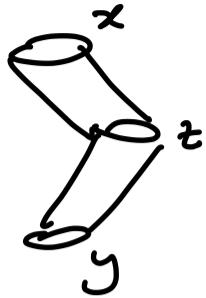


Morse 8
(last lecture)

Continue discussion of compactness

want $\partial^2 = 0$ so ∂ chain differential

0-dim moduli spaces



$$\partial^2 y = \sum \# M(x, z) \cdot \# M(z, y) \cdot y$$

(requires transversality so J generic)

// want

$$\# \partial \overline{M(x, y)} = 0$$

boundary points of smooth 1-mfd with boundary is even (or 0 if use orientation signs)
to a smooth 1-mfd with ∂
compactification of 1-dim moduli space using broken trajectories.
once-broken for dim reasons

What we saw so far

If have sequence $u_n \in M(x, y)$

\Rightarrow subsequence u_n either goes or breaks

But need also converse of this:

Gluing Theorem

" \exists collar neighbourhood near broken trajectory"

$\overline{M(x, z)}$ 1-dim'l

Know smooth 1-mfd for generic J (transversality then)

Want show $v_1 \# v_2 \in \partial \overline{M(x, z)}$
 \exists "chart" $\cong (\lambda_0, \infty] \subseteq \mathbb{R}$

$\exists: M(x, z) \times M(z, y) \times (\lambda_0, \infty] \rightarrow \overline{M(x, y)}$

$(v_1, v_2, \lambda) \mapsto v_1 \#_{\lambda} v_2$

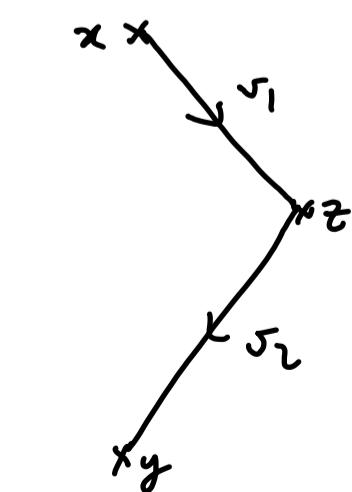
$(v_1, v_2, \infty) \mapsto v_1 \# v_2$ broken solution

idea: before breaking

gluing procedure

so 1-free parameter λ involved in gluing for each breaking

Morse case



produce an approximate solution w_λ

$$x \xrightarrow{w_\lambda(\cdot) = v_1(\cdot + 2\lambda)} z \quad \text{for } s \leq -\lambda$$

use $\exp_z(\cdot)$ to interpolate between $v_1(\lambda)$ and z

$$s \in [-\lambda, -\lambda+1]$$

use $\exp_z(\cdot)$ from z to $v_2(-\lambda)$ for $s \in [\lambda-1, \lambda]$

$$w_\lambda(s) = z \quad \text{for } s \in [-\lambda+1, \lambda-1]$$

$$w_\lambda(\cdot) = v_2(\cdot - 2\lambda) \quad \text{for } s \geq \lambda$$

$$\text{on domain } \mathbb{R} \quad v_1(\cdot + 2\lambda) \quad v_2(\cdot - 2\lambda)$$

$$-\lambda \quad \lambda$$

λ
 ∞
 $v_1(\lambda)$

λ
 $v_2(-\lambda)$
 ∞
 $\lambda \rightarrow \infty$

$$F(u) = \partial_s u - \nabla f|_u$$

$$F(w_\lambda) = \begin{cases} F(v_1(\cdot + 2\lambda)) = 0 & s \leq -\lambda \\ F(v_2(\cdot - 2\lambda)) = 0 & s \geq \lambda \text{ as } v_2 \text{ drag} \\ F(z) = 0 & s \in [\lambda+1, \lambda-1] \\ F(\exp_z(\dots)) & s \in \text{remaining two intervals of length 1} \end{cases}$$

||

$$\underbrace{\partial_s \exp_z(\dots)}_{\approx 0} - \underbrace{\nabla f|_{\exp_z(\dots)}}_{\approx \nabla f|_z = 0} = 0$$

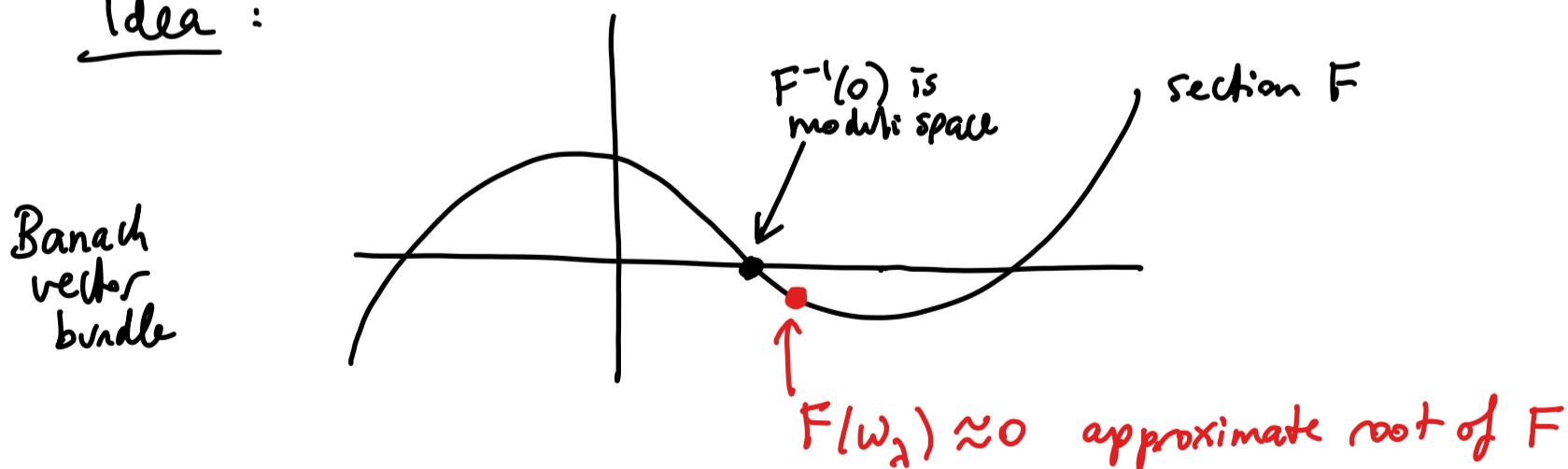
since very close to z
(exponential decay)
of v_1, v_2 near z)

$\Rightarrow F(w_\lambda) = 0$ except small on two small intervals.

Gluing this takes a lot of time to prove, even in my Cambridge Part III notes I just give an overview sketch.

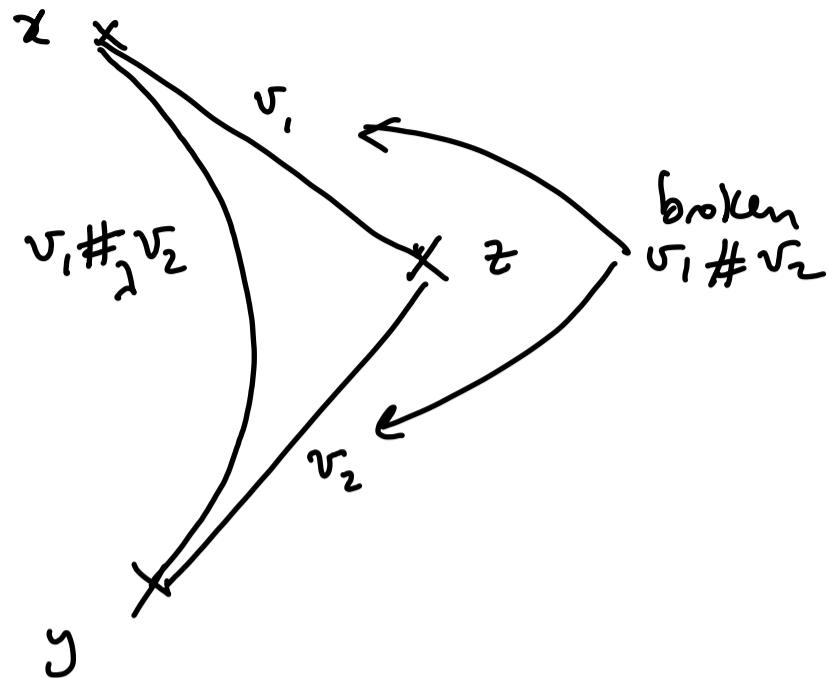
~ Details: book by Matthias Schwarz, Morse Homology

Idea:

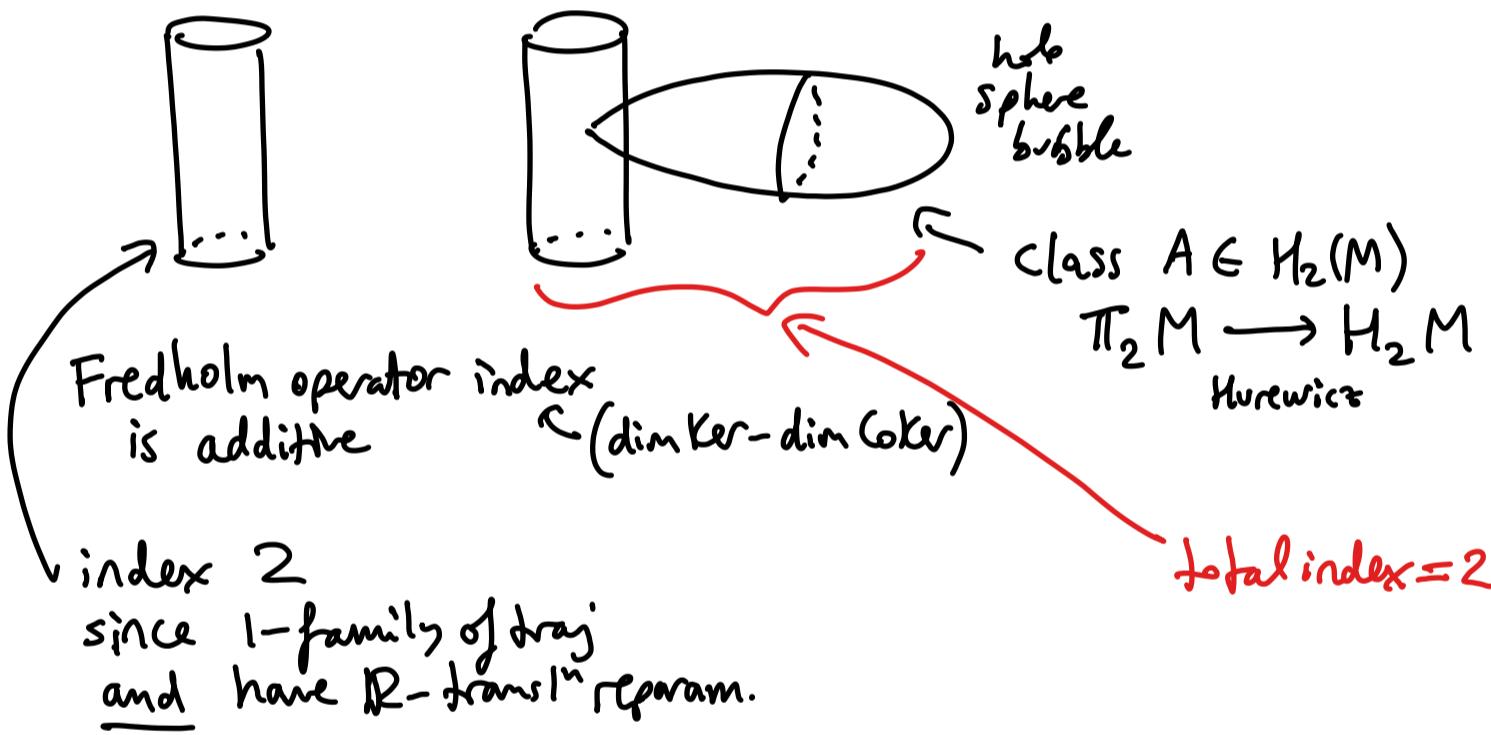


Run Newton iteration method (or Picard method) to find honest solution near w_λ .

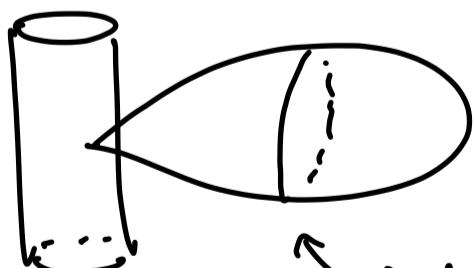
Basically: implicit function theorem argument (fixed pt Banach sthm)
One builds a "unique" family of honest solutions
(explained in Part III) $v_1 \#_2 v_2$ associated to w_λ for $\lambda \geq \lambda_0$
large



Floer case excluding bubbling



index 2
since 1-family of traj
and have \mathbb{R} -translth reparam.



$$\Rightarrow \text{index} = 2 - \text{this} \leq -1$$

so this moduli space has expected dimension < 0
(or virtual dimension)

$\Rightarrow \emptyset$ moduli space for generic J

\Rightarrow does not happen

means: dim
when J generic
so transversality
holds

$$\text{Fact} \cdot \text{Virtual dim } (\text{J-holo spheres in class } A \in H_2(M))$$

$$= \underbrace{2n}_{\dim_{\mathbb{R}} M} + 2 c_1(A)$$

\uparrow evaluate $H^2(M, \mathbb{Z})$ with
 $c_1(TM, J)$
 \hookrightarrow \mathbb{C} vector bundle
 using J

$H_2(M, \mathbb{Z})$

- reparametrisation freedom of domain of the sphere:

$$\begin{array}{c} \uparrow \\ \nu \circ \varphi^{-1}: \mathbb{CP}^1 \rightarrow M \text{ has} \\ \text{same image} \end{array} \quad \text{Aut } (\mathbb{CP}^1) = PSL(2, \mathbb{C}) \leftarrow \dim_{\mathbb{R}} = 6$$

(Möbius maps)

$$\begin{array}{ccc} M_A \times \mathbb{CP}^1 & \xrightarrow{\text{ev}} & M \\ ((\nu: \mathbb{CP}^1 \rightarrow M), p) & \longmapsto & \nu(p) \\ \nu_*[\mathbb{CP}^1] = A & \Downarrow \text{action Aut}(\mathbb{CP}^1): (\nu, p) \mapsto (\nu \circ \varphi, \varphi \circ p) & \xrightarrow{\text{ev}} \xleftarrow{\text{ev}} \\ \text{How much of } M \text{ is "covered":} & & \nu(p) \end{array}$$

what M_A sweeps out
in M

$$\begin{array}{ccccccc} \text{"dim"}(\text{image}) = & 2n + 2 \alpha & - & 6 & + & 2 & \\ & \underbrace{\alpha}_{\alpha = c_1(A)} & & \underbrace{-} & \underbrace{+} & & \\ & \dim M_A & & \uparrow \text{Aut } \mathbb{CP}^1 & & & \\ & & & & & & \nearrow \begin{array}{l} p \in \mathbb{CP}^1 \\ 2 \dim_{\mathbb{R}} \text{ freedom} \end{array} \\ & & & & & & \\ = & 2n - 4 + 2\alpha & & & & & \end{array}$$

Really problematic case $\xleftarrow{\text{negative Chern classes very dangerous}}$



$$\begin{array}{c} \alpha = -1 \\ (\text{or } \alpha \ll 0 \text{ even worse}) \end{array} \xleftarrow{\text{e.g. compose } \nu \text{ with branched covers}} \begin{array}{c} \text{e.g. compose } \nu \\ \text{with branched covers} \\ (\mathbb{CP}^1 \rightarrow \mathbb{CP}^1) \\ \text{to make } c_1 \ll 0 \text{ spheres} \end{array}$$

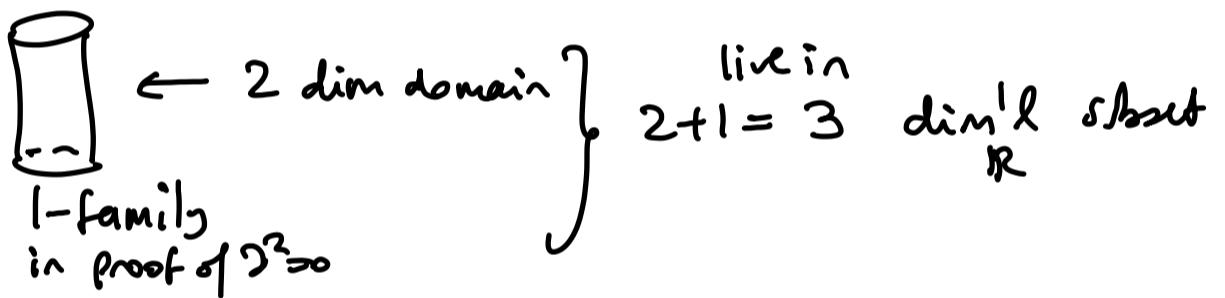
$$2 - \alpha = 3 \quad (\text{or } \gg 0) \xleftarrow{\text{expect these exist!}}$$

\rightsquigarrow Fukaya - Oh - Ohta - Ono
developed methods called Kuranishi structures

Possible conditions on M to avoid bubbling

- ① ω aspherical : $\omega(\pi_2 M) = 0 \Rightarrow$ no nonconst J -hol spheres
- ② Calabi-Yau case : $c_1 = 0$
or just ask $c_1(\pi_2 M) = 0$
- ③ Fano case or "Monotone" case:
 $c_1 = k [\omega] \in H^2(M, \mathbb{R})$
 $k > 0$

② "dim" image = $2n - 4$
so spheres generically live in codim $_{\mathbb{R}} = 4$ subset



Just show : generic $J \Rightarrow$ these are disjoint subsets
 \Rightarrow no bubbling in $D^2 > 0$ proof

③ $\alpha = c_1(A) = k \underbrace{\omega(A)}_{> 0 \text{ since energy of } J\text{-hol sphere}} \in H^2(M, \mathbb{Z})$
 \curvearrowleft non constant say.

$$\Rightarrow c_1(A) \geq 1 \text{ since } c_1 \in H^2(M, \mathbb{Z}) \\ A \in H_2(M, \underline{\mathbb{Z}})$$

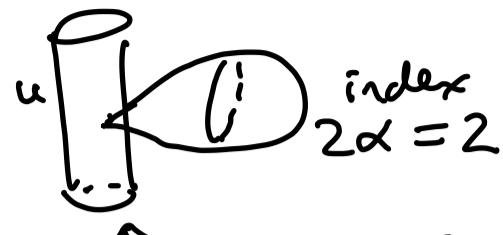
$$\Rightarrow 2\alpha \geq 2$$

$$\Rightarrow \text{"dim" (image)} = 2n - 4 + 2\alpha$$

index ≥ 3 case, so $2\alpha \geq 3$, we already discussed
(left with : $2\alpha = 2$) (no issue)

$$\Rightarrow \text{"dim" (image)} = 2n - 4 + 2 = 2n - 2$$

$2n-2$



$$\text{index} = (2 - \text{that}) = 0$$

means no \mathbb{R} -reparam
freedom, so must have

$$u(\cdot + r, \cdot) = u(\cdot, \cdot) \quad \forall r \in \mathbb{R}$$

$\Rightarrow u$ is s -independent

$\Rightarrow u = x = y$ is s -indep.
Ham 1-orbit

But we have $x \neq y$ ($\dim M(x, y) = 1$)

\Rightarrow does not happen

(Rmk. or, say "dim" (image) = $2n-2$ $\text{codim}_n = 2$

so spheres avoid (generically) the
Ham 1-orbits.

\rightarrow 1-dim subspace)

How we count $\# M(x, y)$

$$\partial : FC^*(H, J) \rightarrow FC^{*+1}(H, J)$$

||

\oplus K_y
 y Hami-orbit
 for H

$K =$ Novikov field \leftarrow various versions
 $= \left\{ \sum a_i t^{r_i} : a_i \in \text{ground field } \mathbb{F} \right. \\ \left. r_i \rightarrow \infty \text{ in } \mathbb{R} \right\}$

$$\partial y = \sum_{\substack{u \in M(x, y) \\ \dim M(x, y) = 1}} \pm t^{E(u)} \cdot x$$

\nearrow J generic
 so transverse setup
 \nearrow orientation sign
 (if char field $\neq 2$)
 \nearrow formal parameter t

Why?

$M(x, y)$ could be ∞ set

if put bound on energy $E(u) \leq K$
 then we showed compactness

But could have

u_n with $E(u_n) \rightarrow \infty$

So doing like a formal completion in t
 to ensure convergence

Invariance : Floer's continuation method

Morse f_s, g_s
 $s \in \mathbb{R}$

$$f_s = \begin{cases} f_- & s \ll 0 \\ f_+ & s \gg 0 \end{cases}$$

$f_s : M \rightarrow \mathbb{R}$
smooth functions
need not be Morse

$f_{\pm} : M \rightarrow \mathbb{R}$ Morse

i.e. $\exists s_* \in \mathbb{R}$

& this holds for
 $s \leq s_-$

Think s very
negative

g_s Riemannian metrics

$\Rightarrow \nabla^{\partial_s} f_s$ vector fields

$$g_s(\nabla^{\partial_s} f_s, \cdot) = df_s$$



$$MC^*(f_+, g_+) \longrightarrow MC^*(f_-, g_-)$$

$$x_+ \longmapsto \sum_{\dim M=0} \#M(x_-, x_+) \cdot x_-$$

Morse continuation \longrightarrow
solutions

$$u : \mathbb{R} \rightarrow M$$

$$\partial_s u = -\nabla^{\partial_s} f_s$$

$$\left(= \begin{cases} -\nabla f_- & s \ll 0 \\ -\nabla f_+ & s \gg 0 \end{cases} \right)$$

flows used to define
 MC^* groups

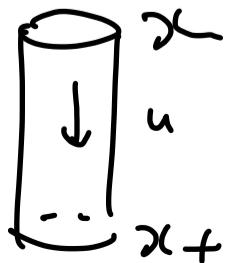
Important Rank

No \mathbb{R} -reparametrisation freedom

$$M(x_-, x_+) = W(x_-, x_+)$$

always parametrised maps now

Floer case ω symplectic form



J_s ω -compatible almost complex structures

$$J_s = \begin{cases} J_- & s \ll 0 \\ J_+ & s \gg 0 \end{cases}$$

$$H_s : M \rightarrow \mathbb{R}$$

$$H_s = \begin{cases} H_- & s \ll 0 \\ H_+ & s \gg 0 \end{cases}$$

$$\varphi_{-+} : FC^*(H_+, J_+) \rightarrow FC^*(H_-, J_-)$$

$$x_+ \mapsto \sum \#(\text{Floer continuation solutions}) \cdot x_-$$

$$u: \mathbb{R} \rightarrow LM = C^\infty(S^1; M)$$

$$\partial_s u = -\nabla^{g_s} A_{H_s}$$

$$\partial_s u + J_s (\partial_t u - X_{H_s}) = 0$$

exercise

$$J_s X_{H_s} = -\nabla^{g_s} H_s$$

$$(\omega(\cdot, X_{H_s}) = dH_s)$$

Rmk For transversality:
generic f_s is enough

or generic g_s is enough
or both.

$$A_{H_s}(x) = -\int_{\bar{x}}^x \omega + \int_{\bar{x}}^x H_s(s) ds dt$$



for contractible loops

(non-contractible loops: pick representative loop in free homotopy class $S^1 \rightarrow M$)

Then "cap" of x
is really cylinder



For continuation solution, count is more precisely

$$\partial x_+ = \sum \pm t^{A_{H_-}(x_-) - A_{H_+}(x_+)} \cdot x_-$$

↑
not the energy
(not homotopy energy)

homotopy invt relative
to ends
 x_\pm

Correct analogue

$$\text{of } f_-(x_-) - f_+(x_+) = \int \partial f_s|_s ds$$

Energy

$$\begin{aligned}
 E(u) &= \int |\partial_s u|^2 ds dt \\
 &= \int \omega(\partial_s u, \underbrace{\mathcal{T}_s \partial_s u}_{\parallel}) ds dt \\
 &= \int u^* \omega - \underbrace{\int dH_s(\partial_s u) ds dt}_{\text{II}}
 \end{aligned}$$

$$\partial_s (\underline{H_s \circ u}) = dH_s \circ \partial_s u + \partial_s H_s \Big|_u$$

$$\begin{aligned}
 &= \int u^* \omega - \int \partial_s (H_s \circ u) + \int \partial_s H_s \\
 &= \underbrace{A_{H_-}(x_-) - A_{H_+}(x_+)}_{\text{hyp int rel. ends}} + \underbrace{\int \partial_s H_s \Big|_u ds dt}_{\text{not hyp int}}
 \end{aligned}$$

H_s s-independent for $s \in \mathbb{R} \setminus [s_-, s_+]$

$$\left| \int \partial_s H_s \right| \leq (s_+ - s_-) \max_M |H_s|$$

bounded a priori

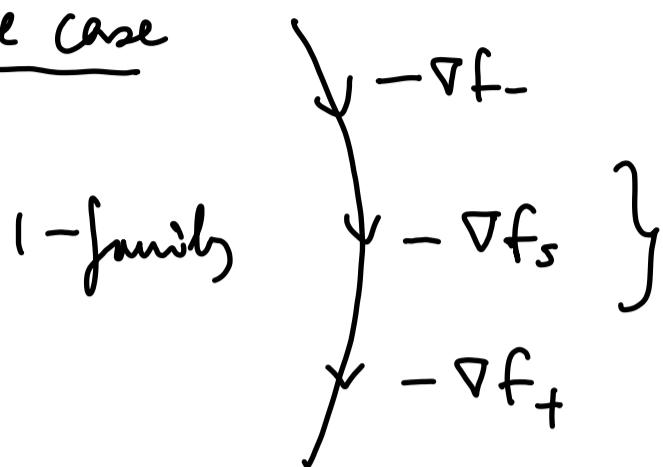
$$\Rightarrow E(u) \leq \underbrace{\text{difference of actions}}_{\text{action}} + \text{a priori bound}$$

$$\Rightarrow \pm t \underbrace{\text{difference of action}}_{x_-} \text{ will go to } \infty \text{ if } E(u_n) \rightarrow \infty \text{ all ok.}$$

Is φ_+ a chain map?

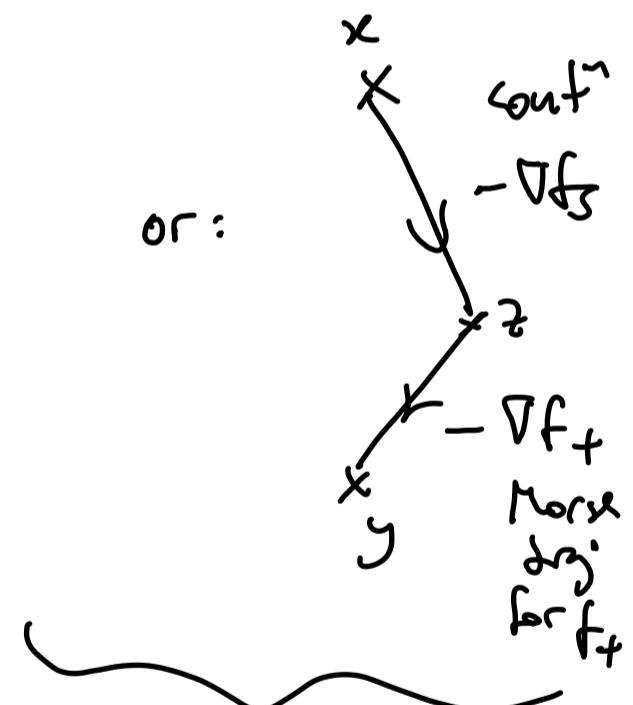
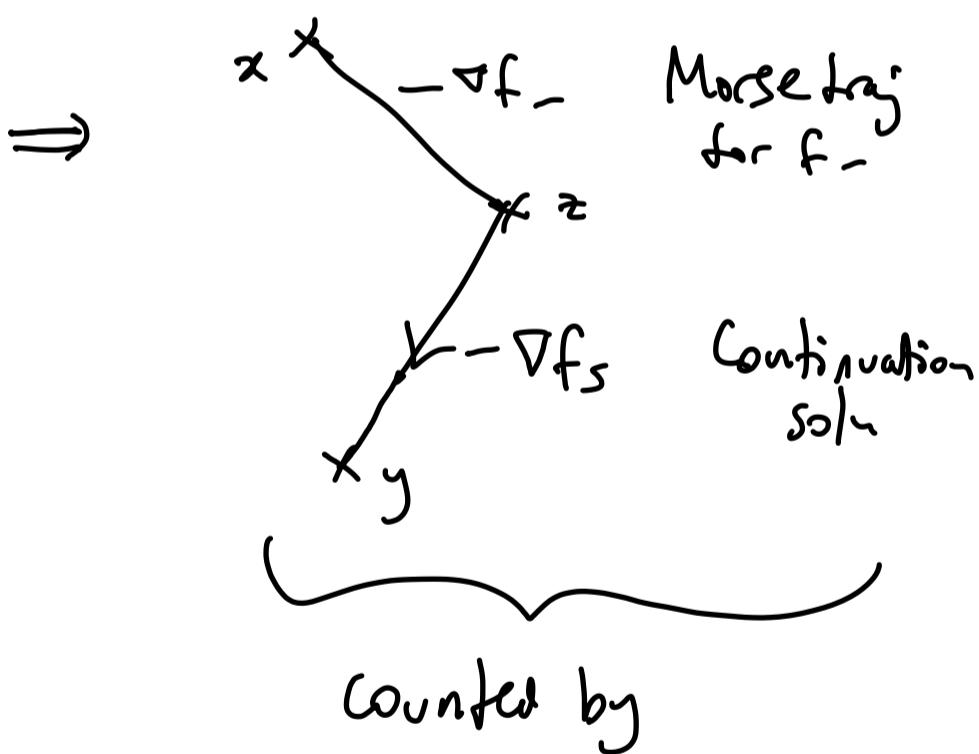
What breaking?

Morse case



Key s -dependence is on a compact subset of the domain \mathbb{R}
 \Rightarrow Arzela-Ascoli ensures C^∞ -cyc
 \therefore no breaking!

\Rightarrow only breaking is near ends
so breaking analysis is same as for MC^* case
(That's why crucial that we use same PDE setup near the ends)



Counted by

$$\partial_- \circ \varphi_+ (y)$$

\uparrow
 ∂ for $MC^*(f_-, g_-)$

Counted by

$$\varphi_{-+} \circ \partial_+ (y)$$

compactified
smooth w/ δ
smooth w/ δ

$\# \partial \overline{M(x,y)} = 0$

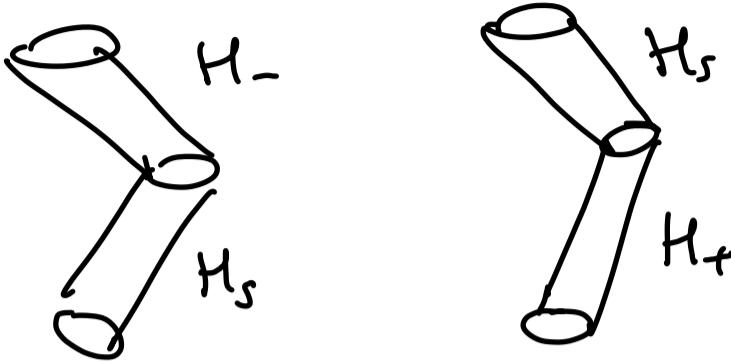
$$\partial_- \circ \varphi_{-+} + \varphi_{-+} \circ \partial_+ = 0$$

says φ_{-+} is chain map

$$\Rightarrow [\varphi_{-+}] : \mathrm{MH}_*(f_+, g_+) \rightarrow \mathrm{MH}_*(f_-, g_-)$$

Floer case similar

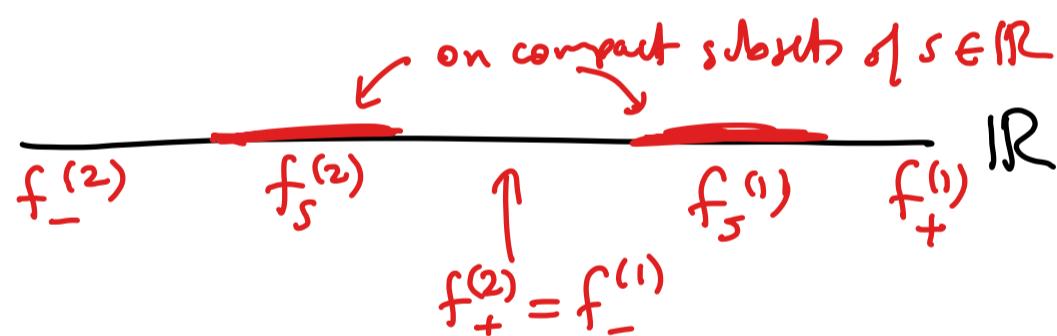
(for transversality
either perturb H_s
or " J_s "
or both)



Thm (crucial M closed)

- 1) $[\varphi_{-+}]$ independent of choice of (generic) f_s, g_s
resp. H_s, J_s Floer
- 2) Compose well:

$$[\varphi_{f_s^{(2)}}] \circ [\varphi_{f_s^{(1)}}] = [\varphi_{f_s^{(2)} \circ f_s^{(1)}}]$$



- 3) $[\varphi_{-+}] = \text{id}$ if $f_s = f$ Morse
 $g_s = g$
(f, g) generic

$$\begin{aligned} H_s &= H \\ J_s &= J \end{aligned}$$

- 4) $[\varphi_{-+}]$ isomorphism
(\Rightarrow INVARIANCE OF MH^* AND FH^*)
so independent of f, g resp. H, J

proof ideas

i) 2 sets of choices \Rightarrow 2 chain maps $\varphi^{(0)}, \varphi^{(1)}$

interpolate choices: $f_s^{(\lambda)}, g_s^{(\lambda)} \quad \lambda \in [0,1]$

PARAMETRISED MODULI SPACE

$$\bigcup_{\lambda \in [0,1]} M(x, y; f_s^{(\lambda)}, g_s^{(\lambda)})$$

so pairs:

$$\partial_s u = -\nabla^s f_s^{(\lambda)} \quad (u, \lambda) \in [0,1]$$

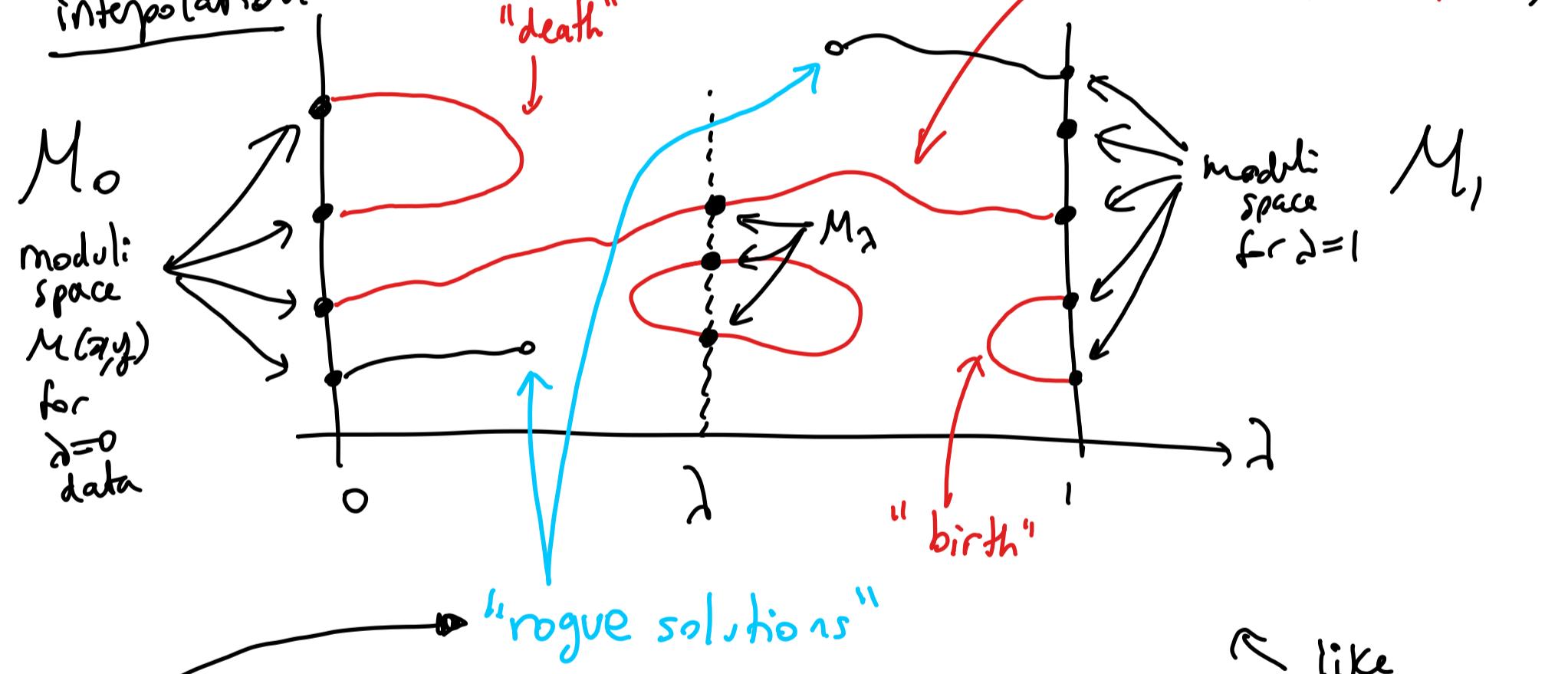
so get nicest
possible
birth-death
setup

For generic
interpolation:

union has
 $\dim = 1$:
new param

call this M_λ
(φ -+ counts; $\dim = 0$)

nice case:
1-cobordism
no birth-death
(solns)



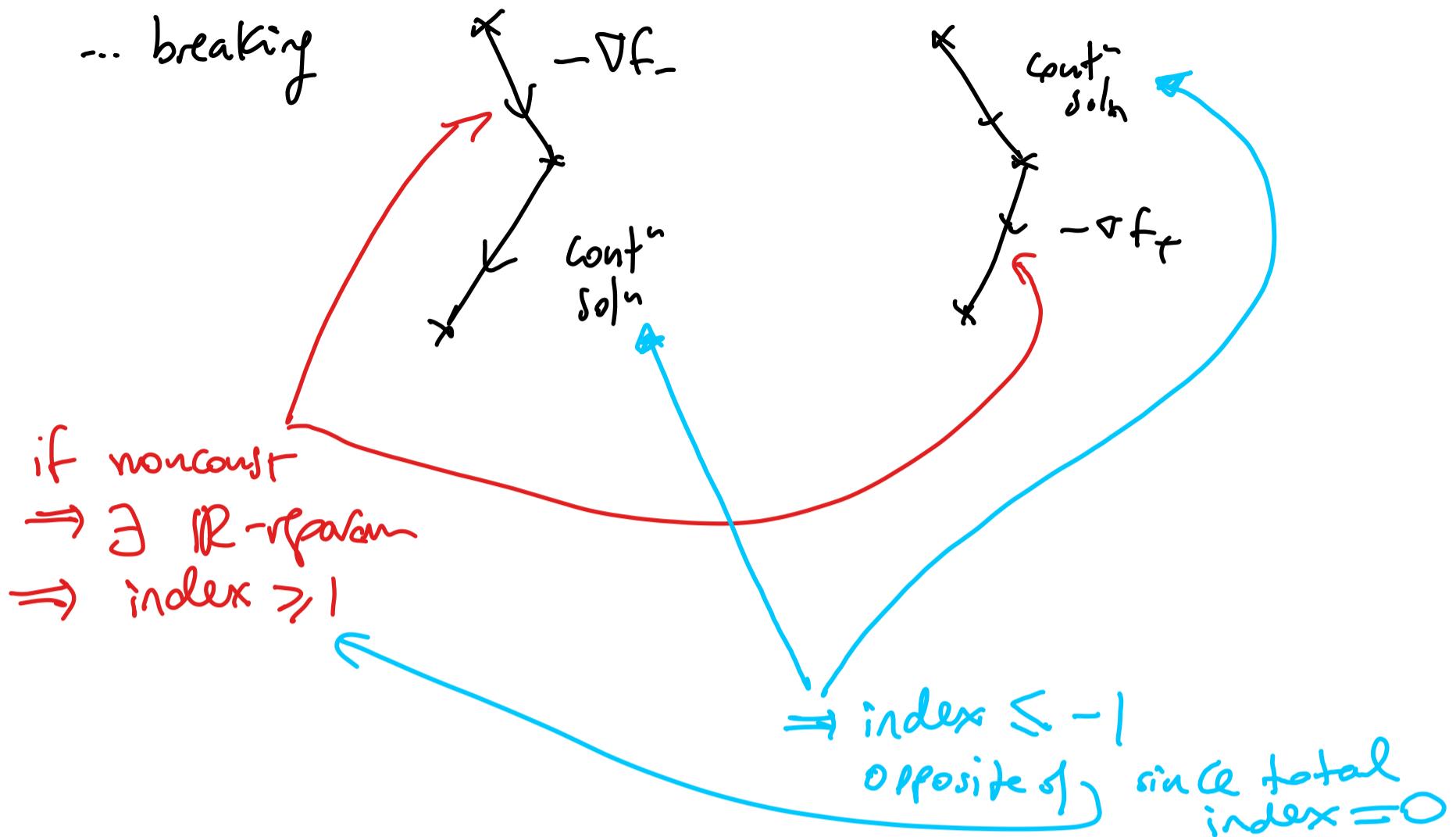
birth-death does not affect
the count of $M_\lambda \bmod 2$

(or in fact are 0 if
we orientate signs)

like
"bifurcation
analysis"
in classical
ODE/PDE
theory

happens if breaking ...

total index $M_\lambda = 0$ (for fixed λ)

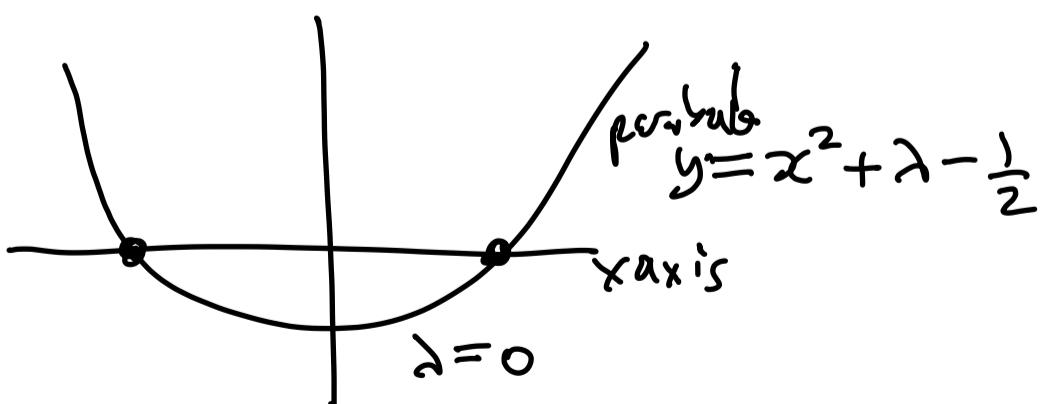


How possible those moduli spaces of contⁿ solns are not empty?

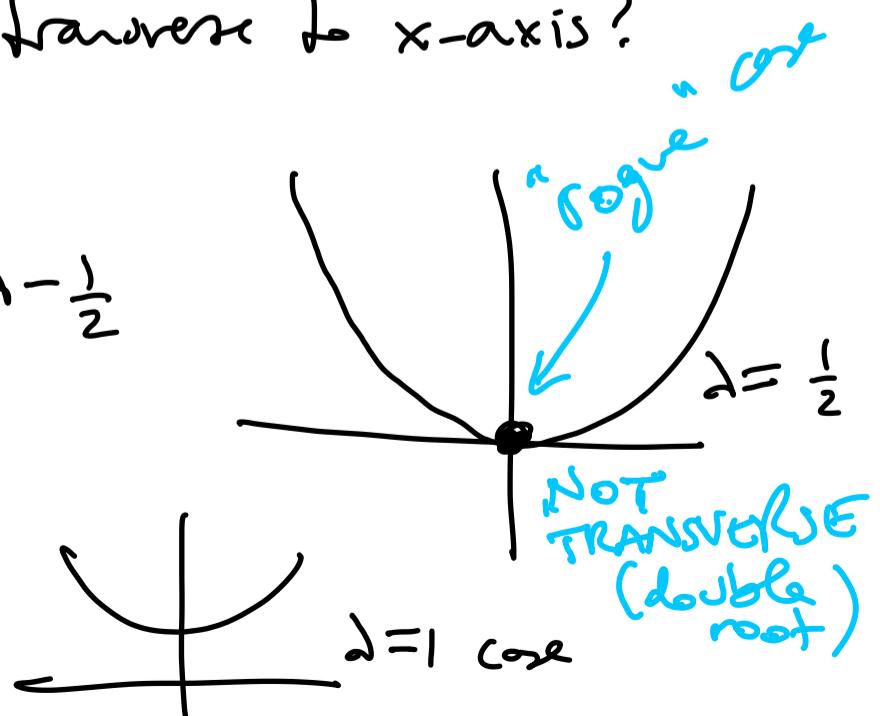
Reason: f_λ, g_λ (resp K_λ, J_λ)
 not generic for that particular value of λ

Philosophy: can make f, g generic
 but not in l -family!

Compare: when is parabola transverse to x-axis?



for all other λ
 it is transverse



Upshot

$$0 = \# \partial \left(\overline{UM_{\lambda}}_{\lambda \in [0,1]} \right)$$

compactify using broken solns
involving rogue solns

compactified with ∂

$$\varphi^{(0)} - \varphi^{(1)} = \partial_- \circ K + K \circ \partial_+$$

$$\begin{array}{c} -\nabla f_- \\ \searrow \swarrow \\ \text{rogue cont} \end{array}$$

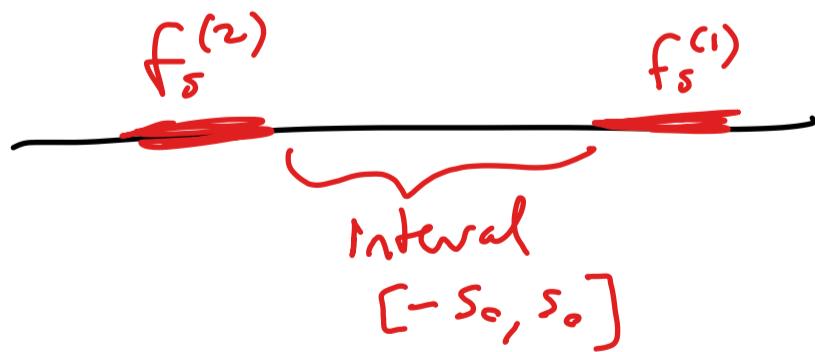
$$\begin{array}{c} \nearrow \text{rogue cont} \\ -\nabla f_+ \end{array}$$

K called chain homotopy

$$\Rightarrow [\varphi^{(0)}] = [\varphi^{(1)}] \quad \checkmark$$

2) Compose well

One shows at chain level that if $s_0 \gg 0$



The get bijection of moduli spaces, s_0 an iso at chain level!

So use (1) to get into this situation.

need to look at Fredholm operators by hand

3) $\varphi = \text{id}$ if constant data
 f, g generic so that have transversality for
 all Morse solutions $\partial_t u = -\nabla f$
 $\Rightarrow \dim \{\text{cont' solns}\} \neq 0$ due to R-reparam. freedom
 unless s -independent
 $\Rightarrow u = s$ -independent Ham 1-orbit
 $\Rightarrow \varphi_{f+}(x) = x$ is identity.

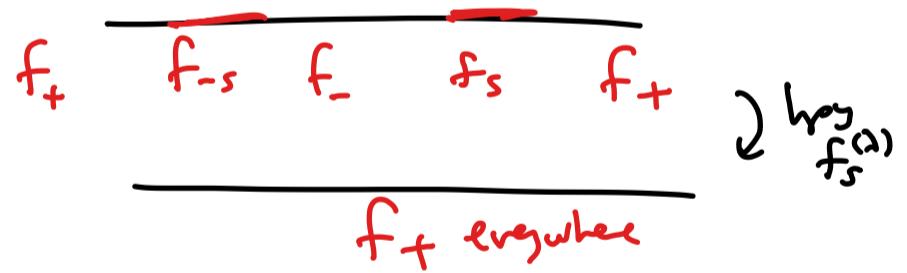
data is
 s -independent
 so can
 translate s !

4) $[\varphi_{f_s}]^{-1}$?

$$[\varphi_{f_{-s}}] \circ [\varphi_{f_s}] = [\varphi_{f_{-s} \# f_s}] = [\varphi_{f_+}] = \text{id}$$

\uparrow (2) \uparrow (1) \uparrow (3)
 reverse hpy f_{-s} f_- f_s f_+ f_+ f_+
 f_+ f_+ f_+ f_+ f_+ f_+
 f_+ f_+ f_+ f_+ f_+ f_+

$$\Rightarrow [\varphi_{f_s}]^{-1} = [\varphi_{f_{-s}}] \cdot \text{Id}$$



Morse \rightarrow Floer map

$$c^*: MH^*(f) \rightarrow FH^*(H)$$

$$\gamma \longmapsto \sum \#(\text{spiked discs}) \cdot x$$

↓
"PSS map"

description of u

$$R \times S^1 \longrightarrow C \setminus \{0\} \longrightarrow M$$

$u(s, t)$

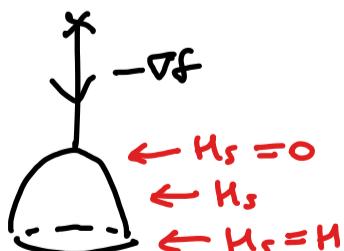
$$\partial_s u + J(\partial_t u - X_{H_s}) = 0$$

$$H_s = \begin{cases} H & \text{for } s \ll 0 \\ 0 & \text{for } s \gg 0 \end{cases}$$

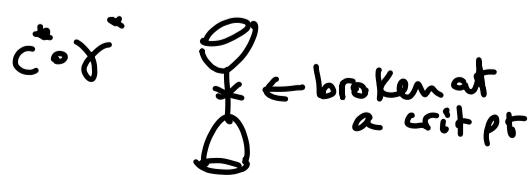
← so near $0 \in C$ get J -holo curve equation $\partial_s u + J \partial_t u = 0$

Thm c^* is an isomorphism

proof idea define "inverse" map
 γ^* counts



$c^* \circ \gamma^*, \gamma^* \circ c^*$ count broken solutions :

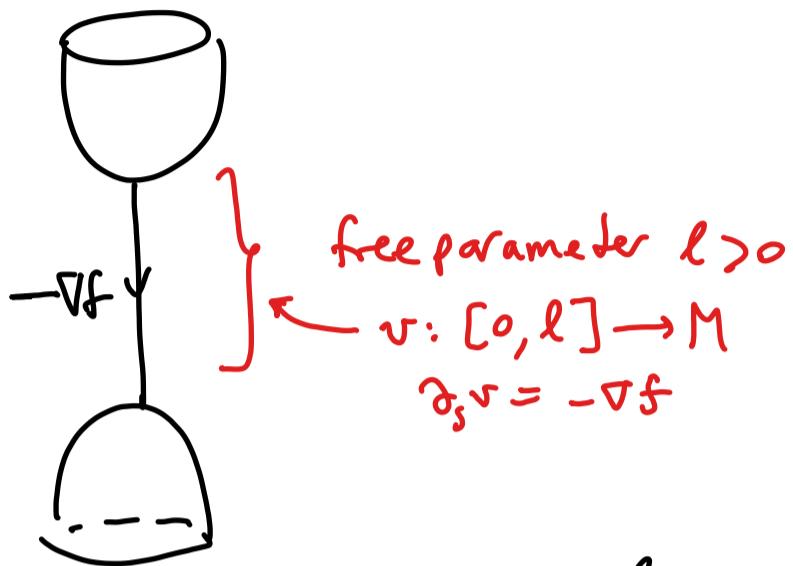


How to prove



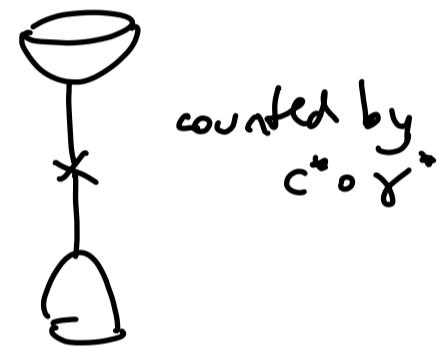
count is identity on cohomology?

Trick : "Interpolating moduli space" trick



Breaking possibilities :

$$\begin{cases} l \rightarrow \infty \\ l \rightarrow 0 \end{cases}$$



node, like in the discussion of sphere bubbling :
Local model

$$xy=0$$

$$x, y \in \mathbb{C}$$



admits gluing

$$xy=t$$

$$t \neq 0$$

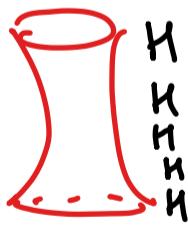


so after gluing argument get



can glue data

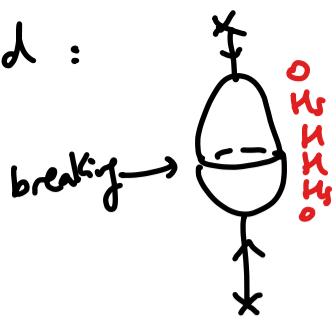
- $\lambda \in [0, 1]$
- parametrised moduli space argument
- count rogue solns, get chain hpy



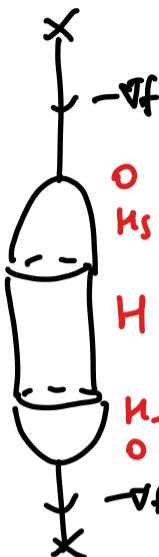
⇒ up to chain hpy, counting continuation cylinders with $H_s = H$ s-inds.
so identity maps on cohomology

$$\therefore c^* \circ \gamma^* = \text{id.}$$

proof of $\gamma \circ c = \text{id}$:

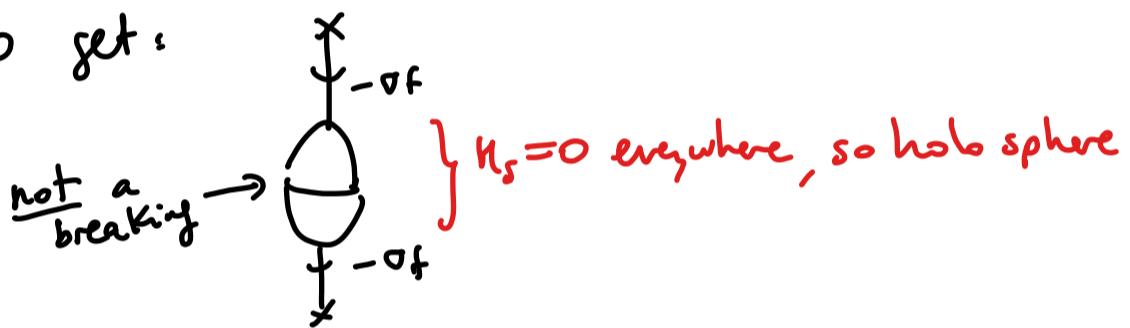


Interpolating moduli space:



can have $H_s \rightarrow 0$ as $l \rightarrow 0$
cylinder $[-l, l] \times S^1 \rightarrow M$
free parameter l

Breaking : $\begin{cases} l \rightarrow +\infty \text{ get} \\ l \rightarrow 0 \text{ get:} \end{cases}$



$\} H_s = 0$ everywhere, so halo sphere

$\int U(x)$

Finally, need a dimension argument

moduli space of spheres with 2 marked points evaluating to $U(x), D(y)$:

$$\left\{ \begin{array}{c} \text{sphere} \\ M_A \end{array} \right. \times \left(\mathbb{C}P^1 \times \mathbb{C}P^1 \right) \xrightarrow{\text{ev}} M \times M$$

$$\text{Aut}(\mathbb{C}P^1) \quad \underbrace{U_1}_{\text{Aut}(\mathbb{C}P^1)} \quad \underbrace{U_2}_{\text{Aut}(\mathbb{C}P^1)}$$

$$\left\{ \begin{array}{c} p \in M: \\ -\nabla f \text{ flow} \\ \text{back in time} \end{array} \right\} \quad \left\{ \begin{array}{c} p \in M: \\ -\nabla f \text{ flow} \\ \text{forward in time} \end{array} \right\}$$

reparametrisation:
 (u, p_1, p_2)
 $\downarrow \varphi \in \text{Aut } \mathbb{C}P^1$
 $(u \circ \varphi^{-1}, \varphi p_1, \varphi p_2)$
 ev is invt under reparam.

"dim" = $2n + 2c_1(A) + 2 + 2 - 6 - |x| - (2n - |y|) = 2c_1(A) + |y| - |x| - 2$
 if one carefully checks the dimensions involved in the definition of c , γ
 one finds that we have $2c_1(A) + |y| - |x| = 0$ \leftarrow "index zero problem"

\Rightarrow "dim" = -2 < 0 so \emptyset set. ✓

intuition: cannot be an isolated solution because
 (moral reason!) we can rotate sphere: