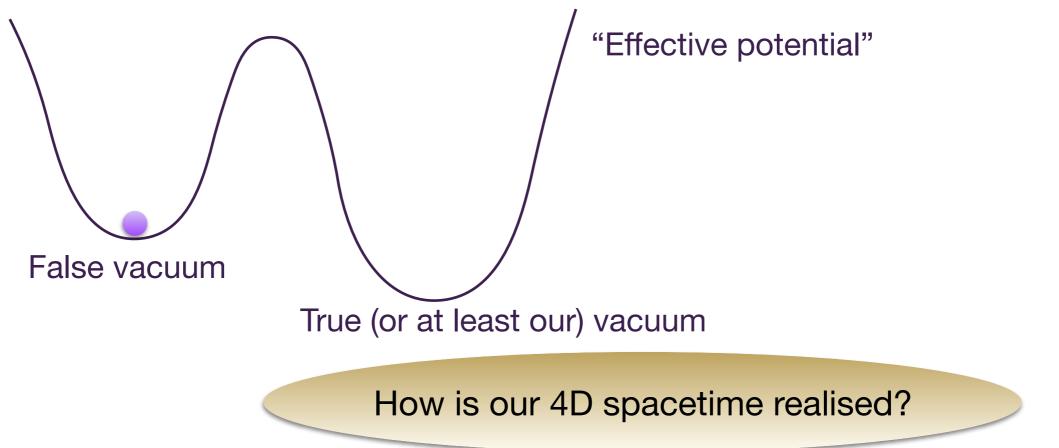
# Perturbative superstring theory and the IKKT Matrix Model

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#### What's wrong with superstring theory?

The established string theory is merely based on perturbation theory.

• There're infinitely many candidates of the vacuum, and it's unpredictable.



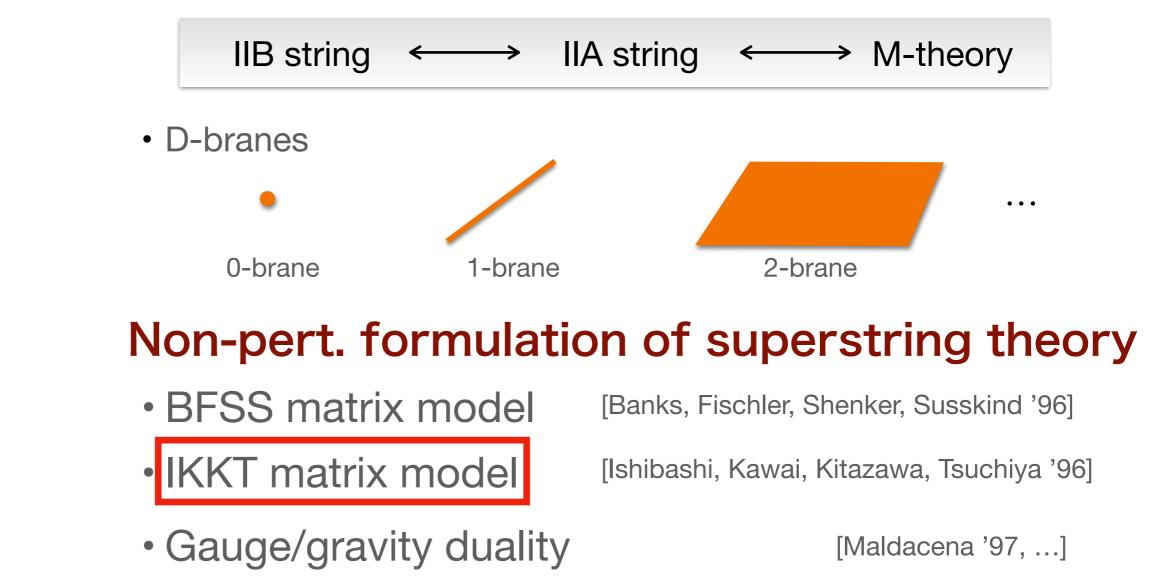
• Non-perturbative physics such as black holes and the early universe is not predictable strictly speaking.

We need non-perturbative formulation to make it genuinely predictable quantum gravity theory!

1988–1993 Non-pert. formulation of 2D critical string theory and non-critical string theories .... However, this isn't naively applicable to superstring

1994–1995 Progress in superstring theory

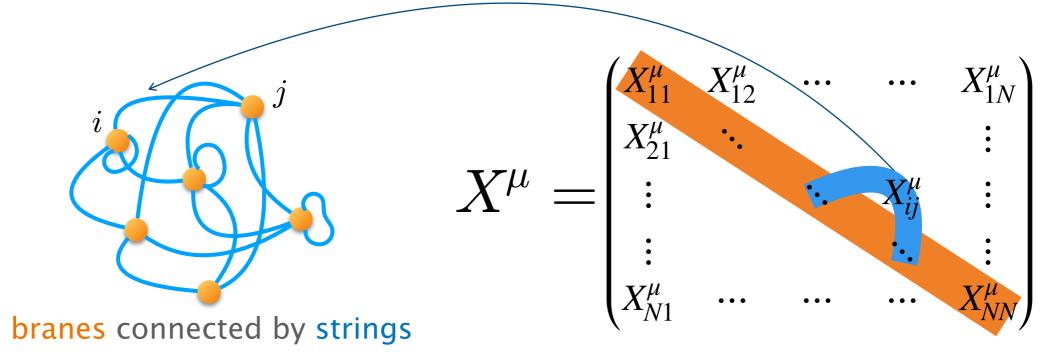
• Dualities between superstring theories



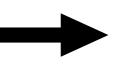
1997

1996

How matrices appear in superstring theory



The duality between IIA string and M-theory



The non-relativistic D0 dynamics (BFSS matrix model) describes the DLCQ M-theory [Banks, Fischler, Shenker, Susskind '96]

... equivalent to the matrix regularisation of supermembrane

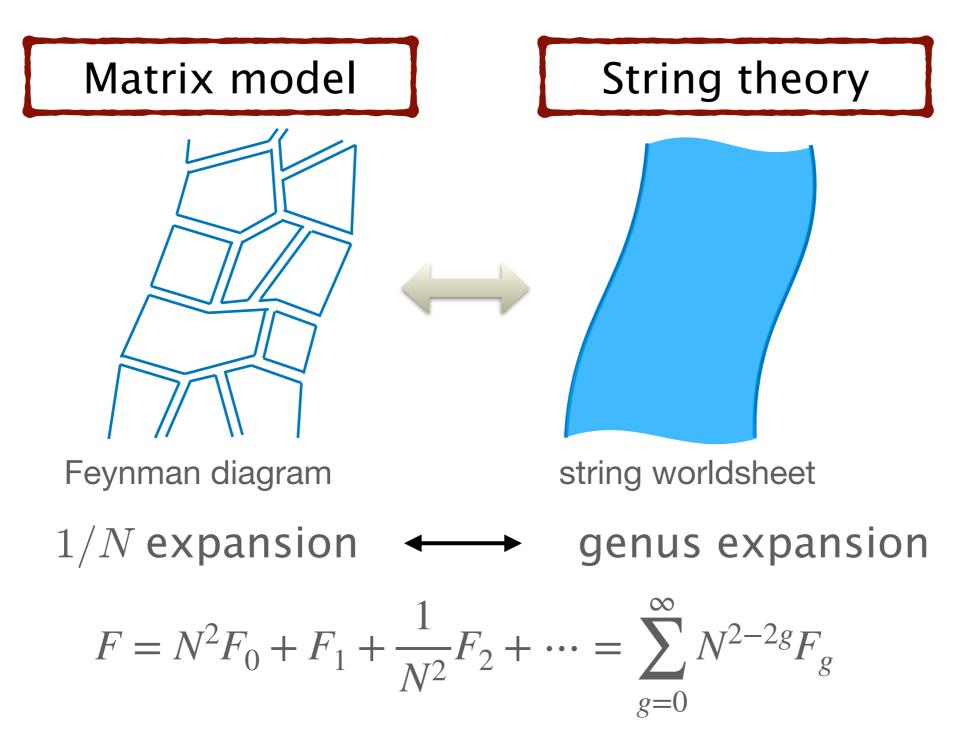
[de Wit, Hoppe, Nicolai '88]



The matrix regularisation of superstring (IKKT matrix model) describes the type IIB string theory

[Ishibashi, Kawai, Kitazawa, Tsuchiya '96]

#### Quantum corrections in string theory



#### The IKKT matrix model

[Ishibashi, Kawai, Kitazawa, Tsuchiya '96]

$$S[X, \Psi] = N \operatorname{tr} \left[ \frac{1}{4} [X^{\mu}, X^{\nu}] [X_{\mu}, X_{\nu}] + \frac{1}{2} \Psi^{T} \Gamma^{\mu} [X_{\mu}, \Psi] \right]$$

 $X^{\mu}$ : bosonic  $N \times N$  matrices ( $\mu = 0, \dots, 9$ )  $\Psi$ : Majorana-Weyl fermionic  $N \times N$  matrices

This 0-dimensional theory is considered to describe type-IIB superstring theory non-perturbatively. We believe this because it:

- has supersymmetry identical to that of type-IIB string:  $\mathcal{N} = (2,0)$  in (9+1)D
- reproduces perturbative results (graviton-exchange potential, scattering amplitudes, etc.)
- can reproduce the light-cone string field theory by the Schwinger-Dyson eq. [Fukuma, Kawai, Kitazawa, Tsuchiya '97]
- has potential to dynamically realise (3+1)D space-time at large N
  - Dynamics of the diagonal elements of  $X^{\mu}$  forms 4D [Aoki, Iso Kawai, Kitazawa, Tada '98]
  - SSB to SO(3) is observed

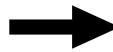
[Anagnostopoulos, Azuma, Ito, Nishimura, Okubo, Papadoudis '20]

#### Matrix identification of gravity

While there is an interpretation of matrices as the coordinates, there are interpretations in which gravitons are included as matrix elements.

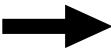
$$X_a \sim i e_a{}^{\mu} \nabla_{\mu} + \cdots$$

• Hanada-Kawai-Kimura interpretation [Hanada, Kawai, Kimura '06;...]



The classical E.o.M. gives the Einstein-Hilbert gravity

• Weitzenböck connection interpretation [Sperling, Steinacker '19; Steinacker '20;...]



The classical E.o.M. gives modified gravity ("pre-gravity") while the one-loop correction gives the Einstein-Hilbert gravity. [Fredenhagen, Steinacker '21; Y.A. Steinacker '21; Steinacker '21]

#### Matrix identification of gravity

Also, the interpretations seem to give a solution to the naturalness problem. The quantum corrections in HKK produce a multi-local effective action, which implies that the coupling constants are dynamically fine-tuned.

[Coleman '88; Kawai, Okada '11, '13; Y.A., Kawai, Tsuchiya '12; Hamada, Kawai, Oda '18;...]

$$\begin{array}{c} & & & & \\ & & & & \\ & & & \\ & & & & \\ & & & & \\ & & & & \\ & & & & \\ & & & & \\$$

Very attractive! But how can one be certain about the interpretations of X? ... My motivation to revisit its relationship to the perturbative string

#### Problem: How is the 0D theory defined?

The IKKT action: [Ishibashi, Kawai, Kitazawa, Tsuchiya '96]

$$S[X,\psi;G_{\mu\nu}] = N \operatorname{tr} \left[ \frac{1}{4} G_{\mu\rho} G_{\nu\sigma}[X^{\mu}, X^{\nu}][X^{\rho}, X^{\sigma}] + \frac{1}{2} \psi^{T} G_{\mu\nu} \Gamma^{\mu}[X^{\nu}, \psi] \right]$$

 $X^{\mu}$ : bosonic  $N \times N$  matrices ( $\mu = 0, \dots, 9$ )  $\psi$ : Majorana-Weyl fermionic  $N \times N$  matrices

However, we don't really know how the IKKT action enters in the partition fn.

$$Z = \int [dX] [d\psi] e^{iS[X,\psi;\eta_{\mu\nu}]} ? \qquad \left(\eta_{\mu\nu} = \operatorname{diag}(-1,1,\cdots,1)_{\mu\nu}\right)$$

		metric in the action			
		Euclidean	Lorentzian		
weight	Euclidean	$e^{-S[X,\psi;\delta_{\mu\nu}]}$	$e^{-S[X,\psi;\eta_{\mu\nu}]}$	— "Euclidean IKKT model"	
	Lorentzian	$e^{iS[X,\psi;\delta_{\mu u}]}$	$e^{iS[X,\psi;\eta_{\mu u}]}$	— "Lorentzian IKKT model"	

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### **Green-Schwarz formalism**

#### Nambu-Goto-type action

The following respects target-space supersymmetry.

$$S_{\rm GS} = -\frac{1}{2\pi} \int d^2\sigma \left\{ \sqrt{-\det(\eta_{\mu\nu}\Pi^{\mu}_{a}\Pi^{\nu}_{b})} - i\varepsilon^{ab}\partial_a X^{\mu}(\theta^{1T}\Gamma_{\mu}\partial_b\theta^1 - \theta^{2T}\Gamma_{\mu}\partial_b\theta^2) \right\}$$
  
embedding  $X^{\mu}(\sigma)$   
area of the worldsheet  $+\varepsilon^{ab}\theta^{1T}\Gamma^{\mu}\partial_a\theta^1 \theta^{2T}\Gamma_{\mu}\partial_b\theta^2 \right\}$ 

 $X^{\mu}$ : bosons (position of a string)  $\theta^{A}$ : Majorana-Weyl fermions (A = 1,2) worldsheet index: a = 0,1 target space index:  $\mu = 0, \dots, 9$ 

$$\Pi^{\mu}_{a} = \partial_{a} X^{\mu} - i(\theta^{1T} \Gamma^{\mu} \partial_{a} \theta^{1} + \theta^{2T} \Gamma^{\mu} \partial_{a} \theta^{2})$$

SUSY:  $\delta^{s}\theta^{A} = \epsilon^{A}$   $\delta^{s}X^{\mu} = i(\epsilon^{1T}\Gamma^{\mu}\theta^{1} + \epsilon^{2T}\Gamma^{\mu}\theta^{2})$ (10D type II SUSY)

[Green, Schwarz '84]

### **Green-Schwarz formalism**

# **Green-Schwarz formalism**

#### Algebra of kappa symmetry

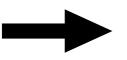
There have been obstacles of quantisation in the G-S formalism.

•  $\kappa$  symmetry has an infinite series of gauge symmetry

$$\delta^{\mathrm{f}}\theta^{1} = (\mathbf{1} + \tilde{\Gamma})\kappa^{1} \qquad \kappa^{1} \sim \kappa^{1} + (\mathbf{1} - \tilde{\Gamma})\kappa^{'1} \qquad \kappa^{'1} \sim \kappa^{'1} + (\mathbf{1} + \tilde{\Gamma})\kappa^{''1} \qquad \cdots$$

•  $\kappa$  symmetry is not closed off-shell

$$[\delta_{\kappa_1}^{\mathrm{f}}, \delta_{\kappa_2}^{\mathrm{f}}] = \delta_{\nu_3}^{\mathrm{b}} + \delta_{\kappa_3}^{\mathrm{f}} + \delta_{\lambda_3}^{\lambda} + (\mathsf{E.o.M.})$$



Batalin-Vilkoviski quantisation w/ an infinite tower of ghosts [Kallosh '89;...]

### **Schild-type action**

The Nambu-Goto-type action is equivalent to the following Schild-type action:

$$S_{\text{Schild}} = -\frac{1}{2\pi} \int d^2 \sigma \left\{ -\frac{1}{2} \left( \frac{h}{e_g} - e_g \right) - i \varepsilon^{ab} \partial_a X^{\mu} (\theta^{1T} \Gamma_{\mu} \partial_b \theta^1 - \theta^{2T} \Gamma_{\mu} \partial_b \theta^2) + \varepsilon^{ab} \theta^{1T} \Gamma^{\mu} \partial_a \theta^1 \theta^{2T} \Gamma_{\mu} \partial_b \theta^2 \right\}$$

 $e_g$ : a Lagrange multiplier or "gauge field"

E.o.M. for 
$$e_g$$
:  $e_g^2 = -h$ 

\* Integrating out  $e_g$  brings this back to the Nambu-Goto action.

Remarkably, the fermionic gauge symmetry is formally enhanced:

$$\begin{split} \delta^{\mathrm{f}} X^{\mu} &= -i(\delta^{\mathrm{f}} \theta^{1T} \Gamma^{\mu} \theta^{1} + \delta^{\mathrm{f}} \theta^{2T} \Gamma^{\mu} \theta^{2}) \\ \delta^{\mathrm{f}} e_{g} &= \frac{4ie_{g}^{2}}{e_{g}^{2} + h} \sum_{A=1}^{2} \left( \frac{-h}{e_{g}} h^{ab} + (-1)^{A+1} \varepsilon^{ab} \right) \delta^{\mathrm{f}} \theta^{AT} \Gamma_{\mu} \Pi_{a}^{\mu} \partial_{b} \theta^{A} \\ \delta^{\mathrm{f}} \theta^{A} \text{ is not projected by } \frac{1}{2} (\mathbf{1} \pm \tilde{\Gamma}). \end{split}$$
 [Y.A. to appear]

### Enhanced kappa symmetry

#### Algebra of the enhanced kappa symmetry

Each sector of the enhanced  $\kappa$  symmetry

$$\delta^{f} = \delta^{f\varphi} + \delta^{f\psi}$$
 with  $\varphi = \frac{1}{2}(\theta_1 + i\theta_2)$   $\psi = \frac{1}{2}(\theta_1 - i\theta_2)$ 

is closed off-shell, with a "trivial" gauge symmetry  $\delta^g e_g = \frac{e_g^2}{e_a^2 + h} \partial_a (e_g \mu^a)$ 

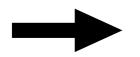
$$[\delta_{\kappa_1}^{\mathrm{f}\varphi}, \delta_{\kappa_2}^{\mathrm{f}\varphi}] = \delta_{\kappa_3}^{\mathrm{f}\varphi} + \delta_{\mu_3}^{\mathrm{g}}$$

$$[\delta^{\mathrm{b}}_{v_1}, \delta^{\mathrm{b}}_{v_2}] = \delta^{\mathrm{b}}_{v_3}, \qquad [\delta^{\mathrm{b}}_{v}, \delta^{\mathrm{f}\varphi}_{\kappa}] = \delta^{\mathrm{f}\varphi}_{\kappa'} - \delta^{\mathrm{b}}_{\delta_{\kappa}v},$$

 $[\delta^{\mathrm{b}}_{\nu}, \delta^{\mathrm{g}}_{\mu}] = \delta^{\mathrm{g}}_{\mu'} - \delta^{\mathrm{b}}_{\delta_{\mu}\nu}, \qquad [\delta^{\mathrm{f}\varphi}_{\kappa}, \delta^{\mathrm{g}}_{\mu}] = \delta^{\mathrm{f}\varphi}_{\kappa''} + \delta^{\mathrm{g}}_{\mu''}, \qquad [\delta^{\mathrm{g}}_{\mu_1}, \delta^{\mathrm{g}}_{\mu_2}] = \delta^{\mathrm{g}}_{\mu'_3},$ 

[Y.A. to appear]

 $i\theta_{2}$ )



BRST quantisation w/o ghosts of ghosts

\* Note the algebra is closed even if we take only the area-preserving diffeo. part  $\delta^{b'}X^{\mu} = -\varepsilon^{ab}\partial_b\xi\partial_aX^{\mu}$  instead of  $\delta^{b}$ . ... SU(N) trf. after the matrix regularisation

### **Schild-type action**

#### Gauge-fixing for obtaining the IKKT action

Fixing the gauge by  $e_g = \hat{e}_g(\sigma) = 1$   $\varphi = 0$ one obtains

$$S_{\text{Schild}} = \frac{1}{2\pi} \int d^2 \sigma \left[ \frac{1}{4} \{ X^{\mu}, X^{\nu} \}_{\hat{P}}^2 - \frac{1}{2} + 2i\psi^T \Gamma_{\mu} \{ X^{\mu}, \psi \}_{\hat{P}} + \text{ghosts} \right]$$
$$h = \det(\partial_a X^{\mu} \partial_b X_{\mu}) = \frac{1}{2} (\underbrace{\varepsilon^{ab} \partial_a X^{\mu} \partial_b X^{\nu}}_{=: \{ X^{\mu}, X^{\nu} \}_{\hat{P}}})^2$$

Matrix regularisation of this action would give the Lorentzian IKKT.

However, this Poisson bracket is defined on (1+1)D worldsheet... (matrix reg. wouldn't be well-defined)

#### Wick rotation

Unlike the Polyakov-type action, we can find a Wick rotation that rigorously connects the Lorentzian and Euclidean for the Schild-type action:

$$\sigma^{0} = e^{-i\theta}\sigma^{2}, \qquad X^{0} = e^{-i\theta}X^{10}, \qquad \psi = e^{i\theta/2}\psi^{(E)}$$
Then,  $\{f_{1}, f_{2}\}_{P} = -e^{i\theta}\sum_{a,b=1}^{2} \frac{\varepsilon^{ab}}{e_{g}}\partial_{a}f_{1}\partial_{b}f_{2} =: -e^{i\theta}\{f_{1}, f_{2}\}_{P}^{(E)}$ 

$$\exp[iS_{\text{Schild}}] = \exp\left[\frac{i}{2\pi}\int d\sigma^{0}d\sigma^{1}\left(\frac{1}{4}\{X^{i}, X^{j}\}_{\hat{P}}^{2} - \frac{1}{2}\{X^{0}, X^{i}\}_{\hat{P}}^{2} - \frac{1}{2} + 2i\psi^{T}\Gamma_{i}\{X^{i}, \psi\}_{\hat{P}} + 2i\psi^{T}\Gamma_{0}\{X^{0}, \psi\}_{\hat{P}}\right)\right]$$

$$= \exp\left[-\frac{1}{2\pi}\int d\sigma^{1}d\sigma^{2}\left(\frac{-ie^{i\theta}}{4}(\{X^{i}, X^{j}\}_{\hat{P}}^{(E)})^{2} + \frac{ie^{-i\theta}}{2}(\{X^{10}, X^{i}\}_{\hat{P}}^{(E)})^{2}\right]$$

$$\xrightarrow{\theta \to \frac{\pi}{2}} -2e^{2i\theta}\psi^{(E)T}\Gamma_{i}\{X^{i}, \psi^{(E)}\}_{\hat{P}}^{(E)} - 2ie^{i\theta}\psi^{(E)T}\Gamma_{10}\{X^{10}, \psi^{(E)}\}_{\hat{P}}^{(E)} + \frac{ie^{-i\theta}}{2}\right)\right]$$

$$\xrightarrow{\psi \to \exp\left[-\frac{1}{2\pi}\int d\sigma^{1}d\sigma^{2}\left(\frac{1}{4}\{X^{m}, X^{n}\}_{\hat{P}}^{(E)}^{2} + 2\psi^{(E)T}\Gamma_{m}\{X^{m}, \psi^{(E)}\}_{\hat{P}} + \frac{1}{2}\right)\right]} (m = 1, \dots, 9, 10$$

We've derived the Euclidean path integral by a change of contour.

#### Matrix regularisation [Hoppe '82]

Regularisation by a map from a function to a matrix

$$f(\sigma) = \sum_{l=0}^{\infty} \sum_{m=-l}^{l} f_{lm} \underbrace{Y_{lm}(\sigma)}_{lm} \longrightarrow \sum_{l=0}^{N-1} \sum_{m=-l}^{l} f_{lm} (Y_{lm})_{ij} = f_{ij}$$
matrix spherical harmonics

This maps the Poisson bracket and worldsheet integral to

$$\{\cdot,\cdot\}_{\hat{P}}^{(E)} \to \frac{2N}{i}[\cdot,\cdot], \qquad \frac{1}{\pi} \int d\sigma^1 d\sigma^2 \to \frac{1}{N} \operatorname{tr},$$

Then the action becomes, with rescaling of  $X^m$  and  $\psi^{(E)}$ ,

$$\exp[-S^{(E)}] = \exp\left[-N\operatorname{tr}\left(-\frac{1}{4}[X^m, X^n]^2 - \frac{i}{2}\psi^{(E)T}\Gamma_m[X^m, \psi^{(E)}] + \frac{1}{4N}\right)\right]$$

We have "derived" the Euclidean weight w/ the Euclidean IKKT action from the perturbative superstring theory.

#### Wick-rotating back the theory

Actually, the Euclidean IKKT model w/  $e^{-S}$  is equivalent to a Lorentzian IKKT model w/  $e^{iS}$  with natural regulators introduced

By a change of contour 
$$X^{i} = e^{i\theta/4}\tilde{X}^{i}, \quad X^{10} = -e^{-3i\theta/4}\tilde{X}^{0}, \quad \psi^{(E)} = e^{3i\theta/8}\psi$$
  

$$\exp\left[-N\operatorname{tr}\left(-\frac{1}{4}[X^{m},X^{n}]^{2} - \frac{i}{2}\psi^{(E)T}\Gamma_{m}[X^{m},\psi^{(E)}]\right)\right]$$

$$= \exp\left[N\operatorname{tr}\left(\frac{e^{-i\theta}}{2}[\tilde{X}^{0},\tilde{X}^{i}]^{2} + \frac{e^{i\theta}}{4}[\tilde{X}^{i},\tilde{X}^{j}]^{2} - \frac{1}{2}\psi^{T}\Gamma_{0}[\tilde{X}^{0},\psi] + \frac{ie^{i\theta}}{2}\psi^{T}\Gamma_{i}[\tilde{X}^{i},\psi]\right)\right]$$

$$\stackrel{\theta \to \frac{\pi}{2}}{\to} \exp\left[iN\operatorname{tr}\left(\frac{1}{4}[\tilde{X}_{\mu},\tilde{X}_{\nu}][\tilde{X}^{\mu},\tilde{X}^{\nu}] + \frac{i}{2}\psi^{T}\Gamma_{\mu}[\tilde{X}^{\mu},\psi] + i\varepsilon\left((X^{i})^{2} + (X^{0})^{2}\right)\right)\right]_{\varepsilon \to 0}$$
So, we get

$$Z = \int [dX] [d\psi^{(\mathrm{E})}] e^{-S[X,\psi^{(\mathrm{E})};\delta_{\mu\nu}]} \propto \int [d\tilde{X}] [d\psi] e^{iS[\tilde{X},\psi;\eta_{\mu\nu}]}$$

This is a well-defined finite integral for finite N.

[Krauth, Nicolai, Staudacher '98; Austing, Wheater '01]

#### Caveat about the Lorentzian IKKT model

However there is another definition of the Lorentzian IKKT model w/  $e^{iS}$ :

$$Z_{\gamma} = \int [d\tilde{X}][d\psi] \exp\left[iN \operatorname{tr}\left(\frac{1}{4}[\tilde{X}^{\mu}, \tilde{X}^{\nu}]^{2} + \frac{\gamma}{2}(e^{-i\varepsilon}\tilde{X}^{i}\tilde{X}^{i} - e^{i\varepsilon}\tilde{X}^{0}\tilde{X}^{0}) + \frac{i}{2}\psi^{T}\Gamma^{\mu}[\tilde{X}_{\mu}, \psi]\right)\right]$$

$$\varepsilon \to 0^{+} \text{ for } \gamma > 0, \quad \varepsilon \to 0^{-} \text{ for } \gamma < 0$$

$$\to \int [dX][d\psi^{(\mathrm{E})}] \exp\left[-N\operatorname{tr}\left(-\frac{1}{4}[X^{m}, X^{n}]^{2} - \frac{e^{\frac{\pi i}{4}\gamma}}{2}(e^{-i\varepsilon}X^{i}X^{i} + e^{i\varepsilon}X^{10}X^{10}) - \frac{i}{2}\psi^{(\mathrm{E})T}\Gamma_{m}[X^{m}, \psi^{(\mathrm{E})}]\right)\right]$$

The model w/  $\gamma \rightarrow 0^-$  is equivalent to the Euclidean model w/  $e^{-S}$  because Cauchy's thm. connects them via the change of contour.

But not for  $\gamma > 0$ ; thus the IKKT model w/  $\gamma \rightarrow 0^+$  is different! [Y.A., Nishimura, Piensuk, Yamamori; Y.A., Chou, Nishimura, Piensuk, Tripathi, Yamamori, to appear]

This difference would be interpreted as "different definitions of the vacuum."

#### **Vertex operators**

The BRST transformation on the worldsheet is  $\delta^{\text{BRST}}X^{\mu} = -2i\epsilon\gamma^{T}\Gamma^{\mu}\psi + \epsilon'\{c, X^{\mu}\}_{\hat{P}}, \quad \delta^{\text{BRST}}\psi = \epsilon'\{c, \psi\}_{\hat{P}}, \quad \delta^{\text{BRST}}\varphi = \epsilon\gamma + \epsilon'\{c, \varphi\}_{\hat{P}},$ A BRST inv. vertex:  $\int d^{2}\sigma e^{ik_{\mu}(X^{\mu}+2i\varphi^{T}\Gamma^{\mu}\psi)} \rightarrow \int d^{2}\sigma e^{ik_{\mu}X^{\mu}} \quad (\text{momentum-}k_{\mu} \text{ mode})$ 

In the matrix model,  $V^{\Phi} = \operatorname{tr} e^{ik_{\mu}X^{\mu}}$ 

This forms a massless multiplet of type IIB SUGRA by acting the supercharge operator *Q* onto this vertex.

$$e^{\lambda^{T}Q}\operatorname{tr} e^{ik_{\mu}X^{\mu}}e^{-\lambda^{T}Q} = \operatorname{tr} e^{ik_{\mu}X^{\mu} + \psi^{T}k_{\mu}\Gamma^{\mu}\lambda + \cdots}$$

$$= V^{\Phi} + V^{\tilde{\Phi}} k_{\mu} \Gamma^{\mu} \lambda + V^{B}_{\mu\nu} k_{\rho} \lambda^{T} \Gamma^{\mu\nu\rho} \lambda + \cdots$$

$\lambda^{0}$	$\lambda^1$	$\lambda^2$	$\lambda^3$	$\lambda^4$	•••
dilaton $\Phi$	dilatino $ ilde{\Phi}$	$B_{\mu u}$	gravitino $\Psi$	graviton $h_{\mu\nu}$ & $A_{\mu\nu\rho\sigma}$	

[Kitazawa '02; Iso, Terachi, Umetsu '04; Kitazawa, Mizoguchi, Saito '07]

# Summary

- We find there is a set of gauge trf. that closes its algebra for the string action in the Green-Schwarz formalism by rewriting the action to the Schild type. It allows us to quantise the theory without an infinite tower of ghosts.
- If we assume the IKKT matrix model is derived as a pure matrix regularisation of the Schild-type action, it is the Euclidean action w/  $e^{-S}$ .
- There is a Lorentzian IKKT model w/  $e^{iS}$  equiv. to the Euclidean one w/  $e^{-S}$ . However, since the Lorentzian IKKT partition fn. is conditionally convergent, there is another Lorentzian IKKT model inequivalent to the Euclidean one. Probably they share the same structure of the 1/N expansion, but the "derivation" cannot tell the correct "definition of the vacuum."
- A BRST-inv. massless-mode vertex is consistent with the suggested matrixmodel vertex operator tr  $e^{ik_{\mu}X^{\mu}}$  of a string (or D1), which forms a massless multiplet of type IIB SUGRA by acting the supercharge operator. Further analysis should clarify how to construct massive states in the IKKT.