

# The Bakry–Emery Ricci tensor and its applications to some compactness theorems

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**Abstract** Let  $(M, g)$  be a complete and connected Riemannian manifold of dimension  $n$ . By using the Bakry–Emery Ricci curvature tensor on  $M$ , we prove two theorems which correspond to the Myers compactness theorem.

**Keywords** Laplacian of distance function · Index form · Diameter estimate

## 1 Introduction

The purpose of this article is to generalize the well-known Myers compactness theorem [5] by using the Bakry–Emery Ricci curvature (see [1, 4] and [6]) on a complete and connected Riemannian manifold  $(M, g)$  of dimension  $n$ .

In [6] (p. 380, Theorem 1.4), G. Wei and W. Wylie assumed that the Bakry–Emery Ricci curvature has a positive lower bound, i.e.,

$$\text{Ric} + \text{Hess}(\phi) \geq (n - 1)H > 0 \quad (1)$$

and also assumed that  $|\phi| \leq k$ , where  $\phi \in C^\infty(M)$  is a smooth function. Under these assumptions, they proved that  $M$  is compact and diameter has the upper bound

$$\text{diam}(M) \leq \frac{\pi}{\sqrt{H}} + \frac{4k}{(n - 1)\sqrt{H}}. \quad (2)$$

In the following, we consider the same assumptions given by G. Wei and W. Wylie, but, for the diameter of  $M$ , we obtain a different upper bound which can be compared with (2):

**Theorem 1** *Let  $(M, g)$  be a complete and connected Riemannian manifold of dimension  $n$ . If  $(M, g)$  admits a smooth function  $\phi \in C^\infty(M)$  satisfying the inequalities*

$$\text{Ric} + \text{Hess}(\phi) \geq (n - 1)H > 0 \quad (3)$$

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and  $|\phi| \leq k$ , then  $M$  is compact and the diameter satisfies

$$\text{diam}(M) \leq \frac{\pi}{\sqrt{H}} \sqrt{1 + \frac{2\sqrt{2}k}{n-1}}. \tag{4}$$

Comparing (2) and (4), we see that, when the positive constant  $k$  satisfies

$$k > \frac{(n-1)\pi}{8}(\sqrt{2\pi} - 4), \tag{5}$$

the upper bound (4) is sharper than the upper bound (2).

Instead of the assumption  $|\phi| \leq k$  given in Theorem 1, we can assume that  $g(\nabla\phi, \nabla\phi) \in C^\infty(M)$  has an upper bound: In [2], Fernández-López and García-Río proved that, if  $(M, g)$  admits a vector field  $V$  satisfying the inequality  $\text{Ric} + \mathcal{L}_V g \geq c > 0$  where  $\mathcal{L}_V$  denotes the Lie derivative, and  $\sqrt{g(V, V)}$  has an upper bound, then  $M$  is compact. However, no an upper bound to the diameter of  $M$  is given in [2]. In [3], such a bound was obtained for the diameter of  $M$ . Namely, if we have the inequalities  $\text{Ric} + \mathcal{L}_V g \geq (n-1)H > 0$  and  $\sqrt{g(V, V)} \leq \gamma$ , then  $M$  is compact and has

$$\text{diam}(M) \leq \frac{\pi}{(n-1)H} \left( \sqrt{2}\gamma + \sqrt{2\gamma^2 + (n-1)^2H} \right) \tag{6}$$

(see [3]). When the vector field  $V$  is taken to be  $V = \frac{1}{2}\nabla\phi$ , the above inequalities yield  $\text{Ric} + \text{Hess}(\phi) \geq (n-1)H > 0$  and  $g(\nabla\phi, \nabla\phi) \leq 4\gamma^2$ . The inequality (6) still holds and, under the  $K=4\gamma^2$ , it can be also written as

$$\text{diam}(M) \leq \frac{\pi}{(n-1)H} \left( \sqrt{\frac{K}{2}} + \sqrt{\frac{K}{2} + (n-1)^2H} \right). \tag{7}$$

In the following Theorem 2,  $g(\nabla\phi, \nabla\phi) \in C^\infty(M)$  has again an upper bound, but now it depends on both the positive constant  $K$  and a distance function  $r = d(\cdot, p)$  with respect to a fixed point  $p \in M$ . We obtain an upper bound for the diameter of  $M$ . It can be compared with the above bound (7):

**Theorem 2** *Let  $(M, g)$  be a complete and connected Riemannian manifold of dimension  $n$ , and let  $r$  be the distance function with respect to a fixed point  $p \in M$ , i.e.,  $r(x) = d(x, p)$ . Suppose that  $(M, g)$  admits a smooth function  $\phi \in C^\infty(M)$  such that*

$$(g(\nabla\phi, \nabla\phi))(x) \leq \frac{K}{r^2(x)} \tag{8}$$

for all  $x \in M - \{p\}$ , where  $K$  is a positive constant. If  $(M, g)$  has the inequality

$$\text{Ric} + \text{Hess}(\phi) \geq (n-1)H > 0, \tag{9}$$

then  $M$  is compact and the diameter from  $p$  satisfies

$$\text{diam}_p(M) \leq \sqrt{4\sqrt{K} + n-1} \frac{\pi}{\sqrt{(n-1)H}}. \tag{10}$$

In the Theorem 2, the diameter bound is given with respect to the point  $p \in M$ . In other words, the bound is for “ $\text{diam}_p(M)$ ” not for “ $\text{diam}(M)$ ”. But, by using the triangle inequality, we get

$$\begin{aligned} \text{diam}(M) &= d(p', q') \leq d(p', p) + d(q', p) \\ &\leq \sqrt{4\sqrt{K} + n-1} \frac{2\pi}{\sqrt{(n-1)H}} \end{aligned} \tag{11}$$

where the distance between the points  $p'$  and  $q'$  ( $p', q' \in M$ ) gives the diameter of  $M$ . For the case  $p \neq p'$  and  $p \neq q'$ , comparing (7) and (11), we see that, when the positive constant  $\sqrt{K}$  satisfies

$$\sqrt{K} \geq 16(n - 1)H \left( 1 + \sqrt{1 + \frac{3}{128H}} \right), \tag{12}$$

the upper bound (11) is sharper than the upper bound (7). If  $p \in M$  directly gives the diameter of  $M$ , i.e.,  $p = p'$  (or  $p = q'$ ), then we can compare the bounds (7) and (10). In this special case where  $\text{diam}_p(M) = \text{diam}(M)$ , we see that, when the positive constant  $\sqrt{K}$  satisfies

$$\sqrt{K} \geq 8(n - 1)H, \tag{13}$$

the upper bound (10) is sharper than the upper bound (7).

In order to prove the Theorem 1, we use the index form I of a minimizing unit speed geodesic segment. To prove the Theorem 2, we establish a comparison estimate for a modified Laplacian operator.

### 2 Proofs of the theorems

The gradient, Hessian and Laplacian of any smooth function  $f \in C^\infty(M)$  are defined by  $g(\nabla f, V) = V(f)$ ,  $(\text{Hess}(f))(V, W) = g(\nabla_V \nabla f, W)$  and  $\Delta f = \text{tr}(\nabla \nabla f)$  for all vector field  $V, W$ , respectively. For a distance function  $r(x) = d(x, p)$  where  $p \in M$  is a fixed point, it is well-known that  $r$  is only smooth on  $M - (C_p \cup \{p\})$  where  $C_p$  denotes the cut locus of the point  $p \in M$ . In addition to this fact, we have  $\nabla r = \partial_r$  in the adapted coordinates with respect to the  $r$ , and also have  $g(\nabla r, \nabla r) = 1$  where  $r$  is smooth.

*Proof of Theorem 1* Let  $p, q \in M$  and let  $\sigma$  be a minimizing unit speed geodesic segment from  $p$  to  $q$  of length  $\ell$ . Considering a parallel orthonormal frame  $\{E_1 = \dot{\sigma}, E_2, \dots, E_n\}$  along  $\sigma$  and a smooth function  $f \in C^\infty([0, \ell])$  such that  $f(0) = f(\ell) = 0$ , we have

$$I(fE_i, fE_i) = \int_0^\ell (g(\dot{f}E_i, \dot{f}E_i) - g(R(fE_i, \dot{\sigma})\dot{\sigma}, fE_i)) dt, \tag{14}$$

where I denotes the index form of  $\sigma$ . From (14), we obtain

$$\sum_{i=2}^n I(fE_i, fE_i) = \int_0^\ell ((n - 1)\dot{f}^2 - f^2 Ric(\dot{\sigma}, \dot{\sigma})) dt \tag{15}$$

by  $g(R(\dot{\sigma}, \dot{\sigma})\dot{\sigma}, \dot{\sigma}) = 0$ . Using the assumption (3) given in Theorem 1 in the integral expression (15), we get

$$\begin{aligned}
 \sum_{i=2}^n I(fE_i, fE_i) &\leq \int_0^\ell ((n-1)(f^2 - Hf^2) + f^2 (\text{Hess}(\phi))(\dot{\sigma}, \dot{\sigma})) dt \\
 &= \int_0^\ell ((n-1)(f^2 - Hf^2) + f^2 g(\nabla_{\dot{\sigma}} \nabla \phi, \dot{\sigma})) dt \\
 &= \int_0^\ell ((n-1)(f^2 - Hf^2) + f^2 \dot{\sigma} (g(\nabla \phi, \dot{\sigma}))) dt \tag{16}
 \end{aligned}$$

where we have used the parallelism of the metric tensor  $g$  and  $\nabla_{\dot{\sigma}} \dot{\sigma} = 0$ . In the expression (16), the term  $f^2 \dot{\sigma} (g(\nabla \phi, \dot{\sigma}))$  equals to

$$f^2 \dot{\sigma} (g(\nabla \phi, \dot{\sigma})) = f^2 \frac{d}{dt} (g(\nabla \phi, \dot{\sigma})(\sigma(t))). \tag{17}$$

When  $g(\nabla \phi, \dot{\sigma})(\sigma(t))$  is denoted by  $g(\nabla \phi, \dot{\sigma})$  for short, the expression (17) can be written as

$$f^2 \dot{\sigma} (g(\nabla \phi, \dot{\sigma})) = -2f \dot{f} g(\nabla \phi, \dot{\sigma}) + \frac{d}{dt} (f^2 g(\nabla \phi, \dot{\sigma})). \tag{18}$$

Here we also have  $g(\nabla \phi, \dot{\sigma}) = \dot{\sigma}(\phi) = \frac{d\phi}{dt}(\sigma(t)) (= \frac{d\phi}{dt}$  for short). Thus, the equation (18) yields

$$\begin{aligned}
 f^2 \dot{\sigma} (g(\nabla \phi, \dot{\sigma})) &= -2f \dot{f} \frac{d\phi}{dt} + \frac{d}{dt} (f^2 g(\nabla \phi, \dot{\sigma})) \\
 &= 2\phi \frac{d}{dt} (f \dot{f}) - 2 \frac{d}{dt} (\phi f \dot{f}) + \frac{d}{dt} (f^2 g(\nabla \phi, \dot{\sigma})). \tag{19}
 \end{aligned}$$

Integrating both sides of (19), we obtain

$$\begin{aligned}
 \int_0^\ell f^2 \dot{\sigma} (g(\nabla \phi, \dot{\sigma})) dt &= \int_0^\ell 2\phi \frac{d}{dt} (f \dot{f}) dt - 2(\phi f \dot{f})|_0^\ell + (f^2 g(\nabla \phi, \dot{\sigma}))|_0^\ell \\
 &= 2 \int_0^\ell \phi \frac{d}{dt} (f \dot{f}) dt \tag{20}
 \end{aligned}$$

because of  $f(0) = f(\ell) = 0$ . Now if we take  $P = \phi$  and  $Q = \frac{d}{dt}(f \dot{f})$ , then we have, from the Cauchy–Schwarz inequality,

$$\int_0^\ell P Q dt \leq \left( \int_0^\ell P^2 dt \right)^{1/2} \left( \int_0^\ell Q^2 dt \right)^{1/2} \tag{21}$$

$$\int_0^\ell \phi \frac{d}{dt} (f \dot{f}) dt \leq \left( \int_0^\ell \phi^2 dt \right)^{1/2} \left( \int_0^\ell \left( \frac{d}{dt} (f \dot{f}) \right)^2 dt \right)^{1/2}. \tag{22}$$

Using the assumption  $|\phi| \leq k$  given in Theorem 1 in (22), we obtain

$$\int_0^\ell \phi \frac{d}{dt}(f \dot{f}) dt \leq k\sqrt{\ell} \left( \int_0^\ell \left( \frac{d}{dt}(f \dot{f}) \right)^2 dt \right)^{1/2}. \tag{23}$$

Thus, by using (23), the equation (20) yields

$$\int_0^\ell f^2 \dot{\sigma} (g(\nabla\phi, \dot{\sigma})) dt \leq 2k\sqrt{\ell} \left( \int_0^\ell \left( \frac{d}{dt}(f \dot{f}) \right)^2 dt \right)^{1/2}. \tag{24}$$

By virtue of (24), the inequality (16) becomes

$$\begin{aligned} \sum_{i=2}^n I(fE_i, fE_i) &\leq \int_0^\ell ((n-1)(f^2 - Hf^2)) dt \\ &\quad + 2k\sqrt{\ell} \left( \int_0^\ell \left( \frac{d}{dt}(f \dot{f}) \right)^2 dt \right)^{1/2}. \end{aligned} \tag{25}$$

In (25), if the function  $f$  is taken to be  $f(t) = \sin(\frac{\pi}{\ell}t)$ , then we get

$$\begin{aligned} \sum_{i=2}^n I(fE_i, fE_i) &\leq (n-1) \int_0^\ell \left( \frac{\pi^2}{\ell^2} \cos^2 \left( \frac{\pi}{\ell}t \right) - H \sin^2 \left( \frac{\pi}{\ell}t \right) \right) dt \\ &\quad + \frac{2k\pi^2}{\ell\sqrt{\ell}} \left( \int_0^\ell \cos^2 \left( \frac{2\pi}{\ell}t \right) dt \right)^{1/2}, \end{aligned} \tag{26}$$

and consequently

$$\sum_{i=2}^n I(fE_i, fE_i) \leq -\frac{1}{2\ell} \left( (n-1)H\ell^2 - 2\sqrt{2}k\pi^2 - (n-1)\pi^2 \right). \tag{27}$$

Here, if  $(n-1)H\ell^2 - 2\sqrt{2}k\pi^2 - (n-1)\pi^2 > 0$ , then one has

$$\sum_{i=2}^n I(fE_i, fE_i) = I(fE_2, fE_2) + I(fE_3, fE_3) \dots I(fE_n, fE_n) < 0 \tag{28}$$

which implies  $I(fE_m, fE_m) < 0$ , for some  $2 \leq m \leq n$ . Namely, the index form  $I$  is not positive semi-definite. However, this result contradicts with  $\sigma$  being minimizing geodesic. Hence, we must take

$$(n-1)H\ell^2 - 2\sqrt{2}k\pi^2 - (n-1)\pi^2 \leq 0. \tag{29}$$

This inequality gives

$$\ell \leq \frac{\pi}{\sqrt{H}} \sqrt{1 + \frac{2\sqrt{2}k}{n-1}}. \tag{30}$$

Thus, we have proved Theorem 1. □

*Proof of Theorem 2* To prove Theorem 2, we consider a modified Laplace operator  $\tilde{\Delta}$  defined by

$$\tilde{\Delta}f = \Delta f - g(\nabla\phi, \nabla f) + F(f), \tag{31}$$

where  $\phi \in C^\infty(M)$  is given in Theorem 2 and  $F$  is a real valued smooth function defined on a subset of real line, and  $F(f)$  denotes  $F \circ f$ . In the equation (31), when  $f$  is taken to be the distance function  $r$  given in Theorem 2, we obtain, on  $M - (C_p \cup \{p\})$ ,

$$\begin{aligned} g(\nabla r, \nabla \tilde{\Delta}r) &= g(\nabla r, \nabla \Delta r - \nabla g(\nabla\phi, \nabla r) + \nabla F(r)) \\ &= g(\nabla r, \nabla \Delta r) - g(\nabla r, \nabla g(\nabla\phi, \nabla r)) + F'(r) \\ &= g(\nabla r, \nabla \Delta r) - (\text{Hess}(\phi))(\nabla r, \nabla r) + F'(r) \end{aligned} \tag{32}$$

where  $F'(r) = \frac{d}{dr}F(r)$ . On the other hand, we have the well-known inequality

$$0 \geq \text{Ric}(\nabla r, \nabla r) + \frac{1}{n-1}(\Delta r)^2 + g(\nabla r, \nabla \Delta r) \tag{33}$$

on  $M - (C_p \cup \{p\})$ . From (32) and (33), we find

$$\begin{aligned} 0 &\geq \text{Ric}(\nabla r, \nabla r) + (\text{Hess}(\phi))(\nabla r, \nabla r) - F'(r) \\ &\quad + \frac{1}{n-1}(\Delta r)^2 + g(\nabla r, \nabla \tilde{\Delta}r). \end{aligned} \tag{34}$$

It is obvious that we have

$$\Delta r = \tilde{\Delta}r + g(\nabla\phi, \nabla r) - F(r) \tag{35}$$

by (31). Inserting (35) into (34), we obtain

$$\begin{aligned} 0 &\geq \text{Ric}(\nabla r, \nabla r) + (\text{Hess}(\phi))(\nabla r, \nabla r) - F'(r) \\ &\quad + \frac{1}{n-1}(\tilde{\Delta}r + g(\nabla\phi, \nabla r) - F(r))^2 + g(\nabla r, \nabla \tilde{\Delta}r). \end{aligned} \tag{36}$$

By virtue of the inequality  $(a \mp b)^2 \geq \frac{1}{\gamma+1}a^2 - \frac{1}{\gamma}b^2$  for all real numbers  $a, b$  and positive real number  $\gamma > 0$ , we obtain

$$\begin{aligned} (\tilde{\Delta}r + g(\nabla\phi, \nabla r) - F(r))^2 &\geq \frac{1}{\gamma+1}(\tilde{\Delta}r + g(\nabla\phi, \nabla r))^2 \\ &\quad - \frac{1}{\gamma}(F(r))^2. \end{aligned} \tag{37}$$

Using the same inequality, for the term “ $(\tilde{\Delta}r + g(\nabla\phi, \nabla r))^2$ ” in the above inequality, we get

$$\begin{aligned} (\tilde{\Delta}r + g(\nabla\phi, \nabla r) - F(r))^2 &\geq \frac{1}{(\gamma+1)\eta + \gamma + 1}(\tilde{\Delta}r)^2 - \frac{1}{\gamma}(F(r))^2 \\ &\quad - \frac{1}{(\gamma+1)\eta}(g(\nabla\phi, \nabla r))^2 \end{aligned} \tag{38}$$

for all  $\gamma, \eta > 0$ . Inserting (38) into (36) and denoting  $\alpha = (n-1)\gamma > 0, \beta = (n-1)(\gamma+1)\eta > 0$  we obtain, on  $M - (C_p \cup \{p\})$ ,

$$0 \geq \text{Ric}(\nabla r, \nabla r) + (\text{Hess}(\phi))(\nabla r, \nabla r) + \frac{1}{\alpha + \beta + n - 1} (\tilde{\Delta}r)^2 + g(\nabla r, \nabla \tilde{\Delta}r) - F'(r) - \frac{1}{\alpha} (F(r))^2 - \frac{1}{\beta} (g(\nabla\phi, \nabla r))^2. \tag{39}$$

From the Cauchy–Schwarz inequality, we have

$$(g(\nabla\phi, \nabla r))^2 \leq g(\nabla\phi, \nabla\phi)g(\nabla r, \nabla r) = g(\nabla\phi, \nabla\phi), \tag{40}$$

which implies

$$-\frac{1}{\beta} (g(\nabla\phi, \nabla r))^2 \geq -\frac{1}{\beta} g(\nabla\phi, \nabla\phi). \tag{41}$$

Using (41) in (39), one has

$$0 \geq \text{Ric}(\nabla r, \nabla r) + (\text{Hess}(\phi))(\nabla r, \nabla r) + \frac{1}{\alpha + \beta + n - 1} (\tilde{\Delta}r)^2 + g(\nabla r, \nabla \tilde{\Delta}r) - F'(r) - \frac{1}{\alpha} (F(r))^2 - \frac{1}{\beta} g(\nabla\phi, \nabla\phi). \tag{42}$$

From the assumption (8) given in Theorem 2, we obtain, on  $M - (C_p \cup \{p\})$ ,

$$0 \geq \text{Ric}(\nabla r, \nabla r) + (\text{Hess}(\phi))(\nabla r, \nabla r) + \frac{1}{\alpha + \beta + n - 1} (\tilde{\Delta}r)^2 + g(\nabla r, \nabla \tilde{\Delta}r) - F'(r) - \frac{1}{\alpha} (F(r))^2 - \frac{K}{\beta r^2}. \tag{43}$$

In the above expression, if we take  $\beta = \frac{4K}{\alpha}$  and  $F(r) = \frac{\alpha}{2r}$ , then the inequality (43) yields

$$0 \geq \text{Ric}(\nabla r, \nabla r) + (\text{Hess}(\phi))(\nabla r, \nabla r) + \frac{\alpha}{\alpha^2 + (n-1)\alpha + 4K} (\tilde{\Delta}r)^2 + g(\nabla r, \nabla \tilde{\Delta}r). \tag{44}$$

Applying the assumption (9) given in Theorem 2 to (44), it follows that

$$0 \geq \partial_r(\tilde{\Delta}r) + \frac{\alpha}{\alpha^2 + (n-1)\alpha + 4K} (\tilde{\Delta}r)^2 + (n-1)H. \tag{45}$$

Because of  $\tilde{\Delta}r = \Delta r - g(\nabla\phi, \nabla r) + \frac{\alpha}{2r}$ , we have

$$\lim_{r \rightarrow 0^+} r \tilde{\Delta}r = \lim_{r \rightarrow 0^+} \left( r \Delta r - r g(\nabla\phi, \nabla r) + \frac{\alpha}{2} \right) \tag{46}$$

$$= n - 1 + \frac{\alpha}{2} \leq \frac{\alpha^2 + (n-1)\alpha + 4K}{\alpha}. \tag{47}$$

Thus, with the aid of the well-known Sturm–Liouville comparison argument, we obtain

$$\tilde{\Delta}r \leq \sqrt{(n-1)H \left( n - 1 + \alpha + \frac{4K}{\alpha} \right)} \cot \left( \frac{\sqrt{\alpha(n-1)H}}{\sqrt{\alpha^2 + (n-1)\alpha + 4K}} r \right) \tag{48}$$

on  $M - (C_p \cup \{p\})$ . To conclude the proof of Theorem 2, we can use the same arguments given in [7]: Let  $q \in M$  and let  $\sigma$  be a minimizing unit speed geodesic segment from  $p$  to  $q$  where the point  $p \in M$  is given in Theorem 2. Assume that

$$d(p, q) > \frac{\sqrt{\alpha^2 + (n-1)\alpha + 4K}}{\sqrt{\alpha(n-1)H}} \pi. \quad (49)$$

Then, since  $\sigma$  is a minimizing unit speed geodesic segment from  $p \in M$  to  $q \in M$ , we have the fact

$$\sigma \left( \frac{\sqrt{\alpha^2 + (n-1)\alpha + 4K}}{\sqrt{\alpha(n-1)H}} \pi \right) \in M - (C_p \cup \{p\}). \quad (50)$$

Thus the distance function  $r$  is smooth at this point. Namely, at this point, left hand side of (48) is a constant. But it is obvious that, when

$$r \rightarrow \left( \frac{\sqrt{\alpha^2 + (n-1)\alpha + 4K}}{\sqrt{\alpha(n-1)H}} \pi \right)^-, \quad (51)$$

right hand side of (48) goes to  $-\infty$ . This is a contradiction. Hence must be

$$d(p, q) \leq \frac{\sqrt{\alpha^2 + (n-1)\alpha + 4K}}{\sqrt{\alpha(n-1)H}} \pi. \quad (52)$$

Here  $\alpha = 2\sqrt{K}$  gives the minimum value of right hand side of (52). Inserting  $\alpha = 2\sqrt{K}$  into (52), we find

$$d(p, q) \leq \sqrt{4\sqrt{K} + n - 1} \frac{\pi}{\sqrt{(n-1)H}}. \quad (53)$$

Thus, we have proved Theorem 2.  $\square$

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