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**The  $a$  theorem and scale without conformal invariance**

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# The $\alpha$ Theorem and Scale without Conformal Invariance

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Based on work with Joe Polchinski and Riccardo Rattazzi  
(to appear)

# Outline

- Critical review of Komargodski-Schwimmer proof of a theorem
- Coupling of dilaton to QFT in perturbation theory
- Rule out “never-ending” RG flows
  - scale without conformal invariance
  - ergodic flows
  - ⋮

Main assumption: existence of IR deformation to CFT

# The a Theorem



$$\mathcal{L} = \mathcal{L}_{\text{UV}} + \sum_i c_i m^{4-\Delta_i} \mathcal{O}_i \quad \Delta_i < 4$$

$$T^\mu{}_\mu = a E_4(g) - c W^2(g)$$

$$a_{\text{UV}} > a_{\text{IR}}$$

# KS Argument

(Komargodski, Schwimmer 2011)

Couple to dilaton

$$m \rightarrow m e^{-\tau}$$

Wess-Zumino Term

$$\Delta\mathcal{L}_{\text{WZ}} = -a_{\text{WZ}} [\tau E_4(g) + \cdots] + c_{\text{WZ}} \tau W^2(g)$$

Anomaly matching

$$a_{\text{IR}} = a_{\text{UV}} + a_{\text{WZ}}$$

Dilaton scattering amplitude

$$\mathcal{A}(\pi\pi \rightarrow \pi\pi) = \alpha \frac{s^2}{f^4} + \cdots$$

$$\alpha = a_{\text{WZ}} > 0$$

# Important Points

- Dilaton amplitude computed in probe limit  
(no internal dilaton lines)  
 $\Rightarrow$  no need to renormalize/UV complete dilaton theory
- Dilaton decouples in UV and IR by conformal invariance  
 $\Rightarrow$  can prove  $\alpha > 0$  in effective theory

# Dilaton Effective Theory

Write most general couplings to IR CFT

$$g_{\mu\nu} \mapsto e^\sigma g_{\mu\nu} \quad \tau \mapsto \tau + \sigma$$

$$\hat{g}_{\mu\nu} = e^{-2\tau} g_{\mu\nu} = \text{invariant}$$

Expand in derivatives:

$$\begin{aligned} O(\partial^0) : \mathcal{L}_0 &= \sqrt{-\hat{g}} m^{4-\Delta'} \Omega^{-\Delta'} \mathcal{O}' \\ &= \sqrt{-g} (m\Omega)^{4-\Delta'} \mathcal{O}' \end{aligned}$$

$\mathcal{O}' = 1$  : cosmological constant

Other relevant operators absent or tuned away

# Effective Theory (cont'd)

$$\begin{aligned} O(\partial^2) : \quad \mathcal{L}_2 &= \sqrt{-\hat{g}} \frac{f^2}{12} R(\hat{g}) \\ &= \sqrt{-g} \frac{f^2}{2} \left[ (\partial\Omega)^2 + \frac{1}{6} \Omega^2 R(g) \right] \end{aligned}$$

$$\Omega = e^{-\tau} \quad \Omega = 1 + \frac{\pi}{f} \quad \pi = \text{canonical dilaton field}$$

$f$  = dilaton decay constant

Dilaton effective theory, expansion in  $\frac{E}{f}$



# Effective Theory (cont'd)

$$O(\partial^2) : \quad \mathcal{L}'_2 = \sqrt{-\hat{g}} m^{2-\Delta} R(\hat{g}) \Omega^{-\Delta'} \mathcal{O}'$$

$$= \sqrt{-g} (m\Omega)^{2-\Delta} [\Omega^2 R(g) - 6\Omega \square \Omega] \mathcal{O}'$$

“Un-improves”  $T^{\mu\nu}$

Relevant for  $\Delta' < 2$

no dilaton coupling  
on shell

Other similar terms are always irrelevant

$$\sqrt{-\hat{g}} \hat{\nabla}_\mu R(\hat{g}) \mathcal{O}'^\mu$$

$$\sqrt{-\hat{g}} R_{\mu\nu}(\hat{g}) \mathcal{O}'^{\mu\nu}$$

$\vdots$

# Effective Theory (cont'd)

$$O(\partial^4) : \quad \mathcal{L}_4 = \sqrt{-\hat{g}} \left[ E_4(\hat{g}) + W^2(\hat{g}) + R^2(\hat{g}) \right]$$

Contains no  $\pi\pi$  scattering amplitude

$$\mathcal{L}_{\text{WZ}} = \sqrt{-g} \left\{ -a_{\text{WZ}} [\tau E_4(g) + \cdots] + c_{\text{WZ}} \tau W^2(g) \right\}$$

Contains  $\pi\pi$  scattering amplitude in flat spacetime

$$\mathcal{L}_{\text{WZ}} \rightarrow -a_{\text{WZ}} \left[ 4\Omega^{-3}(\partial\Omega)^2 \underbrace{\square\Omega}_{=0} - \underbrace{2\Omega^{-4}(\partial\Omega)^4}_{= \frac{1}{f^4}(\partial\pi)^2 + \dots} \right]$$

# Summary

- Only counterterm for  $\pi\pi$  scattering at  $O(E^4)$  is  $a_{\text{WZ}}$
- Dilaton decouples from CFT in IR in flat space despite possible relevant “un-improvement” terms

# Anomaly Matching

- Read off anomaly in dilaton-deformed theory from correlation functions

$$\langle \tilde{T}^{\mu\nu} \tilde{T}^{\rho\sigma} \tilde{T}^{\tau\omega} \rangle \leftrightarrow \tilde{a}, \tilde{c}$$

- $\tilde{a}, \tilde{c} = \text{constant}$  by conformal Ward identities
- Theory is conformal for any  $f$   
 $\Rightarrow \tilde{a}, \tilde{c} = \text{constant}$  order by order in  $1/f$

# Anomaly Matching (cont'd)

Expand

$$g_{\mu\nu} = \eta_{\mu\nu} + h_{\mu\nu} \quad \Omega = 1 + \frac{\pi}{f}$$

$$\begin{aligned} \mathcal{L}_{\text{kin}} \sim & f^2 \partial^2 [h^2 + h^3 + \dots] \\ & + f \partial^2 \pi [h + h^2 + \dots] \\ & + f \partial^2 \pi^2 [1 + h + \dots] \end{aligned}$$

$\Rightarrow$  growing contributions to  $\tilde{T}^{\mu\nu}$

$$h \text{ --- } \bullet \text{ --- } h \sim f^2$$

$$h \text{ --- } \bullet \text{ --- } \pi \sim f$$

# Anomaly Matching (cont'd)

$O(f^2) :$

$$\langle \tilde{T} \tilde{T} \rangle = \text{---} \bullet \text{---} + \text{---} \bullet \text{---} \bullet \text{---}$$

$$\langle \tilde{T} \tilde{T} \tilde{T} \rangle = \text{---} \bullet \text{---} + \text{---} \bullet \text{---} \text{---} \text{---} + \text{---} \bullet \text{---} \text{---} \text{---}$$

Independent of CFT

No contribution to anomaly

# Anomaly Matching (cont'd)

$O(f^0)$  :

$$\langle \tilde{T} \rangle = \text{---} \bullet \text{---} \bigcirc + \text{---} \bullet \text{---} \bullet \text{---} \bigcirc + \text{---} \bullet \text{---} \bigcirc$$

$$\langle \tilde{T} \tilde{T} \rangle = \text{---} \bullet \text{---} \bullet \text{---} \bigcirc + \text{---} \bullet \text{---} \bigcirc$$

$$+ \text{---} \bullet \text{---} \bullet \text{---} \bigcirc + \text{---} \bullet \text{---} \bullet \text{---} \bullet \text{---} \bigcirc + \text{---} \bullet \text{---} \bigcirc + \text{---} \bullet \text{---} \bigcirc$$

$$+ \text{---} \bullet \text{---} \bigcirc + \text{---} \bullet \text{---} \bigcirc$$

# Anomaly Matching (cont'd)

$$\langle \tilde{T} \tilde{T} \tilde{T} \rangle =$$

Dilaton in probe  
limit

Pure dilaton  
(free scalar)

WZ



# Anomaly Matching (cont'd)

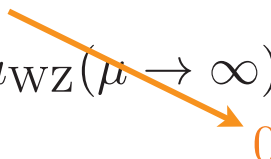
Dilaton does not affect CFT anomaly

$$\Rightarrow \tilde{a} = a_{\text{IR}} + a_{\text{WZ}}(\mu \rightarrow 0) + a_{\text{dilaton}}$$

Similarly, in UV

$$\tilde{a} = a_{\text{UV}} + a_{\text{WZ}}(\mu \rightarrow \infty) + a_{\text{dilaton}}$$

$\Rightarrow$  anomaly matching formula

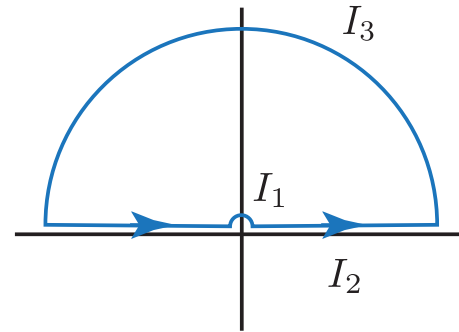
$$a_{\text{UV}} - a_{\text{IR}} = a_{\text{WZ}}(\mu \rightarrow 0) - a_{\text{WZ}}(\mu \rightarrow \infty)$$


# Dilaton Scattering

$$\begin{aligned}\mathcal{A}(s) &= \lim_{t \rightarrow 0} \mathcal{A}(\pi\pi \rightarrow \pi\pi) \\ &= \alpha \frac{s^2}{f^4} + \cdots\end{aligned}$$

$$\alpha = a_{\text{WZ}}(\mu \rightarrow 0)$$

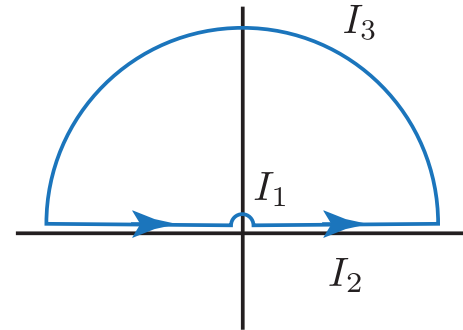
$$\begin{aligned}0 &= \frac{1}{2\pi i} \oint \frac{ds}{s^3} \mathcal{A}(s) \\ &= I_1 + I_2 + I_3 \\ I_1 &= -\frac{\alpha}{2f^4}\end{aligned}$$



# Dilaton Scattering (cont'd)

$$\mathcal{A}(s) = \mathcal{A}(-s)$$

$$\begin{aligned} \Rightarrow I_2 &= \frac{1}{\pi} \int_0^\infty ds \frac{\text{Im } \mathcal{A}(s)}{s^3} \\ &= \frac{1}{\pi} \int_0^\infty ds \frac{\sigma(s)}{s^2} \end{aligned}$$



$$\sigma = \sigma_{\text{tot}}(\pi\pi \rightarrow \text{CFT})$$

Check UV convergence:

$$\sigma \sim \left| \begin{array}{c} \pi \\ \diagdown \\ \bullet \\ \diagup \\ \pi \end{array} \begin{array}{c} \text{shaded semi-circle} \end{array} \right|^2 \sim \left[ \frac{1}{f^2} (m^{4-\Delta})^2 \right]^2 s^{\Delta-3}$$

Converges for  $\Delta < 4$

# Dilaton Scattering (cont'd)

- Same argument shows  $I_3 = 0$
- Similar argument shows IR convergence for  $\Delta' > 4$
- Can extend UV/IR argument to marginally relevant/irrelevant operators (logarithmic flows)

$$\Rightarrow \alpha = \frac{2f^4}{\pi} \int_0^\infty ds \frac{\sigma(s)}{s^2} > 0$$

$$\Rightarrow a_{\text{UV}} - a_{\text{IR}} = a_{\text{WZ}}(\mu \rightarrow 0) = \alpha > 0 \quad \text{QED}$$

# Scale without Conformal

Key point: dilaton does not decouple

$$S^\mu = x^\nu T^\mu{}_\nu + V^\mu$$

$$0 = \partial_\mu S^\mu = \underbrace{T^\mu{}_\mu}_{\text{dilaton couples to this}} + \partial_\mu V^\mu$$

dilaton couples to this

Generalize KS argument to rule out SFTs that can be deformed to CFTs in the IR at arbitrarily low scales

E.g. mass terms for fermions and scalars

Low energy theory contains only U(1) gauge bosons

(Non-abelian gauge fields confine)

# The Argument

- Scale invariance:

$$\text{Im } \mathcal{A}(s) = C \frac{s^2}{f^4} \quad C = \text{constant}$$

Couplings are fixed, wavefunctions run

Dilaton couplings are flavor-independent

No counterterm

- $C \neq 0$  if  $T^\mu{}_\mu \neq 0$

# The Argument (cont'd)

- Assume theory becomes conformal below  $\Lambda_{\text{IR}}$

$$\begin{aligned} a_{\text{WZ}}(\mu \rightarrow 0) &= \int_{\Lambda_{\text{IR}}}^{\Lambda_{\text{UV}}} ds \frac{\sigma(s)}{s^2} + \text{finite as } \Lambda_{\text{IR}} \rightarrow 0 \\ &= C \ln \frac{\Lambda_{\text{UV}}}{\Lambda_{\text{IR}}} + \dots \end{aligned}$$

Arbitrarily large for small  $\Lambda_{\text{IR}} \Rightarrow$  contradiction

# Perturbation Theory

- WZ term is a dimensionless coupling  
⇒ logarithmically renormalized
- Interpret positive  $a_{\text{WZ}}(\mu \rightarrow 0)$  as due to running
- Makes argument above completely precise for perturbative theories
- Rules out more general RG flows that “never settle down”




# $\phi^4$ Theory

Dimensional regularization

$$d = 4 - \epsilon$$

$$\mathcal{L} = \sqrt{-g} \left\{ \frac{1}{2} (\partial\phi)^2 + \frac{\xi}{2} \phi^2 R(g) + \frac{1}{2} \left( 1 - \xi \frac{4(d-1)}{d-2} \right) \phi^2 \Omega \square \Omega - \frac{\lambda_0}{4!} \Omega^{-\epsilon/\delta} \phi^4 \right\}$$

$\delta = \frac{d-2}{2}$



Dilaton coupling is “evanescent”

Finite effects from  $\frac{1}{\epsilon} \times \epsilon$

# $\phi^4$ Theory (cont'd)

Write in terms of renormalized couplings:

$$\lambda_0 = \mu^{-\epsilon} F(\lambda(\mu), \epsilon)$$

$$F(\lambda(\mu), \epsilon) = \lambda(\mu) + \sum_{n=1}^{\infty} \frac{c_n(\lambda(\mu))}{\epsilon^n}$$

$$\lambda_0 \Omega^{-\epsilon/\delta} = \mu^{-\epsilon} F(\lambda(\mu \Omega^{1/\delta}), \epsilon) \quad (\text{RG invariance})$$

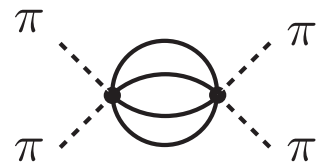
$$\lambda(\mu \Omega^{1/\delta}) = \lambda(\mu) + \frac{d\lambda}{d \ln \mu} \left( \frac{1}{\delta} \ln \Omega \right) + O(\hbar^2)$$

$$\Rightarrow \mathcal{L}_{\text{eff}} = -\frac{\beta(\lambda)}{4!} \ln \Omega \phi^4$$

Other couplings are higher order in loop expansion

# $\phi^4$ Theory (cont'd)

Leading contribution to the running of  $a_{\text{WZ}}$


$$\sim \hbar^3 \beta^2 \sim \hbar^5$$

Sign fixed by dispersive argument

$$\mu \frac{da_{\text{WZ}}}{d\mu} = b \beta^2 \quad b > 0$$

# Generalizations

Generalizes to arbitrary renormalizable couplings

$$\mathcal{L}_{\text{int}} = -\frac{\lambda_{abcd}}{4!}\phi^a\phi^b\phi^c\phi^d + y_{aij}\phi^a\psi^i\psi^j + \text{gauge couplings}$$

$$\mu\frac{da_{\text{WZ}}}{d\mu} = \sum_{abcd} b_\lambda(\beta_{abcd})^2 + \sum_{aij} b_y(\beta_{aij})^2 + \sum_A b_g(\beta_A)^2$$

Rules out any perturbative RG flow where

$$I = \int \frac{d\mu}{\mu} \beta^2$$

diverges in IR, for any coupling!

# Conclusions

- KS argument is robust
- Existence of IR deformation to CFT rules out many exotic RG flows