## Chapter 9

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## 1 Background, Notation, Setup

Overarching goal: :::{.theorem title="Yields a Chain Complex"}  $\partial^2 = 0$ . :::

### Important Ideas for This Chapter:

- Using broken trajectories to compactify
- Gluing

Theorem 1.1(Compactness).

 $\mathcal{L}(x,y)$  is compact.

#### Goals

• Construct Floer homology and prove the Arnold Conjecture

Theorem  $1.2 (Symplectic\ Morse\ Inequalities).$ 

# {1-Periodic trajectories of  $X_H$ }  $\geq \sum_{k \in \mathbb{Z}} HM_k(W; \mathbb{Z}/2\mathbb{Z}).$ 

Here  $HM_*(W)$  is the Morse homology.

### Strategy:

- 1. Define the action functional  $A_H$ .
- 2. Construct the chain complex (graded vector space)  $CF_*$ .
- 3. Define  $X_H$ , which will be used to define  $\partial$  later.
- 4. Count trajectories.
- 5. Show finite-energy trajectories connect critical points of  $A_H$ .
- 6. Show compactness property for space of trajectories of finite energy.
- 7. Define  $\partial$  (uses a compactness property in 9.1c)
- 8. Show space of trajectories is a manifold (plus genericity, "Smale property")
- 9. Show that  $\partial^2 = 0$ .
- 10. Show that  $HF_*$  doesn't depend on  $\mathcal{A}_H$  or  $X_H$
- 11. Show  $HF_* \cong HM_*$ , and compare dimensions of the vector spaces  $CM_*$  and  $CF_*$ .

### Ingredients:

- $(W, \omega)$  with  $\omega \in \Omega^2(W)$  is a symplectic manifold with an almost complex structure J.
- $H \in C^{\infty}(W; \mathbb{R})$  a Hamiltonian with  $X_H$  the corresponding symplectic gradient.
  - Defined by how it acts on tangent vectors in  $T_xM$ :

$$\omega_x(\cdot, X_H(x)) = (dH)_x(\cdot).$$

- Zeros of vector field  $X_H$  correspond to critical points of H:

$$X_H(x) = 0 \iff (dH)_x = 0.$$

- Take the associated flow  $\psi^t: W \to W$ , assumed 1-periodic so  $\psi^1(x) = x$ : critical points of H are periodic trajectories.
- $u \in C^{\infty}(\mathbb{R} \times S^1; W)$  is a solution to the Floer equation.
- The Floer equation and its linearization:

$$\mathcal{F}(u) = \frac{\partial u}{\partial s} + J \frac{\partial u}{\partial t} + \operatorname{grad}_{u}(H) = 0$$
$$(d\mathcal{F})_{u}(Y) = \frac{\partial Y}{\partial s} + J_{0} \frac{\partial Y}{\partial t} + S \cdot Y$$

$$Y \in u^*TW, S \in C^{\infty}(\mathbb{R} \times S^1; \operatorname{End}(\mathbb{R}^{2n})).$$

- $\mathcal{L}W$  is the free loop space on W, i.e. space of contractible loops on W, i.e.  $C^{\infty}(S^1; W)$  with the  $C^{\infty}$  topology
  - Elements  $x \in \mathcal{L}W$  can be viewed as maps  $S^1 \to W$ .
  - Can extend to maps from a closed disc,  $u: \overline{\mathbb{D}}^2 \to M$ .
  - Loops in  $\mathcal{L}W$  can be viewed as maps  $S^2 \to W$ , since they're maps  $I \times S^1 \to W$  with the boundaries pinched:



Figure 1: Loops in  $\mathcal{L}W$ 

• The action functional is given by

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

- Example:  $W = \mathbb{R}^{2n} \implies A_H(x) = \int_0^1 (H_t dt p dq).$  Correspondence between trajectories of the gradient of  $\mathcal{A}_H$  and solu-
- tions to Floer equations.
- x, y periodic orbits of H (nondegenerate, contractible), equivalently critical points of  $\mathcal{A}_H$ .

• Assumption of symplectic asphericity, i.e. the symplectic form is zero on spheres. Statement: for every  $u \in C^{\infty}(S^2, W)$ ,

$$\int_{S^2} u^* \omega = 0 \quad \text{or equivalently} \quad \langle \omega, \pi_2 W \rangle = 0.$$

• Assumption of symplectic trivialization: for every  $u \in C^{\infty}(S^2; M)$  there exists a symplectic trivialization of the fiber bundle  $u^*TM$ , equivalently

$$\langle c_1 TW, \ \pi_2 W \rangle = 0.$$

Locally a product of base and fiber, transition functions are symplectomorphisms.

- Maslov index: used the fact that
  - Every path in  $\gamma: I \to \operatorname{Sp}(2n, \mathbb{R})$  can be assigned an integer coming from a map  $\tilde{\gamma}: I \to S^1$  and taking (approximately) its winding number.
- $\mathcal{M}(x,y)$ , the moduli space of contractible finite-energy solutions to the Floer equation connecting x, y.
  - After perturbing H to get transversality, get a manifold of dimension  $\mu(x) \mu(y)$ .
  - How we did it:
    - \* Describe as zeros of a section of a vector bundle over  $\mathcal{P}^{1,p}(x,y)$ (Banach manifold modeled on the Sobolev spaces  $W^{1,p}$ ),
    - \* Apply Sard-Smale to show  $\mathcal{M}(x,y)$  is the inverse image of a regular value of some map.
  - Needed tangent maps to be Fredholm operators, proved in Ch. 8 and used to show transversality.
    - \* Followed from showing  $(d\mathcal{F})_u$  is a Fredholm operator of index  $\mu(x)$   $\mu(y)$ .

1 BACKGROUND, NOTATION, SETUP

# 2 | 9.1 and Review

• Defined moduli space of (parameterized) solutions:

 $\mathcal{M}(x,y) = \{ \text{Contractible finite-energy solutions connecting } x, y \}$ 

 $\mathcal{M} = \{\text{All contractible finite-energy solutions to the Floer equation}\} = \bigcup_{x,y} \mathcal{M}(x,y).$ 

• Defined the moduli space of (unparameterized) **trajectories** connecting x to y:

$$\mathcal{L}(x,y) := \mathcal{M}(x,y)/\mathbb{R}.$$

- Use the quotient topology, define sequentially:

$$\tilde{u}_n \stackrel{n \to \infty}{\longrightarrow} \tilde{u} \iff \exists \{s_n\} \subset \mathbb{R} \text{ such that } u_n(s_n + s, \cdot) \stackrel{n \to \infty}{\longrightarrow} u(s, \cdot).$$

– When  $|\mu(x) - \mu(y)| = 1$ , get a compact 0-manifold, so the number of trajectories

$$n(x,y) \coloneqq \#\mathcal{L}(x,y)$$

is well-defined.

- $C_k(H) := \mathbb{Z}/2\mathbb{Z}[S]$  where S is the set of periodic orbits of  $X_H$  of Maslov index k.
  - Finitely many since they are nondegeneracy implies they are isolated.

#### Remark 1.

Some notation:

$$\mathbb{R} \longrightarrow \mathcal{M}(x,z)$$

$$\downarrow^{\pi}$$

$$\mathcal{L}(x,z)$$

Hats will generally denote maps induced on quotient.

• Defined a differential

$$\partial: C_k(H) \to C_{k-1}(H)$$
  
$$x \mapsto \sum_{\mu(y)=k-1} n(x,y)y$$

$$n(x,y) := \# \{ \text{Trajectories of grad } \mathcal{A}_H \text{ connecting } x,y \} \mod 2$$
  
=  $\# \mathcal{L}(x,y) \mod 2$ .

• Examined  $\partial^2$ :

$$\begin{split} \partial^2: C_k(H) &\to C_{k-2}(H) \\ x &\mapsto \partial(\partial(x)) \\ &= \partial \left(\sum_{\mu(y)=\mu(x)-1} n(x,y)y\right) \\ &= \sum_{\mu(y)=\mu(x)-1} n(x,y)\partial(y) \\ &= \sum_{\mu(y)=\mu(x)-1} n(x,y) \left(\sum_{\mu(z)=\mu(y)-1} n(y,z)z\right) \\ &= \sum_{\mu(y)=\mu(x)-1} \sum_{\mu(z)=\mu(y)-1} n(x,y)n(y,z)z \\ &= \sum_{\mu(z)=\mu(y)-1} \left(\sum_{\mu(y)=\mu(x)-1} n(x,y)n(y,z)\right)z \end{split} \tag{finite sums, swap order),}$$

so it suffices to show

$$\sum_{\mu(y)=\mu(x)-1} n(x,y)n(y,z) = 0 \text{ when } \mu(z) = \mu(x) - 2.$$

Easier to examine parity, so we'll show it's zero mod 2.

- When  $\mu(z) = \mu(x) 2$ ,  $\mathcal{L}(x, z)$  is a non-compact 1-manifold, so we compactify by adding in *broken trajectories* to get  $\overline{\mathcal{L}}(x, y)$ .
- We'll then have

$$\overline{\mathcal{L}}(x,z) = \mathcal{L}(x,z) \cup \partial \overline{\mathcal{L}}(x,z), \qquad \partial \overline{\mathcal{L}}(x,z) = \bigcup_{\mu(y) = \mu(x) - 1} \mathcal{L}(x,y) \times \mathcal{L}(y,z),$$

which "space-ifies" the equation we want.

• We'll show  $\partial \overline{\mathcal{L}}(x,z)$  is a 1-manifold, which must have an even number of points, and thus

$$\sum_{\mu(y)=\mu(x)-1} n(x,y) n(y,z) = \# \left( \partial \overline{\mathcal{L}}(x,z) \right) \equiv 0 \mod 2.$$

Image here of relations between spaces!

2 9.1 AND REVIEW

# **3** | Three Important Theorems

#### 3.1 First Theorem: Convergence to Broken Trajectories

- Recall: broken trajectories are unions of intermediate trajectories connecting intermediate critical points.
- Shown last time: a sequence of trajectories can converge to a broken trajectory, i.e. there are broken trajectories in the closure of  $\mathcal{L}(x,z)$ .
- This theorem describes their behavior:

Theorem 3.1(9.1.7: Convergence to Broken Trajectories).

Let  $\{u_n\}$  be a sequence in  $\mathcal{M}(x,z)$ , then there exist

- A subsequence  $\{u_{n_j}\}$
- Critical points  $\{x_0, x_1, \dots, x_{\ell+1}\}$  with  $x_0 = x$  and  $x_{\ell+1} = z$
- Sequences  $\{s_n^1\}, \{s_n^2\}, \cdots, \{s_n^\ell\}.$
- Elements  $u^k \in \mathcal{M}(x_k, x_{k+1})$  such that for every  $0 \le k \le \ell$ ,

$$u_{n_i} \cdot s_n^k \stackrel{n \to \infty}{\longrightarrow} u^k$$
.

- Upshots:
  - Every sequence upstairs has a subsequence which (after reparameterizing) converges
  - This descends to actual convergence after quotienting by  $\mathbb{R}$ ?
  - Yields uniqueness of limits in  $\mathcal{L}(x,z)$ , thus a separated topology
  - Sequentially compact  $\iff$  compact since  $\mathcal{L}(x,z)$  is a metric space?

Corollary 3.2 (Compactness).

 $\overline{\mathcal{L}}(x,z)$  is compact.

### 3.2 Second Theorem: Compactness of $\overline{\mathcal{L}}(x,z)$

### **Definition 3.2.1** (Regular Pair).

For an almost complex structure J and a Hamiltonian H, the pair (H, J) is **regular** if the Floer map  $\mathcal{F}$  is transverse to the zero section in the following vector bundle:

 $E_u := \{ \text{Vector fields tangent to } M \text{ along } u \} \longrightarrow C^{\infty}(\mathbb{R} \times S^1; TM)$ 

Most of chapter 9 is spent proving this theorem:

### Theorem 3.3(9.2.1).

Let (H,J) be a regular pair with H nondegenerate and x,z be two periodic trajectories of H such that

$$\mu(x) = \mu(z) + 2.$$

Then  $\overline{\mathcal{L}}(x,z)$  is a compact 1-manifold with boundary with

$$\partial \overline{\mathcal{L}}(x,z) = \bigcup_{y \in \mathcal{I}(x,z)} \mathcal{L}(x,y) \times \mathcal{L}(y,z)$$
$$\mathcal{I}(x,z) = \left\{ y \mid \mu(x) < \mu(y) < \mu(z) \right\}.$$

Note: possibly a typo in the book? Has x, y on the LHS.

### Corollary 3.4.

$$\partial^2 = 0.$$

#### 3.3 Third Theorem: Gluing

### Theorem 3.5(9.2.3: Gluing).

Let x, y, z be three critical points of  $\mathcal{A}_H$  with three consecutive indices

$$\mu(x) = \mu(y) + 1 = \mu(z) + 2.$$

and let

$$(u,v) \in \mathcal{M}(x,y) \times \mathcal{M}(y,z) \quad \leadsto \quad (\hat{u},\hat{v}) \in \mathcal{L}(x,y) \times \mathcal{L}(y,z).$$

Then

1. There exists a  $\rho_0 > 0$  and a differentiable map

$$\psi: [\rho_0, \infty) \to \mathcal{M}(x, z)$$

such that  $\hat{\psi}$ , the induced map on the quotient

$$\begin{array}{ccc}
[\rho_0, \infty) & \xrightarrow{\psi} & \mathcal{M}(x, z) \\
& & \downarrow^{\pi} \\
\mathcal{L}(x, z)
\end{array}$$

is an embedding that satisfies

$$\widehat{\psi}(\rho) \stackrel{\rho \to \infty}{\longrightarrow} (\widehat{u}, \widehat{v}) \in \overline{\mathcal{L}}(x, z).$$

2. ("Uniqueness") For any sequence  $\{\ell_n\} \subseteq \mathcal{L}(x,z)$ ,

$$\ell_n \stackrel{n \to \infty}{\longrightarrow} (\hat{u}, \hat{v}) \implies \ell_n \in \operatorname{im}(\hat{\psi}) \text{ for } n \gg 0.$$

- We already know that  $\overline{\mathcal{L}}(x,z)$  is compact and  $\mathcal{L}(x,z)$  is a 1-manifold, so we look at neighborhoods of boundary points.
- Why unique: will show that the broken trajectory  $(\hat{u}, \hat{v})$  is the endpoint of an embedded interval in  $\overline{\mathcal{L}}(x, z)$ .
  - Then show that any other sequence converging to  $(\hat{u}, \hat{v})$  must approach via this interval, otherwise could have cuspidal points:

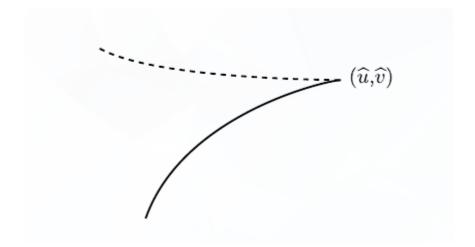


Figure 2: Cuspidal Point on Boundary

## 4 | Gluing Theorem

Broken into three steps:

### 1. Pre-gluing:

- Get a function  $w_{\rho}$  which interpolates between u and v in the parameter  $\rho$ .
  - Not exactly a solution itself, just an "approximation".

#### 2. Newton's Method:

• Apply the Newton-Picard method to  $w_p$  to construct a true solution

$$\psi : [-\rho, \infty) \to \mathcal{M}(x, z)$$

$$\rho \mapsto \exp_{w_p}(\gamma(p))$$

for some 
$$\gamma(p) \in W^{1,p}(w_p^*TW) = T_{w_p}\mathcal{P}(x,z)$$

- General idea: guess, intersect x-axis with tangent of graph, use that as a new guess and iterate.
- GIF of Newton's Method

## 3. Project and Verify Properties:

• Check that the projection  $\hat{\psi} = \pi \circ \psi$  satisfies the conditions from the theorem.

## $oldsymbol{5}$ ig| 9.3: Pre-gluing, Construction of $w_ ho$

- Choose (once and for all) a bump function  $\beta$  on  $B_{\varepsilon}(0)^c \subset \mathbb{R} \to [0,1]$  which is 1 on  $|x| \geq 1$  and 0 on  $|x| < \varepsilon$
- Split into positive and negative parts  $\beta^{\pm}(s)$ :

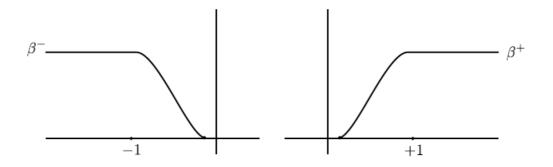


Figure 3: Bump away from zero

• Define an interpolation  $w_{\rho}$  from u to v in the following way: let

$$-\exp\left[\cdot\right] \coloneqq \exp_{y(t)}(\cdot) \text{ and } \\ -\ln(\cdot) \coloneqq \exp_{y(t)}^{-1}(\cdot),$$

then

$$w_{\rho}: x \to z$$

$$w_{\rho}(s,t) := \begin{cases} u(s+\rho,t) & s \in (-\infty,-1] \\ \exp\left[\beta^{-}(s)\ln(u(s+\rho,t)) + \beta^{+}(s)\ln(u(s-\rho,t))\right] & s \in [-1,1] \\ u(s-\rho,t) & s \in [1,\infty) \end{cases}$$

• Why does this make sense?

$$|s| \le 1 \implies u(s \pm \rho, t) \in \left\{ \exp_{y(t)} Y(t) \mid \sup_{t \in S^1} ||Y(t)|| \le r_0 \right\} \subseteq \operatorname{im} \exp_{y(t)}(\cdot).,$$
 so we can apply  $\exp_{y(t)}^{-1}(\cdot).$ 

• Can make  $|s| \leq 1$  for large  $\rho$ , since

$$u(s,t) \xrightarrow{s \to \infty} y(t)$$
$$v(s,t) \xrightarrow{s \to -\infty} y(t).$$

- So pick a  $\rho_0$  such that this holds for  $\rho > \rho_0$ .
- Might have to increase  $\rho_0$  later in the proof, so  $\rho > \rho_0$  just means  $\rho \gg 0$ .
- Some properties:

$$-w_{\rho} \in C^{\infty}(x,z)$$
 and is differentiable in  $\rho$ .

$$-s \in [-\varepsilon, \varepsilon] \implies w_{\rho}(s, t) = y(t).$$

$$w_{\rho}(s-\rho,t) \stackrel{\rho \to \infty}{\longrightarrow} u(s,t)$$
 in  $C_{\text{loc}}^{\infty}$ 

$$w_{\rho}(s,t) \stackrel{\rho \to \infty}{\longrightarrow} y(t)$$
 in  $C_{\text{loc}}^{\infty}$ .

- Now carry out the linearized version on tangent vectors
  - Let  $Y \in T_u \mathcal{P}(x, y)$
  - Let  $Z \in T_v \mathcal{P}(x, y)$
  - Replace  $w_{\rho}$  with the interpolation

$$Y \#_{\rho} Z \in T_{w_{\rho}} \mathcal{P}(x, y) = W^{1, p}(w_{\rho}^* T W).$$

defined by

$$(Y \#_{\rho} Z)(s,t) = \begin{cases} Y(s+\rho,t) & s \in (-\infty,-1] \\ \exp_T \left[ \beta^-(s) \ln_T (Y(s+\rho,t)) + \beta^+(s) \ln_T (Z(s-\rho,t)) \right] & s \in [-1,1] \\ Z(s-\rho,t) & s \in [1,\infty) \end{cases}$$

where the subscript T indicates taking tangents of the exponential maps at appropriate points.

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# **6** 9.4: Construction of $\psi$ .

#### 6.1 Summary

- $\mathcal{F}_{\rho}$  will be  $F \circ \exp w_{\rho}$  expanded in the bases  $Z_i$  coming from a trivialization of TW.
- $L_{\rho} = (d\mathcal{F}_{\rho})_0$  will be the linearization of the Floer operator at zero.
- Newton-Picard method, general idea:
  - Allows finding zeros of f given an approximate zero  $x_0$ , using the extra information of the 1st derivative f'.
  - Original method and variant: find the limit of a sequence

$$x_{n+1} = x_n - \frac{f(x_n)}{f'(x_n)}, \qquad x_{n+1} = x_n - \frac{f(x_n)}{f'(x_0)}.$$

- Second variant more useful: only need to know the derivative at one point.

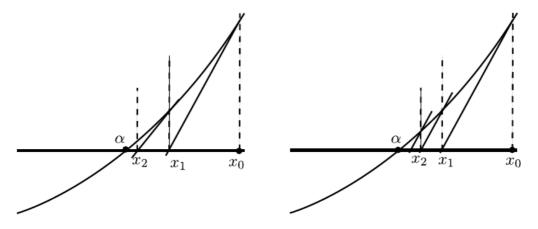


Fig. 9.6

Figure 4: Newton Method Variants

- Adapting Newton-Picard to operators:
  - $-\frac{1}{f'(x_0)}$  will correspond to  $L_{\rho}^{-1}$ , but it won't be invertible on entire space.
  - Decompose

$$T_{w_{\rho}}\mathcal{P}(x,z) = W^{1,p}(w_{\rho}^*TW) = W^{1,p}(\mathbb{R} \times S^1; \mathbb{R}^{2n}) = \ker(L_{\rho}) \oplus W_{\rho}^{\perp},$$

where  $L_{\rho}$  will have a right inverse on  $W_{\rho}^{\perp} \subseteq T_{w_{\rho}} \mathcal{P}(x, z)$ .

- Find that  $x_0 = 0$  is "approximately" a solution and run Newton-Picard in  $W_{\rho}^{\perp}$
- Where does  $W_{\rho}^{\perp}$  come from? Essentially the kernel of some linear functional given by an integral:

$$W_{\rho}^{\perp} \coloneqq \left\{ Y \in W^{1,p} \;\middle|\; \int_{\mathbb{R} \times S^1} \left\langle Y, \; \cdots \right\rangle ds \, dt = 0, \; \text{ plus conditions} \right\}.$$

• Will obtain for every  $\rho \geq \rho_0$  an element  $\gamma(\rho) \in W_{\rho}^{\perp}$  with

$$\mathcal{F}_{\rho}(\gamma(\rho)) = 0.$$

– Where does  $\gamma$  come from? Intersection-theoretic interpretation on page 320:

$$\left(\exp_{w_{\rho}}\right)^{-1}\mathcal{M}(x,z)\cap W_{\rho}^{\perp}\subseteq T_{w_{\rho}}\mathcal{P}(x,z) \qquad \leadsto \gamma$$
$$\mathcal{M}(x,z)\cap\left\{\exp_{w_{\rho}}W_{\rho}^{\perp} \middle| \rho \geq \rho_{0}\right\}\subseteq \mathcal{P}(x,z) \qquad \leadsto \psi(\rho),$$

which we get by exponentiating.

• This gives a codimension 1 subspace in  $\mathcal{M}(x,z)$ , which we take to be  $\psi(\rho)$ :

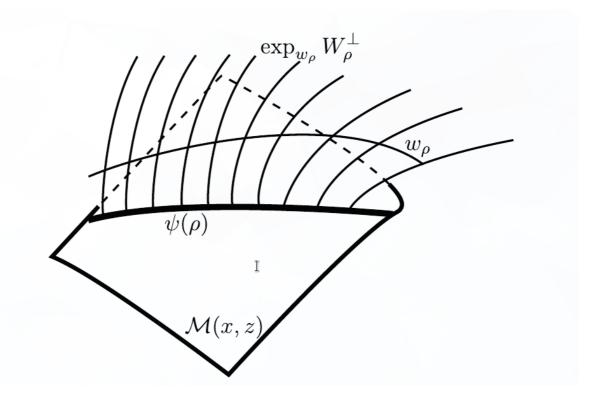


Figure 5: Intersection interpretation

Schematic picture here for  $\gamma, \psi(\rho)$ .

- Apply the implicit function theorem to show differentiability of  $\gamma$  in  $\rho$ .
- Use a trivialization  $Z_i^{\rho}$  of TW to get a vector field along  $w_{\rho}$  (also called  $\gamma(\rho)$ )
  - This is exactly an element of  $T_{w_{\rho}}\mathcal{P}(x,z)$
- Exponentiate to get an element of  $\mathcal{M}(x,z)$ :

$$\psi(\rho) \coloneqq \exp_{w_{\rho}}(\gamma(\rho)).$$

- Project onto  $\mathcal{L}(x,z)$  to get  $\hat{\psi}$ .
- Prove  $\hat{\psi}$  is a proper injective immersion and thus an embedding.
- Show that the broken trajectory  $(\hat{u}, \hat{v})$  is the endpoint of an embedded interval in  $\overline{\mathcal{L}}(x, z)$ .
  - Then show that any other sequence converging to  $(\hat{u}, \hat{v})$  must approach via this interval, otherwise could have cuspidal points:

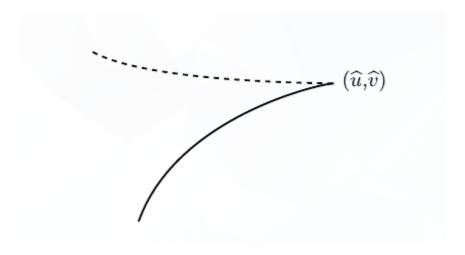


Figure 6: Cuspidal Point on Boundary

Probably not worth going farther than this!

#### 6.2 Details

- Have constructed  $w_{\rho} \in C_{\searrow}^{\infty}(x,z)$  for every  $\rho \geq \rho_0$ , since there is exponential decay.
- Yields  $\psi_{\rho} \in \mathcal{M}(x,z)$  a true solution (to be defined).
- Need to check that  $\mathcal{F}(\psi_{\rho}) = 0$  where

$$\mathcal{F} = \frac{\partial}{\partial s} + J \frac{\partial}{\partial t} + \text{grad } Hx$$

in the weak sense.

- $\psi_{\rho}$  already continuous, and by elliptic regularity, makes it a strong solution.
- Defining  $\mathcal{F}_{\rho}$ .

$$W^{1,p}\left(\mathbf{R}\times S^{1};\mathbf{R}^{2n}\right) \xrightarrow{\mathcal{F}_{\rho}} L^{p}\left(\mathbf{R}\times S^{1};\mathbf{R}^{2n}\right)$$
$$(y_{1},\ldots,y_{2n})\longmapsto \left[\left(\frac{\partial}{\partial s}+J\frac{\partial}{\partial t}+\operatorname{grad}H_{t}\right)\left(\exp_{w_{\rho}}\sum y_{i}Z_{i}^{\rho}\right)\right]_{Z_{i}}$$

where  $\mathcal{F}_{\rho} \coloneqq \mathcal{F} \circ \exp_{w_{\rho}}$  written in the bases  $Z_i$ . sd

• Linearize  $\mathcal{F}_{\rho}$ .