Link invariants a la Alexander module

Oleg Viro

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 $\begin{array}{c} \text{Khovanov homology for} \\ \text{surfaces in} \ \ S^3 \times S^1 \end{array}$

The main construction

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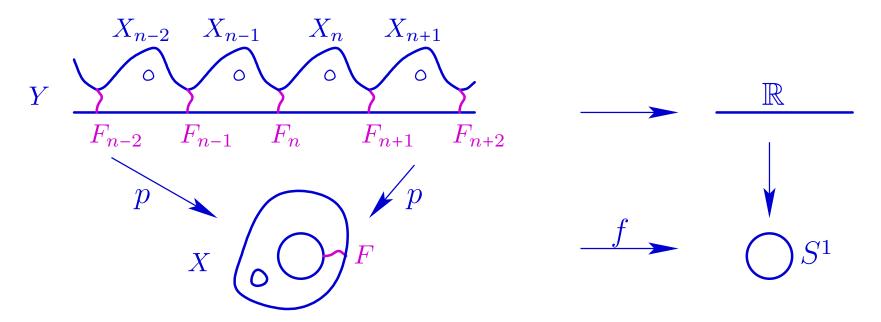


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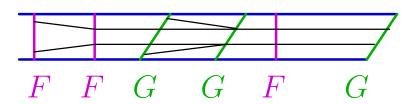
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Deck transformations determine an action of \mathbb{Z} in $Q(X,\xi)$.

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If
$$X = S^3 \setminus K$$
, $Z(F) = H_1(F; \mathbb{Q})$, then

this is Seifert's calculation of the Alexander module $H_1(Y;\mathbb{Q})$ of K.

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Let $\dim X = m$, and Z be an m-dimensional TQFT.

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For 3-manifolds and various TQFT's, it was studied by Pat Gilmer in 90s.

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I construct new invariants by versions of the Seifert-Turaev construction.

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The first construction gives an isotopy invariant of a classical link.

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The second construction gives a diffeotopy invariant of a smooth closed 2-submanifold Λ of $S^3\times S^1$.

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The invariant is a bigraded $\mathbb{Z}[\mathbb{Z}]$ -module. It is trivial, unless $\chi(\Lambda) = 0$.

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The main construction

Theory of Skeletons

- Skeletons
- Recovery from a
- 2-skeleton
- How 2-skeleton of a
- 3-manifold moves
- How 2-skeleton of a
- 4-manifold moves
- Generic 2-polyhedra with boundary
- Relative 2-skeletons

Face state sums

Upgrading the colored Jones

Khovanov homology for surfaces in $S^3 \times S^1$

Theory of Skeletons

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An n-skeleton of a manifold M is an n-polyhedron S to which the union of all handles of indices $\leq n$ in a handle decomposition of M can be collapsed.

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There is no natural n-skeleton, but there are generic n-skeletons, and their generic transformations to each other.

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A generic graph that cannot be diminished by a collapse is trivalent.

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A non-generic graph:

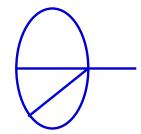


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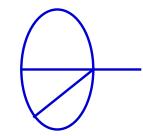


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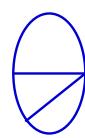


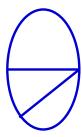
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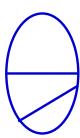


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A generic non-collapsible 2-polyhedron has local structure of a foam:

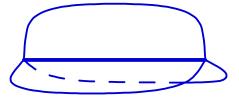
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and vertices of one kind:

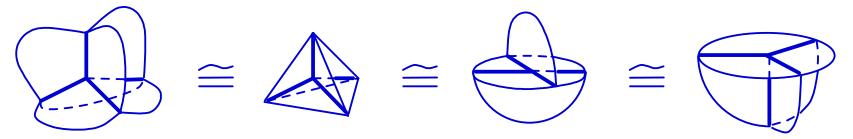


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Theorem (Casler, 1965). A closed oriented 3-manifold can be recovered from its generic 2-skeleton.

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Theorem (Turaev, 1991). An oriented smooth closed 4-manifold can be recovered from its generic 2-skeleton equipped with self-intersection numbers of 2-strata.

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An oriented smooth closed 4-manifold

cannot be recovered from its generic 2-skeleton.

A 2-stratum of a generic 2-skeleton in an oriented 4-manifold has self-intersection number $\epsilon = \frac{1}{2}$

self-intersection number $\in \frac{1}{2}\mathbb{Z}$.

Theorem (Turaev, 1991). An oriented smooth closed 4-manifold can be recovered from its generic 2-skeleton equipped with self-intersection numbers of 2-strata.

Self-intersection numbers are called gleams, a generic 2-polyhedron with gleams is a shadowed 2-polyhedron.

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A generic 2-polyhedron that is not equipped with gleams is considered shadowed with all gleams equal zero.

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Theorem (Matveev, Piergallini). Any two 2-skeletons of an oriented closed 3-manifold can be transformed to each other by a sequence of moves of the following 3-types.

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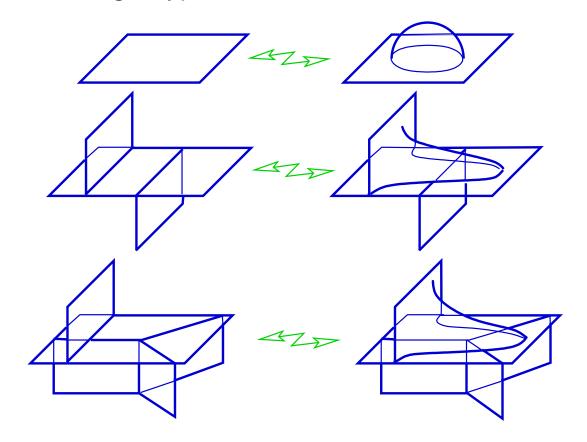


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Corollary. Any quantity calculated for a generic 2-polyhedron and invariant with respect the three Matveev-Piergallini moves is a **topological invariant of a 3-manifold**.

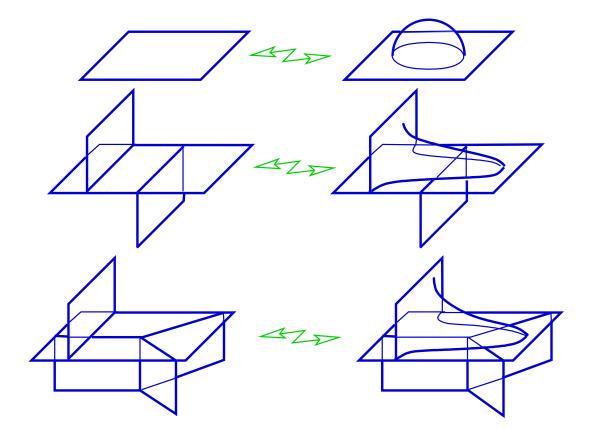


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Theorem (Turaev). Any two shadowed 2-skeletons of an oriented smooth closed 4-manifold can be transformed to each other by a sequence of moves of the following 4 types.

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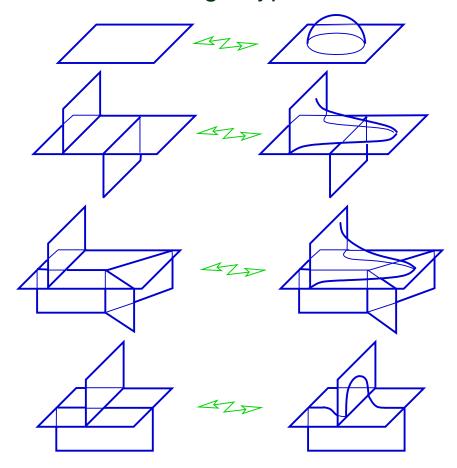


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Gleams change as follows:

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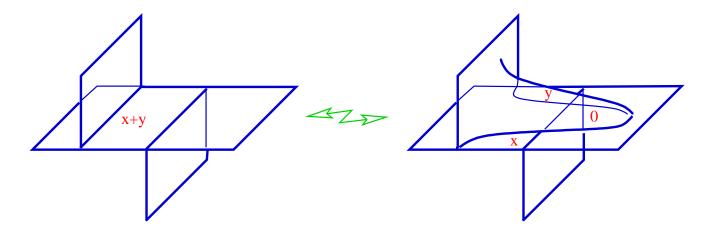


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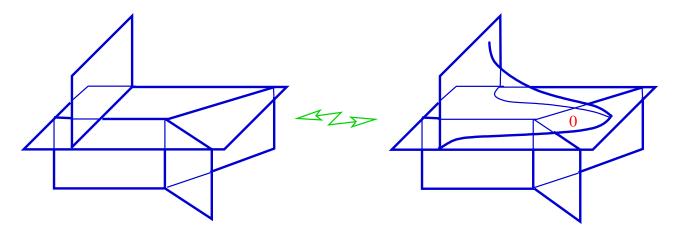


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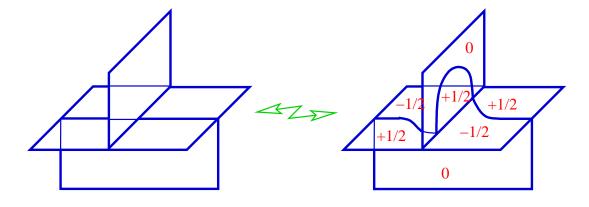


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A generic 2-polyhedron with boundary has interior points with neighborhoods homeomorphic to \mathbb{R}^2 , or _____, or and boundary points with no neighborhoods of these sorts, but with neighborhoods homeomorphic to _____.

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A generic 2-polyhedron with boundary has interior points with neighborhoods homeomorphic to \mathbb{R}^2 , or _____, or ____, and boundary points with no neighborhoods of these sorts, but with neighborhoods homeomorphic to _____.

The boundary of a generic 2-polyhedron is a generic 1-polyhedron.

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A generic 2-polyhedron X whose boundary ∂X is a disjoint union of 3-valent graphs Γ_0 and Γ_1 is a cobordism between Γ_0 and Γ_1 .

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A generic 2-polyhedron with boundary has interior points with neighborhoods homeomorphic to \mathbb{R}^2 , or _____, or and boundary points with no neighborhoods of these sorts, but with neighborhoods homeomorphic to _____ or ____.

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Generic shadowed 2-polyhedra with boundary are called equivalent, if they can be transformed to each other by the moves.

Recall: moves do not affect the boundary.

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Generic shadowed 2-polyhedra with boundary are called equivalent, if they can be transformed to each other by the moves.

Recall: moves do not affect the boundary.

Any two trivalent graphs are cobordant, but there are many non-equivalent generic shadowed 3-polyhedra.

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A relative generic 2-skeleton of a compact 3-manifold W is a generic 2-polyhedron X with boundary such that:

- (1) $\partial X = X \cap \partial W$ is a generic 1-skeleton of ∂W and
- (2) $W \setminus \text{finite set can collapse to } X$.

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A relative generic 2-skeleton of an oriented smooth compact 4-manifold W is a generic 2-polyhedron X with boundary such that:

- (1) $\partial X = X \cap \partial W$ is a generic 1-skeleton of ∂W and
- (2) the union of all handles of W with indices ≤ 2 can collapse to X.

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For 2-strata of X adjacent to ∂X , self-intersections are not defined.

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For 2-strata of X adjacent to ∂X , self-intersections are not defined.

Choose a framing of ∂X in ∂W .

Now all 2-strata of X have self-intersections.

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A relative generic 2-skeleton of a compact 3-manifold W is a generic 2-polyhedron X with boundary such that:

- (1) $\partial X = X \cap \partial W$ is a generic 1-skeleton of ∂W and
- (2) $W \setminus \text{finite set can collapse to } X$.

A relative generic 2-skeleton of an oriented smooth compact 4-manifold W is a generic 2-polyhedron X with boundary such that:

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Any compact 3-manifold W has a relative generic 2-skeleton.

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In both dimensions, any generic 1-skeleton of ∂W bounds a relative generic 2-skeleton of W .

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Any smooth oriented compact 4-manifold \overline{W}

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In both dimensions, any generic 1-skeleton of ∂W

bounds a relative generic 2-skeleton of $oldsymbol{W}$,

and any two relative 2-skeletons with the same boundary are equivalent.

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The main construction

Theory of Skeletons

Face state sums

- Colors and colorings
- Face state sums
- Background invariants of knotted graphs
- Construction of TQFT
- Old and new TQFT'es

Upgrading the colored Jones

Khovanov homology for surfaces in $S^3 \times S^1$

Face state sums

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Fix a finite set \mathcal{P} called a pallet and a field k.

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For a trivalent graph Γ , a map $\{\mbox{1-strata of }\Gamma\}\to \mathcal{P}$ is called a coloring of Γ .

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Denote by $C(\Gamma)$ a vector space over k generated by colorings of Γ .

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A state or coloring of a generic polyhedron X is a map $s: \{ \text{2-strata of } X \} \to \mathcal{P}.$

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A map $Z:\{\text{states of }X\}\to k$ defines a linear map $C(\partial X)\to k$ that maps a coloring c of ∂X to $Z_X(c)=\sum\limits_{\partial s=c}Z(s)$.

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If $\Gamma=\varnothing$, then there is only one coloring of Γ and $C(\Gamma)=k$. If $\partial X=\varnothing$, then $Z_X\in k$.

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Fix a finite set \mathcal{P} called a pallet and a field k.

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Denote by $C(\Gamma)$ a vector space over k generated by colorings of Γ .

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If $\Gamma=\varnothing$, then there is only one coloring of Γ and $C(\Gamma)=k$. If $\partial X=\varnothing$, then $Z_X\in k$.

If X is a cobordism between Γ_0 and Γ_1 , then $Z_X(c_0,c_1)$ is a matrix defining a map $Z_X:C(\Gamma_0)\to C(\Gamma_1)$.

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For what Z, Z_X is reasonable to manifolds:

- (1) depends only on the equivalence class of X, that is only on the manifold whose skeleton is X and
- (2) defines a TQFT (i.e, a functor Cobordisms $\rightarrow Vect(k)$)?

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Fix $w_0:\mathcal{P}^6\to\mathbb{C}$, $w_1:\mathcal{P}^3\to\mathbb{C}$, $w_2:\mathcal{P}\to\mathbb{C}$, $t:\mathcal{P}\to\mathbb{C}$, $w_3\in\mathbb{C}$.

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- w_1 is symmetric (symmetric group S_3);
- w_0 has the symmetry of tetrahedron (S_4 acting on the set of 6 edges).

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For a state
$$s$$
, let $Z(s) =$

$$w_3^{-\chi(X)+\frac{1}{2}\chi(\partial X)}\prod_{f\in\{\text{2-strata}\}}w_2(s(f))^{\chi(f)+\frac{1}{2}\chi(\bar{f}\cap\partial X\smallsetminus\{\text{vertices}\})}\ t(s(f))^{2f\circ f}$$

$$\times\prod_{e\in\{\text{1-strata of } \operatorname{Int } X\}}w_1(s(f)|f\in St(e))^{\chi(e)+\frac{1}{2}\chi(e\cap\partial X)}$$

$$\times\prod_{v\in\{\text{vertices of } \operatorname{Int } X\}}w_0(s(f)|f\in St(v)).$$

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Let
$$Z_X(c) = \sum_{s \text{ such that } \partial s = c} Z(s)$$
.

What w_i and t to choose?

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The usual source of the structural constants w_i and t is a modular category.

Table of Contents p. 82 – 16 / 28

The usual source of the structural constants w_i and t is a modular category.

Not all the axioms of modular category are needed.

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We may start with isotopy invariants of embedded in \mathbb{R}^3 framed trivalent graphs with 1-strata colored with colors from a finite pallet \mathcal{P} .

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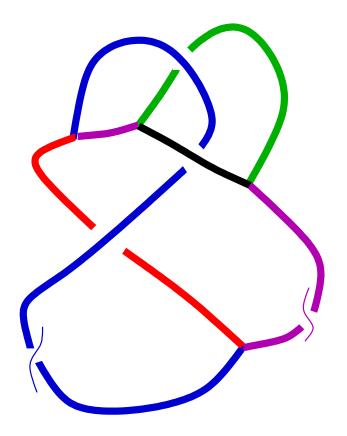


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Assume that the invariant satisfies two axioms:

$$\left\langle \begin{array}{c} \begin{pmatrix} i \\ \Gamma \end{pmatrix} \right\rangle = \delta_j^k C(\Gamma, j) \begin{pmatrix} j \\ j \end{pmatrix}$$

$$\left\langle \begin{array}{c} i \\ \Gamma \end{array} \right\rangle = \sum_{m \in \mathcal{P}} C(\Gamma, i, j, k, l, m) \begin{pmatrix} i \\ m \end{pmatrix} .$$

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We may start with isotopy invariants of embedded in \mathbb{R}^3 framed trivalent graphs with 1-strata colored with colors from a finite pallet \mathcal{P} .

Assume that the invariant satisfies two axioms:

$$\left\langle \bigcap_{j}^{k} \right\rangle = \delta_{j}^{k} C(\Gamma, j) \left\langle \left| \right|_{j}^{j} \right\rangle$$

$$\binom{i}{k} \Gamma \binom{j}{l} = \sum_{m \in \mathcal{P}} C(\Gamma, i, j, k, l, m) \binom{i}{m} \binom{j}{m}.$$

Theorem. If
$$w_2(j) = \left\langle \bigcirc_j \right\rangle$$
, $t(j) = \left\langle \bigcirc_j \right\rangle$, $w_1(j, m, l) = \left\langle \bigcirc_j \right\rangle$,

$$w_0 \begin{pmatrix} i & j & k \\ l & m & n \end{pmatrix} = \begin{pmatrix} n & i \\ j & k \end{pmatrix}$$
, $w_3 = \sum_j w_2^2(j)$, then Z_X is

invariant under moves and defines a TQFT.

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Correction: the state sums define a functor

(trivalent graphs and their cobordisms) $\rightarrow \operatorname{Vect} k$.

but only a **semifunctor** (manifolds, their cobordisms) $\rightarrow \operatorname{Vect} k$.

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The identity cobordism of a trivalent graph Γ is $\Gamma \times I$, but if Γ is a 1-skeleton of M, then $\Gamma \times I$ is not a 2-skeleton of $M \times I$.

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Still, the composition of cobordisms has a 2-skeleton
                   that is the compositions of 2-skeletons of the cobordisms.
In order to turn a functor
                 (trivalent graphs and their cobordisms) \rightarrow \operatorname{Vect} k
to a functor
                 (manifolds and their cobordisms) \rightarrow \operatorname{Vect} k,
factorize C(1-skeleton of a manifoldM) by \operatorname{Ker} Z_{2\text{-skeleton of }M\times I}.
Denote C(1-skeleton of a manifoldM)/\operatorname{Ker} Z_{2\text{-skeleton of }M\times I} by Z(M)
and Z_{	ext{2-skeleton of a cobordism }W} by Z_{W} .
                                                       This is a TQFT!
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For 2-skeletons of 3-manifolds and the background invariants obtained from the Kauffman bracket extended by cabling and the Jones-Wenzl projectors and evaluated at a root q of unity, this is the Turaev-Viro TQFT introduced in 1992.

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The same background invariants give a new (3+1)-TQFT.

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Then for any cobordism W the map Z_W is multiplication by an exponent of the signature of W .

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Because then Z_W is invariant under cobordism (Turaev, 1991).

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It follows from the axiom requiring invertibility of S-matrix.

There many invariants of framed colored trivalent graphs for which the S-matrix is not invertible.

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The main construction

Theory of Skeletons

Face state sums

Upgrading the colored Jones

- State sum model for colored Jones
- Building a special2-skeleton
- Partial state sums
- Modules of a link

Khovanov homology for surfaces in $S^3 \times S^1$

Upgrading the colored Jones

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State sum model for colored Jones

Take for the background invariants the Kauffman bracket extended by cabling and the Jones-Wenzl projectors and evaluated at a root q of unity.

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State sum model for colored Jones

Take for the background invariants the Kauffman bracket extended by cabling and the Jones-Wenzl projectors and evaluated at a root q of unity.

Then the value at q of the colored Jones polynomial of a link L can be obtained as the state sum of a generic 2-skeleton S of $X = D^4 \cup \bigcup_i H_i$, where H_i are 2-handles attached along the components of L.

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State sum model for colored Jones

Take for the background invariants the Kauffman bracket extended by cabling and the Jones-Wenzl projectors and evaluated at a root q of unity.

Then the value at q of the colored Jones polynomial of a link L can be obtained as the state sum of a generic 2-skeleton S of $X = D^4 \cup \bigcup_i H_i$, where H_i are 2-handles attached along the components of L.

The only restriction: $H_i \cap S$ is a disk for each i and in the state sum the colors of these disks coincide with the colors of the corresponding components of L.

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Let $L=\bigcup_i L_i\subset S^3$ be an oriented classical link framed by its Seifert surface, H_i be a 2-handle attached along L_i and $X=D^4\cup\bigcup_i H_i$.

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Build a generic 2-skeleton S of X:

(1) Take the boundary T of a tubular neighborhood of L;

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The result is a 2-skeleton of $S^3 \times I$ and of D^4 .

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The result is a 2-skeleton of $S^3 \times I$ and of D^4 .

(4) Adjoin to R a disk l_i along longitude of each L_i . Let $U = R \cup \bigcup_i l_i$.

Let $L=\bigcup_i L_i\subset S^3$ be an oriented classical link framed by its Seifert surface, H_i be a 2-handle attached along L_i and $X=D^4\cup\bigcup_i H_i$.

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(3) Adjoin to R disks m_i along meridians of L_i .

The result is a 2-skeleton of $S^3 \times I$ and of D^4 .

(4) Adjoin to R a disk l_i along longitude of each L_i . Let $U = R \cup \bigcup_i l_i$.

This completes building of $S = U \cup \bigcup_i m_i$, a 2-skeleton for X.

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Let $L=\bigcup_i L_i\subset S^3$ be an oriented classical link framed by its Seifert surface, H_i be a 2-handle attached along L_i and $X=D^4\cup\bigcup_i H_i$.

Build a generic 2-skeleton S of X:

- (1) Take the boundary T of a tubular neighborhood of L;
- (2) Extend T to a 2-skeleton R of $S^3 \setminus L$;

R is also a 2-skeleton of $(S^3 \setminus L) \times I$.

(3) Adjoin to R disks m_i along meridians of L_i .

The result is a 2-skeleton of $S^3 \times I$ and of D^4 .

(4) Adjoin to R a disk l_i along longitude of each L_i . Let $U = R \cup \bigcup_i l_i$.

This completes building of $S = U \cup \bigcup_i m_i$, a 2-skeleton for X.

Choose a Seifert surface $F \subset S^3$ for L transversal to R and ∂m_i and disjoint from ∂l_i .

The infinite cyclic covering of $S^3 \setminus L$ does not extend to disks m_i .

There is no non-trivial coverings of S, since $\pi_1(S) = 0$.

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There is no non-trivial coverings of S, since $\pi_1(S) = 0$.

Therefore one cannot apply the Seifert-Turaev construction to S.

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Instead, we split the state sum that provides the value at q of the colored Jones into partial state sums based on $U \subset S$, and apply the Seifert-Turaev construction to each of them and to the infinite cyclic covering $\widetilde{U} \to U$ defined by $F \cap U = F \cap R$.

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Each of the partial sums is formed by the summands of the whole sum with fixed colors on all m_i .

In a partial sum, take the common factor $\prod_i w_2(\operatorname{color} \operatorname{of} m_i)$ outside the brackets. Inside the brackets we see a new state sum, a sum over colorings of the 2-strata of S that are contained in U.

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The summands are products of contributions from these strata.

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The summands are products of contributions from these strata.

Disks m_i are not in U, but ∂m_i contribute to the stratification by subdividing 2-strata of R and affecting gleams of the resulting pieces.

The arcs on ∂m_i contribute via w_1 ,

the vertices (i.e., intersections of ∂m_i with 1-strata of R) via w_0 .

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Modules of a link

Application of the Seifert-Turaev construction to the partial sums gives, for each root q of unity and a coloring of components of a link L with pairs of colors from $\mathcal P$, a finite-dimensional vector space over $\mathbb C$ with an invertible operator.

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A linear combination of traces of these operators is the value at q of the colored Jones of L.

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Application of the Seifert-Turaev construction to the partial sums gives, for each root q of unity and a coloring of components of a link L with pairs of colors from \mathcal{P} , a finite-dimensional vector space over \mathbb{C} with an invertible operator.

A linear combination of traces of these operators is the value at q of the colored Jones of L.

The coefficients are products of values at q of Tchebyshev polynomials.

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Khovanov homology for surfaces in $S^3 \times S^1$

- Surfaces in $S^3 \times S^1$
- Problems
- Invariance

Khovanov homology for surfaces in $S^3 \times S^1$

Let $\Lambda \subset S^3 \times S^1$ be a smooth 2-submanifold.

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Let $\Lambda \subset S^3 \times S^1$ be a smooth 2-submanifold.

This can be obtained from a link $\bar{\Lambda} \subset S^4$ by a surgery along an unknotted component of $\bar{\Lambda}$ homeomorphic to S^2 .

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Let $\Lambda \subset S^3 \times S^1$ be a smooth 2-submanifold.

Let the intersection $L = S^3 \times \{1\} \cap \Lambda$ be transversal, and $\widetilde{\Lambda} \subset S^3 \times \mathbb{R}$ be the preimage of Λ under $S^3 \times \mathbb{R} \to S^3 \times S^1 : (x,y) \mapsto (x,e^{2\pi iy})$.

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Let
$$L_n = \widetilde{\Lambda} \cap (S^3 \times \{n\}) \subset S^3 \times \mathbb{R}$$
, and $W_n = \widetilde{\Lambda} \cap (S^3 \times [n, n+1])$.

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Now apply Seifert-Turaev construction to Khovanov homology: denote by $Z_{i,j}(\Lambda)$ the image of $Kh_{i,j}(L_0)$ under the homomorphism induced by cobordism $\cup_{n=0}^k W_n$ for sufficiently large k.

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If the restriction to Λ of the projection $S^3 \times S^1 \to S^1$ is a locally trivial fibration, then $Z_{i,j}(\Lambda) = Kh_{i,j}(L)$.

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with an additional structure: the action of \mathbb{Z} (the monodromy).

Luoying Weng calculated $Z_{i,j}(\Lambda)$ for many such surfaces.

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Calculate the TQFT modules of knots and links in a traditional form: higher colored Jones polynomials aka higher Alexander polynomials.

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A sharp question:

can the new TQFT modules be reduced to the colored Jones?

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If not, how are they related to the Khovanov homology?

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What kind of knotting phenomena for surfaces in $S^3 \times S^1$ are detected by Khovanov homology?

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If not, how are they related to the Khovanov homology?

What kind of knotting phenomena for surfaces in $S^3 \times S^1$ are detected by Khovanov homology?

Can it detect linking/knotting of a surface consisting of a sphere and sphere with 2 handles?

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Theorem. $Z_{i,j}(\Lambda)$ is invariant under isotopy of Λ in $S^3 \times S^1$.

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Why does it require a separate proof?

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Theorem. $Z_{i,j}(\Lambda)$ is invariant under isotopy of Λ in $S^3 \times S^1$.

Why does it require a separate proof?

Because cobordisms needed for Khovanov homology

are surfaces in $S^3 \times I$,

while in the proof we meet

a cobordism between a link in $S^3 \times \{pt\}$ and a skew copy of it.

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Theorem. $Z_{i,j}(\Lambda)$ is invariant under isotopy of Λ in $S^3 \times S^1$.

Proof. Let Λ_t , $t \in I$ be an isotopy of Λ .

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Theorem. $Z_{i,j}(\Lambda)$ is invariant under isotopy of Λ in $S^3 \times S^1$.

Proof. Let Λ_t , $t \in I$ be an isotopy of Λ .

Extend it to an isotopy $h_t: S^3 \times S^1 \to S^3 \times S^1$ with $h_0 = \mathrm{id}$, $h_t(\Lambda) = \Lambda_t \,.$

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Let $\widetilde{\Lambda}_t \subset S^3 \times \mathbb{R}$ be the preimage of Λ_t under

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, and $W_{t,n} = \widetilde{\Lambda}_t \cap (S^3 \times [n, n+1])$.

Pull this new stuff back by $\widetilde{h}_t:S^3 imes\mathbb{R} o S^3 imes\mathbb{R}$:

$$\widetilde{h}_t^{-1}(L_{t,n}) = L_n \subset \widetilde{h}_t^{-1}(S^3 \times \{n\}),$$

$$\widetilde{h}_t^{-1}(W_{t,n}) = \widetilde{\Lambda} \cap \widetilde{h}_t^{-1}(S^3 \times [n, n+1])$$

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