

Title

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Contents

1	Monday, October 12	1
1.1	Summary	3
1.2	Linearizing the Morse Equation	3
1.2.1	Showing L_u is Fredholm	4
1.2.2	Computing $\text{Ind } L_u$	4
1.2.3	Smale Condition	5
1.3	10.4: Morse and Floer Trajectories Coincide	5
1.3.1	Comparing Kernels	5
1.3.2	Trajectories are Independent of t	5

1 | Monday, October 12

Chapter 10: From Floer to Morse

- To be precise with notation, define
 - $CM_*(H, J)$ will be the Morse complex associated with a Morse function H , its vector field ∇H the gradient for the metric defined by J, ω .
 - $CF_*(H, J)$ will be the Floer complex

Theorem 1.0.1(Main Goal).

There exists a nondegenerate Hamiltonian that is sufficiently small in the C^2 topology for which both the Floer and Morse complexes are well-defined, and

$$CF_*(H, J) \cong CM_{*+n}(H, J) = CM_*(H, J)[n].$$

- Can start with an H_0 and rescale to define $H := H_0/k$

Why?

- When sufficiently small, periodic trajectories are constant
 - Thus $\text{crit}(\mathcal{A}_H) = \text{crit}(H)$
 - Implies that H is a Morse function
 - Implies that for the Hessian $\text{Spec}(\nabla^2 H) \cap 2\pi\mathbb{Z} = \emptyset$

- Allows comparing Morse index of critical point to Maslov index of corresponding constant trajectory using

$$\text{Ind}_H(x) = \mu(x) + n.$$

- Gives an isomorphism of vector spaces, up to a dimension shift.
- Next need to show both differentials ∂_M, ∂_F can be defined, and they coincide
- Defining ∂_M :
 - Need a vector field $X \in \Gamma(T * M)$ adapted to H
 - X needs to satisfy Smale condition

What is the Smale condition?

- Then relate trajectories of X to solutions of Floer equation, i.e. relate

$$\left\{ \begin{array}{l} \text{Solutions to} \\ \frac{\partial u}{\partial s} + X(u) = 0 \end{array} \right\} \iff \left\{ \begin{array}{l} \text{Solutions to} \\ \frac{\partial u}{\partial s} + J(u) \frac{\partial u}{\partial t} + \nabla H(u) = 0 \end{array} \right\}.$$

In other words: want $X = \nabla H$ for the metric induced by J, ω .

Theorem 1.0.2 (Theorem to Prove).

Let H be Morse on (W, ω) . Then there exists a dense subset $\mathcal{J}_{\text{reg}}(H)$ of almost complex structures J calibrated by ω such that $(H, -JX_H)$ is Morse-Smale.

Note: transversality result analogous to ones in 8.5

What is Morse-Smale?

- Big idea: running ideas backwards, getting theorems for Morse functions similar to what we did when linearizing the Floer operator
- Proof in two steps:
 - Step 1: Morse Side, arbitrary morse functions
 - Linearize the Morse equation $\frac{\partial u}{\partial s} + X(u) = 0$ of the flow of $-X$ along one of its solutions $L_u Y = 0$.
 - Show that whenever H is Morse and u is a trajectory connecting critical points, L_u is Fredholm and $\text{Ind}(L_u) = \text{Ind}_H(y) - \text{Ind}_H(x)$.
 - Show that for H a nondegenerate Hamiltonian and u a trajectory of JX_H , the operators $(d\mathcal{F})_u$ and L_u are Fredholm of equal index.
 - Show that X is Smale $\iff L_u$ is surjective.
 - Step 2: Floer Side, specific case of Hamiltonian
 - Prove the actual result.
- Now fix an almost complex structure to obtain a Smale vector field X
- Compare solutions to Floer equation and trajectories of X
 - Solutions to Floer equation that *do not* depend on t are precisely trajectories of $X = -\nabla H$.

1.1 Summary

- Next show that elements in $\ker(d\mathcal{F}_u)$ do not depend on t .
- Corollary: $d\mathcal{F}_u$ is surjective along every trajectory of ∇H .
- Then show that replacing $H_k := H/k$ for $k \gg 0$ preserves all critical points and all indices
- Punch line: all the solutions of the Floer equation that we need are time-independent.
 - Statement: For $k \gg 0$, solutions to the Floer equation for H_k connecting $x \rightarrow y$ with $\text{Ind}(x) - \text{Ind}(y) \leq 2$ are independent of t .

Goal by end of Ch. 10:

- Show that all Floer solutions connecting two consecutive critical points are *also* Morse trajectories, and $d\mathcal{F}_v$ is surjective along these trajectories
- Yields equality of complexes

1.1 Summary

What is X_H

- Take H_k for $k \gg 0$ and $J \in \mathcal{J}_{\text{reg}}$ (dense)
- Then when $\text{Ind}(x) - \text{Ind}(y) \leq 2$, trajectories of Floer equation for (H, J) connecting critical points x, y are trajectories of the Smale vector field $X = -JX_H$.
 - x, y will be critical points for both H and \mathcal{A}_H
- Regularity? The linearized Floer operator is surjective along these trajectories
- Implies that $\mathcal{M}^{(H, J)}(x, y)$ is a manifold, so CF_* can be defined.
- Claim: this shows the differentials coincide, and we're done.

1.2 Linearizing the Morse Equation

- Let f be morse on $V \hookrightarrow \mathbb{R}^m$ ($m \gg 0$) with adapted pseudo-gradient field X , then

$$\left\{ \begin{array}{c} \text{Trajectories} \\ \text{of } X \end{array} \right\} \iff \left\{ \begin{array}{c} \text{Solutions of} \\ \frac{\partial u}{\partial s} + X(u(s)) = 0 \end{array} \right\}.$$

- Fix a metric g on V such that $X = \nabla_g f$.
- Define the space of solutions of finite energy:

$$E(u) := \int_{\mathbb{R}} \left\| \frac{\partial u}{\partial s} \right\|^2 ds$$

$$\mathcal{M} := \left\{ u \in C^\infty(\mathbb{R}, V) \mid \frac{\partial u}{\partial s} + \nabla f = 0, \quad E(u) < \infty \right\}.$$

- Then \mathcal{M} is compact and equal to $\cup_{x, y} \mathcal{M}(x, y)$, using the fact that if V is compact, *all* trajectories are of finite energy

- Now go to coordinates and linearize the equation of the flow along the solution u to get a linear differential equation
- Yields an equation

$$L_u : W^{1,2}(\mathbb{R}, \mathbb{R}^n) \rightarrow L^2(\mathbb{R}, \mathbb{R}^n)$$

$$Y \mapsto \frac{\partial Y}{\partial s} + A(s)Y := L_u Y,$$

where A is a matrix limiting to $\nabla_y^2 f$ and $\nabla_x^2 f$ at $s = \pm\infty$

- Limiting to Hessians of nondegenerate critical points will yield symmetric invertible matrices
- We then consider $\ker L_u \subseteq \ker(d\mathcal{F}_u)$. Note: we have exponential decay.
- Note: the space of solutions to equation linearized at u is $T_u\mathcal{M}(x, y)$.

1.2.1 Showing L_u is Fredholm

- Bootstrapping: $Y \in \ker(L_u)$ in $W^{1,2}$ is continuous, thus C^1 , this C^∞ and form a finite-dimensional vector space.
- Behavior at infinity: reduces to $L_u Y = 0 \iff \frac{\partial Y}{\partial s} = -AY$ where A is a constant diagonal matrix
 - This is a linear system, so solutions are

$$Y(s) = e^{-As}Y(0) \quad \text{i.e.} \quad y_i(s) = y_i e^{-\lambda_i s}.$$

- Will prove that if u is a trajectory of ∇f connecting $x \rightarrow y$ then L_u is Fredholm
 - Proof: involves bounding $W^{1,2}$ norm of Y by L^2 norms of $Y, L_u Y$.
 - Lots of integral estimates: Fourier transform, Plancherel, Cauchy-Schwarz
- Integral bound yields: $\dim \ker L_u < \infty$ and $\text{im}(L_u)$ is closed.
- Lemma: $\dim \text{coker} < \infty$.
 - Proof: computer kernel of adjoint $L_u^* = -\frac{\partial}{\partial s} + A^*$ where the matrix is transposed.
 - Use the fact that $Z \in \text{coker}(L_u) \iff Z \in \ker(L_u^*)$, i.e. $L_u^* Z = 0$ in the sense of distributions

1.2.2 Computing $\text{Ind } L_u$

- Unsurprisingly, will show $\text{Ind}(L_u) = \text{Ind}_f(x) - \text{Ind}_f(y)$.
- Ideas in proof:
 - Will choose two real numbers σ, s to plug into u , and consider *resolvent*: map between tangent spaces to V at $u(\sigma), u(s)$.
 - Look at the tangent spaces at $u(\sigma)$ of the stable and unstable manifolds will be the Floer complex

$$E^u(\sigma) := T_{u(\sigma)} W^u(x)$$

$$E^s(\sigma) := T_{u(\sigma)} W^s(x)$$

- Then $\ker L_u$ is isomorphic to the intersection for all σ .

1.2.3 Smale Condition

- Recall $X = \nabla_g f$ for g a metric.
- Statement: the vector field X satisfies the Smale condition \iff all L_u are surjective.

Proof.

- L_u is surjective $\iff \operatorname{coker}(L_u) = 0 \iff \ker(L_u^*)$ is injective
- This is equivalent to

$$T_{u(\sigma)}W^u(x) + T_{u(\sigma)}W^s(x) = T_{u(\sigma)}V.$$

- This is exactly the transversality condition for the stable and unstable manifolds
 - We want this for all critical points



1.3 10.4: Morse and Floer Trajectories Coincide

1.3.1 Comparing Kernels

- Note $\ker(L_u) \subset \ker(d\mathcal{F}_u)$ since

$$\left(\frac{\partial}{\partial s} + S(s)\right)Y = 0 \implies \left(\frac{\partial}{\partial s} + J\frac{\partial}{\partial t} + S(s)\right)Y = 0,$$

so just need to show reverse inclusion.

- Use a lemma: for $f : [0, 1] \rightarrow \mathbb{R}$,

$$\|f\|_{L^p([0,1])} \leq \left\| \frac{\partial f}{\partial t} \right\|_{L^p([0,1])},$$

then apply this to $f(t) := Y(s, t)$ and $p = 2$.

- Yields an equation

$$\left\| \frac{\partial Y}{\partial s} \right\|_{L^2}^2 + \left\| \frac{\partial Y}{\partial t} \right\|_{L^2}^2 \leq \sup_s \|S(s)\|_{\operatorname{op}}^2 \|Y\|_{L^2}^2 \implies \|Y\|_{L^2}^2 \leq \sup_s \|S(s)\|_{\operatorname{op}} \|Y_{L^2}^2\|$$

where the sup term being small forces $Y = 0$.

1.3.2 Trajectories are Independent of t

WTS: Trajectories of H_k appearing in the Floer complex are exactly those appearing in the Morse complex. I.e. proving 10.1.9

Idea of proof:

- Contradiction: suppose there exists a sequence $n_k \rightarrow \infty$ with time-dependent solutions u_{n_k} connecting $x \rightarrow y$ which solve the Floer equation
- Consider case where indices differ by 1: using broken trajectories theorem, extract a subsequence converging to some $v \in \mathcal{M}(x, y, H)$.
 - Show v doesn't depend on t
 - Since $d\mathcal{F}_v$ is surjective, v is in a 1-dim component, and thus an isolated point of $\mathcal{L}(x, y)$
 - Get a contradiction from taking $k \gg 0$ and using $v_{n_k}(s, t) = v(s + \sigma_k, t) = v(s + \sigma_k)$, which does *not* depend on time
- Consider case where indices differ by 2
 - Use Smale property of the gradient $-JX_H$ of H : trajectories $x \rightarrow y$ form a 2-manifold
 - Since trajectories are also in $\mathcal{M}(x, y, H)$, parameterizes a submanifold in a neighborhood of v .
- Show that convergence toward broken orbits in Morse setting corresponds to converges toward broken trajectories in Floer setting
- Use gluing from last chapter: $\hat{v}_{n_k} \in \text{im}(\hat{\phi})$ for $k \gg 0$, contradicting the fact that v_{n_k} doesn't depend on t