

Lecture 2: A universal bivariant theory and Riemann-Roch formulas

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θ is called a **nice canonical orientation** of \mathbb{B} .

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From now on we assume that our category \mathcal{V} satisfies that **any fiber square**

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Let \mathcal{V} be a category with a class \mathcal{C} of confined maps, a class $\mathcal{I}nd$ of independent squares and a class \mathcal{S} of specialized maps. Define

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(1) The association $\mathbb{M}_{\mathcal{S}}^{\mathcal{C}}$ is a bivariant theory, i.e., satisfies 7 axioms, if the bivariant operations are defined as follows:

(i). **Product:**

$$\bullet : \mathbb{M}_S^C(X \xrightarrow{f} Y) \otimes \mathbb{M}_S^C(Y \xrightarrow{g} Z) \rightarrow \mathbb{M}_S^C(X \xrightarrow{g \circ f} Z)$$

is defined by

$$[V \xrightarrow{h} X] \bullet [W \xrightarrow{k} Y] := [V' \xrightarrow{h \circ k'} X]$$

and extended linearly, where

$$\begin{array}{ccccccc} V' & \xrightarrow{h'} & X' & \xrightarrow{f'} & W & & \\ k'' \downarrow & & k' \downarrow & & k \downarrow & & \\ V & \xrightarrow{h} & X & \xrightarrow{f} & Y & \xrightarrow{g} & Z. \end{array}$$

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(ii). **Pushforward:** For $f : X \rightarrow Y$ and $g : Y \rightarrow Z$ with f confined,

$$f_* : \mathbb{M}_S^C(X \xrightarrow{g \circ f} Z) \rightarrow \mathbb{M}_S^C(Y \xrightarrow{g} Z) \text{ is defined by } f_* \left([V \xrightarrow{h} X] \right) := [V \xrightarrow{f \circ h} Y]$$

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(iii). **Pullback:** For an independent square

$$\begin{array}{ccc} & & \\ f' \downarrow & & \downarrow f \\ Y' & \xrightarrow{g} & Y, \end{array}$$

$$g^* : \mathbb{M}_S^C(X \xrightarrow{f} Y) \rightarrow \mathbb{M}_S^C(X' \xrightarrow{f'} Y') \text{ is defined by } g^* \left([V \xrightarrow{h} X] \right) := [V' \xrightarrow{h'} X']$$

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$$\gamma_{\mathbb{B}}(\theta_{\mathbb{M}_S^{\mathcal{C}}}(f)) = \theta_{\mathbb{B}}(f).$$

(In a sense, this is a RR-formula with $u_f = 1_X$ or $d_f = 1_Y$.)

Commutativity

$\mathbb{M}_{\mathcal{S}}^{\mathcal{C}}$ is commutative in the following sense: for the fiber square

$$\begin{array}{ccc} X' & \xrightarrow{g'} & X \\ f' \downarrow & & \downarrow f \\ Z' & \xrightarrow{g} & Z, \end{array}$$

and $\forall \alpha \in \mathbb{M}_{\mathcal{S}}^{\mathcal{C}}(X \xrightarrow{f} Z), \forall \beta \in \mathbb{M}_{\mathcal{S}}^{\mathcal{C}}(Z' \xrightarrow{g} Z)$ we have

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If $g^*(\alpha) \bullet \beta = (-1)^{\deg(\alpha) \deg(\beta)} f^*(\beta) \bullet \alpha$, it is called *skew-commutative* (see [Part I: Bivariant Theories] of Fulton-MacPherson's book).

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REMARK: Clearly there is a very trivial one: $\text{reldim}(f) := 0$ for $\forall f \in \mathcal{S}$.

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Let F be confined and specialized. Hence $[F \xrightarrow{a_F} pt] \in \mathbb{M}_S^C(pt \rightarrow pt)$. For $a_X : X \rightarrow pt$,

$$(a_X)^*[F \xrightarrow{a_F} pt] = [X \times F \xrightarrow{pr_1} X] \in \mathbb{M}_S^C(X \xrightarrow{id_X} X)$$

$$\begin{array}{ccc}
 X \times F & \longrightarrow & F \\
 pr_1 \downarrow & & \downarrow a_F \\
 X & \xrightarrow{a_X} & pt \\
 id_X \downarrow & & \downarrow \\
 X & \xrightarrow{a_X} & pt.
 \end{array}$$

NOTE: for $[F \xrightarrow{a_F} pt] \in \mathbb{M}_S^C(pt \rightarrow pt)$

$$[F \xrightarrow{a_F} pt] \bullet [F \xrightarrow{a_F} pt] = [F \times F \xrightarrow{a_{F \times F}} pt] \in \mathbb{M}_S^C(pt \rightarrow pt)$$

by the definition of the bivariate product \bullet :

$$\begin{array}{ccccc}
 F \times F & \xrightarrow{pr_2} & F & \xrightarrow{id_F} & F \\
 pr_1 \downarrow & & a_F \downarrow & & a_F \downarrow \\
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Then we have

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By induction, for n we have

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Convention: For $n = 0$ we define $[F \xrightarrow{a_F} pt]^0 := [pt \rightarrow pt]$ and $F^0 := pt$.

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Thus $[X \times F^n \xrightarrow{pr_1} X] \in \mathbb{M}_S^C(X \xrightarrow{id_X} X)$ and $[X \times F^n \xrightarrow{pr_1} X] \in \mathbb{M}_S^C(X \xrightarrow{f} Y)$.

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Here $[X \xrightarrow{id_X} X] \in \mathbb{M}_S^C(X \xrightarrow{f} Y)$ is a canonical orientation $\theta_{\mathbb{M}_S^C}(f)$. So, we can express the bivariate element $[X \times F^n \xrightarrow{pr_1} X] \in \mathbb{M}_S^C(X \xrightarrow{f} Y)$ by

$$[X \times F^n \xrightarrow{pr_1} X] = [X \times F^n \xrightarrow{pr_1} X] \bullet \theta_{\mathbb{M}_S^C}(f) = (a_X)^*([F \xrightarrow{a_F} pt]^n) \bullet \theta_{\mathbb{M}_S^C}(f).$$

Theorem

Assume that we can define the integer reldim on a class \mathcal{S} of specialized maps. Let F be confined and specialized. For a specialized map $f : X \rightarrow Y$ we define

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$\theta_{\mathbb{M}_S^C}^F$ is a nice canonical orientation, i.e., it satisfies the following:

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$$g^*(\theta_{\mathbb{M}_S^C}^F(f)) = \theta_{\mathbb{M}_S^C}^F(f').$$

Theorem

Assume that we can define the integer reldim on a class S of specialized maps. Let F be confined and specialized. For a specialized map $f : X \rightarrow Y$ we define

$$\theta_{\mathbb{M}_S^C}^F(f) := (\mathbf{a}_X)^* ([F \xrightarrow{a_F} pt]^{\text{reldim}(f)}) \bullet \theta_{\mathbb{M}_S^C}(f) \in \mathbb{M}_S^C(X \xrightarrow{f} Y).$$

$\theta_{\mathbb{M}_S^C}^F$ is a nice canonical orientation, i.e., it satisfies the following:

1. $\theta_{\mathbb{M}_S^C}^F(g \circ f) = \theta_{\mathbb{M}_S^C}^F(f) \bullet \theta_{\mathbb{M}_S^C}^F(g)$ for $f : X \rightarrow Y, g : Y \rightarrow Z \in S$.
2. $\theta_{\mathbb{M}_S^C}^F(\text{id}_X) = 1_X$.

3. for an independent square where $f, f' \in S$,
- $$\begin{array}{ccc} X' & \xrightarrow{g'} & X \\ f' \downarrow & & \downarrow f \\ Y' & \xrightarrow{g} & Y, \end{array}$$

$$g^*(\theta_{\mathbb{M}_S^C}^F(f)) = \theta_{\mathbb{M}_S^C}^F(f').$$

In particular, when $F = pt$, we have that

$$\theta_{\mathbb{M}_S^C}^{pt}(f) = \theta_{\mathbb{M}_S^C}(f).$$

In fact, the above bivariant element $[F \rightarrow pt] \in \mathbb{M}_S^c(pt \rightarrow pt)$ **can be replaced by any element**

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Hence we can show the following formula.

COROLLARY: Let $\Delta \in \mathbb{M}_S^C(pt \rightarrow pt)$.

1. (“upstairs” Riemann–Roch “self” formula)

$$\theta_{\mathbb{M}_S^C}^{\Delta}(f) = (a_X)^*(\Delta^{\text{reldim}(f)}) \bullet \theta_{\mathbb{M}_S^C}(f)$$

is a *nice canonical orientation*, where $(a_X)^*(\Delta^{\text{reldim}(f)}) \in \mathbb{M}_S^C(X \xrightarrow{\text{id}_X} X)$.

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2. (“downstairs” Riemann–Roch “self” formula)

$$\Delta \theta_{\mathbb{M}_S^C}(f) = \theta_{\mathbb{M}_S^C}(f) \bullet (a_Y)^*(\Delta^{\text{reldim}(f)})$$

is a *nice canonical orientation*, where $(a_Y)^*(\Delta^{\text{reldim}(f)}) \in \mathbb{M}_S^C(Y \xrightarrow{\text{id}_Y} Y)$.

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We also get the following, which follows from the universality of UBT:

Corollary

Let $\Delta \in \mathbb{M}_S^C(pt \rightarrow pt)$. \exists a unique Grothendieck (auto-)transformation

$$\gamma^\Delta : \mathbb{M}_S^C \rightarrow \mathbb{M}_S^C$$

such that $\gamma^\Delta(\theta_{\mathbb{M}_S^C}(f)) = \theta_{\mathbb{M}_S^C}^\Delta(f) = (a_X)^*(\Delta^{\text{reldim}(f)}) \bullet \theta_{\mathbb{M}_S^C}(f)$ for a specialized map $f : X \rightarrow Y$. (Because $\theta_{\mathbb{M}_S^C}^\Delta(f)$ is a nice canonical orientation.)

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In particular, we have “SGA6”, “BFM-RR” and “Verdier-RR”: (Note:

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1. “SGA6”: For a confined and specialized map $f : X \rightarrow Y$ we have the following commutative diagram:

$$\begin{array}{ccc} \mathbb{M}_S^{C*}(X) & \xrightarrow{\gamma^\Delta} & \mathbb{M}_S^{C*}(X) \\ f_! \downarrow & & \downarrow f_!((a_X)^*(\Delta^{\text{reldim}(f)}) \bullet -) = f_!(-) \bullet (a_Y)^*(\Delta^{\text{reldim}(f)}) \\ \mathbb{M}_S^{C*}(Y) & \xrightarrow{\gamma^\Delta} & \mathbb{M}_S^{C*}(Y), \end{array}$$

1. “BFM-RR”: For a confined map $f : X \rightarrow Y$ we have the following commutative diagram:

$$\begin{array}{ccc} \mathbb{M}_{S_*}^{\mathcal{C}}(X) & \xrightarrow{\gamma^{\Delta}} & \mathbb{M}_{S_*}^{\mathcal{C}}(X) \\ f_* \downarrow & & \downarrow f_* \\ \mathbb{M}_{S_*}^{\mathcal{C}}(Y) & \xrightarrow{\gamma^{\Delta}} & \mathbb{M}_{S_*}^{\mathcal{C}}(Y) \end{array}$$

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 \end{array}$$

2. “Verdier–RR”: For a specialized map $f : X \rightarrow Y$ the following diagram commute:

$$\begin{array}{ccc}
 \mathbb{M}_{S_*}^{\mathbb{C}}(Y) & \xrightarrow{\gamma^{\Delta}} & \mathbb{M}_{S_*}^{\mathbb{C}}(Y) \\
 f^! \downarrow & & \downarrow (a_X)^*(\Delta^{\text{reldim}(f)})_{\bullet} f^! = f^!((a_Y)^*(\Delta^{\text{reldim}(f)})_{\bullet} -) \\
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§1.3. A very naive universal bivariate theory

We give another **very naive and simple** universal bivariate theory $\mathbb{M}^{\mathcal{C}}$ **without using the class \mathcal{S} of specialized maps.**

THEOREM (A very naive universal bivariate theory) *Let \mathcal{V} be a category with a class \mathcal{C} of confined maps and a class of independent squares. Define*

$$\mathbb{M}^{\mathcal{C}}(X \xrightarrow{f} Y)$$

to be the free abelian group generated by the set of isomorphism classes of confined morphisms $h : W \rightarrow X$.

(1) The association $\mathbb{M}^{\mathcal{C}}$ is a bivariate theory if the three bivariate operations are defined exactly in the same way as in UBT above.

*(i). **Product:** For morphisms $f : X \rightarrow Y$ and $g : Y \rightarrow Z$, the product operation*

$$\bullet : \mathbb{M}^{\mathcal{C}}(X \xrightarrow{f} Y) \otimes \mathbb{M}^{\mathcal{C}}(Y \xrightarrow{g} Z) \rightarrow \mathbb{M}^{\mathcal{C}}(X \xrightarrow{gf} Z).$$

*(ii). **Pushforward:** For morphisms $f : X \rightarrow Y$ and $g : Y \rightarrow Z$ with f confined, the pushforward operation*

$$f_* : \mathbb{M}^{\mathcal{C}}(X \xrightarrow{gf} Z) \rightarrow \mathbb{M}^{\mathcal{C}}(Y \xrightarrow{g} Z).$$

(iii). **Pullback:** For an independent square

$$\begin{array}{ccc} X' & \xrightarrow{g'} & X \\ f' \downarrow & & \downarrow f \\ Y' & \xrightarrow{g} & Y, \end{array}$$

the pullback operation

$$g^* : \mathbb{M}^{\mathcal{C}}(X \xrightarrow{f} Y) \rightarrow \mathbb{M}^{\mathcal{C}}(X' \xrightarrow{f'} Y').$$

(2). (A very naive universality of $\mathbb{M}^{\mathcal{C}}$) Let \mathbb{B} be a bivariant theory on the same category \mathcal{V} with the same class \mathcal{C} of confined morphisms and the same class of independent squares. Let $\theta_{\mathbb{B}}$ be a canonical orientation for all maps in \mathcal{V} . Then there exists a unique Grothendieck transformation

$$\gamma_{\mathbb{B}} : \mathbb{M}^{\mathcal{C}} \rightarrow \mathbb{B}$$

such that $\gamma_{\mathbb{B}} : \mathbb{M}^{\mathcal{C}}(X \xrightarrow{f} Y) \rightarrow \mathbb{B}(X \xrightarrow{f} Y)$ satisfies the normalization condition that for any map $f : X \rightarrow Y$ in \mathcal{C}

$$\gamma_{\mathbb{B}}([X \xrightarrow{\text{id}_X} X]) = \theta_{\mathbb{B}}(f).$$

§2 Simple examples of bivariant theories and Riemann–Roch formulas

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$$\mathbb{F}(X \xrightarrow{f} Y) := \mathbb{F}^0(X \xrightarrow{f} Y)$$

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1. (product)

$$\bullet : \mathbb{F}(X \xrightarrow{f} Y) \otimes \mathbb{F}(Y \xrightarrow{g} Z) \rightarrow \mathbb{F}(X \xrightarrow{g \circ f} Z)$$

for $\alpha \in \mathbb{F}(X \xrightarrow{f} Y)$, $\beta \in \mathbb{F}(Y \xrightarrow{g} Z)$ and for $x \in X$

$$(\alpha \bullet \beta)(x) := \alpha(x) \cdot \beta(f(x)).$$

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2. (pushforward) for any map $f : X \rightarrow Y$ (note that any map is confined)

$$f_* : \mathbb{F}(X \xrightarrow{g \circ f} Z) \rightarrow \mathbb{F}(Y \xrightarrow{g} Z)$$

for $y \in Y$

$$f_*(\alpha)(y) := \sum_{x \in f^{-1}(y)} \alpha(x).$$

1. **(pullback)** For a fiber square

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is defined by (the usual functional pullback)

$$(g^* \alpha)(x') := \alpha(g'(x')).$$

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2. $\theta_r(\text{id}_X) = 1_X$.
3. if $r \neq 1$, then θ_r is not a nice canonical orientation.

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For the category \mathcal{F} of finite sets there exists a unique Grothendieck transformation

$$\gamma_{\mathbb{F}} : \mathbb{M}^{\mathcal{C}} \rightarrow \mathbb{F}$$

such that for any map $f : X \rightarrow Y$

$$\gamma_{\mathbb{F}}(\theta_{\mathbb{M}^{\mathcal{C}}}(f)) = \theta_1(f).$$

Note $\theta_{\mathbb{M}^{\mathcal{C}}}(f) = [X \xrightarrow{\text{id}_X} X] \in \mathbb{M}^{\mathcal{C}}(X \xrightarrow{f} Y)$ and $\theta_1(f) = 1_X \in \mathbb{F}(X \xrightarrow{f} Y)$.

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REMARK: The “SGA 6”, “BFM–RR” and “Verdier–RR” of $\gamma_{\mathbb{F}} : \mathbb{M}^{\mathcal{C}} \rightarrow \mathbb{F}$ become the following respectively:

(1) “SGA 6” (for any map $f : X \rightarrow Y$):

$$\begin{array}{ccc} \mathbb{M}^{\mathcal{C}}(X \xrightarrow{\text{id}_X} X) & \xrightarrow{\gamma_{\mathbb{F}}} & \mathbb{F}(X \xrightarrow{\text{id}_X} X) \\ f_* = f_! \downarrow & & \downarrow f_! = f_* \\ \mathbb{M}^{\mathcal{C}}(Y \xrightarrow{\text{id}_Y} Y) & \xrightarrow{\gamma_{\mathbb{F}}} & \mathbb{F}(Y \xrightarrow{\text{id}_Y} Y), \end{array}$$

$f_!([V \xrightarrow{h} X]) = [V \xrightarrow{f \circ h} Y]$, $\gamma_{\mathbb{F}}([V \xrightarrow{h} X]) = h_* 1_V$ for $[V \xrightarrow{h} X] \in \mathbb{M}^{\mathcal{C}}(X \xrightarrow{\text{id}_X} X)$.

For $\alpha \in \mathbb{F}(X \xrightarrow{\text{id}_X} X)$ $f_! \alpha = f_* \alpha$.

(2) “BFM–RR” (for any map $f : X \rightarrow Y$):

$$\begin{array}{ccc}
 \mathbb{M}^C(X \rightarrow pt) & \xrightarrow{\gamma_{\mathbb{F}}} & \mathbb{F}(X \rightarrow pt) \\
 f_* \downarrow & & \downarrow f_* \\
 \mathbb{M}^C(Y \rightarrow pt) & \xrightarrow{\gamma_{\mathbb{F}}} & \mathbb{F}(Y \rightarrow pt),
 \end{array}$$

$$f_*([V \xrightarrow{h} X]) = [V \xrightarrow{f \circ h} Y], \quad \gamma_{\mathbb{F}}([V \xrightarrow{h} X]) = h_* 1_V \text{ for } [V \xrightarrow{h} X] \in \mathbb{M}^C(X \xrightarrow{\text{id}_X} X).$$

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(3) “Verdier–RR” (for any map $f : X \rightarrow Y$):

$$\begin{array}{ccc}
 \mathbb{M}^C(Y \rightarrow pt) & \xrightarrow{\gamma_{\mathbb{F}}} & \mathbb{F}(Y \rightarrow pt) \\
 f^! \downarrow & & \downarrow f^! = f^* \\
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$$\begin{array}{ccc} X' & \xrightarrow{g'} & X \\ f' \downarrow & & \downarrow f \\ Y' & \xrightarrow{g} & Y, \end{array}$$

$$g^*(\theta_{\mathcal{S}}(f)) := \theta_{\mathcal{S}}(f').$$

The following theorem follows from the theorems of UBT:

THEOREM: *Let the situation be as above. On the category \mathcal{F} of finite sets there exists a unique Grothendieck transformation*

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REMARK: The above equality

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The “modifier” $\chi(f)$ can be considered as a bivariant element

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Furthermore from this Riemann–Roch formula we can get the following “SGA 6”, “BFM–RR” and “Verdier–RR”:

(1) “SGA 6” (for a specialized map $f : X \rightarrow Y$):

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such that for any $f : X \rightarrow Y \in \mathcal{S}$, $\gamma_{\mathbb{F}}(\theta_{\mathbb{M}_{\mathcal{S}}^{\mathcal{C}}}(f)) = \theta_{\mathcal{S}}(f) = \chi(f)\theta_1(f)$.

2. We get the same “SGA 6”, “BFM-RR” and “Verdier-RR” as above.

For more examples of bivariant theories and Riemann-Roch formulas, see

- ▶ Fulton-MacPherson’s book [FM] (Mem. AMS.)
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- ▶ Déglise, “Bivariant Theories in Motivic Stable Homotopy”, Documenta Math. 23 (2018), 997-1076.

Thank you very much for your attention!

