数理解析研究所講究録
第 1718 巻 2010 年 58-63

EQUIVARIANT DEFINABLE MORSE FUNCTIONS ON DEFINABLE $C^{\infty}G$ MANIFOLDS

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ABSTRACT. Let G be a compact affine definable C^{∞} group, X a compact definable $C^{\infty}G$ manifold and f an equivariant definable Morse function on X. We prove that if f has no critical value in $[a,b]$, then $f^{-1}((-\infty,a])$ is definably $C^{\infty}G$ diffeomorphic to $f^{-1}((-\infty,b])$. Moreover we prove that if r is a positive integer greater than 1, then the set of equivariant definable Morse functions on X whose critical loci are finite unions of nondegenerate critical orbits is dense in the set of G invariant C^{∞} functions on X with respect to the C^r Whitney topology.

1. INTRODUCTION

In this paper we consider an equivariant definable C^{∞} version of Morse theory. We refer the reader to the book by J. Milnor [16] for Morse theory on compact C^{∞} manifolds. Its equivariant versions are studied in G. Wasserman [21], K.H. Mayer [15], M. Datta and N. Pandey [1], and its definable C^r versions are considered in T.L. Loi [14], Y. Peterzil and S. Starchenko [17] when $2 \leq r < \infty$.

Let $\mathcal{M} = (\mathbb{R}, +, \cdot, <, e^x, \dots)$ be an exponential o-minimal expansion of $\mathbf{R}_{exp} = (\mathbb{R}, +, \cdot, <, e^x)$ admitting the C^{∞} cell decomposition. General references on o-minimal structures are [2], [3], see also [20]. It is known in [18] that there exist uncountably many o-minimal expansions of $\mathcal{R} = (\mathbb{R}, +, \cdot, <)$.

Every definable C^{∞} manifold does not have boundary unless otherwise stated. Definable C^rG manifolds are studied in [9], [7] when $0 \leq r \leq \omega$. Everything is considered in $\mathcal{M}$.

Let G be a definable C^{∞} group, X a definable $C^{\infty}G$ manifold and $f: X \to \mathbb{R}$ a G invariant definable C^{∞} function on X. A closed definable $C^{\infty}G$ submanifold Y of X is called a *critical manifold* (resp. a *nondegenerate critical manifold*) of f if each $p \in Y$ is a critical point (resp. a nondegenerate critical point) of f. We say that f is an *equivariant definable Morse function* if the critical locus of f is a finite union of nondegenerate critical manifolds of f without interior.

Theorem 1.1. *Let G be a compact affine definable C^{∞} group and f an equivariant definable Morse function on a compact definable $C^{\infty}G$ manifold X. If f has no critical value in $[a,b]$, then $f^a := f^{-1}((-\infty,a])$ is definably $C^{\infty}G$ diffeomorphic to $f^b := f^{-1}((-\infty,b])$.*

Theorem 1.1 is an equivariant definable version of Theorem 4.3 [21] and a definable C^{∞} version of 1.1 [6].

2000 *Mathematics Subject Classification.* 14P10, 14P20, 57R35, 57S10, 57S15, 58A05, 03C64.
Keywords and Phrases. O-minimal, equivariant Morse theory, definable C^{∞} groups, equivariant definable Morse functions, critical points, critical values.

In the non-equivariant definable case, T.L. Loi [14] proves the density of definable Morse functions.

Let r be a positive integer greater than 1, $Def^r(\mathbb{R}^n)$ denote the set of definable C^r functions on $\mathbb{R}^n$. For each $f \in Def^r(\mathbb{R}^n)$ and for each positive definable continuous function $\epsilon : \mathbb{R}^n \to \mathbb{R}$, the ϵ-neighborhood $N(f;\epsilon)$ of f in $Def^r(\mathbb{R}^n)$ is defined by $\{h \in Def^r(\mathbb{R}^n) | |\partial^\alpha(h-f)| < \epsilon, \forall \alpha \in (\mathbb{N} \cup \{0\})^n, |\alpha| \le r\}$, where $\alpha = (\alpha_1, \dots, \alpha_n) \in (\mathbb{N} \cup \{0\})^n, |\alpha| = \alpha_1 + \cdots + \alpha_n, \partial^\alpha F = \frac{\partial^{|\alpha|}F}{\partial x_1^{\alpha_1} \dots \partial x_n^{\alpha_n}}$. We call the topology defined by these ϵ-neighborhoods the *definable C^r topology*.

Theorem 1.2 ([14]). *Let r be a positive integer greater than 1 and X a definable C^r submanifold of $\mathbb{R}^n$. Then the set of definable C^r functions on $\mathbb{R}^n$ which are Morse functions on X and have distinct critical values are open and dense in $Def^r(\mathbb{R}^n)$ with respect to the definable C^r topology.*

Remark that the definable C^r topology and the C^r Whitney topology do not coincide in general. If X is compact, then these topologies of the set $Def^r(X)$ of definable C^r functions on X are the same (P156 [20]).

A nondegenerate critical manifold of an equivariant Morse function on a definable $C^\infty G$ manifold is called a *nondegenerate critical orbit* if it is an orbit. The following is the density of equivariant definable Morse functions.

Theorem 1.3. *Let G be a compact affine definable C^∞ group, X a compact definable $C^\infty G$ manifold and r a positive integer greater than 1. Then the set $Def_{equi-Morse,o}(X)$ of equivariant definable Morse functions on X whose critical loci are finite unions of nondegenerate critical orbits is dense in the set $C^\infty_{inv}(X)$ of G invariant C^∞ functions on X with respect to the C^r Whitney topology. Moreover $Def_{equi-Morse,o}(X)$ is open and dense in the set $Def^\infty_{inv}(X)$ of G invariant definable C^∞ functions with respect to the definable C^r topology.*

The following is a definable C^∞ version of a well-known topological result (e.g. 6.2.4 [5]).

Theorem 1.4. *Let X be an n-dimensional compact definable C^∞ manifold admitting a definable Morse function $f : X \to \mathbb{R}$ with only two critical points.*

(1) *([6]) X is definably homeomorphic to the n-dimensional unit sphere S^n.*
(2) *If $n \le 6$, then X is definably C^∞ diffeomorphic to S^n.*

2. Proof of Theorem 1.1

A *definable C^∞ manifold* is a C^∞ manifold with a finite system of charts whose transition functions are definable, and definable C^∞ maps, definable C^∞ diffeomorphisms and definable C^∞ imbeddings are defined similarly ([9], [7]). A definable C^∞ manifold is *affine* if it is definably C^∞ imbeddable into some $\mathbb{R}^n$. If $\mathcal{M} = \mathcal{R}$, a definable C^ω manifold (resp. an affine definable C^ω manifold) is called a *Nash manifold* (resp. an *affine Nash manifold*). By [8], every definable C^r manifold is affine when r is a non-negative integer. The definable C^ω case is complicated. Even if $\mathcal{M} = \mathcal{R}$, it is known that for every compact or compactifiable C^ω manifold of positive dimension admits a continuum number of distinct nonaffine Nash manifold structures [19], and its equivariant version is proved in [10].

A group G is a *definable C^∞ group* if G is a definable C^∞ manifold such that the group operations $G \times G \to G$ and $G \to G$ are definable C^∞ maps. By definition, every definable C^∞ group is a Lie group. Let G be a definable C^∞ group. A *definable $C^\infty G$ manifold* is a pair (X, ϕ) consisting of a definable C^∞ manifold X and a group action $\phi : G \times X \to X$ such that ϕ is a definable C^∞ map. For simplicity, we write X instead of (X, ϕ).

Let G be a definable C^∞ group. A *representation map* of G means a group homomorphism from G to some $O_n(\mathbb{R})$ which is a definable C^∞ map and the *representation* of this representation map is $\mathbb{R}^n$ with the orthogonal action induced by the representation map. In this paper, we always assume that every representation is orthogonal. A *definable $C^\infty G$ submanifold* of a representation Ω of G is a G invariant definable C^∞ submanifold of Ω. We say that a definable $C^\infty G$ manifold is *affine* if it is definably $C^\infty G$ diffeomorphic to a definable $C^\infty G$ submanifold of some representation of G.

In our assumption, every compact definable $C^\infty G$ manifold is affine.

Theorem 2.1 ([9]). *Let G be a compact affine definable C^∞ group. Then every compact definable $C^\infty G$ manifold is affine.*

Remark that if $\mathcal{M}$ is polynomially bounded, then Theorem 2.1 is not always true [10].

Theorem 2.2. *Let G be a compact affine definable C^∞ group. Let X and Y be compact definable $C^\infty G$ manifolds possibly with boundary. If either $\partial X = \partial Y = \emptyset$ or X, Y are affine, then X and Y are definably $C^\infty G$ diffeomorphic if and only if they are $C^1 G$ diffeomorphic.*

To prove Theorem 2.2, we prepare several results.

Theorem 2.3 (2.24 [7]). *Let G be a compact definable C^∞ group.*
(1) Every definable $C^\infty G$ submanifold X possibly with boundary of a representation Ω of G has a definable $C^\infty G$ tubular neighborhood (U, p) of X in Ω.
(2) Any compact affine definable $C^\infty G$ manifold X with boundary ∂X admits a definable $C^\infty G$ collar, namely there exists a definable $C^\infty G$ imbedding $\phi : \partial X \times [0,1) \to X$ such that $\phi(\partial X \times [0,1))$ is a G invariant definable open neighborhood of ∂X in X and $\phi(x, 0) = x$ for all $x \in \partial X$, where the action on the closed unit interval $[0,1]$ is trivial.

Let G be a compact definable C^∞ group. Let f be a map from a $C^\infty G$ manifold X to a representation Ω of G. Denote the Haar measure of G by dg and let $C^\infty(X, \Omega)$ denote the set of C^∞ maps from X to Ω. Define

$$A : C^\infty(X, \Omega) \to C^\infty(X, \Omega), A(f)(x) = \int_G g^{-1} f(gx) dg.$$

We call A the *averaging function*. In particular, if $G = \{g_1, \dots, g_n\}$, then $A(f)(x) = \frac{1}{n} \sum_{i=1}^n g_i^{-1} f(g_i x)$.

Observations similar to 2.6 [12], 4.3 [7] and 2.35 [13] show the following proposition.

Proposition 2.4 ([12], [7], [13]). *Let G be a compact definable C^∞ group.*
(1) $A(f)$ is equivariant, and $A(f) = f$ if f is equivariant.

(2) If $0 \leq r \leq \infty$ and $f \in C^r(X, \Omega)$, then $A(f) \in C^r(X, \Omega)$.
(3) If f is a polynomial map, then so is $A(f)$.
(4) If $0 \leq r < \infty$ and X is compact, then $A : C^r(X, \Omega) \to C^r(X, \Omega)$ is continuous in the C^r Whitney topology.
(5) If G is a finite group, X is a definable $C^\infty G$ manifold and f is a definable C^∞ map, then $A(f)$ is a definable $C^\infty G$ map.

Theorem 2.5 (P 38 [5]). *(1) Let X, Y be C^1 manifolds. Then the set of C^1 diffeomorphisms from X onto Y is open in the set $C^1(X, Y)$ of C^1 maps from X to Y with respect to the C^1 Whitney topology.*
(2) Let X, Y be C^1 manifolds with boundary $\partial X, \partial Y$, respectively. Then the set of C^1 diffeomorphisms from X onto Y is open in $\{f \in C^1(X, Y) | f(\partial X) \subset f(\partial Y)\}$ with respect to the C^1 Whitney topology.

Theorem 2.6 (1.2 [4]). *Let A, B be definable disjoint closed subsets of $\mathbb{R}^n$. Then there exists a definable C^∞ function $\phi : X \to \mathbb{R}$ such that $\phi | A = 1$ and $\phi | B = 0$.*

The following is an equivariant version of Theorem 2.6.

Theorem 2.7 ([11]). *Let G be a compact definable C^∞ group and X a compact definable $C^\infty G$ manifold. Suppose that A, B are G invariant definable disjoint closed subsets of X. Then there exists a G invariant definable C^∞ function $f : X \to \mathbb{R}$ such that $f | A = 1$ and $f | B = 0$.*

Remark that if $\mathcal{M}$ is polynomially bounded, then Theorem 2.6 and 2.7 are not always true.

Proof of Theorem 2.2. Assume first that $\partial X = \partial Y = \emptyset$. By Theorem 2.1, we may assume that X, Y are definable $C^\infty G$ submanifolds of a representation Ω of G. Using Theorem 2.3, we have a definable $C^\infty G$ tubular neighborhood (U, p) of Y in Ω.

Let $f : X \to Y$ be a $C^1 G$ diffeomorphism and $i : Y \to \Omega$ the inclusion. Applying the polynomial approximation theorem, we have a polynomial map $f' : X \to \Omega$ as a C^1 approximation of $i \circ f$. Applying the Haar measure and Proposition 2.4, there exists a polynomial G map $f'' : X \to \Omega$ approximating $i \circ f$. If this approximation is sufficiently close, then $i \circ f(X) \subset U$. By Proposition 2.4, $F := p \circ f'' : X \to Y$ is a definable $C^\infty G$ map which is a C^1 approximation of f. Hence using Theorem 2.5 and the inverse function theorem, $F : X \to Y$ is a definable $C^\infty G$ diffeomorphism.

We now prove the second case. By Theorem 2.3, we have definable $C^\infty G$ collar neighborhoods $\phi_X : \partial X \times [0, 1) \to X, \phi_Y : \partial Y \times [0, 1) \to Y$ of $\partial X, \partial Y$ in X, Y, respectively.

By the first argument, we have a definable $C^\infty G$ diffeomorphism $F_{\partial X} : \partial X \to \partial Y$ as a C^1 approximation of $f | \partial X$. Using these definable $C^\infty G$ collar neighborhoods, we have a definable $C^\infty G$ diffeomorphism $L_1 : \phi_X(\partial X \times [0, 1)) \to \phi_Y(\partial Y \times [0, 1))$ as a C^1 approximation of $f | \phi_X(\partial X \times [0, 1))$. Since $X - \phi(\partial X \times [0, \frac{3}{4}))$ is a compact definable $C^\infty G$ manifold with boundary and by the first argument, there exists a definable $C^\infty G$ map $L_2 : X - \phi(\partial X \times [0, \frac{3}{4})) \to Y$ as a C^1 approximation of $f | (X - \phi(\partial X \times [0, \frac{3}{4})))$. By Theorem 2.7, we have a G invariant definable C^∞ function $k : X \to \mathbb{R}$ such that

$k|\phi(\partial X \times [0, \frac{1}{3}]) = 1$ and $k|(X - \phi(\partial X \times [0, \frac{1}{2}))) = 0$. Thus the map $H : X \to Y$ defined by

$$H(x) = \begin{cases} p(k(t)L_1(x) + (1 - k(t))L_2(x)), & x \in \phi_X(\partial X \times [0,1)) \\ L_2(x), & x \in X - \phi_X(\partial X \times [0,1)) \end{cases}$$

is a definable $C^\infty G$ map such that $H(\partial X) = \partial Y$ and H is a C^1 approximation of f. Therefore H is the required definable $C^\infty G$ diffeomorphism. □

Proof of Theorem 1.1. By Theorem 4.3 [21], $f^a = f^{-1}((-\infty, a])$ is $C^\infty G$ diffeomorphic to $f^b = f^{-1}((-\infty, b])$. Since X is compact and by Theorem 2.1, these two manifolds are compact affine definable $C^\infty G$ manifolds with boundary. Thus Theorem 2.2 proves Theorem 1.1. □

Remark that the method of the proof Theorem 4.3 [21] is the integration of a G invariant C^∞ vector field. This method does not work in the definable setting because the integration of a G invariant definable C^∞ vector field is not always definable.

3. Proof of Theorem 1.3 and 1.4

Theorem 3.1 ([21]). *Let G be a compact Lie group and X a compact $C^\infty G$ manifold. Then the set $C^\infty_{equi-Morse,o}(X)$ of equivariant Morse functions on X whose critical loci are finite unions of nondegenerate critical orbits is open and dense in the set $C^\infty_{inv}(X)$ of G invariant C^∞ functions on X with respect to the C^∞ Whitney topology.*

Proof of Theorem 1.3. Let $f \in C^\infty_{inv}(X)$ and $\mathcal{N} \subset C^\infty_{inv}(X)$ an open neighborhood of f in $C^\infty_{inv}(X)$. By Theorem 3.1, there exists an open subset $\mathcal{N}' \subset \mathcal{N}$ such that each $h \in \mathcal{N}'$ is an equivariant Morse function whose critical locus is a finite union of nondegenerate critical orbits. Let $C^\infty(X)$ denote the set of C^∞ functions on X. Since $A : C^\infty(X) \to C^\infty(X)$ is continuous and $A(C^\infty(X)) = C^\infty_{inv}(X)$, $A : C^\infty(X) \to C^\infty_{inv}(X)$ is continuous. Fix $h \in \mathcal{N}'$. Since $A(h) = h$, $A^{-1}(\mathcal{N}')$ is an open neighborhood of h in $C^\infty(X)$. Applying the polynomial approximation theorem, we have a polynomial function h' lies in $A^{-1}(\mathcal{N}')$. Applying the averaging function, we have a G invariant polynomial function $F := A(h')$ lies in $\mathcal{N}'$. Since F is a G invariant polynomial function, it is a G invariant definable C^∞ function. Thus F is an equivariant definable Morse function lies in $\mathcal{N}$.

We now prove the second part. By the first part, $Def_{equi-Morse,o}(X)$ is dense in $C^\infty_{inv}(X)$. Thus it is dense in $Def^\infty_{inv}(X)$.

Let $h \in Def_{equi-Morse,o}(X)$. By Theorem 3.1, there exists an open neighborhood $\mathcal{V}$ of h in $C^\infty_{inv}(X)$ such that each $h \in \mathcal{V}$ is an equivariant Morse function whose critical locus is a finite union of nondegenerate critical orbits. Thus $\mathcal{V} \cap Def_{inv}(X)$ is the required open neighborhood of h in $Def_{inv}(X)$. □

Proof of Theorem 1.4. Using classical results, if $n \leq 6$, then X is C^∞ diffeomorphic to S^n. Thus since X is compact and by Theorem 2.2, X is definably C^∞ diffeomorphic to S^n. □

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