Zeitschrift: L'Enseignement Mathématique

Band: 35 (1989)

Heft: 1-2: L'ENSEIGNEMENT MATHÉMATIQUE

Artikel: KNOTTING CODIMENSION 2 SUBMANIFOLDS LOCALLY

Autor: Masuda, Mikiya / Sakuma, Makoto

DOI: https://doi.org/10.5169/seals-57360

L'Enseignement Mathématique, t. 35 (1989), p. 21-40

KNOTTING CODIMENSION 2 SUBMANIFOLDS LOCALLY

by Mikiya MASUDA and Makoto SAKUMA

INTRODUCTION

Let L be a connected oriented n-dimensional closed manifold smoothly embedded in a connected oriented $(n+2)$-dimensional closed manifold M, and let K be an oriented n-dimensional smooth knot in the oriented S^{n+2}. Then we consider the connected sum $(M, L) \sharp (S^{n+2}, K)$. In other words, we knot L locally using K. It yields another embedding of L in M; however, it does not always give a new embedding. In fact, the lightbulb theorem says that the connected sum of $(S^2 \times S^1, \{*\} \times S^1)$ with any knot in S^3 is always equivalent to the original embedding. Moreover, by the prime decomposition theorem for knots in 3-manifolds [My], $(S^2 \times S^1, \{*\} \times S^1)$ is essentially the only embedding of a circle with the above property. Litherland [Li] has generalized the lightbulb theorem to the higher dimensional cases. In the appendix of [V], Viro exhibits an example of a 2-knot whose connected sum with the standard projective plane in S^4 does not change the isotopy type of the projective plane. (See also [La].)

The purpose of this paper is to study under what conditions this phenomenon occurs (or does not occur). The first named author [Ms] studied this problem when the codimension is greater than 2.

Put it in another way. Let $\mathscr{K}_n$ be the set of isotopy classes of oriented n-knots diffeomorphic to S^n in the oriented S^{n+2}. The set forms an abelian monoid under connected sum for pairs. Analogously to the inertia group of a manifold, we define

$$I(M, L) = \{(S^{n+2}, K) \in \mathscr{K}_n \mid (M, L) \sharp (S^{n+2}, K) = (M, L)\}$$

where $=$ in the parenthesis indicates that there is an orientation preserving diffeomorphism of pairs. The set forms a submonoid of $\mathscr{K}_n$ and describes the effect of knotting L locally. We are also concerned with the following intermediate submonoid

$$I_0(M, L) = \{(S^{n+2}, K) \in I(M, L) \mid (M, L) \sharp (S^{n+2}, K) \equiv (M, L)\}$$

where $\equiv$ indicates that there is an orientation preserving diffeomorphism of pairs which is concordant to the identity map as a diffeomorphism of the ambient space M.

Our results suggest that $I(M, L)$ and $I_0(M, L)$ depend only on the order of a meridian of L in $\pi_1(M-L)$ or $H_1(M-L; \mathbf{Z})$. Roughly speaking, according as the order is infinite, 1, or p $(1<p<\infty)$, they can be distinguished by (at least) these three types:

Type 1 $I(M, L) = \{0N\}$,

Type 2 $I(M, L) = \mathscr{K}_n$, $I_0(M, L) = \ker \sigma$,

Type 3 $\{0\} \subsetneq I(M, L) \subsetneq \mathscr{K}_n$, $\{0\} \subsetneq I_0(M, L) \subsetneq \ker \sigma$,

(see section 4 for $\sigma(S^{n+2}, K)$).

We refer the reader to 1.1, 2.6, 3.4, 5.1, 5.2, and 5.8 for the precise statement.

This paper consists of five sections. In Section 1, we deduce a necessary condition for $I_0(M, L)$, which is valid for any (M, L). We treat type 1 in Section 2. Type 2 is discussed in Sections 3, 4 and type 3 is discussed in Section 5. We will find that type 3 is closely related to the generalized Smith conjecture.

The authors would like to express their hearty thanks to Professors A. Kawauchi and T. Maeda for helpful conversations and suggestions.

§ 1. General remarks on $I_0(M, L)$

It is known (and it is easily verified) that the signature of a Seifert surface of an oriented n-knot K in S^{n+2} is independent of the choice of a Seifert surface; so it is an invariant of the oriented knot K. The invariant is called the signature of the knot K and denoted by $\mathrm{Sign}(S^{n+2}, K)$. We note that $\mathrm{Sign}(S^{n+2}, K)$ is trivially zero unless $n+1 \equiv 0$ (4).

As is seen in Section 3, there is a pair (M^{n+2}, L^n) such that $I(M, L) = \mathscr{K}_n$ for any $n \geqslant 3$. In contrast, we can deduce a necessary condition for $I_0(M, L)$ which holds for any pair (M, L).

Theorem 1.1. *If* $(S^{n+2}, K) \in I_0(M, L)$, *then* $\mathrm{Sign}(S^{n+2}, K) = 0$.

Proof. Let V be a Seifert surface of K. Since $S^{n+2} = \partial D^{n+3}$, we can push the interior of V into the interior of D^{n+3} so that V is transverse to S^{n+2}. This yields an oriented pair (D^{n+3}, V) having (S^{n+2}, K) as the boundary.

The boundary connected sum $(M, L) \times I \natural (D^{n+3}, V)$ gives a cobordism between $(M, L) \# (S^{n+2}, K)$ and (M, L). We note that the ambient space of the cobordism is diffeomorphic to $M \times I$. Since $(S^{n+2}, K) \in I_0(M, L)$, there is an orientation preserving diffeomorphism $f: (M, L) \# (S^{n+2}, K) \to (M, L)$ which is concordant to the identity when regarded as a diffeomorphism of the ambient space M. We paste togethor $(M, L) \# (S^{n+2}, K)$ and (M, L) by f to get an oriented pair of closed manifolds. Since f is concordant to the identity, the resulting ambient space is diffeomorphic to $M \times S^1$. We shall denote by X the resulting oriented closed submanifold of $M \times S^1$.

The additivity property of the signature (see [AS, p. 588]) says that

$$\operatorname{Sign} X = \operatorname{Sign} L \times I + \operatorname{Sign} V = \operatorname{Sign} V,$$

where $\operatorname{Sign} L \times I = 0$ follows easily from the definition of the signature of a manifold with boundary. By the Hirzebruch signature theorem (see [MS, § 19]) we have

$$\operatorname{Sign} X = \mathscr{L}(X)[X]$$

where the right hand side means the Hirzebruch L-class $\mathscr{L}(X)$ of X evaluated on the fundamental class $[X]$ of X. In the sequel we shall show $\mathscr{L}(X)[X] = 0$.

Let $j: X \to M \times S^1$ be the inclusion map. Then it is not difficult to see that

(1.2) $$j_*[X] = [L \times S^1] \quad \text{in} \quad H_{n+1}(M \times S^1; \mathbf{Z})$$

where $[L \times S^1]$ denotes the homology class represented by $L \times S^1$.

Let ν be the normal bundle to X in $M \times S^1$. By the multiplicativity of L-class we have

(1.3) $$\begin{aligned} \mathscr{L}(X) &= \mathscr{L}(\nu)^{-1} j^* \mathscr{L}(M \times S^1) \\ \mathscr{L}(M \times S^1) &= \mathscr{L}(M) \times \mathscr{L}(S^1) = \pi^* \mathscr{L}(M) \end{aligned}$$

where $\pi: M \times S^1 \to M$ is the projection map. Since $\dim \nu = 2$, we have

(1.4) $$\mathscr{L}(\nu) = 1 + p_1(\nu)/3 = 1 + e(\nu)^2/3$$

where p_1 and e denote the first Pontrjagin class and the Euler class respectively.

On the other hand it is known that

(1.5) $$e(\nu) = j^* j_! (1)$$

where $j_! : H^q(X;\mathbf{Z}) \to H^{q+2}(M \times S^1;\mathbf{Z})$ denotes the Gysin homomorphism and $1 \in H^0(X;\mathbf{Z})$ is the unit element. Remember the definition of $j_!$. It is defined so that the following diagram commutes:

$$\begin{array}{ccc} H^q(X;\mathbf{Z}) & \xrightarrow{j_!} & H^{q+2}(M \times S^1;\mathbf{Z}) \\ \downarrow \scriptstyle{\cap[X]} & & \downarrow \scriptstyle{\cap[M\times S^1]} \\ H_{n+1-q}(X;\mathbf{Z}) & \xrightarrow{j_*} & H_{n+1-q}(M \times S^1;\mathbf{Z}) \end{array}$$

where the vertical maps are the Poincaré dualities. It says that

$$j_!(1) \cap [M \times S^1] = j_*[X].$$

This together with (1.2) means that

$$j_!(1) \in \pi^* H^2(M;\mathbf{Z}).$$

Hence it follows from (1.4) and (1.5) that

$$\mathscr{L}(\nu) \in j^*\pi^* H^*(M;Q)$$

and hence

$$\mathscr{L}(X) \in j^*\pi^* H^*(M;Q)$$

by (1.3). This together with (1.2) implies that

$$\mathscr{L}(X)[X] = 0. \qquad \text{Q.E.D.}$$

Theorem 1.1 gives a necessary condition for (S^{n+2}, K) to belong to $I_0(M, L)$. When we consider the converse problem, i.e. the problem to find (S^{n+2}, K) in $I_0(M, L)$, we apply the relative s-cobordism theorem. We shall state it as a lemma for later convenience's sake.

LEMMA 1.6. *Suppose there exists a cobordism* (U, Z) *between* $(M, L) \# (S^{n+2}, K)$ *and* (M, L) *such that*

(1) Z *is diffeomorphic to* $L \times I$,

(2) *the exterior* $E(Z)$ *of* Z *is an s-cobordism relative boundary.*

Then $(S^{n+2}, K) \in I_0(M, L)$.

Proof. The relative s-cobordism theorem says that $E(Z)$ is diffeomorphic to $E(L) \times I$ where the diffeomorphism can be taken as the identity on $E(L) \times \{0\}$ and $(\partial E(L)) \times I$. Therefore it extends to a diffeomorphism: $(U, Z) \to (M, L) \times I$ which is the identity on the 0-level. This means that $(S^{n+2}, K) \in I_0(M, L)$. Q.E.D.

§ 2. Type 1 case

In this section we consider the case where a meridian of L^n in M^{n+2} has infinite order in $H_1(M-L; \mathbf{Z})$. We shall denote by $[m]$ the homology class in $H_1(M-L; \mathbf{Z})$ represented by a meridian m of L in M. For a manifold pair (X, Y) of codimension 2 and an epimorphism γ from $\pi_1(X-Y)$ to a finite group, let $(X, Y)_\gamma$ be the branched covering of (X, Y) corresponding to γ. Each knot group $\pi_1(S^{n+2}-K)$ has a natural epimorphism to $\mathbf{Z}_p$ for any positive integer p, and the corresponding p-fold branched cyclic covering of (S^{n+2}, K) is denoted by $(S^{n+2}, K)_p$.

Lemma 2.1. *Suppose* $[m]$ *is of infinite order. Then if* $(S^{n+2}, K) \in I(M, L)$ *then* $(S^{n+2}, K)_p$ *is a homotopy* $(n+2)$*-sphere for any positive integer* p.

Proof. Since $[m]$ represents a nontrivial element in the finitely generated free abelian group $B_1(M-L) \equiv H_1(M-L; \mathbf{Z})/\mathrm{Tor}\, H_1(M-L; \mathbf{Z})$, there is a positive integer r and a primitive element x in $B_1(M-L)$ such that $[m] = rx$ in $B_1(M-L)$. For each positive integer p, ler γ_p be the canonical epimorphism $\pi_1(M-L) \to B_1(M-L) \otimes \mathbf{Z}_{pr}$. Noting the naturality of the homomorphism γ_p, we can see the following:

$$\begin{aligned}(M, L)_{\gamma_p} &= \big((M, L) \# (S^{n+2}, K)\big)_{\gamma_p \circ f_*} \\ &= (M, L)_{\gamma_p} \# \; d_p (S^{n+2}, K)_p\end{aligned}$$

Here f is a diffeomorphism $(M, L) \# (S^{n+2}, K) \to (M, L)$ and d_p is the order of $B_1(M-L) \otimes \mathbf{Z}_{pr}$ divided by p. Hence $H_*((S^{n+2}, K)_p; \mathbf{Z}) \simeq H_*(S^{n+2}; \mathbf{Z})$ and $\pi_1((S^{n+2}, K)_p) \simeq 1$ by the existence of prime decompositions of finitely generated groups into free products [Wg]. Q.E.D.

It is conjectured that those knots which satisfy the conclusion of the above lemma are trivial. In fact, for $n = 1$, it follows from the Smith conjecture [MB]. As a supporting evidence for higher dimensional cases, we have

Lemma. *Suppose that* $(S^{n+2}, K)_p$ *is a homology* $(n+2)$*-sphere for every positive integer* p. *Then the Alexander modules of* K *are trivial.*

Proof. Let $\tilde{E}(K)$ be the infinite cyclic cover of the exterior $E(K)$ of K in S^{n+2}, and let t denote the automorphism of the homology group of $\tilde{E}(K)$ induced by the action of a meridian. Then, by the arguments of [Sm1], we can see that $t^p - 1: H_q(\tilde{E}(K); \mathbf{Z}_r) \to H_q(\tilde{E}(K); \mathbf{Z}_r)$ is an isomorphism for any positive integers p, q, and r. Assume r is prime. Then $H_q(\tilde{E}(K); \mathbf{Z}_r)$ is a finite abelian group, since it is a finitely generated torsion module over the principal ideal domain $\mathbf{Z}_r\langle t\rangle$ (see [Le3, p. 8]). So the automorphism t on $H_q(\tilde{E}(K); \mathbf{Z}_r)$ has a finite order, say d, and we have $t^d - 1 = 0$. Hence $H_q(\tilde{E}(K); \mathbf{Z}_r) = 0$, and by the universal coefficient theorem, the following holds for any prime r and any positive integer q:

(2.3) $$H_q(\tilde{E}(K); \mathbf{Z}) \otimes \mathbf{Z}_r = 0$$

(2.4) $$\mathrm{Tor}\,(H_q(\tilde{E}(K); \mathbf{Z}), \mathbf{Z}_r) = 0$$

By (2.4), $H_q(\tilde{E}(K); \mathbf{Z})$ has no nontrivial elements of finite order; so it has a square presentation matrix $M(t)$ as a $Z\langle t\rangle$-module by [Le3, Proposition 3.5]. By (2.3) the q-th Alexander polynomial $\det M_q(t)$ $(\in \mathbf{Z}\langle t\rangle)$ is a unit mod. r for any prime r. Hence it is a unit in $\mathbf{Z}\langle t\rangle$, and we have $H_q(\tilde{E}(K); \mathbf{Z}) = 0$ for any positive integer q. Q.E.D.

Thus, as a consequence of Lemmas 2.1 and 2.2 and the results of [Le2] and [T], we have the following:

PROPOSITION 2.5. *Suppose* $[m]$ *is of infinite order. Then any knot in* $I(M, L)$ *has trivial Alexander modules and is null cobordant.*

Hence the only obstruction for a knot (S^{n+2}, K) in $I(M, L)$ to be trivial lies in the knot group $\pi_1(S^{n+2} - K)$. For the special case where $[m]$ generates $H_1(M - L)$, we can apply the result of Maeda [Ma] (cf. [DF]), and obtain the following:

THEOREM 2.6. *Suppose* $n \geqslant 3$ *and* $H_1(M - L)$ *is the infinite cyclic group generated by* $[m]$. *Then* $I(M, L)$ *is trivial.*

Proof. Let (S^{n+2}, K) be a knot in $I(M, L)$. Note that $\pi_1(M - L)$ is isomorphic to the amalgamated free product $\pi_1(M - L) \underset{\langle m\rangle}{*} \pi_1(S^{n+2} - K)$. Then we can conclude $\pi_1(S^{n+2} - K) \simeq \mathbf{Z}$ by the result of [Ma] (cf. [DF]) which asserts the existence of a prime decomposition of a finitely presented group G with $G/[G, G] \simeq \mathbf{Z}$ with respect to such amalgamated free products. Combined with Proposition 2.5, we see $S^{n+2} - K$ is homotopy equivalent to a circle. Hence (S^{n+2}, K) is trivial by [Le1].

§ 3. Type 2 case

In this section and the next section, we treat the case where a meridian of L^n in M^{n+2} is null homotopic in $M - L$. The following lemma follows from [Li, Lemma 1]. We shall give an alternative proof which is interesting by itself (the argument is also given in [Ms, Theorem 4.2]).

Lemma 3.1. *$I(S^n \times S^2, S^n \times \{*\}) = \mathscr{K}_n$ if $n \geqslant 3$.*

Proof. Let (S^{n+2}, K) be an n-knot and consider $(S^n \times S^2, S^n \times \{*\})$ $\sharp$ (S^{n+2}, K). A subset $S^n \times \{*\}$ $K \cup \{x_0\} \times S^2$ $(x_0 \in S^n)$ is exactly the wedge sum of S^n and S^2. As easily observed the complement of an open regular neighborhood of the subset is contractible and hence diffeomorphic to D^{n+2} as $n + 2 \geqslant 5$. This means that one can express

$$(S^n \times S^2, S^n \times \{*\}) \,\sharp\, (S^{n+2}, K) = (S^n \times S^2, S^n \times \{*\}) \,\sharp\, \Sigma$$

where Σ is a homotopy $(n+2)$-sphere and the connected sum at the right hand side is done away from the submanifold $S^n \times \{*\}$.

On the other hand the ambient manifold must be diffeomorphic to $S^n \times S^2$ because it is the connected sum of $S^n \times S^2$ with S^{n+2}. These mean that Σ belongs to the inertia group of $S^n \times S^2$. But the group is trivial ([Sc]), so Σ must be the standard sphere. This proves the lemma. Q.E.D.

We shall denote by $<m>$ the class in $\pi_1(M-L)$ represented by a meridian of L in M.

Lemma 3.2. *Suppose M is spin, L is diffeomorphic to S^n, and $n \geqslant 3$. If $<m> = 1$ for (M, L), then $(M, L) = (S^n \times S^2, S^n \times \{*\}) \,\sharp\, M'$ with a closed oriented manifold M' of dimension $n + 2$.*

Proof. Since $<m> = 1$ and $\dim M \geqslant 5$, the meridian m bounds a 2-disk in $M - L$. Therefore $L \vee S^2$ is embedded in M. The normal bundle to L in M is trivial, because it is classified by the Euler class sitting in $H^2(L; \mathbf{Z})$ and $H^2(L; \mathbf{Z}) = 0$ as $L = S^n$ and $n \geqslant 3$. The normal bundle of the embedded S^2 is also trivial, because it is classified by the second Stiefel-Whitney class and it vanishes as M is spin. Hence the closed regular neighborhood of $L \vee S^2$ in M is diffeomorphic to that of $S^n \vee S^2$ naturally embedded in $S^n \times S^2$. In particular its boundary is diffeomorphic to S^{n+1}. This implies the lemma. Q.E.D.

Remark 3.3. A similar argument works even if M is not spin. But this time two cases arise according as the normal bundle of the embedded S^2 is trivial or not. If it is trivial, then the same conclusion as above holds. If it is not trivial, we have

$$(M, L) = (S^n \tilde{\times} S^2, S^n) \# M' .$$

Here $S^n \tilde{\times} S^2$ denotes the total space of the sphere bundle associated with the nontrivial $(n+1)$-dimensional vector bundle over S^2 (note that it is unique as $\pi_1(SO(n+1)) \simeq Z_2$ for $n \geqslant 2$) and the submanifold S^n denotes a fiber.

Combining Lemma 3.1 with 3.2, we obtain

THEOREM 3.4. *Suppose M is spin, L is diffeomorphic to S^n, and $n \geqslant 3$. Then if $<m> = 1$ for (M, L), then $I(M, L) = \mathcal{K}_n$.*

Remark 3.5. If the inertia group $I(S^n \tilde{\times} S^2)$ is trivial, then the same argument as the proof of Lemma 3.1 proves that $I(S^n \tilde{\times} S^2, S^n) = \mathcal{K}_n$ and hence one could drop the spin condition for M by Remark 3.3.

If $L \neq S^n$, then the above argument does not work. For a general L we construct an s-cobordism between pairs $(M, L) \# (S^{n+2}, K)$ and (M, L) and apply lemma 1.6. We denote the set of all null-cobordant n-knots by $\mathcal{K}_n^0$. According to Kervaire [K] (cf. [KW, Chap. IV]) $\mathcal{K}_n = \mathcal{K}_n^0$ if n is even, but $\mathcal{K}_n \neq \mathcal{K}_n^0$ if n is odd.

PROPOSITION 3.6. *Suppose $<m> = 1$ for (M^{n+2}, L^n) and $n \geqslant 3$. Then $I_0(M, L)$ contains $\mathcal{K}_n^0$. In particular, if n is even $\geqslant 4$, then $I_0(M, L) = I(M, L) = \mathcal{K}_n$.*

Proof. Let (S^{n+2}, K) bound a disk pair (D^{n+3}, D), where D is a $(n+1)$-disk. The boundary connected sum $(M, L) \times I \natural (D^{n+3}, D)$ at the 1-level gives a cobordism between (M, L) and $(M, L) \# (S^{n+2}, K)$.

We shall check the conditions (1) and (2) in Lemma 1.6 for this cobordism. First, since D is diffeomorphic to D^{n+1}, $L \times I \natural D$ is diffeomorphic to $L \times I$; so (1) is satisfied. Hence $E(L \times I \natural D)$ gives a cobordism relative boundary between $E(L)$ and $E(L \# K)$. We note that

$$E(L \times I \natural D) = E(L \times I) \cup E(D) \tag{3.7}$$

where $E(L \times I)$ and $E(D)$ are pasted together along $D^{n+1} \times S^1$ embedded in their boundaries. The S^1 factor corresponds to meridians of $L \times I$ and D. Then the van Kampen's theorem says that

$$\pi_1(E(L\times I \natural D)) \simeq \pi_1(E(L\times I)) \underset{<m>}{*} \pi_1(E(D))$$

$$\simeq \pi_1(E(L\times I)) * (\pi_1(E(D))/<m>)$$

where the latter isomorphism is because $<m> = 1$ in $\pi_1(E(L\times I))$ by the assumption. Since $\pi_1(E(D))/<m> \simeq \pi_1(D^{n+3}) \simeq \{1\}$, we have

$$\pi_1(E(L\times I \natural D)) \simeq \pi_1(E(L\times I)) \simeq \pi_1(E(L)). \tag{3.8}$$

Here the inclusion map $i\colon E(L) = E(L) \times \{0\} \to E(L\times I \natural D)$ induces the isomorphism.

We shall observe that i is a simple homotopy equivalence. For that purpose we consider the lifting of i to the universal covers. Since the map $\pi_1(E(D)) \to \pi_1(E(L\times I \natural D))$ induced by the inclusion map is trivial as observed above, it follows from (3.7) that

$$\tilde{E}(L\times I \natural D) = \tilde{E}(L\times I) \cup E(D) \times \Pi \tag{3.9}$$

where $\Pi = \pi_1(E(L\times I \natural D)) = \pi_1(M-L)$ and $\tilde{E}(L\times I)$ and $E(D) \times \Pi$ are pasted together Π-equivariantly along $D^{n+1} \times S^1 \times \Pi$ embedded in their boundaries. This means that $\tilde{i}_*\colon H_q(\tilde{E}(L); \mathbf{Z}) \to H_q(\tilde{E}(L\times I \natural D); \mathbf{Z})$ is an isomorphism as $\mathbf{Z}[\Pi]$-modules. Hence $i_*\colon \pi_q(E(L)) \to \pi_q(E(L\times I \natural D))$ is an isomorphism by Namioka's theorem (see [Wl1, § 4]) and hence i is a homotopy equivalence.

The assumption $<m> = 1$ together with (3.9) tells us that the Whitehead torsion $\tau(i) \in Wh(\Pi)$ of the map i comes from an element of $Wh(1)$ through the map: $Wh(1) \to Wh(\Pi)$ induced from the inclusion $1 \to \Pi$. However $Wh(1) = 0$ and hence $\tau(i) = 0$. This shows that $E(L\times I \natural D)$ is an s-cobordism relative boundary. The proposition then follows from Lemma 1.6. Q.E.D.

Proposition 3.6 gives a complete answer to the case where n is even $\geqslant 4$. It would be interesting to ask if the same conclusion still holds in the case $n = 2$.

In the next section we will improve Proposition 3.6 when n is odd $\geqslant 5$.

§ 4. An improvement

Throughout this section we assume n is odd $\geqslant 5$. Let V^{n+1} be a Seifert surface of an n-knot K in S^{n+2}. The normal bundle to V in S^{n+2} is trivial. We give the stable normal bundle of S^{n+2} a canonical framing so that V can be viewed as a framed manifold.

Remember that $\partial V = K = S^n$. We make V contractible by framed surgery without touching the boundary. As is well known this is always possible in case $\dim V = n + 1$ is odd. But in case $n + 1$ is even, we encounter an obstruction which is detected by

$$\begin{cases} \operatorname{Sign} V \in \mathbf{Z} & \text{if} \quad n + 1 \equiv 0\,(4) \\ c(V) \in \mathbf{Z}/2\mathbf{Z} & \text{if} \quad n + 1 \equiv 2\,(4) \end{cases}$$

where $c(V)$ is the Kervaire invariant of V.

Remark 4.1. Since ∂V is diffeomorphic to S^n, $c(V) = 0$ if $n + 1$ is not of the form $2^k - 2$ ([Br]).

One can see that Seifert surfaces of K are framed cobordant relative boundary to each other. Hence the values Sign V and $c(V)$ are independent of the choice of V. We set

$$\sigma(S^{n+2}, K) = \begin{cases} \operatorname{Sign} V & \text{if} \quad n + 1 \equiv 0\,(4), \\ c(V) & \text{if} \quad n + 1 = 2^k - 2 \text{ for some } k, \\ 0 & \text{otherwise.} \end{cases}$$

PROPOSITION 4.2. *Suppose* $<m> = 1$ *for* (M^{n+2}, L^n) *and* n *is odd* $\geqslant 5$. *Then* $(S^{n+2}, K) \in I_0(M, L)$ *if* $\sigma(S^{n+2}, K) = 0$. *In particular,* $I_0(M, L) = \mathcal{K}_n$ *if neither* $n + 1 \equiv 0\,(4)$ *nor* $n + 1 = 2^k - 2$ *for some* k.

Combining this with Theorem 1.1, we obtain

COROLLARY 4.3. *Suppose* $<m> = 1$ *for* (M^{n+2}, L^n) *and* $n + 1 \equiv 0\,(4)$ $(n \neq 3)$. *Then* $(S^{n+2}, K) \in I_0(M, L)$ *if and only if* $\sigma(S^{n+2}, K) = 0$.

The rest of this section is devoted to the proof of Proposition 4.2. Let K be an n-knot in S^{n+2} such that $\sigma(S^{n+2}, K) = 0$. We shall construct an s-cobordism relative boundary between $E(L\ K)$ and $E(L)$. The argument is rather more complicated than that of Proposition 3.6. We need some knowledge of surgery theory.

Step 1. Let V^{n+1} be a Seifert surface of K. Push the interior of V into the interior of D^{n+3} to make it transverse to the boundary S^{n+2} of D^{n+3}. We may assume that V is $(n-1)/2$-connected, if necessary, by doing framed surgery of V within D^{n+3}. In fact, this is the method used to prove that any n-knot is concordant to a simple knot (see [KW, Chap. IV]).

In the attempt to make V $(n+1)/2$-connected (and hence V is contractible by the Poincaré duality) by framed surgery of V within D^{n+3}, one encounters an obstruction. Namely a bunch of embedded $(n+1)/2$-spheres in V does not necessarily extend to embedded $(n+3)/2$-disks whose interior lies in $D^{n+3} - V$.

But if we do framed surgery of V at the outside of D^{n+3} without touching boundary, i.e. if we do surgery on framed embeddings

$$(S^{(n+1)/2} \times D^{(n+1)/2} \times D^2, S^{(n+1)/2} \times D^{(n+1)/2} \times \{0\}) \to (D^{n+3}, V),$$

then we can make V $(n+1)/2$-connected because the obstruction is exactly $\sigma(S^{n+2}, K)$ and it vanishes by the assumption. The ambient space is, however, not D^{n+3} any more. We denote by (W, D) the resulting framed oriented pair, where D is diffeomorphic to D^{n+1}.

Step 2. We construct a boundary preserving map h:

$$(W; N(D), E(D)) \to (D^{n+3}; N(D^{n+1}), E(D^{n+1}))$$

such that

(4.4) $\quad h|_{\partial W}: \partial W = S^{n+2} \to \partial D^{n+3} = S^{n+2}$ is a homotopy equivalence,

(4.5) $\quad h|_{N(D)}: N(D) \to N(D^{n+1})$ is a diffeomorphism,

where N denotes a closed tubular neighborhood and $D^{n+1} \subset D^{n+3}$ is standardly embedded.

Since D is diffeomorphic to D^{n+1}, there is a diffeomorphism

$$g: (D^{n+1} \times D^2, D^{n+1} \times \{0\}) \to (N(D), D).$$

Here $D^{n+1} \times D^2$ can be naturally identified with $N(D^{n+1})$; so we define

(4.6) $$h|_{N(D)} = g^{-1}$$

First we extend $h|_{\partial W \cap \partial N(D)} = h|_{\partial E(K)}$ to a map from $E(K)$ to $E(\partial D^{n+1}) = E(S^n)$. The obstruction lies in groups

$$H^{q+1}(E(K), \partial E(K); \pi_q(E(S^n))).$$

Since $E(S^n)$ is homotopy equivalent to S^1, it suffices to prove

(4.7) $$H^{q+1}(E(K), \partial E(K); \mathbf{Z}) = 0 \quad \text{for} \quad q = 0, 1.$$

On the other hand we have

$$\begin{aligned} H^{q+1}(E(K), \partial E(K); \mathbf{Z}) &\simeq H^{q+1}(S^{n+2}, N(K); \mathbf{Z}) && \text{(by excision)} \\ &\simeq \tilde{H}^q(N(K); \mathbf{Z}) && (\text{if } q+1<n+2) \\ &\simeq \tilde{H}^q(S^n; \mathbf{Z}) && \\ &= 0 && (\text{if } q \neq n) \end{aligned}$$

Hence (4.7) is satisfied as $n \geqslant 5$.

Consequently we can extend $h|_{N(D)}$ to a map

$$h|_{N(D)\cup\partial W}\colon (N(D)\cup\partial W, \partial W) \to (N(D^{n+1})\cup\partial D^{n+3}, \partial D^{n+3}).$$

The local degree of $h|_{\partial W}\colon \partial W \to \partial D^{n+3}$ is one because $h|_{\partial W\cap N(D)} = h|_{N(K)}\colon N(K) \to N(S^n)$ is a diffeomorphism by (4.6) and $h(E(K)) \subset E(S^n)$ by the construction. Since ∂W and ∂D^{n+3} are both S^{n+2}, $h|_{\partial W}$ is a homotopy equivalence. Hence (4.4) is satisfied. Moreover (4.5) is also satisfied by (4.6). In the sequel it suffices to extend $h|_{\partial E(D)}$ to a map from $E(D)$ to $E(D^{n+1})$. This time the obstruction lies in groups

$$H^{q+1}(E(D), \partial E(D); \pi_q(E(D^{n+1}))).$$

Since $E(D^{n+1})$ is homotopy equivalent to S^1, it suffices to prove

(4.8) $$H^{q+1}(E(D), \partial E(D); \mathbf{Z}) = 0 \quad \text{for} \quad q = 0, 1.$$

By excision we have

$$H^{q+1}(E(D), \partial E(D); \mathbf{Z}) \simeq H^{q+1}(W, N(D)\cup\partial W; \mathbf{Z}).$$

Remember that W is obtained from D^{n+3} by $(n+1)/2$-surgery. It implies that

$$\tilde{H}^i(W; \mathbf{Z}) = 0 \quad \text{if} \quad i \neq (n+1)/2 + 1.$$

In particular

$$\tilde{H}^i(W; \mathbf{Z}) = 0 \quad \text{for} \quad i \leqslant 3$$

as $n \geqslant 5$. Therefore it follows from the exact sequence of the pair $(W, N(D)\cup\partial W)$ that

$$H^{q+1}(W, N(D)\cup\partial W; \mathbf{Z}) \simeq \tilde{H}^q(N(D)\cup\partial W; \mathbf{Z}) \quad \text{for} \quad q \leqslant 2.$$

Here the Mayer-Vietoris exact sequence of the triad $(N(D)\cup\partial W; N(D), \partial W)$ shows that

$$\tilde{H}^q(N(D)\cup\partial W; \mathbf{Z}) = 0 \quad \text{for} \quad q = 0, 1,$$

because $N(D)$ is contractible, $\partial W = S^{n+2}$, and $N(D) \cap \partial W = S^n \times S^1$. Hence (4.8) is satisfied, and we have obtained the desired map h.

Step 3. Since W is framed, the framing of the stable normal bundle $\nu(W)$ of W induces a stable bundle map $b\colon \nu(W) \to \nu(D^{n+3})$ which covers h. The triple $\mathscr{B} = (W, h, b)$ is called a normal map.

The identity map $Id\colon (M, L) \times I \to (M, L) \times I$ gives a normal map where the stable bundle map is also the identity. We shall denote the normal map by $\mathscr{B}_{Id} = ((M, L) \times I, Id, Id)$. The maps h and Id are both diffeomorphisms on $N(D)$ and $N(L \times I)$ respectively; so one can do the boundary connected sum of $\mathscr{B}$ and $\mathscr{B}_{Id}$ at points of K and $L \times \{1\}$. This yields a new normal map $\mathscr{B}_{Id} \natural \mathscr{B} = (M \times I \natural W, Id \natural h, Id \natural b)$. Here we naturally identify the target space $(M, L) \times I \natural (D^{n+3}, D^{n+1})$ with $(M, L) \times I$. Since $Id \sharp h$ is a diffeomorphism on $N(L \times I \natural D)$, it gives a product structure on $N(L \times I \sharp D)$. Thus we get a cobordism $E(L \times I \natural D)$ relative boundary between $E(L \sharp K)$ and $E(L)$.

Step 4. $Id \natural h|_{E(L)}: E(L) \to E(L) \times \{0\}$ (the 0-level) is the identity; so it is a simple homotopy equivalence. We shall observe that $h_1 = Id \natural h|_{E(L \sharp K)}: E(L \sharp K) \to E(L) \times \{1\}$ (the 1-level) is also a simple homotopy equivalence.

We have a decomposition

$$E(L \sharp K) = E(L) \cup E(K)$$

in the same sense as (3.7). Hence, similarly to (3.8) one can see

$$\pi_1(E(L \sharp K)) \simeq \pi_1(E(L)) \tag{4.9}$$

where the inclusion map induces the isomorphism.

We can view $E(L) \times \{1\}$ as $E(L \sharp S^n)$ and we also have

$$E(L \sharp S^n) = E(L) \cup E(S^n).$$

Then the map h_1 can be viewed as the identity on $E(L)$ and h on $E(K)$. This together with (4.9) shows that $h_{1*}: \pi_1(E(L \sharp K)) \to \pi_1(E(L \sharp S^n))$ is an isomorphism.

As before we consider the map $\tilde{h}_1: \tilde{E}(L \sharp K) \to \tilde{E}(L \sharp S^n)$ lifted to the universal covers. Since $<m> = 1$, we have a diagram

$$\begin{array}{ccccc} \tilde{E}(L \sharp K) & = & \tilde{E}(L) & \cup & E(K) \times \Pi \\ {\scriptstyle \tilde{h}_1} \downarrow & & \downarrow {\scriptstyle Id} & & \downarrow {\scriptstyle h|_{E(K)} \times Id} \\ \tilde{E}(L \sharp S^n) & = & \tilde{E}(L) & \cup & E(S^n) \times \Pi, \end{array} \tag{4.10}$$

where $\Pi = \pi_1(M - L)$ as before. Since $h|_{E(K)}$ is a homology equivalence, the above diagram tells us that $\tilde{h}_{1*}: H_q(\tilde{E}(L \sharp K); \mathbf{Z}) \to H_q(\tilde{E}(L \sharp S^n); \mathbf{Z})$ is an isomorphism as $\mathbf{Z}[\Pi]$-modules. Therefore h_1 is a homotopy equivalence by the same reason as before.

The assumption $<m> = 1$ together with the above diagram tells us that $\tau(h_1) \in Wh(\Pi)$ comes from an element of $Wh(1)$. Hence $\tau(h_1) = 0$ as $Wh(1) = 0$.

Step 5. By step 4 $\bar{h} = Id \natural h|_{E(L\times I \natural D)}: E(L\times I \natural D) \to E(L\times I \natural D^{n+1}) = E(L\times I)$ is a simple homotopy equivalence on the boundary. We convert $\bar{h}$ into a simple homotopy equivalence by surgery without touching the boundary. The obstruction $\sigma(\bar{h})$ lies in an L-group $L_{n+3}(\Pi, 1)$ where 1 denotes the trivial homomorphism from Π to $\mathbf{Z}_2$ (note, since M is oriented and hence so is $E(L\times I)$, the orientation homomorphism: $\Pi = \pi_1(E(L\times I)) \to \mathbf{Z}_2$ is trivial).

We have a diagram similar to (4.10):

$$\begin{array}{ccccc} E(L\times I \natural D) & = & E(L\times I) & \cup & E(D) \\ \bar{h}\downarrow & & \downarrow Id & & \downarrow h \\ E(L\times I \natural D^{n+1}) & = & E(L\times I) & \cup & E(D^{n+1}). \end{array}$$

The surgery obstruction $\sigma(h)$ to converting h to a simple homotopy equivalence by surgery without touching the boundary lies in $L_{n+3}(\mathbf{Z}, 1)$ because $\pi_1(E(D^{n+1}))$ is isomorphic to $\mathbf{Z}$. The above diagram together with the assumption $<m> = 1$ tells us that

$$\sigma(\bar{h}) = \beta_*\alpha_*\sigma(h)$$

where $\alpha_*: L_{n+3}(\mathbf{Z}, 1) \to L_{n+3}(1, 1)$ and $\beta_*: L_{n+3}(1, 1) \to L_{n+3}(\Pi, 1)$ are the homomorphisms induced from the trivial homomorphisms $\alpha: \mathbf{Z} \to 1$ and $\beta: 1 \to \Pi$ respectively. It is well-known that

$$L_{n+3}(1, 1) \simeq \begin{cases} \mathbf{Z} & \text{if} \quad n+3 \equiv 0\,(4), \\ \mathbf{Z}_2 & \text{if} \quad n+3 \equiv 2\,(4). \end{cases}$$

As easily observed $\alpha_*\sigma(h)$ is given by

$$\begin{cases} \text{Sign}\, W & \text{if} \quad n+3 \equiv 0\,(4) \\ c(W) & \text{if} \quad n+3 \equiv 2\,(4) \end{cases}$$

through the above isomorphism. Remember that W is framed cobordant to D^{n+3} relative boundary by the construction. Therefore those invariants vanish and hence $\sigma(\bar{h}) = 0$.

Consequently we have obtained a cobordism U' relative boundary between $E(L \# K)$ and $E(L)$ together with a simple homotopy equivalence $F: U' \to E(L\times I)$ which is the identity on the 0-level. Let $i_0: E(L) \to U'$ and $j_0: E(L) \to E(L\times I)$ be the inclusion maps from the 0-level to the cobordisms. Since $F \circ i_0 = j_0 \circ Id$ where $Id: E(L) \to E(L)$ denotes the identity map, we have

$$\tau(F) + F_*\tau(i_0) = \tau(j_0) + j_{0*}\tau(Id)$$

(see [Ml, Lemma 7.8]). Here F, j_0, and Id are all simple homotopy equivalences; so these Whitehead torsions vanish. Hence it follows that $\tau(i_0) = 0$, because $F_*: Wh(\pi_1(U')) \to Wh(\pi_1(E(L \times I))$ is an isomorphism. This means that U' is an s-cobordism. Therefore $(S^{n+2}, K) \in I_0(M, L)$ by Lemma 1.6. Q.E.D.

§ 5. Type 3 case

In this section we treat the case where $<m>$ or $[m]$ is of order p (p is not necessarily a prime number). We begin with

Lemma 5.1. *Suppose* $[m]$ *is of order* p. *Then if* $(S^{n+2}, K) \in I(M, L)$, *then* $(S^{n+2}, K)_p$ *is a homotopy* $(n+2)$*-sphere.*

Proof. Let r be the order of Tor $H_1(M-L; \mathbf{Z})$, and let γ be the canonical epimorphism $\pi_1(M-L) \to H_1(M-L; \mathbf{Z}) \otimes \mathbf{Z}_r$. Since the order of $\gamma(<m>)$ is p, we obtain the desired result by an argument similar to the proof of Lemma 2.1. Q.E.D.

If $p \geqslant 2$, there are infinitely many knots (S^{n+2}, K) such that $(S^{n+2}, K)_p$ is not a homotopy $(n+2)$-sphere; so Lemma 5.1 shows that $I(M, L) \subsetneq \mathscr{K}_n$ for such (M, L).

The rest of this section is devoted to looking for a non-trivial knot in $I(M, L)$ or $I_0(M, L)$. We will extend Proposition 3.6 and 4.2 to the case where $<m>$ is of order p. Lemma 5.1 reminds us of counterexamples to the generalized Smith conjecture.

Let (S^{n+2}, K) be an n-knot which bounds a disk pair (D^{n+3}, D) such that $(D^{n+3}, D)_p$ is a homotopy $(n+3)$-disk. Since $(S^{n+2}, K)_p$ is the boundary of $(D^{n+3}, D)_p$, $(S^{n+2}, K)_p$ is a homotopy $(n+2)$-sphere. If $n + 3 \geqslant 5$, then $(D^{n+3}, D)_p$ is diffeomorphic to D^{n+3} and hence $(S^{n+2}, K)_p$ is diffeomorphic to S^{n+2}.

The p-fold branched cyclic covering $(D^{n+3}, D)_p$ supports a $\mathbf{Z}_p$-action with the branch set D as the fixed point set. Let $E(D)_p$ be the exterior of D in $(D^{n+3}, D)_p$ and let $\rho: S^1 \to E(D)_p$ be an equivariant embedding of a meridian of D in $E(D)_p$, where the standard free $\mathbf{Z}_p$-action is considered on S^1. Since ρ is a homology equivalence and equivariant, the Whitehead torsion of ρ is defined in $Wh(\mathbf{Z}_p)$. Clearly it is independent of the choice of ρ; so we shall denote it by $\tau_p(D^{n+3}, D)$.

The following theorem is an extension of Proposition 3.6.

THEOREM 5.2. *Suppose* $<m>$ *is of order* p *(p may be equal to 1) for* (M^{n+2}, L^n) *and* $n \geqslant 4$. *Then* $(S^{n+2}, K) \in I_0(M, L)$ *if it bounds a disk pair* (D^{n+3}, D) *such that*

(1) $(D^{n+3}, D)_p$ *is diffeomorphic to* D^{n+3},

(2) $\mu_* \tau_p(D^{n+3}, D) = 0$,

where $\mu_* : Wh(\mathbf{Z}_p) \to Wh(\pi_1(M-L))$ *is the homomorphism induced from a homomorphism* $\mu: \mathbf{Z}_p \to \pi_1(M-L)$ *sending a generator of* $\mathbf{Z}_p$ *to* $<m> \in \pi_1(M-L)$.

Remark 5.3. (1) For each p, there are infinitely many n-knots satisfying the conditions (1) and (2) in Theorem 5.2. For example the $\mathbf{Z}_p$-orbit spaces of Sumners' knots [R, p. 347] (which are counterexamples to the generalized Smith conjecture) are the desired knots. In fact, $\tau_p(D^{n+3}, D) = 0$ for them.

(2) If $p = 1, 2, 3, 4$, or 6, then $Wh(\mathbf{Z}_p) = 0$. Hence the condition (2) of Theorem 5.2 is trivially satisfied in these cases.

Proof of Theorem 5.2. We shall observe that the proof of Proposition 3.6 works with a little modification. As before $E(L \times I \natural D)$ can be viewed as a cobordism relative boundary between $E(L)$ and $E(L \sharp K)$. We shall check that this is an s-cobordism.

The condition (1) implies that

$$\pi_1(E(D))/<m^p> \simeq \mathbf{Z}_p \tag{5.4}$$

where a meridian of D in D^{n+3} is also denoted by m. Hence it follows from the decomposition (3.7) that

$$\begin{aligned} \pi_1(E(L \times I \natural D)) &\simeq \pi_1(E(L \times I)) \underset{<m>}{*} \pi_1(E(D)) \\ &\simeq \pi_1(E(L \times I)) \underset{\mathbf{Z}_p}{*} \pi_1(E(D))/<m^p> \\ &\qquad (\text{as } <m> \text{ is of order } p \text{ in } \pi_1(E(L \times I))) \\ &\simeq \pi_1(E(L \times I)) \qquad (\text{by } (5.4)) \end{aligned} \tag{5.5}$$

This implies that the inclusion map $i: E(L) = E(L) \times \{0\} \to E(L \times I \natural D)$ induces an isomorphism $\pi_1(E(L)) \to \pi_1(E(L \times I \natural D))$.

We consider the map $\tilde{i}: \tilde{E}(L) \to \tilde{E}(L \times I \natural D)$ lifted to the universal cover. Let $q: \tilde{E}(L \times I \natural D) \to E(L \times I \natural D)$ be the covering projection map. By (5.5) $q^{-1}(E(L \times I))$ is exactly the universal cover $\tilde{E}(L \times I)$. As for $q^{-1}(E(D))$ we need a little consideration. The above observation (5.5) shows that the image of $j_* : \pi_1(E(D)) \to \pi_1(E(L \times I \natural D))$ is isomorphic to $\mathbf{Z}_p$, where j is the inclusion map. We shall identify $j_*\pi_1(E(D))$ with $\mathbf{Z}_p$. Remember that $\mathbf{Z}_p$ acts freely on $E(D)_p$ as covering transformations.

Claim 5.6. $q^{-1}(E(D)) = E(D)_p \underset{\mathbf{Z}_p}{\times} \Pi$, where the right hand side denotes the orbit space of $E(D)_p \times \Pi$ by the diagonal $\mathbf{Z}_p$-action defined by $s \cdot (x, g) = (xs^{-1}, sg)$ for $s \in \mathbf{Z}_p$, $x \in E(D)_p$, and $g \in \Pi$.

Proof. The Π-covering $q^{-1}(E(D)) \to E(D)$ is classified by the map: $E(D) \to B\Pi$ induced from the homomorphism $j_*: \pi_1(E(D)) \to \Pi = \pi_1(E(L \times I \natural D))$. Here j_* factors through the inclusion $k: \mathbf{Z}_p \to \Pi$:

$$\begin{array}{ccc} \pi_1(E(D)) & \overset{j_*}{\to} & \Pi \\ & {}_{\ell}\searrow \quad \nearrow_{k} \cup & \\ & \mathbf{Z}_p & \end{array}$$

The pullback of the universal Π-bundle $E\Pi \to B\Pi$ by k is of the form $E\mathbf{Z}_p \underset{\mathbf{Z}_p}{\times} \Pi \to B\mathbf{Z}_p$. In fact, since $E\mathbf{Z}_p = E\Pi$, the map $(u, g) \to ug$ $(u \in E\mathbf{Z}_p, g \in \Pi)$ is defined from $E\mathbf{Z}_p \underset{\mathbf{Z}_p}{\times} \Pi$ to $E\Pi$. The map induces a Π-bundle map from $E\mathbf{Z}_p \underset{\mathbf{Z}_p}{\times} \Pi \to B\Pi$ to $E\Pi \to B\Pi$. On the other hand the covering induced from the homomorphism $\ell: \pi_1(E(D)) \to \mathbf{Z}_p$ is exactly the $\mathbf{Z}_p$-covering $E(D)_p \to E(D)$. These prove the claim.

Consequently we have a decomposition

$$(5.7) \qquad \tilde{E}(L \times I \natural D) = \tilde{E}(L \times I) \cup E(D)_p \underset{\mathbf{Z}_p}{\times} \Pi,$$

where $\tilde{E}(L \times I)$ and $E(D)_p \underset{\mathbf{Z}_p}{\times} \Pi$ are pasted together along $D^n \times S^1 \underset{\mathbf{Z}_p}{\times} \Pi$ equivariantly embedded in their boundaries. The condition (1) means that $E(D)_p$ is a homology circle. This together with (5.7) tells us that $\tilde{i}: \tilde{E}(L \times I) \to \tilde{E}(L \times I \natural D)$ induces an isomorphism on homology as $\mathbf{Z}[\Pi]$-modules. Hence i is a homotopy equivalence.

The decomposition (5.7) also tells us that

$$\tau(i) = \mu_* \tau_p(D^{n+3}, D) \quad \text{up to sign}.$$

Hence $\tau(i) = 0$ by the condition (2). Therefore $E(L \times I \natural D)$ is an s-cobordism relative boundary. The theorem then follows from Lemma 1.6. Q.E.D.

A torsion $\tau_p(S^{n+2}, K)$ is defined similarly to $\tau_p(D^{n+3}, D)$ if $(S^{n+2}, K)_p$ is a homotopy $(n+2)$-sphere. The following theorem is an extension of Proposition 4.2.

THEOREM 5.8. *Suppose* $<m>$ *is of order* p *(p may be equal to* 1*) for* (M^{n+2}, L^n) *and* $n \geqslant 4$. *Let* $a_{n,p} = 2$ *if* $n \equiv 0\,(4)$ *and* p *is even, and let* $a_{n,p} = 1$ *otherwise. Then* $a_{n,p}(S^{n+2}, K) \in I_0(M, L)$ *if*

(1) $\sigma(S^{n+2}, K) = 0$ *in case* n *is odd.*

(2) $(S^{n+2}, K)_p$ *is a homotopy* $(n+2)$*-sphere,*

(3) $a_{n,p}\mu_*\tau_p(S^{n+2}, K) = 0$

where μ_* *is the same as in Theorem 5.2.*

Proof. The argument developed in Steps 1, 2, and 3 of the proof of Proposition 4.2 still works. Step 4 needs a little modification. Instead of (4.10) we have

$$(5.9)\qquad \begin{array}{ccccc} \tilde{E}(L \,\sharp\, K) & = & \tilde{E}(L) \cup E(K)_p \underset{\mathbf{Z}_p}{\times} \Pi \\ \tilde{h}_1 \downarrow & & \downarrow Id \qquad \downarrow h_p \underset{\mathbf{Z}_p}{\times} Id \\ \tilde{E}(L \,\sharp\, S^n) & = & \tilde{E}(L) \cup E(S^n)_p \underset{\mathbf{Z}_p}{\times} \Pi \end{array},$$

(see (5.7)) where $h_p: E(K)_p \to E(S^n)_p$ denotes the lifting of h to the $\mathbf{Z}_p$-covers. Since h_p is a homology equivalence, the above diagram tells us that $\tilde{h}_1$ is a homotopy equivalence.

It also tells us that

$$\tau(h_1) = -\mu_*\tau_p(S^{n+2}, K),$$

which vanishes by the condition (3). Hence $h_1: E(L \,\sharp\, K) \to E(L \,\sharp\, S^n)$ is a simple homotopy equivalence.

Step 5 also needs some modification. We need to replace α and β by the canonical epimorphism $\gamma: \mathbf{Z} \to \mathbf{Z}_p$ and $\mu: \mathbf{Z}_p \to \Pi$ respectively. Then we have

$$\sigma(\bar{h}) = \mu_*\gamma_*\sigma(h).$$

Here we distinguish three cases to observe the value $\sigma(\bar{h})$.

Case 1. The case where n is odd. In this case the trivial homomorphism $\alpha: \mathbf{Z} \to 1$ induces an isomorphism $L_{n+3}(\mathbf{Z}, 1) \to L_{n+3}(1, 1)$ ([Wl1, 13A.8]). As observed in Step 5 of the proof of Proposition 4.2, $\alpha_*(\sigma(h))$ vanishes. Hence $\sigma(h) = 0$, so $\sigma(\bar{h}) = 0$.

Case 2. The case where $n \equiv 2\,(4)$ or p is odd. According to Wall [Wl2] or Bak [Ba], $L_{n+3}(\mathbf{Z}_p, 1) = 0$ in this case. Since $\gamma_*\sigma(h)$ lies in $L_{n+3}(\mathbf{Z}_p, 1)$, $\gamma_*\sigma(h) = 0$ and hence $\sigma(\bar{h}) = 0$.

Case 3. The case where $n \equiv 0\,(4)$ and p is even. In this case $L_{n+3}(\mathbf{Z}_p, 1) \simeq \mathbf{Z}_2$. Since the value $\gamma_*\sigma(h) \in L_{n+3}(\mathbf{Z}_p, 1)$ is additive with respect to connected sum, it necessarily vanishes for $(S^{n+2}, K) \sharp (S^{n+2}, K)$.

The rest of the argument is the same as that in Step 5. This proves the theorem. Q.E.D.

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(Reçu le 18 février 1988)

Mikiya Masuda
Department of Mathematics
Osaka City University
Sumiyoshi, Osaka 558
(Japan)

Makoto Sakuma
Department of Mathematics
College of General Education
Osaka University
Toyonaka, Osaka 560
(Japan)