

Morse theory I

4 lectures
21 pages notes

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(1)

M^n

C^∞

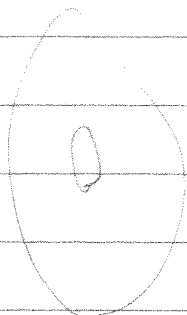
closed

$$f: M \rightarrow \mathbb{R}$$

Morse

all crit pts nbdy

classically



$$t \in \mathbb{R}$$

$$M^t = \{x \in M \mid f(x) \leq t\}$$

t_0 crit value

$$a \in C^1(f)$$

$$f(a) = t_0 \text{ only one.}$$

$$\text{index}(a) = \lambda(a) = i$$

$$M^{t_0+\varepsilon} \supset M^{t_0-\varepsilon} \cup D^i \times D^{n-i}$$

$$\alpha: \partial D^i \times D^{n-i} \rightarrow M^{t_0-\varepsilon}$$

$$M^{t_0+\varepsilon} \supset M^{t_0-\varepsilon} \cup D^i$$

$M \cong \mathbb{C}X$ opx with 1 cell of dim i for each crit pt

Cellular chain cpx C_*^f

$$\cdots \rightarrow C_q^f \rightarrow C_{q-1}^f \rightarrow \cdots$$

C_q^f = free ab gp gen by crit pts of index q .

Conseq:

$$\text{rank}(H_q(M)) \leq \# \text{ crit pts of index } q.$$

alg. top.

geom/analytic.

(2)

Given M a Riemannian metric.

$x \in M$

$$\langle \cdot, \cdot \rangle : T_x M \times T_x M \rightarrow \mathbb{R}$$

Gradient vector field

$$\nabla f(x) \in T_x(M).$$

$$\langle \nabla f(x), v \rangle = df(x)(v).$$

Existence + uniqueness of solutions to ODE's.

For every $x \in M$ $\exists!$ $\gamma_x : \mathbb{R} \rightarrow M$ st

$$1) \frac{d\gamma_x}{dt}(t) = -\nabla f(x) \quad \text{flow equation.}$$

$$2) \gamma_x(0) = x$$

γ_x "flow line"

$$\lim_{t \rightarrow -\infty} \gamma_x(t) \quad \lim_{t \rightarrow \infty} \gamma_x(t) \text{ crit pts.}$$

"

"

$s(\gamma_x)$

$e(\gamma_x)$

"start"

"end"

a crit pt.

$$\lambda(a) = i$$

Unstable manifold of a

$$W^u(a) = \{x \in M \mid s(\gamma_x) = a\}.$$

stable

$$W^s(a) = \{x \in M \mid e(\gamma_x) = a\}$$

Thm $W^u(a) \cong D^{\lambda(a)}$

$W^s(a) \cong D^{n-\lambda(a)}$

Morse

"crit. pts. manifold"

$$\begin{aligned} T_a W^u &\subseteq T_a M \\ &= \text{negative eigenspace of } \text{Hess}(f|_M) \end{aligned}$$

$f, \langle \rangle$ is Morse-Smale
if $\forall a, b \in \text{Crit}(f)$

$$W^u(a) \cap W^s(b) \text{ transversally}$$

Thm (Smale) Morse-Smale is generic in both f and $\langle, \rangle$

$f, \langle, \rangle$ Morse-Smale.

$$W^u(a) \cap W^s(b) = W(a, b)$$

$$= \{x \in M \mid s(x_x) = a, e(x_x) = b\}$$

is a manifold of $\dim \lambda(a) - \lambda(b) = \lambda(a, b)$ "relative index"

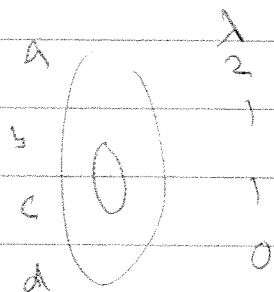
$W(a, b)$ has a free action of $\mathbb{R}$
given by

$$s \times x = \gamma_x(s)$$

$M(a, b) = W(a, b) / \mathbb{R}$ is again a manifold.

= space of gradient flow lines connecting a to b .
of $\dim \lambda(a) - \lambda(b) - 1$.

Note:

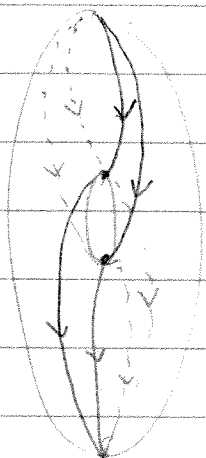


$$\lambda(b) = \lambda(c) = 1 \text{ so}$$

$M(b, c)$ should be -1 dim
i.e. $\emptyset$.

So st. Morse function is
not Morse-Smale.

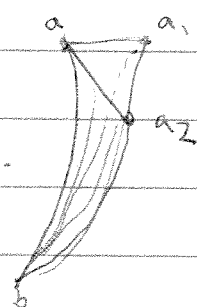
○ Tilt:



ie. 8 discrete flow lines.

Compactness of $M(a,b)$

could have broken flow lines.



open.

2-simplex

Smile:

$$W(a,b) \subset M$$

$\propto$ closure.

$$\overline{W(a,b)} = \bigcup_{a \geq \alpha \geq \beta \geq b} W(\alpha, \beta)$$

where $\alpha \geq \beta$ if $M(\alpha, \beta) \neq \emptyset$.

Compactify $M(a,b)$

$$\overline{M(a,b)} = \bigcup_{a \geq a_1 \geq \dots \geq a_k \geq b} M(a, a_1) \times M(a_1, a_2) \times \dots \times M(a_k, b)$$

How to topologize?

$$\gamma \in M(a,b)$$

$$\mathbb{R} \xrightarrow{\gamma} M \xrightarrow{f} \mathbb{R}$$

$$f \circ \gamma: \mathbb{R} \xrightarrow{\sim} (f(b), f(a))$$

Reparametrize.

(5)

$$\tilde{\gamma} = \gamma \circ (f \circ \gamma)^{-1} : (f(b), f(a)) \rightarrow M$$

$$\frac{d\tilde{\gamma}(t)}{dt} + \frac{\nabla f(\gamma(t))}{\|\nabla f(\gamma(t))\|^2} = 0$$

Extend: $\tilde{\gamma} : [f(b), f(a)] \rightarrow M$

$$f(b) \longmapsto b$$

$$f(a) \longmapsto a$$

Define: $\overline{M}(a, b) = \{ w : [f(b), f(a)] \rightarrow M \text{ cont piecewise smooth satisfy} \}$

$$\left. \begin{aligned} \frac{dw}{dt} + \frac{\nabla f(w(t))}{\|\nabla f(w(t))\|^2} &= 0 \end{aligned} \right\}$$

$$w(f(b)) = b$$

$$w(f(a)) = a$$

$M(a, b) \subseteq \overline{M}(a, b)$ as an open dense subset

$\overline{M}(a, b)$ is compact.

Also note $\overline{M}(a, b) \times \overline{M}(b, c) \subseteq \overline{M}(a, c)$

Flow category $\mathcal{C}_f$ obj crit points of f

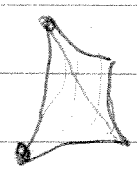
$$\text{Mor}(a, b) = \overline{M}(a, b)$$

Morse theory II

○

$f: M \rightarrow \mathbb{R}$ ^{Morse} $\langle, \rangle$ metric on TM

$$\overline{M}(a,b) = \bigcup_{a > a_1 > \dots > a_k > b} M(a, a_1) \times \dots \times M(a_k, b)$$



$$M(a,b) \subseteq \Omega_{b,a}^f M = \left\{ \alpha: [f(b), f(a)] \rightarrow M \mid \begin{array}{l} \alpha(f(b)) = b \\ \alpha(f(a)) = a \end{array} \right\}$$

$$\cong \Omega M = \{ \alpha: S^1 \rightarrow M \mid \alpha(0) = x_0 \in M \}$$

●

$$\dim M(a,b) = \lambda(a) - \lambda(b) - 1$$

$$\overline{M}(a,b) \times \overline{M}(b,c) \hookrightarrow \overline{M}(a,c) \text{ embeds as part of codim 1.}$$

$$\Omega_{b,a} M \times \Omega_{c,b} M \rightarrow \Omega_{c,a} M$$

$f, \langle -, - \rangle$ Morse-Smale.

●

$\overline{M}(a,b)$ is a C^∞ framed manifold with corners.

Flow category

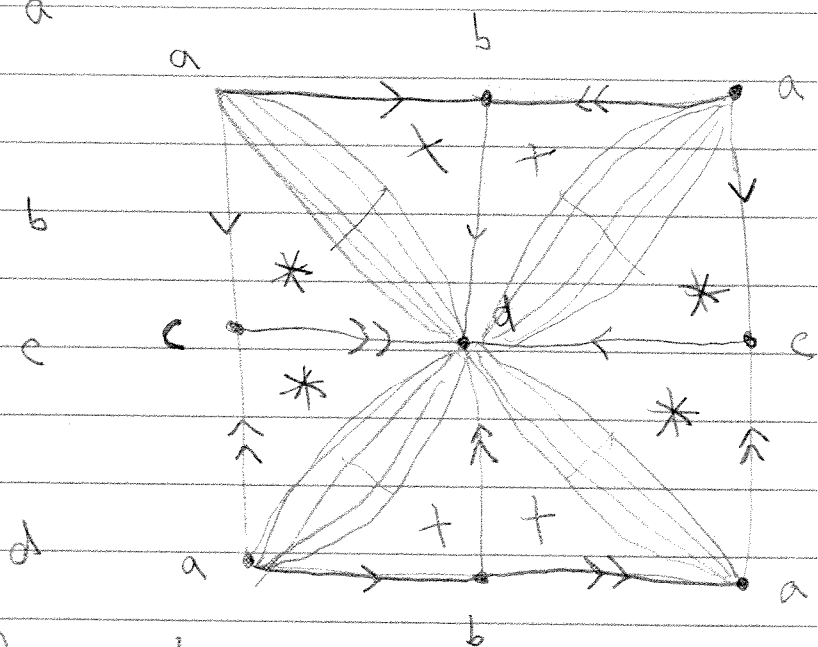
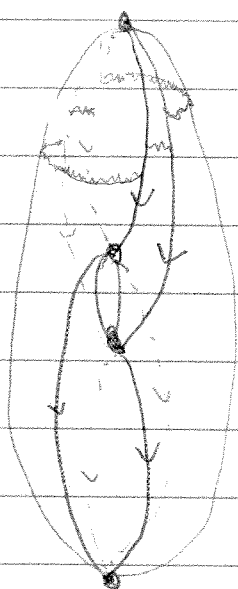
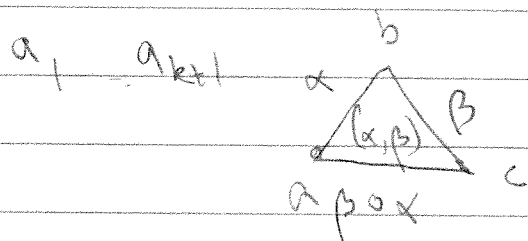
$\mathcal{C}_f$ obj = crit points topological category
 $\text{Mor}(a,b) = \overline{M}(a,b)$

Thm (C-Jones Segal) The geometric realization

$|\mathcal{C}_f| \xrightarrow{\text{homeo}} (B\mathcal{C}_f) \cong M$ if f is Morse-Smale.
 $\hookrightarrow M$ if f is Morse.

(7)

$$|\mathcal{P}| = \bigcup_k \Delta^k \times \text{Mor}(a_1, a_2) \times \text{Mor}(a_2, a_3) \times \dots \times \text{Mor}(a_k, a_{k+1})$$



$$m(a, b) = 2 \text{ pts}$$

$$m(a, c) = 2 \text{ pts}$$

$$m(b, d) = 2 \text{ pts}$$

$$m(c, d) = 2 \text{ pts}$$

$$m(a, d) = \mathbb{I}]0, 1[$$

$$\overline{m}(a, d) = \mathbb{I} [0, 1]$$

marked by x

need Δ^2 for every pair in $m(a, b) \times m(b, d)$ $4 = 2 \text{ pts}$
 $m(a, c) \times m(c, d)$ 4 pts
 (marked by * in disc)

Given any X , define path category $\mathcal{P}(X)$

$$\text{obj} = \{x \in X\}$$

$$\text{Mor}(x, y) = \{\alpha: [0, 1] \rightarrow X \mid \alpha(0) = x, \alpha(1) = y\}$$

Exercise: $|\mathcal{P}(X)| \simeq X$

$$\mathcal{P}_f \xrightarrow{i} \mathcal{P}(M)$$

Reformulation of part 2 of thm

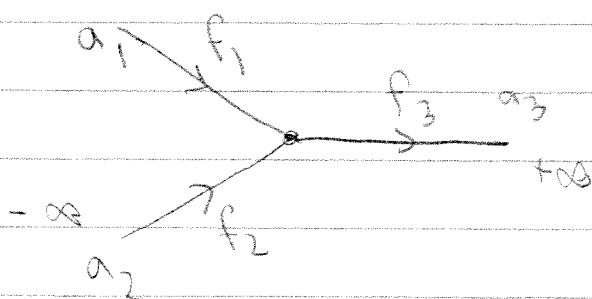
$|\cdot|: |\mathcal{P}_f| \rightarrow |\mathcal{P}(M)|$ is a homotopy eq.

Consider diag $\begin{array}{ccc} \bullet & \xrightarrow{\quad} & \bullet \\ a & f & v_0 \end{array}$ $f: M \rightarrow \mathbb{R}$ Morse, $a \in \text{Crit}(f)$.

$$m(R, M, a) = \left\{ \gamma: R \rightarrow M \mid \begin{array}{l} \frac{d\gamma}{dt} + \nabla f = 0 \\ \lim_{t \rightarrow -\infty} \gamma(t) = a \end{array} \right\}$$

$$R = (-\infty, 0]$$

Obs: $m(R, M, a) \xrightarrow{\cong} W^u(a)$ by existence + uniqueness
 $\gamma \mapsto \gamma(v_0)$
 $\dim = \lambda(a)$



$f_i: M \rightarrow \mathbb{R}$ Morse
 $a_i \in \text{Crit}(f_i)$

$$\vec{a} = (a_1, a_2, a_3)$$

○ $M(\Gamma, M, \vec{a}) = \{ \gamma: \Gamma \rightarrow M \text{ cont, smooth on open edges} \}$

$$\frac{d\gamma_i}{dt} + \nabla f_i = 0$$

$$\lim_{t \rightarrow \pm\infty} \gamma_i(t) = a_i$$

$$M(\Gamma, M, \vec{a}) \rightarrow M$$

$$\gamma \mapsto \gamma(v_0)$$

differs onto $W_{f_1}^u(a_1) \cap W_{f_2}^u(a_2) \cap W_{f_3}^s(a_3)$

$$D^{\lambda(a_1)} \cap D^{\lambda(a_2)} \cap D^{n-\lambda(a_3)}$$

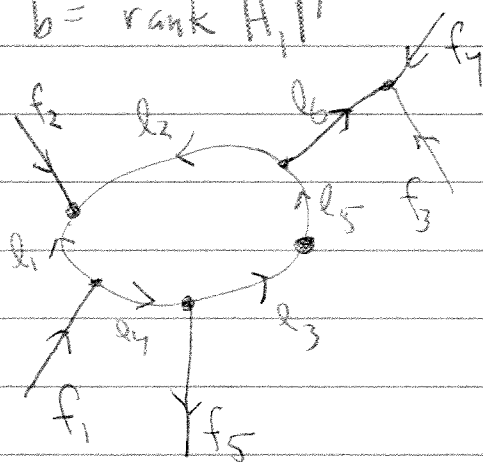
If $\checkmark$ transversally manifold of dim = $\lambda(a_1) + \lambda(a_2) - \lambda(a_3) - n$

Let $\Gamma_{b, p+q}$ ft. graph $b = \text{rank } H_1 \Gamma$

$p+q$ non-compact edges (external)

edges oriented

p incoming external
 q outgoing



M Morse labeling.

Label each edge by function $f_i: M \rightarrow \mathbb{R}$ distinct.

Label each internal edge by number $l_i \in$

$$\vec{a} = (a_1, \dots, a_{p+q}) \quad a_i \in \mathbb{C}_+ \setminus \{f_i\} \text{ external edges}$$

Define: $M^\sigma(r, M, \vec{a})$ space of graph flows.

Thm (Betz, Fukaya) For generic choice of $\sigma \in \langle \sigma \rangle$ on

$M^\sigma(r, M, \vec{a})$ is smooth of dim

$$= \sum_{i=1}^p \chi(a_i) - \sum_{j=1}^{p+q} \chi(a_j)$$

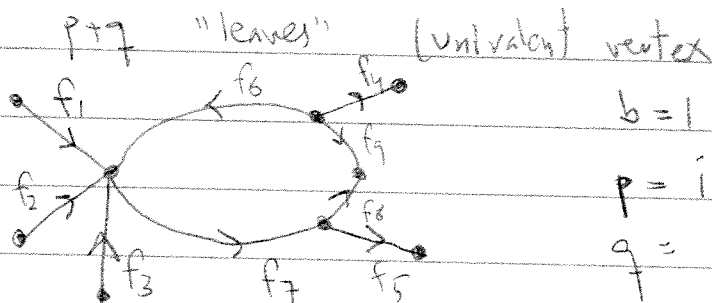
$\uparrow$ $\uparrow$
 p q
 in-coming out

$$= n_p + n(\chi(r))$$

Morse Theory III

$$\Gamma_{b, p+q}$$

$$b = \text{rank } H_1(P)$$



$$b=1$$

$$p = \text{incoming leaves} = 3$$

$$q = \text{out} = 2$$

M - Morse labeling:

- Label edges by distinct functions $f: M \rightarrow \mathbb{R}$
- internal edges by $l_i > 0$

$E_1, \dots, E_p$ incoming external

$E_{p+1}, \dots, E_{p+q}$ outgoing

Define parametrizations on internal edges.

$$[0, l_i] \xrightarrow{p_i} E_i$$

External $E_j = \bar{E}_j - \text{leaf}$.

$$(-\infty, 0] \rightarrow \bar{E}_j \text{ incoming}$$

$$[0, +\infty] \rightarrow \bar{E}_j^c \text{ out.}$$

Let $\vec{a} = (a_1, \dots, a_{p+q})$ $a_i \in \text{Crit}(f_i)$

$M^\sigma(P, M, \vec{a}) = \text{space of graph flows w.r.t } \sigma$
boundary conditions $\vec{a}$

$$= \{ \gamma: P \rightarrow M, \gamma_i: E_i \rightarrow M \mid \frac{d\gamma_i}{dt} + \nabla f_i = 0 \forall i \}$$

$$\lim_{t \rightarrow -\infty} \gamma_i(t) = a_i \quad i=1, \dots, p$$

$$\lim_{t \rightarrow +\infty} \gamma_j(t) = a_j \quad j=p+1, \dots, p+q$$

○ Thm (M. Betz) For generic choice of σ ,
 1) $m^\sigma(\Gamma, M, \vec{\alpha})$ is smooth of dim
 $\sum_{i=1}^p \chi(\alpha_i) - \sum_{j=p+1}^q \chi(\alpha_j) - p \cdot p + n(\chi(\Gamma))$

2) An orientation of M induces an orientation of $m(\Gamma, M, \vec{\alpha})$

3) Not compact, but can compactify by allowing "broken legs".

Invariants:

$$q(\Gamma) = \sum \# m(\Gamma, M, \vec{\alpha}) [\vec{\alpha}]$$

$$\dim m(\Gamma, M, \vec{\alpha}) = 0$$

$$\in \bigotimes_{i=1}^p C_{f_i}^*(M) \otimes \bigotimes_{j=p+1}^{p+q} C_{f_j}^{f_j}(M)$$

Prop: ~~$d(q(\Gamma)) = 0$~~ $d(q(\Gamma)) = 0$. i.e. $q(M)$ cycle.

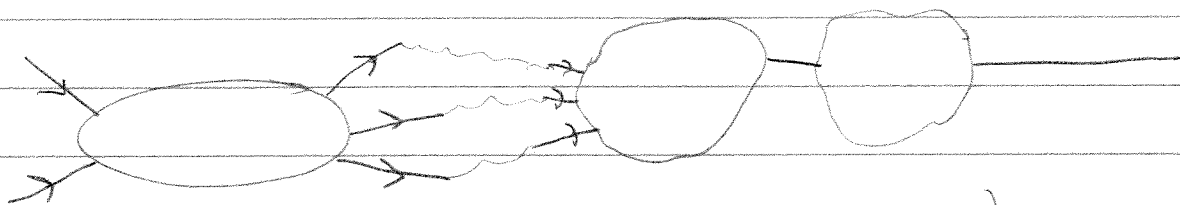
i.e. $q(\Gamma): \bigotimes_{i=1}^p C_{f_i}^{f_i} \rightarrow \bigotimes_{j=p+1}^{p+q} C_{f_j}^{f_j}$ is a chain map.

Thm (Betz, Fukaya) 1) $q(\Gamma): \bigotimes_P H_* M \rightarrow \bigotimes_q H_* M$

is independent of choice of σ & metric.

only depends on ~~by Γ~~ (oriented homotopy type) of Γ , rel to leaves

2) Glueing $\Pi_{b,p+q} \times \Pi_{b',q+r} \rightarrow \Pi_{b+b'+q+r, p+r}$



$$q(\Pi_1 \# \Pi_2) = q(\Pi_2) \circ q(\Pi_1)$$

"TQFT" $q: \text{Finite graphs} \rightarrow \text{End}_{H_* M}$

morphism of PROPS.

Example: 1) $v_0 \xrightarrow{f}$ Ray = $\mathbb{R}$

$$m(\Pi, M, a) = W^s(a) \quad \dim n - \lambda(a) \\ = 0 \quad \text{iff } a \text{ is max}$$

so $q(\Pi, M) = \sum_{a \text{ max}} [a] \in H_* M$
 $= [M]$

2) $a_1 \xrightarrow{\quad} v_0 \xleftarrow{\quad} a_2$

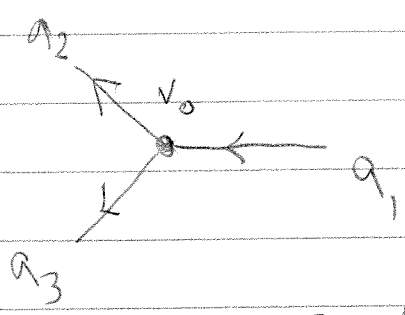
$$\dim m(\Pi, M, \vec{a}) = \lambda(a_1) + \lambda(a_2) - n$$

$$W_f^u(a_1) \cap W_f^u(a_2)$$

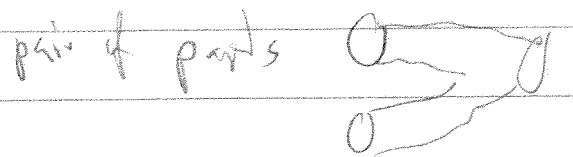
$$q(\Pi, M) \in \bigoplus_q \text{Hom}(H_q M \otimes H_{n-q} M; k)$$

q interaction product
 (Poincaré duality)

3)



(poor man's (thin man's)



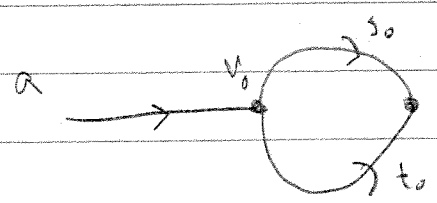
$$\dim \mathcal{M}(\Gamma, M; \vec{a}) = \lambda(a_1) - \lambda(a_2) - \lambda(a_3)$$

$$= 0 \Leftrightarrow \lambda(a_1) = \lambda(a_2) + \lambda(a_3)$$

$$\eta(\Gamma, M) \in \bigoplus_{p \geq r} \text{Hom}(H_p, H_r \otimes H_{p-r})$$

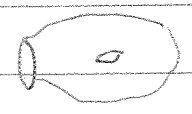
$$\Delta_* H_* M \rightarrow H_* M \otimes H_* M$$

$\eta^* = \text{cup product.}$



$$\dim \mathcal{M}(\Gamma, M, a) = \lambda(a) - n$$

(poor man's

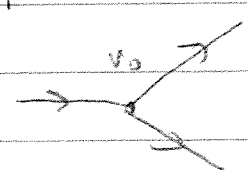


$= 0$ iff a max.

$$\eta(\Gamma, M) \in \text{Hom}(H_n M, k) = H^n(M; k) \cong k$$

$$\eta(\Gamma, M) = e(M) = \chi(M) \cdot \text{generator}$$

$\tilde{\Gamma} =$



$$\mathcal{M}(\tilde{\Gamma}, M) \cong M$$

$$\begin{array}{ccc} M \cong \mathcal{M}(\tilde{\Gamma}, M) & \xrightarrow{\Delta_{s,t}} & M \times M \\ \gamma & \longmapsto & (\gamma(s), \gamma(t)) \end{array}$$

$$\begin{aligned} m(n, M) &= |\Delta_{s_0, t_0}^{-1}(\Delta(M))| \\ &= \Delta_{s_0, t_0}(M) \cap \Delta(M) \end{aligned}$$

Aim 3

self-intersections # of diagonal = $\chi(M)$

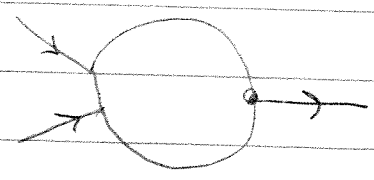
/ for more detail

see paper by Betz + Cohen in Turkish J Math
Betz + Cohen + Norbury on arXiv.

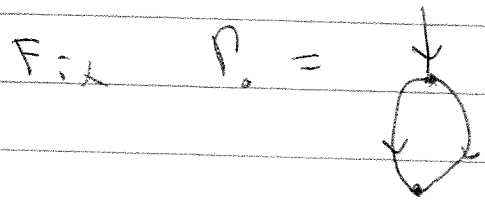
Morse Theory IV

○ (joint w. P. Norbury), "Morse Field Theory".

$$\Gamma_{b, g}$$

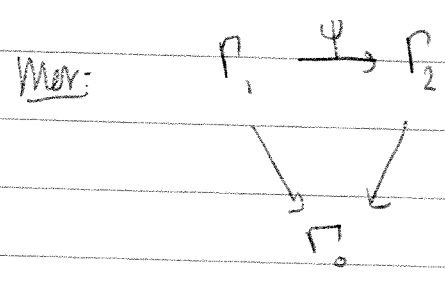
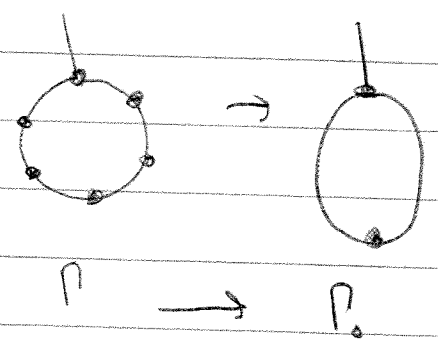


Morphisms $\Gamma_1 \xrightarrow{\varphi} \Gamma_2$ maps of graphs (cellular)
 preserve in-coming, out-leaves
 • $\varphi^{-1}(\text{edge}) = \text{edge}$
 • $\varphi^{-1}(\text{vertex}) = \text{tree (contractible)}$



$\mathcal{C}_{\Gamma_0}$ = category of graphs over Γ_0

Obj = morphisms to Γ_0



$|\mathcal{C}_{\Gamma_0}|$ contractible since $\mathcal{C}_{\Gamma_0}$ has terminal obj.

$|\mathcal{C}_{\Gamma_0}| =$ space of "metrics on subdivisions of Γ_0 "

$$|\mathcal{C}_{\Gamma_0}| = \bigcup \Delta^k \times \text{mor} \times \text{mor} \times \dots \times \text{mor}$$

○ $|\mathcal{E}_{P_0}|$ has free action of $\text{Aut}(P_0)$

So we have $\swarrow$ ^{univ} $\searrow$ covering

$$\text{Aut}(P_0) \rightarrow |\mathcal{E}_{P_0}| \rightarrow |\mathcal{E}_{P_0}| / \text{Aut}(P_0) \cong B\text{Aut}(P_0)$$

$$\mathcal{E}_{P_0} \int S_{P_0}$$



S_{P_0} = space of labelings of a graph by distinct functions

prothendieck construction

Since $|\mathcal{E}_{P_0}|$ and $|S_{P_0}|$ contractible $|\mathcal{E}_{P_0} \int S_{P_0}|$ is as well

essentially
this is contractible
since
 $F_k(C^\infty(M; \mathbb{R}))$
is contractible

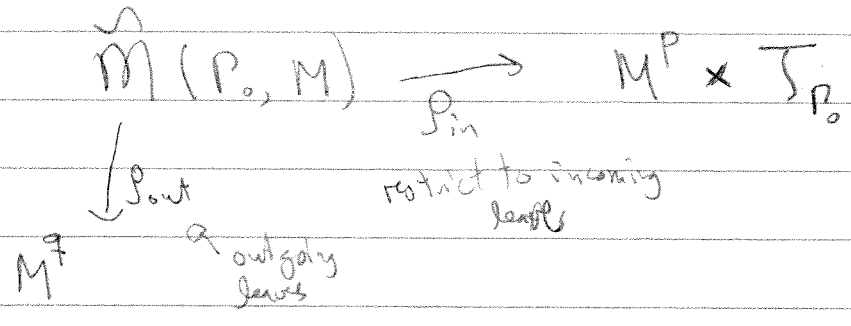
● $\mathcal{E}_{P_0} \int S_{P_0} = \left\{ \begin{array}{l} \text{metric on a subdivision of } P_0, \text{ together} \\ \text{with a } \cancel{\text{node}} \text{ labeling} \end{array} \right\}$

$$\text{Let } T_{P_0} = |\mathcal{E}_{P_0} \int S_{P_0}|$$

$$M(P_0) = T_{P_0} / \text{Aut}(P_0) \cong B\text{Aut } P_0$$

$$\tilde{M}(P_0, M) = \left\{ (\Gamma, \sigma, \varphi), (\Gamma, \sigma) \in T_{P_0}, \varphi: \Gamma \rightarrow M \right. \\ \left. \begin{array}{l} \text{graph flow} \\ \text{wrt. } \sigma \end{array} \right\}$$

○ $m(P_0, M) = \tilde{m}(P_0, M) / \text{Aut}(P_0) = \text{Space of } P_0\text{-flows}$



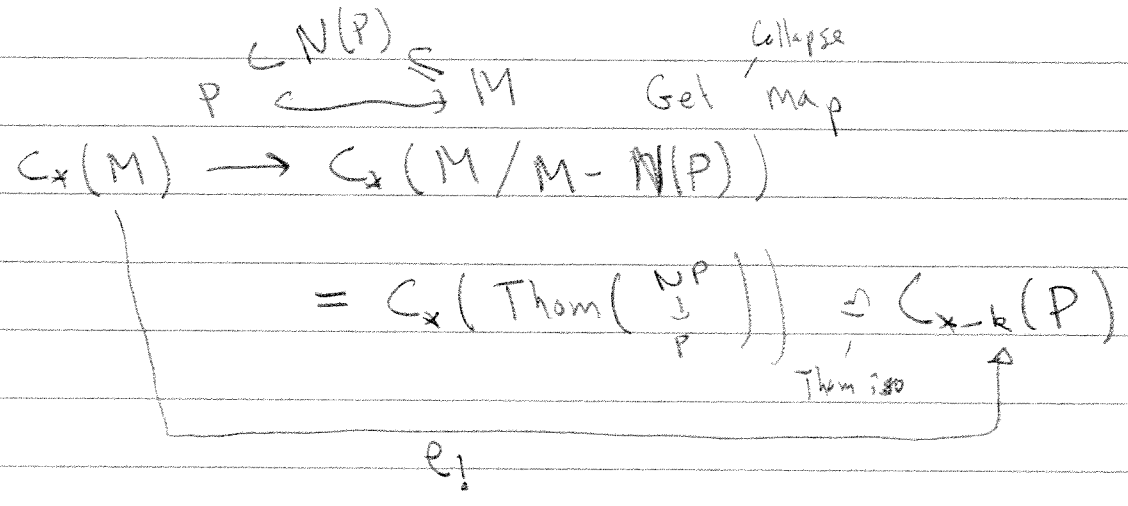
Use Pontryagin-Thom (more sophisticated way of doing intersection theory)
It is $\text{Aut}(P_0)$ -equivariant

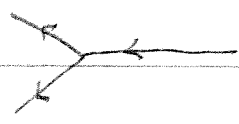
$q_P = P_{out} \cdot (P_{in})! : H_x(m(P_0) \otimes_{H_x(M^P)} H_x(M^P)) \rightarrow H_x^{\Sigma_P}(M^P)$

" $H_0(B\text{Aut}(P_0))$

Interlude:

Easier example: Given $P \xrightarrow{e} M$ $\alpha \in \zeta(M)$ $e_!(\alpha) = "\alpha \cap P"$
of Pontryagin-Thom and $! \neq \text{const.}$ find tubular neighborhood



Example:  $= P_0$ $\text{Aut}(P) = \mathbb{Z}/2$ $B\text{Aut}(P) = \mathbb{R}P^\infty$

Take $\mathbb{Z}/2$ -coeff $q_P : H_*(\mathbb{R}P^\infty) \otimes H_*M \rightarrow H^{\mathbb{Z}/2}(M \times M)$
Steenrod's equivariant diagonal.

$$\bigcirc \quad M \xrightarrow{\Delta} M \times M \quad \mathbb{Z}/2 \text{ equiv.}$$

$$\text{Apply } S^{\infty}_{\mathbb{Z}/2} \times (-)$$

Result const of Steenrod Sq:

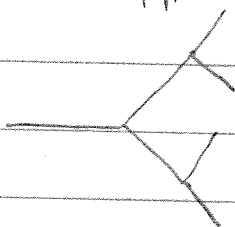
$$B\mathbb{Z}/2 \times M \xrightarrow{\Delta} E\mathbb{Z}/2 \times_{\mathbb{Z}/2} (M \times M)$$

$$\Delta^* = q_p^* : H^*_{\mathbb{Z}/2}(M \times M) \longrightarrow H^*(M) \otimes H^*(\mathbb{R}P^{\infty})$$

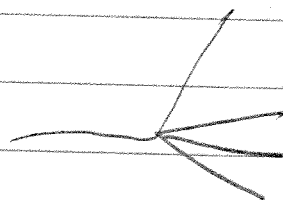
$$\alpha \in H^q(M) \quad \alpha \otimes \alpha \xrightarrow{q_p^*} \sum S^i_q \alpha \otimes a^i$$

Iterate

q_p



Same invariant as



$$\text{Aut} = \mathbb{Z}/2 \wr \mathbb{Z}/2 \\ = D_8$$

$$\text{Aut} = \Sigma_4$$

From this we get Adams relations + Cartan formula.

Ex. Consider



$$\text{Aut } \Gamma = \mathbb{Z}/2$$

$$q_p : H_* \mathbb{R}P^{\infty} \otimes H_* M \longrightarrow \mathbb{Z}/2$$

$$q_p \in H^* \mathbb{R}P^{\infty} \otimes H^*(M)$$

$q_p = \text{equivariant Euler class of } M.$

$$\mathbb{Z}/2 \text{ acts on } T_x M \quad v \mapsto -v$$

get bundle $E\mathbb{Z}/2 \times_{\mathbb{Z}/2} TM$

$$\downarrow$$

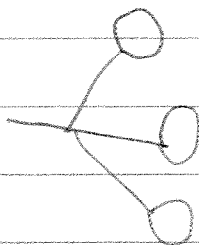
$$\mathbb{R}P^\infty \times M$$

$$e^{\mathbb{Z}/2}(M) := e(E\mathbb{Z}/2 \times_{\mathbb{Z}/2} M) \in H^n(\mathbb{R}P^\infty \times M)$$

$$= \sum a^i \otimes W_{n-i}(M)$$

Stiefel-Whitney class

Looking at



gives you Cartan formula
for Stiefel-Whitney classes

References for Lecture Series Morse theory, graphs, and strings

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