# Irreducible 3-manifolds that cannot be obtained by 0-surgery along a knot

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joint with Matt Hedden (MSU), Min Hoon Kim (KIAS), and Tom Mark (UVA)

East Asian Conference on Gauge theory and Related topics

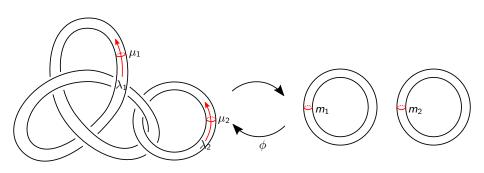
### Dehn Surgery

*Dehn surgery* constructs closed, oriented 3-manifolds by cut-and-pasting links in  $S^3$ .

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- $L = K_1 \cup \cdots \cup K_n$ : an *n*-component link in  $S^3$
- $\bullet \ (\frac{p_1}{q_1}, \dots, \frac{p_n}{q_n}) \in (\mathbb{Q} \cup \{\infty\})^n$



$$M(L = \{K_1, K_2, \dots, K_n\}; \frac{p_1}{q_1}, \dots, \frac{p_n}{q_n}) := (S^3 - nb(L)) \cup_{\phi} n(S^1 \times D^2)$$
$$\phi_*([m_i]) = p_i[\mu_i] + q_i[\lambda_i] \text{ for } i = 1, \dots, n.$$

#### Lickorish-Wallace Theorem

Theorem (Lickorish, Wallace, '60s)

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Which 3-manifolds can be obtained by Dehn surgery along *a knot* (single component link)?

We call such 3-manifolds *knot surgery manifolds*.

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### Definition (Dehn-surgery number)

DS(Y) :=the smallest # of components of a link that yields Y by Dehn-surgery.

c.f.) 
$$DS(Y) = 0 \Leftrightarrow Y \cong S^3$$

# A necessary condition from $H_1(Y; \mathbb{Z})$

#### Homologies of knot surgery manifolds

If  $Y = S^3_{p/q}(K)$ , then  $H_1(Y; \mathbb{Z}) \cong \mathbb{Z}/p\mathbb{Z}$ , which is generated by the meridian class of the knot.

$$H_1(Y; \mathbb{Z}) = egin{cases} 0 & ext{if } p = 1, Y : ext{homology} - S^3 \ \mathbb{Z}/p\mathbb{Z} & ext{if } p \neq 1 ext{ or } 0, Y : ext{homology lens space} \ \mathbb{Z} & ext{if } p = 0, Y : ext{homology} - S^1 imes S^2 \end{cases}$$

Ex)  $T^3$  and  $\mathbb{R}P^3\#\mathbb{R}P^3$  cannot be obtained by Dehn surgery along a knot.

### A necessary condition from the fundamental group

```
Let G be a group.
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The weight of G = Wt(G)

:= \min\{|S| : S \subset G \text{ s.t. } G = \langle S \rangle\}

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### Knot surgery obstruction from $\pi_1$

If Y is a knot surgery manifold, then  $Wt(\pi_1(Y)) \leq 1$ .

p.f.) The van Kampen theorem.

$$Wt(\pi_1(Y)) \leq DS(Y)$$

# Irreducibility

### Theorem (Gabai, Property R, '87)

If Y is obtained by 0-surgery along a nontrivial knot, then Y is irreducible, in particular,  $Y \ncong S^2 \times S^1$ .

If  $Y = S_0^3(K)$ , then Y is irreducible or  $S^2 \times S^1$ .

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#### Theorem (Gordon-Luecke, '89)

Any homology 3-sphere obtained by Dehn surgery on a knot is irreducible.

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c.f.)  $\exists$  a reducible homology lens space Y that can be obtained by knot surgery. For instance,

$$S_{pq}^3(K_{p,q})\cong L(p,q)\#S_{q/p}^3(K)$$

for any knot K.

### Summary

If Y is obtained by Dehn surgery along a knot, then

- $H_1(Y; \mathbb{Z}) \cong 0$ ,  $\mathbb{Z}/p\mathbb{Z}$  or  $\mathbb{Z}$ ,
- $Wt(\pi_1(Y)) = 1$ ,
- If Y is a homology- $S^3$  ( $H_1 \cong 0$ ), then Y is irreducible. If Y is a homology- $S^2 \times S^1$  ( $H_1 \cong \mathbb{Z}$ ), then Y is irreducible or  $S^2 \times S^1$ .

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#### Main Question

Are these conditions sufficient for Y to be a knot surgery manifold?

### Homology 3-spheres

### Theorem (Auckly '97, Kirby problem 3.6.(C).)

There exists an irreducible  $\mathbb{Z}HS^3$  that is not a Dehn-surgery along a knot.

- used Taubes' periodic ending theorem.
- It is not known that the weight of  $\pi_1$  of this example is 1 or not.

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# Theorem (Hom-Karakurt-Lidman, '16)

Let 
$$Y_p = \Sigma(p, 2p - 1, 2p + 1)$$
 and p be an even integer  $\geq 8$   $\Rightarrow Y_p$ : integral homology Seifert-fibered spaces,  $Wt(\pi_1(Y)) = 1$ ,  $DS(Y_p) = 2$ 

• used Heegaard Floer theory.

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• used Heegaard Floer theory.

Open question: Is there a homology 3-sphere with  $Wt(\pi_1) \geq 2$ ?

A conjecture of Wiegold:

Does every finitely presented perfect group have weight 1?

### Homology lens spaces

### Theorem (Boyer-Lines, '90)

There exist infinitely many irreducible homology lens spaces such that  $Wt(\pi_1) = 1$  and but they are NOT knot surgery manifolds.

- These are Seifert-fibered manifolds.
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There exist infinitely many irreducible hyperbolic homology lens spaces such that  $Wt(\pi_1)=1$  and but they are not knot surgery manifolds.

c.f) (Sato-Taniguchi, '18) There exist infinitely many irreducible (non-Seifert fibered) toroidal homology lens spaces that are NOT knot surgery manifolds. It is still open if theirs have weight one  $\pi_1$ .

### Main Question

What about 3-manifolds with  $H_1(Y) \cong \mathbb{Z}$ ?

#### Question (Aschenbrenner-Friedl-Wilton, '16)

Suppose Y is an irreducible, closed, oriented 3-manifold such that

$$b_1(Y) = Wt(\pi_1(Y)) = 1,$$

Then is Y obtained by Dehn-surgery along a knot?

Goal: to answer this question *negatively* by presenting two different families of examples.

# Example I (Non-Seifert fibered examples)

### Theorem (Hedden-Kim-Mark-P., '17)

There is a family of closed oriented 3-manifolds,  $\{M_k\}_{k\geq 1}$  such that

- $M_k$ : irreducible,  $H_1(M_k; \mathbb{Z}) \cong \mathbb{Z}$ , and  $Wt(\pi_1(M_k)) = 1$
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- $M_k$  cannot be obtained by Dehn-surgery on a knot.
- $M_k$  is not homology cobordant to any knot surgery manifold.
- $M_k$  is not homology cobordant to any Seifert-fibered 3-manifold.
- $M_k$  is not homology cobordant to  $M_l$  if  $k \neq l$ .

Two closed, oriented 3-manifolds  $Y_1$  and  $Y_2$  are *homology cobordant* if  $\exists$  a smooth oriented cobordism W between them for which the inclusion maps induce isomorphisms,  $i_*: H_*(Y_i; \mathbb{Z}) \to H_*(W; \mathbb{Z})$ .

# Example II (Seifert fibered examples)

### Theorem (Hedden-Kim-Mark-P., '17)

There is a family of closed oriented 3-manifolds,  $\{N_k\}_{k\geq 1}$  such that

- $N_k$ : irreducible,  $H_1(N_k; \mathbb{Z}) \cong \mathbb{Z}$ , and  $Wt(\pi_1(N_k)) = 1$
- ②  $N_k$  is a Seifert manifold over  $S^2$  with three exceptional fibers.
- **1** If k is odd,  $N_k$  is not obtained by Dehn surgery on a knot in  $S^3$ .

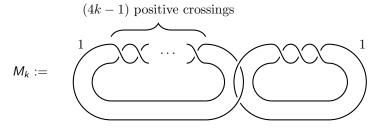
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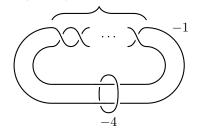
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- If k is odd,  $N_k$  is not homology cobordant to Dehn surgery along a knot in  $S^3$ .

# The manifolds $M_k$ and $N_k$



(4k-1) positive crossings



 $N_k :=$ 

## Topological properties of splices

Given two oriented 3-manifolds with torus boundary,  $Y_1$  and  $Y_2$ ,

A *splice* of 
$$Y_1 \& Y_2 = Y_1 \cup_T Y_2$$

#### Proposition

Let  $Y_1$ ,  $Y_2$  be irreducible manifolds, each with an incompressible torus as boundary. Then any splice of  $Y_1$  and  $Y_2$  is irreducible.

#### **Proposition**

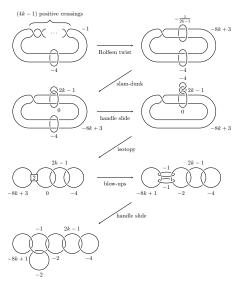
Any splice of complements of knots in the 3-sphere has weight one fundamental group.

(4k-1) positive crossings



 $M_k$  is irreducible, and  $Wt(\pi_1(M_k)) = 1$ 

# Seifert fibering structure of $N_k$



Note that any orientable, reducible Seifert fibered 3-manifold over  $S^2$  is homeomorphic to either  $S^1 \times S^2$  or  $\mathbb{RP}^3 \# \mathbb{RP}^3$ .

Hence  $N_k$  is irreducible.

# Weight of $\pi_1(N_k)$

$$\begin{split} \pi_1(N_k) &\cong \langle x_1, x_2, x_3, h \mid x_1^{16k-2} = h^{8k-3}, x_2^{8k-1} = h, x_3^2 = h, x_1 x_2 x_3 = h, [h, x_i] = 1 \rangle \\ &\cong \langle x_1, x_2, h \mid x_1^{16k-2} = h^{8k-3}, x_2^{8k-1} = h, h = x_1 x_2 x_1 x_2, [h, x_1] = [h, x_2] = 1 \rangle \\ &\cong \langle x_1, x_2 \mid x_1^{16k-2} = x_2^{(8k-1)(8k-3)}, x_2^{8k-1} = (x_1 x_2)^2, [x_2^{8k-1}, x_1] = 1 \rangle. \end{split}$$

$$\begin{split} \pi_1(N_k)/\langle\langle x_2^{4k-2}x_1^{-1}\rangle\rangle &\cong \langle x_1, x_2 \mid x_1^{16k-2} = x_2^{(8k-1)(8k-3)}, x_2^{8k-1} = (x_1x_2)^2, x_1 = x_2^{4k-2} \\ &\cong \langle x_2 \mid x_2^{(8k-1)(8k-4)} = x_2^{(8k-1)(8k-3)}, x_2^{8k-1} = x_2^{8k-2}\rangle \\ &\cong \langle x_2 \mid x_2^{(8k-1)(8k-4)} = x_2^{(8k-1)(8k-3)}, x_2 = 1\rangle = 1. \end{split}$$

## Heegaard Floer homology

• Y: a closed oriented 3-manifold, t: a Spin<sup>c</sup> structure over Y

### Heegaard Floer homology (Ozsváth-Szabó, 2000)

$$(Y,\mathfrak{t})\longmapsto HF^{\circ}(Y,\mathfrak{t}),\ \circ\in\{-,\infty,+\}$$

- $HF^{\circ}$ : relative  $\mathbb{Z}$ -graded (Maslov grading) modules over  $\mathbb{F}[U]$ , deg(U) = -2.
- Y  $\Rightarrow$  a pointed Heegaard diagram  $(\Sigma_g, \{\alpha_1, \dots, \alpha_g\}, \{\beta_1, \dots, \beta_g\}, w)$  for Y  $\Rightarrow$  Heegaard Floer homology  $\approx$  Lagrangian Floer homology for  $(Sym^g(\Sigma), T_{\alpha} := [\alpha_1 \times \dots \times \alpha_g], T_{\beta} := [\beta_1 \times \dots \times \beta_g])$
- $CF^{\circ}$  is generated by  $T_{\alpha} \cap T_{\beta}$  and  $\partial$  counts the *J*-holomorphic disks connecting them.
- *U*. lowers the grading by 2.

## Heegaard Floer correction terms

If t is torsion  $(c_1(\mathfrak{t}))$  is torsion, then relative Maslov grading can be lifted Absolute  $\mathbb{Q}$ -grading.

If  $b_1(Y) = 0$ , then

$$\mathit{HF}^+(Y,\mathfrak{t})\cong\mathcal{T}^+_{d(Y,\mathfrak{t})}\oplus\mathit{HF}^{\mathit{red}}(Y,\mathfrak{t}),$$

where  $\mathcal{T}_d^+\cong \mathbb{F}[U,U^{-1}]/U\mathbb{F}[U]$  of which 1 has grading  $d\in\mathbb{Q}$ .

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If Y is a homology  $S^2 \times S^1$ ,

$$\mathit{HF}^+(Y,\mathfrak{t}_0) \cong \mathcal{T}^+_{d_{-\frac{1}{2}}(Y,\mathfrak{t})} \oplus \mathcal{T}^+_{d_{+\frac{1}{2}}(Y,\mathfrak{t})} \oplus \mathit{HF}^{\mathit{red}}(Y,\mathfrak{t}).$$

where  $\mathfrak{t}_0$  is the spin<sup>c</sup> structure with  $c_1(\mathfrak{t}_0) = 0$ .

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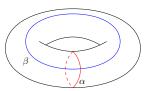
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where  $\mathfrak{t}_0$  is the spin<sup>c</sup> structure with  $c_1(\mathfrak{t}_0) = 0$ .

We call  $d(Y, \mathfrak{t})$  is called the *correction term* or *d-invariant* of  $(Y, \mathfrak{t})$ . Note that this is analogous to Frøyshov's invariants in Seiberg-Witten theory.

# **Examples**

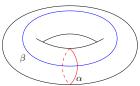
### Example) $S^3$



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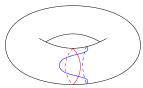
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### Example) $S^1 \times S^2$



$$HF^+(S^2\times S^1,\mathfrak{t}_0)\cong\mathcal{T}^+_{-\frac{1}{2}}\oplus\mathcal{T}^+_{+\frac{1}{2}}$$

# Dehn-surgery obstruction

### Theorem (Ozsváth-Szabó, '03)

Suppose Y is a  $\mathbb{Q}HS^3$ , bounding a negative definite 4-manifold W. Then for each  $spin^c$  structure  $\mathfrak{s}$  over W,

$$c_1(\mathfrak{s})^2 + b_2(W) \leq 4d(Y,\mathfrak{s}|_Y),$$

where  $c_1(-)$  is the first Chern class.

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$$HF^{\infty}(S^{3}) \xrightarrow{F_{W}^{\infty}(\cong)} HF^{\infty}(Y)$$

$$\downarrow^{\pi} \qquad \qquad \downarrow^{\pi}$$

$$HF_{d(Y)-deg(F)}^{+}(S^{3}) \xrightarrow{F_{W}^{+}} HF_{d}^{+}(Y)$$

$$\Rightarrow d(Y) - deg(F_W) \geq 0$$



### 0-surgery obstruction

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### Corollary (0-surgery obstruction)

If Y is obtained by 0-surgery on a knot, then

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#### Proposition

If Y is a Seifert fibered 3-manifold with  $b_1(Y) = 1$ , then

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# The correction terms of $M_k$

### Theorem (HKMP)

For any  $k \ge 1$ ,

$$d_{\frac{1}{2}}(M_k) = -2k + \frac{1}{2}$$
 and  $d_{-\frac{1}{2}}(M_k) = -\frac{5}{2}$ .

(4k-1) positive crossings



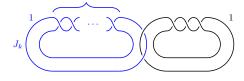
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Consider  $M_K$  as the 1-surgery of  $\Sigma(2,3,5)$  along the knot  $J_k$ .

- Understand the knot Floer homology of  $(S^3, T_{2,4k-1})$  and  $(\Sigma, \mu)$ .
- Using the Künneth formula type formula of the knot Floer homolgy to have the knot Floer homology of

$$(\Sigma, J_k) = (S^3, T_{2,4k-1}) \# (\Sigma, \mu).$$

**9** By using the surgery formula, we understand  $HF^+$  of  $M_k$ .

#### Rohlin invariants

For  $(Y, \mathfrak{s})$  be a spin 3-manifold. The *Rohlin invariant*,  $\mu(Y; \mathfrak{s}) \in \mathbb{Q}/2\mathbb{Z}$ 

$$\mu(Y;\mathfrak{s})$$
:  $=\frac{\sigma(W)}{8} \mod 2$ ,

where W is a compact 4-manifold bounded by Y that admits a spin structure extending  $\mathfrak{s}$ .

Note that if Y is a homology- $S^1 \times S^2$ , then Y admits two spin structures, say  $\mathfrak{s}_0$  and  $\mathfrak{s}_1$ .

#### Proposition

Let Y be a homology sphere and  $K \subset Y$  a knot. Then

$$\mu(Y_0(K),\mathfrak{s}_0)=\mu(Y)$$

and

$$\mu(Y_0(K), \mathfrak{s}_1) = \mu(Y) + Arf(K).$$

# Rohlin invariants of $N_k$

#### Corollary

If both  $\mu(Y, \mathfrak{s}_0)$  and  $\mu(Y, \mathfrak{s}_1)$  are nonzero, then Y cannot be obtained by 0 surgery along a knot in  $S^3$ .

One compute  $\mu(N_k, \mathfrak{s}_i) \equiv k \pmod{2}$  for i = 0, 1 by using plumbing diagrams  $P_k$ . Note that

$$\mu(N_k,\mathfrak{s}_i) \equiv \frac{1}{8}(\sigma(P_k) - \nu_i.\nu_i) \mod 2,$$

where  $\nu_1, \nu_2 \in H_2(P_k; \mathbb{Z}/2)$  are represented by embedded spheres or a disjoint union thereof, satisfying  $\nu_i \cdot x \equiv x \cdot x \mod 2$  for each homology class x.

$$\mu(N_k, \mathfrak{s}_i) \equiv k \mod 2 \text{ for } i = 0, 1.$$

Hence  $N_k$  is NOT a knot surgery manifold for k odd.

### Questions

#### Question

Is there a such hyperbolic example?

Since d-invariant and Rohlin invariant are homology cobordant invariants and any 3-manifold is homology cobordant to a hyperbolic 3-manifolds, we know that there is a hyperbolic 3-manifold with  $b_1=1$  and DS>1. What about  $Wt(\pi_1)$ ?

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Is there an irreducible 3-manifold Y such that  $Wt(\pi_1(Y)) \le 2$  and  $DS(Y) \ge 3$ ? More generally, is there an irreducible 3-manifold s.t.  $DS(Y) - Wt(\pi_1(Y))$  can be arbitrarily large?

Is there a non-trivial obstruction on a 3-manifold being a Dehn-surgery along *n*-components link?