

The BSM potential of rare kaon decays

Gino Isidori

[*University of Zürich*]

- ▶ Introduction
- ▶ The two flavor problems
- ▶ Flavor non-universal interactions
- ▶ The role of $K \rightarrow \pi \nu \nu$
 - ★ *Effective-theory approach*
 - ★ *A motivated BSM example*
- ▶ Other modes [*very incomplete...*]
- ▶ Conclusions



University of
Zurich^{UZH}



European Research Council
Established by the European Commission

► Introduction

There are several reasons why we think the SM must be extended at high energies:

Electroweak hierarchy problem

Flavor puzzle

U(1) charges

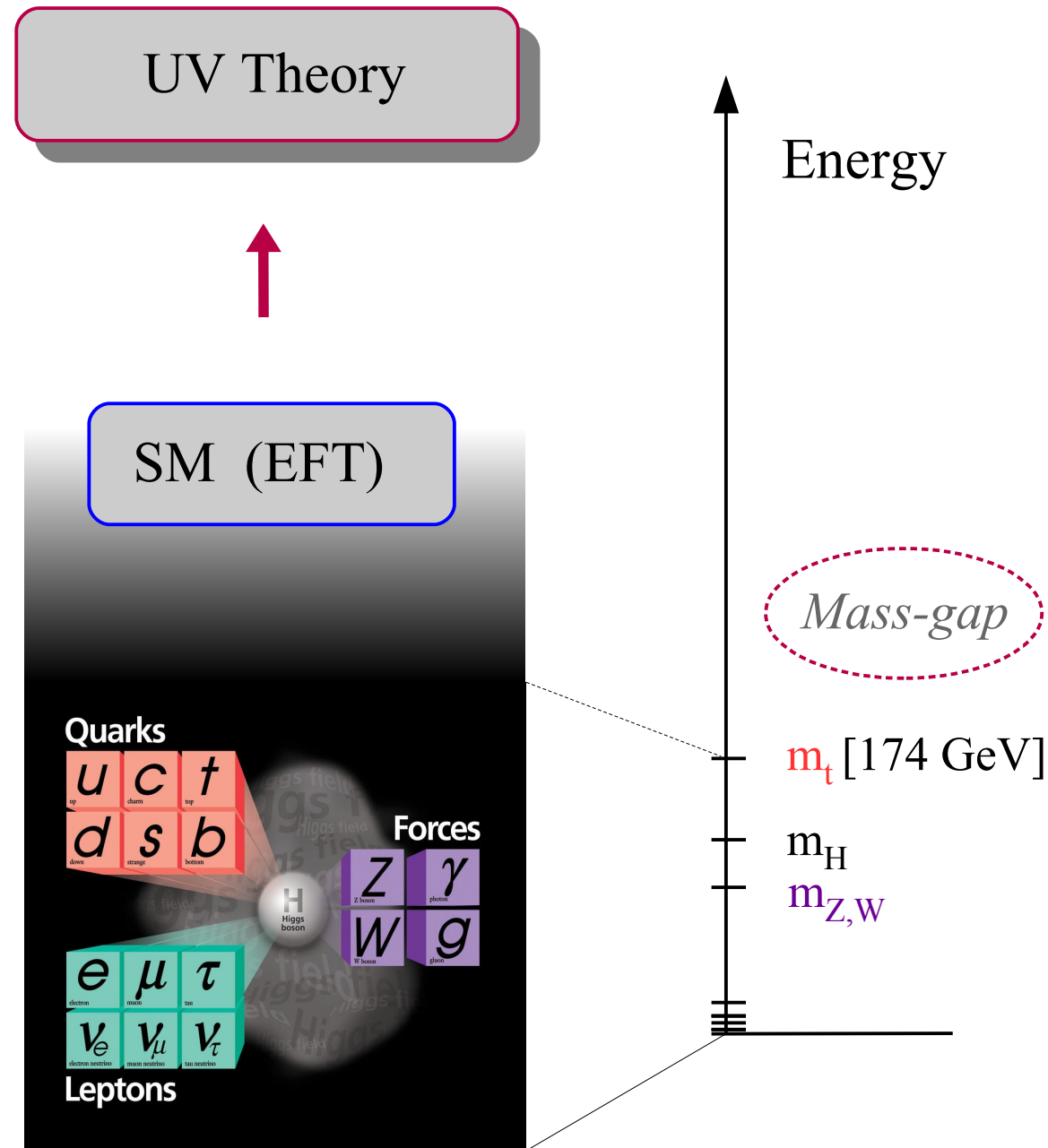
Neutrino masses

Dark-matter

Dark-energy

Inflation

Quantum gravity



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problem due to...

Electroweak hierarchy problem

→ *Instability of the Higgs mass term*

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→ *Ad hoc tuning in the model parameters*

Dark-matter

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→ *Cosmological implementation of the SM*

Quantum gravity

→ *General problem of any QFT*

...indicating

non-trivial properties of the SM Lagrangian if interpreted as EFT



Useful hints for its UV completion

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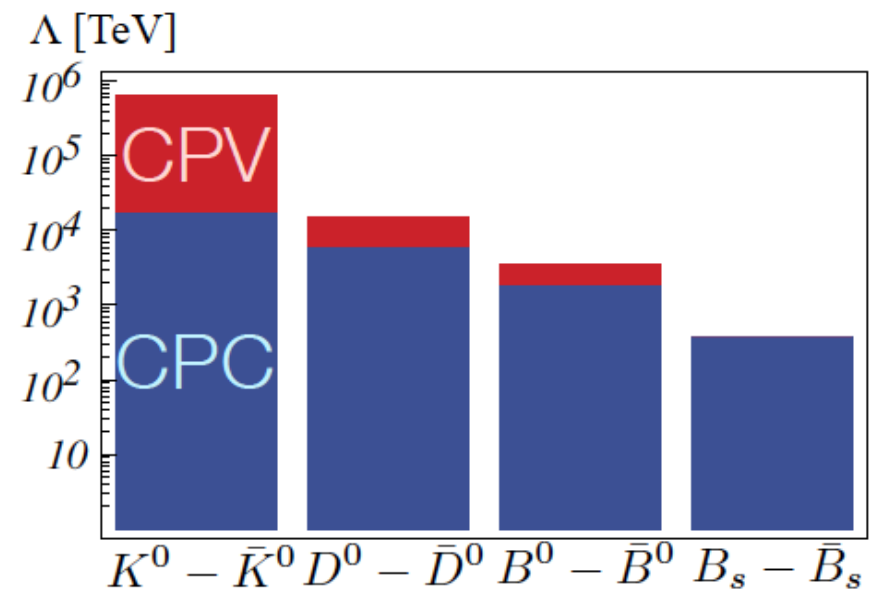


Useful hints for its UV completion

Key role played by future rare-K decay experiments in exploiting further these hints

The two flavor puzzles

$$Y_U \sim \begin{pmatrix} \square & \square & \square \\ & \square & \square \\ & & \blacksquare \end{pmatrix}$$



► *The two flavor puzzles*

There are two (long-standing) open issues in flavor physics:

- I. The observed pattern of SM Yukawa couplings does not look accidental

→ Is there a deeper explanation for this peculiar structures?

The SM flavor puzzle

- II. If the SM is only an effective theory, valid below an ultraviolet cut-off, why we do not see any deviation from the SM predictions in the (suppressed) flavor changing processes?

→ Which is the flavor structure of physics beyond the SM?

The NP flavor puzzle

► The two flavor puzzles

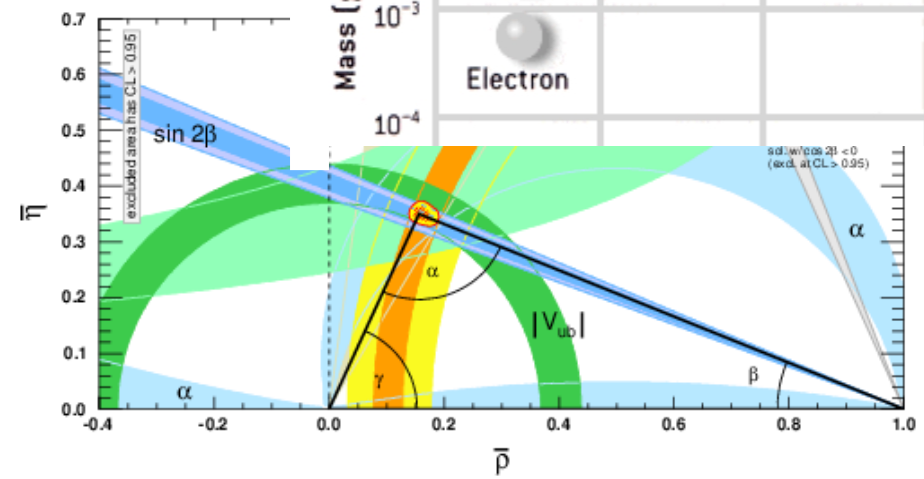
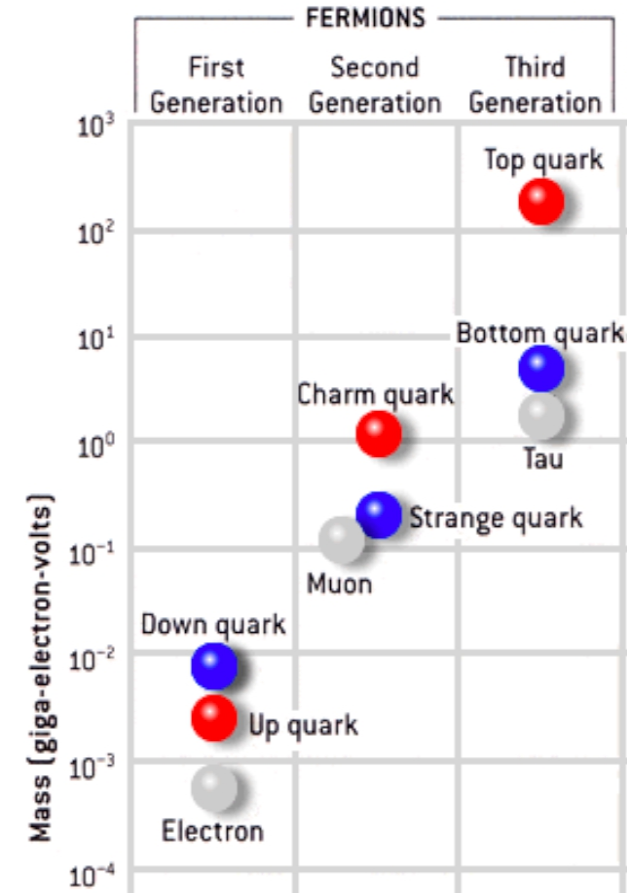
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$$Y_U \sim \begin{pmatrix} \square & \square & \square \\ \square & \square & \square \\ \blacksquare & \blacksquare & \blacksquare \end{pmatrix}$$

$$y_u = \frac{\sqrt{2} m_u}{\langle H \rangle} \approx 10^{-5} \qquad y_t = \frac{\sqrt{2} m_t}{\langle H \rangle} \approx 1$$

[Y_U in the basis where Y_D is diagonal]



► The two flavor puzzles

There are two (long-standing) open issues in flavor physics:

- I. The observed pattern of SM Yukawa couplings does not look accidental:

$$Y_U \sim \begin{pmatrix} \boxed{} & \boxed{} & 0.003 \\ < 0.01 & \boxed{} & 0.04 \\ \hline & & 1 \end{pmatrix} \leftarrow U(2)_q \quad \bar{Q}_L Y_U U_R H$$

$U(2)_u$ (indicated by a blue arrow pointing to the top-left 2x2 block)

What we observe in the Yukawa couplings is an approximate $U(2)^n$ symmetry acting on the light families

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$$\mathcal{L}_{\text{SM-EFT}} = \mathcal{L}_{\text{gauge}} + \mathcal{L}_{\text{Higgs}} + \sum_{d,i} \frac{c_i^{[d]}}{\Lambda^{d-4}} \mathcal{O}_i^{d \geq 5}$$

Large flavor symmetry

Flavor-degeneracy broken by the Yukawa interaction

Three identical replica of the basic fermion family
[$U(3)^5$ symmetry]

$$y_{ij} \psi_L^i \psi_R^j H \rightarrow m_{ij} \psi_L^i \psi_R^j$$

“Peculiar” breaking structure

Exact & approximate (*accidental* ?) symmetries

- Eg:
- $U(1)_{L_e} \times U(1)_{L_\mu} \times U(1)_{L_\tau} =$ (individual) Lepton Flavor [*exact symmetry*]
 - $m_u \approx m_d \approx 0 \rightarrow$ Isospin symmetry [*approximate symmetry*]

► The two flavor puzzles

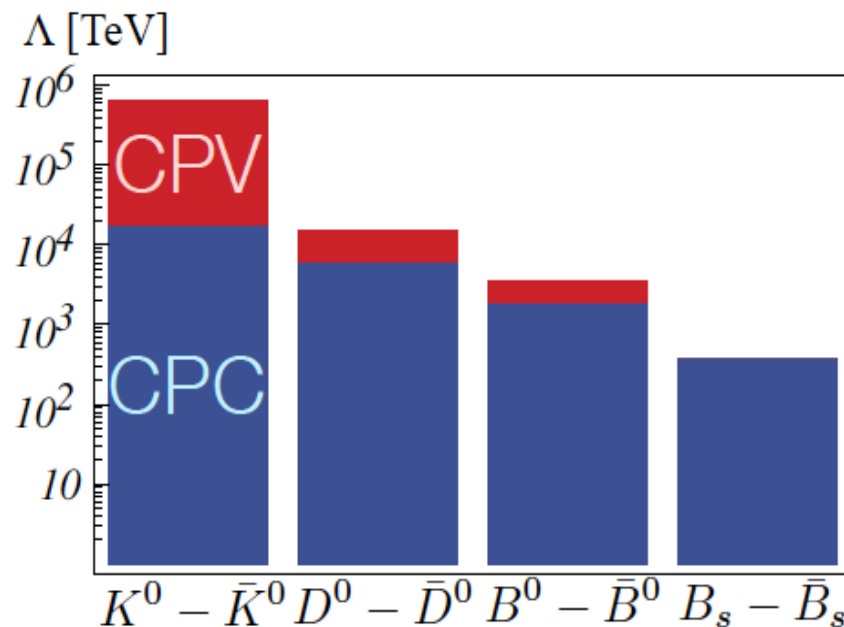
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In principle, we could expect many violations of the accidental symmetries from the heavy dynamics (\rightarrow *new flavor violating effects*). However, beside some anomalies in B-physics (*still unclear...*), we observe none.



Stringent bounds on the scale of possible new flavor non-universal interactions:

The NP flavor puzzle



N.B: These high scales can be a “mirage”
(= *artifact of the accidental symmetry*).

The only unambiguous message
of these bounds is:

No large breaking of the approximate
 $U(2)^n$ flavor symmetry
at near-by energy scales

► Accidental symmetries in QFT [a brief detour]

$$\mathcal{L}_{\text{SM-EFT}}^{\text{[SM-2]-EFT}} = \mathcal{L}_{\text{gauge}} + \mathcal{L}_{\text{Higgs}} + \sum_{d,i} \frac{c_i^{[d]}}{\Lambda^{d-4}} \mathcal{O}_i^{d \geq 5}$$

(long-distance interactions)
(local contact interact.)

Back in 1973: SM with 2 generations, as “reference model” → CP violation is an accidental symmetry [KM, '73]

But CP violation is observed in K mixing [→ remnant of “heavy NP”]

$\Lambda_{\text{CP}} \sim 10^4 \text{ TeV}$

Energy

Λ

enhanced symmetry

$$\frac{e^{i\delta}}{\Lambda_{\text{CP}}^2} (\bar{s} \Gamma d)^2$$

“Super-weak” interaction [L. Wolfenstein, '64]

► Accidental symmetries in QFT [a brief detour]

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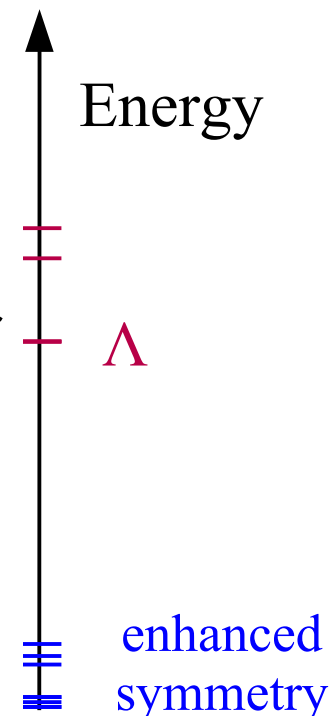
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$$\frac{e^{i\delta}}{\Lambda_{\text{CP}}^2} (\bar{s} \Gamma d)^2$$



SM-3
[KM, '73]

$$\frac{1}{\Lambda_{\text{CP}}^2} \sim \frac{(G_F m_t V_{ts} V_{td})^2}{4\pi^2}$$

Ellis, Gaillard,
Nanopoulos, '76

Key message: beware of seemingly high scales in EFT approaches: they can be a “mirage”...

► *The two flavor puzzles*

$$\mathcal{L}_{\text{SM-EFT}} = \mathcal{L}_{\text{gauge}} + \mathcal{L}_{\text{Higgs}} + \sum_{d,i} \frac{c_i^{[d]}}{\Lambda^{d-4}} \mathcal{O}_i^{d \geq 5}$$

Flavor-degeneracy:
 $U(3)^5$ symmetry

Yukawa couplings:
 $U(3)^5 \rightarrow (\sim) U(2)^n$
*peculiar breaking of
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Stringent bounds
on generic
flavor-violating ops.



approx. $U(2)^n$ holds
also beyond the SM

The big questions in flavor physics:

- Can we find an explanation for the Yukawa hierarchies?
- If the (residual) flavor symmetries are accidental symmetries, at which scale are they broken? Can be there multiple scales behind the origin of flavor?

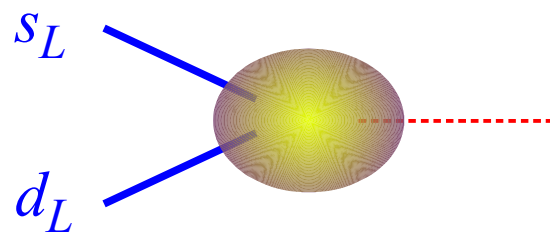
► The role or rare K decays

In this context Kaon physics plays a unique role:

Unique probe of flavor-symmetry breaking involving light families

The SM (approximate) accidental symmetries imply an extremely strong suppression for

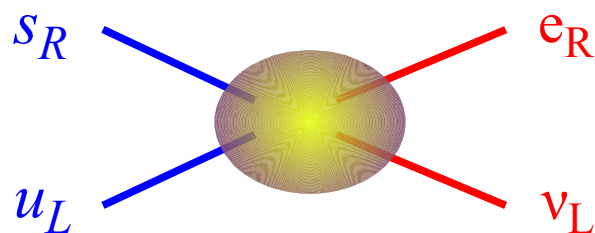
- $A(s_L \rightarrow d_L)_{\text{FCNC}}$ [probed precisely only by $B(K^+ \rightarrow \pi^+ \nu \bar{\nu})$]



$$A_{\text{SM}} \sim \frac{y_t^2 V_{ts}^* V_{td}}{16\pi^2 V_{us}} A(K \rightarrow \pi \nu \bar{\nu})$$

($\sim 1 \cdot 10^{-5}$)

- helicity-suppressed amplitudes, such as $A(s_R \rightarrow u_L e_R \nu_L)$ [probed by $R_{e/\mu}(K)$]



$$A_{\text{SM}} \sim \frac{y_e}{y_\mu} A(K \rightarrow \mu \nu)$$

($\sim 5 \cdot 10^{-3}$)

► *The role of rare K decays*

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The SM (approximate) accidental symmetries imply an extremely strong suppression for $A(s_L \rightarrow d_L)_{\text{FCNC}}$ [$\rightarrow B(K^+ \rightarrow \pi^+ \nu \nu)$] and helicity-suppressed amplitudes, such as $A(s_R \rightarrow u_L e_R \nu_L)$ [$\rightarrow R_{e/\mu}(K)$]

⊕

Unique probe of possible light, weakly coupled, new dynamics

Unique probe of some of the fundamental SM parameters

Ideal set-up for the “R&D” of theory tools about non pert. dynamics

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*Not covered
in this talk, despite
very interesting*

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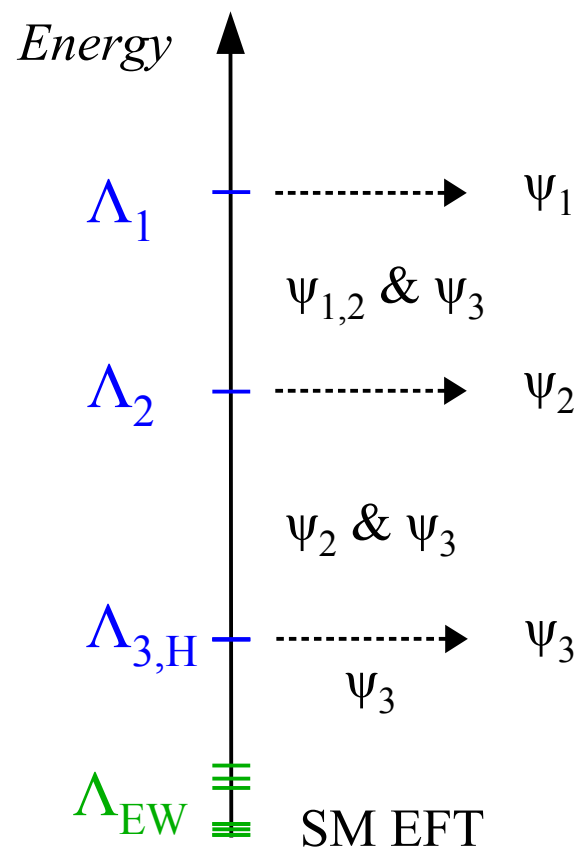
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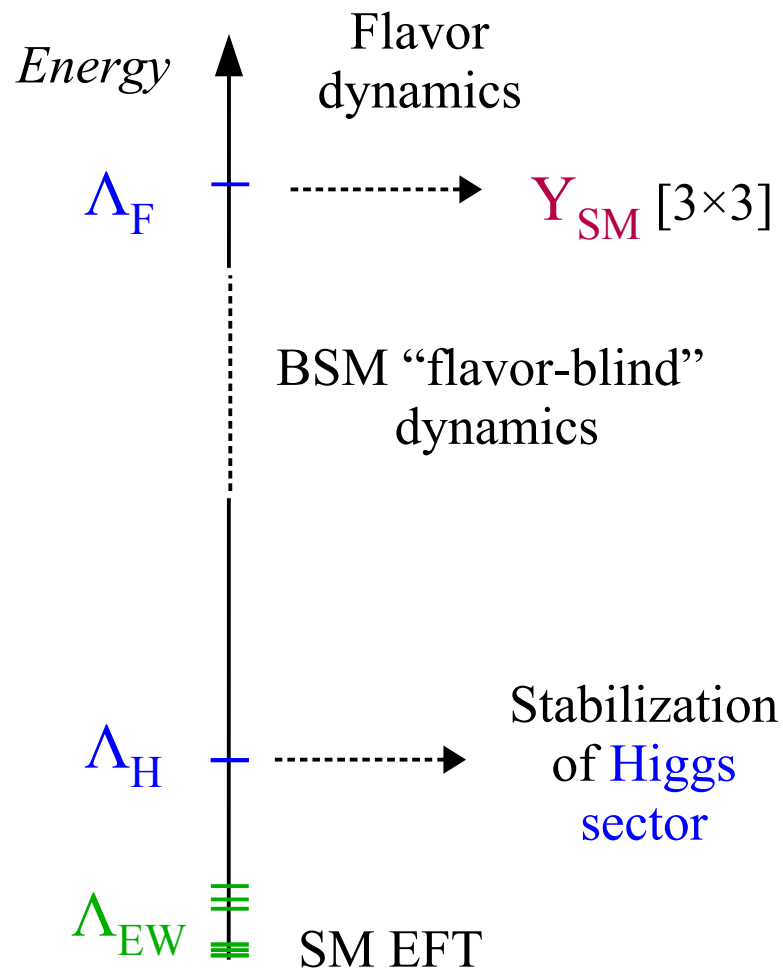
→ **Some (general) hypotheses needed to address these questions**

Flavor non-universal interactions



► Flavor non-universal interactions

For a long time, the vast majority of model-building attempts to extend the SM was based on the *implicit* hypotheses of *flavor-universal* New Physics



- Concentrate on the **Higgs hierarchy problem**
- Postpone **the flavor problem** to higher scales



The “MFV paradigm”

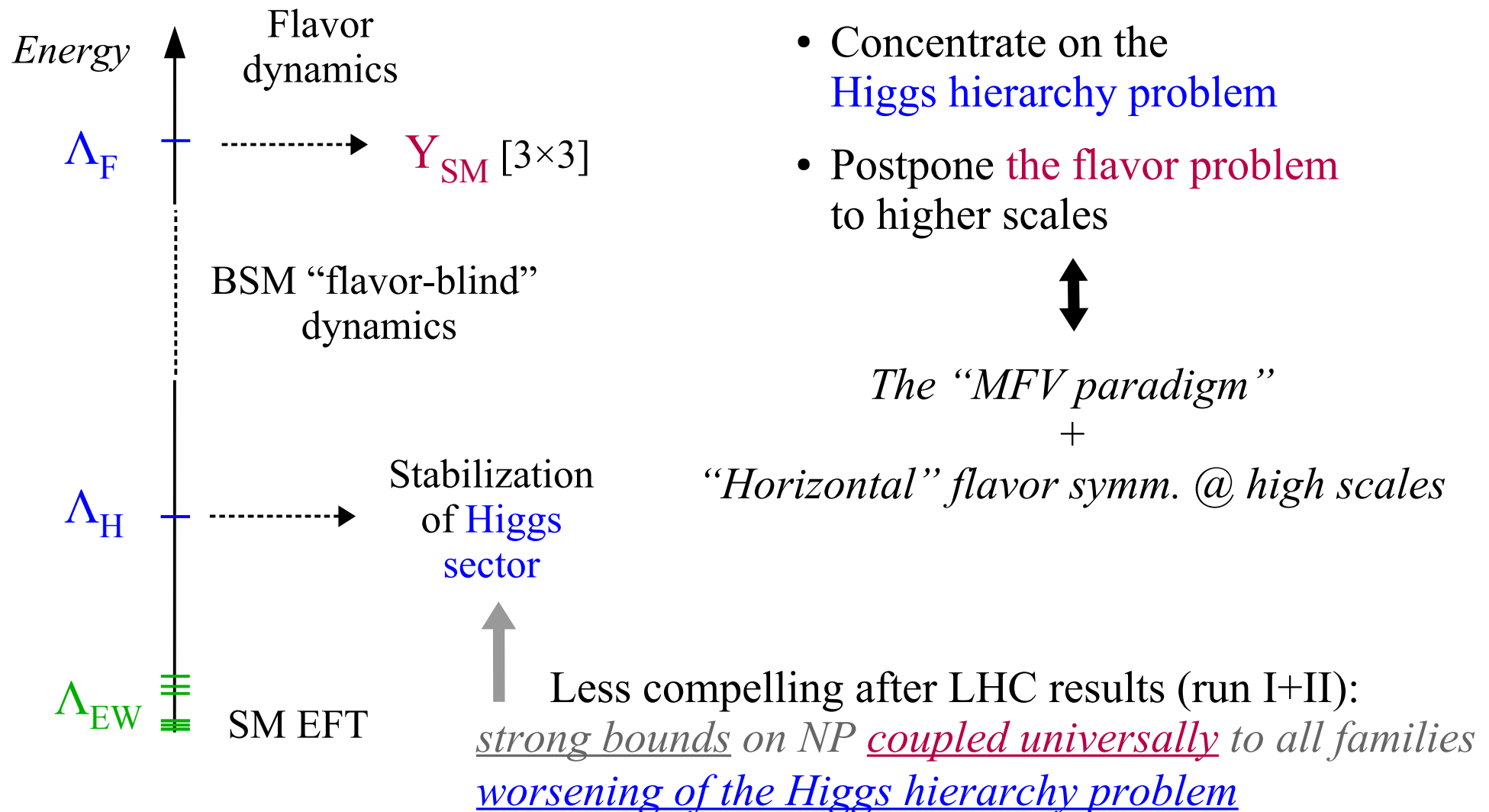
+

“Horizontal” flavor symm. @ high scales

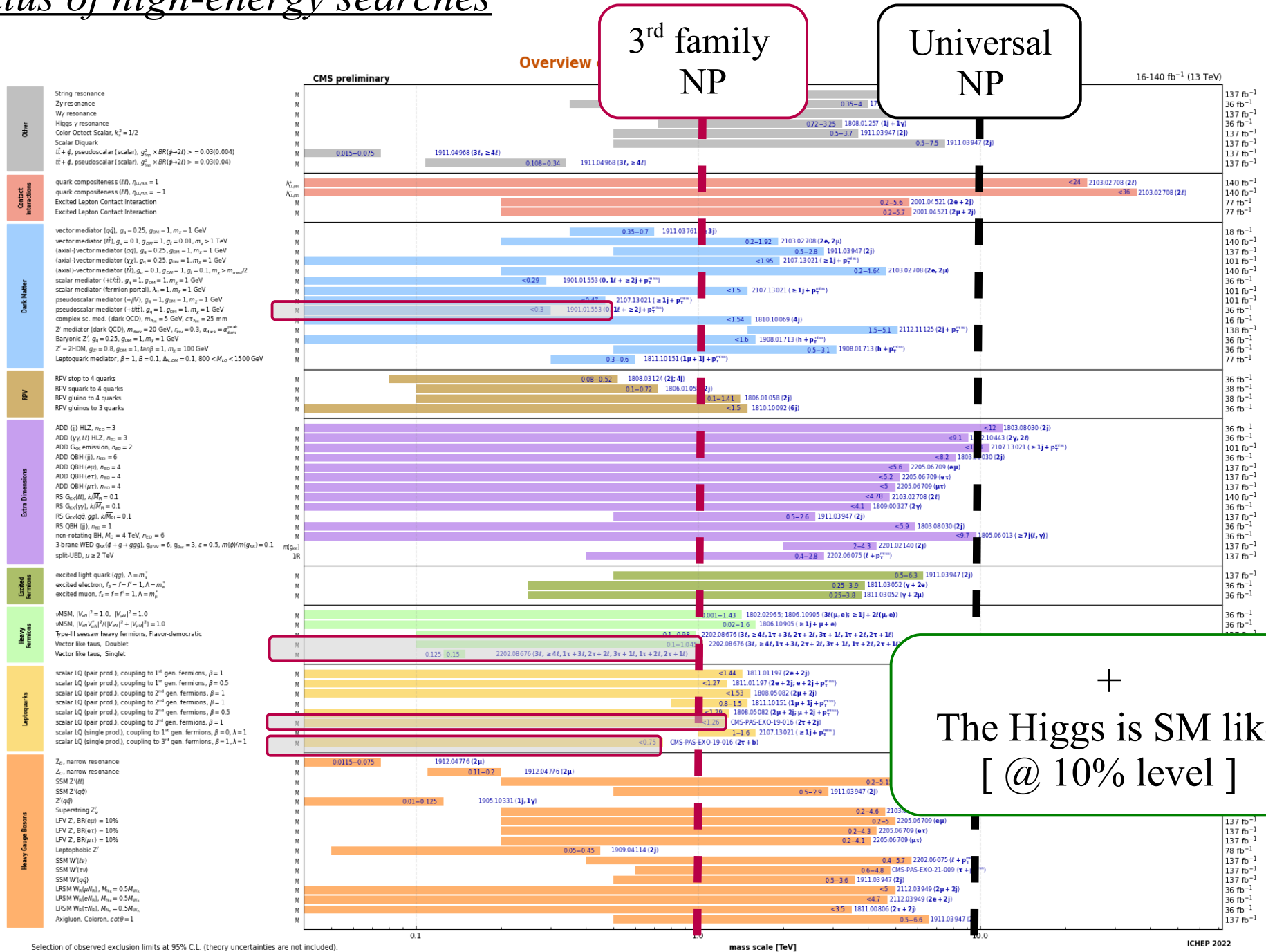
3 gen. = “identical copies”
up to high energies

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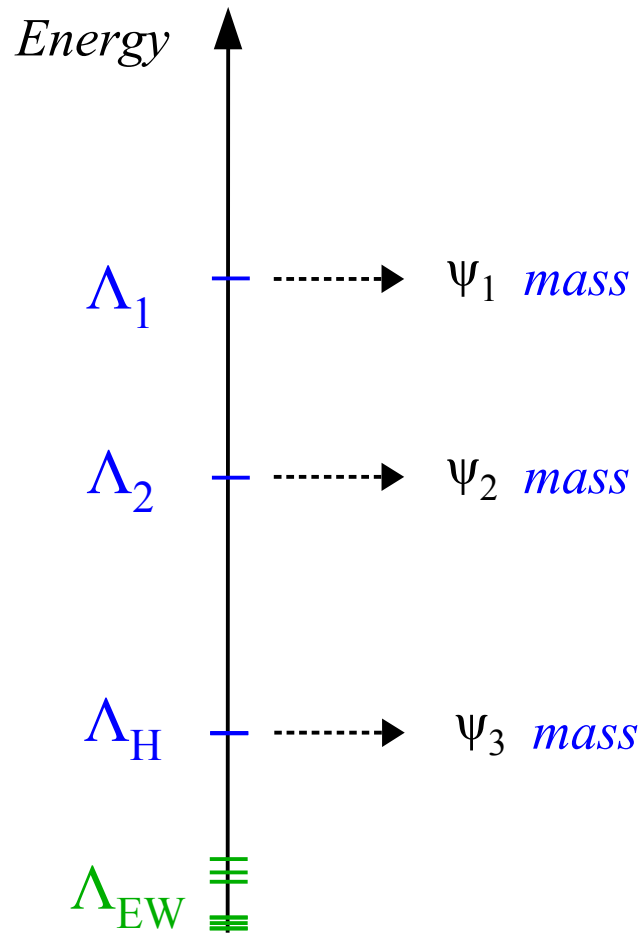


► Status of high-energy searches



► Flavor non-universal interactions

A more efficient paradigm to address both flavor puzzles (I+II), & *possibly* the Higgs hierarchy, is a multi-scale UV with flavor non-universal interactions



Dvali & Shifman '00
 Panico & Pomarol '16
 ⋮
 Bordone *et al.* '17
 Allwicher, GI, Thomsen '20
 Barbieri '21
 Davighi & G.I. '23

Basic idea:

- 1st & 2nd generations have small masses (+ small coupling to NP) because these are generated by **new dynamics at heavier scales**
- “flavor deconstruction” of the SM gauge symmetry → flavor hierarchies emerge as accidental symmetries



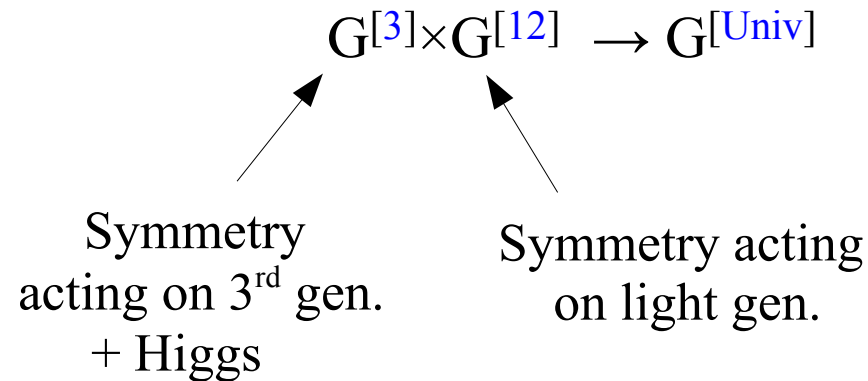
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★ “flavor deconstruction” of the SM gauge symmetries:

Last step of the symm.
breaking chain:
[@ few TeV]

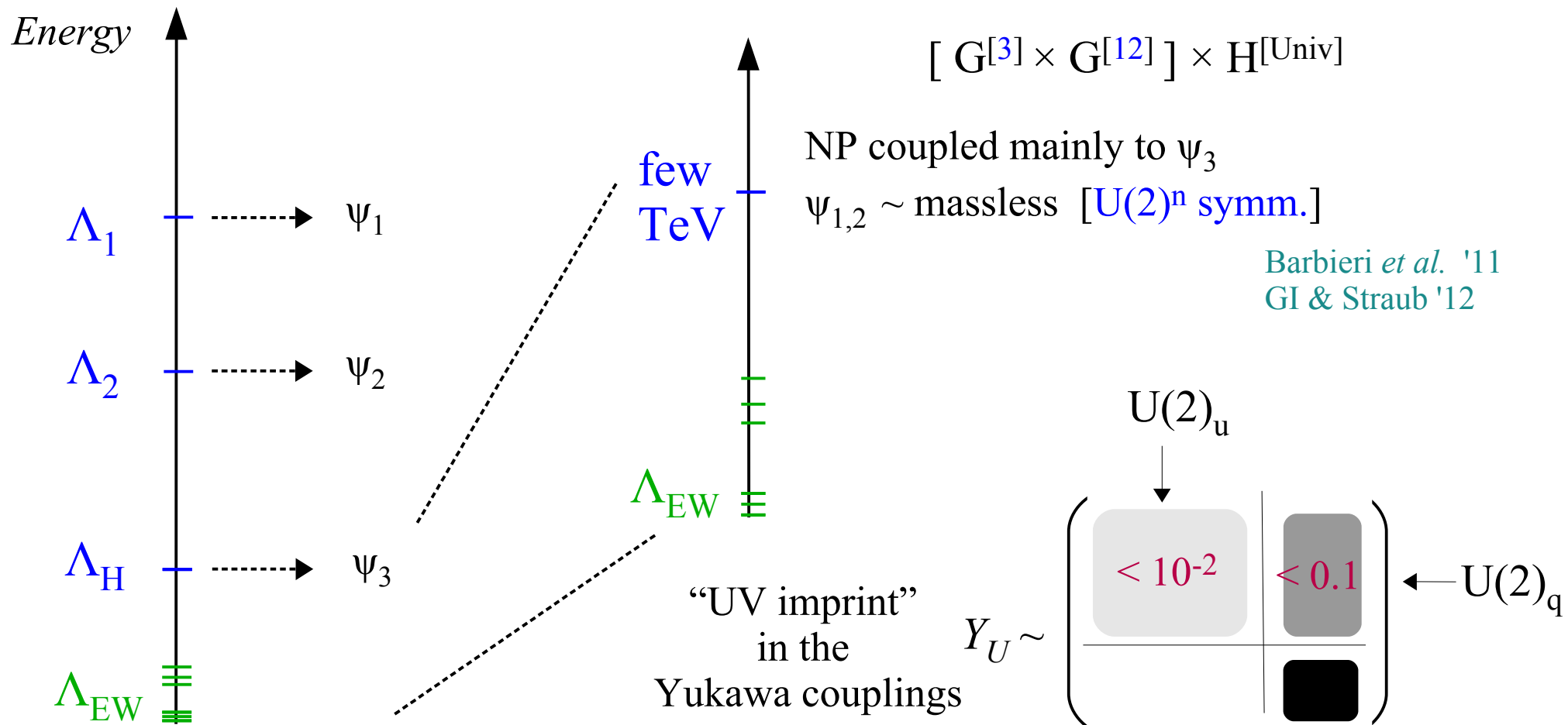


G = subset of
SM gauge

- ✓ This symmetry-breaking pattern is very general (*no need to tune couplings or potential*) → **flavor universality emerges “naturally” at low energies**
- ✓ Charging the Higgs under $G_{\text{SM}}^{[3]}$ → only Yukawa of the third generation are allowed → **“solution” of the SM flavor problem**
- ✓ $G_{\text{SM}}^{[12]}$ symmetry → **accidental $U(2)^n$ flavor symmetry** → protection of flavor-changing processes as effective as in MFV

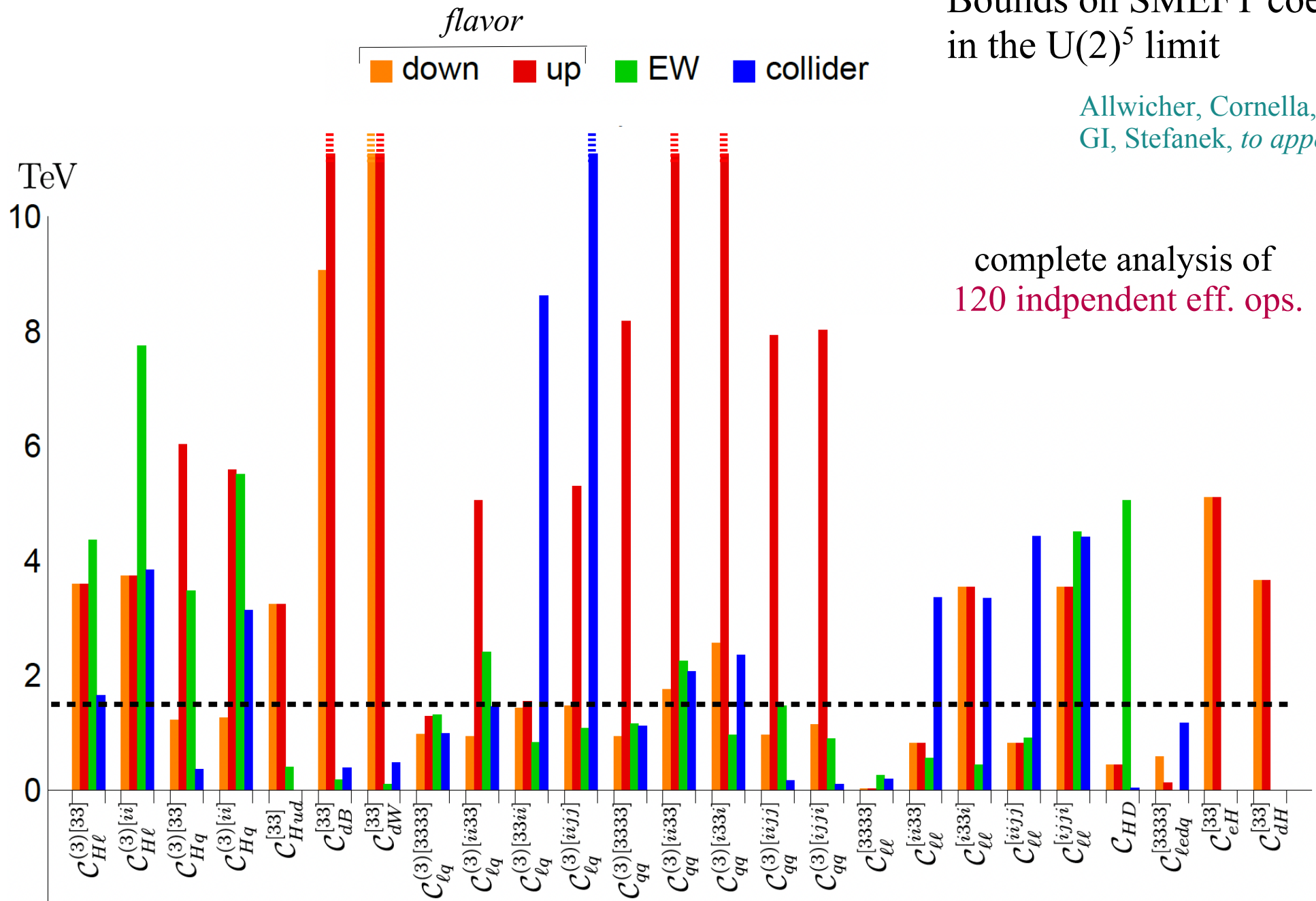
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Effective organizing principle for the **flavor structure** of the **SMEFT**

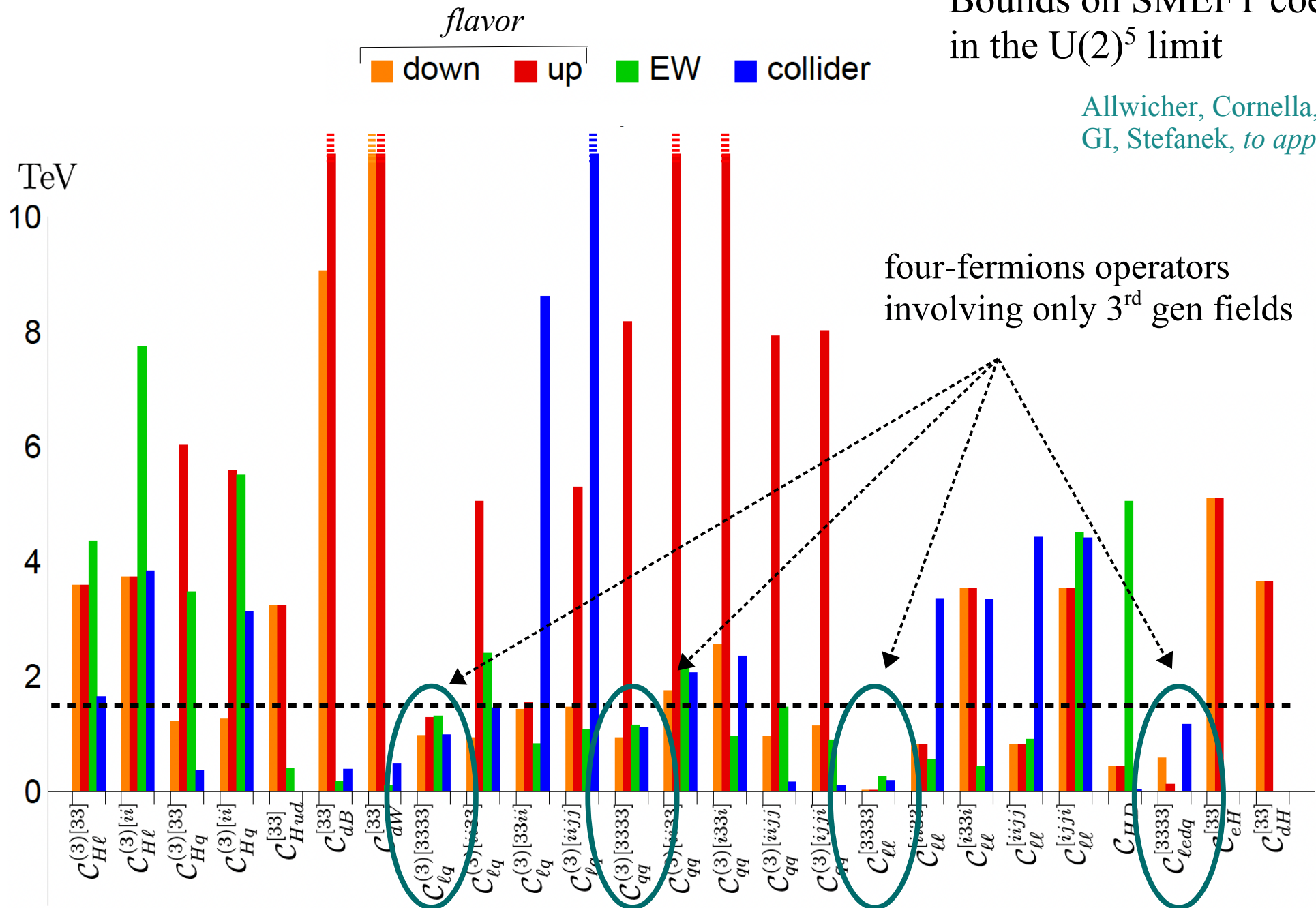
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Bounds on SMEFT coeff.
in the $U(2)^5$ limit

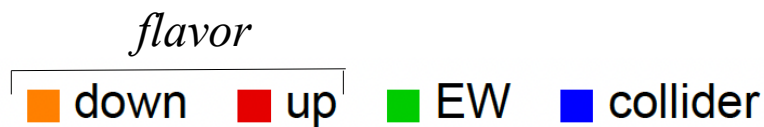
Allwicher, Cornella,
GI, Stefanek, *to appear*.



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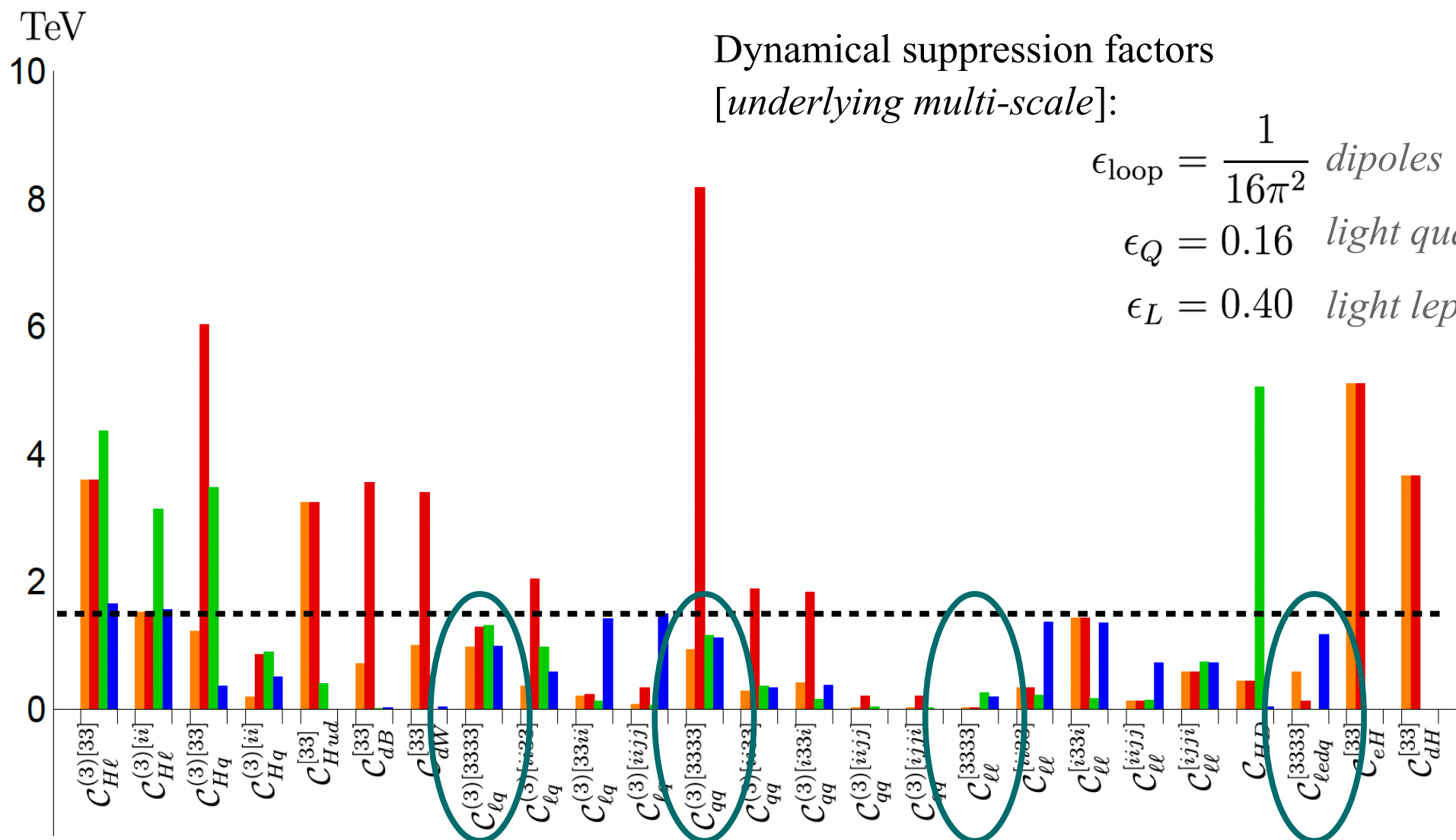


Dynamical suppression factors [underlying multi-scale]:

$$\epsilon_{\text{loop}} = \frac{1}{16\pi^2} \text{ dipoles}$$

$$\epsilon_Q = 0.16 \text{ light quarks}$$

$$\epsilon_L = 0.40 \text{ light leptons}$$

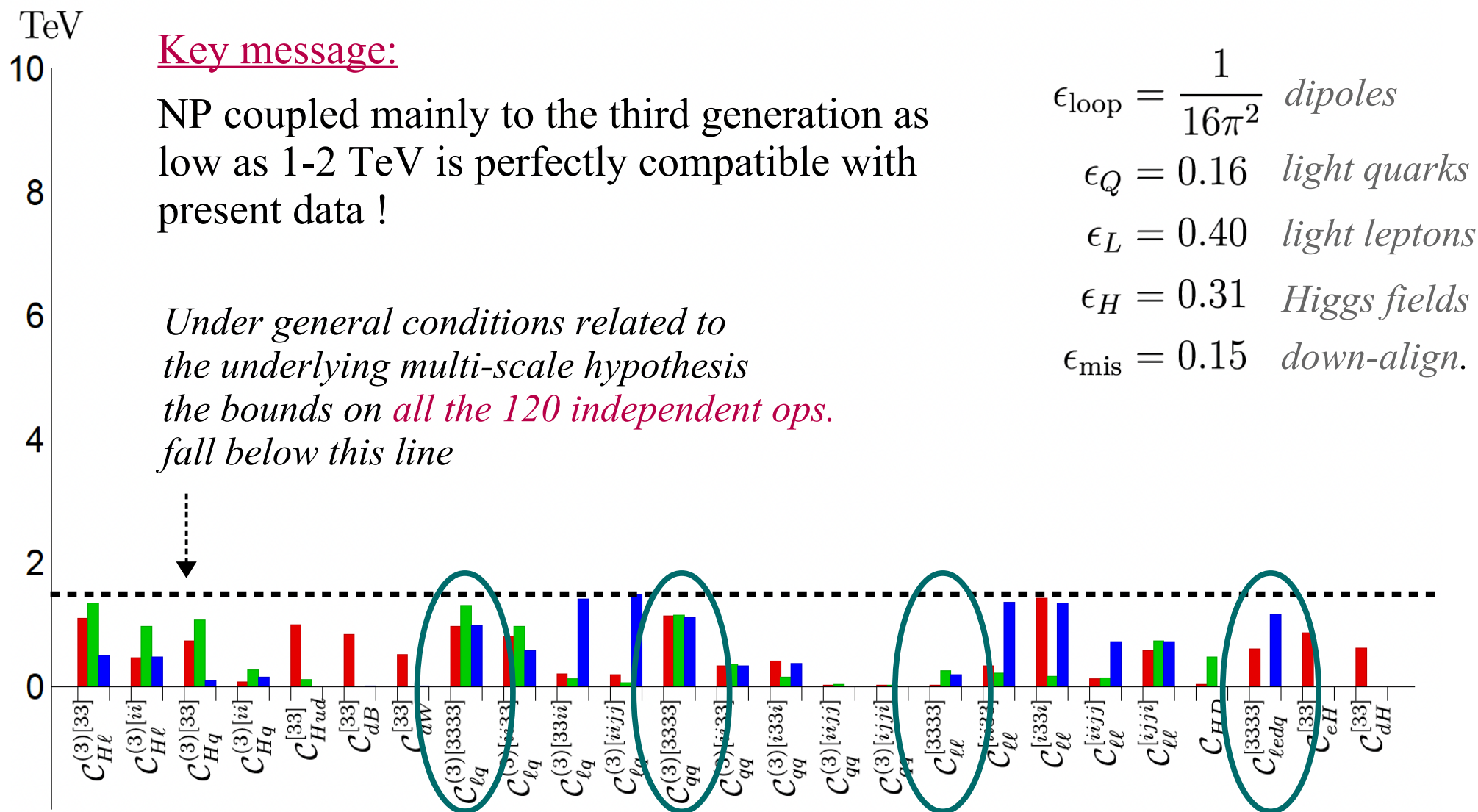


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■ flavor ■ EW ■ collider



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Key message:

NP coupled mainly to the third generation as low as 1-2 TeV is perfectly compatible with present data !

$$\epsilon_{\text{loop}} = \frac{1}{16\pi^2} \text{ dipoles}$$

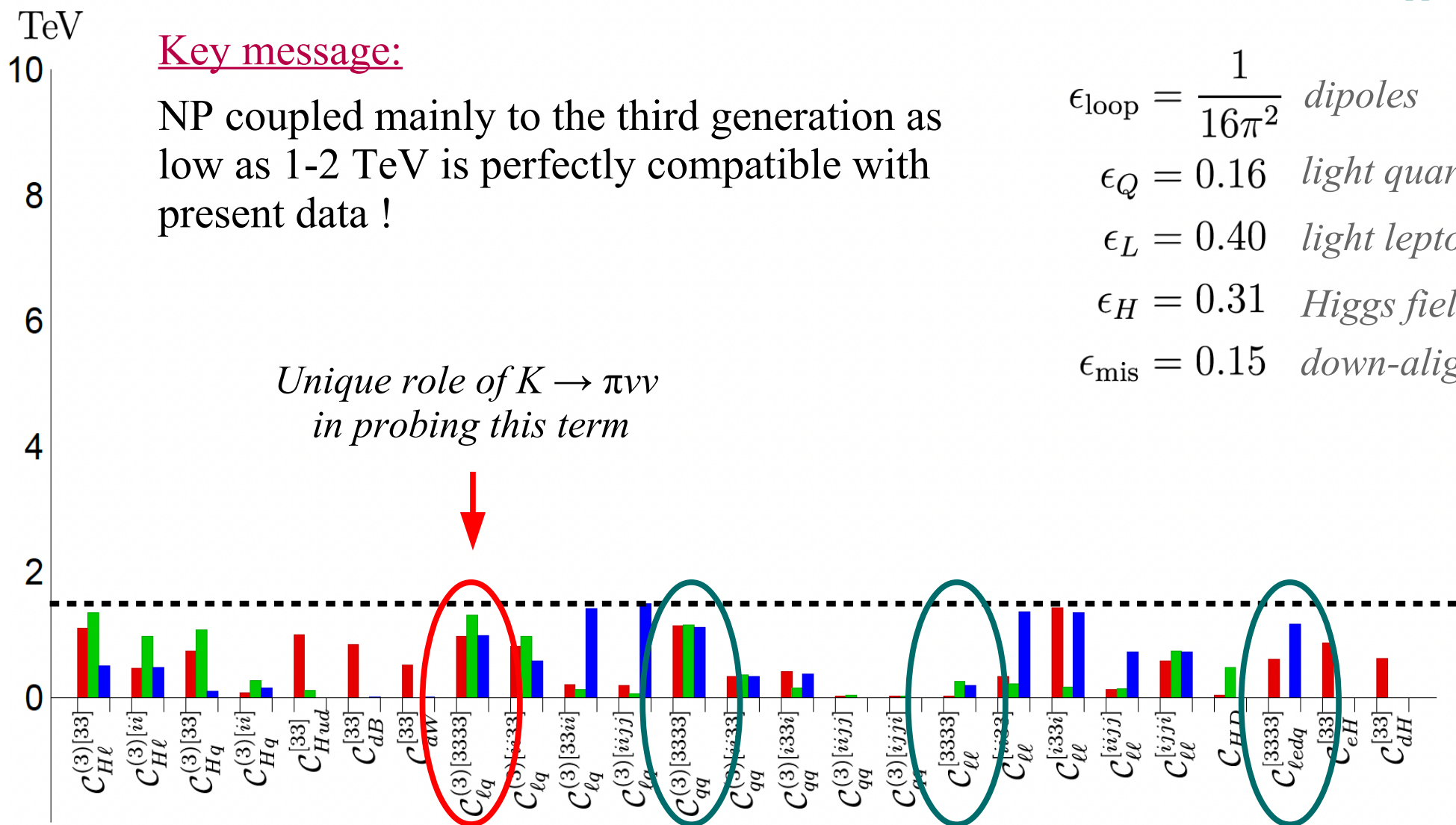
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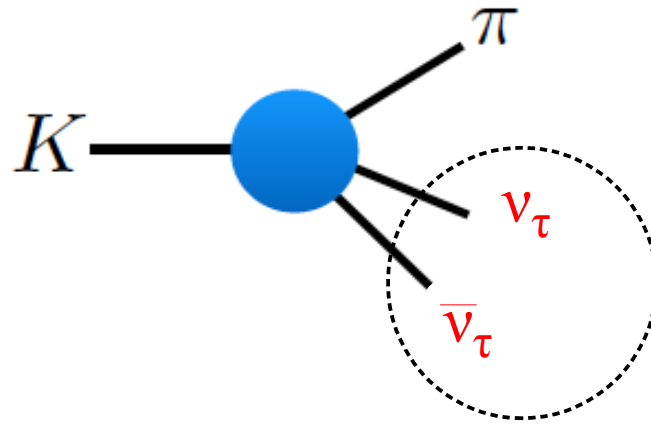
$$\epsilon_H = 0.31 \text{ Higgs fields}$$

$$\epsilon_{\text{mis}} = 0.15 \text{ down-align.}$$

Unique role of $K \rightarrow \pi\nu\nu$ in probing this term



The role of $K \rightarrow \pi \nu \bar{\nu}$



► The role of $K \rightarrow \pi\nu\nu$

$$B(K^+ \rightarrow \pi^+ \nu\nu)_{\text{SM}} = (8.60 \pm 0.42) \times 10^{-11} \quad \text{Buras et al. '15, '21}$$

Th. error with sizable parametric component
 [Lattice, CKM, m_c] → will go down to $\lesssim 3\%$

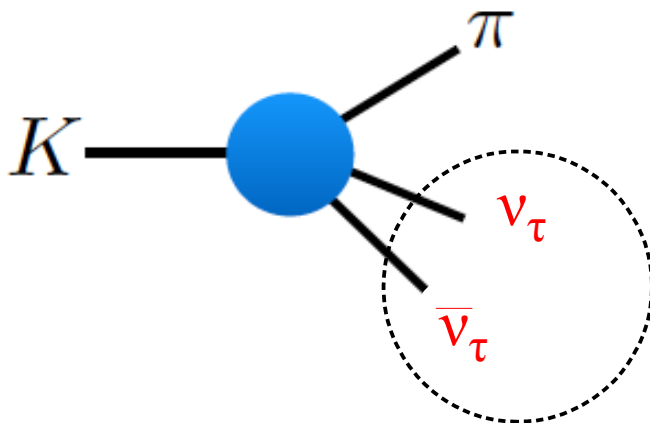
→ Juttner, Sachrajda, et al. '15

$$\Gamma(K \rightarrow \pi\nu\nu) = \Gamma(K \rightarrow \pi\nu_e\bar{\nu}_e) + \Gamma(K \rightarrow \pi\nu_\mu\bar{\nu}_\mu) + \Gamma(K \rightarrow \pi\nu_\tau\bar{\nu}_\tau)$$

SM like

few %
 deviation
 as in $b \rightarrow s\mu\mu$

O(1) deviations
 in models with TeV-scale
 NP coupled mainly to 3rd gen.



Explicit examples discussed in:

Marzocca, Trifinopoulos, Venturini '21
 Crosas, GI, Lizana, Selimovic Stefanek, '22

...

► The role of $K \rightarrow \pi\nu\nu$

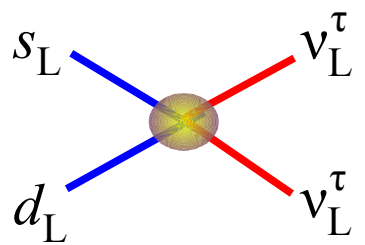
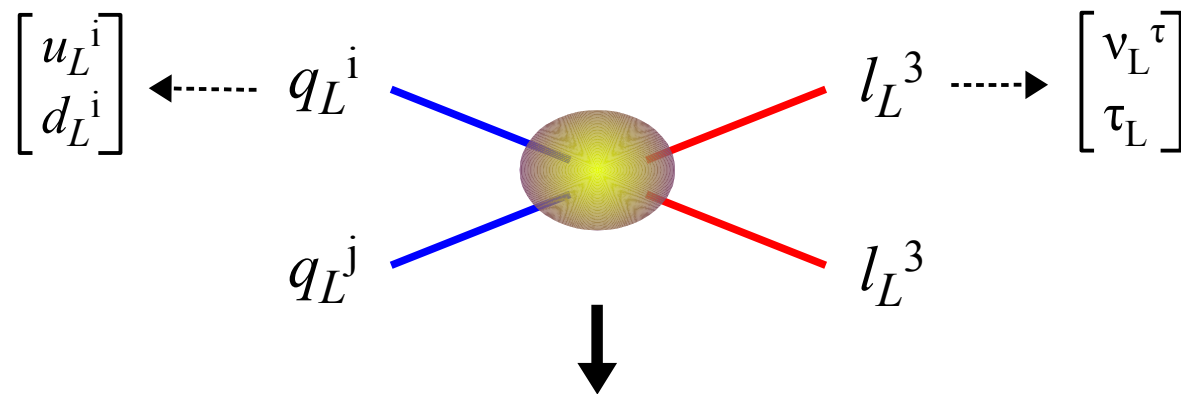
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$$\text{B}(K^+ \rightarrow \pi^+ \nu\nu)_{\text{exp}} = (10.6 \pm 4.0) \times 10^{-11} \quad \text{NA62 [2016+2017+2018]}$$

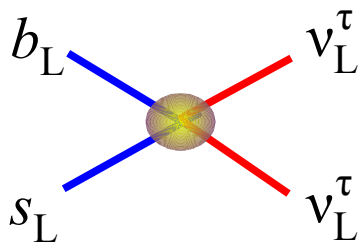
$$\text{B}(K_L \rightarrow \pi^0 \nu\nu)_{\text{SM}} = (3.0 \pm 0.3) \times 10^{-11} \quad \text{Buras et al. '15}$$

$$\text{B}(K_L \rightarrow \pi^0 \nu\nu)_{\text{exp}} < 3.6 \times 10^{-9} \quad \text{KOTO '19}$$

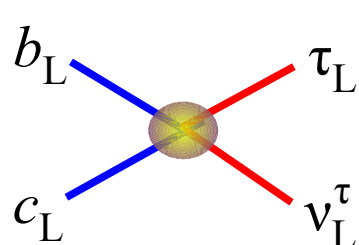
► Effective-theory approach



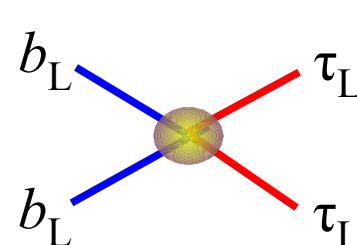
$B(K^+ \rightarrow \pi^+ \nu \bar{\nu})$



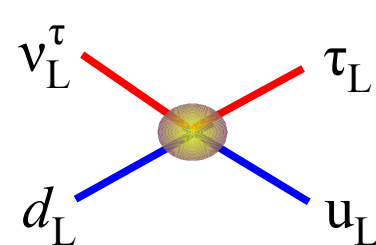
$B(B^+ \rightarrow K^+ \nu \bar{\nu})$



$R[D^{(*)}]$

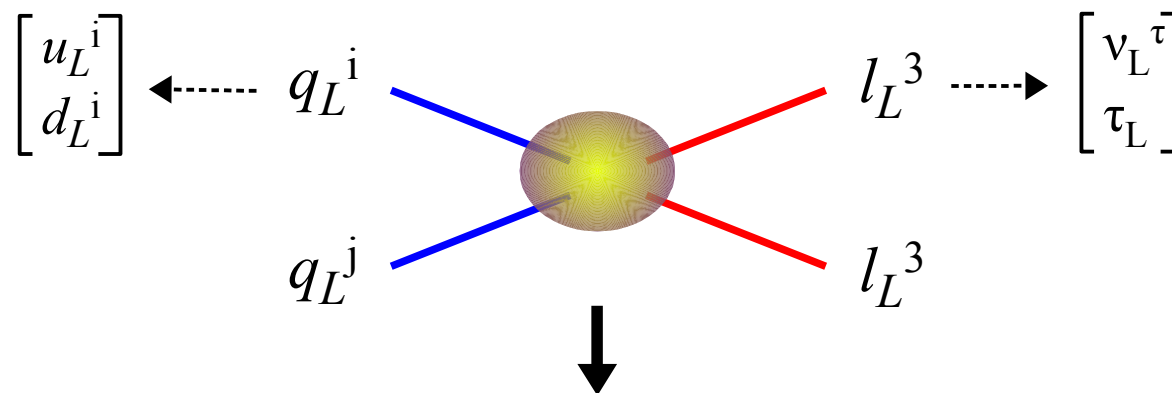


$\sigma(pp \rightarrow \tau\tau)$



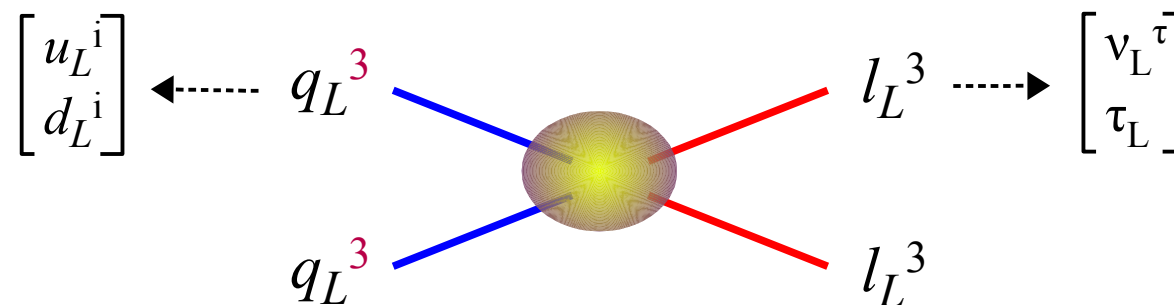
$\sigma(\nu^\tau N \rightarrow N' \tau)$

► Effective-theory approach



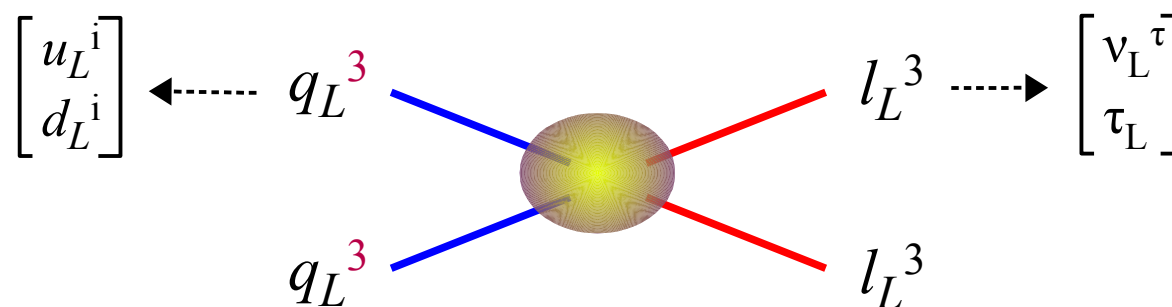
$B(K^+ \rightarrow \pi^+ \nu \nu)$	$B(B^+ \rightarrow K^+ \nu \nu)$	$R[D^{(*)}]$	$\sigma(pp \rightarrow \tau \tau)$	$\sigma(\nu^\tau N \rightarrow N' \tau)$
Now [NA62]: $\Lambda > 95$ TeV	Now [Belle-II]: $\Lambda > 6.4$ TeV	Now [HFLAV]: $\Lambda > 2.7$ TeV	Now [ATLAS]: $\Lambda > 1.2$ TeV	Now: –
$\delta B=5\%$ [HIKE]: $\Lambda > 270$ TeV	$50ab^{-1}$ [Belle-II]: $\Lambda > 18$ TeV	$50ab^{-1}$ [Belle-II]: $\Lambda > 6.0$ TeV	$3ab^{-1}$ [HL-LHC]: $\Lambda > 1.7$ TeV	$\delta\sigma=5\%$ [future ?]: $\Lambda > 0.75$ TeV

► Effective-theory approach



$C \times V_{ts} V_{td} $	$C \times V_{ts} $	$C \times V_{cb} $	C	$C \times V_{ub} V_{td} $
$B(K^+ \rightarrow \pi^+ \nu \bar{\nu})$	$B(B^+ \rightarrow K^+ \nu \bar{\nu})$	$R[D^{(*)}]$	$\sigma(pp \rightarrow \tau \tau)$	$\sigma(\nu^\tau N \rightarrow N' \tau)$
Now [NA62]: $\Lambda > 1.7 \text{ TeV}$ $\delta B = 5\%$ [HIKE]: $\Lambda > 4.7 \text{ TeV}$	Now [Belle-II]: $\Lambda > 1.3 \text{ TeV}$ 50 ab^{-1} [Belle-II]: $\Lambda > 3.6 \text{ TeV}$	Now [HFLAV]: $\Lambda > 0.6 \text{ TeV}$ 50 ab^{-1} [Belle-II]: $\Lambda > 1.2 \text{ TeV}$	Now [ATLAS]: $\Lambda > 1.2 \text{ TeV}$ 3 ab^{-1} [HL-LHC]: $\Lambda > 1.7 \text{ TeV}$	Now: – $\delta \sigma = 5\%$ [future ?]: –

► Effective-theory approach

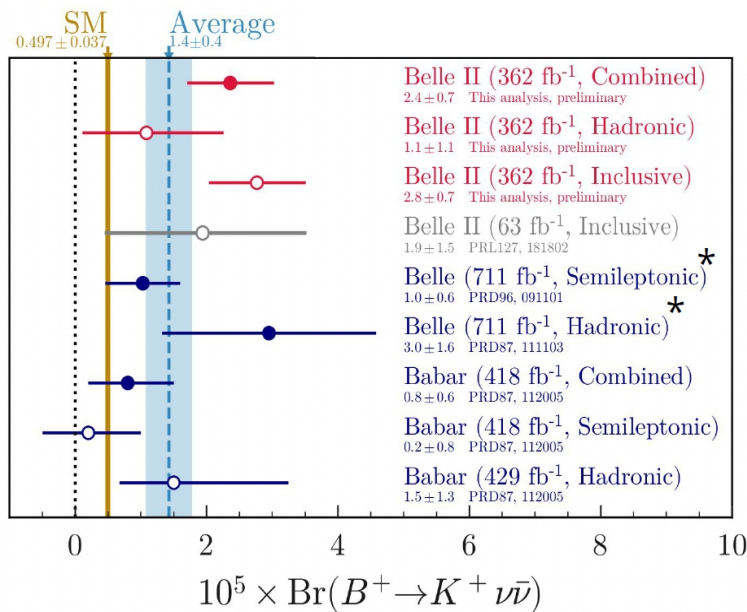
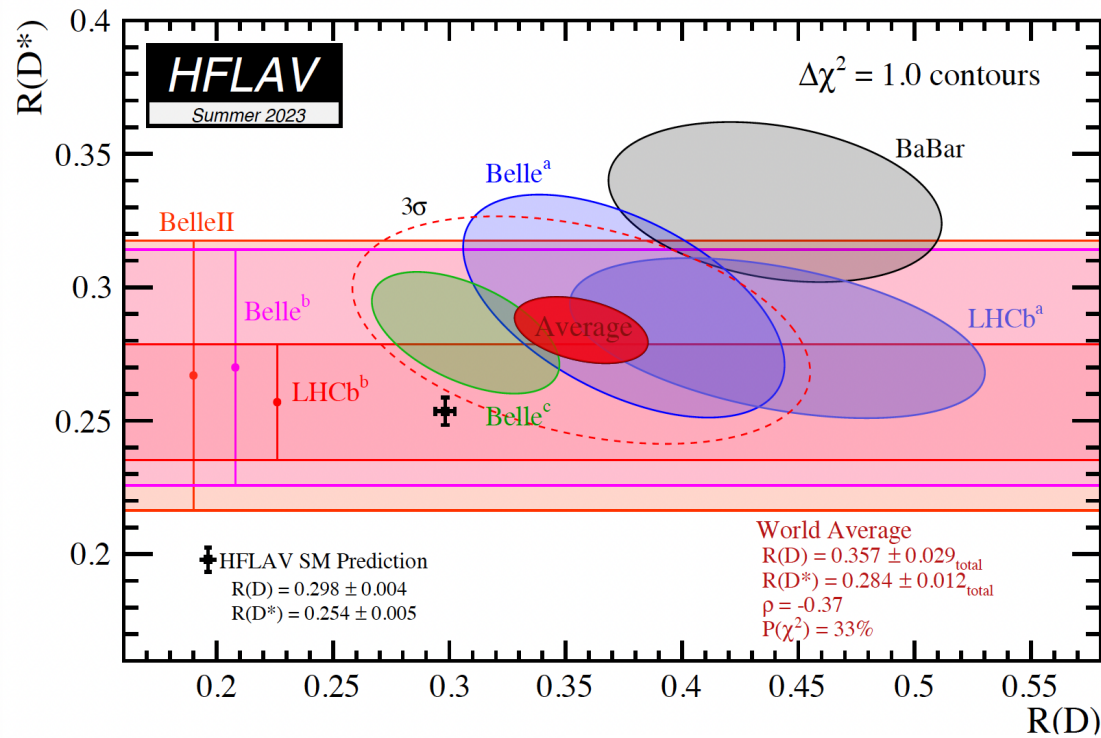


$C \times V_{ts} V_{td} $	$C \times V_{ts} $	$C \times V_{cb} $	C	$C \times V_{ub} V_{td} $
$B(K^+ \rightarrow \pi^+ \nu \nu)$	$B(B^+ \rightarrow K^+ \nu \nu)$	$R[D^{(*)}]$	$\sigma(pp \rightarrow \tau \tau)$	$\sigma(\nu^\tau N \rightarrow N' \tau)$

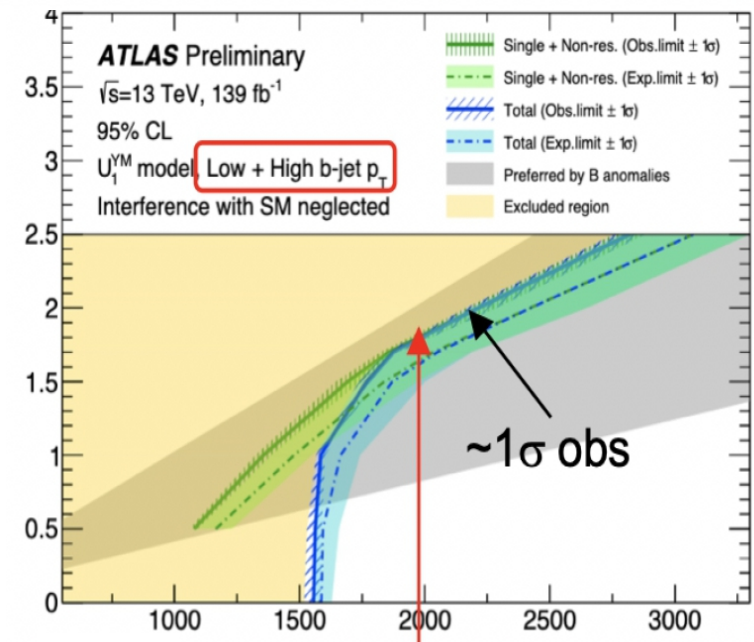
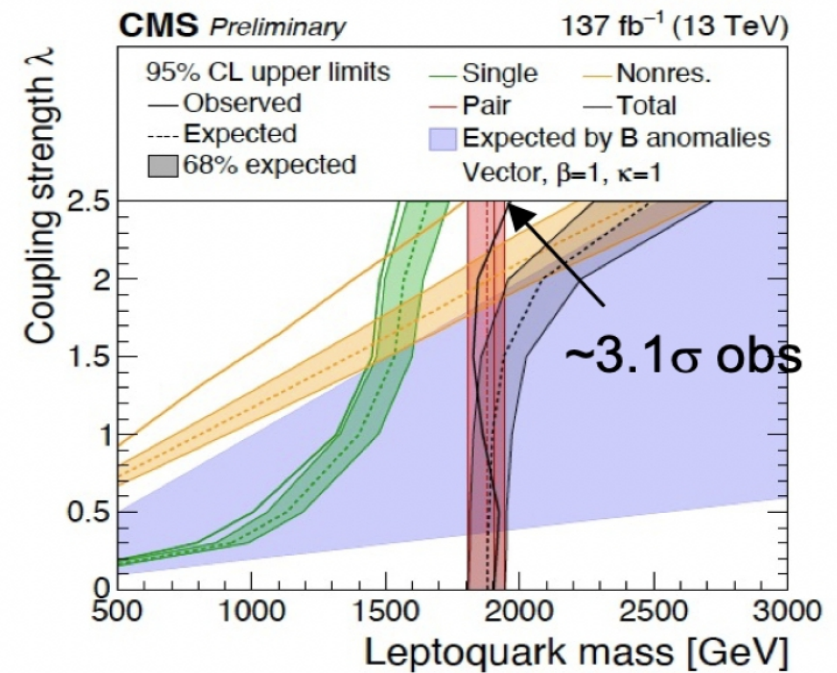
↓
excess over SM prediction

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excess over SM prediction

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excess over SM prediction

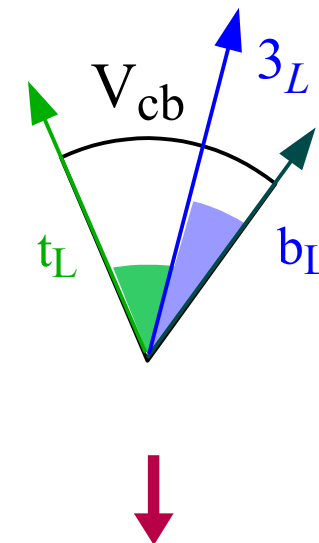
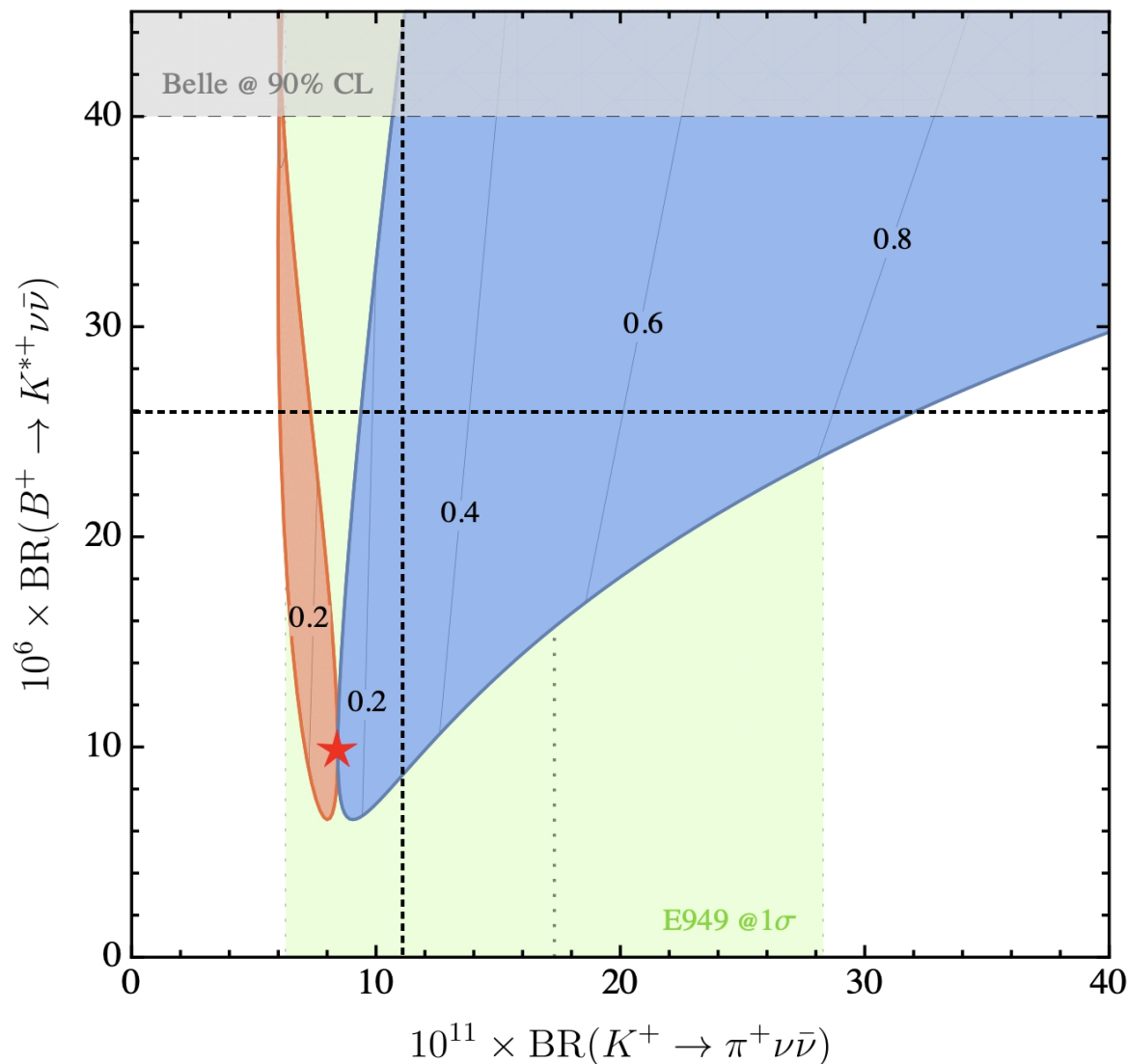


$\sigma(pp \rightarrow \tau\tau)$



► Effective-theory approach

In models with NP coupled mainly to the 3rd gen. a key aspect in comparing flavor-conserving vs. flavor-violating processes is the orientation in flavor space [alignment *of the 3rd gen.*]

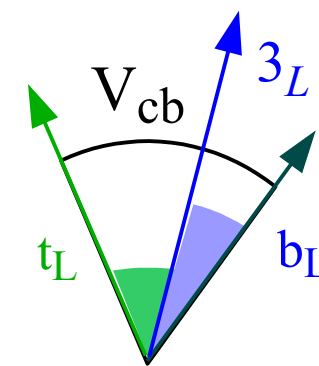
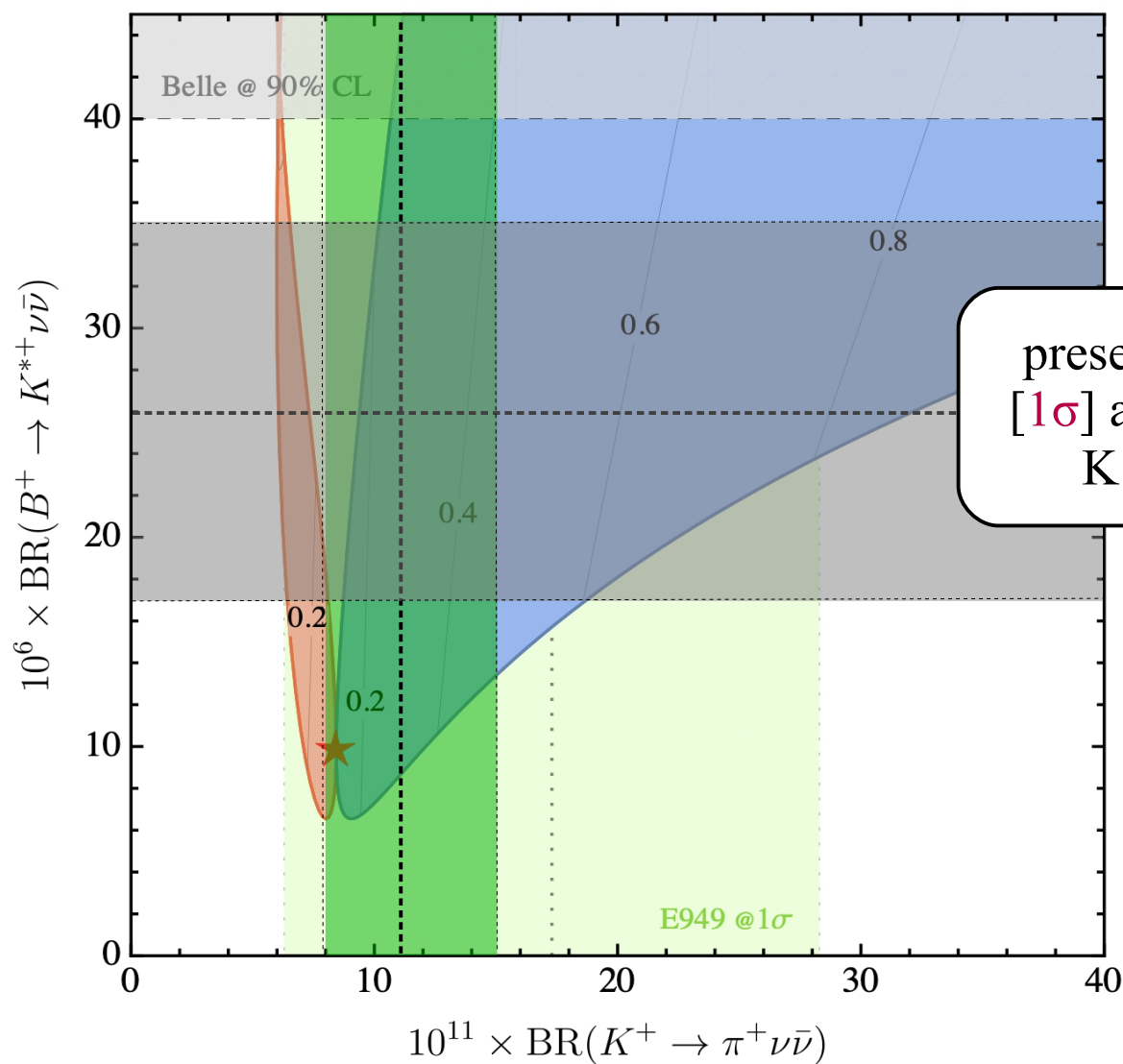


$B(K^+ \rightarrow \pi^+ \nu \bar{\nu})$ vs. $B(B \rightarrow K^{(*)} \nu \bar{\nu})$
provide a clean direct constraint
on this key parameter

Bordone, Buttazzo, GI, Monnard '16

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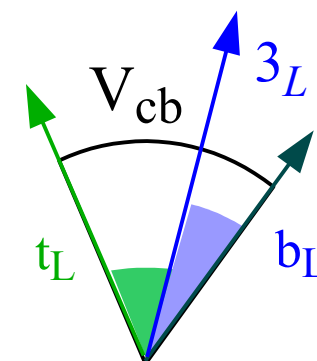
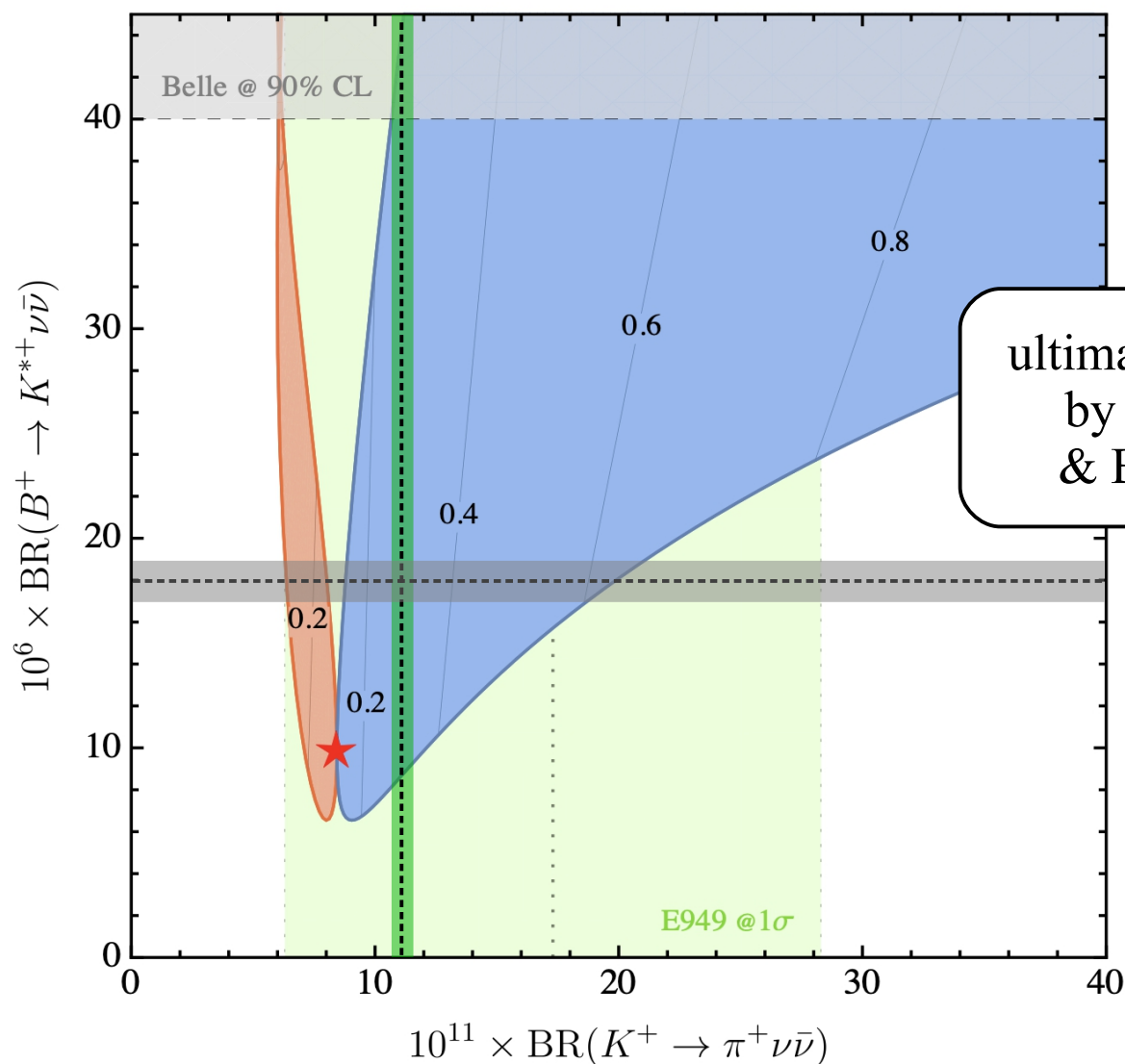


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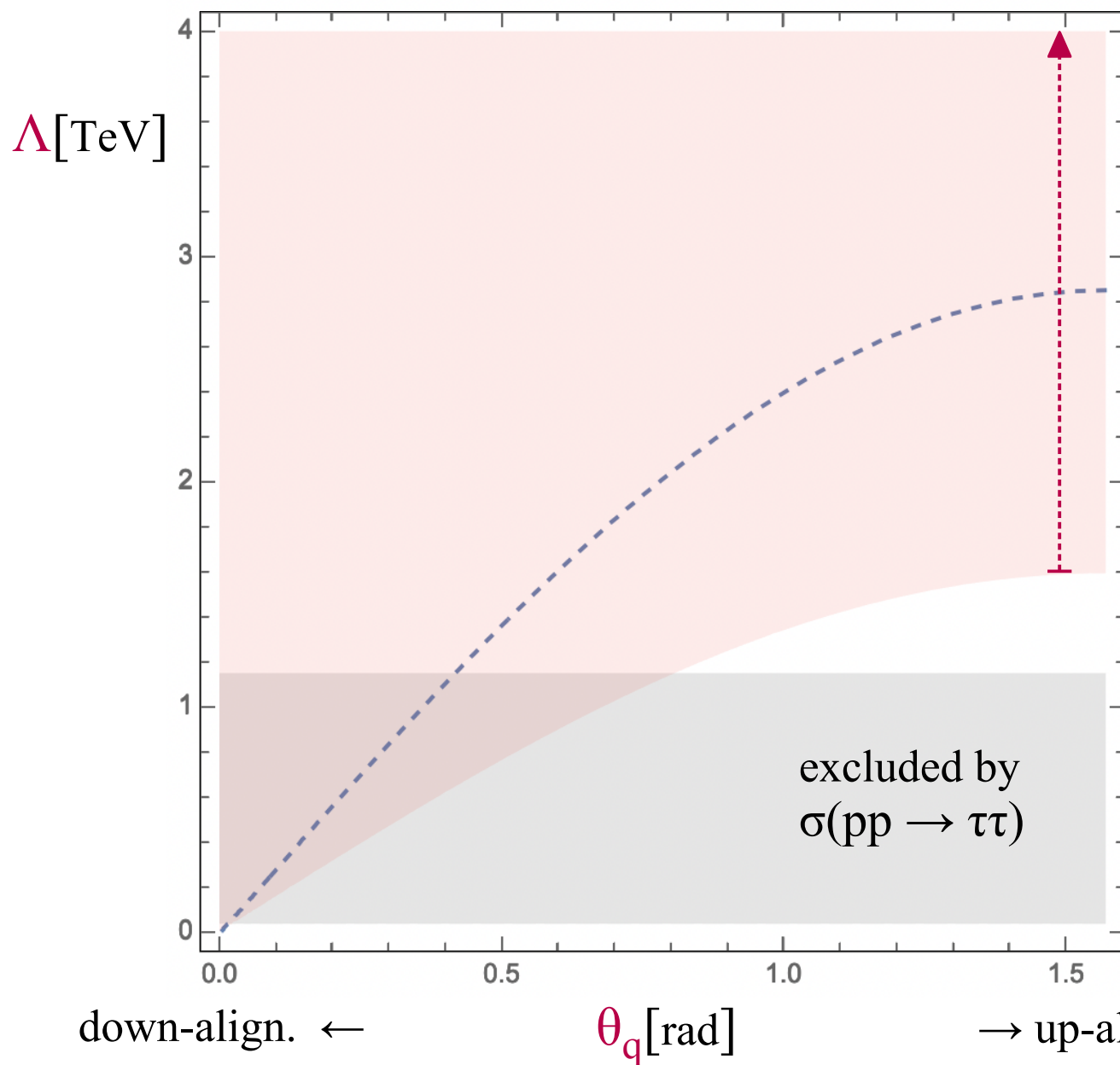
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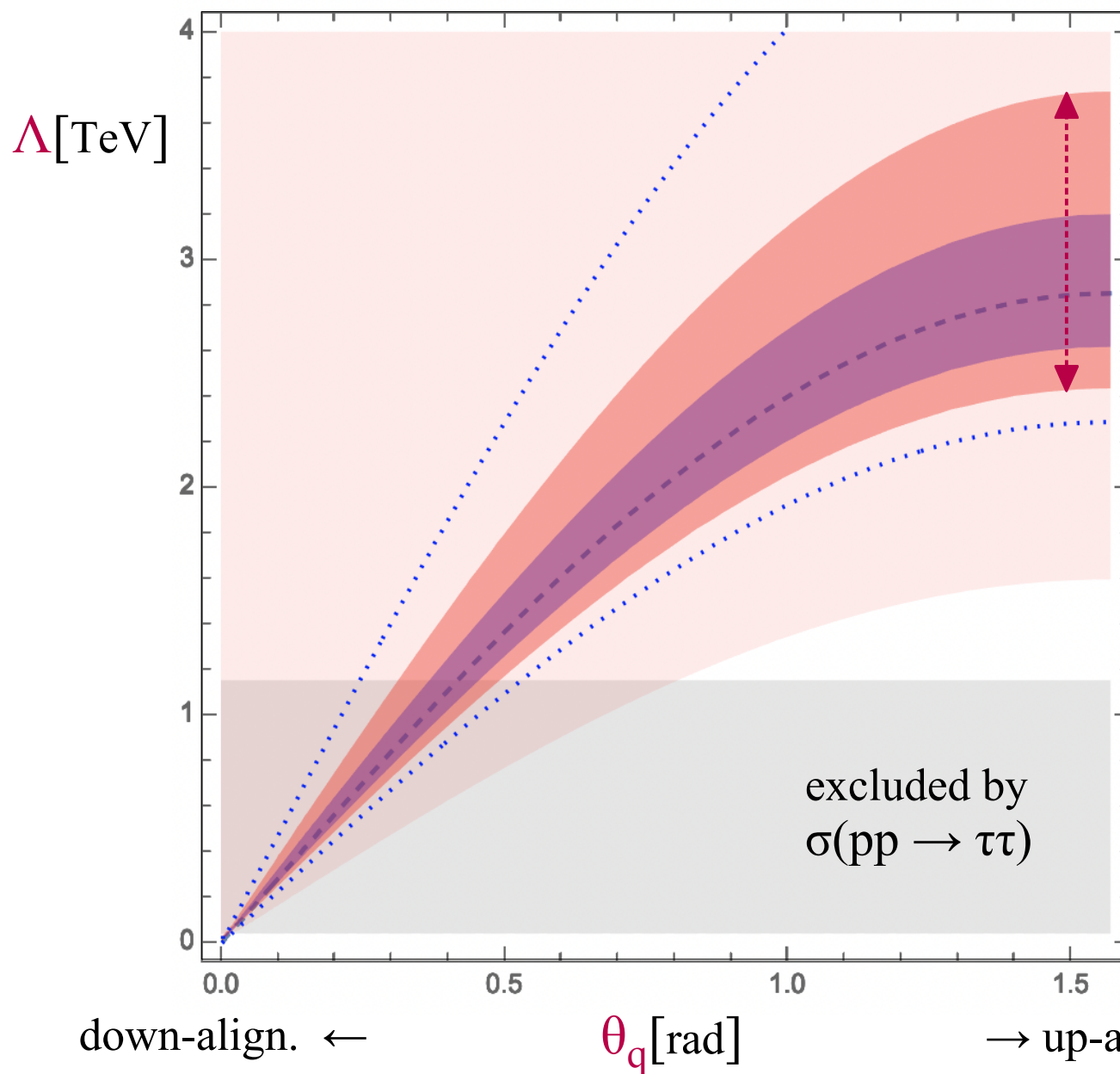
► Effective-theory approach



$B(K^+ \rightarrow \pi^+ \nu @ 2\sigma$
[now]

Combining precise exp. data on $B(K^+ \rightarrow \pi^+ \nu\nu)$ & $B(B \rightarrow K^{(*)} \nu\nu)$ would allow us to determine both scale $[\Lambda]$ & flavor orientation $[\theta_q]$ of the eff. interaction

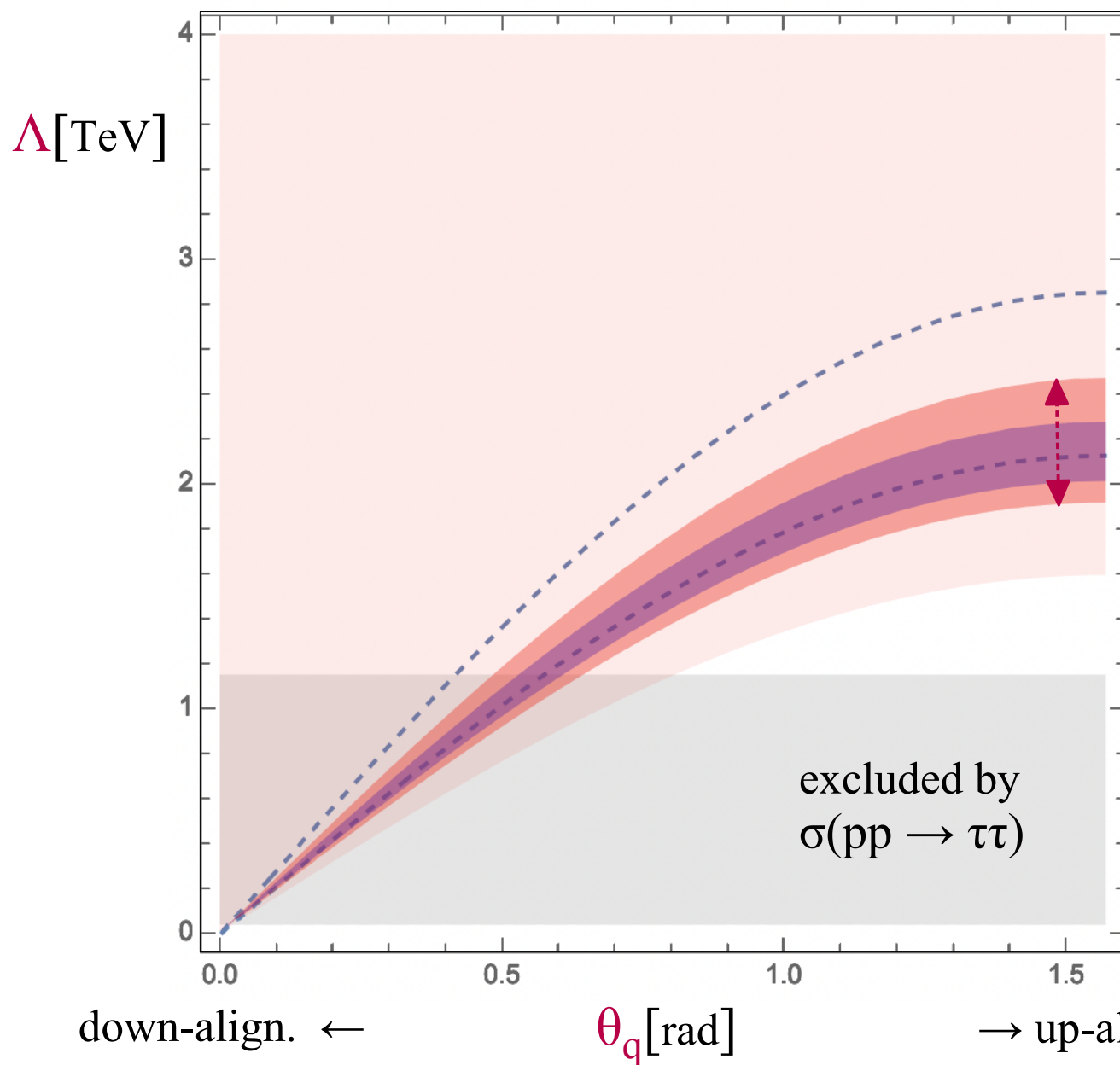
► Effective-theory approach



$B(K^+ \rightarrow \pi^+ \nu\nu)$ @ 2σ
with $\sigma(\text{BR})=5\%$
[central BR = 10.6×10^{-11}]

Combining precise exp. data on $B(K^+ \rightarrow \pi^+ \nu\nu)$ & $B(B \rightarrow K^{(*)} \nu\nu)$ would allow us to determine both scale [Λ] & flavor orientation [θ_q] of the eff. interaction

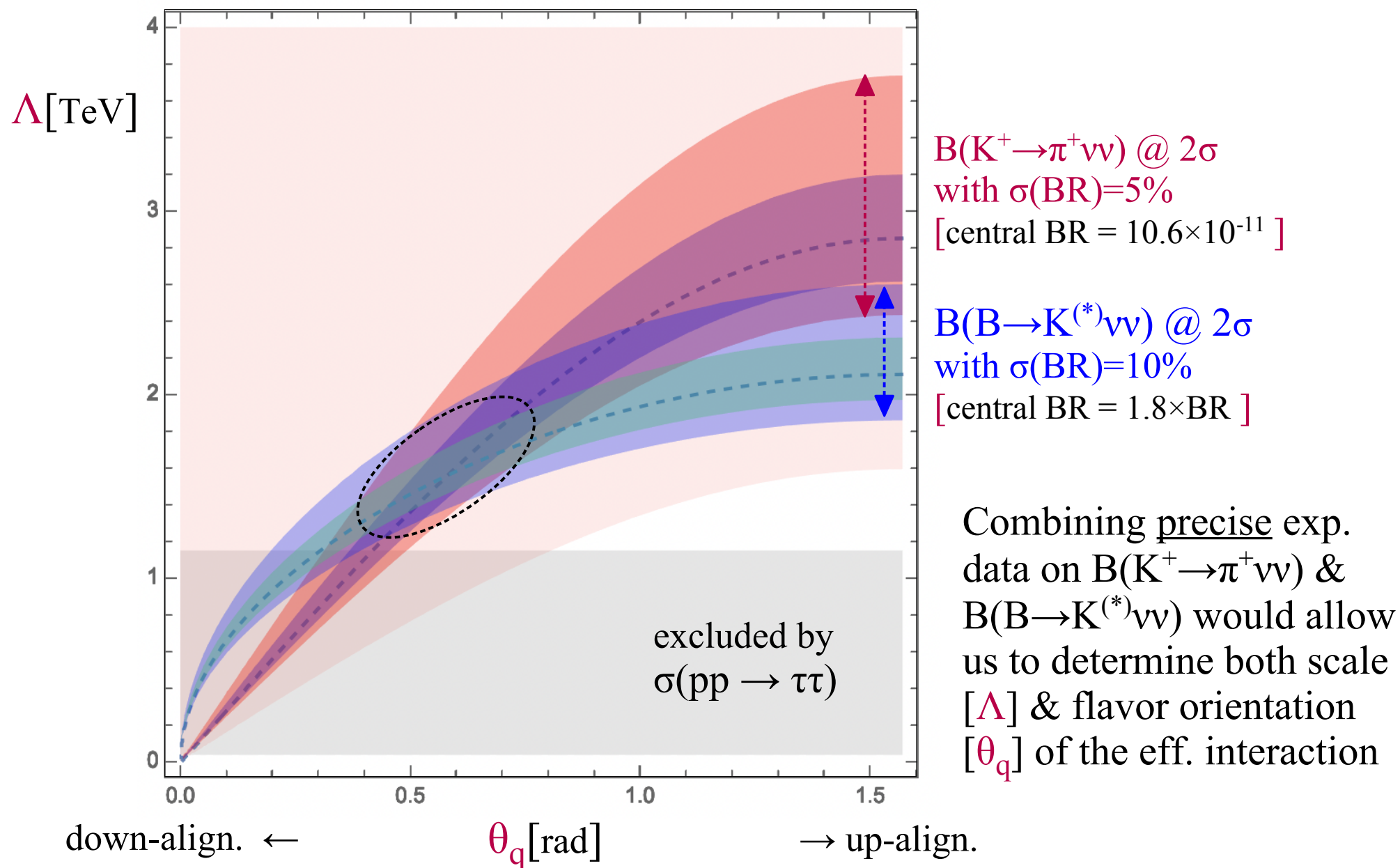
► Effective-theory approach



$B(K^+ \rightarrow \pi^+ \nu \nu)$ @ 2σ
 with $\sigma(\text{BR})=5\%$
 [central BR = 12.5×10^{-11}]

Combining precise exp.
 data on $B(K^+ \rightarrow \pi^+ \nu \nu)$ &
 $B(B \rightarrow K^{(*)} \nu \nu)$ would allow
 us to determine both scale
 $[\Lambda]$ & flavor orientation
 $[\theta_q]$ of the eff. interaction

► Effective-theory approach



► A motivated BSM example

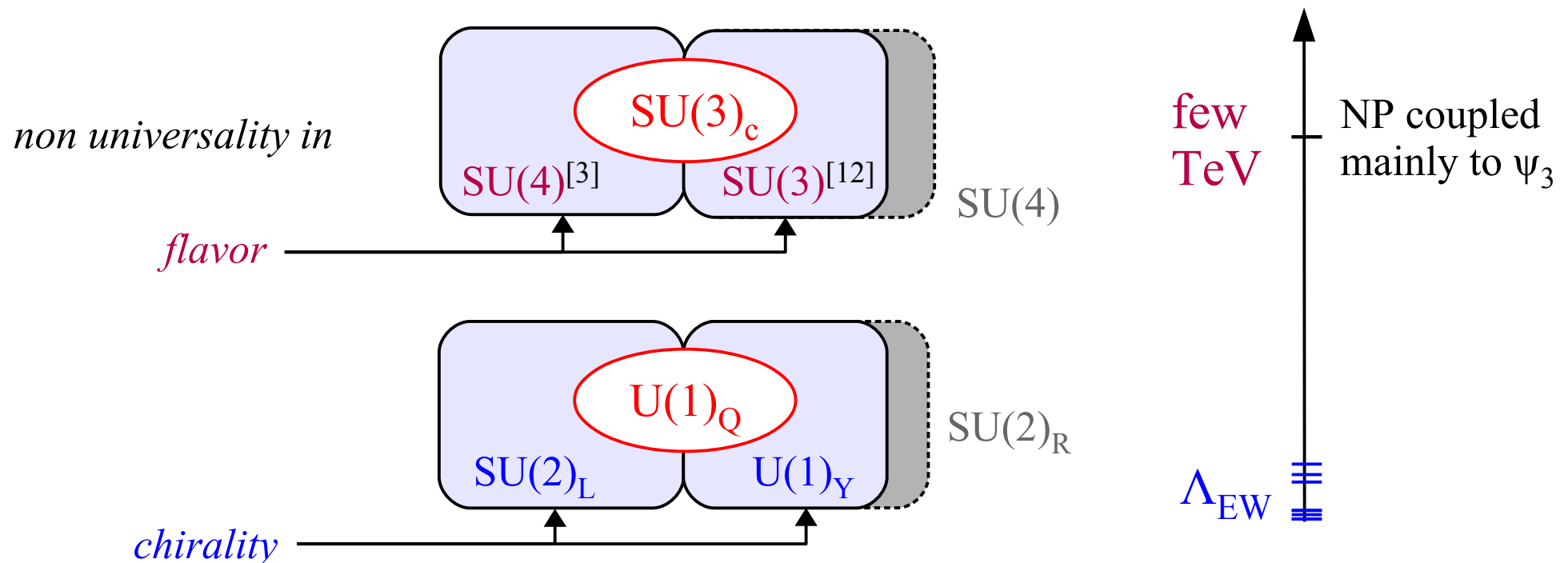
Among models with flavor non-universal gauge interactions, a particularly interesting set up is provided by “4321 models” [*natural “last step” in the SSB chain down to SM of various motivate UV completions*]

Virtues [*theory*]:

- natural Yukawa structure
- quantization of electric charge
- UV complete

Virtues [*pheno*]:

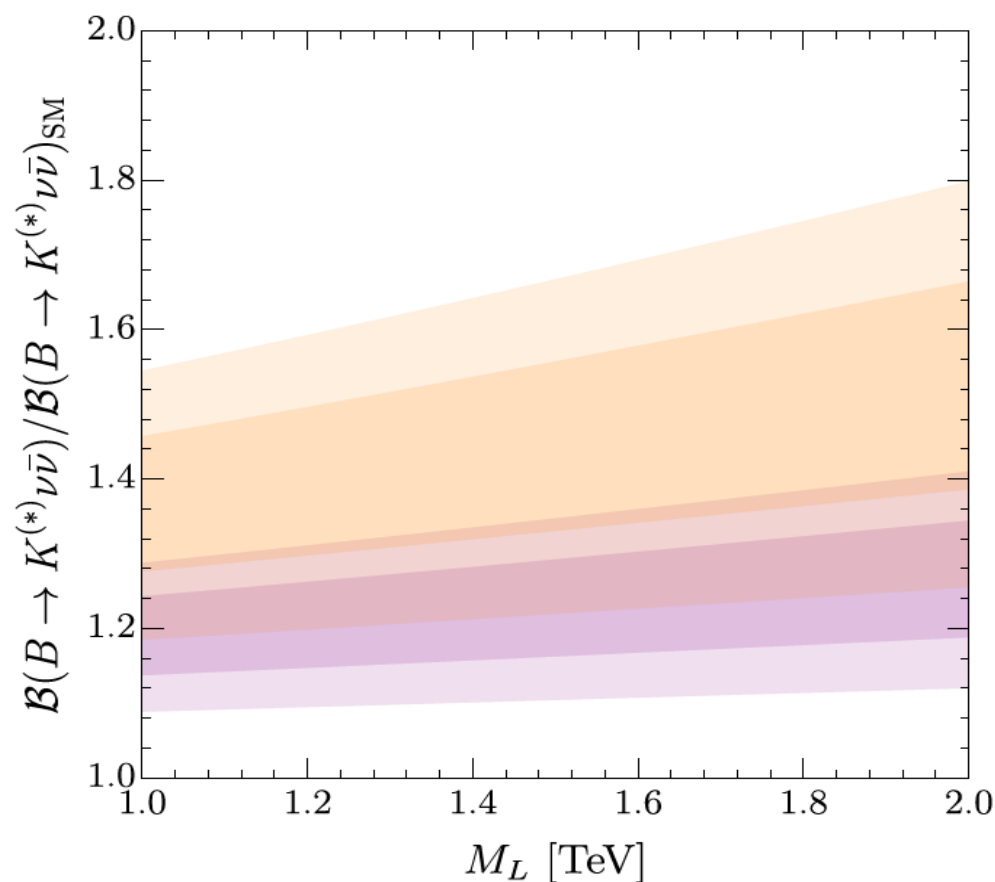
- addresses R(D) anomalies
- addresses LU $b \rightarrow sll$ anomalies



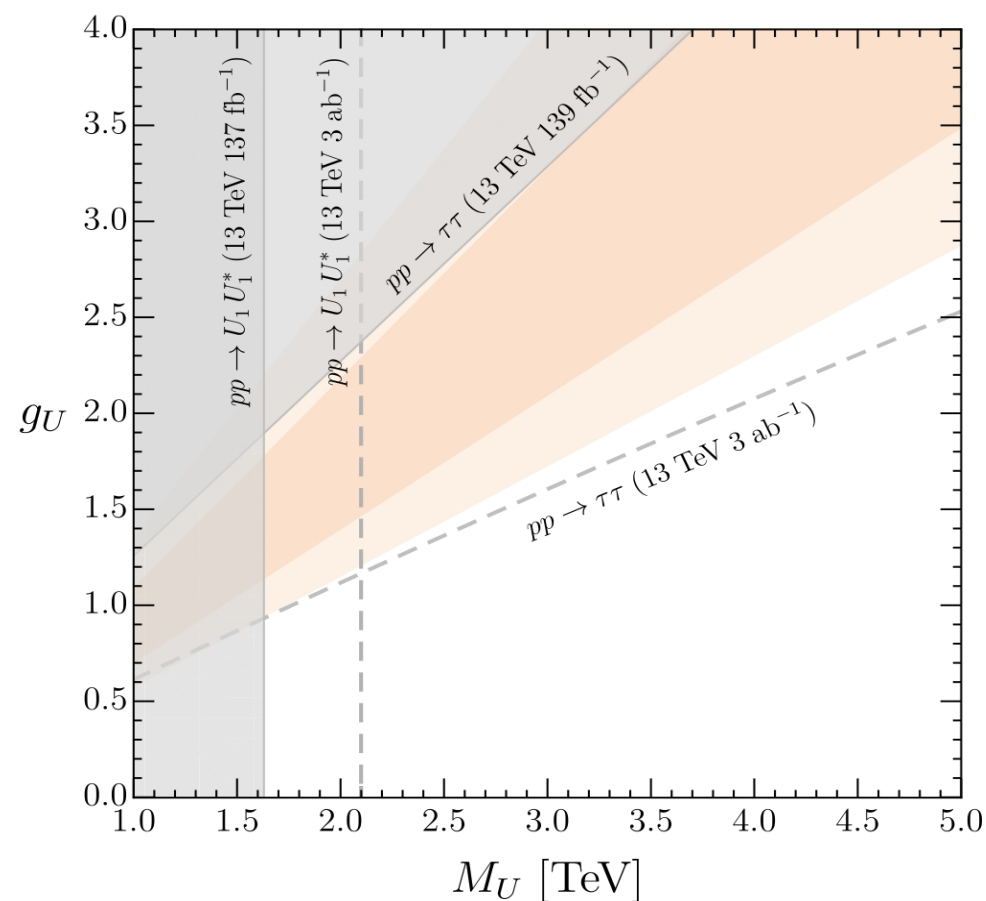
► A motivated BSM example

Two clean **predictions** of this setup following from present data on $R(D)$ & $R(D^*)$:

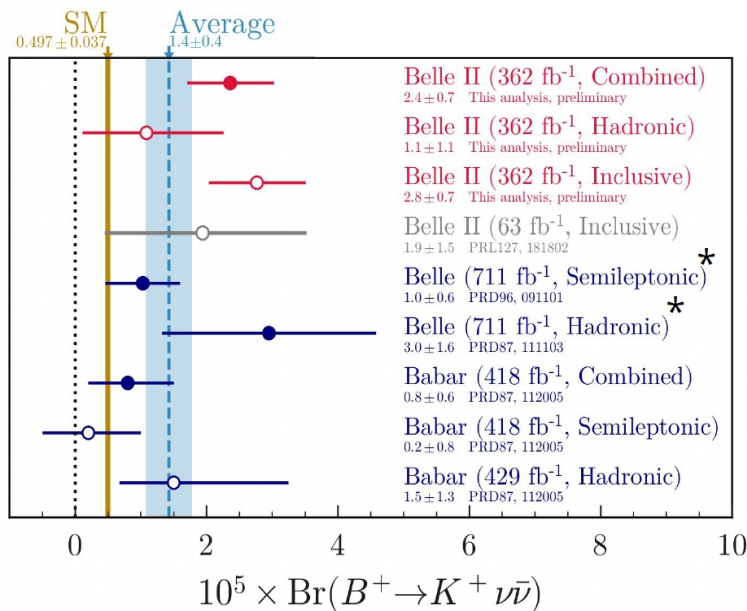
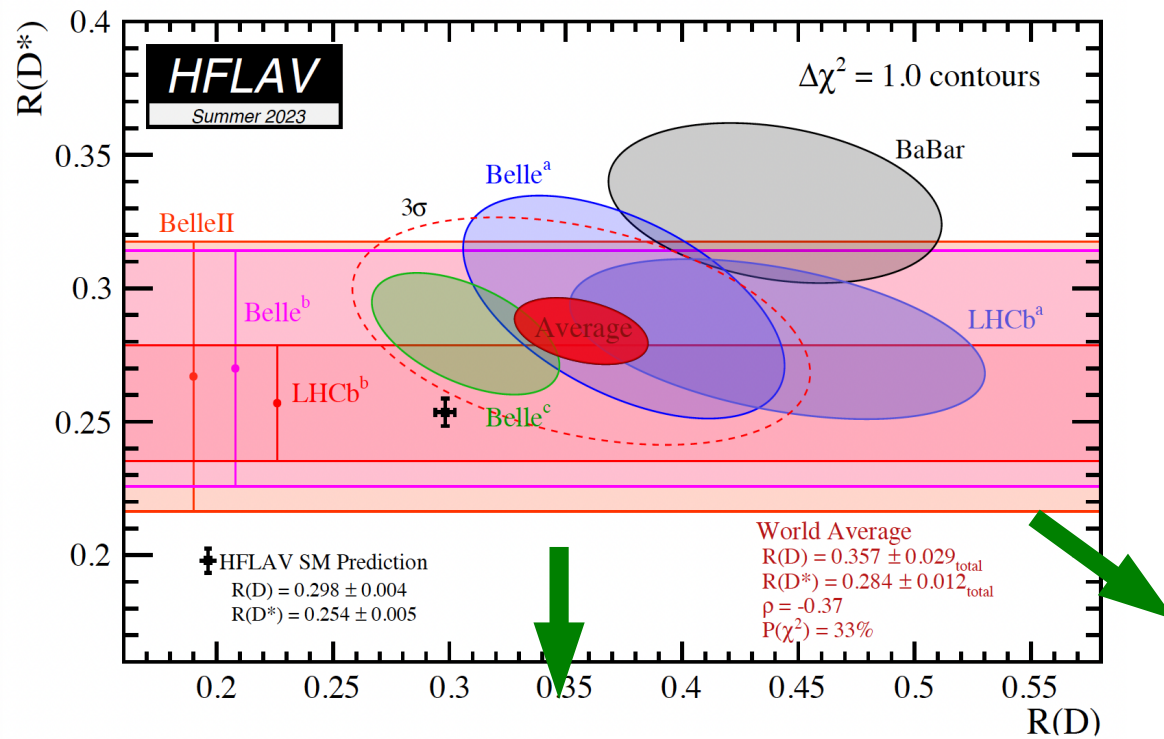
- 1) enhancement of $B(B \rightarrow K\nu\nu)$ & $B(B \rightarrow K^*\nu\nu)$
- 2) enhancement of $\sigma(pp \rightarrow \tau\tau)$



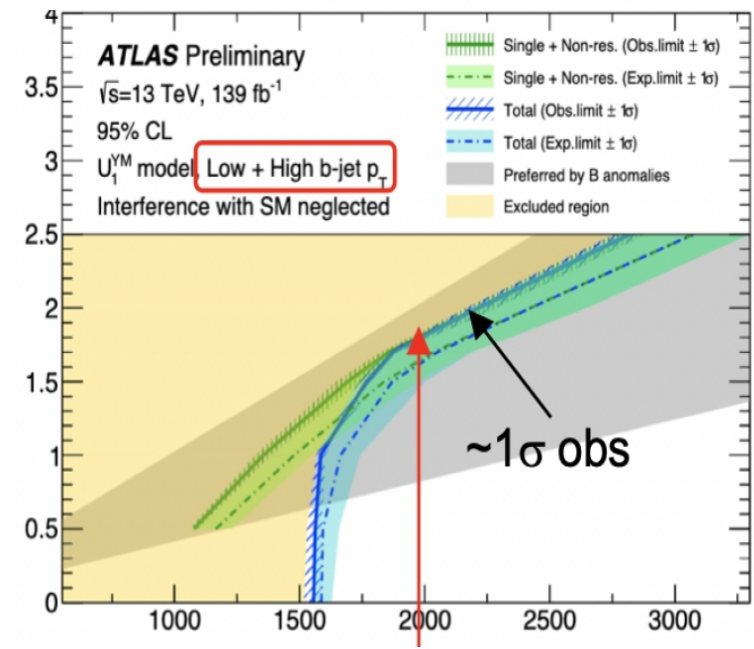
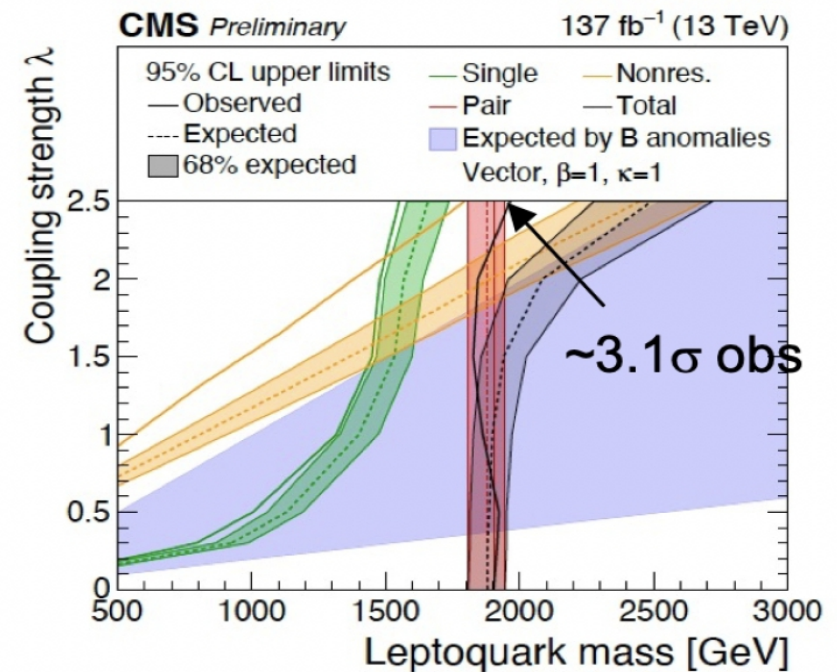
Fuentes-Martin, GI, Konig, Selimovic, '20



Cornella *et al.* '21

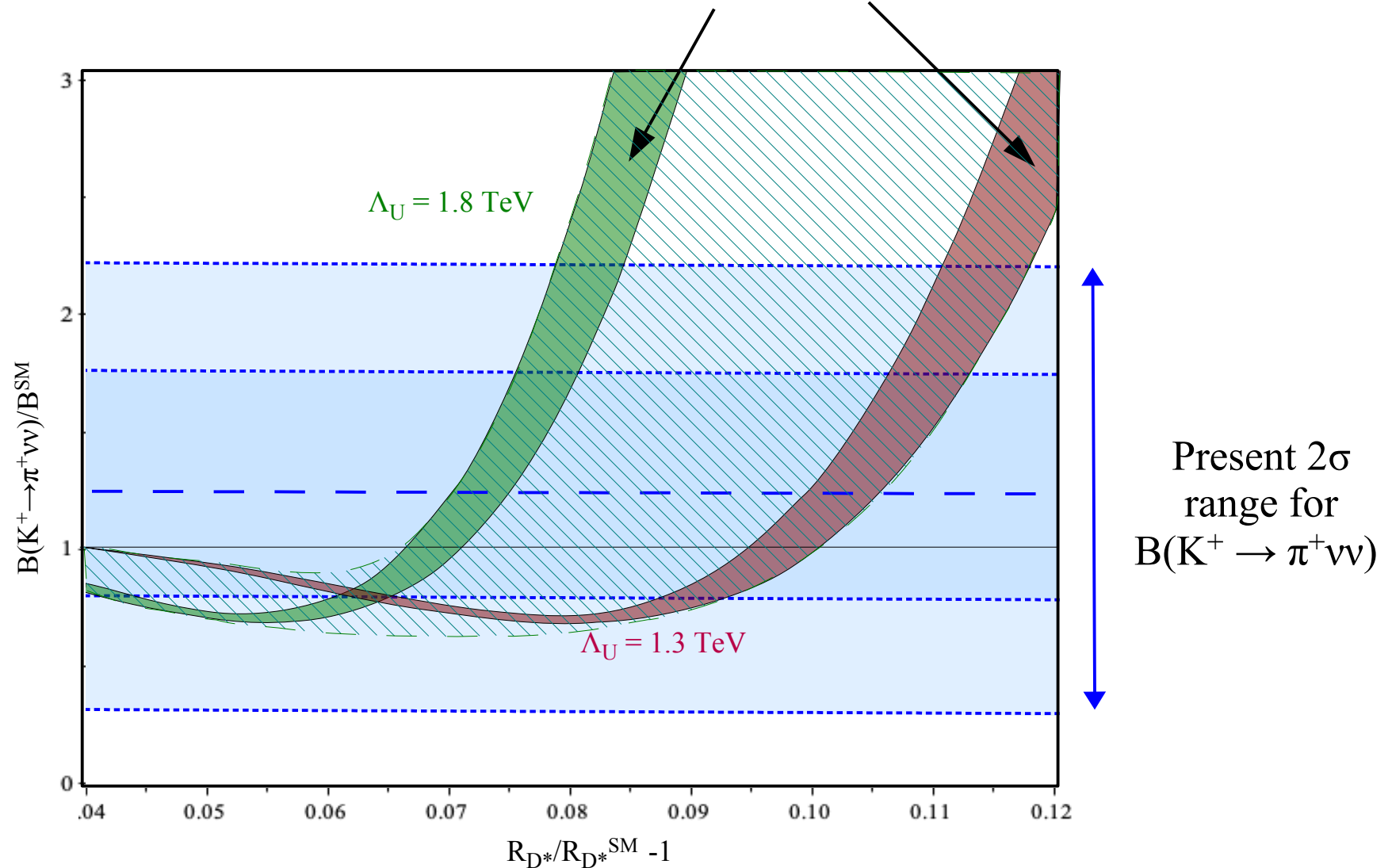


$\sigma(pp \rightarrow \tau\tau)$



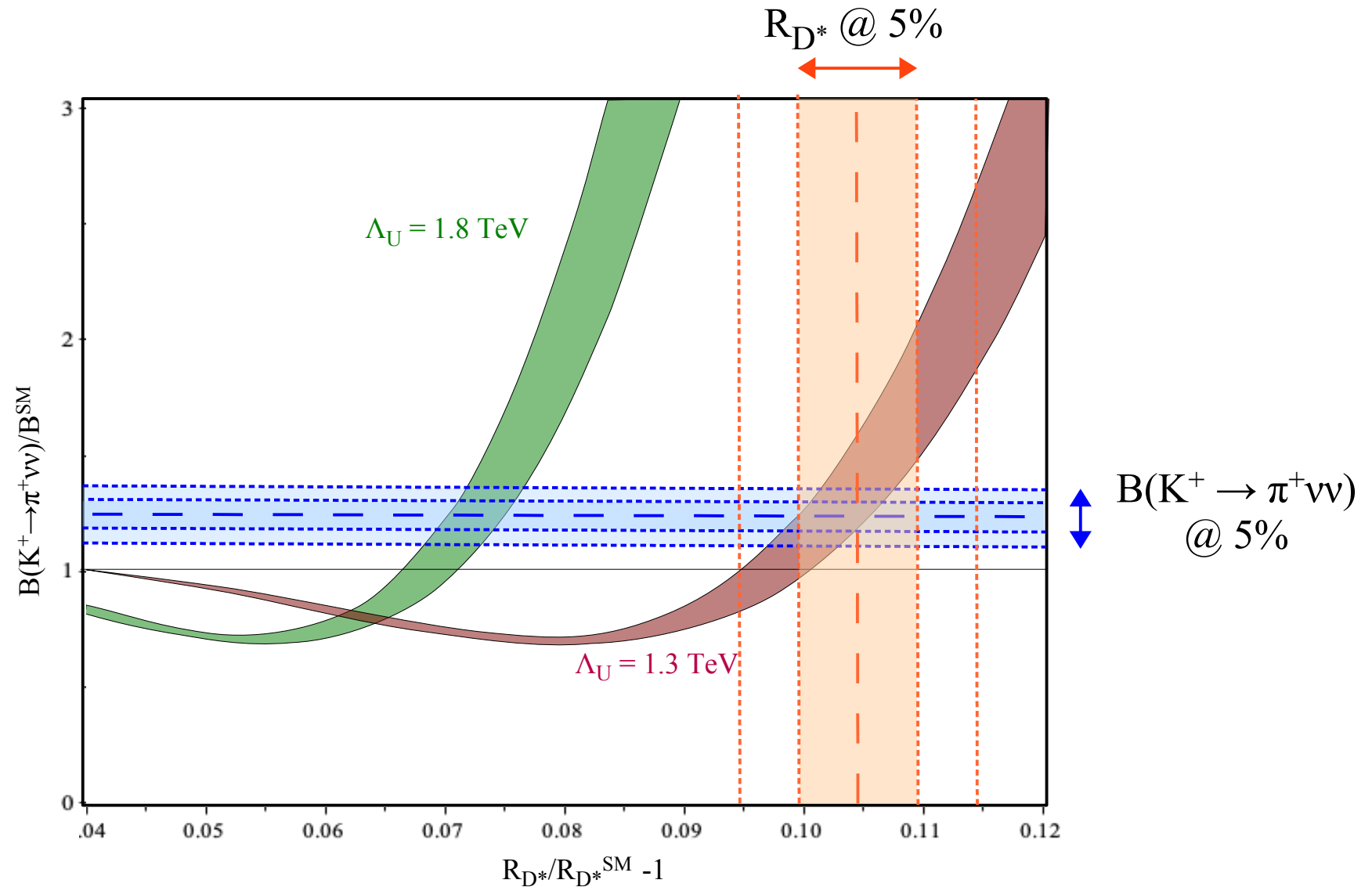
► A motivated BSM example

Ref. values for LQ mass and coupling ($\Lambda_U = \sqrt{2}M_U/g_U$)
from B physics + high-energy searches (*max & min values*)

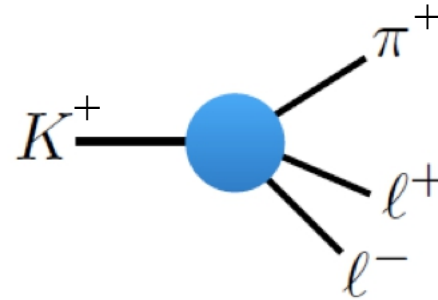
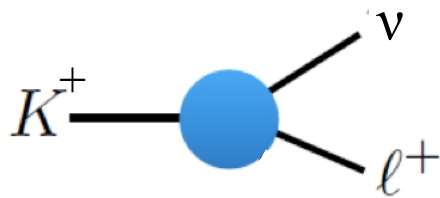


► A motivated BSM example

Possible impact of future precision measurements.



Other modes



→ More in the talk by Yuval Grossman...

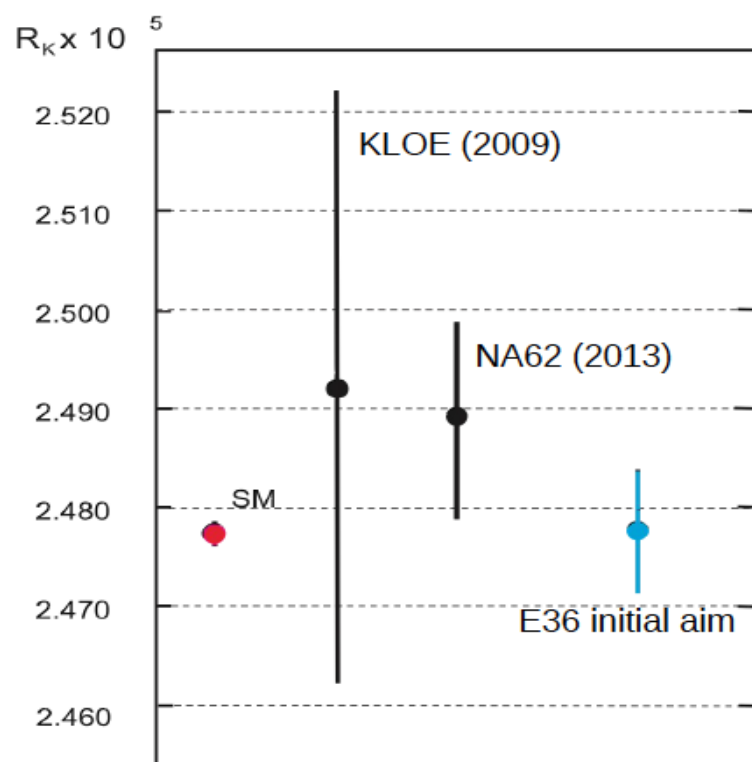
► Other modes

I. Tests of μ/e universality in $s \rightarrow u$ transitions

A very sensitive probe of μ/e universality in the kaon system is

$$R_K = \Gamma(K^+ \rightarrow e^+ \nu) / \Gamma(K^+ \rightarrow \mu^+ \nu) \quad [\rightarrow \text{high-sensitivity to } \underline{\text{scalar amplitudes}}]$$

Using simple EFT considerations, we can expect violations from SM in $R_K(K)$ up to $\sim 10^{-3}$



- **Highly Precise SM value**

$$R_K = (2.477 \pm 0.001) \times 10^{-5} \quad [V. Cirigliano, I. Rosell, Phys. Rev. Lett. 99, 231801]$$

- **World Average (2013)**

$$R_K = (2.488 \pm 0.01) \times 10^{-5} \quad \Delta R_K / R_K \approx 0.4\%$$

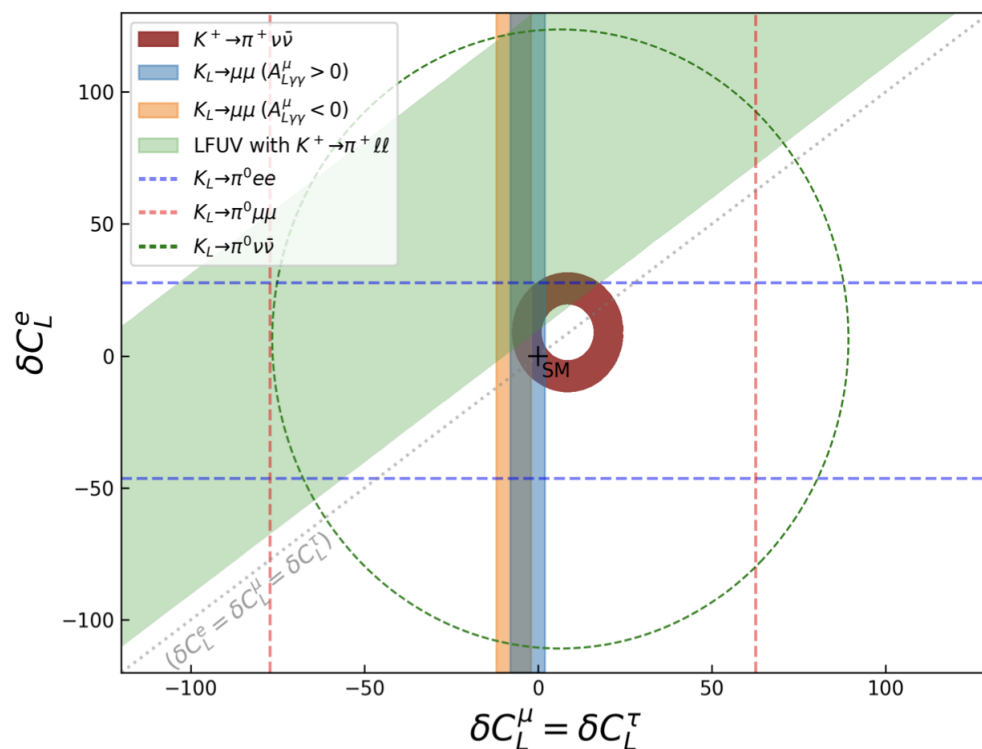
Sizable NP parameter space still to be probed

► Other modes

II. Tests of μ/e universality in $s \rightarrow d$ (FCNC) transitions

In $K^+ \rightarrow \pi^+ \ell\ell$ we can probe μ/e universality in vector-type amplitudes.

Given present bounds on $R_K(B) \rightarrow$ simple EFT considerations imply LFU violations at the per-mil level in the coefficients (slopes) of the $K^+ \rightarrow \pi^+ \ell\ell$ form factors [vs. current exp. bounds @ 10% level]



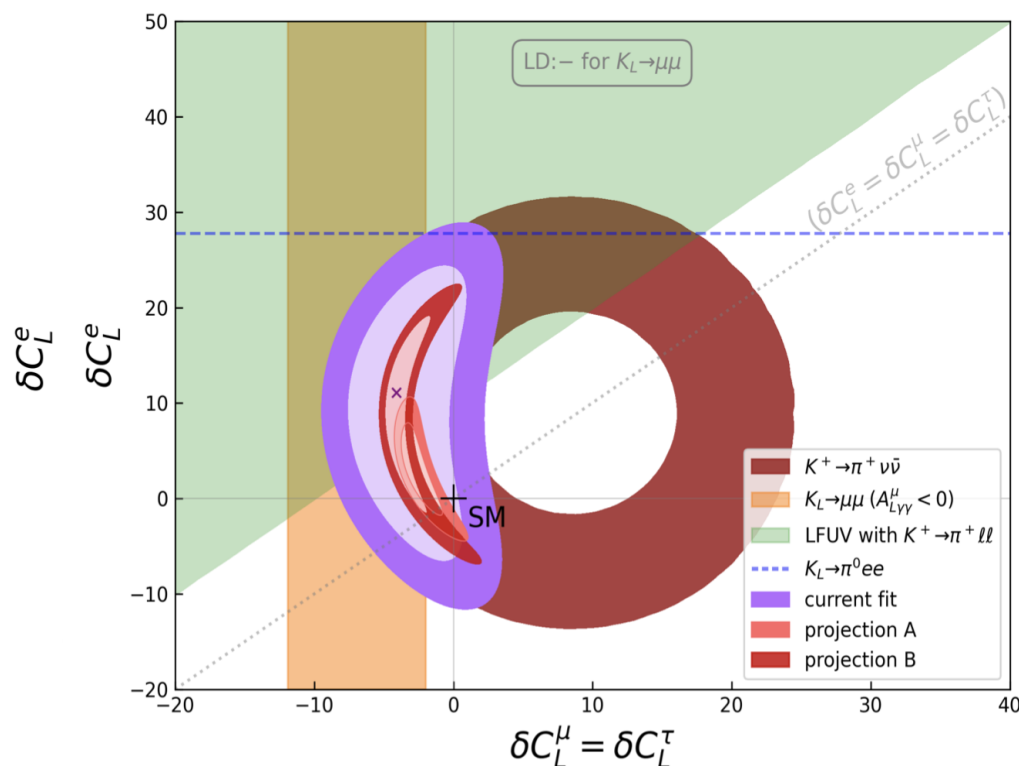
While it is impossible to reach this NP benchmark, there is still a large room for improvement on a very “clean” SM test

► Other modes

II. Tests of μ/e universality in $s \rightarrow d$ (FCNC) transitions

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While it is impossible to reach this NP benchmark, there is still a large room for improvement on a very “clean” SM test

Conclusions

- Flavor is an essential ingredient to understand the structure of physics beyond the SM.
- Measuring $B(K^+ \rightarrow \pi^+ \nu \bar{\nu})$ @ 5% relative error is a milestone in this respect: unique probe of flavor mixing among the light generations at the electroweak scale and above.
- Present data are fully compatible with a “flavor-full” extension of the SM, where NP is dominantly coupled to the 3rd generation at the TeV scale. In this general (*and well-motivated*) context, the key role of a precise measurement of $B(K \rightarrow \pi \nu \bar{\nu})$ is further reinforced.
- While the role of $K \rightarrow \pi \nu \bar{\nu}$ decays is somehow unique, other rare K decays do offer complementary windows on more specific SM extensions