

THESIS DEFENSE: THE GEOMETRY AND STRUCTURE OF COMPACT RANK-ONE ECS MANIFOLDS

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These slides can also be found at

https://www.asc.ohio-state.edu/terekcouto.1/texts/thesis_slides.pdf

Part I

Introduction & context

The Weyl curvature tensor

We will start by recalling the definition of the **Weyl curvature tensor** W of a pseudo-Riemannian manifold (M, g) .

The **curvature tensor of S^n equipped with its round metric** is given by

$$R(X, Y, Z, V) = g(Y, Z)g(X, V) - g(X, Z)g(Y, V)$$

$$R(X, Y, Z, V) = \underbrace{g(Y, Z)g(X, V) - g(X, Z)g(Y, V)}_{(g \otimes g)(X, Y, Z, V)}$$

This is a **quadratic** expression in g . **Polarize!**

$$\begin{aligned} 2(T \otimes S)(X, Y, Z, V) &\doteq T(Y, Z)S(X, V) - T(X, Z)S(Y, V) \\ &\quad + S(Y, Z)T(X, V) - S(X, Z)T(Y, V) \end{aligned}$$

The \otimes -multiplication between symmetric type $(0, 2)$ tensor fields is always a type $(0, 4)$ tensor field with the **“symmetries of a curvature”**.

In any pseudo-Riemannian manifold (M^n, g) , we may \bigwedge -divide R by g :

$$R = g \bigwedge P + W, \quad W = \text{Weyl curvature tensor of } (M, g).$$

Here are the main facts about W :

- W is the remainder of the \bigwedge -division of R by g .
- W is the “Ricci-traceless” part of R .
- W is the part of R not constrained by Einstein’s field equations.
- R has $n^2(n^2 - 1)/12$ independent components, while Ric has $n(n + 1)/2$: the remaining ones all come from W .
- $W = 0$ whenever $\dim M \leq 3$.
- If $\dim M \geq 4$, (M, g) is conformally flat if and only if $W = 0$.

The condition we are interested in is $\nabla W = 0$.

Definition (ECS manifold)

A pseudo-Riemannian manifold (M, g) is called *essentially conformally symmetric* if $\nabla W = 0$ but neither $W = 0$ nor $\nabla R = 0$.

The metric signature

ECS manifolds are objects of **strictly indefinite nature**:

Theorem (Roter, 1977)

For a Riemannian manifold (M, g) : $\nabla W = 0 \iff W = 0$ or $\nabla R = 0$.

Roter has also shown that ECS manifolds **exist in all dimensions** starting from 4, and realizing **all possible indefinite metric signatures**.

Every ECS manifold carries **a distinguished null parallel distribution**, which helps control its geometry:

Definition

The **Olszak distribution** of an ECS manifold (M, g) is $\mathcal{D} \hookrightarrow TM$ given by

$$\mathcal{D}_x = \{v \in T_x M \mid g_x(v, \cdot) \wedge W_x(v', v'', \cdot, \cdot) = 0, \text{ for all } v', v'' \in T_x M\},$$

for every $x \in M$.

More on the Olszak distribution

The Olszak distribution was originally introduced for the more general study of **conformally recurrent manifolds**, and in this setting it is already true that \mathcal{D} is indeed **smooth, parallel and null**.

In the ECS case, the rank of \mathcal{D} is always **equal to 1 or 2**. For this reason, we speak of **rank-one/rank-two ECS manifolds**.

Theorem (Derdzinski-Roter, 2009)

Let (M, g) be an ECS manifold, and \mathcal{D} be its Olszak distribution. Then:

- i The Ricci endomorphism of (M, g) is **\mathcal{D} -valued**.*
- ii The connection induced in the quotient bundle $\mathcal{D}^\perp / \mathcal{D}$ over M is **flat**.*
- iii The connection induced in \mathcal{D} itself is **flat** when (M, g) is of **rank one**.*

The local structure of ECS manifolds has been determined by Derdzinski and Roter in 2009.

A rank-one example

Example (Conformally symmetric pp-wave manifolds)

Let $(V, \langle \cdot, \cdot \rangle)$ be a pseudo-Euclidean vector space of dimension $n - 2 \geq 2$, $A \in \mathfrak{sl}(V)$ be self-adjoint, $I \subseteq \mathbb{R}$ be an open interval and $f: I \rightarrow \mathbb{R}$ be a smooth function. Consider

$$(\hat{M}, \hat{g}) = (I \times \mathbb{R} \times V, \kappa dt^2 + dt ds + \langle \cdot, \cdot \rangle),$$

where $\kappa: \hat{M} \rightarrow \mathbb{R}$ is given by $\kappa(t, s, v) = f(t)\langle v, v \rangle + \langle Av, v \rangle$.

Then (\hat{M}, \hat{g}) has $\nabla W = 0$, with:

- $W = 0 \iff A = 0$;
- $\nabla R = 0 \iff f$ is constant.

In the ECS case, the Olszak distribution \mathcal{D} is spanned by the null parallel coordinate vector field ∂_s , and $(V, \langle \cdot, \cdot \rangle)$ is isometrically identified with the vector space of parallel sections of $\mathcal{D}^\perp / \mathcal{D}$.

Intuition

We consider such examples because *any point in a rank-one ECS manifold (M^n, g) has a neighborhood isometric to an open subset of some $(\widehat{M}, \widehat{g})$.*

The idea relies on two general facts about rank-one ECS manifolds:

- Ric is \mathcal{D} -valued.
- the connections induced on \mathcal{D} and $\mathcal{D}^\perp/\mathcal{D}$ are flat.

Locally, consider: a null parallel vector field w spanning \mathcal{D} , and a function t such that $dt = g(w, \cdot)$. This way:

- $\text{Ric} = (2 - n)f(t) dt \otimes dt$ for some suitable function f .
- The Weyl tensor acts as a traceless self-adjoint endomorphism A of $V = \mathcal{D}^\perp/\mathcal{D}$ via $A(v + \mathcal{D}) = W(u, v)u + \mathcal{D}$ (where u is any vector field with $g(u, w) = 1$).

Any null geodesic $t \mapsto x(t)$ with $g(\dot{x}(t), w_{x(t)}) = 1$ gives rise to a mapping

$$F(t, s, v) = \exp_{x(t)} \left(v_{x(t)} + \frac{sw_{x(t)}}{2} \right), \quad \text{with} \quad F^*g = \widehat{g}.$$

Part II

Compact ECS manifolds: existence

About compact ECS manifolds

With the local structure of ECS manifolds being fully understood, the next step is to address **global aspects**. The first question is **whether compact ECS manifolds exist**.

Theorem (Derdzinski-Roter, 2010)

In every dimension $n = 3j + 2$, $j = 1, 2, 3, \dots$, there exists a compact Ricci-recurrent ECS manifold (M, g) of any prescribed indefinite metric signature, which is diffeomorphic to a torus bundle over S^1 , but not homeomorphic to (or even covered by) a torus.

These examples are **all of the form** $M = \hat{M}/\Gamma$, where Γ is some subgroup of $\text{Iso}(\hat{M}, \hat{g})$ acting freely and properly discontinuously on \hat{M} .

The strange dimensions $n = 3j + 2$ were **a particularity of their construction**, which obtained a 5-dimensional example with $\dim V = 3$, but turned out to be “compatible” with taking cartesian powers of $(V, \langle \cdot, \cdot \rangle)$, leading also to dimensions 8, 11, 14, etc..

The isometry group of (\hat{M}, \hat{g})

Again: $(V, \langle \cdot, \cdot \rangle)$ has $\dim V = n - 2$, $A \in \mathfrak{sl}(V) \setminus \{0\}$ is self-adjoint, f is nonconstant on an open interval $I \subseteq \mathbb{R}$, and our “rank-one ECS model” is $(\hat{M}, \hat{g}) = (I \times \mathbb{R} \times V, \kappa dt^2 + dt ds + \langle \cdot, \cdot \rangle)$.

- 1 S is the group of the triples $\sigma = (q, p, C) \in \text{Aff}(\mathbb{R}) \times O(V)$ with $CAC^{-1} = q^2 A$ and $q^2 f(qt + p) = f(t)$.
- 2 (\mathcal{E}, Ω) is the symplectic vector space of solutions $u: I \rightarrow V$ of $\ddot{u}(t) = f(t)u(t) + Au(t)$, with $\Omega(u, \hat{u}) = \langle \dot{u}, \hat{u} \rangle - \langle u, \dot{\hat{u}} \rangle$.

Note: $S \curvearrowright \mathcal{E}, I, \mathbb{R}$ via $(\sigma u)(t) = Cu(q^{-1}(t - p))$, $\sigma t = qt + p$, $\sigma s = q^{-1}s$.

- 3 The Heisenberg group $H = \mathbb{R} \times \mathcal{E}$ associated with (\mathcal{E}, Ω) , with operation given by $(r, u)(\hat{r}, \hat{u}) = (r + \hat{r} - \Omega(u, \hat{u}), u + \hat{u})$.

Theorem

$\text{Iso}(\hat{M}, \hat{g})$ is isomorphic to a semidirect product $S \ltimes H$.

- $(\sigma, r, u)(\hat{\sigma}, \hat{r}, \hat{u}) = (\sigma\hat{\sigma}, r + q^{-1}\hat{r} - \Omega(u, \sigma\hat{u}), u + \sigma\hat{u})$
- $(\sigma, r, u)(t, s, v) = (\sigma t, -\langle \dot{u}(\sigma t), 2\sigma v + u(\sigma t) \rangle + q^{-1}s + r, \sigma v + u(\sigma t))$

The groups $G(\sigma)$

S: group of all $\sigma = (q, p, C) \in \text{Aff}(\mathbb{R}) \times \text{O}(V, \langle \cdot, \cdot \rangle)$ respecting f and A .

As we have seen, the group $\text{Iso}(\hat{M}, \hat{g}) = S \ltimes H$ can be difficult to deal with. We **restrict our search** for compact-quotient subgroups Γ of $\text{Iso}(\hat{M}, \hat{g})$ to **specific groups $G(\sigma)$** , with $\sigma \in S$.

More precisely: $G(\sigma) = \{(\sigma^k, r, u) \mid k \in \mathbb{Z} \text{ and } (r, u) \in H\} \cong \mathbb{Z} \ltimes H$.

The formulas for the group operation in $G(\sigma)$ and its action on \hat{M} become simplified versions of what we had in the previous page.

The element $\sigma \in S$ is always chosen according to two situations:

- ❶ *translational*: $I = \mathbb{R}$ and $\sigma = (1, p, C)$ for some “period” $p > 0$.
- ❷ *dilational*: $I = (0, \infty)$ and $\sigma = (q, 0, C)$ for some $q \in (0, \infty) \setminus \{1\}$.

(In both cases, $C \in \text{O}(V, \langle \cdot, \cdot \rangle)$ has $CAC^{-1} = q^2A$.)

The translational-dilational dichotomy

The reason for the names “translational” and “dilational” goes beyond the meaning suggested by the actions of the elements $(1, p), (q, 0) \in \text{Aff}(\mathbb{R})$.

In general, we say that an abstract ECS manifold (M, g) is **translational or dilational** according to whether the holonomy group of the natural flat connection induced in \mathcal{D} is **finite or infinite**.

If (\tilde{M}, \tilde{g}) is the universal covering of (M, g) , with $M = \tilde{M}/\Gamma$ for some $\Gamma \cong \pi_1(M)$, and $t: \tilde{M} \rightarrow \mathbb{R}$ is a function whose (parallel) gradient spans $\tilde{\mathcal{D}}$, then **for every $\gamma \in \Gamma$ there is $(q, p) \in \text{Aff}(\mathbb{R})$ such that $t \circ \gamma = qt + p$** .

This gives us two homomorphisms

$$\Gamma \ni \gamma \mapsto (q, p) \in \text{Aff}(\mathbb{R}) \quad \text{and} \quad \Gamma \ni \gamma \mapsto q \in \mathbb{R} \setminus \{0\},$$

and it turns out that the holonomy group of the connection induced in \mathcal{D} **equals the image of the second homomorphism**.

First-order subspaces

Recall: any rank-one ECS model $(\widehat{M}, \widehat{g})$ gives rise to the symplectic vector space (\mathcal{E}, Ω) of solutions $u: I \rightarrow V$ of the ODE $\ddot{u}(t) = f(t)u(t) + Au(t)$.

For each $t \in I$, we have the corresponding **evaluation mapping** $\delta_t: \mathcal{E} \rightarrow V$, given by $\delta_t(u) = u(t)$. (They're obviously surjective.)

Definition

A vector subspace $\mathcal{L} \subseteq \mathcal{E}$ is called a **first-order subspace** of (\mathcal{E}, Ω) if, for every $t \in I$, the restriction $\delta_t|_{\mathcal{L}}: \mathcal{L} \rightarrow V$ is an **isomorphism**.

First-order subspaces of (\mathcal{E}, Ω) are in one-to-one correspondence with curves $B: I \rightarrow \text{End}(V)$ satisfying $\dot{B} + B^2 = f + A$, via

$$\mathcal{L} = \{u \in \mathcal{E} \mid \dot{u}(t) = B(t)u(t) \text{ for all } t \in I\}.$$

Here:

- ❶ \mathcal{L} is **Lagrangian** if and only if each $B(t)$ is self-adjoint.
- ❷ \mathcal{L} is **σ -invariant** if and only if $B(\sigma t) = q^{-1}CB(t)C^{-1}$.

A criterion for the existence of cocompact subgps. of $G(\sigma)$

Theorem

For a rank-one ECS model manifold $(\widehat{M}, \widehat{g})$, and an isometry $\gamma = (\sigma, b, w)$ with $\sigma \in S$ chosen as before, the following conditions are equivalent:

- a There is a *discrete subgroup* Γ of $G(\sigma)$ acting freely and properly discontinuously on \widehat{M} with a *compact quotient* $M = \widehat{M}/\Gamma$.
- b There is a σ -invariant first-order subspace \mathcal{L} of (\mathcal{E}, Ω) , a lattice $\Sigma \subseteq \mathbb{R} \times \mathcal{L}$ with $C_\gamma[\Sigma] = \Sigma$, and $\theta \geq 0$ such that $\Sigma \cap (\mathbb{R} \times \{0\}) = \mathbb{Z}\theta \times \{0\}$ and $\Omega(u, \hat{u}) \in \mathbb{Z}\theta$ for all $u, \hat{u} \in \Lambda$, where Λ is the image of Σ under the projection $\mathbb{R} \times \mathcal{L} \rightarrow \mathcal{L}$.

If (b) holds, Γ in (a) can be taken to be the *group generated by γ and Σ* and there is a *locally trivial fibration* $M \rightarrow S^1$ whose fibers, all diffeomorphic to a torus or to a 2-step nilmanifold according to whether \mathcal{L} is Lagrangian or not, *are the leaves of \mathcal{D}^\perp* . Finally, M equipped with its natural quotient metric is *translational and complete*, or *dilational and incomplete*, according to whether $\sigma = (1, p, C)$ or $\sigma = (q, 0, C)$.

Very brief sketch of (b) implies (a)

First, we show that the quotient $N = (\mathbb{R} \times \mathcal{L})/\Sigma$ is compact, where the lattice Σ acts on $\mathbb{R} \times \mathcal{L}$ by *Heisenberg* left-translations.

Then, if ε is 0 or 1 (depending on whether σ is translational or dilational), we let $\tilde{w} \in \mathcal{L}$ be the unique element with $\tilde{w}(\sigma\varepsilon) = w(\sigma\varepsilon)$, and let \tilde{b} be given by $\tilde{b} = b - \langle \dot{w}(\sigma\varepsilon) - B(\sigma\varepsilon)w(\sigma\varepsilon), w(\sigma\varepsilon) \rangle$.

Then $\phi: \mathbb{R} \times \mathcal{L} \rightarrow \mathbb{R} \times \mathcal{L}$ given by

$$\phi(r, u) = (q^{-1}r + \tilde{b} - \Omega(\tilde{w} - 2w, \sigma u), \sigma u + \tilde{w})$$

is Σ -equivariant, and hence passes to the quotient $\Phi: N \rightarrow N$.

Finally, we set $M = (I \times N)/\mathbb{Z}$, where $k \cdot (t, \Sigma(r, u)) = (\sigma^k t, \Phi^k \Sigma(r, u))$.

This works.

Theorem (Derdzinski-T., 2022)

There exist compact rank-one *translational* ECS manifolds of *all dimensions* $n \geq 5$ and *all indefinite metric signatures*, forming the total space of a *nontrivial torus bundle over S^1* with its *fibers being the leaves of \mathcal{D}^\perp* , *all geodesically complete, and none locally homogeneous*. In each fixed dimension and metric signature, there is an infinite-dimensional moduli space of local-isometry types.

Theorem (Derdzinski-T., 2023)

There exist compact rank-one *dilational* ECS manifolds of *all odd dimensions* $n \geq 5$ and *with semi-neutral metric signature*, including *locally homogeneous ones*, forming the total space of a *nontrivial torus bundle over S^1* with its *fibers being the leaves of \mathcal{D}^\perp* , *all of them geodesically incomplete*. In each fixed odd dimension, there is an infinite-dimensional moduli space of local-isometry types.

» Discuss translational examples

» Discuss dilational examples

The translational construction

Fix $\sigma = (1, p, \text{Id}_V)$, for $p > 0$.

Based on the criterion for the existence of cocompact subgroups of $G(\sigma)$, with $\theta = 0$, our goal is to find: a first-order σ -invariant Lagrangian subspace \mathcal{L} of (\mathcal{E}, Ω) and a conjugation-invariant lattice $\Sigma \subseteq \mathbb{R} \times \mathcal{L}$.

At the same time, we must find a smooth function $f: \mathbb{R} \rightarrow \mathbb{R}$ and a self-adjoint $A \in \mathfrak{sl}(V) \setminus \{0\}$ with the correct spectral properties to be used as model data.

The key observation for this construction is that any $B: \mathbb{R} \rightarrow \text{End}(V)$ gives rise to the corresponding f and A , by taking the trace and traceless-part of $\dot{B} + B^2$.

So:

how to find the B making all of it work?

Rephrasing the goal

We take $(V, \langle \cdot, \cdot \rangle)$ to be a standard pseudo-Euclidean \mathbb{R}^{n-2} , and restrict our search for $B: \mathbb{R} \rightarrow \text{End}(\mathbb{R}^{n-2})$ to the ones valued in the hyperplane Δ^{n-2} consisting of diagonal matrices. This makes each $B(t)$ self-adjoint, and the corresponding first-order subspace \mathcal{L} Lagrangian.

As σ -invariance of \mathcal{L} amounts to p -periodicity of B , we may set $\mathbb{R}/p\mathbb{Z} \cong \mathbb{S}^1$ and regard our candidates to B as defined in \mathbb{S}^1 .

We thus seek $B \in C^\infty(\mathbb{S}^1, \Delta^{n-2})$ such that:

- i the trace of $\dot{B} + B^2$ is nonconstant.
- ii the traceless part of $\dot{B} + B^2$ is a nonzero constant.
- iii $\sigma|_{\mathcal{L}} = \exp\left(-\int_{\mathbb{S}^1} B\right) \in \text{GL}(n-2, \mathbb{Z})$.

(Condition (iii) ultimately gives the existence of the conjugation-invariant lattice $\Sigma \subseteq \mathbb{R} \times \mathcal{L}$.)

The key spectral condition

For $n \geq 3$, we consider the following condition imposed on some tuple $(\lambda_1, \dots, \lambda_{n-2}) \in \mathbb{R}^{n-2}$:

$$\{\lambda_1, \dots, \lambda_{n-2}\} \text{ is a subset of } (0, \infty) \setminus \{1\}, \text{ not} \quad (\dagger) \\ \text{of the form } \{\lambda\} \text{ or } \{\lambda, \lambda^{-1}\} \text{ with any } \lambda > 0.$$

Condition (iii) is essentially taken care of by noting that whenever $n \geq 5$, there is a matrix in $\mathrm{GL}(n-2, \mathbb{Z}) \cap \Delta^{n-2}$ whose diagonal entries satisfy (\dagger) .

Consider now, for $0 \leq k \leq \infty$:

- $\mathcal{P}: C^{k+1}(\mathbb{S}^1, \Delta^{n-2}) \rightarrow C^k(\mathbb{S}^1, \Delta^{n-2})$ given by $\mathcal{P}(B) = \dot{B} + B^2$.
- $S: C^k(\mathbb{S}^1, \Delta^{n-2}) \rightarrow \Delta^{n-2}$ given by $S(B) = \exp\left(-\int_{\mathbb{S}^1} B\right)$.

Theorem

Whenever the entries of $\Theta \in \Delta^{n-2}$ satisfy (\dagger) , there is an infinite-dimensional manifold of functions $f \in C^\infty(\mathbb{S}^1)$ realized as $\mathrm{tr} \mathcal{P}(B)$ for some $B \in C^\infty(\mathbb{S}^1, \Delta^{n-2})$ having $S(B) = \Theta$ and $\mathcal{P}(B)$ with nonzero constant traceless part.

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Sketch of proof: condition (\dagger) allows us to write $\Theta = S(C)$ for some nonsingular $C \in \Delta^{n-2}$. This makes the derivative $d\mathcal{P}_C$, explicitly given by $d\mathcal{P}_C(Y) = \dot{Y} + 2CY$, an isomorphism. We may now apply the Inverse Function Theorem to first deform the constant C into a C^k — and then C^∞ — curve B having $S(B) = \Theta$.

The dilational construction

Fix $\sigma = (q, 0, C)$, with $q \in (0, \infty) \setminus \{1\}$ and C to be chosen later.

Based on the criterion for the existence of cocompact subgroups of $G(\sigma)$, with $\theta = 0$, our goal is to find: a first-order σ -invariant Lagrangian subspace \mathcal{L} of (\mathcal{E}, Ω) and a conjugation-invariant lattice $\Sigma \subseteq \mathbb{R} \times \mathcal{L}$.

At the same time, we must find a smooth function $f: (0, \infty) \rightarrow \mathbb{R}$ and a self-adjoint $A \in \mathfrak{sl}(V) \setminus \{0\}$ with the correct spectral properties to be used as model data.

Obtaining such f and A , in this case, is simple, and it is the existence of \mathcal{L} and Σ which pose a challenge. It ultimately relies on the combinatorial structure we will discuss next.

\mathbb{Z} -spectral systems

Definition

A \mathbb{Z} -spectral system is a quadruple (m, k, E, J) consisting of two integers $m, k \geq 2$, an injective function $E: \mathcal{V} \rightarrow \mathbb{Z} \setminus \{-1\}$, where $\mathcal{V} = \{1, \dots, 2m\}$, and a function $J: \mathcal{V} \rightarrow \{0, 1\}$, satisfying for every $i, i' \in \mathcal{V}$ that:

- Ⓐ $k + 1 = 2E(1)$ (and so k must be odd).
- Ⓑ $E(i) + E(i') = -1$ and $J(i) + J(i') = 1$ whenever $i + i' = 2m + 1$.
- Ⓒ $E(i) - E(i') = k$ and $J(i) + J(i') = 1$ whenever $i' = i + 1$ is even.
- Ⓓ The set $Y = \{-1\} \cup \{E(i) \mid i \in \mathcal{V} \text{ and } J(i) = 1\}$ is symmetric about zero.

The spectral selector $S = J^{-1}(1)$ is simultaneously a selector for both two-element subset families

$$\{\{i, i'\} \mid i + i' = 2m + 1\} \quad \text{and} \quad \{\{i, i'\} \mid i' = i + 1 \text{ is even}\}.$$

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- a $k + 1 = 2E(1)$ (and so k must be odd).
- b $E(i) + E(i') = -1$ and $J(i) + J(i') = 1$ whenever $i + i' = 2m + 1$.
- c $E(i) - E(i') = k$ and $J(i) + J(i') = 1$ whenever $i' = i + 1$ is even.
- d The set $Y = \{-1\} \cup \{E(i) \mid i \in \mathcal{V} \text{ and } J(i) = 1\}$ is symmetric about zero.

The reason we care about this is that for any \mathbb{Z} -spectral system (m, k, E, J) and $q \in (0, \infty) \setminus \{1\}$ such that $q + q^{-1} \in \mathbb{Z}$, the $(m + 1)$ -element set $\{q^a \mid a \in Y\}$ is the spectrum of some matrix in $\text{GL}(m + 1, \mathbb{Z})$.

“Odd-dimensional” systems...

Example

For every odd integer $m \geq 3$, there is a \mathbb{Z} -spectral system $(m, m+2, E, J)$. Writing $m = 2r - 3$ with $r \geq 3$, and $(i, i') = (2j - 1, 2j)$ whenever $i, i' \in \mathcal{V}$ and $i' = i + 1$ is even, we define the function E by

$$(E(2j-1), E(2j)) = \begin{cases} (r, -r+1) & \text{if } j = 1, \\ (j-1, -2r+j) & \text{if } 1 < j < r-1 \text{ and } r \text{ is even,} \\ (2r+j-2, j-1) & \text{if } 1 < j < r-1 \text{ and } r \text{ is odd,} \\ (r-1, -r) & \text{if } j = r-1, \\ (j-2r+2, j-4r+3) & \text{if } r-1 < j < m \text{ and } r \text{ is odd,} \\ (j+1, j-2r+2) & \text{if } r-1 < j < m \text{ and } r \text{ is even,} \\ (r-2, -r-1) & \text{if } j = m, \end{cases}$$

and let the function J be given by $J(i) = E(i) \bmod 2$, so that

$$Y = \{-1\} \cup (\mathbb{Z}_{\text{odd}} \cap E[\mathcal{V}]), \quad \text{where } \mathbb{Z}_{\text{odd}} = \mathbb{Z} \setminus 2\mathbb{Z}.$$

... and no “even-dimensional” ones.

Proposition

There are no \mathbb{Z} -spectral systems (m, k, E, J) with even m .

Proof idea: Let (m, k, E, J) be a \mathbb{Z} -spectral system with even m , written as $m = 2s$ for some $s \in \mathbb{Z}$. The “exponent vector” $\mathbf{E} \in \mathbb{Z}^{4s}$ has the form

$$\mathbf{E} = (a_1, a_1 - k, \dots, a_s, a_s - k, -1 - a_s + k, -1 - a_s, \dots, -1 - a_1 + k, -1 - a_1)$$

for some $a_1, \dots, a_s \in \mathbb{Z}$. Now, let ε_j be 1 or -1 according to whether $\{2j - 1, 2m - 2j + 1\} \subseteq S$ or $\{2j, 2m - 2j + 2\} \subseteq S$. As the set $Y = \{-1\} \cup E[S]$ is symmetric about zero,

$$1 = \sum_{i \in S} E(i) = \sum_{j=1}^s (-1 + \varepsilon_j k),$$

and so $(\sum_{j=1}^s \varepsilon_j) k = s + 1$. For ℓ negative ε_j 's, we obtain the relation $(s - 2\ell)k = s + 1$. Both sides have different parities, a contradiction.

Defining dilational ECS data

Let $n \geq 5$ be odd and set $m = n - 2$.

Fix a \mathbb{Z} -spectral system (m, n, E, J) , a m -dimensional pseudo-Euclidean vector space $(V, \langle \cdot, \cdot \rangle)$ with **semi-neutral signature**, and $q \in (0, \infty) \setminus \{1\}$ with $q + q^{-1} \in \mathbb{Z}$.

Defining A and C : let (e_1, \dots, e_m) be a basis of $(V, \langle \cdot, \cdot \rangle)$ on which

$$\langle \cdot, \cdot \rangle \sim \begin{bmatrix} 0 & 0 & \dots & 0 & \varepsilon \\ 0 & 0 & \dots & \varepsilon & 0 \\ \vdots & \vdots & \ddots & \ddots & \vdots \\ 0 & \varepsilon & \dots & 0 & 0 \\ \varepsilon & 0 & \dots & 0 & 0 \end{bmatrix}, \quad \varepsilon \in \{1, -1\},$$

and define

$$a(j) = E(2j - 1) + \frac{1 - n}{2} = E(2j) + \frac{1 + n}{2}, \quad j = 1, \dots, m.$$

Defining dilational ECS data

Defining A and C : let (e_1, \dots, e_m) be a basis of $(V, \langle \cdot, \cdot \rangle)$ on which

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and define $a(j) = E(2j-1) + \frac{1-n}{2} = E(2j) + \frac{1+n}{2}$, $j = 1, \dots, m$.

Now set:

- $Ae_m = e_1$, and $Ae_j = 0$ for $j = 1, \dots, m-1$.
- $Ce_j = q^{a(j)}e_j$ for $j = 1, \dots, m$.

Then $A \in \mathfrak{sl}(V) \setminus \{0\}$ is self-adjoint, $C \in O(V, \langle \cdot, \cdot \rangle)$, and $CAC^{-1} = q^2A$.

Defining dilational ECS data

The function f : here, we consider the “scalar version” of (\mathcal{E}, Ω) , that is, the space \mathcal{W} of solutions $y: (0, \infty) \rightarrow \mathbb{R}$ of $\ddot{y}(t) = f(t)y(t)$.

The operator $T: \mathcal{W} \rightarrow \mathcal{W}$ given by $(Ty)(t) = y(t/q)$ is indeed \mathcal{W} -valued whenever f has the property $q^2 f(qt) = f(t)$.

Its spectrum μ^+, μ^- satisfies $\mu^+ \mu^- = q^{-1}$, as $T^* \alpha = \alpha$ for the (symplectic) area form $\alpha(y, z) = \dot{y}(t)z(t) - y(t)\dot{z}(t)$.

The spectrum of $\sigma: \mathcal{E} \rightarrow \mathcal{E}$ then becomes

$$(\mu^+ q^{a(1)}, \mu^- q^{a(1)}, \dots, \mu^+ q^{a(m)}, \mu^- q^{a(m)}). \quad (*)$$

Choosing f so that $\mu^+ = q^{(-1-n)/2}$ and $\mu^- = q^{(-1+n)/2}$, such as

$$f(t) = \frac{n^2 - 1}{4t^2},$$

the spectrum $(*)$ becomes precisely

$$(q^{E(1)}, q^{E(2)}, \dots, q^{E(2m-1)}, q^{E(m)}).$$

Defining dilational ECS data

So far: f , A , and $\sigma = (q, 0, C)$ are in place, and the spectrum of $\sigma: \mathcal{E} \rightarrow \mathcal{E}$ is $(q^{E(1)}, q^{E(2)}, \dots, q^{E(2m-1)}, q^{E(m)})$, for our spectral system $(n-2, n, E, J)$.

The space \mathcal{L} : using more linear algebra, we obtain a basis

$$(u_1, u_2, \dots, u_{2m-1}, u_{2m}) = (u_1^+, u_1^-, \dots, u_m^+, u_m^-)$$

of \mathcal{E} , of **eigenvectors of σ** associated with $(q^{E(1)}, q^{E(2)}, \dots, q^{E(2m-1)}, q^{E(m)})$.

This basis satisfies that **$\Omega(u_i, u_j) = 0$, whenever $i, j \in \{1, \dots, 2m\}$ have $i + j \neq 2m + 1$** . Hence, if $S = J^{-1}(1)$ is the spectral selector of the \mathbb{Z} -spectral system $(n-2, n, E, J)$,

the direct sum $\mathcal{L} = \bigoplus_{i \in S} \mathbb{R}u_i$ is a first-order σ -invariant Lagrangian subspace of (\mathcal{E}, Ω) .

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Now, σ -invariance of \mathcal{L} makes $\mathbb{R} \times \mathcal{L}$ **C_γ -invariant** for any $\gamma \in G(\sigma)$.

The spectrum of the restriction $C_\gamma|_{\mathbb{R} \times \mathcal{L}}$ is **given by $\{q^a \mid a \in Y\}$** , for $Y = \{-1\} \cup E[S]$ arising from $(n - 2, n, E, J)$.

This means that a C_γ -invariant lattice **$\Sigma \subseteq \mathbb{R} \times \mathcal{L}$ exists**.

Part III

The topology of compact rank-one ECS manifolds

The topological structure

Q: What do all known compact rank-one ECS manifolds presented so far have in common?

A: They are all bundles over S^1 , and \mathcal{D}^\perp appears as the vertical distribution.

We will see next that this is **not an accident**.

The main result

Theorem (Derdzinski-T., 2022)

Every *non-locally-homogeneous* compact rank-one ECS manifold (M, g) for which the orthogonal distribution \mathcal{D}^\perp is *transversely orientable* is the total space of a locally trivial fibration over S^1 whose fibers are the leaves of \mathcal{D}^\perp .

The transverse orientability of \mathcal{D}^\perp can be achieved by replacing (M, g) with a suitable isometric *double covering*, if necessary.

One of the main consequences of the above result is:

Theorem (Derdzinski-T., 2022)

For any compact rank-one ECS manifold (M, g) , the leaves of $\tilde{\mathcal{D}}^\perp$ in the universal covering (\tilde{M}, \tilde{g}) are the factor manifolds of a global decomposition of \tilde{M} . More precisely, every leaf L of $\tilde{\mathcal{D}}^\perp$ in \tilde{M} is connected and *simply connected*, and \tilde{M} is diffeomorphic to $\mathbb{R} \times L$.

The strategy

The central concept used in the proof is what we call **the dichotomy property** for a codimension-one foliation \mathcal{V} in a smooth manifold M , which has two alternatives **(NC)** and **(AC)** imposed on its compact leaves.

The reason why we care about this property is that it turns out that if M is compact, \mathcal{V} is transversely orientable, and **some compact leaf of \mathcal{V} satisfies (AC)**, then there is a locally trivial bundle projection $M \rightarrow \mathbb{S}^1$ whose fibers are the leaves of \mathcal{V} .

There are two big steps to carry out:

- ❶ Establishing the **dichotomy property for \mathcal{D}^\perp** (when transversely orientable) in a rank-one ECS manifold (M, g) .
- ❷ Showing that some compact leaf of \mathcal{D}^\perp satisfies **(AC)** when M is compact.

Step (i) does not use compactness of M , and local homogeneity is an obstruction for (ii).

The dichotomy property

Definition

A codimension-one foliation \mathcal{V} in a smooth manifold M has the *dichotomy property* if every compact leaf L of \mathcal{V} has a neighborhood U in M such that the leaves of \mathcal{V} intersecting $U \setminus L$ are either:

NC: all *noncompact*, or

AC: *all compact*, and some neighborhood of L in M saturated by compact leaves of \mathcal{V} may be diffeomorphically identified with the product $\mathbb{R} \times L$ in such a way that \mathcal{V} corresponds to the foliation $\{\{s\} \times L\}_{s \in \mathbb{R}}$.

Example

If both M and \mathcal{V} are *real-analytic* and \mathcal{V} is transversely orientable, then \mathcal{V} has the dichotomy property. If a compact leaf L of \mathcal{V} does not satisfy (NC), *there are compact leaves of \mathcal{V} arbitrarily close to L* . Now analyticity implies that L satisfies (AC).

More examples of the dichotomy property

Example

If \mathcal{V} is transversely orientable and has a **finite number of compact leaves**, then \mathcal{V} clearly has the dichotomy property. Examples of this situation include **the Reeb foliation on S^3** , and foliations on **products $\mathbb{T}^2 \times K$** coming from foliations on \mathbb{T}^2 having themselves a finite number of leaves.

Example

Let M be an orientable line bundle over a compact and connected manifold L , equipped with a flat connection ∇ , and let \mathcal{V} be **the horizontal distribution** on M associated with ∇ . The compact leaf L (and hence all others) satisfies **(NC) or (AC)** according to whether the holonomy group $\text{Hol}(\nabla)$ is **infinite or trivial**.

Establishing the dichotomy property for \mathcal{D}^\perp

The last example illuminates the way to proceed:

Theorem

Let (M, g) be a compact rank-one ECS manifold with transversely orientable \mathcal{D}^\perp , and let L be a compact leaf of \mathcal{D}^\perp . Then, there is some neighborhood U of L in M which can be *identified with a neighborhood U' of the zero section $L \hookrightarrow \mathcal{D}_L^*$ as to make the distribution \mathcal{D}^\perp in U correspond in U' to the horizontal distribution of the flat connection in \mathcal{D}_L^* .*

Sketch of proof: Let $t: \tilde{M} \rightarrow \mathbb{R}$ is a function whose parallel gradient \mathbf{w} spans $\tilde{\mathcal{D}}$, and ϕ be a flow on M which is transverse to \mathcal{D}^\perp . Define $U = \phi[(-\varepsilon, \varepsilon) \times L]$ and $\Psi: U \rightarrow U' = \Psi[U]$ by

$$\Psi(\phi(\tau, x)) = [t(\tilde{\phi}(\tau, y)) - t(y)]\xi_y \circ (d\pi_y)^{-1},$$

where $\tilde{\phi}$ is a lift of ϕ to \tilde{M} , ξ is the parallel section of $\tilde{\mathcal{D}}^*$ with $\xi(\mathbf{w}) = 1$, and $y \in \pi^{-1}(x)$ is chosen at will. This works.

Establishing the dichotomy property for \mathcal{D}^\perp

The last example illuminates the way to proceed:

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Let (M, g) be a compact rank-one ECS manifold with transversely orientable \mathcal{D}^\perp , and let L be a compact leaf of \mathcal{D}^\perp . Then, there is some neighborhood U of L in M which can be identified with a neighborhood U' of the zero section $L \hookrightarrow \mathcal{D}_L^$ as to make the distribution \mathcal{D}^\perp in U correspond in U' to the horizontal distribution of the flat connection in \mathcal{D}_L^* .*

So:

Theorem

If (M, g) is a rank-one ECS manifold with transversely orientable \mathcal{D}^\perp , then \mathcal{D}^\perp satisfies the dichotomy property. Namely, for a compact leaf L of \mathcal{D}^\perp , alternatives (AC) and (NC) correspond to whether the holonomy group of the natural flat connection in the line bundle \mathcal{D}_L^ is **finite or infinite**.*

Towards a compact leaf with (AC): cohomology, \mathcal{F} & P

Our next goal is to show that some compact leaf of \mathcal{D}^\perp in M satisfies alternative (AC) of the dichotomy property.

Closedness of a continuous 1-form ζ means its locally being the differential of a C^1 function. Thus it makes sense to consider a cohomology class $[\zeta] \in H_{\text{dR}}^1(M) \cong \text{Hom}(\pi_1(M), \mathbb{R})$.

We fix again the universal covering (\tilde{M}, \tilde{g}) of (M, g) , a function $t: \tilde{M} \rightarrow \mathbb{R}$ whose parallel gradient spans $\tilde{\mathcal{D}}$, and express $M = \tilde{M}/\Gamma$ with $\Gamma \cong \pi_1(M)$.

Considering the space \mathcal{F} of all continuous functions $\chi: \tilde{M} \rightarrow \mathbb{R}$ such that χdt is closed and Γ -invariant, we may consider the operator

$$P: \mathcal{F} \rightarrow H_{\text{dR}}^1(M), \quad \text{given by} \quad P\chi = [\chi dt].$$

Special functions

Considering the space \mathcal{F} of all continuous functions $\chi: \tilde{M} \rightarrow \mathbb{R}$ such that χdt is closed and Γ -invariant, we may consider the operator

$$P: \mathcal{F} \rightarrow H_{\text{dR}}^1(M), \quad \text{given by} \quad P\chi = [\chi dt].$$

Theorem

Let (M, g) be a compact rank-one ECS manifold such that \mathcal{D}^\perp is transversely orientable. If (M, g) is not locally homogeneous, then there exists a nonconstant function $\mu \in C^1(M)$ which is constant along \mathcal{D}^\perp .

Sketch of proof: It mainly consists in showing that either

- ❶ $\dim \mathcal{F} < \infty$ and (M, g) is locally homogeneous, or
- ❷ $\dim \mathcal{F} = \infty$ and such μ exists.

In case (i), set-theoretical reasons imply that $f(t) = \varepsilon(t - b)^{-2}$, where $\text{Ric} = (2 - n)f(t) dt \otimes dt$. In case (ii), let $\chi \in \ker P \setminus \{0\}$ and take μ such that $d\mu$ equals the projected χdt .

From special functions to compact leaves satisfying (AC)

Let $\mu \in C^1(M)$ be nonconstant, but constant along \mathcal{D}^\perp .

By **Sard's theorem**, the image of μ in \mathbb{R} contains an open interval of regular values of μ . Any connected component of a level set $\mu^{-1}(c)$, with c in a such open interval, is a compact leaf of \mathcal{D}^\perp with **(AC)**.

Note: Sard's theorem usually applies for a C^k function from an n -manifold into an m -manifold, where $k \geq \max\{n - m + 1, 1\}$. Here, $k = m = 1$ and $n \geq 4$, but compactness of M together with μ being locally a function of t allows us to **apply Sard with $n = 1$ instead of $n \geq 4$** .

Part IV

ECS genericity and the four-dimensional case

Genericity – the linear-algebraic setting

Finally, we aim to obtain **classification results** for compact ECS manifolds.

We were able to achieve this under an additional **genericity condition**.

Definition

Given a pseudo-Euclidean vector space $(V, \langle \cdot, \cdot \rangle)$, a traceless and self-adjoint operator $A: V \rightarrow V$ is called **generic** if only finitely many isometries of $(V, \langle \cdot, \cdot \rangle)$ commute with A .

Note: the set of generic operators is **open and dense** in the space of all traceless and self-adjoint operators.

Example

When $\dim V = 2$, every such nonzero A is generic: **only four or two isometries** of $(V, \langle \cdot, \cdot \rangle)$ commute with A , according to whether A is diagonalizable or not, respectively.

Genericity – the linear-algebraic setting

Example

If $\dim V = m$ and A has m mutually distinct eigenvalues, then A is generic: there are **exactly 2^m isometries** of $(V, \langle \cdot, \cdot \rangle)$ commuting with A .

Inspired by the dilational case:

Example

If $\dim V = m$ and A is nilpotent, then A is generic if and only if **$\ker A$ is one-dimensional**, in which case only $\pm \text{Id}_V$ commutes with A and there is a basis (e_1, \dots, e_m) of $(V, \langle \cdot, \cdot \rangle)$, unique up to an overall sign change, in which

$$A \sim \begin{bmatrix} 0 & 1 & 0 & \cdots & 0 \\ 0 & 0 & 1 & \cdots & 0 \\ \vdots & \vdots & \ddots & \ddots & \vdots \\ 0 & 0 & \cdots & 0 & 1 \\ 0 & 0 & \cdots & 0 & 0 \end{bmatrix} \quad \text{and} \quad \langle \cdot, \cdot \rangle \sim \begin{bmatrix} 0 & 0 & \cdots & 0 & \varepsilon \\ 0 & 0 & \cdots & \varepsilon & 0 \\ \vdots & \vdots & \ddots & \ddots & \vdots \\ 0 & \varepsilon & \cdots & 0 & 0 \\ \varepsilon & 0 & \cdots & 0 & 0 \end{bmatrix}.$$

Genericity – the ECS setting

Now we move on to the ECS setting.

Recall that for any rank-one ECS manifold (M, g) , we have a traceless and self-adjoint operator A of the space $(V, \langle \cdot, \cdot \rangle)$ of parallel sections of the quotient bundle $\mathcal{D}^\perp / \mathcal{D}$ over the universal covering (\tilde{M}, \tilde{g}) .

It is given by $A(v + \mathcal{D}) = W(u, v)u + \mathcal{D}$ where u is a vector field with $\tilde{g}(u, w) = 1$, where w is a null parallel vector field spanning \mathcal{D} .

Definition

A rank-one ECS manifold (M, g) is **generic** if its associated operator A described above is generic.

Based on previous examples:

every four-dimensional rank-one ECS manifold is generic.

A crucial first consequence of genericity

We have seen earlier that every rank-one ECS manifold (M, g) gives rise to a model $(\widehat{M}, \widehat{g})$. This construction can be done globally in the universal covering $(\widetilde{M}, \widetilde{g})$ instead of locally in (M, g) , and we obtain an isometric mapping $F: \widehat{M} \rightarrow \widetilde{M}$.

When can we ensure that F is surjective as well?

Theorem (Derdzinski-T., 2023)

The universal covering of a generic compact rank-one ECS manifold (M, g) is globally isometric to a rank-one ECS model $(\widehat{M}, \widehat{g})$.

The proof of this result uses general facts about complete connections, as well as the notions of maximal completeness and \mathcal{D}^\perp -completeness.

Classification results in the generic case

Recall that writing $M = \tilde{M}/\Gamma$, (M, g) is translational or dilational according to whether the image K of $\Gamma \ni \gamma \mapsto q \in \mathbb{R} \setminus \{0\}$ is finite or infinite.

Our first classification result is:

Theorem (Derdzinski-T., 2023)

Any generic compact rank-one ECS manifold is either translational or locally homogeneous.

The proof of this result consists in showing that,

if (M, g) is dilational, then the image K cannot be infinite cyclic.

This is done by using the algebraic structure of a generic nilpotent operator together with the existence of a first-order subspace of (\mathcal{E}, Ω) to obtain a certain impossible combinatorial structure.

Ruling out the locally homogeneous alternative

As the next step, we refine the previous theorem:

Theorem (Derdzinski-T., 2023)

Any generic compact rank-one ECS manifold is translational.

This time, the argument consists of showing that a generic compact rank-one ECS manifold cannot be locally homogeneous.

Given $q \in (0, \infty) \setminus \{1\}$, there are only two isometries C_q of $(V, \langle \cdot, \cdot \rangle)$ such that $CAC^{-1} = q^2A$, and a careful analysis of the spectrum of the associated operators $\sigma_q: \mathcal{E} \rightarrow \mathcal{E}$ yields **a bound on the rank** of the lattice $\Sigma = \Gamma \cap H$.

The condition $\text{rank} \Sigma \leq 1$ then implies that Γ is Abelian, and then **the transitive commutation property** for the identity component of the isometry group of a homogeneous model ultimately implies that Γ cannot act freely and properly discontinuously on \hat{M} .

Goodbye, dimension four!

Theorem (Derdzinski-T, 2023)

There are no four-dimensional compact rank-one ECS manifolds.

Sketch of proof: If a rank-one ECS manifold (M, g) were compact and four-dimensional, it would be translational and its universal covering would be a model (\hat{M}, \hat{g}) with $I = \mathbb{R}$.

Replacing (M, g) with a finite isometric covering if necessary, we may assume that all elements in Γ have trivial $O(V, \langle \cdot, \cdot \rangle)$ -component, i.e., $\gamma = (1, p, \text{Id}_V, r, u)$ with $p \in \mathbb{R}$ and $(r, u) \in H$.

Then, the image of $\Gamma \ni \gamma \mapsto p \in \mathbb{R}$ must be infinite cyclic:

- if it were trivial, $t: \tilde{M} \rightarrow \mathbb{R}$ would be Γ -invariant and survive as a continuous unbounded function $M \rightarrow \mathbb{R}$.
- if it were dense, the condition $f(t + p) = f(t)$ (valid for all $\gamma \in \Gamma$) would imply that f is constant and (M, g) is locally symmetric.

Goodbye, dimension four!

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- if it were trivial, $t: \tilde{M} \rightarrow \mathbb{R}$ would be Γ -invariant and survive as a continuous unbounded function $M \rightarrow \mathbb{R}$.
- if it were dense, the condition $f(t + p) = f(t)$ (valid for all $\gamma \in \Gamma$) would imply that f is constant and (M, g) is locally symmetric.

So, denoting again by p the positive generator of the image of the above homomorphism $\Gamma \rightarrow \mathbb{R}$, we obtain that $\Gamma \subseteq G(\sigma)$ for $\sigma = (1, p, \text{Id}_V)$, and so our criterion for the existence of compact quotients can be applied.

The σ -invariant first-order subspace \mathcal{L} of (\mathcal{E}, Ω) obtained from Γ gives rise to a curve $B: \mathbb{S}^1 \rightarrow \text{End}(V)$ which has $\int_{\mathbb{S}^1} \text{tr } B = 0$ (as $\det(\sigma|_{\mathcal{L}}) = 1$, since $\sigma|_{\mathcal{L}}$ leaves a lattice invariant), and also $\int_{\mathbb{S}^1} \text{tr } B \neq 0$ when $\dim V = 2$ (by a straightforward computation).

This concludes the argument.

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Thank you for your attention!

◊ Return to translational examples

◊ Return to dilational examples

◊ Return to topological structure

◊ Return to ECS genericity and the 4-dim case