Traces in monoidal categories and bicategories

Michael A. Shulman (joint work with Kate Ponto)

University of Chicago

CCR La Jolla-August 25, 2008

- *Mathematics* is the study of patterns, usually arising from observations about the real world.
- *Applied mathematics* is the study of those patterns that are typically useful in domains outside of mathematics.
- *Category theory* is one way to study patterns arising from observations about mathematics itself.
- Applied category theory is the study of those categorical patterns that are typically useful in fields of mathematics outside of category theory.

This talk is about one particular such categorical pattern: trace.

Outline

Traces in symmetric monoidal categories

- Two examples
- Symmetric monoidal traces: the general case
- Application: the Lefschetz fixed-point theorem
- String diagrams for monoidal categories

Traces in bicategories

- Noncommutative traces
- Bicategories, shadows, and traces
- String diagrams for bicategories with shadows

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The trace of a linear map—classical version

Let *V* be a finite-dimensional vector space over a field *k*, and $f: V \rightarrow V$ a linear map.

Definition

The trace of *f* is the sum

$$\operatorname{tr}(f) = a_{11} + a_{22} + \dots + a_{nn}$$

where

$$\begin{pmatrix} a_{11} & a_{12} & \dots & a_{1n} \\ a_{21} & a_{22} & \dots & a_{2n} \\ \vdots & \vdots & \ddots & \vdots \\ a_{n1} & a_{n2} & \dots & a_{nn} \end{pmatrix}$$

is the matrix of f with respect to some basis of V.

The trace of a linear map—categorical version

Let V^* be the dual vector space of V, let $\varepsilon \colon V^* \otimes V \to k$ be the evaluation map, and let $\eta \colon k \to V \otimes V^*$ be defined by

$$\eta(1) = \sum_i v_i \otimes v_i^*$$

for some basis $\{v_i\}$ of *V*, with dual basis $\{v_i^*\}$ for V^* .

Definition

The trace of f is the composite

$$k \xrightarrow{\eta} V \otimes V^* \xrightarrow{f \otimes \mathrm{id}} V \otimes V^* \xrightarrow{\cong} V^* \otimes V \xrightarrow{\varepsilon} k$$

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Why is this the same as the classical version?

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$$1 \xrightarrow{\eta} \sum_i v_i \otimes v_i^* \xrightarrow{f \otimes \mathrm{id}} \sum_{ij} a_{ij} v_j \otimes v_i^* \xrightarrow{\cong} \sum_{ij} v_i^* \otimes a_{ij} v_j \xrightarrow{\varepsilon} \sum_{ij} a_{ij} v_i^* (v_j)$$

$$= \sum_i a_{ii}.$$

Let *M* be a closed smooth *n*-manifold and $f: M \to M$ a map with a discrete (hence finite) set of fixed points.

- If *m* is a fixed point, then there is a small (n 1)-sphere S_m around *m* which is approximately mapped to itself by *f*.
- Recall that any self-map g: Sⁿ⁻¹ → Sⁿ⁻¹ of a sphere has a degree deg(g) ∈ Z.

Definition

The fixed-point index of $f: M \to M$ is the sum

$$\sum_{(m)=m} \deg\left(f|_{\mathcal{S}_m}\right)$$

over all fixed points of f.

Let *M* be embedded in \mathbb{R}^{p} . Let $T\nu$ be the Thom space of the normal bundle of the embedding. Let $\eta: S^{p} \to M_{+} \wedge T\nu$ be the composite of the Pontryagin-Thom map for ν with the Thom diagonal. Let $\varepsilon: T\nu \wedge M_{+} \to S^{p}$ be the Pontryagin-Thom map for the diagonal followed by projection to S^{p} .

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More fundamentally, what do all these words mean?

Michael Shulman (University of Chicago)

Categorical Traces

The Thom space of the normal bundle

To define $T\nu$:

- **(**) Choose a tubular neighborhood of the embedding $M \hookrightarrow \mathbb{R}^p$.
- 2 Collapse everything outside this neighborhood to a basepoint.



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To define $T\nu$:

- **(**) Choose a tubular neighborhood of the embedding $M \hookrightarrow \mathbb{R}^{p}$.
- Collapse everything outside this neighborhood to a basepoint.



- Identify S^{p} with the one-point compactification of \mathbb{R}^{p} .
- Points outside the tubular neighborhood go to the basepoint.
- Points inside go to themselves, paired with their projection to *M*.



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- If m and v are far apart, then (m, v) goes to the basepoint.
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As *m* varies near a fixed point, tr(f)(m) covers the sphere with some degree. Everywhere else, the degree is zero.

Traces in symmetric monoidal categories

Two examples

• Symmetric monoidal traces: the general case

- Application: the Lefschetz fixed-point theorem
- String diagrams for monoidal categories

2 Traces in bicategories

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Definition

A symmetric monoidal category is a category \mathscr{C} equipped with a *product* \otimes : $\mathscr{C} \times \mathscr{C} \to \mathscr{C}$ and a *unit* $U \in \mathscr{C}$ and isomorphisms

$$A \otimes (B \otimes C) \cong (A \otimes B) \otimes C$$
$$A \otimes U \cong A \cong U \otimes A \qquad A \otimes B \cong B \otimes A$$

satisfying certain natural axioms.

Examples

- **Vec**_{*k*} with product \otimes and unit *k*.
- **2 Mod**_{*R*} (*R* a commutative ring), with product \otimes_R and unit *R*.
- The stable homotopy category with product \land and unit S.
- Many others...

Definition

In a symmetric monoidal category \mathcal{C} , an object *M* is dualizable if we have an object M^* and maps

$$\eta\colon U\to M\otimes M^* \qquad \varepsilon\colon M^*\otimes M\to U$$

satisfying certain natural axioms.

The maps η and ε play the role of the maps we saw before in **Vec**_k:

$$\begin{array}{ll} k \xrightarrow{\eta} V \otimes V^* & V^* \otimes V \xrightarrow{\varepsilon} k \\ 1 \mapsto \sum_i v_i \otimes v_i^* & v_i^* \otimes v_j \mapsto v_i^*(v_j) = \delta_{ij}. \end{array}$$

Thus, in \mathbf{Vec}_k the dualizable objects are the finite-dimensional vector spaces over k.

Trace in symmetric monoidal categories

Definition

If *M* is dualizable and $f: M \to M$, then the trace of *f* is the composite

$$U \xrightarrow{\eta} M \otimes M^* \xrightarrow{f \otimes \mathrm{id}} M \otimes M^* \xrightarrow{\cong} M^* \otimes M \xrightarrow{\varepsilon} U.$$

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Examples

- In **Vec**_k, this gives the linear trace.
- In Mod_R, the dualizable objects are the finitely-generated projective modules, and the trace is analogous to the trace for vector spaces.
- In the stable homotopy category, any smooth manifold is dualizable, and the trace is the fixed-point index.
- Many others...

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One more example: let $GrVec_k$ be the category of graded vector spaces over a field k. All the structure is obvious, except that we take

$$A \otimes B \xrightarrow{\cong} B \otimes A$$

to be defined by

$$a \otimes b \mapsto (-1)^{|b||a|} b \otimes a.$$

Then...

- The dualizable objects are those of finite total dimension, and
- The trace of a map is the alternating sum of its degreewise traces:

$$\operatorname{tr}(f) = \sum_{n} (-1)^{n} \operatorname{tr}(f_{n}).$$

Let \mathscr{C} , \mathscr{D} be symmetric monoidal and M dualizable in \mathscr{C} . If $H : \mathscr{C} \to \mathscr{D}$ preserves \otimes and U up to isomorphism, then H(M) is dualizable in \mathscr{D} , and for any $f : M \to M$ we have tr(H(f)) = H(tr(f)).

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Proof

Here is tr(f):

$$U \xrightarrow{\eta} M \otimes M^* \xrightarrow{f \otimes \mathrm{id}} M \otimes M^* \xrightarrow{\cong} M^* \otimes M \xrightarrow{\varepsilon} U.$$

(cont...)

Let \mathscr{C} , \mathscr{D} be symmetric monoidal and M dualizable in \mathscr{C} . If $H : \mathscr{C} \to \mathscr{D}$ preserves \otimes and U up to isomorphism, then H(M) is dualizable in \mathscr{D} , and for any $f : M \to M$ we have tr(H(f)) = H(tr(f)).

Proof

Apply H to get H(tr(f)):

$$H(U) \xrightarrow{H(\eta)} H(M \otimes M^*) \xrightarrow{H(f \otimes \mathrm{id})} H(M \otimes M^*) \xrightarrow{\cong} H(M^* \otimes M) \xrightarrow{H(\varepsilon)} H(U).$$

(cont...)

Let \mathscr{C} , \mathscr{D} be symmetric monoidal and M dualizable in \mathscr{C} . If $H : \mathscr{C} \to \mathscr{D}$ preserves \otimes and U up to isomorphism, then H(M) is dualizable in \mathscr{D} , and for any $f : M \to M$ we have tr(H(f)) = H(tr(f)).

Proof

Since *H* preserves the unit and product:

$$\begin{array}{cccc} H(U) \xrightarrow{H(\eta)} H(M \otimes M^*) \xrightarrow{H(f \otimes \mathrm{id})} H(M \otimes M^*) \xrightarrow{\cong} H(M^* \otimes M) \xrightarrow{H(\varepsilon)} H(U) \\ \cong & \downarrow & \cong & \downarrow & \cong & \downarrow & \cong & \downarrow \\ U \xrightarrow{\eta} H(M) \otimes H(M)^*_{H(f) \otimes \mathrm{id}} H(M) \otimes H(M)^* \xrightarrow{\cong} H(M)^* \otimes H(M) \xrightarrow{\varepsilon} U. \end{array}$$

which is tr(H(f)).

Corollary (The Lefschetz fixed-point theorem)

Let *M* be a closed smooth manifold and $f: M \to M$, and let $H: Mfd \to GrVec_k$ denote rational homology, $H(M) = H_*(M, \mathbb{Q})$. If

$$\operatorname{tr}(H(f)) = \sum_{n} (-1)^{n} \operatorname{tr}(H_{n}(f))$$

is nonzero, then f has a fixed point.

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Proof.

The functor *H* preserves the product and unit, by the Kunneth theorem:

 $H(M \times N, \mathbb{Q}) \cong H(M, \mathbb{Q}) \otimes H(N, \mathbb{Q}).$

Therefore, tr(H(f)) = H(tr(f)). But tr(f) is the fixed-point index of f, which is zero if f has no fixed points.

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String diagrams

Here is a different way to draw pictures of objects and morphisms in a monoidal category.



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Special string diagrams (plumbing)

Some objects and morphisms are special; we draw them more simply.



More special string diagrams



Example of string diagrams: the duality axioms

For example, the axioms for a dualizable object X are the following:



Or "bent strings can be straightened."

Example of string diagrams: the duality axioms

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Or "bent strings can be straightened."

What does this mean?

Example of string diagrams: the duality axioms (II)



Second example of strings: the trace

If X is dualizable, the trace of $f: X \to X$ is given by



Theorem (Joyal-Street-Verity)

Any two string diagrams which are topologically equivalent represent equal morphisms in a symmetric monoidal category.

So we can prove theorems by drawing pictures!

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Example

If X and Y are dualizable, $X \xrightarrow{f} Y$, and $Y \xrightarrow{g} X$, then



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Suppose *R* is a noncommutative ring, *M* is a finitely generated projective right *R*-module, and $f: M \to M$ is a map; how can we define the trace of *f*? We want to write:

$$R \xrightarrow{\eta} M \otimes M^* \xrightarrow{f \otimes \mathrm{id}} M \otimes M^* \xrightarrow{\cong} M^* \otimes M \xrightarrow{\varepsilon} R.$$

where $M^* = \text{Hom}_R(M, R)$, but...

• *M* is a right *R*-module while *M*^{*} is a left *R*-module, and thus

- $M^* \otimes M = M^* \otimes_{\mathbb{Z}} M$ is an *R*-*R*-bimodule, while
- *M* ⊗_{*R*} *M*^{*} is just an abelian group (= ℤ-ℤ-bimodule). And they certainly aren't isomorphic!

Definition

For any *R*-*R*-bimodule *N*, the shadow of *N* is the abelian group

$$\langle\!\langle N \rangle\!\rangle = N / \langle r \cdot n = n \cdot r \mid n \in N, r \in R \rangle.$$

This is the "circular tensor product of N with itself", by analogy with

$$P \otimes_R Q = P \otimes_{\mathbb{Z}} Q / \langle pr \otimes q = p \otimes rq \rangle.$$

Note: if $R = \mathbb{Z}$, then $\langle\!\langle N \rangle\!\rangle \cong N$.

Lemma

If P is an R-S-bimodule and Q is an S-R-bimodule, then

 $\langle\!\!\langle P \otimes_S Q \rangle\!\!\rangle \cong \langle\!\!\langle Q \otimes_R P \rangle\!\!\rangle.$

In particular, $M \otimes_R M^* \cong \langle\!\langle M \otimes_R M^* \rangle\!\rangle \cong \langle\!\langle M^* \otimes_{\mathbb{Z}} M \rangle\!\rangle$.

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In particular, $M \otimes_R M^* \cong \langle\!\langle M \otimes_R M^* \rangle\!\rangle \cong \langle\!\langle M^* \otimes_{\mathbb{Z}} M \rangle\!\rangle$.

Definition

If *M* is a finitely generated projective left *R*-module, the (Hattori-Stallings) trace of $f: M \rightarrow M$ is the composite

$$\mathbb{Z} \xrightarrow{\eta} M \otimes_R M^* \xrightarrow{f \otimes \mathrm{id}} M \otimes_R M^* \xrightarrow{\cong} \langle\!\langle M^* \otimes_{\mathbb{Z}} M \rangle\!\rangle \xrightarrow{\langle\!\langle \varepsilon \rangle\!\rangle} \langle\!\langle R \rangle\!\rangle$$

How can we express this idea categorically?

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Bicategories

Definition

A bicategory consists of

- A collection of objects: R, S, T, ...,
- A collection of categories $\mathscr{B}(R, S)$,
- Product functors $\odot: \mathscr{B}(R, S) \times \mathscr{B}(S, T) \to \mathscr{B}(R, T)$, and
- Units $U_R \in \mathscr{B}(R, R)$,
- such that $M \odot (N \odot P) \cong (M \odot N) \odot P$, $M \odot U_S \cong M$, and $U_R \odot M \cong M$, coherently.

Note: there is no symmetry! $M \odot N$ and $N \odot M$ are objects of different categories, and in general need not both exist.

Example

In Mod, the objects are (noncommutative) rings, Mod(R, S) consists of *R*-*S*-bimodules, \odot is tensor product, and $U_R = R$.

In a bicategory \mathscr{B} , we sometimes think of an object $M \in \mathscr{B}(R, S)$ as an arrow $R \xrightarrow{M} S$, and call it a 1-cell. Then the product \odot is a sort of 'composition' of 1-cells:

$$R \xrightarrow{M} S \xrightarrow{N} T = R \xrightarrow{M \odot N} S.$$

Similarly, we think of a morphism $f: M \to N$ in $\mathscr{B}(R, S)$ as a 'higher-dimensional' arrow or 2-cell:



Definition

A 1-cell $M \in \mathscr{B}(R, S)$ in a bicategory is right dualizable if there exists a 1-cell $M^* \in \mathscr{B}(S, R)$ and 2-cells $\eta \colon U_R \to M \odot M^*$ and $\varepsilon \colon M^* \odot M \to U_S$, satisfying the same axioms as before.

Example

A \mathbb{Z} -*R*-bimodule is right dualizable in $\mathcal{M}od$ if and only if it is a finitely generated projective right *R*-module.

Definition (Ponto)

A shadow on a bicategory ${\mathscr B}$ consists of functors

$$\langle\!\!\langle - \rangle\!\!\rangle : \mathscr{B}(R,R) \longrightarrow \mathbf{T},$$

for some fixed category **T**, such that $\langle\!\langle M \odot N \rangle\!\rangle \cong \langle\!\langle N \odot M \rangle\!\rangle$ coherently.

Example

We have a shadow on the bicatgory $\mathcal{M}od$ defined by

$$\langle\!\langle N \rangle\!\rangle = N / \langle r \cdot n = n \cdot r \rangle$$

as before.

Definition

If \mathscr{B} is equipped with a shadow, $M \in \mathscr{B}(R, S)$ is right dualizable, and $f: M \to M$ is a 2-cell, then the trace of *f* is the composite

$$\langle\!\langle U_R \rangle\!\rangle \xrightarrow{\langle\!\langle \eta \rangle\!\rangle} \!\!\langle M \odot M^* \rangle\!\rangle \xrightarrow{\langle\!\langle f \odot \mathrm{id} \rangle\!\rangle} \!\langle\!\langle M \odot M^* \rangle\!\rangle \xrightarrow{\cong} \!\langle\!\langle M^* \odot M \rangle\!\rangle \xrightarrow{\langle\!\langle \varepsilon \rangle\!\rangle} \!\!\langle U_S \rangle\!\rangle.$$

Example

For finitely generated projective right *R*-modules, regarded as 1-cells from \mathbb{Z} to *R* in $\mathcal{M}od$, this trace recaptures the Hattori-Stallings trace. (Remember that $\langle\!\langle N \rangle\!\rangle \cong N$ when *N* is a \mathbb{Z} - \mathbb{Z} -bimodule.)

Another example: Euler characteristics and characters

Definition

If *M* is dualizable, its Euler characteristic is $tr(id_M)$.

In the symmetric monoidal case:

- In Vec_k this computes the dimension of a finite dimensional vector space.
- In GrVec_k, it computes the alternating sum of the degreewise dimensions, ∑_i(−1)ⁱ dim(V_i).
- Thus, by preservation of traces, in the stable homotopy category it computes the usual Euler characteristic of a manifold.

Another example: Euler characteristics and characters

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If *M* is dualizable, its Euler characteristic is $tr(id_M)$.

In the bicategorical case:

Let *k* be a field, *G* a group, and *V* a finite-dimensional left *kG*-module (i.e. a representation of *G* over *k*). Regarding *V* as a 1-cell in Mod(kG, k), it is right dualizable, with dual

 $V^* = \operatorname{Hom}_k(V, k) \in \mathcal{M}od(k, kG)$

(The usual dual vector space, with the induced *right kG*-module structure.) Then:

- The shadow (*kG*) is a vector space with a basis given by the conjugacy classes of *G*, and
- The Euler characteristic tr(id_V): (kG)→ k is the character of the representation V.
More examples: generalized fixed-point theory

To prove a converse to the Lefschetz fixed-point theorem, one needs to incorporate information about the fundamental group of M.

Using traces in a 'stable homotopy bicategory of bimodules', one can define an invariant called the Reidemeister trace, identify it with an algebraic version, and then prove:

Theorem

Let $f: M \to M$ be continuous, where M is a closed smooth manifold of dimension ≥ 3 . Then the Reidemeister trace of f is zero if and only if f is homotopic to a map with no fixed points.

There are also fiberwise and equivariant generalizations. In all cases the notion of bicategorical trace provides a formal framework and a line of inquiry which is often fruitful.

Reference: Kate Ponto, "Fixed point theory and trace for bicategories"

Traces in symmetric monoidal categories

- Two examples
- Symmetric monoidal traces: the general case
- Application: the Lefschetz fixed-point theorem
- String diagrams for monoidal categories

Traces in bicategories

- Noncommutative traces
- Bicategories, shadows, and traces
- String diagrams for bicategories with shadows

The string diagrams for monoidal categories are obtained from the 'ordinary' ones by 'Poincaré duality':



We do the same for bicategories, one dimension up.

String diagrams for bicategories, II





Shadow 《*M*》





The string diagram for bicategorical trace



$$\begin{array}{c} \langle U_R \rangle \\ \downarrow \langle \langle \eta \rangle \\ \langle M \otimes M^* \rangle \\ \downarrow \langle \langle f \otimes \mathrm{id} \rangle \\ \downarrow \langle f \otimes \mathrm{id} \rangle \\ \downarrow \\ \langle M \otimes M^* \rangle \\ \downarrow \cong \\ \langle M^* \otimes M \rangle \\ \downarrow \langle \langle \varepsilon \rangle \\ \langle U_S \rangle \end{array}$$

Michael Shulman (University of Chicago)

The string diagram for bicategorical trace



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- Trace in symmetric monoidal categories unifies many different notions, including the linear trace and the fixed-point index.
 Formal comparison results can then produce contentful theorems (e.g. the Lefschetz fixed-point theorem).
- Trace in bicategories generalizes this to include examples such as noncommutative linear traces and basepoint-free, fiberwise, and equivariant fixed-point theory.
- In both cases, string diagrams can be used to obtain intuition and simplify proofs.