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NEW HOMOTOPY 4-SPHERES

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**We use surgery along 2-tori embedded in a union of two copies of  $T_o^2 \times T_o^2$  to produce a new collection of homotopy 4-spheres.**

## 1. Introduction

With the Poincaré conjecture now established, the attention of many experts is shifting to the 4-dimensional smooth counterpart to the conjecture:

**Conjecture** (SPC4: the smooth Poincaré conjecture in four dimensions). Let  $M$  be a smooth 4-manifold homeomorphic to the 4-sphere  $S^4$ . Then  $M$  is diffeomorphic to  $S^4$ .

The persisting lack of any answer to SPC4 is probably in part due to the wild nature of smooth 4-manifolds in general, which—even restricting our scope to the simply connected setting—have proven exceptionally formidable in terms of constructing any plenary classification scheme. Still, of all simply connected 4-manifolds, the 4-sphere continues to present perhaps the most elusive challenge when it comes to obtaining/finding exotic smooth structures. On the one hand, the literature abounds with *potential* counterexamples to the conjecture; but on the other hand, not one example has yet been verified as exotic. This is, it seems, largely due to the lack of smooth invariants for  $S^4$  (which other exotic 4-manifold constructions have relied upon).

Historically, these exotic constructions of other simply connected 4-manifolds have quite often made use of surgery along 2-tori (generalized logarithmic transformation). This paper highlights the utility of torus surgery in conjunction with SPC4 and (once again) as a potential facet of the classification of smooth 4-manifolds in general. In [Section 2](#) we lay out the background material needed to construct our examples. [Section 3](#) comprises the heart of this work, the production of new homotopy 4-sphere examples (we do not however prove here that our examples are counterexamples to SPC4). These constructions are inspired by an intriguing handlebody presentation of  $S^4$  given by in [[Fintushel and Stern 2008](#)] and the role

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of surgery upon 2-tori embedded in  $T_o^2 \times T_o^2$  as seen in the “reverse engineering” program of Fintushel, Park, and Stern [Fintushel et al. 2007].

In Section 4 we illustrate a further correspondence between SPC4 and surgery along embedded 2-tori in conjunction with the classic homotopy sphere examples of Cappell and Shaneson [1976a; 1976b] and the recent analysis of these examples by Gompf [2010]. Specifically, their homotopy  $S^4$ 's can be viewed as the result of surgery along a circle in special mapping tori on  $T^3$ , later labeled  $M_\phi$  and referred to as “Cappell–Shaneson mapping tori”. Gompf exhibited diffeomorphisms between all members of a certain family of homotopy spheres arising from  $M_\phi$  manifolds by altering the monodromy via surgery along fishtail embedded 2-tori in the  $T^3$  fiber.

Our focus here is on the monodromy changing mechanics of torus surgeries. We exhibit a (perhaps) surprising connection between a subcollection of our surgery manifolds produced from  $T_o^2 \times T_o^2$  and the mapping tori  $M_\phi$  of Cappell–Shaneson, but we also show that this approach does not directly imply the trivialization of our general homotopy sphere examples.

## 2. Background material

**Definition: surgery along a torus.** Given a 4-manifold  $M$  and a torus  $T \subset M$  which has a trivial normal bundle  $\nu T \subset M$ , a surgery (or generalized logarithmic transformation) along  $T$  is the process of extracting the interior of a tubular neighborhood of  $T$ , and then regluing  $T^2 \times D^2$  via some diffeomorphism  $\delta$  of its boundary. (The restriction on the normal bundle ensures  $\nu T \approx T^2 \times D^2$ .) Notice that the boundary of  $T^2 \times D^2$  is  $T^2 \times S^1 \approx T^3$ , a three-torus; so diffeomorphisms of the boundary are elements of  $GL(3, \mathbb{Z}) \cong \text{Diff}(T^3)$ . The resulting manifold  $M_{\delta, T}$  is given as:

$$M_{\delta, T} = (M \setminus \nu T) \cup_{\delta} T^2 \times D^2.$$

Due to the handlebody (see [Gompf and Stipsicz 1999; Kirby 1989], for instance) structure of a trivial torus bundle  $T^2 \times D^2 = h^0 \cup h_a^1 \cup h_b^1 \cup h^2$ , there is a unique way to attach the dualized 3- and 4- handles coming from  $h_a^1, h_b^1, h^0$  to  $(M \setminus \nu T) \cup h^2$ . Hence, the regluing map  $\delta$  can be described by the attaching map of the 2-handle. In terms of homology, this gluing of the 2-handle into the boundary of  $(M \setminus \nu T)$  — and the surgery itself — depends on a choice of curves along the boundary. Specifically, taking two loops  $\{a', b'\}$  which generate  $\pi_1(T)$  we push these in  $\nu T$  out to loops  $a$  and  $b$  on the boundary of  $M \setminus \nu T$ . If  $\mu$  is the curve in  $\nu T$  which bounds, then  $B = \{[a], [b], [\mu]\}$  forms a basis for  $H_1(\partial(M \setminus \nu T); \mathbb{Z}) \cong H_1(T^3; \mathbb{Z}) \cong \mathbb{Z}^3$ . The surgery then can be defined by a linear combination in  $B$  that gives the attaching curve for  $\partial D^2$ , the boundary of the attaching disk of  $h^2 \approx D^2 \times D^2$ . In sum, the surgery map  $\delta$  and the resulting manifold  $M_{\delta, T}$  are given by the choices  $a$  and  $b$

and the map

$$\delta_* : H_1(T^2 \times \partial D^2; \mathbb{Z}) \rightarrow H_1(\partial(M \setminus \nu T); \mathbb{Z})$$

such that

$$\delta_*([\partial D^2]) = p[\mu] + q[a] + r[b].$$

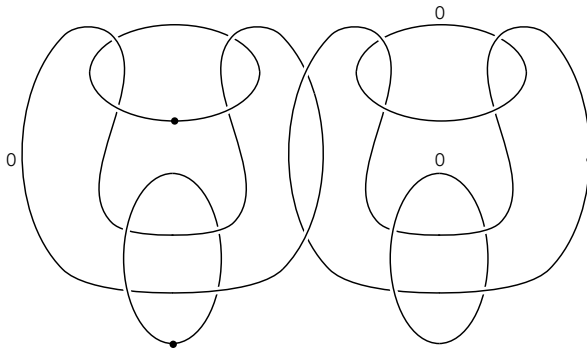
Generally, one refers to the above as a  $(p, q, r)$ -surgery along  $T$  with respect to  $a, b$  or a degree  $p$ -surgery in the direction  $qa + rb$ . (From now on we also denote both loops  $a$  and their corresponding homology classes  $[a]$  by simply  $a$ .) For certain simpler situations (like those considered in this paper), one of the last two coefficients will be 0, and we will mimic the notation of Dehn surgery in 3-manifolds by calling this a  $(\frac{p}{q})$ -surgery with  $p$  the coefficient of the meridian.

**Reverse engineering and torus surgeries of Fintushel and Stern.** Of particular import in this paper, is the approach of [Fintushel and Stern 2008] and [Fintushel et al. 2007] in devising clever ways of discovering *nullhomologous* tori embedded in standard 4-manifolds which are somehow linked to exotic smooth structures on these 4-manifolds.

In the latter paper, Fintushel, Park, and Stern define and implement their reverse engineering process, whereby exotic smooth structures on small Euler characteristic manifolds (such as  $\mathbb{C}\mathbb{P}^2 \# n \overline{\mathbb{C}\mathbb{P}^2}$ , for  $n \leq 8$ ) can be obtained. In their description, a simply connected manifold such as  $M = \mathbb{C}\mathbb{P}^2 \# n \overline{\mathbb{C}\mathbb{P}^2}$  serves as the *target* of the procedure, while a different non-simply connected symplectic manifold — the *model* for  $M$  — is actually used as the starting point. The above authors were able to produce an infinite collection of Seiberg–Witten invariant altering surgeries.

For the purposes of this paper, Taubes' result [1994] on Seiberg–Witten invariants and its utilization as in [Fintushel et al. 2007] are not quite applicable. On the other hand, this formulation of *models* is indeed useful for our *target*,  $S^4$ . And of the greatest use here is the Fintushel–Park–Stern model for a special target which is not a blow-up of  $\mathbb{C}\mathbb{P}^2$ , the target  $S^2 \times S^2$ . The model employed in [Fintushel et al. 2007] is a fiber sum along a genus two surface in two copies of  $\Sigma_2 \times T^2$ , that is  $\Sigma_2 \times \Sigma_2$ . Also, if each genus-2 surface complement  $(\Sigma_2 \times T^2 \setminus \Sigma_2 \times D^2)$  is further decomposed as  $T_o^2 \times T_o^2$  (a product of punctured 2-tori), then the (8-many) surgeries leading to a fake  $S^2 \times S^2$  can be realized within the four individual  $T_o^2 \times T_o^2$  copies.

$T_o^2 \times T_o^2$ . Now this decomposition of  $\Sigma_2 \times \Sigma_2$  as a 4-fold union of  $T_o^2 \times T_o^2$ 's (equivalently, the complements of the coordinate axes in copies of  $T^4 = T^2 \times T^2$ ) suggests a key strategy for understanding exotic smooth structures and the related model manifolds might be to focus on this core building block  $T_o^2 \times T_o^2$  itself. Actually, Fintushel and Stern have arrived in this situation from an alternate starting point. Pursuing useful nullhomologous tori embedded in standard 4-manifolds, Fintushel and Stern have exhibited a particular manifold-with-boundary (which



**Figure 1.** Fintushel and Stern’s  $A$  manifold.

they denote by  $A$ ) that itself contains a Bing double of nullhomologous tori, and upon which they build their models. Figure 1 gives a handlebody diagram for  $A$  which is equivalent to the one appearing in [Fintushel and Stern 2008].

Two key aspects concerning  $A$  now become important for the emphasis of our work. Let  $B_T \stackrel{\text{def}}{=} \text{the pair of tori mentioned above. Then:}$

**Proposition 2.1** [Fintushel and Stern 2008, Proposition 2]. *The result of 0-framed surgery on the pair of tori  $B_T \subset A$  is  $T_o^2 \times T_o^2$ .* □

Second, Fintushel and Stern have also made the following observation which is simple to check: If  $\varphi$  is the involution of  $\partial A$  which flips the handlebody’s boundary about a vertical line through the middle of the diagram above, then  $A \cup_\varphi \bar{A} \approx S^4$ . Forming this union amounts to gluing in the second copy’s 2-handles as 0-framed meridians to the first copy’s 1-handles and then attaching the dualized 1-handles as 3-handles. Essentially, one arrives at the handlebody of Figure 2 union three 3-handles and a 4-handle.

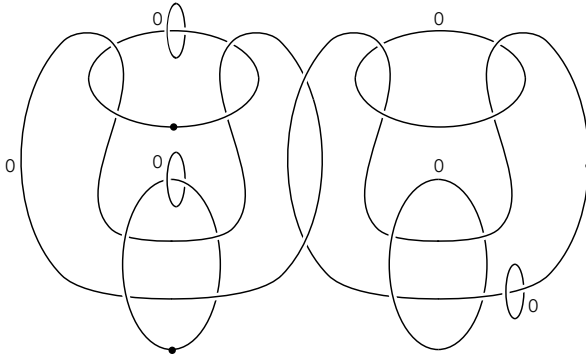
After sliding 2-handles over these 0-framed meridians and canceling pairs of 1-,2-handles, the boundary is explicitly seen as  $\#_3 S^1 \times S^2$ . Thus, one can add back in the extra 3-handles, cancel the 2-,3-handle pairs, and add the 4-handle to obtain  $S^4$ . These two observations above now give the connection between surgery on model manifolds and SPC4, and the way is paved for the main consideration of this section. Overall, this implies:

$S^4$  contains four nullhomologous tori, 0-framed surgery upon which yields

$$T_o^2 \times T_o^2 \cup_\varphi \overline{T_o^2 \times T_o^2}.$$

Or dually, starting from the opposite direction:

$$\overline{T_o^2 \times T_o^2} \cup_\varphi T_o^2 \times T_o^2 \text{ contains four essential tori, surgery upon which yields } S^4.$$



**Figure 2.**  $A \cup_{\varphi} \bar{A} \setminus$  (3-handles, 4-handle).

This leads one to consider whether *other* surgeries upon tori in

$$T_o^2 \times T_o^2 \cup_{\varphi} \overline{T_o^2 \times T_o^2}$$

will also produce  $S^4$ , or more importantly, whether there are surgeries that might possibly produce an *exotic*  $S^4$ . We exhibit below, surgeries which *at least* produce a homotopy  $S^4$  not a priori diffeomorphic to  $A \cup_{\varphi} \bar{A}$ .

### 3. Homotopy 4-spheres from $T_o^2 \times T_o^2$

**Constructing a new homotopy 4-sphere.** To begin our construction, note that the boundary of  $T_o^2 \times T_o^2$  is

$$\partial(T_o^2 \times T_o^2) = T_o^2 \times S^1 \cup S^1 \times T_o^2,$$

where the two boundary terms are not disjoint but overlap in a torus.

In the following, we make use of the same convenient involution

$$\varphi : T_o^2 \times S^1 \cup S^1 \times T_o^2 \rightarrow T_o^2 \times S^1 \cup S^1 \times T_o^2$$

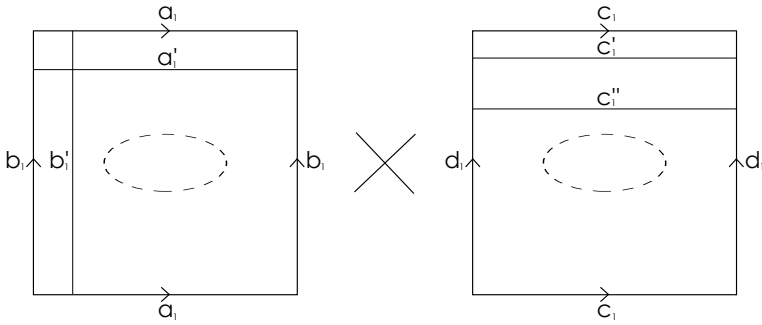
which is a flip along the entire boundary. This can be formally defined by

$$\varphi(x) = x^*,$$

where for  $x \in T_o^2 \times S^1$ ,  $x^*$  is the corresponding point of  $S^1 \times T_o^2$  and conversely. Under this framework, we will prove this:

**Theorem 3.1** ( $T_o^2 \times T_o^2$  surgery theorem). *For  $\varphi$  as above, there are two lagrangian tori in  $T_o^2 \times T_o^2$  and a pair of lagrangian-framed surgeries such that the resulting surgery manifold  $X'$  satisfies*

$$X' \cup_{\varphi} \bar{X}' \cong S^4.$$



**Figure 3.**  $T_o^2 \times T_o^2$  and lagrangian tori.

*Proof.* The surgeries in view here are actually performed identically in both copies. For homotopy calculations we appeal to the results of [Baldrige and Kirk 2008], essentially surgering the same pair of tori depicted in their calculation. In order to guarantee the effects of surgeries on  $\pi_1$ , we also utilize a slightly careful description of the torus surgeries. Here label the  $\pi_1$ -generating loops passing through the base-point  $(x, y)$  in the  $i^{th}$  punctured torus product by  $a_i, b_i$  from one punctured torus factor and  $c_i, d_i$  from the other. Similar to [Fintushel et al. 2007] label lagrangian push-offs of these loops by “primes” as in Figure 3.

Set  $T_{ac} = a'_1 \times c'_1$  and  $T_{bc} = b'_1 \times c''_1$ . Then as in [Baldrige and Kirk 2008, Theorem 2], the complement of the two tori in  $T_o^2 \times T_o^2$  has fundamental group generated by  $a_1, b_1, c_1, d_1$  with several relations. These include

- (1)  $[a_1, c_1] = 1,$
- (2)  $[b_1, c_1] = 1.$

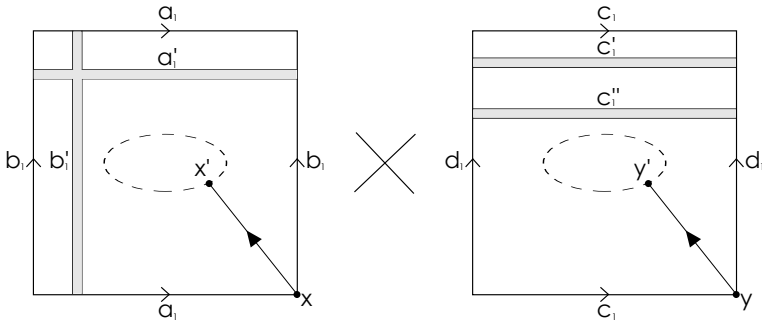
In the notation of [Fintushel et al. 2007], the surgery tori, directions, and coefficients selected here are of the form (torus, direction, coefficient). After regluing the two tori along these surgery curves, we have new  $\pi_1$  relations, again by [Baldrige and Kirk 2008, Theorem 2]:

Surgery	New $\pi_1$ relation
$(a'_1 \times c'_1, a'_1, -1)$	$[b_1^{-1}, d_1^{-1}] = a_1$
$(b'_1 \times c''_1, b'_1, -1)$	$[a_1^{-1}, d_1] = b_1$

Now to continue the proof of the theorem, we need:

**Proposition 3.2.** *Each of the loops  $a_1, b_1, c_1, d_1$  are based homotopic to a corresponding loop on the boundary of  $T_o^2 \times T_o^2$ , in the complement of tori*

$$T_o^2 \times T_o^2 \setminus T_{ac} \cup T_{bc}.$$



**Figure 4.** Paths from basepoint  $(x, y)$  to the puncture.

*Proof.* For  $a'_1 \times y$ ,  $b'_1 \times y$ , etc. push the corresponding point  $x$  or  $y$  along a straight linear path to  $x'$  or  $y'$ . This can be done in such a way that  $\nu T_{ac}$  and  $\nu T_{bc}$  are avoided, as in [Figure 4](#).  $\square$

With this proposition, in  $\pi_1$  of the union of surgery manifolds  $X' \cup_\varphi \bar{X}'$  we have the relations  $a_1 \sim c_2$ ,  $b_1 \sim d_2$ ,  $a_2 \sim c_1$ , and  $b_2 \sim d_1$ . Hence, applying the equivalent of [\(2\)](#) to the second copy we also obtain

$$(3) \quad [b_2, c_2] = [d_1, a_1] = 1$$

and from the first and second pair of surgeries

$$(4) \quad [b_1^{-1}, d_1^{-1}] = a_1,$$

$$(5) \quad [a_1^{-1}, d_1] = b_1,$$

$$(6) \quad [b_2^{-1}, d_2^{-1}] = a_2 = c_1 = [d_1^{-1}, b_1^{-1}],$$

$$(7) \quad [a_2^{-1}, d_2] = b_2 = d_1 = [c_1^{-1}, b_1]..$$

Using [\(3\)](#) together with [\(5\)](#) implies  $b_1 = 1$ , and then [\(4\)](#) and [\(6\)](#) in turn give  $a_1, c_1 = 1$ . Finally, [\(7\)](#) gives  $d_1 = 1$ . After the four surgeries in the union  $T_o^2 \times T_o^2 \cup_\varphi \overline{T_o^2 \times T_o^2}$ , we obtain the simply connected manifold  $\mathcal{S}' \stackrel{\text{def}}{=} X' \cup_\varphi \bar{X}'$ . Since  $\mathcal{S}'$  also has  $\chi = 2$ , it is therefore homeomorphic to  $S^4$ .  $\square$

**Families of homotopy 4-spheres.** By the choice of surgeries (in fact *either* of the  $-1$  or  $+1$  surgeries works so that  $X'$  as depicted above is only one such possible choice of surgery manifolds; it is not yet known whether these are pairwise diffeomorphic). However, any such  $X'$  is distinct from  $A$  (see [Section 4](#)), hence it is not obvious that  $\mathcal{S}'$  is standard  $S^4$ . Now if one is willing to sacrifice the benefit of having a symplectic surgery manifold like  $X'$ , allowing a greater freedom in surgeries can still yield a homotopy  $S^4$ .



**Theorem 3.3** (main theorem). *For  $m, n \in \mathbb{Z}$ , Let  $X_{m,n}$  denote the result of performing the  $\binom{m}{1}$ - and  $\binom{n}{1}$ -surgeries on  $T_{ac}, T_{bc}$  and in the directions  $a, b$  respectively. Then the 4-manifold*

$$\mathcal{S}_{(m,n,m',n')} \stackrel{\text{def}}{=} X_{m,n} \cup_{\varphi} \overline{X_{m',n'}}$$

*is homeomorphic to  $S^4$  for all  $m, n, m', n' \in \mathbb{Z}$ .*

*Proof.* Replace the relations such as (5) above with  $[a_1^{-1}, d_1]^n = b_1$ , etc. Again this gives  $b_1 = 1$  and in turn all three of the other generators are trivial as before.  $\square$

**Remark 3.4.** In the following section we will see that even the nonsymplectic surgery manifolds  $X_{m,n}$  above, when also both  $m, n \neq 0$ , are distinct from  $A$ , for slightly more subtle reasons (see [Proposition 4.1](#)).

Furthermore, we have described these surgeries and surgery coefficients from the starting point and point of view of  $T_o^2 \times T_o^2 \cup_{\varphi} \overline{T_o^2 \times T_o^2}$ . However, our specific pairs of tori,  $a_i \times c_i$  and  $b_i \times c_i$ , were precisely those producing  $A$  (see [[Fintushel and Stern 2008](#)]) as well, and if  $W_T$  is a tubular neighborhood of the union of the four surgery tori, then

$$T_o^2 \times T_o^2 \cup_{\varphi} \overline{T_o^2 \times T_o^2} \setminus W_T = A \cup_{\varphi} \overline{A} \setminus W_T = S^4 \setminus W_T.$$

Hence, some regluing of four tori embedded in  $S^4$  gives the manifold  $\mathcal{S}_{(m,n,m',n')}$ , and this proves:

**Proposition 3.5.** *The manifolds  $\mathcal{S}_{(m,n,m',n')}$ , obtained above by surgery along null-homologous tori in  $S^4$ , form a four-parameter family of homotopy four-spheres.  $\square$*

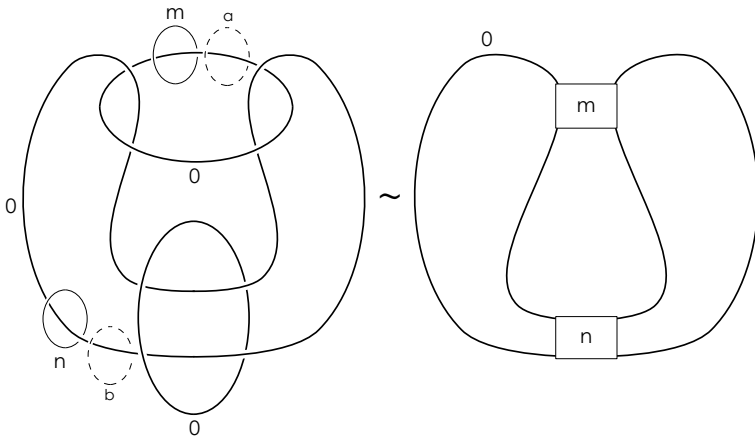
#### 4. Further analysis and final remarks

Now of course  $T_o^2 \times T_o^2$  is nothing other than the 4-torus, viewed as  $T^2 \times T^2$ , with its coordinate axis 2-tori  $\nu_{TT} \stackrel{\text{def}}{=} \nu(S_a^1 \times S_b^1 \cup S_c^1 \times S_d^1)$  deleted. Recombining the surgery manifolds  $X_{m,n}$  with  $\nu_{TT}$  then gives the result of performing the same pair of surgeries in  $T^4$ . Two consequences emerge from this. First:

**Proposition 4.1.** *The Fintushel-Stern manifold  $A$  and the surgery manifolds  $X_{m,n}$  satisfy:*

- (1)  $A = X_{m,0} = X_{0,n}$  for all  $m, n \in \mathbb{Z}$ .
- (2)  $X_{m,n} \not\cong A$  if both  $m, n \in \mathbb{Z} \neq 0$ .

*Proof.* We prove the above by recasting the pair of surgeries in  $T^4 = T_o^2 \times T_o^2 \cup \nu_{TT}$  as surgeries in  $T^4 = T^3 \times S^1$ . A similar trick was used already by Akhmedov, Baykur, and Park [[Akhmedov et al. 2008](#)]. In particular, note that regluings of



**Figure 5.** Two surgeries in  $T^3$  (left) produce  $Y_{m,n}$ . (right).

both torus surgeries  $(a' \times c', a', m)$  and  $(b' \times c'', b', n)$  are trivial on the  $c$ -factor, that is, the surgery maps are equivalent to

$$(\text{Dehn-surgery on a loop in } T^3) \times Id|_{S^1}$$

in  $T^4$  viewed as  $T^3 \times S^1 = (a \times b \times d) \times c$ . We can then fully depict the surgery manifolds (union  $v_{TT}$ ) by taking the cartesian product of  $S^1$  and the resulting 3-manifold,  $Y_{m,n}$ , obtained from  $T^3$  after the pair of Dehn-surgeries. This is depicted in Figure 5, left, where Dehn surgery is performed along push-offs of two of the meridians to the 0-framed Borromean link.

Since all of the link coefficients are integral, we can consider  $Y_{m,n}$  as the boundary of some 4-manifold, say  $U_{m,n}$ . After sliding one of  $U_{m,n}$ 's 0-framed 2-handles over and then off of the  $m$ - and  $n$ -framed components and then removing hopf pairs, we obtain the diagram on the right in Figure 5. That diagram (viewed again as a 3-manifold surgery diagram) with  $m = 0$  or  $n = 0$  is of course  $S^2 \times S^1$ . Hence, for any such  $(m, n)$  pair,

$$Y_{m,n} \times S^1 \setminus v_{TT} = S^2 \times S^1 \times S^1 \setminus v_{TT} = A;$$

see [Fintushel and Stern 2008, Lemma 1], for instance. On the other hand,  $Y_{m,n} \not\cong S^2 \times S^1$  for any choice of a nonzero pair  $(m, n)$  since in that case  $Y_{m,n}$  is not the unknot. □

Second, by gluing  $v_{TT}$  onto any of the surgery manifolds of Theorem 3.1, we can recast the union as a  $T^3$ -bundle over  $S^1$ , that is, a mapping torus of the form

$$M_\phi \stackrel{\text{def}}{=} \frac{I \times T^3}{(0, x) \sim (1, \phi(x))}$$

for some diffeomorphism  $\phi : T^3 \rightarrow T^3$ . For instance,  $\nu_{TT} \cup T_o^2 \times T_o^2 = T^4 = T^3 \times S^1 = M_I$ , for  $I$  the identity map. Furthermore,  $A \cup \nu_{TT} \approx S^2 \times T^2$ , so  $A$  does not correspond to a  $T^3$ -bundle over  $S^1$ .

Now mapping tori such as these are precisely the kind that arise in the classic homotopy 4-sphere construction of Cappell and Shaneson [1976a; 1976b]. However, such monodromies  $\phi$  obtained here from  $T_o^2 \times T_o^2$  are *not* restricted to  $SL(3; \mathbb{Z})$  and do not satisfy the additional condition  $\det(\phi - I) = \pm 1$  of [Cappell and Shaneson 1976a], so surgery along the 0-section in any of our mapping tori will not produce one of their homotopy spheres directly.

**Theorem 4.2** [Nash 2010]. *Any Cappell–Shaneson mapping torus  $M_\phi$  can be obtained by some sequence of surgeries along 2-tori in the fiber of the trivial bundle  $T^4 = T^3 \times S^1$ .*  $\square$

We contend however that [Theorem 4.2](#) is still not enough to immediately trivialize even one of the examples  $\mathcal{S}_{(m,n,m',n')}$  by relating these spheres to any of those within the Cappell–Shaneson collection that are now known to be standard, most recently due to Akbulut [2010] and then later Gompf [2010] (which depends on a result from [Akbulut and Kirby 1979]).

The correspondences and differences can be seen as follows: Performing  $(\frac{1}{q})$ -surgeries along product 2-tori embedded in the  $T^3$ -fiber of any mapping torus  $M_A$  alters its monodromy by left multiplication with the surgery matrix (as in [Gompf 2010], and one dimension lower in [Gompf and Stipsicz 1999, Example 8.2.4]). Unlike [Proposition 4.1](#) above, this time we factor the trivial fibration  $T^4 = T^3 \times S^1$  as  $(a \times b \times c) \times S_d^1$ . Recall that the surgeries on  $T_o^2 \times T_o^2$  producing the manifolds whose union is a homotopy  $S^4$ , say for instance  $X_{1,1}$ , have surgery curves  $\mu + a$  or  $\mu + b$ , respectively (in the basis  $\{a, b, \mu\}$ ,  $\mu$  the meridian of the torus). Hence, back within the mapping-torus framework a  $+1$ -surgery along each of these two tori in these directions would give monodromy-multiplying matrices

$$R_{12} \stackrel{\text{def}}{=} \begin{pmatrix} 1 & 1 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 1 \end{pmatrix}, \quad R_{21} \stackrel{\text{def}}{=} \begin{pmatrix} 1 & 0 & 0 \\ 1 & 1 & 0 \\ 0 & 0 & 1 \end{pmatrix}$$

respectively (now in the basis  $\{a, b, c\}$ ).

The  $X_{1,1}$  surgery manifolds then translate to mapping tori  $M_{R_{12}R_{21}I} = M_A$  where

$$A = \begin{pmatrix} 1 & 1 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 1 \end{pmatrix} \begin{pmatrix} 1 & 0 & 0 \\ 1 & 1 & 0 \\ 0 & 0 & 1 \end{pmatrix} = \begin{pmatrix} 2 & 1 & 0 \\ 1 & 1 & 0 \\ 0 & 0 & 1 \end{pmatrix}.$$

However, the full range of Cappell–Shaneson mapping tori  $M_\phi$  also involve surgering in the direction of the third  $T^3$  basis factor, so for instance,  $b_1 = 1$  in the

Cappell–Shaneson case vs.  $b_1(X_{m,n}) = 2$  here. Moreover, any  $X_{m,n}$  with either  $m$  or  $n \neq \pm 1$  no longer even gives a  $T^3$ -bundle over  $S^1$  when  $\nu_{TT}$  is added back in: In the case of a  $(\pm \frac{1}{1})$ -surgery, the diffeomorphism of the surgery torus “lines up” with a diffeomorphism of a fiber torus, but in a general  $(\frac{m}{1})$ -surgery ( $m \neq \pm 1$ ) this correspondence fails. Thus in general, the complement of  $\nu_{TT}$  in a true Cappell–Shaneson  $M_\phi$  is *not* an  $X_{m,n}$  surgery manifold.

One single surgery of the  $X_{m,n}$  type is enough to derail  $T_o^2 \times T_o^2$  from the Cappell–Shaneson track. Note that the surgery is still reversible. The point is that it is *not* reversible or achievable by torus surgeries obtained from product-framed  $(\frac{1}{q})$ -surgeries on product tori in the  $T^3$  fiber — the sort used in [Theorem 4.2](#).

**Conclusion.** The combined results above should indicate that once again  $T_o^2 \times T_o^2$  itself remains an important component to a diverse range of 4-manifold constructions, surgeries along tori playing a role in each case. In fact, a slight alteration of the gluing  $\varphi$  in the  $T_o^2 \times T_o^2$  unions above into a fixed-point-free involution of  $\partial(T_o^2 \times T_o^2) = T_o^2 \times S^1 \cup S^1 \times T_o^2$  allows for the construction of a fixed-point-free involution on the resulting homotopy sphere. From this, homotopy  $\mathbb{R}\mathbb{P}^4$ 's can then be constructed (given that two identical pairs of surgeries were performed) — again with  $T_o^2 \times T_o^2$  playing the role of the fundamental piece to the construction.

Finally, despite the correlations between the two realms, it does not appear that any of the homotopy spheres  $\mathcal{S}_{(m,n,m',n')}$  (parameters in  $\mathbb{Z}^{\neq 0}$ ) actually relate directly to any member of the Cappell–Shaneson collection (do they even contain fibered 2-spheres?), nor does it seem that Gompf’s trick of fishtail surgery [[Gompf 2010](#)] would help in trivializing them.

An earlier draft of this paper asked whether the spheres  $\mathcal{S}_{(m,n,m',n')}$  are standard. Since then, Selman Akbulut [[2011](#)] has answered the question affirmatively. However, it is still unknown if gluing two surgery manifolds  $X_{p,q}$  via some alternate diffeomorphism of the boundary would also produce  $S^4$ .

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