Prime knots whose arc index is smaller than the crossing number

Gyo Taek Jin (joint with Hwa Jeong Lee)

Korea Advanced Institute of Science and Technology

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Arc presentation and arc index

An *arc presentation* of a knot or a link L is an ambient isotopic image of L contained in the union of finitely many half planes, called *pages*, with a common boundary line in such a way that each half plane contains a properly embedded single arc.



Figure 1: An arc presentation of the figure eight knot

The minimal number of pages among all arc presentations of a link L is called the *arc index* of L and is denoted by $\alpha(L)$.

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Methods of describing arc presentation



Figure 2: Representations of arc presentation

- (Cromwell, 1995) Every link admits an arc presentation.
- (Nutt, 1999) All knots up to arc index 9 are identified.
- (Bae-Park, 2000)
 α(L) = c(L) + 2 if and only if a non-split link L is alternating.
 (Knot-spoke diagrams are used for the proof.)
- (Beltrami, 2002) Arc index for prime knots up to 10 crossings are determined.
- (Jin et al., 2006) All prime knots up to arc index 10 are identified.
- (Ng, 2006) Arc index for prime knots up to 11 crossings are determined.
- (Jin-Park, 2007) All prime knots up to arc index 11 are identified. A prime link L is *nonalternating* if and only if $\alpha(L) \leq c(L)$.

A *wheel diagram* is finite plane graph of straight edges which are incident to a single vertex. The projection of an arc presentation of a knot or a link into the *xy*-plane is of this shape.



Figure 3: Wheel Diagrams of the figure-eight knot

For a wheel diagram with n edges to represent a knot or a link, each edge must be labeled with an unordered pair of distinct integers so that each of the integers, $1, 2, \dots, n$ appear exactly twice in the wheel diagram. These number indicate the z-levels of the end point of the corresponding arcs.

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Knot-spoke Diagram

A *knot-spoke diagram* D^* is a finite connected plane graph satisfying

- 1. There are three kinds of vertices in D^* ; a *distinguished vertex* v_0 with valency at least four, 4-valent vertices, and 1-valent vertices.
- 2. Every edge incident to a 1-valent vertex is also incident to v_0 . Such an edge is called a *spoke*.



Figure 4: Knot-spoke diagrams

Prime knot-spoke diagrams

A knot-spoke diagram D^* is said to be *prime* if no simple closed curve meeting D^* in two interior points of edges separates multi-valent vertices into two parts.



Figure 5: Prime diagram and non-prime diagram

A multi-valent vertex v of a knot-spoke diagram D^* is said to be a *cut-point* if there is a simple closed curve S meeting D^* in v and separating non-spoke edges into two parts.



Figure 6: Cut-point

- A cut-point free knot-spoke diagram with more than one non-spoke edges cannot have a loop.
- If a prime knot-spoke diagram D^* has a cut-point, then the distinguished vertex v_0 must be the cut-point with valency bigger than four.

Contracting an edge incident to v_0

Let e be an edge of a cut-point free knot-spoke diagram D^* as in the figure. The knot-spoke diagram $(D^*)_e$ is obtained by

- contracting e and
- replacing any simple loop thus created by a spoke.



Figure 7: Contraction of an edge in D^*

A loop in a knot-spoke diagram is said to be *simple* if the other non-spoke edges are in one side of it.

D^{\star} and $(D^{\star})_e$

There are important facts to point out.

- 1. D^* and $(D^*)_e$ represent the same knot or link.
- 2. The sum of the number of regions divided by the non-spoke edges and the number of spokes is unchanged.
- 3. $(D^*)_e$ is prime if D^* is prime.

Wheel diagram with c(D) + 2 spoke

Starting from a knot diagram D, we end up with a knot-spoke diagram with c(D) spokes and only one non-spoke edge which is a non-simple loop where c(D) is the number of crossings in D.



Figure 8: Folding the last non-spoke edge

The last non-spoke edge, which is a loop, is being folded to create two extra spokes. This shows the inequality $\alpha(L) \leq c(L) + 2$.

A process converting 4_1 into a wheel diagram

- Choose a vertex v_0 and put labels on the two edges meeting at v_0 , to assign vertical levels of the overpass and the underpass.
- Choose an edge *e* to contract and assign the label of a new level at the edges crossing *e* at the other end which is the lowest if the crossing is an undercrossing and the highest otherwise.
- Contract the edge and replace each simple loop with a spoke and label it with the two labels of the loop.



Filtered spanning Tree of a Knot Diagram

Let D be a knot diagram. We may consider D as a connected 4-valent plane graph with c(D) vertices and 2c(D) edges.

A spanning tree of D is a tree which contains all the vertices of D.

A *filtered spanning tree* of D is an increasing sequence

 $T_0 \subset T_1 \subset T_2 \subset \cdots \subset T_{c(D)-1}$

The *closure* of T_i , denoted by \overline{T}_i , is the subgraph of D obtained from T_i by adding the edges which are incident T_i at both ends.

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Edges not contained in the spanning tree

An edge e of $\overline{T}_i \setminus \overline{T}_{i-1} \subset D$ is said to be *good* if e meets the edge $T_i \setminus T_{i-1}$ transversely at the vertex not contained in T_{i-1} .

An edge e of $\overline{T}_i \setminus \overline{T}_{i-1} \subset D$ is said to be *bad* if e meets the edge $T_i \setminus T_{i-1}$ vertically at the vertex not contained in T_{i-1} .



Figure 9: Good edges and a bad edge

Good filtered tree and Good filtered spanning tree

Let $T_0 \subset T_1 \subset \cdots \subset T_m$ be a filtered tree in a diagram D which does not span D. If the knot-spoke diagram obtained by contraction of the edges $e_i = T_i \setminus T_{i-1}, i = 1, \ldots, m$ is cut-point free, we say that the *filtered tree is* good.

A filtered spanning tree $T_0 \subset T_1 \subset T_2 \subset \cdots \subset T_{c(D)-1}$ is said to be good if $T_0 \subset T_1 \subset \cdots \subset T_m$ is good filtered tree for each $m, 1 \leq m \leq c(D) - 2$ and there is only one 'bad' edge in D which belongs to $D \setminus \overline{T}_{c(D)-1}$.

Theorem 1 (Bae-Park, 2000) A prime link diagram D admits a good filtered spanning tree and therefore we can obtain an arc presentation with c(D) + 2 arcs.

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Good filtered tree (Cont.)

Proposition 2 Let $T_0 \subset T_1 \subset \cdots \subset T_m$ be a filtered tree in a diagram D which does not span D. Then the following are equivalent.

- 1. Every edge of $\overline{T}_m \setminus T_m$ is a good edge, and a sufficiently small neighborhood of \overline{T}_m has connected exterior in D.
- 2. The filtered tree is good.

Corollary 3 Let $T_0 \subset T_1 \subset \cdots \subset T_m$ be a good filtered tree in a diagram D which does not span D. Let e be an edge in D such that $T_m \cap e$ is a single vertex, so that $T_m \cup e$ is a tree. If $T_0 \subset T_1 \subset \cdots \subset T_m \subset (T_m \cup e)$ is not a good filtered tree, then one of the following holds.

- $\overline{T_m \cup e}$ has a bad edge.
- A sufficiently small neighborhood of $\overline{T_m \cup e}$ has disconnected exterior in D.

Cutting arc

Let T be a filtered tree in D which does not span D. A simple arc Γ is called a *cutting arc* of T if it is satisfies the following conditions.

- 1. $\Gamma \cap D$ consists of the endpoints of Γ which are two distinct vertices of T.
- 2. A proper subcollection of edges of $D \setminus \overline{T}$ is enclosed by the simple closed curve $\overline{\Gamma}$ constructed by Γ and the path in T joining the endpoints of Γ .



Figure 10: Cutting arc of a filtered tree

Doubly good edges

A good edge $e \subset \overline{T}_i \setminus \overline{T}_{i-1}$ is said to be *doubly good* if the three edges e, $e_i = T_i \setminus T_{i-1}$, and $e_{i-1} = T_{i-1} \setminus T_{i-2}$ together bound a nonalternating triangular region in D/T_{i-2} .



The doubly good edge on the filtered tree corresponds to removable spoke in the knot-spoke diagram obtained by contraction of edges in T_i .

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Doubly good edges (Cont.)

It is known that every prime nonalternating diagram admits a good filtered spanning tree having at least two doubly good edges.

Theorem 4 (Jin-Park, 2007) A prime link L is nonalternating if and only if $\alpha(L) \leq c(L)$.

Theorem 5 A prime diagram D of a nonalternating knot has a good filtered spanning tree which has at least two doubly good edges. Furthermore, if there are d doubly good edges, then one can obtain an arc presentation with c(D) + 2 - d arcs.

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Goal

Arc presentation	Wheel diagram	Good filtered spanning tree
properly simple arc	spoke	good edge
removable arc	removable spoke	doubly good edge

Goal : To construct a good filtered tree to find as many doubly good edges as possible.

Supporting arc and String \overrightarrow{ve}

For two regions R and S in a diagram, an arc Δ is said to be a *supporting* arc of R and S if Δ consists of at least 3 edges and one of the end edges of Δ is one of the boundary edges of R and the other is one of the boundary edges of S.

A string from a vertex v extending e in a knot diagram D is a portion of D that goes from v passing through e along D and is denoted by \overrightarrow{ve} .



Figure 12: Supporting arc and String \overrightarrow{ve}

Three types of nonalternating diagram

Let $n \ge 2$. A nonalternating knot diagram D is said to be (n, 1)-nonalternating if it can be decomposed of two alternating tangles one of which is an (n, 1)-tangle.

Let $n \ge 1$. A nonalternating knot diagram D is said to be *n*-nonalternating if it can be decomposed of two alternating tangles one of which is an *n*-tangle.

A 1-nonalternating diagram is also called an *almost alternating diagram*.



(a) The (n, 1)-tangle (b) The *n*-tangle (c) The 1-tangle Figure 13: Tangles Let D be a prime (n, 1)-nonalternating minimal crossing knot diagram having a nonalternating triangular region with some edges and regions labeled as in Figure 14 for some integer $n \ge 2$. Then $\alpha(D) < c(D)$ if Dsatisfies the two conditions below:



Figure 14: (2, 1)-nonalternating diagram

Theorem A (Cont.)

- 1. The string $\overrightarrow{q_1e_4}$ and at least one of the two strings $\overrightarrow{q_1e_{51}}$, $\overrightarrow{q_2e_{52}}$ meet at a crossing before they become incident to the region R_2 , or there is a supporting arc of R_4 and R_5 which does not contain any edge of ∂R_2 and ∂R_3 .
- 2. At least one of the three strings $\overrightarrow{q_1e_4}, \overrightarrow{q_1e_{51}}, \overrightarrow{q_2e_{52}}$ is incident to R_2 before or at the same time to R_1 , or there is a supporting arc of R_4 and R_5 , not incident to R_3 , whose extension is incident to R_2 before or at the same time to R_1 .

Diagrams on which Theorem A can be applied



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Let D be a prime, (n)-nonalternating and minimal crossing knot diagram having a nonalternating triangular region. If D satisfies the condition 1, 2, and 3 where the regions and edges near the nonalternating triangular region are labeled as in Figure 15. Then $\alpha(D) < c(D)$.



Figure 15: 2-nonalternating diagram

Theorem B (Cont.)

- 1. String $\overrightarrow{q_1e_4}$ and at least one of the two strings $\overrightarrow{q_1e_{51}}$, $\overrightarrow{q_2e_{52}}$ meet at a crossing before they become incident to the regions R_1 or R_2 , or there is a supporting arc of R_4 and R_5 which does not contain any edge of R_1 , R_2 and R_3 .
- 2. At least one of the three strings $\overline{q_1e_4}$, $\overline{q_1e_{51}}$, $\overline{q_2e_{52}}$ is incident to R_2 before or at the same time to R_1 , or there is a supporting arc of R_4 and R_5 , not incident to R_3 , whose extension is incident to R_2 before or at the same time to R_1 .
- 3. R_2 is bounded by at least n + 3 edges.

Diagrams on which Theorem B can be applied



Let D be a prime, almost alternating, and minimal crossing knot diagram having a nonalternating triangular region. If D satisfies the condition 1, 2, 3 where the regions and edges near the nonalternating triangular region are labeled as in Figure 16. Then $\alpha(D) < c(D)$



Figure 16: Almost alternating diagram

Theorem C (Cont.)

- 1. $\overrightarrow{q_1e_4}$ and at least one of $\overrightarrow{q_1e_{51}}$, $\overrightarrow{q_2e_{52}}$ meet at a crossing before they become incident to the regions R_1 or R_2 , or there is a supporting arc of R_4 and R_5 which does not contain any edge of R_1 , R_2 and R_3 .
- 2. At least one of the three strings $\overrightarrow{q_1e_4}$, $\overrightarrow{q_1e_{51}}$, $\overrightarrow{q_2e_{52}}$ is incident to R_2 before or at the same time to R_1 , or there is a supporting arc of R_4 and R_5 , not incident to R_3 , whose extension is incident to R_2 before or at the same time to R_1 .
- 3. At least one of $\overrightarrow{q_1e_4}$, $\overrightarrow{q_1e_{51}}$ is incident to R_1 at v_0 for the first time without being incident to R_2 .

A diagram on which Theorem C can be applied



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A sketch of proof of Theorem A

Let D' be the diagram obtained from D by a type 3 Reidemeister move over the region R_3 as in Figure 17.



Figure 17: (2,1)-nonalternating diagram after a type 3 Reidemeister move

We construct a good filtered tree whose closures gradually contain $\partial R'_1, \partial R'_2$ and $\partial R'_3$. Let $\overline{v_i v_j}$ denote the edge joining v_i and v_j . The edges $\overline{v_2 v_3}$, $\overline{v_4 v_5}$ and $\overline{v_6 v_7}$ will become doubly good edges.

A sketch of proof of Theorem B

Let D' be the diagram obtained from D by a type 3 Reidemeister move over the region R_3 as in Figure 18.



Figure 18: 2-nonalternating diagram after a type 3 Reidemeister move

We construct a good filtered tree whose closures gradually contain $\partial R'_1, \partial R'_2$ and $\partial R'_3$. The edges $\overline{v_1v_2}$, $\overline{v_3v_4}$ and $\overline{v_5v_6}$ will become doubly good edges.

A sketch of proof of Theorem C

Let D' be the diagram obtained from D by a type 3 Reidemeister move over the region R_3 as in Figure 19.



Figure 19: Almost alternating diagram after a type 3 Reidemeister move

We construct a good filtered tree whose closures gradually contain $\partial R'_1, \partial R'_2$ and $\partial R'_3$. The edges $\overline{v_1v_2}$, $\overline{v_3v_4}$ and $\overline{v_4v_5}$ will become doubly good edges.

An Example of Theorem A



Figure 20: (2, 1)-nonalternating diagram : 13n2004

Examples of Theorem A

(knots with arc index 12)
















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Examples related to Theorem A (k













An Example Theorem B



Figure 21: 2-nonalternating diagram : 13n2942

Examples of Theorem B (knots

(knots with arc index 12)











13n4897



13n4386

Examples related to Theorem B

(knots with arc index 12)

13n3475







13n3047



13n4308

An Example of Theorem C



Figure 22: Almost alternating diagram : 13n0635


(knots with arc index 12)



Knots whose arc index equals crossing number (1)



Figure 23: $\alpha(9n8) = 9$, $\alpha(10n41) = 10$

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Knots whose arc index equals crossing number (2)



Figure 24: $\alpha(10n42) = 10, \alpha(11n163) = 11$

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Knots whose arc index equals crossing number (3)



Figure 25: $\alpha(10n24) = 10, \alpha(11n85) = 11$

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Knots whose arc index equals crossing number (4)



Figure 26: $\alpha(11n113) = 11$, $\alpha(11n169) = 11$

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Knots whose arc index equals crossing number (5)



Figure 27: $\alpha(11n93) = 11$, $\alpha(11n124) = 11$

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Knots whose arc index equals crossing number (6)



Figure 28: $\alpha(11n121) = 11$, $\alpha(11n127) = 11$

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Thank you very much.

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