

Pinched 4-manifolds

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A very naive approach to a very big problem



Conjecture (Folklore)

(M^4, g) closed,
 $\pi_1(M) = \{1\}, \sec_M > 0 \implies M^4 \cong_{\text{diffeo}} \underline{S^4 \text{ or } \mathbb{C}P^2}$.

Definition

(M^n, g) is δ -pinched if $\underline{\delta \leq \sec_M \leq 1}$.

Question

How small can we make $\delta > 0$ and prove:

(M^4, g) closed,
 $\pi_1(M) = \{1\}, \delta$ -pinched $\implies M^4 \cong_{\substack{\text{diffeo?} \\ \text{homeo?}}} \underline{S^4 \text{ or } \mathbb{C}P^2}$.

Pinching theorems

Let (M^4, g) be closed, $\pi_1(M) = \{1\}$, and δ -pinched.

Theorem (Berger 1960, Klingenberg 1961)

$$\delta > \frac{1}{4} \implies \underline{M \cong_{\text{homeo}} S^4}$$

Theorem (Brendle–Schoen, 2009)

$$\delta > \frac{1}{4} \implies \underline{M \cong_{\text{diffeo}} S^4}$$

Theorem (Berger 1983; Petersen–Tao, 2009)

$$\exists \varepsilon > 0, \quad \delta > \frac{1}{4} - \varepsilon \implies \underline{M \cong_{\text{diffeo}} S^4 \text{ or } \mathbb{C}P^2}$$

Theorem (Ville, 1989)

$$\delta \geq \frac{4}{19} \cong 0.2105 \implies \underline{M \cong_{\text{homeo}} S^4 \text{ or } \mathbb{C}P^2}.$$

Theorem (Seaman, 1989)

$$\delta \geq \frac{1}{3\sqrt{1+(2^{5/4}/5^{1/2})+1}} \cong 0.1883 \implies \underline{M \cong_{\text{homeo}} S^4 \text{ or } \mathbb{C}P^2}.$$



Theorem A (B., Kummer, Mendes, 2020)

Let (M^4, g) be closed, $\pi_1(M) = \{1\}$, and δ -pinched, with

$$\delta \geq \frac{1}{1 + 3\sqrt{3}} \cong 0.16139$$

Then $M \cong_{\text{homeo}} S^4$ or CP^2 .

MATHEMATICIANS ARE WEIRD

YOU KNOW
THAT THING THAT
WAS 2.3728642?



YES.?



I GOT IT
DOWN TO
2.3728639.



Thunderous applause



Actually, there's a bit more to it

Throughout proofs: **sharp pointwise algebraic bounds**, only possible slack is **global**. Fits in larger context:

- ▶ Convex algebraic geometry of curvature operators
Spectrahedral shadows, Lasserre relaxations, . . .
- ▶ Long-term projects using optimization in geometry
Semidefinite programming
- ▶ Other applications on the horizon
Quadratic curvature functionals, Ricci solitons, . . .

And also:

Theorem B (B., Kummer, Mendes, 2020)

Given $\delta > 0$, if (M^4, g) , $\pi_1(M) = \{1\}$, is δ -pinched, then:

$$\chi(M) \leq \frac{8}{9} \left(\frac{1}{\delta} - 1 \right)^2 \quad \text{and} \quad |\sigma(M)| \leq \frac{8}{27} \left(\frac{1}{\delta} - 1 \right)^2 .$$

cf. Berger, 1962: $\chi(M) \leq \frac{8}{9} \left(\frac{1}{\delta} - 1 \right)^2 + \frac{11}{27\delta^2} + \frac{16}{27} \left(\frac{2}{\delta} - 1 \right)$.

Corollary

Explicit (finite) list of homeomorphism types for each $\delta > 0$:

$$\begin{array}{l} (M^4, g), \pi_1(M) = \{1\}, \\ \delta\text{-pinched} \end{array} \implies M^4 \cong_{\text{homeo}} \begin{cases} \#^r \mathbb{C}P^2 \#^s \overline{\mathbb{C}P^2}, \\ \#^k S^2 \times S^2, \end{cases}$$

where $r, s, k \in \mathbb{N}_0$ satisfy

$$\begin{cases} r + s + 2 \leq \min \left\{ \frac{8}{9} \left(\frac{1}{\delta} - 1 \right)^2, 10^{1440} \right\} \\ |r - s| \leq \frac{8}{27} \left(\frac{1}{\delta} - 1 \right)^2 \\ 2k + 2 \leq \min \left\{ \frac{8}{9} \left(\frac{1}{\delta} - 1 \right)^2, 10^{1440} \right\} \end{cases}$$

Recall that, conjecturally,

$$(r, s) \in \left\{ \underline{(0, 0)}, (0, 1), (1, 0) \right\} \text{ and } k = \underline{0}.$$

Topology of (smooth) 4-manifolds

$$b_1(M) = b_3(M) = 0$$

M^4 closed, $\pi_1(M) = \{1\} \implies$ All information in $H_2(M)$
“intersection form”

Hodge Theory:

$$b_2(M) = b_+(M) + b_-(M)$$

$$b_+(M) = \dim\{\alpha \in \Omega^2(M) : \Delta\alpha = 0, *\alpha = \alpha\}$$

$$b_-(M) = \dim\{\alpha \in \Omega^2(M) : \Delta\alpha = 0, *\alpha = -\alpha\}$$

$$\chi(M) = \underline{2 + b_+(M) + b_-(M)}, \quad \sigma(M) = \underline{b_+(M) - b_-(M)}$$

Topological building blocks



$\mathbb{C}P^2$

$b_+ = 1$

$b_- = 0$



$\overline{\mathbb{C}P^2}$

$b_+ = 0$

$b_- = 1$



$S^2 \times S^2$

$b_+ = 1$

$b_- = 1$



M_{E_8}

$b_+ = 8$

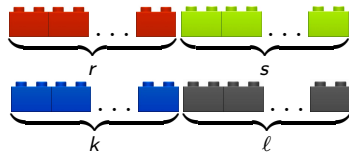
$b_- = 0$

(not smooth!)

Theorem (Freedman 1982; Donaldson 1983)

If M^4 is closed, smooth, $\pi_1(M) = \{1\}$, then

$$M^4 \cong_{\text{homeo}} \left\{ \begin{array}{l} \frac{\#^r \mathbb{C}P^2 \#^s \overline{\mathbb{C}P^2}}{\#^k (S^2 \times S^2) \#^\ell M_{E_8}} \end{array} \right.$$



Corollary (Lichnerowicz, Atiyah-Singer, Hirzebruch)

If (M^4, g) is closed, $\pi_1(M) = \{1\}$, and scal > 0 then

$$M^4 \cong_{\text{homeo}} \begin{cases} \#^r \mathbb{C}P^2 \#^s \overline{\mathbb{C}P^2} \\ \#^k S^2 \times S^2 \end{cases}$$


Conversely...

Theorem (Gromov-Lawson 1980; Schoen-Yau 1979)

Any connected sum of $\mathbb{C}P^2$'s, $\overline{\mathbb{C}P^2}$'s, $S^2 \times S^2$'s has scal > 0 .


Theorem (Sha-Yang 1993; Perelman 1997)

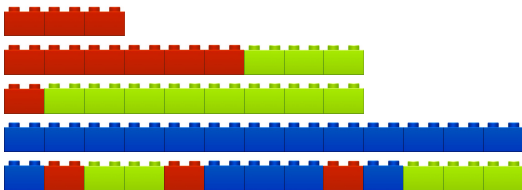
Any connected sum of $\mathbb{C}P^2$'s, $\overline{\mathbb{C}P^2}$'s, $S^2 \times S^2$'s has Ric > 0 .

What about  ?

$$\mathbb{C}P^2 \# (S^2 \times S^2) \cong_{\text{diffeo}} \frac{\#^2 \mathbb{C}P^2 \# \overline{\mathbb{C}P^2}}{\quad}$$

$$\text{red blocks} \text{ and } \text{blue blocks} \cong_{\text{diffeo}} \text{red blocks} \text{ and } \text{green blocks}$$

Similarly for , since $\overline{S^2 \times S^2} \cong_{\text{diffeo}} S^2 \times S^2$.



All have Ric > 0!

But recall that, conjecturally, very few have sec > 0...

$$S^4 \quad \mathbb{C}P^2 \quad \overline{\mathbb{C}P^2}$$



Curvature operator

Eigenspaces of Hodge star *

$$\wedge^2 TM = \wedge_+^2 TM \oplus \wedge_-^2 TM$$

Curvature operator canonical form, using $O(4) \curvearrowright \wedge^2 TM$

$$R: \wedge^2 TM \longrightarrow \wedge^2 TM$$

$$R = \begin{pmatrix} u\text{Id} + W_+ & C \\ C^t & u\text{Id} + W_- \end{pmatrix} \in \text{Sym}_b^2(\wedge^2 TM)$$

$$u = \frac{1}{12} \text{scal}$$

$$W_{\pm} = \text{diag}(w_1^{\pm}, w_2^{\pm}, w_3^{\pm}) \quad \underline{\text{Weyl tensor}}$$

$$C = \overset{\circ}{\text{Ric}} \quad \underline{\text{traceless Ricci}}$$

$$R \quad \underline{\text{diagonal}} \quad \iff C = \underline{0} \quad \iff \underline{M \text{ is Einstein}}$$

Chern–Gauss–Bonnet, Hirzebruch

Integral formulas for topological invariants:

$$\chi(M) = \frac{1}{\pi^2} \int_M \underline{\chi}(R) \quad \sigma(M) = \frac{1}{\pi^2} \int_M \underline{\sigma}(R)$$

Integrands are indefinite quadratic forms on $R \in \text{Sym}_b^2(\wedge^2 \mathbb{R}^4)$, and $\text{SO}(4)$ -invariant:

$$\underline{\chi}, \underline{\sigma}: \text{Sym}_b^2(\wedge^2 \mathbb{R}^4) \longrightarrow \mathbb{R}$$

$$\underline{\chi}(R) = \frac{1}{8} (6u^2 + |W_+|^2 + |W_-|^2 - 2|C|^2)$$

$$\underline{\sigma}(R) = \frac{1}{12} (|W_+|^2 - |W_-|^2)$$

Blackbox optimization lemmas (more on this later)

Definition

$$\Omega_\delta := \underline{\{R \in \text{Sym}_b^2(\wedge^2 \mathbb{R}^4) : \delta \leq \text{sec}_R \leq 1\}}$$

Lemma A

If $\delta > \frac{1}{1+3\sqrt{3}}$, then $\min_{R \in \Omega_\delta} \underline{\chi}(R) - 2\underline{\sigma}(R) > 0$.

Lemma B

For all $\delta > 0$, and $t \in [-1, 1]$,

$$\max_{R \in \Omega_\delta} |W_+|^2 + t |W_-|^2 = \frac{8}{3}(1 - \delta)^2.$$

In particular,

$$(t = +1) \max_{R \in \Omega_\delta} |W|^2 = \frac{8}{3}(1 - \delta)^2,$$

$$(t = -1) \max_{R \in \Omega_\delta} \underline{\sigma}(R) = \frac{2}{9}(1 - \delta)^2.$$



Proof of Theorem A

Let (M^4, g) be closed, $\pi_1(M) = \{1\}$, and δ -pinched, with

$$\delta \geq \frac{1}{1 + 3\sqrt{3}} \cong 0.16139$$



Up to reversing orientation, assume $\sigma(M) \geq 0$.

Theorem (Diógenes–Ribeiro, 2019)

M^4 is definite, i.e., $b_-(M) = 0$.

Thus: $M^4 \cong_{\text{homeo}} \#^r \mathbb{C}P^2$, $r = b_+(M) \geq 0$, $b_-(M) = 0$.



Lemma A  $\implies \chi(M) - 2\sigma(M) > 0$
 $\implies \underline{2 + b_+(M) - 2b_+(M) > 0}$
 $\implies \underline{b_+(M) \leq 1}$ 



Proof of Theorem B (Part 1)


Let (M^4, g) be closed, $\pi_1(M) = \{1\}$, and δ -pinched, $\delta > 0$.

Theorem (Chang–Gurksy–Yang, 2003)

If $\int_M |W|^2 < 4\pi^2 \chi(M)$, then $M \cong_{\text{diffeo}} S^4$.

Suppose $M \not\cong_{\text{homeo}} S^4$. Then:

$$\chi(M) \leq \frac{1}{4\pi^2} \int_M |W|^2$$

Lemma B 

$$\leq \frac{1}{4\pi^2} \frac{8}{3} (1 - \delta)^2 \text{Vol}(M)$$

{ Bishop–Gromov
Diameter Sphere Theorem

$$\leq \frac{1}{4\pi^2} \frac{8}{3} (1 - \delta)^2 \text{Vol}\left(S_+^4\left(\frac{1}{\sqrt{\delta}}\right)\right)$$


$$\text{Vol}\left(S_+^4\left(\frac{1}{\sqrt{\delta}}\right)\right) = \frac{4\pi^2}{3\delta^2}$$

$$= \frac{8}{9} \left(\frac{1}{\delta} - 1\right)^2.$$

Proof of Theorem B (Part 2)

Let (M^4, g) be closed, $\pi_1(M) = \{1\}$, $M \not\cong_{\text{homeo}} S^4$, δ -pinched.

$$\sigma(M) = \frac{1}{\pi^2} \int_M \underline{\sigma}(R)$$

Lemma B 

$$\leq \frac{1}{\pi^2} \frac{2}{9} (1 - \delta)^2 \text{Vol}(M)$$

{ Bishop–Gromov
Diameter Sphere Theorem

$$\leq \frac{1}{\pi^2} \frac{2}{9} (1 - \delta)^2 \text{Vol}\left(S_+^4\left(\frac{1}{\sqrt{\delta}}\right)\right)$$

$$\text{Vol}\left(S_+^4\left(\frac{1}{\sqrt{\delta}}\right)\right) = \frac{4\pi^2}{3\delta^2}$$

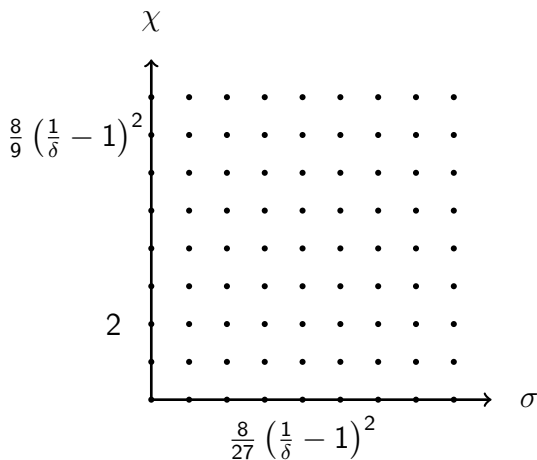
$$= \frac{8}{27} \left(\frac{1}{\delta} - 1\right)^2.$$



Remark: Nothing else to squeeze from $a\underline{\chi} + b\underline{\sigma}$.

Lemma B: $\forall t \in [-1, 1], \max_{R \in \Omega_\delta} |W_+|^2 + t |W_-|^2 = \frac{8}{3}(1 - \delta)^2$

$$\implies \forall s \geq 0, \chi(M) \leq \frac{8}{27} \left(\frac{1}{\delta} - 1\right)^2 (s + 3) - s \sigma(M)$$



Inside the blackbox



- ▶ $q: \text{Sym}_b^2(\wedge^2 \mathbb{R}^4) \rightarrow \mathbb{R}$ quadratic form

$$q(R) = R^t \cdot A_q \cdot R + b_q \cdot R + c_q$$

- ▶ $\Omega_\delta \subset \text{Sym}_b^2(\wedge^2 \mathbb{R}^4)$ is a compact *spectrahedral shadow* (Thorpe's trick / Finsler's Lemma)

$$R \in \Omega_\delta \iff \exists \alpha, \beta \in \mathbb{R}, \underbrace{\begin{array}{l} R - \delta \text{Id} + \alpha * \succeq 0 \\ \text{Id} - R + \beta * \succeq 0 \end{array}}$$

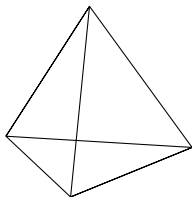
- ▶ If A_q is *indefinite*, “brute force” semidefinite programming on Ω_δ does not work, nor do other *convex* methods

$$\min_{R \in \Omega_\delta} q(R) = ? \qquad \max_{R \in \Omega_\delta} q(R) = ?$$

The Einstein simplex

Proposition

The set of δ -pinched Einstein curvature operators $E_\delta := \text{Diag} \cap \Omega_\delta$ is a 5-simplex, and $\text{proj}(\Omega_\delta) = E_\delta$, where $\text{proj}: \text{Sym}_b^2(\wedge^2 \mathbb{R}^4) \rightarrow \text{Diag}$.



Proposition

The set of modified δ -pinched Einstein operators $\tilde{E}_\delta := \{(R, \alpha) \in E_\delta \times \mathbb{R} : R - \delta \text{Id} + \alpha * \succeq 0\}$ is a 6-simplex.

Note: All vertices are explicit *affine functions* of δ .

Quadratic optimization on simplices

Lemma

$\Delta^n = \text{conv}(V) \subset \mathbb{R}^n$ simplex, $q: \mathbb{R}^n \rightarrow \mathbb{R}$ quadratic form, $A_q = \text{Hess } q$

$$A_q \text{ indefinite } \implies \max_{\Delta^n} q = \max_{\partial \Delta^n} q$$

$$A_q \text{ positive-semidefinite } \implies \max_{\Delta^n} q = \max_V q$$

$$A_q \text{ negative-definite } \implies \text{Use Calculus to find } \max_{\mathbb{R}^n} q$$

Proof of Lemma B.

For all $\delta > 0$, and $t \in [-1, 1]$, since $\text{proj}(\Omega_\delta) = E_\delta$,

$$\begin{aligned} \max_{R \in \Omega_\delta} |W_+|^2 + t |W_-|^2 &\stackrel{\text{Prop}}{=} \max_{R \in E_\delta} \underbrace{|W_+|^2 + t |W_-|^2}_{q_t(R)} \\ &\stackrel{\text{Lemma}}{=} \frac{8}{3}(1 - \delta)^2. \end{aligned}$$

Need to inspect faces of dimension $\leq \text{ind}(A_{q_t}) = 2$ if $t < 0$.



Integrand in Lemma A depends on $|C|^2$...

Lemma

Given $\lambda_i \geq 0$, $\mu_i \geq 0$,

$$\begin{pmatrix} \text{diag}(\lambda_i) & C \\ C^t & \text{diag}(\mu_i) \end{pmatrix} \succeq 0 \implies |C|^2 \leq \sum_{i=1}^3 \lambda_i \mu_i.$$

Proof.

- ▶ Schur complements
- ▶ $O(3) \subset B_1^{\text{spec}} \subset \text{Mat}_{3 \times 3}(\mathbb{R})$ are its extreme points
- ▶ Birkhoff–von Neumann Theorem □

Corollary

If $R \in \Omega_\delta$ is such that $R - \delta \text{Id} + \alpha * \succeq 0$, then

$$\begin{aligned} |C|^2 &\leq \sum_{i=1}^3 (u - \delta + w_i^+ + \alpha)(u - \delta + w_i^- - \alpha) \\ &= 3(u - \delta)^2 - 3\alpha^2 + \langle W_+, W_- \rangle. \end{aligned}$$

Proof of Lemma A

- ▶ Let $\delta > \frac{1}{1+3\sqrt{3}}$, $R \in \Omega_\delta$, and $\alpha \in \mathbb{R}$ s.t. $R - \delta \text{Id} + \alpha * \succeq 0$.
- ▶ Recall that $\text{proj}(\Omega_\delta) = E_\delta$, hence $(\text{proj}(R), \alpha) \in \tilde{E}_\delta$.
- ▶ Use Corollary to eliminate $|C|^2$:

$$\begin{aligned} 8(\underline{\chi}(R) - 2\underline{\sigma}(R)) &= 6u^2 - \frac{1}{3}|W_+|^2 + \frac{7}{3}|W_-|^2 - 2|C|^2 \\ &\geq -\frac{1}{3}|W_+|^2 + \frac{7}{3}|W_-|^2 - 2\langle W_+, W_- \rangle \\ &\quad \underbrace{+ 6\alpha^2 + 12u\delta - 6\delta^2}_{q(\text{proj}(R), \alpha)} \end{aligned}$$

$q: \tilde{E}_\delta \rightarrow \mathbb{R}$ indefinite quadratic form, $\text{ind}(A_q) = 3$.

- ▶ Optimize q on the 6-simplex \tilde{E}_δ as before, obtaining

$$8 \min_{\Omega_\delta} \underline{\chi} - 2 \underline{\sigma} \geq \min_{\tilde{E}_\delta} q > 0.$$



Bonus: Hopf Conjecture

M compact, even-dimensional, $\sec_M > 0 \implies \underline{\chi(M)} > 0$

Algebraic version: $\sec_R > 0 \implies \underline{\chi(R)} > 0$

- ▶ True if $n = 4$ (Milnor / Chern, 1955)
- ▶ False if $n \geq 6$ (Geroch, 1976)

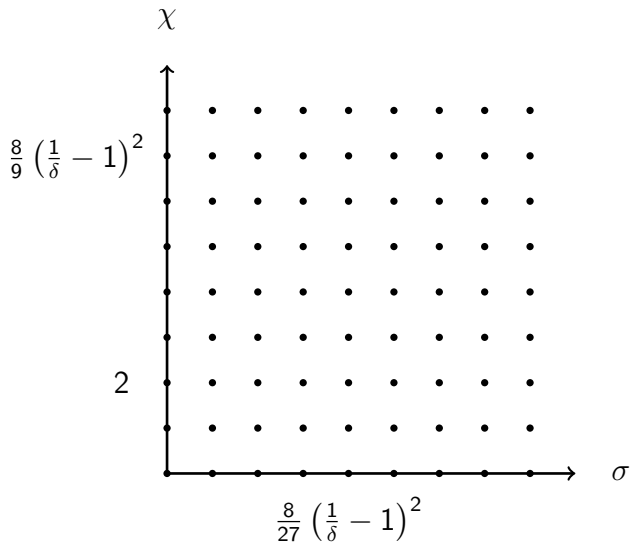
Proof ($n = 4$).

If $\sec_R > 0$, then $R + \alpha * \succ 0$ for some $\alpha \in \mathbb{R}$. Thus:

$$\begin{aligned} 8\underline{\chi(R)} &= 6u^2 + |W_+|^2 + |W_-|^2 - 2|C|^2 \\ \text{(Corollary)} \quad &> 6\alpha^2 + |W_+|^2 + |W_-|^2 - 2\langle W_+, W_- \rangle \\ &= 6\alpha^2 + |W_+ - W_-|^2 \\ &\geq 0. \end{aligned}$$



Thank you for your attention!



Vertices of Einstein simplices E_δ and \tilde{E}_δ

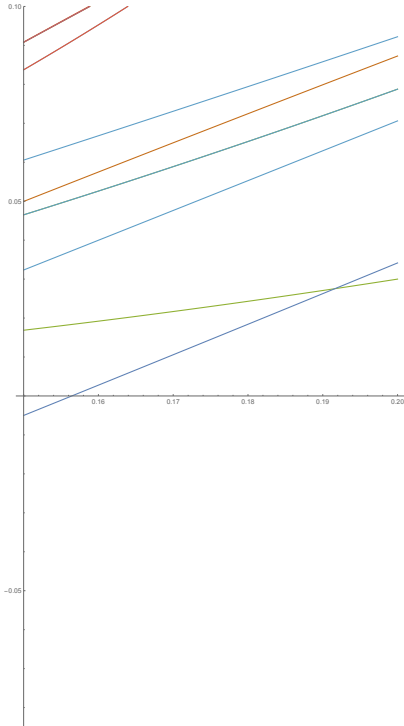
The Einstein simplex $E_\delta \subset \mathbb{R}^5$ is the convex hull of the rows

w_1^+	w_2^+	w_3^+	w_1^-	w_2^-	w_3^-	u
$\frac{2}{3}\delta - \frac{2}{3}$	$\frac{2}{3}\delta - \frac{2}{3}$	$\frac{4}{3} - \frac{4}{3}\delta$	0	0	0	$\frac{2}{3}\delta + \frac{1}{3}$
$\frac{4}{3}\delta - \frac{4}{3}$	$-\frac{2}{3}\delta + \frac{2}{3}$	$\frac{2}{3} - \frac{2}{3}\delta$	0	0	0	$\frac{1}{3}\delta + \frac{2}{3}$
0	0	0	$\frac{4}{3}\delta - \frac{4}{3}$	$-\frac{2}{3}\delta + \frac{2}{3}$	$-\frac{2}{3}\delta + \frac{2}{3}$	$\frac{1}{3}\delta + \frac{2}{3}$
0	0	0	$\frac{2}{3}\delta - \frac{2}{3}$	$\frac{2}{3}\delta - \frac{2}{3}$	$-\frac{4}{3}\delta + \frac{4}{3}$	$\frac{2}{3}\delta + \frac{1}{3}$
0	0	0	0	0	0	δ
0	0	0	0	0	0	1

The simplex $\tilde{E}_\delta \subset \mathbb{R}^6$ is the convex hull of the rows of

w_1^+	w_2^+	w_3^+	w_1^-	w_2^-	w_3^-	u	α
$\frac{4}{3}\delta - \frac{4}{3}$	$-\frac{2}{3}\delta + \frac{2}{3}$	$\frac{2}{3} - \frac{2}{3}\delta$	0	0	0	$\frac{1}{3}\delta + \frac{2}{3}$	$-\frac{2}{3}\delta + \frac{2}{3}$
$\frac{2}{3}\delta - \frac{2}{3}$	$\frac{2}{3}\delta - \frac{2}{3}$	$\frac{4}{3} - \frac{4}{3}\delta$	0	0	0	$\frac{2}{3}\delta + \frac{1}{3}$	$-\frac{1}{3}\delta + \frac{1}{3}$
0	0	0	$\frac{4}{3}\delta - \frac{4}{3}$	$-\frac{2}{3}\delta + \frac{2}{3}$	$-\frac{2}{3}\delta + \frac{2}{3}$	$\frac{1}{3}\delta + \frac{2}{3}$	$\frac{2}{3}\delta - \frac{2}{3}$
0	0	0	$\frac{2}{3}\delta - \frac{2}{3}$	$\frac{2}{3}\delta - \frac{2}{3}$	$-\frac{4}{3}\delta + \frac{4}{3}$	$\frac{2}{3}\delta + \frac{1}{3}$	$\frac{1}{3}\delta - \frac{1}{3}$
0	0	0	0	0	0	δ	0
0	0	0	0	0	0	1	$\delta - 1$
0	0	0	0	0	0	1	$-\delta + 1$

Recall only need columns w_1^\pm, w_2^\pm, u , since $w_3^\pm = -w_1^\pm - w_2^\pm$



Zoom near $\delta \cong 0.16139$

Change of sign at:

$$\delta = \frac{1}{71} \left(9\sqrt{545} - 199 \right) \\ \cong 0.1564$$