

Stability conditions and Fourier-Mukai transformations on $K3$ surfaces with Picard rank 1

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1 Backgrounds

Let M and W be projective manifolds over $\mathbb{C}$. If there is an equivalence between the bounded derived categories $D^b(M)$ and $D^b(W)$ of coherent sheaves on M and W , then W is said to be a Fourier-Mukai partner (shortly FM partner) of M . The following conjecture was proposed by Kawamata:

Conjecture 1.1 ([11]). *Let M be a projective manifold. The set $\mathrm{FM}(M)$ of isomorphism classes of FM partners of M is a finite set.*

We have to remark that the conjecture holds if $\dim M \leq 2$ or M is abelian variety by [10, mainly in Chapter 5], [2], [11], [14] and [6]. Motivated the conjecture, we wish to discuss relations between $D^b(M)$ and $\mathrm{FM}(M)$. Here the word “relations” does not have a specifying meaning. For instance, the following question suggests an example of “relations”:

Question. Can we prove the conjecture in terms of the autoequivalence group $\mathrm{Aut}(D^b(M))$ of $D^b(M)$?

For the question, we have the following very partial answer:

Proposition 1.2. *Let M be a projective manifold. Suppose that $\mathrm{Aut}(D^b(M))$ is generated*

by:

$$\mathrm{Aut}(D^b(M)) = \langle f_*, L, [1] | L \in \mathrm{Pic}(M), f \in \mathrm{Aut}(M) \rangle,$$

where $[1]$ is the shift functor on $D^b(M)$. Then M has the only trivial FM partner M itself.

Proof. Let $\Phi : D^b(M) \rightarrow D^b(W)$ be an equivalence between projective manifolds and let L_W be a very ample line bundle on W . By the assumption, the functor $F := \Phi^{-1} \circ (\otimes L_W) \circ \Phi$ is generated by

$$T(M) := \langle f_*, L, [1] | L \in \mathrm{Pic}(M), f \in \mathrm{Aut}(M) \rangle,$$

$$\begin{array}{ccc} D(M) & \xrightarrow{\Phi} & D(W) \\ F \downarrow & & \downarrow L_W \otimes (-) \\ D(M) & \xrightarrow{\Phi} & D(W). \end{array}$$

Since kL_W has a global section for any positive integer $k \in \mathbb{Z}_{>0}$, we can make a morphism $E \rightarrow E \otimes kL_W$ for any $E \in D(W)$. In particular since kL_W is base point free, we can choose the section so that the morphism $E \rightarrow E \otimes kL_W$ is not 0. Thus, for any $k \in \mathbb{Z}_{>0}$ and $E \in D(W)$, we have $\mathrm{Hom}_{D(Y)}(E, E \otimes kL_W) \neq 0$. Thus, for any closed point $x \in M$, we have

$$\mathrm{Hom}_{D(M)}(\mathcal{O}_x, F^k(\mathcal{O}_x)) \cong \mathrm{Hom}_{D(W)}(\Phi(\mathcal{O}_x), \Phi(\mathcal{O}_x) \otimes kL_W) \neq 0.$$

Since $F \in T(M)$ we have

$$F(-) = L_M \otimes f_*(-)[n],$$

where $f \in \mathrm{Aut}(M)$, $L_M \in \mathrm{Pic}(M)$ and $n \in \mathbb{Z}$. We wish to prove that $n = 0$ and $f = id_M$.

Suppose to the contrary that $n \neq 0$. Since $n \neq 0$, for sufficiently large $\ell \in \mathbb{Z}_{>0}$, we have $\mathrm{Hom}_{D(M)}(\mathcal{O}_x, F^\ell(\mathcal{O}_x)) = 0$ where F^ℓ is the ℓ times composition of F . This is contradiction. Hence n should be 0.

We assume that $f \neq id_M$. Then there is a closed point $x \in M$ such that $f(x) \neq x$. Since $F(\mathcal{O}_x) = \mathcal{O}_{f(x)}$, we have

$$\mathrm{Hom}_{D(M)}(\mathcal{O}_x, F(\mathcal{O}_x)) = 0.$$

This is contradiction.

Since $F(-) = L_M \otimes (-)$, we have for any positive integer k ,

$$\Phi(\mathcal{O}_x) \otimes kL_W = \Phi(\mathcal{O}_x \otimes kL_M) = \Phi(\mathcal{O}_x).$$

Thus each Hilbert polynomial of $H^i(\Phi(\mathcal{O}_x))$ with respect to L_W is constant. Since L_W is very ample, it follows that $\dim \mathrm{Supp}(H^i(\Phi(\mathcal{O}_x))) = 0$. Thus $\dim \mathrm{Supp}(\Phi(\mathcal{O}_x)) = 0$. By [10,

Lemma 4.5], we have

$$\Phi(\mathcal{O}_x) = \mathcal{O}_{y_x}[n_x],$$

for some $y_x \in Y$ and $n_x \in \mathbb{Z}$. Since any equivalence has a Fourier-Mukai kernel by [14, Theorem 2.18], we see that n_x is locally constant. Hence, n_x is constant. So we put $n_x = n$. Since skyscraper sheaves are stable under the equivalence $\Phi : D^b(M) \rightarrow D^b(W)$, W is isomorphic to M (for instance, see [10, Corollary 5.23]). $\square$

Proposition 1.2 gives an evidence that there should be a relation between $\text{Aut}(D^b(M))$ and $\text{FM}(M)$, but there is a problem: we do not have better ideas to discuss the relation since the evidence is clearly weak. Under this situation, a study of Hosono-Oguiso-Lian-Yau (for short, HLOY) gives us a cue for our problem.

Theorem 1.3 ([8]). *Let X be a projective K3 surface with $\text{NS}(X) = \mathbb{Z}L$. Put $L^2 = 2d$. The following equation holds: $\#\text{FM}(X) = [\text{AL}_d : \text{Fr}_d]$. Here AL_d and Fr_d are respectively Atkin-Lehner group and Fricke group of level d (defined in latter).*

Roughly speaking, AL_d and Fr_d are discrete subgroup of $PSL_2(\mathbb{R})$. In the next section we introduce the relation between $\text{FM}(X)$ and AL_d .

2 HLOY's observation

The main aim of this section is the introduction of HLOY's observation. Before the introduction, we recall the definition of the Atkin-Lehner group and the Fricke group.

2.1 Atkin-Lehner groups

As usual we put

$$\Gamma_0(d) = \left\{ \begin{pmatrix} \alpha & \beta \\ \gamma & \delta \end{pmatrix} \in PSL_2(\mathbb{Z}) \mid \gamma \in d\mathbb{Z} \right\}.$$

For integers $s, d \in \mathbb{Z}$ we define the symbol $s||d$ by

$$s||d \stackrel{\text{def}}{\iff} s|d \text{ and } \gcd(s, \frac{d}{s}) = 1. \quad (2.1)$$

Suppose $s||d$. We put

$$W_s = \left\{ \frac{1}{\sqrt{s}} \begin{pmatrix} \alpha & \beta \\ \gamma & \delta \end{pmatrix} \begin{pmatrix} s & 0 \\ 0 & 1 \end{pmatrix} \in PSL_2(\mathbb{R}) \mid \begin{pmatrix} \alpha & \beta \\ \gamma & \delta \end{pmatrix} \in \Gamma_0(d/s) \text{ and } \delta \in s\mathbb{Z} \right\}.$$

W_s is also given as

$$W_s = \left\{ \begin{pmatrix} \alpha\sqrt{s} & \frac{\beta}{\sqrt{s}} \\ \gamma\frac{d}{s}\sqrt{s} & \delta\sqrt{s} \end{pmatrix} \in PSL_2(\mathbb{R}) \mid \alpha, \beta, \gamma \text{ and } \delta \in \mathbb{Z} \right\}.$$

In particular we see $W_1 = \Gamma_0(d)$.

For cosets W_s one can check the following:

Lemma 2.1 ([5]). *Each W_s is a single coset under the multiplication of W_1 and is in the normalizer of $\Gamma_0(d)$ in $PSL_2(\mathbb{R})$. In addition the coset classes W_s and $W_{s'}$ satisfies the following rule of products:*

$$W_s^2 = W_1, W_s W_{s'} = W_{s'} W_s = W_{s * s'},$$

where $s * s' = \frac{ss'}{\gcd(s, s')^2}$

Definition 2.2. We define subsets of $PSL_2(\mathbb{R})$ by

$$AL_d := \bigsqcup_{s \parallel d} W_s \text{ and } Fr_d := W_1 \sqcup W_d.$$

By Lemma 2.1, we see that AL_d and Fr_d are subgroups of $PSL_2(\mathbb{R})$. We call AL_d and Fr_d respectively the *Atkin-Lehner group* and the *Fricke group* of level d .

Remark 2.3. AL_d is the abelian normalizer group of $\Gamma_0(d)$ in $PSL_2(\mathbb{R})$. Since $W_s W_d = W_{\frac{d}{s}}$, the coset decomposition of AL_d/Fr_d is given by

$$AL_d/Fr_d = \bigsqcup_{s \parallel d} (W_s \sqcup W_{\frac{d}{s}}).$$

2.2 HLOY's observation

Let X be a projective $K3$ surface. Recall that the total cohomology ring

$$H^*(X, \mathbb{Z}) = H^0(X, \mathbb{Z}) \oplus H^2(X, \mathbb{Z}) \oplus H^4(X, \mathbb{Z})$$

has a pure Hodge structure with weight 2 (For instance, see [10, Chapter 10]). Moreover $H^*(X, \mathbb{Z})$ has the *Mukai pairing* (or *Euler pairing*) given by

$$\langle r \oplus c \oplus s, r' \oplus c' \oplus s' \rangle = cc' - rs' - sr'.$$

The numerical Grothendieck group of X is given by

$$\mathcal{N}(X) = H^0(X, \mathbb{Z}) \oplus NS(X) \oplus H^4(X, \mathbb{Z}) \subset H^*(X, \mathbb{Z}).$$

By the Hodge index theorem, the index of the Mukai pairing on $\mathcal{N}(X)$ is $(2, \rho(X))$. For objects $E \in D(X)$ we put $v(E) = ch(E)\sqrt{td_X}$ and call it the *Mukai vector* of E . One can check that $v(E) = r \oplus c \oplus s \in \mathcal{N}(X)$ and see that $r = \text{rank } E$, $c = c_1(E)$ and $s = \chi(X, E) - \text{rank } E$ by the Riemann-Roch theorem.

Let $\Phi: D(Y) \rightarrow D(X)$ be an equivalence between projective $K3$ surfaces. As is well-known, Φ induces a Hodge isometry $\Phi^H: H^*(Y, \mathbb{Z}) \rightarrow H^*(X, \mathbb{Z})$ in a standard way (For instance, see [10]). Since Φ^H is a Hodge isometry, we get an isometry $\Phi^N: \mathcal{N}(Y) \rightarrow \mathcal{N}(X)$ by restricting Φ^H . Namely we have $\Phi^N = \Phi^H|_{\mathcal{N}(X)}$. Thus we obtain the representation of $\text{Aut}(D^b(X))$ on $O^+(\mathcal{N}(X) \otimes \mathbb{R})$ where $O^+(\mathcal{N}(X) \otimes \mathbb{R})$ is a subgroup of $O(\mathcal{N}(X) \otimes \mathbb{R})$ which preserves the orientation of positive 2 planes. Moreover $O^+(\mathcal{N}(X) \otimes \mathbb{R})/\pm 1$ is isomorphic to $PSL_2(\mathbb{R})$ if $\text{rank NS}(X) = 1$. Thus under the assumption Picard rank 1, we obtain the following representation:

$$\rho: \text{Aut}(D^b(X)) \rightarrow O^+(\mathcal{N}(X) \otimes \mathbb{R}) \rightarrow PSL_2(\mathbb{R}).$$

We can describe the image of $\rho: \text{Aut}(D^b(X)) \rightarrow PSL_2(\mathbb{R})$.

Theorem 2.4 ([3], [9]). *Let X be a $K3$ surface with $\text{NS}(X) = \mathbb{Z}L$. Put $L^2 = 2d$. The image of ρ is the Fricke group of level d .*

HLOY expected the following:

Conjecture 2.5 ([8]). *Notations and assumptions are being as above. For any $\alpha \in \text{AL}_d$, there exists an equivalence $\Phi: D^b(Y) \rightarrow D^b(X)$ such that “ ρ ”(Φ) = α .*

We have to remark that the definition of “ ρ ” is not clear since an equivalence is not necessary an autoequivalence. To define “ ρ ”(Φ) precisely, we use the assumption that Picard rank is 1.

Note that the Picard rank of Y is the same as that of X if there is an equivalence $\Phi: D^b(Y) \rightarrow D^b(X)$. Moreover, if $\text{NS}(X) = \mathbb{Z}L_X$, then both numerical Grothendieck groups $\mathcal{N}(Y)$ and $\mathcal{N}(X)$ are canonically isomorphic to the lattice $(\mathbb{Z}^{\oplus 3}, \Sigma)$ where Σ is

$$\Sigma = \begin{pmatrix} 0 & 0 & -1 \\ 0 & 2d & 0 \\ -1 & 0 & 0 \end{pmatrix}.$$

Now we put these canonical isomorphism as follows:

$$c_X: \mathcal{N}(X) \rightarrow (\mathbb{Z}^{\oplus 3}, \Sigma) \text{ and } c_Y: \mathcal{N}(Y) \rightarrow (\mathbb{Z}^{\oplus 3}, \Sigma).$$

By using these canonical isomorphisms, we obtain an extended representation of $\Phi: D^b(Y) \rightarrow$

$D^b(X)$. Namely we have the following definition of ρ :

$$\rho(\Phi) := c_X \circ \Phi^N \circ c_Y^{-1}. \quad (2.2)$$

Main results of this article (and also of the talk) is the following:

Theorem 2.6 ([13, Theorem 3.3]). *Let X be a projective K3 surface with $\text{NS}(X) = \mathbb{Z}L$ and $\Phi : D^b(Y) \rightarrow D^b(X)$ an equivalence. Put $L^2 = 2d$. Then Conjecture 2.5 holds. Moreover if the image of $\Phi : D^b(Y) \rightarrow D^b(X)$ by ρ is in Fr_d , then Y is isomorphic to X .*

2.3 Relation between $\text{FM}(X)$ and AL_d/Fr_d

Let us recall Theorem 1.3. Basically the theorem gives us the equation of numbers. After Theorem 2.6, we have more concrete correspondence between $\text{FM}(X)$ and AL_d/Fr_d though this correspondence is still far from our question introduced in §1.

By Theorem 2.4, $\text{Aut}(D^b(X))$ can be divided into 2 classes $\rho^{-1}(W_1) \sqcup \rho^{-1}(W_d)$. Moreover one can see that $\rho^{-1}(W_d)$ is represented by “spherical twist functors” on $D^b(X)$ (of general K3 surfaces). We do not give the definition of spherical twist functors but give a typical example $T_{\mathcal{O}_X}$. (If you need the precise definition, you can see it, for instance, in [10, Chapter 8].) For the structure sheaf $\mathcal{O}_X$ on X , we can define an autoequivalence $T_{\mathcal{O}_X}$. The functor $T_{\mathcal{O}_X}$ sends skyscraper sheaves $\mathcal{O}_x$ of closed points $x \in X$ to the shift $\mathcal{I}_x[1]$ of ideal sheaves $\mathcal{I}_x$ of $x \in X$. So the functor $T_{\mathcal{O}_X}$ can be regarded as an equivalence between $D^b(X)$ and the “dual” $D^b(X)^\vee$ of $D^b(X)$.

In addition, if we take $Y \in \text{FM}(X) \setminus \{X\}$, then there should be an equivalence $\Phi : D^b(Y) \rightarrow D^b(X)$ whose image by ρ does not belong to Fr_d . Since $D^b(Y)$ has also the “dual” $D^b(Y)^\vee$, the image $\rho(\Phi)$ belongs to $W_s \sqcup W_s^d$ for $\exists s \mid d$. As a result, we obtain the following bijection between $\text{FM}(X)$ and AL_d/Fr_d :

$$\text{FM}(X) \rightarrow \text{AL}_d/\text{Fr}_d, Y \mapsto \rho(\Phi) \text{ where } \Phi : D^b(Y) \rightarrow D^b(X) \text{ an equivalence.}$$

3 Sketch of the proof of Theorem 2.6

We first recall the work of [7] which is an explicit construction of Fourier-Mukai partners of X with $\text{NS}(X) = \mathbb{Z}L$. Put $L^2 = 2d$ as usual. We set the set P_d by

$$P_d = \{r \in \mathbb{N} \mid r \mid d\} / \sim$$

where $r_1 \sim r_2$ if and only if $r_1 = r_2$ or $r_1 = \frac{d}{r_2}$.

Theorem 3.1 ([7, Theorem 2.1]). *Let X be a projective K3 surface with $\mathrm{NS}(X) = \mathbb{Z}L$. Put $L^2 = 2d$. There is a one to one correspondence between P_d and the set $\mathrm{FM}(X)$ of isomorphic classes of Fourier-Mukai partners of X :*

$$P_d \ni r \mapsto M_L(r \oplus L \oplus \frac{d}{r}) \in \mathrm{FM}(X).$$

Here $M_L(r \oplus L \oplus s)$ is the fine moduli space of μ_L -stable sheaves with Mukai vector $r \oplus L \oplus s$.

Suppose that one wishes to prove Theorem 2.6. Since there is a surjection $\rho : \mathrm{Aut}(D^b(X)) \rightarrow \mathrm{Fr}_d$ by Theorem 2.4, it is enough to find an equivalence $\Phi : D^b(Y) \rightarrow D^b(X)$ such that $\rho(\Phi) \in W_s$ for any $s \mid d$. Thus our claim is the following:

Claim 3.2. *Notations are being as above. Let Y be the fine moduli space of μ -stable locally free sheaves on X with Mukai vector $r \oplus L \oplus s$ and $\mathcal{E}_Y$ a universal family. Define an equivalence $\Phi : D^b(Y) \rightarrow D^b(X)$ by*

$$\Phi : D^b(Y) \rightarrow D^b(X) \quad \Phi(-) := \mathbb{R}\pi_X^*(\mathcal{E}_Y \otimes \pi_Y^*(-)).$$

Then $\rho(\Phi) \in W_s$.

To show the claim, we give an explicit description of the matrix $\rho(\Phi)$. Before giving the description in Proposition 3.3 below, for an arbitrary equivalence $\Phi : D^b(Y) \rightarrow D^b(X)$, we put $\mathrm{NS}(X) = \mathbb{Z}L_X$ (resp. $\mathrm{NS}(Y) = \mathbb{Z}L_Y$) and

$$v(\Phi(\mathcal{O}_y)) = r_X \oplus n_X L_X \oplus s_X \text{ (resp. } v(\Phi^{-1}(\mathcal{O}_x)) = r_Y \oplus n_Y L_Y \oplus s_Y).$$

Lemma 3.3 ([12, Lemmas 3.1 and 3.2]). *Let $\Phi : D(Y) \rightarrow D(X)$ be an equivalence between projective K3 surfaces of $\deg X = 2d$ with Picard rank 1.*

1. *We have $r = r_X = r_Y$. Moreover if $r_X = 0$, then*

$$\rho(\Phi) = \begin{pmatrix} 1 & m \\ 0 & 1 \end{pmatrix} \text{ where } \exists m \in \mathbb{Z}.$$

2. *Suppose that $r \neq 0$. Then $\rho(\Phi)$ is given by*

$$\rho(\Phi) = \begin{pmatrix} 1 & \frac{n_X}{r} \\ 0 & 1 \end{pmatrix} \frac{1}{\sqrt{d|r|}} \begin{pmatrix} 0 & -1 \\ d|r| & 0 \end{pmatrix} \begin{pmatrix} 1 & \frac{-n_Y}{r} \\ 0 & 1 \end{pmatrix}.$$

Due to Lemma 3.3, we can prove Claim 3.2. Consequently we can also prove Theorem 2.6. The details are in [13].

4 The origin of Lemma 3.3

As you saw in the last section, a key ingredient for Theorem 2.6 is Lemma 3.3. In this section we explain that Lemma 3.3 is closely related to the space of stability conditions on $D^b(X)$ introduced by Bridgeland in [3].

4.1 Stability conditions on K3 surfaces

In this subsection, we give a brief review of stability conditions on a K3 surface X . We can regard a stability condition on $D^b(X)$ as a generalization of Gieseker stability (or μ -stability) for coherent sheaves on X . One of the obstructions for the generalization is the fact that $D^b(X)$ is not an abelian category. Hence we can not define subobjects F of $E \in D^b(X)$. To determine a subobject F of $E \in D^b(X)$, we have to fix a full sub abelian category $\mathcal{A}$ of $D^b(X)$ so-called the heart of a bounded t -structure. Thus the rough definition is the following:

Definition 4.1 ([4]). Let $\mathcal{A}$ be the heart of a bounded t -structure on $D^b(X)$ and let $Z : \mathcal{N}(X) \rightarrow \mathbb{C}$ be a group homomorphism. If the pair $\sigma = (\mathcal{A}, Z)$ has the “Harder-Narashimhan property”, σ is said to be a stability condition on $D^b(X)$. The set of stability conditions on $D^b(X)$ is denoted by $\text{Stab}(X)$.

Remark 4.2. We do not explain stability conditions any more in this article. If you need more precise definition, we strongly recommend to read the original articles [3] and [4].

One of the most important properties is the non-emptiness of $\text{Stab}(X)$.

Theorem 4.3 ([4]). *Let X a K3 surface. Then $\text{Stab}(X)$ is not empty and each of nonempty connected components is a complex manifold. Moreover there is a connected component $\text{Stab}^\dagger(X)$ which is a covering space of a set $\mathcal{P}_0^+(X)$ defined as follows:*

$$\mathcal{P}(X) = \{v_r + \sqrt{-1}v_i \in \mathcal{N}(X) \otimes \mathbb{C} \mid \langle v_r, v_i \rangle \text{ spans a positive 2-plane}\}.$$

We take a connected component $\mathcal{P}^+(X)$ of $\mathcal{P}(X)$ containing $\exp(\mathcal{O}_X(1))$ of an ample line bundle on X since $\mathcal{P}(X)$ has 2 connected components.

$$\mathcal{P}_0^+(X) := \mathcal{P}^+(X) \setminus \bigcup_{\delta: (-2)\text{-vector in } \mathcal{N}(X)} \langle \delta \rangle^\perp.$$

Here $\langle \delta \rangle^\perp$ is the orthogonal complement of δ .

Remark 4.4. Due to Bayer-Bridgeland [1], if the Picard rank of X is 1 then $\text{Stab}^\dagger(X)$ is simply connected, that is $\text{Stab}^\dagger(X)$ is a universal cover of $\mathcal{P}_0^+(X)$.

4.2 $\text{Stab}(X)$ and Lemma 3.3

In this subsection we explain where a key idea for the proof of Lemma 3.3 comes from. Roughly speaking, it comes from the relation between the representation $\rho(\Phi)$ and $\text{Stab}(X)$.

Note that $\mathbb{C}$ can be regarded as a 2-dimensional $\mathbb{R}$ -vector space in a canonical way. Thus we have a right action of $GL_2^+(\mathbb{R})$ on $\mathcal{N}(X) \otimes \mathbb{C}$. Since $\mathcal{P}_0^+(X)$ is a subset of $\mathcal{N}(X) \otimes \mathbb{C}$, we have a right action of $GL_2^+(\mathbb{R})$ on $\mathcal{P}_0^+(X)$.

Assume that the Picard rank of X is 1. Then the quotient $\mathcal{P}_0^+(X)/GL_2^+(\mathbb{R})$ is isomorphic to an open and dense subset of the upper half plane $\mathbb{H}$. Thus, for an equivalence $\Phi : D^b(Y) \rightarrow D^b(X)$, we have the following commutative diagram:

$$\begin{array}{ccc} \text{Stab}^\dagger(Y) & \xrightarrow{\Phi_*^S} & \text{Stab}^\dagger(X) \\ \downarrow & & \downarrow \\ \mathcal{P}_0^+(Y)/GL_2^+(\mathbb{R}) & \xrightarrow{\Phi_*^P} & \mathcal{P}_0^+(X)/GL_2^+(\mathbb{R}). \end{array}$$

Since the open embedding of $\mathcal{P}_0^+(X)/GL_2^+(\mathbb{R})$ to $\mathbb{H}$ is canonical, one can easily check the following:

Claim 4.5. *Notations are being as above. The lower horizontal morphism Φ_*^P of the diagram is $\rho(\Phi)$ which we defined in (2.2).*

This is the relation between $\text{Stab}(X)$ and the representation $\rho(\Phi)$. Due to Claim 4.5, the proof of Lemma 3.3 becomes easier.

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