

HIGGS BUNDLES — EXISTENCE OF SOLUTIONS

PEDRO NÚÑEZ

ABSTRACT. In this talk we introduce the stability condition for Higgs bundles and prove the Hitchin–Kobayashi correspondence. The main result is [Hit87, Theorem 4.3]. Relevant literature is [Hit87, §3 and §4] and [Wen14, §2 and §3]. Maybe we will also use [Wen16] every now and then.

This talk is related to Tanuj’s talk on *Stable vector bundles*, for which the main reference is [Kob87]. Therefore we will also use [Kob87] as a default reference for generalities on complex vector bundles.

CONTENTS

Notation and conventions	1
1. Stability	2
References	7

NOTATION AND CONVENTIONS

We usually follow the notation of [Hit87]:

- M : compact Riemann surface of genus g .
- $\mathcal{O} \rightarrow M$: trivial line bundle.
- $K \rightarrow M$: canonical line bundle.
- More generally, \mathcal{O}_X and K_X denote the trivial and canonical line bundles over a complex manifold X .

Every now and then we will also use some other standard notation, for instance:

- For a vector bundle $E \rightarrow M$ we denote $\mu(E) := \deg E / \operatorname{rk} E$.
- Let X be a complex manifold and $E \rightarrow X$ a (holomorphic/algebraic) vector bundle. Then we denote by \mathcal{E} its sheaf of sections. The assignment $E \mapsto \mathcal{E}$ defines an equivalence of categories between vector bundles on X and locally free

Date: 15 July 2020.

Supported by the DFG-Graduiertenkolleg GK1821 “Cohomological Methods in Geometry” at the University of Freiburg.

sheaves of \mathcal{O}_X -modules of finite rank, which we will refer to simply as locally free sheaves. We can recover E from \mathcal{E} either using cocycles [Voi02, Lemma 4.8] or by using the relative spectrum [Har77, Exercise II.5.18]. Following the second approach we would write

$$E = \operatorname{Spec}_X(S(\mathcal{E}^*)) =: \mathbb{V}(\mathcal{E}^*),$$

where $S(-)$ denotes the symmetric algebra.

- \mathcal{O} and ω denote the trivial and canonical invertible sheaves on M . More generally, \mathcal{O}_X and ω_X denote the trivial and canonical invertible sheaves on a complex manifold X ,
- Let E be again a vector bundle on a complex manifold X . We will denote its projectivisation by $\mathbb{P}(E)$, which is obtained from E without its zero section by quotienting out the fibre-wise multiplication by scalars. Taking again the algebraic approach we can write

$$\mathbb{P}(E) = \operatorname{Proj}_X(S(\mathcal{E}^*)) =: \mathbb{P}(\mathcal{E}^*).$$

1. STABILITY

Definition 1.1 (Higgs bundle). A *Higgs bundle* on M is a pair (E, Φ) , where $E \rightarrow M$ is a rank 2 vector bundle and Φ is a global section of $\operatorname{End} E \otimes K$, called a *Higgs field* on E .

Remark 1.2. Using the canonical isomorphisms

$$H^0(M, \operatorname{End}(\mathcal{E}) \otimes \omega) \cong \operatorname{Hom}(\mathcal{O}, \mathcal{E}^* \otimes \mathcal{E} \otimes \omega) \cong \operatorname{Hom}(\mathcal{E}, \mathcal{E} \otimes \omega)$$

we may identify Φ with a morphism

$$\Phi: E \rightarrow E \otimes K.$$

Definition 1.3 (Stability). A Higgs bundle (E, Φ) is said to be *stable* if for every Φ -invariant¹ line bundle $L \subseteq E$ we have $\mu(L) < \mu(E)$.

Remark 1.4. $(E, 0)$ is stable if and only if E is stable in the usual sense.

Exercise 1.5. There are no stable Higgs bundles on \mathbb{P}^1 . [Hint: Grothendieck's theorem allows us to write Φ as a matrix. What can we say about each entry? Solution in [Hit87]]

Proposition 1.6. Let (E_1, Φ_1) and (E_2, Φ_2) be stable pairs with $\Lambda^2 E_1 \cong \Lambda^2 E_2$. Let $\Psi: E_1 \rightarrow E_2$ be a non-zero morphism of constant rank such that $(\Psi \otimes \operatorname{id}_K) \circ \Phi_1 = \Phi_2 \circ \Psi$. Then Ψ is an isomorphism.

¹Meaning that $\Phi(L) \subseteq L \otimes K$.

Proof. We prove the result by contradiction. Suppose that Ψ is not an isomorphism. The rank $x \mapsto \dim_{\mathbb{C}} \Psi_x(E_{1,x})$ is upper semi-continuous [Ati89, Proposition 1.3.2], so the rank of Ψ cannot be generically zero. If the rank was generically 2, then Ψ would be generically an isomorphism. Taking determinants we obtain a morphism of line bundles

$$\Lambda^2 E_1 \xrightarrow{\Psi \wedge \Psi} \Lambda^2 E_2$$

which is generically an isomorphism. Since the two determinants are isomorphic by assumption, we have $\text{Hom}(\Lambda^2 E_1, \Lambda^2 E_2) \cong \mathbb{C}$, hence the previous morphism must be given by a non-zero complex number. This shows that Ψ was in fact an isomorphism, because Ψ_x takes pairs of linearly independent vectors to pairs of linearly independent vectors for all $x \in M$. Therefore the rank is generically 1, only going down to 0 at special points.

Let $L_1 \subseteq E_1$ be the largest rank 1 subbundle of E_1 contained in the kernel of Ψ . Let $v_1 \in L_{1,x}$, and let z be a holomorphic coordinate around a general point $x \in M$. Then we can write $\Phi_1(v_1) = \phi_{1,x}(v_1) \otimes dz$ for some $\phi_{1,x} \in \text{End}(E_{1,x})$. Then

$$0 = \Phi_{2,x}(\Psi_x(v_1)) = (\Psi \otimes \text{id}_K)_x(\phi_{1,x}(v_1) \otimes dz) = \Psi_x(\phi_{1,x}(v_1)) \otimes dz,$$

so $\phi_{1,x}(v_1) \in \text{Ker}(\Psi_x) = L_{1,x}$. Since it suffices to check $\Phi_1(L_1) \subseteq L_1 \otimes K$ generically, this shows that L_1 is Φ_1 -invariant.

Let now $L_2 \subseteq E_2$ be the largest rank 1 subbundle of E_2 containing the image of Ψ . Let $v_2 = \Psi(v_1) \in L_{2,x}$ be a vector over a general point $x \in M$, which can thus be written as the image under Ψ of someone in E_1 . Then

$$\Phi_{2,x}(\Psi_x(v_1)) = (\Psi \otimes \text{id}_K)_x(\phi_{1,x}(v_1) \otimes dz) = \Psi_x(\phi_{1,x}(v_1)) \otimes dz,$$

so $\phi_{2,x}(v_2) \in \text{Im}(\Psi_x) = L_{2,x}$. Since it suffices to check $\Phi_2(L_2) \subseteq L_2 \otimes K$ generically, this shows that L_2 is Φ_2 -invariant.

Now we use that (E_i, Φ_i) are stable to deduce that

$$\deg(L_i) < \frac{d}{2}$$

for $i \in \{1, 2\}$, where $d := \deg(\Lambda^2 E_1) = \deg(\Lambda^2 E_2)$. By construction, Ψ induces a non-zero morphism of line bundles $E_1/L_1 \rightarrow L_2$, which corresponds to a non-zero global section of $(E_1/L_1)^* \otimes L_2$. Line bundles with negative degree do not have any non-zero global sections, so we must have $\deg(E_1/L_1) \leq \deg(L_2)$. Therefore

$$\frac{d}{2} < \deg(\Lambda^2 E_1) - \deg(L_1) = \deg(E_1/L_1) \leq \deg(L_2) < \frac{d}{2},$$

a contradiction. Hence Ψ must be an isomorphism. \square

Proposition 1.7. *Assume $g \geq 2$ and let $E \rightarrow M$ be a rank 2 vector bundle. Then there exists Higgs field Φ on E such that (E, Φ) is stable if and only if there exists a dense Zariski open subset $U \subseteq H^0(M, \text{End}(\mathcal{E}) \otimes \omega)$ such that all $\Phi' \in U$ have the property that no line bundle $L \subseteq E$ is Φ' -invariant.*

Proof. We define the following sets of rank 2 vector bundles on M :

- $\mathbf{S} := \{E \in \mathbf{Vec}_2(M) \mid \exists \Phi \text{ such that } (E, \Phi) \text{ is stable}\}.$
- $\mathbf{A} := \{E \in \mathbf{Vec}_2(M) \mid \text{a general } \Phi \text{ has no invariant } L\}.$
- $\mathbf{B} := \{E \in \mathbf{Vec}_2(M) \mid \exists L \text{ invariant for all } \Phi\}.$

Our goal is to show that $\mathbf{S} = \mathbf{A}$. If Φ has no invariant L , then (E, Φ) is automatically stable. Hence $\mathbf{A} \subseteq \mathbf{S}$. The plan to show the other inclusion is to see that $\mathbf{Vec}_2(M) = \mathbf{A} \sqcup \mathbf{B}$ and that $\mathbf{B} \subseteq \mathbf{Vec}_2(M) \setminus \mathbf{S}$.

Let us start by showing that $\mathbf{Vec}_2(M) = \mathbf{A} \sqcup \mathbf{B}$.

Let $p: \mathbb{P}(E) \rightarrow M$ be the projectivisation of our rank 2 vector bundle, which is a ruled surface in the sense of [Har77, §V.2]. Let $\mathcal{O}(-1)$ denote the tautological line bundle on $\mathbb{P}(E)$, whose fibre over $[v] \in \mathbb{P}(E)$ is the line $\{\lambda v \mid \lambda \in \mathbb{C}\} \subseteq E_{p([v])}$. Let $\mathcal{O}(l) := \mathcal{O}(1)^{\otimes l}$ for all $l \in \mathbb{Z}$, and if $F \rightarrow \mathbb{P}(E)$ is another vector bundle, denote by $F(l)$ the tensor product $F \otimes \mathcal{O}(l)$. We have then $p_*\mathcal{O}(l) = S^l(\mathcal{E}^*)$ for all $l \geq 0$ [Har77, Exercise III.8.4].

Let $x \in M$. Then every endomorphism $A \in \text{End}(E_x)$ defines a quadratic map $E_x \rightarrow \Lambda^2 E_x$ sending v to $Av \wedge v$. Such a quadratic map can be naturally regarded as a degree 2 homogeneous polynomial on the coordinates of e with coefficients in $\Lambda^2 E_x$. Hence we have a morphism $\text{End}(E) \rightarrow S^2 E^* \otimes \Lambda^2 E$, which vanishes precisely along the trivial line subbundle of $\text{End}(E)$ consisting over each fibre of scalar multiples of the identity. Sending $A \mapsto A - \frac{\text{tr}(A)}{2} \text{id}_{E_x}$ on each fibre allows us to identify $\text{End}_0(E)$ as the quotient of $\text{End}(E)$ by this trivial line subbundle, so we obtain an injective morphism $\text{End}_0(E) \rightarrow S^2 E^* \otimes \Lambda^2 E$. Counting ranks we see that we have in fact an isomorphism $\text{End}_0(E) \cong S^2 E^* \otimes \Lambda^2 E$, and therefore

$$\text{End}_0(\mathcal{E}) \otimes \omega \cong p_*\mathcal{O}(2) \otimes \omega \otimes \Lambda^2 \mathcal{E}.$$

By the projection formula, $\text{End}_0(\mathcal{E}) \otimes \omega \cong p_*(p^*(\omega \otimes \Lambda^2 \mathcal{E})(2))$. Therefore we have an isomorphism

$$\alpha: H^0(M, \text{End}_0(\mathcal{E}) \otimes \omega) \cong H^0(\mathbb{P}(E), p^*(\omega \otimes \Lambda^2 \mathcal{E})(2)).$$

Let now Φ be a traceless Higgs field on E , and assume it is non-zero. By construction, a non-zero vector $v \in E$ is an eigenvector of the twisted endomorphism over the corresponding fibre if and only if the section $\alpha(\Phi)$ vanishes at the point $[v] \in \mathbb{P}(E)$, i.e. if and only if $[v]$ is in the divisor of zeros of the global section $\alpha(\Phi)$, which we denote

$\text{div}(\alpha(\Phi))$. Let $L \subseteq E$ be a Φ -invariant subbundle, which defines a section of $p: \mathbb{P}(E) \rightarrow M$ by functoriality of projectivisation on injective morphisms of vector bundles:

$$\begin{array}{ccc} \mathbb{P}(L) & \xrightarrow{\sigma} & \mathbb{P}(E) \\ \parallel & \swarrow p & \\ M & & \end{array}$$

Being Φ -invariant means precisely that $\sigma(M) \subseteq \text{div}(s(\Phi))$. But then any non-zero $v \in L$ is a non-zero eigenvector corresponding to some eigenvalue of the endomorphism over the corresponding fibre. Since Φ is traceless and non-zero, the other eigenvalue must be different, and there must be some non-zero eigenvector outside of L , call it $v' \in V$. Since v' is a non-zero eigenvector, $[v'] \in \text{div}(\alpha(\Phi))$. And since $v' \notin L$, $[v'] \notin \sigma(M)$. Therefore $\sigma(M)$ is a proper irreducible component of the divisor $\text{div}(\alpha(\Phi))$. So if $\text{div}(\alpha(\Phi))$ is irreducible, then no line bundle $L \subseteq V$ is Φ -invariant and (E, Φ) is automatically stable.

Next we give a lower bound for the dimension of the linear system $|p^*(\omega \otimes \Lambda^2 \mathcal{E})(2)|$, which is one less than the dimension of the vector space $H^0(\mathbb{P}(E), p^*(\omega \otimes \Lambda^2 \mathcal{E})(2))$. Using the previous isomorphism it suffices to gain control over the dimension of the global sections of $\text{End}_0(\mathcal{E}) \otimes \omega$ on M , for which we can apply Hirzebruch–Riemann–Roch [Har77, Theorem A.4.1]. From [Har77, Example A.4.1.1] we get

$$\text{td}(\omega^*) = 1 - \frac{c_1(\omega)}{2}.$$

Using the short exact sequence used earlier

$$0 \rightarrow \mathcal{O} \rightarrow \text{End}(\mathcal{E}) \rightarrow \text{End}_0(\mathcal{E}) \rightarrow 0$$

we see that $c_1(\text{End}_0(\mathcal{E})) = c_1(\text{End} \mathcal{E}) = 0$. Therefore

$$\text{ch}(\text{End}_0(\mathcal{E}) \otimes \omega) = 3 + c_1(\text{End}_0(\mathcal{E})) + 3c_1(\omega) = 3 + 3c_1(\omega).$$

Multiplying the two expressions we obtain

$$\text{ch}(\text{End}_0(\mathcal{E}) \otimes \omega) \text{td}(\omega^*) = 3 + \frac{3}{2}c_1(\omega),$$

whose codimension 1 part has degree $3g - 3 \geq 3$. So Hirzebruch–Riemann–Roch tells us that

$$h^0(M, \text{End}_0(\mathcal{E}) \otimes \omega) - h^1(M, \text{End}_0(\mathcal{E}) \otimes \omega) = 3g - 3 \geq 3,$$

which implies that $h^0(\mathbb{P}(E), p^*(\omega \otimes \Lambda^2 \mathcal{E})(2)) = h^0(M, \text{End}_0(\mathcal{E}) \otimes \omega) \geq 3$.

Thus, our linear system $|p^*(\omega \otimes \Lambda^2 \mathcal{E})(2)|$ has dimension 2. If it does not have any fixed component, then Bertini's theorem [Lit82,

Theorem 7.19] and the discussion above imply that a general $\Phi \in H^0(M, \text{End}_0(\mathcal{E}) \otimes \omega)$ leaves no line bundle $L \subseteq E$ invariant, i.e. $E \in \mathbf{A}$.

Let us see what happens if it does have some fixed divisor. By definition, a fixed divisor corresponds to a non-zero global section $s_0 \in H^0(\mathbb{P}(E), \mathcal{M}_1)$ for some invertible sheaf \mathcal{M}_1 such that there exists another invertible sheaf \mathcal{M}_2 with $\mathcal{M}_1 \otimes \mathcal{M}_2 \cong p^*(\omega \otimes \Lambda^2 \mathcal{E})(2)$. Being a fixed divisor translates into saying that every global section $s \in H^0(\mathbb{P}(E), p^*(\omega \otimes \Lambda^2 \mathcal{E})(2))$ can be written as ts_0 for some $t \in H^0(\mathbb{P}(E), \mathcal{M}_2)$. In particular, both $H^0(\mathbb{P}(E), \mathcal{M}_1)$ and $H^0(\mathbb{P}(E), \mathcal{M}_2)$ have to be non-zero. By [Har77, Exercise II.7.4] we can write $\mathcal{M}_i \cong p^*\mathcal{L}_i(l_i)$ with $l_1 + l_2 = 2$. In fact, we must have $0 \leq l_i \leq 2$, because using again the projection formula we have

$$H^0(\mathbb{P}(E), p^*\mathcal{L}_i(l_i)) \cong H^0(M, \mathcal{L}_i \otimes p_*\mathcal{O}(l_i))$$

and $p_*\mathcal{O}(l) = 0$ for all $l < 0$ [Har77, Exercise III.8.4]. So we only have the following three possibilities:

- a) $l_1 = 0$;
- b) $l_1 = 1$;
- c) $l_1 = 2$.

Let us start with case a). Let $p^*s \in H^0(\mathbb{P}(E), p^*\mathcal{L}) \cong H^0(M, \mathcal{L})$ be a global section corresponding to the fixed component of our linear system. Dividing all global sections by s and by p^*s respectively we obtain the following commutative diagram:

$$\begin{array}{ccc} H^0(M, \text{End}_0(\mathcal{E}) \otimes \omega) & \xrightarrow{\cong} & H^0(\mathbb{P}(E), p^*(\omega \otimes \Lambda^2 \mathcal{E})(2)) \\ \downarrow /s \cong & & \downarrow /p^*s \cong \\ H^0(M, \text{End}_0(\mathcal{E}) \otimes \omega \otimes \mathcal{L}^*) & \xrightarrow{\cong} & H^0(\mathbb{P}(E), p^*(\mathcal{L}^* \otimes \omega \otimes \Lambda^2 \mathcal{E})(2)) \end{array}$$

By definition, the new linear system does not have any fixed divisors and has the same dimension. Hence we can apply Bertini to conclude that a generic $\Phi' \in H^0(M, \text{End}_0(\mathcal{E}) \otimes \omega \otimes \mathcal{L}^*)$ does not have invariant line bundles, which in this case are defined as line bundles $N \subseteq E$ such that $\Phi'(N) \subseteq N \otimes K \otimes L^*$. But a line bundle $N \subseteq E$ is Φ' -invariant if and only if it is $s\Phi'$ -invariant, so we have $E \in \mathbf{A}$ in this case.

We move on to case b). Assume that the fixed divisor corresponds to a non-zero global section $s \in H^0(\mathbb{P}(E), p^*\mathcal{L}(1))$. This corresponds to a non-zero morphism $E \rightarrow L$. The fibre-wise kernel has then dimension 1 generically and 2 at special points by upper semi-continuity [Ati89, Proposition 1.3.2]. Hence we can find a line bundle $N \subseteq \text{Ker}(s) \subseteq E$, which can be described as the largest line subbundle of E contained in the kernel of s . If $v \in N$ is a non-zero vector, then $s(v) = 0$

and so $[v] \in \operatorname{div}(s) \subseteq \operatorname{div}(\alpha(\Phi))$. Thus the corresponding section $\sigma(M) \subseteq \mathbb{P}(E)$ is contained in $\operatorname{div}(\alpha(\Phi))$ for all Φ and N is Φ -invariant for all Φ .

In case c), the fixed divisor corresponds to a non-zero global section of $p^*\mathcal{L}(2)$. We have

$$H^0(\mathbb{P}(E), p^*\mathcal{L}(2)) \cong H^0(M, \mathcal{L} \otimes S^2\mathcal{E}^*) \cong H^0(M, \operatorname{End}_0(\mathcal{E}) \otimes \mathcal{L} \otimes \Lambda^2\mathcal{E}^*).$$

So we can think of the fixed global section s as a traceless endomorphism of E with coefficients in $L \otimes \Lambda^2 E^*$. With this point of view, s -invariance of a line bundle $N \subseteq E$ translates into $s\Phi'$ -invariance of $N \subseteq E$ as before, where $s\Phi'$ is a Higgs field. Let us see that the fixed section s has some non-trivial kernel, hence defining a line bundle invariant under all Higgs fields as in the previous case. To show that there is some non-trivial kernel, it suffices to check that $\det(s) = 0$. Since s is traceless, it suffices in turn to check that $\operatorname{tr}(s^2) = 0$. Suppose on the contrary that $\operatorname{tr}(s^2) \neq 0$. Fix some non-zero $s_1 \in H^0(M, \mathcal{L}^* \otimes \omega \otimes \Lambda^2\mathcal{E})$ and consider the linear map

$$\begin{aligned} \beta: H^0(M, \mathcal{L}^* \otimes \omega \otimes \Lambda^2\mathcal{E}) &\longrightarrow H^0(M, \omega^2) \\ \Phi' &\longmapsto \operatorname{tr}(s^2)s_1\Phi' \end{aligned}$$

Since $\operatorname{tr}(s^2)s_1$ can only vanish at finitely many points, the image of a non-zero Φ' can only vanish at finitely many points, hence β is injective. But from the previous Riemann–Roch computation we know that

$$h^0(M, \mathcal{L}^* \otimes \omega \otimes \Lambda^2\mathcal{E}) \geq 3g - 3 = h^0(M, \omega^2),$$

so we have a contradiction. This shows that s has non-trivial kernel and thus defines a line bundle $N \subseteq E$ invariant by all $\Phi \in H^0(M, \operatorname{End}_0(\mathcal{E}) \otimes \omega)$.

This concludes the first part of the proof. We have shown that

$$\mathbf{Vec}_2(M) = \mathbf{A} \sqcup \mathbf{B}.$$

The next step is to show that if $E \in \mathbf{Vec}_2(M)$ is stable, then it is in **A**. By the previous step of the proof it suffices to show that it is not in **B**. So let E be a stable rank 2 vector bundle on M and assume $L \subseteq E$ is a line bundle which is Φ -invariant for all $\Phi \in H^0(M, \operatorname{End}_0(\mathcal{E}) \otimes \omega)$. \square

REFERENCES

- [Ati89] M. F. Atiyah. *K-theory*. Advanced Book Classics. Addison-Wesley Publishing Company, Advanced Book Program, Redwood City, CA, second edition, 1989. Notes by D. W. Anderson. [↑](#) [3](#), [6](#)
- [Har77] R. Hartshorne. *Algebraic geometry*. Springer-Verlag, New York-Heidelberg, 1977. Graduate Texts in Mathematics, No. 52. [↑](#) [2](#), [4](#), [5](#), [6](#)

- [Hit87] N. J. Hitchin. The self-duality equations on a Riemann surface. *Proc. London Math. Soc. (3)*, 55(1):59–126, 1987. [↑](#) [1](#), [2](#)
- [Iit82] Shigeru Iitaka. *Algebraic geometry*, volume 76 of *Graduate Texts in Mathematics*. Springer-Verlag, New York-Berlin, 1982. An introduction to birational geometry of algebraic varieties, North-Holland Mathematical Library, 24. [↑](#) [6](#)
- [Kob87] Shoshichi Kobayashi. *Differential geometry of complex vector bundles*, volume 15 of *Publications of the Mathematical Society of Japan*. Princeton University Press, Princeton, NJ; Princeton University Press, Princeton, NJ, 1987. Kanô Memorial Lectures, 5. [↑](#) [1](#)
- [Voi02] Claire Voisin. *Hodge theory and complex algebraic geometry. I*, volume 76 of *Cambridge Studies in Advanced Mathematics*. Cambridge University Press, Cambridge, 2002. Translated from the French original by Leila Schneps. [↑](#) [2](#)
- [Wen14] Richard A. Wentworth. Higgs bundles and local systems on riemann surfaces, 2014. [↑](#) [1](#)
- [Wen16] Richard Wentworth. *Higgs Bundles and Local Systems on Riemann Surfaces*, pages 165–219. Springer International Publishing, Cham, 2016. [↑](#) [1](#)

PEDRO NÚÑEZ, MATHEMATISCHES INSTITUT, ALBERT-LUDWIGS-UNIVERSITÄT FREIBURG, ERNST-ZERMELO-STRASSE 1, 79104 FREIBURG IM BREISGAU, GERMANY

Email address: pedro.nunez@math.uni-freiburg.de

URL: <https://home.mathematik.uni-freiburg.de/nunez>