# Dotted Links, Heegaard Diagrams, and Colored Graphs for PL 4-manifolds

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#### ABSTRACT

The present paper is devoted to establish a connection between the 4-manifold representation method by dotted framed links (or—in the closed case—by Heegaard diagrams) and the so called *crystallization theory*, which visualizes general PL-manifolds by means of edge-colored graphs.

In particular, it is possible to obtain a crystallization of a closed 4-manifold  $M^4$  starting from a Heegaard diagram  $(\#_m(\mathbb{S}^1 \times \mathbb{S}^2), \omega)$ , and the algorithmicity of the whole process depends on the effective possibility of recognizing  $(\#_m(\mathbb{S}^1 \times \mathbb{S}^2), \omega)$  to be a Heegaard diagram by crystallization theory.

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### 1. Introduction

The classical way to understand the structure of a closed orientable PL 4-manifold  $\bar{M}^4$  is to analyze its handle-decomposition

$$\bar{M}^4 = H^{(0)} \cup (H_1^{(1)} \cup \dots \cup H_{m_1}^{(1)}) \cup (H_1^{(2)} \cup \dots \cup H_{m_2}^{(2)}) \cup (H_1^{(3)} \cup \dots \cup H_{m_3}^{(3)}) \cup H^{(4)}$$

where each *p*-handle  $(p \in \{0, 1, 2, 3, 4\})$   $H^{(p)} = \mathbb{D}^p \times \mathbb{D}^{4-p}$  is added to the union W of the previous handles by means of an attaching map  $h : \partial \mathbb{D}^p \times \mathbb{D}^{4-p} \to \partial W$ . Moreover,

Rev. Mat. Complut. 2004, 17; Núm. 2, 435–457

435

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since the attachment of 3- and 4-handles is essentially performed in a unique way, up to PL-homeomorphisms (see [19] and [17]), the attention may be restricted to handles of index  $p \leq 2$ .

Thus, according to [19], any closed orientable PL 4-manifold may be represented by means of a *Heegaard diagram*  $(\#_{m_1}(\mathbb{S}^1 \times \mathbb{S}^2), \omega)$ , where  $\omega$  denotes a framed link in  $(\#_{m_1}(\mathbb{S}^1 \times \mathbb{S}^2) = \partial(H^{(0)} \cup (H_1^{(1)} \cup \cdots \cup H_{m_1}^{(1)}))$  corresponding to the attaching instructions for the 2-handles. Note that a pair  $(\#_{m_1}(\mathbb{S}^1 \times \mathbb{S}^2), \omega)$  is said to be a Heegaard diagram if and only if the result of attaching 2-handles along  $\omega$  to the handlebody  $\mathbb{Y}_{m_1}^4 = H^{(0)} \cup (H_1^{(1)} \cup \cdots \cup H_{m_1}^{(1)})$  is a (bounded) 4-manifold whose boundary is a connected sum of  $m_3 \geq 0$  copies of  $\mathbb{S}^1 \times \mathbb{S}^2$ , but no general criterion exists to test whether this happens or not.

In an analogous but less restrictive way, César de Sà introduced in [9] the notion of dotted framed link in order to identify any bounded PL 4-manifold  $M^4 = H^{(0)} \cup$  $(H_1^{(1)} \cup \cdots \cup H_{m_1}^{(1)}) \cup (H_1^{(2)} \cup \cdots \cup H_{m_2}^{(2)})$ . Actually, in [9], the term "special framed link" is used, instead of "dotted framed link"; however, the original term has also a different meaning—as it happens in [3] and [4]—and we prefer to avoid confusion. In short, by a dotted framed link  $(L^{(d)}, c)$ , we mean a framed link consisting of  $m_1$  unknotted and unlinked 0-framed dotted components (which correspond to hypothetic 2-handles giving rise to the same boundary as the 1-handles) and of  $m_2$  framed components (which correspond to the actual 2-handles). Obviously, if  $\partial M^4 = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$ , the dotted framed link uniquely determines the closed 4-manifold  $\overline{M}^4 = M^4 \cup \mathbb{Y}_{m_3}^4$ ; hence, in this case, having a dotted framed link is perfectly equivalent to having a Heegaard diagram.

The aim of the present paper is to establish a connection between the 4-manifold representation method by dotted framed links (or equivalently—in the closed case—by Heegaard diagrams) and the so called *crystallization theory*, which visualizes general PL-manifolds by means of edge-colored graphs (see [11], [1], [5], [10], [14], [16], [22],...).

In particular, the following subsequent constructions are obtained in sections 3 and 4 respectively.

**Construction 1.** If  $(L^{(d)}, c)$  is any dotted framed link corresponding to a bounded PL 4-manifold  $M^4 = M^4(L^{(d)}, c)$ , we describe an algorithmic way to construct from  $(L^{(d)}, c)$  a 5-colored graph  $\tilde{\Lambda}(L^{(d)}, c)$  representing  $M^4$  (see Theorem 3.5).

Note that the boundary  $\partial \tilde{\Lambda}(L^{(d)}, c) = \Lambda(L^{(d)}, c)$  of the 5-colored graph  $\tilde{\Gamma}(L^{(d)}, c)$  turns out to be a 4-colored graph representing the closed orientable 3-manifold  $M^3(L^{(d)}, c) = \partial M^4(L^{(d)}, c)$  obtained from  $\mathbb{S}^3$  by Dehn surgery along the framed link underlying  $(L^{(d)}, c)$ .

**Construction 2.** If  $M^3 = \partial M^4 = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$  (i.e. if  $(L^{(d)}, c)$  determines a closed 4-manifold  $\overline{M}^4(L^{(d)}, c) = M^4 \cup \mathbb{Y}^4_{m_3}$ ), then it is always possible to yield from  $\tilde{\Lambda}(L^{(d)}, c)$  a 5-colored graph  $\overline{\Lambda}(L^{(d)}, c)$  representing  $\overline{M}^4(L^{(d)}, c)$  (see Theorem 4.8). In particular,

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

if the 4-colored graph  $\Lambda(L^{(d)}, c)$  does satisfy suitable combinatorial conditions (which are known to imply  $M^3 = \partial M^4 = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$ ) the passage from  $\tilde{\Lambda}(L^{(d)}, c)$  to  $\bar{\Lambda}(L^{(d)}, c)$  is nothing but a boundary identification (see Proposition 4.2).

Unfortunately,  $\partial M^4 = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$  is not always sufficient to satisfy the required conditions, as proved in Proposition 4.6. This facts yields a counterexample to a conjecture stated in [16] (see Corollary 4.7).

In other words, the present paper shows how to obtain a crystallization of the closed 4-manifold  $\overline{M}^4$  starting from a Heegaard diagram  $(\#_{m_1}(\mathbb{S}^1 \times \mathbb{S}^2), \omega)$ , and the algorithmicity of the whole process depends on the effective possibility of recognizing  $(\#_{m_1}(\mathbb{S}^1 \times \mathbb{S}^2), \omega)$  to be a Heegaard diagram by crystallization theory.

## 2. Framed links and crystallizations of simply connected 4-manifolds

Throughout the work, a framed link is intended to be a pair (L, c), where  $L = L_1 \cup \cdots \cup L_l$  is a link in  $\mathbb{S}^3$  with  $l \geq 1$  components and  $c = (c_1, \ldots, c_l)$  is an *l*-tuple of integers. According to a wide and well-established literature ([15], [18],...), any framed link (L, c) uniquely represents a simply-connected bounded PL 4-manifold  $M^4 = M^4(L, c)$ , which is obtained from the 4-disk  $\mathbb{D}^4$  by adding 2-handles along the framed link (L, c):

$$M^{4} = M^{4}(L, c) = \mathbb{D}^{4} \cup (H_{1}^{(2)} \cup \dots \cup H_{l}^{(2)})$$

where the attaching map  $f_i : \mathbb{S}^1 \times \mathbb{D}^2 \to \partial \mathbb{D}^4$  of the *i*-th 2-handle  $H_i^{(2)}$   $(i \in \{1, \ldots, l\})$ is such that  $f_i(\mathbb{S}^1 \times \{0\}) = L_i$  has linking number  $c_i$  with  $f_i(\mathbb{S}^1 \times \{x\})$ , for every  $x \in \mathbb{D}^2 - \{0\}$ . Moreover, the boundary of  $M^4(L, c)$  is the 3-manifold  $M^3 = M^3(L, c)$ which is obtained from  $\mathbb{S}^3$  by performing a Dehn surgery on (L, c).

Recently, in [7], the above representation of (3- and) 4-manifolds by framed links has been put in closed connection with "crystallization theory": in fact, an edgecolored graph  $\tilde{\Lambda}(L,c)$  representing  $M^4(L,c)$  is easily obtained from any planar diagram of the link itself.

In order to describe the construction of  $\tilde{\Lambda}(L, c)$ , it is necessary to assume the link L embedded in  $\mathbb{S}^3 = \mathbb{R}^3 \cup \{\infty\}$ , so that its projection P on the plane  $\pi : \mathbb{R}^2 = \mathbb{R}^2 \times \{0\}$  consists of all regular points, and m double points  $p_1, \ldots p_m$  (the crossings of L); thus,  $\pi - \mathcal{P}$  results to have exactly m + 2 connected components, which are called the regions of L. Actually, both the crossings and the regions ought to be referred to a planar diagram of L; however, the assumptions about space position allow us to identify the link L and its planar diagram on  $\pi$ .

If an orientation is fixed on each component  $L_i$  of L (with  $i \in \{1, 2, ..., l\}$ ), then  $L_i$  is said to have writhe  $w(L_i)$ , where  $w(L_i)$  is the algebraic sum of the signs (computed by the rule of Fig. 1) of all the (self-)crossings of  $L_i$ . Moreover, if (L, c) is a framed

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457



link, then the component  $L_i$  of L (with  $i \in \{1, 2, ..., l\}$ ) is said to need  $t_i = |c_i - w(L_i)|$ additional curls, positive or negative according to whether  $c_i$  is greater or less than  $w(L_i)$  (see Fig. 2).



a negative curl

a positive curl

Figure 2

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

Maria Rita Casali Dotted links, Heegaard diagrams, and colored graphs for PL 4-manifolds

The following rules allow us to construct a 4-colored graph  $\Lambda(L, c)$  directly from (L, c).

(i) For every crossing  $p_j$  of L, construct a partial order eight graph, in the following way:



(ii) For every additional curl, construct one of the following partial order four graphs:



if the curl is a positive one



if the curl is a negative one

(iii) Finally, connect the "hanging" 0- and 1-colored edges, so that every region of L (having r crossings in its boundary) gives rise to a  $\{1, 2\}$ -colored cycle of length 2r, and every component of L (having s crossings and t additional curls) gives rise to two  $\{0, 3\}$ -colored cycles of length 2(s + t).

It is not difficult to check that (by possibly adding trivial pairs of opposite additional curls) each component  $L_i$  of L gives rise in  $\Lambda(L,c)$  to a subgraph  $Q^{(i)}$  (a quadricolor) with the following structure:  $Q^{(i)}$  consists of four vertices  $P_0^{(i)}$ ,  $P_1^{(i)}$ ,  $P_2^{(i)}$ ,  $P_3^{(i)}$  and four edges  $e_0^{(i)}$ ,  $e_1^{(i)}$ ,  $e_2^{(i)}$ ,  $e_r^{(i)}$  being an r-colored edge between  $P_r^{(i)}$  and  $P_{r+1}^{(i)}$ ,

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457



Figure 3

for every  $r \in \mathbb{Z}_3$ , with the condition that  $P_r^{(i)}$  does not belong to the  $\{r+1, r+2\}$ colored cycle containing  $P_{r+1}^{(i)}, P_{r+2}^{(i)}, P_{r+3}^{(i)}$ .

Now, let  $\tilde{\Lambda}(L, c)$  be the 5-colored graph directly obtained from the 4-colored graph  $\Lambda(L, c)$  by substituting each quadricolor  $Q^{(i)}$   $(i \in \{1, \ldots, l\})$  with the order ten 5-colored subgraph depicted in Fig. 3. The following result summarizes the meaning of the above described constructions:

**Proposition 2.1 ([7]).** For every framed link (L, c), the 5-colored graph  $\tilde{\Lambda}(L, c)$ represents the simply connected 4-manifold  $M^4(L, c)$ . Moreover,  $\tilde{\Lambda}(L, c)$  admits as its boundary graph (see [11] for details) the 4-colored graph  $\Lambda(L, c)$ , which represents the 3-manifold  $M^3(L, c)$ .

Example 2.2. If (L, (0, 0)) is the 0-framed Hopf link (depicted in Fig. 4(a), then the associated 4-colored graph  $\Lambda(L, (0, 0))$  (resp. 5-colored graph  $\tilde{\Lambda}(L, (0, 0))$ ) is shown in Fig. 4(b) (resp. Fig. 4(c)); by Proposition 2.1, it represents  $M^3 = \mathbb{S}^3$  (resp.  $M^4 = \mathbb{S}^2 \times \mathbb{S}^2 - \mathbb{D}^4$ ).

For the purpose of the present work, it is necessary to give a hint of the proof for Proposition 2.1. First, we have to recall some fundamental notions and terminology of crystallization theory; for a much more detailed account, we refer to [11], where a useful bibliography may also be found.

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457



Figure 4

441

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

An (n + 1)-colored graph is a pair  $(\Gamma, \gamma)$ , where  $\Gamma = (V(\Gamma), E(\Gamma))$  is a multigraph (i.e. multiple edges are allowed, while loops are forbidden) and  $\gamma : E(\Gamma) \to \Delta_n = \{0, 1, \ldots, n\}$  is an edge-coloration, with  $\gamma(e) \neq \gamma(f)$  for every pair e, f of adjacent edges; moreover, the vertices of  $V(\Gamma)$  may have either degree n + 1 (internal vertices) or n (boundary vertices), and in this last case no incident edge can be colored by n + 1.

Within crystallization theory, each (n + 1)-colored graph  $(\Gamma, \gamma)$  is thought of as a visualizing tool for an n-dimensional labeled pseudocomplex (see [13])  $K(\Gamma)$ , which is constructed according to the following rules:

- (i) For each vertex  $v \in V(\Gamma)$ , take an n-simplex  $\sigma(v)$ , with its vertices labeled by  $0, 1, \ldots, n$ .
- (ii) For each *j*-colored edge between v and w ( $v, w \in V(\Gamma)$ ), identify the (n-1)-faces of  $\sigma(v)$  and  $\sigma(w)$  opposite to the vertex labeled by j, so that equally labeled vertices coincide.

If  $K(\Gamma)$  triangulates a PL n-manifold  $M^n$ , then  $(\Gamma, \gamma)$  is said to represent  $M^n$ ; in particular, an (n + 1)-colored graph representing the n-manifold  $M^n$  (with empty or connected boundary) is called a *crystallization* of  $M^n$ , in case the subgraph  $\Gamma_{\hat{j}} = (V(\Gamma), \gamma^{-1}(\Delta_n - \{j\}))$  is connected, for each  $j \in \Delta_n$ . A basic result of the theory (known as the Pezzana Theorem) states that every PL n-manifold admits both (n+1)colored graphs and crystallizations representing it.

Now, we point out that the construction of  $K(\Gamma)$  allows us to easily prove that an (n + 1)-colored graph  $(\Gamma, \gamma)$  represents a bounded (resp. closed) n-manifold if and only if the n-colored subgraph  $\Gamma_{\hat{j}}$  represents a disjoint union of copies of  $\mathbb{S}^n$  for j = n, and a disjoint union of copies of either  $\mathbb{S}^n$  or  $\mathbb{D}^n$  for every  $j \in \Delta_{n-1}$  (resp. a disjoint union of copies of  $\mathbb{S}^n$ , for every  $j \in \Delta_n$ ).

In particular, for every framed link (L, c), the subgraph  $\tilde{\Lambda}_{4}(L, c)$  of  $\tilde{\Lambda}(L, c)$  may be proved to represent a colored triangulation  $K(L, c) = K(\tilde{\Lambda}_{4}(L, c))$  of  $\mathbb{S}^{3}$ , whose 1skeleton contains two copies  $L' = L'_{1} \cup \cdots \cup L'_{l}$ ,  $L'' = L''_{1} \cup \cdots \cup L''_{l}$  of  $L = L_{1} \cup \cdots \cup L_{l} \subset \mathbb{S}^{3}$ . Further, the linking number between  $L'_{i}$  and  $L''_{i}$  in K(L, c) is equal to  $c_{i}$ , for every  $i \in \{1, \ldots, l\}$ .

More precisely, according to notations of Fig. 3, the copy  $L'_i$  (resp.  $L''_i$ ) of the i-th component  $L_i$  of L (for every  $i \in \{1, \ldots, l\}$ ) consists of the two  $\{0, 3\}$ -labeled edges (resp.  $\{1, 2\}$ -labeled edges) of tetrahedra  $\sigma(R_2^{(i)})$ ,  $\sigma(R_2'^{(i)})$  of K(L, c), having both the same  $\{0, 1\}$ -labeled edge and the same  $\{2, 3\}$ -labeled edge. Thus,  $L'_i$  and  $L''_i$  turn out to be two different longitudes of the same solid torus embedded in K(L, c), i.e. the subcomplex consisting of tetrahedra  $\sigma(R_r^{(i)})$  and  $\sigma(R_r'^{(i)})$ , for  $r \in \{1, 2, 3\}$ .

At this point, it is not difficult to understand the PL-structure of the 4-dimensional pseudocomplex— $\tilde{K}(L,c)$ , say—associated to  $\tilde{\Lambda}(L,c)$ : since  $\tilde{K}(L,c)$  is directly obtained from the cone over K(L,c) (i.e. a 4-disk  $\mathbb{D}^4$ ) by pairwise identification of tetrahedra  $\sigma(R_r^{(i)})$  and  $\sigma(R_r^{(i)})$ , for  $r \in \{1,2,3\}$  and  $i \in \{1,\ldots,l\}$ ,  $\tilde{K}(L,c)$  admits the

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

handle-decomposition  $\mathbb{D}^4 \cup H_1^{(2)} \cup \cdots \cup H_l^{(2)}$ , with attaching maps  $f_i : \mathbb{S}^1 \times \mathbb{D}^2 \to \partial \mathbb{D}^4$ (for every  $i \in \{1, \ldots, l\}$ ) satisfying  $f_i(\mathbb{S}^1 \times \{0\}) = L'_i$  and  $f_i(\mathbb{S}^1 \times \{x\}) = L''_i$ , for some  $x \in \mathbb{D}^2 - \{0\}$ . This obviously implies that  $\tilde{\Lambda}(L, c)$  represents  $M^4(L, c)$ , as the first part of Proposition 2.1 states. On the other hand,  $\Lambda(L, c)$  exactly coincides with the boundary graph  $\partial \tilde{\Lambda}(L, c)$  of  $\tilde{\Lambda}(L, c)$ . In fact, by construction,  $\partial \tilde{\Lambda}(L, c)$  has a vertex for every boundary vertex of  $\tilde{\Lambda}(L, c)$ , and a *j*-colored edge ( $j \in \Delta_3$ ) for every  $\{j, 4\}$ -colored path in  $\tilde{\Lambda}(L, c)$  joining two boundary vertices. Since the boundary graph always represents the boundary manifold (see [11] for details), the second part of Proposition 2.1 follows, too.

Actually,  $K(\Lambda(L, c)) = M^3(L, c)$  is also a consequence of the fact that  $\Lambda(L, c)$ may be easily obtained from the 4-colored graph  $(\Lambda^*, \lambda^*)$  described in [16] and [14] (and directly proved to represent  $M^3(L, c)$ ) by a finite sequence of admissible moves, (called *dipole moves*), which are known to link different graphs representing the same manifold.

Recall that, if  $(\Gamma, \gamma)$  (with  $\#V(\Gamma) > 2$ ) is an (n + 1)-colored graph representing a PL n-manifold  $M^n$ , then an *h*-dipole  $(1 \le h \le n)$  of  $(\Gamma, \gamma)$  is a subgraph  $\Theta = \{v, w\}$  consisting of two vertices  $v, w \in V(\Gamma)$  joined by *h* edges colored by  $j_1, j_2, \ldots, j_h \in \Delta_n$  and satisfying the following conditions:

- (i) The vertices v and w belong to different connected components,  $\Xi_1$  and  $\Xi_2$  say, of the graph  $\Gamma_{\Delta_n \{j_1, \dots, j_h\}} = (V(\Gamma), \gamma^{-1}(\Delta_n \{j_1, \dots, j_h\})).$
- (ii) If either v or w is an internal vertex, then either  $\Xi_1$  or  $\Xi_2$  is a regular graph of degree n + 1 h.

The elimination of the h-dipole  $\Theta$  is performed by deleting  $\Theta$  from  $(\Gamma, \gamma)$  and welding the "hanging" pairs of edges of the same color  $j \in \Delta_n - \{j_1, \ldots, j_h\}$ ; if  $(\Gamma', \gamma')$  is the resulting (n + 1)-colored graph (with  $K(\Gamma') = K(\Gamma) = M^n$ ), then we will also say that  $(\Gamma, \gamma)$  is obtained from  $(\Gamma', \gamma')$  by *insertion* of an h-dipole of colors  $\{j_1, j_2, \ldots, j_h\}$  and that  $(\Gamma, \gamma)$  and  $(\Gamma', \gamma')$  are obtained from each other by a *dipole move*.

# 3. From dotted framed links to crystallizations of bounded 4manifolds

The starting point for the notion of dotted framed link is the fact that 1-handles in orientable 4-manifolds may be "traded for" 2-handles (see [9] and [18]).

In short, if the orientable 4-manifold  $W_1^4$  is obtained from  $W^4$  by adding a 1-handle  $H^{(1)}$  and if  $H^{(2)}$  is the complementary handle of  $H^{(1)}$  in  $W_1^4$ , then  $W_1^4 = W^4 \cup H^{(1)}$  has the same boundary as  $W_2^4 = W^4 \cup H^{(2)}$ , where  $H^{(2)}$  is the 2-handle dual to  $H^{(2)}$  in  $W_1^4$ . Moreover, the surgery instructions for the 2-handle  $H^{(2)}$  always corresponds to an unknotted 0-framed circle in  $\partial W^4$ .

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457





Hence, if a bounded PL 4-manifold admits a handle-decomposition consisting of  $m_1$  1-handles and  $m_2$  2-handles (i.e.  $M^4 = H^{(0)} \cup (H_1^{(1)} \cup \cdots \cup H_{m_1}^{(1)}) \cup (H_1^{(2)} \cup \cdots \cup H_{m_2}^{(2)})$ ), then it may be represented by an  $(m_1 + m_2)$ -component link in  $\mathbb{S}^3 = \partial H^{(0)}$ , with  $m_1$  unknotted and unlinked dotted 0-framed components (which correspond to traded 1-handles) and  $m_2$  (possibly knotted and linked) framed components (which correspond to the surgery instructions for the actual 2-handles). If  $(L^{(d)}, c)$  is such a dotted framed link, the present section is devoted to describing an algorithmic way to construct a 5-colored graph representing the associated 4-manifold  $M^4 = M^4(L^{(d)}, c)$ . A first, minimal step is carried out using the following result.

**Proposition 3.1.** Let  $(K_0^{(d)}, 0)$  be the dotted framed link consisting of a unique dotted component (i.e.  $(K_0^{(d)}, 0)$  is the 0-framed dotted trivial knot). Then, the 5-colored graph  $\tilde{\Lambda}(K_0^{(d)}, 0)$  depicted in Fig. 5 represents the 4-manifold  $\mathbb{S}^1 \times \mathbb{D}^3 = M^4(K_0^{(d)}, 0)$  and admits the same boundary graph as the 5-colored graph  $\tilde{\Lambda}(K_0, 0)$  associated to the underlying framed link (i.e. the 0-framed trivial knot  $(K_0, 0)$ ).

*Proof.* It is very easy to check that the subgraph  $\{H, H'\}$  of  $\tilde{\Lambda}(K_0^{(d)}, 0)$  is a 2-dipole; moreover, the elimination of  $\{H, H'\}$  gives rise to the standard 5-colored graph representing  $\mathbb{S}^1 \times \mathbb{D}^3$  (see, for example, [2, Theorem 3 (iii)]). On the other hand, the last part of the statement immediately follows by direct construction of the boundary graph.

Another important step is due to the characteristic structure of graphs  $\tilde{\Lambda}(L,c)$ .

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

In order to describe it, we need further definitions and results from crystallization theory.

**Definition.** Let  $(\Gamma', \gamma')$  and  $(\Gamma'', \gamma'')$  be two (n+1)-colored graphs and let  $v' \in V(\Gamma')$ and  $v'' \in V(\Gamma'')$  be two internal (resp. boundary) vertices; moreover, let  $\Gamma' #_{\{v',v''\}} \Gamma''$ be the (n+1)-colored graph obtained from  $\Gamma'$  and  $\Gamma''$  by deleting  $\{v', v''\}$  and welding the "hanging" edges of the same color  $c \in \Delta_n$  (resp.  $c \in \Delta_{n-1}$ ). The process leading from  $\Gamma'$ ,  $\Gamma''$  to  $\Gamma' #_{\{v',v''\}} \Gamma''$  is said to be a graph connected sum, while the process leading from  $\Gamma' #_{\{v',v''\}} \Gamma''$  to the disjoint union of  $\Gamma'$  and  $\Gamma''$  is said to be an inverse of a graph connected sum.

**Proposition 3.2 ([2]).** If  $\Gamma'$  and  $\Gamma''$  represent two n-manifolds  $M_1^n$  and  $M_2^n$ , and if v' and v'' are internal (resp. boundary) vertices, then  $\Gamma' \#_{\{v',v''\}}\Gamma''$  represents the n-manifold  $M_1^n \# M_2^n$  (resp.  $M_1^n \partial \# M_2^n$ ), where # (resp.  $\partial \#$ ) is the symbol of connected sum (resp. boundary connected sum).

Let now assume (L, c) is a given framed link, with  $l \geq 2$  components, and let  $(L^{(\hat{l})}, c^{(\hat{l})})$  be the (possibly disconnected) framed link obtained by deleting the last component (i.e.  $L^{(\hat{l})} = L_1 \cup \cdots \cup L_{l-1}$  and  $c^{(\hat{l})} = (c_1, c_2, \ldots, c_{l-1})$ ).

**Proposition 3.3.** Let  $\tilde{\Lambda}^{(\hat{l})}(L,c)$  be the 5-colored graph obtained from  $\tilde{\Lambda}(L,c)$  by deleting the 4-colored edges between  $R_r^{(l)}$  and  $R_r'^{(l)}$ , for  $r \in \{1,2,3\}$ ; then,  $\tilde{\Lambda}^{(\hat{l})}(L,c)$  represents the simply connected 4-manifold associated to the framed link  $(L^{(\hat{l})}, c^{(\hat{l})})$  (or the boundary connected sum of the associated 4-manifolds, in case  $(L^{(\hat{l})}, c^{(\hat{l})})$  has a disconnected planar projection). Moreover, a finite sequence of graph moves exists, which consists of dipole eliminations and possibly inverses of graph connected sums, that transforms  $\tilde{\Lambda}^{(\hat{l})}(L,c)$  into the possibly disconnected graph  $\tilde{\Lambda}(L^{(\hat{l})}, c^{(\hat{l})})$  (resp.  $\partial \tilde{\Lambda}^{(\hat{l})}(L,c)$  into the possibly disconnected graph  $\Lambda(L^{(\hat{l})}, c^{(\hat{l})})$ ).

Proof. Obviously, the first part of the statement is a consequence of the last one, via Proposition 3.2. On the other hand, the 5-colored graph  $\tilde{\Lambda}^{(\hat{l})}(L,c)$  immediately appears to contain five 2-dipoles (i.e. the 2-dipoles  $\bar{\theta}_1^{(l)} = \{P_1^{(l)}, R_1^{(l)}\}, \bar{\theta}_2^{(l)} = \{P_2^{(l)}, R_2^{(l)}\},$  $\bar{\theta}_3^{(l)} = \{P_3^{(l)}, R_3^{(l)}\}, \bar{\theta}_4^{(l)} = \{R_1'^{(l)}, R_2'^{(l)}\},$  $\bar{\theta}_5^{(l)} = \{P_0^{(l)}, R_3'^{(l)}\})$ , whose eliminations make the quadricolor  $Q^{(l)}$  to disappear. Further, the required sequence of graph moves may be easily completed, by simply "following" the subgraph of  $\tilde{\Lambda}(L,c)$  (resp. of  $\Lambda(L,c)$ ) corresponding to the *l*-th component of *L*.

Let now  $(L^{(d)}, c)$  be a dotted framed link. Without loss of generality, we may order the  $l = m_1 + m_2$  (with  $m_1, m_2 > 0$ ) components of L, so that  $L_i$  becomes unknotted, unlinked, dotted and 0-framed, for every  $i \in \{1, \ldots, m_1\}$ . If  $\tilde{\Lambda}(L, c)$  is the 5-colored graph associated to the underlying framed link (L, c), set

$$\tilde{\Lambda}^{(d)}(L,c) = \tilde{\Lambda}^{(\widehat{m_1+1})\cdots(\widehat{m_1+m_2})}(L,c).$$

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

Maria Rita Casali Dotted links, Heegaard diagrams, and colored graphs for PL 4-manifolds

This means that  $\tilde{\Lambda}^{(d)}(L,c)$  is obtained from  $\tilde{\Lambda}(L,c)$  by deleting the 4-colored edges corresponding to the undotted components of  $(L^{(d)},c)$ .

Since  $L_i = K_0$  and  $c_i = 0$  hold for every  $i \in \{1, \ldots, m_1\}$ , Proposition 3.3 directly yields the following

Corollary 3.4. With the above notations, we have

- (i) The 5-colored graph  $\tilde{\Lambda}^{(d)}(L,c)$  represents  $\partial \#_{m_1}(\mathbb{S}^2 \times \mathbb{D}^2)$ .
- (ii) A well-determined sequence of graph moves exists, which consists of a finite number of dipole eliminations and exactly  $m_1 - 1$  inverses of graph connected sums, and transforms  $\partial \tilde{\Lambda}^{(d)}(L,c)$  into  $\bigsqcup_{m_1} \Lambda(K_0,0)$  (i.e. the disjoint union of  $m_1$  copies of the 4-colored graph associated to the 0-framed trivial knot).

We are now able to prove the existence of the already stated algorithmic procedure (Construction 1).

**Theorem 3.5.** Let  $(L^{(d)}, c)$  be a dotted framed link and (L, c) the underlying framed link. Then, there is an algorithm for constructing a 5-colored graph  $\tilde{\Lambda}(L^{(d)}, c)$  such that:

- (i) The graph  $\tilde{\Lambda}(L^{(d)}, c)$  represents the 4-manifold  $M^4(L^{(d)}, c)$ , obtained from  $\mathbb{D}^4$  by adding 1-handles and 2-handles according to  $(L^{(d)}, c)$ .
- (ii) Its boundary graph  $\partial \tilde{\Lambda}(L^{(d)}, c)$  is exactly  $\Lambda(L, c)$ .

*Proof.* First, let us state how to construct  $\tilde{\Lambda}(L^{(d)}, c)$ .

STEP 1: Consider the disjoint union  $\bigsqcup_{m_1} \tilde{\Lambda}(K_0^{(d)}, 0)$  of  $m_1$  copies of the 5-colored graph of Fig. 5, having  $\bigsqcup_{m_1} \Lambda(K_0, 0)$  as boundary graph.

STEP 2: By Corollary 3.4 and [8, Lemma B], a well-determined sequence of graph moves exists, which consists of a finite number of dipole insertions and exactly  $m_1 - 1$  graph connected sums, and transforms  $\bigsqcup_{m_1} \tilde{\Lambda}(K_0^{(d)}, 0)$  into a 5-colored graph  $\Omega(L^{(d)}, c)$  of  $\partial \#_{m_1}(\mathbb{S}^1 \times \mathbb{D}^3) = \mathbb{Y}_{m_1}^4$ , having the same boundary as  $\tilde{\Lambda}^{(d)}(L, c)$ ; STEP 3:  $\tilde{\Lambda}(L^{(d)}, c)$  is simply obtained from  $\Omega(L^{(d)}, c)$  by adding a 4-colored edge

STEP 3:  $\Lambda(L^{(a)}, c)$  is simply obtained from  $\Omega(L^{(a)}, c)$  by adding a 4-colored edge between  $R_r^{(i)}$  and  $R_r'^{(i)}$ , for every  $r \in \{1, 2, 3\}$  and for every  $i \in \{m_1 + 1, \dots, m_1 + m_2\}$ .

Note that the aim of step 2 is to reproduce on 5-colored graphs (starting from  $\bigsqcup_{m_1} \tilde{\Lambda}(K_0^{(d)}, 0)$ , whose boundary graph coincides with  $\bigsqcup_{m_1} \Lambda(K_0, 0)$ ) the inverse sequence of moves on 4-colored graphs described in Corollary 3.4. Obviously, no problem arises from graph connected sums (see Proposition 3.2). On the other hand, if  $\Phi$  is an (n+1)-colored graph representing an n-manifold  $M^n$  and if  $\Gamma$  is obtained from  $\partial \Phi$  by inserting a dipole  $\Theta$  within the colored subgraph  $\Xi$ , then [8, Lemma B] indicates how to obtain another graph  $\overline{\Phi}$  of  $M^n$ , with  $\partial \overline{\Phi} = \Gamma$ . If the dipole  $\Theta$  cannot be directly inserted in  $\Phi$ , then it may be inserted within the so called "double-layer" over  $\Xi$  (which may be added to  $\Phi$  by a finite sequence of dipole insertions: see [8] for details).

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457





Let us now consider the 5-colored graph  $\Omega(L^{(d)}, c)$ . By construction, it really represents  $\mathbb{Y}_{m_1}^4 = H^{(0)} \cup (H_1^{(1)} \cup \cdots \cup H_{m_1}^{(1)})$  and has the same boundary as  $\tilde{\Lambda}^{(d)}(L, c)$ . Thus, for every  $i \in \{m_1 + 1, \dots, m_1 + m_2\}$ , the addition of the 4-colored edges between  $R_r^{(i)}$  and  $R_r^{\prime(i)}$ , for  $r \in \{1, 2, 3\}$ , has the topological effect of adding a 2dipole according to the surgery instructions corresponding to the *i*-th (undotted) component of  $(L^{(d)}, c)$ . (Recall the hint of proof for Proposition 2.1 given in the second section.)

Example 3.6. If  $(L^{d}), c)$  is the dotted framed link depicted in Fig. 6(a), then Construction 1 allows us to algorithmically construct the 5-colored graph  $\tilde{\Lambda}(L^{(d)}, c)$  of Fig. 6(b). Note that it has the same boundary graph as the 5-colored graph  $\tilde{\Lambda}(L, (0, 0))$  shown in Fig. 4(c) (i.e. the 4-colored graph  $\Lambda(L, (0, 0))$  shown in Fig. 4(b)). Moreover, the link calculus for 4-manifolds (see [9] or [19]) ensures that  $\tilde{\Lambda}(L^{(d)}, c)$  represents the

> Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

4-disk  $\mathbb{D}^4$ .

## 4. From Heegaard diagrams to crystallizations of closed 4-manifolds

The present section takes into account the case of a dotted framed link  $(L^{(d)}, c)$  such that the 3-manifold represented by its underlying framed link is a connected sum of  $m_3 \geq 0$  copies of  $\mathbb{S}^1 \times \mathbb{S}^2$  (i.e.  $(L^{(d)}, c)$  such that  $\partial M^4(L^{(d)}, c) = M^3(L, c) = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$ , where  $\#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$  is intended to indicate the 3-sphere  $\mathbb{S}^3$ , in case  $m_3 = 0$ ). As already pointed out in the introduction, such a dotted framed link uniquely represents the closed 4-manifold  $\overline{M}^4 = M^4(L^{(d)}, c) \cup \mathbb{Y}^4_{m_3}$ ; in other words—according to [19]— $(L^{(d)}, c)$  turns out to be equivalent to a Heegaard diagram  $(\#_{m_1}(\mathbb{S}^1 \times \mathbb{S}^2), \omega)$  of  $\overline{M}^4$ .

Unfortunately, known results about the characterization of  $\mathbb{S}^3$  and/or  $\#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$ (see [20] and [21]) are not so useful for concrete applications, both to crystallization theory and to other classical representation methods for 3-manifolds. However, the following combinatorial structures within 4-colored graphs yield interesting information about the associated 3-manifolds.

**Definition.** Let  $(\Gamma, \gamma)$  be a 4-colored graph representing a closed orientable 3-manifold  $M^3$ .

(i) Two *i*-colored edges  $e, f \in E(\Gamma)$   $(i \in \Delta_3)$  are said to be a  $\rho_2$ -pair (resp. a  $\rho_3$ -pair) if e and f belong both to the same  $\{i, j\}$ -colored cycle and to the same  $\{i, k\}$ -colored cycle of  $\Gamma$ , with  $j, k \in \Delta_3 - \{i\}$  (resp. to the same  $\{i, c\}$ -colored cycle of  $\Gamma$ , for every  $c \in \Delta_3 - \{i\}$ ).

The *switching* of the  $\rho_2$ -pair (resp.  $\rho_3$ -pair) is the local process depicted in Fig. 7.

(ii) Four distinctly colored edges  $e_0, e_1, e_2, e_3 \in E(\Gamma)$  are said to be a *handle* if they pairwise belong to the same bicolored cycle.

The *breaking* of the handle is the local process depicted in Fig. 8.

*Remark.* It is very easy to check that every  $\rho_3$ -pair implies the existence of a handle, too (see the captions of Fig. 7). On the contrary, if  $(\Gamma, \gamma)$  contains a handle, another 4-colored graph containing a  $\rho_3$ -pair of color *i* may be obtained by inserting a 1-dipole of color *i* (see Fig. 9).

**Proposition 4.1 ([16]).** Let  $(\Gamma, \gamma)$  be a 4-colored graph representing a closed orientable 3-manifold  $M^3$ .

(i) If  $(\Gamma', \gamma')$  is obtained from  $(\Gamma, \gamma)$  by switching a  $\rho_2$ -pair (resp.  $\rho_3$ -pair), then  $|K(\Gamma')| = |K(\Gamma)| = M^3$  (resp.  $|K(\Gamma)| = M^3 = |K(\Gamma')| \#(\mathbb{S}^1 \times \mathbb{S}^2))$ .

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457









Figure 8





Figure 9

449

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

(ii) If the 4-colored graph (Γ', γ') obtained from (Γ, γ) by breaking a handle is connected, then |K(Γ)| = M<sup>3</sup> = |K(Γ')|#(S<sup>1</sup> × S<sup>2</sup>).

*Remark.* In case the 4-colored graph  $(\Gamma', \gamma')$  obtained from  $(\Gamma, \gamma)$  by breaking a handle consists of two connected components  $\Gamma'_1$  and  $\Gamma'_2$ , then  $\Gamma = \Gamma'_1 \# \Gamma'_2$ ; thus, according to Proposition 3.2,  $|K(\Gamma)| = |K(\Gamma'_1)| \# |K(\Gamma'_2)|$ .

The following results allow us to algorithmically construct a 5-colored graph  $\bar{\Lambda}(L^{(d)}, c)$  representing the closed 4-manifold  $\bar{M}^4$  (Construction 2), in case the dotted framed link  $(L^{(d)}, c)$  could be recognized as being a Heegaard diagram via  $\rho_3$ -pairs and/or handles in the 4-colored graph  $\Lambda(L, c)$ .

**Proposition 4.2.** Let us assume  $\Lambda(L,c)$  contains  $m_3 \rho_3$ -pairs of color i  $(i \in \Delta_3)$ , whose switching yields a 4-colored graph H representing  $\mathbb{S}^3$ . Then,  $\overline{\Lambda}(L^{(d)},c)$  is obtained from  $\overline{\Lambda}(L^{(d)},c)$  by simply adding a 4-colored edge for every pair of *i*-adjacent vertices in H.

*Proof.* By Proposition 4.1(i), the hypothesis implies

$$\partial M^4(L^{(d)}, c) = M^3(L, c) = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2).$$

In order to prove the statement, we have to consider the described regular 5-colored graph  $\bar{\Lambda} = \bar{\Lambda}(L^{(d)}, c)$  and to check that it represents the unique closed 4-manifold  $\bar{M}^4 = M^4(L^{(d)}, c) \cup \mathbb{Y}^4_{m_3}$ .

First of all, we construct a 5-colored graph  $\tilde{H}$  by applying the following procedure to the graph H (thought of as a 5-colored graph with boundary, representing  $\mathbb{D}^4$ ): for each  $\rho_3$ -pair  $\{e_r, f_r\}$   $(r \in \{1, \ldots, m_3\})$  in  $\Lambda = \Lambda(L, c)$ , insert a 3-dipole  $\Theta_r = \{X_r, Y_r\}$  of colors  $\Delta_3 - \{i\}$  and add a 4-colored edge, as indicated in Figs. 10(a), 10(b). By [2, Theorem 3 (iii)], it is easy to check that the resulting 5-colored graph  $\tilde{H}$  represents a 4-dimensional handlebody  $\mathbb{Y}^4_{m_3}$  of genus  $m_3$ ; moreover, the boundary graph  $\partial \tilde{H}$  exactly coincides with  $\partial \tilde{\Lambda}(L^{(d)}, c) = \Lambda$ .

Now, let  $\overline{H}$  be the regular 5-colored graph obtained from  $\overline{H}$  by adding a 4-colored edge for every pair of *i*-adjacent vertices in H (see Fig. 10(c)). Note that, for every  $r \in \{1, \ldots, m_3\}, \{X_r, Y_r\}$  are joined in  $\overline{H}$  by three edges (colored by  $\Delta_3 - \{i\}$ ), but belonging to the same  $\{i, 4\}$ -colored cycle of  $\overline{H}$ ; hence, by [2, Theorem 14 (b')], the 5-colored graph  $\overline{H'}$  obtained from  $\overline{H}$  by deleting  $\{X_r, Y_r\}$  and by welding the "hanging" edges of the same color  $c \in \{i, 4\}$ , is such that  $|K(\overline{H})| = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^3) \# |K(\overline{H'})|$ .

Moreover, since  $\overline{H}'$  is obtained from the 4-colored graph H (representing  $\mathbb{S}^3$ ) by adding a parallel 4-colored edge for every *i*-colored edge, then  $|K(\overline{H}')| = \mathbb{S}^4$  easily follows (see [12, section 4], where the notion of "suspension graph" is introduced and analyzed).

Hence, the passage from  $\tilde{H}$  to  $\bar{H}$  has the topological effect of transforming  $|K(\tilde{H})| = \mathbb{Y}_{m_3}^4$  into  $|K(\bar{H})| = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^3)$ . This means that the identification of tetrahedra of  $K(\tilde{H})$  associated to *i*-adjacent vertices in H corresponds to the unique

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457



Figure 10

(see [19]) PL-homeomorphism  $\phi : \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2) \to \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$  giving rise to the attaching map for 3- and 4-handles.

Finally, since  $K(\bar{\Lambda})$  is obtained from  $K(\tilde{\Lambda})$  by means of the same identification of boundary tetrahedra,  $|K(\bar{\Lambda})| = |K(\tilde{\Lambda})| \cup_{\phi} \mathbb{Y}_{m_3}^4$  directly follows.  $\Box$ 

Example 4.3. If  $(K_0^{(d)}, 0)$  is the 0-framed dotted trivial knot, then it is very easy to check that the 5-colored graph  $\tilde{\Lambda}(K_0^{(d)}, 0)$  depicted in Fig. 5 (and representing  $\mathbb{S}^1 \times \mathbb{D}^3 = \mathbb{Y}_1^4$ ) satisfies the hypothesis of Proposition 4.2, with  $m_3 = 1$  and i = 1. Hence, Construction 2 may be easily performed, by a boundary identification. The resulting regular 5-colored graph  $\bar{\Lambda}(K_0^{(d)}, 0)$  (representing  $\bar{M}^4(K_0^{(d)}, 0) = \mathbb{Y}_1^4 \cup \mathbb{Y}_1^4 = \mathbb{S}^1 \times \mathbb{S}^3$ ) is shown in Fig. 11.

Example 4.4. If  $(L^{d}), c)$  is the dotted framed link depicted in Fig. 6(a), then the 5colored graph  $\tilde{\Lambda}(L^{(d)}, c)$  shown in Fig. 6(b) (and representing the 4-disk  $\mathbb{D}^4$ ) trivially satisfies the hypothesis of Proposition 4.2, with  $m_3 = 0$ : hence, Construction 2 may be easily performed, by a boundary identification. The resulting regular 5-colored graph  $\bar{\Lambda}(L^{(d)}, c)$  (representing  $\bar{M}^4(L^{(d)}, c) = \mathbb{D}^4 \cup \mathbb{D}^4 = \mathbb{S}^4$ ) is shown in Fig. 12.

**Proposition 4.5.** Let us assume  $\Lambda(L, c)$  contains  $m_3$  handles, whose breaking yields a connected 4-colored graph representing  $\mathbb{S}^3$ . Then, a well-determined sequence of dipole moves exists, which transforms  $\tilde{\Lambda} = \tilde{\Lambda}(L^{(d)}, c)$  into a 5-colored graph  $\tilde{\tilde{\Lambda}}$  with the following properties:

(i) The 4-colored graph  $\partial \tilde{\Lambda}$  contains  $m_3 \rho_3$ -pairs of color  $i \ (i \in \Delta_3)$ .

451

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457



Figure 11



Figure 12

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

(ii) The 5-colored graph  $\overline{\Lambda}(L^{(d)}, c)$  may be obtained by suitably adding 4-colored edges to  $\tilde{\tilde{\Lambda}}$ .

Proof. As a consequence of the Remark before Proposition 4.1,  $m_3$  suitable insertions of 1-dipoles of color i ( $i \in \Delta_3$ ) into  $\Lambda(L, c)$  give rise to a 4-colored graph containing  $m_3 \ \rho_3$ -pairs of color i. By [8, Lemma B], the above sequence of dipole insertions may be reproduced on 5-colored graphs, starting from  $\tilde{\Lambda}(L^{(d)}, c)$  (whose boundary is exactly  $\Lambda(L, c)$ ). Now, if  $\tilde{\Lambda}$  is the resulting 5-colored graph, property (i) is satisfied by construction; on the other hand, property (ii) directly follows by making use of Proposition 4.2.

Unfortunately, the following statement proves that the assumptions of Proposition 4.2 and/or of Proposition 4.5 are not always satisfied, even if  $M^3(L,c) = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$  is assumed to hold.

**Proposition 4.6.** Let (G,g) be the 4-colored graph depicted in Fig. 13(b). Then:

- (i)  $|K(G)| = \mathbb{S}^1 \times \mathbb{S}^2$ .
- (ii) No handle is contained in (G, g).

*Proof.* As far as statement (i) is concerned, it is sufficient to note that  $(G,g) = \Lambda(\bar{L}, (0,0,0))$ , where  $\bar{L}$  denotes the "trivial chain with three rings" depicted in Fig. 13(a) (without additional curls). Further, part (ii) follows by direct checking.  $\Box$ 

Note that in [16, page 125] a conjecture is stated, which would imply the existence of handles in every 4-colored graph representing  $\mathbb{S}^1 \times \mathbb{S}^2$ ; thus, Proposition 4.6 provides a counterexample to Lins's conjecture:

Corollary 4.7. Conjecture 5 of [16, page 125] is false.

Let us now conclude the paper with the general theorem about Construction 2.

**Theorem 4.8.** Let  $(L^{(d)}, c)$  be any dotted framed link representing a closed 4-manifold  $\overline{M}^4 = \overline{M}^4(L^{(d)}, c)$  (i.e.  $(L^{(d)}, c)$  such that  $M^3(L, c) = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$ ). Then, a finite sequence of dipole moves exists, which transforms  $\tilde{\Lambda} = \tilde{\Lambda}(L^{(d)}, c)$  into a 5-colored graph  $\tilde{\tilde{\Lambda}}$  with the following properties:

- (i) The 4-colored graph  $\partial \tilde{\Lambda}$  contains  $m_3 \rho_3$ -pairs of color  $i \ (i \in \Delta_3)$ .
- (ii) The 5-colored graph  $\bar{\Lambda}(L^{(d)}, c)$  may be obtained by suitably adding 4-colored edges to  $\tilde{\tilde{\Lambda}}$ .

Proof. By hypothesis, the 4-colored graph  $\Lambda(L,c)$  represents  $M^3 = M^3(L,c) = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$ . Obviously, if  $\Lambda(L,c)$  contains  $m_3 \ \rho_3$ -pairs of color  $i \ (i \in \Delta_3)$ , we may set  $\tilde{\Lambda} = \tilde{\Lambda}(L^{(d)},c)$ . On the other hand, if  $\Lambda(L,c)$  contains  $m_3$  handles, the required

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457



Figure 13

Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

Dotted links, Heegaard diagrams, and colored graphs for PL 4-manifolds



Figure 14

5-colored graph  $\tilde{\Lambda}$  is proved to exist (and well-determined) by Proposition 4.5. Otherwise, let  $(G^{(m_3)}, g^{(m_3)})$  be a fixed 4-colored graph representing  $M^3 = \#_{m_3}(\mathbb{S}^1 \times \mathbb{S}^2)$  and containing  $m_3 \ \rho_3$ -pairs of color  $i \ (i \in \Delta_3)$ : for example,  $(G^{(m_3)}, g^{(m_3)})$  may be obtained by considering  $m_3$  copies of the standard order eight 4-colored graph representing  $\mathbb{S}^1 \times \mathbb{S}^2$  and by performing  $m_3 - 1$  graph connected sums. The Main Theorem of [6] ensures the existence of a finite sequence of dipole moves which transforms  $\Lambda(L,c)$  into  $(G^{(m_3)}, g^{(m_3)})$ ; moreover, by [8, Lemma A and Lemma B], the above sequence of dipole insertions may be reproduced on 5-colored graphs, starting from  $\tilde{\Lambda}(L^{(d)},c)$  (whose boundary is exactly  $\Lambda(L,c)$ ). Now, if  $\tilde{\Lambda}$  is the resulting 5-colored graph, property (i) is satisfied by construction, while property (ii) directly follows by making use of Proposition 4.2.

Example 4.9. If  $(L^{(d)}, c)$  is the dotted framed link depicted in Fig. 14, then the associated 5-colored graph  $\tilde{\Lambda}(L^{(d)}, c)$  has the 4-colored graph  $\Lambda(L, c) = (G, g)$  depicted in Fig. 13(b)) as boundary graph. Since (G, g) does not contain  $\rho_3$ -pairs, Proposition 4.2 can not be applied. Notwithstanding this, it is easy to check that a finite sequence of dipole eliminations (more precisely, the subsequent eliminations of 1-dipole  $\{v_1, v_2\}$  and 2-dipoles  $\{v_3, v_4\}$ ,  $\{v_5, v_6\}$ ,  $\{v_7, v_8\}$ ,  $\{v_9, v_{10}\}$ , according to the captions of Fig. 13(b)) transforms (G, g) into a 4-colored graph containing a  $\rho_3$ -pair of color 2 (which corresponds to the pair of edges  $\{e, f\}$  of (G, g), according to the captions of Fig. 13(b)). Hence, by Theorem 4.8, a regular 5-colored graph  $\bar{\Lambda}(L^{(d)}, c)$  of the associated closed 4-manifold  $\bar{M}^4$  may be constructed by reproducing on  $\tilde{\Lambda}(L^{(d)}, c)$  the above sequence of moves, and finally by applying Proposition 4.2. It is not difficult to check—by making use of [8, Lemma A]—that the resulting 5-colored graph  $\bar{\Lambda}(L^{(d)}, c)$  is simply obtained from  $\tilde{\Lambda}(L^{(d)}, c)$  by adding a 4-colored edge for every pair of boundary vertices corresponding to vertices of type  $\{v_i, v_{i+1}\}$  in (G, g), for any odd index *i*.

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Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

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Revista Matemática Complutense 2004, 17; Núm. 2, 435–457

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