

Abstract approaches to  
regularizing moduli spaces of pseudoholomorphic curves

Approach #1 : "Euler class on Banach ~~orbifolds~~ <sup>manifolds</sup>"  
[Siebert]

Gromov-Witten invariants for general symplectic manifolds

Bernd Siebert

Abstract transversality . . . . .  
 Localized Euler classes on Banach orbifolds

basic example

$$C = \mathbb{P}^1 \xrightarrow{\varphi} M$$

$$\downarrow$$

$$x = \infty$$

$$e^{hol}(\cdot) = \bar{m}$$

$$g=0, k=1$$

**Theorem 0.1** Let  $(M, \omega)$  be a closed symplectic manifold with a tame almost complex structure  $J$ . Then the space  $\mathcal{C}(M; p)$  of stable parametrized marked complex curves in  $M$  of Sobolev class  $L^p$  (Definition 3.1) is a Banach orbifold. Moreover, there is a Banach orbundle  $E$  over  $\mathcal{C}(M; p)$  with fiber  $\tilde{L}^p(C; \varphi^* T_M \otimes \bar{\Omega}_C)$  at  $(C, \mathbf{x} = (x_1, \dots, x_k), \varphi : C \rightarrow M)$  with an oriented Kuranishi section  $s$  (Definition 1.15) with  $\hat{s}(C, \mathbf{x}, \varphi) = \bar{\partial}_J \varphi$ . The zero locus of  $s$  is the set  $\mathcal{C}^{hol}(M, J)$  of stable pseudo holomorphic curves in  $(M, J)$  (Definition 3.5), which is a locally finite dimensional Hausdorff space with compact components.

Let  $\mathcal{M}_{g,k}$  be the moduli space of Deligne-Mumford stable  $k$ -marked algebraic curves of genus  $g$ , with the convention  $\mathcal{M}_{g,k} = \{\text{pt}\}$  whenever  $2g + k < 3$ . The localized Euler class  $GW_{g,k}^{M,J} \in H_*(\mathcal{C}^{hol}(M, J))$  associated to  $(E, s)$  (Theorem 1.21) gives rise to GW-correspondences (Definition 7.2)

$$GW_{g,k}^{M,J} : H^*(M)^{\otimes k} \longrightarrow H_*(\mathcal{M}_{g,k}) \stackrel{\cong \text{pt}}{\simeq} \mathbb{Q}$$

that are invariants of the symplectic deformation type of  $(M, \omega)$ . They coincide with the ones defined in [RuTi2] in case  $(M, \omega)$  is semi-positive.

main construction is

$$[\bar{m}] \in H_*(\bar{M})$$

then  $ev_* \bar{m} \rightarrow M$  yields

$$GW : PD(s_i) \xrightarrow{\downarrow} \langle [e^{hol}(\bar{M}_i)], ev_* PD(s_i) \rangle$$

$$= \# \{ [u] \in \bar{M} \mid u(\infty) \in S_i \}^n$$

Guiding Questions for studying regularization approaches  
via abstract perturbations / "virtual" fundamental class

$$\boxed{\bar{M} = s^{-1}(0)} \quad [(s+r)^{-1}(0)] \quad \boxed{\text{Euler}(s) = [\bar{M}]}$$

→ what is the abstract form of section  $s$ ? → "Banach orbifold"  
→ e.g. when  $\bar{\partial} \neq 0$ ? → "Kuranishi section"

→ why does regularization theorem hold?  
→ "Euler class"

→ how is  $s$  constructed for pseudoholomorphic curve moduli spaces?

→ from local Fredholm descriptions

→ in basic example  $\bar{M}_{0,1}(A, J) = \{u: \mathbb{P}^1 \rightarrow M \mid u^*[\mathbb{P}^1] = A, \bar{\partial}_J u = 0\}$   
 $\{\varphi: \mathbb{P}^1 \xrightarrow{\sim} \mathbb{P}^1, \varphi(\infty) = \infty\}$

**Definition 3.1** A (marked, parametrized) complex curve in  $M$  is a triple  $(C, \mathbf{x}, \varphi)$  with  $(C, \mathbf{x})$  a marked prestable curve and  $\varphi : C \rightarrow X$  a continuous map.

A morphism  $(C, \mathbf{x}, \varphi) \rightarrow (C', \mathbf{x}', \varphi')$  is a holomorphic map  $\Psi : C \rightarrow C'$  with  $\varphi' \circ \Psi = \varphi$ ,  $\Psi(\mathbf{x}) = \mathbf{x}'$  (as tuples). This defines the sets  $\text{Hom}((C, \mathbf{x}, \varphi), (C', \mathbf{x}', \varphi'))$  and  $\text{Aut}(C, \mathbf{x}, \varphi) \subset \text{Aut}(C, \mathbf{x})$ .

$(C, \mathbf{x}, \varphi)$  is called stable if the restriction of  $\varphi$  to any unstable component  $D \subset (C, \mathbf{x})$  is non-constant. We write  $\mathcal{C}(X)$  for the space of isomorphism classes of complex curves in  $X$  and —by abuse of notation—  $(C, \mathbf{x}, \varphi) \in \mathcal{C}(X)$ .

**Definition 3.2** Let  $2 < p < \infty$ . The subset of  ~~$\mathcal{C}(X)$~~  of stable (marked, parametrized) complex curves of Sobolev class  $L^p$  in  $M$  is defined as set of (isomorphism classes of) curves  $(C, \mathbf{x}, \varphi) \in \mathcal{C}(X)$  with:

- $\varphi \in L^p(C, \mathbb{R}^n) \rightarrow W^{1,p}(C, M)$
- $\text{area}_p(\varphi|_D) > 0$  for any unstable component  $D \subset (C, \mathbf{x})$ .

The condition of positive area is of course independent of the choice of  $\rho$ .

**Definition 3.5** Let  $(M, J)$  be an almost complex manifold,  $J$  the almost complex structure.  $(C, \mathbf{x}, \varphi) \in \mathcal{C}(M)$  is called pseudo holomorphic (with respect to  $J$ ), or  $J$ -holomorphic if for any irreducible component  $D$  of  $C$ ,  $\varphi|_D : D \rightarrow M$  is a morphism of almost complex manifolds. The subset

$$\bar{\mathcal{M}} = \mathcal{C}^{\text{hol}}(M, J) := \{(C, \mathbf{x}, \varphi) \in \mathcal{C}(M) \text{ } J\text{-holomorphic}\} / \text{isomorphism} \subset \mathcal{C}(M, \rho) = \frac{W^{1,p}(P^1, M)}{\text{Aut}}$$

of  $\mathcal{C}(M)$  is the space of (marked, parametrized) stable pseudo holomorphic curves on  $M$  with respect to  $J$ .

basic example

$$C = P^1$$

$$X = \infty$$

$$\varphi : P^1 \rightarrow M \in \mathcal{C}^0$$

mor:  $\text{Aut}(P^1, \infty)$   
not finite



domain  $(P^1, \infty)$   
unstable

$$= \frac{W^{1,p}(P^1, M)}{\text{Aut}}$$

Now let  $X$  be a Hausdorff space. If  $\mathcal{U} = \{U_i\}_{i \in I}$  is a covering of  $X$  by open sets we can form a category  $\mathcal{T}(\mathcal{U}) \subset \text{Sets}$  with objects  $U_i$  and a morphism  $U_i \rightarrow U_j$  for any inclusion  $U_i \subset U_j$ . If for any  $i, j$  there exists  $k$  with  $U_k \subset U_i \cap U_j$  we call  $\mathcal{U}$  fine.  $u: \text{---} \circledast U_i \cup_j$

**Definition 1.2** A (Banach) manifold structure on a Hausdorff space  $X$  is a fine covering  $\mathcal{U}$  of  $X$  and a functor  $\mathcal{O} : \mathcal{T}(\mathcal{U}) \rightarrow \mathcal{LUS}$  with  $\mathcal{Q} \circ \mathcal{O} = \text{Id}_{\mathcal{T}(\mathcal{U})}$  and with  $\mathcal{O}(i)$  an open embedding for any  $i \in \text{Hom}(\mathcal{T}(\mathcal{U}))$ .

$$\begin{aligned}
 X &= \mathcal{C}(M, p) \\
 &= W^{1,p}(\mathbb{R}^n, M) / \text{Aut} \\
 &= \bigcup_i U_i \text{ fine}
 \end{aligned}$$

**Definition 1.1** Let  $\mathcal{LUS}$  be the category whose objects consist of  $\hat{U}$  (local uniformizing systems) with

- $\hat{U}$  is an open set in some Banach space  $T$

$$\begin{aligned}
 \text{Obj: } U_i &\xrightarrow{\circ} \hat{U}_i \subset T \\
 \text{Mor: } U_k \subset U_i &\xrightarrow{\circ} \hat{U}_k \hookrightarrow \hat{U}_i
 \end{aligned}$$

$$\text{Mor}((\hat{U}, \cdot, \cdot), (\hat{V}, \cdot, \cdot)) = \{ \hat{f}: \hat{U} \rightarrow \hat{V} \text{ continuous}, \dots \} \quad \left( \begin{array}{c} \text{eg.} \\ \longleftrightarrow v \mapsto v \circ \varphi_v \circ e^0 \end{array} \right)$$

**Definition 1.7** Let  $p : E \rightarrow X$  be a continuous surjection of topological spaces. A (Banach) bundle structure on  $p$  is a morphism of Banach orbifold structures

$$P : (E, \{p^{-1}(U)\}_{U \in \mathcal{U}}, \mathcal{O}^E) \rightarrow (X, \mathcal{U}, \mathcal{O})$$

on  $E$  and  $X$  with

- $\kappa = \text{Id}_I$
- if  $U \in \mathcal{U}$  and  $\mathcal{O}(U) = \hat{U}$  then  $\mathcal{O}^E(p^{-1}(U)) = (\hat{U} \times E_0)$  with  $E_0$  a Banach space

$$\begin{array}{c}
 E = \Xi \\
 p \downarrow \uparrow s = \bar{\partial}_j \\
 X = W^{1,p}(\mathbb{R}^n, M) / \text{Aut}
 \end{array}$$

A section of  $E$  is a morphism  $s : X \rightarrow E$  of orbifolds with  $p \circ s = \text{Id}_X$ .

what is the abstract form of section  $s$ ? (how is it constructed in basic example)

Definition 1.11 Let  $p : X \rightarrow M_{g,k}$  be a submersion of Banach orbifolds,  $s$  a section of a Banach orbifold  $E$  over  $X$ . A Fredholm structure for  $s$  relative  $S$  is a choice of orbifold structures for  $X$  and  $E$  such that any local trivialization  $\hat{E}_U = \hat{U} \times E_0$  centered in some  $z \in Z(s)$  has the form

$$\hat{s}^{-1}(0) \quad \hat{U} = \mathbb{R}^b \times L \times V$$

Banach space

with

- $L$  is an open subset of a finite dimensional vector space
- $\Pi \circ \hat{s} : L \times V \rightarrow E_0$  is differentiable relative  $L$  with relative differential

$$D_V(\Pi \circ \hat{s}) : L \times V \rightarrow L(T, E_0), \quad T = T_0V$$

continuous at 0 and with  $\sigma = D_V(\Pi \circ \hat{s})(0)$  Fredholm (think index  $Ds$ )  
 (= index  $D_V s + b$ )

Definition 1.15 Let  $X$  be a Banach orbifold and  $s$  an Fredholm section of a Banach orbifold  $E$  over  $X$ . A Kuranishi structure for  $s$  is a morphism

$$\tau : F \rightarrow \mathbb{F} \quad \text{"global stabilization"}$$

from a finite rank bundle  $F$  defined over an open suborbifold  $X' \subset X$  containing  $Z(s)$  such that for any distinguished local trivialization  $\hat{E}_U = \hat{U} \times E_0$  centered in some  $z \in Z(s)$ ,  $\hat{U} = L \times V$ :

- $\text{im } \hat{\tau}$  spans cokernel  $\sigma$ ,  $\sigma = D_V(\Pi \circ \hat{s})(0)$
- $\hat{\tau}$  is continuously differentiable relative  $L$ .

Two Kuranishi structures  $\tau : F \rightarrow E$ ,  $\tau' : F' \rightarrow E$  are compatible iff  $\tau + \tau' : F \oplus F' \rightarrow E$  is a Kuranishi structure too. An  $S$ -Fredholm section together with an equivalence class of compatible Kuranishi structures is called  $S$ -Kuranishi section.

$$W^{1,p}/\text{Aut} \simeq \bigcup_i \hat{V}_i$$

as above

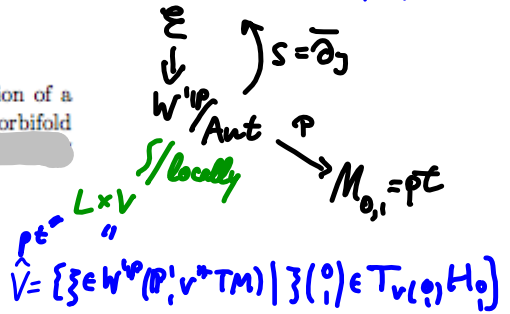
$\hat{\sigma}_j|_{\hat{V}_i}$  Fredholm  $\Rightarrow \exists$  local stabilization  
 $\Rightarrow$  multiply by cutoff function  $\beta_i$  to extend to  $W^{1,p}/\text{Aut}$

$\Rightarrow$  covers cokernel on  $\hat{V}_i \subset \hat{V}_i$  open

$\hat{s}^{-1}(0)$  compact  
 $\Rightarrow$  cover by  $\bigcup_i \hat{V}_i$

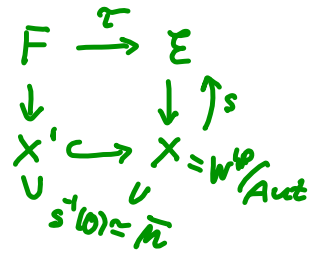
$$\bigoplus_i F_i \xrightarrow{\sum \beta_i \tau_i} \Sigma$$

covers cokernel everywhere



$$D\bar{\sigma}_j(2, \nu^* \cdot) : TV \rightarrow E_0$$

$$Ex(\text{gluing}) : L = \{\text{gluing parameters}\}$$



Definition 1.13 A  $\mathcal{C}^k$ -Fredholm section  $s$  of  $E$  is transverse along a closed subset  $A \subset Z(s)$  iff for any  $z \in A$  there exists a distinguished local trivialization centered in  $z$  with  $\sigma$  surjective.

$D_V s$  on  $L \times V \hookrightarrow W^1 p / Aut$

By applying the implicit function theorem locally relative  $L$ , we see that the zero locus of transverse sections is a finite dimensional topological orbifold, locally uniformized by  $L \times K$ ,  $K = \ker D_V s$

Proposition 1.14 Let  $s$  be a  $\mathcal{C}^k$ -Fredholm section of a Banach orbifold  $E$  over a Banach orbifold  $X$  and assume  $s$  is transverse along  $A$ . Then in a neighbourhood of  $A$ ,  $Z(s)$  has naturally a structure of topological orbifold.

will apply to stabilized section

$S_F: F \rightarrow E$   
 $([u], f) \mapsto \bar{\partial}_s [u] + \tau(f)$

$S_F^{-1}(0) = \{([u], f) \mid \bar{\partial}_s [u] = -\tau(f)\}$   
 is if  $\tau$  injective  
 $\{[u] \mid \bar{\partial}_s [u] \in \tau(F)\}$

Definition 1.11 Let  $X$  be a Banach orbifold,  $s$  a section of a Banach orbifold  $E$  over  $X$ . A Fredholm structure for  $s$  is a choice of orbifold structures for  $X$  and  $E$  such that any local trivialization  $\hat{E}_U = \hat{U} \times E_0$  centered in some  $z \in Z(s)$  has the form

$\hat{U} = L \times V$

with

- $L$  is an open subset of a finite dimensional vector space
- $\Pi \circ \hat{s}: L \times V \rightarrow E_0$  is differentiable relative  $L$  with relative differential

$D_V(\Pi \circ \hat{s}): L \times V \rightarrow \mathcal{B}(T, E_0)$ ,  $T = T_0 V$

continuous at 0 and with  $\sigma = D_V(\Pi \circ \hat{s})(0)$  Fredholm. "bounded linear operators"

in operator topology on  $\mathcal{B}(TV, E_0)$

⚠ in gluing analysis would need " $R \mapsto D_{u \otimes \bar{\partial}_s}$ "  
 not true in polyfold setup

reminder

$F \simeq_{locally} L \times V \times F_0$   
 finite dim.

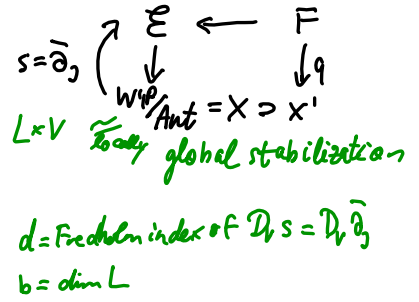
continuous wrt  $R$   
 e.g. unif. bounded as  $R \rightarrow \infty$

why does regularization theorem hold?

**Theorem 1.21** Let  $X$  be a topological Banach orbifold, and  $s$  an oriented Kuranishi section of a Banach orbifold  $E$  over  $X$  of constant index  $d$ . We assume  $Z = Z(s)$  to be compact.

Then there exists a localized Euler class  $[E, s] \in H_{d+b}(Z)$ , depending only on  $E$  and the Kuranishi section  $s$ , with the following properties:

1. If  $s$  is transverse (so  $Z$  is an oriented topological orbifold of dimension  $d$ ) then  $[E, s] = [Z]$ .  $\approx s^{-1}(0) \approx \bar{M}$



**Proposition 1.17** Let  $s$  be a Kuranishi section of a Banach orbifold  $E$  over a Banach orbifold  $X$ . Let  $\tau : F \rightarrow E$  represent the Kuranishi structure,  $q : F \rightarrow X$  the bundle projection. Then the section

$$\tilde{s} := q^*s + \tau = \text{"}\bar{\partial}_j + \tau\text{"}$$

of  $q^*E$  over the total space  $F$  is transverse. In particular,  $\tilde{Z} := Z(\tilde{s})$  is a topological submanifold of  $F$ .

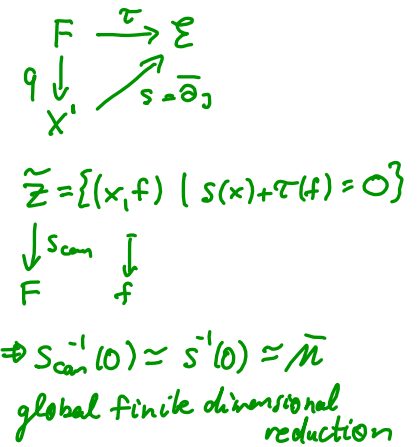
**Remark 1.18** Let  $s_{\text{can}}$  be the tautological section of  $q^*E \rightarrow F$ . So on local uniformizers  $s_{\text{can}}$  is given by putting

$$\Pi \circ \hat{s}_{\text{can}} := \text{pr}_{F_0} : \hat{U} \times F_0 \rightarrow F_0.$$

The zero locus of  $s_{\text{can}}$  is just the zero section of  $F$ , and can be identified with  $X$ . Restricting to  $\tilde{Z} = Z(\tilde{s})$  we obtain

$$Z(s) = Z(s_{\text{can}}|_{\tilde{Z}}).$$

In this way we have exhibited the zero locus of  $s$  as zero locus of a finite rank orbifold over a finite dimensional orbifold.



$$\partial \rightarrow \begin{matrix} F|_{\tilde{Z}} \\ \downarrow \tilde{c} \end{matrix} \xrightarrow{s_{\text{can}}} \text{has an Euler class } E(s_{\text{can}}) \in H_*(s_{\text{can}}^{-1}(0)) \approx \bar{M}$$



## how is $S$ constructed for pseudoholomorphic curve moduli spaces?

**Theorem 5.1** Let  $(M, J)$  be an almost complex manifold and  $p > 2$ . Then the space  $\mathcal{C}(M; p)$  of stable parametrized complex curves of Sobolev class  $L^p_1$  has naturally a structure of **Banach manifold**. The orbifold topology is finer than the  $C^0$ -topology introduced in Section 3.2.

We are going to show now that our charts  $S \times \bar{V}$  for  $\mathcal{C}(M; p)$  together with its naturally associated trivialization of  $E$  (i.e. using the same retraction  $\kappa$ ) **endow  $s_0$  with a Fredholm structure**, with  $(S = W, L, V)$  in Definition 1.11 equal to  $(pt, S, \bar{V})$ .

We want to model local uniformizing systems at  $(C, \mathbf{x}, \varphi)$  on  $S \times L^p_1(C; \varphi^* TM)$ , where  $S$  is naturally viewed as open neighbourhood of the origin in the tangent space  $T_{\mathcal{M}_{g,k}(C, \mathbf{x})}$  of the differentiable orbifold  $\mathcal{M}_{g,k}(C, \mathbf{x})$ .

*Change of coordinates: The general case.*

Now assume  $(C, \mathbf{x})$  unstable and let  $S \times \bar{V} \subset S \times V$  be a rigidifying slice. Let  $q : S \times V \rightarrow \mathcal{C}(M; p)$  induce the structure map. As shown in Section 5.3,  $S \times \bar{V}$  is the topological quotient of  $S \times V$  by the equivalence relation  $R$  generated by the germ of action of  $\text{Aut}^0(C, \mathbf{x})$ . Given  $(C', \mathbf{x}', \varphi') \in \text{im } q$  and sufficiently close to  $(C, \mathbf{x}, \varphi)$  as above (depending on the injectivity radius of  $\rho$  etc.), we choose the local uniformizing system with center  $(C', \mathbf{x}', \varphi')$  to be a slice  $S' \times \bar{V}'$  in  $S' \times V'$  with  $S', V'$  sufficiently small as before. Again,  $S' \times \bar{V}'$  is the quotient of  $S' \times V'$  by the equivalence relation  $R'$ , generated by the germ of action of  $\text{Aut}^0(C', \mathbf{x}', \varphi')$ .

Now  $(C', \mathbf{x}')$  belongs to some  $s_0 \in S$ , and with a choice of  $s_0$  the unstable components of  $(C', \mathbf{x}')$  can be identified with a subset  $D_1, \dots, D_a$  of the set of unstable components of  $(C, \mathbf{x})$  via  $\kappa$ . Let  $G := \{\Psi \in \text{Aut}^0(C, \mathbf{x}) \mid \Psi|_{D_i} = \text{Id}, i = 1, \dots, a\}$ . By our explicit description of the semiuniversal deformation it is not hard to see that the local action of  $G$  fibers  $S$  smoothly near  $s_0$ , and that the restriction of  $q : C \rightarrow S$  to a smooth analytic slice of the action of  $G$  at  $s_0$  is a semiuniversal deformation of  $(C', \mathbf{x}')$ , hence locally isomorphic to  $S'$ . Again we can thus identify  $C'$  with a locally analytic subset of  $S$ , this time of codimension equal to the dimension of  $G$ . The map  $\hat{\sigma} : S' \times \bar{V}' \hookrightarrow S \times \bar{V}$  is then defined as composition of  $(s, v') \mapsto (s, \Pi_s^{-1} \Theta \Pi'_s v')$  with the quotient map  $S \times V \rightarrow S \times \bar{V}$ . Equivariance and continuity of  $\hat{\sigma}$  are thus inherited by the corresponding properties of the unrigidified map  $S' \times V' \rightarrow S \times V$ . Again we can change the roles of  $S' \times \bar{V}'$  and  $S \times \bar{V}$  to conclude that  $\hat{\sigma}$  is an open embedding.

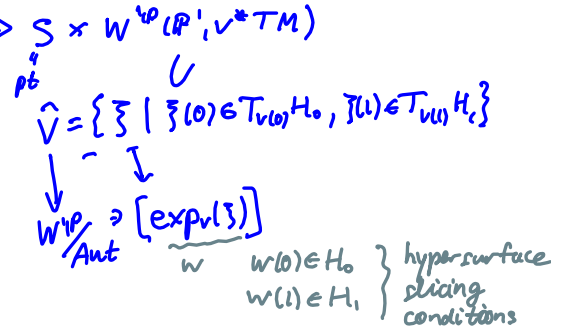
$$\Theta_{PP'} : B_r(0) \subset T_{M, P'} \rightarrow T_{M, P}, \quad v \mapsto (\exp_P^\rho)^{-1}(\exp_{P'}^\rho v)$$

*but only need this  $\Theta^0$  for construction of Banach manifold & Fredholm structure*

*reparametrization?  
 $w' \mapsto w' \circ \psi = w$*

$$\mathcal{C}(M; p) = \frac{W^{1,p}(P', M)}{v \sim v \circ \psi \quad \forall \psi \in \text{Aut}(P', \infty)}$$

*(fix  $v_0(P') = A$  s.t.  $v = v \circ \psi \Rightarrow \psi = \text{id}$  to get trivial isotropy)*



$\varphi(s, v) \in \bar{L}^p_1(C_s; M)$  defined by

$$\varphi(s, v)(z) := \exp_{\varphi(\kappa_s(z))}^\rho \Pi_s(v)(z),$$

