

Modular Flavor Symmetries



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March 26 2024



Moriond 2024, La Thuile, Italy

Based in part on collaborations with:

Y. Almumin, M.-C. Chen, V. Knapp-Pérez, X. Li, X.-G. Liu, O. Medina,
H.P. Nilles, M. Ramos-Hamud, S. Ramos-Sánchez & S. Shukla

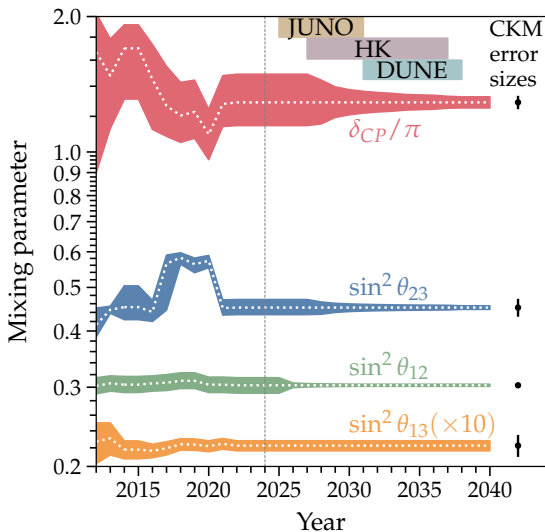
Outline

&

Disclaimers

Current and future precision of neutrino experiments

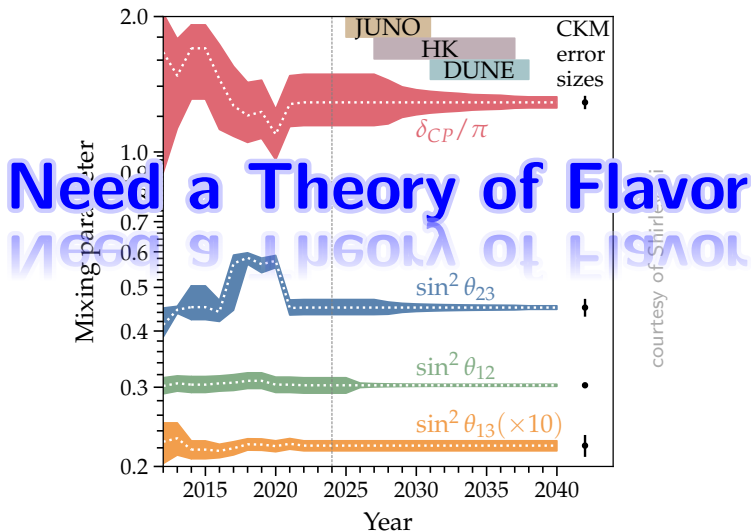
[Song, Li, Argüelles, Bustamante & Vincent \[2021\]](#)



courtesy of Shirley Li

Current and future precision of neutrino experiments

[Song, Li, Argüelles, Bustamante & Vincent \[2021\]](#)



Theories of flavor

☞ Froggatt–Nielsen models

[☞ Froggatt & Nielsen \[1979\],...](#)

☞ Non-Abelian discrete flavor symmetries

[☞ Kaplan & Schmaltz \[1994\],...](#)

☞ Warped extra dimensions

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[☞ Randall & Sundrum \[1999\],...](#)

☞ New game in town:

[☞ Feruglio \[2017\],...](#)

Modular Flavor Symmetries

MODULAR FLAVOR SYMMETRIES

for reviews see e.g. [☞ Feruglio & Romanino \[2021\]](#)
[☞ Almunin, Chen, Cheng, Knapp-Perez, Li, Mondol, Ramos-Sanchez, MR & Shukla \[2023\]](#)
[☞ Kobayashi & Tanimoto \[2023\]](#)
[☞ Ding & King \[2023\]](#)
[☞ Ding & Valle \[2024\]](#)

Theories of flavor

- 👉 Froggatt–Nielsen models [Froggatt & Nielsen \[1979\],...](#)
- 👉 Non-Abelian discrete flavor symmetries [Kaplan & Schmaltz \[1994\],...](#)
- 👉 Warped extra dimensions [Randall & Sundrum \[1999\],...](#)
- 👉 New game in town: [Feruglio \[2017\],...](#)

Modular Flavor Symmetries

Apologies and disclaimers:

- 🙊 This talk will not have extensive references to model building activities that contribute to this exciting field, sorry!
- 🍷 I will have to suppress many details which are not essential to get the big picture.

Modular
Modular

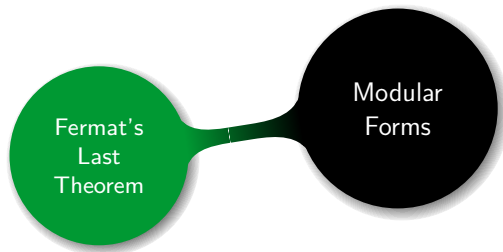
Flavor
Flavor

Symmetries
Symmetries

Modular forms

[▶ details](#)

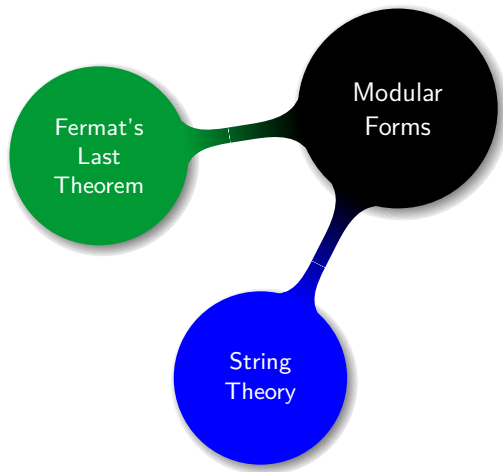
👉 Modular forms are well known in mathematics and some areas of physics



Modular forms

[▶ details](#)

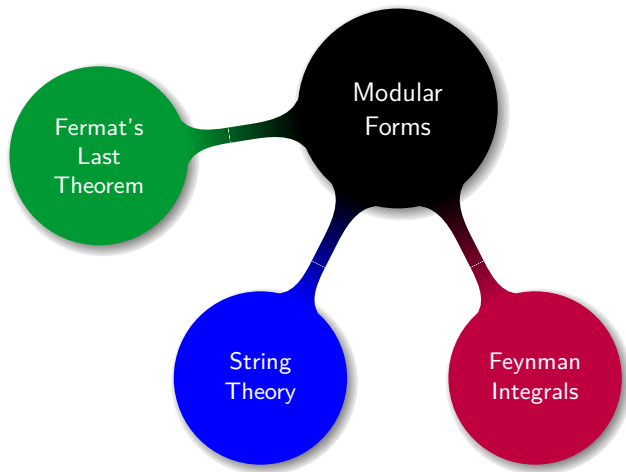
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Modular forms & modular flavor symmetries

[▶ details](#)

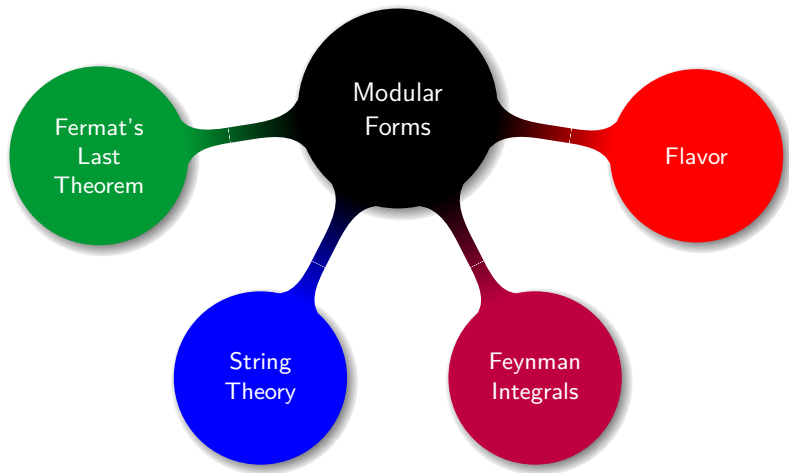
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Modular forms & modular flavor symmetries

[▶ details](#)

👉 Modular forms are well known in mathematics and some areas of physics



Modular forms & modular flavor symmetries

[▶ details](#)

- Modular forms are well known in mathematics and some areas of physics
- Traditional modular forms

$$f(\gamma\tau) = (c\tau + d)^k f(\tau)$$

$$\gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \mathrm{SL}(2, \mathbb{Z})/\mathbb{Z}_2$$

Modular forms & modular flavor symmetries

[▶ details](#)

- Modular forms are well known in mathematics and some areas of physics
- Traditional modular forms

$$f(\gamma \tau) = (c\tau + d)^k f(\tau)$$

$k \in \mathbb{N}$ modular weight

Modular forms & modular flavor symmetries

[▶ details](#)

➡ Modular forms are well known in mathematics and some areas of physics

➡ Traditional modular forms

$$f(\gamma \tau) = (c\tau + d)^k f(\tau)$$

➡ Vector-valued modular forms

🔗 [Liu & Ding \[2022\]](#)

$$f_i(\gamma \tau) = (c\tau + d)^k [\rho_N(\gamma)]_{ij} f_j(\tau)$$

representation matrix of Γ_N
e.g. $\Gamma_3 = A_4$

Modular forms & modular flavor symmetries

[▶ details](#)

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[Liu & Ding \[2022\]](#)

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[Feruglio \[2017\]](#)

Modular flavor symmetries:

What if Yukawa couplings are modular forms?

An explicit example

[Feruglio \[2017\]](#)

Neutrino mass in traditional A_4 models

$$m_\nu = \frac{v_u^2}{\Lambda} \begin{pmatrix} 2a & -c & -b \\ -c & 2b & -a \\ -b & -a & 2c \end{pmatrix} \quad (\text{traditional})$$

VEV of the u -type Higgs in the MSSM

An explicit example

[Feruglio \[2017\]](#)

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Neutrino mass in a “modular” A_4 model

$$m_\nu = \frac{v_u^2}{\Lambda} \begin{pmatrix} 2Y_1(\tau) & -Y_3(\tau) & -Y_2(\tau) \\ -Y_3(\tau) & 2Y_2(\tau) & -Y_1(\tau) \\ -Y_2(\tau) & -Y_1(\tau) & 2Y_3(\tau) \end{pmatrix}$$

known modular functions of τ

$$\begin{pmatrix} Y_1 \\ Y_2 \\ Y_3 \end{pmatrix} = \begin{pmatrix} X_2^2 \\ \sqrt{2}X_1X_2 \\ -X_1^2 \end{pmatrix} \quad \text{where} \quad \begin{cases} X_1(\tau) := 3\sqrt{2} \frac{\eta^3(3\tau)}{\eta(\tau)} \\ X_2(\tau) := -3 \frac{\eta^3(3\tau)}{\eta(\tau)} - \frac{\eta^3(\tau/3)}{\eta(\tau)} \end{cases}$$

An explicit example

[Feruglio \[2017\]](#)

Neutrino mass in traditional A_4 models

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Highly predictive:

$$\left. \begin{array}{l} \Lambda \\ \text{Re } \tau \\ \text{Im } \tau \end{array} \right\} \xrightarrow{\text{predict}} \left\{ \begin{array}{l} 3 \text{ mass eigenvalues } m_i \\ 3 \text{ mixing angles } \theta_{ij} \\ 3 \text{ phases (1 Dirac \& 2 Majorana)} \end{array} \right.$$

Predictions of the Feruglio model

[Esteban, Gonzalez-Garcia, Maltoni, Schwetz & Zhou \[2020\]](#)
[Song, Li, Argüelles, Bustamante & Vincent \[2021\]](#)

[Feruglio \[2017\]](#)

NuFIT 5.2 (2022)

	Inverted Ordering ($\Delta\chi^2 = 2.3$)	
	bfp $\pm 1\sigma$	
	3σ range	
$\sin^2 \theta_{12}$	$0.303^{+0.012}_{-0.011}$	$0.270 \rightarrow 0.341$
$\theta_{12}/^\circ$	$33.41^{+0.75}_{-0.72}$	$31.31 \rightarrow 35.74$
$\sin^2 \theta_{23}$	$0.578^{+0.016}_{-0.021}$	$0.412 \rightarrow 0.623$
$\theta_{23}/^\circ$	$49.5^{+0.9}_{-1.2}$	$39.9 \rightarrow 52.1$
$\sin^2 \theta_{13}$	$0.02219^{+0.00060}_{-0.00057}$	$0.02047 \rightarrow 0.02396$
$\theta_{13}/^\circ$	$8.57^{+0.12}_{-0.11}$	$8.23 \rightarrow 8.90$
$\delta_{CP}/^\circ$	286^{+27}_{-32}	$192 \rightarrow 360$
$\frac{\Delta m_{21}^2}{10^{-5} \text{ eV}^2}$	$7.41^{+0.21}_{-0.20}$	$6.82 \rightarrow 8.03$
$\frac{\Delta m_{3\ell}^2}{10^{-3} \text{ eV}^2}$	$-2.498^{+0.032}_{-0.025}$	$-2.581 \rightarrow -2.408$

without SK atmospheric data

Model predictions

$$\sin^2 \theta_{12} = 0.295$$

$$\sin^2 \theta_{23} = 0.651$$

$$\sin^2 \theta_{13} = 0.0447$$

$$\delta_{CP} = 279^\circ$$


$$\left. \begin{array}{l} \Delta m_{\text{sol}}^2 \\ \Delta m_{\text{atm}}^2 \end{array} \right\} = 0.0292$$


Modular Invariant

Holomorphic


Observables


Predictive power of modular symmetries


 Ingredients

 modular invariance

Predictive power of modular symmetries


 Ingredients


 modular invariance

 holomorphy

Predictive power of modular symmetries

Ingredients

 modular invariance

 holomorphy

 finiteness

Predictive power of modular symmetries

Ingredients

-  modular invariance
 -  holomorphy
 -  finiteness
- } superpotential essentially \mathcal{W} fixed

Predictive power of modular symmetries

Ingredients

$$\left. \begin{array}{l}
 \text{modular invariance} \\
 \text{holomorphy} \\
 \text{finiteness}
 \end{array} \right\} \text{superpotential essentially } \mathcal{W} \text{ fixed}$$

However, typical observables are not holomorphic

$$\left. \begin{array}{l}
 \text{e.g. } \mathcal{W} = \frac{\mathcal{M}(\tau)}{2} \Phi^2 \\
 K = \frac{1}{(-i\tau + i\bar{\tau})^{k_\Phi}} \bar{\Phi}\Phi
 \end{array} \right\} \begin{array}{l}
 \leadsto m_{\text{physical}} = m_{\text{physical}}(\bar{\tau}, \tau) \\
 = |\mathcal{M}(\tau)| (-i\tau + i\bar{\tau})^{k_\Phi}
 \end{array}$$

not entirely fixed by symmetries




Predictive power of modular symmetries

Ingredients

$$\left. \begin{array}{l}
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 \text{holomorphy} \\
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 \end{array}$$

? Are there observables which fulfill ,  & ?

Modular invariant holomorphic observables


☞ Typical model

$$\mathcal{W}_{\text{lepton}} = Y_e^{ij} L_i \cdot H_d E_j + \frac{1}{2} \kappa'_{ij}(\tau) L_i \cdot H_u L_j \cdot H_u$$

Modular invariant holomorphic observables

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diagonal

Modular invariant holomorphic observables

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Modular invariant holomorphic observables

[Chen, Li, Liu, Medina & MR \[2024\]](#)

$$I_{ij}(\tau) := \frac{M_{ii}(\tau) M_{jj}(\tau)}{(M_{ij}(\tau))^2} = \frac{\kappa_{ii}(\tau) \kappa_{jj}(\tau)}{(\kappa_{ij}(\tau))^2} = \frac{m_{ii}(\tau, \bar{\tau}) m_{jj}(\tau, \bar{\tau})}{(m_{ij}(\tau, \bar{\tau}))^2}$$

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I_{ij} are entirely given by masses, mixing angles and phases, e.g.

$$I_{12} = \frac{a_0 \left[\widetilde{m}_1 \left(e^{i\delta} c_{23} s_{12} + c_{12} s_{13} s_{23} \right)^2 + \widetilde{m}_2 \left(e^{i\delta} c_{12} c_{23} - s_{12} s_{13} s_{23} \right)^2 + e^{2i\delta} m_3 c_{13}^2 s_{23}^2 \right]}{c_{13}^2 \left[\widetilde{m}_1 c_{12} \left(e^{i\delta} c_{23} s_{12} + c_{12} s_{13} s_{23} \right) + \widetilde{m}_2 s_{12} \left(s_{12} s_{13} s_{23} - e^{i\delta} c_{12} c_{23} \right) - e^{2i\delta} m_3 s_{13} s_{23} \right]^2}$$

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$$\tilde{m}_1 := m_1 e^{i\varphi_1}$$

$$\tilde{m}_2 := m_2 e^{i\varphi_2}$$

Modular invariant holomorphic observables

Typical model

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[Chen, Li, Liu, Medina & MR \[2024\]](#)

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$$c_{ij} := \cos \theta_{ij}$$

Modular invariant holomorphic observables

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$$s_{ij} := \sin \theta_{ij}$$

Modular invariant holomorphic observables

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$$a_0 := (\tilde{m}_1 c_{12}^2 + \tilde{m}_2 s_{12}^2) c_{13}^2 + e^{2i\delta} m_3 s_{13}^2$$

Modular invariant holomorphic observables

Typical model

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I_{ij} are invariant under the renormalization group

[Chang & Kuo \[2002\]](#)

Invariants in the Feruglio model

Invariants

$$I_{12}(\tau) = -2$$

Invariants in the Feruglio model

Invariants

$$I_{12}(\tau) = -2$$

$$\left. \begin{aligned} I_{13}(\tau) &= -2 \left(1 + \frac{1}{3} j_3(\tau) \right)^3 \\ I_{23}(\tau) &= -\frac{32}{I_{13}} = \frac{16}{\left(1 + \frac{1}{3} j_3(\tau) \right)^3} \end{aligned} \right\} \curvearrowright I_{13} I_{23} = -32$$

Hauptmodul of $\Gamma(3)$
 $j_3(\tau) := \eta(\tau/3)^3 / \eta(3\tau)^3$

Invariants in the Feruglio model

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A_4 sum rule

[Chuliá Centelles, Cepedello & Medina \[2022\]](#); [Centelles Chuliá, Kumar, Popov & Srivastava \[2024\]](#)

$$m_3 = \begin{cases} m_2 + m_1 & \text{for normal ordering (NO)} \\ m_2 - m_1 & \text{for inverted ordering (IO)} \end{cases}$$

see talk by S. King for more sum rules

Invariants in the Feruglio model

Invariants

$$I_{12}(\tau) = -2$$

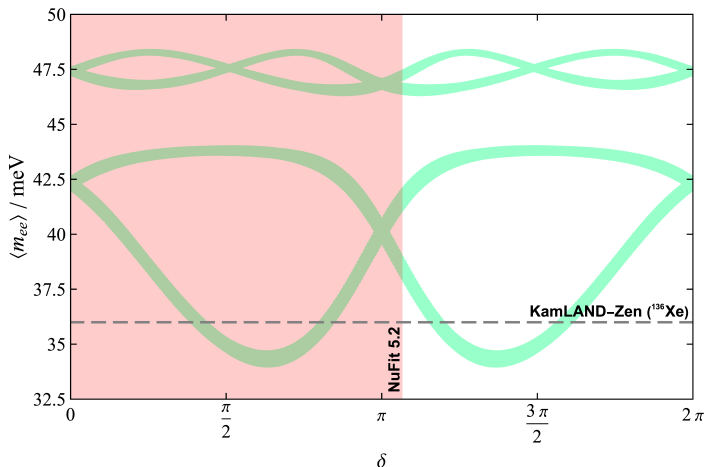
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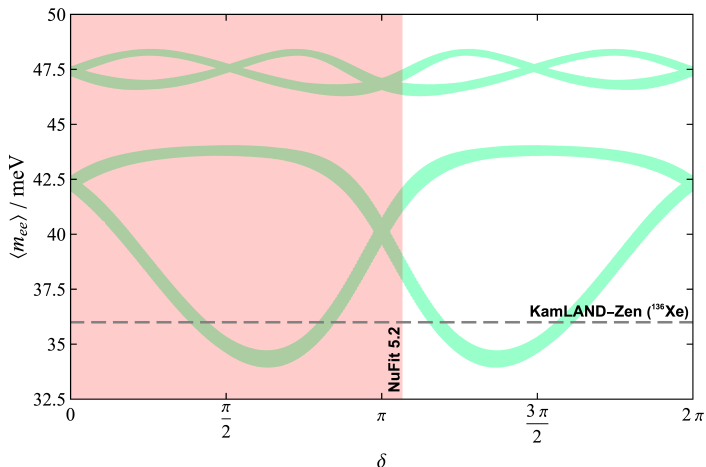
A_4 sum rule

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$$m_3 = \begin{cases} m_2 + m_1 & \text{for normal ordering (NO)} \\ m_2 - m_1 & \text{for inverted ordering (IO)} \end{cases}$$

➔ Imposing $I_{12} = -2$ and experimental constraints leaves one free parameter, e.g. δ

An application: m_{ee} as a function of δ 

An application: m_{ee} as a function of δ 

👉 Imposing $I_{13} I_{23} = -32$ rules out the model for all τ

Summary

&

Outlook

Take-home messages

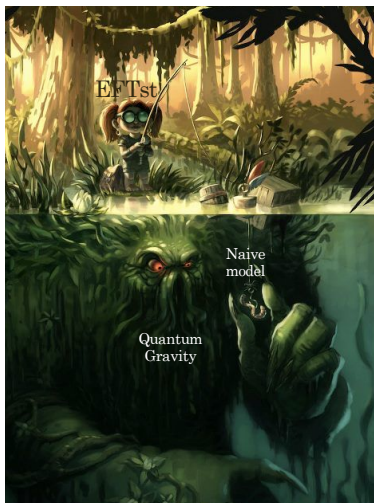
- 👉 New game in town: modular flavor symmetries

Take-home messages

- ➡ New game in town: modular flavor symmetries
- ➡ Superpotential constrained by modular invariance (infinite group)

UV completion of modular symmetries

- Bottom-up constructions may face problems in the UV



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UV completion of modular symmetries

- Bottom-up constructions may face problems in the UV
- Couplings are modular forms in a large class of string compactifications

e.g. [Chun, Mas, Lauer & Nilles \[1989\]](#); [Erler, Jungnickel, Spaliński & Stieberger \[1993\]](#); [Quevedo \[1996\]](#)

This is nothing but one of the $SL(2, \mathbf{Z})_{T,U}$ transformation for toroidal orbifold compactifications ($a = b = d = 1, c = 0$ in eq. (10)). Therefore the only conditions these symmetries impose on W is that it should transform as a modular form of a given weight ($W \rightarrow (cT + d)^{-3} W$ for the simplest toroidal orbifolds with T the overall size of the compactification space)[36]. In fact, explicit calculations for specific orbifold models show that

$$W_{tree}(T, Q^I) = \chi_{IJK}(T) Q^I Q^J Q^K + \dots \quad (19)$$

with $\chi(T)$ a particular modular form of $SL(2, \mathbf{Z})$ or any other duality group and the ellipsis represent higher powers of Q , exponentially suppressed. The identification of $\chi(T)$ with modular forms was a highly nontrivial check of the explicit orbifold calculations which were performed in refs. [37] without any relation (nor knowledge) of the underlying duality symmetry $SL(2, \mathbf{Z})$. This kind of symmetry puts also strong constraints to the higher order, nonrenormalizable, corrections to W , since each matter field Q transforms in a particular way under that symmetry ($Q \rightarrow (cT + d)^n Q$ with n the modular weight of Q). There are also other discrete symmetries, as those defined by the point group \mathcal{P} and space group \mathcal{S} of an orbifold which have to be respected by the superpotential W . These ‘selection rules’ are very important to find vanishing

UV completion of modular symmetries

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- ➡ Eclectic flavor symmetries

[Baur, Nilles, Trautner & Vaudrevange \[2019\]](#)
[Nilles, Ramos-Sánchez & Vaudrevange \[2021\]](#); [Baur, Kade, Nilles, Ramos-Sanchez & Vaudrevange \[2021\]](#)

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- 👉 Top-down mechanisms to stabilize τ are in qualitative agreement with τ values required by phenomenological fits
 - [Knapp-Perez, Liu, Nilles, Ramos-Sanchez & MR \[2023\]](#)

Open questions

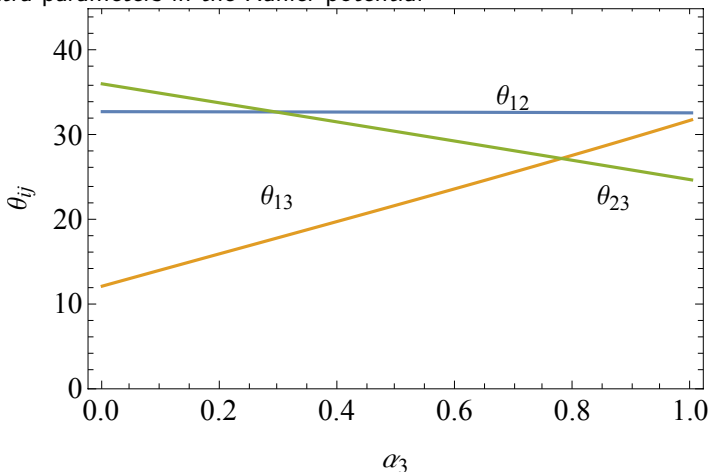
☞ Can one replicate the features without SUSY?

speculations were made in [☞ Cremades, Ibáñez & Marchesano \[2004\]](#)
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Open questions

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- Extra parameters in the Kähler potential

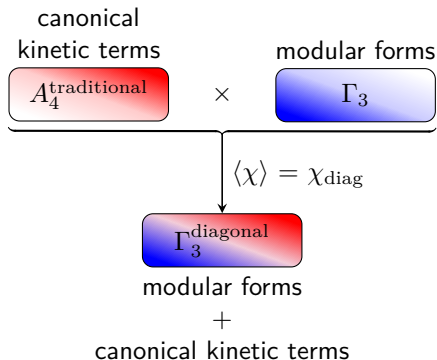
[Chen, Ramos-Sánchez & MR \[2020\]](#)



Open questions

- Can one replicate the features without SUSY?
- Extra parameters in the Kähler potential [Chen, Ramos-Sánchez & MR \[2020\]](#)
- Proof-of-principle solutions exist but are admittedly not too elegant

[Chen, Knapp-Pérez, Ramos-Hamud, Ramos-Sánchez, MR & Shukla \[2022\]](#)



Executive Summary & Outlook



Modular flavor symmetries

- work surprisingly well phenomenologically
- host modular invariant holomorphic observables
- have a clear top-down motivation and can emerge from explicit string models
- are not fully explored and some key questions (importance of supersymmetry, corrections to kinetic terms, etc.) are awaiting answers



FLASY
2024
@ UCI



Mille grazie!

ΜΙΛΙΕ ΓΡΑΖΙΕ!

Merci beaucoup!

ΜΕΡΙΣΙ ΡΕΘΗΝΟΝΒΙ!

Vielen Dank!

ΛΙΕΙΕΝ ΔΑΝΚΙ!

Thank you very much!

ΤΡΑΥΚ ΛΟΠ ΛΕΙΛ ΙΠΤΕΡ!

Backup slides

Backup slides

Modular

Modular

Flavor

Flavor

Symmetries

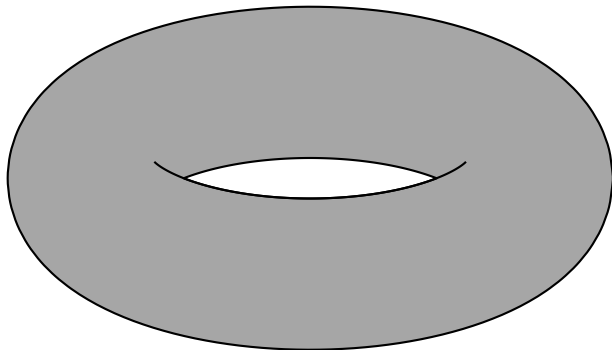
Symmetries

(Some details)

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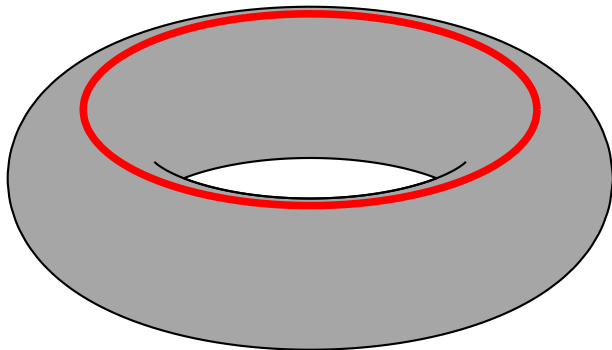
Tori

☞ Torus = donut



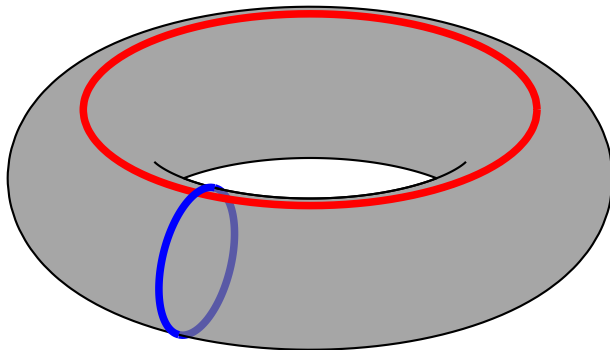
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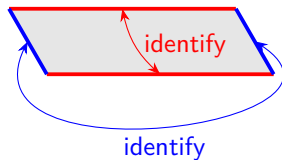


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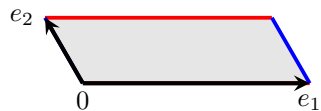
- Torus can be thought of as a parallelogram (which emerges by cutting the torus open along the red and blue cycles)

Tori



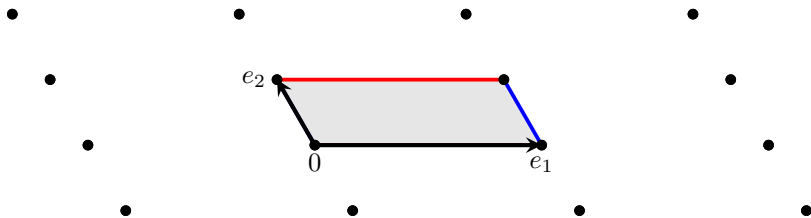
👉 Opposite edges get identified

Tori



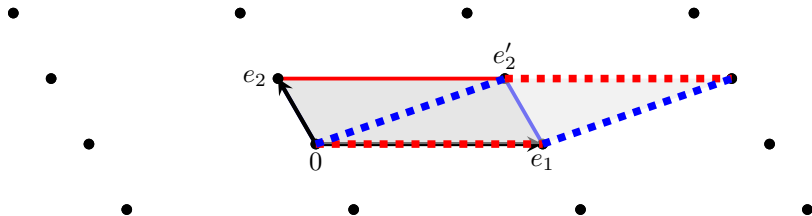
👉 Edges define basis vectors of a lattice

Tori



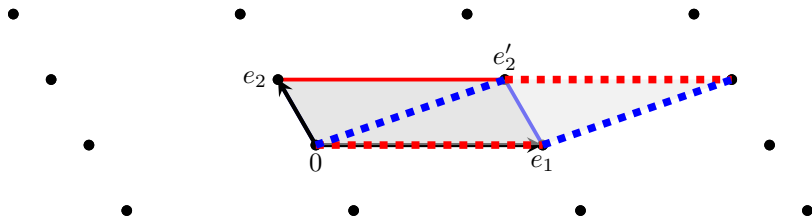
- Torus is $\mathbb{T}^2 = \mathbb{R}^2/\mathbb{Z}^2$: two points in the plane get identified if they differ by a lattice translation

Tori



👉 Fundamental domain is not unique

Tori

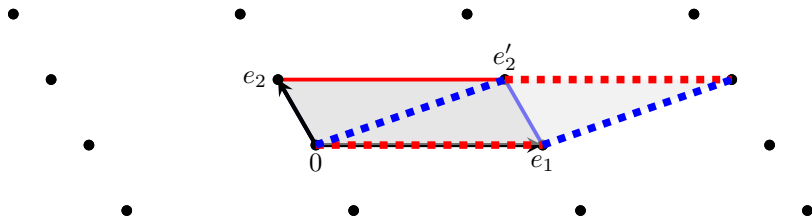


- ↳ Fundamental domain is not unique
- ↳ We can build linear combinations of the basis vectors

$$\begin{pmatrix} e_2 \\ e_1 \end{pmatrix} \xrightarrow{\gamma} \begin{pmatrix} e'_2 \\ e'_1 \end{pmatrix} = \begin{pmatrix} a & b \\ c & d \end{pmatrix} \begin{pmatrix} e_2 \\ e_1 \end{pmatrix} =: \gamma \begin{pmatrix} e_2 \\ e_1 \end{pmatrix}$$

$$a, b, c, d \in \mathbb{Z}$$

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- 👉 Volume of fundamental domain stays the same $\Leftrightarrow \det \gamma = 1 \curvearrowright$
 $\gamma \in \text{SL}(2, \mathbb{Z})$ (there is a superfluous sign, so $\gamma \in \Gamma = \text{SL}(2, \mathbb{Z})/\mathbb{Z}_2$)

SL(2, \mathbb{Z})

Two basic transformations

$$T : e_2 \xrightarrow{T} e'_2 = e_2 + e_1 \quad \curvearrowright \gamma = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix} =: T$$

$$S : e_1 \xrightarrow{S} e'_1 = e_2 \quad \& \quad e_2 \mapsto e'_2 = -e_1 \quad \curvearrowright \gamma = \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix} =: S$$

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$$\tau \xrightarrow{T} \tau + 1 \quad \text{and} \quad \tau \xrightarrow{S} \frac{-1}{\tau}$$

SL(2, \mathbb{Z}) and modular flavor symmetries

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Modular flavor symmetries:

Identify finite groups with generators satisfying
 $\Gamma = \text{SL}(2, \mathbb{Z})/\mathbb{Z}_2$ relations

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[▶ back](#)

Finite subgroups $\Gamma_N := \Gamma/\Gamma(N)$ where

[Feruglio \[2017\]](#)

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level

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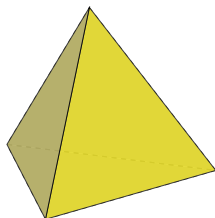
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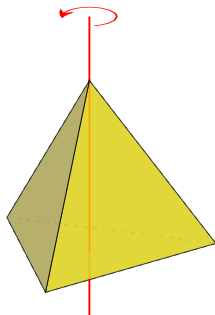
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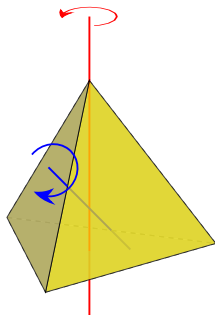
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