S. H. Hong Nagoya Math. J. Vol. 96 (1984), 71-82

ON A GENERALIZATION OF THE ABSTRACT MORSE COMPLEX AND ITS APPLICATIONS

SUK HO HONG

Introduction

Klingenberg refers in [4] the fact that the homology group of the space Λ of closed H^1 curves on a manifold is isomorphic to that of the Morse complex. In this paper, we generalize the fact above and at the same time give a proof to it through cell decomposition method under a strong non degeneracy condition.

We first introduce so-called generalized Morse complex on a space X with an action of Lie group G and an invariant energy function E on X. The case of the space Λ of closed curves is obviously obtained through $G = S^1$.

Next we apply the Morse complex argument to the space Λ , where the isotropy group is closely related to the multiplicity. And we find the cycle Z(c) constructed by Shikata-Klingenberg [1] is at most finite order in the homology of the Morse complex. Thus from a close investigation of the order of the cycle Z(c) on $H_*(X)$, we deduce a relation between the torsion and the divisibility of multiplicities of a certain geodesic.

We would like to thank Professor Y. Shikata for many valuable discussions who gives me many helpful insight into the field of Morse complex.

§1. On G-action which generalizes S^1 -action on Λ

1-1. Let X be a C^{r+1} -manifold $(r \ge 0)$ with a G-action of a compact Lie group such that the isotropy group I(p) at $p \in X$ is discrete for any $p \in X$. Suppose X admits an invariant Morse function E, i.e.,

$$E: X \longrightarrow R$$

is c^r -function such that E(gp) = E(p) for any $g \in G$ and let φ be the gradient flow of E, then φ is G-equivariant:

Received August 19, 1983.

$$\varphi(gp) = g\varphi(p)$$

for any $g \in G$ and $p \in X$.

For a critical point c of E, we set

$$S(c) = \{ p \in X: \varphi_s(p) \longrightarrow c \text{ as } s \longrightarrow \infty \}$$
$$U(c) = \{ p \in X: \varphi_s(p) \longrightarrow c \text{ as } s \longrightarrow -\infty \}$$

then S(c) and U(c) are called the stable and unstable manifolds respectively.

THEOREM 1. If c is non-degenerated, Codim $G \cdot S(c) = \text{index } c$.

Proof. Denote by $T_p(M)$ the tangent space of a submanifold M at p, then from the non degeneracy assumption above we have a natural spliting

$$T_p(U(c)) \oplus T_p(G \cdot S(c)) = T_p(X)$$

since

 $\dim U(c) = \operatorname{index} c ,$

we have

$$\operatorname{codim} G \cdot S(c) = \operatorname{index} c$$
.

We choose from each G-orbit $G \cdot c$ of a critical point c, a representative c and call them a pure critical point representing c and denote the set of pure critical point by Γ .

We introduce a polar coordinate system $(u, t)_c$ for $u \in S(T_c(U(c)))$ and $t \in (0, \infty)$ where $S(T_c(U(c))), = \{u \in T_c(U(c)), ||u|| = 1\}$ in the unstable manifold U(c) of a critical point c by mapping $(u, t)_c$ onto $\varphi_t(u)$. We deduce the following property for the polar coordinate easily:

LEMMA 2. $g(u, t)_c = (gu, t)_{gc}$ where we used the notation gu also for the G-action on the tangent space.

It is obvious that if any two flows $\varphi_t(u)$, $\varphi_t(u')$ $(u \in T_c(U(c)))$, $u' \in T_{c'}(U(c)))$ have an intersection for finite t, t', then they are agree entirely, therefore we may refer this fact as follows:

LEMMA 3. If $(u, t)_c = (u', t')_{c'}$ for $c' \in G \cdot c$, then

$$u = u', t = t'$$
 and $c = c'$.

We refer the following property (P) at the strong non degeneracy of E:

(P): All the critical point c are non degenerate and for any critical points c, c', the stable and unstable manifolds have a generic intersection.

1-2. We compute $H_*(X)$ through a cell decomposition of X. We first decompose $G \cdot U(c)$ into cells: Consider the covering space

 $\pi: G \longrightarrow G/I(c)$

with the right hand I(c)-action and decompose the base manifold G/I(c)into cells $\{\overline{A}\}$ such that the covering π is trivial over each simplex $\overline{A} \in \{\overline{A}\}$. Then $A(\overline{A}) = \pi^{-1}(\overline{A})$ splits into a disjoint union $\{A_i(\overline{A})\}$ of homeomorphic cells in G on which I(c) acts effectively and transitively from the right. We choose and fix a representative $A_c(\overline{A})$ from the inverse image $\{A_i(\overline{A})\}$ of each cell \overline{A} in $\{\overline{A}\}$.

LEMMA 4. If there exist points p, p', q, q' such that

 $p \in A_c(\overline{A}), \quad p' \in A_c(\overline{A}'), \quad q, q' \in U(c)$

and

pq = p'q' for cells $\overline{A}, \overline{A}' \in \{\overline{A}\}$

then we have

$$ar{arDeta}=ar{arDeta}',\; p=p' \;\;\; and \;\;\; q=q'\,.$$

In fact, in the polar coordinate on U(c), we have

$$p(u, t)_c = p'(u', t')_c$$

therefore from Lemma 3, we see

pc = p'c

that is

$$p = p'x, \qquad x \in I(c).$$

Since π is I(c)-covering, we have x = id.

PROPOSITION 5. The cell $A_c(\overline{A})$ in G defines a cell $A_c(\overline{A}) \cdot U(c)$ in $G \cdot U(c)$ which is homeomorphic to $A_c(\overline{A}) \times U(c)$ in the interior.

Proof. If (p, q), $(p', q') \in A_c(\overline{A}) \times U(c)$ are mapped onto the same point through the multiplication, we have immediately from Lemma 4 that

$$p = p'$$
 and $q = q'$.

PROPOSITION 6. The cells $A_c(\bar{\Delta}) \cdot U(c)$, $A_c(\bar{\Delta}') \cdot U(c)$ have no interior intersection for $\bar{\Delta} \neq \bar{\Delta}'$.

Proof. It is also obvious from Lemma 4 that the existence of the interior intersection

$$pq = p'q' \quad ext{for} \quad p \in A_c(ar{\varDelta}), \; p' \in A_c(ar{\varDelta}') \, ,$$

 $q, q' \in U(c)$ implies $p = p', \ \overline{\varDelta} = \overline{\varDelta'}$.

Since U(c) = gU(c) for any $g \in I(c)$ as sets we finally see that

$$egin{aligned} G \cdot U(c) &= igcup_{\{ar{J}\}} igcup_i A_i(ar{J}) \cdot U(c) \ &= igcup_{\{ar{J}\}} igcup_{g \in I(c)} A_c(ar{J}) \cdot gU(c) \ &= igcup_{\{ar{J}\}} A_c(ar{J}) \cdot U(c) \end{aligned}$$

that is, the cells $A_c(\overline{A}) \cdot U(c)$ for $\overline{A} \in \{\overline{A}\}$ cover $G \cdot U(c)$.

THEOREM 7. The cells $A_c(\overline{A}) \cdot U(c)$ give a cell decomposition of $G \cdot U(c)$.

We see that a subdivision of the decomposition of $G \cdot U(c)$ induces a decomposition on $bd(G \cdot U(c))$ as follows: First, property (P) yields that $S(T_c(U(c)))$ is divided into cells by its intersection with the (weak) stable manifold $S(c_{-})$ of critical points c_{-} of lower indexes than c, in fact the intersection

$$S(T_c(U(c))) \cap S(c_{-})$$

is an open submanifold $S(T_c(U(c)))$ of dimension

$$index c - index c_{-} - 1$$

and the boundary of each one of the submanifold again splits into a union of submanifolds of this kind.

Thus taking product by small cell $\varDelta \subset G$ to these cells, we can divide $\varDelta \cdot S(T_c(U(c)))$ into cells. Therefore for a sufficiently fine decomposition $\{\bar{J}\}$ of G we see that the decomposition of $A_c(\bar{J}) \cdot S(T_c(U(c)))$ defines a natural decomposition of $A_c(\bar{J}) \cdot U(c)$ through the polar coordinate. Take a decomposition $\{\bar{J}\}$ of G so fine that the covering projection $\pi : G \to G/I(c_-)$ is trivial over \bar{J} for any pure critical point c_- such that $S(c_-) \cap S(T_c(U(c))) \Rightarrow \phi$, then we see that $\{\bar{J} \cdot bdU(c)\}$ decomposes $G \cdot bdU(c)$ into cells, because bdU(c) is ω -limit of $S(T_c(U(c)))$.

74

Let X(n) denote the union of (weak) unstable manifolds over pure critical points of index lower than n or equal to n.

$$egin{aligned} X(n) &= igcup_{c \in \Gamma(n)} G \cdot U(c) \ &\Gamma(n) &= \{c \in \Gamma \ , \qquad ext{index} \ c \leq n\} \ . \end{aligned}$$

Then it is easy to see that X(n) can be decomposed into cells in the method above and

$$X = \bigcup_n X(n), \qquad X(n) \subset X(n+1).$$

Since any k-submanifold in X is pushed down into X(k) by the flow.

THEOREM 8. The homology $H_k(X)$ may be computed as the homology $H_k(X(n))$ of X(n) (k < n) which is obtained as homology of a cell decomposition given by a subdivision of the cells $A_c(\overline{A}) \cdot U(c)$.

1-3. We construct an abstract chain complex \mathscr{M} which is equivalent to the chain group over the cell complex above and we call it a generalized Morse complex. We fix an orientation on each cell of $\{\overline{A} \cdot U(c)\}$ by choosing an orientation in U(c) and also one in $\overline{A} \in \{\overline{A}\}_c$ for each pure critical point $c \in \Gamma$. We then have an graded chain group C(X) of oriented cell $\{\overline{A} \cdot U(c)\}$ by defining

$$\deg \overline{\varDelta} \cdot U(c) = \dim \overline{\varDelta} \cdot U(c)$$
$$= \dim \overline{\varDelta} + \operatorname{index} c .$$

Let X^n be the union of cells in X(m) of dimension lower than or equal to $n \ (n \ge m)$ and take the boundary operator ∂ in the exact sequence for the triple (X^n, X^{n-1}, X^{n-2}) :

$$\partial \colon H_n(X^n, X^{n-1}) \longrightarrow H_{n-1}(X^{n-1}, X^{n-2})$$

then it is known that $C_n(X) = H_n(X^n, X^{n-1})$ and C(X) turns out to be a chain complex together with the boundary ∂ (see [2], [6]), whose homology is equal to that of X(m), thus we have

PROPOSITION 9. Under the non degeneracy condition, we have a chain complex C(X) over graded cells $\{\overline{A} \cdot U(c)\}$ so that

$$H_*(C(X)) = H_*(X) \; .$$

COROLLARY 10. Under the same non degeneracy condition above, we

see that the homology $H_*(C(X))$ of the cell complex is independent of the cell decomposition of X, especially that of G.

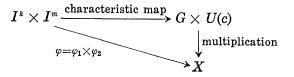
In order to describe the boundary operator ∂ , we start with a small cell $e = \tilde{\Delta} \cdot U(c)$ in $H_n(X^n, X^{n-1})$, which is represented as the image of a (relative) product homeomorphism $\varphi = \varphi_1 \times \varphi_2$ of

$$\varphi_1 \colon I^k \longrightarrow X$$

and

 $\varphi_2 \colon I^m \longrightarrow X$

such that $\pi: G \to G/I(c)$ is trivial over $\varphi_1(I) = \tilde{\Delta}$:



Since φ_* commutes with the boundary homeomorphism, we see that $\partial e = j_* \varphi_* \partial_* f$ for the fundamental class f in $H_n(I^* \times I^m)$, bd $(I^* \times I^m)$, as is seen from the following diagram:

The fundamental class f splits into a cross product $f_1 imes f_2$ of

$$egin{aligned} &f_1 \in H_k(I^k, \, \mathrm{bd} \, I^k) \ , \ &f_2 \in H_m(I^m, \, \mathrm{bd} \, I^m) \ &k = n-m = \dim ilde{\Delta} \ &m = \mathrm{index} \, c \end{aligned}$$

corresponding to $\tilde{\Delta}$ and to U(c), respectively, therefore from the naturality as the boundary formula of the cross product, we have that

$$egin{aligned} \partial e &= j_* arphi_* \partial f \ &= j_* arphi_* (\partial_* f_1 imes f_2 + (-1)^* f_1 imes \partial_* f_2) \end{aligned}$$

ABSTRACT MORSE COMPLEX

$$= (j_*\varphi_{1*}\partial_*f_1 \times j_*\varphi_{2*}f_2) + (-1)^k (j_*\varphi_{1*}f_1) \times (j_*\varphi_{2*}\partial_*f_2)$$

= $\partial e_1 \times e_2 + (-1)^k e_1 \times \partial e_2$

Here the classes

$$e_1 = j_* arphi_{1^*} f_1 \in H_k(X^k, X^{k-1}) \ e_2 = j_* arphi_{2^*} f_2 \in H_m(X^m, X^{m-1})$$

may be regarded as the classes representing $\tilde{\Delta}$ and U(c) respectively. Moreover we may replace the cross product above by the multiplication of G on X because every cell under consideration acts effectively on U(c), thus we see that

PROPOSITION 11. The boundary operator ∂ in the cell decomposition of Theorem 8 in Section 1 satisfies that

$$\partial (ilde{arDeta} \cdot U(c)) = (\partial ilde{arDeta}) \cdot U(c) + (-1)^k ilde{arDeta} \cdot \partial U(c) \ , \qquad where \ k = \dim ilde{arDeta} \ .$$

Finally we investigate $\tilde{\Delta}$, U(c) geometrically.

They may be considered as the homology classes represented as the classes of the boundaries

$$\partial \tilde{\varDelta} = \partial e_1 = j_*(\varphi_1)_* \partial_* e_1 \in H_{k-1}(X^{k-1}, X^{k-2})$$

 $\partial U(c) = \partial e_2 = j_*(\varphi_2)_* \partial_* U(c) \in H_{m-1}(X^{m-1}, X^{m-2})$.

Therefore $\partial U(c)$ can be regarded as the sum of (m-1) cells appearing on the boundary of U(c) with the suitable coefficient, which we can count as the intersection number of $S(T_c(U(c)))$ with the (weak) stable manifold $S(\tilde{\Delta}c_{-})$ of codimension m-1 for a cell $\tilde{\Delta} \in G$ of dimension index $c_{-} - (m-1)$.

LEMMA 12. Let $[\tilde{\varDelta}_{c_{-}}, c]$ be the intersection number of $S(T_{c}(U(c)))$ and the stable manifold $S(\tilde{\varDelta}_{c_{-}})$ of codimension m-1, then we have

$$\partial U(c) = \sum [\tilde{\varDelta}c_{-}, c] \tilde{\varDelta} U(c_{-})$$

We introduce an abstract chain complex \mathcal{M} over the set Γ of the pure critical points as the chain group generated over formal elements

$$\{\tilde{\varDelta}c/\tilde{\varDelta}: \text{ cell in } G, c \in \Gamma\}$$

with the degree given by

degree
$$\tilde{\Delta}c = \dim \tilde{\Delta} + \operatorname{index} c$$

and define the boundary operator ∂ as follows:

$$\partial c = \sum [\tilde{\varDelta}c_{-}, c]\tilde{\varDelta}c_{-} \ \partial \tilde{\varDelta}c = \partial \tilde{\varDelta}c + (-1)^{k}\tilde{\varDelta}\partial c \qquad ext{where } k = \dim \tilde{\varDelta} \; .$$

Since we see easily that the chain complex \mathcal{M} is chain homotopic to C(X), we deduce the following from Lemma 12, Propositions 9, 11.

Theorem 13. $H_*(\mathcal{M}) = H_*(X)$.

§2. Relations to torsion and divisibility

2-1. In case of the space Λ of closed curve, we have a natural S^{1} -action on Λ through the action on the parameter;

$$\theta \cdot \alpha(t) = \alpha(\theta + t)$$
 t, $\theta \in S^1$, $\alpha \in \Lambda$.

If we remove the point curves Λ_0 from Λ , we have the S^1 -action on $\Lambda - \Lambda_0$ such that the isotropy I(x) is discrete for any $x \in \Lambda - \Lambda_0$ thus we may apply our method to the case $X = \Lambda - \Lambda_0$, $G = S^1$.

In this case, we have a well known relation between the order of Iso(x) and the multiplicity m(x) of x defined as the maximal number m so that

$$x = \alpha \cdots \alpha = \alpha^m$$
 for some $\alpha \in \Lambda$.

LEMMA 14. ord I(x) = m(x).

We notice that when we consider the S¹-action on the Morse complex \mathcal{M} , then also have a notion of isotropy Iso(x) for a chain $x \in C$. In particular for a chain represented by a critical ponit c, we have Iso(c) other than I(c).

```
LEMMA 15. ord Iso (c) = \text{ord } I(c) or 2ord I(c)
= m(c) or 2m(c).
```

In fact, if the multiplication by $g \in I(c)$ on U(c) preserves the orientation in U(c), we have the first case, otherwise we take double in order to preserve the orientation and we have the second case.

On the other hand, Klingenberg constructed a energy function E on the space Λ which satisfies the condition (C). (cf. Klingenberg [4]). Therefore if we assume further the strong degeneracy on E, we may apply Theorem 13 to the space $\Lambda - S(\Lambda_0)$, where $S(\Lambda_0)$ denotes the stable manifold over Λ_0 and we reproduce the Klingenberg's anouncement [4] on the homology of $\Lambda - S(\Lambda_0)$ with S^1 -action. THEOREM 16. The homology $H_*(\Lambda - S(\Lambda_0))$ of $\Lambda - S(\Lambda_0)$ is obtained as the homology of the Morse complex associated with $\Lambda - S(\Lambda_0)$ and E, provided that E satisfies the strong non degeneracy condition.

It may be possible to weaken the strong non degeneracy condition to a weak non degeneracy, that is, only assuming the non degeneracy of each critical point, for this we return in near future.

Our purpose in the remaining is to investigate a relation between a torsion property of homology $H_*(X)$, (reduced to the Morse complex) and a behavior of the multiplicities which is related to the order of isotropy as an application of what we have discussed.

Our point is that we can deduce a type of divisibility even for the Finsler case provided the strong non degeneracy because our method is entirely topological and does not use the ϑ -action which comes from Riemannian structure.

2-2. We investigate a torsion property of a cycle Z(c) in \mathcal{M} constructed by Shikata-Klingenberg [1]. We quickly review here how Z(c) is constructed over a pure critical point $c \in \Gamma$. Let \overline{m} be the order of isotropy of c, then we have

 $1/\overline{m} \cdot c = c$,

hence

$$1/\overline{m}\cdot\partial c = \partial c$$
.

Thus we have an invariant chain ∂c in \mathscr{M} under the action of a subgroup $G(\overline{m})$ of S^1 generated by $1/\overline{m}$ and therefore we can split ∂c into a sum of invariant chains x_i which is invariant under the action of a subgroup $H_i \supset G(\overline{m})$:

$$\partial c = \sum_{1}^{n} x_{i}$$

Then the fact that

$$h_i x_i = x_i$$
 for $h_i \in H_i$

implies that

$$\partial((1-h_{\scriptscriptstyle 1})\cdots(1-h_{\scriptscriptstyle n})c)=0$$
 ,

yielding a cycle

$$Z(c) = (1 - h_1) \cdots (1 - h_n)c$$
 .

In order to investigate a further property of the cycle Z(c), we consider the case n = 1, $H_1 \supseteq G(\overline{m})$.

LEMMA 17. Let $h = 1/\text{ord } H_1$ then

$$Z(c) = (1-h)c$$

is at most a torsion element of $ord(H_1)$.

In fact, take

$$\varDelta = [0, h]$$

and let

 $y = \Delta c$

then we have

$$egin{aligned} \partial y &= \partial \varDelta \cdot c - \varDelta \partial c \ &= (1-h)c - \varDelta x_1 \ &= Z(c) - \varDelta \cdot x_1 \ . \end{aligned}$$

Since x_1 is H_1 -invariant, it is expressed as a sum over H_1 :

$$x_1 = \sum_{k \in H_1} k u$$
, $u \in \mathcal{M}$.

Therefore

$$\Delta x_1 = \sum_{k \in H_1} k \cdot \Delta u = (\sum_{k \in H_1} k \Delta) \cdot u$$

may be expressed as $\Delta x_1 = S^1 \cdot u$.

Thus we have

$$\partial y = Z(c) - S^{1} \cdot u \; .$$

On the other hand, consider $v = S^1 \cdot c$ then we see that

$$egin{aligned} \partial v &= \partial S^1 \cdot c - S^1 \cdot \partial c \ &= -S^1(\sum\limits_{k \in H_1} k \cdot u) \ &= -\sum\limits_{k \in H_1} k(S^1 \cdot u) \ &= -(\sum\limits_{k \in H_1} k) \cdot S^1 \cdot u \ &= -(\operatorname{ord} H_1)S^1 \cdot u \;. \end{aligned}$$

Hence we have that

$$(\text{ord } H_1)\partial y = (\text{ord } H_1)Z(c) + \partial v$$

80

indicating that Z(c) is at most of $\operatorname{ord}(H_1)$ torsion in $H_*(\mathcal{M})$.

Next we take the case n = 2,

$$H_1 \supseteq G(\overline{m}) , \qquad H_2 \supseteq G(\overline{m})$$

and

$$H_1 \cap H_2 \neq H_1, H_2$$
.

LEMMA 18. Let

 $h_{\scriptscriptstyle 1} = 1 / \mathrm{ord} \ H_{\scriptscriptstyle 1}$, $h_{\scriptscriptstyle 2} = 1 / \mathrm{ord} \ H_{\scriptscriptstyle 2}$

and Z(c) is of the form

$$Z(c) = (1 - h_1)(1 - h_2)c$$

then it is zero in $H_*(\mathcal{M})$.

In fact, take $\Delta = [0, h]$ and let

$$y = \varDelta (1 - h_2)c$$

then we see that

$$egin{aligned} \partial y &= Z(c) - \varDelta (1-h_2) \partial c \ &= Z(c) - \varDelta (1-h_2) (x_1+x_2) \ &= Z(c) - \varDelta (1-h_2) x_1 \ &= Z(c) - (1-h_2) S^1 \cdot u \end{aligned}$$

by the same u and by the same reasoning as in the case 1. Thus we see that

$$\partial y = Z(c)$$
.

In general, from a similar computation, we see easily that for $n \ge 2$, the homology class Z(c) is zero, also we may remark that for the case n = 1 the homology classes (1 - h)Z(c) is zero.

In [1] Shikata-Klingenberg deduced a modified divisibility lemma using a chain bounding the cycle $Z(c) + \vartheta Z(c)$, for the involution ϑ in Λ keeping E invariant. Thus their theory is related to the Riemannian structure of the underlying manifold at this point. But we can cut this point off from the Riemannian structure by taking Z(c) or (1 - h)Z(c).

PROPOSITION 19. We may apply Shikata-Klingenberg theory to the cycle Z(c) or (1 - h)Z(c) to have the divisibility lemma in the modified form

even in case we do not have the involution ϑ , like in non symmetric Finsler space.

Remark 1. Shikata-Klingenberg theory uses $\pi_1(\Lambda) = 0$ on the way, therefore Katok's Finsler example on S^2 has nothing to do with the proposition above.

Remark 2. Shikata-Klingenberg's modified divisibility lemma is roughly as follows: Under a certain non degeneracy assumption as $\pi_1(\Lambda)$ = 0, there exists a series $\{c_i\}$ of critical points in Λ , so that

 $m(c_i) | 2m(c_{i+1})$ or $m(c_{i+1}) | 2m(c_i)$

where the m(c) is the multiplicity of the curve c in Λ and is related to the order of isotropy I(c).

References

- [1] W. Klingenberg and Y. Shikata, On a proof of the divisibility lemma, Closed geodesics in Tokyo University Symposium 1982.
- [2] —, On the existence theorems of infinitely many closed geodesics, Proc. Int. Conference on Topology, Moscow 1979.
- [3] W. Klingenberg, Riemannian geometry, Walter de Gruyter 1982.
- [4] -----, Lectures on closed geodesics, Springer Verlag 1978.
- [5] Glen E. Bredon, Equivariant Cohomology Theories, Springer Verlag 1967.
- [6] E. Spanier, Algebraic topology, McGraw Hill 1966.
- [7] J. Milnor, Lectures on the h-cobordism theorem, Princeton University Press 1965.
- [8] —, Morse theory, Princeton University Press 1963.
- [9] R. Thom, Quelques propriétés globales des variétés differentiables Comment. Math. Helv., 28 1954.

Department of Mathematics Nagoya University Nagoya 464 Japan

Current address: Department of Mathematics Kon-kuk University Seoul, Korea

82