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# Imperfect Axions

59th Rencontres de Moriond (EW)  
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**Luca Di Luzio**



Work supported by the European Union - Next Generation EU and by the Italian Ministry of University and Research (MUR) via the PRIN 2022 project n. 2022K4B58X - AxionOrigins



# Outline

1. Imperfect axions: CP violation & PQ breaking

2. CP-violating axions and new macroscopic forces

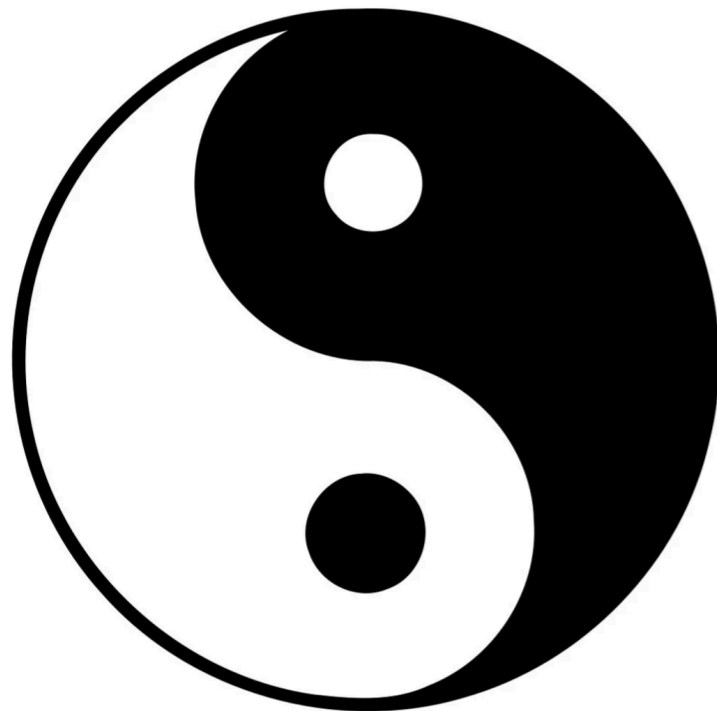
[Bertolini, LDL, Nesti [2006.12508 PRL](#)  
LDL, Gisbert, Nesti, Sørensen [2407.15928 PRD](#)]

3. PQ quality from the interplay of vertical/horizontal gauge symmetries

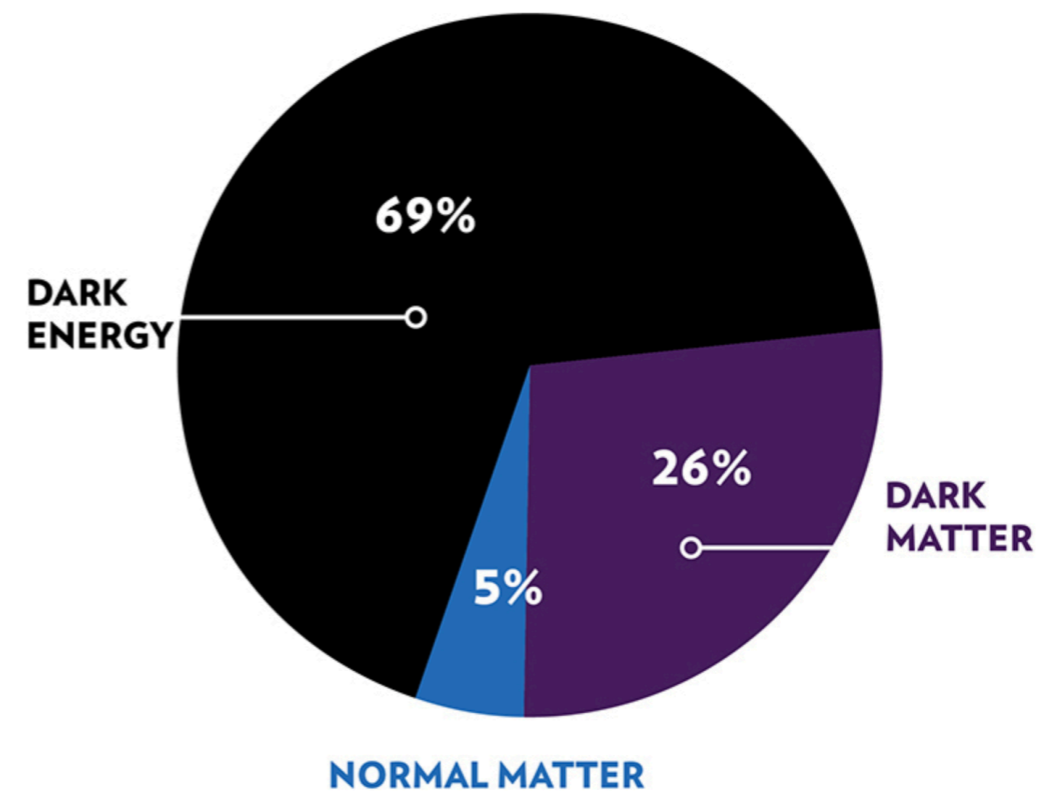
[LDL [2008.09119 JHEP](#)  
[LDL, Landini, Mescia, Susič [2503.16648](#)]

# The QCD axion

## Strong CP problem



## Dark Matter



# The QCD axion

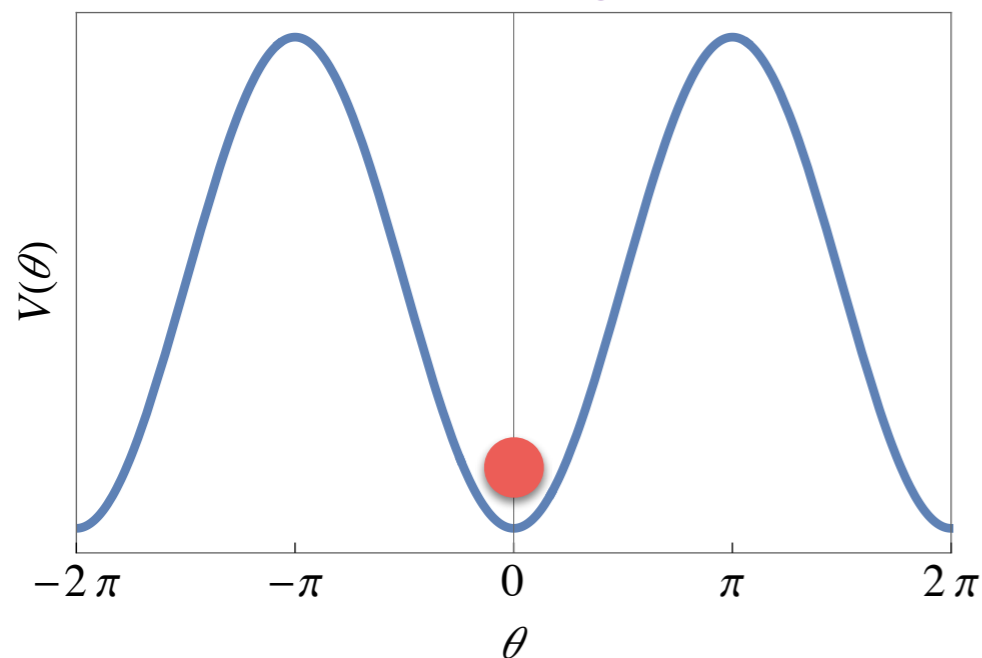
## Strong CP problem

$$\delta\mathcal{L}_{\text{QCD}} = \theta \frac{g_s^2}{32\pi^2} G\tilde{G} \quad |\theta| \lesssim 10^{-10}$$

promote  $\theta$  to a dynamical field (**axion**) which relaxes to zero

$$\theta \rightarrow \frac{a}{f_a} \quad \text{with} \quad \langle a \rangle = 0$$

[Peccei, Quinn '77, Weinberg '78, Wilczek '78]



## Dark Matter

$\Omega_{\text{DM}}$  (non-thermal production)

- i) *misalignment mechanism (axion oscillations)*
- ii) *topological defects: strings & domain walls*

[Preskill, Wise, Wilczek '83  
Abbott, Sikivie '83  
Dine, Fischler '83,  
Davies '86,  
Harari, Sikivie '87, ...]



# PQ mechanism

- New spin-0 boson with a pseudo-shift symmetry  $a \rightarrow a + \kappa f_a$

broken by  $\frac{a}{f_a} \frac{g_s^2}{32\pi^2} G\tilde{G}$    $E(0) \leq E(\langle a \rangle)$  [Vafa, Witten PRL 53 (1984)]

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$$\theta_{\text{eff}} = \frac{\langle a \rangle}{f_a}$$
$$e^{-V_4 E(\theta_{\text{eff}})} = \int \mathcal{D}\varphi e^{-S_0 + i\theta_{\text{eff}} \int G\tilde{G}}$$
$$= \left| \int \mathcal{D}\varphi e^{-S_0 + i\theta_{\text{eff}} \int G\tilde{G}} \right|$$
$$\leq \int \mathcal{D}\varphi \left| e^{-S_0 + i\theta_{\text{eff}} \int G\tilde{G}} \right| = e^{-V_4 E(0)}$$

(path-integral measure positive definite for a vector-like theory, e.g. QCD)

# PQ mechanism

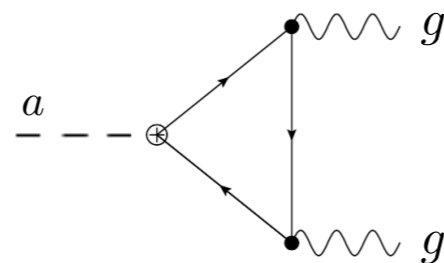
- New spin-0 boson with a pseudo-shift symmetry  $a \rightarrow a + \kappa f_a$

broken by  $\frac{a}{f_a} \frac{g_s^2}{32\pi^2} G\tilde{G} \quad \longrightarrow \quad E(0) \leq E(\langle a \rangle)$  [Vafa, Witten PRL 53 (1984)]

- its origin\* can be traced back to a global  $U(1)_{PQ}$  [Peccei, Quinn '77, Weinberg '78, Wilczek '78]

1. spontaneously broken (the axion is the associated pNGB)

2. QCD anomalous



$$\partial^\mu J_\mu^{PQ} = \frac{N\alpha_s}{4\pi} G \cdot \tilde{G}$$

\*axions can also arise as zero modes from string theory compactification [Witten PLB 149 (1984), ... ]

# Imperfect axions

- Does the axion really relax to zero ?
  - PQ mechanism is **imperfect** already in the SM (due to CKM)

$$\theta_{\text{eff}} = \frac{\langle a \rangle}{f_a} \sim G_F^2 f_\pi^4 j_{\text{CKM}} \approx 10^{-18}$$

[Georgi, Randall, NPB276 (1986)]

# Imperfect axions

- Does the axion really relax to zero ?
  - PQ mechanism is **imperfect** already in the SM (due to CKM)
  - $U(1)_{PQ}$  is not expected to be exact (being a **global** symmetry)

$$\mathcal{O}_{PQ\text{-break}} = \frac{\phi^d}{\Lambda_{UV}^{d-4}} \quad \xrightarrow{\quad} \quad \left( \frac{f_a}{\Lambda_{UV}} \right)^{d-4} f_a^4 \lesssim 10^{-10} \Lambda_{QCD}^4$$

$$\theta_{\text{eff}} \equiv \frac{\langle a \rangle}{f_a} \lesssim 10^{-10}$$

$$\phi \sim f_a e^{i \frac{a}{f_a}}$$

$\xrightarrow{\quad}$   $d \gtrsim 9$  (for  $\Lambda_{UV} \sim M_{Pl}$  and  $f_a \sim 10^9$  GeV)

PQ-quality problem

[Barr, Seckel [PRD 46 \(1992\)](#)  
 Kamionkowski, March-Russell [PLB 282 \(1992\)](#)  
 Holman+ [PLB 282 \(1992\)](#), ... ]

# CP-violating axions

- $\mathcal{L} \supset g_{aN}^P a \bar{N} i \gamma_5 N + g_{aN}^S a \bar{N} N$

$$g_{aN}^S \sim \frac{f_\pi}{f_a} \theta_{\text{eff}}$$



from UV sources of CP-violation  
or PQ breaking

[Moody, Wilczek PRD 30 (1984)

Barbieri, Romanino, Strumia hep-ph/9605368

Pospelov hep-ph/9707431

Bertolini, LDL, Nesti 2006.12508

Okawa, Pospelov, Ritz, 2111.08040

Dekens, de Vries, Shain, 2203.11230]

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 Dekens, de Vries, Shain, 2203.11230]

- From LO bary-meson chiral Lagrangian

[Bertolini, LDL, Nesti [2006.12508](#)  
PRL126 (2021)]

$$g_{an,p}^S \simeq \frac{4B_0 m_u m_d}{f_a (m_u + m_d)} \left[ \pm (b_D + b_F) \frac{\langle \pi^0 \rangle}{F_\pi} + \frac{b_D - 3b_F}{\sqrt{3}} \frac{\langle \eta_8 \rangle}{F_\pi} - \sqrt{\frac{2}{3}} (3b_0 + 2b_D) \frac{\langle \eta_0 \rangle}{F_\pi} - \left( b_0 + (b_D + b_F) \frac{m_{u,d}}{m_d + m_u} \right) \theta_{\text{eff}} \right]$$

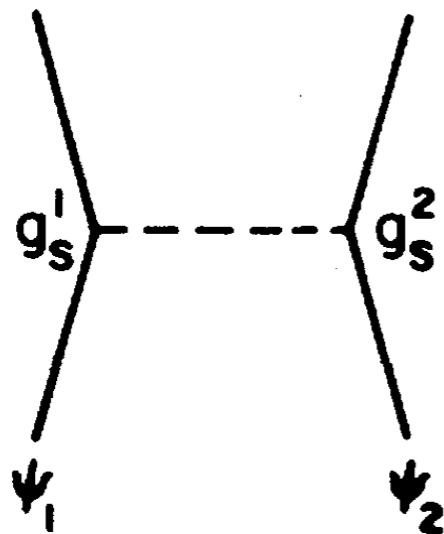
- meson tadpoles (absent if origin of CPV is due to PQ breaking)
- iso-spin breaking
- MW missed a factor 1/2

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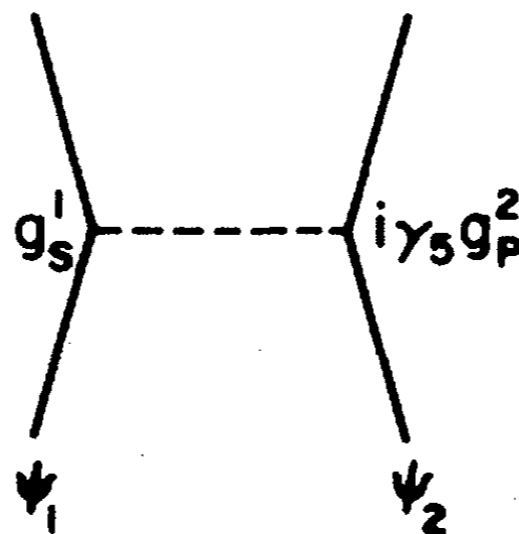
 from UV sources of CP-violation or PQ breaking

New macroscopic forces from non-relativistic potentials [Moody, Wilczek PRD 30 (1984)]



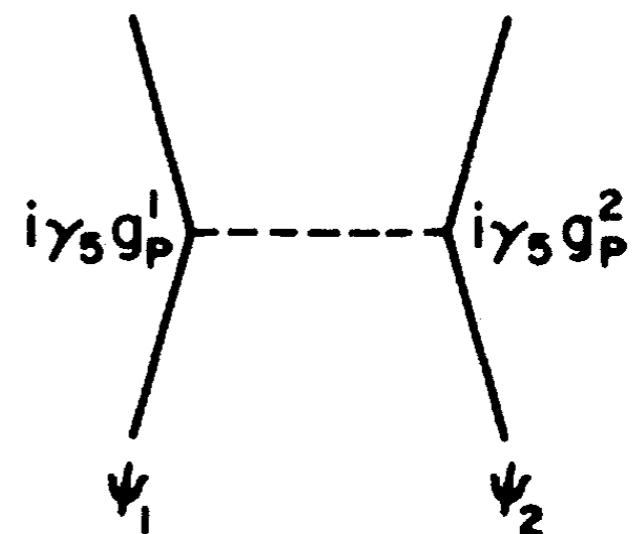
(a)

monopole-monopole



(b)

monopole-dipole



(c)

dipole-dipole

$$V(r) = \frac{-g_S^1 g_S^2 e^{-m_\varphi r}}{4\pi r}$$

$$V(r) = (g_S^1 g_P^2) \frac{\hat{\sigma}_2 \cdot \hat{r}}{8\pi M_2} \left[ \frac{m_\varphi}{r} + \frac{1}{r^2} \right] e^{-m_\varphi r}$$

...

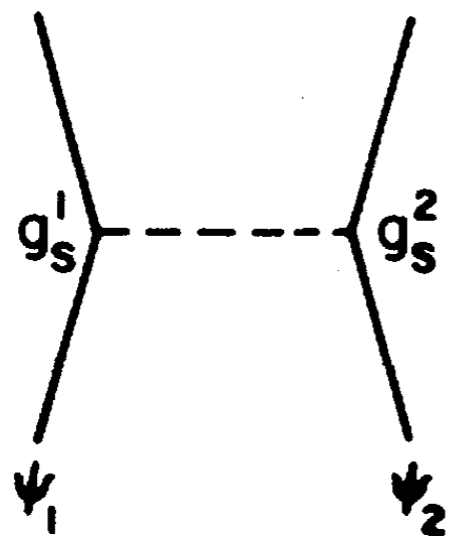


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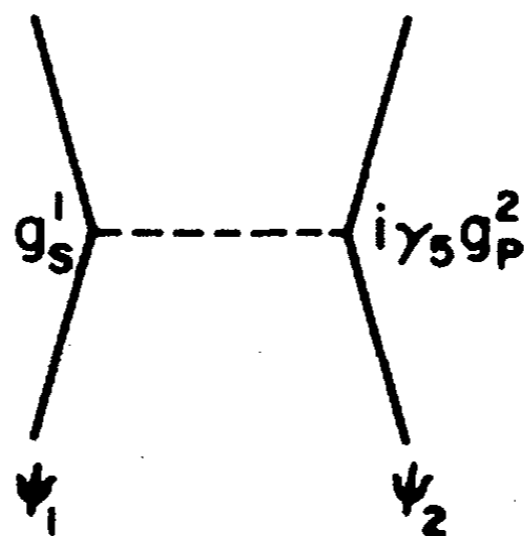
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(a)

monopole-monopole

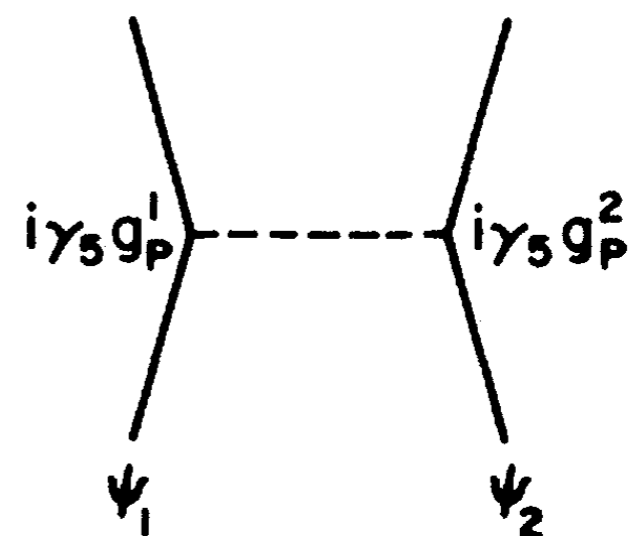
double  $\theta_{\text{eff}}$  suppression



(b)

monopole-dipole

ARIADNE, QUAX-gpgs, ...



(c)

dipole-dipole

spin suppression + bkgd from ordinary magnetic forces

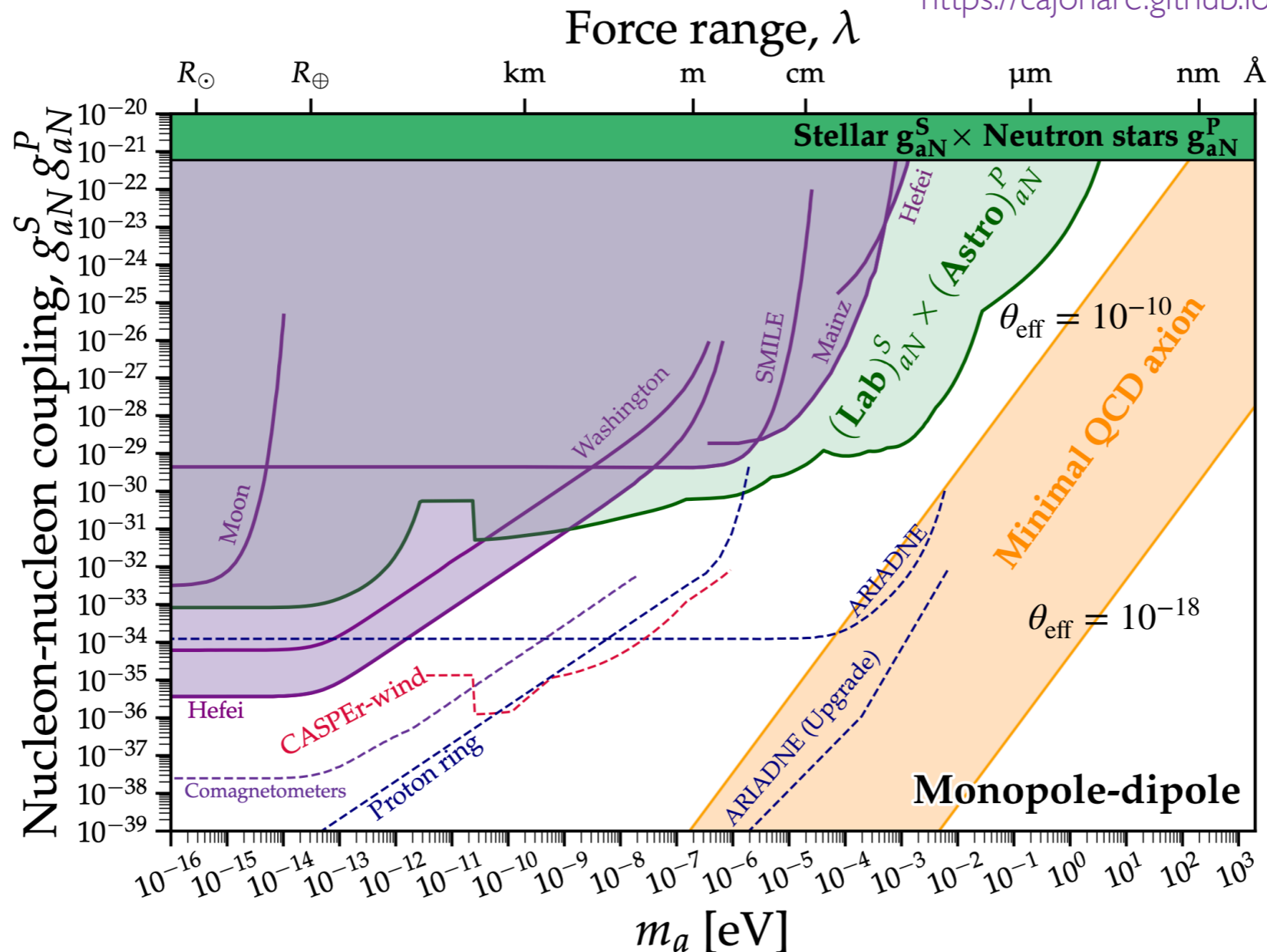
# CP-violating axions

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$$g_{aN}^S \sim \frac{f_\pi}{f_a} \theta_{\text{eff}} \quad \leftarrow$$

from UV sources of CP-violation or PQ breaking

[O'Hare, Vitagliano 2010.03889  
<https://cajohare.github.io/AxionLimits>]



# CP-violating axions

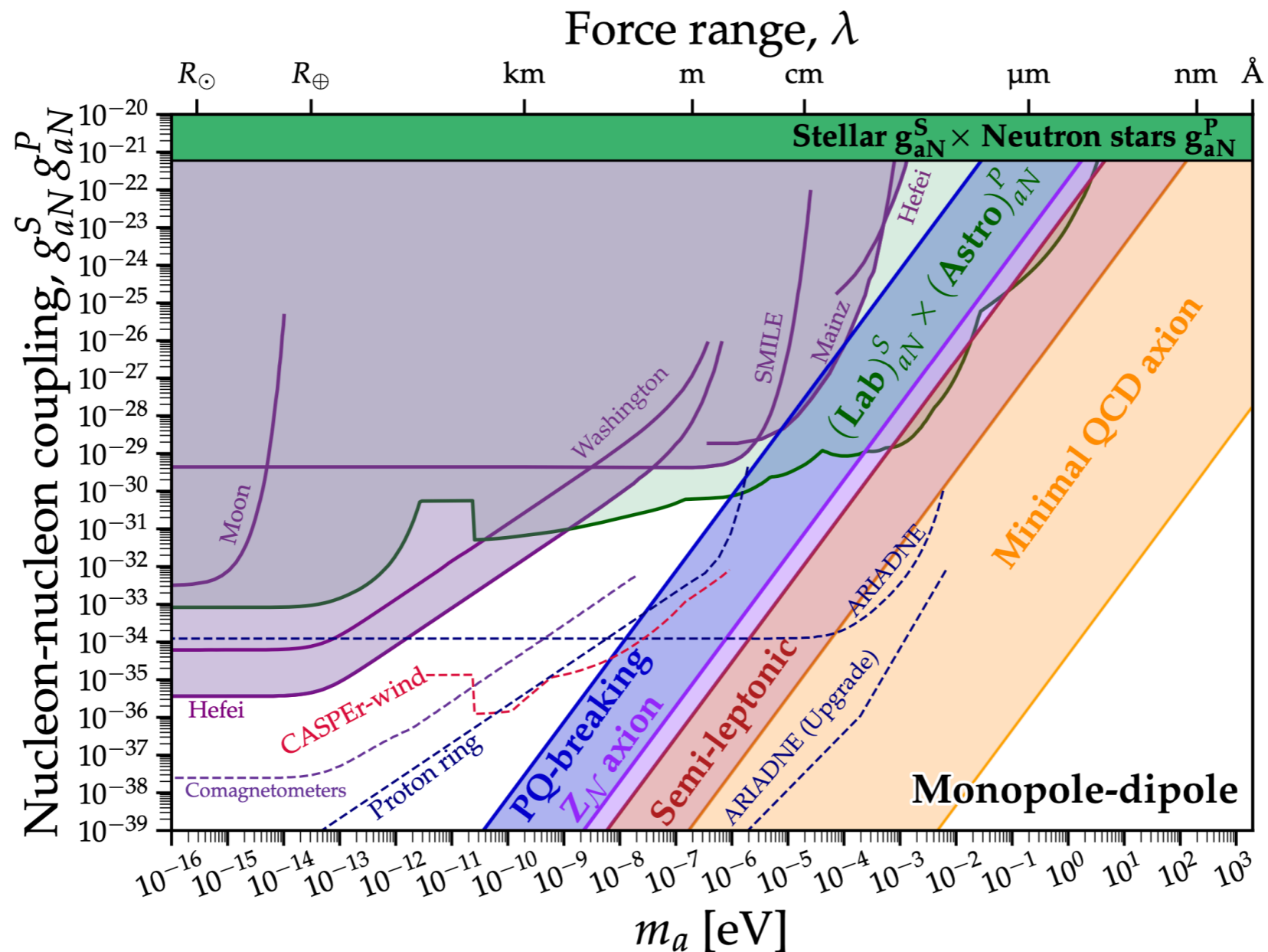
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$$g_{aN}^S \sim \frac{f_\pi}{f_a} \theta_{\text{eff}}$$



from UV sources of CP-violation or PQ breaking

[LDL, Gisbert, Nesti, Sørensen 2407.15928]



# The need for a “PQ theory”

- $U(1)_{PQ}$  often imposed ‘by hand’, while a proper PQ theory should:
  1. realise the PQ as an **accidental** symmetry
  2. protect the  $U(1)_{PQ}$  against UV sources of PQ breaking (**PQ-quality problem**)

# The need for a “PQ theory”

- $U(1)_{PQ}$  often imposed ‘by hand’, while a proper PQ theory should:
  1. realise the PQ as an **accidental** symmetry
  2. protect the  $U(1)_{PQ}$  against UV sources of PQ breaking (**PQ-quality problem**)
- Many attempts based on extra discrete/continuous gauge symmetries
  - ad-hoc gauge symmetries (e.g.  $\mathbf{Z}_9$  symmetry acting on  $\phi$  allows only  $\phi^9$  terms and higher)
  - solution to PQ-quality problem **hidden in the UV**

# Accidental $SO(10)$ axion

- Automatic  $U(1)_{PQ}$  in  $SO(10)$ , upon **gauging** the flavour group  $SU(3)_f$  [[LDL 2008.09.119](#)]

[See also Chang, Senjanovic [PLB 188 \(1987\)](#)]

$$\psi_{16}^i = \begin{pmatrix} u_L^1 & u_L^2 & u_L^3 & \nu_L & u_R^{1c} & u_R^{2c} & u_R^{3c} & \nu_R^c \\ d_L^1 & d_L^2 & d_L^3 & e_L & d_R^{1c} & d_R^{2c} & d_R^{3c} & e_R^c \end{pmatrix}^i \quad i = 1, 2, 3$$



$$U(3) = U(1)_{PQ} \times SU(3)_f$$

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$$U(3) = U(1)_{PQ} \times SU(3)_f$$

$$\psi_{16} \rightarrow e^{i\alpha} \psi_{16} \quad \text{born as a PQ symmetry, due to chiral } SO(10) \text{ embedding}$$

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Field	Lorentz	SO(10)	$\mathbb{Z}_4$	$SU(3)_f$	$\mathbb{Z}_3$	$U(1)_{PQ}$
$\psi_{16}$	(1/2, 0)	16	$i$	<b>3</b>	$e^{i2\pi/3}$	1
$\psi_1^{1,\dots,16}$	(1/2, 0)	1	1	<b><math>\bar{3}</math></b>	$e^{i4\pi/3}$	0
$\phi_{10}$	(0, 0)	10	-1	<b><math>\bar{6}</math></b>	$e^{i2\pi/3}$	-2
$\phi_{16}$	(0, 0)	16	$i$	<b>3</b>	$e^{i4\pi/3}$	-1
$\phi_{\overline{126}}$	(0, 0)	$\overline{126}$	-1	<b><math>\bar{6}</math></b>	$e^{i2\pi/3}$	-2
$\phi_{45}$	(0, 0)	45	1	<b>1</b>	1	0

- $U(1)_{PQ}$  arises **accidentally** in the renormalizable Lagrangian

$$\mathcal{L}_Y = y_{10} \psi_{16} \psi_{16} \phi_{10} + y_{\overline{126}} \psi_{16} \psi_{16} \phi_{\overline{126}} + \text{h.c.}$$

$$\mathcal{V}_2 = |\phi_{10}|^2 + |\phi_{\overline{126}}|^2 + \phi_{45}^2 + |\phi_{16}|^2,$$

$$\mathcal{V}_3 = \phi_{16}^2 \phi_{10}^* + \text{h.c.},$$

$$\mathcal{V}_4 = \mathcal{V}_2^2\text{-terms} + \phi_{10}^2 \phi_{\overline{126}}^{*2} + \phi_{10} \phi_{\overline{126}} \phi_{\overline{126}}^{*2} + \phi_{16}^2 \phi_{10}^* \phi_{45} + \text{h.c.}$$



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Leading PQ-breaking operator is  $\phi_{16}^6 \phi_{\overline{126}}^3$  ( $d=9$ )

*(protection neatly understood in terms of  $\mathbb{Z}_4 \times \mathbb{Z}_3$  center)*

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- Axion in a linear combination of 16 and 126 phases

$$f_a = \frac{V_{\overline{126}} V_{16}}{3\sqrt{V_{16}^2 + 4V_{\overline{126}}^2}}$$

$$\begin{aligned}
 SO(10) \times U(1)_{PQ} &\xrightarrow{\langle \phi_{45} \rangle_{B-L}} SU(3)_c \times SU(2)_L \times SU(2)_R \times U(1)_{B-L} \times U(1)_{PQ} \\
 &\xrightarrow{V_{\overline{126}}} SU(3)_c \times SU(2)_L \times U(1)_Y \times U(1)'_{PQ} \\
 &\xrightarrow{V_{16}} SU(3)_c \times SU(2)_L \times U(1)_Y
 \end{aligned}$$

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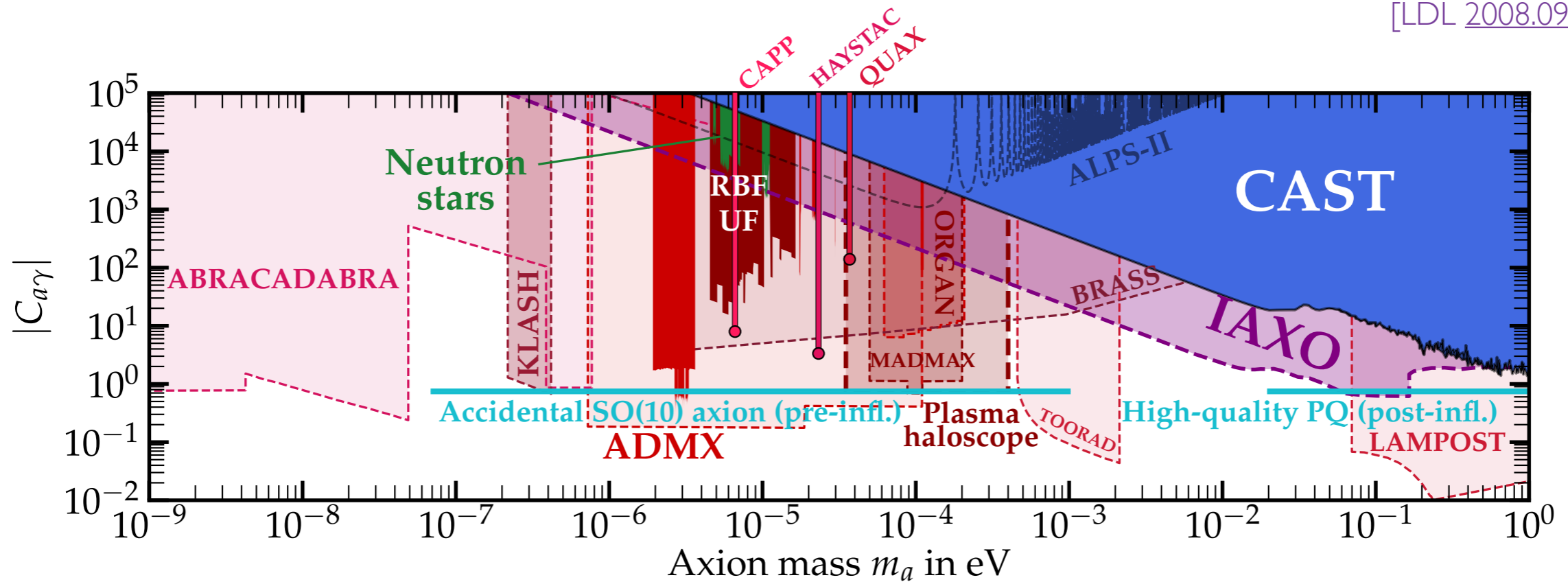
- Anomalons** (cancel  $SU(3)_f$  gauge anomalies)

massless at the renormalizable level  related to the emergence of  $U(1)_{PQ}$

parametrically light, zero mass lifted by effective operators, e.g.  $\frac{1}{M_{Pl}^2} \psi_1 \psi_1 \phi_{16}^2 \phi_{\overline{126}}$

# Accidental SO(10) axion

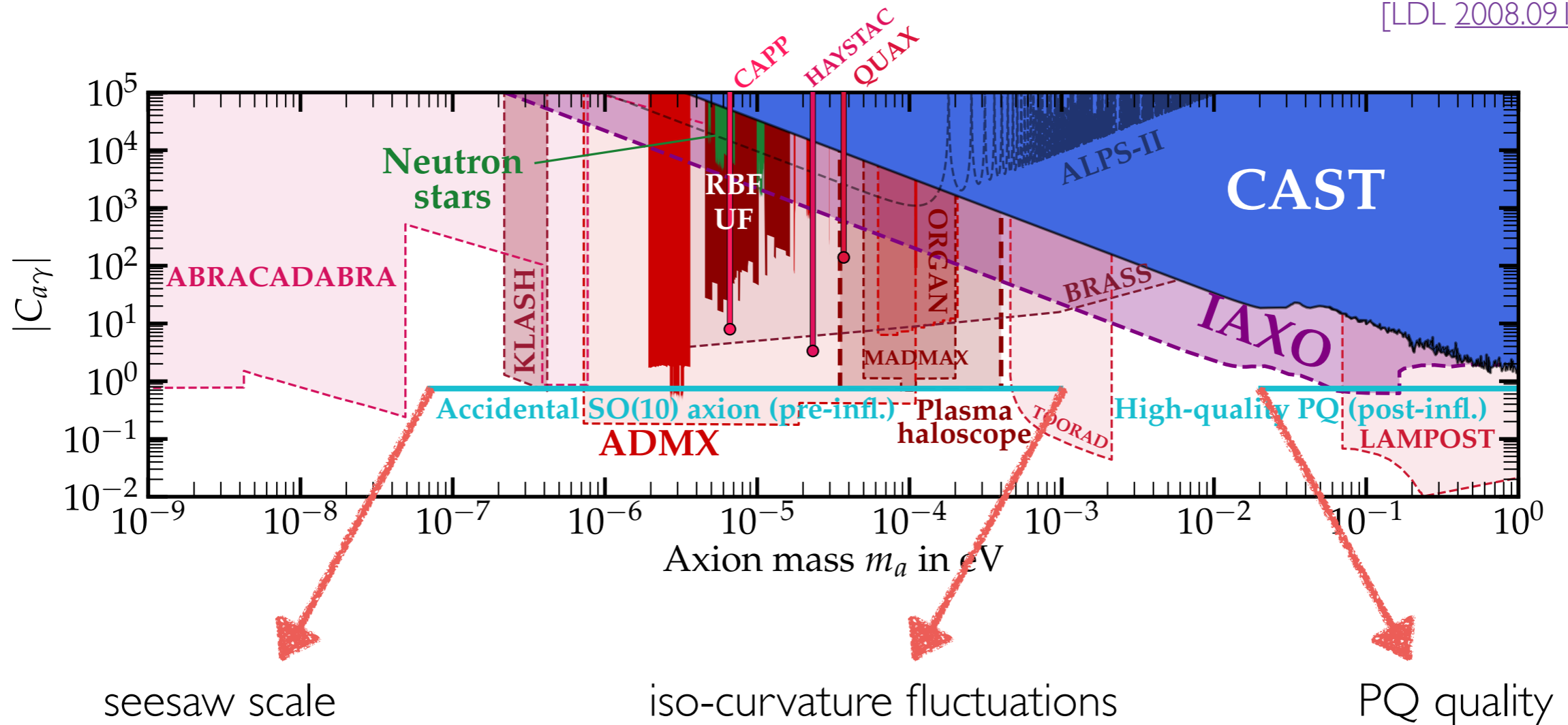
[LDL 2008.09.119]



*a PQ theory could tell us where to search in an otherwise huge param. space !*

# Accidental SO(10) axion

[LDL 2008.09.19]



*a PQ theory could tell us where to search in an otherwise huge param. space !*

# Accidental Pati-Salam axion

- We recently studied a simpler version of the theory

[LDL, Landini, Mescia, Susič [2503.16648](#)]

Field	Lorentz	Pati-Salam	$\mathbb{Z}_4$	$SU(3)_{f_R}$	$\mathbb{Z}_3$	Generations	$U(1)_{PQ}$
$Q_L$	(1/2, 0)	(4, 2, 1)	$+i$	<b>1</b>	+1	3	+3
$Q_R$	(0, 1/2)	(4, 1, 2)	$+i$	<b>3</b>	$e^{i2\pi/3}$	1	+1
$\Psi_R$	(0, 1/2)	(1, 1, 1)	+1	<b><math>\bar{3}</math></b>	$e^{i4\pi/3}$	8	+2
$\Phi$	(0, 0)	(1, 2, 2)	+1	<b><math>\bar{3}</math></b>	$e^{i4\pi/3}$	$N_\Phi \geq 1$	+2
$\Sigma$	(0, 0)	(15, 2, 2)	+1	<b><math>\bar{3}</math></b>	$e^{i4\pi/3}$	$N_\Sigma \geq 2$	+2
$\Delta$	(0, 0)	(10, 1, 3)	-1	<b>6</b>	$e^{i4\pi/3}$	1	+2
$\chi$	(0, 0)	(4, 1, 2)	$+i$	<b><math>\bar{3}</math></b>	$e^{i4\pi/3}$	1	-1
$\xi$	(0, 0)	(15, 1, 3)	+1	<b>1</b>	+1	1	0


Table 1: Field content of the Pati-Salam model and relative transformation properties under the Lorentz group,  $SU(4)_{PS} \times SU(2)_L \times SU(2)_R \times SU(3)_{f_R}$ , its  $\mathbb{Z}_4 \times \mathbb{Z}_3$  center, and the accidental  $U(1)_{PQ}$ . Exotic fermions, which ensure  $SU(3)_{f_R}$  anomaly cancellation, are highlighted in light gray. Note that the  $U(1)_{PQ}$  charge of  $\Psi_R$  is fixed by non-renormalizable operators, while  $\xi$  is not charged under  $U(1)_{PQ}$  being a real scalar field.

# Accidental Pati-Salam axion

- We recently studied a simpler version of the theory

[LDL, Landini, Mescia, Susič [2503.16648](#)]

✓ SM flavor structure


✓ anomalon-neutrino spectrum  high-quality PQ predicts sub-eV anomalons

✓ anomalon contribution to  $\Delta N_{\text{eff}}$

✓ axion phenomenology (degenerate with SO(10) model)


✗ Landau pole emerges one order of magnitude above  $f_a$

# Conclusions

- Axion imperfections lead to interesting phenomenology
- PQ breaking and/or CP violation  axion-mediated forces
  - low-energy **portal** to new sources of CP violation beyond CKM ?



# Conclusions

- Axion imperfections lead to interesting phenomenology
- PQ breaking and/or CP violation  axion-mediated forces
  - low-energy **portal** to new sources of CP violation beyond CKM ?
- New solution to PQ quality problem based on vertical/horizontal gauge symmetries
  - predicts a somewhat heavy axion  $m_a \gtrsim 0.01$  eV
  - **anomalons** as low-energy remnants of UV mechanism responsible for PQ quality

# Backup slides

# PQ breaking & monopole-dipole

- Axion scalar coupling to atomic system  $\frac{A}{Z}X$

[LDL, Gisbert, Nesti, Sørensen 2407.15928  
See also Zhang 2209.09429]

$$g_{aX}^S \equiv \frac{A-Z}{A} g_{an}^S + \frac{Z}{A} g_{ap}^S + \frac{Z}{A} g_{ae}^S$$

- leverage PQ-breaking in the electron Yukawa sector

$$\mathcal{L}_{\cancel{PQ}} \supset -e^{i\delta} \left(\frac{\phi}{\Lambda}\right)^n \frac{\sqrt{2}m_e}{v} \bar{L}_L H e_R + \text{h.c.}$$



$$g_{ae}^S = n \left(\frac{f_a}{\sqrt{2}\Lambda}\right)^n \frac{m_e}{f_a} \sin \delta$$

$$\theta_{\text{eff}} \simeq \frac{n}{2\pi^2} \left(\frac{f_a}{\sqrt{2}\Lambda}\right)^n \frac{m_e^4}{\chi_{\text{QCD}}} \sin \delta \ln \left(\frac{v}{1 \text{ GeV}}\right)$$

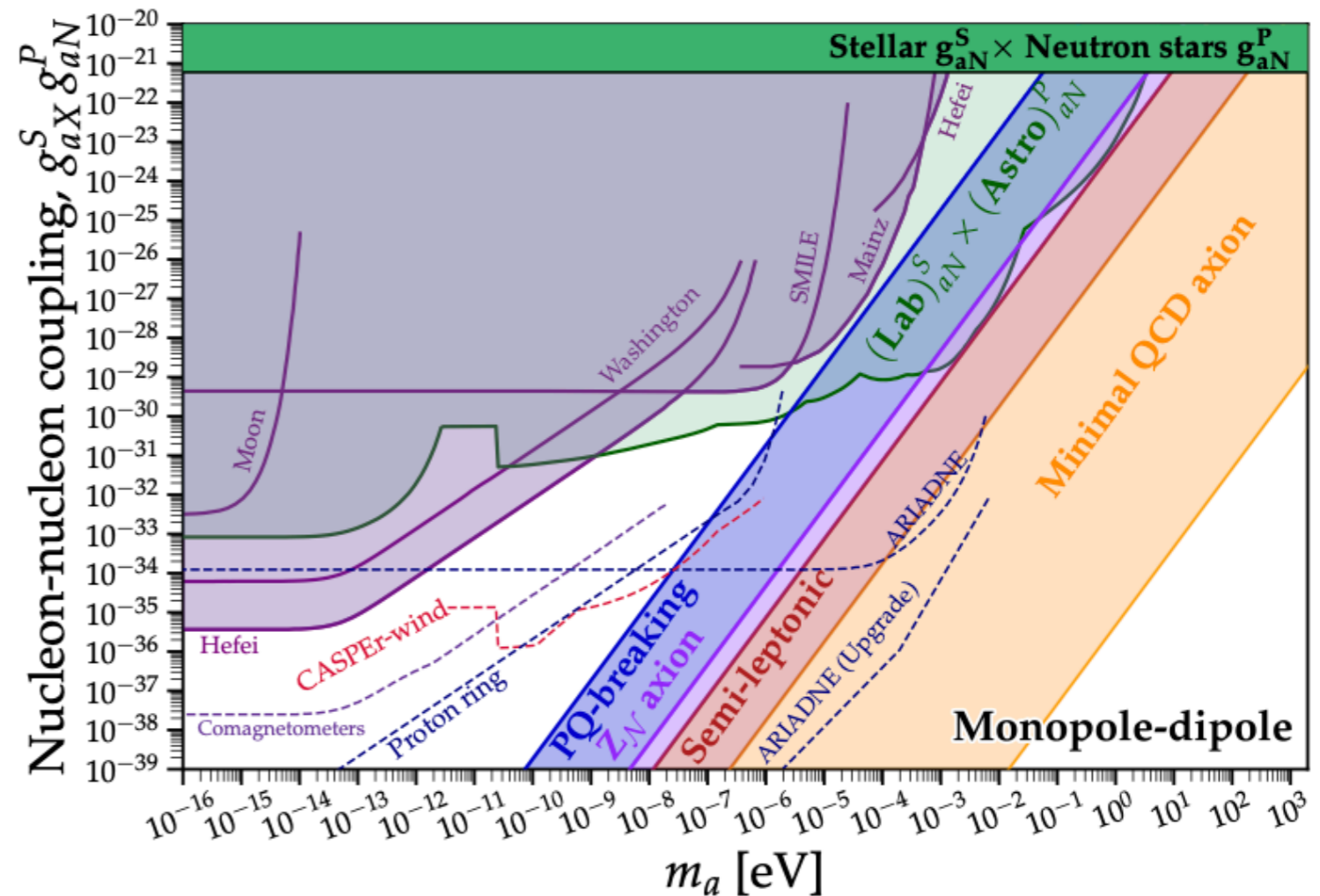
- nEDM bound relaxed due to loop and chirality suppression

# PQ breaking & monopole-dipole

- Axion scalar coupling to atomic system  $\frac{A}{Z}X$

[LDL, Gisbert, Nesti, Sørensen 2407.15928  
See also Zhang 2209.09429]

$$g_{aX}^S \equiv \frac{A-Z}{A} g_{an}^S + \frac{Z}{A} g_{ap}^S + \frac{Z}{A} g_{ae}^S$$



- nEDM bound relaxed due to loop and chirality suppression

# PQ quality in Pati-Salam model

- PQ-breaking operators

[LDL, Landini, Mescia, Susič [2503.16648](#)]

$$\Delta^4 \Delta^* \chi^{*6}, \quad \Phi^{2-k} \Sigma^k \Delta^2 \chi^{*4}, \quad \Phi^{4-k} \Sigma^k \Delta \chi^{*2}, \quad \Phi^{4-k} \Sigma^k \Sigma^2,$$

$$\xrightarrow{V_\chi \sim V_\Delta \sim V} \quad \frac{V^{11}}{\Lambda_{\text{UV}}^7}, \quad \frac{v^2 V^6}{\Lambda_{\text{UV}}^4}, \quad \frac{v^4 V^3}{\Lambda_{\text{UV}}^3}, \quad \frac{v^6}{\Lambda_{\text{UV}}^2},$$

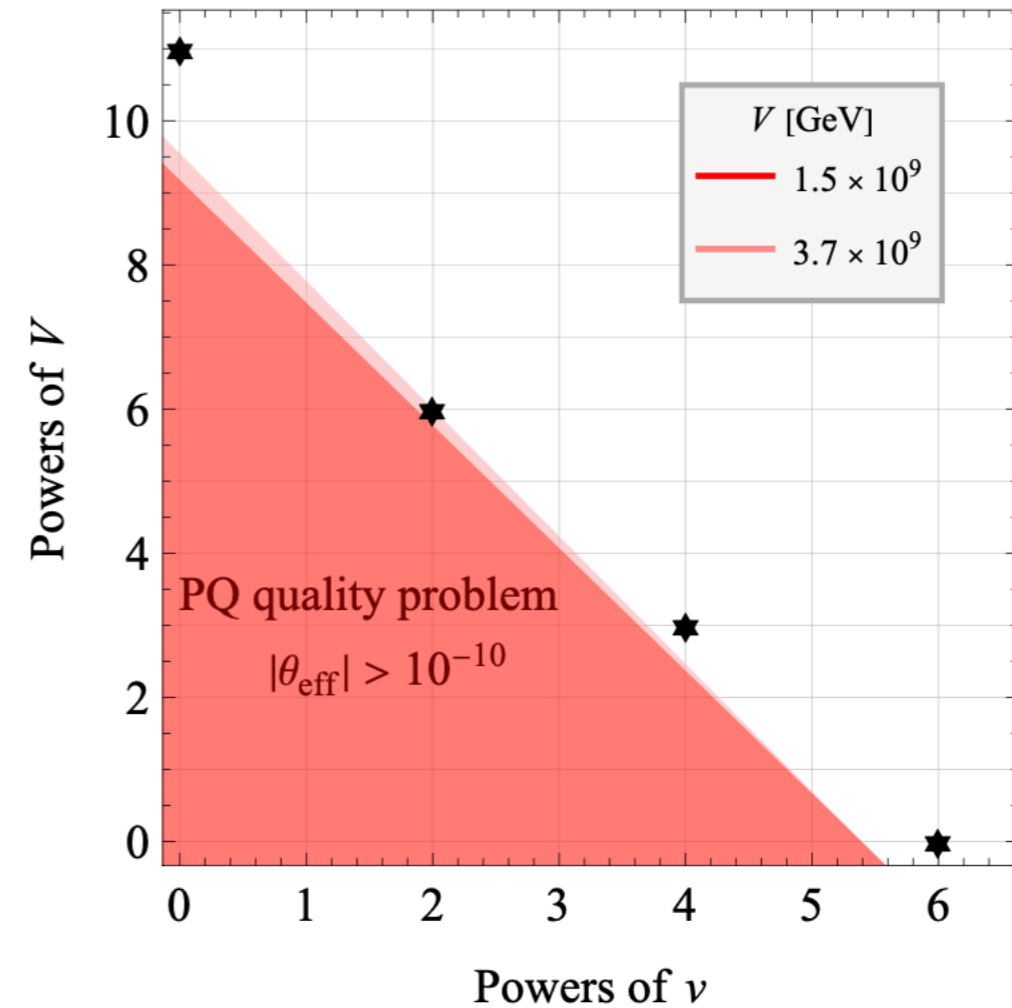
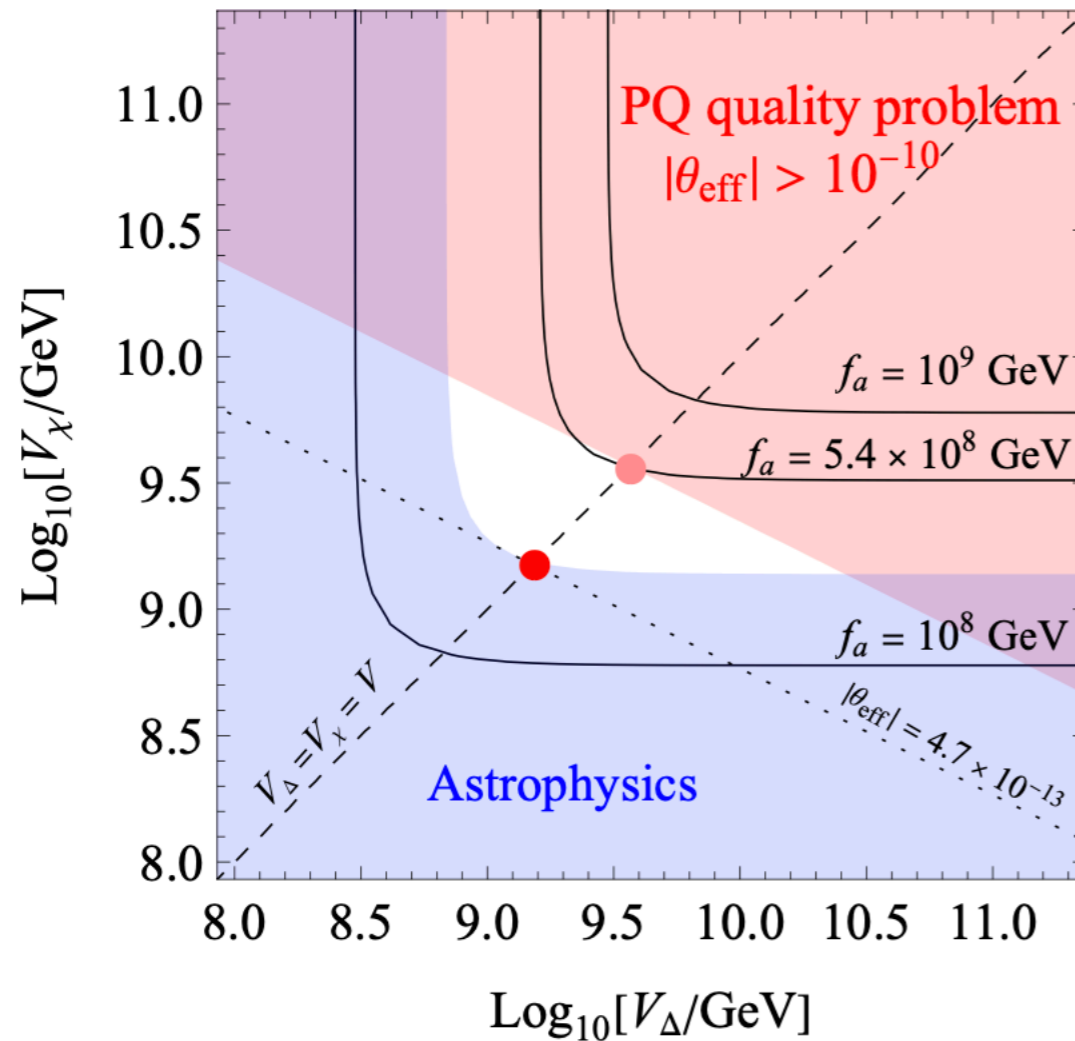
$$f_a = \frac{V_\chi V_\Delta}{3\sqrt{V_\chi^2 + 4V_\Delta^2}}$$

$$\Lambda_{\text{UV}} \sim M_{\text{Pl}} = 1.22 \times 10^{19} \text{ GeV}$$

# PQ quality in Pati-Salam model

- PQ quality condition  $\frac{v^m V^n}{\Lambda_{UV}^{n+m-4}} \lesssim 10^{-10} \chi_{\text{QCD}}^4$

[LDL, Landini, Mescia, Susiç [2503.16648](#)]



$$f_a = \frac{V_\chi V_\Delta}{3\sqrt{V_\chi^2 + 4V_\Delta^2}}$$

$$\Lambda_{UV} \sim M_{\text{Pl}} = 1.22 \times 10^{19} \text{ GeV}$$

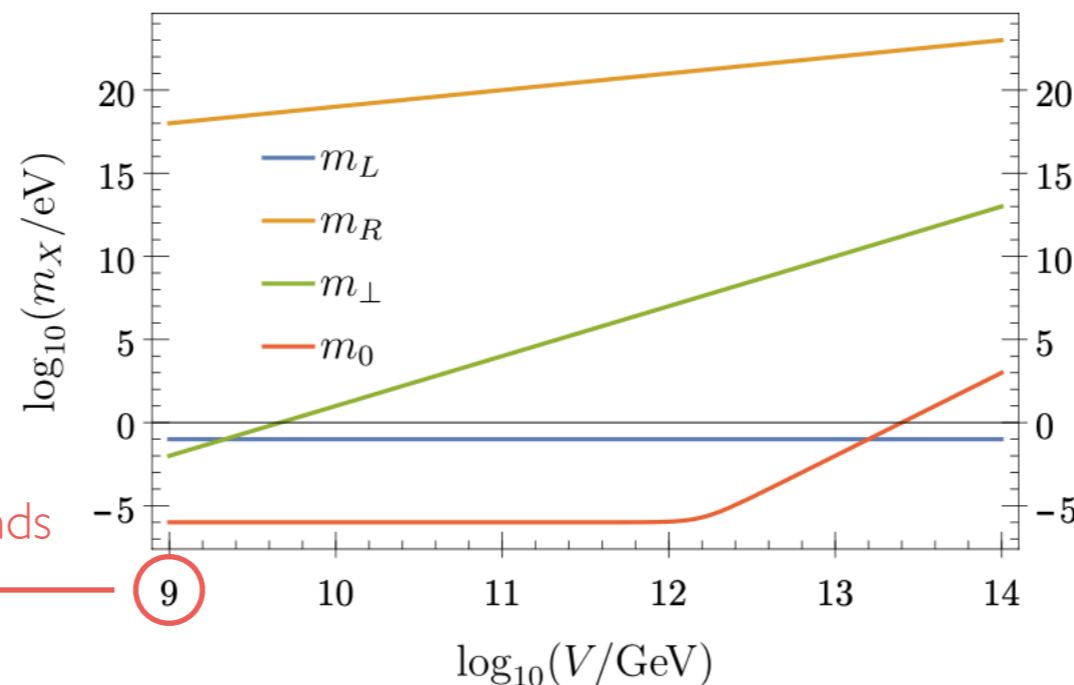
# Anomalon spectrum

- $L \oplus R \oplus \Psi_{\perp} \oplus \Psi_0$  basis (3+3+16+8)

[LDL, Landini, Mescia, Susič [2503.16648](#)]

$$\begin{pmatrix} M_{LL} & M_{LR} & M_{L\Psi_{\perp}} & M_{L\Psi_0} \\ M_{RL} & M_{RR} & M_{R\Psi_{\perp}} & M_{R\Psi_0} \\ M_{\Psi_{\perp}L} & M_{\Psi_{\perp}R} & M_{\Psi_{\perp}\Psi_{\perp}} & M_{\Psi_{\perp}\Psi_0} \\ M_{\Psi_0L} & M_{\Psi_0R} & M_{\Psi_0\Psi_{\perp}} & M_{\Psi_0\Psi_0} \end{pmatrix} \sim \begin{pmatrix} \frac{v^2 V}{\Lambda_{UV}^2} & yv & l \frac{vV}{\Lambda_{UV}} & \tilde{l} \frac{vV^2}{\Lambda_{UV}^2} \\ \dots & V & r \frac{V^2}{\Lambda_{UV}} & \tilde{r} \frac{V^4}{\Lambda_{UV}^3} \\ \dots & \dots & \frac{V^3}{\Lambda_{UV}^2} & \frac{v^2}{\Lambda_{UV}} + \frac{V^5}{\Lambda_{UV}^4} \\ \dots & \dots & \dots & \frac{v^2}{\Lambda_{UV}} + \frac{V^5}{\Lambda_{UV}^4} \end{pmatrix}$$

Spectrum in the neutrino-anomalon sector



High-quality PQ scenario corresponds to sub-eV anomalons



# Anomalons & $\Delta N_{\text{eff}}$

- Production channels:

[LDL, Landini, Mescia, Susič [2503.16648](#)]

## I. Flavor interactions

$$\Delta N_{\text{eff}} = \frac{8}{7} \left( \frac{11}{4} \right)^{4/3} \frac{\rho_{\Psi}}{\rho_{\gamma}} \simeq 1.13 \frac{N_{\Psi}}{24} \left( \frac{106.75}{g_s(T_{\text{dec}})} \right)^{4/3} \longrightarrow \text{too large if thermally produced}$$

- to avoid thermalization: small gauge coupling or low reheating temperature

$$g_{f_R} \ll 10^{-9} \left( \frac{V}{10^9 \text{ GeV}} \right) \left( \frac{g_*(m_{W_{f_R}})}{106.75} \right)^{1/2}$$

$$T_{\text{RH}} \ll V \left( \frac{g_*^{1/2}(T_{\text{RH}})V}{M_{\text{Pl}}} \right)^{1/3} \simeq 10^6 \text{ GeV} \left( \frac{V}{10^9 \text{ GeV}} \right)^{4/3} \left( \frac{g_*(T_{\text{RH}})}{106.75} \right)^{1/6}$$

- freeze-in production generically below present & future sensitivity on  $\Delta N_{\text{eff}}$



# Anomalons & $\Delta N_{\text{eff}}$

[LDL, Landini, Mescia, Susič [2503.16648](#)]

- Production channels:

1. Flavor interactions

2. Neutrino-anomalon conversion:  $e^+e^- \rightarrow \bar{\nu}_L\nu_L \rightarrow \bar{\nu}_L\Psi_m$

- non-resonant scenario  $m_\Psi \gtrsim m_\nu$

$$Y_\Psi^{\nu\text{-mix}}|_{m_\Psi \gg m_\nu} \sim 2.5 \times 10^4 \left( \frac{10.75}{g_{\text{SM}}} \right)^{3/2} \sum_{m=1}^{N_\Psi} \left( |\theta_{\nu\Psi_m}|^2 \frac{m_{\Psi_m}}{\text{keV}} \right)$$

- resonant scenario  $m_\Psi \lesssim m_\nu$



expect larger contribution to  $\Delta N_{\text{eff}}$  / stronger constraints on mixing angles

# Axion phenomenology

- Pati-Salam and SO(10) models yield same predictions

[LDL, Landini, Mescia, Susiç [2503.16648](#)]

