

# 1. Winding Numbers

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## Continuous winding number

We seek a function

$$w : \text{Loops}(\mathbb{R}^2 - \{0\}) \longrightarrow \mathbb{Z}$$

that counts the number of times the loop winds around 0.

## [Examples on board]

- Loops are oriented.
- Counterclockwise = positive.

## Approaches

- Covering spaces, fundamental group, homotopy theory
- Contour integration
- Discrete approximations, homology theory

## First attempt

$$\arg : \mathbb{R}^2 - \{0\} \longrightarrow \mathbb{R}$$

This measures the angle of a point  $a \neq 0$  from the positive  $x$ -axis.

[Example on board]

## Corrected version

$$\arg : \mathbb{R}^2 - \{0\} \longrightarrow \mathbb{R}/2\pi\mathbb{Z}$$

Write  $[\theta]$  for the equivalence class of  $\theta$  modulo  $2\pi$ .

## Explicit formulas

$$\arg((x, y)) = \begin{cases} [\arctan(y/x)] & \text{if } x > 0 \\ [\arctan(y/x) + \pi] & \text{if } x < 0 \\ [-\arctan(x/y) + \frac{\pi}{2}] & \text{if } y > 0 \\ [-\arctan(x/y) - \frac{\pi}{2}] & \text{if } y < 0 \end{cases}$$

These are continuous and agree where their domains overlap.

## Lifts

It is useful to consider functions

$$\overline{\arg} : \mathcal{U} \longrightarrow \mathbb{R}$$

that satisfy  $[\overline{\arg}(a)] = \arg(a)$  for all  $a \in \mathcal{U}$ .

At most one of the following can be satisfied:

- $\mathcal{U} = \mathbb{R}^2 - \{0\}$
- $\overline{\arg}$  is continuous

## The lift from a ray

Let

$$\overline{\arg}_\phi : \mathbb{R}^2 - \{0\} \longrightarrow \mathbb{R}$$

be the unique lift taking values in  $[\phi, \phi + 2\pi)$ .

The lift  $\overline{\arg}_\phi$  is continuous except on the ray

$$R_\phi = \arg^{-1}([\phi]).$$

## Line segments

Let  $a, b \in \mathbb{R}^2$ .

$[a, b]$  = 'directed line segment from  $a$  to  $b$ '

$$|[a, b]| = \{ta + ub \mid t, u \geq 0, t + u = 1\}$$

= set of points which lie on  $[a, b]$

## Angle cocycle

Let  $a, b \in \mathbb{R}^2$  such that  $0 \notin |[a, b]|$ .

$\Lambda([a, b], 0)$  = 'angle subtended at 0 by  $[a, b]$ '

[Example on board]

## Formally

Let  $\Lambda([a, b], 0)$  be the unique real number  $\theta$  such that:

- $-\pi < \theta < \pi$
- $[\theta] = \arg(b) - \arg(a)$

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$$\begin{aligned} |[a, b]| &= \{ta + ub \mid t, u \geq 0, t + u = 1\} \\ &= \text{set of points which lie on } [a, b] \end{aligned}$$

## Angle cocycle

Let  $a, b, p \in \mathbb{R}^2$  such that  $p \notin |[a, b]|$ .

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[Example on board]

## Formally

Let  $\Lambda([a, b], p)$  be the unique real number  $\theta$  such that:

- $-\pi < \theta < \pi$
- $[\theta] = \arg(b-p) - \arg(a-p)$

## Theorem

$\Lambda(a, b, p)$  is continuous as a function of  $a, b, p$  (on its domain of definition).

## Proof

Regarding  $a, b, p$  as complex numbers, one can show that

$$\Lambda([a, b], p) = \overline{\arg}_{-\pi} \left( \frac{b-p}{a-p} \right).$$

This is a composite of continuous functions, since

$$\overline{\arg}_{-\pi}(x + iy) = 2 \arctan \left( \frac{y}{x + \sqrt{x^2 + y^2}} \right).$$

## Closed polygons

Let  $\gamma = P(a_0, a_1, \dots, a_n)$  denote the 'directed polygon with vertices  $a_0, a_1, \dots, a_n$  and edges  $[a_0, a_1], [a_1, a_2], \dots, [a_{n-1}, a_n]$ '.

It is **closed** if  $a_0 = a_n$ . Its **support** is

$$|\gamma| = \bigcup_{j=1}^n |[a_{j-1}, a_j]|$$

We often write

$$\gamma = [a_0, a_1] + [a_1, a_2] + \cdots + [a_{n-1}, a_n] = \sum_{j=1}^n [a_{j-1}, a_j]$$



# The winding number of a closed polygon

## Winding number

Let  $\gamma = P(a_0, a_1, \dots, a_n)$  be closed, and let  $p \notin |\gamma|$ . We define:

$$w(\gamma, p) = \frac{1}{2\pi} \sum_{j=1}^n \Lambda([a_{j-1}, a_j], p)$$

[Examples on board]

## Properties of the winding number

- $w(\gamma, p)$  is an integer.
- $w(\gamma, p)$  is constant on each component of  $\mathbb{R}^2 - |\gamma|$ .
- $w(\gamma, p)$  is equal to the number of times  $\gamma$  crosses a generic ray from  $p$ .
- $w(\gamma, p) = 0$  if  $\min_j |a_j - p| > \max_{j,k} |a_j - a_k|$ .

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## Proof

We may assume  $p = 0$ . Let  $\overline{\text{arg}}$  be any lift of  $\text{arg}$ . Then:

$$\left[ \Lambda([a_{j-1}, a_j], 0) \right] = \left[ \overline{\text{arg}}(a_j) - \overline{\text{arg}}(a_{j-1}) \right]$$

in  $\mathbb{R}/2\pi\mathbb{Z}$ , so

$$\Lambda([a_{j-1}, a_j], 0) = \overline{\text{arg}}(a_j) - \overline{\text{arg}}(a_{j-1}) + 2\pi m_j$$

for some integers  $m_j$ . In the sum, the  $\overline{\text{arg}}$  terms cancel and we get

$$w(\gamma, 0) = \frac{1}{2\pi} \sum_{j=1}^n \Lambda([a_{j-1}, a_j], 0) = m_1 + m_2 + \cdots + m_n.$$

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## Proof

Each term  $\Lambda([a_{j-1}, a_j], p)$  is continuous on  $\mathbb{R}^2 - |[a_{j-1}, a_j]|$  and hence on  $\mathbb{R}^2 - |\gamma|$ . Thus  $w$  is continuous. Since it is integer-valued, it must be constant on each component.

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- $w(\gamma, p) = 0$  if  $\min_j |a_j - p| > \max_{j,k} |a_j - a_k|$ .

## [Example on board]

It is easiest to assume that the ray avoids the vertices of  $\gamma$ .

## Proof

We may assume  $p = 0$ . Let  $\overline{\text{arg}}_\phi$  be the lift from the ray  $R_\phi$ . Then

$$\Lambda([a_{j-1}, a_j], 0) = \overline{\text{arg}}_\phi(a_j) - \overline{\text{arg}}_\phi(a_{j-1}) + 2\pi\xi_j$$

where  $\xi_j \in \{0, \pm 1\}$  is the **crossing number** of the edge across the ray. Then

$$w(\gamma, p) = \frac{1}{2\pi} \sum_{j=1}^n \Lambda([a_{j-1}, a_j], 0) = \xi_1 + \xi_2 + \cdots + \xi_n.$$

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[Example on board]

## Proof

The inequalities confine  $\gamma$  to a disk centered at  $a_0$  that avoids  $p$ . Pick a ray that avoids this disk.

Let's call this the **Distant Cycle Lemma**.

## Integer 1-cycles

An integer 1-cycle is a formal sum of directed edges

$$\gamma = \sum_{k=1}^n [a_k, b_k]$$

such that each  $p \in \mathbb{R}^2$  occurs equally often in the lists  $(a_k)$  and  $(b_k)$ .

[Example on board]

$$w(\gamma, p) = \frac{1}{2\pi} \sum_{j=1}^n \Lambda([a_{j-1}, a_j], p)$$

## Properties of the winding number

- $w(\gamma, p)$  is additive in  $\gamma$ .
- $w(\gamma, p)$  is an integer.
- $w(\gamma, p)$  is constant on each component of  $\mathbb{R}^2 - |\gamma|$ .
- $w(\gamma, p)$  is equal to the number of times  $\gamma$  crosses a generic ray from  $p$ .
- $w(\gamma, p) = 0$  if  $\min_j |a_j - p| > \max_{j,k} |a_j - a_k|$ .

## 1-cycles in a ring $\mathbb{A}$

A 1-cycle in  $\mathbb{A}$  is a formal **linear combination** of directed edges

$$\gamma = \sum_{k=1}^n \lambda_k [a_k, b_k]$$

such that  $\sum (\lambda_k \mid a_k = p) = \sum (\lambda_k \mid b_k = p)$  for each  $p \in \mathbb{R}^2$ .

[Example on board]

$$w(\gamma, p) = \sum_{j=1}^n \lambda_k \xi([a_{j-1}, a_j], R_{\phi, p})$$

## Properties of the winding number

- $w(\gamma, p)$  is **linear** in  $\gamma$ .
- $w(\gamma, p)$  is an **element of  $\mathbb{A}$** .
- $w(\gamma, p)$  is constant on each component of  $\mathbb{R}^2 - |\gamma|$ .
- $w(\gamma, p)$  is **independent of the choice of generic ray from  $p$** .
- $w(\gamma, p) = 0$  if  $\min_j |a_j - p| > \max_{j,k} |a_j - a_k|$ .





## The space of loops

Let  $\mathcal{U} \subseteq \mathbb{R}^2$ . Then  $\text{Loops}(\mathcal{U})$  is the set of continuous maps

$$f : [0, 1] \longrightarrow \mathcal{U}$$

such that  $f(0) = f(1)$ .

## Homotopy of loops

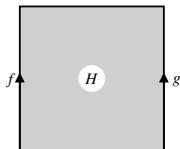
Two loops  $f, g \in \text{Loops}(\mathcal{U})$  are **homotopic** if there exists a continuous map

$$H : [0, 1] \times [0, 1] \longrightarrow \mathcal{U}$$

on the unit square, such that

- $H(0, t) = f(t)$  for all  $t \in [0, 1]$ ,
- $H(1, t) = g(t)$  for all  $t \in [0, 1]$ ,
- $H(s, 0) = H(s, 1)$  for all  $s \in [0, 1]$ .

$H$  is called a **homotopy** between  $f$  and  $g$ . We write  $f \simeq g$  or  $f \simeq_H g$ .



Homotopy ' $\simeq$ ' is an equivalence relation.

## Theorem

Let  $\mathcal{U} \subseteq \mathbb{R}^2$  be convex. Then any two loops  $f, g \in \text{Loops}(\mathcal{U})$  are homotopic.

## Proof

We have  $f \simeq_H g$  via the **straight-line homotopy**

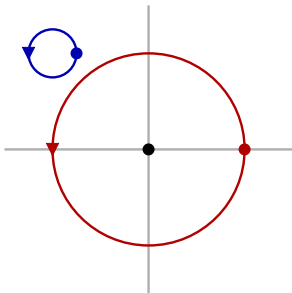
$$H(s, t) = (1 - s)f(t) + sg(t).$$

Convexity implies that this is entirely contained in  $\mathcal{U}$ .

[Example on board]

## Theorem

There are loops in  $\mathbb{R}^2 - \{0\}$  which are not homotopic to each other.



How do we prove that they are not homotopic in  $\mathbb{R}^2 - \{0\}$ ?

## Theorem

There exists a function  $\text{Loops}(\mathbb{R}^2 - \{0\}) \rightarrow \mathbb{Z}$ , expressed by the notation

$$f \mapsto w(f, 0)$$

and called 'the winding number of  $f$  around 0', such that

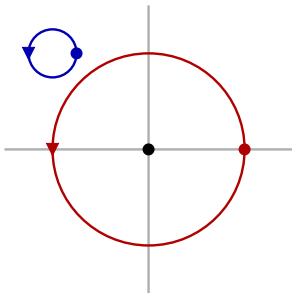
- if  $f \simeq g$  in  $\text{Loops}(\mathbb{R}^2 - \{0\})$  then  $w(f, 0) = w(g, 0)$ ; and
- if  $f = e^{2\pi idt}$  then  $w(f, 0) = d$ .

Define  $w(f, p)$  by translation, for any  $p \in \mathbb{R}^2$ .

# The continuous winding number

## Theorem

There are loops in  $\mathbb{R}^2 - \{0\}$  which are not homotopic to each other.



How do we prove that they are not homotopic in  $\mathbb{R}^2 - \{0\}$ ?

- The blue loop is homotopic to  $e^{2\pi i 0 t}$  and therefore has winding number 0.
- The red loop is equal to  $e^{2\pi i 1 t}$  and therefore has winding number 1.

# The continuous winding number: construction

## Construction

Subdivide the interval by  $T = (t_0, t_1, \dots, t_n)$ , where

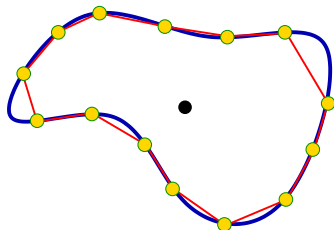
$$0 = t_0 < t_1 < \dots < t_n = 1.$$

Consider the polygonal approximation

$$f_T = \sum_{k=1}^n [f(t_{k-1}), f(t_k)]$$

Define

$$w(f, 0) = w(f_T, 0).$$

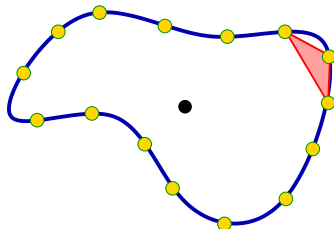


# The continuous winding number: well-defined

Is it well-defined?

Let  $M = \min_t |f(t)|$ . Let  $\delta > 0$  such that  $|t - t'| < \delta$  implies  $|f(t) - f(t')| < M$ .  
Use subdivisions  $T$  such that  $\max_k |t_k - t_{k-1}| < \delta$ .

- It follows that the edges of  $T$  avoid 0.
- Adding further points does not change the winding number.



We used:

- Additivity of the winding number for 1-cycles.
- Distant Cycle Lemma.



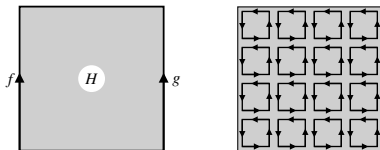
# The continuous winding number: homotopy invariance

What happens when  $f \simeq_H g$ ?

Let  $M = \min_{s,t} |H(s,t)|$ .

Let  $\delta > 0$  such that  $|s - s'|, |t - t'| < \delta$  implies  $|H(s,t) - H(s',t')| < M$ .

Divide the square into small squares of side less than  $\delta$ .



$H$  maps each small square to a quadrilateral with winding number 0.  
It follows that  $0 = w(g_T, 0) - w(f_T, 0) = w(g, 0) - w(f, 0)$ .

We used:

- Additivity of the winding number for 1-cycles.
- Distant Cycle Lemma.

# The continuous winding number: normalization

What happens when  $f = e^{2\pi idt}$ ?

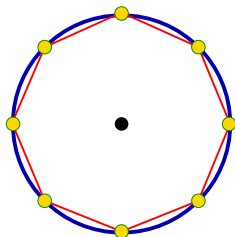
Let

$$T = \left(0, \frac{1}{N}, \frac{2}{N}, \dots, \frac{N-1}{N}, 1\right)$$

where  $N > 2|d|$ . Then

$$w(e^{2\pi idt}, 0) = w([e^{2\pi idt}]_T, 0) = \frac{1}{2\pi} \sum_{k=1}^N \frac{2\pi d}{N} = d$$

as required.





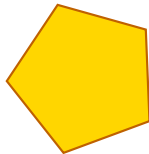
# Application: Brouwer's Fixed Point Theorem

## Theorem

Every continuous map  $p : D^2 \rightarrow D^2$  has a fixed point.  
(Here  $D^2$  is the closed unit disk in the plane.)

## More generally

We may replace  $D^2$  by any space that is topologically equivalent.



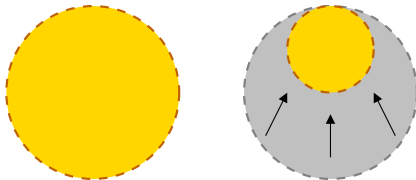
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The theorem fails for the open disk.



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## More generally

The theorem fails for the annulus.



## Theorem

Every continuous map  $p : D^2 \rightarrow D^2$  has a fixed point.  
(Here  $D^2$  is the closed unit disk in the plane.)

## Proof

Suppose  $p$  has no fixed points. Then  $q(x) = x - p(x)$  is never zero.

- Let  $f(t) = e^{2\pi it}$ .  $w(f, 0) = 1$
- Let  $J(s, t) = e^{2\pi it} - sp(e^{2\pi it})$ .  $w(f, 0) = w(g, 0)$
- Let  $g(t) = q(e^{2\pi it})$ .  $w(g, 0) = ?$
- Let  $K(s, t) = q(se^{2\pi it})$ .  $w(g, 0) = w(h, 0)$
- Let  $h(t) = q(0)$ .  $w(h, 0) = 0$





## Theorem

Every complex polynomial  $p(z)$  of degree  $d \geq 1$  has at least one complex root.

(By repeated factorization, it therefore has  $d$  roots.)

## Proof

Suppose  $p$  has no roots. Let  $R > 0$  be very large.

- Let  $f(t) = p(Re^{2\pi it})$ .  $w(f, 0) = d$
- Let  $H(s, t) = p(sRe^{2\pi it})$ .  $w(f, 0) = w(g, 0)$
- Let  $g(t) = p(0)$ .  $w(g, 0) = 0$

# Application: Fundamental Theorem of Algebra

## Theorem

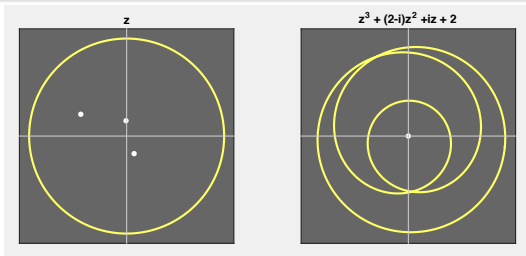
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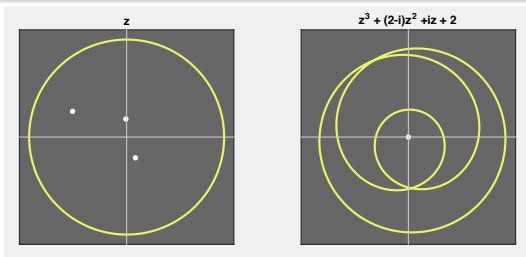
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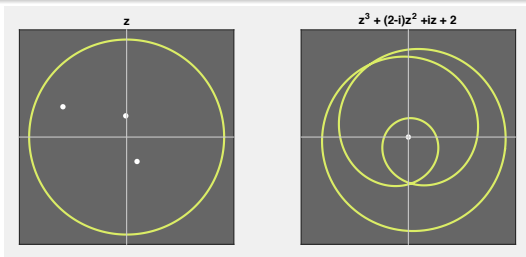
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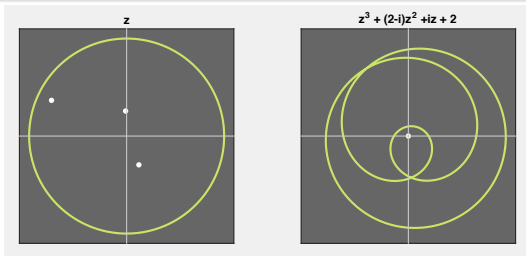
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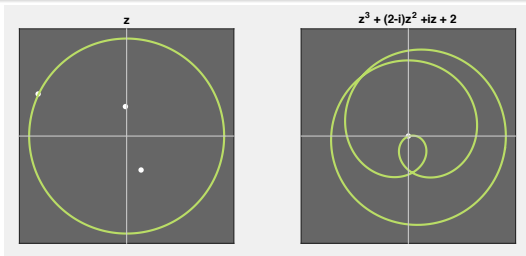
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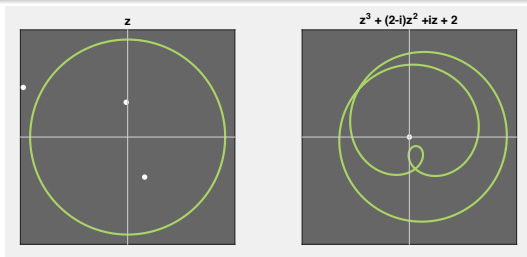
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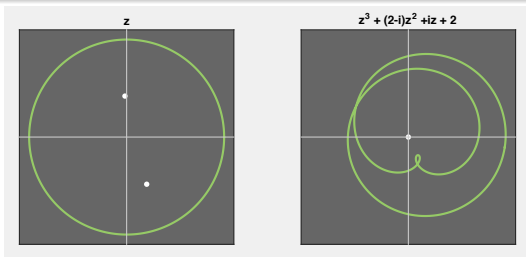
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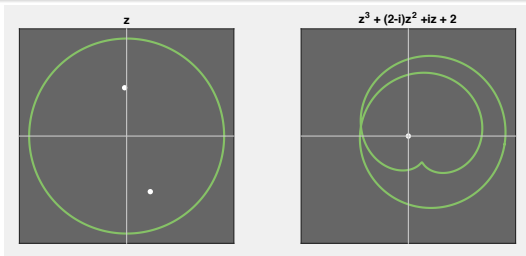
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# Application: Fundamental Theorem of Algebra

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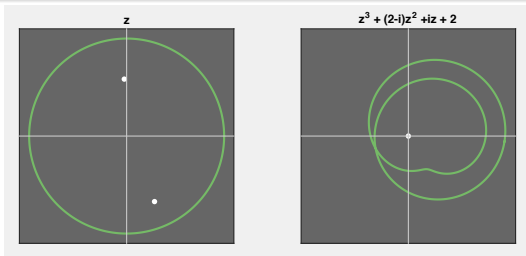
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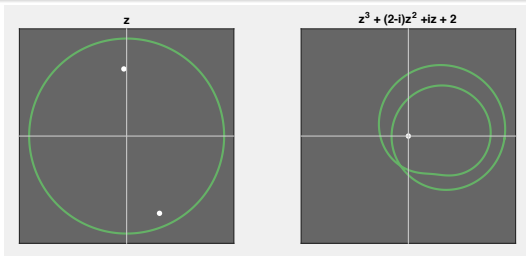
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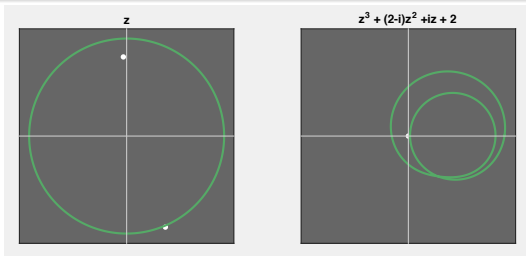
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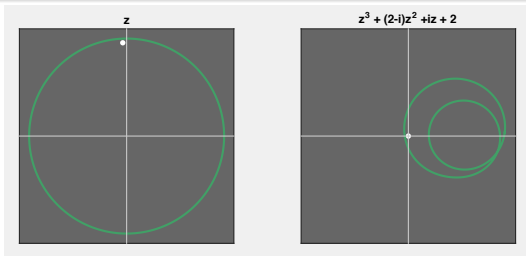
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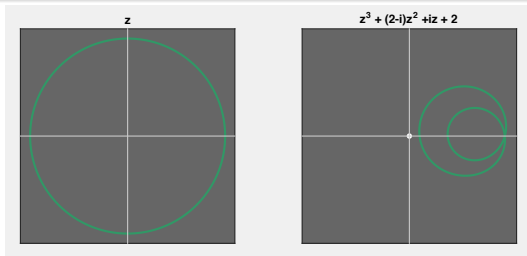
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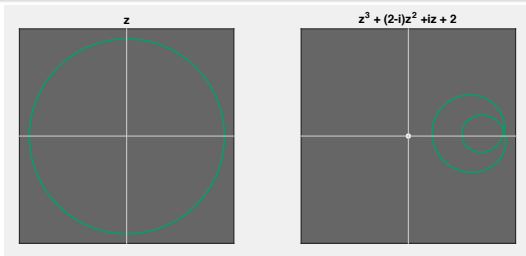
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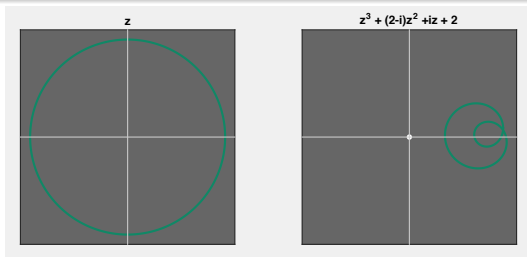
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