

Lepton Flavor Universality violations and Flavor Symmetries

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- ▶ Introduction
- ▶ EFT-type considerations
- ▶ Simplified dynamical models
- ▶ Conclusions

Disclaimer:

- this is not review
- apologies for missing citations

► Introduction

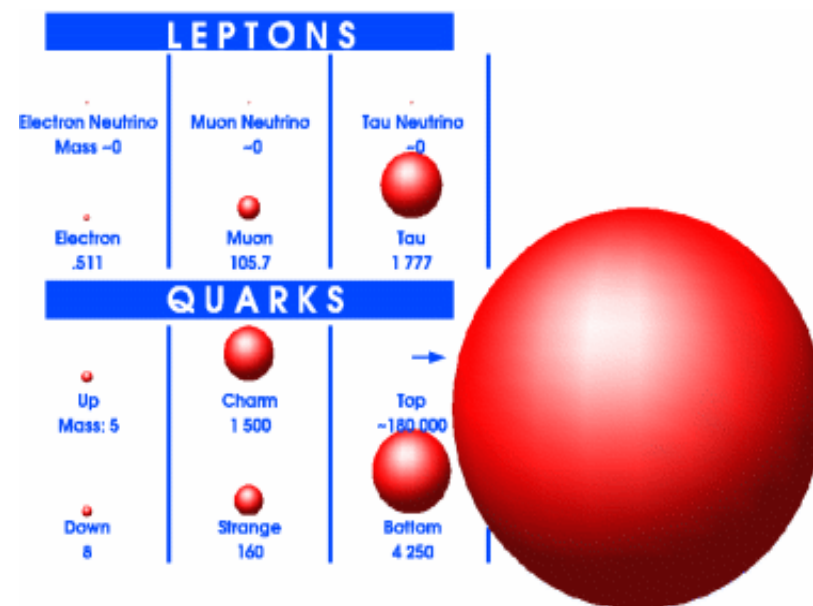
Recent data show some convincing evidences of **L**epton **F**lavor **U**niversality violations

- **b** → **c** charged currents: τ vs. light leptons (μ , e) [R_D , R_{D^*}]
- **b** → **s** neutral currents: μ vs. e [R_K , R_{K^*} (+ P_5 *et al.*)]

IF taken together... this is probably the largest “coherent” set of NP effects in present data...

A few general messages:

- LFU is not a fundamental symmetry of the SM Lagrangian (*global symmetry of the gauge sector only, badly broken by Yukawas*)
- LFU tests at the Z peak are not as stringent as they may appear (→ gauge sector)
- Most stringent tests of LFU involve only 1st-2nd gen. quarks & leptons



Natural to conceive NP models where LFU is violated more in processes involving 3rd gen. quarks & leptons (↔ *hierarchy in Yukawa coupl.*)

► Introduction

These recent results have stimulated a lot of theoretical activity
(*not particularly instructive to discuss all NP proposals...*)

What I will discuss next is a bottom-up approach made of three main steps:

Generic EFT approach – with flavor symmetries



Simplified Dynamical Models



High-energy behavior and UV completion

The main guide will be the attempt to describe both LFU effects within the same framework [*possibly linking them to the observed pattern of Yukawa couplings*] and, while “going up” in energies (and assumptions), check the consistency with

- other low-energy data
- high-pT physics

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Generic EFT approach – with flavor symmetries

Bordone, GI,
Trifinopoulos '17



Simplified Dynamical Models

Greljo, GI, Marzocca '15
Barbieri, GI, Pattori, Senia '15



High-energy behavior and UV completion

Buttazzo, Greljo, GI,
Marzocca '15

Faroughy, Greljo, Kamenik '16

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- other low-energy data
- high-pT physics

► EFT-type considerations

- Anomalies are seen only in semi-leptonic (quark×lepton) operators
- RR and scalar currents disfavored → LL current-current operators
- Necessity of at least one $SU(2)_L$ -triplet effective operator
(as in the Fermi theory):

$$\frac{g_q g_\ell}{\Lambda^2} \lambda_{ij}^q \lambda_{kl}^\ell (\bar{Q}_L^i T^a \gamma_\mu Q_L^j) (\bar{L}_L^k T^a \gamma^\mu L_L^l)$$

Bhattacharya *et al.* '14
Alonso, Grinstein, Camalich '15
Greljo, GI, Marzocca '15
(+many others...)

- Large coupling (competing with SM tree-level) in $bc \rightarrow l_3 \nu_3$
- Small non-vanishing coupling (competing with SM FCNC) in $bs \rightarrow l_2 l_2$

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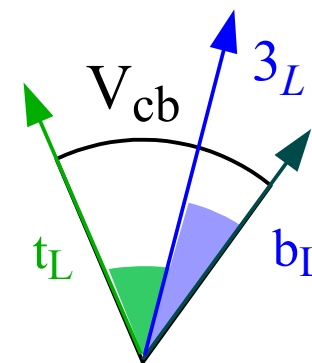
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- Large coupling (competing with SM tree-level) in bc ($=33_{\text{CKM}}$) → $l_3 v_3$
- Small non-vanishing coupling (competing with SM FCNC) in bs → $l_2 l_2$

$$Q_L^{(3)} \sim q_L^{(b)} = \begin{bmatrix} V_{ib}^* u_L^i \\ b_L \end{bmatrix} \quad \text{up to CKM} \\ \text{rotations of } O(V_{cb})$$



$$\lambda_{ij}^{q,\ell} = \delta_{i3} \delta_{3j} + \text{small corrections} \\ \text{for 2}^{\text{nd}} \text{ (& 1}^{\text{st}}) \text{ generations}$$

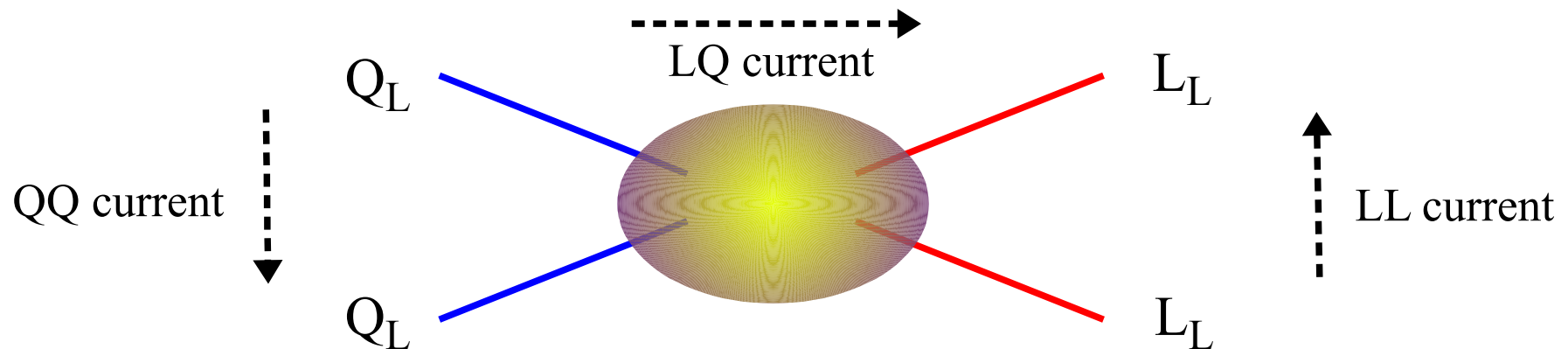


Glashow, Guadagnoli,
Lane '14

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- Anomalies are seen only in semi-leptonic (**quark**×**lepton**) operators
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- Two natural classes of mediators, giving rise to different correlations among **quark**×**lepton** (evidence) and **quark**×**quark** + **lepton**×**lepton** (bounds)

► EFT-type considerations [general consequences in charged currents]

$$\frac{\mathcal{A}(b \rightarrow c \ell^i \bar{\nu}^i)_{\text{SM+NP}}}{\mathcal{A}(b \rightarrow c \ell^i \bar{\nu}^i)_{\text{SM}}} = 1 + R_0 \lambda_{ii}^\ell \quad R_0 \equiv \frac{g_\ell g_q}{g^2} \frac{m_W^2}{\Lambda^2}$$

I. From $R(D^*)$ & $R(D)$ data $[\Gamma(b \rightarrow c \tau \nu)/\Gamma(b \rightarrow c \mu \nu)] \rightarrow R_0 = 0.14 \pm 0.04$

NP Scale: 200 GeV (weak coupl.) \longleftrightarrow 2 TeV (strong coup.)

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NP Scale: 200 GeV (weak coupl.) \longleftrightarrow 2 TeV (strong coup.)

The only possibility to get a larger NP scale is to remove the CKM suppression in the NP amplitude ($\Lambda \rightarrow \sim 5 \times \Lambda$), alining it to the b-c direction (*strong MFV*). However... Crivellin, Muller, Ota '17

- This is not nice form the model-building side
- It creates a serious fine-tuning problem in $b_L \rightarrow s_L \nu_3 \nu_3$ (and other FCNCs)



not discussed further...

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II. In principle, it should be possible to get a strong bound on the sub-leading leptonic coupling ($\lambda_{\mu\mu}$) from $\Gamma(b \rightarrow c \mu \nu)/\Gamma(b \rightarrow c e \nu)$, but surprisingly it is not so stringent ($|\lambda_{\mu\mu}| \lesssim 0.1$) \rightarrow no dedicated studies @ B-factories !

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III. This breaking of LFU in c.c. is expected to be universal on the quark side for $b \rightarrow c$ and $b \rightarrow u$

$$\begin{aligned} \text{BR}(B \rightarrow D^* \tau \nu) / \text{BR}_{\text{SM}} &= \text{BR}(B \rightarrow D \tau \nu) / \text{BR}_{\text{SM}} = \text{BR}(\Lambda_b \rightarrow \Lambda_c \tau \nu) / \text{BR}_{\text{SM}} = \dots \\ &= \text{BR}(B \rightarrow \pi \tau \nu) / \text{BR}_{\text{SM}} = \text{BR}(\Lambda_b \rightarrow p \tau \nu) / \text{BR}_{\text{SM}} = \text{BR}(B_u \rightarrow \tau \nu) / \text{BR}_{\text{SM}} \\ &= \dots \end{aligned}$$

N.B.: $\text{BR}(B_u \rightarrow \tau \nu)^{\text{exp}} / \text{BR}_{\text{SM}} = 1.31 \pm 0.27$

UTfit. '16

► EFT-type considerations [$U(2)^n$ flavor symmetry]

To go beyond charged currents, and discuss possible connections between $\text{quark} \times \text{lepton}$ (evidence) and $\text{quark} \times \text{quark} + \text{lepton} \times \text{lepton}$ (bounds) we need extra theoretical assumptions \rightarrow flavor symmetries

Given....

- Small deviations from SM in $\Delta F=2$
[up to 20% vs. SM amplitude that is CKM and loop suppressed]
with particularly tight constraints from MFV-type tests
[$\Delta M_s/\Delta M_d, \sin(2\beta) \rightarrow$ up to few% vs. SM]
 - Per-mill constraints on LFU violations in purely leptonic tau decays and in semi-leptonic processes involving only light quarks
 - Very stringent constraints on LFV in charged leptons
- Possible link to the observed pattern of Yukawa couplings



$U(2)^n$ (chiral) flavor symmetry

- 3rd generations fermions are singlets
- 1st and 2nd generation fermions are doublets

► EFT-type considerations [$U(2)^n$ flavor symmetry]

A brief detour: $U(2)^n$ flavor symmetries (acting on light generations)

- The exact symmetry limit is good starting point for the SM spectrum ($m_u=m_d=m_s=m_c=0$, $V_{CKM}=1$) → small breaking terms needed
- Efficient protection of FCNCs (\sim MFV like)

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

Quark sector: $U(2)^3 = U(2)_q \times U(2)_u \times U(2)_d$

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

unbroken symmetry

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

unbroken symmetry

Minimal breaking to reproduce SM Yukawa couplings while keeping small FCNCs:

$$|V| \sim 0.04 \sim 2_q$$

$$|\Delta| \sim 0.006 \sim 2_q \times 2_u$$

- 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
- More “efficient” than MFV for having large effects for 3rd generation

► EFT-type considerations [$U(2)^n$ flavor symmetry]

General EFT analysis of (LH) four-fermion operators based on the flavor symmetry $U(2)_q \times U(2)_l$ broken only by two spurions $V_Q = (V_{td}, V_{ts})$ and $V_l = (V_e, V_\mu) \approx (0, V_\mu)$

Bordone, GI,
Trifinopoulos '17

$$\bar{q}^{(3)} \Gamma q^{(3)} \times \bar{l}^{(3)} \Gamma l^{(3)}$$

$$\bar{q}_{light} V_Q \Gamma q^{(3)} \times \bar{l}^{(3)} \Gamma l^{(3)}$$

$$\bar{q}^{(3)} \Gamma q^{(3)} \times \bar{l}_{light} V_l \Gamma l^{(3)}$$

⋮

► EFT-type considerations [$U(2)^n$ flavor symmetry]

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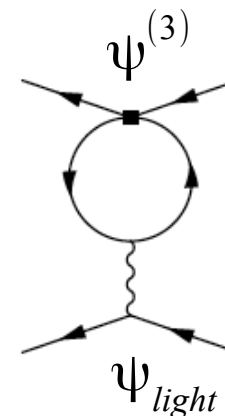
Bordone, GI,
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Strategy/goal:

- Overall scale fixed by R_{D^*} → check the consistency with all the other low-energy processes → determine additional dynamical conditions (+ size of $|V_l|$) to ensure a “natural” EFT

Approximations/assumptions:

- Include leading radiatively generated terms in the running $\Lambda \rightarrow m_W$ (sizable impact in $\tau \rightarrow l\nu\nu$ decays)
- Neglect constraints from observables sensitive at the tree level to non four-quark operators



Feruglio, Paradisi,
Pattori '16, '17

► EFT-type considerations [$U(2)^n$ flavor symmetry]

Process	Combination	Constraint
$R_{D^{(*)}}$	$\text{Re} \left(C_{02}^q + V_{Q_s} C_{12}^q \frac{V_{cs}}{V_{cb}} \right)$	$(0.7 \pm 0.2) \times 10^{-1}$
$B \rightarrow D \mu \nu_\mu$	$\text{Re} \left(C_{04}^q + V_{Q_s} C_{14}^q \frac{V_{cs}}{V_{cb}} \right)$	$-(0.8 \pm 2.5) \times 10^{-2}$
$\tau \rightarrow \mu \nu \bar{\nu}$	$\text{Re} (C_{04}^\ell)$	$-(1.2 \pm 0.5) \times 10^{-2}$
$ V_{us} _\tau / V_{us} _\mu$	$\text{Re} [C_{08}^q - C_{06}^q + (C_{14}^q - C_{12}^q) V_{Q_s} V_{ub} / V_{us}]$	$(0.7 \pm 0.4) \times 10^{-2}$
$\tau \rightarrow \mu ee$	$ V_l \times (C_{13}^\ell + C_{14}^\ell ^2 + C_{R2}^\ell ^2 + C_{T2}^\ell ^2)^{1/2}$	$\leq 3.2 \times 10^{-4}$
$\tau \rightarrow 3\mu$		
$\tau \rightarrow \rho\mu$	$ C_{24}^q V_l $	$\leq 1.4 \times 10^{-4}$
$\tau \rightarrow \omega\mu$	$ C_{23}^q V_l $	$\leq 3.2 \times 10^{-4}$
$B \rightarrow K \nu \bar{\nu}$	$ \text{Re}(C_{11}^q - C_{12}^q) $	$\leq 8.0 \times 10^{-2}$
$B^0 - \bar{B}^0$	$ C_{01}^{qq} + C_{02}^{qq} $	$\leq 0.42 \times 10^{-3}$
$B_d \rightarrow \tau\mu$	$ C_{31}^q + C_{32}^q V_l $	$\leq 4.5 \times 10^{-2}$
$R_K^{(*)}$	$\text{Re} (C_{13}^{q-2} + C_{14}^{q-2}) V_l ^2$	$-(0.8 \pm 0.2) \times 10^{-3}$

- Two main anomalies we want to fit
- Terms that depends on $|V_l|$

► EFT-type considerations [$U(2)^n$ flavor symmetry]

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- Two main anomalies we want to fit
- Terms that depends on $|V_l|$
- Strong (residual) bounds from $\Delta F=2$ (after CKM suppression)

without quark spurion:

→ 6×10^{-7}

→ 3×10^{-5}

► EFT-type considerations [$U(2)^n$ flavor symmetry]

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- Two main anomalies we want to fit
- Terms that depends on $|V_l|$
- Strong (residual) bounds from $\Delta F=2$ (after CKM suppression)
- Non-vanishing term needed to compensate RGE effect in $\tau \rightarrow l \nu \nu$



Extra dynamical assumpt. necessary to obtain a consistent picture

► EFT-type considerations [$U(2)^n$ flavor symmetry]

General EFT analysis of (LH) four-fermion operators based on the flavor symmetry $U(2)_q \times U(2)_l$ broken only by two spurions $V_Q = (V_{td}, V_{ts})$ and $V_l = (V_e, V_\mu) \approx (0, V_\mu)$

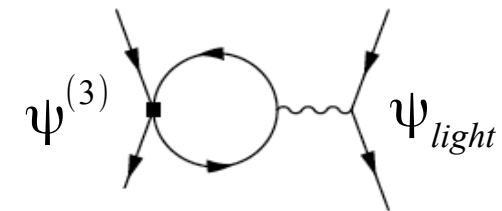
Bordone, GI,
Trifinopoulos '17

↓ *coherent picture if*

- weaker coupling of the light-quark flavor-singlet combinations to NP
(*easy to implement in explicit NP constructions, e.g. partial compositeness*)

$$\bar{\Psi}_{light} \gamma^\mu \Psi_{light} \longrightarrow \epsilon_{light} \bar{\Psi}_{light} \gamma^\mu \Psi_{light}$$

$$|\epsilon_{light}| \sim 0.1 \text{ (radiatively stable)}$$



- $|V_l| \sim 0.3 - 0.1$

But residual $O(10\%)$ tuning needed in order to satisfy the bounds from

- Bs mixing (\leftrightarrow [alignment to down-quark mass basis](#))
- LFU in $\tau \rightarrow l\nu\nu$

As already found in explicit model constructions [[Greljo et al. '15](#), [Barbieri et al. '16](#)]

► EFT-type considerations [$U(2)^n$ flavor symmetry]

This coherent picture leads to several testable predictions in other low-energy observables:

• $b \rightarrow c(u) l\nu$ $\text{BR}(B \rightarrow D^* \tau\nu)/\text{BR}_{\text{SM}} = \text{BR}(B \rightarrow D \tau\nu)/\text{BR}_{\text{SM}} = \text{BR}(\Lambda_b \rightarrow \Lambda_c \tau\nu)/\text{BR}_{\text{SM}}$
 $= \text{BR}(B \rightarrow \pi \tau\nu)/\text{BR}_{\text{SM}} = \text{BR}(\Lambda_b \rightarrow p \tau\nu)/\text{BR}_{\text{SM}} = \text{BR}(B_u \rightarrow \tau\nu)/\text{BR}_{\text{SM}}$

• $b \rightarrow s \mu\mu$ $\Delta C_9^\mu = -\Delta C_{10}^\mu$

• $b \rightarrow s \tau\tau$ $|\text{NP}| \sim |\text{SM}| \rightarrow$ large enhancement (easily $10 \times \text{SM}$)

• $b \rightarrow s \nu\nu$ $\sim O(1)$ deviation from SM in the rate

• $K \rightarrow \pi \nu\nu$ $\sim O(1)$ deviation from SM in the rate

• **Meson mixing** $\sim 10\%$ deviations from SM both in ΔM_{B_s} & ΔM_{B_d}

• τ decays $\tau \rightarrow 3\mu$ not far from present exp. Bound ($\text{BR} \sim 10^{-9}$)

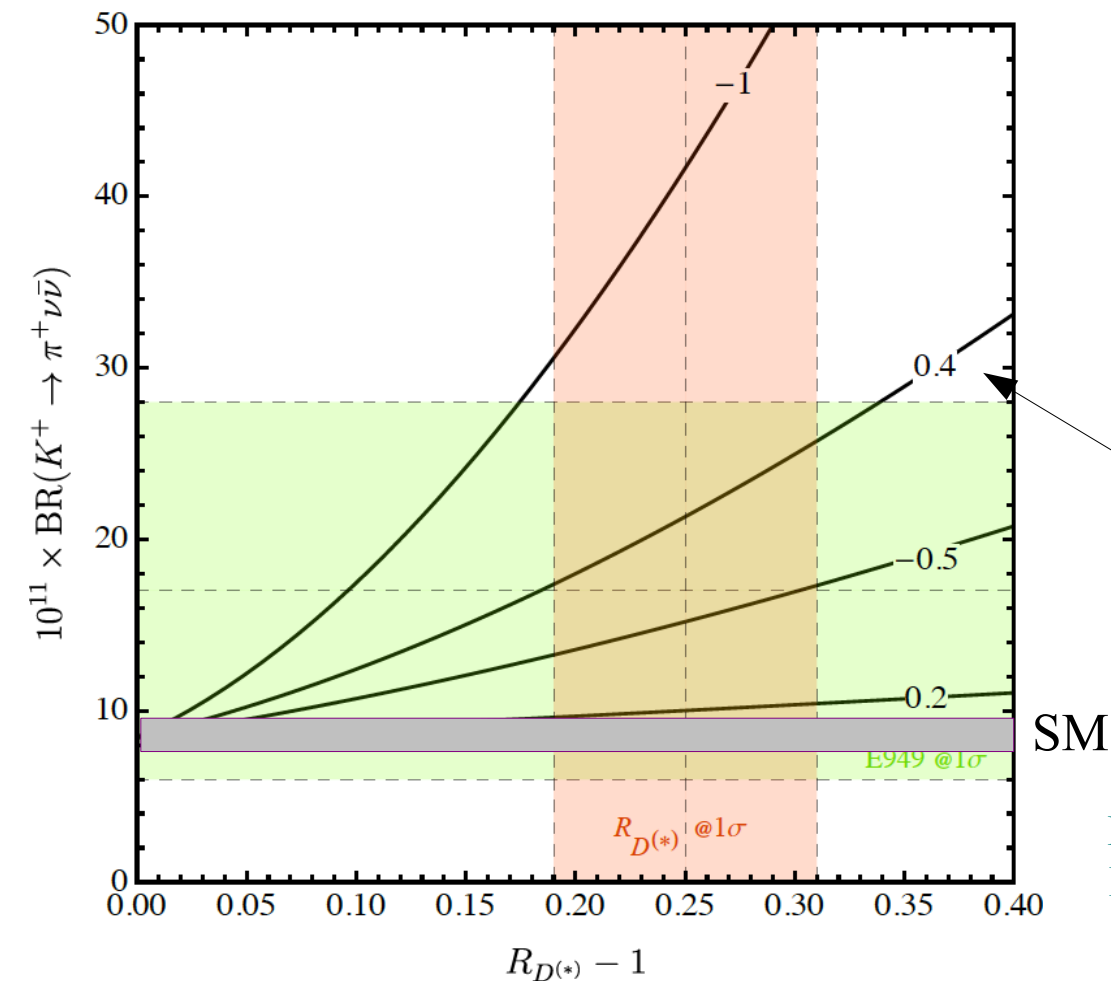
► EFT-type considerations [$U(2)^n$ flavor symmetry]

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

SM like

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

possible large deviation
from SM as in $b \rightarrow s \tau \tau$



Very interesting in view of NA62

O(1) parameter
of the EFT

Barbieri *et al.* '16

Bordone, Buttazzo, GI, Monard (*to appear...*)

► Simplified dynamical models

While the EFT is useful to derive relation among low-energy observables, simplified dynamical models with explicit mediators are particularly useful to

- reduce the number of free parameters
- check the consistency with high-energy data (*that is very relevant...*)
- identify possible UV completions

I. The triplet-vector model

Greljo, GI, Marzocca '15
Boucenna *et al.* '16

First concrete dynamical model addressing all anomalies !

- The leading effective triplet operator is the result of integrating-out a **heavy $SU(2)_L$ -triplet of vector bosons** (W' , Z') coupled to a single current:

$$J_\mu^a = g_q \lambda_{ij}^q \left(\bar{Q}_L^i \gamma_\mu T^a Q_L^j \right) + g_\ell \lambda_{ij}^\ell \left(\bar{L}_L^i \gamma_\mu T^a L_L^j \right) \longrightarrow \frac{1}{2m_V^2} J_\mu^a J_\mu^a$$

- **Flavor on-Universal flavor structure** of the currents:
 - Coupling to 3rd generations not suppressed
 - Coupling to light generations controlled by small $U(2)_q \times U(2)_l$ breaking

Overall goof fit of the data (*that improves if the anomaly on R_D would decrease*)

► Simplified dynamical models

II. LQ models

Long list
of literature.....

- The leading effective triplet operator is the result of integrating-out **Lepto-Quark (LQ)** fields
- **Flavor on-Universal flavor structure** of the currents:
 - Coupling to 3rd generations not suppressed
 - Coupling to light generations controlled by small $U(2)_q \times U(2)_l$ breaking

Only **Vector LQ** produce a **very good fit of both R_{K^*} and R_D**
(without extra tuning)

- *Problem in **B_s mixing less severe than in the vector triplet** (loop level)*
- *Problem in (radiatively induced) **$\tau \rightarrow l\nu\nu$ more severe***

► *Simplified dynamical models*

In both cases (heavy vector triplets & vector LQ) we should address two basic questions:

- *Are these models compatible with high-energy (direct) searches?*
- *Can we find meaningful UV completions?*

► Simplified dynamical models

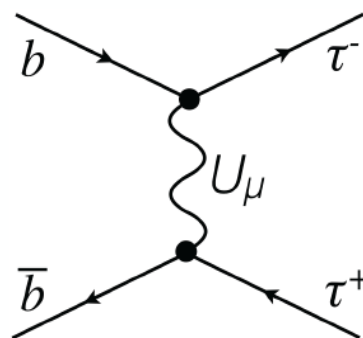
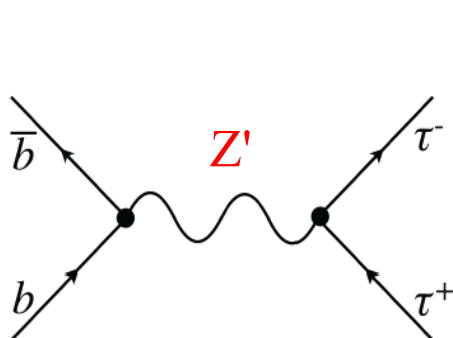
In both cases (heavy vector triplets & vector LQ) we should address two basic questions:

- *Are these models compatible with high-energy (direct) searches? Yes, but...*

In both cases no real problem provided we are in a regime of strong-coupling [large couplings \rightarrow heavy masses & large widths].

E.g.: the heavy vectors could have a mass $\sim 1\text{-}2$ TeV
(*not easily detectable due to small coupling to light quarks & large width*)

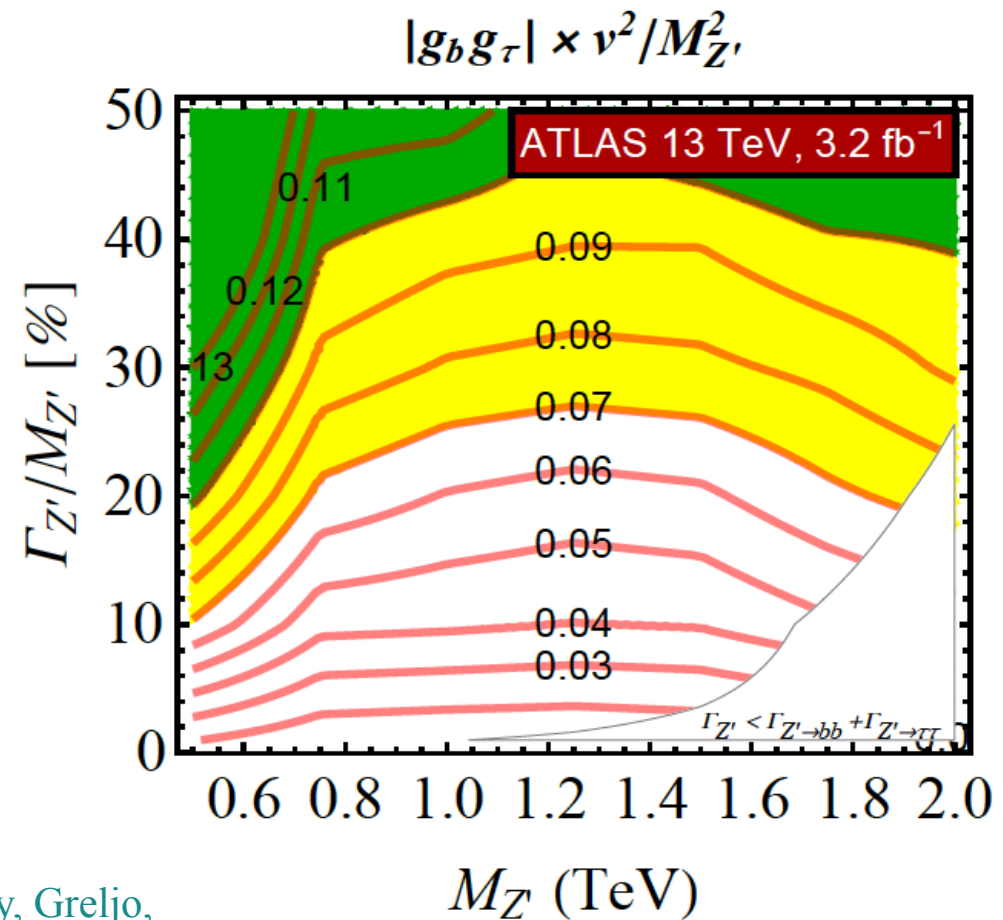
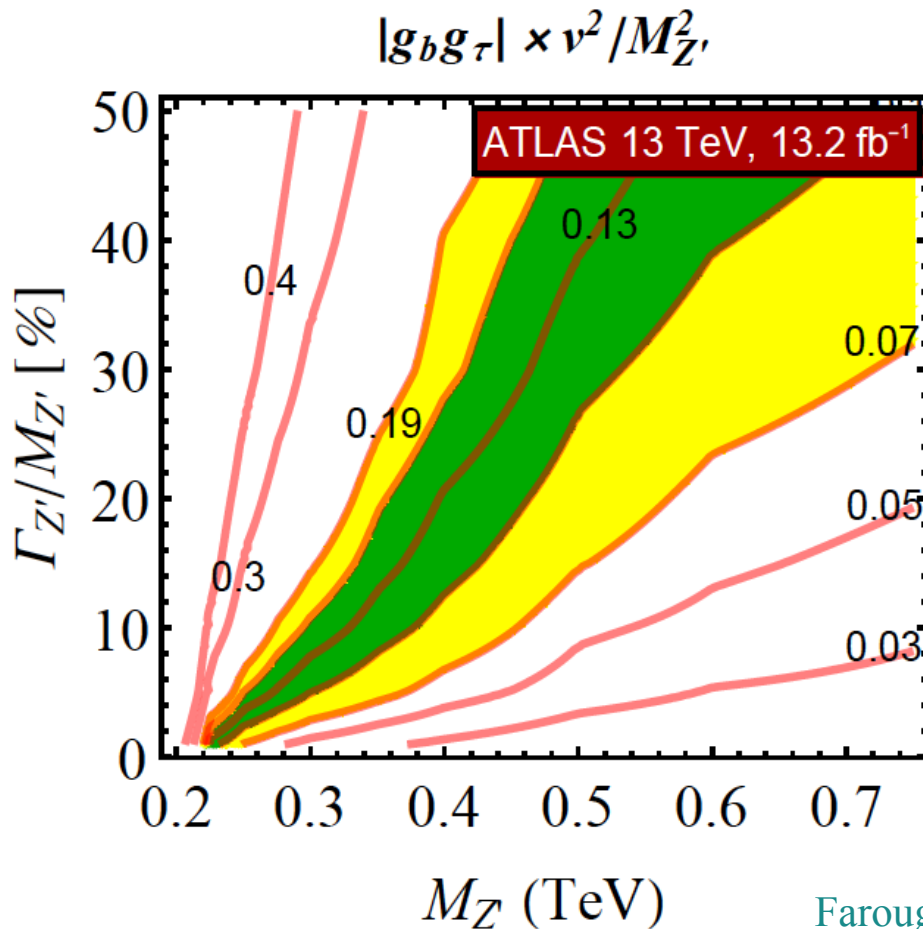
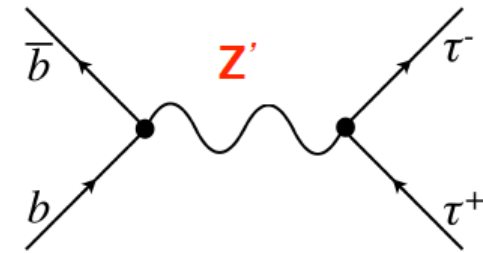
In both cases there is a model-independent expectation of sizable (broad) excess in $pp \rightarrow \tau\tau$ & $pp \rightarrow bb, tt$ that should be accessible in Run-II



- *Already some tension with ATLAS & CMS.*
- *Deviations from SM around the corner...*

► Simplified dynamical models

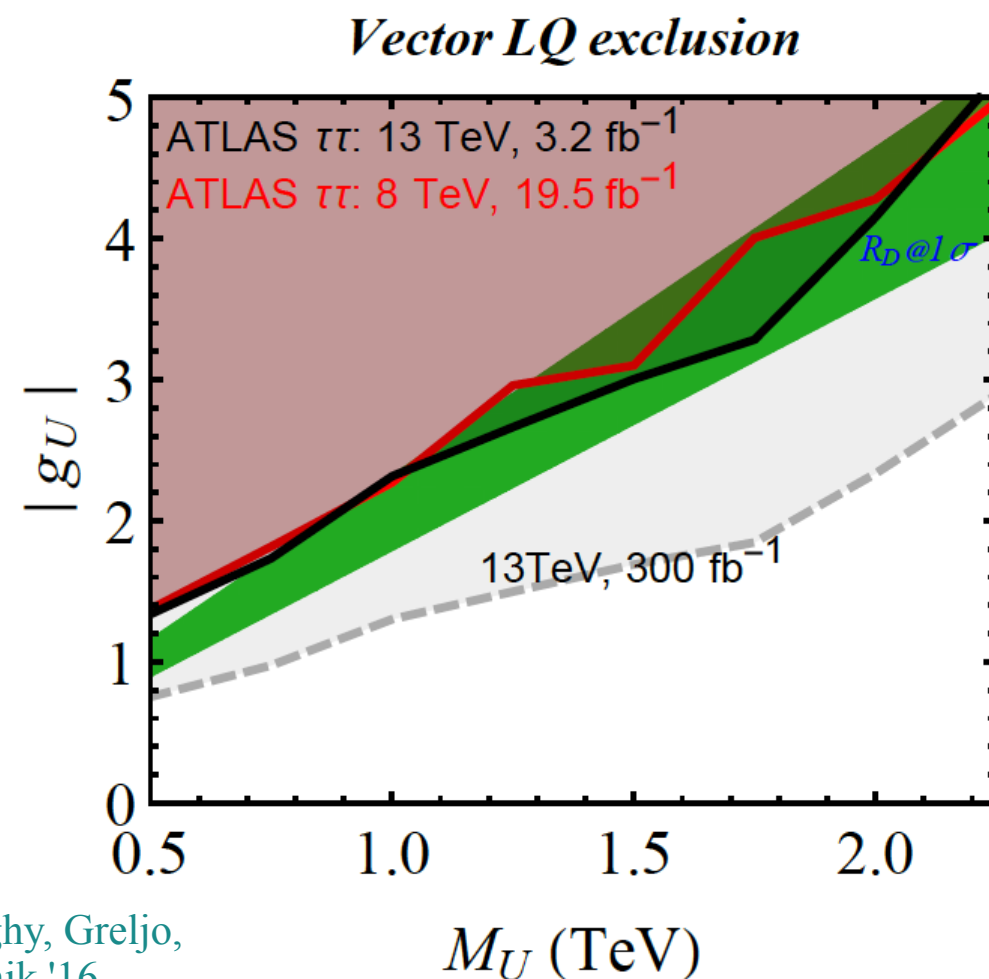
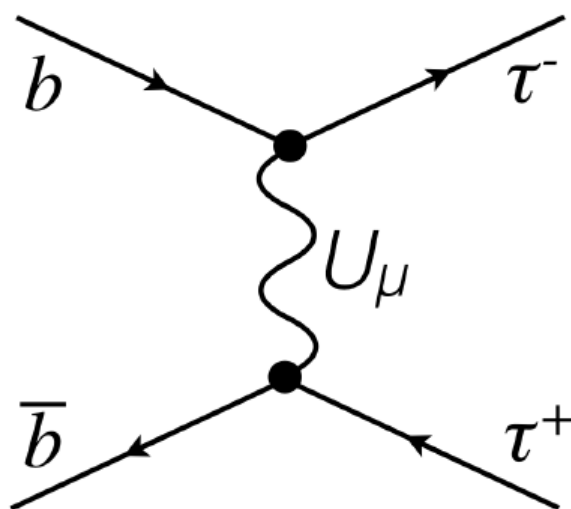
Recast of recent ATLAS searches of $Z' \rightarrow \tau\tau$



Faroughy, Greljo, Kamenik '16

► Simplified dynamical models

Recast of recent ATLAS searches of $Z' \rightarrow \tau\tau$
interpreted in the vector LQ model



► *Simplified dynamical models*

In both cases (heavy vector triplets & vector LQ) we should address two basic questions:

- *Are these models compatible with high-energy (direct) searches? Yes, but...*
- *Can we find meaningful UV completions? Maybe...*

An attractive possibility is to consider these heavy (spin-1) mediators as composite state of some new strong dynamics

→ Gripajos, Panico & Quiros talks

Buttazo, Greljo, GI, Marzocca, '16
(*backup slides*)

Conclusions

- Very interesting hints of LF non Universality in recent semi-leptonic B-physics data
- The overall picture is still far from being clear, but the patten of anomalies is apparently coherent → more data can help to clarify the situation
- EFT based on $U(2)^n + NP$ coupled mainly to 3rd gen. quite successful
- Main messages in view of future data:
 - Plenty of interesting LFU tests in B physics still to be performed
 - The search for LFV in charged leptons is extremely well motivated
 - The interplay of low- and high-energy searches is essential
[*tau physics at high p_T*]



► Simplified dynamical models [(I) Vector Triplet]

Five free parameters:

$$\epsilon_{\ell,q} \equiv \frac{g_{\ell,q} m_W}{g m_V} + \lambda_{bs}^q, \lambda_{\mu\mu}^\ell, \lambda_{\tau\mu}^\ell$$

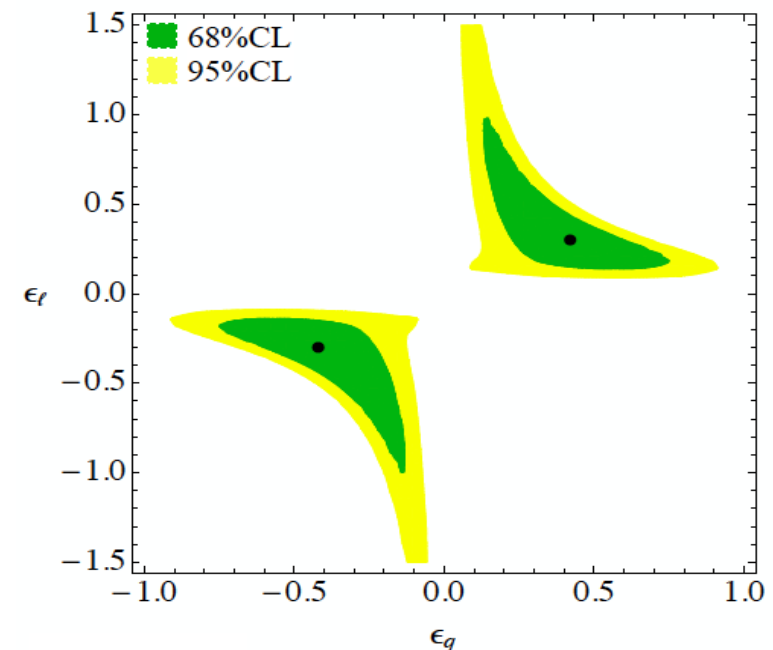
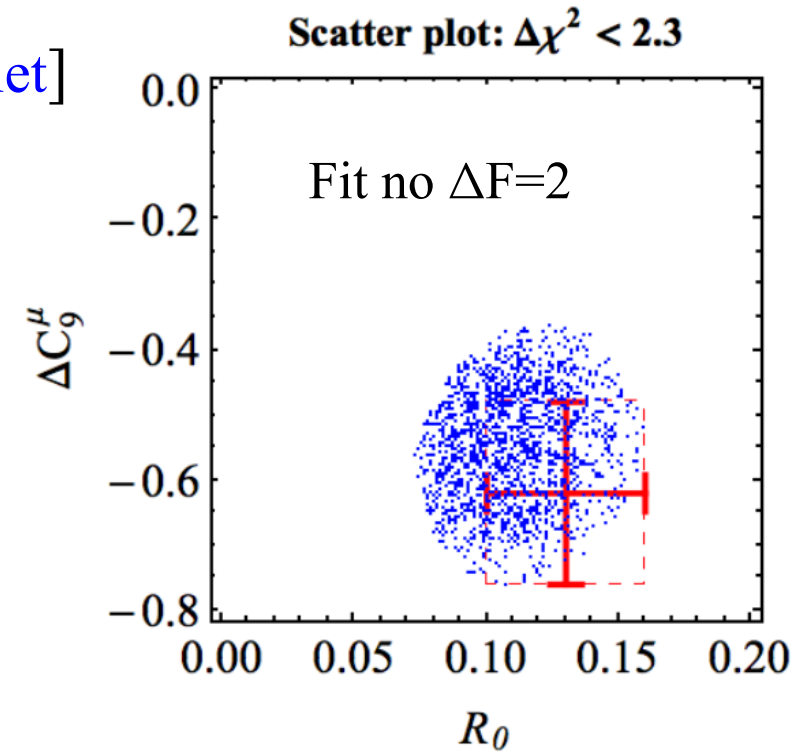
Several low-energy constraints



Overall good fit of low-energy data

Some residual tension

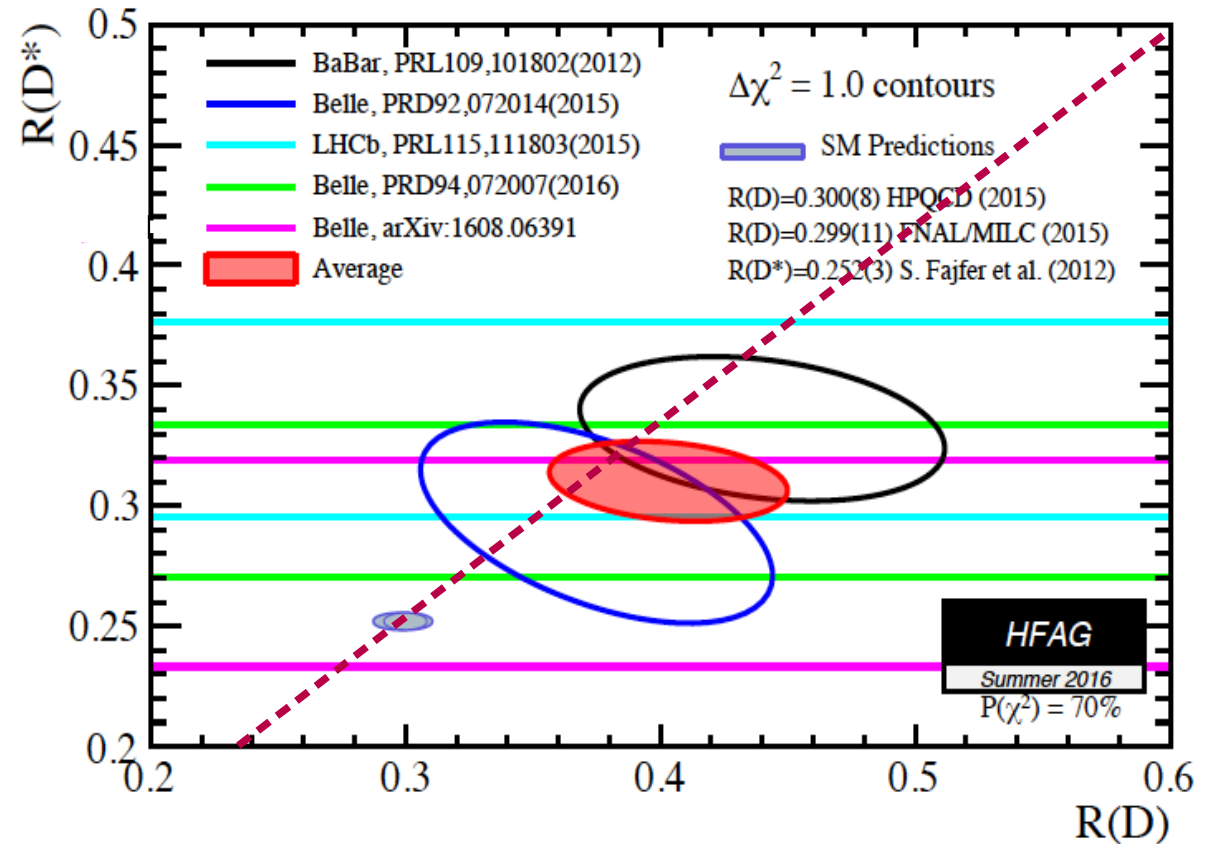
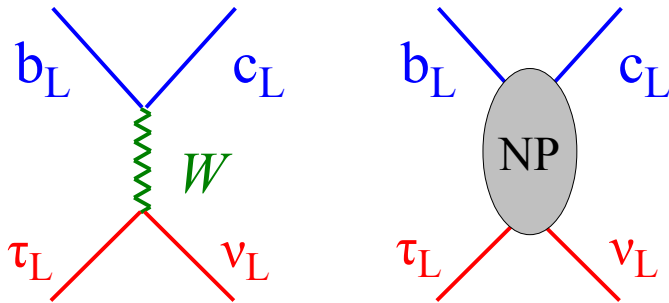
[$\Delta F=2$ vs. LFU tests in tau decays]
 which can be ameliorated including
 extra contributions
 (e.g. $SU(2)_L$ singlets Z' or color-octet)



I. $B \rightarrow D^{(*)} \tau \nu$ [LHCb, Belle]

Test of **LFU** in charged currents
[τ vs. light leptons (μ , e)]:

$$R(X) = \frac{\Gamma(B \rightarrow X \tau \bar{\nu})}{\Gamma(B \rightarrow X \ell \bar{\nu})}$$



- **SM** prediction quite **solid**: f.f. uncertainty cancel (*to a good extent...*) in the ratio
- Consistent exp. results by 3 (very) different experiments
 - **4 σ** excess over SM (if D and D* combined)
 - The two channels are well consistent with a **universal enhancement** ($\sim 30\%$) of the SM $b_L \rightarrow c_L \tau_L \nu_L$ amplitude (*RH or scalar amplitudes disfavored*)

II. Anomalies in $B \rightarrow K^{(*)} \mu\mu / ee$ [LHCb]

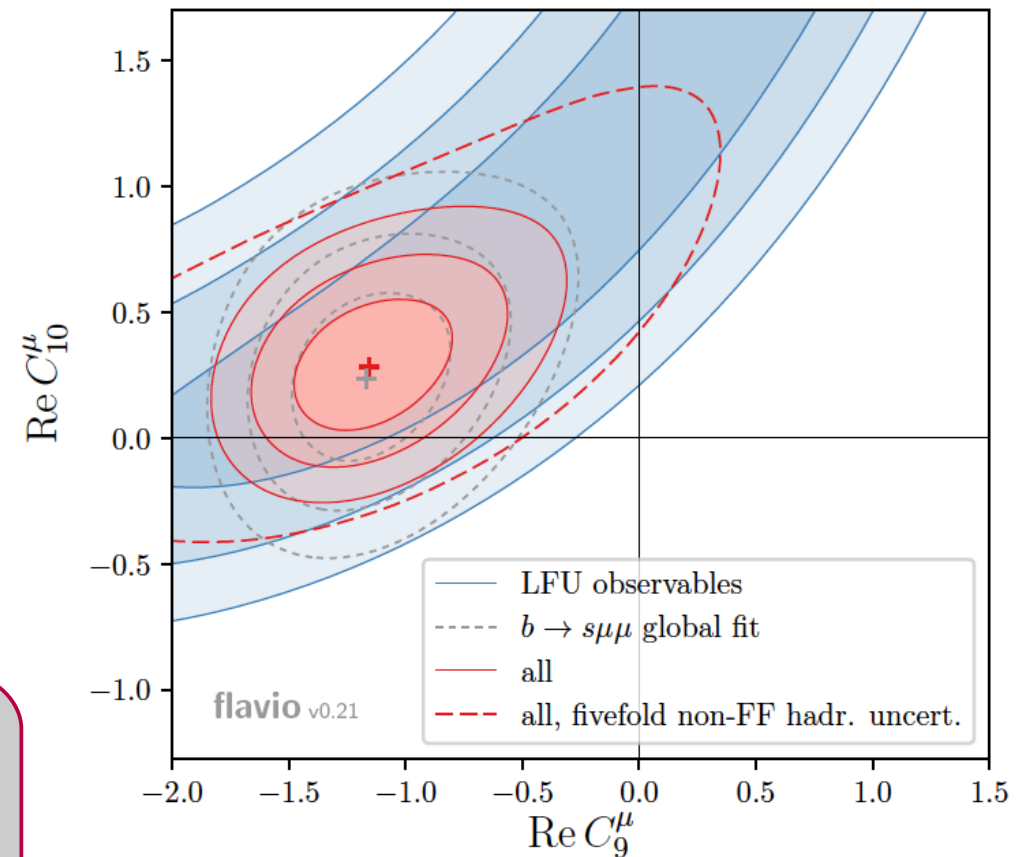
But the most interesting effects in $b \rightarrow sll$ transitions are **deviations from μ/e universality** in the “clean” ratios R_K & R_{K^*} (combined effect exceeding 3σ):

Various “*instant papers*” have updated the fit to $b \rightarrow sll$ Wilson coeff.

Main messages:

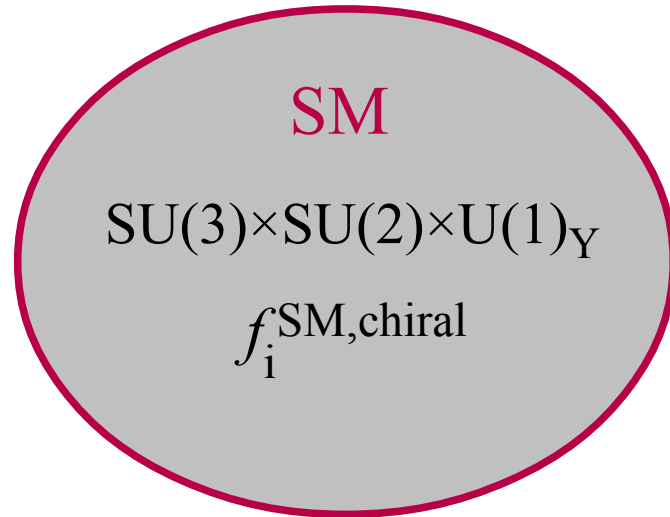
- Low- q^2 bin a bit too low (*the central value cannot be explained by NP – but there the theory error is larger...*)
- All the rest perfectly consistent with what we already knew:

- All anomalies are well described assuming NP only in $b \rightarrow s\mu\mu$
- Stronger indication in favor of V-A interaction

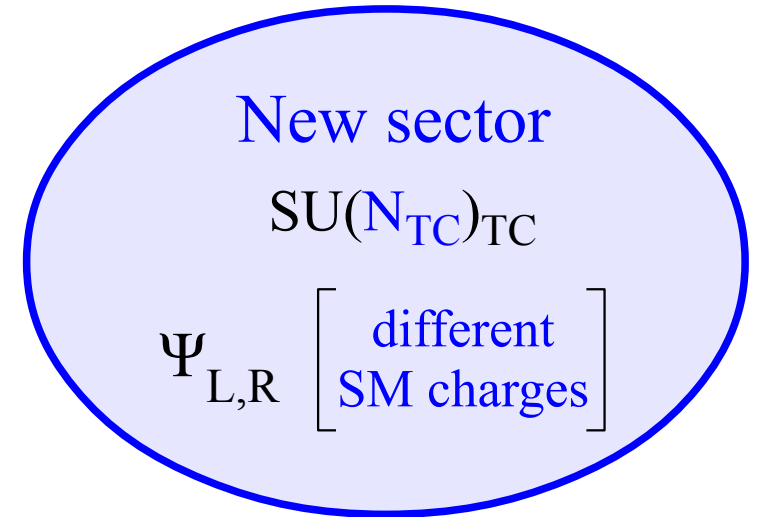


Altmannshofer, Stangl, Straub '17

► UV completions and high-energy bounds



The basic construction is based on the idea of “*Vector-like confinement*”



$$\text{SU}(N_F)_L \times \text{SU}(N_F)_R \times \text{U}(1)_V$$

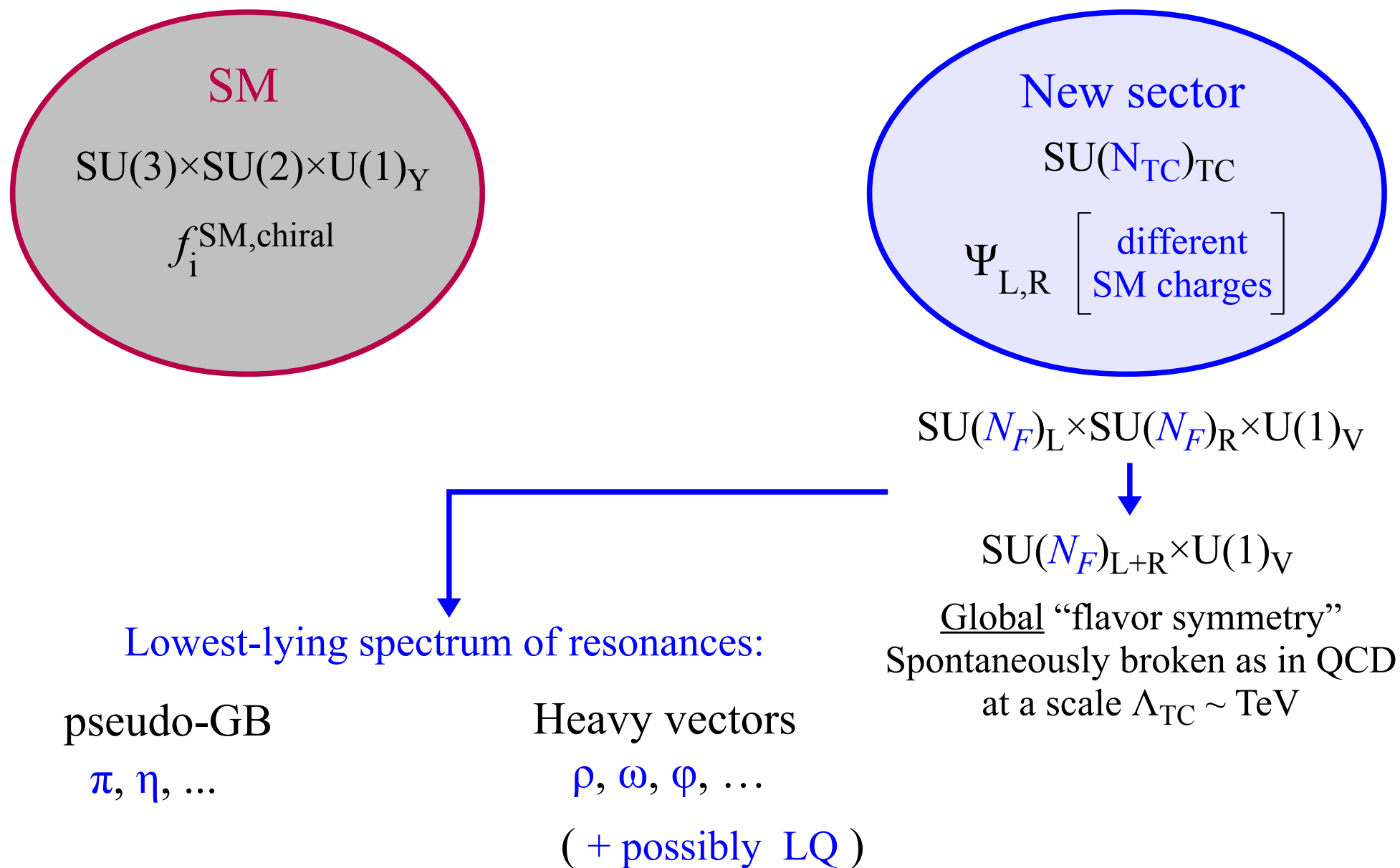


$$\text{SU}(N_F)_{L+R} \times \text{U}(1)_V$$

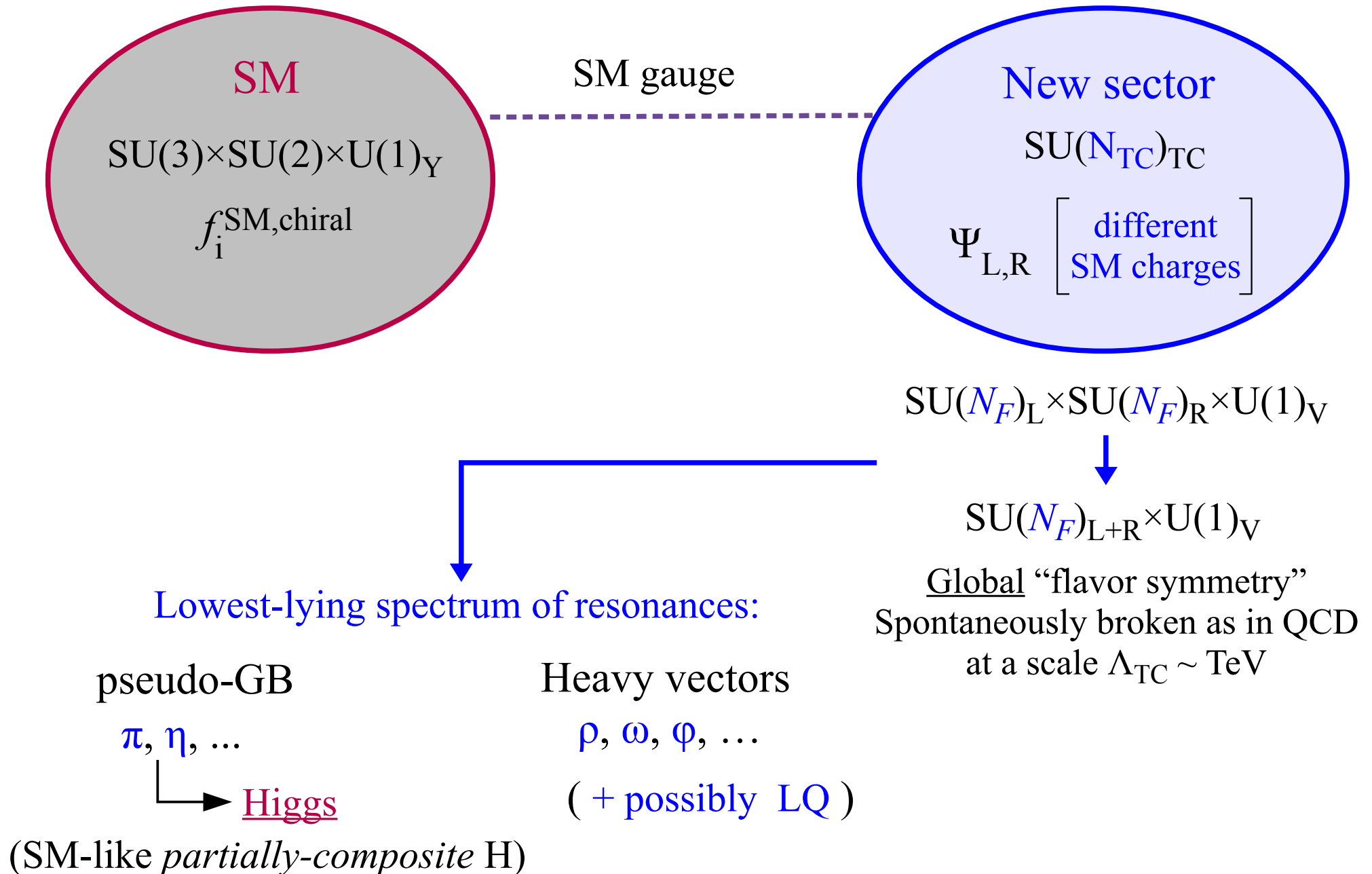
Global “flavor symmetry”
Spontaneously broken as in QCD
at a scale $\Lambda_{\text{TC}} \sim \text{TeV}$

- Very similar to the old idea of technicolor
- Key difference is that the SSB of the new sector preserves the SM gauge symmetry, that is broken in a 2nd step by an appropriate Higgs field

► UV completions and high-energy bounds



► UV completions and high-energy bounds



► UV completions and high-energy bounds

