

K3 surfaces

lecture 6: Teichmüller spaces and the local Torelli theorem

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September 18, 2024, 17:00

Exponential exact sequence

The exponential exact sequence

$$0 \longrightarrow \mathbb{Z}_M \longrightarrow \mathcal{O}_M \longrightarrow \mathcal{O}_M^* \longrightarrow 0,$$

gives a long exact sequence

$$H^1(\mathcal{O}_M) \longrightarrow H^1(\mathcal{O}_M^*) \longrightarrow H^2(M, \mathbb{Z}) \xrightarrow{\alpha} H^2(\mathcal{O}_M).$$

The group $H^2(\mathcal{O}_M)$ is identified with $H^{0,2}(M)$, hence the kernel of α is $H^2(M, \mathbb{Z}) \cap H^{1,1}(M)$.

This gives

PROPOSITION: The set of first Chern classes of holomorphic line bundles on a Kähler manifold is $H^{1,1}(M) \cap H^2(M, \mathbb{Z})$.

K3 surfaces are holomorphically symplectic

DEFINITION: A complex surface is a compact, complex manifold of complex dimension 2.

DEFINITION: A K3 surface is a Kähler complex surface M with $b_1 = 0$ and $c_1(M, \mathbb{Z}) = 0$.

REMARK: All surfaces with b_1 even are Kähler (Kodaira, Buchdahl-Lamari).

REMARK: Since $b_1(M) = 0$, for a K3 we have $H^1(\mathcal{O}_M) = 0$ (follows from Hodge theory). The canonical bundle of a K3 surface is trivial. This follows from the exponential exact sequence $0 = H^1(\mathcal{O}_M) \longrightarrow \text{Pic}^1(M) \xrightarrow{c_1} H^2(M, \mathbb{Z})$

COROLLARY: A K3 surface is holomorphically symplectic.

Hodge diamond of a K3 surface

REMARK: By Serre's duality (and from the triviality of K_M) we have $H^2(\mathcal{O}_M) = H^0(K_M)^* = \mathbb{C}$. Since $H^1(\mathcal{O}_M) = 0$, this gives $\chi(\mathcal{O}_M) = 2$. Riemann-Roch-Hirzebruch formula gives $2 = \chi(\mathcal{O}_M) = \frac{c_2(M)}{12}$, hence $c_2(M) = 0$. Since $c_2(M)$ is equal to the topological Euler characteristic of M , **this implies $b_2(M) = 22$.**

The Hodge diamond for a K3 surface:

$$\begin{array}{cccc}
 & & 1 & & \\
 & 0 & & 0 & \\
 1 & & 20 & & 1 \\
 & 0 & & 0 & \\
 & & 1 & &
 \end{array}$$

Geometric structures

DEFINITION: “Geometric structure” on a manifold M is a reduction of its structure group $GL(n, \mathbb{R})$ to a subgroup $G \subset GL(n, \mathbb{R})$. However, it is easier to define it by a collection of tensors Ψ_1, \dots, Ψ_n such that the stabilizer $\text{St}_{\langle \Psi_1, \dots, \Psi_n \rangle} \subset GL(T_x M)$ of Ψ_1, \dots, Ψ_n at each point $x \in M$ **is conjugate to the same group $G \subset GL(n, \mathbb{R})$** . Usually, in addition to this algebraic condition, people ask for some differential conditions to hold, such as the integrability for almost complex structures.

DEFINITION: Let M be a smooth manifold. An **almost complex structure** is an operator $I : TM \rightarrow TM$ which satisfies $I^2 = -\text{Id}_{TM}$.

The eigenvalues of this operator are $\pm\sqrt{-1}$. The corresponding eigenvalue decomposition is denoted $TM \otimes \mathbb{C} = T^{0,1}M \oplus T^{1,0}(M)$.

DEFINITION: An almost complex structure is **integrable** if $[T^{0,1}M, T^{0,1}M] \subset T^{0,1}M$.

DEFINITION: Symplectic form on a manifold is a non-degenerate differential 2-form ω satisfying $d\omega = 0$.

Today I would define **the Teichmüller space** of geometric structures and describe it for some examples.

Fréchet spaces

DEFINITION: A **seminorm** on a vector space V is a function $\nu : V \rightarrow \mathbb{R}^{\geq 0}$ satisfying

1. $\nu(\lambda x) = |\lambda|\nu(x)$ for each $\lambda \in \mathbb{R}$ and all $x \in V$
2. $\nu(x + y) \leq \nu(x) + \nu(y)$.

DEFINITION: We say that **topology on a vector space V is defined by a family of seminorms $\{\nu_\alpha\}$** if the base of this topology is given by the finite intersections of the sets

$$B_{\nu_\alpha, \varepsilon}(x) := \{y \in V \mid \nu_\alpha(x - y) < \varepsilon\}$$

("open balls with respect to the seminorm"). It is **complete** if each sequence $x_i \in V$ which is Cauchy with respect to each of the seminorms converges.

CLAIM: A topology on V defined by a family of seminorms $\{\nu_\alpha\}$ **is Hausdorff if and only if for each $v \in V$ there exists a seminorm $\nu \in \{\nu_\alpha\}$ such that $\nu(v) \neq 0$.** ■

Fréchet spaces and translation-invariant metrics

DEFINITION: A **Fréchet space** is a Hausdorff second countable topological vector space V with the topology which can be defined by a countable family of seminorms, complete with respect to this family of seminorms.

DEFINITION: Equivalent definition: let V be a vector space equipped with a collection of norms (or seminorms) $|\cdot|_i$, $i = 0, 1, 2, \dots$ and a topology which is given by the metric $d(x, y) = \sum_{i=0}^{\infty} 2^{-i} \min(|x - y|_i, 1)$, assumed to be non-degenerate. The space V is called **a Fréchet space** if this metric is complete.

REMARK: Completeness **is equivalent to convergence of any sequence $\{a_i\}$ which is fundamental with respect to all the (semi-)norms $|\cdot|_i$.**

REMARK: **A sequence converges in the Fréchet topology given by d \Leftrightarrow it converges in any of the (semi-)norms $|\cdot|_i$.**

EXERCISE: Let V be a vector space, equipped with a translation-invariant metric d . Assume that the open balls are convex, and V is complete and second countable with respect to d . **Prove that V is Fréchet, and all Fréchet spaces can be obtained this way.**

C^∞ -topology

DEFINITION: Let M be a Riemannian manifold, and $\nabla^i : C^\infty(M) \rightarrow \Lambda^1(M)^{\otimes i}$ the iterated connection. **Topology C^k** on the space $C_c^\infty(M)$ of functions with compact support is defined by the norm

$$|\varphi|_{C^k} := \sup_M \sum_{i=0}^k |\nabla^i \varphi|.$$

EXERCISE: Prove that the space $C_c^\infty M$ of functions with compact support is a Fréchet space with respect to C^∞ -topology.

REMARK: This topology is independent from the choice of the connection. This is an exercise.

REMARK: A tensor on a manifold is a section of the tensor bundle $TM^{\otimes i} \otimes T^*M^{\otimes j}$. The same way one defines the C^∞ -topology on the space of tensors with compact support on M .

EXERCISE: Prove that the space of tensors with compact support is a Fréchet space, with the C^∞ -topology defined as above.

C^0 -topology on the group of diffeomorphisms

DEFINITION: Let M be a compact Riemannian manifold. **The C^0 -topology** on the space of diffeomorphisms is defined by the metric $d(\tau_1, \tau_2) := \sup_{x \in M} d(\tau_1(x), \tau_2(x))$.

EXERCISE: Prove that **this topology is independent from the choice of Riemannian structure.**

EXERCISE: Prove that **the group of homeomorphisms is complete with respect to d .**

REMARK: This topology is not enough for many purposes, for example, **the map $\tau \rightarrow D_x \tau$ is not continuous in C^0 -topology**, because it depends on the derivative of the diffeomorphism.

C^∞ -topology on the group of diffeomorphisms

We define C^∞ -topology on diffeomorphisms; it is **strictly stronger** (has more open sets) than the C^0 -topology. We define it in such a way that the group structure on $\text{Diff}(M)$ is compatible with the C^∞ -topology. Then **it would suffice to define topology on a sufficiently small C^0 -neighbourhood of $\text{Id} \in \text{Diff}(M)$.**

DEFINITION: Choose two atlases $\{U_i\}$ and $\{V_i\}$ on M , with **the closure of each U_i compact in V_i .** Then **there exists a C^0 -neighbourhood \mathcal{U} of $\text{Id} \in \text{Diff}(M)$ such that for all $\tau \in \mathcal{U}$ we have $\tau(U_i) \subset V_i$.** We define the C^∞ -topology on \mathcal{U} and expand it to $\text{Diff}(M)$ using the group structure. For each $\tau \in \mathcal{U}$, we can interpret τ as a map from U_i to V_i , that is, as a collection of smooth functions. **The C^∞ -topology on \mathcal{U} is defined by uniform convergence of these functions with all their derivatives,** that is, by C^∞ -topology on $\prod_i C^\infty(U_i, V_i)$.

THEOREM: **The C^∞ -topology on diffeomorphisms is independent from the choices we made. The diffeomorphism group with respect to this topology is a Fréchet-Lie group.**

Proof: Left as an exercise.

Teichmüller space of geometric structures

Let \mathcal{C} be the set of all geometric structures of a given type, say, complex, or symplectic. We put C^∞ -topology (the topology of uniform convergence with all derivatives) on \mathcal{C} . Let $\text{Diff}_0(M)$ be the connected component of its diffeomorphism group $\text{Diff}(M)$ (**the group of isotopies**).

DEFINITION: The quotient $\mathcal{C}/\text{Diff}_0$ is called **Teichmüller space** of geometric structures of this type.

DEFINITION: The group $\Gamma := \text{Diff}(M)/\text{Diff}_0(M)$ is called **the mapping class group** of M . It acts on Teich by homeomorphisms.

DEFINITION: The orbit space $\mathcal{C}/\text{Diff} = \text{Teich}/\Gamma$ is called **the moduli space** of geometric structure of this type.

Today I will describe Teich in some interesting cases.

Teichmüller space for symplectic structures

DEFINITION: Let $\Gamma(\Lambda^2 M)$ be the space of all 2-forms on a manifold M , and $\text{Symp} \subset \Gamma(\Lambda^2 M)$ the space of all symplectic 2-forms. We equip $\Gamma(\Lambda^2 M)$ with C^∞ -topology of uniform convergence on compacts with all derivatives. Then $\Gamma(\Lambda^2 M)$ is a Frechet vector space, and Symp a Frechet manifold.

DEFINITION: Consider the group of diffeomorphisms, denoted Diff or $\text{Diff}(M)$, as a Frechet Lie group, and denote its connected component (“group of isotopies”) by Diff_0 . The quotient group $\Gamma := \text{Diff} / \text{Diff}_0$ is called **the mapping class group** of M .

DEFINITION: **Teichmüller space of symplectic structures on M** is defined as a quotient $\text{Teich}_s := \text{Symp} / \text{Diff}_0$. The quotient $\text{Teich}_s / \Gamma = \text{Symp} / \text{Diff}$, is called **the moduli space of symplectic structures**.

REMARK: In many cases Γ acts on Teich_s with dense orbits, hence **the moduli space is not always well defined**.

DEFINITION: Two symplectic structures are called **isotopic** if they lie in the same orbit of Diff_0 .

Moser's theorem

DEFINITION: Define **the period map** $\text{Per} : \text{Teich}_S \longrightarrow H^2(M, \mathbb{R})$ mapping a symplectic structure to its cohomology class.

THEOREM: (Moser, 1965)

The **Teichmüller space** Teich_S **is a manifold** (possibly, non-Hausdorff), and the **period map** $\text{Per} : \text{Teich}_S \longrightarrow H^2(M, \mathbb{R})$ **is locally a diffeomorphism.**

The proof is based on another theorem of Moser.

Theorem 1: (Moser)

Let $\omega_t, t \in S$ be a smooth family of symplectic structures, parametrized by a connected manifold S . Assume that the cohomology class $[\omega_t] \in H^2(M)$ is constant in t . **Then all ω_t are isotopic.**

Proof of Moser theorem: The period map $P : \text{Symp} \longrightarrow H^2(M, \mathbb{R})$ is a smooth submersion. By Theorem 1, the connected components of the fibers of P are orbits of $\text{Diff}_0(M)$. Therefore, Per is locally a diffeomorphism. ■

Symplectic structures on a compact torus

DEFINITION: A symplectic structure ω on a torus is called **standard** if there exists a flat torsion-free connection preserving ω .

REMARK: Moser's theorem immediately implies that **the set Teich_{st} of standard symplectic structures is open in the Teichmüller space**. Indeed, the period map from Teich_{st} to $H^2(M)$ is also locally a diffeomorphism.

REMARK: **It is not known if any non-standard symplectic structures exist** (even in dimension $=4$).

THEOREM: Let $\Lambda_{nd}^2(H_1(T)) \subset H^2(T)$ be the space of symplectic forms on $H_1(T)$, where T is an even-dimensional torus. Consider the period map $\text{Per} : \text{Teich}_{st} \rightarrow \Lambda_{nd}^2(H_1(T)) \subset H^2(T)$, where Teich_{st} is the Teichmüller space of standard symplectic structures on T . **Then Per is a diffeomorphism on each connected component of Teich_{st} .**

Proof: Left as an exercise.

The kernel of a differential form

DEFINITION: Let Ω be a differential form on M . The **kernel**, or **the null-space** $\ker(\Omega) \subset TM$ of Ω is the space of all vector fields $X \in TM$ such that the contraction $i_X(\Omega)$ vanishes.

Proposition 1: Let Ω be a closed form on a manifold, and $B \subset TM$ its null-space. **Then** $[B, B] \subset B$.

Proof. Step 1: Let $X, X_1 \in \ker(\Omega)$, and X_2, \dots, X_p any vector fields. Cartan's formula implies that $\text{Lie}_X(\Omega) = d(i_X(\Omega)) + i_X(d\Omega) = 0$, hence $\text{Lie}_X(\Omega) = 0$.

Step 2: $\text{Lie}_X(\Omega)(X_1, \dots, X_p) = \text{Lie}_X(\Omega(X_1, \dots, X_p)) - \sum_{i=1}^p \Omega(X_1, \dots, [X, X_i], \dots, X_p)$. All terms of this sum, except $\Omega([X, X_1], X_2, \dots, X_p)$, vanish, because $X_1 \in \ker(\Omega)$. Since $\text{Lie}_X(\Omega) = 0$, we have $\Omega([X, X_1], X_2, \dots, X_p) = 0$ for all X_2, \dots, X_p . Therefore, $[X, X_1] \in \ker(\Omega)$. ■

Holomorphic symplectic form

DEFINITION: Holomorphic symplectic form on an almost complex manifold (M, I) is a non-degenerate closed differential 2-form $\Omega \in \Lambda^2(M, \mathbb{C})$ satisfying $d\Omega = 0$ and $\Omega(Ix, y) = \sqrt{-1} \Omega(x, y)$.

REMARK: Consider the Hodge decomposition $T_{\mathbb{C}}M = T^{1,0}M \oplus T^{0,1}M$ (decomposition according to eigenvalues of I). Since $\Omega(IX, Y) = \sqrt{-1} \Omega(X, Y)$ and $I(Z) = -\sqrt{-1} Z$ for any $Z \in T^{0,1}(M)$, we have $\ker(\Omega) \supset T^{0,1}(M)$. Since $\ker \Omega \cap T_{\mathbb{R}}M = 0$, real dimension of its kernel is at most $\dim_{\mathbb{R}} M$, giving $\dim_{\mathbb{R}} \ker \Omega = \dim M$. **Therefore, $\ker(\Omega) = T^{0,1}M$.**

COROLLARY: Let (M, I) be an almost complex manifold admitting a holomorphic symplectic form. **Then I is integrable** (Proposition 1.)

COROLLARY: Let Ω be a holomorphically symplectic form on a complex manifold (M, I) . **Then I is determined by Ω uniquely.**

C-symplectic structures

DEFINITION: Let M be a smooth $4n$ -dimensional manifold. A closed complex-valued form Ω on M is called **C-symplectic** if $\Omega^{n+1} = 0$ and $\Omega^n \wedge \overline{\Omega}^n$ is a non-degenerate volume form.

THEOREM: Let $\Omega \in \Lambda^2(M, \mathbb{C})$ be a C-symplectic form, and $T_\Omega^{0,1}(M)$ be equal to $\ker \Omega$, where

$$\ker \Omega := \{v \in TM \otimes \mathbb{C} \mid \Omega \lrcorner v = 0\}.$$

Then $T_\Omega^{0,1}(M) \oplus \overline{T_\Omega^{0,1}(M)} = TM \otimes_{\mathbb{R}} \mathbb{C}$, hence **the sub-bundle $T_\Omega^{0,1}(M)$ defines an almost complex structure I_Ω on M** . If, in addition, Ω is closed, I_Ω is integrable, and Ω is holomorphically symplectic on (M, I_Ω) .

Proof: Rank of Ω is $2n$ because $\Omega^{n+1} = 0$ and $\Omega^n \wedge \overline{\Omega}^n$ is non-degenerate. Therefore, $\text{rk } T_\Omega^{0,1}(M) = 2n$. For any $v \in T_\Omega^{0,1}(M) \cap \overline{T_\Omega^{0,1}(M)}$, the real part $\text{Re } v$ of v belongs to $\ker \Omega$. This would imply that $\text{Re } v \in \text{Im}(\Omega^n \wedge \overline{\Omega}^n)$, which is impossible, because $\Omega^n \wedge \overline{\Omega}^n$ is non-degenerate. Then $T_\Omega^{0,1}(M) \oplus \overline{T_\Omega^{0,1}(M)} = TM \otimes_{\mathbb{R}} \mathbb{C}$, defining an almost complex structure I_Ω . Its integrability immediately follows from Proposition 1. ■

C-symplectic structures on a K3 surface

C-symplectic structures on surfaces

CLAIM: In real dimension 4, a C-symplectic structure **is determined by a pair** $\omega_1 = \operatorname{Re} \Omega, \omega_2 = \operatorname{Im} \Omega$ **of symplectic forms which satisfy** $\omega_1^2 = \omega_2^2$ **and** $\omega_1 \wedge \omega_2 = 0$.

Proof: Let Ω be a C-symplectic form, $\omega_1 = \operatorname{Re} \Omega$ and $\omega_2 = \operatorname{Im} \Omega$. Then $\Omega \wedge \Omega = \omega_1^2 + \omega_2^2 + 2\sqrt{-1} \omega_1 \wedge \omega_2 = 0$, hence $\omega_1^2 = \omega_2^2$ and $\omega_1 \wedge \omega_2 = 0$. The form $\Omega \wedge \bar{\Omega} = \omega_1^2 + \omega_2^2$ is non-degenerate, hence $\omega_1^2 = \omega_2^2$ is non-degenerate.

Conversely, if $\omega_1^2 = \omega_2^2$ and $\omega_1 \wedge \omega_2 = 0$, we have $\Omega \wedge \Omega = 0$, and $\Omega \wedge \bar{\Omega} = \omega_1^2 + \omega_2^2$ is non-degenerate if ω_i is non-degenerate. ■

REMARK: For K3 surface, the local Torelli theorem would imply that the period map $\operatorname{Per} : \operatorname{CTeich} \rightarrow H^2(M, \mathbb{C})$ takes ω_1, ω_2 to their cohomology classes which satisfy $[\omega_1]^2 = [\omega_2]^2$ and $[\omega_1] \wedge [\omega_2] = 0$.

Period map for holomorphically symplectic manifolds

DEFINITION: Let (M, I, Ω) be a holomorphically symplectic manifold, and CSymp the space of all \mathbb{C} -symplectic forms. The quotient $\text{CTeich} := \frac{\text{CSymp}}{\text{Diff}_0}$ is called **the holomorphically symplectic Teichmüller space**, and the map $\text{CTeich} \rightarrow H^2(M, \mathbb{C})$ taking (M, I, Ω) to the cohomology class $[\Omega] \in H^2(M, \mathbb{C})$ is called **the holomorphically symplectic period map**.

We want to prove that **the period map is locally an embedding**. This is immediately implied by the following version of Moser's lemma.

THEOREM: Let (M, I_t, Ω_t) , $t \in [0, 1]$ be a family of \mathbb{C} -symplectic forms on a compact manifold. Assume that the cohomology class $[\Omega_t] \in H^2(M, \mathbb{C})$ is constant, and $H^{0,1}(M, I_t) = 0$, where $H^{0,1}(M, I_t) = H^1(M, \mathcal{O}_{(M, I_t)})$ is cohomology of the sheaf of holomorphic functions. Then **there exists a smooth family of diffeomorphisms $V_t \in \text{Diff}_0(M)$, such that $V_t^* \Omega_0 = \Omega_t$** .

Proof: Later in this course.

Local Torelli theorem

REMARK: In real dimension 4, C-symplectic form is a pair ω_1, ω_2 of symplectic forms which satisfy $\omega_1^2 = \omega_2^2$ and $\omega_1 \wedge \omega_2 = 0$.

THEOREM: Let (M, I, Ω) be a complex holomorphically symplectic surface with $H^{0,1}(M) = 0$, that is, a K3 surface. Consider the period map $\text{Per} : \text{CTeich} \rightarrow H^2(M, \mathbb{C})$ taking (M, I, Ω) to the cohomology class $[\Omega] \in H^2(M, \mathbb{C})$. **Then Per is a local diffeomorphism** of CTeich to the **period space** $Q := \{v \in H^2(M, \mathbb{C}) \mid \int_M v \wedge v = 0, \int_M v \wedge \bar{v} > 0\}$.

Proof: Later in this course.

A caution: CTeich is smooth, but non-Hausdorff.

The period space of complex structures

DEFINITION: Since $H^{2,0}(M) = \mathbb{C}$, the space $\mathbb{C}\text{Teich}$ is \mathbb{C}^* -fibered over the space Teich of complex structures on K3. The corresponding period space is denoted $\mathbb{P}\text{er} := \{v \in \mathbb{P}H^2(M, \mathbb{C}) \mid \int_M v \wedge v = 0, \int_M v \wedge \bar{v} > 0\}$.

The following theorem follows from local Torelli for \mathbb{C} -symplectic structures.

PROPOSITION: (local Torelli theorem for complex structures)

Let Teich be the space of complex structures on a K3 surface, and $\mathbb{P}\text{er} : \text{Teich} \rightarrow \mathbb{P}\text{er}$ the map taking (M, I) to the line $H^{2,0}(M) \subset H^2(M, \mathbb{C})$. **Then $\mathbb{P}\text{er}$ is a local diffeomorphism.**

Proof: The group \mathbb{C}^* acts on $\mathbb{C}\text{Teich}$ and on Q , which are locally diffeomorphic, hence $\text{Teich} = \mathbb{C}\text{Teich}/\mathbb{C}^*$ is locally diffeomorphic to $\mathbb{P}\text{er} = Q/\mathbb{C}^*$.

■

The period space of complex structures is a Grassmannian

CLAIM: $\mathbb{P}_{\text{er}} = SO(b_2 - 3, 3)/SO(2) \times SO(b_2 - 3, 1)$.

Proof. First version: Indeed, the group $SO(H^2(M, \mathbb{R}), q) = SO(b_2 - 3, 3)$ acts transitively on \mathbb{P}_{er} , and $SO(2) \times SO(b_2 - 3, 1)$ is a stabilizer of a point.

Proof. Second version: Take a non-zero vector v in a line $l \in \mathbb{P}_{\text{er}}$. Since $(v, v) = 0$ and $(v, \bar{v}) > 0$, the vectors v and \bar{v} are not proportional, hence they generate a 2-dimensional plane $P \subset H^2(M, \mathbb{R})$ which is positive, because $(v, \bar{v}) > 0$, hence belongs to the positive, oriented Grassmannian

$$\text{Gr}_{++}(H^2(M, \mathbb{R})) = SO(b_2 - 3, 3)/SO(2) \times SO(b_2 - 3, 1).$$

Conversely, for any $P \subset \text{Gr}_{++}(H^2(M, \mathbb{R}))$, its complexification $P \otimes \mathbb{C}$ contains two lines l_1, l_2 which belong to the quadric $q(v, v) = 0$. These two lines are distinguished by their orientation. This implies that **the correspondence** $\mathbb{P}_{\text{er}} \rightarrow SO(b_2 - 3, 3)/SO(2) \times SO(b_2 - 3, 1)$ **taking** $\Omega \in Q$ **to** $\langle \text{Re} \omega, \text{Im} \Omega \rangle \in \text{Gr}_{++}(H^2(M, \mathbb{R}))$ **is bijective.** ■