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We define A_k -moves for embeddings of a finite graph into the 3-sphere for each natural number k. Let A_k -equivalence denote an equivalence relation generated by A_k -moves and ambient isotopy. A_k -equivalence implies A_{k-1} -equivalence. Let \mathcal{F} be an A_{k-1} -equivalence class of the embeddings of a finite graph into the 3-sphere. Let \mathcal{G} be the quotient set of \mathcal{F} under A_k -equivalence. We show that the set \mathcal{G} forms an abelian group under a certain geometric operation. We define finite type invariants on \mathcal{F} of order (n; k). And we show that if any finite type invariant of order (1; k) takes the same value on two elements of \mathcal{F} , then they are A_k -equivalent. A_k -move is a generalization of C_k -move defined by K. Habiro. Habiro showed that two oriented knots are the same up to C_k -move and ambient isotopy if and only if any Vassiliev invariant of order < k - 1 takes the same value on them. The 'if' part does not hold for two-component links. Our result gives a sufficient condition for spatial graphs to be C_k -equivalent.

Introduction.

K. Habiro defined a local move, C_k -move, for each natural number k [2]. It is known that if two embeddings f and g of a graph into the three sphere are the same up to C_k -move and ambient isotopy, then g can be deformed into a band sum of f with certain (k + 1)-component links and that changing position of a band and an arc, which is called a band trivialization of C_k move, is realized by C_{k+1} -moves and ambient isotopy [17]. This is one of the most important properties of C_k -move. We consider local moves which have this property. We define A_1 -move as the crossing change and A_{k+1} -move as a band trivialization of A_k -move; see Section 1 for the precise definition. So A_k -move is a generalization of C_k -move. In fact, the results for A_k -move in this paper hold for C_k -move.

Let A_k -equivalence denote an equivalence relation given by A_k -moves and ambient isotopy. Habiro showed that two oriented knots are C_k -equivalent if and only if they have the same Vassiliev invariants of order $\leq k-1$ [3], [4]. The 'only if' part of this result is true for A_k -move and for the embeddings of a graph, in particular for links (Theorem 5.1). However the 'if' part does not hold for two-component links. For example, the Whitehead link is not C_3 -equivalent to a trivial link because they have different Arf invariants, see [16]. On the other hand, H. Murakami showed in [7] that the Vassiliev invariants of links of order ≤ 2 are determined by the linking numbers and the second coefficient of the Conway polynomial of each component. Hence, the values of any Vassiliev invariant of order ≤ 2 of these two links are the same. So we note that Vassiliev invariants of order $\leq k - 1$ are not enough to characterize C_k -equivalent embeddings of a graph.

We will define in Section 1 a finite type invariant of order (n; k) as a generalization of a Vassiliev invariant and see that if any finite type invariants of order (1; k) takes the same value on two A_{k-1} -equivalent embeddings of a graph, then they are A_k -equivalent (Theorem 1.1). While a Vassiliev invariant is defined by the change in its value at every 'wall' corresponding to a crossing change, a finite type invariant of order (n; k) is defined similarly by 'walls' corresponding to A_k -moves. A finite type invariant of order (n; 1) is a Vassiliev invariant of order $\leq n$.

It is shown that the set of C_k -equivalence classes of knots forms an abelian group under the connected sum [3], [4]. This is also true for A_k -equivalence classes. Since the connected sum is peculiar to knots, we cannot apply it to embeddings of a graph. In Section 2, we will define a certain geometric sum for the elements in an A_{k-1} -equivalence class of the embedding of a graph. Then we will see that the quotient set of the A_{k-1} -equivalence class under A_k -equivalence forms an abelian group (Theorem 2.4).

It is not essential that A_1 -move is the crossing change. This is a big difference between A_k -move and C_k -move. We will study a generalization of A_k -move in Section 4. For example, if we put A_1 -move to be the #move defined by Murakami [6], then we get several results similar to that for original A_k -move.

1. A_k -moves and finite type invariants.

Let B^3 be the oriented unit 3-ball. A *tangle* is a disjoint union of properly embedded arcs in B^3 . A tangle is *trivial* if it is contained in a properly embedded 2-disk in B^3 . A *trivialization* of a tangle $T = t_1 \cup t_2 \cup \cdots \cup t_k$ is a choice of mutually disjoint disks D_1, D_2, \ldots, D_k in B^3 such that $D_i = (D_i \cap \partial B^3) \cup t_i$ for $i = 1, 2, \ldots, k$. It can be shown that in general a trivialization is not unique up to ambient isotopy of B^3 fixed on the tangle.

Let T and S be tangles, and let t_1, t_2, \ldots, t_k and s_1, s_2, \ldots, s_k be the components of T and S respectively. Suppose that for each t_i there exists some s_j such that $\partial t_i = \partial s_j$. Then we call the ordered pair (T, S) a *local move*, which can be interpreted as substituting S for T. Two local moves (T, S)and (T', S') are *equivalent* if there exists an orientation preserving homeomorphism $h: B^3 \longrightarrow B^3$ such that h(T) = T' and h(S) is ambient isotopic to S' relative to ∂B^3 . We consider local moves up to this equivalence. Let (T, S) be a local move such that T and S are trivial tangles. First choose a trivialization D_1, D_2, \ldots, D_k of T. Each D_i intersects ∂B^3 in an arc γ_i . Let E_i be a small regular neighbourhood of γ_i in ∂B^3 . We devide the circle ∂E_i into two arcs α_i and β_i such that $\alpha_i \cap \beta_i = \partial \alpha_i = \partial \beta_i$. By slightly perturbing $\operatorname{int} \alpha_i$ and $\operatorname{int} \beta_i$ into the interior of B^3 on either side of D_i , we obtain properly embedded arcs $\widetilde{\alpha}_i$ and $\widetilde{\beta}_i$. We consider k local moves $(S \cup \widetilde{\alpha}_i, S \cup \widetilde{\beta}_i)$ $(i = 1, 2, \ldots, k)$ and call them the band trivializations of the local move (T, S) with respect to the trivialization D_1, D_2, \ldots, D_k . Note that both $S \cup \widetilde{\alpha}_i$ and $S \cup \widetilde{\beta}_i$ are trivial tangles.

We now inductively define a sequence of local moves on trivial tangles in B^3 which depend on the choice of trivialization. An A_1 -move is the crossing change shown in Figure 1.1. Suppose that A_k -moves are defined and there are $l A_k$ -moves $(T_1, S_1), (T_2, S_2), \ldots, (T_l, S_l)$ up to equivalence. For each A_k -move (T_i, S_i) (i = 1, 2, ..., l), we choose a single trivialization $\tau_i = \{D_{i,1}, D_{i,2}, \dots, D_{i,k+1}\}$ of T_i and fix it. (The choice of τ_i is independent of the trivialization that is chosen to define A_k -move (T_i, S_i) .) Then the band trivializations of (T_i, S_i) with respect to the trivialization τ_i are called $A_{k+1}(\tau_i)$ -moves and these $A_{k+1}(\tau_i)$ -moves $(i = 1, 2, \ldots, l)$ are called $A_{k+1}(\tau_1, \tau_2, \ldots, \tau_l)$ -moves. Note that the number of $A_{k+1}(\tau_1, \tau_2, \ldots, \tau_l)$ moves is at most l(k+1) up to equivalence. Although the choice of trivializations is important for the definition of A_k -move, our proof is the same for every choice. Therefore the results of this paper hold for every choice of trivializations $\tau_1, \tau_2, \ldots, \tau_l$. So we denote $A_{k+1}(\tau_1, \tau_2, \ldots, \tau_l)$ -move simply as A_{k+1} -move. It is known that C_k -move defined by Habiro is a special case of A_k -move for certain choices of trivializations; see [2], [10]. We will see that A_k -move, as well as C_k -move, has the property mentioned in Introduction (Proposition 2.1 and Lemma 2.2).

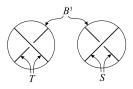
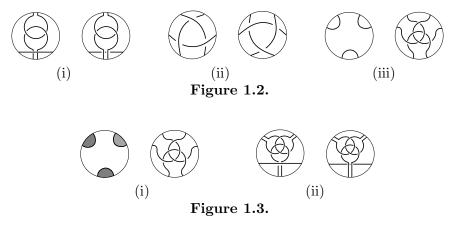


Figure 1.1.

Examples. (1) The trivialization of a tangle in Figure 1.1 is unique up to ambient isotopy. Therefore we have any band trivialization of an A_1 -move is equivalent to the local move in Figure 1.2-(i). Thus A_2 -move is unique up to equivalence. It is not hard to see that an A_2 -move is equivalent to the *delta move* in Figure 1.2-(ii) defined by H. Murakami and Y. Nakanishi [8], and then it is equivalent to the local move in Figure 1.2-(ii).

(2) If we choose a trivialization for the A_2 -move as in Figure 1.3-(i), then, by the symmetry of the A_2 -move, any A_3 -move is equivalent to the local move in Figure 1.3-(ii).



A local move (S, T) is called the *inverse* of a local move (T, S). It is clear that the inverse of an A_1 -move is again an A_1 -move. By the definition of A_k -move, we see that the inverse of an A_k -move with $k \ge 2$ is equivalent to itself.

Let (T, S) be an A_k -move and $D_1, D_2, \ldots, D_{k+1}$ the fixed trivialization of $T = t_1 \cup t_2 \cup \cdots \cup t_{k+1}$. We set $\alpha = \partial B^3 \cap (D_1 \cup D_2 \cup \cdots \cup D_{k+1})$ and $\beta = S$. A link L in S^3 is called *type* k if there is an orientation preserving embedding $\varphi : B^3 \longrightarrow S^3$ such that $L = \varphi(\alpha \cup \beta)$. Then the pair (α, β) is called a *link model of* L.

We now define an equivalence relation on spatial graphs by A_k -move. Let G be a finite graph. Let V(G) denote the set of the vertices of G. Let $f, g: G \longrightarrow S^3$ be embeddings. We say that f and g are related by an A_k -move if there is an A_k -move (T, S) and an orientation preserving embedding $\varphi: B^3 \longrightarrow S^3$ such that:

(i) If
$$f(x) \neq g(x)$$
 then both $f(x)$ and $g(x)$ are contained in $\varphi(\text{int}B^3)$.

(ii)
$$f(V(G)) = g(V(G))$$
 is disjoint from $\varphi(B^3)$, and

(iii)
$$f(G) \cap \varphi(B^3) = \varphi(T)$$
 and $g(G) \cap \varphi(B^3) = \varphi(S)$.

We also say that g is obtained from f by an *application* of (T, S). We define A_k -equivalence as an equivalence relation on the set of all embeddings of G into S^3 given by the relation above and ambient isotopy. For an embedding $f: G \longrightarrow S^3$, let $[f]_k$ denote the A_k -equivalence class of f. By the definition of A_k -move we see that an application of an A_{k+1} -move is realized by two applications of A_k -move and ambient isotopy. Thus A_{k+1} -equivalence implies A_k -equivalence. In other words we have $[f]_1 \supset [f]_2 \supset \cdots \supset [f]_k \supset [f]_{k+1} \supset \cdots$.

Let $f: G \longrightarrow S^3$ be an embedding, L_i links of type k and (α_i, β_i) their link models (i = 1, 2, ..., n). Let I = [0, 1] be the unit closed interval. An embedding $g: G \longrightarrow S^3$ is called a *band sum of* f with $L_1, L_2, ..., L_n$ if there are mutually disjoint embeddings $b_{ij}: I \times I \longrightarrow S^3$ (i = 1, 2, ..., n, j =1, 2, ..., k+1) and mutually disjoint orientation preserving embeddings $\varphi_i: B^3 \longrightarrow S^3 - f(G)$ with $L_i = \varphi_i(\alpha_i \cup \beta_i)$ (i = 1, 2, ..., n) such that the following (i) and (ii) hold:

- (i) $b_{ij}(I \times I) \cap f(G) = b_{ij}(I \times I) \cap f(G V(G)) = b_{ij}(I \times \{0\})$ and $b_{ij}(I \times I) \cap (\bigcup_l \varphi_l(B^3)) = b_{ij}(I \times \{1\})$ is a component of $\varphi_i(\alpha_i)$ for any $i, j \ (i = 1, 2, \dots, n, \ j = 1, 2, \dots, k+1)$.
- (ii) f(x) = g(x) if f(x) is not contained in $\bigcup_{i,j} b_{ij}(I \times \{0\})$ and

$$g(G) = \left(f(G) \cup \bigcup_{i} L_{i} - \bigcup_{i,j} b_{ij}(I \times \partial I) \right) \cup \bigcup_{i,j} b_{ij}(\partial I \times I).$$

Then we denote g by $F(f; \{L_1, L_2, \ldots, L_n\}, \{B_1, B_2, \ldots, B_n\})$, where $B_i = b_{i1}(I \times I) \cup b_{i2}(I \times I) \cup \cdots \cup b_{ik+1}(I \times I)$ $(i = 1, 2, \ldots, n)$. We call each $b_{ij}(I \times I)$ a band. We call each $\varphi_i(B^3)$ an associated ball of L_i . See Figure 1.4 for an example of a band sum of an embedding f with links L_1, L_2, L_3 of type 3.

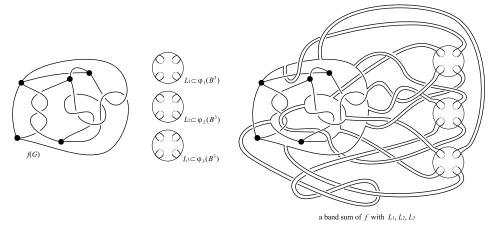


Figure 1.4.

Remark. It follows from the definition that if g is a band sum of f with some links of type k, then g is A_k -equivalent to f. The converse is also true and will be shown in Proposition 2.1. In Lemma 2.2, we show that the position of a band is changeable up to A_{k+1} -equivalence. The origin of the name 'band trivialization' comes from this fact.

Let $h : G \longrightarrow S^3$ be an embedding and H an abelian group. Let $\varphi : [h]_{k-1} \longrightarrow H$ be an invariant. We say that φ is a *finite type invariant of order* (n;k) if for any embedding $f \in [h]_{k-1}$ and any band

sum $F(f; \{L_1, L_2, \dots, L_{n+1}\}, \{B_1, B_2, \dots, B_{n+1}\})$ of f with links L_1, L_2, \dots, L_{n+1} of type k - 1,

$$\sum_{X \subset \{1,2,\dots,n+1\}} (-1)^{|X|} \varphi\left(F\left(f;\bigcup_{i \in X} \{L_i\},\bigcup_{i \in X} \{B_i\}\right)\right) = 0 \in H_{\mathcal{F}}$$

where the sum is taken over all subsets, including the empty set, and |X| is the number of the elements in X.

In the next section we show the following theorem:

Theorem 1.1. Let $f, g : G \longrightarrow S^3$ be A_{k-1} -equivalent embeddings. Then they are A_k -equivalent if and only if $\varphi(f) = \varphi(g)$ for any finite type A_k equivalence invariant φ of order (1; k).

Note that finite type invariants of order (n; 2) coincide with Vassiliev invariants of order n. It is shown in [5, Theorem 1.1, Theorem 1.3] that two embeddings of a finite graph G into S^3 are A_2 -equivalent if and only if they have the same Wu invariant [18]. It follows from [14, Section 2] that Wu invariant is a finite type invariant of order (1; 2). Since two embeddings are always A_1 -equivalent, we have the following corollary:

Corollary 1.2. Let $f, g : G \longrightarrow S^3$ be embeddings. Then the following conditions are mutually equivalent:

- (i) f and g are A_2 -equivalent.
- (ii) f and g have the same Wu invariant.
- (iii) $\varphi(f) = \varphi(g)$ for any Vassiliev invariant φ of order 1.

In Section 5 we show the following proposition:

Proposition 1.3. Let φ be a Vassiliev invariant of order (n+1)(k-1)-1. Then φ is a finite type invariant of order (n; k).

2. A_k -equivalence group of spatial graphs.

The following proposition is a natural generalization of [21, Lemma] and stems from the fact that a knot with the unknotting number u can be unknotted by changing u crossings of a regular diagram of it [12] and [19].

Proposition 2.1. Let $f, g : G \longrightarrow S^3$ be embeddings. If f and g are A_k -equivalent, then g is ambient isotopic to a band sum of f with some links of type k.

Proof. We consider the embeddings up to ambient isotopy for simplicity. By the assumption there is a finite sequence of embeddings $f = f_0, f_1, \ldots, f_n =$ g and orientation preserving embeddings $\varphi_1, \varphi_2, \ldots, \varphi_n : B^3 \longrightarrow S^3$ such that $(\varphi_i^{-1}(f_{i-1}(G)), \varphi_i^{-1}(f_i(G)))$ is an A_k -move for each i. We shall prove this proposition by induction on n.

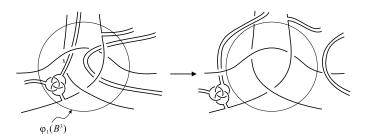


Figure 2.1.

First we consider the case n = 1. Let $D_1, D_2, \ldots, D_{k+1}$ be the fixed trivialization of the tangle $\varphi_1^{-1}(f_0(G))$ and $\gamma_j = D_j \cap \partial B^3$ $(j = 1, 2, \ldots, k + 1)$. Then $L = \bigcup_j \varphi_1(\gamma_j) \cup (\varphi_1(B^3) \cap f_1(G))$ is a link of type k. By taking a small one-sided collar for each $\varphi_1(\gamma_j)$ in $S^3 - \varphi_1(\operatorname{int} B^3)$, we have mutually disjoint embeddings $b_j : I \times I \longrightarrow S^3$ $(j = 1, 2, \ldots, k + 1)$ such that $b_j(I \times I) \cap \varphi_1(B^3) = b_j(I \times \{1\}) = \varphi_1(\gamma_j)$ and $b_j(I \times I) \cap f_0(G) = b_j(I \times I) \cap f_1(G) = b_j(\partial I \times I)$. Then we deform f_0 up to ambient isotopy along the disk $b_j(I \times I) \cup \varphi_1(D_j)$ such that $b_j(I \times I) \cap f_0(G) = b_j(I \times \{0\})$ for each j. Then we have a required band sum $g = F(f_0; \{L\}, \{B\})$, where $B = b_1(I \times I) \cup b_2(I \times I) \cup \cdots \cup b_{k+1}(I \times I)$.

Next suppose that n > 1. By the hypothesis of our induction, g is a band sum $F(f_1; \mathcal{L}, \mathcal{B})$, where $\mathcal{L} = \{L_1, L_2, \ldots, L_{n-1}\}$ is a set of links of type k, $\mathcal{B} = \{B_1, B_2, \ldots, B_{n-1}\}$ and each B_i is a union of bands attaching to L_i . Deform $F(f_1; \mathcal{L}, \mathcal{B})$ up to ambient isotopy keeping the image $f_1(G)$ so that neither the associated balls of \mathcal{L} nor the bands in \mathcal{B} intersect $\varphi_1(B^3)$. Note that this deformation is possible, since the tangle $\varphi_1^{-1}(f_1(G))$ is trivial. In fact, sweeping out the associated balls, band-slidings and sweeping out the bands are sufficient. See Figure 2.1. Then by the same arguments as that in the case n = 1, we find that f_1 is a band sum $F(f; \{L\}, \{B\})$. Then we have

$$F(F(f; \{L\}, \{B\}); \mathcal{L}, \mathcal{B}) = F(f; \{L\} \cup \mathcal{L}, \{B\} \cup \mathcal{B}).$$

This completes the proof.

As we mentioned before, the origin of the name 'band trivialization' comes from the following lemma:

Lemma 2.2. The moves in Figures 2.2-(i), (ii), (iii) and (iv) are realized by A_{k+1} -moves.

Proof. The move in Figure 2.2-(i) is just a band trivialization of an A_k -move. Hence by the definition it is an A_{k+1} -move. It is easy to see that the moves in Figures 2.2-(ii) and (iii) are generated by the moves in Figure 2.2-(i). To see that the move in Figure 2.2-(iv) is realized by A_{k+1} -moves, we first

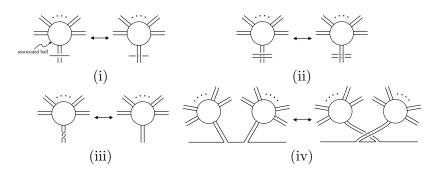


Figure 2.2.

slide the bands as illustrated in Figure 2.3, and then perform the moves in Figure 2.2-(i). $\hfill \Box$

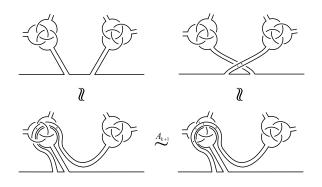


Figure 2.3.

Let $h: G \longrightarrow S^3$ be an embedding and let $[f_1]_k, [f_2]_k \in [h]_{k-1}/(A_k$ -equivalence), where $[h]_{k-1}/(A_k$ -equivalence) denotes the set of A_k -equivalence classes in $[h]_{k-1}$. Since both f_1 and f_2 are A_{k-1} -equivalent to h, by Proposition 2.1, there are band sums $F(h; \mathcal{L}_i, \mathcal{B}_i) \in [f_i]_k$ of h with links \mathcal{L}_i of type k - 1(i = 1, 2). Suppose that the bands in \mathcal{B}_1 and the associated balls of \mathcal{L}_1 are disjoint from the bands in \mathcal{B}_2 and the associated balls of \mathcal{L}_2 . Note that up to slight ambient isotopy of $F(h; \mathcal{L}_2, \mathcal{B}_2)$ that preserves h(G) we can always choose the bands and the associated balls so that they satisfy this condition. In the following we assume this condition without explicit mention. Then we have a new band sum $F(h; \mathcal{L}_1 \cup \mathcal{L}_2, \mathcal{B}_1 \cup \mathcal{B}_2)$. We define

$$[f_1]_k +_h [f_2]_k = [F(h; \mathcal{L}_1 \cup \mathcal{L}_2, \mathcal{B}_1 \cup \mathcal{B}_2)]_k$$

Lemma 2.3. The sum $+_h$ above is well-defined.

Proof. It is sufficient to show for two embeddings $F(h; \mathcal{L}_1, \mathcal{B}_1), F(h; \mathcal{L}'_1, \mathcal{B}'_1) \in [f_1]_k$ that $F(h; \mathcal{L}_1 \cup \mathcal{L}_2, \mathcal{B}_1 \cup \mathcal{B}_2)$ and $F(h; \mathcal{L}'_1 \cup \mathcal{L}_2, \mathcal{B}'_1 \cup \mathcal{B}_2)$ are A_k -equivalent.

Consider a sequence of ambient isotopies and applications of A_k -moves that deforms $F(h; \mathcal{L}_1, \mathcal{B}_1)$ into $F(h; \mathcal{L}'_1, \mathcal{B}'_1)$. We consider this sequence of deformations together with the links in \mathcal{L}_2 and the bands in \mathcal{B}_2 . Whenever we apply an A_k -move we deform the associated balls of \mathcal{L}_2 and the bands in \mathcal{B}_2 up to ambient isotopy so that they are away from the 3-ball within which the A_k -move is applied. Thus $F(h; \mathcal{L}_1 \cup \mathcal{L}_2, \mathcal{B}_1 \cup \mathcal{B}_2) = F(F(h; \mathcal{L}_1, \mathcal{B}_1); \mathcal{L}_2, \mathcal{B}_2)$ is A_k -equivalent to a band sum $F(F(h; \mathcal{L}'_1, \mathcal{B}'_1); \mathcal{L}'_2, \mathcal{B}'_2)$ for some \mathcal{L}'_2 and \mathcal{B}'_2 . Compare the band sums $F(F(h; \mathcal{L}'_1, \mathcal{B}'_1); \mathcal{L}'_2, \mathcal{B}'_2)$ and $F(h; \mathcal{L}'_1 \cup \mathcal{L}_2, \mathcal{B}'_1 \cup \mathcal{B}_2) =$ $F(F(h; \mathcal{L}'_1, \mathcal{B}'_1); \mathcal{L}_2, \mathcal{B}_2)$. We have that the links in \mathcal{L}'_2 are ambient isotopic to the links in \mathcal{L}_2 . It follows from Lemma 2.2 that the bands in \mathcal{B}'_2 can be deformed into the position of the bands in \mathcal{B}_2 by band slidings and A_k -moves. Thus these two are A_k -equivalent.

Theorem 2.4. The set $[h]_{k-1}/(A_k$ -equivalence) forms an abelian group under ' $+_h$ ' with the unit element $[h]_k$.

We denote this group by $\mathcal{G}_k(h; G)$ and call it the A_k -equivalence group of the spatial embeddings of G with the unit element $[h]_k$.

Remark. Note that for any graph G and any embedding $h : G \longrightarrow S^3$, $[h]_1$ is equal to the set of all embeddings of G into S^3 . In [20], the second author called $\mathcal{G}_2(h; G)$ a graph homology group and gave a practical method of calculating this group.

Proof. We consider embeddings up to ambient isotopy for simplicity. It is sufficient to show that for any $[f]_k \in [h]_{k-1}/(A_k$ -equivalence), there is an inverse of $[f]_k$. Since f and h are A_{k-1} -equivalent, by Proposition 2.1, f and h are band sums $F(h; \mathcal{L}, \mathcal{B})$ and $F(f; \mathcal{L}', \mathcal{B}')$ respectively, where \mathcal{L} and \mathcal{L}' are sets of links of type k - 1. Thus we have $h = F(F(h; \mathcal{L}, \mathcal{B}); \mathcal{L}', \mathcal{B}')$. Then, by using Lemma 2.2, we deform the associated balls of \mathcal{L}' and the bands in \mathcal{B}' up to A_k -equivalence so that they are disjoint form the associated balls of \mathcal{L} and the bands in \mathcal{B} . Thus we see that $h = F(F(h; \mathcal{L}, \mathcal{B}); \mathcal{L}', \mathcal{B}')$ is A_k -equivalent to a band sum $F(h; \mathcal{L} \cup \mathcal{L}'', \mathcal{B} \cup \mathcal{B}'')$ for some \mathcal{L}'' and \mathcal{B}'' (for example see Figure 2.4). Thus we have

$$\begin{split} [f]_k +_h [F(h; \mathcal{L}'', \mathcal{B}'')]_k &= [F(h; \mathcal{L}, \mathcal{B})]_k +_h [F(h; \mathcal{L}'', \mathcal{B}'')]_k \\ &= [F(h; \mathcal{L} \cup \mathcal{L}'', \mathcal{B} \cup \mathcal{B}'')]_k \\ &= [h]_k. \end{split}$$

This implies that $[F(h; \mathcal{L}'', \mathcal{B}'')]_k$ is an inverse of $[f]_k$.

Theorem 2.5. Let $h_1, h_2 : G \longrightarrow S^3$ be A_{k-1} -equivalent embeddings. Then the groups $\mathcal{G}_k(h_1; G)$ and $\mathcal{G}_k(h_2; G)$ are isomorphic.

Proof. We define a map $\phi : \mathcal{G}_k(h_1; G) \longrightarrow \mathcal{G}_k(h_2; G)$ by $\phi([f]_k) = [f]_k - h_2$ $[h_1]_k$, where $[x]_k - h_2[y]_k$ denotes $[x]_k + h_2(-[y]_k)$. Clearly this map is a bijection. We shall prove that ϕ is a homomorphism. Let $[f_i]_k \in \mathcal{G}_k(h_1; G)$ (i =

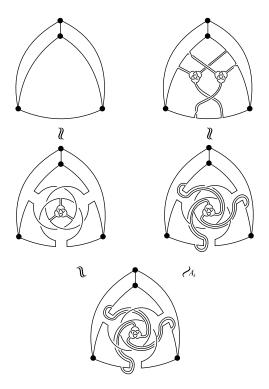


Figure 2.4.

1,2). Then $f_i = F(h_1; \mathcal{L}_i, \mathcal{B}_i)$ where \mathcal{L}_i is a set of links of type k-1 (i = 1, 2). Since h_1 and h_2 are A_{k-1} -equivalent we see that $h_1 = F(h_2; \mathcal{L}, \mathcal{B})$ where \mathcal{L} is a set of links of type k-1. Thus we have $f_i = F(F(h_2; \mathcal{L}, \mathcal{B}); \mathcal{L}_i, \mathcal{B}_i)$ (i = 1, 2). By using Lemma 2.2, we deform f_i up to A_k -equivalence so that the associated balls of \mathcal{L}_i and the bands in \mathcal{B}_i are disjoint from the associated balls of \mathcal{L} and the bands in \mathcal{B} for i = 1, 2. We may further assume that the associated balls of \mathcal{L}_1 and the bands in \mathcal{B}_1 are disjoint from the associated balls of \mathcal{L}_2 and the bands in \mathcal{B}_2 . Then we have

$$\phi([f_1]_k +_{h_1} [f_2]_k) = \phi([F(F(h_2; \mathcal{L}, \mathcal{B}); \mathcal{L}_1 \cup \mathcal{L}_2, \mathcal{B}_1 \cup \mathcal{B}_2)]_k)$$

= $[F(F(h_2; \mathcal{L}, \mathcal{B}); \mathcal{L}_1 \cup \mathcal{L}_2, \mathcal{B}_1 \cup \mathcal{B}_2)]_k -_{h_2} [h_1]_k$
= $[F(h_2; \mathcal{L} \cup \mathcal{L}_1 \cup \mathcal{L}_2, \mathcal{B} \cup \mathcal{B}_1 \cup \mathcal{B}_2)]_k -_{h_2} [F(h_2; \mathcal{L}, \mathcal{B})]_k$
= $[F(h_2; \mathcal{L}_1 \cup \mathcal{L}_2, \mathcal{B}_1 \cup \mathcal{B}_2)]_k$,

and for each i (i = 1, 2),

$$\phi([f_i]_k) = \phi([F(F(h_2; \mathcal{L}, \mathcal{B}); \mathcal{L}_i, \mathcal{B}_i)]_k)$$

= $[F(F(h_2; \mathcal{L}, \mathcal{B}); \mathcal{L}_i, \mathcal{B}_i)]_k - h_2 [h_1]_k$
= $[F(h_2; \mathcal{L} \cup \mathcal{L}_i, \mathcal{B} \cup \mathcal{B}_i)]_k - h_2 [F(h_2; \mathcal{L}, \mathcal{B})]_k$
= $[F(h_2; \mathcal{L}_i, \mathcal{B}_i)]_k.$

Thus we have $\phi([f_1]_k +_{h_1} [f_2]_k) = \phi([f_1]_k) +_{h_2} \phi([f_2]_k).$

Proposition 2.6. The projection $p: [h]_{k-1} \longrightarrow [h]_{k-1}/(A_k$ -equivalence) = $\mathcal{G}_k(h;G)$ is a finite type A_k -equivalence invariant of order (1;k).

Proof. It is clear that p is an A_k -equivalence invariant. We shall prove that p is finite type of order (1;k). Let $f \in [h]_{k-1}$ be an embedding and $F(f; \{L_1, L_2\}, \{B_1, B_2\})$ a band sum of f with links L_1, L_2 of type k - 1. Then it is sufficient to show that

$$\sum_{X \subset \{1,2\}} (-1)^{|X|} p\left(F\left(f; \bigcup_{i \in X} \{L_i\}, \bigcup_{i \in X} \{B_i\}\right) \right) = [h]_k.$$

Let $\phi : \mathcal{G}_k(f;G) \longrightarrow \mathcal{G}_k(h;G)$ be the isomorphism defined by $\phi([g]_k) = [g]_k -_h [f]_k$. Then we have

$$\begin{split} & \phi \Big([F(f; \emptyset, \emptyset)]_k -_f [F(f; \{L_1\}, \{B_1\})]_k \\ & -_f [F(f; \{L_2\}, \{B_2\})]_k +_f [F(f; \{L_1, L_2\}, \{B_1, B_2\})]_k \Big) \\ &= ([F(f; \emptyset, \emptyset)]_k -_h [f]_k) -_h ([F(f; \{L_1\}, \{B_1\})]_k -_h [f]_k) \\ & -_h ([F(f; \{L_2\}, \{B_2\})]_k -_h [f]_k) +_h ([F(f; \{L_1, L_2\}, \{B_1, B_2\})]_k -_h [f]_k) \\ &= [F(f; \emptyset, \emptyset)]_k -_h [F(f; \{L_1\}, \{B_1\})]_k -_h [F(f; \{L_2\}, \{B_2\})]_k \\ & +_h [F(f; \{L_1, L_2\}, \{B_1, B_2\})]_k \\ &= \sum_{X \subset \{1, 2\}} (-1)^{|X|} p \left(F \left(f; \bigcup_{i \in X} \{L_i\}, \bigcup_{i \in X} \{B_i\} \right) \right) \right). \end{split}$$

Since

 $[F(f; \{L_1, L_2\}, \{B_1, B_2\})]_k = [F(f; \{L_1\}, \{B_1\})]_k +_f [F(f; \{L_2\}, \{B_2\})]_k,$ we have

$$\begin{split} \phi \Big([F(f; \emptyset, \emptyset)]_k &-_f [F(f; \{L_1\}, \{B_1\})]_k -_f [F(f; \{L_2\}, \{B_2\})]_k \\ &+_f [F(f; \{L_1, L_2\}, \{B_1, B_2\})]_k \Big) \\ &= \phi([f]_k) \\ &= [h]_k. \end{split}$$

This completes the proof.

Proof of Theorem 1.1. The 'only if' part is clear. We show the 'if' part. Let f and g be embeddings in $[h]_{k-1}$. Suppose that any finite type invariant of order (1;k) takes the same value on f and g. Then by Proposition 2.6 we have p(f) = p(g), where $p : [h]_{k-1} \longrightarrow [h]_{k-1}/(A_k$ -equivalence) = $\mathcal{G}_k(h;G)$ is the projection. Hence we have $[f]_k = [g]_k$. This completes the proof. \Box

3. A_k -equivalence group of knots.

In this section we only consider the case that the graph G is homeomorphic to a disjoint union of circles. Let $G = S_1^1 \cup S_2^1 \cup \cdots \cup S_{\mu}^1$. Then there is a natural correspondence between the ambient isotopy classes of the embeddings of Ginto S^3 and the ambient isotopy classes of the ordered oriented μ -component links in S^3 . Therefore instead of specifying an embedding $h : S_1^1 \cup S_2^1 \cup \cdots \cup$ $S_{\mu}^1 \longrightarrow S^3$, we denote by L the image $h(S_1^1 \cup S_2^1 \cup \cdots \cup S_{\mu}^1)$ and consider it together with the orientation of each component and the ordering of the components. Thus $\mathcal{G}_k(L)$ denotes the A_k -equivalence group $\mathcal{G}_k(h; S_1^1 \cup S_2^1 \cup \cdots \cup S_{\mu}^1)$ $\cdots \cup S_{\mu}^1)$ with the unit element $[h]_k$.

Theorem 3.1. Let O be a trivial knot. Then for any oriented knot K, $\mathcal{G}_k(O)$ and $\mathcal{G}_k(K)$ are isomorphic.

Remark. For a graph $G(\neq S^1)$ and embeddings $h, h' : G \longrightarrow S^3$, $\mathcal{G}_k(h; G)$ and $\mathcal{G}_k(h'; G)$ are not always isomorphic. In fact there are two-component links L_1 and L_2 such that $\mathcal{G}_3(L_1) \cong \mathbb{Z} \oplus \mathbb{Z}$ and $\mathcal{G}_3(L_2) \cong \mathbb{Z} \oplus \mathbb{Z}_2$ [16].

Proof. We define a map $\phi : \mathcal{G}_k(O) \longrightarrow \mathcal{G}_k(K)$ by

$$\phi([F(O;\mathcal{L},\mathcal{B})]_k) = [K \# F(O;\mathcal{L},\mathcal{B})]_k$$

for each $[F(O; \mathcal{L}, \mathcal{B})]_k \in \mathcal{G}_k(O)$, where \mathcal{L} is a set of links of type k - 1 and # means the connected sum of oriented knots. Clearly this is well-defined. By Lemma 2.2, any band sum $F(K; \mathcal{L}, \mathcal{B})$ of K with links \mathcal{L} of type k - 1 is A_k -equivalent to $K \# F(O; \mathcal{L}', \mathcal{B}')$ for some links \mathcal{L}' of type k - 1 and \mathcal{B}' . Hence ϕ is surjective. For $[F(O; \mathcal{L}_i, \mathcal{B}_i)]_k \in \mathcal{G}_k(O)$ (i = 1, 2), we have

$$\begin{split} \phi([F(O; \mathcal{L}_{1}, \mathcal{B}_{1})]_{k} +_{O} [F(O; \mathcal{L}_{2}, \mathcal{B}_{2})]_{k}) \\ &= \phi([F(O; \mathcal{L}_{1} \cup \mathcal{L}_{2}, \mathcal{B}_{1} \cup \mathcal{B}_{2})]_{k}) \\ &= [K \# F(O; \mathcal{L}_{1} \cup \mathcal{L}_{2}, \mathcal{B}_{1} \cup \mathcal{B}_{2})]_{k} \\ &= [F(K; \mathcal{L}_{1} \cup \mathcal{L}_{2}, \mathcal{B}_{1} \cup \mathcal{B}_{2})]_{k} \\ &= [F(K; \mathcal{L}_{1}, \mathcal{B}_{1})]_{k} +_{K} [F(K; \mathcal{L}_{2}, \mathcal{B}_{2})]_{k} \\ &= [K \# F(O; \mathcal{L}_{1}, \mathcal{B}_{1})]_{k} +_{K} [K \# F(O; \mathcal{L}_{2}, \mathcal{B}_{2})]_{k} \\ &= \phi([F(O; \mathcal{L}_{1}, \mathcal{B}_{1})]_{k}) +_{K} \phi([F(O; \mathcal{L}_{2}, \mathcal{B}_{2})]_{k}). \end{split}$$

This implies that ϕ is a homomorphism. In order to complete the proof, we show that ϕ is injective. Suppose that $[K \# F(O; \mathcal{L}, \mathcal{B})]_k = [K]_k$. By Lemma 3.2, there is a knot K' such that $[K' \# K]_k = [O]_k$. Then we have

$$[F(O; \mathcal{L}, \mathcal{B})]_k = [(K' \# K) \# F(O; \mathcal{L}, \mathcal{B})]_k$$
$$= [K' \# (K \# F(O; \mathcal{L}, \mathcal{B}))]_k$$
$$= [K' \# K]_k$$
$$= [O]_k.$$

This implies that ker $\phi = \{[O]_k\}.$

Habiro originated 'clasper theory' and showed Lemma 3.2 for C_k -moves [3] and [4]. The following proof is a translation of his proof in terms of band sum description of knots:

Lemma 3.2. For any knot K and any integer $k \ge 1$, there is a knot K' such that K' # K is A_k -equivalent to a trivial knot.

Proof. We shall prove this by induction on k. The case k = 1 is clear. Suppose that there is a knot K' such that K' # K is A_{k-1} -equivalent to a trivial knot O(k > 1). By Proposition 2.1, we may assume that O = $F(K' \# K; \mathcal{L}, \mathcal{B})$, where \mathcal{L} is a set of links of type k-1. Then, by Lemma 2.2, we see that $F(K' \# K; \mathcal{L}, \mathcal{B})$ is A_k -equivalent to some $K \# F(K'; \mathcal{L}, \mathcal{B}')$. This completes the proof.

Let \mathcal{K}_k be the set of A_k -equivalence classes of all oriented knots. For $[K]_k, [K']_k \in \mathcal{K}_k$, we define $[K]_k + [K']_k = [K \# K']_k$. Then the following, shown by Habiro [3],[4] in the case that A_k -moves coincide with C_k -moves, is an immediate consequence of Lemma 3.2.

Theorem 3.3. The set \mathcal{K}_k forms an abelian group under '+' with the unit element $[O]_k$, where O is a trivial knot.

4. Generalized A_k -move.

In this section, we define a generalized A_k -move. For this move, several results similar to that in Sections 1, 2 and 3 hold.

Let T and S be trivial tangles such that (T, S) and (S, T) are equivalent. Let t_1, t_2, \ldots, t_n and s_1, s_2, \ldots, s_n be the components of T and S respectively. An $A_1(T,S)$ -move is this local move (T,S). Suppose that $A_k(T,S)$ -moves are defined. For each $A_k(T, S)$ -move (T_k, S_k) we choose a trivialization of T_k and fix it. Then the band trivializations of (T_k, S_k) with respect to the trivialization are called $A_{k+1}(T, S)$ -moves. Let (T_k, S_k) be an $A_k(T, S)$ -move and $D_1, D_2, \ldots, D_{n+k-1}$ the fixed trivialization of $T_k = t_1 \cup t_2 \cup \cdots \cup t_{n+k-1}$. We set $\alpha = \partial B^3 \cap (D_1 \cup D_2 \cup \cdots \cup D_{n+k-1})$ and $\beta = S_k$. A link L in S^3 is called type (k; (T, S)) if there is an orientation preserving embedding $\varphi: B^3 \longrightarrow S^3$ such that $L = \varphi(\alpha \cup \beta)$. Then the pair (α, β) is called a link model of L. As in Section 1, $A_k(T, S)$ -move gives an equivalence relation, $A_k(T, S)$ -equivalence, on the set of all embeddings of G into S^3 . For an embedding $f: G \longrightarrow S^3$, let $[f]_k$ denote the $A_k(S,T)$ -equivalence class of f. Let $h: G \longrightarrow S^3$ be an embedding and H an abelian group. Let $\varphi : [h]_{k-1} \longrightarrow H$ be an invariant. We can define that φ is a *finite type* invariant of order (n; k; (T, S)) as in Section 1.

By the arguments similar to that in Sections 1, 2 and 3, we have the following five theorems:

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Theorem 4.1. Let $f, g: G \longrightarrow S^3$ be $A_{k-1}(T, S)$ -equivalent embeddings. Then they are $A_k(T, S)$ -equivalent if and only if $\varphi(f) = \varphi(g)$ for any finite type $A_k(T, S)$ -equivalence invariant φ of order (1; k; (T, S)).

Let $h: G \longrightarrow S^3$ be an embedding. For $[f_1]_k, [f_2]_k \in [h]_{k-1}/(A_k(T, S))$ -equivalence), we can define $[f_1]_k +_h [f_2]_k$ as in Section 2, and we have:

Theorem 4.2. The set $[h]_{k-1}/(A_k(T, S)$ -equivalence) forms an abelian group under ' $+_h$ ' with the unit element $[h]_k$.

We denote this group by $\mathcal{G}_{k(T,S)}(h;G)$ and call it the $A_k(T,S)$ -equivalence group of the spatial embeddings of G with the unit element $[h]_k$.

Theorem 4.3. Let $h_1, h_2 : G \longrightarrow S^3$ be $A_{k-1}(T, S)$ -equivalent embeddings. Then the groups $\mathcal{G}_{k(T,S)}(h_1; G)$ and $\mathcal{G}_{k(T,S)}(h_2; G)$ are isomorphic.

For an embedding $h: S^1 \longrightarrow S^3$, let $K = h(S^1)$ and let $\mathcal{G}_{k(T,S)}(K)$ denote the $A_k(T, S)$ -equivalence group $\mathcal{G}_{k(T,S)}(h; S^1)$ with the unit element $[h]_k$.

Theorem 4.4. Let O be a trivial knot. If any two knots are $A_1(T, S)$ -equivalent, then for any oriented knot K, $\mathcal{G}_{k(T,S)}(O)$ and $\mathcal{G}_{k(T,S)}(K)$ are isomorphic.

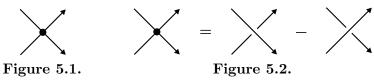
Let $\mathcal{K}_{k(T,S)}$ be the set of $A_k(T,S)$ -equivalence classes of all oriented knots. For $[K]_k, [K']_k \in \mathcal{K}_{k(T,S)}$, we define $[K]_k + [K']_k = [K \# K']_k$.

Theorem 4.5. If any two knots are $A_1(T, S)$ -equivalent, then the set $\mathcal{K}_{k(T,S)}$ forms an abelian group under '+' with the unit element $[O]_k$, where O is a trivial knot.

Remark. If (T, S) is the #-move defined by Murakami [6], then $\mathcal{K}_{k(T,S)}$ is an abelian group.

5. A_k -moves and Vassiliev invariants.

Let G be a finite graph. We give and fix orientations of the edges of G. Let \mathcal{E} be the set of the ambient isotopy classes of the embeddings of G into S^3 . Let $\mathbb{Z}\mathcal{E}$ be the free abelian group generated by the elements of \mathcal{E} . A crossing vertex is a double point of a map from G to S^3 as in Figure 5.1. An *i*-singular embedding is a map from G to S^3 whose multiple points are exactly *i* crossing vertices. By the formula in Figure 5.2 we identify an *i*-singular embedding with an element in $\mathbb{Z}\mathcal{E}$. Let \mathcal{R}_i be the subgroup of $\mathbb{Z}\mathcal{E}$ generated by all *i*-singular embeddings. Note that \mathcal{R}_i is independent of the choices of the edge orientations. Let H be an abelian group. Let $\varphi : \mathcal{E} \longrightarrow H$ be a map. Let $\tilde{\varphi} : \mathbb{Z}\mathcal{E} \longrightarrow H$ be the natural extension of φ . We say that φ is a Vassiliev invariant of order n if $\tilde{\varphi}(\mathcal{R}_{n+1}) = \{0\}$. Let $\iota : \mathcal{E} \longrightarrow \mathbb{Z}\mathcal{E}$ be the natural inclusion map and $\pi_i : \mathbb{Z}\mathcal{E} \longrightarrow \mathbb{Z}\mathcal{E}/\mathcal{R}_i$ the quotient homomorphism. Let $u_{i-1} = \pi_i \circ \iota : \mathcal{E} \longrightarrow \mathbb{Z}\mathcal{E}/\mathcal{R}_i$ be the composition map. Then φ is a Vassiliev invariant of order n if and only if there is a homomorphism $\hat{\varphi}: \mathbb{Z}\mathcal{E}/\mathcal{R}_{n+1} \longrightarrow H$ such that $\varphi = \hat{\varphi} \circ u_n$. In the following we sometimes do not distinguish between an embedding and its ambient isotopy class so long as no confusion occurs.



Theorem 5.1. Let $f, g: G \longrightarrow S^3$ be A_{k+1} -equivalent embeddings. Then $u_k(f) = u_k(g).$

By using induction on k, we see that an A_k -move (T, S) is a (k + 1)component Brunnian local move, i.e., T - t and S - s are ambient isotopic in B^3 relative ∂B^3 for any $t \in T$ and $s \in S$ with $\partial t = \partial s$ [15]. It is not hard to see that if two embeddings f and g are related by a (k+1)-component Brunnian local move, then f and q are k-similar, where k-similar is an equivalence relation defined by the first author [13]. Therefore, we note that Theorem 5.1 follows from [1] or [9]. However we give a self-contained proof here.

Let T be a tangle. Let $\mathcal{H}(T)$ be the set of all (possibly nontrivial) tangles that are homotopic to T relative to ∂B^3 . Let $\mathcal{E}(T)$ be the quotient of $\mathcal{H}(T)$ by the ambient isotopy relative to ∂B^3 . Then $\mathbb{Z}\mathcal{E}(T)$, *i*-singular tangles and $\mathcal{R}_i(T) \subset \mathbb{Z}\mathcal{E}(T)$ are defined as above.

Proof. It is sufficient to show for each A_k -move (T, S) that T - S is an element in $\mathcal{R}_k(T)$. We show this by induction on k. The case k = 1 is clear. Recall that an A_k -move (T, S) is a band trivialization of an A_{k-1} -move, say (T', S'). Then we have that $T-S = X_1 - X_2$ where X_1 and X_2 are 1-singular tangles in Figure 5.3. Let Y_1 and Y_2 be 1-singular tangles in Figure 5.4. It is clear that $Y_1 - Y_2 = 0$. Thus we have $T - S = (X_1 - Y_1) - (X_2 - Y_2)$. By the induction hypothesis we see that S' - T' is an element of $\mathcal{R}_{k-1}(S')$. Therefore both $X_1 - Y_1$ and $X_2 - Y_2$ are elements of $\mathcal{R}_k(T)$. \square

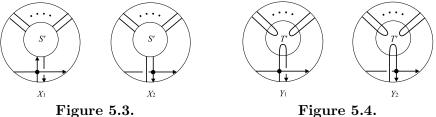


Figure 5.4.

Proof of Proposition **1.3**. It is sufficient to show that

$$\sum_{X \subset \{1,2,\dots,n+1\}} (-1)^{|X|} F\left(f; \bigcup_{i \in X} \{L_i\}, \bigcup_{i \in X} \{B_i\}\right)$$

is an element of $\mathcal{R}_{(n+1)(k-1)}$. We show this together with some additional claims by induction on n. First consider the case n = 0. Then we have by Theorem 5.1 and its proof that $F(f; \emptyset, \emptyset) - F(f; \{L_1\}, \{B_1\})$ is a sum of (k-1)-singular embeddings each of which has all crossing vertices in the associated ball. Note that these (k-1)-singular embeddings are natural extensions of the (k-1)-singular tangles that express the difference of the A_{k-1} -move, and these (k-1)-singular tangles depends only on the link L_1 . Next we consider the general case. Note that

$$\sum_{X \subset \{1,2,\dots,n+1\}} (-1)^{|X|} F\left(f; \bigcup_{i \in X} \{L_i\}, \bigcup_{i \in X} \{B_i\}\right)$$

=
$$\sum_{X \subset \{1,2,\dots,n\}} (-1)^{|X|} F\left(f; \bigcup_{i \in X} \{L_i\}, \bigcup_{i \in X} \{B_i\}\right)$$

-
$$\sum_{X \subset \{1,2,\dots,n\}} (-1)^{|X|} F\left(f; \bigcup_{i \in X} \{L_i\} \cup \{L_{n+1}\}, \bigcup_{i \in X} \{B_i\} \cup \{B_{n+1}\}\right).$$

By the hypothesis we have both

$$\sum_{X \subset \{1,2,\dots,n\}} (-1)^{|X|} F\left(f; \bigcup_{i \in X} \{L_i\}, \bigcup_{i \in X} \{B_i\}\right)$$

and

$$\sum_{X \subset \{1,2,\dots,n\}} (-1)^{|X|} F\left(f; \bigcup_{i \in X} \{L_i\} \cup \{L_{n+1}\}, \bigcup_{i \in X} \{B_i\} \cup \{B_{n+1}\}\right)$$

are sums of n(k-1)-singular embeddings and they differ only by the band sum of L_{n+1} . Therefore we have

$$\sum_{X \subset \{1,2,\dots,n+1\}} (-1)^{|X|} F\left(f; \bigcup_{i \in X} \{L_i\}, \bigcup_{i \in X} \{B_i\}\right)$$

is a sum of (n(k-1) + (k-1))-singular embeddings.

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