

Theorem: A functor $F: C \rightarrow D$ is an equivalence if and only if it is essentially surjective, full and faithful.

Proof: \Rightarrow Assume first that F is an equivalence. Then we have a functor $G: D \rightarrow C$ and natural isomorphisms $\alpha: FG \xrightarrow{\sim} 1_C$, $\beta: GF \xrightarrow{\sim} 1_D$:

$$\begin{array}{ccc}
 & D & \xrightarrow{1_D} D \\
 F \nearrow & & \downarrow G \\
 C & \xrightarrow{1_C} & C \\
 & \downarrow \alpha & \uparrow \beta \\
 & & D \\
 & \downarrow G & \nearrow F \\
 & C &
 \end{array}$$

To show that F is essentially surjective, pick an object $d \in D$. We must show that d lifts to $\tilde{d} \in C$, s.t. $F(\tilde{d}) \cong d$. The obvious choice is to let $\tilde{d} := G(d)$. Then

$$F(\tilde{d}) = F(G(d)) = (GF)(d),$$

but then since α is a natural isomorphism, we get an isomorphism

$$\begin{array}{ccc}
 \alpha_{\tilde{d}} : F(\tilde{d}) & \xrightarrow{\sim} & d \\
 \parallel & & \parallel \\
 (GF)(d) & & 1_D(d)
 \end{array}$$

In particular, $F(\tilde{d}) \cong d$.

Next we show F is full. Let c, c' be C -objects. Given any morphism $f: F(c) \rightarrow F(c')$ in D , we must show there's a morphism $\tilde{f}: c \rightarrow c'$ in C s.t. $F(\tilde{f}) = f$. First consider the morphism $G(f): (FG)(c) \rightarrow (FG)(c')$. The problem with this as a candidate for \tilde{f} is that $(FG)(c)$ may not equal c ; however, they are isomorphic:

$$\begin{array}{ccc}
 (FG)(c) & \xrightarrow{G(f)} & (FG)(c') \\
 \alpha_c \downarrow \cong & & \alpha_{c'} \downarrow \cong \\
 c & & c'
 \end{array}$$

So to get a morphism from c to c' , we just fill in the

missing side in the obvious way, letting $\tilde{f} = \alpha_c^{-1} G(f) \alpha_{c'}$:

$$\begin{array}{ccc}
 (FG)(c) & \xrightarrow{G(f)} & (FG)(c') \\
 \alpha_c \downarrow \wr & \circlearrowleft & \wr \downarrow \alpha_{c'} \\
 c & \xrightarrow{\tilde{f}} & c'
 \end{array}
 \quad \text{Definition of } \tilde{f}$$

Note that this looks very much like the naturality square of α on \tilde{f} :

$$\begin{array}{ccc}
 (FG)(c) & \xrightarrow{FG(\tilde{f})} & (FG)(c') \\
 \alpha_c \downarrow \wr & \circlearrowleft & \wr \downarrow \alpha_{c'} \\
 c & \xrightarrow{\tilde{f}} & c'
 \end{array}$$

Since both of these diagrams commute and the vertical arrows are invertible, we can paste them together along the edge $\tilde{f}: c \rightarrow c'$ and get

$$\begin{array}{ccc}
 (FG)(c) & \xrightarrow{G(f)} & (FG)(c') \\
 \alpha_c \downarrow & \circlearrowleft & \downarrow \alpha_{c'} \\
 c & & c' \\
 \alpha_c^{-1} \downarrow & & \downarrow \alpha_{c'}^{-1} \\
 (FG)(c) & \xrightarrow{FG(\tilde{f})} & (FG)(c')
 \end{array}$$

which just says:

$$G(f) = (FG)(\tilde{f}). \quad (*)$$

We can use this result to show that $F(\tilde{f}) = f$ by considering the naturality of $\beta: GF \Rightarrow \text{Id}$ on both f and $F(\tilde{f})$:

$$\begin{array}{ccc}
 (GF)(F(c)) & \xrightarrow{(GF)(f)} & (GF)(F(c')) \\
 \beta_{F(c)} \downarrow \wr & \circlearrowleft & \downarrow \beta_{F(c')} \\
 F(c) & \xrightarrow{f} & F(c')
 \end{array}
 \quad \& \quad
 \begin{array}{ccc}
 (GF)(F(c)) & \xrightarrow{(GF)(F(\tilde{f}))} & (GF)(F(c')) \\
 \beta_{F(c)} \downarrow \wr & \circlearrowleft & \downarrow \beta_{F(c')} \\
 F(c) & \xrightarrow{F(\tilde{f})} & F(c')
 \end{array}$$

Note that our previous result (*) implies that the morphisms on the tops of these diagrams are actually the same:

$$(GF)(f) = F(G(f)) \stackrel{(*)}{=} F((FG)(\tilde{f})) = F(G(F(\tilde{f}))) = (GF)(F(\tilde{f})).$$

So we can paste these together to get:

$$\begin{array}{ccc} F(c) & \xrightarrow{f} & F(c') \\ \uparrow \beta_{F(c)} \wr & \circlearrowleft & \wr \uparrow \beta_{F(c')} \\ (GF)(F(c)) & \xrightarrow[(GF)(F(\tilde{f}))]{(GF)(f)} & (GF)(F(c')) \\ \downarrow \beta_{F(c)} \wr & \circlearrowleft & \wr \downarrow \beta_{F(c')} \\ F(c) & \xrightarrow{F(\tilde{f})} & F(c') \end{array}$$

Cancelling the $\beta_{F(c)}$'s and $\beta_{F(c')}$'s, we get $f = F(\tilde{f})$ as desired, so F is full.

Showing that F is faithful is simpler. Again let $c, c' \in C$. Suppose $f, g \in \text{hom}(c, c')$ are such that $F(f) = F(g) \in \text{hom}(F(c), F(c'))$. Then applying $G: D \rightarrow C$ to the diagram

$$\begin{array}{ccc} & F(f) & \\ & \curvearrowright & \\ F(c) & \parallel & F(c') \\ & \curvearrowleft & \\ & F(g) & \end{array}$$

and using naturality of α , we obtain a cylinder:

$$\begin{array}{ccc} & FG(f) & \\ & \curvearrowright & \\ (FG)(c) & \parallel & (FG)(c') \\ & \curvearrowleft & \\ \alpha_c \downarrow \wr & \circlearrowleft & \wr \downarrow \alpha_{c'} \\ & f & \\ c & \curvearrowleft & c' \\ & g & \end{array}$$

Since the front and back commute and α_c is invertible, $f = g$ by

the obvious diagram chase, and hence F is faithful.

$\boxed{\leftarrow}$ To prove the converse, suppose we are given $F: C \rightarrow D$ which is essentially surjective, full and faithful. We must construct a functor $G: D \rightarrow C$ and natural isomorphisms $\alpha: FG \Rightarrow 1_C$, $\beta: GF \Rightarrow 1_D$.

First, given $d \in D$, let $G(d) = \tilde{d}$ be the weak lifting of d to C via essential surjectivity, so that $F(\tilde{d}) \cong d$. Call the isomorphism which carries $F(\tilde{d})$ to d by the name β_d . We have specified what G should do to objects; we should now say what it does to morphisms. Let $f \in \text{hom}(d, d')$ be a morphism in D . Lift d & d' weakly to $\tilde{d} = G(d)$ and $\tilde{d}' = G(d')$. Then we have the following diagram:

$$\begin{array}{ccc} F(\tilde{d}) & & F(\tilde{d}') \\ \parallel & & \parallel \\ F(G(d)) & & F(G(d')) \\ \beta_d \downarrow \wr & & \wr \downarrow \beta_{d'} \\ d & \xrightarrow{f} & d' \end{array}$$

Then the natural way — for indeed, this definition will guarantee naturality of β — to define $G(f)$ is as the lifting of this composite via the fact that F is full:

$$G(f) := \widetilde{\beta_d f \beta_{d'}^{-1}}.$$

That is, since $\tilde{d}, \tilde{d}' \in C$, we can let $G(f): \tilde{d} \rightarrow \tilde{d}'$ be a morphism such that $F(G(f)) = \beta_d f \beta_{d'}^{-1}$. Note that since F is also faithful, such $G(f)$ is also unique. Moreover, by construction $F(G(f))$ fills in the missing side of the above square:

$$\begin{array}{ccc} F(G(d)) & \xrightarrow{F(G(f))} & F(G(d')) \\ \beta_d \downarrow \wr & & \wr \downarrow \beta_{d'} \\ d & \xrightarrow{f} & d' \end{array}$$

This means that β so defined will be a natural transformation of functors provided that G is in fact a functor. This is indeed

the case:

To see that G is a functor, we first show that for any object $d \in D$, $G(1_d) = 1_{G(d)}$. Applying β to 1_d we get

$$\begin{array}{ccc} F(G(d)) & \xrightarrow{F(G(1_d))} & F(G(d)) \\ \beta_d \downarrow \wr & \circlearrowleft & \wr \downarrow \beta_d \\ d & \xrightarrow{1_d} & d \end{array}$$

or:

$$\begin{array}{ccc} F(G(d)) & \xrightarrow{F(G(1_d))} & F(G(d)) \\ & \circlearrowleft & \\ & 1_{F(G(d))} & \end{array} \quad (\text{by cancelling } \beta_d 1_d \beta_d^{-1})$$

But since F is a functor, $1_{F(G(1_d))} = F(1_{G(d)})$ so we have $F(G(1_d)) = F(1_{G(d)})$. Since F is faithful, we conclude that $G(1_d) = 1_{G(d)}$. We still have to show that G preserves composition. Let $f \in \text{hom}(d, d')$ and $f' \in \text{hom}(d', d'')$. Then the diagram

$$\begin{array}{ccccc} & & F(G(d)) & \xrightarrow{F(G(f))} & F(G(d')) & \xrightarrow{F(G(f'))} & F(G(d'')) & & \\ & \swarrow \beta_d \wr & \downarrow \wr & \circlearrowleft & \downarrow \wr & \circlearrowleft & \downarrow \wr & \swarrow \beta_{d''} & \\ \beta \text{ applied to } f: d \rightarrow d' & & d & \xrightarrow{f} & d' & \xrightarrow{f'} & d'' & & \beta \text{ applied to } f': d' \rightarrow d'' \\ & & \downarrow \wr & & \downarrow \wr & & \downarrow \wr & & \\ & & F(G(d)) & \xrightarrow{F(G(ff'))} & F(G(d)) & & & & \\ & & \beta \text{ applied to } ff': d' \rightarrow d'' & & & & & & \end{array}$$

gives us $F(G(f))F(G(f')) = F(G(ff'))$, by collapsing the vertical sides. Since F is a functor, this means $F(G(f)G(f')) = F(G(ff'))$; but since F is faithful we then get $G(f)G(f') = G(ff')$. So G preserves both identities and composition, hence is a functor.

So far, we have a functor $G: D \rightarrow C$ and a natural isomorphism $\beta: GF \xrightarrow{\sim} 1_D$ (β being defined by the assignment of β_d to each $d \in D$ — this is natural by construction and an isomorphism since each β_d is). We have yet to define $\alpha: FG \Rightarrow 1_C$. Let's do this now. Given any $c \in C$, we want an isomorphism $\alpha_c: G(F(c)) \xrightarrow{\sim} c$. What we already have is an isomorphism $\beta_{F(c)}: F(G(F(c))) \xrightarrow{\sim} F(c)$. Since F is full, this lifts (weakly) to an isomorphism

$$\alpha_c := \tilde{\beta}_{F(c)} : G(F(c)) \xrightarrow{\sim} c.$$

Moreover, this α_c is uniquely given by the lifting condition $F(\alpha_c) = \beta_{F(c)}$, since F is faithful. To see that the assignment $c \mapsto \alpha_c$ defines a natural isomorphism, pick $f \in \text{hom}(c, c')$ and draw the square we hope commutes:

$$\begin{array}{ccc} G(F(c)) & \xrightarrow{G(F(f))} & G(F(c')) \\ \alpha_c \downarrow & \text{?} & \downarrow \alpha_{c'} \\ c & \xrightarrow{f} & c' \end{array}$$

Apply F :

$$\begin{array}{ccc} F(G(F(c))) & \xrightarrow{F(G(F(f)))} & F(G(F(c'))) \\ F(\alpha_c) = \beta_{F(c)} \downarrow & \text{?} & \downarrow \beta_{F(c')} = F(\alpha_{c'}) \\ F(c) & \xrightarrow{F(f)} & F(c') \end{array}$$

and we get a commuting square by naturality of β . But commutativity of the second square implies commutativity of the first, since F is faithful.

Whew!!