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SOME PROPERTIES OF THE SCHOUTEN TENSOR AND APPLICATIONS TO CONFORMAL GEOMETRY

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ABSTRACT. The Riemannian curvature tensor decomposes into a conformally invariant part, the Weyl tensor, and a non-conformally invariant part, the Schouten tensor. A study of the kth elementary symmetric function of the eigenvalues of the Schouten tensor was initiated in an earlier paper by the second author, and a natural condition to impose is that the eigenvalues of the Schouten tensor are in a certain cone, Γ_k^+ . We prove that this eigenvalue condition for $k \ge n/2$ implies that the Ricci curvature is positive. We then consider some applications to the locally conformally flat case, in particular, to extremal metrics of σ_k -curvature functionals and conformal quermassintegral inequalities, using the results of the first and third authors.

1. INTRODUCTION

Let (M^n, g) be an *n*-dimensional Riemannian manifold, $n \ge 3$, and let the Ricci tensor and scalar curvature be denoted by Ric and R, respectively. We define the Schouten tensor

$$A_g = \frac{1}{n-2} \left(Ric - \frac{1}{2(n-1)} Rg \right).$$

There is a decomposition formula (see [1]):

(1)
$$\operatorname{Riem} = A_q \odot g + \mathcal{W}_q,$$

where \mathcal{W}_g is the Weyl tensor of g, and \odot denotes the Kulkarni-Nomizu product (see [1]). Since the Weyl tensor is conformally invariant, to study the deformation of the conformal metric, we only need to understand the Schouten tensor. A study of k-th elementary symmetric functions of the Schouten tensor was initiated in [13], it was reduced to certain fully nonlinear Yamabe type equations. In order to apply the elliptic theory of fully nonlinear equations, one often restricts the Schouten tensor to be in a certain cone Γ_k^+ , defined as follows (according to Garding [5]).

Definition 1. Let $(\lambda_1, \dots, \lambda_n) \in \mathbf{R}^n$. Let σ_k denote the *k*th elementary symmetric function

$$\sigma_k(\lambda_1, \cdots, \lambda_n) = \sum_{i_1 < \cdots < i_k} \lambda_{i_1} \cdots \lambda_{i_k},$$

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and let

$$\Gamma_k^+ = \text{component of } \{\sigma_k > 0\} \text{ containing } (1, \dots, 1)$$

Let $\overline{\Gamma}_k^+$ denote the closure of Γ_k^+ . If (M,g) is a Riemannian manifold, and $x \in M$, we say g has positive (nonnegative, resp.) Γ_k -curvature at x if its Schouten tensor $A_g \in \Gamma_k^+$ ($\overline{\Gamma}_k^+$, resp.) at x. In this case, we also say $g \in \Gamma_k^+$ ($\overline{\Gamma}_k^+$, resp.) at x.

We note that positive Γ_1 -curvature is equivalent to positive scalar curvature, and the condition of positive Γ_k -curvature has some geometric and topological consequences for the manifold M. For example, when (M, g) is locally conformally flat with positive Γ_1 -curvature, then $\pi_i(M) = 0, \forall 1 < i \leq \frac{n}{2}$, by a result of Schoen and Yau [11]. In this note, we will prove that positive Γ_k -curvature for any $k \geq \frac{n}{2}$ implies positive Ricci curvature.

Theorem 1. Let (M, g) be a Riemannian manifold and $x \in M$. If g has positive (nonnegative, resp.) Γ_k -curvature at x for some $k \ge n/2$, then its Ricci curvature is positive (nonnegative, resp.) at x. Moreover, if the Γ_k -curvature is nonnegative for some k > 1, then

$$Ric_g \ge \frac{2k-n}{2n(k-1)}R_g \cdot g.$$

In particular, if $k \geq \frac{n}{2}$, then

$$Ric_{g} \geq \frac{(2k-n)(n-1)}{(k-1)} \binom{n}{k}^{-\frac{1}{k}} \sigma_{k}^{\frac{1}{k}}(A_{g}) \cdot g$$

Remark. Theorem 1 is not true for k = 1. Namely, the condition of positive scalar curvature gives no restriction on the lower bound of the Ricci curvature.

Corollary 1. Let (M^n, g) be a compact, locally conformally flat manifold with nonnegative Γ_k -curvature everywhere for some $k \ge n/2$. Then (M, g) is conformally equivalent to either a space form or a finite quotient of a Riemannian $\mathbf{S}^{n-1}(c) \times \mathbf{S}^1$ for some constant c > 0 and k = n/2. In particular, if $g \in \Gamma_k^+$, then (M, g) is conformally equivalent to a spherical space form.

When n = 3, 4, the result in Theorem 1 was already observed in [9] and [2]. Theorem 1 and Corollary 1 will be proved in the next section.

We will also consider the equation

(2)
$$\sigma_k(A_{\tilde{g}}) = constant,$$

for conformal metrics $\tilde{g} = e^{-2u}g$. This equation was studied in [13], where it was shown that when $k \neq n/2$, (2) is the conformal Euler-Lagrange equation of the functional

(3)
$$\mathcal{F}_k(g) = \operatorname{Vol}(g)^{-\frac{n-2k}{n}} \int_M \sigma_k(g) \, d\operatorname{vol}(g),$$

when k = 1, 2 or for k > 2 when M is locally conformally flat. We remark that in the even-dimensional locally conformally flat case, $\mathcal{F}_{n/2}$ is a conformal invariant. Moreover, it is a multiple of the Euler characteristic, see [13].

This problem was further studied in [7], where the following conformal flow was considered:

$$\frac{d}{dt}g = -(\log \sigma_k(g) - \log r_k(g)) \cdot g,$$

$$g(0) = g_0,$$

where

$$\log r_k = \frac{1}{\operatorname{Vol}(g)} \int_M \log \sigma_k(g) d\operatorname{Vol}(g).$$

Global existence with uniform $C^{1,1}$ a priori bounds of the flow was proved in [7]. It was also proved that for $k \neq n/2$ the flow is sequentially convergent in $C^{1,\alpha}$ to a C^{∞} solution of $\sigma_k = constant$. Also, if k < n/2, then \mathcal{F}_k is decreasing along the flow, and if k > n/2, then \mathcal{F}_k is increasing along the flow. We remark that the existence result for equation (2) has been obtained independently in [10] in the locally conformally flat case for all k.

In Section 3, we will consider global properties of the functional \mathcal{F}_k , and give conditions for the existence of a global extremizer. We will also derive some conformal quermassintegral inequalities, which are analogous to the classical quermassintegral inequalities in convex geometry.

2. CURVATURE RESTRICTION

We first state a proposition which describes some important properties of the sets Γ_k^+ .

Proposition 1. (i) Each set Γ_k^+ is an open convex cone with vertex at the origin, and we have the following sequence of inclusions:

$$\Gamma_n^+ \subset \Gamma_{n-1}^+ \subset \cdots \subset \Gamma_1^+.$$
(ii) For any $\Lambda = (\lambda_1, \cdots, \lambda_n) \in \Gamma_k^+$ ($\overline{\Gamma}_k^+$, resp.), $\forall 1 \le i \le n$, let
 $(\Lambda|i) = (\lambda_1, \cdots, \lambda_{i-1}, \lambda_{i+1}, \cdots, \lambda_n).$

Then $(\Lambda|i) \in \Gamma_{k-1}^+$ $(\overline{\Gamma}_{k-1}^+, resp.)$. In particular,

$$\Gamma_{n-1}^+ \subset V_{n-1}^+ = \{ (\lambda_1, \cdots, \lambda_n) \in \mathbf{R}^n : \lambda_i + \lambda_j > 0, i \neq j \}.$$

The proof of this proposition is standard, following from [5].

Our main results are consequences of the following two lemmas. In this note, we assume that k > 1.

Lemma 1. Let $\Lambda = (\lambda_1, \lambda_2, \cdots, \lambda_{n-1}, \lambda_n) \in \mathbb{R}^n$, and define

$$A_{\Lambda} = \Lambda - \frac{\sum_{i=1}^{n} \lambda_i}{2(n-1)} (1, 1, \cdots, 1).$$

If $A_{\Lambda} \in \overline{\Gamma}_{k}^{+}$, then

(4)
$$\min_{i=1,\cdots,n} \lambda_i \ge \frac{(2k-n)}{2n(k-1)} \sum_{i=1}^n \lambda_i.$$

In particular, if $k \geq \frac{n}{2}$, then

$$\min_{i=1,\dots,n} \lambda_i \ge \frac{(2k-n)(n-1)}{(n-2)(k-1)} \binom{n}{k}^{-\frac{1}{k}} \sigma_k^{\frac{1}{k}}(A_\Lambda).$$

Proof. We first note that, for any nonzero vector $A = (a_1, \dots, a_n) \in \overline{\Gamma}_2^+$ we have $\sigma_1(A) > 0$. This can be proved as follows. Since $A \in \overline{\Gamma}_2^+$, $\sigma_1(A) \ge 0$. If $\sigma_1(A) = 0$, there must be an $a_i > 0$ for some i, since A is a nonzero vector. We may assume $a_n > 0$. Let $(A|n) = (a_1, \dots, a_{n-1})$; we have $\sigma_1(A|n) \ge 0$ by Proposition 1. This would give $\sigma_1(A) = \sigma_1(A|n) + a_n > 0$, a contradiction.

Now without loss of generality, we may assume that Λ is not a zero vector. By the assumption $A_{\Lambda} \in \overline{\Gamma}_{k}^{+}$ for $k \geq 2$, so we have $\sum_{i=1}^{n} \lambda_{i} > 0$.

Define

$$\Lambda_0 = (1, 1, \cdots, 1, \delta_k) \in \mathbb{R}^{n-1} \times \mathbb{R};$$

then we have $A_{\Lambda_0} = (a, \cdots, a, b)$, where

$$\delta_k = \frac{(2k-n)(n-1)}{2nk-2k-n},$$

$$a = 1 - \frac{n-1+\delta_k}{2(n-1)}, \quad b = \delta_k - \frac{n-1+\delta_k}{2(n-1)},$$

so that

(5)

$$\sigma_k(A_{\Lambda_0}) = 0$$
 and $\sigma_j(A_{\Lambda_0}) > 0$ for $j \le k - 1$.

It is clear that $\delta_k < 1$, and so a > b. Since (4) is invariant under the transformation from Λ to $s\Lambda$ for s > 0, we may assume that $\sum_{i=1}^{n} \lambda_i = \operatorname{tr}(\Lambda_0) = n - 1 + \delta_k$ and $\lambda_n = \min_{i=1,\dots,n} \lambda_i$. We write

$$A_{\Lambda} = (a_1, \cdots, a_n).$$

We claim that

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(6)
$$\lambda_n \ge \delta_k.$$

This is equivalent to showing

(7)
$$a_n \ge b.$$

Assume for a contradiction that $a_n < b$. We consider $\Lambda_t = t\Lambda_0 + (1-t)\Lambda$ and

$$A_t := A_{\Lambda_t} = tA_{\Lambda_0} + (1-t)A_{\Lambda}$$

= ((1-t)a + ta_1, \dots, (1-t)a + ta_{n-1}, (1-t)b + ta_n).

By the convexity of the cone Γ_k^+ (see Proposition 1), we know that

$$A_t \in \Gamma_k^+$$
, for any $t \in (0, 1]$.

In particular, $f(t) := \sigma_k(A_t) \ge 0$ for any $t \in [0, 1]$. By the definition of δ_k , f(0) = 0. For any *i* and any vector $V = (v_1, \dots, v_n)$, we denote by

$$V|i) = (v_1, \cdots, v_{i-1}, v_{i+1}, \cdots, v_n)$$

the vector with the *i*-th component removed. Now we compute the derivative of f at 0:

$$f'(0) = \sum_{i=1}^{n-1} (a_i - a)\sigma_{k-1}(A_0|i) + (a_n - b)\sigma_{k-1}(A_0|n).$$

Since $(A_0|i) = (A_0|1)$ for $i \le n-1$ and $\sum_{i=1}^n a_i = (n-1)a + b$, we have $f'(0) = (a_n - b)(\sigma_{k-1}(A_0|n) - \sigma_{k-1}(A_0|1)) < 0$,

for $\sigma_{k-1}(A_0|n) - \sigma_{k-1}(A_0|1) > 0$. (Recall that b < a.) This is a contradiction; hence $\lambda_n \ge \delta_k$. It follows that

$$\min_{i=1,\cdots,n} \lambda_i \ge \delta_k = \frac{2k-n}{2n(k-1)} \sum_{i=1}^n \lambda_i$$

Finally, the last inequality in the lemma follows from the Newton-MacLaurin inequality. $\hfill \square$

Remark. It is clear from the above proof that the constant in Lemma 1 is optimal.

We next consider the case $A_{\Lambda} \in \overline{\Gamma}_{\frac{n}{2}}^+$.

Lemma 2. Let k = n/2 and $\Lambda = (\lambda_1, \dots, \lambda_n) \in \mathbb{R}^n$ with $A_{\Lambda} \in \overline{\Gamma}_k^+$. Then either $\lambda_i > 0$ for any i, or

$$\Lambda = (\lambda, \lambda, \cdots, \lambda, 0)$$

up to a permutation. If the second case is true, then we must have $\sigma_{\frac{n}{2}}(A_{\Lambda}) = 0$.

Proof. By Lemma 1, to prove the Lemma we only need to check that for $\Lambda = (\lambda_1, \dots, \lambda_{n-1}, 0)$ with $A_{\Lambda} \in \overline{\Gamma}_k^+$,

$$\lambda_i = \lambda_j, \quad \forall i, j = 1, 2, \cdots, 2k - 1$$

We use the same idea as in the proof of the previous Lemma. Without loss of generality, we may assume that Λ is not a zero vector. By the assumption $A_{\Lambda} \in \overline{\Gamma}_{k}^{+}$ for $k \geq 2$, we have $\sum_{i=1}^{n-1} \lambda_{i} > 0$. Hence we may assume that $\sum_{i=1}^{n-1} \lambda_{i} = n-1$. Define

$$\Lambda_0 = (1, 1, \cdots, 1, 0) \in \mathbb{R}^n$$

It is easy to check that

(8)
$$A_{\Lambda_0} \in \Gamma_{k-1}^+$$
 and $\sigma_k(A_{\Lambda_0}) = 0.$

That is, $A_{\Lambda_0} \in \overline{\Gamma}_k^+$. If the λ 's are not all the same, we have

$$\sum_{i=1}^{n-1} (\lambda_i - 1) = 0$$

and

$$\sum_{i=1}^{n-1} (\lambda_i - 1)^2 > 0.$$

Now consider $\Lambda_t = t\Lambda_0 + (1-t)\Lambda$ and

$$A_t := A_{\Lambda_t} = tA_{\Lambda_0} + (1-t)A_{\Lambda} = (\frac{1}{2} + t(\lambda_1 - 1), \cdots, \frac{1}{2} + t(\lambda_{n-1} - 1), -\frac{1}{2}).$$

From the assumption that $A \in \overline{\Gamma}_k^+$, (8), and the convexity of $\overline{\Gamma}_k^+$, we have

(9)
$$A_t \in \overline{\Gamma}_k^+ \quad \text{for } t > 0.$$

For any $i \neq j$ and any vector A, we denote by (A|ij) the vector with the *i*-th and *j*-th components removed. Let $\tilde{\Lambda} = (\frac{1}{2}, \cdots, \frac{1}{2}, -\frac{1}{2})$ be an (n-1)-vector, and $\Lambda^* = (\frac{1}{2}, \cdots, \frac{1}{2}, -\frac{1}{2})$ an (n-2)-vector. It is clear that $\forall i \neq j$, $i, j \leq n-1$,

$$\sigma_{k-1}(A_0|i) = \sigma_{k-1}(\Lambda) > 0,$$

$$\sigma_{k-2}(A_0|ij) = \sigma_{k-2}(\Lambda^*) > 0$$

Now we expand $f(t) = \sigma_k(A_t)$ at t = 0. By (8), f(0) = 0. We compute

$$f'(0) = \sum_{i=1}^{n-1} (\lambda_i - 1) \sigma_{k-1}(A_0|i)$$
$$= \sigma_{k-1}(\widetilde{\Lambda}) \sum_{i=1}^{n-1} (\lambda_i - 1) = 0$$

and

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$$f''(0) = \sum_{i \neq j} (\lambda_i - 1)(\lambda_j - 1)\sigma_{k-2}(A_0|ij)$$

= $\sigma_{k-2}(\Lambda^*) \sum_{i \neq j} (\lambda_i - 1)(\lambda_j - 1)$
= $-\sigma_{k-2}(\Lambda^*) \sum_{i=1}^{n-1} (\lambda_i - 1)^2 < 0,$

for $\sigma_{k-2}(A_0|ij) = \sigma_{k-2}(\Lambda^*) > 0$ for any $i \neq j$ and $\sum_{i\neq j} (\lambda_j - 1) = (1 - \lambda_i)$. Hence f(t) < 0 for small t > 0, which contradicts (9).

Remark. From the proof of Lemma 2, there is a constant C > 0, depending only on n and $\frac{\sigma_{\frac{n}{2}}^{\frac{2}{n}}(A_{\Lambda})}{\sigma_1(A_{\Lambda})}$, such that

$$\min_{i} \lambda_{i} \geq C\sigma_{\frac{n}{2}}^{\frac{2}{n}}(A_{\Lambda}).$$

Proof of Theorem 1. Theorem 1 follows directly from Lemmas 1 and 2.

Corollary 2. Let (M, g) be an n-dimensional Riemannian manifold and $k \ge n/2$, and let $N = M \times S^1$ be the product manifold. Then N does not have positive Γ_k curvature. If N has nonnegative Γ_k -curvature, then (M, g) is an Einstein manifold, and there are two cases: either k = n/2, or k > n/2 and (M, g) is a torus.

Proof. This follows from Lemmas 1 and 2.

Proof of Corollary 1. From Theorem 1, we know that the Ricci curvature Ric_g is nonnegative. Now we deform it by the Yamabe flow considered by Hamilton, Ye [15] and Chow [4] to obtain a conformal metric \tilde{g} of constant scalar curvature. The Ricci curvature $Ric_{\tilde{g}}$ is nonnegative, for the Yamabe flow preserves the nonnegativity of the Ricci curvature, see [4]. Now, by a classification result given in [12, 3], we know that (M, \tilde{g}) is isometric to either a space form or a finite quotient of a Riemannian $\mathbf{S}^{n-1}(c) \times \mathbf{S}^1$ for some constant c > 0. In the latter case, it is clear that k = n/2, since otherwise it cannot have nonnegative Γ_k -curvature.

Next, we will prove that if M is locally conformally flat with positive Γ_{n-1} curvature, then g has positive sectional curvature. If M is locally conformally flat,
then by (1) we may decompose the full curvature tensor as

$$\operatorname{Riem} = A_g \odot g,$$

Proposition 2. Assume that n = 3, or that M is locally conformally flat. Then the Schouten tensor $A_g \in V_{n-1}^+$ if and only if g has positive sectional curvature.

Proof. Let π be any 2-plane in $T_p(N)$, and let X, Y be an orthonormal basis of π . We have

$$\begin{split} K(\sigma) &= \operatorname{Riem}(X,Y,X,Y) = A_g \odot g(X,Y,X,Y) \\ &= A_g(X,X)g(Y,Y) - A_g(Y,X)g(X,Y) \\ &+ A_g(Y,Y)g(X,X) - A_g(X,Y)g(Y,X) \\ &= A_g(X,X) + A_g(Y,Y). \end{split}$$

From this it follows that

$$\min_{\sigma \in T_p N} K(\sigma) = \lambda_1 + \lambda_2$$

where λ_1 and λ_2 are the smallest eigenvalues of A_g at p.

Corollary 3. If (M, g) is locally conformally flat with positive Γ_{n-1} -curvature, then g has positive sectional curvature.

Proof. This follows easily from Propositions 1 and 2.

3. Extremal metrics of σ_k -curvature functionals

We next consider some properties of the functionals \mathcal{F}_k associated to σ_k . These functionals were introduced and discussed in [13], see also [7]. Further variational properties in connection to 3-dimensional geometry were studied in [9].

We recall that \mathcal{F}_k is defined by

$$\mathcal{F}_k(g) = \operatorname{Vol}(g)^{-\frac{n-2k}{n}} \int_M \sigma_k(g) \, d\operatorname{vol}(g).$$

We denote $C_k = \{g \in [g_0] | g \in \Gamma_k^+\}$, where $[g_0]$ is the conformal class of g_0 .

We now apply our results to show that if $g_0 \in \Gamma_{\frac{n}{2}}^+$, then there is an extremal metric g_e which minimizes \mathcal{F}_m for m < n/2, and if m > n/2, there is an extremal metric g_e which maximizes \mathcal{F}_m .

Proposition 3. Suppose (M, g_0) is locally conformally flat and $g_0 \in \Gamma_k^+$ for some $k \geq \frac{n}{2}$. Then $\forall m < \frac{n}{2}$, there is an extremal metric $g_e^m \in [g_0]$ such that

(10)
$$\inf_{g \in \mathcal{C}} \mathcal{F}_m(g) = \mathcal{F}_m(g_e^m)$$

and $\forall m > \frac{n}{2}$, there is extremal metric $g_e^m \in [g_0]$ such that

(11)
$$\sup_{g \in \mathcal{C}_m} \mathcal{F}_k(g) = \mathcal{F}_k(g_e^m).$$

In fact, any solution to $\sigma_m(g) = constant$ is an extremal metric.

Proof. First, by Corollary 1, (M, g_0) is conformal to a spherical space form. For any $g \in \mathcal{C}_m$, from [7] we know there is a conformal metric \tilde{g} in \mathcal{C}_m such that $\sigma_m(\tilde{g})$ is constant and

- (a) if m > n/2, then $\mathcal{F}_m(g) \leq \mathcal{F}_m(\tilde{g})$,
- (b) if m < n/2, then $\mathcal{F}_m(g) \ge \mathcal{F}_m(\widetilde{g})$.

A classification result of [13] and [14], which is analogous to a result of Obata for the scalar curvature, shows that \tilde{g} has constant sectional curvature. Therefore \tilde{g} is the unique critical metric unless M is conformally equivalent to \mathbf{S}^n , in which case any critical metric is the image of the standard metric under a conformal diffeomorphism. This clearly implies the conclusion of the Proposition.

Next we consider the case k < n/2. We have

Proposition 4. Suppose (M, g_0) is locally conformally flat and $g_0 \in \Gamma_k^+$ for some $k < \frac{n}{2}$. Suppose furthermore that for any fixed C > 0, the space of solutions to the equation $\sigma_k = C$ is compact, with a bound independent of the constant C. Then there is an extremal metric $g_e^k \in [g_0]$ such that

$$\inf_{g \in \mathcal{C}_k} \mathcal{F}_k(g) = \mathcal{F}_k(g_e^k).$$

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Proof. From the compactness assumption, there exists a critical metric g_e^k which has least energy. If the functional assumed a value strictly lower than $\mathcal{F}_k(g_e^k)$, then by [7], the flow would decrease to another solution of $\sigma_k = constant$, which is a contradiction since g_e^k has minimal energy.

We conclude with conformal quermassintegral inequalities, which were conjectured in [7], and verified there for some special cases when (M, g) is locally conformally flat and $g \in \Gamma_{\frac{n}{2}-1}^+$ or $g \in \Gamma_{\frac{n}{2}+1}^+$ using the flow method. In the case of k = 2, n = 4, the inequality was proved in [8] without the locally conformally flat assumption.

Proposition 5. Suppose (M, g_0) is locally conformally flat and $g_0 \in \Gamma_k^+$ for some $k \geq \frac{n}{2}$. Then for any $1 \leq l < \frac{n}{2} \leq k \leq n$ there is a constant C(k, l, n) > 0 such that for any $g \in [g_0]$ and $g \in \Gamma_k^+$,

(12)
$$(\mathcal{F}_k(g))^{1/k} \le C(k,l,n)(\mathcal{F}_l(g))^{1/l},$$

with equality if and only if (M, g) is a spherical space form.

Proof. By Proposition 3, we have a conformal metric g_e of constant sectional curvature such that

$$\inf_{g \in \mathcal{C}_l} \mathcal{F}_l(g) = \mathcal{F}_l(g_e)$$

and

$$\sup_{g \in \mathcal{C}_k} \mathcal{F}_k(g) = \mathcal{F}_k(g_e).$$

Hence, for any $g \in \Gamma_k^+$ we have

$$\frac{(\mathcal{F}_k(g))^{1/k}}{(\mathcal{F}_l(g))^{1/l}} \leq \frac{(\mathcal{F}_k(g_e))^{1/k}}{(\mathcal{F}_l(g_e))^{1/l}} \\ = \frac{(l!(n-l)!)^{1/l}}{(k!(n-k)!)^{1/k}}.$$

When the equality holds, g is an extremal of \mathcal{F}_l , hence a metric of constant sectional curvature by [13].

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