# Floer Talk

## D. Zack Garza

# Wednesday 15<sup>th</sup> April, 2020

## **Contents**

1	Background and Notation		1
2	Talk	:	4
	2.1	8.3: The Space of Perturbations of $H$	4
	2.2	Review 8.2	8
	2.3	8.4: Linearizing the Floer equation: The Differential of $\mathcal{F}$	8

## 1 Background and Notation

From the text:

- $(W, \omega \in \Omega_2(W))$  is a (compact?) symplectic manifold
- $C^{\infty}(A, B)$  is the space of smooth maps with the  $C^{\infty}$  topology (idea: uniform convergence of a function and all derivatives on compact subsets)
- $C^{\infty}_{loc}(A,B)$  is the space with the  $C^{\infty}$  uniform convergence topology on compact subsets of A
- $H \in C^{\infty}(W; \mathbb{R})$  a Hamiltonian with  $X_H$  its vector field.
- $H \in C^{\infty}(W \times \mathbb{R}; \mathbb{R})$  given by  $H_t \in C^{\infty}(W; \mathbb{R})$  is a time-dependent Hamiltonian.
- The action functional is given by

$$\mathcal{A}_H : \mathcal{L}W \longrightarrow \mathbb{R}$$
 
$$x \mapsto -\int_{\mathbb{D}} u^* \omega + \int_0^1 H_t(x(t)) dt$$

where  $\mathcal{L}W$  is the contractible loop space of  $W, u : \mathbb{D} \longrightarrow W$  is an extension of  $x : S^1 \longrightarrow W$  to the disc with  $u(\exp(2\pi it)) = x(t)$ .

- Example: 
$$W = \mathbb{R}^{2n} \implies A_H(x) = \int_0^1 (H_t \ dt - p \ dq).$$

- Critical points of the action functional  $A_H$  are given by orbits, i.e. contractible loops  $x, y \in \mathcal{L}W$
- In general, x, y are two periodic orbits of H of period 1.

• The Floer equation is given by

$$\frac{\partial u}{\partial s} + J(u)\frac{\partial u}{\partial t} + \operatorname{grad} H_t(u) = 0.$$

This is a first-order perturbation of the Cauchy-Riemann equations, for which solutions would be J-holomorphic curves.

- Solutions are functions  $u \in C^{\infty}(\mathbb{R} \times S^1; W) = C^{\infty}(\mathbb{R}; \mathcal{L}W)$ 
  - They correspond to "embedded cylinders" with sides u and contractible caps x, y regarded as loops in W.
  - They also correspond to paths in  $\mathcal{L}W$  from  $x \longrightarrow y$  (precisely: trajectories of the vector field  $-\operatorname{grad}\mathcal{A}_H$ )





Fig. 6.5

Here  $u(s) \in \mathcal{L}W$  is a loop with value at time t given by u(s,t), and  $\lim_{s \to -\infty} u_s(t) = x$ ,  $\lim_{s \to \infty} u_s(t) = y$ .

- The energy of a solution is  $E(u) = \int_{\mathbb{R} \times S^1} |\partial_s u|^2 ds dt$ .
- $\mathcal{M} = \{u \in C^{\infty}(\mathbb{R}; \mathcal{L}W) \mid E(u) < \infty\}$  (contractible solutions of finite energy), which is compact.
- $\mathcal{M}(x,y)$  is the space of solutions of the Floer equation connecting orbits x and y.
- $C_{\searrow}(x,y)$ :

$$C_{\searrow}(x,y) := \left\{ u \in C^{\infty}(\mathbb{R} \times S^{1}; W) \; \middle| \; \lim_{s \to -\infty} u(s,t) = x(t), \quad \lim_{s \to \infty} u(s,t) = y(t), \\ \left| \frac{\partial u}{\partial s}(s,t) \right| \le Ke^{-\delta|s|}, \quad \left| \frac{\partial u}{\partial t}(s,t) - X_{H}(u) \right| \le Ke^{-\delta|s|} \right\}$$

where  $K, \delta > 0$  are constants depending on u. So

$$|\partial_s u(s,t)|, |\partial_t u(s,t) - X_H(u)| \sim e^{|s|}.$$

#### From the Appendices

- Relatively compact: has compact closure.
- Compact operator: the image of bounded sets are relatively compact.
- Index of an operator: dim ker dim coker.
- Fredholm operators: those for which the index makes sense, i.e.  $\dim \ker < \infty$ ,  $\dim \operatorname{coker} < \infty$ .
- Elliptic operators: generalize the Laplacian  $\Delta$ , coefficients of highest order derivatives are positive, principal symbol is invertible (???)
- Locally integrable: integrable on every compact subset

- Sobolev spaces: in dimension 1, define  $||u(t)||_{s,p} = \sum_{i=0}^{s} ||\partial_t^i u(t)||_{L^p}$  on  $C^{\infty}(\overline{U})$ , then take the completion and denote  $W^{s,p}(\overline{U})$ . Yields a distribution space, elements are functions with weak derivatives.
- Distribution:  $C_c^{\infty}(U)^{\vee}$ , the dual of the space of smooth compactly supported functions on an open set  $U \subset \mathbb{R}^n$ .

## 2 Talk

Overview: Analyze the space  $\mathcal{M}(x,y)$  of solutions to the Floer equation connecting two orbits x,y of H. Show  $\mathcal{M}(x,y)$  is in fact a manifold of dimension  $\mu(x) - \mu(y)$ .

#### Strategy:

- 1. Describe  $\mathcal{M}(x,y)$  as the zero set of a section of a vector bundle over the Banach manifold  $\mathcal{P}(x,y)$ .
- 2. Apply the Sard-Smale theorem: perturb H to make  $\mathcal{M}(x,y)$  the inverse image of a regular value of some map.
- 3. Show that the tangent maps (?) are Fredholm operators of index  $\mu(x) \mu(y) = \dim \mathcal{M}(x,y)$ .

#### Goals:

- 8.3: Overview and big picture
- 8.4: Formula for linearization of  $\mathcal{F}$ .

## **2.1 8.3:** The Space of Perturbations of H

Goal: given a fixed Hamiltonian  $H \in C^{\infty}(W \times S^1; \mathbb{R})$ , perturb it (without modifying the periodic orbits) so that  $\mathcal{M}(x, y)$  are manifolds of the expected dimension.

Start by trying to construct a subspace  $\mathcal{C}^{\infty}_{\varepsilon}(H) \subset \mathcal{C}^{\infty}(W \times S^1; \mathbb{R})$ , the space of perturbations of H depending on a certain sequence  $\varepsilon = \{\varepsilon_k\}$ , and show it is a dense subspace.



Idea: similar to how you build  $L^2(\mathbb{R})$ , define a norm  $\|\cdot\|_{\varepsilon}$  on  $C_{\varepsilon}^{\infty}(H)$  and take the subspace of finite-norm elements.

- Let  $h(\mathbf{x},t) \in C_{\varepsilon}^{\infty}(H)$  denote a perturbation of H.
- Fix  $\varepsilon = \{ \varepsilon_k \mid k \in \mathbb{Z}^{\geq 0} \} \subset \mathbb{R}^{>0}$  a sequence of real numbers, which we will choose carefully later.
- For a fixed  $\mathbf{x} \in W, t \in \mathbb{R}$  and  $k \in \mathbb{Z}^{\geq 0}$ , define

$$\left| d^k h(\mathbf{x}, t) \right| = \max \left\{ d^{\alpha} h(\mathbf{x}, t) \mid |\alpha| = k \right\},$$

the maximum over all sets of multi-indices  $\alpha$  of length k.

Note: I interpret this as

$$d^{\alpha_1,\alpha_2,\cdots,\alpha_k}h = \frac{\partial^k h}{\partial x_{\alpha_1}\ \partial x_{\alpha_2}\cdots\partial x_{\alpha_k}},$$

the partial derivatives wrt the corresponding variables.

• Define a norm on  $C^{\infty}(W \times S^1; \mathbb{R})$ :

$$||h||_{\varepsilon} = \sum_{k>0} \varepsilon_k \sup_{(x,t)\in W\times S^1} \left| d^k h(x,t) \right|.$$

• Since  $W \times S^1$  is assumed compact (?), fix a finite covering  $\{B_i\}$  of  $W \times S^1$  such that

$$\bigcup_{i} B_{i}^{\circ} = W \times S^{1}.$$

- Choose them in such a way we obtain charts

$$\Psi_i: B_i \longrightarrow \overline{B(0,1)} \subset \mathbb{R}^{2n+1}$$
 (?).

• Obtain the computable form

$$||h||_{\varepsilon} = \sum_{k>0} \varepsilon_k \sup_{(x,t) \in W \times S^1} \sup_{i,z \in B(0,1)} \left| d^k(h \circ \Psi_i^{-1})(z) \right|.$$

Define

$$C_{\varepsilon}^{\infty} = \left\{ h \in C^{\infty}(W \times S^{1}; \mathbb{R}) \mid \|h\|_{\varepsilon} < \infty \right\} \subset C^{\infty}(W \times S^{1}; \mathbb{R}),$$

which is a Banach space (normed and complete).

• Show that the sequence  $\{\varepsilon_k\}$  can be chosen so that  $C_{\varepsilon}^{\infty}$  is a *dense* subspace for the  $C^{\infty}$  topology, and in particular for the  $C^1$  topology.

#### Proposition 2.1.

Such a sequence  $\{\varepsilon_k\}$  can be chosen.

#### Lemma 2.2.

 $C^{\infty}(W \times S^1; \mathbb{R})$  with the  $C^1$  topology is separable as a topological space (contains a countable dense subset).

Proof (of Lemma, Sketch).

First prove for  $C^0$ :

- Idea: reduce to polynomials in  $\mathbb{R}^m$ .
- Embed  $W \times S^1 \hookrightarrow [-M, M]^m \cong I^m \subset \mathbb{R}^m$  for some large m, reduces to proving it for  $C^{\infty}(I^m; \mathbb{R})$ .
- Recall Stone-Weierstrass:

For  $A \leq C^0(X;\mathbb{R})$  a subalgebra with X compact Hausdorff and A containing a nonzero constant function, A is dense iff it separates points (for all  $a \neq b \in X$  there exists  $f \in A$  such that  $f(a) \neq f(b)$ )

• Apply to  $A = \mathbb{Q}[x_1, \dots, x_m]$  the subalgebra of polynomial functions, the nonzero constant function c(x) = 1, and show it separates points via f(x) = x - a, then f(a) = 0 and  $f(b) = a - b \neq 0$  by assumption.

• Thus A is a countable dense subset.

Then prove for  $C^1$ :

- Idea: Take polynomials convolved with a countable sequence of bump functions, which is still a countable dense subset.
- Choose a smooth bump function  $\chi$  supported on B(0,1)
- Define the sequence  $\chi_k(x) := k^m \chi(kx)$ .
- Prove that  $(f * \chi_k) \xrightarrow{k \longrightarrow \infty} f$  in the  $C^0_{\text{loc}}$  sense (?) Show that for a fixed k, any other sequence  $g_\ell \longrightarrow f$  in  $C^\infty_{\text{loc}}$ , we have  $g_\ell * \chi_k \longrightarrow f * \chi_k$ in the  $C_{loc}^0$  sense using

$$|g_{\ell} - f| \longrightarrow 0 \implies \sup_{K} \left| \frac{\partial}{\partial x_{i}} (g_{\ell} - f) * \chi_{k} \right| \le \sup_{k} |g_{\ell} - f| \cdot (\cdots) \longrightarrow 0 \quad \forall i$$

- Conclude  $\lim_{\ell} \lim_{k} g_{\ell} * \chi_{k} = f$ .
- Taking  $g_{\ell}$  to be polynomial approximations, the following subset is countable and dense:

$$\bigcup_{k\in\mathbb{Z}^{\geq 0}} \left\{ P * \chi_k \mid P \in \mathbb{Q}[x_1, \cdots, x_m] \right\}$$

which are pushed through the charts  $\Psi_i$  to actually compute.

The second part of this proof generalizes to  $C^{\infty}$ .

Proof (of Proposition, Sketch).

- By the lemma, produce a sequence  $\{f_n\} \subset C^{\infty}(W \times S^1; \mathbb{R})$  dense for the  $C^1$  topology.
- Using the norm on  $C^n(W \times S^1; \mathbb{R})$  for the  $f_n$ , define

$$\frac{1}{\varepsilon_n} = 2^n \max \left\{ \|f_k\| \mid k \le n \right\} \implies \varepsilon_n \sup |d^n f_k(x, t)| \le 2^{-n}$$

which is summable.

Why does this imply density? I don't know.

The next proposition establishes a version of this theorem with compact support:

## Proposition 2.3.

For any  $(\mathbf{x},t) \subset U \in W \times S^1$ ) there exists a  $V \subset U$  such that every  $h \in C^{\infty}(W \times S^1; \mathbb{R})$  can be approximated in the  $C^1$  topology by functions in  $C_{\varepsilon}^{\infty}$  supported in U.

Then fix a time-dependent Hamiltonian  $H_0$  with nondegenerate periodic orbits and consider

$$\left\{h \in C_{\varepsilon}^{\infty}(H_0) \mid h(x,t) = 0 \text{ in some } U \supseteq \text{the 1-periodic orbits of } H_0\right\}$$

Then supp(h) is "far" from  $Per(H_0)$ , so

$$||h||_{\varepsilon} \ll 1 \implies \operatorname{Per}(H_0 + h) = \operatorname{Per}(H_0)$$

and are both nondegenerate.

#### 2.2 Review 8.2

What is  $\mathcal{F}$ ?

We started with the unadorned Floer map:

$$\mathcal{F}: \mathcal{C}^{\infty}\left(\mathbb{R} \times S^{1}; W\right) \longrightarrow \mathcal{C}^{\infty}\left(\mathbb{R} \times S^{1}; TW\right)$$
$$u \mapsto \frac{\partial u}{\partial s} + J \frac{\partial u}{\partial t} + \operatorname{grad}_{u}\left(H_{t}\right)$$

and promoted this to a map of Banach spaces

$$\mathcal{F}: \mathcal{P}^{1,p}(x,y) \longrightarrow \mathcal{L}^p(x,y)$$
$$\mathcal{F}(u) = \frac{\partial u}{\partial s} + J(u) \frac{\partial u}{\partial t} + \operatorname{grad} H_t(u).$$

What is the LHS? It is the space of maps

$$\mathcal{P}^{1,p}(x,y):?\longrightarrow?$$
 $(s,t)\mapsto \exp_{w(s,t)}Y(s,t).$ 

where  $Y \in W^{1,p}(w^*TW)$  and  $w \in C^{\infty}_{\searrow}(x,y)$ .

## 2.3 8.4: Linearizing the Floer equation: The Differential of $\mathcal{F}$

Choose  $m > n = \dim(W)$  and embed  $TW \hookrightarrow \mathbb{R}^m$  to identify tangent vectors (such as  $Z_i$ , tangents to W along u or in a neighborhood B of u) with actual vectors in  $\mathbb{R}^m$ .

Why? Bypasses differentiating vector fields and the Levi-Cevita connection.

We can then identify

im 
$$\mathcal{F} = C^{\infty}(\mathbb{R} \times S^1; \mathbb{R}^m)$$
 or  $L^p(\mathbb{R} \times S^1; W)$ ,

and we seek to compute its differential  $d\mathcal{F}$ .

We've just replaced the codomain here.

Recall that

- x, y are contractible loops in W that are nondegenerate critical points of the action functional
- u ∈ M(x, y) ⊂ C<sup>∞</sup><sub>loc</sub> denotes a fixed solution to the Floer equation,
  C<sub>\(\sigma\)</sub>(x, y) was the set of solutions u : ℝ × S<sup>1</sup> → W satisfying some conditions.

Recall:

$$C_{\searrow}(x,y) := \{ u \in C^{\infty}(\mathbb{R} \times S^1; W) \mid \lim_{s \to -\infty} u(s,t) = x(t), \quad \lim_{s \to \infty} u(s,t) = y(t) \}$$
$$\left| \frac{\partial u}{\partial t}(s,t) \right| \quad \text{and} \quad \left| \frac{\partial u}{\partial t}(s,t) - X_H(u) \right| \sim \exp(|s|)$$

Fix a solution

$$u \in \mathcal{M}(x,y) \subset C^{\infty}_{loc}(\mathbb{R} \times S^1; W).$$

We lift each solution to a map

$$\tilde{u}: S^2 \longrightarrow W$$

in the following way: the loops x, y are contractible, so they bound discs. So we extend by pushing these discs out slightly::



From earlier in the book, we have

## Assumption (6.22):

For every  $w \in C^{\infty}(S^2, W)$  there exists a symplectic trivialization of the fiber bundle  $w^*TW$ , i.e.  $\langle c_1(TW), \pi_2(W) \rangle = 0$  where  $c_1$  denotes the first Chern class of the bundle TW.

Note: I don't know what this pairing is. The top Chern class is the Euler class (obstructs nowhere zero sections) and are defined inductively:

$$c_1(TW) = e(\Lambda^n(TW)) \in H^2(W; \mathbb{Z})$$

Assumption is satisfied when all maps  $S^2 \longrightarrow W$  lift to  $B^3 \iff \pi_2(W) = 0$ .

We have a pullback that is a symplectic fiber bundle:

$$\tilde{u}^*TW \xrightarrow{d\tilde{u}} TW 
\downarrow \qquad \downarrow \qquad \downarrow 
S^2 \xrightarrow{\tilde{u}} W$$

• Using the assumption, trivialize the pullback  $\tilde{u}^*TW$  to obtain an orthonormal unitary frame

$$\{Z_i\}_{i=1}^{2n} \subset T_{u(s,t)}W$$

where

– The frame depends smoothly on  $(s,t) \in S^2$ ,

 $-\lim_{s \to \infty} Z_i$  exists for each i.

$$\frac{\partial}{\partial s}$$
,  $\frac{\partial^2}{\partial s^2}$ ,  $\frac{\partial^2}{\partial s \partial t}$   $\sim Z_i \stackrel{s \to \pm \infty}{\longrightarrow} 0$  for each  $i$ 

Claim: such trivializations exist, "using cylinders near the spherical caps in the figure".

Recall what  $\mathcal{P}^{1,p}(x,y), J, X_t$  are here.

• Use this frame to define a chart centered at u of  $\mathcal{P}^{1,p}(x,y)$  given by

$$\iota: W^{1,p}\left(\mathbb{R} \times S^1; \mathbb{R}^{2n}\right) \longrightarrow \mathcal{P}^{1,p}(x,y)$$
  
$$\mathbf{y} = (y_1, \dots, y_{2n}) \longmapsto \exp_u\left(\sum y_i Z_i\right).$$

• Define and compute the differential of the composite map  $\tilde{\mathcal{F}}$  defined as follows:

$$\mathcal{F}^{1,p}(x,y) \xrightarrow{\mathcal{F}} L^p\left(\mathbb{R} \times S^1; TW\right) \xrightarrow{} L^p\left(\mathbb{R} \times S^1; \mathbb{R}^m\right)$$

$$u \xrightarrow{\tilde{\mathcal{F}}} \frac{\partial u}{\partial s} + J(u)\left(\frac{\partial u}{\partial t} - X_t(u)\right)$$

- From now on, let  $\mathcal{F}$  denote  $\tilde{\mathcal{F}}$ .
- Take the vector

$$Y(s,t) := (y_1(s,t),\cdots) \in \mathbb{R}^{2n} \subset \mathbb{R}^m$$

- View Y as a vector in  $\mathbb{R}^m$  tangent to W, given by  $Y = \sum_{i=1}^{2n} y_i Z_i$ .
- Plug u + Y into the equation for  $\mathcal{F}$ , directly yielding

$$\mathcal{F}(u) = \frac{\partial u}{\partial s} + J(u) \frac{\partial u}{\partial t} - J(u) X_t(u)$$

$$\implies \mathcal{F}(u+Y) = \frac{\partial(u+Y)}{\partial s} + J(u+Y)\frac{\partial(u+Y)}{\partial t} - J(u+Y)X_t(u+Y)$$

ullet Extract the part that is linear in Y and collect terms:

$$(d\mathcal{F})_{u}(Y) = \frac{\partial Y}{\partial s} + (dJ)_{u}(Y)\frac{\partial u}{\partial t} + J(u)\frac{\partial Y}{\partial t} - (dJ)_{u}(Y)X_{t} - J(u)(dX_{t})_{u}(Y)$$

$$= \left(\frac{\partial Y}{\partial s} + J(u)\frac{\partial Y}{\partial t}\right) + \left((dJ)_{u}(Y)\frac{\partial u}{\partial t} - (dJ)_{u}(Y)X_{t} - J(u)(dX_{t})_{u}(Y)\right)$$

- This is a sum of two differential operators:
  - \* One of order 1, one of order 2 (Perspective 1)
  - \* The Cauchy-Riemann operator, and one of order zero (Perspective 2, not immediate from this form)
- Now compute in charts. Need a lemma:

## Lemma $2.4(Leibniz\ Rule)$ .

For any source space X and any maps

$$J: X \longrightarrow \operatorname{End}(\mathbb{R}^m)$$
  
 $Y, v: X \longrightarrow \mathbb{R}^m$ 

we have

$$(dJ)(Y) \cdot v = d(Jv)(Y) - Jdv(Y).$$

#### Proof.

Differentiate the map

$$J \cdot v : X \longrightarrow \mathbb{R}^m$$
  
 $x \mapsto J(x) \cdot v(x)$ 

to obtain

$$J(x+Y)v(x+y) = (J(x) + (dJ)_x(Y)) \cdot (v(x) + (dv)_x(Y)) + \cdots$$
  
=  $J(x) \cdot v(x) + J(x) \cdot (dv)_x(Y) + (dJ)_x(Y) \cdot v(x) + (dJ)_x(Y) \cdot (dv)_x(Y) + \cdots$ 

$$\implies d(J \cdot v)_x(Y) = (dJ)_x(Y) \cdot v(x) + J(x) \cdot (dv)_x(Y).$$

For every such smooth map  $u: \mathbb{R} \times S^1 \longrightarrow W$ ,  $(d\mathcal{F})_u(Y) = O_1 + O_0$  where  $O_i$  are differential operators of order i, and in fact  $O_1$  can be chosen to be a Cauchy-Riemann operator. In this specific chart, we can in fact decompose  $(d\mathcal{F})_u(Y) = \bar{\partial}Y + SY$  where  $S: \mathbb{R} \times S^1 \longrightarrow \operatorname{End}(\mathbb{R}^n)$  is linear of order 0, and in fact we have

## Proposition 2.5.

If u solves Floer's equation, then  $(d\mathcal{F})_u = \bar{\partial} + S(s,t)$  where S is linear, tends to a symmetric operator as  $s \longrightarrow \pm \infty$ , and  $\lim \partial_t S = 0$  uniformly in t.

2 TALK 11

There is a very long computational proof.

Denote the order 0 part of  $(d\mathcal{F})_u$  as  $Y \mapsto S \cdot Y$  so  $S : \mathbb{R} \times S^1 \longrightarrow \operatorname{End}(\mathbb{R}^m)$  and define  $S^{\pm} := \lim_{s \longrightarrow \pm \infty} S(s, \cdot)$ .

## Proposition 2.6.

The equation  $\partial_t Y = J_0 S^{\pm} Y$  linearizes Hamilton's equation  $\dot{z} = X_t(z)$  at  $x = \lim_{s \to \pm \infty} u$  for  $S^+$  and  $S^-$  respectively.

Proof: uses previous proposition.

Given a solution u, the product

$$u \cdot s :? \longrightarrow ?$$
  
 $(\sigma, t) \mapsto u(\sigma + s, t)$ 

is also a solution and  $\mathcal{F}(u \cdot s) = 0$  for all s.

#### Punchline:

Thus  $\frac{\partial u}{\partial s}$  is a solution of the linearized equation, since

$$0 = \frac{\partial}{\partial s} \mathcal{F}(u \cdot s) = (d\mathcal{F})_u \left(\frac{\partial u}{\partial s}\right).$$

Along any nonconstant solution connecting x and y, dim  $\ker(d_{\mathcal{F}})_u \geq 1$ .