

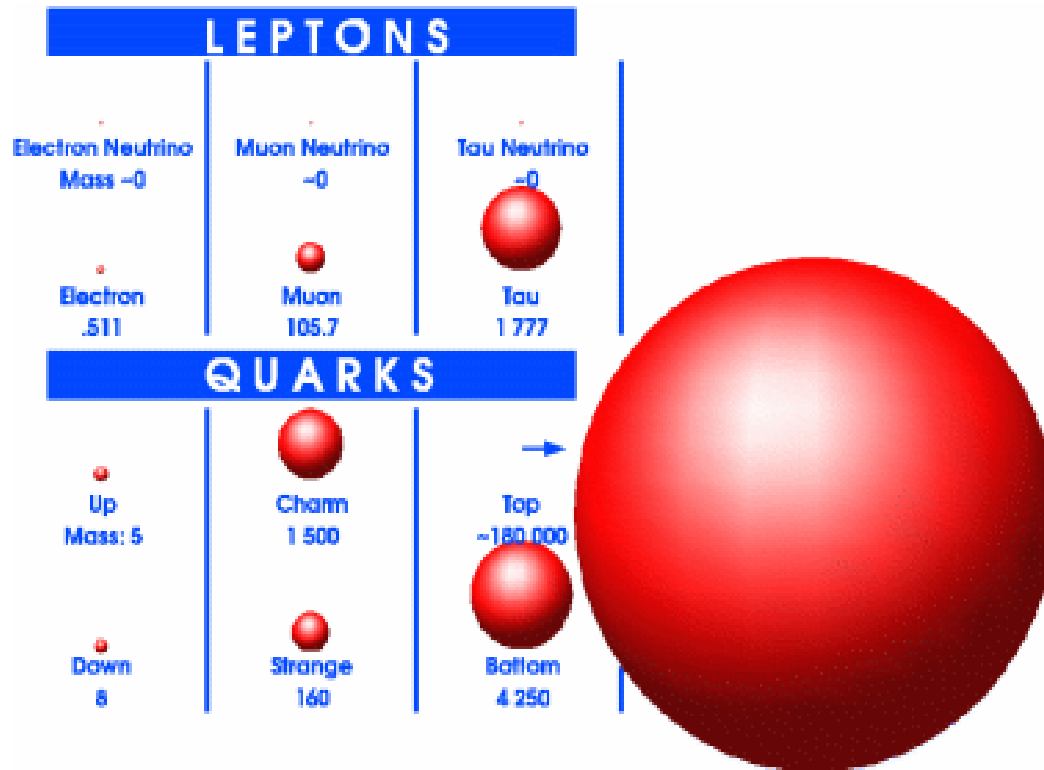
# *The lepton perspective on flavor*

Gino Isidori

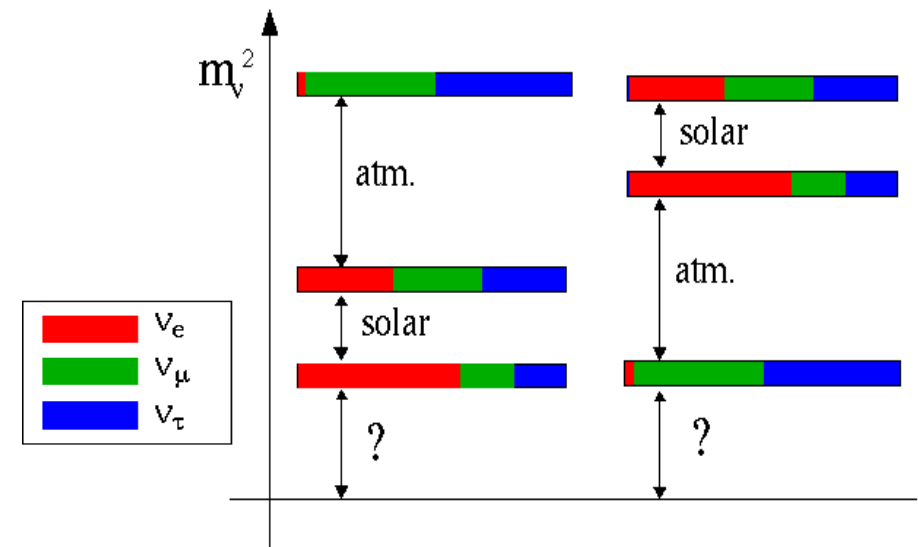
[ *University of Zürich* ]

- ▶ Introduction [*anarchy vs. symmetry*]
  - ▶ *Prelude I*:  $U(3)^3$  and  $U(2)^3$  symmetries in the quark sector
  - ▶ *Prelude II*:  $U(3)^3$  to  $U(3)^5$  and LFU [*the charged-lepton perspective*]
  - ▶ *Prelude III*: Some open problems [*the neutrino perspective*]
- ▶ Dynamical Yukawa's from a Minimum Principle
- ▶ Gauging dynamical Yukawa's and B-physics anomalies
- ▶ Conclusions

# Introduction [*anarchy vs. symmetry*]



$$V_{\text{CKM}} \sim \begin{pmatrix} \square & \square & \cdot \\ \square & \square & \square \\ \cdot & \square & \square \end{pmatrix}$$



Finding a rational explanation for the observed pattern of quark and lepton mass matrices (eigenvalues & mixing) is one of the key open problems in particle physics

► Introduction [*anarchy vs. symmetry*]

Anarchy + Anthropic selection

*“Darwinism in physics...”*

New symmetries (& new dynamics)

*“The Galilean way...”*



► Introduction [*anarchy vs. symmetry*]

Anarchy + Anthropic selection

*“Darwinism in physics...”*

- A new way of thinking in particle physics, motivated by the hierarchy problem(s) in  $\Lambda_{\text{cosmo}}$  and *-maybe-*  $\Lambda_{\text{EW}}$ 
  - *It works well for  $m_{u,d}$*
  - *maybe also for  $m_t$*
  - *appealing for  $\nu$  mixing...*
  - *but what about CKM,*
  - *what about the other masses?*
- Many unanswered questions
- No clear direction for future searches

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New symmetries (& new dynamics)

“*The Galilean way...*”

- Main road of particle physics so far
  - *It works well in the Yukawa sector (less evident, but not excluded, in the neutrino case)*

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Anarchy + Anthropic selection

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*flavor symmetry for light generations*  
 + *large NP coupling of 3<sup>rd</sup> gen.*

Interesting hypothesis that

- *fits well with all available data,*
- *could explain why we have not seen yet clear signals of NP,*
- *could possibly be tested in the near future...*

*Prelude I:*

$U(3)^3$  &  $U(2)^3$  symmetries in the quark sector



▶  $U(3)^3$  &  $U(2)^3$  symmetries in the quark sector

$$U(3)^3 = U(3)_Q \times U(3)_U \times U(3)_D$$

- Largest flavor symmetry group compatible with the SM gauge symmetry
- **MFV** = minimal breaking of  $U(3)^3$  by  $(3, \underline{3})$  terms [*SM Yukawa couplings*]

Chivukula & Georgi, '89

D'Ambrosio, Giudice, G.I.,  
Strumia, '02



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*virtue*

- Naturally small effects in FCNC observables assuming TeV-scale NP (*or even few TeV NP...*)

*problems*

- No explanation for  $Y$  hierarchies (masses and mixing angles)
- No explanation for small CPV flavor-conserving observables (edms)
- Enhanced hierarchy problem in explicit NP frameworks with key role for the 3<sup>rd</sup> generation (*particularly motivated nowadays...*)

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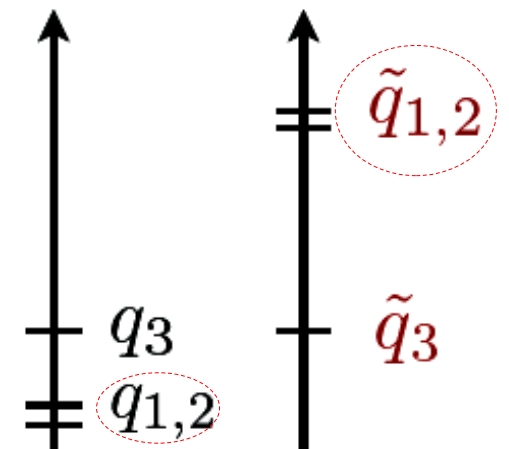
- Largest flavor symmetry group compatible with the SM gauge symmetry
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$$U(2)^3 = U(2)_Q \times U(2)_U \times U(2)_D \text{ flavor symmetry}$$

acting on 1<sup>st</sup> & 2<sup>nd</sup>  
generations

Barbieri, G.I.,  
Jones-Perez,  
Lodone, Straub, '11

- The exact symmetry limit is good starting point for the SM quark spectrum ( $m_u=m_d=m_s=m_c=0$ ,  $V_{CKM}=1$ ) → we only need small breakings terms
- The small breaking ensures small effects in rare processes
- In explicit NP models, this symmetry allows a large mass gap among NP states coupled to 3<sup>rd</sup> generation (*e.g. 3<sup>rd</sup> gen. squarks in natural SUSY*), and NP states coupled to 1<sup>st</sup> & 2<sup>nd</sup> gen.



*A closer look to  $U(2)^3$  & its (minimal) breaking pattern:*

The symmetry is a good approximation to the SM quark spectrum (exact symmetry for  $m_u=m_d=m_s=m_c=0$ ,  $V_{CKM}=1$ ), hence we only need to introduce small breaking terms

Unbroken

$$U(2)^3 = U(2)_Q \times U(2)_U \times U(2)_D$$



$$Y_u = y_t \begin{array}{c} \uparrow \\ 2_Q \times 2_U \\ \left[ \begin{array}{c|c} 0 & 0 \\ \hline 0 & 1 \end{array} \right] \end{array}$$

$$Y_d = y_b \left[ \begin{array}{c|c} 0 & 0 \\ \hline 0 & 1 \end{array} \right]$$

$$\left( M_{\text{squarks}} = \left[ \begin{array}{c|c} m_h \times I & 0 \\ \hline 0 & m_3 \end{array} \right] \right)$$

## A closer look to $U(2)^3$ & its (minimal) breaking pattern:

The symmetry is a good approximation to the SM quark spectrum (exact symmetry for  $m_u=m_d=m_s=m_c=0$ ,  $V_{CKM}=1$ ), hence we only need to introduce small breaking terms

Minimal set of breaking terms necessary to reproduce the quark spectrum, while keeping small FCNCs beyond SM:

$$V \sim (2,1,1) \quad O(\lambda^2 \sim 0.04)$$

Leading breaking term:  
connection 3<sup>rd</sup> gen.  $\rightarrow$  light gen.

$$U(2)^3 = U(2)_Q \times U(2)_U \times U(2)_D$$

$$Y_u = y_t \begin{bmatrix} 0 & c_u V \\ \hline 0 & 1 \end{bmatrix}$$

$$Y_d = y_b \begin{bmatrix} 0 & c_d V \\ \hline 0 & 1 \end{bmatrix}$$

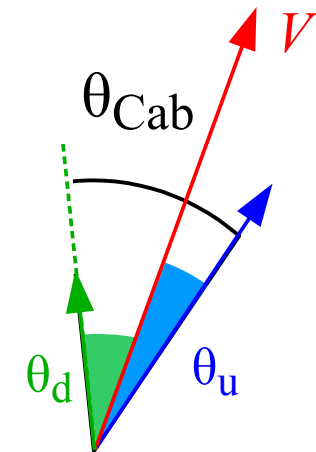


$$\begin{aligned} (V_{ts}^2 + V_{td}^2)^{1/2} &= \\ (V_{cb}^2 + V_{ub}^2)^{1/2} &= \\ &= O(\lambda^2) \end{aligned}$$

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$$V \sim (2, 1, 1) \quad O(\lambda^2 \sim 0.04)$$

$$\Delta Y_u \sim (2, \underline{2}, 1) \quad m_c, m_u, \theta_u \quad O(y_c \sim 0.006)$$

$$\Delta Y_d \sim (2, 1, \underline{2}) \quad m_s, m_d, \theta_d \quad O(y_s < 0.001)$$

$$U(2)^3 = U(2)_Q \times U(2)_U \times U(2)_D$$

$$Y_u = y_t \begin{bmatrix} \Delta Y_u & c_u V \\ 0 & 1 \end{bmatrix}$$

$$Y_d = y_b \begin{bmatrix} \Delta Y_d & c_d V \\ 0 & 1 \end{bmatrix}$$



$$|V_{us}| \approx |\theta_u - \theta_d|$$

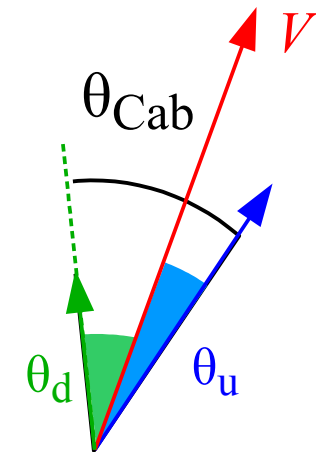
$$|V_{td}/V_{ts}| = \theta_d$$

$$|V_{ub}/V_{cb}| = \theta_u$$

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$$U(2)^3 = U(2)_Q \times U(2)_U \times U(2)_D$$

The assumption of a single  $(2,1,1)$  breaking term [ = *a single spurion connecting the light generations to the third one* ] ensures a MFV-like protection of FCNCs

The protection is as effective as MFV at large  $\tan\beta$   
or general (non-linear) MFV, where  $U(3)^3 \rightarrow U(2)^3 \times U(1)$

Feldmann, Mannel, '08  
Kagan *et al.* '09

*Prelude II:*

From  $U(2)^3$  &  $U(2)^5$  and LFU [*the charged-lepton perspective*]



► From  $U(3)^3$  to  $U(2)^5$  and LFU [*the charged-lepton perspective*]

Including the two SM lepton fields

$$U(2)^3 \rightarrow U(2)^5 = U(2)^3 \times U(2)_L \times U(2)_E$$

$$Y_e = y_\tau \left[ \begin{array}{c|c} \Delta Y_e & V_L \\ \hline 0 & 1 \end{array} \right]$$

$$V_L : \text{unknown } (\leftrightarrow \text{ansatz on } \mathbf{m}_\nu)$$

$$\Delta Y_e : O(y_\mu)$$



► From  $U(3)^3$  to  $U(2)^5$  and LFU [*the charged-lepton perspective*]

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Renewed interest to this flavor symmetry (*and variations...*) generated by the recent *hints* of violations of **L**epton **F**lavor **U**niversality in B decays

→ O(30%) **LFU violation** in **b** → **c** charged currents:  **$\tau$**  vs. light leptons ( **$\mu$** , **e**)

$$R_{D^*}^{\tau/\ell} = \frac{\mathcal{B}(B \rightarrow D^* \tau \bar{\nu})_{\text{exp}} / \mathcal{B}(B \rightarrow D^* \tau \bar{\nu})_{\text{SM}}}{\mathcal{B}(B \rightarrow D^* \ell \bar{\nu})_{\text{exp}} / \mathcal{B}(B \rightarrow D^* \ell \bar{\nu})_{\text{SM}}} = 1.23 \pm 0.07$$

$$R_D^{\tau/\ell} = \frac{\mathcal{B}(B \rightarrow D \tau \bar{\nu})_{\text{exp}} / \mathcal{B}(B \rightarrow D \tau \bar{\nu})_{\text{SM}}}{\mathcal{B}(B \rightarrow D \ell \bar{\nu})_{\text{exp}} / \mathcal{B}(B \rightarrow D \ell \bar{\nu})_{\text{SM}}} = 1.34 \pm 0.17 ,$$

→ O(30%) **LFU violation** in **b** → **s** neutral currents:  **$\mu$**  vs. **e**

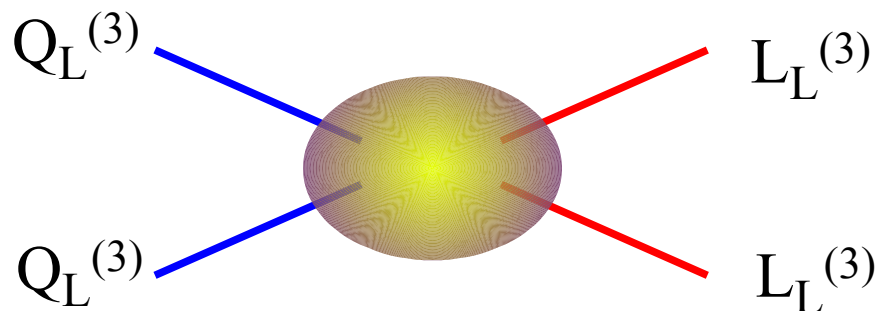
$$R_K^{\mu/e} = \frac{\mathcal{B}(B \rightarrow K \mu \bar{\mu})_{\text{exp}}}{\mathcal{B}(B \rightarrow K e \bar{e})_{\text{exp}}} \Bigg|_{q^2 \in [1,6] \text{ GeV}} = 0.745_{-0.074}^{+0.090} \pm 0.036$$

► From  $U(3)^3$  to  $U(2)^5$  and LFU [*the charged-lepton perspective*]

- Early to draw definite conclusions (*no single result exceeding  $3\sigma$* )...
- Interesting that  $U(2)_Q \times U(2)_L$  models can provide a rational for the pattern of observed hints of LFU non-universality (taking into account the bounds from other low-energy processes)

Main idea:

- NP coupled mainly to 3<sup>rd</sup> generation (competing with SM tree-level) in  $bc$  ( $=33_{\text{CKM}}$ )  $\rightarrow l_3 \nu_3$  [*data consistent with NP only in left-handed amplitudes*]



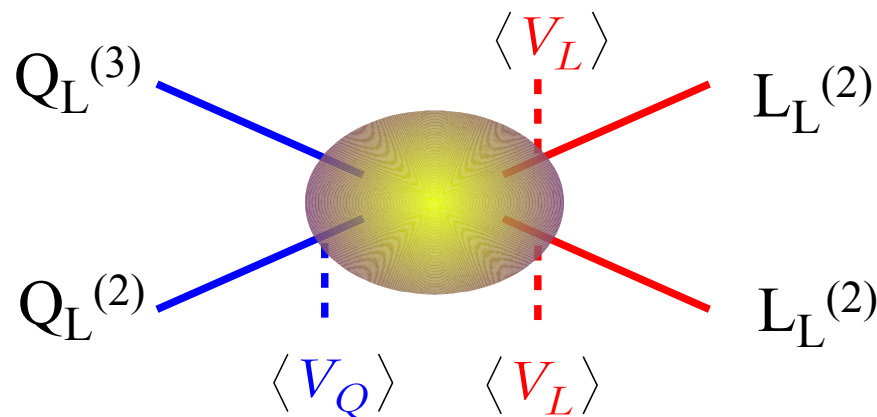
Glashow, Guadagnoli, Lane '14  
 Bhattacharya *et al.* '14  
 Alonso, Grinstein, Camalich '15  
 Greljo, GI, Marzocca '15  
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- Small non-vanishing coupling (competing with SM FCNC) in  $bs \rightarrow l_2 l_2$



Glashow, Guadagnoli, Lane '14  
 Bhattacharya *et al.* '14  
 Alonso, Grinstein, Camalich '15  
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*Prelude III:*  
Some open problems [*the neutrino perspective*]

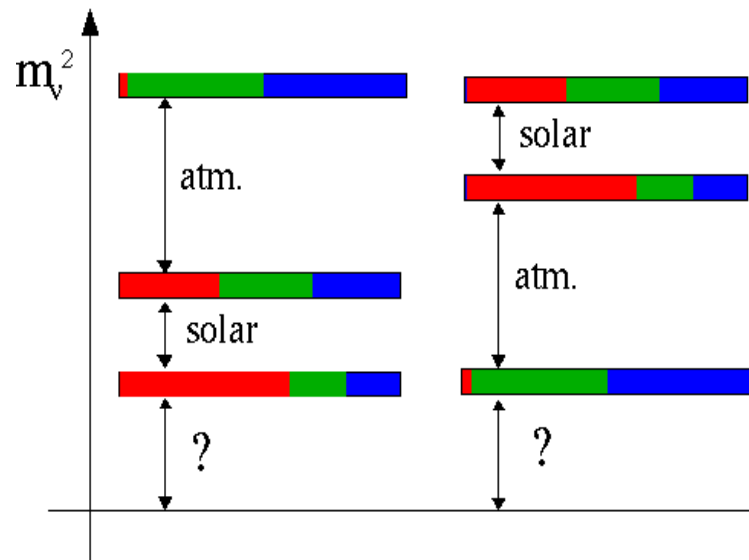
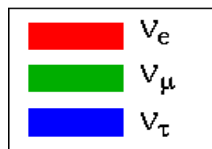


## ► Open problems

I. A potential problem of the  $U(2)^n$  approach and, more generally, of any approach attributing a special role to the hierarchies in the Yukawa sector, is the **problem of neutrino masses** (*under the hypothesis we are interested to describe in a unified way quark and lepton sectors*):

- Why neutrino mixing angles are not as small as in the quark sector? Why the mass hierarchies in the neutrino sector are not as large?

$$\left| \frac{\Delta m_{\text{sol}}^2}{\Delta m_{\text{atm}}^2} \right|^{1/2} \sim 1/6$$



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To extend the idea of **large flavor symmetry group** with **small breaking** to the neutrino sector we need to assume a different initial symmetry for Dirac and Majorana sectors (*or a different initial breaking of some larger flavor symmetry*)

Small parameters in the Neutrino (Majorana) mass matrix:

$$\zeta = \left| \frac{\Delta m_{\text{sol}}^2}{\Delta m_{\text{atm}}^2} \right|^{1/2} = 0.174 \pm 0.007 ,$$

$$s_{13} = |(U_{\text{PMNS}})_{13}| = 0.15 \pm 0.02 ,$$

$$M_\nu + M_\nu \xrightarrow{\zeta, s_{13} \rightarrow 0} m_\nu^2 I + \Delta m_{\text{atm}}^2 \Sigma$$

$$\Sigma \approx \frac{1}{2} \begin{pmatrix} 0 & 0 & 0 \\ 0 & 1 & 1 \\ 0 & 1 & 1 \end{pmatrix}$$

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Blankenburg, G.I.,  
Jones-Perez, '12

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$$M_\nu + M_\nu \xrightarrow{\zeta, s_{13} \rightarrow 0} m_\nu^2 I + \Delta m_{\text{atm}}^2 \Sigma \xrightarrow[\Delta m_{\text{atm}}^2 \ll m_\nu^2]{\text{and if ...}} m_\nu^2 I$$

$$\Sigma \approx \frac{1}{2} \begin{pmatrix} 0 & 0 & 0 \\ 0 & 1 & 1 \\ 0 & 1 & 1 \end{pmatrix}$$

**O(3)  
symmetry**

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II. Most important, both in  $U(3)^n$  and in  $U(2)^n$  the breaking terms are put in “by hands” (*non-dynamical spurion analysis*)

*Explicit potentials*

Feldmann *et al.* '09  
Alonso, Gavela, *et al.* '11-'13  
Nardi '11; Espinosa, Fong, Nardi '12  
Alonso, Gavela, G.I., Maiani, '13

*Gauging of  $U(3)^n$  &  $U(2)^n$*

Albrecht, Feldmann, Mannel, '09  
Grinstein, Redi, Villadoro, '09  
D'Agnolo & Straub, '11  
Alonso, Fernandez Martinez *et al.* '16



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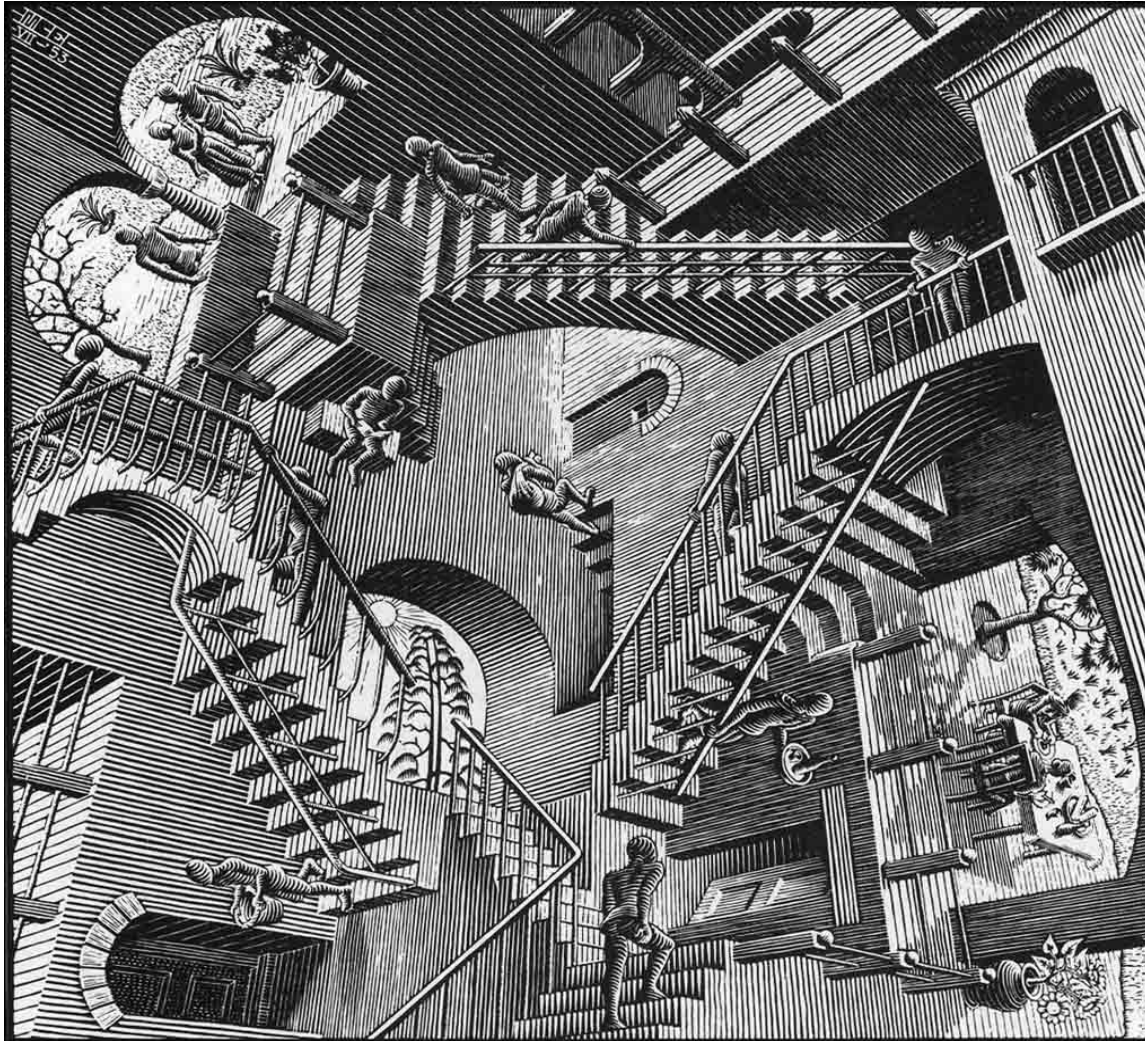
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*Stability of solutions corresponding to maximally unbroken subgroups*

## Dynamical Yukawa's from a Minimum Principle



► *Dynamical Yukawa's from a Minimum Principle*

Let's consider first a type-I model:

- SM field content enlarged by 3 heavy right-handed neutrinos (N)
- Largest flavor symmetry compatible with SM gauge group + non-vanishing N masses [*ignoring flavor-conserving U(1) phases*]:  $SU(3)^5 \times O(3)_N$

$$- \mathcal{L}_Y = \bar{q}_L \underline{Y}_D H D_R + \bar{q}_L \underline{Y}_U \tilde{H} U_R + \bar{\ell}_L \underline{Y}_E H E_R + \bar{\ell}_L \underline{Y}_\nu \tilde{H} N + \text{h.c.} + \frac{M}{2} N^T N$$

Let's then assume that both quark and lepton Yukawa couplings are *dynamical fields* of  $SU(3)^5 \times O(3)_R$  and that their values are determined by a *minimization principle* (e.g. the potential minimum)



The “*natural solutions*” [*i.e. solution requiring no tuning in the parameters of the potential*] are the configurations preserving **maximally unbroken subgroups**.

► Dynamical Yukawa's from a Minimum Principle

The Michel-Radicati theorem (a sketch):

- $V = f[ I_i(Y) ]$        $I_i(Y)$ =invariants of the group  $G$  built out of the  $Y$ 's
- The space spanned by  $Y$  is infinite, but the manifold spanned by the  $I_i$  has boundaries, corresponding to the subgroups of  $G$

E.g.:  $G=\text{SU}(3)$ ,  $I_1=\text{Det}(Y)$ ,  $I_2=\text{Tr}(Y^2)$   $\rightarrow$   $I_2 \geq (54 I_1^2)^{1/3}$



$$I_2 = (54 I_1^2)^{1/3}$$

only if  $Y$  invariant under  $\text{SU}(2)\times\text{U}(1)$

► Dynamical Yukawa's from a Minimum Principle

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- The space spanned by  $Y$  is infinite, but the manifold spanned by the  $I_i$  has boundaries, corresponding to the subgroups of  $G$
- Extrema of  $V$  characterized by  $\partial V / \partial Y_j = \partial V / \partial I_i \times J_{ij} = 0$  where  $J_{ij} = \partial I_i / \partial Y_j$
- Extrema of  $V$  (partially) independent from its structure if  $J$  has **low rank**  
 → “natural extrema” corresponding to maximally unbroken subgroups.

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“natural solutions” associated to maximally unbroken subgroups:

$$\begin{array}{ll} \text{I)} & SU(3)_L \times SU(3)_R \xrightarrow{Y \sim 3 \times \underline{3}} SU(3)_{L+R} \quad \text{or} \quad SU(2)_L \times SU(2)_R \times U(1) \\ \text{II)} & SU(3)_L \times O(3)_N \xrightarrow{Y \sim 3 \times 3} O(3)_{L+N} \end{array}$$

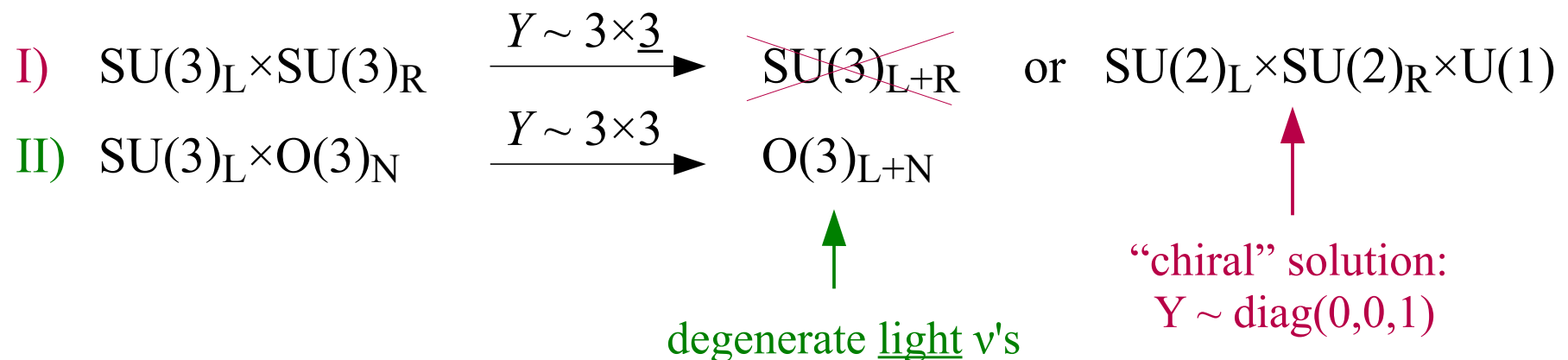
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“natural solutions” associated to maximally unbroken subgroups:



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- SM field content enlarged by 3 heavy right-handed neutrinos (N)
- Largest flavor symmetry compatible with SM gauge group + non-vanishing N masses [*ignoring flavor-conserving U(1) phases*]:  $SU(3)^5 \times O(3)_N$

$$- \mathcal{L}_Y = \bar{q}_L \underline{Y}_D H D_R + \bar{q}_L \underline{Y}_U \tilde{H} U_R + \bar{\ell}_L \underline{Y}_E H E_R + \bar{\ell}_L \underline{Y}_\nu \tilde{H} N + \text{h.c.} + \frac{M}{2} N^T N$$

**Quarks:**  $SU(3)_Q \times SU(3)_U \times SU(3)_D \rightarrow SU(2)_Q \times SU(2)_U \times SU(2)_D \times U(1)_3$

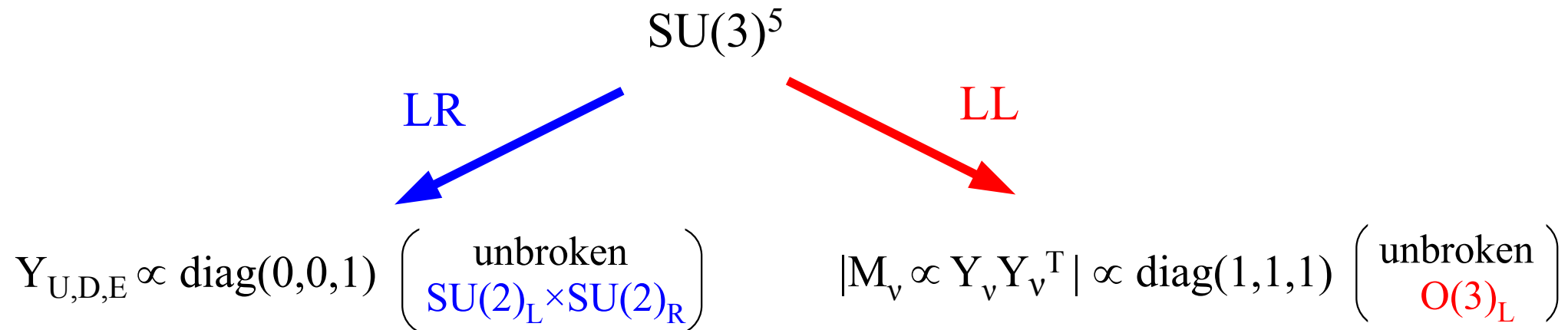
“chiral” solution +  $V_{CKM} = I$

**Leptons:**  $SU(3)_E \times SU(3)_L \times O(3)_N \rightarrow SU(2)_E \times U(1)_{L+N}$

“chiral” charged leptons + degenerate light neutrinos  
+ non-trivial PMNS [related to the orientation of O(3) in SU(3)]



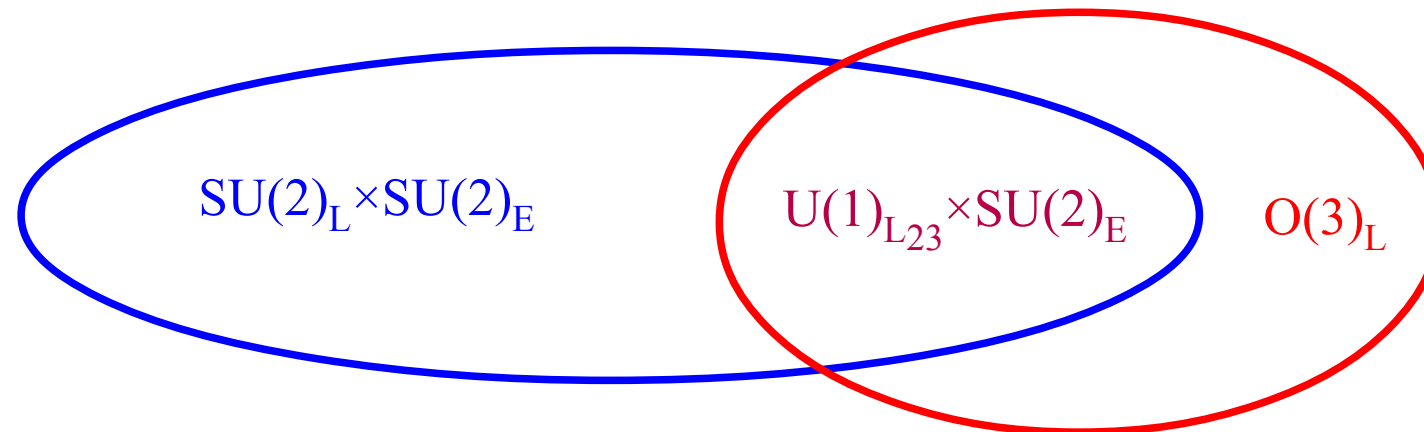
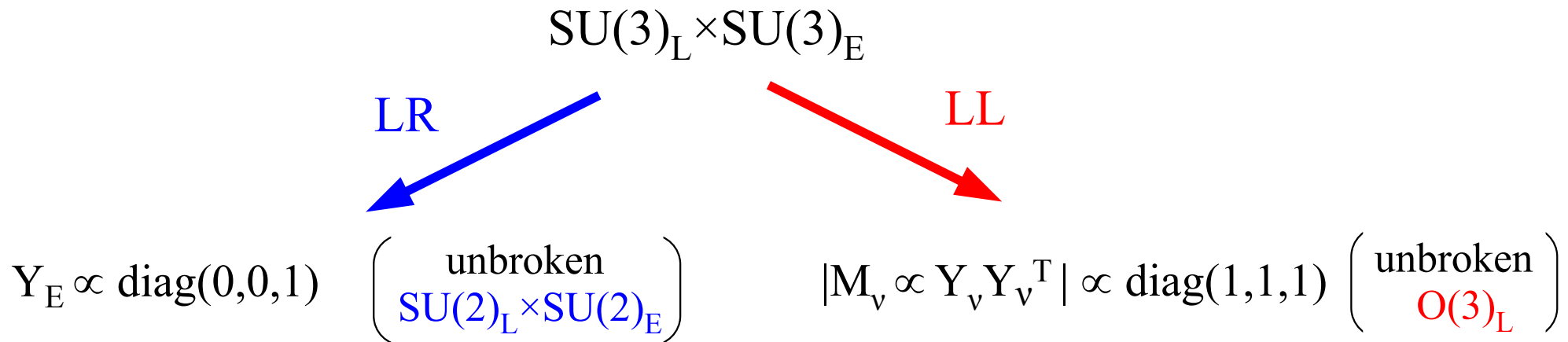
► Dynamical Yukawa's from a Minimum Principle



Two important comments:

- The assumption of seesaw of type-I can be relaxed  
 [  $O(3)_L$  “natural solution” also if  $SU(3)_L$  is broken by  $M_\nu \sim 6$  of  $SU(3)_L$  ]
- The structure of the “initial” group can be made compatible with GUTs  
 [ e.g.:  $SU(3)_{10} \times SU(3)_5 \times SU(3)_1$  in  $SU(5)_{\text{gauge}}$  ]

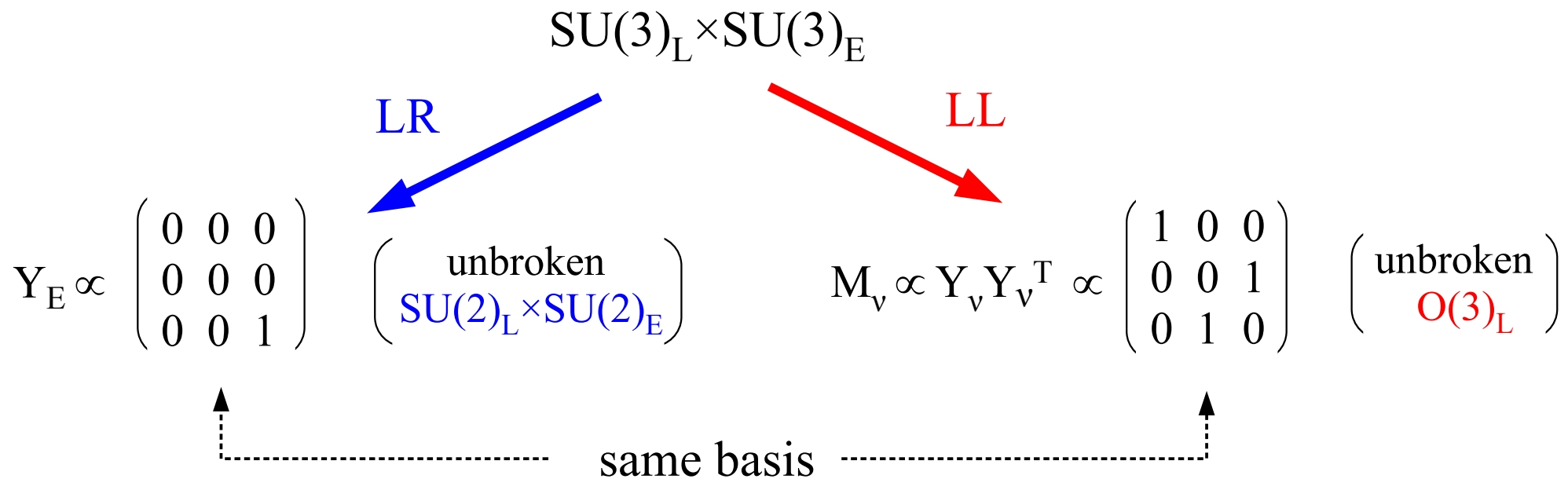
► Dynamical Yukawa's from a Minimum Principle



Alonso, Gavela,  
G.I., Maiani, '13

A “natural orientation” of  $O(3)_L$  vs.  $U(2)_L$  preserving an unbroken  $U(1)$  symmetry implies a  $\pi/4$  mixing angle in the PMNS matrix.

► Dynamical Yukawa's from a Minimum Principle



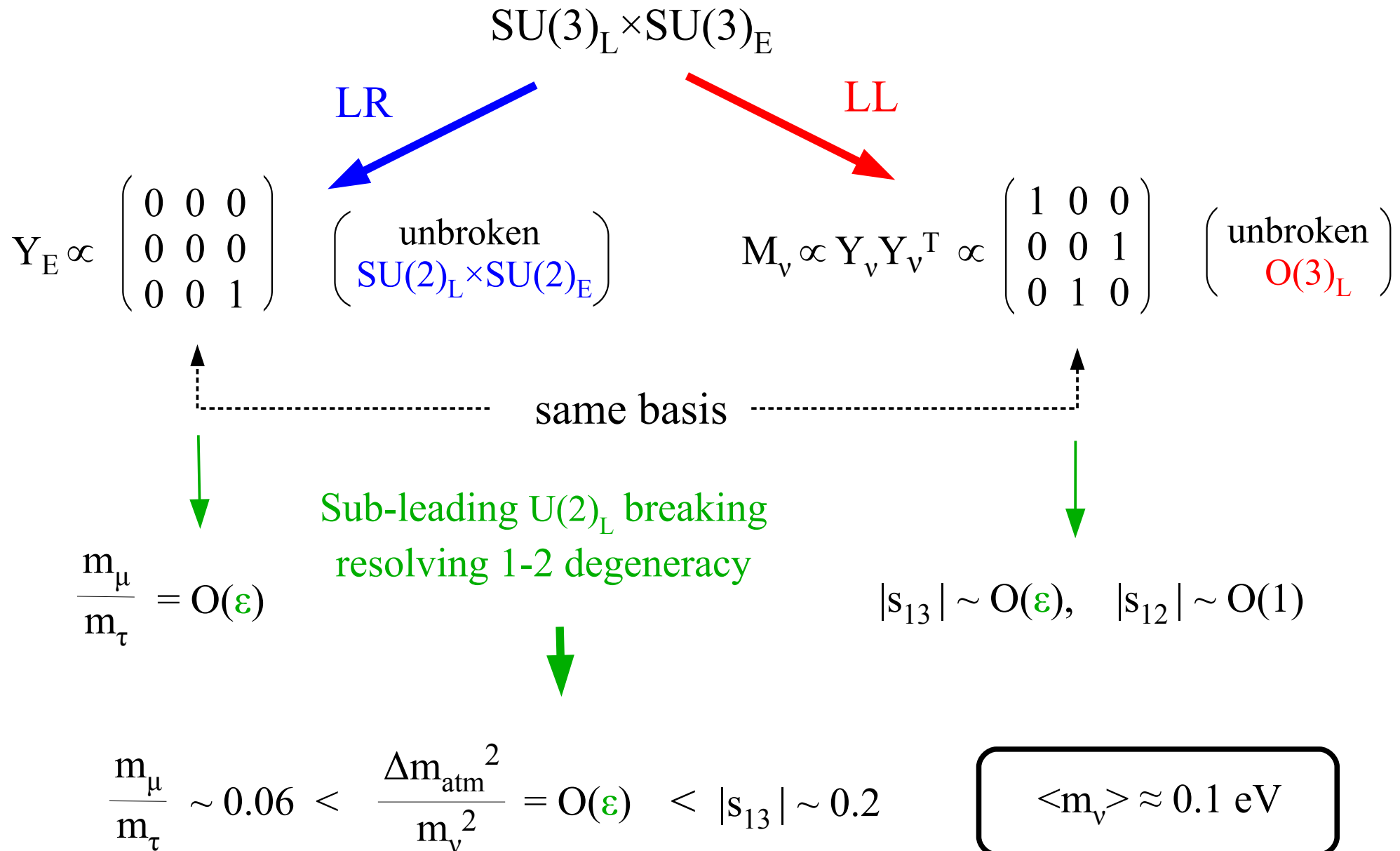
$$Y_\nu \propto \begin{pmatrix} 1 & 0 & 0 \\ 0 & \frac{1}{\sqrt{2}} & -i\frac{1}{\sqrt{2}} \\ 0 & \frac{1}{\sqrt{2}} & i\frac{1}{\sqrt{2}} \end{pmatrix}$$

Residual  $U(1)_{L_{23}}$  symmetry:

$$Y_\nu \rightarrow \exp(i\alpha\lambda'_3) Y_\nu \exp(-i\alpha\lambda_7)$$

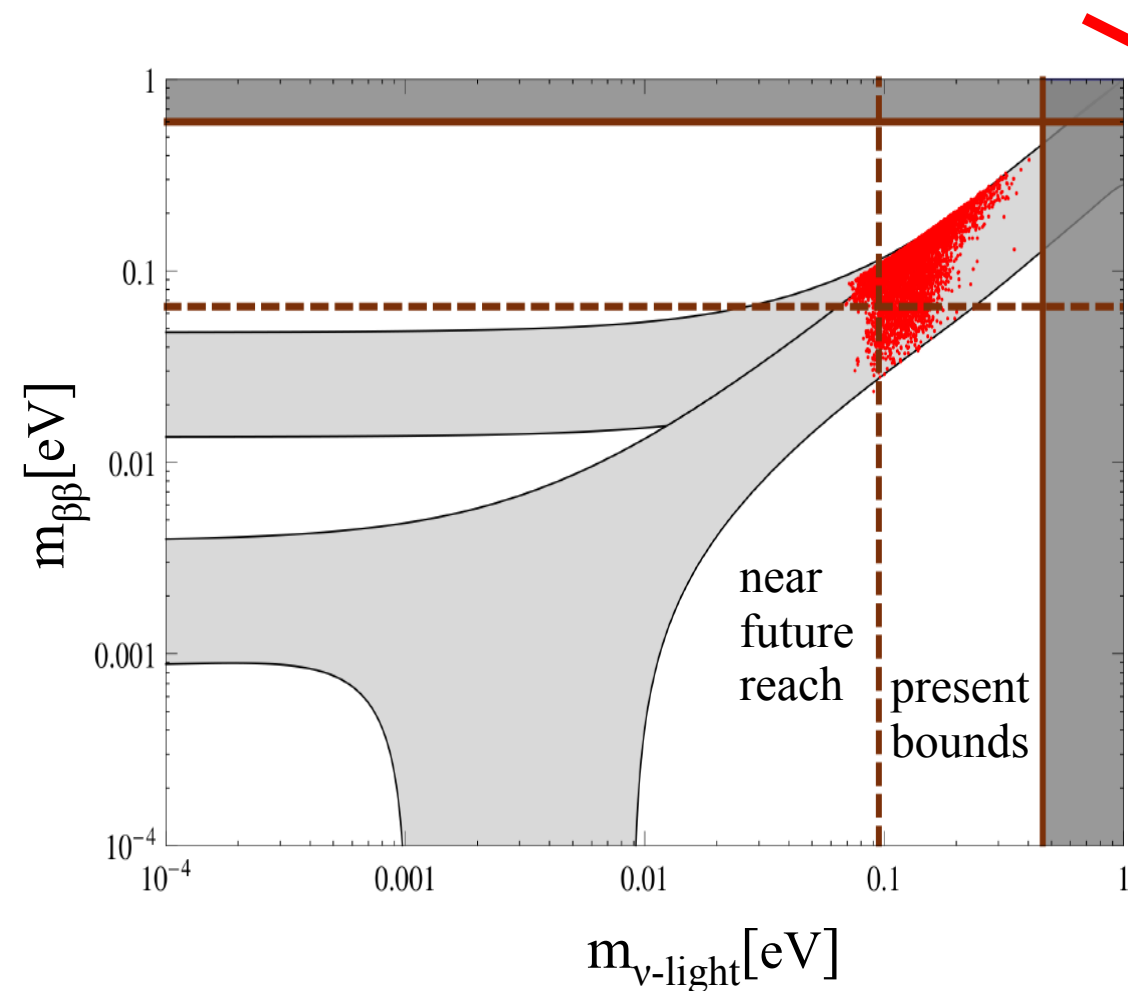
$$\lambda'_3 = \text{diag}(0, 1, -1)$$

► Dynamical Yukawa's from a Minimum Principle



If all this is correct...

$SU(3)_L \times SU(3)_E$



LL

$$M_\nu \propto \begin{pmatrix} 1 & 0 & 0 \\ 0 & 0 & 1 \\ 0 & 1 & 0 \end{pmatrix} \quad \left( \begin{array}{l} \text{unbroken} \\ O(3)_L \end{array} \right)$$

+

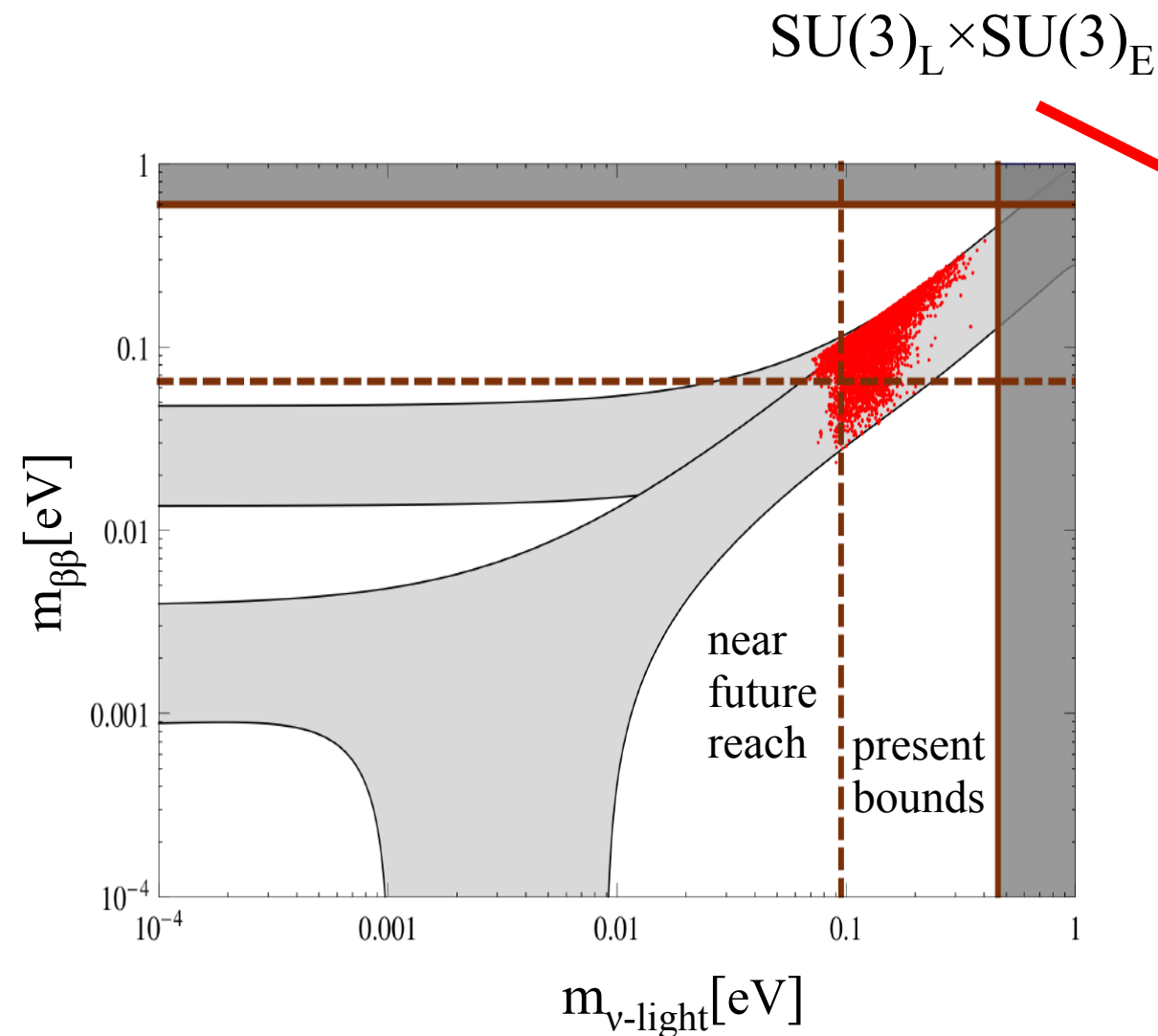
$$\frac{\Delta m_{\text{atm}}^2}{m_\nu^2} = O(\epsilon)$$

$$\langle m_\nu \rangle \approx 0.1 \text{ eV}$$

$$\Sigma m_\nu \gtrsim 0.25 \text{ eV}$$

.... $0\nu 2\beta$  decay experiments should be very close to observe a positive signal

If all this is correct...



$$M_\nu \propto \begin{pmatrix} 1 & 0 & 0 \\ 0 & 0 & 1 \\ 0 & 1 & 0 \end{pmatrix} \quad \left( \begin{array}{l} \text{unbroken} \\ O(3)_L \end{array} \right)$$

+

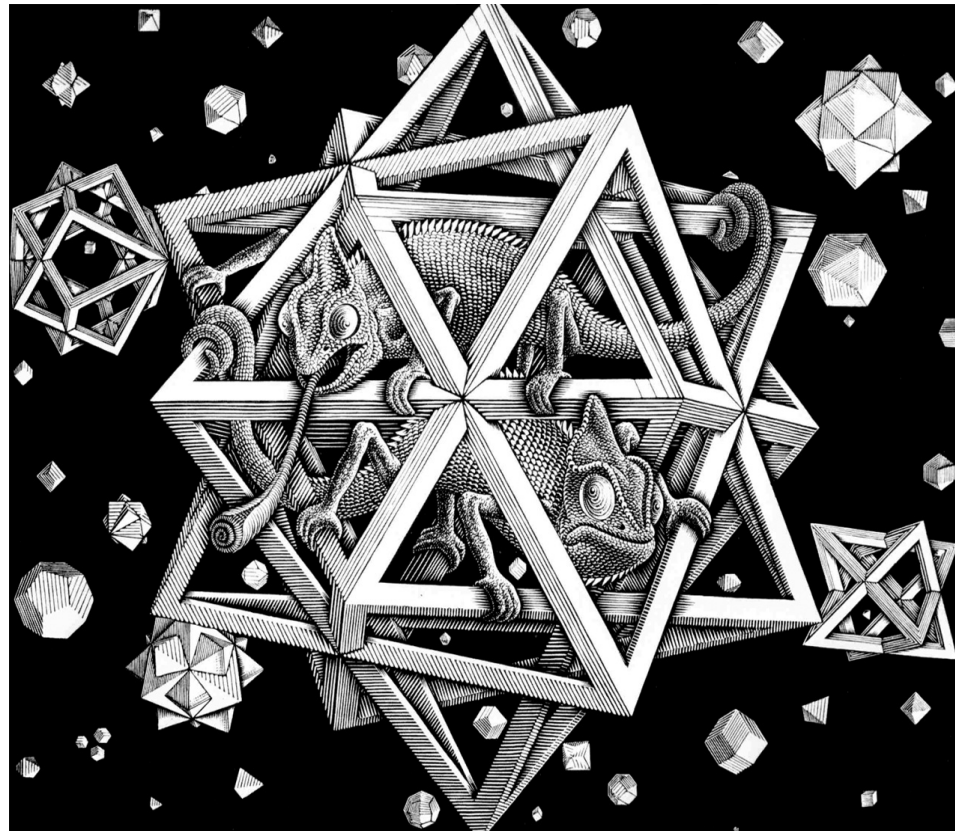
$$\frac{\Delta m_{\text{atm}}^2}{m_\nu^2} = O(\epsilon)$$

$$\langle m_\nu \rangle \approx 0.1 \text{ eV}$$

$$\Sigma m_\nu \gtrsim 0.25 \text{ eV}$$

*As you just heard... cosmological bounds on  $\Sigma m_\nu$  are challenging this picture, but the final word has not yet been spoken...*

## Gauging dynamical Yukawa's and B-physics anomalies



▶ *Gauging dynamical Yukawa's and B-physics anomalies*

Natural to conceive a gauging of the flavor symmetry, in order to avoid Goldstone bosons → *massive “flavored” vector bosons*

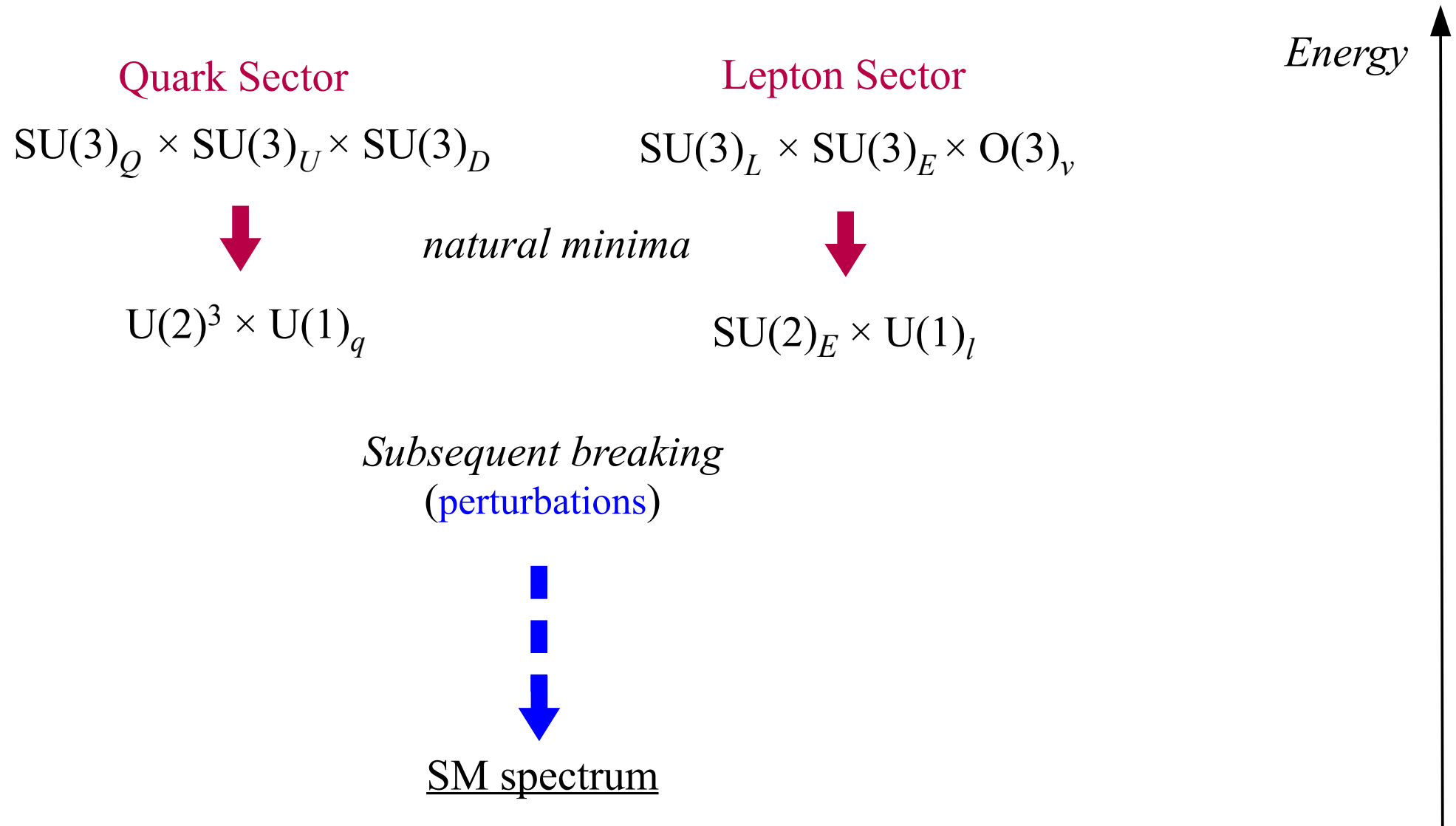
The energy scale where the breaking of the flavor symmetry occurs is not fixed, these massive vectors could all be all be at high energies with no observables consequences.

However, *we cannot exclude some of them to be relatively light...* → possible implications in low-energy flavor-changing observables → *possible connection to B-physics anomalies*



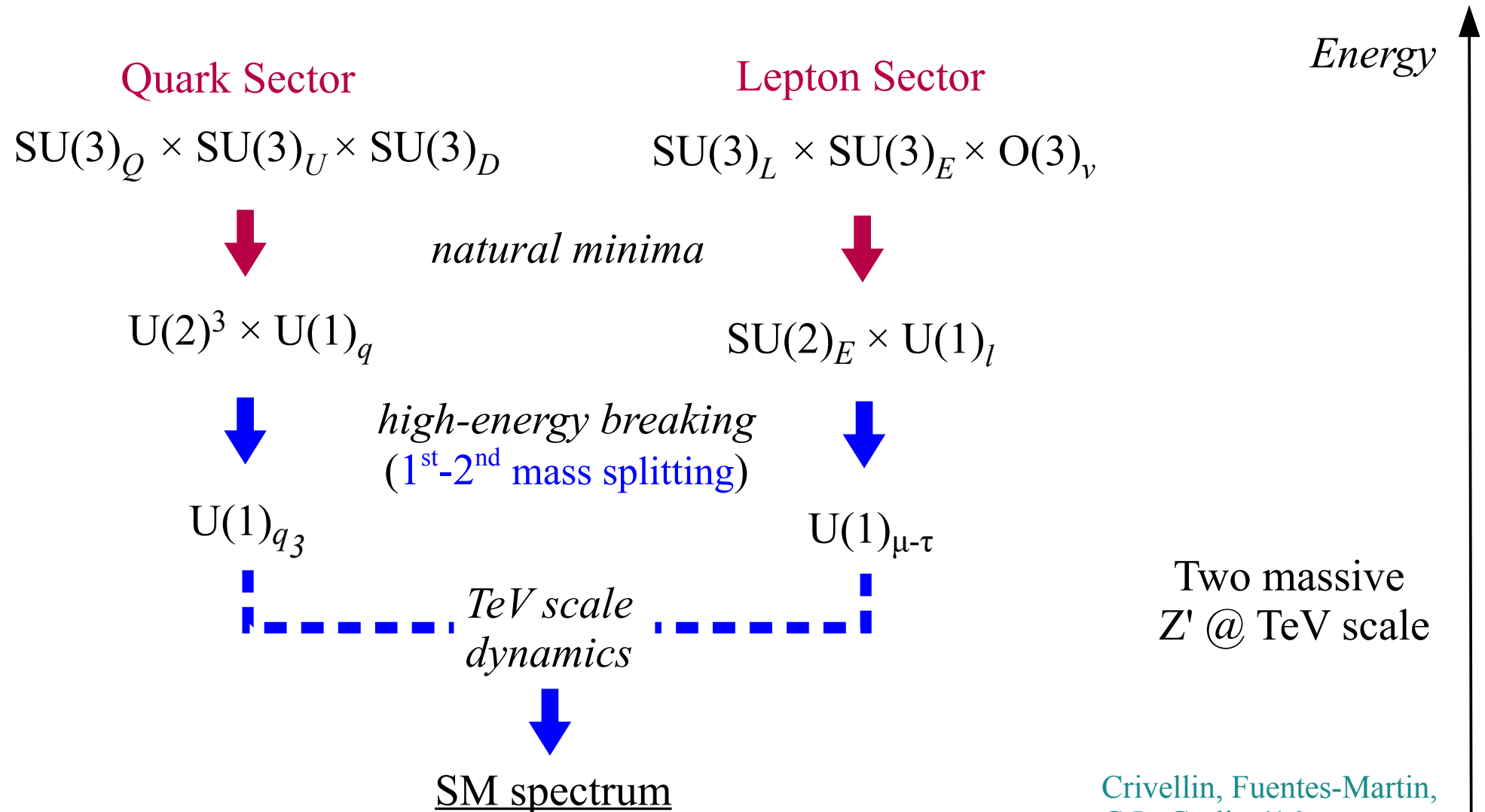
► Gauging dynamical Yukawa's and B-physics anomalies

Main idea: sequential SSB associated to different energy scales



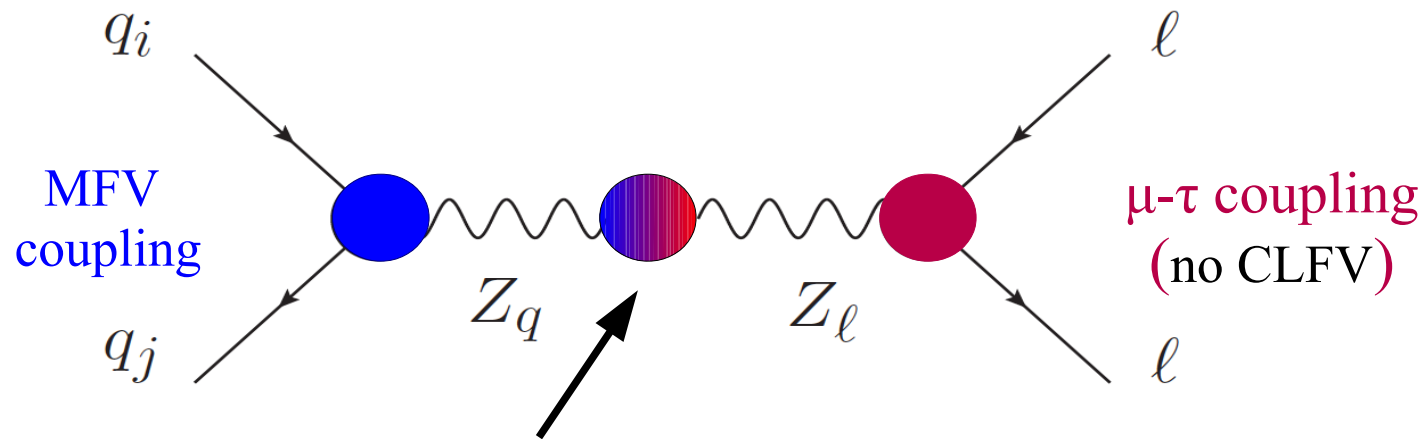
► Gauging dynamical Yukawa's and B-physics anomalies

Main idea: sequential SSB associated to different energy scales



► Gauging dynamical Yukawa's and B-physics anomalies

The couplings of the two Z's are completely specified by the flavor symmetry up to overall-couplings (*which in turn are connected to their masses*)



Mass mixing ( $\epsilon$ ) - *allowed by the symmetry of the system but not predicted*

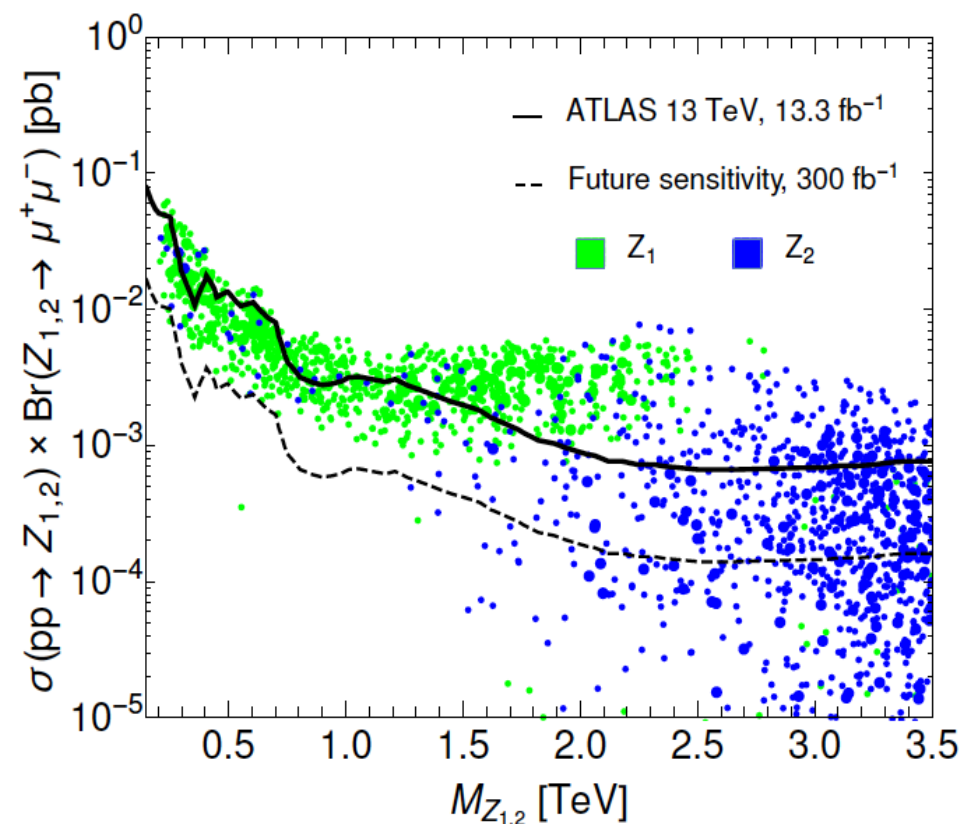
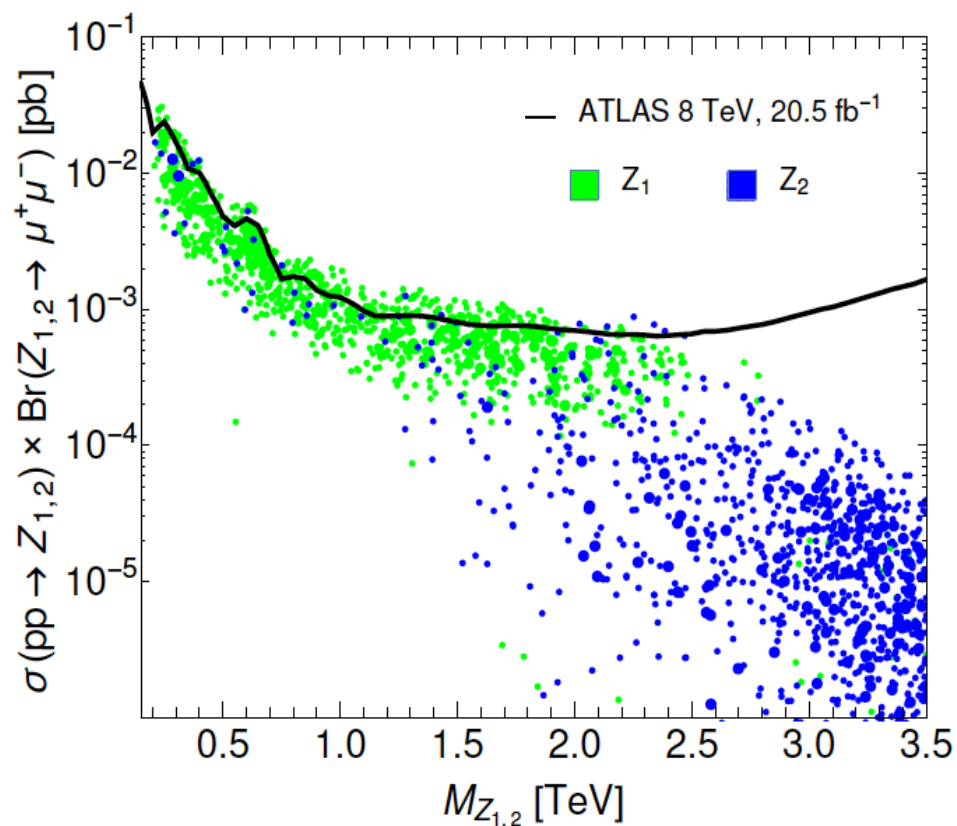
$$C_9^\mu|_{\text{NP}} \simeq - \left( \frac{g_q \Lambda_v}{M_{Z_2}} \right) \left( \frac{g_l \Lambda_v}{M_{Z_1}} \right) \times \epsilon \quad \longrightarrow \quad \begin{array}{l} \text{"solution" of B physics} \\ b \rightarrow s \text{ anomalies} \\ \text{for } \epsilon \sim 0.1 \end{array}$$

↑ constrained by Bs mixing      ↑ constrained by  $\sigma(vN \rightarrow \nu\mu\mu N)$

► Gauging dynamical Yukawa's and B-physics anomalies

The couplings of the two Z's are completely specified by the flavor symmetry up to overall-couplings (which in turn are connected to their masses)

→ *highly constrained system* → parameter space relevant to B-physics anomalies can be tested at the LHC by ATLAS & CMS



## Conclusions

- ▶ The “*lepton perspective*” is a key ingredient in addressing the flavor problem(s)
- ▶ The apparently different structure of quark and lepton mass matrices could be understood in terms of “natural solutions” of a large non-Abelian flavor symmetry broken by dynamical Yukawa fields → residual  $SU(2)_L \times SU(2)_R$  **chiral symmetry for Dirac masses** +  $O(3)$  symmetry in the neutrino sector.
- ▶ Predictions of the un-perturbed solution:
  - **Vanishing masses for first two generations of quarks & leptons** + trivial CKM
  - **Degenerate neutrinos** +  $\theta_{23}=\pi/4$ ,  $\theta_{12}=O(1)$ ,  $\theta_{13}=0$ .  
(excellent first-order approximation to the observed spectrum)
- ▶ Decisive test of this hypothesis via  **$0\nu 2\beta$  decay experiments**
- ▶ In specific realization of the flavor symmetry-breaking mechanism, possible implications/connections with LFU in B physics (*not guaranteed...!*)