

A simple improvement of a differentiable classification result for complete submanifolds

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Abstract. We consider M^n , $n \geq 3$, an n -dimensional complete submanifold of a Riemannian manifold $(\overline{M}^{n+p}, \overline{g})$. We prove that if for all point $x \in M^n$ the following inequality is satisfied

$$S \leq \frac{8}{3} \left(\overline{K}_{\min} - \frac{1}{4} \overline{K}_{\max} \right) + \frac{n^2 H^2}{n-1},$$

with strictly inequality at one point, where S and H denote the squared norm of the second fundamental form and the mean curvature of M^n respectively, then M^n is either diffeomorphic to a spherical space form or the Euclidean space \mathbb{R}^n . In particular, if M^n is simply connected, then M^n is either diffeomorphic to the sphere S^n or the Euclidean space \mathbb{R}^n .

1. Introduction and main result.

Let M^n be an n -dimensional submanifold of an $(n+p)$ -dimensional Riemannian manifold $(\overline{M}^{n+p}, \overline{g})$. Here we assume that $n \geq 2$. For an arbitrary fixed point $x \in M^n$, we choose an orthonormal local frame field $\{e_1, \dots, e_{n+p}\}$ in \overline{M}^{n+p} such that $\{e_1, \dots, e_n\}$ is tangent to M^n . Let $\{\omega_1, \dots, \omega_{n+p}\}$ the dual frame field of $\{e_1, \dots, e_{n+p}\}$. Let Rm and \overline{Rm} be the Riemannian curvature tensors of M^n and \overline{M}^{n+p} respectively, and h the second fundamental form of M^n . Then

$$Rm = \sum_{i,j,k,l=1}^n R_{ijkl} \omega_i \otimes \omega_j \otimes \omega_k \otimes \omega_l,$$
$$\overline{Rm} = \sum_{i,j,k,l=1}^{n+p} \overline{R}_{ijkl} \omega_i \otimes \omega_j \otimes \omega_k \otimes \omega_l$$

and

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$$h = \sum_{\alpha=n+1}^{n+p} \sum_{i,j=1}^n h_{ij}^{\alpha} \omega_i \otimes \omega_j \otimes e_{\alpha}.$$

The Riemann curvature tensors Rm , \overline{Rm} and the second fundamental form h are related by the Gauss equation:

$$R_{ijkl} = \overline{R}_{ijkl} + \sum_{\alpha=n+1}^{n+p} (h_{ik}^{\alpha} h_{jl}^{\alpha} - h_{il}^{\alpha} h_{jk}^{\alpha}). \quad (1)$$

The squared norm S of the second fundamental form and the mean curvature H of M^n are given by

$$S := \sum_{\alpha=n+1}^{n+p} \sum_{i,j=1}^n (h_{ij}^{\alpha})^2$$

and

$$H = \frac{1}{n} \left| \sum_{\alpha=n+1}^{n+p} \sum_{i=1}^n h_{ii}^{\alpha} e_{\alpha} \right|.$$

Suppose, for a moment, $(\overline{M}^{n+p}, \overline{g})$ has constant curvature c . From Gauss equation, we obtain

$$R_g = n(n-1)c + n^2 H^2 - S,$$

where R_g is the scalar curvature of (M^n, g) and g is the induced metric of \overline{g} . Hence, in this case, we find that

$$R_g \geq \frac{n^2(n-2)H^2}{n-1} + (n+1)(n-2)c$$

if and only if

$$S \leq \frac{n^2 H^2}{n-1} + 2c.$$

Note that if $n = 2$, then the Gauss curvature is nonnegative if and only if $S \leq (n^2 H^2 / (n-1)) + 2c$. In 1936, J. J. Stoker [10] proved the following theorem.

THEOREM 1.1 (J. J. Stoker - 1936). *Assume that M^2 is a complete submanifold of the Euclidean space \mathbb{R}^3 . If the Gaussian curvature K is positive, the M^2 is either diffeomorphic to the sphere \mathbb{S}^2 or the Euclidean space \mathbb{R}^2 .*

In 1971, do Carmo and Lima [5] improved the above theorem:

THEOREM 1.2 (do Carmo, Lima - 1971). *Assume that M^2 is a complete submanifold of the Euclidean space \mathbb{R}^3 . If the Gaussian curvature K is nonnegative, and positive at one point, then M^2 is either diffeomorphic to the sphere \mathbb{S}^2 or the Euclidean space \mathbb{R}^2 .*

One can find some related results about the geometry and topology of manifolds with a curvature satisfying some strictly inequality at one point, e.g., in [8], [9], [12]. In this paper, we want to discuss a result like Theorem 1.2 that improves a result like Theorem 1.1. Before state our main result, let we make a definition. Denote by $K_x(\pi)$ the sectional curvature of M^n for tangent 2-plane $\pi \subset T_x M^n$ at point $x \in M^n$, $\bar{K}_x(\pi)$ the sectional curvature of \bar{M}^{n+p} for tangent 2-plane $\pi \subset T_x \bar{M}^{n+p}$ at point $x \in \bar{M}^{n+p}$. Set

$$\bar{K}_{\min}(x) := \min_{\pi \subset T_x \bar{M}^{n+p}} \bar{K}_x(\pi)$$

and

$$\bar{K}_{\max}(x) := \max_{\pi \subset T_x \bar{M}^{n+p}} \bar{K}_x(\pi).$$

The following theorem was proved by Hong-Wei Xu and Juan-Ru Gu [11] (see Theorem 1.1 in [11]).

THEOREM 1.3 (Hong-Wei Xu and Juan-Ru Gu - 2010). *Assume that M^n is a complete submanifold and, for all point $x \in M$,*

$$S < \frac{8}{3} \left(\bar{K}_{\min} - \frac{1}{4} \bar{K}_{\max} \right) + \frac{n^2 H^2}{n-1}. \quad (2)$$

Then M^n is either diffeomorphic to a spherical space form or the Euclidean space \mathbb{R}^n . In particular, if M^n is simply connected, then M^n is either diffeomorphic to the sphere \mathbb{S}^n or the Euclidean space \mathbb{R}^n .

The above result is interesting because when M^n is a compact submanifold of codimension zero, Theorem 1.3 reduces to the differentiable pinching theorem of Brendle and Schoen [4]. Another hand, L. Ni and B. Wilking, combining Theorem

3.1 and Theorem 3.2 in [8], provide a classification, up to diffeomorphism, of all compact Riemannian manifolds that are almost strictly (1/4)-pinched in the pointwise sense. We define almost strictly (1/4)-pinched manifold in the pointwise sense, in the following way: we say that (M, g) is almost strictly (1/4)-pinched in the pointwise sense if $0 \leq K(\pi_1) \leq 4K(\pi_2)$ for all points $x \in M$ and all two-dimensional planes $\pi_1, \pi_2 \subset T_x M$, and there exists a point $p \in M$ such that $K(\pi_1) < 4K(\pi_2)$ for all two-dimensional planes $\pi_1, \pi_2 \subset T_p M$.

Therefore it is natural to ask whether the Theorem 1.3 can also be achieved by improving the inequality (2). Our main result is the following:

THEOREM 1.4. *Assume that M^n is a complete submanifold and, for all point $x \in M^n$,*

$$S \leq \frac{8}{3} \left(\bar{K}_{\min} - \frac{1}{4} \bar{K}_{\max} \right) + \frac{n^2 H^2}{n-1},$$

with strictly inequality at one point, then M^n is either diffeomorphic to a spherical space form or the Euclidean space \mathbb{R}^n . In particular, if M^n is simply connected, then M^n is either diffeomorphic to the sphere \mathbb{S}^n or the Euclidean space \mathbb{R}^n .

Theorem 1.4 has been presented at the Workshop “Geometric Analysis”, IMPA - Institut Fourier at Rio de Janeiro - Brazil, November 16–26, 2010. Note that Theorem 1.4 improves the Theorem 1.3 in the sense that inequality (2) can be assumed equality and the same conclusion of Theorem 1.3 follows.

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2. Proof of Theorem 1.4.

We divide the proof in a few steps. The first one is exactly the Lemma 4.1 in [11]. For convenience, we will post here the proof of that lemma.

Step 1: Let M^n be an n -dimensional submanifold of an $(n+p)$ -dimensional Riemannian manifold (\bar{M}^{n+p}, \bar{g}) , and π a tangent 2-plane in $T_x M^n$ at point $x \in M^n$. Choose an orthonormal two-frame $\{e_1, e_2\}$ at x such that $\pi = \text{span}\{e_1, e_2\}$. Then

$$K_x(\pi) \geq \frac{1}{2} \left(2\bar{K}_{\min}(x) + \frac{n^2 H^2}{n-1} - S \right) + \sum_{\alpha=n+1}^{n+p} \sum_{j>i, (i,j) \neq (1,2)}^n (h_{ij}^\alpha)^2.$$

PROOF. We extend the orthonormal two-frame $\{e_1, e_2\}$ to an orthonormal

frame $\{e_1, \dots, e_{n+p}\}$ such that $\{e_1, \dots, e_n\}$ are tangent to M^n . Setting $S_\alpha = \sum_{i,j=1}^n (h_{ij}^\alpha)^2$, we have

$$\left(\sum_{i=1}^n h_{ii}^\alpha\right)^2 = (n-1) \left[\sum_{i=1}^n (h_{ii}^\alpha)^2 + \sum_{i \neq j} (h_{ij}^\alpha)^2 + \frac{1}{n-1} \left(\sum_{i=1}^n h_{ii}^\alpha\right)^2 - S_\alpha \right]. \tag{3}$$

Note that

$$\begin{aligned} \left(\sum_{i=1}^n h_{ii}^\alpha\right)^2 &\leq (n-1) \left[(h_{11}^\alpha + h_{22}^\alpha)^2 + \sum_{i>2} (h_{ii}^\alpha)^2 \right] \\ &= (n-1) \left[\sum_{i=1}^n (h_{ii}^\alpha)^2 + 2h_{11}^\alpha h_{22}^\alpha \right]. \end{aligned}$$

This together with (3) implies

$$2h_{11}^\alpha h_{22}^\alpha \geq \sum_{i \neq j} (h_{ij}^\alpha)^2 + \frac{1}{n-1} \left(\sum_{i=1}^n h_{ii}^\alpha\right)^2 - S_\alpha. \tag{4}$$

From the Gauss equation (1) and (4) we get

$$\begin{aligned} K(\pi) &= \bar{R}_{1212} + \sum_{\alpha=n+1}^{n+p} [h_{11}^\alpha h_{22}^\alpha - (h_{12}^\alpha)^2] \\ &\geq \sum_{\alpha=n+1}^{n+p} \left[\sum_{j>2}^n (h_{1j}^\alpha)^2 + \sum_{j>2}^n (h_{2j}^\alpha)^2 + \sum_{j>i>2}^n (h_{ij}^\alpha)^2 \right] + \frac{1}{2} \left(\frac{n^2 H^2}{n-1} - S \right) + \bar{K}_{\min} \\ &= \frac{1}{2} \left(2\bar{K}_{\min} + \frac{n^2 H^2}{n-1} - S \right) + \sum_{\alpha=n+1}^{n+p} \sum_{j>i, (i,j) \neq (1,2)}^n (h_{ij}^\alpha)^2. \quad \square \end{aligned}$$

Next step, we use the same idea of the proof of Theorem 4.1 in [11]. We just make small changes in the statement of that theorem that are important to the step 3.

Step 2: Let M^n be an $n(\geq 4)$ -dimensional submanifold of an $(n+p)$ -dimensional Riemannian manifold (\bar{M}^{n+p}, \bar{g}) . Then, for all point $x \in M^n$, all orthonormal four-frame $\{e_1, e_2, e_3, e_4\} \subset T_x M^n$, and all $\lambda, \mu \in [-1, 1]$,

$$\begin{aligned}
 &R_{1313} + \lambda^2 R_{1414} + \mu^2 R_{2323} + \lambda^2 \mu^2 R_{2424} - 2\lambda\mu R_{1234} \\
 &\geq \frac{1}{2}(1 + \lambda^2 + \mu^2 + (\lambda\mu)^2) \left(\frac{8}{3} \left(\bar{K}_{\min} - \frac{1}{4} \bar{K}_{\max} \right) + \frac{n^2 H^2}{n-1} - S \right).
 \end{aligned}$$

PROOF. From Berger’s inequality (see [7]), we have

$$|\bar{R}_{ijkl}| \leq \frac{2}{3}(\bar{K}_{\max} - \bar{K}_{\min}).$$

Hence, from equation (1), we obtain

$$\begin{aligned}
 |R_{1234}| &= \left| \bar{R}_{1234} + \sum_{\alpha=n+1}^{n+p} (h_{13}^\alpha h_{24}^\alpha - h_{14}^\alpha h_{23}^\alpha) \right| \\
 &\leq \frac{2}{3}(\bar{K}_{\max} - \bar{K}_{\min}) + \sum_{\alpha=n+1}^{n+p} |h_{13}^\alpha h_{24}^\alpha - h_{14}^\alpha h_{23}^\alpha|.
 \end{aligned}$$

This together with Step 1 implies

$$\begin{aligned}
 &R_{1313} + \lambda^2 R_{1414} + \mu^2 R_{2323} + \lambda^2 \mu^2 R_{2424} - 2\lambda\mu R_{1234} \\
 &\geq \frac{1}{2}(1 + \lambda^2 + \mu^2 + (\lambda\mu)^2) \left(2\bar{K}_{\min} + \frac{n^2 H^2}{n-1} - S \right) \\
 &\quad + \sum_{\alpha=n+1}^{n+p} \sum_{j>i, (i,j) \neq (1,3)}^n (h_{ij}^\alpha)^2 + \lambda^2 \sum_{\alpha=n+1}^{n+p} \sum_{j>i, (i,j) \neq (1,4)}^n (h_{ij}^\alpha)^2 \\
 &\quad + \mu^2 \sum_{\alpha=n+1}^{n+p} \sum_{j>i, (i,j) \neq (2,3)}^n (h_{ij}^\alpha)^2 + (\lambda\mu)^2 \sum_{\alpha=n+1}^{n+p} \sum_{j>i, (i,j) \neq (2,4)}^n (h_{ij}^\alpha)^2 \\
 &\quad - 2|\lambda\mu| \left[\frac{2}{3}(\bar{K}_{\max} - \bar{K}_{\min}) + \sum_{\alpha=n+1}^{n+p} |h_{13}^\alpha h_{24}^\alpha - h_{14}^\alpha h_{23}^\alpha| \right] \\
 &\geq \frac{1}{2}(1 + \lambda^2 + \mu^2 + (\lambda\mu)^2) \left(2\bar{K}_{\min} + \frac{n^2 H^2}{n-1} - S \right) \\
 &\quad + \sum_{\alpha=n+1}^{n+p} [(h_{14}^\alpha)^2 + \lambda^2 (h_{13}^\alpha)^2 + \mu^2 (h_{24}^\alpha)^2 + (\lambda\mu)^2 (h_{23}^\alpha)^2] \\
 &\quad - 2|\lambda\mu| \left[\frac{2}{3}(\bar{K}_{\max} - \bar{K}_{\min}) \right] - 2|\lambda\mu| \sum_{\alpha=n+1}^{n+p} |h_{13}^\alpha h_{24}^\alpha| - 2|\lambda\mu| \sum_{\alpha=n+1}^{n+p} |h_{14}^\alpha h_{23}^\alpha|.
 \end{aligned}$$

Note that

$$(h_{14}^\alpha)^2 + (\lambda\mu)^2(h_{23}^\alpha)^2 \geq 2|\lambda\mu||h_{14}^\alpha h_{23}^\alpha|,$$

$$\lambda^2(h_{13}^\alpha)^2 + \mu^2(h_{24}^\alpha)^2 \geq 2|\lambda\mu||h_{13}^\alpha h_{24}^\alpha|$$

and

$$-4|\lambda\mu| \geq -(1 + \lambda^2 + \mu^2 + (\lambda\mu)^2).$$

Hence,

$$\begin{aligned} & R_{1313} + \lambda^2 R_{1414} + \mu^2 R_{2323} + \lambda^2 \mu^2 R_{2424} - 2\lambda\mu R_{1234} \\ & \geq \frac{1}{2}(1 + \lambda^2 + \mu^2 + (\lambda\mu)^2) \left(\frac{8}{3} \left(\overline{K}_{\min} - \frac{1}{4} \overline{K}_{\max} \right) + \frac{n^2 H^2}{n-1} - S \right). \quad \square \end{aligned}$$

The next step is the most important here. It is the differential to improve the Theorem 1.3.

Step 3: Let M^n be an $n(\geq 4)$ -dimensional compact submanifold of an $(n+p)$ -dimensional Riemannian manifold $(\overline{M}^{n+p}, \overline{g})$. Assume that, for all point $x \in M^n$,

$$S \leq \frac{8}{3} \left(\overline{K}_{\min} - \frac{1}{4} \overline{K}_{\max} \right) + \frac{n^2 H^2}{n-1},$$

with strictly inequality at one point $p_0 \in M^n$. Then, there exists a metric on M^n such that, for all point $x \in T_x M^n$, all orthonormal four-frame $\{e_1, e_2, e_3, e_4\} \subset T_x M^n$, and all $\lambda, \mu \in [-1, 1]$,

$$R_{1313} + \lambda^2 R_{1414} + \mu^2 R_{2323} + \lambda^2 \mu^2 R_{2424} - 2\lambda\mu R_{1234} > 0.$$

PROOF. It follows from Step 2 and from the strictly inequality

$$S(p_0) < \frac{8}{3} \left(\overline{K}_{\min} - \frac{1}{4} \overline{K}_{\max} \right) + \frac{n^2 H(p_0)^2}{n-1}$$

that for all orthonormal four-frame $\{e_1, e_2, e_3, e_4\} \subset T_{p_0} M^n$, and all $\lambda, \mu \in [-1, 1]$,

$$R_{1313} + \lambda^2 R_{1414} + \mu^2 R_{2323} + \lambda^2 \mu^2 R_{2424} - 2\lambda\mu R_{1234} > 0.$$

Another hand, from Step 2 and work [4] due to Brendle-Schoen, $(M^n, g_0) \times \mathbb{R}^2$ possesses nonnegative isotropic curvature, where g_0 denotes the induced metric of \bar{g} . Let $g(t)$ be the solution to the Ricci flow on M^n with initial metric g_0 and maximal interval of definition $[0, T)$. From the S. Brendle and R. Schoen's work [4], we have that, for all $0 \leq t < T$, $(M^n, g(t)) \times \mathbb{R}^2$ has nonnegative isotropic curvature. Another hand, from the S. Brendle and R. Schoen's work [3], given $0 < t < T$ and $\lambda, \mu \in [-1, 1]$, the set of all four-frames $\{e_1, e_2, e_3, e_4\}$ that are orthonormal with respect to $g(t)$ and satisfy

$$R_{g(t)}(e_1, e_3, e_1, e_3) + \lambda^2 R_{g(t)}(e_1, e_4, e_1, e_4) + \mu^2 R_{g(t)}(e_2, e_3, e_2, e_3) + \lambda^2 \mu^2 R_{g(t)}(e_2, e_4, e_2, e_4) - 2\lambda\mu R_{g(t)}(e_1, e_2, e_3, e_4) = 0$$

is invariant under parallel transport. Hence, if $(M^n, g(t)) \times \mathbb{R}^2$, $0 < t < T$, does not have positive isotropic curvature, it follows from the invariance under parallel transport that there is a four-frame $\{e_1(t), e_2(t), e_3(t), e_4(t)\} \subset T_{p_0}M^n$ and $\lambda(t), \mu(t) \in [-1, 1]$ for which

$$R_{g(t)}(e_1(t), e_3(t), e_1(t), e_3(t)) + \lambda(t)^2 R_{g(t)}(e_1(t), e_4(t), e_1(t), e_4(t)) + \mu(t)^2 R_{g(t)}(e_2(t), e_3(t), e_2(t), e_3(t)) + \lambda(t)^2 \mu(t)^2 R_{g(t)}(e_2(t), e_4(t), e_2(t), e_4(t)) - 2\lambda(t)\mu(t) R_{g(t)}(e_1(t), e_2(t), e_3(t), e_4(t)) = 0.$$

Hence, if for each $0 < t < T$, $(M^n, g(t)) \times \mathbb{R}^2$ does not have positive isotropic curvature, we obtain a time dependent four-frame $\{e_1(t), e_2(t), e_3(t), e_4(t)\}$ at p_0 and a family $\lambda(t), \mu(t) \subset [-1, 1]$ satisfying the equality above. We can choose a sequence of times $t_i \rightarrow 0$ as $i \rightarrow +\infty$ for which the corresponding sequence of four-frames converge to an orthonormal four-frame $\{e_1, e_2, e_3, e_4\} \subset T_{p_0}M^n$ at p_0 with respect to the metric g_0 . Since $[-1, 1]$ is compact, there exists two points $\lambda_0, \mu_0 \in [-1, 1]$ such that, passing to a subsequence if necessary, $\lambda(t_i) \rightarrow \lambda_0$ and $\mu(t_i) \rightarrow \mu_0$. Thus, we find an orthonormal four-frame $\{e_1, e_2, e_3, e_4\} \subset T_{p_0}M^n$ with respect to the metric g_0 and two points $\lambda_0, \mu_0 \in [-1, 1]$ such that

$$R_{g_0}(e_1, e_3, e_1, e_3) + \lambda_0^2 R_{g_0}(e_1, e_4, e_1, e_4) + \mu_0^2 R_{g_0}(e_2, e_3, e_2, e_3) + \lambda_0^2 \mu_0^2 R_{g_0}(e_2, e_4, e_2, e_4) - 2\lambda_0 \mu_0 R_{g_0}(e_1, e_2, e_3, e_4) = 0.$$

This is a contradiction. Therefore, there exist $t > 0$ such that $(M^n, g(t)) \times \mathbb{R}^2$ possesses positive isotropic curvature. □

Final Step: It follows from Step 1 that the sectional curvatures of (M^n, g_0) is

nonnegative and there exists a point $p_0 \in M^n$ such that $K_{p_0}(\pi) > 0$ for all 2-plane $\pi \subset T_{p_0}M^n$.

1. Suppose that M^n ($n \geq 3$) is complete and non-compact. It follows from Perelman's Soul Theorem (see [9]) that M^n is diffeomorphic to the Euclidean space \mathbb{R}^n , since the sectional curvatures of (M^n, g_0) is nonnegative and there exists a point $p_0 \in M^n$ such that $K_{p_0}(\pi) > 0$ for all 2-plane $\pi \subset T_{p_0}M^n$.

2. Suppose that M^n is compact and $n = 3$. It follows from Step 1 that $\text{Ric}_{g_0} \geq 0$ on M^n and there exists a point $p_0 \in M^n$ such that $\text{Ric}_{g_0} > 0$ at this point, since the sectional curvatures of (M^n, g_0) is nonnegative and there exists a point $p_0 \in M^n$ such that $K_{p_0}(\pi) > 0$ for all 2-plane $\pi \subset T_{p_0}M^n$. From a theorem due to T. Aubin [1], we construct a Riemannian metric h on M^3 such that $\text{Ric}_h > 0$ on M^3 . Hence, from a classification result of compact 3-dimensional manifolds with positive Ricci curvature due to R. Hamilton [6] we have the manifold M^3 is diffeomorphic to a spherical space form.

3. Suppose that M^n is compact and $n \geq 4$. From Step 3, there exists a metric h_0 on M such that $(M^n, h_0) \times \mathbb{R}^2$ possesses positive isotropic curvature. From a result of Brendle and Schoen, the normalized Ricci flow

$$\frac{\partial}{\partial t} h(t) = -2 \text{Ric}_{h(t)} + \frac{2}{n} r_{h(t)} h(t)$$

where $r_{h(t)}$ denotes the mean value of the scalar curvature of $h(t)$, with initial metric h_0 exists for all time and converges to a constant curvature metric as $t \rightarrow +\infty$. Hence, M^n is diffeomorphic to a spherical space form. \square

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