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An Arnold-type principle for non-smooth objects

Lev Buhovsky, Vincent Humilière, Sobhan Seyfaddini

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Abstract

In this article we study the Arnold conjecture in settings where objects under consideration are no longer smooth but only continuous. The example of a Hamiltonian homeomorphism, on any closed symplectic manifold of dimension greater than 2, having only one fixed point shows that the conjecture does not admit a direct generalization to continuous settings. However, it appears that the following Arnold-type principle continues to hold in C^0 settings: Suppose that X is a non-smooth object for which one can define spectral invariants. If the number of spectral invariants associated to X is smaller than the number predicted by the (homological) Arnold conjecture, then the set of fixed/intersection points of X is homologically non-trivial, hence it is infinite.

We recently proved that the above principle holds for Hamiltonian homeomorphisms of closed and aspherical symplectic manifolds. In this article, we verify this principle in two new settings: C^0 Lagrangians in cotangent bundles and Hausdorff limits of Legendrians in 1-jet bundles which are isotopic to 0-section.

An unexpected consequence of the result on Legendrians is that the classical Arnold conjecture does hold for Hausdorff limits of Legendrians in 1-jet bundles.

Contents

1	Introduction and main results	2
2	Preliminaries from symplectic geometry	5
2.1	Symplectic & Hamiltonian homeomorphisms	6
2.2	Hofer's distance	7
3	Preliminaries on spectral invariants	7
3.1	Min-max critical values and Lusternik-Schnirelmann theory .	7
3.2	Spectral invariants for Lagrangians	8
3.3	Spectral invariants for Legendrians via generating functions .	11

4	C^0 Lagrangians and proof of Theorem 1.1	12
4.1	Spectral invariants for C^0 Lagrangians	12
4.2	Proof of Theorem 1.1	17
5	Hausdorff limits of Legendrians and proof of Theorem 1.4	18

1 Introduction and main results

The Arnold conjecture states that a Hamiltonian *diffeomorphism* of a closed and connected symplectic manifold (M, ω) must have at least as many fixed points as the minimal number of critical points of a smooth function on M . The classical Lusternik-Schnirelmann theory shows that this minimal number is always at least the *cup length* of M , a topological invariant of M defined as¹

$$\text{cl}(M) := \max\{k + 1 : \exists a_1, \dots, a_k \in H_*(M), \forall i, \deg(a_i) \neq \dim(M) \text{ and } a_1 \cap \dots \cap a_k \neq 0\}.$$

Therefore, a natural interpretation of the Arnold conjecture, sometimes referred to as the homological Arnold conjecture, is that a Hamiltonian diffeomorphism of (M, ω) must have at least $\text{cl}(M)$ fixed points.² Successful efforts at resolving this conjecture were pioneered by Floer [7, 8, 10] and led to the development of what is now called Floer homology. The original version of the Arnold conjecture has been proven on symplectically aspherical manifolds [31], [9], [12] while the homological version has been proven on a larger class of manifolds, *e.g.* $\mathbb{C}P^n$ by Fortune-Weinstein [11], and symplectic manifolds which are negatively monotone by Lê-Ono [21].

The Arnold conjecture admits reformulations for symplectic objects other than Hamiltonian diffeomorphisms: For example, a Lagrangian version of the conjecture states that in a cotangent bundle T^*N , a Lagrangian submanifold which is Hamiltonian isotopic to the zero section must have at least $\text{cl}(N)$ intersection points with the zero section O_N (See [12, 20]). Here is a Legendrian reformulation of this last statement: a Legendrian submanifold in a 1-jet bundle $J^1N = T^*N \times \mathbb{R}$, which is isotopic to the zero section through Legendrians, must have at least $\text{cl}(N)$ intersections with the 0-wall $O_N \times \mathbb{R}$.³

The goal of this article is to understand the Arnold conjecture in settings where objects under consideration are no longer smooth but only continuous.

¹Here, \cap refers to the intersection product in homology. The cup length can be equivalently defined in terms of the cup product in cohomology.

²Note that we do not make any assumptions regarding non-degeneracy of Hamiltonian diffeomorphisms here.

³Sandon has recently presented a reformulation of the Arnold conjecture for contactomorphisms; see [32, 33].

Although the Arnold conjecture is true for Hamiltonian homeomorphisms of surfaces [25], we showed in [3] that every closed and connected symplectic manifold of dimension at least 4 admits a Hamiltonian homeomorphism with a single fixed point.

In spite of the counter-example from [3], it appears that certain reformulations of the Arnold conjecture do survive in C^0 settings. These reformulations, which involve counting fixed/intersection points and certain “homologically essential” critical values of the action (*i.e. spectral invariants*), are inspired by the following statement from Lusternik–Shnirelman theory:

Let f be a smooth function on a closed manifold M . If the number of homologically essential critical values of f is smaller than $\text{cl}(M)$, then the set of critical points of f is homologically non-trivial.

The above statement can be deduced from Proposition 3.1. Homologically essential critical values, which are usually referred to as *spectral invariants* in the symplectic literature, are defined in Section 3.1. A subset $A \subset M$ is homologically non-trivial if for every open neighborhood U of A the map $i_* : H_j(U) \rightarrow H_j(M)$, induced by the inclusion $i : U \hookrightarrow M$, is non-trivial for some $j > 0$. Clearly, homologically non-trivial sets are infinite.

The reformulations of the Arnold conjecture which continue to hold in C^0 settings may be summarized as follows:

Principle 1. *Suppose that X is a non-smooth object for which one can define spectral invariants. If the number of spectral invariants associated to X is smaller than the number predicted by the homological Arnold conjecture, then the set of fixed/intersection points of X is homologically non-trivial, hence it is infinite.*

In our recent article [2], we established the above principle for Hamiltonian homeomorphisms of symplectically aspherical manifolds: Suppose that (M, ω) is closed, connected, and symplectically aspherical. In Theorem 1.4 of [2] we prove that if ϕ is a Hamiltonian homeomorphism of (M, ω) with fewer spectral invariants than $\text{cl}(M)$, then the set of fixed points of ϕ is homologically non-trivial. A variant of this statement for negative monotone symplectic manifolds and for complex projective spaces has been proven by Y. Kawamoto in [17].

The main results of this article establish Principle 1 in two more contexts: C^0 Lagrangians in cotangent bundles and Hausdorff limits of Legendrians in 1-jet bundles.

C^0 Lagrangians: Consider the cotangent bundle T^*N of a closed manifold N and denote by O_N its zero section. As we will see in Section 4, (Lagrangian) spectral invariants can be defined for a C^0 Lagrangian of the form $L = \phi(O_N)$ where ϕ is a compactly supported Hamiltonian homeomorphism of T^*N ; this is proven in Theorem 4.1. We call such a C^0 Lagrangian “a

C^0 Lagrangian Hamiltonian homeomorphic to the zero section". It is not difficult to see that in this setting our principle translates to the following statement.

Theorem 1.1. *Let ϕ denote a compactly supported Hamiltonian homeomorphism of T^*N and suppose that $L = \phi(O_N)$. If the number of spectral invariants of L is smaller than $\text{cl}(N)$, then $L \cap O_N$ is homologically non-trivial, hence it is infinite.*

REMARK 1.2. We expect that by adapting the construction of the counterexample in [3], one should be able to construct L as in the above theorem such that $L \cap O_N$ is a singleton. Of course, as a consequence of the theorem, such L must have at least $\text{cl}(N)$ distinct spectral invariants. ◀

REMARK 1.3. It is reasonable to ask if in the above theorem the hypothesis $L = \phi(O_N)$ could be weakened to L being the Hausdorff limit of a sequence L_i , where each L_i is Hamiltonian isotopic to the zero section. This is related to a conjecture of Viterbo; see also Remark 4.4 below. ◀

Hausdorff limits of Legendrians: As we will show in Section 5, one can associate spectral invariants to the Hausdorff limit of a sequence of Legendrians which are contact isotopic to the zero section in a 1-jet bundle J^1N . The interpretation of our principle in this case turns out to be particularly interesting for the following reason: Consider an intersection point $(q, 0, z)$ between such a Legendrian L and the 0-wall. This point corresponds to a critical point of the action and the associated critical value is z . In other words, the critical value can be read directly from the intersection point. It follows that in this context Principle 1 implies the Arnold conjecture itself!

As explained above, for a smooth Legendrian L the action spectrum is given by $\text{spec}(L) = \pi_{\mathbb{R}}(L \cap (O_N \times \mathbb{R}))$, where $\pi_{\mathbb{R}} : J^1N = T^*N \times \mathbb{R} \rightarrow \mathbb{R}$ is the natural projection. By analogy, we will define the *spectrum* of any subset $L \subset J^1N$ to be

$$\text{spec}(L) = \pi_{\mathbb{R}}(L \cap (O_N \times \mathbb{R})).$$

Theorem 1.4. *Let L_i be a sequence of Legendrian submanifolds in J^1N which are contact isotopic to the zero section $O_N \times \{0\}$. Suppose that this sequence has a limit L for the Hausdorff distance, where $L \subset J^1N$ is a compact subset.*

Assume that the cardinality $\text{spec}(L)$ is strictly less than $\text{cl}(N)$. Then, there exists $\lambda \in \text{spec}(L)$ such that $L \cap (O_N \times \{\lambda\})$ is homologically non-trivial in $O_N \times \{\lambda\}$. In particular, $L \cap (O_N \times \mathbb{R})$ is infinite.

Note that we make no assumptions with regards to regularity of L . In fact, we do not even require L to be a C^0 submanifold of J^1N .

REMARK 1.5. A careful examination of the proof of Theorem 1.4 reveals that the assumption of Hausdorff convergence of L_i to L can be relaxed to the following: any neighborhood of L contains L_i for i large. ◀

REMARK 1.6. In an ongoing project [16], the second author and N. Vichery show that Principle 1 can also be established for singular supports of sheaves (belonging to a certain subcategory of sheaves introduced by Tamarkin). These singular supports can be seen as (singular) generalizations of Legendrian submanifolds. ◀

Organization of the paper

In Section 2, we recall some basic notions from symplectic geometry. In Section 3, we introduce preliminaries on Lusternik-Schnirelmann theory and spectral invariants.

Section 4 is dedicated to establishing Principle 1 for C^0 Lagrangians Hamiltonian homeomorphic to the zero section. The main technical step for doing so, which is of independent interest, consists of proving that Lagrangian spectral invariants can be defined for such C^0 Lagrangians. This is achieved in Section 4.1; see Theorem 4.1 therein. Theorem 1.1 is proven in Section 4.2. Lastly, Theorem 1.4 is proven in Section 5.

Acknowledgments

Lemma 4.5 was proven jointly with Rémi Leclercq. We are grateful to him for generously sharing his ideas with us. Our proofs of Theorems 1.1 and 1.4 were inspired by the paper of Wyatt Howard [14].

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2 Preliminaries from symplectic geometry

For the remainder of this section (M, ω) will denote a connected symplectic manifold. Recall that a symplectic diffeomorphism is a diffeomorphism

$\theta : M \rightarrow M$ such that $\theta^*\omega = \omega$. The set of all symplectic diffeomorphisms of M is denoted by $\text{Symp}(M, \omega)$. Hamiltonian diffeomorphisms constitute an important class of examples of symplectic diffeomorphisms. These are defined as follows: A smooth Hamiltonian $H \in C_c^\infty([0, 1] \times M)$ gives rise to a time-dependent vector field X_H which is defined via the equation: $\omega(X_H(t), \cdot) = -dH_t$. The Hamiltonian flow of H , denoted by ϕ_H^t , is by definition the flow of X_H . A compactly supported Hamiltonian diffeomorphism is a diffeomorphism which arises as the time-one map of a Hamiltonian flow generated by a compactly supported Hamiltonian. The set of all compactly supported Hamiltonian diffeomorphisms is denoted by $\text{Ham}_c(M, \omega)$; this forms a normal subgroup of $\text{Symp}(M, \omega)$.

2.1 Symplectic & Hamiltonian homeomorphisms

We equip M with a Riemannian distance d . Given two maps $\phi, \psi : M \rightarrow M$, we denote

$$d_{C^0}(\phi, \psi) = \max_{x \in M} d(\phi(x), \psi(x)).$$

We will say that a sequence of compactly supported maps $\phi_i : M \rightarrow M$, C^0 -converges to ϕ , if there is a compact subset of M which contains the supports of all ϕ_i 's and if $d_{C^0}(\phi_i, \phi) \rightarrow 0$ as $i \rightarrow \infty$. Of course, the notion of C^0 -convergence does not depend on the choice of the Riemannian metric.

Definition 2.1. *A homeomorphism $\theta : M \rightarrow M$ is said to be symplectic if it is the C^0 -limit of a sequence of symplectic diffeomorphisms. We will denote the set of all symplectic homeomorphisms by $\text{Sympeo}(M, \omega)$.*

The Eliashberg–Gromov theorem states that a symplectic homeomorphism which is smooth is itself a symplectic diffeomorphism. We remark that if θ is a symplectic homeomorphism, then so is θ^{-1} . In fact, it is easy to see that $\text{Sympeo}(M, \omega)$ forms a group.

Definition 2.2. *A symplectic homeomorphism ϕ is said to be a Hamiltonian homeomorphism if it is the C^0 -limit of a sequence of Hamiltonian diffeomorphisms. We will denote the set of all Hamiltonian homeomorphisms by $\overline{\text{Ham}}(M, \omega)$.*

It is not difficult to see that $\overline{\text{Ham}}(M, \omega)$ forms a normal subgroup of $\text{Sympeo}(M, \omega)$. It is a long standing open question whether a smooth Hamiltonian homeomorphism, which is isotopic to identity in $\text{Symp}(M, \omega)$, is a Hamiltonian diffeomorphism; this is often referred to as the C^0 Flux conjecture; see [19, 36, 1].

We should add that alternative definitions for Hamiltonian homeomorphisms do exist within the literature of C^0 symplectic topology. Most notable of these is a definition given by Müller and Oh in [29]. A homeomorphism which is Hamiltonian in the sense of [29] is necessarily Hamiltonian

in the sense of Definition 2.2 and thus, the results of this article apply to the homeomorphisms of [29] as well.

2.2 Hofer's distance

We will denote the Hofer norm on $C_c^\infty([0, 1] \times M)$ by

$$\|H\| = \int_0^1 \left(\max_{x \in M} H(t, \cdot) - \min_{x \in M} H(t, \cdot) \right) dt.$$

The Hofer distance on $\text{Ham}(M, \omega)$ is defined via

$$d_{\text{Hofer}}(\phi, \psi) = \inf \|H - G\|,$$

where the infimum is taken over all H, G such that $\phi_H^1 = \phi$ and $\phi_G^1 = \psi$. This defines a bi-invariant distance on $\text{Ham}(M, \omega)$.

Given $B \subset M$, we define its *displacement energy* to be

$$e(B) := \inf \{d_{\text{Hofer}}(\phi, \text{Id}) : \phi \in \text{Ham}(M, \omega), \phi(B) \cap B = \emptyset\}.$$

Non-degeneracy of the Hofer distance is a consequence of the fact that $e(B) > 0$ when B is an open set. This fact was proven in [13, 30, 18].

3 Preliminaries on spectral invariants

We fix a ground field \mathbb{F} , e.g. \mathbb{Z}_2, \mathbb{Q} , or \mathbb{C} . Singular homology, Floer homology and all notions relying on these theories depend on the field \mathbb{F} .

3.1 Min-max critical values and Lusternik-Schnirelmann theory

Let $f \in C^\infty(M)$ a smooth function on a closed and connected manifold M . For any $a \in \mathbb{R}$, let $M^a = \{x \in M : f(x) < a\}$. Let $\alpha \in H_*(M)$ be a non-zero singular homology class and define

$$c_{\text{LS}}(\alpha, f) := \inf \{a \in \mathbb{R} : \alpha \in \text{Im}(i_a^*)\},$$

where $i_a^* : H_*(M^a) \rightarrow H_*(M)$ is the map induced in homology by the natural inclusion $i_a : M^a \hookrightarrow M$. The number $c_{\text{LS}}(\alpha, f)$ is a critical value of f and such critical values are often referred to as *homologically essential* critical values.

The function $c_{\text{LS}} : H_*(M) \setminus \{0\} \times C^\infty(M) \rightarrow \mathbb{R}$ is called a *min-max* critical value selector. In the following proposition $[M]$ denotes the fundamental class of M and $[pt]$ denotes the class of a point.

Proposition 3.1. *The min-max critical value selector c_{LS} possesses the following properties.*

1. $c_{\text{LS}}(\alpha, f)$ is a critical value of f ,
2. $c_{\text{LS}}([pt], f) = \min(f) \leq c_{\text{LS}}(\alpha, f) \leq c_{\text{LS}}([M], f) = \max(f)$,
3. $c_{\text{LS}}(\alpha \cap \beta, f) \leq c_{\text{LS}}(\alpha, f)$, for any $\beta \in H_*(M)$ such that $\alpha \cap \beta \neq 0$,
4. Suppose that $\deg(\beta) < \dim(M)$ and $c_{\text{LS}}(\alpha \cap \beta, f) = c_{\text{LS}}(\alpha, f)$. Then, the set of critical points of f with critical value $c_{\text{LS}}(\alpha, f)$ is homologically non-trivial.

The above are well-known results from Lusternik-Schnirelmann theory and hence we will not present a proof here. For further details, we refer the reader to [24, 6, 40].

3.2 Spectral invariants for Lagrangians

Let N be a closed manifold. The canonical symplectic structure on the cotangent bundle T^*N is induced by the form $\omega_0 = -d\lambda$ where $\lambda = pdq$. We will denote by Lag the space of Lagrangian submanifolds of T^*N which are Hamiltonian isotopic to the zero section, i.e. $\text{Lag} := \{\phi(O_N) : \phi \in \text{Ham}_c(T^*N, \omega_0)\}$.

Consider $\phi \in \text{Ham}_c(T^*N, \omega_0)$ and let $L = \phi(O_N)$. We will briefly explain how one may associate Lagrangian spectral invariants to the Hamiltonian diffeomorphism ϕ . Pick a compactly supported Hamiltonian $H \in C_c^\infty([0, 1] \times T^*N)$ such that $\phi = \phi_H^1$. The action functional associated to H is defined by

$$\mathcal{A}_H : \Omega(T^*N) \rightarrow \mathbb{R}, \quad z \mapsto \int_0^1 H_t(z(t)) dt - \int z^* \lambda$$

where $\Omega(T^*N) = \{z : [0, 1] \rightarrow T^*N \mid z(0) \in O_N, z(1) \in O_N\}$. The critical points of \mathcal{A}_H are the chords of the Hamiltonian vector field X_H which start and end on O_N . Note that such chords are in one-to-one correspondence with $L \cap O_N$. The spectrum of \mathcal{A}_H consists of the critical values of \mathcal{A}_H . It is a nowhere dense subset of \mathbb{R} which turns out to depend only on the time-1 map ϕ_H^1 , hence we will denote it by $\text{Spec}(L; \phi)$.

Now, using Lagrangian Floer homology, in a manner similar to what was done in the previous section, one can define a mapping

$$\ell : H_*(N) \setminus \{0\} \times \text{Ham}_c(T^*N, \omega_0) \rightarrow \mathbb{R}$$

which associates to a homology class $a \in H_*(N) \setminus \{0\}$ a value in $\text{Spec}(L; \phi)$. These numbers are often referred to as the Lagrangian spectral invariants of ϕ . They were first introduced by Viterbo in [40] via generating function techniques. The Floer theoretic approach was carried out by Oh [27]. Lagrangian spectral invariants have many properties some of which are listed below. For a more comprehensive list of their properties, as well as a survey

of their construction, we refer the reader to [26]; see for example Theorems 2.11 and 2.17 in [26].

Proposition 3.2. *The map $\ell : H_*(N) \setminus \{0\} \times \text{Ham}_c(T^*N, \omega_0) \rightarrow \mathbb{R}$, satisfies the following properties:*

1. $\ell(a, \phi) \in \text{Spec}(L; \phi)$,
2. $|\ell(a, \phi_H^1) - \ell(a, \phi_G^1)| \leq \|H - G\|$,
3. $\ell(a \cap b, \phi\psi) \leq \ell(a, \phi) + \ell(b, \psi)$,
4. $\ell([pt], \phi) \leq \ell(a, \phi) \leq \ell([N], \phi)$,
5. $\ell([N], \phi) = -\ell([pt], \phi^{-1})$,
6. *If $\phi(O_N) = \psi(O_N)$, then $\exists C \in \mathbb{R}$ such that $\ell(a, \phi) = \ell(a, \psi) + C$ for all $a \in H_*(N) \setminus \{0\}$,*
7. *Suppose that $f : N \rightarrow \mathbb{R}$ is a smooth function and define the Lagrangian $L_f := \{(q, \partial_q f(q)) : q \in N\}$. Denote by F any compactly supported Hamiltonian of T^*N which coincides with $\pi^*f = f \circ \pi$ on a ball bundle T_R^*N of T^*N containing L_f . Then, $\ell(a, \phi_F^1) = c_{LS}(a, f)$ for all $a \in H_*(N) \setminus \{0\}$.*
8. *For any other manifold N' , the spectral invariants on $T^*(N \times N')$ satisfy*

$$\ell(a \otimes a', \phi \times \phi') = \ell(a, \phi) + \ell(a', \phi'),$$

*for all $\phi \in \text{Ham}_c(T^*N, \omega)$, $\phi' \in \text{Ham}_c(T^*N', \omega)$, $a \in H_*(N) \setminus \{0\}$ and $a' \in H_*(N') \setminus \{0\}$.*

Note that the sixth property above tells us that spectral invariants $\ell(a, \phi)$ are essentially invariants of the Lagrangian $L := \phi(O_N)$. As a consequence of this property, the set of spectral invariants of L is well-defined upto a shift by a constant. In particular, we can make sense of the total number of spectral invariants of any Lagrangian L which is Hamiltonian isotopic to the zero section. Similarly, we see that $\gamma : \text{Lag} \rightarrow \mathbb{R}$, defined by

$$\gamma(\phi(O_N)) := \ell([N], \phi) - \ell([pt], \phi) \tag{1}$$

is well-defined, *i.e.* it only depends on the Lagrangian $\phi(O_N)$ and not on ϕ . Viterbo showed in [40] that γ induces a non-degenerate distance on Lag .

Finally, we should mention that Lagrangian spectral invariants have been constructed in settings more general than what is described above by Leclercq [22] and Leclercq-Zapolsky [23].

Hamiltonian Spectral Invariants: In order to prove that Lagrangian spectral invariants can be defined for C^0 Lagrangians Hamiltonian homeomorphic to the zero section, that is to prove Theorem 4.1 below, we will

need to use certain results from the theory of Hamiltonian spectral invariants. Here, we will briefly recall the aspects of this theory which will be needed below. For further details on the construction of these invariants see [34, 28]. The specific result used here, which compares Lagrangian and Hamiltonian spectral invariants, was proven in [26].

Given $\phi \in \text{Ham}_c(T^*N, \omega_0)$ and $a \in H_*(N) \setminus \{0\}$, using Hamiltonian Floer homology, one can define the Hamiltonian spectral invariant $c(a, \phi)$; this is a real number which belongs to the (Hamiltonian) action spectrum of ϕ , *i.e.* there exists a fixed point of ϕ whose action is the value $c(a, \phi)$. These spectral invariants satisfy a list of properties similar to those listed in Proposition 3.2. We will be needing the following property which is proven in [26]: For any $\phi \in \text{Ham}_c(T^*N, \omega_0)$ and any $a \in H_*(N) \setminus \{0\}$ we have

$$c([pt], \phi) \leq \ell(a, \phi) \leq c([N], \phi). \quad (2)$$

See Proposition 2.14 and item *iv* of Theorem 2.17 in [26].

Similarly to Equation (1), we define $\gamma : \text{Ham}_c(T^*N, \omega_0) \rightarrow \mathbb{R}$ via

$$\gamma(\phi) := c([N], \phi) - c([pt], \phi). \quad (3)$$

Like its Lagrangian cousin, γ induces a non-degenerate distance on $\text{Ham}_c(T^*N, \omega_0)$. We will need the following properties:

1. **Comparison Inequality:** As an immediate consequence of Equation 2, the Lagrangian version of γ is smaller than the Hamiltonian version. More precisely, for any $\phi \in \text{Ham}_c(T^*N, \omega_0)$ we have

$$\gamma(\phi(O_N)) \leq \gamma(\phi). \quad (4)$$

2. **Conjugacy Invariance:** For any $\phi \in \text{Ham}_c(T^*N, \omega_0)$ and any symplectic diffeomorphism ψ of T^*N , we have

$$\gamma(\phi) = \gamma(\psi\phi\psi^{-1}). \quad (5)$$

3. **Triangle Inequality:** For any $\phi, \psi \in \text{Ham}_c(T^*N, \omega_0)$, we have

$$\gamma(\phi\psi) \leq \gamma(\phi) + \gamma(\psi). \quad (6)$$

4. **Energy-Capacity Inequality:** Suppose that the support of ϕ can be displaced, then

$$\gamma(\phi) \leq 2e(\text{supp}(\phi)), \quad (7)$$

where $e(\text{supp}(\phi))$ is the displacement energy of $\text{supp}(\phi)$.

3.3 Spectral invariants for Legendrians via generating functions

Once again let N be a closed manifold. The standard contact structure on the 1-jet bundle $J^1N = T^*N \times \mathbb{R}$ is induced by the contact form $\alpha = dz - \lambda$, where z is the coordinate on \mathbb{R} . We will denote by Leg the space of Legendrian submanifolds of J^1N which are contact isotopic to the zero section. It was proven by Chaperon [4] and Chekanov [5] that for every $L \in \text{Leg}$ there exists a generating function quadratic at infinity (gfqi) $S : N \times E \rightarrow \mathbb{R}$, where E is some auxiliary vector space, such that

$$L = \left\{ \left(q, \frac{\partial S}{\partial q}(q, e), S(q, e) \right) : \frac{\partial S}{\partial e}(q, e) = 0 \right\}.$$

Observe that critical points of S correspond to the intersection points of L with the zero wall $O_N \times \mathbb{R}$: (q, e) is a critical point of S if and only if $(q, 0, S(q, e))$ is a point on L . Note that one can obtain the critical value of a given critical point of S by simply reading the z -coordinate of the corresponding intersection point of L with the zero wall.

By applying a min-max construction similar to that of Section 3.1 to the gfqi S , one can define Legendrian spectral invariants of the Legendrian L :

$$\ell : H_*(N) \setminus \{0\} \times \text{Leg} \rightarrow \mathbb{R}.$$

The fact that $\ell(a, L)$ does not depend on the choice of the gfqi S is a consequence of the uniqueness theorem of Théret and Viterbo [39, 40]. For further details on the construction see [41].

We will now state those properties of Legendrian spectral invariants which will be used below.

Proposition 3.3. *[See [41]] The map $\ell : H_*(N) \setminus \{0\} \times \text{Leg} \rightarrow \mathbb{R}$, satisfies the following properties:*

1. $\ell(a, L)$ is a critical value of the corresponding gfqi S ,
2. The map $\ell(a, \cdot) : \text{Leg} \rightarrow \mathbb{R}$ is continuous with respect to the C^∞ topology,
3. $\ell(a \cap b, L + L') \leq \ell(a, L) + \ell(b, L')$, for all $L, L' \in \text{Leg}$ such that $L + L' := \{(q, p + p', z + z') : (q, p, z) \in L, (q, p', z') \in L'\}$ is a smooth Legendrian submanifold contact isotopic to the 0-section.
4. Suppose that $f : N \rightarrow \mathbb{R}$ is a smooth function and define the Legendrian $L_f := \{(q, \partial_q f(q), f(q)) : q \in N\}$. Then, $\ell(a, L_f) = c_{LS}(a, f)$ for all $a \in H_*(N) \setminus \{0\}$.

REMARK 3.4. A proof of item 3 in Proposition 3.3 is based on the following observation: If S, S' are gfqi's for L, L' , respectively, then $S \oplus S' : N \times E \times E' \rightarrow \mathbb{R}$ defined by $S \oplus S'(q, e, e') := S(q, e) + S'(q, e')$ is a gfqi for the Legendrian $L + L'$. ◀

4 C^0 Lagrangians and proof of Theorem 1.1

In this section, we give a proof of Theorem 1.1. We begin by giving a precise definition of compactly supported Hamiltonian homeomorphisms of T^*N .

Equip N with a Riemannian metric and denote by $T_r^*N := \{(q, p) \in T^*N : \|p\| < r\}$ the cotangent disc bundle of radius $r > 0$. We define $\text{Ham}_c(T_r^*N, \omega_0)$ to be the set of Hamiltonian diffeomorphisms whose support is contained in T_r^*N . A compactly supported Hamiltonian homeomorphism is a homeomorphism which belongs to the uniform closure of $\text{Ham}_c(T_r^*N, \omega_0)$ for some $r > 0$; we will denote their collection by $\overline{\text{Ham}}_c(T^*N, \omega_0)$.

4.1 Spectral invariants for C^0 Lagrangians

We will now prove that Lagrangian spectral invariants can be defined for C^0 Lagrangians of the form $L = \phi(O_N)$ where $\phi \in \overline{\text{Ham}}_c(T^*N, \omega_0)$. Below is the continuity result which allows us to define spectral invariants for such C^0 Lagrangians.

Theorem 4.1. *Lagrangian spectral invariants satisfy the following two properties:*

1. *For any homology class $a \in H_*(N) \setminus \{0\}$, the map*

$$\ell(a, \cdot) : \text{Ham}_c(T^*N, \omega_0) \rightarrow \mathbb{R}$$

*is continuous with respect to the C^0 topology on $\text{Ham}_c(T^*N, \omega_0)$ and extends continuously to the closure $\overline{\text{Ham}}_c(T^*N, \omega_0)$.*

2. *If $\phi(O_N) = \psi(O_N)$, then $\exists C \in \mathbb{R}$ such that $\ell(a, \phi) = \ell(a, \psi) + C$ for all $a \in H_*(N) \setminus \{0\}$ and for any $\phi, \psi \in \overline{\text{Ham}}_c(T^*N, \omega_0)$.*

Note that as a consequence of the second item, we can define the spectral invariants of a C^0 Lagrangian Hamiltonian homeomorphic to the zero section, upto shift. In particular, it makes sense to speak of the number of spectral invariants of such a C^0 Lagrangian.

The first part of the above theorem follows from techniques which have by now become rather standard in C^0 symplectic topology and hence, we will only sketch a proof of this part of the theorem. The second part of the statement, however, is based on a trick which was recently introduced in our article [2] in the course of proving C^0 continuity of spectral invariants for Hamiltonian diffeomorphisms; see Theorem 1.1 therein.

Proof of Theorem 4.1. We begin with the proof of the first statement. We will be needing the following claim.

Claim 4.2. *For every $r > 0$, there exist constants $C, \delta > 0$, depending on r , such that for any $\psi \in \text{Ham}_c(T_r^*N, \omega_0)$, if $d_{C^0}(\text{Id}, \psi) \leq \delta$, then $|\ell(a, \psi)| \leq Cd_{C^0}(\text{Id}, \psi)$.*

Proof of Claim 4.2. As a consequence of Inequality (2), it is sufficient to prove the result for the Hamiltonian spectral invariants. This is proved in [35] in the case of symplectically aspherical closed manifolds; see Theorem 1 therein. The proof given in [35] easily adapts to our settings. \square

Claim 4.2 proves continuity of our map at the identity. Next, we consider $\text{Id} \neq \phi \in \text{Ham}_c(T_r^*N, \omega_0)$. We leave it to the reader to check that Properties 3, 4 and 5 in Proposition 3.2 yield the following:

$$|\ell(a, \phi\psi) - \ell(a, \phi)| \leq \max\{|\ell([N], \psi)|, |\ell([pt], \psi)|\}.$$

Combining this with Claim 4.2 we conclude that for any $\phi, \psi \in \text{Ham}_c(T_r^*N, \omega_0)$

$$d_{C^0}(\text{Id}, \psi) \leq \delta \implies |\ell(a, \phi\psi) - \ell(a, \phi)| \leq C d_{C^0}(\text{Id}, \psi).$$

This proves that $\ell(a, \cdot) : \text{Ham}_c(T_r^*N, \omega_0) \rightarrow \mathbb{R}$ is locally Lipschitz continuous. Hence, it extends continuously to the closure $\overline{\text{Ham}}_c(T_r^*N, \omega_0)$. This finishes the proof of the first statement of the theorem. \square

We now turn our attention to the second statement of the theorem. We begin with the following apriori weaker statement.

Theorem 4.3. *Let $\phi \in \overline{\text{Ham}}_c(T^*N, \omega_0)$ be a Hamiltonian homeomorphism. If $\phi(O_N) = O_N$, then there exists a constant C such that $\ell(a, \phi) = C$ for all $a \in H_*(N) \setminus \{0\}$.*

Note that in the case where ϕ is a smooth Hamiltonian diffeomorphism, the above theorem reduces to Property 6 in Proposition 3.2.

REMARK 4.4. It can be checked that Theorem 4.3 is a consequence of the following conjecture of Viterbo: If $L_i \subset T^*N$ is a sequence of Lagrangians Hamiltonian isotopic to the zero section, which Hausdorff converges to the zero section O_N , then $\gamma(L_i) \rightarrow 0$. This conjecture has been established in several case by Shelukhin, e.g. $N = S^n, \mathbb{C}P^n, \mathbb{T}^n$ and others; See [37, 38]. \blacktriangleleft

Let us prove that the result follows from the above theorem. Suppose that $\phi(O_N) = \psi(O_N)$. First, note that, as a consequence of the third item in Proposition 3.2, we have the following inequality:

$$-\ell([N], \phi^{-1}\psi) \leq \ell(a, \phi) - \ell(a, \psi) \leq \ell([N], \psi^{-1}\phi).$$

Hence, it is sufficient to show that $\ell([N], \psi^{-1}\phi) = -\ell([N], \phi^{-1}\psi)$. Now, by the fifth item of Proposition 3.2, $-\ell([N], \phi^{-1}\psi) = \ell([pt], \psi^{-1}\phi)$ and by Theorem 4.3 we have $\ell([pt], \psi^{-1}\phi) = \ell([N], \psi^{-1}\phi)$.

It remains to prove Theorem 4.3. The proof we present below relies on an idea similar to what was used in the proof of Theorem 1.1 of [2].

Proof of Theorem 4.3. Pick a sequence ϕ_i in $\text{Ham}_c(T_\rho^*N, \omega_0)$ which converges uniformly to ϕ (for some $\rho > 0$). By Theorem 4.1, it is enough to show that there exists a constant C such that $\ell(a, \phi_i) \rightarrow C$ for any $a \in H_*(N) \setminus \{0\}$. Denote $L_i := \phi_i(O_N)$ and observe that, as a consequence of the fourth property in Proposition 3.2, it is sufficient to show that $\gamma(L_i)$ converges to zero.

As we will now explain, we may assume without loss of generality that ϕ admits a fixed point on the zero section O_N . Indeed, fix $p \in O_N$ and pick a Hamiltonian G which vanishes on the zero section such that $\phi \circ \phi_G^1(p) = p$. For all i , we have $\gamma(\phi_i \circ \phi_G^1) = \gamma(\phi_i)$, by the sixth item of Proposition 3.2. Thus, we can replace ϕ_i by $\phi_i \circ \phi_G^1$ and ϕ by $\phi \circ \phi_G^1$.

Observe that the Lagrangians L_i converge in Hausdorff topology to the zero section, *i.e.* for any $\delta > 0$ we have $L_i \subset T_\delta^*N$ for i sufficiently large. We will reduce the theorem to the following lemma which was obtained jointly with R. Leclercq. A variant of this lemma was established in [15]; see Lemma 8 therein.

Given $B \subset N$, we denote $T^*B := \{(q, p) \in T^*N : q \in B\}$ and $O_B := \{(q, 0) : q \in B\}$.

Lemma 4.5. *Let L_i denote a sequence of Lagrangians in T^*N which are Hamiltonian isotopic to O_N . Suppose that there exists a ball $B \subset N$ such that $L_i \cap T^*B = O_B$. If the sequence L_i Hausdorff converges to O_N , then $\gamma(L_i) \rightarrow 0$.*

Proof. Pick $\phi_i \in \text{Ham}_c(T^*N, \omega_0)$ such that $\phi_i(O_N) = L_i$. We begin with the following observation: Since $L_i \cap T^*B$ is connected, any two points $(q_1, 0), (q_2, 0) \in L_i \cap T^*B$ have the same action. Let C_i denote this value.

For any given $\varepsilon > 0$, pick a smooth function $f : N \rightarrow \mathbb{R}$ whose critical points are all contained in B and such that $\max(f) - \min(f) < \varepsilon$. Denote by $\pi : T^*N \rightarrow N$ the natural projection and define $F = \beta \pi^*f$ where $\beta : T^*N \rightarrow [0, 1]$ is compactly supported and $\beta = 1$ on T_R^*N where $R \gg 1$.

Note that $\phi_F^t(q, p) = (q, p + t df(q))$ for $t \in [0, 1]$ and $(q, p) \in T_1^*N$. Therefore, $\phi_F^1 \phi_i(O_N) = L_i + L_f$ where $L_i + L_f := \{(q, p + df(q)) : (q, p) \in L_i\}$. The Hausdorff convergence of the sequence L_i to O_N and the fact that $L_i \cap T^*B = O_B$ combine together to imply that $(L_i + L_f) \cap O_N = \{(q, 0) : df(q) = 0\}$ for i large enough.

It is easy to see that the action of $(q, 0) \in (L_i + L_f) \cap O_N$ is given by $C_i + f(q)$ where C_i is the constant introduced above. Therefore,

$$\gamma(L_i + L_f) \leq \max(f) - \min(f) < \varepsilon.$$

On the other hand, by the second property from Proposition 3.2, we have $|\gamma(L_i + L_f) - \gamma(L_i)| \leq 2(\max(f) - \min(f)) < 2\varepsilon$. Combining this with the previous inequality we obtain $\gamma(L_i) < 3\varepsilon$ for i large enough which proves the lemma. \square

The end of the proof of Theorem 4.3 will consist in reducing to Lemma 4.5. We will assume from now on that N has even dimension. The case where N has odd dimension reduces to the even dimensional case by replacing N with $N \times \mathbb{S}^1$ and all ϕ_i 's by $\phi_i \times \text{Id}_{\mathbb{S}^1}$.

We introduce for that the auxiliary maps

$$\begin{aligned}\Phi_i &= \phi_i \times \phi_i^{-1} : T^*N \times T^*N \rightarrow T^*N \times T^*N, \\ (x, y) &\mapsto (\phi_i(x), \phi_i^{-1}(y)),\end{aligned}$$

where we endow $T^*N \times T^*N$ with the symplectic form $\omega_0 \oplus \omega_0$; observe that this is canonically symplectomorphic to $T^*(N \times N)$ equipped with its canonical symplectic structure.

Denote $\bar{L}_i := \phi_i^{-1}(O_N)$ and note that $\Phi_i(O_{N \times N}) = L_i \times \bar{L}_i$. The map Φ_i is a Hamiltonian diffeomorphism which is not compactly supported. To obtain a compactly supported Hamiltonian diffeomorphism, we cut off the generating Hamiltonian of Φ_i far away from $O_{N \times N}$ and obtain a new Hamiltonian diffeomorphism which we will continue to denote by Φ_i . It is not difficult to see that Φ_i remains unchanged on a large enough neighborhood of the zero section and so $\Phi_i(O_{N \times N})$ continues to be $L_i \times \bar{L}_i$.

Properties 8 and 5 of Proposition 3.2 yield

$$\gamma(L_i \times \bar{L}_i) = \gamma(L_i) + \gamma(\bar{L}_i) = 2\gamma(L_i). \quad (8)$$

Our proof crucially relies on the following lemma.

Lemma 4.6. *Fix $\varepsilon > 0$. We can find a ball $B \subset N$, and $\Psi_i \in \text{Ham}_c(T^*N \times T^*N, \omega_0 \oplus \omega_0)$ such that the following properties hold :*

- (i) $\gamma(\Psi_i(O_{N \times N})) < \varepsilon$ for i sufficiently large,
- (ii) $\Psi_i \Phi_i(O_{N \times N})$ converges in Hausdorff topology to $O_{N \times N}$,
- (iii) $\Psi_i \Phi_i(O_{N \times N}) \cap T^*(B \times B) = O_{B \times B}$ for i sufficiently large.

We now explain why this lemma implies that $\gamma(L_i) \rightarrow 0$. Fix $\varepsilon > 0$ and let B and Ψ_i be as provided by Lemma 4.6. Using (8), the triangle inequality and the fifth property in Proposition 3.2, we get

$$\begin{aligned}\gamma(L_i) &= \frac{1}{2}\gamma(L_i \times \bar{L}_i) = \frac{1}{2}\gamma(\Phi_i(O_{N \times N})) \\ &\leq \frac{1}{2}\gamma(\Phi_i \circ \Psi_i(O_{N \times N})) + \frac{1}{2}\gamma(\Psi_i^{-1}(O_{N \times N})) \\ &< \frac{1}{2}\gamma(\Phi_i \circ \Psi_i(O_{N \times N})) + \frac{\varepsilon}{2}.\end{aligned}$$

The second and the third items of Lemma 4.6 allow us to apply Lemma 4.5 and conclude that $\gamma(\Phi_i \circ \Psi_i(O_{N \times N})) \rightarrow 0$. This implies that $\gamma(L_i) \rightarrow 0$. This concludes the proof of Theorem 4.3 assuming Lemma 4.6. \square

Proof of Lemma 4.6. Fix $\varepsilon > 0$. Pick a non-empty open ball B_1 in $N \simeq O_N$ containing a fixed point p of ϕ and such that the displacement energy of $U_1 := T_1^* B_1$ in T^*N is less than $\frac{\varepsilon}{4}$. Note that the displacement energy of $U_1 \times U_1$ inside $T^*(N \times N)$ is also less than $\frac{\varepsilon}{4}$.

The following claim asserts the existence of a convenient Hamiltonian diffeomorphism which switches coordinates on a small open set.

Claim 4.7. *There exist an open ball $B_2 \subset B_1$ containing the fixed point p , $0 < r_2 < 1$ and a Hamiltonian diffeomorphism f of $T^*N \times T^*N$ such that:*

- $f(O_{N \times N}) = O_{N \times N}$,
- f is the time-1 map of a Hamiltonian supported in $U_1 \times U_1$,
- for all $(x, y) \in U_2 \times U_2$, we have $f(x, y) = (y, x)$, where $U_2 := T_{r_2}^* B_2$.

Proof. Since N is assumed even dimensional, there is an identity isotopy, say φ_t , of $N \times N$ which is supported in $B_1 \times B_1$ with the following property: there exists a ball $B_2 \subset B_1$ containing p such that $\varphi_1(q_1, q_2) = (q_2, q_1)$ on $B_2 \times B_2$.

Let $\tilde{\varphi}_t$ denote the canonical lift of this isotopy to $T^*N \times T^*N$. The isotopy $\tilde{\varphi}_t$ is symplectic, it preserves $O_{N \times N}$, it is supported in $T^*B_1 \times T^*B_1$, and it can be checked that $\tilde{\varphi}_1(x, y) = (y, x)$ on $T^*B_2 \times T^*B_2$. Furthermore, the isotopy is Hamiltonian. Let H denote a generating Hamiltonian of the isotopy which is supported in $T^*B_1 \times T^*B_1$.

To construct our desired Hamiltonian diffeomorphism f , we simply replace H by βH where β is a smooth cut-off function on $T^*(N \times N)$ such that $\beta = 1$ on $T_{1-\delta}^*(N \times N)$, where δ is a small positive number, and $\beta = 0$ outside $T_1^*(N \times N)$. We set f to be the time-1 map of the Hamiltonian flow of βH and leave it to the reader to check that it satisfies the requirements of the claim. \square

We can now complete the proof of Lemma 4.6. Since $p \in B_2$, there exists a ball $B_3 \subset B_2$ and $0 < r_3 < r_2$ such that $\phi(U_3) \Subset U_2$ (i.e., $\phi(U_3)$ is compactly contained in U_2), where $U_3 := T_{r_3}^* B_3$.

Let $\Upsilon_i = \phi_i \times \text{Id}_{T^*N}$ and let

$$\Psi_i = \Upsilon_i^{-1} \circ f^{-1} \circ \Upsilon_i \circ f.$$

We will first show that $\gamma(\Psi_i(O_{N \times N})) < \varepsilon$. Note that by Equation (2), we have $\gamma(\Psi_i(O_{N \times N})) \leq \gamma(\Psi_i)$, where $\gamma(\Psi_i)$ is the Hamiltonian γ which was introduced above in Equation (3). Hence, it is sufficient to show that $\gamma(\Psi_i) < \varepsilon$. The triangle inequality for γ (Equation (6)) and its conjugacy invariance (Equation (5)) yield $\gamma(\Psi_i) \leq 2\gamma(f)$. Lastly, $\gamma(f) < \frac{\varepsilon}{2}$ because the displacement energy of its support is smaller than $\frac{\varepsilon}{4}$; see Equation (7). This implies Property (i) in Lemma 4.6.

Next, we will verify the second property in Lemma 4.6. Define $\Psi := \Upsilon^{-1} \circ f^{-1} \circ \Upsilon \circ f$, where $\Upsilon := \phi \times \text{Id}_{T^*N}$, and let $\Phi := \phi \times \phi^{-1}$. Since f, Υ and Φ preserve $O_{N \times N}$, we conclude that $\Phi \circ \Psi$ also preserves $O_{N \times N}$. Now, there exists a neighborhood of $O_{N \times N}$ where the sequences Ψ_i and Φ_i converge uniformly to Ψ and Φ , respectively. It follows that $\Phi_i \circ \Psi_i(O_{N \times N})$ converges in Hausdorff topology to $O_{N \times N}$.

It remains to verify the third property from the lemma. We leave it to the reader to check that $\Phi_i \circ \Psi_i(x, y) = (x, y)$ for all $(x, y) \in U_3 \times U_3$, when i is large enough. This relies crucially on the following observations: $f(x, y) = (y, x)$ on $U_2 \times U_2$ and $\Upsilon_i(U_3 \times U_3) \subset U_2 \times U_2$ for i large enough. The last statement is a consequence of the fact that $\phi(U_3) \Subset U_2$.

Let $B = B_3 \times B_3$ and $r = r_3$, so that $T_r^*B = U_3 \times U_3$. As we have seen, for i large, $\Phi_i \circ \Psi_i$ coincides with the identity on T_r^*B . We claim that this implies the third property. Indeed, it clearly implies $O_B \subset \Phi_i \circ \Psi_i(O_{N \times N}) \cap T^*B$. Furthermore, it also implies that if $\Phi_i \circ \Psi_i(O_{N \times N}) \cap T^*B$ contains a point which is not in O_B , then such a point is in $T^*B \setminus T_r^*B$. But of course this cannot happen for i large because of the Hausdorff convergence of $\Phi_i \circ \Psi_i(O_{N \times N})$ to $O_{N \times N}$. This establishes the third property in Lemma 4.6. \square

4.2 Proof of Theorem 1.1

By the assumptions of the theorem, one can find some $r > 0$ and a sequence $\phi_i \in \text{Ham}_c(T_r^*N, \omega_0)$ such that ϕ_i converges uniformly to ϕ . Since the number of Lagrangian spectral invariants of ϕ is assumed to be less than $\text{cl}(N)$, there exist some $\alpha, \beta \in H_*(N)$ with $\deg \alpha, \deg \beta < \dim N$ and $\alpha \cap \beta \neq 0$, such that $\ell(\alpha, \phi) = \ell(\alpha \cap \beta, \phi) =: \lambda$. By the continuity of spectral invariants (*i.e.* the first item of Theorem 4.1), we have $\lim \ell(\alpha, \phi_i) = \lim \ell(\alpha \cap \beta, \phi_i) = \lambda$, when $i \rightarrow \infty$.

Let $U \subset O_N$ be any neighbourhood of $L \cap O_N$ in O_N . It is enough to show that the closure \overline{U} is homologically non-trivial in O_N . For doing this, pick a smooth function $f : N \rightarrow \mathbb{R}$ such that $f = 0$ on \overline{U} and $f < 0$ on $N \setminus \overline{U}$. Denote by $\pi : T^*N \rightarrow N$ the natural projection and define $F = \beta \pi^* f$ where $\beta : T^*N \rightarrow \mathbb{R}$ is compactly supported and $\beta = 1$ on T_R^*N where R is taken to be large in comparison to r .

Claim 4.8. *There exists an integer i_0 such that for any $i \geq i_0$, and for sufficiently small values of $\varepsilon > 0$,*

$$\ell(\alpha \cap \beta, \phi_F^\varepsilon \phi_i) = \ell(\alpha \cap \beta, \phi_i).$$

Proof. Let $L_i = \phi_i(O_N)$ and $L_{\varepsilon f} = \phi_F^\varepsilon(O_N)$. Note that $\phi_F^t(q, p) = (q, p + t df(q))$ for $t \in [0, 1]$ and $(q, p) \in T_r^*N$. Therefore, we have $L_{\varepsilon f} = \{(q, \varepsilon df(q)) : q \in N\}$ and $\phi_F^\varepsilon \phi_i(O_N) = \phi_F^\varepsilon(L_i) = L_i + L_{\varepsilon f}$ where $L_i + L_{\varepsilon f} := \{(q, p + \varepsilon df(q)) : (q, p) \in L_i\}$.

Since $L \cap \pi^{-1}(O_N \setminus U)$ is compact and does not intersect O_N , and since the sequence ϕ_i converges uniformly to ϕ , we conclude that for small enough ε and large enough i , $(L_i + L_{\varepsilon f}) \cap \pi^{-1}(O_N \setminus U)$ does not intersect O_N as well. On the other hand, since $f = 0$ on U , we get that $(L_i + L_{\varepsilon f}) \cap \pi^{-1}(U) = L_i \cap \pi^{-1}(U)$. Therefore, for small enough $\varepsilon > 0$ and large enough i , the Lagrangians L_i and $L_i + L_{\varepsilon f}$ have the same intersection points with the zero section O_N . Moreover, it is easy to see that for each such intersection point, the two action values corresponding to ϕ_i and $\phi_F^\varepsilon \phi_i$ coincide. Therefore, by fixing i and $\varepsilon > 0$, and considering the family of Lagrangians $L_i + L_{s\varepsilon f}$ when $s \in [0, 1]$, we see that the action spectra $\text{Spec}(L_i + L_{s\varepsilon f}, \phi_F^{s\varepsilon} \phi_i)$ do not depend on s . Also, recall that the action spectrum has an empty interior in \mathbb{R} . As a result, since the value $\ell(\alpha \cap \beta, \phi_F^\varepsilon \phi_i)$ depends continuously on s , we conclude that it in fact does not depend on $s \in [0, 1]$. In particular, $\ell(\alpha \cap \beta, \phi_i) = \ell(\alpha \cap \beta, \phi_F^\varepsilon \phi_i)$. \square

The triangle inequality of Proposition 3.2 implies that, for all i , $\ell(\alpha \cap \beta, \phi_F^\varepsilon \phi_i) - \ell(\alpha, \phi_i) \leq \ell(\beta, \phi_F^\varepsilon)$. Using the above claim, for i large and ε small enough, we have $\ell(\alpha \cap \beta, \phi_i) - \ell(\alpha, \phi_i) \leq \ell(\beta, \phi_F^\varepsilon)$. Taking limit as $i \rightarrow \infty$, and recalling that $\lim \ell(\alpha, \phi_i) = \lim \ell(\alpha \cap \beta, \phi_i) = \lambda$, we obtain $0 \leq \ell(\beta, \phi_F^\varepsilon)$.

We can now conclude our proof as follows. On the one hand, by Proposition 3.2.7, we have $\ell(\beta, \phi_{\varepsilon F}) = c_{LS}(\beta, \varepsilon f) = c_{LS}([M] \cap \beta, \varepsilon f)$. On the other hand, Proposition 3.1.2 gives $c_{LS}([M], \varepsilon f) = 0$. Thus, using Proposition 3.1.3, we obtain the equality $c_{LS}([M] \cap \beta, \varepsilon f) = c_{LS}([M], \varepsilon f)$. By Proposition 3.1.4 it follows that the zero level set of f , that is \overline{U} , is homologically non-trivial.

5 Hausdorff limits of Legendrians and proof of Theorem 1.4

This section is dedicated to the proof of Theorem 1.4. Recall that we consider a sequence L_i of Legendrian submanifolds, contact isotopic to the zero section in $J^1 N = T^* N \times \mathbb{R}$, which has a Hausdorff limit L . Denote by $\pi_{\mathbb{R}} : J^1 N = T^* N \times \mathbb{R} \rightarrow \mathbb{R}$ the natural projection.

We have not been able to verify whether it is possible to define Legendrian spectral invariants for the Hausdorff limit L . However, as we will now explain, it is still possible to view Theorem 1.4 as an incarnation of Principle 1: Let K be a (smooth) Legendrian submanifold of $J^1 N$ which is contact isotopic to the zero section. Then, as was explained in Section 3.3, the set $\text{spec}(K) = \pi_{\mathbb{R}}(K \cap (O_N \times \mathbb{R}))$ is the set of critical values of the gfqi associated to K . Hence, if the cardinality of $\text{spec}(K)$ is smaller than $\text{cl}(N)$, then so is the total number of spectral invariants of K . Therefore, despite the fact that we cannot define spectral invariants for the Hausdorff limit L , we can interpret *the cardinality of the set $\text{spec}(L) = \pi_{\mathbb{R}}(L \cap (O_N \times \mathbb{R}))$ being*

smaller than $\text{cl}(N)$ to mean that L has fewer spectral invariants than $\text{cl}(N)$.

Proof of Theorem 1.4. Observe that the Hausdorff convergence of L_i 's to L implies that the set $L_i \cap (O_N \times \mathbb{R})$ is contained in an arbitrarily small neighbourhood of $L \cap (O_N \times \mathbb{R})$ for large i . Because $\ell(a, L_i)$ corresponds to an intersection point of L_i with the zero wall, we conclude that the set of limit points of $\{\ell(a, L_i) : a \in H_*(N) \setminus \{0\}, i \in \mathbb{N}\}$ is contained in $\text{spec}(L)$.

Assume that $\text{spec}(L)$ has less than $\text{cl}(N)$ points. It follows from the above discussion that there exist $\alpha, \beta \in H_*(N) \setminus \{0\}$ and $\lambda \in \text{spec}(L)$ such that for a subsequence (i_k) of indices we have $\ell(\alpha, L_{i_k}) \rightarrow \lambda$ and $\ell(\alpha \cap \beta, L_{i_k}) \rightarrow \lambda$ as $k \rightarrow \infty$. By passing to this subsequence, we may further assume that $\ell(\alpha, L_i) \rightarrow \lambda$ and $\ell(\alpha \cap \beta, L_i) \rightarrow \lambda$ as $i \rightarrow \infty$. Let us show that $L \cap (O_N \times \{\lambda\})$ is homologically non-trivial in $O_N \times \{\lambda\}$.

Pick any neighbourhood V of $L \cap (O_N \times \{\lambda\})$ in $J^1 N$. Denote $U := \pi_N(V)$, where $\pi_N : J^1 N \rightarrow N$ is the natural projection, and pick a smooth function $f : N \rightarrow \mathbb{R}$ such that $f = 0$ on \bar{U} and $f < 0$ on $N \setminus \bar{U}$.

Claim 5.1. *There exists an integer i_0 such that for any $i \geq i_0$, and for sufficiently small values of $\varepsilon > 0$,*

$$\ell(\alpha \cap \beta, L_i + L_{\varepsilon f}) = \ell(\alpha \cap \beta, L_i).$$

Proof. By the Hausdorff convergence of L_i to L , there exists some $\delta > 0$ such that for i large enough and $\varepsilon \geq 0$ small enough, we have

$$(L_i + L_{\varepsilon f}) \cap (O_N \times (\lambda - \delta, \lambda + \delta)) \subset V.$$

Furthermore, for any $(q, p, z) \in V$, we have that $q \in U$ and thus $f(q) = 0$ and $df(q) = 0$. This implies that $(L_i + L_{\varepsilon f}) \cap (O_N \times (\lambda - \delta, \lambda + \delta)) = L_i \cap (O_N \times (\lambda - \delta, \lambda + \delta))$, in particular $\text{spec}(L_i + L_{\varepsilon f}) \cap (\lambda - \delta, \lambda + \delta) = \text{spec}(L_i) \cap (\lambda - \delta, \lambda + \delta)$.

The continuity and spectrality properties of spectral invariants, together with the fact that the spectrum of L_i has an empty interior in \mathbb{R} and that $\ell(\alpha \cap \beta, L_i) \in (\lambda - \delta, \lambda + \delta)$ for i large enough, imply that the spectral invariant $\ell(\alpha \cap \beta, L_i + L_{\varepsilon f})$ is independent of ε . \square

Now the triangle inequality of Proposition 3.3 implies that, for all i , $\ell(\alpha \cap \beta, L_i + L_{\varepsilon f}) - \ell(\alpha, L_i) \leq \ell(\beta, L_{\varepsilon f})$. Using the above claim, for i large and ε small enough, we have $\ell(\alpha \cap \beta, L_i) - \ell(\alpha, L_i) \leq \ell(\beta, L_{\varepsilon f})$. Taking limit as $i \rightarrow \infty$, and recalling that $\ell(\alpha \cap \beta, L_i), \ell(\alpha, L_i) \rightarrow \lambda$, we obtain $0 \leq \ell(\beta, L_{\varepsilon f})$.

We can now conclude our proof as follows. On the one hand, by Proposition 3.3.4, we have $\ell(\beta, L_{\varepsilon f}) = c_{LS}(\beta, \varepsilon f)$. Note that $c_{LS}(\beta, \varepsilon f) = c_{LS}([N] \cap \beta, \varepsilon f)$ and by the above paragraph this number is non-negative. On the other hand, Proposition 3.1.2 gives $c_{LS}([N], \varepsilon f) = 0$. Thus, using Proposition 3.1.3, we obtain the equality $c_{LS}([N] \cap \beta, \varepsilon f) = c_{LS}([N], \varepsilon f)$. By Proposition 3.1.4 it follows that the zero level set of f , that is the closure of

$U = \pi_N(V)$, is homologically non-trivial in N . Since our choice of a neighbourhood V of $L \cap (O_N \times \{\lambda\})$ was arbitrary, we conclude that $L \cap (O_N \times \{\lambda\})$ is homologically non-trivial in $O_N \times \{\lambda\}$. \square

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