Some thoughts on entropy bounds, swampland and inflation

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ref.) arXiv:1905.10950 w/ Shuntaro Mizuno, Shi Pi and Yun-Long Zhang

BH entropy

$$S_{BH} = \frac{k_B c^3}{4\hbar G_N} A_H$$

- Gravity (G_N) & quantum mechanics (\hbar) & statistical mechanics (k_B) are involved!
- Thermodynamic entropy: S = In(# of states).
 Can be understood microscopically.
- BH entropy: S = In(# of states)? Can we understood it microscopically?
- We might be able to learn something about quantum gravity from BH entropy.
- BH entropy is also expected to be a key to understand information loss problem.

BH entropy

$$(c = \hbar = G_N = k_B = 1)$$

• Schwarzschild BH energy $E_{BH} = M_{BH}$ temperature $T_{BH} = T_{Hawking}$

$$ds^{2} = -f(r)dt^{2} + \frac{dr^{2}}{f(r)} + r^{2}d\Omega^{2}$$

$$f(r) = 1 - \frac{r_{H}}{r} \qquad r_{H} = 2M_{BH}$$

$$T_{Hawking} = \frac{\kappa}{2\pi} = \frac{f'(r_{H})}{4\pi} = \frac{1}{8\pi M_{BH}}$$

• 1st law (Bardeen-Carter-Hawking 1973)

$$T_{BH} dS_{BH} = dE_{BH}$$

 $dS_{BH} = dE_{BH} / T_{BH} = 8\pi M_{BH} dM_{BH} = d(4\pi M_{BH}^2)$
 $S_{BH} = 4\pi M_{BH}^2 = A_H/4$

• (classical) 2^{nd} law $\Delta S_{BH} \ge 0$

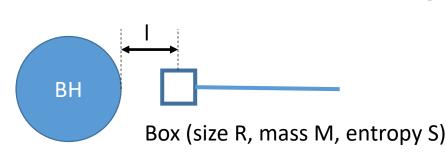
$$S_{BH} = \frac{k_B c^3}{4\hbar G_N} A_H$$

• (semi-classical) generalized 2nd law (GSL)

$$\Delta S_{tot} \ge 0$$
, where $S_{tot} = S_{BH} + S_{matter}$

Quantum gravity probably breaks GSL @ Page time

Bekenstein bound (1981)



$$ds^{2} = -f(r)dt^{2} + \frac{dr^{2}}{f(r)} + r^{2}d\Omega^{2}$$

$$T_{BH} = \frac{\kappa}{2\pi} = \frac{f'(r_H)}{4\pi}$$

Near horizon behavior

(r: box's position)

$$f(r) \approx f'(r_H)(r - r_H) = 4\pi T_{BH}(r - r_H) \approx (2\pi T_{BH} l)^2 \left(l = \int_{r_H}^r \frac{dr'}{\sqrt{f(r')}} \approx \frac{1}{\sqrt{4\pi T_{BH}}} \int_{r_H}^r \frac{dr'}{\sqrt{r' - r_H}} = \sqrt{\frac{r - r_H}{\pi T_{BH}}} \right)$$

• Box's energy measured @ infinity

$$E = M\sqrt{f(r)} \simeq 2\pi M T_{BH} l$$

• 1st law with $\Delta M_{BH} = E$

$$\Delta S_{BH} = \frac{\Delta M_{BH}}{T_{BH}} = \frac{E}{T_{BH}} \approx 2\pi M_{BH} l$$

Total entropy

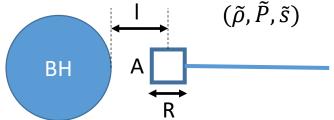
$$\Delta S_{tot} = \Delta S_{BH} - S \approx 2\pi Ml - S$$

• GSL ($\Delta S_{tot} \ge 0$) for $\forall I \ge R$ requires

$$S \leq 2\pi MR$$

Unruh-Wald argument (1982)

Thermal atmosphere around BH causes a buoyancy force



Box filled with a gas (ρ, P, s)

Buoyancy force

$$\left(A\tilde{P}\sqrt{f}\right)_{l-R/2} \qquad \qquad \left(A\tilde{P}\sqrt{f}\right)_{l+R/2}$$

$$f_b(l) = \left(A\tilde{P}\sqrt{f}\right)_{l-R/2} - \left(A\tilde{P}\sqrt{f}\right)_{l+R/2}$$

Work done against the buoyancy force

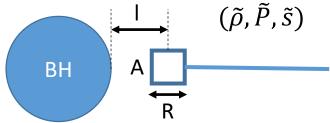
$$W_b(l) = -\int_{-\infty}^{l} f_b(l') dl' = \int_{box} \tilde{P} \sqrt{f} dV$$

Box's energy measured @ infinity

$$E_{box} = \int_{box} \rho \sqrt{f} \, dV$$

Unruh-Wald argument (1982)

Thermal atmosphere around BH causes a buoyancy force



Box filled with a gas (ρ, P, s)

• 1st law with $\Delta M_{BH} = E_{box} + W_{b}$

$$\Delta S_{BH} = \frac{\Delta M_{BH}}{T_{BH}} = \frac{1}{T_{BH}} \int_{hox} (\rho + \tilde{P}) \sqrt{f} dV$$

Total entropy

Total entropy
$$\Delta S_{tot} = \Delta S_{BH} - S = \int_{box} \left[\frac{1}{\tilde{T}} (\rho + \tilde{P}) - s \right] dV$$

$$\tilde{T} \equiv \frac{T_{BH}}{\sqrt{f}} : \text{Tolman temperature}$$

$$s : \text{entropy density of gas}$$

$$= \int_{box} \frac{1}{\tilde{T}} [(\rho - \tilde{T}s) - (\tilde{\rho} - \tilde{T}\tilde{s})] dV \ge 0$$

$$\tilde{T} \equiv \frac{T_{BH}}{\sqrt{f}}$$
: Tolman temperature

Gibbs-Duhem relation

$$\tilde{\rho} = \tilde{T}\tilde{s} - \tilde{P}$$

The thermal state minimizes $\rho - \tilde{T}s$



Bekenstein bound is NOT needed for the validity of GSL!

This argument can be extended to a charged BH (Shimomura-Mukohyama 2000) & a rotating BH (Gao-Wald 2001).

Casini's "proof" of Bekenstein bound (2008)

Relative entropy

$$S(\rho_1|\rho_2) \equiv Tr(\rho_1 \ln \rho_1) - Tr(\rho_1 \ln \rho_2)$$

non-negativity of relative entropy

 $S(\rho_1|\rho_2) \ge 0$, where equality holds iff $\rho_1 = \rho_2$ (proof)

 $\{|a_i\rangle\}\&\{|b_i\rangle\}$ complete orthonormal sets of eigenvectors of $\rho_1 \& \rho_2$

$$\rho_1 = \sum_i |a_i\rangle a_i\langle a_i| \qquad \qquad \rho_2 = \sum_i |b_i\rangle b_i\langle b_i|$$

$$S(\rho_1|\rho_2) = Tr(\rho_1 \ln \rho_1) - Tr(\rho_1 \ln \rho_2) + Tr\rho_2 - Tr\rho_1 = \sum_{i,j} \left|\langle a_i|b_j\rangle\right|^2 \left(a_i \ln a_i - a_i \ln b_j + b_j - a_i\right) \ge 0$$

$$\underline{Q.E.D.}$$

Setup

V: a spatial region on a Cauchy surface

-V : complementary set of V ρ : a quantum state

 ρ^0 : vacuum

$$\rho_V \equiv Tr_{-V}\rho$$

$$\rho_V^0 \equiv Tr_{-V}\rho^0$$

Local Hamiltonian K (modular Hamiltonian in continuum theory)

$$\rho_V^0 = \frac{e^{-K}}{Tre^{-K}}$$

e.g.)
$$K = 2\pi \int dx dy \int_0^\infty dz \, z H(x, y, z) = \int d^3x \frac{H(x, y, z)}{T_{Rindler}(z)}$$
 for V = half space

Casini's "proof" of Bekenstein bound (2008)

• "Proof"

$$0 \leq S(\rho_{V}|\rho_{V}^{0}) \equiv Tr(\rho_{V}\ln\rho_{V}) - Tr(\rho_{V}\ln\rho_{V}^{0})$$

$$= Tr(\rho_{V}\ln\rho_{V}) + Tr(K\rho_{V}) + \frac{\ln(Tre^{-K})}{Tr[\rho_{V}^{0}\ln(Tre^{-K})]}$$

$$= \frac{Tr(\rho_{V}\ln\rho_{V})}{\sim} - \frac{Tr(\rho_{V}^{0}\ln\rho_{V}^{0})}{\sim} + Tr(K\rho_{V}) - Tr(K\rho_{V}^{0})$$

$$\stackrel{\sim}{\sim} S(\rho_{V}) - S(\rho_{V}^{0}) \leq \frac{Tr(K\rho_{V}) - Tr(K\rho_{V}^{0})}{\sim}$$

$$S(\rho_{V}) - S(\rho_{V}^{0}) \leq \frac{Tr(K\rho_{V}) - Tr(K\rho_{V}^{0})}{\sim}$$

$$\frac{S(\rho_{V}) - S(\rho_{V}^{0})}{\sim} \leq \frac{Tr(K\rho_{V}) - Tr(K\rho_{V}^{0})}{\sim}$$

This is basically Bekenstein bound

$$S \le 2\pi MR$$

- Therefore, despite the doubt on its derivation/motivation, the bound itself seems correct if interpreted properly!
- Perhaps we should be cautious but, at the same time, open-minded to new ideas and conjectures!

Swampland conjectures (Ooguri-Vafa 2007, + a 2018)

Distance conjecture

$$L_{\rm kin} = -\frac{1}{2} \gamma_{ab}(\phi^c) g^{\mu\nu} \partial_{\mu} \phi^a \partial_{\nu} \phi^b \qquad V(\phi^c) = 0$$

 $\Delta \phi$: geodesic distance in the moduli space \rightarrow towers of light states with mass

$$m \sim e^{-a\Delta\phi}$$
 a (>0) = O(1)

- Assumption I: The distance conjecture holds not only in the moduli space with $V(\phi^c) = 0$ but also in the field space with $V(\phi^c) \neq 0$. [This is in conflict with e.g. monodromy inflation.]
- # of particle species below the cutoff of an EFT

$$N \sim n(\phi) e^{b\phi} \,, \quad rac{dn}{d\phi} > 0$$
 n(ϕ) : effective # of towers

• Ansatz : entropy of the towers of particles in accelerating universe

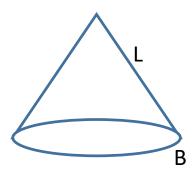
$$S_{\rm tower}(N,R) \sim N^{\delta_1} R^{\delta_2} \qquad \delta_{\rm 1,2} \ \mbox{(>0) = O(1)} \qquad \begin{array}{l} \mbox{N: \# of particle species} \\ \mbox{R = 1/H : AH radius} \end{array}$$

Covariant entropy bound (Bousso 1999)

$$S \le \frac{A}{4}$$

S: entropy on L

A: area of B



L (light-sheet): a hypersuraface generated by null geodesics that are orthogonal to B and that have non-positive expansion

B: a spacelike 2-surface

- Bekenstein bound is not covariant and it assumes constant and finite size, negligible gravity, and no negative energy.
- Bousso bound is covariant and can be applied to gravitational collapse and FLRW universes.

Swampland conjectures (Ooguri-Vafa 2007, + \alpha 2018)

• Covariant entropy bound, conservatively applied to quasi de Sitter

If
$$\left|rac{\dot{H}}{H^2}
ight|\lesssim c_1, \quad rac{\min m_{
m scalar}^2}{H^2}\gtrsim -c_2 \ {
m c}_{1,2} \ (ext{>0}) = {
m O}(1)$$

- + the entropy ansatz with R = 1/H ightarrow $N \lesssim H^{-(2-\delta_2)/\delta_1}$
- Assumption II: The upper bound on N is an increasing function of the horizon radius and is saturated for large N.

$$N \sim \left(\frac{1}{H}\right)^{\frac{2-\delta_2}{\delta_1}}, \quad \delta_1 > 0, \quad 0 < \delta_2 < 2$$

• Equate the two expressions for N, considering ϕ as a time variable

$$\ln n(\phi) \sim -b\phi - \frac{2-\delta_2}{2\delta_1} \ln H^2$$

$$\frac{dn}{d\phi} > 0 \qquad \qquad \boxed{\frac{1}{H^2} \frac{d(H^2)}{d\phi} \bigg| \gtrsim \frac{\textbf{(3)}}{c_0}, \quad c_0 \equiv \frac{2b\delta_1}{2-\delta_2}} \quad \text{if (1)\&(2) hold}$$

• If (3) does not hold then either (1) or (2) should be violated

$$\left| \frac{1}{H^2} \frac{d(H^2)}{d\phi} \right| \gtrsim c_0$$
, or $\left| \frac{\dot{H}}{H^2} \right| \gtrsim c_1$, or $\frac{\min m_{\text{scalar}}^2}{H^2} \lesssim -c_2$

Swampland conjectures (Ooguri-Vafa 2007, + \alpha 2018)

• This is the (refined) de Sitter swampland conjecture rewritten in a way that is useful for extensions

$$\left| \frac{1}{H^2} \frac{d(H^2)}{d\phi} \right| \gtrsim c_0$$
, or $\left| \frac{\dot{H}}{H^2} \right| \gtrsim c_1$, or $\frac{\min m_{\text{scalar}}^2}{H^2} \lesssim -c_2$

• For a single-field slow-roll inflation with a canonical kinetic term,

$$\left|\frac{V'}{V}\right| > c$$
, or $\frac{V''}{V} < -c'$ $c \equiv \min(c_0, \sqrt{2c_1})$ $c' \equiv c_2/3$

this is what is usually known as the (refined) de Sitter conjecture.

- The de Sitter conjecture would be a serious challenge to the standard single-field slow-roll inflation (or to string theory).
- On the other hand, our universe may be fine-tuned. An "O(1)" number may be as small as 10⁻¹²⁰ in our universe (the c.c. problem).
- Anyway, I think it is important/interesting to push forward the idea as far as we can go.

Extension to DBI scalar (arXiv:1905.10950 w/ Shuntaro Mizuno, Shi Pi and Yun-Long Zhang)

 String theory allows for not only canonical scalar but also DBI scalar (representing the position of a D-brane in extra-dimensions)

$$I_{\rm DBI} = \int d^4x \sqrt{-g} \left\{ T(\varphi) \left[-\sqrt{1 - \frac{2X}{T(\varphi)}} + 1 \right] - U(\varphi) \right\} \qquad X = -\frac{1}{2} g^{\mu\nu} \partial_{\mu} \varphi \partial_{\nu} \varphi$$

- Can we extend the swampland conjectures to a DBI scalar and, more generally, to a k-essence type scalar with Lagrangian P(X , ϕ) ?
- There seems at least three options:
 - A) Expand the action w.r.t. X as $P(X,\varphi)=P_0(\varphi)+P_1(\varphi)X+\mathcal{O}(X^2)$ and then make the following identification

$$V(\phi) \Leftrightarrow -P_0(\varphi), \quad d\phi \Leftrightarrow \sqrt{P_1(\varphi)}d\varphi$$

B) Introduce perturbation as calculate the quadratic action as and then make the identification

$$\varphi = \varphi^{(0)}(t) + \pi(t, \vec{x})$$

$$P(X, \varphi) \ni \frac{1}{2} \mathcal{K}_{\parallel} \dot{\pi}^{2} - \frac{1}{2a^{2}} \mathcal{K}_{\perp} \delta^{ij} \partial_{i} \pi \partial_{j} \pi$$

$$d\phi \Leftrightarrow \sqrt{\mathcal{K}_{\parallel}} d\varphi \qquad \mathcal{K}_{\parallel} = (2P_{,XX}X + P_{,X})^{(0)}$$

- C) Make the identification $\ d\phi \ \Leftrightarrow \ \sqrt{\mathcal{K}_{\perp}} d\varphi$ $\mathcal{K}_{\perp} = P_{,X}^{(0)}$
- None of the three options is convincing...

2-field model with hyperbolic field space

 Distance conjecture → negatively curved moduli/field space simplest: 2d hyperbolic field space

$$\gamma_{ab}(\phi^c)d\phi^a d\phi^b = d\chi^2 + e^{2\beta\chi}d\varphi^2$$

Simple 2-field model

$$I = \int d^4x \sqrt{-g} \left\{ -\frac{1}{2} g^{\mu\nu} \partial_{\mu} \chi \partial_{\nu} \chi - \frac{1}{2} e^{2\beta\chi} g^{\mu\nu} \partial_{\mu} \varphi \partial_{\nu} \varphi - T(\varphi) \left[\cosh(2\beta\chi) - 1 \right] - U(\varphi) \right\}$$

χ-eom for large β²

$$\chi\text{-eom for large }\beta^2$$

$$\frac{1}{-\Box\chi+2\beta e^{2\beta\chi}X-2\beta T(\varphi)\sinh(2\beta\chi)=0} \implies \chi\simeq\frac{1}{2\beta}\ln\gamma \qquad \gamma\equiv\frac{1}{\sqrt{1-\frac{2X}{T(\varphi)}}}$$

$$\chi \text{ has a large mass }\partial_\chi^2 V|_{2\beta\chi=\ln\gamma}=\frac{4T}{\gamma}\beta^2 \qquad \Longrightarrow \chi \text{ can be integrated out}$$

Effective single-field action

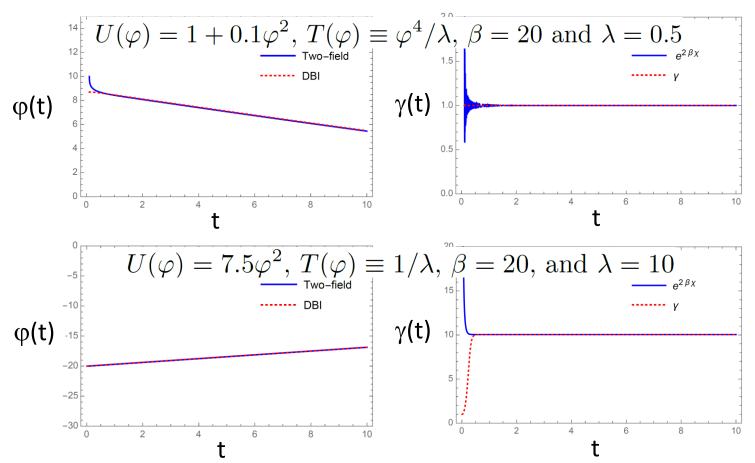
$$I_{\text{eff}} = \int d^4x \sqrt{-g} \left\{ T(\varphi) \left[-\sqrt{1 - \frac{2X}{T(\varphi)}} + 1 \right] - U(\varphi) \right\}$$

This is a DBI action!

c.f. This is a special case of the gelaton (Tolley & Wyman 2010; Edler & Joyce & Khoury & Tolley 2015).

2-field model with hyperbolic field space

The 2-field model and the single-field DBI model agree very well!



- For the 2-field model we know how to use the swampland conjecture.
- Perhaps we can obtain the swampland conjecture for the single-field DBI model by taking $\beta^2 \rightarrow \infty$ limit

2-field model with hyperbolic field space

• Geodesic distance in the field space for large β^2

$$d\phi = \sqrt{\gamma_{ab}(\phi^c)d\phi^a d\phi^b} = \sqrt{d\chi^2 + e^{2\beta\chi}d\varphi^2} \simeq \left[\frac{\dot{\gamma}^2}{4\beta^2\gamma^2\dot{\varphi}^2} + \gamma\right]^{\frac{1}{2}}d\varphi \simeq \sqrt{\gamma}d\varphi$$

Thus the fist condition in the dS conjecture is

$$\left| \frac{1}{H^2} \frac{d(H^2)}{d\phi} \right| \gtrsim c_0 \qquad \longleftrightarrow \qquad \left| \frac{1}{\sqrt{\gamma}} \left| \frac{1}{H^2} \frac{d(H^2)}{d\varphi} \right| \gtrsim c_0 \right|$$

Squared masses of scalar perturbation modes for large β²

$$\det \begin{bmatrix} m^{2}\mathcal{K} - 2im\mathcal{M} - \mathcal{V} \end{bmatrix} = 0 m_{+}^{2} = 4T(\varphi)\gamma\beta^{2} + \mathcal{O}(\beta^{0}) \qquad \Omega = \frac{1}{\gamma^{3}}U'' + \frac{(\gamma - 1)^{2}}{2\gamma^{4}}T'' m_{-}^{2} = \Omega + \mathcal{O}(\beta^{-2}) + \mathcal{O}(M_{\mathrm{Pl}}^{-2}) \qquad -\frac{1}{16\gamma^{4}T} \left[\gamma^{2}T' + 2\gamma(T' - U') - 3T' \right]^{2}$$

Thus the last condition in the dS conjecture is

$$\frac{\min m_{\text{scalar}}^2}{H^2} \lesssim -c_2 \quad \longleftrightarrow \quad \frac{\Omega}{H^2} \lesssim -c_2$$

De Sitter swampland conjecture for a DBI scalar

(arXiv:1905.10950 w/ Shuntaro Mizuno, Shi Pi and Yun-Long Zhang)

• For the 2-field system (φ , χ) in $\beta^2 \rightarrow \infty$ limit

$$\left| \frac{1}{H^2} \frac{d(H^2)}{d\phi} \right| \gtrsim c_0, \quad \text{or} \quad \left| \frac{\dot{H}}{H^2} \right| \gtrsim c_1, \quad \text{or} \quad \frac{\min m_{\text{scalar}}^2}{H^2} \lesssim -c_2$$

$$\longleftrightarrow \quad \left| \frac{1}{\sqrt{\gamma}} \left| \frac{1}{H^2} \frac{d(H^2)}{d\varphi} \right| \gtrsim c_0, \quad \text{or} \quad \left| \frac{\dot{H}}{H^2} \right| \gtrsim c_1, \quad \text{or} \quad \frac{\Omega}{H^2} \lesssim -c_2$$

$$\Omega = \frac{1}{\gamma^3} U'' + \frac{(\gamma - 1)^2}{2\gamma^4} T'' - \frac{1}{16\gamma^4 T} \left[\gamma^2 T' + 2\gamma (T' - U') - 3T' \right]^2$$

• In $\beta^2 \rightarrow \infty$ limit, the 2-field model is equivalent to the single-field DBI and thus the above condition may be considered as

de Sitter swampland conjecture for a DBI scalar

de Sitter swampland conjecture for a DBI scalar
$$I_{
m DBI}=\int d^4x \sqrt{-g}\left\{T(\varphi)\left[-\sqrt{1-rac{2X}{T(\varphi)}}+1
ight]-U(\varphi)
ight\}$$

- This would ensure the equivalence between the de Sitter swampland conjectures in the 2-field model and the single-field DBI model
- The limit $\gamma \rightarrow 1$ with $\phi \& X$ and $(\ln T)' \& (\ln T)''$ kept finite recovers canonical one $\left| \frac{1}{H^2} \frac{d(H^2)}{dc_0} \right| \gtrsim c_0$, or $\left| \frac{H}{H^2} \right| \gtrsim c_1$, or $\frac{U''}{H^2} \lesssim -c_2$

Extension to general P(X, φ)

Equivalent Lagrangian

$$L = P(\chi, \varphi) + \lambda(\chi - X) = P(\chi, \varphi) + P_{,\chi}(\chi, \varphi)(X - \chi)$$

ullet Adding a small kinetic term of χ

$$\tilde{L} = L + Z^2 g^{\mu\nu} \partial_{\mu} \chi \partial_{\nu} \chi / 2$$

Geodesic distance in the field space

$$d\phi = \sqrt{P_{,\chi}(\chi,\varphi) + Z^2(d\chi/d\varphi)^2} d\varphi \stackrel{\mathbf{z} \to \mathbf{0}}{\Longrightarrow} d\phi = \sqrt{P_{,X}(X,\varphi)} d\varphi$$

- Scalar perturbations in the k=0 sector contain two fast modes $\sim e^{\pm m_+ t} \text{ with } m_+^2 = \mathcal{O}(Z^{-2}) > 0$ two slow modes $\sim e^{\pm m_- t} \text{ with } m_-^2 = \mathcal{O}(Z^0)$
- De Sitter swampland conjecture for P(X , ϕ)

$$\frac{1}{\sqrt{P_{,X}(X,\varphi)}} \left| \frac{1}{H^2} \frac{d(H^2)}{d\varphi} \right| \gtrsim c_0, \quad \text{or} \quad \left| \frac{\dot{H}}{H^2} \right| \gtrsim c_1, \quad \text{or} \quad \frac{m_-^2}{H^2} \lesssim -c_2$$

Summary

- Analogy between thermodynamics & properties of BH \rightarrow BH entropy $S_{BH} = A_H/4$ (A_H : horizon area)
- Bekenstein bound was "derived" by a gedanken experiment $S \leq 2\pi MR$
- Bekenstein's "derivation" was refuted by Unruh & Wald. Nonetheless the bound seems correct (if interpreted properly) and was "proven" by Casini.
- The distance conjecture + the covariant entropy bound motivate the de Sitter swampland conjecture under a number of speculations. Some of the speculations may be doubtful but the conjecture itself may be correct (as in the case of Bekenstein bound).
- Note that in our universe "O(1)" numbers may be small (could be as small as 10⁻¹²⁰ as in the case of c.c.).
- The conjecture was formulated for scalars with linear kinetic terms but string theory allows for DBI scalars with nonlinear kinetic terms.
- We therefore extended the de Sitter conjecture to a DBI scalar by considering a model of two scalars with a hyperbolic field space that reduces to a single-field DBI and applying the conjecture to the 2-field model.
- We also considered extension to a general P(X, φ).