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The gap theorems for some extremal submanifolds in a unit sphere

Xi Guo and Lan Wu

Abstract. Let M be an n -dimensional submanifold in the unit sphere S^{n+p} , we call M a k -extremal submanifold if it is a critical point of the functional $\int_M \rho^{2k} dv$. In this paper, we can study gap phenomenon for these submanifolds.

1 Introduction and theorems

Let $x: M^n \hookrightarrow S^{n+p}(1)$ be an n -dimensional compact submanifold in a unit sphere, and let

- e_1, \dots, e_n be a local orthonormal frame of tangent vector field on M ,
- e_{n+1}, \dots, e_{n+p} be a local orthonormal frame of normal vector field on M ,
- $\omega_1, \dots, \omega_n, \omega_{n+1}, \dots, \omega_{n+p}$ be its dual coframe field.

Then the second fundamental form and the mean curvature vector of M are

$$A = \sum_{i,j,\alpha} h_{ij}^\alpha \omega_i \otimes \omega_j \otimes e_\alpha, \quad \mathbf{H} = \sum_{\alpha} H^\alpha e_\alpha = \frac{1}{n} \sum_{i,\alpha} h_{ii}^\alpha e_\alpha. \quad (1)$$

We can define trace-free linear maps $\phi_\alpha: T_q M \rightarrow T_q M$ by

$$\langle \phi^\alpha X, Y \rangle = \langle A^\alpha X, Y \rangle - \langle X, Y \rangle \langle \mathbf{H}, e_\alpha \rangle,$$

where $q \in M$, A^α is the shape operator of e_α ,

$$A^\alpha(e_i) = - \sum_j \langle \bar{\nabla}_{e_i} e_\alpha, e_j \rangle e_j = \sum_j h_{ij}^\alpha e_j,$$

and we define a bilinear map $\phi: T_q M \times T_q M \rightarrow T_q M^\perp$ by

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$$\phi(X, Y) = \sum_{\alpha=n+1}^{n+p} \langle \phi^\alpha X, Y \rangle e_\alpha. \quad (2)$$

It's easy to check that $|\phi|^2 = |A|^2 - nH^2$, where $H^2 = |\mathbf{H}|^2 = \sum_\alpha (H^\alpha)^2$, and we denote $\rho = |\phi|$. For any fixed number k with $k \geq 1$, we can define the following functional

$$F_k(x) = \int_M \rho^{2k} dv. \quad (3)$$

When $k = \frac{n}{2}$, it is the Willmore functional. We say $x: M \rightarrow S^{n+p}$ is a k -extremal submanifold if it is a critical point of the functional $F_k(x)$.

It seems very interesting to study the gap phenomenon for submanifolds, and there are some results about compact minimal submanifolds in $S^{n+p}(1)$, such as in [7]. For Willmore submanifolds, H. Li proved:

Theorem 1. [6] *Let M be an n -dimensional compact Willmore submanifold in S^{n+p} , then*

$$\int_M \left[n - \left(2 - \frac{1}{p} \right) \rho^2 \right] \rho^n dv \leq 0. \quad (4)$$

In particular, if $\rho^2 \leq \frac{n}{2-1/p}$, then either $\rho = 0$ and M is a totally umbilical submanifold, or $\rho^2 = \frac{n}{2-1/p}$. In the latter case, either $p = 1$ and M is a Willmore torus $W_{m,n-m} = S^m(\sqrt{\frac{n-m}{n}}) \times S^{n-m}(\sqrt{\frac{m}{n}})$; or $n = 2$, $p = 2$ and M is the Veronese surface.

And for k -extremal submanifolds, Z. Guo and H. Li, the second author proved:

Theorem 2. [1], [9] *Let M be an n -dimensional compact k -extremal submanifold in S^{n+p} , $1 \leq k < \frac{n}{2}$, then*

$$\int_M \left[n - \left(2 - \frac{1}{p} \right) \rho^2 \right] \rho^{2k} dv \leq 0. \quad (5)$$

In particular, if $\rho^2 \leq \frac{n}{2-1/p}$, then either $\rho = 0$ and M is a totally umbilical submanifold, or $\rho^2 = \frac{n}{2-1/p}$. In the latter case, either $p = 1$, $n = 2m$ and M is a Clifford torus $C_{m,m} = S^m(\sqrt{\frac{1}{2}}) \times S^m(\sqrt{\frac{1}{2}})$; or $n = 2$, $p = 2$ and M is the Veronese surface.

In 2011, H. Xu and D. Yang proved the following pinching theorem for submanifold which is a critical point of the functional $F_1(x)$.

Theorem 3. [8] *Let M be an n -dimensional compact 1-extremal submanifold in S^{n+p} , then there exists an explicit positive constant A_n depending only on n such that if*

$$\left(\int_M \rho^n dv \right)^{\frac{2}{n}} < A_n, \quad (6)$$

$$A_n = \begin{cases} \min \left\{ \frac{n(n-2)^2}{4n(n-1)^2 + (n-2)^2}, \right. \\ \left. \frac{(n-2)^2(\frac{n}{2} - n)}{4(\frac{n}{2} - n)(n-1)^2 + (n-2)^2} \right\} C(n)^{-2} & (p=1); \\ \frac{2}{3} \min \left\{ \frac{n(n-2)^2}{4n(n-1)^2 + (n-2)^2}, \right. \\ \left. \frac{(n-2)^2(\frac{n}{2} - n)}{4(\frac{n}{2} - n)(n-1)^2 + (n-2)^2} \right\} C(n)^{-2} & (p \geq 2), \end{cases}$$

then M is a totally umbilical submanifold, where $C(n)$ is a positive constant depending on n which satisfies:

$$\left(\int_M f^{\frac{n-1}{n}} dv \right)^{\frac{n}{n-1}} \leq C(n) \int_M (|\nabla f| + (1 + H^2)f) dv \quad (7)$$

holds for any $f \in C^1(M)$.

In this paper, we prove the following theorems for the k -extremal submanifold when $1 \leq k < \frac{n}{2}$:

Theorem 4. Let M be an n -dimensional compact k -extremal submanifold in S^{n+p} ($n \geq 3$), $1 \leq k < \frac{n}{2}$, then there exists an explicit positive constant $A_{n,k}$ depending only on n and k such that if

$$\left(\int_M \rho^n dv \right)^{\frac{2}{n}} < A_{n,k}, \quad (8)$$

where

$$A_{n,k} = \begin{cases} C(n)^{-2} \min \left\{ \frac{n(n-2)^2(2k-1)}{4n(n-1)^2k^2 + (2k-1)(n-2)^2}, \right. \\ \left. \frac{(2k-1)(n-2)^2(\frac{n^2}{2k} - n)}{4(\frac{n^2}{2k} - n)(n-1)^2k^2 + (2k-1)(n-2)^2} \right\} & (p=1); \\ \frac{2}{3} C(n)^{-2} \min \left\{ \frac{n(n-2)^2(2k-1)}{4n(n-1)^2k^2 + (2k-1)(n-2)^2}, \right. \\ \left. \frac{(2k-1)(n-2)^2(\frac{n^2}{2k} - n)}{4(\frac{n^2}{2k} - n)(n-1)^2k^2 + (2k-1)(n-2)^2} \right\} & (p \geq 2), \end{cases}$$

then M is a totally umbilical submanifold, where $C(n)$ is the same constant as above.

Theorem 5. Let M be an n -dimensional ($n \geq 3$) compact k -extremal submanifold with flat normal bundle in S^{n+p} , $1 \leq k < \frac{n}{2}$. If $\rho^2 \leq n$, then either $\rho = 0$ and M is a totally umbilical submanifold, or $p = 1$, $n = 2m$ and M is a Clifford torus $C_{m,m} = S^m \left(\sqrt{\frac{1}{2}} \right) \times S^m \left(\sqrt{\frac{1}{2}} \right)$.

Remark 1. If $k = \frac{n}{2}$, then $A_{n,k} = 0$, so our Theorem 4 is trivial when $k = \frac{n}{2}$. If $k = 1$, $A_{n,1} = A_n$, our Theorem 4 reduces to Xu-Yang's Theorem 3.

2 Preliminaries and lemmas

We shall make use of the following convention on the range of indices:

$$1 \leq A, B, C \leq n+p, \quad 1 \leq i, j, k \leq n, \quad n+1 \leq \alpha, \beta, \gamma \leq n+p.$$

We choose a local orthonormal frame field $\{e_1, \dots, e_n, e_{n+1}, \dots, e_{n+p}\}$ along M , with $\{e_i\}_{i=1,2,\dots,n}$ tangent to M and $\{e_\alpha\}_{\alpha=n+1,n+2,\dots,n+p}$ normal to M . Let $\{\omega_A\}$ be the corresponding dual coframe, and $\{\omega_{AB}\}$ be the connection 1-form on S^{n+p} . Restricted on M , the curvature tensor, the normal curvature tensor can be given by

$$d\omega_{ij} - \sum_k \omega_{ik} \wedge \omega_{kj} = -\frac{1}{2} \sum_{k,l} R_{ijkl} \omega_k \wedge \omega_l, \quad (9)$$

$$d\omega_{\alpha\beta} - \sum_\gamma \omega_{\alpha\gamma} \wedge \omega_{\gamma\beta} = -\frac{1}{2} \sum_{k,l} R_{\alpha\beta kl}^\perp \omega_k \wedge \omega_l. \quad (10)$$

and the mean curvature $\mathbf{H} = \sum_\alpha H^\alpha e_\alpha$, where $H^\alpha = \frac{1}{n} \sum_i h_{ii}^\alpha$.

The covariant derivative of the second fundamental form is given by

$$\sum_k h_{ij,k}^\alpha \omega_k = dh_{ij}^\alpha + \sum_k h_{ki}^\alpha \omega_{kj} + \sum_k h_{kj}^\alpha \omega_{ki} + \sum_\beta h_{ij}^\beta \omega_{\beta\alpha}, \quad (11)$$

$$\sum_l h_{ij,kl}^\alpha \omega_l = dh_{ij,k}^\alpha + \sum_l h_{lj,k}^\alpha \omega_{li} + \sum_l h_{ij,l}^\alpha \omega_{lk} + \sum_l h_{il,k}^\alpha \omega_{lj} + \sum_\beta h_{ij,k}^\beta \omega_{\beta\alpha}. \quad (12)$$

In [9], the second author calculated the Euler-Lagrangian equation of $F_k(x)$:

Lemma 1. [9] *If $x: M \rightarrow R^{n+p}(c)$ be an n -dimensional submanifold in an $(n+p)$ -dimensional space form $R^{n+p}(c)$. Then for $k \geq 1$, M is an extremal submanifold of $F_k(x)$ if and only if for $n+1 \leq \alpha \leq n+p$,*

$$\begin{aligned} 0 = & -\Delta(\rho^{2k-2})H^\alpha + 2(n-1) \sum_i (\rho^{2k-2})_{,i} H_{,i}^\alpha \\ & + \sum_{i,j} (\rho^{2k-2})_{,ij} h_{ij}^\alpha + (n-1)\rho^{2k-2} \Delta^\perp H^\alpha \\ & + \rho^{2k-2} \left[\sum_{i,j,k,\beta} h_{ij}^\alpha h_{jk}^\beta h_{ki}^\beta - \sum_{i,j,\beta} H^\beta h_{ij}^\alpha h_{ij}^\beta - \frac{n}{2k} \rho^2 H^\alpha \right]. \end{aligned} \quad (13)$$

Using the above lemma, we can get that:

Lemma 2. *If M is an extremal submanifold of $F_k(x)$, then*

$$\begin{aligned} \int_M \rho^{2k-2} \left(\Delta H^2 - 2 \sum_{i,j,\alpha} h_{ij}^\alpha H_{,ij}^\alpha \right) dv \\ = 2 \int_M \rho^{2k-2} |\nabla^\perp \mathbf{H}|^2 dv + 2 \int_M \rho^{2k-2} F dv, \end{aligned} \quad (14)$$

where ∇^\perp is the normal connection on M , and

$$F := \sum_{i,j,k,\alpha,\beta} H^\alpha h_{ij}^\alpha h_{jk}^\beta h_{ji}^\beta - \sum_{j,k,\alpha,\beta} H^\alpha H^\beta h_{jk}^\alpha h_{jk}^\beta - \frac{n}{2k} \rho^2 H^2.$$

Proof. Multiplying the equation (13) by H^α and integrating over M we obtain

$$\begin{aligned} 0 = & - \int_M \Delta(\rho^{2k-2})H^2 \, dv + 2(n-1) \int_M \sum_{i,\alpha} (\rho^{2k-2})_{,i} H_{,i}^\alpha H^\alpha \, dv \\ & + \int_M \sum_{i,j,\alpha} (\rho^{2k-2})_{,ij} h_{ij}^\alpha H^\alpha \, dv + (n-1) \int_M \sum_{i,\alpha} \rho^{2k-2} H_{,ii}^\alpha H^\alpha \, dv \\ & + \int_M \rho^{2k-2} F \, dv, \end{aligned} \quad (15)$$

and integrating by parts, we can get

$$\int_M \sum_{i,\alpha} (\rho^{2k-2})_{,i} H_{,i}^\alpha H^\alpha \, dv = - \int_M \sum_i \rho_{,ii}^{2k-2} H^2 \, dv - \int_M \sum_{i,\alpha} \rho_{,i}^{2k-2} H_{,i}^\alpha H^\alpha \, dv,$$

so

$$2 \int_M \sum_{i,\alpha} (\rho^{2k-2})_{,i} H_{,i}^\alpha H^\alpha \, dv = - \int_M \Delta \rho^{2k-2} H^2 \, dv = - \int_M \rho^{2k-2} \Delta H^2 \, dv. \quad (16)$$

Thus we have the following calculations:

$$\begin{aligned} \int_M \sum_{i,j,\alpha} (\rho^{2k-2})_{,ij} h_{ij}^\alpha H^\alpha \, dv &= - \int_M \sum_{i,j,\alpha} (\rho^{2k-2})_{,i} h_{ij,j}^\alpha H^\alpha \, dv - \int_M \sum_{i,j,\alpha} (\rho^{2k-2})_{,i} h_{ij}^\alpha H_{,j}^\alpha \, dv \\ &= -n \int_M \sum_{i,\alpha} (\rho^{2k-2})_{,i} H_{,i}^\alpha H^\alpha \, dv + \int_M \sum_{i,j,\alpha} \rho^{2k-2} h_{ij,i}^\alpha H_{,j}^\alpha \, dv \\ &\quad + \int_M \sum_{i,j,\alpha} \rho^{2k-2} h_{ij}^\alpha H_{,ji}^\alpha \, dv \\ &= \frac{n}{2} \int_M \rho^{2k-2} \Delta H^2 \, dv + n \int_M \rho^{2k-2} |\nabla^\perp \mathbf{H}|^2 \, dv \\ &\quad + \int_M \sum_{i,j,\alpha} \rho^{2k-2} h_{ij}^\alpha H_{,ij}^\alpha \, dv, \end{aligned} \quad (17)$$

$$\int_M \sum_{i,\alpha} \rho^{2k-2} H_{,ii}^\alpha H^\alpha \, dv = \frac{1}{2} \int_M \rho^{2k-2} \Delta H^2 \, dv - \int_M \rho^{2k-2} |\nabla^\perp \mathbf{H}|^2 \, dv. \quad (18)$$

Then (15) becomes

$$\begin{aligned} 0 = & -\frac{1}{2} \int_M \rho^{2k-2} \Delta H^2 \, dv + \int_M \rho^{2k-2} |\nabla^\perp \mathbf{H}|^2 \, dv \\ & + \int_M \sum_{i,j,\alpha} \rho^{2k-2} h_{ij}^\alpha H_{,ij}^\alpha \, dv + \int_M \rho^{2k-2} F \, dv, \end{aligned} \quad (19)$$

so (14) holds. \square

We also need the following inequalities:

Lemma 3. [8] *Let M be an n -dimensional ($n \geq 3$) compact submanifold in the unit sphere S^{n+p} . Then for any $f \in C^1(M)$, $f \geq 0$, $t > 0$, f satisfies the following inequality*

$$\int_M |\nabla f|^2 dv \geq c_1(n, t) \left(\int_M f^{\frac{2n}{n-2}} dv \right)^{\frac{n-2}{n}} - c_2(n, t) \int_M (1 + H^2) f^2 dv, \quad (20)$$

where $c_1(n, t) = \frac{(n-2)^2}{4C(n)^2(1+t)(n-1)^2}$, $c_2(n, t) = \frac{(n-2)^2}{4t(n-1)^2}$.

Lemma 4. [4] *Let B^1, B^2, \dots, B^m be symmetric $(n \times n)$ -matrices, Set $S_{\alpha\beta} = \text{tr}(B^\alpha B^\beta)$, $S_\alpha = S_{\alpha\alpha}$, $S = \sum_\alpha S_\alpha$, then*

$$\sum_{\alpha, \beta} |B^\alpha B^\beta - B^\beta B^\alpha|^2 + \sum_{\alpha, \beta} S_{\alpha\beta}^2 \leq \frac{3}{2} \left(\sum_\alpha S_\alpha \right)^2, \quad (21)$$

where $|B|^2 = \text{tr } B^t B$.

3 Proof of the theorems

We also need a Simons' type formula, which can be found in [6]:

Lemma 5. *If $x: M \rightarrow S^{n+m}$ be an n -dimensional submanifold, then*

$$\begin{aligned} \frac{1}{2} \Delta \rho^2 &= |\nabla A|^2 - n^2 |\nabla^\perp \mathbf{H}|^2 + \sum_{i,j,k,\alpha} (h_{ij}^\alpha h_{kk,i}^\alpha)_{,j} \\ &\quad + n \sum_{\alpha, \beta, i, j, k} H^\beta \phi_{ij}^\beta \phi_{jk}^\alpha \phi_{ki}^\alpha + n \rho^2 + n^2 H^2 \rho^2 \\ &\quad - \sum_{\alpha, \beta} \sigma_{\alpha\beta}^2 - \sum_{\alpha, \beta, i, j} (R_{\alpha\beta ij}^\perp)^2 - \frac{1}{2} \Delta(nH^2), \end{aligned} \quad (22)$$

where ϕ is the trace-free tensor which defined above, $\sigma_{\alpha\beta} = \sum_{i,j} \phi_{ij}^\alpha \phi_{ij}^\beta$.

From

$$0 = \int_M \Delta \rho^{2k} dv = 2 \int_M \Delta \rho^2 \rho^{2k-2} dv + 2 \int_M \langle \nabla \rho^2, \nabla \rho^{2k-2} \rangle dv, \quad (23)$$

and (22), we get that

$$\begin{aligned} \frac{1}{2} \int_M \Delta \rho^2 \rho^{2k-2} dv &= \int_M |\nabla A|^2 \rho^{2k-2} dv + n \int_M \left(\sum_{\alpha, i, j} h_{ij}^\alpha H_{,ij}^\alpha - \frac{1}{2} \Delta H^2 \right) \rho^{2k-2} dv \\ &\quad + \int_M E \rho^{2k-2} dv, \end{aligned} \quad (24)$$

where

$$E := n \sum_{\alpha, \beta, i, j, k} H^\beta \phi_{ij}^\beta \phi_{jk}^\alpha \phi_{ki}^\alpha + n \rho^2 + n^2 H^2 \rho^2 - \sum_{\alpha, \beta} \sigma_{\alpha\beta}^2 - \sum_{\alpha, \beta, i, j} (R_{\alpha\beta ij}^\perp)^2.$$

Using (14) and (23),

$$0 = \int_M (|\nabla A|^2 - n|\nabla^\perp \mathbf{H}|^2) \rho^{2k-2} dv + \int_M (E - nF) \rho^{2k-2} dv + (2k-2) \int_M |\nabla \rho|^2 \rho^{2k-2} dv, \quad (25)$$

from Lemma 2.1 in [8] we know that

$$|\nabla A|^2 - n|\nabla^\perp \mathbf{H}|^2 = \sum_{\alpha, i, j, k} (\phi_{ij, k}^\alpha)^2 \geq |\nabla \rho|^2. \quad (26)$$

By a direct computation, we have that

$$E - nF = n\rho^2 + \frac{n^2}{2k} \rho^2 H^2 - n \sum_{\alpha, \beta, i, j} H^\alpha H^\beta \phi_{ij}^\alpha \phi_{ij}^\beta - \sum_{\alpha, \beta} \sigma_{\alpha\beta}^2 - \sum_{\alpha, \beta, i, j} (R_{\alpha\beta ij}^\perp)^2, \quad (27)$$

for

$$\sum_{\alpha, \beta, i, j} H^\alpha H^\beta \phi_{ij}^\alpha \phi_{ij}^\beta = \sum_{i, j} \left(\sum_{\alpha} H^\alpha \phi_{ij}^\alpha \right)^2 \leq \left(\sum_{i, j} \left(\sum_{\alpha} \phi_{ij}^\alpha \right)^2 \right) \left(\left(\sum_{\alpha} H^\alpha \right)^2 \right) = \rho^2 H^2, \quad (28)$$

then

$$0 \geq \frac{2k-1}{k^2} \int_M |\nabla \rho^k|^2 dv + \int_M \left[n\rho^2 + \left(\frac{n^2}{2k} - n \right) H^2 \rho^2 - \sum_{\alpha, \beta} \sigma_{\alpha\beta}^2 - \sum_{\alpha, \beta, i, j} (R_{\alpha\beta ij}^\perp)^2 \right] \rho^{2k-2} dv. \quad (29)$$

Proof. (Theorem 4) From Lemma 4,

$$E - nF \geq n\rho^2 + \left(\frac{n^2}{2k} - n \right) \rho^2 H^2 - \eta \rho^4, \quad (30)$$

where $\eta = \min(\frac{3}{2}, 2 - \frac{1}{p})$.

From (25), (26) and (30), we know that the following inequality holds,

$$\frac{2k-1}{k^2} \int_M |\nabla \rho^k|^2 dv + \int_M \left[n + \left(\frac{n^2}{2k} - n \right) H^2 - \eta \rho^2 \right] \rho^{2k} dv \leq 0, \quad (31)$$

and with Lemma 3 and (31), we can get:

$$0 \geq \frac{2k-1}{k^2} c_1(n, t) \left(\int_M \rho^{\frac{2n-2}{n-2}k} dv \right)^{\frac{n-2}{n}} + \left(n - \frac{2k-1}{k^2} c_2(n, t) \right) \left(\int_M \rho^{2k} dv \right) + \left(\frac{n^2}{2k} - n - \frac{2k-1}{k^2} c_2(n, t) \right) \left(\int_M H^2 \rho^{2k} dv \right) - \eta \int_M \rho^{2k+2} dv. \quad (32)$$

Using the Hölder's inequality, we have

$$\begin{aligned} 0 &\geq \left[\frac{2k-1}{k^2} c_1(n, t) - \eta \left(\int_M \rho^n \, dv \right)^{\frac{2}{n}} \right] \left(\int_M \rho^{\frac{2n}{n-2} k} \, dv \right)^{\frac{n-2}{n}} \\ &\quad + \left(n - \frac{2k-1}{k^2} c_2(n, t) \right) \left(\int_M \rho^{2k} \, dv \right) \\ &\quad + \left[\frac{n^2}{2k} - n - \frac{2k-1}{k^2} c_2(n, t) \right] \left(\int_M H^2 \rho^{2k} \, dv \right), \end{aligned}$$

let $t = \frac{(n-2)^2(2k-1)}{4(n-1)^2 k^2} \max\left(\frac{2k}{n^2-2kn}, \frac{1}{n}\right)$, then Theorem 4 follows. \square

Proof. (Theorem 5) If M has normal flat bundle, then (29) become

$$\begin{aligned} 0 &\geq \frac{2k-1}{k^2} \int_M |\nabla \rho^k|^2 \, dv \\ &\quad + \int_M \left[n\rho^2 + \left(\frac{n^2}{2k} - n \right) H^2 \rho^2 - \sum_{\alpha, \beta} \sigma_{\alpha\beta}^2 \right] \rho^{2k-2} \, dv \\ &\geq \int_M \left[n\rho^2 + \left(\frac{n^2}{2k} - n \right) H^2 \rho^2 - \rho^4 \right] \rho^{2k-2} \, dv \\ &\geq \int_M (n - \rho^2) \rho^{2k} \, dv. \end{aligned} \tag{33}$$

So if $\rho \leq n$, then either $\rho = 0$ and M is a totally umbilical submanifold, or $\rho^2 = n$, for $k < \frac{n}{2}$, from (33), we know that $H = 0$, with the Theorem 3 in [3], we know that M lies in a $(n+1)$ -dimensional unit sphere, so the Theorem 5 follows from the Theorem 2. \square

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