


- Hamilton's Ricci flow.

§1. Ricci flow equation.

- (M, g_0) : compact Riem. mfd of dim. n . Hamilton introduced:

$$\begin{cases} \frac{\partial g(t)}{\partial t} = -2\text{Ric}(g(t)) \\ g(0) = g_0 \end{cases}$$

- At $p \in M$, let (x^1, \dots, x^n) be harmonic coords. say $\Delta x^i = 0$ for all i , we have:

$$\text{Ric}_{ij} = \text{Ric}\left(\frac{\partial}{\partial x^i}, \frac{\partial}{\partial x^j}\right) = -\frac{1}{2}\Delta g_{ij} + Q_{ij}(g^{-1}, \partial g),$$

where Q is a quadratic form in g^{-1} and ∂g .

- Hence, the RF eqn is a heat eqn. for the Riem metric:

$$\frac{\partial g}{\partial t} = \Delta g + 2Q(g^{-1}, \partial g).$$

- Ricci flow on Einstein mfds:

- Assume $\text{Ric}(g_0) = \lambda \cdot g_0$, $\lambda \in \mathbb{R}$.

- $g(t) = (1-2\lambda t) \cdot g_0$ is a solution of the RF:

$$\frac{\partial g(t)}{\partial t} = -2\lambda \cdot g_0 = -2 \cdot \text{Ric}(g_0) = -2 \cdot \text{Ric}(g(t)).$$

- $\lambda \leq 0$, $t \in [0, +\infty)$; $\lambda > 0$, $t \in [0, \frac{1}{2\lambda})$.

- $(M, g_0) = (\mathbb{S}^2, h_0)$, h_0 : round metric of scalar curvature 1.

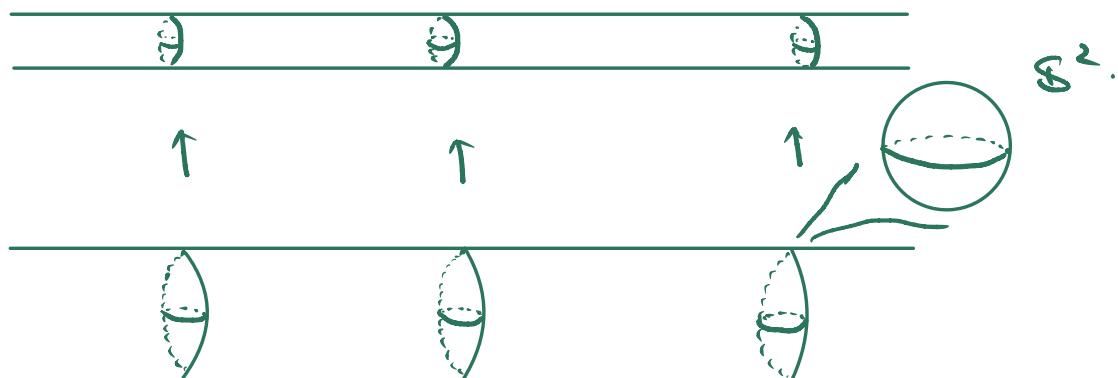
$h(t) := (1-t) \cdot h_0$, then

$$(\mathbb{S}^2, h(t)), \quad -\infty < t < 1$$

is a Ricci flow.

• Standard shrinking round cylinder:

$$(\mathbb{S}^2 \times \mathbb{R}, h(t) \times ds^2), \quad -\infty < t < 1.$$



- The RF eqn is weakly parabolic and is strictly parabolic modulo the diffeomorphism group of M .
- Thm. (Hamilton). (Short time existence and uniqueness).
 - (M, g_0) = compact n -dim. Riem. mfd.
 - $\exists ! T_0 \in [0, +\infty]$, depending on (M, g_0) , s.t. $\exists !$ RF $(M, g(t))$, $0 \leq t < T_0$, with $g(0) = g_0$.
- Hamilton's proof: Nash-Moser inverse function thm. (involved).
- DeTurck: Breaking the diffeomorphism invariance of the RF.

§2. Evolution of curvatures.

- Let $x = (x^1, \dots, x^n)$ be local coords, the RF eqn is:

$$\frac{\partial}{\partial t} g_{ij} = -2R_{ij}.$$

- Ihm. Set $B_{ijkl} = g^{pr}g^{qs} \cdot R_{ipjq} \cdot R_{krs}$, then:

$$\frac{\partial}{\partial t} R_{ijkl} = \Delta R_{ijkl} + 2(B_{ijkl} - B_{ijlk} - B_{iljk} + B_{ikjl})$$

$$-g^{pq}(R_{pjkl} \cdot R_{qi} + R_{ipkl} \cdot R_{qj} + R_{ijpl} \cdot R_{qk} + R_{ijkp} \cdot R_{ql})$$

$$\frac{\partial}{\partial t} R_{jk} = \Delta R_{jk} + 2g^{pq}g^{rs}R_{pjkr} \cdot R_{qs} - 2g^{pq}R_{jp} \cdot R_{qk}.$$

$$\frac{\partial}{\partial t} R = \Delta R + 2|Ric|^2.$$

$$\frac{\partial}{\partial t} d\text{vol}(x, t) = -R(x, t) \cdot d\text{vol}(x, t).$$

- Lower bound on scalar curvature. From:

$$\frac{\partial}{\partial t} R \geq \Delta R + \frac{2}{n} \cdot R^2,$$

if $R(\cdot, 0) \geq R_{\min}$, then for all $t \in [t_0, T]$,

$$R(\cdot, t) \geq \frac{n}{2} \cdot \frac{R_{\min}}{\frac{n}{2} - R_{\min}(t - t_0)}.$$

- Evolving orthonormal frame.

$\mathcal{F} := \{F_1, \dots, F_n\}$, $g(0)$ -orthonormal frame on M .

Evolving this frame by: $\frac{\partial F_a(t)}{\partial t} = \text{Ric}(F_a(t), \cdot)^*$ along RF.

• For all $t \in [0, T)$, the frame $\{F_i(t)\}$ is local g_{flat} -orthonormal.

• Set $\tilde{F}_i^* := \{F^1, \dots, F^n\}$ be dual coframe to F_i .

• In local coord. (x^1, \dots, x^n) , $\tilde{F}_a = F_a^i \frac{\partial}{\partial x^i}$.

$$R_m = R_{abcd} F^a \tilde{F}^b F^c \tilde{F}^d, \quad R_{abcd} = R_{ijkl} F_a^i F_b^j F_c^k F_d^l.$$

then with $B_{abcd} = \sum_{e,f} R_{aebf} R_{cedf}$, we have:

$$\partial_t R_{abcd} = \Delta R_{abcd} + 2(B_{abed} - B_{abdc} - B_{adbc} + B_{acbd}).$$

• $\{\varphi^1, \dots, \varphi^{\frac{n(n-1)}{2}}\}$ = orthonormal basis of $\Lambda^2 T^* M$

• Write $\varphi^\alpha(F_a, F_b) = \varphi_{ab}^\alpha$, then rewrite R_m as $\mathcal{T} = (\mathcal{T}_{\alpha\beta})$ so that:

$$R_{abcd} = \mathcal{T}_{\alpha\beta} \cdot \varphi_{ab}^\alpha \cdot \varphi_{cd}^\beta.$$

then:

$$\partial_t \mathcal{T}_{\alpha\beta} = \Delta \mathcal{T}_{\alpha\beta} + \mathcal{T}_{\alpha\beta}^2 + \mathcal{T}_{\alpha\beta}^*$$

where: $\mathcal{T}_{\alpha\beta}^2 = \mathcal{T}_{\alpha\gamma} \cdot \mathcal{T}_{\gamma\beta}$, $\mathcal{T}_{\alpha\beta}^* = C_{\alpha\gamma\delta} C_{\beta\eta\zeta} \mathcal{T}_{\gamma\delta} \mathcal{T}_{\eta\zeta}$ is the Lie algebra square, with $C_{\alpha\beta\gamma} = \langle [\varphi^\alpha, \varphi^\beta], \varphi^\gamma \rangle$.

§3. Maximum principle and Hamilton-Ivey pinching estimate.

• Maximum principle of scalar function: $(M, g) = \text{cpt Riem. mfd.}$

• $h: M \times [0, T) \rightarrow \mathbb{R}$, $(\partial_t - \Delta_g) h = 0$.

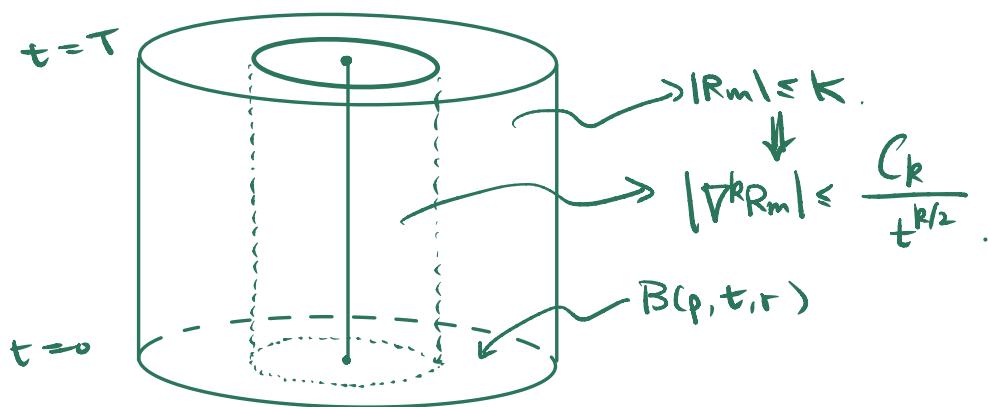
Then: $h(x, 0) \geq 0$, for all $x \in M \Rightarrow h(x, t) \geq 0$, for all (x, t) .

• Theorem (Shi's derivative estimates).

- $(M, g(t))$, $0 \leq t \leq T$, n -dim. RF. $p \in M$.
- $k = 1, 2, \dots$, $r > 0$, $K < +\infty$, $\exists C_k = C_k(K, T, r, n)$, s.t., if
 $|Rm| \leq K$, on $B(p, 0, r) \times [0, T]$

then:

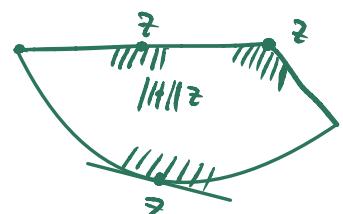
$$|\nabla^k Rm| \leq \frac{C_k}{t^{k/2}}, \text{ on } B(p, 0, \frac{r}{2}) \times [0, T].$$



• V : finite dim. real vector space. $Z \subset V$: closed convex subset.

• $\forall z \in Z$, $T_z Z = H$, H is closed

half-space of V , s.t. $z \in \partial H$, $Z \subset H$.



• curvature preserving: If \mathcal{F} is a vector field on V , we say \mathcal{F} preserves Z , if for every $z \in Z$, $\mathcal{F}(z) \in T_z Z$.

• Thm. (Maximum principle for tensors). (Hamilton).

• M^n : cpt Riem. mfd. $\mathcal{V} \rightarrow M$: tensor bundle.

- $g(t), t \in [0, T]$ = smooth 1-parameter family metrics,
- $\mathcal{Z} \subset V \times [0, T]$ is a closed subset with $\mathcal{Z}(t)$ is a convex subset of $V \times \{t\}$, invariant under the parallel translation of $g(t)$.
- \mathcal{F} : a fiberwise vector field defined on a nbhd of \mathcal{Z} in $V \times [0, T]$, that preserves the family $\mathcal{Z}(t)$ for each $t \in [0, T]$.
- $T(x, t), t \in [0, T]$ = one-parameter family of sections of V that evolves by:

$$\frac{\partial T}{\partial t} = \Delta_{g(t)} T + \mathcal{F}(T).$$

Then: if $T(x, 0) \in \mathcal{Z}(0)$, for all $x \in M$,

\Rightarrow if $T(x, t) \in \mathcal{Z}(t)$, for all $(x, t) \in M \times [0, T]$.

- We also have **local version** and **strong version** of this maximum principle.
- $n=3$, in an orthonormal basis in which

$$T = \begin{pmatrix} \lambda & 0 & 0 \\ 0 & \mu & 0 \\ 0 & 0 & \nu \end{pmatrix}, \quad \lambda \geq \mu \geq \nu$$

the vector field $\mathcal{F}(T)$ is given by:

$$\mathcal{F}(T) = T^2 + T^\# = \begin{pmatrix} \lambda^2 + \mu\nu & 0 & 0 \\ 0 & \mu^2 + \lambda\nu & 0 \\ 0 & 0 & \nu^2 + \lambda\mu \end{pmatrix}$$

- Nonnegative curvature is preserved:

- $(M, g(t))$, $0 \leq t \leq T$, RF on compact, connected 3-mfd.

- ① If $Rm(x, 0) \geq 0$ for all $x \in M$, then:

$Rm(x, t) \geq 0$, for all $x \in M$, $t \in [0, T]$.

.. $\nu_x : \text{Sym}^2(\Lambda^2 T^* M) \rightarrow \mathbb{R}$ the function to the smallest eigenvalue.

$\mathcal{Z} := \bigcup_{x \in M} \mathcal{Z}_x$, $\mathcal{Z}_x := \nu_x^{-1}([0, +\infty))$, then $\sigma \mathcal{T} \in \mathcal{Z}_x$

$\Rightarrow \nu_x(4(\sigma \mathcal{T})) = \nu^2 + \lambda \mu \in \mathcal{Z}_x \Rightarrow 4$ preserves \mathcal{Z} .

- ② If $Ric(x, 0) \geq 0$ for all $x \in M$, then:

$Ric(x, t) \geq 0$ for all $x \in M$, $t \in [0, T]$.

.. $s_x : \text{Sym}^2(\Lambda^2 T^* M) \rightarrow \mathbb{R}$, $\sigma \mathcal{T} \mapsto \mu + \nu$.

$\mathcal{Z} = \bigcup_{x \in M} \mathcal{Z}_x$, $\mathcal{Z}_x := s_x^{-1}([0, +\infty))$, then $\sigma \mathcal{T} \in \mathcal{Z}_x$

$\Rightarrow s_x(4(\sigma \mathcal{T})) = \mu^2 + \nu^2 + \lambda(\mu + \nu) \Rightarrow 4$ preserves \mathcal{Z} .

- Some rigidity results from strong maximum principle.

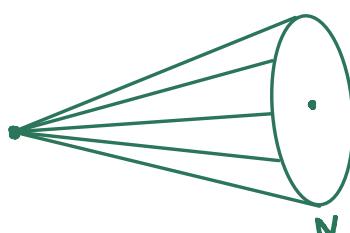
- $(M, g(t))$, $0 \leq t \leq T$, 3-dim. RF with $Rm \geq 0$ everywhere.

- ① If $R(p, T) = 0$ for some $p \in M$, then all $(M, g(t))$ are flat.

- ② If $(M, g(T))$ is isometric to a non-empty open subset

of a cone over a Riem. mfd,

then $(M, g(t))$ is flat.



cone over N .



- ③ If $Rm(p, T)$ has a zero eigenvalue, say $\lambda(p, T) = 0$, then up to a covering, we have:

$$(M, g(t)) = (N^2, h(t)) \times (\mathbb{R}, ds^2),$$

If $(M, g(t))$ is non-flat, then $(N, h(t))$ is surface of positive curvature.

• Extending RFs.

- $(M, g(t))$, $0 \leq t < T < +\infty$, be RF on compact mfd M .
- Then, either the flow extends to $[0, T')$ for some $T' > T$, or:

$$\limsup_{t \uparrow T} |Rm| = +\infty.$$

• Theorem (Hamilton).

- M : compact connected 3-mfd. $(M, g(t))$, $0 \leq t < T$, RF.
- If $Ric(x, 0) \geq 0$ for all $x \in M$, then:
 - either $Ric(x, t) > 0$, for all $(x, t) \in M \times [0, T]$.
 - or $Ric(x, t) = 0$, for all $(x, t) \in M \times [0, T]$.
- Assume $Ric(x, t) > 0$ for some $(x, t) \in M \times [0, T]$.
- Then the maximal existence time $T < +\infty$, and as $t \uparrow T$, $(M, g(t))$ are becoming round in the sense that:

$$\lim_{t \uparrow T} \frac{\max_{x \in M} \lambda(x, t)}{\min_{x \in M} \lambda(x, t)} = 1.$$

- Further, $\forall x \in M$, $\lambda(x,t) \rightarrow +\infty$ as $t \uparrow T$. If we rescale $(M, g(t))$ by $\lambda(x,t)$, then these mfds converge smoothly to compact round mfd.
- In particular, M is diffeomorphic to a 3-dim. spherical space form.
- This then confirms Poincaré conjecture if we assume M admits a metric of positive curvature.
- Poincaré Conjecture Every closed, smooth, simply connected 3-mfd is diffeomorphic to S^3 .
- Rmk: In dim. 3, every homeomorphism can be approximated by diffeomorphisms.
- In general, without $\text{Ric}(g_0) > 0$:
 - If the topology of M^3 is sufficiently complicated, then, no matter what g_0 is, the Ricci flow must develop singularities.
 - Even the topology of M^3 is simple, if g_0 is complicated, the Ricci flow also develops singularities.
 - Unlike the case of $\text{Ric} > 0$ ($M = \text{singularities}$), here the singularities occur along proper subsets.

- Important results of Hamilton:
- Theorem. (Pinching toward positive curvature). (Hamilton)
 - $(M, g(t))$, $0 \leq t < T$, RF on compact 3-mfd.
 - Assume $\nu(x, 0) \geq -1$, for all $x \in M$.
 - Set $\chi(x, t) := \max \{-\nu(x, t), 0\}$. Then:
 - (1). $R(x, t) \geq \frac{-6}{4t+1}$.
 - (2). for all (x, t) for which $\chi(x, t) > 0$,
$$R(x, t) \geq 2\chi(x, t) \cdot [\log \chi(x, t) + \log(1+t) - 3].$$
- The Harnack inequality.
- On a given Riem. mfd, we have.
- Li-Yau: (M^n, g) : Riem. mfd with $\text{Ric} \geq 0$.
 Let $f: M \times [0, T] \rightarrow \mathbb{R}_+$ satisfies: $f > 0$, $(\partial_t - \Delta_g)f = 0$. Then:

$$\frac{\Delta f_+}{f_+} - \frac{|\nabla f_+|^2}{f_+^2} + \frac{n}{2t} \geq 0, \quad \text{on } M \times (0, T).$$
- Hamilton: (M^n, g) : Riem. mfd with $\text{See} \geq 0$ and $\nabla \text{Ric} = 0$,
 then:
$$\frac{\nabla^2 f_+}{f_+} - \frac{\nabla f_+ \otimes \nabla f_+}{f_+^2} + \frac{g}{2t} \geq 0, \quad \text{on } M \times (0, T).$$

- Along Ricci flow, we have:
- Theorem. (Hamilton).
- $(M, g(t))$, $t \in (T_0, T_1)$, RF on complete mfd.
- Assume for each t , $(M, g(t))$ has non-negative curvature operator and bounded curvature.
- $\chi(x, t)$: time-dependent vector field on M . Then:

$$\frac{\partial R(x, t)}{\partial t} + \frac{R(x, t)}{t - T_0} + 2\langle \chi(x, t), \nabla R(x, t) \rangle + 2\text{Ric}(\chi(x, t), \chi(x, t)) \geq 0.$$

- In particular, choose $\chi = 0$, we have:

$$\frac{\partial R(x, t)}{\partial t} + \frac{R(x, t)}{t - T_0} \geq 0.$$

- Or, choose $\chi = -\nabla R/2R$, we have: $\forall t_1 < t_2 \in (T_0, T_1)$,

$$\log\left(\frac{R(x_2, t_2)}{R(x_1, t_1)}\right) \geq -\frac{d_{t_2}^2(x_1, x_2)}{2(t_2 - t_1)}.$$

- An important corollary is:
- Cor. • $(M, g(t))$, $-\infty < t \leq 0$, RF on complete mfd.
- each $(M, g(t))$ has bounded and non-negative curvature operator.
- Then: $\frac{\partial R(x, t)}{\partial t} \geq 0$.

• §4. Compactness of RFs.

- We only consider complete Riem. mfds here.
- $(M_k, g_{k(t)})$, $-T \leq t \leq 0$, n -dim. RF,
- $(x_k, 0) \in M_k \times [-T, 0]$: base-point.
- Condition (1) : $\forall \delta > 0$, $A < +\infty$, $\exists C = C(\delta, A) < +\infty$, s.t.

$$|Rm_{g_k}| \leq C(\delta, A), \text{ on } B_{g_k}(x_k, 0, A) \times (-T + \delta, -\delta).$$

- Condition (2) : $\exists K > 0$, $r_0 > 0$, s.t. for all k large,

$$\text{Vol}_{g_k}(B(x_k, 0, r_0)) \geq K \cdot r_0^n.$$

- Then, after passing to a subsequence, for $-T < t < 0$,

$$(M_k, g_{k(t)}, (x_k, 0)) \xrightarrow{\text{C}^\infty\text{-Cheeger-Gromov}} (M_\infty, g_\infty(t), (x_\infty, 0)).$$

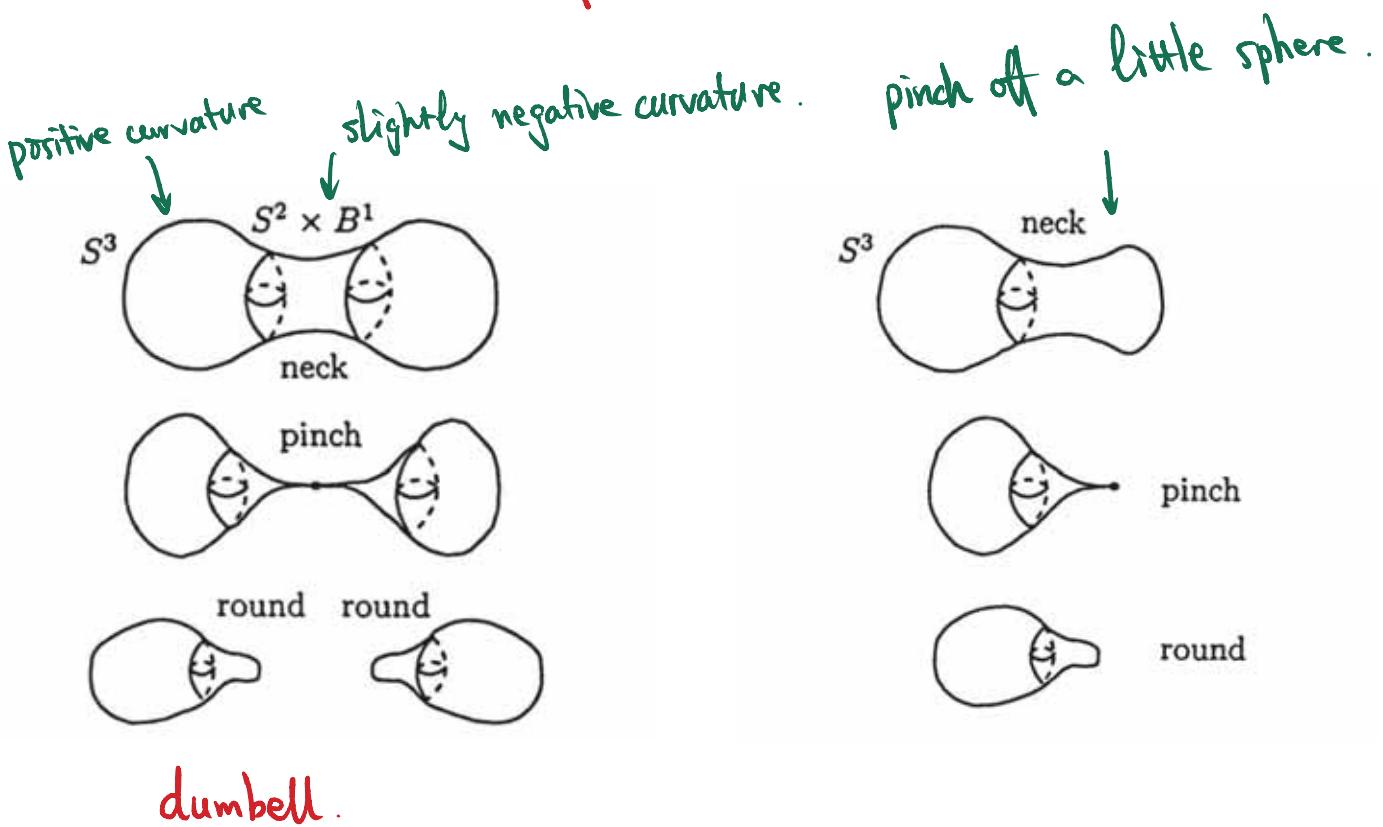
- Each $(M_\infty, g_\infty(t))$ is complete.
- Without Condition (1), we can only have weaker convergence (e.g., GH, \overline{F} -limit) to limits with complicated singularities.

§5. 4-dim. RF with positive curvature.

- Theorem (Hamilton). A compact 4-manifold with positive curvature operator is diffeomorphic to the sphere S^4 or the real projective space \mathbb{RP}^4 .
- PIC condition: A $n \geq 4$ -dim. Riem. mfd (M, g) is said to have positive isotropic curvature, if for every orthonormal 4-frame, the Rm curvature satisfies:
$$R_{1213} + R_{1414} + R_{2323} + R_{2424} \geq 2R_{1234}.$$
- Micallef-Moore: use minimal surface theory showed: every compact simply connected mfd with PIC is homeomorphic to S^n .
- In dim 4, we have:
- Theorem (Hamilton, Chen-Zhu, Chen-Tang-Zhu). π_1 injects.
A compact 4-manifold with no essential incompressible space-form and with a metric of PIC is diffeomorphic to S^4 , or \mathbb{RP}^4 , or $S^2 \times S^2$, or $S^3 \tilde{\times} S^1$, or a connect sum of them.
- Here, Hamilton proposed the notion of Ricci flow with surgery.

- Rmk: Hamilton's proof is incomplete, e.g., how to prevent the surgery times from accumulation.

- Intuitive solution in dim. 3 of Hamilton:



• §6. Geometrization. (Naïve introduction).

- In dim. 2:

genus =	0	1	2	3 ...
M^2 :				
universal cover	S^2	\mathbb{R}^2	H^2	
K	$= +1$	$= 0$	$= -1$.	

- The topology and geometry are determined by each other.
- First approach: View (M^2, g) as a Riemann surface, then from complex analysis, the universal covering of M is conformal to either S^2 , or \mathbb{R}^2 , or the hyperbolic disk D .
 \Rightarrow the topology of M is determined by $\pi_1(M)$.
- Second approach (Elliptic theory): Given (M^2, g) , consider a new metric $\tilde{g} = e^\varphi \cdot g$, $\varphi \in C^\infty(M)$. Then \tilde{g} has constant curvature $\mu \in \mathbb{R}$ if:

$$-\Delta_g \varphi + K(g) = \mu \cdot e^\varphi.$$

For $\lambda > 0$, $= 0$, < 0 , this eqn. has a solution \Rightarrow uniformization.

Nirenberg problem: Nirenberg, Kazdan-Warner, Aubin, ...

- Third approach (Ricci flow). (Hamilton, Chow, Chen-Lu-Tian).

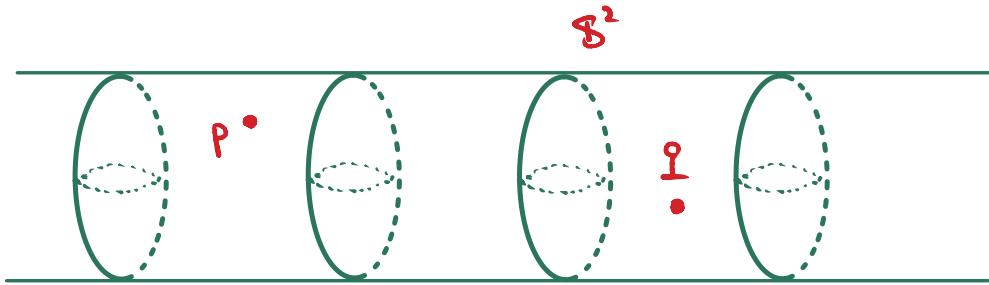
Given (M^2, g_0) , the flow:

$$\frac{\partial g(t)}{\partial t} = -2\text{Ric}(g(t)), \quad g(0) = g_0.$$

has a global solution after normalization, and converge to a metric g_∞ of constant curvature.

- In dim 3, the situation is much more complicated.
- (M^n, g) : Riem. mfd.
- (M, g) is called **isotropic**, if at each $p \in M$, every isometry of $T_p M$ is realised by an isometry of M .
- (M, g) is called **homogeneous**, if for every $p, q \in M$, there is an isometry of M sending p to q .
- A complete isotropic mfd is also homogeneous and has constant sectional curvature, e.g.,
 S^n , \mathbb{R}^n , H^n , and their quotients.

- In dim 2., isotropic metric \Leftrightarrow topology.
- In dim 3., $(S^2 \times \mathbb{R}, h_{S^2} \times ds^2)$ is homogeneous, but **not** isotropic.



- Eight geometric 3-manifolds.

\mathbb{R}^3 , S^3 , H^3 , $S^2 \times \mathbb{R}$, $H^2 \times \mathbb{R}$, Nil, $PSL_2(\mathbb{R})$, Solv.

- Thurston's Geometrization Conjecture.

not S^3 , every separating S^2 bounds a 3-ball.

Any closed, orientable, prime 3-manifold M contains a disjoint union of embedded incompressible 2-tori and Klein bottles, such that each connected component of the complement admits a complete, locally homogeneous Riem. metric of finite volume.

- Rmk: Classification of complete, finite volume hyperbolic 3-manifolds remains open.

- Simple remark: For a Riem. n-mfd (M^n, g) , the Riemannian

curvature R_{ijkl} is skew-symmetric in (ij) and (kl) , and satisfies the Bianch identity:

$$R_{ijlk} + R_{iklj} + R_{iljk} = 0.$$

Here are $d(n) = n^2 - (n^2 - 1)/12$ eqns.

- A metric has constant sectional curvature K if

$$R_{ijlk} = K \cdot (g_{ik}g_{jl} - g_{jk}g_{il})$$

- In dim. 3, $K \equiv \lambda \Leftrightarrow \text{Ric} \equiv 2\lambda$.

- So naively, the condition of $K \equiv K$ can be regarded locally as

$d(n)$ eqns for $n \cdot \binom{n+1}{2}$ variables making up of g_{ij} .

dim	variables	eqns
n	$n(n+1)/2$	$d(n)$

2	1	1
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3	6	6
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4	10	20
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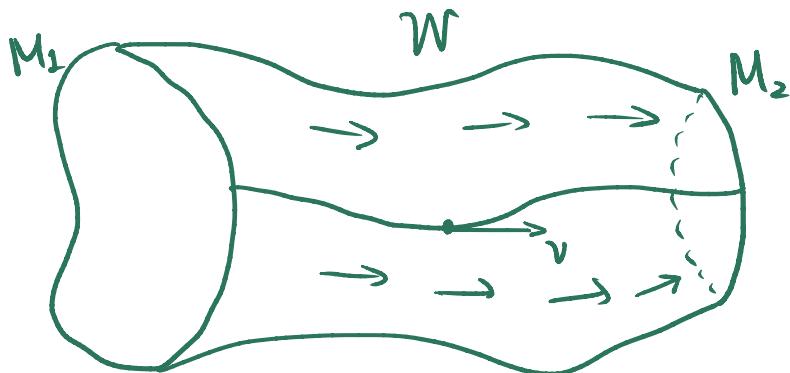
5	15	50
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- The Einstein equation: $\text{Ric} = \lambda \cdot g$ is "determined" eqn, hence it is reasonable to hope to find Einstein metrics in a fairly general context.

- Smale's h-cobordism theorem. ($n \geq 5$).
- Two n-manifolds M_1, M_2 is called **h-cobordant**, if \exists a $(n+1)$ -manifold W with boundary:

$$\partial W = M_1 \cup M_2$$
 such that the inclusions $M_i \hookrightarrow W$ are homotopy equivalence.
- If $n \geq 5$, if M_1 and M_2 are simply connected, h-cobordant n-mfds, then they are diffeomorphic.
- The proof is by constructing a nowhere vanishing vector field v on W , s.t. the flow lines of v go from M_1 to M_2 .



- The smooth h-cobordism thm fails in $\dim n \leq 4$.

