

# Renormalization and Unitarity in Lifshitz scaling theory

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# Unitarity and renormalizability

Conjecture by Llewellyn Smith (1974)

If no physical ghost propagation

predictability

Unitarity = renormalizability

Y-M theory	○	○
Weinberg-Salam model	○	○
Massive vector	×	×
4-Fermi	×	×

No counterexample!

# Why Lifshitz scaling theory?

Check if this is purely quantum origin or not.

Less symmetric theory is better.

Otherwise symmetry may do something.

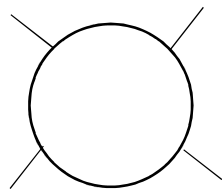
Why not break the Lorentz sym.?

Horava Lifshitz gravity

Check unitarity may be easier.

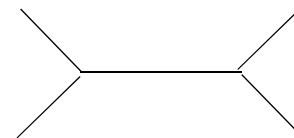
renormalization

$$\int d\omega d^d k V \frac{1}{\omega^2 - p^{2z}} V \dots\dots$$



unitarity

$$V \frac{1}{\omega^2 - p^{2z}} V$$



# Contents

## Renormalizability

The conventional Power Counting Renormalization (PCR) is not enough.  
For renormalization (finite number of counter terms),  
we need extended version of PCR.

## Unitarity

Only with unitarity, optical theorem can be derived.  
Optical theorem gives an inequality for scattering amplitude called “Unitary bound”.  
Derive the condition where Unitary bound of tree diagram holds in UV limit.

# Contents

## Renormalizability

The conventional Power Counting Renormalization (PCR) is not enough.  
For renormalization (finite number of counter terms),  
we need extended version of PCR.

See the coincidence  
of these conditions



## Unitarity

Only with unitarity, optical theorem can be derived.  
Optical theorem gives an inequality for scattering amplitude called “Unitary bound”.  
Derive the condition where Unitary bound of tree diagram holds in UV limit

# Renormalizability

Conventional Power-counting  
And  
Extended Power-counting

# Conventional PCR

Second order action

$$S_2 = \int dt d^d x \phi (-\partial_t^2 - (-\Delta)^z) \phi$$

$$[p] = 1, \quad [E] = z, \quad [\phi] = (d - z)/2$$

$$[dt] + d[dx] + 2[\partial_t] + 2[\phi] = 0$$

Interaction action

$$S_{int} = \lambda \int dt d^d x \partial_x^a \phi^b$$

$$\begin{aligned} [\lambda] &= -[dt] - d[dx] - a[\partial_x] - b[\phi] \\ &= z + d - a - b(d - z)/2 \end{aligned}$$



Conventional Power-Counting Renormalizaion (PCR) condition

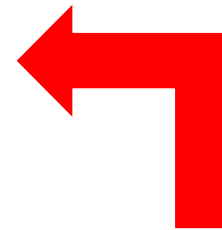
# Renormalization

## Relevant terms in RG flow

Describe the IR behavior of theory.  
Perhaps the conventional power-counting works

## Finite number of counter terms

UV completion  
Prediction  
The conventional PCR is not enough



Unitarity in UV is expected to be related to the latter one!



# Nonrenormalizable term with PCR

Example with  $d=3, z=5$

$$S_2 = \int dt d^3x \phi (-\partial_t^2 - (-\Delta)^5) \phi \quad [\phi] = -1$$

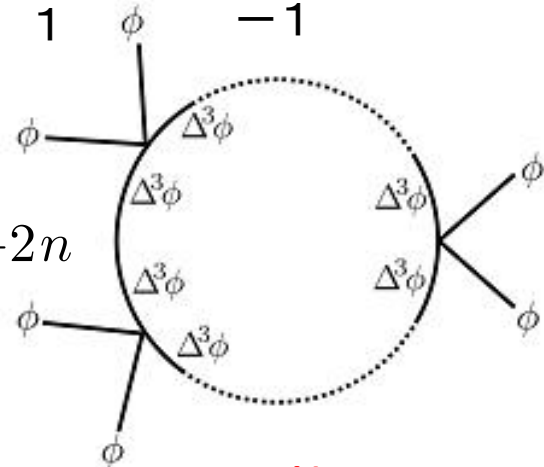
interaction term with  $[\lambda]=0$  (satisfies the conventional PCR)

$$S_{int} = \lambda \int dt d^3x \phi^2 (\Delta^3 \phi)^2$$

$$[\lambda] = \underbrace{-[dt]}_{-5} - \underbrace{3[dx]}_{-1} - \underbrace{12[\partial_x]}_1 - \underbrace{4[\phi]}_{-1} = 0$$

1-loop 2n-point function

$$\int d\omega d^3k \left( \frac{1}{\omega^2 - p^{10}} \right)^n (p^{12})^n \sim \Lambda^{8+2n}$$



For any  $n$ , this diverges.

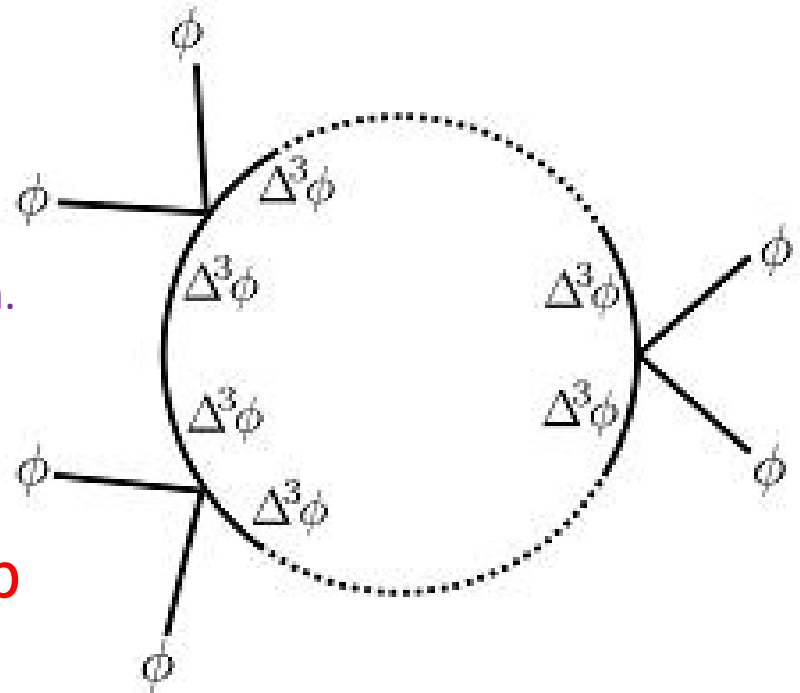
**Infinite number of counter terms are required!**

# Extended PCR

We are looking the divergence of loop diagram.  
Only internal lines are important.

$$S_{int} = \lambda \int dt d^3x \phi^2 \underline{(\Delta^3 \phi)^2}$$

Related to loop



With  $d=3, z=5$ , if operator has dimension **8**, it is marginal.

However,  $(\Delta^3 \phi)^2$ , which is the part actually related to loop calculation,  
**is dimension 10.**

Therefore, **not renormalizable**

**Any portion must have less than 8 dimension.**



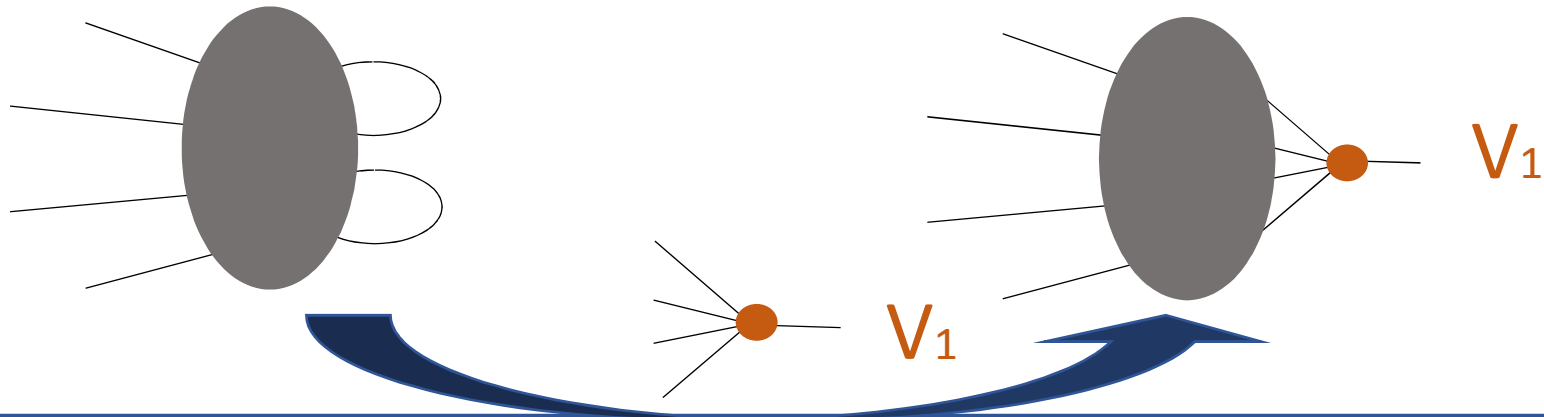
**Inverse of  $[dt d^d x]$**

# Extended PCR (marginal case)

Extended PCR

Any portion of interaction operator  $< ( \text{ or } \leq ) d + z$   
 $\uparrow$  Which?  $\uparrow$

A diverging loop diagram



Add vertex  $V_1$ .  $S_{int} = \lambda \int dt d^3x (\partial_x^{a_1} \phi) \dots (\partial_x^{a_4} \phi) (\partial_x^b \phi)$

A portion of  $V_1$  operator is **marginal**.

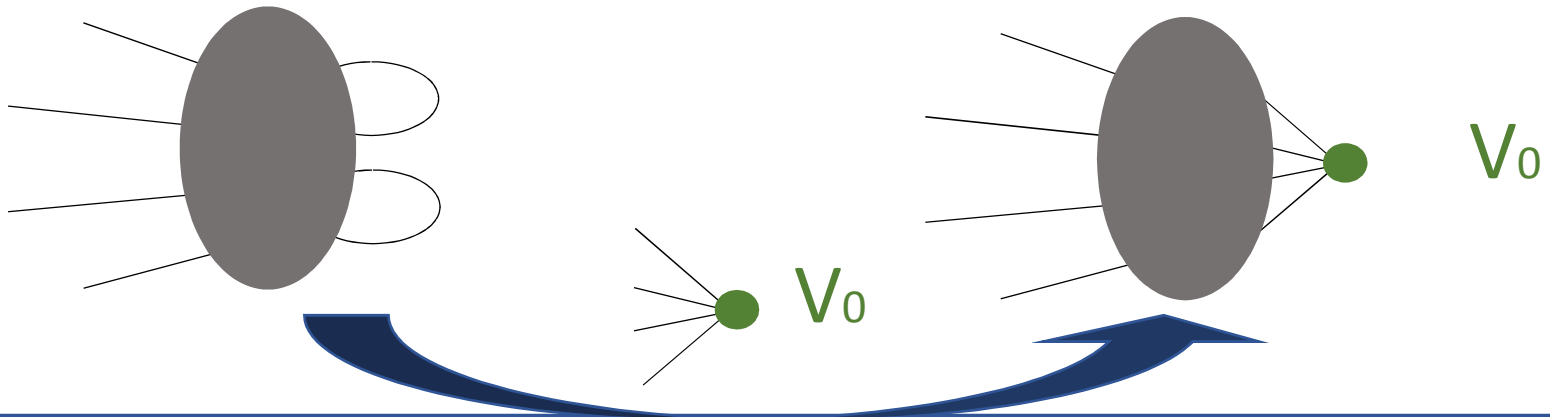
Change the structure of external line. **Need extra counter terms!**

# Extended PCR (marginal case)

Extended PCR

Whole of interaction operator  $< ( \text{ or } \leq ) d + z$   
 $\uparrow$  Which?  $\uparrow$

A diverging loop diagram



Add quartic vertex  $V_0$ .  $S_{int} = \lambda \int dt d^3x (\partial_x^{a_1} \phi) \dots (\partial_x^{a_4} \phi)$   
 Whole part of  $V_0$  operator is **marginal**.

The structure of external line is the same. **Don't need extra counter terms!**

# Extended PCR (marginal case)

Extended PCR

Any portion of interaction operator  $< ( \text{ or } \leq ) d + z$

Which?

whole

For whole operator,  $\leq$

For a portion of operator,  $<$

$$S_{int} = \lambda \int dt d^3x \underbrace{(\partial_x^a \phi) \dots (\partial_x^b \phi) \dots (\partial_x^c \phi)}_{\text{A portion}}$$

## Cubic interaction term

$$S_3 = \int dt d^d x (\partial_x^{a_1} \phi) (\partial_x^{a_2} \phi) (\partial_x^{a_3} \phi) \quad a_1 \leq a_2 \leq a_3$$

$$a_1 + a_2 + a_3 \leq (5z - d)/2$$

$$a_2 + a_3 < 2z \quad \longrightarrow \quad a_2 + a_3 \leq 2z - 1$$

$a_1, a_2, a_3, z, d$  are integers

# Extended PCR (marginal case)

Extended PCR

Any portion of interaction operator  $< ( \text{ or } \leq ) d + z$

Which?

whole

For whole operator,  $\leq$

For a portion of operator,  $<$

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## Quartic interaction term

$$S_4 = \int dt d^d x (\partial_x^{a_1} \phi) (\partial_x^{a_2} \phi) (\partial_x^{a_3} \phi) (\partial_x^{a_4} \phi) \quad a_1 \leq a_2 \leq a_3 \leq a_4$$

$$a_1 + a_2 + a_3 + a_4 \leq 3z - d$$

$$a_2 + a_3 + a_4 < (5z - d)/2 \quad \longrightarrow \quad a_2 + a_3 + a_4 \leq (5z - d - 1)/2$$

$$a_3 + a_4 < 2z \quad \longrightarrow \quad a_3 + a_4 \leq 2z - 1$$

$a_1, a_2, a_3, a_4, z, d$  are integers

# Unitarity

-Unitarity bound-

# Unitarity Bound (general discussion)

Unitarity

$$SS^\dagger = 1$$

$$S = 1 + iT$$

$$-i(T - T^\dagger) = TT^\dagger$$

Scattering amplitude  $\mathcal{M}(i \rightarrow f)$

$$\langle f|T|i\rangle = \delta(E_i - E_f)\delta^d(\mathbf{p}_i - \mathbf{p}_f)\mathcal{M}(i \rightarrow f)$$

Orthonormal basis  $|X\rangle \quad \sum_X |X\rangle\langle X| = 1$

$$-i[\mathcal{M}(i \rightarrow f) - \mathcal{M}(f \rightarrow i)^*]$$

$$= \sum_X \delta(E - E_X)\delta^d(\mathbf{p} - \mathbf{p}_X)\mathcal{M}(i \rightarrow X)\mathcal{M}(f \rightarrow X)^*$$

$$i = f$$

$$2 \operatorname{Im} \mathcal{M}(i \rightarrow i) = \sum_X \delta(E - E_X)\delta^d(\mathbf{p} - \mathbf{p}_X)|\mathcal{M}(i \rightarrow X)|^2$$



# Unitarity bound (perturbative)

Normalized n-particle state  $|\mathbf{p}_1 \dots \mathbf{p}_n\rangle$

$$\int \prod_{j=1}^n \frac{d^d p_j}{2E_{p_j}} |\mathbf{p}_1 \dots \mathbf{p}_n\rangle \langle \mathbf{p}_1 \dots \mathbf{p}_n| = 1$$

Normalized state with discrete parameter  $l$

Orthonormal func. on constant  $E$  and  $\mathbf{P}$   $h_l(\mathbf{p}_j)$

$$|E, \mathbf{P}, l\rangle = \int d\Pi_n h_l(\mathbf{p}_j) |\mathbf{p}_1 \dots \mathbf{p}_n\rangle$$

$$d\Pi_n := \prod_{j=1}^n \frac{d^d p_j}{2E_j} \delta(E_1 + \dots + E_n - E) \delta^d(\mathbf{p}_1 + \dots + \mathbf{p}_n - \mathbf{P})$$

Scattering amplitude on constant  $E$  and  $\mathbf{P}$  sub-space

$$\mathcal{M}(E, \mathbf{P}; l \rightarrow l')$$

$$\langle E, \mathbf{P}, l | T | E', \mathbf{P}', l' \rangle = \delta(E - E') \delta^d(\mathbf{P} - \mathbf{P}') \mathcal{M}(E, \mathbf{P}; l \rightarrow l')$$

# Unitarity bound ( $l$ -basis)

$$\text{Im } \mathcal{M}(i \rightarrow i) = \sum_X \delta(E - E_X) \delta^d(\mathbf{p} - \mathbf{p}_X) |\mathcal{M}(i \rightarrow X)|^2$$



$$\langle E, \mathbf{P}, l | T | E', \mathbf{P}', l' \rangle = \delta(E - E') \delta^d(\mathbf{P} - \mathbf{P}') \mathcal{M}(E, \mathbf{P}; l \rightarrow l')$$

$$| \text{Im } \mathcal{M}(E, \mathbf{P}; l \rightarrow l) | = \sum_{l'} |\mathcal{M}(E, \mathbf{P}; l \rightarrow l')|^2$$

$\parallel \wedge$

$\vee \parallel$

$$|\mathcal{M}(E, \mathbf{P}; l \rightarrow l)|$$

$$|\mathcal{M}(E, \mathbf{P}; l \rightarrow l')|^2$$

$$l' = l$$

$$|\mathcal{M}(E, \mathbf{P}; l \rightarrow l) \geq |\mathcal{M}(E, \mathbf{P}; l \rightarrow l)|^2$$



$$|\mathcal{M}(E, \mathbf{P}; l \rightarrow l)| \leq \text{const.}$$

# Unitarity bound ( $l$ -basis)

$$\text{Im } \mathcal{M}(i \rightarrow i) = \sum_X \delta(E - E_X) \delta^d(\mathbf{p} - \mathbf{p}_X) |\mathcal{M}(i \rightarrow X)|^2$$



$$\langle E, \mathbf{P}, l | T | E', \mathbf{P}', l' \rangle = \delta(E - E') \delta^d(\mathbf{P} - \mathbf{P}') \mathcal{M}(E, \mathbf{P}; l \rightarrow l')$$

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$\vee \parallel$

$$|\mathcal{M}(E, \mathbf{P}; l \rightarrow l)|$$

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$\parallel \wedge$

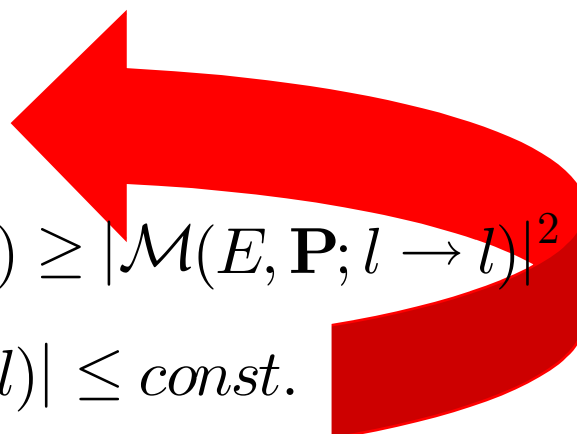
*const.*

$$l' = l$$

$$|\mathcal{M}(E, \mathbf{P}; l \rightarrow l)| \geq |\mathcal{M}(E, \mathbf{P}; l \rightarrow l)|^2$$



$$|\mathcal{M}(E, \mathbf{P}; l \rightarrow l)| \leq \text{const.}$$



# Unitarity bound ( $l$ -basis)

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$\| \wedge$

$\vee \|$

$$|\mathcal{M}(E, \mathbf{P}; l \rightarrow l)|$$

$$|\mathcal{M}(E, \mathbf{P}; l \rightarrow l')|^2$$

$\| \wedge$

*const.*

$$|\mathcal{M}(E, \mathbf{P}; l \rightarrow l')| \leq \text{const.}$$

## Unitarity Bound

# Two-particle Scattering

## High energy limit

### Relativistic theory

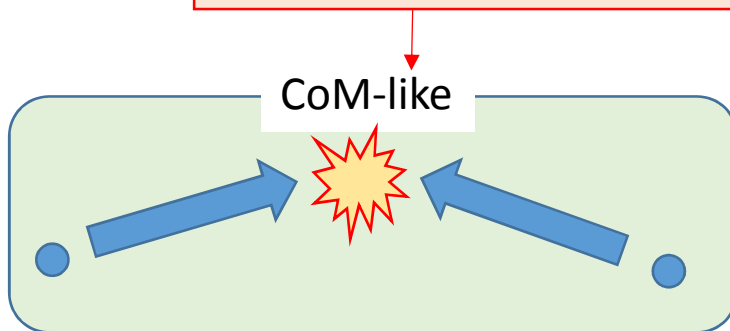
we can take CoM frame.

High energy limit  $\Rightarrow (E \rightarrow \infty, P=0)$

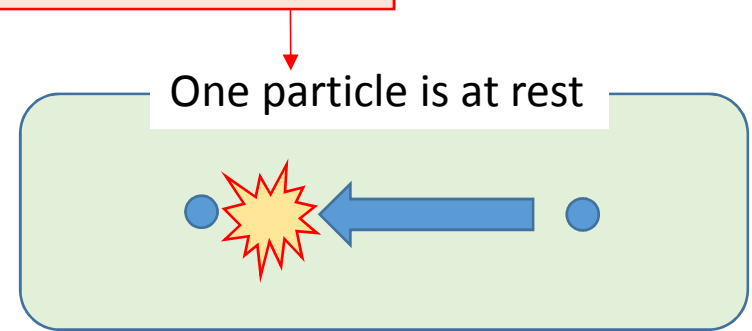
### Lifshitz scaling theory

No Lorentz sym.

High energy limit with non-zero  $P$  (which can diverge)  
gives different constraint.

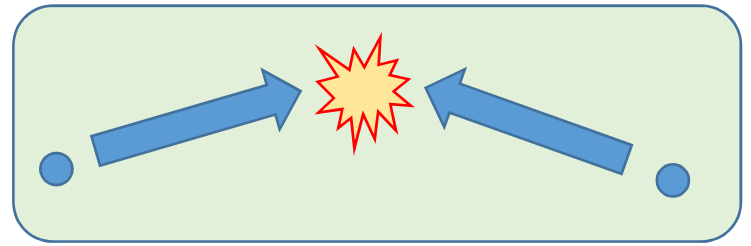


$|\alpha\rangle$



$|\beta\rangle$

CoM-like state  $|\alpha\rangle$



Orthonormal func. on constant E and P  $h_l(\mathbf{p}_j)$

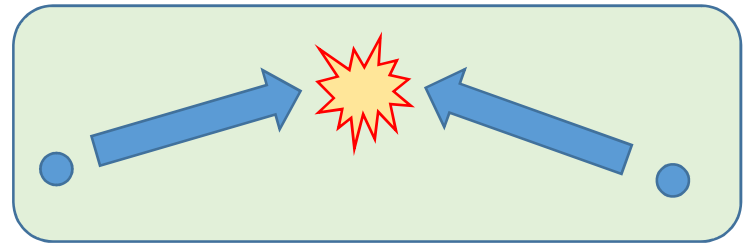
$$|\alpha\rangle = \int d\Pi \ h_\alpha(\mathbf{p}_j) |\mathbf{p}_1, \mathbf{p}_2\rangle$$

$$d\Pi := \frac{d^d p_1}{2E_1} \frac{d^d p_2}{2E_2} \delta(E_1 + E_2 - E) \delta^d(\mathbf{p}_1 + \mathbf{p}_2 - \mathbf{P})$$

$$h_\alpha(p_j) = \frac{1}{\sqrt{N_\alpha(P)}} \times \begin{cases} 1 & (|\mathbf{p}_1| - |\mathbf{p}_2| \leq P/2) \\ 0 & (|\mathbf{p}_1| - |\mathbf{p}_2| > P/2) \end{cases}$$

$$N_\alpha = \int_{I_\alpha} \frac{d^d p_1}{2E_1} \frac{d^d p_2}{2E_2} \delta(E_1 + E_2 - E) \delta^d(\mathbf{p}_1 + \mathbf{p}_2 - \mathbf{P})$$

CoM-like state  $|\alpha\rangle$



Orthonormal func. on constant E and P  $h_l(\mathbf{p}_j)$

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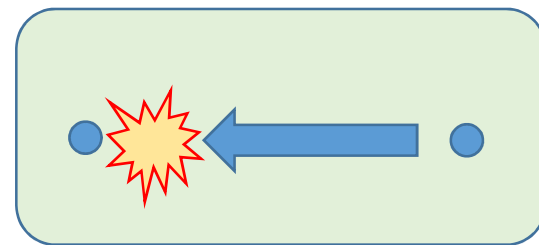
$$d\Pi := \frac{d^d p_1}{2E_1} \frac{d^d p_2}{2E_2} \delta(E_1 + E_2 - E) \delta^d(\mathbf{p}_1 + \mathbf{p}_2 - \mathbf{P})$$

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$$N_\alpha = \int_{I_\alpha} \frac{d^d p_1}{2E_1} \frac{d^d p_2}{2E_2} \delta(E_1 + E_2 - E) \delta^d(\mathbf{p}_1 + \mathbf{p}_2 - \mathbf{P})$$

$\propto P^{d-3z}$

One particle is at rest  $|\beta\rangle$



$$h_{\beta}(p_j) = \frac{1}{\sqrt{N_{\beta}(P)}} \times \begin{cases} 1 & (|\mathbf{p}_1| \leq \epsilon) \\ 0 & (|\mathbf{p}_1| > \epsilon) \end{cases} \quad \begin{aligned} p_1 &= \mathcal{O}(1) \\ p_2 &= \mathcal{O}(P) \end{aligned}$$

$$N_{\beta} = \int_{I_{\beta}} \frac{d^d p_1}{2E_1} \frac{d^d p_2}{2E_2} \delta(E_1 + E_2 - E) \delta^d(\mathbf{p}_1 + \mathbf{p}_2 - \mathbf{P})$$

$P^0$  (yellow oval),  $P^d$  (green oval),  $P^{-d}$  (grey oval),  $P^{-z}$  (orange oval)



$$E_2 \simeq E \simeq P^z \quad \rightarrow \quad E_1 + E_2 - E = \mathcal{O}(P^{z-1})$$

$$N_{\beta} \propto P^{-2z+1}$$



$$\mathcal{M}(\alpha \rightarrow \alpha)$$

Unitarity bound

$$\begin{aligned} \text{const.} &\geq |\mathcal{M}(E, \mathbf{P}; \alpha \rightarrow \alpha)| \\ &= \left| \int d\Pi(p) d\Pi(k) h_\alpha(p) h_\alpha(k) \mathcal{M}(\mathbf{p}_1, \mathbf{p}_2 \rightarrow \mathbf{k}_1, \mathbf{k}_2) \right| \end{aligned}$$

$$\begin{aligned} d\Pi(p) &:= \frac{d^d p_1 d^d p_2}{2E_1 2E_2} \delta(E_1 + E_2 - E) \delta^d(\mathbf{p}_1 + \mathbf{p}_2 - \mathbf{P}) \\ &\sim N_\alpha \propto P^{d-3z} \end{aligned}$$

$$\sim N_\alpha P^a \propto P^{d-3z+a}$$

Suppose  $|\mathcal{M}(\mathbf{p}_1, \mathbf{p}_2 \rightarrow \mathbf{k}_1, \mathbf{k}_2)| = P^a$

$$a \leq 3z - d$$

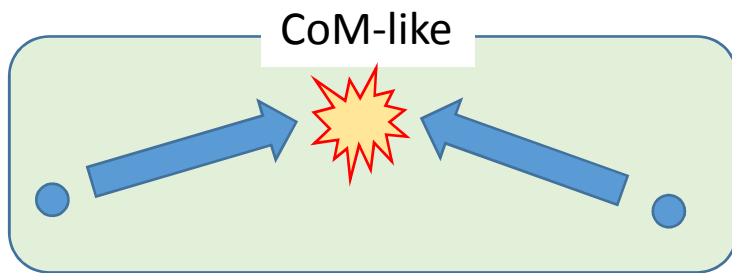
# UB for scattering amplitude

$$|\mathcal{M}(\mathbf{p}_1, \mathbf{p}_2 \rightarrow \mathbf{k}_1, \mathbf{k}_2)| = P^a$$

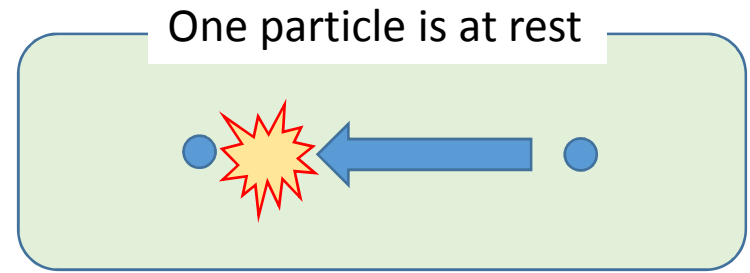
$$\mathcal{M}(\alpha \rightarrow \alpha) \quad a \leq 3z - d$$

$$\mathcal{M}(\beta \rightarrow \beta) \quad a \leq 2z - 1$$

$$\mathcal{M}(\alpha \rightarrow \beta) \quad a \leq (5z - d - 1)/2$$



$|\alpha\rangle$



$|\beta\rangle$

# Quartic interaction

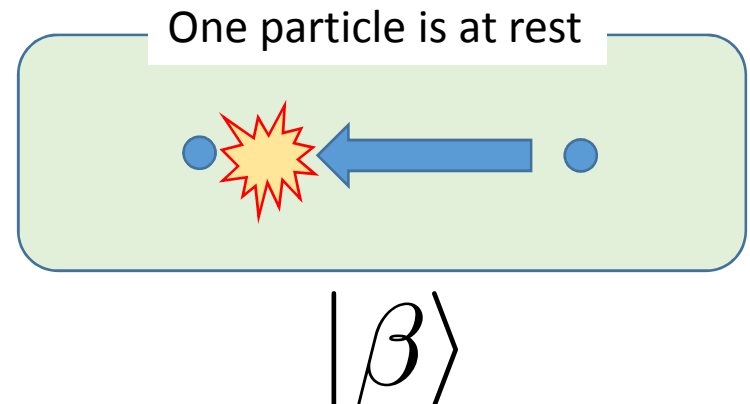
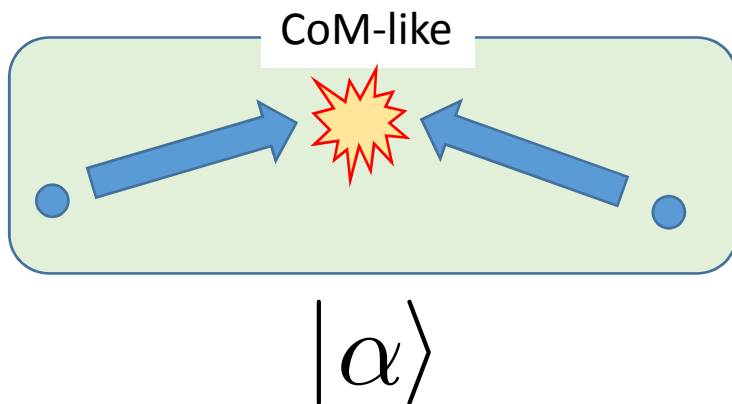
$$S_4 = \int dt d^d x (\partial_x^{a_1} \phi)(\partial_x^{a_2} \phi)(\partial_x^{a_3} \phi)(\partial_x^{a_4} \phi) \quad a_1 \leq a_2 \leq a_3 \leq a_4$$

$$\mathcal{M}(\mathbf{p}_1, \mathbf{p}_2 \rightarrow \mathbf{k}_1, \mathbf{k}_2) = p_1^{a_1} p_2^{a_2} k_1^{a_3} k_2^{a_4} + [\text{perm.}]$$

$$(\alpha \rightarrow \alpha) \rightarrow P^{a_1+a_2+a_3+a_4} \quad a_1 + a_2 + a_3 + a_4 \leq 3z - d$$

$$(\beta \rightarrow \beta) \rightarrow P^{a_3+a_4} \quad a_3 + a_4 \leq 2z - 1$$

$$(\alpha \rightarrow \beta) \rightarrow P^{a_2+a_3+a_4} \quad a_2 + a_3 + a_4 \leq (5z - d - 1)/2$$



# Extended PCR (marginal case)

Extended PCR

Any portion of interaction operator  $< ( \text{ or } \leq ) d + z$

Which?

whole

For whole operator,  $\leq$

For a portion of operator,  $<$

$$S_{int} = \lambda \int dt d^3x \underbrace{(\partial_x^a \phi) \dots (\partial_x^b \phi) \dots (\partial_x^c \phi)}_{\text{A portion}}$$

## Quartic interaction term

$$S_4 = \int dt d^d x (\partial_x^{a_1} \phi) (\partial_x^{a_2} \phi) (\partial_x^{a_3} \phi) (\partial_x^{a_4} \phi) \quad a_1 \leq a_2 \leq a_3 \leq a_4$$

$$a_1 + a_2 + a_3 + a_4 \leq 3z - d$$

$$a_2 + a_3 + a_4 < (5z - d)/2 \quad \longrightarrow \quad a_2 + a_3 + a_4 \leq (5z - d - 1)/2$$

$$a_3 + a_4 < 2z \quad \longrightarrow \quad a_3 + a_4 \leq 2z - 1$$

$a_1, a_2, a_3, a_4, z, d$  are integers

# Extended PCR (marginal case)

Extended PCR

## Unitarity bound

$$(\alpha \rightarrow \alpha) \rightarrow P^{a_1+a_2+a_3+a_4} \quad a_1 + a_2 + a_3 + a_4 \leq 3z - d$$

$$(\beta \rightarrow \beta) \rightarrow P^{a_3+a_4} \quad a_3 + a_4 \leq 2z - 1$$

$$(\alpha \rightarrow \beta) \rightarrow P^{a_2+a_3+a_4} \quad a_2 + a_3 + a_4 \leq (5z - d - 1)/2$$

$$a_1 + a_2 + a_3 + a_4 \leq 3z - d$$

$$a_2 + a_3 + a_4 < (5z - d)/2 \quad \longrightarrow \quad a_2 + a_3 + a_4 \leq (5z - d - 1)/2$$

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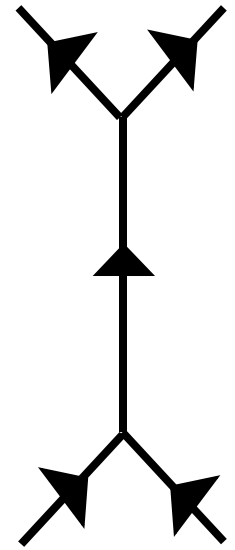
$a_1, a_2, a_3, a_4, z, d$  are integers

# Cubic interaction

$$S_3 = \int dt d^d x (\partial_x^{a_1} \phi)(\partial_x^{a_2} \phi)(\partial_x^{a_3} \phi) \quad a_1 \leq a_2 \leq a_3$$

$$\mathcal{M}(\mathbf{p}_1, \mathbf{p}_2 \rightarrow \mathbf{k}_1, \mathbf{k}_2) \propto \frac{V(\mathbf{p}_1, \mathbf{p}_2, \mathbf{P}) V(\mathbf{k}_1, \mathbf{k}_2, \mathbf{P})}{E^2 - P^{2z}}$$

$$\sim (p_1^{a_1} p_2^{a_2} P^{a_3} k_1^{a_1} k_2^{a_2} P^{a_3} + \text{perm.}) / P^{2z}$$



S-channel

$$(\alpha \rightarrow \alpha) \rightarrow P^{2(a_1+a_2+a_3)-2z} \quad a_1 + a_2 + a_3 \leq (5z - d)/2$$

$$(\beta \rightarrow \beta) \rightarrow P^{2(a_2+a_3)-2z} \quad a_2 + a_3 \leq 2z - 1/2$$

Suppose  $a_i, z$  are integers

$$a_2 + a_3 \leq 2z - 1$$

$$(\alpha \rightarrow \beta) \rightarrow P^{a_1+2(a_2+a_3)-2z}$$

$$a_1 + 2a_2 + 2a_3 \leq (9z - d - 1)/2$$

No additional condition

# Extended PCR (marginal case)

Extended PCR

Any portion of interaction operator  $< ( \text{ or } \leq ) d + z$

Which?

whole

For whole operator,  $\leq$

For a portion of operator,  $<$

$$S_{int} = \lambda \int dt d^3x \underbrace{(\partial_x^a \phi) \dots (\partial_x^b \phi) \dots (\partial_x^c \phi)}_{\text{A portion}}$$

## Cubic interaction term

$$S_3 = \int dt d^d x (\partial_x^{a_1} \phi) (\partial_x^{a_2} \phi) (\partial_x^{a_3} \phi) \quad a_1 \leq a_2 \leq a_3$$

$$a_1 + a_2 + a_3 \leq (5z - d)/2$$

$$a_2 + a_3 < 2z \quad \longrightarrow \quad a_2 + a_3 \leq 2z - 1$$

$a_1, a_2, a_3, z, d$  are integers

# Extended PCR (marginal case)

## Unitarity bound

$$(\alpha \rightarrow \alpha) \rightarrow P^{2(a_1+a_2+a_3)-2z} \quad a_1 + a_2 + a_3 \leq (5z - d)/2$$

$$(\beta \rightarrow \beta) \rightarrow P^{2(a_2+a_3)-2z} \quad a_2 + a_3 \leq 2z - 1/2$$

Suppose  $a_i, z$  are integers

$$a_2 + a_3 \leq 2z - 1$$

$$(\alpha \rightarrow \beta) \rightarrow P^{a_1+2(a_2+a_3)-2z}$$

$$a_1 + 2a_2 + 2a_3 \leq (9z - d - 1)/2$$

No additional condition

$$a_1 + a_2 + a_3 \leq (5z - d)/2$$

$$a_2 + a_3 < 2z \quad \longrightarrow \quad a_2 + a_3 \leq 2z - 1$$

$a_1, a_2, a_3, z, d$  are integers



# Summary

## Renormalizability

The conventional Power Counting Renormalization (PCR) is not enough.  
For renormalization (finite number of counter terms),  
we need extended version of PCR.

See the coincidence  
of these conditions



## Unitarity

Only with unitarity, optical theorem can be derived.  
Optical theorem gives an inequality for scattering amplitude called “Unitary bound”.  
Derive the condition where Unitary bound of tree diagram holds in UV limit