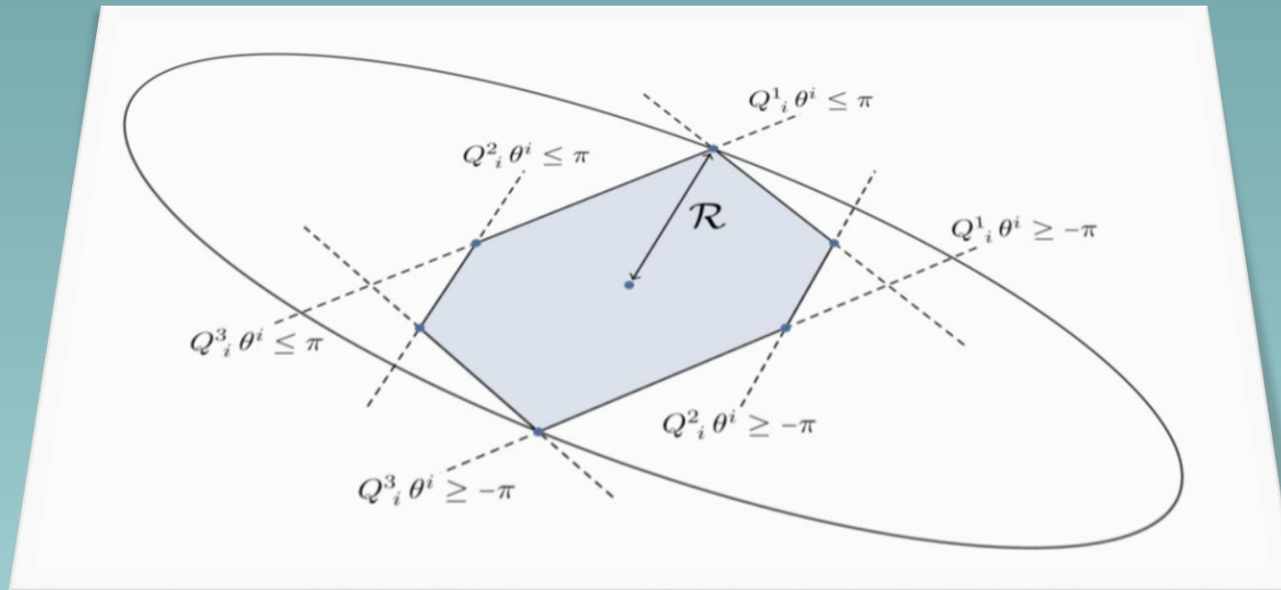


# Axion Inflation in Calabi-Yau Hypersurfaces



Liam McAllister  
Cornell

# Based on:

Long, L.M., Stout,  
“Systematics of Axion Inflation in Calabi-Yau Hypersurfaces,” 1603.01259

Long, L.M., Stout, to appear.

Khrulkov, Long, L.M., Stillman, Sung, work in progress.

Bachlechner, Long, L.M.,  
“Planckian Axions in String Theory,” 1412.1093.

Bachlechner, Long, L.M.,  
“Planckian Axions and the Weak Gravity Conjecture,” 1503.07853.

# Questions to Address

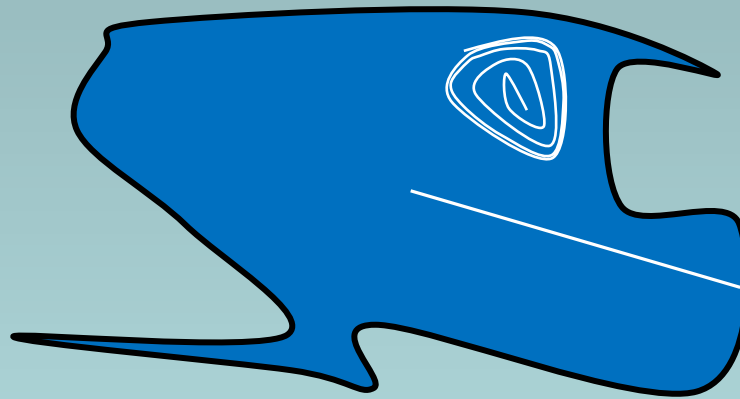
- Does quantum gravity allow super-Planckian inflationary displacements?

# Questions to Address

- Does quantum gravity allow super-Planckian inflationary displacements?
- Does **string theory** allow super-Planckian inflationary displacements?
  - simpler: specific, partially-computable quantum gravity theory.

# Questions to Address

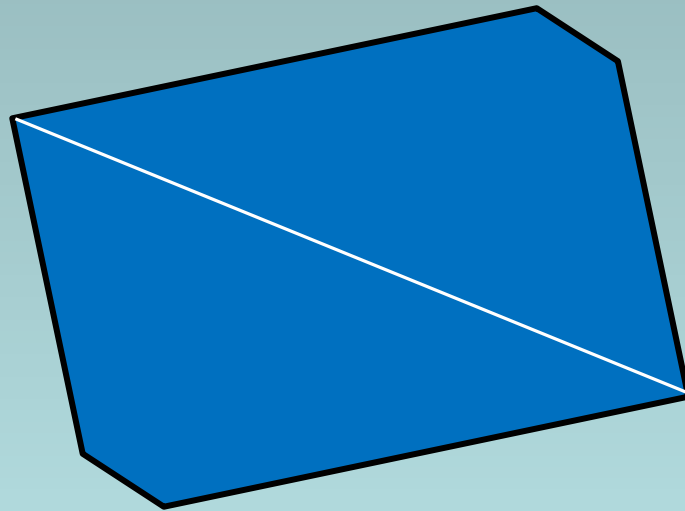
- Does quantum gravity allow super-Planckian inflationary displacements?
- Does string theory allow super-Planckian inflationary displacements?
- Does string theory allow super-Planckian **diameters**?
  - Inflationary displacements depend on dynamics, and on the structure of the potential. Long, tightly coiled paths possible. **Berg, Pajer, Sjors 09**



- Study theories where the potential has enough structure so that a long inflationary path requires a large diameter. This is a purely geometric requirement.

# Questions to Address

- Does quantum gravity allow super-Planckian inflationary displacements?
- Does string theory allow super-Planckian inflationary displacements?
- Does string theory allow super-Planckian diameters?
- Does string theory allow super-Planckian **axion** diameters?
  - Much simpler: all-orders shift symmetries structure the space and the potential.



# Questions to Address

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- Does string theory allow super-Planckian diameters?
- Does string theory allow super-Planckian axion diameters?
- Does string theory allow super-Planckian axion **fundamental domain diameters**?
  - That is, exclude monodromy, the repeated traversal of axion fundamental domains.  
**Silverstein, Westphal 08; L.M., Silverstein, Westphal 08; Kaloper, Sorbo 08; Flauger et al. 09; Kaloper, Lawrence, Sorbo 11; Palti, Weigand 14; Marchesano et al. 14; L.M. et al. 14**
  - Backreaction by the source of monodromy is an issue. **Flauger et al. 09; Conlon 11; Palti 15**

# Questions to Address

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- How large can the  $C_4$  axion fundamental domain be in type IIB compactifications on O3/O7 orientifolds of CY threefolds, at (relatively) weak coupling and large volume?

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Kreuzer and Skarke

# Questions to Address

- How large can the  $C_4$  axion fundamental domain be in type IIB compactifications on O3/O7 orientifolds of CY threefold hypersurfaces in toric varieties, at (relatively) weak coupling and large volume?
- What do we learn about mechanisms for/against large diameters?
  - How much alignment occurs in such systems? **Kim, Nilles, Peloso 04**
  - How strong are the WGC constraints on these theories?

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- How large can the  $C_4$  axion fundamental domain be in type IIB compactifications on O3/O7 orientifolds of CY threefold hypersurfaces in toric varieties, at (relatively) weak coupling and large volume?
- What do we learn about mechanisms for/against large diameters?
  - How much alignment occurs in such systems? **Kim, Nilles, Peloso 04**
  - How strong are the WGC constraints on these theories?
- Answers, **for  $h^{1,1} \leq 4$ , without seven-branes**:
  - Maximum semi-diameter is  $\sim 0.3 M_{\text{Pl}}$ .
  - Maximum alignment enhancement is a factor  $\sim 2.5$ .
- We expect large diameters and large alignment to be most common at  **$h^{1,1} \gg 1$ , with seven-branes**. Technically challenging; stay tuned.

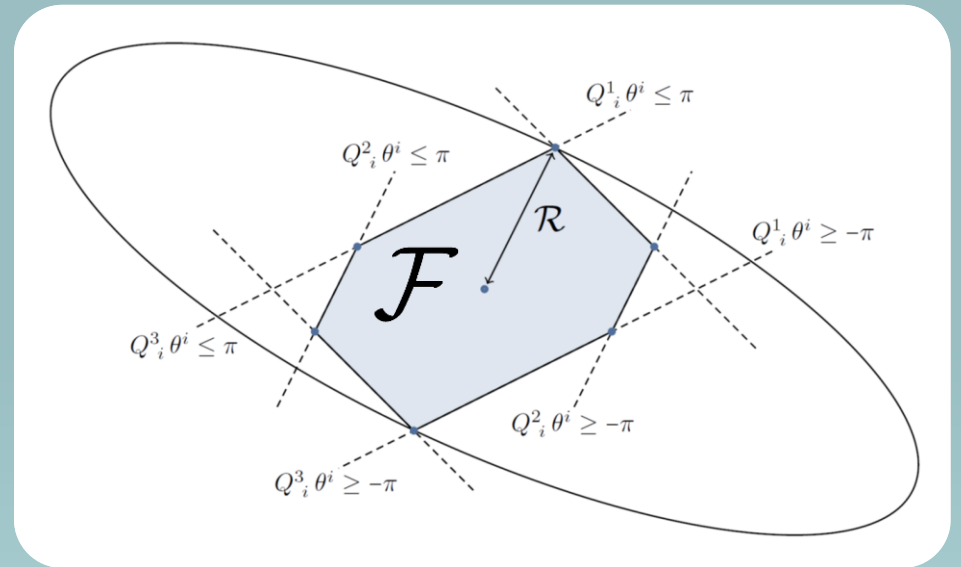
# Plan

- I. Goal: geometry of fundamental domain
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- VI. Outlook

$$\mathcal{L} = \frac{M_{\text{pl}}^2}{2} \mathcal{R}_4 - \frac{M_{\text{pl}}^2}{2} K_{ij} \partial^\mu \theta^i \partial_\mu \theta^j - \sum_{a=1}^P \Lambda_a^4 (1 - \cos(Q^a_i \theta^i)).$$

Hyperplanes:

$$-\pi \leq Q^a_i \theta^i \leq \pi$$



Fundamental domain,  $\mathcal{F}$  of radius  $\mathcal{R}$

$$\mathcal{R}^2 = \max_i \mathbf{d}_i^\top \cdot \mathbf{K} \cdot \mathbf{d}_i.$$

$$\mathcal{L} = \frac{M_{\text{pl}}^2}{2} \mathcal{R}_4 - \frac{M_{\text{pl}}^2}{2} K_{ij} \partial^\mu \theta^i \partial_\mu \theta^j - \sum_{a=1}^P \Lambda_a^4 (1 - \cos(Q_i^a \theta^i)).$$

When  $P=N$ , define:

$$\boldsymbol{\phi} = \mathbf{Q} \boldsymbol{\theta}$$

$$\boldsymbol{\Xi} = (\mathbf{Q}^{-1})^\top \mathbf{K} \mathbf{Q}^{-1}$$

$$\mathcal{L} = \frac{-1}{2} \partial \boldsymbol{\phi}^\top \boldsymbol{\Xi} \partial \boldsymbol{\phi} - \sum_{i=1}^N \Lambda_i^4 [1 - \cos(\phi_i)]$$

Eigenvalues  $\xi_1^2 \leq \dots \leq \xi_N^2$

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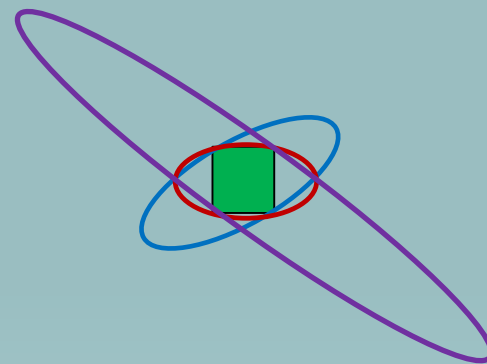
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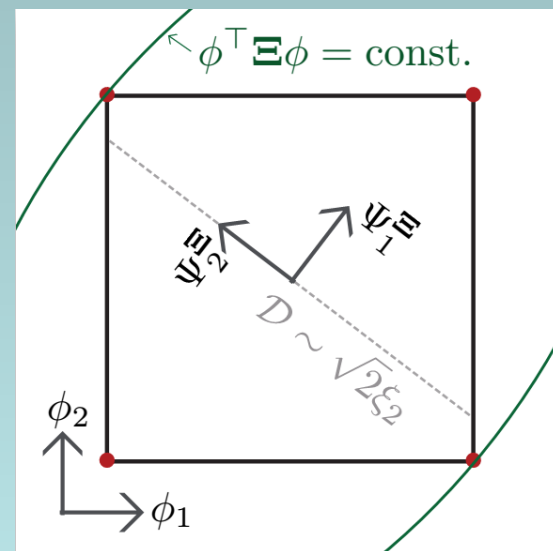
Eigenvalues  $\xi_1^2 \leq \dots \leq \xi_N^2$



Diameter determined by eigenvectors of  $\Xi$

Eigenvector  $\Psi_N^\Xi$ ,  
largest eigenvalue  $\xi_N^2$

$$\mathcal{D}_{\text{max}} = 2\pi \xi_N \sqrt{N}$$



# Lattice and kinetic alignment

$$\mathcal{D} \approx \xi_N \sqrt{N} = \frac{\xi_N}{f_N} \times \frac{f_N \sqrt{N}}{\sqrt{\sum f_i^2}} \times \sqrt{\sum f_i^2}$$

Enhancement from  
**lattice** alignment

Kim, Nilles, Peloso 04

Exponential.

Choi, Kim, Yun 14

Heavy-tailed.

Bachlechner, Long, L.M. 14

Enhancement from  
**kinetic** alignment

At most  $\sqrt{N}$ .

Bachlechner, Dias, Frazer, L.M. 14;

Naive estimate

Dimopoulos, Kachru,  
McGreevy, Wacker 05

**K**

Eigenvalues  $f_1^2 \leq \dots \leq f_N^2$

$$\mathbf{\Xi} = (\mathbf{Q}^{-1})^\top \mathbf{K} \mathbf{Q}^{-1}$$

Eigenvalues  $\xi_1^2 \leq \dots \leq \xi_N^2$

# Lattice and kinetic alignment

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Enhancement from  
**lattice** alignment

Kim, Nilles, Peloso 04

Essential.

Heavy to

Bachlechner, Long, L.M. 14

Enhancement from  
**kinetic** alignment

At most  $\sqrt{N}$ .

Bachlechner, Dias, F.

Naive estimate

Dimopoulos, Kachru,

McGreevy, Wacker 05

Lattice of charges  $Q$

Orientation of eigenvectors

# Varieties of Lattice Alignment

1. In an EFT of two axions, one can fine-tune the decay constants to achieve **lattice alignment**, and a super-Planckian effective period.  
Kim, Nilles, Peloso 04
2. In an EFT of  $N \gg 1$  axions, severely fine-tuned lattice alignment can give diameters  $> e^N$ .  
Choi et al. 14
3. In an EFT of  $N \gg 1$  axions, heavy-tailed lattice alignment occurs **automatically**.  
Bachlechner, Long, L.M. 14  $P(\mathcal{D} > 10^4 \langle \mathcal{D} \rangle) \sim 10^{-2}$

In each case we define the degree of alignment as

$$\eta = \frac{\mathcal{R}_{\text{actual}}}{\mathcal{R}_{Q=2\pi\mathbb{1}}}.$$

Are (1),(2),(3) possible in string theory? At what cost?  
How are they restricted by WGC constraints?

Arkani-Hamed, Motl, Nilles, Vafa 06; Cheung, Remmen 14; Rudelius 14,15; Brown, Cottrell, Shiu, Soler 15; Montero, Uranga, Valenzuela 15; Bachlechner, Long, L.M. 15; Heidenreich, Reece, Rudelius 15; et seq.

# Achieving lattice alignment

What is the largest eigenvalue of  $\Xi = (\mathbf{Q}^{-1})^\top \mathbf{K} \mathbf{Q}^{-1}$  ?

Take  $\mathbf{K} = f^2 \mathbf{1}_{N \times N}$ , so  $\Xi = (\mathbf{Q} \mathbf{Q}^\top)^{-1}$  and  $\xi_N^2 \equiv \lambda_N(\Xi) = \lambda_1^{-1}(\mathbf{Q} \mathbf{Q}^\top)$

$\mathbf{Q}$  is the charge matrix. Can  $\mathbf{Q} \mathbf{Q}^\top$  have a **small eigenvalue**?

Two approaches to lattice alignment in EFT:

1. Take  $\mathbf{Q}$  to be a suitable random matrix and study the statistics of  $\lambda_1(\mathbf{Q} \mathbf{Q}^\top)$  Bachlechner, Long, L.M. 14

2. Argue for a structure in  $\mathbf{Q}$  giving small  $\lambda_1(\mathbf{Q} \mathbf{Q}^\top)$ . Choi, Kim, Yun 14; Kaplan and Ratazzi 15.

Both approaches show that **exponential enhancements from lattice alignment are easy in EFT**. Possible in quantum gravity?

# Structure for lattice alignment

A structure in  $\mathbf{Q}$  can cause  $\mathbf{Q}\mathbf{Q}^\top$  to have a **small eigenvalue**.

$$\mathcal{L} = -\frac{1}{2}f^2 (\partial\theta^i)^2 - \sum_{i=1}^N \Lambda_i^4 \cos(3\theta^{i+1} - \theta^i)$$

$$\mathbf{Q}\mathbf{Q}^\top = \begin{pmatrix} 1 & -q & 0 & 0 & \dots \\ -q & 1+q^2 & -q & 0 & \dots \\ 0 & -q & 1+q^2 & -q & \dots \\ \vdots & \vdots & \vdots & \ddots & \dots \\ 0 & 0 & 0 & -q & q^2 \end{pmatrix}$$

$$\lambda_1(\mathbf{Q}\mathbf{Q}^\top) = q^{-2N}$$

But could such a  $\mathbf{Q}$  arise? Why?

Kaplan and Ratazzi:  $q=3$ , with extradimensional locality as a heuristic justification. String embedding highly questionable.

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# Kähler Metric

$$T^i = \frac{1}{2} \int_{D^i} J \wedge J + i \int_{D^i} C_4 \equiv \tau^i + i\theta^i, \quad h_-^{1,1} = 0$$

$$\mathcal{K} = -2 \log \mathcal{V} \quad \mathcal{V} = \frac{1}{6} \kappa^{ijk} t_i t_j t_k \quad \tau^i \equiv \partial \mathcal{V} / \partial t_i$$

Kähler metric **K** specified by intersection numbers.

Mori cone: set of holomorphic curves  $C$ ,  $\int_C J > 0$

We take the minimum curve volume to be  $(2\pi)^2 \alpha'$   
corresponding to  $\int_C J > 1$

Corrections  $\Delta \mathcal{K} \sim \mathcal{V}^{-1} e^{-2\pi\sqrt{g_s} t}$  suppressed by  $e^{-2\pi\sqrt{g_s}}$

Results homogeneous of degree -2 w.r.t.  $t_i \rightarrow \lambda t_i$

# Fourfold and Threefold Divisors

- Nonperturbative W from Euclidean D3-branes on suitable divisors.
- M-theory on fourfold:

$$\begin{array}{c} \hat{D} \subset Y_4 \\ \downarrow \\ D \subset B_3 \end{array}$$

Sufficient condition:

Witten 96

$$h^\bullet(\hat{D}, \mathcal{O}_{\hat{D}}) = (1, 0, 0, 0).$$

Translate to D:  $h^i(\hat{D}, \mathcal{O}_{\hat{D}}) = h^i(D, \mathcal{O}_D) + h^{i-1}(D, -\Delta|_D), \quad 0 \leq i \leq 3,$

If D does not intersect  $\Delta$ , it suffices to have

Grassi 97

$$h^\bullet(D, \mathcal{O}_D) = (1, 0, 0)$$

# Superpotential from Rigid Divisors

In the absence of worldvolume flux and bulk flux, and neglecting intersections with seven-branes, the leading terms in  $W$  arise from **rigid divisors**, i.e.  $D$  obeying

$$h^\bullet(D, \mathcal{O}_D) = (1, 0, 0)$$

Let  $D^i$  be a basis of  $H_4(X, \mathbb{Z})$  and let be the **rigid combinations**.

$$\mathbb{D}^\alpha \equiv q^\alpha_i D^i$$

Then:

$$W = W_0 + \sum_{\alpha=1}^p A_\alpha e^{-2\pi q^\alpha_i T^i}$$

# Axion Data from Toric Geometry

To specify the geometry of the fundamental domain, compute:

- Kähler metric  $K$ , from intersection numbers
- Mori cone, or equivalently **Kähler cone**
- Leading rigid divisors  $\mathbb{D}^\alpha \equiv q^\alpha_i D^i$ , yielding **charges  $Q$** .

Process:

1. Select a reflexive polytope from Kreuzer-Skarke list.
2. Triangulate to reach a toric variety  $V$  with at most pointlike singularities. Anticanonical hypersurface in  $V$  is a CY3,  $X$ .
3. Compute Mori cone + intersection numbers of  $X$ .
4. Search cone of effective divisors for rigid divisors.
5. If enough are found so that  $Q$  is full rank, keep result.

# Caveats

1. Select a reflexive polytope from Kreuzer-Skarke list.
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  4. Search cone of effective divisors for rigid divisors.
  5. If enough are found so that  $Q$  is full rank, keep result.
- We study only **favorable** hypersurfaces, meaning  $h^{1,1}(X, \mathbb{Z})$  is purely inherited from  $V$ .
  - ‘Mori cone’ here means  $\text{Mori}(V)$ . Can be  $\gg \text{Mori}(X)$ .
  - Some rigid divisors we find are **singular** (‘normal crossing’).

# Computational Issues

## Triangulation.

Finding all ('star, fine, regular') triangulations of a polytope is costly at  $h^{1,1} > 10$ . **Sage** fails.

For  $10 < h^{1,1} < 30$  a better algorithm suffices. Long, L.M., McGuirk 14

For large  $h^{1,1}$  one can find a single triangulation by a trick. A. Braun

We triangulate polytopes with  $h^{1,1} = 400$  in seconds.

Computing Mori cone + intersection numbers takes ~hours.

## Divisor topology.

For  $h^{1,1} < 5$ , **Cohomcalg** can compute  $h^\bullet(D, \mathcal{O}_D)$  Blumenhagen et al 10

For larger  $h^{1,1}$  we obtain topology of **toric** divisors from polytope data. We can find full-rank  $Q$  at  $h^{1,1} = 100$ .

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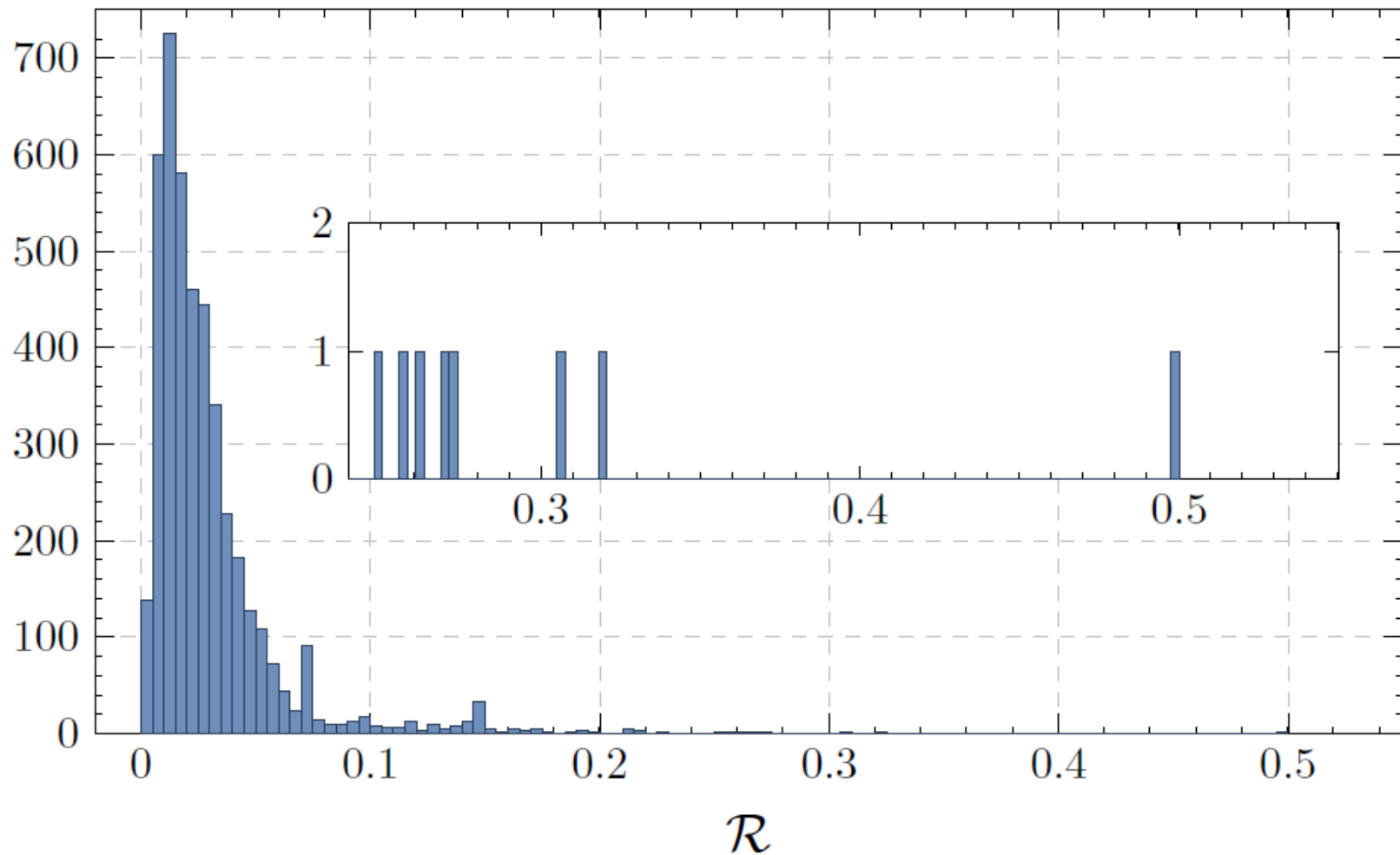
# Results

| $h^{1,1}(X)$                        | 2  | 3   | 4    |
|-------------------------------------|----|-----|------|
| Number of polytopes                 | 36 | 244 | 1197 |
| Number of favorable polytopes       | 36 | 243 | 1185 |
| Number of favorable triangulations  | 48 | 525 | 5330 |
| Number of full-rank triangulations  | 24 | 262 | 4104 |
| Full-rank with only smooth divisors | 9  | 199 | 3214 |

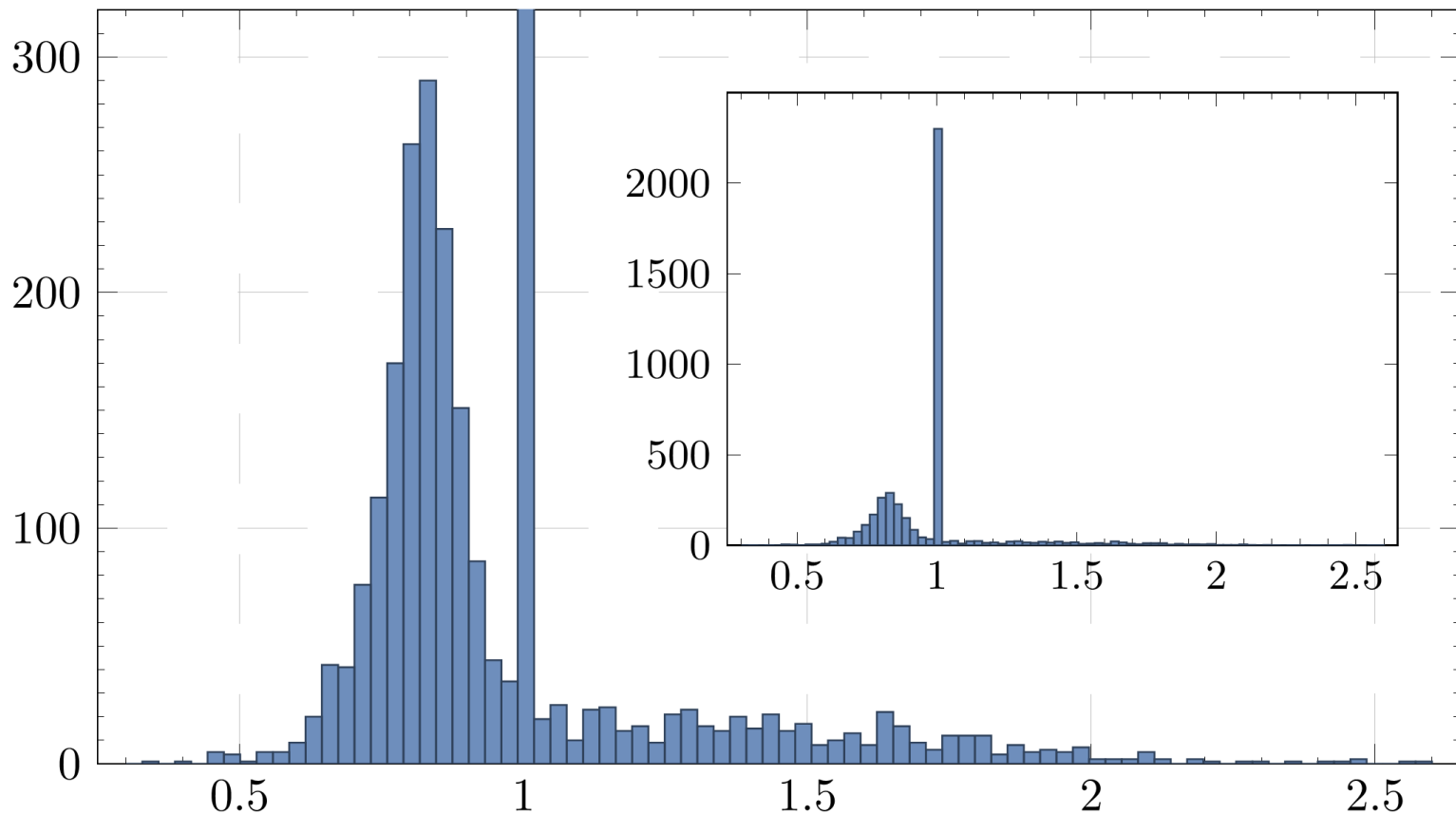
Results of the scan over reflexive polytopes with  $h^{1,1}(X) \leq 4$ .

4,390 theories with compact fundamental domains

# Semi-diameters



# Alignment



$\eta$

No alignment in 2,180 cases

Anti-alignment in 1,716 cases

Alignment in 494 cases

Max alignment = 2.55

# Example with Alignment

$$h^{1,1} = 4 \quad \mathbf{d}_i = \left\{ (-1, 2, -1, -1), (-1, -1, 2, 1), (-1, -1, 1, 1), (1, 0, -1, -1), \right. \\ \left. (-1, -1, 1, 2), (0, -1, 1, 1), (2, 1, -2, -2) \right\},$$

$$\mathcal{Q} = 2\pi \begin{pmatrix} 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ 2 & 2 & 1 & -1 \end{pmatrix}.$$

Alignment by factor  $\eta = 2.55$  extends range from  
 $\mathcal{R} = .05$  to  $\mathcal{R} = 0.12$ .

# Towards large $h^{1,1}$

- Computing divisor topology becomes challenging.
- But **toric** divisors' topology can be obtained from polytope data!
- Sometimes toric divisors suffice to give full-rank  $Q$ , giving an **upper bound** on the diameter and the degree of alignment.
- For each of  $h^{1,1}=50,60,\dots,100$  we found 10 threefolds in which toric divisors give a full-rank  $Q$ .
- Far too early to draw conclusions, but so far:
  - $Q$  matrices tend to be very close to the identity.
  - Many curves, so extremely large  $\mathcal{V}$ . [Mori(X) vs. Mori(V)?]

$$\eta_{\max} = 7.86$$

# Example with $h^{1,1}=100$

$$\mathcal{V} = 4 \times 10^{11}$$

$$\eta_{\max} = 7.86$$

$$\mathcal{R} = .00015$$

Q=97x97 identity, and:

$$\begin{aligned} & \left\{ \left\{ -\frac{1}{2}, -1, -\frac{3}{2}, -2, -\frac{3}{2}, -1, -\frac{1}{2}, \frac{1}{2}, 0, 0, -\frac{1}{2}, -1, -\frac{3}{2}, -2, -\frac{3}{2}, -1, -\frac{1}{2}, \frac{1}{2}, 0, -\frac{1}{2}, -1, -\frac{3}{2}, -2, -\frac{5}{2}, -3, -\frac{5}{2}, \right. \right. \\ & \quad -2, -\frac{3}{2}, -1, -\frac{1}{2}, 1, \frac{1}{2}, 0, -\frac{1}{2}, -1, -\frac{3}{2}, -2, -\frac{5}{2}, -3, -\frac{7}{2}, \frac{3}{2}, 1, \frac{1}{2}, 0, -\frac{1}{2}, -1, -\frac{3}{2}, -2, -\frac{5}{2}, -3, -\frac{7}{2}, 1, \frac{1}{2}, \\ & \quad 0, -\frac{1}{2}, -1, -\frac{3}{2}, -2, -\frac{5}{2}, -3, 1, \frac{1}{2}, 0, -\frac{1}{2}, -1, -\frac{3}{2}, -2, -\frac{5}{2}, 1, \frac{1}{2}, 0, -\frac{1}{2}, -1, -\frac{3}{2}, -2, 1, \frac{1}{2}, 0, -\frac{1}{2}, -1, \\ & \quad -\frac{3}{2}, 1, \frac{1}{2}, 0, -\frac{1}{2}, -1, 1, \frac{1}{2}, 0, -\frac{1}{2}, \frac{1}{2}, \frac{3}{2}, 1, \frac{3}{2}, 0, -\frac{1}{2}, -4, -1, \frac{1}{2}, 0 \Big\}, \\ & \left\{ -3, -\frac{7}{2}, -4, -\frac{9}{2}, -\frac{7}{2}, -\frac{5}{2}, -\frac{3}{2}, 0, -\frac{1}{2}, -1, -\frac{3}{2}, -2, -\frac{5}{2}, -3, -2, -1, 0, -\frac{5}{2}, -3, -\frac{7}{2}, -4, -\frac{9}{2}, -5, -\frac{11}{2}, -6, \right. \\ & \quad -5, -4, -3, -2, -1, -4, -\frac{9}{2}, -5, -\frac{11}{2}, -6, -\frac{13}{2}, -7, -\frac{15}{2}, -8, -\frac{17}{2}, -3, -\frac{7}{2}, -4, -\frac{9}{2}, -5, -\frac{11}{2}, -6, -\frac{13}{2}, \\ & \quad -7, -\frac{15}{2}, -8, -3, -\frac{7}{2}, -4, -\frac{9}{2}, -5, -\frac{11}{2}, -6, -\frac{13}{2}, -7, -\frac{5}{2}, -3, -\frac{7}{2}, -4, -\frac{9}{2}, -5, -\frac{11}{2}, -6, -2, -\frac{5}{2}, -3, -\frac{7}{2}, \\ & \quad -4, -\frac{9}{2}, -5, -\frac{3}{2}, -2, -\frac{5}{2}, -3, -\frac{7}{2}, -4, -1, -\frac{3}{2}, -2, -\frac{5}{2}, -3, -\frac{1}{2}, -1, -\frac{3}{2}, -2, -\frac{1}{2}, -\frac{7}{2}, 0, -\frac{5}{2}, \frac{1}{2}, \frac{1}{2}, -9, -\frac{3}{2}, -2, -\frac{5}{2} \Big\} \\ & \left\{ \frac{9}{2}, 5, \frac{11}{2}, 6, \frac{9}{2}, 3, \frac{3}{2}, -\frac{1}{2}, 0, 2, \frac{5}{2}, 3, \frac{7}{2}, 4, \frac{5}{2}, 1, -\frac{1}{2}, \frac{9}{2}, 5, \frac{11}{2}, 6, \frac{13}{2}, 7, \frac{15}{2}, 8, \frac{13}{2}, 5, \frac{7}{2}, 2, \frac{1}{2}, 7, \right. \\ & \quad \frac{15}{2}, 8, \frac{17}{2}, 9, \frac{19}{2}, 10, \frac{21}{2}, 11, \frac{23}{2}, \frac{11}{2}, 6, \frac{13}{2}, 7, \frac{15}{2}, 8, \frac{17}{2}, 9, \frac{19}{2}, 10, \frac{21}{2}, 5, \frac{11}{2}, 6, \frac{13}{2}, 7, \frac{15}{2}, 8, \frac{17}{2}, \\ & \quad 9, 4, \frac{9}{2}, 5, \frac{11}{2}, 6, \frac{13}{2}, 7, \frac{15}{2}, 3, \frac{7}{2}, 4, \frac{9}{2}, 5, \frac{11}{2}, 6, 2, \frac{5}{2}, 3, \frac{7}{2}, 4, \frac{9}{2}, 1, \frac{3}{2}, 2, \frac{5}{2}, 3, 0, \frac{1}{2}, 1, \frac{3}{2}, -\frac{1}{2}, \\ & \quad \left. \frac{13}{2}, -1, \frac{9}{2}, -1, -\frac{1}{2}, 12, 2, \frac{7}{2}, 4 \right\} \Big\} \end{aligned}$$

# Summary

We asked:

how large can  $C_4$  axion fundamental domain diameters be,  
and how much lattice alignment is possible,  
in type IIB compactifications on CY hypersurfaces,  
in a regime where all curves have volume  $> (2\pi)^2 \alpha'$ .

The instantons we included were Euclidean D3-branes  
without flux, wrapping rigid divisors that do not intersect  
seven-branes.

We studied 4,390 examples ( $2 \leq h^{1,1} \leq 4$  in Kreuzer-Skarke).  
Very modest alignment occurs, but is insufficient to allow a  
super-Planckian field range.

# Outlook

Important limitations that should be relaxed:

- Include seven-branes rather than just Euclidean D3-branes. Gaugino condensate dual Coxeter numbers help.
- Impose Mori cone conditions of  $X$ , not  $V$ .
- Include non-favorable threefolds.
- Consider  $C_2$  axions.
- Extend systematic scan to large  $h^{1,1}$ .
- Compute leading instantons in Kähler potential.

Implications:

- What can these theories teach us about Weak Gravity?

Can we sort this out before observations settle the question of primordial B-modes?



# A symmetric orientifold

# Orientifold of resolution of $T^6/\mathbb{Z}_2 \times \mathbb{Z}_2$ Denef et al. 04 (DFGK)

$h_{1,1} = 51$ ; 48 exceptional divisors, 12 SO(8) stacks on O7-planes

## Explicit 3-form flux quanta.

$$W = W_0 + \sum_i A_i e^{-q^i_j T^j}$$

$$\sigma_Q \approx 0.18$$

$$f_N \approx 0.013 M_{\text{pl}}$$

## Possible corrections:

Renormalization of  $G_N$ ? 1% from  $\alpha'^3 \mathcal{R}^4$ ; others?

## Other $\alpha'$ corrections?

## Further instantons, e.g. in K?

$$q = \frac{\pi}{3}$$
[illegible]