

Phases of Axion Inflation

Wieland Staessens (JdC)

based on 17xx.xxxxx (1503.01015, 1503.02965 [hep-th])

with G. Shiu



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UAM/CSIC
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Council

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Inflationary axions & String Theory

- Controlled perturbative corrections to V_{inf} Linde (1988) for axions with $a \rightarrow a + \varepsilon$
 \Rightarrow prerequisite for large field inflation (LFI)
 \rightsquigarrow natural inflation Freese-Frieman-Olinto (1990) with $V = \Lambda_s^4 [1 - \cos(\frac{a}{f})]$
 slow-roll for $f > M_{Pl}$ and $V^{1/4} \sim \Lambda_s \sim 10^{16}$ GeV

In StringPheno, we ask questions like:

(1) How to embed LFI?

(McAllister)

- ★ Multi-axions \rightsquigarrow N-flation (2005), aligned natural (2004), kinetic mixing (2015)
- ★ different mass mechanism \rightsquigarrow axion monodromy (2008, 2014)

(2) How are models constrained by quantum gravity?

- ★ $f > M_{Pl}$ No-go theorems for single axion Banks et al (2003), Svrček-Witten (2006)
- ★ WGC + swampland conjectures (Shiu, Heidenreich, Rudelius, Valenzuela, Blumenhagen, Ooguri, Hebecker, Wolf, Kläwer, Herraez, Montero, Stout)

Here: Explore richness of EFT for stringy axions in Type II with D-branes & mass generation mechanisms

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Stringy Axions from Type II compactifications

reviews: Baumann (2009), Baumann-McAllister (2009,2014), Westphal (2014), Grimm-Louis (2005), Grimm-Lopes (2011), Kerstan-Weigand (2011), Grimm-Louis (2004), Jockers-Louis (2005), Haack-Krefl-Lust-Van Proeyen-Zagermann (2006)

- Closed string axions a^i from dim. red. of p -forms $C_{(p)}$ on $\mathcal{M}_{1,3} \times \mathcal{X}_6 / \Omega\mathcal{R}$ ($C_{(p)} \in$ RR-forms + NS 2-form in Type II)

$$a^i \equiv (2\pi)^{-1} \int_{\Sigma^i} C_{(p)}, \quad p\text{-cycle } \Sigma^i \subset \mathcal{X}_6, \quad i \in \{1, \dots, \frac{h_{11}}{h_{21}} + 1\}$$

Kinetic terms for p -forms $C_{(p)} \in \sim$ kinetic terms for a^i

- Stack of N D-branes on $\mathcal{M}_{1,3} \times \Sigma^i \sim U(N)$ gauge theory in $4 + p$ dim
Reduction of D-brane CS-action \sim couplings for a^i
- IIA
 - ★ $C_3 \wedge \text{Tr}(G \wedge G) \rightarrow$ anomal. coupling $a^i \text{Tr}(G \wedge G)$
 - ★ $C_5 \wedge F \rightarrow$ Stückelberg-coupling $(da^i - k^i A)^2$ under $U(1)$
- Subset of axions are eaten by anomalous $U(1)$'s \sim survive as global symmetries
- Also possible in IIB for $C_{2,4}$ using D7-branes with magn. fluxes

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Effective Action & Effective Decay Constant

w/ Shiu-Ye 1503.01015, 1503.02965 [hep-th]

- Type II String Theory compactifications w/ D-branes
 \rightsquigarrow 4d EFT with mixing axions

$$S_{axion}^{\text{eff}} = \int \left[\frac{1}{2} \sum_{i,j=1}^N \mathcal{G}_{ij} (da^i - k^j A) \wedge \star_4 (da^j - k^j A) - \frac{1}{8\pi^2} \left(\sum_{i=1}^N r_i a^i \right) \text{Tr}(G \wedge G) + \mathcal{L}_{\text{gauge}} \right]$$

metric mixing U(1) mixing $k^i \neq 0$ anomalous coupling

- Diagonalisation of kinetic and potential terms
 \Rightarrow effective decay constant f_{eff} with moduli dependence
- different from N -enhancement mechanisms: $f_{\text{eff}} \sim N^p f$ with $p \geq 1/2$,
 Dimopoulos-Kachru-McGreevy-Wacker (2005), Choi-Kim-Yung (2014), Bachlechner-Long-McAllister (2014/15), Junghans (2015)

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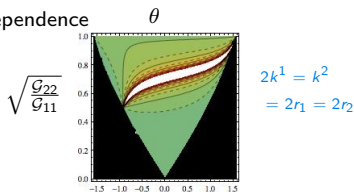
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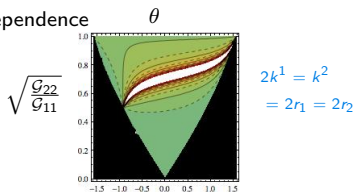
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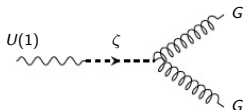


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Consistency & 4-Fermion Couplings

w/ Shiu-Ye 1503.01015, 1503.02965 [hep-th]

- $U(1)$ gauge invariance requires presence of chiral fermions ψ



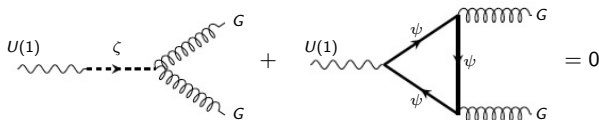
- Integrating out massive $U(1)$ boson
 \rightsquigarrow 1 axion ξ + 1 non-Abelian gauge group + chiral fermions

$$\mathcal{S} = \int \frac{1}{2} d\xi \wedge *4d\xi - \frac{1}{8\pi^2} \frac{\xi}{f_\xi} \text{Tr}(G \wedge G) - \frac{\mathcal{C}}{f_2^2} \underbrace{\mathcal{J}_\psi \wedge *4\mathcal{J}_\psi}_{4\text{-fermion}} + \mathcal{L}_\psi$$

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“reversed” GS mechanism

Aldazabel-Franco-Ibáñez-Rábadan-Uranga ('01)

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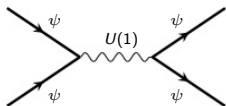
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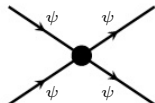
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\Rightarrow



+ global $U(1)_{\text{anom}}$

N-JL type couplings

see talk @ StringPheno 2016

$U(1)$ Breaking & Mass Generation

Shiu-W.S. (work in progress)

- at strong coupling for $SU(N) \rightsquigarrow$ non-perturbative effects important

★ Instantons ($\langle G \wedge G \rangle \neq 0$): $U(1) \rightarrow \mathbb{Z}_{n_f}$
 \rightsquigarrow interactions between ψ and instantons 't Hooft (1976)

$$\mathcal{L}'_{\text{'t Hooft}} = C e^{-\frac{8\pi^2}{g^2} + i\theta} \det(\bar{\psi}_L \psi_R) + h.c.$$

★ Fermion condensate ($\langle \bar{\psi}_L \psi_R \rangle \neq 0$): $\mathbb{Z}_{n_f} \rightarrow \mathbb{Z}_2$ Casher (1979)
 \rightsquigarrow fermion mass $M \sim -\frac{1}{M_{st}^2} \langle \bar{\psi}_L \psi_R \rangle$

- $E < \Lambda_s$: bound state $\bar{\psi}\psi \rightarrow$ EFT for composite scalar $\Phi(x) = \sigma(x)e^{i\frac{\eta}{f}}$
- mass spectrum in vacuum

$$\begin{array}{c} f_\xi \ll f \\ \downarrow \\ m_\eta < m_\sigma \ll m_\xi \end{array}$$

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$$V = -\mu^2 \Phi^\dagger \Phi + \frac{\lambda}{2} (\Phi^\dagger \Phi)^2 + \Lambda_s^2 \left(M\Phi + M\Phi^\dagger + \kappa e^{i\frac{\xi}{f_\xi}} \det(\Phi) + \kappa e^{-i\frac{\xi}{f_\xi}} \det(\Phi^\dagger) \right)$$

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with vacuum $\langle \sigma \rangle = f \sim \Lambda_s$, $\langle \eta \rangle = 0 = \langle \xi \rangle$

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with vacuum $\langle \sigma \rangle = f \sim \Lambda_s$, $\langle \eta \rangle = 0 = \langle \xi \rangle$

- mass spectrum in vacuum massive $(\sigma, \eta) =$ **INFLADRONS**

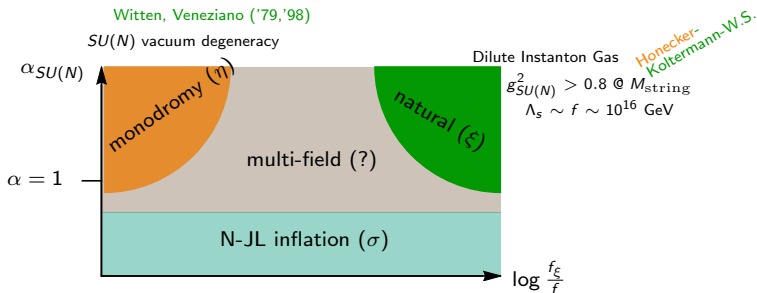
$$\begin{array}{c} f_\xi \ll f \\ \downarrow \\ m_\eta < m_\sigma \ll m_\xi \end{array}$$

$$\begin{array}{c} f_\xi \sim f \\ \downarrow \\ m_\xi, m_\eta < m_\sigma \end{array}$$

$$\begin{array}{c} f \ll f_\xi \\ \downarrow \\ m_\xi \ll m_\eta < m_\sigma \end{array}$$

Phases of Axion Inflation

Shiu-W.S. (work in progress)



\sim gauged Higgs-Yukawa model

depends on UV boundary conditions

\rightarrow chaotic inflation, α -attractor with $\alpha = 2$

Inagaki-Odintsov-Sakamoto ('15-'17)

see talk @ StringPheno 2016

Weak Gravity & Strong Dynamics

- WGC = criterium for field theory to be coupled to gravity
- electric WGC for $U(1)$: \exists particle with $m \leq qM_{Pl}$
 - ★ In UV ($E > M_{st}$): 2 charged, massless axions ✓
 - ★ In IR ($E < M_{st}$): only global $U(1)$ ✓
- electric WGC for axions: \exists instanton such that $S \lesssim \mathcal{O}(1) \frac{M_{Pl}}{f}$

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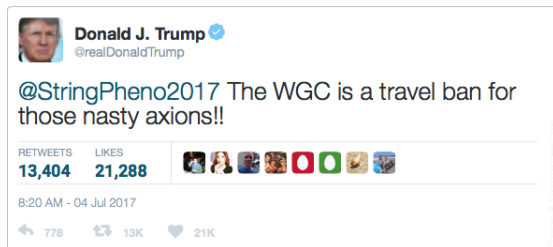
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 - ★ In UV ($E > M_{st}$): (non dominant) D2-brane instantons ✓
 - ★ In IR ($E < \Lambda_s$): gauge instantons coupled to ξ appear to violate WGC ✗

Conclusions and Outlook

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- Type II String compactifications \rightsquigarrow rich 4dim EFT for axions
- At lower energy scales \rightarrow N-JL interactions, instantons and fermion condensates generating dynamical masses
- \exists a phase (parameter) space for inflationary models
- WGC fine in UV, violated in IR [analogous to Saraswat \(2016\)](#)

Open issues

-  Verification of magnetic WGC [see also Hebecker-Henkenjohann-Witkowski \(2017\), Dolan et al \(2017\)](#)
-  Detailed analysis for axion monodromy realisation [Kaloper-Lawrence-Sorbo \(2010\)](#)
-  Full String Theory construction including moduli stabilisation
[Blumenhagen, Valenzuela, Zoccarato](#)

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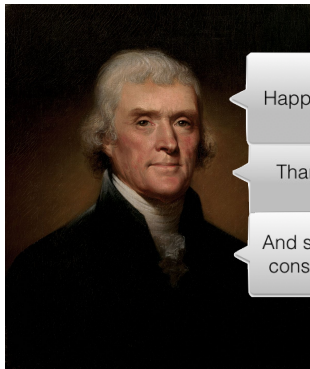


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Thank You



Happy Independence Day

Thank You

And sorry for all those quotes
conservatives like to misuse

Natural Inflation Phase

Inflaton = closed string axion

Viable inflationary model requires control over perturbative (& non-perturbative) quantum corrections:

- EFT for Infladrons Φ receives non-renormalisable corrections:
 - ★ derivative terms: $M_{UV}^{-4} |\partial\Phi^\dagger \partial\Phi|^2$, $M_{UV}^{-2} |\Phi|^2 |\partial\Phi|^2$
 - ★ potential & mixed terms

\Rightarrow additionally suppressed by powers of $\frac{f}{f_\xi} \sim 10^{-3}$
- Loop-corrections to Φ
 - ★ 1-loop effective action $v^{1-loop} \sim (-\mu^2 + 3\lambda|\Phi|^2)^2 \left\{ \ln \left(\frac{-\mu^2 + 3\lambda|\Phi|^2}{\Lambda_p^2} \right) - \frac{3}{2} \right\}$ Coleman-Weinberg ('73)
 - \rightsquigarrow proper resummation of eff. potential maintains vacuum structure
 - ★ Induced non-minimal coupling to gravity $\int \sqrt{-g} \xi |\Phi|^2 R$ Hill-Salopek ('92)
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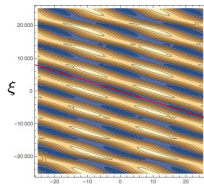
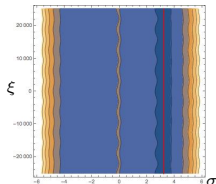
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Stringy Axions and Stückelberg-mechanism

reviews: Baumann (2009), Baumann-McAllister (2009,2014), Westphal (2014), Grimm-Louis (2005), Grimm-Lopes (2011), Kerstan-Weigand (2011), Grimm-Louis (2004), Jockers-Louis (2005), Haack-Krefl-Lust-Van Proeyen-Zagermann (2006)

- Closed string axions a^i from dim. red. of p -forms $C_{(p)}$ on $\mathcal{M}_{1,3} \times \mathcal{X}_6 / \Omega\mathcal{R}$ ($C_{(p)} \in$ RR-forms + NS 2-form in Type II)

$$a^i \equiv (2\pi)^{-1} \int_{\Sigma^i} C_{(p)}, \quad p\text{-cycle } \Sigma^i \subset \mathcal{X}_6, \quad i \in \{1, \dots, \frac{h_{11}}{h_{21}} + 1\}$$

Kinetic terms for p -forms $C_{(p)} \in \rightsquigarrow$ kinetic terms for a^i

- Stack of N D-branes on $\mathcal{M}_{1,3} \times \Sigma^i \rightsquigarrow U(N)$ gauge theory in $4 + p$ dim
Reduction of D-brane CS-action \rightsquigarrow couplings for a^i
- IIA
 - ★ $C_3 \wedge \text{Tr}(G \wedge G) \rightarrow$ anomal. coupling $a^i \text{Tr}(G \wedge G)$
 - ★ $C_5 \wedge F \rightarrow$ Stückelberg-coupling $(da^i - k^i A)^2$ under $U(1)$
- Subset of axions are eaten by anomalous $U(1)$'s \rightsquigarrow survive as global symmetries
- Also possible in IIB for $C_{2,4}$ using D7-branes with magn. fluxes

2 Mixing Axions

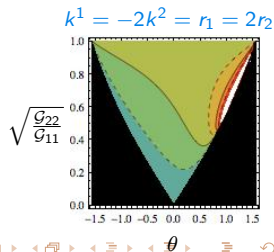
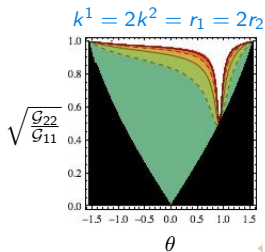
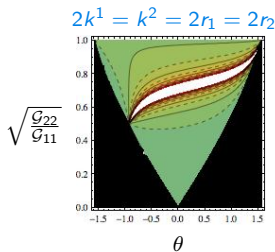
- minimal set-up: 2 axions + 1 $U(1)$ + 1 Non-Abelian gauge group
- 1 axion eaten by $U(1)$ gauge boson, \perp axion ξ with decay constant:

$$f_\xi = \frac{\sqrt{\lambda_+ \lambda_-} M_{st}}{\cos \frac{\theta}{2} (\lambda_+ k^+ r_2 + \lambda_- k^- r_1) + \sin \frac{\theta}{2} (\lambda_- k^- r_2 - \lambda_+ k^+ r_1)}$$

with λ_\pm eigenvalues of \mathcal{G}_{ij} and $M_{st} \equiv \sqrt{\lambda_+ (k^+)^2 + \lambda_- (k^-)^2}$

$$\cos \theta = \frac{\mathcal{G}_{11} - \mathcal{G}_{22}}{\lambda_+ - \lambda_-}, \quad \sin \theta = \frac{2\mathcal{G}_{12}}{\lambda_+ - \lambda_-}, \quad \begin{pmatrix} k^+ \\ k^- \end{pmatrix} = \begin{pmatrix} \cos \frac{\theta}{2} & \sin \frac{\theta}{2} \\ \sin \frac{\theta}{2} & -\cos \frac{\theta}{2} \end{pmatrix} \begin{pmatrix} k^1 \\ k^2 \end{pmatrix}$$

- Contour plot representation of f_ξ (in units $\sqrt{\mathcal{G}_{11}}$)



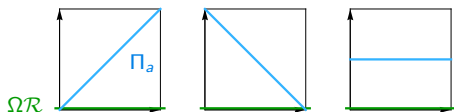
Axions & String Theory: Example

reviews: Blumenhagen-Cvetič-Langacker-Shiu ('05); Blumenhagen-Körs-Lüst-Stieberger ('06); Ibañez-Uranga ('12)

e.g. Type IIA D6-branes on $CY_3/\Omega\mathcal{R} \rightsquigarrow \Sigma^i = \Sigma_+^i + \Sigma_-^i$

$$\int_{\Sigma_-^i} C_{(5)} \wedge F \neq 0 \quad \rightsquigarrow \quad \text{Stückelberg coupling for } a^i$$

$T^6/\Omega\mathcal{R}$ with 4 $\Omega\mathcal{R}$ -even 3-cycles $\underbrace{\Sigma_+^{i=0,1,2,3}}_{4 \text{ axions } a^i}$ and 4 $\Omega\mathcal{R}$ -odd 3-cycles $\Sigma_-^{i=0,1,2,3}$



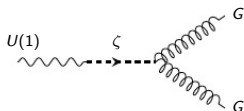
$$\begin{aligned} \Pi_a &= \underbrace{\Sigma_+^0 - \Sigma_+^3}_{\downarrow} + \underbrace{\Sigma_-^1 - \Sigma_-^2}_{\downarrow} \\ &= \begin{matrix} a^0 F_a \wedge F_a \\ -a^3 F_a \wedge F_a \end{matrix} \quad \begin{matrix} (da^1 - A_a)^2 \\ (da^2 + A_a)^2 \end{matrix} \end{aligned}$$

The road to NJL Models

Shiu-WS-Ye('15), Shiu-WS (work in progress)

- $U(1)$ gauge invariance: $A \rightarrow A + d\chi$, $a \rightarrow a + k\chi$

$$\mathcal{S}_{sub} = \int \left[-\frac{M_{st}^2}{2} |da - kA|^2 - \frac{1}{4g_{U(1)}^2} |F|^2 - \underbrace{\frac{1}{8\pi^2} a \text{Tr}(G \wedge G)}_{\text{not } U(1) \text{ invariant}} \right]$$



- @ intersection of two D-brane stacks with $U(N) \times U(1)$
 \leadsto chiral matter in bifund. rep.
- EFT for generation-indep. $U(1)$ charges:

$$\mathcal{L} = -\frac{M_{st}^2}{2} |da - kA|^2 - \frac{1}{4g_{U(1)}^2} |F|^2 + i \sum_{i=1}^{N_f} \bar{\psi}_L^i \not{\partial} \psi_L^i + i \sum_{i=1}^{N_f} \bar{\psi}_R^i \not{\partial} \psi_R^i$$

$$+ \sum q_L \bar{\psi}_L^i A \psi_L^i + \sum q_R \bar{\psi}_R^i A \psi_R^i + \text{coupling to } U(N)$$

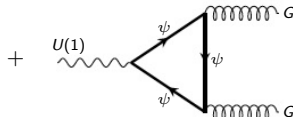
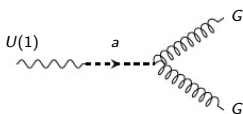
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+ chiral fermions ψ



Antoniadis-Kiritsis-Rizos ('02)

Aldazabel-Franco-Ibáñez-Rábadan-Oranga ('01)

“reversed” GS mechanism

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\leadsto chiral matter in bifund. rep.

$$(\square, q_L) \quad \psi_L^i$$

$$(\square, q_R) \quad \psi_R^i$$

with $q_L \neq q_R$

- EFT for generation-indep. $U(1)$ charges:

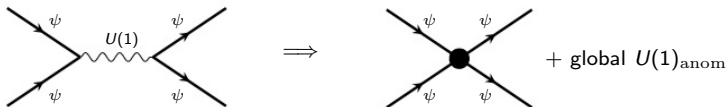
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The road to NJL Models (II)

Shiu-WS-Ye('15), Shiu-WS(work in progress)

- Integrating out Stückelberg $U(1)$ through solving Lorenz gauge condition:

$$A \sim \frac{1}{M_{st}^2} \left(q_L \bar{\psi}_L^i \Gamma \psi_L^i + q_R \bar{\psi}_R^i \Gamma \psi_R^i \right) \rightsquigarrow \mathcal{L}_{4\psi} \sim \frac{q^2}{M_{st}^2} (\bar{\psi} \Gamma \psi)^2$$



- Using Fierz-identities \rightsquigarrow NJL-type models with $N_f = 1$

$$\mathcal{L}_{4\psi} = \frac{q_L q_R}{2M_{st}^2} \left[(\bar{\psi}\psi)(\bar{\psi}\psi) - (\bar{\psi}\gamma^5\psi)(\bar{\psi}\gamma^5\psi) \right] + \dots$$

NJL & Dynamical Mass Generation

Nambu-Jona-Lasinio ('61), review: Vogl-Weise ('91)

- NJL = $U(1)_{\text{chiral}}$ invariant 4ψ -interactions $\psi \rightarrow e^{i\alpha\gamma^5}\psi$

$$\mathcal{L}_{\text{NJL}} = \bar{\psi}i\not{\partial}\psi + \frac{q_L q_R}{2M_{st}^2} \left[(\bar{\psi}\psi)(\bar{\psi}\psi) - (\bar{\psi}\gamma^5\psi)(\bar{\psi}\gamma^5\psi) \right]$$

$$\begin{aligned} \bar{\psi}\psi &\rightarrow \bar{\psi}\psi \cos(2\alpha) & + i\bar{\psi}\gamma^5\psi \sin(2\alpha) \\ \bar{\psi}\gamma^5\psi &\rightarrow \bar{\psi}\gamma^5\psi \cos(2\alpha) & + i\bar{\psi}\psi \sin(2\alpha) \end{aligned}$$

- two phases:

- ★ Wigner phase: $\langle \bar{\psi}\psi \rangle = 0 \rightsquigarrow U(1)_{\text{chiral}}$ unbroken and ψ massless
- ★ Nambu-Goldstone-phase: $\langle \bar{\psi}\psi \rangle \neq 0 \rightsquigarrow \exists m_\psi = -\frac{q_L q_R}{M_{st}^2} \langle \bar{\psi}\psi \rangle$ and ~~$U(1)_{\text{chiral}}$~~

NG-phase requires satisfied self-consistency condition:

$$\text{GAP: } m_\psi = \frac{4iq_L q_R N}{M_{st}^2} \int \frac{d^4 p}{(2\pi)^4} \frac{m_\psi}{p^2 - m_\psi^2}$$

and $\exists m_\psi \neq 0$ at strong coupling: $\alpha_{U(1)}(\Lambda) > \frac{\pi}{N}$ for $\Lambda < M_{st}$

NJL & Dynamical Mass Generation (II)

- Verify minimum in NG-phase in large N limit [Gross-Neveu \('74\)](#)

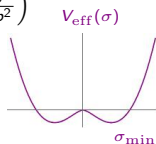
★ auxiliary fields σ, π :
$$\begin{pmatrix} \sigma \\ \pi \end{pmatrix} \rightarrow \begin{pmatrix} \cos 2\alpha & \sin 2\alpha \\ -\sin 2\alpha & \cos 2\alpha \end{pmatrix} \begin{pmatrix} \sigma \\ \pi \end{pmatrix}$$

$$\mathcal{L}_\sigma = \bar{\psi} i \not{\partial} \psi - \frac{1}{2g^2} (\sigma^2 + \pi^2) + (\sigma \bar{\psi} \psi + i\pi \bar{\psi} \gamma^5 \psi), \quad g^2 = \frac{q_L q_R}{M_{st}^2}$$

★ effective potential $V_{\text{eff}}(\sigma) = \frac{1}{2g^2} \sigma^2 - 2N \int \frac{d^4 p}{(2\pi)^4} \ln \left(1 + \frac{\sigma^2}{p^2} \right)$

\rightsquigarrow minimum: $\frac{dV_{\text{eff}}}{d\sigma} \Big|_{\sigma=\sigma_{\text{min}}} = 0 \rightarrow \text{GAP eq}$

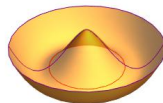
$$V_{\text{eff}}(\sigma_{\text{min}}) < 0$$



- Bound (scalar) states: (Salpeter-Bethe [\('51\)](#) or poles of $G_{4\psi}^{(4)}$)

★ 0^+ state $\sigma = g \bar{\psi} \psi \rightsquigarrow m_{0^+}^2 = 4m_\psi^2$

★ 0^- state $\pi = g \bar{\psi} i \gamma^5 \psi \rightsquigarrow m_{0^-}^2 = 0$



First Inflationary Steps

- Gradient expansion \rightsquigarrow EFT for (σ, π) with inflaton = σ

$$\mathcal{L}_{(\sigma, \pi)} = \frac{1}{2}(\partial\sigma)^2 + \frac{1}{2}(\partial\pi)^2 - \frac{1}{2}4m_\psi^2\sigma^2 - \frac{\lambda}{4}\sigma^4 + \dots$$

- RGE-analysis with conformal coupling to gravity $\rightsquigarrow R^2$ -type inflation
Hill-Salopek ('92), Inagaki-Odintsov-Sakamoto ('15)

$$V_{(\sigma, \pi)}^{\text{RGE}} = \frac{1}{1 + \frac{D}{6}(\sigma^2)^{1/(1+\frac{\alpha}{\alpha_c})}} \left(\frac{B}{2}\sigma^2 + \frac{C}{4}(\sigma^4)^{1/(1+\frac{\alpha}{\alpha_c})} \right)$$

\rightsquigarrow compatible with Planck 2015 data:

$$n_s = 0.961, r = 0.0083 \text{ @ weak coupling } \alpha \ll 1$$

- Strong $SU(N)$ dynamics can spoil (σ, π) set-up: 't Hooft (1976)
 - ★ $SU(N)$ gauge instantons produce ~~$U(1)$~~ coupling $\kappa \det(\bar{\psi}(1 + \gamma^5)\psi) + h.c.$
 - ★ $m_\pi^2 \sim |\kappa|^2 < m_\sigma^2 = 4m_\psi^2 + m_\pi^2 \rightsquigarrow \pi = \text{inflaton?}$
- \exists remaining string axions coupling to $SU(N)$ can play rôle of inflaton?

First Inflationary Steps

