

Pseudo-isotopies of 4-Manifolds

- I. Pseudo-isotopies, high dimensional background
- II. Hatcher and Wagoner's Invariants of pseudo-isotopy
- III. Realisations of Hatcher and Wagoner's invariants in dimension 4

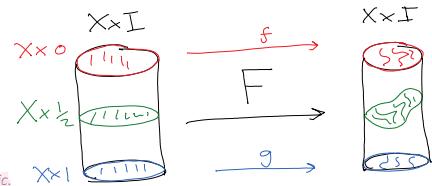
I. Pseudo-isotopies, high dimensional background

Defn A (smooth) *Pseudo-isotopy* of a Manifold X is a diffeomorphism

$$F: X \times [0,1] \rightarrow X \times [0,1]$$

such that $F(X \times \{i\}) = X \times \{i\}$, for $i = 0, 1$ and $F|_{\partial X \times I} = \text{id}_{\partial X \times I}$.

Denoting $f = F|_{X \times \{0\}}: X \rightarrow X$, $g = F|_{X \times \{1\}}: X \rightarrow X$ we say f and g are (smoothly) *Pseudo-isotopic*.



Remark • A pseudo-isotopy that is level preserving, i.e. $F(X \times \{i\}) = X \times \{i\}$ for $i \in [0,1]$ is an isotopy!

• Isotopy implies Pseudo-isotopy!

Motivation Given self-diffeomorphisms $f, g: X \rightarrow X$ which are homotopic, one has a continuous map $F: X \times [0,1] \rightarrow X \times [0,1]$

With $F|_{X \times \{0\}} = f$, $F|_{X \times \{1\}} = g$ in certain favourable situations, surgery theory allows us to turn this map into a homeomorphism/diffeomorphism.

Question 1. Given $f, g: X \rightarrow X$ pseudo-isotopic maps, when are they isotopic?

Equivalently,

Question 1'. Given $f: X \rightarrow X$ pseudo-isotopic to id_X , when is f isotopic to id_X ?

Denote the set of diffeomorphisms pseudo-isotopic to the identity by $\text{Diff}_{PI}(X, \partial X)$

Question 1'' Is $\pi_0 \text{Diff}_{PI}(X, \partial X) = \{0\}$?

Question 2. Given a pseudo-isotopy $F: X \times I \rightarrow X \times I$ with $F|_{X \times \{0\}} = \text{id}_X$ is F isotopic to an isotopy?
i.e. does there exist $H_t: X \times I \rightarrow X \times I$ for $t \in [0,1]$ with $H_0 = F$, H_1 an isotopy.

WLOG • $H_t|_{X \times \{0\}} = \text{id}_X$

Note: WLOG • $H_t|_{X \times \{0\}} = \text{id}_X \quad \forall t \in [0,1]$. Since if not we can take

• $H_1 = \text{id}_{X \times I}$ since any level preserving map $F: X \times [0,1] \rightarrow X \times [0,1]$

Proof: $H_t(x, s) = F(x, ts)$ is an isotopy with

(with C^∞ topology)

Defn Let $\mathcal{P}(X) = \{\text{pseudo-isotopies } F: X \times [0,1] \xrightarrow{\text{diffeo}} X \times [0,1] ; F|_{X \times \{0\}} = \text{id}_X\}$

Note this is a group under composition!

Question 2'. What is $\pi_0 \mathcal{P}(X)$?

Relationship Between $\mathcal{P}(X)$ & $\text{Diff}_{PI}(X, \partial X)$

$$\circ \longrightarrow \pi_0 \mathcal{I}(X) \longrightarrow \pi_0 \mathcal{P}(X) \xrightarrow{F \mapsto F|_{X \times I}} \pi_0 \text{Diff}_{PI}(X, \partial X) \longrightarrow \circ$$

Where $\mathcal{I}(X) = \{\text{pseudo-isotopies from } \text{id}_X \text{ to } \text{id}_X\} \subset \mathcal{P}(X)$

When X is simply connected

Dimension > 5

Theorem (Cerf) If X is a simply-connected manifold of dimension ≥ 5 every smooth pseudo-isotopy is smoothly isotopic to an isotopy.

Corollary: $\pi_0 \mathcal{P}(X) = \pi_0 \text{Diff}_{PI}(X, \partial X) = \{0\}$

Dimension 4

$$X \times I \longrightarrow X \times I$$

Theorem (Quinn) For X a simply connected manifold of dimension 4 every topological pseudo-isotopy is isotopic to a topological isotopy.

$$H_t^1 = \left(H_t^{-1} |_{X \times \{t\}} \times \mathbb{1}_{[0,1]} \right) \times H_t$$

$\mathbb{1}_{[0,1]}$ fixing $X \times \{t\}$ is isotopic to $\mathbb{1}_{X \times \{0\}}$

$$H_1 = H, \quad H_0 = \mathbb{1}_{X \times \{0\}}$$

)

Corollary (Quinn, after a 5-dimensional surgery argument)

$$\frac{\text{Homeo}(X)}{\text{Isotopy}} \xrightarrow{\cong} \text{Aut}(H_2 X, \lambda_X) \quad \text{Intersection form}$$

Dimension 4 Examples of $\pi_0 \text{Diff}_{PL}(X, \partial X) \neq \emptyset$ from gauge theory. (Ruberman, Baraglia-Kondo, Kronheimer-Mrowka, and Lin)

When X is non-simply connected

High Dimensions

Theorem (Hatcher + Wagner + Igusa) (Igusa) For X a smooth manifold of dimension $n \geq 6$ there is an exact sequence

$$K_3 \mathbb{Z}[\pi_1 X] \xrightarrow{\chi} Wh_1(\pi_1 X; \mathbb{Z}_2 \times \pi_1 X) \xrightarrow{\cong} \pi_1 P(X) \xrightarrow{\cong} Wh_2(\pi_1 X) \rightarrow 0$$

For $n \geq 4$ there are maps

The two invariants of this talk

$$\begin{cases} \sum: \pi_1 P(X) \rightarrow Wh_2(\pi_1 X) & \text{if } n \geq 5 \\ \Theta: \ker \sum \hookrightarrow Wh_1(\pi_1 X; \mathbb{Z}_2 \times \pi_1 X) & \text{if } n \geq 6 \end{cases}$$

$$Wh_1(\pi_1 X; \mathbb{Z}_2 \times \pi_1 X)$$

- First postnikov invariant
- When $n \geq 5$, \sum and Θ are surjective.
 - When $k_1 X = 0$ $n \geq 7$, $\sum + \Theta: \pi_1 P(X) \rightarrow Wh_1(\pi_1 X) \oplus Wh_2(\pi_1 X; \mathbb{Z}_2 \times \pi_1 X)$ is an isomorphism (Hatcher & Wagner)

The groups Wh_1
Whitehead Torsion group

Dimension 4

Previous examples from Budney-Gabai and Watanabe of $\pi_0 \text{Diff}_{PL}(X, \partial X) \neq \emptyset$.

$$\begin{array}{c} S^3 \times S^1 \\ B^3 \times S^1 \end{array} \quad \sum(2, 3, 5) \times S^1$$

Recent examples (S.) and concurrently Igusa of $\pi_0 \text{Diff}_{PL}(X, \partial X) \neq \emptyset$ using the invariant Θ .

$$\begin{array}{c} S^3 \times S^1 \\ (M_1 \# M_2) \times S^1 \end{array} \quad \begin{array}{c} ((S^3 \times S^1) \# M) \times S^1 \\ M \text{ not simply connected} \end{array}$$

Further examples (S.) of $\pi_0 P(X) \neq \emptyset$.

$P(X) \neq \emptyset$ when certain subgroup of $Wh_1(\pi_1 X; \mathbb{Z}_2 \times \pi_1 X) / \pi_1(\mathbb{Z}[\pi_1 X])$ is $\neq 0$

$P(X \# S^2 \times S^2) \neq \emptyset$ when $Wh_1(\pi_1 X; \mathbb{Z}_2 \times \pi_1 X) / \pi_1(\mathbb{Z}[\pi_1 X]) \neq 0$

$P(X \# S^2 \times S^2) \neq \emptyset$ when $Wh_2(\pi_1 X) \neq 0$.

for n sufficiently large

II. Hatcher and Waggoners Invariants

Pseudo-isotopies as paths of functions

Def. $\mathcal{M}(X) = \{f: X \times [0, 1] \xrightarrow{\text{smooth}} [0, 1] ; f(X \times \{i\}) = i \text{ for } i=0, 1\}$

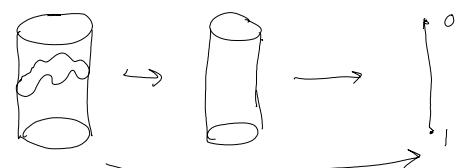
$$\mathcal{M}_0(X) = \{f \in \mathcal{M}(X) ; f \text{ has no critical points}\}$$

Let P denote the standard projection $P: X \times [0, 1] \rightarrow [0, 1]$

We can construct a map $\pi_*: \mathcal{P}(X) \rightarrow \mathcal{M}(X)$

$$F \xrightarrow{x \mapsto x \cdot I} P \circ F$$

Since F is a diffeomorphism, and P has no critical points $\pi(P(X)) \subseteq \mathcal{M}_0(X)$



Lemma $\pi_*: \pi_0 \mathcal{P}(X) \rightarrow \pi_0 \mathcal{M}_0(X)$ is an isomorphism!

So since $\mathcal{M}(X) \cong *$ we have

$$\pi_0 \mathcal{P} \xrightarrow{\cong} \pi_0 \mathcal{M}_0(X).$$

Proof injective: ✓

surjective: $f \in \mathcal{M}_0(X)$, let $F = \phi_{f,t}(x, 0)$ \square

We will define \sum and Θ on $\pi_1(\mathcal{M}(X), \mathcal{M}_0(X))$

Paths in $\mathcal{M}(X)$

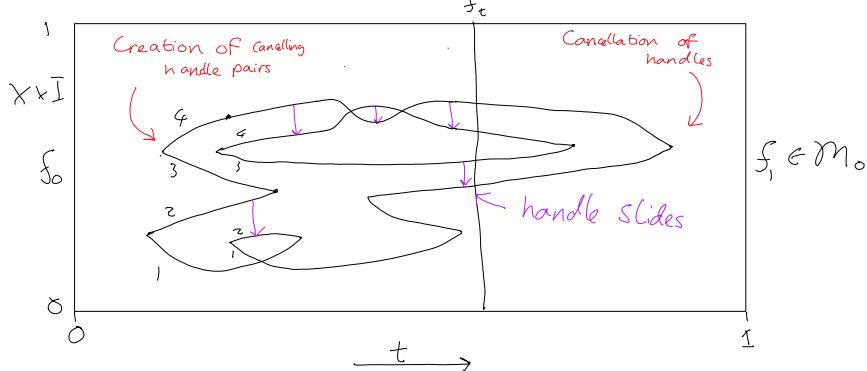
Any path $f \in \mathcal{M}(X)$ can be deformed to a 1-parameter family of smooth functions (with some standard outer singular points)

$$(\mathbb{Z}_2 \times \pi_1 X)[\pi_1 X] = \langle \alpha - \alpha^* \tau \sigma \tau^{-1}, \beta \cdot 1 \mid \alpha, \beta \in \mathbb{Z}_2 \times \pi_1 X, \tau \sigma \in \pi_1 X \rangle$$

, Wh_2 are defined using algebraic K-Theory. In the non-relative case $Wh_1(G)$ is the
 $Wh_1(G) \subset \frac{GL(\mathbb{Z}[G])}{E}$ arising in the s-cobordism theorem.

Paths in $\mathcal{M}(X)$

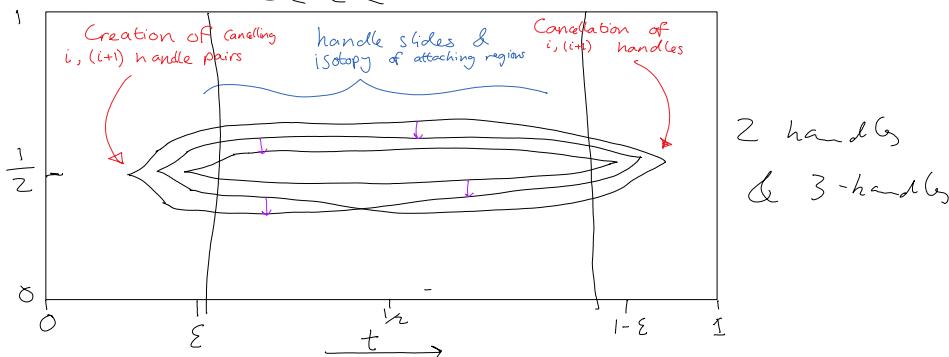
Any path $f_t \in \mathcal{M}(X)$ can be deformed to a 1-parameter family of Morse functions (with some standard extra singular points corresponding to creation of cancelling handle pairs). We can also make the Cerf diagram "nice":



(Hatcher & Waggoner)

Ihm Let X be an n -manifold. For any $2 \leq i \leq n-2$ and any path $f_t \in \mathcal{M}(X)$ with $f_0, f_1 \in \mathcal{M}_0(X)$ we can deform f_t fixing the ends so it has the following Cerf graphic

$$2 \leq 2 \leq 2 = 4-2$$



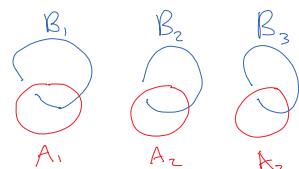
4-dim picture

- Looking in the "middle 4-manifold" $V_t = f_t^{-1}(\frac{1}{2})$ we see first a copy of X for $t < \varepsilon$.

Between $t = \varepsilon$ and $t = 1 - \varepsilon$ we see the creation of cancelling pairs - the middle 4-manifold becomes $X \#^m S^2 \times S^2$

We see two sets of embedded spheres A_1, A_2, \dots, A_n and B_1, B_2, \dots, B_m with $A_i \cap B_j = \delta_{ij}$ points

$\underbrace{S^2 \times \{\varepsilon\}}_{2\text{-handle belt spheres}}$ $\underbrace{\{\varepsilon\} \times S^2}_{3\text{-handle attaching spheres}}$

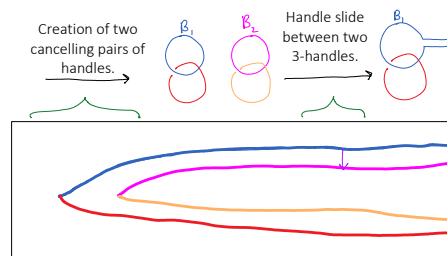


- Between $t = \varepsilon$ and $t = 1 - \varepsilon$ some weird stuff can happen!

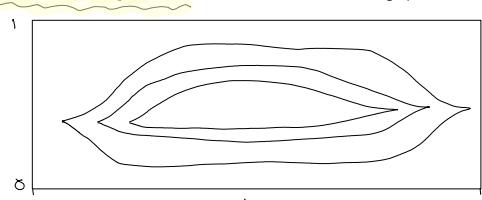
Handles can slide over each other (resulting in tubing an A-sphere to a parallel copy of another A-sphere, or tubing a B-sphere to a parallel copy of another B-sphere)

The spheres can move about. The A-spheres must be mutually disjoint, as must the B-spheres, but the A's and B's can intersect! By general position, we can perturb f_t so we see a collection of finger moves and Whitney moves

- At $t = 1 - \varepsilon$ each A-sphere has a B-sphere that it intersects in a single point. The 2 and 3 handles then cancel in pairs!



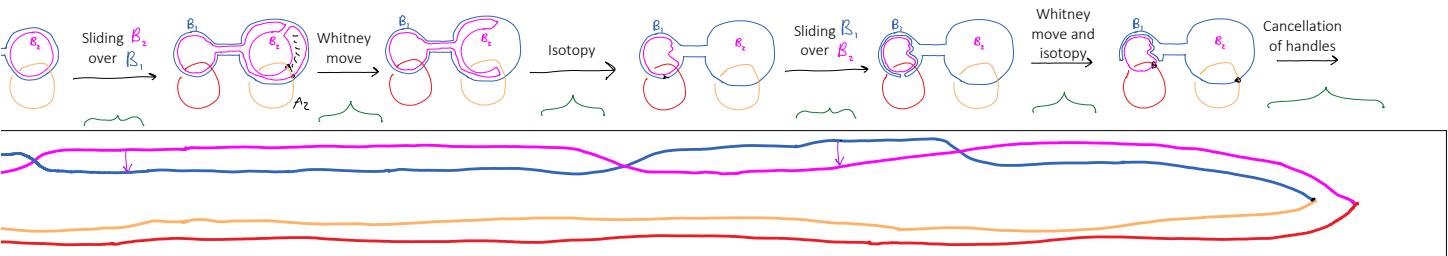
Motivation for \sum and \ominus : If we could deform the Cerf graphic to be as below



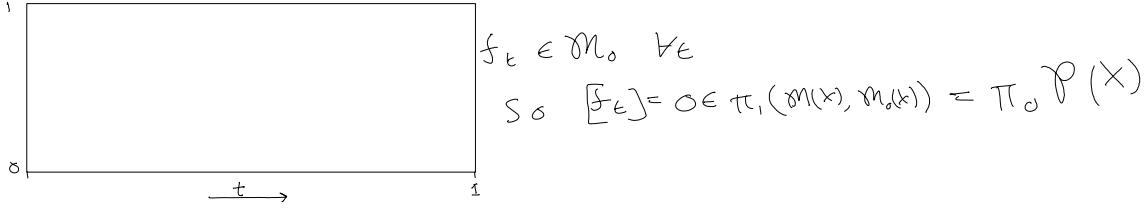
No handle slides!
No finger Moves!
No Whitney Moves!

then we could "cancel the eyes"

$\circ : \text{ker } \Sigma$



$(\mathcal{M}(x), \mathcal{M}_x(x))$



Defⁿ of Σ

Intuition: Σ counts handle slides.

$$GL(\mathbb{Z}[\pi, X]) = \lim_{n \rightarrow \infty} GL_n(\mathbb{Z}[\pi, X])$$

$$\langle e_{ij}^\lambda \rangle = E(\mathbb{Z}[\pi, X]) \subset GL(\mathbb{Z}[\pi, X])$$

$$e_{ij}^\lambda = \begin{pmatrix} 1 & 0 & 0 & \cdots & & \\ 0 & 1 & 0 & \cdots & & \\ 0 & 0 & 1 & \cdots & \lambda & \\ 0 & 0 & 0 & 1 & & \\ \vdots & \vdots & \vdots & & 1 & \\ & & & & & j \end{pmatrix}$$

- easy relations:
- $e_{ij}^\lambda e_{ij}^\mu = e_{ij}^{\lambda+\mu}$
 - $[e_{ij}^\lambda, e_{kl}^\mu] = 0 \quad \text{for } i \neq k, j \neq l$
 - $[e_{ij}^\lambda, e_{jk}^\mu] = e_{ik}^{\lambda+\mu} \quad i, j, k \text{ distinct}$

Defⁿ The Steinberg group $St(\mathbb{Z}[\pi, X])$ is the group freely generated by the symbols x_{ij}^λ subject to the relations

- $x_{ij}^\lambda x_{ij}^\mu = x_{ij}^{\lambda+\mu}$
- $[x_{ij}^\lambda, x_{kl}^\mu] = 0 \quad \text{for } i \neq k, j \neq l$
- $[x_{ij}^\lambda, x_{jk}^\mu] = x_{ik}^{\lambda+\mu} \quad i, j, k \text{ distinct}$

There is a map $\pi: St(\mathbb{Z}[\pi, X]) \rightarrow E(\mathbb{Z}[\pi, X])$

$$x_{ij}^\lambda \mapsto e_{ij}^\lambda$$

$$K_2(\mathbb{Z}[\pi, X]) := \ker(\pi) \leq St(\mathbb{Z}[\pi, X])$$

$$Wh_2(\pi, X) := K_2(\mathbb{Z}[\pi, X]) \bmod \langle x_{ij}^{+g} x_{ji}^{-g} x_{ij}^{+g} \rangle \cap K_2(\mathbb{Z}[\pi, X])$$

Label the i -handles and the $(i+1)$ -handles, and pick some arcs to a basepoint. Then you can consider the Morse differential at time t

$$\partial_{i+1}^t \in GL_m(\mathbb{Z}[\pi, X]) \subset GL(\mathbb{Z}[\pi, X])$$

$$\text{at } t = \varepsilon, \quad \partial_{i+1}^\varepsilon = I$$

When a handle slide occurs, ∂_{i+1}^t changes by left or right multiplication by e_{ij}^λ

$$\text{at } t > \varepsilon, \quad \partial_{i+1}^t = e_{ij}^\lambda \dots e_{i_k j_k}^\lambda$$

Right before all of the handles are cancelled we must have $A_i \cap B_j = S_{i \leftrightarrow j}$ for σ some permutation

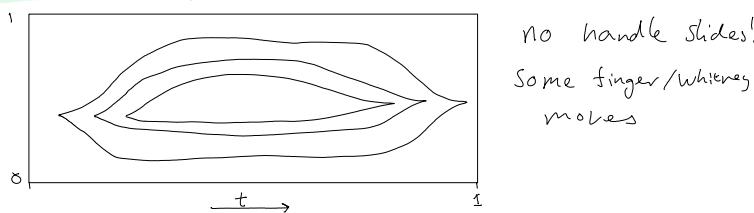
$$\text{at } t = 1 - \varepsilon, \quad \partial_{i+1}^{1-\varepsilon} = e_{ij}^\lambda \dots e_{i_k j_k}^\lambda = P \circ D$$

Fact: $\exists w \in \langle x_{ij}^{+g} x_{ji}^{-g} x_{ij}^{+g} \rangle$ with $\pi(w) = P \circ D$

$$\text{Defⁿ: } \sum(f_t) = x_{ij}^\lambda \dots x_{i_k j_k}^\lambda w^{-1}$$

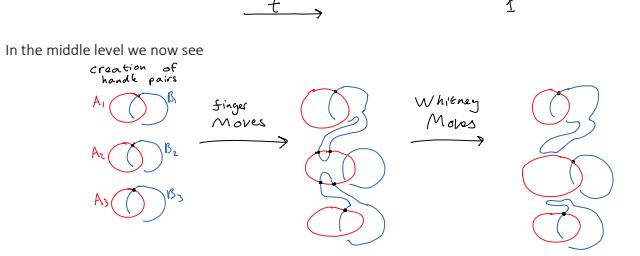
(Hatcher-Wagoner)

Thm When $\sum(f_t) = 0$ and $n \geq 4$, f_t can be deformed to have the following Cerf Graphic



In the middle level we now see
creation of
handle pairs

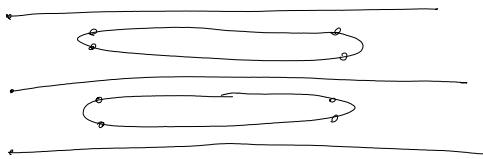




Consider the trace of intersections $A_i \times I \cap B_j \times I$: these are lines and circles

$$\begin{aligned} & X \times I \times I \\ & \uparrow \\ & A_i, B_j \in S^2 \times I \\ & A_i \times I, B_j \times I \end{aligned}$$

$\Theta : \ker \sum \rightarrow Wh_1$



Intuition for Θ : counts circles of intersection

To each circle of intersection C , associate

$$Y_C \in \pi_1 X$$

$$\sigma_C \in \pi_2 X$$

$$C \subset A_i \times I \text{ so bounds a disk}$$

$$D_a \subset A_i \times I$$

$$C \subset B_j \times I \text{ so bounds a disk}$$

$$D_b \subset B_j \times I$$

$$S_C \in \mathbb{Z}_2 \quad \text{Framings!}$$

$$S^2 \subset X \times I \times I$$

$$\text{Matrix of intersections: } M_{ij} = \sum_{\substack{\text{circles of intersection} \\ C \subset A_i \times I \cap B_j \times I}} (S_C, \sigma_C) Y_C \in (\mathbb{Z}_2 \times \pi_2 X)[\pi_1 X]$$

$$\Theta(s_t) = \text{tr}(I + M_{ij}) \in \frac{(\mathbb{Z}_2 \times \pi_2 X)[\pi_1 X]}{\sim} = \frac{Wh_1(\pi_1 X; \mathbb{Z}_2 \times \pi_2 X)}{\chi(k_3 \mathbb{Z}[\pi_1 X])}$$

III Realisation of Hatcher and Wagoner's invariants in dimension 4

Recall When $n \geq 5$, \sum and Θ are surjective.

Theorem (S.) (Stable theorems) \sum and Θ are (in some sense) surjective after taking connect sums with $S^2 \times S^2$

Theorem (S.) For X a 4-manifold Hatcher/Wagoner's invariant Θ surjects onto the following subgroup

$$\begin{aligned} & \langle (s, \sigma) Y \mid \omega_2^X(\sigma) \neq 0 \text{ or } s=0, \sigma \in \pi_1 X, s \in \mathbb{Z}_2, Y \in \pi_1 X \rangle \\ & \subset \frac{(\mathbb{Z}_2 \times \pi_2 X)[\pi_1 X]}{\sim} = \frac{Wh_1(\pi_1 X; \mathbb{Z}_2 \times \pi_2 X)}{\chi(k_3 \mathbb{Z}[\pi_1 X])} \end{aligned}$$

Give examples of $P(X) = \Theta$

$$\left\{ \begin{array}{l} x_n = X \# \\ Wh_1(\pi_1 X; \mathbb{Z}_2 \times \\ \frac{Wh_1(\pi_1 X; \mathbb{Z}_2 \times)}{\chi(k_3 \mathbb{Z}[\pi_1 X])} \\ \text{Given } a \in Wh_1(\pi_1 X; \mathbb{Z}_2 \times) \\ \text{Given } a \in \frac{Wh_1(\pi_1 X; \mathbb{Z}_2 \times)}{\chi(k_3 \mathbb{Z}[\pi_1 X])} \end{array} \right.$$

Examples of $Diff_{PL}(X, \partial X) \neq 0$ via:

$$\begin{array}{ccccccc} \circ & \longrightarrow & \pi_0 \mathcal{I}(X) & \longrightarrow & \pi_0 P(X) & \longrightarrow & \pi_0 Diff_{PL}(X, \partial X) \longrightarrow \circ \\ & & \downarrow \Sigma & & \downarrow \Sigma & & \downarrow \hat{\Sigma} \\ \circ & \longrightarrow & \sum(\mathcal{I}(X)) & \longrightarrow & Wh_1(\pi_1 X) & \longrightarrow & \frac{Wh_1(\pi_1 X)}{\sum(\mathcal{I}(X))} \longrightarrow \circ \end{array}$$

$$\circ \longrightarrow \pi_0 \mathcal{I}(X) \cap \ker \hat{\Sigma} \longrightarrow \ker \hat{\Sigma} \longrightarrow \ker \hat{\sum} \longrightarrow \circ$$

$$\begin{array}{ccccccc} \circ & \longrightarrow & \pi_0 \mathcal{I}(X) \cap \ker \Sigma & \longrightarrow & \ker \Sigma & \longrightarrow & \ker \hat{\Sigma} \\ & & \downarrow \Theta & & \downarrow \Theta & & \downarrow \hat{\Theta} \\ \circ & \longrightarrow & \Theta(\mathcal{I}(X) \cap \ker \Sigma) & \rightarrow & \text{Wh}_1(\pi_1 X; \mathbb{Z}_2 \times \pi_1 X) & \xrightarrow{\frac{\text{Wh}_1(\pi_1 X; \mathbb{Z}_2 \times \pi_1 X)}{\Theta(\mathcal{I}(X) \cap \ker \Sigma)}} & \circ \end{array}$$

Define $\Sigma(\xi) = \Sigma(F) \in \frac{\text{Wh}_1(\pi_1 X)}{\Sigma(\mathcal{I}(X))}$
 $\Theta(\xi) = \Theta(F) \in \frac{\text{Wh}_1(\pi_1 X; \mathbb{Z}_2 \times \pi_1 X)}{\Theta(\mathcal{I}(X) \cap \ker \Sigma)}$

$\Sigma(\mathcal{I}(X))$ and $\Theta(\mathcal{I}(X) \cap \ker \Sigma)$ are in general very complicated.

When $X = M^3 \times I$, $\Theta(\mathcal{I}(X) \cap \ker \Sigma)$ and $\Sigma(\mathcal{I}(X))$ can be understood algebraically!

$K_3 \mathbb{Z}[\pi_1 M^3]$ can be calculated using the Farrell-Jones conjecture for 3-manifold groups!
(Baekals, Farrell-Lück)

$$H_3(\beta(\pi_1 M^3); K(\mathbb{Z}))$$

It theory spectrum of \mathbb{Z}

Lemma (Igusa) M closed
 $\pi_0 \text{Diff}_{\text{PI}}(M \times I, \partial(M \times I)) \hookrightarrow \pi_0 \text{Diff}_{\text{PI}}(M \times S^1)$

Thm (S.) Let X be the 4-manifold $S^2 \times S^1 \times I$, $S^2 \times S^1 \times S^1$, $(M_1 \# M_2) \times I$, or $(M_1 \# M_2) \times S^1$ for M_1, M_2 closed, orientable, aspherical 3-manifolds. Then there is a subgroup $K \subset \pi_0 \text{Diff}_{\text{PI}}(X, \partial X)$ and a surjective map

$$\Theta' : K \longrightarrow \bigoplus_{i \in \mathbb{N}} \mathbb{Z}$$

and hence infinitely many distinct pseudo-isotopy classes of diffeomorphism of X .

Stable Σ realisation:

recipe to build path ξ_t with $\Sigma(\xi_t) = \sigma$

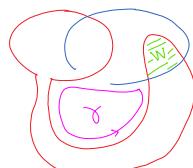
- Have some element $\sigma \in \text{Wh}_2(\pi_1 X)$
- Write it in terms of generators
 $\sigma = \alpha_{i,j}^{\pm 1} \cdots \alpha_{k,l}^{\pm 1}$
- Create N cancelling pairs of handles
- Do handle slides of 3-handles according to generators
- At the end:
- A_i and B_j intersect algebraically as $\pi_1(\sigma) \subseteq I$, but intersect weirdly geometrically!
- In high dimensions can sort this out using the Whitney trick - in 4-dimensions use $\#^N S^1 \times S^2$
- Once $A_i \cap B_j = \delta_{i,j}$ cancel the handles!

Θ realisations

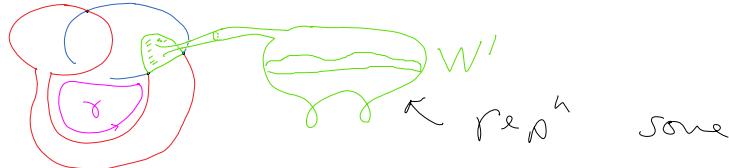
- Have $(\xi, \sigma) \sim \underline{(\mathbb{Z}_2 \times \pi_1 X)[\pi_1 X]} = \text{Wh}_2(\pi_1 X; \mathbb{Z}_2 \times \pi_1 X)$

- Create a cancelling pair of handles

- Do a finger move around γ :



- Find an immersed sphere representing σ and tube it into W



- Do boundary twists to make W framed, and to arrange for the correct framing coefficient s

$\pi_2 e (+)$



- Worry about intersections.
- Successfully resolve intersections, except when $\text{W}_z^X(\epsilon) = \emptyset$ and $S = 1$ - in this case you need an $S^2 \times S^2$ to help.

