

Top-down approach to flavor I: The heterotic origin

Saúl Ramos-Sánchez

MITP Topical Workshop on Modular Flavor Physics

May 15, 2024

Based on collaborations with

A. Baur, M. Kade, H.P. Nilles & P. Vaudrevange: 2001.01736, 2008.07534, 2010.13798, 2104.03981, 2107.10677,...

A. Baur, H.P. Nilles, A. Trautner & P. Vaudrevange: 2112.06940 & 2207.10677

Flavor puzzle

Despite the great success of the SM

- Need to explain $\left\{ \begin{array}{l} \text{three flavors of SM particles} \\ \text{observed mass hierarchies} \\ \text{observed quark and lepton mixing textures} \\ \text{CP violation in CKM and PMNS} \\ \text{neutrino physics} \\ \dots \end{array} \right.$

$$\begin{pmatrix} 0.974 & 0.224 & 0.0039 \\ 0.218 & 0.997 & 0.042 \\ 0.008 & 0.039 & 1.019 \end{pmatrix}_{CKM}, \quad \begin{pmatrix} 0.829 & 0.539 & 0.147 \\ 0.493 & 0.584 & 0.645 \\ 0.262 & 0.607 & 0.75 \end{pmatrix}_{PMNS}$$

$$m_{u_i} \sim 2.16, 1270, 172900 \text{ MeV}$$

$$m_{d_i} \sim 4.67, 93, 4180 \text{ MeV}$$

$$\Delta m_{21}^2 = 7.4 \cdot 10^{-5}, \Delta m_{31(23)}^2 \approx 2.5 \cdot 10^{-3} \text{ eV}^2$$

$$m_{e_i} \sim 0.511, 105.7, 1776.9 \text{ MeV}$$

normal ordering

[talks by Steve, Myriam, Ye-Ling, Omar, Matteo, Xueqi, Gui-Jun, Morimitsu, João,...]

Bottom-up approaches towards solving the flavor puzzle

Traditional: discrete non-Abelian flavor symmetries $G_{\text{traditional}}$ lead to models for quarks and leptons with **great fits**, $\theta_{13} \neq 0, \dots$

see reviews by Ishimori, Kobayashi, Ohki, Okada, Shimizu, Tanimoto (2010); Feruglio, Romanino (2019)

Modular: Yukawa couplings are modular forms $Y = Y(T)$ Feruglio (2017)

$$Y(T) \rightarrow Y(\gamma T) = (cT + d)^{n_Y} \rho_Y(\gamma) Y(T), \quad \gamma \in \Gamma = \text{SL}(2, \mathbb{Z}), \rho_Y \in \Gamma_N$$

Matter fields transform similarly: $\phi \rightarrow (cT + d)^{n_\phi} \rho_\phi(\gamma) \phi$

\Rightarrow finite modular groups $\Gamma_N =$ **modular flavor symmetries** G_{modular}

• $\Gamma_N \cong S_3, A_4, S_4, A_5$ for $N = 2, 3, 4, 5$

\Rightarrow **less parameters** (despite some Kähler issues [see e.g. Chen, Ratz, SRS(2019) & Hajime's talk])

• double cover $\Gamma'_N \cong S_3, T', \text{SL}(2, 4), \text{SL}(2, 5)$ for $N = 2, 3, 4, 5$

• 4-fold cover $\tilde{\Gamma}_4 \cong [96, 67], \tilde{\Gamma}_8 \cong [768, 1085324], \tilde{\Gamma}_{12} \cong [2304, \dots]$

• **multiple moduli**, e.g. **Siegel** modular groups $\Gamma_{g,N} \cong \text{Sp}(2g, \mathbb{Z})/K_N$

• $\Gamma/\ker(\varrho)$ with **vector-valued** modular forms

Chen, Ding, Feruglio, King, Knapp-Pérez, Li, Liu, Mondragón, Parriciatu, Qu, Ratz, Yau, Zhou, Penedo, Petcov, Titov...

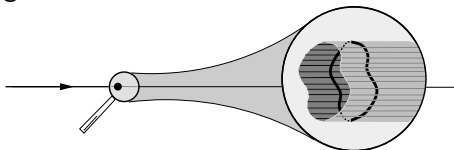
String



Theory

Stringy ingredients

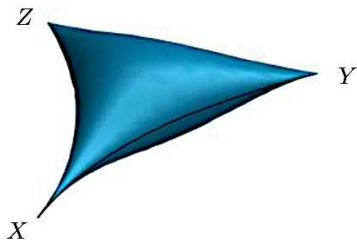
particles \longleftrightarrow strings



Focus on **heterotic strings**

- **closed** strings with **SUGRA** & 10D space-time
→ **compactify 6D** on spaces with shapes and sizes **set by moduli**
- matter fields get **all** their properties from string features
→ **all field charges** (reps, weights,...) are **computable**
- field couplings arise from string interactions
→ **coupling strengths** are **determined** by CFT
→ **couplings are modular forms** with fixed properties
- gauge group: either $E_8 \times E_8$ or $SO(32)$ → **SM by compactification**

Heterotic Orbifolds



Dixon, Harvey, Vafa, Witten (1985-86)

Ibáñez, Nilles, Quevedo (1987)

Font, Ibáñez, Quevedo, Sierra (1990)

Katsuki, Kawamura, Kobayashi, Ohtsubo, Ono, Tanioka (1990)

Kobayashi, Raby, Zhang (2004)

Buchmüller, Hamaguchi, Lebedev, Ratz (2004-06)

Kobayashi, Nilles, Plöger, Raby, Ratz (2006)

Lebedev, Nilles, Ratz, SRS, Vaudrevange, Wingerter (2006-08)

⋮

⋮

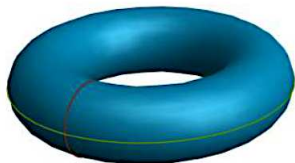
Mütter, Parr, Vaudrevange + Biermann, Ratz (2018-19)

Baur, Nilles, Trautner, Vaudrevange (2018-19)

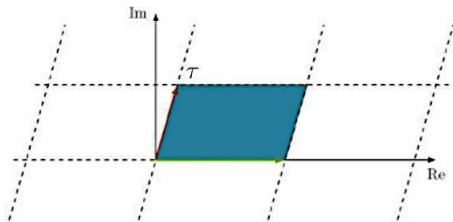
...

Example: 2D $\mathbb{T}^2/\mathbb{Z}_3$ orbifolds

* Start with a \mathbb{T}^2



\cong

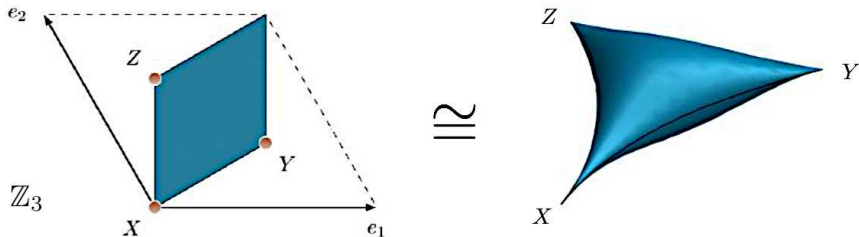


$$Y = \begin{pmatrix} y_R \\ y_L \end{pmatrix} \sim Y + E \hat{N} = \begin{pmatrix} y_R \\ y_L \end{pmatrix} + E \begin{pmatrix} n \\ m \end{pmatrix}, \quad y_L, y_R \text{ are } 2D$$

vielbein $E = E(T, U)$, $n \in \mathbb{Z}^2$: winding, $m \in \mathbb{Z}^2$: KK momentum

Example: 2D $\mathbb{T}^2/\mathbb{Z}_3$ orbifolds

* Mod out a discrete \mathbb{Z}_3 symmetry generated by twist Θ



$$\begin{pmatrix} y_R \\ y_L \end{pmatrix} \sim \begin{pmatrix} \vartheta & 0 \\ 0 & \vartheta \end{pmatrix} \begin{pmatrix} y_R \\ y_L \end{pmatrix} + E \begin{pmatrix} n \\ m \end{pmatrix}, \quad \vartheta \in \text{SO}(2), \quad \vartheta^3 = \mathbb{1}_2$$

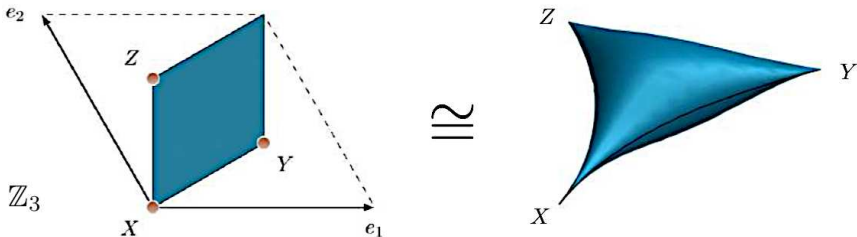
$$S_{\text{Narain}} := \langle (\Theta^k, 0), (\mathbb{1}, E_i) \rangle, \quad k = 1, 2, \quad i = 1, \dots, 4$$

Outer automorphisms of S_{Narain} are symmetries of orbifold

$$\text{e.g. } T_1 := (1/3, 2/3, 0, 0)^T \Rightarrow X \xrightarrow{T_1} Z, Y \xrightarrow{T_1} X, Z \xrightarrow{T_1} Y$$

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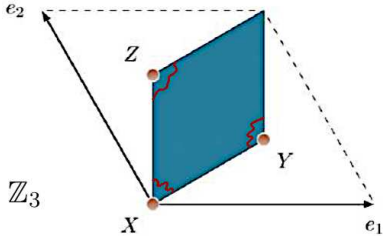
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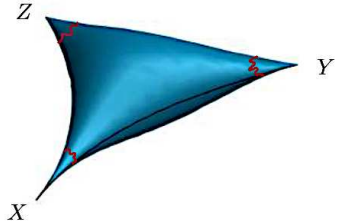
Types: rotational \iff change T, U , translational \iff don't change T, U

Example: 2D $\mathbb{T}^2/\mathbb{Z}_3$ orbifolds

* Consider **twisted** string states localized at singularities of Θ^k sector

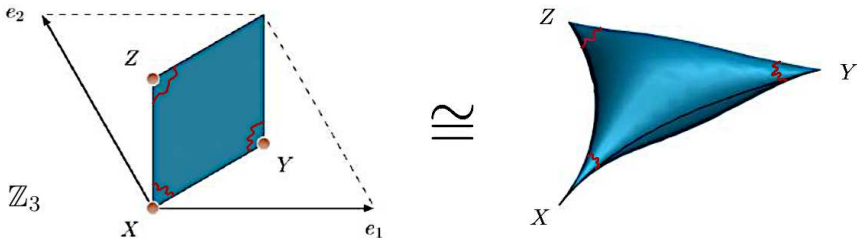


\cong



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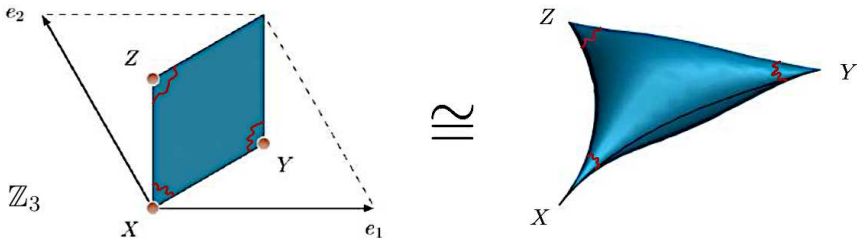


$\Rightarrow G_{\text{modular}} = \text{rotational outer automorphisms}$
 $G_{\text{traditional}} = \text{translational outer automorphisms}$

We can compute the flavor group: $G_{\text{modular}} \cup G_{\text{traditional}}$ 😊

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$$\text{In } \mathbb{T}^2/\mathbb{Z}_3 : T' \cup \Delta(54) \cong [658, 533]$$



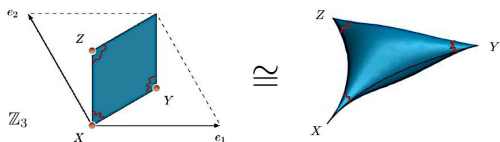
modular

WEIGHT

MANAGEMENT



More on matter fields in $\mathbb{T}^2/\mathbb{Z}_3$



Define $\Phi_n = (X, Y, Z)$ with n : a **computable** modular weight

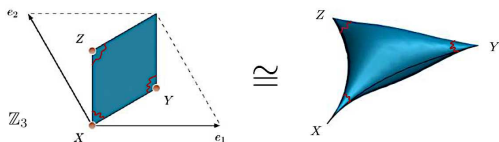
[Ibáñez, Lüst(1992), Olguín-Trejo, SRS(2017)]

n depends on: **twisted sector, winding, momentum in compact space.**

- In $\mathbb{T}^2/\mathbb{Z}_3$: $n = -2/3$ for $\Theta^{k=1}$, $n = -1/3$ for $\Theta^{k=2}$

Strings that are (untwisted) not localized, get only $n = 0, -1$

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- The **transformations** under G_{modular} and $G_{\text{traditional}}$ can be computed

[Lauer, Mas, Nilles(1989)]

	Φ_0	Φ_{-1}	$\Phi_{-2/3}$	$\Phi_{-1/3}$
$\Delta(54)$	1	1'	3₂	3₂
T'	1	1	2' \oplus 1	2'' \oplus 1

Baur, Nilles, Trautner, Vaudrevange (2019); Nilles, SRS, Vaudrevange (2020)

More symmetries in $\mathbb{T}^2/\mathbb{Z}_3$?

- Always also a $\mathbb{Z}_2^{\mathcal{CP}}$ \mathcal{CP} -like trafo: $T \rightarrow -\bar{T}$ and $X, Y, Z \rightarrow \bar{X}, \bar{Y}, \bar{Z}$
[Dent(2001); Baur,Nilles,Trautner,Vaudrevange(2019)] also in bottom-up:[Novichkov,Penedo,Petcov,Titov(2019)]
- For the torus to be consistent with Θ , $\langle U \rangle = \omega := e^{2\pi i/3}$
 \rightarrow some discrete **modular** symmetry is unbroken $\rightarrow \mathbb{Z}_9^R$ in $\mathbb{T}^2/\mathbb{Z}_3$

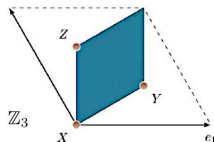
$$q_R = (-\langle U \rangle - 1)^n = \omega^{2n}, \quad n = 0, -1, -2/3, -1/3$$

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In summary



$\mathbb{T}^2/\mathbb{Z}_3$	bulk matter		θ sector		θ^2 sector		\mathcal{W}
	Φ_0	Φ_{-1}	$\Phi_{-2/3}$	$\Phi_{-5/3}$	$\Phi_{-1/3}$	$\Phi_{+2/3}$	
traditional $\Delta(54)$	1	1'	3₂	3₁	$\bar{3}_2$	$\bar{3}_1$	1'
modular T'	1	1	2' \oplus 1	2' \oplus 1	2'' \oplus 1	2'' \oplus 1	1
modular weight n_T	0	-1	-2/3	-5/3	-1/3	+2/3	-1
R-charge of \mathbb{Z}_9^R	0	3	1	-2	2	5	3

Example: 2D $\mathbb{T}^2/\mathbb{Z}_3$ orbifolds

Yukawa coupling coefficients \hat{Y} are modular forms

modular forms $\hat{Y}_{\mathbf{s}}^{(n_Y)}$	eclectic flavor group $\Omega(1)$							
	modular T' subgroup				traditional $\Delta(54)$ subgroup			
	irrep \mathbf{s}	$\rho_{\mathbf{s}}(\mathbf{S})$	$\rho_{\mathbf{s}}(\mathbf{T})$	n_Y	irrep \mathbf{r}	$\rho_{\mathbf{r}}(\mathbf{A})$	$\rho_{\mathbf{r}}(\mathbf{B})$	$\rho_{\mathbf{r}}(\mathbf{C})$
$\hat{Y}_{\mathbf{2}''}^{(1)}$	$\mathbf{2}''$	$\rho_{\mathbf{2}''}(\mathbf{S})$	$\rho_{\mathbf{2}''}(\mathbf{T})$	1	$\mathbf{1}$	1	1	1
$\hat{Y}_{\mathbf{1}}^{(4)}$	$\mathbf{1}$	1	1	4	$\mathbf{1}$	1	1	1
$\hat{Y}_{\mathbf{1}'}^{(4)}$	$\mathbf{1}'$	1	ω	4	$\mathbf{1}$	1	1	1
$\hat{Y}_{\mathbf{3}}^{(4)}$	$\mathbf{3}$	$\rho_{\mathbf{3}}(\mathbf{S})$	$\rho_{\mathbf{3}}(\mathbf{T})$	4	$\mathbf{1}$	1	1	1

$$\hat{Y}_{\mathbf{2}''}^{(1)} := \begin{pmatrix} \hat{Y}_1(T) \\ \hat{Y}_2(T) \end{pmatrix} = \begin{pmatrix} -3\sqrt{2} & 0 \\ 3 & 1 \end{pmatrix} \begin{pmatrix} \eta(3T)^3/\eta(T) \\ \eta(T/3)^3/\eta(T) \end{pmatrix}$$

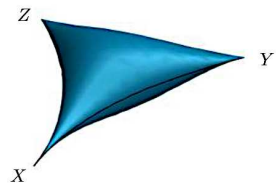
No arbitrary modular weights n_Y nor representations \mathbf{s} ! 😊

Superpotential and Kähler in $\mathbb{T}^2/\mathbb{Z}_3$

Restricted superpotential

Baur, Nilles, Trautner, SRS, Vaudrevange(2021-22)

$$\Rightarrow \mathcal{W} \supset c \left[\hat{Y}_2(T) (X_1 X_2 X_3 + Y_1 Y_2 Y_3 + Z_1 Z_2 Z_3) - \frac{\hat{Y}_1(T)}{\sqrt{2}} (X_1 Y_2 Z_3 + X_1 Y_3 Z_2 + X_2 Y_1 Z_3 + X_3 Y_1 Z_2 + X_2 Y_3 Z_1 + X_3 Y_2 Z_1) \right],$$

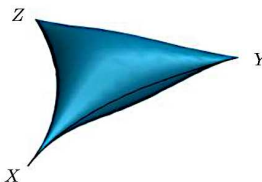


with $\Phi_{-2/3}^i := (X_i, Y_i, Z_i)^T, \quad c \in \mathbb{R}$

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More interestingly

$$\mathcal{K} = -\log(-iT + i\bar{T}) + \sum_i \left[(-iT + i\bar{T})^{-2/3} + (-iT + i\bar{T})^{1/3} |\hat{Y}_{2''}^{(1)}|^2 + \dots \right] |\Phi_{-2/3}^i|^2$$

+ suppressed corrections with flavon fields

Only **canonical** terms are allowed

→ **predictivity** of bottom-up models with Γ'_N recovered! 😊

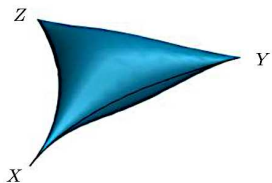
Chen, SRS, Ratz (2019); Nilles, SRS, Vaudrevange (2004.05200)

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+ suppressed corrections with flavon fields

Only **canonical** terms are allowed (due to **traditional** symmetry)

→ **predictivity** of bottom-up models with Γ'_N recovered! 😊

Chen, SRS, Ratz (2019); Nilles, SRS, Vaudrevange (2004.05200)

Lessons from 2D $\mathbb{T}^2/\mathbb{Z}_3$ orbifolds

- Common origin of all kinds of flavor symmetries
- G_{modular} and $G_{\text{traditional}}$ appear together \rightarrow eclectic picture with
$$G_{\text{modular}} \subset \text{Out}(G_{\text{traditional}})$$

Also in bottom-up [Nilles,SRS,Vaudrevange(2020); Ding,King,Li,Liu,Lu(2023)]

- G_{modular} is a double cover (e.g. T') $\rightarrow n_Y \in \mathbb{Z}$
- Discrete \mathbb{Z}_M^R symmetry
- Generalized $\mathbb{Z}_2^{\mathcal{CP}}$ \mathcal{CP} trafo
- Fractional modular weights (with both signs) - only 0, -1 for untwisted matter
- \mathcal{K} constrained to **canonic** form by $G_{\text{traditional}}$
- \mathcal{W} constrained by all
- Flavons are needed 😞

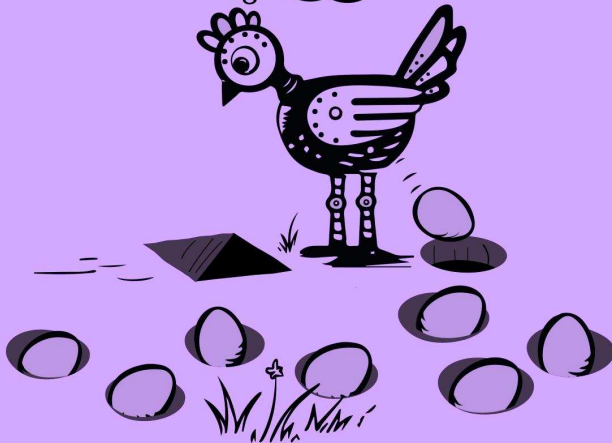
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- Flavons are needed 😞
- Since this means **two Gold medals**, it wins!! 🏆

Generalization?



The heterotic origin of flavor in $\mathbb{T}^2/\mathbb{Z}_k$

Basic idea:

Momenta lie
on a lattice

Symmetries of
the lattice

States transform
under symmetries

Flavor
transformations

The heterotic origin of flavor in $\mathbb{T}^2/\mathbb{Z}_k$

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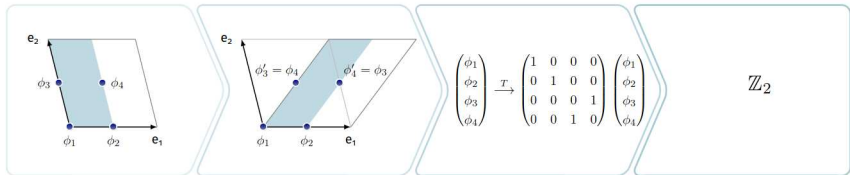
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In a bit more detail:



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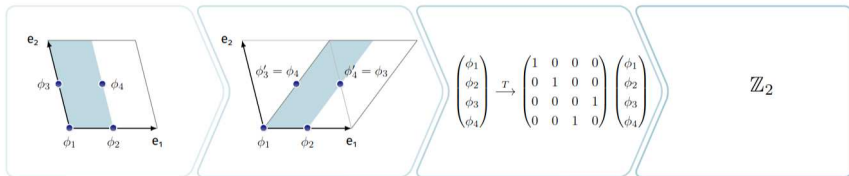
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In even further detail:

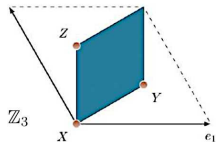
Narain lattice of signature (d, d)

$O_{\hat{\eta}}(d, d, \mathbb{Z})$
+
translations

$\Phi \xrightarrow{g} j(\tau, k) \rho(g) \Phi$

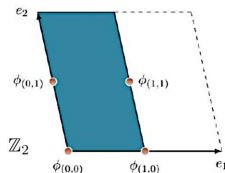
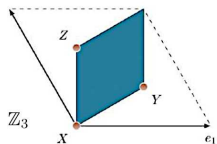
$(S_3 \times S_3) \rtimes \mathbb{Z}_4$
 $\cup \frac{D_8 \times D_8}{\mathbb{Z}_2}$

The heterotic origin of flavor in $\mathbb{T}^2/\mathbb{Z}_k$



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traditional $\Delta(54)$	1	1'	3₂	3₁	3₂	3₁	1'
modular T'	1	1	2' \oplus 1	2' \oplus 1	2'' \oplus 1	2'' \oplus 1	1
modular weight n_T	0	-1	-2/3	-5/3	-1/3	+2/3	-1
R -charge of \mathbb{Z}_3^R	0	3	1	-2	2	5	3

$\mathbb{T}^2/\mathbb{Z}_2$	bulk matter		twisted matter			$Y_{4_3}^{(2)}$	\mathcal{W}
	$\Phi_{(0,0)}$	$\Phi_{(-1,-1)}$	$\Phi_{(-1/2,-1/2)}$	$\Phi_{(-3/2,1/2)}$	$\Phi_{(1/2,-3/2)}$		
traditional	1₀	1₀	4	4	4	1₀	1₀
modular	1₀	1₀	4₁	(4₁ \oplus 4₁)		4₃	1₀
n_T	0	-1	-1/2	-3/2	1/2	2	-1
n_U	0	-1	-1/2	1/2	-3/2	2	-1
R -charge	0	2	3	1	1	0	2 mod 4

$$G_{\text{traditional}} = \frac{D_8 \times D_8}{\mathbb{Z}_2} \cup \mathbb{Z}_4^R \cong [64, 266], \quad G_{\text{modular}} = [(S_3^U \times S_3^T) \times \mathbb{Z}_4^M] \cup \mathbb{Z}_2^{CP} = [288, 880]$$

$$\hat{Y}_{4_3}^{(2)} := \left(\hat{Y}_1(T) \hat{Y}_1(U), \hat{Y}_2(T) \hat{Y}_1(U), \hat{Y}_1(T) \hat{Y}_2(U), \hat{Y}_2(T) \hat{Y}_2(U) \right)^T$$

$$\mathcal{K} \supset (-iT + i\bar{T})^{n_T} (-iU + i\bar{U})^{n_U} |\Phi_{(n_U, n_T)}|^2$$

$$\mathcal{W} \supset \hat{Y}^{(0)}(T, U) \Phi_{(0,0)} \Phi_{(-1/2,-1/2)} \Phi_{(-1/2,-1/2)} + \hat{Y}^{(2)}(T, U) \Phi_{(-1,-1)} \Phi_{(-1/2,-1/2)} \Phi_{(-1/2,-1/2)} \Phi_{(-1/2,-1/2)} \Phi_{(-1/2,-1/2)}$$

Baur, Kade, Nilles, SRS, Vaudrevange (2021)

Modular transformations in $\mathbb{T}^2/\mathbb{Z}_2$

Observation: if T and U are included in a **modulus matrix**

$$\Omega := \begin{pmatrix} T & 0 \\ 0 & U \end{pmatrix} \quad \text{subject to} \quad \text{Im } \Omega > 0$$

all modular transformations (no \mathcal{CP}) are 4×4 matrices

$$\mathcal{M} = \begin{pmatrix} A & B \\ C & D \end{pmatrix} \in \text{Sp}(4, \mathbb{Z}) \quad \text{e.g.} \quad \mathcal{M}_{(\gamma_T, \gamma_U)} = \begin{pmatrix} a_U & 0 & b_U & 0 \\ 0 & a_T & 0 & b_T \\ c_U & 0 & d_U & 0 \\ 0 & c_T & 0 & d_T \end{pmatrix}$$

with

$$\text{Sp}(4, \mathbb{Z}) = \{\mathcal{M} \in \mathbb{Z}^{4 \times 4} \mid \mathcal{M}^T J \mathcal{M} = J\} \quad \text{and} \quad J = \begin{pmatrix} 0 & \mathbb{1}_2 \\ -\mathbb{1}_2 & 0 \end{pmatrix}$$

But we need one extra transformation \mathcal{M} to generate $\text{Sp}(4, \mathbb{Z})$

Modular transformations of $\mathbb{T}^2/\mathbb{Z}_2$ vs $\mathrm{Sp}(4, \mathbb{Z})$

symmetry	$\mathrm{Sp}(4, \mathbb{Z})$	$\mathrm{O}_{\hat{\eta}}(2, 2, \mathbb{Z})$	transformation of moduli
$\mathrm{SL}(2, \mathbb{Z})_T$	$\mathcal{M}_{(S, 1_2)}$	S_T	$T \rightarrow -\frac{1}{T}$ $U \rightarrow U$
	$\mathcal{M}_{(T, 1_2)}$	T_T	$T \rightarrow T + 1$ $U \rightarrow U$
$\mathrm{SL}(2, \mathbb{Z})_U$	$\mathcal{M}_{(1_2, S)}$	S_U	$T \rightarrow T$ $U \rightarrow -\frac{1}{U}$
	$\mathcal{M}_{(1_2, T)}$	T_U	$T \rightarrow T$ $U \rightarrow U + 1$
Mirror	\mathcal{M}_\times	M	$T \rightarrow U$ $U \rightarrow T$
?	$\mathcal{M}_{(m)}^{\ell}$?	
\mathcal{CP} -like	$\mathcal{M}_* \in \mathrm{GSp}(4, \mathbb{Z})$	$\mathbb{Z}_2^{\mathcal{CP}}$	$T \rightarrow -\bar{T}$ $U \rightarrow -\bar{U}$

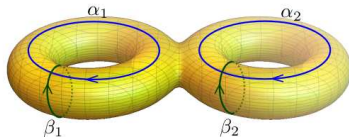
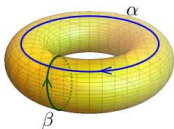
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	$\mathcal{M}_{(T, 1_2)}$	T_T	$T \rightarrow T + 1$ $U \rightarrow U$
$\mathrm{SL}(2, \mathbb{Z})$	$\mathcal{M}_{(1_2, S)}$	S_U	$T \rightarrow T$ $U \rightarrow -\frac{1}{U}$
	Include continuous Wilson-line modulus Z		
$\Omega = \begin{pmatrix} T & Z \\ Z & U \end{pmatrix}, \quad Z = -a_2 + U a_1, a_i \in \mathbb{R}$			
Mirror	Demand Wilson-line shift $a_1 \rightarrow a_1 + \ell, a_2 \rightarrow a_2 + m$ $\ell, m \in \mathbb{Z}$		
?	$\mathcal{M}_{(m)}^{\ell}$?	
\mathcal{CP} -like	$\mathcal{M}_* \in \mathrm{GSp}(4, \mathbb{Z})$	$\mathbb{Z}_2^{\mathcal{CP}}$	$T \rightarrow -\bar{T}$ $U \rightarrow -\bar{U}$

Modular transformations of $\mathbb{T}^2/\mathbb{Z}_2$ vs $\mathrm{Sp}(4, \mathbb{Z})$

symmetry	$\mathrm{Sp}(4, \mathbb{Z})$	$\mathrm{O}_{\hat{\eta}}(2, 3, \mathbb{Z})$	transformation of moduli
$\mathrm{SL}(2, \mathbb{Z})_T$	$\mathcal{M}_{(S, 1_2)}$	S_T	$T \rightarrow -\frac{1}{T}$ $U \rightarrow U - \frac{Z^2}{T}$ $Z \rightarrow -\frac{Z}{T}$
	$\mathcal{M}_{(T, 1_2)}$	T_T	$T \rightarrow T + 1$ $U \rightarrow U$ $Z \rightarrow Z$
$\mathrm{SL}(2, \mathbb{Z})_U$	$\mathcal{M}_{(1_2, S)}$	S_U	$T \rightarrow T - \frac{Z^2}{U}$ $U \rightarrow -\frac{1}{U}$ $Z \rightarrow -\frac{Z}{U}$
	$\mathcal{M}_{(1_2, T)}$	T_U	$T \rightarrow T$ $U \rightarrow U + 1$ $Z \rightarrow Z$
Mirror	\mathcal{M}_\times	M	$T \rightarrow U$ $U \rightarrow T$ $Z \rightarrow Z$
Wilson line shift	$\mathcal{M}_m^{(\ell)}$	$W_m^{(\ell)}$	$T \rightarrow T + m(mU + 2Z - \ell)$ $U \rightarrow U$ $Z \rightarrow Z + mU - \ell$
\mathcal{CP} -like	$\mathcal{M}_* \in \mathrm{GSp}(4, \mathbb{Z})$	$\mathbb{Z}_2^{\mathcal{CP}}$	$T \rightarrow -T$ $U \rightarrow -\bar{U}$ $Z \rightarrow -\bar{Z}$

Origin of the Siegel modular flavor group



$$\mathrm{Sp}(2, \mathbb{Z}) \cong \mathrm{SL}(2, \mathbb{Z})$$
$$\mathrm{GSp}(2, \mathbb{Z}) \cong \mathrm{GL}(2, \mathbb{Z})$$

 γ T Γ_N Φ_n

modular forms

$$\mathrm{Sp}(4, \mathbb{Z})$$

$$\mathrm{GSp}(4, \mathbb{Z})$$

 \mathcal{M}

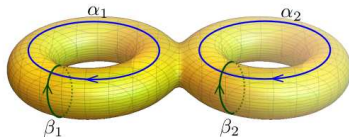
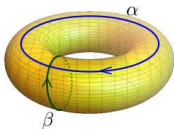
$$\Omega(T, U, Z)$$

 $\Gamma_{2,N}$ Φ_{n_T, n_U}

Siegel modular forms

in bottom-up: Ding, Feruglio, Liu(2021)

Origin of the Siegel modular flavor group



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Siegel modular forms

in bottom-up: Ding, Feruglio, Liu (2021)

Extend to $n_T \neq n_U$, new modular weight associated with Z ?

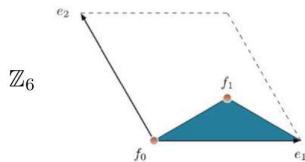
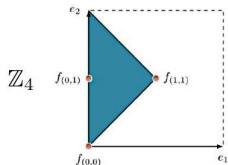
Find out the exact form of *all* transformations

Compare with other approaches

Ishiguro, Kobayashi, Otsuka (2021)

More flavors for $\mathbb{T}^2/\mathbb{Z}_k$

Not every \mathbb{Z}_k is possible: $k = 2, 3, 4, 6$ only!



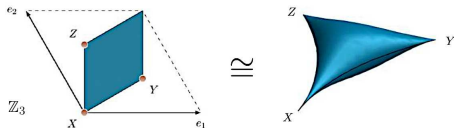
orbifold	\mathbb{Z}_2	\mathbb{Z}_3	\mathbb{Z}_4	\mathbb{Z}_6
G_{modular}	$(S_3 \times S_3) \rtimes \mathbb{Z}_4$	T'	$2D_3$	$S_3 \times T'$
$G_{\text{traditional}}$	$(D_8 \times D_8)/\mathbb{Z}_2$	$\Delta(54)$	$(D_8 \times \mathbb{Z}_4)/\mathbb{Z}_2$	\mathbb{Z}_6
\mathbb{Z}_M^R	\mathbb{Z}_4^R	\mathbb{Z}_9^R	\mathbb{Z}_{16}^R	\mathbb{Z}_{36}^R

Baur, Nilles, SRS, Trautner, Vaudrevange (to appear)

Flavor in semi-realistic orbifold models

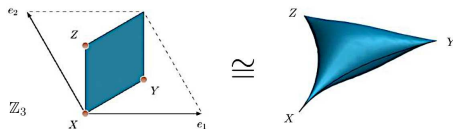
Explicit string model $\mathbb{T}^6/\mathbb{Z}_3 \times \mathbb{Z}_3$

- Contains a sector $\mathbb{T}^2/\mathbb{Z}_3$



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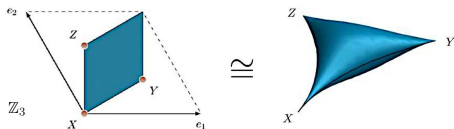


- $G_{\text{traditional}} = \Delta(54)$ & $G_{\text{modular}} = T' \cong \Gamma'_3$

Lauer, Mas, Nilles (89-90)

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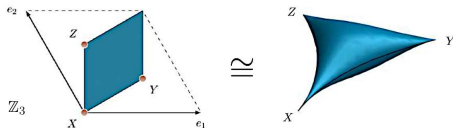
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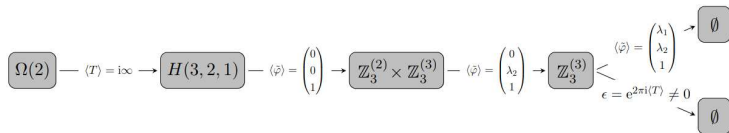
use only the few representations for quarks and leptons:

	quarks and leptons						Higgs fields		flavons							
label	q	\bar{u}	\bar{d}	ℓ	\bar{e}	$\bar{\nu}$	H_u	H_d	φ_e	φ_u	φ_ν	ϕ^0	ϕ_M^0	ϕ_c^0	ϕ_u^0	ϕ_d^0
$SU(3)_c$	3	3	3	1	1	1	1	1	1	1	1	1	1	1	1	1
$SU(2)_L$	2	1	1	2	1	1	2	2	1	1	1	1	1	1	1	1
$U(1)_Y$	1/6	-2/3	1/3	-1/2	1	0	1/2	-1/2	0	0	0	0	0	0	0	0
$\Delta(54)$	3₂	3₂	3₂	3₂	3₂	3₂	1	1	3₂	3₂	3₂	1	1	1	1	1
T'	2' ⊕ 1	2' ⊕ 1	2' ⊕ 1	2' ⊕ 1	2' ⊕ 1	2' ⊕ 1	1	1	2' ⊕ 1	2' ⊕ 1	2' ⊕ 1	1	1	1	1	1
\mathbb{Z}_9^R	1	1	1	1	1	1	0	0	1	1	1	0	0	0	0	0
n	-2/3	-2/3	-2/3	-2/3	-2/3	-2/3	0	0	-2/3	-2/3	-2/3	0	0	0	0	0

Baur, Nilles, SRS, Trautner, Vaudrevange (2207.10677)

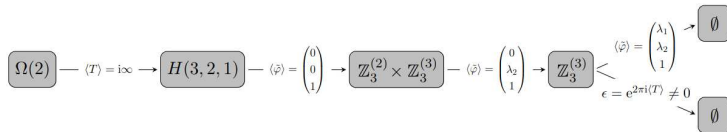
Explicit string model $\mathbb{T}^6/\mathbb{Z}_3 \times \mathbb{Z}_3$

- write the corresponding action,
- fit the value of the modulus ($\langle T \rangle \sim 3i$), and
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- break the eclectic flavor symmetry

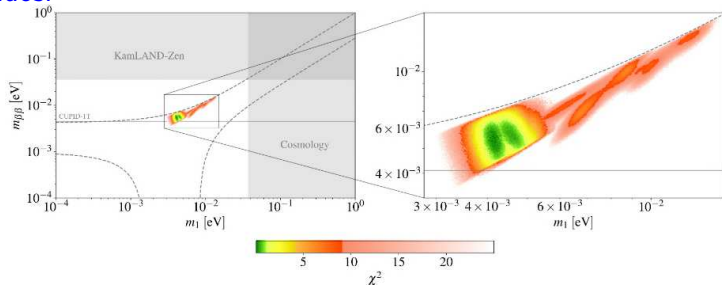


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Resultados:



Explicit string model $\mathbb{T}^6/\mathbb{Z}_3 \times \mathbb{Z}_3$

Resultados:

parameter	best-fit value	
superpotential	$\text{Im}(T)$	3.195
	$\text{Re}(T)$	0.02279
	$\langle \tilde{\varphi}_{u,1} \rangle$	$2.0332 \cdot 10^{-4}$
	$\langle \tilde{\nu}_{u,1} \rangle$	1.6481
	$\langle \tilde{\varphi}_{u,2} \rangle$	$6.3011 \cdot 10^{-2}$
	$\langle \tilde{\nu}_{u,2} \rangle$	-1.5983
	$\langle \tilde{\varphi}_{e,1} \rangle$	$-4.069 \cdot 10^{-5}$
	$\langle \tilde{\varphi}_{e,2} \rangle$	$5.833 \cdot 10^{-2}$
	$\langle \tilde{\varphi}_{\nu,1} \rangle$	$1.224 \cdot 10^{-3}$
	$\langle \tilde{\varphi}_{\nu,2} \rangle$	-0.9857
Λ_ν [eV]	0.05629	
Kähler potential	α_1^u	-0.94917
	α_2^u	0.0016906
	α_3^u	0.31472
	α_1^d	0.95067
	α_2^d	0.0077533
	α_3^d	0.30283
	α_1^q	-0.96952
	α_2^q	-0.20501
	α_3^q	0.041643

(a)

observable	model best fit	exp. best fit	exp. 1σ interval	
quark sector	m_u/m_c	0.00193	0.00193	0.00133 \rightarrow 0.00253
	m_c/m_t	0.00280	0.00282	0.00270 \rightarrow 0.00294
	m_d/m_s	0.0505	0.0505	0.0443 \rightarrow 0.0567
	m_b/m_t	0.0182	0.0182	0.0172 \rightarrow 0.0192
	θ_{12} [deg]	13.03	13.03	12.98 \rightarrow 13.07
	θ_{13} [deg]	0.200	0.200	0.193 \rightarrow 0.207
	θ_{23} [deg]	2.30	2.30	2.26 \rightarrow 2.34
	δ_{CP}^q [deg]	69.2	69.2	66.1 \rightarrow 72.3
	m_e/m_μ	0.00473	0.00474	0.00470 \rightarrow 0.00478
	m_μ/m_τ	0.0586	0.0586	0.0581 \rightarrow 0.0590
lepton sector	$\sin^2 \theta_{12}$	0.303	0.304	0.292 \rightarrow 0.316
	$\sin^2 \theta_{13}$	0.0225	0.0225	0.0218 \rightarrow 0.0231
	$\sin^2 \theta_{23}$	0.449	0.450	0.434 \rightarrow 0.469
	δ_{CP}^l/π	1.28	1.28	1.14 \rightarrow 1.48
	η_1/π	0.029	-	-
	η_2/π	0.994	-	-
	J_{CP}	-0.026	-0.026	-0.033 \rightarrow -0.016
	J_{CP}^{max}	0.0335	0.0336	0.0329 \rightarrow 0.0341
	$\Delta m_{21}^2/10^{-5}$ [eV 2]	7.39	7.42	7.22 \rightarrow 7.63
	$\Delta m_{31}^2/10^{-3}$ [eV 2]	2.521	2.510	2.483 \rightarrow 2.537
	m_1 [eV]	0.0042	<0.037	-
	m_2 [eV]	0.0095	-	-
	m_3 [eV]	0.0504	-	-
	$\sum_i m_i$ [eV]	0.0641	<0.120	-
	$m_{\beta\beta}$ [eV]	0.0055	<0.036	-
m_β [eV]	0.0099	<0.8	-	
χ^2	0.11			

Baur, Nilles, SRS, Trautner, Vaudrevange (2207.10677)

In summary

Concluding remarks

- **Flavor puzzle**: open questions about flavor (number and mixings of particles)

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- Interesting predictions on **neutrino physics**
Caveat: some free **parameters**, **less** than the number of predictions

Concluding remarks

- Flavor puzzle: open questions about flavor (number and mixings of particles)
- String theory: candidate theory for quantum gravity and all other quantum interactions
- Toroidal orbifold compactifications

- Symmetries, representations
- Consequences for flavor
- (Solve many challenging problems by breaking symmetries!)
- Interesting predictions

Caveat: some free parameters

To work on

- flavor with $\mathbb{T}^2/\mathbb{Z}_4$ & $\mathbb{T}^2/\mathbb{Z}_6$?
Baur, Nilles, SRS, Trautner, Vaudrevange (2024)
- CP and \bar{CP} violation?
Nilles, Ratz, Trautner, Vaudrevange (2018)
- bottom-up understanding of these features?
We all?
- dynamic moduli stabilization & de Sitter?
see Michael's talk
- more pheno in these models?
should we join forces?
- already testable predictions?



**THANK
YOU FOR
SUPPORTING
MY SMALL
BUSINESS**

Just in case...

Backup slides

Modular symmetries as flavor symmetries

Congruence modular subgroups: $\Gamma(N) \subset \mathrm{SL}(2, \mathbb{Z})$

$$\Gamma(N) = \{\gamma \in \mathrm{SL}(2, \mathbb{Z}) \mid \gamma = \mathbb{1} \pmod{N}\}$$

are normal subgroups of $\mathrm{SL}(2, \mathbb{Z})$

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(Double-cover) finite modular subgroups: $\Gamma'_N \cong \mathrm{SL}(2, \mathbb{Z})/\Gamma(N)$

$$\Gamma'_N = \langle S, T \mid S^4 = (\mathrm{ST})^3 = T^N = \mathbb{1}, \quad S^2 T = \mathrm{TS}^2, \quad N = 2, 3, 4, 5 \rangle$$

$$\Gamma'_2 \cong S_3, \quad \Gamma'_3 \cong T', \quad \Gamma_4 \cong \mathrm{SL}(2, 4), \quad \Gamma_5 \cong \mathrm{SL}(2, 5), \dots$$

e.g. Liu, Ding (2019)

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e.g. Liu, Ding (2019)

Finite modular subgroups: $\Gamma_N \cong \mathrm{PSL}(2, \mathbb{Z})/\bar{\Gamma}(N)$ ($\mathrm{PSL}(2, \mathbb{Z}) \cong \mathrm{SL}(2, \mathbb{Z})/\{\pm 1\}$)

$$\Gamma_N = \langle S, T \mid S^2 = (\mathrm{ST})^3 = T^N = \mathbb{1}, \quad N = 2, 3, 4, 5 \rangle$$

$$\Gamma_2 \cong S_3, \quad \Gamma_3 \cong A_4, \quad \Gamma_4 \cong S_4, \quad \Gamma_5 \cong A_5, \dots, \Gamma_7 \cong \Sigma(168), \dots$$

e.g. de Adelhaart, Feruglio, Hagedorn (2011)

Modular symmetries as flavor symmetries

Thus far, models with modular flavor symmetries are **supersymmetric**

Modular symmetries as flavor symmetries

Thus far, models with modular flavor symmetries are supersymmetric Superfields build reps. of Γ_N or Γ'_N ; transform as

$$\Phi_{n_i} \xrightarrow{\gamma} (cT + d)^{n_i} \rho(\gamma) \Phi_{n_i}, \quad \Phi_{n_i} \in \{(e, \mu, \tau)^T, (u, c, t)^T, \dots\}$$

n_i : modular weight, $\rho(\gamma)$: matrix rep. of γ for Φ_{n_i}

Modular symmetries as flavor symmetries

Thus far, models with modular flavor symmetries are **supersymmetric Superfields** build reps. of Γ_N or Γ'_N ; transform as

$$\Phi_{n_i} \xrightarrow{\gamma} (cT + d)^{n_i} \rho(\gamma) \Phi_{n_i}, \quad \Phi_{n_i} \in \{(e, \mu, \tau)^T, (u, c, t)^T, \dots\}$$

n_i : modular weight, $\rho(\gamma)$: matrix rep. of γ for Φ_{n_i}

Couplings $\hat{Y}^{(n_Y)}(T)$ are *modular forms*

$$W \supset \sum \hat{Y}^{(n_Y)}(T) \Phi_{n_1} \Phi_{n_2} \Phi_{n_3}, \quad \hat{Y}^{(n_Y)} \xrightarrow{\gamma} (cT + d)^{n_Y} \rho(\gamma) \hat{Y}^{(n_Y)}$$

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Admissible iff

$$W(\Phi_{n_1}, \dots) \xrightarrow{\gamma} (cT + d)^{-1} \mathbb{1} W(\Phi_{n_1}, \dots), \quad \text{i.e. } n_Y + \sum n_i = -1, \quad \prod \rho(\gamma) = 1$$

Note the nontrivial *automorphy factor* $(cT + d)^{-1} \rightarrow W$ covariant

How to proceed with *modular* flavor symmetries

- Take your favorite symmetry: $G_{mod} = \Gamma_N \in \{S_3, A_4, S_4, A_5, \dots\}$
- Choose your favorite representations $\rho(\gamma)$ for quark and lepton fields

e.g. quark doublets Q as $\mathbf{3}$ or $\mathbf{1} \oplus \mathbf{1}' \oplus \mathbf{1}''$ of $\Gamma_3 \cong A_4, \dots$

- Pick your favorite modular weights n_i and n_Y
- Write your G_{mod} -covariant superpotential W

e.g. $W \supset \hat{Y}^u H_u Q \bar{u} + \hat{Y}^d H_d Q \bar{d} + \hat{Y}^e H_d L \bar{e} + \frac{\hat{Y}}{\Lambda} L H_u L H_u$

- Take your favorite inv. Kähler potential K ; typical choice $K = \sum |\Phi_{n_i}|^2$
MANY other modular invariant K possible! - Chen, SR-S, Ratz (1909.06910)
- Choose a $\langle T \rangle \neq 0 \rightarrow$ nontrivial rep. of $\hat{Y}(\langle T \rangle)$ breaks G_{mod}
- EW breakdown with $\langle H_u \rangle, \langle H_d \rangle \neq 0$
- Diagonalize quark and lepton matrices to compute V_{CKM} and U_{PMNS} and adjust only $\langle T \rangle$ to data

From top-down to bottom-up
eclectic flavor symmetries

Eclectic flavor groups

Key observation: T' is an outer automorphism group of $\Delta(54)$ 😊

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- $G_{eclectic} \cong$ multiplicative closure of G_{flavor} and $G_{modular}$
- Verify whether there is a third (class-inverting) outer automorphism that act as a \mathbb{Z}_2 CP-like transformation to further enhance the eclectic flavor symmetry

Eclectic flavor groups

flavor group \mathcal{G}_Π	GAP ID	$\text{Aut}(\mathcal{G}_\Pi)$	finite modular groups		eclectic flavor group
Q_8	[8, 4]	S_4	without \mathcal{CP}	S_3	$\text{GL}(2, 3)$
			with \mathcal{CP}	–	–
$\mathbb{Z}_3 \times \mathbb{Z}_3$	[9, 2]	$\text{GL}(2, 3)$	without \mathcal{CP}	S_3	$\Delta(54)$
			with \mathcal{CP}	$S_3 \times \mathbb{Z}_2$	[108, 17]
A_4	[12, 3]	S_4	without \mathcal{CP}	S_3 S_4	S_4 S_4
			with \mathcal{CP}	–	–
T'	[24, 3]	S_4	without \mathcal{CP}	S_3	$\text{GL}(2, 3)$
			with \mathcal{CP}	–	–
$\Delta(27)$	[27, 3]	[432, 734]	without \mathcal{CP}	S_3 T'	$\Delta(54)$ $\Omega(1)$
			with \mathcal{CP}	$S_3 \times \mathbb{Z}_2$ $\text{GL}(2, 3)$	[108, 17] [1296, 2891]
$\Delta(54)$	[54, 8]	[432, 734]	without \mathcal{CP}	T'	$\Omega(1)$
			with \mathcal{CP}	$\text{GL}(2, 3)$	[1296, 2891]

Nilles, SR-S, Vaudrevange (2001.01736)

More details on top-down
eclectic flavor symmetries

Towards the *eclectic* flavor picture

Use **Narain formalism**: split string in **independent** components

$$X(\tau, \sigma) = X_R(\sigma - \tau) + X_L(\sigma + \tau)$$

Groot-Nibbelink, Vaudrevange (2017)

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$$\mathcal{O}_{Narain} = (\mathbb{R}_R^2 \otimes \mathbb{R}_L^2) / S_{Narain}$$

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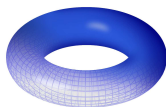
What are the **outer automorphisms** of $S_{Narain} = \{g\}$?

$$Out(S_{Narain}) = \{h = (\Sigma, t) \notin S_{Narain} \mid hgh^{-1} \in S_{Narain}\}$$

Rotations: $h_\Sigma = (\Sigma, 0) \rightarrow O(2, 2; \mathbb{Z})$, **Translations**: $h_t = (\mathbb{1}_4, t)$

Towards the *eclectic* picture: what $Out(S_{Narain})$ is

String 2D toroidal compactifications have **two moduli**: T, U



$$G = \frac{\text{Im} T}{\text{Im} U} \begin{pmatrix} 1 & \text{Re} U \\ \text{Re} U & |U|^2 \end{pmatrix}, \quad B = \text{Re} T \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix}$$

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Recall: in $SL(2, \mathbb{Z})$ $T \xrightarrow{S} -\frac{1}{T}, \quad T \xrightarrow{T} T + 1$

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$$SL(2, Z)_T = \langle S_T, T_T \rangle, \quad SL(2, Z)_U = \langle S_U, T_U \rangle \quad \text{☺}$$

M: mirror symmetry, K_* : \mathcal{CP} -like transformation ☺

Nilles, Ratz, Trautner, Vaudrevange (2018); Novichkov, Penedo, Petcov, Titov (2019)

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Further, $\{h_t\}$ don't change T, U , but do transform fields
→ traditional flavor symmetry ☺

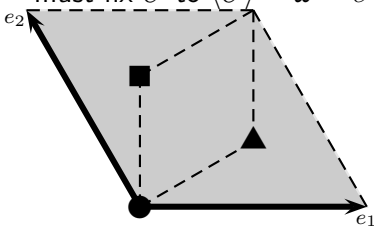
Common origin of modular and traditional flavor

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Example $\mathbb{T}^2/\mathbb{Z}_3$: must fix U to $\langle U \rangle = \omega = e^{2\pi i/3} \rightarrow$ broken $SL(2, \mathbb{Z})_U$



Lauer, Mas, Nilles (1989)

By using CFT formalism, inspect $SL(2, \mathbb{Z})_T$ on the triplet of matter fields:

$$h_\Sigma : \rho(S_T) = \frac{i}{\sqrt{3}} \begin{pmatrix} 1 & 1 & 1 \\ 1 & \omega^2 & \omega \\ 1 & \omega & \omega^2 \end{pmatrix}, \quad \rho(T_T) = \begin{pmatrix} \omega^2 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 1 \end{pmatrix}$$

$\rho(S_T)$ and $\rho(S_T)$ build the reps. $\mathbf{2}' \oplus \mathbf{1}$ of modular group $\Gamma'_3 = T'$ ☺

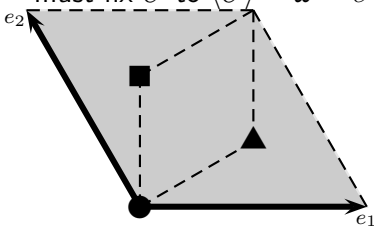
$$\Phi_{n=-2/3, -5/3} \xrightarrow{S_T} (-T)^n \rho(S_T) \Phi_n, \quad \Phi_n \xrightarrow{T_T} \rho(T_T) \Phi_n$$

Ibáñez, Lüst (1992)

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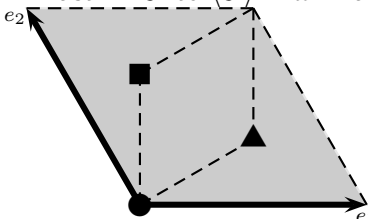
$\rho(A)$, $\rho(B)$ and $\rho(C)$ build the reps $\mathbf{3}_{2(1)}$ and $\mathbf{3}_{1(1)}$ of **traditional flavor group** $\Delta(54)$ for $\Phi_{-2/3}$ and $\Phi_{-5/3}$

cf. also in Kobayashi, Plöger, Nilles, Raby, Ratz (2006)

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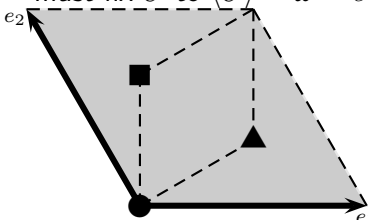
$$\Delta(54) \cup T' \cong \Omega(1) = SG[648, 533]$$

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Can we generalize this in a bottom-up fashion ?