

Note on The Riemann-Hilbert Correspondence and Deformation of Lattices

李自然 (Speaking date: Nov.21, 2016)

This note is based on Chapters II and III of [Sabbah], C. Sabbah's book "Isomonodromic Deformations and Frobenius Manifolds: An Introduction."

1 Introduction: Sheaves and their non-abelian cohomologies

Consider the system of linear differential equations on $t \in \mathbb{C}$:

$$\frac{ds}{dt} + A(t)s = 0, \tag{1}$$

where $\mathbf{s} = [s_1(t), \dots, s_d(t)]^T$ and $A(t)$ is a $d \times d$ (holomorphic or meromorphic) matrix function on \mathbb{C} .

We can use the language of connections and sheaves to rewrite the equation (1):

- Linear differential equation (1) \Rightarrow Bundles with connections:
 - $M := \mathbb{C}$;
 - $E := M \times \mathbb{C}^d$ trivial bundle over M ;
 - Connection ∇ on E with connection 1-form $A(t)dt$ with respect to the canonical frame e_1, \dots, e_d of this trivial bundle.
- Sheafify E (in fact a general process for any vector bundle E over M):
 - $E \rightsquigarrow \mathcal{E}$, $\mathcal{E}(U) := \Gamma(U, E)$ for open subsets $U \subset M$; thus get a sheaf \mathcal{E} over M , the sheafification of E ;
 - The induced connection ∇ on \mathcal{E} : a sheaf morphism

$$\begin{aligned} \nabla : \mathcal{E} &\rightarrow \Omega_M^1 \otimes_{\mathcal{O}_M} \mathcal{E} && \text{(holomorphic)} \\ \text{or } \nabla : \mathcal{E} &\rightarrow \Omega_M^1(*Z) \otimes_{\mathcal{O}_M} \mathcal{E} && \text{(meromorphic with poles along } Z \subset M). \end{aligned}$$
- Solutions to equation (1) \Leftrightarrow Horizontal sections of ∇ :
 - $E^\nabla := \ker[\nabla : \mathcal{E} \rightarrow \Omega_M^1 \otimes_{\mathcal{O}_M} \mathcal{E}]$ (a sheaf over M); sections of E^∇ are called horizontal sections with respect to ∇ ;
 - $\mathbf{s} = \sum_{i=1}^d s_i e_i \in E^\nabla(M) \Leftrightarrow \nabla \mathbf{s} = \sum_{i,j} (ds_i + A_{ij} s_j dt) \otimes e_i = 0 \Leftrightarrow \frac{ds}{dt} + A(t)\mathbf{s} = 0$.
- The gauge transformation $\mathbf{s} = P\tilde{\mathbf{s}}$ in (1) corresponds to the base change $[\tilde{e}_1 \cdots \tilde{e}_d] = [e_1 \cdots e_d]P$ of the connection 1-form of ∇ .

1.1 The 1st nonabelian cohomology

Let M be a complex analytic manifold, \mathcal{G} a sheaf of groups (not necessarily abelian) over M , and \mathcal{U} an open cover of M . We define the following two objects:

- 1-cocycles: those $(\psi_{UV} \in \Gamma(U \cap V, \mathcal{G}))$ satisfying the cocycle condition $\psi_{UV}\psi_{VW} = \psi_{UW}$ for all $U, V, W \in \mathcal{U}$;
- 1-coboundaries: those $(\eta_U \eta_V^{-1} \in \Gamma(U \cap V, \mathcal{G}))$ where $\eta_U \in \Gamma(U, \mathcal{G})$ for each $U \in \mathcal{U}$.

Then we define the 1st nonabelian cohomology of \mathcal{G} relative to \mathcal{U} as

$$H^1(\mathcal{U}, \mathcal{G}) := \{\text{1-cocycles}\} / \sim$$

where $\psi \sim \psi' \Leftrightarrow$ there is a 1-coboundary η such that $\psi'_{UV} = \eta_U \psi_{UV} \eta_V^{-1}$ on $U \cap V$.

Finally, we define the 1st nonabelian cohomology of \mathcal{G} as

$$H^1(M, \mathcal{G}) := \varinjlim_{\mathcal{U}} H^1(\mathcal{U}, \mathcal{G}) \text{ (in fact } = \bigcup_{\mathcal{U}} H^1(\mathcal{U}, \mathcal{G})\text{);}$$

note that each $H^1(\mathcal{U}, \mathcal{G}) \hookrightarrow H^1(M, \mathcal{G})$.

2 The Riemann-Hilbert correspondence for regular singularities on a Riemann surface

2.1 The monodromy representation

Consider the following setting:

$$\begin{array}{ccc} \gamma^{-1} \mathcal{F} & \longrightarrow & \mathcal{F} \\ \downarrow & & \downarrow \text{locally constant sheaf} \\ ([0, 1], 0) & \xrightarrow{\gamma} & (X, o). \end{array}$$

Define the monodromy $T_\gamma^{\mathcal{F}}$ as:

$$T_\gamma^{\mathcal{F}} : \begin{array}{ccc} \mathcal{F}_o = (\gamma^{-1} \mathcal{F})_0 & \longrightarrow & (\gamma^{-1} \mathcal{F})_1 = \mathcal{F}_o \\ s_0 & \longmapsto & s(1) \end{array} \quad (\exists! s \in \Gamma([0, 1], \gamma^{-1} \mathcal{F}) \text{ such that } s(0) = s_0).$$

We find that $T_\gamma^{\mathcal{F}}$ remains invariant when γ varies in the same homotopy class in $\pi_1(X, o)$. Thus we get a monodromy representation

$$T^{\mathcal{F}} : \pi_1(X, o) \rightarrow \text{GL}(\mathcal{F}_o).$$

2.2 The main theorem

Theorem 2.1 (The Riemann-Hilbert correspondence for regular singularities, [Sabbah, Sec.II.3.a]). Let M be a (connected) Riemann surface and let Σ be a discrete subset of points of M (to be the regular singularities). Consider the following three categories:

- \mathfrak{B} : the category of meromorphic bundles with connections having regular singularities along Σ ;
- \mathfrak{S} : the category of locally constant sheaves of \mathbb{C} -vector spaces on $M \setminus \Sigma$;
- \mathfrak{R} : the category of finite-dimensional representations of $\pi_1(M \setminus \Sigma)$.

They are equivalent categories via the following identification:

$$\begin{array}{ccccc} \mathfrak{B} & \xrightarrow{\sim} & \mathfrak{S} & \xrightarrow{\sim} & \mathfrak{R} \\ (\mathcal{M}, \nabla) & \mapsto & (\mathcal{M}^\nabla)|_{M \setminus \Sigma} & \mapsto & T^\mathcal{F} \\ & & \mathcal{F} & & \end{array}$$

Sketch of proof: We take $\mathfrak{S} \simeq \mathfrak{R}$ for granted. Let us show $\mathfrak{B} \simeq \mathfrak{S}$. First we consider this problem locally, and then may assume $\Sigma = \{p\}$ a point, and assume M is a disc centered at p , so that $\pi_1(M \setminus \{p\}) = \mathbb{Z}$. Then given any finite-dimensional representation of $\pi_1(M \setminus \{p\}) = \mathbb{Z}$ is equivalent to give any $T \in \mathrm{GL}(d, \mathbb{C})$ ($d := \dim M$). If we are given a $T \in \mathrm{GL}(d, \mathbb{C})$, we may use the technique in §1 and consult the theory of linear differential equations with regular singularities to produce a differential equation so that the associated horizontal bundle has monodromy T (one may need the fact $\exp : M(d, \mathbb{C}) \rightarrow \mathrm{GL}(d, \mathbb{C})$ is surjective). The global problem follows from gluing the local horizontal bundles and then tensoring the global bundle with $\mathcal{O}_M(*\Sigma)$. \diamond

3 The Riemann-Hilbert correspondence for irregular singularities via the Stokes sheaf

In this section X is a complex analytic manifold, and D is the unit disc in \mathbb{C} .

3.1 The sheaf \mathcal{A}

- Polar coordinate $\pi : \tilde{D} := [0, r^0) \times S^1 \rightarrow D$
 $(r, e^{i\theta}) \mapsto t = re^{i\theta}$.

(We call \tilde{D} the real blow-up of D at the origin.)

- $\mathcal{C}_{\tilde{D} \times X}^\infty := i^{-1} \mathcal{C}_{(-\varepsilon, r^0) \times S^1 \times X}^\infty$ via the inclusion $\tilde{D} \times X \hookrightarrow (-\varepsilon, r^0) \times S^1 \times X$.
- $\mathcal{A}_{\tilde{D} \times X}$ is defined to be the intersection

$$\ker \left(\bar{t} \frac{\partial}{\partial \bar{t}} = \frac{1}{2} \left(r \frac{\partial}{\partial r} + i \frac{\partial}{\partial \theta} \right) \in \mathrm{End}(\mathcal{C}_{\tilde{D} \times X}^\infty) \right) \cap \left(\bigcap_j \ker \left(\frac{\partial}{\partial x^j} \in \mathrm{End}(\mathcal{C}_{\tilde{D} \times X}^\infty) \right) \right).$$

3.2 The good model

A "good model" is a meromorphic bundle $\mathcal{M}^{\text{good}}$ over $D \times X$ equipped with a *flat* connection ∇^{good} with poles along $\{0\} \times X$, such that the following property holds: For all $x^0 \in X$, there are $\varphi_1, \dots, \varphi_p \in t^{-1}\mathcal{O}_{X, x^0}[t^{-1}]$ and nonzero bundles $\mathcal{R}_{\varphi_1}, \dots, \mathcal{R}_{\varphi_p}$ with regular singularities along $\{0\} \times X$, such that:

- $\mathcal{M}^{\text{good}} \simeq \bigoplus_k (\mathcal{E}^{\varphi_k} \otimes \mathcal{R}_{\varphi_k})$ in a neighborhood of x^0 (here $\mathcal{E}^\varphi = \mathbb{C}\{t, x\}[t^{-1}]$ with connection 1-form $-\text{d}\varphi$);
- $\text{ord}_{t=0}(\varphi_k - \varphi_l)(t, x)$ does not depend on x in a neighborhood of x^0 for all $k \neq l$.

This good model also induces the following sheaves of bundles that will be used later:

- $\widetilde{\mathcal{M}}^{\text{good}} := \mathcal{A}_{D \times X} \otimes_{\mathcal{O}_{D \times X}} \mathcal{M}^{\text{good}}$;
- $\widehat{\mathcal{M}}^{\text{good}} := \widehat{\mathcal{O}}_{D \times X} \otimes_{\mathcal{O}_{D \times X}} \mathcal{M}^{\text{good}}$;
- $\text{Aut}^{<X}(\widetilde{\mathcal{M}}^{\text{good}}) := \ker \left(\text{Aut}(\widetilde{\mathcal{M}}^{\text{good}}|_{S^1 \times X}) \rightarrow \text{Aut}(\widehat{\mathcal{M}}^{\text{good}}|_{S^1 \times X}) \right)$ where the automorphisms on the right hand side are required to be compatible with connections. Its local sections are "Stokes matrices."

3.3 The Stokes sheaf and the sheaf \mathcal{H}_X

From now on, till the end of this section, we will FIX a good model $(\mathcal{M}^{\text{good}}, \nabla^{\text{good}})$. Now we introduce two additional sheaves and a morphism between them, which will be the main objects in this section:

- The Stokes sheaf \mathbf{St}_X over X is defined by

$$\mathbf{St}_X(U) := H^1(S^1 \times U, \text{Aut}^{<X}(\widetilde{\mathcal{M}}^{\text{good}})) \text{ for open subsets } U \subset X.$$

Here we use the 1st nonabelian cohomology introduced in §1.1.

- The sheaf \mathcal{H}_X over X is defined by

$$\mathcal{H}_X(U) := \frac{\{(\mathcal{M}, \nabla, \hat{f}) \text{ on } D \times U \mid \hat{f} : (\widehat{\mathcal{M}}, \widehat{\nabla})|_{\{0\} \times U} \xrightarrow{\sim} (\widehat{\mathcal{M}}^{\text{good}}, \widehat{\nabla}^{\text{good}})|_{\{0\} \times U}\}}{(\mathcal{M}, \nabla, \hat{f}) \sim (\mathcal{M}', \nabla', \hat{f}') \Leftrightarrow \exists g : (\mathcal{M}, \nabla) \xrightarrow{\sim} (\mathcal{M}', \nabla') \text{ with } \hat{f} = \hat{f}' \circ \hat{g}}$$

for any open subset $U \subset X$.

- The morphism $\Phi : \mathcal{H}_X \rightarrow \mathbf{St}_X$ is defined as follows: for any open subset $U \subset X$, define

$$\begin{aligned} \Phi(U) : \quad \mathcal{H}_X(U) &\longrightarrow \mathbf{St}_X(U) \\ [(\mathcal{M}, \nabla, \hat{f})] &\longmapsto [(f_j f_i^{-1}|_{W_{ij}})_{i,j}] \end{aligned}$$

where (W_i) is an open cover of $S^1 \times U$ and $f_i : (\widetilde{\mathcal{M}}, \widetilde{\nabla})|_{W_i} \xrightarrow{\sim} (\widetilde{\mathcal{M}}^{\text{good}}, \widetilde{\nabla}^{\text{good}})|_{W_i}$ such that $\hat{f}_i = \hat{f}$ (the existence of W_i and f_i is guaranteed by [Sabbah, Thm. II.5.12]).

One may use the definition of the 1st nonabelian cohomology to check that $\Phi(U)$ is well-defined.

3.4 The main theorem

Theorem 3.1 (Classification of meromorphic connections with fixed formal type; the Riemann-Hilbert correspondence for irregular singularities, [Sabbah, Thm.II.6.3]). The morphism $\Phi : \mathcal{H}_X \rightarrow \mathbf{St}_X$ is an isomorphism of sheaves of sets over X .

Proof: It suffices to show that this is a germ-wise isomorphism, namely to show that for every $x^0 \in X$, if $i : S^1 \times \{x^0\} \hookrightarrow S^1 \times X$ is the inclusion, then $\Phi_{x^0} : \mathcal{H}_{X,x^0} \rightarrow H^1(S^1, i^{-1}\text{Aut}^{<X}(\widetilde{\mathcal{M}}^{\text{good}}))$ is an isomorphism.

- **Injectivity of Φ_{x^0} :** Suppose $(M, \nabla, \hat{f}), (M', \nabla', \hat{f}') \in \mathcal{H}_{X,x^0}$ such that their images under Φ_{x^0} are both $\lambda \in H^1(S^1, i^{-1}\text{Aut}^{<X}(\widetilde{\mathcal{M}}^{\text{good}}))$. To make this more precise, may assume there is a finite cover (I_i) of S^1 and an open neighborhood $x^0 \in V \subset X$ such that $f_i : \widetilde{\mathcal{M}} \rightarrow \widetilde{\mathcal{M}}^{\text{good}}, f'_i : \widetilde{\mathcal{M}}' \rightarrow \widetilde{\mathcal{M}}^{\text{good}}$ associated to \hat{f}, \hat{f}' are defined over $I_i \times V$ and make $\lambda = [(f_j f_i^{-1})] = [(f'_j f_i'^{-1})]$. Then, by definition of the 1st nonabelian cohomology, there exist $g_i \in \Gamma(I_i \times V, \text{Aut}^{<X}(\widetilde{\mathcal{M}}^{\text{good}}))$ such that on $I_{ij} \times V = (I_i \cap I_j) \times V$, $f'_j f_i'^{-1} = g_j f_j f_i^{-1} g_i^{-1}$ or

$$f_i^{-1} g_i^{-1} f'_i = f_j^{-1} g_j^{-1} f'_j. \quad (2)$$

So we may set $\sigma_i := f_i^{-1} g_i^{-1} f'_i$ which are compatible with connections, and which glue to $\sigma \in \Gamma(S^1 \times V, \underline{\text{Hom}}(\widetilde{\mathcal{M}}', \widetilde{\mathcal{M}}))$ by (2). Now $\hat{f}' = \hat{f} \circ \hat{\sigma}$ (since $\hat{g}_i = 1$), which implies $(M, \nabla, \hat{f}) \sim (M', \nabla', \hat{f}')$.

- **Surjectivity of Φ_{x^0} :** Suppose $\lambda \in H^1(S^1, i^{-1}\text{Aut}^{<X}(\widetilde{\mathcal{M}}^{\text{good}}))$. Choose an open cover (I_i) of S^1 such that $\lambda = (\lambda_{ij}) \in \Gamma(I_{ij}, i^{-1}\text{Aut}^{<X}(\widetilde{\mathcal{M}}^{\text{good}})) = \text{GL}_d^{<X}(i^{-1}\mathcal{A}_{\widehat{D} \times X})$. Then

$$\lambda_{ij} \lambda_{jk} = \lambda_{ik}; \quad \hat{\lambda}_{ij} = \text{id}_{\mathbb{C}^d};$$

so that by [Sibuya, Thm. 6.4.1], λ is a coboundary with value in $\text{Aut}^{<X}(\widetilde{\mathcal{M}}^{\text{good}})$, i.e. $\lambda = f_j f_i^{-1}$ for some $f_i \in \Gamma(I_i, i^{-1}\text{Aut}(\widetilde{\mathcal{M}}^{\text{good}}))$.

Now we construct the desired object which maps to λ via Φ_{x^0} . Since $\lambda_{ij} = f_j f_i^{-1}$ is compatible with $\nabla^{\text{good}}, \nabla^{\text{good}}(\lambda_{ij}s) = \lambda_{ij}(\nabla^{\text{good}}s)$ for all s , so that

$$f_j^{-1} \nabla^{\text{good}} f_j = f_i^{-1} \nabla^{\text{good}} f_i \text{ over } I_{ij}. \quad (3)$$

On I_i consider $(\widetilde{\mathcal{M}}^{\text{good}}, f_i^{-1} \nabla^{\text{good}} f_i)$; by (3) they glue to $(\widetilde{\mathcal{M}}^{\text{good}}, \nabla)$ with $\nabla|_{I_i} = f_i^{-1} \nabla^{\text{good}} f_i$. Similarly (\hat{f}_i) glue to $\hat{f} : (\widetilde{\mathcal{M}}^{\text{good}}, \nabla) \rightarrow (\widetilde{\mathcal{M}}^{\text{good}}, \nabla^{\text{good}})$. Thus the image of $(\widetilde{\mathcal{M}}^{\text{good}}, \nabla, \hat{f})$ under Φ is λ .

The proof is now complete. \square

3.5 Remarks on the Stokes sheaf

- $\mathbf{St}_X = \mathbf{St}_X(\mathcal{M}^{\text{good}})$ is a locally constant sheaf of (pointed) sets.
- Therefore, via the isomorphism $\Phi : \mathcal{H}_X \xrightarrow{\sim} \mathbf{St}_X$, we find \mathcal{H}_X is also a locally constant sheaf.

4 The rigidity of logarithmic lattices

Theorem 4.1 (Rigidity of deformation of logarithmic lattices, [Sabbah, Prop. III.1.19]). Suppose we are given the following objects:

- A vector bundle E^0 over the unit disc $D \subset \mathbb{C}$ equipped with a flat connection ∇ having only a logarithmic pole at $0 \in D$;
- A simply connected complex analytic manifold X and a specified point $x^0 \in X$.

Then there exists, unique up to isomorphism, a vector bundle E over $D \times X$ equipped with a flat connection ∇ having only logarithmic poles along $\{0\} \times X \subset D \times X$, such that the restriction of (E, ∇) to $D \times \{x^0\} \subset D \times X$ is (E^0, ∇^0) .

Sketch of proof: Consider the canonical projection $p : D \times X \rightarrow D$ and put $(E, \nabla) = p^*(E^0, \nabla^0)$. ◇

5 Deformation of lattices with connections of pole order 1

In this section, D is the unit disc on \mathbb{C} , and X is a connected complex analytic manifold of dimension n with a base point $x^0 \in X$. We say a connection is of pole order 1 along some singularities if it has Poincaré rank 1 there.

5.1 The rank 1 case: local classification

Theorem 5.1 ([Sabbah, Prop.III.2.11]). Suppose \mathcal{E} is a holomorphic *line bundle* over $D \times X$ equipped with a flat connection ∇ having only poles of order 1 along $\{0\} \times X$. Define $(E, \nabla) := (\mathcal{E}, \nabla)_{(0, x^0)}$. Then:

- There exist unique $\lambda(x) \in \mathcal{O}(X)$ and $\mu \in \mathbb{C}$ such that in any local basis of E , the polar part of ∇ is $\omega_{\text{pol}} = -d \left(\frac{\lambda(x)}{t} \right) + \mu \frac{dt}{t}$.
- (E, ∇) admits a non-identically zero holomorphic horizontal section if and only if $\lambda \equiv 0, \mu \in \mathbb{Z}_{\leq 0}$.

5.2 The formal decomposition

Consider the following assumption which will be used later:

Assumption 5.2. $\lambda_1, \dots, \lambda_d : X \rightarrow \mathbb{C}$ are holomorphic functions, and $\lambda_1^0, \dots, \lambda_d^0 \in \mathbb{C}$, such that

- For all $i \neq j$, $\lambda_i - \lambda_j$ is non-vanishing on X ;
- For all i , $\lambda_i(x^0) = \lambda_i^0$.

Theorem 5.3 (The formal decomposition of a lattice of order 1, [Sabbah, Thm.III.2.15]). Suppose that

- E is a holomorphic vector bundle over $D \times X$ (we use (t, x) to denote coordinates on $D \times X$) endowed with a flat connection ∇ having only poles of order 1 along $\{0\} \times X$;
- The "second residue" $R_0(x)$ of ∇ , namely the residue of $t\nabla$, has eigenvalues $\lambda_i(x)$ that satisfy Assumption 5.2.

Then there exists a unique formal decomposition

$$(\widehat{\mathcal{E}}, \widehat{\nabla}) \simeq \bigoplus_{i=1}^d (\widehat{\mathcal{E}}_i, \widehat{\nabla})$$

subjected to the condition that the second residue of $(\widehat{\mathcal{E}}_i, \widehat{\nabla})$ is $\lambda_i(x)$ for all i .

5.3 The main theorem

Theorem 5.4 (Rigidity of deformation of lattices having pole-order 1, [Sabbah, Thm.III.2.10]). Suppose that

- E^0 is a vector bundle over the unit disc $D \subset \mathbb{C}$ equipped with a flat connection ∇ having only a order-1 pole at $0 \in D$;
- The second residue R_0^0 of ∇^0 has eigenvalues $\lambda_1^0, \dots, \lambda_d^0$;
- The parameter space X is simply-connected.

Then there exists, unique up to isomorphism, a holomorphic bundle (E, ∇) over $D \times X$ such that

- The second residue $R_0(x)$ of ∇ has eigenvalues $\lambda_i(x)$ satisfying Assumption 5.2;
- The restriction of (E, ∇) to $D \times \{x^0\}$ is isomorphic to (E^0, ∇^0) .

Sketch of proof:

- Construction of the good formal model: Let $\mathcal{M}^{\text{good}}$ be the trivial bundle on $D \times X$ equipped with a connection ∇^{good} having connection 1-form $\text{diag}(\omega_1, \dots, \omega_d)$ with $(\omega_i)_{\text{pol}} = -d\left(\frac{\lambda_i(x)}{t}\right) + \mu_i \frac{dt}{t}$ where μ_i are determined by (E^0, ∇^0) . Then we get the good formal model $(\widehat{\mathcal{M}}^{\text{good}}, \widehat{\nabla}^{\text{good}})$.
- Construction of the meromorphic bundle: Since X is simply-connected, by §3.5, \mathbf{St}_X is a constant sheaf and so is \mathcal{H}_X . So there is a unique section σ of \mathcal{H}_X such that $\sigma_{x^0} = (M^0, \nabla^0, \hat{f}^0) \in \mathcal{H}_{X, x^0}$ (M^0 is induced by E^0). This σ corresponds to $(\mathcal{M}, \nabla, \hat{f})$ whose restriction to $D \times \{x^0\}$ is isomorphic to $(M^0, \nabla^0, \hat{f}^0)$.
- Construction of (E, ∇) : Take $(\mathcal{E}, \nabla) = (\widehat{\mathcal{E}} \cap \mathcal{M}, \nabla)$ and then we get the corresponding (E, ∇) .

The uniqueness of (E, ∇) can be deduced by appropriately using the local constancy of $\text{Aut}(\widehat{E}^{\text{good}}, \widehat{\nabla}^{\text{good}})$ and the constancy of \mathcal{H}_X . \diamond

6 Reference

- [Sabbah] C. Sabbah, *Isomonodromic Deformations and Frobenius Manifolds: An Introduction*, Springer, 2008.
- [Sibuya] Y. Sibuya, *Linear Differential Equations in the Complex Domain: Problems of Analytic Continuation*, American Mathematical Society, 1990.