

# Neutrino Masses, Mixing and Leptonic CP-Violation – Theory and Tests in Future Experiments

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**Research in Neutrino Physics:** we strive to understand at deepest level what are the origins of neutrino masses and mixing and what determines the pattern of neutrino mixing and of neutrino mass squared differences that emerged from the neutrino oscillation data in the recent years. And we try to understand what are the implications of the remarkable discovery that neutrinos have mass, mix and oscillate for elementary particle physics, cosmology and for better understanding of the Earth, the Sun, the stars, formation of Galaxies, the Early Universe, i.e., for better deeper understanding of Nature in general.

## Reference Model: 3- $\nu$ mixing

$$\nu_{l\text{L}} = \sum_{j=1}^3 U_{lj} \nu_{j\text{L}} \quad l = e, \mu, \tau.$$

The PMNS matrix  $U$  -  $3 \times 3$  unitary.

$\nu_j, m_j \neq 0$ : Dirac or Majorana particles.

Data: 3  $\nu$ s are light:  $\nu_{1,2,3}, m_{1,2,3} \lesssim 0.5$  eV.

3- $\nu$  mixing: 3-flavour neutrino oscillations possible.

$\nu_\mu, E$ ; at distance  $L$ :  $P(\nu_\mu \rightarrow \nu_{\tau(e)}) \neq 0, P(\nu_\mu \rightarrow \nu_\mu) < 1$

$$P(\nu_l \rightarrow \nu_{l'}) = P(\nu_l \rightarrow \nu_{l'}; E, L; U; m_2^2 - m_1^2, m_3^2 - m_1^2)$$

## Lepton sector: reference 3- $\nu$ mixing scheme

$$\nu_{l\text{L}} = \sum_{j=1}^3 U_{lj} \nu_{j\text{L}} \quad l = e, \mu, \tau.$$

**Data: 3  $\nu$ s are light:  $\nu_{1,2,3}$ ,  $m_{1,2,3} \lesssim 0.5$  eV;**

**KATRIN:  $m_{\bar{\nu}_e} < 0.81$  eV;**

**Cosmology:  $\sum_j m_j < 0.12 - 0.77$  eV (95% CL; 2107.00532).**

**The value of  $\min(m_j)$  and “mass ordering” unknown.**

**$\Delta m_{21}^2$ ,  $|\Delta m_{31}^2|$  - known ( $\text{sgn}(\Delta m_{31}^2)$  - unknown).**

**$\nu_j$ ,  $m_j \neq 0$ : nature - Dirac or Majorana - unknown.**

**The PMNS matrix  $U$  -  $3 \times 3$  unitary:  $\theta_{12}$ ,  $\theta_{13}$ ,  $\theta_{23}$  - known; **CPV phases  $\delta$ ,  $\alpha_{21}$ ,  $\alpha_{31}$  - unknown.****

**Thus, 5 known + 4 unknown parameters + MO.**

“Known” = measured; “unknown” = not measured.

**$m_e$ ,  $m_\mu$ ,  $m_\tau$  also known - used as input.**

# PMNS Matrix: Standard Parametrization

$$U = V P, \quad P = \begin{pmatrix} 1 & 0 & 0 \\ 0 & e^{i\frac{\alpha_{21}}{2}} & 0 \\ 0 & 0 & e^{i\frac{\alpha_{31}}{2}} \end{pmatrix},$$

$$V = \begin{pmatrix} c_{12}c_{13} & s_{12}c_{13} & s_{13}e^{-i\delta} \\ -s_{12}c_{23} - c_{12}s_{23}s_{13}e^{i\delta} & c_{12}c_{23} - s_{12}s_{23}s_{13}e^{i\delta} & s_{23}c_{13} \\ s_{12}s_{23} - c_{12}c_{23}s_{13}e^{i\delta} & -c_{12}s_{23} - s_{12}c_{23}s_{13}e^{i\delta} & c_{23}c_{13} \end{pmatrix}$$

- $s_{ij} \equiv \sin \theta_{ij}$ ,  $c_{ij} \equiv \cos \theta_{ij}$ ,  $\theta_{ij} = [0, \frac{\pi}{2}]$ ,
- $\delta$  - Dirac CPV phase,  $\delta = [0, 2\pi]$ ; CP inv.:  $\delta = 0, \pi, 2\pi$ ;
- $\alpha_{21}, \alpha_{31}$  - Majorana CPV phases; CP inv.:  $\alpha_{21(31)} = k(k')\pi$ ,  $k(k') = 0, 1, 2, \dots$   
S.M. Bilenky et al., 1980
- $\Delta m_{\odot}^2 \equiv \Delta m_{21}^2 \cong 7.34 \times 10^{-5} \text{ eV}^2 > 0$ ,  $\sin^2 \theta_{12} \cong 0.305$ ,  $\cos 2\theta_{12} \gtrsim 0.306$  ( $3\sigma$ ),
- $|\Delta m_{31(32)}^2| \cong 2.448$  ( $2.502$ )  $\times 10^{-3} \text{ eV}^2$ ,  $\sin^2 \theta_{23} \cong 0.545$  ( $0.551$ ), NO (IO),
- $\theta_{13}$  - the CHOOZ angle:  $\sin^2 \theta_{13} = 0.0222$  ( $0.0223$ )  
F. Capozzi et al. (Bari Group), arXiv:2003.08511.

Parameter	Ordering	Best fit	1 $\sigma$ range	2 $\sigma$ range	3 $\sigma$ range	“1 $\sigma$ ” (%)
$\delta m^2/10^{-5} \text{ eV}^2$	NO, IO	7.36	7.21 – 7.52	7.06 – 7.71	6.93 – 7.93	2.3
$\sin^2 \theta_{12}/10^{-1}$	NO, IO	3.03	2.90 – 3.16	2.77 – 3.30	2.63 – 3.45	4.5
$ \Delta m^2 /10^{-3} \text{ eV}^2$	NO	2.485	2.454 – 2.508	2.427 – 2.537	2.401 – 2.565	1.1
	IO	2.455	2.430 – 2.485	2.403 – 2.513	2.376 – 2.541	1.1
$\sin^2 \theta_{13}/10^{-2}$	NO	2.23	2.17 – 2.30	2.11 – 2.37	2.04 – 2.44	3.0
	IO	2.23	2.17 – 2.29	2.10 – 2.38	2.03 – 2.45	3.1
$\sin^2 \theta_{23}/10^{-1}$	NO	4.55	4.40 – 4.73	4.27 – 5.81	<b>4.16 – 5.99</b>	6.7
	IO	5.69	5.48 – 5.82	4.30 – 5.94	<b>4.17 – 6.06</b>	5.5
$\delta/\pi$	NO	1.24	1.11 – 1.42	0.94 – 1.74	0.77 – 1.97	16
	IO	1.52	1.37 – 1.66	1.22 – 1.78	<b>1.07 – 1.90</b>	9

$$\Delta\chi_{\text{IO-NO}}^2 \quad \text{IO-NO} \quad +6.5 \text{ (2.5}\sigma\text{)}$$

Global  $3\nu$  analysis of oscillation parameters: best-fit values and allowed ranges at  $N_\sigma = 1, 2$  and  $3$ , for either NO or IO, including all data. The latter column shows the formal “1 $\sigma$  fractional accuracy” for each parameter, defined as  $1/6$  of the  $3\sigma$  range, divided by the best-fit value and expressed in percent. We recall that  $\Delta m^2 = m_3^2 - (m_1^2 + m_2^2)/2$  and that  $\delta \in [0, 2\pi]$  (cyclic). The last row reports the difference between the  $\chi^2$  minima in IO and NO.

F. Capozzi et al. (Bari Group), arXiv:2107.00532.

$\theta_{12}, \theta_{23}$  - **large**,  $\theta_{13}$  - **small** (very different from the quark mixing angles).  
 $\sin^2 \theta_{23}$  - **relatively large uncertainty**.

$$\Delta m_{21}^2/|\Delta m_{31}^2| \cong 1/30.$$

2020 global analyses after Nu2020: combine latest T2K and NO $\nu$ A data.

Results on CPV due to  $\delta$  and NO vs IO spectrum - **inconclusive**.

K.J. Kelly, P.A. Machado, S.J. Parke, Y.F. Perez Gonzalez and R. Zukanovich-Funchal,

“Back to (Mass-)Square(d) One: The Neutrino Mass Ordering in Light of Recent Data,” arXiv:2007.08526 [hep-ph].

I. Esteban, M.C. Gonzalez-Garcia, M. Maltoni, T. Schwetz and A. Zhou, “The fate of hints: updated global analysis of three-flavor neutrino oscillations,” arXiv:2007.14792 [hep-ph].

**Result on CPV, b.f.v.:  $\delta = 197^\circ$ , NO;  $\delta = 282^\circ$ , IO.**

**At  $3\sigma$ :  $\delta$  is found to lie in  $[120^\circ, 369^\circ]$  ( $[193^\circ, 352^\circ]$ ), NO (IO).**

**IO: CPV due to  $\delta$  at  $3\sigma$ .**

**IO disfavored at  $1.6\sigma$  with respect to NO ( $2.7\sigma$  including SuperK  $\nu_{atm}$  data).**

Of fundamental importance are:

- the determination of the status of lepton charge conservation and the nature - Dirac or Majorana - of massive neutrinos (which is one of the most challenging and pressing problems in present day elementary particle physics) (LEGEND (GERDA, MAJORANA), KamLAND-Zen II, CUORE (CUPID), nEXO (EXO), SNO+, NEXT, ...);
- determining the status of CP symmetry in the lepton sector (T2K, NO $\nu$ A; T2HK, DUNE); leptonic CPV might be at the origin of matter-antimatter (or baryon) asymmetry of the Universe;
- determination of the type of spectrum neutrino masses possess, or the “neutrino mass ordering” (T2K + NO $\nu$ A; JUNO; ORCA, PINGU; DUNE, T2HK, INO);
- determination of the absolute neutrino mass scale, or  $\min(m_j)$  (KATRIN, new ideas; cosmology).



**BS3 $\nu$ RM: eV scale sterile  $\nu$ 's; NSI's; ChLFV processes ( $\mu \rightarrow e + \gamma$ ,  $\mu \rightarrow 3e$ ,  $\mu^- \rightarrow e^-$  conversion on (A,Z));  $\nu$ -related BSM physics at the TeV scale ( $N_{jR}$ ,  $H^{--}$ ,  $H^-$ , etc.).**

# The Flavour Problem

Understanding the origins of flavour in both lepton and quark sectors, i.e., of the patterns of the charged lepton and neutrino masses and of neutrino mixing, of quark masses and mixing, and of CP violation in the quark and lepton sector, is one of the most challenging fundamental problems in contemporary particle physics.

“Asked what single mystery, if he could choose, he would like to see solved in his lifetime, Weinberg doesn't have to think for long: he wants to be able to explain the observed pattern of quark and lepton masses.”

From Model Physicist, CERN Courier, 13 October 2017.

The renewed attempts to seek new better solutions of the flavour problem than those already proposed were stimulated primarily by the remarkable progress made in the studies of neutrino oscillations, which began 24 years ago with the discovery of oscillations of atmospheric  $\nu_\mu$  and  $\bar{\nu}_\mu$  by SuperKamiokande experiment. This led, in particular, to the determination of the pattern of the 3-neutrino mixing, which turned out to consist of two large and one small mixing angles.

In what follows we will discuss a new approach to the flavour problem within the three family framework.

# The Lepton Flavour Problem

Consists of three basic elements (sub-problems), namely, understanding:

- **Why  $m_{\nu_j} \lll m_{e,\mu,\tau}, m_q$ ,  $q = u, c, t, d, s, b$  ( $m_{\nu_j} \lesssim 0.5$  eV,  $m_l \geq 0.511$  MeV,  $m_q \gtrsim 2$  MeV);**
- **The origins of the patterns of**
  - i) **neutrino mixing of 2 large and 1 small angles ( $\theta_{12}^l = 33.4^\circ$ ,  $\theta_{23}^l = 42.4^\circ$  (49.0°),  $\theta_{13}^l = 8.59^\circ$ ),**
  - and of ii)  $\Delta m_{ij}^2$ , i.e., of  $\Delta m_{21}^2 \ll |\Delta m_{31}^2|$ ,  $\Delta m_{21}^2/|\Delta m_{31}^2| \cong 1/30$ .**
- **The origin of the hierarchical pattern of charged lepton masses:**  
 $m_e \ll m_\mu \ll m_\tau$ ,  $m_e/m_\mu \cong 1/200$ ,  $m_\mu/m_\tau \cong 1/17$ .

The first two added new important aspects to the flavour problem.

$$m_{\nu_j} \lll m_{e,\mu,\tau}, m_q, \quad q = u, c, t, d, s, b:$$

seesaw mechanism(s), Weinberg operator, radiative  $\nu$  mass generation, extra dimensions.

However, additional input (symmetries) needed to explain the pattern of lepton mixing and to get specific testable predictions.

**My talk: The Lepton Flavour Problem.**

Flavour symmetries - principal approach to the Flavour Problem  
(S. Pakvasa, H. Sugawara, 1978 ( $S_3$ ); C.D. Frogatt, H.B. Nielsen, 1979 ( $U(1)_{FN}$ )).

Vast literature; different varieties (continuous, discrete).

**My choice: Non-Abelian discrete symmetry and Modular invariance approaches to the lepton flavour problem (from bottom-up perspective).**

## The Non-Abelian Discrete Symmetry Approach

With the observed pattern of neutrino mixing Nature is sending us a Message. The Message is encoded in the values of the neutrino mixing angles, leptonic CP violation phases and neutrino masses. In my opinion, Nature gave us also a hint what the content of Nature's Message is.

## Neutrino Mixing: New Symmetry?

- $\theta_{12} = \theta_{\odot} \cong \frac{\pi}{5.4}$ ,  $\theta_{23} = \theta_{\text{atm}} \cong \frac{\pi}{4}(\text{?})$ ,  $\theta_{13} \cong \frac{\pi}{20}$

$$U_{\text{PMNS}} \cong \begin{pmatrix} \sqrt{\frac{2}{3}} & \sqrt{\frac{1}{3}} & \epsilon \\ -\sqrt{\frac{1}{6}} & \sqrt{\frac{1}{3}} & -\sqrt{\frac{1}{2}}(\text{?}) \\ -\sqrt{\frac{1}{6}} & \sqrt{\frac{1}{3}} & \sqrt{\frac{1}{2}}(\text{?}) \end{pmatrix};$$

Very different from the CKM-matrix!

- $\theta_{12} \cong \sin^{-1} \frac{1}{\sqrt{3}} (= \frac{\pi}{5}) - 0.020$ ;  $\theta_{12} \cong \pi/4 - 0.20$ ,  
 $\theta_{13} \cong 0 + \pi/20$ ,  $\theta_{23} \cong \pi/4 \mp 0.10$ .
- $U_{\text{PMNS}}$  due to new approximate symmetry?

**A Natural Possibility:**  $U_{\text{PMNS}} = U_l^\dagger U_\nu$

$$U_{\text{PMNS}} = U_l^\dagger(\theta_{ij}^\ell, \delta^\ell) \mathbf{Q}(\psi, \omega) U_{\text{TBM, BM, LC, ...}} \bar{P}(\xi_1, \xi_2),$$

with

$$U_{\text{TBM}} = \begin{pmatrix} \sqrt{\frac{2}{3}} & \sqrt{\frac{1}{3}} & 0 \\ -\sqrt{\frac{1}{6}} & \sqrt{\frac{1}{3}} & -\sqrt{\frac{1}{2}} \\ -\sqrt{\frac{1}{6}} & \sqrt{\frac{1}{3}} & \sqrt{\frac{1}{2}} \end{pmatrix}; \quad U_{\text{BM}} = \begin{pmatrix} \frac{1}{\sqrt{2}} & \pm \frac{1}{\sqrt{2}} & 0 \\ -\frac{1}{2} & \pm \frac{1}{2} & \frac{1}{\sqrt{2}} \\ \frac{1}{2} & \mp \frac{1}{2} & \frac{1}{\sqrt{2}} \end{pmatrix}.$$

- $U_{\text{lep}}^\dagger(\theta_{ij}^\ell, \delta^\ell)$  - from diagonalization of the  $l^-$  mass matrix;
- $U_{\text{TBM, BM, LC, ...}} \bar{P}(\xi_1, \xi_2)$  - from diagonalization of the  $\nu$  mass matrix;
- $\mathbf{Q}(\psi, \omega)$ , - from diagonalization of the  $l^-$  and/or  $\nu$  mass matrices.

P. Frampton, STP, W. Rodejohann, 2003

$U_{\text{LC}}, U_{\text{GRAM}}, U_{\text{GRBM}}, U_{\text{HGM}}$ :

$$U_{\text{LC}} = \begin{pmatrix} \frac{1}{\sqrt{2}} & \frac{1}{\sqrt{2}} & 0 \\ -\frac{c_{23}^\nu}{\sqrt{2}} & \frac{c_{23}^\nu}{\sqrt{2}} & s_{23}^\nu \\ \frac{s_{23}^\nu}{\sqrt{2}} & -\frac{s_{23}^\nu}{\sqrt{2}} & c_{23}^\nu \end{pmatrix}; \quad \mu - \tau \text{ symmetry: } \theta_{23}^\nu = \mp \pi/4;$$

$$U_{\text{GR}} = \begin{pmatrix} c_{12}^\nu & s_{12}^\nu & 0 \\ -\frac{s_{12}^\nu}{\sqrt{2}} & \frac{c_{12}^\nu}{\sqrt{2}} & -\sqrt{\frac{1}{2}} \\ -\frac{s_{12}^\nu}{\sqrt{2}} & \frac{c_{12}^\nu}{\sqrt{2}} & \sqrt{\frac{1}{2}} \end{pmatrix}; \quad U_{\text{HGM}} = \begin{pmatrix} \frac{\sqrt{3}}{2} & \frac{1}{2} & 0 \\ -\frac{1}{2\sqrt{2}} & \frac{\sqrt{3}}{2\sqrt{2}} & -\frac{1}{\sqrt{2}} \\ -\frac{1}{2\sqrt{2}} & \frac{\sqrt{3}}{2\sqrt{2}} & \frac{1}{\sqrt{2}} \end{pmatrix}, \quad \theta_{12}^\nu = \pi/6.$$

$U_{\text{GRAM}}$ :  $\sin^2 \theta_{12}^\nu = (2 + r)^{-1} \cong 0.276$ ,  $r = (1 + \sqrt{5})/2$

**(GR:**  $r/1$ ;  $a/b = a + b/a$ ,  $a > b$ )

$U_{\text{GRBM}}$ :  $\sin^2 \theta_{12}^\nu = (3 - r)/4 \cong 0.345$ .

**GRB and HG mixing:** W. Rodejohann et al., 2009.



$U_{\text{TBM(BM)}}$ : Groups  $A_4, T', S_4 (S_4), \dots$  (vast literature)

(Reviews: G. Altarelli, F. Feruglio, arXiv:1002.0211; M. Tanimoto et al., arXiv:1003.3552;  
S. King and Ch. Luhn, arXiv:1301.1340)

•  $U_{\text{GRA}}$ : Group  $A_5, \dots$ ;  $s_{13}^2 = 0$  and possibly  $s_{12}^2 = 0.276$   
and  $s_{23}^2 = 1/2$  must be corrected.

L. Everett, A. Stuart, arXiv:0812.1057;...

•  $U_{\text{LC}}$ : alternatively  $U(1)$ ,  $L' = L_e - L_\mu - L_\tau$

S.T.P., 1982

•  $U_{\text{LC}}$ :  $s_{12}^2 = 1/2$ ,  $s_{13}^2 = 0$ ,  $s_{23}^\nu$  - free parameter;  
 $s_{13}^2 = 0$  and  $s_{12}^2 = 1/2$  must be corrected.

•  $U_{\text{GRB}}$ : Group  $D_{10}, \dots$ ;  $s_{13}^2 = 0$  and possibly  $s_{12}^2 = 0.345$  and  $s_{23}^2 = 1/2$  must be corrected.

•  $U_{\text{HG}}$ : Group  $D_{12}, \dots$ ;  $s_{13}^2 = 0$ ,  $s_{12}^2 = 0.25$  and possibly  $s_{23}^2 = 1/2$  must be corrected.

For all symmetry forms considered we have:  $\theta_{13}^\nu = 0$ ,  $\theta_{23}^\nu = \mp \pi/4$ .

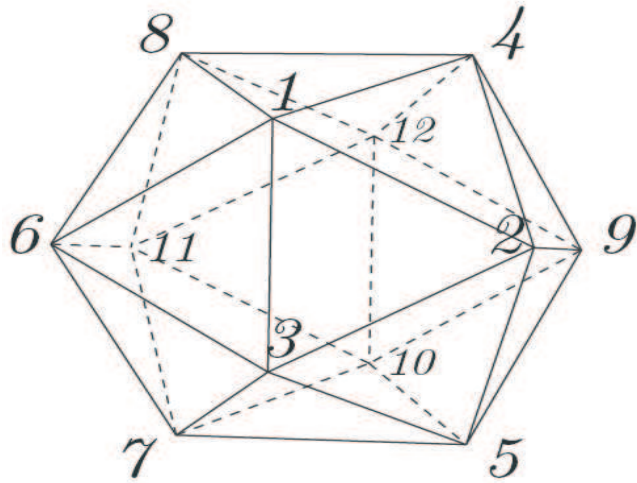
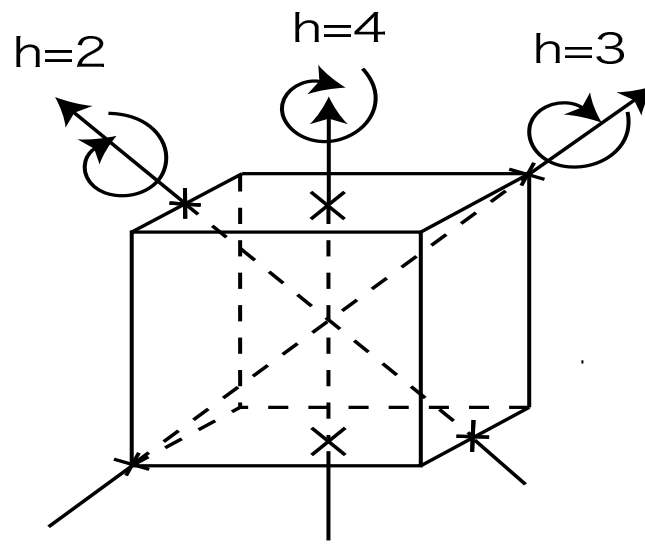
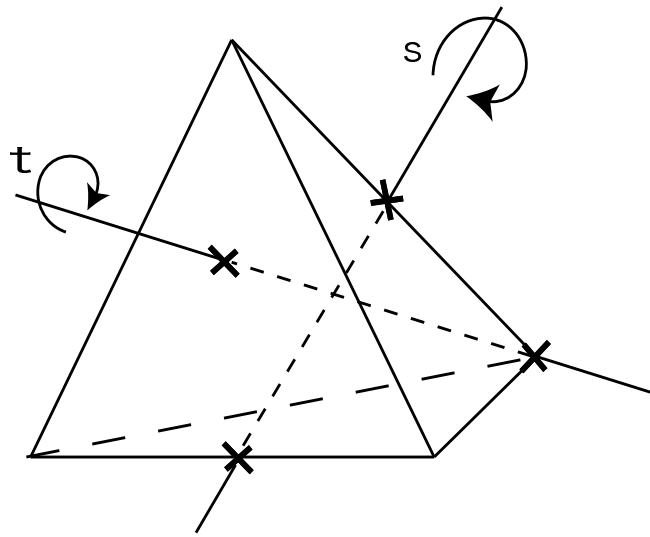
They differ by the value of  $\theta_{12}^\nu$ :

TBM, BM, GRA, GRB and HG forms correspond to  $\sin^2 \theta_{12}^\nu = 1/3; 0.5; 0.276; 0.345; 0.25$ .

The observed pattern of 3- $\nu$  mixing, two large and one small mixing angles,  
 $\theta_{12} \cong 33^\circ$ ,  $\theta_{23} \cong 45^\circ \pm 6^\circ$  **and**  $\theta_{13} \cong 8.4^\circ$ ,  
can most naturally be explained by extending the  
Standard Model (SM) with a flavour symmetry cor-  
responding to a non-Abelian discrete (finite) group  
 $G_f$ .

$$G_f = A_4, T', S_4, A_5, D_{10}, D_{12}, \dots$$

Vast literature; reviews: G. Altarelli, F. Feruglio, 1002.0211; H. Ishimori et al., 1003.3552; M. Tanimoto, AIP Conf.Proc. 1666 (2015) 120002; S. King and Ch. Luhn, 1301.1340; D. Meloni, 1709.02662; STP, 1711.10806



Examples of symmetries:  $A_4$ ,  $S_4$ ,  $A_5$

From M. Tanimoto et al., arXiv:1003.3552

Group	Number of elements	Generators	Irreducible representations
$S_4$	24	$S, T (U)$	$1, 1', 2, 3, 3'$
$S'_4$	48	$S, T (R)$	$1, 1', 2, 3, 3', \hat{1}, \hat{1}', \hat{2}, \hat{3}, \hat{3}'$
$A_4$	12	$S, T$	$1, 1', 1'', 3$
$T'$	24	$S, T (R)$	$1, 1', 1'', 2, 2', 2'', 3$
$A_5$	60	$\tilde{S}, \tilde{T}$	$1, 3, 3', 4, 5$
$A'_5$	120	$\tilde{S}, \tilde{T}$	$1, 3, 3', 4, 5, \hat{2}, \hat{2}', \hat{4}, \hat{6}.$

**Number of elements, generators and irreducible representations of  $S_4$ ,  $S'_4$ ,  $A_4$ ,  $A'_4 \equiv T'$ ,  $A_5$  and  $A'_5$  discrete groups.**

## Predictions and Correlations

$$U_\nu = U_{\text{TBM,BM,GRA,GRB,HG}} \bar{P}(\xi_1, \xi_2); \quad \theta_{12}^\nu;$$

$$U_\ell^\dagger = R_{12}(\theta_{12}^\ell) Q, \quad Q = \text{diag}(e^{i\varphi}, 1, 1); \quad \theta_{12}^\ell, \varphi$$

(the “minimal” = simplest case ( $SU(5) \times T', \dots$ ))

$$U_\ell^\dagger = R_{12}(\theta_{12}^\ell) R_{23}(\theta_{23}^\ell) Q, \quad Q = \text{diag}(1, e^{-i\psi}, e^{-i\omega}),$$

(next-to-minimal case):  $\theta_{12}^\ell, \hat{\theta}_{23}^\ell, \phi$

$$\theta_{12}, \theta_{23}, \theta_{13}, \delta \text{ in terms of } \theta_{12}^\ell, \hat{\theta}_{23}^\ell, \phi + \theta_{12}^\nu$$

$$\cos \delta = \cos \delta(\theta_{12}, \theta_{23}, \theta_{13}; \theta_{12}^\nu, \dots),$$

$$J_{CP} = J_{CP}(\theta_{12}, \theta_{23}, \theta_{13}, \delta) = J_{CP}(\theta_{12}, \theta_{23}, \theta_{13}; \theta_{12}^\nu, \dots),$$

$\theta_{12}^\nu, \dots$  - known (fixed) parameters, depend on the underlying symmetry.

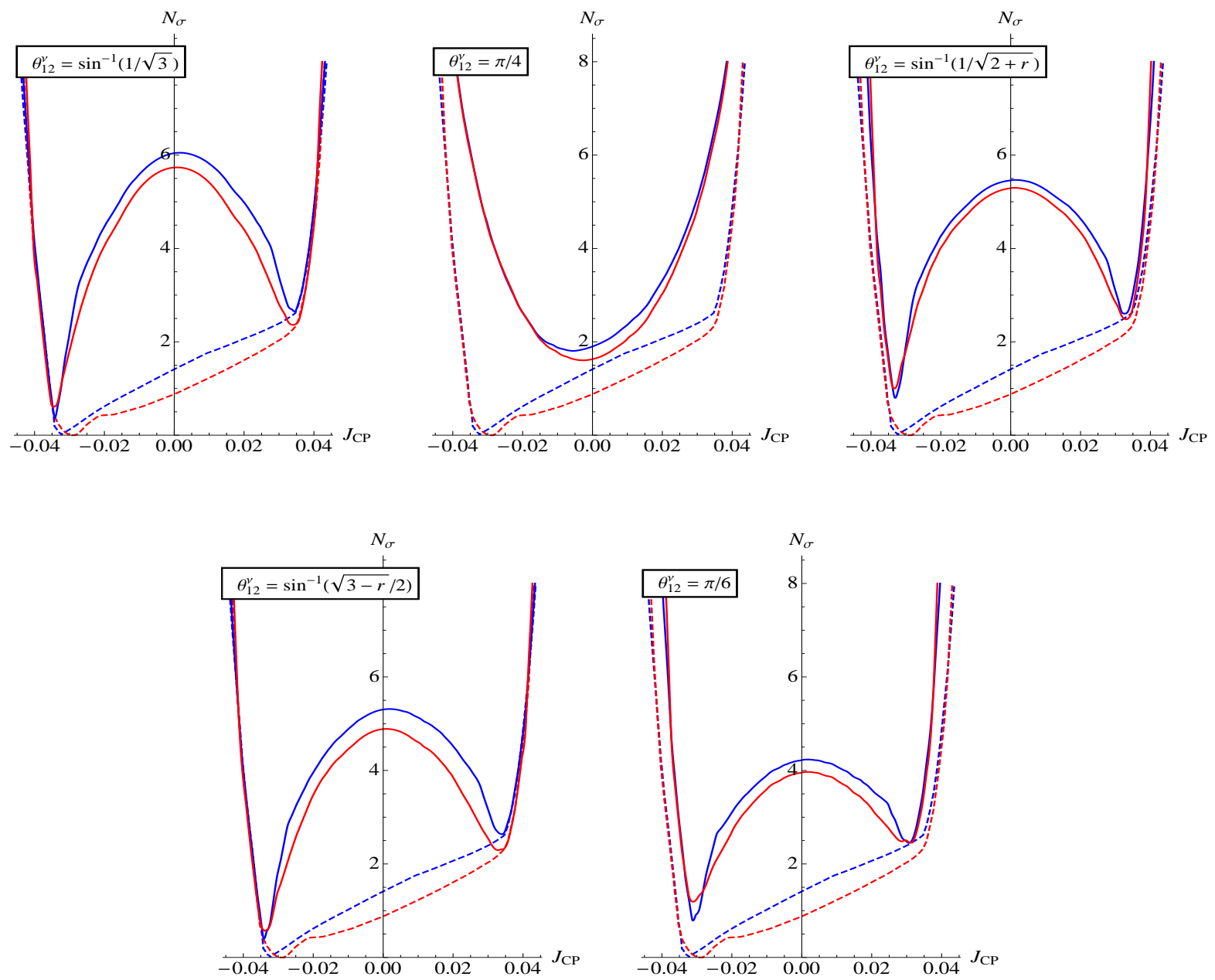
For arbitrary fixed  $\theta_{12}^\nu$  and any  $\theta_{23}$   
(“minimal” and “next-to-minimal” cases):

$$\cos \delta = \frac{\tan \theta_{23}}{\sin 2\theta_{12} \sin \theta_{13}} \left[ \cos 2\theta_{12}^\nu + (\sin^2 \theta_{12} - \cos^2 \theta_{12}^\nu) (1 - \cot^2 \theta_{23} \sin^2 \theta_{13}) \right] .$$

S.T.P., arXiv:1405.6006

This results is exact.

“Minimal” case:  $\sin^2 \theta_{23} = \frac{1}{2} \frac{1 - 2 \sin^2 \theta_{13}}{1 - \sin^2 \theta_{13}} .$



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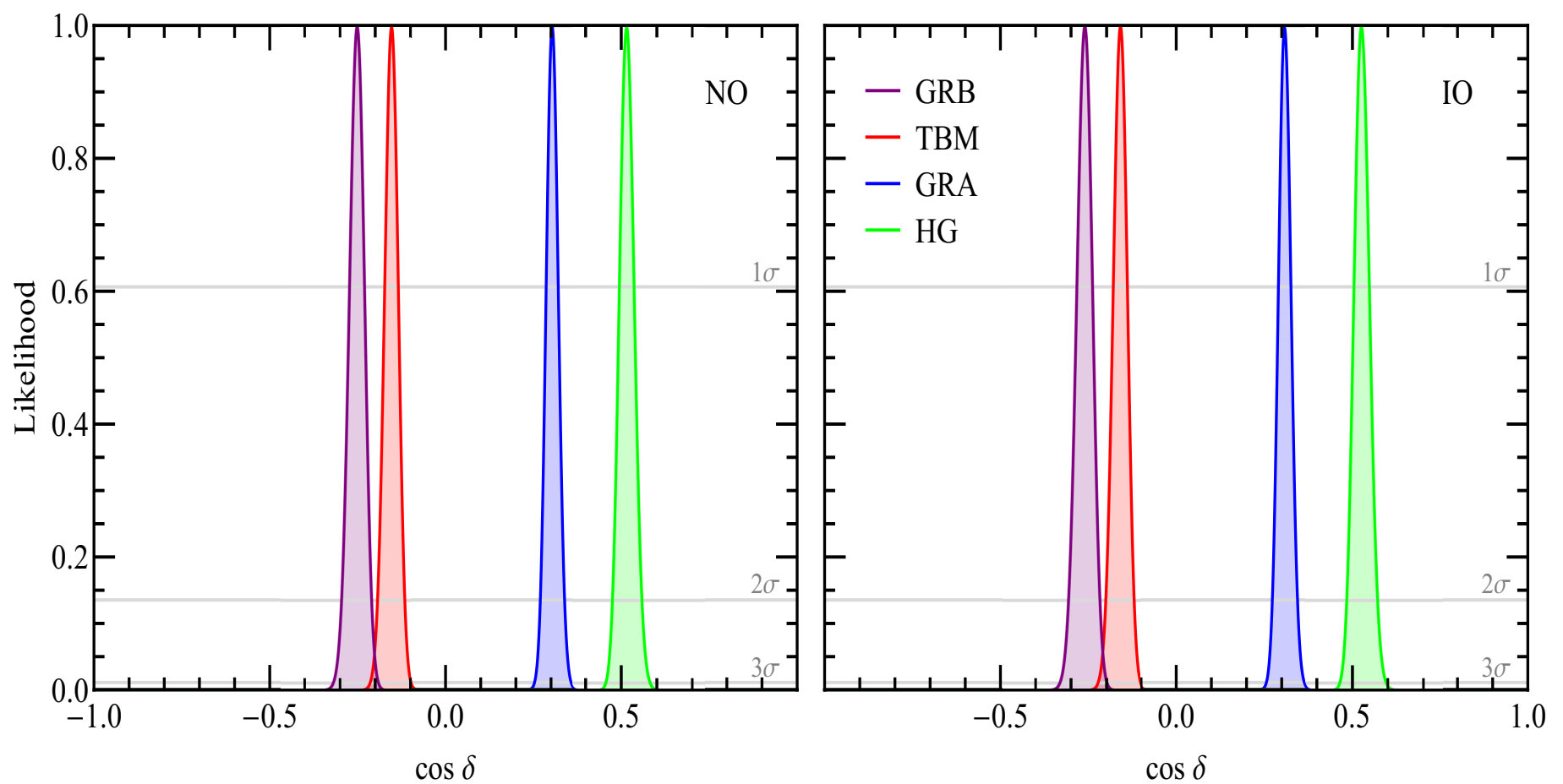


## Prospective precision:

$$\delta(\sin^2 \theta_{12}) = 0.7\% \text{ (JUNO)},$$

$$\delta(\sin^2 \theta_{13}) = 3\% \text{ (Daya Bay)},$$

$$\delta(\sin^2 \theta_{23}) = 5\% \text{ (T2K, NO}\nu\text{A combined)}.$$



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**b.f.v. of  $\sin^2 \theta_{ij}$  (Esteban et al., Jan., 2018) + the prospective precision used.**

$$\cos \delta = \frac{\tan \theta_{23}}{\sin 2\theta_{12} \sin \theta_{13}} \left[ \cos 2\theta_{12}^\nu + (\sin^2 \theta_{12} - \cos^2 \theta_{12}^\nu) (1 - \cot^2 \theta_{23} \sin^2 \theta_{13}) \right].$$

**$\delta(\sin^2 \theta_{23}) = 3\%$  (T2HK, DUNE).**

## How does it Work.

Choose  $G_f$ .

$\nu_{eL}(x), \nu_{\mu L}(x), \nu_{\tau L}(x)$ : assigned to  $\rho^{(\nu)}(g_f)$  - irreducible representation of  $G_f$ , where  $g_f$  is an element of  $G_f$ .

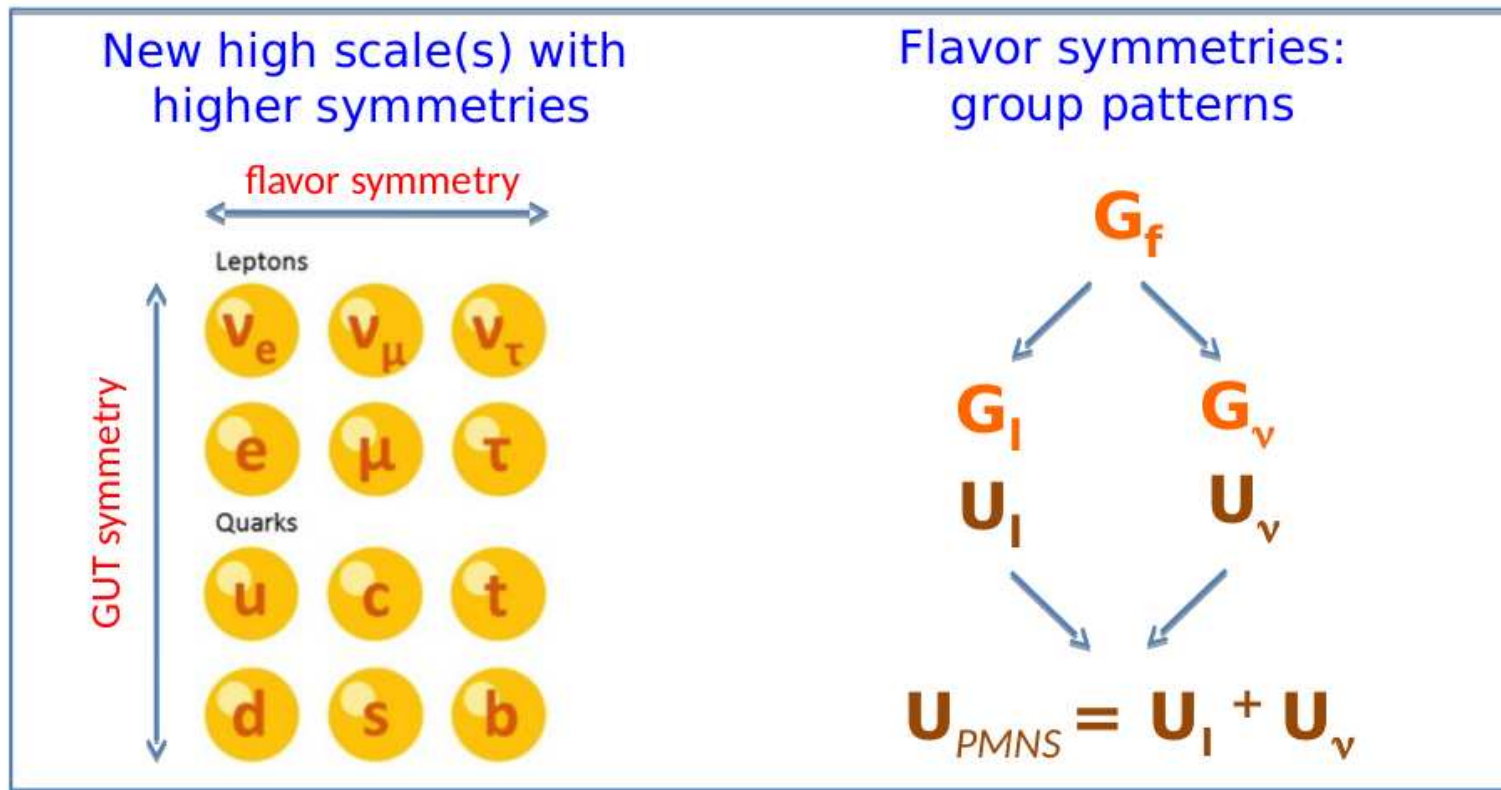
$e_L(x), \mu_L(x), \tau_L(x)$ : assigned to  $\rho^{(e)}(g_f)$  - IRREP of  $G_f$ .

$G_f = S_4, A_4, T', A_5$ :  $\rho^{(\nu)}(g_f), \rho^{(e)}(g_f)$  - **triplet IRREP**.

$e_R(x), \mu_R(x), \tau_R(x)$ : singlets of  $G_f$ .

# How Does it Work

## Model building with symmetries



$\nu_j$ , Majorana mass term,  $m_j \neq m_k$ ,  $j \neq k = 1, 2, 3$ :  $G_\nu = Z_2 \times Z_2$ ,  $Z_2$  E. Lisi, TAUP 2019

$G_e = Z_2$ ;  $Z_n$ ,  $n > 2$ ;  $Z_n \times Z_m$ ,  $n, m \geq 2$

$M_e$  - charged lepton mass matrix (L-R convention).

$$U_e: U_e^\dagger M_e M_e^\dagger U_e = \text{diag}(m_e^2, m_\mu^2, m_\tau^2).$$

$G_e$  - residual symmetry group of  $M_e M_e^\dagger$ :

$$\rho^{(e)}(g_e)^\dagger M_e M_e^\dagger \rho(g_e) = M_e M_e^\dagger,$$

$\rho^{(e)}(g_e)$  generator(s) of  $G_e$  in the triplet rep.

$\rho^{(e)}(g_e)$  and  $M_e M_e^\dagger$  commute: both are diagonalised by  $U_e$ .

$\rho^{(e)}(g_e)$  - known! Thus,  $U_e$  - fixed!

$M_\nu$  - neutrino Majorana mass matrix (R-L convention).

$$U_\nu: U_\nu^T M_\nu U_\nu = \text{diag}(m_1, m_2, m_3).$$

$G_\nu$  - residual symmetry group of  $M_\nu$ :

$$\rho(g_\nu)^T M_\nu \rho(g_\nu) = M_\nu,$$

$g_\nu$ : an element of  $G_\nu$ ,

$\rho(g_\nu)$  generator of  $G_\nu$  in the triplet repr.

$\rho(g_\nu)$  and  $M_\nu^\dagger M_\nu$  commute: both are diagonalised by  $U_\nu$ .

$\rho(g_\nu)$  - known! Thus,  $U_\nu$ -fixed.

$$U_{\text{PMNS}} = U_e^\dagger U_\nu$$

$$A_4: G_e = Z_3^T = \{1, T, T^2\}, G_\nu = Z_2^S = \{1, S\}$$

$$(S^2 = T^3 = (ST)^3 = \mathbf{I})$$

$$S = \frac{1}{3} \begin{pmatrix} -1 & 2 & 2 \\ 2 & -1 & 2 \\ 2 & 2 & -1 \end{pmatrix}, T = \begin{pmatrix} 1 & 0 & 0 \\ 0 & \omega & 0 \\ 0 & 0 & \omega^2 \end{pmatrix}, \omega = e^{i2\pi\tau/3} \quad (\text{A} - \text{F}).$$

$$U_e = \mathbf{I}, U_{\text{PMNS}} = U_e^\dagger U_\nu = U_{\text{TBM}} U_{13}(\theta_{13}^\nu, \alpha), \theta_{13}^\nu, \alpha - \text{free.}$$

W. Grimus, L. Lavoura, 2008

$$\sin^2 \theta_{12} = \frac{1}{3(1 - \sin^2 \theta_{13})} \cong 0.34;$$

$$\cos \delta = \frac{\cos 2\theta_{23} \cos 2\theta_{13}}{\sin 2\theta_{23} \sin \theta_{13} (2 - 3 \sin^2 \theta_{13})^{\frac{1}{2}}}; \text{ if } \theta_{23} = \frac{\pi}{4}, \delta = \pm \frac{\pi}{2}.$$

## Examples of Predictions and Correlations II.

- $\sin^2 \theta_{23} = \frac{1}{2}$ .
- $\sin^2 \theta_{23} \cong \frac{1}{2} (1 \mp \sin^2 \theta_{13}) + O(\sin^4 \theta_{13}) \cong \frac{1}{2} (1 \mp 0.022)$ .
- $\sin^2 \theta_{23} = 0.455; 0.463; 0.537; 0.545; 0.604$ .
- $\sin^2 \theta_{12} \cong \frac{1}{3} (1 + \sin^2 \theta_{13}) + O(\sin^4 \theta_{13}) \cong 0.340$ .
- $\sin^2 \theta_{12} \cong \frac{1}{3} (1 - 2 \sin^2 \theta_{13}) + O(\sin^4 \theta_{13}) \cong 0.319$ .
- **and/or**  $\cos \delta = \cos \delta(\theta_{12}, \theta_{23}, \theta_{13}; \theta_{12}^\nu, \dots)$ ,  
 $J_{\text{CP}} = J_{\text{CP}}(\theta_{12}, \theta_{23}, \theta_{13}, \delta) = J_{\text{CP}}(\theta_{12}, \theta_{23}, \theta_{13}; \theta_{12}^\nu, \dots)$ ,  
 $\theta_{12}^\nu, \dots$  - **known (fixed) parameters, depend on the underlying symmetry.**

**The Approach is testable/falsifiable experimentally!**



The measurement of the Dirac phase in the PMNS mixing matrix, together with an improvement of the precision on the mixing angles  $\theta_{12}$ ,  $\theta_{13}$  and  $\theta_{23}$ , can provide unique information about the possible existence of new fundamental symmetry in the lepton sector.

**Prospective (useful/requested) precision:**

$$\delta(\sin^2 \theta_{12}) = 0.7\% \text{ (JUNO),}$$

$$\delta(\sin^2 \theta_{13}) = 3\% \text{ (Daya Bay),}$$

$$\delta(\sin^2 \theta_{23}) = 3\% \text{ (T2HK, DUNE; T2K+NO}\nu\text{A(?)).}$$

$$\delta(\delta) = 10^\circ \text{ at } \delta = 3\pi/2$$

(THKK?; DUNE: accounting for both the 1st and 2nd probability maxima, Jogesh Rout, Poonam Mehta et al., PRD 2021, S. Goswami et al., 2012.04958; ESSnuSB)

# The Power of Data

**Systematic analysis (I. Girardi *et al.*):**  
all possible combinations of residual symmetries  $G_e$  and  $G_\nu$  of the lepton flavour symmetry groups  $G_f = S_4, A_4, T'$  and  $A_5$ , leading to correlations between some of the three neutrino mixing angles and/or between the neutrino mixing angles and the Dirac CPV phase  $\delta$ , were considered.

- (A)**  $G_e = Z_2$  and  $G_\nu = Z_k, k > 2$  or  $Z_m \times Z_n, m, n \geq 2$ ;
- (B)**  $G_e = Z_k, k > 2$  or  $Z_m \times Z_n, m, n \geq 2$  and  $G_\nu = Z_2$ ;
- (C)**  $G_e = Z_2$  and  $G_\nu = Z_2$ .

**In these cases  $U_e^\dagger$  and/or  $U_\nu$  of  $U = U_e^\dagger U_\nu = (\tilde{U}_e)^\dagger \psi \tilde{U}_\nu Q_0$ , are partially (or fully) determined by residual discrete symmetries of  $G_f = S_4, A_4, T'$  and  $A_5$ .**

## More specifically:

**A.**  $G_e = Z_2$ ,  $G_\nu = Z_n$ ,  $n > 2$  **or**  $Z_n \times Z_m$ ,  $n, m \geq 2$ ;  
 $U_\nu$  **fixed**; **A1, A2 (A3):**  
 $\theta_{23}$ ,  $\cos \delta$  ( $\theta_{12}$ ,  $\theta_{13}$ ) **predicted**.

**B.**  $G_e = Z_n$ ,  $n > 2$  **or**  $G_e = Z_n \times Z_m$ ,  $n, m \geq 2$ ,  $G_\nu = Z_2$ ;  
 $U_e$  **fixed**; **B1, B2 (B3):**  
 $\theta_{12}$ ,  $\cos \delta$  ( $\theta_{23}$ ,  $\theta_{13}$ ) **predicted**.

**C.**  $G_e = Z_2$  **and**  $G_\nu = Z_2$ ;  
 $\theta_{12}$  **or**  $\theta_{23}$  **or**  $\cos \delta$  **predicted**.

**For  $A_4$ ,  $S_4$  and  $A_5$  the total number of models to be analysed is extremely large. However, a total of only 14 models survive the  $3\sigma$  constraints on  $\sin^2 \theta_{ij}$  from the current data and the requirement  $|\cos \delta| \leq 1$ .**

$$G_f = A_4, S_4, T', A_5.$$

$A_4$ : 3  $Z_2$ , 4  $Z_3$ , 1  $Z_2 \times Z_2$  subgroups (total 8).

$T'$ : similar to  $A_4$ .

$S_4$ : 9  $Z_2$ , 4  $Z_3$ , 3  $Z_4$ , 4  $Z_2 \times Z_2$  subgroups (total 20).

$A_5$ : has 15  $Z_2$ , 10  $Z_3$ , 6  $Z_5$ , 5  $Z_2 \times Z_2$  subgroups (36).

In the case of  $A_4$  ( $T'$ ) symmetry only there are 64 models (up to permutation of rows and columns).

$A_4$ :

$$(G_e, G_\nu) = (Z_2, Z_3), \text{ A1 - A3};$$

$$(G_e, G_\nu) = (Z_2, Z_2), \text{ A1 - A3};$$

$$(G_e, G_\nu) = (Z_3, Z_2), \text{ B1 - B3};$$

$$(G_e, G_\nu) = (Z_2 \times Z_2, Z_2), \text{ B1 - B3};$$

$$(G_e, G_\nu) = (Z_2, Z_2), \text{ C1 - C9}.$$

For  $A_4$ ,  $S_4$  and  $A_5$  the total number of models to be analysed is extremely large. However, a total of only 14 models survive the  $3\sigma$  constraints on  $\sin^2 \theta_{ij}$  from the current data and the requirement  $|\cos \delta| \leq 1$ .

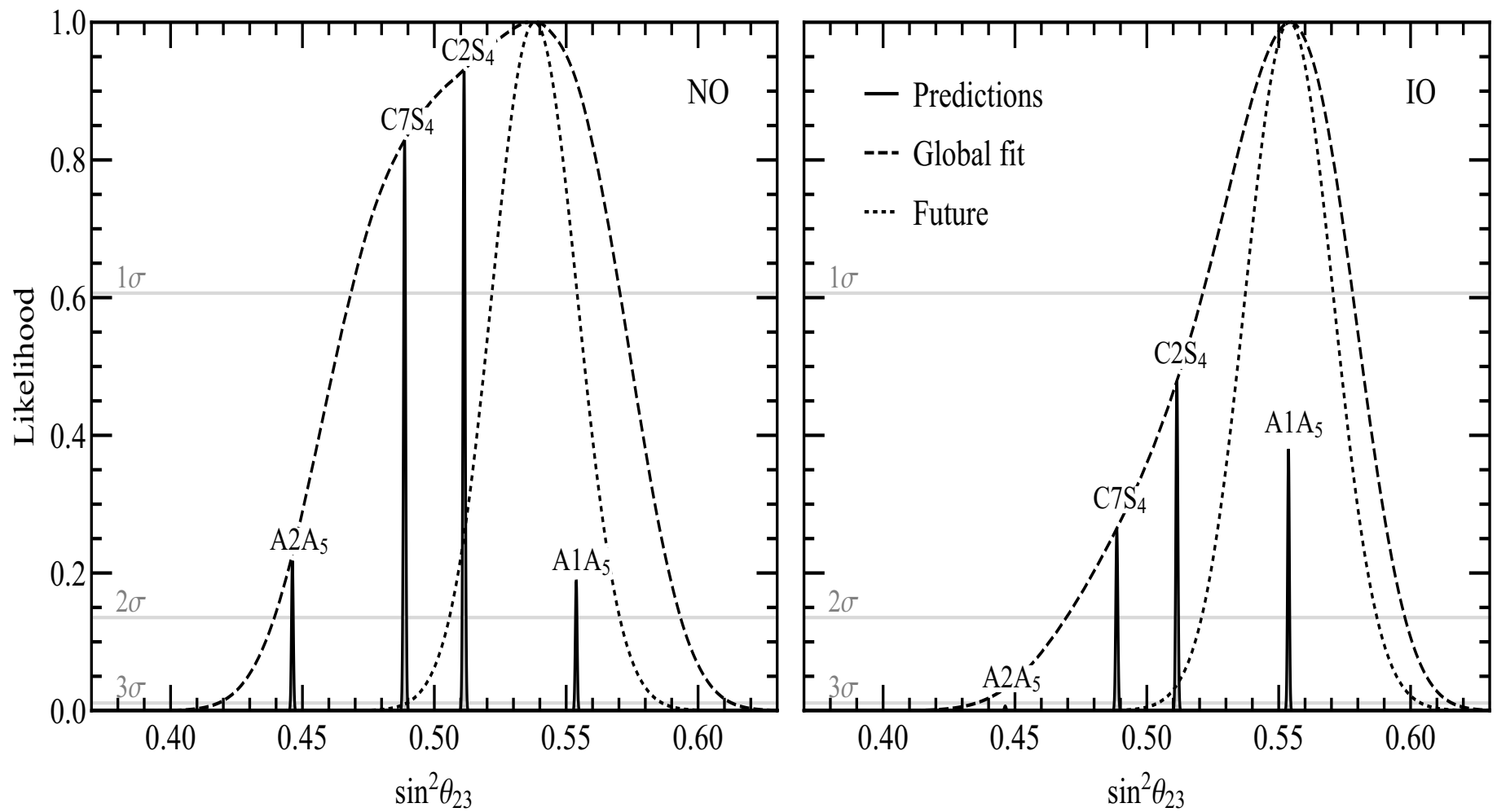
## Phenomenologically Viable Predictions

**A1 (A2),  $A_5$**  ( $G_e = Z_2$ ,  $G_\nu = Z_3$  (**Dirac**  $\nu_j$ )):  $\sin^2 \theta_{23} \cong 0.553$  (0.447);  $\cos \delta \cong 0.716$  ( $-0.716$ ).

**A1,  $S_4$** :  $\sin^2 \theta_{23} \cong 0.5(1 - \sin^2 \theta_{13}) \cong 0.489$ ;  
 $\cos \delta \cong -1$  **requires**  $\sin^2 \theta_{12} \cong 0.348$  (!)

**B1,  $A_4$  ( $T'$ ,  $S_4$ ,  $A_5$ )** ( $G_e = Z_3^T$ ,  $G_\nu = Z_2^S$ ):  
 $U_{\text{PMNS}} = U_{\text{TBM}} U_{13}(\theta_{13}^\nu, \delta_{13}) Q_0$ ;  
 $\sin^2 \theta_{12} = 1/(3 \cos^2 \theta_{13}) \cong 0.340$ ;  $\cos \delta \cong 0.570$ .

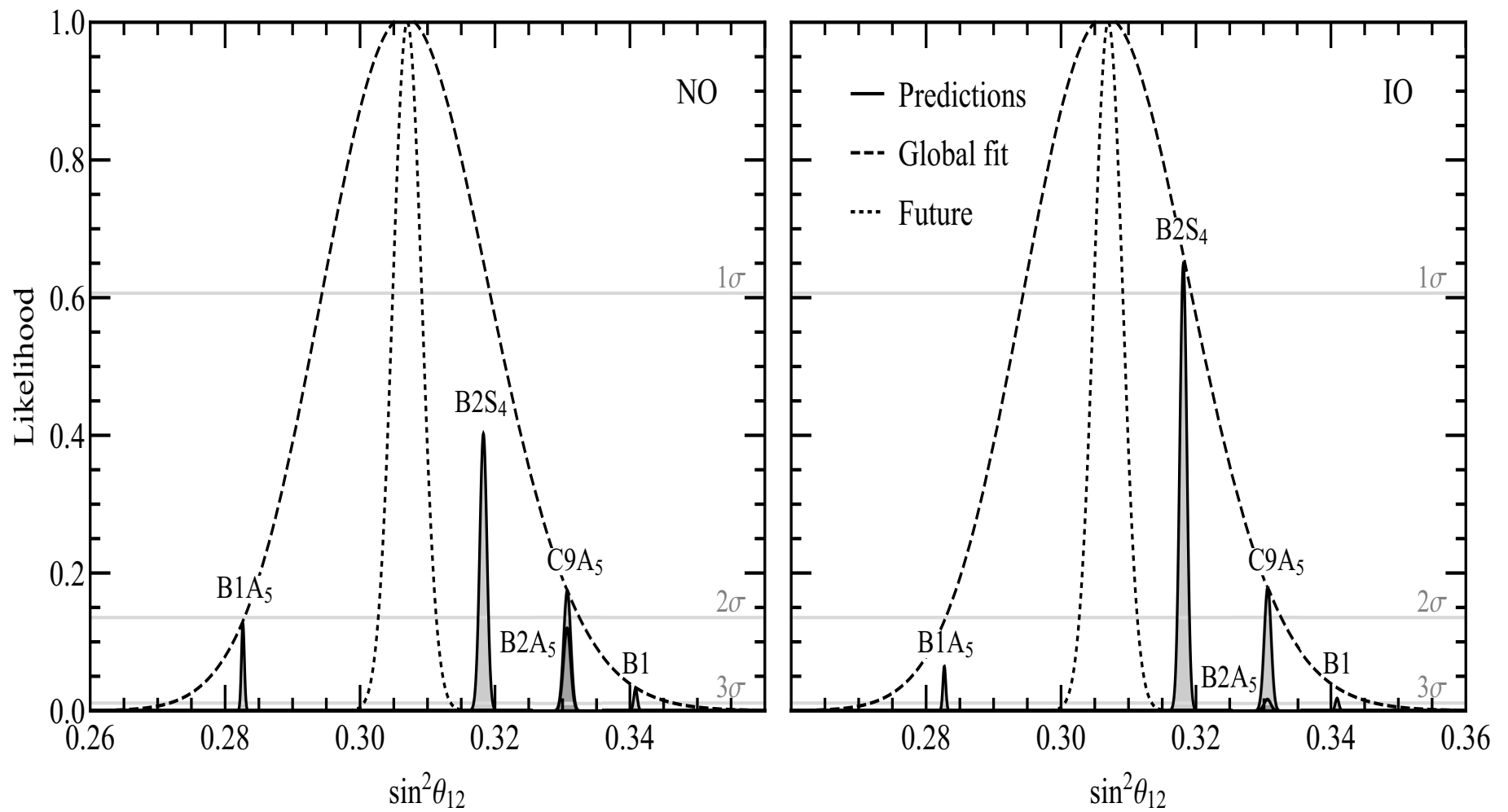
**B2,  $S_4$**  ( $G_e = Z_3^T$ ,  $G_\nu = Z_2^{SU}$ ):  
 $\sin^2 \theta_{12} \cong (1 - 2 \sin^2 \theta_{13})/3 = 0.319$ ;  $\cos \delta \cong -0.269$ .



S.T.P., A. Titov, arXiv:1804.00182

**Future:  $\delta(\sin^2 \theta_{23}) = 3\%$  (T2HK, DUNE).**





S.T.P., A. Titov, arXiv:1804.00182

**Future:  $\delta(\sin^2\theta_{12}) = 0.7\%$  (JUNO).**

A total of 6 models would survive out of the currently viable 14 (of the extremely large number) considered if  $\delta(\sin^2 \theta_{23}) = 3\%$ ,  $\delta(\sin^2 \theta_{12}) = 0.7\%$  and the current b.f.v. would not change:

**A1A<sub>5</sub>, C3, C3A<sub>5</sub>, C4A<sub>5</sub>, C8, C2S<sub>4</sub>.**

Will be constrained further by the data on  $\delta$ .

# The Problem

The correct lepton mixing pattern in a model with non-Abelian discrete symmetry  $G_f$  is determined by the appropriate choice of residual symmetries  $G_e$  and  $G_\nu$  and is not directly related to the charged lepton and neutrino mass generation.

The breaking of  $G_f$  has to ensure the correct generation of the fermion masses and keep  $G_e$  and  $G_\nu$  intact.

The symmetry breaking in the lepton and quark flavour models based on non-Abelian discrete symmetries is impressively complicated: it requires the introduction of a plethora of “flavon” scalar fields having elaborate potentials, which in turn require large shaping symmetries to ensure the requisite breaking of the symmetry leading to correct mass and mixing patterns.

# The Flavour Problem: Modular Invariance Approach

Modular invariance approach to the flavour problem was proposed in F. Feruglio, arXiv:1706.08749 and has been intensively developed in the last five years.

In this approach the flavour (modular) symmetry is broken by the vacuum expectation value (VEV) of a single scalar field - the modulus  $\tau$ . The VEV of  $\tau$  can also be the only source of violation of the CP symmetry.

Many (if not all) of the drawbacks of the widely studied alternative approaches are absent in the modular invariance approach to the flavour problem.

The first phenomenologically viable “minimal” (in terms of fields, i.e., without flavons) lepton flavour model based on modular symmetry appeared in June of 2018 (J.T. Penedo, STP, arXiv:1806.11040). Since then various aspects of this approach were and continue to be extensively studied – the number of publications on the topic exceeds 180.

# Matter Fields and Modular Forms

The matter(super)fields (charged lepton, neutrino, quark) transform under  $\bar{\Gamma} \simeq PSL(2, \mathbb{Z}) = SL(2, \mathbb{Z})/\mathbb{Z}_2$ ,  $\mathbb{Z}_2 = \{I, -I\}$  ( $\Gamma \simeq SL(2, \mathbb{Z})$ ) as "weighted" multiplets:

$$\psi_i \xrightarrow{\gamma} (c\tau + d)^{-k_\psi} \rho_{ij}(\tilde{\gamma}) \psi_j, \gamma \in \bar{\Gamma} \ (\gamma \in \Gamma),$$

$$\left( \gamma\tau = \frac{a\tau + b}{c\tau + d}, \gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix}, a, b, c, d \in \mathbb{Z}, ad - bc = 1, \text{Im}\tau > 0 \right)$$

$k_\psi$  is the weight of  $\psi$ ;  $k_\psi \in \mathbb{Z}$  (or rational number).

$\Gamma(N)$  - principal congruence (normal) subgroup of  $SL(2, \mathbb{Z})$ .

$\rho(\tilde{\gamma})$  is a unitary representation of the inhomogeneous (homogeneous) finite modular group  $\Gamma_N = \bar{\Gamma}/\bar{\Gamma}(N)$  ( $\Gamma'_N = \Gamma/\Gamma(N)$ ),  $\tilde{\gamma}$  - representation of  $\gamma$  in  $\Gamma_N$  ( $\Gamma'_N$ )

F. Feruglio, arXiv:1706.08749; S. Ferrara et al., Phys.Lett. B233 (1989) 147, B225 (1989) 363

As we have indicated in brackets, one can consider also the case of  $\Gamma$  and  $\gamma \in \Gamma(N)$ . Then  $\rho(\gamma)$  will be a unitary representation of the homogeneous finite modular group  $\Gamma'_N$ .

**Remarkably, for  $N \leq 5$ , the inhomogeneous finite modular groups  $\Gamma_N$  are isomorphic to non-Abelian discrete groups widely used in flavour model building:**

**$\Gamma_2 \simeq S_3$ ,  $\Gamma_3 \simeq A_4$ ,  $\Gamma_4 \simeq S_4$  and  $\Gamma_5 \simeq A_5$ .**

**$\Gamma_N$  is presented by two generators  $S$  and  $T$  satisfying:**

$$S^2 = (ST)^3 = T^N = I.$$

**The group theory of  $\Gamma_2 \simeq S_3$ ,  $\Gamma_3 \simeq A_4$ ,  $\Gamma_4 \simeq S_4$  and  $\Gamma_5 \simeq A_5$  is summarized, e.g., in P.P. Novichkov *et al.*, JHEP 07 (2019) 165, arXiv:1905.11970.**

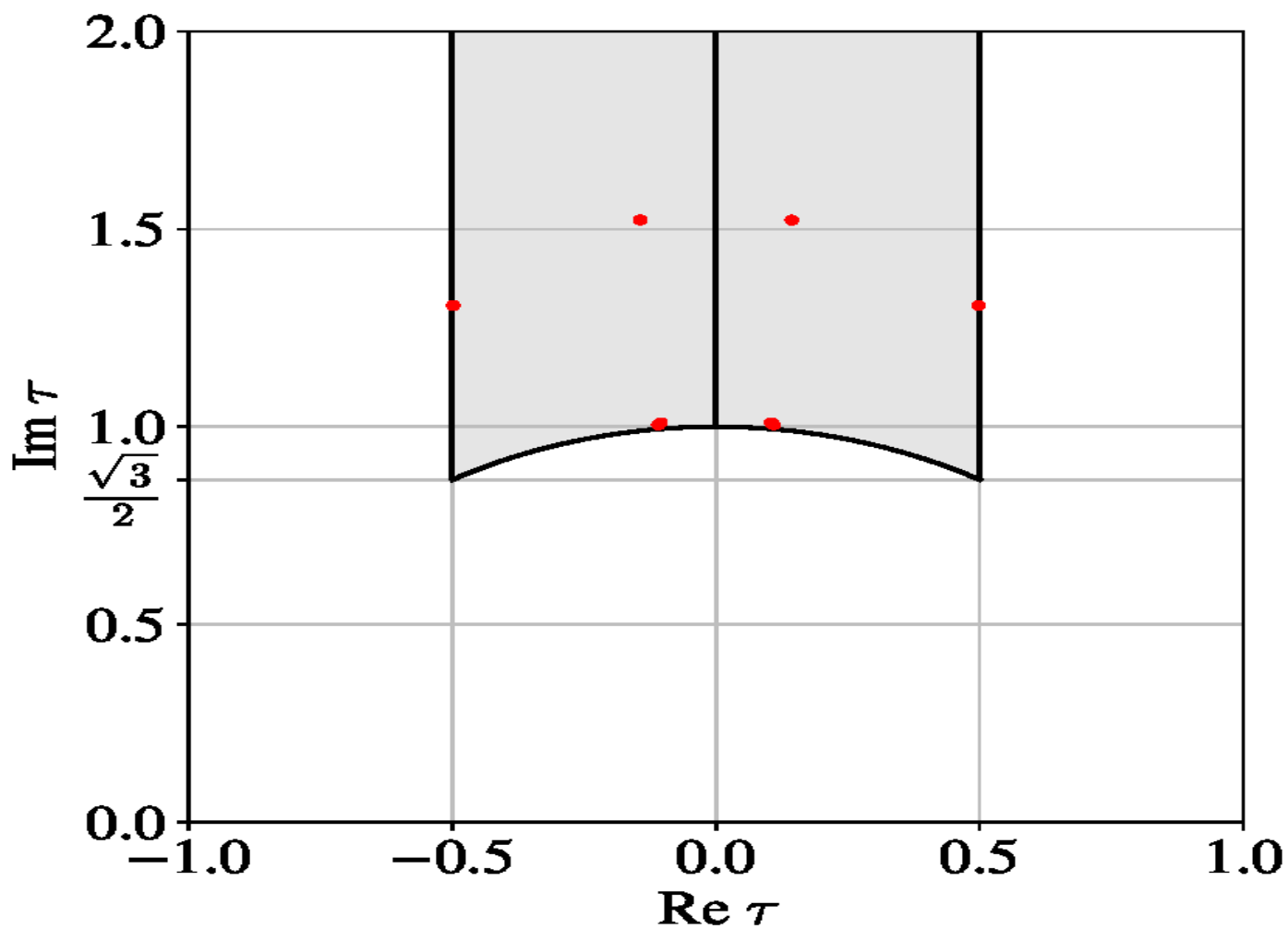
**$\Gamma \simeq SL(2, \mathbb{Z})$  – homogeneous modular group,  $\Gamma(N)$  and the quotient groups  $\Gamma'_N \equiv \Gamma/\Gamma(N)$  – homogeneous finite modular groups. For  $N = 3, 4, 5$ ,  $\Gamma'_N$  are isomorphic to the double covers of the corresponding non-Abelian discrete groups:**

**$\Gamma'_3 \simeq A'_4 \equiv T'$ ,  $\Gamma'_4 \simeq S'_4$  and  $\Gamma'_5 \simeq A'_5$ .**

**$\Gamma'_N$  is presented by two generators  $S$  and  $T$  satisfying:**

$$S^4 = (ST)^3 = T^N = I, \quad S^2 T = T S^2 \quad (S^2 = R).$$

**The group theory of  $\Gamma'_3 \simeq A'_4$ ,  $\Gamma'_4 \simeq S'_4$  and  $\Gamma'_5 \simeq A'_5$  for flavour model building was developed in X.-G. Liu, G.-J. Ding, arXiv:1907.01488 ( $A'_4$ ); P.P. Novichkov *et al.*, arXiv:2006.03058 ( $S'_4$ ); C.-Y. Yao *et al.*, arXiv:2011.03501 ( $A'_5$ ).**



The Fundamental Domain of  $\bar{\Gamma}$  ( $\Gamma$ ) shown for  $\text{Im}\tau \leq 2$  (the red dots correspond to solutions of the lepton flavour problem, see further).

P.P. Novichkov, J.T. Penedo, STP, A.V. Titov, arXiv:1811.04933.

# Modular Forms

Within the considered framework the elements of the Yukawa coupling and fermion mass matrices in the Lagrangian of the theory are expressed in terms of modular forms of a certain level  $N$  and weight  $k_f$ .

The modular forms are functions of a single complex scalar field – the modulus  $\tau$  – and have specific transformation properties under the action of the modular group.

Both the modular forms of given level  $N$  and weight  $k_f$  and the matter fields (supermultiplets) are assumed to transform in representations of an inhomogeneous (homogeneous) finite modular group  $\Gamma_N^{(\iota)}$ .

Once  $\tau$  acquires a VEV, the modular forms and thus the Yukawa couplings and the form of the mass matrices get fixed, and a certain flavour structure arises.

Quantitatively and barring fine-tuning, the magnitude of the values of the non-zero elements of the fermion mass matrices and therefore the fermion mass ratios are determined by the modular form values (which in turn are functions of the  $\tau$ 's VEV).



# Modular Forms (contd.)

The key elements of the considered framework are modular forms  $f(\tau)$  of weight  $k_f$  and level  $N$  – holomorphic functions of  $\tau$ , which transform under  $\bar{\Gamma}(\Gamma)$  as follows:

$$F(\gamma\tau) = (c\tau + d)^{k_F} \rho_r(\tilde{\gamma}) F(\tau), \quad \gamma \in \bar{\Gamma} \quad (\gamma \in \Gamma),$$

F. Feruglio, arXiv:1706.08749

$\rho_r$  is a unitary representation of the finite modular group  $\Gamma_N$  ( $\Gamma'_N$ ).

In the case of  $\bar{\Gamma}(\Gamma)$  non-trivial modular forms exist only for **positive even integer (positive integer) weight**  $k_F$ .

For given  $k$ ,  $N$  ( $N$  is a natural number), the modular forms span a linear space of finite dimension:

of weight  $k$  and level 3,  $\mathcal{M}_k(\Gamma_3^{(\prime)} \simeq A_4^{(\prime)})$ , is  $k + 1$ ;

of weight  $k$  and level 4,  $\mathcal{M}_k(\Gamma_4^{(\prime)} \simeq S_4^{(\prime)})$ , is  $2k + 1$ ;

of weight  $k$  and level 5,  $\mathcal{M}_k(\Gamma_5^{(\prime)} \simeq A_5^{(\prime)})$ , is  $5k + 1$ .

Thus,  $\dim \mathcal{M}_1(\Gamma'_3 \simeq A'_4) = 2$ ,  $\dim \mathcal{M}_1(\Gamma'_4 \simeq S'_4) = 3$ ,  $\dim \mathcal{M}_1(\Gamma'_5 \simeq A'_5) = 6$ .

Multiplets of  $\Gamma_N$  ( $\Gamma'_N$ ) of higher weight modular forms can be constructed from tensor products of the lowest weight 2 (weight 1) multiplets (they represent homogeneous polynomials of the lowest weight modular forms).

Following arXiv:1706.08749, it was of highest priority and of crucial importance for model building to find the basis of modular forms of the **lowest weight 2 (weight 1)** transforming in irreps of  $\Gamma_N$  ( $\Gamma'_N$ ).

**It took about two years to find the requisite bases for  $\Gamma_N$  ( $\Gamma'_N$ ),  $N = 2, 3, 4, 5$ .**

F. Feruglio, 1706.08749 ( $\Gamma_3 \simeq A_4$ ,  $k_f = 2$ : the 3 mod. forms form a 3 of  $A_4$ );

T. Kobayashi et al., 1803.10391 ( $\Gamma_2 \simeq S_3$ ,  $k_f = 2$ : the 2 mod. forms form a 2 of  $S_3$ );

J. Penedo, STP, 1806.11040 ( $\Gamma_4 \simeq S_4$ ,  $k_f = 2$ : the 5 mod. forms form a 2 and 3' of  $S_4$ );

P.P. Novichkov et al., 1812.02158; G.-J. Ding et al., 1903.12588 ( $\Gamma_5 \simeq A_5$ ),  $k_f = 2$ : the 11 basis modular forms were shown to form a 3, a 3' and a 5 of  $A_5$ ).

**More elegant constuction: modular forms for  $A'_4$ ,  $S'_4$ ,  $A'_5$  (and  $A_4$ ,  $S_4$ ,  $A_5$ ).**

The weight 1 modular forms

i) of  $A'_4$  form a 2 of  $A'_4$ , ii) of  $S'_4$  form a  $\hat{3}$  of  $S'_4$ , iii) of  $A'_5$  form a 5 of  $A'_5$ , as was proven respectively in X.-G. Liu, G.-J. Ding, 1907.01488, P.P. Novichkov et al., 2006.03058 and C.-Y. Yao et al., 2011.03501.

In each of the cases of  $A'_4$ ,  $S'_4$  and  $A'_5$  the lowest weight 1 modular forms, and thus all higher weight modular forms, including those (of even weight) associated with  $A_4$ ,  $S_4$  and  $A_5$ , constructed from tensor products of the weight 1 multiplets, were shown (respectively in X.-G. Liu, G.-J. Ding, 1907.01488, P.P. Novichkov et al., 2006.03058 and C.-Y. Yao et al., 2011.03501) to be **expressed in terms of only two independent functions of  $\tau$** .

These pairs of functions are different for the three different groups; but they all are related (in different ways) to the Dedekind  $\eta$ -function (in the case of  $A'_5$  ( $A_5$ ) - to two Jacobi theta constants also) and have similar (fastly converging)  $q$ -expansions, i.e., power series expansions in  $q = e^{2\pi i\tau}$ .

**Thus, in the case of a flavour symmetry described by a finite modular group  $\Gamma_N^{(\nu)}$ ,  $N = 2, 3, 4, 5$ , the elements of the matrices of the Yukawa couplings in the considered approach represent homogeneous polynomials of various degree of only two (holomorphic) functions of  $\tau$ . They include also a limited (relatively small) number of constant parameters.**

The modular forms of level  $N = 2, 3, 4, 5$  for  $\Gamma_{2,3,4,5}^{(\prime)} \simeq S_3, A_4^{(\prime)}, S_4^{(\prime)}, A_5^{(\prime)}$  have been constructed by use of the of Dedekind eta function,  $\eta(\tau)$ :

$$\eta(\tau) = q^{\frac{1}{24}} \prod_{n=1}^{\infty} (1 - q^n) = q^{\frac{1}{24}} \sum_{n=-\infty}^{\infty} (-1)^n q^{\frac{n(3n-1)}{2}}, \quad q = e^{i2\pi\tau}.$$

In the cases of  $\Gamma_5^{(\prime)} \simeq A_5^{(\prime)}$  two “Jacobi theta constants” are also used.

**Modular forms of level  $N = 4$  for  $\Gamma'_4 \simeq S'_4$  ( $\Gamma_4 \simeq S_4$ ) – in terms of  $\theta(\tau)$ ,  $\varepsilon(\tau)$ :**

$$\theta(\tau) \equiv \frac{\eta^5(2\tau)}{\eta^2(\tau)\eta^2(4\tau)} = \Theta_3(2\tau), \quad \varepsilon(\tau) \equiv \frac{2\eta^2(4\tau)}{\eta(2\tau)} = \Theta_2(2\tau).$$

$\Theta_2(\tau)$  and  $\Theta_3(\tau)$  are the Jacobi theta constants,  $\eta(a\tau)$ ,  $a = 1, 2, 4$ , is the Dedekind eta.

**Modular forms of level  $N = 3$  for  $\Gamma'_3 \simeq A'_4$  ( $\Gamma_3 \simeq A_4$ ) – in terms of  $\hat{e}_1$  and  $\hat{e}_2$ :**

$$\hat{e}_1 = \frac{\eta^3(3\tau)}{\eta(\tau)}, \quad \hat{e}_2 = \frac{\eta^3(\tau/3)}{\eta(\tau)}.$$

**Modular forms of level  $N = 5$  for  $\Gamma'_3 \simeq A'_5$  ( $\Gamma_3 \simeq A_4$ ) – in terms of  $\theta_5(\tau)$  and  $\varepsilon_5(\tau)$ :**  $\theta_5(\tau) = \exp(-i\pi/10) \Theta_{\frac{1}{10}, \frac{1}{2}}(5\tau) \eta^{-3/5}(\tau)$ ,  $\varepsilon_5(\tau) = \exp(-i3\pi/10) \Theta_{\frac{3}{10}, \frac{1}{2}}(5\tau) \eta^{-3/5}(\tau)$ .

# Example: $S'_4$

P.P. Novichkov, J.T. Penedo. S.T.P., arXiv:2006.03058

**Weight 1 modular forms furnishing a  $\hat{3}$  of  $S'_4$ :**

$$Y_{\hat{3}}^{(1)}(\tau) = \begin{pmatrix} \sqrt{2} \varepsilon \theta \\ \varepsilon^2 \\ -\theta^2 \end{pmatrix}$$

**Modular  $S_4$  lowest-weight 2 multiplets furnish a 2 and a  $3'$  irreducible representations of  $S_4$  ( $S'_4$ ) and are given by :**

$$Y_2^{(2)}(\tau) = \begin{pmatrix} \frac{1}{\sqrt{2}} (\theta^4 + \varepsilon^4) \\ -\sqrt{6} \varepsilon^2 \theta^2 \end{pmatrix} = \begin{pmatrix} Y_1 \\ Y_2 \end{pmatrix}, \quad Y_{3'}^{(2)}(\tau) = \begin{pmatrix} \frac{1}{\sqrt{2}} (\theta^4 - \varepsilon^4) \\ -2 \varepsilon \theta^3 \\ -2 \varepsilon^3 \theta \end{pmatrix} = \begin{pmatrix} Y_3 \\ Y_4 \\ Y_5 \end{pmatrix}.$$

**At weight  $k = 3$ , a non-trivial singlet and two triplets exclusive to  $S'_4$  arise:**

$$Y_{\hat{1}'}^{(3)}(\tau) = \sqrt{3} (\varepsilon \theta^5 - \varepsilon^5 \theta),$$
$$Y_{\hat{3}}^{(3)}(\tau) = \begin{pmatrix} \varepsilon^5 \theta + \varepsilon \theta^5 \\ \frac{1}{2\sqrt{2}} (5 \varepsilon^2 \theta^4 - \varepsilon^6) \\ \frac{1}{2\sqrt{2}} (\theta^6 - 5 \varepsilon^4 \theta^2) \end{pmatrix}, \quad Y_{\hat{3}'}^{(3)}(\tau) = \frac{1}{2} \begin{pmatrix} -4\sqrt{2} \varepsilon^3 \theta^3 \\ \theta^6 + 3 \varepsilon^4 \theta^2 \\ -3 \varepsilon^2 \theta^4 - \varepsilon^6 \end{pmatrix}.$$

The functions  $\theta(\tau)$  and  $\varepsilon(\tau)$  are given by:

$$\theta(\tau) \equiv \frac{\eta^5(2\tau)}{\eta^2(\tau)\eta^2(4\tau)} = \Theta_3(2\tau), \quad \varepsilon(\tau) \equiv \frac{2\eta^2(4\tau)}{\eta(2\tau)} = \Theta_2(2\tau).$$

$\Theta_2(\tau)$  and  $\Theta_3(\tau)$  are the Jacobi theta constants,  $\eta(a\tau)$ ,  $a = 1, 2, 4$ , is the Dedekind eta function.

The functions  $\theta(\tau)$  and  $\varepsilon(\tau)$  admit the following  $q$ -expansions - power series expansions in  $q_4 \equiv \exp(i\pi\tau/2)$  ( $\text{Im}(\tau) \geq \sqrt{3}/2$ ,  $|q_4| \lesssim 0.26$ ) :

$$\begin{aligned} \theta(\tau) &= 1 + 2 \sum_{k=1}^{\infty} q_4^{(2k)^2} = 1 + 2q_4^4 + 2q_4^{16} + \dots, \\ \varepsilon(\tau) &= 2 \sum_{k=1}^{\infty} q_4^{(2k-1)^2} = 2q_4 + 2q_4^9 + 2q_4^{25} + \dots. \end{aligned}$$

In the “large volume” limit  $\text{Im} \tau \rightarrow \infty$ ,  $\theta \rightarrow 1$ ,  $\varepsilon \rightarrow 0$ .

In this limit  $\varepsilon \sim 2q_4$  and  $\varepsilon$  can be used as an expansion parameter instead of  $q_4$ .

Due to quadratic dependence in the exponents of  $q_4$ , the  $q$ -expansion series converge rapidly in the fundamental domain of the modular group, where  $\text{Im}(\tau) \geq \sqrt{3}/2$  and  $|q_4| \leq \exp(-\pi\sqrt{3}/4) \simeq 0.26$ .

Similar conclusions are valid for the pair of functions in terms of which the lowest weight 1 modular forms, and thus all higher weight modular forms of  $A'_4$  and  $A'_5$  are expressed.

# The Framework

$\mathcal{N} = 1$  rigid (global) SUSY, the matter action  $\mathcal{S}$  reads:

$$\mathcal{S} = \int d^4x d^2\theta d^2\bar{\theta} K(\tau, \bar{\tau}, \psi, \bar{\psi}) + \left( \int d^4x d^2\theta W(\tau, \psi) + \text{h.c.} \right),$$

$K$  is the Kähler potential,  $W$  is the superpotential,  $\psi$  denotes a set of chiral supermultiplets  $\psi_i$ ,  $\theta$  and  $\bar{\theta}$  are Grassmann variables;

$\tau$  is the modulus chiral superfield, whose lowest component is the complex scalar field acquiring a VEV (we use in what follows the same notation  $\tau$  for the lowest complex scalar component of the modulus superfield and call this component also “modulus”).

$\tau$  and  $\psi_i$  transform under the action of  $\bar{\Gamma}$  ( $\Gamma$ ) in a certain way (S. Ferrara et al., PL B225 (1989) 363 and B233 (1989) 147). Assuming that  $\psi_i = \psi_i(x)$  transform in a certain irrep  $\mathbf{r}_i$  of  $\Gamma_N$  ( $\Gamma'_N$ ), the transformations read:

$$\gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \bar{\Gamma} \ (\Gamma) : \quad \begin{cases} \tau \rightarrow \frac{a\tau + b}{c\tau + d}, \\ \psi_i \rightarrow (c\tau + d)^{-k_i} \rho_{\mathbf{r}_i}(\gamma) \psi_i. \end{cases}$$

$\psi_i$  is not a modular form multiplet, the integer  $(-k_i)$  can be  $> 0$ ,  $< 0$ ,  $0$ . Invariance of  $\mathcal{S}$  under these transformations implies (global SUSY):

$$\begin{cases} W(\tau, \psi) \rightarrow W(\tau, \psi) , \\ K(\tau, \bar{\tau}, \psi, \bar{\psi}) \rightarrow K(\tau, \bar{\tau}, \psi, \bar{\psi}) + f_K(\tau, \psi) + \overline{f_K}(\bar{\tau}, \bar{\psi}) . \end{cases}$$

**The second line represents a Kähler transformation.**

**An example Kähler potential that is widely used in model building reads:**

$$K(\tau, \bar{\tau}, \psi, \bar{\psi}) = -\Lambda_0^2 \log(-i\tau + i\bar{\tau}) + \sum_i \frac{|\psi_i|^2}{(-i\tau + i\bar{\tau})^{k_i}} ,$$

**$\Lambda_0 > 0$  having mass dimension one.**

**More general  $K(\tau, \bar{\tau}, \psi, \bar{\psi})$  and the possible consequences they can have for flavour model building are discussed in**

**Mu-Chun Chen et al., arXiv:1909.06910 and 2108.02240; Y. Almumin et al., arXiv:2102.11286.**



$$W(\tau, \psi) \rightarrow W(\tau, \psi) ,$$

The superpotential can be expanded in powers of  $\psi_i$ :

$$W(\tau, \psi) = \sum_n \sum_{\{i_1, \dots, i_n\}} \sum_s g_{i_1 \dots i_n, s} (Y_{i_1 \dots i_n, s}(\tau) \psi_{i_1} \dots \psi_{i_n})_{1, s} ,$$

$1$  stands for an invariant singlet of  $\Gamma_N$  ( $\Gamma'_N$ ). For each set of  $n$  fields  $\{\psi_{i_1}, \dots, \psi_{i_n}\}$ , the index  $s$  labels the independent singlets. Each of these is accompanied by a coupling constant  $g_{i_1 \dots i_n, s}$  and is obtained using a modular multiplet  $Y_{i_1 \dots i_n, s}$  of the requisite weight. To ensure invariance of  $W$  under  $\Gamma_N$  ( $\Gamma'_N$ ),  $Y_{i_1 \dots i_n, s}(\tau)$  must transform as:

$$Y(\tau) \xrightarrow{\gamma} (c\tau + d)^{k_Y} \rho_{\mathbf{r}_Y}(\gamma) Y(\tau) ,$$

$\mathbf{r}_Y$  is a representation of  $\Gamma_N$  ( $\Gamma'_N$ ), and  $k_Y$  and  $\mathbf{r}_Y$  are such that

$$k_Y = k_{i_1} + \dots + k_{i_n} , \quad (1)$$

$$\mathbf{r}_Y \otimes \mathbf{r}_{i_1} \otimes \dots \otimes \mathbf{r}_{i_n} \supset \mathbf{1} . \quad (2)$$

Thus,  $Y_{i_1 \dots i_n, s}(\tau)$  represents a multiplet of weight  $k_Y$  and level  $N$  modular forms transforming in the representation  $\mathbf{r}_Y$  of  $\Gamma_N$  ( $\Gamma'_N$ ).

# Mass Matrices

Consider the bilinear (i.e., mass term)

$$\psi_i^c M(\tau)_{ij} \psi_j ,$$

where the fields  $\psi$  and  $\psi^c$  transform as

$$\begin{aligned} \psi &\xrightarrow{\gamma} (c\tau + d)^{-k} \rho_r(\gamma) \psi \quad (\rho(\gamma), \Gamma_N^{(\prime)}, N = 2, 3, 4, 5), \\ \psi^c &\xrightarrow{\gamma} (c\tau + d)^{-k^c} \rho_{r^c}^c(\gamma) \psi^c, \quad (\rho^c(\gamma), \Gamma_N^{(\prime)}). \end{aligned}$$

**Modular invariance:**  $M(\tau)_{ij}$  must be modular form of level  $N$  and weight  $K \equiv k + k^c$ ,

$$M(\tau) \xrightarrow{\gamma} M(\gamma\tau) = (c\tau + d)^K \rho_{r_Y}(\gamma) M(\gamma\tau),$$

where  $\rho(\gamma)_{r_Y}$  - irrep of  $M(\gamma\tau)$ :

$$K = k + k^c ,$$

$$\mathbf{r}_Y \otimes \mathbf{r} \otimes \mathbf{r}^c \supset \mathbf{1} .$$

# Inputs in the Analyses

## Lepton sector: reference 3- $\nu$ mixing scheme

$$\nu_{l\text{L}} = \sum_{j=1}^3 U_{lj} \nu_{j\text{L}} \quad l = e, \mu, \tau.$$

$\nu_j, m_j \neq 0$ : Majorana particles (assumed).

**Data:** 3  $\nu$ s are light:  $\nu_{1,2,3}, m_{1,2,3} \lesssim 0.5$  eV;  
the value of  $\min(m_j)$  and the “ordering” unknown.

$\Delta m_{21}^2, |\Delta m_{31}^2|$  - known.

The PMNS matrix  $U$  -  $3 \times 3$  unitary:  $\theta_{12}, \theta_{13}, \theta_{23}$  - known; CPV phases  $\delta, \alpha_{21}, \alpha_{31}$  - unknown.

Thus, 5 known + 4 unknown parameters + MO.

“Known” = measured; “unknown” = not measured.

$m_e, m_\mu, m_\tau$  also known - used as input.

# Example: Lepton Flavour Models Based on $S_4$ (Seesaw Models without Flavons)

P.P. Novichkov et al., arXiv:1811.04933

We assume that neutrino masses originate from the (supersymmetric) type I seesaw mechanism.

The fields involved:

- two Higgs doublets  $H_u$  and  $H_d$ ; transform trivially under  $\Gamma_4$ ,  $\rho_u = \rho_d \sim 1$ ,  $k_u = k_d = 0$ ;
- three lepton  $SU(2)$  doublets  $L_1, L_2, L_3$ ; furnish a 3-dim. irrep of  $S_4$ , i.e.,  $\rho_L \sim 3$  or  $3'$ , and carry weight  $k_L = 2$ ;
- three neutral lepton gauge singlets  $N_1^c, N_2^c, N_3^c$ ; transform as a triplet of  $\Gamma_4$ ,  $\rho_N \sim 3$  or  $3'$ , and carry weight  $k_N = 0$ ;
- three charged lepton  $SU(2)$  singlets  $E_1^c, E_2^c, E_3^c$ ; transform as singlets of  $\Gamma_4$ ,  $\rho_{1,2,3} \sim 1', 1, 1'$  and carry weights  $k_{1,2,3} = 0, 2, 2$ .

With these assumptions, the superpotential has the form:

$$W = \sum_{i=1}^3 \alpha_i (E_i^c L f_{E_i}(Y))_1 H_d + g (N^c L f_N(Y))_1 H_u + \Lambda (N^c N^c f_M(Y))_1$$

$\alpha_{1,2,3}, g, g', \Lambda$  are constants.

We work in a basis in which the  $S_4$  generators  $S$  and  $T$  are represented by symmetric matrices for all irreducible representations  $r$ . In this basis the triplet irreps of  $S$  and  $T$  to be used read:

$$S = \pm \frac{1}{3} \begin{pmatrix} -1 & 2\omega^2 & 2\omega \\ 2\omega & 2 & -\omega^2 \\ 2\omega^2 & -\omega & 2 \end{pmatrix}, \quad T = \pm \frac{1}{3} \begin{pmatrix} -1 & 2\omega & 2\omega^2 \\ 2\omega & 2\omega^2 & -1 \\ 2\omega^2 & -1 & 2\omega \end{pmatrix},$$

$\omega = e^{i2\pi\tau/3}$ . The plus (minus) corresponds to the irrep 3 (3') of  $S_4$ .

In the employed basis we have:

$$ST = \begin{pmatrix} 1 & 0 & 0 \\ 0 & \omega^2 & 0 \\ 0 & 0 & \omega \end{pmatrix}.$$

By specifying the weights of the matter fields one obtains the weights of the relevant modular forms.

After modular symmetry breaking, the matrices of charged lepton and neutrino Yukawa couplings,  $\lambda$  and  $\mathcal{Y}$ , as well as the Majorana mass matrix  $M$  for heavy neutrinos, are generated:

$$W = \lambda_{ij} E_i^c L_j H_d + \mathcal{Y}_{ij} N_i^c L_j H_u + \frac{1}{2} M_{ij} N_i^c N_j^c ,$$

a sum over  $i, j = 1, 2, 3$  is assumed. After integrating out  $N^c$  and after EWS breaking, the charged lepton mass matrix  $M_e$  and the light neutrino Majorana mass matrix  $M_\nu$  are generated (we work in the L-R convention for the charged lepton mass term and the R-L convention for the light and heavy neutrino Majorana mass terms):

$$M_e = v_d \lambda^\dagger , \quad v_d \equiv \text{vev}(H_d^0) , \\ M_\nu = -v_u^2 \mathcal{Y}^T M^{-1} \mathcal{Y} , \quad v_u \equiv \text{vev}(H_u^0) .$$

# The Majorana mass term for heavy neutrinos

Assume  $k_\Lambda = 0$ , i.e., no non-trivial modular forms are present in  $\Lambda(N^c N^c f_M(Y))_1$ ,  $k_N = 0$ , and for both  $\rho_N \sim 3$  or  $\rho_N \sim 3'$

$$(N^c N^c)_1 = N_1^c N_1^c + N_2^c N_3^c + N_3^c N_2^c,$$

leading to the following mass matrix for heavy neutrinos:

$$M = 2\Lambda \begin{pmatrix} 1 & 0 & 0 \\ 0 & 0 & 1 \\ 0 & 1 & 0 \end{pmatrix}, \quad \text{for } k_\Lambda = 0.$$

The spectrum of heavy neutrino masses is degenerate; the only free parameter is the overall scale  $\Lambda$ , which can be rendered real. The Majorana mass term conserves a “non-standard” lepton charge and two of the three heavy Majorana neutrinos with definite mass form a Dirac pair.

C.N. Leung, STP, 1983



# The neutrino Yukawa couplings

The lowest non-trivial weight,  $k_L = 2$ , leads to

$$g \left( N^c L Y_2^{(2)} \right)_1 H_u + g' \left( N^c L Y_{3'}^{(2)} \right)_1 H_u.$$

There are 4 possible assignments of  $\rho_N$  and  $\rho_L$  we consider. Two of them, namely  $\rho_N = \rho_L \sim \mathbf{3}$  and  $\rho_N = \rho_L \sim \mathbf{3}'$  give the following form of  $\mathcal{Y}$ :

$$\mathcal{Y} = g \left[ \begin{pmatrix} 0 & Y_1 & Y_2 \\ Y_1 & Y_2 & 0 \\ Y_2 & 0 & Y_1 \end{pmatrix} + \frac{g'}{g} \begin{pmatrix} 0 & Y_5 & -Y_4 \\ -Y_5 & 0 & Y_3 \\ Y_4 & -Y_3 & 0 \end{pmatrix} \right], \quad \text{for } k_L + K_N = 2 \quad \text{and} \quad \rho_N = \rho_L.$$

The two remaining combinations,  $(\rho_N, \rho_L) \sim (\mathbf{3}, \mathbf{3}')$  and  $(\mathbf{3}', \mathbf{3})$ , lead to:

$$\mathcal{Y} = g \left[ \begin{pmatrix} 0 & -Y_1 & Y_2 \\ -Y_1 & Y_2 & 0 \\ Y_2 & 0 & -Y_1 \end{pmatrix} + \frac{g'}{g} \begin{pmatrix} 2Y_3 & -Y_5 & -Y_4 \\ -Y_5 & 2Y_4 & -Y_3 \\ -Y_4 & -Y_3 & 2Y_5 \end{pmatrix} \right], \quad \text{for } k_L + k_N = 2 \quad \text{and} \quad \rho_N \neq \rho_L.$$

In both cases, up to an overall factor, the matrix  $\mathcal{Y}$  depends on one complex parameter  $g'/g$  and the VEV of  $\tau$ ,  $\text{vev}(\tau)$ .

$$Y_2^{(2)}(\tau) = \begin{pmatrix} \frac{1}{\sqrt{2}} (\theta^4 + \varepsilon^4) \\ -\sqrt{6} \varepsilon^2 \theta^2 \end{pmatrix} = \begin{pmatrix} Y_1 \\ Y_2 \end{pmatrix}, \quad Y_{3'}^{(2)}(\tau) = \begin{pmatrix} \frac{1}{\sqrt{2}} (\theta^4 - \varepsilon^4) \\ -2 \varepsilon \theta^3 \\ -2 \varepsilon^3 \theta \end{pmatrix} = \begin{pmatrix} Y_3 \\ Y_4 \\ Y_5 \end{pmatrix}.$$

# The charged lepton Yukawa couplings

In the minimal (in terms of weights) viable possibility for  $L_{1,2,3}$  furnishing a 3-dim. irrep of  $S_4$ , i.e.,  $\rho_L \sim 3$  or  $3'$ , and carrying a weight  $k_L = 2$ , and  $E_{1,2,3}^c$  transforming as singlets of  $\Gamma_4$ ,  $\rho_{1,2,3} \sim 1', 1, 1'$  (up to permutations) and carrying weights  $k_{1,2,3} = 0, 2, 2$ , the relevant part of  $W$ ,  $W_e$ , can take 6 different forms which lead to the same matrix  $U_e$  diagonalising  $M_e M_e^\dagger = v_d^2 \lambda^\dagger \lambda$ , and thus do not lead to new results for the PMNS matrix. We give just one of these 6 forms corresponding to  $\rho_L = 3$ ,  $\rho_1 = 1'$ ,  $\rho_2 = 1$ ,  $\rho_3 = 1'$ :

$$\alpha \left( E_1^c L Y_{3'}^{(2)} \right)_1 H_d + \beta \left( E_2^c L Y_3^{(4)} \right)_1 H_d + \gamma \left( E_3^c L Y_{3'}^{(4)} \right)_1 H_d.$$

This leads to

$$\lambda = \begin{pmatrix} \alpha Y_3 & \alpha Y_5 & \alpha Y_4 \\ \beta (Y_1 Y_4 - Y_2 Y_5) & \beta (Y_1 Y_3 - Y_2 Y_4) & \beta (Y_1 Y_5 - Y_2 Y_3) \\ \gamma (Y_1 Y_4 + Y_2 Y_5) & \gamma (Y_1 Y_3 + Y_2 Y_4) & \gamma (Y_1 Y_5 + Y_2 Y_3) \end{pmatrix},$$

In this “minimal” example the matrix  $\lambda$  depends on 3 free parameters,  $\alpha$ ,  $\beta$  and  $\gamma$ , which can be rendered real by re-phasing of the charged lepton fields.

We recall that

$$M_e = v_d \lambda^\dagger, \quad v_d \equiv \text{vev}(H_d^0), \\ M_\nu = -v_u^2 \mathcal{Y}^T M^{-1} \mathcal{Y}, \quad v_u \equiv \text{vev}(H_u^0).$$

Parameters of the model:  $\alpha, \beta, \gamma, g^2/\Lambda$  – real;  $g'$  and VEV of  $\tau$  – complex, i.e., 6 real parameters + 2 (1) phases for description of 12 observables (3 charged lepton masses, 3 neutrino masses, 3 mixing angles and 3 CPV phases). Excellent description of the data is obtained also for real  $g'$  (i.e., 6 real parameters + 1 phase, employing  $gCP$ ).

The 3 real parameters  $v_d\alpha, \beta/\alpha, \gamma/\alpha$  – fixed by fitting  $m_e, m_\mu$  and  $m_\tau$ . The remaining 3 real parameters and 2 (1) phases –  $v_u^2 g^2/\Lambda, |g'/g|, |\tau|$  and  $\arg(g'/g), \arg \tau$  ( $\arg \tau$ ) – describe the 5  $\nu$  measured observables – 3 mixing angles, 2  $\Delta m_{ij}^2$ .

The model considered leads to testable predictions for  $\min(m_j)$  ( $\sum_i m_i$ ), type of the  $\nu$  mass spectrum (NO or IO), the 3 CPV Dirac and Majorana phases; predicted are also  $|\langle m \rangle|$ , the range of  $\theta_{23}$ , as well as of correlations between different observables.

Seven real parameters (5 real couplings + the complex VEV of  $\tau$ ) – is the minimal number of parameters in the constructed so far phenomenologically viable lepton flavour models with massive Majorana neutrinos based on modular invariance.

## Numerical Analysis

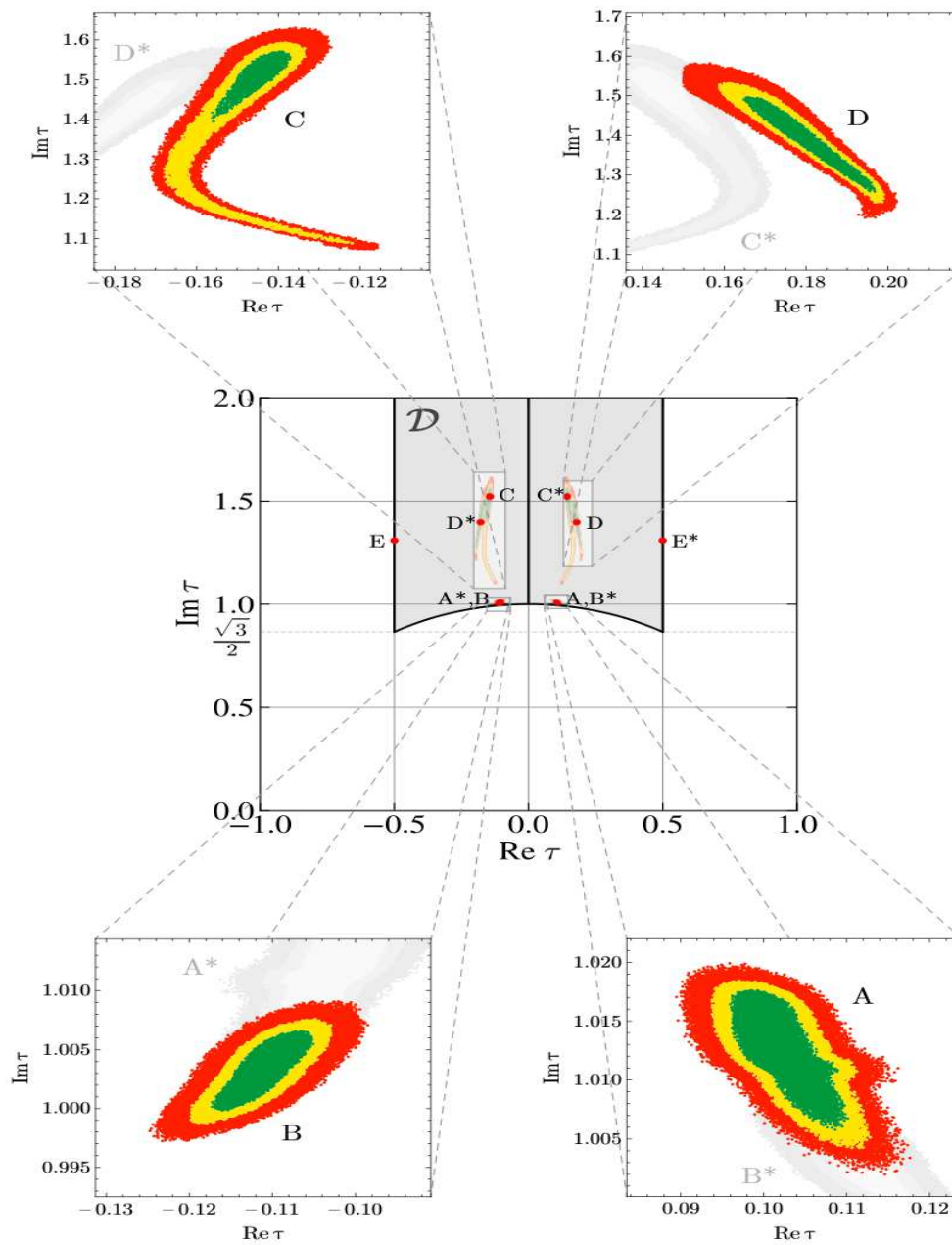
Each model depends on a set of dimensionless parameters

$$p_i = (\tau, \beta/\alpha, \gamma/\alpha, g'/g, \dots, \Lambda'/\Lambda, \dots),$$

which determine dimensionless observables (mass ratios, mixing angles and phases), and two overall mass scales:  $v_d \alpha$  for  $M_e$  and  $v_u^2 g^2/\Lambda$  for  $M_\nu$ . Phenomenologically viable models are those that lead to values of observables which are in close agreement with the experimental results summarized in the Table below. We assume also to be in a regime in which the running of neutrino parameters is negligible.

Observable	Best fit value and $1\sigma$ range	
$m_e/m_\mu$	$0.0048 \pm 0.0002$	
$m_\mu/m_\tau$	$0.0565 \pm 0.0045$	
	NO	IO
$\delta m^2/(10^{-5} \text{ eV}^2)$	$7.34^{+0.17}_{-0.14}$	
$ \Delta m^2 /(10^{-3} \text{ eV}^2)$	$2.455^{+0.035}_{-0.032}$	$2.441^{+0.033}_{-0.035}$
$r \equiv \delta m^2/ \Delta m^2 $	$0.0299 \pm 0.0008$	$0.0301 \pm 0.0008$
$\sin^2 \theta_{12}$	$0.304^{+0.014}_{-0.013}$	$0.303^{+0.014}_{-0.013}$
$\sin^2 \theta_{13}$	$0.0214^{+0.0009}_{-0.0007}$	$0.0218^{+0.0008}_{-0.0007}$
$\sin^2 \theta_{23}$	$0.551^{+0.019}_{-0.070}$	$0.557^{+0.017}_{-0.024}$
$\delta/\pi$	$1.32^{+0.23}_{-0.18}$	$1.52^{+0.14}_{-0.15}$

**Best fit values and  $1\sigma$  ranges for neutrino oscillation parameters, obtained in the global analysis of F. Capozzi et al., arXiv:1804.09678, and for charged-lepton mass ratios, given at the scale  $2 \times 10^{16}$  GeV with the  $\tan\beta$  averaging described in F. Feruglio, arXiv:1706.08749 obtained from G.G. Ross and M. Serna, arXiv:0704.1248. The parameters entering the definition of  $r$  are  $\delta m^2 \equiv m_2^2 - m_1^2$  and  $\Delta m^2 \equiv m_3^2 - (m_1^2 + m_2^2)/2$ . The best fit value and  $1\sigma$  range of  $\delta$  did not drive the numerical searches here reported.**



P.P. Novichkov, J.T. Penedo, STP, A.V. Titov, arXiv:1811.04933

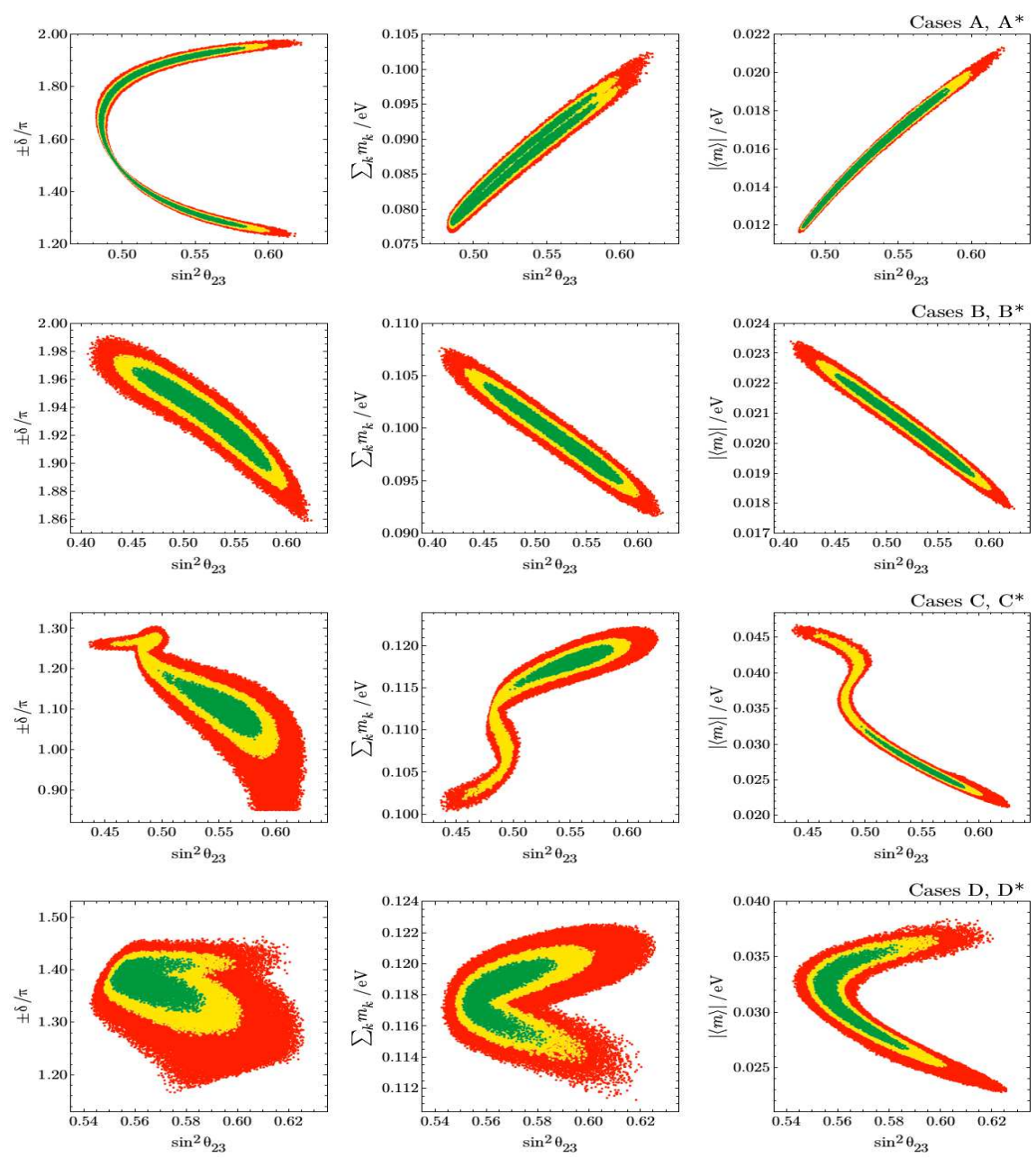
	Best fit value	$2\sigma$ range	$3\sigma$ range
$\text{Re } \tau$	$\pm 0.1045$	$\pm(0.09597 - 0.1101)$	$\pm(0.09378 - 0.1128)$
$\text{Im } \tau$	1.01	1.006 – 1.018	1.004 – 1.018
$\beta/\alpha$	9.465	8.247 – 11.14	7.693 – 12.39
$\gamma/\alpha$	0.002205	0.002032 – 0.002382	0.001941 – 0.002472
$\text{Re } g'/g$	0.233	–0.02383 – 0.387	–0.02544 – 0.4417
$\text{Im } g'/g$	$\pm 0.4924$	$\pm(-0.592 - 0.5587)$	$\pm(-0.6046 - 0.5751)$
$v_d \alpha$ [MeV]	53.19		
$v_u^2 g^2/\Lambda$ [eV]	0.00933		
$m_e/m_\mu$	0.004802	0.004418 – 0.005178	0.00422 – 0.005383
$m_\mu/m_\tau$	0.0565	0.048 – 0.06494	0.04317 – 0.06961
$r$	0.02989	0.02836 – 0.03148	0.02759 – 0.03224
$\delta m^2$ [ $10^{-5}$ eV <sup>2</sup> ]	7.339	7.074 – 7.596	6.935 – 7.712
$ \Delta m^2 $ [ $10^{-3}$ eV <sup>2</sup> ]	2.455	2.413 – 2.494	2.392 – 2.513
$\sin^2 \theta_{12}$	0.305	0.2795 – 0.3313	0.2656 – 0.3449
$\sin^2 \theta_{13}$	0.02125	0.01988 – 0.02298	0.01912 – 0.02383
$\sin^2 \theta_{23}$	0.551	0.4846 – 0.5846	0.4838 – 0.5999
Ordering	NO		
$m_1$ [eV]	0.01746	0.01196 – 0.02045	0.01185 – 0.02143
$m_2$ [eV]	0.01945	0.01477 – 0.02216	0.01473 – 0.02307
$m_3$ [eV]	0.05288	0.05099 – 0.05405	0.05075 – 0.05452
$\sum_i m_i$ [eV]	0.0898	0.07774 – 0.09661	0.07735 – 0.09887
$ \langle m \rangle $ [eV]	0.01699	0.01188 – 0.01917	0.01177 – 0.02002
$\delta/\pi$	$\pm 1.314$	$\pm(1.266 - 1.95)$	$\pm(1.249 - 1.961)$
$\alpha_{21}/\pi$	$\pm 0.302$	$\pm(0.2821 - 0.3612)$	$\pm(0.2748 - 0.3708)$
$\alpha_{31}/\pi$	$\pm 0.8716$	$\pm(0.8162 - 1.617)$	$\pm(0.7973 - 1.635)$
$N\sigma$	0.02005		

Best fit values along with  $2\sigma$  and  $3\sigma$  ranges of the parameters and observables in cases A and A\*, (which refer to  $(k_\Lambda, k_g) = (0, 2)$  and  $\tau = \pm 0.1045 + i 1.01$ ).

	Best fit value	$2\sigma$ range	$3\sigma$ range
$\text{Re } \tau$	$\mp 0.109$	$\mp(0.1051 - 0.1172)$	$\mp(0.103 - 0.1197)$
$\text{Im } \tau$	1.005	0.9998 – 1.007	0.9988 – 1.008
$\beta/\alpha$	0.03306	0.02799 – 0.03811	0.02529 – 0.04074
$\gamma/\alpha$	0.0001307	0.0001091 – 0.0001538	0.0000982 – 0.0001663
$\text{Re } g'/g$	0.4097	0.3513 – 0.5714	0.3241 – 0.5989
$\text{Im } g'/g$	$\mp 0.5745$	$\mp(0.5557 - 0.5932)$	$\mp(0.5436 - 0.5944)$
$v_d \alpha$ [MeV]	893.2		
$v_u^2 g^2/\Lambda$ [eV]	0.008028		
$m_e/m_\mu$	0.004802	0.004425 – 0.005175	0.004211 – 0.005384
$m_\mu/m_\tau$	0.05649	0.04785 – 0.06506	0.04318 – 0.06962
$r$	0.0299	0.02838 – 0.03144	0.02757 – 0.03223
$\delta m^2$ [ $10^{-5}$ eV <sup>2</sup> ]	7.34	7.078 – 7.59	6.932 – 7.71
$ \Delta m^2 $ [ $10^{-3}$ eV <sup>2</sup> ]	2.455	2.414 – 2.494	2.393 – 2.514
$\sin^2 \theta_{12}$	0.305	0.2795 – 0.3314	0.2662 – 0.3455
$\sin^2 \theta_{13}$	0.02125	0.0199 – 0.02302	0.01914 – 0.02383
$\sin^2 \theta_{23}$	0.551	0.4503 – 0.5852	0.4322 – 0.601
Ordering	NO		
$m_1$ [eV]	0.02074	0.01969 – 0.02374	0.01918 – 0.02428
$m_2$ [eV]	0.02244	0.02148 – 0.02522	0.02101 – 0.02574
$m_3$ [eV]	0.05406	0.05345 – 0.05541	0.05314 – 0.05577
$\sum_i m_i$ [eV]	0.09724	0.09473 – 0.1043	0.0935 – 0.1056
$ \langle m \rangle $ [eV]	0.01983	0.01889 – 0.02229	0.01847 – 0.02275
$\delta/\pi$	$\pm 1.919$	$\pm(1.895 - 1.968)$	$\pm(1.882 - 1.977)$
$\alpha_{21}/\pi$	$\pm 1.704$	$\pm(1.689 - 1.716)$	$\pm(1.681 - 1.722)$
$\alpha_{31}/\pi$	$\pm 1.539$	$\pm(1.502 - 1.605)$	$\pm(1.484 - 1.618)$
$N\sigma$	0.02435		

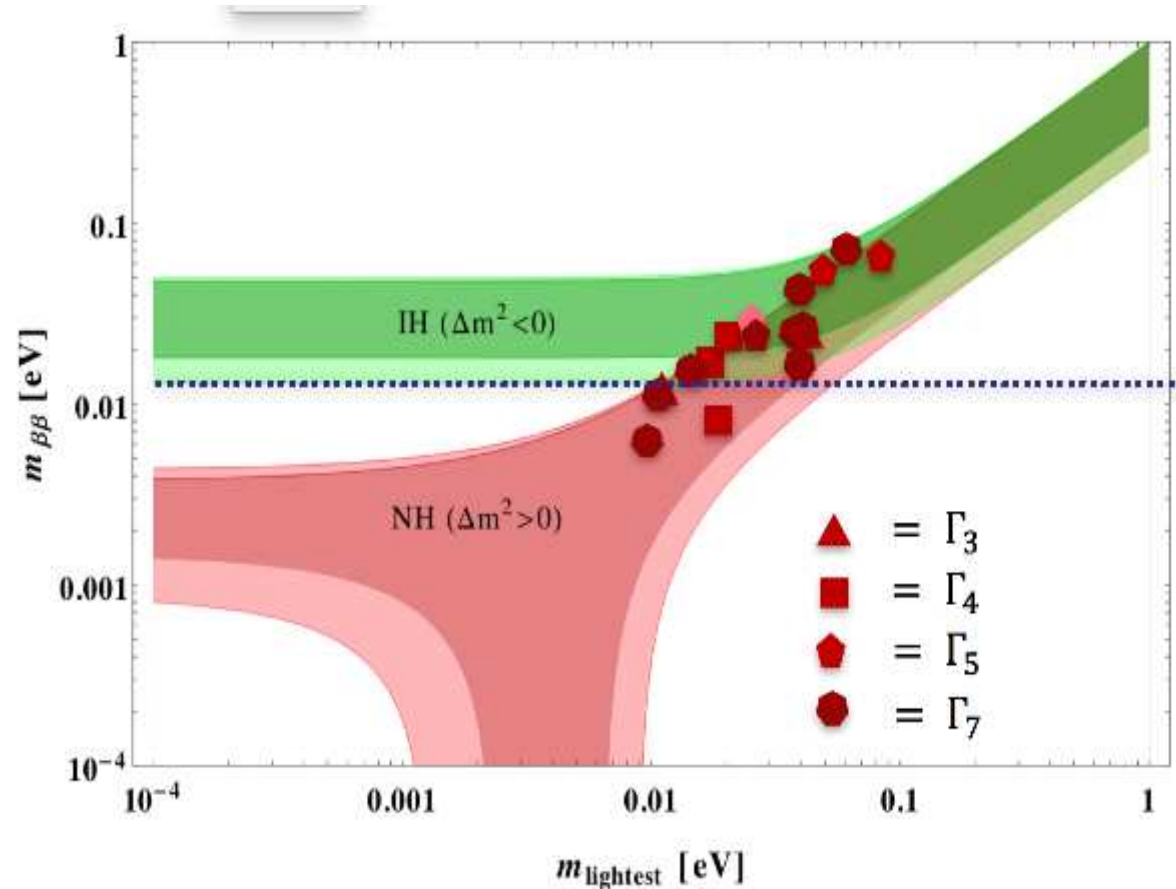
Best fit values along with  $2\sigma$  and  $3\sigma$  ranges of the parameters and observables in cases B and B\*, (which refer to  $(k_\Lambda, k_g) = (0, 2)$  and  $\tau = \pm 0.109 + i 1.005$ ).





P.P. Novichkov et al., arXiv:1811.04933

## Predictions for the neutrinoless double beta decay effective Majorana mass.



F. Feruglio, talk at Bethe Colloquium, 18/06/2020

Predictions of modular invariant models of lepton flavour for the neutrinoless double beta decay effective Majorana mass. The predictions are in the range of sensitivity of some of the current and upcoming neutrinoless double beta decay experiments (LEGEND, nEXO, KamLAND-Zen II, NEXT).

## Success led to Ambitious Program

The charged lepton mass hierarchy is described correctly by the model due to a fine-tuning of the constants  $\beta/\alpha$  and  $\gamma/\alpha$ .

This is a common problem of the numerous proposed lepton and quark flavour models based on modular invariance and constructed prior 2021.

**Idea: the fermion mass hierarchies should arise as a consequence of the properties of the modular forms rather than by fine-tuning the constants present in the fermion mass matrices.**

A possible solution to the fine-tuning problem in modular invariant models of flavour was proposed in

P.P. Novichkov, J.T. Penedo, STP, arXiv:2102.07488.

## Instead of Conclusions

We have presented two approaches to the lepton flavour problem based respectively on non-Abelian discrete symmetries and modular invariance. Both approaches lead to specific testable predictions. Only with the additional data from the current and upcoming experiments (T2K, NO $\nu$ A, JUNO, HK, DUNE, T2HK,..., LEGEND, KamLAND-Zen II, nEXO, SNO+, CUORE, CUPID, NEXT,...) it will be possible to perform thorough tests of these predictions. The planned high precision measurements of  $\theta_{12}$ ,  $\theta_{23}$  and especially of the Dirac CPV phase  $\delta$ , if successful, will allow us to perform such tests. Experimental confirmation of some of the discussed specific predictions will imply the existence of a new basic symmetry in particle physics. This will have profound implications.

I personally am looking very much forward to the upcoming new data on neutrino mixing, leptonic CP violation, neutrino mass ordering, absolute neutrino mass scale and the nature of massive neutrinos and the better understanding of neutrinos and the associated development of the theory of neutrino masses, mixing and leptonic CP violation these data will bring.