

Advanced Lectures in Mathematics  
Volume XIII

# Handbook of Geometric Analysis, No. 2

Editors: Lizhen Ji, Peter Li, Richard Schoen, and Leon Simon

 International Press  
[www.intlpress.com](http://www.intlpress.com)

 高等教育出版社  
HIGHER EDUCATION PRESS

Advanced Lectures in Mathematics, Volume XIII  
Handbook of Geometric Analysis, No. 2

Volume Editors:

Lizhen Ji, University of Michigan, Ann Arbor  
Peter Li, University of California at Irvine  
Richard Schoen, Stanford University  
Leon Simon, Stanford University

*2010 Mathematics Subject Classification.* 01-02, 53-06, 58-06.

Copyright © 2010 by International Press, Somerville, Massachusetts, U.S.A., and by  
Higher Education Press, Beijing, China.

This work is published and sold in China exclusively by Higher Education Press  
of China.

No part of this work can be reproduced in any form, electronic or mechanical, recording,  
or by any information storage and data retrieval system, without prior approval from  
International Press. Requests for reproduction for scientific and/or educational purposes  
will normally be granted free of charge. In those cases where the author has retained  
copyright, requests for permission to use or reproduce any material should be addressed  
directly to the author.

ISBN 978-1-57146-204-6

Printed in the United States of America.

15 14 13 12            2 3 4 5 6 7 8 9

## ADVANCED LECTURES IN MATHEMATICS

### Executive Editors

Shing-Tung Yau  
Harvard University

Lizhen Ji  
University of Michigan, Ann Arbor

Kefeng Liu  
University of California at Los Angeles  
Zhejiang University  
Hangzhou, China

### Editorial Board

Chongqing Cheng  
Nanjing University  
Nanjing, China

Zhong-Ci Shi  
Institute of Computational Mathematics  
Chinese Academy of Sciences (CAS)  
Beijing, China

Zhouping Xin  
The Chinese University of Hong Kong  
Hong Kong, China

Weiping Zhang  
Nankai University  
Tianjin, China

Xiping Zhu  
Sun Yat-sen University  
Guangzhou, China

Tatsien Li  
Fudan University  
Shanghai, China

Zhiying Wen  
Tsinghua University  
Beijing, China

Lo Yang  
Institute of Mathematics  
Chinese Academy of Sciences (CAS)  
Beijing, China

Xiangyu Zhou  
Institute of Mathematics  
Chinese Academy of Sciences (CAS)  
Beijing, China



## Preface

The marriage of geometry and analysis, in particular non-linear differential equations, has been very fruitful. An early deep application of geometric analysis is the celebrated solution by Shing-Tung Yau of the Calabi conjecture in 1976. In fact, Yau together with many of his collaborators developed important techniques in geometric analysis in order to solve the Calabi conjecture. Besides solving many open problems in algebraic geometry such as the Severi conjecture, the characterization of complex projective varieties, and characterization of certain Shimura varieties, the Calabi-Yau manifolds also provide the basic building blocks in the superstring theory model of the universe. Geometric analysis has also been crucial in solving many outstanding problems in low dimensional topology, for example, the Smith conjecture, and the positive mass conjecture in general relativity.

Geometric analysis has been intensively studied and highly developed since 1970s, and it is becoming an indispensable tool for understanding many parts of mathematics. Its success also brings with it the difficulty for the uninitiated to appreciate its breadth and depth. In order to introduce both beginners and non-experts to this fascinating subject, we have decided to edit this handbook of geometric analysis. Each article is written by a leading expert in the field and will serve as both an introduction to and a survey of the topics under discussion. The handbook of geometric analysis is divided into several parts, and this volume is the second part.

Shing-Tung Yau has been crucial to many stages of the development of geometric analysis. Indeed, his work has played an important role in bringing the well-deserved global recognition by the whole mathematical sciences community to the field of geometric analysis. In view of this, we would like to dedicate this handbook of geometric analysis to Shing-Tung Yau on the occasion of his sixtieth birthday.

Summarizing the main mathematical contributions of Yau will take many pages and is probably beyond the capability of the editors. Instead, we quote several award citations on the work of Yau.

The citation of the Veblen Prize for Yau in 1981 says: “*We have rarely had the opportunity to witness the spectacle of the work of one mathematician affecting, in a short span of years, the direction of whole areas of research.... Few mathematicians can match Yau’s achievements in depth, in impact, and in the diversity of methods and applications.*”

In 1983, when Yau was awarded a Fields medal, L. Nirenberg described Yau's work up to that point:

*“Yau has done extremely deep work in global geometry and elliptic partial differential equations, including applications in three-dimensional topology and in general relativity theory. He is an analyst's geometer (or geometer's analyst) with remarkable technical power and insight. He has succeeded in solving problems on which progress had been stopped for years.”*

More than ten years later, Yau was awarded the Carfoord prize in 1994, and the citation of the award says:

*“The Prize is awarded to ... Shing-Tung Yau, Harvard University, Cambridge, MA, USA, for his development of non-linear techniques in differential geometry leading to the solution of several outstanding problems.*

*Thanks to Shing-Tung Yau's work over the past twenty years, the role and understanding of the basic partial differential equations in geometry has changed and expanded enormously within the field of mathematics. His work has had an impact on areas of mathematics and physics as diverse as topology, algebraic geometry, representation theory, and general relativity as well as differential geometry and partial differential equations. Yau is a student of legendary Chinese mathematician Shiing-Shen Chern, for whom he studied at Berkeley. As a teacher he is very generous with his ideas and he has had many students and also collaborated with many mathematicians.”*

In 2010, Yau was awarded the Wolf Prize for his lifetime achievements in geometric analysis and mathematical physics, and the award citation probably gives one of the best summaries of his major works up to 2010:

*“Shing-Tung Yau (born 1949, China) has linked partial differential equations, geometry, and mathematical physics in a fundamentally new way, decisively shaping the field of geometric analysis. He has developed new analytical tools to solve several difficult nonlinear partial differential equations, particularly those of the Monge-Ampere type, critical to progress in Riemannian, Kahler and algebraic geometry and in algebraic topology, that radically transformed these fields. The Calabi-Yau manifolds, as these are known, a particular class of Kahler manifolds, have become a cornerstone of string theory aimed at understanding how the action of physical forces in a high-dimensional space might ultimately lead to our four-dimensional world of space and time. Prof. Yau's work on T-duality is an important ingredient for mirror symmetry, a fundamental problem at the interface of string theory and algebraic and symplectic geometry. While settling the positive mass and energy conjectures in general relativity, he also created powerful analytical tools, which have broad applications in the investigation of the global geometry of space-time.*

*Prof. Yau's eigenvalue and heat kernel estimates on Riemannian manifolds count among the most profound achievements of analysis on manifolds. He studied minimal surfaces, solving several classical problems, and then used his results, to create a novel approach to geometric topology. Prof. Yau has been exceptionally productive over several decades, with results radiating onto many areas of*

*pure and applied mathematics and theoretical physics. In addition to his diverse and fundamental mathematical achievements, which have inspired generations of mathematicians, Prof. Yau has also had an enormous impact, worldwide, on mathematical research, through training an extraordinary number of graduate students and establishing several active mathematical research centers.”*

Indeed, he has already trained more than 60 Ph.D. students.

We wish Yau a happy sixtieth birthday and continuing success in many years to come!

The Editors:

Lizhen Ji  
Peter Li  
Richard Schoen  
Leon Simon





# Contents

## Heat Kernels on Metric Measure Spaces with Regular Volume Growth

<i>Alexander Grigor'yan</i> .....	1
1 Introduction .....	1
1.1 Heat kernel in $\mathbb{R}^n$ .....	2
1.2 Heat kernels on Riemannian manifolds .....	3
1.3 Heat kernels of fractional powers of Laplacian .....	4
1.4 Heat kernels on fractal spaces .....	5
1.5 Summary of examples .....	7
2 Abstract heat kernels .....	8
2.1 Basic definitions .....	8
2.2 The Dirichlet form .....	11
2.3 Identifying $\Phi$ in the non-local case .....	13
2.4 Volume of balls .....	17
3 Besov spaces .....	21
3.1 Besov spaces in $\mathbb{R}^n$ .....	21
3.2 Besov spaces in a metric measure space .....	23
3.3 Embedding of Besov spaces into Hölder spaces .....	24
4 The energy domain .....	26
4.1 A local case .....	26
4.2 Non-local case .....	31
4.3 Subordinated heat kernel .....	32
4.4 Bessel potential spaces .....	35
5 The walk dimension .....	36
5.1 Intrinsic characterization of the walk dimension .....	36
5.2 Inequalities for the walk dimension .....	39
6 Two-sided estimates in the local case .....	46
6.1 The Dirichlet form in subsets .....	46
6.2 Maximum principles .....	47
6.3 A tail estimate .....	47
6.4 Identifying $\Phi$ in the local case .....	55
References .....	57

**A Convexity Theorem and Reduced Delzant Spaces**

<i>Bong H. Lian, Bailin Song</i> .....	<b>61</b>
1 Introduction .....	61
2 Convexity of image of moment map .....	64
3 Rationality of moment polytope .....	69
4 Realizing reduced Delzant spaces .....	74
5 Classification of reduced Delzant spaces .....	82
References .....	94

**Localization and some Recent Applications**

<i>Bong H. Lian, Kefeng Liu</i> .....	<b>97</b>
1 Introduction .....	97
2 Localization .....	100
3 Mirror principle .....	102
4 Hori-Vafa formula .....	112
5 The Mariño-Vafa Conjecture .....	115
6 Two partition formula .....	123
7 Theory of topological vertex .....	125
8 Gopakumar-Vafa conjecture and indices of elliptic operators .....	128
9 Two proofs of the ELSV formula .....	129
10 A localization proof of the Witten conjecture .....	132
11 Final remarks .....	134
References .....	134

**Gromov-Witten Invariants of Toric Calabi-Yau Threefolds**

<i>Chiu-Chu Melissa Liu</i> .....	<b>139</b>
1 Gromov-Witten invariants of Calabi-Yau 3-folds .....	139
1.1 Symplectic and algebraic Gromov-Witten invariants .....	139
1.2 Moduli space of stable maps .....	139
1.3 Gromov-Witten invariants of compact Calabi-Yau 3-folds .....	140
1.4 Gromov-Witten invariants of noncompact Calabi-Yau 3-folds .....	141
2 Traditional algorithm in the toric case .....	142
2.1 Localization .....	142
2.2 Hodge integrals .....	143
3 Physical theory of the topological vertex .....	144
4 Mathematical theory of the topological vertex .....	146
4.1 Locally planar trivalent graph .....	146
4.2 Formal toric Calabi-Yau (FTCY) graphs .....	148
4.3 Degeneration formula .....	150
4.4 Topological vertex .....	152
4.5 Localization .....	153
4.6 Framing dependence .....	154
4.7 Combinatorial expression .....	154

4.8 Applications .....	155
4.9 Comparison .....	155
5 GW/DT correspondences and the topological vertex .....	156
Acknowledgments .....	156
References .....	156

**Survey on Affine Spheres**

<i>John Loftin</i> .....	<b>161</b>
1 Introduction .....	161
2 Affine structure equations .....	163
3 Examples .....	164
4 Two-dimensional affine spheres and Titeica’s equation .....	165
5 Monge-Ampère equations and duality .....	168
6 Global classification of affine spheres .....	172
7 Hyperbolic affine spheres and invariants of convex cones .....	173
8 Projective manifolds .....	176
9 Affine manifolds .....	181
10 Affine maximal hypersurfaces .....	185
11 Affine normal flow .....	186
References .....	187

**Convergence and Collapsing Theorems in Riemannian Geometry**

<i>Xiaochun Rong</i> .....	<b>193</b>
Introduction .....	193
1 Gromov-Hausdorff distance in space of metric spaces .....	194
1.1 The Gromov-Hausdorff distance .....	194
1.2 Examples .....	199
1.3 An alternative formulation of GH-distance .....	202
1.4 Compact subsets of $(Met, d_{GH})$ .....	204
1.5 Equivariant GH-convergence .....	206
1.6 Pointed GH-convergence .....	209
2 Smooth limits-fibrations .....	217
2.1 The fibration theorem .....	217
2.2 Sectional curvature comparison .....	219
2.3 Embedding via distance functions .....	223
2.4 Fibrations .....	226
2.5 Proof of theorem 2.1.1 .....	231
2.6 Center of mass .....	234
2.7 Equivariant fibrations .....	235
2.8 Applications of the fibration theorem .....	240
3 Convergence theorems .....	245
3.1 Cheeger-Gromov’s convergence theorem .....	245
3.2 Injectivity radius estimate .....	248
3.3 Some elliptic estimates .....	253
3.4 Harmonic radius estimate .....	255

3.5	Smoothing metrics	259
4	Singular limits-singular fibrations	260
4.1	Singular fibrations	261
4.2	Controlled homotopy structure by geometry	265
4.3	The $\pi_2$ -finiteness theorem	269
4.4	Collapsed manifolds with pinched positive sectional curvature	271
5	Almost flat manifolds	273
5.1	Gromov's theorem on almost flat manifolds	273
5.2	The Margulis lemma	275
5.3	Flat connections with small torsion	277
5.4	Flat connection with a parallel torsion	281
5.5	Proofs—part I	285
5.6	Proofs—part II	290
5.7	Refined fibration theorem	294
	References	297

### Geometric Transformations and Soliton Equations

	<i>Chuu-Lian Terng</i>	301
1	Introduction	301
2	The moving frame method for submanifolds	306
3	Line congruences and Bäcklund transforms	309
4	Sphere congruences and Ribaucour transforms	315
5	Combescure transforms, O-surfaces, and $k$ -tuples	317
6	From moving frame to Lax pair	320
7	Soliton hierarchies constructed from symmetric spaces	329
8	The $\frac{U}{K}$ -system and the Gauss-Codazzi equations	336
9	Loop group actions	343
10	Action of simple elements and geometric transforms	347
	References	355

### Affine Integral Geometry from a Differentiable Viewpoint

	<i>Deane Yang</i>	359
1	Introduction	359
2	Basic definitions and notation	361
2.1	Linear group actions	361
3	Objects of study	362
3.1	Geometric setting	362
3.2	Convex body	362
3.3	The space of all convex bodies	362
3.4	Valuations	362
4	Overall strategy	363
5	Fundamental constructions	363
5.1	The support function	363
5.2	The Minkowski sum	364

5.3	The polar body .....	365
5.4	The inverse Gauss map .....	366
5.5	The second fundamental form .....	366
5.6	The Legendre transform .....	366
5.7	The curvature function .....	367
6	The homogeneous contour integral .....	368
6.1	Homogeneous functions and differential forms .....	368
6.2	The homogeneous contour integral for a differential form ....	369
6.3	The homogeneous contour integral for a measure .....	369
6.4	Homogeneous integral calculus .....	373
7	An explicit construction of valuations .....	374
7.1	Duality .....	375
7.2	Volume .....	375
8	Classification of valuations .....	376
9	Scalar valuations .....	376
9.1	$SL(n)$ -invariant valuations .....	376
9.2	Hug's theorem .....	378
10	Continuous $GL(n)$ -homogeneous valuations .....	378
10.1	Scalar valuations .....	378
10.2	Vector-valued valuations .....	379
11	Matrix-valued valuations .....	380
11.1	The Cramer-Rao inequality .....	381
12	Homogeneous function- and convex body-valued valuations .....	383
13	Questions .....	384
	References .....	385

**Classification of Fake Projective Planes**

<i>Sai-Kee Yeung</i> .....	<b>391</b>	
1	Introduction .....	391
2	Uniformization of fake projective planes .....	393
3	Geometric estimates on the number of fake projective planes ....	396
4	Arithmeticity of lattices associated to fake projective planes .....	398
5	Covolume formula of Prasad .....	410
6	Formulation of proof .....	411
7	Statements of the results .....	419
8	Further studies .....	423
	References .....	427