

Extended Alexander Matrices of 3-Manifolds II

—Applications—

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§1. Statement of results.

In this paper we study 3-manifolds obtained from S^3 by Dehn surgery along knots. Let p be a positive integer and q be an integer relatively prime to p .

DEFINITION. For a knot $k \subset S^3$, let $L(p, q; k)$ be a 3-manifolds obtained from S^3 by Dehn surgery along k with coefficient p/q .

Note that when k is an unknot $L(p, q; k)$ means just a lens space $L(p, q)$. Clearly $L(p, q; k)$ is a homology lens space and $H_1(L(p, q; k)) = \mathbb{Z}_p$ is generated by an element corresponding to a meridian of the tubular neighbourhood $N(k)$ of k . We denote this element by t . Then an element of a group ring $\mathbb{Z}H_1(L(p, q; k)) = \mathbb{Z}[\mathbb{Z}_p]$ can be represented by a polynomial of t with integer coefficients where $t^p = 1$. We give a necessary condition for $L(p, q; k)$ to be a lens space.

THEOREM 1. *Let k be a knot with the Alexander polynomial Δ_k . Suppose that $L(p, q; k)$ is homeomorphic to $L(p, q')$. Let r, r' be integers such that $rq \equiv 1(p)$ and $r'q' \equiv 1(p)$. Then there are $u \in \mathbb{Z}[\mathbb{Z}_p]$ and $l, s \in \mathbb{Z}$ such that $(p, s) = 1$ which satisfy the equation*

$$(1 + t + \cdots + t^{r-1})\Delta_k(t) \equiv \pm t^l u \bar{u} (1 + t^s + \cdots + t^{s(r'-1)}) \pmod{1 + t + \cdots + t^{p-1}}$$

in $\mathbb{Z}[\mathbb{Z}_p]$.

As a corollary we can prove:

THEOREM 2. *Let k be a knot with trivial Alexander polynomial. Then $L(p, q; k)$ and $L(p, q')$ can be homeomorphic only if $q \equiv \pm q'(p)$ or $qq' \equiv \pm 1(p)$.*

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In case that k is unknotted, Theorem above yields well known classification of lens spaces which has been proved by Reidemeister [5], Franz [4] and Brody [1].

§2. Extended Alexander matrices.

In [3] the author and Kanno defined extended Alexander matrices of Heegaard splittings of 3-manifolds and studied their fundamental properties (Theorem 1 and Theorem 2 in [3]). We need the following result to prove Theorem 1:

THEOREM 3. *Suppose that there is a homeomorphism $f: M \rightarrow N$. Let $\begin{pmatrix} A \\ B \end{pmatrix}$ and $\begin{pmatrix} A' \\ B' \end{pmatrix}$ be EA-matrices of H-splittings of M and N . Then there are $m, n \in \mathbb{N}$ such that $\begin{pmatrix} A \oplus E_m \\ B \oplus 0_m \end{pmatrix}^{f*} \sim \begin{pmatrix} A' \oplus E_n \\ B' \oplus 0_n \end{pmatrix}$.*

§3. An EA-matrix of $L(p, q; k)$.

The precise definition of $t \in H_1(L(p, q; k))$ is as follows. Let $\mu \in H_1(S^3 - N(k))$ be a homology class represented by a meridian of $\partial N(k)$ where $N(k)$ denotes a tubular neighbourhood of k . Then t is a image of μ under the homomorphism $H_1(S^3 - N(k)) \rightarrow H_1(L(p, q; k)) = \mathbb{Z}_p$. Then we have:

LEMMA 1. *There is an EA-matrix of $L(p, q; k)$ which has the form*

$$\begin{pmatrix} A \\ B \end{pmatrix} = \begin{pmatrix} 1+t+\dots+t^{p-1} & 0 \\ 0 & C \\ 1+t+\dots+t^{q-1} & 0 \\ * & D \end{pmatrix}$$

where $rq \equiv 1(p)$, C and D are square matrices and C is an Alexander matrix of the knot k .

PROOF. We suppose that a given knot k is in regular position in

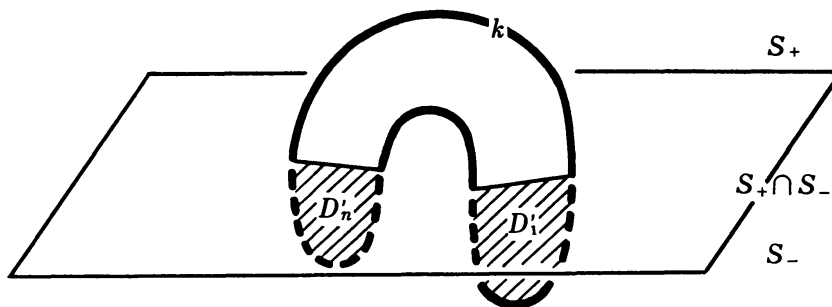


FIGURE 1

$S^3 = \mathbf{R}^3 \cup \infty$. Let $S_+ = \mathbf{R}_+^3 \cup \infty$ and $S_- = \mathbf{R}_-^3 \cup \infty$ be upper and lower hemispheres such that overpasses and underpasses lie in S_+ and S_- respectively. Let D'_1, \dots, D'_n be 2-disks obtained as traces of underpasses projected by a projection map $S_- \rightarrow S_+ \cap S_-$ and let $D_i = D'_i \cap (S^3 - \dot{N}(k))$. Let $N(D_i)$ denote a tubular neighbourhood of D_i in $S_- \cap (S^3 - \dot{N}(k))$.

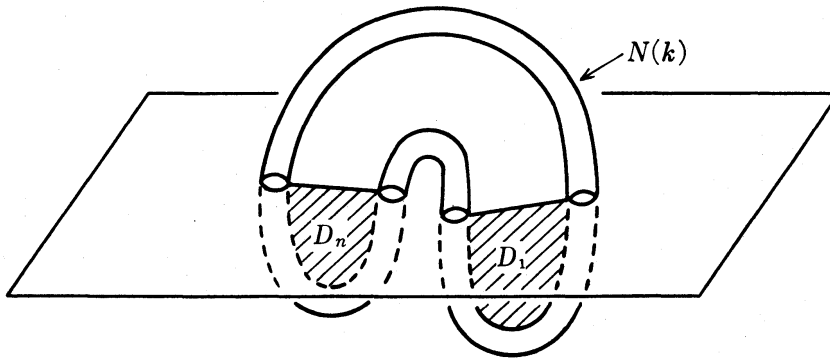


FIGURE 2

Set $T = (S_+ \cap (S^3 - \dot{N}(k))) \cup (\cup_{i=1}^n N(D_i))$. Then T is a handle body of genus n and $\pi_1(T)$ is a free group generated by x_1, \dots, x_n which corresponds to the overpasses.

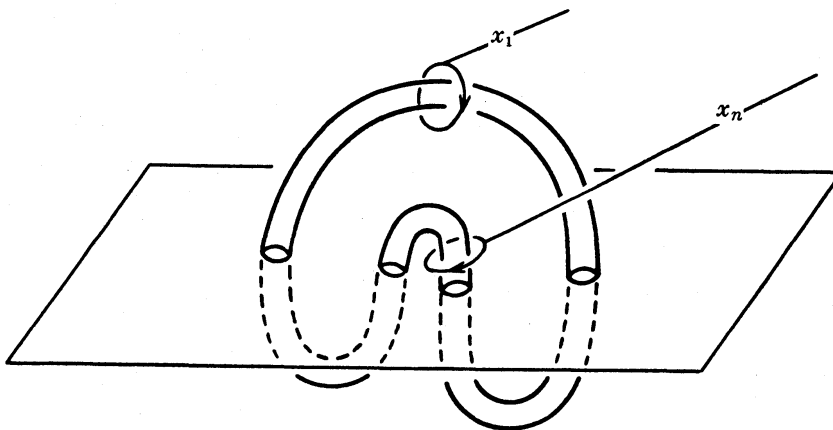


FIGURE 3

Let $T' = L(p, q; k) - \dot{T}$ then T' is also a handle body of genus n .

Next we investigate meridian disks of T' . Consider 2-disks WD_i ($i=2, \dots, n$) wrapping D'_i as in Figure 4 which correspond to relators of Wirtinger presentation of the knot group. We can suppose that $\partial WD_i \subset (S_+ \cap S_-)$.

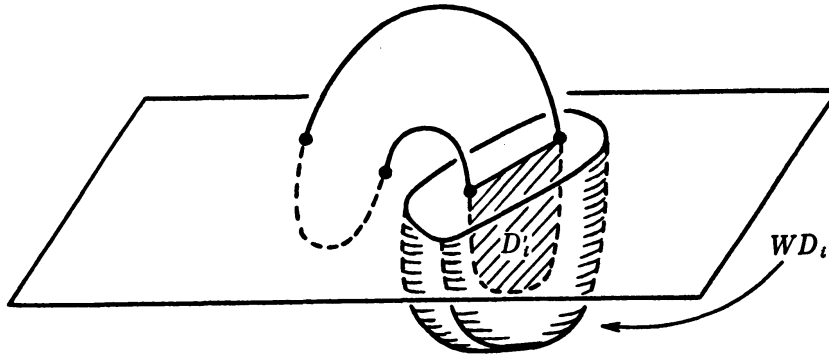


FIGURE 4

Let m and l be a meridian and a preferred longitude of $\partial N(k)$. We can assume that m and l lie on $\partial T \cap \partial N(k)$ and m is mapped to x_1 by the homomorphism $\pi_1(\partial T) \rightarrow \pi_1(T)$. Then we can choose simple loops a_1, b_1 on $\partial T \cap \partial N(k)$ such that, as homotopy classes, $a_1 = m^p l^q x$ and $b_1 = m^r l^s y$ where x and y belong to the commutator subgroup generated by l and m and $r, s \in \mathbb{N}$ satisfy $ps - qr = -1$ (see Figure 5).

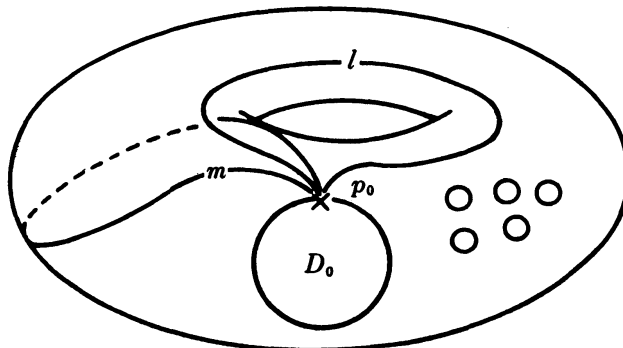


FIGURE 5

By the definition of p/q Dehn surgery, we can assume that $S^1 \times D^2$ is attached to $S^3 - \dot{N}(k)$ such that a meridian $\{*\} \times \partial D^2$ ($*$ $\in S^1$) is identified with a_1 and a preferred longitude $S^1 \times \{**\}$ ($** \in \partial D^2$) is identified with b_1 .

Since $L(p, q; k)$ is obtained from T by attaching 2-handles corresponding to $\{*\} \times D^2, WD_2, WD_3, \dots, WD_n$ and a 3-ball, thus $\{\{*\} \times D^2, WD_2, WD_3, \dots, WD_n\}$ is a system of meridian disks of $T' = L(p, q; k) - \dot{T}$. Let a_i ($i = 2, \dots, n$) denote loops on $\partial T = \partial T'$ which are obtained from ∂WD_i ($i = 2, \dots, n$) by connecting to the base point p_0 . Then $a_1, a_2, \dots, a_n, b_1$ form a part of m - l system. Choose simple loops b_2, \dots, b_n such that $\{a_i, b_i\}$ should be a m - l system of T' (This is an abuse of the term ' m - l system', but readers should not be confused).

$$\begin{pmatrix} 1+t+\dots+t^{p-1} & 0 \\ \left(\frac{\partial h(a_i)}{\partial x_j}\right)^\alpha_{i=2,\dots,n} \\ 1+t+\dots+t^{r-1} & 0 \\ * \end{pmatrix}.$$

As is well known (See Crowell-Fox [2], pp. 122-123), the linear combination of all columns of $\left(\frac{\partial h(a_i)}{\partial x_j}\right)^\alpha_{i=2,\dots,n}$ is zero. Thus the above matrix is equivalent to the matrix of the following form

$$\begin{pmatrix} 1+t+\dots+t^{p-1} & 0 \\ 0 & C \\ 1+t+\dots+t^{r-1} & 0 \\ * & D \end{pmatrix}$$

where C is also an Alexander matrix. Since $\begin{pmatrix} A \\ B \end{pmatrix}$ is equivalent to the above matrix, we complete the proof except for Sublemma.

PROOF OF SUBLEMMA. Since $l^q x$ and $l^s y$ are presented as products of conjugates of l and l^{-1} , it is sufficient to prove that for a product of conjugates of l or l^{-1} , say z , $(\partial h(z)/\partial x_j)^\alpha$ has the form $\sum_{i=2}^n m_i (\partial h(a_i)/\partial x_j)^\alpha$. As is well known $h(l)$ is mapped to the second commutator subgroup by $k: \pi_1(T) \rightarrow \pi_1(S^3 - N(k))$. l is represented by $l_0 r$ where l_0 belongs to the second commutator group of $\pi_1(T)$ and r belongs to $\ker k$. Since l_0 is negligible when we consider free differential calculus, it follows that $(\partial l/\partial x_j)^\alpha = (\partial r/\partial x_j)^\alpha$. Note that r is represented by a product of conjugates of $h(a_2), \dots, h(a_n)$ and their inverses, and

$$\left(\frac{\partial g h(a_i) g^{-1}}{\partial x_j}\right)^\alpha = (1 - h(a_i))^\alpha \left(\frac{\partial g}{\partial x_j}\right)^\alpha + g^\alpha \left(\frac{\partial h(a_i)}{\partial x_j}\right)^\alpha = \alpha(g) \left(\frac{\partial h(a_i)}{\partial x_j}\right)^\alpha$$

holds. Hence $(\partial r/\partial x_j)^\alpha$ has the form $\sum_{i=2}^n m_i (\partial h(a_i)/\partial x_j)^\alpha$. Furthermore, since z is the product of conjugates of l and l^{-1} , $(\partial z/\partial x_j)^\alpha$ also has the form $\sum_{i=2}^n m_i (\partial h(a_i)/\partial x_j)^\alpha$ as required.

§4. Proofs of theorems.

Now we will prove Theorem 1.

PROOF OF THEOREM 1. For $L(p, q; k)$, by Lemma 1, there is an EA-matrix $\begin{pmatrix} A \\ B \end{pmatrix}$ of the form:

$$\begin{pmatrix} A \\ B \end{pmatrix} = \begin{pmatrix} 1+t+\dots+t^{p-1} & 0 \\ 0 & C \\ 1+t+\dots+t^{r-1} & 0 \\ * & D \end{pmatrix}$$

where $rq \equiv 1(p)$, C is an Alexander matrix and $\det C$ equals to the Alexander polynomial of the knot k . For the lens space $L(p, q')$ there is an EA-matrix $\begin{pmatrix} A' \\ B' \end{pmatrix}$ of the form

$$\begin{pmatrix} A' \\ B' \end{pmatrix} = \begin{pmatrix} 1+\tau+\dots+\tau^{p-1} \\ 1+\tau+\dots+\tau^{r'-1} \end{pmatrix}$$

where $r'q' \equiv 1(p)$.

Suppose that there is a homeomorphism $f: L(p, q') \rightarrow L(p, q; k)$. Then, by Theorem 3, there are matrices $G, \begin{pmatrix} U & 0 \\ W & \pm^* U^{-1} \end{pmatrix}$ with $\det G, \det U \in \pm H_1(L(p, q; k))$ and $m, n \in N$ such that, for stabilized EA-matrices $\begin{pmatrix} R \\ S \end{pmatrix} = \begin{pmatrix} A \oplus E_m \\ B \oplus 0_m \end{pmatrix}$ and $\begin{pmatrix} R' \\ S' \end{pmatrix} = \begin{pmatrix} A' \oplus E_n \\ B' \oplus 0_n \end{pmatrix}^{f^*}$, $\begin{pmatrix} U & 0 \\ W & \pm^* U^{-1} \end{pmatrix} \begin{pmatrix} R \\ S \end{pmatrix}^{G^{-1}} = \begin{pmatrix} R' \\ S' \end{pmatrix}$ holds. This means

- (1) $UR = R'G$ and
- (2) $*UWR \pm S = *US'G$.

Let $f_*: H_1(L(p, q')) \rightarrow H_1(L(p, q; k))$ be represented by $f_*(\tau) = t^s$ for some $s \in N$ relatively prime to p and $s < p$. Set $\alpha = 1+t+\dots+t^{p-1}$, $\beta = 1+t+\dots+t^{r-1}$, $\beta' = 1+t^s+\dots+t^{s(r'-1)}$. Then R, S, R' and S' are represented as follows:

$$R = \begin{pmatrix} \alpha & 0 \\ 0 & X \end{pmatrix}, \quad S = \begin{pmatrix} \beta & 0 \\ Z & Y \end{pmatrix}, \quad R' = \begin{pmatrix} \alpha & 0 \\ 0 & E \end{pmatrix}, \quad S' = \begin{pmatrix} \beta' & 0 \\ 0 & 0 \end{pmatrix}$$

where $\det X = \det C$ coincides with the Alexander polynomial $\Delta_k(t)$ up to multiplication of $\pm t^j$ and E denotes a unit matrix. Set $U = \begin{pmatrix} u_{11} & U_{12} \\ U_{21} & U_{22} \end{pmatrix}$ and $G = \begin{pmatrix} g_{11} & G_{12} \\ G_{21} & G_{22} \end{pmatrix}$ where u_{11}, g_{11} are 1×1 matrices.

From (1) we obtain

- (3) $u_{11}\alpha = \alpha g_{11}$,
- (4) $U_{12}X = \alpha G_{12}$,
- (5) $U_{21}\alpha = G_{21}$,

$$(6) \quad U_{22}X = G_{22}.$$

Next we compare the (1, 1)-th entries of the both sides of the equation (2). Since the (1, 1)-th entry of $*UWR$ is a multiple of α and the (1, 1)-th entry of $*US'G$ is $\bar{u}_{11}g_{11}\beta'$, we obtain

$$(7) \quad \pm\beta \equiv \bar{u}_{11}g_{11}\beta' \pmod{\alpha}.$$

Since $\det U, \det G \in \pm H_1(L(p, q; k))$, we can set $\det U = \pm t^k, \det G = \pm t^l$ for some $k, l \in \mathbf{Z}$. Consider the equation $U \begin{pmatrix} 1 & 0 \\ 0 & X \end{pmatrix} = \begin{pmatrix} u_{11} & U_{12}X \\ U_{21} & U_{22}X \end{pmatrix}$. Then, since $U_{12}X \equiv 0 \pmod{\alpha}$ by (4),

$$(8) \quad \pm t^k \det X = \det U \det X \equiv u_{11} \det U_{22} \det X \pmod{\alpha}.$$

Furthermore, since $G_{21} \equiv 0 \pmod{\alpha}$ by (5), we have

$$(9) \quad \pm t^l = \det G \equiv g_{11} \det G_{22} \pmod{\alpha}.$$

Thus

$$\begin{aligned} u_{11}(\pm t^l) &\equiv u_{11}g_{11} \det G_{22} \pmod{\alpha} \quad \text{by (9)} \\ &= u_{11}g_{11} \det U_{22} \det X \quad \text{by (6)} \\ &\equiv g_{11}(\pm t^k \det X) \pmod{\alpha} \quad \text{by (8)}. \end{aligned}$$

This means

$$(10) \quad g_{11} \det X \equiv \pm t^{l'} u_{11} \pmod{\alpha} \quad \text{for some } l' \in \mathbf{Z}.$$

From (7) and (10), we have

$$\beta \det X \equiv \pm \bar{u}_{11}g_{11}\beta' \det X \equiv \pm t^{l'} u_{11} \bar{u}_{11} \beta' \pmod{\alpha}.$$

Since $\det X = \Delta_k(t)$ we have, by setting $l = l'$ and $u = u_{11}$,

$$(1+t+\cdots+t^{r-1})\Delta_k(t) \equiv \pm t^l u \bar{u} (1+t^s+\cdots+t^{s(r'-1)}) \pmod{\alpha}$$

as required.

The following lemma is used to prove Theorem 2.

LEMMA 2. For $u \in \mathbf{Z}[\mathbf{Z}_p]$ and $q, q', k, s \in \mathbf{Z}$ such that q, q' and s are relatively prime to p , if it holds that

$$(11) \quad u\bar{u}(1+t+\cdots+t^{q-1}) \equiv \pm t(1+t^s+\cdots+t^{s(q'-1)}) \pmod{(1+t+\cdots+t^{p-1})}$$

then $q \equiv \pm q'(p)$ or $qq' \equiv \pm 1(p)$.

PROOF. First we assume that $0 < q, q' < p/2$. For the given identity

(11), multiplying $1-t$ to the both sides we obtain

$$(12) \quad u\bar{u}(1-t^q) = \pm t^k(1-t)(1+t^s + \dots + t^{s(q'-1)}).$$

Set $u = a_0 + a_1t + \dots + a_{p-1}t^{p-1}$. Then

$$u\bar{u} = \sum_{i=0}^{p-1} a_i^2 + \sum_{i=0}^{p-1} a_i a_{i+1} t + \dots + \sum_{i=0}^{p-1} a_i a_{i+p-1} t^{p-1}$$

where indices are thought as integer mod p .

Let us express the right hand side of (12) as a linear combination of $1, t, \dots, t^{p-1}$ over \mathbb{Z} , then the coefficient of 1 is 0 or ± 1 because t^s is a generator of \mathbb{Z}_p and $0 < q' < p/2$. Comparing this coefficient with that of the left hand side of (12), we obtain $\sum_{i=0}^{p-1} a_i^2 - \sum_{i=0}^{p-1} a_i a_{i-q} = 0$ or ± 1 . If $\sum_{i=0}^{p-1} a_i^2 - \sum_{i=0}^{p-1} a_i a_{i-q} = 0$ then $\sum_{i=0}^{p-1} (a_i - a_{i-q})^2 = 0$, thus $a_i = a_{i-q}$ for any i . Since p and q are coprime, this means that $a_0 = a_1 = \dots = a_{p-1}$. Hence $u = a_0(1+t+\dots+t^{p-1})$ and thus $(1-t)u = 0$. Then from (11) we obtain $(1-t)(1+t^s + \dots + t^{s(q'-1)}) = 0$. This is a contradiction. Hence $\sum_{i=0}^{p-1} a_i^2 - \sum_{i=0}^{p-1} a_i a_{i-q} = \pm 1$. But the case of -1 does not occur because $\sum_{i=0}^{p-1} a_i^2 - \sum_{i=0}^{p-1} a_i a_{i-q} = (1/2) \sum_{i=0}^{p-1} (a_i - a_{i-q})^2 > 0$. Thus $\sum_{i=0}^{p-1} a_i^2 - \sum_{i=0}^{p-1} a_i a_{i-q} = 1$. This means $\sum_{i=0}^{p-1} (a_i - a_{i-q})^2 = 2$. Thus there are $n, l \in \mathbb{N}$ and $a \in \mathbb{Z}$ such that $l < p/2$ and $a_n = a, a_{n-q} = a_{n-2q} = \dots = a_{n-lq} = a \pm 1, a_{n-(l+1)q} = \dots = a_{n-(p-1)q} = a$. Hence

$$\begin{aligned} u\bar{u} &\equiv (t^{n-q} + t^{n-2q} + \dots + t^{n-lq}) \overline{(t^{n-q} + t^{n-2q} + \dots + t^{n-lq})} \\ &\equiv (1 + t^q + \dots + t^{(l-1)q}) \overline{(1 + t^q + \dots + t^{(l-1)q})} \\ &\equiv t^{-(l-1)q} (1 + t^q + \dots + t^{(l-1)q})^2 \\ &\quad \text{mod } (1 + t + \dots + t^{p-1}). \end{aligned}$$

From (11) and above we have

$$(1 + t^q + \dots + t^{(l-1)q})^2 (1 + \dots + t^{q-1}) \equiv \pm t^{k'} (1 + t^s + \dots + t^{s(q'-1)}) \text{ mod } (1 + t + \dots + t^{p-1}).$$

Multiplying $(1-t^q)(1-t)(1-t^s)$ to the both sides of the above equation we obtain

$$(13) \quad (1-t^{lq})^2(1-t^s) = \pm t^{k'}(1-t)(1-t^q)(1-t^{s q'}).$$

First we see that ql is relatively prime to p . If $\text{g.c.d.}(ql, p) = d > 1$, then, for $\xi = \exp(2\pi i/d)$, substitute t of (13) by ξ . Then left hand side equals zero while right hand side does not. This is a contradiction. Thus ql is relatively prime to p . Then by applying Franz Independence Lemma ([6], p. 406 and [4]), $\{\bar{q}l, \bar{q}l, \bar{s}\} = \{\bar{1}, \bar{q}, \bar{s}q'\}$ where \bar{i} denotes $i \text{ mod } p$.

Since $\bar{1} \in \{\bar{q}l, \bar{q}l, \bar{s}\}$, $\bar{q}l = \bar{1}$ or $\bar{s} = \bar{1}$.

Case 1: $\bar{s} = \bar{1}$. If $\bar{q} \neq \bar{1}$ then $\bar{q}' = \bar{q}$. If $\bar{q} = \bar{1}$ then $\bar{q}' = \bar{1}$. Therefore if $\bar{s} = \bar{1}$ then $\bar{q}' = \bar{q}$.

Case 2: $\bar{q}l = \bar{1}$. If $\bar{q} = \bar{1}$ then $\bar{q}' = \bar{1}$. If $\bar{q} \neq \bar{1}$ then $\bar{s}\bar{q}' = \bar{1}$ and $\bar{q} = \bar{s}$. Thus in this case $\bar{q}\bar{q}' = \bar{1}$. Therefore if $\bar{q}l = \bar{1}$ then $\bar{q}\bar{q}' = \bar{1}$.

Concluding these we have $q \equiv q'(p)$ or $qq' \equiv 1(p)$. Recall that we assumed that $0 < q, q' < p/2$. Without the assumption we have $q \equiv \pm q'(p)$ or $qq' \equiv \pm 1(p)$ completing the proof of Lemma 2.

Since t^s is a generator of Z_p , Lemma 2 can be restated as follows:

LEMMA 2'. For $u \in Z[Z_p]$ and $q, q', k, s \in Z$ such that q, q' and s are relatively prime to p , if it holds that

$$(11') \quad (1+t+\cdots+t^{q-1}) \equiv \pm t^k u \bar{u} (1+t^s+\cdots+t^{s(q'-1)}) \pmod{(1+t+\cdots+t^{p-1})}$$

then $q \equiv \pm q'(p)$ or $qq' \equiv \pm 1(p)$.

Now Theorem 2 is an immediate cosequence of Theorem 1 and Lemma 2'.

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