

Flavour physics and CP violation

Lecture 1

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- fermion masses and Yukawa couplings
- flavour mixing and CKM matrix
- flavour changing neutral currents (kaon mixing)
- CP violation in the neutral kaon sector

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Fermions in the electroweak Standard Model

Gauge group: $SU(2)_L \times U(1)_Y \rightarrow U(1)_{QED}$
 (couplings) (g) (g') $(e = g \sin \theta_W)$ $\sin \theta_W = \frac{g'}{\sqrt{g^2 + g'^2}}$

Spontaneously broken by the vev $\langle H \rangle = \begin{pmatrix} 0 \\ v/\sqrt{2} \end{pmatrix}$, $v = 246 \text{ GeV}$
 $\Rightarrow M_W = \frac{1}{2} g v$, $M_Z = \frac{1}{2} \sqrt{g^2 + g'^2} v$, while A^μ is massless

Fermions come in three generations (family replication)

$\begin{cases} \text{LH fermions} \rightarrow SU(2)_L \text{ doublets } (T^3 = \pm 1/2) \rightarrow \text{couple to } W^\pm \text{ (and } Z) \\ \text{RH fermions} \rightarrow SU(2)_L \text{ singlets } (T^3 = 0) \rightarrow \text{only couple to } Z \end{cases}$

$\begin{pmatrix} u \\ d \end{pmatrix}_L$	$\begin{pmatrix} c \\ s \end{pmatrix}_L$	$\begin{pmatrix} t \\ b \end{pmatrix}_L$	$Y = \frac{1}{3}$	$\begin{pmatrix} \nu_e \\ e \end{pmatrix}_L$	$\begin{pmatrix} \nu_\mu \\ \mu \end{pmatrix}_L$	$\begin{pmatrix} \nu_\tau \\ \tau \end{pmatrix}_L$	$Y = -1$
u_R	c_R	t_R	$Y = \frac{4}{3}$	e_R	μ_R	τ_R	$Y = -2$
d_R	s_R	b_R	$Y = -\frac{2}{3}$				
quarks				leptons			

[no RH neutrinos in the SM]

Electric charge: $Q = T^3 + \frac{Y}{2}$

Fermion electroweak interactions

$$\mathcal{L}_{em} = e A_\mu \sum_i \left(\frac{2}{3} \bar{u}_i \gamma^\mu u_i - \frac{1}{3} \bar{d}_i \gamma^\mu d_i - \bar{e}_i \gamma^\mu e_i \right)$$

$$\mathcal{L}_{cc} = \frac{g}{\sqrt{2}} W_\mu^\pm \sum_i \left(\bar{u}_i \gamma^\mu P_L d_i + \bar{\nu}_i \gamma^\mu P_L e_i \right) + h.c.$$

$$\mathcal{L}_{NC} = \frac{g}{\cos \theta_W} Z_\mu \sum_i \sum_{f=u,d,\nu,e} \left[g_L^f \bar{f}_i \gamma^\mu P_L f_i + g_R^f \bar{f}_i \gamma^\mu P_R f_i \right]$$

$$g_L^f = T_f^3 - Q_f \sin^2 \theta_W \quad g_R^f = -Q_f \sin^2 \theta_W$$

$$\begin{cases} g_L^u = \frac{1}{2} - \frac{2}{3} \sin^2 \theta_W \\ g_R^u = -\frac{2}{3} \sin^2 \theta_W \end{cases} \quad \begin{cases} g_L^d = -\frac{1}{2} + \frac{1}{3} \sin^2 \theta_W \\ g_R^d = \frac{1}{3} \sin^2 \theta_W \end{cases} \quad \begin{cases} g_L^e = -\frac{1}{2} + \sin^2 \theta_W \\ g_R^e = \sin^2 \theta_W \end{cases} \quad g_L^\nu = \frac{1}{2}$$

△ here u_i, d_i, ν_i, e_i ($i=1,2,3$) refer to weak (or interaction) eigenstates, for which the charged weak current is diagonal (i.e., the W only couples fermions from the same generation)

The three generations of fermions have the same quantum numbers, hence interactions \rightarrow family replication (also true for QCD)

Fermion masses and Yukawa couplings

$-m \bar{\Psi} \Psi = -m \bar{\Psi}_L \Psi_R + \text{h.c.}$ not invariant under $SU(2)_L \times U(1)_Y$

However, can write $SU(2)_L \times U(1)_Y$ invariant Yukawa couplings between fermions and the Higgs doublet, since both Ψ_L and H are $SU(2)_L$ doublets

$$\mathcal{L}_{\text{Yukawa}} = -y_u \bar{Q} \tilde{H} U_R - y_d \bar{Q} H D_R - y_e \bar{L} H E_R + \text{h.c.}$$

$$Q \equiv \begin{pmatrix} u_L \\ d_L \end{pmatrix} \in (2, \frac{1}{3}), \quad L \equiv \begin{pmatrix} \nu_L \\ e_L \end{pmatrix} \in (2, -1), \quad H = \begin{pmatrix} H^+ \\ H^0 \end{pmatrix} \in (2, +1)$$

$$\tilde{H} \equiv i\sigma^2 H^* = \begin{pmatrix} H^{0*} \\ -H^{+*} \end{pmatrix} \in (2, -1)$$

Electroweak symmetry breaking: $\langle H \rangle = \begin{pmatrix} 0 \\ v/\sqrt{2} \end{pmatrix}$, $\langle \tilde{H} \rangle = \begin{pmatrix} v/\sqrt{2} \\ 0 \end{pmatrix}$

$$\mathcal{L}_{\text{Yukawa}} \Rightarrow \mathcal{L}_{\text{mass}} = -m_u \bar{u}_L u_R - m_d \bar{d}_L d_R - m_e \bar{e}_L e_R + \text{h.c.}$$

$$m_u = y_u \frac{v}{\sqrt{2}}, \quad m_d = y_d \frac{v}{\sqrt{2}}, \quad m_e = y_e \frac{v}{\sqrt{2}}$$

[but $m_\nu = 0$, since no ν_R in the SM]

$\mathcal{L}_{\text{Yukawa}}$ also gives rise to Higgs-fermion interactions:

$$\mathcal{L}_{hff} = -\frac{m_u}{v} h \bar{u}_L u_R - \frac{m_d}{v} h \bar{d}_L d_R - \frac{m_e}{v} h \bar{e}_L e_R + \text{h.c.}$$

where in the unitary gauge:

$$H = \begin{pmatrix} 0 \\ \frac{h+v}{\sqrt{2}} \end{pmatrix} \quad h = \text{Higgs boson}$$

Family replication and flavour mixing

Denote quarks and leptons of the 3 generations by u_i, d_i, ν_i, e_i ($i=1,2,3$)
 \Rightarrow the Yukawa couplings are now complex matrices in 3d flavour space:

$$\mathcal{L}_{\text{Yukawa}} = - \bar{Q}_i Y_{ij}^u \hat{H} U_{Rj} - \bar{Q}_i Y_{ij}^d \hat{H} D_{Rj} - \bar{L}_i Y_{ij}^e \hat{H} E_{Rj} + \text{h.c.}$$

Δ Y_{ij} not diagonal a priori $\Rightarrow u_i, d_i, \nu_i, e_i$ are not mass eigenstates, but interaction eigenstates (also called weak / flavour eigenstates)

After EWSB, and in vector notations:

$$\mathcal{L}_{\text{mass}} = - \bar{U}_L M^u U_R - \bar{D}_L M^d D_R - \bar{E}_L M^e E_R + \text{h.c.}$$

where $U_L = \begin{pmatrix} u_1 \\ u_2 \\ u_3 \end{pmatrix}_L$, $U_R = \begin{pmatrix} u_1 \\ u_2 \\ u_3 \end{pmatrix}_R$, etc, are vectors in flavour space,
and $M^{u,d,e} = Y^{u,d,e} \frac{v}{\sqrt{2}}$ are 3×3 matrices

\rightarrow diagonalized by a biunitary rotation:

$$M_u = R_L^u D_u R_R^{u\dagger} \quad D_u = \begin{pmatrix} m_u & & \\ & m_c & \\ & & m_t \end{pmatrix} \quad m_{u,c,t} \text{ real } > 0$$

$$\text{such that } M_u M_u^\dagger = R_L^u D_u^2 R_L^{u\dagger}, \quad M_u^\dagger M_u = R_R^u D_u^2 R_R^{u\dagger}$$

\rightarrow mass eigenstates: $U_L^{(m)} = R_L^{u\dagger} U_L$, $U_R^{(m)} = R_R^{u\dagger} U_R$

and similarly for M_d and M_e

Now the whole Lagrangian should be expressed in terms of fermion mass eigenstates (= physical fermions)

→ does not affect kinetic terms $[\bar{\Psi} i \gamma^\mu \partial_\mu \Psi = \bar{\Psi}_L i \gamma^\mu \partial_\mu \Psi_L + \bar{\Psi}_R i \gamma^\mu \partial_\mu \Psi_R]$,
nor strong / electromagnetic / neutral weak (Z) interactions,
which involve currents $\bar{\Psi}_L \gamma^\mu \Psi_L$ and $\bar{\Psi}_R \gamma^\mu \Psi_R$

[also, Higgs-fermions interactions are diagonal in the mass eigenstate basis]

→ only charged weak interactions are affected: (focus on quark sector)
from now on

$$\mathcal{L}_{cc} \ni \frac{g}{\sqrt{2}} W_\mu^+ \bar{U}_L \gamma^\mu D_L + \text{h.c.}$$

$$\bar{U}_L \gamma^\mu D_L = \bar{U}_L^{(m)} R_L^{u+} \gamma^\mu R_L^d D_L^{(m)} \equiv \bar{U}_L^{(m)} \gamma^\mu V_{CKM} D_L^{(m)}$$

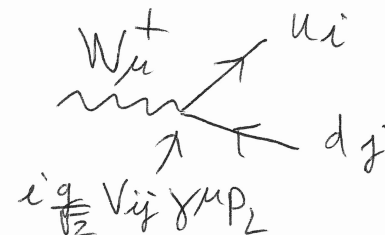
where $V_{CKM} \equiv R_L^{u+} R_L^d$ is the CKM matrix (Cabibbo-Kobayashi-Maskawa)

(relative rotation between LH up-type and LH down-type quarks)

Renaming $U_L^{(m)} \rightarrow U_L$, $D_L^{(m)} \rightarrow D_L$

$$\mathcal{L}_{cc} \ni \frac{g}{\sqrt{2}} W_\mu^+ (\bar{U}_L \bar{E}_L) \gamma^\mu V_{CKM} \begin{pmatrix} d_L \\ s_L \\ b_L \end{pmatrix} + \text{h.c.}$$

$$V_{CKM} \equiv \begin{pmatrix} V_{ud} & V_{us} & V_{ub} \\ V_{cd} & V_{cs} & V_{cb} \\ V_{td} & V_{ts} & V_{tb} \end{pmatrix}$$



Parametrization of the CKM matrix

- Standard parametrization: in terms of 3 mixing angles and 1 phase
[unitary \rightarrow 6 phases, but 5 can be removed by rephasing quark fields]

$$V_{CKM} = \begin{pmatrix} 1 & 0 & 0 \\ 0 & c_{23} & s_{23} \\ 0 & -s_{23} & c_{23} \end{pmatrix} \begin{pmatrix} c_{13} & 0 & s_{13}e^{-i\delta} \\ 0 & 1 & 0 \\ -s_{13}e^{i\delta} & 0 & c_{13} \end{pmatrix} \begin{pmatrix} c_{12} & s_{12} & 0 \\ -s_{12} & c_{12} & 0 \\ 0 & 0 & 1 \end{pmatrix} \quad \begin{aligned} c_{ij} &\equiv \cos \theta_{ij} \\ s_{ij} &\equiv \sin \theta_{ij} \end{aligned}$$

\rightarrow 2-generation limit (relevant for many processes in kaon physics):

the 2×2 CKM matrix is parametrized by a single parameter, the Cabibbo angle θ_c : $\mathcal{L}_{cc} \ni \frac{g}{\sqrt{2}} W_\mu^+ (\bar{u}_L \bar{c}_L) \gamma^\mu \begin{pmatrix} \cos \theta_c & \sin \theta_c \\ -\sin \theta_c & \cos \theta_c \end{pmatrix} \begin{pmatrix} d_L \\ s_L \end{pmatrix}$
($\sin \theta_c \simeq 0.22$)

- Wolfenstein parametrization: hierarchy $|V_{ub}| \ll |V_{cb}| \ll |V_{us}|$ ($s_{13} \ll s_{23} \ll s_{12}$) explicit

$$V_{CKM} = \begin{pmatrix} 1 - \lambda^2/2 & \lambda & A\lambda^3(\rho - i\eta) \\ -\lambda & 1 - \lambda^2/2 & A\lambda^2 \\ A\lambda^3(1 - \rho - i\eta) & -A\lambda^2 & 1 \end{pmatrix} + \mathcal{O}(\lambda^4)$$

$$\lambda \simeq 0.225, \quad A \simeq 0.83, \quad \rho \simeq 0.16, \quad \eta \simeq 0.36 \quad [\Rightarrow \delta \simeq 65^\circ]$$

$$[-\text{corresponding to } |V_{us}| \simeq \lambda \simeq 0.225, |V_{ub}| \simeq A\lambda^3 \simeq 0.042, |V_{ub}| \simeq A\lambda^3 \sqrt{\rho^2 + \eta^2} \simeq 0.0037]$$

\rightarrow can write an expression unitary to all orders in λ

for V_{CKM} in terms of $A, \lambda, \bar{\rho}$ and $\bar{\eta}$

$$\text{where } \bar{\rho} \equiv \rho(1 - \frac{\lambda^2}{2} + \dots), \quad \bar{\eta} \equiv \eta(1 - \frac{\lambda^2}{2} + \dots)$$

Parameter counting (n families)

V_{CKM} $n \times n$ unitary $\Rightarrow n^2$ parameters $\begin{cases} \frac{n(n-1)}{2} \text{ angles} & (\# \text{ pairs of axes in } \mathbb{C}^n) \\ \frac{n(n+1)}{2} \text{ phases} \end{cases}$
($VV^\dagger = \mathbb{1}$)

Only phases that cannot be removed from the Lagrangian by quark field rephasing are physical

$$u_i(x) \rightarrow e^{i\phi_i^u} u_i(x) \quad d_i(x) \rightarrow e^{i\phi_i^d} d_i(x)$$

leave quark masses invariant; only affect W-quark couplings:

$$\frac{g}{\sqrt{2}} W_\mu^+ \bar{u}_i \gamma^\mu V_{ij} P_L d_j \rightarrow \frac{g}{\sqrt{2}} W_\mu^+ \bar{u}_i \gamma^\mu V_{ij} e^{i(\phi_j^d - \phi_i^u)} P_L d_j$$

$$\text{i.e. } \boxed{V_{ij} \rightarrow V_{ij} e^{i(\phi_j^d - \phi_i^u)}} \quad \underline{2n-1 \text{ relative phases}}$$

$$\Rightarrow \frac{n(n+1)}{2} - (2n-1) = \boxed{\frac{(n-2)(n-1)}{2} \text{ physical (CPV) phases in } V_{CKM}}$$

\rightarrow CP violation requires $n \geq 3$ quark generations

Jarlskog invariant: phase convention invariant measure of CPV

$$\boxed{J \equiv \text{Im}(V_{ud} V_{cs} V_{us}^* V_{cd}^*)} \quad \text{unaffected by } V_{ij} \rightarrow V_{ij} e^{i(\phi_j^d - \phi_i^u)}$$

$J \simeq A^2 \lambda^6 \eta$ in Wolfenstein parametrization

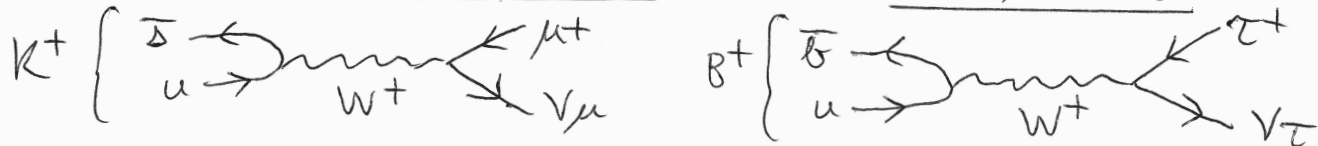
$$J \simeq 3.1 \times 10^{-5}$$

Flavour - violating processes

$$\mathcal{L}_{cc} \ni \frac{g}{\sqrt{2}} W_\mu^+ (\bar{u}_L \bar{c}_L \bar{s}_L) \gamma^\mu V_{CKM} \begin{pmatrix} d_L \\ s_L \\ b_L \end{pmatrix} + \text{h.c.}$$

$V_{CKM} \neq \mathbb{1} \Rightarrow$ weak interactions violate flavour (charged current)
(induce transitions between quarks from different generations)

Processes such as $K^+ \rightarrow \mu^+ \nu_\mu$ or $B^+ \rightarrow \tau^+ \nu_\tau$



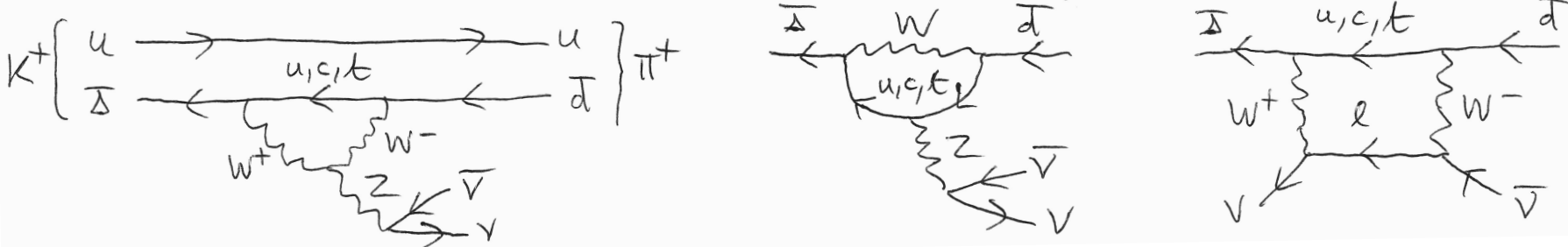
do not conserve the number of quarks of a given flavour (s or b)
[associated quantum number: strangeness (S), beauty (B)]

Flavour - changing neutral currents (FCNCs) (transitions between same-charge quarks: $s \rightarrow d$, $b \rightarrow s$, $b \rightarrow d$, $c \rightarrow u$)

are forbidden at tree level, since γ and Z couplings are flavour-diagonal in the mass eigenstate basis, as well as H couplings

eg $K^+ \rightarrow \pi^+ \nu \bar{\nu}$ [$K^+ = u\bar{s}$, $\pi^+ = u\bar{d} \Rightarrow s \rightarrow d$ transition]

arises only at 1 loop (loops involving a W, hence VCKM)



In addition to the loop factor, FCNCs are further suppressed by the GIM mechanism (Glashow, Iliopoulos, Maiani), which is a consequence of the unitarity of the CKM matrix

Naive estimate for $K^+ \rightarrow \pi^+ \nu \bar{\nu}$:

$$\text{amplitude} \sim \frac{1}{\underbrace{M_W^2}} g^4 \sim \underline{G_F \alpha}$$

4-fermion operator

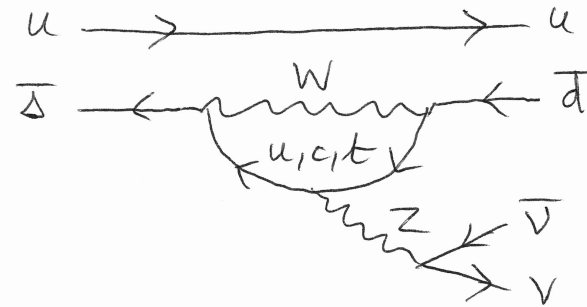
$$G_F = \frac{g^2}{4\sqrt{2} M_W^2} = 1.166 \times 10^{-5} \text{ GeV}^{-2}$$

$$\alpha = \frac{e^2}{4\pi} = \frac{g^2 \sin^2 \theta_W}{4\pi}$$

- only suppression by α wrt the CC decay mode $K^+ \rightarrow \mu^+ \nu_\mu$, $\mathcal{O}(G_F)$
- measured BR is actually much more suppressed:

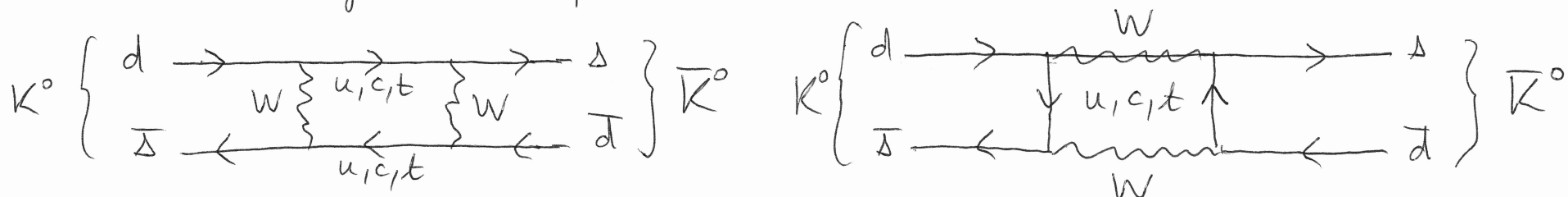
$$\text{BR}(K^+ \rightarrow \pi^+ \nu \bar{\nu}) = 1.14_{-0.33}^{+0.40} \times 10^{-10} \ll \text{BR}(K^+ \rightarrow \mu^+ \nu_\mu) = 0.6356 \pm 0.0011$$

→ GIM mechanism



$K^0 - \bar{K}^0$ mixing (prototype of FCNCs)

$K^0 = \bar{s}d$, $\bar{K}^0 = s\bar{d}$ are not mass eigenstates due to mixing induced by W loops:



\Rightarrow non-diagonal mass matrix:

$$\begin{pmatrix} K^0 & \bar{K}^0 \end{pmatrix} \begin{pmatrix} H_{11} & H_{12} \\ H_{21} & H_{22} \end{pmatrix} \begin{pmatrix} K^0 \\ \bar{K}^0 \end{pmatrix}$$

The mass eigenstates, K_L and K_S , are very close in mass:

$$\Delta m_K = m_{K_L} - m_{K_S} \ll m_K \quad (\Delta m_K / m_K \approx 7 \times 10^{-15})$$

$K^0 - \bar{K}^0$ mixing \Rightarrow oscillations (with frequency Δm_K)

pure K^0 beam $\rightarrow K^0 - \bar{K}^0$ admixture \rightarrow pure \bar{K}^0 beam

$\rightarrow K^0 - \bar{K}^0$ admixture \rightarrow pure K^0 beam, etc

(this phenomenon competes with decay)

Bos diagrams $\Rightarrow \frac{\Delta m_K}{m_K} = \frac{G_F}{\sqrt{2}} \frac{g^2}{24\pi^2} f_K^2 B_K |\mathcal{F}_0|$

$$m_K = \frac{m_{K_L} + m_{K_S}}{2} = 497.6 \text{ MeV} \quad \begin{cases} f_K \approx 160 \text{ MeV} = \text{kaon decay constant} \\ B_K \approx 0.75 \text{ (hadronic parameter)} \end{cases}$$

$$\mathcal{F}_0 \equiv \sum_{i,j} V_{uid} V_{uis}^* V_{ujd}^* V_{ujd} f\left(\frac{m_{ui}^2}{M_W^2}, \frac{m_{uj}^2}{M_W^2}\right)$$

$$\equiv \sum_{i,j} \lambda_i \lambda_j f(x_i, x_j)$$

$$\lambda_i \equiv V_{uid} V_{uis}^* \Rightarrow \sum_i \lambda_i = (V^\dagger V)_{sd} = 0 \quad ; \quad x_i \equiv \frac{m_{ui}^2}{M_W^2}$$

Expand $f(x_i, x_j) = A + (x_i, x_j \text{ dependent terms})$

$$\Rightarrow \mathcal{F}_0 = \sum_{i,j} \lambda_i \lambda_j [A + G(x_i, x_j)] = A \underbrace{\left(\sum_i \lambda_i\right) \left(\sum_j \lambda_j\right)}_{=0} + G\left(\frac{m_q^2}{M_W^2}\right)$$

\rightarrow GIM mechanism

Explicitly, $\mathcal{F}_0 \approx \lambda_c^2 x_c = (V_{cd} V_{cs}^*)^2 \frac{m_c^2}{M_W^2}$ (leading term)

$$\Rightarrow \frac{\Delta m_K}{m_K} \propto \frac{G_F^2 m_c^2}{m_K} \text{ rather than } G_F \alpha \text{ due to GIM mechanism}$$

$$G_F m_c^2 \sim (10^{-5} \text{ GeV}^{-2}) (1 \text{ GeV})^2 = 10^{-5} \text{ additional suppression}$$

The same suppression typically happens for other FCNC processes

CP violation in the neutral kaon system

CP violation first discovered in $K^0 \rightarrow \pi\pi$ decays (1964), then in B meson (2001) and D meson (2019) decays

K^0 - \bar{K}^0 system: $K^0 = \bar{s}d$ and $\bar{K}^0 = d\bar{s}$ are CP conjugates

$$CP |K^0\rangle = |\bar{K}^0\rangle \Rightarrow \text{CP eigenstates: } \begin{cases} |K_1\rangle \equiv \frac{|K^0\rangle + |\bar{K}^0\rangle}{\sqrt{2}} & (\text{CP-even}) \\ |K_2\rangle \equiv \frac{|K^0\rangle - |\bar{K}^0\rangle}{\sqrt{2}} & (\text{CP-odd}) \end{cases}$$

mass eigenstates: K_S, K_L

= eigenstates of the (K^0, \bar{K}^0) mass matrix $H = \begin{pmatrix} H_{11} & H_{12} \\ H_{21} & H_{22} \end{pmatrix}$
(with $H_{11} = H_{22}$ due to CPT)

if CP conserved ($\delta_{CKM} = 0$), one has in addition $H_{21} = H_{12}$

\Rightarrow the eigenstates of H are $K_1, K_2 \Rightarrow \underline{K_S = K_1, K_L = K_2}$

\Rightarrow the mass eigenstates are also CP eigenstates, and decay to CP-even or CP-odd final states:

$$K_1 \rightarrow 2\pi \quad (\pi^+\pi^- \text{ or } \pi^0\pi^0) \quad \text{CP even}$$

$$K_2 \rightarrow 3\pi \quad (\pi^0\pi^0\pi^0 \text{ or } \pi^0\pi^+\pi^-) \quad \text{CP-odd}$$

However, CP is violated: $H_{21} \neq H_{12}$ due to $\delta_{CKM} \neq 0$

\Rightarrow the mass eigenstates are

$$\begin{cases} |K_S\rangle \propto |K_1\rangle + \epsilon |K_2\rangle & \text{mass } m_S \\ |K_L\rangle \propto |K_2\rangle + \epsilon |K_1\rangle & \text{mass } m_L \end{cases}$$

where $|\epsilon| = (2.228 \pm 0.011) \times 10^{-3}$ from the box diagrams

observation of $K_L \rightarrow 2\pi$ (with a small BR) signals CP violation

$$\text{BR}(K_L \rightarrow 3\pi) \simeq 0.32$$

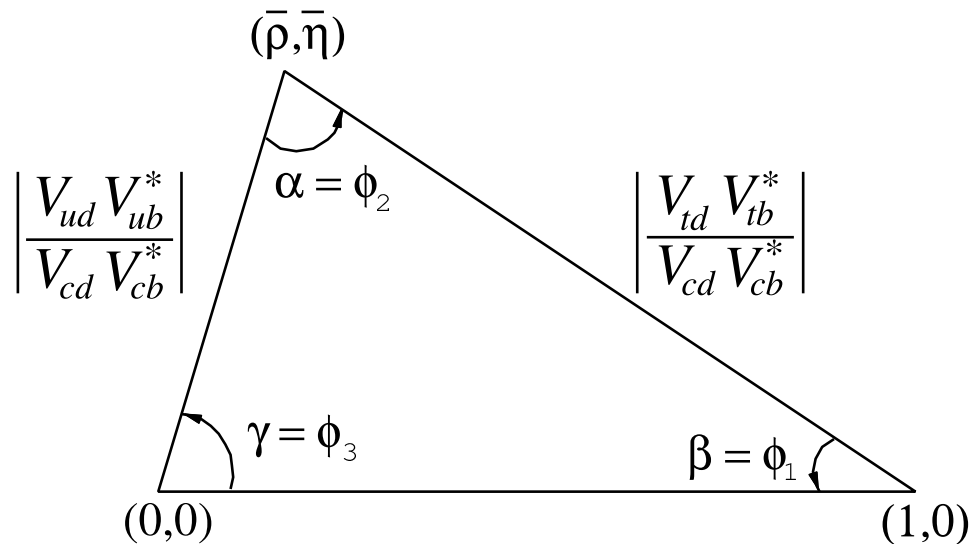
$$\text{BR}(K_L \rightarrow 2\pi) \simeq 2.8 \times 10^{-3}$$

Unitarity triangle

The unitarity of the CKM matrix leads to relations between its entries (hermitian products of two rows or columns) such as

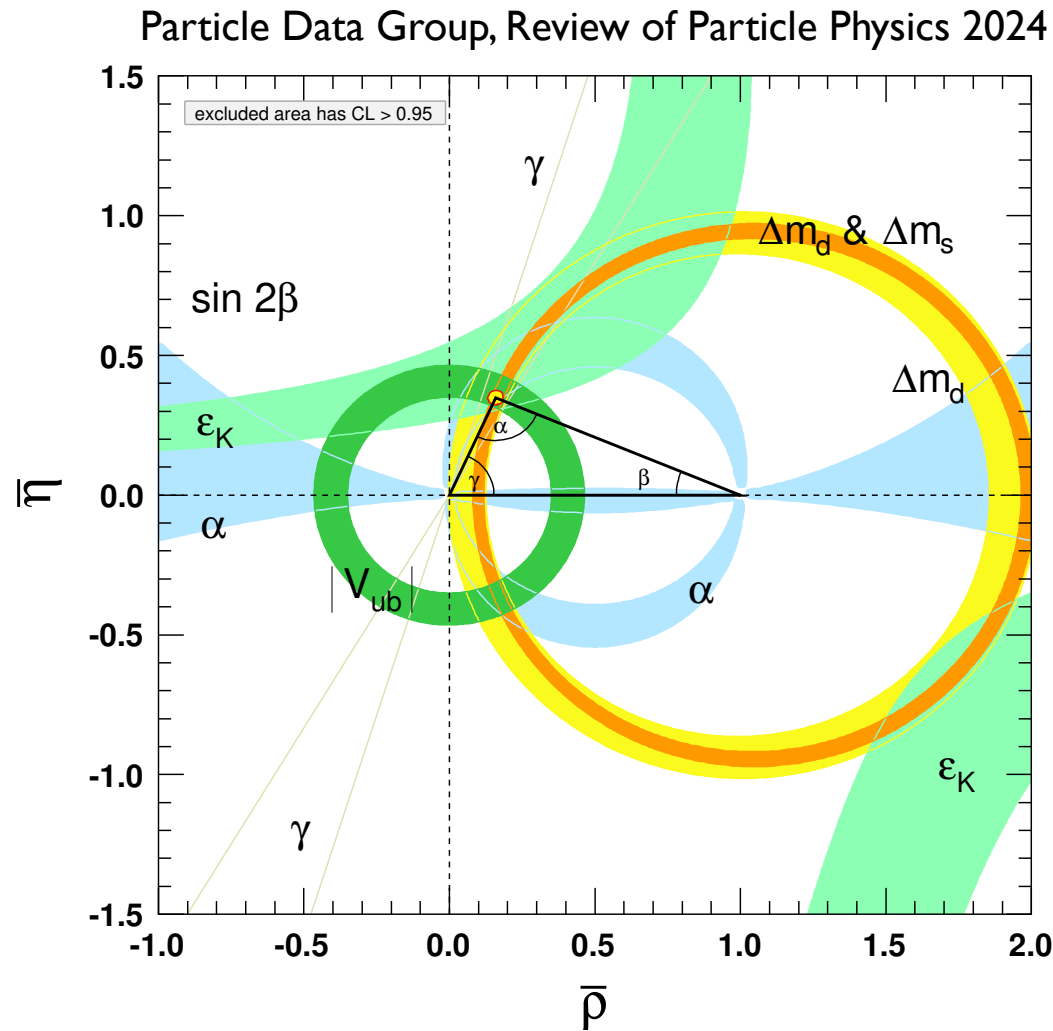
$$(V^\dagger V)_{bd} = 0 \quad \Rightarrow \quad V_{ud}V_{ub}^* + V_{cd}V_{cb}^* + V_{td}V_{tb}^* = 0$$

This unitarity relation can be represented as a triangle in the complex plane



where all sides have been divided by $V_{cd}V_{cb}^*$, such that the triangle is completely determined by the position of the $(\bar{\rho}, \bar{\eta})$ vertex

Different flavour physics measurements can be used to put constraints on the position of the $(\bar{\rho}, \bar{\eta})$ vertex and to test the consistency of the CKM model (i.e., the ability of the CKM matrix to describe all observed flavour physics processes, such as decays of K, B and D mesons)



The 95% C.L. shaded regions all overlap with the global CKM fit region (which assumes unitarity)

Figure 12.2: Constraints on the $\bar{\rho}, \bar{\eta}$ plane. The shaded areas have 95% CL.