

## ON THE COSMETIC CROSSING CONJECTURE FOR SPECIAL ALTERNATING LINKS

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**ABSTRACT.** We prove that a family of links, which includes all special alternating knots, does not admit non-nugatory crossing changes which preserve the isotopy type of the link. Our proof incorporates a result of Lidman and Moore [Trans. Amer. Math. Soc. **369** (2017), pp. 3639–3654] on crossing changes to knots with  $L$ -space branched double-covers, as well as tools from Scharlemann and Thompson’s [Comment. Math. Helv. **64** (1989), pp. 527–535] proof of the cosmetic crossing conjecture for the unknot.

### 1. INTRODUCTION

The cosmetic crossing conjecture, attributed to Xiao-Song Lin [12, Problem 1.58], posits that changing a nontrivial crossing in a link diagram must change the isotopy type of the link. More concretely, given an oriented link  $L \subset S^3$ , define a *crossing disk* to be a disk  $D \subset S^3$  which intersects  $L$  transversely at two points of opposite orientation. A *crossing change* is then performed by passing a neighborhood of one point of  $L \cap D$  through a neighborhood of the other, as in Figure 1. The crossing is said to be *nugatory* if  $\partial D$  bounds a disk in  $S^3 - L$ , and a crossing change is *cosmetic* if it preserves the isotopy type of  $L$ .

**Conjecture 1.1** (Cosmetic crossing conjecture). *For any knot  $L \subset S^3$ , only a nugatory crossing admits a cosmetic crossing change.*

Conjecture 1.1 has been affirmed for two-bridge knots [19] and fibered knots [11], and significant partial results exist for genus one knots and satellite knots [1, 2, 9, 10]. Further, Lidman and Moore have verified the conjecture for all knots  $L \subset S^3$  such that the branched double-cover  $\Sigma(L)$  is an  $L$ -space, and  $L$  has square-free determinant [13]; their work has been extended by Ito [8].

In this note, we prove the cosmetic crossing conjecture for all special alternating knots in  $S^3$ . (The case of special alternating knots with square-free determinant is included in [13].)

**Theorem 1.2.** *Let  $L \subset S^3$  be a special alternating knot. Then  $L$  admits no cosmetic, non-nugatory crossing change.*

Actually, we prove Conjecture 1.1 for a family of oriented links which includes all non-split special alternating links with certain orientations, and some non-alternating links—see Theorem 3.2.

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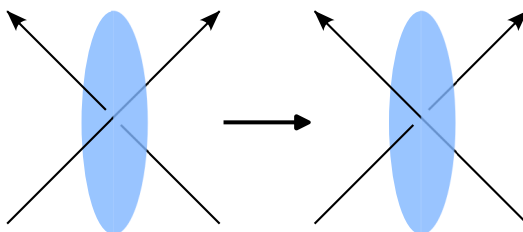


FIGURE 1. A crossing change

A diagram  $D \subset S^2$  of a link  $L \subset S^3$  is *alternating* if crossings alternate over-under as one traverses any link component of the diagram. The diagram is *special* if one of its checkerboard surfaces, constructed by shading the components of  $S^2 - D$  in a checkerboard fashion and taking the union of the shaded regions with half-twisted bands at each crossing, is orientable. Equivalently, a diagram is special if one of its Tait graphs is bipartite. A link  $L \subset S^3$  is called *special alternating* if it admits a diagram which is both alternating and special. Special alternating links include  $(2, n)$ -torus links, and many twist and pretzel knots. More generally, as alluded to above, a special alternating diagram can be constructed from any embedding of a bipartite planar graph in  $S^2$ .

Our proof of Theorem 1.2 incorporates a key result from Lidman and Moore [13], as well as tools from Scharlemann and Thompson’s proof of Conjecture 1.1 for the unknot [18, Theorem 1.4]. As a corollary, we obtain the following:

**Corollary 1.3.** *Suppose a link  $L \subset S^3$  admits a cosmetic, non-nugatory crossing change, and  $\Sigma(L)$  is an  $L$ -space. Then  $L$  bounds two minimal-genus Seifert surfaces, with Seifert forms represented by matrices  $(v_{ij})$  and  $(v'_{ij})$ , such that  $v_{11} = v'_{11} + 1$  and  $v_{ij} = v'_{ij}$  otherwise.*

Corollary 1.3 is analogous to a finding of Balm, Friedl, Kalfagianni and Powell [1, Corollary 1.3], who use a related approach to study genus one knots.

## 2. BACKGROUND

A three-manifold  $Y$  is an  $L$ -space if it is a rational homology sphere with  $\text{rank}(\widehat{HF}(Y)) = |H_1(Y; \mathbb{Z})|$ , where  $\widehat{HF}$  denotes the hat flavor of Heegaard Floer homology. Of importance to us is the fact that, if  $L \subset S^3$  is a non-split alternating link, then its branched double-cover,  $\Sigma(L)$ , is an  $L$ -space [16].

Let  $L \subset S^3$ , and  $D$  a crossing disk for  $L$  as above. A *crossing arc* is an embedded arc  $\gamma \subset D$  connecting the two points of  $L \cap D$ , and we use  $\tilde{\gamma}$  to denote the closed curve which is the preimage of  $\gamma$  in the branched covering  $\Sigma(L) \rightarrow S^3$ . Lidman and Moore proved the following:

**Theorem 2.1** ([13, Remark 13]). *Let  $L$  be an oriented knot with  $\Sigma(L)$  an  $L$ -space,  $D$  a crossing disk for  $L$ , and  $\gamma$  a crossing arc in  $D$ . If the crossing change induced by  $D$  is cosmetic, and  $\tilde{\gamma}$  is nullhomologous in  $\Sigma(L)$ , then  $D$  is nugatory.*

Their argument uses the surgery characterization of an unknot in an  $L$ -space, due to Gainullin [4]. In the appendix, we extend Theorem 2.1 to links.

Next, we recall the *Gordon-Litherland form*. Given a surface  $S \subset S^3$ , this is a symmetric, bilinear form  $\mathcal{G}_S : H_1(S)^2 \rightarrow \mathbb{Z}$  [5]. Briefly, let  $\nu(S) \subset S^3$  denote the

unit normal bundle of  $S$ , with projection  $p : \nu(S) \rightarrow S$ . Given homology classes  $a, b \in H_1(S)$ , represented by embedded multi-curves  $\alpha, \beta \subset S$ , we define

$$\mathcal{G}_S(a, b) = \text{lk}(\alpha, p^{-1}\beta),$$

where  $\text{lk}$  is the linking number. If  $L \subset S^3$  is an oriented link, and  $S$  a compatibly oriented Seifert surface for  $L$ , then  $\mathcal{G}_S$  coincides with the symmetrized Seifert form of  $S$ , and the signature  $\sigma(\mathcal{G}_S)$  equals the signature of  $L$ . If, in addition,  $S$  is connected, then the nullity  $\eta(\mathcal{G}_S)$  is a link invariant called the *nullity* of  $L$ ,  $\eta(L)$ . (In some literature,  $\eta(L)$  is defined to be  $\eta(\mathcal{G}_S) + 1$ .)

*Convention 2.2.* All links are oriented, and we require Seifert surfaces be oriented compatibly with the link. We allow Seifert surfaces to be disconnected, but not to have closed components.

A surface in  $S^3$  is called *definite* if its Gordon-Litherland form is positive- or negative-definite. If  $D \subset S^2$  is an alternating link diagram, then the two checkerboard surfaces of  $D$  are known to be definite; conversely, definite surfaces can be used to characterize alternating links topologically [6, 7]. In particular, a suitably oriented, non-split special alternating link bounds a definite Seifert surface.

### 3. PROOF OF MAIN RESULT

We say a Seifert surface spanning an oriented, non-split link  $L \subset S^3$  is *taut* if it has maximal Euler characteristic among all Seifert surfaces of  $L$ . (For equivalence with the standard definition of tautness, see [18, Lemma 1.2].) We have:

**Lemma 3.1.** *Suppose non-split  $L \subset S^3$  bounds a definite Seifert surface  $S$ . Then  $S$  is taut in  $S^3 - L$ , and conversely every taut Seifert surface for  $L$  is definite.*

*Proof.* First, we argue that  $S$  has the maximal number of components of any Seifert surface for  $L$ . Suppose some Seifert surface  $S'$  has  $b_0(S') > b_0(S)$ . We form a connected Seifert surface  $\hat{S}$  for  $L$  by joining the components of  $S$  using  $b_0(S) - 1$  tubes, and likewise form a connected surface  $\hat{S}'$  by adding  $b_0(S') - 1$  tubes to  $S'$ . We have

$$\eta(\mathcal{G}_{\hat{S}}) = \eta(\mathcal{G}_{\hat{S}'}) \geq b_0(S') - 1,$$

since each tube increases the nullity by one. It follows that

$$\eta(\mathcal{G}_S) = \eta(\mathcal{G}_{\hat{S}}) - b_0(S) + 1 \geq b_0(S') - b_0(S) > 0,$$

contradicting the definite-ness of  $S$ .

Next, as in [6, Proposition 3.1], for any Seifert surface  $S'$  of  $L$ , we have

$$b_1(S') \geq |\sigma(L)| = b_1(S),$$

the last equality following from the fact that  $S$  is definite. This shows  $S$  has minimal  $b_1$ , and therefore maximal Euler characteristic. Finally, any Seifert surface  $S'$  with  $\chi(S') = \chi(S)$  must have  $b_1(S') = b_1(S) = |\sigma(L)|$ , so must be definite as well.  $\square$

**Theorem 3.2.** *Suppose an oriented link  $L \subset S^3$  satisfies the following conditions:*

- *The link  $L$  bounds a definite Seifert surface  $S$ .*
- *The branched double-cover  $\Sigma(L)$  is an  $L$ -space.*

*Then  $L$  does not admit a non-nugatory, cosmetic crossing change.*

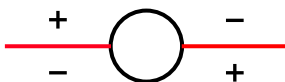


FIGURE 2. Two oriented lifts of  $S - n(L)$ , in a neighborhood of a meridian of  $\partial n(\tilde{L})$

We note the second condition above implies  $L$  is non-split, since  $\Sigma(L)$  is a rational homology sphere. Examples of non-alternating links which satisfy the hypotheses of Theorem 3.2 include the knots  $9_{49}$ ,  $10_{134}$ , and  $10_{142}$ . These knots are known to be quasi-alternating [3, 15], and hence have branched double-covers which are  $L$ -spaces. Further, each knot  $K$  satisfies  $2g(K) = |\sigma(K)|$ ,  $g$  the genus of  $K$ , implying the existence of a definite Seifert surface. These examples were found with the help of KnotInfo [14].

*Proof of Theorem 3.2.* Let  $L$  be a link satisfying the hypotheses of the theorem, and let  $D$  be a cosmetic crossing disk for  $L$ . Let  $K = \partial D$ , and let  $M = S^3 - n(K \cup L)$ , where  $n$  indicates a regular neighborhood. Following [18], let  $M_{-1}$ ,  $M_0$ , and  $M_\infty$  denote the result of filling  $M$  along  $\partial n(K)$  by a solid torus with slope  $-1$ ,  $0$ , and  $\infty$  respectively. Then  $M_\infty = S^3 - n(L)$ , and without loss of generality,  $M_{-1}$  is the result of performing the crossing change indicated by  $D$ . By assumption,  $M_{-1} \cong M_\infty$ .

Let  $S \subset M$  be a Seifert surface for  $L$  which is taut in  $M$ . Shrinking  $D$  if necessary, we may assume that  $S \cap D$  is a single arc  $\gamma$ , which is also a crossing arc for  $D$ . Scharlemann and Thompson prove that  $S$  is taut in at least two of  $M_{-1}$ ,  $M_0$ , and  $M_\infty$  [18, Claim 1]. Thus  $S$  is taut in at least one of  $M_{-1}$  and  $M_\infty$ , and since these manifolds are homeomorphic,  $S$  is taut in both. Let  $S$  denote the inclusion of  $S$  in  $M_\infty$ , and let  $S'$  denote the inclusion of  $S$  in  $M_{-1}$ . It follows from Lemma 3.1 that both  $S$  and  $S'$  are definite.

We consider two cases.

*Case 1* (The arc  $\gamma$  separates  $S$ ). Let  $S''$  be one of the components of  $S - \gamma$ , and let  $\tilde{S}, \tilde{S}'', \tilde{L}, \tilde{\gamma} \subset \Sigma(L)$  denote the respective preimages of  $S, S'', L$ , and  $\gamma$  in the branched covering  $\Sigma(L) \rightarrow S^3$ . (Here we view  $S$  as a subset of  $S^3$ , rather than a subset of  $S^3 - n(L)$ .) Considering the classical construction of a branched cover from a Seifert surface [17], we see that  $\tilde{S} - n(\tilde{L})$  consists of two lifted copies of  $S - n(L)$ ; we orient these copies by lifting an orientation from  $S - n(L)$ . When restricted to a meridian circle of  $\partial n(\tilde{L})$ , the covering map  $\Sigma(L) \rightarrow S^3$  has the form  $z \mapsto z^2$ . Thus, near such a meridian, the two components of  $\tilde{S} - n(\tilde{L})$  are oriented as in Figure 2.

The surface  $\tilde{S}$  is constructed by gluing the two lifted copies of  $S - n(L)$  together along the annuli  $\tilde{S} \cap n(\tilde{L})$ . With Figure 2 in mind, by switching the orientation of one of the lifted copies, these annuli can be made to preserve orientation, and therefore  $\tilde{S}$  is orientable. Since  $\tilde{S}'' \subset \tilde{S}$ ,  $\tilde{S}''$  is also orientable, and its boundary is exactly  $\tilde{\gamma}$ . The existence of  $\tilde{S}''$  shows  $\tilde{\gamma}$  is nullhomologous in  $H_1(\Sigma(L))$ , so Theorem 2.1 implies the crossing change is nugatory in this case.

*Case 2* (The arc  $\gamma$  does not separate  $S$ ). In this case, we choose a basis  $a_1, \dots, a_n$  for  $H_1(S)$ , represented by curves  $\alpha_1, \dots, \alpha_n \subset S$  respectively, such that  $\alpha_1$  intersects  $D$  one time, and  $\alpha_i \cap D = \emptyset$  for  $i \neq 1$ . Let  $G = (g_{ij})$  be the symmetric matrix

representing the Gordon-Litherland form  $\mathcal{G}_S$  in this basis. We also let  $a_1, \dots, a_n$  denote the same basis for  $H_1(S')$ , i.e. the basis induced by the inclusion  $S \subset M \hookrightarrow M_{-1}$ . Let  $G' = (g'_{ij})$  be the corresponding matrix representing  $\mathcal{G}_{S'}$ .

We have  $|\det(G)| = |\det(G')| = \det(L)$ , and since  $\mathcal{G}_S$  and  $\mathcal{G}_{S'}$  are both definite of the same rank and sign, determined by  $\sigma(L)$ ,  $\det(G) = \det(G')$ . Further, by inspecting how  $S$  changes in a neighborhood of  $D$  when  $(-1)$ -surgery is performed, we calculate that  $g'_{11} + 2 = g_{11}$ , and  $g_{ij} = g'_{ij}$  for  $i$  and  $j$  not both equal to one. We consider computing the determinants of  $G$  and  $G'$  using a Laplace expansion along the top row—since the two quantities are equal, and the matrices differ at only one entry, we find

$$g_{11} \det(G_{11}) = g'_{11} \det(G'_{11}) = (g_{11} + 2) \det(G_{11}),$$

where  $G_{11}$  denotes the matrix formed by removing the first row and column of  $G$ . This matrix represents the restriction of  $\mathcal{G}_S$  to the subspace of  $H_1(S)$  spanned by  $a_2, \dots, a_n$ ; as the restriction of a definite form, this form is also definite, and hence  $\det(G_{11}) \neq 0$ . We conclude that

$$g_{11} = g_{11} + 2,$$

a contradiction which indicates this case cannot occur. □

*Proof of Corollary 1.3.* Following the proof of Theorem 3.2, we obtain two taut Seifert surfaces for  $L$ , with the crossing arc  $\gamma$  embedded as a non-separating arc in each. Choosing the homology bases  $a_1, \dots, a_n$ , as above, gives the desired Seifert matrices. □

Finally, we give a minor application of Corollary 1.3.

**Corollary 3.3.** *Suppose a knot  $L \subset S^3$  admits a cosmetic, non-nugatory crossing change, and  $\Sigma(L)$  is an  $L$ -space. Then, letting  $m$  denote the size of a minimal generating set for  $H_1(\Sigma(L))$ , we have  $m < 2g(L)$ .*

*Proof.* Let  $G$  and  $G'$  be the two matrices obtained in the proof of Theorem 3.2, representing two Gordon-Litherland forms of  $L$  with rank  $2g(L)$ . We use the fact that  $G$  and  $G'$  give presentations for the finite abelian group  $H_1(\Sigma(L))$ , and compute this group's invariant factors. For an invertible matrix  $A$ , let  $\Gamma_i^A$  denote the greatest common divisor of the determinants of the  $i$ -by- $i$  minors of  $A$ , and let  $\delta_i^A = \Gamma_i^A / \Gamma_{i-1}^A$ . We recall, via the Smith normal form of  $A$ , that the invariant factors of the abelian group presented by  $A$  are given by the set of all  $\delta_i^A$  not equal to 1.

Since  $G$  and  $G'$  have the same rank and present the same group, we have

$$\gcd_{ij}(g_{ij}) = \delta_1^G = \delta_1^{G'} = \gcd_{ij}(g'_{ij}).$$

Because  $g_{11} = g'_{11} + 2$ ,  $\delta_1^G$  divides 2. Additionally, since  $\prod_i \delta_i^G = \det(L)$ , and knots have odd determinant, we have  $\delta_1^G = 1$ . Thus  $m < \text{rk}(G) = 2g$ , as desired. □

This result extends [1, Theorem 1.1(2)]. In general  $m \leq 2g(L)$ , but equality is occasionally attained. For example, the pretzel knot  $K = P(9, 9, 9, -27)$  is quasi-alternating by [3, Theorem 3.2(1)], hence has branched double-cover an  $L$ -space. The knot  $K$  has genus two and  $H_1(\Sigma(K)) \cong \mathbb{Z}/9 \oplus \mathbb{Z}/9 \oplus \mathbb{Z}/9 \oplus \mathbb{Z}/99$ , so Corollary

3.3 shows  $K$  does not admit cosmetic crossings. This example is easily generalized, for instance by considering the family of pretzel knots  $P(m^2, m^2, m^2, m^2, -3m^2)$  with  $m$  odd, to produce many new examples of knots which do not admit cosmetic crossings. Choosing square numbers ensures the resulting pretzel knot is not included in the main theorem of [13].

APPENDIX A. EXTENDING THEOREM 2.1 TO LINKS

In what follows, let  $L \subset S^3$  be a link,  $D$  a crossing disk, and  $\gamma$  the associated crossing arc. As above, let  $\tilde{\gamma}$  denote the closed curve which is the preimage of  $\gamma$  in the branched cover  $\Sigma(L)$ .

The extension of Theorem 2.1 to links ultimately reduces to Proposition A.1.

**Proposition A.1.** *Suppose  $\det(L) \neq 0$ , and the crossing change associated with  $D$  is cosmetic. If  $\tilde{\gamma}$  is a null-homologous unknot in  $\Sigma(L)$ , then  $D$  is nugatory.*

To complete the argument, the reader may consult the proof of [13, Thm. 2], using Proposition A.1 in place of [13, Prop. 12]. Our proof closely follows that of the latter proposition, and we set up some additional notation before sketching it. Let  $B \subset S^3$  be a regular neighborhood of  $\gamma$ , chosen so that  $B \cap D$  is a disk contained in  $\text{int}(D)$ , and so that  $B \cap L$  consists of two arcs. Observe that the preimage  $\tilde{B} \subset \Sigma(L)$  of  $B$  under the branched covering is a solid torus, and let  $N = \Sigma(L) - \tilde{B}$ . Since  $\det(L) \neq 0$ ,  $\Sigma(L)$  is a rational homology sphere, and a Mayer-Vietoris argument shows  $H_2(N; \mathbb{Q}) \cong 0$  and  $H_1(N; \mathbb{Q}) \cong \mathbb{Q}$ . There is a unique slope  $\lambda_N$  of  $\partial N$  which generates the kernel of the inclusion-induced map  $H_1(\partial N; \mathbb{Q}) \rightarrow H_1(N; \mathbb{Q})$ . This slope  $\lambda_N$  is called the *rational longitude* of  $N$ ; we refer the reader to [13, 20] for more details.

*Proof.* Let  $\tilde{\Gamma} \subset \Sigma(L)$  be a disk with boundary  $\tilde{\gamma}$ ; by definition,  $\tilde{\Gamma} \cap \partial N$  is the rational longitude  $\lambda_N$  of  $N$ . Let  $\tau$  denote the covering involution on  $\Sigma(L)$ . By the equivariant Dehn’s Lemma, we may assume that either  $\tau(\tilde{\Gamma}) \cap \tilde{\Gamma} = \emptyset$  or  $\tau(\tilde{\Gamma}) = \tilde{\Gamma}$ .

Suppose  $\tau(\tilde{\Gamma}) \cap \tilde{\Gamma}$  is empty. This implies  $\tilde{\Gamma}$  descends to a properly embedded disk  $\Gamma$  in  $S^3 - B$ . Since  $\tilde{\Gamma}$  avoids the fixed-point set of  $\tau$ , which is the preimage of  $L$ , the disk  $\Gamma$  is disjoint from  $L$ . To show  $D$  is nugatory, we will show that  $\partial\Gamma$  is parallel to  $D \cap \partial B$  in  $\partial B - L$ . It follows that  $\partial D$  bounds a disk disjoint from  $L$ , formed by gluing  $\Gamma$  to the annulus  $D - B$ . To show  $\partial\Gamma$  and  $D \cap \partial B$  are parallel in  $\partial B - L$ , it suffices to show that  $D \cap \partial B$  lifts to  $\lambda_N$  in  $\partial N$ .

Let  $L_0$  be the link formed by replacing the crossing ball  $B$  with the ball shown in Figure 3c, which we label  $B_0$ . Let  $\Delta$  denote the Alexander polynomial, which satisfies the skein relation

$$\Delta_{L_+}(x) - \Delta_{L_-}(x) = -(x^{-1/2} - x^{1/2})\Delta_{L_0}(x).$$

Since  $L_+ = L_- = L$ , we conclude  $\Delta_{L_0} \equiv 0$ . In particular,  $\det(L_0) = \Delta_{L_0}(-1) = 0$ , so  $H_1(\Sigma(L_0))$  is infinite, and by Poincaré duality and the universal coefficient theorem, so is  $H_2(\Sigma(L_0))$ . Let  $\tilde{B}_0$  be the preimage of  $B_0$  in  $\Sigma(L_0)$ , which is equivalent to a Dehn filling of  $N$  along some slope  $\gamma_0$ . Using the fact that  $H_2(N; \mathbb{Q}) \cong 0$ , the Mayer-Vietoris theorem gives an exact sequence

$$0 \rightarrow H_2(\Sigma(L_0); \mathbb{Q}) \rightarrow H_1(\partial N; \mathbb{Q}) \rightarrow H_1(N; \mathbb{Q}) \oplus H_1(\tilde{B}_0; \mathbb{Q}).$$

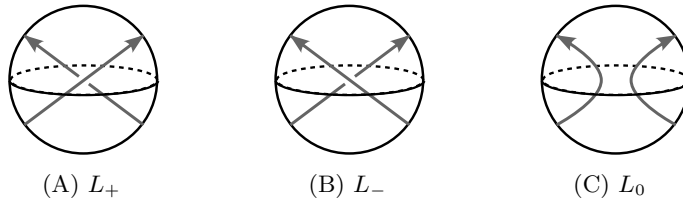


FIGURE 3. Crossing balls

Let  $a \in H_2(\Sigma(L_0); \mathbb{Q})$  be non-trivial, and let  $\partial a$  be its (non-trivial) image in  $H_1(\partial N; \mathbb{Q})$ . By exactness,  $\partial a$  is in the kernel of the second map, so  $\partial a$  is trivial in  $H_1(\tilde{B}_0; \mathbb{Q})$  and  $H_1(N; \mathbb{Q})$ . Since  $\partial a$  is trivial in  $H_1(\tilde{B}_0; \mathbb{Q})$ ,  $\partial a$  is a rational multiple of  $\gamma_0$  (forgetting the orientation of the former). Since  $\partial a$  is trivial in  $H_1(N; \mathbb{Q})$ ,  $\partial a$  is a rational multiple of  $\lambda_N$ . Thus  $\gamma_0 = \lambda_N$ .

We've shown the rational longitude of  $N$  corresponds to the slope  $\gamma_0$  of the Dehn filling  $\tilde{B}_0$ . Since  $D \cap B_0$  is a disk separating the two components of  $L_0 \cap B_0$ ,  $D \cap B_0$  lifts to a meridian disk of  $\tilde{B}_0$ , and  $D \cap \partial B_0 = D \cap \partial B$  lifts to  $\gamma_0 = \lambda_N$ . This completes the proof in this case, and the case of  $\tau(\tilde{\Gamma}) = \tilde{\Gamma}$  is handled just as in the proof of [13, Prop. 12].  $\square$

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