

Notes: These are notes live-tex'd from a graduate course in 4-Manifolds taught by Philip Engel at the University of Georgia in Spring 2021. As such, any errors or inaccuracies are almost certainly my own.

4-Manifolds

Lectures by Philip Engel. University of Georgia, Spring 2021

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Table of Contents

Contents

Ta	able of Contents	2
1	Tuesday, January 12 1.1 Background	
2	Friday, January 15	7
3		
4	Lecture 3 (Wednesday, January 20) 4.1 Sheaves 4.2 Bundles	
To	oDos .	18
D	efinitions	19
TI	heorems	20
E>	kercises	21
Fi	gures	22
Bi	ibliography	23

Table of Contents

1 | Tuesday, January 12

1.1 Background



From Phil's email:

There are very few references in the notes, and I'll try to update them to include more as we go. Personally, I found the following online references particularly useful:

- Dietmar Salamon: Spin Geometry and Seiberg-Witten Invariants [5]
- Richard Mandelbaum: Four-dimensional Topology: An Introduction [2]
 - This book has a nice introduction to surgery aspects of four-manifolds, but as a warning: It was published right before Freedman's famous theorem. For instance, the existence of an exotic R⁴ was not known. This actually makes it quite useful, as a summary of what was known before, and provides the historical context in which Freedman's theorem was proven.
- Danny Calegari: Notes on 4-Manifolds [1]
- Yuli Rudyak: Piecewise Linear Structures on Topological Manifolds [4]
- Akhil Mathew: The Dirac Operator [3]
- Tom Weston: An Introduction to Cobordism Theory [6]

A wide variety of lecture notes on the Atiyah-Singer index theorem, which are available online.

1.2 Introduction

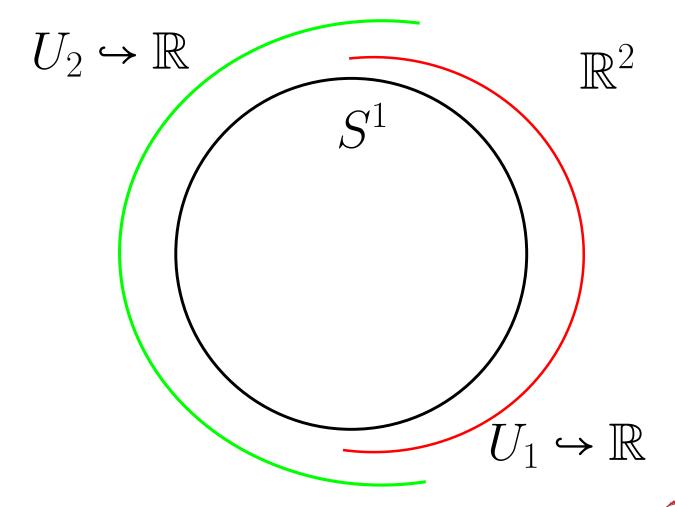


Definition 1.2.1 (Topological Manifold)

Recall that a **topological manifold** (or C^0 manifold) X is a Hausdorff topological space locally homeomorphic to \mathbb{R}^n with a countable topological base, so we have charts $\varphi_u: U \to \mathbb{R}^n$ which are homeomorphisms from open sets covering X.

Example 1.2.2 (The circle): S^1 is covered by two charts homeomorphic to intervals:

Tuesday, January 12



Remark 1.2.3: Maps that are merely continuous are poorly behaved, so we may want to impose extra structure. This can be done by imposing restrictions on the transition functions, defined as

$$t_{uv} := \varphi_V \to \varphi_U^{-1} : \varphi_U(U \cap V) \to \varphi_V(U \cap V).$$

Definition 1.2.4 (Restricted Structures on Manifolds)

- We say X is a **PL manifold** if and only if t_{UV} are piecewise-linear. Note that an invertible PL map has a PL inverse.
- We say X is a C^k manifold if they are k times continuously differentiable, and smooth if infinitely differentiable.
- We say X is **real-analytic** if they are locally given by convergent power series.
- We say X is **complex-analytic** if under the identification $\mathbb{R}^n \cong \mathbb{C}^{n/2}$ if they are holomorphic, i.e. the differential of t_{UV} is complex linear.
- We say X is a **projective variety** if it is the vanishing locus of homogeneous polynomials on \mathbb{CP}^N .

1.2 Introduction 4

Remark 1.2.5: Is this a strictly increasing hierarchy? It's not clear e.g. that every C^k manifold is PL.

Question 1.2.6

Consider \mathbb{R}^n as a topological manifold: are any two smooth structures on \mathbb{R}^n diffeomorphic?

Remark 1.2.7: Fix a copy of \mathbb{R} and form a single chart $\mathbb{R} \xrightarrow{\mathrm{id}} \mathbb{R}$. There is only a single transition function, the identity, which is smooth. But consider

$$X \to \mathbb{R}$$
$$t \mapsto t^3.$$

This is also a smooth structure on X, since the transition function is the identity. This yields a different smooth structure, since these two charts don't like in the same maximal atlas. Otherwise there would be a transition function of the form $t_{VU}: t \mapsto t^{1/3}$, which is not smooth at zero. However, the map

$$X \to X$$
$$t \mapsto t^3.$$

defines a diffeomorphism between the two smooth structures.

Claim: \mathbb{R} admits a unique smooth structure.

Proof (sketch).

Let \mathbb{R} be some exotic \mathbb{R} , i.e. a smooth manifold homeomorphic to \mathbb{R} . Cover this by coordinate charts to the standard \mathbb{R} :

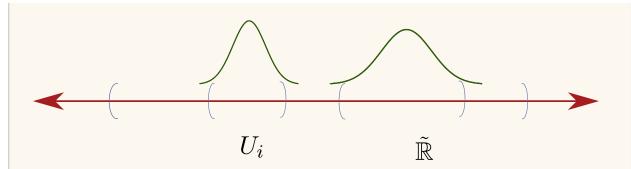


Fact

There exists a cover which is *locally finite* and supports a partition of unity: a collection of smooth functions $f_i: U_i \to \mathbb{R}$ with $f_i \geq 0$ and supp $f \subseteq U_i$ such that $\sum f_i = 1$ (i.e., bump functions). It is also a purely topological fact that $\tilde{\mathbb{R}}$ is orientable.

So we have bump functions:

1.2 Introduction 5



Take a smooth vector field V_i on U_i everywhere aligning with the orientation. Then $\sum f_i V_i$ is a smooth nowhere vector field on X that is nowhere zero in the direction of the orientation. Taking the associated flow

$$\mathbb{R} \to \tilde{\mathbb{R}}$$
$$t \mapsto \varphi(t).$$

such that $\varphi'(t) = V(\varphi(t))$. Then φ is a smooth map that defines a diffeomorphism. This follows from the fact that the vector field is everywhere positive.

Slogan

To understand smooth structures on X, we should try to solve differential equations on X.

Remark 1.2.10: Note that here we used the existence of a global frame, i.e. a trivialization of the tangent bundle, so this doesn't quite work for e.g. S^2 .

Question 1.2.11

What is the difference between all of the above structures? Are there obstructions to admitting any particular one?

Answer 1.2.12

- 1. (Munkres) Every C^1 structure gives a unique C^k and C^{∞} structure.
- 2. (Grauert) Every C^{∞} structure gives a unique real-analytic structure.
- 3. Every PL manifold admits a smooth structure in dim $X \le 7$, and it's unique in dim $X \le 6$, and above these dimensions there exists PL manifolds with no smooth structure.
- 4. (Kirby–Siebenmann) Let X be a topological manifold of dim $X \geq 5$, then there exists a cohomology class $ks(X) \in H^4(X; \mathbb{Z}/2\mathbb{Z})$ which is 0 if and only if X admits a PL structure.

1.2 Introduction 6

¹Note that this doesn't start at C^0 , so topological manifolds are genuinely different! There exist topological manifolds with no smooth structure.

Moreover, if ks(X) = 0, then (up to concordance) the set of PL structures is given by $H^3(X; \mathbb{Z}/2\mathbb{Z})$.

- 5. (Moise) Every topological manifold in dim $X \leq 3$ admits a unique smooth structure.
- 6. (Smale et al.): In dim $X \ge 5$, the number of smooth structures on a topological manifold X is finite. In particular, \mathbb{R}^n for $n \ne 4$ has a unique smooth structure. So dimension 4 is interesting!
- 7. (Taubes) \mathbb{R}^4 admits uncountably many non-diffeomorphic smooth structures.
- 8. A compact oriented smooth surface Σ , the space of complex-analytic structures is a complex orbifold ² of dimension 3g-2 where g is the genus of Σ , up to biholomorphism (i.e. moduli).

Remark 1.2.13: Kervaire-Milnor: S^7 admits 28 smooth structures, which form a group.

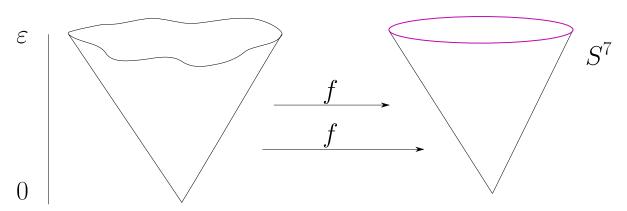
2 | Friday, January 15

Remark 2.0.1: Let

$$V \coloneqq \left\{ a^2 + b^2 + c^2 + d^3 + e^{6k-1} = 0 \right\} \subseteq \mathbb{C}^5$$

$$S_{\varepsilon} \coloneqq \left\{ |a|^2 + |b|^2 + |c|^2 + |d|^2 + |e|^2 \right\}.$$

Then $V_k \cap S_{\varepsilon} \cong S^7$ is a homeomorphism, and taking $k = 1, 2, \dots, 28$ yields the 28 smooth structures on S^7 . Note that V_k is the cone over $V_k \cap S_{\varepsilon}$.



? Admits a smooth structure, and $\overline{V}_k \subseteq \mathbb{CP}^5$ admits no smooth structure.

Question 2.0.2

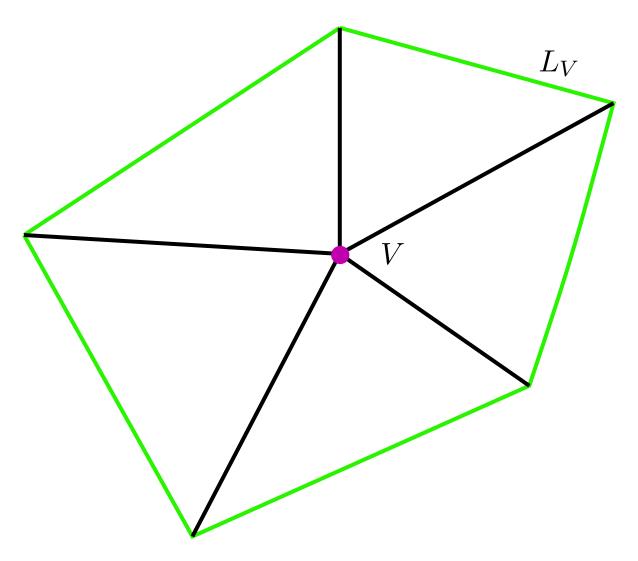
Is every triangulable manifold PL, i.e. homeomorphic to a simplicial complex?

Friday, January 15

²Locally admits a chart to \mathbb{C}^n/Γ for Γ a finite group.

Answer 2.0.3

No! Given a simplicial complex, there is a notion of the **combinatorial link** L_V of a vertex V:



It turns out that there exist simplicial manifolds such that the link is not homeomorphic to a sphere, whereas every PL manifold admits a "PL triangulation" where the links are spheres.

Remark 2.0.4: What's special in dimension 4? Recall the **Kirby-Siebenmann** invariant $ks(x) \in H^4(X; \mathbb{Z}_2)$ for X a topological manifold where $ks(X) = 0 \iff X$ admits a PL structure, with the caveat that dim $X \ge 5$. We can use this to cook up an invariant of 4-manifolds.

Definition 2.0.5 (Kirby-Siebenmann Invariant of a 4-manifold) Let X be a topological 4-manifold, then

$$ks(X) := ks(X \times \mathbb{R}).$$

Friday, January 15

Remark 2.0.6: Recall that in dim $X \ge 7$, every PL manifold admits a smooth structure, and we can note that

$$H^4(X; \mathbb{Z}_2) = H^4(X \times \mathbb{R}; \mathbb{Z}_2) = \mathbb{Z}_2,.$$

since every oriented 4-manifold admits a fundamental class. Thus

$$ks(X) = \begin{cases} 0 & X \times \mathbb{R} \text{ admits a PL and smooth structure} \\ 1 & X \times \mathbb{R} \text{ admits no PL or smooth structures} \end{cases}.$$

Remark 2.0.7: $ks(X) \neq 0$ implies that X has no smooth structure, since $X \times \mathbb{R}$ doesn't. Note that it was not known if this invariant was nonzero for a while!

Remark 2.0.8: Note that $H^2(X;\mathbb{Z})$ admits a symmetric bilinear form Q_X defined by

$$\langle \alpha, \beta \rangle \mapsto \int_X \alpha \wedge \beta = \alpha \vee \beta([X]) \in \mathbb{Z}.$$

where [X] is the fundamental class.

3 | Main Theorems for the Course

Proving the following theorems is the main goal of this course.

Theorem 3.0.1 (Freedman).

If X, Y are compact oriented topological 4-manifolds, then $X \cong Y$ are homeomorphic if and only if ks(X) = ks(Y) and $Q_X \cong Q_Y$ are isometric, i.e. there exists an isometry

$$\varphi: H^2(X; \mathbb{Z}) \to H^2(Y; \mathbb{Z}).$$

that preserves the two bilinear forms in the sense that $\langle \varphi \alpha, \varphi \beta \rangle = \langle \alpha, \beta \rangle$. Conversely, every **unimodular** bilinear form appears as $H^2(X; \mathbb{Z})$ for some X, i.e. the pairing induces a map

$$H^2(X;\mathbb{Z}) \to H^2(X;\mathbb{Z})^{\vee}$$

 $\alpha \mapsto \langle \alpha, \cdot \rangle.$

which is an isomorphism. This is essentially a classification of simply-connected 4-manifolds.

Remark 3.0.2: Note that preservation of a bilinear form is a stand-in for "being an element of the orthogonal group", where we only have a lattice instead of a full vector space.

Remark 3.0.3: There is a map $H^2(X;\mathbb{Z}) \xrightarrow{PD} H_2(X;\mathbb{Z})$ from Poincaré, where we can think of elements in the latter as closed surfaces $[\Sigma]$, and

 $\langle \Sigma_1, \Sigma_2 \rangle$ = signed number of intersections points of $\Sigma_1 \not h \Sigma_2$.

Note that Freedman's theorem is only about homeomorphism, and is not true smoothly. This gives a way to show that two 4-manifolds are homeomorphic, but this is hard to prove! So we'll black-box this, and focus on ways to show that two *smooth* 4-manifolds are *not* diffeomorphic, since we want homeomorphic but non-diffeomorphic manifolds.

Definition 3.0.4 (Signature)

The **signature** of a topological 4- manifold is the signature of Q_X , where we note that Q_X is a symmetric nondegenerate bilinear form on $H^2(X;\mathbb{R})$ and for some a,b

$$(H^2(X;\mathbb{R}),Q_x) \xrightarrow{\text{isometric}} \mathbb{R}^{a,b}$$
.

where a is the number of +1s appearing in the matrix and b is the number of -1s. This is \mathbb{R}^{ab} where $e_i^2 = 1, i = 1 \cdots a$ and $e_i^2 = -1, i = a + 1, \cdots b$, and is thus equipped with a specific bilinear form corresponding to the Gram matrix of this basis.

$$\begin{bmatrix} 1 & 0 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 & 0 \\ 0 & 0 & \ddots & 0 & 0 \\ 0 & 0 & 0 & -1 & 0 \\ 0 & 0 & 0 & 0 & -1 \end{bmatrix} = I_{a \times a} \oplus -I_{b \times b}.$$

Then the signature is a - b, the dimension of the positive-definite space minus the dimension of the negative-definite space.

Theorem 3.0.5 (Rokhlin's Theorem).

Suppose $(\alpha, \alpha) \in 2\mathbb{Z}$ and $\alpha \in H^2(X; \mathbb{Z})$ and X a simply connected **smooth** 4-manifold. Then 16 divides sig(X).

Remark 3.0.6: Note that Freedman's theorem implies that there exists topological 4-manifolds with no smooth structure.

Theorem 3.0.7(Donaldson).

Let X be a smooth simply-connected 4-manifold. If a = 0 or b = 0, then Q_X is diagonalizable and there exists an orthonormal basis of $H^2(X; \mathbb{Z})$.

Remark 3.0.8: This comes from Gram-Schmidt, and restricts what types of intersection forms can occur.

3.1 Warm Up: \mathbb{R}^2 Has a Unique Smooth Structure

Remark 3.1.1: Last time we showed \mathbb{R}^1 had a unique smooth structure, so now we'll do this for \mathbb{R}^2 . The strategy of solving a differential equation, we'll now sketch the proof.

Definition 3.1.2 (Riemannian Metrics)

A Riemannian metric $g \in \operatorname{Sym}^2 T^*X$ for X a smooth manifold is a metric on every T_pX given by

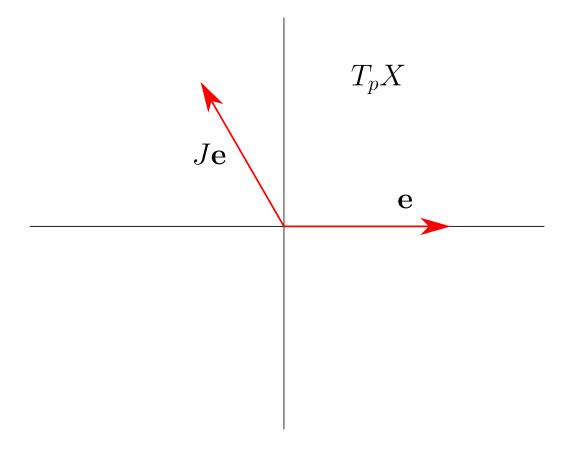
$$g_p: T_pX \times T_pX \to \mathbb{R}$$

$$g(v,v) \ge 0, g(v,v) = 0 \iff v = 0.$$

Definition 3.1.3 (Almost complex structure)

An almost complex structure is a $J \in \text{End}(TX)$ such that $J^2 = -\text{id}$.

Remark 3.1.4: Let $e \in T_pX$ and $e \neq 0$, then if X is a surface then $\{e, Je\}$ is a basis of T_pX .



This is a basis because if Je and e are parallel, then ??? In particular, J_p is determined by a point in $\mathbb{R}^2 \setminus \{\text{the } x\text{-axis}\}$

3.1.1 Sketch of Proof

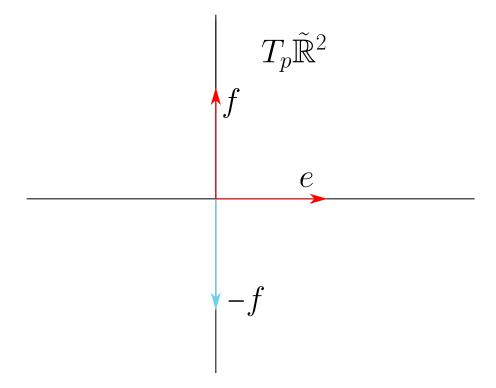
Let $\tilde{\mathbb{R}}^2$ be an exotic \mathbb{R}^2 .

Step 1 Choose a metric on $\tilde{\mathbb{R}}^2$ $g \coloneqq \sum f_I g_i$ with g_i metrics on coordinate charts U_i and f_i a partition of unity.

Step 2 Find an almost complex structure on $\tilde{\mathbb{R}}^2$. Choosing an orientation of $\tilde{\mathbb{R}}^2$, g defines a unique almost complex structure $J_pe := f \in T_p\tilde{\mathbb{R}}^2$ such that

- g(e,e) = g(f,f)
- g(e, f) = 0. $\{e, f\}$ is an oriented basis of $T_p \tilde{\mathbb{R}}^2$

This is because after choosing e, there are two orthogonal vectors, but only one choice yields an oriented basis.



Step 3 We then apply a theorem:

Theorem 3.1.5(?).

Any almost complex structure on a surface comes from a complex structure, in the sense that there exist charts $\varphi_i: U_i \to \mathbb{C}$ such that J is multiplication by i.

So $d\varphi(J \cdot e) = i \cdot d\varphi_i(e)$, and $(\tilde{\mathbb{R}}^2, J)$ is a complex manifold. Since it's simply connected, the Riemann Mapping Theorem shows that it's biholomorphic to \mathbb{D} or \mathbb{C} , both of which are diffeomorphic to \mathbb{R}^2 .

> See the Newlander-Nirenberg theorem, a result in complex geometry.

4 Lecture 3 (Wednesday, January 20)

Today: some background material on sheaves, bundles, connections.





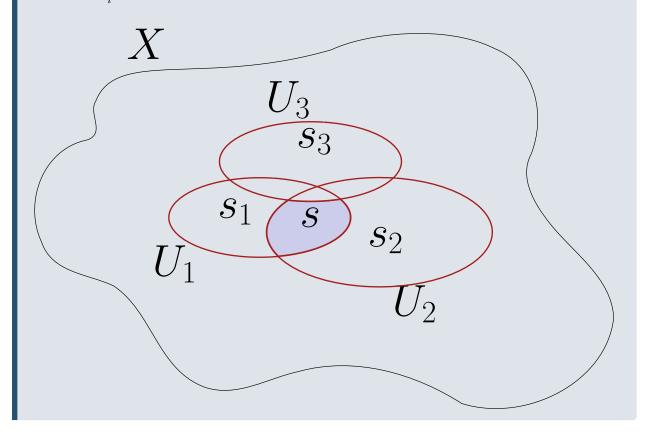
Definition 4.1.1 (Presheaves and Sheaves)

Recall that if X is a topological space, a **presheaf** of abelian groups \mathcal{F} is an assignment $U \to \mathcal{F}(U)$ of an abelian group to every open set $U \subseteq X$ together with a restriction map $\rho_{UV} : \mathcal{F}(U) \to \mathcal{F}(V)$ for any inclusion $V \subseteq U$ of open sets. This data has to satisfying certain conditions:

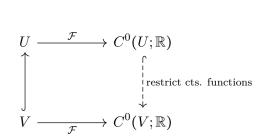
- a. $\mathcal{F}(\emptyset) = 0$, the trivial abelian group.
- b. $\rho_{UU}: \mathcal{F}(U) \to \mathcal{F}(U) = \mathrm{id}_{\mathcal{F}(U)}$
- c. Compatibility if restriction is taken in steps: $U \subseteq V \subseteq W \implies \rho_{VW} \circ \rho_{UV} = \rho_{UW}$.

We say \mathcal{F} is a **sheaf** if additionally:

d. Given $s_i \in \mathcal{F}(U_i)$ such that $\rho_{U_i \cap U_j}(s_i) = \rho_{U_i \cap U_j}(s_j)$ implies that there exists a unique $s \in \mathcal{F}(\bigcup_i U_i)$ such that $\rho_{U_i}(s) = s_i$.



Example 4.1.2(?): Let X be a topological manifold, then $\mathcal{F} = C^0(\cdot, \mathbb{R})$ the set of continuous functionals form a sheaf. We have a diagram



4.1 Sheaves 14

Link to diagram

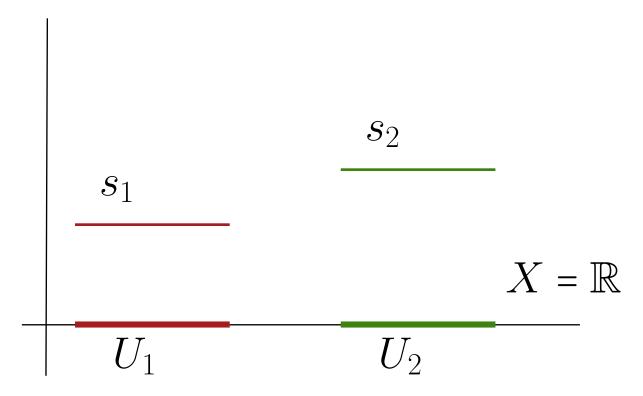
Property (d) holds because given sections $s_i \in C^0(U_i; \mathbb{R})$ agreeing on overlaps, so $s_i|_{U_i \cap U_j} = s_j|_{U_i \cap U_j}$, there exists a unique $s \in C^0(\bigcup_i U_i; \mathbb{R})$ such that $s|_{U_i} = s_i$ for all i – continuous functions glue.

Remark 4.1.3: Recall that we discussed various structures on manifolds: PL, continuous, smooth, complex-analytic, etc. We can characterize these by their sheaves of functions, which we'll denote \mathcal{O} . For example, $\mathcal{O} = C^0(\cdot; \mathbb{R})$ for topological manifolds, and $\mathcal{O} = C^\infty(\cdot; \mathbb{R})$ is the sheaf for smooth manifolds. Note that this also works for PL functions, since pullbacks of PL functions are again PL. For complex manifolds, we set \mathcal{O} to be the sheaf of holomorphic functions.

Example 4.1.4(Locally Constant Sheaves): Let $A \in Ab$ be an abelian group, then \underline{A} is the sheaf defined by setting $\underline{A}(U)$ to be the locally constant functions $U \to A$. E.g. let $X \in Mfd_{Top}$ be a topological manifold, then $\underline{\mathbb{R}}(U) = \mathbb{R}$ if U is connected since locally constant \Longrightarrow globally constant in this case.

⚠ Warning 4.1.5

Note that the presheaf of constant functions doesn't satisfy (d)! Take \mathbb{R} and a function with two different values on disjoint intervals:



Note that $s_1|_{U_1\cap U_2} = s_2|_{U_1\cap U_2}$ since the intersection is empty, but there is no constant function that restricts to the two different values.

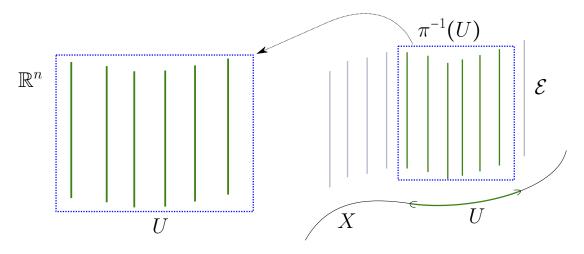
4.1 Sheaves 15

4.2 Bundles

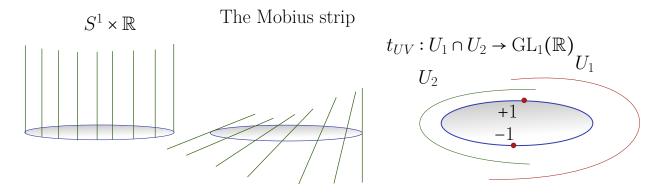
Remark 4.2.1: Let $\pi: \mathcal{E} \to X$ be a **vector bundle**, so we have local trivializations $\pi^{-1}(U) \xrightarrow{h_u} Y^d \times U$ where we take either $Y = \mathbb{R}, \mathbb{C}$, such that $h_v \circ h_u^{-1}$ preserves the fibers of π and acts linearly on each fiber of $Y \times (U \cap V)$. Define

$$t_{UV}: U \cap V \to \mathrm{GL}_d(Y)$$

where we require that t_{UV} is continuous, smooth, complex-analytic, etc depending on the context.



Example 4.2.2 (Bundles over S^1): There are two \mathbb{R}^1 bundles over S^1 :



Note that the Mobius bundle is not trivial, but can be locally trivialized.

Remark 4.2.3: We abuse notation: \mathcal{E} is also a sheaf, and we write $\mathcal{E}(U)$ to be the set of sections $s: U \to \mathcal{E}$ where s is continuous, smooth, holomorphic, etc where $\pi \circ s = \mathrm{id}_U$. I.e. a bundle is a sheaf in the sense that its sections form a sheaf.

4.2 Bundles 16

Example 4.2.4(?): The trivial line bundle gives the sheaf \mathcal{O} : maps $U \xrightarrow{s} U \times Y$ for $Y = \mathbb{R}$, \mathbb{C} such that $\pi \circ s = \text{id}$ are the same as maps $U \to Y$.

Definition 4.2.5 (\mathcal{O} -modules)

An \mathcal{O} -module is a sheaf \mathcal{F} such that $\mathcal{F}(U)$ has an action of $\mathcal{O}(U)$ compatible with restriction.

Example 4.2.6(?): If \mathcal{E} is a vector bundle, then $\mathcal{E}(U)$ has a natural action of $\mathcal{O}(U)$ given by $f \sim s := fs$, i.e. just multiplying functions.

Example 4.2.7 (Non-example): The locally constant sheaf \mathbb{R} is not an \mathcal{O} -module: there isn't natural action since the sections of \mathcal{O} are generally non-constant functions, and multiplying a constant function by a non-constant function doesn't generally give back a constant function.

We'd like a notion of maps between sheaves:

Definition 4.2.8 (Morphisms of Sheaves)

A morphism of sheaves $\mathcal{F} \to \mathcal{G}$ is a group morphism $\varphi(U) : \mathcal{F}(U) \to \mathcal{G}(U)$ for all opens $U \subseteq X$ such that the diagram involving restrictions commutes:

$$\mathcal{F}(U) \xrightarrow{\varphi(U)} \mathcal{G}(U)$$

$$\downarrow^{\rho_{UV}} \qquad \downarrow^{\rho_{UV}}$$

$$\mathcal{F}(V) \xrightarrow{\varphi(V)} \mathcal{F}(V)$$

Example 4.2.9(An \mathcal{O} -module that is not a vector bundle.): Let $X = \mathbb{R}$ and define the skyscraper sheaf at $p \in \mathbb{R}$ as

$$\mathbb{R}_p(U) \coloneqq \begin{cases} \mathbb{R} & p \in U \\ 0 & p \notin U. \end{cases}$$

The $\mathcal{O}(U)$ -module structure is given by

$$\mathcal{O}(U) \times \mathcal{O}(U) \to \mathbb{R}_p(U)$$

 $(f,s) \mapsto f(p)s.$

This is not a vector bundle since $\mathbb{R}_p(U)$ is not an infinite dimensional vector space, whereas the space of sections of a vector bundle is generally infinite dimensional (?). Alternatively, there are arbitrarily small punctured open neighborhoods of p for which the sheaf makes trivial assignments.

Example 4.2.10 (of morphisms): Let $X = \mathbb{R} \in \mathrm{Mfd}_{\mathrm{Sm}_k}$ viewed as a smooth manifold, then multiplication by x induces a morphism of structure sheaves:

$$(x \cdot) : \mathcal{O} \to \mathcal{O}$$

$$s \mapsto x \cdot s$$

for any $x \in \mathcal{O}(U)$, noting that $x \cdot s \in \mathcal{O}(U)$ again.

4.2 Bundles 17

4 ToDos

Exercise 4.2.11(?)

Check that $\ker \varphi$ is naturally a sheaf and $\ker(\varphi)(U) = \ker(\varphi(U)) : \mathcal{F}(U) \to \mathcal{G}(U)$

Here the kernel is trivial, i.e. on any open U we have $(x \cdot) : \mathcal{O}(U) \to \mathcal{O}(U)$ is injective. Taking the cokernel coker $(x \cdot)$ as a presheaf, this assigns to U the quotient presheaf $\mathcal{O}(U)/x\mathcal{O}(U)$, which turns out to be equal to \mathbb{R}_0 . So $\mathcal{O} \to \mathbb{R}_0$ by restricting to the value at 0, and there is an exact sequence

$$0 \to \mathcal{O} \xrightarrow{(x \cdot)} \mathcal{O} \to \mathbb{R}_0 \to 0.$$

This is one reason sheaves are better than vector bundles: the category is closed under taking quotients, whereas quotients of vector bundles may not be vector bundles.

ToDos

List of Todos

ToDos 18

Definitions

1.2.1	Definition – Topological Manifold
1.2.4	Definition – Restricted Structures on Manifolds
2.0.5	Definition – Kirby-Siebenmann Invariant of a 4-manifold
	Definition – Signature
	Definition – Riemannian Metrics
3.1.3	Definition – Almost complex structure
	Definition – Presheaves and Sheaves
4.2.5	Definition – \mathcal{O} -modules
4.2.8	Definition – Morphisms of Sheaves

Definitions 19

Theorems

3.0.1	Theorem – Freedman	6
3.0.5	Theorem – Rokhlin's Theorem	10
3.0.7	Theorem – Donaldson	10
3 1 5	Theorem – ?	19

Theorems 20

Exercises

4.2.11 E	Exercise –	?																																					1	8
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Exercises 21

Figures

List of Figures

Figures 22

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