

0.1 Preliminary remarks on set theory

References. Literature for this chapter:

- Sophie Morel - Homological Algebra I.1,
- Daniel Murfet - Foundations for Category Theory,
- Saunders MacLane - Categories for the Working Mathematician I.6.

In this course we always assume a model of set theory that satisfies the Zermelo-Fraenkel axioms + the axiom of choice (ZFC).

Definition (Grothendieck universe; we assume ZFC). A *universe* \mathcal{U} is a set which has the following properties:

- (i) $\emptyset, \mathbb{N} \in \mathcal{U}$,
- (ii) $X \in \mathcal{U}$ and $y \in X \implies y \in \mathcal{U}$,
- (iii) $X \in \mathcal{U} \implies \{X\} \in \mathcal{U}$,
- (iv) $X \in \mathcal{U} \implies \mathcal{P}(X) \in \mathcal{U}$,
- (v) If $I \in \mathcal{U}$ and $\{X_i\}_{i \in I}$ is a family of members $X_i \in \mathcal{U}$, then $\bigcup_{i \in I} X_i \in \mathcal{U}$.

The existence of a universe is equivalent to the existence of a strongly inaccessible cardinal. (Thomas Jech - Set Theory)

Axiom (Axiom of universes (Grothendieck)). *Every set lies in a universe. (We will assume this)*

Definition. If \mathcal{U} is our chosen universe, then:

- A \mathcal{U} -set is an element in \mathcal{U} .
- A \mathcal{U} -class is a subset of \mathcal{U} .
- A \mathcal{U} -group is a group (G, e, \cdot) with $G \in \mathcal{U}$ and $\cdot : G \times G \rightarrow G \in \mathcal{U}$.
- A \mathcal{U} -ring is a ring $(R, 0, 1, +, \cdot)$ with $R \in \mathcal{U}$ and also $+, \cdot$
- etc.

Convention. We fix a \mathcal{U} and drop \mathcal{U} - in all terms.

0.2 Categories

Definition 0.1. (a) A *directed graph* (a diagram scheme) is a tuple $(O, A, \text{dom}, \text{cod})$ consisting of \mathcal{U} -classes O and A and maps $\text{dom}, \text{cod} : A \rightarrow O$. We call elements of O *objects* (or vertices) and elements of A *arrows* (or directed edges). For an arrow $f \in A$ call $\text{dom}(f)$ the *source* (or domain) of f and $\text{cod}(f)$ the target (or codomain) of f .

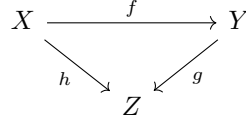
- (b) For a graph as in (a) call $A \times_O A := \{(g, f) \in A \times A \mid \text{dom}(g) = \text{cod}(f)\}$ set of composable arrow pairs.

- (c) A subgraph of $(O, A, \text{dom}, \text{cod})$ is a graph $(O', A', \text{dom}', \text{cod}')$ such that $O' \subseteq O, A' \subseteq A, \text{dom}' = \text{dom}|_{A'}$ and $\text{cod}' = \text{cod}|_{A'}$.

Example 0.2. Let $O = \{X, Y, Z\}, A = \{f, g, h\}, \text{dom}, \text{cod} : A \rightarrow O$ given by the table

	f	g	h
dom	X	Y	X
cod	Y	Z	Z

Illustration:



Definition 0.3. A *category* \mathcal{C} is a tuple $(\text{Ob } \mathcal{C}, \text{Mor } \mathcal{C}, \text{dom}, \text{cod}, \circ, 1)$ consisting of a graph $(\text{Ob } \mathcal{C}, \text{Mor } \mathcal{C}, \text{dom}, \text{cod})$ and maps

$$1 : \text{Ob } \mathcal{C} \rightarrow \text{Mor } \mathcal{C}, X \mapsto 1_X$$

and

$$\circ : \text{Mor } \mathcal{C} \times_{\text{Ob } \mathcal{C}} \text{Mor } \mathcal{C} \rightarrow \text{Mor } \mathcal{C}, (g, f) \mapsto g \circ f$$

such that:

- (i) $\text{dom}(1_X) = \text{cod}(1_X) = X, \forall X \in \text{Ob } \mathcal{C},$
- (ii) $\text{dom}(g \circ f) = \text{dom}(f)$ and $\text{cod}(g \circ f) = \text{cod}(g),$
- (iii) $\forall f \in \text{Mor } \mathcal{C}$ with $X = \text{dom}(f), Y = \text{cod}(f)$

$$f \circ 1_X = 1_Y \circ f = f$$

- (iv) \forall arrows $f, g, h \in \text{Mor } \mathcal{C}$ such that (h, g) and (g, f) are composable arrow pairs we have

$$h \circ (g \circ f) = (h \circ g) \circ f$$

Call elements of $\text{Ob } \mathcal{C}$ the objects of \mathcal{C} and elements of $\text{Mor } \mathcal{C}$ the morphisms of \mathcal{C} .

Notation 0.4. For a category \mathcal{C} as in definition 3

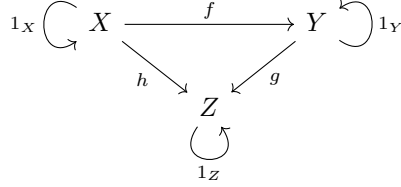
- (a) (often) write $X, Y \in \mathcal{C}$ to mean $X, Y \in \text{Ob } \mathcal{C}$
- (b) For $X, Y \in \mathcal{C}$ write

$$\mathcal{C}(X, Y) := \text{Mor}_{\mathcal{C}}(X, Y) := \{f \in \mathcal{C} \mid \text{dom } f = X, \text{cod } f = Y\}$$

Definition 0.5. (a) Call a category \mathcal{C} locally small if $\mathcal{C}(X, Y)$ is a set $\forall X, Y \in \mathcal{C},$

- (b) Call \mathcal{C} small if $\text{Ob } \mathcal{C}, \text{Mor } \mathcal{C}$ are sets.

Remark 0.6 (Extension of example 2 to a category). Let $O = \{X, Y, Z\}$, $A = \{f, g, h\} \cup \{1_X, 1_Y, 1_Z\}$, cod, dom as before on $\{f, g, h\}$ and uniquely extended to $\{1_X, 1_Y, 1_Z\}$ by axiom (i) and \circ the only possible composition satisfying the axioms



composable arrow pairs:

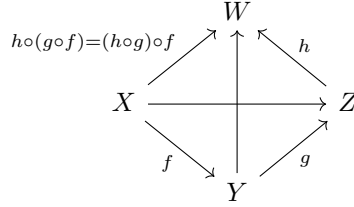
$(1_X, 1_X), (f, 1_X), (1_Y, 1_Y), (1_Y, f), (g, 1_Y), (1_Z, 1_Z), (1_Z, g), (1_Z, h), (h, 1_X), (g, h)$

Canonical universal extension would contain a second arrow $X \rightarrow Z$ since it would not want to impose the condition $g \circ f = h$.

Definition 0.7. (a) A diagram in \mathcal{C} is a subgraph Γ of $(\text{Ob } \mathcal{C}, \text{Mor } \mathcal{C}, \text{dom}, \text{cod})$.

(b) A diagram is commutative if for all objects X, Y of Γ and all chains of arrows from X to Y , their composition is the same (i.e. it only depends on X and Y).

Example (For associativity).



Examples (Examples of categories). • **Set** (category of \mathcal{U} -sets): where

- $\text{Ob Set} =$ class of all \mathcal{U} -sets,
- $\text{Mor Set} =$ class of all \mathcal{U} -maps between sets,
- dom, cod are the domain and codomain (range) of a map. (Think of a map as a triple $(X, Y, \text{graph map in } X \times Y)$)
- $\circ =$ composition of maps,
- $1_X = \text{id}_X$ the identity map.

• **Grp** (category of abelian groups)

• **Ring**

• **CRing**

• **Top**

• ${}_R\text{Mod}$

- Mod_R
- Vec_K
- $\text{Ab} =_{\mathbb{Z}} \text{Mod}$

Examples (Abstract examples). 1. $\text{Ob } \mathcal{C} = \text{Mor } \mathcal{C} = \emptyset$ (empty category)

2. $\text{Ob } \mathcal{C} = \{X\}, \text{Mor } \mathcal{C} = \{1_X\}$ (1 arrow category)

3. Let G be a group, define a category \underline{G} by $\text{Ob } \underline{G} = \{*\}$ (singleton set) and $\text{Mor } \underline{G} = G$, dom, cod the unique map $G \rightarrow \{*\}$, $1_* = e$ (unit element of G). \circ = composition in G :

$$\text{Mor } \underline{G} \times \text{Mor } \underline{G} = G \times G \rightarrow G = \text{Mor } \underline{G}$$

4. Let $\underline{A} = (M, \leq)$ be a partially ordered set. Define the associated category $\text{Ord } \underline{M}$ with $\text{Ob } \text{Ord } \underline{M} = \text{elements of } M$, morphisms are determined by

$$\text{Ord } \underline{M}(X, Y) = \begin{cases} \text{singleton set,} & X \leq Y, \\ \emptyset, & \text{otherwise.} \end{cases}$$

Unit is clear. composition dictated by $\text{Mor}(\text{Ord } \underline{M})$ (i.e. by \leq)

Definition 0.8. For a category $\mathcal{C} = (\text{Ob } \mathcal{C}, \text{Mor } \mathcal{C}, \text{dom}, \text{cod}, \circ, 1)$ define the tuple $\mathcal{C}^{\text{op}} = (\text{Ob } \mathcal{C}, \text{Mor } \mathcal{C}, \text{cod}, \text{dom}, \circ^{\text{op}}, 1)$ with

$$\begin{aligned} \circ^{\text{op}} : \{(f, g) \in \text{Mor } \mathcal{C} \times \text{Mor } \mathcal{C} \mid \text{cod } f = \text{dom } g\} &\rightarrow \text{Mor } \mathcal{C} \\ (f, g) &\mapsto f \circ^{\text{op}} g := g \circ f \end{aligned}$$

(change the direction of arrows!)

Proposition 0.9 (Exercise). \mathcal{C}^{op} is a category, the opposite category to \mathcal{C} .

Example. $(\underline{G})^{\text{op}} = \underline{(G^{\text{op}})}$, $(G^{\text{op}} = (G, e, \circ^{\text{op}})$ with $g \circ^{\text{op}} h = h \circ g$).

Warning 0.10. $\text{Vec}_K^{\text{op}}(V, W) \neq$ not the set of maps $V \rightarrow W$, it is $\{f : W \rightarrow V \mid f \text{ is } K\text{-linear}\}$

Definition 0.11. A subcategory of $\mathcal{C} = (\text{Ob } \mathcal{C}, \text{Mor } \mathcal{C}, \text{dom}, \text{cod}, \circ, 1)$ is a category $\mathcal{C}' = (\text{Ob } \mathcal{C}', \text{Mor } \mathcal{C}', \text{dom}', \text{cod}', \circ', 1')$ such that $\text{Ob } \mathcal{C}' \subseteq \text{Ob } \mathcal{C}, \text{Mor } \mathcal{C}' \subseteq \text{Mor } \mathcal{C}, \text{dom}' = \text{dom}|_{\text{Mor } \mathcal{C}'}, \text{cod}' = \text{cod}|_{\text{Mor } \mathcal{C}'}, \circ' = \circ|_{\text{Mor } \mathcal{C}' \times_{\text{Ob } \mathcal{C}} \text{Mor } \mathcal{C}'}, 1' = 1|_{\text{Ob } \mathcal{C}'}$. We write $\mathcal{C}' \subseteq \mathcal{C}$.

Example. $\text{Ab} \subseteq \text{Grp}$ and $\text{CRing} \subseteq \text{Ring}$, etc.

Definition 0.12 (Product of categories). The product of two categories \mathcal{C} and \mathcal{C}' is the six-tuple:

$$(\text{Ob } \mathcal{C} \times \text{Ob } \mathcal{C}', \text{Mor } \mathcal{C} \times \text{Mor } \mathcal{C}', \text{dom} \times \text{dom}', \text{cod} \times \text{cod}', \circ, 1)$$

where \circ is componentwise composition $(g, g') \circ (f, f') = (g \circ f, g' \circ f')$ and $1_{X \times X'} = (1_X, 1_{X'})$

Definition 0.13 (Concepts inside categories). Let $X, Y \in \mathcal{C}$, then call $f \in \mathcal{C}(X, Y)$

- (a) an *isomorphism* $\iff \exists g \in \mathcal{C}(Y, X)$ such that $g \circ f = 1_X, f \circ g = 1_Y$,
- (b) an *endomorphism* $\iff X = Y$,
- (c) an *automorphism* \iff it is an isomorphism and an endomorphism

Moreover \mathcal{C} is called a groupoid category \iff all morphisms are isomorphisms.

Example. Let G be a group, then \underline{G} is a groupoid category. \mathcal{C} a groupoid category $\implies \mathcal{C}(X, X)$ is a group (under $\circ, \forall X \in \text{Ob } \mathcal{C}$).

Definition 0.14. Let $X, Y \in \mathcal{C}$, then call $f \in \mathcal{C}(X, Y)$:

- (a) a *monomorphism* $\iff f$ is left cancellable $\iff \forall W \in \mathcal{C}$ the map $f_* : \mathcal{C}(W, X) \rightarrow \mathcal{C}(W, Y), g \mapsto f \circ g$ is injective.

$$W \begin{matrix} \xrightarrow{g_1} \\ \xrightarrow{g_2} \end{matrix} X \xrightarrow{f} Y : f \circ g_1 = f \circ g_2 \implies g_1 = g_2.$$

- (b) an *epimorphism* $\iff f$ is right cancellable $\iff \forall Z \in \mathcal{C}$ the map $f^* : \mathcal{C}(Y, Z) \rightarrow \mathcal{C}(X, Z), h \mapsto h \circ f$ is injective.

$$X \xrightarrow{f} Y \begin{matrix} \xrightarrow{h_1} \\ \xrightarrow{h_2} \end{matrix} Z : h_1 \circ f = h_2 \circ f \implies h_1 = h_2.$$

- (c) a *split monomorphism* $\iff \exists g \in \mathcal{C}(Y, X)$ such that $g \circ f = 1_X$

$$X \begin{matrix} \xleftarrow{\quad g \quad} \\ \xrightarrow{\quad f \quad} \end{matrix} Y$$

- (d) a *split epimorphism* $\iff \exists h \in \mathcal{C}(Y, X)$ such that $f \circ h = 1_Y$

$$X \begin{matrix} \xleftarrow{\quad h \quad} \\ \xrightarrow{\quad f \quad} \end{matrix} Y$$

Facts 0.15. (a) f split mono-/epimorphism $\implies f$ mono-/epimorphism.

(b) f (split) mono-/epimorphism in $\mathcal{C} \implies f$ (split) mono-/epimorphism in \mathcal{C}^{op} .

(c) (Exercise) For $f \in \mathcal{C}(X, Y), (X, Y) \in \mathcal{C}$ the following are equivalent:

- (i) f is an isomorphism
- (ii) $\forall W \in \mathcal{C} : f_* : \mathcal{C}(W, X) \rightarrow \mathcal{C}(W, Y), g \mapsto f \circ g$ is bijective.
- (iii) $\forall Z \in \mathcal{C} : f^* : \mathcal{C}(Y, Z) \rightarrow \mathcal{C}(X, Z), h \mapsto h \circ f$ is bijective.

(b') f is an isomorphism in $\mathcal{C} \iff f$ is an isomorphism in \mathcal{C}^{op} .

Proof. (b), (b') are exercises. (c) “serious” exercise.

(a) For an epimorphism (check right cancellability) consider

$$X \xrightarrow{f} Y \xrightarrow[h_2]{h_1} Z : h_1 \circ f \stackrel{(1)}{=} h_2 \circ f$$

By f a split epimorphism, we have $h : Y \rightarrow X$ such that $f \circ h = 1_Y$ (2).
Apply $- \circ h$ to (1):

$$\begin{aligned} (h_1 \circ f) \circ h &= (h_2 \circ f) \circ h \\ \parallel &\quad \parallel \\ h_1 &= h_1 \circ 1_Y = h_1 \circ (f \circ h) = h_2 \circ (f \circ h) = h_2 \circ 1_Y = h_2 \end{aligned}$$

□

Examples. In **Set**, **Grp**, **Ring** the monomorphisms are the injective maps and in **Set**, **Grp** the epimorphisms are the surjective maps. But $\mathbb{Z} \rightarrow \mathbb{Q}$ (inclusion) is an epimorphism in **Ring**. If $K \subseteq E$ is purely inseparable, then it's an epimorphism in the category of fields.

Definition 0.16. (a) $X \in \mathcal{C}$ is called an *initial object* $\iff \forall Y \in \mathcal{C} : \# \mathcal{C}(X, Y) = 1$

(b) $X \in \mathcal{C}$ is called a *terminal object* $\iff \forall Z \in \mathcal{C} : \# \mathcal{C}(Z, X) = 1$

(c) $X \in \mathcal{C}$ is called a *null object* $\iff X$ is initial and terminal.

Example. • \emptyset is initial in **Set**, **Top**,

• $\{*\}$ is terminal in **Set**, **Top**

• $0 = \{0\}$ is a null object in ${}_R\mathbf{Mod}$, **Ab**, \mathbf{Vec}_K

0.3 Functors

Let $\mathcal{C}, \mathcal{C}', \mathcal{D}$ be categories.

Definition 0.17. A *functor* F from \mathcal{C} to \mathcal{D} ($F : \mathcal{C} \rightarrow \mathcal{D}$) is a pair of maps

$$\begin{aligned} F : \mathbf{Ob} \mathcal{C} &\rightarrow \mathbf{Ob} \mathcal{D}, X \mapsto F(X), \\ F : \mathbf{Mor} \mathcal{C} &\rightarrow \mathbf{Mor} \mathcal{D}, f \mapsto F(f). \end{aligned}$$

that “preserve sources, targets, units and composition”, i.e.

(i) $\forall f \in \mathbf{Mor} \mathcal{C} : \text{dom}(Ff) = F(\text{dom } f)$ and $\text{cod}(Ff) = F(\text{cod } f)$

(ii) $\forall X \in \mathbf{Ob} \mathcal{C} : F(1_X) = 1_{FX}$

(iii) \forall composable pairs (g, f) in $\mathbf{Mor} \mathcal{C} \times_{\mathbf{Ob} \mathcal{C}} \mathbf{Mor} \mathcal{C} : F(g \circ f) = F(g) \circ F(f)$.

(other notation $F(X \xrightarrow{f} Y) = FX \xrightarrow{Ff} FY$)

Examples. (a) Powerset:

$$\begin{aligned} \mathcal{P} : \mathbf{Set} &\rightarrow \mathbf{Set} \\ X &\mapsto \mathcal{P}(X) \\ f : X &\rightarrow Y \mapsto \mathcal{P}f : \mathcal{P}X \rightarrow \mathcal{P}Y, \\ (U \subseteq X) &\mapsto (f(U) \subseteq Y) \end{aligned}$$

(b) Forgetful functor (it forgets structure)

$$\begin{aligned} V : \mathbf{Grp} &\rightarrow \mathbf{Set}, (G, e, \circ) \mapsto G \\ V : \mathbf{Top} &\rightarrow \mathbf{Set}, (X, \mathcal{T}) \mapsto X \\ V : {}_R\mathbf{Mod} &\rightarrow \mathbf{Ab}, (M, 0, +, \cdot) \mapsto (M, 0, +) \end{aligned}$$

(c) ${}_R\mathbf{Mod} \rightarrow \mathbf{Mod}_{R^{\text{op}}}$, left R -modules \mapsto right R -modules.

Remark. Functors in definition 17 are also called covariant functors.

Definition 0.18. A *contravariant* functor from $\mathcal{C} \rightarrow \mathcal{D}$ is a functor $F : \mathcal{C}^{\text{op}} \rightarrow \mathcal{D}$, i.e.

$$\begin{aligned} F(X \xrightarrow{f} Y) &= (FX \xleftarrow{Ff} FY) \\ &= (Y \xrightarrow{f} X) \text{ in } \mathcal{C}^{\text{op}} \text{ and} \\ F((Y \xrightarrow{g} Z) \circ (X \xrightarrow{f} Y)) &= F(X \xrightarrow{f} Y) \circ F(Y \xrightarrow{g} Z) \end{aligned}$$

Visually:

$$\begin{array}{ccc} X & X & FX \\ \downarrow f & \uparrow f & \uparrow Ff \\ Y & Y & FY \\ \downarrow g & \uparrow g & \uparrow Fg \\ Z & Z & FZ \end{array}$$

$$\text{in } \mathcal{C} \quad \text{in } \mathcal{C}^{\text{op}}$$

Remark (Exercise). Let $F : \mathcal{C} \rightarrow \mathcal{D}$ be any functor $\implies F$ maps isomorphisms to isomorphisms.

Examples (Contravariant functors). (a) Passage to the dual vector space

$$\begin{array}{ccc} D : \mathbf{Vec}_K^{\text{op}} & \longrightarrow & \mathbf{Vec}_K \\ V & \longmapsto & V^* = \text{Hom}_K(V, K) \\ f \downarrow & & \uparrow Df = f^* \\ W & \longmapsto & W^* \end{array}$$

linear algebra: $(f \circ g)^* = g^* \circ f^*$ for (f, g) a composable pair.

(b) Let \mathbf{Poset} be the category of partially ordered sets, then we have a contravariant functor

$$\begin{array}{ccc} \mathcal{O} : \mathbf{Top}^{\text{op}} & \longrightarrow & \mathbf{Poset} \\ (X, \mathcal{T}) & \longmapsto & (\mathcal{T}, \subseteq) \ni f^{-1}(V) \subseteq_{\text{open}} X \\ f \downarrow & & \uparrow \mathcal{O}(f) \quad \uparrow \\ (Y, \mathcal{T}') & \longmapsto & (\mathcal{T}, \subseteq) \ni V \subseteq_{\text{open}} Y \end{array}$$

(c) The contravariant powerset functor:

$$\begin{array}{ccc} \mathcal{P}^* : \mathbf{Set} & \longrightarrow & \mathbf{Set} \\ X & \longmapsto & \mathcal{P}^*(X) = \mathcal{P}(X) \\ f \downarrow & & \uparrow \mathcal{P}^* f \\ Y & \longmapsto & \mathcal{P}^*(Y) = \mathcal{P}(Y) \end{array}$$

Definition 0.19. Let $\mathcal{C}, \mathcal{C}', \mathcal{D}$ be categories, a functor $\mathcal{C} \times \mathcal{C}' \rightarrow \mathcal{D}$ is called a *bifunctor*.

Example 0.20 (Important example). Let \mathcal{C} be any category

$$\begin{array}{ccccc} \mathcal{C}(-, -) : \mathcal{C}^{\text{op}} \times \mathcal{C} & \longrightarrow & \mathbf{Set} & & \\ (X, Y) & \longmapsto & \mathcal{C}(X, Y) & \ni & g \\ f \uparrow \downarrow h & & \downarrow & & \downarrow \\ (W, Z) & \longmapsto & \mathcal{C}(W, Z) & \ni & h \circ g \circ f \end{array}$$

If we fix a first argument X , we get

$$h_X := \mathcal{C}(X, -) \rightarrow \mathbf{Set}$$

If we fix a second argument Y , we get

$$h^Y := \mathcal{C}(-, Y) \rightarrow \mathbf{Set}$$

Soon: we will also have another important bifunctor

$$- \otimes - : \mathbf{Mod}_R \times {}_R \mathbf{Mod} \rightarrow \mathbf{Ab}$$

Definition 0.21. Let $F : \mathcal{C} \rightarrow \mathcal{D}$ be a functor, F is called

- (a) *faithful* $\iff \forall X, Y \in \mathcal{C} : \mathcal{C}(X, Y) \rightarrow \mathcal{D}(FX, FY)$ is injective.
- (b) *full* $\iff \forall X, Y \in \mathcal{C} : \mathcal{C}(X, Y) \rightarrow \mathcal{D}(FX, FY)$ is surjective.
- (c) *fully faithful* F is full and faithful.
- (d) *essentially surjective* $\iff \forall Y \in \mathcal{D} \exists X \in \mathcal{C} \exists \text{ isomorphism } FX \xrightarrow{\cong} Y$.
- (e) *conservative* $\iff \forall f \in \text{Mor } \mathcal{C} : f \text{ is an isomorphism} \iff Ff \in \text{Mor } \mathcal{D} \text{ is an isomorphism. (} \implies \text{ always holds)}$
- (f) *an isomorphism* $\iff \exists G : \mathcal{D} \rightarrow \mathcal{C}$ functor such that $F \circ G = \text{id}_{\mathcal{D}}$ and $G \circ F = \text{id}_{\mathcal{C}}$.

Examples. (a) Forgetful functors are “often” faithful but not full

$$V : \mathbf{Grp} \rightarrow \mathbf{Set}, \mathbf{Ab} \rightarrow \mathbf{Set}, {}_R \mathbf{Mod} \rightarrow \mathbf{Set}, \mathbf{Ring} \rightarrow \mathbf{Set}$$

are conservative.

- (b) The forgetful functor $V : \mathbf{Top} \rightarrow \mathbf{Set}$ is not conservative and not full but essentially surjective.
- (c) The inclusion of a subcategory \mathcal{C}' into its ambient category \mathcal{C} is always faithful. Call \mathcal{C}' a *full subcategory* $\iff \forall X, Y \in \mathcal{C}' : \mathcal{C}'(X, Y) = \mathcal{C}(X, Y)$ ($\iff i : \mathcal{C}' \rightarrow \mathcal{C}$ is full)

0.4 Natural transformations

They are morphisms between functors.

Definition 0.22. Let $F, G : \mathcal{C} \rightarrow \mathcal{D}$ be functors.

- (a) A morphism from F to G (or a *natural transformation*) is a family $u = (u_X : FX \rightarrow GX)_{X \in \text{Ob } \mathcal{C}}$ of morphisms in \mathcal{D} , such that for all $f : X \rightarrow Y$ in \mathcal{C} we have the commutative diagram:

$$\begin{array}{ccc} FX & \xrightarrow{u_X} & GX \\ Ff \downarrow & & \downarrow Gf \\ FY & \xrightarrow{u_Y} & GY \end{array}$$

Notation:

$$\begin{array}{ccc} & F & \\ \curvearrowright & \Downarrow u & \curvearrowleft \\ \mathcal{C} & & \mathcal{D} \\ \curvearrowleft & \Downarrow & \curvearrowright \\ & G & \end{array}$$

- (b) Composition: Let $F, G, H : \mathcal{C} \rightarrow \mathcal{D}$ be functors and $u : F \Rightarrow G, v : G \Rightarrow H$ natural transformations. The composition $v \circ u : F \Rightarrow H$ is the natural transformation (check) $(v_X \circ u_X : FX \xrightarrow{u_X} GX \xrightarrow{v_X} HX)_{X \in \text{Ob } \mathcal{C}}$

$$\begin{array}{ccc} & F & \\ \curvearrowright & \Downarrow u & \curvearrowleft \\ \mathcal{C} & \xrightarrow{\quad G \quad} & \mathcal{D} \\ \curvearrowleft & \Downarrow v & \curvearrowright \\ & H & \end{array}$$

- (c) The category $\mathcal{D}^{\mathcal{C}}$ (or $\text{Fun}(\mathcal{C}, \mathcal{D})$) whose objects are the functors $\mathcal{C} \rightarrow \mathcal{D}$ and whose morphisms are the natural transformations $(F : \mathcal{C} \rightarrow \mathcal{D}) \Rightarrow (G : \mathcal{C} \rightarrow \mathcal{D})$. The composition is from (b), and the unit natural transformation is

$$\begin{array}{ccc} & F & \\ \curvearrowright & \Downarrow 1_F & \curvearrowleft \\ \mathcal{C} & & \mathcal{D} \\ \curvearrowleft & \Downarrow & \curvearrowright \\ & F & \end{array}, 1_F = (FX \xrightarrow{1_{FX}} FX)_{X \in \text{Ob } \mathcal{C}}$$

(dom, cod are clear). Remark: One can also define 2-categories (and the category of categories is an example of such, objects: $\mathcal{C}, \mathcal{D}, \dots$ and morphisms are $F : \mathcal{C} \Rightarrow \mathcal{D}$ 2-morphisms = natural transformations)

- (d) A natural transformation $u : F \Rightarrow G$ is called a *natural isomorphism* $\iff \forall X \in \text{Ob } \mathcal{C} : u_X : FX \rightarrow GX$ is an isomorphism $\xLeftrightarrow{\text{Exerc.}} \exists$ natural transformation $v : G \Rightarrow F : v \circ u = \text{id}_F, u \circ v = \text{id}_G$.

Example (Famous linear algebra example of a natural transformation). Let $(\cdot)^{**} : \text{Vec}_K \rightarrow \text{Vec}_K, V \mapsto V^{**}, f \mapsto f^{**}$ be the (covariant) bidual functor. $\text{id} : \text{Vec}_K \rightarrow \text{Vec}_K$ denotes the identity, we set $u_V : V \rightarrow V^{**}, v \mapsto (b_v : V^* \rightarrow$

$K, \xi \mapsto \xi(v)$) then $u = (u_V)_{V \in \text{Vec}_K}$ is a natural transformation $u : \text{id} \Rightarrow (\cdot)^{**}$ and restricted to the full subcategory $\text{Vec}_K^{\text{f.d.}} \subseteq \text{Vec}_K$ on finite dimensional K -vector spaces, it gives a natural isomorphism $u : \text{id} \Rightarrow (\cdot)^{**}$

$$\begin{array}{ccc} & \text{id} & \\ \text{Vec}_K^{\text{f.d.}} & \begin{array}{c} \downarrow u \\ \downarrow \end{array} & \text{Vec}_K^{\text{f.d.}} \\ & (\cdot)^{**} & \end{array}$$

Definition 0.23 (important concept). A functor $F : \mathcal{C} \rightarrow \mathcal{D}$ is called an equivalence of categories $\iff \exists$ functor $G : \mathcal{D} \rightarrow \mathcal{C}$ such that one has natural transformations $\text{id}_{\mathcal{C}} \Rightarrow G \circ F$ and $\text{id}_{\mathcal{D}} \Rightarrow F \circ G$. Call \mathcal{C} and \mathcal{D} *equivalent categories* $\iff \exists$ equivalence of categories $F : \mathcal{C} \rightarrow \mathcal{D}$.

Remark. The notion of “equivalence of categories” is far more important than the notion of isomorphism of categories.

Example (linear algebra). Let $\text{Vec}_K^{\text{std.}}$ be the full subcategory of the $\text{Vec}_K^{\text{f.d.}}$ on the object set $\{K^n \mid n \in \mathbb{N}_0\}$. Then the inclusion $\iota : \text{Vec}_K^{\text{std.}} \rightarrow \text{Vec}_K^{\text{f.d.}}$ is an equivalence of categories. For $G : \text{Vec}_K^{\text{std.}} \rightarrow \text{Vec}_K^{\text{std.}}$ take $V \mapsto K^{\dim_K V}$, choose a basis \underline{B}_V for any $V \in \text{Vec}_K^{\text{f.d.}}$ then we get an isomorphism $K^{\dim_K V} \xrightarrow{\alpha_V} V$. Define:

$$\begin{array}{ccc} V & \xrightarrow{\quad} & K^{\dim_K V} \\ f \downarrow & & \downarrow \alpha_W^{-1} \circ f \circ \alpha_V \\ W & \xrightarrow{\quad} & K^{\dim_K W} \end{array}$$

Find natural isomorphism $G \circ \iota \Leftarrow \text{id} \Rightarrow \iota \circ G$.

Remark. One also calls $\text{Vec}_K^{\text{std.}}$ a *skeleton* of $\text{Vec}_K^{\text{f.d.}}$.

Theorem 0.24. For a functor $F : \mathcal{C} \rightarrow \mathcal{C}'$ the following are equivalent:

- (i) F is an equivalence of categories.
- (ii) F is fully faithful and essentially surjective.

Proof. • (i) \implies (ii): Exercise.

- (ii) \implies (i): Standard textbook. □

Definition 0.25. The *essential image* of a functor $F : \mathcal{C} \rightarrow \mathcal{D}$ in \mathcal{D} is the full subcategory \mathcal{D}' of \mathcal{D} on objects isomorphic to FX for some $X \in \text{Ob } \mathcal{C}$.

Corollary 0.26 (of 24 and the definition). Suppose $F : \mathcal{C} \rightarrow \mathcal{D}$ is fully faithful. Let $\mathcal{D}' \subseteq \mathcal{D}$ be the essential image of F , then $F : \mathcal{C} \rightarrow \mathcal{D}'$ is an equivalence of categories.

0.5 The Yoneda lemma and presheaves

Let $\mathcal{C}, \mathcal{C}', \mathcal{D}$ be categories.

Definition 0.27. (a) A \mathcal{D} -valued presheaf on \mathcal{C} is a functor

$$\mathcal{F} : \mathcal{C}^{\text{op}} \rightarrow \mathcal{D}$$

(b) The category of \mathcal{D} -valued presheaves on \mathcal{C} is $\text{PSh}(\mathcal{C}, \mathcal{D}) = \mathcal{D}^{\mathcal{C}^{\text{op}}}$

(c) If $\mathcal{D} = \text{Set}$, then we omit it from the notation, so $\text{PSh}(\mathcal{C}) = \text{Set}^{\mathcal{C}^{\text{op}}}$

Note that if \mathcal{D} is a small category, then $\mathcal{D}^{\mathcal{C}^{\text{op}}}$ is a category.

Remark (On the terminology). (Pre-)sheaves come from topology/geometry. Example: Let (X, \mathcal{T}) be a topological space (e.g. \mathbb{C} with the metric topology), For $U \subseteq X$ define $O_X(U) := \{f : U \rightarrow \mathbb{C} \text{ continuous}\}$ or $(O_{\mathbb{C}}(U) := \{f : U \rightarrow \mathbb{C} \text{ holomorphic}\})$. Check:

$$\begin{array}{ccc} O_X : \text{ord}(T, \subseteq) & \longrightarrow & \text{Set} \\ U & \longmapsto & O_X(U) \\ \uparrow \text{inclusion} & & \downarrow \text{restriction} \\ V & \longmapsto & O_X(V) \end{array}$$

this is a presheaf.

Definition 0.28. The Yoneda embedding is the functor $h : \mathcal{C} \rightarrow \text{PSh}(\mathcal{C}) = \text{Fun}(\mathcal{C}^{\text{op}}, \text{Set})$, $X \mapsto h_X := \mathcal{C}(-, X) : \mathcal{C}^{\text{op}} \rightarrow \text{Set}$

$$h : \mathcal{C} \longrightarrow \text{PSh}(\mathcal{C})$$

$$X \longmapsto h_X := \text{Hom}_{\mathcal{C}}(-, X) : \mathcal{C}^{\text{op}} \longrightarrow \text{Set}$$

$$\begin{array}{ccc} Y & \longrightarrow & \text{Hom}_{\mathcal{C}}(Y, X) \\ \downarrow \ell & & \uparrow \\ Z & \longrightarrow & \text{Hom}_{\mathcal{C}}(Z, X) \end{array} \quad \begin{array}{c} g \circ \ell \\ \uparrow \\ g \end{array}$$

$$\begin{array}{ccc} X & \longrightarrow & h_X \\ \downarrow f & & \downarrow h_f \\ Y & \longrightarrow & h_Y \end{array} \quad \begin{array}{ccc} \text{Hom}_{\mathcal{C}}(Z, X) & & g \\ \downarrow & & \downarrow \\ \text{Hom}_{\mathcal{C}}(Z, Y) & & f \circ g \end{array}$$

Lemma 0.29. For $X \in \mathcal{C}, F \in \text{PSh}(\mathcal{C}) = \text{Fun}(\mathcal{C}^{\text{op}}, \text{Set})$

$$\begin{array}{ccc} \text{Mor}_{\text{PSh}(\mathcal{C})}(h_X, \mathcal{F}) & \xrightarrow{\Phi} & \mathcal{F}X \\ u := (u_Y : h_X Y \rightarrow \mathcal{F}Y)_{Y \in \text{Ob } \mathcal{C}} & \longmapsto & u_X 1_X \end{array}$$

is a bijection. ($\text{Mor}_{\text{PSh}(\mathcal{C})}(h_x, \mathcal{F})$ is a set.)

Proof. Reconstruct a natural transformation u^α from $\alpha \in \mathcal{F}X$, first consider what $u \in \text{Mor}_{\text{PSh}(\mathcal{C})}(h_x, \mathcal{F})$ gives us

$$\begin{array}{ccccc} X & h_X = \text{Hom}_{\mathcal{C}}(X, X) & \xrightarrow{u_X} & \mathcal{F}X & 1_X \longmapsto u_X(1_X) = \alpha \\ \uparrow g & \downarrow - \circ g & & \downarrow \mathcal{F}g & \downarrow \\ Y & h_X(Y) = \text{Hom}_{\mathcal{C}}(Y, X) & \xrightarrow{u_Y} & \mathcal{F}Y & g \longmapsto u_Y(g) = \mathcal{F}g(\alpha) \end{array}$$

Define $\psi : \mathcal{F}(X) \rightarrow \text{Mor}_{\text{PSh}(\mathcal{C})}(h_X, \mathcal{F}), \alpha \mapsto (u_Y^\alpha)_{Y \in \text{Ob } \mathcal{C}}$ by setting $u_Y^\alpha : h_X(Y) \rightarrow \mathcal{F}Y, g \mapsto \mathcal{F}g(\alpha)$. Check u_Y^α is a natural transformation. Then for any $f : Z \rightarrow Y$ in \mathcal{C} we get TODO \square

Corollary 0.30. *The functor $h : \mathcal{C} \rightarrow \text{PSh}(\mathcal{C})$ is fully faithful, i.e. $\mathcal{C}(X, Y) \leftrightarrow \text{Mor}_{\text{PSh}(\mathcal{C})}(h_X, h_Y)$.*

Proof. We need to show $\forall X, Y \in \text{Ob } \mathcal{C}$ the map $\mathcal{C}(X, Y) \rightarrow \text{Mor}_{\text{PSh}(\mathcal{C})}(h_X, h_Y), f \mapsto h(f) = f \circ -$ is bijective. Observe: Yoneda $\Phi : \text{Mor}_{\text{PSh}(\mathcal{C})}(h_X, h_Y) \rightarrow h_Y(X) = \mathcal{C}(X, Y), u \mapsto u_X(1_X)$ is a bijection, so it suffices to show $\Phi \circ h$ is a bijection. For this: $\Phi \circ h(f : X \rightarrow Y) = f \circ 1_X = f \implies \Phi \circ h = \text{id}$. \square

Definition 0.31. (a) Call $\mathcal{F} \in \text{PSh}(\mathcal{C})$ *representable* $\iff \exists X \in \mathcal{C}$ such that $h_X \cong \mathcal{F}$.

(b) A presentation of a (representable) $\mathcal{F} \in \text{PSh}(\mathcal{C})$ is a pair (X, α) with $X \in \text{Ob } \mathcal{C}, \alpha \in \mathcal{F}X$ such that $\Psi(\alpha) : h_X \Rightarrow \mathcal{F}$ from the proof of lemma 29 is a natural isomorphism.

Proposition 0.32. *Suppose (X, α) and (Y, β) are presentations of $\mathcal{F} \in \text{PSh}(\mathcal{C})$, then $\exists!$ isomorphism $f : X \rightarrow Y$ such that $\mathcal{F}(f)(\beta) = \alpha$*

Proof. Exercise. \square

0.6 Conatravariant Yoneda

Proposition 0.33. *The functor*

$$\begin{array}{ccc} h^{\text{op}} : \mathcal{C}^{\text{op}} & \longrightarrow & \text{Fun}(\mathcal{C}, \text{Set}) \\ X & \longmapsto & \mathcal{C}(X, -) \\ \downarrow f & & \uparrow h^{\text{op}}(f) \\ Y & \longmapsto & \mathcal{C}(Y, -) \end{array}$$

is fully faithful and for $X \in \text{Ob } \mathcal{C}$ and $\mathcal{F} : \mathcal{C} \rightarrow \text{Set}$ a functor, the map $\Phi' : \text{Mor}_{\text{Set}^{\mathcal{C}}}(h_X^{\text{op}}, \mathcal{F}) \rightarrow \mathcal{F}(X), u \mapsto u_X(1_X)$ is bijective.

Proof. (Exercise) Apply Yoneda to \mathcal{C}^{op} . \square

Definition 0.34. (a) A covariant functor $F : \mathcal{C} \rightarrow \text{Set}$ is *corepresentable* $\iff F \cong h_X^{\text{op}}$ for some $X \in \mathcal{C}$.

(b) A presentation of a (corepresentable) functor F is a pair (X, α) such that $(\Phi')^{-1}(\alpha)$ is an isomorphism $h_X^{\text{op}} \rightarrow F$

Proposition 0.35 (analog of 32). *If (X, α) and (Y, β) are 2 presentations of $F : \mathcal{C} \rightarrow \mathbf{Set}$, then $\exists!$ isomorphism $f : X \rightarrow Y$ such that $F(f)(\alpha) = \beta$.*

Remark. We mostly drop co- in corepresentable because the functor dictates if it is representable or corepresentable (if F co- or contravariant)

Remark. For $f : X \rightarrow Y$ we have

$$\begin{aligned} f \circ - : \mathcal{C}(Z, X) \rightarrow \mathcal{C}(X, Y) \text{ bij.} &\iff h(f) \cong \iff f \cong \iff h^{\text{op}}(f) \cong \\ &\iff - \circ f : \mathcal{C}(Y, Z) \rightarrow \mathcal{C}(X, Z) \text{ bij.} \end{aligned}$$

because h is fully faithful.

0.7 Universal pairs

Definition 0.36. (a) Let $F : \mathcal{C} \rightarrow \mathcal{D}$ be a functor and $B \in \text{Ob } \mathcal{D}$. A pair (U, β) with $U \in \text{Ob } \mathcal{C}$ and $\beta : B \rightarrow F(U)$ (in \mathcal{D}) is *(co-)universal* for $(F, \beta) : \iff (U, \beta)$ (co-)represents $\mathcal{D}(B, F(-)) = h_B^{\text{op}} \circ F : \mathcal{C} \rightarrow \mathbf{Set}$.

(b) Let $G : \mathcal{D} \rightarrow \mathcal{C}$ be a functor and $A \in \text{Ob } \mathcal{C}$. A pair (V, α) with $V \in \text{Ob } \mathcal{D}$ and $\alpha : G(V) \rightarrow A$ (in \mathcal{C}) is universal for $(G, A) \iff (V, \alpha)$ represents $(\mathcal{C}(G(-), A)) = h_A \circ G : \mathcal{D}^{\text{op}} \rightarrow \mathbf{Set}$.

TODO: interpretation

Examples 0.37. TODO

0.8 Limits and colimits

Let \mathcal{C} be a category.

Definition 0.38. A diagram in \mathcal{C} is a functor $F : J \rightarrow \mathcal{C}$ for J a small category (call J the *index category* of the diagram.)

Remark (Relation to previous notions of diagrams). Let $V : \mathbf{Cat} \rightarrow \mathbf{Diag}$, [MacLane II.7]: \exists functor TODO

Definition 0.39. A diagram $F : J \rightarrow \mathcal{C}$ *commutes* $\iff \forall i, j \in J$:

$$\underbrace{F(J(i, j))}_{\text{is a singleton}} \subseteq \mathcal{C}(Fi, Fj)$$

(naive diagram commutes $\iff F\varphi$ commutes.)

Definition 0.40. Let $F : J \rightarrow \mathcal{C}$ denote a diagram in \mathcal{C} .

(a) The *constant functor* from J to \mathcal{C} for $X \in \text{Ob } \mathcal{C}$ is $\Delta X : J \rightarrow \mathcal{C}$ with $\Delta X(i) = X, \forall i \in J$ and $\Delta X(h) = 1_X, \forall h \in \text{Mor } J$.

(b) The *diagonal* $\Delta : \mathcal{C} \rightarrow \mathcal{C}^J = \text{Fun}(J, \mathcal{C})$ with $\Delta(X) := \Delta X$ from (a) and $\Delta(f) :=$ the natural transformation $\Delta X \Rightarrow \Delta Y$ given for any $i \in J$ by $\Delta X(i) = X \xrightarrow{f} \Delta Y(i) = Y$.

- (c) A *cone* to $F : J \rightarrow \mathcal{C}$ (any fixed F) with apex $X \in \mathcal{C}$ is a natural transformation $\Delta X \Rightarrow F$. A *cocone* from F with vertex $X \in \text{Ob } \mathcal{C}$ is a natural transformation $F \Rightarrow \Delta X$.
- (d) Cones and cocones give rise to the following functors:
- $\text{Cone}(-, F) : \mathcal{C}^{\text{op}} \rightarrow \mathbf{Set}$ defined by $\text{Cone}(X, F) = \text{set of cones } \Delta X \Rightarrow F$, $\text{Cone}(f : X \rightarrow Y, F)$ maps $\text{Cone}(Y, F) \rightarrow \text{Cone}(X, F)$, $(\Delta Y \Rightarrow F) \mapsto (\Delta X \Rightarrow \Delta Y \Rightarrow F)$.
 - Similarly $\text{Cocone}(F, -) : \mathcal{C} \rightarrow \mathbf{Set}$ is the functor defined by $\text{Cocone}(F, X) = \text{set of cocones } F \Rightarrow \Delta X$ etc.

Observe:

$$\begin{aligned}\text{Cone}(-, F) &= \mathcal{C}^J(\Delta(-), F) \\ \text{Cocone}(F, -) &= \mathcal{C}^J(F, \Delta(-))\end{aligned}$$

Visualization: a natural transformation $u : \Delta X \Rightarrow F$ (where $X \in \mathcal{C}, F : J \rightarrow \mathcal{C}$) is for any $i \in J$ a morphism $X = \Delta X(i) \xrightarrow{u_i} F(i)$ such that $\forall h : i \rightarrow j$ in J the following diagram commutes:

$$\begin{array}{ccc}\Delta X(i) = X & \xrightarrow{1_X} & X = \Delta X(j) \\ \downarrow u_i & \searrow u_j & \downarrow u_j \\ Fi & \xrightarrow{Fh} & Fj\end{array}$$

for instance if TODO

Remark 0.41. (a) The cones to F form a full subcategory $F\text{-cones} \subseteq \mathcal{C}^J/F$ on objects $\Delta X \Rightarrow F$ ($X \in \mathcal{C}$).

(b) Similarly cocones from F form a full subcategory $F\text{-cocones} \subseteq F/\mathcal{C}^J$ on objects $F \Rightarrow \Delta X$.

Definition 0.42. (a) If $\text{Cone}(-, F) : \mathcal{C}^{\text{op}} \rightarrow \mathbf{Set}$ is representable, the representing object is called a *limit* over F . Notation: $\lim F$ or $\lim_J F$ for the representing universal object.

(b) If $\text{Cocone}(F, -) : \mathcal{C} \rightarrow \mathbf{Set}$ is representable, the representing object is called a *colimit* over F . Notation: $\text{colim } F$ or $\text{colim}_J F$

More explicitly: $\lim_J F$ is an object $L \in \mathcal{C}$ together with a (universal) cone $\Delta L \Rightarrow F$ such that \forall cones $\varphi : \Delta X \Rightarrow F$ in $\mathcal{C}^J \exists!$ morphism $\psi : X \rightarrow L$ such that the diagram commutes

$$\begin{array}{ccc} & & \Delta X \\ & \swarrow \psi & \downarrow \varphi \\ \Delta L & \xrightarrow{\quad} & X\end{array}$$

Yoneda implies that $\lim F$ (if it exists) is unique up to unique isomorphism (similarly for $\text{colim } F$).

Exercise 0.43. (a) $\lim F$ exists \iff category of F -cones has a terminal object.

(b) $\operatorname{colim} F$ exists \iff category of F -cocones has an initial object.

Proposition 0.44 (Exercise). *Let $\Delta : \mathcal{C} \rightarrow \mathcal{C}^J$ be the diagonal from above and F any diagram in \mathcal{C}^J . Then*

(a) $\lim F$ is a universal object for the pair (Δ, F) i.e. $\mathcal{C}^J(\Delta(-), F) \leftrightarrow \mathcal{C}(-, \lim_J F)$.

(b) $\operatorname{colim} F$ is a couniversal object for the pair (Δ, F) i.e. $\mathcal{C}^J(F, \Delta(-)) = \mathcal{C}(\operatorname{colim}_J F, -)$.

Examples 0.45.