

Anatomy of a top-down approach to discrete and modular flavor symmetry

Andreas Trautner

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based on:

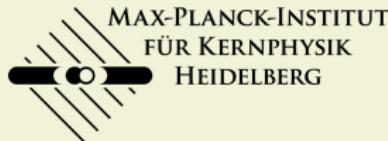
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w/ H.P. Nilles, M. Ratz, P. Vaudrevange
w/ A. Baur, H.P. Nilles, P. Vaudrevange
w/ A. Baur, H.P. Nilles, P. Vaudrevange
w/ H.P. Nilles, S. Ramos-Sánchez, P. Vaudrevange
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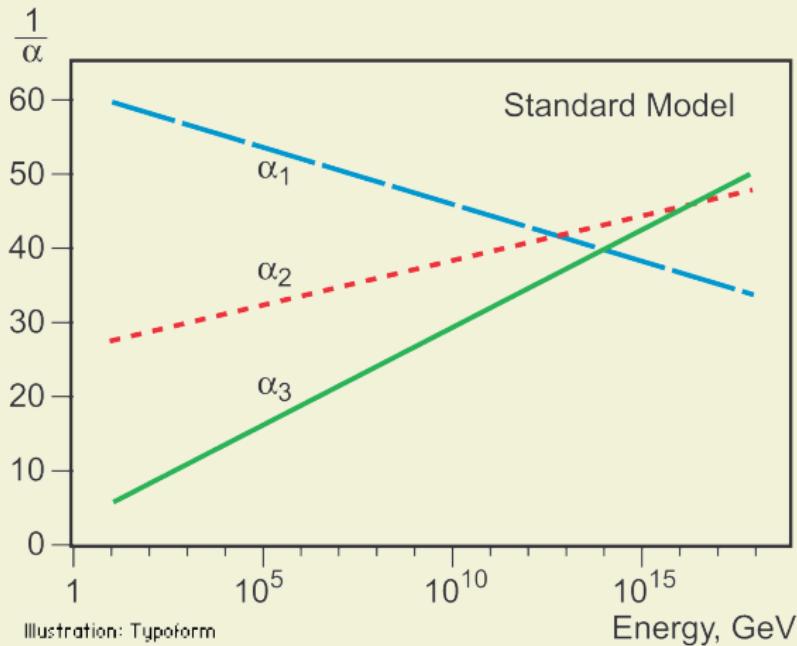
DISCRETE
2020/21
UiB, Bergen
2.12.21



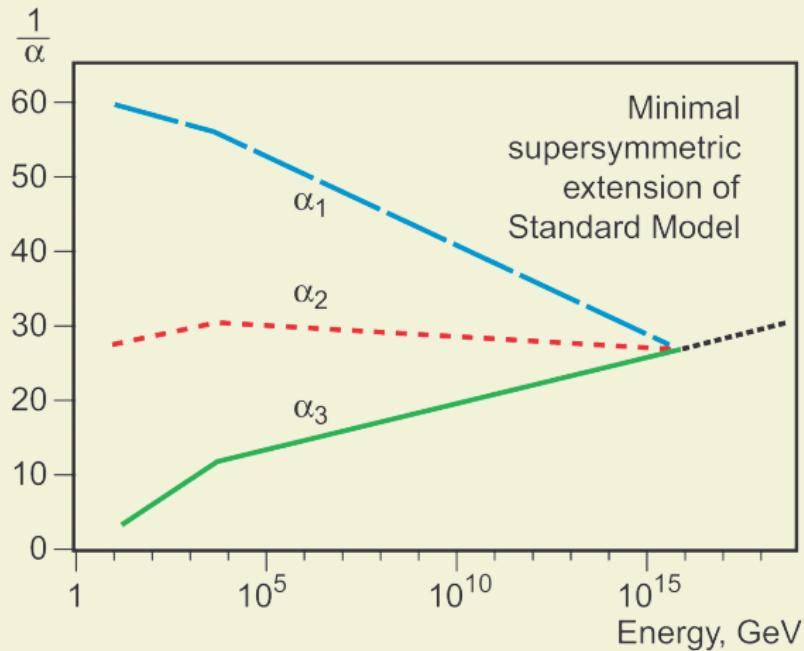
Outline: Flavor symmetry

- Bottom-up and top-down approaches to flavor symmetry
- Eclectic flavor symmetry...
- ...from heterotic string theory
- Breaking of the Eclectic flavor symmetry
- Summary

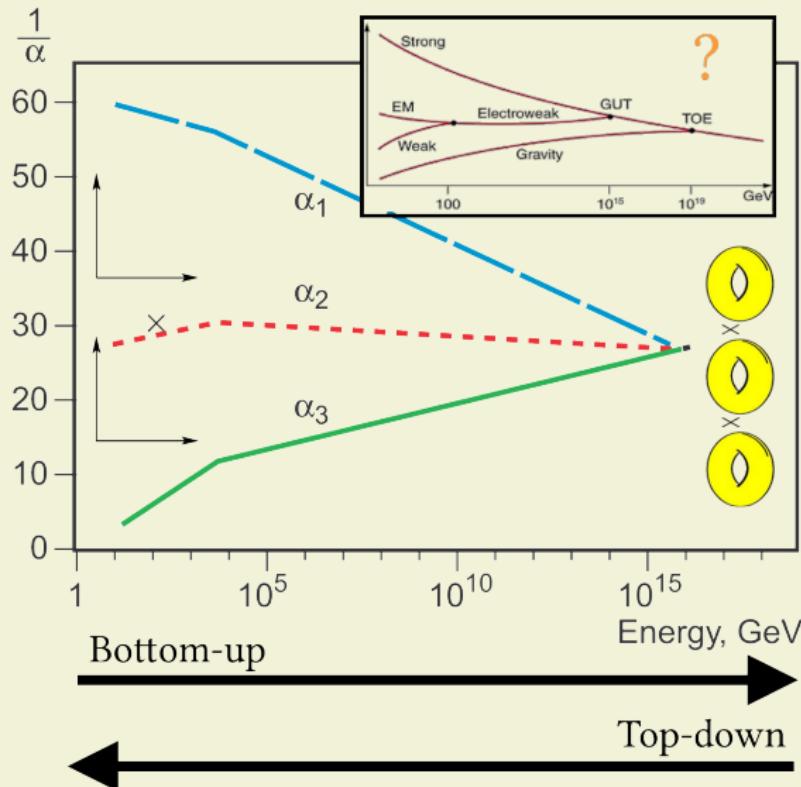
Unification – bottom-up vs. top-down



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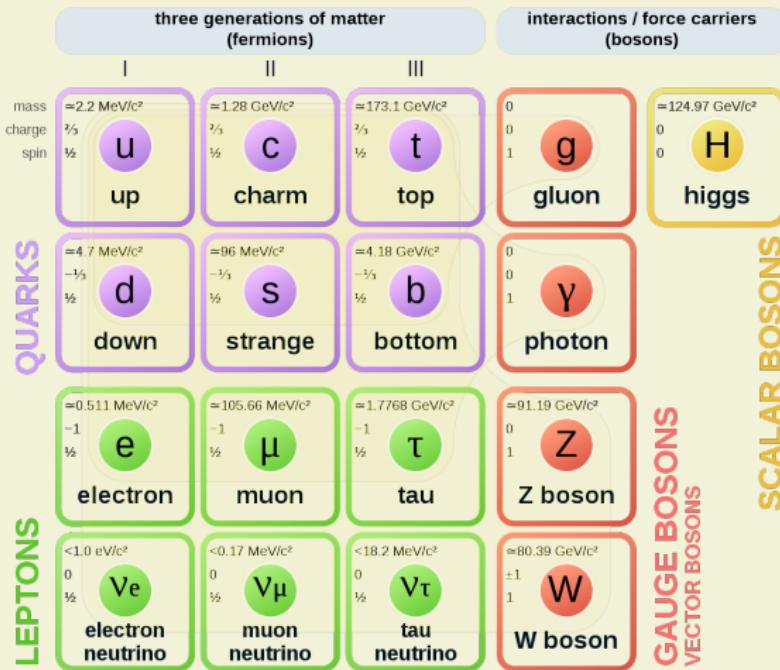
See e.g. "Supersymmetric standard model from the heterotic string"

[Buchmüller, Hamaguchi, Lebedev, Ratz '05]

Top-down approach to flavor symmetry, DISCRETE Bergen, 2.12.21

Is everything unified?

Standard Model of Elementary Particles



No “theory of everything” without Flavor!

Types of (discrete) flavor symmetries

Schematically for the example of $\mathcal{N} = 1$ SUSY.

x : spacetime, θ : superspace, Φ : (Super-)fields, T : modulus.

$K(T, \Phi)$: Kähler potential, $W(T, \Phi)$: Superpotential

$$\mathcal{S} = \int d^4x d^2\theta d^2\bar{\theta} K(T, \bar{T}, \Phi, \bar{\Phi}) + \int d^4x d^2\theta W(T, \Phi) + \int d^4x d^2\bar{\theta} \bar{W}(\bar{T}, \bar{\Phi}).$$

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- “**traditional**” Flavor symmetries $\Phi \mapsto \rho(g)\Phi$, $g \in G$

for a review, see e.g. [King & Luhn '13]

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- “traditional” Flavor symmetries $G_{\text{traditional}}$
- **modular Flavor symmetries** [Feruglio '17]

$$\Phi \xrightarrow{\gamma} (cT + d)^n \rho(\gamma) \Phi, \quad T \xrightarrow{\gamma} \frac{aT + b}{cT + d}, \quad \gamma := \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \text{SL}(2, \mathbb{Z}).$$

Couplings are modular forms: $Y = Y(T)$, $Y(\gamma T) = (cT + d)^{k_Y} \rho_Y(\gamma) Y(T)$.

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- **R symmetries** for non-Abelian discrete R flavor symmetries see [Chen, Ratz, AT '13]

$$\Phi(x, \theta) = \phi(x) + \sqrt{2}\theta \psi(x) + \theta\bar{\theta}F(x), \implies \phi \mapsto e^{iq_\Phi\alpha}\phi, \psi \mapsto e^{i(q_\Phi - q_\theta)\alpha}\psi.$$

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- modular Flavor symmetries G_{modular}
- R symmetries G_R
- **general CP(-like) symmetries** [Novichkov, Penedo et al. '19],[Baur et al. '19]

$$\Phi \xrightarrow{\bar{\gamma}} (c\bar{T} + d)^n \rho(\bar{\gamma})\bar{\Phi}, \quad T \xrightarrow{\bar{\gamma}} \frac{a\bar{T} + b}{c\bar{T} + d}, \quad \det [\bar{\gamma} \in \text{GL}(2, \mathbb{Z})] = -1.$$

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- general \mathcal{CP} (-like) symmetries \mathcal{CP}

From the bottom-up: All kinds known, individually!

→ See talks by Penedo, Feruglio, de Medeiros Varzielas.

for an up-to-date review see [Feruglio&Romanino '19]

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From the top-down: *all, at the same time!*

$$G_{\text{eclectic}} = G_{\text{traditional}} \cup G_{\text{modular}} \cup G_R \cup \mathcal{CP},$$

see works by [Baur, Nilles, AT, Vaudrevange '19; Nilles, Ramos-Sánchez, Vaudrevange '20]

→ See also talk by Ramos-Sánchez.

Origin of eclectic flavor symmetry in heterotic orbifolds

Narain lattice formulation of heterotic string theory:

[Narain '86]

[Narain, Samardi, Witten '87],[Narain, M. H. Sarmadi, and C. Vafa,'87],[Groot Nibbelink & Vaudevange '17]

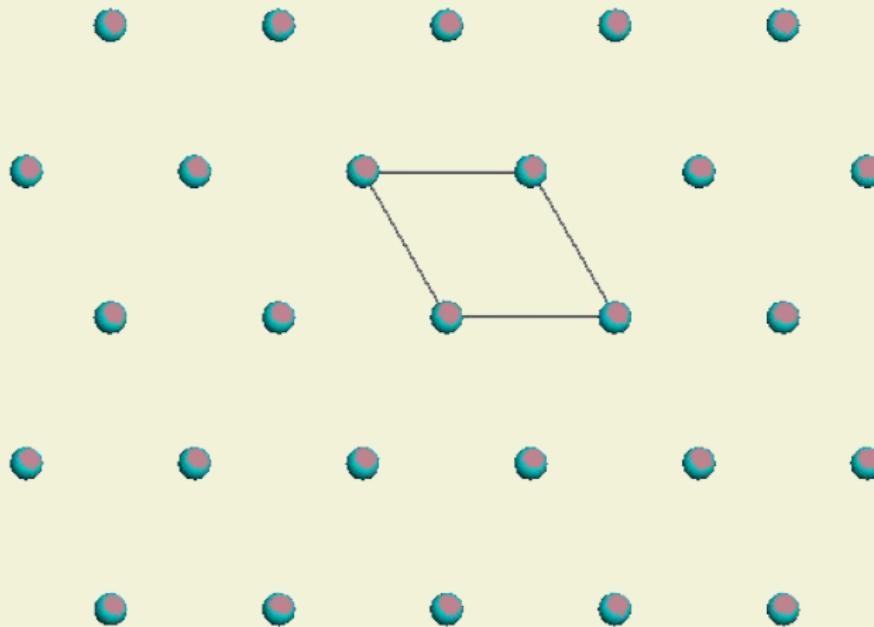
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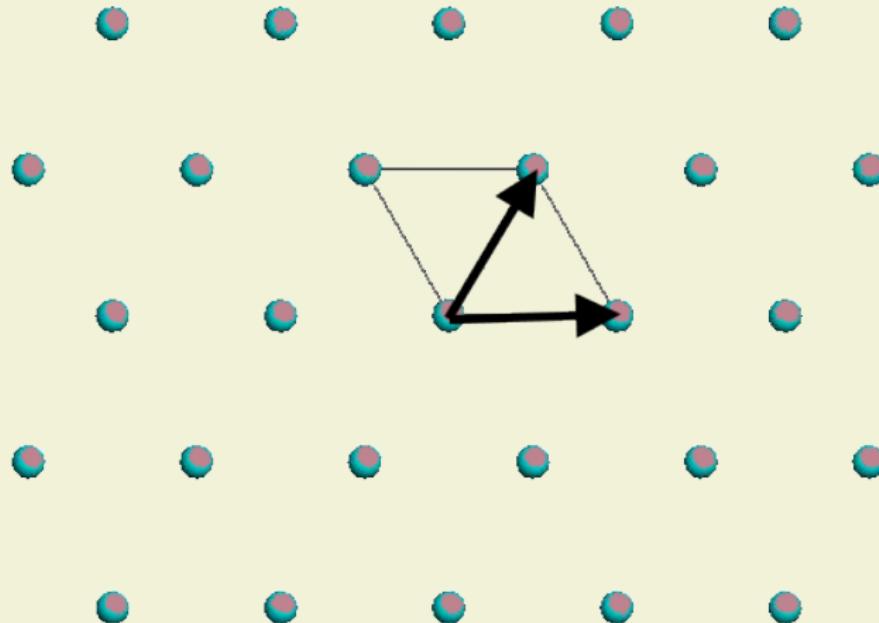
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discrete translations

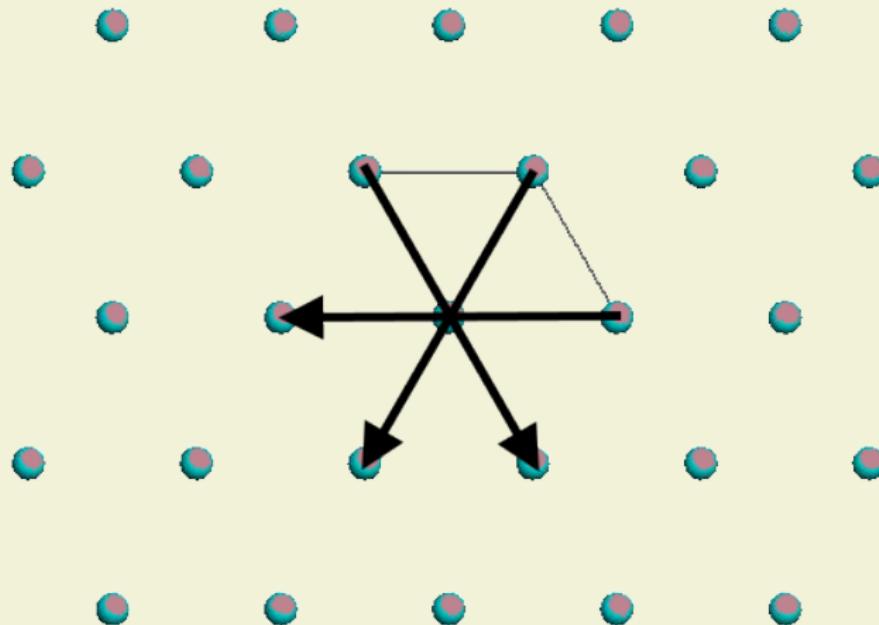
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reflections / inversions

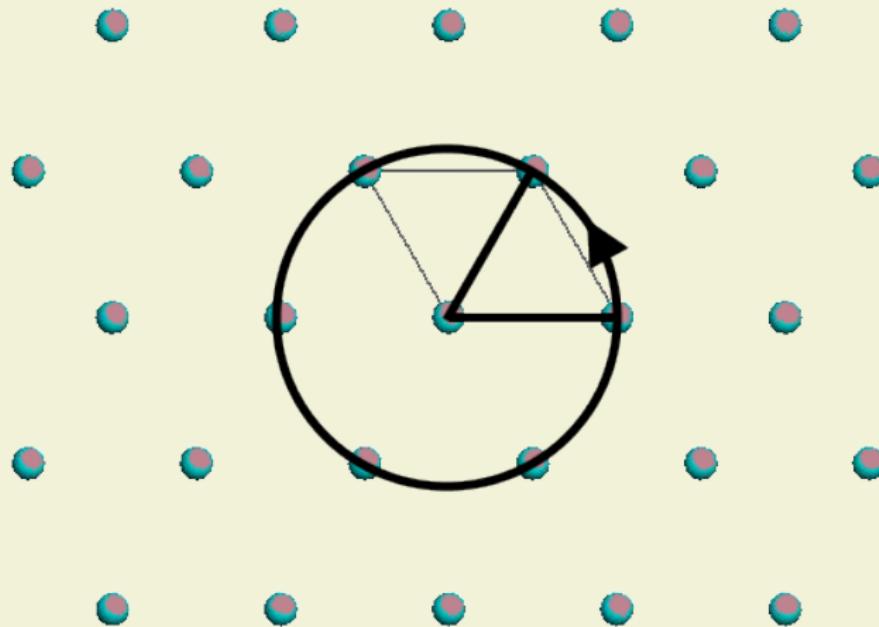
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discrete rotations

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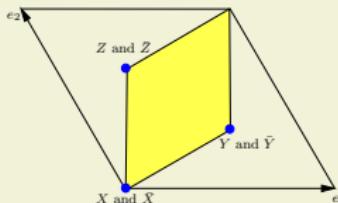
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Lattice can have symmetries. Symmetries can have fixed points.

e.g. $\mathbb{T}^2/\mathbb{Z}_3$ (with $\mathbb{T}^2 := \mathbb{R}^2/\mathbb{Z}^2$)



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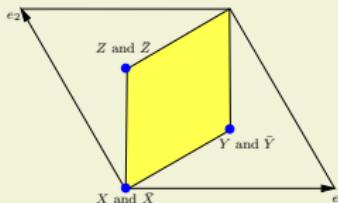
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Symmetries can have **outer automorphisms**.

“Symmetries of symmetries” [AT'16]

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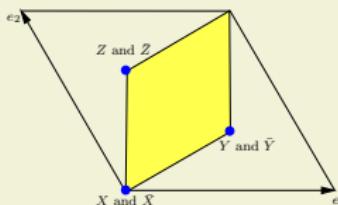
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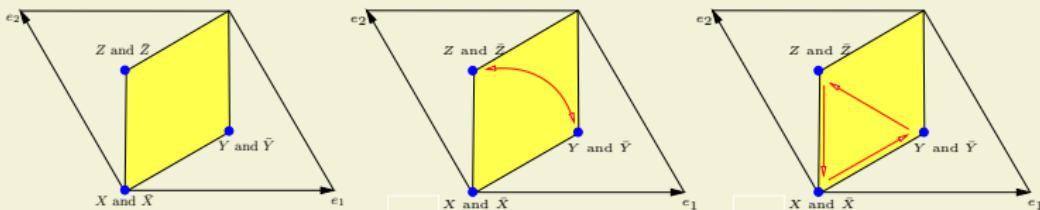
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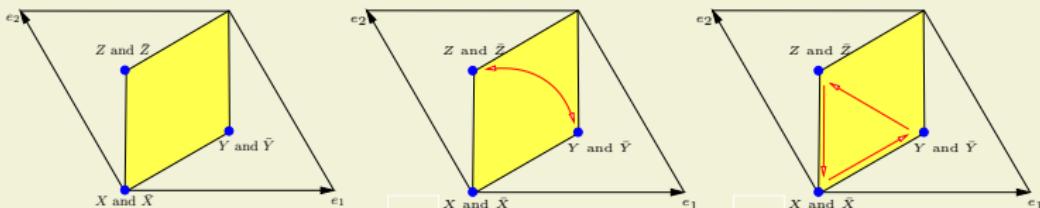
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New insight: Flavor symmetries are given by **outer automorphisms** of the Narain lattice space group!

[Baur, Nilles, AT, Vaudrevange '19]

In this way we can unambiguously compute them in the top-down approach.

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- Bosonic string coordinates, D right- and D left-moving, $y_{R,L}$,
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- $\Theta^K = \mathbb{1}$, is an “orbifold twist” with $\theta_{R,L} \in \text{SO}(D)$.
- “Narain lattice”:

$$\Gamma = \{E \hat{N} \mid \hat{N} \in \mathbb{Z}^{2D}\}$$

(Γ is even, self-dual lattice with metric $\eta = \text{diag}(-\mathbb{1}_D, \mathbb{1}_D)$.)

- $\hat{N} = (n, m) \in \mathbb{Z}^{2D}$, n : winding number, m : Kaluza-Klein number of string boundary condition.
- E : “Narain vielbein”, depends on moduli of the torus;
 $E^T E \equiv \mathcal{H} = \mathcal{H}(T, U)$.

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$$\mathcal{H}(T, U) = \frac{1}{\text{Im } T \text{Im } U} \begin{pmatrix} |T|^2 & |T|^2 \text{Re } U & \text{Re } T \text{Re } U & -\text{Re } T \\ |T|^2 \text{Re } U & |TU|^2 & |U|^2 \text{Re } T & -\text{Re } T \text{Re } U \\ \text{Re } T \text{Re } U & |U|^2 \text{Re } T & |U|^2 & -\text{Re } U \\ -\text{Re } T & -\text{Re } T \text{Re } U & -\text{Re } U & 1 \end{pmatrix}.$$

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Narain space group $g = (\Theta^k, E \hat{N}) \in S_{\text{Narain}}$ is given by multiplicative closure of all twist and shifts

$$S_{\text{Narain}} := \langle (\Theta, 0), (\mathbb{1}, E_i) \text{ for } i \in \{1, \dots, 2D\} \rangle.$$

Top down flavor symmetries

- We identify points $Y \sim gY$ with $g \in S_{\text{Narain}} \Rightarrow$ fixed points.
 - g constitutes boundary condition for closed strings
- \Rightarrow "Strings are localized at fixed points." [Dixon, Harvey, Vafa, Witten '85,'86]
- Each fixed point corresponds to a whole conjugacy class $[g] = \{f g f^{-1} \mid f \in S_{\text{Narain}}\}$ of space group elements
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 - Trivial: **inner** auts of S_{Narain} : map c.c.'s to themselves.
 - Non-trivial: **outer auts** of $S_{\text{Narain}} \Leftrightarrow$ permutation of c.c.'s \Rightarrow non-trivial maps between strings at different f.p.'s!

New insight: Flavor symmetries are given by **outer automorphisms** of the Narain space group!

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- The thus derived flavor symmetries automatically contain the so-called "space-group selection rules". [Hamidi and Vafa '86]
- They agree with previously derived non-Abelian flavor symmetries. [Kobayashi, Nilles, Plöger, Raby, Ratz '06]

Outs of the Narain lattice

Maps between Narain lattice Γ to an equivalent lattice Γ' are given by
outer automorphisms of the Narain lattice

$$O_{\hat{\eta}}(D, D, \mathbb{Z}) := \langle \hat{\Sigma} \mid \hat{\Sigma} \in GL(2D, \mathbb{Z}) \quad \text{with} \quad \hat{\Sigma}^T \hat{\eta} \hat{\Sigma} = \hat{\eta} \rangle.$$

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For example, specializing to $D = 2$, \curvearrowright d.o.f. in E are Kähler (T) and complex structure moduli (U). **Outs** of Narain lattice:

$$O_{\hat{\eta}}(2, 2, \mathbb{Z}) \cong [(\mathrm{SL}(2, \mathbb{Z})_T \times \mathrm{SL}(2, \mathbb{Z})_U) \rtimes (\mathbb{Z}_2 \times \mathbb{Z}_2)] / \mathbb{Z}_2.$$

With $\mathrm{SL}(2, \mathbb{Z})$ and action on any modulus $M = \{T, U\}$ given by

$$\mathrm{SL}(2, \mathbb{Z}) = \langle s, t \mid s^4 = 1, s^2 = st^3 \rangle.$$

$$s : M \mapsto -\frac{1}{M} \quad \text{and} \quad t : M \mapsto M + 1,$$

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$$O_{\hat{\eta}}(D, D, \mathbb{Z}) := \langle \hat{\Sigma} \mid \hat{\Sigma} \in \mathrm{GL}(2D, \mathbb{Z}) \text{ with } \hat{\Sigma}^T \hat{\eta} \hat{\Sigma} = \hat{\eta} \rangle.$$

For example, specializing to $D = 2$, \sim d.o.f. in E are Kähler (T) and complex structure moduli (U). **Outs** of Narain lattice:

$$O_{\hat{\eta}}(2, 2, \mathbb{Z}) \cong [(\mathrm{SL}(2, \mathbb{Z})_T \times \mathrm{SL}(2, \mathbb{Z})_U) \rtimes (\mathbb{Z}_2 \times \mathbb{Z}_2)] / \mathbb{Z}_2.$$

With $\mathrm{SL}(2, \mathbb{Z})$ and action on any modulus $M = \{T, U\}$ given by

$$\mathrm{SL}(2, \mathbb{Z}) = \langle s, t \mid s^4 = 1, s^2 = st^3 \rangle.$$

$$s : M \mapsto -\frac{1}{M} \quad \text{and} \quad t : M \mapsto M + 1,$$

Outer automorphisms of Γ contain the **modular transformations**, including T-duality transformations, $T \leftrightarrow U$ mirror symmetry and a \mathcal{CP} -like transformation $M \mapsto -\overline{M}$.

[Baur, Nilles, AT, Vaudrevange '19]

Outs of the Narain space group

For the full **Narain space group**, the **outer automorphisms** are given by transformations $h := (\hat{\Sigma}, \hat{T}) \notin S_{\text{Narain}}$ such that

$$g \xrightarrow{h} h g h^{-1} \stackrel{!}{\in} S_{\text{Narain}}.$$

Outs are given by the solutions to the **consistency conditions**

$$\begin{aligned}\hat{\Sigma} \Theta^k \hat{\Sigma}^{-1} &\stackrel{!}{=} \Theta^{k'}, \\ (\mathbb{1} - \hat{\Sigma} \Theta^k \hat{\Sigma}^{-1}) \hat{T} &\stackrel{!}{=} \hat{N}'.\end{aligned}$$

Solutions yield a set of generators of the **Out** group as

$$\left\{ (\hat{\Sigma}_1, 0), (\hat{\Sigma}_2, 0), \dots, (\mathbb{1}, \hat{T}_1), (\mathbb{1}, \hat{T}_2), \dots \right\}.$$

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Note: These **Outs** also act on the moduli. $M \equiv T, U$

$$M \xrightarrow{h} M' = M \quad \rightarrow \text{"traditional flavor trafo"}$$

$$M \xrightarrow{h} M' \neq M \quad \rightarrow \text{"modular flavor trafo"}$$

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Outer automorphisms of Narain space group unify flavor symmetries with **modular transformations**, including \mathcal{CP} -like transformations.

The eclectic flavor symmetry of $\mathbb{T}^2/\mathbb{Z}_3$

(For this specific orbifold, $\langle U \rangle = \exp(2\pi i/3)$.)

The outer automorphisms of the corresponding Narain space group yield the following symmetries:

[Baur, Nilles, AT, Vaudrevange '19; Nilles, Ramos-Sánchez, Vaudrevange '20]

- a $\Delta(54)$ traditional flavor symmetry,
- an $\text{SL}(2, \mathbb{Z})_T$ modular symmetry which acts as a $\Gamma'_3 \cong T'$ finite modular symmetry on matter fields and their couplings,
- a \mathbb{Z}_9^R discrete R -symmetry as remnant of $\text{SL}(2, \mathbb{Z})_U$, and
- a $\mathbb{Z}_2^{\mathcal{CP}}$ \mathcal{CP} -like transformation.

$$G_{\text{eclectic}} = G_{\text{traditional}} \cup G_{\text{modular}} \cup G_R \cup \mathcal{CP},$$

Together, the full eclectic group of this setting is of order 3888 given by

$$G_{\text{eclectic}} = \Omega(2) \rtimes \mathbb{Z}_2^{\mathcal{CP}}, \quad \text{with} \quad \Omega(2) \cong [1944, 3448].$$

The eclectic flavor symmetry of $\mathbb{T}^2/\mathbb{Z}_3$

nature of symmetry		outer automorphism of Narain space group	flavor groups					
eclectic	modular	rotation $S \in \text{SL}(2, \mathbb{Z})_T$ rotation $T \in \text{SL}(2, \mathbb{Z})_T$	\mathbb{Z}_4 \mathbb{Z}_3	T'			$\Omega(2)$	
	traditional flavor	translation A translation B	\mathbb{Z}_3 \mathbb{Z}_3	$\Delta(27)$	$\Delta(54)$			
		rotation $C = S^2 \in \text{SL}(2, \mathbb{Z})_T$	\mathbb{Z}_2^R		$\Delta'(54, 2, 1)$			
		rotation $R \in \text{SL}(2, \mathbb{Z})_U$	\mathbb{Z}_9^R					

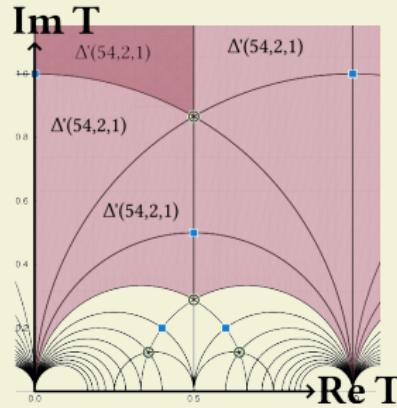
table from [Nilles, Ramos-Sánchez, Vaudrevange '20]

Action on the T modulus as

$$S = \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix}, T = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix},$$

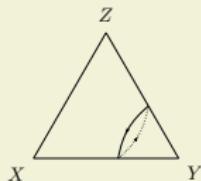
$$K_*^{CP} = \begin{pmatrix} -1 & 0 \\ 0 & 1 \end{pmatrix}.$$

A, B, C, R : trivial!



Transformation of massless matter fields

sector	matter fields Φ_n	electic flavor group $\Omega(2)$								\mathbb{Z}_9^R R
		modular T' subgroup				n	traditional $\Delta(54)$ subgroup			
bulk	Φ_0	1	1	1	0		1	1	1	+1 0
	Φ_{-1}	1	1	1	-1		1'	1	1	-1 3
θ	$\Phi_{-2/3}$	2' \oplus 1	$\rho(S)$	$\rho(T)$	$-2/3$	$-2/3$	3₂	$\rho(A)$	$\rho(B)$	$+\rho(C)$ 1
	$\Phi_{-5/3}$	2' \oplus 1	$\rho(S)$	$\rho(T)$	$-5/3$		3₁	$\rho(A)$	$\rho(B)$	$-\rho(C)$ -2
θ^2	$\Phi_{-1/3}$	2'' \oplus 1	$(\rho(S))^*$	$(\rho(T))^*$	$-1/3$	$-1/3$	3̄₁	$\rho(A)$	$(\rho(B))^*$	$-\rho(C)$ 2
	$\Phi_{+2/3}$	2'' \oplus 1	$(\rho(S))^*$	$(\rho(T))^*$	$+2/3$		3̄₂	$\rho(A)$	$(\rho(B))^*$	$+\rho(C)$ 5
super-potential	\mathcal{W}	1	1	1	-1		1'	1	1	-1 3



$$(\omega := e^{2\pi i / 3})$$

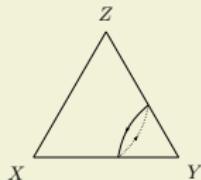
table from [Nilles, Ramos-Sánchez, Vaudrevange '20]

$$\rho(S) = \frac{i}{\sqrt{3}} \begin{pmatrix} 1 & 1 & 1 \\ 1 & \omega^2 & \omega \\ 1 & \omega & \omega^2 \end{pmatrix}, \quad \rho(T) = \begin{pmatrix} \omega^2 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 1 \end{pmatrix},$$

$$\rho(A) = \begin{pmatrix} 0 & 1 & 0 \\ 0 & 0 & 1 \\ 1 & 0 & 0 \end{pmatrix}, \quad \rho(B) = \begin{pmatrix} 1 & 0 & 0 \\ 0 & \omega & 0 \\ 0 & 0 & \omega^2 \end{pmatrix}, \quad \rho(C) = - \begin{pmatrix} 1 & 0 & 0 \\ 0 & 0 & 1 \\ 0 & 1 & 0 \end{pmatrix} = \rho(S)^2.$$

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sector	matter fields Φ_n	electic flavor group $\Omega(2)$								\mathbb{Z}_9^R R
		modular T' subgroup			n	traditional $\Delta(54)$ subgroup				
		irrep s	$\rho_s(S)$	$\rho_s(T)$		irrep r	$\rho_r(A)$	$\rho_r(B)$	$\rho_r(C)$	
bulk	Φ_0	1	1	1	0	1	1	1	+1	0
	Φ_{-1}	1	1	1	-1	1'	1	1	-1	3
θ	$\Phi_{-2/3}$	$2' \oplus 1$	$\rho(S)$	$\rho(T)$	-2/3	3_2	$\rho(A)$	$\rho(B)$	$+\rho(C)$	1
	$\Phi_{-5/3}$	$2' \oplus 1$	$\rho(S)$	$\rho(T)$	-5/3	3_1	$\rho(A)$	$\rho(B)$	$-\rho(C)$	-2
θ^2	$\Phi_{-1/3}$	$2'' \oplus 1$	$(\rho(S))^*$	$(\rho(T))^*$	-1/3	$\bar{3}_1$	$\rho(A)$	$(\rho(B))^*$	$-\rho(C)$	2
	$\Phi_{+2/3}$	$2'' \oplus 1$	$(\rho(S))^*$	$(\rho(T))^*$	+2/3	$\bar{3}_2$	$\rho(A)$	$(\rho(B))^*$	$+\rho(C)$	5
super-potential	\mathcal{W}	1	1	1	-1	1'	1	1	-1	3



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MSSM charge assignments in explicit models

Model	ℓ	\bar{e}	$\bar{\nu}$	q	\bar{u}	\bar{d}	H_u	H_d	flavons
A	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	Φ_0	Φ_0	$\Phi_{-2/3,-1}$
B	$\Phi_{-1/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-1/3}$	Φ_{-1}	Φ_0	$\Phi_{-2/3,-1}$
C	$\Phi_{-2/3}$	$\Phi_{-1/3}$	$\Phi_{-1/3}$	$\Phi_{-1/3}$	$\Phi_{-1/3}$	$\Phi_{-2/3}$	Φ_{-1}	Φ_{-1}	$\Phi_{-1/3,-1}$
D	$\Phi_{-1/3}$	$\Phi_{-1/3}$	$\Phi_{\pm 2/3,0}$	$\Phi_{-1/3}$	$\Phi_{-1/3}$	$\Phi_{-1/3}$	Φ_0	$\Phi_{-1,0}$	$\Phi_{\pm 2/3,-1}$
E	$\Phi_{-2/3,-1/3}$	$\Phi_{-2/3,0}$	$\Phi_{0,-2/3,-1/3,-5/3}$	$\Phi_{-1,-2/3}$	$\Phi_{-2/3}$	$\Phi_{0,-2/3}$	Φ_0	Φ_0	$\Phi_{-2/3,-1/3,-5/3,-1}$

for methodology, see [Carballo-Pérez, Peinado, Ramos-Sánchez '16; Ramos-Sánchez '17]

→ See talk by Ramos-Sánchez.

For example, superpotential in model A:

$$W = \phi^0 \left[(\phi_u^0 \varphi_u) Y_u H_u \bar{u} q + (\phi_d^0 \varphi_d) Y_d H_d \bar{d} q + (\phi_e^0 \varphi_d) Y_\ell H_d \bar{e} \ell \right] \\ + (\phi^0 \varphi_\nu) Y_\nu H_u \bar{\nu} \ell + \phi_M^0 \varphi_d \bar{\nu} \bar{\nu}.$$

MSSM charge assignments in explicit models

Model	ℓ	\bar{e}	$\bar{\nu}$	q	\bar{u}	\bar{d}	H_u	H_d	flavons
A	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	Φ_0	Φ_0	$\Phi_{-2/3,-1}$
B	$\Phi_{-1/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-2/3}$	$\Phi_{-1/3}$	Φ_{-1}	Φ_0	$\Phi_{-2/3,-1}$
C	$\Phi_{-2/3}$	$\Phi_{-1/3}$	$\Phi_{-1/3}$	$\Phi_{-1/3}$	$\Phi_{-1/3}$	$\Phi_{-2/3}$	Φ_{-1}	Φ_{-1}	$\Phi_{-1/3,-1}$
D	$\Phi_{-1/3}$	$\Phi_{-1/3}$	$\Phi_{\pm 2/3,0}$	$\Phi_{-1/3}$	$\Phi_{-1/3}$	$\Phi_{-1/3}$	Φ_0	$\Phi_{-1,0}$	$\Phi_{\pm 2/3,-1}$
E	$\Phi_{-2/3,-1/3}$	$\Phi_{-2/3,0}$	$\Phi_{0,-2/3,-1/3,-5/3}$	$\Phi_{-1,-2/3}$	$\Phi_{-2/3}$	$\Phi_{0,-2/3}$	Φ_0	Φ_0	$\Phi_{-2/3,-1/3,-5/3,-1}$

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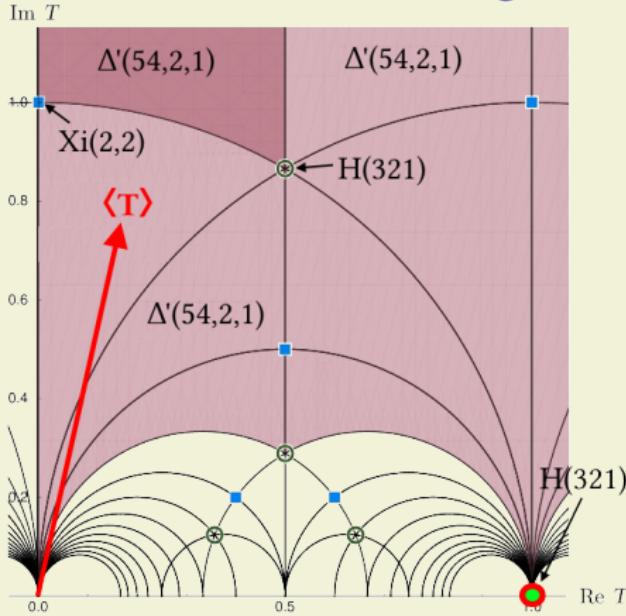
Observations:

- All Yukawas are **integer weight** modular forms.
- All eclectic charge assignments are 1 : 1 with modular weights!
("representation under eclectic symmetry completely fixed by modular weights").

Conjecture: Is this a general top-down feature?

for other examples, see [Ishiguro, Kobayashi, Otsuka '21], [Kikuchi, Kobayashi, Uchida '21]
[Almumin, Chen, Knapp-Pérez, Ramos-Sánchez, Ratz, Shukla '21]

Sources of breaking of the eclectic symmetry



1. VEV of the moduli, $\langle T \rangle$.

Special points w/ enhanced symmetry:

$$\langle T \rangle = i, \quad \Rightarrow \Xi(2, 2)$$

$$\langle T \rangle = \omega, -\omega^2 \quad \Rightarrow H(3, 2, 1)$$

$$\langle T \rangle = i\infty \text{ dual to } \langle T \rangle = 1, \quad \Rightarrow H(3, 2, 1).$$

$$\Xi(2, 2) \cong [324, 111] \\ H(3, 2, 1) \cong [486, 125]$$

2. In addition to $\langle T \rangle$, breaking of eclectic symmetry by flavon vevs:

$$\langle \Phi_{-2/3} \rangle \sim \langle \mathbf{3}_2 \rangle, \quad \langle \Phi_{-5/3} \rangle \sim \langle \mathbf{3}_1 \rangle, \quad \langle \Phi_{-1} \rangle \sim \langle \mathbf{1}' \rangle,$$

$$\langle \Phi_{-1/3} \rangle \sim \langle \overline{\mathbf{3}}_1 \rangle, \quad \langle \Phi_{+2/3} \rangle \sim \langle \overline{\mathbf{3}}_2 \rangle.$$

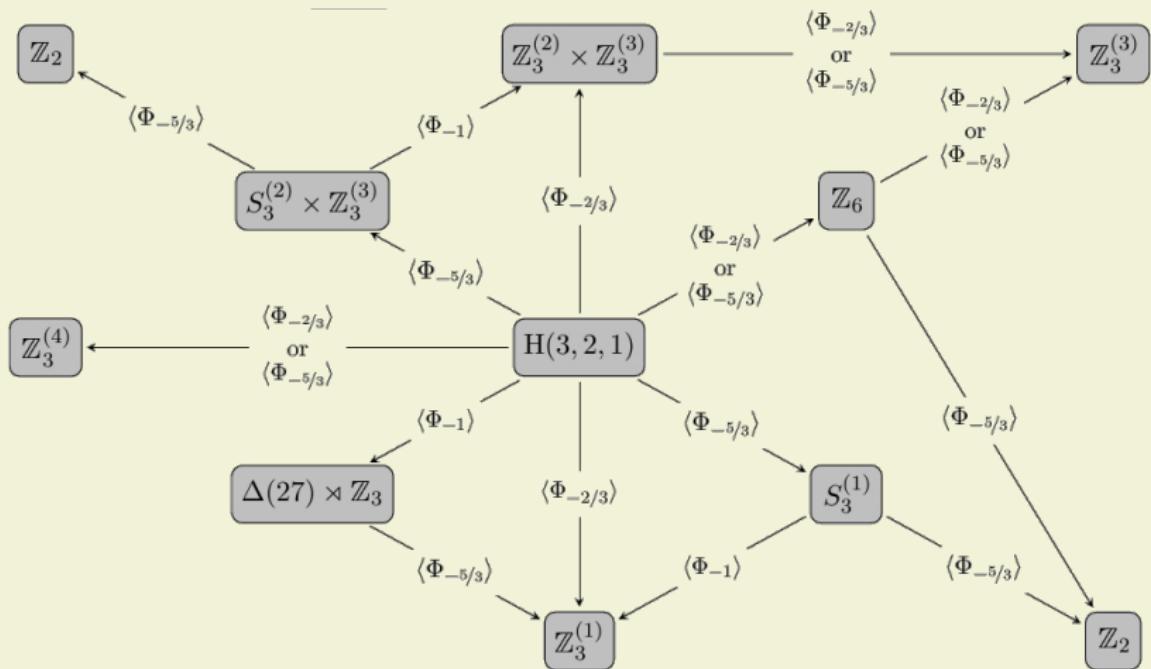
Example: Breakdown of $H(3, 2, 1)$ at $\langle T \rangle = \omega$

$H(3, 2, 1)$ subgroup	branchings		subgroup generator(s)	corresponding vevs	
	$\Phi_{-2/3}$	$\Phi_{-5/3}$		$\langle \Phi_{-2/3} \rangle$	$\langle \Phi_{-5/3} \rangle$
$S_3^{(2)} \times \mathbb{Z}_3^{(3)}$	$\mathbf{1}' \oplus \mathbf{2}_c$	$\mathbf{1} \oplus \mathbf{2}_c$	C, $AB^2A, AB^2AR(ST)$	-	$(\omega^2, 1, 1)^T$
$\mathbb{Z}_3^{(2)} \times \mathbb{Z}_3^{(3)}$	$\mathbf{1} \oplus \mathbf{1}_{\omega,1} \oplus \mathbf{1}_{\omega^2,\omega}$	$\mathbf{1} \oplus \mathbf{1}_{\omega^2,1} \oplus \mathbf{1}_{\omega,\omega^2}$	$AB^2A, AB^2AR(ST)$	$(\omega^2, 1, 1)^T$ $(0, 1, -\omega^2)^T$ $+\alpha(1, 0, -\omega^2)^T$	$(\omega^2, 1, 1)^T \oplus \langle \Phi_{-1} \rangle$ $(1, -1, 0)^T$ $+\alpha(0, -\omega, 1)^T$
$\mathbb{Z}_3^{(3)}$	$\mathbf{1} \oplus \mathbf{1} \oplus \mathbf{1}_\omega$	$\mathbf{1} \oplus \mathbf{1} \oplus \mathbf{1}_{\omega^2}$	$AB^2AR(ST)$		
$S_3^{(1)}$	$\mathbf{1}' \oplus \mathbf{2}$	$\mathbf{1} \oplus \mathbf{2}$	C, A	-	$(1, 1, 1)^T$
$\mathbb{Z}_3^{(1)}$	$\mathbf{1} \oplus \mathbf{1}_\omega \oplus \mathbf{1}_{\omega^2}$	$\mathbf{1} \oplus \mathbf{1}_\omega \oplus \mathbf{1}_{\omega^2}$	A	$(1, 1, 1)^T$	$(1, 1, 1)^T \oplus \langle \Phi_{-1} \rangle$
\mathbb{Z}_6	$\mathbf{1} \oplus \mathbf{1}_{-1} \oplus \mathbf{1}_{-\omega}$	$\mathbf{1} \oplus \mathbf{1}_{-1} \oplus \mathbf{1}_\omega$	$B^2ACR^2(ST)^2$	$(1, -1, 0)^T$	$(1, 1, -2\omega^2)^T$
$\mathbb{Z}_3^{(3)}$	$\mathbf{1} \oplus \mathbf{1} \oplus \mathbf{1}_{\omega^2}$	$\mathbf{1} \oplus \mathbf{1} \oplus \mathbf{1}_{\omega^2}$	$AB^2AR(ST)$	$(0, 1, -\omega^2)^T$ $+\alpha(1, 0, -\omega^2)^T$	$(1, -1, 0)^T$ $+\alpha(0, -\omega, 1)^T$
$\mathbb{Z}_3^{(4)}$	$\mathbf{1} \oplus \mathbf{1}_\omega \oplus \mathbf{1}_{\omega^2}$	$\mathbf{1} \oplus \mathbf{1}_\omega \oplus \mathbf{1}_{\omega^2}$	$BR(ST)^2$	$(1, a, b)^T$	$(1, a, b)^T$
\mathbb{Z}_2	$\mathbf{1} \oplus \mathbf{1}_{-1} \oplus \mathbf{1}_{-1}$	$\mathbf{1} \oplus \mathbf{1} \oplus \mathbf{1}_{-1}$	C	$(0, 1, -1)^T$ (preserves $\mathbb{Z}_6^{(2)T}$)	$(1, 0, 0)^T$ $+\alpha(0, 1, 1)^T$

Representation matrices of the flavor group of twisted matter fields $\Phi_{-2/3}$ and $\Phi_{-5/3}$

$$\begin{aligned} \Phi_{-2/3} : \quad & \rho_{\mathbf{3}_2, \omega}(A) = \rho(A), \quad \rho_{\mathbf{3}_2, \omega}(B) = \rho(B), \quad \rho_{\mathbf{3}_2, \omega}(C) = \rho(C), \\ & \rho_{\mathbf{3}_2, \omega}(R) = e^{2\pi i/9} \mathbb{1}_3, \quad \rho_{\mathbf{3}_2, \omega}(ST) = e^{2\pi i 2/9} \rho(ST), \quad \text{and} \\ \Phi_{-5/3} : \quad & \rho_{\mathbf{3}_1, \omega}(A) = \rho(A), \quad \rho_{\mathbf{3}_1, \omega}(B) = \rho(B), \quad \rho_{\mathbf{3}_1, \omega}(C) = -\rho(C), \\ & \rho_{\mathbf{3}_1, \omega}(R) = e^{-4\pi i/9} \mathbb{1}_3, \quad \rho_{\mathbf{3}_1, \omega}(ST) = e^{2\pi i 5/9} \rho(ST). \end{aligned}$$

Example: Breakdown of $H(3, 2, 1)$ at $\langle T \rangle = \omega$



Residual symmetries help to generate hierarchies in masses and mixing matrix elements.

see e.g. talks by [Penedo](#) and [Feruglio](#).

Possible lessons for bottom-up model building

Empirical observations:

- Modular flavor symmetries do not arise alone;
They are generically accompanied by (partly overlapping!)
 - “traditional” discrete flavor symmetries (& flavons),
 - discrete (non-Abelian) R symmetries,
 - \mathcal{CP} -type symmetries.

$$G_{\text{eclectic}} = G_{\text{traditional}} \cup G_{\text{modular}} \cup G_R \cup \mathcal{CP}.$$

- Modular weights of matter fields are fractional,
Modular weights of (Yukawa) couplings are integer.
- Modular weights potentially 1 : 1 “locked” to other flavor symmetry representations.
- Different sectors of the theory may have different moduli / different residual symmetries \Leftrightarrow “local flavor unification”.

The modular flavor “swampland” may be bigger than anticipated.

Many open questions

- Extra tori?
- Other possible realistic configurations?
“Size of the ‘landscape’ ”?
- Moduli stabilization?
- Flavon potential?
- Restrictions on Kähler potential?

see [Chen, Ramos-Sanchez, Ratz '19]

[Chen, Knapp-Perez, Ramos-Hamud, Ramos-Sanchez, Ratz, Shukla '21]

Summary

- There are explicit models of heterotic string theory that reproduce, at low energies, the
 $\text{MSSM} + (\text{modular}) \text{ flavor symmetry} + \text{flavons.}$
- The complete flavor symmetry can unambiguously be derived by the **outer automorphisms** of the Narain space group.
- One finds an “eclectic” flavor symmetry that non-trivially unifies:

$$G_{\text{eclectic}} = G_{\text{traditional}} \cup G_{\text{modular}} \cup G_R \cup \mathcal{CP}.$$

- This symmetry is broken by
 - Expectation values of the moduli, e.g. $\langle U \rangle, \langle T \rangle$.
 - Expectation values of the flavon fields.
- (Approximate) residual symmetries are common, and can help to naturally generate hierachies in masses and mixing matrix elements.

To come: explicit fit of this specific model to the observed SM flavor structure.



Thank You

Backup slides

“Modular Flavor”, general idea

Even w/o thoughts about UV completions: Very attractive framework.

Very predictive (few parameters), CP violation “built in”!

- Neutrinos/Leptons

[Kobayashi, Tanaka, Tatsuishi '18], [Penedo, Petcov '18], [Criado, Feruglio '18],
[Kobayashi, Omoto, Shimizu, Takagi, Tanimoto, Tatsuishi '18], [Novichkov, Penedo, Petcov, Titov '18 (2x)],
[Novichkov, Petcov, Tanimoto '18]

- Quark sector (including CP violation)

[Okada, Tanimoto '18],[Kobayashi, Shimizu, Takagi, Tanimoto, Tatsuishi, Uchida '18]

- Within GUTs [de Anda, King, Perdomo '18]

Also very attractive from top-down UV complete viewpoint: Modular invariance controls orbifold compactifications of heterotic string.

- Couplings among twisted-sector states are modular forms

[Ibañez '86],[Hamdi, Vafa '87],...

- In particular, for Yukawa couplings!

..., [Kobayashi, Lebedev '03]

- ↪ Explore relation of new approach to string theory compactifications [Kobayashi, Nagamoto, Takada, Tamba, Tatsuishi '18],[Kobayashi, Tamba '18]

[Baur, Nilles, AT, Vaudrevange '19]

Flavor and Modular Symmetries

Feruglio: “Are neutrino masses modular forms?” [Feruglio '17]

General (bottom-up) idea:

- Supersymmetric (say $N = 1$) theory.
- Ask for **modular invariance**:

[Ferrara, Lüst, (Shapere), Theisen '89(x2)]

$$\tau \mapsto \gamma\tau = \frac{a\tau + b}{c\tau + d} , \quad \varphi^{(I)} \mapsto (c\tau + d)^{-k_I} \rho^{(I)}(\gamma)\varphi^{(I)} .$$

$$\gamma := \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \Gamma(N) , \quad \{a, b, c, d\} \in \mathbb{Z} , \quad \Phi := (\tau, \varphi) .$$

- *EITHER* $W(\Phi)$, $K(\Phi, \bar{\Phi})$ invariant (K up to Kähler transf.),
OR compensating against each other. →global SUSY
→SUGRA
- In any case, Yukawa couplings must be *modular forms*:

$$W(\Phi) = \sum_n Y_{I_1 \dots I_n}(\tau) \varphi^{(I_1)} \dots \varphi^{(I_n)} ,$$

$$Y_{I_1 \dots I_n}(\tau) \mapsto Y_{I_1 \dots I_n}(\gamma\tau) \stackrel{!}{=} \left[e^{i\alpha(\gamma)} \right] (c\tau + d)^{k_Y(n)} Y_{I_1 \dots I_n}(\tau)$$

- $\tau \rightarrow \langle \tau \rangle$ breaks modular symmetry $\iff \tau$ takes rôle of flavon!

Comments on relation to bottom-up constructions

- We connect to Supergravity theories. To relate in bottom-up approach, one should **not** take invariant superpotential, but

$$W(\Phi) \mapsto e^{i\alpha(\gamma)} (c\tau + d)^{-h} W(\Phi).$$

(it has to cancel non-trivially transforming $K(\Phi, \bar{\Phi})$, see [Feruglio '17])

- Traditional flavor symmetry $\Delta'(54, 2, 1)$ is *universal* in moduli space, i.e. it is never broken by $\langle T \rangle$. (for a realistic pheno, it must be broken by some other mechanism)
- In particular, not *all* of the flavor symmetry arises from subgroups of the modular group $SL(2, \mathbb{Z})_T$.

(exactly the parts corresponding to Narain lattice translations)

Narain vielbein

The Narain vielbein can be parameterized as (in absence of Wilson lines)

$$E := \frac{1}{\sqrt{2}} \begin{pmatrix} \frac{e^{-T}}{\sqrt{\alpha'}} (G - B) & -\sqrt{\alpha'} e^{-T} \\ \frac{e^{-T}}{\sqrt{\alpha'}} (G + B) & \sqrt{\alpha'} e^{-T} \end{pmatrix}.$$

In this definition of the Narain vielbein, e denotes the vielbein of the D -dimensional geometrical torus \mathbb{T}^D with metric $G := e^T e$, e^{-T} corresponds to the inverse transposed matrix of e , B is the anti-symmetric background B -field ($B = -B^T$), and α' is called the Regge slope.

World-sheet modular invariance requires E to span even, self-dual lattice $\Gamma = \{E \hat{N} \mid \hat{N} \in \mathbb{Z}^{2D}\}$ with metric η of signature (D, D) . Consequently, one can always choose E such that

$$E^T \eta E = \hat{\eta}, \quad \text{where} \quad \eta := \begin{pmatrix} -1 & 0 \\ 0 & 1 \end{pmatrix} \quad \text{and} \quad \hat{\eta} := \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}.$$

Transformation of moduli

To compute the transformation properties of the moduli T and U we use the generalized metric $\mathcal{H} = E^T E$. As the Narain vielbein depends on the moduli $E = E(T, U)$ so does the generalized metric $\mathcal{H} = \mathcal{H}(T, U)$. It transforms as

$$\mathcal{H}(T, U) \xrightarrow{\hat{\Sigma}} \mathcal{H}(T', U') = \hat{\Sigma}^{-T} \mathcal{H}(T, U) \hat{\Sigma}^{-1}.$$

This equation can be used to read off the transformations of the moduli

$$T \xrightarrow{\hat{\Sigma}} T' = T'(T, U) \quad \text{and} \quad U \xrightarrow{\hat{\Sigma}} U' = U'(T, U).$$

For a two-torus \mathbb{T}^2 , the generalized metric in terms of the torus moduli reads

$$\mathcal{H}(T, U) = \frac{1}{\operatorname{Im} T \operatorname{Im} U} \begin{pmatrix} |T|^2 & |T|^2 \operatorname{Re} U & \operatorname{Re} T \operatorname{Re} U & -\operatorname{Re} T \\ |T|^2 \operatorname{Re} U & |TU|^2 & |U|^2 \operatorname{Re} T & -\operatorname{Re} T \operatorname{Re} U \\ \operatorname{Re} T \operatorname{Re} U & |U|^2 \operatorname{Re} T & |U|^2 & -\operatorname{Re} U \\ -\operatorname{Re} T & -\operatorname{Re} T \operatorname{Re} U & -\operatorname{Re} U & 1 \end{pmatrix}.$$

Explicit generators of $\Omega(2)$ for $\mathbb{T}^2/\mathbb{Z}_3$

$\text{SL}(2, \mathbb{Z})_T$ modular generators S and T arise from rotational outer automorphisms and act on the modulus via

$$S = \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix} \quad \text{and} \quad T = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix},$$

Reflectional outer automorphism corresponding to $\mathbb{Z}_2^{\mathcal{CP}}$ \mathcal{CP} -like transformation:

$$K_* = \begin{pmatrix} -1 & 0 \\ 0 & 1 \end{pmatrix},$$

$$\rho(S) = \frac{i}{\sqrt{3}} \begin{pmatrix} 1 & 1 & 1 \\ 1 & \omega^2 & \omega \\ 1 & \omega & \omega^2 \end{pmatrix} \quad \text{and} \quad \rho(T) = \begin{pmatrix} \omega^2 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 1 \end{pmatrix},$$

The traditional flavor symmetry $\Delta(54)$ is generated by two translational outer automorphisms of the Narain space group A and B, together with the \mathbb{Z}_2 rotational outer automorphism C := S².

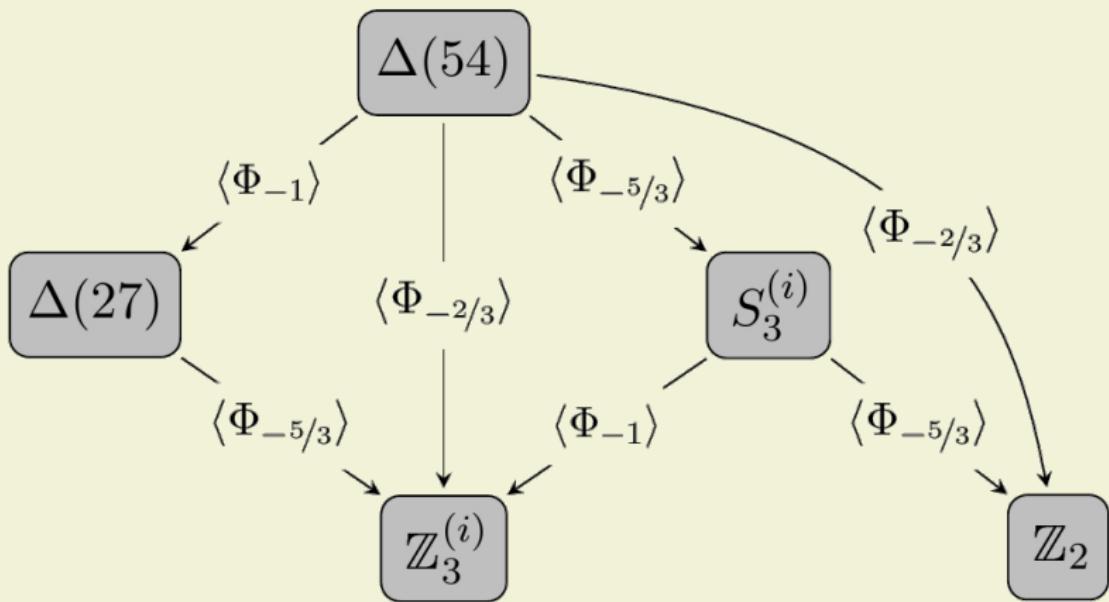
$$\rho(A) = \begin{pmatrix} 0 & 1 & 0 \\ 0 & 0 & 1 \\ 1 & 0 & 0 \end{pmatrix}, \quad \rho(B) = \begin{pmatrix} 1 & 0 & 0 \\ 0 & \omega & 0 \\ 0 & 0 & \omega^2 \end{pmatrix} \quad \text{and} \quad \rho(C) = - \begin{pmatrix} 1 & 0 & 0 \\ 0 & 0 & 1 \\ 0 & 1 & 0 \end{pmatrix} = \rho(S)^2,$$

Explicit generators of $\Omega(2)$ for $\mathbb{T}^2/\mathbb{Z}_3$

The complex structure modulus with vev $\langle U \rangle = \exp(2\pi i/3)$ breaks the $\mathrm{SL}(2, \mathbb{Z})_U$ of \mathbb{T}^2 to a discrete remnant that acts as a \mathbb{Z}_9^R symmetry on matter fields.
The traditional flavor symmetry is enhanced to $\Delta(54) \cup \mathbb{Z}_9^R \cong \Delta'(54, 2, 1) \cong [162, 44]$.
Altogether, the full eclectic group is a group of order 3888 given by

$$G_{\text{eclectic}} = \Omega(2) \rtimes \mathbb{Z}_2^{\mathcal{CP}}, \quad \text{where } \Omega(2) \cong [1944, 3448]. \quad (1)$$

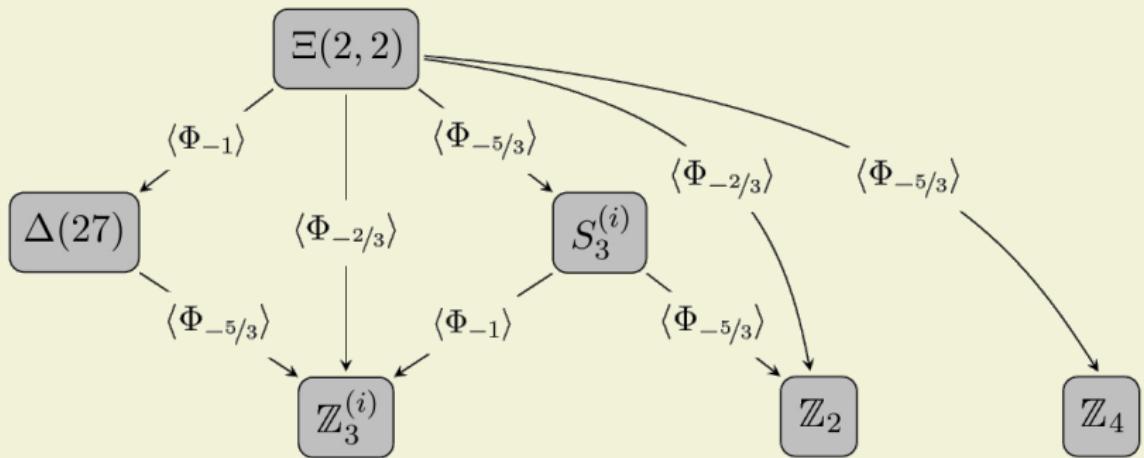
Delta(54), $\langle T \rangle$ universal



Delta(54), $\langle T \rangle$ universal

$\Delta(54)$		branchings		subgroup	corresponding vevs	
subgroup	Φ_{-1}	$\Phi_{-2/3}$	$\Phi_{-5/3}$	generator(s)	$\langle \Phi_{-2/3} \rangle$	$\langle \Phi_{-5/3} \rangle$
$\Delta(27)$	1	3	3	A, B	—	—
$S_3^{(1)}$	1'	1' \oplus 2	1 \oplus 2	A, C	—	$(1, 1, 1)^T$
$\mathbb{Z}_3^{(1)}$	1	1 \oplus 1$_{\omega}$ \oplus 1$_{\omega^2}$		A	$(1, 1, 1)^T$	$(1, 1, 1)^T \oplus \langle \Phi_{-1} \rangle$
$S_3^{(2)}$	1'	1' \oplus 2	1 \oplus 2	B, C	—	$(1, 0, 0)^T$
$\mathbb{Z}_3^{(2)}$	1	1 \oplus 1$_{\omega}$ \oplus 1$_{\omega^2}$		B	$(1, 0, 0)^T$	$(1, 0, 0)^T \oplus \langle \Phi_{-1} \rangle$
$S_3^{(3)}$	1'	1' \oplus 2	1 \oplus 2	ABA, C	—	$(\omega, 1, 1)^T$
$\mathbb{Z}_3^{(3)}$	1	1 \oplus 1$_{\omega}$ \oplus 1$_{\omega^2}$		ABA	$(\omega, 1, 1)^T$	$(\omega, 1, 1)^T \oplus \langle \Phi_{-1} \rangle$
$S_3^{(4)}$	1'	1' \oplus 2	1 \oplus 2	AB ² A, C	—	$(\omega^2, 1, 1)^T$
$\mathbb{Z}_3^{(4)}$	1	1 \oplus 1$_{\omega}$ \oplus 1$_{\omega^2}$		AB ² A	$(\omega^2, 1, 1)^T$	$(\omega^2, 1, 1)^T \oplus \langle \Phi_{-1} \rangle$
\mathbb{Z}_2	1₋₁	1 \oplus 1₋₁ \oplus 1₋₁	1 \oplus 1 \oplus 1₋₁	C	$(0, 1, -1)^T$ $+ \alpha(0, 1, 1)^T$	$(1, 0, 0)^T$

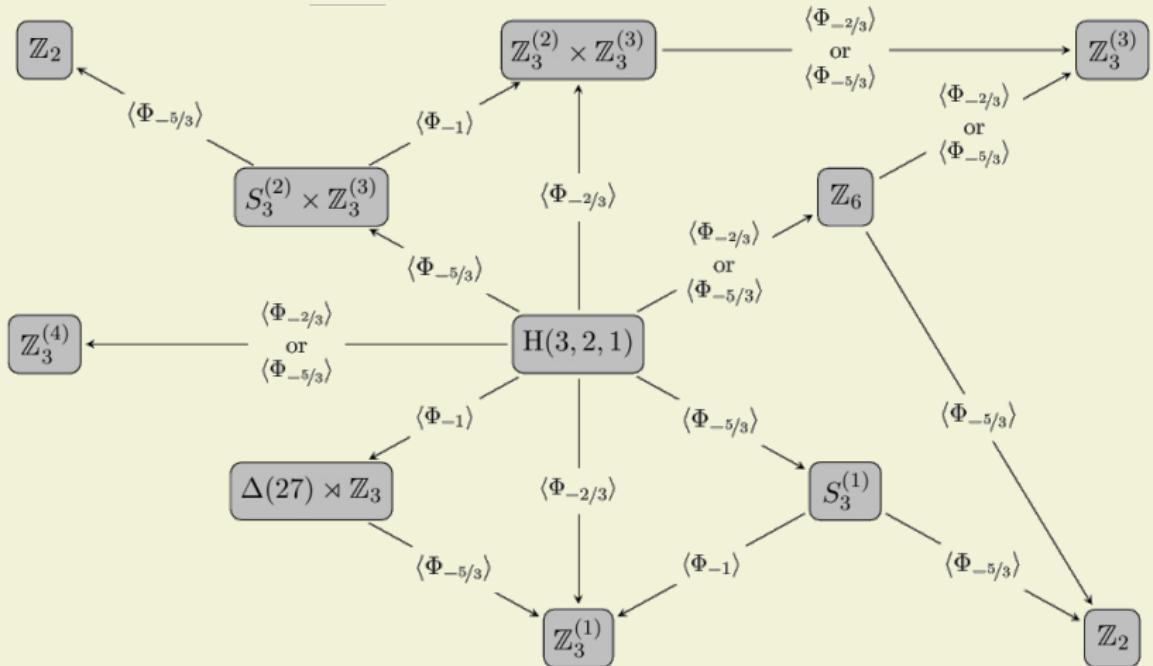
$$\Xi(2,2), \langle T \rangle = i$$



$$\Xi(2,2), \langle T \rangle = i$$

$\Xi(2,2)$ subgroup	branchings		subgroup generator(s)	corresponding vevs	
	$\Phi_{-2/3}$	$\Phi_{-5/3}$		$\langle \Phi_{-2/3} \rangle$	$\langle \Phi_{-5/3} \rangle$
$S_3^{(1)}$	$1' \oplus 2$	$1 \oplus 2$	A, C	—	$(1, 1, 1)^T$
$\mathbb{Z}_3^{(1)}$	$1 \oplus 1_\omega \oplus 1_{\omega^2}$	$1 \oplus 1_\omega \oplus 1_{\omega^2}$	A	$(1, 1, 1)^T$	$(1, 1, 1)^T \oplus \langle \Phi_{-1} \rangle$
$S_3^{(2)}$	$1' \oplus 2$	$1 \oplus 2$	ABA, C	—	$(\omega, 1, 1)^T$
$\mathbb{Z}_3^{(2)}$	$1 \oplus 1_\omega \oplus 1_{\omega^2}$	$1 \oplus 1_\omega \oplus 1_{\omega^2}$	ABA	$(\omega, 1, 1)^T$	$(\omega, 1, 1)^T \oplus \langle \Phi_{-1} \rangle$
\mathbb{Z}_4	$1_{-1} \oplus 1_i \oplus 1_{-i}$	$1 \oplus 1_{-1} \oplus 1_i$	AB ² ACS	—	$(1, 1 + \sqrt{3}, 1)^T$
\mathbb{Z}_2	$1 \oplus 1_{-1} \oplus 1_{-1}$	$1 \oplus 1 \oplus 1_{-1}$	C	$(0, 1, -1)^T$ $+ \alpha(0, 1, 1)^T$	$(1, 0, 0)^T$

$$H(3, 2, 1), \langle T \rangle = \omega, 1, i\infty$$



H(3,2,1), $\langle T \rangle = \omega, 1, i\infty$

$H(3,2,1)$ subgroup	branchings		subgroup generator(s)	corresponding vevs	
	$\Phi_{-2/3}$	$\Phi_{-5/3}$		$\langle \Phi_{-2/3} \rangle$	$\langle \Phi_{-5/3} \rangle$
$S_3^{(2)} \times \mathbb{Z}_3^{(3)}$	$\mathbf{1}'_1 \oplus \mathbf{2}_c$	$\mathbf{1} \oplus \mathbf{2}_c$	C, AB ² A, AB ² AR(ST)	—	$(\omega^2, 1, 1)^T$
$\mathbb{Z}_3^{(2)} \times \mathbb{Z}_3^{(3)}$	$\mathbf{1} \oplus \mathbf{1}_{\omega,1} \oplus \mathbf{1}_{\omega^2,\omega}$	$\mathbf{1} \oplus \mathbf{1}_{\omega^2,1} \oplus \mathbf{1}_{\omega,\omega^2}$	AB ² A, AB ² AR(ST)	$(\omega^2, 1, 1)^T$	$(\omega^2, 1, 1)^T \oplus \langle \Phi_{-1} \rangle$
$\mathbb{Z}_3^{(3)}$	$\mathbf{1} \oplus \mathbf{1} \oplus \mathbf{1}_\omega$	$\mathbf{1} \oplus \mathbf{1} \oplus \mathbf{1}_{\omega^2}$	AB ² AR(ST)	$(0, 1, -\omega^2)^T$ $+ \alpha(1, 0, -\omega^2)^T$	$(1, -1, 0)^T$ $+ \alpha(0, -\omega, 1)^T$
$S_3^{(1)}$	$\mathbf{1}' \oplus \mathbf{2}$	$\mathbf{1} \oplus \mathbf{2}$	C, A	—	$(1, 1, 1)^T$
$\mathbb{Z}_3^{(1)}$	$\mathbf{1} \oplus \mathbf{1}_\omega \oplus \mathbf{1}_{\omega^2}$	$\mathbf{1} \oplus \mathbf{1}_\omega \oplus \mathbf{1}_{\omega^2}$	A	$(1, 1, 1)^T$	$(1, 1, 1)^T \oplus \langle \Phi_{-1} \rangle$
\mathbb{Z}_6	$\mathbf{1} \oplus \mathbf{1}_{-1} \oplus \mathbf{1}_{-\omega}$	$\mathbf{1} \oplus \mathbf{1}_{-1} \oplus \mathbf{1}_\omega$	B ² ACR ² (ST) ²	$(1, -1, 0)^T$ $(0, 1, -\omega^2)^T$ $+ \alpha(1, 0, -\omega^2)^T$	$(1, 1, -2\omega^2)^T$ $(1, -1, 0)^T$ $+ \alpha(0, -\omega, 1)^T$
$\mathbb{Z}_3^{(3)}$	$\mathbf{1} \oplus \mathbf{1} \oplus \mathbf{1}_{\omega^2}$	$\mathbf{1} \oplus \mathbf{1} \oplus \mathbf{1}_{\omega^2}$	AB ² AR(ST)		
$\mathbb{Z}_3^{(4)}$	$\mathbf{1} \oplus \mathbf{1}_\omega \oplus \mathbf{1}_{\omega^2}$	$\mathbf{1} \oplus \mathbf{1}_\omega \oplus \mathbf{1}_{\omega^2}$	BR(ST) ²	$(1, a, b)^T$	$(1, a, b)^T$
\mathbb{Z}_2	$\mathbf{1} \oplus \mathbf{1}_{-1} \oplus \mathbf{1}_{-\omega}$	$\mathbf{1} \oplus \mathbf{1} \oplus \mathbf{1}_{-1}$	C (preserves $\mathbb{Z}_6^{(2)}$)		$(1, 0, 0)^T$ $+ \alpha(0, 1, 1)^T$

