

GRADIENT-LIKE VECTOR FIELDS

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RECALL THE DIRECTIONAL DERIVATIVE OF A FUNCTION $f: M \rightarrow \mathbb{R}$. SUPPOSE $p \in M$ AND (x_1, \dots, x_n) ARE COORDINATES AT p . IF $v = \sum v_i \frac{\partial}{\partial x_i}$ IS A TANGENT VECTOR AT p , THEN

$$v \cdot f = \sum_{j=1}^n v_j \frac{\partial f}{\partial x_j}(p)$$

IS THE DERIVATIVE OF f IN THE DIRECTION v . THIS IS A REAL NUMBER AND $v \cdot f > 0$ IF AND ONLY IF v POINTS IN A DIRECTION WHERE f IS INCREASING.

NOW IF U IS A COORDINATE NEHD AROUND p WITH COORDINATES (x_1, \dots, x_n) , A VECTOR FIELD X ON U IS GIVEN BY CHOOSING SMOOTH FUNCTIONS g_1, \dots, g_n AND SETTING

$$X = \sum_{j=1}^n g_j \frac{\partial}{\partial x_j}$$

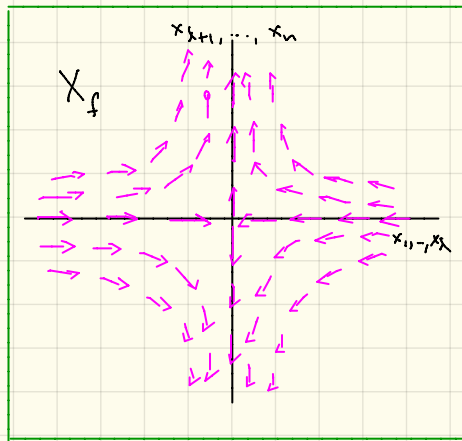
FOR EXAMPLE, IF f IS A SMOOTH FUNCTION ON U , DEFINE A VECTOR FIELD X_f BY

$$X_f = \frac{\partial f}{\partial x_1} \frac{\partial}{\partial x_1} + \dots + \frac{\partial f}{\partial x_n} \frac{\partial}{\partial x_n}$$

X_f IS CALLED THE GRADIENT VECTOR FIELD OF f .

EXAMPLE: CONSIDER $f = -x_1^2 - \dots - x_{n-1}^2 + x_n^2$

THEN $X_f = -2x_1 \frac{\partial}{\partial x_1} - \dots - 2x_{n-1} \frac{\partial}{\partial x_{n-1}} + 2x_n \frac{\partial}{\partial x_n}$



A VECTOR FIELD IS REALLY A DIFFERENTIAL OPERATOR.

NOTE THAT $X_f \cdot f = \left(\sum_{j=1}^n \frac{\partial f}{\partial x_j} \frac{\partial}{\partial x_j} \right) \cdot f$

$$= \sum_{j=1}^n \left(\frac{\partial f}{\partial x_j} \right)^2$$
$$\geq 0$$

NOTE THAT $(X_f \cdot f)(p) > 0$ UNLESS p IS A CRITICAL POINT OF f .

DEF: WE SAY THAT X IS A GRADIENT-LIKE VECTOR FIELD FOR THE MORSE FUNCTION $f: M \rightarrow \mathbb{R}$

IF

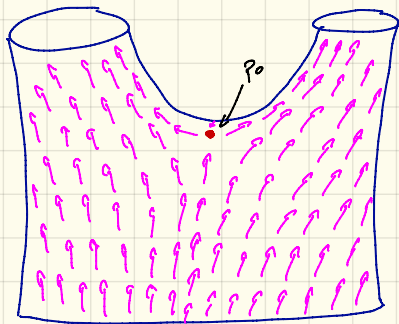
1. $X \cdot f > 0$ AWAY FROM THE CRITICAL POINTS OF f

2. IF p_0 IS A CRITICAL POINT OF INDEX λ , THEN p_0 HAS A SUFFICIENTLY SMALL NEHD U

WITH COORDINATES (x_1, \dots, x_n) SUCH THAT f HAS STANDARD FORM $f = -x_1^2 - \dots - x_\lambda^2 + x_{\lambda+1}^2 + \dots + x_n^2$

AND X CAN BE WRITTEN AS ITS GRADIENT: $X = -2x_1 \frac{\partial}{\partial x_1} - \dots - 2x_\lambda \frac{\partial}{\partial x_\lambda} + 2x_{\lambda+1} \frac{\partial}{\partial x_{\lambda+1}} + \dots + 2x_n \frac{\partial}{\partial x_n}$.

NOTE: IF WE CHOOSE A RIEMANNIAN METRIC ON M , AND DENOTE BY $\langle X, Y \rangle$ THE INNER PRODUCT OF TWO TANGENT VECTORS WRT THIS METRIC, THEN WE HAVE $\langle X, X_f \rangle = X \cdot f$ FOR ANY VECTOR FIELD X .



A GRADIENT-LIKE VECTOR FIELD

THM: LET $f: M \rightarrow \mathbb{R}$ BE A SMOOTH FUNCTION, M 14
COMPACT. THEN THERE EXISTS A GRADIENT-LIKE VECTOR
FIELD FOR f .

PROOF: (SKETCH) COVER M BY A FINITE NUMBER OF
COORDINATE NBHDS U_1, \dots, U_c . WE MAY ASSUME THAT
EACH CRITICAL POINT HAS A SMALL NBHD V CONTAINED
IN A COMPACT SET $X_j \subset U_j$ FOR EXACTLY ONE j .
TAKE X_j TO BE THE STANDARD FORM GRADIENT
OF f IN U_j . NOTE $X_j \cdot f > 0$ AWAY FROM THE CRITICAL
POINTS. USE STEP FUNCTIONS ON THE X_j TO GLUE
THE X_j TOGETHER INTO A GLOBALLY DEFINED X .

INTEGRAL CURVES SUPPOSE $c: \mathbb{R} \rightarrow M$ IS A SMOOTH CURVE IN M . NOTE THAT

$$\left\langle \frac{dc}{dt}, X_j \right\rangle = \frac{d(f \circ c)}{dt}$$

COVER ANY VECTOR FIELD X , WE SAY THAT c IS AN **INTEGRAL CURVE** FOR X IF $\frac{dc}{dt}(t) = X(c(t))$;
THAT IS, THE VELOCITY VECTOR OF $c(t)$ AT TIME t IS PRECISELY THE VECTOR $X(c(t))$. IN OTHER WORDS,
INTEGRAL CURVES ARE FLOW LINES FOR PARTICLES MOVING IN M WITH VELOCITY X . THESE INTEGRAL
CURVES EXIST FOR ALL t (LEMMA FROM P. 11).

IN PARTICULAR, CONSIDER X_f . IF p IS NOT CRITICAL FOR f , THEN INTEGRAL CURVE $c_p(t)$ ($c_p(0) = p$)
APPROACHES CRITICAL POINTS AS $t \rightarrow \infty$ AND $t \rightarrow -\infty$. THE VELOCITY VECTORS APPROACH 0, SO WE NEVER
ACTUALLY REACH THE CRITICAL POINTS.

HOMOTOPY TYPE AND CRITICAL VALUES

RECALL THAT IF $f: M \rightarrow \mathbb{R}$ IS SMOOTH, THE SUBLEVEL SET $M^a = \{x \in M \mid f(x) \leq a\}$ IS A
SUBMANIFOLD WITH BOUNDARY $f^{-1}(a)$.

THM: LET $f: M \rightarrow \mathbb{R}$ BE A SMOOTH FUNCTION. LET $a < b$ BE SUCH THAT $f^{-1}([a, b])$ IS
COMPACT AND CONTAINS NO CRITICAL POINTS OF f . THEN M^a IS DIFFEOMORPHIC TO M^b .
IN FACT, M^a IS A DEFORMATION RETRACT OF M^b SO THAT THE INCLUSION $M^a \rightarrow M^b$ IS A
HOMOTOPY EQUIVALENCE.

PROOF: THE ONE LINE PROOF IS "FLOW ALONG THE INTEGRAL CURVES OF THE GRADIENT OF f ".
MORE PRECISELY, DEFINE $\rho: M \rightarrow \mathbb{R}$ TO BE A SMOOTH FUNCTION EQUAL TO $\frac{1}{\langle X_f, X_f \rangle}$ IN
THE COMPACT SET $f^{-1}([a, b])$ AND WHICH VANISHES OUTSIDE A COMPACT NBHD OF THIS SET.

THE VECTOR FIELD X DEFINED BY $X_g = \rho(g)(X_f)_g$ GENERATES A 1-PARAMETER FAMILY φ_t OF DIFFEOMORPHISMS $\varphi_t: M \rightarrow M$. FOR FIXED $g \in M$ CONSIDER THE FUNCTION $t \mapsto f(\varphi_t(g))$. IF $\varphi_t(g)$ LIES IN $f^{-1}(a, b]$, THEN

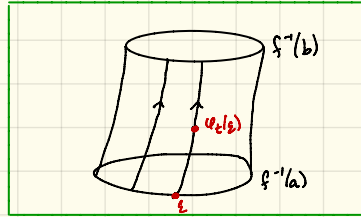
$$\frac{d f(\varphi_t(g))}{dt} = \left\langle \frac{d \varphi_t(g)}{dt}, X_f \right\rangle = \langle X, X_f \rangle = 1.$$

THUS, THE MAP $t \mapsto f(\varphi_t(g))$ IS LINEAR WITH DERIVATIVE +1 AS LONG AS $f(\varphi_t(g))$ LIES BETWEEN a AND b .

NOW CONSIDER THE DIFFEOMORPHISM $\varphi_{b-a}: M \rightarrow M$. THIS CARRIES M^a DIFFEOMORPHICALLY ONTO M^b . THIS PROVES THE FIRST STATEMENT.

DEFINE A 1-PARAMETER FAMILY $r_t: M^b \rightarrow M^b$ BY

$$r_t(z) = \begin{cases} z & \text{IF } f(z) \leq a \\ \varphi_t(a-f(z))(z) & \text{IF } a \leq f(z) \leq b. \end{cases}$$



THEN r_0 IS THE IDENTITY AND r_1 IS A RETRACTION FROM M^b TO M^a .

NOTE: WE'VE ACTUALLY PROVED MORE: $f^{-1}(a, b)$ IS DIFFEOMORPHIC TO $f^{-1}(a) \times [0, 1]$.

THE INTEGRAL CURVES $\varphi_t(z)$ START AT HEIGHT a AT TIME 0 AND PROCEED LINEARLY TO HEIGHT b AT TIME $b-a$. SINCE $[0, b-a] \approx [0, 1]$ THE RESULT FOLLOWS.

THEM: LET $f: M \rightarrow \mathbb{R}$ BE A MORSE FUNCTION WITH CRITICAL POINTS p_1, \dots, p_r . THEN THERE IS A MORSE FUNCTION $f': M \rightarrow \mathbb{R}$ WHOSE CRITICAL POINTS ARE p_1, \dots, p_r SUCH THAT $f'(p_i) \neq f'(p_j)$ IF $p_i \neq p_j$. MOREOVER, WE CAN TAKE f' AS (C^2, ϵ) -CLOSE TO f AS WE WISH.

PROOF: SUPPOSE $f(p_1) = f(p_2) = c$. WE MAY CHOOSE COORDINATES (x_1, \dots, x_n) AT p_1 , AND WRITE $f = -x_1^2 - \dots - x_n^2 + x_{n+1}^2 + \dots + x_m^2 + c$. LET X_f BE A GRADIENT VECTOR FIELD FOR f IN THIS COORDINATE SYSTEM. THEN $X_f \cdot f = \left(\frac{\partial f}{\partial x_1}\right)^2 + \dots + \left(\frac{\partial f}{\partial x_n}\right)^2 = 4(x_1^2 + \dots + x_n^2 + \dots + x_m^2)$.

FOR SMALL ϵ , CONSIDER THE DISCS D_ϵ AND $D_{2\epsilon}$ CENTERED AT p_1 . IN THE REGION $D_{2\epsilon} - \text{int}(D_\epsilon)$ WE HAVE $4\epsilon^2 \leq X_f \cdot f \leq 4(2\epsilon)^2$. DENOTE BY K THE COMPACT SET D_ϵ AND BY U THE OPEN SET $\text{int}(D_{2\epsilon})$; LET $h: U \rightarrow \mathbb{R}$ BE A STEP FUNCTION FOR THIS PAIR.

EXTEND h TO M BY SETTING $h=0$ OUTSIDE U . DEFINE $f' = f + ah$ WHERE a IS SMALL.

SINCE $f = f'$ OUTSIDE U , f AND f' HAVE THE SAME CRITICAL POINTS THERE. SINCE $h \neq 0$ IN $\text{int}(D_\epsilon)$ WE SEE THAT p_1 IS THE ONLY CRITICAL POINT OF BOTH f AND f' THERE. SO THE ONLY PLACE WHERE THEY MIGHT HAVE DIFFERENT CRITICAL POINTS IS THE REGION BETWEEN D_ϵ AND $D_{2\epsilon}$.

IN THIS REGION $\left| \frac{\partial f}{\partial x_i} - \frac{\partial f}{\partial x_i} \right| = \left| a \frac{\partial h}{\partial x_i} \right|$ ($i=1, \dots, n$). IT FOLLOWS THAT IF $|a|$ IS SMALL (ENOUGH) WE CAN MAKE $\left| \sum_{i=1}^n \left(\frac{\partial f}{\partial x_i} \right)^2 - \sum_{i=1}^n \left(\frac{\partial f}{\partial x_i} \right)^2 \right|$ ARBITRARILY SMALL. THE FUNCTION



$\sum_{i=1}^n \left(\frac{\partial f}{\partial x_i} \right)^2$ TAKES MINIMUM VALUE $4\varepsilon^2 > 0$ BETWEEN D_1 AND D_2 AND SO IF a IS SMALL ENOUGH $\sum_{i=1}^n \left(\frac{\partial f}{\partial x_i} \right)^2$ TAKES A NONZERO MINIMUM VALUE THERE. THUS f CANNOT HAVE A CRITICAL POINT IN THIS REGION + SO f AND \tilde{f} HAVE THE SAME SETS OF CRITICAL POINTS. THUS, \tilde{f} IS A MORSE FUNCTION ON M . ALSO, $\tilde{f}(p_i) = f(p_i) + a$ AND $\tilde{f}(p_n) = f(p_n)$.

REPEAT THIS ARGUMENT FOR THE REMAINING CRITICAL POINTS OF f TO YIELD THE REQUIRED FUNCTION f' . IT'S CLEAR THAT AT EACH STAGE WE CAN CHOOSE THE a AND ε SMALL ENOUGH TO ENSURE THAT f' IS (C^2, ε') -CLOSE TO f FOR ANY PRESCRIBED ε' .

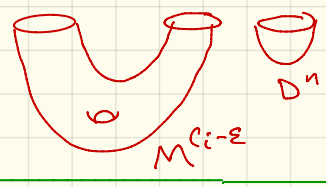
WE NOW INVESTIGATE WHAT HAPPENS WHEN WE PASS A CRITICAL POINT OF f . SUPPOSE THE CRITICAL POINTS OF f ARE p_0, \dots, p_r WITH $f(p_0) < \dots < f(p_r)$. SET $c_i = f(p_i)$. OBSERVE THAT $M^a = \emptyset$ IF $a < c_0$. ALSO, IF $c_n < a$, $M^a = M$.

THE MINIMUM c_0 LET $\varepsilon > 0$. NEAR p_0 WE MAY CHOOSE COORDINATES (x_1, \dots, x_n) SO THAT $f = c_0 + x_1^2 + \dots + x_n^2$. THE INDEX OF p_0 MUST BE 0. NOTE THAT

$$M^{c_0 + \varepsilon} = \{ (x_1, \dots, x_n) \mid x_1^2 + \dots + x_n^2 \leq \varepsilon \}$$

AND THIS IS DIFFEOMORPHIC TO THE DISC D^n . WE VISUALIZE THIS AS A "BOWL" OPENING UPWARDS. IF $n=2$, IT LOOKS EXACTLY LIKE THAT: $M^{c_0 + \varepsilon} =$  IF $n=3$, WE HAVE 3-BALL  WHICH SHOULD BE IMAGINED AS CURVING "UP" IN THE 4TH DIMENSION. IN GENERAL, IF c_i IS A LOCAL MINIMUM (p_i HAS INDEX 0) WE ADD AN n -DISC D^n CURVING UPWARD AND $M^{c_i + \varepsilon} \approx M^{c_i - \varepsilon} \cup D^n$

AN n -DISC CURVING UPWARD LIKE THIS IS CALLED A 0-HANDLE (MORE PRECISELY AN n -DIM'L 0-HANDLE) AT THE OPPOSITE END, THE CRITICAL VALUE c_r IS A MAXIMUM. IN COORDINATES NEAR p_r THE STRANDS FORM

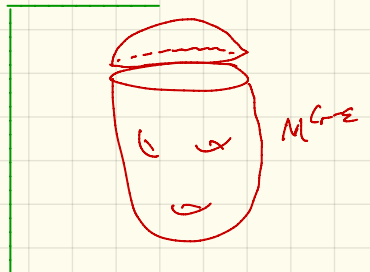


FOR f IS $f = c_r - x_1^2 - \dots - x_n^2$. THE INDEX OF p_r IS n . IF $c_r < a$, $M^a = M$. IF $\varepsilon > 0$ THEN WE CAN EXPRESS $M^{c_r - \varepsilon}$ AS $x_1^2 + \dots + x_n^2 \geq \varepsilon$. THIS CORRESPONDS TO THE COMPLEMENT OF THE n -DISC OF RADIUS $\sqrt{\varepsilon}$. AS a INCREASES FROM $c_r - \varepsilon$ AND PASSES c_r WE "CAP OFF" THE

$M^{c-\epsilon}$ WITH AN n -DISC. THAT IS, WE ATTACH AN n -DISC CURVING "DOWNWARD"

WE CALL THIS AN n -DIMENSIONAL n -HANDLE.

IN GENERAL, IF c_i IS A LOCAL MAXIMUM OF f (p_i HAS INDEX n) THEN $M^{c_i-\epsilon}$ GETS CAPPED OFF BY AN n -HANDLE.



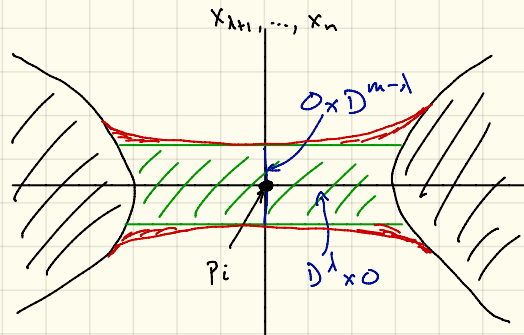
NOW SUPPOSE p_i IS A CRITICAL POINT OF INDEX λ ,

$0 < \lambda < n$. IN LOCAL COORDINATES NEAR p_i WE HAVE

$$f = c_i - x_1^2 - \dots - x_\lambda^2 + x_{\lambda+1}^2 + \dots + x_n^2.$$

LET'S EXAMINE WHAT THE MANIFOLD LOOKS LIKE NEAR p_i :

THE MANIFOLD LOOKS LIKE NEAR p_i :



THE BLACK REGION IS $M^{c_i-\epsilon}$ WHICH WE GET BY SETTING $f \leq c_i - \epsilon$

$$x_1^2 + \dots + x_\lambda^2 - x_{\lambda+1}^2 - \dots - x_n^2 \geq \epsilon$$

THE GREEN AREA CORRESPONDS TO x_1, \dots, x_λ

$$x_1^2 + \dots + x_\lambda^2 - x_{\lambda+1}^2 - \dots - x_n^2 \leq \epsilon$$

$$x_{\lambda+1}^2 + \dots + x_n^2 \leq \delta$$

WHERE $\delta < \epsilon$.

THE GREEN REGION IS AN n -DIMENSIONAL HANDLE OF INDEX λ . IT IS DIFFEOMORPHIC

TO $D^\lambda \times D^{n-\lambda}$. THE λ -DISC $D^\lambda \times \{0\} = \{(x_1, \dots, x_\lambda, 0, \dots, 0) \mid x_1^2 + \dots + x_\lambda^2 \leq \epsilon\}$ IS THE CORE OF

THE HANDLE AND $O \times D^{n-\lambda} = \{(0, \dots, 0, x_{\lambda+1}, \dots, x_n) \mid x_{\lambda+1}^2 + \dots + x_n^2 \leq \delta\}$ IS THE CO-CORE.

ATTACH THE λ -HANDLE $D^\lambda \times D^{n-\lambda}$ TO $M^{c_i-\epsilon}$ AS SHOWN ABOVE.

THE ENTIRE SHADED REGION IS $M^{c_i+\epsilon}$. TWO THINGS ARE TRUE:

- Thm:
- $M^{c_i+\epsilon}$ IS DIFFEOMORPHIC TO $M^{c_i-\epsilon} \cup D^\lambda \times D^{n-\lambda}$.
 - $M^{c_i+\epsilon}$ IS HOMOTOPY EQUIVALENT TO $M^{c_i-\epsilon} \cup D^\lambda$.

Proof: AGAIN, THE ONE-LINE PROOF IS TO FOLLOW ALONG THE GRADIENT OF f TO GET A DEFORMATION RETRACTION FROM $M^{c_i+\epsilon}$ TO $M^{c_i-\epsilon} \cup D^\lambda$. THE DETAILS ARE MORE TECHNICAL.

NOTE THAT $D^\lambda \cap M^{c_i-\epsilon}$ IS PRECISELY THE BOUNDARY ∂D^λ SO THAT D^λ IS ATTACHED TO $M^{c_i-\epsilon}$

AS REQUIRED. CONSTRUCT A SMOOTH FUNCTION $F: M \rightarrow \mathbb{R}$ AS FOLLOWS. LET $\mu: \mathbb{R} \rightarrow \mathbb{R}$ SATISFY

- $\mu(t) > \epsilon$; (2) $\mu(t) = 0, \forall t \geq \epsilon$; (3) $-1 < \mu'(t) \leq 0$ FOR ALL t . LET F COINCIDE WITH f OUTSIDE

THE COORDINATE NEIGH U AND LET $F = f - \mu(x_1^2 + \dots + x_\lambda^2 + 2x_{\lambda+1}^2 + \dots + 2x_n^2)$ INSIDE U.

FOR CONVENIENCE, SET $\eta: U \rightarrow (0, \infty)$ TO BE $\eta = x_{\lambda+1}^2 + \dots + x_n^2$; $\eta = x_{\lambda+1}^2 + \dots + x_n^2$. THEN

$$f = c_i - \eta \text{ AND SO } F(\xi) = c_i - \eta(\xi) - \mu(\eta(\xi) + 2\eta(\xi)) \text{ FOR } \xi \in U.$$

Claim: $F^{-1}(-\varepsilon, c_1 + \varepsilon] = M^{c_1 + \varepsilon}$.

Proof: OUTSIDE THE ELLIPSOID $\rho + 2\eta \leq 2\varepsilon$ THE FUNCTIONS f AND F AGREE. WITHIN THIS ELLIPSOID $F \leq f = c_1 - \rho + \eta \leq c_1 + \frac{1}{2}\rho + \eta \leq c_1 + \varepsilon$.

Claim: THE CRITICAL POINTS OF F ARE THE SAME AS THOSE OF f .

Proof: NOTE THAT $\frac{\partial F}{\partial \rho} = -1 - \mu'(\rho + 2\eta) < 0$

$$\frac{\partial F}{\partial \eta} = 1 - 2\mu'(\rho + 2\eta) \geq 1$$

SINCE $dF = \frac{\partial F}{\partial \rho} d\rho + \frac{\partial F}{\partial \eta} d\eta$ AND SINCE $d\rho$ AND $d\eta$ ARE SIMULTANEOUSLY 0 AT THE ORIGIN,

F HAS NO CRITICAL POINTS IN U OTHER THAN THE ORIGIN.

CONSIDER THE REGION $F^{-1}[c_1 - \varepsilon, c_1 + \varepsilon]$. THE FIRST CLAIM (ALONG WITH THE FACT THAT $F \leq f$)

IMPLIES $F^{-1}[c_1 - \varepsilon, c_1 + \varepsilon] \subset f^{-1}[c_1 - \varepsilon, c_1 + \varepsilon]$ (AND SO IS COMPACT). THE ONLY POSSIBLE CRITICAL

POINT OF F IN THIS REGION IS p_1 . BUT $F(p_1) = c_1 - \mu(0) < c_1 - \varepsilon$. THUS $F^{-1}[c_1 - \varepsilon, c_1 + \varepsilon]$

CONTAINS NO CRITICAL POINTS! THUS: $F^{-1}(-\varepsilon, c_1 - \varepsilon]$ IS A DEFORMATION RETRACT OF $M^{c_1 - \varepsilon}$.

DENOTE THIS REGION BY $M^{c_1 - \varepsilon} \cup H$, WHERE H IS THE CLOSURE OF $F^{-1}(-\varepsilon, c_1 - \varepsilon] - M^{c_1 - \varepsilon}$.

(THIS IS THE GREEN REGION - MORE OR LESS). THE CONG D^1 CONSISTS OF ALL POINTS

z WITH $\rho(z) \leq \varepsilon$, $\eta(z) = 0$; THIS IS CONTAINED IN H SINCE $\frac{\partial F}{\partial \rho} < 0$ IMPLIES $F(z) \leq F(p_1) < c_1 - \varepsilon$ BUT $F(z) \geq c_1 - \varepsilon$ FOR $z \in D^1$.

Claim: $M^{c_1 - \varepsilon} \cup D^1$ IS A DEFORMATION RETRACT OF $M^{c_1 - \varepsilon} \cup H$.

Proof: HERE'S A PICTURE.

THE ARROWS ILLUSTRATE THE RETRACTION, BUT LET'S BE

CAREFUL. DEFINE A FAMILY

r_t : $r_t =$ IDENTITY OUTSIDE

U . INSIDE U THERE ARE 3

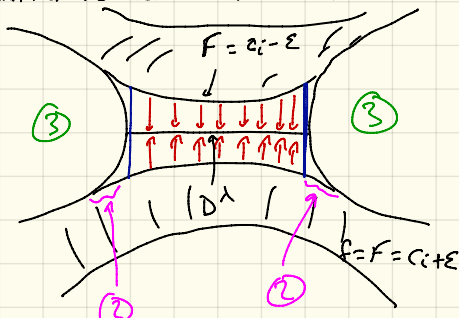
CASES.

① HERE $\rho \leq \varepsilon$; $r_t(x_1, \dots, x_n) = (x_1, \dots, x_k, t x_{k+1}, \dots, t x_n)$.

THEN $r_1 = \text{id}$ AND r_0 TAKES THE WHOLE REGION TO D^1 . THE FACT THAT r_t TAKES $F^{-1}(-\varepsilon, c_1 - \varepsilon]$ TO ITSELF FOLLOWS FROM $\frac{\partial F}{\partial \eta} > 0$.

② HERE $\varepsilon \leq \rho \leq \eta + \varepsilon$; TAKE $r_t(x_1, \dots, x_n) = (x_1, \dots, x_k, s_t x_{k+1}, \dots, s_t x_n)$

WHERE $s_t \in [0, 1]$ IS DEFINED BY $s_t = t + (1-t)((\rho - \varepsilon)/\eta)^{1/2}$. $r_1 = \text{id}$, r_0 MAPS THE REGION INTO $F^{-1}(c_1 - \varepsilon)$. NOTE THAT $s_t x_i$ ARE CONTINUOUS AS $\rho \rightarrow \varepsilon$, $\eta \rightarrow 0$.



③ Here $1 + \epsilon \leq \rho$ (ie. we are in $M^{c+\epsilon}$). Let τ_c be the identity. This

coincides with previous definition when $\rho = 1 + \epsilon$.

This completes the proof. //

Thm: If $f: M \rightarrow \mathbb{R}$ is a Morse function and if each M^a is compact, then M has the homotopy type of a CW-complex with one cell of dimension λ for each cr. pt. of index λ .

Proof: I assume the following two lemmas:

Lemma 1: Let $\rho_0, \rho_1: \mathbb{D}^{\lambda+1} \rightarrow X$ be homotopic maps. Then $\text{id}: X \rightarrow X$ extends to a homotopy equivalence $k: X \cup_{\rho_0} \mathbb{D}^{\lambda+1} \rightarrow X \cup_{\rho_1} \mathbb{D}^{\lambda+1}$.

Lemma 2: Let $\varphi: \mathbb{D}^{\lambda+1} \rightarrow X$ be a continuous map. Then any homotopy equivalence $f: X \rightarrow Y$ extends to a homotopy equivalence $F: X \cup_{\varphi} \mathbb{D}^{\lambda+1} \rightarrow Y \cup_{f \circ \varphi} \mathbb{D}^{\lambda+1}$.

Now, let c_1, c_2, \dots be the critical values of f . Since each M^a is compact this sequence has no accumulation points. If $a < c_1$, then $M^a = \emptyset$. Suppose $a \notin c_1, c_2, \dots$ and thus M^a has the homotopy type of a CW-complex. Let $c = \min \{c_i \mid c_i > a\}$. For sufficiently small ϵ we know

(a) there is a homotopy equivalence $h: M^{c-\epsilon} \rightarrow M^c$ and (b) $M^{c+\epsilon}$ has the homotopy type of $M^{c+\epsilon} \cup_{\rho} \mathbb{D}^{\lambda}$

where λ is the index of the critical point p ($f(p) = c$). We've assumed a homotopy equivalence

$h': M^a \rightarrow K$, where K is a CW-complex.

Now, $h' \circ h \circ \rho$ is homotopic to a cellular map $\psi: \mathbb{D}^{\lambda+1} \rightarrow K^{(\lambda-1)}$ (the $(\lambda-1)$ -skeleton of K). Then $K \cup_{\psi} \mathbb{D}^{\lambda+1}$ is a CW-complex and has the same homotopy type as $M^{c+\epsilon}$ (use the lemmas).

By induction, it follows that each M^a has the homotopy type of a CW-complex. If M is compact, this completes the proof. If all the critical points lie in a compact M^a , then it's easy to see that M^a is a deformation retract of M , so again the proof is complete.

If there are infinitely many critical points, then the above construction gives a sequence of homotopy equivalences $M^a \subset M^{a_2} \subset \dots$ each extending the previous one. Let $K = \varinjlim K_i$
 \downarrow $K_1 \subset K_2 \subset \dots$

and let $g: M \rightarrow K$ be the limit map. Then g induces isomorphisms of homotopy groups in all dimensions. A theorem of Whitehead implies that g is a homotopy equivalence. //

EXAMPLES

1. S^n $f: S^n \rightarrow \mathbb{R}$, $f(x_1, \dots, x_n) = x_n$ has two critical points: $(0, \dots, 0, -1)$ of index 0 and $(0, \dots, 0, 1)$ of index n . If $-1 < a < 1$, then $M^a \simeq D^n$ (the 0-handle) and then we can do with an n -handle.

Thm: Suppose M is compact and $f: M \rightarrow \mathbb{R}$ is a Morse function with exactly 2 critical points, then M is homeomorphic to a sphere. 20

Proof: The two critical points must be the minimum and the maximum. Say $f(p) = 0$ and $f(q) = 1$ are the minimum and maximum. If $\epsilon > 0$ is small, the sets $M^\epsilon = f^{-1}([0, \epsilon])$ and $f^{-1}([1-\epsilon, 1])$ are both closed n -cells by the Morse Lemma. But M^ϵ is homeomorphic to $M^{1-\epsilon}$ and so M is the union of two closed n -cells $M^{1-\epsilon}$ and $f^{-1}([1-\epsilon, 1])$, matched along their common boundary.

2. $\mathbb{R}P^n$ has a Morse function $f: \mathbb{R}P^n \rightarrow \mathbb{R}$ with $n+1$ critical points of indices $0, 1, \dots, n$. So $\mathbb{R}P^n = e^0 \cup e^1 \cup \dots \cup e^n$. The attaching maps are described as follows. Note that $x \in \mathbb{R}P^0 \subset \mathbb{R}P^1 \subset \mathbb{R}P^2 \subset \dots \subset \mathbb{R}P^n$ and this is compatible with the inclusions $S^0 \subset S^1 \subset S^2 \subset \dots \subset S^n$. That is, under the quotient map $\pi_k: S^k \rightarrow \mathbb{R}P^k$ the equation $S^{k-1} \subset S^k$ maps to $\mathbb{R}P^{k-1} \subset \mathbb{R}P^k$. So the attaching map $\varphi_k: \mathbb{Z}e^k \rightarrow \mathbb{R}P^{k-1}$ is precisely the double cover $\pi_k: S^{k-1} \rightarrow \mathbb{R}P^{k-1}$ and then $\mathbb{R}P^k = \mathbb{R}P^{k-1} \cup_{\pi_k} e^k$.

We therefore have the chain complex $C_*(\mathbb{R}P^n): 0 \rightarrow \mathbb{Z} \xrightarrow{1+(-1)^k} \mathbb{Z} \rightarrow \dots \rightarrow \mathbb{Z} \rightarrow \mathbb{Z} \rightarrow 0$. The boundary maps are most easily computed by noting that $\mathbb{Z}e^k \rightarrow \mathbb{R}P^{k-1}/\mathbb{R}P^{k-2}$ collapses the equator and identifies antipodal points. This has degree $1 + (-1)^k$. So we get

$$H_i(\mathbb{R}P^n; \mathbb{Z}) = \begin{cases} \mathbb{Z} & i=0, \text{ or } n \\ \mathbb{Z}/2 & i \text{ even } i < n \\ 0 & \text{else} \end{cases}$$

Note: Attaching maps matter. Since $\pi_1(S^1) = \mathbb{Z}$, there are infinitely many homotopy classes of attaching maps $\mathbb{Z}e^2 \rightarrow \mathbb{R}P^1$. We only get $\mathbb{R}P^2$ when we take the antipodal map.

3. $\mathbb{C}P^n$ has a Morse function $f: \mathbb{C}P^n \rightarrow \mathbb{R}$ with $n+1$ critical points of indices $0, 2, 4, \dots, 2n$. It follows that $\mathbb{C}P^n = e^0 \cup e^2 \cup \dots \cup e^{2n}$. Homology is easy to calculate: $H_i(\mathbb{C}P^n; \mathbb{Z}) = \mathbb{Z}$, i even $\leq 2n$ and 0 otherwise. The attaching maps $\pi_k: \mathbb{Z}e^{2k} \rightarrow \mathbb{C}P^{k-1}$ are the Hopf fibrations $S^1 \rightarrow S^{2k-1} \rightarrow \mathbb{C}P^{k-1}$.

4. $T^2 = S^1 \times S^1$ has a Morse function with 4 critical points of indices $0, 1, 1, 2$. It follows that $T^2 = e^0 \cup e^1 \cup e^1 \cup e^2$. The attaching maps $\mathbb{Z}e^1 \rightarrow e^0$ are the only things they could be so that $e^0 \cup e^1 \cup e^1$ is simply a wedge of two circles $S^1 \vee S^1$. The 2-cell is attached via the map $aba^{-1}b^{-1}$

