A CONFORMAL SYMPLECTIC WEINSTEIN CONJECTURE

YASHA SAVELYEV

Abstract. We introduce a direct generalization of the Weinstein conjecture to closed, exact, locally conformally symplectic manifolds, (for short lcs manifolds). This conjectures existence of certain 2-curves in the manifold, we call Reeb 2-curves. The conjecture readily holds for all surfaces. In higher dimensions, we give partial verifications of this conjecture, based on certain extended ($\mathbb{Q} \sqcup \{\pm\infty\}$ valued) Gromov-Witten, elliptic curve counts in lcs manifolds. As a basic application we get some novel results in classical Reeb dynamics.

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1. Introduction: Overview

A locally conformally symplectic manifold or lcs manifold for short, is a natural direct generalization of both symplectic and contact manifolds. The main goal here is to study an lcs variant of a

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very influential conjecture in contact geometry and dynamics: the Weinstein conjecture. The latter conjectures existence of closed orbits of the Reeb flow for any contact form on a closed manifold. This is now proved for contact three manifolds by Taubes [27].

Definition 1.1. *A locally conformally symplectic manifold or just* lcs *manifold, is a smooth $2n$-fold M with an* lcs *structure: which is a non-degenerate 2-form ω, with the property that for every $p \in M$ there is an open $U \ni p$ such that $\omega|_U = f_U \cdot \omega_U$, for some symplectic form ω_U defined on U and some smooth positive function f_U on U.*

These kinds of structures were originally considered by Lee in [12], arising naturally as part of an abstract study of "a kind of even dimensional Riemannian geometry", and then further studied by a number of authors see for instance, [2] and [28]. This is a fascinating object, an lcs manifold admits all the interesting classical notions of a symplectic manifold, like Lagrangian submanifolds and Hamiltonian dynamics, while at the same time forming a much more flexible class. For example Eliashberg and Murphy show that if a closed almost complex $2n$-fold M has $H^1(M, \mathbb{R}) \neq 0$ then it admits a lcs structure, [7]. As constructed, these lcs structures are Lichnerowitz exact (see (2.1)). Another result of Apostolov, Dloussky [1] is that any complex surface with an odd first Betti number admits an lcs structure, which tames the complex structure. In this case the corresponding lcs structures are generally non-exact.

We will state an analogue of the Weinstein conjecture for exact lcs manifolds: "a conformal symplectic Weinstein conjecture", or just CSW conjecture for short. We shall then give partial verifications using suitably extended ($\mathbb{Q} \sqcup \{\pm\infty\}$ valued) Gromov-Witten theory, counting certain elliptic curves, and which has some connections to the Fuller index in dynamical systems theory. Finally, we shall develop some applications in Reeb dynamics. Here is one such basic application.

For more details on the Fuller index and explanation of the notation and terminology see Appendix A. Let λ be a contact form on a closed manifold C and let $i(N, R^\lambda, \beta)$ denote the Fuller index of some set $N \subset \mathcal{O}(R^\lambda)$ of unparametrized orbits of the Reeb vector field R^λ, in class $\beta \in \pi_1(C)$. For example, for the standard contact form λ_{st} on S^{2n+1} any connected component N of the orbit space is good (as defined) and we have $i(N, R^\lambda, 0) \neq 0$. Then as a partial corollary of Theorem 2.16 and Theorem 2.12 we get:

Theorem 1.2. *Let (C, λ) be a contact manifold satisfying $i(N, R^\lambda, \beta) \neq 0$, for some good N, and some β. Then there is an $\epsilon > 0$ s.t any strict contactomorphism $\phi : (C, \lambda) \to (C, \lambda)$, C^∞ ϵ-close to id, fixes some Reeb orbit (up to the reparametrization S^1 action).*

This theorem is evidently true for (S^3, λ_{st}), because the unparametrized orbit space $\mathcal{O}(R^{\lambda_{st}})$ has components N diffeomorphic to S^2, and a strict contactomorphism induces an area preserving map of these components. (The area form comes from symplectic reduction). So that for the Hopf contact form the result follows for all strict contactomorphisms by the Franks theorem. However, in general, even with the ϵ condition the above is not intuitively clear. For example, the components N of $\mathcal{O}(R^\lambda)$ can be far from manifolds, so we can't easily look for a fixed point condition. Of course, the argument of this paper has a very different approach.

The Gromov-Witten theory for lcs manifolds has some intriguing new difficulties. The first problem that occurs is that a priori energy bounds are gone, as since ω is not necessarily closed, the L^2-energy can now be unbounded on the moduli spaces of J-holomorphic curves in such a (M, ω). A more acute problem is the potential presence of holomorphic sky catastrophes - given a smooth family $\{J_t\}$, $t \in [0, 1]$, of $\{\omega_t\}$-compatible almost complex structures, we may have a continuous family $\{u_t\}$ of J_t-holomorphic curves s.t. energy$(u_t) \mapsto \infty$ as $t \mapsto a \in (0, 1)$ and s.t. there are no J-holomorphic curves for $t \geq a$. This potential phenomenon is an analogue for holomorphic curves, of sky catastrophes discovered by Fuller [11], for closed orbits of dynamical systems.

Remark 1.3. One way to sidestep the above difficulties is to construct an lcs homology theory. Most geometric ingredients for this are already contained in this paper. For example generators should be Reeb 2-curves/elliptic Reeb 2-curves, which are part of the statement of the CSW conjecture.

2. Introduction: Background and Statements

To see the connection with the first cohomology group $H^1(M, \mathbb{R})$, mentioned above, let us point out right away the most basic invariant of a lcs structure ω, when M has dimension at least 4. This is the Lee class, $\alpha = \alpha_\omega \in H^1(M, \mathbb{R})$. This class has the property that on the associated α-covering space (see proof of Theorem 3.5) $\widetilde{M}$, the lift $\widetilde{\omega}$ is globally conformally symplectic. Thus, an lcs form is globally conformally symplectic, that is diffeomorphic to $f \cdot \omega'$, with ω' symplectic, $f > 0$, iff its Lee class vanishes.

Again assuming M has dimension at least 4, the Lee class α has a natural differential form representative, called the Lee form, which is defined as follows. We take a cover of M by open sets U_a in which $\omega = f_a \cdot \omega_a$ for ω_a symplectic, and f_a a positive smooth function. Then we have 1-forms $d(\ln f_a)$ in each U_a, which glue to a well-defined closed 1-form on M, as shown by Lee. We may denote this 1-form and its cohomology class both by α. It is moreover immediate that for an lcs form ω,

$$d\omega = \alpha \wedge \omega,$$

for α the Lee form as defined above.

As we mentioned lcs manifolds can also be understood to generalize contact manifolds. This works as follows. First we have a class of explicit examples of lcs manifolds, obtained by starting with a symplectic cobordism (see [7]) of a closed contact manifold C to itself, arranging for the contact forms at the two ends of the cobordism to be proportional (which can always be done) and then appropriately gluing together the boundary components. As a particular case of this we get Banyaga's basic example below.

Terminology 1. For us a contact manifold is a pair (C, λ) where C is a closed manifold and λ a contact form: $\forall p \in C : \lambda \wedge \lambda^{2n}(p) \neq 0$. This is not a completely common terminology as classically it is the equivalence class of (C, λ) that is called a contact manifold, where $(C, \lambda) \sim (C, \lambda')$ if $\lambda = f\lambda'$ for f a positive function. (Given that C is oriented and the contact structure, in the classical sense, is co-oriented.) A contactomorphism between (C_1, λ_1), (C_2, λ_2) is a diffeomorphism $\phi : C_1 \to C_2$ s.t. $\phi^* \lambda_2 = f \lambda_1$ for some $f > 0$. It is called strict if $\phi^* \lambda_2 = \lambda_1$.

Example 1 (Banyaga). Let (C, λ) be a contact manifold and take $M = C \times S^1$ with 2-form

$$\omega_\lambda = d_\alpha \lambda := d\lambda - \alpha \wedge \lambda,$$

for $\alpha := pr_{S^1}^* d\theta$, $pr_{S^1} : C \times S^1 \to S^1$ the projection, and λ likewise the pull-back of λ by the projection $C \times S^1 \to C$. We call (M, ω_λ) as above the ***lcs-fication*** of (C, λ). This is also a basic example of a first kind lcs manifold, as in Definition 2.5 ahead.

The operator

$$d_\alpha : \Omega^k(M) \to \Omega^{k+1}(M) \tag{2.1}$$

is called the Lichnerowicz differential with respect to a closed 1-form α, and it satisfies $d_\alpha \circ d_\alpha = 0$ so that we have an associated Lichnerowicz chain complex.

We assume from now on, unless explicitly stated otherwise, that our lcs manifolds have dimension at least 4.

Definition 2.2. *An* **exact lcs structure** *on M is a pair of one forms (λ, α) with α a closed 1-form, s.t. $\omega = d_\alpha \lambda$ is non-degenerate. We may also denote an exact lcs structure simply by the lcs form ω when α and λ are implicit.*

An exact lcs structure determines a generalized distribution $\mathcal{V}_\lambda$ on M:

$$\mathcal{V}_\lambda(p) = \{v \in T_pM | d\lambda(v, \cdot) = 0\},$$

which we call the ***vanishing distribution***. We also define a generalized distribution ξ_λ that is the ω-orthogonal complement to $\mathcal{V}_\lambda$, which we call ***co-vanishing distribution***. For each $p \in M$, $\mathcal{V}_\lambda(p)$ has dimension at most 2 since $d\lambda - \alpha \wedge \lambda$ is non-degenerate. If M^{2n} is closed $\mathcal{V}_\lambda$ cannot identically vanish since $(d\lambda)^n$ cannot be non-degenerate by Stokes theorem.

Definition 2.3. *A* **conformal symplectomorphism** *of lcs manifolds $\phi : (M_1, \omega_1) \to (M_2, \omega_2)$ is a diffeomorphism ϕ s.t. $\phi^* \omega_2 = f \omega_1$ where f is a positive function on M.*

Remark 2.4. It is important to note that for us the pair (λ, α) is the structure not its conformal symplectomorphism class, as in for example [2]. In other words conformally symplectomorphic structures on a given manifold determine distinct but isomorphic objects of our category, whose objects are lcs manifolds and morphisms conformal symplectomorphisms.

Definition 2.5. *Let (M, λ, α) be an exact lcs manifold. If α is rational, respectively irrational we call the lcs structure* **rational**, *respectively* **irrational**. *If α is integral we call the lcs structure* **integral**. *If $\mathcal{V}$ is non-zero at each point of M, in particular is a smooth 2-distribution, then such an* lcs *manifold is called* **first kind**.

A typical example of an lcs structure of the first kind is the mapping torus of a strict contactomorphism, see Banyaga [2]. If (M, λ, α) is closed, first kind and rational, then it is conformally symplectomorphic to a mapping torus as above, see [3]. Note that of course a conformal symplectomorphism does not preserve the vanishing distribution, just as a contactomorphism will not preserve the Reeb distribution. So that the above equivalence is of limited use, particularly in the context of conformal symplectic Weinstein conjecture below.

2.1. **Conformal symplectic Weinstein conjecture.** As previously mentioned lcs manifolds can be understood to generalize both symplectic and contact manifolds. There are two very influential conjectures in these two respective areas: the Arnold conjecture and the Weinstein conjecture. The statement of Arnold conjecture on fixed points of a symplectomorphisms can be directly generalized to lcs manifolds, but it is very easy to construct counterexamples using Banyaga's example above: there are Hamiltonian conformal symplectomorphisms of the lcs-fication of the standard contact S^3, with no fixed points. (We leave this to the reader as an exercise.) For one further discussion of the Arnold conjecture in this context see [4]. We are instead interested here in extending the Weinstein conjecture.

Definition 2.6. *Let (M, λ, α) be an exact* lcs *structure and $\omega = d_\alpha \lambda$. Define X_λ by $\omega(X_\lambda, \cdot) = \lambda$ and X_α by $\omega(X_\alpha, \cdot) = \alpha$. Let $\mathcal{D}$ denote the (generalized) distribution spanned by X_α, X_λ, meaning $\mathcal{D}(p) := \operatorname{span}(X_\alpha(p), X_\lambda(p))$. This will be called the* **canonical distribution**.

The distribution $\mathcal{D}$ is one analogue for exact lcs manifolds of the Reeb distribution on contact manifolds. A Reeb 2-curve, as defined ahead, will be a certain kind of singular leaf of $\mathcal{D}$, and so is a kind of 2-dimensional analogue of a Reeb orbit.

Definition 2.7. *Let Σ be a nodal Riemann surface (the set of nodes is empty or not). Let $u : \Sigma \to M$ be a smooth map and let $\widetilde{u} : \widetilde{\Sigma} \to M$ be its normalization (see Definition 6.3). We say that u is a* **Reeb 2-curve** *in (M, λ, α), if the following is satisfied:*

(1) *For each $z \in \widetilde{\Sigma}$, $\widetilde{u}_*(T_z \widetilde{\Sigma}) = \mathcal{D}(\widetilde{u}(z))$, whenever $d\widetilde{u}(z) : T_z \Sigma \to T_{\widetilde{u}(z)} M$ is non-singular, and $\dim \mathcal{D}(\widetilde{u}(z)) = 2$.*
(2) $0 \neq [u^* \alpha] \in H^1(\Sigma, \mathbb{R})$.
(3) *The set of critical points of $\widetilde{u}$ is finite.*

Conjecture 1 (CSW conjecture)**.** *A closed exact lcs manifold (M, λ, α) has a Reeb 2-curve.*

Theorem 2.8. *Conjecture 1 implies the Weinstein conjecture: every closed contact manifold (C, λ) has a closed Reeb orbit, i.e. there is a smooth map $o : S^1 \to C$ such that*

$$o'(t) = cR^\lambda(o(t)),$$

for some $c > 0$ called period, where R^λ is the Reeb vector field satisfying

$$d\lambda(R^\lambda, \cdot) = 0, \quad \lambda(R^\lambda) = 1.$$

The following is very elementary, see Section 6.

Theorem 2.9. *CSW conjecture holds for closed surfaces.*

To give more examples, we quickly introduce the relevant spaces of lcs structures.

Definition 2.10. *Define* **the set** $\mathcal{L}(M)$ **of exact** lcs **structures on** M*, to be:*

$$\mathcal{L}(M) = \{(\beta, \gamma) \in \Omega^1(M) \times \Omega^1(M) \,|\, \gamma \text{ is closed, } d_\gamma \beta \text{ is non-degenerate}\}.$$

Define $\mathcal{F}(M) \subset \mathcal{L}(M)$ *to be subset of (possibly irrational) first kind lcs structures.*

In what follows we use the following C^k metric on $\mathcal{L}(M)$. For $(\lambda_1, \alpha_1), (\lambda_2, \alpha_2) \in \mathcal{L}(M)$ define:

$$d_k((\lambda_1, \alpha_1), (\lambda_2, \alpha_2)) = d_{C^k}(\lambda_1, \lambda_2) + d_{C^k}(\alpha_1, \alpha_2), \tag{2.11}$$

where d_{C^k} on the right side is the usual C^k metric.

The following theorems are proved in Section 6, based on the theory of elliptic pseudo-holomorphic curves in M.

Theorem 2.12. *Let* (C, λ) *be a contact manifold, with at least one non-degenerate Reeb orbit. Or more generally satisfying* $i(N, R^\lambda, \beta) \neq 0$ *where the latter is the Fuller index of some good set* N *of orbits of* R^λ*, in class* β *see Appendix A. Then we have the following:*

1. *Conjecture 1 holds for some* d_3 *neighborhood of the* lcs*-fication* (λ, α) *in the space* $\mathcal{F}(M = C \times S^1)$*.*
2. *The corresponding Reeb 2-curve* $u : \Sigma \to M$ *can be assumed to be* **elliptic** *meaning that* Σ *is elliptic (more specifically: a nodal, topological genus 1, closed, connected Riemann surface).*
3. u *can also be assumed to be charge 1 (see Definition 3.3)*
4. *If* M *in addition has dimension 4 then* u *can be assumed to be embedded and normal (the set of nodes is empty).*

Definition 2.13. *We say that a pair of exact lcs forms* (λ_0, α_0)*,* (λ_1, α_1) *are* **formally homotopic** *if there is a* C^0 *continuous family of non-degenerate 2-forms* $\{\omega_t\}$*,* $t \in [0, 1]$*, with* $\omega_0 = d_{\alpha_1}\lambda_1$*,* $\omega_2 = d_{\alpha_2}\lambda_2$ *and an extension of* α_0*,* α_1 *to a* C^0 *continuous family of closed 1-forms* $\{\alpha_t\}$*,* $t \in [0, 1]$*. We say that they are* **rationally** *formally homotopic if the forms* α_t*, above, are rational.*

Theorem 2.14. *Let* (C, λ) *be a contact manifold s.t. the extended Fuller index of the Reeb vector field satisfies*

$$i(R^\lambda, \beta) \neq 0 \in \mathbb{Q} \sqcup \{\pm\infty\},$$

for some class β*, (see Appendix A.) Let* (M, λ, α) *be the lcs-fication of* (C, λ)*. Then either there is an elliptic charge 1 Reeb 2-curve for every rational first kind* lcs *structure on* M*, rationally formally homotopic to* $\omega_0 = d_\alpha\lambda$*, or holomorphic sky catastrophes exist, (the latter are further discussed in Section 3.3). In addition, in the case of the first alternative, if* M *has dimension 4 then the elliptic Reeb 2-curve can be assumed to be normal, embedded and charge 1.*

Remark 2.15. The rationality assumption above can likely be removed, but then we lose control over the charge. This would make the algebra for the Gromov-Witten invariants more difficult.

Example 2. Take $C = S^{2k+1}$ and $\lambda = \lambda_H$ the standard (Hopf) contact structure. We call its lcs-fication the ***standard or Hopf lcs structure*** on $C \times S^{2k+1}$. Then $i(R^\lambda, 0) = \pm\infty$, (sign depends on k), [24]. Or take C to be unit cotangent bundle of a hyperbolic manifold (X, g), λ the associated Liouville form, and (λ, α) the associated Banyaga lcs structure, in this case $i(R^\lambda, \beta) = \pm 1$ for every $\beta \neq 0$.

The above examples motivate us to state a special version of this conjecture for first kind lcs manifolds.

Conjecture 2. *Let* (M, λ, α) *be a closed first kind lcs manifold, then there is an elliptic Reeb 2-curve in* M*. In addition if* M *has dimension 4 then the elliptic Reeb 2-curve can be assumed to be normal and embedded.*

We will call this ***elliptic Weinstein conjecture***, and we will discuss some consequences of this in Section 2.3.

2.2. **Fuller vs Gromov-Witten.** As indicated by the above, there is a connection of the classical Fuller index with the Gromov Witten theory. In a very particular situation this relationship becomes perfect as, Theorem 5.5 equates the (extended) Fuller index for Reeb vector fields on a contact manifold C, to a certain (extended) genus 1 Gromov-Witten invariant of the Banyaga lcs manifold $C \times S^1$, see Example 1. The latter also gives a conceptual interpretation for why the Fuller index is rational, as it is reinterpreted as an (virtual) orbifold Euler number.

2.3. **Applications to Reeb dynamics.**

Theorem 2.16. *Assume elliptic Weinstein conjecture for rational first kind lcs manifolds. Let $\phi : (C, \lambda) \to (C, \lambda)$ be a strict contactomorphism of closed contact manifolds, then there is an $n > 0$, and a closed λ-Reeb orbit o s.t.:*

$$\phi^n(o) = o,$$

up to the reparametrization action of S^1. (In other words $\mathrm{image}\, \phi^n(o) = \mathrm{image}\, o$*.)*

Remark 2.17. It is not hard to see that allowing $n \neq 1$ is necessary. Take λ to be the perturbation of the Hopf contact form on S^3, with two geometrically distinct simple Reeb orbits. If the perturbation is well chosen there is a strict contactomorphism taking one orbit to the other, so that we need $n = 2$ in this case.

We have already discussed, in the first part of the introduction, one basic partial corollary of this theorem, that is Theorem 1.2. We now give a more general version.

Definition 2.18. *We say that a pair of strict contactomorphisms $\phi_1, \phi_2 : (C, \lambda_1) \to (C, \lambda_2)$ are* **formally homotopic** *if the exact lcs structures on the mapping tori M_{ϕ_1}, M_{ϕ_2} (see proof of Theorem 2.16) are rationally formally homotopic.*

Theorem 2.19. *Suppose that the extended Fuller index satisfies:*

$$i(R^\lambda, \beta) \neq 0 \in \mathbb{Q} \sqcup \{\pm\infty\}.$$

Then for any strict contactomorphism $\phi : C \to C$ formally homotopic to the identity, either $\phi^n(o) = o$ (up to the S^1 action) for some closed orbit o and some $n > 0$, or holomorphic sky catastrophes exist (generically).

2.3.1. *Reeb Tori.* There is another novel dynamical consequence. Suppose that we have an S^1-family $\{\lambda_t\}$, $t \in S^1 = \mathbb{R}/\mathbb{Z}$, of contact forms on a closed manifold C. We may ask: when does there exist a smooth map $u : S^1 \times S^1 \to C$, and a map $g : S^1 \to S^1$ s.t. for all t the image of $u|_{S^1 \times \{t\}}$ is the image of a $\lambda_{g(t)}$-Reeb orbit? We call this a ***smooth Reeb torus*** for $\{\lambda_t\}$. Even if the Weinstein conjecture holds, in general there may not be such a u. In fact there may not even be a u s.t. the above condition is satisfied for all but finitely many t. See the following example.

Example 3. Let $C = S^3$ and λ the Hopf contact form. The latter form is Morse-Bott. We set $\lambda_0 = \lambda$, $\lambda_{\frac{1}{2}} = \lambda$, then extend to a family $\{\lambda_t\}$, so that λ_t is non-degenerate for $t \in (0, \frac{1}{2})$, and for $t \in (\frac{1}{2}, 1)$. If the extension is appropriately chosen there will be no smooth Reeb tori (or even continuous). Moreover, the family $\{\lambda_t\}$ can be chosen to be C^∞ close to the constant family $\{\lambda_t = \lambda\}$. For details on how to construct such a deformation see for instance [24, Proof of Proposition 2.12].

On the other hand we have:

Theorem 2.20. *Assume elliptic Weinstein conjecture for rational first kind lcs 4-manifolds. Let $\{\lambda_t\}$, $t \in S^1$, be as above a circular family of contact forms on a closed 3-manifold. Suppose that $\{\lambda_t\}$ extends to a first kind lcs structure $(\lambda, \alpha = d\theta)$ on $M = C \times S^1$, meaning that $\lambda|_{M_t} = \lambda_t$, where $M_t = C \times \{t\}$. Then there is a smooth Reeb torus for $\{\lambda_t\}$. (In particular, this applies in special cases where the elliptic Weinstein conjecture holds as given by Theorems 2.12, 2.14).*

As one concrete corollary we get:

Corollary 2.21 (Direct corollary of Theorem 2.20, 2.12)**.** *Let (C, λ) be a contact 3-manifold with at least one non-degenerate Reeb orbit. Or more generally satisfying $i(N, R^\lambda, \beta) \neq 0$ for some N, β. Then there is an $\epsilon > 0$, depending on λ so that the following holds. Let $\{\lambda_t\}$, $t \in S^1$, be as above a circular family of contact forms on a closed 3-manifold. Suppose that $\{\lambda_t\}$ extends (as above) to a rational first kind lcs structure on $M = C \times S^1$, d_3 ϵ-close to the lcs-fication of (C, λ). Then there is a smooth Reeb torus for $\{\lambda_t\}$.*

Since the Example 3 above says that without the lcs condition this theorem fails even with respect to C^∞ topology, this can be understood as one example of "lcs rigidity", (in the first kind setting).

2.4. **Reeb 1-curves.**

Definition 2.22. *We say that a smooth map $o : S^1 \to M$ is a* **Reeb 1-curve** *in (M, λ, α) if*

$$\forall t \in S^1 : (\lambda(o'(t)) > 0) \wedge (o'(t) \in \mathcal{D}).$$

The CSW conjecture has implications for existence of Reeb 1-curves.

Theorem 2.23. *Suppose that (M, λ, α) is a closed exact lcs manifold satisfying "*Reeb condition*" $\lambda(X_\alpha) > 0$. If (M, λ, α) has an immersed Reeb 2-curve then it also has a Reeb 1-curve. Furthermore, if it has an immersed elliptic Reeb 2-curve, then it is normal.*

We have an immediate corollary of Theorem 2.12 and Theorem 2.23.

Corollary 2.24. *Let λ be a contact form, on closed 3-manifold C, with at least one non-degenerate Reeb orbit, or more generally satisfying $i(N, R^\lambda, \beta) \neq 0$. Then there is a d_3 neighborhood U of the* lcs*-fication (λ, α) in the space $\mathcal{F}(M = C \times S^1)$, s.t. for each $(\lambda', \alpha') \in U$ there is a Reeb 1-curve.*

As we have seen the ideas behind the above conjectures already give some applications. The main future problem we have in mind is to develop non-squeezing in lcs geometry, cf. [25]. The contact non-squeezing [6] is closely connected to the theory or Reeb orbits, so that it is likely that in the lcs analogue we will need something like Reeb 2-curves, whose theory is developed here.

3. Pseudoholomorphic curves in lcs manifolds

First kind lcs manifolds give immediate examples of almost complex manifolds where the L^2 energy functional is unbounded on the moduli spaces of fixed class J-holomorphic curves, as well as where null-homologous J-holomorphic curves can be non-constant. We are going to see this shortly after developing a more general theory.

Definition 3.1. *Let (M, λ, α) be an exact lcs manifold, satisfying the* **Reeb condition***: $\omega(X_\lambda, X_\alpha) = \lambda(X_\alpha) > 0$, where $\omega = d_\lambda \alpha$. In this case, $\mathcal{D}$ is a 2-dimensional distribution, and we say that an ω-compatible J is ω*-**admissible** *if:*

- *J preserves the canonical distribution $\mathcal{D}$ and preserves the ω-orthogonal complement $\mathcal{D}^\perp$ of $\mathcal{D}$. That is $J(V) \subset \mathcal{D}$ and $J(\mathcal{D}^\perp) \subset \mathcal{D}^\perp$.*
- *$d\lambda$ tames J on $\mathcal{D}^\perp$.*

Admissible J exist by classical symplectic geometry, and the space of such J is contractible see [17]*. We call (λ, α, J) as above a* **tamed exact** lcs **structure***, and (ω, J) is called a tamed exact* lcs *structure if $\omega = d_\alpha \lambda$, for (λ, α, J) a tamed exact* lcs *structure. In this case (M, ω, J), (M, λ, α, J) will be called a* **tamed exact** lcs **manifold**.

Example 4. If (M, λ, α) is first kind then $\omega(X_\lambda, X_\alpha) = 1$ everywhere. In particular, we may find a J so that (λ, α, J) is a tamed exact lcs structure, and the space of such J is contractible. We will call (M, λ, α, J) a ***tamed first kind*** lcs manifold.

Lemma 3.2. *Let (M, λ, α, J) be a tamed first kind lcs manifold. Then given a smooth $u : \Sigma \to M$, where Σ is a closed (nodal) Riemann surface, u is J-holomorphic only if*

$$\operatorname{image} d\widetilde{u}(z) \subset \mathcal{V}_\lambda(\widetilde{u}(z))$$

for all $z \in \widetilde{\Sigma}$, where $\widetilde{u} : \widetilde{\Sigma} \to M$ is the normalization of u (see Definition 6.3). In particular $\widetilde{u}^* d\lambda = 0$.

Proof. As previously observed, by the first kind condition, $\mathcal{V}_\lambda$ is the span of X_λ, X_α and hence

$$V := \mathcal{V}_\lambda = \mathcal{D}_\lambda.$$

Let u be J-holomorphic, so that $\widetilde{u}$ is J-holomorphic (by definition of a J-holomorphic nodal map). We have

$$\int_\Sigma \widetilde{u}^* d\lambda = 0$$

by Stokes theorem. Let $proj(p) : T_pM \to V^\perp(p)$ be the projection induced by the splitting $TM = V \oplus V^\perp$. Then if for some $z \in \widetilde{\Sigma}$, $proj \circ d\widetilde{u}(z) \neq 0$, since J is tamed by $d\lambda$ on $V^\perp$ and since J preserves the splitting, we would have $\int_{\widetilde{\Sigma}} \widetilde{u}^* d\lambda > 0$. Thus,

$$\forall z \in \widetilde{\Sigma} : proj \circ d\widetilde{u}(z) = 0,$$

so

$$\forall z \in \widetilde{\Sigma} : \operatorname{image} d\widetilde{u}(z) \subset \mathcal{V}_\lambda(\widetilde{u}(z)).$$

$\square$

Example 5. Let $(C \times S^1, \lambda, \alpha)$ be the lcs-fication of a contact manifold (C, λ). In this case

$$X_\alpha = (R^\lambda, 0),$$

where R^λ is the Reeb vector field and

$$X_\lambda = (0, \frac{d}{d\theta})$$

is the vector field generating the natural action of S^1 on $C \times S^1$.

If we denote by $\xi \subset T(C \times S^1)$ the distribution $\xi(p) = \ker \lambda(p)$, then in this case $\xi = V^\perp$ in the notation above.

We take J to be an almost complex structure on ξ, which is S^1 invariant, and compatible with $d\lambda$. The latter means that

$$g_J(\cdot, \cdot) := d\lambda|_\xi(\cdot, J\cdot)$$

is a J invariant Riemannian metric on the distribution ξ.

There is an induced almost complex structure J^λ on $C \times S^1$, which is S^1-invariant, coincides with J on ξ and which satisfies:

$$J^\lambda(X_\alpha) = X_\lambda.$$

Then $(C \times S^1, \lambda, \alpha, J^\lambda)$ is a tamed first kind lcs manifold.

3.1. **Moduli of Pseudo-holomorphic curves in an lcs manifold.** We now consider a moduli space of holomorphic tori in $C \times S^1$, which have a certain charge, an analogue of this charge condition is also studied Oh-Wang [21]. Partly, the reason for introduction of "charge" is that it is now possible for non-constant holomorphic curves to be null-homologous, so we need additional control. Here is a simple example: take $S^3 \times S^1$ with $J = J^\lambda$, for the λ the standard contact form, then all the Reeb holomorphic tori (as defined further below) are null-homologous. In some cases we can just work with homology classes $A \neq 0$, and ignore charge conditions, but in many of our examples $A = 0$.

Definition 3.3. *Let (M, ω) be an* lcs *manifold and α its Lee class, which we suppose is rational. Let $m \in \mathbb{N}$ be the minimal positive integer s.t. $m \cdot \alpha$ is integral. Let $u : T^2 \to M$ be a continuous map. Suppose that $H_1(T^2, \mathbb{Z})$ is generated by ρ, γ satisfying:*

$$\langle \rho, u_*(m\,\alpha) \rangle = n \in \mathbb{N},$$
$$\langle \gamma, u_*(m\,\alpha) \rangle = 0,$$

then we call n the **charge of** *u.*

It is easy to see that n if exists is uniquely determined. Moreover, it is a matter of basic topology to verify that such a ρ, γ, n always exist. This notion of charge readily extends to nodal curves, that is maps $u : \Sigma \to M$ with Σ a nodal elliptic curve. In addition the charge condition is preserved under Gromov convergence. This is all elementary and we will not elaborate.

Let Σ be a complex torus with a chosen marked point $z \in \Sigma$, i.e. an elliptic curve over $\mathbb{C}$. An isomorphism $\phi : (\Sigma_1, z_1) \to (\Sigma_2, z_2)$ is a biholomorphism s.t. $\phi(z_1) = z_2$. The set of isomorphism classes forms a smooth orbifold $M_{1,1}$. This has a natural compactification - the Deligne-Mumford compactification $\overline{M}_{1,1}$, by adding a point at infinity, corresponding to a nodal genus 1 curve with one node.

Let J be an ω-compatible almost complex structure on M. Assuming for simplicity, at the moment, (otherwise take stable maps) that (M, J) does not admit non-constant J-holomorphic maps $(S^2, j) \to (M, J)$, we define:

$$\overline{\mathcal{M}}^n_{1,1}(J, A)$$

as the set of equivalence classes of tuples (u, S), for $S = (\Sigma, z) \in \overline{M}_{1,1}$, and $u : \Sigma \to M$ a charge n J-holomorphic map. The equivalence relation is $(u_1, S_1) \sim (u_2, S_2)$ if there is an isomorphism $\phi : S_1 \to S_2$ s.t. $u_2 \circ \phi = u_1$. As such an isomorphism of course preserves charge, the charge is well defined on equivalence classes.

By slight abuse we may just denote such an equivalence class above simply by u, so we may write $u \in \overline{\mathcal{M}}^n_{1,1}(J, A)$, with S implicit.

3.2. **Reeb holomorphic tori in** $(C \times S^1, J^\lambda)$**.** For the almost complex structure J^λ as above, we have one natural class of charge 1 holomorphic tori in $C \times S^1$. Let o be a period c, closed Reeb orbit o of R^λ. A ***Reeb torus*** u_o for o, is the map

$$u_o : (S^1 \times S^1 = T^2) \to C \times S^1$$
$$u_o(s, t) = (o(s), t).$$

A Reeb torus is J^λ-holomorphic for a uniquely determined holomorphic structure j on T^2 defined by:

$$j(\frac{\partial}{\partial s}) = c\frac{\partial}{\partial t}.$$

Let $\mathcal{O}(R^\lambda)$ as before denote the space of general period, unparametrized closed λ-Reeb orbits. We have a map:

$$\mathcal{P} : \mathcal{O}(R^\lambda) \to \overline{\mathcal{M}}^1_{1,1}(J^\lambda, A), \quad \mathcal{P}(o) = u_o.$$

Proposition 3.4. *The map $\mathcal{P}$ is a bijection.* [1] *(Note that there is an analogous bijection $S(R^\lambda)/S^1 \to \overline{\mathcal{M}}^n_{1,1}(J^\lambda, A)$, for $n > 1$.)*

So in the particular case of J^λ, as above, the domains of elliptic curves in $C \times S^1$ are "rectangular". That is, they are quotients of the complex plane by a rectangular lattice. However, for a more general almost complex structure on $C \times S^1$, tamed by more general lcs forms, the domain almost complex structure on our curves can in principle be arbitrary, in particular we might have nodal degenerations. Also note that the expected dimension of $\overline{\mathcal{M}}^1_{1,1}(J^\lambda, A)$ is 0. It is given by the Fredholm index of the operator (5.2) which is 2, minus the dimension of the reparametrization group (for non-nodal curves) which is 2. That is given an elliptic curve $S = (\Sigma, z)$, let $\mathcal{G}(\Sigma)$ be the 2-dimensional group of biholomorphisms ϕ of Σ. Then given a J-holomorphic map $u : \Sigma \to M$, (Σ, z, u) is equivalent to $(\Sigma, \phi(z), u \circ \phi)$ in $\overline{\mathcal{M}}^1_{1,1}(J^\lambda, A)$, for $\phi \in \mathcal{G}(\Sigma)$.

The following is to be proved in Section 5, and is one of the principal ingredients for us.

Theorem 3.5. *Let (M, λ, α, J) be a tamed first kind* lcs *manifold with M closed. Then every non-constant (nodal) J-holomorphic curve $u : \Sigma \to M$ is a Reeb 2-curve.*

[1] It is in fact an equivalence of the corresponding topological action groupoids, but we do not need this explicitly.

3.2.1. *Connection with the extended Fuller index.* Another important ingredient is a connection of the extended Fuller index with certain extended Gromov-Witten invariants. If β is a free homotopy class of a loop in C set

$$A_\beta = [\beta] \otimes [S^1] \in H_2(C \times S^1).$$

Then we have:

Theorem 3.6. *Suppose that λ is a contact form on a closed manifold C, so that its Reeb flow is definite type, see Appendix A, then*

$$GW_{1,1}(A_\beta, J^\lambda)([\overline{M}_{1,1}] \otimes [C \times S^1]) = i(R^\lambda, \beta),$$

where both sides are certain extended rational numbers $\mathbb{Q} \sqcup \{\pm\infty\}$ valued invariants, so that in particular if either side does not vanish then there are λ-Reeb orbits in class β.

What about higher genus invariants of $C \times S^1$? Following the proof of Proposition 3.4, it is not hard to see that all J^λ-holomorphic curves must be branched covers of Reeb tori. If one can show that these branched covers are regular when the underlying tori are regular, the calculation of invariants would be fairly automatic from this data. See [31], [29] where these kinds of regularity calculation are made.

3.3. **Sky catastrophes.** The following is well known.

Theorem 3.7. *[*[18, Proposition 4.1.4]*] Let (M, J) be a compact almost complex manifold, and $u : (S^2, j) \to M$ a J-holomorphic map. Given a Riemannian metric g on M, there is an $\hbar = \hbar(g, J) > 0$ s.t. if $e_g(u) < \hbar$ then u is constant, where e_g is the L^2-energy functional,*

$$e_g(u) = \text{energy}_g(u) = \int_{S^2} |du|^2 dvol.$$

Using this we get the following (trivial) extension of Gromov compactness. Let

$$\mathcal{M}_{g,n}(J, A) = \mathcal{M}_{g,n}(M, J, A)$$

denote the moduli space of isomorphism classes of class A, J-holomorphic curves in M, with domain a genus g closed Riemann surface, with n marked labeled points. Here an isomorphism between $u_1 : \Sigma_1 \to M$, and $u_2 : \Sigma_2 \to M$ is a biholomorphism of marked Riemann surfaces $\phi : \Sigma_1 \to \Sigma_2$ s.t. $u_2 \circ \phi = u_1$.

Notation 1. We will often say ***J*-curve** in place of J-holomorphic curve.

The following is proved by the same argument as [17, Theorem 5.6.6]. We claim no originality.

Theorem 3.8. *Let (M, J) be an almost complex manifold. Then $\mathcal{M}_{g,n}(J, A)$ has a pre-compactification*

$$\overline{\mathcal{M}}_{g,n}(J, A),$$

by Kontsevich stable maps, with respect to the natural metrizable Gromov topology see for instance [17, Chapter 5.6]*, for genus 0 case,* [22] *for general case. Moreover, given $E > 0$, the subspace $\overline{\mathcal{M}}_{g,n}(J, A)_E \subset \overline{\mathcal{M}}_{g,n}(J, A)$ consisting of elements u with $e(u) \leq E$ is compact, where e is the L^2 energy with respect to an auxiliary metric. In other words e is a proper function.*

Thus, the most basic situation where we can talk about Gromov-Witten "invariants" of (M, J) is when the energy function is bounded on $\overline{\mathcal{M}}_{g,n}(J, A)$, and we shall say that J is ***bounded*** (in class A), later on we generalize this in terms of what we call ***finite type***. In this case $\overline{\mathcal{M}}_{g,n}(J, A)$ is compact, and has a virtual moduli cycle as in the original approach of Fukaya-Ono [10], or the more algebraic approach [22]. So we may define functionals:

$$GW_{g,n}(A, J) : H_*(\overline{M}_{g,n}) \otimes H_*(M^n) \to \mathbb{Q}, \tag{3.9}$$

where $\overline{M}_{g,n}$ denotes the compactified moduli space of Riemann surfaces. Of course symplectic manifolds with any tame almost complex structure is one class of examples, another class of examples comes from some locally conformally symplectic manifolds. (We can take for instance the lcs-fication of (C, λ) with the latter the unit cotangent bundle of a hyperbolic manifold, with λ the canonical Liouville form, and J as in Section 5).

Given a continuous in the C^∞ topology family $\{J_t\}$, $t \in [0,1]$ we denote by $\overline{\mathcal{M}}_{g,n}(\{J_t\}, A)$ the space of pairs (u,t), $u \in \overline{\mathcal{M}}_{g,n}(J_t, A)$.

Definition 3.10. *We say that a continuous family $\{J_t\}$, $t \in [0,1]$ on a compact manifold M has a* **holomorphic sky catastrophe** *in class A if there is an element $u \in \overline{\mathcal{M}}_{g,n}(J_i, A)$, $i = 0,1$ which does not belong to any open compact (equivalently energy bounded) subset of $\overline{\mathcal{M}}_{g,n}(\{J_t\}, A)$.*

Let us slightly expand this definition. If $\overline{\mathcal{M}}_{g,n}(\{J_t\}, A)$ is locally connected, so that the connected components are open, then we have a sky catastrophe in the sense above if and only if there is a $u \in \overline{\mathcal{M}}_{g,n}(J_i, A)$ which has a non-compact connected component in $\overline{\mathcal{M}}_{g,n}(\{J_t\}, A)$. At this point in time there are no known examples of families $\{J_t\}$ with sky catastrophes.

Question 1. Do holomorphic sky catastrophes generically exist? That is given a family $\{J_t\}$ can it be C^∞ perturbed to a family $\{J'_t\}$, $J_0 = J'_0, J_1 = J'_1$ so that $\{J'_t\}$ has no sky catastrophe?

As a corollary of Theorem 2.14 and Example 2 we get:

Corollary 3.11. *Assume that generically sky catastrophes do not exist, then CSW conjecture holds for every rational first kind* lcs *structures on $S^{2k+1} \times S^1$ rationally formally homotopic to the Hopf lcs structure. Moreover, in this case the Reeb 2-curve can be assumed to be charge 1.*

The author's opinion is that they may appear even generically. However, if we ask that each J_t is tamed by an lcs structure, then the question becomes much more subtle, see also [24] for a related discussion on possible obstructions to sky catastrophes. See also [25] for non-trivial examples where sky catastrophes can be ruled out.

If holomorphic sky catastrophes are discovered, this would be a very interesting discovery. The original discovery by Fuller [11] of sky catastrophes in dynamical systems is one of the most important in dynamical systems, see also [26] for an overview.

4. Elements of Gromov-Witten theory of an lcs manifold

Suppose (M, J) is a compact almost complex manifold, where the almost complex structures J are assumed throughout the paper to be C^∞, and let $N \subset \overline{\mathcal{M}}_{g,k}(J, A)$ be an open compact subset with energy positive on N. The latter condition is only relevant when $A = 0$. We shall primarily refer in what follows to work of Pardon in [22], only because this is what is more familiar to the author, due to greater comfort with algebraic topology. But we should mention that the latter is a followup to a profound theory that is originally created by Fukaya-Ono [10], and later expanded with Oh-Ohta [9].

The construction in [22] of implicit atlas, on the moduli space $\mathcal{M}$ of curves in a symplectic manifold, only needs a neighborhood of $\mathcal{M}$ in the space of all curves. So more generally, if we have an almost complex manifold and an *open* compact component N as above, this will likewise have a natural implicit atlas, or a Kuranishi structure in the setup of [10]. And so such an N will have a virtual fundamental class in the sense of Pardon [22], (or in any other approach to virtual fundamental cycle, particularly the original approach of Fukaya-Oh-Ohta-Ono). This understanding will be used in other parts of the paper, following Pardon for the explicit setup. We may thus define functionals:

$$GW_{g,n}(N, A, J) : H_*(\overline{M}_{g,n}) \otimes H_*(M^n) \to \mathbb{Q}. \tag{4.1}$$

How do these functionals depend on N, J?

Lemma 4.2. *Let $\{J_t\}$, $t \in [0,1]$ be a Frechet smooth family. Suppose that $\widetilde{N}$ is an open compact subset of the cobordism moduli space $\overline{\mathcal{M}}_{g,n}(\{J_t\}, A)$ and that the energy function is positive on $\widetilde{N}$, (the latter only relevant when $A = 0$). Let*

$$N_i = \widetilde{N} \cap \left(\overline{\mathcal{M}}_{g,n}(J_i, A)\right),$$

then

$$GW_{g,n}(N_0, A, J_0) = GW_{g,n}(N_1, A, J_1).$$

In particular if $GW_{g,n}(N_0, A, J_0) \neq 0$, there is a class A J_1-holomorphic stable map in M.

Proof of Lemma 4.2. We may construct exactly as in [22] a natural implicit atlas on $\widetilde{N}$, with boundary $N_0^{op} \sqcup N_1$, (op denoting opposite orientation). And so

$$GW_{g,n}(N_0, A, J_0) = GW_{g,n}(N_1, A, J_1),$$

as functionals. □

The most basic lemma in this setting is the following, and we shall use it in the following section.

Definition 4.3. *An* **almost symplectic pair** *on M is a tuple (ω, J), where ω is a non-degenerate 2-form on M, and J is ω-compatible, meaning that $\omega(\cdot, J\cdot)$ defines J-invariant Riemannian metric. When ω is lcs we call such a pair an* **lcs pair**.

Definition 4.4. *We say that a pair of almost symplectic pairs (ω_i, J_i) are* ***δ-close****, if $\{\omega_i\}$ are C^0 δ-close, and $\{J_i\}$ are C^2 δ-close, $i = 0, 1$. Define a similar metric on pairs (g, J) for g a Riemannian metric and J any almost complex structure.*

Definition 4.5. *For an almost symplectic pair (ω, J) on M, and a smooth map $u : \Sigma \to M$ define:*

$$e_\omega(u) = \int_\Sigma u^* \omega.$$

By an elementary calculation, this coincides with the L^2 g_J-energy of u, for $g_J(\cdot, \cdot) = \omega(\cdot, J\cdot)$. That is $e_\omega(u) = e_{g_J}(u)$. In what follows by $f^{-1}(a, b)$, with f a function, we mean the preimage by f of the open set (a, b).

Lemma 4.6. *Let (M, g, J) be as above. Suppose that $N \subset \overline{\mathcal{M}}_{d,n}(J, A)$ is a compact and open component which is energy isolated meaning that*

$$N \subset \left(U = e_g^{-1}(E^0, E^1)\right) \subset \left(V = e_g^{-1}(E^0 - \epsilon, E^1 + \epsilon)\right),$$

with $\epsilon > 0$, $E_0 > 0$, and with $V \cap \overline{\mathcal{M}}_{g,n}(J, A) = N$. Then there is a $\delta > 0$ s.t. whenever (g', J') is δ-close to (g, J) if $u \in \overline{\mathcal{M}}_{g,n}(J', A)$ and

$$E^0 - \epsilon < e_{g'}(u) < E^1 + \epsilon$$

then

$$E^0 < e_{g'}(u) < E^1.$$

Proof. Suppose otherwise, then there is a sequence $\{(g_k, J_k)\}$ converging to (g, J), and a sequence $\{u_k\}$ of J_k-holomorphic stable maps satisfying:

$$E^0 - \epsilon < e_{g_k}(u_k) \leq E^0$$

or

$$E^1 \leq e_{g_k}(u_k) < E^1 + \epsilon.$$

By Gromov compactness, specifically theorems [18, B.41, B.42], we may find a Gromov convergent subsequence $\{u_{k_j}\}$ to a J-holomorphic stable map u, with

$$E^0 - \epsilon \leq e_g(u) \leq E^0$$

or

$$E^1 \leq e_g(u) \leq E^1 + \epsilon.$$

But by our assumptions such a u does not exist. □

Lemma 4.7. *Let M be compact, and let (ω, J) be an almost symplectic pair such that $N \subset \overline{\mathcal{M}}_{g,n}(J, A)$ is exactly as in the lemma above, with respect to some $\epsilon > 0$. Then, there is a $\delta > 0$ s.t. the following is satisfied. Let (ω', J') be δ-close to (ω, J), then there is a continuous in the C^∞ topology family of almost symplectic pairs $\{(\omega_t, J_t)\}$, $(\omega_0, J_0) = (g, J)$, $(\omega_1, J_1) = (g', J')$ s.t. there is an open compact subset*

$$\widetilde{N} \subset \overline{\mathcal{M}}_{g,n}(\{J_t\}, A),$$

satisfying the following. If $(u,t) \in \widetilde{N}$ *then*

$$E^0 < e_{g_t}(u) < E^1.$$

Proof. For ϵ as in the hypothesis, let δ be as in Lemma 4.6.

Lemma 4.8. *Given a* $\delta > 0$ *there is a* $\delta' > 0$ *s.t. if* (ω', J') *is* δ'*-near* (ω, J) *there is an continuous in the* C^∞ *topology family* $\{(\omega_t, J_t)\}$ *satisfying:*

- (ω_t, J_t) δ*-close to* (ω, J) *for each* t.
- $(\omega_0, J_0) = (\omega, J)$ *and* $(\omega_1, J_1) = (\omega', J')$.

Proof. Let $\{g_t\}$ be the family of metrics on M given by the convex linear combination of $g = g_{\omega_J}, g' = g_{\omega', J'}$. Clearly g_t is δ'-close to g_0 for each t. Likewise, the family of 2 forms $\{\omega_t\}$ given by the convex linear combination of ω, ω' is non-degenerate for each t if δ' was chosen to be sufficiently small and is δ'-close to $\omega_0 = \omega_{g,J}$ for each moment.

Let

$$ret : Met(M) \times \Omega(M) \to \mathcal{J}(M)$$

be the "retraction map" (it can be understood as a retraction followed by projection) as defined in [17, Prop 2.50], where $Met(M)$ is space of metrics on M, $\Omega(M)$ the space of 2-forms on M, and $\mathcal{J}(M)$ the space of almost complex structures. This map has the property that the almost complex structure $ret(g, \omega)$ is compatible with ω, and that $ret(g_J, \omega) = J$ for $g_J = \omega(\cdot, J\cdot)$. Then $\{(\omega_t, ret(g_t, \omega_t)\}$ is a compatible family. As ret is continuous in C^2-topology, δ' can be chosen so that $\{ret_t(g_t, \omega_t\}$ are δ-nearby. □

Returning to the proof of the main lemma. Let $\delta' < \delta$ be chosen as in the above lemma and let $\{(\omega_t, J_t)\}$ be the corresponding family. Let $\widetilde{N}$ consist of all elements $(u,t) \in \overline{\mathcal{M}}(\{J_t\}, A)$ s.t.

$$E^0 - \epsilon < e_{\omega_t}(u) < E^1 + \epsilon.$$

Then by Lemma 4.6 for each $(u,t) \in \widetilde{N}$, we have:

$$E^0 < e_{\omega_t}(u) < E^1.$$

In particular $\widetilde{N}$ must be closed, it is also clearly open, and is compact as the energy e is a proper function, as discussed. Renaming $\delta := \delta'$ we are then done. □

Proposition 4.9. *Given a compact* M *and an almost symplectic pair* (ω, J) *on* M*, suppose that* $N \subset \overline{\mathcal{M}}_{g,n}(J, A)$ *is a compact and open component which is energy isolated meaning that*

$$N \subset \left(U = e_\omega^{-1}(E^0, E^1)\right) \subset \left(V = e_\omega^{-1}(E^0 - \epsilon, E^1 + \epsilon)\right),$$

with $\epsilon > 0$, $E^0 > 0$ *and with* $V \cap \overline{\mathcal{M}}_{g,n}(J, A) = N$*. Suppose also that* $GW_{g,n}(N, J, A) \neq 0$*. Then there is a* $\delta > 0$ *s.t. whenever* (ω', J') *is a compatible almost symplectic pair* δ*-close to* (ω, J)*, there exists* $u \in \overline{\mathcal{M}}_{g,n}(J', A)$*, with*

$$E^0 < e_{\omega'}(u) < E^1.$$

Proof. For N, ϵ as in the hypothesis, let $\delta, \widetilde{N}$ be as in Lemma 4.7, then by Lemma 4.2

$$GW_{g,n}(N_1, J', A) = GW_{g,n}(N, J, A) \neq 0,$$

where $N_1 = \widetilde{N} \cap \overline{\mathcal{M}}_{g,n}(J_1, A)$. □

While not having sky catastrophes gives us a certain compactness control, the above proposition is not immediate because we can still in principle have total cancellation of the infinitely many components of the moduli space $\overline{\mathcal{M}}_{1,1}(J^\lambda, A)$. In other words a virtual 0-dimension Kuranishi space $\overline{\mathcal{M}}^1(J^\lambda, A)$, with an infinite number of compact connected components, can certainly be null-cobordant, by a cobordism all of whose components are compact. So we need a certain additional algebraic and geometric control to preclude such a total cancellation.

Proof of Theorem 3.8. (Outline, as the argument is standard.) Suppose that we have a sequence u^k of J-holomorphic maps with L^2-energy $\leq E$. By [17, 4.1.1], a sequence u^k of J-holomorphic curves has a convergent subsequence if $sup_k ||du^k||_{L^\infty} < \infty$. On the other hand, when this condition does not hold, rescaling argument tells us that a holomorphic sphere bubbles off. The quantization Theorem 3.7, tells us that the energy of a non-constant J-holomorphic map of $\mathbb{CP}^1$ is at least $\hbar > 0$. So if the energy of the maps u^k is bounded from above by E, only finitely many bubbles may appear, so that a subsequence of u^k must converge in the Gromov topology to a Kontsevich stable map. $\square$

5. Elliptic curves in the lcs-fication of a contact manifold and the Fuller index

Proof of Proposition 3.4. Suppose we have a curve $u \in \overline{\mathcal{M}}^1_{1,1}(J^\lambda, A)$, represented by $u : \Sigma \to M = C \times S^1$. Then u has no spherical components, as otherwise we would a non-constant J^λ-holomorphic sphere. And so by Theorem 3.5, we would have a Reeb 2-curve $u : \mathbb{CP}^1 \to M$, which is impossible by property 2 of the definition.

By Theorem 3.5 u is a Reeb 2-curve. By Lemma 6.6 it's normalization $\widetilde{u}$ is also a Reeb 2-curve. By the charge 1 condition $pr_{S^1} \circ u$ is surjective, where $pr_{S^1} : C \times S^1 \to S^1$ is the projection. And so $pr_{S^1} \circ \widetilde{u}$ is surjective. Let us rename $\widetilde{u}$ by u in what follows.

By the Sard theorem we have a regular value $t_0 \in S^1$, so that $u^{-1} \circ pr^{-1}_{S^1}(t_0)$ contains an embedded circle $S_0 \subset \Sigma$. Now $d(pr_{S^1} \circ u)$ is surjective onto $T_{t_0} S^1$ along $T\Sigma|_{S_0}$. And so since u is J^λ-holomorphic, $o = pr_C \circ u|_{S_0}$ has non-vanishing differential $d(o)$. By the first part of the condition in Definition 2.7, o is tangent to $\ker d\lambda$. It follows that o is an unparametrized λ-Reeb orbit. Also, the image of $d(pr_C \circ u)$ is in $\ker d\lambda$ from which it follows that $\operatorname{image} d(pr_C \circ u) = \operatorname{image} d(o)$. It follows that u is an elliptic charge 1 curve with image contained in the image of the Reeb torus u_o. Consequently, because of the charge 1 condition, up to parametrization, u is the Reeb torus $u_{\widetilde{o}}$, for some covering map $\widetilde{o}$ of o. $\square$

Proposition 5.1. *Let (C, ξ) be a general contact manifold. If λ is a non-degenerate contact 1-form for ξ then all the elements of $\overline{\mathcal{M}}^1_{1,1}(J^\lambda, A)$ are regular curves. Moreover, if λ is degenerate then for a period c Reeb orbit o, the kernel of the associated real linear Cauchy-Riemann operator for the Reeb torus u_o is naturally identified with the 1-eigenspace of $\phi^\lambda_{c,*}$ - the time c linearized return map $\xi(o(0)) \to \xi(o(0))$ induced by the R^λ Reeb flow.*

Proof. We already know by Proposition 3.4 that all $u \in \overline{\mathcal{M}}^1_{1,1}(J^\lambda, A)$ are equivalent to Reeb tori. In particular, such curves have representation by a J^λ-holomorphic map

$$u : (T^2, j) \to (Y = C \times S^1, J^\lambda).$$

Since each u is immersed we may naturally get a splitting $u^*T(Y) \simeq N \times T(T^2)$, using the g_J metric, where $N \to T^2$ denotes the pull-back, of the g_J-normal bundle to $\operatorname{image} u$, and which is identified with the pullback of the distribution ξ_λ on Y, (which we also call the co-vanishing distribution).

The full associated real linear Cauchy-Riemann operator takes the form:

$$D^J_u : \Omega^0(N \oplus T(T^2)) \oplus T_j M_{1,1} \to \Omega^{0,1}(T(T^2), N \oplus T(T^2)). \tag{5.2}$$

This is an index 2 Fredholm operator (after standard Sobolev completions), whose restriction to $\Omega^0(N \oplus T(T^2))$ preserves the splitting, that is the restricted operator splits as

$$D \oplus D' : \Omega^0(N) \oplus \Omega^0(T(T^2)) \to \Omega^{0,1}(T(T^2), N) \oplus \Omega^{0,1}(T(T^2), T(T^2)).$$

On the other hand the restricted Fredholm index 2 operator

$$\Omega^0(T(T^2)) \oplus T_j M_{1,1} \to \Omega^{0,1}(T(T^2)),$$

is surjective by classical Teichmuller theory, see also [30, Lemma 3.3] for a precise argument in this setting. It follows that D^J_u will be surjective if the restricted Fredholm index 0 operator

$$D : \Omega^0(N) \to \Omega^{0,1}(N),$$

has no kernel.

The bundle N is symplectic with symplectic form on the fibers given by restriction of $u^*d\lambda$, and together with J^λ this gives a Hermitian structure (g_λ, j_λ) on N. We have a linear symplectic connection $\mathcal{A}$ on N, which over the slices $S^1 \times \{t\} \subset T^2$ is induced by the pullback by u of the linearized R^λ Reeb flow. Specifically the $\mathcal{A}$-transport map from the fiber $N_{(s_0,t)}$ to the fiber $N_{(s_1,t)}$ over the path $[s_0, s_1] \times \{t\} \subset T^2$, is given by

$$(u_*|_{N_{(s_1,t)}})^{-1} \circ (\phi^\lambda_{c(s_1-s_0)})_* \circ u_*|_{N_{(s_0,t)}},$$

where $\phi^\lambda_{c(s_1-s_0)}$ is the time $c \cdot (s_1 - s_0)$ map for the R^λ Reeb flow, where c is the period of the Reeb orbit o_u, and where $u_* : N \to TY$ denotes the natural map, (it is the universal map in the pull-back diagram.)

The connection $\mathcal{A}$ is defined to be trivial in the θ_2 direction, where trivial means that the parallel transport maps are the *id* maps over θ_2 rays. In particular the curvature $R_\mathcal{A}$, understood as a lie algebra valued 2-form, of this connection vanishes. The connection $\mathcal{A}$ determines a real linear CR operator $D_\mathcal{A}$ on N in the standard way, take the complex anti-linear part of the vertical differential of a section. Explicitly,

$$D_\mathcal{A} : \Omega^0(N) \to \Omega^{0,1}(N),$$

is defined by

$$D_\mathcal{A}(\mu)(p) = j_\lambda \circ \pi^{vert}(\mu(p)) \circ d\mu(p) - \pi^{vert}(\mu(p)) \circ d\mu(p) \circ j,$$

where

$$\pi^{vert}(\mu(p)) : T_{\mu(p)}N \to T^{vert}_{\mu(p)}N \simeq N$$

is the $\mathcal{A}$-projection, and where $T^{vert}_{\mu(p)}N$ is the kernel of the projection $T_{\mu(p)}N \to T_p\Sigma$. It is elementary to verify from the definitions that this operator is exactly D. See also [20, Section 10.1] for a computation of this kind in much greater generality.

We have a differential 2-form Ω on the total space of N defined as follows. On the fibers $T^{vert}N$, $\Omega = u_*\omega$, for $\omega = d_\alpha\lambda$, and for $T^{vert}N \subset TN$ denoting the vertical tangent space, or subspace of vectors v with $\pi_*v = 0$, for $\pi : N \to T^2$ the projection. While on the $\mathcal{A}$-horizontal distribution Ω is defined to vanish. The 2-form Ω is closed, which we may check explicitly by using that $R_\mathcal{A}$ vanishes to obtain local symplectic trivializations of N in which $\mathcal{A}$ is trivial. Clearly Ω must vanish on the 0-section since it is a $\mathcal{A}$-flat section. But any section is homotopic to the 0-section and so in particular if $\mu \in \ker D$ then Ω vanishes on μ.

Since $\mu \in \ker D$, and so its vertical differential is complex linear, it follows that the vertical differential vanishes. To see this note that $\Omega(v, J^\lambda v) > 0$, for $0 \neq v \in T^{vert}N$ and so if the vertical differential did not vanish we would have $\int_\mu \Omega > 0$. So μ is $\mathcal{A}$-flat, in particular the restriction of μ over all slices $S^1 \times \{t\}$ is identified with a period c orbit of the linearized at o R^λ Reeb flow, and which does not depend on t as $\mathcal{A}$ is trivial in the t variable. So the kernel of D is identified with the vector space of period c orbits of the linearized at o R^λ Reeb flow, as needed. □

Proposition 5.3. *Let λ be a contact form on a $(2n+1)$-fold C, and o a non-degenerate, period c, λ-Reeb orbit, then the orientation of $[u_o]$ induced by the determinant line bundle orientation of $\overline{\mathcal{M}}^1_{1,1}(J^\lambda, A)$, is $(-1)^{CZ(o)-n}$, which is*

$$\operatorname{sign} \operatorname{Det}(\operatorname{Id}|_{\xi(o(0))} - \phi^\lambda_{c,*}|_{\xi(o(0))}).$$

Proof of Proposition 5.3. Abbreviate u_o by u. Let $N \to T^2$ be the vector bundle associated to u as in the proof of Proposition 5.1. Fix a trivialization ϕ of N induced by any trivialization of the contact distribution ξ along o in the obvious sense: N is the pullback of ξ along the composition

$$T^2 \to S^1 \xrightarrow{o} C.$$

Let the symplectic connection $\mathcal{A}$ on N be defined as before. Then the pullback connection $\mathcal{A}' := \phi^*\mathcal{A}$ on $T^2 \times \mathbb{R}^{2n}$ is a connection whose parallel transport paths $p_t : [0,1] \to \operatorname{Symp}(\mathbb{R}^{2n})$, along the closed loops $S^1 \times \{t\}$, are paths starting at 1, and are t independent. And so the parallel transport path of

$\mathcal{A}'$ along $\{s\} \times S^1$ is constant, that is $\mathcal{A}'$ is trivial in the t variable. We shall call such a connection $\mathcal{A}'$ on $T^2 \times \mathbb{R}^{2n}$ *induced by* p.

By non-degeneracy assumption on o, the map $p(1)$ has no 1-eigenvalues. Let $p'' : [0,1] \to \mathrm{Symp}(\mathbb{R}^{2n})$ be a path from $p(1)$ to a unitary map $p''(1)$, with $p''(1)$ having no 1-eigenvalues, and s.t. p'' has only simple crossings with the Maslov cycle. Let p' be the concatenation of p and p''. We then get

$$CZ(p') - \frac{1}{2}\operatorname{sign}\Gamma(p',0) \equiv CZ(p') - n \equiv 0 \mod 2,$$

since p' is homotopic relative end points to a unitary geodesic path h starting at id, having regular crossings, and since the number of negative, positive eigenvalues is even at each regular crossing of h by unitarity. Here $\operatorname{sign}\Gamma(p',0)$ is the index of the crossing form of the path p' at time 0, in the notation of [23]. Consequently,

$$CZ(p'') \equiv CZ(p) - n \mod 2, \tag{5.4}$$

by additivity of the Conley-Zehnder index.

Let us then define a free homotopy $\{p_t\}$ of p to p', p_t is the concatenation of p with $p''|_{[0,t]}$, reparametrized to have domain $[0,1]$ at each moment t. This determines a homotopy $\{\mathcal{A}'_t\}$ of connections induced by $\{p_t\}$. By the proof of Proposition 5.1, the CR operator D_t determined by each $\mathcal{A}'_t$ is surjective except at some finite collection of times $t_i \in (0,1)$, $i \in N$ determined by the crossing times of p'' with the Maslov cycle, and the dimension of the kernel of D_{t_i} is the 1-eigenspace of $p''(t_i)$, which is 1 by the assumption that the crossings of p'' are simple.

The operator D_1 is not complex linear. To fix this we concatenate the homotopy $\{D_t\}$ with the homotopy $\{\widetilde{D}_t\}$ defined as follows. Let $\{\widetilde{\mathcal{A}}_t\}$ be a homotopy of $\mathcal{A}'_1$ to a unitary connection $\widetilde{\mathcal{A}}_1$, where the homotopy $\{\widetilde{\mathcal{A}}_t\}$ is through connections induced by paths $\{\widetilde{p}_t\}$, giving a path homotopy of $p' = \widetilde{p}_0$ to h. Then $\{\widetilde{D}_t\}$ is defined to be induced by $\{\widetilde{\mathcal{A}}_t\}$.

Let us denote by $\{D'_t\}$ the concatenation of $\{D_t\}$ with $\{\widetilde{D}_t\}$. By construction, in the second half of the homotopy $\{D'_t\}$, D'_t is surjective. And D'_1 is induced by a unitary connection, since it is induced by unitary path $\widetilde{p}_1$. Consequently, D'_1 is complex linear. By the above construction, for the homotopy $\{D'_t\}$, D'_t is surjective except for N times in $(0,1)$, where the kernel has dimension one. In particular the sign of $[u]$ by the definition via the determinant line bundle is exactly

$$-1^N = -1^{CZ(p)-n},$$

by (5.4), which was what to be proved. ☐

Theorem 5.5.

$$GW_{1,1}(N, A_\beta, J^\lambda)([\overline{M}_{1,1}] \otimes [C \times S^1]) = i(\mathcal{P}^{-1}(N), R^\lambda, \beta),$$

where $N \subset \overline{\mathcal{M}}^1_{1,1}(J^\lambda, A_\beta)$ is an open compact set (where $\mathcal{P}$ is as in Proposition 3.4), $i(\mathcal{P}^{-1}(N), R^\lambda, \beta)$ is the Fuller index as described in the appendix below, and where the left-hand side of the equation is the functional as in (4.1).

Proof. If $N \subset \overline{\mathcal{M}}^1_{1,1}(J^\lambda, A_\beta)$ is open-compact and consists of isolated regular Reeb tori $\{u_i\}$, corresponding to orbits $\{o_i\}$ we have:

$$GW_{1,1}(N, A_\beta, J^\lambda)([\overline{M}_{1,1}] \otimes [C \times S^1]) = \sum_i \frac{(-1)^{CZ(o_i)-n}}{mult(o_i)},$$

where the denominator $mult(o_i)$ is there because our moduli space is understood as a non-effective orbifold, see Appendix B.

The expression on the right is exactly the Fuller index $i(\mathcal{P}^{-1}(N), R^\lambda, \beta)$. Thus, the theorem follows for N as above. However, in general if N is open and compact then perturbing slightly we obtain a smooth family $\{R^{\lambda_t}\}$, $\lambda_0 = \lambda$, s.t. λ_1 is non-degenerate, that is has non-degenerate orbits. And such that there is an open-compact subset $\widetilde{N}$ of $\overline{\mathcal{M}}^1_{1,1}(\{J^{\lambda_t}\}, A_\beta)$ with $(\widetilde{N} \cap \overline{\mathcal{M}}^1_{1,1}(J^\lambda, A_\beta)) = N$, see Lemma 4.7. Then by Lemma 4.2 if

$$N_1 = (\widetilde{N} \cap \overline{\mathcal{M}}^1_{1,1}(J^{\lambda_1}, A_\beta))$$

we get

$$GW_{1,1}(N, A_\beta, J^\lambda)([\overline{M}_{1,1}] \otimes [C \times S^1]) = GW_{1,1}(N_1, A_\beta, J^{\lambda_1})([\overline{M}_{1,1}] \otimes [C \times S^1]).$$

By the previous discussion

$$GW_{1,1}(N_1, A_\beta, J^{\lambda_1})([\overline{M}_{1,1}] \otimes [C \times S^1]) = i(N_1, R^{\lambda_1}, \beta),$$

but by the invariance of Fuller index (see Appendix A),

$$i(N_1, R^{\lambda_1}, \beta) = i(N, R^\lambda, \beta).$$

□

6. Proofs of main theorems

Lemma 6.1. *Let (M, λ, α) be an exact lcs manifold with M closed then $0 \neq [\alpha] \in H^1(M, \mathbb{R})$.*

Proof. Suppose that α is exact and let g be its primitive. Then $d_\alpha \lambda = \frac{1}{f} d(f\lambda)$ with $f = e^g$. Consequently, $d(f\lambda)$ is non-degenerate on M which contradicts Stokes theorem. □

Proof of Theorem 2.9. By Lemma 6.1 the cohomology class of α is non-zero in $H^1(\Sigma, \mathbb{R})$. So we may take $u = id : \Sigma \to \Sigma$, clearly it is a Reeb 2-curve. □

Definition 6.2. *Let α be a closed rational 1-form on a closed smooth manifold M. Let $k \in \mathbb{N}$ be the minimal positive integer so that $k\alpha$ is integral. The* **classifying map** *$p : M \to S^1$ of α is a smooth fibration s.t. $k\alpha = p^* d\theta$.*

To set notation and terminology we review the basic definition of a nodal curve.

Definition 6.3. *A* **nodal Riemann surface** *(without boundary) is a pair $\Sigma = (\widetilde{\Sigma}, \mathcal{N})$ where $\widetilde{\Sigma}$ is a Riemann surface, and $\mathcal{N}$ a set of pairs of points of $\widetilde{\Sigma}$: $\mathcal{N} = \{(z^0_0, z^1_0), \ldots, (z^0_n, z^1_n)\}$, $n^j_i \neq n^l_k$ for $i \neq k$ and all j, l. By slight abuse, we may also denote by Σ the quotient space $\widetilde{\Sigma}/\sim$, where the equivalence relation is generated by $n^0_i \sim n^1_i$. Let $\phi : \widetilde{\Sigma} \to (\widetilde{\Sigma}/\sim)$ be the quotient map. The elements $\phi(\{z^0_i, z^1_i\}) \in \widetilde{\Sigma}/\sim$, are called* **nodes***. Let M be a smooth manifold. By a map $u : \Sigma \to M$ of a nodal Riemann surface Σ, we mean the set map $u : (\widetilde{\Sigma}/\sim) \to M$. It is called smooth or immersion or J-holomorphic (when M is almost complex) if the map $\widetilde{u} = u \circ \phi$ is smooth or immersion or J-holomorphic. We call $\widetilde{u}$* **normalization of** *u. u is called an embedding if u is a topological embedding and its normalization is an immersion. The cohomology groups of Σ are defined as $H^\bullet(\Sigma) := H^\bullet(\widetilde{\Sigma}/\sim)$, likewise with homology. The genus of Σ is the topological genus of $\widetilde{\Sigma}/\sim$.*

We shall say that $(\widetilde{\Sigma}, \mathcal{N})$ is normal if $\mathcal{N} = \emptyset$. Similarly, $u : \Sigma \to M$, $\Sigma = (\widetilde{\Sigma}, \mathcal{N})$ is called ***normal*** if $\mathcal{N} = \emptyset$. The normalization of u is the map of the nodal Riemann surface $\widetilde{u} : \widetilde{\Sigma} \to M$, $\widetilde{\Sigma} = (\widetilde{\Sigma}, \emptyset)$. Note that if u is a Reeb 2-curve, its normalization $\widetilde{u}$ may not be a Reeb 2-curve (the second condition may fail).

Proof of Theorem 2.8. Let $(M = C \times S^1, \lambda, \alpha)$ be the lcs-fication of a closed contact manifold (C, λ). In this case $\mathcal{V}_\lambda = \mathcal{D}$ and is spanned by $X_\lambda = (0, \frac{\partial}{\partial \theta}), X_\alpha = (R^\lambda, 0)$ for R^λ the λ-Reeb vector field.

Suppose first $u : \Sigma \to M$ is a normal Reeb 2-curve. By definitions $u^*\alpha$ is a rational 1-form non-vanishing in $H^1_{DR}(\Sigma)$. Then let $p : \Sigma \to S^1$ be its classifying map, and let $o : S^1 \to \Sigma$ smoothly parametrize a component of a regular fiber of p, not intersecting the singular set of u. By the first condition of the definition of a Reeb 2-curve, $u^*\alpha, u^*\lambda$ are non-vanishing along $S = o(S^1)$. Since $u^*\alpha$ vanishes on $TS \subset T\Sigma$ it follows that $u^*\lambda$ is non-vanishing on TS. Also by the first condition, $u \circ o$ is tangent to $\mathcal{V}_\lambda$. And so $pr_C \circ u \circ o$ is tangent to $\ker d\lambda$, and $\lambda((pr_C \circ u \circ o)') > 0$. It follows that $pr_C \circ u \circ o$ is a Reeb orbit up to parametrization.

If u is not normal, then since (M, λ, α) is rational and first kind, by Lemma 6.6 the normalization $\widetilde{u}$ of u is a normal Reeb 2-curve. (The proof of that lemma is based on the first part of the argument above). Then apply the argument above to $\widetilde{u}$, and we are done. □

Proof of Theorem 3.5. Let $u : \Sigma \to M$ be a non-constant, nodal J-curve. Since singularities of u are isolated, by Lemma 3.2 it is enough to show that $[u^*\alpha] \neq 0$. Let $\widetilde{M}$ denote the α-covering space of M, that is the space of equivalence classes of paths p starting at $x_0 \in M$, with a pair p_1, p_2 equivalent if $p_1(1) = p_2(1)$ and

$$\int_{[0,1]} p_1^*\alpha = \int_{[0,1]} p_2^*\alpha.$$

Then the lift of ω to $\widetilde{M}$ is

$$\widetilde{\omega} = \frac{1}{f} d(f\lambda),$$

where $f = e^g$ and where g is a primitive for the lift $\widetilde{\alpha}$ of α to $\widetilde{M}$, that is $\widetilde{\alpha} = dg$. In particular $\widetilde{\omega}$ is conformally symplectomorphic to an exact symplectic form on $\widetilde{M}$. So if $\widetilde{J}$ denotes the lift of J, any closed $\widetilde{J}$-curve is constant by Stokes theorem. Now if $[u^*\alpha] = 0$ then u has a lift to a $\widetilde{J}$-holomorphic map $v : \Sigma \to \widetilde{M}$. Since Σ is closed, it follows by the above that v is constant, so that u is constant, which is impossible. □

Proposition 6.4. *Let (C, λ) be a closed contact manifold with λ having at least one closed non-degenerate Reeb orbit o, or more generally satisfying $i(N, R^\lambda, \beta) \neq 0$ for some good N and some β. Then:*

(1) *There exists an $\epsilon > 0$ s.t. for any tamed exact lcs structure (λ', α', J) on $M = C \times S^1$, with $(d_{\alpha'}\lambda', J)$ ϵ-close to $(d_\alpha \lambda, J^\lambda)$ (as in Definition 4.4), there exists an elliptic, J-holomorphic curve u in M.*
(2) *In addition, if (M, λ', α') is first kind and has dimension 4 then u may be assumed to be normal and embedded.*
(3) *If in addition α' is integral then u may be assumed to be charge 1.*

Proof. If we have a closed non-degenerate λ-Reeb orbit o then we also have an open compact subset $N \subset S_\lambda$ consisting of one point corresponding to o, and which is then good. Thus, it suffices to prove the proposition for a general good $N \subset S_\lambda$ as in the hypothesis. Let then

$$(\widetilde{N} = \mathcal{P}(N)) \subset \overline{\mathcal{M}}_{1,1}^1(A_\beta, J^\lambda),$$

which is an open, compact set and energy isolated by the assumption that N is good. By Theorem 5.5, and by the assumption $i(N, R_\lambda, \beta) \neq 0$

$$GW_{1,1}(N, J^\lambda, A_\beta) \neq 0.$$

The first part of the proposition then follows by Proposition 4.9.

We now verify the second part. Suppose that M has dimension 4. Let U be an ϵ-neighborhood of $(\lambda, \alpha, J^\lambda)$ as given in the first part, and let $(\lambda', \alpha', J) \in U$. Suppose that $u \in \overline{\mathcal{M}}_{1,1}^1(A_\beta, J)$. Let $\underline{u}$ be a simple J-holomorphic curve covered by u, (see for instance [18, Section 2.5].

For convenience, we now recall the adjunction inequality.

Theorem 6.5 (McDuff-Micallef-White [19], [14])**.** *Let (M, J) be an almost complex 4-manifold and $A \in H_2(M)$ be a homology class that is represented by a simple J-holomorphic curve $u : \Sigma \to M$. Let $\delta(u)$ denote the number of self-intersections of u, then*

$$2\delta(u) - \chi(\Sigma) \leq A \cdot A - c_1(A),$$

with equality if and only if u is an immersion with only transverse self-intersections.

In our case $A = A_\beta$ so that $c_1(A) = 0$ and $A \cdot A = 0$. If u is not normal its normalization is of the form $\widetilde{u} : \mathbb{CP}^1 \to M$ with at least one self intersection and with $0 = [\widetilde{u}] \in H_2(M)$, but this contradicts positivity of intersections. So $\underline{u}$ is normal and $\chi(\Sigma) = \chi(T^2) = 0$, so that $\delta(\underline{u}) = 0$, and the above inequality is an equality. In particular $\underline{u}$ is an embedding.

We now prove the third part of the proposition. By the proof of the first part we may find a continuous path $\{u_\tau\}_{\tau \in [0,1]} \subset \overline{\mathcal{M}}_{1,1}(\{J_t\}, A)$, with the properties:

- $\{J_t\}$, $t \in [0,1]$, satisfies $J_0 = J^\lambda$ and $J_1 = J$ is $d_{\alpha'}\lambda'$-admissible.
- u_τ is a J_τ-holomorphic curve for each τ.
- u_0 has charge 1.

Since α' is an integral closed form, $[\alpha'] = [\alpha]$ if α' is sufficiently C^0 close to α. So that the charge of u_1 with respect to α' is the charge of u_1 with respect to α which must then be 1. (Since $u_\tau^*\alpha$ is continuous in τ and is integral.) $\square$

Proof of Theorem 2.12. Let

$$U \ni (\omega_0 := d_\alpha \lambda, J_0 := J^\lambda)$$

be a set of pairs (ω, J) satisfying the following:

- ω is a first kind lcs structure.
- For each $(\omega, J) \in U$, J is ω-compatible and admissible.
- Let ϵ be chosen as in the first part of Theorem 6.4. Then each $(\omega, J) \in U$, is ϵ-close to (ω_0, J_0), (as in Definition 4.4).

To prove the theorem we need to construct a map $E : V \to \mathcal{J}(M)$, where V is some d_3 neighborhood of ω_0 in the space $\mathcal{F}(M)$ (see Definition 2.10) and where

$$\forall \omega \in V : (\omega, E(\omega)) \in \mathcal{U}.$$

As then Proposition 6.4 tells us that for each $\omega \in V$, there is a class A, $E(\omega)$-holomorphic, elliptic curve u in M. Using Theorem 3.5 we would then conclude that there is an elliptic Reeb 2-curve u in (M, ω). If M has dimension 4 then in addition u may be assumed to be normal and embedded. If ω is integral, by Proposition 6.4, u may be assumed to be charge 1. And so we will be done.

Define a metric ρ_0 measuring the distance between subspaces W_1, W_2, of same dimension, of an inner product space (T, g) as follows.

$$\rho_0(W_1, W_2) := |P_{W_1} - P_{W_2}|,$$

for $|\cdot|$ the g-operator norm, and P_{W_i} g-projection operators onto W_i. We may of course generalize this to a C^2 metric ρ_2 again in terms of these projection operators.

Let $\delta > 0$ be given. Suppose that $\omega = d^{\alpha'}\lambda'$ is a first kind lcs structure δ-close to ω_0 for the C^3 metric d_3 as in the statement of the theorem. Then $\mathcal{V}_{\lambda'}, \xi_{\lambda'}$ are smooth distributions by the assumption that (α', λ') is a lcs structure of the first kind and $TM = \mathcal{V}_{\lambda'} \oplus \xi_{\lambda'}$. Moreover, for each $p \in M$,

$$\rho_2(\mathcal{V}_{\lambda'}(p), \mathcal{V}_\lambda(p)) < \epsilon_\delta$$

and

$$\rho_2(\xi_{\lambda'}(p), \xi_\lambda(p)) < \epsilon_\delta$$

where $\epsilon_\delta \to 0$ as $\delta \to 0$, and where ρ_2 is the metric as defined above for subspaces of the inner product space (T_pM, g).

Then choosing δ to be suitably be small, for each $p \in M$ we have an isomorphism

$$\phi(p) : T_pM \to T_pM,$$

$\phi_p := P_1 \oplus P_2$, for $P_1 : \mathcal{V}_{\lambda_0}(p) \to \mathcal{V}_{\lambda'}(p)$, $P_2 : \xi_{\lambda_0}(p) \to \xi_{\lambda'}(p)$ the g-projection operators. Define $E(\omega)(p) := \phi(p)_* J_0$. Then clearly, if δ was chosen to be sufficiently small, E, defined on the d_3 δ-neighborhood V, has the needed property. $\square$

Proof of Theorem 2.14. Let $\{\omega_t\}$, $t \in [0,1]$, be a continuous in the usual C^∞ topology homotopy of non-degenerate 2-forms on $M = C \times S^1$, with $\omega_0 = d_\alpha \lambda$ as in the hypothesis and with ω_1 a first kind lcs structure. Fix an almost complex structure J_1 on M admissible with respect to (α', λ'), so that $(M, \lambda', \alpha', J_1)$ is a tamed first kind lcs manifold. And let J_0 be the almost complex structure J^λ, as in Section 5. Extend J_0, J_1 to a smooth family $\{J_t\}$ of almost complex structures on M, so that J_t is ω_t-compatible for each t. Then in the absence of holomorphic sky catastrophes, by Theorem 7.12, there is a non-constant elliptic J_1-holomorphic curve u in M. If M has dimension 4 then by the proof of Proposition 6.4 u may be assumed to be normal and embedded. So that the theorem follows by Theorem 3.5. $\square$

Lemma 6.6. *Let $u : \Sigma \to M$ be a Reeb 2-curve in a closed rational first kind lcs manifold (M, λ, α), then its normalization $\widetilde{u} : \widetilde{\Sigma} \to M$ is a Reeb 2-curve.*

Proof. By Lemma 6.1 we have a surjective classifying map $p : M \to S^1$ of α. Note that the fibers of p, M_t, $t \in S^1$, are contact with contact form $\lambda_t = \lambda|_{C_t}$, as $0 \neq \omega^n = \alpha \wedge \lambda \wedge d\lambda^{n-1}$ and $\alpha = 0$ on M_t.

Let $\widetilde{u} : \widetilde{\Sigma} \to M$ be the normalization of u. Suppose it is not a Reeb 2-curve, which by definitions just means that $0 = [\widetilde{u}^* \alpha] \in H^1(\widetilde{\Sigma}, \mathbb{R})$. Since $0 \neq [u^*\alpha] \in H^1(\Sigma, \mathbb{R})$, some node z_0 of Σ lies on closed loop $o : S^1 \to \Sigma$ with $\langle [o], [u^*\alpha] \rangle \neq 0$. In this case we may find a smooth map $\rho : D \subset \widetilde{\Sigma} \to M$, where $D \simeq D^2$ and ∂D is a component of a regular fiber C_t of the classifying map $p' : \widetilde{\Sigma} \to S^1$ of $\widetilde{u}^*\alpha$. (D is a certain disk, whose interior contains an element of $\phi^{-1}(z_0)$.)

Then analogously to the proof of the first part of Theorem 2.8, $\rho|_{\partial D}$ is a (unparametrized) λ_t-Reeb orbit in M_t. And in particular $\int_{\partial D} \widetilde{u}^* \lambda \neq 0$. But the first condition of being a Reeb 2-curve implies that $\int_D d\widetilde{u}^*\lambda = 0$, since $\ker d\lambda$ on M is spanned by X_λ, X_α. So we have a contradiction to Stokes theorem. Thus, $\widetilde{u}$ must be a Reeb 2-curve.

$\square$

Proof of Theorem 2.20. Let $(M = C \times S^1, \lambda, \alpha)$ be the extension as in the hypothesis, which is then a rational first kind lcs manifold of dimension 4. And let $u : \Sigma \to M$ be a normal and embedded elliptic Reeb 2-curve, which exists by the hypothesis. Then $(u^*\lambda, u^*\alpha)$ is an exact lcs structure on $\Sigma \simeq T^2$.

In particular $u^*\alpha$ has no zeros. And so the classifying map $p : \Sigma \to S^1$ of $u^*\alpha$ is a fibration, with model fiber $\sqcup_{i \in \{1,\ldots,n\}} S^1$. Following the proof of Theorem 2.8, we get that each component of the fiber S_t of p, $t \in S^1$, is mapped by u to an unparametrized $\lambda_{g(t)}$-Reeb orbit in $M_t = C \times \{t\}$, where g is some continuous map $g : S^1 \to S^1$. And so this completes the proof. $\square$

Proof of Theorem 2.16. Let (C, λ) and ϕ be as in the hypothesis and let $(M_\phi, \lambda_\phi, \alpha_\phi)$ denote the mapping torus of ϕ. A bit more specifically, $M_\phi = C \times [0,1]/\sim$, where the equivalence $\sim$ is generated by $(x, 1) \sim (\phi(x), 0)$, for more details on the corresponding lcs structure see for instance [3]. Then $(M_\phi, \lambda_\phi, \alpha_\phi)$ is a rational first kind lcs manifold. By the hypothesis there is an elliptic Reeb 2-curve in M.

We now show that all Reeb 2-curves must be of a certain type. Let $o : S^1 \to C$ be a λ-Reeb orbit and let $\widetilde{o} : S^1 \times I \to C \times I$ be the map $\widetilde{o}(t, \tau) = (o(t), \tau)$. Suppose that image $\phi^n(o) =$ image(o), for some $n > 0$, then clearly there is a charge n Reeb 2-curve in M_ϕ with image the image of $q \circ \widetilde{o}$ for $q : C \times [0,1] \to M_\phi$ the quotient map. This Reeb 2-curve u^n_o is unique up reparametrization and we call it the *charge n Reeb torus of o*. It is not hard to see that every Reeb 2-curve is a charge n Reeb torus of some o, n. The formal proof of this is analogous to the proof of Theorem 3.4. In particular, up to parametrization $u = u^n_o$ for some o, n and hence image $\phi^n(o) =$ image(o), so that the conclusion follows. $\square$

Proof of Theorem 1.2. Let (C, λ) and ϕ be as in the hypothesis and let $(M_\phi, \lambda_\phi, \alpha_\phi)$ be the mapping torus of ϕ as above. Then $(M_\phi, \lambda_\phi, \alpha_\phi)$ is a rational first kind lcs manifold. If ϕ is sufficiently C^∞ small then $(\lambda_\phi, \alpha_\phi)$ is d_3 ϵ-close to the lcs-fication (λ, α) of λ. Hence, by Theorem 2.12 there is an elliptic charge 1 Reeb 2-curve u in $(M_\phi, \lambda_\phi, \alpha_\phi)$. Then by the proof of Theorem 2.20 above we conclude that image $\phi(o) =$ image(o). $\square$

Proof of Theorem 2.19. Suppose we have a rational formal homotopy of ϕ to the identity as in the hypothesis. Then assuming that $i(R^\lambda, \beta) \neq 0$ and assuming that sky catastrophes do not generically exist, by Corollary 3.11 we get that $(M_\phi, \lambda_\phi, \alpha_\phi)$ has a charge 1 Reeb 2-curve u. Then as in the first part of the proof we conclude that image $\phi(o) = \text{image}(o)$. □

Proof of Theorem 2.23. Suppose that $u : \Sigma \to M$ is an immersed Reeb 2-curve, we then show that M also has a Reeb 1-curve. Let $\widetilde{u} : \widetilde{\Sigma} \to M$ be the normalization of u, so that $\widetilde{u}$ is an immersion. We have a pair of transverse 1-distributions $D_1 = \widetilde{u}^*\mathbb{R}\langle X_\alpha \rangle$, $D_2 = \widetilde{u}^*\mathbb{R}\langle X_\lambda \rangle$ on $\widetilde{\Sigma}$. We may then find an embedded path $\gamma : [0,1] \to \widetilde{\Sigma}$, tangent to D_1 s.t. $\lambda(\gamma'(t)) > 0$, $\forall t \in [0,1]$, and s.t. $\gamma(0)$ and $\gamma(1)$ are on a leaf of D_2. It is then simple to obtain from this a Reeb 1-curve o, by joining the end points of γ by an embedded path tangent to D_2, and perturbing, see Figure 1. This proves the first part of the

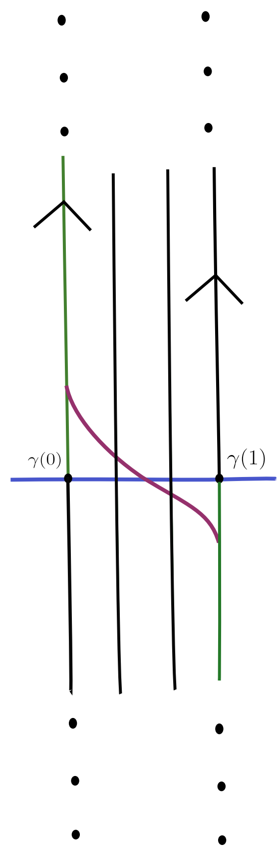

FIGURE 1. The green shaded path is γ, the indicated orientation is given by $u^*\lambda$, the D_1 folliation is shaded in black, the D_2 folliation is shaded in blue. The purple segment is part of the loop $o : S^1 \to \Sigma$, which is is smooth and satisfies $\lambda(o'(t)) > 0$ for all t.

theorem.

To prove the second part, suppose that $u : \Sigma \to M$ is an immersed elliptic Reeb 2-curve. Suppose that u is not normal. Let $\widetilde{u} : \widetilde{\Sigma} \to M$ be its normalization. Then $\widetilde{\Sigma}$ has a genus 0 component $\mathcal{S}$. So that $\widetilde{u} : \mathcal{S} \simeq \mathbb{CP}^1 \to M$ is immersed. The distribution $D_1 = \widetilde{u}^*\mathbb{R}\langle X_\alpha \rangle$, as appearing above, is then a $\widetilde{u}^*\lambda$-oriented 1-dimensional distribution on $\mathbb{CP}^1$ which is impossible. □

7. EXTENDED GROMOV-WITTEN INVARIANTS AND THE EXTENDED FULLER INDEX

It will be convinient to define pseudo lcs structures as follows:

Definition 7.1. *A* **pseudo lcs structure** *on a manifold M is a triple (ω, J, α) where (ω, J) is an almost symplectic pair, and α is any closed 1-form. We say it is* **rational** *if α is rational.*

In what follows M is a closed oriented $2n$-fold, $n \geq 2$, and J an almost complex structure on M. Much of the following discussion extends to general moduli spaces $\overline{\mathcal{M}}_{g,n}(J, A, a_1, \ldots, a_n)$ with $a_1, \ldots, a_n$ homological constraints in M. We shall however restrict for simplicity to the case $g = 1, n = 1$, and with the homological constraint $a = [M]$, as this is the main interest in this paper.

Moreover, we will work with rational pseudo lcs structures (ω, J, α), so that we can define charge of a curve with respect to α as in Section 3. The fixed charge n will be implicit, so that we will not specify this in notation. Thus $\overline{\mathcal{M}}_{1,1}(M, J, A)$ will be shorthand for $\overline{\mathcal{M}}_{1,1}^n(M, \omega, \alpha, J, A)$, denoting charge n J-curves.

In what follows, for an almost symplectic pair (ω, J), and $u : \Sigma \to M$ a smooth map, $e(u) := e_{g_J}(u)$ the L^2 energy with respect to g_J, where the latter is as previously.

Definition 7.2. *Let $h = \{(\omega_t, J_t, \alpha_t)\}$ be a homotopy of rational pseudo lcs structures on M, so that $\{J_t\}$ is Frechet smooth, and $\{\omega_t\}$ C^0 continuous. We say that this homotopy is* **partially admissible for** *A if every element of*
$$\overline{\mathcal{M}}_{1,1}(M, J_0, A)$$
is contained in a compact open subset of $\overline{\mathcal{M}}_{1,1}(M, \{J_t\}, A)$. We say that h is **admissible for** *A if every element of*
$$\overline{\mathcal{M}}_{1,1}(M, J_i, A),$$
$i = 0, 1$ is contained in a compact open subset of $\overline{\mathcal{M}}_{1,1}(M, \{J_t\}, A)$.

Thus, in the above definition, a homotopy is partially admissible if there are no sky catastrophes going one way, and admissible if there are no sky catastrophes going either way. To simplify notation, we denote by a capital X a rational pseudo lcs structure (ω, J, α) on a smooth manifold M. Then we introduce the following simplified notation.

$$\begin{aligned} S(X, A) &= \{u \in \overline{\mathcal{M}}_{1,1}(X, A)\} \\ S(X, a, A) &= \{u \in S(X, A) \mid e(u) \leq a\} \\ S(h, A) &= \{u \in \overline{\mathcal{M}}_{1,1}(h, A)\}, \text{ for } h = \{(\omega_t, J_t, \alpha_t)\} \text{ a homotopy as above} \\ S(h, a, A) &= \{u \in S(h, A) \mid e(u) \leq a\} \end{aligned} \tag{7.3}$$

Definition 7.4. *For an isolated element u of $S(X, A)$, which means that $\{u\}$ is open as a subset, we set $gw(u) \in \mathbb{Q}$ to be the local Gromov-Witten invariant of u. This is defined as:*
$$gw(u) = GW_{1,1}(\{u\}, A, J)([\overline{M}_{1,1}] \otimes [M]),$$
with the right-hand side as in (4.1).

Denote by $\mathcal{SM}(A)$ the set of equivalence classes of all smooth stable maps $\Sigma \to M$, in class A, for Σ an (non-fixed) elliptic curve, and where equivalence has the same meaning as in Section 3.

Definition 7.5. *Suppose that $S(X, A)$ has open connected components. And suppose that we have a collection of almost symplectic pairs*
$$\{X^a = (M, \omega^a, J^a)\},\ a \in \mathbb{R}_+$$
satisfying the following:

- *$S(X^a, a, A)$ consists of isolated curves for each a.*
- $$S(X^a, a, A) = S(X^b, a, A),$$
  (equality of subsets of $\mathcal{SM}(A)$) if $b > a$,
- *For $b > a$, and for each $u \in S(X^a, a, A) = S(X^b, a, A)$:*
  $$GW_{1,1}(\{u\}, A, J^a) = GW_{1,1}(\{u\}, A, J^b),$$
  thus we may just write $gw(u)$ for the common number.

- *There is a prescribed homotopy* $h^a = \{X^a_t\}$ *of each* X^a *to* X*, called* **structure homotopy***, with the following property. For every*
$$y \in S(X^a_0, A)$$
there is an open compact subset $\mathcal{C}_y \subset S(h^a, A)$*,* $y \in C_y$*, which is* **non-branching***, where the latter means that*
$$\mathcal{C}_y \cap S(X^a_i, A),$$
$i = 0, 1$ *are connected.*
- $$S(h^a, a, A) = S(h^b, a, A),$$
(similarly equality of subsets) if $b > a$ *is sufficiently large.*

We will then say that
$$\mathcal{P}(A) = \{(X^a, h^a)\}$$
is a **perturbation system** *for* X *in the class* A*.*

We shall see shortly that, given a contact (C, λ), the associated Banyaga lcs structure on $C \times S^1$ always admits a perturbation system for the moduli spaces of charge (1,0) curves in any class, if λ is Morse-Bott.

Definition 7.6. *Suppose that* X *admits a perturbation system* $\mathcal{P}(A)$ *so that there exists an* $E = E(\mathcal{P}(A))$ *with the property that*
$$S(X^a, a, A) = S(X^E, a, A)$$
for all $a > E$*, where this as before is equality of subsets, and the local Gromov-Witten invariants of the identified elements are also identified. Then we say that* X *is* **finite type** *and set:*
$$GW(X, A) = \sum_{u \in S(X^E, A)} gw(u).$$

Definition 7.7. *Suppose that* X *admits a perturbation system* $\mathcal{P}(A)$ *and there is an* $E = E(\mathcal{P}(A)) > 0$ *so that* $gw(u) > 0$ *for all*
$$\{u \in S(X^a, A) \,|\, E \leq e(u) \leq a\}$$
respectively $gw(u) < 0$ *for all*
$$\{u \in S(X^a, A) \,|\, E \leq e(u) \leq a\},$$
and every $a > E$*. Suppose in addition that*
$$\lim_{a \mapsto \infty} \sum_{u \in S(X, a, A)} gw(u) = \infty, \text{ respectively } \lim_{a \mapsto \infty} \sum_{u \in S(X, a, \beta)} gw(u) = -\infty.$$
Then we say that X *is* **positive infinite type***, respectively* **negative infinite type** *and set*
$$GW(X, A) = \infty,$$
respectively $GW(X, A) = -\infty$*. These are meant to be interpreted as extended Gromov-Witten invariants, counting elliptic curves in class* A*. We say that* X *is* **infinite type** *if it is one or the other.*

Definition 7.8. *We say that* X *is* **definite** *type if it admits a perturbation system and is infinite type or finite type.*

With the above definitions
$$GW(X, A) \in \mathbb{Q} \sqcup \infty \sqcup -\infty,$$
when it is defined.

Proof of Theorem 3.6. Given the definitions above, and the definition of the extended Fuller index in [24], this follows by the same argument as the proof of Theorem 5.5. □

7.0.1. *Perturbation systems for Morse-Bott Reeb vector fields.*

Definition 7.9. *A contact form λ on M, and its associated flow R^λ are called* Morse-Bott *if the λ action spectrum $\sigma(\lambda)$ - that is the space of critical values of $o \mapsto \int_{S^1} o^*\lambda$, $o: S^1 \to M$, is discreet and if for every $a \in \sigma(\lambda)$, the space*

$$N_a := \{x \in M | \, F_a(x) = x\},$$

F_a the time a flow map for R^λ - is a closed smooth manifold such that rank $d\lambda|_{N_a}$ is locally constant and $T_x N_a = \ker(dF_a - I)_x$.

Proposition 7.10. *Let λ be a contact form of Morse-Bott type, on a closed contact manifold C. Then the corresponding (lcs-fication) structure $X_\lambda = (d_\alpha\lambda, J^\lambda, \alpha)$ on $C \times S^1$, admits a perturbation system $\mathcal{P}(A)$, for every class A.*

Proof. This follows immediately by [24, Proposition 2.12], and by Proposition 3.4. □

Lemma 7.11. *The The structure $X = (d_\alpha\lambda, J^{\lambda_H}, \alpha)$, on $S^{2k+1} \times S^1$, for λ the Hopf contact structure on S^{2k+1} is infinite type.*

Proof. This follows immediately by [24, Lemma 2.13], and by Proposition 3.4. □

Theorem 7.12. *Let (C, λ) be a closed contact manifold so that R^λ has definite type, and suppose that $i(R^\lambda, \beta) \neq 0$. Let $\omega_0 = d_\alpha\lambda$ be the lcs-fication, and suppose we have a partially admissible homotopy $h = \{(\omega_{t,}, J_t, \alpha_t\}$, for class A_β, then there in an element $u \in \overline{\mathcal{M}}^1_{1,1}(J_1, A_\beta)$.*

The proof of this will follow.

7.1. **Preliminaries on admissible homotopies.**

Definition 7.13. *Let $h = \{X_t\}$ be a smooth homotopy of rational pseudo lcs structures on M. For $b > a > 0$ we say that h is* **partially** a, b-**admissible**, *respectively* a, b-**admissible** *(in class A) if for each*

$$y \in S(X_0, a, A)$$

there is a compact open subset $\mathcal{C}_y \subset S(h, A)$, $y \in \mathcal{C}_y$ with $e(u) < b$, for all $u \in \mathcal{C}_y$. Respectively, if for each

$$y \in S(X_i, a, A),$$

$i = 0, 1$ there is a compact open subset $\mathcal{C}_y \ni y$ of $S(h, A)$ with $e(u) < b$, for all $u \in \mathcal{C}_y$.

Lemma 7.14. *Suppose that X_0 has a perturbation system $\mathcal{P}(A)$, and $\{X_t\}$ is partially admissible, then for every a there is a $b > a$ so that $\{\widetilde{X}^b_t\} = \{X_t\} \cdot \{X^b_t\}$ is partially a, b-admissible, where $\{X_t\} \cdot \{X^b_t\}$ is the (reparametrized to have t domain $[0, 1]$) concatenation of the homotopies $\{X_t\}, \{X^b_t\}$, and where $\{X^b_t\}$ is the structure homotopy from X^b to X_0.*

Proof. This is a matter of pure topology, and the proof is completely analogous to the proof of [24, Lemma 3.8]. □

The analogue of Lemma 7.14 in the admissible case is the following:

Lemma 7.15. *Suppose that X_0, X_1 and $\{X_t\}$ are admissible, then for every a there is a $b > a$ so that*

$$\{\widetilde{X}^b_t\} = \{X^b_{1,t}\}^{-1} \cdot \{X_t\} \cdot \{X^b_{0,t}\} \tag{7.16}$$

is a, b-admissible, where $\{X^b_{i,t}\}$ are the structure homotopies from X^b_i to X_i.

7.2. **Invariance.**

Theorem 7.17. *Suppose X_0 is definite type, with $GW(X_0, A) \neq 0$, and suppose it is joined to X_1 by a partially admissible homotopy $\{X_t\}$, then X_1 has non-constant elliptic class A curves.*

Proof of Theorem 7.12. This follows by Theorem 7.17 and by Theorem 3.6. □

We also have a more precise result.

Theorem 7.18. *If X_0, X_1 are definite type pairs and $\{X_t\}$ is admissible then $GW(X_0, A) = GW(X_1, A)$.*

Proof of Theorem 7.17. Suppose that X_0 is definite type with $GW(X_0, A) \neq 0$, $\{X_t\}$ is partially admissible and $\overline{\mathcal{M}}_{1,1}(X_1, A) = \emptyset$. Let a be given and b determined so that $\widetilde{h}^b = \{\widetilde{X}_t^b\}$ is a partially (a, b)-admissible homotopy. We set

$$S_a = \bigcup_y \mathcal{C}_y \subset S(\widetilde{h}^b, A),$$

for $y \in S(X_0^b, a, A)$. Here we use a natural identification of $S(X^b, a, A) = S(\widetilde{X}_0^b, a, A)$ as a subset of $S(\widetilde{h}^b, A)$ by its construction. Then S_a is an open-compact subset of $S(h, A)$ and so admits an implicit atlas (Kuranishi structure) with boundary, (with virtual dimension 1) s.t:

$$\partial S_a = S(X^b, a, A) + Q_a,$$

where Q_a as a set is some subset (possibly empty), of elements $u \in S(X^b, b, A)$ with $e(u) \geq a$. So we have for all a:

$$\sum_{u \in Q_a} gw(u) + \sum_{u \in S(X^b, a, A)} gw(u) = 0. \tag{7.19}$$

7.3. **Case I, X_0 is finite type.** Let $E = E(\mathcal{P})$ be the corresponding cutoff value in the definition of finite type, and take any $a > E$. Then $Q_a = \emptyset$ and by definition of E we have that the left side is

$$\sum_{u \in S(X^b, E, A)} gw(u) \neq 0.$$

Clearly this gives a contradiction to (7.19).

7.4. **Case II, X_0 is infinite type.** We may assume that $GW(X_0, A) = \infty$, and take $a > E$, where $E = E(\mathcal{P}(A))$ is the corresponding cutoff value in the definition of infinite type. Then

$$\sum_{u \in Q_a} gw(u) \geq 0,$$

as $a > E(\mathcal{P}(A))$. On the other hand,

$$\lim_{a \mapsto \infty} \sum_{u \in S(X^b, a, A)} gw(u) = \infty,$$

as $GW(X_0, A) = \infty$. This also contradicts (7.19). □

Proof of Theorem 7.18. This is somewhat analogous to the proof of Theorem 7.17. Suppose that $X_i, \{X_t\}$ are definite type as in the hypothesis. Let a be given and b determined so that $\widetilde{h}^b = \{\widetilde{X}_t^b\}$, see (7.16) is an (a, b)-admissible homotopy. We set

$$S_a = \bigcup_y \mathcal{C}_y \subset S(\widetilde{h}^b, A)$$

for $y \in S(X_i^b, a, A)$. Then S_a is an open-compact subset of $S(h, A)$ and so has admits an implicit atlas (Kuranishi structure) with boundary, (with virtual dimension 1) and satisfies the following.

$$\partial S_a = (S(X_0^b, a, A) + Q_{a,0})^{op} + S(X_1^b, a, A) + Q_{a,1},$$

with op denoting the opposite orientation, where $Q_{a,i}$ as sets are some subsets (possibly empty), of elements $u \in S(X^b_i, b, A)$ with $e(u) \geq a$. So we have for all a:

$$\sum_{u \in Q_{a,0}} gw(u) + \sum_{u \in S(X^b_0, a, A)} gw(u) = \sum_{u \in Q_{a,1}} gw(u) + \sum_{u \in S(X^b_1, a, A)} gw(u). \tag{7.20}$$

7.5. **Case I, X_0 is finite type and X_1 is infinite type.** Suppose in addition $GW(X_1, A) = \infty$ and let $E = \max(E(\mathcal{P}_0(A)), E(\mathcal{P}_1(A)))$, for $\mathcal{P}_i$, the perturbation systems of X_i. Take any $a > E$. Then $Q_{a,0} = \emptyset$ and the left-hand side of (7.20) is

$$\sum_{u \in S(X^b_0, E, A)} gw(u) < \infty.$$

The right-hand side tends to ∞ as a tends to infinity since,

$$\sum_{u \in Q_{a,1}} gw(u) \geq 0,$$

as $a > E(\mathcal{P}_1(A))$, and since

$$\lim_{a \mapsto \infty} \sum_{u \in S(X^b_1, a, A)} gw(u) = \infty.$$

Clearly this gives a contradiction to (7.20).

7.6. **Case II, X_i are infinite type.** Suppose in addition $GW(X_0, A) = -\infty$, $GW(X_1, A) = \infty$ and let $E = \max(E(\mathcal{P}_0(A)), E(\mathcal{P}_1(A)))$, for $\mathcal{P}_i$, the perturbation systems of X_i. Take any $a > E$. Then $\sum_{u \in Q_{a,0}} gw(u) \leq 0$, and $\sum_{u \in Q_{a,1}} gw(u) \geq 0$. So by definition of $GW(X_i, A)$ the left hand side of (7.19) tends to $-\infty$ as a tends to ∞, and the right hand side tends to ∞. Clearly this gives a contradiction to (7.20).

7.7. **Case III, X_i are finite type.** The argument is analogous. $\square$

A. Fuller index

Let X be a vector field on M. Set

$$S(X) = S(X, \beta) = \{o \in L_\beta M \mid \exists p \in (0, \infty), \;\; o : \mathbb{R}/\mathbb{Z} \to M \text{ is a periodic orbit of } pX\}, \tag{A.1}$$

where $L_\beta M$ denotes the free homotopy class β component of the free loop space. The above p is uniquely determined and we denote it by $p(o)$.

There is a natural $S^1 = \mathbb{R}/\mathbb{Z}$ reparametrization action on $S(X)$, $t \cdot o$ is the loop $t \cdot o(\tau) = o(t + \tau)$. The elements of $\mathcal{O}(X) := S(X)/S^1$ will be called *unparametrized orbits*, or just orbits. Slightly abusing notation we just write o for the equivalence class of o. The multiplicity $m(o)$ of a periodic orbit is the ratio $p(o)/l$ for $l > 0$ the period of a simple orbit covered by o.

We want a kind of fixed point index which counts orbits o with certain weights - however in general to get invariance we must have period bounds. This is due to potential existence of sky catastrophes as described in the introduction.

Assume for simplicity that $N \subset \mathcal{O}(X)$ is discreet. (Otherwise we need to perturb.) Then to such an (N, X, β) Fuller associates an index:

$$i(N, X, \beta) = \sum_{o \in N} \frac{1}{m(o)} i(o),$$

where $i(o)$ is the fixed point index of the time $p(o)$ return map of the flow of X with respect to a local surface of section in M transverse to the image of o. Fuller then shows that $i(N, X, \beta)$ has the following invariance property. Given a continuous homotopy $\{X_t\}$, $t \in [0, 1]$ let

$$S(\{X_t\}, \beta) = \{(o, t) \in L_\beta M \times (0, \infty) \times [0, 1] \mid \exists p \in (0, \infty), \;\; o : \mathbb{R}/\mathbb{Z} \to M \text{ is a periodic orbit of } pX_t\}.$$

Given a continuous homotopy $\{X_t\}$, $X_0 = X$, $t \in [0,1]$, suppose that $\widetilde{N}$ is an open compact subset of $S(\{X_t\})/S^1$, such that

$$\widetilde{N} \cap (LM \times \mathbb{R}_+ \times \{0\})/S^1 = N.$$

Then if

$$N_1 = \widetilde{N} \cap (LM \times \mathbb{R}_+ \times \{1\})/S^1$$

we have

$$i(N, X, \beta) = i(N_1, X_1, \beta).$$

In the case where X is the R^λ-Reeb vector field on a contact manifold (C^{2n+1}, λ), and if o is non-degenerate, we have:

$$i(o) = \operatorname{sign} \operatorname{Det}(\mathrm{Id}|_{\xi(x)} - F^\lambda_{p(o),*}|_{\xi(x)}) = (-1)^{CZ(o)-n}, \tag{A.2}$$

where $F^\lambda_{p(o),*}$ is the differential at x of the time $p(o)$ flow map of R^λ, and where $CZ(o)$ is the Conley-Zehnder index, see [23].

There is also an extended Fuller index $i(X, \beta) \in \mathbb{Q} \sqcup \{\pm\infty\}$, for certain X having definite type. This is constructed in [24], and is conceptually analogous to the extended Gromov-Witten invariant described in this paper.

The following technical notion is useful in connection with Gromov-Witten theory and is used in some of the statements appearing in the introduction. Let $p : \mathcal{O}(X) \to \mathbb{R}_+$ be as above.

Definition A.3. *We say that $N \subset \mathcal{O}(X)$ is* **good** *if it is open, compact and if it is energy isolated meaning:*

$$\exists E_0 > 0\, \exists E_1\, \exists \epsilon > 0 : N \subset \left(U = p^{-1}(E^0, E^1)\right) \subset \left(V = p^{-1}(E^0 - \epsilon, E^1 + \epsilon)\right),$$

with $V \cap \mathcal{O}(X) = N$.

B. Remark on multiplicity

This is a small note on how one deals with curves having non-trivial isotropy groups, in the virtual fundamental class technology. We primarily need this for the proof of Theorem 5.5.

Given a closed oriented orbifold X, with an orbibundle E over X Fukaya-Ono [10] show how to construct using multi-sections its rational homology Euler class, which when X represents the moduli space of some stable curves, is the virtual moduli cycle $[X]^{vir}$. When this is in degree 0, the corresponding Gromov-Witten invariant is $\int_{[X]^{vir}} 1$. However, they assume that their orbifolds are effective. This assumption is not really necessary for the purpose of construction of the Euler class but is convenient for other technical reasons. A different approach to the virtual fundamental class which emphasizes branched manifolds is used by McDuff-Wehrheim, see for example McDuff [13], [16] which does not have the effectivity assumption, a similar use of branched manifolds appears in [5]. In the case of a non-effective orbibundle $E \to X$ McDuff [15], constructs a homological Euler class $e(E)$ using multi-sections, which extends the construction [10]. McDuff shows that this class $e(E)$ is Poincare dual to the completely formally natural cohomological Euler class of E, constructed by other authors. In other words there is a natural notion of a homological Euler class of a possibly non-effective orbibundle. We shall assume the following black box property of the virtual fundamental class technology.

Axiom B.1. *Suppose that the moduli space of stable maps is cleanly cut out, which means that it is represented by a (non-effective) orbifold X with an orbifold obstruction bundle E, that is the bundle over X of cokernel spaces of the linearized CR operators. Then the virtual fundamental class $[X]^{vir}$ coincides with $e(E)$.*

Given this axiom it does not matter to us which virtual moduli cycle technique we use. It is satisfied automatically by the construction of McDuff-Wehrheim, (at the moment in genus 0, but surely extending). It can be shown to be satisfied in the approach of John Pardon [22]. And it is satisfied by the construction of Fukaya-Oh-Ono-Ohta [8], the latter is communicated to me by Kaoru Ono. When X is 0-dimensional this does follow immediately by the construction in [10], taking any effective Kuranishi neighborhood at the isolated points of X, (this actually suffices for our paper.)

As a special case most relevant to us here, suppose we have a moduli space of elliptic curves in X, which is regular with expected dimension 0. Then its underlying space is a collection of oriented points. However, as some curves are multiply covered, and so have isotropy groups, we must treat this is a non-effective 0 dimensional oriented orbifold. The contribution of each curve $[u]$ to the Gromov-Witten invariant $\int_{[X]^{vir}} 1$ is $\frac{\pm 1}{[\Gamma([u])]}$, where $[\Gamma([u])]$ is the order of the isotropy group $\Gamma([u])$ of $[u]$, in the McDuff-Wehrheim setup this is explained in [13, Section 5]. In the setup of Fukaya-Ono [10] we may readily calculate to get the same thing taking any effective Kuranishi neighborhood at the isolated points of X.

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Email address: yasha.savelyev@gmail.com

University of Colima, CUICBAS