The Khovanov homology of slice disks

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Duke Geometry & Topology Seminar

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- Shovanov homology of knotted surfaces
- Movanov homology of slice disks: Khovanov-Jacobsson classes
- 5 Khovanov homology of slice disks: reverse cobordisms

6 Future work

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Recall: We can view the 3-sphere and 4-ball as follows:

- $S^3 = \mathbb{R}^3 \cup \{\infty\}$
- $B^4 = S^3 \times [0,1]/S^3 \times \{0\}$

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This allows us to view surfaces $F \subset B^4$ by their level sets $F_i = F \cap (S^3 \times \{i\})$.

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Example: A sphere in the 4-ball might look like:



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Takeaway: We can answer this question by describing the level sets of a disk D.

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Definition of	a slice disk				

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Classic Question:

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Classic Question:

Given a knot K in the 3-sphere S^3 , when does K bound a **smooth** disk D properly embedded in the 4-ball B^4 ?

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Classic Question:

Given a knot K in the 3-sphere S^3 , when does K bound a **smooth** disk D properly embedded in the 4-ball B^4 ?

Definition

A knot $K \subset S^3$ that bounds a smooth, properly embedded disk $D \subset B^4$ is a **slice knot** and D is a **slice disk**.

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Example of a	a slice disk				

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The knot 9_{46} is slice, with slice disk D_ℓ described by the following level sets:

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Equivalence of slice disks					

Follow-up Question:

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Follow-up Question:

Are D_{ℓ} and D_r isotopic?

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Answer:

Yes - by a rotation!



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Maybe? Not exactly easy to tell without doing some math...

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We need techniques for studying surfaces up to boundary-preserving isotopy!

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Methods for studying slice disks					

There are multiple ways to study slice disks up to boundary-preserving isotopy:

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• fundamental group of the compliment (e.g. Auckly-Kim-Melvin-Ruberman)
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- Khovanov homology

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Link cobor	disms				

Definition. A link cobordism $\Sigma: L_0 \to L_1$ is a smooth, compact, oriented, properly embedded surface $\Sigma \subset S^3 \times [0, 1]$ with boundary a pair $(i \in \{0, 1\})$ of oriented links $L_i = \Sigma \cap (S^3 \times \{i\})$.

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Examples: slices $(\emptyset \to K)$, closed surfaces $(\emptyset \to \emptyset)$, Seifert surfaces $(\emptyset \to K)$

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Examples: slices $(\emptyset \to K)$, closed surfaces $(\emptyset \to \emptyset)$, Seifert surfaces $(\emptyset \to K)$

Definition. A link cobordism $\Sigma: L_0 \to L_1$ can be represented as a **movie**: a finite sequence of diagrams $\{D_{t_i}\}_{i=0}^n$, with each successive pair related by an isotopy, Morse move, or Reidemeister move.



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Idea of Khov	vanov homo	ology			

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Idea of K	hovanov homo	ology			

• links are assigned chain complexes with associated homology groups (or more generally, *R*-modules)

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- link cobordisms are assigned chain maps with induced homomorphisms (or more generally, *R*-linear maps)

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Khovanov h	omology o	of links			

A diagram D of an oriented link L induces a chain complex CKh(D) with homology Kh(D), called the Khovanov homology.

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A diagram D of an oriented link L induces a chain complex CKh(D) with homology Kh(D), called the Khovanov homology.

How do we define this chain complex?



 $\bullet\,$ Choose a diagram D for your link

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- Choose a diagram D for your link
- Smooth each crossing \succsim in D as a $0\text{-smoothing} \succsim$ or a $1\text{-smoothing} \)($

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- \bullet Label each resulting component with a $1~{\rm or}$ an x
- Generate $\mathcal{C}\mathsf{Kh}(D)$ over \mathbbm{Z} with all possible *labeled smoothings*

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A diagram D of an oriented link L induces a chain complex CKh(D) with homology Kh(D), called the Khovanov homology.

Properties:

• Different diagrams have isomorphic Khovanov homology (we write Kh(L) to mean: choose a diagram D for L and consider Kh(D))

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- We set $\mathcal{C}\mathsf{Kh}(\emptyset) = \mathbb{Z}$ and $\mathsf{Kh}(\emptyset) = \mathbb{Z}$

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- We set $\mathcal{C}\mathsf{Kh}(\emptyset) = \mathbb{Z}$ and $\mathsf{Kh}(\emptyset) = \mathbb{Z}$
- There is a bigrading $\mathcal{C}\mathsf{Kh}^{h,q}(D)$
- There is a differential $d \colon \mathcal{C}\mathsf{Kh}^{h,q}(D) \to \mathcal{C}\mathsf{Kh}^{h+1,q}(D)$

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Khovanov ł	nomology o	of surfaces			

A movie $\{D_{t_i}\}_{i=0}^n$ of a link cobordism $\Sigma: L_0 \to L_1$ induces a chain map

 $\mathcal{C}\mathsf{Kh}(\Sigma)\colon \mathcal{C}\mathsf{Kh}(D_0)\to \mathcal{C}\mathsf{Kh}(D_1)$

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How do we define these chain maps?

• The diagrams D_{t_i} in the movie each have an associated chain complex

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- \bullet Adjacent frames $D_{t_i} \to D_{t_{i+1}}$ are related by an isotopy, Morse move, or Reidemeister moves

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- Define chain maps for each of these moves

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- The diagrams D_{t_i} in the movie each have an associated chain complex
- \bullet Adjacent frames $D_{t_i} \to D_{t_{i+1}}$ are related by an isotopy, Morse move, or Reidemeister moves
- Define chain maps for each of these moves
- Compose these chain maps to produce $\mathcal{C}\mathsf{Kh}(\Sigma)$

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Properties:

• This map is also bigraded:

$$\mathcal{C}\mathsf{Kh}(\Sigma)\colon \mathcal{C}\mathsf{Kh}^{h,q}(D_0)\to \mathcal{C}\mathsf{Kh}^{h,q+\chi(\Sigma)}(D_1)$$

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Khovanov h	nomology (of surfaces			

A movie $\{D_{t_i}\}_{i=0}^n$ of a link cobordism $\Sigma: L_0 \to L_1$ induces a chain map

 $\mathcal{C}\mathsf{Kh}(\Sigma)\colon \mathcal{C}\mathsf{Kh}(D_0)\to \mathcal{C}\mathsf{Kh}(D_1)$

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• Generally, they are difficult to compute...

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- Generally, they are difficult to compute...
- But they have one very useful property!

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Invariance					

Theorem (Jacobsson '04, Bar-Natan '05, Khovanov '06)

The map on Khovanov homology induced by a link cobordism Σ is invariant, up to sign, under smooth boundary-preserving isotopy of Σ .

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Goal:
Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Goal:

Distinguish link cobordisms Σ,Σ' up to **smooth** isotopy rel boundary by showing their induced maps are distinct $\mathsf{Kh}(\Sigma)\neq\pm\mathsf{Kh}(\Sigma')$

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$$\mathsf{Kh}(\Sigma) \neq \pm \mathsf{Kh}(\Sigma') \implies \Sigma \not\simeq_\partial \ \Sigma'$$

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5 Khovanov homology of slice disks: reverse cobordisms

6 Future work

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Khovanov-	Jacobsson n	umbers			

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Khovanov-	-Jacobsson n	umbers			

Can these induced maps distinguish (closed) knotted surfaces in B^4 ?

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Khovanov	Jacobsson n	umbers			

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• A knotted surface Σ can be regarded as a link cobordism $\Sigma \colon \emptyset \to \emptyset$.

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Khovanov-	Jacobsson n	umbers			

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- A knotted surface Σ can be regarded as a link cobordism $\Sigma \colon \emptyset \to \emptyset$.
- It induces a map $\mathsf{Kh}(\Sigma) \colon \mathbb{Z} \to \mathbb{Z}$

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Khovanov	-Jacobsson n	umbers			

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- A knotted surface Σ can be regarded as a link cobordism $\Sigma \colon \emptyset \to \emptyset$.
- It induces a map $\mathsf{Kh}(\Sigma) \colon \mathbb{Z} \to \mathbb{Z}$
- This map is determined by $\mathsf{Kh}(\Sigma)(1) \in \mathbb{Z}$, so this integer is an up-to-sign invariant of the (ambient) isotopy class of Σ

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Rasmussen-	Tanaka				

Lemma

For a link cobordism $\Sigma \colon \emptyset \to \emptyset$, the Khovanov-Jacobsson number

 $\mathsf{KJ}_\Sigma:=|\mathsf{Kh}(\Sigma)(1)|\in\mathbb{Z}$

is an invariant of the ambient isotopy class of Σ .

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Question. Do Khovanov-Jacobsson numbers distinguish any knotted surfaces?

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Question. Do Khovanov-Jacobsson numbers distinguish any knotted surfaces?

Theorem (Rasmussen '05, Tanaka '05)

Khovanov-Jacobsson numbers of connected Σ are determined by genus:

• if
$$g(\Sigma) = 1$$
, then $\mathsf{KJ}_{\Sigma} = 2$

• if $g(\Sigma) \neq 1$, then $\mathsf{KJ}_{\Sigma} = 0$

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Cases					

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Cases					

Follow the same procedure for surfaces with boundary.

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Cases					

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A (nice) surface \Sigma \subset B^4 with boundary L \subset S^3 can be regarded as:
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Cases					

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A (nice) surface \Sigma \subset B^4 with boundary L \subset S^3 can be regarded as:
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a. a link cobordism $\Sigma \colon \emptyset \to L$, or



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Cases					

Follow the same procedure for surfaces with boundary.

A (nice) surface $\Sigma \subset B^4$ with boundary $L \subset S^3$ can be regarded as:

- a. a link cobordism $\Sigma \colon \emptyset \to L$, or
- b. its reverse cobordism $\Sigma \colon L \to \emptyset$



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Cases					

Follow the same procedure for surfaces with boundary.

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- a. a link cobordism $\Sigma \colon \emptyset \to L$, or
- b. its reverse cobordism $\Sigma \colon L \to \emptyset$

We consider these cases separately.



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3 Khovanov homology of knotted surfaces

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5 Khovanov homology of slice disks: reverse cobordisms

6 Future work

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Khovanov	-Jacobsson cl	asses			



Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Khovanov	-Jacobsson cl	asses			



Consider the induced map $\mathsf{Kh}(\Sigma)\colon \mathbb{Z}\to\mathsf{Kh}(L)$

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Khovanov-	-Jacobsson cl	asses			



Consider the induced map $\mathsf{Kh}(\Sigma) \colon \mathbb{Z} \to \mathsf{Kh}(L)$

This map is determined by $\mathsf{Kh}(\Sigma)(1) \in \mathsf{Kh}(L)$, so this homology class is an up-to-sign invariant of the (relative) isotopy class of Σ .

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Khovanov-	-Jacobsson cl	asses			

Lemma

For a link cobordism $\Sigma \colon \emptyset \to L$, the Khovanov-Jacobsson class

 $\mathsf{KJ}_{\Sigma} := |\mathsf{Kh}(\Sigma)(1)| \in \mathsf{Kh}(L)$

is an invariant of the boundary-preserving isotopy class of Σ .

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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For a link cobordism $\Sigma \colon \emptyset \to L$, the Khovanov-Jacobsson class

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Do Khovanov-Jacobsson classes distinguish any surfaces?

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Do Khovanov-Jacobsson classes distinguish any surfaces?

Hopefully!

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Khovanov-	-Jacobsson cl	asses			

Theorem (Swann '10, S. '20)

The slice disks D_{ℓ} and D_r for 9_{46} have distinct Khovanov-Jacobsson classes $KJ_{D_{\ell}} \neq KJ_{D_r}$, and therefore, are not isotopic rel boundary.



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The slice disks D_{ℓ} and D_r for 6_1 (below) have distinct Khovanov-Jacobsson classes $KJ_{D_{\ell}} \neq KJ_{D_r}$, and therefore, are not isotopic rel boundary.



Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Khovanov-	Jacobsson cl	asses			

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The slice disks D_{ℓ} and D_r for 6_1 (below) have distinct Khovanov-Jacobsson classes $KJ_{D_{\ell}} \neq KJ_{D_r}$, and therefore, are not isotopic rel boundary.



Note: this uniqueness is also known through other techniques.

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Calculatio	on for 9_{46}				



Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Khovanov-	Jacobsson cl	asses			

The 2^n slices of $\#_n(9_{46})$ have distinct Khovanov-Jacobsson classes, and therefore, are not isotopic rel boundary.

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Khovanov-	Jacobsson cl	asses			

The 2^n slices of $\#_n(9_{46})$ have distinct Khovanov-Jacobsson classes, and therefore, are not isotopic rel boundary.

Slices are obtained by choosing one of the band moves for each copy of 9_{46} (or boundary connect summing the slices).



This can also be done with $\#_n(6_1)$, or even by using combinations of 9_{46} and 6_1 .

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Khovanov	-Jacobsson cl	asses			

There are prime knots with 2^n slices having distinct Khovanov-Jacobsson classes, and therefore, they are not isotopic rel boundary.

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Idea:
Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Idea:

• Every knot is ribbon concordant to a prime knot (Kirby-Lickorish)

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Khovanov-	Jacobsson cl	asses			

There are prime knots with 2^n slices having distinct Khovanov-Jacobsson classes, and therefore, they are not isotopic rel boundary.

- Every knot is ribbon concordant to a prime knot (Kirby-Lickorish)
- Ribbon concordances induce injections on Khovanov homology (Levine-Zemke)

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Khovanov-	Jacobsson cl	asses			

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- So, extend the 2^n slices for $\#_n(9_{46})$ by a ribbon-concordance to a prime knot

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Khovanov-	Jacobsson cl	asses			

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Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Application:	Obstructi	ng sliceness			

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Application:	Obstructing s	liceness			

If $\Sigma \colon \emptyset \to K$ has genus $g(\Sigma) = 1$ and $\mathsf{KJ}_{\Sigma} = 0$ then K is not slice.

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Application:	Obstructing	sliceness			

If $\Sigma \colon \emptyset \to K$ has genus $g(\Sigma) = 1$ and $\mathsf{KJ}_{\Sigma} = 0$ then K is not slice.

Proof idea: assume K has a slice disk D and apply the absolute case to $D \circ \Sigma$.

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Application:	Obstructing s	liceness			

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Note: there are classes of knots with 4-ball genus at most 1 (e.g. Whitehead doubles, unknotting number $1\ \rm knots)$

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Corollary (Swann '10)

For $p, q, r \geq 3$ and odd, the pretzel knot P(p, q, r) is not slice.

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Corollary (Swann '10)

For $p, q, r \geq 3$ and odd, the pretzel knot P(p, q, r) is not slice.

Corollary (Swann '10)

For $p,q \leq -3$ and odd, the pretzel knot P(p,q,1) is not slice.

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Are we sti	ll on case 1?				

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Are we sti	ill on case 1?				

• Hard to calculate...

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Are we st	ill on case 1?				

- Hard to calculate...
- Hard to distinguish...

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Are we sti	ll on case 1?				

- Hard to calculate...
- Hard to distinguish...

Is there a better way?

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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6 Future work

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Reverse cob	ordism				

Case 2: Consider a link cobordism $\Sigma \colon L \to \emptyset$



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Reverse col	oordism				

Case 2: Consider a link cobordism $\Sigma \colon L \to \emptyset$



Consider the induced map $\mathsf{Kh}(\Sigma)\colon\mathsf{Kh}(L)\to\mathbb{Z}$

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Reverse cob	ordism				

Case 2: Consider a link cobordism $\Sigma \colon L \to \emptyset$



Consider the induced map $\mathsf{Kh}(\Sigma) \colon \mathsf{Kh}(L) \to \mathbb{Z}$

Choose a class $\phi \in \operatorname{Kh}(L)$, and note that $\operatorname{Kh}(\Sigma)(\phi) \in \mathbb{Z}$ is an up-to-sign invariant of the (relative) isotopy class of Σ .

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Reverse col	bordism				

Case 2: Consider a link cobordism $\Sigma: L \to \emptyset$

Lemma

For a link cobordism $\Sigma \colon L \to \emptyset$ and a class $\phi \in \mathsf{Kh}(L)$, the integer

 $\Sigma_{\phi} := |\mathsf{Kh}(\Sigma)(\phi)| \in \mathbb{Z}$

is an invariant of the boundary-preserving isotopy class of Σ .

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Reverse cob	ordism				

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Questions:

Do these invariants distinguish any surfaces?

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Reverse cob	ordism				

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 $\Sigma_{\phi} := |\mathsf{Kh}(\Sigma)(\phi)| \in \mathbb{Z}$

is an invariant of the boundary-preserving isotopy class of Σ .

Questions:

Do these invariants distinguish any surfaces? Are they better than Khovanov-Jacobsson classes?

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Quick results	5				

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Quick results	5				



Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Quick results	5				



Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Quick results	5				

The pair of slice disks D_{ℓ} and D_r for the knot K (below) induce distinct maps on Khovanov homology, distinguished by the given class $\phi \in Kh(K)$, and therefore, are not isotopic rel boundary.



 $15n_{103488}$

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Quick results	5				



 $17nh_{74}$

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Exotic slices					

The slices for 6_1 , 9_{46} , and $15n_{103488}$ are not even topologically isotopic rel boundary.

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Exotic slices					

The slices for 6_1 , 9_{46} , and $15n_{103488}$ are not even topologically isotopic rel boundary.

Definition

A pair of slice disks are *exotic* if they are topologically isotopic rel boundary, but not smoothly isotopic rel boundary.

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Definition

A pair of slice disks are *exotic* if they are topologically isotopic rel boundary, but not smoothly isotopic rel boundary.

Theorem (Hayden '21)

The slices for $17nh_{74}$ are topologically isotopic rel boundary.

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Exotic slices					

The slices for $6_1,\,9_{46},\,{\rm and}\,\,15n_{103488}$ are not even topologically isotopic rel boundary.

Definition

A pair of slice disks are *exotic* if they are topologically isotopic rel boundary, but not smoothly isotopic rel boundary.

Theorem (Hayden '21)

The slices for $17nh_{74}$ are topologically isotopic rel boundary.

Corollary (Hayden-S. '21)

The induced maps on Khovanov homology detect exotic pairs of slice disks.

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Exotic slices					

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Definition

A pair of slice disks are *exotic* if they are topologically isotopic rel boundary, but not smoothly isotopic rel boundary.

Theorem (Hayden '21)

The slices for $17nh_{74}$ are topologically isotopic rel boundary.

Corollary (Hayden-S. '21)

The induced maps on Khovanov homology detect exotic pairs of slice disks.

Can be extended to an infinite family of knots bounding pairs of ambiently non-isotopic surfaces of any genus.

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Comparisons					

Case 1:

- \bullet It is hard to compute KJ_Σ
- \bullet It is hard to compare KJ_Σ and $\mathsf{KJ}_{\Sigma'}$

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Comparisons					

Case 1:

- \bullet It is hard to compute KJ_Σ
- \bullet It is hard to compare KJ_{Σ} and $KJ_{\Sigma'}$

Case 2:

- $\bullet\,$ By choosing ϕ wisely, it is easier to compute Σ_ϕ
- Comparing integers is easy

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Future work					

• explore relationship between KJ-classes and reverse cobordisms

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Future work					

- explore relationship between KJ-classes and reverse cobordisms
- tweak the algebra (e.g. annular Khovanov homology)

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Future work					

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Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Future work					

- explore relationship between KJ-classes and reverse cobordisms
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Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Future work					

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- tweak the topology (slice disks in different 4-manifolds)
- study different families of disks (rolling, spinning, symmetries)
- study relationship with other invariants (e.g. *s*-invariant or knot Floer homology)
- study slice obstruction from Khovanov-Jacobsson classes

Motivation	Background	Knotted surfaces	Results I	Results II	Future work
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Thank You!					

Thank you!

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