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Finite-type invariants of w-knotted objects, I: w-knots and the Alexander polynomial

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This is the first in a series of papers studying w-knots, and more generally, w-knotted objects (w-braids, w-tangles, etc). These are classes of knotted objects which are wider, but weaker than their “usual” counterparts.

etc. → etc, i.e. → ie, e.g. → eg throughout (journal style)

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The group of w-braids was studied (under the name “welded braids”) by Fenn, Rimanyi and Rourke and was shown to be isomorphic to the McCool group of “basis-conjugating” automorphisms of a free group F_n : the smallest subgroup of $\text{Aut}(F_n)$ that contains both braids and permutations. Brendle and Hatcher, in work that traces back to Goldsmith, have shown this group to be a group of movies of flying rings in \mathbb{R}^3 . Satoh studied several classes of w-knotted objects (under the name “weakly-virtual”) and has shown them to be closely related to certain classes of knotted surfaces in \mathbb{R}^4 . So w-knotted objects are algebraically and topologically interesting.

citations removed from abstract

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Here we study finite-type invariants of w-braids and w-knots. Following Berceanu and Papadima, we construct homomorphic universal finite-type invariants of w-braids. The universal finite-type invariant of w-knots is essentially the Alexander polynomial. Like the spaces \mathcal{A} of chord diagrams for ordinary knotted objects are related to metrized Lie algebras, the spaces \mathcal{A}^w of “arrow diagrams” for w-knotted objects are related to not-necessarily-metrized Lie algebras. Many questions concerning w-knotted objects turn out to be equivalent to questions about Lie algebras. Later in this paper series we re-interpret the work of Alekseev and Torossian on Drinfel’d associators and the Kashiwara–Vergne problem as a study of w-knotted trivalent graphs.

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1 Introduction

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1.1 Dreams

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We have a dream,¹ at least partially founded on reality, that many of the difficult algebraic equations in mathematics, especially those that are written in graded spaces,

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¹Understanding the authors’ history and psychology ought never be necessary to understand their papers, yet it may be helpful. Nothing material in the rest of this paper relies on [Section 1.1](#).

¹/₂ ¹ more especially those that are related in one way or another to quantum groups, and
² even more especially those related to the work of Etingof and Kazhdan [38], can be
³ understood, and indeed, would appear more natural, in terms of finite-type invariants
⁴ of various topological objects.

⁵ We believe this is the case for Drinfel’d’s theory of associators [34], which can be
⁶ interpreted as a theory of well-behaved universal finite-type invariants of parenthesized
⁷ tangles² (see Le and Murakami [63], Bar-Natan [10]), and as a theory of universal
⁸ finite-type invariants of knotted trivalent graphs (see Dancso [32]).

citations expanded throughout
introduction

¹⁰ We believe this is the case for Drinfel’d’s “Grothendieck–Teichmüller group” [35],
¹¹ which is better understood as a group of automorphisms of a certain algebraic struc-
¹² ture, also related to universal finite-type invariants of parenthesized tangles (see Bar-
¹³ Natan [11]).

¹⁴ And we’re optimistic, indeed we believe, that sooner or later the work of Etingof and
¹⁵ Kazhdan [38] on quantization of Lie bialgebras will be re-interpreted as a construction
¹⁶ of a well-behaved universal finite-type invariant of virtual knots (see Kauffman [54])
¹⁷ or of some other class of virtually knotted objects. Some steps in that direction were
¹⁸ taken by Haviv [49].

²⁰ We have another dream, to construct a useful “algebraic knot theory”. As at least a
²¹ partial writeup exists (see Bar-Natan [12]), we’ll only state that an important ingredient
²² necessary to fulfil that dream would be a “closed form”³ formula for an associator, at
²³ least in some reduced sense. Formulae for associators or reduced associators were in
²⁴ themselves the goal of several studies undertaken for various other reasons (see Le and
²⁵ Murakami [62], Lieberum [70], Kurlin [60] and Lee [65]).

²⁷ 1.2 Stories

²⁸ Thus, the first named author, DBN, was absolutely delighted when in January 2008
²⁹ Anton Alekseev described to him his joint work [2] with Charles Torossian: Anton told
³⁰ DBN that they found a relationship between the Kashiwara–Vergne conjecture [52], a
³¹ cousin of the Duflo isomorphism (which DBN already knew to be knot-theoretic [21]),
³² and associators taking values in a space called \mathfrak{sdet} , which he could identify as “tree-
³³ level Jacobi diagrams”, also a knot-theoretic space related to the Milnor invariants (see
³⁴ Bar-Natan [7], Habegger and Masbaum [45]). What’s more, Anton told DBN that in
³⁵ certain quotient spaces the Kashiwara–Vergne conjecture can be solved explicitly; this
³⁶ should lead to some explicit associators!

³⁸ ²“ q -tangles” in Le and Murakami [63], “non-associative tangles” in Bar-Natan [10].

³⁹ ³The phrase “closed form” in itself requires an explanation. See Section 4.2.

1 So DBN spent the following several months trying to understand [2], which eventually
 2 led to this sequence of papers. One main thing we learned is that the Alekseev–Torossian
 3 paper, and with it the Kashiwara–Vergne (KV) conjecture, fit very nicely with our first
 4 dream described above, about interpreting algebra in terms of knot theory. Indeed recalled → described
 5 much of [2] can be reformulated as a construction and a discussion of a well-behaved
 6 universal finite-type invariant⁴ Z of a certain class of knotted objects (which we will
 7 call w -knotted), a certain natural quotient of the space of virtual knots more precisely,
 8 virtual trivalent tangles); this will be the subject of the second paper in the series. It
 9 is also possible to provide a topological interpretation (and independent topological
 10 proof) of the formula of Alekseev, Enriquez and Torossian [1] for explicit solutions
 11 to the KV problem in terms of associators. This will be done in the third paper. And
 12 our hopes remain high that later we (or somebody else) will be able to exploit this
 13 relationship in directions compatible with our second dream described above, on the recalled → described
 14 construction of an “algebraic knot theory”.

15
 16 The story, in fact, is prettier than we were hoping for, as it has the following additional for → as
 17 qualities:

- 18 • w -knotted objects are quite interesting in themselves: as stated in the abstract,
 19 they are related to combinatorial group theory via “basis-conjugating” automor-
 20 phisms of a free group F_n , to groups of movies of flying rings in \mathbb{R}^3 , and more
 21 generally, to certain classes of knotted surfaces in \mathbb{R}^4 . The references include
 22 Goldsmith [40], McCool [73], Fenn, Rimányi and Rourke [39], Satoh [80], and
 23 Brendle and Hatcher [28].
- 24
 25 • The “chord diagrams” for w -knotted objects (really, these are “arrow diagrams”)
 26 describe formulae for invariant tensors in spaces pertaining to not-necessarily-
 27 metrized Lie algebras in much the same way as ordinary chord diagrams for Deleted “of”
 28 ordinary knotted objects describe formulae for invariant tensors in spaces per-
 29 taining to metrized Lie algebras. This observation is bound to have further
 30 implications.
- 31 • Arrow diagrams also describe the Feynman diagrams of topological BF theory
 32 (see Cattaneo, Cotta-Ramusino, Fröhlich and Martellini [31; 30]) and of a certain
 33 class of Chern–Simons theories (see Naot [75]). Thus, it is likely that our story
 34 is directly related to quantum field theory.⁵

36
 37 ⁴The notation Z for universal finite-type invariants comes from the famous universal finite-type
 invariant of classical links, the Kontsevich integral.

38
 39 ⁵Some non-perturbative relations between BF theory and w -knots was discussed by Baez, Wise and
 Crans [5].

- 1^{1/2} 1 • The main objective of this paper is to prove that when composed with the map
 2 from knots to w-knots, Z becomes the Alexander polynomial. For links, it
 3 becomes an invariant stronger than the multi-variable Alexander polynomial,
 4 which contains the multi-variable Alexander polynomial as an easily identifiable
 5 reduction.
- 6 • On other w-knotted objects Z has easily identifiable reductions that can be
 7 considered as “Alexander polynomials” with good behaviour relative to various
 8 knot-theoretic operations: cablings, compositions of tangles, etc. There is also a
 9 certain specific reduction of Z that can be considered as an “ultimate Alexander
 10 polynomial”; in the appropriate sense, it is the minimal extension of the Alexander
 11 polynomial to other knotted objects which is well behaved under a whole slew
 12 of knot theoretic operations, including the ones named above. See Bar-Natan
 13 and Selmani [22], Bar-Natan [14].
- 14 • The true value of w-knots, though, is likely to emerge later, for we expect them
 15 to serve as a warmup example for what we expect will be even more interesting:
 16 the study of virtual knots, or v-knots. We expect v-knotted objects to provide the
 17 global context whose projectivization (or “associated graded structure”) will be
 18 the Etingof–Kazhdan theory of deformation quantization of Lie bialgebras [38].
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20^{1/2} 20 1.3 The bigger picture

21 Parallel to the w-story run the possibly more significant u-story and v-story. The u-story
 22 is about u-knots, or more generally, u-knotted objects (braids, links, tangles, etc), where
 23 “u” stands for usual; hence the u-story is about classical knot theory. The v-story is
 24 about v-knots, or more generally, v-knotted objects, where “v” stands for virtual, in the
 25 sense of Kauffman [54].
 26

27 The u-, v- and w-knotted objects are quite different from each other. Yet they can
 28 be told along similar lines: first the knots (topology), then their finite-type invariants
 29 and their “chord diagrams” (combinatorics), then those map into certain universal
 30 enveloping algebras and similar spaces associated with various classes of Lie algebras
 31 (low algebra), and finally, in order to construct a “good” universal finite-type invariant,
 32 in each case one has to confront a certain deeper algebraic subject (high algebra). These
 33 stories are summarized in table form in Figure 1.

Deleted “a”

34 u-knots map into v-knots, and v-knots map into w-knots.⁶ The other parts of our
 35 stories, the “combinatorics” and “low algebra” and “high algebra” rows of Figure 1,
 36

37 ⁶Though the composition “ $u \rightarrow v \rightarrow w$ ” is not 0. In fact, the composed map $u \rightarrow w$ is injective.
 38 u-knots, for example, are determined by the fundamental groups of their complements plus “peripheral
 39 systems” (or alternatively, by their “quandles” as in Joyce [50]), and this information is easily recovered
 39 from the w-knot images of u-knots. Similar considerations apply to other classes of u-knotted objects. —

Inserted “as in Joyce”

	u-knots	→	v-knots	→	w-knots										
1 ^{1/2}	Topology	Ordinary (usual) knotted objects in 3D: braids, knots, links, tangles, knotted graphs, etc.	Virtual knotted objects: “algebraic” knotted objects, or “not specifically embedded” knotted objects; knots drawn on a surface, modulo stabilization.	→	Ribbon knotted objects in 4D; “flying rings”. Like v, but also with “overcrossings commute”.										
						Combinatorics	Chord diagrams and Jacobi diagrams, modulo $4T$, STU, IHX, etc.	Arrow diagrams and v-Jacobi diagrams, modulo $6T$ and various “directed” STUs and IHXs, etc.	→	Like v, but also with “tails commute”. Only “two in one out” internal vertices.					
											Lower algebra	Finite-dimensional metrized Lie algebras, representations, and associated spaces.	Finite-dimensional Lie bialgebras, representations, and associated spaces.	→	Finite-dimensional co-commutative Lie bialgebras (ie $\mathfrak{g} \ltimes \mathfrak{g}^*$), representations, and associated spaces.

Figure 1: The u-v-w stories

are likewise related, and this relationship is a crucial part of our overall theme. Thus, we cannot and will not tell the w-story in isolation, and while it is central to this article, we will necessarily also include some episodes from the u and v series.

1.4 Plans

In this paper we study w -braids and w -knots; the main result is [Theorem 3.26](#), which states that the universal finite-type invariant of w -knots is essentially the Alexander polynomial. However, starting with braids and taking a classical approach to finite-type invariants, this paper also serves as a gentle introduction to the subsequent papers and in particular to [\[16\]](#), where we will present a more algebraic point of view. For more detailed information on the content consult the first summary paragraphs at the beginning of each section or here below. An “Odds and ends” section follows the main sections.

essentially → essentially

^{1 1/2} **Section 2, w-braids** This section is largely a compilation of existing literature, though we also introduce the language of arrow diagrams that we use throughout the rest of the paper. In Sections 2.1 and 2.2 we define v-braids and then w-braids and survey their relationship with basis-conjugating automorphisms of free groups and with “the group of (horizontal) flying rings in \mathbb{R}^3 ” (really, a group of knotted tubes in \mathbb{R}^4). In Section 2.3 we play the usual game of introducing finite-type invariants, weight systems, chord diagrams (arrow diagrams, for this case), and $4T$ -like relations. In Section 2.4 we define and construct a universal finite-type invariant Z for w-braids; it turns out that the only algebraic tool we need to use is the formal exponential function $\exp(a) := \sum a^n/n!$. In Section 2.5 we study some good algebraic properties of Z , its injectivity, and its uniqueness, and we conclude with the slight modifications needed for the study of non-horizontal flying rings.

Section 3, w-knots In Section 3.1 we define v-knots and w-knots (long v-knots and long w-knots, to be precise) and discuss a map $v \rightarrow w$. In Section 3.2 we determine the space of “chord diagrams” for w-knots to be the space $\mathcal{A}^w(\uparrow)$ of arrow diagrams modulo $4\overline{T}$ and TC relations, and in Section 4.1 we compute some relevant dimensions. In Section 3.4 we show that $\mathcal{A}^w(\uparrow)$ can be re-interpreted as a space of trivalent graphs modulo STU- and IHX-like relations, and is therefore related to Lie algebras (Section 3.5). This allows us to completely determine $\mathcal{A}^w(\uparrow)$. With no difficulty in Section 3.3 we construct a universal finite-type invariant for w-knots. With a bit of further difficulty we show in Section 3.6 that it is essentially equal to the Alexander polynomial.

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Thanks moved into Acknowledgements; deleted URL (already in citation)

2 w-braids

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¹/₂ diagrams, for this case), and $4T$ -like relations. In Section 2.4 we define and construct a universal finite-type invariant Z for w -braids; it turns out that the only algebraic tool we need to use is the formal exponential function $\exp(a) := \sum a^n/n!$. In Section 2.5 we study some good algebraic properties of Z , its injectivity, and its uniqueness, and we conclude with the slight modifications needed for the study of non-horizontal flying rings.

2.1 Preliminary: virtual braids, or v-braids

Our main object of study for this section, w -braids, are best viewed as “virtual braids” [24; 55; 25], or v -braids, modulo one additional relation; hence, we start with v -braids.

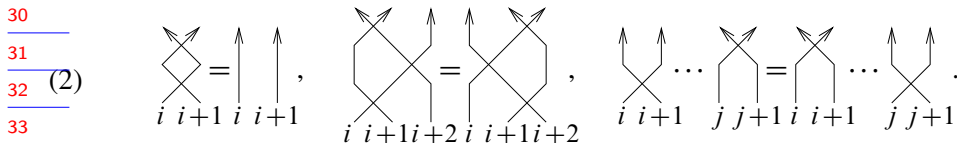
It is simplest to define v -braids in terms of generators and relations, either algebraically or pictorially. This can be done in at least two ways: the easier-at-first but philosophically less satisfying “planar” way, and the harder-to-digest but morally more correct “abstract” way.⁷

2.1.1 The “planar” way For a natural number n set vB_n to be the group generated by symbols σ_i ($1 \leq i \leq n - 1$), called “crossings” and graphically represented by an overcrossing \nearrow “between strand i and strand $i + 1$ ” (with inverse \nwarrow),⁸ and s_i , called “virtual crossings” and graphically represented by a non-crossing, \times , also “between strand i and strand $i + 1$ ”, subject to the following relations:

- The subgroup of vB_n generated by the virtual crossings s_i is the symmetric group S_n , and the s_i correspond to the transpositions $(i, i + 1)$. That is, we have the s_i ’s \rightarrow the s_i

(1) $s_i^2 = 1, \quad s_i s_{i+1} s_i = s_{i+1} s_i s_{i+1}, \quad \text{and} \quad \text{if } |i - j| > 1, \text{ then } s_i s_j = s_j s_i.$

In pictures, this is



⁷Compare with a similar choice that exists in the definition of manifolds, as either appropriate subsets of some ambient Euclidean spaces (modulo some equivalences) or as abstract gluings of coordinate patches (modulo some other equivalences). Here in the “planar” approach of Section 2.1.1 we consider v -braids as “planar” objects, and in the “abstract approach” of Section 2.1.2 they are just “gluings” of abstract “crossings”, not drawn anywhere in particular. module \rightarrow modulo

⁸We sometimes refer to \nearrow as a “positive crossing” and to \nwarrow as a “negative crossing”.

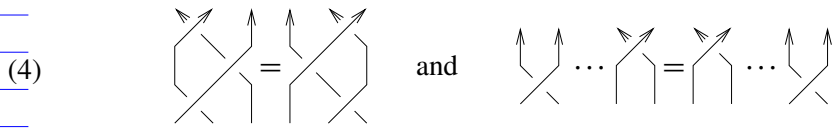
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1^{1/2} Note that we read our braids from bottom to top, and that all relations (and most pictures in this paper) are local: the braids may be bigger than shown but the parts not shown remain the same throughout a relation. pictures → pictures

- The subgroup of vB_n generated by the crossings σ_i is the usual braid group uB_n , and σ_i corresponds to the “braiding of strand i over strand $i + 1$ ”. That is, we have σ_i 's → σ_i

(3) $\sigma_i \sigma_{i+1} \sigma_i = \sigma_{i+1} \sigma_i \sigma_{i+1}$, and if $|i - j| > 1$ then $\sigma_i \sigma_j = \sigma_j \sigma_i$.

In pictures, dropping the indices, this is

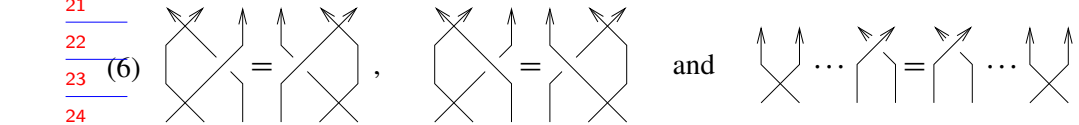


The first of these relations is the “Reidemeister 3 move”⁹ of knot theory. The second is sometimes called “locality in space” [10].

- Some “mixed relations”, that is,

(5) $s_i \sigma_{i+1}^{\pm 1} s_i = s_{i+1} \sigma_i^{\pm 1} s_{i+1}$, and if $|i - j| > 1$, then $s_i \sigma_j = \sigma_j s_i$.

In pictures, this is



Remark 2.1 The “skeleton” of a v-braid B is the set of strands appearing in it, retaining the association between their beginning and ends but ignoring all the crossing information. More precisely, it is the permutation induced by tracing along B , and even more precisely it is the image of B via the “skeleton morphism” $\zeta: vB_n \rightarrow S_n$ defined by $\zeta(\sigma_i) = \zeta(s_i) = s_i$ (or pictorially, by $\zeta(\nearrow) = \zeta(\searrow) = \times$). Thus, the symmetric group S_n is both a subgroup and a quotient group of vB_n .

Just as there are pure braids to accompany braids, there are pure virtual braids as well: Like → Just as

Definition 2.2 A pure v-braid is a v-braid whose skeleton is the identity permutation. The group PvB_n of all pure v-braids is simply the kernel of the skeleton morphism $\zeta: vB_n \rightarrow S_n$.

⁹The Reidemeister 2 move is the relation $\sigma_i \sigma_i^{-1} = 1$ which is part of the definition of a group. There is no Reidemeister 1 move in the theory of braids. relations → relation

1 We note the short exact sequence of group homomorphisms

2
3 (7)
$$1 \longrightarrow PvB_n \hookrightarrow vB_n \xrightarrow{\zeta} S_n \longrightarrow 1.$$

4 This short exact sequence splits, with the splitting given by the inclusion $S_n \hookrightarrow vB_n$
5 mentioned above in (1). Therefore, we have that

Inserted “in”

6
7 (8)
$$vB_n = PvB_n \rtimes S_n.$$

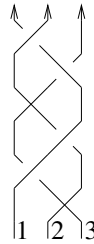
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9 **2.1.2 The “abstract” way** The relations (2) and (6) that govern the behaviour of
10 virtual crossings say precisely that virtual crossings really are “virtual”: if a piece of
11 strand is routed within a braid so that there are only virtual crossings around it, it can
12 be rerouted in any other “virtual only” way, provided the ends remain fixed (this is
13 Kauffman’s “detour move” [54; 55]). Since a v -braid B is independent of the routing
14 of virtual pieces of strand, we may as well never supply this routing information.

precisely say \rightarrow say precisely

15 Thus, for example, a perfectly fair verbal description of the following (pure!) v -braid
16 is “strand 1 goes over strand 3 by a positive crossing then positively over strand 2 then
17 negatively over 3, then 2 goes positively over 1”.

“on the right” \rightarrow “following”

Deleted “likewise”



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26 We don’t need to specify how strand 1 got to be near strand 3 so that it can go over it;
27 it got there by means of virtual crossings, and it doesn’t matter how. Hence we arrive
28 at the following “abstract” presentation of PvB_n and vB_n .

Inserted “that”

29
30 **Proposition 2.3** [24, Theorems 1 and 2] (1) *The group PvB_n of pure v -braids is*
31 *isomorphic to the group generated by symbols σ_{ij} for $1 \leq i \neq j \leq n$ (meaning*
32 *“strand i crosses over strand j at a positive crossing”),¹⁰ subject to the third*
33 *Reidemeister move and to locality in space (compare with (3) and (4)):*

34
$$\begin{cases} \sigma_{ij}\sigma_{ik}\sigma_{jk} = \sigma_{jk}\sigma_{ik}\sigma_{ij} & \text{whenever } |\{i, j, k\}| = 3, \\ \sigma_{ij}\sigma_{kl} = \sigma_{kl}\sigma_{ij} & \text{whenever } |\{i, j, k, l\}| = 4. \end{cases}$$

35
36 (2) *If $\tau \in S_n$, then with the action $\sigma_{ij}^\tau := \sigma_{\tau i, \tau j}$ we recover the semi-direct product*
37 *decomposition $vB_n = PvB_n \rtimes S_n$. \square*

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39 ¹⁰The inverse, σ_{ij}^{-1} , is “strand i crosses over strand j at a negative crossing”

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1 2.2 On to w-braids
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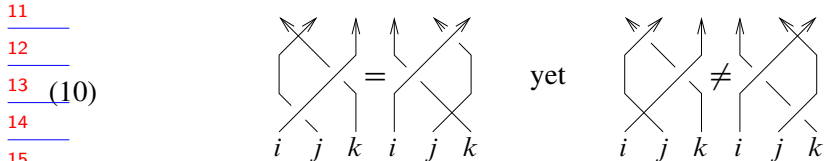
3 To define w-braids, we break the symmetry between overcrossings and undercrossings
4 by imposing one of the “forbidden moves” in virtual knot theory, but not the other:

5 (9) $\sigma_i \sigma_{i+1} \sigma_i = \sigma_{i+1} \sigma_i \sigma_{i+1}, \quad \text{yet} \quad s_i \sigma_{i+1} \sigma_i \neq \sigma_{i+1} \sigma_i s_{i+1}.$
6

7 Alternatively,

8 $\sigma_{ij} \sigma_{ik} = \sigma_{ik} \sigma_{ij}, \quad \text{yet} \quad \sigma_{ik} \sigma_{jk} \neq \sigma_{jk} \sigma_{ik}.$
9

10 In pictures, this is



16 The relation we have just imposed may be called the “unforbidden relation”, or, perhaps
17 more appropriately, the “overcrossings commute” relation, abbreviated OC. Ignoring
18 the non-crossings¹¹ \times , the OC relation says that it is the same if strand i first crosses
19 over strand j and then over strand k , or if it first crosses over strand k and then over
20 strand j . The “undercrossings commute” relation UC, the one we do not impose in (9),
21 would say the same except with “under” replacing “over”.
22

23 **Definition 2.4** The group of w-braids is $wB_n := vB_n / \text{OC}$. Note that ς descends to
24 wB_n , and hence we can define the group PwB_n of pure w-braids to be the kernel of
25 the map $\varsigma: wB_n \rightarrow S_n$. We still have a split exact sequence as in (7) and a thus, a
26 semi-direct product decomposition $wB_n = PwB_n \rtimes S_n$.
27

28
29 **Exercise 2.5** Show that the OC relation is equivalent to the relation

30
31 $\sigma_i^{-1} s_{i+1} \sigma_i = \sigma_{i+1} s_i \sigma_{i+1}^{-1}, \quad \text{or} \quad \img alt="Diagrammatic representation of the exercise relation. The left side shows a diagram with three strands i, j, k. Strand i crosses over strand j, then strand i crosses over strand k, and finally strand i crosses under strand j. The right side shows a diagram with three strands i, j, k. Strand i crosses over strand k, then strand i crosses over strand j, and finally strand i crosses under strand k."/>
32
33
34$

35 While for most of this paper the pictorial/algebraic definition of w-braids (and other
36 w-knotted objects) will suffice, we ought to describe at least briefly a few further
37 interpretations of wB_n .
38

39 ¹¹Why this is appropriate was explained in the previous section.
39 1/2

1 **2.2.1 The group of flying rings** Let X_n be the space of all placements of n numbered
 2 disjoint geometric circles in \mathbb{R}^3 such that all circles are parallel to the xy plane. Such
 3 placements will be called horizontal.¹² A horizontal placement is determined by
 4 the centres in \mathbb{R}^3 of the n circles and by n radii, so $\dim X_n = 3n + n = 4n$. The
 5 permutation group S_n acts on X_n by permuting the circles, and one may think of
 6 the quotient $\tilde{X}_n := X_n/S_n$ as the space of all horizontal placements of n unmarked
 7 circles in \mathbb{R}^3 . The fundamental group $\pi_1(\tilde{X}_n)$ is a group of paths traced by n disjoint
 8 horizontal circles (modulo homotopy), so it is fair to think of it as “the group of flying
 9 rings”.

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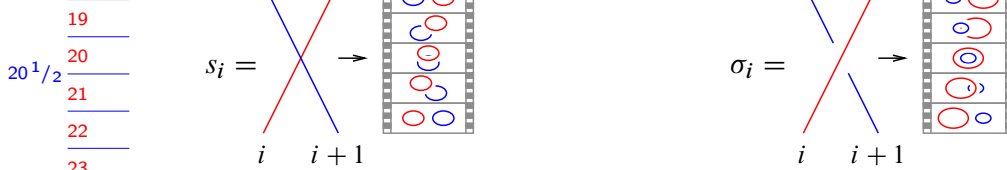
11 **Theorem 2.6** The group of pure w -braids PwB_n is isomorphic to the group of flying
 12 rings $\pi_1(X_n)$. The group wB_n is isomorphic to the group of unmarked flying rings
 13 $\pi_1(\tilde{X}_n)$.

14

15 For the proof of this theorem, see [40; 80] and especially [28, Proposition 3.3]. Here
 16 we will content ourselves with pictures describing the images of the generators of wB_n
 17 in $\pi_1(\tilde{X}_n)$ and a few comments.

content → content

18



20^{1/2}

24 Thus, we map the permutation s_i to the movie clip in which ring number i trades places
 25 with ring number $i + 1$ by having the two fly around each other. This acrobatic feat is
 26 performed in \mathbb{R}^3 and it does not matter if ring number i goes “above” or “below” or
 27 “left” or “right” of ring number $i + 1$ when they trade places, as all of these possibilities
 28 are homotopic. More interestingly, we map the braiding σ_i to the movie clip in which
 29 ring $i + 1$ shrinks a bit and flies through ring i . It is a worthwhile exercise for the
 30 reader to verify that the relations in the definition of wB_n become homotopies of movie
 31 clips. Of these relations it is most interesting to see why the “overcrossings commute”
 32 relation $\sigma_i \sigma_{i+1} s_i = s_{i+1} \sigma_i \sigma_{i+1}$ holds, yet the “undercrossings commute” relation
 33 $\sigma_i^{-1} \sigma_{i+1}^{-1} s_i = s_{i+1} \sigma_i^{-1} \sigma_{i+1}^{-1}$ doesn’t.

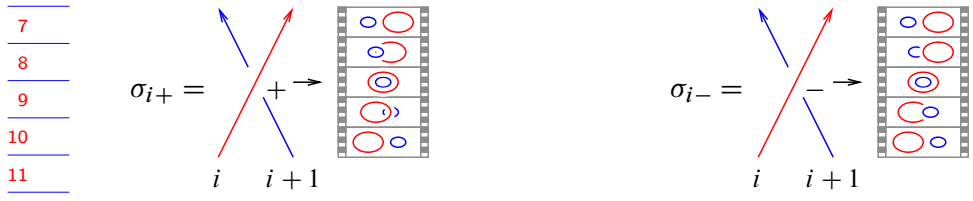
its place → places; flying → fly

35 **Exercise 2.7** To be perfectly precise, we have to specify the fly-through direction. In
 36 our notation, σ_i means that the ring corresponding to the strand going under (in the
 37 local picture for σ_i) approaches from below the bigger ring representing the strand
 38

39^{1/2} ¹²For the group of non-horizontal flying rings see Section 2.5.4.

1^{1/2} going over, then flies through it and exists above. For σ_i^{-1} we are “playing the movie
 2 backwards”, ie the ring of the strand going under comes from above and exits below
 3 the ring of the “over” strand.

4 Let “the signed w braid group”, swB_n , be the group of horizontal flying rings where
 5 both fly-through directions are allowed. This introduces a “sign” for each crossing σ_i ,
 6



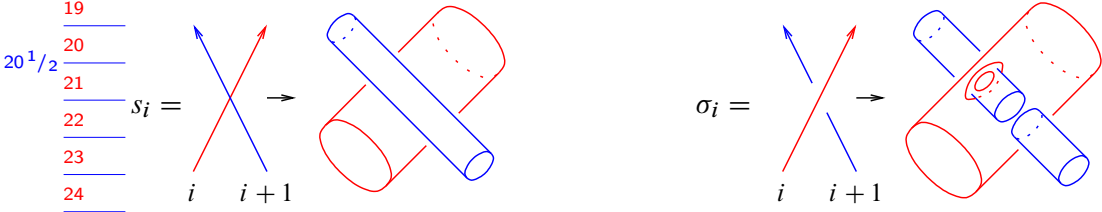
13 In other words, swB_n is generated by s_i , σ_{i+} and σ_{i-} , for $i = 1, \dots, n - 1$. Check
 14 that $\sigma_{i-} = s_i \sigma_{i+}^{-1} s_i$ in swB_n , and this, along with the other obvious relations implies
 15 $swB_n \cong wB_n$.

changed word order to separate math expressions

16

17 **2.2.2 Certain ribbon tubes in \mathbb{R}^4** With time as the added dimension, a flying ring
 18 in \mathbb{R}^3 traces a tube (an annulus) in \mathbb{R}^4 , as shown below:

Deleted “in the picture”



26 Note that we adopt here the drawing conventions of Carter and Saito [29]: we draw
 27 surfaces as if they were projected from \mathbb{R}^4 to \mathbb{R}^3 , and we cut them open whenever
 28 they are “hidden” by something with a higher fourth coordinate.

29 Note also that the tubes we get in \mathbb{R}^4 always bound natural 3D “solids”; their “insides”,
 30 in the pictures above. These solids are disjoint in the case of s_i and have a very specific
 31 kind of intersection in the case of σ_i : these are transverse intersections with no triple
 32 points, and their inverse images are a meridional disk on the “thin” solid tube and an
 33 interior disk on the “thick” one. By analogy with the case of ribbon knots and ribbon
 34 singularities in \mathbb{R}^3 (see eg [53, Chapter V]) and following Satoh [80], we call these
 35 kinds of intersections of solids in \mathbb{R}^4 “ribbon singularities” and thus, our tubes in \mathbb{R}^4
 36 are always “ribbon tubes”.

Inserted “see”; this kind if → these kinds of

37

38 **2.2.3 Basis conjugating automorphisms of F_n** Let F_n be the free (non-abelian)
 39 group with generators ξ_1, \dots, ξ_n . Artin’s theorem [4, Theorems 15 and 16] says that

39^{1/2}

1 the (usual) braid group uB_n (equivalently, the subgroup of wB_n generated by the σ_i) Deleted 's
 2 has a faithful right action on F_n . In other words, uB_n is isomorphic to a subgroup
 3 H of $\text{Aut}^{\text{op}}(F_n)$ (the group of automorphisms of F_n with opposite multiplication,
 4 ie $\psi_1\psi_2 := \psi_2 \circ \psi_1$). Precisely, using $(\xi, B) \mapsto \xi // B$ to denote the right action of
 5 $\text{Aut}^{\text{op}}(F_n)$ on F_n , the subgroup H consists of those automorphisms $B: F_n \rightarrow F_n$ of
 6 F_n that satisfy the following two conditions:

7 (1) B maps any generator ξ_i to a conjugate of a generator (possibly different). That
 8 is, there is a permutation $\beta \in S_n$ and elements $a_i \in F_n$ such that for every i , so \rightarrow such
 9

10 (11)
$$\xi_i // B = a_i^{-1} \xi_{\beta(i)} a_i.$$

11 (2) B fixes the ordered product of the generators of F_n ,

12
$$\xi_1 \xi_2 \cdots \xi_n // B = \xi_1 \xi_2 \cdots \xi_n.$$

13
 14
 15 McCool's theorem¹³ [73] says that almost the same statement holds true¹⁴ for the
 16 bigger group wB_n : namely, wB_n is isomorphic to the subgroup of $\text{Aut}^{\text{op}}(F_n)$ consisting
 17 of automorphisms satisfying only the first condition above. So wB_n is precisely the
 18 group of "basis-conjugating" automorphisms of the free group F_n , the group of those
 19 automorphisms which map any "basis element" in $\{\xi_1, \dots, \xi_n\}$ to a conjugate of a
 20 (possibly different) basis element.

20^{1/2}
 21 The relevant action is explicitly defined on the generators of wB_n and F_n as follows (we
 22 state how each generator of wB_n acts on each generator of F_n , in each case omitting
 23 the generators of F_n which are fixed under the action):
 24

25 (12)
$$\begin{aligned} (\xi_i, \xi_{i+1}) // s_i &= (\xi_{i+1}, \xi_i), \\ (\xi_i, \xi_{i+1}) // \sigma_i &= (\xi_{i+1}, \xi_{i+1} \xi_i \xi_{i+1}^{-1}), \\ \xi_j // \sigma_{ij} &= \xi_i \xi_j \xi_i^{-1}. \end{aligned}$$

26
 27
 28
 29 It is a worthwhile exercise to verify that $//$ respects the relations in the definition of
 30 wB_n and that the permutation β in (11) is the skeleton $\zeta(B)$.

31 There is a more conceptual description of $//$ in terms of the structure of wB_{n+1} .

32 Consider the inclusions

33
 34 (13)
$$wB_n \xhookrightarrow{\iota} wB_{n+1} \xleftarrow{i_u} F_n.$$

35
 36 Here ι is the inclusion of wB_n into wB_{n+1} by adding an inert $(n+1)^{\text{st}}$ strand (it is
 37 injective as it has a well-defined one sided inverse: the deletion of the $(n+1)^{\text{st}}$ strand).

38 ¹³Strictly speaking, the main theorem of [73] is about PwB_n , yet it can easily be restated for wB_n . Strictly \rightarrow Strictly

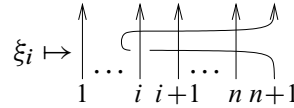
39 ¹⁴Though see [Warning 2.8](#).

39^{1/2}

1 The inclusion i_u of the free group F_n into wB_{n+1} is defined by $i_u(\xi_i) := \sigma_{i,n+1}$,
 2 depicted as follows:

Inserted “depicted as follows”

3
 4
 5

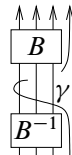


6 The image $i_u(F_n) \subset wB_{n+1}$ is the set of all w-braids whose first n strands are straight
 7 and vertical, and whose $(n + 1)^{\text{st}}$ strand wanders among the first n strands mostly
 8 virtually (ie mostly using virtual crossings), occasionally slipping under one of those
 9 n strands, but never going over anything. It is easier to see that this is indeed injective
 10 using the “flying rings” picture of Section 2.2.1. The image $i_u(F_n) \subset wB_{n+1}$ can be
 11 interpreted as the fundamental group of the complement in \mathbb{R}^3 of n stationary rings
 12 (which is indeed F_n); in $i_u(F_n)$ the only ring in motion is the last, and it only goes
 13 under, or “through”, other rings, so it can be replaced by a point object whose path is
 14 an element of the fundamental group. The injectivity of i_u follows from this geometric
 15 picture.

16
 17 One may explicitly verify that $i_u(F_n)$ is normalized by $\iota(wB_n)$ in wB_{n+1} (that is, the
 18 set $i_u(F_n)$ is preserved by conjugation by elements of $\iota(wB_n)$). Thus, the following
 19 definition, pictured as

(also shown as a picture on the right) \rightarrow pictured as

20
 21
 22
 23
 24



25 makes sense: for $B \in wB_n \subset wB_{n+1}$ and for $\gamma \in F_n \subset wB_{n+1}$,
 26 (14)
$$\gamma \parallel B := i_u^{-1}(B^{-1}\gamma B)$$

 27

28 It is a worthwhile exercise to recover the explicit formulae in (12) from the above
 29 definition.
 30

31 **Warning 2.8** People familiar with the Artin story for ordinary braids should be warned
 32 that even though wB_n acts on F_n and the action is induced from the inclusions in (13)
 33 in much the same way as the Artin action is induced by inclusions

Deleted “of”

34
 35

$$uB_n \xrightarrow{\iota} uB_{n+1} \xleftarrow{i} F_n, \text{ displayed to fit}$$

36 there are also some differences, and some further warnings apply:
 37

- 38 • In the ordinary Artin story, $i(F_n)$ is the set of braids in uB_{n+1} whose first n
 39 strands are unbraided (that is, whose image in uB_n via “dropping the last strand”

39^{1/2}

1^{1/2}

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11

is the identity). This is not true for w -braids. For w -braids, in $i_u(F_n)$ the last strand always goes “under” all other strands (or just virtually crosses them), but never “over”.

- Thus, unlike the isomorphism $PuB_{n+1} \cong PuB_n \times F_n$, it is not true that PwB_{n+1} is isomorphic to $PwB_n \times F_n$.
- The OC relation imposed in wB breaks the symmetry between overcrossings and undercrossings. Thus, let $i_o: F_n \rightarrow wB_n$ be the “opposite” of i_u , mapping into braids in which the last strand is always “over” or virtual. Then i_o is not injective (its image is in fact abelian) and its image is not normalized by $\iota(wB_n)$. So there is no “second” action of wB_n on F_n defined using i_o .
- For v -braids, both i_u and i_o are injective and there are two actions of vB_n on F_n : one defined by first projecting into w -braids, and the other defined by first projecting into v -braids modulo “undercrossings commute”. Yet v -braids contain more information than these two actions can see. The “Kishino” v -braid below, for example, is visibly trivial if either overcrossings or undercrossings are made to commute, yet by computing its Kauffman bracket we know it is non-trivial as a v -braid [15, “The Kishino braid”]:

20^{1/2}

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The commutator $ab^{-1}a^{-1}b$ of v -braids a, b annihilated by OC/UC, respectively, with a minor cancellation.

Problem 2.9 Are PvB_n and PwB_n semi-direct products of free groups? For PuB_n , this is the well-known “combing of braids” and it follows from $PuB_n \cong PuB_{n-1} \times F_{n-1}$ and induction.

Remark 2.10 Note that Gutiérrez and Krstić [44] have found “normal forms” for the elements of PwB_n , yet they do not decide whether PwB_n is “automatic” in the sense of [37].

2.3 Finite type invariants of v -braids and w -braids

Just as we had two definitions for v -braids (and thus, for w -braids) in Section 2.1, we will give two equivalent developments of the theory of finite-type invariants of v -braids and w -braids: a pictorial/topological version in Section 2.3.1, and a more abstract algebraic version in Section 2.3.2.

39^{1/2}

1 **2.3.1 Finite type invariants: the pictorial approach** In the standard theory of finite-
 2 type invariants of knots, also known as Vassiliev or Goussarov–Vassiliev invariants
 3 (see [82; 43; 6; 13]), one progresses from the definition of finite-type via iterated
 4 differences to chord diagrams and weight systems, to $4T$ (and other) relations, to the
 5 definition of universal finite-type invariants, and beyond. The exact same progression
 6 (with different objects playing similar roles, and sometimes, when yet insufficiently
 7 studied, with the last step or two missing) is also seen in the theories of finite-type
 8 invariants of braids [9], 3–manifolds [76; 64; 61], virtual knots [42; 77] and of several
 9 other classes of objects. We thus assume that the reader has familiarity with these basic
 10 ideas, and we only indicate briefly how they are implemented in the case of v-braids
 11 and w-braids.

12 Much like the formula $\times \rightarrow \nearrow - \nwarrow$ of Vassiliev–Goussarov fame, given a v-braid Deleted “the”
 13 invariant $V: vB_n \rightarrow A$ valued in some abelian group A , we extend it to “singular” v-
 14 braids, ie braids that contain “semi-virtual crossings” like \bowtie and \bowtie using the formulae
 15 $V(\bowtie) := V(\nearrow) - V(\nwarrow)$ and $V(\bowtie) := V(\nwarrow) - V(\nearrow)$ (see [42; 77; 20]). We say that
 16 “ V is of type m ” if its extension vanishes on singular v-braids having more than
 17 m semi-virtual crossings. Up to invariants of lower type, an invariant of type m is
 18 determined by its “weight system”, which is a functional $W = W_m(V)$ defined on
 19 “ m -singular v-braids modulo $\nearrow = \nwarrow = \bowtie$ ”. Let us denote the vector space of all formal
 20 linear combinations of such equivalence classes by $\mathcal{G}_m \mathcal{D}_n^v$. Much as m -singular knots
 21 modulo $\nearrow = \nwarrow$ can be identified with chord diagrams, the basis elements of $\mathcal{G}_m \mathcal{D}_n^v$
 22 can be identified with pairs (D, β) , where D is a horizontal arrow diagram and β is a
 23 “skeleton permutation”, see Figure 2.
 24

25 We assemble the spaces $\mathcal{G}_m \mathcal{D}_n^v$ together to form a single graded space,

$$\mathcal{D}_n^v := \bigoplus_{m=0}^{\infty} \mathcal{G}_m \mathcal{D}_n^v. \quad \text{displayed to fit}$$

26
 27
 28
 29 Note that throughout this paper, whenever we write an infinite direct sum, we auto-
 30 matically complete it. Thus, in \mathcal{D}_n^v we allow infinite sums with one term in each
 31 homogeneous piece $\mathcal{G}_m \mathcal{D}_n^v$; in particular, exponential-like sums will be heavily used.
 32

33 In the standard finite-type theory for knots, weight systems always satisfy the $4T$
 34 relation, and are therefore functionals on $\mathcal{A} := \mathcal{D}/4T$. Likewise, in the case of v-
 35 braids, weight systems satisfy the “ $6T$ relation” of [42; 77; 20], shown in Figure 3,
 36 and are therefore functionals on $\mathcal{A}_n^v := \mathcal{D}_n^v/6T$. In the case of w-braids, the OC
 37 relation (9) implies the “tails commute” (TC) relation on the level of arrow diagrams,
 38 and in the presence of the TC relation, two of the terms in the $6T$ relation drop
 39 out, and what remains is the “ $\overrightarrow{4T}$ ” relation. These relations are shown in Figure 4.
 39^{1/2}

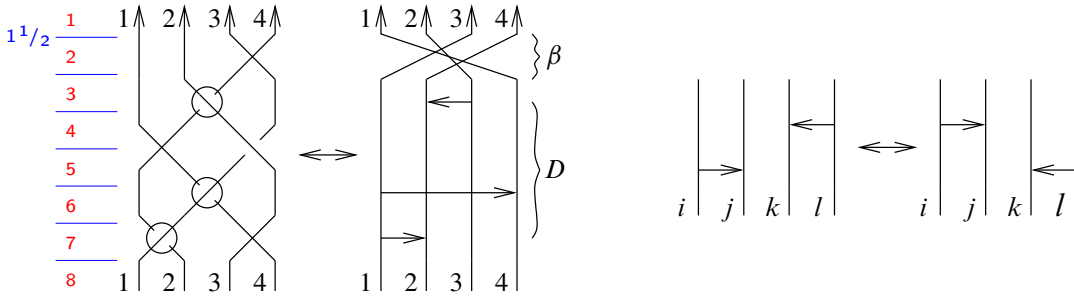
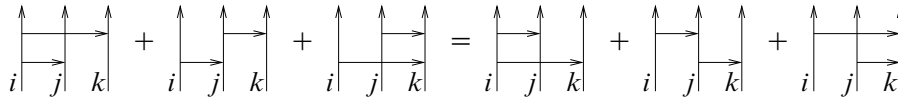


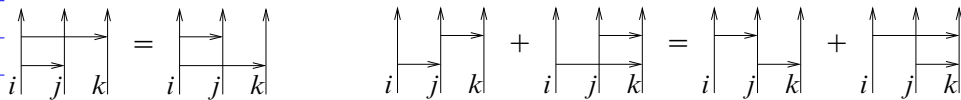
Figure 2: On the left, a 3-singular v-braid and its corresponding 3-arrow diagram. A self-explanatory algebraic notation for this arrow diagram is $(a_{12}a_{41}a_{23}, 3421)$. Note that we regard arrow diagrams as graph-theoretic objects, and hence, the two arrow diagrams on the right, whose underlying graphs are the same, are regarded as equal. In algebraic notation this means that we always impose the relation $a_{ij}a_{kl} = a_{kl}a_{ij}$ when the indices $i, j, k,$ and l are all distinct.



$$a_{ij}a_{ik} + a_{ij}a_{jk} + a_{ik}a_{jk} = a_{ik}a_{ij} + a_{jk}a_{ij} + a_{jk}a_{ik}$$

$$\text{or } [a_{ij}, a_{ik}] + [a_{ij}, a_{jk}] + [a_{ik}, a_{jk}] = 0.$$

Figure 3: The $6T$ relation. Standard knot theoretic conventions apply: only the relevant parts of each diagram are shown; in reality each diagram may have further vertical strands and horizontal arrows, provided the extras are the same in all 6 diagrams. Also, the vertical strands are in no particular order — other valid $6T$ relations are obtained when those strands are permuted in other ways.



$$a_{ij}a_{ik} = a_{ik}a_{ij}$$

$$\text{or } [a_{ij}, a_{ik}] = 0.$$

$$a_{ij}a_{jk} + a_{ik}a_{jk} = a_{jk}a_{ij} + a_{jk}a_{ik}$$

$$\text{or } [a_{ij} + a_{ik}, a_{jk}] = 0.$$

Figure 4: The TC and the $\overrightarrow{4T}$ relations.

Thus, weight systems of finite-type invariants of w -braids are linear functionals on

$$\mathcal{A}_n^w := \mathcal{D}_n^v / \text{TC}, \overrightarrow{4T}.$$

¹/₂ The next question that arises is whether we have already found *all* the relations that
² weight systems always satisfy. More precisely, given a degree m linear functional on
³ $\mathcal{A}_n^v = \mathcal{D}_n^v/6T$ (or $\mathcal{A}_n^w = \mathcal{D}_n^w/TC, 4\bar{T}$), is it always the weight system of some type m Deleted “on” (for linespacing)
⁴ invariant V of v-braids (or w-braids)? As in every other theory of finite-type invariants,
⁵ the answer to this question is affirmative if and only if there exists a “universal finite-type
⁶ invariant” (or simply, an “expansion”) of v-braids (or w-braids), defined as follows. Inserted “defined as follows.”
⁷

⁸ **Definition 2.11** An expansion for v-braids (or w-braids) is an invariant $Z: vB_n \rightarrow \mathcal{A}_n^v$
⁹ (or $Z: wB_n \rightarrow \mathcal{A}_n^w$) satisfying the following “universality condition”:

- ¹⁰ • If B is an m -singular v-braid (or w-braid) and $D \in \mathcal{G}_m \mathcal{D}_n^v$ is its underlying
¹¹ arrow diagram as in Figure 2, then

$$\supseteq Z(B) = D + (\text{terms of degree } > m).$$

¹⁴ Indeed if Z is an expansion and $W \in \mathcal{G}_m \mathcal{A}^*$,¹⁵ the universality condition implies
¹⁵ that $W \circ Z$ is a finite-type invariant whose weight system is W . To go the other
¹⁶ way, if (D_i) is a basis of \mathcal{A} consisting of homogeneous elements, if (W_i) is the dual
¹⁷ basis of \mathcal{A}^* and (V_i) are finite-type invariants whose weight systems are the W_i , then Deleted ‘s
¹⁸ $Z(B) := \sum_i D_i V_i(B)$ defines an expansion.
¹⁹

²⁰/₂ In general, constructing a universal finite-type invariant is a hard task. For knots,
²¹ one uses either the Kontsevich integral or perturbative Chern–Simons theory (also
²² known as “configuration space integrals” [27] or “tinker-toy towers” [81]) or the rather
²³ fancy algebraic theory of “Drinfel’d associators” (a summary of all those approaches is
²⁴ in [23]). For homology spheres, this is the “LMO invariant” [64; 61] (also the “Århus at → in
²⁵ integral” [17; 18; 19]). For v-braids, we still don’t know if an expansion exists. In
²⁶ contrast, as we shall see below, the construction of an expansion for w-braids is quite
²⁷ easy.
²⁸

²⁹ **2.3.2 Finite type invariants: the algebraic approach** For any group G , one can
³⁰ form the group algebra $\mathbb{Q}G$ by allowing formal linear combinations of group elements
³¹ and extending multiplication linearly, where \mathbb{Q} is the field of rational numbers.¹⁶ The
³² *augmentation ideal* is the ideal generated by differences, or equivalently, the set of
³³ linear combinations of group elements whose coefficients sum to zero:

$$\supseteq \mathcal{I} := \left\{ \sum_{i=1}^k a_i g_i : a_i \in \mathbb{Q}, g_i \in G, \sum_{i=1}^k a_i = 0 \right\}.$$

³⁷ ¹⁵ \mathcal{A}^* here denotes either \mathcal{A}_n^v or \mathcal{A}_n^w , or in fact any of many similar spaces that we will discuss later. deleted “on” to save a line

³⁸ ¹⁶The definitions in this subsection make sense over \mathbb{Z} as well, but the main result of the next
³⁹ subsection requires a field of characteristic 0. For simplicity of notation we stick with \mathbb{Q} .

³⁹/₂

1 Powers of the augmentation ideal provide a filtration of the group algebra. We denote
 2 by

$$\mathcal{A}(G) := \bigoplus_{m \geq 0} \mathcal{I}^m / \mathcal{I}^{m+1}$$

3
 4
 5 the associated graded space corresponding to this filtration.

6
 7 **Definition 2.12** An expansion for the group G is a map $Z: G \rightarrow \mathcal{A}(G)$ such that the
 8 linear extension $Z: \mathbb{Q}G \rightarrow \mathcal{A}(G)$ is filtration-preserving and the induced map

$$\text{gr } Z: (\text{gr } \mathbb{Q}G = \mathcal{A}(G)) \rightarrow (\text{gr } \mathcal{A}(G) = \mathcal{A}(G))$$

9
 10
 11 is the identity. An equivalent way to phrase this is that the degree m piece of Z
 12 restricted to \mathcal{I}^m is the projection onto $\mathcal{I}^m / \mathcal{I}^{m+1}$.

13
 14 **Exercise 2.13** Verify that for the groups PvB_n and PwB_n the m^{th} power of the
 15 augmentation ideal coincides with the span of all resolutions of m -singular v - or w -
 16 braids (by a resolution we mean the formal linear combination where each semivirtual
 17 crossing is replaced by the appropriate difference of a virtual and a regular crossing, as
 18 in Figure 2). Then check that the notion of expansion defined above is the same as that
 19 of Definition 2.11, restricted to pure braids.

20
 21 Finally, note the functorial nature of the construction above. What we have described
 22 is a functor from the category of groups to the category of graded algebras, called
 23 projectivization¹⁷ $\text{proj}: \text{Grp} \rightarrow \text{GrAlg}$, which assigns to each group G the graded
 24 algebra $\mathcal{A}(G)$. To each homomorphism $\phi: G \rightarrow H$, proj assigns the induced map

$$\text{gr } \phi: (\mathcal{A}(G) = \text{gr } \mathbb{Q}G) \rightarrow (\mathcal{A}(H) = \text{gr } \mathbb{Q}H).$$

25
 26
 27 **2.4 Expansions for w -braids**

28
 29 The space \mathcal{A}_n^w of arrow diagrams on n strands is an associative algebra in an ob-
 30 vious manner: if the permutations underlying two arrow diagrams are the identity
 31 permutations, then we simply juxtapose the diagrams. Otherwise we “slide” arrows
 32 through permutations in the obvious manner: if τ is a permutation, we declare that
 33 $\tau a_{(\tau i)(\tau j)} = a_{ij} \tau$. Instead of seeking an expansion $wB_n \rightarrow \mathcal{A}_n^w$, we set the bar a little
 34 higher and seek a “homomorphic expansion”, defined as follows.

Inserted “defined as follows”

35
 36 **Definition 2.14** A homomorphic expansion $Z: wB_n \rightarrow \mathcal{A}_n^w$ is an expansion that
 37 carries products in wB_n to products in \mathcal{A}_n^w .

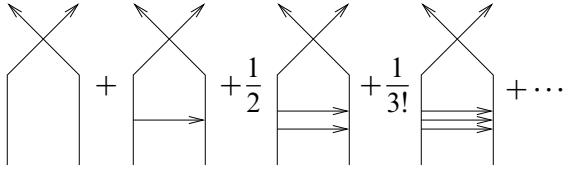
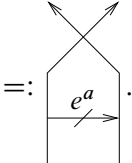
38 ¹⁷We use this name to distinguish the associated graded with respect to this particular filtration, which
 39 will be a repeating theme in [16]. missing word after “graded”?

39^{1/2}

1 To find a homomorphic expansion, we just need to define it on the generators of wB_n
 2 and verify that it satisfies the relations defining wB_n and the universality condition.
 3 Following [26, Section 5.3] and [2, Section 8.1] we set $Z(\bowtie) = \bowtie$ (that is, a transpo-
 4 sition in wB_n gets mapped to the same transposition in \mathcal{A}_n^w , adding no arrows) and
 5 $Z(\nearrow) = \exp(\uparrow) \bowtie$. (Recall that we work in the degree completion.) This last formula Recall \rightarrow Recall
 6 is important so deserves to be magnified, explained and replaced by some new notation:
 7

8

9

10 (15) $Z(\nearrow) = \exp(\uparrow) \cdot \bowtie =$  $+ \dots$
 11
 12
 13
 14
 15
 16 $=:$  $.$
 17
 18

19 Thus the new notation $\xrightarrow{e^a}$ stands for an “exponential reservoir” of parallel arrows,
 20 much like

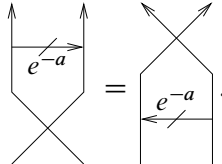
21

22
$$e^a = 1 + a + aa/2 + aaa/3! + \dots$$

23 is a “reservoir” of a 's. With the obvious interpretation for $\xrightarrow{e^{-a}}$ (that is, the $-$ sign
 24 indicates that the terms should have alternating signs, as in $e^{-a} = 1 - a + a^2/2 -$
 25 $a^3/3! + \dots$), the second Reidemeister move $\nearrow \searrow = 1$ forces that we set
 26

27

28

29 $Z(\searrow) = \searrow \cdot \exp(-\uparrow) =$  $.$
 30
 31
 32

33 **Theorem 2.15** *The above formulae define an invariant $Z: wB_n \rightarrow \mathcal{A}_n^w$ (that is, Z*
 34 *satisfies all the defining relations of wB_n). The resulting Z is a homomorphic expansion*
 35 *(that is, it satisfies the universality property of Definition 2.14).*
 36

37

38 **Proof** Following [26; 2]: for the invariance of Z , the only interesting relations to check
 39 are the Reidemeister 3 relation of (4) and the OC relation of (10). For Reidemeister 3,
 39^{1/2}

1 we have
 1^{1/2} 2

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$$= e^{a_{12}} e^{a_{13}} e^{a_{23}} \tau \stackrel{1}{=} e^{a_{12}+a_{13}} e^{a_{23}} \tau \stackrel{2}{=} e^{a_{12}+a_{13}+a_{23}} \tau,$$

9 where τ is the permutation 321, equality 1 holds because a TC relation implies
 10 $[a_{12}, a_{13}] = 0$, and equality 2 holds because $[a_{12} + a_{13}, a_{23}] = 0$ by a $\overrightarrow{4T}$ relation. reworded slightly to help line spacing
 11 Likewise, again using TC and $\overrightarrow{4T}$,

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$$= e^{a_{23}} e^{a_{13}} e^{a_{12}} \tau = e^{a_{23}} e^{a_{13}+a_{12}} \tau = e^{a_{23}+a_{13}+a_{12}} \tau,$$

19 and so Reidemeister 3 holds. An even simpler proof using just the TC relation shows
 20 that the OC relation also holds. Finally, since Z is homomorphic, it is enough to check
 21 the universality property at degree 1, where it is very easy:

22
 23

$$Z(\overrightarrow{\text{crossing}}) = \exp(\overrightarrow{\text{crossing}}) \cdot \overrightarrow{\text{crossing}} - \overrightarrow{\text{crossing}} = \overrightarrow{\text{crossing}} \cdot \overrightarrow{\text{crossing}} + (\text{terms of degree } > 1)$$

24
 25 A similar computation manages the $\overleftarrow{\text{crossing}}$ case.

□ Deleted “and”

26
 27 **Remark 2.16** Note that the main ingredient of the above proof was to show that
 28 $R := Z(\sigma_{12}) = e^{a_{12}}$ satisfies the famed Yang–Baxter equation,

29
 30

$$R^{12} R^{13} R^{23} = R^{23} R^{13} R^{12},$$

31 where R^{ij} means “place R on strands i and j ”.

32
 33
 34 **2.5 Some further comments**

35
 36 **2.5.1 Compatibility with braid operations** As with any new gadget, we would like
 37 to know how compatible the expansion Z of the previous section is with the gadgets
 38 we already have; namely, with various operations that are available on w -braids and
 39 with the action of w -braids on the free group F_n ; see [Section 2.2.3](#).

39^{1/2}

1^{1/2}

2.5.1.1 Z is compatible with braid inversion Let θ denote both the “braid inversion” operation $\theta: wB_n \rightarrow wB_n$ defined by $B \mapsto B^{-1}$ and the “antipode” anti-automorphism $\theta: \mathcal{A}_n^w \rightarrow \mathcal{A}_n^w$ defined by mapping permutations to their inverses and arrows to their negatives (that is, $a_{ij} \mapsto -a_{ij}$). Then the diagram below commutes:

on the right \rightarrow below

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$$\begin{array}{ccc} wB_n & \xrightarrow{\theta} & wB_n \\ Z \downarrow & \circlearrowleft & \downarrow Z \\ \mathcal{A}_n^w & \xrightarrow{\theta} & \mathcal{A}_n^w \end{array}$$

2.5.1.2 Braid cloning and the group-like property Let Δ denote both the “braid cloning” operation $\Delta: wB_n \rightarrow wB_n \times wB_n$ defined by $B \mapsto (B, B)$ and the “co-product” algebra morphism $\Delta: \mathcal{A}_n^w \rightarrow \mathcal{A}_n^w \otimes \mathcal{A}_n^w$ defined by cloning permutations (that is, $\tau \mapsto \tau \otimes \tau$) and by treating arrows as primitives (that is, $a_{ij} \mapsto a_{ij} \otimes 1 + 1 \otimes a_{ij}$). Then the diagram below commutes:

on the right \rightarrow below

20^{1/2}

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$$\begin{array}{ccc} wB_n & \xrightarrow{\Delta} & wB_n \times wB_n \\ Z \downarrow & \circlearrowleft & \downarrow Z \times Z \\ \mathcal{A}_n^w & \xrightarrow{\Delta} & \mathcal{A}_n^w \otimes \mathcal{A}_n^w \end{array}$$

In formulae, this is $\Delta(Z(B)) = Z(B) \otimes Z(B)$, which is the statement “ $Z(B)$ is group-like”.

2.5.1.3 Strand insertions Let $\iota: wB_n \rightarrow wB_{n+1}$ be an operation of “inert strand insertion”. Given $B \in wB_n$, the resulting $\iota B \in wB_{n+1}$ will be B with one strand S added at some location chosen in advance: to the left of all existing strands, or to the right, or starting from between the 3rd and the 4th strand of B and ending between the 6th and the 7th strand of B ; when adding S , add it “inert”, so that all crossings on it are virtual (this is well-defined). There is a corresponding inert strand addition operation $\iota: \mathcal{A}_n^w \rightarrow \mathcal{A}_{n+1}^w$, obtained by adding a strand at the same location as for the original ι and adding no arrows. It is easy to check that Z is compatible with ι ; namely, that the following diagram is commutative:

on the right \rightarrow following

39^{1/2}

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39

$$\begin{array}{ccc} wB_n & \xrightarrow{\iota} & wB_{n+1} \\ Z \downarrow & \circlearrowleft & \downarrow Z \\ \mathcal{A}_n^w & \xrightarrow{\iota} & \mathcal{A}_{n+1}^w \end{array}$$

1 **2.5.1.4 Strand deletions** Given $1 \leq k \leq n$, let $d_k: wB_n \rightarrow wB_{n-1}$ be the operation of
 2 “removing the k^{th} strand”. This operation induces a homonymous operation $d_k: \mathcal{A}_n^w \rightarrow$
 3 \mathcal{A}_{n-1}^w : if $D \in \mathcal{A}_n^w$ is an arrow diagram, then $d_k D$ is D with its k^{th} strand removed if
 4 no arrows in D start or end on the k^{th} strand, and it is 0 otherwise. It is easy to check
 5 that Z is compatible with d_k ; namely, that the diagram below is commutative:¹⁸

on the right \rightarrow below

$$\begin{array}{ccc} wB_n & \xrightarrow{d_k} & wB_{n-1} \\ Z \downarrow & \circlearrowleft & \downarrow Z \\ \mathcal{A}_n^w & \xrightarrow{d_k} & \mathcal{A}_{n-1}^w \end{array}$$

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13 **2.5.1.5 Compatibility with the action on F_n** Let FA_n denote the (degree-completed)
 14 free, associative (but not commutative) algebra on the generators x_1, \dots, x_n . Then
 15 there is an “expansion” $Z: F_n \rightarrow FA_n$ defined by $\xi_i \mapsto e^{x_i}$ (see [71] and the related
 16 “Magnus Expansion” of [72]). Also, there is a right action¹⁹ of \mathcal{A}_n^w on FA_n defined on
 17 generators by $x_i \tau = x_{\tau i}$ for $\tau \in S_n$ and by $x_j a_{ij} = [x_i, x_j]$ and $x_k a_{ij} = 0$ for $k \neq j$
 18 and extended by the Leibniz rule to the rest of FA_n and then multiplicatively to the
 19 rest of \mathcal{A}_n^w . This fits into the diagram below:

20
21

$$\begin{array}{ccc} F_n & \circlearrowleft & wB_n \\ Z \downarrow & \circlearrowleft & \downarrow Z \\ FA_n & \circlearrowleft & \mathcal{A}_n^w \end{array}$$

Inserted “This fits into the diagram below:” before diagram

26 **Exercise 2.17** Use the definition of the action in (14) and the commutative diagrams
 27 of paragraphs 2.5.1.1, 2.5.1.2 and 2.5.1.3 to show that the diagram of paragraph 2.5.1.5
 28 is also commutative.

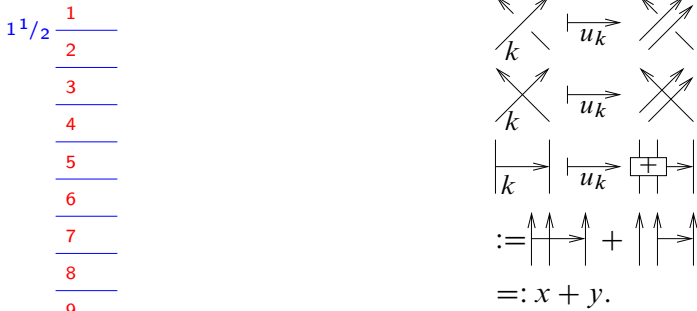
30 **2.5.1.6 Unzipping a strand** Given k between 1 and n , let $u_k: wB_n \rightarrow wB_{n+1}$ be
 31 the operation of “unzipping the k^{th} strand”, briefly defined as follows:²⁰

Inserted “be”
on the right \rightarrow as follows

33 ¹⁸In [16] we’ll say that “ $d_k: wB_n \rightarrow wB_{n-1}$ ” is an algebraic structure made of two spaces (wB_n and
 34 wB_{n-1}), two binary operations (braid composition in wB_n and in wB_{n-1}), and one unary operation, d_k .
 35 After projectivization we get the algebraic structure $d_k: \mathcal{A}_n^w \rightarrow \mathcal{A}_{n-1}^w$ with d_k as described above, and
 36 an alternative way of stating our assertion is to say that Z is a morphism of algebraic structures. A similar
 37 remark applies (sometimes in the negative form) to the other operations discussed in this section.

38 ¹⁹In the language of [16], we will say that $FA_n = \text{proj} F_n$ and that when the actions involved
 are regarded as instances of the algebraic structure “one monoid acting on another”, we have that

39 ²⁰ $(FA_n \circlearrowleft \mathcal{A}_n^w) = \text{proj}(F_n \circlearrowleft wB_n)$.



The induced operation $u_k: \mathcal{A}_n^w \rightarrow \mathcal{A}_{n+1}^w$ is also shown: if an arrow starts (or ends) on the strand being doubled, it is replaced by a sum of two arrows that start (or end) on either of the two “daughter strands”. This is performed for each arrow independently; so if there are t arrows touching the k^{th} strands in a diagram D , then $u_k D$ will be a sum of 2^t diagrams.

Deleted “ on the right”
Deleted “and”, removed parentheses

In some sense, much of this current series of papers as well as the works of Kashiwara and Vergne [52] and Alekseev and Torossian [2] are about coming to grips with the fact that Z is **not** compatible with u_k ; that is, the diagram

Inserted “is”, dropped parentheses; deleted “on the right”



is **not** commutative. Indeed, let $x := a_{13}$ and $y := a_{23}$ be as above, and let s be the permutation 21 and τ the permutation 231. Then $d_1 Z(\text{crossed circle with star}) = d_1(e^{a_{12}s}) = e^{x+y}\tau$, while $Z(d_1(\text{crossed circle with star})) = e^y e^x \tau$. So the failure of d_1 and Z to commute is the ill behaviour of the exponential function when its arguments do not commute, which is measured by the BCH formula, central to both [52] and [2].

on the right \rightarrow above
are not commuting \rightarrow do not commute

2.5.2 Power and injectivity The following theorem is due to Berceanu and Padima [26, Theorem 5.4]; a variant of this theorem is also true for ordinary braids [57; 7; 45], and can be proven by similar means.

are \rightarrow is

Theorem 2.18 $Z: wB_n \rightarrow \mathcal{A}_n^w$ is injective. In other words, finite-type invariants separate w -braids.

²⁰Unzipping a knotted zipper turns a single band into two parallel ones. This operation is also known as “strand doubling”, but for compatibility with operations that will be introduced later, we prefer “unzipping”.

1 **Proof** The statement follows immediately from the faithfulness of the action $F_n \curvearrowright wB_n$,
 2 from the compatibility of Z with this action, and from the injectivity of $Z: F_n \rightarrow FA_n$
 3 (the latter is well known, see eg [72, Theorem 5.6]²¹ and [71]). Indeed, if B_1 and B_2
 4 are w -braids and $Z(B_1) = Z(B_2)$, then $Z(\xi)Z(B_1) = Z(\xi)Z(B_2)$ for any $\xi \in F_n$.
 5 Therefore $\forall \xi, Z(\xi \parallel B_1) = Z(\xi \parallel B_2)$, therefore $\forall \xi, \xi \parallel B_1 = \xi \parallel B_2$, therefore
 6 $B_1 = B_2$. □

7
 8 **Remark 2.19** Apart from the easy fact that \mathcal{A}_n^w can be computed degree by degree in
 9 exponential time, we do not know a simple formula for the dimension of the degree
 10 m piece of \mathcal{A}_n^w or a natural basis of that space. This compares unfavourably with the
 11 situation for ordinary braids (see eg [9]). Also compare with [Problem 2.9](#) and with
 12 [Remark 2.10](#).

13
 14 **2.5.3 Uniqueness** There is certainly not a unique expansion for w -braids: if Z_1 is an
 15 expansion and P is any degree-increasing linear map $\mathcal{A}^w \rightarrow \mathcal{A}^w$ (a “pollution” map), and and \rightarrow and
 16 then $Z_2 := (I + P) \circ Z_1$ is also an expansion, where $I: \mathcal{A}^w \rightarrow \mathcal{A}^w$ is the identity.
 17 But that’s all, and if we require a bit more, even that freedom disappears.

18
 19 **Proposition 2.20** If $Z_{1,2}: wB_n \rightarrow \mathcal{A}_n^w$ are expansions then there exists a degree-
 20 increasing linear map $P: \mathcal{A}^w \rightarrow \mathcal{A}^w$ such that $Z_2 = (I + P) \circ Z_1$. so \rightarrow such

20^{1/2}
 21 **Sketch of proof** Let \widehat{wB}_n be the unipotent completion of wB_n . That is, let $\mathbb{Q} wB_n$
 22 be the algebra of formal linear combinations of w -braids, let \mathcal{I} be the ideal in $\mathbb{Q} wB_n$
 23 generated by $\bowtie = \nearrow - \searrow$ and by $\bowtie = \times - \oslash$, and set Deleted “be the ideal”

$$\widehat{wB}_n := \varprojlim_{m \rightarrow \infty} \mathbb{Q} wB_n / \mathcal{I}^m.$$

25
 26
 27 Here \widehat{wB}_n is filtered with Inserted “Here”

$$\mathcal{F}_m \widehat{wB}_n := \varprojlim_{m' > m} \mathcal{I}^m / \mathcal{I}^{m'}. \quad \text{displayed to fit}$$

28
 29
 30
 31 An “expansion” can be re-interpreted as an “isomorphism of \widehat{wB}_n and \mathcal{A}_n^w as filtered
 32 vector spaces”. Always, any two isomorphisms differ by an automorphism of the target
 33 space, and that’s the essence of $I + P$. □

34
 35 **Proposition 2.21** If $Z_{1,2}: wB_n \rightarrow \mathcal{A}_n^w$ are homomorphic expansions that commute
 36 with braid cloning ([Section 2.5.1.2](#)) and with strand insertion ([Section 2.5.1.3](#)), then Paragraph \rightarrow Section
 37 $Z_1 = Z_2$.

38 ²¹Though notice that we use $\xi_i \mapsto e^{x_i}$ whereas [72, Theorem 5.6] uses $\xi_i \mapsto 1 + x_i$. The injectivity
 39 proof of [72] holds in our case just as well. Inserted “of”, moved citation

1 **Sketch of proof** A homomorphic expansion that commutes with strand insertions is
 2 determined by its values on the generators \nearrow, \searrow and \times of wB_2 . Commutativity with
 3 braid cloning (see Section 2.5.1.2) implies that these values must be, up to permuting
 4 the strands, group-like: that is, the exponentials of primitives. But the only primitives
 5 are a_{12} and a_{21} , and one may easily verify that there is only one way to arrange these
 6 so that Z will respect $\times^2 = \nearrow \cdot \searrow = 1$ and $\searrow \mapsto \uparrow +$ (higher degree terms). \square

7
8

9 **2.5.4 The group of non-horizontal flying rings** Let Y_n denote the space of all
 10 placements of n numbered disjoint oriented unlinked geometric circles in \mathbb{R}^3 . Such a
 11 placement is determined by the centres in \mathbb{R}^3 of the circles, the radii, and a unit normal
 12 vector for each circle pointing in the positive direction, so $\dim Y_n = 3n + n + 3n = 7n$.
 13 $S_n \times \mathbb{Z}_2^n$ acts on Y_n by permuting the circles and mapping each circle to its image in
 14 either an orientation-preserving or an orientation-reversing way. Let \tilde{Y}_n denote the
 15 quotient $Y_n / S_n \times \mathbb{Z}_2^n$. The fundamental group $\pi_1(\tilde{Y}_n)$ can be thought of as the “group
 16 of flippable flying rings”. Without loss of generality, we can assume that the basepoint
 17 is chosen to be a horizontal placement. We want to study the relationship of this group
 18 to wB_n .

19

20
 21 **Theorem 2.22** The group $\pi_1(\tilde{Y}_n)$ is a \mathbb{Z}_2^n -extension of wB_n , generated by s_i, σ_i
 22 ($1 \leq i \leq n - 1$), and w_i (“flips”) for $1 \leq i \leq n$, with the relations as above, and in
 23 addition:

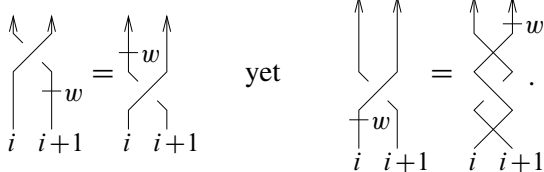
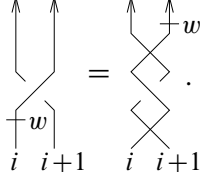
Inserted “The group” (to avoid starting sentence with math)

24 $w_i^2 = 1;$ $w_i w_j = w_j w_i;$ $w_j s_i = s_i w_j$ when $i \neq j, j + 1;$
 25
 26 $w_i s_i = s_i w_{i+1};$ $w_{i+1} s_i = s_i w_i;$ $w_j \sigma_i = \sigma_i w_j$ if $j \neq i, i + 1;$
 27 $w_{i+1} \sigma_i = \sigma_i w_i;$ yet $w_i \sigma_i = s_i \sigma_i^{-1} s_i w_{i+1}.$

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29

30 The two most interesting flip relations in pictures:

31

32
 33
 34 (16)  yet 

37

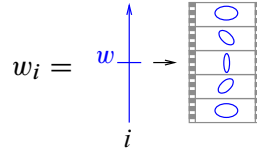
38 Instead of a proof, we provide some heuristics. Since each circle starts out in a horizontal
 39 position and returns to a horizontal position, there is an integer number of “flips” they

39 1/2

1 do in between; these are the generators w_i , as shown below:

on the right → below

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7 The first relation says that a double flip is homotopic to doing nothing. Technically,
8 there are two different directions of flips, and they are the same via this (non-obvious
9 but true) relation. The rest of the first line is obvious: flips of different rings commute,
10 and if two rings fly around each other while another one flips, the order of these events
11 can be switched by homotopy. The second line says that if two rings trade places with
12 no interaction while one flips, then the order of these events can be switched as well.
13 However, we have to re-number the flip to conform to the strand labelling convention.
14

15 The only subtle point is how flips interact with crossings. First of all, if one ring flies
16 through another while a third one flips, the order clearly does not matter. If a ring flies
17 through another and also flips, the order can be switched. However, if ring A flips and
18 then ring B flies through it, this is homotopic to ring B flying through ring A from
19 the other direction and then ring A flipping. In other words, commuting σ_i with w_i
20 changes the “sign of the crossing” in the sense of Exercise 2.7. This gives the last, and
21 the only truly non-commutative flip relation.

20^{1/2}

22 To explain why the flip is denoted by w , let us consider the alternative description by
23 ribbon tubes. A flipping ring traces a so-called wen²² in \mathbb{R}^4 . A wen is a Klein bottle
24 cut along a meridian circle, as shown below. The wen is embedded in \mathbb{R}^4 .

Inserted “below”

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34 Finally, note that $\pi_1 Y_n$ is exactly the pure w -braid group PwB_n : since each ring has to
35 return to its original position and orientation, each does an even number of flips. The
36 flips (or wens) can all be moved to the bottoms of the braid diagram strands (to the
37 bottoms of the tubes, to the beginning of words), at a possible cost, as specified by
38

39^{1/2} ²²The term wen was coined by Kanenobu and Shima in [51]

1 Equation (16). Once together, they pairwise cancel each other. As a result, this group
 2 can be thought of as not containing wens at all.

3 **2.5.5 The relationship with u-braids** For the sake of ignoring strand permutations,
 4 we restrict our attention to pure braids.

5 By Section 2.3.2, for any expansion $Z^u: PuB_n \rightarrow \mathcal{A}_n^u$, where PuB_n is the “usual” braid
 6 group and \mathcal{A}_n^u is the algebra of horizontal chord diagrams on n strands, there is a
 7 square of maps as follows:
 8

shown on the right \rightarrow follows

$$\begin{array}{ccc} PuB & \xrightarrow{Z^u} & \mathcal{A}^u \\ \downarrow a & & \downarrow \alpha \\ PwB & \xrightarrow{Z^w} & \mathcal{A}^w \end{array}$$

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 13 Here Z^w is the expansion constructed in Section 2.4, the left vertical map a is the
 14 composition of the inclusion and projection maps $PuB_n \rightarrow PvB_n \rightarrow PwB_n$. The map α
 15 is the induced map by the functoriality of projectivization, as noted after Exercise 2.13.
 16 The reader can verify that α maps each chord to the sum of its two possible directed
 17 versions.

18 Note that this square is *not* commutative for any choice of Z^u even in degree 2: the
 19 image of a crossing under Z^w is outside the image of α .

20
 21 More specifically, for any choice c of a “parenthesization” of n points, the KZ-
 22 construction/Kontsevich integral (see for example [10]) returns an expansion Z_c^u of
 23 u-braids:

$$\begin{array}{ccc} PuB_n & \xrightarrow{Z_c^u} & \mathcal{A}_n^u \\ \downarrow a & & \downarrow \alpha \\ PwB & \xrightarrow{Z^w} & \mathcal{A}_n^w \end{array}$$

24
 25
 26
 27
 28
 29 We shall see in [16, Proposition 4.15] that for any choice of c , the two compositions
 30 $\alpha \circ Z_c^u$ and $Z^w \circ a$ are “conjugate in a bigger space”: there is a map i from \mathcal{A}^w to a
 31 larger space of “non-horizontal arrow diagrams”, and in this space the images of the
 32 above composites are conjugate. However, we are not certain that i is an injection, and
 33 whether the conjugation leaves the i -image of \mathcal{A}^w invariant, and so we do not know
 34 if the two compositions differ merely by an outer automorphism of \mathcal{A}^w .

35
 36 **3 w-knots**

37
 38 In Section 3.1 we define v-knots and w-knots (long v-knots and long w-knots, to be
 39 precise) and discuss a map $v \rightarrow w$. In Section 3.2 we determine the space of “chord
 39^{1/2}

¹/₂ diagrams” for w -knots to be the space $\mathcal{A}^w(\uparrow)$ of arrow diagrams modulo $\overrightarrow{4T}$ and TC relations, and in Section 4.1 we compute some relevant dimensions. In Section 3.4 we show that $\mathcal{A}^w(\uparrow)$ can be re-interpreted as a space of trivalent graphs modulo STU- and IHX-like relations, and is therefore related to Lie algebras (Section 3.5). This allows us to completely determine $\mathcal{A}^w(\uparrow)$. With no difficulty in Section 3.3 we construct a universal finite-type invariant for w -knots. With a bit of further difficulty we show in Section 3.6 that it is essentially equal to the Alexander polynomial.

Knots are the wrong objects for study in knot theory, v -knots are the wrong objects for study in the theory of v -knotted objects and w -knots are the wrong objects for study in the theory of w -knotted objects. Studying uvw -knots on their own is the parallel of studying cakes, cookies and pastries as they come out of the bakery: we sure want to make them our own, but the theory of desserts is more about the ingredients and how they are put together than about the end products. In algebraic knot theory this reflects through the fact that knots are not finitely generated in any sense (hence, they must be made of some more basic ingredients), and through the fact that there are very few operations defined on knots (connected sums and satellite operations being the main exceptions), and thus, most interesting properties of knots are transcendental, or non-algebraic, when viewed from within the algebra of knots and operations on knots [12].

²⁰/₂ The right objects for study in knot theory, or v -knot theory or w -knot theory, are thus the ingredients that make up knots and that permit a richer algebraic structure. These are braids, studied in the previous section, and even more so tangles and tangled graphs, studied in [16]. Yet tradition has its place and the sweets are tempting, and we can introduce and apply some of the tools we will use in the deeper and healthier study of w -tangles and w -tangled foams in the limited, but tasty, arena of the baked goods of knot theory, the knots themselves.

3.1 v -knots and w -knots

v -knots may be understood either as knots drawn on surfaces modulo the addition or removal of empty handles [59], or as “Gauss diagrams” (see Remark 3.4), or simply “unembedded but wired together” crossings modulo the Reidemeister moves (see [54; 79] and [16, Section 2]). But right now we forgo the topological and the abstract and give only the “planar” (and somewhat less philosophically satisfying) definition of v -knots.

Definition 3.1 A “long v -knot diagram” is an arc smoothly drawn in the plane from $-\infty$ to $+\infty$, with finitely many self-intersections, divided into “virtual crossings” \bowtie ,

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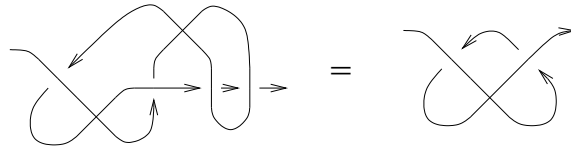


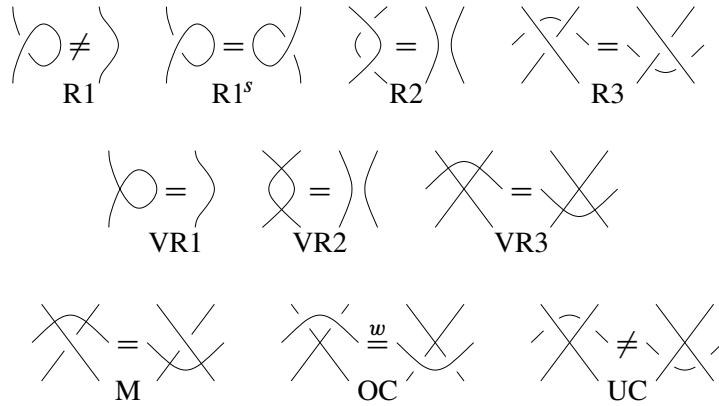
Figure 5: A long v-knot diagram with 2 virtual crossings, 2 positive crossings and 2 negative crossings. A positive-negative pair can easily be cancelled using R2, and then a virtual crossing can be cancelled using VR1, and it seems that the rest cannot be simplified any further.

10 overcrossings \nearrow (aka positive crossings), and undercrossings \searrow (aka negative cross-

ings); and regarded up to planar isotopy.
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11
12 A picture is worth more than a more formal definition, and one appears in Figure 5. A
13 “long v-knot” is an equivalence class of long v-knot diagrams, modulo the equivalence
14 generated by the Reidemeister 1^s, 2 and 3 moves (R1^s, R2 and R3),²³ the virtual
15 Reidemeister 1 through 3 moves (VR1, VR2, VR3), and by the mixed relations (M);
16 all these are shown in Figure 6. Finally, “long w-knots” are obtained from long v-knots
17 by also dividing by the overcrossings commute (OC) relations, also shown in Figure 6.
18 Note that we never mod out by the Reidemeister 1 (R1) move nor by the undercrossings
19 commute relation (UC).

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reordered to fit

Figure 6: The relations defining v-knots and w-knots, along with two relations that are *not* imposed.

35
36 **Definition and warning 3.2** A “circular v-knot” is like a long v-knot, except that it
37 is parametrized by a circle rather than by a long line. Unlike the case of usual knots,
38 circular v-knots are **not** equivalent to long v-knots [54]. The same applies to w-knots.

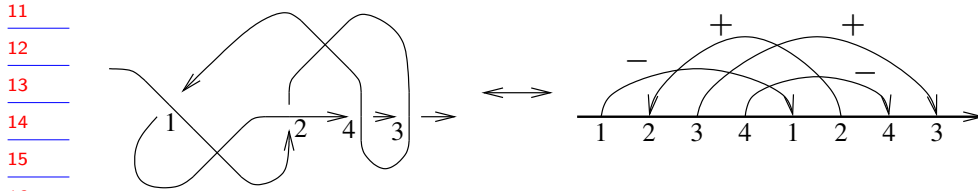
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39 ²³ R1^s is the “spun” version of R1: kinks can be spun around, but not removed outright. See Figure 6.

39^{1/2}

¹/₂ **Definition and warning 3.3** Long v -knots form a monoid using the concatenation operation $\#$. Unlike the case of usual knots, the resulting monoid is **not** abelian [54]. The same applies to w -knots.

Remark 3.4 A “Gauss diagram” is a straight “skeleton line” along with signed directed chords (signed “arrows”) marked along it (more in [54; 42]). Gauss diagrams are in obvious bijection with long v -knot diagrams; the skeleton line of a Gauss diagram corresponds to the parameter space of the v -knot, and the arrows correspond to the crossings, with each arrow heading from the upper strand to the lower strand, marked by the sign of the relevant crossing:



One may also describe the relations in Figure 6 as well as circular v -knots and other types of v -knots (as we will encounter later) in terms of Gauss diagrams with varying skeletons.

²⁰/₂ **Remark 3.5** Since we do not mod out by $R1$, it is perhaps more appropriate to call our class of v/w -knots “framed long v/w -knots”, but since we care more about framed v/w -knots than about unframed ones, we reserve the unqualified name for the framed case, and when we do wish to mod out by $R1$ we will explicitly write “unframed long v/w -knots”.

Recall that in the case of “usual knots”, or u -knots, dropping the $R1$ relation altogether also results in a \mathbb{Z}^2 -extension of unframed knot theory, where the two factors of \mathbb{Z} are framing and rotation number. If one wants to talk about “true” framed knots, one mods out by the spun Reidemeister 1 relation ($R1^s$ of Figure 6), which preserves the blackboard framing but does not preserve the rotation number. We take the analogous approach here, including the $R1^s$ relation — but not $R1$ — in the v and w cases.

This said, note that the monoid of long v -knots is just a central extension by \mathbb{Z} of the monoid of unframed long v -knots, and so studying the framed case is not very different from studying the unframed case. Indeed the four “kinks” of Figure 7 generate a central \mathbb{Z} within long v -knots, and it is not hard to show that the sequence

$$(17) \quad 1 \longrightarrow \mathbb{Z} \longrightarrow \{\text{long } v\text{-knots}\} \longrightarrow \{\text{unframed long } v\text{-knots}\} \longrightarrow 1$$

³⁹/₂ is split and exact. The same can be said for w -knots.

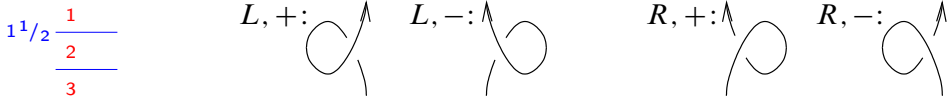


Figure 7: The positive and negative under-then-over kinks (left), and the positive and negative over-then-under kinks (right). In each pair the negative kink is the #–inverse of the positive kink, where # denotes the concatenation operation.

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Exercise 3.6 Show that a splitting of the sequence (17) is given by the “self-linking” invariant $sl: \{\text{long v-knots}\} \rightarrow \mathbb{Z}$ defined by

$$sl(K) := \sum_{\substack{\text{crossings} \\ x \text{ in } K}} \text{sign } x,$$

where K is a v-knot diagram, and the sign of a crossing x is defined so as to agree with the signs in Figure 7.

Remark 3.7 Note that w-knots are strictly weaker than v-knots. A notorious example is the Kishino knot (see eg [36]) which is non-trivial as a v-knot, yet both it and its mirror are trivial as w-knots. Yet ordinary knots inject even into w-knots, as the Wirtinger presentation makes sense for w-knots and therefore w-knots have a “fundamental quandle” which generalizes the fundamental quandle of ordinary knots [54], and as the fundamental quandle of ordinary knots separates ordinary knots [50, Corollary 16.3].

Inserted “see”

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3.1.1 A topological construction of Satoh’s tubing map Following Satoh [80] and using the same constructions as in Section 2.2.2, we can map w-knots to (“long”) ribbon tubes in \mathbb{R}^4 (and the relations in Figure 6 still hold). It is natural to expect that this “tubing” map is an isomorphism; in other words, that the theory of w-knots provides a “Reidemeister framework” for long ribbon tubes in \mathbb{R}^4 : that every long ribbon tube is in the image of this map and that two “w-knot diagrams” represent the same long ribbon tube iff they differ by a sequence of moves as in Figure 6. This remains unproven.

Let $\delta: \{\text{v-knots}\} \rightarrow \{\text{Ribbon tori in } \mathbb{R}^4\}$ denote the tubing map. In Satoh [80], δ is called “Tube”. It is worthwhile giving a completely “topological” definition of δ . To do this we must start with a topological interpretation of v-knots.

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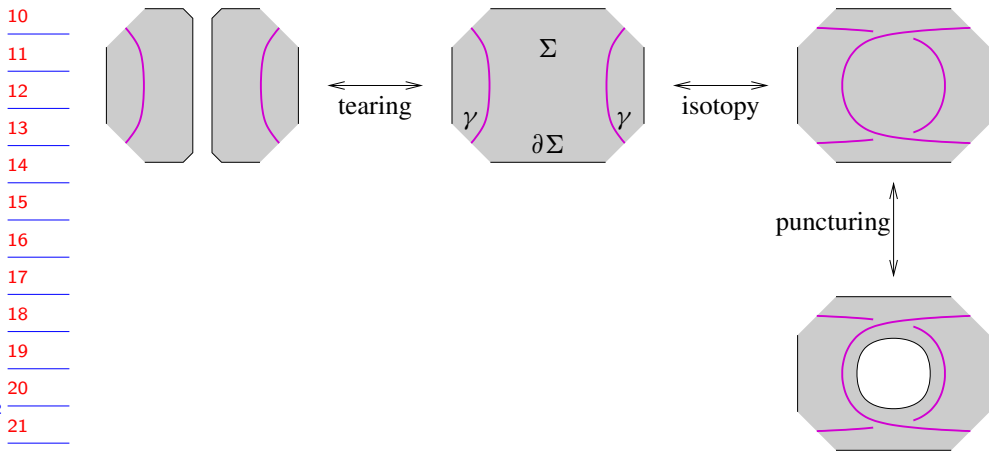
The standard topological interpretation of v-knots (see eg [59]) is that they are oriented framed knots drawn²⁴ on an oriented surface Σ , modulo “stabilization”, which is the

39^{1/2}

²⁴Here and below, “drawn on Σ ” means “embedded in $\Sigma \times [-\epsilon, \epsilon]$ ”.

1 addition and/or removal of empty handles (handles that do not intersect with the knot).
 2 We prefer an equivalent, yet even more bare-bones approach. For us, a virtual knot is
 3 an oriented framed knot γ drawn on a “virtual surface Σ for γ ”. More precisely, Σ is
 4 an oriented surface that may have a boundary, γ is drawn on Σ , and the pair (Σ, γ) is
 5 taken modulo the following relations:

- 6
- 7 • Isotopies of γ on Σ (meaning, in $\Sigma \times [-\epsilon, \epsilon]$).
- 8 • Tearing and puncturing parts of Σ away from γ :
- 9



edited figure to fit

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23 (We call Σ a “virtual surface” because tearing and puncturing imply that we only care
 24 about it in the immediate vicinity of γ).

25 We can now define²⁵ a map δ , defined on v-knots and taking values in ribbon tori
 26 in \mathbb{R}^4 . Given (Σ, γ) , embed Σ arbitrarily in $\mathbb{R}^3_{xzt} \subset \mathbb{R}^4$. Note that the unit normal
 27 bundle of Σ in \mathbb{R}^4 is a trivial circle bundle and it has a distinguished trivialization,
 28 constructed using its positive y -direction section and the orientation that gives each
 29 fibre a linking number $+1$ with the base Σ . We say that a normal vector to Σ in \mathbb{R}^4
 30 is “near unit” if its norm is between $1 - \epsilon$ and $1 + \epsilon$. The near-unit normal bundle
 31 of Σ has as fibre an annulus that can be identified with $[-\epsilon, \epsilon] \times S^1$ (identifying the
 32 radial direction $[1 - \epsilon, 1 + \epsilon]$ with $[-\epsilon, \epsilon]$ in an orientation-preserving manner), and
 33 hence, the near-unit normal bundle of Σ defines an embedding of $\Sigma \times [-\epsilon, \epsilon] \times S^1$
 34 into \mathbb{R}^4 . On the other hand, γ is embedded in $\Sigma \times [-\epsilon, \epsilon]$ so $\gamma \times S^1$ is embedded in
 35 $\Sigma \times [-\epsilon, \epsilon] \times S^1$, and we can let $\delta(\gamma)$ be the composition

$$\gamma \times S^1 \hookrightarrow \Sigma \times [-\epsilon, \epsilon] \times S^1 \hookrightarrow \mathbb{R}^4,$$

39^{1/2} ²⁵Following a private discussion with Dylan Thurston.

1 which is a torus in \mathbb{R}^4 , oriented using the given orientation of γ and the standard
 2 orientation of S^1 .

3 A framing of a knot (or a v-knot) γ can be thought of as a “nearby companion” to γ .
 4 Applying the above procedure to a knot and a nearby companion simultaneously, we
 5 find that δ takes framed v-knots to framed ribbon tori in \mathbb{R}^4 , where a framing of a
 6 tube in \mathbb{R}^4 is a continuous up-to-homotopy choice of unit normal vector at every point
 7 of the tube. Note that from the perspective of flying rings as in Section 2.2.1, a framing
 8 is a “companion ring” to a flying ring. In the framing of $\delta(\gamma)$ the companion ring is
 9 never linked with the main ring, but can fly parallel inside, outside, above or below it
 10 and change these positions, as shown in Figure 8.



Figure 8: Framing as companion rings.

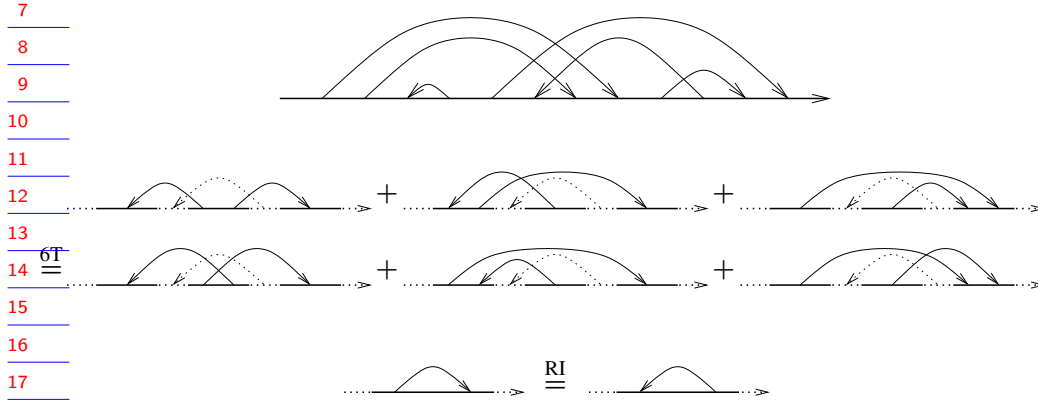
17 We leave it to the reader to verify that $\delta(\gamma)$ is ribbon, that it is independent of the
 18 choices made within its construction, that it is invariant under isotopies of γ and under
 19 tearing and puncturing of Σ , that it is also invariant under the OC relation of Figure 6
 20 and hence, the true domain of δ is w-knots, and that it is equivalent to Satoh’s tubing
 21 map.

23 3.2 Finite type invariants of v-knots and w-knots

25 Much as for v-braids and w-braids (see Section 2.3) and much as for ordinary knots (see
 26 eg [6]) we define finite-type invariants for v-knots and for w-knots using an alternation
 27 scheme with $\bowtie \rightarrow \nearrow - \searrow$ and $\bowtie \rightarrow \swarrow - \nwarrow$. That is, given any invariant of v- or
 28 w-knots taking values in an abelian group, we extend the invariant to v- or w-knots
 29 also containing “semi-virtual crossings” like \bowtie and \bowtie using the above assignments,
 30 and we declare an invariant to be “of type m ” if it vanishes on v- or w-knots with more
 31 than m semi-virtuals. As for v- and w-braids and as for ordinary knots, such invariants
 32 have an “ m^{th} derivative”, their “weight system”, which is a linear functional on the
 33 space $\mathcal{A}^{sv}(\uparrow)$ (for v-knots) or $\mathcal{A}^{sw}(\uparrow)$ (for w-knots). We turn to the definitions of
 34 these spaces, following [42; 20].

36 **Definition 3.8** An “arrow diagram” is a chord diagram along a long line (called “the
 37 skeleton”), in which the chords are oriented (hence “arrows”). An example is given in
 38 Figure 9. Let $\mathcal{D}^v(\uparrow)$ be the space of formal linear combinations of arrow diagrams.
 39 Let $\mathcal{A}^v(\uparrow)$ be $\mathcal{D}^v(\uparrow)$ modulo all “6T relations”. Here a 6T relation is any (signed)

1 combination of arrow diagrams obtained from the diagrams in Figure 3 by placing the 3
 2 vertical strands there along a long line skeleton in any order, and possibly adding some
 3 further arrows in between, as shown in Figure 9. Let $\mathcal{A}^{sv}(\uparrow)$ be the further quotient of
 4 $\mathcal{A}^v(\uparrow)$ by the RI relation, where the RI (for rotation number independence) relation
 5 asserts that an isolated arrow pointing to the right equals an isolated arrow pointing to
 6 the left,²⁶ as shown in Figure 9.



resized figure to fit

Figure 9: An arrow diagram of degree 6, a 6T relation, and an RI relation. The dotted parts indicate that there may be more arrows on other parts of the skeleton, however these remain the same throughout the relation.

20^{1/2} Let $\mathcal{A}^w(\uparrow)$ be the further quotient of $\mathcal{A}^v(\uparrow)$ by the TC relation, first displayed in
 22 Figure 4 and reproduced for the case of a long line skeleton in Figure 10. Likewise,
 23 let $\mathcal{A}^{sw}(\uparrow) := \mathcal{A}^{sv}(\uparrow) / \text{TC} = \mathcal{A}^w(\uparrow) / \text{RI}$. Alternatively, noting that given TC two of
 24 the terms in 6T drop out, $\mathcal{A}^w(\uparrow)$ is seen to be the space of formal linear combinations
 25 of arrow diagrams modulo the TC and $\overrightarrow{4T}$ relations, displayed in Figures 4 and 10.
 26 Likewise, $\mathcal{A}^{sw} = \mathcal{D}^v / \text{TC}, \overrightarrow{4T}, \text{RI}$. Finally, grade $\mathcal{D}^v(\uparrow)$ and all of its quotients by
 27 declaring that the degree of an arrow diagram is the number of arrows in it.

Inserted "seen to be" for line spacing; inserted "the"

28 As an example, the spaces $\mathcal{A}^{v,sv,w,sw}(\uparrow)$ (that is, any of the spaces above) restricted
 29 to degrees up to 2 are studied in detail in Section 4.3.

30 In the same manner as in the theory of finite-type invariants of ordinary knots (see
 31 especially [6, Section 3]), the spaces $\mathcal{A}^*(\uparrow)$ (meaning, all of the spaces above) carry
 32 much algebraic structure. The juxtaposition product makes them into graded algebras.
 33 The product of two finite-type invariants is a finite-type invariant (whose type is the sum
 34 of the types of the factors); this induces a product on weight systems, and therefore a
 35 co-product Δ on arrow diagrams. In brief (and much the same as in the usual finite-type
 36

39^{1/2} ²⁶ The XII relation of [20] follows from RI and need not be imposed.

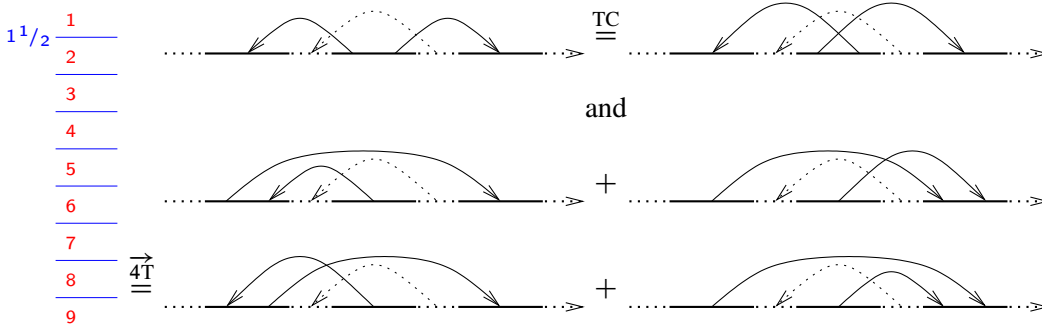


Figure 10: The TC and the $\overrightarrow{4T}$ relations for knots.

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story), the co-product ΔD of an arrow diagram D is the sum of all ways of dividing the arrows in D between a “left co-factor” and a “right co-factor”. In summary:

Proposition 3.9 $\mathcal{A}^v(\uparrow)$, $\mathcal{A}^{sv}(\uparrow)$, $\mathcal{A}^w(\uparrow)$, and $\mathcal{A}^{sw}(\uparrow)$ are co-commutative graded bialgebras.

bi-algebras \rightarrow bialgebras (for uniformity)

By the Milnor–Moore theorem [74, Theorem 6.11] we find that $\mathcal{A}^{v,sv,w,sw}(\uparrow)$ are the universal enveloping algebras of their Lie algebras of primitive elements (that is, elements D such that $\Delta(D) = 1 \otimes D + D \otimes 1$). Denote these (graded) Lie algebras by $\mathcal{P}^{v,sv,w,sw}(\uparrow)$, respectively.

When we grow up we’d like to understand $\mathcal{A}^v(\uparrow)$ and $\mathcal{A}^{sv}(\uparrow)$. At the moment we know only very little about these spaces beyond the generalities of Proposition 3.9. In Section 4.1 some dimensions of low degree parts of $\mathcal{A}^{v,sv}(\uparrow)$ are discussed. Also, given a finite-dimensional Lie bialgebra and a finite-dimensional representation thereof, we know how to construct linear functionals on $\mathcal{A}^v(\uparrow)$ (one in each degree [49; 69]), but not on $\mathcal{A}^{sv}(\uparrow)$. But we don’t even know which degree m linear functionals on $\mathcal{A}^{sv}(\uparrow)$ are the weight systems of degree m invariants of v -knots (that is, we have not solved the “Fundamental Problem” [23] for v -knots).

As we shall see below, the situation is much brighter for $\mathcal{A}^{w,sw}(\uparrow)$.

3.3 Expansions for w-knots

The notion of “an expansion” (or “a universal finite-type invariant”) for w -knots (or v -knots) is defined in complete analogy with the parallel notion for usual knots (see eg [6]), except replacing double points \bowtie with semi-virtual crossings \bowtie and \bowtie , and replacing chord diagrams by arrow diagrams. Alternatively, it is the same as an expansion for w -braids (as in Definition 2.11), simply replacing w -braids by w -knots.

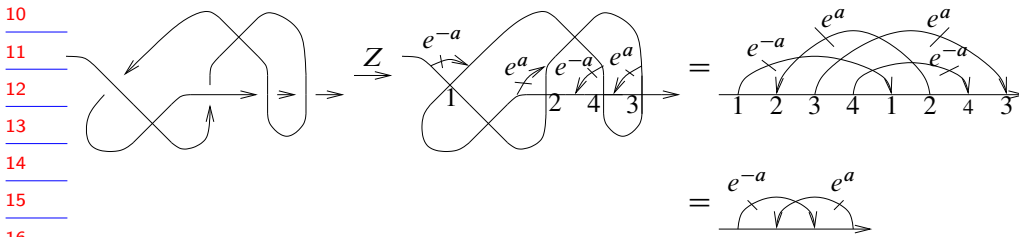
1 Just as in the cases of u-knots (ie ordinary knots) and/or w-braids, the existence of an
 2 expansion $Z: \{\text{w-knots}\} \rightarrow \mathcal{A}^{sw}(\uparrow)$ is equivalent to the statement “every weight system
 3 integrates”, ie “every degree m linear functional on $\mathcal{A}^{sw}(\uparrow)$ is the m^{th} derivative of a
 4 type m invariant of long w-knots”.

5

6 **Theorem 3.10** *There exists an expansion $Z: \{\text{w-knots}\} \rightarrow \mathcal{A}^{sw}(\uparrow)$.*

7

8 **Proof** It is best to define Z by an example, and it is best to display the example only
 9 as a picture:



edited figure to fit

17 It is clear how to define $Z(K)$ in the general case: for every crossing in K place an
 18 exponential reservoir of arrows (compare with Equation (15)) next to that crossing, with
 19 the arrows heading from the upper strand to the lower strand, taking positive reservoirs
 20 (e^a , with a symbolizing the arrow) for positive crossings and negative reservoirs (e^{-a})
 21 for negative crossings, and then tug the skeleton until it looks like a straight line. Note
 22 that the TC relation in \mathcal{A}^{sw} is used to show that all reasonable ways of placing an
 23 arrow reservoir at a crossing (with its heading and sign fixed) are equivalent:

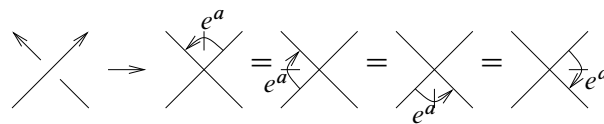
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29 The same proof that shows the invariance of Z in the braid case (see Theorem 2.15)
 30 works here as well,²⁷ and the same argument as in the braid case shows the universality
 31 of Z . □

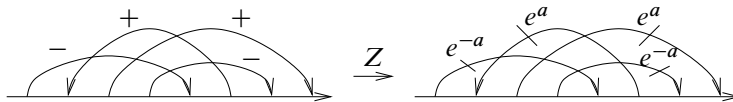
32 **Remark 3.11** Using the language of Gauss diagrams (Remark 3.4) the definition of
 33 Z is even simpler. Simply map every positive arrow in a Gauss diagram to a positive
 34 (e^a) reservoir, and every negative one to a negative (e^{-a}) reservoir:

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39^{1/2}

²⁷A tiny bit of extra care is required for invariance under RI^s : it easily follows from RI .

^{1 1/2} 1 An expansion (a universal finite-type invariant) is as interesting as its target space, for
2 it is just a tool that takes linear functionals on the target space to finite-type invariants
3 on its domain space. The purpose of the next section is to find out how interesting our
4 present target space, $\mathcal{A}^w(\uparrow)$, and its “parent”, $\mathcal{A}^w(\uparrow)$, are.

moved “are” in sentence

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6 **3.4 Jacobi diagrams, trees and wheels**

7

8 In studying $\mathcal{A}^w(\uparrow)$ we again follow the model set by usual knots: we introduce the space
9 \mathcal{A}^{wt} of “w-Jacobi diagrams” and show that it is isomorphic to \mathcal{A}^w . Major advantages
10 of working with \mathcal{A}^{wt} are that the co-product, the primitives, and the relationship with
11 Lie algebras are much more natural and easy to describe. Compare the following
12 definitions and theorem with [6, Section 3].

13

14 **Definition 3.12** A “w-Jacobi diagram on a long line skeleton”²⁸ is a connected graph
15 made of the following ingredients:

16

17 • A “long” oriented “skeleton” line. We usually draw the skeleton line a bit thicker
18 for emphasis.

19 • Other directed edges, usually called “arrows”.

^{20 1/2} 20 • Trivalent “skeleton vertices” in which an arrow starts or ends on the skeleton
21 line.

22

23 • Trivalent “internal vertices” in which *two arrows end and one arrow begins* (this
24 will be important in Section 3.5 where we relate these diagrams to Lie algebras).
25 The internal vertices are “oriented”: of the two arrows that end in an internal
26 vertices, one is marked as “left” and the other is marked as “right”. In reality
27 when a diagram is drawn in the plane, we almost never mark “left” and “right”,
28 but instead assume the “left” and “right” inherited from the plane, as seen from
29 the outgoing arrow from the given vertex.

30

31 Note that we allow multiple arrows connecting the same two vertices (though at most
32 two are possible, given connectedness and trivalence) and we allow “bubbles”: arrows
33 that begin and end in the same vertex. Also keep in mind that for the purpose of
34 determining equality of diagrams the skeleton line is distinguished. The “degree” of a
35 w-Jacobi diagram is half the number of trivalent vertices in it, including both internal
36 and skeleton vertices. An example of a w-Jacobi diagram is in Figure 11.

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38 ²⁸What a mouthful! We usually short this to “w-Jacobi diagram”, or sometimes “arrow diagram” or
39 1/2 just “diagram”.

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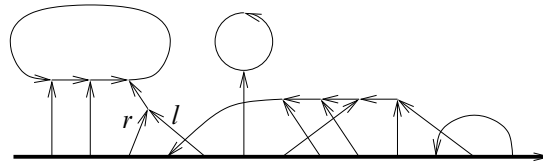
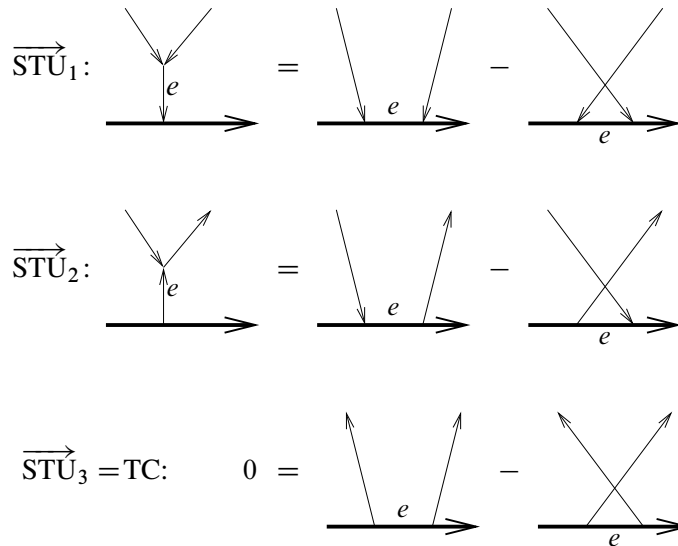


Figure 11: A degree 11 w -Jacobi diagram on a long line skeleton. It has a skeleton line at the bottom, 13 vertices along the skeleton (of which 2 are incoming and 11 are outgoing), 9 internal vertices (with only one explicitly marked with “left” (l) and “right” (r)) and one bubble. The five quadrivalent vertices that seem to appear in the diagram are just projection artifacts and graph-theoretically, they don’t exist.

Definition 3.13 Let $\mathcal{D}^{wt}(\uparrow)$ be the graded vector space of formal linear combinations²⁹ of w -Jacobi diagrams on a long line skeleton, and let $\mathcal{A}^{wt}(\uparrow)$ be $\mathcal{D}^{wt}(\uparrow)$ modulo the $\overrightarrow{\text{STU}}_1$, $\overrightarrow{\text{STU}}_2$, and TC relations of Figure 12. Note that each diagram appearing in each $\overrightarrow{\text{STU}}$ relation has a “central edge” e which can serve as an “identifying name” for that $\overrightarrow{\text{STU}}$. Thus, given a diagram D with a marked edge e which is either on the skeleton or which contacts the skeleton, there is an unambiguous $\overrightarrow{\text{STU}}$ relation “around” or “along” the edge e .

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edited figure to fit

Figure 12: The $\overrightarrow{\text{STU}}_{1,2}$ and TC relations with their “central edges” marked e .

²⁹ \mathbb{Q} -linear, or any other field of characteristic 0.

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1 We like to call the following theorem “the bracket-rise theorem”, for it justifies the
 2 introduction of internal vertices, and as should be clear from the $\overrightarrow{\text{STU}}$ relations and as
 3 will become even clearer in Section 3.5, internal vertices can be viewed as “brackets”.
 4 Two other bracket-rise theorems are [6, Theorem 6] and Ohtsuki’s theorem, ie [77,
 5 Theorem 4.9].

6

7 **Theorem 3.14** (Bracket-rise) *The obvious inclusion $\iota: \mathcal{D}^v(\uparrow) \rightarrow \mathcal{D}^{wt}(\uparrow)$ of arrow
 8 diagrams (see Definition 3.8) into w-Jacobi diagrams descends to the quotient $\mathcal{A}^w(\uparrow)$
 9 and induces an isomorphism³⁰*

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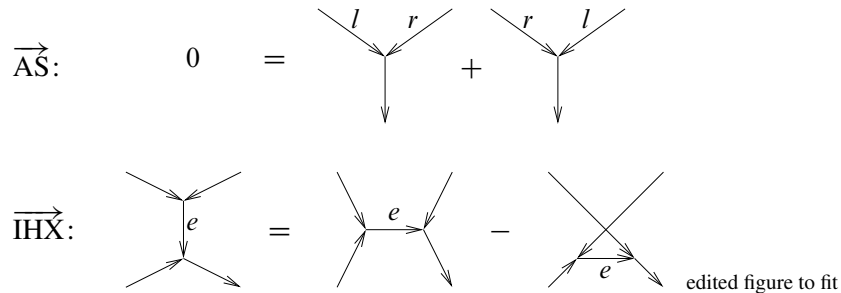
$$\bar{\iota}: \mathcal{A}^w(\uparrow) \xrightarrow{\sim} \mathcal{A}^{wt}(\uparrow).$$

11

12 Furthermore, the $\overrightarrow{\text{AS}}$ and $\overrightarrow{\text{IHX}}$ relations of Figure 13 hold in $\mathcal{A}^{wt}(\uparrow)$.

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Figure 13: The $\overrightarrow{\text{AS}}$ and $\overrightarrow{\text{IHX}}$ relations.

24

25 **Proof** The proof, joint with D Thurston, is modelled after the proof of [6, Theorem 6].
 26 To show that ι descends to $\mathcal{A}^w(\uparrow)$ we just need to show that in $\mathcal{A}^{wt}(\uparrow)$, $\overrightarrow{4\bar{T}}$ follows
 27 from $\overrightarrow{\text{STU}}_{1,2}$. Indeed, applying $\overrightarrow{\text{STU}}_1$ along the edge e_1 and $\overrightarrow{\text{STU}}_2$ along e_2 in the
 28 picture below, we get the two sides of $\overrightarrow{4\bar{T}}$:

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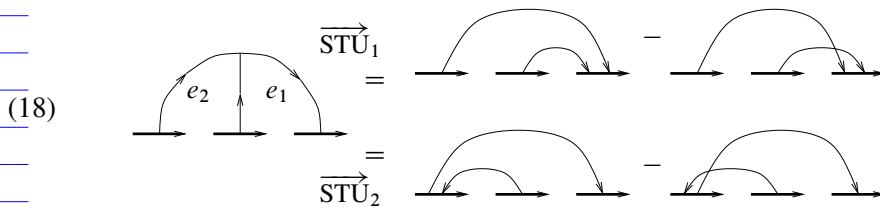
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36 The fact that $\bar{\iota}$ is surjective is easy: indeed, for diagrams in $\mathcal{A}^{wt}(\uparrow)$ that have no
 37 internal vertices there is nothing to show, for they are really in $\mathcal{A}^w(\uparrow)$. Further, by

38 ³⁰At this point a vector space isomorphism, but we’ll soon define a bialgebra structure on \mathcal{A}^{wt} to
 39 make it into an isomorphism of bialgebras.

39^{1/2}

1 repeated use of $\overrightarrow{STU}_{1,2}$ relations, all internal vertices in any diagram in $\mathcal{A}^{wt}(\uparrow)$ can
 2 be removed (remember that the diagrams in $\mathcal{A}^{wt}(\uparrow)$ are always connected, and in
 3 particular, if they have an internal vertex they must have an internal vertex connected
 4 by an edge to the long line skeleton, and the latter vertex can be removed first).

5
 6 To complete the proof that \bar{t} is an isomorphism it is enough to show that the “elimination
 7 of internal vertices” procedure of the last paragraph is well-defined: that its output is
 8 independent of the order in which $\overrightarrow{STU}_{1,2}$ relations are applied in order to eliminate
 9 internal vertices. Indeed, this done, the elimination map would by definition satisfy the
 10 $\overrightarrow{STU}_{1,2}$ relations, and thus descend to a well-defined inverse for \bar{t} .

11 On diagrams with just one internal vertex, Equation (18) shows that all ways of elimi-
 12 nating that vertex are equivalent modulo $\overrightarrow{4T}$ relations, and hence, the elimination map
 13 is well-defined on such diagrams.

14
 15 We proceed by induction on the number of internal vertices. We have shown that \bar{t} is
 16 well defined if there is only one internal vertex. Now assume that we have shown that
 17 the elimination map is well defined on all diagrams with at most k internal vertices for
 18 some positive integer $k \geq 1$, and let D be a diagram with $(k + 1)$ internal vertices.

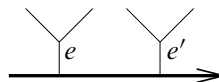
moved “positive integer”

19 Let e and e' be edges in D that connect the skeleton of D to an internal vertex. We
 20 need to show that any elimination process that begins with eliminating e yields the
 21 same answer, modulo $\overrightarrow{4T}$, as any elimination process that begins with eliminating e' .
 22 There are several cases to consider.

20^{1/2}

23 **Case I** The edges e and e' connect the skeleton to *different* internal vertices of D :

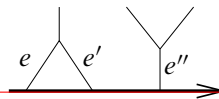
Inserted “The edges” (to avoid sentence starting with math)



24
 25
 26
 27
 28 In this case, after eliminating e we get a signed sum of two diagrams with exactly 7
 29 internal vertices, and since the elimination process is well-defined on such diagrams,
 30 we may as well continue by eliminating e' in each of those, getting a signed sum of 4
 31 diagrams with 6 internal vertices each. On the other hand, if we start by eliminating e'
 32 we can continue by eliminating e , and we get the *same* signed sum of 4 diagrams with
 33 6 internal vertices.

34
 35 **Case II** The edges e and e' are connected to the same internal vertex v of D , yet
 36 some other edge e'' exists in D that connects the skeleton of D to some other internal
 37 vertex v' in D :

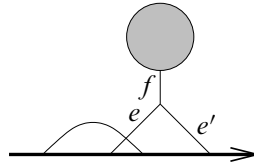
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39^{1/2}

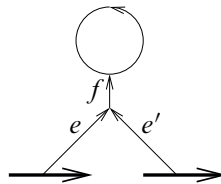
1 In that case, use the previous case and the transitivity of equality: (elimination starting
 2 with e) = (elimination starting with e'') = (elimination starting with e').

3
 4 **Case III** This is what remains if neither Case I nor Case II hold. In that case, D must
 5 have a schematic form as below, with the “blob” not connected to the skeleton other on the right → below
 6 than via e or e' , yet further arrows may exist outside of the blob:



7
 8
 9
 10
 11
 12 Let f denote the edge connecting the blob to e and e' . The “two in one out” rule for
 13 vertices implies that any part of a diagram must have an excess of incoming edges over
 14 outgoing edges, equal to the total number of vertices in that diagram part. Applying
 15 this principle to the blob, we find that it must contain exactly one vertex, as shown
 16 below. Then by the “two in one out” rule f must be oriented upwards, and hence, by Deleted “on the right”
 17 the “two in one out” rule again, e and e' must be oriented upwards as well.

18
 19 We leave it to the reader to verify that in this case the two ways of applying the
 20 elimination procedure, e and then f or e' and then f , yield the same answer modulo
 21 $4\mathbb{T}$ (in fact, that answer is 0):

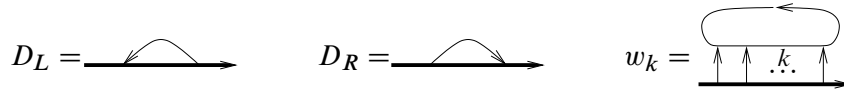


22
 23
 24
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 26
 27
 28 We also leave it to the reader to verify that \overrightarrow{STU}_1 implies \overrightarrow{AS} and $\overrightarrow{IH\bar{X}}$. In Section 3.5
 29 we’ll describe the relationship between \mathcal{A}^{wt} and Lie algebras. Algebraically, the
 30 relations \overrightarrow{STU}_1 , \overrightarrow{AS} and $\overrightarrow{IH\bar{X}}$ are restatements of the anti-symmetry of the bracket
 31 and of Jacobi’s identity: if $[x, y] := xy - yx$, then $0 = [x, y] + [y, x]$ and $[x, [y, z]] =$
 32 $[[x, y], z] - [[x, z], y]$. □

33
 34
 35 Note that $\mathcal{A}^{wt}(\uparrow)$ inherits algebraic structure from $\mathcal{A}^w(\uparrow)$: it is an algebra by con-
 36 catenation of diagrams, and a co-algebra with $\Delta(D)$, for $D \in \mathcal{D}^{wt}(\uparrow)$, being the sum
 37 of all ways of dividing D between a “left co-factor” and a “right co-factor” so that
 38 connected components of $D - S$ are kept intact, where S is the skeleton line of D
 39 (compare with [6, Definition 3.7]).

1 As $\mathcal{A}^w(\uparrow)$ and $\mathcal{A}^{wt}(\uparrow)$ are canonically isomorphic, from this point on we will not
 2 keep the distinction between the two spaces. One may add the RI relation to the
 3 definition of $\mathcal{A}^{wt}(\uparrow)$ to get a space $\mathcal{A}^{swt}(\uparrow)$. For an unframed version one may add
 4 the stronger framing independence (FI) relation, setting $D_L = D_R = 0$, with D_L and
 5 D_R the single arrows as in Figure 14. The resulting space is called $\mathcal{A}^{rwt}(\uparrow)$. The
 6 statement and proof of the bracket rise theorem adapt with no difficulty, and we find
 7 that $\mathcal{A}^{sw}(\uparrow) \cong \mathcal{A}^{swt}(\uparrow)$ and $\mathcal{A}^{rw}(\uparrow) \cong \mathcal{A}^{rwt}(\uparrow)$. In the future we'll drop the t from
 8 all superscripts.

9 The advantages of allowing internal trivalent vertices are already apparent (for example,
 10 note that there is a nice description of primitive elements: they are the arrow diagrams
 11 which remain connected if the skeleton is removed). Further advantages will emerge in
 12 Section 3.5.



13
 14
 15
 16
 17 Figure 14: The left-arrow diagram D_L , the right-arrow diagram D_R and the
 18 k -wheel w_k .
 19

20 **Theorem 3.15** *The bialgebra $\mathcal{A}^w(\uparrow)$ is the bialgebra of polynomials in the diagrams*
 21 *D_L , D_R and w_k (for $k \geq 1$) shown in Figure 14, where $\deg D_L = \deg D_R = 1$*
 22 *and $\deg w_k = k$, subject to the one relation $w_1 = D_L - D_R$. Thus, $\mathcal{A}^w(\uparrow)$ has two*
 23 *generators in degree 1 and one generator in every degree greater than 1, as stated in*
 24 *Section 4.1.*

25 **Sketch of proof** Readers familiar with the diagrammatic PBW theorem [6, Theorem 8]
 26 will note that it has a direct analogue for the $\mathcal{A}^w(\uparrow)$ case, and that the proof in [6]
 27 carries through almost verbatim. Namely, the space $\mathcal{A}^w(\uparrow)$ is isomorphic to a space
 28 \mathcal{B}^w of “unitrivalent diagrams” with symmetrized univalent ends modulo $\overrightarrow{\text{AS}}$ and $\overrightarrow{\text{IH\ddot{X}}}$.
 29 Given the “two in one out” rule for arrow diagrams in $\mathcal{A}^w(\uparrow)$ (and hence, in \mathcal{B}^w) the
 30 connected components of diagrams in \mathcal{B}^w can only be “trees” or “wheels”. A tree is a
 31 unitrivalent diagram with no cycles (oriented or not). A wheel is a single oriented cycle
 32 with some number of incoming “spokes” (see w_k in Figure 14 and remove the skeleton
 33 line). The reader might object that there are also “wheels of trees” — trees attached to
 34 an oriented cycle — but these can be reduced to linear combinations of wheels using
 35 the $\overrightarrow{\text{IH\ddot{X}}}$ relation.
 36

37 Trees vanish if they have more than one leaf, as their leaves are symmetric while their
 38 internal vertices are anti-symmetric, so \mathcal{B}^w is generated by wheels and by the one-leaf-
 39 one-root tree, which is simply a single arrow. Wheels map to the w_k in $\mathcal{A}^w(\uparrow)$ under Deleted 's

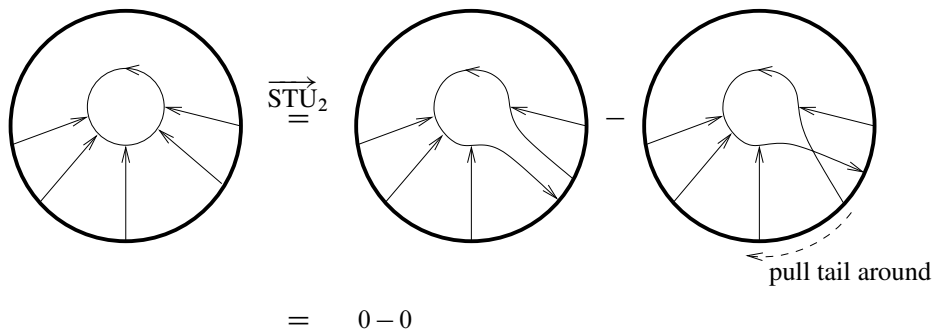
¹/₂ the isomorphism, and the arrow maps to the average of D_L and D_R . The relation
² $w_1 = D_L - D_R$ is then easily verified using \overrightarrow{STU}_2 .

³ One may also argue directly, without using \mathcal{B}^w . In short, let D be a diagram in $\mathcal{A}^w(\uparrow)$
⁴ and S is its skeleton. Then $D - S$ may have several connected components, whose
⁵ “legs” are intermingled along S . Using the \overrightarrow{STU} relations these legs can be sorted (at
⁶ a cost of diagrams with fewer connected components, which could have been treated
⁷ earlier in an inductive proof). At the end of the sorting procedure one can see that
⁸ the only diagrams that remain are our declared generators. It remains to show that
⁹ our generators are linearly independent (apart from the relation $w_1 = D_L - D_R$).
¹⁰ For the generators in degree 1, simply write everything out explicitly in the spirit of
¹¹ Section 4.3.2. In higher degrees there is only one primitive diagram in each degree, so
¹² it is enough to show that $w_k \neq 0$ for every k . This can be done “by hand”, but it is
¹³ more easily done using Lie algebraic tools in Section 3.5. □

¹⁵ **Exercise 3.16** Show that the bialgebra $\mathcal{A}^w(\uparrow)$ (see Section 4.1) is the bialgebra of
¹⁶ polynomials in the wheel diagrams w_k for $k \geq 2$, and that $\mathcal{A}^{sw}(\uparrow)$ is the bialgebra of
¹⁷ polynomials in the same wheel diagrams and an additional generator $D_A := D_L = D_R$.
¹⁸ ($k \geq 2$) \rightarrow for $k \geq 2$

²⁰ **Proposition 3.17** In $\mathcal{A}^w(\bigcirc)$ all wheels vanish, and hence the bialgebra $\mathcal{A}^w(\bigcirc)$ is
²¹ the bialgebra of polynomials in a single variable $D_L = D_R$.

²³ **Proof** This is [75, Lemma 2.7]. In short, a wheel in $\mathcal{A}^w(\bigcirc)$ can be reduced using
²⁴ \overrightarrow{STU}_2 to a difference of trees, as shown in Figure 15. One of these trees has two
²⁵ adjoining leafs, hence it is 0 by TC and \overrightarrow{AS} . In the other, two of the leafs can be
²⁶ commuted “around the circle” using TC until they are adjoining and hence vanish by
²⁷ TC and \overrightarrow{AS} . Deleted “and” (to help line spacing) □



edited figure to fit

Figure 15: Wheels in a circle vanish.

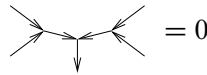
1 **Exercise 3.18** Show that $\mathcal{A}^{sw}(\bigcirc) \cong \mathcal{A}^w(\bigcirc)$ and yet $\mathcal{A}^{rw}(\bigcirc)$ vanishes except in
 2 degree 0. Inserted “and” (to help line
break)

3

4 The following two exercises may help the reader to develop a better “feel” for $\mathcal{A}^w(\uparrow)$
 5 and will be needed within the discussion of the Alexander polynomial (especially
 6 within [Definition 3.31](#)).
 7

8

9 **Exercise 3.19** Show that the “commutators commute” (CC) relation, shown below, on the right \rightarrow below
 10 holds in $\mathcal{A}^w(\uparrow)$:



11

12

13

14 (Interpreted in terms of Lie algebras as in the next section, this relation becomes Inserted “terms of”
 15 $[[x, y], [z, w]] = 0$, hence the name “commutators commute”). Note that the proof of Deleted “and”
 16 CC depends on the skeleton having a single component; later, when we will work with
 17 \mathcal{A}^w -spaces with more complicated skeleta, the CC relation will not hold.

18

19 **Exercise 3.20** Show that “detached wheels” and “hairy Y s” make sense in $\mathcal{A}^w(\uparrow)$. Y 's $\rightarrow Y$ s

20 As pictured below, a detached wheel is a wheel with a number of spokes, and a hairy on the right \rightarrow pictured below
 21 Y is a combinatorial Y shape (three arrows meeting at a single internal vertex) with
 22 further “hair” on its trunk (its outgoing arrow):

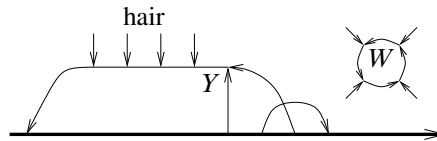
23

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27



28

29 It is specified where the trunk and the leafs of the Y connect to the skeleton, but it
 30 is not specified where the spokes of the wheel and where the hair on the Y connect
 31 to the skeleton. The content of the exercise is to show that modulo the relations of
 32 $\mathcal{A}^w(\uparrow)$, it is not necessary to specify this further information: all ways of connecting
 33 the spokes and the hair to the skeleton are equivalent. Like the previous exercise, this
 34 result depends on the skeleton having a single component.

35

36 **Remark 3.21** In the case of usual knots and usual chord diagrams, Jacobi diagrams
 37 have a topological interpretation using the Goussarov–Habiro calculus of claspers [\[41;](#)
 38 [46\]](#). In the w case a similar such calculus was developed by Watanabe in [\[83\]](#). Various
 39 related results are in [\[47; 48\]](#).

39^{1/2} at \rightarrow in

1 **3.5 The relation with Lie algebras**

2
 3 The theory of finite-type invariants of knots is related to the theory of metrized Lie
 4 algebras via the space \mathcal{A} of chord diagrams, as explained in [6, Theorem 4 and
 5 Exercise 5.1]. In a similar manner the theory of finite-type invariants of w-knots
 6 is related to arbitrary finite-dimensional Lie algebras (or equivalently, to doubles of
 7 co-commutative Lie bialgebras, as explained below) via the space $\mathcal{A}^w(\uparrow)$ of arrow
 8 diagrams.

9
 10 **3.5.1 Preliminaries** Given a finite-dimensional Lie algebra³¹ \mathfrak{g} let $I\mathfrak{g} := \mathfrak{g}^* \rtimes \mathfrak{g}$ be
 11 the semi-direct product of the dual \mathfrak{g}^* of \mathfrak{g} with \mathfrak{g} , with \mathfrak{g}^* taken as an abelian algebra
 12 and with \mathfrak{g} acting on \mathfrak{g}^* by the usual coadjoint action. In formulae,

13
 14
$$I\mathfrak{g} = \{(\varphi, x) : \varphi \in \mathfrak{g}^*, x \in \mathfrak{g}\},$$

 15
$$[(\varphi_1, x_1), (\varphi_2, x_2)] = (x_1\varphi_2 - x_2\varphi_1, [x_1, x_2]).$$

16 In the case where \mathfrak{g} is the algebra $\mathfrak{so}(3)$ of infinitesimal symmetries of \mathbb{R}^3 , its dual \mathfrak{g}^*
 17 is \mathbb{R}^3 itself with the usual action of $\mathfrak{so}(3)$ on it, and $I\mathfrak{g}$ is the algebra $\mathbb{R}^3 \rtimes \mathfrak{so}(3)$ of
 18 infinitesimal affine isometries of \mathbb{R}^3 . This is the Lie algebra of the Euclidean group
 19 of isometries of \mathbb{R}^3 , which is often denoted $ISO(3)$. This explains our choice of the
 20 name $I\mathfrak{g}$. $ISO(3) \rightarrow ISO(3)$ (journal style)

21
 22 Note that if \mathfrak{g} is a co-commutative Lie bialgebra, then $I\mathfrak{g}$ is the “double” of \mathfrak{g} [33].
 23 This is a significant observation, for it is a part of the relationship between this paper
 24 and the Etingof–Kazhdan theory of quantization of Lie bialgebras [38]. Yet we will
 25 make no explicit use of this observation below.

26
 27 In the construction that follows we are going to define a map from \mathcal{A}^w to $\mathcal{U}(I\mathfrak{g})$, the
 28 universal enveloping algebra of $I\mathfrak{g}$. Note that a map $\mathcal{A}^w \rightarrow \mathcal{U}(I\mathfrak{g})$ is “almost the same”
 29 as a map $\mathcal{A}^{sw} \rightarrow \mathcal{U}(I\mathfrak{g})$, in the following sense. The quotient map $p: \mathcal{A}^w \rightarrow \mathcal{A}^{sw}$ has
 30 a one-sided inverse $F: \mathcal{A}^{sw} \rightarrow \mathcal{A}^w$ defined by

31
 32
$$F(D) = \sum_{k=0}^{\infty} \frac{(-1)^k}{k!} S_L^k(D) \cdot w_1^k.$$

 33

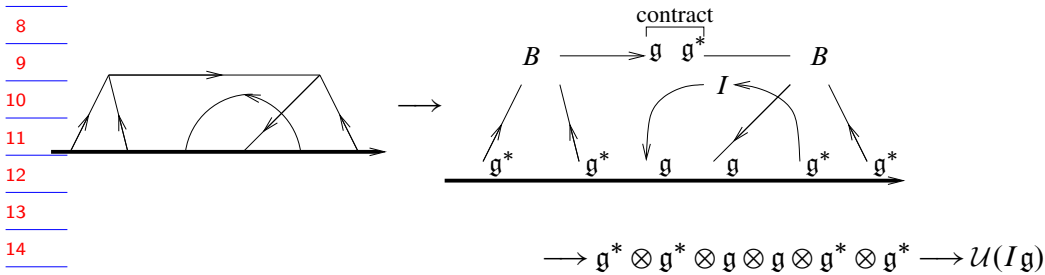
34 Here S_L denotes the map that sends an arrow diagram to the sum of all ways of deleting
 35 a left-going arrow, S_L^k is S_L applied k times, and w_1 denotes the 1–wheel, as shown
 36 in Figure 14. The reader can verify that F is well-defined, an algebra- and co-algebra
 37 homomorphism, and that $p \circ F = \text{id}_{\mathcal{A}^{sw}}$.

38
 39 ³¹Over \mathbb{Q} , or another field of characteristic 0.

1 **3.5.2 The construction** Fixing a finite-dimensional Lie algebra \mathfrak{g} , we construct a
 2 map

$$\mathcal{T}_{\mathfrak{g}}^w: \mathcal{A}^w \rightarrow \mathcal{U}(I\mathfrak{g})$$

3
 4
 5 which assigns to every arrow diagram D an element of the universal enveloping algebra
 6 $\mathcal{U}(I\mathfrak{g})$. As is often the case in our subject, a picture of a typical example is worth more
 7 than a formal definition:



edited figure to fit

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 15
 16 In short, we break up the diagram D into its constituent pieces and assign a copy of the
 17 structure constants tensor $B \in \mathfrak{g}^* \otimes \mathfrak{g}^* \otimes \mathfrak{g}$ to each internal vertex v of D (keeping an
 18 association between the tensor factors in $\mathfrak{g}^* \otimes \mathfrak{g}^* \otimes \mathfrak{g}$ and the edges emanating from v ,
 19 as dictated by the orientations of the edges and of the vertex v itself). We assign the
 20 identity tensor in $\mathfrak{g}^* \otimes \mathfrak{g}$ to every arrow in D that is not connected to an internal vertex,
 21 and contract any pair of factors connected by a fully internal arrow. The remaining
 22 tensor factors ($\mathfrak{g}^* \otimes \mathfrak{g}^* \otimes \mathfrak{g} \otimes \mathfrak{g} \otimes \mathfrak{g}^* \otimes \mathfrak{g}^*$ in our examples) are all along the skeleton
 23 and can thus be ordered by the skeleton. We then multiply these factors to get an output
 24 $\mathcal{T}_{\mathfrak{g}}^w(D)$ in $\mathcal{U}(I\mathfrak{g})$.

25 It is also useful to restate this construction given a choice of a basis. Let (x_j) be a
 26 basis of \mathfrak{g} and let (φ^i) be the dual basis of \mathfrak{g}^* , so that

$$\varphi^i(x_j) = \delta_j^i,$$

27
 28
 29 and let b_{ij}^k denote the structure constants of \mathfrak{g} in the chosen basis:

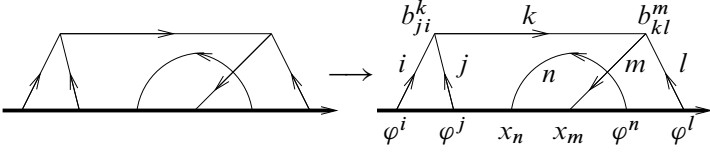
$$[x_i, x_j] = \sum b_{ij}^k x_k. \quad \text{displayed to fit}$$

30
 31
 32
 33 Mark every arrow in D with lower case Latin letter from within ³² $\{i, j, k, \dots\}$. Form
 34 a product P_D by taking one $b_{\alpha\beta}^\gamma$ factor for each internal vertex v of D using the
 35 letters marking the edges around v for α, β and γ and by taking one x_α or φ^β factor
 36 for each skeleton vertex of D , taken in the order that they appear along the long line
 37 skeleton, with the indices α and β dictated by the edge markings and with the choice
 38

39 ³²The supply of these can be made inexhaustible by the addition of numerical subscripts.

39^{1/2}

1 between factors in \mathfrak{g} and factors in \mathfrak{g}^* dictated by the orientations of the edges. Finally
 2 let $\mathcal{T}_\mathfrak{g}^w(D)$ be the sum of P_D over the indices i, j, k, \dots running from 1 to $\dim \mathfrak{g}$:

3
 4
 5 (19) 

6
 7
 8
 9 $\rightarrow \sum_{i,j,k,l,m,n=1}^{\dim \mathfrak{g}} b_{ij}^k b_{kl}^m \varphi^i \varphi^j x_n x_m \varphi^n \in \mathcal{U}(I\mathfrak{g}).$ edited figure to fit
 10

11 The next proposition is easy to verify (compare with [6, Theorem 4 and Exercise 5.1]). following \rightarrow next proposition
 12

13 **Proposition 3.22** The above two definitions of $T_\mathfrak{g}^w$ agree, are independent of the
 14 choices made within them, and respect all the relations defining \mathcal{A}^w . \square
 15

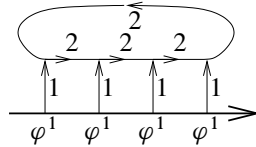
16 While we do not provide a proof of this proposition here, it is worthwhile stating the to state \rightarrow stating
 17 correspondence between the relations defining \mathcal{A}^w and the Lie algebraic information
 18 in $\mathcal{U}(I\mathfrak{g})$:
 19 itemized to help with line spacing

- 20 • \overrightarrow{AS} is the antisymmetry of the bracket of \mathfrak{g} .
- 21 • $\overrightarrow{IH\bar{X}}$ is the Jacobi identity of \mathfrak{g} .
- 22 • $\overrightarrow{ST\bar{U}}_1$ and $\overrightarrow{ST\bar{U}}_2$ are the relations $[x_i, x_j] = x_i x_j - x_j x_i$ and $[\varphi^i, x_j] = \varphi^i x_j -$
 23 $x_j \varphi^i$ in $\mathcal{U}(I\mathfrak{g})$.
- 24
- 25 • TC is the fact that \mathfrak{g}^* is taken as an abelian algebra.
- 26 • $\overrightarrow{4\bar{T}}$ is the fact that the identity tensor in $\mathfrak{g}^* \otimes \mathfrak{g}$ is \mathfrak{g} -invariant.
 27

28 **3.5.3 Example: the 2-dimensional non-abelian Lie algebra** Let \mathfrak{g} be the Lie
 29 algebra with two generators $x_{1,2}$ satisfying $[x_1, x_2] = x_2$, so that the only non-vanishing
 30 structure constants b_{ij}^k of \mathfrak{g} are $b_{12}^2 = -b_{21}^2 = 1$. Let $\varphi^i \in \mathfrak{g}^*$ be the dual basis of x_i ; by
 31 an easy calculation, we find that in $I\mathfrak{g}$ the element φ^1 is central, while $[x_1, \varphi^2] = -\varphi^2$
 32 and $[x_2, \varphi^2] = \varphi^1$. We calculate $\mathcal{T}_\mathfrak{g}^w(D_L)$, $\mathcal{T}_\mathfrak{g}^w(D_R)$ and $\mathcal{T}_\mathfrak{g}^w(w_k)$ using the “in basis”
 33 technique of Equation (19). The outputs of these calculations lie in $\mathcal{U}(I\mathfrak{g})$; we display
 34 these results in a PBW basis in which the elements of \mathfrak{g}^* precede the elements of \mathfrak{g} :
 35

36 (20) $\mathcal{T}_\mathfrak{g}^w(D_L) = x_1 \varphi^1 + x_2 \varphi^2 = \varphi^1 x_1 + \varphi^2 x_2 + [x_2, \varphi^2] = \varphi^1 x_1 + \varphi^2 x_2 + \varphi_1,$
 37 $\mathcal{T}_\mathfrak{g}^w(D_R) = \varphi^1 x_1 + \varphi^2 x_2,$
 38 $\mathcal{T}_\mathfrak{g}^w(w_k) = (\varphi^1)^k.$
 39

1 For the last assertion above, note that all non-vanishing structure constants b_{ij}^k in our
 2 case have $k = 2$, and therefore all indices corresponding to edges that exit an internal
 3 vertex must be set equal to 2:



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 9 This forces the “hub” of w_k to be marked 2 and therefore the legs to be marked 1,
 10 and therefore w_k is mapped to $(\varphi^1)^k$.

11 Note that the calculations in (20) are consistent with the relation $D_L - D_R = w_1$ of
 12 Theorem 3.15 and that they show that other than that relation, the generators of \mathcal{A}^w
 13 are linearly independent.

14
 15 **3.6 The Alexander polynomial**

16
 17 Let K be a long w -knot, and let $Z(K)$ be the invariant of Theorem 3.10. Theorem 3.26
 18 below asserts that apart from self-linking, $Z(K)$ contains precisely the same informa-
 19 tion as the Alexander polynomial $A(K)$ of K (recalled below). But we have to start
 20 with some definitions.

Inserted “and”

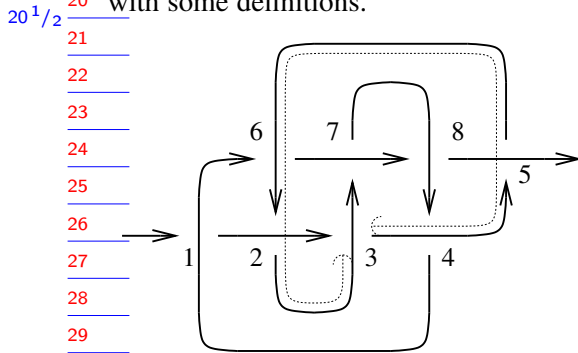


Figure 16: A long 8_{17} , with the span of crossing #3 marked. The projection is as in Brian Sanderson’s garden. See [15]/SandersonsGarden.html.

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 33
 34 **Definition 3.23** Enumerate the crossings of K from 1 to n in some arbitrary order. For
 35 $1 \leq j \leq n$, the “span” of crossing # i is the connected open interval along the line
 36 parametrizing K between the two times K “visits” crossing # i (see Figure 16). Form
 37 a matrix $T = T(K)$ with T_{ij} the indicator function for whether “the lower strand
 38 of crossing # j is within the span of crossing # i ” (so T_{ij} is 1 if for a given i, j the
 39 quoted statement is true, and 0 otherwise). Let s_i be the sign of crossing # i (recall

of \rightarrow for whether

1 that \nearrow is positive, \searrow is negative; so $(-, -, -, -, +, +, +, +)$ for Figure 16), let d_i be
 2 $+1$ if K visits the “over” strand of crossing $\#i$ before visiting the “under” strand of
 3 that crossing, and let $d_i = -1$ otherwise (so $(-, +, -, +, -, +, -, +)$ for Figure 16).
 4 Let $S = S(K)$ be the diagonal matrix with $S_{ii} = s_i d_i$, and for an indeterminate X ,
 5 let X^{-S} denote the diagonal matrix with diagonal entries $X^{-s_i d_i}$. Finally, let $A(K)$
 6 be the Laurent polynomial in $\mathbb{Z}[X, X^{-1}]$ given by

$$(21) \quad A(K)(X) := \det(I + T(I - X^{-S})).$$

9 **Example 3.24** For the knot diagram in Figure 16,
 10

$$T = \begin{pmatrix} 0 & 1 & 1 & 1 & 1 & 0 & 1 & 0 \\ 0 & 0 & 1 & 0 & 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 & 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 & 1 & 0 & 1 & 0 \\ 0 & 1 & 0 & 1 & 0 & 1 & 1 & 1 \\ 0 & 1 & 0 & 1 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 & 0 & 1 & 0 & 0 \\ 0 & 0 & 0 & 1 & 0 & 1 & 0 & 0 \end{pmatrix}, \quad S = \begin{pmatrix} 1 & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\ 0 & -1 & 0 & 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 1 & 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & -1 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & -1 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & 1 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & 0 & -1 & 0 \\ 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \end{pmatrix},$$

$$A = \begin{vmatrix} 1 & 1-X & 1-X^{-1} & 1-X & 1-X & 0 & 1-X & 0 \\ 0 & 1 & 1-X^{-1} & 0 & 1-X & 0 & 0 & 0 \\ 0 & 1-X & 1 & 0 & 1-X & 0 & 0 & 0 \\ 0 & 1-X & 0 & 1 & 1-X & 0 & 1-X & 0 \\ 0 & 1-X & 0 & 1-X & 1 & 1-X^{-1} & 1-X & 1-X^{-1} \\ 0 & 1-X & 0 & 1-X & 0 & 1 & 1-X & 0 \\ 0 & 0 & 0 & 1-X & 0 & 1-X^{-1} & 1 & 0 \\ 0 & 0 & 0 & 1-X & 0 & 1-X^{-1} & 0 & 1 \end{vmatrix}. \quad \text{deleted “and”}$$

28 The last determinant equals $-X^3 + 4X^2 - 8X + 11 - 8X^{-1} + 4X^{-2} - X^{-3}$, the
 29 Alexander polynomial of the knot 8_{17} (see eg [78]).
 30

31 **Theorem 3.25** (Lee, [66, Theorem 1]) *For any (classical) knot K , $A(K)$ is equal to*
 32 *the normalized Alexander polynomial [78] of K .* \square
 33

34 The Mathematica notebook [15, “wA”] verifies Theorem 3.25 for all prime knots with
 35 up to 11 crossings.
 36

37 The following theorem says that $Z(K)$ can be computed from $A(K)$ (see Equation (22))
 38 and that modulo a certain additional relation and with the appropriate identifications in
 39 place, $Z(K)$ is $A(K)$ (see Equation (23)).

Inserted “so”

Inserted “so”

deleted “and”

asserts \rightarrow says (fixing bad linebreak)

¹/₂ **Theorem 3.26** (Proof in Section 3.7) Let x be an indeterminate, let sl be self-linking as in Exercise 3.6, let $D_A := D_L = D_R$ and w_k be as in Figure 14, and let $w: \mathbb{Q}[[x]] \rightarrow \mathcal{A}^w$ be the linear map defined by $x^k \mapsto w_k$. Then for a long w -knot K ,

$$(22) \quad Z(K) = \underbrace{\exp_{\mathcal{A}^{sw}}(sl(K)D_A)}_{sl \text{ coded in arrows}} \cdot \underbrace{\exp_{\mathcal{A}^{sw}}(-w(\log_{\mathbb{Q}[[x]]} A(K)(e^x)))}_{\text{main part: Alexander coded in wheels}},$$

where the logarithm and inner exponentiation are computed by formal power series in $\mathbb{Q}[[x]]$ and the outer exponentiations are likewise computed in \mathcal{A}^{sw} .

Let $\mathcal{A}^{\text{reduced}}$ be \mathcal{A}^{sw} modulo the additional relations $D_A = 0$ and $w_k w_l = w_{k+l}$ for $k, l \neq 1$:

$$w_2 \cdot w_3 = w_5$$

The quotient $\mathcal{A}^{\text{reduced}}$ can be identified with the vector space of (infinite) linear combinations of the w_k , with $k \neq 1$. Identifying the k -wheel w_k with x^k , we see that $\mathcal{A}^{\text{reduced}}$ is the space of power series in x having no linear terms. Note by inspecting Equation (21) that $A(K)(e^x)$ never has a term linear in x , and that modulo $w_k w_l = w_{k+l}$, the exponential and the logarithm in Equation (22) cancel each other out. Hence, within $\mathcal{A}^{\text{reduced}}$,

$$(23) \quad Z(K) = A^{-1}(K)(e^x).$$

Remark 3.27 In [47] Habiro, Kanenobu, and Shima show that all coefficients of the Alexander polynomial are finite-type invariants of w -knots, and in [48] Habiro and Shima show that all finite-type invariants of w -knots are polynomials in the coefficients of the Alexander polynomial. Thus, Theorem 3.26 is merely an “explicit form” of these earlier results.

3.7 Proof of Theorem 3.26

We start with a sketch. The proof of Theorem 3.26 can be divided into three parts: differentiation, bulk management, and computation.

Differentiation Both sides of our goal, that is, Equation (22), are exponential in nature. When seeking to show an equality of exponentials it is often beneficial to compare their derivatives.³³ In our case the useful “derivatives” to use are the “Euler operator” E (“multiply every term by its degree”, an analogue of $f \mapsto xf'$, defined

³³Thanks, Dylan.

¹/₂ in Section 3.7.1), and the “normalized Euler operator” $Z \mapsto \tilde{E}Z := Z^{-1}EZ$, which
² is a variant of the logarithmic derivative $f \mapsto x(\log f)' = xf'/f$. Since \tilde{E} is one to
³ one (see Section 3.7.1) and since we know how to apply \tilde{E} to the right hand side of
⁴ Equation (22) (see Section 3.7.1), it is enough to show that with $B := T(\exp(-xS) - I)$
⁵ and suppressing the fixed w-knot K from the notation,

$$\begin{array}{l} \text{6} \\ \text{7} \end{array} \quad (24) \quad EZ = Z \cdot (sl \cdot D_A - w[x \operatorname{tr}((I - B)^{-1}TS \exp(-xS))]) \quad \text{in } \mathcal{A}^{sw}.$$

⁸ **Bulk management** Next we seek to understand the left-hand side of Equation (24).
⁹ Z is made up of “quantities in bulk”: arrows that come in exponential “reservoirs”. As
¹⁰ it turns out, EZ is made up of the same bulk quantities, but also allowing for a single
¹¹ non-bulk “excitation”, which we often highlight in red. (Compare with $Ee^x = x \cdot e^x$;
¹² the “bulk” e^x remains, and single “excited red” x gets created). We wish to manipulate
¹³ and simplify that red excitation. This is best done by introducing a certain module,
¹⁴ IAM_K , the “infinitesimal Alexander module” of K (see Section 3.7.2). The elements
¹⁵ of IAM_K can be thought of as names for “bulk objects with a red excitation”, and
¹⁶ hence there is an “interpretation map” $\iota: IAM_K \rightarrow \mathcal{A}^{sw}$, which maps every “name”
¹⁷ into the object it represents. There are three special elements in IAM_K : an element
¹⁸ λ , which is the name of EZ (that is, $\iota(\lambda) = EZ$), the element δ_A which is the name
¹⁹ of $D_A \cdot Z$ (so $\iota(\delta_A) = D_A \cdot Z$), and an element ω_1 which is the name of a “detached”
²⁰ 1–wheel that is appended to Z . The latter can take a coefficient which is a power of
²¹ x , with $\iota(x^k \omega_1) = w(x^{k+1}) \cdot Z = (Z \text{ times a } (k + 1)\text{-wheel})$. Thus, it is enough to
²² show that in IAM_K ,

$$\begin{array}{l} \text{23} \\ \text{24} \end{array} \quad (25) \quad \lambda = sl \cdot \delta_A - \operatorname{tr}((I - B)^{-1}TSX^{-S})\omega_1, \quad \text{with } X = e^x.$$

²⁵ Indeed, applying ι to both sides of the above equation, we get Equation (24) back
²⁶ again.

²⁷ **Computation** Last, we show in Section 3.7.3 that Equation (25) holds true. This is a
²⁸ computation that happens entirely in IAM_K and does not mention finite-type invariants,
²⁹ expansions or arrow diagrams in any way.
³⁰

³¹ **3.7.1 The Euler operator** Let A be a completed, graded algebra with unit, in which
³² all degrees are ≥ 0 . Define a continuous linear operator $E: A \rightarrow A$ by setting $Ea =$
³³ $(\deg a)a$ for homogeneous $a \in A$. In the case $A = \mathbb{Q}[[x]]$, we have $Ef = xf'$, the
³⁴ standard “Euler operator”; indeed, for each n , $Ex^n = nx^n = x \cdot (x^n)'$. Hence, we
³⁵ adopt the name E for this operator in general.
³⁶

³⁷ We say that $Z \in A$ is a “perturbation of the identity” if its degree 0 piece is 1. Such a Z
³⁸ is always invertible. For such a Z , set $\tilde{E}Z := Z^{-1} \cdot EZ$, and call the thus (partially)
³⁹ defined operator $\tilde{E}: A \rightarrow A$ the “normalized Euler operator”. From this point on when
³⁹/₂

¹/₂ ¹ we write $\tilde{E}Z$ for some $Z \in A$, we automatically assume that Z is a perturbation of
² the identity or that it is trivial to show that Z is a perturbation of the identity. Note
³ that for $f \in \mathbb{Q}[[x]]$, we have $\tilde{E}f = x(\log f)'$, so \tilde{E} is a variant of the logarithmic
⁴ derivative.

⁵

⁶ **Claim 3.28** \tilde{E} is one to one.

⁷

⁸ **Proof** Assume $Z_1 \neq Z_2$ and let d be the smallest degree in which they differ. Then
⁹ $d > 0$ and in degree d the difference $\tilde{E}Z_1 - \tilde{E}Z_2$ is d times the difference $Z_1 - Z_2$,
¹⁰ and hence, $\tilde{E}Z_1 \neq \tilde{E}Z_2$. □

¹¹

¹² Thus, in order to prove our goal — that is, Equation (22) — it is enough to compute
¹³ \tilde{E} of both sides and to show the equality then. We start with the right-hand side of
¹⁴ Equation (22); but first, we need some simple properties of E and \tilde{E} . The proofs of
¹⁵ these properties are routine and hence are omitted. Deleted “they”

¹⁶

¹⁷

¹⁸ **Proposition 3.29** *The following hold true:*

¹⁹ (1) E is a derivation: $E(fg) = (Ef)g + f(Eg)$.

²⁰/₂

²⁰ (2) If Z_1 commutes with Z_2 , then $\tilde{E}(Z_1Z_2) = \tilde{E}Z_1 + \tilde{E}Z_2$.

²² (3) If z commutes with Ez , then $Ee^z = e^z(Ez)$ and $\tilde{E}e^z = Ez$.

²³ (4) If $w: A \rightarrow \mathcal{A}$ is a morphism of graded algebras, then it commutes with E and
²⁴ \tilde{E} . □

²⁵

²⁶ Let us denote the right-hand side of Equation (22) by $Z_1(K)$. Then, by the above
²⁷ proposition, remembering (see Theorem 3.15) that \mathcal{A}^{sw} is commutative and that
²⁸ $\deg D_A = 1$, we have

²⁹

$$\tilde{E}Z_1(K) = sl \cdot D_A - w(E \log A(K)(e^x)) = sl \cdot D_A - w\left(x \frac{d}{dx} \log A(K)(e^x)\right).$$

³⁰

³² The rest is an exercise in matrices and differentiation. $A(K)$ is a determinant, see
³³ Equation (21), and in general $\frac{d}{dx} \log \det(M) = \text{tr}\left(M^{-1} \frac{d}{dx} M\right)$. So with $B = T(e^{-xS} -$
³⁴ $I)$, and so $M = I - B$, we have

³⁵

$$\begin{aligned} \tilde{E}Z_1(K) &= sl \cdot D_A + w\left(x \text{tr}\left((I - B)^{-1} \frac{d}{dx} B\right)\right) \\ &= sl \cdot D_A - w\left(x \text{tr}\left((I - B)^{-1} TSe^{-xS}\right)\right), \end{aligned}$$

³⁷

³⁸ as promised in Equation (24). parentheses to commas,
inserted “and”

³⁹/₂

1 **3.7.2 The infinitesimal Alexander module** Let K be a w-knot diagram. The “in-
 2 finitesimal Alexander module” IAM_K of K , which is defined in detail below, is a
 3 certain module made from a certain space IAM_K^0 of pictures “annotating” K with
 4 “red excitations” modulo some pictorial relations that indicate how the red excitations
 5 can be moved around. The space IAM_K^0 in itself is made of three pieces, or “sectors”:
 6 the “A sector” in which the excitations are red arrows, the “Y sector” in which the
 7 excitations are “red hairy Y-diagrams”, and a rank 1 “W sector” for “red hairy wheels”.
 8 There is an “interpretation map” $\iota: IAM_K^0 \rightarrow \mathcal{A}^w$ which descends to a well-defined
 9 (and homonymous) $\iota: IAM_K \rightarrow \mathcal{A}^w$. Finally, there are some special elements λ and δ_A
 10 that live in the A sector of IAM_K^0 , and ω_1 that lives in the W sector.

11 In principle, the description of IAM_K^0 and of IAM_K can be given independently of
 12 the interpretation map ι , and there are some good questions to ask about IAM_K (and
 13 the special elements in it) that are completely independent of the interpretation of
 14 the elements of IAM_K as “perturbed bulk quantities” within \mathcal{A}^w . Yet IAM_K is a
 15 complicated object and we fear its definition will appear completely artificial without
 16 its interpretation. Hence, below the two definitions will be woven together.
 17

18 IAM_K and ι may equally well be described in terms of K or in terms of the Gauss
 19 diagram of K (see Remark 3.4). For pictorial simplicity, we choose to use the latter;
 20 so let $G = G(K)$ be the Gauss diagram of K . It is best to read the following definition
 21 while at the same time studying Figure 17.

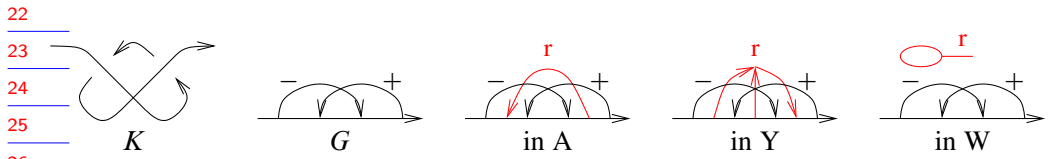


Figure 17: A sample w-knot K , its Gauss diagram G , and one generator in each of the A, Y, and W sectors of IAM_K^0 . Red parts are marked with the letter r.

31 **Definition 3.30** Let R be the ring $\mathbb{Z}[X, X^{-1}]$ of Laurent polynomials in a variable
 32 X with integer coefficients,³⁴ and let R_1 be the subring of polynomials that vanish
 33 at $X = 1$ (ie whose sum of coefficients is 0).³⁵ Let IAM_K^0 be the direct sum of the
 34 following three modules (which for the purpose of taking the direct sum are all regarded
 35 as \mathbb{Z} -modules):

36 ³⁴Later, X is interpreted in \mathcal{A}^w as a formal exponential e^x . So within IAM we can restrict to
 37 coefficients in \mathbb{Z} , yet in \mathcal{A}^w we must allow coefficients in \mathbb{Q} .

38 ³⁵ R_1 is only very lightly needed, and only within Definition 3.31. In particular, all that we say about
 39 IAM_K that does not concern the interpretation map ι is equally valid with R replacing R_1 .

1 1/2 1 (1) The “A sector” is the free \mathbb{Z} -module generated by all diagrams made from G
2 by the addition of a single unmarked “red excitation” arrow, whose endpoints
3 are on the long line skeleton of G and are distinct from each other and from all
4 other endpoints of arrows in G . Such diagrams are considered combinatorially:
5 so two are equivalent if and only if they differ only by an orientation-preserving iff \rightarrow if and only if
6 diffeomorphism of the skeleton. Let us count: if K has n crossings, then G
7 has n arrows and the skeleton of G gets subdivided into $m := 2n + 1$ arcs. An get \rightarrow gets
8 A sector diagram is specified by the choice of an arc for the tail of the red arrow
9 and an arc for the head (m^2 choices), except if the head and the tail fall within
10 the same arc, then their relative ordering has to be specified as well (m further choices). So the rank of the A sector over \mathbb{Z} is $m(m + 1)$. Inserted “then”

12 (2) The “Y sector” is the free R_1 -module generated by all diagrams made from G
13 by the addition of a single “red excitation” Y -shape single-vertex graph, with
14 two incoming edges (“tails”) and one outgoing (“head”), modulo anti-symmetry
15 for the two incoming edges (again, considered combinatorially). Counting is
16 more elaborate: when the three edges of the Y end in distinct arcs in the skeleton
17 of G , we have $\frac{1}{2}m(m - 1)(m - 2)$ possibilities ($\frac{1}{2}$ for the antisymmetry). When
18 the two tails of the Y lie on the same arc, we get 0 by anti-symmetry. The
19 remaining possibility is to have the head and one tail on one arc (order matters!)
20 and the other tail on another, at $2m(m - 1)$ possibilities. So the rank of the Y
21 sector over R_1 is $m(m - 1)(\frac{1}{2}m + 1)$.

20 1/2 22 (3) The “W sector” is the rank 1 free R -module with a single generator w_1 . It
23 is not necessary for w_1 to have a pictorial representation, yet one, involving a
24 single “red” 1-wheel, is shown in Figure 17. This pictorial representation is
25 consistent with the interpretation in the definition below of ω_1 as a detached
26 1-wheel.
27

28 **Definition 3.31** The “interpretation map” $\iota: IAM_K^0 \rightarrow \mathcal{A}^w$ is defined by sending the
29 arrows (marked + or -) of a diagram in IAM_K^0 to $(e^{\pm a})$ -exponential reservoirs of
30 arrows, as in the definition of Z (see Remark 3.11). In addition, the red excitations of
31 diagrams in IAM_K^0 are interpreted as follows:

32 (1) In the A sector, the red arrow is simply mapped to itself, with the colour red
33 suppressed.
34

35 (2) In the Y sector, diagrams have red Y s and coefficients $f \in R_1$. Substitute Y sector \rightarrow Y sector (for
36 $X = e^x$ in f , expand in powers of x , and interpret $x^k Y$ as a “hairy Y with consistency with above)
37 $k - 1$ hairs” as in Exercise 3.20. Note that $f(1) = 0$, so only positive powers of
38 x occur. So we never need to worry about “ Y s with -1 hairs”. This is the only
39 point where the condition $f \in R_1$ (as opposed to $f \in R$) is needed.

39 1/2

1^{1/2} (3) In the W sector treat the coefficients as above, but interpret $x^k w_1$ as a detached W sector \rightarrow W sector (for
 2 w_{k+1} , ie as a detached wheel with $k + 1$ spokes, as in Exercise 3.20. consistency with above)

3

4 As stated above, IAM_K is the quotient of IAM_K^0 by some set of relations. The best
 5 way to think of this set of relations is as “everything that’s obviously annihilated by ι ”.

6 Here’s the same thing, in a more formal language.

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20^{1/2}

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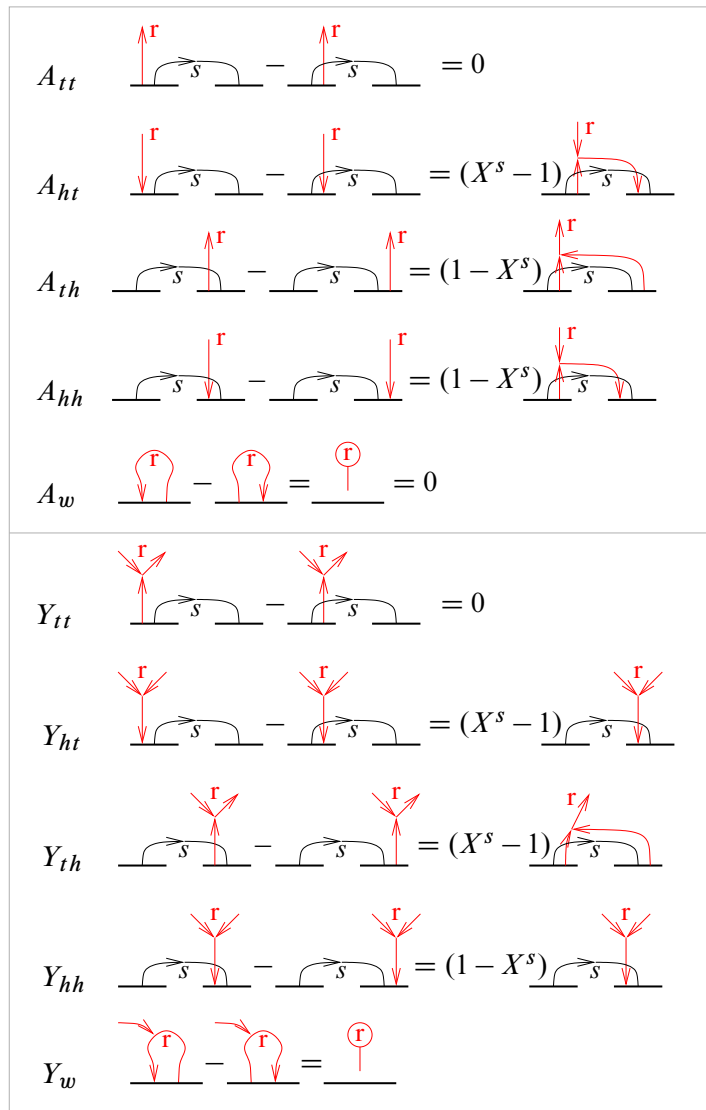
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36

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Figure 18: The relations \mathcal{R} making IAM_K .

39^{1/2}

1 **Definition 3.32** Let $IAM_K := IAM_K^0 / \mathcal{R}$, where \mathcal{R} is the linear span of the relations
 2 depicted in Figure 18. The top 8 relations are about moving a leg of the red excitation
 3 across an arrow head or an arrow tail in G . Since the red excitation may be either an
 4 arrow A or a Y , its leg in motion may be either a tail or a head, and it may be moving
 5 either past a tail or past a head, there are 8 relations of that type. The A_w relation
 6 corresponds to $D_L - D_R = w_1 = 0$. The Y_w relation indicates the “price” (always a
 7 red w_1) of commuting a red head across a red tail. As per custom, in each case only
 8 the changing part of the diagrams involved is shown. Further, the red excitations are
 9 marked with the letter “r” and the sign of an arrow in G is marked s ; so we always
 10 have $s \in \{\pm 1\}$. The relations in the left column may be multiplied by a scalar in \mathbb{Z} ,
 11 while the relations in the right column may be multiplied by a scalar in R . Hence, for
 12 example, $x^0 w_1 = 0$ by A_w , yet $x^k w_1 \neq 0$ for $k > 0$.

Inserted “we”
 Inserted “have”

14 **Proposition 3.33** The interpretation map ι indeed annihilates all the relations in \mathcal{R} .

16 **Proof** Both ιA_{tt} and ιY_{tt} follow immediately from the TC relation. The formal
 17 identity $e^{\text{ad } b}(a) = e^b a e^{-b}$ (here ad denotes the adjoint representation) implies
 18 $e^{\text{ad } b}(a)e^b = e^b a$, and hence, $a e^b - e^b a = (1 - e^{\text{ad } b})(a)e^b$. With a interpreted as “red
 19 head”, b as “black head”, and $\text{ad } b$ as “hair” (justified by the ι -meaning of hair and by
 20 the $\overrightarrow{\text{STU}}_1$ relation, see Figure 12), the last equality becomes a proof of ιY_{hh} . Further
 21 pushing that same equality, we get

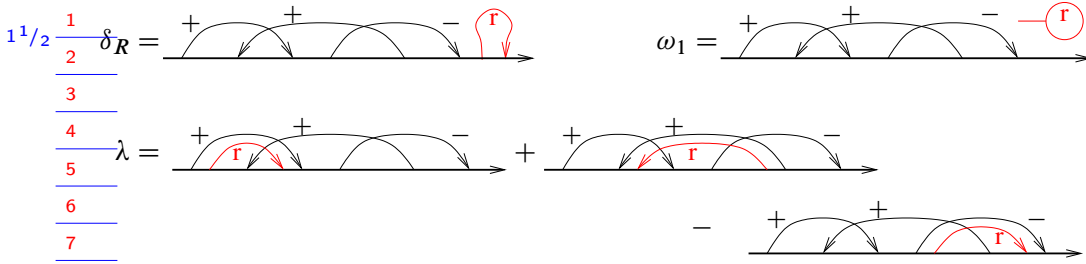
Inserted “Both” to start
 sentence with a word

$$a e^b - e^b a = \frac{1 - e^{\text{ad } b}}{\text{ad } b}([b, a]), \quad \text{displayed to fit}$$

23 where $(1 - e^{\text{ad } b})/\text{ad } b$ is first interpreted as a power series $(1 - e^y)/y$ involving only
 24 non-negative powers of y , and then the substitution $y = \text{ad } b$ is made. But that’s ιA_{hh} ,
 25 when one remembers that ι on the Y sector automatically contains a single “1/hair”
 26 factor. Similar arguments, though using $\overrightarrow{\text{STU}}_2$ instead of $\overrightarrow{\text{STU}}_1$, prove that Y_{ht} , Y_{th} ,
 27 A_{ht} , and A_{th} are all in $\ker \iota$. Finally, ιA_w is RI, and ιY_w is a direct consequence
 28 of $\overrightarrow{\text{STU}}_2$. □

32 Finally, we come to the special elements λ , δ_A , and ω_1 .

35 **Definition 3.34** Within IAM_G , let ω_1 be, as before, the generator of the W sector.
 36 Let δ_A be a “short” red arrow, as in the A_w relation (exercise: modulo \mathcal{R} , this is
 37 independent of the placement of the short arrows within G). Finally, let λ be the
 38 signed sum of exciting each of the (black) arrows in G in turn. The picture says all,
 39 and it is Figure 19.



edited figure to fit

Figure 19: The special elements ω_1 , δ_A , and λ in IAM_G , for a sample 3-arrow Gauss diagram G .

Lemma 3.35 In $\mathcal{A}^{sw}(\uparrow)$, the special elements of IAM_G are interpreted as follows: $\iota(\omega_1) = Z w_1$, $\iota(\delta_A) = Z D_A$, and most interestingly, $\iota(\lambda) = E Z$. Thus Equation (25) (if true) implies Equation (24) and hence, it implies our goal, Theorem 3.26.

interesting \rightarrow interestingly
Therefore \rightarrow Thus (to fix bad linebreak)

Proof For the proof of this lemma, the only thing that isn't done yet and isn't trivial is the assertion $\iota(\lambda) = E Z$. But this assertion is a consequence of $E e^{\pm a} = \pm a e^{\pm a}$ and of a Leibniz law for the derivation E , appropriately generalized to a context where Z can be thought of as a "product" of "arrow reservoirs". The details are left to the reader. \square

3.7.3 The computation of λ Naturally, our next task is to prove Equation (25). This is done entirely algebraically within the finite rank module IAM_G . To read this section one need not know about $\mathcal{A}^{sw}(\uparrow)$, or ι , or Z , but we do need to lay out some notation. Start by marking the arrows of G with a_1 through a_n in some order.

Let ϵ stand for the informal yet useful quantity "a little". Let λ_{ij} denote the difference $\lambda'_{ij} - \lambda''_{ij}$ of red excitations in the A sector of IAM_G , where λ'_{ij} is the diagram with a red arrow whose tail is ϵ to the right of the left end of a_i and whose head is $\frac{1}{2}\epsilon$ away from the head of a_j in the direction of the tail of a_j , and where λ''_{ij} has a red arrow whose tail is ϵ to the left of the right end of a_i and whose head is as before, $\frac{1}{2}\epsilon$ away from head of a_j in the direction of the tail of a_j . Let $\Lambda = (\lambda_{ij})$ be the matrix whose entries are the λ_{ij} , as shown in Figure 20.

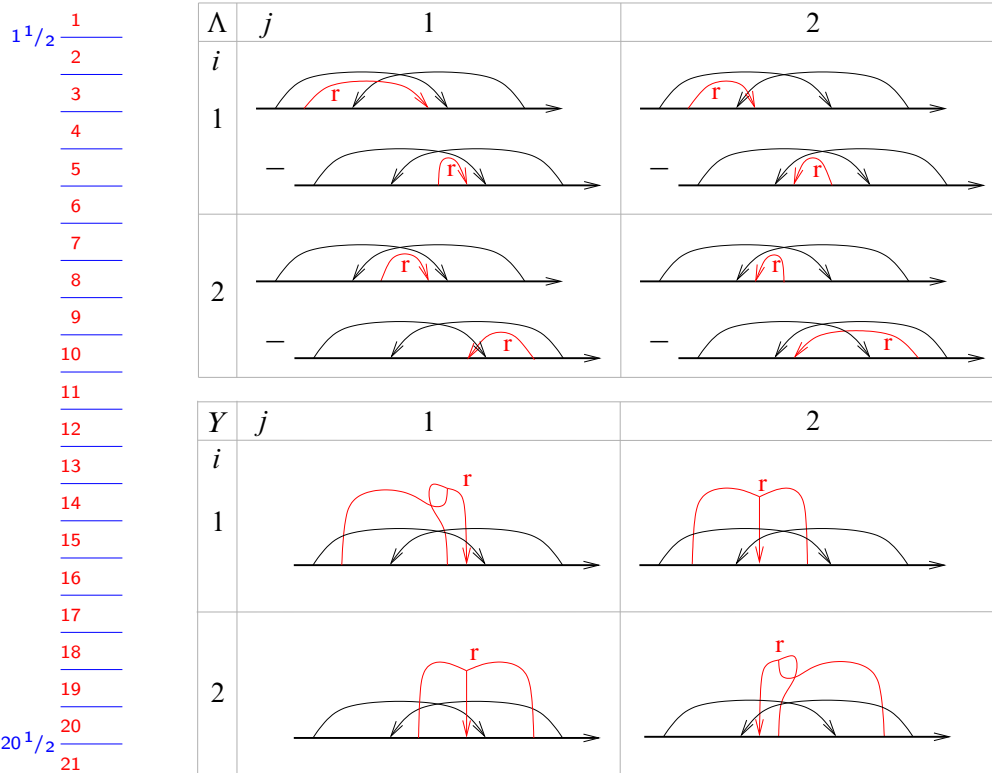
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Similarly, let y_{ij} denote the element in the Y sector of IAM_G whose red Y has its head $\frac{1}{2}\epsilon$ away from head of a_j in the direction of the tail of a_j , its right tail (as seen from the head) ϵ to the left of the right end of a_i and its left tail ϵ to the right of the left end of a_i . Let $Y = (y_{ij})$ be the matrix whose entries are the y_{ij} , as shown in Figure 20.

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Lemma 3.36 With S and T as in Definition 3.23, and with $B = T(X^{-S} - I)$ and λ as above, the following identities between elements of IAM_G and matrices with entries



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Figure 20: The matrices Λ and Y for a sample 2-arrow Gauss diagram (the signs on a_1 and a_2 are suppressed, and so are the r marks). The twists in y_{11} and y_{22} may be replaced by minus signs.

in IAM_G hold true:

$$(26) \quad \lambda - sl \cdot D_A = \text{tr } S\Lambda,$$

$$(27) \quad \Lambda = -BY - TX^{-S}w_1,$$

$$(28) \quad Y = BY + TX^{-S}w_1.$$

Proof of Equation (25) given Lemma 3.36 The last of the equalities above implies that $Y = (I - B)^{-1}TX^{-S}w_1$. Thus,

$$\begin{aligned} \lambda - sl \cdot D_A &= \text{tr } S\Lambda = -\text{tr } S(BY + TX^{-S}w_1) \\ &= -\text{tr } S(B(I - B)^{-1}TX^{-S} + TX^{-S})w_1 \\ &= -\text{tr}((I - B)^{-1}TSX^{-S})w_1, \end{aligned}$$

and this is exactly Equation (25). □

1 **Proof of Lemma 3.36** Equation (26) is trivial. The proofs of Equations (27) and (28)
 2 both have the same simple cores, that have to be supplemented by highly unpleasant
 3 tracking of signs and conventions and powers of X . Let us start from the cores.

4
 5 To prove Equation (27) we wish to “compute” $\lambda_{ik} = \lambda'_{ik} - \lambda''_{ik}$. As λ'_{ik} and λ''_{ik} have
 6 their heads in the same place, we can compute their difference by gradually sliding
 7 the tail of λ'_{ik} from its original position near the left end of a_i towards the right end
 8 of a_i , where it would be cancelled by λ''_{ik} . As the tail slides we pick up a y_{jk} term
 9 each time it crosses a head of an a_j (relation A_{th}), we pick up a vanishing term each
 10 time it crosses a tail (relation A_{tt}), and we pick up a w_1 term if the tail needs to cross
 11 over its own head (relation A_w). Ignoring signs and $(X^{\pm 1} - 1)$ factors, the sum of
 12 the y_{jk} -terms should be proportional to TY , for indeed, the matrix T has non-zero
 13 entries precisely when the head of an a_j falls within the span of an a_i . Un-ignoring
 14 these signs and factors, we get $-BY$ (recall that $B = T(X^{-S} - I)$ is just T with
 15 added $(X^{\pm 1} - 1)$ factors). Similarly, a w_1 term arises in this process when a tail has
 16 to cross over its own head, that is, when the head of a_k is within the span of a_i . Thus,
 17 the w_1 term should be proportional to Tw_1 , and we claim it is $-TX^{-S}w_1$.

18 The core of the proof of Equation (28) is more or less the same. We wish to “compute”
 19 y_{ik} by sliding its left leg, starting near the left end of a_i , towards its right leg, which is
 20 stationary near the right end of a_i . When the two legs come together, we get 0 because
 21 of the anti-symmetry of Y excitations. Along the way we pick up further Y terms from
 22 the Y_{th} relations, and sometimes a w_1 term from the Y_w relation. When all signs and
 23 $(X^{\pm 1} - 1)$ factors are accounted for, we get Equation (28).
 24

25 We leave it to the reader to complete the details in the above proofs. It is a major
 26 headache, and we would not have trusted ourselves had we not written a computer
 27 program to manipulate quantities in IAM_G by a brute force application of the relations
 28 in \mathcal{R} . Everything checks; see [15, “The Infinitesimal Alexander Module”]. \square
 29

30 This concludes the proof of Theorem 3.26. \square
 31

32
 33 **Remark 3.37** We chose the name “infinitesimal Alexander module” as in our mind
 34 there is some similarity between IAM_K and the “Alexander module” of K . Yet beyond
 35 the above, we did not embark on any serious study of IAM_K . In particular, we do not
 36 know if IAM_K in itself is an invariant of K (though we suspect it wouldn’t be hard to
 37 show that it is), we do not know if IAM_K contains any further information beyond sl
 38 and the Alexander polynomial, and we do not know if there is any formal relationship
 39 between IAM_K and the Alexander module of K .
 39^{1/2}

1 **Remark 3.38** The logarithmic derivative of the Alexander polynomial also appears in
 2 Lescop’s work, see [68; 67]. We don’t know if its appearances there are related to its
 3 appearance here.

4
 5 **3.8 The relationship with u-knots**

6
 7 Unlike in the case of braids, there is a canonical universal finite-type invariant of
 8 u-knots: the Kontsevich integral Z^u . So it makes sense to ask how it is related to the
 9 expansion Z^w .

10 We claim that the square

$$\begin{array}{ccc} \mathcal{K}^u(\uparrow) & \xrightarrow{Z^u} & \mathcal{A}^u(\uparrow) \\ \downarrow a & & \downarrow \alpha \\ \mathcal{K}^w(\uparrow) & \xrightarrow{Z^w} & \mathcal{A}^{sw}(\uparrow) \end{array}$$

11
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 16 commutes, where $\mathcal{K}^u(\uparrow)$ stands for long u-knots (knottings of an oriented line), and Deleted “on the left”
 17 similarly $\mathcal{K}^w(\uparrow)$ denotes long w-knots. As before, a is the composition of the maps
 18 u-knots \rightarrow v-knots \rightarrow w-knots, and α is the induced map on the projectivizations,
 19 mapping each chord to the sum of the two ways to direct it.

20
 21 Recall that α kills everything but wheels and arrows (hence Z^w is much weaker, but
 22 also easier to handle, than the Kontsevich integral). We are going to use the formula
 23 for the “wheel part” of the Kontsevich integral as stated in [58]. Let K be a 0–framed
 24 long knot, and let $A(K)$ denote the Alexander polynomial. Then by [58],

$$Z^u(K) = \exp_{\mathcal{A}^u} \left(-\frac{1}{2} \log A(K)(e^h) \Big|_{h^{2n} \rightarrow w_{2n}^u} \right) + \text{“loopy terms”},$$

25
 26
 27 where w_{2n}^u stands for the unoriented wheel with $2n$ spokes, and “loopy terms” means
 28 terms that contain diagrams with more than one loop, which are killed by α . Note that
 29 by the symmetry $A(z) = A(z^{-1})$ of the Alexander polynomial, $A(K)(e^h)$ contains
 30 only even powers of h , as suggested by the formula.

31
 32 We need to understand how α acts on wheels. Due to the two-in-one-out rule, a
 33 wheel is zero unless all the “spokes” are oriented inward, and the cycle oriented in one
 34 direction. In other words, there are two ways to orient an unoriented wheel: clockwise
 35 or counterclockwise. Due to the anti-symmetry of chord vertices, we get that for odd
 36 wheels $\alpha(w_{2h+1}^u) = 0$, and for even wheels $\alpha(w_{2h}^u) = 2w_{2h}^w$. As a result,

$$\begin{aligned} \alpha Z^u(K) &= \exp_{\mathcal{A}^{sw}} \left(-\frac{1}{2} \log A(K)(e^h) \Big|_{h^{2n} \rightarrow 2w_{2n}} \right) \\ &= \exp_{\mathcal{A}^{sw}} \left(-\log A(K)(e^h) \Big|_{h^{2n} \rightarrow w_{2n}} \right), \end{aligned}$$

1 which agrees with the formula (22) of Theorem 3.26. Note that since K is 0-framed,
 2 the first part (“ sl coded in arrows”) of formula (22) is trivial.

3
 4 **4 Odds and ends**

5
 6 **4.1 Some dimensions**

7
 8 The table below lists what we could find about \mathcal{A}^v and \mathcal{A}^w by crude brute force
 9 computations in low degrees. We list degrees 0 through 7. The spaces we study are
 10 $\mathcal{A}^-(\uparrow)$, $\mathcal{A}^{s^-}(\uparrow)$ (the $-$ in the subscript means “ v and w ”), and $\mathcal{A}^{r^-}(\uparrow)$ which is
 11 $\mathcal{A}^-(\uparrow)$ moded out by “isolated” arrows,³⁶ $\mathcal{P}^-(\uparrow)$ which is the space of primitives in
 12 $\mathcal{A}^-(\uparrow)$, and $\mathcal{A}^-(\bigcirc)$, $\mathcal{A}^{s^-}(\bigcirc)$, and $\mathcal{A}^{r^-}(\bigcirc)$, which are the same as $\mathcal{A}^-(\uparrow)$, $\mathcal{A}^{s^-}(\uparrow)$,
 13 and $\mathcal{A}^{r^-}(\uparrow)$ except with closed knots (knots with a circle skeleton) replacing long
 14 knots. Each of these spaces we study in three variants: the v and the w variants, as
 15 well as the usual knots u variant which is here just for comparison. We also include a
 16 row “ $\dim \mathcal{G}_m \text{Lie}^-(\uparrow)$ ” for the dimensions of “Lie-algebraic weight systems”. Those
 17 are explained in the u and v cases in [6; 49; 69], and in the w case in Section 3.5.

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m		See Section 4.3									Comments
		0	1	2	3	4	5	6	7		
$\dim \mathcal{G}_m \mathcal{A}^-(\uparrow)$	$u v$	1 1	1 2	2 7	3 27	6 139	10 813	19 ?	33 ?	(1) (2)	
	w	1	2	4	7	12	19	30	45	(3), (4), (5)	
$\dim \mathcal{G}_m \text{Lie}^-(\uparrow)$	$u v$	1 1	1 2	2 7	3 27	6 ≥ 128	10 ?	19 ?	33 ?	(1) (6)	
	w	1	2	4	7	12	19	30	45	(5)	
$\dim \mathcal{G}_m \mathcal{A}^{s^-}(\uparrow)$	$u v$	- 1	- 1	- 3	- 10	- 52	- 298	- ?	- ?	(7) (2)	
	w	1	1	2	3	5	7	11	15	(3), (8)	
$\dim \mathcal{G}_m \mathcal{A}^{r^-}(\uparrow)$	$u v$	1 1	0 0	1 2	1 7	3 42	4 246	9 ?	14 ?	(1) (9)	
	w	1	0	1	1	2	2	4	4	(3), (10)	
$\dim \mathcal{G}_m \mathcal{P}^-(\uparrow)$	$u v$	0 0	1 2	1 4	1 15	2 82	3 502	5 ?	8 ?	(1) (11)	
	w	0	2	1	1	1	1	1	1	(3)	
$\dim \mathcal{G}_m \mathcal{A}^-(\bigcirc)$	$u v$	1 1	1 1	2 2	3 5	6 19	10 77	19 ?	33 ?	(1) (12)	
	w	1	1	1	1	1	1	1	1	(3)	
$\dim \mathcal{G}_m \mathcal{A}^{s^-}(\bigcirc)$	$u v$	- 1	- 1	- 1	- 2	- 6	- 23	- ?	- ?	(7) (2)	
	w	1	1	1	1	1	1	1	1	(3)	
$\dim \mathcal{G}_m \mathcal{A}^{r^-}(\bigcirc)$	$u v$	1 1	0 0	1 0	1 1	3 4	4 17	9 ?	14 ?	(1) (12)	
	w	1	0	0	0	0	0	0	0	(3)	

36 That is, $\mathcal{A}^{r^-}(\uparrow)$ is $\mathcal{A}^-(\uparrow)$ modulo “framing independence” (FI) relations (see Section 3.4, cf [6],
 37 with the isolated arrow taken with either orientation). It is the space related to finite-type invariants of
 38 unframed knots, on which the R1 move is also imposed, in the same way as $\mathcal{A}^-(\uparrow)$ is related to framed
 39 knots.

- $1^{1/2}$ **Comments 4.1** (1) Much more is known computationally in the u -knots case. See especially [6; 8; 56; 3].
- (2) These dimensions were computed by Louis Leung and DBN using a program available at [15, “Dimensions”].
- (3) As we have seen in Section 3.4, the spaces associated with w -knots are understood to all degrees.
- (4) To degree 4, these numbers were also verified by [15, “Dimensions”].
- (5) The next few numbers in these sequences are 67, 97, 139, 195, 272.
- (6) These dimensions were computed by Louis Leung and DBN using a program available at [15, “Arrow Diagrams and $gl(N)$ ”]. Note the match with the row above.
- (7) There is no “ s ” quotient in the “ u ” case.
- (8) The next few numbers in this sequence are 22, 30, 42, 56, 77.
- (9) These numbers were computed by [15, “Dimensions”]. Contrary to the \mathcal{A}^u case, \mathcal{A}^{rv} is *not* the quotient of \mathcal{A}^v by the ideal generated by degree 1 elements, and therefore the dimensions of the graded pieces of these two spaces cannot be deduced from each other using the Milnor–Moore theorem.
- $20^{1/2}$ (10) The next few numbers in this sequence are 7, 8, 12, 14, 21.
- (11) These dimensions were deduced from the dimensions of $\mathcal{G}_m \mathcal{A}^v(\uparrow)$ using the Milnor–Moore theorem.
- (12) Computed by [15, “Dimensions”]. Contrary to the \mathcal{A}^u case, $\mathcal{A}^v(\circ)$, $\mathcal{A}^{sv}(\circ)$ and $\mathcal{A}^{rv}(\circ)$ are *not* isomorphic to $\mathcal{A}^v(\uparrow)$, $\mathcal{A}^{sv}(\uparrow)$ and $\mathcal{A}^{rv}(\uparrow)$, and separate computations are required.

4.2 What do we mean by “closed form”?

means \rightarrow do we mean by

As stated earlier, one of our hopes for this sequence of papers is that it will lead to closed-form formulae for tree-level associators. The notion “closed-form” in itself requires an explanation. Is e^x a closed form expression for $\sum_{n=0}^{\infty} x^n/n!$, or is it just an artificial name given for a transcendental function we cannot otherwise reduce? Likewise, why not call some tree-level associator Φ^{tree} and now it is “in closed form”?

For us, “closed-form” should mean “useful for computations”. More precisely, it means that the quantity in question is an element of some space \mathcal{A}^{cf} of “useful closed-form things” whose elements have finite descriptions (hopefully, finite and short) and on which some operations are defined by algorithms which terminate in finite time

$39^{1/2}$

1 (hopefully, finite and short). Furthermore, there should be a finite-time algorithm to
 2 decide whether two descriptions of elements of \mathcal{A}^{cf} describe the same element.³⁷ It
 3 is even better if the said decision algorithm takes the form “bring each of the two
 4 elements in question to a canonical form by means of some finite (and hopefully short)
 5 procedure, and then compare the canonical forms verbatim”; if this is the case, then
 6 many algorithms that involve managing a large number of elements become simpler
 7 and faster.

8 Thus, for example, polynomials in a variable x are always of closed form, for they
 9 are simply described by finite sequences of integers (which in themselves are finite
 10 sequences of digits), the standard operations on polynomials ($+$, \times , and, say, $\frac{d}{dx}$) are
 11 algorithmically computable, and it is easy to write the “polynomial equality” computer
 12 program. Likewise for rational functions and even for rational functions of x and e^x .
 13

14 On the other hand, general elements Φ of the space $\mathcal{A}^{tree}(\uparrow_3)$ of potential tree-level
 15 associators are not closed-form, for they are determined by infinitely many coefficients.
 16 Thus, iterative constructions of associators, such as the one in [10] are computationally
 17 useful only within bounded-degree quotients of $\mathcal{A}^{tree}(\uparrow_3)$ and not as all-degree closed-
 18 form formulae. Likewise, “explicit” formulae for an associator Φ in terms of multiple
 19 ζ -values (eg [62]) are not useful for computations as it is not clear how to apply tangle-
 20 theoretic operations to Φ (such as $\Phi \mapsto \Phi^{1342}$ or $\Phi \mapsto (1 \otimes \Delta \otimes 1)\Phi$) while staying
 21 within some space of “objects with finite description in terms of multiple ζ -values”.
 22 And even if a reasonable space of such objects could be defined, it remains an open
 23 problem to decide whether a given rational linear combination of multiple ζ -values is
 24 equal to 0.

20^{1/2}

25
 26 **4.3 Arrow diagrams up to degree 2**

27 Just as an example, in this section we study the spaces $\mathcal{A}^-(\uparrow)$, $\mathcal{A}^{s^-}(\uparrow)$, $\mathcal{A}^{r^-}(\uparrow)$,
 28 $\mathcal{P}^-(\uparrow)$, $\mathcal{A}^-(\circ)$, $\mathcal{A}^{s^-}(\circ)$, and $\mathcal{A}^{r^-}(\circ)$ in degrees $m \leq 2$ in detail, both in the “v”
 29 case and in the “w” case (the “u” case has long been known [6; 56; 8]).

been known since long →
 long been known

31 **4.3.1 Arrow diagrams in degree 0** There is only one degree 0 arrow diagram, the
 32 empty diagram D_0 (see Figure 21). There are no relations, and thus $\{D_0\}$ is the basis
 33 of all $\mathcal{G}_0\mathcal{A}^-(\uparrow)$ spaces, and its closure, the empty circle, is the basis of all $\mathcal{G}_0\mathcal{A}^-(\circ)$
 34 spaces. D_0 is the unit 1, yet $\Delta D_0 = D_0 \otimes D_0 = 1 \otimes 1 \neq D_0 \otimes 1 + 1 \otimes D_0$, so D_0 is
 35 not primitive and $\dim \mathcal{G}_0\mathcal{P}^-(\uparrow) = 0$.

36
 37 **4.3.2 Arrow diagrams in degree 1** There are only two degree 1 arrow diagrams, the is → are

38 ³⁷In our context, if it is hard to decide within the target space of an invariant whether two elements are
 39 equal or not, the invariant is not too useful in deciding whether two knotted objects are equal or not.

39^{1/2}

1 “right arrow” diagram D_R and the “left arrow” diagram D_L (see Figure 21). There are
 2 no $6T$ relations, and thus $\{D_R, D_L\}$ is the basis of $\mathcal{G}_1\mathcal{A}^-(\uparrow)$. Modulo RI, $D_L = D_R$
 3 and hence, $D_A := D_L = D_R$ is the single basis element of $\mathcal{G}_1\mathcal{A}^{s^-}(\uparrow)$. Both D_R and
 4 D_L vanish modulo FI, so $\dim \mathcal{G}_1\mathcal{A}^{r^-}(\uparrow) = \dim \mathcal{G}_1\mathcal{A}^{r^-}(\circ) = 0$. Both D_R and D_L
 5 are primitive, so $\dim \mathcal{G}_1\mathcal{P}^-(\uparrow) = 2$. Finally, the closures \bar{D}_R and \bar{D}_L of D_R and D_L
 6 are equal, so

$$\mathcal{G}_1\mathcal{A}^{s^-}(\circ) = \mathcal{G}_1\mathcal{A}^-(\circ) = \langle \bar{D}_R \rangle = \langle \bar{D}_L \rangle = \langle \bar{D}_A \rangle.$$

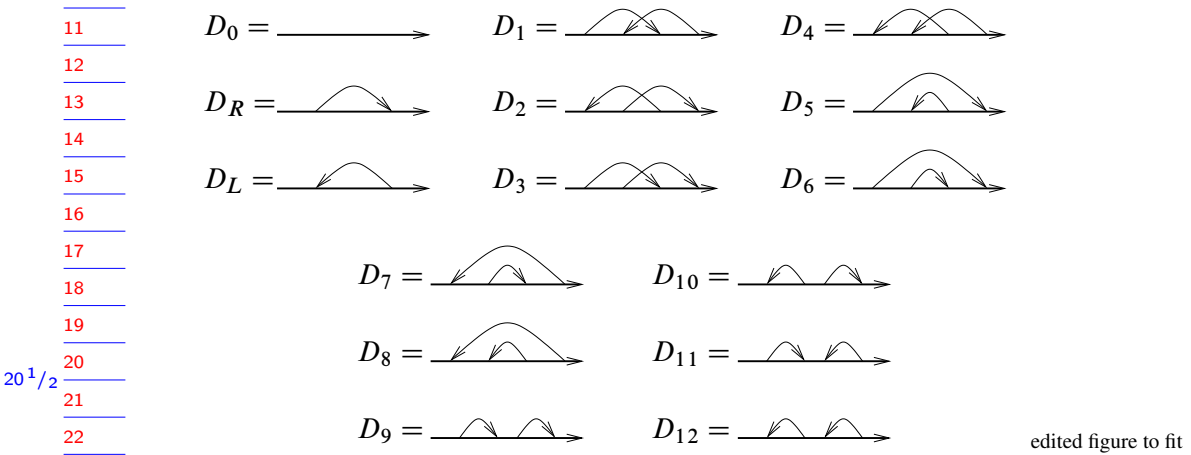


Figure 21: The 15 arrow diagrams of degree at most 2.

27 **4.3.3 Arrow diagrams in degree 2** There are 12 degree 2 arrow diagrams, which we
 28 denote D_1, \dots, D_{12} (see Figure 21). There are six $6T$ relations, corresponding to the 6
 29 ways of ordering the 3 vertical strands that appear in a $6T$ relation (see Figure 3) along
 30 a long line. The ordering (ijk) becomes the relation $D_3 + D_9 + D_3 = D_6 + D_3 + D_6$.
 31 Likewise, $(ikj) \mapsto D_6 + D_1 + D_{11} = D_3 + D_5 + D_1$, $(jik) \mapsto D_{10} + D_2 + D_6 =$
 32 $D_2 + D_5 + D_3$, $(jki) \mapsto D_4 + D_7 + D_1 = D_8 + D_1 + D_{11}$, $(kij) \mapsto D_2 + D_7 + D_4 =$
 33 $D_{10} + D_2 + D_8$, and $(kji) \mapsto D_8 + D_4 + D_8 = D_4 + D_{12} + D_4$. After some
 34 linear algebra, we find that $\{D_1, D_2, D_6, D_8, D_9, D_{11}, D_{12}\}$ form a basis of $\mathcal{G}_2\mathcal{A}^v(\uparrow)$,
 35 and that the remaining diagrams reduce to the basis as follows: $D_3 = 2D_6 - D_9$,
 36 $D_4 = 2D_8 - D_{12}$, $D_5 = D_9 + D_{11} - D_6$, $D_7 = D_{11} + D_{12} - D_8$, and $D_{10} = D_{11}$.
 37 In $\mathcal{G}_2\mathcal{A}^{sv}(\uparrow)$ we further have that $D_5 = D_6$, $D_7 = D_8$, and $D_9 = D_{10} = D_{11} = D_{12}$,
 38 and so $\mathcal{G}_2\mathcal{A}^{sv}(\uparrow)$ is 3-dimensional with basis D_1, D_2 , and $D_3 = \dots = D_{12}$. In
 39 $\mathcal{G}_2\mathcal{A}^{rv}(\uparrow)$ we further have that $D_{5-12} = 0$. Thus, $\{D_1, D_2\}$ is a basis of $\mathcal{G}_2\mathcal{A}^{rv}(\uparrow)$.

¹/₂ There are 3 OC relations to write for $\mathcal{G}_2\mathcal{A}^w(\uparrow)$: $D_2 = D_{10}$, $D_3 = D_6$, and $D_4 = D_8$.

² Along with the $6T$ relations, we find that

$$\{D_1, D_3 = D_6 = D_9, D_2 = D_5 = D_7 = D_{10} = D_{11}, D_4 = D_8 = D_{12}\}$$

⁵ is a basis of $\mathcal{G}_2\mathcal{A}^w(\uparrow)$. Similarly $\{D_1, D_2 = \dots = D_{12}\}$ is a basis of the two-dimensional $\mathcal{G}_2\mathcal{A}^{sw}(\uparrow)$. When we mod out by FI, only one diagram remains non-zero in $\mathcal{G}_2\mathcal{A}^{rw}(\uparrow)$ and it is D_1 .

⁸ We leave the determination of the primitives and the spaces with a circle skeleton as an exercise to the reader.

Glossary of notation omitted

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