### D-brane model building and non-perturbative effects

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### Outline

- Motivation/Introduction
- Second Compactifications with D-branes
- 🗳 Model building
- Section Fluxes
- Euclidean D-brane instantons
- Section Conclusions

### String Phenomenology

String theory describes gravitational and gauge interactions in a unified framework, consistent at the quantum level

If string theory is realized in Nature, it should be able to describe a very specific gauge sector: Standard Model

- Aim of String Phenomenology:
- Determine classes of constructions with a chance to lead to SM Non abelian gauge interactions, replicated charged fermions, Higgs scalars with appropriate Yukawa couplings, ...

- Within each class, obtain explicit models as close to SM as possible with the hope of learning more about the microscopics of SM in string theory

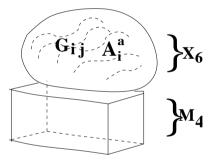
Old program, yet continuous progress
Moduli stabilization, non-perturbative effects, ...

## Prototypical example: Heterotic string models

[Candelas, Horowitz, Strominger, Witten, '85]

The IOd heterotic string has as effective theory IOd N=I sugra coupled to E8xE8 (or SO(32)) gauge multiplets

Compatification: six extra dimensions parametrize small Calabi-Yau space, on which we also turn on a non-trivial gauge field background



- Gauge group is reduced to transformations leaving bckgnd invariant Possible to break down to something close to SM gauge group

- 4d charged chiral fermions arise from zero modes of 10d gauginos, in the Kaluza-Klein reduction of the spectrum

Within this general class, very explicit models close to (MS)SM

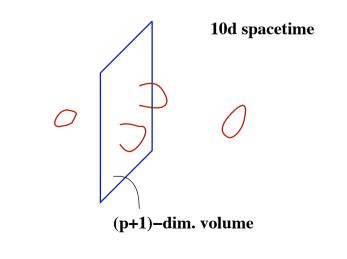
[reviews by A.Lukas & V. Braun]

### D-branes [Polchinski, '95]

In this talk, focus on D-brane models in type II string compactifications

Interested in weak coupling and small numbers,  $g_s N <<1$ , treat in the probe approximation

- Described as subspaces of 10d space on which open strings end
- Models may be followed to strong coupling (if susy protects)
- lifting relates to other setups: M-theory on G2 or F-theory on CY4



#### Supersymmetric D-branes

In a CY compactification, supersymmetric D-branes are already present in the topological version of the model

A-branes: Appear in Type IIA compactifications

- D6-branes wrapped on Special Lagrangian 3-cycles with flat gauge field

[Also coisotropic branes [Kapustin, Orlov], model building by [Font, Ibanez, Marchesano]]

- Calibrated by  $Re\Omega$ , up to a phase uncorrected by  $\alpha$ '
- B-branes: Appear in type IIB compactifications

- At large volume, D-branes on holomorphic cycles with holomorphic stable gauge bundles

- Calibrated by Re exp(J+i(B+F)), up to phase with  $\alpha$ ' corrections

- At general points in Kahler moduli space, described as matrix factorizations of linear sigma model

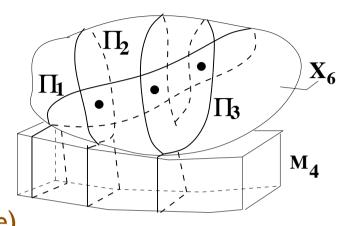
Exchanged by open string mirror symmetry [review by Herbst]

### Intersecting brane worlds

[Blumenhagen, Gorlich, Kors, Lust; Aldazabal, Franco, Ibanez, Rabadan, AU]

Focus on models of A-branes

(actually, orientifold version: Z2 invariance under antiholomorphic involution Preferred 4d N=1 susy and calibrating phase)



General class of string compactifications with non-abelian gauge symmetry and replicated charged chiral fermions

Mathematical construction of Special Lagrangian 3-cycles on compact CY manifolds...?

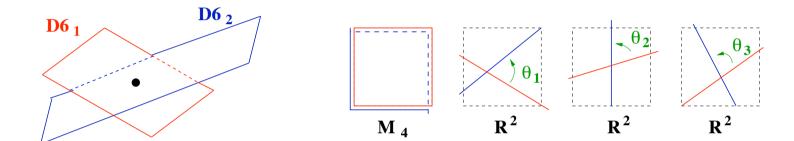
Even simpler questions: For which holomology classes there is irreducible special lagrangian representative, ...

Physics can be translated to math concepts for (category of) A-branes But explicit computations only for tori and quotients thereof

### Structure of a local intersection

[Berkooz, Douglas, Leigh,'96]

Consider type IIA string theory with two stacks of D6-branes (hence 7d subspaces) intersecting over a 4d subspace of their volumes



Three sectors of open strings

- D61-D61: U(N1) on 7d plane 1
- D62-D62: U(N2) on 7d plane 2
- D61-D62: 4d chiral fermion in  $(N_1, \overline{N}_2)$  on 4d intersection
- Chirality is a consequence of the geometry of the intersection e.g. two D5's intersecting over 4d leads to non-chiral fermions

### Spectrum of light 4d fields

Closed string sector 4d N=1 supergravity multiplet plus moduli chiral multiplets (dilaton, Kahler, complex structure)

see later for moduli stabilization

- Open string spectrum (morphisms):
  - Chiral part can be determined with just the above topological data

 $Gauge group \qquad \prod_{a} U(N_{a})$ Chiral fermions  $\sum_{a,b} I_{ab} \left( N_{a}, \overline{N}_{b} \right)$   $I_{ab} = \left( n_{a}^{1} m_{b}^{1} - n_{b}^{1} m_{a}^{1} \right) \times \left( n_{a}^{2} m_{b}^{2} - n_{b}^{2} m_{a}^{2} \right) \times \left( n_{a}^{3} m_{b}^{3} - n_{b}^{3} m_{a}^{3} \right)$ 

Intersection number = geometric origin of family replication!

- Non-chiral features of the spectrum (susy, scalars,...) depend on less robust data of the configuration

### Supersymmetry and BPS phase

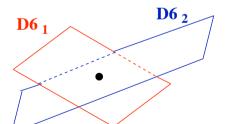
D6-branes with misaligned BPS/calibrating phase lead to non-susy open string sector

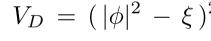
Light scalar spectrum in flat space intersection

$$M^2 = \frac{1}{2} (\, heta_1 \pm heta_2 \pm heta_3 \,) \, M_s^2$$

4d physical description: Complex structure modulus controling the phase misalignment couples as FI term

Solution Marginal stability walls  $V_D = (|\phi|^2 - \xi)^2$ 





Brane recombination = Higgs mechanism

Nice geometric interpretation in terms of volume minimization using "angle theorem" by Lawlor [Douglas, '01]

### **RR** tadpoles and anomalies

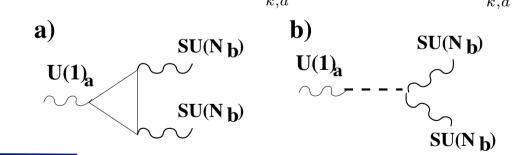
 $\checkmark$  In a compact space, the total D6-brane charge<sup>\*</sup> must be zero Homology Gauss' law

 $\sum_{n=1}^{\infty} N_a [\Pi_a] - 4[\Pi_{06}] = 0$  $D6_a, D6_{a'}$ 

Deeply related to consistency of 4d theory: anomaly cancellation

-  $SU(N_a)^3$  non-abelian vanish identically

-  $U(I)_a$ -SU(N<sub>b</sub>)<sup>2</sup> mixed cancel via Green-Schwarz mechanish involving  $\sum_{k,a} \int_{4d} B_k \wedge \operatorname{tr} F_a \quad \& \quad \sum_{k,a} \int_{4d} a_k \operatorname{tr} (F_b \wedge F_b)$ the D6-brane couplings



\* Actually cancel K-theory charge: cancell. of global gauge anomalies [AU]

# U(I)'s

[see Grimm's talk]

$$\sum_{k,a} \int_{4d} B_k \wedge \operatorname{tr} F_a = -\sum_{k,a} \int_{4d} \partial_\mu a_k A^a_\mu$$

 $\begin{array}{ccc} U(1)_a & U(1)_a \\ & & & \\ &$ 

Consequences

- Impose that hypercharge generator remains massless
- Additional U(I)'s removed remain as global symmetries exact in perturbation theory
- Operators violating the latter can appear non-perturbatively D-brane instantons, see later

[other talks today]

#### Towards the SM

A simple road to SM

[Ibanez, Marchesano, Rabadan; Cremades, Ibanez, Marchesano;'01]

Introduce four stacks of D6's a,b,c,d with

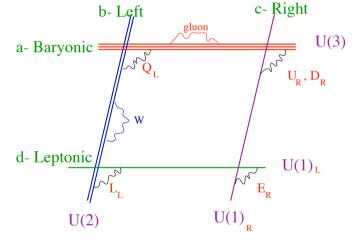
 $U(3)_a \times USp(2)_b \times U(1)_c \times U(1)_d$ 

$$I_{ab} = 3 \rightarrow Q_L$$

$$I_{ac} = -3, I_{ac'} = 3 \rightarrow U_R, D_R$$

$$I_{db} = 3 \rightarrow L$$

$$I_{dc} = -3, I_{dc'} = -3 \rightarrow E_R, \nu_R$$



Spectrum of SM with hypercharge

$$Y = \frac{1}{6}Q_a - \frac{1}{2}Q_c - \frac{1}{2}Q_d$$

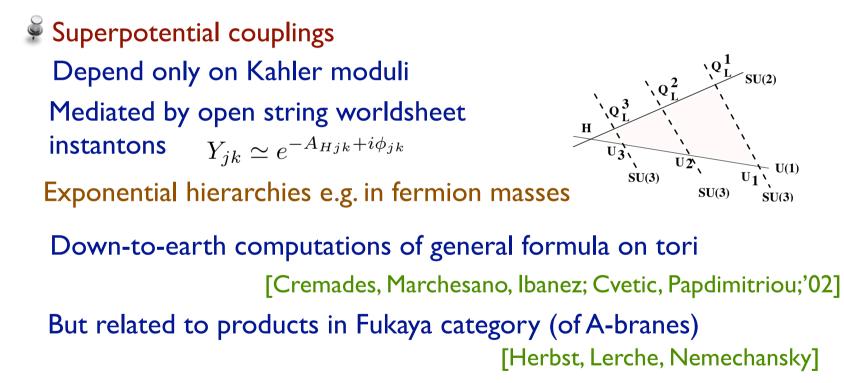
Explicit realization of this structure in several toroidal models

### Phenomenological properties

🖉 Gauge couplings Related to the volume of the 3-cycles integral of calibrating form

$$\frac{1}{g_a^2} = \frac{V_{\Pi a}}{g_s}$$

SU(3)



(Meaning of e.g. quantum A-infinity relations?)

Complicated function of moduli. See later for moduli stabilization

### The B-picture

Same kind of construction can be carried out in mirror B-side

- 🗳 In large volume language,
  - D-branes on holomorphic cycles with holomorphic bundles (or D9's on CY with coherent sheaves)
  - D7-branes, similar to F-theory picture [reviews by Beasley, Wijnholt]
- Chiral matter from index of Dirac op. coupled to difference bundle
- Couplings (e.g. Yukawa) from overlap of Gaussian wavefunctions
- Susy, BPS phase, wall crossing, controlled by slope stability
- Efficient tools for construction of bundles could prove useful: Spectral cover in elliptic fibrations
  - Monad constructions
  - How to apply to lower dimensional subspaces?
  - How to mirror-map efficiently to A-side these efficient techniques?
- In linear sigma model language, matrix factorizations:

Not much application to model building

[Omer]

Some explicit well studied stringy regimes on B-side

### The B-picture (cont.)

- Gepner models: [see Bianchi's talk]
  - Pure CFT description at a special point in Kahler moduli space
  - Very rich [Dijkstraa, Huiszoon, Schellekens; Anastasopoulos, Dijkstraa, Kiritsis, Schellekens; Gato, Schellekens]
  - No available formulae to compute couplings
  - Cannot move in moduli space
    - Translation to matrix factorizations & linear sigma model? Extrapolation to large volume?
- Non-compact singular CYs [Aldazabal, Ibanez, Quevedo, AU; Berenstein, Jejjala,Leigh;Verlinde,Wijnholt] Techniques to study holomorphic information:
   Quiver diagrams [Douglas, Moore]
  - Dimer diagrams for toric singularities [Kennaway, Hanany]
  - Exceptional collections in large volume [Herzog; ...]

[Kennaway, Hanany] [Herzog; ...]

Stability is King's  $\theta$ -stability [Douglas, Fiol]

Constraints on local models to be embeddable in global??

### Flux compactifications and moduli stabilization

- Sompactifications beyond the usual CY ansatz have less moduli
- Prototype: type IIB on CY with NSNS and RR 3-form fluxes Turn on field strength fluxes  $F_3$ ,  $H_3$  in  $H^3(CY,Z)$  cohomology

[Dasgupta, Rajesh, Sethi; Giddings, Kachru, Polchinski]

Warped compactification, warping sourced by fluxes

$$ds^{2} = Z(y)^{-\frac{1}{2}} ds^{2}_{4d} + Z(y)^{\frac{1}{2}} g^{CY}_{mn}(y) dy^{m} dy^{n}$$
$$\nabla^{2} Z = g_{s} N |F_{3} - \tau H_{3}|^{2}$$

- Macroscopic effective 4d field theory picture At large radius, flux scale  $\alpha'/R^3$  much smaller than KK scale 1/R

Flux superpotential [Gukov, Vafa, Witten]

$$W = \int_{X_6} \left( F_3 - \tau H_3 \right) \wedge \Omega$$

Effects of warping in KK reduction?

- Microscopic 10d picture

[Douglas, Shelton, Torroba; Shiu, Torroba, Underwood, Douglas; Douglas, Torroba]

### Type IIB with 3-form fluxes

Generically stabilization of all complex structure moduli and dilaton

Description is explicit enough to allow statistical study of distribution of vacua and their properties
 [Douglas; Ashok, Douglas; Denef, Douglas; ...]

E.g. density of vacua in complex structure moduli space

$$\rho \simeq \det(-R - \omega)$$

Kahler moduli stabilized by non-perturbative effects\*, see later [Kachru, Kallosh, Linde, Trivedi]

Would be desirable to describe them globally in moduli space

(\*possible contributions from  $\alpha$  corrections

[Balasubramanian, Berglund, Conlon, Quevedo]

and from g<sub>s</sub> corrections [Berg, Haack, Kors; Cicoli, Conlon, Quevedo,...])

Other generalizations, in IIA, IIB [talks on Friday] Section of N=1 supersymmetric backgrounds Configurations SU(3) or SU(3)xSU(3) structure Generalized complex geometry [Graña, Minasian, Petrini, Tomasiello; ...] (Recent results for N=0 vacua [Camara, Graña; Lust, Marchesano, Martucci, Tsimpis])  $\Rightarrow$  Microscopic local picture, but few compact examples Description in effective field theory Consider as deformations of underlying CY compactification Superpotential for dilaton, complex structure and Kahler moduli  $W(\tau, z_i, t_a)$  $\stackrel{\scriptstyle{\swarrow}}{=}$  Geometric fluxes: torsion classes d $\Omega$ , dJ Non-geometric fluxes: stringy monodromies along 1-cycles Systematically included in gauged supergravity formalism Fluxes as parameters of the gauging of an isometry of moduli space Embedding formalism  $\Theta_M^A$ Better global microscopic descriptions? (T-folds) [see Hull's talk]

### Fluxes and D-branes

Interplay of fluxes and D-branes, at different levels

- Mutual consistency conditions: Freed Witten anomalies
   Bianchi identity for worldvolume gauge field dF=H3
   Related to twisted K-theory in presence of H3
   4d flux superpotential invariant under D-brane U(I) [Font, Camara,
- Change of supersymmetry conditions for D-branes Generalized calibrations: minimize action rather than volume Flux dependence of open string superpotential
  - Need to consider open-closed moduli space: N=1 special geometry

[see Jockers' talk]

 $\Rightarrow$  Stabilization of D-brane moduli

- Supersymmetric D-branes perturbed by supersymmetry-breaking fluxes
- $\Rightarrow$  Soft terms

### Fluxes, susy breaking and soft terms

- An appealing scenario: Susy MSSM D-brane sector and non-susy flux
- Soft terms arise from effect of non-susy flux on susy D-branes

Explicitly computable using D-brane world-volume action in general supergravity background, or using 4d effective theory approach [Grana; Camara, Ibanez, AU; Lust, Mayr, Reffert, Stieberger; '03-'04 ]

Flux components work as vevs for auxiliary fields of chiral multiplets of (complex structure) moduli

- $\Rightarrow$  Realization of gravity-mediated susy breaking
- Flavour problem: Decoupling of flavor physics and soft terms Geometrization squark masses determined by intersection angles
- $\mu$ -problem: susy components of flux induce it on the branes
- Very explicit discussion of susy spectrum etc is possible in specific models

e.g. in 'large volume compactifications' [Quevedo et al '06-'07]

# Instanton effects

[Becker's, Strominger; Witten; Harvey, Moore; ... talks by Lerda, Billo]

D-brane instantons from A- or B-branes pointlike in (euclidean) 4d Violate certain perturbatively exact U(1) global symmetries

Consider IIA CY orientifold compactification, and complex structure moduli associated to a 3-cycle C

$$T = t + i a = \int_C \operatorname{Re} \Omega + i \int_C C_3$$

Peccei-Quinn symmetry  $a \rightarrow a + \lambda$ 

Violated by euclidean D2-brane instanton wrapped on C  $\ \simeq e^{-T}$ 

Can contribute to stabilization of Kahler moduli in IIB models via nonperturbative superpotential [Kachru, Kallosh, Linde, Trivedi] Models with enough instanton generated non-perturbative superpotentials [Denef, Douglas, Florea; + Grassi, Kachru]

Start with compactifications without fluxes, effects studied later on

#### D-brane instantons and effective operators [Blumenhagen, Cvetic, Weigand; Ibanez, AU]

- In models with D-branes, gauging of PQ by U(1) in U(N)Consider N D6-branes on C', there is a 4d world-volume coupling

$$\int_{C' \times M_4} C_5 \wedge \operatorname{tr} F \to \int_{M_4} B_2 \wedge \operatorname{tr} F \to \int d^4 x \, (\,\partial_\mu a \, + \, A_\mu\,)^2$$

 $\Rightarrow$  Instanton generates terms such that phase rotations compensate  $e^{-T} \Phi_1 \dots \Phi_n$  allows couplings forbidden in pert.th.

- insersions from fermion mode couplings  $\int d\lambda d\tilde{\lambda} e^{-T+\lambda\Phi\tilde{\lambda}} = e^{-T}\Phi$ - number of insertions is number of charged chiral fermion modes (instanton intersection numbers)

Can generate interesting SM operators forbidden by U(1) symmetries in perturbation theory e.g. Majorana mass for  $V_R$  (singlet in cd' sector) Important role in model building  $\mu$ -term, certain GUT Yukawas, etc [much explored in last two years]

#### Instanton effects

According to interplay with 4d D-branes

- Gauge instantons

Instanton D-brane wraps same cycle as 4d gauge D-brane

Ex. ADS "fractional" instantons

$$W = (N_c - N_f) \left(\frac{\Lambda^{3N_c - N_f}}{\det M}\right)^{\frac{1}{N_c - N_f}} \qquad [..., many authors]$$

- Non-gauge instantons

General D-brane instantons

In perturbative models, need O(I) Chan-Paton group

The latter provide new sources of interesting 4d operators violating certain perturbatively exact global symmetries Application to neutrino masses, mu-term, GUT yukawas, ...

[Argurio, Bertolini, Bianchi, Billo, Blumenhagen, Cvetic, Ferretti, Frau, Ibanez, Kiritsis, Lerda, Marotta, Petersson, Richter, Schellekens, Weigand, A.U....]

#### Instanton effects

Unlifted fermion zero modes  $\Rightarrow$  kind of 4d superspace interaction

- Instantons contributing to superpotential BPS D-branes with exactly 2 fermion zero modes (goldstinos) Generate 4d superpotentials  $\int d^4x \, d^2\theta \, e^{-T} \Phi_1 \dots \Phi_n$
- Beasley-Witten instantons

BPS D-branes with more than 2 decoupled fermion zero modes Generate multi-fermion F-term, sketchily

$$\int d^4x \, d^2\theta \, w_{\bar{i}_1\bar{j}_1\dots\bar{i}_n\bar{j}_n}(\Phi) \, \bar{D}\bar{\Phi}^{\bar{i}_1} \, \bar{D}\bar{\Phi}^{\bar{j}_1}\dots\bar{D}\bar{\Phi}^{\bar{i}_n} \, \bar{D}\bar{\Phi}^{\bar{j}_n}$$

Can be written as D-terms locally, but not globally: BW cohomology

#### - Non-BPS instantons

Have at least 4 fermion zero modes (goldstinos of 4 broken susys) Generate 4d D-terms  $\int d^4x \, d^2\theta \, d^2\bar{\theta} \, f(T, \bar{T}, \Phi, \bar{\Phi})$ 

## Non-perturbative effects globally in moduli space

[Garcia-Etxebarria, AU;+Marchesano]

For some applications, convenient to have a global picture of nonperturbative effects as a function of closed string moduli space

e.g. moduli stabilization

Wall crossing phenomena: Spectrum of BPS instantons changes But BPS=holomorphic non-perturbative contributions must be continuous across real codimension one

- Continuity is restored by including multi-instanton processes New physics of multi-instantons [talk by Schmidt-Sommerfeld]
- Physical explanation of mathematical wall-crossing formulas

Explicitly illustrated by Gaiotto, Moore, Neitzke relating jumps in BPS spectrum of 4d N=2 supersymmetric gauge theory (BPS instantons in 3d N=4 gauge theory) to Kontsevich-Soibelmann wall crossing formula for certain generalized Donaldson-Thomas invariants.

Suggests deep role of algebra of BPS objects

### Some general considerations (in 4d N=1)

Distinguish: [Denef]

- <u>Marginal stability</u>: BPS brane splits, decay products misalign

U(I)xU(I) theory with boson with charges (+1,-1)

$$V_D = (|\phi|^2 - \xi)^2$$

<u>Threshold stability</u>: BPS brane splits, pieces recombine to new BPS
 U(1)×U(1) theory with bosons with charges (+1,-1), (-1,1)

$$V_D = (|\phi_1|^2 - |\phi_2|^2 - \xi)^2$$

- No-split BPS stability: BPS brane becomes non-BPS, with no splitting

U(I) theory with no boson

$$V_D = \xi^2$$

Goldstinos:

BPS instantons must have at least 2 unlifted fermion zero modes Non-BPS instantons must have at least 4 unlifted fermion zero modes

#### Wall crossings and non-perturbative terms

The structure of fermion zero modes already determines the BPS stability properties of the instantons

- Instanton contributing to the superpotential (2fzm) cannot cross genuine lines of marginal stability: cannot become non-BPS Not enough fermion zero modes to account for the 4 goldstinos
- Can reach a line of threshold stability, and split into mutually BPS decay products

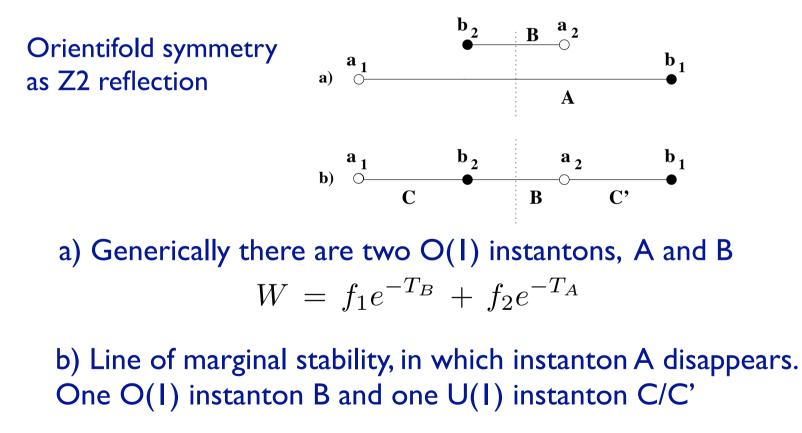
Multi-instanton process ensures globally defined holomorphic superp.

- BPS instanton with additional fermion zero modes (thus contributing higher F-terms) to the superpotential can cross genuine lines of marginal stability and become non-BPS

Two of the extra fermion zero modes become extra goldstinos Possible multi-instanton process generates the amplitude on other side Instanton amplitude is globally in non-trivial BW cohomology class Away from BPS locus can be written locally as D-term

#### Example of continuity involving multi-instantons

Geometry: Double C\* fibrations over complex plane, 3-cycles are double circle fibrations over segments between degenerations [Ooguri,Vafa]



 $Exp(-T_A)$  is generated by 2-instanton process involving B,C,(C')

### Lifting of fermion zero modes and 4d susy breaking

Relation between superpotential and higher F-term by lifting fermion zero modes?

- Consider an instanton which can misalign and become non-BPS
- Introduce a mechanism to lift extra fermion zero modes to make it contribute to the superpotential
- Contradiction with counting of goldstinos is possible only if ...
  - ⇒ 4d supersymmetry breaking upon misalignment due to mechanism lifting fermion zero modes!
- Ex: Flavor mass to flow to Nf=Nc-I SQCD
- $\Rightarrow$  D-term on instanton implies a non-zero D-term on 4d branes
- Ex: Closed string fluxes
- $\Rightarrow$  Mass of extra z.m.  $\approx$  susy variations of gravitino and dilatino
- Ex: Lifting by other instantons  $\Rightarrow$  Previous marginal stability turns to threshold stability of new multi-instanton system [see O(1)xU(1)  $\rightarrow$ O(1) example; also Cvetic, Richter, Weigand]

#### Fluxes and D-brane instantons

Finterplay of fluxes and D-brane instantons, at different levels

Mutual consistency conditions: Freed Witten anomalies
 Bianchi identity for worldvolume gauge field dF=H3
 D-brane instantons do not break isometries gauged by the flux

[Kashani-Poor, Tomasiello]

- Lifting of fermion zero modes of the D-brane instanton
  - Index for a modified Dirac operator

[Bergshoeff, Kallosh, Kashani-Poor, Sorkin, Tomasiello]

- Lifting computable as G3  $\lambda\lambda$  disk diagram in fluxless CFT

[Billo, Ferro, Frau, Fucito, Lerda, Morales]

- Instantons that do not contribute to the superpotential of fluxless compactification can contribute in the presence of fluxes
- E.g: 3-form flux does not lift N=2 goldstinos of D3-brane instantons but can lift deformation zero modes

Is there a macroscopic effective field theory description?

### The 4d effective field theory picture [AU]

- Drawbacks of microscopic picture:
- For fixed CY, need to evaluate superpotential for each flux choice
- Local in moduli space
- Requires a microscopic picture of the flux

There must exist a consistent description in 4d effective theory At large radius, flux scale  $\alpha'/R^3$  much smaller than KK scale 1/R Should describe all effects of fluxes as a deformation of the fluxless 4d effective theory (potential in moduli space of exact theory)

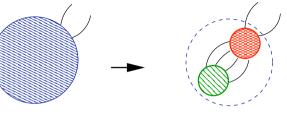
Works indeed if fluxless effective theory includes higher F-terms Effects of instantons with additional zero modes Upon inclusion of the flux superpotential, they turn into nonperturbative superpotentials, via integration of the massive moduli



Recovers standard results, and many more

### Comments

- Universality of contributions to non-perturbative F-terms



(insensitive to D-terms inside instanton world-volumes) Presumably related to universality of category of holomorf. branes & topological strings

- Relation to non-perturbative effects in topological strings? [Mariño, Schiappa, Weiss]
- Lessons from matrix models? [Garcia-Etxebarria, to appear]
- Lifting of zero modes in multi-instanton processes Define index for multi-instanton systems, robust under splitting?
- Any relation to other brane splittings? multicenter black holes, gauge theories, ...

Expect many other surprises from D-brane instantons

### Conclusions

- Several basic ingredients, grounded on interesting maths

D-brane model building ⇔ holomorphic A/B branes theory of calibrations Flux compactifications ⇔ generalized complex geometry, group theory of gauged supergravities Non-perturbative effects ⇔ holomorphic A/B branes presumably modular functions... (N=2)

& their interplay... (e.g. generalized calibrations, twisted K-theory)

- Many other open interesting avenues

Eventually, what are the maths of non-supersymmetric vacua?