

Convex Integration and Legendrian Approximation of Curves

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Using convex integration we give a constructive proof of the well-known fact that every continuous curve in a contact 3-manifold can be approximated by a Legendrian curve.

1. Introduction

A *contact structure* on a 3-manifold M is a maximally non-integrable rank 2 subbundle ξ of the tangent bundle of M . If α is a 1-form on M whose kernel is ξ , then ξ is a contact structure if and only if $\alpha \wedge d\alpha \neq 0$. A curve η in a contact 3-manifold (M, ξ) is called *Legendrian*, whenever $\eta^*\alpha = 0$ for some (local) 1-form α defining ξ .

The purpose of this note is to give a detailed proof of the following statement which is often used in contact geometry and Legendrian knot theory.

Theorem 1.1. *Any continuous map from a compact 1-manifold to a contact 3-manifold can be approximated by a Legendrian curve in the C^0 -Whitney topology.*

Whereas this theorem is a special case of Gromov's h -principle for Legendrian immersions [5], the curve-case can be treated by more elementary techniques. Sketches of proofs of Theorem 1.1 have already appeared in the literature, see for example [1, p. 6–7], [4, p. 40] or [3, p. 102]. Exploiting the fact that every contact 3-manifold is locally contactomorphic to $\mathbb{R}^3$ equipped with the standard

contact structure defined by $\alpha = dz - ydx$, Etnyre and Geiges indicate that either the *front-projection* (x, z) of a given curve (x, y, z) can be approximated by a zig-zag-curve whose slope approximates the y -component of the curve or the *Lagrangian projection* (x, y) can be approximated by a curve whose area integral approximates the z component of the curve, which can be achieved by adding small negatively or positively oriented loops.

Here, we give a different and analytically rigorous proof of Theorem 1.1 by using convex integration. Our proof has the advantage of providing a constructive approximation. In particular, in the case of a continuous curve in $\mathbb{R}^3$ equipped with the standard contact structure, we obtain an explicit Legendrian curve given in terms of an elementary integral. For instance, we obtain a solution, even integral-free, to the “parallel parking problem” in Example 3.1. Example 3.2 shows how our technique recovers the zig-zag-curves and the small loops in the front - respectively Lagrangian projections.

2. Proof of the Theorem

We start by first treating the case where the contact manifold is $\mathbb{R}^3$ equipped with the standard contact structure, that is, we aim to prove the following:

Proposition 2.1. *Let $v \in C^0([0, 2\pi], \mathbb{R}^3)$. For every $\varepsilon > 0$ there exists a Legendrian curve $\eta \in C^\infty([0, 2\pi], \mathbb{R}^3)$ such that $\|v - \eta\|_{C^0([0, 2\pi])} \leq \varepsilon$.*

Remark 2.2. Here, as usual, $\|\gamma\|_{C^0(I)} := \sup_{t \in I} |\gamma(t)|$ and $\|\gamma\|_{C^1(I)} := \|\gamma\|_{C^0(I)} + \|d\gamma\|_{C^0(I)}$.

Let the curve we wish to approximate be given by $(x, y, z) \in C^\infty([0, 2\pi], \mathbb{R}^3)$. The regularity is no restriction due to a standard approximation argument using convolution. Let $\eta = (a, b, c) \in C^\infty([0, 2\pi], \mathbb{R}^3)$ denote the approximating Legendrian curve. For every choice of smooth functions $(a, c) \in C^\infty([0, 2\pi], \mathbb{R}^2)$ satisfying $\dot{a} \neq 0$, we obtain a Legendrian curve by defining $b = \dot{c}/\dot{a}$. Therefore, if $(\dot{a}(t), \dot{c}(t))$ lies in the set

$$\mathcal{R}_{t,\varepsilon} := \{(u, v) \in \mathbb{R}^2, |v - y(t)u| \leq \varepsilon \min\{|u|, |u|^2\}\},$$

for every $t \in [0, 2\pi]$, then $\|b - y\|_{C^0([0, 2\pi])} \leq \varepsilon$. This condition can be achieved by defining

$$(a(t), c(t)) := (x(0), z(0)) + \int_0^t \gamma(u, nu) du,$$

with $\gamma \in C^\infty([0, 2\pi] \times S^1, \mathbb{R}^2)$ and $n \in \mathbb{N}$, provided that $\gamma(t, \cdot) \in \mathcal{R}_{t,\varepsilon}$. Furthermore, if γ additionally satisfies

$$\frac{1}{2\pi} \oint_{S^1} \gamma(t, s) ds = (\dot{x}(t), \dot{z}(t)),$$

for all $t \in [0, 2\pi]$, then – as we will show below – $(a(t), c(t))$ approaches $(x(t), z(t))$ as n gets sufficiently large.

The set $\mathcal{R}_{t,\varepsilon}$ is *ample*, i.e., the interior of its convex hull is all of $\mathbb{R}^2$. For any given point $(\dot{x}(t), \dot{z}(t)) \in \mathbb{R}^2$ we will thus be able to find a loop in $\mathcal{R}_{t,\varepsilon}$ having $(\dot{x}(t), \dot{z}(t))$ as its barycenter. This fact is sometimes referred to as the fundamental lemma of convex integration (see for instance [6, Prop. 2.11, p. 28]). In the particular case studied here we find an explicit formula for γ :

Lemma 2.3. *There exists a family of loops $\gamma \in C^\infty([0, 2\pi] \times S^1, \mathbb{R}^2)$ satisfying $\gamma(t, \cdot) \in \mathcal{R}_{t,\varepsilon}$ and such that*

$$\frac{1}{2\pi} \oint_{S^1} \gamma(t, s) \, ds = (\dot{x}(t), \dot{z}(t)), \quad (1)$$

for all $t \in [0, 2\pi]$.

Proof. The map $\gamma := (\gamma_1, \gamma_2)$, where

$$\gamma_1(t, s) := r \cos s + \dot{x}(t)$$

and

$$\gamma_2(t, s) := \gamma_1(t, s) \left(y(t) + \frac{2(\dot{z}(t) - y(t)\dot{x}(t))}{r^2 + 2\dot{x}(t)^2} \gamma_1(t, s) \right)$$

satisfies (1) for every $r > 0$. If r is large enough one obtains $\gamma(t, \cdot) \in \mathcal{R}_{t,\varepsilon}$, where r can be chosen independently of t by compactness of $[0, 2\pi]$. $\square$

We now have:

Proof of Proposition 2.1. With the definitions above we obtain

$$b(t) := \frac{\dot{c}(t)}{\dot{a}(t)} = y(t) + \frac{2(\dot{z}(t) - y(t)\dot{x}(t))}{r^2 + 2\dot{x}(t)^2} \gamma_1(t, nt).$$

We are left to show that $|(a, c) - (x, z)| \leq \varepsilon$ provided n is large enough. This follows from the following estimate

$$\|(a, c) - (x, z)\|_{C^0([0, 2\pi])} \leq \frac{4\pi^2}{n} \|\gamma\|_{C^1([0, 2\pi] \times S^1)}. \quad (2)$$

The estimate is in fact a geometric property of the derivative and can be interpreted as follows: Since $(\dot{a}, \dot{c})$ and $(\dot{x}, \dot{z})$ coincide “in average” on shorter and shorter intervals when n gets bigger and bigger, (a, c) and (x, z) tend to become close: Let

$$I_k := \left[\frac{2\pi k}{n}, \frac{2\pi(k+1)}{n} \right] \quad \text{for } k = 0, \dots, \left\lfloor \frac{nt}{2\pi} \right\rfloor - 1 \quad \text{and} \quad J := \left[\left\lfloor \frac{nt}{2\pi} \right\rfloor \frac{2\pi}{n}, t \right].$$

Then we can estimate $D = |(a(t), c(t)) - (x(t), z(t))|$:

$$\begin{aligned}
D &= \left| \int_0^t \gamma(u, nu) \, du - \int_0^t (\dot{x}, \dot{z})(u) \, du \right| \\
&\leq \sum_{k=0}^{\lfloor \frac{nt}{2\pi} \rfloor - 1} \left| \int_{I_k} \gamma(u, nu) \, du - \int_{I_k} \frac{1}{2\pi} \int_0^{2\pi} \gamma(u, v) \, dv \, du \right| \\
&\quad + \int_J (|\gamma(u, nu)| + \|\gamma\|_{C^0([0, 2\pi] \times S^1)}) \, du \\
&\leq \sum_{k=0}^{\lfloor \frac{nt}{2\pi} \rfloor - 1} \left| \frac{1}{n} \int_0^{2\pi} \gamma\left(\frac{v + 2k\pi}{n}, v\right) \, dv - \int_{I_k} \frac{1}{2\pi} \int_0^{2\pi} \gamma(u, v) \, dv \, du \right| \\
&\quad + \frac{4\pi}{n} \|\gamma\|_{C^0([0, 2\pi] \times S^1)} \\
&\leq \sum_{k=0}^{\lfloor \frac{nt}{2\pi} \rfloor - 1} \left| \frac{1}{2\pi} \int_{I_k} \int_0^{2\pi} \left(\gamma\left(\frac{v + 2k\pi}{n}, v\right) - \gamma(u, v) \right) \, dv \, du \right| \\
&\quad + \frac{4\pi}{n} \|\gamma\|_{C^0([0, 2\pi] \times S^1)} \\
&\leq \left\lfloor \frac{nt}{2\pi} \right\rfloor \frac{4\pi^2}{n^2} \|\partial_t \gamma\|_{C^0([0, 2\pi] \times S^1)} + \frac{4\pi}{n} \|\gamma\|_{C^0([0, 2\pi] \times S^1)} \\
&\leq \frac{4\pi}{n} (\pi \|\partial_t \gamma\|_{C^0([0, 2\pi] \times S^1)} + \|\gamma\|_{C^0([0, 2\pi] \times S^1)}) .
\end{aligned}$$

By construction, the curve (a, b, c) is Legendrian and the desired approximation of (x, y, z) . $\square$

Next we show that we can approximate closed curves by closed Legendrian curves.

Proposition 2.4. *Let $v \in C^0(S^1, \mathbb{R}^3)$. For every $\varepsilon > 0$ there exists a Legendrian curve $\eta \in C^\infty(S^1, \mathbb{R}^3)$ such that $\|v - \eta\|_{C^0(S^1)} \leq \varepsilon$.*

Proof. Using standard regularization, let the curve we wish to approximate be given by $(x, y, z) \in C^\infty([0, 2\pi], \mathbb{R}^3)$, where the values of (x, y, z) in 0 and 2π agree to all orders. Define $g(t) := \gamma_1^2(t, nt)$. Since $\|g\|_{L^1([0, 2\pi])} = O(r^2)$ as $r \rightarrow \infty$, we can choose $r > 0$ large enough such that $f := g/\|g\|_{L^1([0, 2\pi])}$ is well-defined. With the notation

$$I_2 := \int_0^{2\pi} \gamma_2(u, nu) \, du,$$

we define $\eta = (a, b, c)$ as follows:

$$(a(t), c(t)) := (x(0), z(0)) + \int_0^t \left[\gamma(u, nu) - (0, I_2 f(u)) \right] du, \quad (3)$$

$$b(t) := \frac{\dot{c}(t)}{\dot{a}(t)} = y(t) + \gamma_1(t, nt) \left(\frac{2(\dot{z}(t) - y(t)\dot{x}(t))}{r^2 + 2\dot{x}(t)^2} - \frac{I_2}{\|g\|_{L^1([0, 2\pi])}} \right). \quad (4)$$

A straightforward computation shows that the values of (a, b, c) in 0 and 2π agree to all orders, hence $\eta \in C^\infty(S^1, \mathbb{R}^3)$ and it is Legendre by construction. Using (2) we obtain $|I_2| \leq \frac{4\pi^2}{n} \|\gamma_2\|_{C^1([0, 2\pi] \times S^1)}$, hence we find using (4) as $r \rightarrow \infty$:

$$\|b - y\|_{C^0([0, 2\pi])} \leq \|\gamma_1\|_{C^0([0, 2\pi] \times S^1)} \left(1 + \frac{1}{n} \|\gamma\|_{C^1([0, 2\pi] \times S^1)} \right) O(r^{-2}).$$

For the remaining components we find using (2) and (3) the uniform bound

$$\begin{aligned} |(a(t), c(t)) - (x(t), z(t))| &\leq \frac{4\pi^2}{n} \|\gamma\|_{C^1([0, 2\pi] \times S^1)} + \frac{|I_2|}{\|g\|_{L^1([0, 2\pi])}} \int_0^t g(u) du \\ &\leq \frac{8\pi^2}{n} \|\gamma\|_{C^1([0, 2\pi] \times S^1)}. \end{aligned}$$

Choosing r large enough and $n \sim r^2$ concludes the proof. $\square$

We show now how to glue together two local approximations of a curve Γ in M on two intersecting coordinate neighborhoods. Let therefore U_σ and U_τ in M be coordinate patches such that $U = U_\sigma \cap U_\tau \neq \emptyset$. Let I_σ and I_τ be compact intervals such that $I = I_\sigma \cap I_\tau$ contains an open neighborhood of $t = 0$ (after shifting the variable t if necessary) and such that $\Gamma(I_\sigma) \subset U_\sigma$, $\Gamma(I_\tau) \subset U_\tau$. Assume without restriction that Γ is smooth and let (x, y, z) represent Γ on U . Suppose that (x, y, z) is approximated by Legendrian curves $\sigma : I_\sigma \rightarrow \mathbb{R}^3$ and $\tau : I_\tau \rightarrow \mathbb{R}^3$ such that

$$\|\sigma - (x, y, z)\|_{C^0(I)} < \varepsilon^2, \quad \|\tau - (x, y, z)\|_{C^0(I)} < \varepsilon^2 \quad (5)$$

for some fixed $0 < \varepsilon < \frac{1}{2}$. For $r > 0$, define $R(r)$ to be the smallest number such that $\bar{B}_r(0) \subset \text{conv}(\mathcal{R}_{0, \varepsilon} \cap \bar{B}_R(0))$. Note that R depends continuously on r and if $r > r_0 := \frac{\varepsilon}{\sqrt{1+y(0)^2}}$, then

$$R(r) = \frac{r}{\varepsilon} \sqrt{(1 + y(0)^2)(1 + (|y(0)| + \varepsilon)^2)} =: \frac{r}{\varepsilon} w(y(0), \varepsilon). \quad (6)$$

Choose $0 < \delta < \varepsilon^2$ such that $[-\delta, \delta] \subset I$ and such that $\delta \|(x, y, z)\|_{C^1(I)} \leq \varepsilon^2$ and define

$$\begin{aligned} p_1 &:= (\sigma_1(-\delta), \sigma_3(-\delta)), \\ \dot{p}_1 &:= (\dot{\sigma}_1(-\delta), \dot{\sigma}_3(-\delta)), \\ p_2 &:= (\tau_1(\delta), \tau_3(\delta)), \\ \dot{p}_2 &:= (\dot{\tau}_1(\delta), \dot{\tau}_3(\delta)). \end{aligned}$$

From (5) and the choice of δ we obtain $\dot{p}_1, \dot{p}_2 \in \mathcal{C}_\varepsilon := \{(u, v) \in \mathbb{R}^2, |v - y(0)u| \leq \varepsilon|u|\}$ and

$$\frac{p_2 - p_1}{2\delta} =: p \in B_{\bar{r}}(0), \quad \text{where } \bar{r} = \frac{2\varepsilon^2}{\delta}.$$

Since $3\bar{r} > r_0$, we can express $R(3\bar{r})$ by means of formula (6). This will be used in computation (9). We construct a path $\gamma = (\gamma_1, \gamma_2) : [-\delta, \delta] \rightarrow \mathcal{C}_\varepsilon$ as follows: For $\rho < \delta/2$, let $\gamma|_{[-\delta, -\delta+\rho]}$ be a continuous path from $\dot{p}_1$ to 0 and let $\gamma|_{[\delta-\rho, \delta]}$ be a continuous path from 0 to $\dot{p}_2$. We construct γ such that the quotient γ_2/γ_1 is well-defined on $[-\delta, -\delta+\rho] \cup [\delta-\rho, \delta]$ and equals $y(0)$ in $t = -\delta + \rho$ and $t = \delta - \rho$. Moreover, we require that

$$\int_{-\delta}^{-\delta+\rho} |\gamma(t)| dt < \frac{\delta\varepsilon}{2} \quad \text{and} \quad \int_{\delta-\rho}^{\delta} |\gamma(t)| dt < \frac{\delta\varepsilon}{2}. \quad (7)$$

On $[-\delta, -\delta + \rho]$, such a path is for example given by

$$t \mapsto \left(1 - \frac{\delta + t}{\rho}\right)^k \begin{pmatrix} \dot{\sigma}_1(-\delta) \\ y(0)\dot{\sigma}_1(-\delta) + (\dot{\sigma}_3(-\delta) - y(0)\dot{\sigma}_1(-\delta)) \left(1 - \frac{\delta+t}{\rho}\right)^k \end{pmatrix}$$

provided $k \in \mathbb{N}$ is sufficiently large. We obtain

$$\frac{1}{2(\delta - \rho)} \left(2\delta p - \int_{-\delta}^{-\delta+\rho} \gamma(t) dt - \int_{\delta-\rho}^{\delta} \gamma(t) dt \right) =: \bar{p} \in B_{3\bar{r}}(0)$$

and hence $\bar{p} \in \text{int conv}(B_{R(3\bar{r})}(0) \cap \mathcal{R}_{0,\varepsilon})$. Using the fundamental lemma of convex integration we let $\gamma|_{[-\delta+\rho, \delta-\rho]}$ be a continuous closed loop in $B_{R(3\bar{r})}(0) \cap \mathcal{R}_{0,\varepsilon}$ based at 0 such that

$$\frac{1}{2(\delta - \rho)} \int_{-\delta+\rho}^{\delta-\rho} \gamma(t) dt = \bar{p}.$$

With these definitions we obtain

$$\frac{1}{2\delta} \int_{-\delta}^{\delta} \gamma(t) dt = p.$$

Now we define $\eta = (a, b, c) : [-\delta, \delta] \rightarrow \mathbb{R}^3$ by letting $b(t) := \dot{c}(t)/\dot{a}(t)$, where

$$(a, c)(t) := p_1 + \int_{-\delta}^t \gamma(u) du.$$

The curve η is well-defined and Legendrian by construction. It satisfies $\eta(-\delta) = \sigma(-\delta)$ and $\eta(\delta) = \tau(\delta)$. Moreover, (a, c) and (σ_1, σ_3) agree to first order in

$t = -\delta$ and so do (a, c) and (τ_1, τ_3) in $t = \delta$. From $\gamma([-\delta, \delta]) \in \mathcal{C}_\varepsilon$ and the choice of δ we find

$$|b(t) - y(t)| \leq |b(t) - y(0)| + |y(t) - y(0)| \leq \varepsilon + \delta \|y\|_{C^1(I)} < 2\varepsilon. \quad (8)$$

Using (5), (6), (7) and the choice of δ we obtain for the remaining components the uniform bound

$$\begin{aligned} |(a, c)(t) - (x, z)(t)| &\leq |p_1 - (x, z)(-\delta)| + \int_{-\delta}^t (|\gamma(u)| + |(\dot{x}, \dot{z})(u)|) \, du \\ &\leq \varepsilon^2 + \delta\varepsilon + \int_{-\delta+\rho}^{\delta-\rho} |\gamma(u)| \, du + 2\delta \|(x, z)\|_{C^1(I)} \\ &\leq 2\varepsilon + 2\delta R(3\bar{r}) \\ &\leq \varepsilon \left(14 + 12 \left(|y(0)| + \frac{1}{2} \right)^2 \right). \end{aligned} \quad (9)$$

Finally, suppose v is a continuous curve from a compact 1-manifold N (that is, N is a compact interval or S^1) into a contact 3-manifold (M, ξ) . We fix some Riemannian metric g on M . Then it follows with the bounds (8,9) and the compactness of the domain of v that for every $\varepsilon > 0$ there exists a ξ -Legendrian curve η such that

$$\sup_{t \in N} d_g(v(t), \eta(t)) < \varepsilon,$$

where d_g denotes the metric on M induced by the Riemannian metric g . In particular, every open neighborhood of $v \in C^0(N, M)$ – equipped with the uniform topology – contains a Legendrian curve $N \rightarrow M$. Since N is assumed to be compact the uniform topology is the same as the Whitney C^0 -topology, thus proving Theorem 1.1.

3. Examples

Example 3.1 (Parallel Parking). The trajectory of a car moving in the plane can be thought of as a curve $[0, 2\pi] \rightarrow S^1 \times \mathbb{R}^2$. Denoting by (φ, a, c) the natural coordinates on $S^1 \times \mathbb{R}^2$, the angle coordinate φ denotes the orientation of the car with respect to the a -axis and the coordinates (a, c) the position of the car in the plane. Admissible motions of the car are curves satisfying

$$\dot{a} \sin \varphi = \dot{c} \cos \varphi.$$

The manifold $S^1 \times \mathbb{R}^2$ together with the contact structure defined by the kernel of the 1-form $\theta := \sin \varphi \, da - \cos \varphi \, dc$ is a contact 3-manifold. Indeed, we have

$$\theta \wedge d\theta = -\cos^2 \varphi \, d\varphi \wedge da \wedge dc - \sin^2 \varphi \, d\varphi \wedge da \wedge dc = -d\varphi \wedge da \wedge dc \neq 0.$$

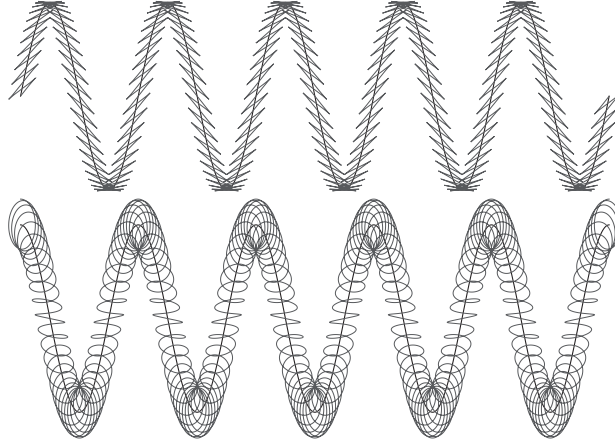


Figure 3.1: The front (top) and the Lagrangian projection (bottom) of the Legendrian approximation of η .

Applying Theorem 1.1 with $b = \tan \varphi$ gives an explicit approximation of the curve

$$t \mapsto (x(t), y(t), z(t)) = (0, 0, t).$$

Lemma 2.3 gives the loop

$$\gamma(t, s) = 2(r \cos s, \cos^2 s),$$

and hence the desired Legendrian curve

$$(\operatorname{arccot}(r \sec(nt)), 2rt \operatorname{sinc}(nt), t + t \operatorname{sinc}(2nt)),$$

provided r is large enough and $n \sim r^2$.

Example 3.2 (Legendrian Helix). The Legendrian approximation of the helix

$$v : [0, 2\pi] \rightarrow \mathbb{R}^3, \quad t \mapsto (t, \cos(5t), \sin(5t)),$$

with $n = \frac{2}{9}r^2$ and $r = 30$ is given by

$$\begin{aligned} a(t) &= t + \frac{3}{20} \sin(200t) \\ b(t) &= \frac{455}{451} \cos(5t) + \frac{120}{451} \cos(5t) \cos(200t) \\ c(t) &= \sin(5t) + \frac{459}{5863} \sin(195t) + \frac{1377}{18491} \sin(205t) \\ &\quad + \frac{180}{35629} \sin(395t) + \frac{20}{4059} \sin(405t). \end{aligned}$$

and produces the zig-zags and the small loops in its front and Lagrangian projections (see Figure 3.1).

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