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# HIGH DISTANCE HEEGAARD SPLITTINGS OF 3-MANIFOLDS

TATIANA EVANS

ABSTRACT. J. Hempel [4] used the curve complex associated to the Heegaard surface of a splitting of a 3-manifold to study its complexity. He introduced the distance of a Heegaard splitting as the distance between two subsets of the curve complex associated to the handlebodies. Inspired by a construction of T. Kobayashi [7], J. Hempel [4] proved the existence of arbitrarily high distance Heegaard splittings.

In this work we explicitly define an infinite sequence of 3-manifolds  $\{M^n\}$  via their representative Heegaard diagrams by iterating a 2-fold Dehn twist operator. Using purely combinatorial techniques we are able to prove that the distance of the Heegaard splitting of  $M^n$  is at least  $n$ .

Moreover, we show that  $\pi_1(M^n)$  surjects onto  $\pi_1(M^{n-1})$ . Hence, if we assume that  $M^0$  has non-trivial boundary then it follows that the first Betti number  $\beta_1(M^n) > 0$  for all  $n \geq 1$ . Therefore, the sequence  $\{M^n\}$  consists of Haken 3-manifolds for  $n \geq 1$  and hyperbolizable 3-manifolds for  $n \geq 3$ .

## 1. INTRODUCTION

A Heegaard splitting  $(S; V_1, V_2)$  for a closed 3-manifold  $M$  is a representation  $M = V_1 \cup_S V_2$  where  $V_1$  and  $V_2$  are handlebodies and  $S = \partial V_1 = \partial V_2 = V_1 \cap V_2$ . The distance of a Heegaard splitting  $(S; V_1, V_2)$  is the length of a shortest path in the curve complex of  $S$  which connects the subcomplexes  $K_{V_1}$  and  $K_{V_2}$ , where  $K_{V_i}$  is the subcomplex consisting of all vertices that correspond to simple closed curves bounding disks in  $V_i$  for  $i = 1, 2$ .

In this paper we continue to analyze the correlation between subcomplexes of the curve complex and the corresponding Heegaard splittings of 3-manifolds. In particular, we construct a sequence of 3-manifolds (in fact Haken 3-manifolds) which have arbitrarily large distance (see theorem 4.4 for a precise statement).

**Theorem 1.1.** *Let  $S$  be an orientable surface of genus  $g \geq 2$ . Suppose  $X = \{x_1, x_2, \dots, x_g\}$  is a collection of standard meridians on  $S$  and  $y$  is a simple closed curve on  $S$ . Let  $(S; X, y)$  describe a Heegaard diagram for a 3-manifold. Let  $Y^0 = y$  and then iteratively define  $Y^k = \tau_{Y^{k-1}}^2(X)$ ,  $k = 1, \dots, n$ . If the curve  $y$  is sufficiently complicated then  $\text{dist}(K_X, K_{Y^n}) \geq n$ .*

Here the notation  $\tau_{Y^0}^2(X)$  means the square of the Dehn twist operator of  $X$  along  $Y^0$  and  $d(K_X, K_{Y^n})$  denotes the distance of the Heegaard splitting defined by the Heegaard diagram  $(S; X, Y^n)$ .

There have been several similar results in the past. J. Hempel [4] showed that the set of distances of Heegaard splittings is unbounded for 3-manifolds obtained by

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using a construction of T. Kobayashi [7]. The proof proceeds by choosing a certain pseudo-Anosov map  $h$  defined on a Heegaard surface corresponding to handlebodies  $V_1$  and  $V_2$ . For each  $n$  he then considers the manifold obtained by gluing  $V_1$  to  $V_2$  by the map  $h^n$ . By analyzing the action of  $h$  on the space  $PML(S)$  of projective measured laminations Hempel proves that the set of distances of these Heegaard splittings is unbounded. A. Abrams and S. Schleimer [1] later showed that with the same set up the distance of the splittings grows linearly with  $n$  using the result of H. Masur and Y. Minsky [10] that the curve complex is Gromov hyperbolic.

Whereas the above results are existential our construction is explicit and purely combinatorial.

In contrast to our theorem Schleimer [14] proved that each fixed 3-manifold has a bound on distances of its Heegaard splittings. In particular this implies that our sequence contains infinitely many non-homeomorphic 3-manifolds.

In Section 2, we introduce the necessary definitions and state a few of the main theorems in the field as a form of motivation.

In section 3 we define the Dehn twist operator which is used iteratively to construct a sequence of Heegaard diagrams. We prove that if we start with a manifold with non-trivial boundary then the resulting sequence consists of closed 3-manifolds each containing an incompressible surface.

In Section 4 we continue to analyze the set up introduced in Section 3 by proving the main theorem. From the definition of the distance it follows that the constructed 3-manifolds are irreducible. Since we observed before that they each contain an incompressible surface it follows that they are Haken 3-manifolds.

In section 5 we consider positive Heegaard diagrams of genus 2. It is relatively easy to encode such diagrams in the form of vectors in  $\mathbb{Z}^5$  and make conclusions about the action of the Dehn twisting operator on the set of those vectors. Finally we show some examples of representative diagrams and make a few steps in constructing the iterating sequence of hyperbolizable 3-manifolds.

## 2. PRELIMINARIES

Throughout this work we will assume a basic familiarity with common notions in 3-manifold topology, all of which can be found in [5] and [6].

**2.1. The curve complex.** Let us denote by  $S$  a closed, connected, orientable surface of genus  $g \geq 2$ . The *curve complex* of  $S$ , denoted by  $C(S)$ , is a simplicial complex in which vertices are isotopy classes of essential simple closed curves on  $S$ , and  $k + 1$  vertices determine a  $k$ -simplex if they are represented by pairwise disjoint simple closed curves.

If we put a hyperbolic metric on  $S$ , then each isotopy class contains a unique geodesic. Since two isotopy classes have disjoint representatives if and only if their geodesic representatives are disjoint, we can think about  $C(S)$  as having geodesics as its vertices and the corresponding collections of  $k + 1$  pairwise disjoint simple closed curves as its  $k$ -simplexes, and thus we can think of a  $k$ -simplex as a subset of  $S$ .

A *principal* simplex of  $C(S)$  is a collection of  $3g - 3$  simple closed curves which splits  $S$  into *pairs of pants* (thrice punctured 2-spheres). This is the maximum collection of pairwise disjoint, non-isotopic simple closed curves on  $S$  up to homeomorphism. Hence, the maximal dimension of a simplex is  $3g - 4$ . So,  $\dim C(S) = 3g - 4$ .

**2.2. Heegaard splittings.** In further considerations we will suppress the difference between simple closed curves and their isotopy classes.

**Definition 2.1.** A  $k$ -simplex  $X = (x_0, x_1, \dots, x_k) \in C(S)$  defines a *compression body* as follows: start with  $S \times [0, 1]$ , attach 2-handles to  $S \times \{1\}$  along the curves of the collection  $X$ , and then fill in any resulting 2-sphere boundary components with 3-cells. Denote the resulting space by

$$V_X = S \times [0, 1] \cup_{X \times 1} 2\text{-handles} \cup_{S^2} 3\text{-handles}.$$

$S \times 0$  is called the *outer boundary* of  $V_X$  and is naturally identified with  $S$ . The second boundary component  $\partial V_X - S \times 0$  is called the *inner boundary* and may be empty.

**Definition 2.2.** A compression body  $V_X$  with an empty inner boundary is called a *handlebody*.

Define

$$N_X = \text{normal closure of } \{x_0, x_1, \dots, x_k\} \text{ in } \pi_1(S).$$

Then,  $N_X = \ker\{\pi_1(S) \rightarrow \pi_1(V_X)\}$  determines  $V_X$  up to homeomorphisms which restrict to the identity on  $S$ .

**Definition 2.3.** A *Heegaard splitting* of a compact, orientable 3-manifold  $M$  is a representation of  $M$  as the union of two compression bodies which intersect on their outer boundaries. Thus, a pair  $X, Y$  of simplexes of the curve complex  $C(S)$  determines a splitting  $(S; V_X, V_Y)$  of the 3-manifold

$$M_{X,Y} = V_X \cup_S V_Y$$

The *genus* of the splitting is simply the genus  $g$  of the splitting surface  $S$ .

By assuming that the genus of  $S$  is  $\geq 2$  we are excluding the standard genus zero and genus one Heegaard splittings of  $S^3$ , Lens spaces, and  $S^2 \times S^1$ .

Note that a 3-manifold  $M$  is closed if and only if both  $V_X$  and  $V_Y$  are handlebodies in a Heegaard splitting  $M_{X,Y} = V_X \cup_S V_Y$ .

**Definition 2.4.** For a Heegaard splitting  $(S; V_X, V_Y)$  call the pair of simplexes  $X, Y$  a *Heegaard diagram* and denote it by  $(S; X, Y)$ .

There are many simplexes of  $C(S)$  besides  $X$  which determine a fixed compression body  $V_X$ .

**Definition 2.5.** The collection of all simplexes which determine the same compression body defines a subcomplex of the curve complex. The collection of simple closed curves bounding disks in  $V_X$  is exactly the collection of vertices of this subcomplex. Denote it by  $K_X$ . We call  $K_X$  the *disk system subcomplex* associated to the compression body  $V_X$ .

**Theorem 2.6** (Feng Luo [9]). *Two  $(3g - 4)$ -simplexes  $X, X'$  of  $C(S)$  determine the same handlebody,  $(V_X, S) = (V_{X'}, S)$ , if and only if there is a sequence  $X = X_0, X_1, \dots, X_n = X'$  of  $(3g - 4)$ -simplexes of  $C(S)$  such that  $X_{i-1} \cap X_i$  is a full  $(3g - 5)$ -face of each for  $i = 1, 2, \dots, n$ .*

Thus, the pair  $K_X, K_Y$  of subcomplexes of the curve complex describe all the different Heegaard diagrams which determine the same Heegaard splitting.

**2.3. Irreducibility of Heegaard splittings.** Recall that a closed 3-manifold  $M$  is irreducible if every embedded 2-sphere in  $M$  bounds a 3-cell in  $M$ . Otherwise  $M$  is reducible. Also,  $M$  is *toroidal* if  $M$  contains an incompressible torus. Otherwise,  $M$  is called *atoroidal*. Moreover, a closed, orientable 3-manifold is *Haken* if it is irreducible and contains a 2-sided incompressible surface.

The *geometric intersection number* of simple closed curves  $\alpha_1, \alpha_2$  on  $S$  is

$$i(\alpha_1, \alpha_2) = \min\{\#(\alpha'_1 \cap \alpha'_2) \text{ where } \alpha'_i \text{ isotopic to } \alpha_i, i = 1, 2\}.$$

We say that simple closed curves  $\alpha, \beta$  meet *efficiently* if they are in general position and  $i(\alpha, \beta) = \#(\alpha \cap \beta)$ . This is equivalent to having no disk (or “bigon”)  $D$  on  $S$  with  $D \cap (\alpha \cup \beta) = \partial D = a \cup b$  where  $a, b$  are arcs such that  $a \subset \alpha$  and  $b \subset \beta$ .

**Definition 2.7.** A properly embedded disk  $D$  in a 3-manifold  $M$  is essential if  $\partial D$  does not bound a disk in  $\partial M$ .

**Definition 2.8.** For a given Heegaard splitting  $(S; V_X, V_Y)$  define the *disk system*  $D_X$  to be the collection of proper isotopy classes of essential disks in  $V_X$ . The *disk system*  $D_Y$  is defined similarly.

**Definition 2.9.** A Heegaard splitting  $(S; V_X, V_Y)$  is *reducible* if there are disks  $A \in D_X$  and  $B \in D_Y$  such that  $\partial A = \partial B$ . If no such pair exists then the splitting is *irreducible*.

This is a canonical definition, given the following lemma of Haken:

**Lemma 2.10.** *If a 3-manifold  $M$  is reducible then every splitting of  $M$  is reducible.*

**Definition 2.11.** A Heegaard splitting  $(S; V_X, V_Y)$  is *stabilized* if there are disks  $A \in D_X$  and  $B \in D_Y$  which intersect transversely and  $\#(\partial A \cap \partial B) = 1$ .

**Definition 2.12.** A Heegaard splitting  $(S; V_X, V_Y)$  is *weakly reducible* if there are disks  $A \in D_X$  and  $B \in D_Y$  such that  $\partial A \cap \partial B = \emptyset$ . If no such pair exists then the splitting is *strongly irreducible*.

The significance of this notion first comes from the following result:

**Theorem 2.13** (Casson, Gordon [2]). *A weakly reducible Heegaard splitting of a 3-manifold  $M$  is either reducible or  $M$  contains an incompressible surface.*

#### 2.4. Distance.

**Definition 2.14.** A *distance function* is defined on the 0-skeleton of  $C(S)$  by

$$d(x, y) = \min\{\text{numbers of 1-simplexes in simplicial path joining } x \text{ to } y\}$$

Hence,

$$d(x, y) \leq 1 \text{ if and only if } x \cap y = \emptyset$$

and

$d(x, y) \leq 2$  if and only if there is some  $z$  such that  $x \cap z = y \cap z = \emptyset$ . In other words,  $x \cup y$  does not fill  $S$ .

**Theorem 2.15** (H. Masur and Y. Minsky [10]). *The curve complex has infinite diameter with respect to  $d$ .*

**Definition 2.16.** A *distance of the splitting* is defined by

$$d(K_X, K_Y) = \min\{d(x, y), \text{ where } x \in K_X \text{ and } y \in K_Y\}$$

We can restate the above definitions in terms of the distance on  $C(S)$  as follows: Suppose  $(S; V_X, V_Y)$  is a splitting of a closed, orientable 3-manifold.

Then,

$d(K_X, K_Y) = 0$  if and only if the splitting is reducible,

and

$d(K_X, K_Y) \leq 1$  if and only if the splitting is weakly reducible.

If we are given a Heegaard diagram, there are some computable obstructions that can be read off the diagram that tell us that the corresponding splitting can not be reducible, weakly reducible, or be a distance 2 splitting. Also, there are obstructions for a 3-manifold to be Seifert fibered and contain an essential torus. See [4] for details and proofs.

These conclusions arise from the consideration of a Heegaard diagram using *stacks* which are unions of “squares” of  $S - X \cap Y$  that share common edges (see section 3.1). The *stack intersection matrix* provides information about the complexity of the Heegaard splitting.

These ideas were first introduced by Casson and Gordon [2] and extended by Kobayashi [7] to get an obstruction for being a weakly reducible splitting:

**Theorem 2.17** (Casson-Gordon condition [7]). *If every  $X$ -stack intersects every  $Y$ -stack for a given Heegaard diagram then the corresponding splitting is not weakly reducible.*

### 3. THE DEHN TWIST OPERATOR

In this Section we define a Dehn twist operator. Then, we construct a sequence of Heegaard diagrams of 3-manifolds by considering the image of a given Heegaard diagram under iterations of the Dehn twist operator. If the initial diagram corresponds to a 3-manifold with boundary then the resulting sequence consists of diagrams of 3-manifolds which contain incompressible surfaces.

**3.1. Definition of a Dehn twist operator.** First we define the notion of “stacks” on a surface  $S$  which is in some sense analogous to train tracks.

Suppose  $X, Y$  are simplexes of the curve complex  $C(S)$  such that they fill  $S$ . Then, the components of  $S - (X \cup Y)$  are polygonal cells, every point of  $X \cap Y$  is a vertex of order 4 and every face has an even number of edges which lie alternately in  $X$  and  $Y$ . Moreover, each polygon is at least a rectangle, since we are assuming that all intersections of  $X$  and  $Y$  are efficient, i.e. there are no “bigons”.

*Observation (J.Hempel [4])* If  $X$  and  $Y$  are simplexes of  $C(S)$  with  $S - (X \cup Y)$  simply connected and having  $n_i$   $2i$ -gon components ( $i = 1, 2, \dots$ ), then

$$\chi(S) = \sum (1 - i/2)n_i$$

Since  $n_1 = 0$  and  $\chi(S) < 0$ , the number of polygons with 6 or more edges is bounded by  $|\chi(S)|$ . Therefore, in a case of “not very trivial” intersection of  $X$  and  $Y$ , most of the complementary polygons will be rectangles with one pair of opposite edges lying in  $X$  and the other in  $Y$ .

**Definition 3.1.** An  $X$ -stack is a maximal collection of rectangles which are adjacent along common edges in  $X$ . The edges, which lie in *large* regions with  $\geq 6$  edges, are called the *top* and the *bottom* edges of the  $X$ -stack. The union of all  $Y$

edges belonging to the  $X$ -stack defines the *sides* of the stack. There are, obviously, two sides in each  $X$ -stack which either lie in different curves of  $Y$ , or possibly in the same curve.

Every stack must have a top edge and bottom edge which do not coincide except for the degenerate case when there is only one edge. The  $Y$ -stacks are defined by interchanging the roles of  $X$  and  $Y$ .

The *height* of a stack is the number of its rectangles. A stack of height 0 consists of the common edge of two large polygonal regions. 0-height stacks occur rarely and throughout this work we almost always assume that intersection of curves of  $X$  and  $Y$  are complicated enough to have stacks of height at least 2.

**Definition 3.2.** Suppose  $S$  is a genus  $g$  orientable surface. Let  $X = \{x_1, \dots, x_g\}$  be a collection of pairwise disjoint simple closed curves on  $S$ . Call  $X = \{x_1, \dots, x_g\}$  a collection of *standard meridians* on  $S$  if  $S - X$  is a single planar component.

If we attach a 2-handle along each  $x_i$  and glue a 3-ball for each 2-sphere boundary component we obtain the handlebody corresponding to the standard meridians. We will call this handlebody  $V_X$ .

The following definition is an extension of a notion of a standard Dehn twist along a curve on a surface.

**Definition 3.3.** Suppose  $X = \{x_1, \dots, x_g\}$  and  $Y = \{y_1, \dots, y_s\}$  are collections of simple closed curves such that  $x_i \cap x_j = \emptyset$ ,  $y_i \cap y_j = \emptyset$  and  $X \cap y_j \neq \emptyset$  for all  $i, j$  and all intersections of  $X$  with  $Y$  are efficient. An image of a collection  $X$  under the *Dehn twist operator along a collection  $Y$* , denoted by  $\tau_Y(X)$ , is the union of images  $\{\tau_Y(x_1), \dots, \tau_Y(x_g)\}$  of  $\{x_1, \dots, x_g\}$  under compositions of standard Dehn twists  $\tau_{y_1} \circ \tau_{y_2} \circ \dots \circ \tau_{y_s}$ .

The following describes how to obtain  $\tau_Y(X)$ . For each  $j$  choose an annular neighbourhood  $A_j$  of  $y_j$  so that  $A_i \cap A_j = \emptyset$  for all  $i, j$ . The image of the collection of  $g$  disjoint simple closed curves,  $X = \{x_1, x_2, \dots, x_g\}$ , under the homeomorphism  $\tau_Y$  is a collection of  $g$  disjoint simple closed curves. To obtain the image of some  $x_i$  under the Dehn twist operator for each  $j = 1, \dots, s$  replace each arc of  $A_j \cap x_i$  by an arc which circles around  $A_j$  once and smooth to general position relative to  $X$ .

Alternatively  $\tau_Y(X)$  is the Haken sum (or oriented cut and paste) of a collection  $X$  and  $k$  copies of a collection  $Y$ , where  $k = i(Y, X)$ . That is for each  $y_j$  take  $k_j$  parallel copies of  $y_j$ , where  $k_j = i(y_j, X)$ . Call this collection  $\bar{Y}$ . Denote an annular neighbourhood of  $y_j$  containing  $k_j$  parallel copies by  $A_j$ . Choose annular neighbourhoods  $\{\cup A_j\}$  so that they are pairwise disjoint. Then resolve each point of intersection of  $\bar{Y}$  with  $X$  as shown in figure 1.

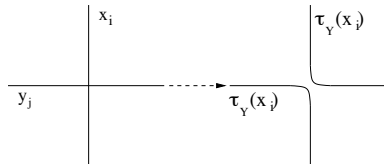


FIGURE 1. Resolution of a point of intersection

Note that the resolution of a point of intersection is independent of the orientation on the curves but is dependent on the orientation of  $S$ .

Consider intervals of  $X - N(X \cap \bar{Y})$ . Call an interval *small* if it lies between two parallel copies of some  $y_j$ . Call all the other intervals which lie between different components of  $Y$  *large*. Then  $\tau_Y(x_i)$  contains almost all of each *large* interval in  $x_i$  except for the smoothed areas. As we continue along  $\tau_Y(x_i)$  and exit a *large* interval of  $x_i$ , we enter some annular neighbourhood  $A_j$  containing  $k_j$  parallel copies of some  $y_j$ . Now, since we resolved points of intersection of all parallel copies of  $y_j$  with  $X$  we have to follow along the first copy of  $y_j$ . As we circle this annulus, each time we encounter  $X$  we switch to the next parallel copy of  $y_j$ . By the time we have circled around  $A_j$  one full time we have switched over all  $k_j$  copies of  $y_j$ . Therefore, we must exit to the next *large* interval of  $x_i$ . See figure 2.

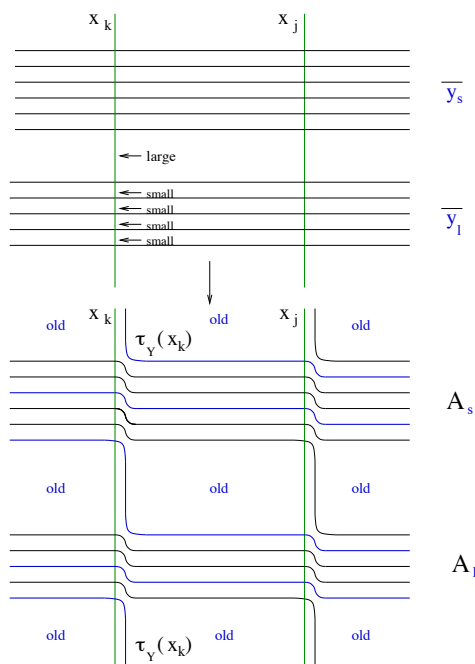


FIGURE 2. Construction of Dehn twist operator

Now consider the regions of  $S - (\tau_Y(X) \cup X)$ . The regions are of two types. The ‘old’ regions are essentially the regions of  $S - (Y \cup X)$ . The ‘new’ regions form *partial X-stacks* relative to  $\tau_Y(X)$  each of which begins at an ‘old’ region on one side of some  $A_j$ , circles  $A_j$  a total of  $(k_j - 1)/k_j$ -times and ends at an ‘old’ region on the other side of  $A_j$ . There are  $k_j$  partial  $X$ -stacks relative to  $\tau_Y(X)$  in each  $A_j$ . Comparing  $X$ -partial stacks relative to  $\tau_Y(X)$  to  $X$ -partial stacks relative to  $\tau_Y(x_k)$  for some  $k$ , we note that there are fewer rectangles in  $X$ -partial stacks relative to  $\tau_Y(x_k)$  and consequently there are fewer partial  $X$ -stacks relative to  $\tau_Y(x_k)$  in  $A_j$ .

*Remark:* If instead of  $k_j$  parallel copies of  $y_j$  we take  $n \times k_j$  copies and proceed as above, we obtain the image under  $n$ -fold Dehn twist operator, or  $\tau_Y^n(X)$ .

**3.2. Properties of Dehn twist operator.** Let  $X = \{x_1, \dots, x_g\}$  be a complete set of standard meridians for a genus  $g$  surface  $S$ . Let  $V_X$  be the corresponding



handlebody. Let  $Y = \{y_1, \dots, y_k\}$  be a collection of essential, pairwise disjoint simple closed curves in  $\partial V_X = S$  such that  $X \cap y_j \neq \emptyset$  for all  $j$  and all intersections of  $Y$  and  $X$  are efficient.

We get a new collection  $Y^1$  of simple closed curves by taking the image of  $X$  under  $n$ -fold Dehn twist operator along  $Y$ , or  $Y^1 = \tau_Y^n(X)$ .

**Theorem 3.4.** *Assuming the set up from the above let  $M$  be a 3-manifold determined by the Heegaard diagram  $(\partial V_X; X, Y)$ , possibly with boundary (if  $k < g$ ). Let  $M^1$  be a 3-manifold determined by the Heegaard diagram  $(\partial V_X; X, Y^1)$  where  $Y^1 = \tau_Y^n(X)$ . Then,  $\text{id} : \pi_1(V_X) \rightarrow \pi_1(V_X)$  extends to an epimorphism  $\pi(M^1) \rightarrow \pi(M)$ .*

*Proof.* Given a Heegaard diagram  $(\partial V_X; X, Y)$ , we can construct a presentation for  $\pi_1(M)$  as follows: Choose the free basis  $\{X_1, X_2, \dots, X_g\}$  for the free group  $\pi_1(V_X)$  which is “dual to”  $\{x_1, \dots, x_g\}$ . For  $j = 1, \dots, k$  let  $r_j$  be a word in  $X_1, X_2, \dots, X_g$  representing the element of  $\pi_1(V_X)$  determined by  $y_j$ . Note that  $r_j$  is unique up to inversion and conjugation. Then, it follows from Van Kampen’s Theorem that  $\langle X_1, \dots, X_g : r_1, \dots, r_k \rangle$  is a presentation for  $\pi_1(M)$ . Similarly,  $\langle X_1, \dots, X_g : r_1^1, \dots, r_k^1 \rangle$  is a presentation for  $\pi_1(M^1)$  where  $r_j^1$  represents an element of  $\pi_1(V_X)$  determined by  $y_j^1 = \tau_Y^n(x_j)$ .

By construction it follows that  $y_i^1$  is homologous to  $x_i + nk_1 y_1 + nk_2 y_2 + \dots + nk_k y_k$  where  $k_i = i(X, y_i)$ . Since  $x_i$  is null homotopic it follows that  $y_i^1$  is homotopic to products of conjugations of powers of the  $\{y_j\}$ . Denote by  $\psi : \pi_1(V_X) \rightarrow \pi_1(M)$  and  $\psi^1 : \pi_1(V_X) \rightarrow \pi_1(M^1)$  canonical epimorphisms.

Then,  $\text{Ker}(\psi^1) \subset \text{Ker}(\psi)$ .

Therefore, the diagram in figure 3 commutes giving the desired conclusion.  $\square$

$$\begin{array}{ccc}
 & \pi_1(V_X) & \\
 \psi^1 \swarrow & & \searrow \psi \\
 \pi_1(M^1) & \xrightarrow{\varphi} & \pi_1(M)
 \end{array}$$

FIGURE 3. Commutative diagram

**Corollary 3.5.** *If  $M$  has nontrivial boundary then  $M^1$  is a closed 3-manifold containing an incompressible surface.*

*Proof.* The fact that  $M^1$  is closed follows easily from the observation that the image of the set of  $g$  standard meridians under compositions of homeomorphisms is a collection of exactly  $g$  pairwise disjoint simple closed curves such that  $S - Y^1$  is a single planar component.

If  $k < g$  then  $\partial M \neq \emptyset$ , hence the first Betti number  $\beta_1(M) > 0$ . Since  $\varphi : \pi_1(M^1) \rightarrow \pi_1(M)$  is an epimorphism, it follows that  $\beta_1(M^1) > 0$ . The rest is given by standard facts of 3-manifold topology. See J. Hempel [5] for details.  $\square$

### 3.3. Waves.

**Definition 3.6.** Suppose  $X = \{x_i\}$  and  $Y = \{y_j\}$  are collections of simple closed curves on a surface  $S$  determining a Heegaard diagram  $(S; X, Y)$ . A *wave* for the

diagram which is relative to  $X$  is an arc in  $S$  whose endpoints lie in the same component of  $X$ , whose interior misses  $X \cup Y$ , which lies on the same side of  $X$  near its endpoints, and which can not be isotoped to an arc in  $X$ .

Throughout this work we will be assuming that for a given Heegaard diagram  $(S; X, Y)$  there are no waves relative to  $X$  where  $X$  is a collection of standard meridians. There is no harm in adding this assumption, since otherwise we can always perform a surgery along a wave and reduce the complexity of the diagram. See J. Hempel [4] for details.

**Lemma 3.7.** *Assume the setup of section 3.2. Suppose  $(\partial V_X; X, Y)$  is a Heegaard diagram for some 3-manifold  $M$ . Let  $M^1$  be a 3-manifold determined by the Heegaard diagram  $(\partial V_X; X, Y^1)$  where  $Y^1 = \tau_Y^n(X)$ . If there are no waves relative to  $X$  for the diagram  $(\partial V_X; X, Y)$ , then there are no waves relative to  $X$  and  $Y^1$  for the diagram  $(\partial V_X; X, Y^1)$ .*

*Proof.* Assume there is a wave  $w$  relative to  $X$  or  $Y^1$ . Then, interior of  $w$  lies in some “old” region of  $\partial V_X - (X \cup Y^1)$ . Consider the preimage of  $w$  under  $\tau_Y^n$ . Since “old” regions are unchanged we get a wave  $(\tau_Y^n)^{-1}(w)$  for the diagram  $(\partial V_X; X, Y)$ . Hence, we reach the desired contradiction.  $\square$

#### 4. MAIN THEOREM

In this section we prove the main theorem which heavily relies on the proofs of the following lemmas.

##### 4.1. Lemmas.

**Lemma 4.1.** *Let  $(S; X, Y)$  describe a Heegaard diagram for a 3-manifold, where  $S$  is a surface of genus  $g$ ,  $X = \{x_1, \dots, x_g\}$  is a collection of standard meridians. Let  $V_X$  be the corresponding handlebody bounded by  $S$ . Assume  $Y$  is a collection of pairwise disjoint simple closed curves such that  $Y$  intersects  $X$  nontrivially and efficiently and there are no waves relative to  $X$ . Let  $\gamma$  be a simple closed curve bounding a disk in  $V_X$ , i.e.  $\gamma \in K_X$ . Then  $\gamma$  crosses some  $Y$ -stack.*

*Proof.* Note that a curve *crosses a  $Y$ -stack* if it enters the stack through the top (bottom) edge, crosses every rectangular region and exits through the bottom (top) edge. A curve *partially crosses a  $Y$ -stack* if it enters the stack through the top (bottom) edge, crosses some (possibly all) of the rectangular regions and exits through the side of the stack, i.e. through an  $X$ -curve.

We assume that all intersections of  $\gamma$  with  $X$  and  $Y$  curves are efficient. We first suppose that  $\gamma \cap X = \emptyset$ . If  $\gamma \cap Y = \emptyset$  also then we may tube  $\gamma$  to some component of  $X$  to create a wave. Hence we reach a contradiction. Thus  $\gamma \cap Y \neq \emptyset$ . Since  $\gamma \cap X = \emptyset$ , by our observation above  $\gamma$  cannot partially cross a  $Y$ -stack. Therefore  $\gamma$  crosses a  $Y$ -stack.

Let us now consider the case that  $\gamma \cap X \neq \emptyset$ . Denote by  $E$  a disk bounded by  $\gamma$  and denote by  $D_{x_i}$  disks bounded by  $x_i$ . Consider the arcs of  $E \cap \cup D_{x_i}$  assuming that those intersections are efficient, i.e. can not be isotoped off  $E$ . Choose an outermost arc of  $E \cap \cup D_{x_i}$  on  $E$  and call it  $e$ . The arc  $e$  cobounds a disk with a subarc of  $\gamma$ . Call the subarc  $f$ . See figure 4. We will show that  $f$  satisfies several of the properties required by a wave. Firstly note that the endpoints of  $f$  lie on the same component of  $X$ , say  $x_j$ . Next observe that the interior of  $f$  lies on the same

side of  $x_j$  near its endpoints. For assume otherwise and consider the homology of  $V_X$  relative its boundary  $S$ . Then  $e \cup f$  can be adjusted in a neighborhood of  $x_j$  on  $S$  so that a 1-cycle representing  $e \cup f$  intersects a 2-cycle represented by  $D_{x_j}$  exactly once. Homology intersection number is a topological invariant, therefore  $e \cup f$  can not be null homologous in  $H_1(V_X; S)$ . This contradicts the fact that  $e \cup f$  is homotopically trivial in  $V_X$ . Lastly observe that since the arc  $e$  intersects the disk  $E$  efficiently, it follows that  $f$  and a subarc of  $x_j$  do not cobound a disk on  $S$ . Therefore, the cobounded area must include some component  $x_k$ .

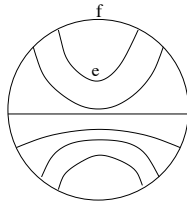


FIGURE 4. Disk  $E$  bounded by  $\gamma$

We are now ready to show that  $f$  crosses a  $Y$ -stack. Assume otherwise. There are two cases to consider.

The first case is that  $f \cap Y = \emptyset$ . By our choice of arc  $f$  we have that the interior of  $f$  is disjoint from  $X$ . Together with the properties of  $f$  noted above we conclude that  $f$  is a wave, a contradiction.

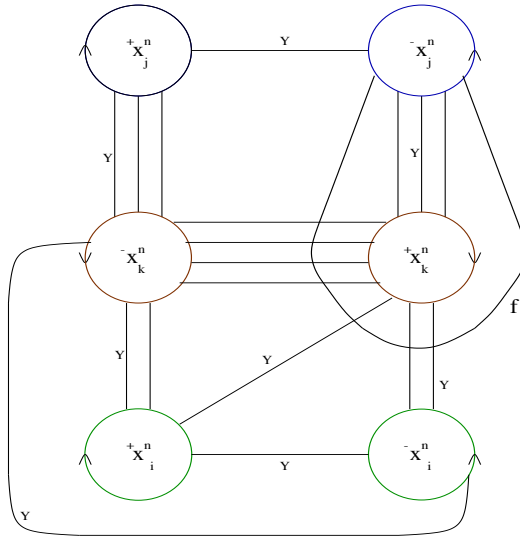


FIGURE 5.  $S$  cut open along the collection  $X$  and  $\gamma \cap X \neq \emptyset$

The second case to consider is that  $f \cap Y \neq \emptyset$  but every intersection of  $f$  with a  $Y$ -stack is a partial crossing. If  $f$  partially crosses at least three  $Y$ -stacks then

by our initial observation  $f$  has at least three points of intersection with  $X$ . In particular this implies that the interior of  $f$  must have a point of intersection with  $X$  contradicting our choice of  $f$ . If  $f$  partially crosses a  $Y$ -stack that doesn't have  $x_j$  as a side then by our initial observation the interior of  $f$  must intersect  $X$ . Again this gives a point of intersection of the interior of  $f$  with  $X$ , a contradiction. Thus  $f$  partially crosses at most two  $Y$ -stacks each with  $x_j$  as a side; denote these  $Y$ -stacks by  $Y_f$ . Note that there are at most two components of  $f \cap Y_f$  and each component contains an endpoint of  $f$ . Modify  $f$  by 'sliding' each component of  $f \cap Y_f$  off  $Y_f$ , keeping the endpoints within the curve  $x_j$ . The resulting curve  $f'$  has no intersection with  $Y$  but retains the properties of  $f$  noted above. Thus  $f'$  is a wave, a contradiction.

Figure 5 of the 2-sphere with  $2g$  disks removed represents a surface  $S$  cut open along a collection of  $g$  simple closed curves  $X = \{x_1, \dots, x_g\}$ ; this demonstrates a typical scenario for the various curves in this lemma.  $\square$

**Definition 4.2** ( Jason Leasure [8]). Suppose  $X = \{x_i\}$  is a collection of pairwise disjoint simple closed curves,  $y$  and  $\gamma$  are simple closed curves which meet efficiently and nontrivially. Assume  $y$  intersects each component of  $X$  efficiently and nontrivially and  $\gamma$  intersects  $X$  efficiently. If  $y \subset \gamma \cup a$  where  $a$  is an arc of  $y - X$  then we say that  $y$  is almost contained in  $\gamma$  relative to  $X$  and denote this by  $y \prec_X \gamma$ .

This idea is most useful when  $y \prec_X \gamma$  and there is a curve  $\gamma'$  such that  $\gamma \cap \gamma' = \emptyset$ . If this is the case, then  $\gamma'$  can intersect  $y$  in at most one arc of  $y - X$ , namely the arc containing  $a$ . We say that  $y$  is almost disjoint from  $\gamma'$ . See figure 6.

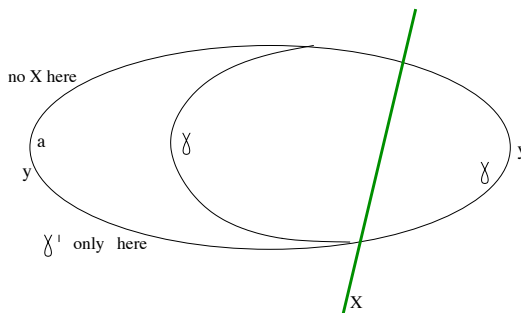


FIGURE 6. "almost contained" relation

**Lemma 4.3.** Let  $S$  be a genus  $g$  orientable surface. Suppose  $X = \{x_1, \dots, x_g\}$  is a collection of standard meridians on  $S$  and  $Y = \{\cup y_i\}$  is a collection of pairwise disjoint simple closed curves on  $S$  such that  $i(x_i, y_j) \geq 2$  for each  $i$  and  $j$ . Suppose  $\gamma'$  is a simple closed curve on  $S$  that meets  $Y$  efficiently. Let

$$Y^1 = \tau_Y^2(X) \text{ where } \tau \text{ is the Dehn twist operator.}$$

Let  $\gamma$  be a simple closed curve on  $S$  such that  $\gamma \cap \gamma' = \emptyset$ . Assume  $\gamma$  meets  $Y$  efficiently and nontrivially, and  $\gamma$  intersects  $Y^1$  and  $X$  efficiently. If there exists a component  $y_k^1$  of  $Y^1$  such that  $y_k^1 \prec_X \gamma'$  then there exists a component  $y_l$  of  $Y$  such that  $\gamma$  can be isotoped so that  $y_l \prec_X \gamma$ .

*Proof.* The image of the collection of  $g$  disjoint simple closed curves,  $X = \{x_1, x_2, \dots, x_g\}$ , under the homeomorphism  $\tau_Y^2$  is the collection of  $g$  disjoint simple closed curves  $Y^1$ . For  $1 \leq s \leq g$  let  $A_s$  be an annular neighbourhood of the simple closed curve  $y_s$  from the collection  $Y$ . We require that the collection of annuli  $\{A_s\}$  are pairwise disjoint. Let  $k_s = i(y_s, X)$ . To obtain one of the simple closed curves of  $Y^1$  from the simple closed curve  $x_i$  of  $X$ , replace each arc of  $A_s \cap x_i$  by an arc which circles around  $A_s$  twice and smooth to general position relative to  $X$ .

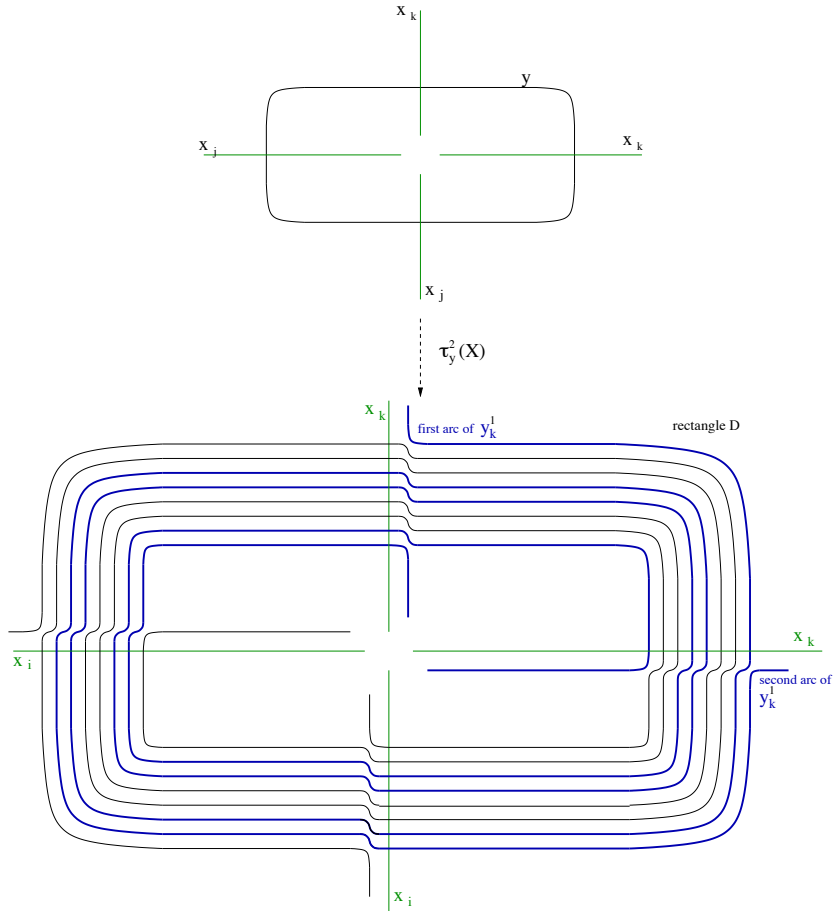


FIGURE 7. Arcs of  $y_k^1$  inside the annulus  $A_j$

From the assumptions we have  $y_k^1 \prec_X \gamma'$ , i.e.  $y_k^1 \subset \gamma' \cup a$  where  $a$  is some arc of  $y_k^1 - X$ . Therefore, since  $\gamma \cap \gamma' = \emptyset$  it follows that  $\gamma$  can intersect  $y_k^1$  only in the arc  $a$ . By assumption  $\gamma \cap Y \neq \emptyset$ . Therefore there exists a component  $y_j$  of  $Y$  such that  $\gamma \cap \partial A_j \neq \emptyset$ . Now consider  $y_k^1 \cap A_j$ . Note, from the assumption  $i(y_j, x_i) \geq 2$  for any  $i, j$  and the observation that  $i(y_i^1, x_j) = 2i(Y, x_i) \times i(Y, x_j)$  where  $y_i^1$  denotes the image of  $x_i$  under  $\tau_Y^2$  it follows that  $i(y_i^1, x_j) \geq 2$  for all  $i, j$ . This implies that

there are at least two arcs of  $y_k^1 \cap A_j$ . The following situation represents the worst possible case:

- (1) there are only two arcs of  $y_k^1 \cap A_j$  circle twice around  $A_j$  (that happens when  $i(y_j, x_k) = 2$ ), and
- (2) the ends of the two arcs are located in the ‘closest’ possible position i.e. if  $y_k$  is the image of  $x_k$  under the square of the Dehn twist then  $|y_j \cap x_k| = 2$  and these points of intersection occur consecutively along  $x_k$ . See figure 7.

In this worst possible case there are two  $X$ -partial stacks rel to  $y_k^1$  each of which circles around  $A_j$  slightly more than once. See section 3 for the detailed description of stacks in  $A_j$ .

We now analyse an arc of  $\gamma \cap A_j$ . In the worst case scenario  $\gamma$  enters the annulus  $A_j$  inside of one of the  $X$ -partial stacks rel  $y_k^1$ .

There are two possibilities for  $\gamma$ . Either  $\gamma$  circles around  $A_j$  inside the  $X$ -partial stack rel  $y_k^1$  or  $\gamma$  intersects  $y_k^1$ . Note that  $\gamma$  can only intersect  $y_k^1$  once since  $\gamma$  intersects  $y_k^1$  in at most one arc  $a$  of  $y_k^1 - X$  (see explanation above). In this latter case  $\gamma$  is forced to be inside the other  $X$ -partial stack rel  $y_k^1$  and must circle  $A_j$  within that partial stack.

In either case there is a subarc  $b$  of  $\gamma$  which circles around  $A_j$  and comes back to the same rectangle  $D$  of  $A_j - X$  where it started. Hence, we can isotope  $\gamma$  so that  $b$  coincides with the core of the annulus everywhere except in the rectangle  $D$ .

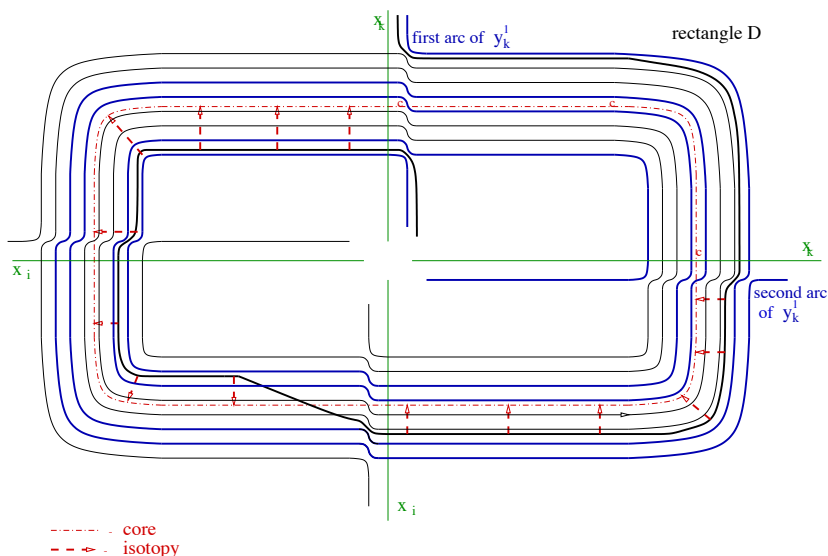


FIGURE 8.  $y_j$  is almost contained in  $\gamma$  after isotopy

Thus,  $y_j = b \cup c$  where  $c$  is the subarc of  $y_j \cap D$ , i.e.  $c \subset D$  connects the ends of the arc  $b$ . Thus  $y_j \prec_X \gamma$ . See figure 8.

Note that the isotopy is supported inside of the annulus  $A_j$  and is “perpendicular” to the core of the annulus, i.e. each  $x_i$  is fixed as a set. This isotopy simply

moves points of  $\gamma$  toward the core. Thus, we can assume that we are not introducing inefficient intersections of  $\gamma$  and  $X$ .  $\square$

Now we are ready to prove the main theorem.

#### 4.2. Main Theorem.

**Theorem 4.4.** *Let  $S$  be an orientable surface of genus  $g \geq 2$ . Suppose  $X = \{x_1, x_2, \dots, x_g\}$  is a collection of standard meridians on  $S$  and  $y$  is a simple closed curve on  $S$  such that  $i(y, x_i) \geq 2$  and each  $Y$ -stack is of height at least 2. Let  $(S; X, y)$  describe a Heegaard diagram for a 3-manifold. Assume there are no waves relative to  $X$ . For any  $n \geq 1$  let*

$$\begin{aligned} Y^0 &= y \\ Y^1 &= \tau_{Y^0}^2(X) \\ &\vdots \\ Y^n &= \tau_{Y^{n-1}}^2(X). \end{aligned}$$

Then  $\text{dist}(K_X, K_{Y^n}) \geq n$ .

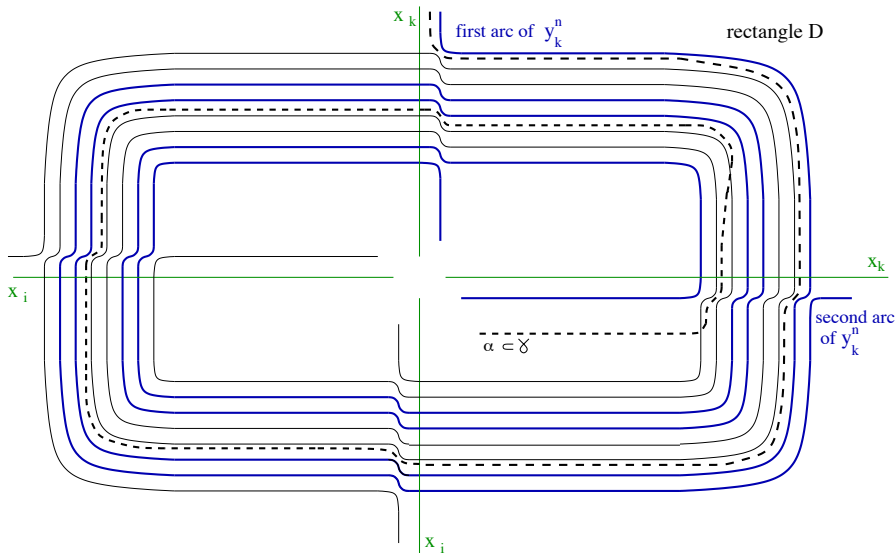
*Proof.* We proceed by contradiction. Suppose  $\text{dist}(K_X, K_{Y^n}) = d$  for  $d \leq n - 1$ , i.e. there exists a sequence of curves  $\gamma_0, \gamma_1, \dots, \gamma_d$  where  $\gamma_0 \in K_X$ ,  $\gamma_d \in K_{Y^n}$  and  $\gamma_{i-1} \cap \gamma_i = \emptyset$  for all  $i$ .

From the assumption that there are no waves relative to  $X$  and from the properties of the Dehn twist operator (see Lemma 3.7) it follows that there are no waves for the diagram  $(S; X, Y^n)$  relative to  $Y^n$ .

By Lemma 4.1  $\gamma_d \in K_{Y^n}$  either does not intersect  $Y^n$  or has a subarc  $\alpha$  which is based on some component  $y_{i_0}^n$  of  $Y^n$  and is not isotopic into  $y_{i_0}^n$  relative to its base points. In any case some subarc of  $\gamma$  crosses some  $X$ -stack relative to  $Y^n$ . Since  $\alpha$  is not isotopic into  $y_{i_0}^n$ , there exists a component  $y_{j_0}^n$  of  $Y^n$  such that  $\alpha \cap y_{j_0}^n = \emptyset$  and  $\alpha$  crosses an  $X$ -stack relative to  $Y^n$  with  $y_{j_0}^n$  as a side of this stack.

Let us consider a different picture introduced in Lemma 4.3 where we look at the collection of pairwise disjoint annuli  $\{A_1^{n-1}, A_2^{n-1}, \dots, A_g^{n-1}\}$  on the surface  $S$  and partial  $X$ -stacks circling around those annuli. Recall that  $A_i^{n-1}$  corresponds to an annular neighbourhood of  $y_i^{n-1}$ . Since we assume  $i(y, x_i) \geq 2$  it follows that any partial  $X$ -stack relative to  $Y^n$  circles around any annulus  $A_i^{n-1}$  at least once. Since  $\alpha$  crosses the  $X$ -stack relative to  $Y^n$  then  $\alpha$  has to intersect a large interval of some  $x_i$  and then follow the next rectangle which enters a partial  $X$ -stack relative to  $Y^n$  which is inside of some annulus, say  $A_l^{n-1}$ . See figure 9.

Note that  $\alpha$  can not intersect  $Y^n$ , therefore  $\alpha$  has to stay inside of that partial  $X$ -stack relative to  $Y^n$ . That means  $\alpha$  has to circle around the annulus  $A_l^{n-1}$  and come back to the same rectangle  $D$  of  $A_l^{n-1} - X$ . Thus, we can isotope the subarc  $b$  equal to  $\alpha \cap (A_l^{n-1} - D)$  to coincide with the core of the annulus which is  $y_{l_1}^{n-1}$ . That is possible to do everywhere except in the rectangle  $D$ . Then, connect the ends of the isotoped  $b$  by an arc  $b' \subset y_{l_1}^{n-1}$  that lies in the rectangle  $D$ . Therefore, after ambient isotopy we have  $y_{l_1}^{n-1} \prec_X \gamma_d$ . We will isotope the curves  $\{\gamma_{d-1}, \dots, \gamma_0\}$  by the same ambient isotopy. Continue to call the resulting curves  $\{\gamma_d, \gamma_{d-1}, \dots, \gamma_0\}$ . Thus, the property  $\gamma_i \cap \gamma_{i-1} = \emptyset$  is preserved. Note, this isotopy is supported inside of the annulus  $A_l^{n-1}$  and can be chosen so that each  $x_i$  is fixed as a set. Therefore, we are not introducing any inefficient intersections of  $X$  and  $\{\gamma_{d-1}, \dots, \gamma_0\}$ . Also, we


 FIGURE 9. Arc  $\alpha$  inside of annulus  $A_j^{n-1}$ 

can choose this isotopy so that  $\gamma_{d-i}$  intersects efficiently  $Y^{n-j}, \dots, Y^0$  for  $1 \leq i \leq d$  and  $2 \leq j \leq n$ .

Applying Lemma 4.3 to  $y_{i_1}^{n-1}$  and inducting using the set  $(\gamma_d, \gamma_{d-1}, \dots, \gamma_0)$  we conclude that  $\gamma_0$  can be isotoped so that

$$y_{i_{d+1}}^{n-(d+1)} \prec_X \gamma_0 \text{ where } \gamma_0 \in K_X \quad (*)$$

Note: In order to apply Lemma 2 we need to assume that

$$\gamma_{d-k} \cap Y^{n-(k+1)} \neq \emptyset \text{ for } k = 1, \dots, d \quad (**)$$

Let us consider it later as a special case and for now let us assume that  $(**)$  holds.

From the assumptions and properties of the Dehn twist operator (see Lemma 3.7) it follows that there are no waves relative to  $X$  for the diagram  $(S; X, Y^{n-(d+1)})$ . By lemma 4.1 either  $\gamma_0 \cap X = \emptyset$  or there exists an outermost subarc  $c$  of  $\gamma_0 - X$  such that  $c$  is based on the same component  $x_i$ . In either case there is a subarc  $c$  which crosses some  $Y^{n-(d+1)}$ -stack. It follows from the assumption on  $y$  that  $y_{i_{d+1}}^{n-(d+1)}$  has at least two arcs in that stack. Therefore, the subarc  $c$  must cross at least two arcs of  $y_{i_{d+1}}^{n-(d+1)} - X$ . It follows from  $(*)$  that only one arc of  $y_{i_{d+1}}^{n-(d+1)} - X$  does not lie in  $\gamma_0$ . Therefore  $\gamma_0$  must be singular. Hence, we have reached a contradiction.

Let us show that for each inductive step  $(**)$  holds. That is, if we have found a component  $y_{i_k}^{n-k}$  of  $Y^{n-k}$  with  $y_{i_k}^{n-k} \prec_X \gamma_{d-k+1}$  then  $\gamma_{d-k} \cap Y^{n-(k+1)} \neq \emptyset$ . Now suppose  $(**)$  does not hold, i.e.  $\gamma_{d-k} \cap Y^{n-(k+1)} = \emptyset$ . If  $d-k > 1$ , then  $\gamma_{d-k}$  meets every component  $x_i$  of  $X$ . Otherwise  $x_i, \gamma_{d-k}, \gamma_{d-k+1}, \dots, \gamma_d$  is a shorter path connecting  $K_X$  with  $K_{Y^n}$ . That contradicts our assumptions. In fact  $\gamma_{d-k}$  meets each  $x_i$  in at least two arcs of  $x_i - Y^{n-(k+1)}$ , since it must go around an  $X$ -stack relative to  $Y^{n-(k+1)}$  and every  $X$ -stack contains at least two arcs of  $x_i - Y^{n-(k+1)}$ .



Since  $y_{i_k}^{n-k} = \tau_{Y^{n-(k+1)}}^2(x_i)$ , it follows that  $\gamma_{d-k}$  crosses  $y_{i_k}^{n-k}$  in at least two arcs of  $y_{i_k}^{n-k} - X$ . Since  $y_{i_k}^{n-k} \prec_X \gamma_{d-k+1}$ , we conclude that  $\gamma_{d-k} \cap \gamma_{d-k+1} \neq \emptyset$ . This contradicts our assumptions. The last case to consider is when  $d - k = 1$ . So  $\gamma_1 \cap Y^{n-d} = \emptyset$ . By assumption  $d < n$ , so  $n - d \geq 1$ . But then  $\gamma_1$  bounds a disk in  $V_{Y^{n-d}}$ . Therefore, the distance of  $(S; V_X, V_{Y^{n-d}})$  is  $\leq 1$ , i.e. the splitting is weakly reducible. However, in this diagram every  $X$ -stack meets every  $Y^{n-d}$ -stack. This is the Casson-Gordon condition that the splitting is not weakly reducible. Hence, we have reached the desired contradiction.  $\square$

## 5. GENUS TWO HEEGAARD DIAGRAMS AND EXAMPLES

### 5.1. Positive Heegaard diagrams of genus two.

**Definition 5.1.** An *oriented Heegaard diagram*  $(S; X, Y)$  is a Heegaard diagram where  $X$  and  $Y$  are given specific orientations.

Let  $\langle, \rangle: H_1(S) \times H_1(S) \rightarrow \mathbb{Z}$  denote the algebraic intersection number on a surface  $S$ . So for oriented simple closed curves  $x, y$  on  $S$  meeting efficiently,  $\langle x, y \rangle = i(x, y)$  means that the algebraic intersection number is  $+1$  at each point of  $x \cap y$ .

**Definition 5.2.** A *positive Heegaard diagram*  $(S; X, Y)$  is an oriented Heegaard diagram where the algebraic intersection number  $\langle X, Y \rangle_p$  of  $X$  with  $Y$  is  $+1$  at each point  $p \in X \cap Y$ .

Every compact, oriented 3-manifold with no 2-sphere boundary components can be represented by a positive diagram; see Hempel [5]. In this section we will be focusing on genus two positive Heegaard diagrams.

For a given positive Heegaard diagram  $(S; X, Y)$  we can construct a picture by cutting  $S$  open along  $X$ . The result will be a 2-manifold  $S_1$  whose boundary contains disjoint copies  $X^+$  and  $X^-$  of  $X$  together with a map  $f: S_1 \rightarrow S$  which maps  $S_1 - X^+ \cup X^-$  homeomorphically onto  $M - X$  and maps each of  $X^+$  and  $X^-$  homeomorphically onto  $X$ .

If the genus of  $S$  is two and  $X$  contains exactly two components  $x_1$  and  $x_2$ , then  $S_1$  is a four times punctured 2-sphere with the boundary components  $x_1^+, x_1^-, x_2^+, x_2^-$ . The components of  $Y$  will be strands connecting  $x_1^+, x_1^-, x_2^+, x_2^-$ . See figure 10.

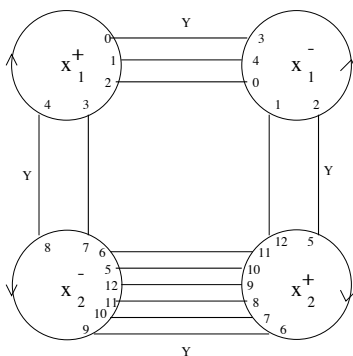


FIGURE 10.  $S$  cut open along  $X$

Since we are assuming that the diagram is positive, it follows that the diagram will be in a shape of a “square”, i. e. there are no strands connecting  $x_i^+$  with  $x_j^+$  and  $x_i^-$  with  $x_j^-$ .

Similarly we can construct an analogous picture by cutting  $S$  open along  $Y$ . In this case we will call it a  $Y$ -side of the diagram.

Given such a picture, we need specific instructions how to recover the original diagram. For that we need to describe how to glue back  $x_1^+$  with  $x_1^-$  and  $x_2^+$  with  $x_2^-$ .

**Definition 5.3.** We define as the *twist number* from  $x_i^+$  to  $x_i^-$  for  $i = 1, 2$  the amount of twist used in gluing  $x_i^+$  back to  $x_i^-$  to reconstruct the original diagram.

**Definition 5.4.** For a positive Heegaard diagram  $(S; X, Y)$  define a five-tuple vector  $(p, q, r, n, m)$  by specifying the following:

$$\begin{aligned} p &= \text{number of } Y \text{ strands from } x_1^+ \text{ to } x_2^- \\ q &= \text{number of } Y \text{ strands from } x_1^+ \text{ to } x_1^- \\ r &= \text{number of } Y \text{ strands from } x_2^+ \text{ to } x_2^- \\ n &= \text{twist number from } x_1^+ \text{ to } x_1^- \\ m &= \text{twist number from } x_2^+ \text{ to } x_2^- \end{aligned}$$

Thus, given this vector  $(p, q, r, n, m)$  we can draw the cut-open diagram for this splitting. The values  $p, q, r$  allow us to draw the strands between each of the (cut-open) components of  $X$ . We can then number the intersection points on  $x_1^-$  and  $x_2^+$  consecutively following the orientation, starting at an arbitrary point on each. The twist numbers  $n$  and  $m$  then tell us how to label the points on  $x_1^-$  and  $x_2^-$ . In our example in figure 10 the corresponding vector is  $(2, 3, 6, 3, 3)$  and represents two disjoint simple closed  $Y$ -curves.

The following proposition follows immediately from the definition of the vector  $(p, q, r, n, m)$ .

**Proposition 5.5.** *Suppose the vectors  $v(y_1) = (p_1, q_1, r_1, n_1, m_1)$  and  $v(y_2) = (p_2, q_2, r_2, n_2, m_2)$  represent pairwise disjoint simple closed curves  $y_1$  and  $y_2$  respectively. Then their union  $y = y_1 \cup y_2$  is represented by the vector  $v(y) = (p_1 + p_2, q_1 + q_2, r_1 + r_2, n_1 + n_2, m_1 + m_2)$ .*

Next we will attempt to consider the action of Dehn twisting operator on five-tuple vectors.

Let  $X = \{x_1, x_2\}$  be a set of oriented meridians for an oriented genus two handlebody bounded by  $S$  and let  $Y = \{y_i\}$ ,  $i \leq 2$  be a collection of oriented pairwise disjoint curves which meet  $X$  positively. Thus  $y_i$  can be represented by a vector  $v(y_i) = (p_i, q_i, r_i, n_i, m_i)$ .

For  $a_1, a_2 \in \mathbb{Z}_+$  let  $\tau = \tau_{a_1 y_1 + a_2 y_2} = \tau_{y_1}^{a_1} \circ \tau_{y_2}^{a_2}$  be a the  $a_1$ -fold Dehn twist along  $y_1$  together with the  $a_2$ -fold Dehn twist along  $y_2$ . Let  $l_{ij} = \langle x_j, y_i \rangle$  and  $l_i = l_{i1} + l_{i2} = \langle X, y_i \rangle$ .

**Proposition 5.6.**  $v(\tau(x_j)) = a_1 l_{1j} v(y_1) + a_2 l_{2j} v(y_2) + \epsilon_j$  where

$$\epsilon = \begin{cases} (0, 0, 0, 1, 0) & j=1 \\ (0, 0, 0, 0, 1) & j=2 \end{cases}$$

*Proof.* For a detailed description of the image of  $X$  under the Dehn twist operator along the collection of  $a_1$  parallel copies of  $y_1$  and  $a_2$  parallel copies of  $y_2$  see section 3.

So, there are  $a_1l_1 + a_2l_2$  strands of  $\tau(x_j) - X$  parallel to each strand of  $Y - X$ . This establishes the first three coordinates of the proposition. Fix a homological basis  $(x_1, x_2, X_1, X_2)$  where  $X_i$  is a longitude meeting  $x_i$  in a single point for  $i = 1, 2$  so that  $\langle x_i, X_i \rangle = +1$ . Then  $n_i = \langle y_i, X_1 \rangle$  and  $m_i = \langle y_i, X_2 \rangle$ .

Observe that  $\tau(x_j)$  is homologous to  $x_j + a_1 \langle x_j, y_1 \rangle y_1 + a_2 \langle x_j, y_2 \rangle y_2 = x_j + a_1l_1y_1 + a_2l_2y_2$ . Thus  $\langle \tau(x_j), X_1 \rangle = \delta_{1j} + l_1j n_1 + l_2j n_2$  and  $\langle \tau(x_j), X_2 \rangle = \delta_{2j} + l_1j m_1 + l_2j m_2$

$$\text{where } \delta_{ij} = \begin{cases} 1 & i = j \\ 0 & i \neq j \end{cases}$$

□

**Corollary 5.7.**  $v(\tau(X)) = a_1l_1v(y_1) + a_2l_2v(y_2) + (0, 0, 0, 1, 1)$

**Proposition 5.8.** *Let  $M_0, M$  be the 3-manifolds represented by positive Heegaard diagrams  $(S; X, Y)$  and  $(S; X, \tau(X))$  respectively. Then  $H_1(M)$  is presented by the matrix*

$$\begin{pmatrix} p_1 + q_1 & p_2 + q_2 \\ p_1 + r_1 & p_2 + r_2 \end{pmatrix} \begin{pmatrix} a_1 & 0 \\ 0 & a_2 \end{pmatrix} \begin{pmatrix} p_1 + q_1 & p_1 + r_1 \\ p_2 + q_2 & p_2 + r_2 \end{pmatrix}$$

where

$$\begin{pmatrix} p_1 + q_1 & p_2 + q_2 \\ p_1 + r_1 & p_2 + r_2 \end{pmatrix}$$

presents  $H_1(M_0)$ .

*Proof.*

$$\begin{pmatrix} \langle x_1, \tau(x_1) \rangle & \langle x_1, \tau(x_2) \rangle \\ \langle x_2, \tau(x_1) \rangle & \langle x_2, \tau(x_2) \rangle \end{pmatrix}$$

presents  $H_1(M)$ .

Also,  $\langle x_1, \tau(x_j) \rangle = p(\tau(x_j)) + q(\tau(x_j))$  and  $\langle x_2, \tau(x_j) \rangle = p(\tau(x_j)) + r(\tau(x_j))$ .

Similarly

$$\begin{pmatrix} \langle x_1, y_1 \rangle & \langle x_1, y_2 \rangle \\ \langle x_2, y_1 \rangle & \langle x_2, y_2 \rangle \end{pmatrix}$$

presents  $H_1(M_0)$  where  $\langle x_1, y_j \rangle = p_j + q_j$  and  $\langle x_2, y_j \rangle = p_j + r_j$ . Since

$$l_{ij} = \langle x_j, y_i \rangle = \begin{cases} p_i + q_i & \text{if } j=1 \\ p_i + r_i & \text{if } j=2 \end{cases}$$

the result of the claim follows from direct calculation using the equalities:

$$\begin{aligned} p(\tau(x_j)) &= a_1l_1j p_1 + a_2l_2j p_2 \\ q(\tau(x_j)) &= a_1l_1j q_1 + a_2l_2j q_2 \\ r(\tau(x_j)) &= a_1l_1j r_1 + a_2l_2j r_2 \end{aligned}$$

□

**Corollary 5.9.** *If  $Y$  has a single component (i.e. the 3-manifold  $M_0$  has non-trivial boundary) then  $H_1(M)$  is infinite.*

*Proof.* Let  $P$  denote a representation matrix of  $H_1(M)$ . We can assume that  $a_2 = 0$ . Then by proposition 5.8  $\det(P) = 0$ . □

Note, this corollary follows from Theorem 3.4 as well.

**Corollary 5.10.** *Suppose  $a_1a_2 \neq 0$ , i.e.  $H_1(M_0)$  is finite and  $M_0$  is necessarily closed then  $o(H_1(M)) = a_1a_2 \times o(H_1(M_0))^2$ .*

**5.2. Examples.** Suppose  $Y$  has a single component  $y$  represented by the vector  $v(y) = (2, 2, 2, 1, 2)$  on a genus two surface  $S$  which bounds a handlebody determined by standard meridians  $X = \{x_1, x_2\}$ . Let  $Y^0 = y$  and  $Y^n = \tau_{Y^{n-1}}^2(X)$  for  $n \geq 1$ . Then  $l_1 = \langle y, X \rangle = 8$ . Let  $a_1 = 2$ .

By proposition 5.6 the image of  $X$  under 2-fold Dehn twisting operator is represented by  $v(Y^1) = (32, 32, 32, 17, 33)$ . By Theorem 4.4 it follows that the 3-manifold  $M^1$  determined by the Heegaard diagram  $(S; X, Y^1)$  is closed, irreducible, Haken 3-manifold and the distance of this splitting is  $\geq 1$ .

The next step in the iteration gives  $v(Y^2) = (4096, 4096, 4096, 2177, 4225)$ . The 3-manifold  $M^2$  defined by the Heegaard diagram  $(S; X, Y^2)$  is again a closed, irreducible, Haken 3-manifold and the distance of this splitting is  $\geq 2$ .

After iterating one more time we get

$$v(Y^3) = (67108864, 67108864, 67108864, 35667969, 69222401)$$

The 3-manifold  $M^3$  determined by the Heegaard diagram  $(S, X, Y^3)$  is closed, irreducible, Haken and atoroidal since the distance of this splitting is  $\geq 3$  (see Hempel [5]). Thus by Thurston's hyperbolisation theorem  $M^3$  admits a hyperbolic metric.

If we keep iterating we get an infinite sequence of hyperbolizable 3-manifolds with arbitrarily large distance.

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DEPARTMENT OF MATHEMATICS, RICE UNIVERSITY, HOUSTON, TX 77005

*Current address:* Institute of Information and Mathematical Sciences, Massey University, Private Bag 102-904, North Shore Mail centre, Auckland, New Zealand

*E-mail address:* revans@math.auckland.ac.nz