\bar{\lambda}(R) := \frac{\text{tr}(\text{Ric}(l^{-1}(\tilde{R})))}{n} = \bar{\lambda}(\tilde{R}) \left(1 - \frac{2(n - 1)a}{1 + 2(n - 1)a} \right).$$

Let $\tilde{\lambda}_i$ be the eigenvalues of $\text{Ric}_0(\tilde{R})$. Then by the assumption (3.1) we have that

$$(3.2) \quad \tilde{\lambda}_i + \bar{\lambda}(\tilde{R}) \geq \delta \bar{\lambda}(\tilde{R}).$$

Clearly we also have that

$$(3.3) \quad \tilde{\lambda}_i + \bar{\lambda}(\tilde{R}) \leq n \bar{\lambda}(\tilde{R}).$$

We first check that R satisfies the Ricci pinching condition. In fact if λ_i are the eigenvalues of $\text{Ric}_0(R)$, from the above formulae we have that

$$\begin{aligned} -\lambda_i &= -\frac{1}{1+(n-2)b}\tilde{\lambda}_i \\ &\leq \frac{1-\delta}{1+(n-2)b}\bar{\lambda}(\tilde{R}) \\ &= (1-\delta)\frac{1+2(n-1)a}{1+(n-2)b}\bar{\lambda}(R). \end{aligned}$$

Then there exist $\delta_1 > 0$ and b_0 such that for all $b \in [0, b_0]$, $-\lambda_i \leq (1-\delta_1)\bar{\lambda}(R)$. Then we can find $b_1 \leq b_0$ such that for any $b \in [0, b_1]$, $p(b) \leq \delta_1$. Hence $R = l_{a,b}^{-1}(\tilde{R})$ satisfies the pinching condition of $C(b)$. Now we check that $R = l_{a,b}^{-1}(\tilde{R}) \geq 0$. Rewrite

$$R = \tilde{R} - \frac{2(n-1)a}{1+2(n-1)a}\tilde{R}_I - \frac{(n-2)b}{1+(n-2)b}\tilde{R}_{\text{Ric}_0}.$$

Noting that $a \rightarrow 0$ as $b \rightarrow 0$, we can find b_2 such that for any $b \in [0, b_2]$ we have that

$$R \geq \frac{\delta}{2}\tilde{R}_I - \frac{(n-2)b}{1+(n-2)b}\tilde{R}_{\text{Ric}_0}.$$

But the eigenvalue (with respect to $e_i \wedge e_j$, where $\{e_i\}$ is a basis of TM consisting of eigenvectors of $\text{Ric}_0(\tilde{R})$) of the right-hand side operator can be computed as

$$\frac{\delta}{2} \frac{\bar{\lambda}(\tilde{R})}{n-1} - \frac{b}{1+(n-2)b} (\tilde{\lambda}_i + \tilde{\lambda}_j).$$

Using (3.3), the above can be bounded from below by

$$\bar{\lambda}(\tilde{R}) \left(\frac{\delta}{2(n-1)} - \frac{2(n-1)b}{1+(n-2)b} \right) > 0$$

if b is close to 0. This shows that there exists $b_3 > 0$ such that for any $b \in (0, b_3]$, $R(g_0) \in l_{a,b}(C(b))$.

Now the virtue of the proof of Theorem 5.1 in [BW], along with the short time existence result of [Sh1], shows that the Ricci flow has long-time solution. Otherwise, by Theorem 16.2 of [H3], we would end up with a blow-up solution, which is nonflat, noncompact, but whose curvature operator $R = R_I$. In view of Schur's theorem, this is a contradiction. Note that $R(g_0) \in l_{a,b}(C(b))$ allows us to apply the generalized pinching set construction (Theorem 4.1) from [BW], and since the evolving metric has positive curvature operator and the manifold is assumed to be noncompact, the injectivity radius always has a lower bound in terms of the size of the curvature. All these ingredients allow us to perform Hamilton's blow-up analysis [H3] (Theorem 16.2).

We continue to show that the extra assumption that M is noncompact will lead us to a contradiction by performing the singularity analysis of [H3] as $t \rightarrow \infty$. Note that for all t , $R(g(t))$ will stay in the cone $l_{a,b}(C(b))$ for some fixed (but sufficiently small) b , by the tensor maximum principle, which can be verified in the same way as Proposition 2.2. Now we claim that the curvature of $g(t)$ satisfies that

$$(3.4) \quad \text{Ric} \geq p \frac{\text{tr}(\text{Ric})}{n} \text{id}$$

for some $p > 0$. Let $R^* = R(g(t))$. First, by Lemma 3.2 we know that $R(g(t)) \in l_{a,b}(C(b))$ for some fixed small b . Thus we can find $R \in C(b)$ such that $l_{a,b}(R) = R^*$. Now let $\bar{\lambda} = \frac{\text{tr}(\text{Ric}(R))}{n}$ and λ_i be the eigenvalues of $\text{Ric}_0(R)$. By the assumption we have that $-\lambda_i \leq (1-p)\bar{\lambda}$. Now we compute the Ricci curvature and its trace for R^* . By the definition of $l_{a,b}$ we have that

$$\text{Ric}(R^*) = \text{Ric} + 2(n-1)a\bar{\lambda}\text{id} + (n-2)b\text{Ric}_0$$

and

$$\bar{\lambda}^* := \frac{\text{tr}(\text{Ric}(R^*))}{n} = \bar{\lambda}(1 + 2(n-1)a).$$

Letting λ_i^* be the eigenvalue of R^* we have that $\bar{\lambda}^* + \lambda_i^* = (1 + 2(n-1)a)\bar{\lambda} + (1 + (n-2)b)\lambda_i$. Therefore

$$\begin{aligned} -\lambda_i^* &= -(1 + (n-2)b)\lambda_i \\ &\leq (1-p)(1 + (n-2)b)\bar{\lambda} \\ &= (1-p)\frac{1 + (n-2)b}{1 + 2(n-1)a}\bar{\lambda}^* \\ &\leq (1-p)\bar{\lambda}^*. \end{aligned}$$

Here we have used the fact that $1 + 2(n-1)a = 1 + (n-1)\frac{(n-2)b^2 + 2b}{1 + (n-2)b} > 1 + (n-2)b$. This completes the proof of the claim (3.4).

Since for all $g(t)$, its Ricci curvature satisfies (3.4), this holds up on the blow-down/blow-up solutions, which after passing to its universal cover, are either a nonflat gradient steady soliton or a nonflat gradient expanding soliton, with nonnegative curvature operator, by results from [H3] (Theorem 16.5, Corollary 16.6). (See also [N2], Theorem 4.2 and [CZ].) This contradicts Corollary 3.1 of [N3]. \square

4. DISCUSSIONS

In [W], the topology of so-called p -positive manifolds was studied. In view of the result of Böhm-Wilking and a result of Schoen-Yau [ScY] stating that any noncompact complete 3-manifold with positive Ricci curvature must be diffeomorphic to \mathbb{R}^3 , it is reasonable to speculate that any noncompact complete Riemannian manifold M with 2-positive curvature operator must be diffeomorphic to \mathbb{R}^n . Professor Wilking informed us that one can show that M is aspherical with cyclic fundamental group. (See also [W].)

In [N3] we speculated that any complete Riemannian manifolds with positive pinched Ricci curvature must be compact. Theorem 3.1 confirms it under a stronger assumption on the curvature operator. The problem in full generality still remains unsettled.

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