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# NATURAL COMMUTING OF VANISHING CYCLES AND THE VERDIER DUAL

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## NATURAL COMMUTING OF VANISHING CYCLES AND THE VERDIER DUAL

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We prove that the shifted vanishing cycles and nearby cycles commute with Verdier dualizing up to a *natural* isomorphism, even when the coefficients are not in a field.

#### 1. Introduction

In this short, technical, paper, we prove a result whose full statement is missing from the literature, and which may be surprising even to some experts in the field. To state this result, we need to use technical notions and notations; references are [Kashiwara and Schapira 1990; Dimca 2004; Schürmann 2003; Massey 2003, Appendix B]. We should remark immediately that the definition that we use (see below) for the vanishing cycles is the standard one, which is shifted by one from the definition in [Kashiwara and Schapira 1990].

We fix a base ring, R, which is a commutative, regular, Noetherian ring, with finite Krull dimension (e.g.,  $\mathbb{Z}$ ,  $\mathbb{Q}$ , or  $\mathbb{C}$ ). Throughout this paper, by a topological space, we will mean a locally compact space. When we write that  $\mathbf{A}^{\bullet}$  is complex of sheaves on a topological space, X, we mean that  $\mathbf{A}^{\bullet}$  is an object in  $D^b(X)$ , the derived category of bounded complexes of sheaves of R-modules on X. When X is complex analytic, we may also require that  $\mathbf{A}^{\bullet}$  is (complex) constructible, and write  $\mathbf{A}^{\bullet} \in D^b_c(X)$ . We remind the reader that constructibility includes the assumption that the stalks of all cohomology sheaves are finitely generated R-modules (so that, by our assumption on R, each stalk complex  $\mathbf{A}^{\bullet}_x$ , for  $x \in X$ , is perfect, i.e., is quasi-isomorphic to a bounded complex of finitely generated projective R-modules).

We let  $\mathcal{D} = \mathcal{D}_X$  denote the Verdier dualizing operator on  $D_c^b(X)$ . We will always write simply  $\mathcal{D}$ , since the relevant topological space will always be clear.

Suppose that  $f: X \to \mathbb{C}$  is a complex analytic function, where X is an arbitrary complex analytic space, and suppose that we have a complex of sheaves  $A^{\bullet}$  on X. We let  $\psi_f$  and  $\phi_f$  denote the nearby and vanishing cycle functors, respectively. Henceforth, we shall always write these functors composed with a shift by -1, that is, we shall write  $\psi_f[-1] := \psi_f \circ [-1]$  and  $\phi_f[-1] := \phi_f \circ [-1]$ . In order

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to eliminate any possible confusion over indexing/shifting: with the definitions that we are using, if  $F_{f,p}$  denotes the Milnor fiber of f at  $p \in f^{-1}(0)$  inside the open ball  $\mathring{B}_{\epsilon}(p)$  (using a local embedding into affine space), then, for all  $k \in \mathbb{Z}$ ,  $H^{k}(\psi_{f}[-1]\mathbf{A}^{\bullet})_{p} \cong \mathbb{H}^{k-1}(F_{f,p}; \mathbf{A}^{\bullet})$  and  $H^{k}(\phi_{f}[-1]\mathbf{A}^{\bullet})_{p} \cong \mathbb{H}^{k}(\mathring{B}_{\epsilon}(p), F_{f,p}; \mathbf{A}^{\bullet})$ .

The questions in which we are interested are:

- (i) Do isomorphisms  $\mathcal{D} \circ \psi_f[-1] \cong \psi_f[-1] \circ \mathcal{D}$  and  $\mathcal{D} \circ \phi_f[-1] \cong \phi_f[-1] \circ \mathcal{D}$ exist even if *R* is *not* a field?
- (ii) Do there exist such isomorphisms which are *natural*?

We show that the answer to both is yes.

Is this result known and/or surprising? Some references, such as [Brylinski and Monteiro Fernandes 1986; Dimca 2004; Massey 2003, Appendix B], state that there exist nonnatural isomorphisms, and require that the base ring is a field. Schürmann [2003, Corollary 5.4.4] proves the natural isomorphism exists on the stalk level, even when R is not a field.

In the *l*-adic algebraic context, Illusie [1994] proves that the Verdier dual and nearby cycles commute, up to natural isomorphism. M. Saito [1988; 1989] proves the analogous result in the complex analytic setting, with field coefficients. One can obtain our full result by combining Proposition 8.4.13, Proposition 8.6.3, and Exercise VIII.15 of [Kashiwara and Schapira 1990], though our proof here is completely different. In fact, our proof is similar to the discussion on duality of local Morse data following Remark 5.1.7 in [Schürmann 2003].

Recently, J. Schürmann proved in Proposition A.1 of the Appendix in [Brav et al. 2015], that the duality isomorphism constructed here fits with a corresponding (more complicated) duality isomorphism in Saito's theory of mixed Hodge modules.

Furthermore, this duality result and the half-space description used for the vanishing cycles have recently become very promising in the study of Donaldson–Thomas invariants of suitable moduli spaces (as in [Brav et al. 2015] and [Kontsevich and Soibelman 2011, Section 7]).

Our proof is relatively simple, and consists of three main steps: proving a small lemma about pairs of closed sets which cover a space, using a convenient characterization/definition of the vanishing cycles, and using that the stratified critical values of f are locally isolated. The nearby cycle result follows as a quick corollary of the result for vanishing cycles.

#### 2. Two lemmas

We shall use  $\simeq$  to denote natural isomorphisms of functors. If A<sup>•</sup> is a bounded complex, then, by supp A<sup>•</sup>, we mean, by definition, the closure of the union of the support of all (nontrivial) cohomology sheaves.

The following is an easy generalization of the fact that, if *i* is the inclusion of an open set, then  $i^* \simeq i^!$  (see, for instance, [Dimca 2004, Corollary 3.2.12]).

**Lemma 2.1.** Suppose Z is a locally compact subset of X, and let  $j : Z \hookrightarrow X$  denote the inclusion. Let  $D_Z^b(X)$  denote the full subcategory of  $D^b(X)$  of complexes A<sup>•</sup> such that  $Z \cap \text{supp } A^\bullet$  is an open subset of supp A<sup>•</sup>. Then, there is a natural isomorphism of functors  $j^! \simeq j^*$  from  $D_Z^b(X)$  to  $D^b(Z)$ .

*Proof.* Let  $\mathbf{A}^{\bullet} \in D_Z^b(X)$ . We will show that the natural map  $j^! \to j^*$  of functors from  $D^b(X)$  to  $D^b(Z)$  yields an isomorphism  $j^! \mathbf{A}^{\bullet} \to j^* \mathbf{A}^{\bullet}$ .

Let  $Y := \text{supp } \mathbf{A}^{\bullet}$ . Let  $m : Y \hookrightarrow X$ ,  $\hat{m} : Z \cap Y \hookrightarrow Z$  and  $\hat{j} : Z \cap Y \hookrightarrow Y$  denote the inclusions. Then,

$$j^! \mathbf{A}^{\bullet} \cong j^! m_* m^* \mathbf{A}^{\bullet} \cong \hat{m}_* \hat{j}^! m^* \mathbf{A}^{\bullet} \cong \hat{m}_! \hat{j}^* m^* \mathbf{A}^{\bullet} \cong j^* m_! m^* \mathbf{A}^{\bullet} \cong j^* \mathbf{A}^{\bullet}.$$

where we used, in order, that  $\mathbf{A}^{\bullet} \cong m_* m^* \mathbf{A}^{\bullet}$ , since Y is the support of  $\mathbf{A}^{\bullet}$ , Proposition 2.6.7 of [Kashiwara and Schapira 1990] on Cartesian squares, that  $\hat{m}_* \simeq \hat{m}_!$  and  $\hat{j}! \simeq \hat{j}^*$ , since  $\hat{m}$  is a closed inclusion and  $\hat{j}$  is an open inclusion, Proposition 2.6.7 of [Kashiwara and Schapira 1990] again, and that  $\mathbf{A}^{\bullet} \cong m_! m^* \mathbf{A}^{\bullet}$ .

The lemma that we shall now prove certainly looks related to many propositions we have seen before, and may be known, but we cannot find a reference. The lemma tells us that, in our special case, the morphism of functors described in Proposition 3.1.9(iii) of [Kashiwara and Schapira 1990] is an isomorphism.

**Lemma 2.2.** Let X be a locally compact space, and let  $Z_1$  and  $Z_2$  be closed subsets of X such that  $X = Z_1 \cup Z_2$ . Denote the inclusion maps by

$$j_1: Z_1 \hookrightarrow X, \quad j_2: Z_2 \hookrightarrow X, \quad \hat{j}_1: Z_1 \cap Z_2 \hookrightarrow Z_2,$$
$$\hat{j}_2: Z_1 \cap Z_2 \hookrightarrow Z_1, \quad m = j_1 \hat{j}_2 = j_2 \hat{j}_1: Z_1 \cap Z_2 \hookrightarrow X.$$

Then, we have the following natural isomorphisms

(1) 
$$m^* j_{2!} j_2^! \simeq \hat{j}_1^* j_2^! \simeq \hat{j}_2^! j_1^* \simeq m^* j_{1*} \hat{j}_{2!} \hat{j}_2^! j_1^*.$$

*Proof.* Let  $i_1 : X - Z_1 \hookrightarrow X$  and  $i_2 : X - Z_2 \hookrightarrow X$  denote the open inclusions. We make use of Proposition 2.6.7 of [Kashiwara and Schapira 1990] on Cartesian squares repeatedly. We also use repeatedly that, if j is a closed inclusion, then  $j_* \simeq j_!$  and  $j^* j_* \simeq j^* j_! \simeq id$ .

We find

$$m^* j_{2!} j_2^! = (j_2 \hat{j}_1)^* j_{2!} j_2^! \simeq \hat{j}_1^* j_2^* j_{2!} j_2^! \simeq \hat{j}_1^* j_2^!,$$

which proves the first isomorphism in (1).

We also find

$$m^* j_{1*} j_{2!} j_2^! j_1^* = (j_1 j_2)^* j_{1*} j_{2!} j_2^! j_1^* \simeq j_2^* j_1^* j_{1*} j_{2!} j_2^! j_1^* \simeq j_2^* j_{2!} j_1^! z_1^* \simeq j_2^! j_1^* \simeq j_2^! j_1^*,$$

which proves the last isomorphism in (1).

It remains for us to demonstrate the middle isomorphism.

Let  $l_2: X - Z_2 = Z_1 - (Z_1 \cap Z_2) \rightarrow X$  denote the (open) inclusion. Then, we have the natural distinguished triangle

$$j_{2!}j_2^! \to \mathrm{id} \to l_{2*}l_2^* \stackrel{[1]}{\longrightarrow}$$

which yields the distinguished triangle

$$\hat{j}_{2}^{!} j_{1}^{*} j_{2!} j_{2}^{!} \rightarrow \hat{j}_{2}^{!} j_{1}^{*} \rightarrow \hat{j}_{2}^{!} j_{1}^{*} l_{2*} l_{2}^{*} \stackrel{[1]}{\longrightarrow}$$

Now,  $\hat{j}_{2}^{!} j_{1}^{*} j_{2!} j_{2}^{!} \simeq \hat{j}_{2}^{!} \hat{j}_{2!} \hat{j}_{1}^{*} j_{2}^{!} \simeq \hat{j}_{1}^{*} j_{2}^{!}$  and so, if we can show that  $\hat{j}_{2}^{!} j_{1}^{*} l_{2*} l_{2}^{*} = 0$ , then we will be finished.

This is easy. The support of  $l_{2*}l_2^*$  is contained in  $Z_1$ ; hence  $j_1^*l_{2*}l_2^* \simeq j_1^!l_{2*}l_2^*$ . Therefore,

$$\hat{j}_2^! \, j_1^* l_{2*} l_2^* \simeq \hat{j}_2^! \, j_1^! l_{2*} l_2^* \simeq \hat{j}_1^! \, j_2^! l_{2*} l_2^*,$$

and  $j_2^! l_{2*} = 0$ .

#### 3. The main theorem

Let  $f: X \to \mathbb{C}$  be complex analytic, and let  $\mathbf{A}^{\bullet} \in D^b_c(X)$ . For any real number  $\theta$ , let

 $Z_{\theta} := f^{-1}(e^{i\theta} \{ v \in \mathbb{C} \mid \operatorname{Re} v \le 0 \})$ 

and let

$$L_{\theta} := f^{-1}(e^{i\theta} \{ v \in \mathbb{C} \mid \operatorname{Re} v = 0 \}).$$

Let  $j_{\theta}: Z_{\theta} \hookrightarrow X$  and  $p: f^{-1}(0) \hookrightarrow X$  denote the inclusions.

By Lemma 1.3.2 of [Schürmann 2003], or following Exercise VIII.13 of [Kashiwara and Schapira 1990] (but reversing the inequality, and using a different shift), we define (or characterize up to natural isomorphism) the shifted vanishing cycles of  $\mathbf{A}^{\bullet}$  along f to be

$$\phi_f[-1]\mathbf{A}^{\bullet} := p^* R \Gamma_{Z_0}(\mathbf{A}^{\bullet}) \simeq p^* j_{0!} j_0^! \mathbf{A}^{\bullet}.$$

In fact, for each  $\theta$ , we define the shifted vanishing cycles of A<sup>•</sup> along f at the angle  $\theta$  to be

$$\phi_f^{\theta}[-1]\mathbf{A}^{\bullet} := p^* j_{\theta} j_{\theta}^{!} \mathbf{A}^{\bullet}.$$

There are the well-known natural isomorphisms  $\widetilde{T}_{f}^{\theta}: \phi_{f}^{0}[-1] \to \phi_{f}^{\theta}[-1]$ , induced by rotating  $\mathbb{C}$  counterclockwise by an angle  $\theta$  around the origin. The natural isomorphism  $\widetilde{T}_{f}^{2\pi}: \phi_{f}[-1] \to \phi_{f}[-1]$  is the usual monodromy automorphism on the vanishing cycles.

In the proof of the main theorem below, we shall use that  $\mathcal{D} \circ (-)^* \simeq (-)^! \circ \mathcal{D}$ always holds; we shall also use that  $\mathcal{D} \circ (-)^! \simeq (-)^* \circ \mathcal{D}$  holds in our context, but note that this uses biduality, i.e., that  $\mathcal{D} \circ \mathcal{D} \simeq$  id, for subanalytically constructible complexes of sheaves (see of [Schürmann 2003, Corollary 2.2.7] or [Kashiwara and Schapira 1990, Exercise VIII.3]), which uses the assumption that the commutative base ring *R* is regular, Noetherian of finite Krull dimension, so that, for such a subanalytically constructible complex of sheaves, all stalk complexes are perfect.

We now prove the main theorem.

**Theorem 3.1.** There is a natural isomorphism

$$\phi_f[-1] \circ \mathcal{D} \simeq \mathcal{D} \circ \phi_f[-1]$$

of functors from  $D_c^b(X)$  to  $D_c^b(f^{-1}(0))$ .

*Proof.* Let *m* denote the inclusion of  $L_0 = L_{\pi}$  into *X*. Now, apply Lemma 2.2 to  $X = Z_0 \cup Z_{\pi}$ , and conclude that

$$m^* j_{0!} j_0^! \simeq j_0^! j_\pi^*$$

Dualizing, we obtain

(2) 
$$\mathcal{D}(m^* j_{0!} j_0^!) \simeq \mathcal{D}(\hat{j}_0^! j_\pi^*) \simeq \hat{j}_0^* j_\pi^! \mathcal{D} \simeq m^* j_{\pi !} j_\pi^! \mathcal{D},$$

where the second isomorphism uses that  $\mathcal{D}$  "commutes" with the standard operations, and the last isomorphism results from using that  $m = j_{\pi} \hat{j}_0$ .

Let q denote the inclusion of  $f^{-1}(0)$  into  $L_0 = L_{\pi}$ , so that the inclusion p equals mq. Applying  $q^*$  to (2), we obtain

$$q^*\mathcal{D}(m^*j_{0!}\,j_0^!) \simeq q^*m^*\,j_{\pi\,!}\,j_{\pi}^!\,\mathcal{D} \simeq p^*\,j_{\pi\,!}\,j_{\pi}^!\,\mathcal{D} = \phi_f^{\pi}[-1]\circ\mathcal{D} \simeq \phi_f[-1]\circ\mathcal{D},$$

where, in the last step, we used the natural isomorphism  $(T_f^{\pi})^{-1}$ .

As  $\mathcal{D}(q^!m^*j_{0!}j_0^!) \simeq q^*\mathcal{D}(m^*j_{0!}j_0^!)$ , it remains for us to show that  $q^!m^*j_{0!}j_0^!$  is naturally isomorphic to  $q^*m^*j_{0!}j_0^! \simeq p^*j_{0!}j_0^! \simeq \phi_f[-1]$ . This will follow from Lemma 2.1, once we show that, for all  $\mathbf{A}^{\bullet} \in D_c^b(X)$ ,  $f^{-1}(0) \cap \operatorname{supp}(m^*j_{0!}j_0^!\mathbf{A}^{\bullet})$  is an open subset of  $\operatorname{supp}(m^*j_{0!}j_0^!\mathbf{A}^{\bullet})$ .

Suppose that  $x \in f^{-1}(0) \cap \operatorname{supp}(m^* j_0! j_0^1 \mathbf{A}^{\bullet})$ . We need to show that there exists an open neighborhood  $\mathcal{W}$  of x in X such that  $\mathcal{W} \cap \operatorname{supp}(m^* j_0! j_0^1 \mathbf{A}^{\bullet}) \subseteq f^{-1}(0)$ .

Fix a Whitney stratification of X, with respect to which  $\mathbf{A}^{\bullet}$  is constructible. Then, select  $\mathcal{W}$  so that all of the stratified critical points of f, inside  $\mathcal{W}$ , are contained in  $f^{-1}(0)$ . Suppose that there were a point  $y \in \mathcal{W}$  such that  $y \in f^{-1}(L_0) - f^{-1}(0)$  and the stalk cohomology of  $m^* j_{0!} j_0^! \mathbf{A}^{\bullet}$  at y is nonzero. Then, by definition, y would be a point in the support  $\phi_{f-f(y)}[-1]\mathbf{A}^{\bullet}$ , which, again, is contained in the stratified critical locus of f and, hence, is contained in  $f^{-1}(0)$ . This contradiction concludes the proof.

We continue to let  $p: f^{-1}(0) \hookrightarrow X$  denote the closed inclusion, and now let  $i: X - f^{-1}(0) \hookrightarrow X$  denote the open inclusion. Consider the two fundamental

distinguished triangles related to the nearby and vanishing cycles:

$$p^*[-1] \xrightarrow{\text{comp}} \psi_f[-1] \xrightarrow{\text{can}} \phi_f[-1] \xrightarrow{[1]} \phi_f[-1] \xrightarrow{\text{var}} \psi_f[-1] \to p^![1] \xrightarrow{[1]} .$$

and

The morphisms comp, can, and var are usually referred to as the *comparison map*.  
canonical map, and variation map. As 
$$p^*i_! = 0 = p^!i_*$$
 and as  $\psi_f[-1]$  depends only  
on the complex outside of  $f^{-1}(0)$ , the top triangle, applied to  $i_!i^!$  and the bottom  
triangle applied to  $i_*i^*$  yield natural isomorphisms

$$\alpha: \psi_f[-1] \xrightarrow{\simeq} \phi_f[-1]i_! i^!$$
 and  $\beta: \phi_f[-1]i_*i^* \xrightarrow{\simeq} \psi_f[-1].$ 

**Corollary 3.2.** There is a natural isomorphism

$$\psi_f[-1] \circ \mathcal{D} \simeq \mathcal{D} \circ \psi_f[-1]$$

of functors from  $D_c^b(X)$  to  $D_c^b(f^{-1}(0))$ .

Proof.  $\psi_f[-1] \circ \mathcal{D} \simeq \phi_f[-1]i_!i^! \circ \mathcal{D} \simeq \mathcal{D} \circ \phi_f[-1]i_*i^* \simeq \mathcal{D} \circ \psi_f[-1].$ 

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