

Research Article

Alternative Proof of the Ribbonness on Classical Link

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Abstract

Alternative proof is given for an earlier presented result that if a link in 3-space bounds a compact oriented proper surface (without closed component) in the upper half 4-space, then the link bounds a ribbon surface in the upper half 4-space which is a boundary-relative renewal embedding of the original surface.

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1. Introduction

For a set A in the 3-space $\mathbf{R}^3 = \{(x, y, z) | -\infty < x, y, z < +\infty\}$ and an interval

$J \subset \mathbf{R}$, let

$$AJ = \{(x, y, z, t) | (x, y, z) \in A, t \in J\}.$$

The upper-half 4-space \mathbf{R}_+^4 is denoted by $\mathbf{R}^3[0, +\infty)$. Let k be a link in the 3-space \mathbf{R}^3 , which always bounds a compact oriented proper surface F embedded smoothly in the upper-half 4-space \mathbf{R}_+^4 , where $\mathbf{R}^3[0]$ is canonically identified with \mathbf{R}^3 . Two such surfaces F and F' in \mathbf{R}_+^4 are *equivalent* if there is an orientation-preserving diffeomorphism f of \mathbf{R}_+^4 sending F to F' , where f is called an *equivalence*. For a link k_0 in \mathbf{R}^3 , let \mathbf{b} be a band system spanning k_0 , namely a system of finitely many disjoint oriented bands spanning the link k_0 in \mathbf{R}^3 . The pair (k_0, \mathbf{b}) is called a *banded link*. The *surgery link* of (k_0, \mathbf{b}) is the link obtained from k_0 by surgery along \mathbf{b} . Assume that the surgery link of a banded link (k_0, \mathbf{b}) is a trivial link κ in \mathbf{R}^3 . Then the band system \mathbf{b} is considered as a band system β spanning κ . The pair (κ, β) is called a *banded loop system* with *loop system* κ and *surgery link* k_0 . Throughout the paper, the surgery link k_0 will be a union $k \cup \mathbf{o}$ of a link k in question and a trivial link \mathbf{o} called an *extra trivial link*. Here, it is assumed that there is a band sub-system \mathbf{b}_1 of the band system \mathbf{b} such that \mathbf{b}_1 connects to \mathbf{o} with just one band $b_1 \in \mathbf{b}_1$ for every component $o \in \mathbf{o}$ and every band $b \in \mathbf{b}_1^C = \mathbf{b} \setminus \mathbf{b}_1$ spans the link k . Let α_1 be the arc system of the attaching arc α_1 of every band $b_1 \in \mathbf{b}_1$ to $o \in \mathbf{o}$, and α_1^c the complementary arc system of α_1 in \mathbf{o} consisting

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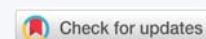
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of every complementary arc $\alpha_1^c = cl(0 \setminus \alpha_1)$. Any disk system \mathbf{d} in \mathbf{R}^3 bounded by the extra trivial link \mathbf{o} is called an *extra disk system*, which is fixed and the argument proceeds. Let δ be a disk system consisting of disjoint disks in \mathbf{R}^3 with $\partial\delta = \kappa$, which is called a *based disk system* for a loop system κ . A ribbon surface-link $cl(F_{-1}^1)$ in \mathbf{R}^4 is constructed from a banded loop system (κ, β) by taking the surgery of the trivial S^2 -link

$$O = \partial(\delta[-1, 1]) = \delta[-1] \cup (\partial\delta)[-1, 1] \cup \delta[1]$$

along the 1-handle system $\beta[-t, t]$ in \mathbf{R}^4 for any t with $0 < t < 1$.

1. The proper surface $ucl(F_0^1) = cl(F_{-1}^1) \cap \mathbf{R}_+^4$ in \mathbf{R}_+^4 is called the *upper-closed realizing surface* of a banded loop system (κ, β) with surgery link k_0 . Note that choices of the based disk systems δ are independent of the equivalences of $ucl(F_0^1)$ and $cl(F_{-1}^1)$ by Horibe-Yanagawa's lemma [1]. The reason for dealing with a banded loop system (κ, β) rather than a banded link (k_0, \mathbf{b}) is because not only can a based disk system δ be chosen freely, but it also makes a band deformation of the band system β easier. Actually, an isotopic deformation of β respecting the arc system α_1 and the loop system κ does not change the ribbon surface-link $cl(F_{-1}^1)$ in \mathbf{R}^4 and the proper surface $ucl(F_0^1)$ in \mathbf{R}_+^4 , up to equivalences.

Let $cl(F_{-1}^1)_d$ be the surface-link in \mathbf{R}^4 obtained from the



ribbon surface-link $cl(F_{-1}^1)$ by surgery along the 2-handle $\mathbf{d}[-\varepsilon, \varepsilon]$ on $cl(F_{-1}^1)$ where $0 < \varepsilon < t < 1$.

The proper surface $P(F_0^1) = cl(F_{-1}^1) \cap \mathbf{R}_+^4$ in \mathbf{R}_+^4 with $\partial P = F_0^1 = k$ is called a *proper realizing surface* of a banded loop system (κ, β) with surgery link $k_0 = k \cup \mathbf{o}$. The following theorem is known [1].

Normal form theorem: Every compact oriented proper surface F without closed component in the upper-half 4-space \mathbf{R}_+^4 with $\partial F = k$ in \mathbf{R}^3 is equivalent to a proper realizing surface $P(F_0^1)$ in \mathbf{R}_+^4 with $\partial P = (F_0^1) = k$ of a banded loop system (κ, β) with surgery link $k_0 = k + \mathbf{o}$ which is a split sum of k and an extra trivial link \mathbf{o} .

The proper realizing surface $P(F_0^1)$ in \mathbf{R}_+^4 is called a *normal form* of the proper surface F in \mathbf{R}_+^4 . If the extra trivial link \mathbf{o} is taken the empty link, namely $P(F_0^1) = ucl(F_0^1)$, then the proper surface F in \mathbf{R}_+^4 is called a *ribbon surface*. In the following example, it is observed that there are lots of compact oriented proper surfaces without closed component in \mathbf{R}_+^4 which are not equivalent to any ribbon surface in \mathbf{R}_+^4 .

Example. For every link k in \mathbf{R}^3 , let F' be any ribbon surface in \mathbf{R}_+^4 with $k = \partial F'$. For example, let F' be a proper surface in \mathbf{R}_+^4 obtained from a Seifert surface for k in \mathbf{R}^3 by an interior push into \mathbf{R}_+^4 . Take a connected sum $F = F' \# K$ of F' and a nontrivial S^2 -knot K in \mathbf{R}^4 with non-abelian fundamental group. Then $k = \partial F' = \partial F$. It is shown that F is not equivalent to any ribbon surface in \mathbf{R}_+^4 . The fundamental groups of k, F', F, K are denoted as follows.

$$\pi(k) = \pi_1(\mathbf{R}^3 \setminus k, x_0), \quad \pi(F') = \pi_1(\mathbf{R}^4 \setminus F', x_0),$$

$$\pi(F) = \pi_1(\mathbf{R}^4 \setminus F, x_0), \quad \pi(K) = \pi_1(S^4 \setminus K, x_0).$$

Let $\pi(k)^*, \pi(F')^*, \pi(F)^*, \pi(K)^*$ be the kernels of the canonical epimorphisms from the groups $\pi(k), \pi(F'), \pi(F), \pi(K)$ to the infinite cyclic group sending every meridian element to the generator, respectively. It is a special feature of a ribbon surface F' that the canonical homomorphism $\pi(k) \rightarrow \pi(F')$ is an epimorphism, so that the induced homomorphism $\pi(k)^* \rightarrow \pi(F')^*$ is onto. On the other hand, the canonical homomorphism $\pi(k) \rightarrow \pi(F)$ is not onto, because the group $\pi(F)^*$ is the free product $\pi(F')^* * \pi(K)^*$ and $\pi(K)^* \neq 0$ and the image of the induced homomorphism $\pi(k)^* \rightarrow \pi(F)^*$ is just the free product summand $\pi(F')^*$. Thus, the proper surface F in \mathbf{R}_+^4 is not equivalent to any ribbon surface.

A compact oriented proper surface F' in \mathbf{R}_+^4 is a *renewal embedding* of a compact oriented proper surface F in \mathbf{R}_+^4 if there is an orientation-preserving surfacediffeomorphism $F' \rightarrow F$ keeping the boundary fixed. A renewal embedding F' of F

is *boundary-relative* if the link $k' = \partial F'$ in \mathbf{R}^3 is equivalent to the link $k = \partial F$ in \mathbf{R}^3 . The proof of the following theorem is given [2]. In this paper, an alternative proof of this theorem is given from a viewpoint of deformations of a ribbon surface-link in \mathbf{R}^4 .

Classical ribbon theorem: Assume that a link k in the 3-space \mathbf{R}^3 bounds a compact oriented proper surface F without closed component in the upper-half 4space \mathbf{R}_+^4 . Then the link k in \mathbf{R}^3 bounds a ribbon surface F' in \mathbf{R}_+^4 which is a boundary-relative renewal embedding of F .

A link k in \mathbf{R}^3 is a *slice link in the strong sense* if k bounds a proper disk system embedded smoothly in \mathbf{R}_+^4 . A link k in \mathbf{R}^3 is a *ribbon link* if k bounds a ribbon disk system in \mathbf{R}_+^4 . The following corollary is a special case of Classical ribbon theorem.

Corollary 1: Every slice link in the strong sense in \mathbf{R}^3 is a ribbon link.

Thus, Classical ribbon theorem solves *Slice-Ribbon Problem*, [3,4]. The following corollary is obtained from Corollary 1.

Corollary 2: A link k in \mathbf{R}^3 is a ribbon link if a ribbon link is obtained from the split sum $k + \mathbf{o}$ of k and a trivial link \mathbf{o} by a band sum of k and every component of \mathbf{o} .

The proof of the classical ribbon theorem is done throughout the section 2. An idea of the proof is to consider the 2-handle pair system $(D \times I, D' \times I)$ on the ribbon surface-link $cl(F_{-1}^1)$ with $k + \mathbf{o}$ as the middle-cross sectional link such that $P(F_0^1)$ is equivalent to a previously given surface F in \mathbf{R}_+^4 , where the 2-handle system $D \times I$ is constructed from the band system \mathbf{b}_1 and the 2-handle system $D' \times I$ is constructed from the extra disk system \mathbf{d} . The interior intersections of $(D \times I, D' \times I)$ will be eliminated and $(D \times I, D' \times I)$ becomes an O2-handle pair system on a new ribbon surface-link $cl(F_{-1}^1)$ with $k + \mathbf{o}$ as the middle-cross sectional link obtained by sacrificing equivalences [5]. Then $P(F_0^1)$ is a ribbon surface that is a boundary-relative renewal embedding of F , which will complete the proof.

2. Proof of classical ribbon theorem

Throughout this section, the proof of the classical ribbon theorem is done. Let F be a compact oriented proper surface without closed component in \mathbf{R}_+^4 , and $\partial F = k$ a link in \mathbf{R}^3 . By the normal form theorem, there is a banded loop system (κ, β) with surgery link $k_0 = k + \mathbf{o}$ such that $P(F_0^1)$ is equivalent to F . The extra trivial link \mathbf{o} is uniquely specified by the banded loop system (κ, β) , which is the union of the arc system α_1 and the complementary arc system α_1^c , where the interior of α_1 transversely meets the interior of a based disk system δ with

finite points and is disjoint from the based loop system κ and α_i^c belongs to the loop system κ .

A *renewal embedding* of a banded loop system (κ, β) with surgery link $k_0 = k \cup \mathbf{o}$ is a banded loop system (κ', β') with surgery link $k'_0 = k' \cup \mathbf{o}$ such that there is a homeomorphism $\kappa \cup \beta \rightarrow \kappa' \cup \beta'$ with restrictions $\kappa \rightarrow \kappa'$ and $\beta \rightarrow \beta'$ orientation preserved.

The following observation is directly obtained by definition.

(2.1) If a banded loop system (κ', β') with surgery link $k' \cup \mathbf{o}$ is a renewal embedding of a banded loop system (κ, β) with surgery link $k \cup \mathbf{o}$, then the upper-closed realizing surface $\text{ucl } F_0^1$ constructed from (κ', β') is a renewal embedding of the upper-closed realizing surface $\text{ucl } F_0^1$ constructed from (κ, β) such that $\partial \text{ucl} = (F_0^1)' = k \cup \mathbf{o}$ and $\partial \text{ucl} = (F_0^1)' = k' \cup \mathbf{o}$.

A *transversal arc* of a band spanning a link is a simple proper arc in the band which is parallel to an attaching arc. For a band $b \in \mathbf{b}$ transversely meeting the interior of an extra disk $d \in \mathbf{d}$, the *d-arc system* of b is the arc system $d(b)$ of every transversal arc a of b in the interior of d . The *d-arc system* of a band system \mathbf{b} is the collection $\mathbf{d}(\mathbf{b})$ of $d(b)$ for every $d \in \mathbf{d}$ and every $b \in \mathbf{b}$. For a based disk $\delta \in \delta$, the *δ -arc system* of a band $\beta \in \beta$ is the arc system $\delta(\beta)$ of every transversal arc c of β in the interior of δ . The *δ -arc system* of β is the collection $\delta(\beta)$ of $\delta(\beta)$ for every $\delta \in \delta$ and every $\beta \in \beta$. A *normal proper arc* in the extra disk system \mathbf{d} is a simple proper arc in \mathbf{d} with the endpoints in the interior of the arc system α_1 . The following assertion is shown.

(2.2) By isotopic deformations in \mathbf{R}^3 , the banded loop system (κ, β) in \mathbf{R}^3 with surgery link $k_0 = k + \mathbf{o}$ is deformed so that a based disk system δ transversely meets the extra disk system \mathbf{d} with interior simple arcs or normal proper arcs in \mathbf{d} except for the complementary arc system α_i^c .

Proof of (2.2). By transverse regularity, the intersection $d \cap \delta$ for every $d \in \mathbf{d}$ and every $\delta \in \delta$ is made interior simple loops, interior simple arcs, clasp type simple arcs or simple proper arcs in \mathbf{d} except for the complementary arc system α_i^c . A simple loop is changed into a normal proper arc by a pushing out deformation to α_1 , Figure 1(1). A clasp type simple arc is changed into a simple proper arc by moving out the interior point to α_1 , Figure 1(2). A simple proper arc which is not normal is also changed into a normal proper arc by a pushing out deformation of the arc system of δ meeting a boundary collar of α_i^c in \mathbf{d} , Figure 1(3). Thus, a deformed based disk system δ transversely meets \mathbf{d} with interior simple arcs or normal proper arcs in \mathbf{d} except for the complementary arc system α_i^c . This completes the proof of (2.2).

In the proof of (2.2), there is no need to worry about the intersection of the based disk system δ and the interior of the arc system α_1 in \mathbf{R}^3 , because δ is taken and deformed in the 3-spaces $\mathbf{R}^3[\pm 1]$ and the extra disk system \mathbf{d} and the arc

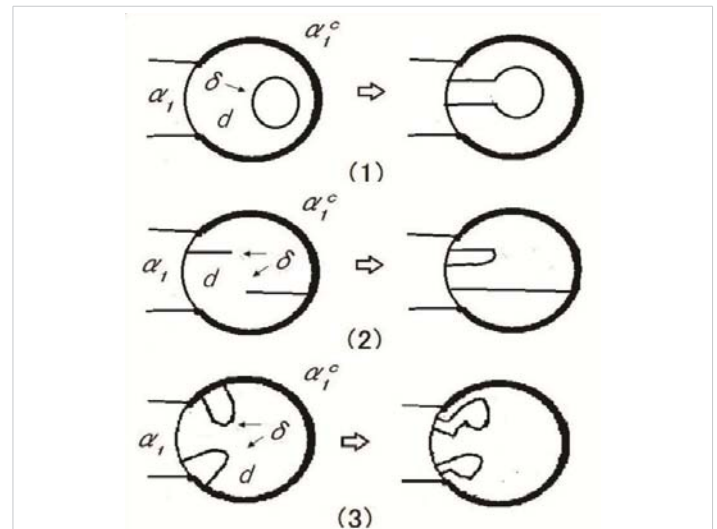


Figure 1: Changing the intersection of a based disk and an extra disk.

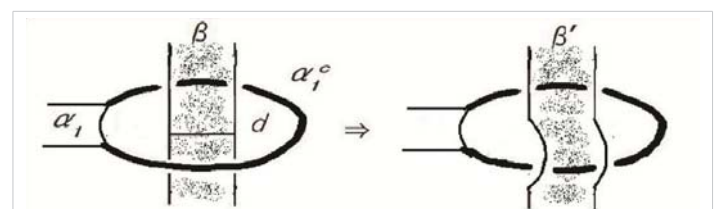


Figure 2: Band Move Operation.

system α_1 are taken and fixed in the 3-space $\mathbf{R}^3[0]$ for the ribbon surface-link $\text{cl}(F_0^1)$ in \mathbf{R}^4 . The following operation gives a standard renewal embedding of a banded loop system.

Band move operation: In the banded loop system (κ, β) with surgery link $k_0 = k \cup \mathbf{o}$, assume that there is a transversal arc c of a band $\beta \in \beta$ in the interior of an extra disk $d \in \mathbf{d}$ and there is a simple path ω in d from a point $p \in c$ to an interior point of the arc $\alpha_i^c = \partial d \cap \alpha_i^c$ which avoids meeting β other than c . Let β' be a band obtained from β by sliding the arc c off the disk d along the path ω . Replace the banded loop system (κ, β) with the banded loop system (κ, β') obtained by replacing β with β' , Figure 2.

By this operation, the new banded loop system (κ, β') is a renewal embedding of the original banded loop system (κ, β) and has as the surgery link a new union k'_0 of the same links k and \mathbf{o} , not necessarily the split sum $k + \mathbf{o}$, because the band system β' is isotopic to β if α_i^c is forgotten. In the final stage of this paper, the surgery link k'_0 will have $k \cap \mathbf{d} = \emptyset$, so that k'_0 will be the split sum $k + \mathbf{o}$, because $\mathbf{o} = \partial \mathbf{d}$.

To achieve a situation where the Band Move Operation can be applied, the following concept is needed. A *splitting* of a banded loop system (κ, β) is a banded loop system (κ^*, β^*) such that a based disk system δ^* for κ^* is obtained from a based disk system δ for κ by splitting along a disjoint proper

arc system γ in δ not meeting \mathbf{o} and β , and the band system β^* is obtained from the band system β by adding the band system β_γ thickening γ . This splitting operation comes from Fission-Fusion move of a banded loop system, [6]. After some splittings of a banded loop system, a situation where the Band Move Operation can be applied is realized by a replacement of the based disk system and an isotopic deformation of the band system.

The following assertion is used.

(2.3) If there is a splitting (\mathbf{k}^*, β^*) of a banded loop system (\mathbf{k}, β) with surgery knot k_0 a union of k and \mathbf{o} such that \mathbf{k}^* does not meet the interior of the extra disk system \mathbf{d} , then there is a renewal embedding (\mathbf{k}', β') of (\mathbf{k}, β) such that (\mathbf{k}', β') does not meet the interior of \mathbf{d} and has the surgery knot $k'_0 = k + \mathbf{o}$.

Proof of (2.3). Since \mathbf{k}^* does not meet the interior of \mathbf{d} , there is a based disk system δ^* for \mathbf{k}^* not meeting the interior of \mathbf{d} . The band system β^* transversely meets the interior of \mathbf{d} with transverse arc system A . Let δ_1^* be the sub-system of δ^* containing the complementary arc system α_1^c in the boundary, and $N(\alpha_1^c)$ a boundary collar disk system of α_1^c in δ_1^* . The Band Move Operation means that the band system β^* is deformed so that the transverse arc system A moves from the interior of \mathbf{d} into the interior of $N(\alpha_1^c)$. Then by changing the band system β_γ back into the arc system γ , the banded loop system (\mathbf{k}^*, β^*) is changed back to a pair (\mathbf{k}', β') , where the loop system \mathbf{k}' bounds an immersed disk system δ' obtained from the based disk system δ by moving a transverse arc system of β_γ into the interior of $N(\alpha_1^c)$. The immersed disk system δ' is deformed into a disjoint disk system by repeatedly pulling the band in β_γ connecting to an outer most disk of δ^* or passing the outer most disk of δ^* through $N(\alpha_1^c)$ in order to eliminate the nearest transverse arc of the band. This means that the loop system \mathbf{k}' is a trivial link and (\mathbf{k}', β') is a banded loop system. Thus, there is a renewal embedding (\mathbf{k}', β') of (\mathbf{k}, β) which does not meet the interior of \mathbf{d} . The surgery knot k'_0 is necessarily the split sum $k + \mathbf{o}$ since $\partial\mathbf{d} = \mathbf{o}$. This completes the proof of (2.3).

By using (2.2) and (2.3), the following assertion is shown.

(2.4) There is a renewal embedding (\mathbf{k}', β') of every banded loop system (\mathbf{k}, β) in \mathbf{R}^3 with surgery link $k_0 = k + \mathbf{o}$ such that (\mathbf{k}', β') does not meet the interior of \mathbf{d} and has the surgery knot $k'_0 = k + \mathbf{o}$.

Proof of (2.4). By (2.2), a based disk system δ of \mathbf{k} transversely meets the extra disk system \mathbf{d} with interior simple arcs or normal proper arcs in \mathbf{d} except for the complementary arc system α_1^c . Let A be the interior arc system which is made disjoint from β by isotopic deformations of β respecting the arc system α_1 and the loop system \mathbf{k} . By taking a splitting of

(\mathbf{k}, β) along A , it is considered that the based disk system δ transversely meets \mathbf{d} only with normal proper arcs in \mathbf{d} except for α_1^c . Then \mathbf{k} does not meet the interior of the extra disk system \mathbf{d} . By (2.3), the proof of (2.4) is completed.

Let (\mathbf{k}, β) be a banded loop system a banded loop system with surgery link $k_0 = k + \mathbf{o}$ such that $P(F_0^1)$ is equivalent to F . By (2.4), there is a renewal embedding (\mathbf{k}', β') such that (\mathbf{k}', β') does not meet the interior of the extra disk system \mathbf{d} , and has the surgery link $k + \mathbf{o}$. Let \mathbf{b}' be the band system dual to the band system β' , and \mathbf{b}'_1 the band sub-system of \mathbf{b}' such that \mathbf{b}'_1 connects to \mathbf{o} with just one band for every component of \mathbf{o} . Let $\mathbf{b}'_2 = \mathbf{b}' \setminus \mathbf{b}'_1$. Since \mathbf{b}'_1 does not meet the interior of \mathbf{d} , the surgery link of the banded link $(k + \mathbf{o}, \mathbf{b}')$ is equivalent to the link k and the upper-closed realizing surface $\text{ucl}(F_0^1)'$ of the banded link (k, \mathbf{b}'_2) is equivalent to the proper realizing surface $P(F_0^1)'$ of (\mathbf{k}', β') which is a ribbon surface in \mathbf{R}_+^4 and is a renewal embedding of the proper realizing surface $P(F_0^1)$ of the banded loop system (\mathbf{k}, β) with the surgery link $k + \mathbf{o}$. Since $P(F_0^1)$ is equivalent to F in \mathbf{R}_+^4 and $\text{ucl}(F_0^1)'$ is a ribbon surface with $\partial\text{ucl}(F_0^1)' = \partial F = k$, there is a boundary-relative renewal embedding from $\text{ucl}(F_0^1)'$ to F . This completes the proof of the classical ribbon theorem.

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