

Boundary Slopes
of Immersed
Surfaces in
Haken Manifolds

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Boundary Slopes of Immersed Surfaces in Haken Manifolds

Qiang Zhang

Peking University

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Abstract

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Abstract

We give a bound for the number of boundary slopes of orientable immersed proper π_1 -injective surfaces of given genus g in an orientable Haken 3-manifold M with a torus boundary, where the bound is independent of M , and a function of g and m , the number of the Jaco-Shalen-Johannson decomposition tori of M .

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In this talk, suppose M is a compact, orientable, connected, irreducible 3-manifold with ∂M a torus.

An immersed, proper, π_1 -injective surface in M with non-empty boundary is *essential* if it can not be properly homotoped into ∂M . Let c be a homotopically non-trivial simple loop in ∂M . If there is an essential surface in M such that each component of ∂F is homotopic to a multiple of c , then we call c a *boundary slope* of M .

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The question we investigate is a problem of P. Shalen [4, Question 1]: Does the set of essential surfaces with bounded genus in a simple knot complement given rise to at most finitely many boundary slopes?

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M. Baker has given examples to show that if the bounded genus assumption is dropped, then infinitely many boundary slopes can be realized [2], and U. Oertel has found examples of manifolds in which every slope is realized by the boundary of an immersed essential surfaces [3], see also [2]. On the other hand, A. Hatcher has shown that there are only finitely many boundary slopes for embedded essential surfaces, without a genus restriction [5].

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In the paper [4], J. Hass, J. Rubinstein & S. Wang have shown:

Theorem ([4])

Suppose M is a compact orientable 3-manifold with ∂M a torus, and $g \geq 0$ is a given integer.

If $\text{int}(M)$ admits a complete hyperbolic metric of finite volume, then the number of boundary slopes of an essential immersed surface of genus at most g is bounded by a function $N(1)$ if $g \leq 1$ and $N(g) + 1$ if $g > 1$.

If M is a Haken 3-manifold, then there are only finitely many boundary slopes realized by orientable essential proper surfaces of genus at most g .

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In this talk, we give explicit bounds, independent of the Haken manifold:

Theorem (main Theorem)

Suppose M is an orientable Haken 3-manifold with ∂M a torus. Let $m \geq 1$ be the number of Jaco-Shalen-Johannson decomposition tori of M . Then, given $g \geq 0$, the number of boundary slopes of an essential orientable immersed surface of genus at most g is bounded by a function $F(g, m)$, independent of M , where

$$F(g, m) = \begin{cases} 128\pi m + 5 & g = 0 \\ 128\pi m g^3 + 4g + 2 & g \geq 1 \end{cases} .$$

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Outline of the proof of the main Theorem:

Let M be an orientable Haken 3-manifold and Γ be the Jaco-Shalen-Johannson decomposition tori of M . Let $m = \#\Gamma \geq 1$. Call each component of $\overline{M - N(\Gamma)}$ a *vertex manifold*, where $N(\Gamma)$ is a regular neighborhood of Γ .

Let M^* be the vertex manifold containing ∂M , which plays a key role of the proof. Let $\{B_n, n = 1, 2, \dots\}$ be the boundary slopes for essential immersed surfaces of genus at most g . Then for each B_n , there is an essential surface F_n of genus at most g such that ∂F_n has l_n components, each with slope B_n . Deform F_n so that the number of components of $F_n \cap \partial N(\Gamma)$ is a minimum.

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Let F_n^* be the union of the components of $F_n \cap M^*$ with at least one boundary component in ∂M . Let l_n^* be the number of components of ∂F_n^* in $\partial M^* - \partial M$, and let $\#F_n^*$ be the number of components of F_n^* . Let $g(F_n^*)$ denote the sum of the genera of the components of F_n^* . Then we have

Lemma (1)

$$l_n^* \leq 2(g + \#F_n^* - g(F_n^*) - 1) \leq 2(g + l_n - 1).$$

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We have two cases.

Case (1): M^* is hyperbolic.

Let $|B_n|$ denote the length of B_n . We can prove

$$|B_n|l_n \leq \sum_{c \in F_n^* \cap \partial M^*} L(c) \leq -2\pi\chi(F_n^*) \leq 2\pi(2g - 2 + l_n + l_n^*).$$

By Lemma (1), $l_n^* \leq 2(g + l_n - 1)$, So when $l_n \geq 2$, we have

$$|B_n| \leq \begin{cases} 6\pi & g = 0 \\ 2\pi(2g + 1) & g \geq 1 \end{cases}.$$

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So by Lemma 2.3 in [4], $\#\{B_n, n = 1, 2, \dots\} \leq N(2g + 1)$,
if $g \geq 1$; $\#\{B_n, n = 1, 2, \dots\} \leq N(3) = 198$, if $g = 0$.

So, we can easily know that the main Theorem holds for
Case (1).

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Case (2): M^* is a Seifert manifold.

Let $\partial M^* = \{T_1, \dots, T_h\}$, and $\partial M = T_h$. Let C_{nj} denote the union of all components of ∂F_n^* in T_j . For convenience, the coordinates of a closed curve $c \subset T(\mu, \lambda)$ will be denoted by (u_c, v_c) .

When $l_n = 1$, B_n is homologically zero, and there is at most one such boundary slope in ∂M . So we assume $l_n \geq 2$ below. Let $B_n = (u_n, v_n)$ and let $O(M^*)$ be the Seifert orbifold of M^* . Let χ^* denote the Euler characteristic of $O(M^*)$. Since ∂M^* has at least two components, we have $\chi^* \leq -1/2$. First, we prove two Lemmas:

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Lemma (2)

$$|u_n| \leq U(g) = \begin{cases} 2 & g = 0 \\ 2g & g \geq 1 \end{cases} .$$

Lemma (3)

If $u_n \neq 0$, then

$$\#\{v_n, n = 1, 2, \dots\} \leq \begin{cases} 32\pi m + 1 & g = 0 \\ 32\pi m g^2 + 1 & g \geq 1 \end{cases} .$$

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Proof of Lemma (2): We only to consider $u_n \neq 0$. So, we can assume that F_n^* is horizontal relative to the Seifert fibering. Since F_n^* has l_n boundary curves in ∂M , each of which has a coordinates a non zero multiple of (u_n, v_n) , we know that the projection $p : F_n^* \rightarrow O(M^*)$ is an orbifold branched covering of degree at least $l_n|u_n|$. By the estimate of the degree of p , we have

$$l_n|u_n|\chi^* \geq \chi(F_n^*) = 2\#F_n^* - 2g(F_n^*) - \#\partial F_n^*.$$

We have $\#\partial F_n^* = l_n^* + l_n$ and by Lemma (1), $2\#F_n^* - 2g(F_n^*) \geq l_n^* - 2g + 2$, so

$$l_n|u_n|\chi^* \geq -(l_n + 2g - 2).$$

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Since $\chi^* \leq -1/2$ and $l_n \geq 2$, we have

$$|u_n| \leq \frac{l_n + 2g - 2}{l_n |\chi^*|} \leq \frac{1}{|\chi^*|} + \frac{2g - 2}{l_n |\chi^*|}.$$

So

$$|u_n| \leq U(g) := \begin{cases} 2 & g = 0 \\ 2g & g \geq 1 \end{cases},$$

i.e., Lemma (2) holds.

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Proof of Lemma (3): Let M_i , $i = 1, 2, \dots, h-1$, be the vertex manifold of M sharing the torus T_i with M^* (it is possible that $M_i = M_j$, for some $i \neq j$). Denote the copy of T_i on M_i by T'_i and the gluing map by $g_i : T_i \rightarrow T'_i$. Let $F_{ni}^* \subset M_i \cup_{g_i} M^*$ be a subsurface of F_n , which is obtained from gluing F_n^* and the components of $F_n \cap M_i$ having $g_i(c)$ as boundary components for some $c = (u_c, v_c) \in C_{ni}$, by the map $g_i|_{C_{ni}} : C_{ni} \rightarrow g_i(C_{ni})$, $c \mapsto g_i(c)$.

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If M_i is a Seifert manifold, the gluing map $g_i : T_i(\mu_i, \lambda_i) \rightarrow T'_i(\mu'_i, \lambda'_i)$ is determined by a matrix $A_i = \begin{pmatrix} p_i & q_i \\ r_i & s_i \end{pmatrix}$, where $r_i \neq 0$, and $p_i s_i - q_i r_i = -1$, $p_i, q_i, r_i, s_i \in \mathbb{Z}$. Let g_{i*} be the induced map on homology, so that

$$g_{i*}(u_i \mu_i + v_i \lambda_i) = (u'_i \mu'_i + v'_i \lambda'_i).$$

Then $u'_i = p_i u_i + r_i v_i$ and $v'_i = q_i u_i + s_i v_i$. So for any $c = (u_c, v_c) \in C_{ni}$, we have $u'_{g_i(c)} = p_i u_c + r_i v_c$. So

$$\sum_{c \in C_{ni}} |u'_{g_i(c)}| = \sum_{c \in C_{ni}} |p_i u_c + r_i v_c|.$$

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If M_i is hyperbolic, then we can give $T'_i \subset \partial M_i$ a Euclidean metric (possibly nonunique) induced by the hyperbolic structure of $\text{int}(M_i)$ and a Euclidean coordinate system $T'_i(\mu'_i, \lambda'_i)$ on T'_i such that $L(c') \geq |u'_{c'}|$ and $L(c') \geq |v'_{c'}|$, $\forall c' = (u'_{c'}, v'_{c'}) \subset T'_i(\mu'_i, \lambda'_i)$. Like the case M_i being a Seifert manifold, we also have (If $r_i = 0$, then $s_i \neq 0$. For convenience, we still call the non-zero one r_i)

$$\sum_{c \in C_{ni}} |u'_{g_i(c)}| = \sum_{c \in C_{ni}} |p_i u_c + r_i v_c|.$$

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In the notation above, we have

Assertion

$$\sum_{c \in C_{ni}} |p_i u_c + r_i v_c| = \sum_{c \in C_{ni}} |u'_{g_i(c)}| \leq f(g, l_n),$$

where $f(g, l_n) := 2\pi(4g - 4 + l_n(U(g) + 2))$.

Proof: If M_i is a Seifert manifold, then the proof is similar to the one of Lemma (2) and if M_i is hyperbolic, then the proof is similar to the one of Case (1).

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Recall we have assume $u_n \neq 0$. So F_n^* is horizontal in M^* and $u_c \neq 0$. So $|r_i u_c| \geq 1$, and

$$\sum_{c \in C_{ni}} \frac{|p_i u_c + r_i v_c|}{|r_i u_c|} \leq f(g, l_n),$$

i.e.,

$$\sum_{c \in C_{ni}} \left| \frac{p_i}{r_i} + \frac{v_c}{u_c} \right| \leq f(g, l_n) \quad (2.1)$$

Since F_n^* is horizontal in M^* , by Lemma 2.3 in [4], we have

$$\sum_{i=1}^{h-1} \sum_{c \in C_{ni}} \frac{v_c}{u_c} = -l_n \frac{v_n}{u_n} - u \sum_{i=1}^k \frac{\beta_i}{\alpha_i}, \quad (2.2)$$

where $u = l_n u_n$ and $\sum_{i=1}^k \frac{\beta_i}{\alpha_i}$ is the Euler number of the fibering of M^* .

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So, by (2.1) and (2.2), we have

$$-(h-1)f(g, l_n) - P \leq -l_n \frac{v_n}{u_n} \leq (h-1)f(g, l_n) - P,$$

where $P = \sum_{i=1}^{h-1} \sum_{c \in C_{ni}} \frac{p_i}{r_i} - u \sum_{i=1}^k \frac{\beta_i}{\alpha_i}$ is a constant.
So

$$\#\{v_n; n = 1, 2, \dots\} \leq 2|u_n(h-1)f(g, l_n)|/l_n + 1.$$

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Since $h - 1 \leq m$, by Lemma (2) and Assertion, we have

$$\#\{v_n; n = 1, 2, \dots\} \leq \begin{cases} 32\pi m + 1 & g = 0 \\ 32\pi m g^2 + 1 & g \geq 1 \end{cases},$$

where $l_n \geq 2$. So Lemma (3) holds.

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If $u_n = 0$, then $|v_n| = 1$. So when $l_n \geq 2$, by Lemma (2) and (3), we have

$$\begin{aligned} \#\{B_n, n = 1, 2, \dots\} &= \#\{(u_n, v_n), n = 1, 2, \dots\} \\ &\leq 2|u_n| \times \#\{v_n, n = 1, 2, \dots\} + 1 \\ &\leq \begin{cases} 128\pi m + 5 & g = 0 \\ 128\pi m g^3 + 4g + 1 & g \geq 1 \end{cases} . \end{aligned}$$

Recall that when $l_n = 1$, there is at most one boundary slope if $g \geq 1$. So

$$\#\{B_n, n = 1, 2, \dots\} \leq \begin{cases} 128\pi m + 5 & g = 0 \\ 128\pi m g^3 + 4g + 2 & g \geq 1 \end{cases} ,$$

i.e., the main Theorem also holds.

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Since (u_n, v_n) is a boundary slope, u_n and v_n must be coprime. So we can know that $F(g, m)$ may be far larger than $\#\{B_n, n = 1, 2, \dots\}$ from the calculation of $\#\{B_n, n = 1, 2, \dots\}$.

Since the number of boundary slopes is bounded by $N(2g+1) + 1$ which is an asymptotic quadratic function of g in Case (1), I guess it is also bounded by a quadratic function of g in Case (2), but I can not give a proof.

Question: Is the number of boundary slopes bounded by a quadratic function of g ?

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Thank you!