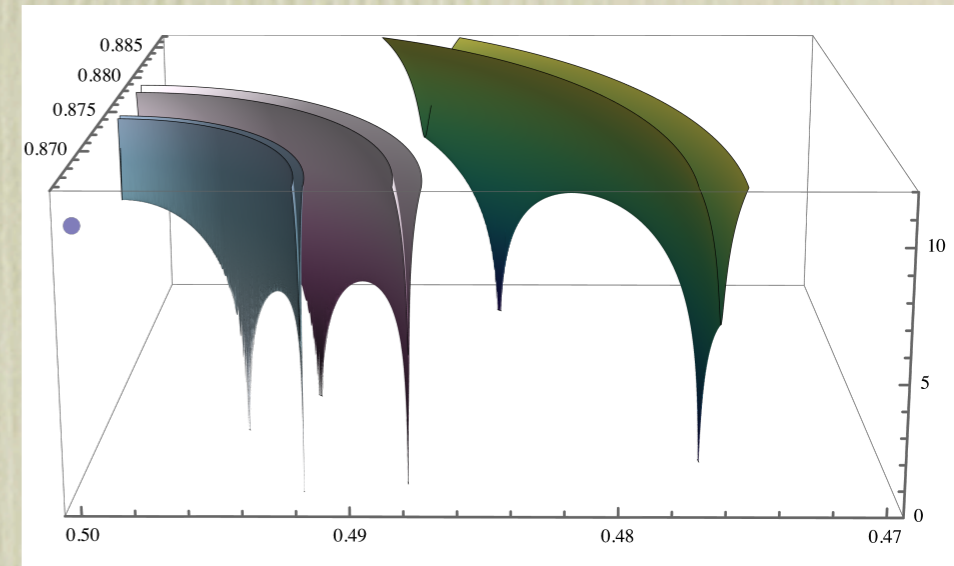
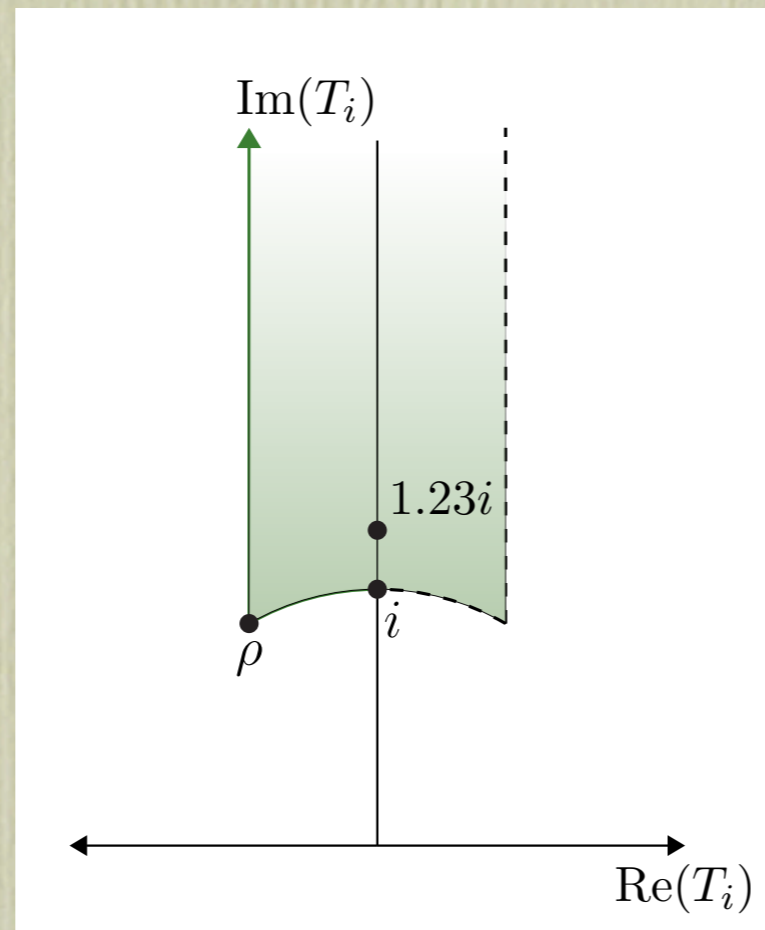
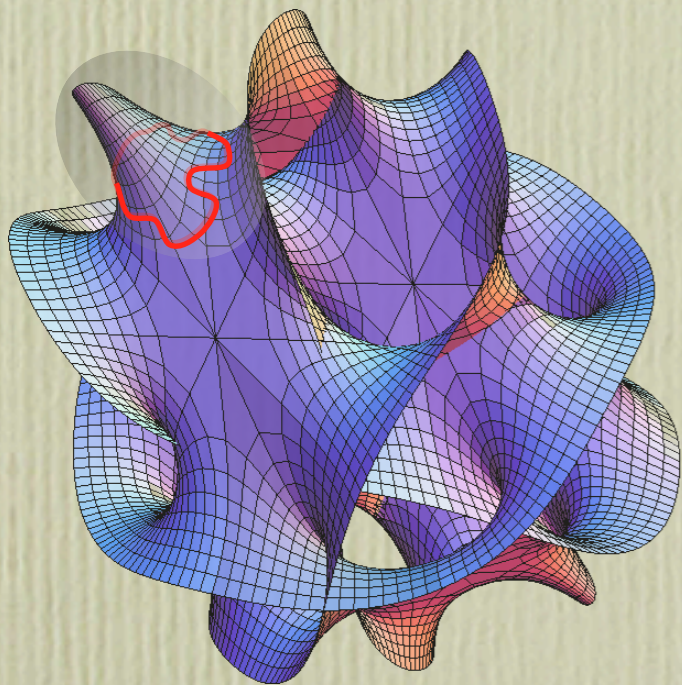


# Heterotic de Sitter Beyond Modular Symmetry



Jacob Leedom, Nicole Righi & AW — arXiv:2212.03876

Abhiram Kidambi, Jacob Leedom, Nicole Righi & AW — work in progress

Alexander Westphal  
(DESY)

# de Sitter vacua in String Theory ...

- **observation:**  $\rho_\Lambda \simeq 10^{-122} > 0$        $w_\Lambda = -0.961 \pm 0.077$

e.g. Planck 2018 + SNe + BAO

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exponentially many meta-stable dS vacua,  
constructions of varying degrees of explicitness

[KKLT, LVS, Kähler Uplift, IIB on compact negatively curved spaces, ...]

(in the interior of moduli space)

see e.g. Arthur's talk this morning!

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(in the interior of moduli space)

- **The Swampland:** see e.g. Arthur's talk this morning!

EFT constraints from quantum gravity/string theory

→ evidence against dS vacua in asymptotic  
regions of moduli space

many recent works on acceleration

in asymptotic moduli regions ... see e.g. Timm's talk !

[Garg, Krishnan, '18]

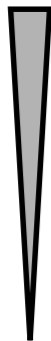
[Ooguri, Palti, Shiu, Vafa, '18]

[Hebecker, Wrase, '18]

# de Sitter vacua in String Theory ...

starting point: partial no-go theorems - here heterotic

[Maldacena-Nunez]



Classical SUGRA?

No dS

AdS OK

# de Sitter vacua in String Theory ...

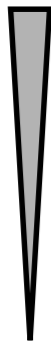
starting point: partial no-go theorems - here heterotic

HE:  $E_8 \times E_8$

HO:  $Spin(32)/\mathbb{Z}_2$

$$S = \frac{1}{2\kappa^2} \int d^{10}x \sqrt{-g} e^{-2\phi} \left[ R + 4(\partial\phi)^2 - \frac{1}{2}|H|^2 - \frac{\alpha'}{4} \left( \text{Tr}|F|^2 - \text{Tr}|R_+|^2 \right) \right]$$

[Maldacena-Nunez]



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Infinite  $\alpha'$  tower?

No dS

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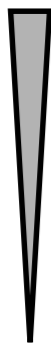


# de Sitter vacua in String Theory ...

starting point: partial no-go theorems - here heterotic

Includes worldsheet instantons & high curvature solutions

[Maldacena-Nunez]



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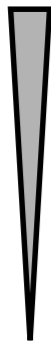
AdS OK

# de Sitter vacua in String Theory ...

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$$W(S) \sim e^{-S} \rightarrow \delta\mathcal{L} \sim \exp[-1/g_s^2]$$

[Maldacena-Nunez]



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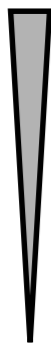
see also

[Brustein & de Alwis '04]

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Instantons, Condensates,  
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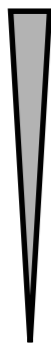
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AdS OK

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Our goal is to extend the above results:  $\longrightarrow$  effects stronger than gaugino condensation

# heterotic strings on torus orbifolds ...

[Font, Ibanez, Lust & Quevedo '90]  
 [Cvetic, Font, Ibanez, Lust & Quevedo '91]  
 [Gonzalo, Ibanez & Uranga '18]

- Overall Kähler Modulus  $T$  and Dilaton  $S$ 
  - $T$  has a  $PSL(2, \mathbb{Z})$  symmetry from T-Duality:

$$T \rightarrow \gamma \cdot T = \frac{aT + b}{cT + d} \quad \gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in SL(2, \mathbb{Z})$$

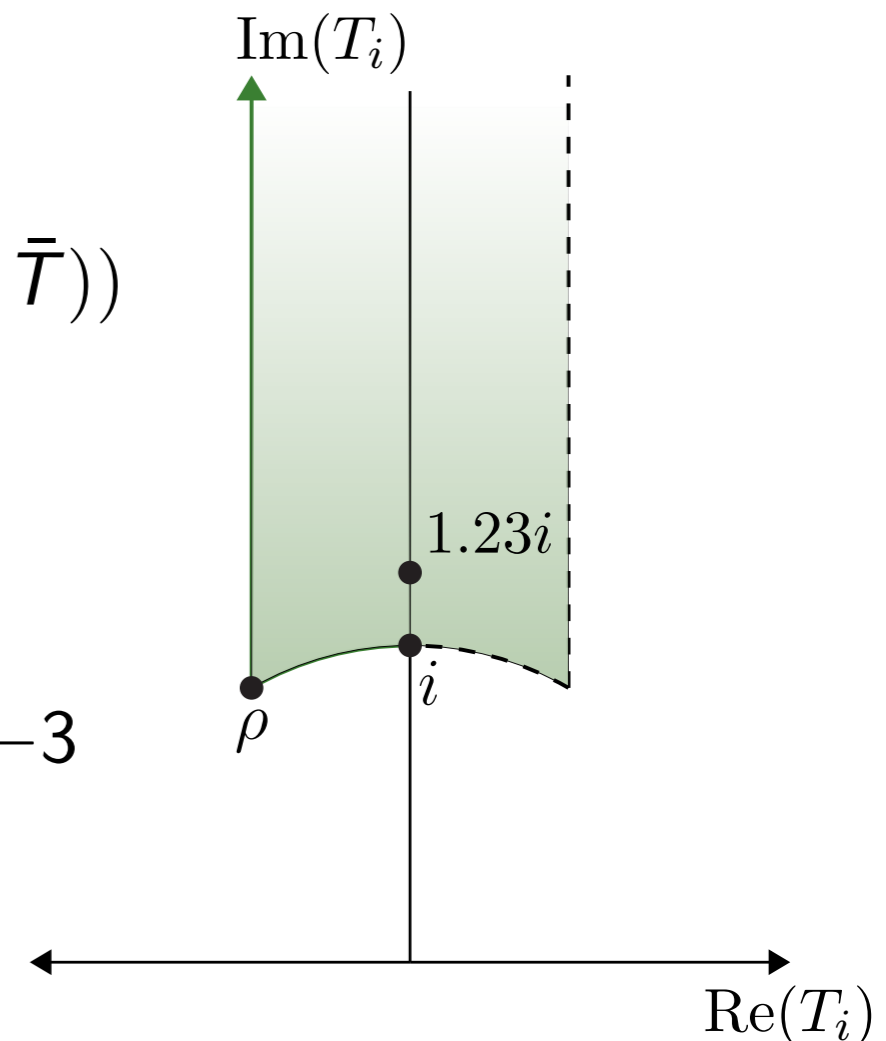
- Kähler potential

$$\mathcal{K} = -\ln(S + \bar{S}) - 3 \ln(-i(T - \bar{T}))$$

- For action to be invariant under  $PSL(2, \mathbb{Z})$ ,

$$\mathcal{G} = \mathcal{K} + \ln|W|^2$$

must be invariant  $\Rightarrow W$  has modular weight  $-3$



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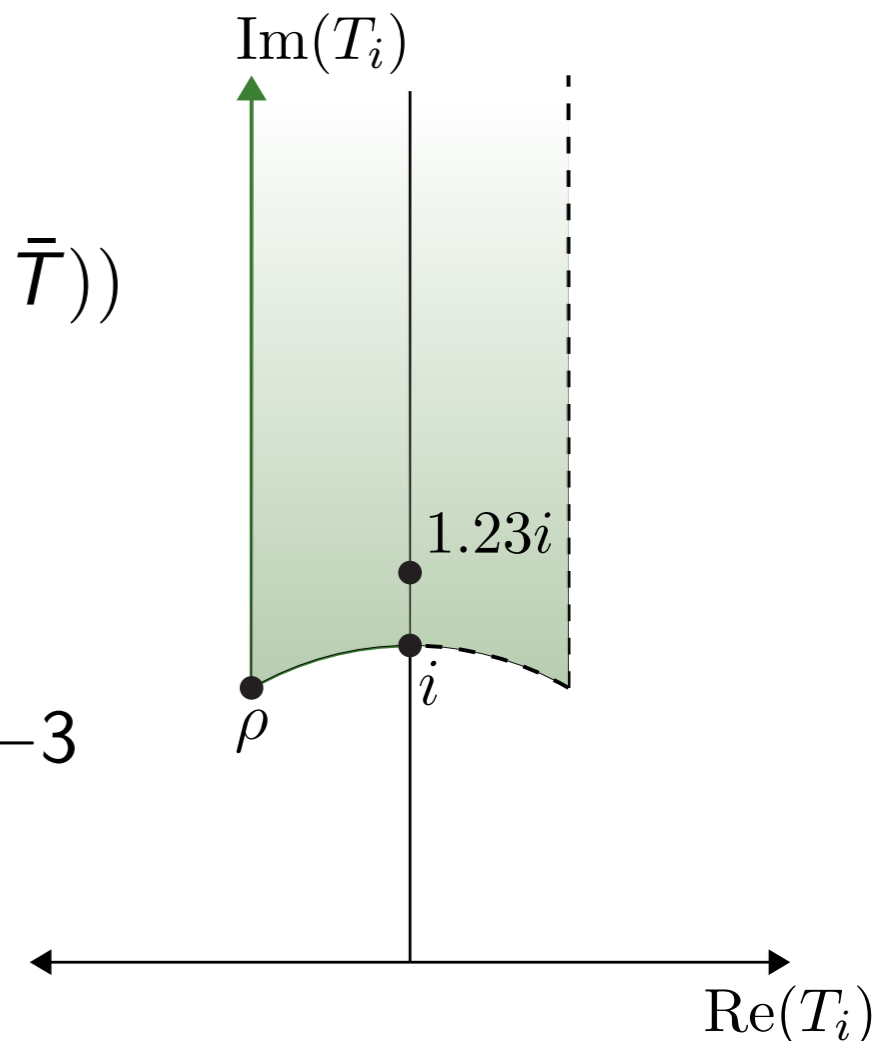
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- modular invariance from thresholds:

$$\delta f_a \simeq b_a \ln[\eta^6(T)] + \dots \Rightarrow \text{Here be moonshine [Wrase, '14]}$$

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$$W = \frac{H(T) e^{-S/b_a}}{\eta^6(T)}$$

$$H(T) = \left( \frac{G_4(T)}{\eta^8(T)} \right)^n \left( \frac{G_6(T)}{\eta^{12}(T)} \right)^m \mathcal{P}(j(T))$$

[Rademacher, Zuckerman, '38]

[Lehner]

 infinite sum of  $e^{2\pi i T}$  - terms — like WS instantons

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# heterotic strings on torus orbifolds ...

- scalar potential:

$$\begin{aligned} V(S, \bar{S}, T, \bar{T}) &= e^{\mathcal{K}} \left( \mathcal{K}^{S\bar{S}} F_S \bar{F}_{\bar{S}} + \mathcal{K}^{T\bar{T}} F_T \bar{F}_{\bar{T}} - 3|W|^2 \right) \\ &= e^{k(S, \bar{S})} Z(T, \bar{T}) |\Omega(S)|^2 \left\{ |H(T)|^2 (A(S, \bar{S}) - 3) + \hat{V}(T, \bar{T}) \right\} \end{aligned}$$

Conjectures [[Gonzalo,Ibanez,Uranga,'18 - GIU](#)]: no dS for tree-level  $k(S, \bar{S})$

- 2 classes of  $S$  extrema:

Class A:  $\Omega_S(S) + K_S \Omega(S) = 0 \rightarrow F_S = 0$

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- establish 2 no-go theorems — proving the GIU conjecture & extending it:

## Class A

- **Theorem 1:** At a point  $(T_0, S_0)$ , the scalar potential  $V(T, S)$  can not simultaneously satisfy:
  - 1  $V(T_0, S_0) > 0$
  - 2  $\partial_S V(T_0, S_0) = 0$  &  $\partial_T V(T_0, S_0) = 0$
  - 3  $(\Omega_S + k_S \Omega)|_{S=S_0} = 0$
  - 4 Eigenvalues of the Hessian of  $V(T, S)$  at  $(T_0, S_0)$  are all  $\geq 0$ .

Proves several conjectures from GIU

# class B no-go ?

[Leedom, Righi & AW '22]

- What about Class B extrema?  
In general Hessian doesn't factorize – much more complicated  
Enter the power of modular symmetry
- $V(T, S)$  is a non-holomorphic modular function in  $T$ , so  $\partial_T V$  is a weight 2 modular form and vanishes at  $T = i, \rho$
- All mixed derivatives of  $T$  &  $S$  are weight 2 modular forms  
⇒ Hessian is block diagonal
- Self dual points always extremum - when are they minima in  $T$ -sector?

## Class B

- even SUSY-breaking  $S$  extrema cannot give dS minima  
if  $S$  has tree-level Kähler potential ...

- **Theorem 2:** At a point  $(T_0, S_0)$ , the scalar potential  $V(T, S)$  with  $k(S, \bar{S}) = -\ln(S + \bar{S})$  can not simultaneously satisfy:
  - 1  $V(T_0, S_0) > 0$
  - 2  $\partial_S V(T_0, S_0) = 0$  &  $\partial_T V(T_0, S_0) = 0$
  - 3  $\tilde{F}_T(T_0) = 0$
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# a look into the modular landscape ...

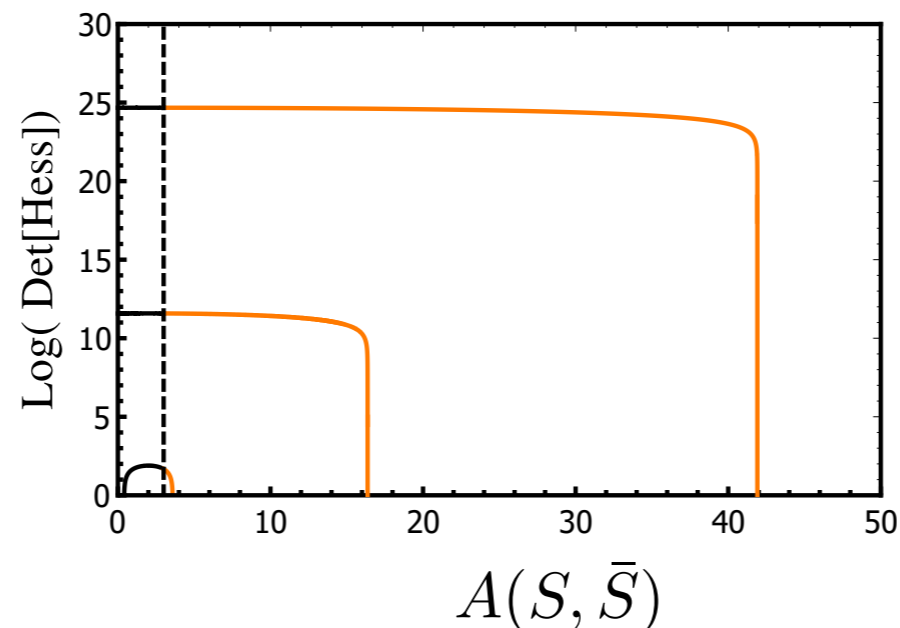
- $T = i$ :

[Leedom, Righi & AW '22]

$$V(S, \bar{S}, i, -i) = \frac{2^{4n+9} \pi^{8n+9}}{\Gamma^{12}(1/4)} |\Omega(S)|^2 |\mathcal{P}(1728)|^2 e^{k(S, \bar{S})} (A(S, \bar{S}) - 3)$$

- Set  $m = 0$  or else extremum is Minkowski
- dS extremum at  $T = i$  if dilaton is stabilized with  $\langle A(S, \bar{S}) \rangle > 3$
- If we set  $\mathcal{P}(j(T)) = 1$ , then this point is stable in  $T$  sector if

$$2 - \frac{(1 + 8n)\Gamma^8(1/4)}{192\pi^4} < A(S, \bar{S}) < 2 + \frac{(1 + 8n)\Gamma^8(1/4)}{192\pi^4}$$





# into the bulk ...

[Leedom, Righi & AW '22]

- [Cvetic+ '91] - conjecture: all extrema on boundary

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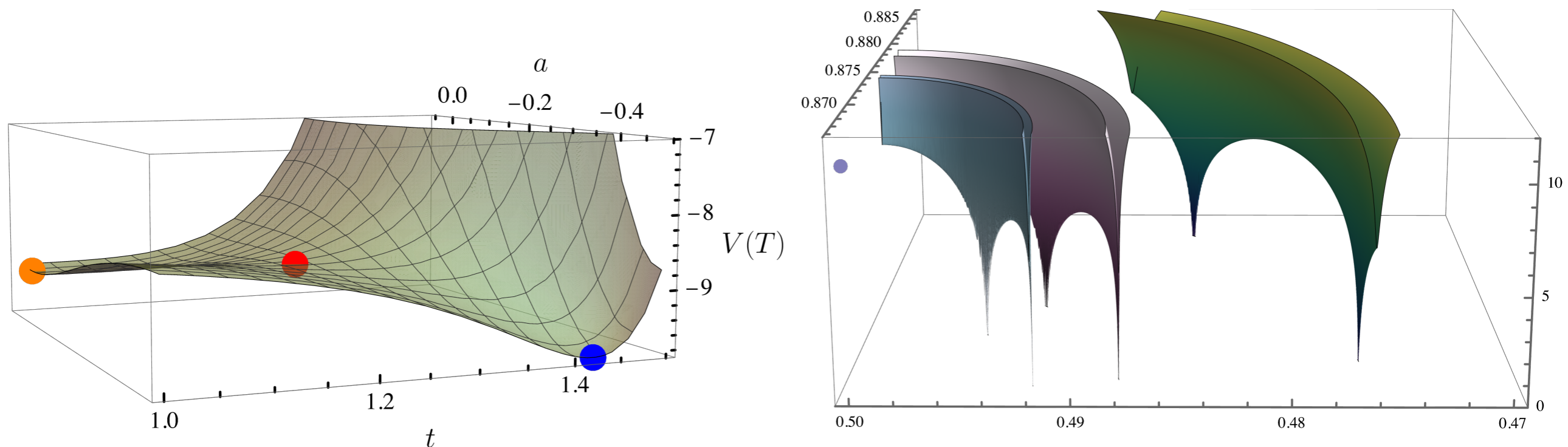
- [Cvetič+ '91] - **conjecture: all extrema on boundary**
  - [Novichkov+ '22]: **counter-examples**      **links to flavor symmetries:**
    - [Baur, Kade, Nilles, Ramos-Sanchez & Vaudrevange '20]
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- for certain  $(n,m)$  extrema near  $T = \rho$  **off boundary**

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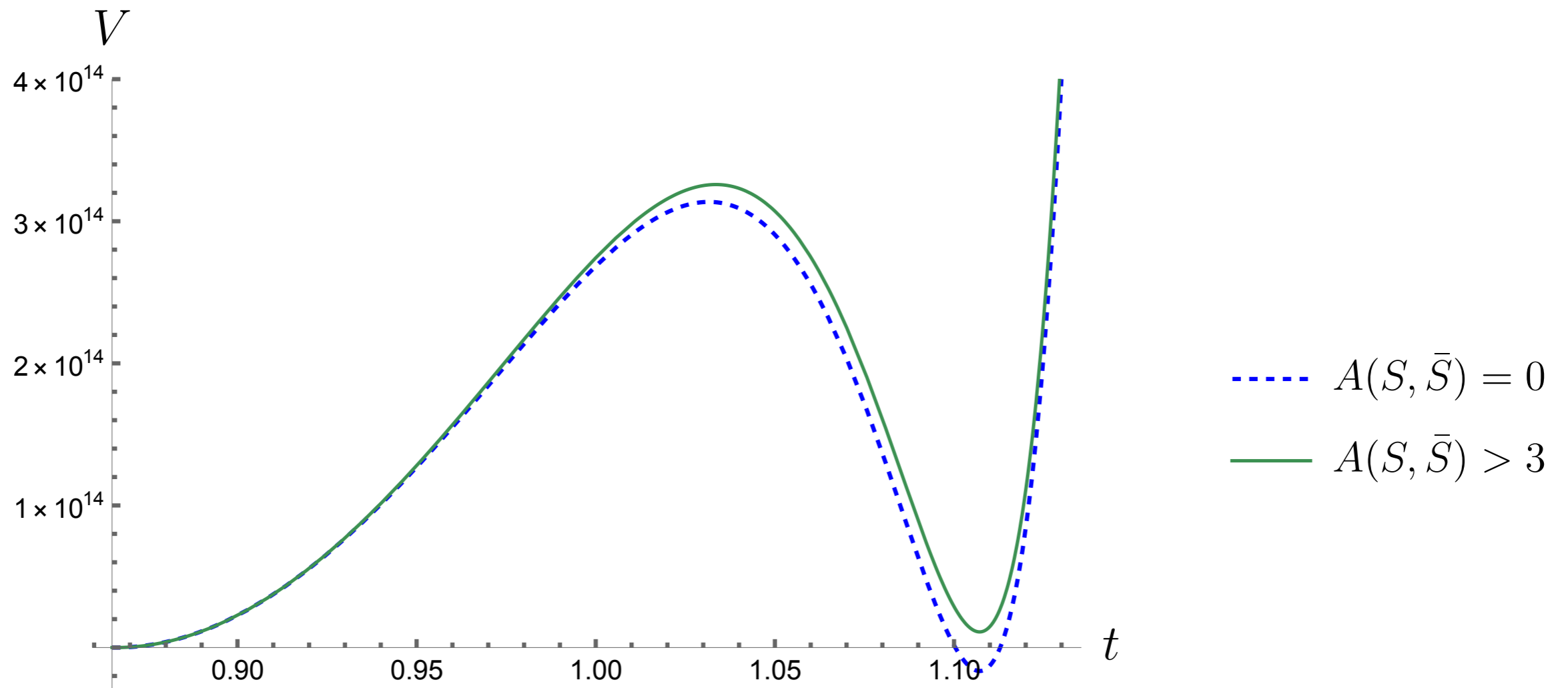
- verify & find more:



# is there dS ?

[Leedom, Righi & AW '22]

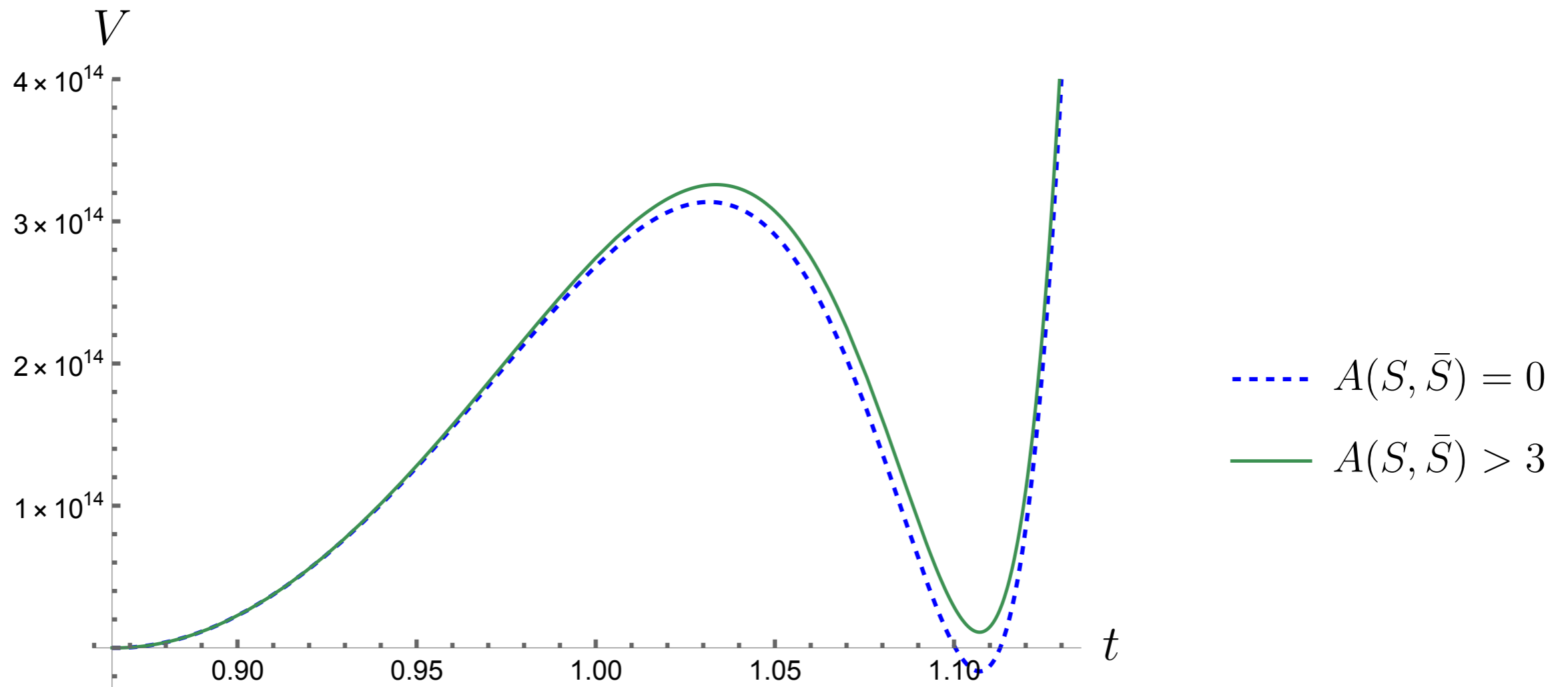
- outcome: dS must come from class B ...



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[Leedom, Righi & AW '22]

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But impossible with tree level dilaton Kähler potential!

# beyond the no-go ...

[Leedom, Righi & AW '22]

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[Silverstein '96]: arguments from type I-heterotic & IIA-heterotic duality

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We want to utilize Shenker-like effects in Heterotic vacua.

We should be sure that they exist (... backup slides ...)

# evade the no-go ...

[Leedom, Righi & AW '22]

- Linear Multiplet Formalism:  $L \supset \{\ell, \psi, B_2\}$

$$\mathcal{L}_{KE} = \int d^4\theta E \left( -2 + f(L) \right)$$

$$\left\langle \frac{\ell}{1 + f(\ell)} \right\rangle = \frac{g_s^2}{2}$$
$$k(L) = \ln(L) + g(L)$$

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- Parametrize Shenker-like effects [Gaillard & Nelson, '07]+:

$$f(\ell) = \sum_{n=0} A_n \ell^{-q_n} e^{-B/\sqrt{\ell}} \quad L \frac{df}{dL} = -L \frac{dg}{dL} + f$$

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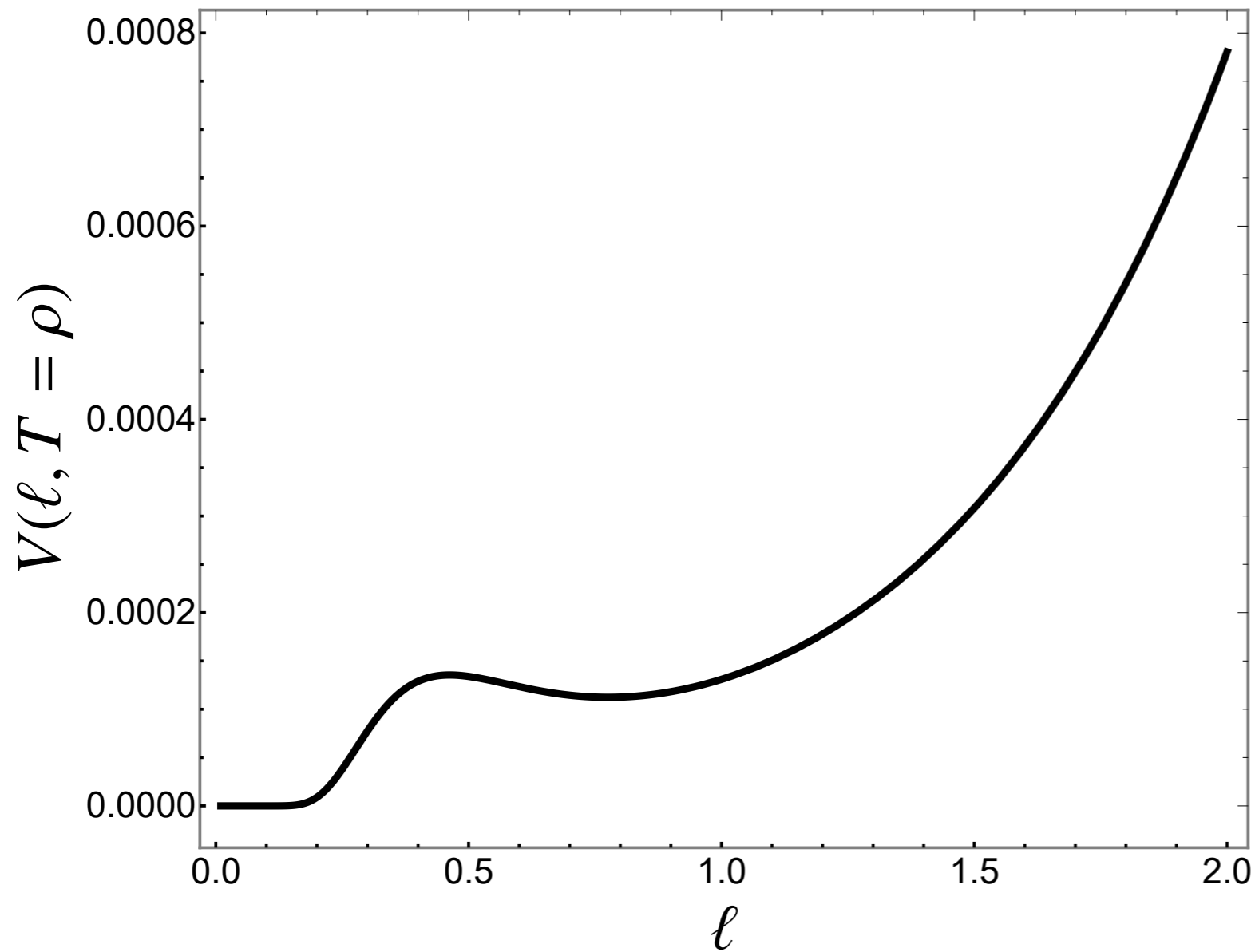
$$f(\ell) = \sum_{n=0} A_n \ell^{-q_n} e^{-B/\sqrt{\ell}} \quad L \frac{df}{dL} = -L \frac{dg}{dL} + f$$

- Scalar potential for single gaugino condensate:

$$V(\ell) = \frac{\mathcal{T}}{\ell} \left[ (1 + \ell g') (1 + b\ell)^2 - 3b^2 \ell^2 \right] e^{g - (f+1)/b\ell} \quad \langle T \rangle = \rho$$

# a road to heterotic dS - an example

[Leedom, Righi & AW '22]



$$f(\ell) = (A_0 + A_1 \ell^{\frac{1}{2}}) e^{-B/\sqrt{\ell}}$$

$$A_0 = 10 \quad A_1 = 9 \frac{30}{8\pi^2}$$
$$B = 0.6\pi \quad b_{E_8} = \frac{30}{8\pi^2}$$

$$g_4 \simeq 0.70$$

Metastable dS

$$\langle e^{-B/\sqrt{\ell}} \rangle \simeq 0.11$$

# all $T^2$ - moduli $\rightarrow$ modular symmetry at genus-2

[Kidambi, Leedom, Righi & AW - WiP]

- full Kähler potential

$$K(T, \bar{T}) \rightarrow K(M, M^\dagger) = -\ln(-i \det(M - M^\dagger))$$

$$M = \begin{pmatrix} T & Z \\ Z & U \end{pmatrix}$$


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$T^2$  complex structure modulus

- does Kähler transformation under  $Sp(4, \mathbb{Z})$

$$M \rightarrow \gamma(M) = (AM + B)(CM + D)^{-1}, \quad \gamma = \begin{pmatrix} A & B \\ C & D \end{pmatrix} \in Sp(4, \mathbb{Z})$$

$$K \rightarrow K + \ln \det(CM^\dagger + D) + \ln \det(CM + D)$$

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[Kidambi, Leedom, Righi & AW - WiP]

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forces  $W$  to be **holomorphic Siegel modular form** of definite weight!

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[Mayr & Stieberger '95]

[Igusa '62 & '64]

[Freitag "Siegel Modular Forms"]

rational polynomial  
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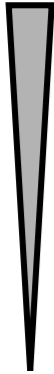
$$F_4, F_6, C_{10}, C_{12}$$



for much more — see N. Righi's talk !

# Summary

[Maldacena-Nunez]

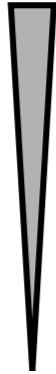


Classical SUGRA?

No dS

AdS OK

[Green+, '11]



Leading  $\alpha'$ ?

No dS

AdS OK

[Gautason+, '12]



Infinite  $\alpha'$  tower?

No dS

No AdS

[Kutasov+, '15]



Nonperturbative  $\alpha'$ ?

No dS

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[Quigley, '15]

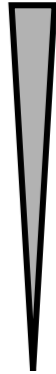


Nonperturbative  $g_s$ ,  
Gaugino Condensation?

No dS\*

No AdS\*

[Gonzalo+, '18]



Instantons, Condesates,  
Threshold Corrections\*?

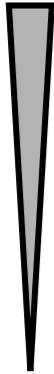
No dS (numerically)

AdS OK



# Summary

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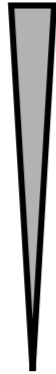


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[This Work]

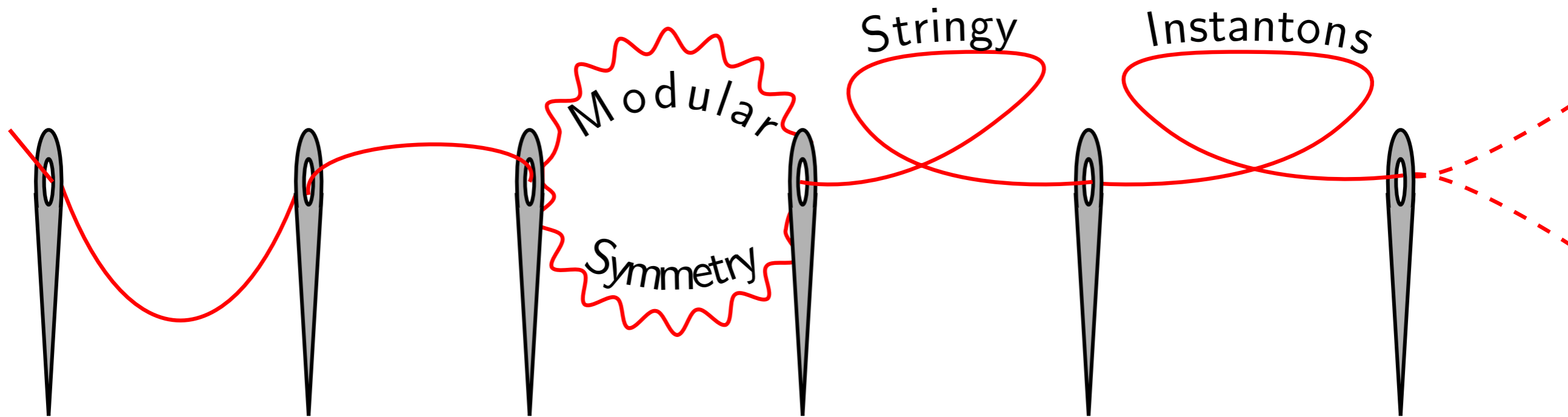


Instantons, Condesates,  
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No dS (Class A)

& Some Class B

# Summary



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No dS

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AdS OK

AdS OK

No AdS

AdS OK

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& Some Class B

Number Theory: **[CFC, JML, NR, AW]** & **[AK, JML, NR, AW]**, ...

Shenker Effects: **[RAG, CFC, JML, NR]**

*backup slides*

# evidence for heterotic Shenker-like effects

- [Silverstein, '96]: Can find Heterotic Shenker-like effects via duality arguments. They correct the Kähler potential

- Type I-Heterotic:  $g_{MN}^H = \lambda_H g_{MN}^I$  &  $\lambda_H = \lambda_I^{-1}$

Type I Worldsheet Instantons:  $\delta\mathcal{L}_I \sim e^{-A'/\alpha'} \leftrightarrow \delta\mathcal{L}_H \sim e^{-\frac{A^H}{\alpha'\lambda}}$

- Type IIA-Heterotic: If  $S_H \leftrightarrow T_{IIA}$  in  $4d$  and if there is a non-trivial  $\pi_1$ :

Type IIA Worldline Instantons :  $\delta\mathcal{L}_{IIA} \sim \sum_m e^{-mR^{IIA}} \leftrightarrow \delta\mathcal{L}_H \sim \sum_m e^{-m/\lambda}$

- Does not explain the fundamental origins of these effects within the Heterotic frame
- Very schematic – no explicit calculations

Can do a bit better in M-Theory

# evidence for heterotic Shenker-like effects

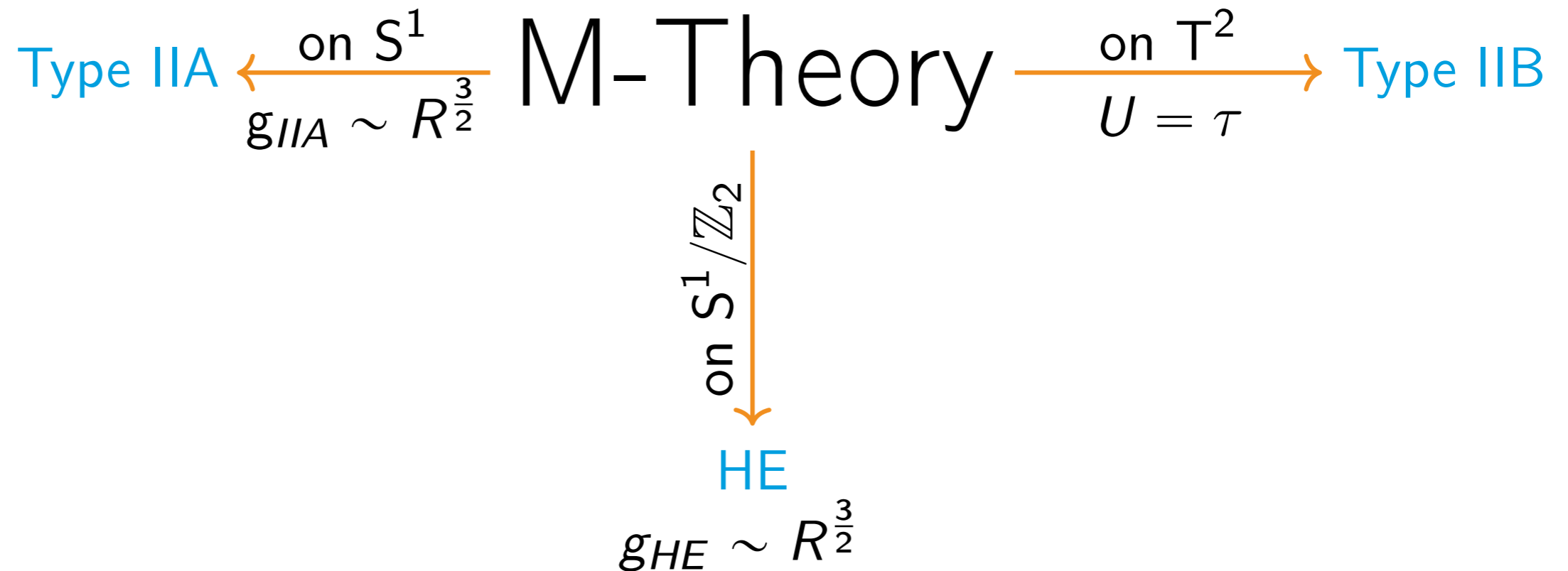
Low-Energy Limit: 11D Supergravity

$$S_{11D} = \frac{1}{2\kappa_{11}^2} \int d^{11}x \sqrt{-G} \left( R - \frac{1}{2} |G_4|^2 \right) - \frac{1}{6} \int C_3 \wedge G_4 \wedge G_4$$

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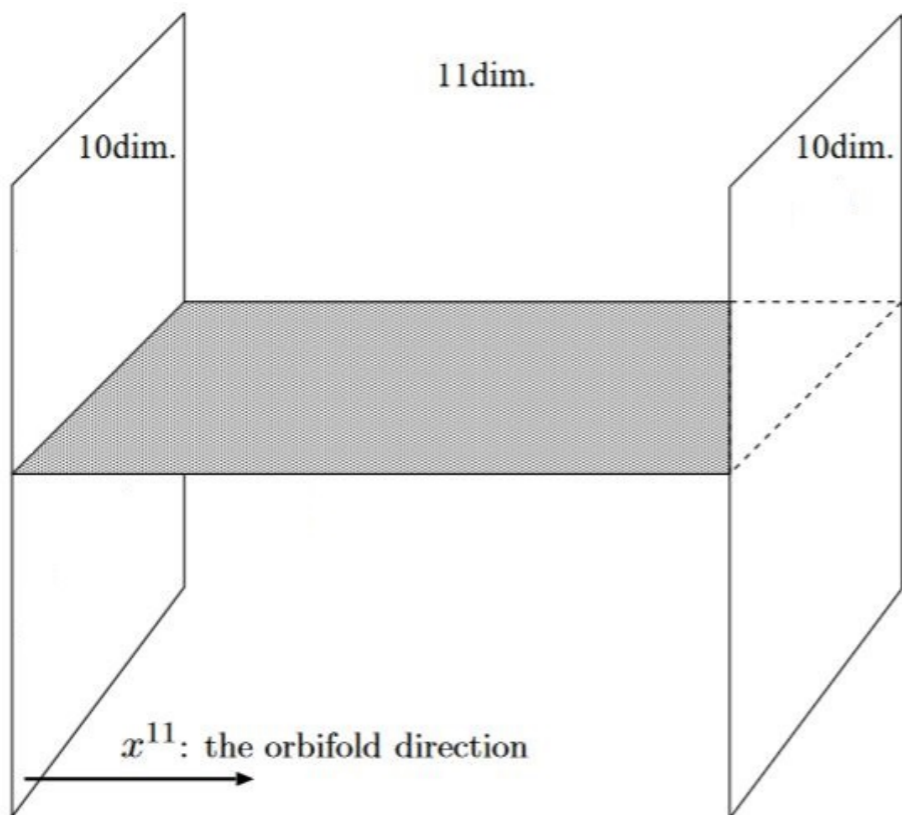
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$$\text{Type IIA} \xleftarrow[\substack{\text{on } S^1 \\ g_{IIA} \sim R^{\frac{3}{2}}}]{} \text{M-Theory} \xrightarrow[\substack{\text{on } T^2 \\ U = \tau}]{} \text{Type IIB}$$

$$S_{HW} = S_{11D} + S_{YM} + S_B$$

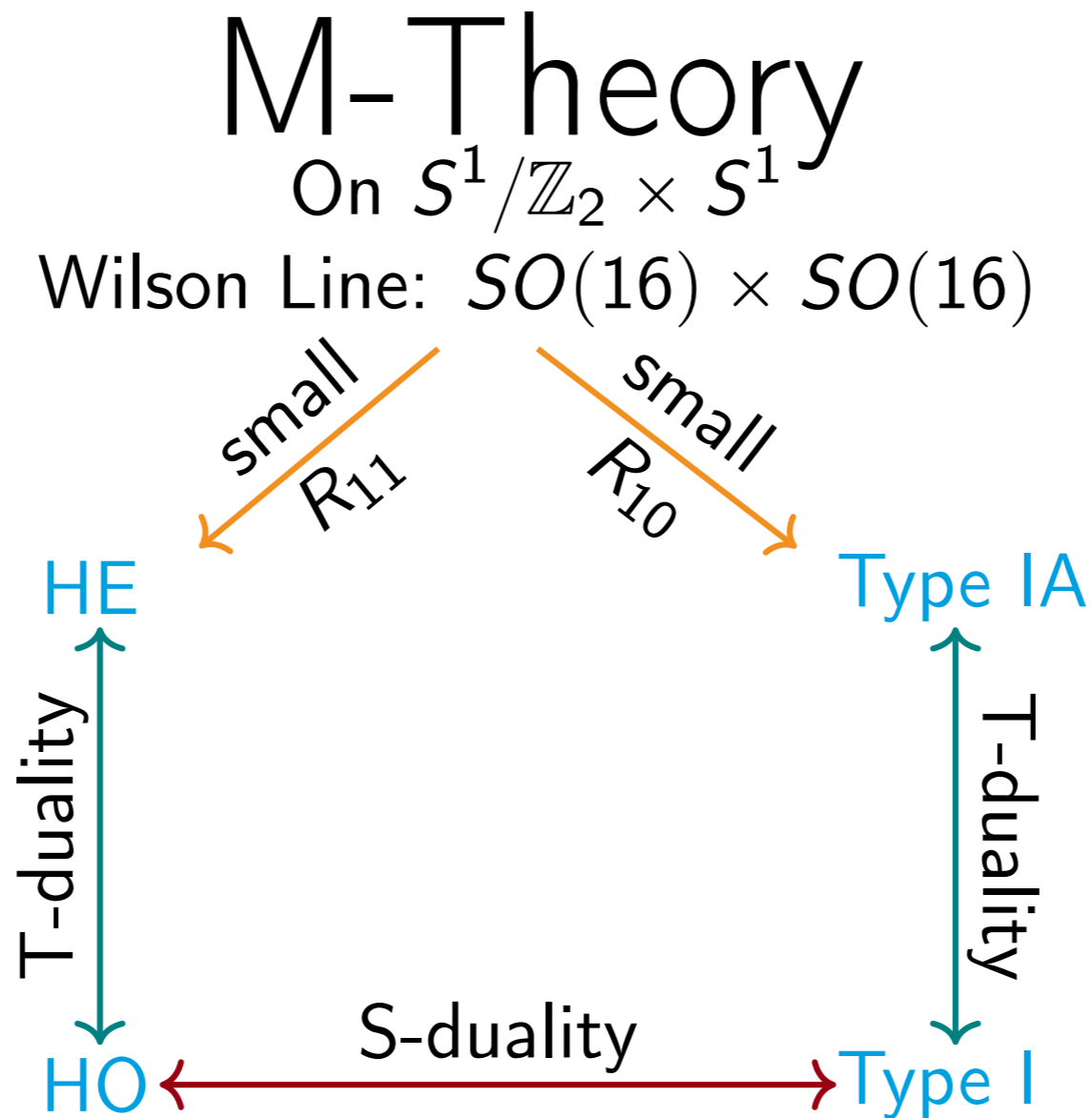


$$\begin{array}{c} \text{on } S^1/\mathbb{Z}_2 \\ \downarrow \\ \text{HE} \\ g_{HE} \sim R^{\frac{3}{2}} \end{array}$$

# evidence for heterotic Shenker-like effects

$$S^1/\mathbb{Z}_2 : \ell_{11} R_{11}$$

$$S^1 : \ell_{11} R_{10}$$





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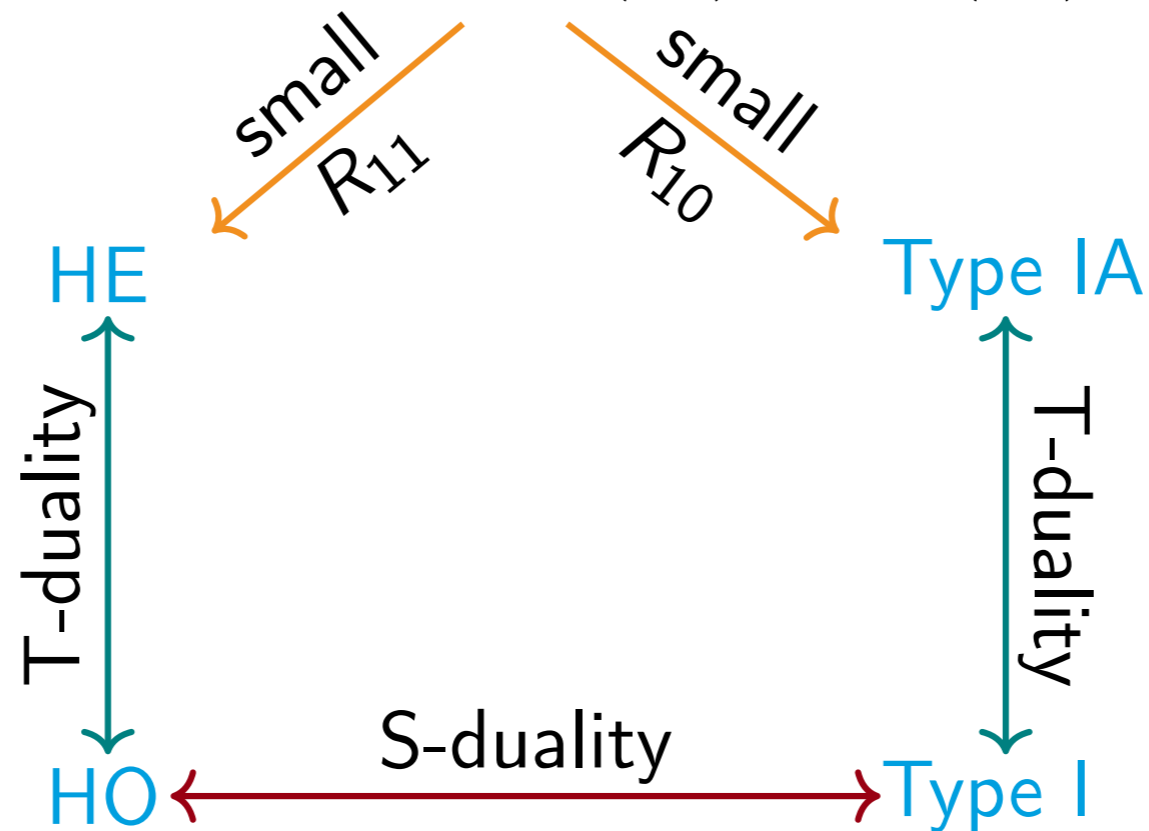
$$S^1 : \ell_{11} R_{10}$$

M-Theory

On  $S^1/\mathbb{Z}_2 \times S^1$

Wilson Line:  $SO(16) \times SO(16)$

$$g_{he} = R_{11}^{3/2}$$
$$r_{he} = R_{10} \sqrt{R_{11}}$$



# evidence for heterotic Shenker-like effects

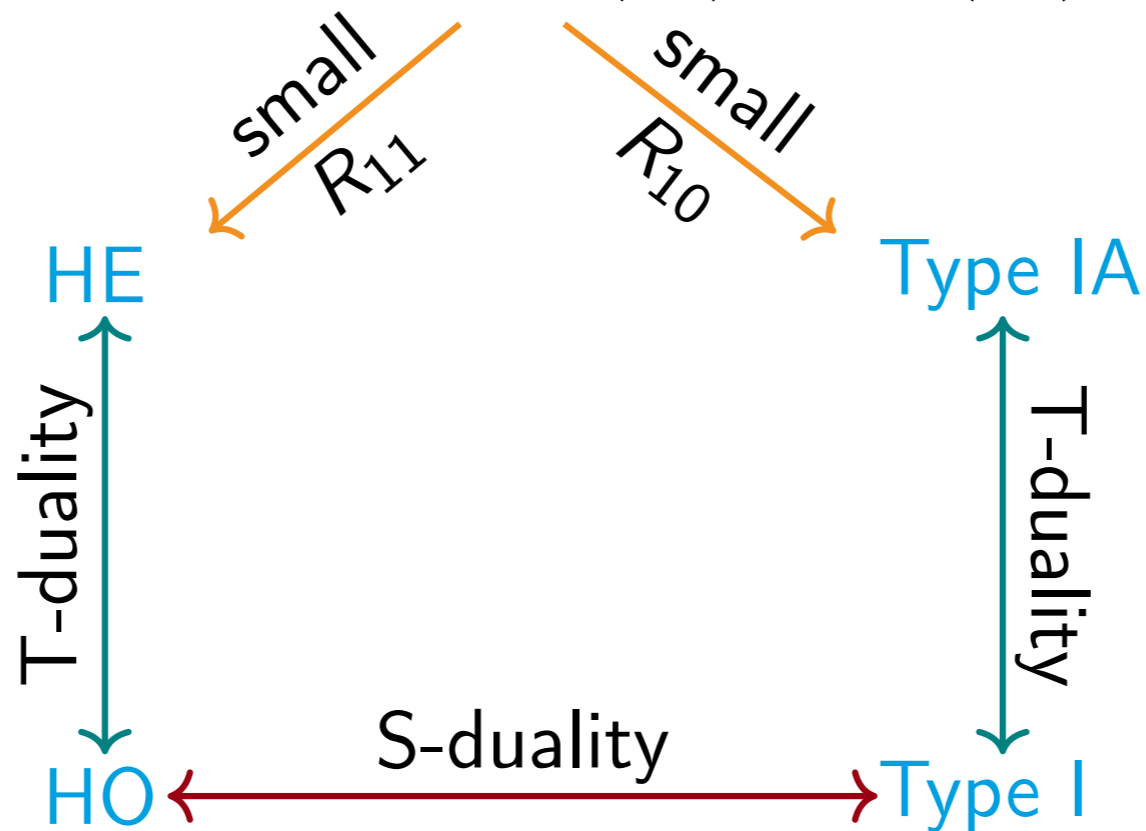
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$$r_{ho} = \frac{1}{R_{10} \sqrt{R_{11}}}$$

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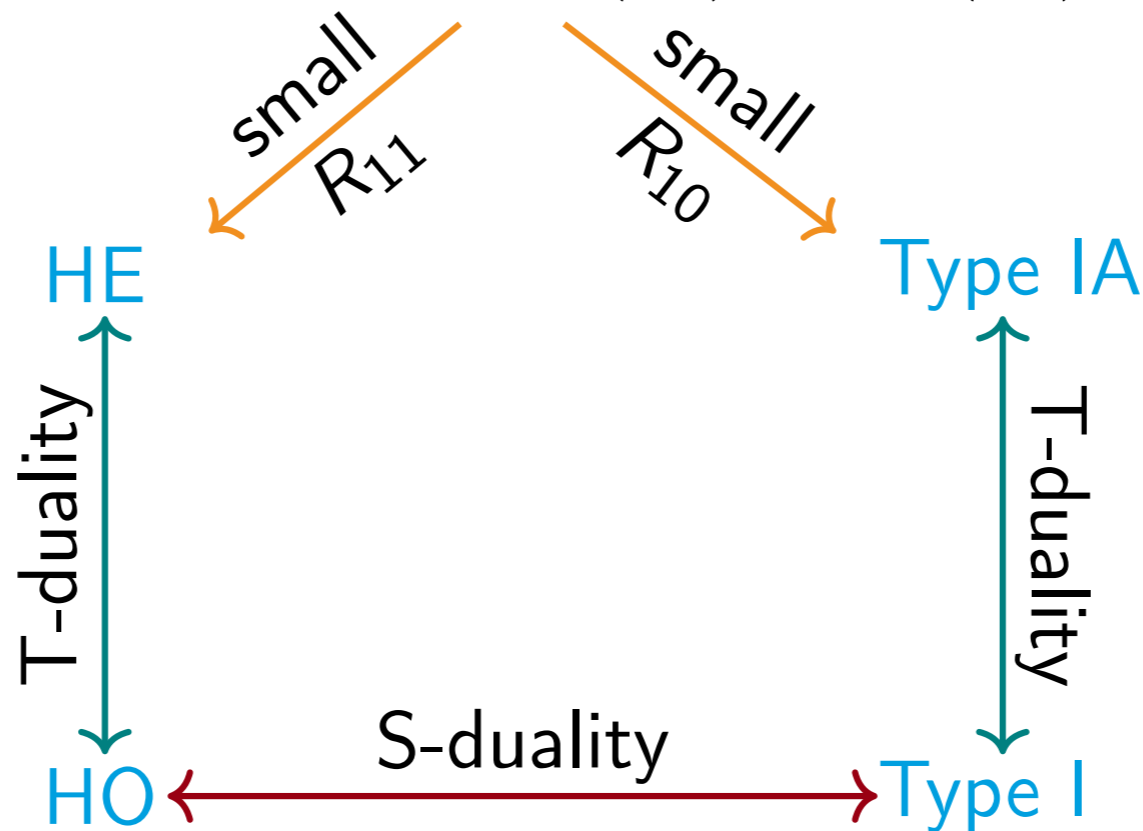
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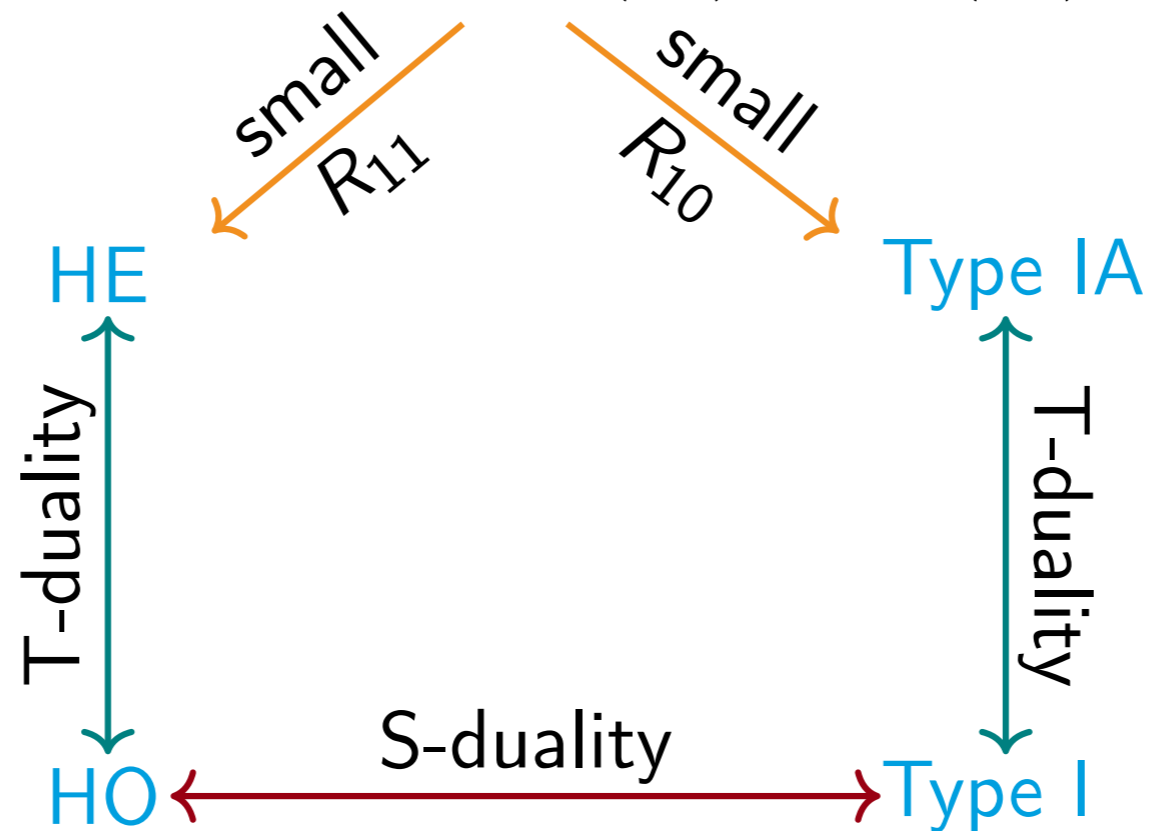
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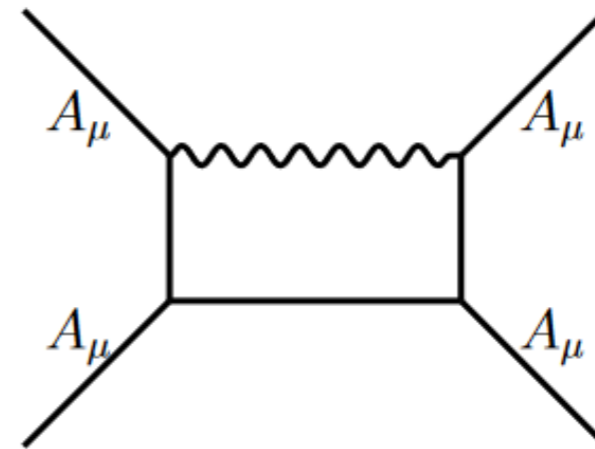
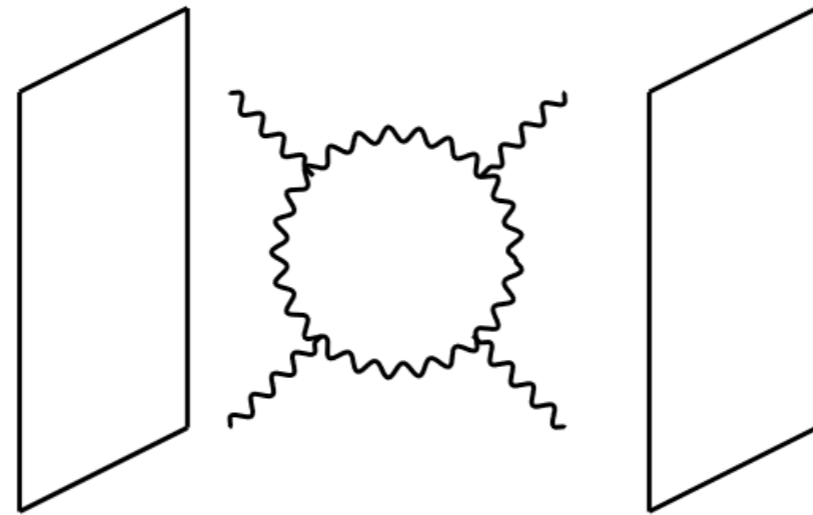
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$$g_I = \frac{R_{10}}{R_{11}}$$

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# evidence for heterotic Shenker-like effects

Calculations from [Green, Rudra, '16]

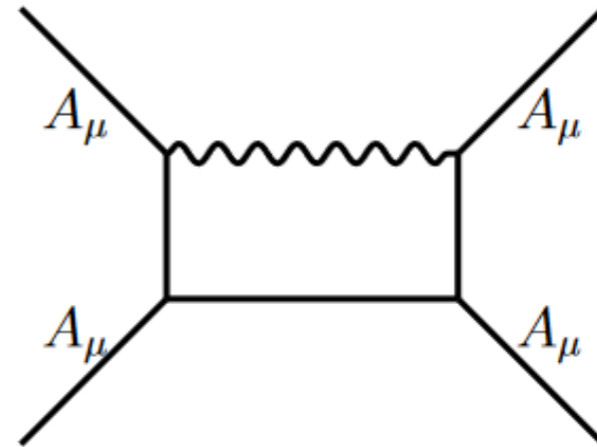
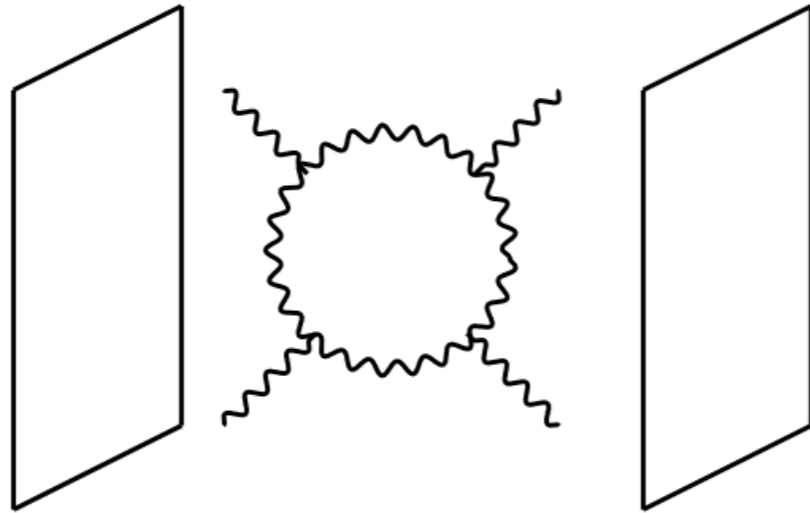


In 10D HO:

$$S_{10D}^{HO} \supset \frac{g_{ho}^{-1/2}}{2^9 (2\pi)^7 4! \ell_H^2} \int_{\mathcal{M}_{10}} d^{10}x \sqrt{-G} t_8 t_8 R^4 E_{3/2}(ig_{ho}^{-1})$$

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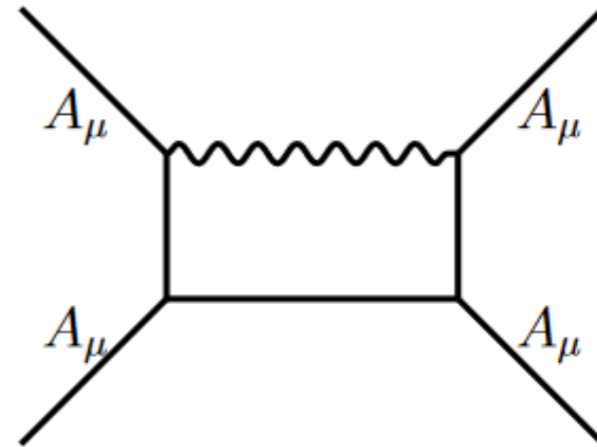
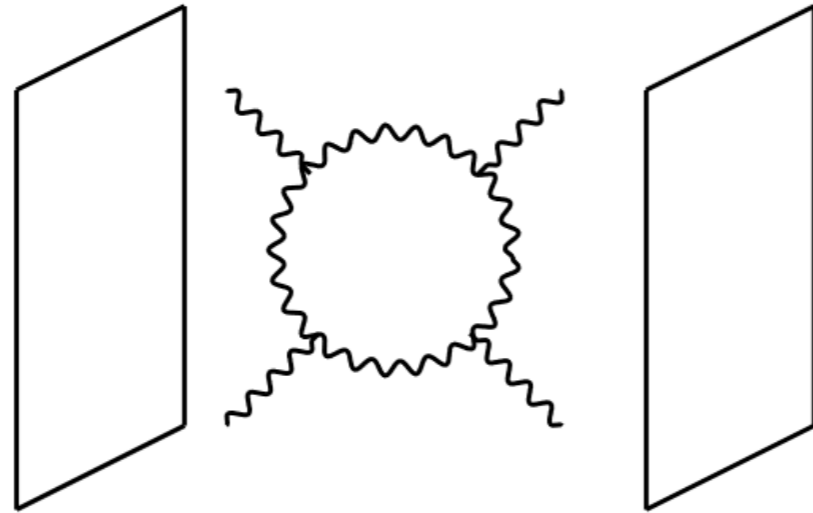
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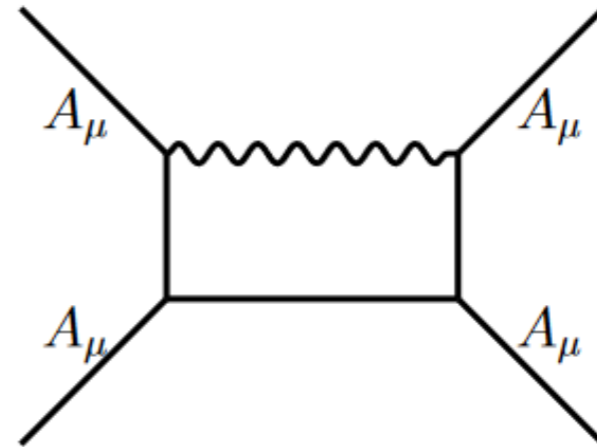
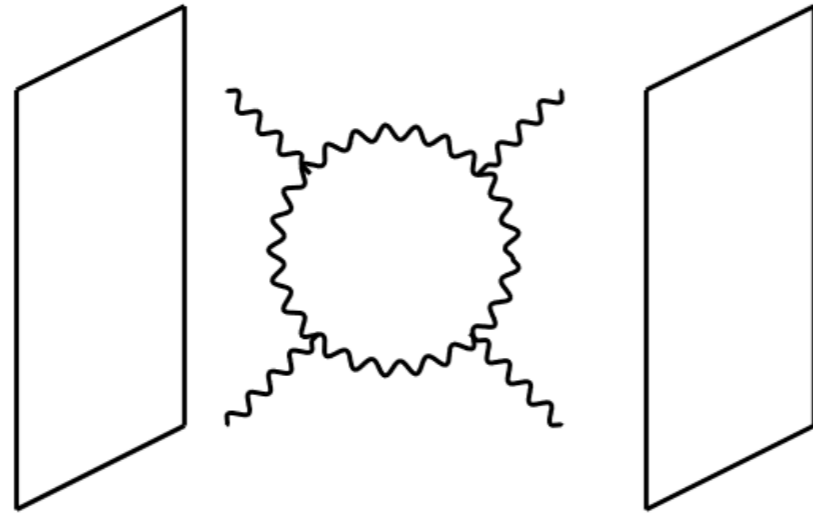
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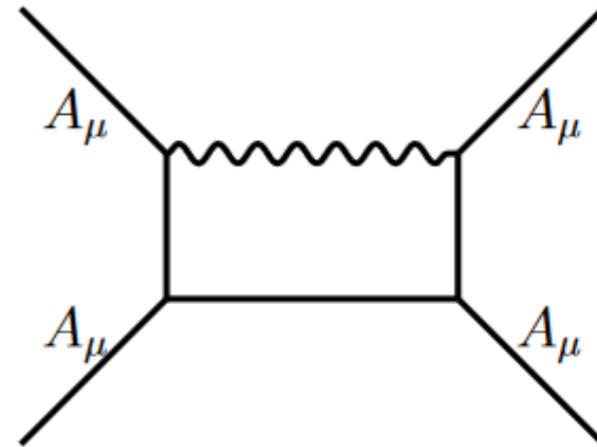
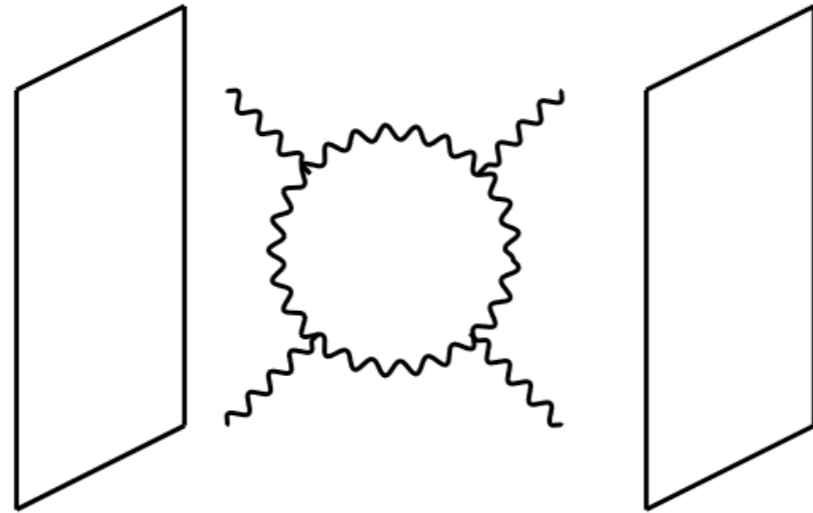
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Shenker-like Terms



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Shenker-like Terms

Note: Similar terms vanish in 10D HE

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- But Why? Dualities

Back to 9D: SO & Type I are S-Dual via  $g_{ho} \leftrightarrow g_I^{-1}$

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$$S_{9D}^I \supset \frac{r_I}{2^9 (2\pi)^6 4! \ell_I} \int d^9 x \sqrt{-G} \left( \frac{2\zeta(3)}{g_I^2} \right) t_8 t_8 R^4 + \dots$$

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satisfied by the real-analytic Eisenstein series  $E_s(\tau)$

s is determined by matching the perturbative part

# evidence for heterotic Shenker-like effects

- And Self-Duality

A 9D Theory we have left behind: M-theory on  $T^2 \leftrightarrow$  IIB on  $S^1$

$$S_{10D}^{IIB} \supset \frac{1}{\ell_{II}^2} \int d^{10}x \sqrt{-G} g_{IIB}^{-\frac{1}{2}} E_{\frac{3}{2}}(S) t_8 t_8 R^4$$

$S = C_0 + ig_{IIB}^{-1}$  is a complex scalar.  
Orientifolding to Type I projects out  $C_0$ ,  
leaving only  $g_s^{-1}$  in the other 9D theories

- From What?

## In Type I:

Non-BPS type I D-instantons. Responsible for  $O(32) \Rightarrow SO(32)$  [Witten, '98]

In T-dual IIA frame, these are D-particles winding around the orbifolded  $x^{11}$  direction [Dasgupta, Gaberdiel, Green, '00]

## In Heterotic: Unclear

# sketch of proof of theorem 1 (& similarly, 2)

*Proof:* The proof by contradiction – assume ① - ④ are true at  $(T_0, S_0)$

$$\partial_S V(T, S) = \frac{F_S}{W} V(T, S) + \left\{ e^{k(S, \bar{S})} |\Omega(S)|^2 |H(T)|^2 Z(T, \bar{T}) \right\} \partial_S A(S, \bar{S}) \Rightarrow \text{vanishes by } \textcircled{3}$$

$$\Rightarrow \partial_T^k \partial_{\bar{T}}^l \partial_S V(T_0, S_0) = 0 \quad \Rightarrow \text{Hessian is block diagonal}$$

To satisfy ①, introduce  $\Lambda > 0$  such that

$$V(T_0, S_0) = e^{k_0} |\Omega_0|^2 Z_0 \Lambda^4$$

which yields an expression for  $H_T(T_0)$ :

$$H_T(T_0) = \frac{3i}{2\pi} H_0 \hat{G}_2(T_0, \bar{T}_0) \pm \frac{\sqrt{3}i}{T_0 - \bar{T}_0} \left( \Lambda^2 \pm i \sqrt{|H_0|^2 (3 - A(S_0, \bar{S}_0))} \right)$$

$A(S_0, \bar{S}_0) = 0$  by (iii)

The 2nd condition in ② gives a (long) expression for  $H_{TT}(T_0)$

Plug these into the T-modulus sector of the Hessian:

$$\begin{aligned} \partial_t^2 V &= 2\partial_T \partial_{\bar{T}} V - 2\text{Re}(\partial_T^2 V) \\ (\partial_T \partial_{\bar{T}} V)_0 \propto -2\Lambda^4 < 0 &\Rightarrow \partial_a^2 V = 2\partial_T \partial_{\bar{T}} V + 2\text{Re}(\partial_T^2 V) \\ \partial_t \partial_a V &= -2\text{Im}(\partial_T^2 V) \end{aligned}$$

Cannot both be positive



dS minima not possible