Einstein Metrics,

Complex Surfaces, &

Symplectic 4-Manifolds

Claude LeBrun Stony Brook University

Departmental Colloquium Thursday, October 17, 2019 Let (M, h) be a Riemannian n-manifold,

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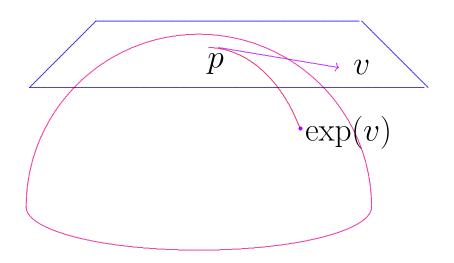
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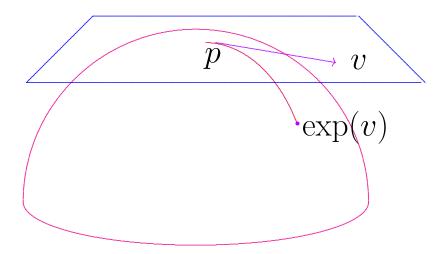
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Now choosing $T_pM \stackrel{\cong}{\to} \mathbb{R}^n$ via some orthonormal basis gives us special coordinates on M.

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given by

$$v \longmapsto r(v,v).$$

Definition.

$$r = \lambda h$$

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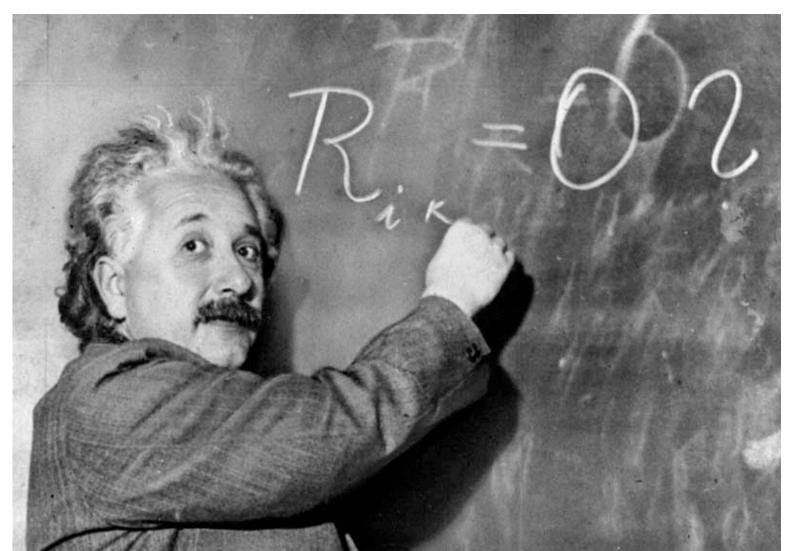
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"...the greatest blunder of my life!"

— A. Einstein, to G. Gamow

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As punishment ...

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Has same sign as the *scalar curvature*

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$$\frac{\operatorname{vol}_g(B_{\varepsilon}(p))}{c_n \varepsilon^n} = 1 - s \frac{\varepsilon^2}{6(n+2)} + O(\varepsilon^4)$$



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When n = 4, situation is more encouraging...

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Berger,

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i.e. a closed non-degenerate 2-form ω :

$$d\omega = 0, \qquad \omega \wedge \omega > 0.$$

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Some Suggestive Questions. If (M^4, ω) is a symplectic 4-manifold, when does M^4 admit an Einstein metric h (unrelated to ω)?

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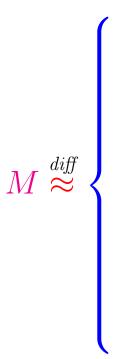
Some Suggestive Questions. If (M^4, ω) is a symplectic 4-manifold, when does M^4 admit an Einstein metric h (unrelated to ω)? What if we also require $\lambda \geq 0$?

Theorem (L '09).

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\begin{array}{c} \text{ ... anifol} \\ \text{ ... are } \omega. \text{ Then I} \\ \text{ ... if } h \text{ with } \lambda \geq 0 \text{ if } \epsilon \\ \\ \mathbb{CP}_2 \# k \overline{\mathbb{CP}_2}, \quad 0 \leq k \leq 8, \\ S^2 \times S^2, \\ \\ M \overset{diff}{\approx} \end{array}
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Theorem (L '09). Suppose that M is a smooth compact oriented 4-manifold which admits a symplectic structure ω . Then M also admits an Einstein metric h with $\lambda \geq 0$ if and only if

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K3 = Kummer

$K3 = \text{Kummer-K\"{a}hler}$

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"...et de la belle montagne K2 au Cachemire."

—André Weil, 1958

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Only one deformation type.

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Only one diffeomorphism type.

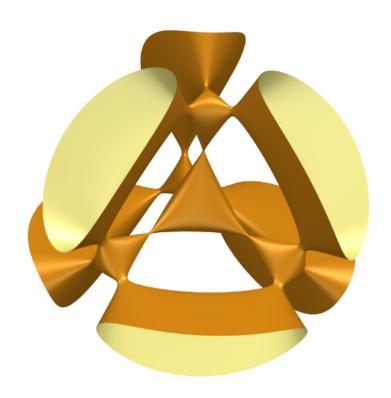
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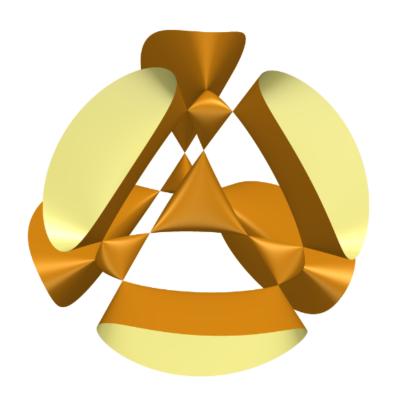


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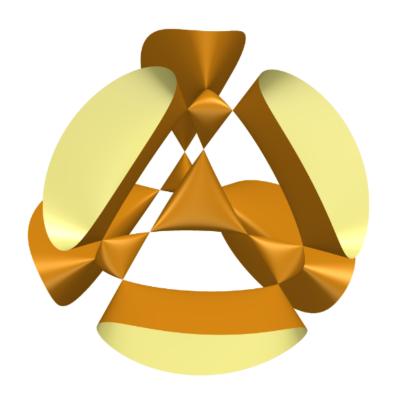
Kummer construction:

Kummer: T^4/\mathbb{Z}_2 : Singular quartic in \mathbb{CP}_3 .



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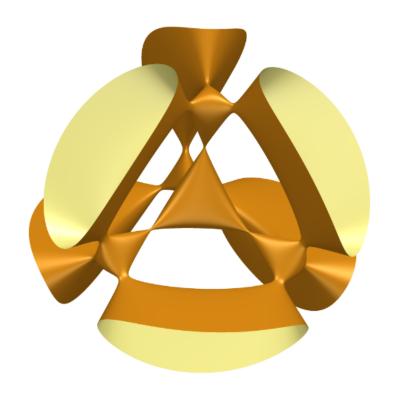
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 T^4 = Picard torus of curve of genus 2.

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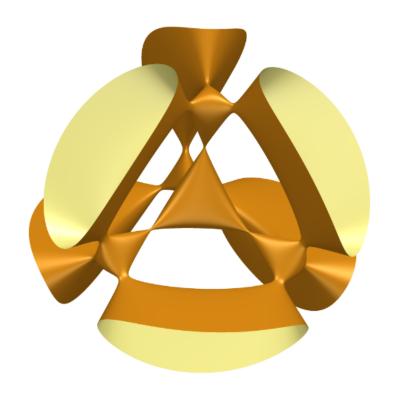
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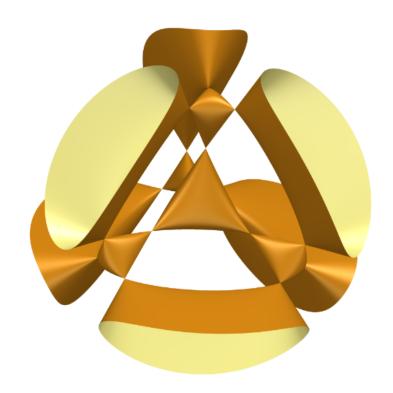
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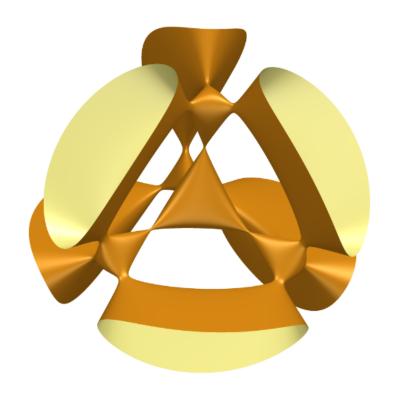
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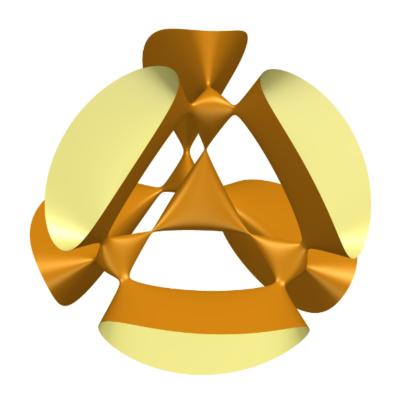
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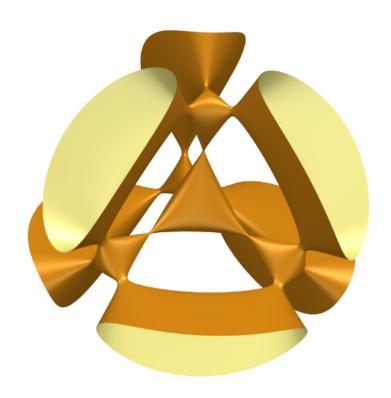
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Generic quartic is a K3 surface.

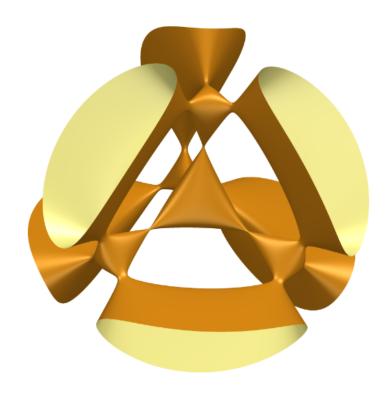
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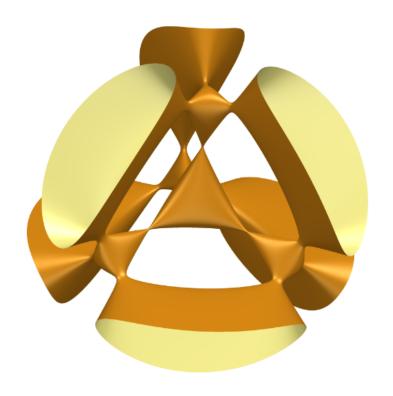
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Calabi/Yau: Admits $\lambda = 0$ Einstein metrics.

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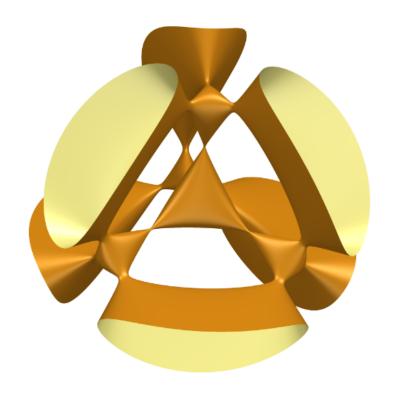


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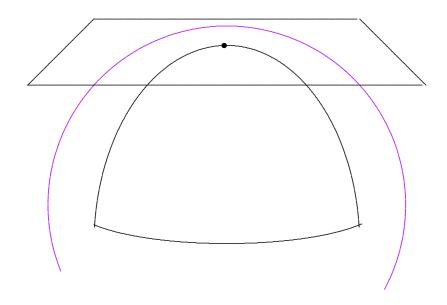
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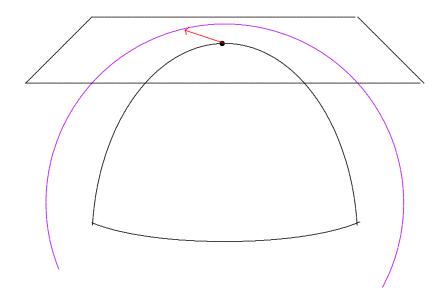


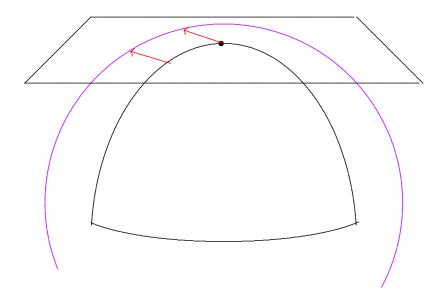
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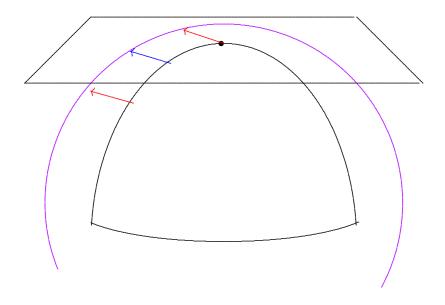
Hitchin: Every Einstein h on K3 is Calabi-Yau.

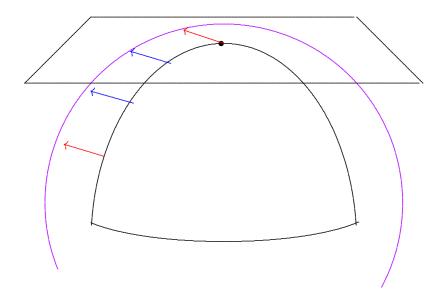
Kähler?

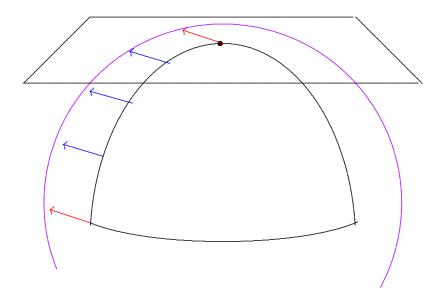


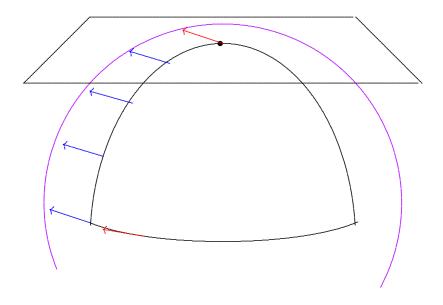


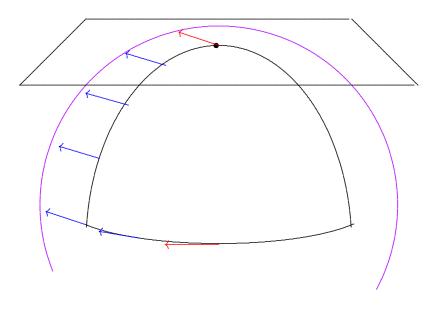


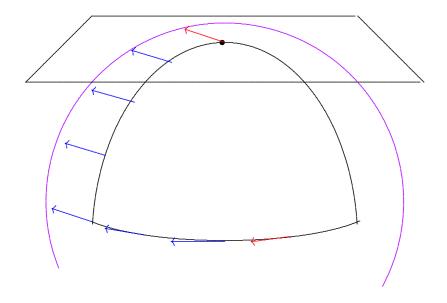


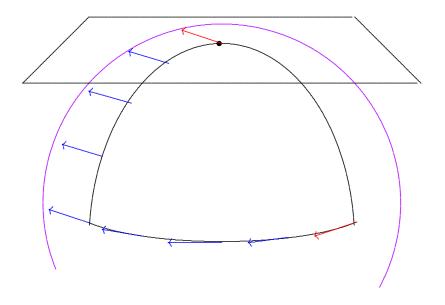


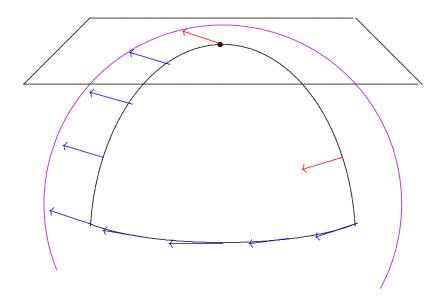


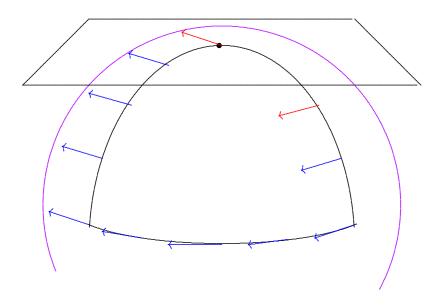


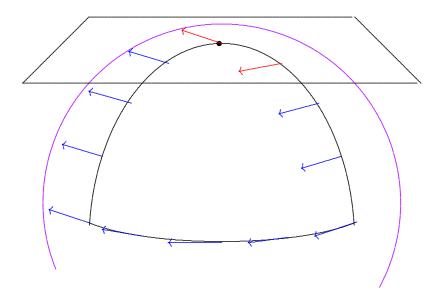


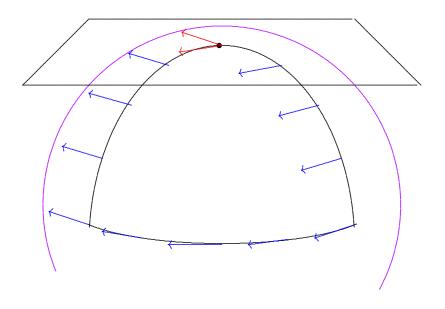


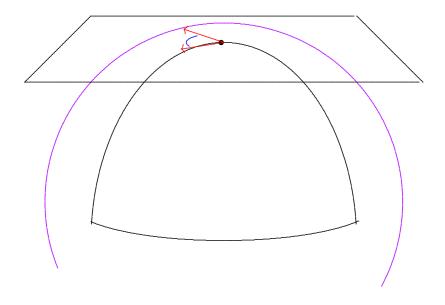




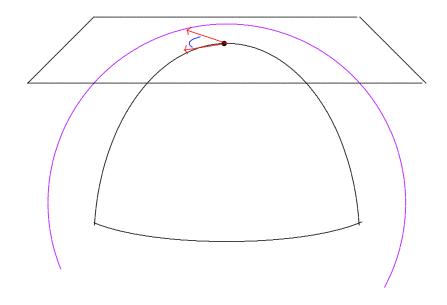




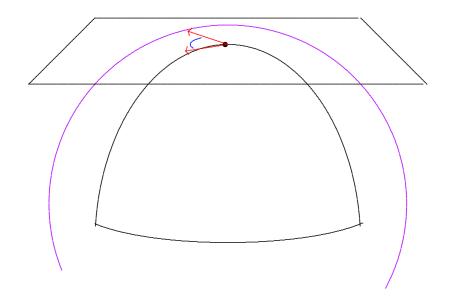




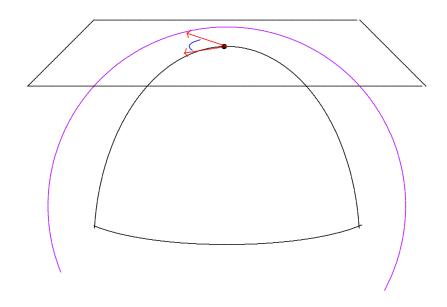
 (M^n, g) : holonomy $\subset \mathbf{O}(n)$



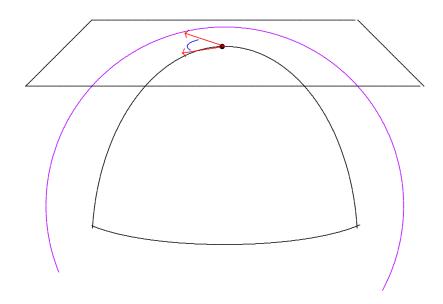
 (M^{2m}, g) : holonomy



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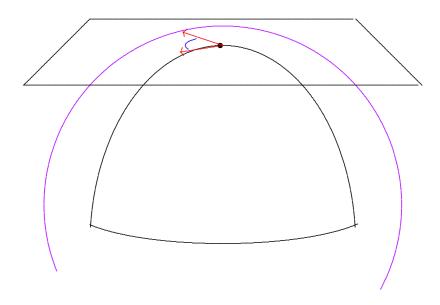


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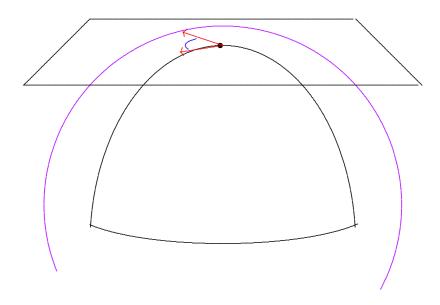
 $\mathbf{U}(m) := \mathbf{O}(2m) \cap \mathbf{GL}(m, \mathbb{C})$

$$(M^{2m}, g)$$
 Kähler \iff holonomy $\subset \mathbf{U}(m)$



Makes tangent space a complex vector space!

$$(M^{2m}, g)$$
 Kähler \iff holonomy $\subset \mathbf{U}(m)$

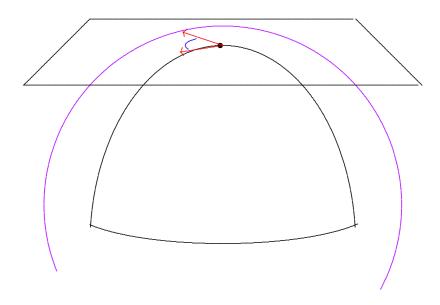


Makes tangent space a complex vector space!

$$J: TM \to TM$$
, $J^2 = -identity$

"almost-complex structure"

$$(M^{2m}, g)$$
 Kähler \iff holonomy $\subset \mathbf{U}(m)$



Makes tangent space a complex vector space!

Invariant under parallel transport!

 (M^{2m}, g) Kähler \iff holonomy $\subset \mathbf{U}(m)$

 $\iff \exists$ almost complex-structure J with $\nabla J = 0$ and $g(J\cdot, J\cdot) = g$.

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 $\iff \exists$ almost complex-structure J with $\nabla J = 0$ and $g(J\cdot, J\cdot) = g$.

 \iff (M^{2m}, g) is a complex manifold & \exists *J*-invariant closed 2-form ω such that $g = \omega(\cdot, J \cdot)$.

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 ω called "Kähler form."

 (M^{2m}, g) Kähler \iff holonomy $\subset \mathbf{U}(m)$

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$$d\omega = 0$$

$$(M^{2m}, g)$$
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$$\omega^m \neq 0$$

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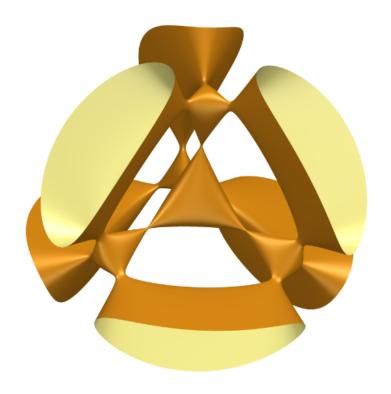
$$\omega^m \neq 0$$

So ω is, in particular, a symplectic form.

 $K3 = \text{Kummer-K\"{a}hler-Kodaira surface}.$

Simply connected complex surface with $c_1 = 0$.

Typical model: Smooth quartic in \mathbb{CP}_3 .



Calabi/Yau: Admits Ricci-flat Kähler metrics.

```
\begin{array}{l}
\text{In Stein metric it was } \mathcal{L} = \mathcal{L} \\
& \mathbb{CP}_2 \# k \overline{\mathbb{CP}_2}, \quad 0 \leq k \leq 8, \\
S^2 \times S^2, \\
& K3, \\
& K3/\mathbb{Z}_2, \\
& T^4, \\
& T^4/\mathbb{Z}_2, T^4/\mathbb{Z}_3, T^4/\mathbb{Z}_4, T^4/\mathbb{Z}_6, \\
& T^4/(\mathbb{Z}_2 \oplus \mathbb{Z}_2), T^4/(\mathbb{Z}_3 \oplus \mathbb{Z}_3), \text{ or } T^4/(\mathbb{Z}_2 \oplus \mathbb{Z}_4).
\end{array}
```

```
 \text{In stein metric it with } \mathcal{L}_{\infty} = \mathbb{R}_{\infty} 
 \begin{cases} \mathbb{CP}_{2} \# k \overline{\mathbb{CP}}_{2}, & 0 \leq k \leq 8, \\ S^{2} \times S^{2}, & K3, \\ K3, & K3/\mathbb{Z}_{2}, \\ T^{4}, & T^{4}/\mathbb{Z}_{2}, T^{4}/\mathbb{Z}_{3}, T^{4}/\mathbb{Z}_{4}, T^{4}/\mathbb{Z}_{6}, \\ T^{4}/(\mathbb{Z}_{2} \oplus \mathbb{Z}_{2}), T^{4}/(\mathbb{Z}_{3} \oplus \mathbb{Z}_{3}), \text{ or } T^{4}/(\mathbb{Z}_{2} \oplus \mathbb{Z}_{4}). \end{cases}
```

del Pezzo surfaces,

```
 \begin{array}{l} \textit{Instein metric in which } \mathcal{L} = \mathcal{L} \\ & \begin{array}{l} \mathbb{CP}_2 \# k \overline{\mathbb{CP}}_2, \quad 0 \leq k \leq 8, \\ S^2 \times S^2, \\ K3, \\ K3, \\ K3/\mathbb{Z}_2, \\ T^4, \\ T^4/\mathbb{Z}_2, T^4/\mathbb{Z}_3, T^4/\mathbb{Z}_4, T^4/\mathbb{Z}_6, \\ T^4/(\mathbb{Z}_2 \oplus \mathbb{Z}_2), T^4/(\mathbb{Z}_3 \oplus \mathbb{Z}_3), \ \textit{or} \ T^4/(\mathbb{Z}_2 \oplus \mathbb{Z}_4). \end{array}
```

del Pezzo surfaces, K3 surface,

Einstein metric
$$h$$
 with $\lambda \geq 0$ if and only if
$$\begin{cases} \mathbb{CP}_2 \# k \overline{\mathbb{CP}}_2, & 0 \leq k \leq 8, \\ S^2 \times S^2, \\ K3, \\ K3/\mathbb{Z}_2, \\ T^4, \\ T^4/\mathbb{Z}_2, T^4/\mathbb{Z}_3, T^4/\mathbb{Z}_4, T^4/\mathbb{Z}_6, \\ T^4/(\mathbb{Z}_2 \oplus \mathbb{Z}_2), T^4/(\mathbb{Z}_3 \oplus \mathbb{Z}_3), \text{ or } T^4/(\mathbb{Z}_2 \oplus \mathbb{Z}_4). \end{cases}$$

del Pezzo surfaces, K3 surface, Enriques surface, **Theorem** (L '09). Suppose that M is a smooth compact oriented 4-manifold which admits a symplectic structure ω . Then M also admits an Einstein metric h with $\lambda \geq 0$ if and only if

```
instein metric in when X \subseteq \mathbb{R}_{3}

\begin{pmatrix}
\mathbb{CP}_{2} \# k \overline{\mathbb{CP}}_{2}, & 0 \leq k \leq 8, \\
S^{2} \times S^{2}, \\
K3, \\
K3/\mathbb{Z}_{2}, \\
T^{4}, \\
T^{4}/\mathbb{Z}_{2}, T^{4}/\mathbb{Z}_{3}, T^{4}/\mathbb{Z}_{4}, T^{4}/\mathbb{Z}_{6}, \\
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\end{pmatrix}
```

del Pezzo surfaces, K3 surface, Enriques surface, Abelian surface, **Theorem** (L '09). Suppose that M is a smooth compact oriented 4-manifold which admits a symplectic structure ω . Then M also admits an Einstein metric h with $\lambda \geq 0$ if and only if

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del Pezzo surfaces, K3 surface, Enriques surface, Abelian surface, Hyper-elliptic surfaces.

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```

Definitive list ...

```
\mathbb{CP}_{2} \# k \mathbb{\overline{CP}}_{2}, \quad 0 \leq k \leq 8, \\
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Every Einstein metric is Ricci-flat Kähler.

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Moduli space $\mathscr{E}(M)$

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Moduli space $\mathscr{E}(M) = \{\text{Einstein } h\}/(\text{Diffeos} \times \mathbb{R}^+)$

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Below the line:

Every Einstein metric is Ricci-flat Kähler.

Moduli space $\mathscr{E}(M)$ completely understood.

$$\mathbb{CP}_2 \# k \overline{\mathbb{CP}}_2, \quad 0 \le k \le 8,$$
 $S^2 \times S^2,$
 $K3,$
 $K3/\mathbb{Z}_2,$
 $T^4,$
 $T^4/\mathbb{Z}_2, T^4/\mathbb{Z}_3, T^4/\mathbb{Z}_4, T^4/\mathbb{Z}_6,$
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Below the line:

Every Einstein metric is Ricci-flat Kähler.

Know an Einstein metric on each manifold.

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S^{2} \times S^{2}, \\
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K3/\mathbb{Z}_{2}, \\
T^{4}, \\
T^{4}/\mathbb{Z}_{2}, T^{4}/\mathbb{Z}_{3}, T^{4}/\mathbb{Z}_{4}, T^{4}/\mathbb{Z}_{6}, \\
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Every Einstein metric is Ricci-flat Kähler.

Moduli space $\mathscr{E}(M) \neq \varnothing$.

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K3, \\
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Below the line:

Every Einstein metric is Ricci-flat Kähler.

 (M^4, J) for which c_1 is a Kähler class $[\omega]$.

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Blow-up of \mathbb{CP}_2 at k distinct points, in general position,

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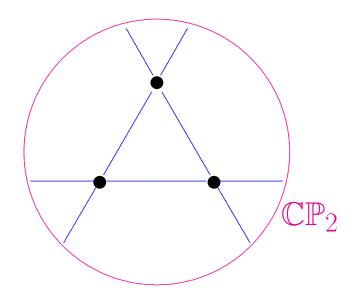
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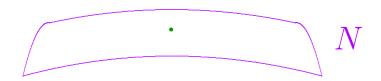
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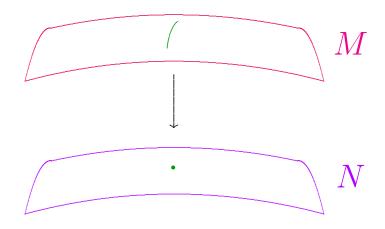
If N is a complex surface,



If N is a complex surface, may replace $p \in N$



If N is a complex surface, may replace $p \in N$ with \mathbb{CP}_1



If N is a complex surface, may replace $p \in N$ with \mathbb{CP}_1 to obtain blow-up

$$M \approx N \# \overline{\mathbb{CP}}_2$$





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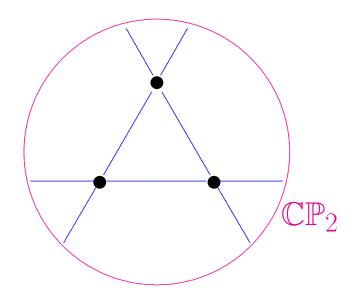
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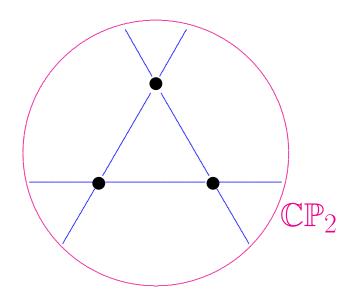
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Blow-up of \mathbb{CP}_2 at k distinct points, $0 \le k \le 8$, in general position, or $\mathbb{CP}_1 \times \mathbb{CP}_1$.



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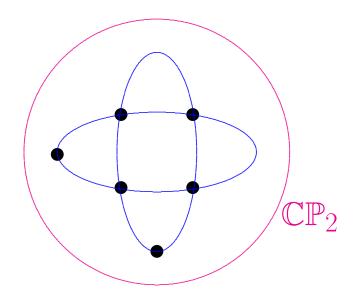
Blow-up of \mathbb{CP}_2 at k distinct points, $0 \le k \le 8$, in general position, or $\mathbb{CP}_1 \times \mathbb{CP}_1$.



No 3 on a line,

 (M^4, J) for which c_1 is a Kähler class $[\omega]$. Shorthand: " $c_1 > 0$."

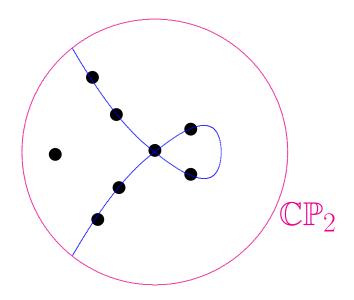
Blow-up of \mathbb{CP}_2 at k distinct points, $0 \le k \le 8$, in general position, or $\mathbb{CP}_1 \times \mathbb{CP}_1$.



No 3 on a line, no 6 on conic,

 (M^4, J) for which c_1 is a Kähler class $[\omega]$. Shorthand: " $c_1 > 0$."

Blow-up of \mathbb{CP}_2 at k distinct points, $0 \le k \le 8$, in general position, or $\mathbb{CP}_1 \times \mathbb{CP}_1$.



No 3 on a line, no 6 on conic, no 8 on nodal cubic.

 (M^4, J) for which c_1 is a Kähler class $[\omega]$. Shorthand: " $c_1 > 0$."

Blow-up of \mathbb{CP}_2 at k distinct points, $0 \le k \le 8$, in general position, or $\mathbb{CP}_1 \times \mathbb{CP}_1$.

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Theorem. Each del Pezzo (M^4, J) admits a compatible conformally Kähler, Einstein metric, and this metric is unique up to automorphisms.

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Existence: Tian, Odaka-Spotti-Sun, Chen-L-Weber.

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Uniqueness: Bando-Mabuchi '87, L '12.

Above the line:

Moduli space $\mathscr{E}(M) \neq \varnothing$. But is it connected?

$$\mathbb{CP}_{2} \# k \overline{\mathbb{CP}}_{2}, \quad 0 \leq k \leq 8, \\
S^{2} \times S^{2}, \\
K3, \\
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T^{4}, \\
T^{4}/\mathbb{Z}_{2}, T^{4}/\mathbb{Z}_{3}, T^{4}/\mathbb{Z}_{4}, T^{4}/\mathbb{Z}_{6}, \\
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Below the line:

Every Einstein metric is Ricci-flat Kähler.

Moduli space $\mathscr{E}(M)$ connected!

Understand all Einstein metrics on del Pezzos.

Understand all Einstein metrics on del Pezzos.

Is Einstein moduli space connected?

Understand all Einstein metrics on del Pezzos.

Is Einstein moduli space connected?

Progress to date:

Nice characterizations of known Einstein metrics.

Understand all Einstein metrics on del Pezzos.

Is Einstein moduli space connected?

Progress to date:

Nice characterizations of known Einstein metrics.

Exactly one connected component of moduli space!

This all depends on ...

On oriented
$$(M^4, h)$$
,
$$\Lambda^2 = \Lambda^+ \oplus \Lambda^-$$

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$$(M^4, h)$$
,
$$\Lambda^2 = \Lambda^+ \oplus \Lambda^-$$
where Λ^{\pm} are (± 1) -eigenspaces of
$$\star : \Lambda^2 \to \Lambda^2,$$

$$\star^2 = 1.$$

On oriented
$$(M^4, h)$$
,
$$\Lambda^2 = \Lambda^+ \oplus \Lambda^-$$
where Λ^{\pm} are (± 1) -eigenspaces of
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Also because of this ...

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self-dual & anti-self-dual harmonic forms.

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self-dual & anti-self-dual harmonic forms.

Notice these spaces are conformally invariant.

More generally, their dimensions

$$b_{\pm}(M) = \dim \mathcal{H}_h^{\pm}$$

are completely metric-independent, and are oriented homotopy invariants of M.

One Riemannian characterization:

Theorem (L '15).

Theorem (L '15). Let (M, h) be a smooth compact oriented Einstein 4-manifold

$$W^+(\omega,\omega) > 0$$

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Conversely, every del Pezzo surface admits Einstein metrics with $W^+(\omega, \omega) > 0$.

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Moreover, g Bach-flat & Kähler \Longrightarrow extremal.

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Indeed, the conformally Kähler, Einstein metrics on del Pezzo surfaces are completely classified:

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Up to sign, $\forall h$, \exists ! self-dual harmonic 2-form ω :

$$d\omega = 0, \qquad \star \omega = \omega, \qquad \int_M \omega^2 = 1.$$

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Corollary. Let M^4 be the underlying smooth manifold of any del Pezzo surface.

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Corollary. Let M⁴ be the underlying smooth manifold of any del Pezzo surface. Then the conformally Kähler, Einstein metrics

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Corollary. Let M^4 be the underlying smooth manifold of any del Pezzo surface. Then the conformally Kähler, Einstein metrics sweep out exactly one connected component

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Corollary. Let M^4 be the underlying smooth manifold of any del Pezzo surface. Then the conformally Kähler, Einstein metrics sweep out exactly one connected component of the moduli space $\mathcal{E}(M)$ of Einstein metrics on M.

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on average. But result requires this everywhere.

But $W^+(\omega, \omega) > 0$ is not purely local condition!

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$$\det(W^{+}) = \det \begin{bmatrix} -\frac{s}{12} \\ -\frac{s}{12} \\ \frac{s}{6} \end{bmatrix} = \frac{s^{3}}{864} > 0$$

for these metrics

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for these metrics & conformal rescalings:

$$g \rightsquigarrow h = f^2 g \implies \det(W^+) \rightsquigarrow f^{-6} \det(W^+).$$

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Wu's criterion:

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L (2019): completely different proof;

method also proves more general results.

Theorem A.

Theorem A. Let (M, h) be a compact oriented Einstein 4-manifold,

Theorem A. Let (M, h) be a simply-connected compact oriented Einstein 4-manifold,

 $W^+:\Lambda^+\to\Lambda^+$

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satisfies

$$\det(W^+) > 0$$

at every point of M.

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at every point of M. Then h is conformal to an orientation-compatible Bach-flat extremal Kähler metric g with scalar curvature s > 0 on M.

Corollary. Every simply-connected compact oriented Einstein (M^4, h) with $det(W^+) > 0$ is diffeomorphic to a del Pezzo surface.

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satisfies

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at every point of M. Then h is conformal to an orientation-compatible Bach-flat extremal Kähler metric g with scalar curvature s > 0 on M.

Corollary. Every simply-connected compact oriented Einstein (M^4, h) with $\det(W^+) > 0$ is diffeomorphic to a del Pezzo surface. Conversely, every del Pezzo M^4 carries Einstein h with $\det(W^+) > 0$, and these sweep out exactly one connected component of moduli space $\mathcal{E}(M)$.

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One can also show that

$$\int_{M} \det(W^{+}) d\mu > 0$$

for any $\lambda \geq 0$ Einstein metric on these M^4 .

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But result requires pointwise assumption.

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Simply connected hypothesis is essential!

$$W^+:\Lambda^+\to\Lambda^+$$

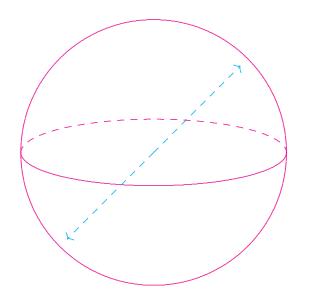
satisfies

$$\det(W^+) > 0$$

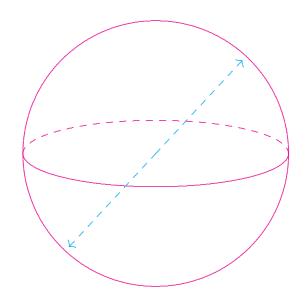
at every point of M. Then h is conformal to an orientation-compatible Bach-flat extremal Kähler metric g with scalar curvature s > 0 on M.

Simply connected hypothesis is essential!

Otherwise, $(S^2 \times S^2)/\mathbb{Z}_2$ would be counter-example,







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Otherwise, $(S^2 \times S^2)/\mathbb{Z}_2$ would be counter-example, where antipodal \times antipodal generates \mathbb{Z}_2 -action.

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Simply connected hypothesis is essential!

Otherwise, $(S^2 \times S^2)/\mathbb{Z}_2$ would be counter-example, where antipodal \times antipodal generates \mathbb{Z}_2 -action.

However, this example is as bad as it gets...

Proposition.

Proposition. Let (M, h) be a compact oriented Einstein 4-manifold Proposition. Let (M, h) be a compact oriented Einstein 4-manifold with $\det(W^+) > 0.$

$$\det(W^+) > 0.$$

Then either

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(i)
$$\pi_1(M) = 0$$
,

$$\det(W^+) > 0.$$

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(i) π₁(M) = 0, and M admits an orientation-compatible complex structure J that makes
 (M, J) into a del Pezzo surface, and relative to which the Einstein metric h becomes conformally Kähler;

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Then either

(i) π₁(M) = 0, and M admits an orientation-compatible complex structure J that makes
 (M, J) into a del Pezzo surface, and relative to which the Einstein metric h becomes conformally Kähler; or else,

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Then either

- (i) $\pi_1(M) = 0$, and M admits an orientation-compatible complex structure J that makes (M, J) into a del Pezzo surface, and relative to which the Einstein metric h becomes conformally Kähler; or else,
- (ii) $\pi_1(M) = \mathbb{Z}_2$,

$$\det(W^+) > 0.$$

Then either

- (i) $\pi_1(M) = 0$, and M admits an orientation-compatible complex structure J that makes (M, J) into a del Pezzo surface, and relative to which the Einstein metric h becomes conformally Kähler; or else,
- (ii) $\pi_1(M) = \mathbb{Z}_2$, and M is doubly covered by a del Pezzo surface (\hat{M}, J) of even signature on which the pull-back of the Einstein metric h becomes conformally Kähler.

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$$\delta W^+ := -\nabla \cdot W^+ = 0.$$

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Our strategy:

By second Bianchi identity,

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Our strategy:

study weaker equation

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But actually more widely applicable!

Theorem B.

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Suppose that $b_{+}(M) \neq 0$, and that h satisfies $\det(W^{+}) > 0$ at every point of M. Then M admits an orientation-compatible Kähler metric g of scalar curvature s > 0 such that $h = s^{-2}g$.

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Derdziński: Conversely, if (M^4, g) is Kähler, with scalar curvature s > 0, then $h = s^{-2}g$ satisfies $\delta W^+ = 0$

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Derdziński: Conversely, if (M^4, g) is Kähler, with scalar curvature s > 0, then $h = s^{-2}g$ satisfies $\delta W^+ = 0$ and $\det(W^+) > 0$.

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Suppose that $b_{+}(M) \neq 0$, and that h satisfies $\det(W^{+}) > 0$ at every point of M. Then M admits an orientation-compatible Kähler metric g of scalar curvature s > 0 such that $h = s^{-2}g$.

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Suppose that $b_{+}(M) \neq 0$, and that h satisfies $\det(W^{+}) > 0$ at every point of M. Then M admits an orientation-compatible Kähler metric g of scalar curvature s > 0 such that $h = s^{-2}g$.

Corollary. A smooth compact oriented M^4 with $b_+(M) \neq 0$ admits metrics with $\delta W^+ := 0$ and $\det(W^+) > 0$ if and only if it is diffeomorphic to a rational or ruled complex surface.

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Corollary. A smooth compact oriented M^4 with $b_+(M) \neq 0$ admits metrics with $\delta W^+ := 0$ and $\det(W^+) > 0$ if and only if

$$M \stackrel{\text{diff}}{pprox} egin{cases} (\Sigma^2 \times S^2) \# k \overline{\mathbb{CP}}_2, & k \geq 0 \\ \Sigma^2 \varkappa S^2, or \\ \mathbb{CP}_2. \end{cases}$$

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Suppose that $b_{+}(M) \neq 0$, and that h satisfies $\det(W^{+}) > 0$ at every point of M. Then M admits an orientation-compatible Kähler metric g of scalar curvature s > 0 such that $h = s^{-2}g$.

Corollary. A smooth compact oriented M^4 with $b_+(M) \neq 0$ admits metrics with $\delta W^+ := 0$ and $\det(W^+) > 0$ if and only if it is diffeomorphic to a rational or ruled complex surface. When such metrics exist, their moduli space is always infinite dimensional.

Theorem C.

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everywhere on M, then actually $det(W^+) > 0$. Thus, after at worst passing to a double cover $\hat{M} \to M$, h becomes conformally Kähler, in the manner described by **Theorem B**. In particular, if (M,h) is a simply-connected Einstein manifold, it actually falls under the purview of **Theorem A**.

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But that would be the subject of an an **entirely different** colloquium!