

# Section 8.6: The Solutions of the Floer Equation are “Somewhere Injective”.

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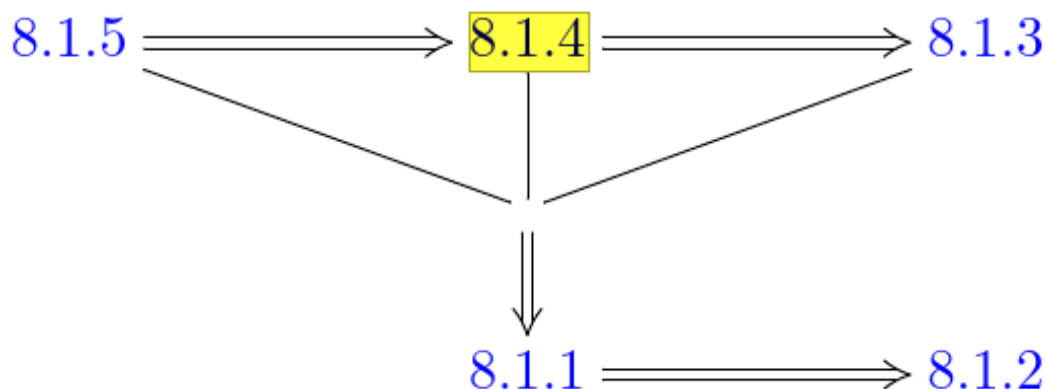
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## 0.1 Outline

- Goal: Prove “injectivity” and continuation principle used in 8.5
- Prove Theorem 8.5.4
- Prove the continuation principle that was used in Proposition 8.1.4

Outline of statements:



- 8.1.5:  $(d\mathcal{F})_u$  is a Fredholm operator of index  $\mu(x) - \mu(y)$ .
- 8.1.4:  $\Gamma : W^{1,p} \times C_\varepsilon^\infty \longrightarrow L^p$  has a continuous right-inverse and is surjective
- 8.1.3:  $\mathcal{Z}(x, y, J)$  is a Banach manifold
- 8.1.1: For  $h \in \mathcal{H}_{\text{reg}}$ ,  $H_0 + h$  is nondegenerate and  $(d\mathcal{F})_u$  is surjective for every  $u \in \mathcal{M}(H_0 + h, J)$ .

- 8.1.2: For  $h \in \mathcal{H}_{\text{reg}}$  and all contractible orbits  $x, y$  of  $H_0$ ,  $\mathcal{M}(x, y, H_0 + h)$  is a manifold of dimension  $\mu(x) - \mu(y)$ .

Set up notation:

- $z = s + it$
- $X$  is a vector field (time-dependent and periodic) on  $\mathbb{R}^{2n}$
- $X, J$  are smooth
- $u$  is a solution to the equation

$$\frac{\partial u}{\partial s} + J(t, u) \left( \frac{\partial u}{\partial t} - X(t, u) \right) = 0$$

- $C(u)$  the set of critical points  $u$
- $R(u)$  the set of regular points of  $u$

Goal: prove the following theorem

**Theorem 0.1(8.5.4).**

$C(u)$  is discrete and  $R(u) \hookrightarrow \mathbb{R} \times S^1$  is open and dense.

Goal: prove a continuation principle:

**Proposition 0.2(8.6.6, Continuation Principle).**

Let  $Y$  be a solution to the perturbed CR equation on an open subset  $U \subseteq \mathbb{R}^2$ , then the set

$$C := \left\{ (s, t) \in U \mid Y \text{ has an infinite order zero at } (s, t) \right\}$$

is clopen. In particular, if  $U$  is connected and  $Y = 0$  on some nonempty  $V \subset U$ , then  $Y \equiv 0$ .

**Proposition 0.3(8.1.4,).**

Define

$$\mathcal{Z}(x, y, J) := \{ (u, H_0 + h) \mid h \in \mathcal{C}_\varepsilon^\infty(H_0) \text{ and } u \in \mathcal{M}(x, y, J, H) \}.$$

If  $(u, H_0 + h) \in \mathcal{Z}(x, y)$  then the following map admits a continuous right-inverse and is surjective:

$$\begin{aligned} \Gamma : W^{1,p}(\mathbb{R} \times S^1; \mathbb{R}^{2n}) \times \mathcal{C}_\varepsilon^\infty(H_0) &\longrightarrow L^p(\mathbb{R} \times S^1; \mathbb{R}^{2n}) \\ (Y, h) &\longmapsto \left( d\mathcal{F}^{H_0+h} \right)_u(Y) + \text{grad}_u h \end{aligned}$$

where  $\mathcal{F}^{H_0+h}$  is the Floer operator corresponding to  $H_+h$ .

Used to show (via the implicit function theorem) that  $\mathcal{Z}(x, y, J)$  is a Banach manifold when  $x \neq y$ .

**Proposition 0.4(8.6.1, Transform to CR-equation on  $\mathbb{R}^2$ ).**

If  $u$  is a solution to the following equation:

$$\frac{\partial u}{\partial s} + J(t, u) \left( \frac{\partial u}{\partial t} - X(t, u) \right) = 0.$$

Then there exist

- An almost complex structure  $J$
- A diffeomorphism  $\phi$  on  $W$  ?
- A map  $v \in C^\infty(\mathbb{R}^2; W)$

satisfying

- $\left( \frac{\partial}{\partial s} + J \frac{\partial}{\partial t} \right) v = 0$
- $v(s, t + 1) = \phi(v(s, t))$
- $C(u) = C(v)$ , i.e.  $u, v$  have the same critical points
- $R(u) = R(v)$ .

Proof: short, include.

Lemma 8.6.2: The set of critical points of  $v$  above is discrete. Precisely: There exists a constant  $\delta > 0$  such that  $(dv)_z \neq 0$  for any  $0 < |z| < \delta$ .

Proof: Postponed to p.264.

Definition: Multiple points

Proposition 8.6.3: Injectivity result. Let  $v$  be a smooth 1-periodic (in  $t$ ) solution of the CR equation, i.e.  $v(s, t + 1) = \phi(v(s, t))$  for some smooth  $\phi$  ? and  $\frac{\partial v}{\partial s} \neq 0$ . Then  $R(v) \hookrightarrow \mathbb{R}^2$  is open and dense.

## 0.2 Regular Points Are Open and Dense

Proof (BIG):

- Show  $R(v)$  is open (easy)
- Show  $R(v)$  is dense (delicate)

Long proof.

Lemma 8.6.4: For every  $r > 0$  there exists a  $\delta > 0$  such that

$$|t - t_0|, |s - s_0| < \delta \implies \exists s' \in B_r(s_j) \text{ s.t. } v(s, t) = v(s', t).$$

Proof: short.

Lemma 8.6.5: Let  $v_1, v_2$  be two solutions of the CR-equation with  $X_t \equiv 0$  on  $B_\varepsilon(0)$ ,  $v_1(0, 0) = v_2(0, 0)$  such that  $(dv_1)_0, (dv_2)_0 \neq 0$ . Also suppose

$$\forall \varepsilon \exists \delta \text{ s.t.}$$

$$\forall (s, t) \in B_\delta(0), \exists s' \in \mathbb{R} \begin{cases} (s', t) \in B_\varepsilon(0) \\ v_1(s, t) = v_2(s', t) \end{cases}.$$

Then

$$\forall z \in B_\varepsilon(0), \quad v_1(s, t) = v_2(s, t).$$

Take perturbed CR equation:

$$\frac{\partial Y}{\partial s} + J_0 \frac{\partial Y}{\partial t} + S \cdot Y = 0.$$

Fix  $S \in C^\infty(\mathbb{R}^2; \text{End}(\mathbb{R}^{2n}))$

Lemma (Similarity Principle, used to prove continuation principle and 8.6.8): Let  $Y \in C^\infty(B_\varepsilon; \mathbb{C}^n)$  be a solution to the perturbed CR equation and let  $p > 2$ . Then there exists  $0 < \delta < \varepsilon$  and a map  $A \in W^{1,p}(B_\delta, \text{GL}(\mathbb{R}^{2n}))$  and a holomorphic map  $\sigma : B_\delta \rightarrow \mathbb{C}^n$  such that

$$\forall (s, t) \in B_\delta \quad Y(s, t) = A(s, t) \sigma(s + it) \quad \text{and} \quad J_0 A(s, t) = A(s, t) J_0.$$

Use continuation principle to finish proofs of many old theorems/lemmas.

Theorem (8.6.11, Essential property of  $\bar{\partial}$ ) For every  $p > 1$ , the following operator is surjective and Fredholm:

$$\bar{\partial} : W^{1,p}(S^2; \mathbb{C}^n) \rightarrow L^p(\Lambda^{0,1} T^* S^2 \otimes \mathbb{C}^n).$$

Lead up to the proof of 8.1.5 in Section 8.7