

# Simple homotopy type and open 3-manifolds

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## Abstract

The main result of this note is that a contractible open 3-manifold  $W^3$ , which has the same simple homotopy type as a geometrically simply connected simplicial complex  $P$ , is simply connected at infinity. This is obtained as a consequence of the fact that  $W^3$  is simply connected at infinity provided that it has a geometrically simply connected enlargement. The latter is a generalization of a theorem proved by Poénaru in [7].

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## 1 Introduction

We consider the following definitions:

**Definition 1.1** *An enlargement (with strongly connected 3-skeleton) of a smooth  $k$ -dimensional manifold  $M^k$  is a locally finite simplicial complex  $X$  which fits into a commutative diagram*

$$\begin{array}{ccc} M^k & \xhookrightarrow{i} & X \\ & \searrow id & \downarrow \pi \\ & & M^k \end{array}$$

*having the properties:*

- 1.  $i$  is a proper PL embedding with respect to the (unique) PL structure on  $M^k$  compatible with the DIFF structure.*
- 2.  $\pi$  is a proper PL map.*
- 3. The 3-skeleton  $ske^3 X$  of  $X$  is strongly connected, i.e. for any two 3-simplexes  $\sigma$  and  $\tau$  of  $X$  there exists a sequence of 3-simplexes  $\sigma = \sigma_1, \sigma_2, \dots, \sigma_n = \tau$  such that  $\sigma_j$  and  $\sigma_{j+1}$  have a common 2-dimensional face, for all  $j = 1, 2, \dots, n - 1$ .*

The simplest examples of enlargements are the regular neighborhoods of embeddings in Euclidean spaces. In this sequel, we will consider that all the enlargements have a strongly connected 3-skeleton unless the contrary is explicitly stated.

**Definition 1.2** *An open contractible 3-manifold  $W^3$  is simply connected at infinity (s.c.i.), and we write also  $\pi_1^\infty(W) = 0$ , if for any compact set  $K_1$ , there exists another compact set  $K_2$ , with  $K_1 \subset K_2 \subset W^3$ , such that any loop in  $W^3 - K_2$  is null-homotopic in  $W^3 - K_1$ .*

**Definition 1.3** *A locally finite simplicial complex  $P$  is geometrically simply connected (g.s.c.) if there exists an exhaustion  $Z_0 \subset Z_1 \subset Z_2 \subset \dots Z_n \subset \dots$  of  $P$  by finite sub-complexes with all  $Z_n$  being connected and simply connected.*

We first prove the following theorem:

**Theorem 1.1** *Let  $W^3$  be an open contractible 3-manifold, and  $X^n$  be a finite dimensional enlargement of  $W^3$ . If  $X^n$  is geometrically simply connected (g.s.c.) then the manifold  $W^3$  is simply connected at infinity (s.c.i.).*

Actually, we will prove a stronger statement: under the same hypotheses, there exists an exhaustion  $Z_0 \subset Z_1 \subset Z_2 \subset \dots Z_n \subset \dots$  of  $W^3$  by compact connected and simply connected sub-manifolds  $Z_n$ . In dimension 3, this condition implies that  $\pi_1^\infty(W^3) = 0$ .

It is well-known that the simple connectedness at infinity is invariant under a proper homotopy, without any dimension restriction. However, our result is purely 3-dimensional, and is not a consequence of the previous remark, as it may seem at the first glance. First of way, the g.s.c does not imply (in other dimension than 3) the simple connectivity at infinity. For instance, from “ $W^n \times D^k$  is g.s.c.” we cannot derive a priori that “ $W^n \times D^k$  is s.c.i.”, in order to conclude that  $W^n$  is, too. Here  $D^k$  is the closed  $k$ -ball. Much more this is not true if the dimension  $n$  of  $W^n$  is  $n > 3$ .

Moreover the condition g.s.c. is a consequence of the s.c.i. In ([18] p.350, [19]) the (partially known) relation between the (usual) connectivity and the geometric connectivity is discussed. Further in [11] it is proved that,  $W^n$  is s.c.i. open, simply connected and its dimension is  $n \geq 5$ , implies that  $W$  is g.s.c. The authors conjectured that the s.c.i. condition is necessary. Observe that this would imply both theorems presented here.

However, the last conjecture cannot be extended to more general non-compact manifolds with boundary, like the products  $W \times D^k$  with closed  $k$ -balls. There exist manifolds  $W^n$  in every dimension  $n \geq 4$  (e.g. the Poénaru-Mazur manifolds, see [5, 3]), such that  $W \times D^k$  is g.s.c. for some  $k$ , but  $W \times D^k$  (and henceforth  $W$ ) is not s.c.i., so our result is not extendible in higher dimensions. Such examples  $W$  are interiors of compact contractible manifolds, whose boundary has nontrivial fundamental group. Also in dimension 4 there is an obstruction (due to A.Casson) for the geometric simple connectivity (still in the compact case): if the fundamental group of the boundary has a nontrivial representation in a Lie group, then the manifold is not g.s.c. In particular the Poénaru-Mazur manifolds are not g.s.c.

**Remarks 1.4** *1. Consider  $X^n = W^3 \times D^{n-3}$ ,  $D^k$  being the closed  $k$ -ball, or, more generally that  $X$  is a proper codimension 0 sub-manifold of  $W^3 \times D^{n-3}$  which engulfs the zero-section (i.e.  $W^3 \times 0 \subset X^n \subset W^3 \times D^{n-3}$ ). Then Poénaru’s result ([7]) states that, if  $X^n$  has no 1-handles,*

then  $W^3$  is simply connected at infinity. In fact, the condition to have no 1-handles implies that, after triangulating the manifold and taking a sufficiently fine subdivision, we obtain a g.s.c. simplicial complex (see [7], PL-lemma p.441). Thus the corollary 1.5 (see below) can be viewed as an extension of this result.

If we had worked in a DIFF context, by considering only those enlargements which are manifolds, then the “g.s.c.” condition in definition 1.1 should be replaced by “without 1-handles”<sup>1</sup>.

2. In the case where it is not required that  $\pi$  verifies the condition (2) in the definition 1.1, we can take  $X^n = W^3 \times \text{int}(D^{n-3})$  and complete the diagram above in an obvious manner. From the results of Mazur ([4]), for large  $n$ , the manifold  $W^3 \times \text{int}(D^{n-3})$  has no 1-handles, since its homeomorphism class depends only on the homotopy type of  $W^3$ . However, there are many examples where  $W^3$  is not simply connected at infinity, as the Whitehead-type manifolds (see [15]). Thus the properness is an essential condition for the validity of the theorem 1.1.
3. The theorem 1.1 implies that, whenever  $W^3$  is not simply connected at infinity,  $X^n = W^3 \times D^{n-3}$  must have 1-handles. Further, the existence of at least one 1-handle implies the existence of an infinite number of such 1-handles. Assume now, that a sequence of 2-handles  $b_1, b_2, \dots, b_k, \dots$  are recurrently attached to  $X^n$ , in order to kill all 1-handles. Since  $W^3$  is contractible we can slide the 2-handles to have their attaching circles  $\gamma_1, \gamma_2, \dots, \gamma_k, \dots$  on  $W^3 \times \partial D^{n-3}$ . We claim that the union of these circles cannot be a closed subset of  $\partial X^n$ . Suppose the contrary holds: then the manifold  $Y^n$ , obtained by surgery on these circles, would be without 1-handles. Meantime  $X^n$  embeds in  $Y^n$  and the projection  $X^n \rightarrow W^3$  extends to a proper map  $Y^n \rightarrow W^3$ . Therefore  $Y$  would be a g.s.c. enlargement of  $W^3$  so that  $\pi_1^\infty(W^3) = 0$ , which is a contradiction. Thus, the union of these circles must have a non-void set of accumulation points, say  $\Sigma_X$ .
4. Our g.s.c. property is the same as the property  $P$  for a triangulation of a manifold considered by Poénaru in [7].
5. Remark that any manifold (or union of manifolds of dimensions greater than 3) satisfying the first two conditions from the definition 1.1 is automatically an enlargement.
6. Our result is in some sense sharp: with the given method we obtained the most general conditions on  $X$  assuring the simple connectivity at infinity for  $W^3$ .

Concerning the first remark, we can obtain the following result:

**Corollary 1.5** *If  $W^3$  has a finite dimensional enlargement which is a non-compact manifold with boundary and without 1-handles, then  $W^3$  is simply connected at infinity.*

The proof is reminiscent to Whitehead’s (Smooth) Hauptvermutung (see [16]): any two triangulations compatible with the same DIFF structure on  $X$  have isomorphic subdivisions (the PL structure subjacent to the DIFF structure is uniquely defined). Then we may use the same proof as for the theorem 1.1.  $\square$

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<sup>1</sup>We recall what means “to have no 1-handles” for a non-compact manifold with boundary (following [7, 10]): there exists a *proper* smooth function  $f : X \rightarrow [0, \infty)$  whose critical points are in  $\text{int}(X)$ , they are non-degenerate and each of them has index different from 1. Furthermore the restriction of  $f$  to the boundary  $\partial X$  has only non-degenerate critical points: those meaningful (or non-fake) points  $c \in \partial X$ , for which the inclusion  $f^{-1}(-\infty, f(c) - \varepsilon] \subset f^{-1}(-\infty, f(c) + \varepsilon]$  is not a homotopy equivalence, must have also the index different from 1.

Intuitively, the third remark from above says that the set of accumulation points  $\Sigma_X$  is the obstruction for  $W^3$  to be simply connected at infinity. Moreover, this set has many similarities with the limit sets arising in the collapsible representations for open 3-manifolds (see [9, 10]).

As an application of the theorem 1.1 we derive:

**Corollary 1.6** *If  $\pi_1^\infty(W^3) \neq 0$  then the set  $\pi(\Sigma_X) = \Sigma_W \subset W^3$  is larger than a tame Cantor subset of  $W^3$ .*

*Proof:* First  $W^3 - \Sigma_W$  is s.c.i. because it has an enlargement without 1-handles. If  $C$  is a tame Cantor set, then we would have  $\pi_1^\infty(W^3) = \pi_1^\infty(W^3 - C)$  (see [9], p.13, Lemma 1.1), which leads to a contradiction, and the claim follows.  $\square$

Notice that in [9, 10] a regularization theorem is obtained: the limit sets associated to some collapsible representations of  $W^3 \times D^n$  are unions of a tame Cantor set with a codimension 1 stratified proper sub-manifold. A similar result should hold for  $\Sigma_X$ .

The next result in the paper gives an uniform answer to two questions. On one hand, there is the guess expressed by Poénaru in ([7], Remark C, p. 432). The author claimed that it might be possible to have a connection between the simple homotopy type and  $\pi_1^\infty$  in dimension 3. On other hand, one can ask whether the result presented in [7] can be naturally generalized to the infinite dimensional case:  $W^3 \times Q$  must have 1-handles unless  $\pi_1^\infty(W^3) = 0$ , where  $Q$  is the Hilbert cube (see [1]).

In fact both problems can be reduced to the same one. Let us explain first the meaning of *without 1-handles* in an infinite dimensional context. Recall that any locally finite simplicial (or CW) complex  $Y$  has the property that  $Y \times Q$  is a  $Q$ -manifold ([1], p. 54). Thus, a  $Q$ -manifold without 1-handles is a  $Q$ -manifold having a triangulation<sup>2</sup>  $Y \times Q$ , where  $Y$  is a g.s.c. simplicial complex. Further, the second question can be reformulated as follows (as was pointed to me by Frank Quinn): if  $W^3 \times Q$  is homeomorphic to  $Y \times Q$ , where  $Y$  is a g.s.c. complex then  $\pi_1^\infty(W^3) = 0$ .

The simple homotopy theory was defined and used firstly by Whitehead ([17]), in the context of finite complexes, and then it was generalized by Siebenmann ([13]) for infinite complexes as follows:

**Definition 1.7** *Two locally finite simplicial complexes  $P$  and  $R$  have the same infinite simple homotopy type if there exists a finite sequence of infinitely many simultaneous and disjoint Whitehead moves, which allow to pass from  $P$  to  $R$ . For each element of the sequence, the (simultaneous) moves are either all expansions, or else all collapses.*

Now the so-called stabilization lemma from [1] asserts that the locally finite simplicial complexes  $P$  and  $R$  are (infinite) simply homotopy equivalent if and only if the  $Q$ -manifolds  $R \times Q$  and  $P \times Q$  are homeomorphic.

Thus the previous question could be stated differently: if  $W^3$  is simple homotopy equivalent to a g.s.c. simplicial complex  $P$  then  $W^3$  is simply connected at infinity.

We can state now the second result, which answers in the affirmative this question:

**Theorem 1.2** *The open 3-manifold  $W^3$  is simply connected at infinity if and only if there exists an infinite simple (proper) homotopy equivalence between  $W^3$  and a locally finite simplicial complex  $P$  which is geometrically simply connected at infinity.*

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<sup>2</sup>A triangulation of the  $Q$ -manifold  $Z$  is defined as a homeomorphism  $Y \times Q \rightarrow Z$ , where  $Y$  is a locally finite simplicial complex.

**Remark 1.8** *The main result is valid in the case when  $P$  is a CW-complex, for an appropriate definition of the simple homotopy equivalence, with essentially the same proof.*

Notice that a proper homotopy equivalence is simple if and only if Siebenmann's obstructions  $\sigma_\infty$  and  $\tau_\infty$  are vanishing (see [13]).

Observe that one half of the theorem is trivially valid, since  $W^3$  can be triangulated and, if  $\pi_1^\infty(W^3) = 0$ , then the associated simplicial complex is g.s.c.. The difficult part is to prove the converse: if we have an infinite simple homotopy equivalence between a geometrically simply connected simplicial complex and an open 3-manifold then the manifold is simply connected at infinity.

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## 2 The plan of the proof

The idea of the proof of theorem 1.1 emerged from the series of papers [7, 8, 9, 10]. In this paper we fully exploit the technique introduced there. The main arguments are contained in the following three lemmas. In order to make this paper self-contained we added an appendix on the  $\Phi/\Psi$ -theory (developed in [6]) at the end. We will use the following notation: if  $h : A \rightarrow B$  is a map and  $n \in \mathbf{Z}_+$ , we will denote by  $M_n(h) \subset A$  the set of  $x \in A$  which are such that  $\text{card}(f^{-1}(f(x))) \geq n$ . We also write  $M^2(h) \subset A \times A$  for the set of pairs  $(x, y) \in A \times A$  with  $x \neq y$  and  $h(x) = h(y)$ .

**Dehn-type Lemma 2.1** *Let  $X^3, M^3$  be two simply-connected manifolds,  $K$  be a connected compact set, such that  $X^3$  is compact, connected with non-void boundary and  $M^3$  is closed without boundary. Assume we have a commutative diagram*

$$\begin{array}{ccc} K & \xrightarrow{g} & \text{int}(X^3) \subset X^3 \\ & f \searrow & \downarrow F \\ & & M^3 \end{array}$$

*fulfilling the conditions:*

1.  $f$  and  $g$  are embeddings.
2.  $F$  is a smooth generic immersion.
3.  $gK \cap M_2(F) = \emptyset$ .

*Then  $fK$  can be engulfed in a smooth connected and simply connected sub-manifold  $Y^3$  of  $M^3$ .*

For the proof of this Dehn-type lemma see ([7], p.433-439).

**Lemma 2.2** *There exists a triangulation  $\tau_W$  of  $W^3$  and a subdivision  $\tau_X$  of  $X^n$  such that:*

1.  $i : \tau_W \hookrightarrow \tau_X$  is a simplicial embedding, identifying  $\tau_W$  to a sub-complex of  $\tau_X$ .
2.  $\tau_X$  is g.s.c.

3. there is some subdivision  $\theta$  of the 3-dimensional skeleton of  $\tau_X$  and a map  $\lambda : \theta \longrightarrow \tau_W$  such that  $\lambda$  is proper simplicial and non-degenerate, and  $\lambda \circ i = id$ .

This lemma does not use the strong connectivity of the 3-skeleton, but only the first two conditions from the definition 1.1. Notice that this lemma implies that  $\theta$  is an enlargement of  $\tau_W$ , but only when the natural projection map is replaced by  $\lambda$  (so that all the maps become simplicial). The proof will be given in the next section.

It follows that  $\theta$  is g.s.c. from ([7] Lemma 5.1): thus, there exists a sequence of finite simply connected sub-complexes  $Z_0 \subset Z_1 \subset Z_2 \subset \dots \subset \theta$  exhausting  $\theta$ . Set  $\lambda^\infty = \lambda|_\theta$ ,  $\lambda^j = \lambda|_{Z_j}$ , and also  $\Psi_j = \Psi(\lambda^j)$ ,  $\Phi_j = \Phi(\lambda^j)$ ,  $j = 1, 2, \dots, \infty$ . The equivalence relations  $\Phi$  and  $\Psi$  were introduced in [6] and all the definitions are included in the appendix. Recall that for  $j < \infty$  we have  $\Phi_j = \Phi_\infty|_{Z_j}$ , but in general we have only an inclusion  $\Psi_j \subset \Psi_\infty|_{Z_j}$ .

**Lemma 2.3** *The equality  $\Phi_\infty(\lambda) = \Psi_\infty(\lambda)$  holds.*

From now on the proof of the theorem 1.1 is standard. For the sake of completeness we outline it below. The conclusion of Proposition B from [7] remains true in our situation, so that for any  $k$ , there exists some number  $N(k) > k$  fulfilling:

$$\Psi_{N(k)}|_{Z_k} = \Phi_k.$$

Fix further a connected compact  $K \subset W^3$ . Then there is some  $m$  for which  $\lambda^m Z_m \supset K$  holds, and therefore we can find some (sufficiently large)  $n$  satisfying  $(\lambda^\infty)^{-1}(\lambda^m Z_m) \subset Z_n$  (both assertions follow from a compactness argument).

If  $(x_1, x_2) \in M^2(\lambda^\infty)$  and  $x_1 \in i(K)$  then necessarily  $x_2 \in Z_n$ . Furthermore we have the following diagram of maps:

$$i(K) \subset Z_n/\Phi_n = Z_n/\Psi_{N(n)} \subset Z_{N(n)}/\Psi_{N(n)} \xrightarrow{\lambda^{N(n)}} W^3.$$

Since the map  $\lambda^{N(n)}$  is an immersion and no double point of  $\lambda^{N(n)}$  can involve  $Z_n$  (as a consequence of the relation  $\Psi_{N(k)}|_{Z_k} = \Phi_k$ , which was previously obtained) we derive that

$$K \cap M_2(\lambda^{N(n)}) = \emptyset.$$

From Lemma 3.1 of [7] we have  $\pi_1(Z_{N(n)}/\Psi_{N(n)}) = 0$ . Therefore the diagram below

$$\begin{array}{ccc} K & \xrightarrow{g} & Z_{N(n)}/\Psi_{N(n)} \\ f \searrow & & \downarrow \lambda^{N(n)} \\ & & W^3 \end{array}$$

has all the properties required in the Dehn-type lemma except that  $Z_{N(n)}/\Psi_{N(n)}$  is a simplicial complex. But as already noticed in ([7] p.444), we may replace it by a smooth regular neighborhood of  $Z_{N(n)}/\Psi_{N(n)}$ , generically immersed in  $W^3$ . Thus the compact  $K$  can be engulfed in a simply connected compact sub-manifold of  $W^3$ . Once we know this for any connected compact it follows automatically for any compact subset of  $W^3$ . Therefore  $W^3$  is simply connected at infinity, as claimed by the theorem.  $\square$

### 3 The proof of lemma 2.2

By a suitable subdivision of the initial triangulations  $\tau_X^0, \tau_W^0$  of  $X$  and  $W$  we may suppose that  $i : \tau_W^0 \hookrightarrow \tau_X^0$  is a simplicial embedding. Furthermore, we can subdivide again  $\tau_X^1 < \tau_X^0, \tau_W^1 < \tau_W^0$ , in order to make  $\pi : \tau_X^1 \rightarrow \tau_W^1$  simplicial. This can be done in a relative context, so that  $(\tau_X^1, \tau_W^1) < (\tau_X^0, \tau_W^0)$ , because  $\pi|_{\tau_W^0} = id$ , if  $\tau_W^0$  is identified with its image in  $\tau_X^0$ . This is a standard argument (see [12]). Eventually we obtain the simplicial mappings  $\pi : \tau_X^1 \rightarrow \tau_W^1$  and  $i : \tau_W^1 \hookrightarrow \tau_X^1$ . Remark that  $\tau_X^1$  is g.s.c. by lemma 5.1. from [7]. It remains to prove that  $\pi$  can be replaced by another map  $f$  which is simplicial and whose restriction to the 3-skeleton of some subdivision  $\tau_X^2$  is non-degenerate. The image of the latter is some subdivision  $\tau_W^2 < \tau_W^1$ .

Before to proceed, we make a simple observation, which will be freely used in the sequel: if  $f : \sigma^n \rightarrow \sigma^k$  is a surjective simplicial map between two simplexes of dimension  $n \geq k$ , then for some  $k$ -face  $\delta^k$  of  $\sigma^n$ , the map  $f|_{\delta^k} : \delta^k \rightarrow \sigma^k$  is an isomorphism.

Another remark is that  $W^3$  has a non-complete flat Riemannian structure: thus  $\tau_W^1$  can be realized as an affine triangulation of  $W^3$  because the geodesics are unique.

Denote  $ske^3 \tau_X^1$  by  $t$  and  $\tau_W^1$  by  $\tau$ , for simplicity. We have given a simplicial map  $\pi : t \rightarrow \tau$ , but it is possible that some simplexes of  $t$  be collapsed via  $\pi$ . We outline below the method to change  $\pi$  into another map which *flatten*  $t$ , but it does not collapse 3-dimensional simplexes. Intuitively, imagine that we have given a specified floor  $\tau_W^1$  in a high dimensional building  $\tau_X^1$ . The 3-dimensional structure (the union of walls) of the building corresponds to  $t$ . We flatten this structure by a generic compression map onto the specified floor. If this procedure is carefully carried out, we obtain a new partition of the floor, in terms of which the compression map would be a non-degenerate cellular map. In fact, once every wall is slightly pushed from the vertical, its horizontal projection cannot completely disappear, and generically it is 3-dimensional.

The main technical point consists in replacing the simplicial complexes by cellulations in the sense of Siebenmann [14]. Here the term cellulation corresponds to the term *cellulation régulière* of a polyhedron used in [14]. Let us give first the definition, according to Siebenmann:

**Definition 3.1** *A cellulation of a metric space  $X$  is given by a locally finite covering by compact cells fulfilling the three conditions below:*

1. *each cell has a linear structure induced from the identification (by a homeomorphism) with the convex hull of a finite set of points in an Euclidean space. In particular, all cells are convex with respect to this linear structure.*
2. *the formal interiors<sup>3</sup> of the convex cells form a partition of the space  $X$ .*
3. *for any convex cell  $D$ , its formal boundary  $\partial D$  is an union of a finite number of cells  $d_i$  and the inclusions  $d_i \hookrightarrow D$  are linear.*

The natural transformations for cellulations corresponding to subdivisions of triangulations are the *bisections*. By definition a bisection replaces one cell  $D$  by 3 cells  $D_0, D_+$ , and  $D_-$  where  $D_0$  is linear of codimension 1 in  $D$  (a hyperplane section in  $D$ ) and cuts  $D$  into two non-void pieces  $D_-$  and  $D_+$ .

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<sup>3</sup>We recall that the formal interior of a convex compact subset  $D$  of a vector space is the set of all  $x$  with the property that for each line  $l$  which pass through  $x$ , the segment  $l \cap D$  contains  $x$  in interior. Next, the formal boundary is the complementary of the formal interior.

The inverse operation is called a *coupling*. The closure of the cell  $D_0$  is called the *support* of the bisection. We write  $X \ll Y$  if  $X$  can be obtained by bisections from  $Y$ . The number of bisections is finite, if the underlying spaces are compact, or it may be an infinite number of bisections whose union of supports is without accumulation points, in the non-compact case. Such an infinite family of bisections will be called *proper*.

There are two reasons to prefer cellulations and bisections to simplicial complexes and subdivisions:

**Fact 1** *Given a cellulation  $X$  and a sub-complex  $Y$  then any subdivision of  $Y$  (by bisections) induces canonically a subdivision (by bisections) of  $X$  which does not touch any other cell of  $X$  which is not a cell of  $Y$ .*

**Fact 2** *Let  $K$  be a polyhedron (i.e. a metric space with a maximal family of cellulations) and  $D_1, D_2$  be two cellulations of  $K$ . Then there exists a common refinement of both cellulations using a proper family of bisections:  $D_2 \gg D \ll D_1$ .*

In the compact case these two facts are proved in [14]. The same proof works as well in a non-compact case, when restricting ourselves to proper family of bisections.

Now, in the context of cellulations we can define the g.s.c. property analogous to the simplicial complexes case. Specifically a cellulation is g.s.c. if it admits an exhaustion by simple connected, connected and finite cellular sub-complexes.

The following lemma is the natural extension of Lemma 5.1. from [7] to cellulations:

**Lemma 3.1** *A cellulation is g.s.c. if and only if its 2-dimensional skeleton is g.s.c.. In particular, if  $X$  is g.s.c. then the 3-dimensional skeleton  $\text{ske}^3 X$  is g.s.c.. If  $Y \ll X$  then  $Y$  is g.s.c. if and only if  $X$  is also g.s.c..*

The proof is obvious.  $\square$

We come back now to the proof of the lemma. It is known that  $\pi$  is proper. This means that, for any (closed) 3-simplex  $\sigma \subset \tau$ , the preimage  $\pi^{-1}(\sigma) = \cup_i \sigma_i$  is a finite union of 3-simplexes of  $t$ . We choose an arbitrary simplex  $\sigma$  at the beginning. Among the preimage simplexes  $\sigma_i$ 's there is one, which we denote by  $i(\sigma)$ , such that the restriction of  $\pi$  to  $i(\sigma)$  is an isomorphism on the image. Set  $V(\sigma)$  for the union of the set of vertices of all  $\sigma_i$  which do not appear as vertices of  $i(\sigma)$ , and order them arbitrarily  $V(\sigma) = \{v_i, i \geq 4\}$ . Afterwards we label  $\{v_1, \dots, v_4\}$  the vertices of  $i(\sigma)$ .

**Step I:** Choose some set of points (in a generic position)  $A^0(\sigma) \subset \text{int}(\sigma) \subset W^3$  which are in one-to-one correspondence with  $V(\sigma)$ . We denote the points of  $A^0(\sigma)$  as  $\{x_i, i \geq 4\}$  and the vertices of  $\sigma$  by  $\{x_1, \dots, x_4\}$ . We suppose that the projection of  $v_i$  is  $x_i$  for  $i = 1, 2, 3, 4$ . Consider now the set  $A^k(\sigma)$  of those  $k$ -dimensional simplexes whose vertices are from  $A^0(\sigma)$ , which are realized as affine simplexes in  $W^3$ , and are related to the simplexes from  $\pi^{-1}(\sigma)$  in the following way:

$$A^k(\sigma) = \{[x_{i_0}, x_{i_1}, \dots, x_{i_k}] \subset \sigma; \text{ such that } [v_{i_0}, v_{i_1}, \dots, v_{i_k}] \text{ is a simplex in } \pi^{-1}(\sigma)\}.$$

Here  $[y_0, y_1, \dots, y_k]$  denotes the simplex having the vertices  $y_i$ . Notice that the affine simplex  $[x_{i_0}, x_{i_1}, \dots, x_{i_k}]$  is uniquely determined by its vertices in  $W^3$ , because  $W^3$  has an affine structure.



**Example:** Consider  $\sigma = [x_1, x_2, x_3, x_4]$ ,  $\pi^{-1}(\sigma) = \partial[v_1, v_2, v_3, v_4, v_5]$  and  $\pi$  a projection map which sends  $v_i$  into  $x_i$ , for  $i = 1, 2, 3, 4$ . Then it is easy to see that:

$A^0(\sigma) = \{x_5\}$ , for an arbitrary point  $x_5$  in the interior of  $\sigma$ .

$A^1(\sigma) = \{[x_i, x_5], i = 1, \dots, 4\}$

$A^2(\sigma) = \{[x_i, x_j, x_5], i \neq j = 1, \dots, 4\}$

$A^3(\sigma) = \{[x_i, x_j, x_k, x_5], i \neq j \neq k = 1, \dots, 4\}$

Remark that  $A^*(\sigma)$  would be a simplicial complex if some cells hadn't overlapped.

**Example:** We give a 2-dimensional picture, since it is easier to draw it. Picture 1 shows  $A^1(\sigma)$ , where  $\sigma$  is a 2-simplex and  $\pi^{-1}(\sigma) = ske^2\Delta^4$  ( $\Delta^n$  being the standard  $n$ -simplex). It is clear that the associated graph of edges is not planar (it is the complete graph  $K_5$ ), so there are some new intersection points between edges, like the vertex  $x_6$ . Using a transversality argument, in a 3-dimensional picture we can reduce ourselves to the case where the edges in  $A^1(\sigma)$  are disjoint, but we may have new intersection points between the 2-dimensional faces and edges.

We assume now that all simplexes in  $\tau$  are sufficiently small to be convex with respect to the affine structure.

Let  $A_1^*(\sigma)$  be the closure of  $A^*(\sigma) \cup \{\sigma\} \cup \emptyset$  with respect to the intersection operation: this means that:

1. once  $\sigma_1$  and  $\sigma_2$  are in  $A_1^*(\sigma)$ , their intersection  $\sigma_1 \cap \sigma_2$  must belong to  $A_1^*(\sigma)$ , too.
2.  $A^*(\sigma) \cup \{\sigma\} \cup \emptyset$  is a subset of  $A_1^*(\sigma)$ .
3.  $A_1^*(\sigma)$  is the smallest collection fulfilling the previous two conditions.

Set also  $A_{11}^*(\sigma)$  for the closure of  $A_1^*(\sigma)$  with respect to the face-boundary<sup>4</sup> operator  $\partial$ , which is extended canonically to convex cells. Roughly speaking, this closure is intended to be the smallest set  $X$  of cells having the property that, once a cell is in  $X$ , then all the faces of its boundary belong to  $X$ . The complex  $A_{11}^*(\sigma)$  is closed with respect to intersection and  $\partial$ , but generally speaking, it is not a cellulation of  $\sigma$  in the sense of Siebenmann, as we defined above. The reason is that we do not necessarily obtained a partition of  $\sigma$ . In fact we need to refine further this collection of cells to a new collection  $A_2^*(\sigma)$  with the property that the formal interiors of the cells form a partition. This may be done in a canonical way: set  $c_i$  for a maximal set of open cells (formal interiors) in  $A_{11}^*(\sigma)$ , all of them being contained inside some other cell  $c$ . Then remove  $c$  and add  $c - \cup_i c_i$  as a new cell. When this procedure cannot be applied anymore, it means that we arrived to a partition of  $\sigma$  into smaller cells. However we introduced this way some cells which are no more convex cells.

Consider now the map  $f : \pi^{-1}(\sigma) \longrightarrow \sigma$ , which is the extension by linearity of the map defined on vertices by  $f(v_i) = x_i$  for all  $i$ . Set  $C^*(\sigma) = f^{-1}(A_2^*(\sigma))$ . Then  $C^*(\sigma)$  is a cellular complex and  $f$  is a non-degenerate cellular map.

**Example:** Typically  $f$  has singularities. Picture 2 shows a folding map  $f$  which maps two triangles, having a common edge, on the plane. In the plane the two triangles overlap on a smaller triangle which is a doubly covered.

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<sup>4</sup>The face-boundary operator associates to a cell  $c$  the collection of faces of the boundary and it should be not confused with the algebraic sums arising in the chain complexes.

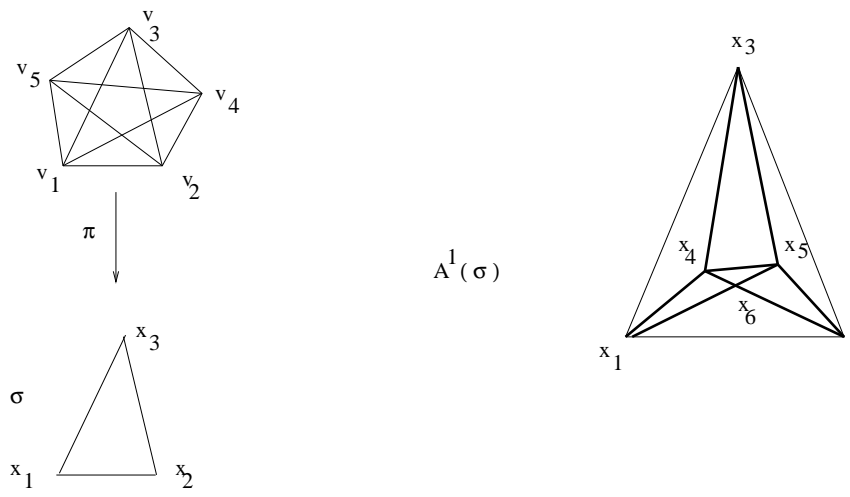


Figure 1:  $A^*(\sigma)$

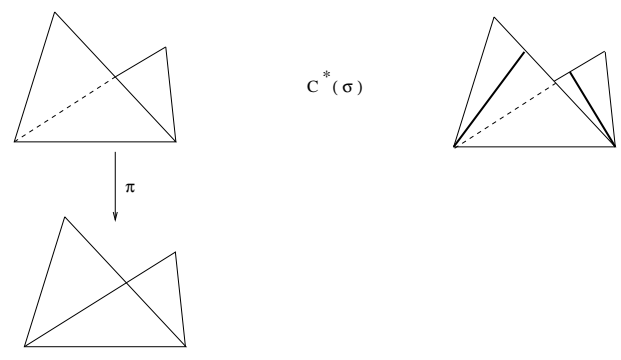


Figure 2: Pulling back  $A_2^*$

**Step II:** We wish to pass now to a global picture, from the simplex  $\sigma$  to the whole complex  $\tau$ . We choose an enumeration of all 3-simplexes of  $\tau$ , say  $\sigma_1, \sigma_2, \sigma_3, \dots, \sigma_k, \dots$  with the property that, for each compact  $K$ , there exists some integer  $m = m(K)$  such that  $\cup_{i=1}^m \sigma_i \supset K$ . We built up now, inductively, the global complex associated to this exhaustion:

1. at the beginning (for  $\sigma_1$ ) we start with the cell decomposition defined above  $A_2^*(\sigma_1)$ .
2. assume we constructed refinements of  $\pi^{-1}(\cup_{i=1}^n \sigma_i)$  and of  $\cup_{i=1}^n \sigma_i$ , and a cellular map  $f$  replacing the projection  $\pi$ , between the refined cell complexes. We look now for the new vertices which appear in  $\pi^{-1}(\sigma_{n+1})$ . There are some of the vertices of  $\pi^{-1}(\sigma_{n+1})$ , namely those which are also vertices of  $\pi^{-1}(\cup_{i=1}^n \sigma_i)$ , which have been taken already into account at the previous stages of the construction. In fact the vertex  $v$  has been considered<sup>5</sup> at the  $k^{th}$  step, where  $k$  is the smallest integer such that  $v$  is the vertex of  $\pi^{-1}(\cup_{i=1}^k \sigma_i)$ . Define therefore  $V^0(\sigma_{n+1})$  be the set of vertices of  $\pi^{-1}(\cup_{i=1}^{n+1} \sigma_i)$  which have not been considered before. Choose, as in the first step, a set of points  $A^0(\sigma_{n+1})$  inside the simplex  $\sigma_{n+1}$  so that the vertices of  $i(\sigma_{n+1})$  are in one-to-one correspondence with the vertices of  $\sigma_{n+1}$  and the other points are lying the interior of  $\sigma_{n+1}$ . We assume that the vertices in  $V^0(\sigma_{n+1}) - i(\sigma_{n+1})$  are in bijection with the interior points. The restriction of  $f$  to vertices can be naturally extended now from  $\pi^{-1}(\cup_{i=1}^n \sigma_i)$  to  $\pi^{-1}(\cup_{i=1}^{n+1} \sigma_i)$ , say  $f(v_i) = x_i$ , for all  $i$ . Remark that this procedure is highly non canonical but it is well enough for our purposes.

The global complex  $B_0^*$ , which depends on the enumeration we chose, is therefore given by:

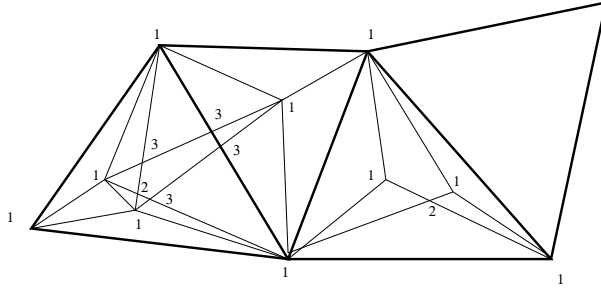
$$B_0^k = \{[x_{i_0}, x_{i_1}, \dots, x_{i_k}]; x_{i_j} \in \cup_{j=1}^{n+1} A^0(\sigma_j) \text{ such that } [v_{i_0}, v_{i_1}, \dots, v_{i_k}] \text{ is a simplex in } t.\}$$

Here all the simplexes in  $W^3$  are affine simplexes. Remark we have specified only the first generation vertices from  $A^0$ , not from  $A_2^0$ . Consider now the closure  $B_1^*$  of  $B_0^*$  with respect to the intersection and  $B_2^*$  be the closure of  $B_1^*$  with respect to the face-boundary operator. An easy remark is that  $B_2^*$  is closed also for the intersection. We saw before how to refine  $B_2^*$  by adding the complementary of unions of cells (and removing the cells which contain them), in such a way that the formal interiors form a partition: if  $x_i \subset y$  are  $k$ -cells in  $B_2^k$  then we want that the complementary  $cl(y - \cup_i x_i)$  be also an union of cells. In the first step we considered such maximal families  $\{x_i\}$  inside a fixed cell  $y$ , added the complementary, as a new cell, and removed the cell  $y$  from our collection. But some of the new cells arising this way, are not convex. Observe that all of them are polyhedra whose edges are geodesics and the faces are flats in  $W^3$ . A polyhedron with geodesic edges, and affine faces in an affine manifold can be partitioned into convex polyhedra, possibly introducing new vertices, as intersection among flats spanned by the vertices. These can be lifted upside, and the initial triangulation can be refined to include the new vertices. In the last situation the downside cells are now convex. Thus we may suppose, without loss of generality, that there are no vertices to add and the partition has convex components.

We obtained another complex, say  $B_3^*$ , which is closed to intersection, to the face-boundary operator and is made of convex cells. Now the map  $f$  extends to  $B_3$  in the obvious way.

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<sup>5</sup>Here, "has been considered" means that, at an earlier stage, a value  $x = f(v) \in \cup_{i=1}^n \sigma_i$  has been associated to  $v$ .



1 points of the first generation  
 2 points of the second generation  
 3 points of the third generation

Figure 3: The vertices

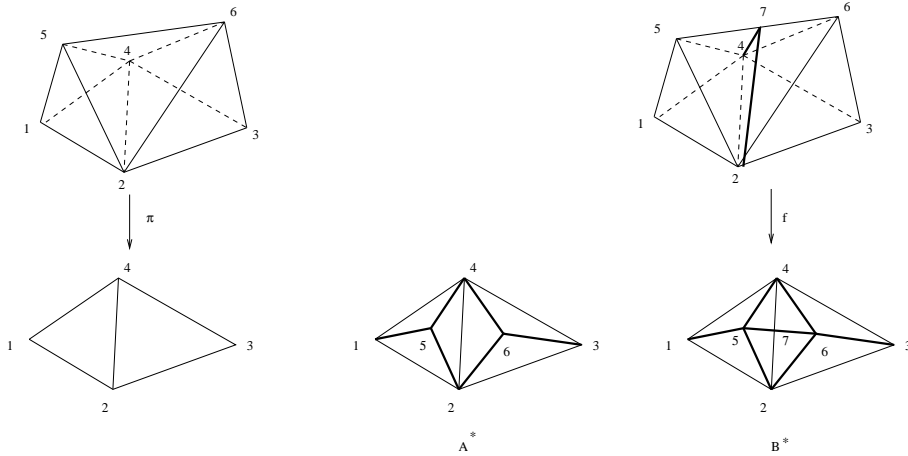


Figure 4: The general picture

This completes the induction step, and so we obtain a cellulation of  $W^3$ . But this cellulation can further be refined to a simplicial decomposition  $B^*$ . According to the Fact 2 stated above  $\tau_W^1$  and  $B^*$  have a common refinement obtained by bisections. This proves that  $B^*$  is again g.s.c. by Lemma 3.1. Now the map  $f$  gets a map  $f : D^* = f^{-1}(B^*) \rightarrow B^*$  which is simplicial. The pull-back complex  $D^*$  is a cellular complex, finer than  $t$ , and we will show that it is a simplicial complex.

**Example:** The vertices we added to our initial triangulations are therefore of 3 generations, as shown in the picture 3. These corresponds to  $A^0$ , to  $A_1^0 = A_2^0$ , and  $B_1^0$ . An example of how  $f$  looks like is given in picture 4: here  $\tau$  is the union of 2 simplexes of dimension 2, and  $t$  is the 2-skeleton of  $\partial[v_1, v_2, x_3, v_5] \cup \partial[v_4, v_2, x_3, v_6] \cup \partial[v_6, v_2, x_3, v_5]$ . There are two new vertices of first generation figured in  $A^*$  and a new vertex  $x_7$  when we pass to  $B^*$ . The preimage cellular complex and the modified map  $f$  corresponds to the cone over the subdivision of the edge  $[v_5, v_6]$ .

**Lemma 3.2** *The map  $f$  is non-degenerate and simplicial.*

*Proof:* These features were achieved directly by construction. It suffices to understand how  $D^*$  is

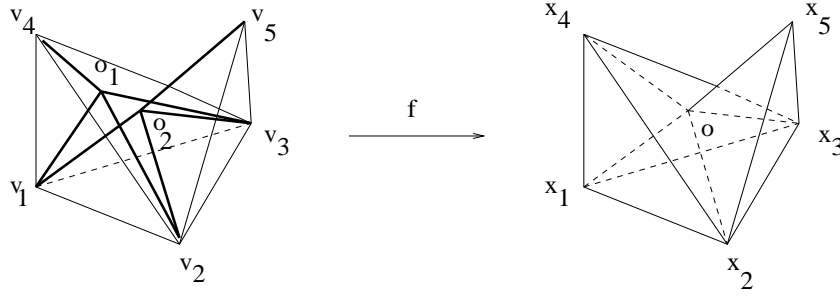


Figure 5: The local picture around a singularity

obtained from  $t$ , and that  $D^*$  is indeed a simplicial complex. The new vertices in  $D^0 - t^0$  come from intersections points of 2-flats in  $W$ . For a generic choice of  $A^0(\sigma_j)$  the 2-flats are in general position, and there are only 1-dimensional intersections. Since  $f$  was made cellular the local model around a singularity of  $f$  is exactly the folding from picture 5 (the 3-dimensional analog of picture 2). We explain it: we have two simplexes  $\sigma_1^3$  and  $\sigma_2^3$  in  $D^*$  having a common 2-face which are projected down by  $f$  onto the union of two 3-simplexes  $f\sigma_1^3$  and  $f\sigma_2^3$ . The last two have a common face and  $f\sigma_1^3 \cap f\sigma_2^3 = \sigma$  is a simplex with a new vertex which appears  $o$  which is the intersection of three singular lines  $ox_i$ ,  $i = 1, 3$ . The double point  $o$  has two preimages,  $o_i \in \sigma_i^3$  and we have also the preimages of double lines which are  $o_i v_j$ ,  $i = 1, 2$  and  $j = 1, 3$ . We must add to our decomposition the edge  $ox_4$ , and this yields a decomposition of  $f\sigma_1^3$  into 3 simplexes while  $f\sigma_2^3$  is cut into two tetrahedra. The preimage decomposition is a decomposition into tetrahedra of  $\sigma_1^3 \cup \sigma_2^3$ , which is the pull-back of the partition into tetrahedra from downside and it is not necessary to add any other edges or vertices.

Further  $f$  is locally an etale map around a non-singular point. It follows that  $D^*$  is in fact a simplicial complex finer than  $t$ , and  $f$  is non-degenerate and simplicial as we wanted.  $\square$

**Lemma 3.3** *The induced map  $f : X \rightarrow W^3$  is proper.*

*Proof:* Observe first that all objects  $\bigcup_{\sigma^3 \in \tau} C^*(\sigma)$ ,  $\bigcup_{\sigma^3 \in \tau} A_2^*(\sigma)$  are locally finite. Therefore the new vertices of  $\bigcup_{j, \sigma_j^3 \in \tau} A_2^0(\sigma_j)$  are not accumulating in  $W^3$  except at infinity. Since everything takes place in some small convex region we derive that the edges in  $\bigcup_{\sigma^3 \in \tau} A_2^1(\sigma)$  (which are viewed as geodesics in  $W^3$ ) do not have accumulating points either. Notice that the geodesics are unique in the flat structure of  $W^3$ . Since the simplexes are affine we derive that no  $k$ -simplexes (from those whose vertices are in  $\bigcup_{j, \sigma_j^3 \in \tau} A_2^0(\sigma_j)$ ) have accumulating points.

It remains to look at the edges introduced at the second step. Assume that in the induction process, when we pass from the stage  $n$  to  $n + 1$  we have to add some new edge. The image by  $\pi$  of such an edge  $e \in B_2^1$  is either one edge of  $\tau$  or else a vertex of  $\tau$ . The second case corresponds to the following situation: we have two vertices  $v_1$  and  $v_2$  having the same image  $x$  by  $\pi$ . These two may appear either at the same stage of the enumeration (so that their perturbed images by  $f$  will belong to the same simplex), or else in different places. But then the images are sitting inside two simplexes, say  $\sigma_1$  and  $\sigma_2$ , having the vertex  $x$  in common. The first case leads to the following: the images are sitting in  $\sigma_1$  and  $\sigma_2$ , such that there exists a 1-dimensional simplex  $e$  having one endpoint

on  $\sigma_1$  and the other one on  $\sigma_2$ . The other edges in  $B_3^1 - B_2^1$  were added inside a convex cell, in order to complete the partition into a partition with smaller convex cells.

We claim now that the new edges cannot be too long: in fact, by the triangle inequality, the length of a new edge in a compact ball  $R$  is at most 3 times the longest (old) edge in that ball. We used compacts because all the choices we made were local, and the upper bound on the edge length is uniform (in [7] the initial triangulation is chosen with simplexes which become smaller and smaller when the distance from a fixed point goes to infinity). This argument shows that the new edges have not accumulating points except at infinity. For a generic choice of  $A^0(\sigma_j)$  the affine  $k$ -simplexes are in general position. Since the edges are not accumulating somewhere, the  $k$ -simplexes are not accumulating either. This proves that  $f$  is proper.  $\square$

## 4 The proof of lemma 2.3

We consider now the central object in this section, namely the canonical diagram

$$\begin{array}{ccc} \theta & \longrightarrow & \theta/\Psi_\infty \\ \lambda^\infty \searrow & & \downarrow \overline{\lambda^\infty} \\ & & W^3 \end{array}$$

The map  $\overline{\lambda^\infty}$ , which we obtained after factorization, is known to be an immersion from the definition of  $\Psi$ .

**Lemma 4.1** *The map  $\overline{\lambda^\infty}$  is a simplicial isomorphism between  $\theta/\Psi_\infty$  and  $\tau_W$ .*

*Proof:* Consider the sub-complex  $i(\tau_W) \subset \theta$ . There is an induced map  $\iota : i(\tau_W)/\Psi_\infty \longrightarrow \theta/\Psi_\infty$  and we have the following commutative diagram

$$\begin{array}{ccccc} i(\tau_W)/\Psi_\infty & \xrightarrow{\iota} & \theta/\Psi_\infty & \xrightarrow{\overline{\lambda^\infty}} & \tau_W \\ \uparrow & & \uparrow & \nearrow \lambda^\infty & \\ i(\tau_W) & \hookrightarrow & \theta & & \\ \uparrow & \nearrow i & & & \\ \tau_W & & & & \end{array}$$

Then we have the following:

**Claim 1:** The map  $\alpha = \overline{\lambda^\infty} \circ \iota : i(\tau_W)/\Psi_\infty \longrightarrow \tau_W$  is a simplicial isomorphism.

*Proof:* In fact the map  $\alpha$  is

- *surjective* since  $\alpha(i(\tau_W)/\Psi_\infty) = \overline{\lambda^\infty} \circ i(\tau_W) = \lambda^\infty \circ i(\tau_W) = \tau_W$ .
- *simplicial* as a composition of simplicial maps.
- an *immersion* because  $\Psi_\infty(\lambda^\infty \circ i) \subset \Psi_\infty$ ; this may be rephrased by saying that, once we kill all the singularities, then a fortiori the singularities lying in  $i(\tau_W)$  are killed.
- *injective* because the composition  $\alpha \circ \beta = id$ , where  $\beta$  is the vertical map in the diagram going from  $\tau_W$  to  $i(\tau_W)/\Psi_\infty$ .  $\square$

**Claim 2:** Consider the simplicial complex (or cellulation)  $\tau$  which has a strongly connected 3-skeleton. Assume that we pass from  $\tau$  to another complex  $\tau'$  by using one of the following transformations:

1. by subdivisions (or respectively, by a proper family of bisections).
2. we replace  $\tau$  by  $ske^3\tau$ .
3. assume that  $f$  is a non-degenerate simplicial map, and  $\tau' = \tau/\Psi(f)$ .

Then  $\tau'$  has strongly connected 3-skeleton, too.

*Proof:* Obvious.  $\square$

**Claim 3:** The map  $\iota : i(\tau_W)/\Psi_\infty \longrightarrow \theta/\Psi_\infty$  is surjective.

*Proof:* Assume the contrary holds. Then, for some 3-simplex  $\sigma \subset \theta/\Psi_\infty$  we will have  $int(\sigma) \cap Im(\iota) = \emptyset$ . But we know that  $\theta$  is strongly connected henceforth  $\theta/\Psi_\infty$  is strongly connected, so that any two 3-simplexes can be joined by a continuous chain of 3-simplexes. This follows from the previous claim. Notice that this is the only place where the third condition in the definition of the enlargement is used. It follows that there exists some  $\sigma$  with  $int(\sigma) \cap Im(\iota) = \emptyset \neq \sigma \cap Im(\iota)$ . But we have seen above that  $\overline{\lambda^\infty}(\iota \circ i(\tau_W)/\Psi_\infty) = \tau_W$ , so that any point  $z \in \partial\sigma \cap Im(\iota)$  would be singular for  $\overline{\lambda^\infty}$ . But this is a contradiction because  $\overline{\lambda^\infty}$  is an immersion.  $\square$

Now  $\iota$  is obviously injective hence  $\overline{\lambda^\infty}$  is injective so that it is an isomorphism. This ends the proof of the lemma 4.1.  $\square$

The final argument is by now standard (see [7]): We have two bijections  $\theta/\Phi_\infty \xrightarrow{\sim} \tau_W$  (from the definition the quotient by  $\Phi_\infty$  is the image) and  $\theta/\Psi_\infty \xrightarrow{\sim} \tau_W$ . But we have also an inclusion among the two relations which induces a map  $\theta/\Psi_\infty \xrightarrow{\sim} \theta/\Phi_\infty$ , hence  $\Phi_\infty = \Psi_\infty$ .  $\square$

## 5 The proof of theorem 1.2

The simple homotopy type was introduced by Whitehead [17] and represents a refinement of the usual homotopy theory for finite complexes. Basically two finite simplicial complexes have the same simple homotopy type if, when they are embedded in an Euclidean space of sufficiently high dimension, their regular neighborhoods are PL-homeomorphic. Another way to get the simple homotopy is via Whitehead moves: we say that  $Y$  is obtained from the sub-complex  $X$  by an elementary expansion if  $int(Y - X)$  is one simplex whose closure intersects  $X$  along a disk which can be a face, or a connected union of several faces. We denote this by  $X \nearrow Y$ . The inverse operation, from  $Y$  to  $X$ , is denoted  $Y \searrow X$  and is called an elementary collapse. Now, by definition,  $X$  and  $Y$  have the same *simple homotopy type* if there exists a sequence of elementary moves  $X = X_0, X_1, \dots, X_k = Y$ , such that for each  $j$  we have either  $X_j \nearrow X_{j+1}$  or  $X_j \searrow X_{j+1}$ .

The obstruction for two homotopy equivalent complexes to be simply homotopy equivalent was formulated by Milnor in algebraic terms, via the Whitehead group associated to the fundamental group. This notion was extended by Siebenmann [13] to locally finite complexes, as follows: an elementary collapse of the locally finite complexes  $Y$  onto  $X$  is a set of an infinite number of disjoint collapses. This means that we have pairwise disjoint sub-complexes  $\{Z_j\}$  of  $Y$  such that  $Y = X \cup_{i=1}^\infty Z_i$ , and each  $Z_i \searrow Z_i \cap X$  is a finite sequence of elementary collapses. The inverse move is called an expansion. Now two locally finite complexes have the same *infinite simple homotopy type* if there exists a finite sequence of elementary collapses and expansions which transforms one simplicial

complex into the other. Observe that the infinite simple homotopy equivalence is finer than the proper homotopy equivalence. The obstructions that two proper homotopy equivalent complexes be infinite simple homotopy equivalent are algebraic too, and were described in [13].

The theorem 1.2 is a consequence of the following two lemmas:

**Lemma 5.1** *If  $X_1$  and  $X_2$  are simplicial complexes which are simple homotopy equivalent (if there are finite, then in the usual sense, if not we use Siebenmann's infinite proper simple homotopy equivalence) then there exists a finite dimensional complex  $Y$  such that  $Y \searrow X_i$ , for  $i = 1, 2$ .*

*Moreover if  $X_1$  is a manifold then  $Y$  may be chosen to be an enlargement of  $X_1$ .*

**Lemma 5.2** *If  $Y \searrow X$  and  $X$  is g.s.c. then  $Y$  is a g.s.c.*

*Proof of the theorem:* In fact if  $W^3$  is (infinite proper) simply homotopy equivalent to a locally finite simplicial complex  $P$  and  $P$  is g.s.c. then there is an enlargement of  $W^3$  which collapses on  $P$ . By the second lemma this enlargement will be a g.s.c. and, by the theorem 1.1,  $W^3$  is simply connected at infinity.  $\square$

*Proof of lemma 5.1:* The first part of this lemma (for finite complexes) was already formulated as proposition 5.5. in [4], p. 31. Not only  $Y$  is finite dimensional but its dimension is a priori bounded by  $\max(\dim X_1 + 1, \dim X_2, 3) + 1$ . A stronger result of Cohen [2] states that  $Y$  can be taken as the product  $X_1 \times B^n$ , for  $n \geq \dim X_i \geq 3$ , and  $n \geq 7$ , for 2-dimensional complexes.

In the non-compact case we have to notice that in the family of deformations (elementary collapsings or dilatations), which allow to pass from  $X_1$  to  $X_2$ , everything is proper: only a finite number of deformations touch a given compact, and its transformations. Therefore we can change the order of the expansions and contractions, at each finite stage. This implies that we can use first only dilatations (an infinity of such) and further we realize all the collapsings.

A transfinite recurrence provides us with a simplicial complex  $Y$  which is the result of all expansions in the sequence which transforms  $X_1$  into  $X_2$ . The main property of this complex  $Y$  is that it must be properly obtained from  $X_1$ . This means that, as in the previous case, a fixed compact of  $X_1$  is touched by only a finite number of expansion cells. Let  $Z_1 = Z(X_1)$  be the first floor added, i.e. the union of  $X_1$  with all those cells whose closure touch  $X_1$ . Consider next  $Z_2 = Z(Z_1)$ , and so on. The properness is equivalent to the fact that, for any compact  $K \subset X_1$ , there are only a finite number of floors which can be reached: for some fixed  $n = n(K)$  we have  $Z_j(K) \subset Z_{n(K)}$ , for all  $j$ . Here  $K$  was supposed to be a sub-complex of  $X_1$ , and the tower  $Z_*$  is built up in the obvious manner. This follows directly from the definition of the infinite proper simple homotopy.

Therefore we obtain a simplicial complex  $Y$  such that  $Y \searrow X_i$ . Since  $Y$  can be obtained by an infinite number of expansions from  $X$ , then  $X$  is automatically PL embedded in  $Y$ . On the other hand consider the inverse (projection) map induced by the collapsings. Since every compact  $K$  sees only a finite number of floors  $Z_j$ , the projection map is proper.

It remains to deal with the third property of the enlargement. First of way we remark that  $Y \times D^n \searrow X_1 \times D^n \searrow X_1$ . Then  $Y \times D^n$  has a specific cellulation: one replace each cell  $D^k$  of  $Y$  by  $D^k \times D^n$ , which is identified to  $D^{k+n}$ . Of course we have no more a simplicial complex. Moreover this cellulation has a refinement as a simplicial complex, by dividing each prism  $D^k \times D^n$  (both cells are simplexes) into simplexes. Each collapsing (coming from a cell  $c$ ) at the  $Y$  level is realized by a sequence of collapsings corresponding to the set of simplexes in which  $c \times D^n$  splits. A simple



argument shows now that  $Y \times D^n$  has strongly connected 3-skeleton if  $n \geq 3$ . So we can choose  $Y \times D^n$  to be the wanted enlargement. Remark also that the result of [2] extends to the non-compact case, and  $Y$  can be chose as a product of  $X_1$  with a ball of sufficiently high dimension.  $\square$

Remark that the third condition from definition 1.1 says that the enlargement is no far from being a manifold. The trick used above was suggested by the fact that the product of a locally finite complex with the Hilbert cube is an infinite dimensional manifold (see [1]).

*Proof of lemma 5.2:* Let  $e_i$  denotes the composition of the first  $i$  dilatations from the infinite family which constructs  $Y$  beginning from  $X_1$ . Let  $K_i$  be an exhaustion by connected and simple connected compact sub-complexes of  $X$ . Then  $e_i(K_i)$  is an exhaustion of  $Y$  by connected and simple connected sub-complexes, which shows that  $Y$  is g.s.c..  $\square$

## 6 Appendix: the $\Phi/\Psi$ -theory

For the sake of completeness we recall here some of the basic tools of this paper, which were originally introduced and used by Poénaru in [6, 7].

Let  $f : P \rightarrow M^3$  be a non-degenerate simplicial map between the locally finite simplicial complex  $P$  and the 3-manifold  $M$ . The *equivalence relation defined by  $f$*  is  $\Phi(f) \subset P \times P$  given by

$$(x, y) \in \Phi(f) \text{ iff } fx = fy.$$

It is clear that  $P/\Phi(f)$  is just the image  $fP$ .

The other relation,  $\Psi(f)$  is introduced in order to see whether it is possible to exhaust all singularities of  $fP$  by folding maps, and it is also called the equivalence relation which is commanded by the singularities of  $f$ . A *folding* map corresponds to the following situation: if  $x \in \sigma_1$ , and  $y \in \sigma_2$  are two points of  $P$  lying on the simplexes  $\sigma_i$  of same dimension, if  $fx = fy$  and  $f\sigma_1 = f\sigma_2$  then we wish to identify firstly  $f\sigma_1$  to  $f\sigma_2$ . When we pass to such a quotient (by a folding) the induced map remains simplicial.

The equivalence relation  $\Psi(f) \subset \Phi(f)$  is completely characterized by the following two properties:

- If  $\bar{f}$  denotes the induced map  $P/\Psi(f) \rightarrow M^3$  then,  $\bar{f}$  is an immersion<sup>6</sup> (i.e. it has no singularities).
- There is no  $R \subset \Phi(f)$ , equivalence relation, smaller than  $\Psi(f)$  having the first property. Thus,  $\Psi(f)$  is the smallest equivalence relation compatible with  $f$  which kills all the singularities.

Furthermore the projection map  $\pi : P \rightarrow P/\Psi(f)$  induces a surjection on fundamental groups  $\pi_* : \pi_1(P) \rightarrow \pi_1(P/\Psi(f))$ . In particular if  $P$  is simply connected then  $P/\Psi(f)$  is simply connected too. Remark that also the strongly connectivity of the 3-skeleton is preserved when passing from  $P$  to  $P/\Psi(f)$ .

Roughly speaking, the construction of  $P/\Psi(f)$  is given by considering the quotients, obtained recurrently, by all foldings commanded by the singular points of  $f$ . In this way all singularities will disappear, one after the other, and no new others are created. Specifically, let  $z$  be a singular point and  $\sigma_i$  two simplexes containing  $z$ , having the same dimension and the same image by  $f$ . Consider

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<sup>6</sup>The point  $z$  is singular for  $f$  if the restriction of  $f$  to the star of  $z$  is not immersive. Alternatively, there exist two distinct simplexes  $\sigma_1$  and  $\sigma_2$  such that  $z \in \sigma_1 \cap \sigma_2$  and  $f(\sigma_1) = f(\sigma_2)$ .

the quotient  $P'$  of  $P$ , obtained by identifying  $\sigma_1$  to  $\sigma_2$ . The map  $f$  induces a simplicial non-degenerate map  $f' : P' \rightarrow M^3$ . If  $f'$  is not an immersion it has a singular point, say  $z' \in P'$ , and therefore some simplexes  $\sigma'_i$ , as above. We consider next the quotient  $P''$  of  $P'$  commanded by the singular point  $z'$  and so on. If  $P$  is a finite simplicial complex this process stops when we get an immersion  $f^{(n)} : P^{(n)} \rightarrow M^3$ . The quotient  $P^{(n)}$  is in this case  $P/\Psi(f)$ . If  $P$  is not finite, we need a transfinite recurrence to construct the analogous immersion.

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