

# MODULI SPACES OF HK MANIFOLDS

Def  $X$  compact Kähler complex manifold  $\leftarrow \dim_{\mathbb{C}} X = 2m$

Say  $X$  HK if

- $X$  simply connected
- $H^0(X, \Omega_X^2) = \mathbb{C} \cdot \eta$   $\leftarrow$  non-degenerate sympl. form

Fact:  $\exists$  integral, primitive quadratic form  $q_X$  on  $H^2(X, \mathbb{Z})$  s.t.

- $q_X$  non-degenerate of sgn  $(3, b_2(X) - 3)$
- Hodge decomp. orthogonal w.r.t  $q_X$
- $q_X$  deformation invariant

Beauville-Bogomolov-Fujiki form

$$q_X(d)^m = c_X \cdot \int_X d^{2m}, \quad \forall d \in H^2(X, \mathbb{Z})$$

Fujiki const.

## 1. The moduli space of marked HKs

Fix  $(\Delta, q)$  non-deg. lattice,  $\text{rk}(\Delta) = b \geq 3$ ,  $\text{sgn}(\Delta) = (3, b-3)$

Def  $(X, \varphi)$  marked HK if

- $X$  HK
- $\varphi: (H^2(X, \mathbb{Z}), q_X) \xrightarrow{\sim} (\Delta, q)$

Can speak about families of marked HKs, isomorphisms, over analytic base space in the natural way

$\rightsquigarrow$  get a functor for families of marked HKs

Thm [Beauville, Huybrechts, Markman] K<sub>3</sub> HK univ. family

There exists a coarse moduli space  $M_\Lambda$  param. marked HKs, which is smooth, non-Hausdorff complex space,  $\dim(M_\Lambda) = b-2$ , together w/ universal family

unique up to isom's

$$\pi: \mathcal{X}_\Lambda \rightarrow M_\Lambda$$

$$\Phi: \mathbb{R}^c \times \mathbb{Z} \xrightarrow{\sim} \Lambda$$

Rmk  $X$  HK

$$\text{Auto}(X) := \ker(\text{Aut}(X) \rightarrow \mathcal{O}(H^2(X, \mathbb{Z})))$$

Idea: • specializ. argument  
• birat'l morph. preserving Kähler class is autom.

Facts: • [Kaledin-Vorbitsky]  
[Huybrechts-Tschinkel]

$\text{Auto}(X)$  deformation invariant

$\pi: \mathcal{X} \rightarrow B$   
 $\exists \text{Auto}(\pi)$  local system / B w/ fiber  $\text{Auto}(X_b)$  over  $b \in B$

• [Huybrechts]

$\text{Auto}(X)$  finite group

Idea: •  $f \in \text{Auto}(X)$  preserves HK metric  
 $\rightsquigarrow$  isom.  $\rightsquigarrow$  compact gp  
•  $H^0(X, \mathbb{R}) = 0 \rightsquigarrow$  discrete gp

$M_\Lambda^\circ \subseteq M_\Lambda$  conn. comp. w/  $\text{Auto}$  trivial  
 $\rightsquigarrow M_\Lambda^\circ$  fine moduli space.

Ex 1 (1)  $X$  K3 surface  $\leadsto \text{Aut}(X) = \{\text{id}\}$   
 [Burns-Rapoport]

Idea Pf:  $h \in \text{Aut}(X)$ ,  $h \neq \text{id}$

$\leadsto h^m = \text{id}$  &  $h$  symplectic  $\leftarrow h^* \eta = \eta$

$\leadsto$  local coord's  $\bullet \text{Fix}(h) =$  finitely many pts.

$\bullet \forall p \in \text{Fix}(h)$ ,  $d_p h = \begin{pmatrix} \lambda_n & 0 \\ 0 & \lambda_n^{-1} \end{pmatrix}$ ,  $\lambda_n^m = 1$ ,  $\lambda_n \neq 1$ .

Holo Lefschetz:

$$Z = \sum_{i=0}^2 (-1)^i \text{tr}(h^* |_{H^i(\mathbb{Q}_X)}) = \sum_{p \in \text{Fix}(h)} \det(\text{id} - d_p h)^{-1} = \sum_{p \in \text{Fix}(h)} \frac{1}{(1-\lambda_p)(1-\lambda_p^{-1})} \leq \frac{|\text{Fix}(h)|}{4}$$

$\leadsto |\text{Fix}(h)| \leq 8$

Topol. Lefschetz:

$$Z_A = \sum_{i=0}^4 (-1)^i \text{tr}(h^* |_{H^i(X, \mathbb{Z})}) = |\text{Fix}(h)| \leq 8 \quad \stackrel{\cong}{=} \quad \sum_{i=0}^4 (-1)^i \text{tr}(h^* |_{H^i(\mathbb{Q}_X)})$$

(2) [Beauville]

$X$  K3<sup>[m]</sup>-type  $\leadsto \text{Aut}(X) = \{\text{id}\}$

eg,  $S$  general w/  $g(S) = 0$

Idea Pf: Deform  $X$  to  $S^{[m]}$ ,  $S$  K3 surface (w/  $\text{Aut}(S) = \{\text{id}\}$ )

$\leadsto$  all  $h \in \text{Aut}(S^{[m]})$  respect exc. div.  $\leadsto$  come from  $\text{Aut}(S)$ .

(3) [Beauville]

$X$  Kum<sub>m</sub>-type  $\leadsto \text{Aut}(X) \cong \left( \frac{\mathbb{Z}}{(m+1)\mathbb{Z}} \right)^4 \rtimes \frac{\mathbb{Z}}{2\mathbb{Z}}$

[Boissière-Meyer-Wijkrieken-Sarti]

Idea Pf: Deform  $X$  to  $\text{Kum}_m(A)$ ,  $A$  abelian surface

Then we have an inclusion

$$A[m+1] \rtimes \text{Aut}(A) \longrightarrow \text{Aut}(\text{Kum}_m(A))$$

$\nearrow$   
 transl. by  $(m+1)$ -torsion pts  
 (all act trivially on  $H^2(\text{Kum}_m(A), \mathbb{Z})$ )

$\nwarrow$   
 the trivial action on  $H^2(\text{Kum}_m(A), \mathbb{Z})$   
 comes from  $-\text{id}_A$

Rmk •  $X$  Kum<sub>n</sub>-type  $\rightsquigarrow \text{Aut}(X) \hookrightarrow \text{GL}(H^*(X, \mathbb{Z})_{\text{torsion-free}})$   
 [Oguiso]  
 •  $X = \text{Kum}_2(A) \rightsquigarrow -\text{id}_A$  acts non-trivially on both  $H^3(X, \mathbb{Z})$  &  $H^4(X, \mathbb{Z})$   
 [Koppe-Mant] (both torsion-free in this case)

in general?

(-4)  
 [Mongardi-Vandell]

•  $X$  OG10-type  $\rightsquigarrow \text{Aut}(X) = \{\text{id}\}$

reduce to  $K_3$

•  $X$  OG6-type  $\rightsquigarrow \text{Aut}(X) \cong (\mathbb{Z}/2\mathbb{Z})^8$

reduce to  $A$  ab. surface  
 •  $-\text{id}_A$  acts trivially  
 •  $(A \times A)[\mathbb{Z}]$  acts non-triv. but trivially on  $H^2$

Idea Pf Thm

St.1: Local case

$X$  HK  $\implies \exists E \rightarrow \text{Def}(X)$  universal deformation  
 [Kuranishi]  
 $H^1(X, T_X) = 0$

$\implies (\text{Def}(X), 0)$  smooth w/  $T_0 \text{Def}(X) = H^1(X, T_X)$   
 [Bogomolov, Tian, Todorov]  
 [Pam, Kawamata]  
 $\omega_X \cong \mathcal{O}_X$

St.2: Local period map

$\Lambda$  lattice,  $\text{rank}(\Lambda) = (3, b-3)$   
 $\mathcal{Q}_\Lambda := \{x \in \mathbb{P}(\Lambda_{\mathbb{C}}) : q(x) = 0, q(x, \bar{x}) > 0\}$

$\xrightarrow{\text{diff.}} \mathcal{O}(\Lambda_{\mathbb{R}}) / (SO(2) \times \mathcal{O}(1, b-3)) \cong \mathcal{G}_2^0(\Lambda_{\mathbb{R}})$   
 ( $\rightsquigarrow$  simply connected & smooth)

$P_X : \text{Def}(X) \rightarrow \mathcal{Q}_{H^2(X, \mathbb{Z})}$   
 $t \mapsto [\eta_t]$

Then  $X$  HK  $\implies P_X$  local isom. at 0

$\implies$  injective

Idea:  $dP_{X,0} : H^1(X, T) \rightarrow \text{Hom}(H^{2,0}(X), H^2(X, \mathbb{C})/H^{2,0}(X))$   
 $v \mapsto (\eta \mapsto \eta \lrcorner v \in H^{1,1}(X))$

St. 3: Gluing via marking

$(X, \varphi)$  marked HK

$$\leadsto \varphi \circ P_X : \text{Def}(X) \rightarrow Q_{H^2(X, \mathbb{Z})} \xrightarrow{\sim} Q_\Lambda$$

$\leadsto$  can glue  $\text{Def}(X)$  to  $M_\Lambda$  smooth (non-Hausdorff) and

St. 2

global period map

$$P : M_\Lambda \rightarrow Q_\Lambda \\ (X, \varphi) \mapsto \varphi(H^{2,0}(X))$$

$\leadsto$   $M_\Lambda$  coarse moduli space,  $\dim M_\Lambda = b - 2$

St. 1

St. 4: Universal family, if  $\text{Auto} = \text{trivial}$

$M_\Lambda^\circ \subseteq M_\Lambda$  conn. cpt. w/  $\text{Auto}$  trivial

$\leadsto$  can glue the family  $\mathcal{X}$  as well (uniquely!)

$\leadsto$  univ. family  $\pi : \mathcal{X}_\Lambda^\circ \rightarrow M_\Lambda^\circ$

$\leadsto$   $M_\Lambda^\circ$  fine moduli space.

see also [Looijenga]

St. 5: Universal family, if  $\text{Auto}$  not trivial

Recall: Global Torelli Thm [Verbitsky, Huybrechts, Markman]

$M_{\Lambda}^{\circ} \in M_{\Lambda}$  conn. cpt.

Then

$P|_{M_{\Lambda}^{\circ}} : M_{\Lambda}^{\circ} \rightarrow \mathcal{Q}_{\Lambda}$  generically injective & surjective

More precis.:

$P(X, \varphi) = P(X', \varphi') \iff (X, \varphi)$  and  $(X', \varphi')$  inseparable pts  
( $\implies X$  and  $X'$  bimeromorphic)

(5.1) Fix  $G$  finite gp.  $\rightsquigarrow M_{\Lambda, G}$  moduli space param.

- $(X, \varphi, \psi)$  where
- $(X, \varphi)$  marked HK
- $\psi: \text{Auto}(X) \xrightarrow{\cong} G$

Rmk  $\text{Aut}(X, \varphi, \psi) \cong Z(G) \leftarrow$  the center of  $G$

Then: •  $f_{\text{org}} : M_{\Lambda, G} \rightarrow M_{\Lambda}$  restrict to isom on each connected cpt.

these are standard, except need to be careful since  $M_{\Lambda}^{\circ}$  not Hausdorff (!)

•  $\exists$  univ. family over  $M_{\Lambda, G}^{\circ}$  iff the "associated class"

$[M_{\Lambda, G}] \in \check{H}^2(M_{\Lambda, G}^{\circ}, Z(G))$

Key pts:

- $\mathcal{Q}_{\Lambda}$  simply conn.  $\implies$  every local system on  $M_{\Lambda}^{\circ}$  is trivial vanishes
- $M_{\Lambda, G}$  associated gerbe is actually classified by  $H^2$  w/ band  $Z(G)$



Rmk Fix polarization type  $\underline{h} = O(\Lambda) \cdot h \in \Lambda$ ,  $h \in \Lambda$  primitive,  $q(h) > 0$ .

We can look at moduli space of polarized marked pairs of type  $\underline{h}$

$$\rightsquigarrow \mathcal{M}_{\Lambda, \underline{h}}$$

$$\begin{array}{c} \rightsquigarrow \\ \text{(Olivier's talk)} \end{array} \quad \mathcal{F}_{\Lambda, \underline{h}} \cong \mathcal{M}_{\Lambda, \underline{h}} / O(\Lambda)$$

(to get the corresponding period domain and period map, we'll introduce the monodromy group next)

▲

• •



## 2. The monodromy group

Def  $X \text{ HK}$

- $\text{Mon}(X) \subseteq \text{Gl}(H^*(X, \mathbb{Z}))$  monodromy group  
subgp. gen. by images of monodromy represent.
- $\text{Mon}^2(X) \subseteq \text{Gl}(H^2(X, \mathbb{Z}))$   
degree-2 part.

Facts [Verbitsky] ← see also Erratum on arXiv preserve cpt. of positive cone cont. Kähler cone

- $\text{Mon}^2(X) \subseteq \text{O}^+(H^2(X, \mathbb{Z}))$  finite index subgp.
- $\exists$  exact seq. of gps

$$\text{Auto}(X) \rightarrow \text{Mon}(X) \rightarrow \text{Mon}^2(X) \rightarrow 1$$

### Global Torelli Thm, cohomological version

- $\varphi \in \text{Mon}^2(X)$  st.
- $\varphi$  Hodge isom.
  - $\varphi(\text{Kähler class})$  is Kähler class

Then  $\exists f \in \text{Aut}(X)$  st.  $\varphi = f^*$

### Verbitsky's definition:

$$X \text{ HK} \leftrightarrow (M, I)$$

underlying manifold  
complex str.

- $\Gamma_M := \text{Diff}(M) / \text{Diff}_0(M)$  mapping class group
- $\text{Teich}_M := \text{Complex}(M) / \text{Diff}_0(M)$  Teichmüller space
- $\text{Teich}_M^0 \subseteq \text{Teich}_M$  comm. cpt. containing  $I$
- $\Gamma_M^0 \subseteq \Gamma_M$  grp. preserving  $\text{Teich}_M^0$

$$\text{Mon}(X) = \text{im}(\Gamma_M^0 \rightarrow \text{Gl}(H^*(M, \mathbb{Z})))$$

uses stronger form of global Torelli:

$$\text{Teich}_M^0 \cong \mathcal{M}_\Lambda^0$$

Rmk. the fact that  $\text{im}(\Gamma_M^0 \rightarrow \text{O}(H^2(M, \mathbb{Z})))$  has finite index is an impr. of ph; it was incorrect in the original version, but fixed in the Erratum.

- if  $\downarrow \in \Gamma_M^0$  acts trivially on  $H^2(M, \mathbb{Z})$ , then by Torelli, it must fix  $I \rightarrow$  it comes from hole autom. of  $(M, I)$

$$\{x \in \mathbb{P}(\mathbb{R}_0^{\perp}) : q(x) = 0, q(x, \bar{x}) > 0\}$$

$$\text{F}_{\Lambda, h}^0 \xrightarrow{P} \text{Mon}^0(\Lambda, h) \xrightarrow{\mathbb{Q}_{\Lambda, h}} \text{open immersion (Olivier's talk)}$$

polarized monodromy gp.  
(stabilizer of  $F_1(H)$ )  
(it depends a priori on the choice of comm. cpt.  $\text{F}_{\Lambda, h}^0$ )

Rmk • Can also define moduli spaces of  $h$ -polarized HK w/ (full)  $l$ -level structure  $\mathbb{P}_{\Lambda, h, l}^0 \rightarrow \mathbb{P}_{\Lambda, h}^0$  finite étale

(by taking kernel of  $\Gamma_{M, h}^0 \rightarrow \text{gl}(H_{\text{prim}}^*(M, \mathbb{Z}/l\mathbb{Z}))$ )  
 (or in  $\text{O}(H_{\text{prim}}^*(M, \mathbb{Z}/l\mathbb{Z}))$ )

equivalently, by further fixing  $H^*(X, \mathbb{Z}/l\mathbb{Z}) \cong H^*(M, \mathbb{Z}/l\mathbb{Z})$

Again, the appropriate period map is open embedding

Can also define moduli spaces of lattice-polarized ( $h$ -polarized) HK

[Deligne] [Camere]

$\Sigma \xrightarrow{\text{prim. emb.}} \Lambda, \text{sqn}(\Sigma) = (1, \pi)$   
 $(X, \phi), \phi: \Sigma \hookrightarrow \text{NS}(X)$

see Olivier's notes

Exa (1)  $X$  K3 surface  $\rightsquigarrow \text{Mon}^2(X) = \text{O}^+(H^2(X, \mathbb{Z}))$  refl. at  $u$

(2)  $X$  K3<sup>[m]</sup>-type  $\rightsquigarrow \text{Mon}^2(X) = \langle \beta_u : u \in \Lambda, u^2 = \pm 2 \rangle$   
 $\Lambda = H^2(X, \mathbb{Z}) = U^3 \oplus E_8(-1) \oplus \langle z - 2m \rangle$   
 $D(\Lambda) = \Lambda^\vee / \Lambda \cong \mathbb{Z} / (2m-2)\mathbb{Z}$   
 $= \{ \varphi \in \text{O}^+(\Lambda) : \varphi \text{ acts as } \pm 1 \text{ on } D(\Lambda) \}$   
Idea: Reduce to  $X = M_\mu(\sigma)$  on  $S$  K3 surf. and use derived categories

[Mumford-Mahootra] [Mongardi] [Markman]

(3)  $X$  Kum<sub>m</sub>-type  $\rightsquigarrow \text{Mon}^2(X) = \left\{ \varphi \in \text{O}^+(\Lambda) : \begin{array}{l} \cdot \varphi \text{ acts as } (\pm 1) \text{ on } D(\Lambda) \\ \cdot \det(\varphi) \cdot \chi(\varphi) = 1 \end{array} \right\}$   
 $\Lambda = U^3 \oplus \langle -z - 2m \rangle$   
 $D(\Lambda) \cong \mathbb{Z} / (2m+2)\mathbb{Z}$

and  $\text{Mon}(X) \cong \tilde{G}(S_X^+)^{\text{or}}$

Idea:  $X = \text{Kum}_m(A)$ ,  $A$  abelian surface  
 $S_X^+ = H^{2n}(A, \mathbb{Z}) (\cong U^4)$   
 $r = \text{ch}(S_r) = (1, 0, -m-1)$   
 $1 \rightarrow A[m+1] \rightarrow \tilde{G}(S_X^+)^{\text{or}} \rightarrow G(S_X^+)^{\text{or}} \rightarrow 1$   
 $1 \rightarrow \text{Spin}(S_r^+) \rightarrow G(S_X^+)^{\text{or}} \rightarrow \mathbb{Z}/2\mathbb{Z} \rightarrow 1$   
 $\downarrow \text{z-1}$   
 $\text{SO}^+(A)$   
 think in terms of derived categories

(4)  $X$  OG10-type  $\rightsquigarrow \text{Mon}^2(X) = \mathcal{O}^+(\Lambda)$   
 [Onorati]  
 $\Lambda = \mathcal{O}^3 \oplus \mathcal{E}_8(-1) \oplus \mathcal{A}_2(-1)$

(5)  $X$  OG6-type  $\rightsquigarrow \text{Mon}^2(X) = \mathcal{O}^+(\Lambda)$   
 [Mangardi-Rapagnetta]  
 $\Lambda = \mathcal{O}^3 \oplus \langle -2 \rangle \oplus \langle -2 \rangle$        $\text{Mon}(X) = ?$

3. Group actions on cohomology

$X$  HK,  $\dim_{\mathbb{R}} X = 2m$

$\Lambda := H^2(X, \mathbb{Z})$

(I) Monodromy action  
[Markman]

algebraic gp. /  $\mathbb{Q}$

$G_X := SO(\Lambda, \mathbb{Q})$

$\rightsquigarrow$   $G_X \cong \overline{\text{Mon}^2(X)}$   
( $\text{Mon}^2(X)$  has finite index)

$\tilde{G}_X := \text{Spin}(\Lambda, \mathbb{Q})$

$\rightsquigarrow$  (finite kernel)  $\tilde{G}_X \rightarrow \overline{\text{Mon}(X)}$

$\rightsquigarrow$   $\tilde{G}_X$  acts on  $H^*(X, \mathbb{Q})$

(compatibly w/ cup product, respecting Hodge structure, and extending natural action on  $H^2(X, \mathbb{Q})$ )

Ex 1 (1)  $X$  K3<sup>[n]</sup>-type or OG10-type  $\rightsquigarrow \text{Mon}(X) = \text{Mon}^2(X)$

$\rightsquigarrow$  action of  $\tilde{G}_X$  factors thr.  $G_X$ .

(2)  $X$  Kum<sub>n</sub>-type  $\rightsquigarrow$   $\tilde{G}_X$  acts via  $\text{Spin}(S^+)_r$  and (Ex 2.3)

thus does not factor thr.  $G_X$

(this seems in contradiction w/ [Bergeron-Li, §2.4] ? )  
(Mirko's question)



(II) [Verbitsky] [Looijenga-Lunts]

### LLV action

$$\mathcal{R} := \text{End}(H^*(X, \mathbb{R}))$$

- $h \in \mathcal{R}$  acting as (i-zm) on  $H^i(X, \mathbb{R})$
- $a \in H^2(X, \mathbb{R}) \rightsquigarrow e_a \in \mathcal{R}$  acting by multipl. by  $a$   
↙ unique!

Def  $a \in H^2(X, \mathbb{R})$  Lefschetz if  $\exists f_a \in \mathcal{R}$  st.

$$[e_a, f_a] = h, \quad [h, e_a] = 2e_a, \quad [h, f_a] = 2f_a$$

Say  $(e_a, h, f_a)$  Lefschetz triple

ex  $a \in H^2(X)$  Kähler class  
 $\rightsquigarrow e_a = L_a$  Lefschetz oper.  
 $f_a = \Lambda_a$  dual Lefschetz oper.

Def  $\sigma_{\mathcal{R}, X} :=$  Lie alg. generated by all Lefschetz triples

Facts: •  $\sigma_{\mathcal{R}, X} \cong \mathfrak{so}(H^2(X, \mathbb{R}) \oplus U_{\mathbb{R}})$  ↙ defined over  $\mathbb{Q}$

•  $\sigma_{\mathcal{R}, X, 0}^{\text{ss}} \cong \mathfrak{so}(H^2(X, \mathbb{R}))$  integrates to an action of  $\text{Spin}(H^2(X, \mathbb{R}))$  on  $H^*(X, \mathbb{R})$   
 (compatible w/ cup product and extending natural action on  $H^2(X, \mathbb{R})$ )

↙ semisimple part of degree 0

- On even cohom., it factors via action of  $G_X$  on  $H^{\text{ev}}(X, \mathbb{Q})$ .

ExA [Markman]

(1)  $X$   $K3^{[n]}$ -type  $\rightsquigarrow$  2 actions

$$\rho_{\text{Mon}} : G_X \rightarrow \text{gl}(H^*(X, \mathbb{Q}))$$

$$\rho_{\text{LLV}} : G_X \rightarrow \text{gl}(H^*(X, \mathbb{Q}))$$

extending natural actions on  $H^2(X, \mathbb{Q})$

and so on a possibly index 2 subgp. (it is index 2, if  $n \geq 3$ )

They coincide on  $\text{Mon}^2(X) \cap \text{SO}(H^2(X, \mathbb{Z}))$  up to a sign

(2)  $X$   $Kum_n$ -type  $\rightsquigarrow$  the 2 actions coincide on

$$H^*(X, \mathbb{C})^{\Gamma_X} \text{ for the gp. } \text{Spin}(H^*(X, \mathbb{C}))$$

$$\Gamma_X \cong \left( \frac{\mathbb{Z}}{(n+1)\mathbb{Z}} \right)^4 \cong \text{Aut}_0(X)$$

this also seems in contradiction w/ [Bergman-Li, §2.4.1] ?

...