

6. Virtual Fundamental Classes

- K. Behrend and B. Fantechi
"The intrinsic normal cone," Invent. 1997
- K. Behrend, "Gromov-Witten invariants in algebraic geometry," Invent. 1997
- Junliang Shen's master thesis 2018

Another construction:

Jun Li and G. Tian, "Virtual moduli cycles and Gromov-Witten invariants of algebraic varieties," JAMS 1998

6.1 The intrinsic normal cone and sheaf

\mathcal{M} Deligne-Mumford stack, locally of finite type over k
 \hookrightarrow field, $\bar{k} = \bar{k}$, $\text{char}(k) = 0$

\mathcal{M} has an étale open cover by affine schemes of finite type over k .

Consider a "chart"

$$i: U \rightarrow M$$

where U is an affine scheme of finite type over $\text{Spec}(k)$, and i is an étale morphism.

$$U = \text{Spec } A$$

where A is a finitely generated k -algebra

$$\exists \phi: R = k[x_1, \dots, x_n] \rightarrow A$$

surjective ring homomorphism

$$I = \ker \phi \quad A = R/I$$

$$f: U = \text{Spec } A \rightarrow W = \text{Spec } R$$

closed immersion

W smooth affine scheme of finite type over k .

$$A = R/I = \text{Leyre zero part}$$

$$\bigoplus_{n=0}^{\infty} \text{Sym}^n(I/I^2) \rightarrow \bigoplus_{n=0}^{\infty} I^n/I^{n+1}$$

surjective morphism of graded A-algebras

normal cone of U in W

$$C_{U/W} := \text{Spec} \left(\bigoplus_{n=0}^{\infty} I^n/I^{n+1} \right)$$

normal (sheaf) of U in W

↙ abuse of terminology

$$N_{U/W} := \text{Spec} \left(\bigoplus_{n=0}^{\infty} \text{Sym}^n(I/I^2) \right)$$

(cf. Fulton "Intersection theory")

$C_{U/W} \hookrightarrow N_{U/W}$ closed subscheme

$C_{U/W}$ "pure dimension = $\dim W$ "

$C_{U/W}$ cone over U

$N_{U/W}$ abelian cone over U

abelian hull of $C_{U/W}$

If $\mathcal{I}/\mathcal{I}^2$ is a free \mathcal{A} -module of rank r
 then $C_{U/W} = N_{U/W}$ is a vector bundle
 of rank r : normal bundle of U in W

$$L_U^i = [\mathcal{I}/\mathcal{I}^2 \rightarrow \Omega_{W/U}^i] \quad \text{cotangent complex of } U$$

$$\begin{array}{ccc} \parallel & \parallel & \\ L_U^{-1} & L_U^0 & \end{array}$$

In general, $C_{U/W} \not\cong N_{U/W}$

$$[\mathcal{I}/\mathcal{I}^2 \rightarrow \Omega_{W/U}^1] = L_U^{z+1}$$

truncated cotangent complex of U

If $f': U \rightarrow W'$ is another closed immersion
 to a smooth affine scheme of finite type / k
 then we have isomorphism of cone stacks
 over U :

$$[C_{U/W} / T_{W/U}] \cong [C_{U/W'} / T_{W'/U}]$$

isomorphism of abelian cone stacks over U

$$[N_{U/W}/TW|_U] \cong [N_{U/W'}/TW'|_U]$$

$$N_{U/W} = \text{Spec} \left(\bigoplus_{n=0}^{\infty} \text{Sym}^n(\mathcal{I}/\mathcal{I}^2) \right)$$

$$TW|_U = \text{Spec} \left(\bigoplus_{n=0}^{\infty} \text{Sym}^n(\Omega'_{W/U}) \right)$$

Define the intrinsic normal cone of U

$$\underline{C}_U := [C_{U/W}/TW|_U]$$

$U \hookrightarrow W$ any closed immersion to
a smooth affine scheme W
of finite type / \mathbb{k} .

$$\text{pure dim} = \dim W - \dim U = 0$$

intrinsic normal (sheaf) of U

↙ abuse of terminology

$$\underline{N}_U := [N_{U/W}/TW|_U]$$

$\underline{C}_U \subset \underline{N}_U$ closed substack over U

\underline{N}_U is the abelian hull of \underline{C}_U

$\underline{C}_U, \underline{N}_U$: glued to

intrinsic normal cone \underline{C}_M
 and intrinsic normal sheaf \underline{N}_M
 over the DM stack \mathcal{M}

$\underline{C}_M \subset \underline{N}_M$ closed subcone stack over \mathcal{M}
 \underline{N}_M abelian hull of \underline{C}_M

For any étale morphism $i: U \rightarrow \mathcal{M}$
 U affine scheme of finite type / \mathbb{k}

$$\begin{array}{ccc}
 \underline{C}_U \cong i^* \underline{C}_M & \rightarrow & \underline{C}_M \\
 \downarrow & \square & \downarrow \\
 U & \xrightarrow{i} & \mathcal{M}
 \end{array}
 \qquad
 \begin{array}{ccc}
 \underline{N}_U \cong i^* \underline{N}_M & \rightarrow & \underline{N}_M \\
 \downarrow & \square & \downarrow \\
 U & \xrightarrow{i} & \mathcal{M}
 \end{array}$$

pure dim = dim W

$$\begin{array}{ccc}
 \downarrow & & \\
 \underline{C}_{U/W} & \hookrightarrow & \underline{N}_{U/W} \\
 \downarrow & \square & \downarrow \\
 \underline{C}_M & \hookrightarrow & \underline{N}_M \\
 \uparrow & & \\
 \text{pure dim } 0 & &
 \end{array}$$

Proposition

\mathcal{M} is a local complete intersection

$(\Leftrightarrow) \underline{\mathcal{C}}_{\mathcal{M}}$ is a vector bundle stack over \mathcal{M}

$(\Rightarrow) \underline{\mathcal{C}}_{\mathcal{M}} = \underline{N}_{\mathcal{M}}$

Example

\mathcal{M} smooth DM stack locally of finite type over k

$T_{\mathcal{M}}$ tangent bundle, vector bundle over \mathcal{M}

$$\underline{\mathcal{C}}_{\mathcal{M}} = \underline{N}_{\mathcal{M}} = [\mathcal{M} / T_{\mathcal{M}}] = B T_{\mathcal{M}}$$

6.2 Obstruction theory

We say an object

$$L' = [\dots L^{-1} \rightarrow L^0 \rightarrow L^1 \rightarrow \dots]$$

in $D(M)$ = derived category of sheaves of $\mathcal{O}_{X_{\text{ét}}}$ -modules

satisfies (*) if

$$\begin{cases} h^i(L^0) = 0 & \text{for } i > 0 \\ h^i(L^1) = 0 & \text{for } i = 0, -1 \end{cases}$$

If $L^0 \in \text{ob}(D(M))$ satisfies (*)

then we may construct

$h^1/h^0((L^1 + 1)^{\vee})$ abelian cone stack over M

Example The cotangent complex $L_m^0 \in \text{ob}(D(M))$

satisfies (*)

$h^1/h^0((L_m^0 + 1)^{\vee}) = \underline{N}_m$ intrinsic normal sheaf

$$L' \rightarrow h^1/h^0((L \oplus 1)^{\vee})$$

is a contravariant functor

$E', L' \in \text{ob}(\text{DMod})$ satisfying (*)

$$\phi: E' \rightarrow L' \in \text{Mor}_{\text{DMod}}(E', L')$$

$$\rightarrow \phi^{\vee}: h^1/h^0((L \oplus 1)^{\vee}) \rightarrow h^1/h^0((E \oplus 1)^{\vee})$$

morphism of abelian cones over \mathcal{M}

Proposition

(1) ϕ^{\vee} is representable $\Leftrightarrow h^0(\phi)$ is surjective

(2) ϕ^{\vee} is a closed immersion

$\Leftrightarrow h^0(\phi)$ is an isomorphism and $h^{-1}(\phi)$ is surjective

(3) ϕ^{\vee} is an isomorphism

$\Leftrightarrow h^0(\phi)$ and $h^{-1}(\phi)$ are isomorphisms.

Definition

$E' \in \text{Ob}(\text{DIM})$ satisfies (*)
 $\phi: E' \rightarrow \text{Lim} \in \text{Mor}_{\text{DIM}}(E', \text{Lim})$
 \downarrow
 cotangent complex

is an obstruction theory if
 $h^0(\phi)$ is an isomorphism and $h^{-1}(\phi)$ is surjective

Remark

By part (2) of proposition,

$$\phi^v: \mathbb{N}_m = h^1/h^0((\text{Lim}_{+1})^v) \rightarrow E := h^1/h^0((E_{+1})^v)$$

intrinsic normal cone

is a closed immersion of abelian cone stacks

Definition

An obstruction theory $\phi: E' \rightarrow \text{Lim}$ is perfect if E' is of perfect amplitude contained in $[-1, 0]$:

locally

$$E' = [E^{-1} \rightarrow E^0]$$

$\swarrow \searrow$
 vector bundles

$$\text{rank } E' = \text{rank } E^0 - \text{rank } E^{-1}$$

virtual dimension

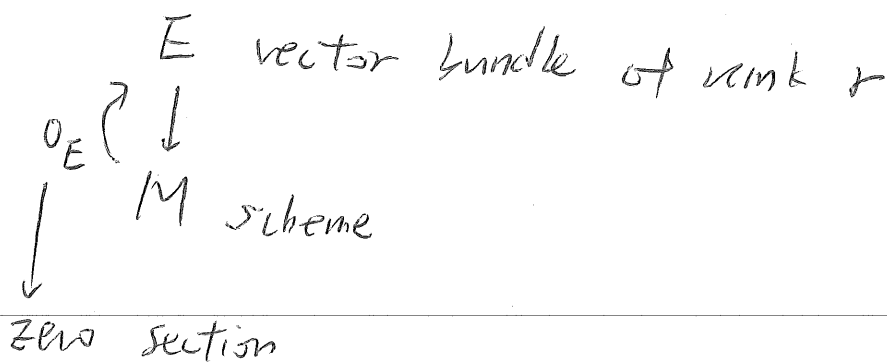
Remark If $\phi': E' \rightarrow \text{Lin}$ is a perfect obstruction theory then

$$\underline{E} = h^1/h^0((E'+1)^\vee) \quad \text{locally } [(E^{-1})^\vee/(E^0)^\vee]$$

is a vector bundle stack of rank $-d$

$$d = \text{rank}(E') = \text{virtual dimension}$$

6.3 Virtual fundamental classes



Gysin homomorphism

$$\mathcal{O}_E^! : A_*(E) \rightarrow A_{*-r}(E)$$

12/87

A. Kresch "Cycles groups for Artin stacks"

Invent. 1999

We now have

$$\begin{array}{c}
 \begin{array}{c} \mathcal{E} \\ \downarrow \\ \mathcal{M} \end{array} \begin{array}{l} \text{vector bundle stack of rank } d \\ \text{(Artin stack)} \\ \text{DM stack} \end{array} \\
 \swarrow \mathcal{O}_{\mathcal{E}} \\
 \text{zero section}
 \end{array}$$

$$\mathcal{O}_{\mathcal{E}}^! : A_*(\mathcal{E}) \rightarrow A_{*+d}(\mathcal{M})$$

The virtual fundamental class of $(\mathcal{M}, \mathcal{E})$ is defined to be

$$[\mathcal{M}, \mathcal{E}]^{\text{vir}} := \mathcal{O}_{\mathcal{E}}^! \left[\underbrace{[\underline{C}_{\mathcal{M}}]}_{\pi} \right] \in A_d(\mathcal{M})$$

Original construction of Behrend-Fantechi

requires global resolution $\mathcal{E} = [F^{-1} \rightarrow F_0]$

where F^{-1}, F_0 are global vector bundles on \mathcal{M}

Then $\underline{E} = [F_1/F_0]$ where $F_1 = (F^{-1})^\vee$

$$F_0 = (F^0)^\vee$$

$$\text{rank } F_0 - \text{rank } F_1 = d$$

$$C(F') := \underline{C}_M \times_{\underline{E}} F_1 \rightarrow F_1$$

$$\begin{array}{ccc} \downarrow \square & \downarrow & \text{relative dim} = \text{rank } F_0 \\ \underline{C}_M & \rightarrow & \underline{E} \end{array}$$

$C(F') \hookrightarrow F_1$ closed immersion

\downarrow
pure dim = rank F_0

$$\mathcal{O}_{F_1}^1 : \mathcal{A}_*(F_1) \rightarrow \mathcal{A}_{*- \text{rank } F_1}(\mathcal{M})$$

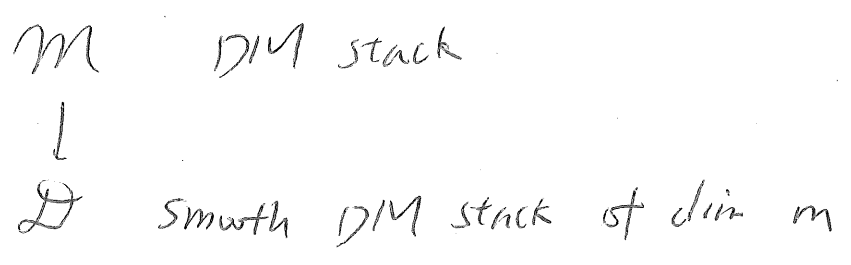
F_1, \mathcal{M} DM stacks

$$[\mathcal{M}, \underline{E}]^{\text{vr}} := \mathcal{O}_{F_1}^1 \left[\underbrace{C(F')}_{\pi} \right] \in \mathcal{A}_d(\mathcal{M})$$

$$A_{\text{rank } F_0}(F_1)$$

independent of choice of the global resolution

6.4 Relative version



Definition

$E' \in \text{Ob}(D(\mathcal{M}))$ satisfies (*)

$$\phi: E' \rightarrow L_{\mathcal{M}/\mathcal{D}}$$

↳ relative cotangent complex

is a relative obstruction theory if $h^0(\phi)$ is an isomorphism and $h^{-1}(\phi)$ is surjective

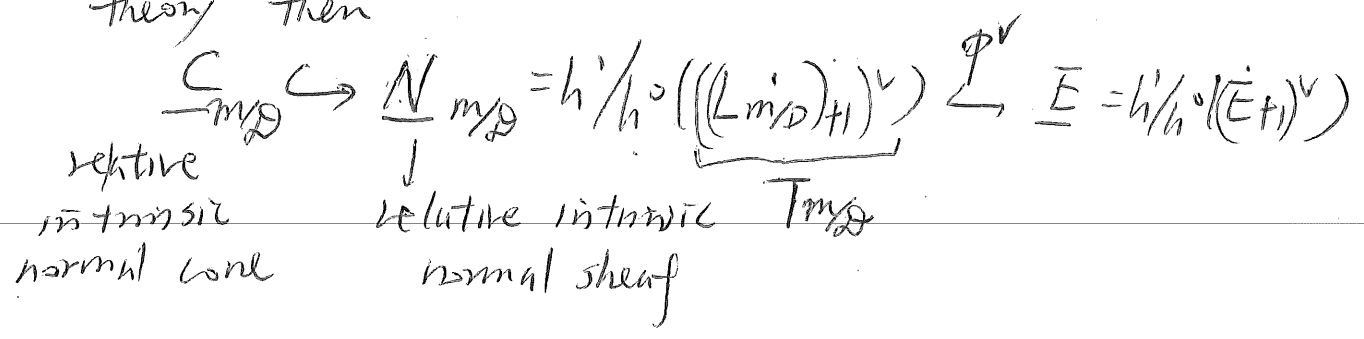
It is perfect if locally

$$E' = [E^{-1} \rightarrow E^0]$$



vector bundles

If $\phi: E' \rightarrow L_{\mathcal{M}/\mathcal{D}}$ is a perfect relative obstruction theory then



where $\Sigma_{M/D} \hookrightarrow N_{M/D} \xrightarrow{\phi^V} \underline{E}$

closed immersions

$\Sigma_{M/D}$ cone stack over M , pure dim m

$N_{M/D}$ abelian cone stack over M

\underline{E} vector bundle stack over M

$$\text{rank } \underline{E} = -d.$$

$J = \text{rank}(E^*) = \text{relative virtual dim}$

$$[M, E^*]^{vir} = \underset{\substack{\uparrow \\ \mathcal{A}_m(\underline{E})}}{0_{\underline{E}}} [\Sigma_{M/D}] \in A_{\text{virt}}(M)$$

Application to GW theory

$$M = \overline{M}_{g,n}(X, \beta)$$

$$D = M_{g,n}^{pw} \quad \dim 3g-3+n$$

$$(E^*)^V = R^* \tilde{T}_X \hat{f}^* TX$$

relative virtual dim
 $\langle C_1(TX), \beta \rangle + \dim X (1-g)$

6.5 Virtual Fundamental Classes in Symplectic

Gromov-Witten Theory

Many versions

- Fukaya-Ono: Kuranishi structures
 - Li-Tian: Fredholm V -bundle over smoothly stratified orbispace
 - Ruan: Virtual neighborhoods
 - Chen-Tian: virtual manifolds/orbifolds
 - Chen-Li-Wang
 - Siebert
 - Hofer-Wysocki-Zehnder: polyfolds
 - McDuff-Wehrheim: Kuranishi atlases
 - Castellano (genus 0)
 - Pardon: implicit atlases
- (and more!)

(X, ω, J)
 X compact manifold

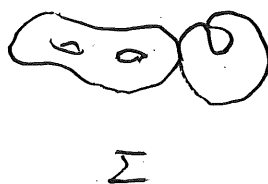
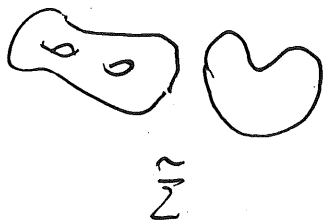
 ω symplectic form

 J almost complex structure compatible with ω , i.e.

 $g(u, v) = \omega(u, Jv)$ Riemannian metric

 $\omega(u, v) = \omega(Ju, Jv)$
 (Σ, j) (possibly nodal) Riemann surface

 $\gamma: (\tilde{\Sigma}, \tilde{j}) \rightarrow (\Sigma, j)$ normalization

 \downarrow
 smooth, possibly disconnected


Let $f: \Sigma \rightarrow X$ be a continuous map

We say f is C^∞ if $\tilde{f} := f \circ \gamma: \hat{\Sigma} \rightarrow X$ is C^∞

We say f is J -holomorphic if it is C^∞

and $J \circ d\tilde{f} = d\tilde{f} \circ j: T\hat{\Sigma} \rightarrow TX$

\Downarrow

$$\bar{\partial}_J f = \frac{1}{2}(\# + J \circ df \circ j) = 0$$

We have

$$\begin{array}{c} \Sigma \\ \pi \downarrow \gamma_S \end{array}$$

$$\mathcal{M} = S^{-1}(0) \subset \mathcal{W}$$

\mathcal{W} = moduli of n -pointed, genus g , $\deg \beta$
stable C^∞ maps to X

(More precisely, we should consider $W^{1,p}$ maps
where $p > 2$.)

$\mathcal{M} = \overline{\mathcal{M}}_{g,n}(X, \beta)$ = moduli of n -pointed genus g ,
 $\deg \beta$, stable J -hol. maps to X

Suppose that $\xi = [f: (\Sigma, j, x_1, \dots, x_n) \rightarrow (X, J)] \in \mathcal{W}$
 and Σ is smooth

$$s(\xi) = \bar{\alpha}_j f = \frac{1}{2}(df + J \circ df \circ j) \in \Omega^{0,1}((\Sigma, j), f^*TX) = \mathcal{E}_\xi$$

If moreover, $\text{Aut}(\Sigma, j, x_1, \dots, x_n)$ is trivial
 then \mathcal{W} is an ∞ dim'l manifold near ξ

$$\begin{aligned} T_\xi \mathcal{W} &= T_{(\Sigma, j, x_1, \dots, x_n)} \mathcal{M}_{g,n} \oplus T_f C^\infty(\Sigma, X) \\ &= H^1(\Sigma, T_\Sigma(-x_1 \dots -x_n)) \oplus C^\infty(\Sigma, f^*TX) \end{aligned}$$

Let $ds_\xi: T_\xi \mathcal{W} \rightarrow T_{s(\xi)} \mathcal{E}$ denote the
 differential of $s: \mathcal{W} \rightarrow \mathcal{E}$ at ξ

If $\xi \in s^{-1}(0) = \mathcal{M}$

$$T_\xi \mathcal{W} \xrightarrow{ds_\xi} T_{s(\xi)} \mathcal{E} = T_{\xi} \mathcal{W} \oplus \mathcal{E}_\xi$$

"
 $(\xi, 0)$

$$ds_\xi = (v, Ds(\xi)(v))$$

$$Ds(\xi): T_\xi \mathcal{W} \rightarrow \mathcal{E}_\xi \quad \text{linear}$$

$i: W \rightarrow E$ inclusion of the zero section

$$T_{\bar{z}} W \xrightarrow{di_{\bar{z}}} T_{(\bar{z}, 0)} E = T_{\bar{z}} W \oplus E_{\bar{z}}$$

$$di_{\bar{z}}(v) = (v, 0)$$

S intersects the zero section transversally at \bar{z}

$(\Leftrightarrow) DS(\bar{z}): T_{\bar{z}} W \rightarrow E_{\bar{z}}$ is surjective

Restrict $DS(\bar{z})$ to $C^{\infty}(\Sigma, f^*TX) \subset T_{\bar{z}} W$

$$D_{\bar{z}}: C^{\infty}(\Sigma, f^*TX) \rightarrow \Omega^{0,1}(\Sigma, f^*TX)$$

If J is integrable then

$$\text{Ker}(D_{\bar{z}}) = H^0(\Sigma, f^*TX)$$

$$\text{coker}(D_{\bar{z}}) = H^1(\Sigma, f^*TX)$$

If $H^1(\Sigma, f^*TX) = 0$ then $DS(\bar{z})$ is surjective

\mathcal{M} is smooth near \bar{z}

$$0 \rightarrow T_{\bar{z}} \mathcal{M} \rightarrow T_{\bar{z}} W \xrightarrow{DS(\bar{z})} E_{\bar{z}} \rightarrow 0$$

$$\begin{aligned} \dim_{\mathbb{R}} T_z \mathcal{M} &= 2(3g-3+n + h^0(\Sigma, f^*TX) - h^1(\Sigma, f^*TX)) \\ &= 2(\langle c_1(TX), \beta \rangle + (\dim_{\mathbb{C}} X - 3)(1-g) + n) \end{aligned}$$

Kuranishi structure

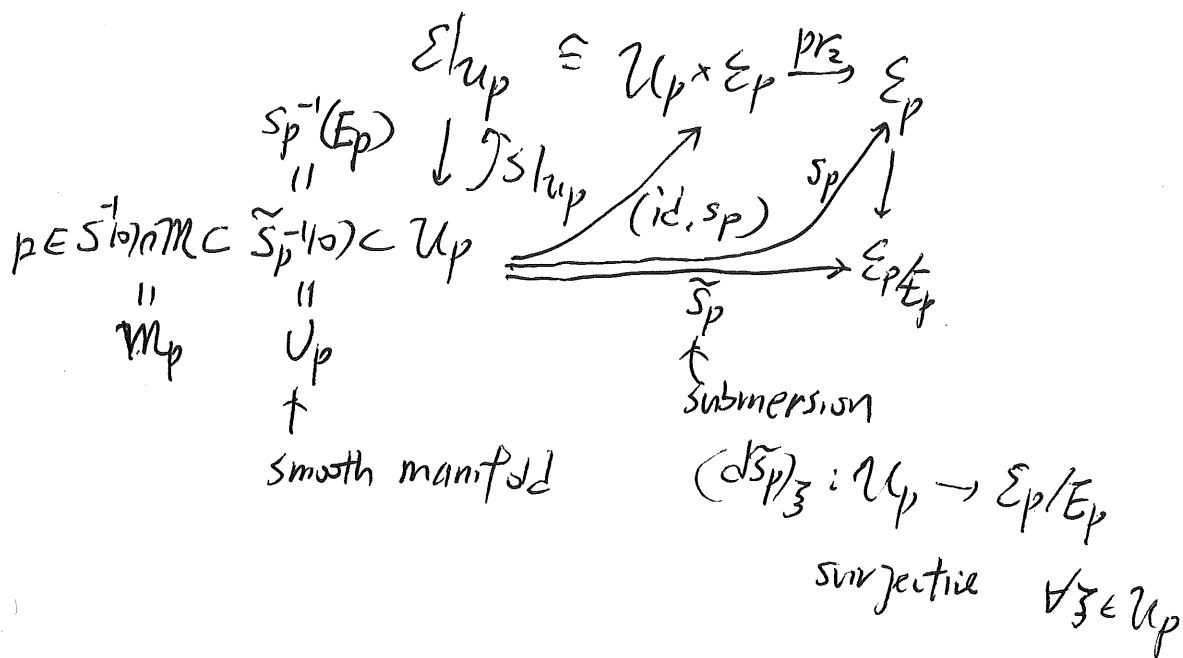
$$P = \{ f: (\Sigma, j, x_1, \dots, x_n) \rightarrow (X, J) \} \in \mathcal{M} \subset \mathcal{W}$$

For simplicity assume that $Anc(p)$ is trivial

$E_p \subset \mathcal{E}_p$ finite dimensional vector space

$$\text{Im}(DS(p)) + E_p = \mathcal{E}_p$$

Then \exists open neighborhood \mathcal{U}_p of p in \mathcal{W}



$$S_p: U_p \rightarrow E_p$$

$$M_p = S_p^{-1}(0)$$

$$\dim_{\mathbb{R}} U_p - \text{rank}_{\mathbb{R}} E_p = 2 \text{vir} \dim$$

$$\text{vir} \dim = \langle C_1(TX), \beta \rangle + (\dim_{\mathbb{C}} X - 3)(1-g) + 11$$

$$\begin{array}{c} S_p + V_p \\ \downarrow \\ U_p \end{array} : U_p \rightarrow E_p \quad \begin{array}{l} \text{submersion} \\ \text{perturbation} \end{array}$$

$$M_p^{\downarrow} = (S_p + V_p)^{-1}(0) \subset U_p$$

$$\text{smooth submfd, } \dim_{\mathbb{R}} M_p^{\downarrow} = 2 \text{vir} \dim$$

More generally $\Gamma_p := \text{Aut}(U_p)$ finite group

$$\Sigma|_{U_p} \cong (U_p \times E_p) / \Gamma_p$$

$$\downarrow$$

$$U_p = U_p / \Gamma_p$$

$$S_p: U_p \rightarrow E_p \quad \Gamma_p\text{-equivariant}$$

$$E_p \subset E_p \quad \Gamma_p\text{-invariant}$$

$$\tilde{S}_p : \mathcal{U}_p \rightarrow \Sigma_p / E_p$$

$$V_p = \tilde{S}_p^{-1}(0) = S_p^{-1}(E_p)$$

$$S_p : V_p \rightarrow E_p \quad \Gamma_p\text{-equivariant}$$

$$M_p = S_p^{-1}(0) / \Gamma_p$$

$$S_{p+V_p} : V_p \rightarrow E_p \quad \text{submersion}$$

↓ perturbation, not Γ_p -invariant in general
 $M_p^V = (S_{p+V_p})^{-1}(0) \subset V_p$ smooth submfd $\dim_{\mathbb{R}} M_p^V = 2 \text{vir dim}$

$$\pi_p : V_p \rightarrow V_p / \Gamma_p \subset \mathcal{U}_p / \Gamma_p = \mathcal{U}_p$$

$\frac{1}{|\Gamma_p|} \pi_p(M_p^V)$ 2-nd chain in V_p / Γ_p

Technical issues

① When $\text{Aut}(\Sigma, j, x_1, \dots, x_n)$ has positive dim

$$\text{e.g. } (\Sigma, j) = \mathbb{P}^2, \quad n \leq 2$$

action of the group of reparametrizations
 not smooth in the usual sense

- ② lower strata : gluing profile
- ③ How to patch the \mathcal{Q} -chains to obtain a \mathcal{Q} -cycle whose class is independent of choices of the Kuramshi structure and perturbation
- ① and ② analytic
- ③ topological