

Zeitschrift: Commentarii Mathematici Helvetici
Herausgeber: Schweizerische Mathematische Gesellschaft
Band: 64 (1989)

Artikel: Leafwise hyperbolicity of proper foliations.
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DOI: <https://doi.org/10.5169/seals-48949>

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Leafwise hyperbolicity of proper foliations

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Introduction

A foliated manifold (M, \mathcal{F}) is said to be *proper* if every leaf of \mathcal{F} is proper. A leaf L is proper if the relative topology of L in M coincides with the manifold topology of L . This is equivalent to requiring that each point $x \in L$ lies in a foliation chart $U \subset M$ such that $L \cap U$ is a single plaque. Equivalently, the leaf L is not asymptotic to itself.

Proper foliated manifolds have been studied by various authors. For example, in arbitrary codimension, Millett [Mi] has organized the leaves of such foliations into a countable ordinal hierarchy that is completely analogous to the Epstein hierarchy for foliations with all leaves compact [Ep].

In codimension one, with smoothness class at least C^2 , there is a more rigid hierarchy by integral *levels* [C–C1]. Leaves at a given level wind in on those at lower levels in a way reminiscent of the Poincaré–Bendixson theorem. In [C–C2], this hierarchy is combined with Millett's to prove that C^2 -smoothness for proper foliated manifolds of codimension one implies C^∞ -smoothability.

In the work of Gabai [Ga1], [Ga2], [Ga3], proper foliated 3-manifolds occur that are Reebless and of *finite depth* (which means that there is an upper bound on the levels). Generally, these foliations may only be of class C^0 , although frequently they are smooth.

In what follows, (M, \mathcal{F}) will denote a C^2 -foliated 3-manifold, where M is compact and orientable and \mathcal{F} is of codimension one and transversely orientable.

An interesting geometric problem is to find a Riemannian metric on M relative to which each leaf of \mathcal{F} is *hyperbolic* (i.e., has constant curvature -1). We say that such a metric is *leafwise hyperbolic*.

MAIN THEOREM. *Let (M, \mathcal{F}) be proper and assume that each component of ∂M is a leaf of \mathcal{F} . Then \exists a leafwise hyperbolic metric on M if and only if no leaf of \mathcal{F} is a torus or a sphere.*

¹ Work partially supported by N.S.F. Contract 8420322.

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COROLLARY *Let (M, \mathcal{F}) be proper and assume that each component of ∂M is either a leaf or is transverse to \mathcal{F} . If no compact leaf of \mathcal{F} is a torus, a sphere, a disk, or an annulus, then \exists a leafwise hyperbolic metric on M .*

This corollary is immediate upon doubling (M, \mathcal{F}) along the transverse boundary.

Gabai's proper foliations of knot complements $M = S^3 \setminus N^0(k)$ are taut (that is, every leaf meets a closed transversal nontrivially) and admit a minimal genus spanning surface of the knot k as a leaf [Ga1, Theorem 5.5]. Together with the fact that $H_1(M; \mathbb{Z}) \cong \mathbb{Z}$, this implies that, for knots of genus greater than one, no compact leaf is a torus, a sphere, an annulus, or a disk. If the foliation can be chosen to be smooth, the corollary implies that it admits a leafwise hyperbolic metric.

The “only if” part of the Main Theorem is evident. The proof of the “if” part uses the Poincaré–Bendixson theory of totally proper leaves [C–C1, §6] and the smooth parametrization of hyperbolic structures by Fenchel–Nielsen coordinates [Th, § 5].

Remark. The hypothesis in [C–C1] that $\partial M = \emptyset$ can be replaced with the hypothesis that ∂M is a union of leaves without affecting any of the theorems or proofs in that paper. *We fix this hypothesis throughout.*

1. Constructing a hyperbolic skeleton

In this section, unless otherwise specified, (M, \mathcal{F}) need not be proper.

We fix a smooth, one dimensional foliation \mathcal{F}^\perp of M that is everywhere transverse to \mathcal{F} . There corresponds a decomposition

$$T(M) = T(\mathcal{F}) \oplus T(\mathcal{F}^\perp)$$

into the respective sub-bundles of tangents to the two foliations. We will fix a Riemannian metric on $T(\mathcal{F}^\perp)$. All metrics constructed on $T(M)$ will be understood to induce this fixed metric on $T(\mathcal{F}^\perp)$ and to make the two summands orthogonal. Accordingly, in this and the following sections, the Riemannian metrics that we will be constructing will be metrics on $T(\mathcal{F})$.

Let $O(\mathcal{F})$ denote the family of open, \mathcal{F} -saturated subsets of M and, for $U \in O(\mathcal{F})$, let \hat{U} denote the completion of U in any Riemannian metric inherited from a Riemannian metric on M . As is well known [Di], [C–C1], [H–H], [Go], \hat{U} is a manifold with boundary and the inclusion $i: U \hookrightarrow M$ induces a C^2 immersion $\hat{i}: \hat{U} \rightarrow M$ that may identify some components of $\partial \hat{U}$ pairwise. Then we obtain a

C^2 foliation, $\hat{i}^{-1}(\mathcal{F}) = \hat{\mathcal{F}}$, of \hat{U} that is tangent to $\partial\hat{U}$, while $\hat{i}^{-1}(\mathcal{F}^\perp) = \hat{\mathcal{F}}^\perp$ is a smooth, one dimensional foliation of \hat{U} , everywhere transverse to $\hat{\mathcal{F}}$.

Of special interest is the case in which \hat{U} is diffeomorphic to $L \times [0, 1]$ in such a way that the leaves of $\hat{\mathcal{F}}^\perp$ are identified with the intervals $\{x\} \times [0, 1]$, $\forall x \in L$. Following our usage elsewhere (e.g., [C-C1]), we will say that U is a *foliated product*. We will also identify L with the leaf $\hat{i}(L \times \{0\})$ of \mathcal{F} , which may or may not be the same as the leaf $\hat{i}(L \times \{1\})$.

DEFINITION. A closed subset $X \subset M$ that is a finite union of leaves will be called a *skeleton* of (M, \mathcal{F}) if each component of $M \setminus X$ is a foliated product.

(1.1) **LEMMA.** *If (M, \mathcal{F}) is proper, it has a skeleton.*

Proof. Choose a countable family $\{L_i\}_{i=1}^\infty$ of leaves of \mathcal{F} such that $\bigcup_{i=1}^\infty L_i$ is everywhere dense in M . Let $X_k = \bigcup_{i=1}^k L_i$, $\forall k \geq 1$. Since (M, \mathcal{F}) is proper, the closure \bar{X}_k of X_k is a finite union of leaves [C-C1, (4.7)]. Since $\bigcup_{k=1}^\infty \bar{X}_k$ is everywhere dense in M , the components of $M \setminus \bar{X}_k$ will all be foliated products, for k sufficiently large [Di, Proposition 1].

Our proof of the Main Theorem will proceed by finding, first, a metric making all leaves of the skeleton X hyperbolic and, then, by modifying the metric in each of the complementary foliated products. For the first step, the only property of the skeleton X that will be needed is that it is a compact union of finitely many leaves.

Let X be a compact, nonempty, union of finitely many leaves of \mathcal{F} , these being, of necessity, proper whether or not the foliation is proper (the closure of a nonproper leaf contains uncountably many leaves by the results in [C-C1, § 4 and § 5]). There will be an integer $n \geq 0$ such that each leaf in X has level at most n and, for each of the integers $k = 0, 1, \dots, n$, at least one leaf in X has level k . The leaves at level 0 are exactly the compact ones, and the leaves at level $k > 0$ are asymptotic to some of the leaves at each level strictly less than k , but to no others. For the general theory of levels, see [C-C1].

Let $L \subset X$ be a leaf at level $k > 0$. The Poincaré–Bendixson theory of totally proper leaves applies [C-C1, §6] and gives a decomposition

$$L = A \cup B^1 \cup \dots \cup B^r,$$

together with projections

$$p^j : B^j \rightarrow L^j,$$

that are *spirals* onto leaves $L^j \subset X$ at lower levels. Each p^j is a projection along leaves of \mathcal{F}^\perp and is a semi-covering with covering semigroup the positive integers \mathbb{Z}^+ . Indeed, if $y_0 \in B^j$ and $p^j(y_0) = y \in L^j$, there is a compact subarc of a leaf of \mathcal{F}^\perp , having endpoints y_0 and y , which meets B^j in a sequence of points $\{y_i\}_{i=0}^\infty$ that converges monotonically to y . The semigroup action of \mathbb{Z}^+ on B^j is generated by the proper imbedding $\pi: B^j \rightarrow B^j$ defined by $\pi(y_0) = y_1$. Finally, the submanifold A is compact and connected, $A \cap B^j = \partial B^j$ is also a component of ∂A , $1 \leq j \leq r$, and $B^i \cap B^j = \emptyset$ if $i \neq j$.

The above action of \mathbb{Z}^+ corresponds to an element of contracting holonomy of the leaf L^j . This element of holonomy determines a *compactly supported* cohomology class $\alpha \in H_c^1(L^j; \mathbb{Z})$. The proof that α is compactly supported makes essential use of the hypothesis that (M, \mathcal{F}) is of class C^2 . The Poincaré dual of α can be represented by a compact, connected, nonseparating submanifold $N^j \subset L^j$ of codimension one, called the *juncture* of the spiral p^j . In our case, $\dim(L^j) = 2$, so N^j is always a circle.

The geometric interpretation of the juncture N^j is as follows. The manifold B^j will be an “infinite repetition” of segments $\{B_i^j\}_{i=0}^\infty$, each diffeomorphic to a copy of the manifold L_*^j with two boundary components that is obtained by cutting L^j along N^j . If $k > 1$, then B_i^j and B_{i+k}^j will be disjoint, $\forall i \geq 0$, while $B_i^j \cap B_{i+1}^j = N_{i+1}^j$ will be a common boundary component of these manifolds. We also let N_0^j denote ∂B^j , one of the two components of ∂B_0^j . Finally, the projection p^j will carry N_i^j diffeomorphically onto N^j , $\forall i \geq 0$.

For all of the above, only the homology class of N^j in L^j matters, so we will always take the juncture to be a closed geodesic in a metric relativized from a metric on M .

Finally, it should be remarked that the compact manifold $A \subset L$ can be chosen as large as desired. It follows that, if L is not topologically a plane or a cylinder, then A can be chosen to be neither a disk nor an annulus.

For more details concerning the Poincaré–Bendixson theory of totally proper leaves, the reader should consult [C–C1, § 6].

(1.2) **PROPOSITION.** *Let X be a compact union of finitely many leaves of \mathcal{F} . Then, if no leaf in X is a torus or a sphere, \exists a Riemannian metric g on M and an open neighborhood W of X such that $g|W$ is a leafwise hyperbolic for $\mathcal{F}|W$ and such that projection along the leaves of $\mathcal{F}^\perp|W$ defines local isometries between the leaves of $\mathcal{F}|W$.*

Proof. We proceed by induction on the levels of the leaves in X . The leaves at level 0 are compact and, by the hypothesis, each supports a hyperbolic metric. In standard fashion, one constructs a metric on M that relativizes to the chosen

hyperbolic metric on each leaf at level 0 in X . Arrange that, on the union W_0 of suitable disjoint normal neighborhoods of these compact leaves (the normal fibers are open subarcs of leaves of \mathcal{F}^\perp), the metric is the lift, via the projection, of the hyperbolic metric. Hence, the metric is leafwise hyperbolic in W_0 and projection along the normal fibers defines local isometries between the leaves of $\mathcal{F} \mid W_0$.

Let X_k denote the union of all leaves in X at levels at most k . This is a compact set. Let $W_k \subseteq M$ be an open neighborhood of X_k obtained as the (generally not disjoint) union of sufficiently small normal neighborhoods of the leaves in X_k . Inductively, assume that a metric on M has been found relative to which each leaf of $\mathcal{F} \mid W_k$ has constant curvature -1 and such that the local projections along leaves of $\mathcal{F}^\perp \mid W_k$ define local isometries between the leaves of $\mathcal{F} \mid W_k$. Let L be a leaf in X at level $k+1$. Choose a decomposition $L = A \cup B^1 \cup \dots \cup B^r$ with spirals $p^j : B^j \rightarrow L^j$, $1 \leq j \leq r$. By the inductive hypothesis, each of the leaves L^j is hyperbolic and we can arrange, as remarked above, that the juncture N^j be a closed geodesic in L^j . The metric on each leaf L^j is lifted, via p^j , to a hyperbolic metric on B^j in which ∂B^j is a closed geodesic. Furthermore, this metric on $B^j \cap W_k$ agrees with the one already defined.

An easy induction on the level of L (necessarily > 1) shows that this leaf has infinite genus, so the compact submanifold A can be chosen to be neither a disk nor an annulus. Decompose A into “pairs of pants”. Each pair of pants has a hyperbolic metric, uniquely specified (up to isometries that are isotopic to the identity) by requiring each boundary circle to be a geodesic of specified length [Po]. Using this, one readily extends the metric on $\bigcup_{j=1}^r B^j$ smoothly over A so as to produce a hyperbolic metric on the leaf L . One does this for each leaf $L \subset X$ at level $k+1$. There is a neighborhood \tilde{W} of X_{k+1} of the desired type, obtained by extending W_k via disjoint, normal neighborhoods of the compact sets $L \setminus W_k$, and the metric extends over \tilde{W} to be as desired. Select the new neighborhood W_{k+1} of X_{k+1} by shrinking \tilde{W} slightly in the \mathcal{F}^\perp directions and then modify the metric in $\tilde{W} \setminus W_{k+1}$ so that it extends C^2 -smoothly to a Riemannian metric on M .

2. The metric on the foliated products

In this section, we assume that (M, \mathcal{F}) is proper. By (1.1) and (1.2), we choose a skeleton $X \subset M$ and a Riemannian metric on M that makes each leaf in X hyperbolic.

Let U be a component of $M \setminus X$. Fix the identification $\hat{U} \cong L \times [0, 1]$. Let

$$\hat{\rho} : L \times \{0\} \rightarrow L \times \{1\}$$

be projection along the leaves of $\hat{\mathcal{F}}^\perp$. That is to say, $\hat{\rho}(x, 0) = (x, 1)$. Let $L = \hat{i}(L \times \{0\})$ and $\tilde{L} = \hat{i}(L \times \{1\})$. The projection $\hat{\rho}$ defines a diffeomorphism

$$\rho : L \rightarrow \tilde{L}$$

that is generally not an isometry. For instance, it is quite possible that $L = \tilde{L}$ and then, if L is not compact, it is impossible that ρ be the identity and generally it is impossible that it be an isometry. Consequently, we cannot expect $\hat{\rho}$ to be an isometry either.

Recall the decomposition of L into the compact submanifold A and “arms” B^j , $1 \leq j \leq r$, together with $p^j : B^j \rightarrow L^j$. Let $\tilde{A} = \hat{i}(A \times \{1\})$, let $\tilde{B}^j = \hat{i}(\tilde{B}^j \times \{1\})$, $1 \leq j \leq r$, and let p^j denote both of the spirals $B^j \rightarrow L^j$ and $\tilde{B}^j \rightarrow L^j$. The metrics on B^j and \tilde{B}^j have been lifted by p^j from a hyperbolic metric on L^j , $\forall j$. If $L = \tilde{L}$, then, depending on the side of the leaf L^j on which the arm B^j spirals, either ρ or ρ^{-1} carries B^j into itself and generates the covering semigroup \mathbb{Z}^+ on B^j . In any case, ρ carries B^j isometrically onto \tilde{B}^j and it follows that, in \hat{U} and relative to the metric pulled back by \hat{i} , the projection

$$\hat{\rho} : L \times \{0\} \rightarrow L \times \{1\}$$

carries $B^j \times \{0\}$ isometrically onto $B^j \times \{1\}$, $1 \leq j \leq r$. The problem alluded to in the previous paragraph is that the diffeomorphism $\hat{\rho} | (A \times \{0\})$ of $A \times \{0\}$ onto $A \times \{1\}$ is not generally an isometry. It is true, however, that $\hat{\rho}$ is an isometry of the boundary geodesics since these are also boundary geodesics for the arms.

Fix a decomposition of $A \times \{0\}$ into pairs of pants, each bounded by closed geodesics. Then $\hat{\rho}$ carries this to a decomposition of $A \times \{1\}$ into pairs of pants, but the boundary circles that are not already components of $\partial A \times \{1\}$ may not be geodesics. These circles can be replaced with closed geodesics in their free homotopy class, giving a decomposition of $A \times \{1\}$ that is diffeomorphic to the first one. Finally, one smoothly alters $\hat{\mathcal{F}}^\perp | (A \times [0, 1])$, without changing it near $A \times \{0, 1\}$ nor near $\partial A \times [0, 1]$, so that $\hat{\rho}$ carries the decomposition of $A \times \{0\}$ to the one of $A \times \{1\}$, although *not isometrically*. Remark that \mathcal{F}^\perp itself has been slightly modified, but in regions not affecting any preceding construction.

(2.1) LEMMA. *The Riemannian metric on $A \times \{0, 1\}$ extends to a metric g' on $A \times [0, 1]$ that restricts to a hyperbolic metric g'_t on each level set $A \times \{t\}$. For t sufficiently near 0 or 1, respectively, the metric g'_t is independent of t . Finally, g'_t makes each component $\Sigma \times \{t\}$ of $\partial A \times \{t\}$ into a geodesic isometric to Σ , $0 \leq t \leq 1$.*

Proof. The space of isotopy classes of hyperbolic metrics on A , relative to which the components of ∂A are closed geodesics of specified lengths, is smoothly parametrized as a Euclidean space \mathbb{R}^N , in a way that depends on the choice of decomposition of A into pairs of pants. These coordinates, due to Fenchel and Nielsen [Th, § 5], are the logarithms of the lengths of the boundary components of the pairs of pants, other than the components of ∂A , together with real numbers that record relative “twisting” along common boundary geodesics. Since $\hat{\rho}$ carries the decomposition of $A \times \{0\}$ to that of $A \times \{1\}$, we can view the metrics on these manifolds as points (a_1, \dots, a_N) and (b_1, \dots, b_N) in the same Euclidean space \mathbb{R}^N . Choose a smooth path $\sigma: [0, 1] \rightarrow \mathbb{R}^N$ that joins these points and is constant near 0 and 1. Then $\sigma(t) = g'_t$ is a hyperbolic metric on $A \times \{t\}$, $0 \leq t \leq 1$, and all assertions follow.

Should it happen that $\hat{\mathcal{F}}|_{(A \times [0, 1])}$ is the product foliation, we are done. This is not generally the case. Furthermore, if Σ is a component of ∂A and if F is a leaf of $\hat{\mathcal{F}}|_{(A \times [0, 1])}$, the components of $F \cap (\Sigma \times [0, 1])$ need not be closed.

Let \mathcal{H}' denote the product foliation of $A \times [0, 1]$ and let \mathcal{H} denote the foliation of that manifold induced by $\hat{\mathcal{F}}$. Then g' is a Riemannian metric on $T(\mathcal{H}')$. If $v_i \in T_{(x,t)}(\mathcal{H})$, $i = 1, 2$, let $v'_i \in T_{(x,t)}(\mathcal{H}')$ be the unique vector that differs from v_i by an element of $T(\hat{\mathcal{F}}^\perp)$. Define a Riemannian metric g on $T(\mathcal{H})$ by setting $g(v_1, v_2) = g'(v'_1, v'_2)$.

(2.2) LEMMA. *Under the metric g , each leaf of \mathcal{H} has constant curvature -1 .*

Proof. For v_i and v'_i as above, it is evident that (v_1, v_2) is a g -orthonormal frame if and only if (v'_1, v'_2) is g' -orthonormal. It will be enough, therefore, to show that the respective curvature tensors satisfy the identity

$$(R(v_1, v_2)v_2)' = R'(v'_1, v'_2)v'_2.$$

Let $\lambda: A \times [0, 1] \rightarrow A$ be the canonical projection. Set $\omega_i = \lambda_*(v_i) = \lambda_*(v'_i)$, $i = 1, 2$. Let X_i be a smooth extension of ω_i to a field on A . Let $Y_i \in \Gamma(T(\mathcal{H}))$ and $Y'_i \in \Gamma(T(\mathcal{H}'))$ be the unique elements that are λ -related to X_i , $i = 1, 2$. By integrability, $[Y_1, Y_2] \in \Gamma(T(\mathcal{H}))$ and $[Y'_1, Y'_2] \in \Gamma(T(\mathcal{H}'))$, and these fields are λ -related to $[X_1, X_2]$. It follows that $[Y_1, Y_2]' = [Y'_1, Y'_2]$. Let ∇ and ∇' be the respective Levi–Civita connections (along the leaves of \mathcal{H} and \mathcal{H}' , respectively) for the metrics g and g' . The well known formula for the Levi–Civita connection [K–N, p. 160] involves only the metric and the bracket operation, hence

$$(\nabla_{Y_1} Y_2)' = \nabla'_{Y'_1} Y'_2$$

and it follows that $(R(v_1, v_2)v_2)' = R'(v'_1, v'_2)v'_2$. \square

(2.3) LEMMA. *Let H be a leaf of \mathcal{H} . Then each component of $H \cap (\partial A \times [0, 1])$ is a geodesic for the metric $g|_H$ and λ defines a local isometry of this geodesic onto one of the closed geodesics bounding A .*

Proof. Let J be a subarc of a component of $H \cap (\partial A \times [0, 1])$, small enough that λ carries it one-one into ∂A . Relative to g , let v be a unit tangent field along J . At each point of J , the corresponding vector v' has unit length relative to g' . Since λ is an isometry of each $\partial A \times \{t\}$ (in the g' metric) onto ∂A , it follows that $\lambda_*(v)$ is a unit tangent field along $\lambda(J)$. The field $\lambda_*(v)$ lifts to a field Z on $\lambda^{-1}(J)$ that is everywhere tangent to \mathcal{H} . The corresponding field Z' , tangent to \mathcal{H}' , has unit g' -length and is everywhere tangent to curves that are geodesics in leaves of \mathcal{H}' , hence $\nabla'_{Z'}Z' \equiv 0$. Then, as in the proof of (2.2), $(\nabla_Z Z)' = \nabla'_{Z'}Z' \equiv 0$, so $\nabla_Z Z \equiv 0$. In particular, J is a geodesic segment for $g|_H$. \square

Remarks. Let g^j be the metric on $B^j \times [0, 1]$ lifted from B^j via projection. Since $\partial B^j \subset \partial A$ is a closed geodesic, the subarc J in the above proof has exactly the same geodesic structure relative to the metric g^j as it has relative to g .

We now build the metric g on \hat{U} (more precisely, on $T(\hat{\mathcal{F}})$) by using the metric constructed above in $A \times [0, 1]$ and using, in each arm $B^j \times [0, 1]$, the lifted metric g^j . The only problem is to make sure these definitions fit together smoothly (i.e., C^2). For this, it will be enough to verify leafwise smoothness.

(2.4) COROLLARY. *The metric g , as defined above on \hat{U} , is of class C^2 and leaf-wise hyperbolic.*

Proof. Let H be a leaf of \mathcal{H} and let J be a small open subarc of $H \cap (\partial A \times [0, 1])$, as in the proof of (2.3). Let W be an open subset of H such that $W \cap (\partial A \times [0, 1]) = J$. Let $W^+ = W \cap (A \times [0, 1])$ and $W^- = W \cap (B^j \times [0, 1])$ and let $\varphi^\pm: W^\pm \rightarrow \mathbb{H}^2$ be isometric mappings into the hyperbolic plane \mathbb{H}^2 . Then $\varphi^-(J)$ and $\varphi^+(J)$ are hyperbolic line segments of the same length and, by standard hyperbolic geometry, there is an isometry $\tau: \mathbb{H}^2 \rightarrow \mathbb{H}^2$ such that $\tau(\varphi^-(J)) = \varphi^+(J)$. Thus, the isometric imbeddings $\tau \circ \varphi^-: W^- \rightarrow \mathbb{H}^2$ and $\varphi^+: W^+ \rightarrow \mathbb{H}^2$ fit together to define an isometric imbedding $\tilde{\varphi}: W \rightarrow \mathbb{H}^2$. \square

(2.5) LEMMA. *Outside of a compact subset of $A \times]0, 1[$, the metric g is just the lift, via projections along the leaves of $\hat{\mathcal{F}}^\perp$, of the hyperbolic metric on $\partial \hat{U}$ that is pulled back from the skeleton X via \hat{i} .*

Proof. This is clear in the arms. In $A \times [0, 1]$, it follows from the relation between g and g' and the fact that, for t sufficiently near 0 (respectively, 1), g'_t is independent of t . \square

For each component U of $M \setminus X$, we have produced a leafwise hyperbolic metric of class at least C^2 . We claim that these metrics, together with the hyperbolic metric on X produced in (1.2), assemble to form the desired C^2 metric on M . Indeed, the metric in (1.2) is of class C^2 and, by (2.5), it agrees in a neighborhood of X with the metric we have just produced. Since the only points where differentiability could fail are the points of X , the proof of the Main Theorem is complete.

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Received March 16, 1987