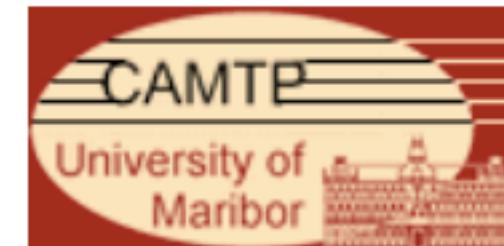


# Non-perturbative Effects in Type II/F-Theory

Mirjam Cvetič



# Outline:

## Non-perturbative physics w/ D-branes:

- I. Type II (w/ D-branes at small string coupling)
  - Standard Model & GUT's (local and global)
  - D-instantons → new hierarchy for couplings
- II. F-theory (string theory w/ D-branes at finite coupling)
  - primarily GUT's
  - instantons

## I. Particle Physics implications (Type II):

Recent focus: landscape of realistic D-brane quivers w/ D-instantons

### String Consistent MSSM Quivers w/ realistic fermion textures

M.C., J. Halverson, R. Richter; & P. Langacker '09-'10

only highlights

Most MSSM Quivers-string inconsistent

What are the simplest extensions?

With no additional nodes:

landscape analysis all MSSM quivers & additional matter  
(compatible with string constraints) → stringy inputs on exotic matter

M.C., J. Halverson & P. Langacker, 1108.5187

With additional U(1)'s or U(N) node:

implications for SUSY breaking, dark matter, Z'

M.C., J. Halverson & H. Piragua, UPR-2041-T, to appear

## II. D-instantons – formal developments

### Focus on F-theory

Theory at finite string coupling  $g_s$  w/ no fundamental formulation  
→ multi-pronged approaches

#### Recent Past:

##### i) zero mode structure

neutral (3-3) zero modes → monodromies in F-theory; anomaly inflow

[M.C., I. Garcia-Etxebarria, R. Richter, 0911.0012],

[M.C., I. Garcia-Etxebarria, J. Halverson, 1107.2388]

charged (3-7) zero modes → string junctions

[M.C., I. Garcia-Etxebarria, J. Halverson, 1107.2388],...

#### Recent/Current:

##### ii) Superpotential via dualities & directly in F-theory

## → ii) F-theory instanton superpotential

Focus on Pfaffians (7-brane moduli dependent prefactors):

- i) Via Heterotic Duality → Geometric interpretation of zero loci  
(including  $E_8$  symmetric point)  
[M.C., I. Garcia-Etxebarria & J. Halverson, 1107.2388]

- ii) Inclusion of fluxes & direct F-theory results  
[M.C., R. Donagi, J. Halverson & J. Marsano, UPR-1040-T, to appear]

- iii) Effective Superpotential via N=2 D=3 M-theory  
[study of anomaly cancellation as a prerequisite]  
[M.C., T. Grimm, J. Halverson & D. Klevers, work in progress]

Not much time

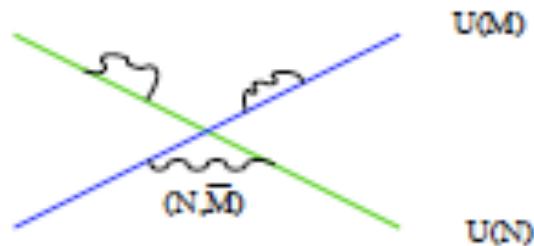
# I. Type II: Model Building with D-branes → fertile ground for particle physics model building

[Pedagogical review: TASI'10 lectures, M.C., Halverson arXiv:1101.2907]

Illustrate: Type IIA w/intersecting D-branes →

key features of SM & SU(5) GUT spectrum →

non-Abelian gauge symmetry, chirality & family replication Geometric



Representation	Multiplicity
$(\bar{a}, b)$	$\pi_a \circ \pi_b$
$(\bar{a}, \bar{b})$	$\pi_a \circ \pi'_b$
$\begin{smallmatrix} \square \\ \square \end{smallmatrix}_a$	$\frac{1}{2} (\pi'_a \circ \pi_a + \pi_{O6} \circ \pi_a)$
$\begin{smallmatrix} \square \\ \square \\ \square \end{smallmatrix}_a$	$\frac{1}{2} (\pi'_a \circ \pi_a - \pi_{O6} \circ \pi_a)$



Large classes (order of 100's) of supersymmetric,  
globally consistent (Gauss's law for D-brane charge)

[Aldazabal et al.'00-'01]; [Blumenhagen et al.'00-'01]

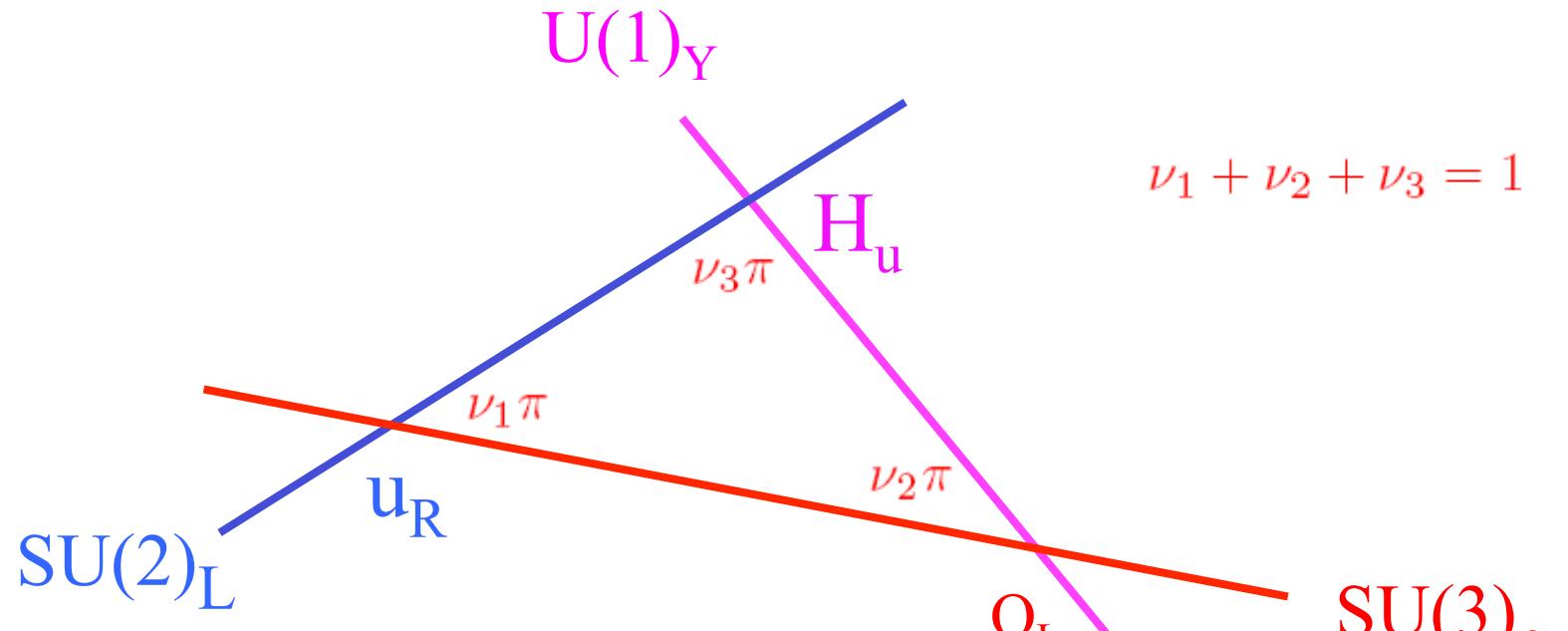
SM-like & GUT constructions; also coupling calculations  
(primarily toroidal orbifolds)

[M.C. ,Shiu, Uranga'01]...

[M.C. Papadimitriou '03],  
[Cremades, Ibáñez, Marchesano'03]...

# Yukawa Couplings

(schematic) Intersections in internal space (schematic on  $i^{\text{th}}$ -two-torus of an orbifold)



[M.C., Papadimitriou'03]

$$Y = (2\pi)^{\frac{3}{2}} g_{st} \prod_{i=1}^3 \left[ \frac{\Gamma(1 - \nu_1^i) \Gamma(1 - \nu_2^i) \Gamma(1 - \nu_3^i)}{\Gamma(\nu_1^i) \Gamma(\nu_2^i) \Gamma(\nu_3^i)} \right]^{\frac{1}{4}} \sum_I \exp\left(-\frac{A_I^1 + A_I^2 + A_I^3}{2\pi\alpha'}\right)$$

quantum part

classical part  $A_I^i$  - triangle areas on  $i^{\text{th}}$  two-torus lattice

# Non-perturbative effects → D-instantons

Motivation:

## i) Important role in moduli stabilization

... [Kachru, Kallosh, Linde, Trivedi'03], ...  
[Balasubramanian, Berglund, Conlon, Quevedo'05], ...

## ii) New types of D-instantons: generate certain perturbatively absent couplings for charged sector matter

[Blumenhagen, M.C., Weigand, hep-th/0609191],  
[Ibañez, Uranga, hep-th/0609213],  
- charges matter coupling corrections  
[Florea, Kachru, McGreevy, Saulina, hep-th/0610003]  
- supersymmetry breaking

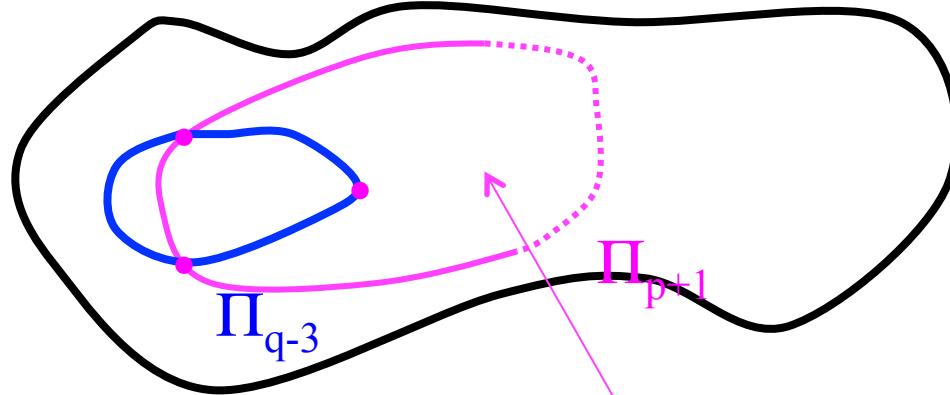
**Review:** [Blumenhagen, M.C., Kachru, Weigand, 0902.3251]

Encoded in non-perturbative violation of ``anomalous'' U(1)'s

Illustrate: Type II A D-Instantons (geometric)- Euclidean D-brane

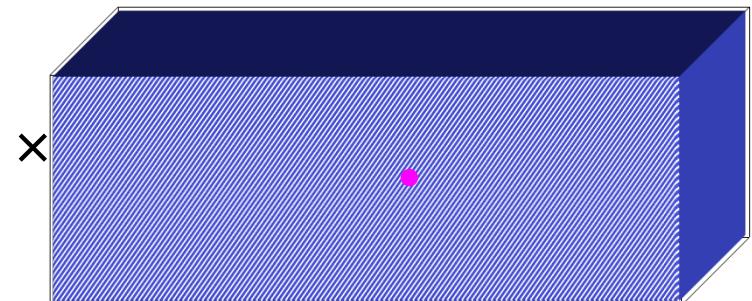
D=9+1 —————→ D=3+1

X<sub>6</sub>-Calabi-Yau



Wraps cycle  $\Pi_{p+1}$  cycles of  $X_6$

M<sub>(1,3)</sub>-flat



point-in 3+1 space-time

New geometric hierarchies for couplings:

$$\mathcal{R}e(e^{-S_{E2}}) = e^{-\frac{2\pi}{\ell_s^3 g_s} \text{Vol}_{E2}} = e^{-\frac{2\pi}{\alpha_{\text{GUT}}} \frac{\text{Vol}_{E2}}{\text{Vol}_{D6}}} \quad \text{stringy!}$$

Instanton can intersect with D-brane (charged - zero modes)

→ generate non-perturbative couplings of charged matter

Rigid  $O(1)$  instantons  $\rightarrow$  direct contribution to superpotential

I. Wrap rigid cycles homologically related to orientifold cycles-

Neutral zero modes  $\bar{\tau}^{\dot{\alpha}}$  projected out [Argurio et al.0704.0262]

$\longrightarrow$  4 bosonic modes  $x_E^\mu$  & only 2 fermionic modes  $\theta_\alpha$

yield directly superpotential measure:  $\int d^4x_E d^2\theta$

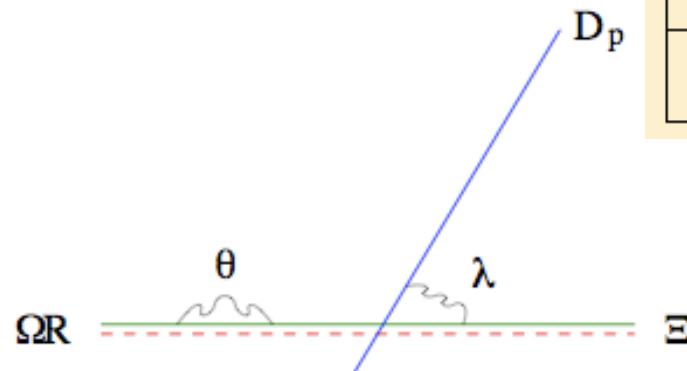
$$W \sim e^{-S_{E2}^{cl}} \prod_i \Phi_i,$$

II. Charged Zero modes from strings between  $E2$  and  $D6_a$ :

$\longrightarrow$  Localized at each intersection of  $E2$  and  $D6_a$ :

One fermionic zero mode  $\lambda_a$  per intersection

Stringy & Geometric!



Zero modes	Reps	Number
$\lambda_{a,I}$	$(-1_E, \square_a)$	$I = 1, \dots, [\Xi \cap \Pi_a]^+$
$\bar{\lambda}_{a,I}$	$(1_E, \square_a)$	$I = 1, \dots, [\Xi \cap \Pi_a]^-$
$\lambda_{a',I}$	$(-1_E, \bar{\square}_a)$	$I = 1, \dots, [\Xi \cap \Pi'_a]^+$
$\bar{\lambda}_{a',I}$	$(1_E, \square_a)$	$I = 1, \dots, [\Xi \cap \Pi'_a]^-$

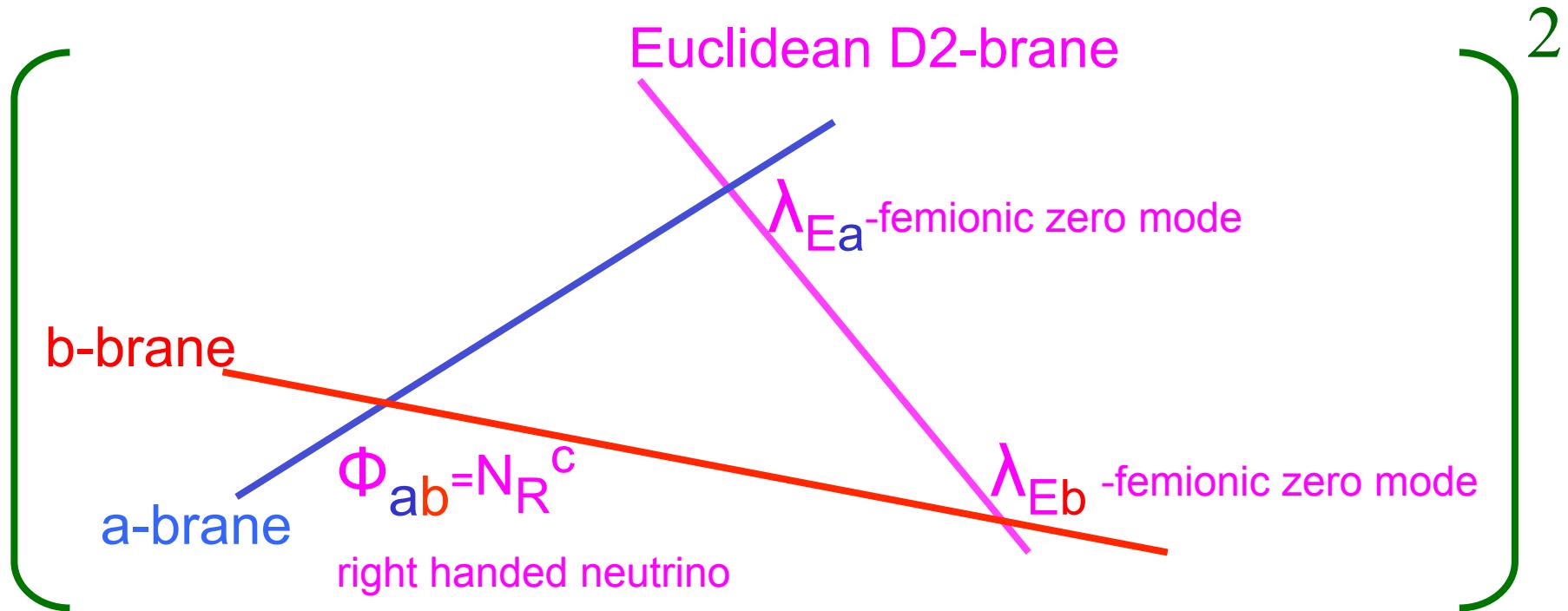
III. Develop conformal field theory instanton calculus

[Blumenhagen, M. C., Weigand, hep-th/0609191, ...]

Building blocks: disc-level couplings of two  $\lambda$  modes to

matter  $\Phi_{ab}$ :  $S = \int_{\Xi} \lambda_a \Phi_{ab} \bar{\lambda}_b$

Illustrate: Type IIA Euclidean D2-brane O(1) Instanton  
& Majorana neutrino mass: wraps 3-cycle  $[\Pi_{E3}]$  in internal space



There is non-zero non-perturbative coupling:  $M_m N_R^c N_R^c$

for Euclidean D2-instanton w/  $[\Pi_a]^\circ [\Pi_{E3}] = 2$  &  $[\Pi_b]^\circ [\Pi_{E3}] = -2 \rightarrow$   
 $\lambda$  zero modes appear precisely ONCE and thus  $M_m$  non-zero  
(CFT calculation for  $M_m$  on an orbifold [M.C.,Richter,Weigand'07])  
Geometric!

## Specific examples of instanton induced charged matter couplings:

- i) Majorana neutrino masses original papers...
- ii) Nonpert. Dirac neutrino masses [M.C., Langacker, 0803.2876]
- iii) 10 10 5 GUT coupling in SU(5) GUT's  
[Blumenhagen, M.C. Lüst, Richter, Weigand, 0707.1871]
- iv) Polonyi-type couplings  
[Aharony, Kachru,Silverstein, 0708.0493],[M.C. Weigand,0711.0209,0807.3953],  
[Heckman, Marsano, Sauline, Schäfer-Nameki, Vafa, 0808.1286]...

Original examples primarily for  
Local Type IIA toroidal orbifolds SU(5) GUT's



Global models → Type I/IIB/F-theory (algebraic geometry)

- i. Type I GUT's on compact elliptically fibered Calabi-Yau  
First global chiral (four-family) SU(5) GUT's w/ D-instanton  
generated Polonyi & Majorana neutrino masses

[M.C., T.Weigand,0711.0209,0807.3953]

- ii. Global Type IIB GUT's : 1010 5<sub>H</sub> non-perturbative coupling  
(two family) SU(5) GUT on CY as hypersurface in toric variety

[Blumenhagen, Grimm, Jurke, Weigand, 0811.2938]

- iii. Global F-theory lift [M.C., I. Garcia-Etxebarria, J. Halverson, 003.5337]

[Develop a code to calculate zero modes/spectrum in Type IIB and F-theory on  
toric varieties; code w/ new efficient technique →

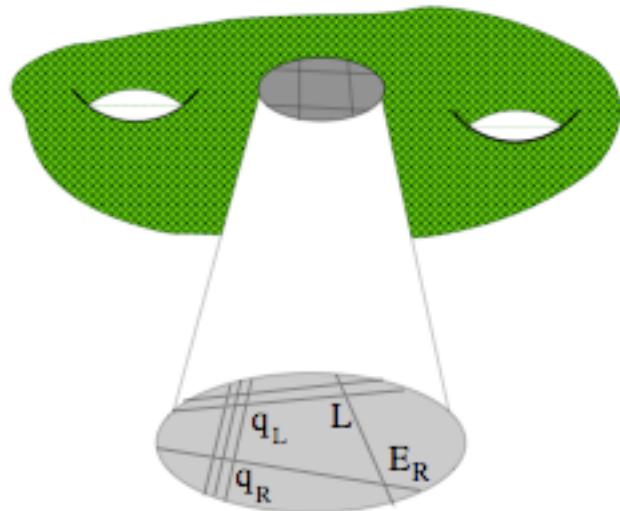
[Blumenhagen, Jurke, Rahn & Roschy, 1003.5217 ]

Most examples instantons addressed SU(5) GUT's  
How about directly Standard Model?

Local Madrid quiver [Ibañez,Richter, 0811.1583]



Systematic Analysis of D-Instanton effects for MSSM's quivers  
(compatible with global/stringy constraints)



Landscape analysis of MSSM w/  
realistic fermion textures

[M.C., J. Halverson, R. Richter, 0905.3379;  
0909.4292; 0910.2239]

Stringy Weinberg operator neutrino masses  
(examples of low string scale)

[M.C., J. Halverson, P. Langacker, R. Richter, 1001.3148]

Singlet-extended MSSM landscape

[M.C. J. Halverson, P. Langacker, 1006.3341]

Bottom-up approach initiated [Aldazabal,Ibanez,Quevedo,Uranga'00]..

Related recent works: Specific 3-stack [Leontaris, 0903.3691]

Madrid quiver [Anastasopoulos, Kiritsis, Lionetto, 0905.3044]

SU(5) GUT's [Kiritsis, Lennek, Schellekens, 0909.0271]...

MSSM at toric singularities: [Krippendorf, Dolan,Maharana,Quevedo,1002.1790, 1106.6039]...

## Approach: Bottom-up quivers

Spectrum and couplings geometric →  
efficient classification of key physics

[compatible w/ global constraints → stringy, but without delving  
into specifics of globally defined string compactifications]

Quiver data: massless spectrum &  
examination of couplings

[both perturbative & non-perturbative-instantons]



Probe ``quiver landscape''

to identify realistic quivers in the landscape of string vacua

I. Spectrum: exact MSSM w/ 3 right-handed neutrinos  
compatible with RR tadpole cancellation & global constraint for massless  $U(1)_Y$   
[fixes specific reps., e.g., bi-fund., (anti-)symmetric; different reps. for diff. fams.]



of order  $10^4$  quivers (3&4 stacks); of order  $10^6$  quivers (5-stacks)

à la [Anastasopoulos, Dijkstra, Kiritsis, Schellekens, hep-th/0605226]

Couplings:

- i. top Yukawa coupling perturbative
- ii. charged fermion textures (pert. and/or non-pert.) &  
 $\mu$ -parameter (non-pert.) – in the desired regime
- iii. Neutrino masses (non-pert.): seesaw or non-pert. Dirac
- iv. Fermion texture instantons do not generate:  
 $\mu$ -term & R-parity violating and dim-5 proton decay ops.

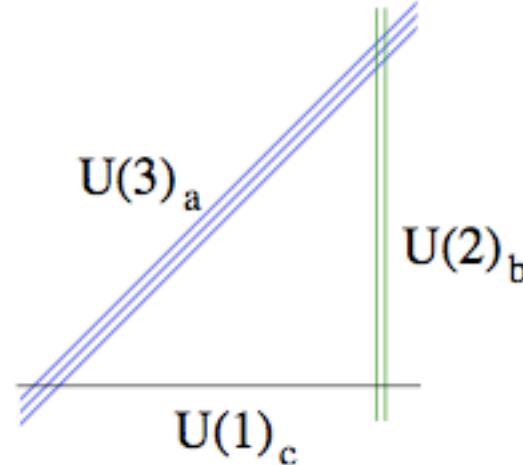
[ i.-iv. fix  $O(1)$ -instanton intersection numbers & size of its  $S_{cl}$  ]



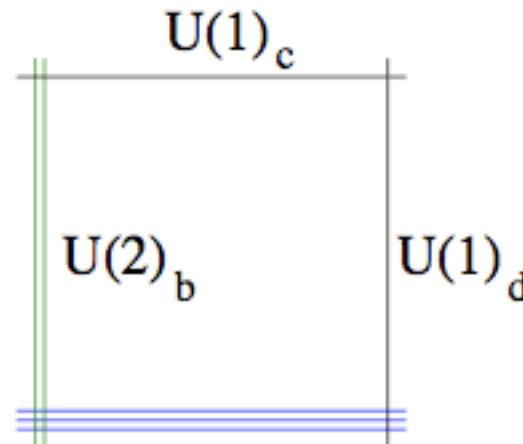
of order 30 MSSM quivers w/potentially realistic textures  
[M.C., J. Halverson, R. Richter, 0905.3379]

## Multi-stack MSSM quivers

Employ three-stack MSSM  $U(3)_a \times U(2)_b \times U(1)_c$



& four-stack MSSM  $U(3)_a \times U(2)_b \times U(1)_c \times U(1)_d$



five-stack....

# Four-stack set of MSSM models w/ $3 N_R$ & potentially viable fermion textures

[M.C., J. Halverson, R. Richter, 0905.3379]

Solution #	$q_L$		$d_R$		$u_R$		$L$			$E_R$		$N_R$			$H_u$			$H_d$				
	( $a, b$ )	( $a, \bar{b}$ )	( $\bar{a}, c$ )	( $\bar{a}, \bar{d}$ )	$\Gamma_a$	( $\bar{a}, \bar{c}$ )	( $\bar{a}, d$ )	( $b, \bar{c}$ )	( $b, d$ )	( $\bar{b}, d$ )	( $c, \bar{d}$ )	$\perp_L$	$\perp_{Ld}$	$\Gamma_b$	$\Gamma_b$	( $c, d$ )	( $\bar{c}, \bar{d}$ )	( $b, c$ )	( $\bar{b}, c$ )	( $b, \bar{d}$ )	( $\bar{b}, \bar{d}$ )	( $\bar{b}, \bar{c}$ )
1	3	0	3	0	0	0	3	0	0	3	0	0	3	2	0	0	1	0	0	0	1	1
2	3	0	2	0	1	0	3	0	0	3	0	0	3	2	0	0	1	0	0	0	1	1
3	3	0	1	0	2	0	3	0	0	3	0	0	3	2	0	0	1	0	0	0	1	1
4	3	0	0	0	3	0	3	0	0	3	0	0	3	2	0	0	1	0	0	0	1	1
5	3	0	0	0	3	0	3	0	0	3	0	0	3	3	0	0	0	1	0	0	0	1
6	3	0	3	0	0	2	1	0	0	3	0	2	1	2	0	1	0	0	0	0	1	1
7	3	0	3	0	0	3	0	0	0	3	2	1	0	2	0	0	1	0	1	0	0	1
8	3	0	3	0	0	3	0	0	0	3	0	2	1	2	0	0	1	0	1	0	0	1
9	3	0	3	0	0	3	0	0	0	3	1	2	0	2	0	1	0	0	1	0	0	1
10	2	1	3	0	0	1	2	0	0	3	0	0	3	0	0	0	3	1	0	0	0	1
11	2	1	3	0	0	1	2	0	0	3	3	0	0	0	0	3	0	1	0	0	0	1
12	2	1	3	0	0	3	0	0	0	3	3	0	0	0	0	0	3	1	0	0	0	1
13	2	1	3	0	0	3	0	0	1	2	3	0	0	0	0	0	3	0	1	0	0	1
14	1	2	3	0	0	3	0	0	3	0	3	0	0	0	0	0	3	1	0	0	0	1
15	0	3	0	3	0	0	3	3	0	0	0	1	2	0	3	0	0	0	0	1	0	1
16	0	3	0	0	3	0	3	0	3	0	0	0	3	0	3	0	0	1	0	0	0	1
17	0	3	0	0	3	0	3	1	2	0	1	0	2	0	3	0	0	0	0	0	1	0
18	0	3	0	0	3	0	3	3	0	0	2	0	1	0	3	0	0	0	0	0	1	0
19	0	3	0	0	3	0	3	3	0	0	0	1	2	0	3	0	0	0	0	0	1	0
20	0	3	0	0	3	1	2	1	2	0	2	0	1	0	3	0	0	1	0	0	0	1
21	0	3	0	0	3	1	2	1	2	0	0	1	2	0	3	0	0	1	0	0	0	1
22	0	3	0	0	3	1	2	2	3	0	0	3	0	0	0	3	0	1	0	0	0	1
23	0	3	0	0	3	1	2	3	0	0	1	1	1	0	3	0	0	1	0	0	0	1
24	0	3	0	0	3	2	1	0	3	0	3	0	0	0	3	0	0	1	0	0	0	1
25	0	3	0	0	3	2	1	0	3	0	1	1	1	0	3	0	0	1	0	0	0	1
26	0	3	0	0	3	2	1	2	1	0	2	1	0	0	3	0	0	1	0	0	0	1
27	0	3	0	0	3	2	1	2	1	0	0	2	1	0	3	0	0	1	0	0	0	1
28	0	3	0	3	0	3	0	3	0	0	0	3	0	0	3	0	0	1	0	0	0	1
29	0	3	0	2	1	3	0	3	0	0	0	3	0	0	3	0	0	1	0	0	0	1
30	0	3	0	1	2	3	0	3	0	0	0	3	0	0	3	0	0	1	0	0	0	1
31	0	3	0	0	3	3	0	1	2	0	1	2	0	0	3	0	0	1	0	0	0	1

Solutions for hypercharge  $U(1)_Y = \frac{1}{6}U(1)_a + \frac{1}{2}U(1)_c - \frac{1}{2}U(1)_d$  - Madrid embedding . - p.26

## Concrete 5-stack model (benchmark)

(w/ three mass scales in top, bottom in charged lepton sector)

Sector	Matter Fields	Transformation	Multiplicity	Hypercharge
$ab$	$q_L$	$(a, \bar{b})$	1	$\frac{1}{6}$
$ab'$	$q_L$	$(a, b)$	2	$\frac{1}{6}$
$ac'$	$u_R$	$(\bar{a}, \bar{c})$	2	$-\frac{2}{3}$
$ad'$	$u_R$	$(\bar{a}, \bar{d})$	1	$-\frac{2}{3}$
$aa'$	$d_R$	$\boxed{\phantom{a}}_a$	3	$\frac{1}{3}$
$bc'$	$H_u$	$(b, c)$	1	$\frac{1}{2}$
$bd'$	$L$	$(\bar{b}, \bar{d})$	3	$-\frac{1}{2}$
$be'$	$H_d$	$(\bar{b}, \bar{e})$	1	$\frac{1}{2}$
$ce'$	$E_R$	$(c, e)$	2	1
$ce$	$N_R$	$(\bar{c}, e)$	1	0
$dd'$	$E_R$	$\boxed{\phantom{d}}_d$	1	1
$de$	$N_R$	$(\bar{d}, e)$	2	0

Allows for full (inter- & intra-) family mass hierarchy via ``factorization of Yukawa matrices'' due to vector-pairs of zero fermion modes-stringy (technical, no time)

## Recent: String constraints & matter beyond the MSSM

[M.C., J. Halverson, P. Langacker, 1108.5387]

- I. Classify ALL possible MSSM quivers (three & four stacks)  
irrespective of global conditions → most quivers inconsistent  
What is additional matter to be compatible w/ global constraints?  
→ stringy inputs on exotic matter

3-stack analysis: global conditions ( $T_{a,b,c}=0$ ) constraining, e.g., MSSM w/

$$U(1)_Y = \frac{1}{6} U(1)_a + \frac{1}{2} U(1)_c \quad T_a = 0 \quad T_b = \pm 2n \quad T_c = 0 \bmod 3 \quad \text{with } n \in \{0, \dots, 7\},$$

w/ preferred additions: quasi-chiral Higgs pairs, MSSM singlets  
hypercharge-less SU(2) triplets, &  
various quark anti-quark pairs, all w/ integer el. ch.;  
one (massless)  $Z'$  quiver

4-stack analysis: richer structure

sizable number of quivers w/  $Z'$ , including leptophobic (tuned);  
additional structures: possible  $S H_u H_d$ ; v-masses;  
exotics w/ fractional el. ch. ...

● 105

## 3-node quivers ( $\leq 5$ additions)

Multiplicity	Matter Additions				
4	$\square_b, (1, 3)_0$	$\square_b, (1, 3)_0$	$\boxplus_b, (1, 1)_0$	$(a, \bar{b}), (3, 2)_{\frac{1}{6}}$	$(\bar{a}, \bar{b}), (\bar{3}, 2)_{-\frac{1}{6}}$
4	$\square_b, (1, 3)_0$	$\boxplus_b, (1, 1)_0$			
4	$\overline{\square}_b, (1, 3)_0$	$\boxplus_b, (1, 1)_0$			
4	$\square_b, (1, 3)_0$	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$
4	$\overline{\square}_b, (1, 3)_0$	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$
4	$\square_b, (1, 3)_0$	$\bar{\boxplus}_b, (1, 1)_0$	$\bar{\boxplus}_b, (1, 1)_0$	$(a, \bar{b}), (3, 2)_{\frac{1}{6}}$	$(\bar{a}, \bar{b}), (\bar{3}, 2)_{-\frac{1}{6}}$
4	$\bar{\boxplus}_b, (1, 1)_0$	$\bar{\boxplus}_b, (1, 1)_0$			
4	$\bar{\boxplus}_b, (1, 1)_0$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$		
4	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$	
4	$(a, \bar{b}), (3, 2)_{\frac{1}{6}}$	$\boxplus_a, (\bar{3}, 1)_{\frac{1}{3}}$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(\bar{a}, \bar{c}), (\bar{3}, 1)_{-\frac{2}{3}}$	$\square_c, (1, 1)_1$
4	$\square_b, (1, 3)_0$	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$
4	$\overline{\square}_b, (1, 3)_0$	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$
4	$\overline{\square}_b, (1, 3)_0$	$\bar{\boxplus}_b, (1, 1)_0$	$\bar{\boxplus}_b, (1, 1)_0$		
4	$\overline{\square}_b, (1, 3)_0$	$\bar{\boxplus}_b, (1, 1)_0$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$	
4	$\overline{\square}_b, (1, 3)_0$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$
4	$\boxplus_b, (1, 1)_0$				
4	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$	
4	$\overline{\square}_b, (1, 3)_0$	$\overline{\square}_b, (1, 3)_0$	$\bar{\boxplus}_b, (1, 1)_0$	$\bar{\boxplus}_b, (1, 1)_0$	
4	$\overline{\square}_b, (1, 3)_0$	$\overline{\square}_b, (1, 3)_0$	$\bar{\boxplus}_b, (1, 1)_0$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$
4	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$	$\boxplus_b, (1, 1)_0$	

Multiplicity	Matter Additions				
4	$\bar{\square}_b, (1, 3)_0$	$\bar{\square}_b, (1, 3)_0$	$\bar{\square}_b, (1, 3)_0$	$\bar{\square}_b, (1, 1)_0$	$\bar{\square}_b, (1, 1)_0$
4	$\bar{\square}_b, (1, 3)_0$	$\bar{\square}_b, (1, 3)_0$	$\square_b, (1, 1)_0$		
1	$\square_a, (\bar{3}, 1)_{\frac{1}{3}}$	$\square_b, (1, 3)_0$	$\square_b, (1, 1)_0$	$(a, \bar{c}), (3, 1)_{-\frac{1}{3}}$	
1	$\bar{\square}_a, (3, 1)_{-\frac{1}{3}}$	$\square_b, (1, 3)_0$	$\square_b, (1, 1)_0$	$(\bar{a}, c), (\bar{3}, 1)_{\frac{1}{3}}$	
1	$\square_a, (\bar{3}, 1)_{\frac{1}{3}}$	$\bar{\square}_b, (1, 3)_0$	$\square_b, (1, 1)_0$	$(a, \bar{c}), (3, 1)_{-\frac{1}{3}}$	
1	$\bar{\square}_a, (3, 1)_{-\frac{1}{3}}$	$\bar{\square}_b, (1, 3)_0$	$\square_b, (1, 1)_0$	$(\bar{a}, c), (\bar{3}, 1)_{\frac{1}{3}}$	
1	$\square_a, (\bar{3}, 1)_{\frac{1}{3}}$	$\bar{\square}_b, (1, 1)_0$	$\bar{\square}_b, (1, 1)_0$	$(a, \bar{c}), (3, 1)_{-\frac{1}{3}}$	
1	$\bar{\square}_a, (3, 1)_{-\frac{1}{3}}$	$\bar{\square}_b, (1, 1)_0$	$\bar{\square}_b, (1, 1)_0$	$(\bar{a}, c), (\bar{3}, 1)_{\frac{1}{3}}$	
1	$\square_a, (\bar{3}, 1)_{\frac{1}{3}}$	$\bar{\square}_b, (1, 1)_0$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$	$(a, \bar{c}), (3, 1)_{-\frac{1}{3}}$
1	$\bar{\square}_a, (3, 1)_{-\frac{1}{3}}$	$\bar{\square}_b, (1, 1)_0$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(b, c), (1, 2)_{\frac{1}{2}}$	$(\bar{a}, c), (\bar{3}, 1)_{\frac{1}{3}}$
1	$(a, \bar{b}), (3, 2)_{\frac{1}{6}}$	$(b, \bar{c}), (1, 2)_{-\frac{1}{2}}$	$(\bar{a}, c), (\bar{3}, 1)_{\frac{1}{3}}$	$(\bar{a}, \bar{c}), (\bar{3}, 1)_{-\frac{2}{3}}$	$\square_c, (1, 1)_1$
1	$\square_a, (\bar{3}, 1)_{\frac{1}{3}}$	$\bar{\square}_b, (1, 3)_0$	$\bar{\square}_b, (1, 1)_0$	$\bar{\square}_b, (1, 1)_0$	$(a, \bar{c}), (3, 1)_{-\frac{1}{3}}$
1	$\bar{\square}_a, (3, 1)_{-\frac{1}{3}}$	$\bar{\square}_b, (1, 3)_0$	$\bar{\square}_b, (1, 1)_0$	$\bar{\square}_b, (1, 1)_0$	$(\bar{a}, c), (\bar{3}, 1)_{\frac{1}{3}}$
1	$\square_a, (\bar{3}, 1)_{\frac{1}{3}}$	$\square_a, (\bar{3}, 1)_{\frac{1}{3}}$	$\square_b, (1, 1)_0$	$(a, \bar{c}), (3, 1)_{-\frac{1}{3}}$	$(a, \bar{c}), (3, 1)_{-\frac{1}{3}}$
1	$\bar{\square}_a, (3, 1)_{-\frac{1}{3}}$	$\bar{\square}_a, (3, 1)_{-\frac{1}{3}}$	$\square_b, (1, 1)_0$	$(\bar{a}, c), (\bar{3}, 1)_{\frac{1}{3}}$	$(\bar{a}, c), (\bar{3}, 1)_{\frac{1}{3}}$
1	$\square_a, (\bar{3}, 1)_{\frac{1}{3}}$	$\square_b, (1, 1)_0$	$(a, \bar{c}), (3, 1)_{-\frac{1}{3}}$		
1	$\bar{\square}_a, (3, 1)_{-\frac{1}{3}}$	$\square_b, (1, 1)_0$	$(\bar{a}, c), (\bar{3}, 1)_{\frac{1}{3}}$		
1	$\square_a, (\bar{3}, 1)_{\frac{1}{3}}$	$\bar{\square}_b, (1, 3)_0$	$\bar{\square}_b, (1, 3)_0$	$\square_b, (1, 1)_0$	$(a, \bar{c}), (3, 1)_{-\frac{1}{3}}$
1	$\bar{\square}_a, (3, 1)_{-\frac{1}{3}}$	$\bar{\square}_b, (1, 3)_0$	$\bar{\square}_b, (1, 3)_0$	$\square_b, (1, 1)_0$	$(\bar{a}, c), (\bar{3}, 1)_{\frac{1}{3}}$

## II. MSSM's with additional Hidden Sector nodes

Up-to n-additional U(1)'s or one U(N)

Systematic search (w/ implement global consistency conditions)

i) SM singlets by far the most common fields

&(light anomalous) U(1)'-monochromatic gamma ray line dark matter scenario  
à la Dudas, Mambrini, Pokorski, Romagnoni 1205.1520

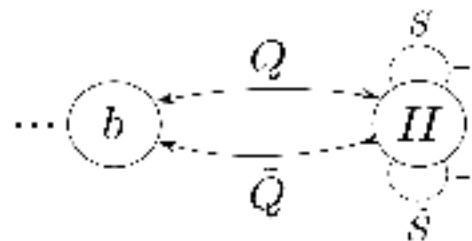
w/ coupling to SM automatically forbidden by anomalous U(1)  
decay to  $Z\gamma$  possible (via  $Z' - B_Y - \bar{B}_Y$  ``Chern-Simons'' vertex)

ii) E.g., Stringy dynamical SUSY breaking scenario (à la Fayet)

Aharony,Kachru,Silverstein'07

Quasi –chiral matter  $\rightarrow$  messenger masses instanton suppressed;  
lifetime of metastable vacuum set by instanton superpotential

$$W \supset \lambda_{(0,0)} M_* S \tilde{S} + \lambda_{(-2,0)} M_* Q \tilde{Q} + \lambda_{(-2,0)} \frac{1}{M_*} S \tilde{S} Q \tilde{Q}$$



## II. Model building in F-theory

Vafa'96..

Revival: geometric features of particle physics w/ intersecting branes  
& exceptional gauge symmetries common in the heterotic string  
-- at finite string coupling  $g_s$

**Geometry of F-theory:** Elliptically fibered Calabi-Yau fourfold  $Y_4$ ;  
complexified  $g_s$  encoded in  $T^2$  fibration over the base  $B_3$

**Gauge Symmetry:** where fiber degenerates (say for  $T^2$  pA+qB cycle) a  
co-dim 1 singularity signified a location (p,q) 7-branes in the base  $B_3$

**Matter:** Intersecting 7-branes at co-dim 2 singularities  $G_4$ -flux needed (for chirality)

**(Semi-) local &(limited) global SU(5) GUT's:** chiral matter &  
Yukawa couplings (co-dim two (and three) singularities on the GUT 7-brane)...

[Donagi, Wijnholt'08'11'12],[Beasley, Heckman, Vafa'08],...

[Marsano,Schäfer-Nameki,Saulina'08'10'11],[Marsano Schäfer-Nameki'11],

[Blumehagen,Grimm,Jurke,Weigand'09],

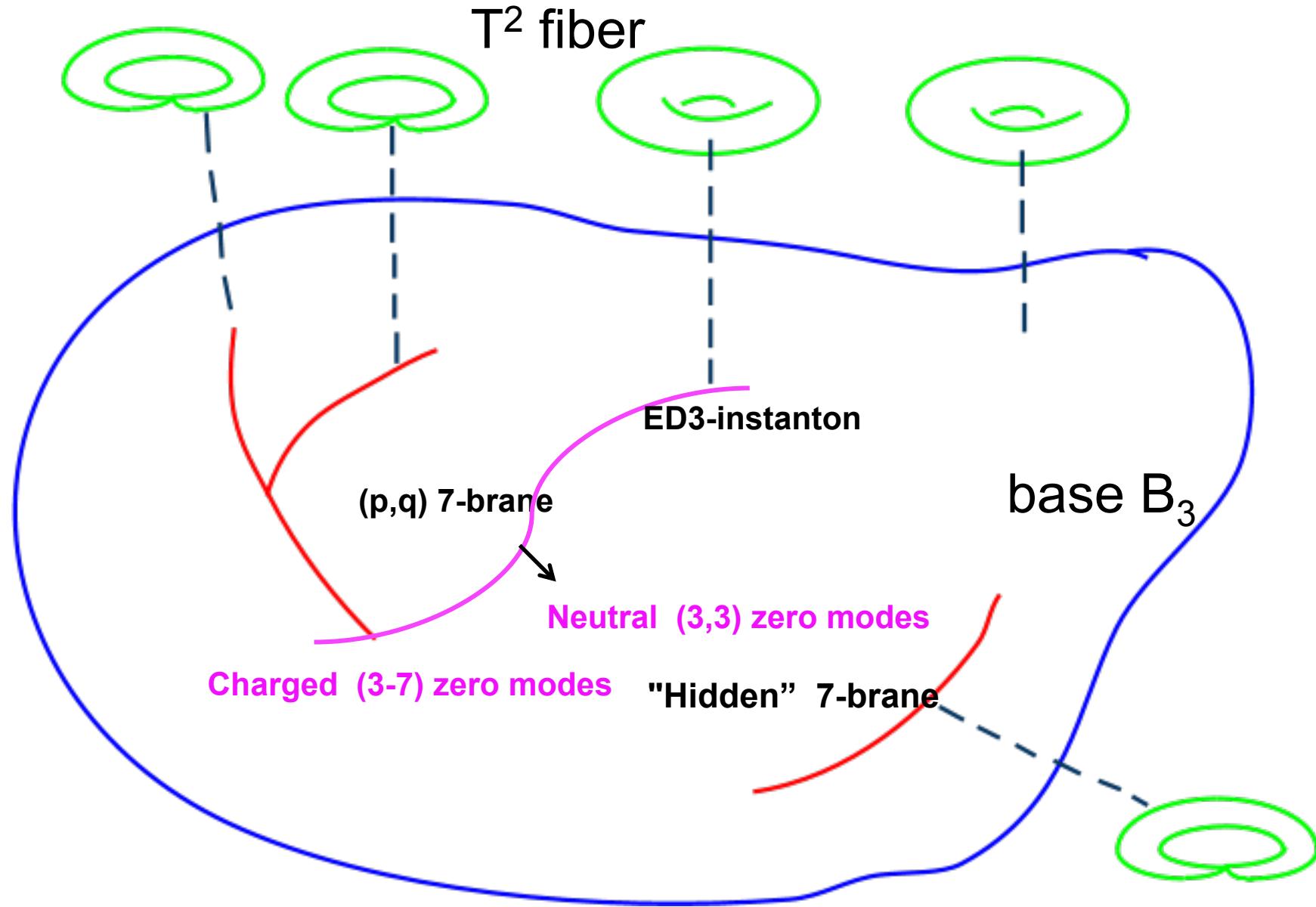
[M.C., Garcia-Etxebarria, Halverson, 1003.533],...

[Grimm, Weigand'10], [Grimm, Hayashi'11]; [Krause, Mayrhofer, Weigand'11'12],...

[Esole, Yau'11],... [Cecotti, Cordova, Heckman, Vafa'10],...

Cartoon of F-theory compactification ( $Y_4$  as  $T^2$  over  $B_3$ )

Instanton: Euclidean D3 brane (ED3) wrapping divisor in  $B_3$



# Instantons in F-theory

## Past Work:

[Witten'96], [Donagi, Grassi, Witten'96], [Katz, Vafa'96],  
[Ganor'96], ..., [Diaconescu, Gukov'98], ...

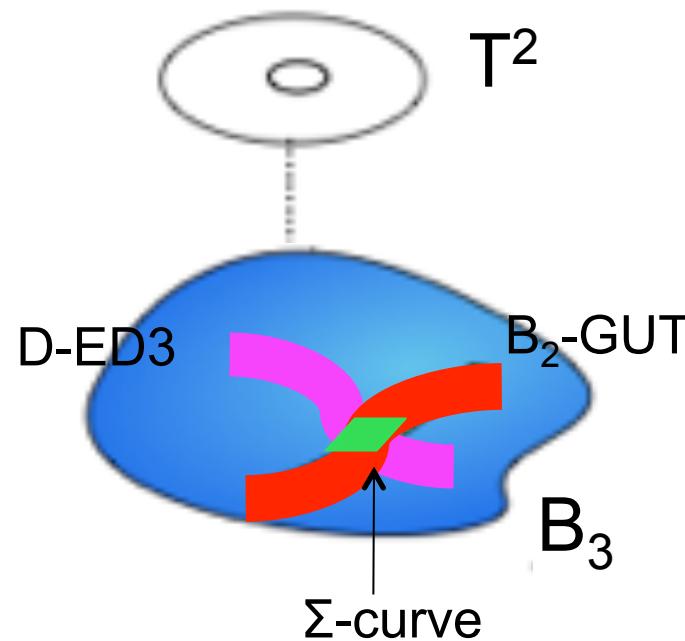
## Recent Work:

[Blumenhagen, Collinucci, Jurke'10],  
[M.C., García-Etxebarria, Halverson'10, '11], [Donagi, Wijnholt'11],  
[Grimm, Kerstan, Palti, Weigand'11],  
[Marsano, Saulina, Schäfer-Nameki'11],  
[Bianchi, Collinucci, Martucci'11], [Kerstan, Weigand'12]



Related recent works focus on  $G_4$ -fluxes and U(1)'s

Non-pert. Superpotential for moduli stabiliz.  $W \sim Ae^{-T}$   
due to ED3 wrapping divisor  $D$  in  $B_{3,1}$   
in the presence of  $(E_6)$  GUT 7-brane wrapping  $B_2$   
w/local structure captured by intersection curve  $\Sigma$  & flux  $G_4$  there



### Key upshots:

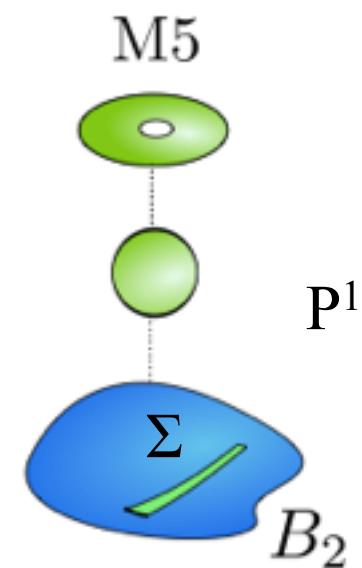
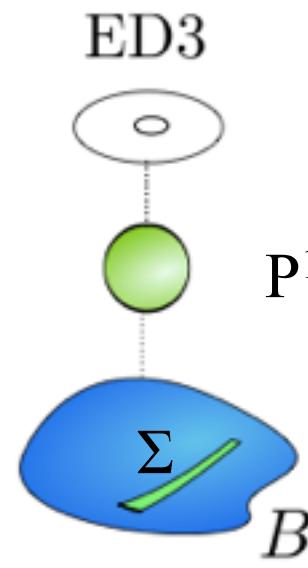
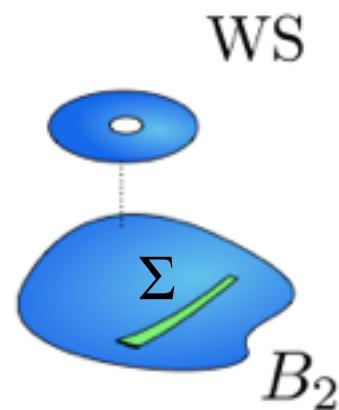
- i) Conjecture how to compute Pfaffian  $A$   
(7-brane moduli dependent prefactor)
- ii) Explicit F-theory examples;  
analyse substructure, such as points of  $E_8$  enhancement

# F-theory ED3-instanton via duality (brief):



Shrink elliptic fiber  
w/ fixed compl. str.

M5 with a leg in the fiber  
(vertical divisor)



## \*Digression: F-theory via D=3, N=2 M-theory compactification

[Grimm, Hayashi'11], [Grimm,Klevers'12]

Analyze 4D F-theory in D=3, N=2 supergravity on Coulomb branch

$$\text{F-theory on } X_4 \times S^1 = \text{M-theory on } \hat{X}_4$$

Matching of two effective theories possible only at 1-loop

 1-loop in F-theory (by integrating out massive matter) = classical supergravity terms in M-theory

Rich and controllable example: 3D Chern-Simons terms  $\Theta_{IJ} A^I \wedge F^J$

 3D Chern-Simons terms  $\Theta_{IJ}$  encode

[Aharony,Hanany,Intriligator, Seiberg,Strassler'97]

1) 4D chiral index  $\chi(R)$ :  $\Theta_{IJ}^M = \int_{X_4} G_4 \wedge \omega_I \wedge \omega_J$    $\Theta_{IJ}^{\text{loop}} \sim \chi(R)$   
(F-theory)  
(M-theory/supergravity)

2) 4D anomaly cancellation implies relation among different CS-terms  $\Theta_{IJ}$

[M.C., Grimm, Klevers, to appear]

3) Index of charged instanton zero modes encoded in certain CS-terms.

[MC, Grimm, Halverson, Klevers, in preparation]

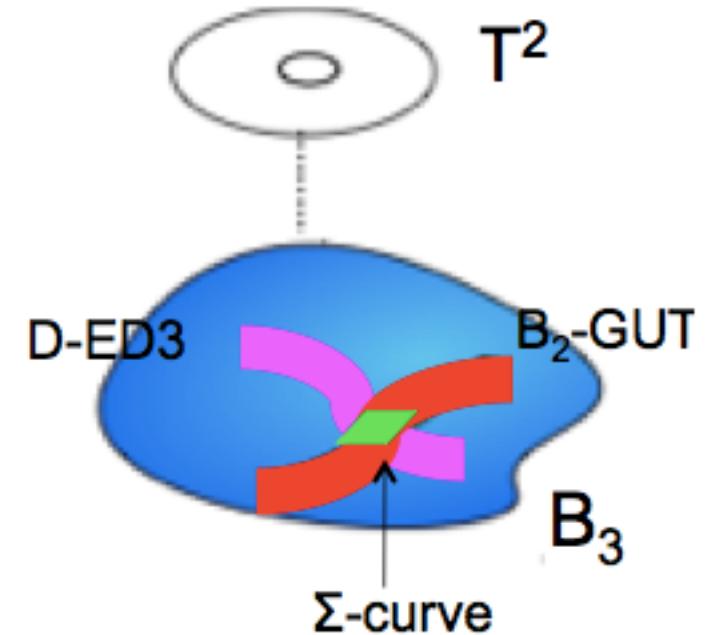
# F-theory ED3-instanton via duality:

Heterotic	$\longleftrightarrow$	F-theory	$\longleftrightarrow$	M-theory
$X_3$ ellipt. fibered over $B_2$		$Y_4$ ellipt. fibered over $B_3$ with $B_3: P^1$ over $B_2$		Shrink elliptic fiber w/ fixed compl. str.
Vector bundle $V \leftrightarrow$ $(C_{\text{Het}}, L)$ -spectral cover data		Flux $G_4 \leftrightarrow$ $(C_F, N)$ -spectral cover data		
Worldsheet inst. wraps $\Sigma$ in $B_2$ Fermionic left-moving zero modes		ED3 wraps $P^1$ over $\Sigma$ Fermionic “ $\lambda$ ” (3-7) modes		M5 with a leg in the fiber (vertical divisor)
$h^0(\Sigma, V _\Sigma \otimes \mathcal{O}(-1))$ $\cong h^0(c, \mathcal{L} \otimes K_c^{\frac{1}{2}})$		ED3		M5
WS		$P^1$		$P^1$
			$\Sigma = \text{inst} \cdot_{B_3} S_{GUT}$	

## Instanton data in F-theory:

ED3 on divisor  $D$  in the presence  
of ( $E_6$ ) GUT divisor  $B_2 \subset B_3$   
by gauge theory on  $\mathbb{R}^{(3,1)} \times B_2$  data  
( $G_4$  info) specified by Higgs bundle  
 $\longleftrightarrow$  spectral cover data  $(\mathcal{C}_{loc}, \mathcal{N}_{loc})$

Spectral surface, line bundle ( $G_4$  info)



zero modes localize on  $\Sigma \equiv D \cap B_2 \subset B_3$

- study vector bundle cohomology on the intersection curve  $\Sigma$
- line bundle cohomology on a spectral curve  $c_{loc} = \mathcal{C}_{loc} \cap \pi^* \Sigma$

Defining equation of  $c_{loc}$  specified by moduli →  
7-brane moduli in the instanton world-volume

# Computing Pfaffian prefactor:

Class of curve  $c_{loc}$  :

$$[c_{loc}] = 3s + rF$$

section of  $\mathcal{E}$

$E_6$  GUT (n=3)

elliptic fiber class

$$\mathcal{E} \sim \pi^* \Sigma$$

w/ further algebraic data:

$$c_1(\mathcal{N}_{c,loc}|_{\mathcal{E}}) = \frac{1}{2}(ns + (r + \chi)F) + \lambda(ns - (r - n\chi)F) \quad \chi \equiv c_{1,B_2} \cdot_{B_2} \Sigma \quad r \equiv \eta \cdot_{B_2} \Sigma \in \mathbb{Z}$$

$$\mathcal{L}_A \equiv (\mathcal{N}_{c,loc} \otimes \mathcal{O}_{\mathcal{E}}(-F))|_{c_{loc}}$$

Pfaffian can be determined via moduli dependence of cohomology  
 [w/short exact Koszul sequence  $0 \rightarrow \mathcal{L}_A \otimes \mathcal{O}_{\mathcal{E}}(-c_{loc}) \rightarrow \mathcal{L}_A \rightarrow \mathcal{L}_A|_{c_{loc}} \rightarrow 0$   $\rightarrow$   
 long exact sequence in cohomologies  
 (determine moduli dependent matrix whose det is a Pfaffian)]

Analogous to heterotic computation

[Buchbinder,Donagi,Ovrut'02,...,Curio'08,09,10]

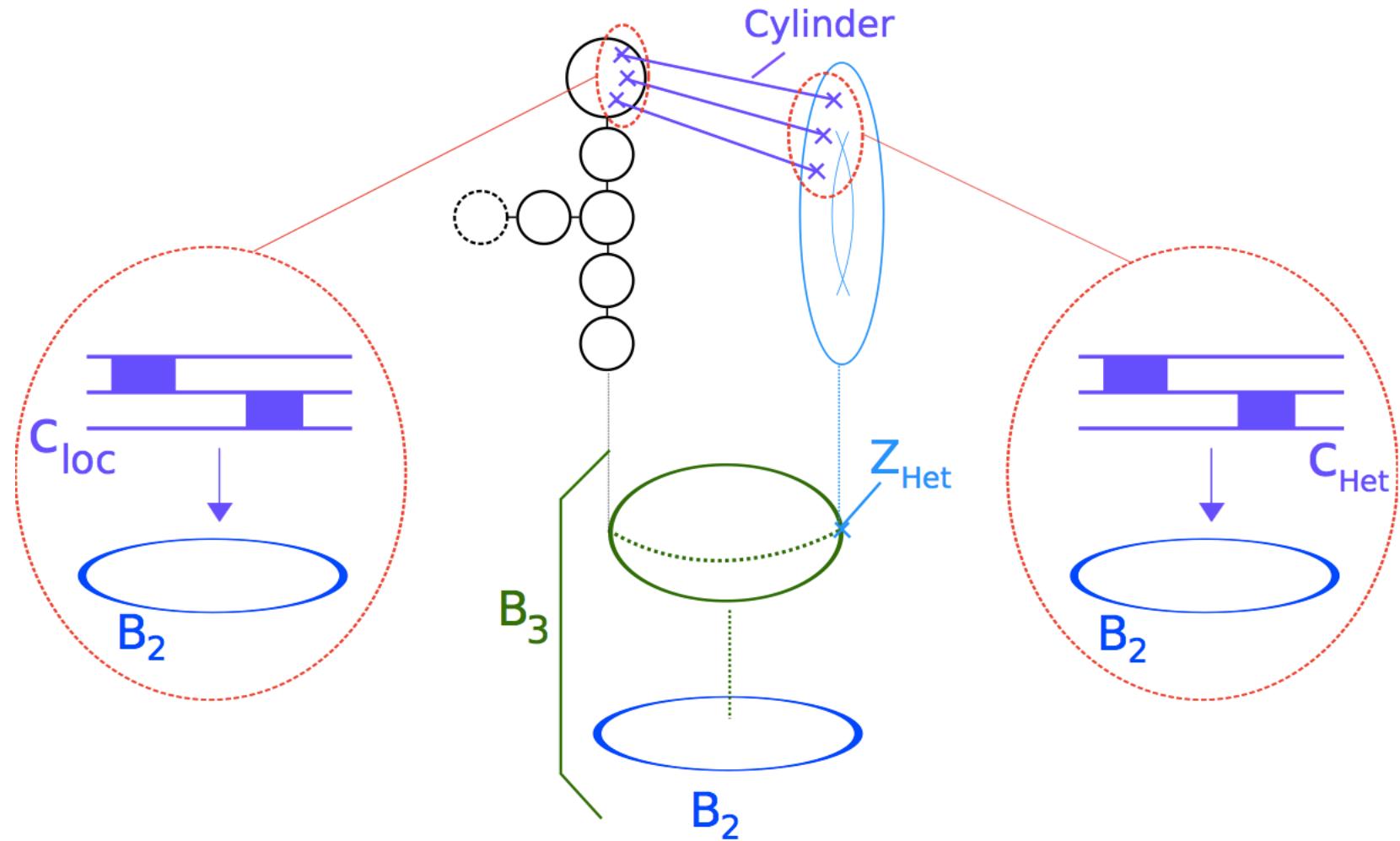
## Non-trivial checks via duality:

Heterotic: cohomology isomorphism via cylinder map\*  
when a dual exists

Type IIB: gauge dependent data localized at instanton  
and 7-brane intersection →  
natural interpretation as (3-7) charged “λ” modes

M-theory: when a heterotic dual exists,  
 $\text{Jac}(c_{\text{loc}})$  &  $\text{IJac}(M5)$  are deeply related  
[Further study...]

\* cohomology on  $C_{\text{loc}}$  isomorphic to cohomology on  $C_{\text{Het}}$   
[under the cylinder map [Curio,Donagi'98], the curves are the same]



$$C_{loc} = C_{Het}$$

W/ heterotic dual  $\rightarrow$  cohomology on  $C_{loc}$  isomorphic to cohomology on  $C_{Het}$   
[under the cylinder map [Curio,Donagi'98], the curves are the same]

## Setting up the computation in F-theory:

- given  $B_3$ , find an ED3 divisor  $D$  and GUT divisor  $B_2$  which intersect at a curve  $\Sigma \cong \mathbb{P}^1$
- compute spectral cover data:

$$\chi \equiv c_{1,B_2} \cdot_{B_2} \Sigma \quad r \equiv \eta \cdot_{B_2} \Sigma \in \mathbb{Z}$$

and  $\lambda$  which satisfies D3 tadpole

→ Class of the spectral curve  $c_{loc}$  in  $\mathcal{E}$  & line bundle  $\mathcal{L}_A$  determined

→ compute Pfaffian via Koszul exact sequence

$$0 \rightarrow \mathcal{L}_A \otimes \mathcal{O}_{\mathcal{E}}(-c_{loc}) \rightarrow \mathcal{L}_A \rightarrow \mathcal{L}_A|_{c_{loc}} \rightarrow 0$$

Typical Pffafian prefactor structure:  $Pfaff \sim \prod_i f_i^{k_i}$

$f_i$  - polynomials in complex structure of  
7-brane moduli restricted to instanton world-volume

- depend on local subset of full moduli data  
[the same correction could arise in different compactifications]
- interesting physics can determine the  
substructure of each  $f_i$

**Example:** Pfaffian calculation directly in F-theory (without a dual)  
 $B_3$  in terms of toric data (generalization of weighted projective spaces):

Holomorphic coord.

	$x_0$	$x_1$	$x_2$	$x_3$	$z$	$x_5$	class
GLSM charges (scaling weights)	1	0	0	1	1	1	$X$
	1	1	0	0	1	0	$E_1$
	1	0	1	1	0	0	$E_2$

$\langle x_2x_3, x_3x_5, zx_5, x_0x_1x_2, x_0x_1z \rangle$

Stanley-Reisner ideal

Divisor classes

- $E_6$  GUT on  $B_2 = \{z = 0\}$  and ED3 instanton at  $D = \{x_1 = 0\}$
- $Y_4$  defining equation:  $y^2 = x^3 + f x z^4 v^4 + g z^6 v^6 + z^2 v^4 (b_0 z^3 v^3 + b_2 z v x + b_3 y)$   
 with sections  $b_{(0,2,3)}$  in terms of  $\mathcal{O}(a, b, c) \equiv \mathcal{O}(aX + bE_1 + cE_2)$
- compute:  $r = 5, \chi = 1$  &  $\lambda = \frac{3}{2} \rightarrow [c_{loc}] = 3s + 5F \quad \mathcal{L}_A = \mathcal{O}_{\mathcal{E}}(6s - F)$

- only subset of moduli  $b_m$  in Pfaffian:  $\tilde{b}_m \equiv b_m|_{GUT \cap D3} = b_m|_{z=x_1=0}$

$$\begin{aligned}\tilde{b}_0 &= \psi_1 x_3^5 + \psi_2 x_3^4 x_2^1 + \psi_3 x_3^3 x_2^2 + \psi_4 x_3^2 x_2^3 + \psi_5 x_3^1 x_2^4 + \psi_6 x_2^5 \\ \tilde{b}_2 &= \phi_1 x_3^3 + \phi_2 x_3^2 x_2^1 + \phi_3 x_3^1 x_2^2 + \phi_4 x_2^3 \\ \tilde{b}_3 &= \chi_1 x_3^2 + \chi_2 x_3^1 x_2^1 + \chi_3 x_2^2\end{aligned}$$

- using defining eq. for  $c_{loc}$   $f_{c_{loc}} = \tilde{b}_0 W + \tilde{b}_2 u X + \tilde{b}_3 q$   
to compute via Koszul exact sequence

- result:

$$pfaff \sim f_{E8}^4 = (\chi_1^2 \chi_3 \phi_3^2 - \chi_1^2 \chi_2 \phi_3 \phi_4 - 2 \chi_1 \chi_3^2 \phi_3 \phi_1 - \chi_1 \chi_2 \chi_3 \phi_3 \phi_2 + \chi_2^2 \chi_3 \phi_1 \phi_3 + \phi_4^2 \chi_1^3 - 2 \phi_2 \phi_4 \chi_3 \chi_1^2 + \chi_1 \chi_3^2 \phi_2^2 + 3 \phi_1 \phi_4 \chi_1 \chi_2 \chi_3 + \phi_2 \chi_1 \phi_4 \chi_2^2 + \phi_1^2 \chi_3^3 - \phi_2 \chi_2 \phi_1 \chi_3^2 - \phi_4 \phi_1 \chi_2^3)^4 ,$$

## Comments:

- beautiful factorization  $pfaaff \sim f_{E8}^4$   
other examples (c.f., later) w/ substructure ubiquitous &  
w/  $E_8$  enhancement often
- the physics governing the substructure  $\rightarrow f_{E8} = \det(M) = Res(\tilde{b}_2, \tilde{b}_3)$

$E_8$  enhanced point in instanton world-volume!

$$Pfaff = 0 \quad \Leftrightarrow \quad \exists \text{ pt of } E_8 \text{ in instanton WV}$$

$$M \equiv \begin{pmatrix} \phi_4 & \phi_3 & \phi_2 & \phi_1 & 0 \\ 0 & \phi_4 & \phi_3 & \phi_2 & \phi_1 \\ \chi_3 & \chi_2 & \chi_1 & 0 & 0 \\ 0 & \chi_3 & \chi_2 & \chi_1 & 0 \\ 0 & 0 & \chi_3 & \chi_2 & \chi_1 \end{pmatrix}$$

Sylvester matrix

- Is this relation more general?  $\rightarrow$  quantified further (no time)  
[ $E_8$  points can cause the Pfaffian to vanish even for SU(5) GUTs  
as a sublocus within the vanishing locus of the Pfaffian]
- Phenomenological implications: in SU(5) GUTs, points of  $E_8$   
enhancement can give natural flavor structure, minimal gauge  
mediated supersymmetry breaking... [Heckman, Tavanfar, Vafa'10]

Calculation well-defined → Scanning across  $B_3$  bases:  
 Toric  $B_3$  -from triangulations of 4308 d=3 polytopes (99%) of  
 Kreuzer-Skarke d=3 list

$r$	$\chi$	$M$	$N$	Multiplicity	Comments
1	0	6	-2	2454	$pfaaff = 0$ example with het. dual
5	1	6	-1	13163	pts of $E_8$ , example without het. dual
6	1	6	-2	15034	$pfaaff = 0$ F-theory
7	1	6	-3	2897	transition matrix
8	1	6	-4	55	not computed
11	2	6	-2	13070	not computed
12	2	6	-3	5356	not computed
13	2	6	-4	168	not computed
16	3	6	-2	2200	not computed
17	3	6	-3	2507	not computed
18	3	6	-4	155	not computed
19	3	6	-5	7	not computed
23	4	6	-4	33	not computed

Spectral data:

$$[c_{loc}] = 3s + rF \xrightarrow{E_6}$$

$$\mathcal{L}_A \equiv \mathcal{O}(Ms + NF)|_{c_{loc}}$$

$$\lambda = \frac{3}{2}$$

### Comments:

- Many examples are identically zero → implic. for moduli stabil.
- Many examples are the points of  $E_8$  Pfaffian
- Only 13 unique functions; high Pfaffian degeneracy

# Transition (32x32) matrix M for B<sub>3</sub> with (r=7 x=1, M=6, N=-3) spectral data

# Pfaff=Det(M)

## Conclusions:

- I) Type II model building with D-branes & D-Instanton effects
- II) F-theory and D-instantons

Most recent results: Moduli dependent instanton Pfaffian prefactors

- i) Pfaffian can be computed in F-theory GUT's via line bundle cohomology on the spectral curve over the instanton-7 brane intersection  
Checks: when heterotic dual exists, in Type IIB limit
- ii) Pfaffian has a rich structure
  - typically factorizes into non-trivial powers of moduli polynomials
  - points of  $E_8$  enhancement can cause Pfaffian to vanish;  
quantified conditions for when this occurs
  - physics implication