Some thoughts on entropy bounds, swampland and inflation

# Shinji Mukohyama (YITP, Kyoto U)

ref.) S. Mizuno, S. Mukohyama, S.Pi and Y.Zhang, arXiv: 190x.xxxxx

# **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**

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

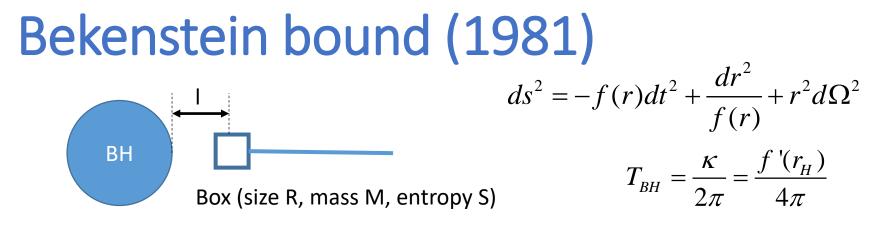
- Schwarzschild BH energy  $E_{BH} = M_{BH}$ temperature  $T_{BH} = T_{Hawking}$
- 1<sup>st</sup> law (Bardeen-Carter-Hawking 1973)

$$ds^{2} = -f(r)dt^{2} + \frac{dr^{2}}{f(r)} + r^{2}d\Omega^{2}$$
$$f(r) = 1 - \frac{r_{H}}{r} \qquad r_{H} = 2M_{BH}$$
$$T_{Hawking} = \frac{\kappa}{2\pi} = \frac{f'(r_{H})}{4\pi} = \frac{1}{8\pi M_{BH}}$$

1 2

- $T_{BH} dS_{BH} = dE_{BH}$   $dS_{BH} = dE_{BH} / T_{BH} = 8\pi M_{BH} dM_{BH} = d(4\pi M_{BH}^2)$  $S_{BH} = 4\pi M_{BH}^2 = A_H/4$
- (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  $2^{nd}$  law (GSL)  $\Delta S_{tot} \ge 0$ , where  $S_{tot} = S_{BH} + S_{matter}$
- Quantum gravity probably breaks GSL @ Page time



• Near horizon behavior (r : box's position)

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

• Box's energy measured @ infinity  $E = M \sqrt{f(r)} \simeq 2\pi M T_{BH} l$ 

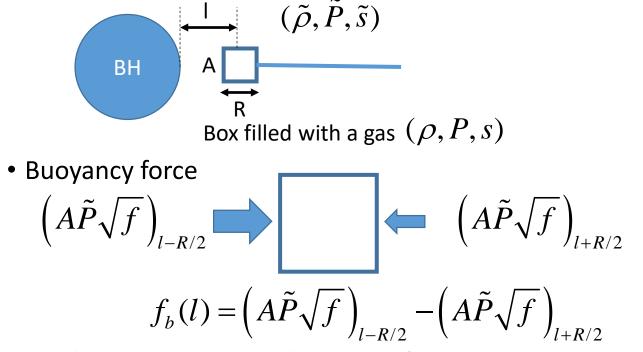
• 1<sup>st</sup> law with 
$$\Delta M_{BH} = E$$
  $\Delta S_{BH} = \frac{\Delta M_{BH}}{T_{BH}} = \frac{E}{T_{BH}} \approx 2\pi M_{BH} l$ 

• Total entropy  $\Delta S_{matter} = \Delta S_{BH} - S \approx 2\pi M l - S$ 

• GSL ( $\Delta S_{tot} \ge 0$ ) requires  $S \le 2\pi MR$ 

## Unruh-Wald argument (1982)

Thermal atmosphere around BH causes a buoyancy force



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 $(\tilde{\rho}, \tilde{P}, \tilde{s})$ A BH Box filled with a gas $(\rho, P, s)$ • 1<sup>st</sup> law with $\Delta M_{BH} = E_{box} + W_{b}$ $\Delta S_{BH} = \frac{\Delta M_{BH}}{T_{RH}} = \frac{1}{T_{BH}} \int_{box} (\rho + \tilde{P}) \sqrt{f} \, dV$ Total entropy $\tilde{T} = \frac{I_{BH}}{\sqrt{f}}$ : Tolman temperature $\Delta S_{tot} = \Delta S_{BH} - S = \int_{box} \left[ \frac{1}{\tilde{T}} (\rho + \tilde{P}) - s \right] dV$ s : entropy density of gas $= \int_{box} \frac{1}{\tilde{T}} \Big[ (\rho - \tilde{T}s) - (\tilde{\rho} - \tilde{T}\tilde{s}) \Big] dV \ge 0$ The thermal state Gibbs-Duhem relation minimizes $\rho - Ts$ $\tilde{\rho} = \tilde{T}\tilde{s} - \tilde{P}$

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

 $\mathsf{S}(\rho_1|\rho_2)\geqq \mathsf{0},$  where equality holds iff  $\rho_1\text{=}\,\rho_2$  (proof)

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

$$\rho_{1} = \sum_{i} |a_{i}\rangle a_{i} \langle a_{i}| \qquad \rho_{2} = \sum_{i} |b_{i}\rangle b_{i} \langle b_{i}|$$

$$S(\rho_{1} | \rho_{2}) = Tr(\rho_{1} \ln \rho_{1}) - Tr(\rho_{1} \ln \rho_{2}) + Tr\rho_{2} - Tr\rho_{1} = \sum_{i,j} |\langle a_{i} | b_{j}\rangle|^{2} (a_{i} \ln a_{i} - a_{i} \ln b_{j} + b_{j} - a_{i}) \geq 0$$
Q.E.D.

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

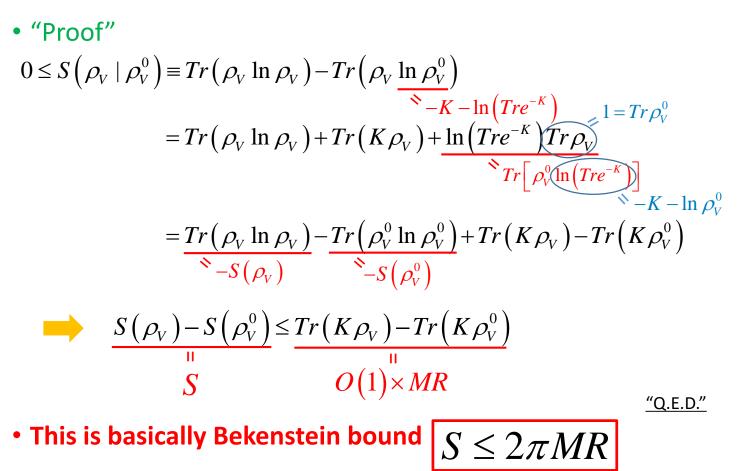
#### Setup

- V : a spatial region on a Cauchy surface
- -V : complementary set of V
- $\boldsymbol{\rho}$  : a quantum state
- $\rho^0$  : vacuum

#### • Local Hamiltonian K (modular Hamiltonian in continuum theory)

$$\rho_V^0 = \frac{e^{-\kappa}}{Tre^{-\kappa}}$$
  
e.g.)  $K = 2\pi \int dx dy \int_0^\infty dz z H(x, y, z) = \int d^3 x \frac{H(x, y, z)}{T_{Rindler}(z)}$  for V = half space

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



- 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, + $\alpha$ 2018)

• Distance conjecture

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

 $\Delta \phi$  : 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: <u>The distance conjecture holds</u> not only in the moduli space with V(φ<sup>c</sup>) = 0 but <u>also in the field space with V(φ<sup>c</sup>) ≠ 0</u>. [This is in conflict with e.g. monodromy inflation.]
- # of particle species below the cutoff of an EFT

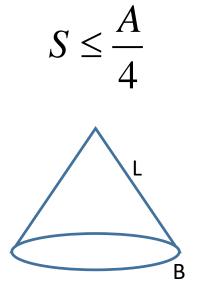
 $N \sim n(\phi) e^{b\phi} \,, \quad rac{dn}{d\phi} > 0 \qquad \qquad$ n(\$) : effective # of towers

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

 $S_{
m tower}(N,R) \sim N^{\delta_1} R^{\delta_2} \qquad \delta_{
m 1,2}$  (>0) = O(1)

N: # of particle species R = 1/H : AH radius

## Covariant entropy bound (Bousso 1999)



S : entropy on L A : area of B

- L : 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 
$$\left|\frac{\dot{H}}{H^2}\right| \lesssim c_1, \quad \frac{\min m_{\text{scalar}}^2}{H^2} \gtrsim -c_2$$
 then  $S \le \pi/H^2$   
 $c_{1,2}$  (>0) = O(1)

+ the entropy ansatz with R = 1/H ightarrow  $N \lesssim H^{-(2-\delta_2)/\delta_1}$ 

 Assumption II : <u>The upper bound on N</u> is an increasing function of the horizon radius and <u>is saturated for large N</u>.

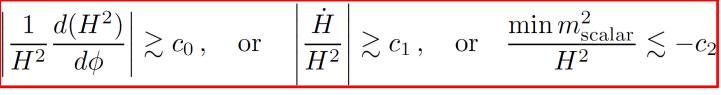
$$N \sim \left(\frac{1}{H}\right)^{\frac{2-\delta_2}{\delta_1}}, \quad \delta_1 > 0, \quad 0 < \delta_2 < 2$$

• Equate the two expressions for N, considering  $\phi$  as a time variable

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

$$\frac{dn}{d\phi} > 0 \quad \longrightarrow \quad \left| \frac{1}{H^2} \frac{d(H^2)}{d\phi} \right| \gtrsim c_0, \quad c_0 \equiv \frac{2b\delta_1}{2-\delta_2} \quad \text{if (1)\&(2) hold}$$

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



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

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

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

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

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

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

- The de Sitter conjecture would be a serious challenge to the standard singlefield 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<sup>-120</sup> 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 (S.Mizuno, S. Mukohyama, S.Pi and Y.Zhang, to appear)

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

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

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

$$\begin{split} \varphi &= \varphi^{(0)}(t) + \pi(t, \vec{x}) \\ P(X, \varphi) &\ni \frac{1}{2} \mathcal{K}_{\parallel} \dot{\pi}^2 - \frac{1}{2a^2} \mathcal{K}_{\perp} \delta^{ij} \partial_i \pi \partial_j \pi \\ d\phi &\Leftrightarrow \sqrt{\mathcal{K}_{\parallel}} d\varphi \qquad \qquad \mathcal{K}_{\parallel} = (2P_{,XX}X + P_{,X})^{(0)} \\ \overline{\mathcal{K}_{\perp}} d\varphi \qquad \qquad \mathcal{K}_{\perp} = P_{,X}^{(0)} \end{split}$$

- C) Make the identification  $d\phi \Leftrightarrow \sqrt{\mathcal{K}_{\perp}} d\phi$
- 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

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

- $\chi$ -eom for large  $\beta^2$   $\neg \neg \chi + 2\beta e^{2\beta\chi}X - 2\beta T(\varphi)\sinh(2\beta\chi) = 0 \implies \chi \simeq \frac{1}{2\beta}\ln\gamma$   $\gamma \equiv \frac{1}{\sqrt{1 - \frac{2X}{T(\varphi)}}}$   $\chi = -\frac{1}{2}g^{\mu\nu}\partial_{\mu}\varphi\partial_{\nu}\varphi$  $\chi$  has a large mass  $\partial_{\chi}^2 V|_{2\beta\chi=\ln\gamma} = \frac{4T}{\gamma}\beta^2$   $\Rightarrow$   $\chi$  can be integrated out
- Effective single-field action

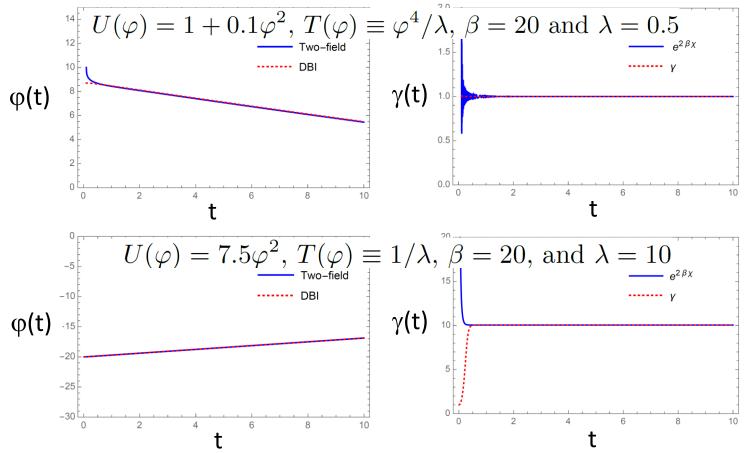
$$I_{\text{eff}} = \int d^4x \sqrt{-g} \left\{ T(\varphi) \left[ -\sqrt{1 - \frac{2X}{T(\varphi)}} + 1 \right] - U(\varphi) \right\}$$

#### 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  $\beta^2$ 

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

Thus the fist condition in the dS conjecture is

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

• Squared masses of scalar perturbation modes for large  $\beta^2$ 

$$\begin{split} I^{(2)} &= \frac{1}{2} \int dt a^{3} \left[ \dot{Y}^{\mathrm{T}} \mathcal{K} \dot{Y} + \dot{Y}^{\mathrm{T}} \mathcal{M} Y + Y^{\mathrm{T}} \mathcal{M}^{\mathrm{T}} \dot{Y} - Y^{\mathrm{T}} \left( -\mathcal{K} \frac{\vec{\nabla}^{2}}{a^{2}} + \mathcal{V} \right) Y \right] \\ \varphi &= \varphi^{(0)}(t) + \delta \varphi(t, \vec{x}) \\ \chi &= \chi^{(0)}(t) + \delta \chi(t, \vec{x}) \\ q_{\mu\nu} dx^{\mu} dx^{\nu} &= -[1 + 2 \Phi(t, \vec{x})] dt^{2} + 2N(t)a(t) \partial \mathcal{B}(t, \vec{x}) dt dx^{i} + a(t)^{2} dx^{i} dx^{j} \\ \det \left[ m^{2} \mathcal{K} - 2im \mathcal{M} - \mathcal{V} \right] = 0 \\ m^{2}_{+} &= 4T(\varphi) \gamma \beta^{2} + \mathcal{O}(\beta^{0}) \\ m^{2}_{-} &= \Omega + \mathcal{O}(\beta^{-2}) + \mathcal{O}(M_{\mathrm{Pl}}^{-2}) \\ \end{split}$$

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 (S.Mizuno, S. Mukohyama, S.Pi and Y.Zhang, to appear)

- For the 2-field system (  $\phi$  ,  $\chi$  ) in  $\beta^2 \ensuremath{ \rightarrow } \infty$  limit

$$\begin{aligned} \left| \frac{1}{H^2} \frac{d(H^2)}{d\phi} \right| \gtrsim c_0, \quad \text{or} \quad \left| \frac{\dot{H}}{H^2} \right| \gtrsim c_1, \quad \text{or} \quad \frac{\min m_{\text{scalar}}^2}{H^2} \lesssim -c_2 \\ & \longleftrightarrow \quad \left| \frac{1}{\sqrt{\gamma}} \left| \frac{1}{H^2} \frac{d(H^2)}{d\varphi} \right| \gtrsim c_0, \quad \text{or} \quad \left| \frac{\dot{H}}{H^2} \right| \gtrsim c_1, \quad \text{or} \quad \frac{\Omega}{H^2} \lesssim -c_2 \\ & \Omega = \frac{1}{\gamma^3} U'' + \frac{(\gamma - 1)^2}{2\gamma^4} T'' - \frac{1}{16\gamma^4 T} \left[ \gamma^2 T' + 2\gamma (T' - U') - 3T' \right]^2 \end{aligned}$$

• 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

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

- 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  $\varphi \& X$  and  $(\ln T)' \& (\ln T)''$  kept finite recovers canonical one  $\left| \frac{1}{H^2} \frac{d(H^2)}{d\varphi} \right| \gtrsim c_0$ , or  $\left| \frac{\dot{H}}{H^2} \right| \gtrsim c_1$ , or  $\frac{U''}{H^2} \lesssim -c_2$

#### Extension to general $P(X, \phi)$

• Equivalent Lagrangian

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

 $7 \rightarrow 0$ 

- Adding a small kinetic term of  $\boldsymbol{\chi}$ 

$${ ilde L}=L+Z^2g^{\mu
u}\partial_\mu\chi\partial_
u\chi/2$$

Geodesic distance in the field space

$$d\phi = \sqrt{P_{,\chi}(\chi,\varphi) + Z^2 (d\chi/d\varphi)^2} d\varphi \implies d\phi = \sqrt{P_{,X}(X,\varphi)} d\varphi$$

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

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

### 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 C < 2 MP

$$S \leq 2\pi M R$$

- 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<sup>-120</sup> 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 ,  $\phi$  ).