

Sylvain Cappell - Opera Selecta

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Codim 1 Splitting Problems

- Y^{n+1} a connected, closed manifold (Poinc. cplx.), $n \ge 5$.
- X ⊂ Y a connected, closed codim. 1 submanifold with trivial normal bundle.
- Assume $H = \pi_1(X) \rightarrow \pi_1(Y) = G$ injective.
- ▶ *W*^{*n*+1} a (smooth, PL, or top) manifold with h.e.

$$f: W \longrightarrow Y.$$

▶ **Def.** *f* is splittable along X if $f \simeq f'$, $f' \pitchfork X$, such that

$$f'|: M = f'^{-1}(X) \longrightarrow X$$

is a homotopy equivalence.

- ▶ **S-Splitting Problem:** When is $f : W \to Y$ is splittable along *X*?
- ► H-Splitting Problem: When is W h-cobordant to W' such that the induced h.e. f': W' → Y is splittable along X?

The Universal Cover

▶ 2 cases: Y - X has two components, or one component.

Will only discuss here the case of 2 components:

$$Y = Y_1 \cup_X Y_2, \ G = G_1 *_H G_2, \ G_i = \pi_1(Y_i), \ W = W_1 \cup_M W_2.$$

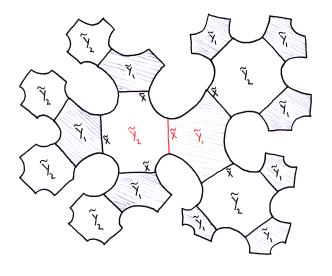
Description of universal cover:

$$\widetilde{Y} = \bigcup_{\alpha \in [G,G_1]} \widetilde{Y}_1 g(\alpha) \cup_{\bigcup_{\alpha \in [G,H]} \widetilde{X}g(\alpha)} \bigcup_{\alpha \in [G,G_2]} \widetilde{Y}_2 g(\alpha),$$

$$\partial Y_i = \bigcup_{\alpha \in [G_i, H]} Xg(\alpha),$$

cosets α , representatives $g(\alpha) \in \alpha$.

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Preferred (i.e. basepoint preserving) lifts

$$\widetilde{X} \subset \widetilde{Y}_i \subset \widetilde{Y}.$$

• $\widetilde{Y} - \widetilde{X}$ has 2 components with closures

$$Y_R \supset \widetilde{Y}_1, \ Y_L \supset \widetilde{Y}_2.$$

$$X \subset \widehat{Y}_i \subset \widehat{Y}$$
.

Quotients

$$Y_I = Y_L/H, \ Y_r = Y_R/H.$$

• Low degrees 0, 1: Make M, W_1, W_2 connected and

$$\pi_1(M) \rightarrow \pi_1(X), \ \pi_1(W_i) \rightarrow \pi_1(Y_i)$$

isomorphisms.

► Then above description of universal cover applies to W. Lift f to W→ Y, W→ Y, get preimages W_L, W_R, W_I, W_r.

•
$$f$$
 h.e. $\Rightarrow f \mid : M \to X \text{ deg } 1.$

$$K_j(M) := \ker(H_j^t(M;\mathbb{Z}H) \twoheadrightarrow H_j^t(X;\mathbb{Z}H)).$$

Suppose inductively K_i(M) = 0 for i < j and j is below the middle, j < (n−1)/2.</p>

•
$$f$$
 h.e. $\Rightarrow K_*(\widehat{W}) = K_*(W) = 0.$

▶ So Mayer-Vietoris \Rightarrow incl. induces iso. of $\mathbb{Z}\pi_1 M$ -modules

$$K_j(M) \xrightarrow{\cong} K_j(W_l) \oplus K_j(W_r).$$

Key device:

$$P := \ker(K_j(M) \to K_j(W_r)), \ Q := \ker(K_j(M) \to K_j(W_l)).$$

Then

$$K_j(M) = P \oplus Q, \ Q \otimes_{\mathbb{Z}H} \mathbb{Z}G_1 \stackrel{\cong}{\longrightarrow} K_j(W_1).$$

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How do nilpotence phenomena appear?

Paradigm:

If a class in $K_j(M)$ vanishes on the right of \widetilde{M} in s steps (i.e. crossing boundary components of translated $\widetilde{W}_i \ s - 1$ times), then, by a homology in \widetilde{W}_1 , the intersection of a cobounding disc ("tentacle") with $\partial \widetilde{W}_1 - \widetilde{M}$ vanishes (after translation) on the left of \widetilde{M} in s - 1 steps.

In more detail: Let $\alpha \in P$.

- Then $\alpha = \partial D$ for a tentacle (disc) $D \subset W_R$.
- A geometric description of

$$\rho_1: P \hookrightarrow K_j(M) \to K_j(W_1) \cong Q \otimes_{\mathbb{Z}H} \mathbb{Z}G_1$$

is given by

$$\rho_1(\alpha) := D \cap (\partial \widetilde{W}_1 - \widetilde{M}).$$



$$\rho_2: Q \hookrightarrow K_j(M) \to K_j(W_2) \cong P \otimes_{\mathbb{Z}H} \mathbb{Z}G_2,$$

and by extension

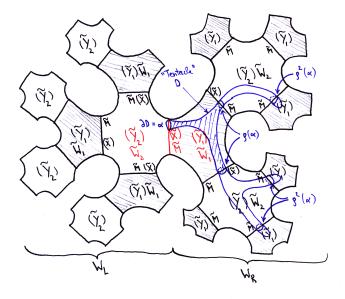
$$\rho: (P \oplus Q) \otimes_{\mathbb{Z}H} \mathbb{Z}G \xrightarrow{\rho_1 + \rho_2} (Q \oplus P) \otimes_{\mathbb{Z}H} \mathbb{Z}G.$$

• Disc D is compact \Rightarrow D intersects only finitely many copies of $\widetilde{W}_1, \widetilde{W}_2$ in \widetilde{W} . So

$$\rho^{s}(\alpha) = 0$$

for sufficiently large s.

There is a finite maximal s that works for all α. Thus ρ is nilpotent.



Applying iterates of *ρ* to *P*, *Q* → finite filtration by f.g. ℤ*H* modules

$$P = P_0 \supset P_1 \supset \cdots \supset P_r = 0,$$
$$Q = Q_0 \supset Q_1 \supset \cdots \supset Q_r = 0,$$

with

$$ho_1(P_i) \subset Q_{i+1} \otimes_{\mathbb{Z}H} \widetilde{\mathbb{Z}G_1}, \
ho_2(Q_i) \subset P_{i+1} \otimes_{\mathbb{Z}H} \widetilde{\mathbb{Z}G_2},$$

where $\widetilde{\mathbb{Z}G_i} \subset \mathbb{Z}G_i$ is the $\mathbb{Z}H$ submodule generated additively by $G_i - H$; $\mathbb{Z}G_i \cong \mathbb{Z}H \oplus \widetilde{\mathbb{Z}G_i}$.

- Take s =largest index such that $P_s \oplus Q_s \neq 0$, say $P_s \neq 0$.
- ► Represent lifts to ker(π_{j+1}(W₁, M) → π_{j+1}(Y₁, X)) of generators z_i of P_s by embeddings (D^{j+1}, S^j) → (W₁, M).

▶ As *j* is below middle, can perform handle exchanges on these: $f \simeq f', f'^{-1}(Y_2) = W_2 \cup Im(emb), f'^{-1}(M) = M'$ obtained from *M* by surgery on $z_i : S^j \times D^{n-j} \to M$.

Then

$$\mathcal{K}_j(M')\cong \mathcal{K}_j(M)/\{z_i\}=P/\{z_i\}\oplus Q=P'\oplus Q',$$

The new filtration

$$P' = P'_0 \supset P'_1 \supset \cdots \supset P'_t = 0,$$
$$Q' = Q'_0 \supset Q'_1 \supset \cdots \supset Q'_t = 0$$
has $P'_s = P_s / \{z_i\} = 0$, so inductively get
$$K_j(M') = 0.$$

- Assume n = 2k even.
- ► Need to analyze the middle dimension k. By previous argument, can now assume K_i(M) = 0 for i < k.</p>
- Argument of Wall $\Rightarrow K_k(M)$ stably free. So

 $[P] = -[Q] \in \widetilde{K}_0(H)$ (reduced projective class group of $\mathbb{Z}H$).

• As $K_k(W_i)$ is stably free,

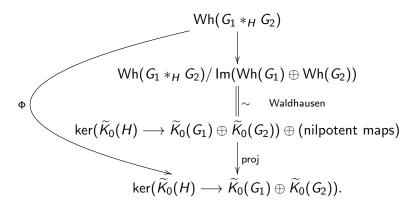
$$[P] = [K_k(W_2)] = 0 \text{ in } \widetilde{K}_0(G_2).$$

(Sim. $[Q] = 0 \in \widetilde{K}_0(G_1).)$ So
 $[P] \in \ker(\widetilde{K}_0(H) \longrightarrow \widetilde{K}_0(G_1) \oplus \widetilde{K}_0(G_2)).$

- $\lambda :=$ nonsingular intersection form on $K_k(M)$.
- ► Standard piping argument (Wall, Zeeman) ⇒ finite sets of elements of P, Q can be represented by *disjoint* (embedded, framed) spheres. So

$$\lambda|_P=0, \ \lambda|_Q=0, \ \operatorname{adj}(\lambda):P\cong Q^*.$$

Whitehead group:



h.e. f has Whitehead torsion

 $\tau(f) \in Wh(G).$

Fact: $\Phi(\tau(f)) = [P]$.

Now suppose that

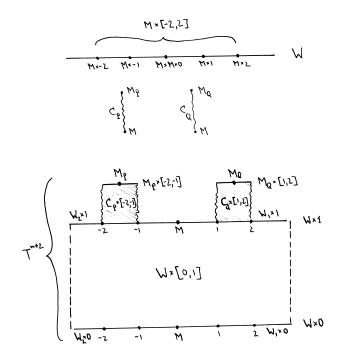
$$\Phi(\tau(f)) = 0.$$

Thus [P] = 0.

- By trivial ambient surgeries (to stabilize P), may assume P (and Q ≅ P*) free ZH modules, basis {a_i} for P, dual basis {b_i} for Q.
- Represent by disjoint (embedded, framed) spheres in M,

$$a_i \cap b_j = \varnothing(i \neq j), \ a_i \cap b_i = \operatorname{pt}.$$

- ▶ Surgery on $\{a_i\} \rightsquigarrow$ normal cobordism C_P from M to $M_P \simeq X$.
- ▶ Similarly, surgery on $\{b_i\} \rightsquigarrow$ normal cobordism C_Q from M to $M_Q \simeq X$.



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• T is a cobordism from $W = W \times 0$ to W_{mod} ,

$$W_{\mathsf{mod}} : (W_2 \cup_M C_P) \cup_{M_P} (C_P \cup_M C_Q) \cup_{M_Q} (C_Q \cup_M W_1).$$

- $f: W \to Y$ extends to normal map $F: T \to Y \times I$.
- Restriction $f_{\text{mod}} = F | : W_{\text{mod}} \to Y$.
- From construction,

$$M_P \longrightarrow X, \ M_Q \longrightarrow X, \ C_P \cup_M C_Q \longrightarrow X$$

are all homotopy equivalences.

• Mayer-Vietoris
$$\Rightarrow f_{mod}$$
 h.e.

• From construction, $f_{mod} \simeq f'_{mod}$ with

$$f_{\mathrm{mod}}^{\prime-1}(X) = M_P, \ M_P \stackrel{\simeq}{\longrightarrow} X.$$

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So f_{mod} is splittable along X.

Need to modify T further to get an h-cobordism.

$$\mathcal{K}_i(T) = \begin{cases} (P \oplus Q) \otimes_{\mathbb{Z}H} \mathbb{Z}G, & i = k+1 \\ 0, & i \neq k+1. \end{cases}$$

- Intersection form λ_T on K_{k+1}(T) can be described in terms of P, Q and ρ.
- ▶ Def. H < G is called square-root closed if for all g ∈ G, g² ∈ H implies g ∈ H.
- $H_{\sqrt{-}}$ closed in $G_1 *_H G_2$ iff $H_{\sqrt{-}}$ closed in both G_1 and G_2 .
- Normal cobordism T has surgery obstruction

$$x = [((P \oplus Q) \otimes_{\mathbb{Z}H} \mathbb{Z}G, \lambda_T, \mu)] \in L^h_{n+2}(G),$$

 λ_T given by above description in terms of ρ .

If H is √ closed in G, then a purely algebraic argument shows that

$$x \in \operatorname{Im}(L_{n+2}^{h}(H) \longrightarrow L_{n+2}^{h}(G)).$$

 So there exists a normal cobordism T₁ on W_{mod,1} → Y₁ (rel ∂W_{mod,1}) with surgery obstruction

$$x_1 \in L^h_{n+2}(G_1), x_1 \mapsto -x.$$

- $\blacktriangleright T' := T \cup_{W_{\mathsf{mod},1}} T_1.$
- Then T' has vanishing surgery obstruction, and is a still a cobordism from W to a split h.e. manifold.
- Do surgery on T' to get an h-cobordism.

Splitting Theorem. (Cappell.)

If $\pi_1(X)$ is square-root closed in $\pi_1(Y^{2k+1})$ and $f: W \xrightarrow{\simeq} Y$ has $\Phi(\tau(f)) = 0$, then W is h-cobordant to a homotopy equivalence which is splittable along X.

- n odd, and the s-splitting problem, can also be treated.
- Led to computations of Wall L-groups, instances of the Novikov conjecture on higher signatures.
- The above P/Q-decomposition/filtration can be further systematized by the UNil obstruction groups.
- ▶ Cappell showed $(\mathbb{Z}/_2)^{\infty} \subset \text{UNil}_{4k+2}(\mathbb{Z}; \mathbb{Z}[\mathbb{Z}/_2 - e], \mathbb{Z}[\mathbb{Z}/_2 - e])$. So \exists closed smooth $M^{4k+1} \simeq \mathbb{R}P^{4k+1} \# \mathbb{R}P^{4k+1}$ which is not a nontrivial connected sum.
- Special cases: theorems of Browder (simply conn.), Wall (H = G₁), R. Lee (H = 0, G has no 2-tor), Farrell (fibration problem),...

Homology Surgery (Cappell-Shaneson.)

- $M^n \subset W^{n+k}$ be a PL embedding of manifolds.
- For $k \ge 3$, Zeeman unknotting $\Rightarrow M \subset W$ locally flat, and $\pi_1(W M) \rightarrow \pi_1(W)$ is an iso.
- For k = 2, not nec. loc. flat and π₁(W − M) → π₁(W) is surjective, but rarely an iso.
- Given a group π and epimorphism Zπ → Λ, study manifolds V (such as V = W − M) with π₁V = π and given homology type over Λ (e.g. Λ = Zπ₁W).
- ► CS define reduced Grothendieck groups $\Gamma_n(\mathbb{Z}\pi \to \Lambda)$.
- $\Gamma_n(\mathrm{id}_\Lambda) = L_n(\Lambda)$ (Wall group).
- $\Gamma_{\text{odd}}(\mathbb{Z}\pi \to \Lambda) \subset L_{\text{odd}}(\Lambda).$
- $\Gamma_{\text{even}}(\mathbb{Z}\pi \to \Lambda)$ usually much larger than $L_{\text{even}}(\Lambda)$.

Homology Surgery: Obstruction

A deg. 1 normal map (f, b)



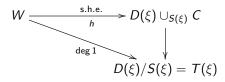
with $\pi_1 X = \pi$ has an obstruction

$$\sigma(f,b)\in \Gamma_n(\mathbb{Z}\pi\to\Lambda).$$

► Thm. (Cappell, Shaneson) σ(f, b) = 0 ⇔ (f, b) is normally cobordant to a (simple) homology equivalence over Λ.

Codimension 2 PL embeddings

- M^n, W^{n+2} oriented closed PL manifolds, $n \ge 3$.
- Def. A Poincaré embedding (PE) of M in W is a triple (ξ, C, h), where
 - ξ is a 2-plane bundle over M,
 - C is a CW complex such that $S(\xi) \subset C$,



- Think of C as candidate homotopy type for a complement.
- ▶ Rem.: In general, only a spherical fiber space is given. But in codim 2, G₂/O₂ is contractible, so can specify a vector bundle.
- ► Question: Can the PE be realized by a PL embedding M → W? Idea: Do not attempt W - M ≃ C, more natural: homology equivalence.

Normal Invariant of Poincaré embedding.

The PE provides a normal invariant $\eta \in [M, G/PL]$ as follows:

• Make $h \oplus to$ 0-section of ξ in $D\xi \cup C$.

Get deg 1 normal map

$$\begin{array}{cccc}
D\nu \xrightarrow{h|_{D\nu}} D\xi \\
\downarrow & \downarrow \\
N \xrightarrow{h|} M,
\end{array}$$

has normal invariant as usual (Sullivan).

Thickenings

- Let A^n be a closed PL manifold.
- ▶ Def. A codim 2 thickening of A is a PL embedding f : A → R, R a compact (n + 2)-dimensional PL manifold, f⁻¹(∂R) = Ø, R is a regular neighborhood of f(A) in itself.
- ► A concordance of codim 2 thickenings is a codim. 2 thickening of A × [0, 1].
- $\mathcal{H}(A) :=$ concordance classes of codim. 2 thickenings.
- ▶ Stratified Transversality (D. Stone): cont. $f : A \to B \rightsquigarrow f^* : \mathcal{H}(B) \to \mathcal{H}(A)$.
- *H* is a homotopy functor.
- Brown $\Rightarrow H$ represented by a space BRN_2 (oriented: $BSRN_2$).
- π_{*}(BSRN₂) = {cod. 2 thickenings of spheres}/_{conc}
 = {1 isol. sing.}/_{conc} = knot cob.
- Application of homology surgery: Homotopy type of BSRN₂.

$BSRN_2$

• A thickening $M \subset R$ has an Euler class χ . Get map

 $BSRN_2 \rightarrow BSO_2.$

• Furthermore, thickenings $M \subset R$ have normal maps η . Get $\mathcal{H}_{or}(M) \rightarrow [M, G/PL]$ and so

 $BSRN_2 \rightarrow G/PL.$

So have

$$(\chi, \eta)$$
: BSRN₂ \rightarrow BSO₂ \times G/PL.

• Thm. (Cappell, Shaneson) (χ, η) has a section

 $\varphi: BSO_2 \times G/PL \rightarrow BSRN_2.$

(So get sufficiently many regular neighborhoods.)

Construction of thickening for M

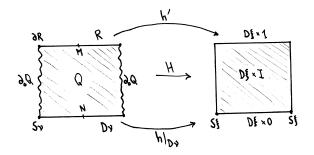
- From PE, have $\xi \in [M, BSO_2]$.
- ▶ Using φ , can construct $\alpha \in [M, BSRN_2]$ such that $\chi(\alpha) = \xi$ and $\eta(\alpha) = \eta$.
- Let $M \subset R$ be a representative of α .
- Note: Usually, cannot choose M ⊂ R to have a uniform block bundle structure; will generally have high-dimensional singular sets (non-locally flat points). M ⊂ R must accommodate fairly general PL L-classes.

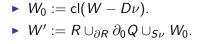
▶ Main issue to be solved: How to put *R* into *W*?

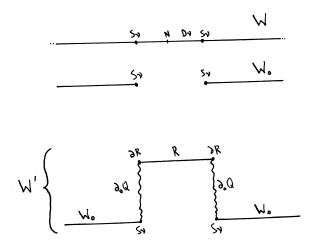
- Obstruction theory \rightsquigarrow (simple) $\mathbb{Z}\pi_1 M$ -homology equivalence $h': (R, \partial R) \rightarrow (D\xi, S\xi)$.
- As $\eta(\alpha) = \eta$, there is a normal bordism

$$H: Q \rightarrow D\xi \times I$$

between $h': R \to D\xi$ and $h|: D\nu \to D\xi$:





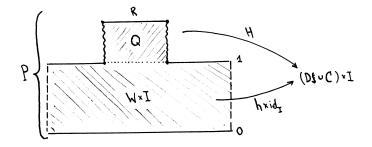


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• Glue Q to $W \times I$:

$$P:=W\times I\cup_{D\nu\times 1}Q.$$

Then γ := (h × id) ∪ H : P → (Dξ ∪ C) × I is a normal cobordism from h to a map W' → Dξ ∪ C.



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Construction of complement for n odd

- Assume n odd.
- Then $\Gamma_{n+2}(\mathbb{Z}\pi_1 C \to \mathbb{Z}\pi_1 W) \to L_{n+2}(\pi_1 W)$ is injective.
- Implies for the homology surgery obstruction $\sigma(\gamma) = 0$.
- So by the above homology surgery obstruction theorem, γ is normally cobordant (rel W × 0 ∪ R) to a simple ℤπ₁W-homology equivalence

 $f: (B, W \times 0, R, V) \to ((D\xi \cup C) \times I, (D\xi \cup C) \times 0, D\xi \times 1, C \times 1).$

- The manifold V is the sought complement!
- ▶ Seifert-van Kampen \Rightarrow *f* induces $\pi_1(V \cup_{\partial R} R) \cong \pi_1(D\xi \cup C)$.

Codim. 2 PL Embedding Theorem

- ▶ Then *B* is an s-cobordism.
- ▶ So by s-cob. thm. (using $n \ge 3$), get PL homeo.

 $\psi: (B, W \times 0, V \cup R) \cong (W \times I, W \times 0, W \times 1).$

The sought embedding is

$$M \subset R \xrightarrow{\psi|_R} W.$$

- Rem.: $f \mid : V \to C$ is in general *not* a homotopy equivalence.
- ► Thm. (Cappell, Shaneson) Let Mⁿ, Wⁿ⁺² be oriented closed PL manifolds, n ≥ 3, n odd. Then any oriented Poincaré embedding of M in W can be realized by a PL embedding M → W.
- ▶ Rem.: Also works for *n* even if $\pi_1 W = 0$. If *n* even and $\pi_1 W \neq 0$, CS construct "spineless" manifolds.

Cappell-Weinberger on Singular Spaces

- M a closed, smooth, simply connected manifold of even dimension n ≥ 5.
- Browder-Novikov-Sullivan \Rightarrow

$$\begin{array}{ccc} S(M)\otimes \mathbb{Q} & \stackrel{L}{\hookrightarrow} & \bigoplus H^{4j}(M;\mathbb{Q}), \\ [h:N\simeq M] & \mapsto & (h^*)^{-1}L^*(TN) - L^*(TM), \end{array}$$

is injective.

In other words: M is determined, up to finite ambiguity, by its homotopy type and its L-classes.

Extension to singular spaces?

Cappell-Weinberger

- Weinberger: TOP surgery fibration sequence for stratified spaces, topologically invariant characteristic classes.
 But C-W preceded the general theory.
- ► Thm. (Cappell-Weinberger) X an even dim. stratified pseudomanifold that has no strata of odd dimension. All strata S have dim ≥ 5, all strata and all links simply connected. Then:

$$S(X)\otimes \mathbb{Q} \hookrightarrow \bigoplus_{S\subset X} \bigoplus_{j} H_{j}(\overline{S};\mathbb{Q}),$$

where S ranges over the strata of X.

• Use intersection homology $IH_*^{50\%}(-)$ to define L-classes.

Some other directions:

- Cappell-Weinberger-Yan: classif. of TOP U(n)-actions on manifolds, all isotropy groups unitary subgroups ("multiaxial"); existence of closed aspherical manifolds with Center(π₁) = Z, but not admitting nontrivial TOP S¹-actions; replacement problems for fixed sets;...
- ► Cappell-Miller: Extending flat vector bundles from part of ∂M to M³ (compact 3-mfd); extension of analytic torsion to general flat bundles + extension of Cheeger-Müller thm. on top. invariance (Reidemeister-Franz).
- Cappell-Lee-Miller: Perturbative SU(3)-Casson invariant of integral homology 3-spheres.
- In algebraic geometry: M. Saito's theory of mixed Hodge modules → intersection Hirzebruch characteristic classes *IT*_{y*}: Cappell, Libgober, Maxim, Schürmann, Shaneson.

Thank you.

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