Smoothly slice boundary links whose derivative links have nonvanishing Milnor invariants

Hye Jin Jang, Min Hoon Kim, and Mark Powell

Department of Mathematics, Pohang University of Science and Technology, Pohang, Gyungbuk 790-784, Republic of Korea
E-mail address: hye.jin.jang.1986@gmail.com

Department of Mathematics, Pohang University of Science and Technology, Pohang, Gyungbuk 790-784, Republic of Korea
E-mail address: kminhoon@gmail.com

Department of Mathematics, Indiana University, Bloomington, IN 47405, USA
E-mail address: macp@indiana.edu

Abstract. We give an example of a 3-component smoothly slice boundary link, each of whose components has a genus one Seifert surface, such that any metaboliser of the boundary link Seifert form is represented by 3 curves on the Seifert surfaces that form a link with nonvanishing Milnor triple linking number. We also give a generalisation to m-component links and higher Milnor invariants. We prove that our examples are ribbon and that all ribbon links are boundary slice.

1. Introduction

The topological 4-dimensional surgery conjecture for free groups states that the surgery sequence discussed in [FQ90, Section 11.3] is exact when the fundamental group is free. A key test case is the question of whether the Whitehead double of the Borromean rings is a topologically slice link [Fre84, CF84, Fre93, Kru08]. One strategy to slice a boundary link \( L = L_1 \sqcup \cdots \sqcup L_m \) (a boundary link is a link whose components bound disjoint Seifert surfaces in \( S^3 \)) is to push these Seifert surfaces \( F = F_1 \sqcup \cdots \sqcup F_m \), \( \partial F_i = L_i \) into the 4-ball \( B^4 \), and then to ambiently surger the Seifert surfaces to discs, by finding a set of curves generating a half rank submodule of \( H_1(F_i;\mathbb{Z}) \) for each \( i = 1, \ldots, m \), and finding framed discs, pairwise disjoint, embedded in \( B^4 \setminus F \) and with boundary these curves.

In order for such framed discs to exist, such a set of curves must be a metaboliser for the boundary link Seifert form (see Definitions 2.4 and 2.5). Following [CHL10],
we consider simple closed curves on the Seifert surfaces representing a metaboliser $M$ as a link in $S^3$, also denoted by $M$, and call this the derivative of $L$ with respect to the metaboliser.

If a derivative is itself a slice link, then the programme works and the original link is slice. On the other hand, if we have a boundary link with Seifert surfaces, and we know that all of the metabolisers are not slice links, we can wonder if this implies that the link is not slice. In the famous case of the Whitehead double of the Borromean rings, with their obvious Seifert surfaces, all derivatives are the Borromean rings, which are well-known not to be slice; for example, they have nonzero Milnor triple linking number $\mu(123)$. Also, the Whitehead double of the Borromean rings is known not to be smoothly slice, at least with the right choices of clasping sign [Lev12]. Indeed with all clasping negative, according to [CT13] it is not even 0-positive in the Cochran-Harvey-Horn filtration [CHH13].

Nevertheless, in the topological category, having derivatives with nonzero Milnor invariants is known to be insufficient to deduce that a link is not slice. One can take the Whitehead double of the Whitehead link. As proven in [Fre88], this is a topologically slice link, and the metabolisers on the obvious Seifert surfaces form a Whitehead link. The Whitehead link has nonvanishing Milnor invariant $\mu(1122)$, and so is not slice.

The main aim of this paper is to produce a smoothly slice example, and to use the Borromean rings instead of the Whitehead link.

Our example shows that it is unlikely that it is possible to use derivatives with nontrivial Milnor invariant $\mu(123)$ to give an obstruction to a link being smoothly slice. Note that any obstruction to topological slicing is also an obstruction to smooth slicing.

**Theorem 1.1.** There exists a smoothly slice (in fact ribbon) 3-component boundary link $S = S_1 \sqcup S_2 \sqcup S_3$ with Seifert surfaces $F = F_1 \sqcup F_2 \sqcup F_3$, each of which is genus one and has an unknotted metabolising curve, such that for every metaboliser $M$ for the boundary link Seifert form and for any 3 simple closed curves $M_1 \sqcup M_2 \sqcup M_3$ representing $M$, where $M_i \subset F_i$, we have $\mu_M(123) \neq 0$.

Moreover for $i = 1, 2, 3$ we have that $F_i$ is a unique minimal genus Seifert surface for $S_i$.

It is natural to wonder whether our links are boundary slice. In the appendix we show (Theorem A.3) the apparently well-known result that ribbon boundary links are boundary ribbon (Definition A.2) and therefore boundary slice (Definition 2.3).

We were inspired by the recent work of T. Cochran and C. W. Davis [CD13]. They found counterexamples to the thirty year old Kauffman conjecture, which was that any genus one slice knot has a genus one Seifert surface on which there is a metabolising curve $J$ which has $\operatorname{Arf}(J) = 0$. The question has also been asked with the signature $\sigma(J)$ replacing $\operatorname{Arf}(J)$; see also [GL11].

**Theorem 1.2** (Cochran-Davis). There exists a smoothly slice knot $K$ with a unique genus one Seifert surface $F$ such that for every metaboliser $M$ for Seifert form and
for any simple closed curve $J$ representing $M$, where $J \subset F$, we have $\text{Arf}(J) \neq 0$ and $\sigma(J) \neq 0$.

Crucially, their examples were found in a conceptual fashion, enabling their techniques to be applied to our situation.

Until the work of Cochran and Davis appeared, there was plenty of evidence for this conjecture to be true, making their discovery all the more interesting. The following archetypal theorem of [CHL10] is one of the strongest known; it follows previous similar theorems of D. Cooper (from his thesis but unpublished), Gilmer [Gil83, Gil93] and Cochran-Orr-Teichner [COT04].

**Theorem 1.3** (Cochran-Harvey-Leidy [CHL10]). If $K$ is a genus one slice knot then on any genus one Seifert surface there exists a homologically essential simple closed curve of self-linking zero that has vanishing zero-th order signature and a vanishing first order signature.

We refer to [CHL10] for the definitions of the zero-th and first order signatures of a knot.

We can generalise Theorem 1.1 to replace the triple linking number with many other Milnor invariants. In the following theorem we let $I$ be a multi-index for which there exists a link with nonvanishing Milnor invariant $\mu(I)$. Let $m$ be the number of distinct integers in $I$.

**Theorem 1.4.** Let $I$ be a multi-index as above for which $|I|$ is odd. Then there exists a smoothly slice (in fact ribbon) $m$-component boundary link $S = S_1 \sqcup \cdots \sqcup S_m$ with Seifert surfaces $F = F_1 \sqcup \cdots \sqcup F_m$, each of which is genus one and has an unknotted metabolising curve, such that for every metaboliser $M$ for the boundary link Seifert form and for any $m$ simple closed curves $M_1 \sqcup \cdots \sqcup M_m$ representing $M$, where $M_i \subset F_i$, we have $\mu_M(I) \neq 0$.

Moreover for $i = 1, 2, 3$ we have that $F_i$ is a unique minimal genus Seifert surface for $S_i$.

**Remark 1.5.** We have the following questions.

1. Any two genus one Seifert surfaces for each component of our example in Theorem 1.1 are isotopic. Is the collection $F$ of the three boundary link Seifert surfaces together the unique minimal genus collection?
2. Do there exist examples for multi-indices of even length? For example, is there a smoothly slice 2-component link with genus one Seifert surfaces whose derivatives all have nonvanishing $\mu(1122)$?
3. Does there exist an example with unknotted components?
4. Does there exist a slice knot, with a minimal genus Seifert surface, all of whose derivatives have nonvanishing Milnor invariants?

**Organisation of the paper.** Section 2 recalls some relevant definitions. Section 3 generalises a result of [CD13] to the case of infection by string links, which shows
that a certain operation on a slice link yields another slice link. Section 4 proves a formula detailing how the Milnor invariants change under infection by a string link. Section 5 gives the construction of our example and therefore the proof of Theorem 1.1 with the exception of the parenthetically claimed fact that the constructed link is ribbon. This fact is shown in Section 6. The proof of Theorem 1.4 is given in Section 7. Finally, the appendix contains a proof of the theorem that ribbon boundary links are boundary ribbon.

Acknowledgements

This paper was written while the authors were visitors at the Max Planck Institute for Mathematics in Bonn, which we thank for its support and hospitality. The authors also thank Tim Cochran, Jae Choon Cha, Chris Davis, Stefan Friedl, Charles Livingston, Kent Orr and Peter Teichner for helpful discussions and suggestions. In particular the proof in the appendix was told to us by Kent Orr.

The second author is supported by a National Research Foundation of Korea Grant funded by the Korean Government (NRF-2011-0002353). The third author gratefully acknowledges an AMS-Simons travel grant which aided his travel to Bonn.

2. Definitions

Definition 2.1 (Boundary link). An m-component oriented link \( L = L_1 \sqcup \cdots \sqcup L_m \subset S^3 \) is said to be a boundary link if there is a smooth embedding of \( m \) pairwise disjoint Seifert surfaces \( F = F_1 \sqcup \cdots \sqcup F_m \subset S^3 \) such that \( \partial F_i = L_i \) for \( i = 1, \ldots, m \).

Definition 2.2 (Slice link). An m-component oriented link \( L = L_1 \sqcup \cdots \sqcup L_m \subset S^3 \) is smoothly slice if there is a smooth embedding of \( m \) pairwise disjoint discs \( D_1 \sqcup \cdots \sqcup D_m \subset B^4 \) such that \( \partial D_i = L_i \subset S^3 \) for \( i = 1, \ldots, m \).

Definition 2.3 (Boundary slice link). A pair \((L, F)\) consisting of an m-component oriented smoothly slice boundary link \( L \) as in Definition 2.2 and a collection of Seifert surfaces \( F \) for \( L \) as in Definition 2.1 is a boundary slice pair if there is a smooth embedding of pairwise disjoint 3-manifolds \( N = N_1 \sqcup \cdots \sqcup N_m \subset B^4 \), such that \( \partial N_i = D_i \sqcup_{L_i} F_i \).

A smoothly slice boundary link \( L \) is said to be boundary slice if there exists a collection of Seifert surfaces \( F \) such that \((L, F)\) forms a boundary slice pair.

It is unknown whether all slice boundary links are boundary slice. The next definition follows [Fri06].

Definition 2.4 (Boundary link Seifert form). Let \( g_1, \ldots, g_m \) be nonnegative integers. A (boundary link) Seifert matrix is a matrix \( A \) with entries \( \{A_{ij}\}_{i,j=1,\ldots,m} \) where each entry \( A_{ij} \) is a \( 2g_i \times 2g_j \) matrix, \( A_{ij} = A_{ji}^T \) for \( i \neq j \) and \( \det(A_{ii}-A_{ii}^T) = 1 \).

Such a matrix arises geometrically as follows. Let \( F = F_1 \sqcup \cdots \sqcup F_m \) be oriented boundary link Seifert surfaces for a boundary link \( L \) and let \( g_i \) be the genus of \( F_i \).
Each Seifert surface $F_i$ has a positive side inherited from its orientation. Given a curve $\gamma \subset F_i$ let $\gamma^+$ be the curve obtained by pushing $\gamma$ off $F_i$ in the positive normal direction. Choose oriented curves $\gamma_1^+, \ldots, \gamma_{2g}^+$ on $F_i$ which form a basis of $H_1(F_i; \mathbb{Z})$. A boundary link Seifert matrix is then defined by

$$(A_{ij})_{k\ell} = \text{lk}(\gamma_k^+, (\gamma_{\ell}^+)^+) .$$

The boundary link Seifert form is the form:

$$V: \bigoplus_{i=1}^m H_1(F_i; \mathbb{Z}) \times \bigoplus_{i=1}^m H_1(F_i; \mathbb{Z}) \rightarrow \mathbb{Z}$$

represented by this matrix. Note that any change of basis must respect the direct sum decomposition.

The next definition follows [CHL10].

**Definition 2.5** (Metaboliser and derivative).

1. A metaboliser $M$ of the boundary link Seifert form is a half-rank submodule of each $H_1(F_i; \mathbb{Z})$ with a basis represented by curves $\beta_1^1, \ldots, \beta_{g_1}^1$, $\beta_1^2, \ldots, \beta_{g_2}^2$, $\ldots, \beta_1^m, \ldots, \beta_{g_m}^m$ where $\beta_j^i \subset F_i$, satisfying that $V(\beta_k^i, \beta_{\ell}^j) = 0$ for $i, j = 1, \ldots, m$, $k = 1, \ldots, g_i$, $\ell = 1, \ldots, g_j$.
2. If the boundary link Seifert form of a boundary link has a metaboliser then that boundary link is said to be algebraically slice.
3. Considering the $\beta$ curves as a link in $S^3$ in their own right, we refer to this link as a derivative link of $L$, with respect to the Seifert surfaces $F$ and the metaboliser $M$, and denote this link by $M_1 \sqcup \cdots \sqcup M_{\sum_{i=1}^m g_i}$.

The next definition follows [HL90].

**Definition 2.6** (String link).

1. An $r$-multi-disc $E$ is an oriented disc $D^2$ with an ordered collection of $r$ embeddings of open discs $E_1, \ldots, E_r \hookrightarrow \mathbb{E}$ (see Figure 1). We abuse notation and identify $E_i$ with its image in $\mathbb{E}$. For $i = 1, \ldots, r$, we choose a path $\gamma_i: I \rightarrow \mathbb{E} \smallsetminus (E_1 \sqcup \cdots \sqcup E_r)$ such that $\gamma_i(0) \in \partial E_i$ and $\gamma_i(1) \in \partial \mathbb{E}$ and such that the images of the $\gamma_i$ are pairwise disjoint.
2. Let $p_i$ be a point in $E_i$ for each $i = 1, \ldots, r$. An $r$-component string link $J$ is a smooth, proper embedding

$$J: \bigcup_{i=1}^r p_i \times I \rightarrow D^2 \times I$$

such that for $t = 0, 1$ we have $J(p_i \times t) = p_i \times t \in D^2 \times I$ for $i = 1, \ldots, r$.

(e.g. see Figure 2) Since $J$ is smooth, there is an embedding (called a tubular neighbourhood of $J$)

$$\nu(J): \bigcup_{i=1}^r E_i \times I \rightarrow D^2 \times I$$
such that \( \nu(J) \) coincides with \( J \) on \( p_i \times I \) and for \( t = 0, 1 \) we have \( \nu(J)|_{E_i \times t} = \text{id}_{E_i \times t} \) for \( i = 1, \ldots, r \). Abusing notation, we will often write the image of \( J \) (resp. the image of \( \nu(J) \)) as \( J \) (resp. \( \nu(J) \)).

(3) For \( i = 1, \ldots, r \), choose a \( 0 \)-framed parallel \( \delta_i : I \to \partial E_i \times I \) of \( J(p_i \times I) \) such that \( \delta_i(t) = \gamma_i(0) \times \{t\} \in E \times I \) for \( t = 0, 1 \). The \( i \)-th longitude \( \ell_i \) of \( J \) is defined as the following concatenation of arcs:

\[
\ell_i = \delta_i \cup (\gamma_i \times \{1\}) \cup (\gamma_i(1) \times I) \cup (-\gamma_i \times \{0\}).
\]

(4) Let \( f : D^2 \times I \to D^2 \times I \) be the orientation reversing diffeomorphism given by \( f(x, y, t) = (x, y, 1 - t) \) for \((x, y) \in D^2, t \in I\). For a string link \( J \), we define its inverse \(-J\) by the composition \( f \circ J \):

\[
-J : \bigsqcup_{i=1}^{r} p_i \times I \overset{J}{\to} D^2 \times I \overset{f}{\to} D^2 \times I.
\]
Definition 2.8 (Infection by a string link). Let $L$ be a link in $S^3$ and $J$ be an $r$-component string link in $D^2 \times I$.

1. An embedding $\varphi : E \to S^3$ is a proper $r$-multi-disc in $(S^3, L)$ if $\varphi(E)$ intersects $L$ transversely and only inside $E_1, \ldots, E_r$. We also denote by $\varphi$ the embedding of a thickening $\varphi : E \times I \to S^3$.

2. Let $E_\varphi$ be the image of $\varphi$ and let $E_\varphi := \varphi(E_1 \sqcup \cdots \sqcup E_r)$. Note that $(E_\varphi \setminus E_\varphi) \times I$ is homeomorphic to the exterior of the trivial $r$-component string link.

3. Let $S(L, J, \varphi)$ be the link which is the image of $L$ under the following homeomorphism:

$$S(L, J, \varphi) = (S^3 \setminus (\text{int}(E_\varphi \setminus E_\varphi) \times I)) \cup (((D^2 \times I) \setminus \nu(J)) \cup (E_\varphi \times I)) \cong D^3 \cup D^3 \cong S^3.$$

We say that $S(L, J, \varphi)$ is the string link infection with seed $L$, infection link $J$ and axis $\varphi(E)$.

We use the letter $S$ since this construction is a variant of the well-known satellite construction. The effect of infection by a string link is to tie the string link $J$ into the strands of $L$ which pass through $E_\varphi$.

3. Infections on slice links that produce slice links

First we have a straightforward lemma which describes infections which, starting with a boundary link, produce a boundary link.

Lemma 3.1. Suppose $L$ is a boundary link with Seifert surfaces $F$ and $\varphi : E \to S^3$ is a proper $r$-multi-disc in $(S^3, L)$. If $\varphi(E \setminus (E_1 \sqcup \cdots \sqcup E_r))$ is disjoint from $F$ then $S(L, J, \varphi)$ is also a boundary link.

Proof. The images of the Seifert surfaces $F$ under the homeomorphism of Definition 2.8 (3) are again Seifert surfaces for $S(L, J, \varphi)$. □

The main goal of this section is to prove the following lemma, which is the string link infection version of [CD13, Theorem 3.1]. It describes a pair of string link infections on a slice link which produce a slice link. Suppose we start with a slice link $R$ and do two string link infections using multi-discs $\varphi_0$ and $\varphi_1$, such that the associated handlebodies $\varphi_i((E \setminus (E_1 \sqcup \cdots \sqcup E_r)) \times I)$ $(i = 0, 1)$ cobound an embedding of $(E \setminus (E_1 \sqcup \cdots \sqcup E_r)) \times I \times I$ in the complement of slice discs for $R$. Moreover suppose we use $J$ and $-J$ as infection links for $\varphi_0$ and $\varphi_1$, respectively. Then the resulting double infection link is still slice.

Lemma 3.2 (Link version of Theorem 3.1 of [CD13]). Let $R$ be a slice link bounding slice discs $D$ in the 4-ball $B^4$. Let $\varphi_i : E \to S^3$ be proper $r$-multi-discs in $(S^3, R)$
Then, for any $E$, let $\Phi: \Delta \times I \times I \to B^4 \setminus \nu D$ with

- $\Phi|\Delta \times I \times \{i\} = \varphi_i|\Delta \times I$ for $i = 0, 1$ and
- $\Phi(x, s, t) \in \partial B^4$ if and only if $t = 0, 1$.

Then, for any $r$-component string link $J$, the result of the double string link infection $S(S(R, J, \varphi_0), -J, \varphi_1)$ is smoothly slice.

The proof closely follows that of [CD13, Section 4]. For the sake of our consciences, we check the details in our string link infection case.

**Proof.** Let $X(J) := (D^2 \times I) \setminus \nu(J)$ be the exterior of the string link $J$ and consider $B^3 \setminus \text{Im } \Phi$. Decompose the boundary $\partial(\text{Im } \Phi) = \partial_+ \cup \partial_-$, where

$$\partial_+ := (\varphi_0(\Delta) \cup \varphi_1(\Delta)) \times I \quad \text{and} \quad \partial_- = \Phi(\partial(\Delta \times I) \times I).$$

Note that $\partial(B^4 \setminus \text{Im } \Phi) = (S^3 \setminus \partial_+) \cup \partial_-$ and that $\partial_-$ is diffeomorphic to $\partial X(J) \times I$. Let $\mathcal{B}$ be the 4-manifold obtained by identifying $B^4 \setminus \text{Im } \Phi$ and $X(J) \times I$ along a diffeomorphism $\psi$:

$$\psi: \Phi(\partial(\Delta \times I) \times I) \longrightarrow \partial X(J) \times I$$

which satisfies:

- $\psi(\Phi(x, s, t)) = (\nu(J)(x, s), t)$ if $(x, s) \in \partial(E_1 \sqcup \cdots \sqcup E_r) \times I, t \in I$;
- $\psi(\Phi(x, s, t)) = (x, s, t)$ otherwise.

Recall that $\partial_+$ is the disjoint union of two genus $r$ handlebodies, so its boundary is two genus $r$ surfaces. This is also the boundary of the exterior of an $r$-component string link. The boundary $\partial \mathcal{B}$ is obtained by gluing $S^3 \setminus \partial_+$ to $X(J)$ and $-X(J)$ along two genus $r$ surfaces and $\partial \mathcal{B}$ is diffeomorphic to $S^3$ as in Definition 2.8 (3).

The image of $R$ under the map $S^3 \setminus \partial_+ \to \partial \mathcal{B} \cong S^3$ is $S(S(R, J, \varphi_0), -J, \varphi_1)$ by definition. (Here, we used Remark 2.7 to identify $-X(J)$ with $X(J)$.). Since the slice discs $D$ are disjoint from the image of $\Phi$, their images in $\mathcal{B}$ are slice discs. The following claim therefore implies that $S(S(R, J, \varphi_0), -J, \varphi_1)$ is smoothly slice and so the proof of the lemma is complete once the claim has been verified.

**Claim.** The 4-manifold $\mathcal{B}$ is diffeomorphic to 4-ball.

The rest of the proof of Lemma 3.2 comprises the proof of the claim. Recall that $E_{\varphi} := \varphi(E_1 \sqcup \cdots \sqcup E_r)$. Let

$$V := \text{Im } \Phi \cup \nu(E_{\varphi_0}) \cup \nu(E_{\varphi_1})$$

and

$$W := X(J) \times I \cup \nu(E_{\varphi_0}) \cup \nu(E_{\varphi_1}).$$

Here, $\nu(E_{\varphi_i})$ is the tubular neighbourhood of $E_{\varphi_i}$ in $B^4$ for $i = 0, 1$. Also, $\nu(E_{\varphi_i})$ is glued to $X(J) \times I$ via $\psi$. In more detail, we have

$$V = \Phi(\Delta \times I \times I) \cup h_0^1 \cup \cdots \cup h_0^r \cup h_1^1 \cup \cdots \cup h_1^r$$
and
\[ W = X(J) \times I \cup h_I^1 \cup \cdots \cup h_I^r \cup h_0^1 \cup \cdots \cup h_0^r \]
where \( h_i^t \) is a 4-dimensional 2-handle glued along the circle \( \varphi_t(\partial E_i \times 0) \) for \( i = 1, \ldots, r \) and \( t = 0, 1 \) with product framing. Note that
\[ X(J) \times I \cup h_0^1 \cup \cdots \cup h_0^r \]
is diffeomorphic to \( B^4 \). With this identification, the image of the attaching circles of the \( h_i^t \) form a 0-framed \( r \)-component unlink in \( \partial B^4 \). To see this note that the circle \( \varphi_t(\partial E_i \times 0) \) bounds a disc, namely the core of \( h_i^0 \), for all \( i \). This observation shows that \( W \) is diffeomorphic to \( \bigcup_{i=1}^r S^2 \times D^2 \), where \( \mathbb{R} \) denotes the boundary connected sum.

Since \( \Delta \times I \) is diffeomorphic to the exterior of the trivial string link, the same argument shows that \( V \) is diffeomorphic to \( \bigcup_{i=1}^r S^2 \times D^2 \).

Note that \( \partial V \cap \partial B^4 \) is the disjoint union of two 3-balls \( B_0 \cup B_1 \), where
\[ B_i = \varphi_i(\Delta \times I) \cup (\nu(E_{\varphi_i}) \cap \partial B^4) \]
for \( i = 0, 1 \). Then \( B = \left( B^4 \setminus V \right) \cup W \), where the gluing map is given by an embedding
\[ \psi_0: \partial V \setminus (B_0 \cup B_1) \to \partial W. \]
Here, \( \psi_0 \) is the restriction of \( \psi \) to \( \partial(\Delta \times I) \times I \subset \partial V \setminus (B_0 \cup B_1) \), together with the identity map on the intersection of the 2-handles \( h_i^t \) with \( \partial V \setminus (B_0 \cup B_1) \), for \( t = 0, 1 \) and \( i = 1, \ldots, r \). We prove that \( B \) is diffeomorphic to \( B^4 \) by showing that \( \psi_0 \) extends to a diffeomorphism between \( V \) and \( W \).

First we extend \( \psi_0 \) to a diffeomorphism \( \psi_1: \partial V \to \partial W \). Note that \( \partial V \cong \partial W \cong \bigcup_{i=1}^r S^2 \times S^1 \).

To see that we can extend to such a diffeomorphism \( \psi_1 \), note that \( \partial V \setminus (B_0 \cup B_1) \) and \( \partial W \) can be understood via the handle decomposition described by the standard Heegard diagram for \( \bigcup_{i=1}^r S^2 \times S^1 \), with a genus \( r \) surface and the \( \alpha_j \) and \( \beta_j \) curves parallel longitudes on the \( j \)th torus connected summand of the surface, with \( B_0 \) and \( B_1 \) the 0-handle and the 3-handle of the handle decomposition respectively. The boundaries \( \partial(\Delta \times I) \) and \( \partial(X(J)) \) are both diffeomorphic to a genus \( r \) surface \( \Sigma \), and so \( \partial(\Delta \times I) \times I \) and \( \partial(X(J)) \times I \) are both diffeomorphic to \( \Sigma \times I \), and these are identified by \( \psi_0 \). Each 2-handle \( h_i^t \) can be thought of as a 3-dimensional 2-handle \( \tilde{h}_i^t \) product with an interval, with \( \tilde{h}_i^t \times \{0\} \subset \partial B^4 \). The lower boundary \( \tilde{h}_i^t \times \{1\} \) is then the 2-handle attached to \( \alpha_i \) for \( t = 0 \) and to \( \beta_i \) for \( t = 1 \).

Now recall that the map \( \psi_0 \) is the identity when restricted to the intersection of the 2-handles \( h_i^t \) with \( \partial V \setminus (B_0 \cup B_1) \), for \( t = 0, 1 \) and \( i = 1, \ldots, r \). Thus the surface \( \Sigma \times I \), and the 3-dimensional 1- and 2-handles of \( \bigcup_{i=1}^r S^2 \times S^1 \) are all
identified. Therefore \( \partial B_i \) is sent to the boundary of the 0-handle of \( \partial W \) for \( i = 0 \) and to the boundary of the 3-handle for \( i = 1 \). We have that \( \Gamma_2 = 0 \); that is, any diffeomorphism of the 2-sphere extends over the 3-ball, by [Mun60] [Sma59]. It follows that the diffeomorphism \( \psi_0(B_i) \) extends, for \( i = 0, 1 \), so that as claimed \( \psi_0 \) extends to a diffeomorphism \( \psi_1 : \partial V \to \partial W \).

We want to extend \( \psi_1 \) to a diffeomorphism between \( V \) and \( W \). For \( i = 1, \ldots, r \), each circle \( \Phi(\partial(\gamma_i \times I \times \{1\})) \), which is the image under \( \Phi \) of a longitude of the \( i \)-th component of the trivial \( r \)-component string link, is isotopic in \( \partial V \) to the belt sphere of 2-handle \( h^1_{i+1} \) where \( \gamma_i \) is the chosen arc in Definition 2.6 (1) and Figure 1. (Note that each circle \( \Phi(\partial(\gamma_i \times I \times \{1\})) \) links attaching circle of \( h^1_{i+1} \) once.) Recall

\[ V = \Phi(\Delta \times I) \cup h^1_0 \cup \cdots \cup h^1_i \cup \cdots \cup h^1_r. \]

For \( i = 1, \ldots, r \), let \( D_i \) be the cocore of the 2-handle \( h^1_i \) in \( V \). Therefore,

\[ V \setminus (\nu(D_1) \cup \cdots \cup \nu(D_r)) = \Phi(\Delta \times I) \cup h^1_0 \cup \cdots \cup h^1_r = B^4. \]

Now we consider \( W \). Let \( \ell_i \) be the \( i \)-th longitude of \( J \) in \( X(J) \) and let \( m_i \) be the attaching circle of \( h^1_i \). As illustrated in Figure 3, after sliding \( \ell_i \times \{1\} \) over the 2-handles \( h^1_1, \ldots, h^1_r \) (sufficiently many times), we can see that \( \ell_i \times \{1\} \) is isotopic in \( \partial W \) to \( \ell'_i \) which is a meridian of \( m_i \). That is, \( \ell_i \times \{1\} \) is isotopic to the belt sphere of the 2-handle \( h^1_i \). In particular, \( \ell_i \times \{1\} \) bounds a disc \( D_i \) which is the cocore of the 2-handle \( h^1_i \) in \( W \).

![Figure 3. An isotopy of \( \ell_i \times \{1\} \) in \( \partial W \)](image)

We have just seen that, up to isotopies, \( \psi_1 \) identifies the framed boundary of \( D_i \) with the framed boundary of \( D_i \) for \( i = 1, \ldots, r \). So, \( \psi_1 \) extends to a diffeomorphism

\[ \psi'_1 : \partial V \cup \nu(D_1) \cup \cdots \cup \nu(D_r) \to \partial W \cup \nu(D_1) \cup \cdots \cup \nu(D_r). \]

Since \( V \setminus (\nu(D_1) \cup \cdots \cup \nu(D_r)) \) and \( W \setminus (\nu(D_1) \cup \cdots \cup \nu(D_r)) \) are 4-balls and since any diffeomorphism of \( \partial B^4 \) extends to a diffeomorphism of \( B^4 \) by [Cer68], \( \psi'_1 \) extends to a diffeomorphism \( V \cong W. \) This completes the proof that \( B \) is diffeomorphic to \( B^4 \) and therefore completes the proof of the claim and Lemma 3.2.

□
4. The effect of string link infection on Milnor invariants

The aim of this section is to prove the following lemma, which enables us to compute Milnor invariants of links obtained by string link infection. The Milnor invariants $\overline{\pi}_L(I)$ of a link $L$ were introduced by J. Milnor in [Mil57]. In the sequel (Sections 4 and 7), we will apply the next lemma to compute the values of $\overline{\pi}(I)$ for the derivatives associated to our examples.

**Lemma 4.1.** Let $I$ be a multi-index which contains the indices $\{1, \ldots, m\}$ and let $k_i$ be the number of occurrences of the index $i$ in $I$ ($k_i \geq 1$). Let $L = L_1 \sqcup \cdots \sqcup L_m$ be an $m$-component link with $\overline{\pi}_L(I') = 0$ whenever $|I'| < |I|$ and let $J$ be an $m$-component string link whose closure $\hat{J}$ has $\overline{\pi}_J(I') = 0$ whenever $|I'| < |I|$. Let $\varphi : E \to S^3$ be a proper $m$-multi-disc in $(S^3, L)$ such that for each $i = 1, \ldots, m$, $\varphi(E_i)$ only intersects $L$ at $L_i$. Denote the algebraic intersection number between $\varphi(E_i)$ and $L_i$ by $n_i$ for $i = 1, \ldots, m$. Then $S(L, J, \varphi)$ is also a link with $\overline{\pi}_{S(L,J,\varphi)}(I') = 0$ whenever $|I'| < |I|$ and

$$\overline{\pi}_{S(L,J,\varphi)}(I) = \overline{\pi}_L(I) + \overline{\pi}_J(I) \cdot \prod_{i=1}^{m} n_i^{k_i}.$$  

**Proof.** Suppose that all intersection points in $\varphi(E_i) \cap L_i$ have been made transverse and that $\varphi(E_i) \cap L_i$ contains $\alpha_i$ positive and $\beta_i = \alpha_i - n_i$ negative intersection points, $i = 1, \ldots, m$. Let $J'$ be the oriented string link generated by taking $\alpha_i$ parallel copies of $i$-th component $J_i$ of $J$ and $\beta_i$ parallel copies of $r(J_i)$, which is $J_i$ with opposite orientation, for $i = 1, \ldots, m$. Let $L'$ be the split union of $L$ and $J'$, the closure of $J'$. Then $S(L, J, \varphi)$ can be considered as the outcome of performing certain internal band sums of $L'$. This is shown in Figure 4 which we now explain.

We start by looking at $S(L, J, \varphi)$. Recall, from Definition 2.6 (1), the paths $\gamma_i$ ($i = 1, \ldots, m$) in the $m$-multi-disc $\varphi$, which connect $\varphi(\partial E_i)$ and the boundary of the $m$-multi-disc. These paths $\gamma_i$ determine $\sum_{i=1}^{m} (\alpha_i + \beta_i)$ arcs as shown on the top right of Figure 4. These arcs induce bands, which we denote $b$, connecting components of $S(L, J, \varphi)$ to themselves, as shown on the bottom left of Figure 4. The result of band sums along these bands is the split union of $J'$ and $L$, i.e. $L'$, the salient part of which can be seen on the bottom right of Figure 4.

Note that a band sum can be annulled by dual band sum, that is another band sum along the cocore of original band (see Figure 4). Hence, reversing the above operation with the dual band sum, $S(L, J, \varphi)$ can be seen to be the result of internal band sums of $L'$ along the dual bands of $b$.

Using this interpretation of the operation of string link infection as performing band sums (c.f. [Coc90, Section 10]), we can apply [Coc90, Theorem 8.13], which states that the first nonvanishing Milnor invariants are additive under exterior band sums, namely band sums which join a split link. In fact, the band sums we use are slightly more general than those of [Coc90, Definition 8.7], since one component of $L$ is connected to several components of $\hat{J}$. However, the proof
Figure 4. Internal band sums of $S(L, J, \varphi)$ which produce $L'$.

Figure 5. A dual band sum annuls the original band sum.

of [Coc90, Theorem 8.13] easily generalises, once the contribution to the Milnor invariant from $\hat{J}'$ is interpreted in the appropriate sense, which we describe now.
In \( \hat{J} \), each parallel copy of \( \hat{J}_i \) is labelled with an index \( j \) for \( j \in \{ 1, \ldots, \sum_i \alpha_i + \sum_i \beta_i \} \). Define a function \( h: \{ 1, \ldots, \sum_i \alpha_i + \sum_i \beta_i \} \to \{ 1, \ldots, m \} \) which sends the index of a parallel copy of \( \hat{J}_i \) to \( i \). The integer \( h(j) \) records which component of \( S(L, J, \varphi) \) the parallel copy labelled \( j \) will become part of after the band sums, since all parallel copies of \( \hat{J}_i \) will belong to the \( i \)th component of \( S(L, J, \varphi) \). We need to take the sum

\[
\sum_{\{ I' \mid h(I') = i \}} \pi_{\hat{J}}(I'),
\]

where we can apply the function \( h \) to a multi-index in the obvious way.

First we note that reversing the orientation on a single component \( L_i \) of a link changes the sign of a Milnor invariant \( \pi_L(I) \) by \((-1)^{k_i}\), where \( k_i \) is the number of times that \( i \) appears in \( I \) [Mil57, page 296].

Choose a parallel copy of \( \hat{J}_i \) for each occurrence of \( i \) in \( I \), and do this for all \( i = 1, \ldots, m \). Let \( I' \) be the multi-index which arises by replacing each occurrence of \( i \) in \( I \) by the index of the parallel copy of \( \hat{J}_i \) chosen. Note that \( h(I') = I \).

By [Mil57, Theorem 7], the Milnor invariant of the collection of parallel copies is

\[
\pi_{\hat{J}}(I) \cdot \prod_{j \in I'} r_j^{\lambda_j},
\]

where \( r_j \in \{ \pm 1 \} \) is \(-1\) if the parallel copy of a component of \( \hat{J} \) with index \( j \) chosen uses the reverse orientation, and is \(+1\) otherwise, and \( \lambda_j \) is defined to be the number of times that \( j \) appears in \( I' \). Note that if \( \lambda_j \) is even, then \( r_j \) makes no difference to the Milnor invariant. We need to sum over all possible choices of parallel copies, to obtain the contribution to \( \pi_{S(L, J, \varphi)}(I) \). For each \( i \) in \( I \), we have to make \( k_i \) choices, and there are \( \alpha_i + \beta_i \) choices each time. Thus there are \( \prod_{i=1}^m (\alpha_i + \beta_i)^{k_i} \) possible choices, whose contribution with sign is \( \prod_{i=1}^m (\alpha_i - \beta_i)^{k_i} = \prod_{i=1}^m n_i^{k_i} \).

Therefore the total contribution of \( \hat{J} \) to the Milnor invariant is:

\[
\pi_{\hat{J}}(I) \cdot \prod_{i=1}^m n_i^{k_i}.
\]

Combining this with the additivity of the first nonvanishing Milnor invariants under exterior band sums, it follows that

\[
\pi_{S(L, J, \varphi)}(I) = \pi_L(I) + \pi_{\hat{J}}(I) \cdot \prod_{i=1}^m n_i^{k_i}
\]
as required. \( \square \)

5. Construction of our example

In this section, we construct the slice boundary link promised in Theorem 1.1. Let \( R = R_1 \sqcup R_2 \sqcup R_3 \) be a 3-component split link each of whose components are the
seed ribbon knot used by Cochran and Davis [CD13, Figures 6 and 10] (see Figure 7). The Cochran-Davis seed knot was shown to have a unique genus one Seifert surface, up to isotopy, in [Hor10, page 2213]. We denote the unique Seifert surface for $R_i$ by $F'_i$, $i = 1, 2, 3$.

Our example is obtained by a double string link infection on $R$ which satisfies the conditions in Lemma 3.1 and Lemma 3.2, using a string link $J$ for our infection link whose closure has unknotted components, pairwise linking numbers vanishing, and $\bar{\mu}(123) = u \neq 0$. We take $J$ to be a string link representative of the Borromean rings, to be definite. We choose an orientation of $J$ so that $\bar{\mu}(123) = 1$.

Using Lemma 3.1 and Lemma 3.2, we will prove that the resulting link is a smoothly slice boundary link. Then, using Lemma 4.1, we will calculate that the Milnor triple linking numbers of the derivatives, with respect to the genus one Seifert surfaces for the infected link induced from the $F'_i$, are nonzero.

Let $X_R := S^3 \setminus \nu R$ be the exterior of $R$. For each $i = 1, 2, 3$, choose two disjoint, oriented curves $x_i, y_i$ and an arc $z_i$ between $x_i$ and $y_i$ in $X_R$ as in Figure 6. These are (three copies of) the same curves used by Cochran and Davis in [CD13, Section 5]. Our Figure 6 is copied from [CD13, Figure 6]; we include it here for the convenience of the reader. The isotopy between the two diagrams in Figure 6 is explained in [CD13, Figure 7]. Note that $x_i, y_i$ correspond to the curves $\eta_1, \eta_2$ in [CD13, Figure 6] and $z_i$ corresponds to the core of the band between $\eta_1$ and $\eta_2$ in [CD13, Figure 8].

![Figure 6. An isotopy of the curves $x_i$ and $y_i$.](image)

From the proof of [CD13, Proposition 5.1], there is an annulus $A_i$ ($i = 1, 2, 3$) and slice discs $D$ of $R$ such that $x_i \sqcup -y_i$ forms the oriented boundary of $A_i$ and $A_i$ lies in $B^3 \setminus \nu D$. Note that it can be arranged that each $A_i$ contains the arc $z_i$.

Let $Y = \bigvee_{i=1}^3 I$, where the wedge uses basepoints $\{0\} \in I$ for each $I$. Let $Y_0$ be the three end points of $Y$ coming from $\{1\} \in I$. We fix the genus 1 Seifert surface $F = F'_1 \sqcup F'_2 \sqcup F'_3$ of $R$ as in Figure 6. For each $i = 1, 2, 3$, choose an arc connecting the base point of $S^3$ to an interior point of $z_i$ which intersects neither
Figure 7. The Seifert surface $F'$ of $R$ and $\iota(Y \times I)$. 

$R$, the $x_j$s, the $y_j$s, $D$ nor $F'$. This extends to an embedding 

\[ \iota: Y \times I \rightarrow X_R \]

such that

- $\iota(Y_0 \times I)$ is $z_1 \sqcup z_2 \sqcup z_3$;
- $\iota((Y \setminus Y_0) \times I)$ is disjoint from $x_i$, $y_i$, $R$ and $F'$.

The image of the map $\iota$ is illustrated in Figure 7. Push $\iota((0,1) \times Y)$ very slightly into $B^4$. A thickening of $\text{Im}(\iota) \cup (A_1 \sqcup A_2 \sqcup A_3)$ in $B^4$ gives an embedding 

\[ \Phi: \Delta \times I \times I \rightarrow B^4 \setminus \nu D, \]

where $\Delta = E \setminus (E_1 \sqcup E_2 \sqcup E_3)$. Denote $\varphi_t = \Phi|_{\Delta \times I \times t}: \Delta \times I \rightarrow X_R$ for $t = 0, 1$. Then $\varphi_0(\partial E_i \times I)$, $\varphi_1(\partial E_i \times I)$ are annulus neighbourhoods of $x_i$, $y_i$ in $S^3$ respectively, for $i = 1, 2, 3$. Since $x_i$ and $y_i$ bound discs in $S^3$ which intersect $R$ transversely, we can extend $\varphi_0$, $\varphi_1$ to thickenings of two 3-multi-discs in $S^3$.

With this notation, by Lemma 3.2, $S(S(R, J, \varphi_0), -J, \varphi_1)$ is smoothly slice in $B^4$ for any 3-component string link $J$. Moreover, $S(S(R, J, \varphi_0), -J, \varphi_1)$ is again a boundary link by Lemma 3.1 since the image of $\iota$ does not meet $F'$. Thus we have that $S(S(R, J, \varphi_0), -J, \varphi_1)$ is a smoothly slice boundary link for any string link $J$.

From now on, let $S = S_1 \sqcup S_2 \sqcup S_3$ denote the link $S(S(R, J, \varphi_0), -J, \varphi_1)$; recall that $J$ is a string link representative for the Borromean rings.

Let $F = F_1 \sqcup F_2 \sqcup F_3$ be the Seifert surface of $S$ arising as the image of $F'$ under the homeomorphism in Definition 2.8 (3). Note that each $S_i$ is ambient isotopic to the original Cochran-Davis seed knot, so is a slice knot, and as remarked above the Cochran-Davis seed knot was shown to have a unique genus one Seifert surface in
There are exactly two derivative knots on each $F_i$, which are shown in Figure 8. The curves $a_i$ in Figure 8 are unknots, so the components individually satisfy the strong Kauffman conjecture that there is a slice metaboliser. Once again, Figure 8 comes from [CD13], this time their Figure 10, and we include it here for the benefit of the reader.

Figure 8. The Seifert surface $F_i$ and its derivatives $a_i, b_i$.

**Theorem 5.1.** Each derivative $M$ of $S$ with respect to $F$ has nonzero Milnor triple linking number $\mu_M(123) \neq 0$.

**Proof.** Note that there are exactly two derivatives for Cochran-Davis’ seed knot with respect to its unique genus 1 Seifert surface. Let $\{a_i, b_i\}$ be the set of the derivatives for $F_i$, $i = 1, 2, 3$. Here, $a_i$ is the unknotted (green) curve and $b_i$ is the trefoil (purple) curve in Figure 8. Hence, there are exactly eight derivatives of $F$, each of which is a 3-component link of the form $c_1 \sqcup c_2 \sqcup c_3$, where $c_i \in \{a_i, b_i\}$ for $i = 1, 2, 3$. The Seifert matrix for $F$ (with respect to the most natural basis) is the block sum

$$\bigoplus_{i=1}^3 \begin{pmatrix} 3 & 2 \\ 1 & 0 \end{pmatrix}.$$

Note that the links $c_1 \sqcup c_2 \sqcup c_3$ are obtained from a 3-component split link (whose components are either the unknot or the trefoil) by double string link infection along $\varphi_0$ and $\varphi_1$, by $J$ and $-J$ respectively. So, using Lemma 4.1, we can calculate $\mathcal{P}_{c_1 \sqcup c_2 \sqcup c_3}(123)$.

From Figure 8

\begin{align*}
\text{lk}(a_i, x_i) &= 2 & \text{lk}(b_i, x_i) &= -1 \\
\text{lk}(a_i, y_i) &= 1 & \text{lk}(b_i, y_i) &= 1
\end{align*}

By applying Lemma 4.1 twice (with multi-index 123),

$$\mathcal{P}_{c_1 \sqcup c_2 \sqcup c_3}(123) = \mathcal{P}_U(123) + \mathcal{P}_J(123) \cdot \prod_{i=1}^3 \text{lk}(c_i, x_i) + \mathcal{P}_{-J}(123) \cdot \prod_{i=1}^3 \text{lk}(c_i, y_i),$$
where $U$ is the unlink. For indices $i, j, k$ with \{i, j, k\} = \{1, 2, 3\},
\begin{align*}
\overline{\mu}_{a_i \sqcup a_j \sqcup a_k}(123) &= 0 + 1 \cdot 2 \cdot 2 \cdot 2 - 1^4 = 7, \\
\overline{\mu}_{a_i \sqcup b_j \sqcup b_k}(123) &= 0 + 1 \cdot 2 \cdot 2 \cdot (-1) - 1^4 = -5 \\
\overline{\mu}_{b_i \sqcup b_j \sqcup b_k}(123) &= 0 + 1 \cdot (-1)^3 - 1^4 = -2
\end{align*}

Here, $\overline{\mu}_J(123) = 1$ and $\overline{\mu}_{\overline{J}}(123) = -1$.

In short,
\[
\begin{array}{c|ccc}
\text{index} & c_1 & c_2 & c_3 \\
\hline
0 & 7 & -5 & 1 \\
1 & 2 & 3 & -2
\end{array}
\]

Since all the numbers in the bottom right quadrant are nonzero, this completes the proof of Theorem 5.1 and therefore of Theorem 1.1.

\[\square\]

**Remark 5.2.** If instead of a string link representative of the Borromean rings, we had used a string link $J$ as our infection link, whose closure has $\overline{\mu}_J(123) = u \neq 0, 1$, then the only change would be that the numbers in the bottom row of Table 5 are multiplied by $u$. This is easy to see from the applications of Lemma 4.1 used to compute these numbers.

### 6. Stabilising to obtain a ribbon derivative link

In this section, as advertised, we show how to stabilise the Seifert surfaces $F_i$ of $S$ with an $S$-equivalence so that there is a ribbon derivative link. This will in turn imply that $S$ is a ribbon link. Thus the nonvanishing Milnor invariants of the derivative links are not particularly robust, as far as stabilisation is concerned. We remark that ribbon links are boundary slice, as shown in Theorem A.3, so we also prove that $S$ is boundary slice.

We note that Proposition 6.1 provides an alternative to Lemma 3.2 for showing that $S$ is smoothly slice.

In [CD13, Section 7], it is claimed that the Seifert surface for their knot stabilises to a surface with a slice derivative link, although details are not given in their preprint. We thank Chris Davis for helpful discussions concerning this. For the convenience of the reader we now show how to achieve this stabilisation, with the necessary adaptation to our link case.

**Proposition 6.1.** The link $S$ constructed in Section 5 is a ribbon link.

**Proof.** Figure 9 shows the result of an ambient surgery on $S^0 \times D^2 \subset F'_i$, together with the infection curve $x_i$ and $y_i$. This is a modification of the right hand side of Figure 6. The new cylinder $S^1 \times D^3$ has been attached so as to tube along
part of the infection curve $y_i$. We call these new genus two Seifert surfaces $G'_i$, for $i = 1, 2, 3$, and let $G' := G'_1 \sqcup G'_2 \sqcup G'_3$.

The curves $x_i$ and $y_i$ should be regarded as lying underneath the Seifert surface $G'_i$, except for where $x_i$ loops around the left hand band, and where the $y_i$ curve passes through the tube.

A basis $\{e^1_i, e^2_i, e^3_i, e^4_i\}$ for $H_1(G'_i; \mathbb{Z})$ is also shown. The curves $e^1_i$ and $e^2_i$ were generators of $H_1(F_i; \mathbb{Z})$, while the curves $e^3_i, e^4_i$ are a meridian and longitude of the new tube.

With respect to this basis, the Seifert matrix is given by:

$$V := \begin{pmatrix}
3 & 1 & 1 & 0 \\
2 & 0 & 0 & 0 \\
1 & 0 & 0 & 0 \\
0 & 0 & 1 & 0
\end{pmatrix}.$$ 

A metaboliser for the Seifert form is generated by $\{e^2_i, e^3_i\}$. Both curves are unknotted. Now note that

$$\text{lk}(e^2_i, x_i) = \text{lk}(e^2_i, y_i) = 2.$$
and that
\[ \text{lk}(e_i^3, x_i) = \text{lk}(e_i^3, y_i) = 1. \]

Let
\[ L' := e_1^2 \sqcup e_1^3 \sqcup e_2^3 \sqcup e_2^2 \sqcup e_3^3 \sqcup e_3^2 \]
be the derivative link representing the metaboliser obtained by taking the direct sum of the submodules of \( H_1(G'; \mathbb{Z}) \) generated by \( \{e_i^2, e_i^3\} \), for \( i = 1, 2, 3 \).

We perform the double infection, by using a string link representative \( J \) of the Borromean rings, and 3-multi-discs determined by the curves \( x_i \) and \( y_i \), as in Section 5. Let \( G' \) denote the image of \( G' \) under the homeomorphism of Definition 2.8 (3). The image of the link \( L' \) is then a derivative for the link \( S \) with respect to the Seifert surfaces \( G \), which we denote \( \mathcal{L} \):
\[ \mathcal{L} := S(S(L', J, \varphi_0), -J, \varphi_1). \]

Here, as in Section 5 the 3-multi-discs \( \varphi_0 \) and \( \varphi_1 \) are determined by the curves \( x_i \) and \( y_i \). However, as is consistent with the linking number observations made above, for each \( i = 1, 2, 3 \), the curves \( x_i \) and \( y_i \) are isotopic in \( S^3 \setminus \nu(e_1^2 \sqcup e_1^3 \sqcup x_i \sqcup y_i) \). This isotopy is not obvious, but follows along the lines of the isotopy depicted in [CD13, Figure 7], except restricted by the curves \( e_1^2 \) and \( e_1^3 \). In fact, the whole collection of curves \( e_1^2 \sqcup e_1^3 \sqcup x_i \sqcup y_i \) is isotopic to the link shown in Figure 10.

![Figure 10. The curves \( e_1^2 \sqcup e_1^3 \sqcup x_i \sqcup y_i \) from Figure 9 after an isotopy.](image)

Thus \( \mathcal{L} \) is isotopic to the link \( S(L', J \# -J, \varphi_0) \) which is the result of a single infection by the string link \( J \# -J \). Since this latter is a ribbon string link, the link \( \mathcal{L} \) is ribbon. Using parallel copies of the ribbon discs for \( \mathcal{L} \) we can surger \( G \) into a disjoint collection of ribbon discs for \( S \). This completes the proof that \( S \) is a ribbon link. \( \square \)

**Remark 6.2.** Recall that for each component \( S_i \) of \( S \), one of the metabolising curves \( b_i \) on \( F_i \) is a left handed trefoil. As in the statement of Theorem 1.1, each surface \( F_i \) has a slice metabolising curve, namely the unknotted curve \( a_i \). Therefore
each component $S_i$, considered as a knot, satisfies the Kauffman conjecture in the strongest sense: for any genus one Seifert surface there is a slice derivative knot. Recall that the genus one Seifert surface for each component is unique up to isotopy.

If one desires, one may modify our example by tying a right handed trefoil into the left hand band of $F_i$ with a satellite construction, in such a way that no twists are introduced. In the language of Definition 2.8 this is achieved with infection by a 1-component string link representative of the right handed trefoil using a 1-multi-disc which intersects the left hand band of $F_i$ in an arc that cuts the band. When performing this infection we must be sure to avoid affecting the curves $x_i$ or $y_i$; that is, they should be disjoint from the 1-multi-disc.

Let $S \dagger$ be the new link and let $F \dagger$ be the induced Seifert surfaces. Now, all the derivative links of $F \dagger$ comprise slice knots, but still are not slice by virtue of their Milnor invariants. The link $S \dagger$ is still ribbon, since the proof of this section, in particular the link type of $e_2^i \sqcup e_3^i \sqcup x_i \sqcup y_i$, is unchanged. The only caveat is that after this alteration without further proof we no longer know that the minimal genus Seifert surface $F_i \dagger$ for each component is unique.

7. Generalisation to other Milnor invariants

In this section we give the generalisation of Theorem 1.1 to many other Milnor invariants promised in Theorem 1.4. Cochran [Coc90, Theorem 7.2] associated an integer $\delta(I)$ to a multi-index $I$ giving the minimal nonnegative integer which can be realised as a Milnor invariant with the given multi-index $\mu_L(I)$ of any link $L$. If no link can have nonzero Milnor invariant with the given index, then $\delta(I) = 0$.

For a multi-index $I$, recall from Section 4 that we denote the number of occurrences of the index $i$ by $k_i$. In the following theorem, we suppose that $I$ is a multi-index with $\delta(I) \neq 0$, and we let $m$ be the number of distinct integers in $I$.

**Theorem 7.1.** Let $I$ be a multi-index as above for which $|I|$ is odd. Then there exists a smoothly slice (in fact ribbon) $m$-component boundary link $S = S_1 \sqcup \cdots \sqcup S_m$ with Seifert surfaces $F = F_1 \sqcup \cdots \sqcup F_m$, each of which is genus one and has an unknotted metabolising curve, such that for every metaboliser $M$ for the boundary link Seifert form and for any $m$ simple closed curves $M_1 \sqcup \cdots \sqcup M_m$ representing $M$, where $M_i \subset F_i$, we have $\overline{\mu}_M(I) \neq 0$.

Moreover for $i = 1, 2, 3$ we have that $F_i$ is a unique minimal genus Seifert surface for $S_i$.

**Proof.** The proof is analogous to the construction in Section 5. Take $m$ copies of the Cochran-Davis seed knot as $R = R_1 \sqcup \cdots \sqcup R_m$. Let $J$ be an $m$-component string link whose closure $\hat{J}$ has Milnor invariant $\overline{\mu}_J(I) = \delta(I)$, and $\overline{\mu}_J(I') = 0$ whenever $|I'| < |I|$. Such a string link can be produced by Cochran’s realisation theorem [Coc90 Theorem 7.2]. Let $x_i$, and $y_i$, for $i = 1, \ldots, m$, be copies of the curves shown in Figures 6 and 8. The collections $x_1 \sqcup \cdots \sqcup x_m$ and $y_1 \sqcup \cdots \sqcup y_m$
determine \( m \)-multi-discs \( \varphi_0(\mathcal{E}) \) and \( \varphi_1(\mathcal{E}) \) respectively. Define \( \Delta := \mathcal{E} \setminus (E_1 \sqcup \cdots \sqcup E_m) \). Just as in Section 5, \( \varphi_0(\Delta \times I) \) and \( \varphi_1(\Delta \times I) \) cobound an embedding \( \Delta \times I \times I \) in the complement of a collection of slice discs for \( R \). By Lemma 3.2, the double infection \( S := S(S(R, J, \varphi_0), -J, \varphi_1) \) is a slice link.

The individual knots are still copies of the Cochran-Davis seed knot, so have unique genus one Seifert surfaces with an unknotted metaboliser, the curve \( a_i \) from Figure 8. The proof that \( S \) is a ribbon link follows analogously to the proof given in Section 6; neither the number of components nor the infection string link were relevant to that proof.

A metaboliser consists of curves \( c_1 \sqcup \cdots \sqcup c_m \) where \( c_i \) is either of the type \( a_i \) or of the type \( b_i \), for each \( i = 1, \ldots, m \), where the curves \( a_i \) and \( b_i \) are depicted in Figure 8. Computing as in the proof of Theorem 5.1, and using the general version of Lemma 4.1, we see that the Milnor invariants of the metabolisers are given by the formula:

\[
\mu_{c_1 \sqcup \cdots \sqcup c_m}(I) = \delta(I) \cdot \left( \prod_{\{i|c_i=a_i\}} 2^{k_i} \right) \cdot \left( \prod_{\{i|c_i=b_i\}} (-1)^{k_i} \right) - 1.
\]

Since \( k_i \geq 1 \) for all \( i \), this could only be zero when \( c_i = b_i \) for all \( i \). But then

\[
\prod_{\{i|c_i=b_i\}} (-1)^{k_i} = m \prod_{i=1}^{m} (-1)^{k_i} = (-1)^{\sum_{i=1}^{m} k_i} = -1,
\]

since by hypothesis \( \sum_{i=1}^{m} k_i = |I| \) is odd. It follows that \( \mu_{b_1 \sqcup \cdots \sqcup b_m}(I) = -2\delta(I) \neq 0. \)

\[\square\]

**Appendix A. Ribbon boundary links are boundary ribbon**

**Definition A.1.** An oriented link \( L = L_1 \sqcup \cdots \sqcup L_m \) is ribbon if it is the boundary of \( m \) pairwise disjoint discs \( D = D_1 \sqcup \cdots \sqcup D_m \) embedded in \( B^4 \) in such a way that the radial Morse function on \( B^4 \) restricts to a Morse function on each \( D_i \) which has no critical points of index 2.

A link is a ribbon boundary link if it is both a ribbon link and a boundary link. Let \( \mathcal{F} \) be the free group on \( m \) generators. Recall that we denote the exterior of a link \( L \) by \( X_L := S^3 \setminus \nu L \) and that a link is a boundary link if and only if its exterior admits a map \( \pi_1(X_L) \to \mathcal{F} \) with the images of the meridians generating \( \mathcal{F} \) [Smy66], [Gut72].

Any collection of Seifert surfaces \( \{F_i\} \) induces such a map: let \( F_i \times [-1, 1] \) be a regular neighbourhood of \( F_i \) and map \( F_i \times [-1, 1] \to [-1, 1] \to S^1 \), where the codomain is the \( i \)th \( S^1 \) in a wedge of \( m \) circles \( \bigvee_m S^1 \) each of which has \(-1 \in S^1_i \) as its basepoints. The first map is projection and the last map is given
by \( t \mapsto e^{\pi i t} \). Map the exterior of the regular neighbourhood of the Seifert surfaces to the basepoint of \( \bigvee_m S^1 \). This defines a map \( X_L \to \bigvee_m S^1 = BF \). The induced map on fundamental groups gives a map \( \pi_1(X_L) \to F \) as required.

**Definition A.2** (Boundary ribbon). A ribbon boundary link is said to be **boundary ribbon** if there is a homomorphism \( \pi_1(B^4 \setminus \nu D) \to F \) which extends the homomorphism \( \pi_1(X_L) \to F \). Thus there is a map \( B^4 \setminus \nu D \to BF = \bigvee_m S^1 \) extending the map to \( \bigvee_m S^1 \) defined by the Seifert surfaces. Thus by transversality there are 3-manifolds \( R_i \sqcup \cdots \sqcup R_m \) embedded in \( B^4 \), with \( \partial R_i = F_i \cup L_i, D_i \) for \( i = 1, \ldots, m \).

As far as the authors are aware the next theorem has not appeared in the literature before, although it is well-known to the experts.

**Theorem A.3.** Ribbon boundary links are boundary ribbon.

The proof below was told to the authors by Kent Orr, whom we thank for allowing us to include this in our paper.

**Proof.** Let \( G \) be a group, let \( G_k \) be the \( k \)th lower central subgroup and let \( \theta_k : G/G_k \to (G/G_k)/\langle G_{k-1}/G_k \rangle \xrightarrow{\cong} G/G_{k-1} \) be the canonical map. The nilpotent completion \( \hat{G} \) of a group \( G \) can be constructed as the subgroup of the infinite product \( \prod_{k=1}^\infty G/G_k \), given by elements \( (g_2, g_3, g_4, \ldots) \), \( g_k \in G/G_k \), for which \( \theta_k(g_k) = g_{k-1}, k \geq 3 \). There is a homomorphism \( G \to \hat{G} \) and taking nilpotent completion is a functor; see for example [BS77].

Let \( Y_D := B^1 \setminus \nu D \). Note that the maps \( X_L \to Y_D \) and \( X_L \to BF \), given respectively by inclusion and the fact that \( L \) is a boundary link, induce isomorphisms \( H_1(X_L; \mathbb{Z}) \xrightarrow{\cong} H_1(Y_D; \mathbb{Z}), H_1(X_L; \mathbb{Z}) \xrightarrow{\cong} H_1(F; \mathbb{Z}) \) and surjections \( H_2(X_L; \mathbb{Z}) \to H_2(Y_D; \mathbb{Z}), H_2(X_L; \mathbb{Z}) \to H_2(F; \mathbb{Z}) \cong 0 \). Stallings’ theorem [Sta65] thus implies that all three groups \( \pi_1(X_L), \pi_1(Y_D) \) and \( F \) have isomorphic nilpotent completions with isomorphisms induced functorially. The proof is now contained in the following diagram, as explained below.

\[
\begin{array}{ccc}
\pi_1(Y_D) & \xrightarrow{\cong} & \pi_1(Y_D) \\
\pi_1(X_L) & \xrightarrow{\cong} & \\
F & \xrightarrow{\cong} & \hat{F} \\
\end{array}
\]

Since the upper left vertical map \( \pi_1(X_L) \to \pi_1(Y_D) \) is surjective and since the diagram commutes the image in \( \hat{F} \) of all three groups on the left hand side is the same. But \( F \) injects into its nilpotent completion since \( F \) is residually nilpotent; that is, the bottom horizontal map is an injection. Thus the image of \( F \) in \( \hat{F} \)
is $\mathcal{F}$, and so the image of $\pi_1(Y_D)$ in $\hat{\mathcal{F}}$ is also $\mathcal{F}$. We have a map $\pi_1(Y_D) \to \mathcal{F}$ as required. □

References

[BS77] G. Baumslag and U. Stammbach, *On the inverse limit of free nilpotent groups*, Comment. Math. Helv. **52** (1977), no. 2, 219–233.

[CD13] T. D. Cochran and C. W. Davis, *Counterexamples to Kauffman’s conjectures on slice knots*, arXiv:1303.4418, 2013.

[Cer68] J. Cerf, *Sur les difféomorphismes de la sphère de dimension trois $(\gamma_4 = 0)$*, Lecture Notes in Mathematics, no. 53, Springer-Verlag, Berlin, 1968.

[CF84] A. Casson and M. H. Freedman, *Atomic surgery problems*, Four-manifold theory (Durham, N.H., 1982), Contemp. Math., vol. 35, Amer. Math. Soc., Providence, RI, 1984, pp. 181–199.

[CFT09] T. D. Cochran, S. Friedl, and P. Teichner, *New examples of topologically slice knots and links*, Comment. Math. Helv. **84** (2009), no. 3, 617–638.

[CHH13] T. D. Cochran, S. Harvey, and P. D. Horn, *Filtering smooth concordance classes of topologically slice knots*, Geometry and Topology **17** (2013), 2103–2162.

[CHL10] T. D. Cochran, S. Harvey, and C. Leidy, *Derivatives of knots and second-order signatures*, Algebr. Geom. Topol. **10** (2010), no. 2, 739–787.

[CO94] T. D. Cochran and K. E. Orr, *Homology boundary links and Blanchfield forms: concordance classification and new tangle-theoretic constructions*, Topology **33** (1994), no. 3, 397–427.

[Coc04] T. D. Cochran, *Derivatives of links: Milnor’s concordance invariants and Massey’s products*, Mem. Amer. Math. Soc. **84** (1990), no. 427, x+73.

[Coc04] T. D. Cochran, *Noncommutative knot theory*, Algebr. Geom. Topol. **4** (2004), 347–398.

[COT04] T. D. Cochran, K. E. Orr, and P. Teichner, *Structure in the classical knot concordance group*, Comment. Math. Helv. **79** (2004), no. 1, 105–123.

[CT13] T. D. Cochran and E. Tweedy, *Positive links*, arXiv:1303.6691, 2013.

[FQ90] M. H. Freedman and F. Quinn, *Topology of 4-manifolds*, Princeton Mathematical Series, vol. 39, Princeton University Press, Princeton, NJ, 1990.

[Fre88] M. H. Freedman, *The disk theorem for four-dimensional manifolds*, Proceedings of the International Congress of Mathematicians, Vol. 1, 2 (Warsaw, 1983) (Warsaw), PWN, 1984, pp. 647–663.

[Fre88] M. H. Freedman, *Whitehead is a “slice” link*, Invent. Math. **94** (1988), no. 1, 175–182.

[Fre93] M. H. Freedman, *Link compositions and the topological slice problem*, Topology **32** (1993), no. 1, 145–156.

[Fri06] S. Friedl, *Algorithm for finding boundary link Seifert matrices*, J. Knot Theory Ramifications **15** (2006), no. 5, 601–612.

[Gil83] P. M. Gilmer, *Slice knots in $S^3$*, Quart. J. Math. Oxford Ser. (2) **34** (1983), no. 135, 305–322.

[Gil93] P. M. Gilmer, *Classical knot and link concordance*, Comment. Math. Helv. **68** (1993), no. 1, 1–19.

[GL11] P. M. Gilmer and C. Livingston, *On surgery curves for genus one slice knots*, To appear in Pacific J. Math; preprint available at arXiv:1109.1518v1 (2011).

[Gut72] M. A. Gutiérrez, *Boundary links and an unlinking theorem*, Trans. Amer. Math. Soc. **171** (1972), 491–499.

[HL90] N. Habegger and X. S. Lin, *The classification of links up to link-homotopy*, J. Amer. Math. Soc. **3** (1990), no. 2, 389–419.
[Hor10] P. D. Horn, A higher-order genus invariant and knot Floer homology, Proc. Amer. Math. Soc. 138 (2010), no. 6, 2209–2215.

[Kru08] V. S. Krushkal, A counterexample to the strong version of Freedman’s conjecture, Ann. of Math. (2) 168 (2008), no. 2, 675–693.

[Lev12] A. S. Levine, Slicing mixed Bing-Whitehead doubles, J. Topol. 5 (2012), no. 3, 713–726.

[Mil57] J. W. Milnor, Isotopy of links. Algebraic geometry and topology, A symposium in honor of S. Lefschetz, Princeton University Press, Princeton, N. J., 1957, pp. 280–306.

[Mun60] J. Munkres, Differentiable isotopies on the 2-sphere, Michigan Math. J. 7 (1960), 193–197.

[Sma59] S. Smale, Diffeomorphisms of the 2-sphere, Proc. Amer. Math. Soc. 10 (1959), 621–626.

[Smy66] N. Smythe, Boundary links, Topology Seminar, Wisconsin, 1965, Princeton University Press, Princeton, N.J., 1966, pp. 117–127.

[Sta65] J. Stallings, Homology and central series of groups, J. Algebra 2 (1965), 170–181.