

Non-Gaussianity in PBH Formation

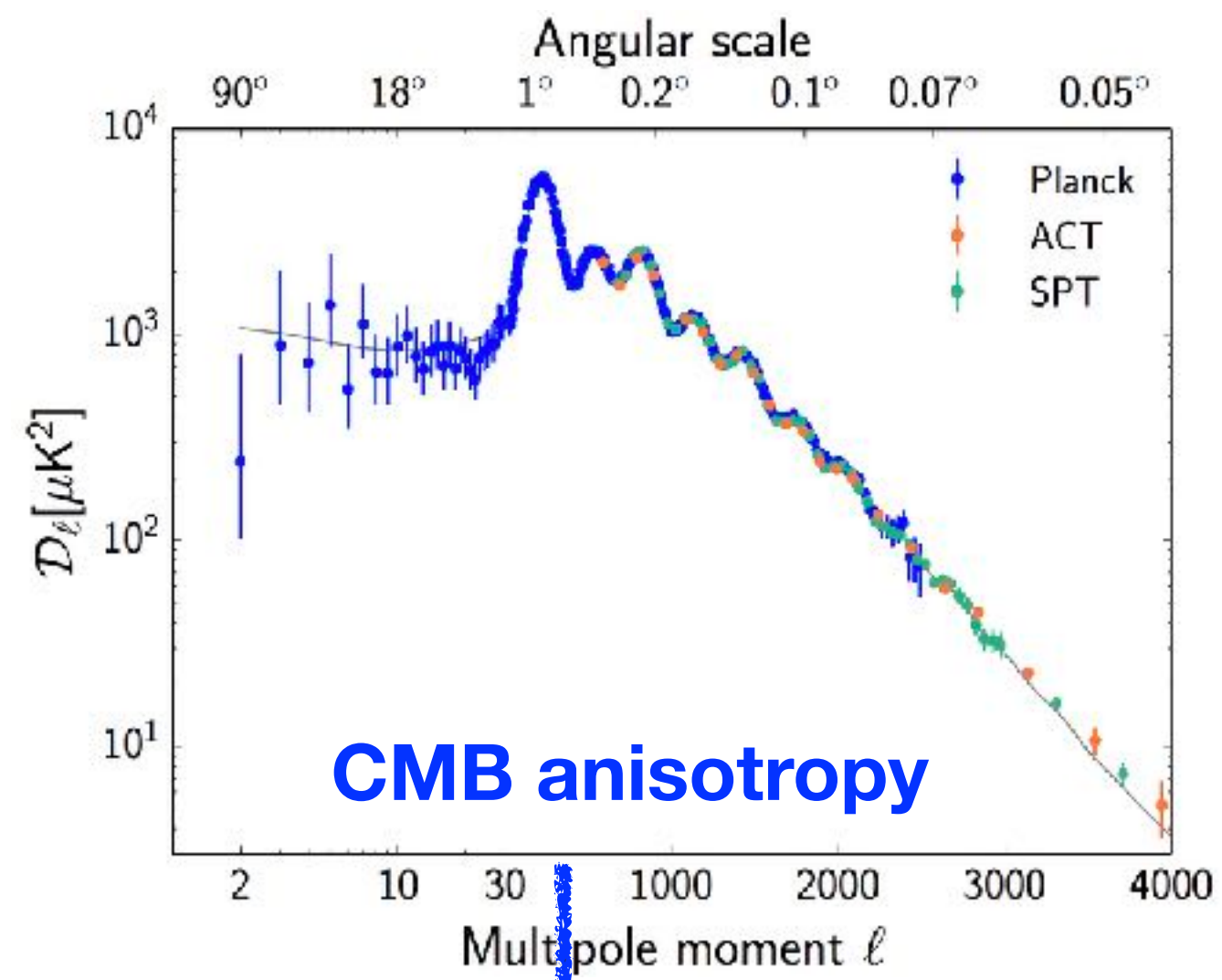
Shi Pi

Institute of Theoretical Physics, Chinese Academy of Sciences

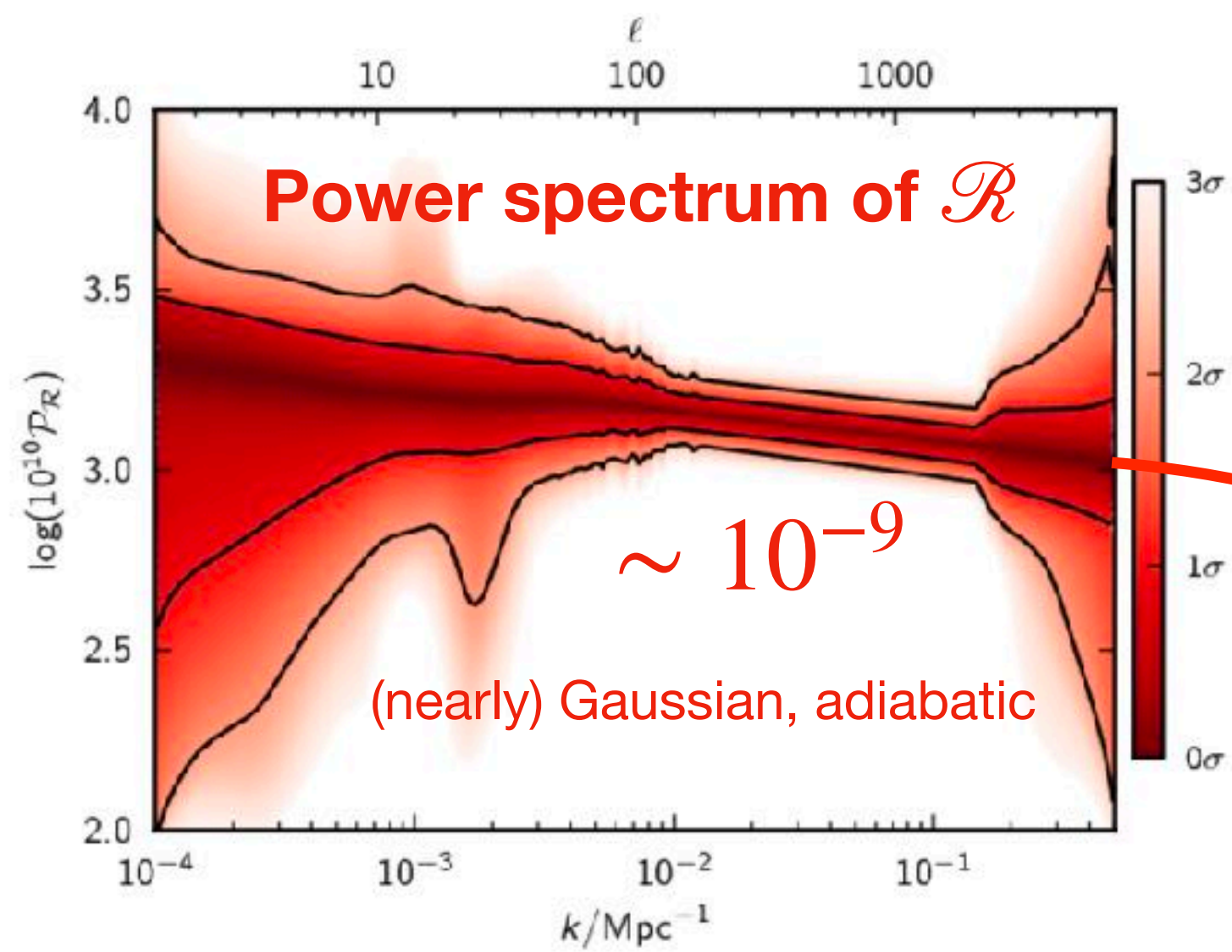
PBH focus week
Kavli IPMU, Nov 15, 2024

CONTENT

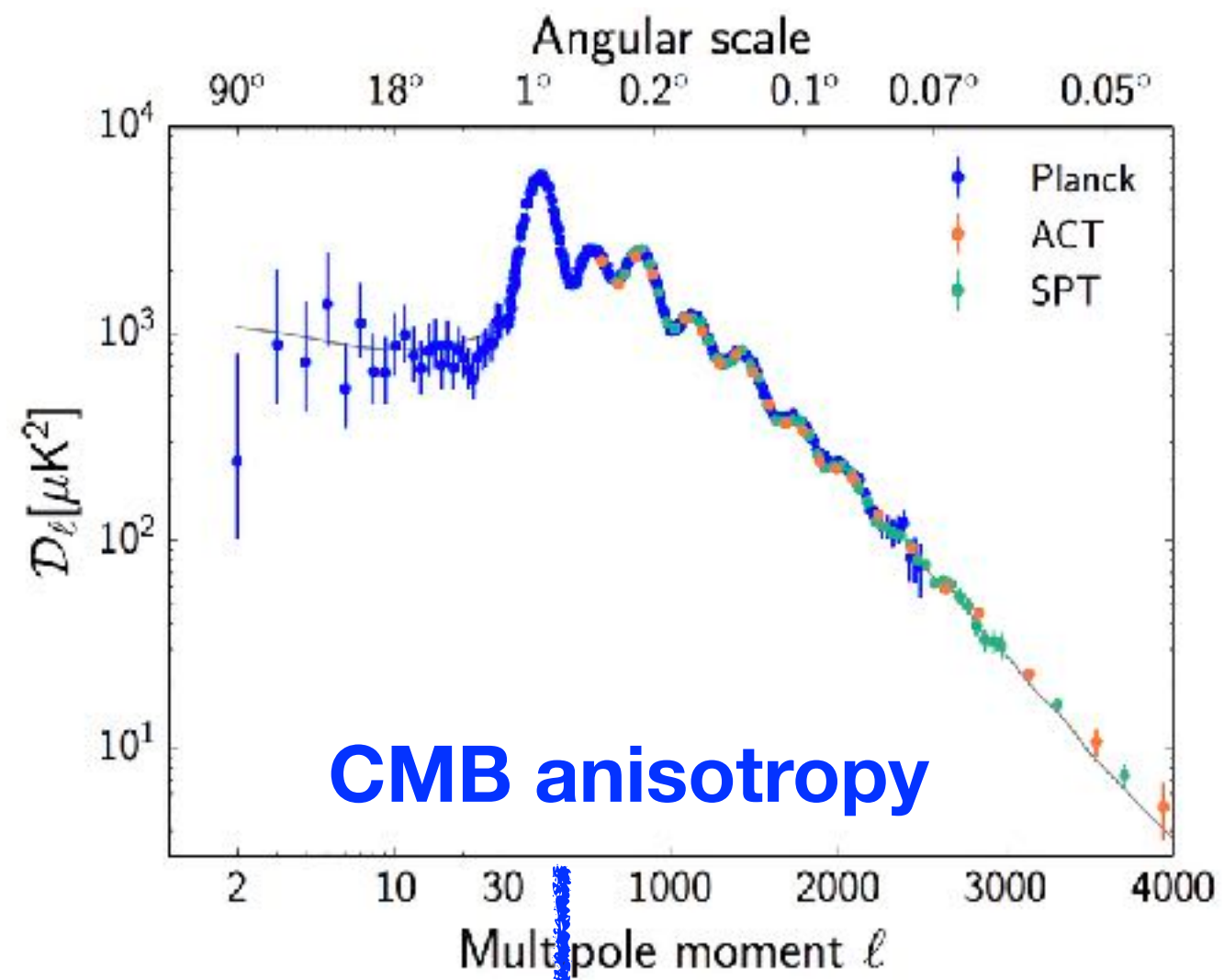
- Introduction
- PBH formation and observational constraints
- Non-Gaussianity and their impact on PBHs
- Prediction in mHz and nHz



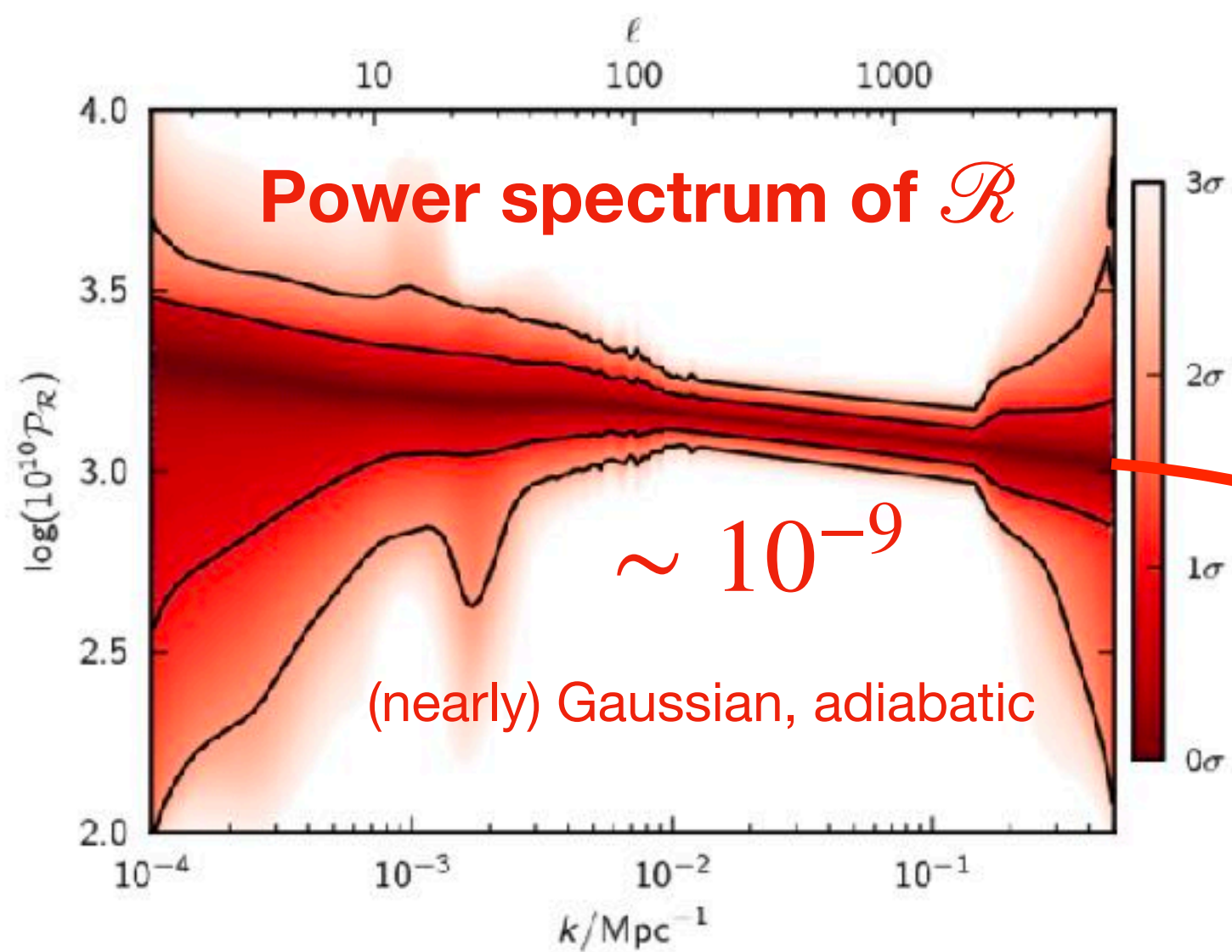
Reconstruction



Gaussian?
 adiabatic?



Reconstruction



Required
by PBH
formation

$\sim 10^{-2}$

Gaussian?
adiabatic?

nonlinear
perturbation

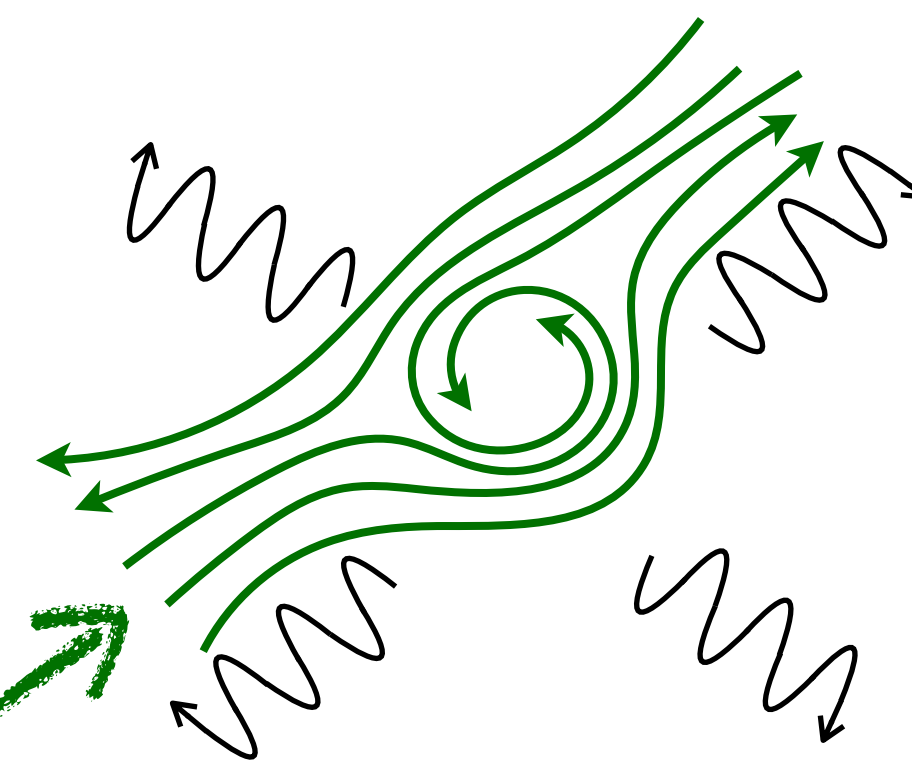
Scalar Perturbation
Induced GW

crosscheck

Primordial
Black Hole

PBH

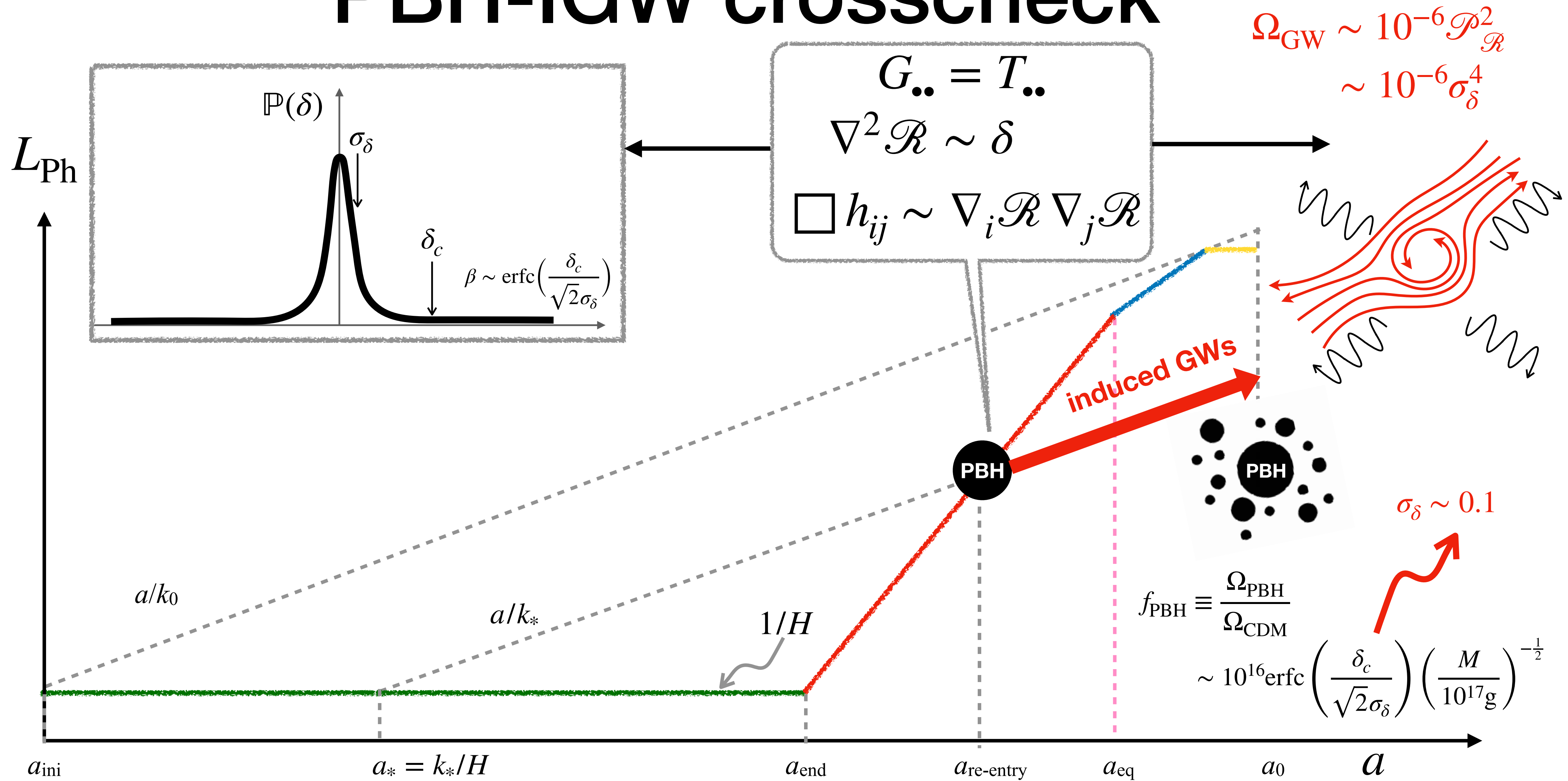
gravitational
collapse



Matarrese et al, PRD 47, 1311;
PRL 72, 320; PRD 58, 043504
Ananda et al, gr-qc/0612013
Bauman et al, hep-th/0703290

Zeldovich & Novikov 1966
Hawking 1971
Carr & Hawking 1974

PBH-IGW crosscheck

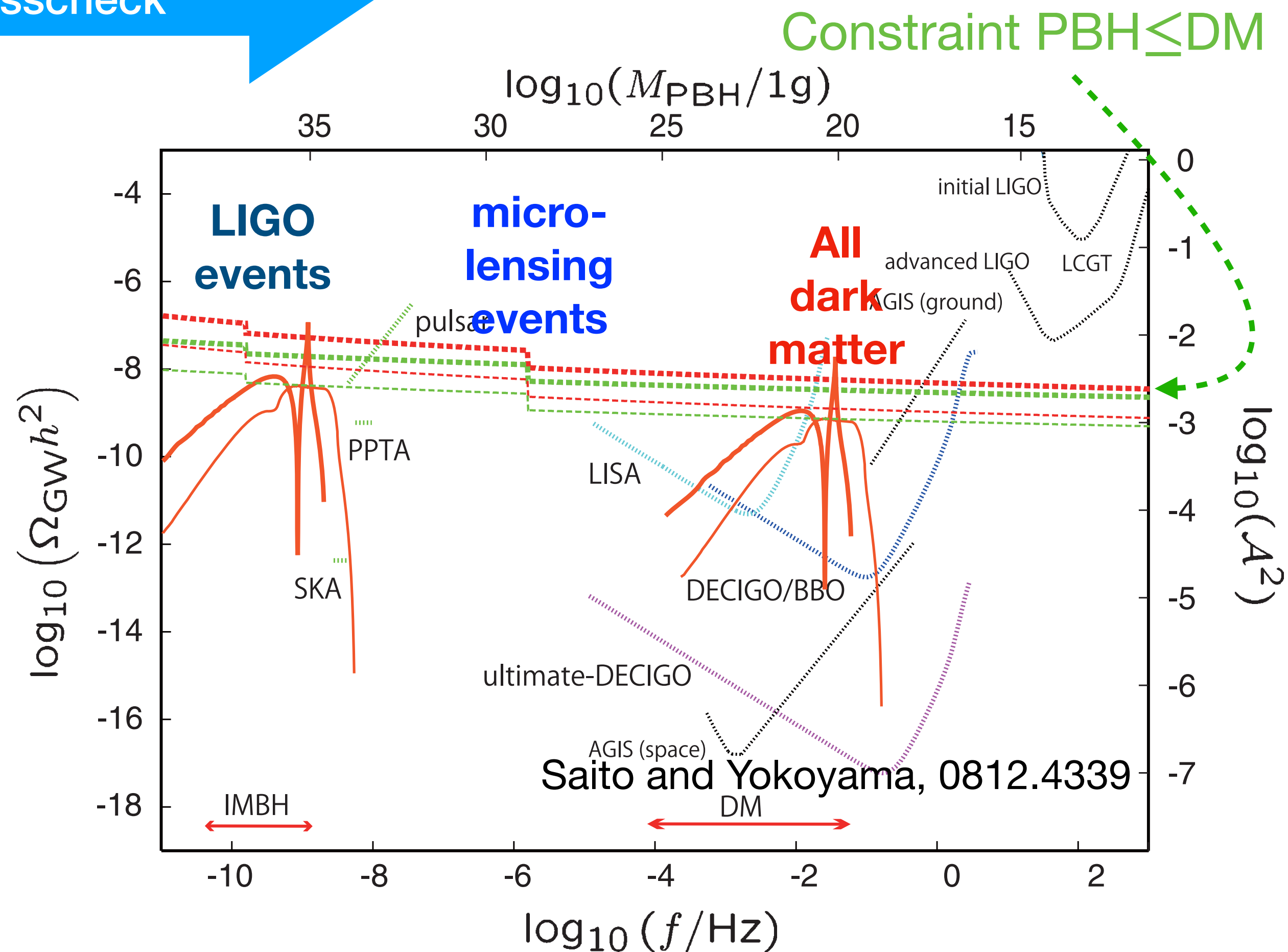
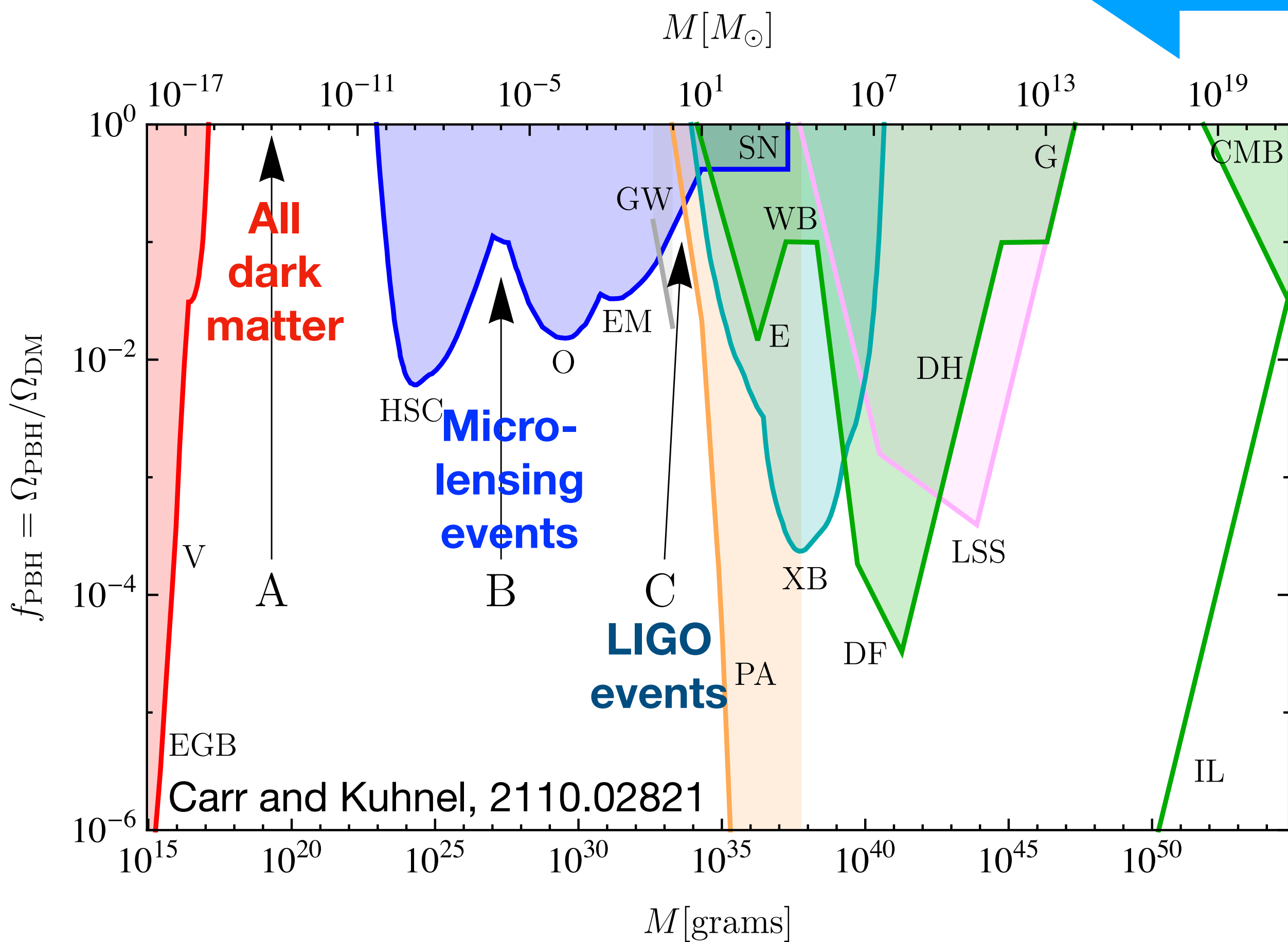


PBH-IGW crosscheck

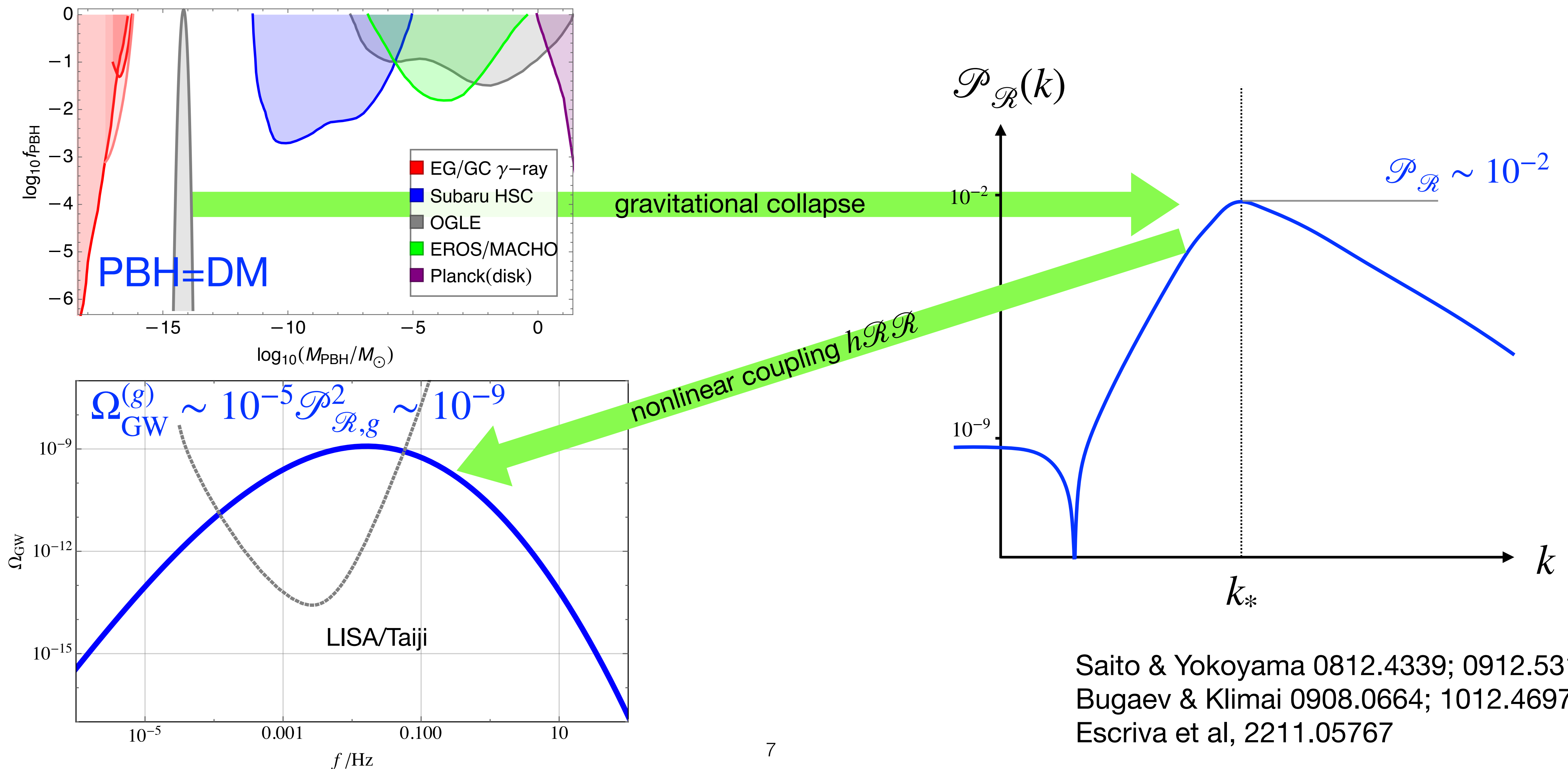
$$f_{\text{IGW}} \sim 3\text{Hz} \left(\frac{M_{\text{PBH}}}{10^{16}\text{g}} \right)^{-\frac{1}{2}}$$

PBH constraints

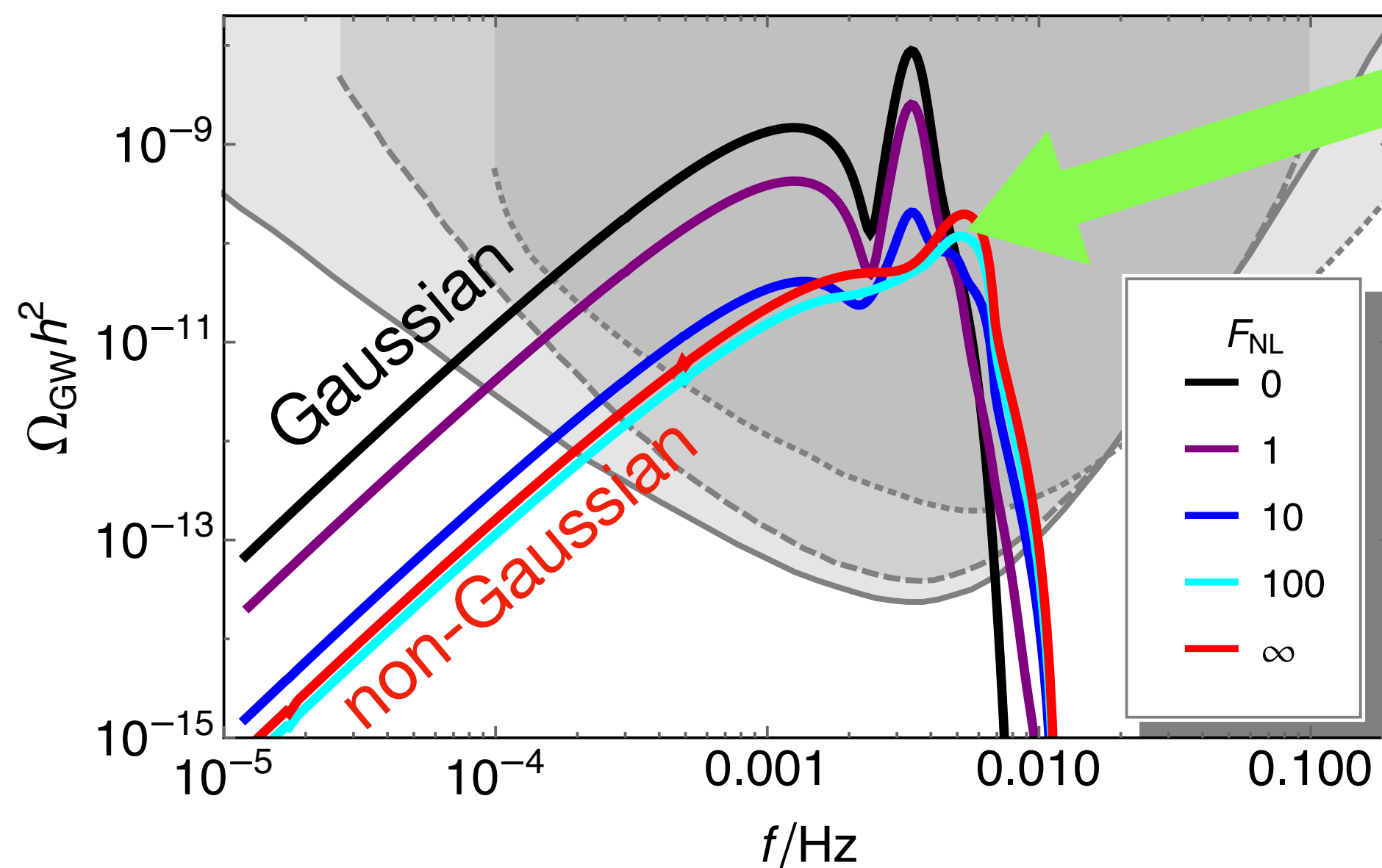
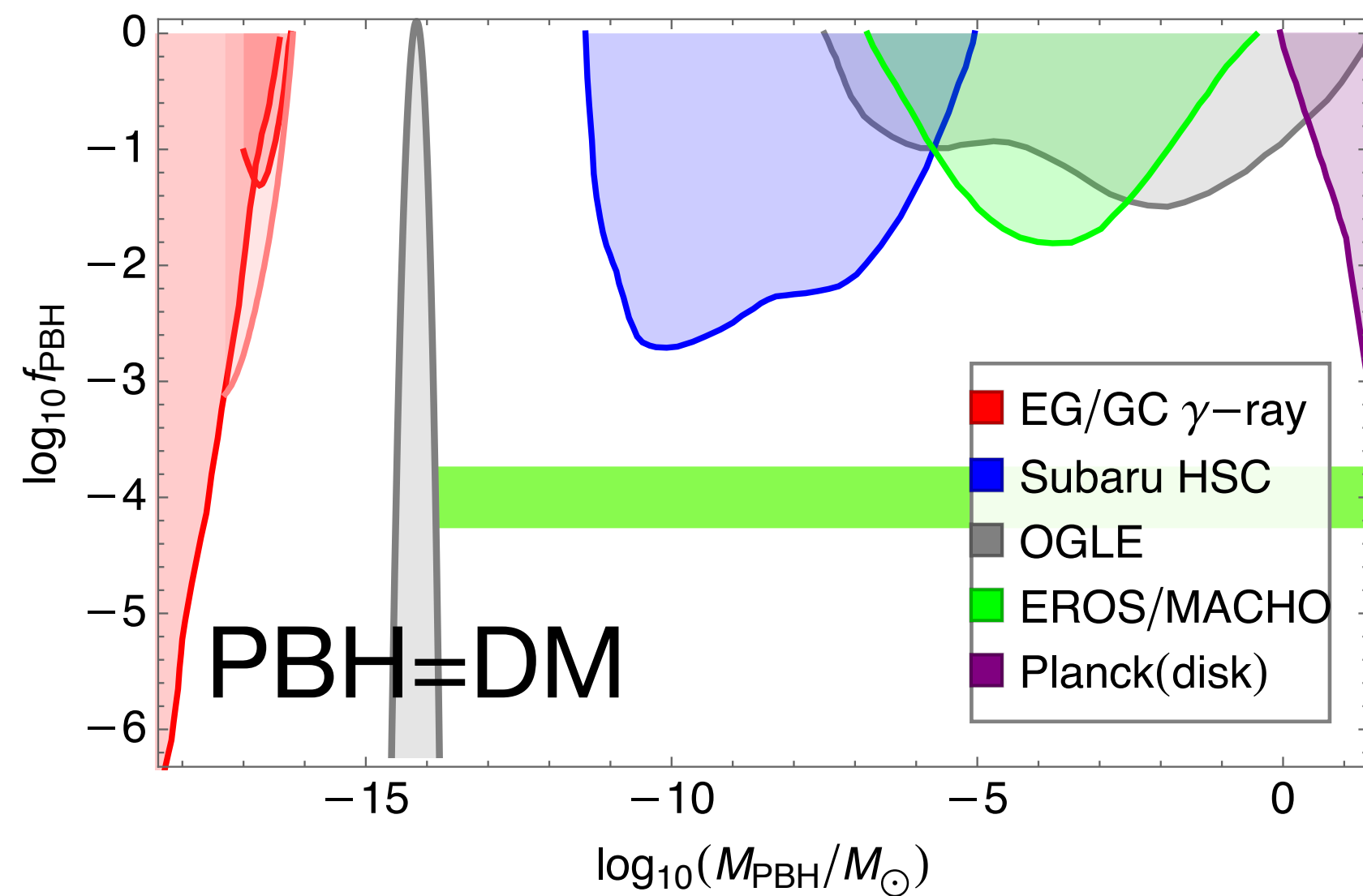
Induced GW predictions



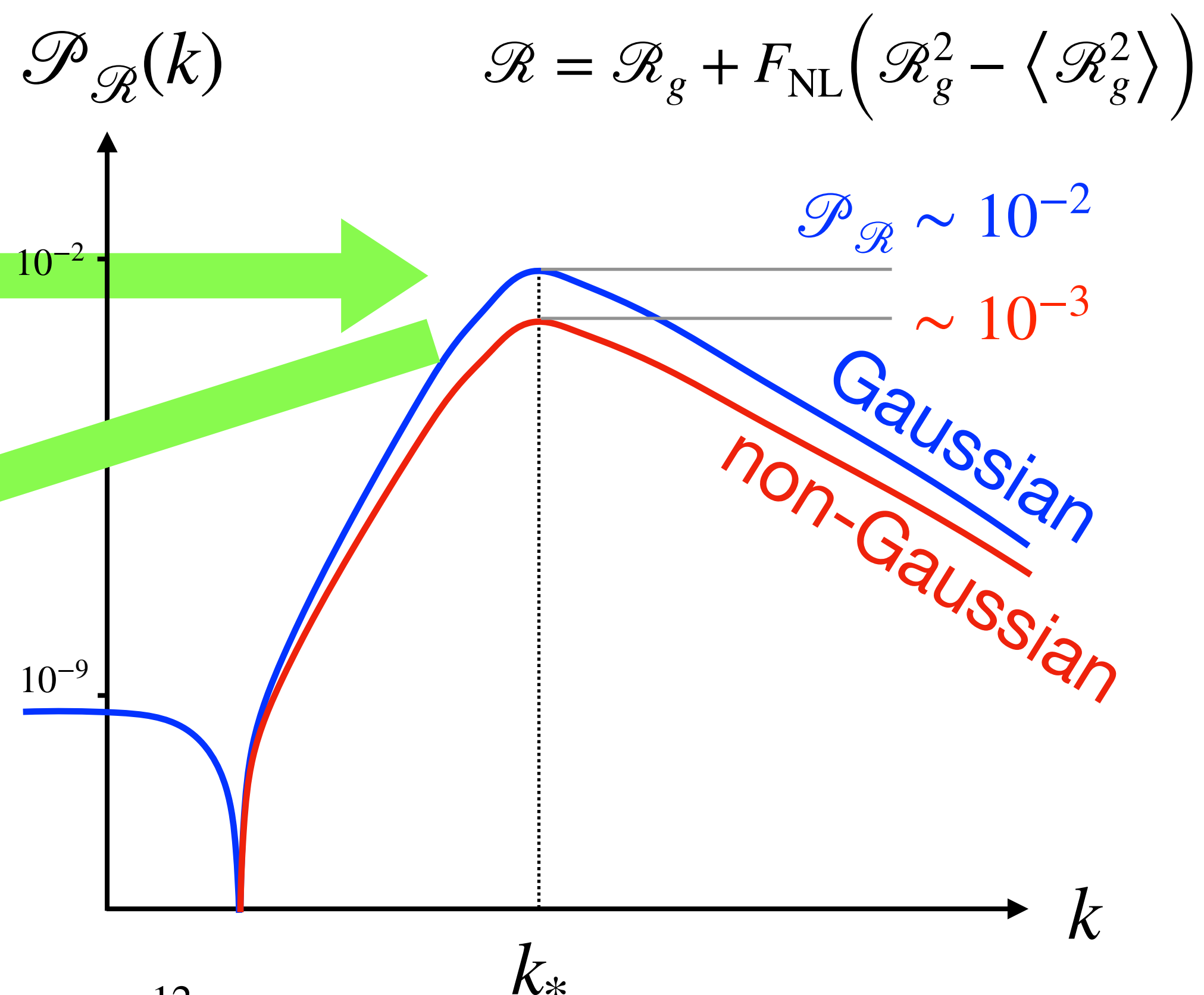
PBH-IGW crosscheck



Including non-Gaussianity



nonlinear coupling $h\mathcal{R}\mathcal{R}$
 with $F_{\text{NL}} > 0$



$$\mathcal{R} = \mathcal{R}_g + F_{\text{NL}}(\mathcal{R}_g^2 - \langle \mathcal{R}_g^2 \rangle)$$

$$F_{\text{NL}} \mathcal{P}_{\mathcal{R}} \sim 10^{-2}$$

$$\Omega_{\text{GW}}^{(\text{NG})} \sim 10^{-5} F_{\text{NL}}^4 \mathcal{P}_{\mathcal{R},g}^4 \sim 10^{-12} > \text{LISA}$$

LISA/Taiji/TianQin can probe PBH-DM.

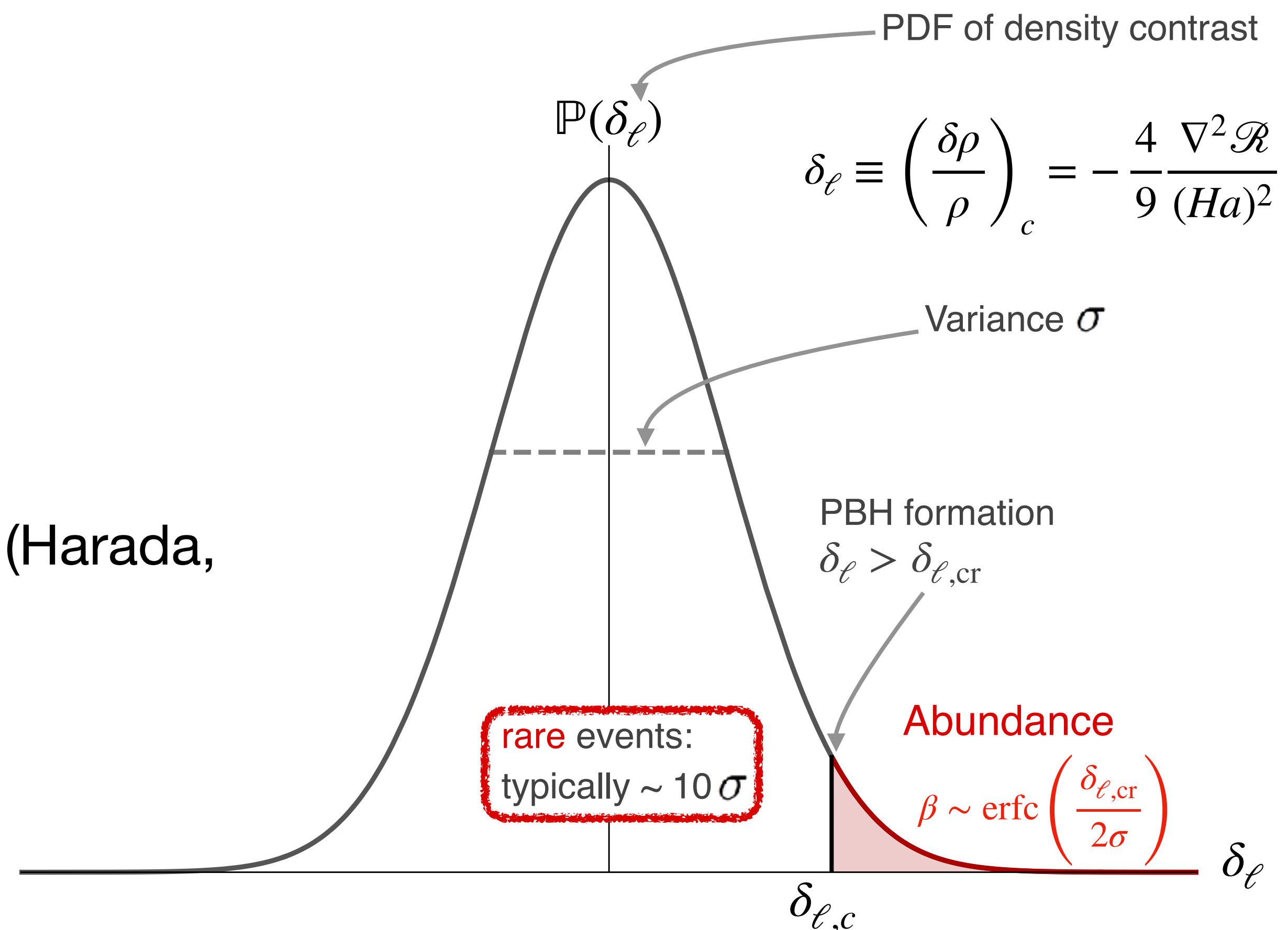
(Simplest) Press-Schechter

$$\left. \begin{array}{l} \mathcal{R} \xrightarrow{(1)} \delta_\ell \\ \mathbb{P}(\mathcal{R}) \xrightarrow{(2)} \mathbb{P}(\delta_\ell) \end{array} \right\} \begin{array}{l} \xrightarrow{(3) \text{ given } \delta_{\ell, \text{cr}}} \\ \xrightarrow{(4) \text{ Window function}} \end{array} \beta = \int_{\delta_{\ell, \text{cr}}} \mathbb{P}(\delta_\ell) \frac{M(\delta_\ell)}{M_H} d\delta_\ell$$

Every step is linear/Gaussian:

- (1) ~~Linear~~ Poisson equation.
- (2) ~~Gaussian~~ PDF $\mathbb{P}(\mathcal{R})$ gives Gauss PDF $\mathbb{P}(\delta_\ell)$:

$$\mathbb{P}(\mathcal{R})d\mathcal{R} = \mathbb{P}(\delta_\ell)d\delta_\ell$$
- (3) Critical density contrast $\delta_{\ell, \text{cr}}$ ~~given~~ by HYK limit (Harada, Yoo, Kohri, 1309.4201).
- (4) Window function.



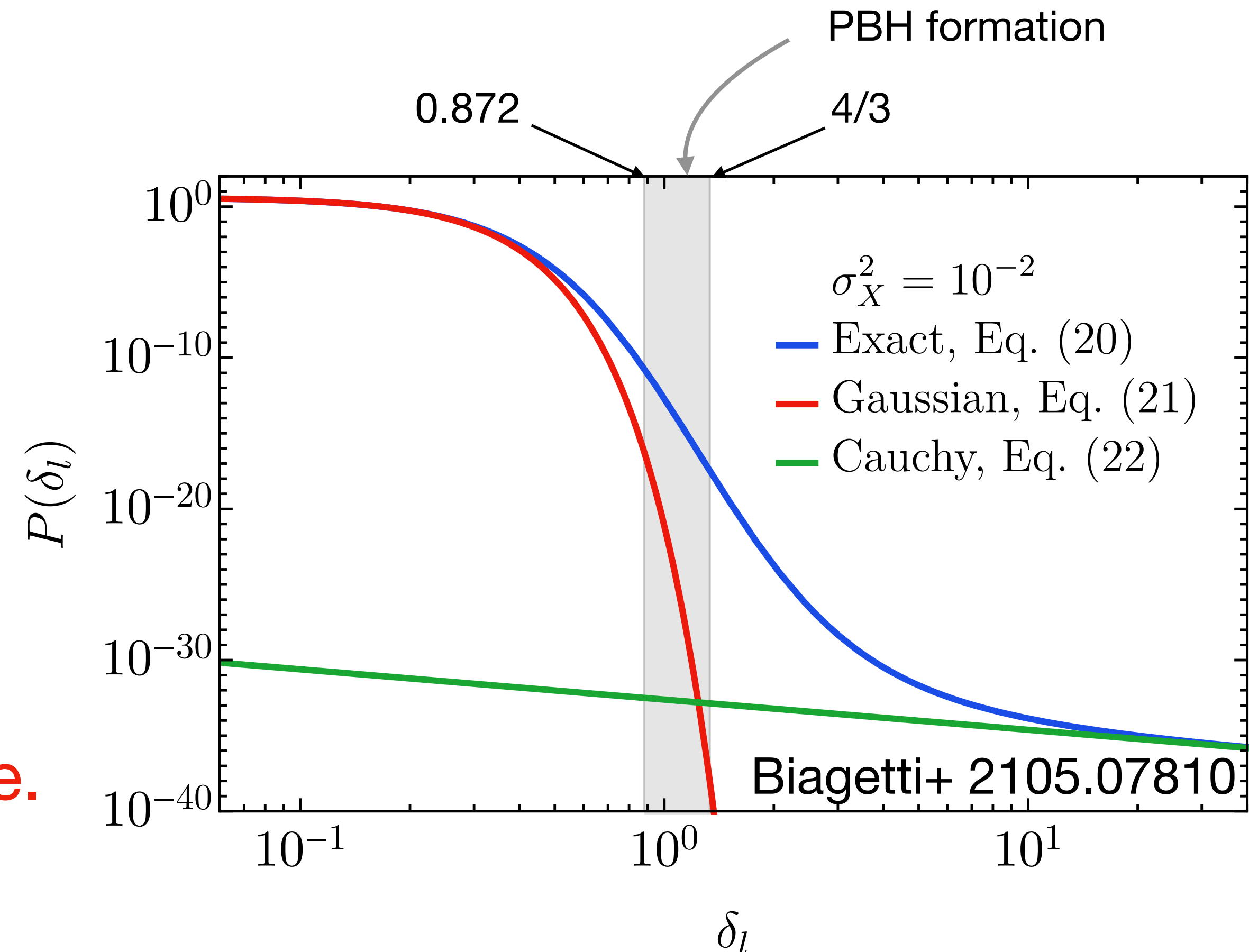
Why non-Gaussianity?

$$\left. \begin{array}{l} \mathcal{R} \xrightarrow{(1)} \mathcal{C}_\ell \\ \mathbb{P}(\mathcal{R}) \xrightarrow{(2)} \mathbb{P}(\mathcal{C}_\ell) \end{array} \right\} \xrightarrow[\text{(4) Window function}]{\text{(3) given } \mathcal{C}_{\text{cr}}} \beta = \int_{\mathcal{C}_{\ell, \text{cr}}}^{4/3} \mathbb{P}(\mathcal{C}_\ell) \frac{M(\mathcal{C}_\ell)}{M_H} d\mathcal{C}_\ell$$

Non-Gaussianity must be taken into account:

- (1) Use compaction function \mathcal{C} which nonlinearly depends on \mathcal{R} . (Harada et al 1503.03934; De Luca et al 1904.00970.)
- (2) Primordial non-Gaussianity of \mathcal{R} .
- (3) \mathcal{C}_{cr} depends on profile. (Musco 1809.02127; Escrivà et al 1907.13311)
- (4) Window function

Remaining caveat: Profile.

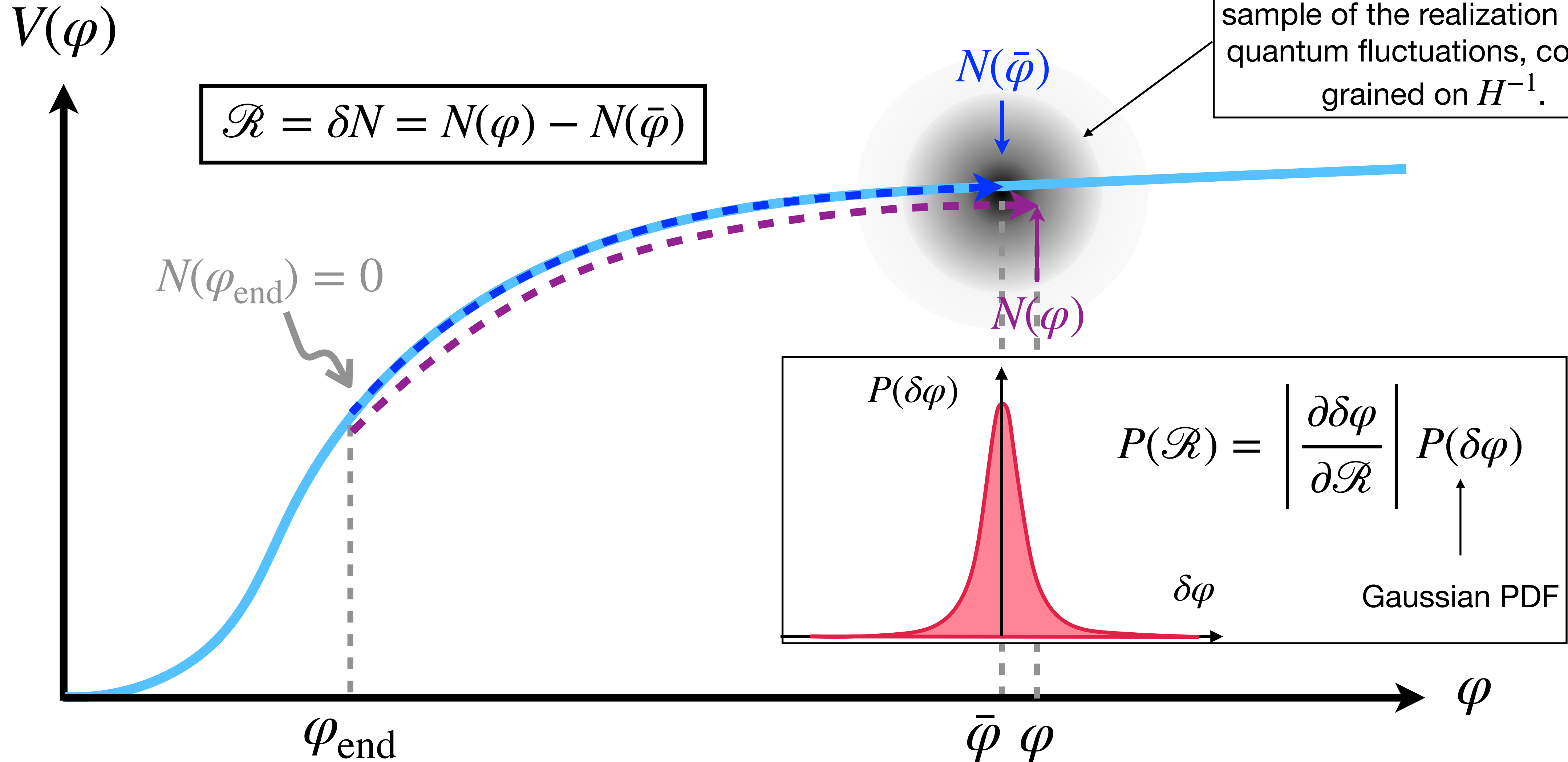


Peak Theory

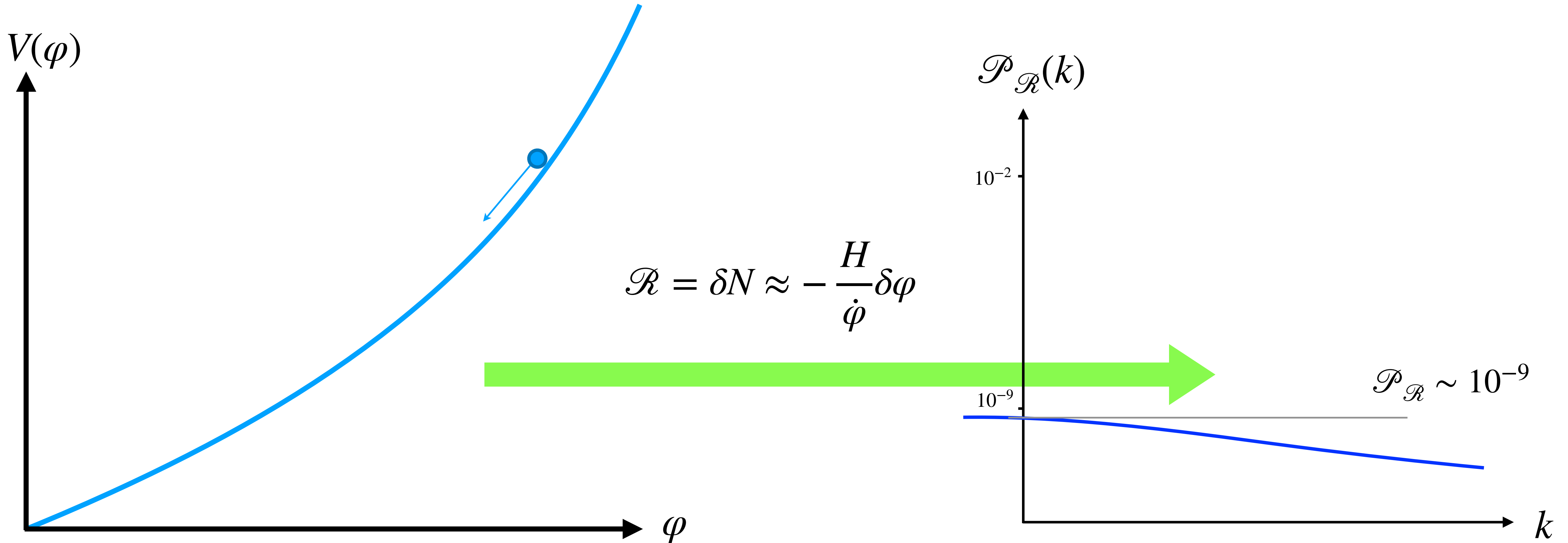
- Instead, in peak theory, BBKS gives the profile of a local peak, from which the critical value of $\overline{\mathcal{E}}_c$ can be calculated analytically. Then we transfer it to the critical value of the Laplacian of the curvature perturbation, μ_2 .
- The statistic quantities are μ_2 and its dispersion, μ_4 .
- The PBH mass function is then

$$\beta(M) = \int_{\mu_2 \geq \mu_{2,th}} d\mu_2 d\mu_4 \cdot n_{\text{peak}}(\mu_2(M, \mu_4), \mu_4) \left| \frac{d \ln M}{d\mu_2} \right|^{-1} M(\mu_2, \mu_4)$$

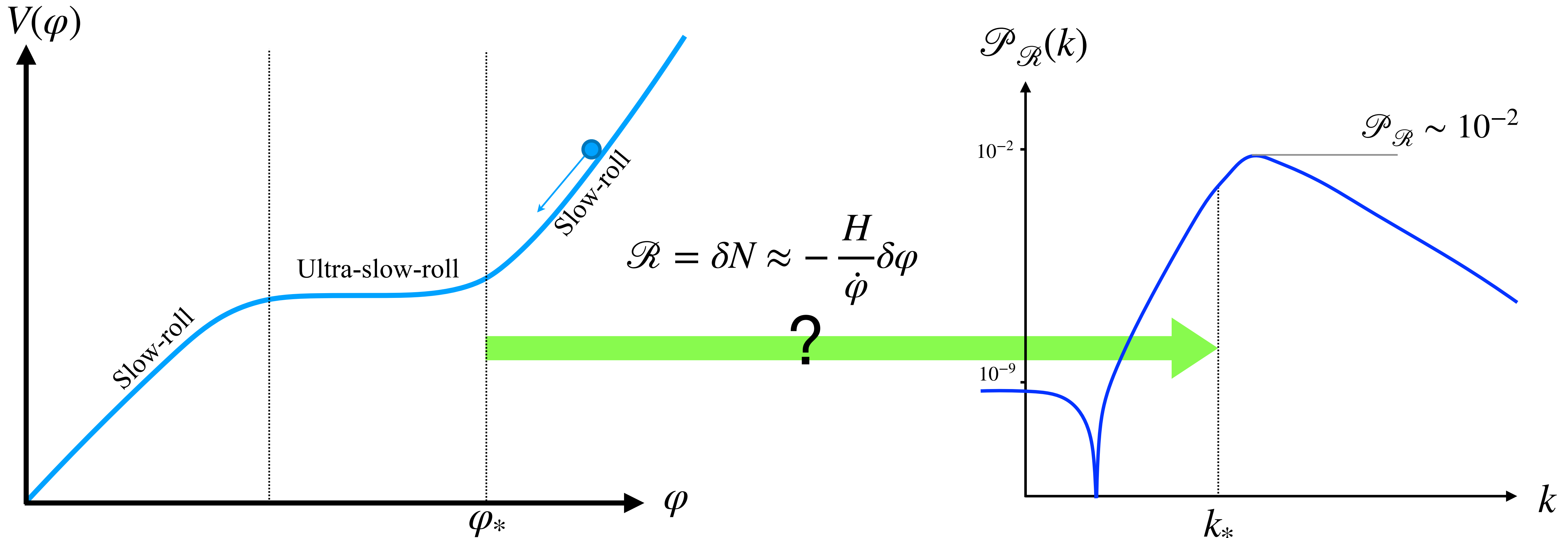
δN formalism



Gaussian Curvature Perturbation

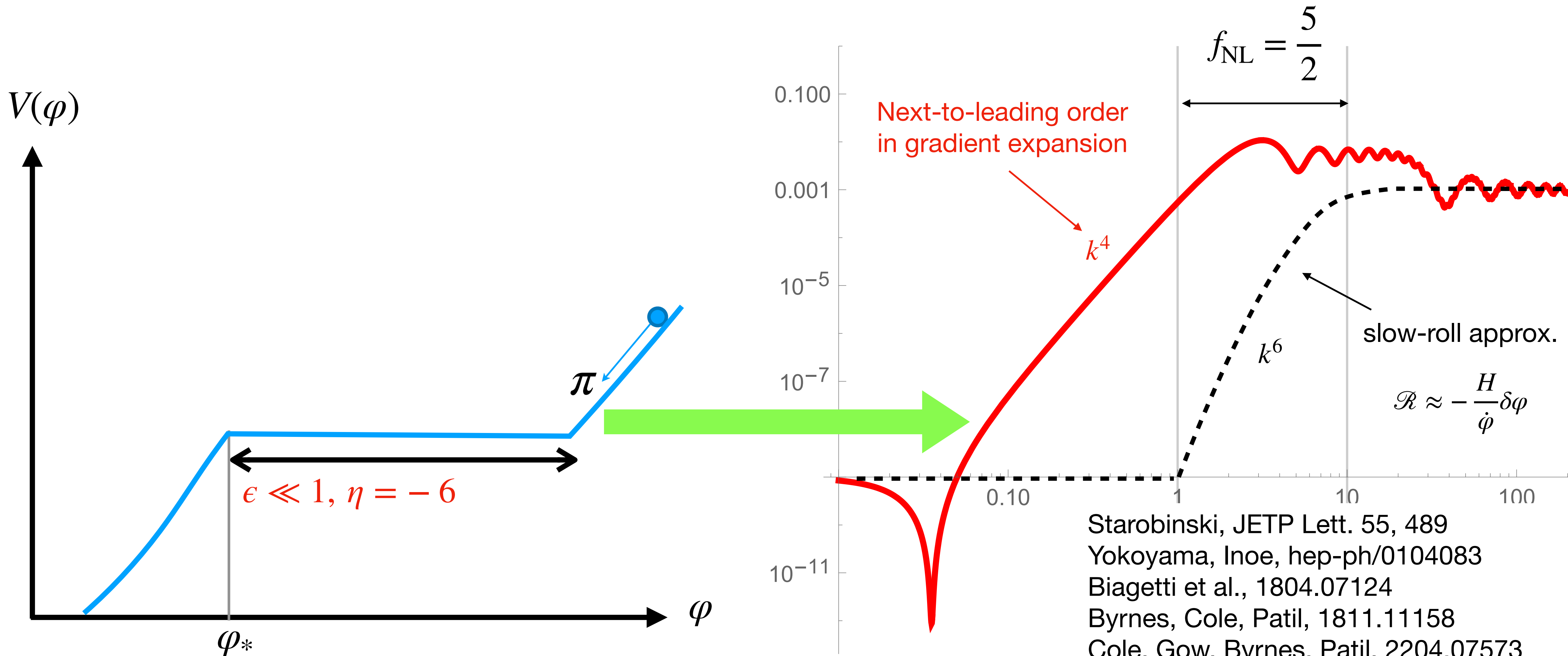


Ultra-slow-roll Inflation



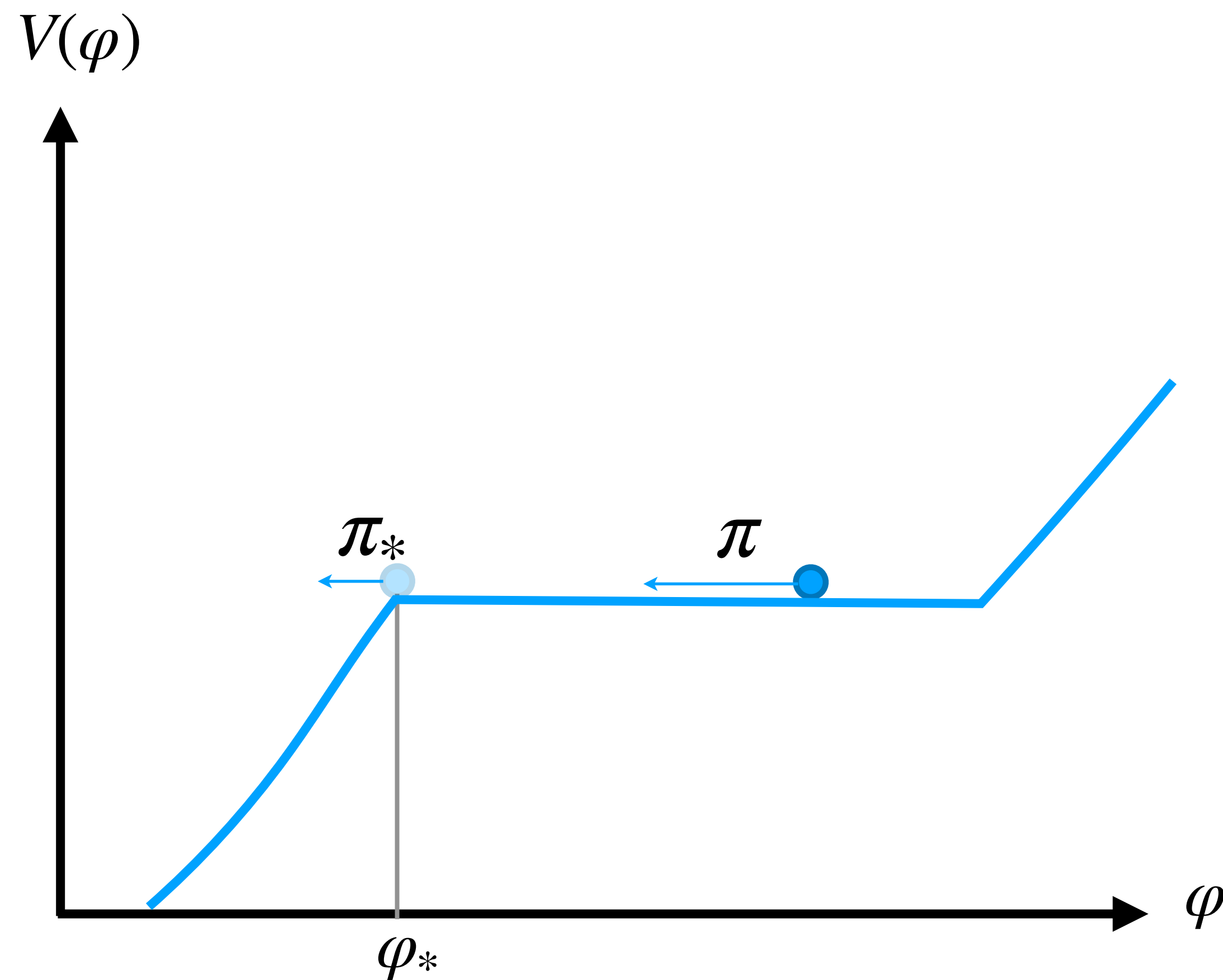
Starobinski, JETP Lett. 55, 489
 Byrnes, Cole, Patil, 1811.11158
 Cole, Gow, Byrnes, Patil, 2204.07573
 SP & Jianing Wang, 2209.14183

Ultra-slow-roll inflation



Starobinski, JETP Lett. 55, 489
 Yokoyama, Inoe, hep-ph/0104083
 Biagetti et al., 1804.07124
 Byrnes, Cole, Patil, 1811.11158
 Cole, Gow, Byrnes, Patil, 2204.07573
 SP, Jianing Wang, 2209.14183
 Domenech, Vargas, Vargas, 2309.05750

Ultra-slow-roll inflation



$$\frac{d^2\varphi}{dN^2} - 3\frac{d\varphi}{dN} = 0 \quad N = \int_{t_*}^t H dt$$

$$\varphi(N) = \varphi_* + \frac{\pi_*}{3} (1 - e^{3N})$$

$$\pi(N) \equiv -\frac{d\varphi}{dN} = \pi_* e^{3N}$$

$$N = -\frac{1}{3} \ln \frac{\pi_*}{\pi}$$

Ultra-slow-roll inflation

In the “fiducial” patch

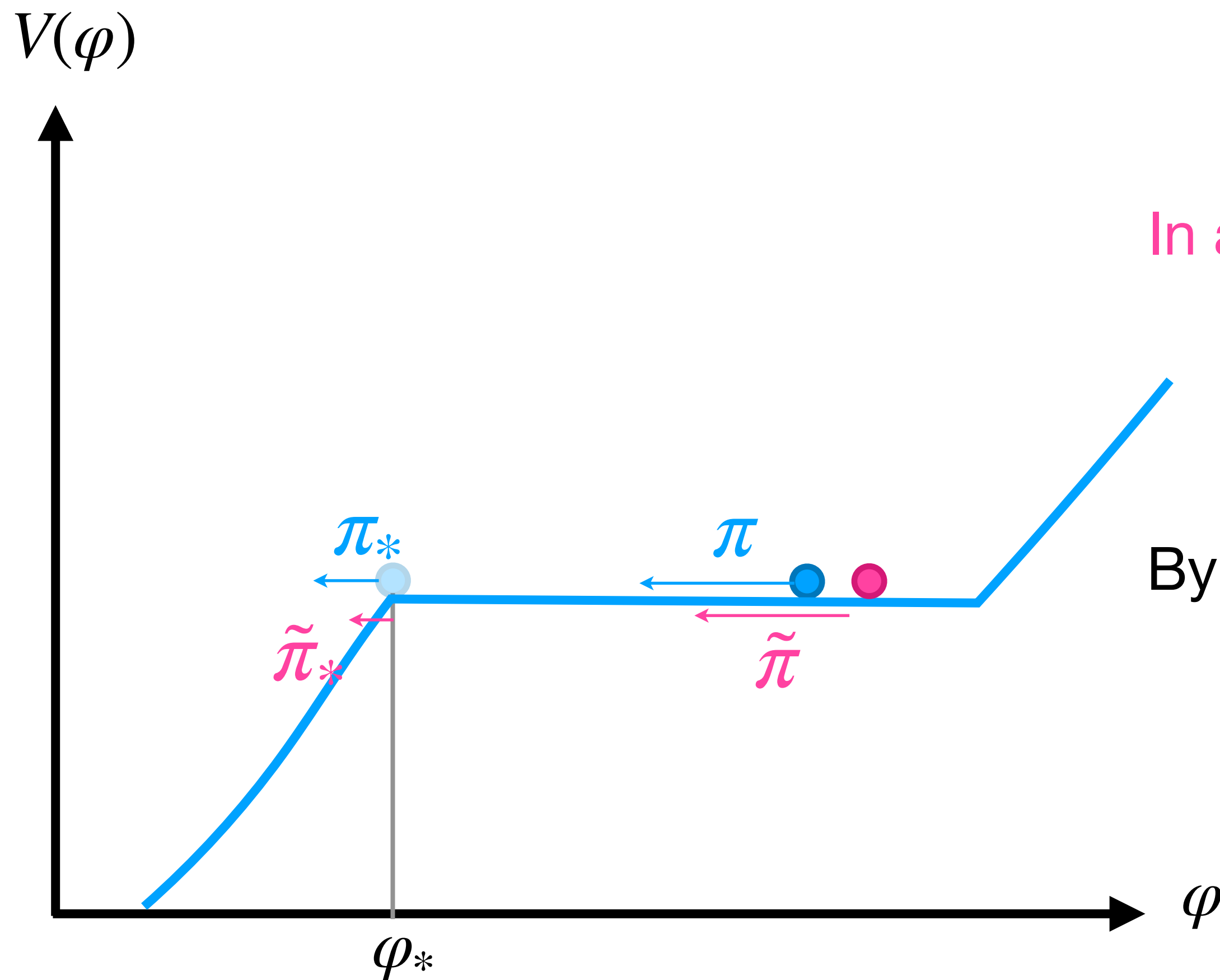
$$N = -\frac{1}{3} \ln \frac{\pi_*}{\pi}$$

In a perturbed patch

$$\tilde{N} = -\frac{1}{3} \ln \frac{\tilde{\pi}_*}{\tilde{\pi}}$$

By δN formalism, the curvature perturbation is

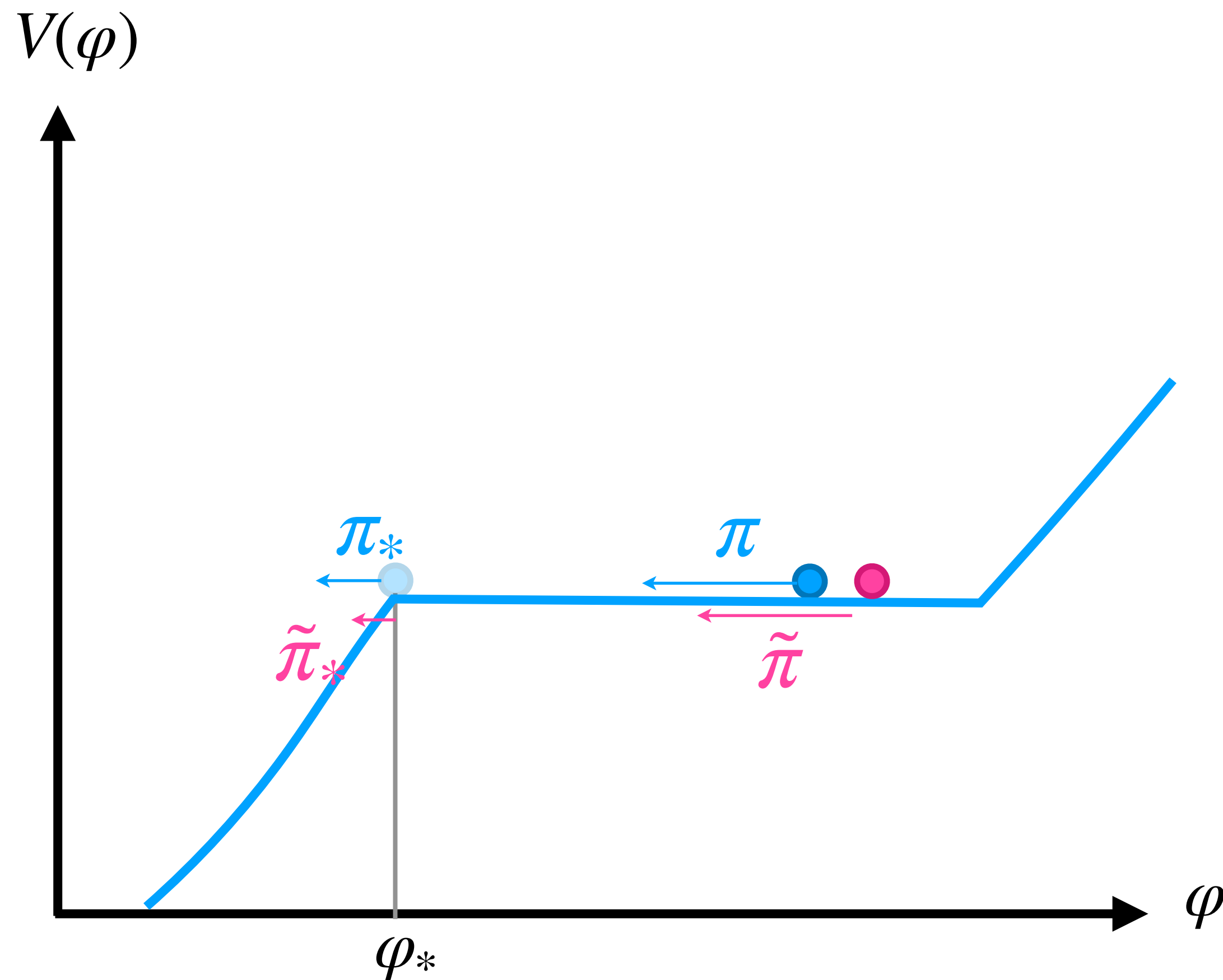
$$\begin{aligned} \mathcal{R} = \delta N &= \tilde{N} - N = \frac{1}{3} \ln \frac{\tilde{\pi} \pi_*}{\pi \tilde{\pi}_*} \\ &= \frac{1}{3} \ln \left(1 - \frac{\delta\pi}{\pi} \right) - \frac{1}{3} \ln \left(1 - \frac{\delta\pi_*}{\pi_*} \right) \end{aligned}$$



Ultra-slow-roll inflation

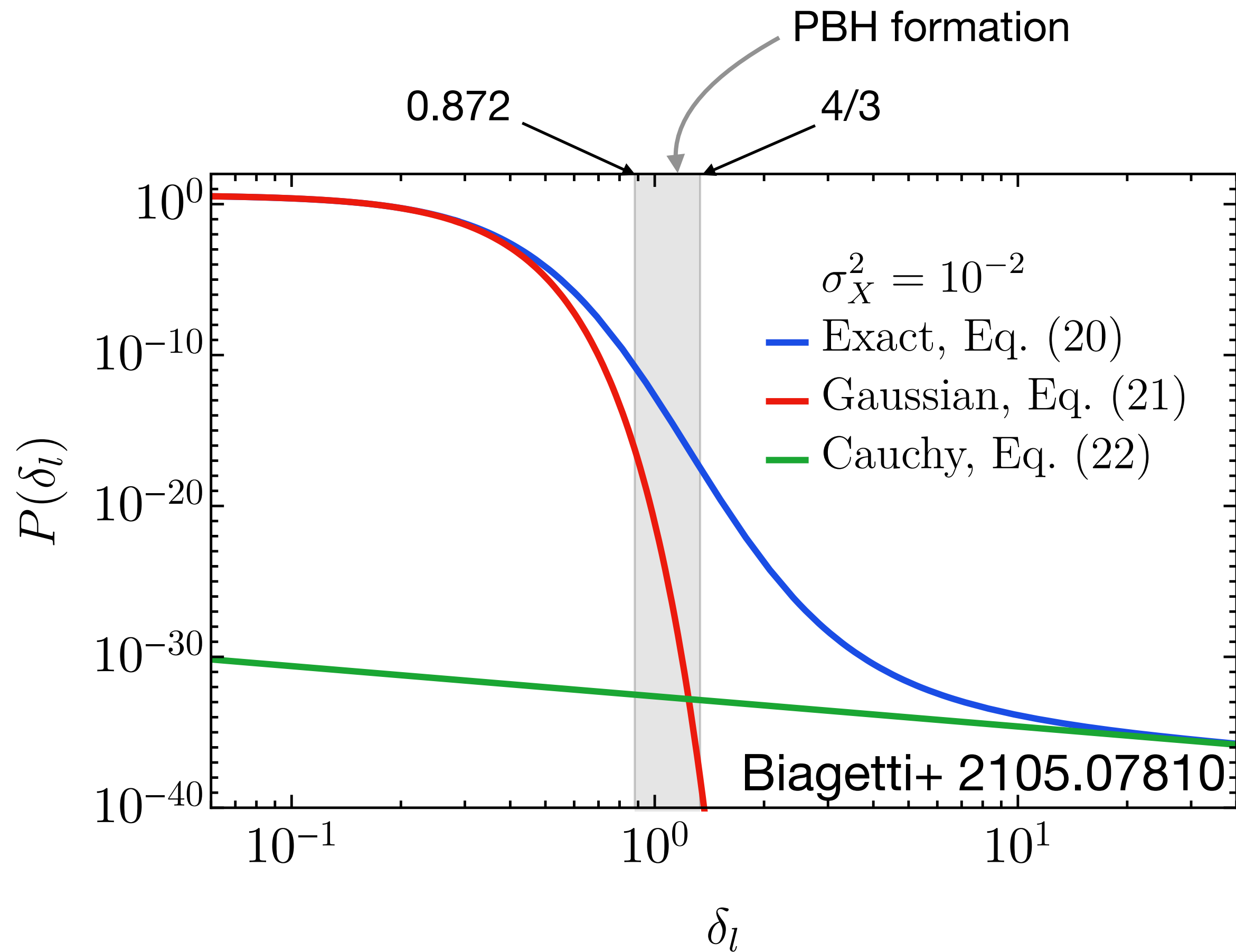
$$\mathcal{R} = -\frac{1}{3} \ln\left(1 - \frac{\delta\pi_*}{\pi_*}\right)$$

$$\left(f_{\text{NL}} = \frac{5}{2}, \quad g_{\text{NL}} = -\frac{25}{3}, \quad \dots\right)$$



- Namjoo, Firouzjahi, Sasaki, 1210.3692
- Chen, Firouzjahi, Komatsu, Namjoo, Sasaki, 1308.5341
- Cai, Chen, Namjoo, Sasaki, Wang, Wang, 1712.09998
- Biagetti, Franciolini, Kehagias, Riotto, 1804.07124
- Passaglia, Hu, Motohashi, 1812.08243
- SP and Sasaki, 2211.13932
- SP, 2404.06151

Ultra-slow-roll inflation



$$\mathcal{R} = -\frac{1}{3} \ln\left(1 - \frac{\delta\pi_*}{\pi_*}\right)$$

$$\left(f_{\text{NL}} = \frac{5}{2}, \quad g_{\text{NL}} = -\frac{25}{3}, \quad \dots\right)$$

Namjoo, Firouzjahi, Sasaki, 1210.3692

Chen, Firouzjahi, Komatsu, Namjoo, Sasaki, 1308.5341

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Biagetti, Franciolini, Kehagias, Riotto, 1804.07124

Passaglia, Hu, Motohashi, 1812.08243

SP and Sasaki, 2211.13932

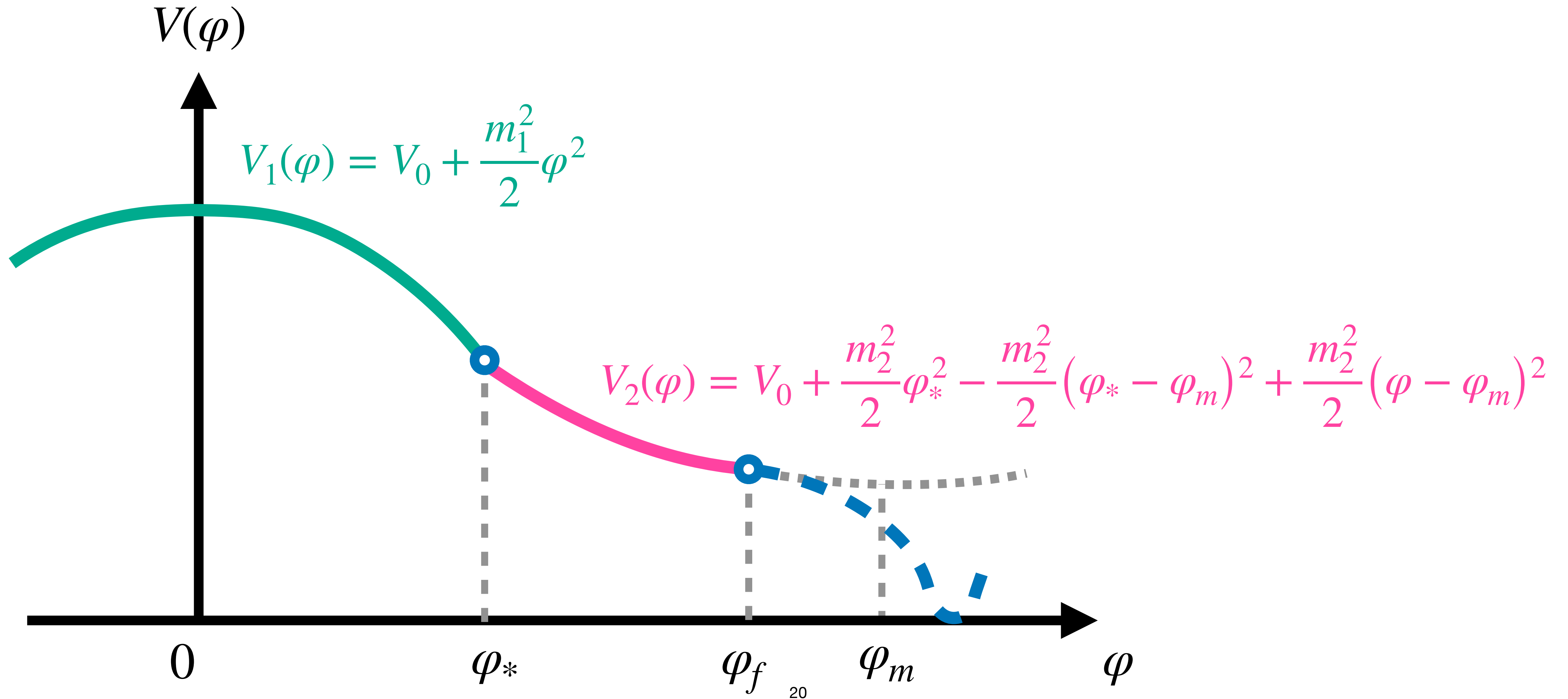
SP, 2404.06151

This exponential tail is basically different from stochastic approach, see e.g.

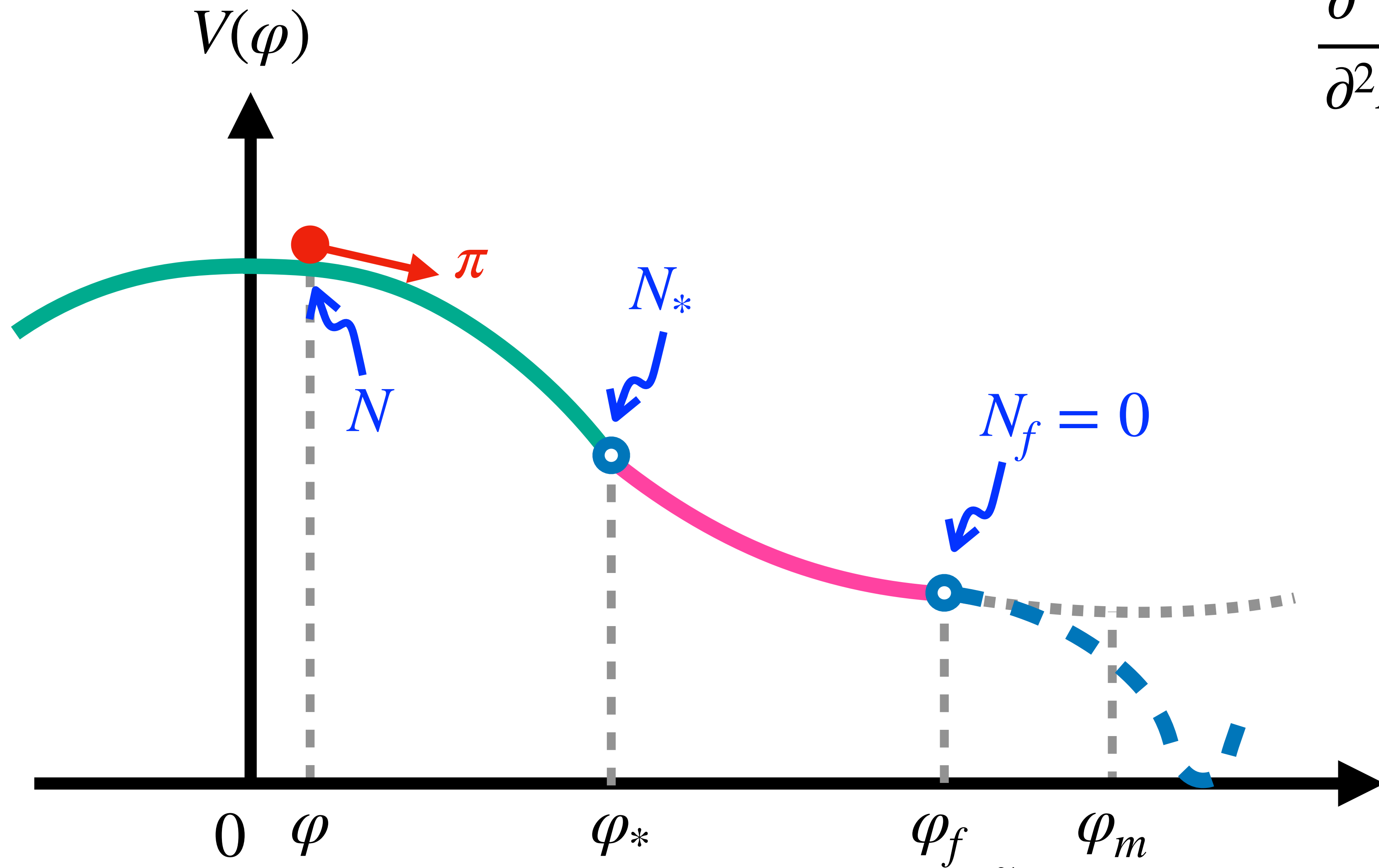
Jackson et al 2410.13683, Cruces et al 2410.17987

Cruces, SP, Sasaki in prep

piecewise quadratic potential



piecewise quadratic potential



$$\frac{\partial^2 \varphi}{\partial^2 N} - 3 \frac{\partial \varphi}{\partial N} + 3\eta_V \varphi = 0$$

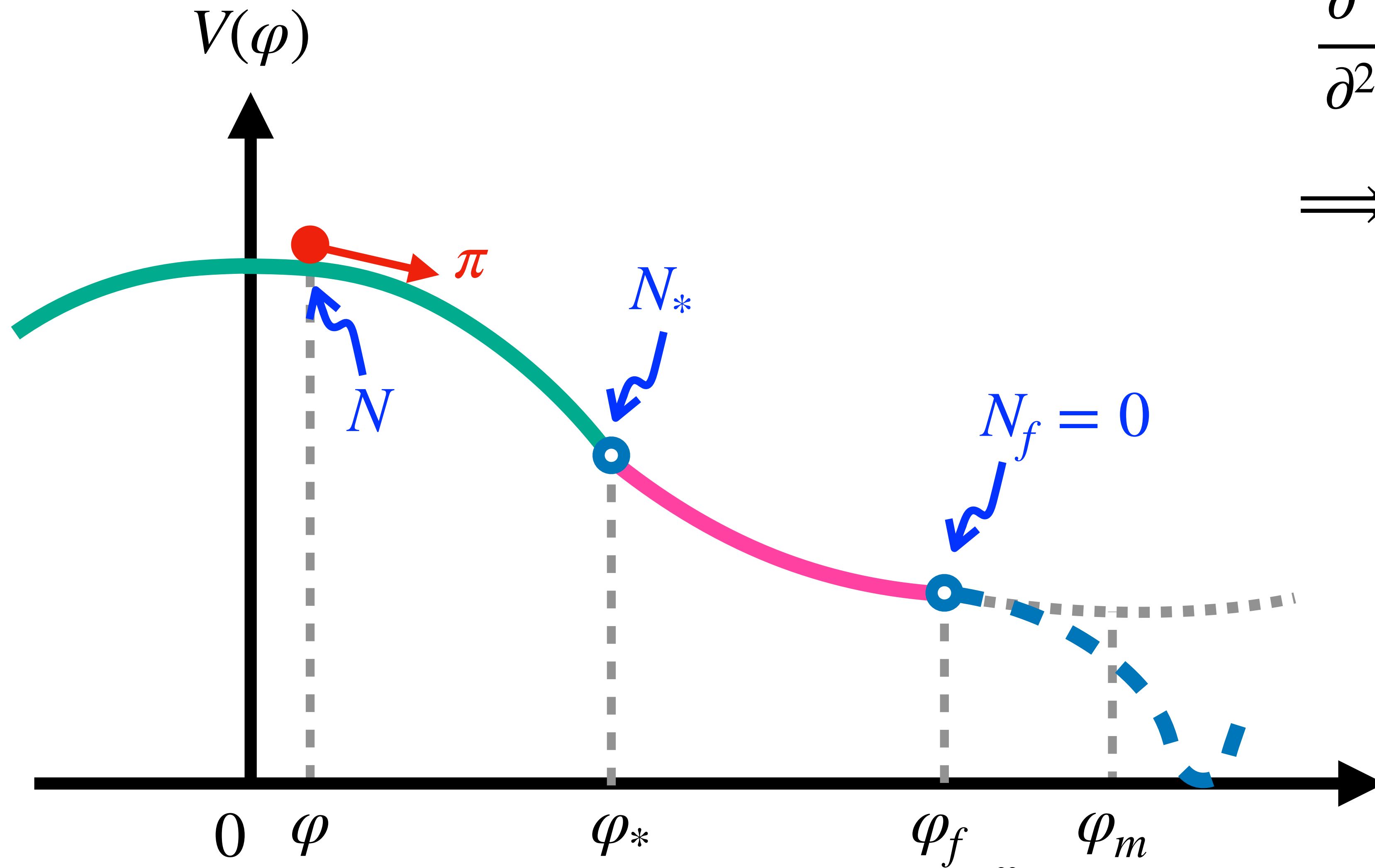
$$\eta_V = \frac{m_1^2}{3H^2}$$

$$N = \int_t^{t_f} H dt$$

$$V_1(\varphi) = V_0 + \frac{m_1^2}{2} \varphi^2$$

$$V_2(\varphi) = V_0 + \frac{m_2^2}{2} \varphi_*^2 - \frac{m_2^2}{2} (\varphi_* - \varphi_m)^2 + \frac{m_2^2}{2} (\varphi - \varphi_m)^2$$

background solution



$$\frac{\partial^2 \varphi}{\partial^2 N} - 3 \frac{\partial \varphi}{\partial N} + 3\eta_V \varphi = 0$$

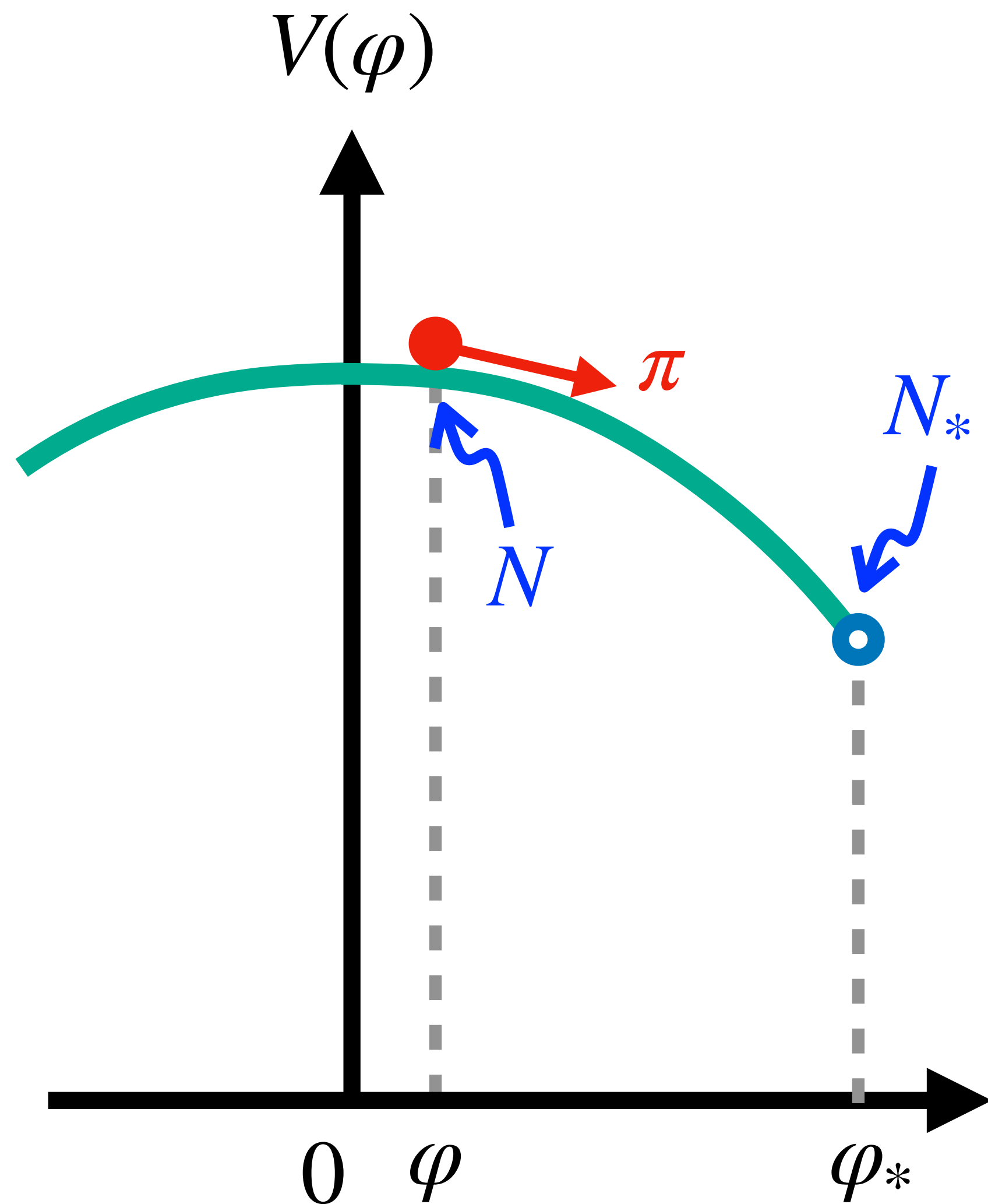
$$\implies \varphi = c_+ e^{\lambda_+ N} + c_- e^{\lambda_- N}$$

$$\lambda_{\pm} = \frac{3 \pm \sqrt{9 - 12\eta_V}}{2}$$

$$V_1(\varphi) = V_0 + \frac{m_1^2}{2} \varphi^2$$

$$V_2(\varphi) = V_0 + \frac{m_2^2}{2} \varphi_*^2 - \frac{m_2^2}{2} (\varphi_* - \varphi_m)^2 + \frac{m_2^2}{2} (\varphi - \varphi_m)^2$$

background solution



$$\varphi(N) = c_+ e^{\lambda_+(N-N_*)} + c_- e^{\lambda_-(N-N_*)}$$

$$-\pi(N) \equiv \frac{\partial \varphi}{\partial N} = \lambda_+ c_+ e^{\lambda_+(N-N_*)} + \lambda_- c_- e^{\lambda_-(N-N_*)}$$

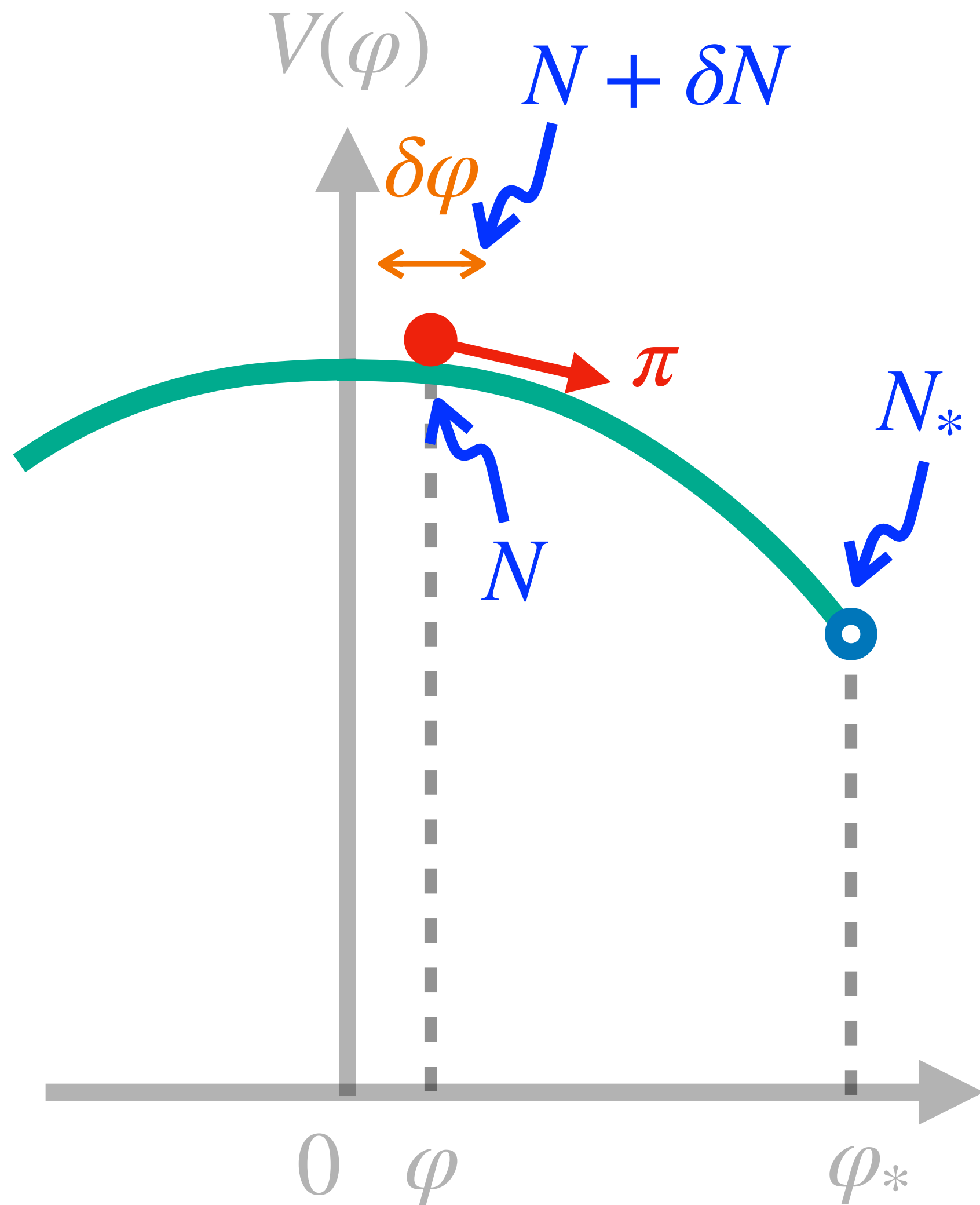
$$\varphi(N_*) \equiv \varphi_* = c_+ + c_-$$

$$-\pi(N_*) \equiv \pi_* = \lambda_+ c_+ + \lambda_- c_-$$

$$\implies$$

$$c_{\pm} = \mp \frac{\pi_* + \lambda_{\mp} \varphi_*}{\lambda_+ - \lambda_-}$$

Logarithmic Duality



The (fiducial) e-folding number can be expressed by (φ, π) and their values on the boundary (φ_*, π_*) .

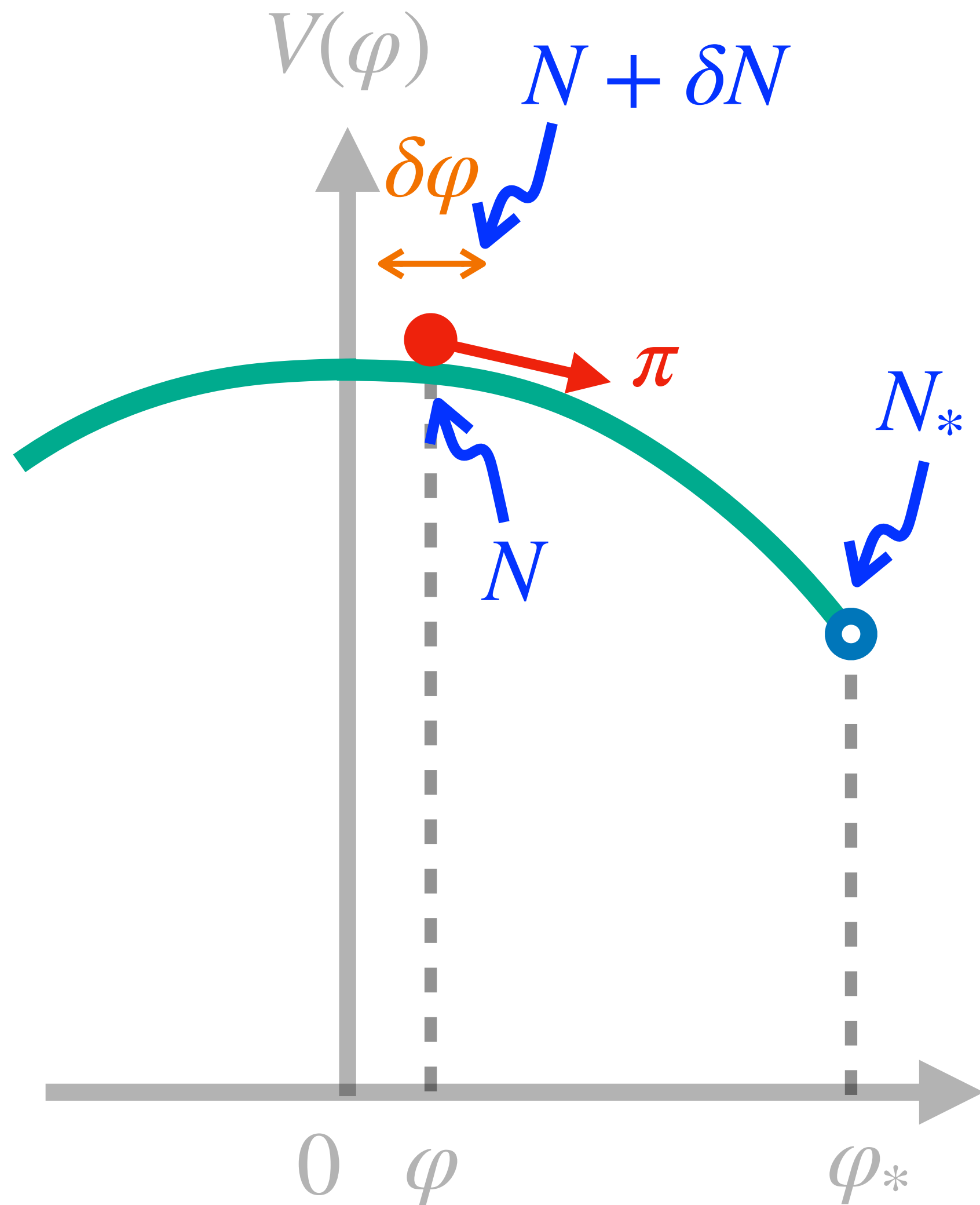
$$\left. \begin{aligned} \frac{\pi + \lambda_+ \varphi}{\pi_* + \lambda_+ \varphi_*} &= e^{\lambda_+(N-N_*)} \\ \frac{\pi + \lambda_- \varphi}{\pi_* + \lambda_- \varphi_*} &= e^{\lambda_-(N-N_*)} \end{aligned} \right\} \implies N - N_* = \frac{1}{\lambda_{\pm}} \ln \frac{\pi + \lambda_{\mp} \varphi}{\pi_* + \lambda_{\mp} \varphi_*}$$

For another trajectory, we take the perturbation as

$$\left. \begin{aligned} N &\rightarrow N + \delta N \\ \varphi &\rightarrow \varphi + \delta \varphi \\ \pi &\rightarrow \pi + \delta \pi \\ \pi_* &\rightarrow \pi_* + \delta \pi_* \end{aligned} \right\} N - N_* + \delta(N - N_*) = \frac{1}{\lambda_{\pm}} \ln \frac{\pi + \delta \pi + \lambda_{\mp}(\varphi + \delta \varphi)}{\pi_* + \delta \pi_* + \lambda_{\mp} \varphi_*}$$

And then subtract the fiducial N from $N + \delta N$:

Logarithmic Duality



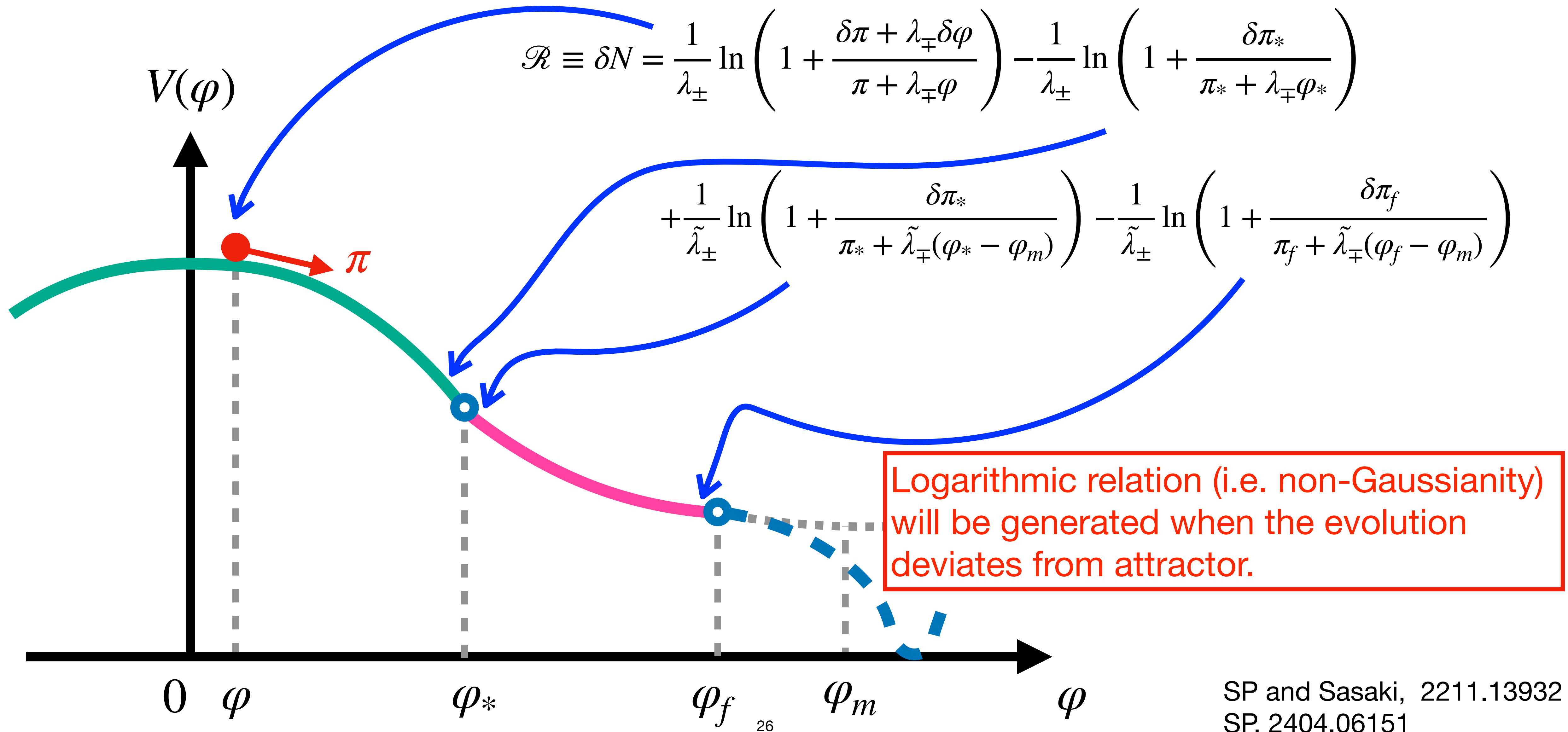
$$\left. \begin{aligned} \frac{\pi + \lambda_+ \varphi}{\pi_* + \lambda_+ \varphi_*} &= e^{\lambda_+(N-N_*)} \\ \frac{\pi + \lambda_- \varphi}{\pi_* + \lambda_- \varphi_*} &= e^{\lambda_-(N-N_*)} \end{aligned} \right\} \implies N - N_* = \frac{1}{\lambda_{\pm}} \ln \frac{\pi + \lambda_{\mp} \varphi}{\pi_* + \lambda_{\mp} \varphi_*}$$

$$\implies \mathcal{R} = \delta(N - N_*)$$

$$= \frac{1}{\lambda_{\pm}} \ln \left(1 + \frac{\delta\pi + \lambda_{\mp} \delta\varphi}{\pi + \lambda_{\mp} \varphi} \right) - \frac{1}{\lambda_{\pm}} \ln \left(1 + \frac{\delta\pi_*}{\pi_* + \lambda_{\mp} \varphi_*} \right)$$

Logarithmic duality of the curvature perturbation

Logarithmic Duality



Logarithmic Duality

SP and Sasaki, 2211.13932

$$\mathcal{R}(\delta\varphi, \delta\pi)$$

$$\mathcal{R} = \frac{1}{\lambda_{\pm}} \ln \left(1 + \frac{\delta\pi + \lambda_{\mp} \delta\varphi}{\pi + \lambda_{\mp} \varphi} \right) - \frac{1}{\lambda_{\pm}} \ln \left(1 + \frac{\delta\pi_*}{\pi_* + \lambda_{\mp} \varphi_*} \right) + \dots$$

$$(f_{NL} = -\frac{5}{6}\lambda_-)$$

$$\mathcal{R} = -H \frac{\delta\varphi}{\dot{\varphi}} + \frac{3}{5} f_{NL} \left(-H \frac{\delta\varphi}{\dot{\varphi}} \right)^2$$

Slow-roll inflation
Stewart and Sasaki, 1995
Lyth and Roquigez, 2005

$$\mathcal{R} = -\mu \ln \left(1 - \frac{\mathcal{R}_g}{\mu} \right)$$

Constant-roll

Atal, Garriga, Marcos-Caballero, 1905.13202
Atal, Cid, Escrivà, Garriga, 1908.11357
Escrivà, Atal, Garriga, 2306.09990
Inui, Motohashi, SP, et al, 2409.13500

$\lambda_- \ll 1$

$\lambda_- = -1/\mu$

$\lambda_- = 0$

$$\mathcal{R} = -\frac{1}{3} \ln \left(1 + \frac{\delta\pi_*}{\pi_*} \right)$$

Ultra-slow-roll

Namjoo, Firouzjahi, Sasaki, 1210.3692
Cai, Chen, et al 1712.09998
Biagetti et al 1804.07124
Passaglia et al 1812.08243

$\lambda_- = 3/2$

$$\mathcal{R} = \frac{2}{3} \ln(1 + \delta)$$

Curvaton scenario,

SP and Sasaki, 2112.12680
Ferrante et al, 2211.01728
Hooper et al. 2308.00756

$$\mathcal{R} = -\frac{1}{\lambda} \ln(f(\mathcal{R}_G))$$

Extensions,
Kawaguchi et al, 2305.18140
SP and Yokoyama, in prep

Probability Distribution Function

For the simplest single-logarithm case: $\mathcal{R} \equiv \delta N = \frac{1}{\lambda_-} \ln \left(1 + \frac{\delta\pi + \lambda_+ \delta\varphi}{\pi + \lambda_+ \varphi} \right)$

\Downarrow $P(\mathcal{R})d\mathcal{R} = P(\delta\varphi)d\delta\varphi$ → Gaussian PDF with variance $\sigma_{\delta\varphi}^2$

$$P(\mathcal{R}) = \frac{e^{\lambda_- \mathcal{R}}}{\sqrt{2\pi\sigma_{\delta\varphi}^2}} |\lambda_-| \varphi \exp \left[-\frac{\varphi^2}{2\sigma_{\delta\varphi}^2} (e^{\lambda_- \mathcal{R}} - 1)^2 \right]$$

$\lambda_- < 0$

$P(\mathcal{R}) \sim e^{\lambda_- \mathcal{R}}$

exponential tail

$\lambda_- > 0$

$P(\mathcal{R}) \sim \exp(-c^2 e^{2\lambda_- \mathcal{R}})$

Gumbel-distribution-like tail

USR and NG

$$(\lambda_- = 0, \quad \lambda_+ = 3)$$

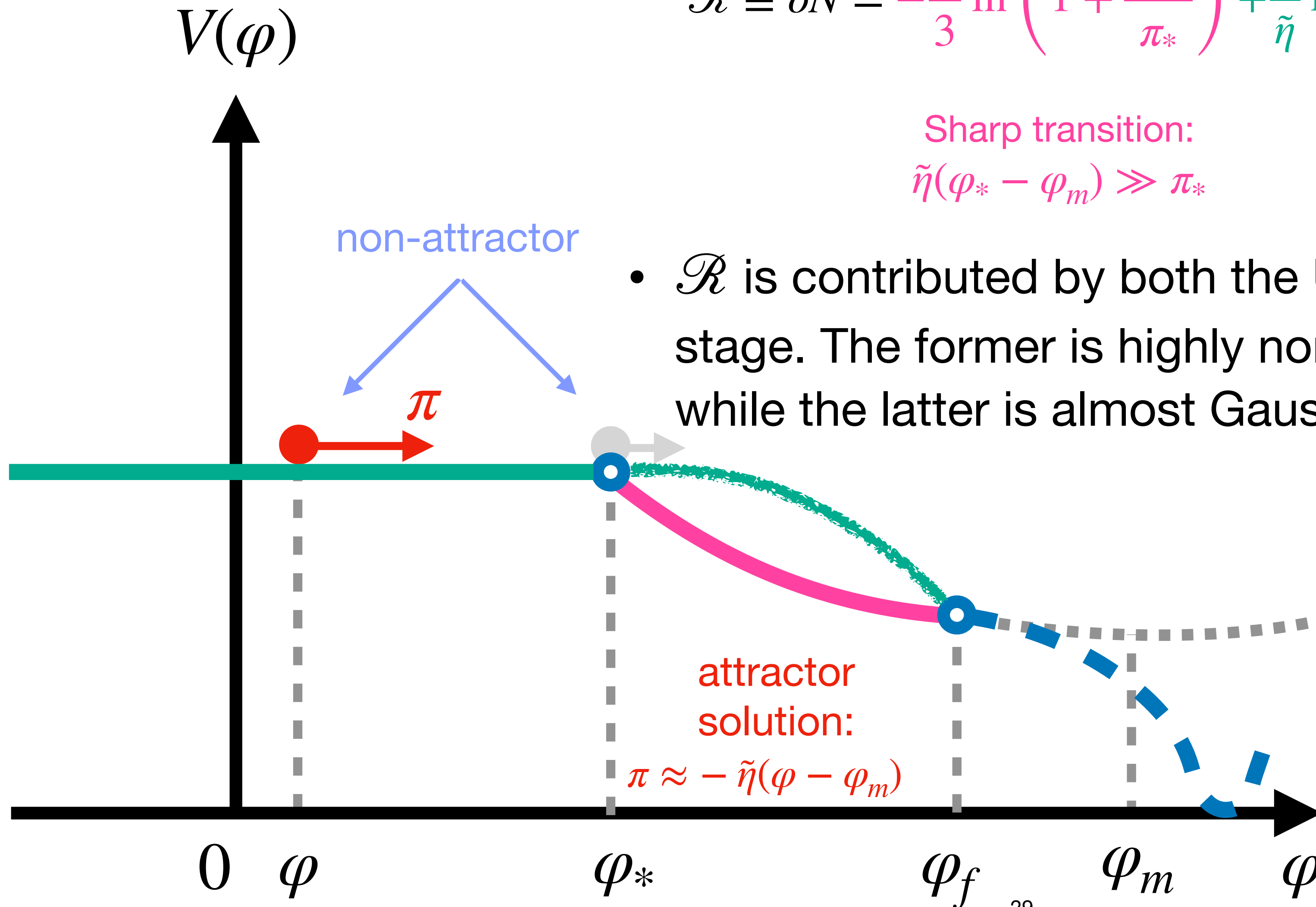
$$(\tilde{\lambda}_- = \tilde{\eta}, \quad \tilde{\lambda}_+ = 3 - \tilde{\eta})$$

$$\mathcal{R} \equiv \delta N = -\frac{1}{3} \ln \left(1 + \frac{\delta\pi_*}{\pi_*} \right) + \frac{1}{\tilde{\eta}} \ln \left(1 + \frac{\delta\pi_*}{\pi_* + (3 - \tilde{\eta})(\varphi_* - \varphi_m)} \right)$$

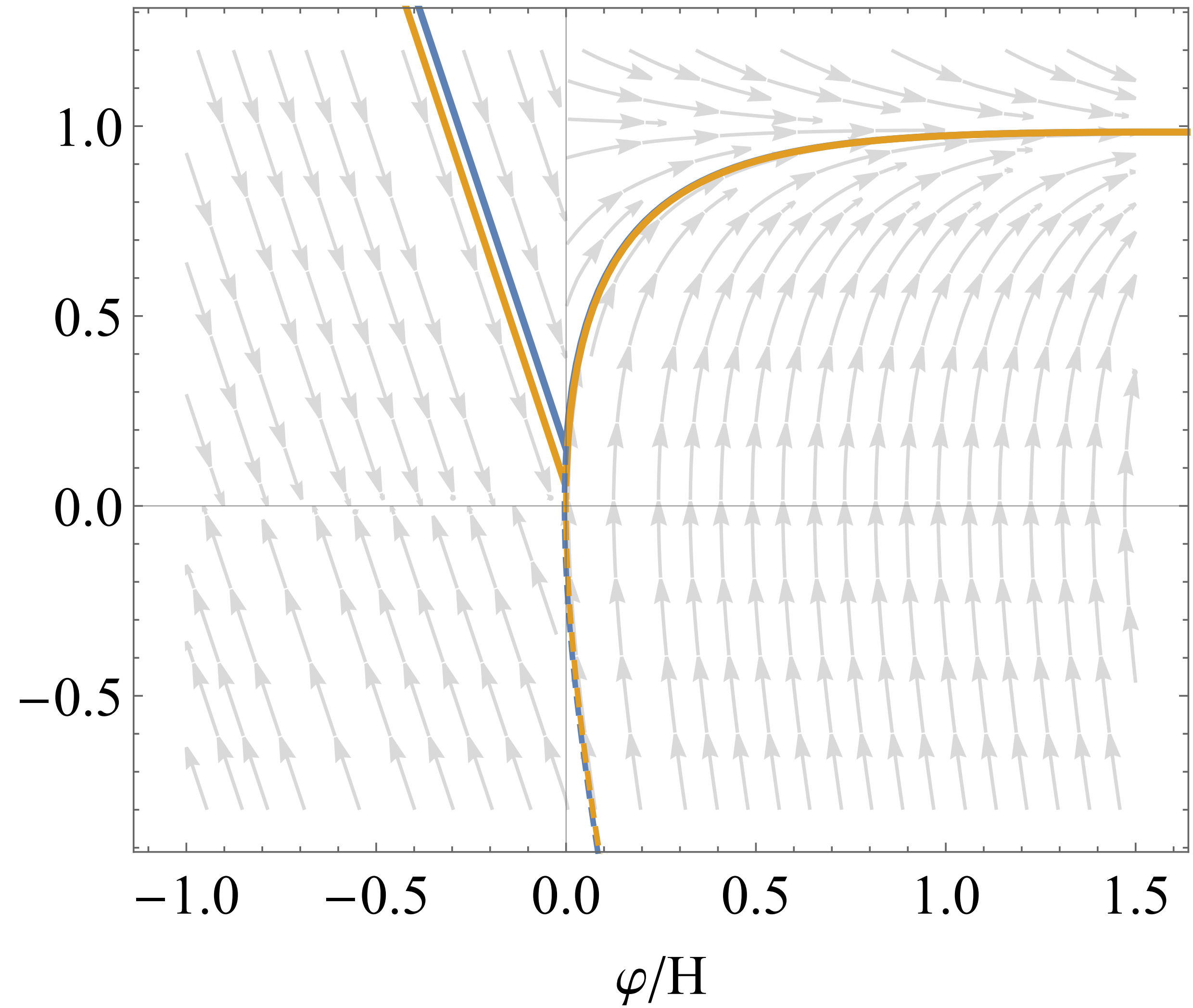
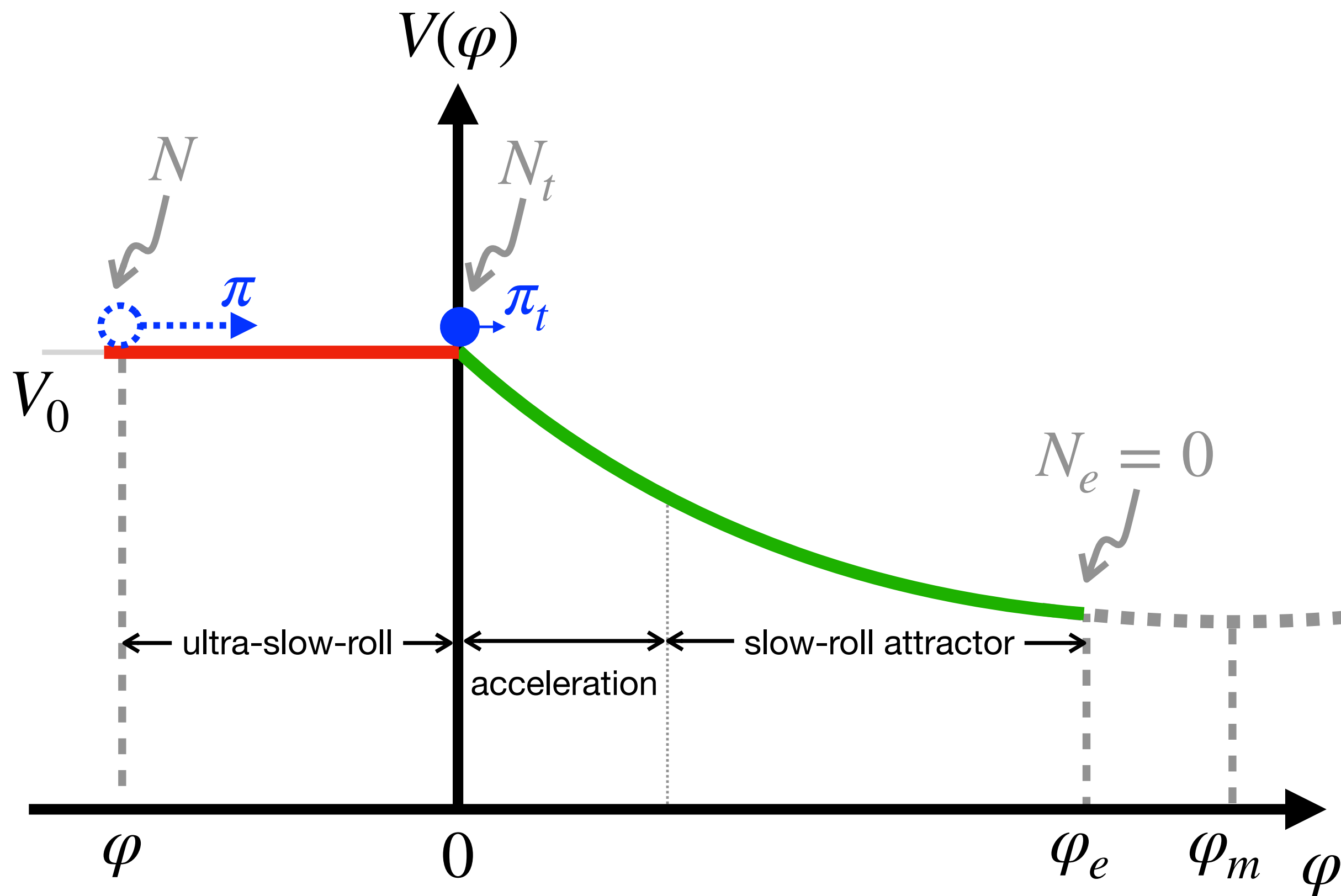
Sharp transition:
 $\tilde{\eta}(\varphi_* - \varphi_m) \gg \pi_*$

Smooth transition
 $\tilde{\eta}(\varphi_* - \varphi_m) \ll \pi_*$

- \mathcal{R} is contributed by both the USR stage and the later slow-roll stage. The former is highly non-Gaussian (i.e. exp tail, $f_{\text{NL}} = 5/2$), while the latter is almost Gaussian.

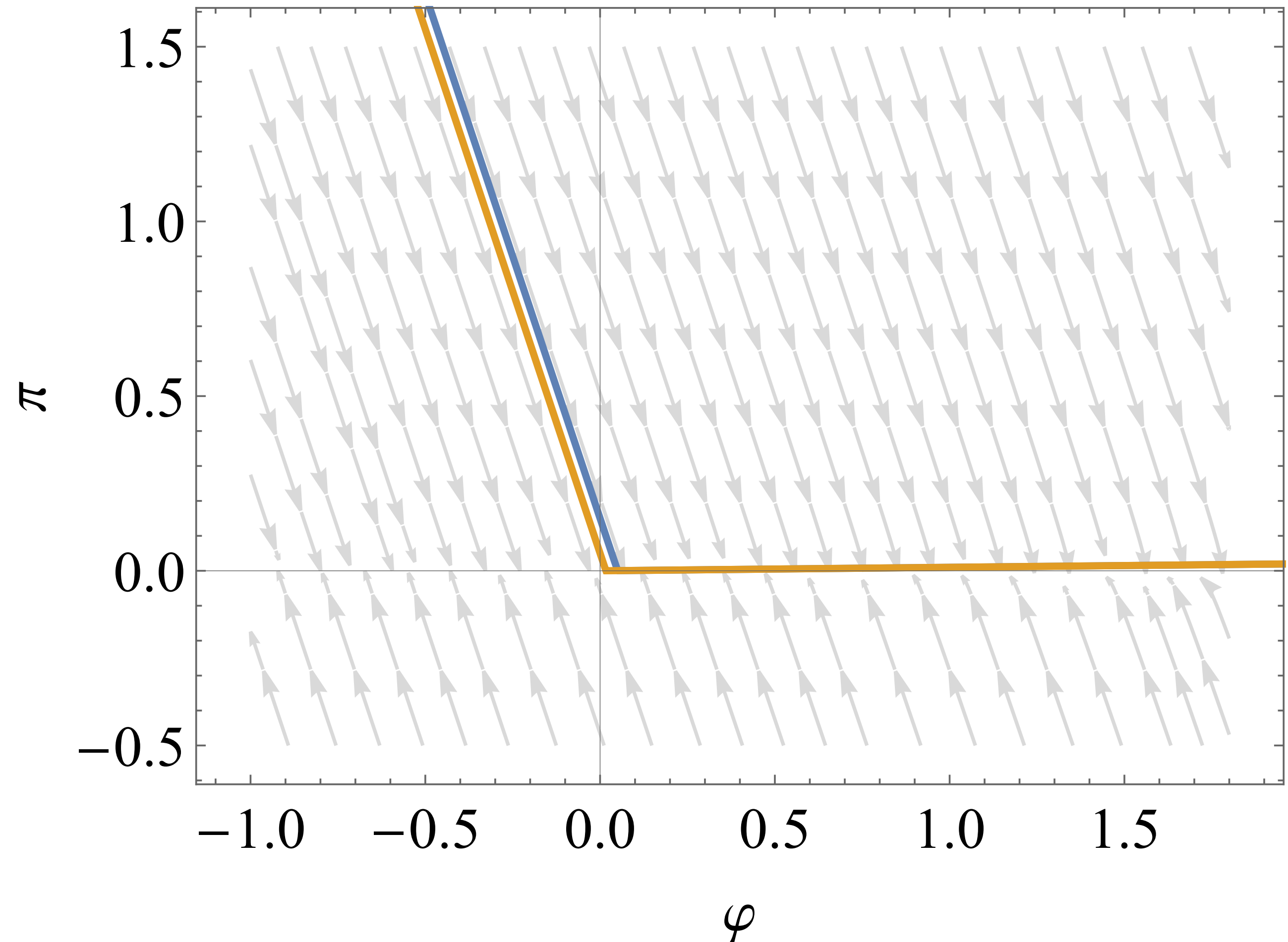
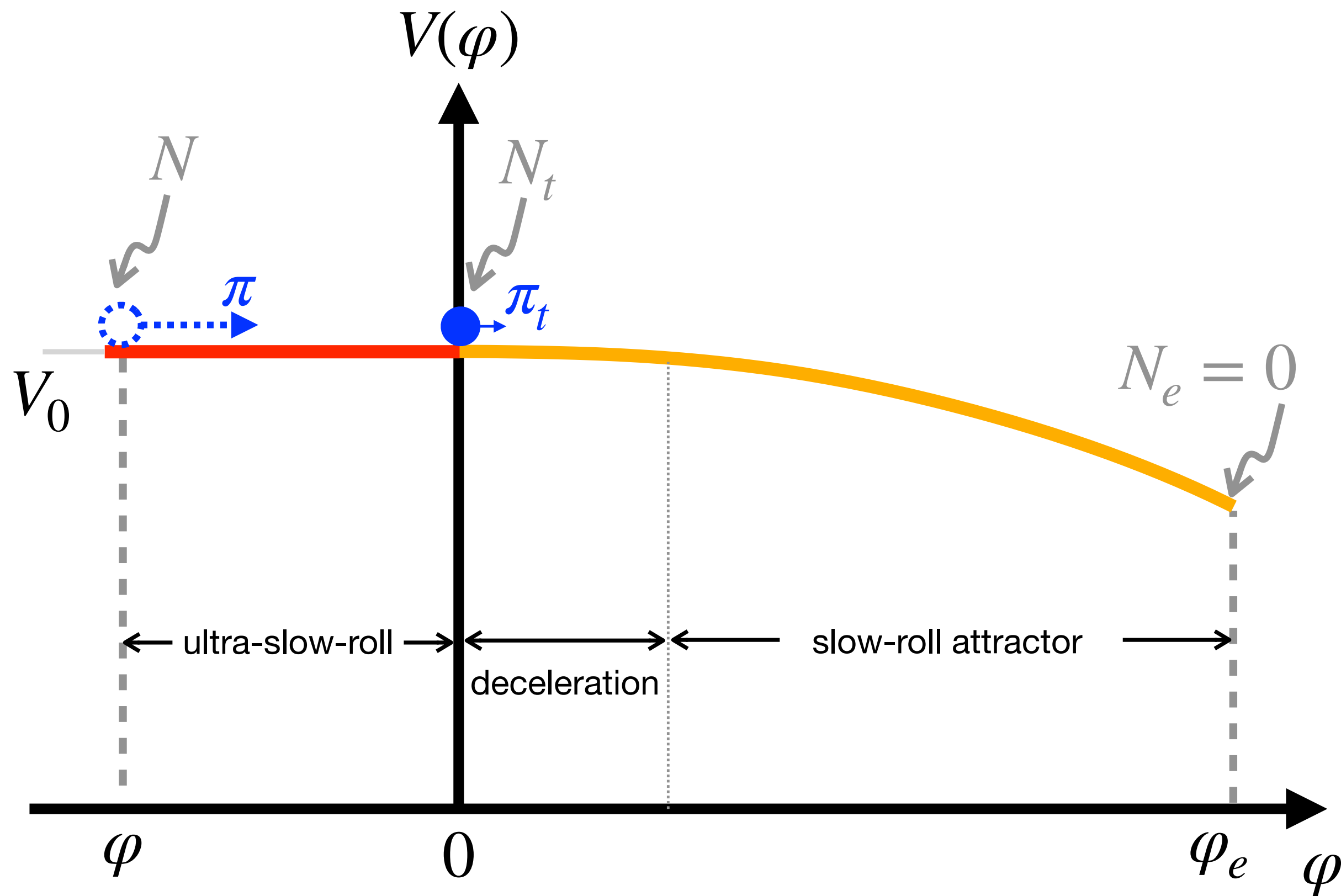


USR: Sharp end



SP and Sasaki, 2211.13932
 SP, 2404.06151
 c.f. Cai et al, 1712.09998

USR: Smooth end



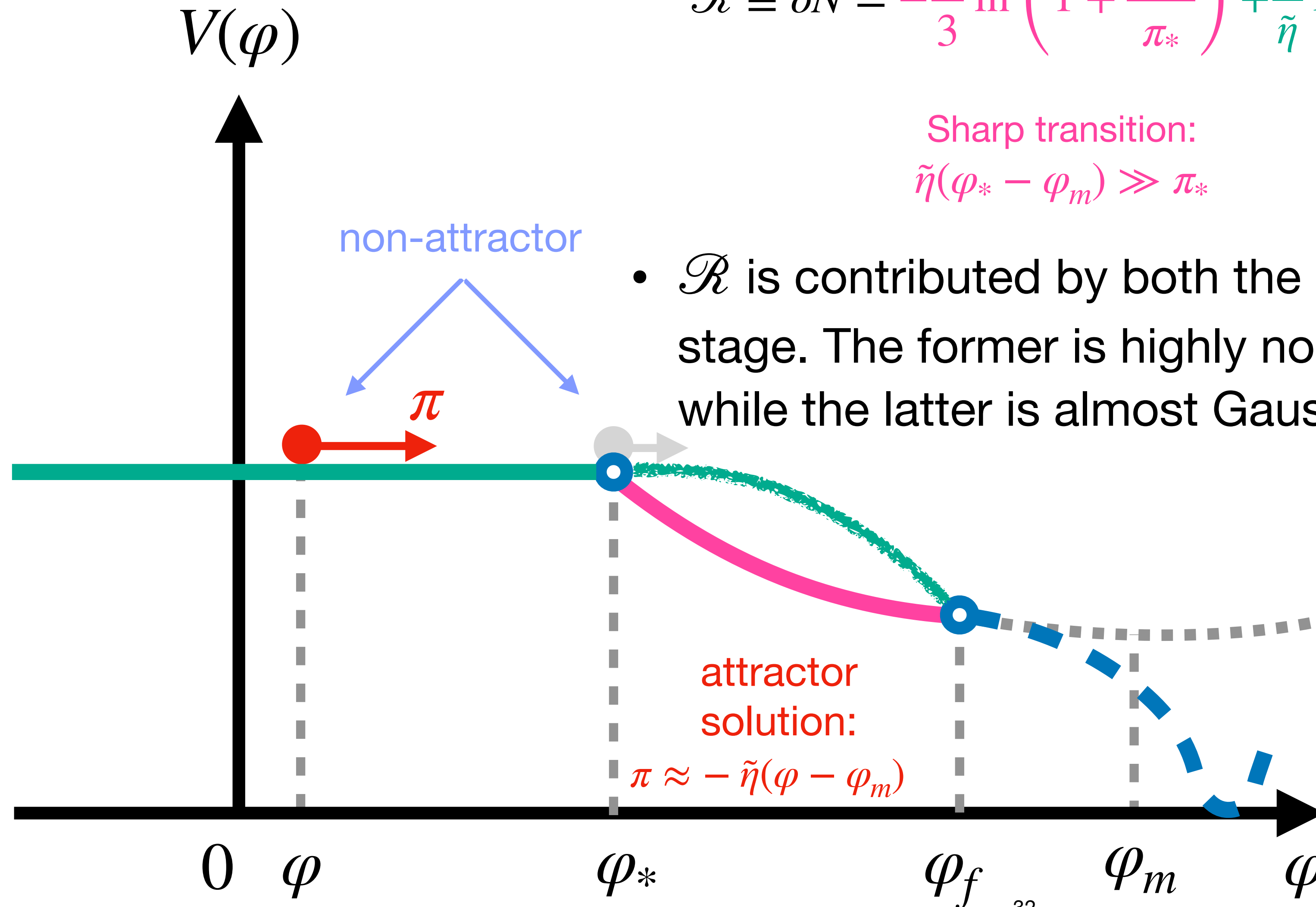
SP and Sasaki, 2211.13932
 SP, 2404.06151
 c.f. Cai et al, 1712.09998

USR and NG

$$(\lambda_- = 0, \quad \lambda_+ = 3)$$

$$(\tilde{\lambda}_- = \tilde{\eta}, \quad \tilde{\lambda}_+ = 3 - \tilde{\eta})$$

$$\mathcal{R} \equiv \delta N = -\frac{1}{3} \ln \left(1 + \frac{\delta\pi_*}{\pi_*} \right) + \frac{1}{\tilde{\eta}} \ln \left(1 + \frac{\delta\pi_*}{\pi_* + (3 - \tilde{\eta})(\varphi_* - \varphi_m)} \right)$$



Sharp transition:
 $\tilde{\eta}(\varphi_* - \varphi_m) \gg \pi_*$

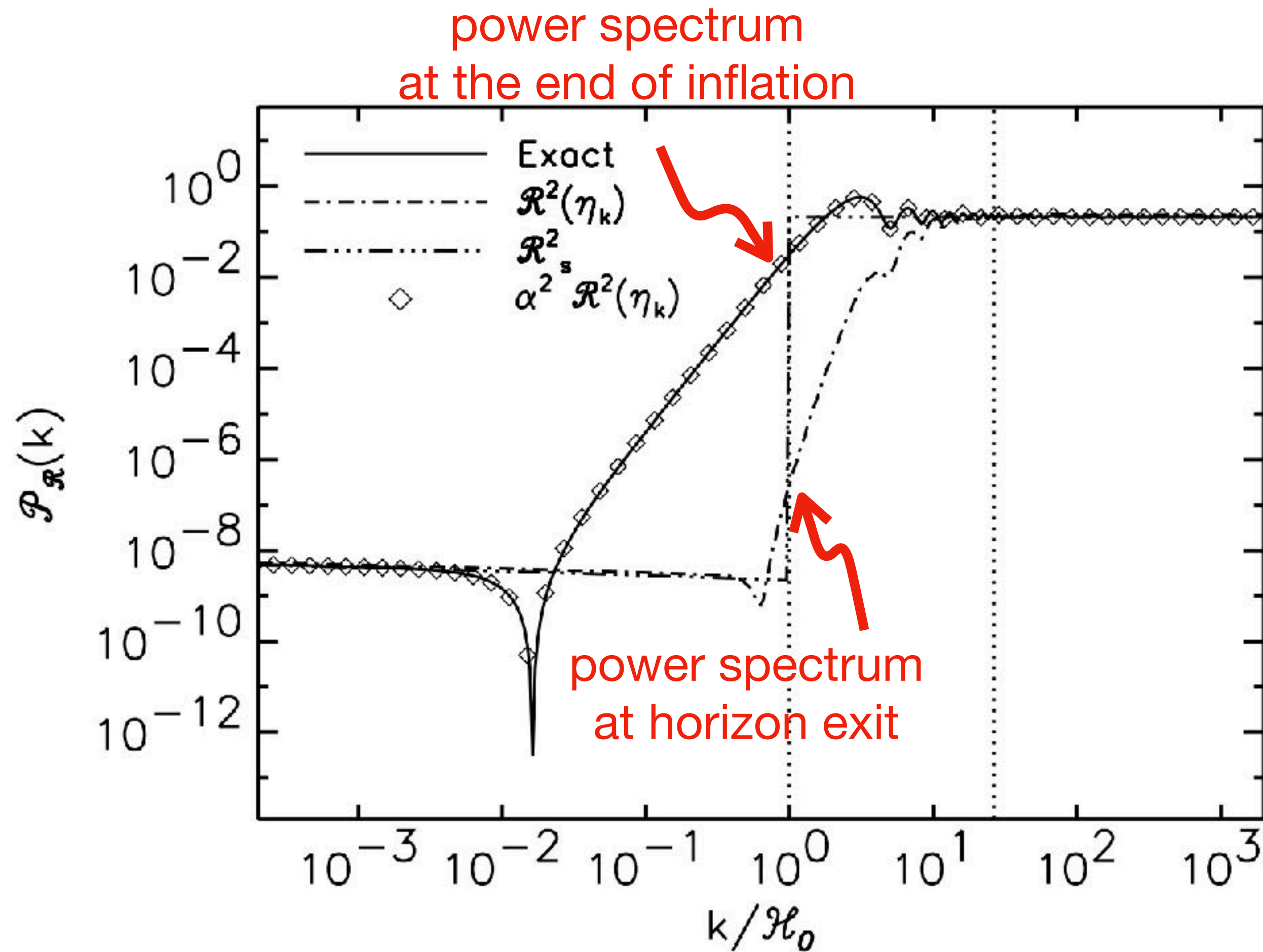
Smooth transition
 $\tilde{\eta}(\varphi_* - \varphi_m) \ll \pi_*$

- \mathcal{R} is contributed by both the USR stage and the later slow-roll stage. The former is highly non-Gaussian (i.e. exp tail, $f_{\text{NL}} = 5/2$), while the latter is almost Gaussian.
- Compare with stochastic approach

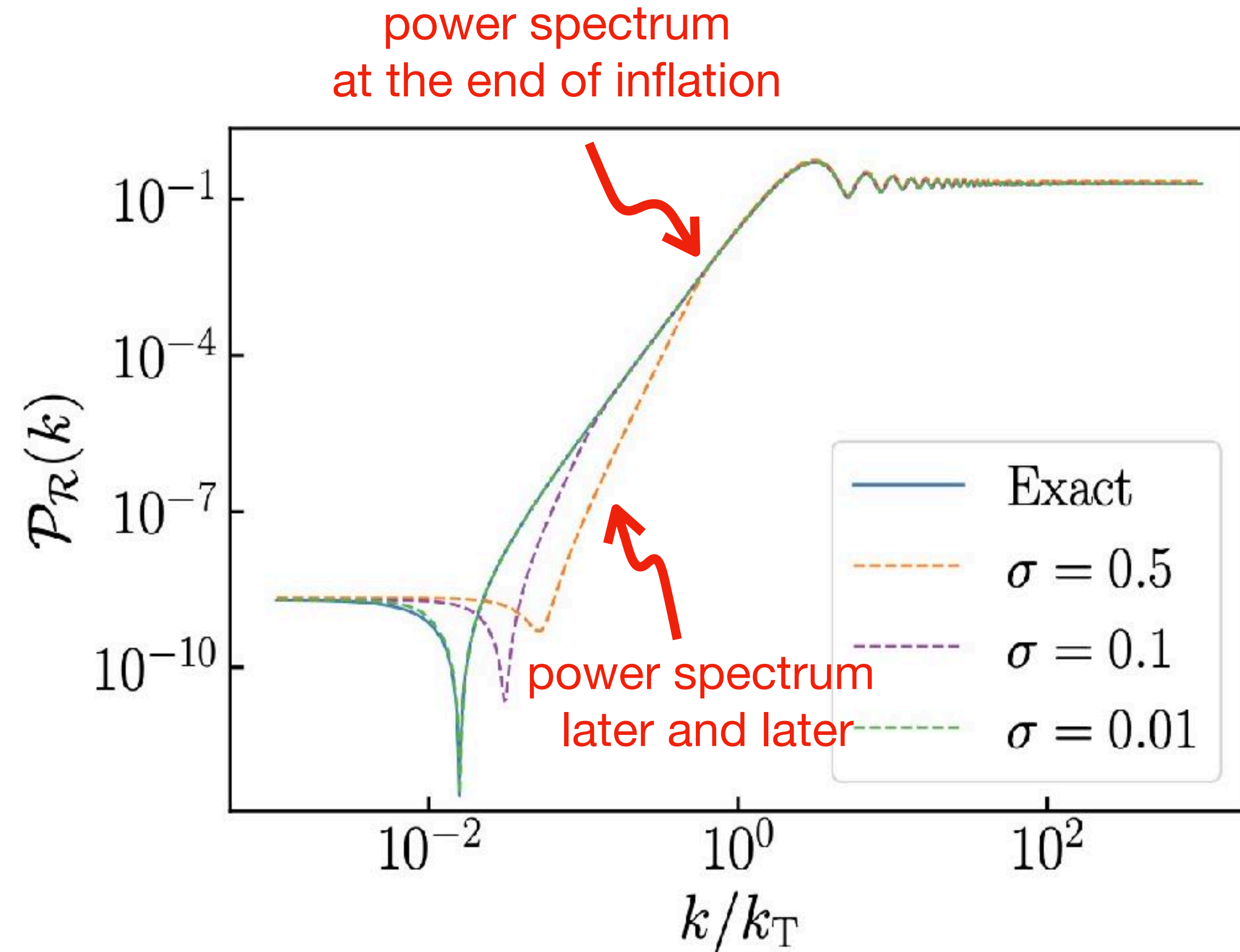
Jackson et al 2410.13683,
 Cruces, SP, Sasaki in prep

Domenech et al., 2309.05750
 Jackson et al., 2311.03281
 Artigas, SP, Tanaka, 2408.09964

Separate Universe

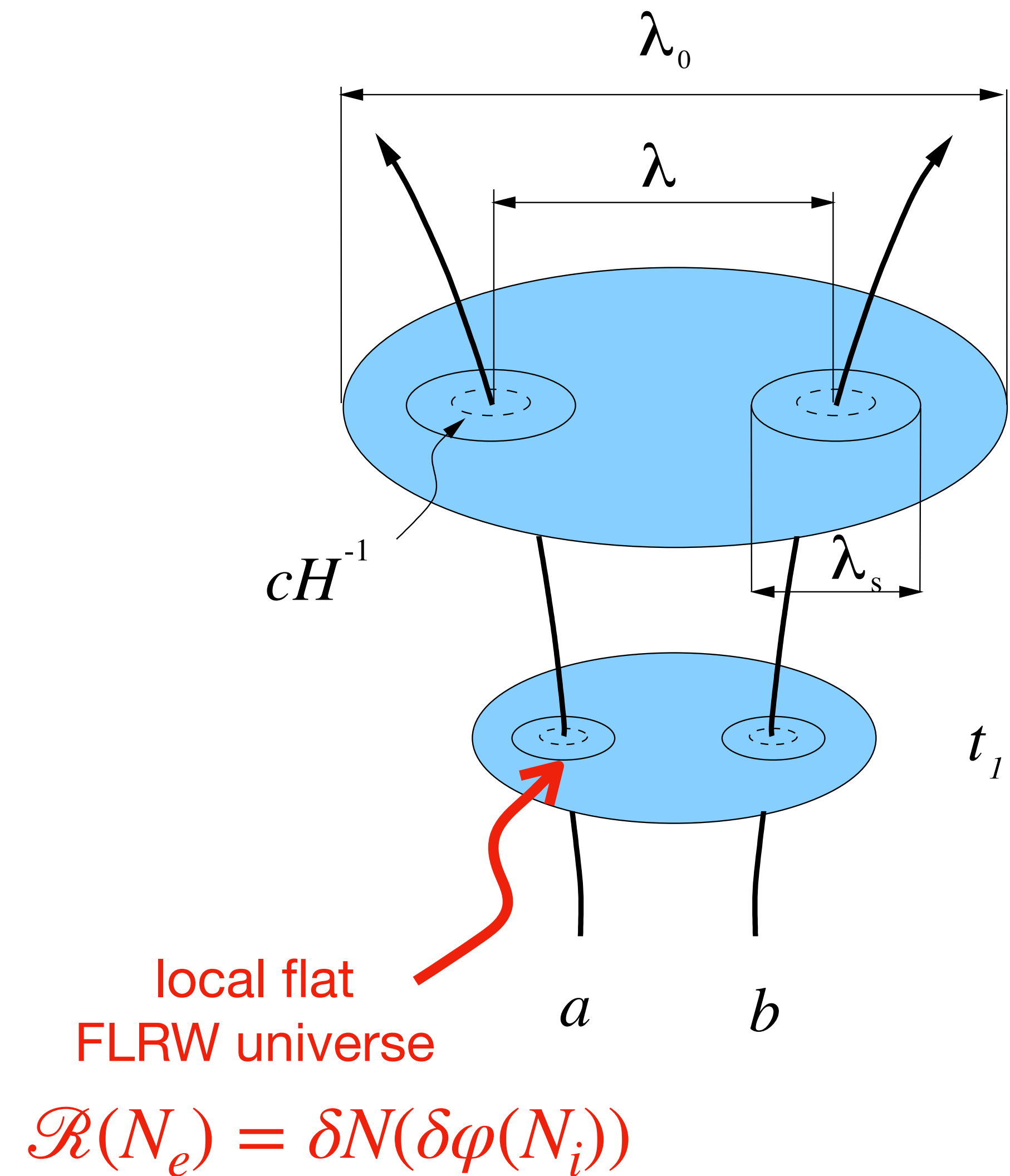
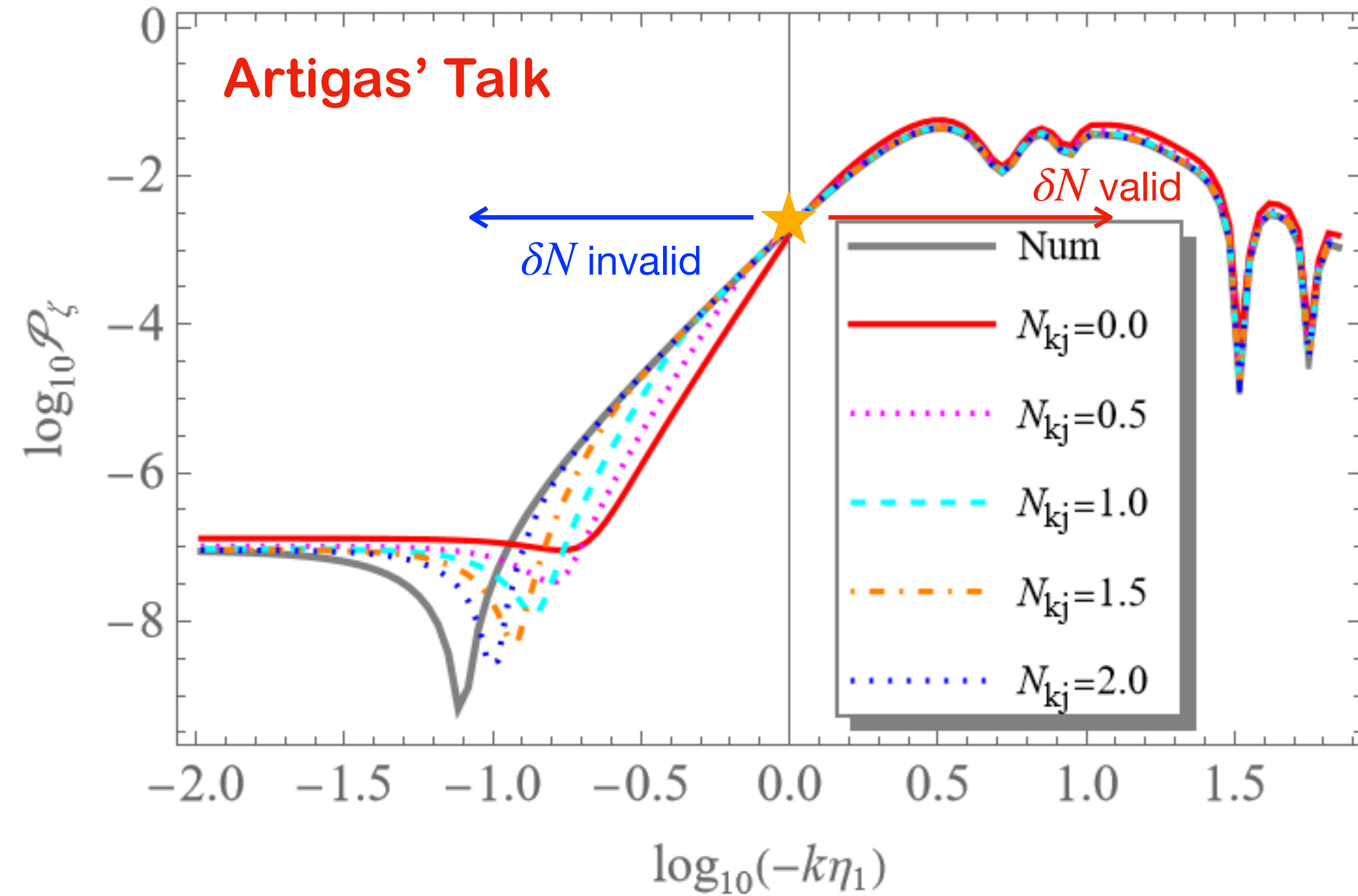


Leach, Sasaki, Wands, Liddle, astro-ph/0101406
 SP and Jianing Wang, 2209.14183



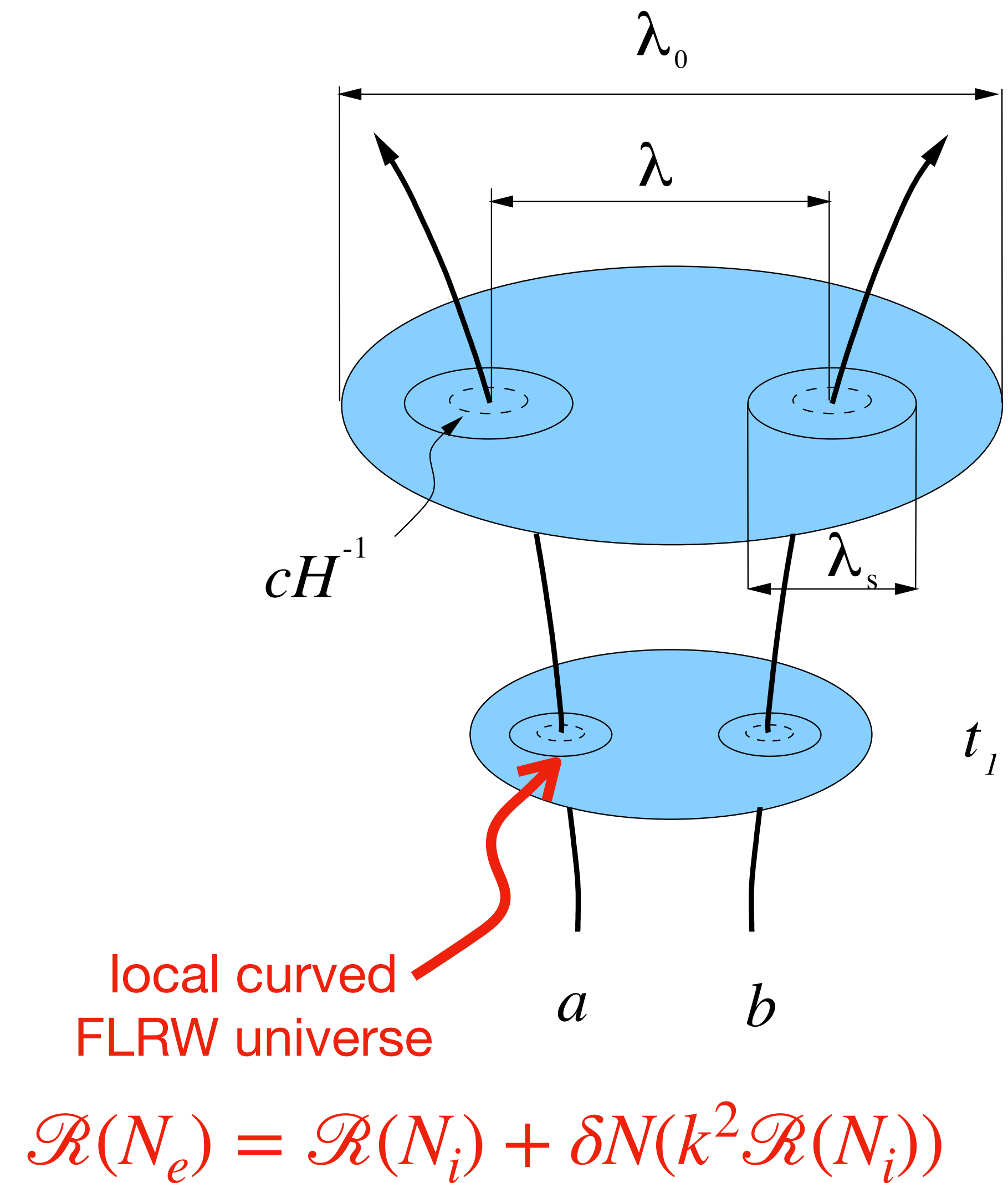
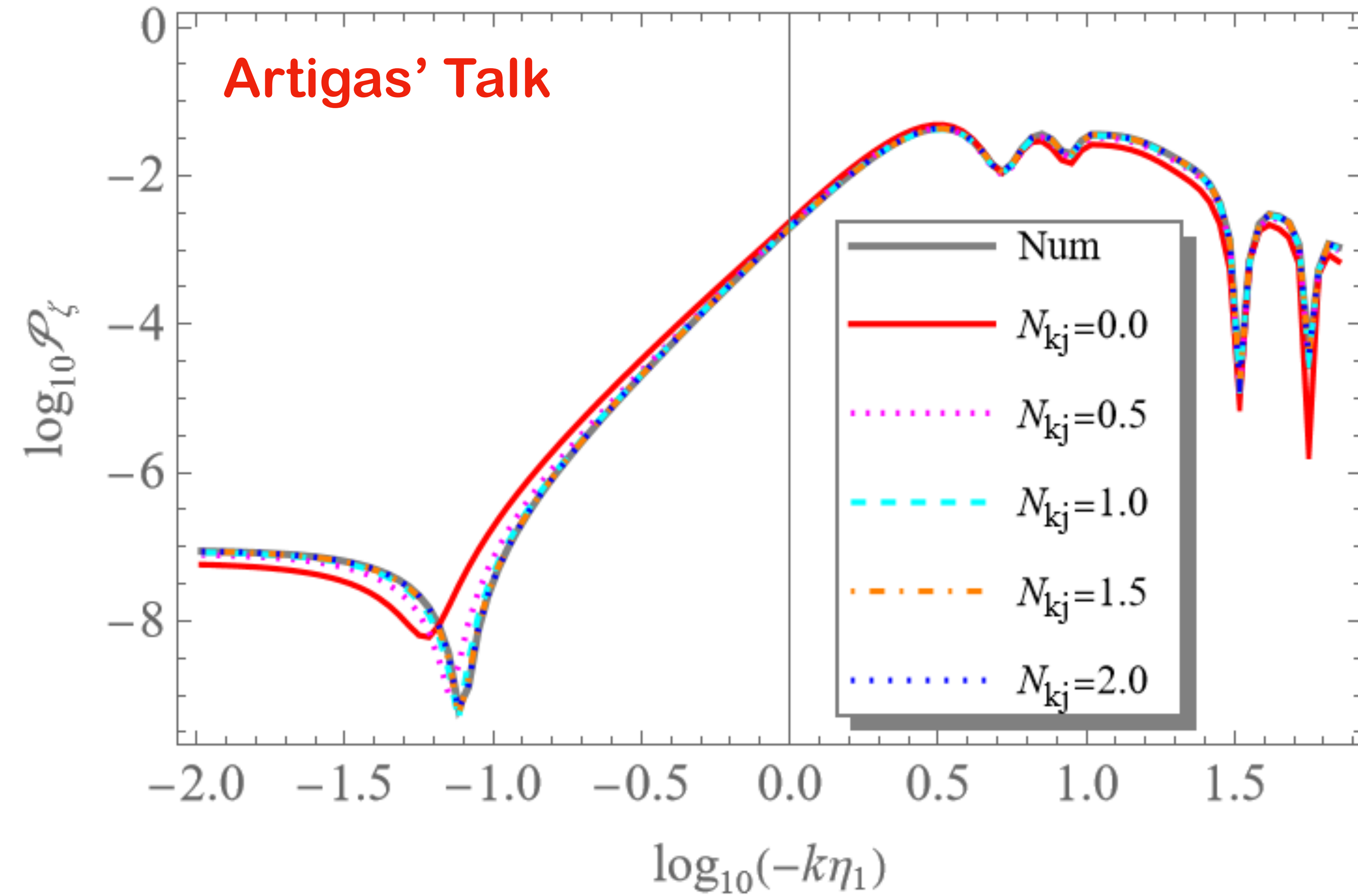
Domenech et al., 2309.05750
 Jackson et al., 2311.03281

Separate Universe

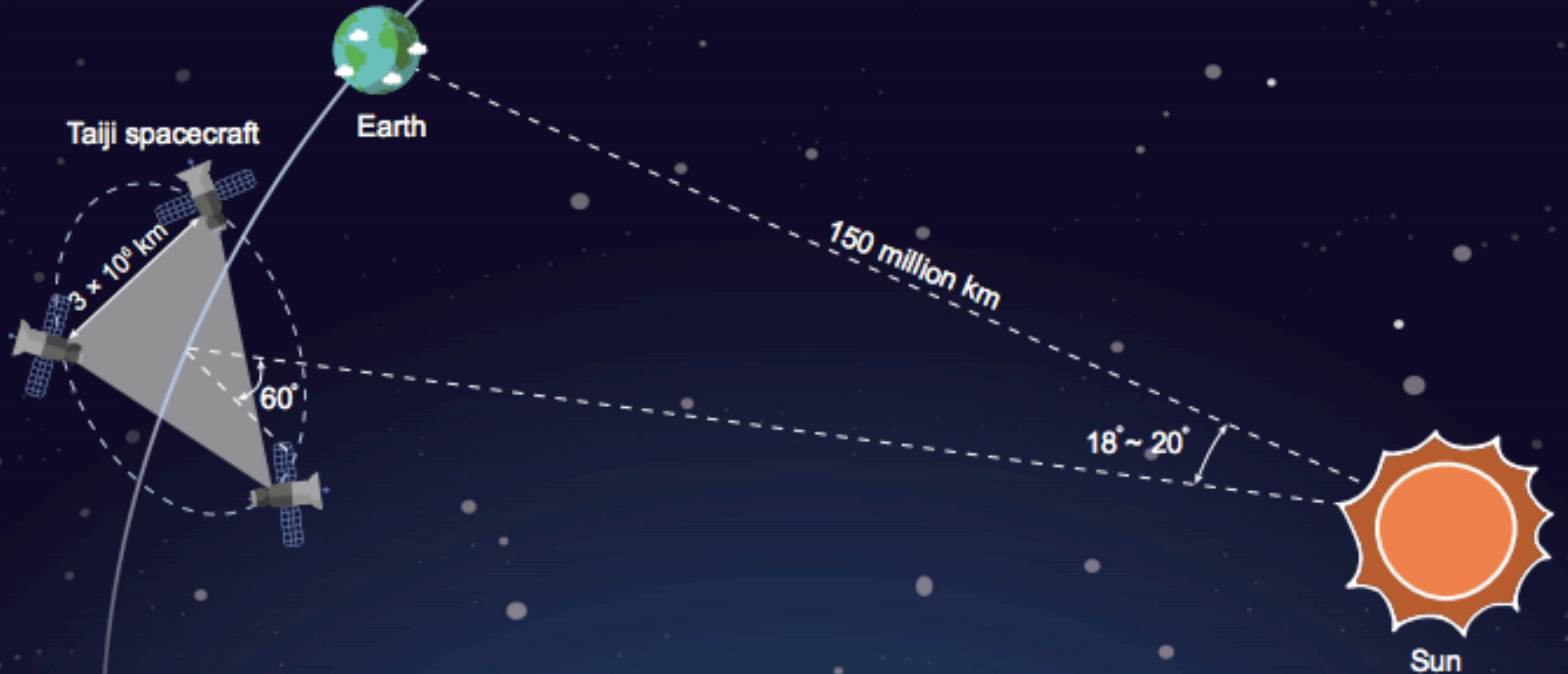


Domenech et al., 2309.05750
 Jackson et al., 2311.03281
 Artigas, SP, Tanaka, 2408.09964

Separate Universe

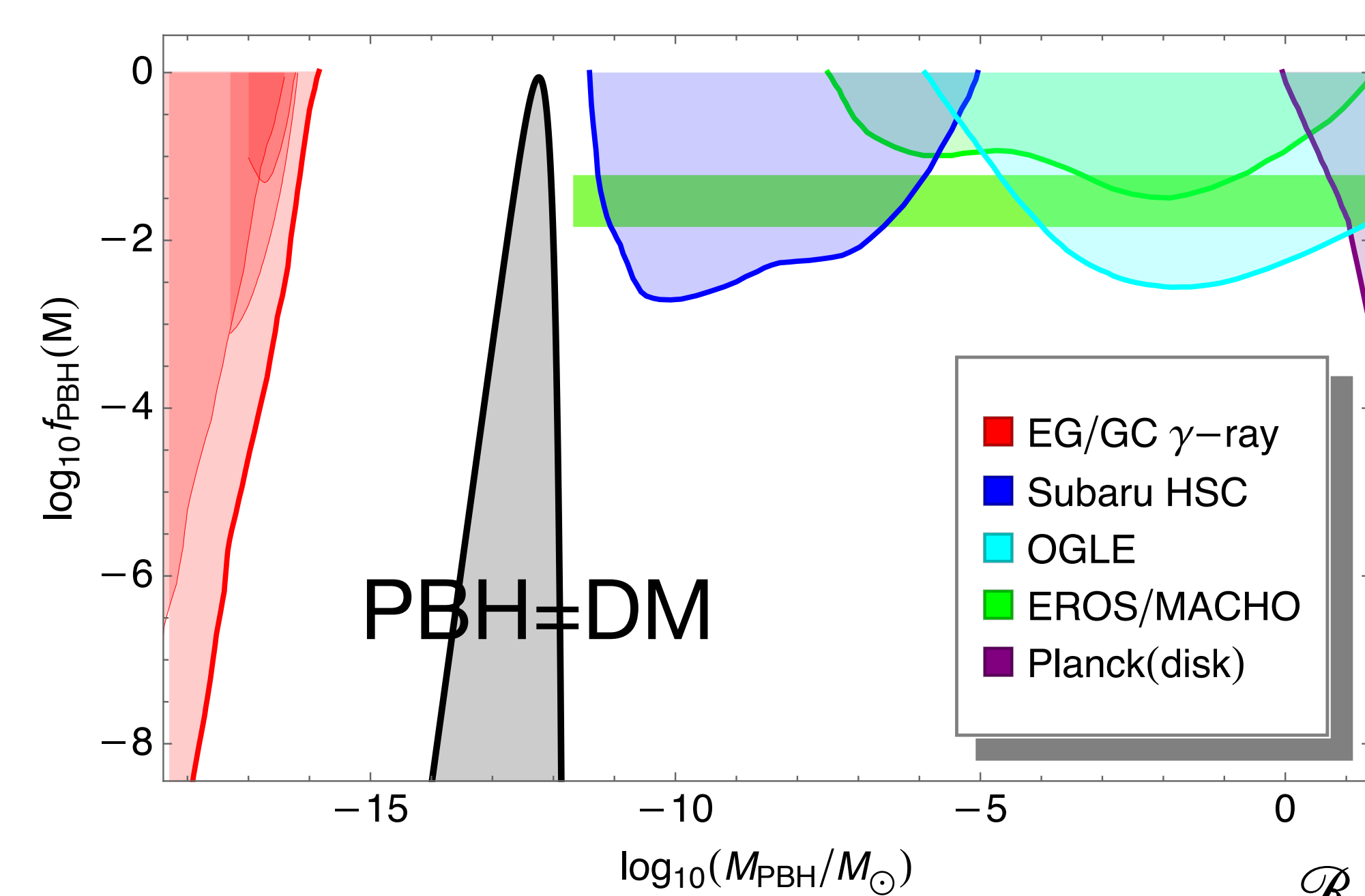


Predictions on mHz and nHz GWs



PBH as DM

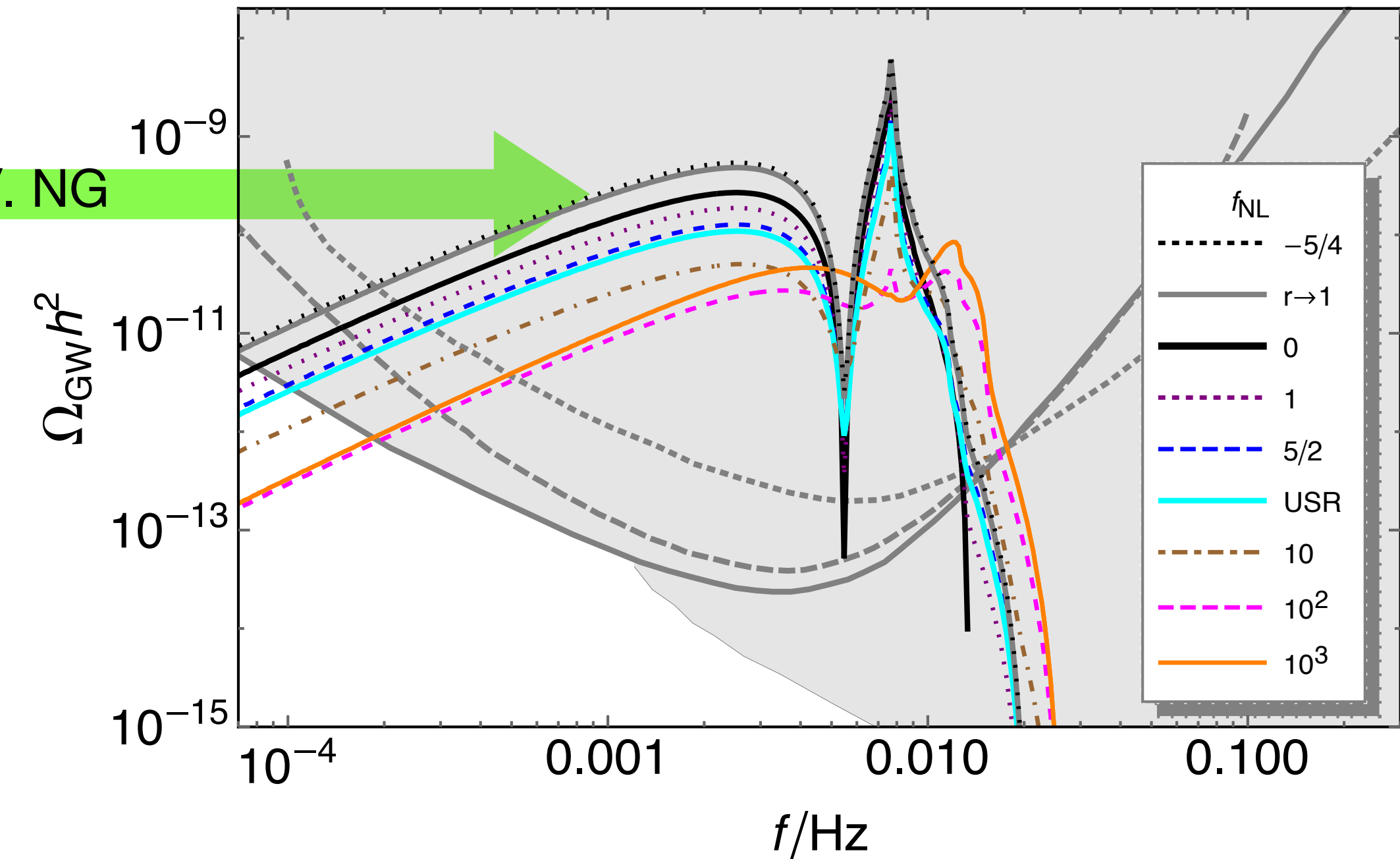
Cai, SP and Sasaki, 1810.11000
SP, 2404.06151



Press-Schechter-type w/. NG

$$\mathcal{R} = \mathcal{R}_g + \frac{3}{5} f_{\text{NL}} \mathcal{R}_g^2$$

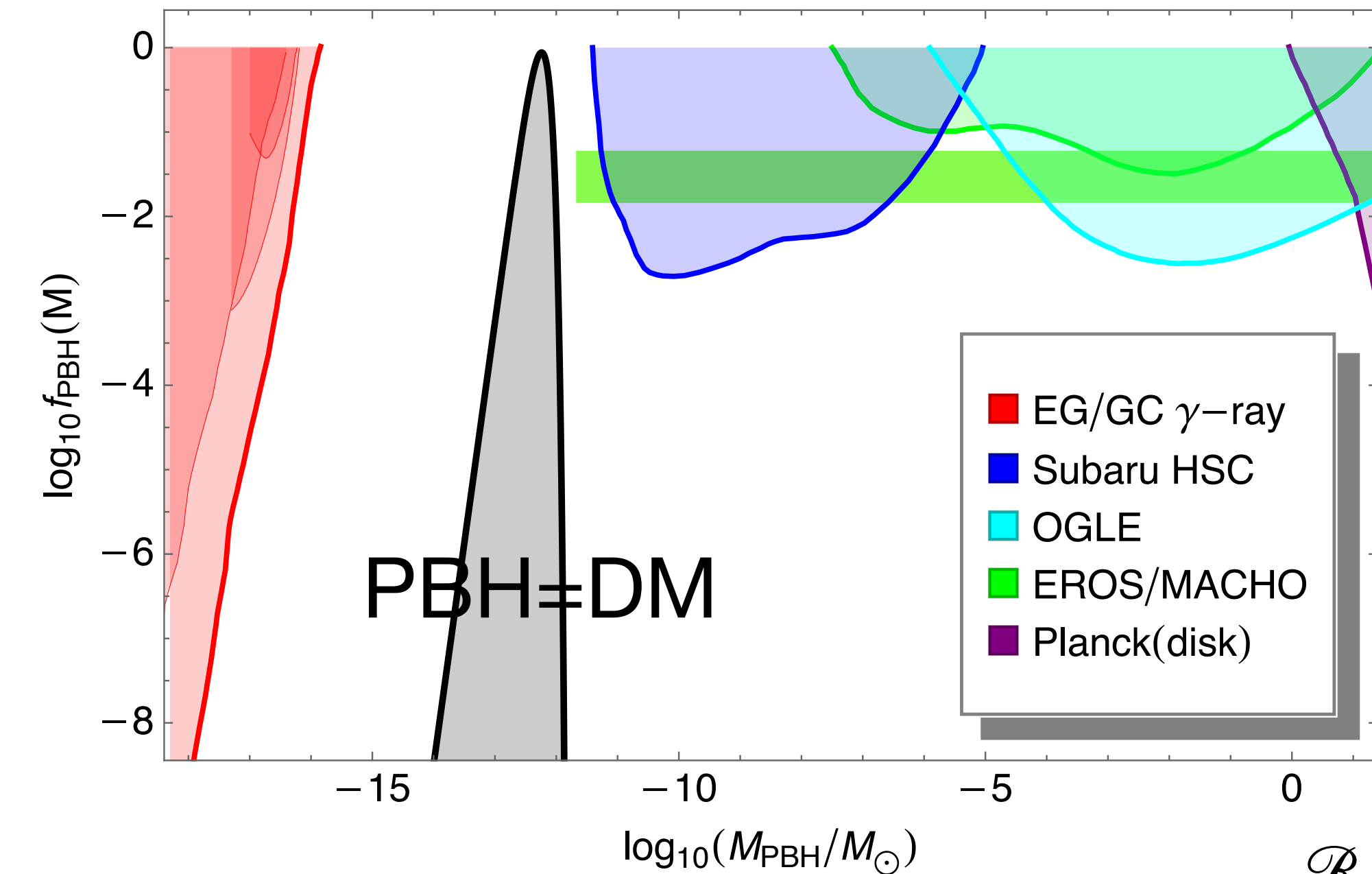
$$\mathcal{R} = -\frac{1}{3} \ln \left(1 - 3\mathcal{R}_g \right)$$



- Primordial NG must be taken into account when calculating PBH abundance
- When fixing PBH abundance, NG impact on SGWB is mild
- LISA/Taiji/TianQin can probe the induced GW when PBH=DM

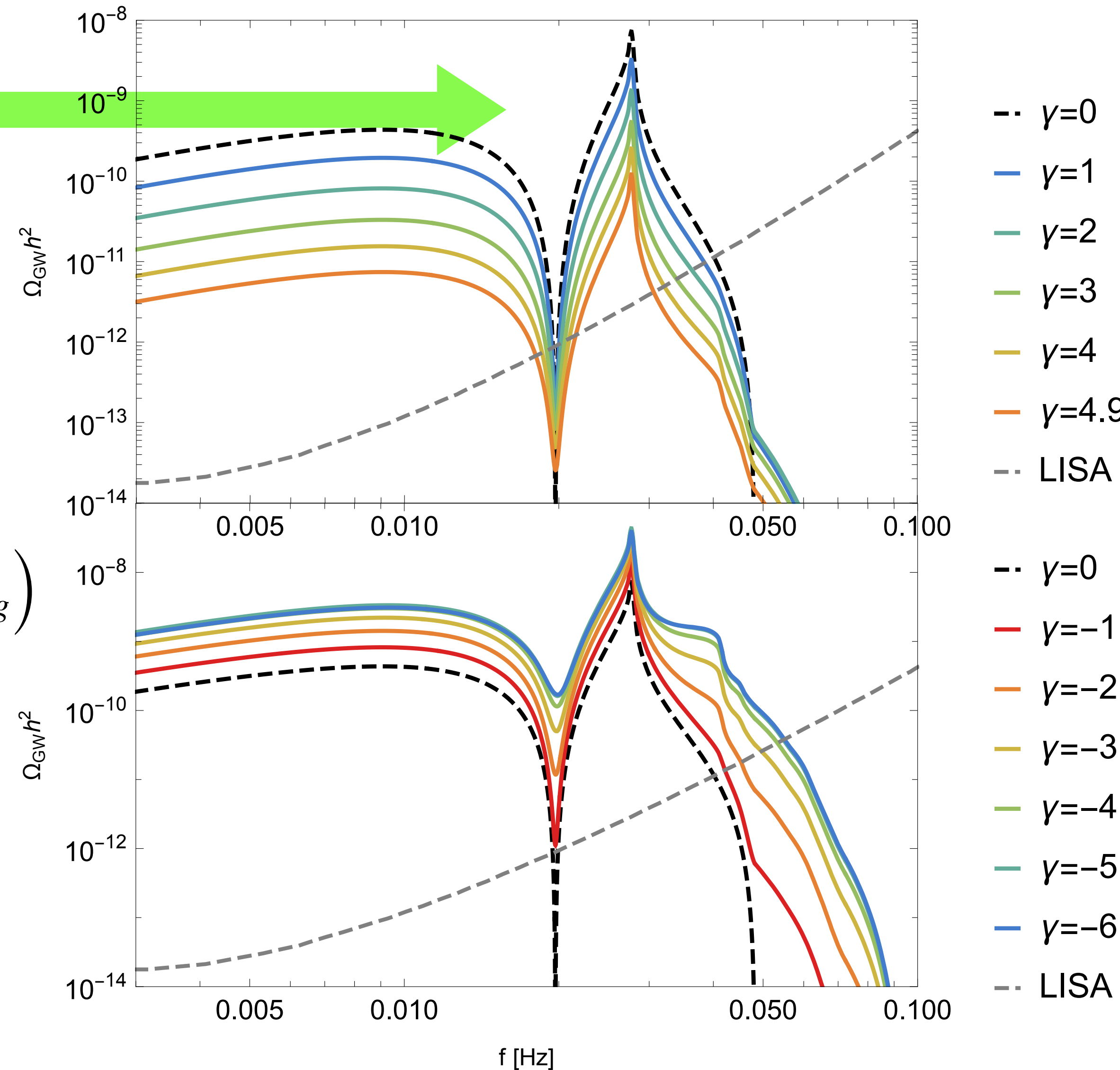
PBH as DM

Inui, Joana, Motohashi,
SP, Tada, Yokoyama, 2411.07647

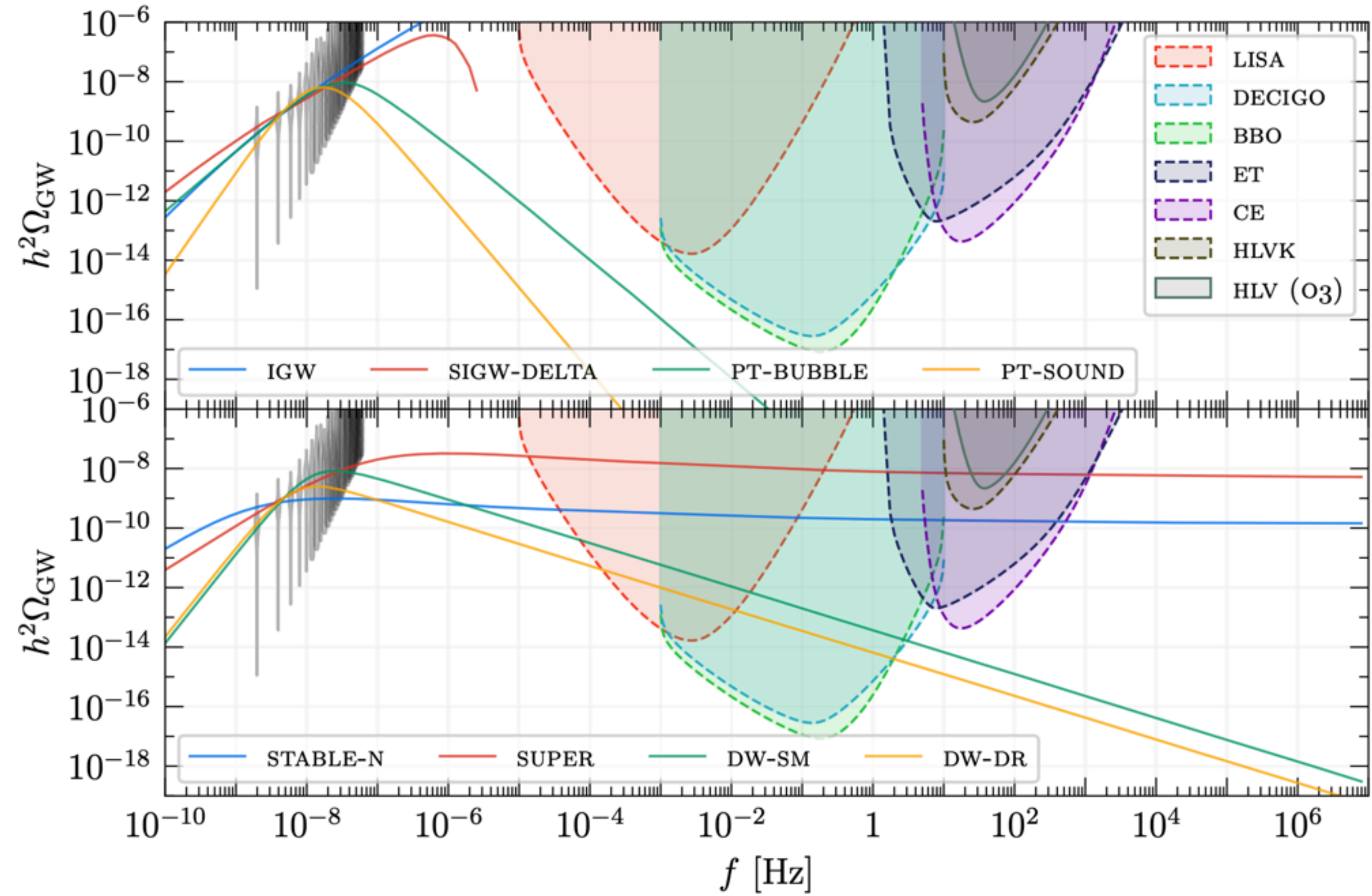
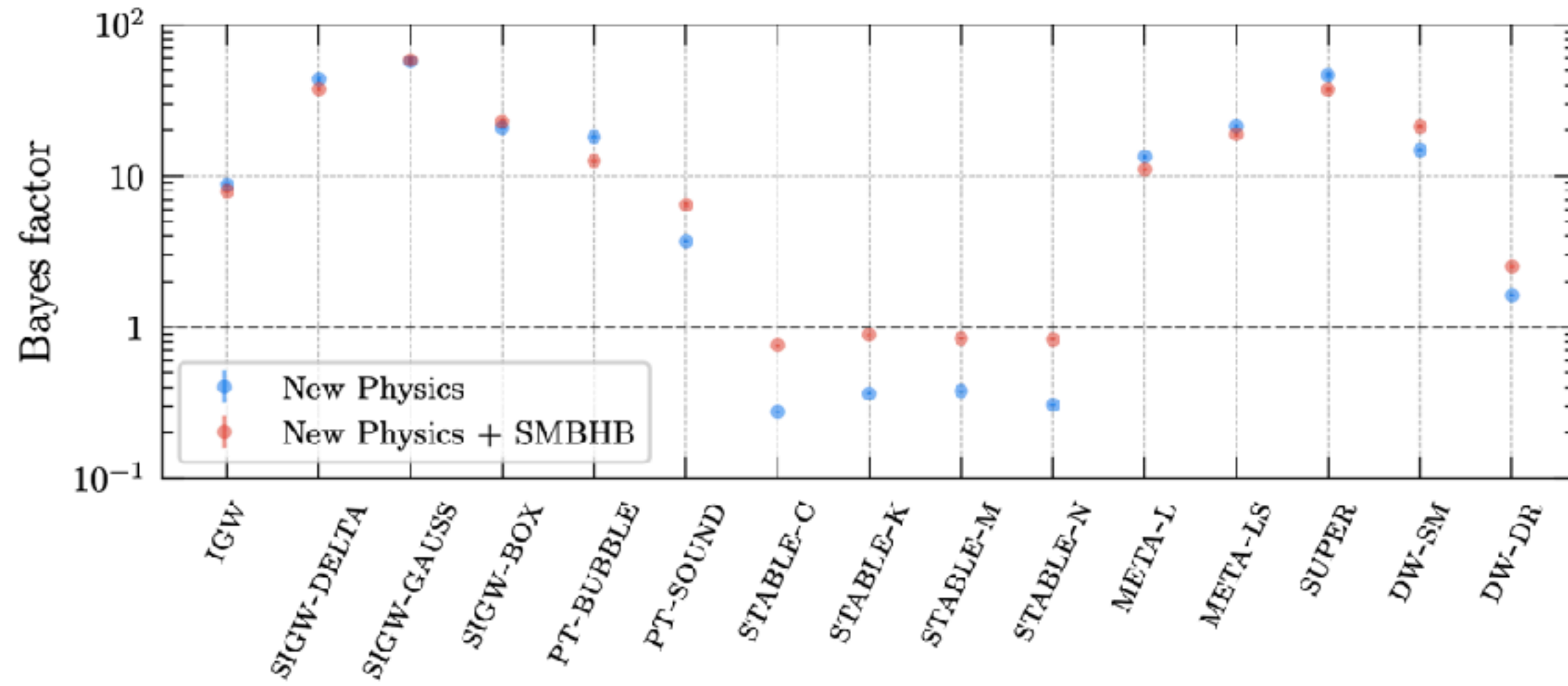
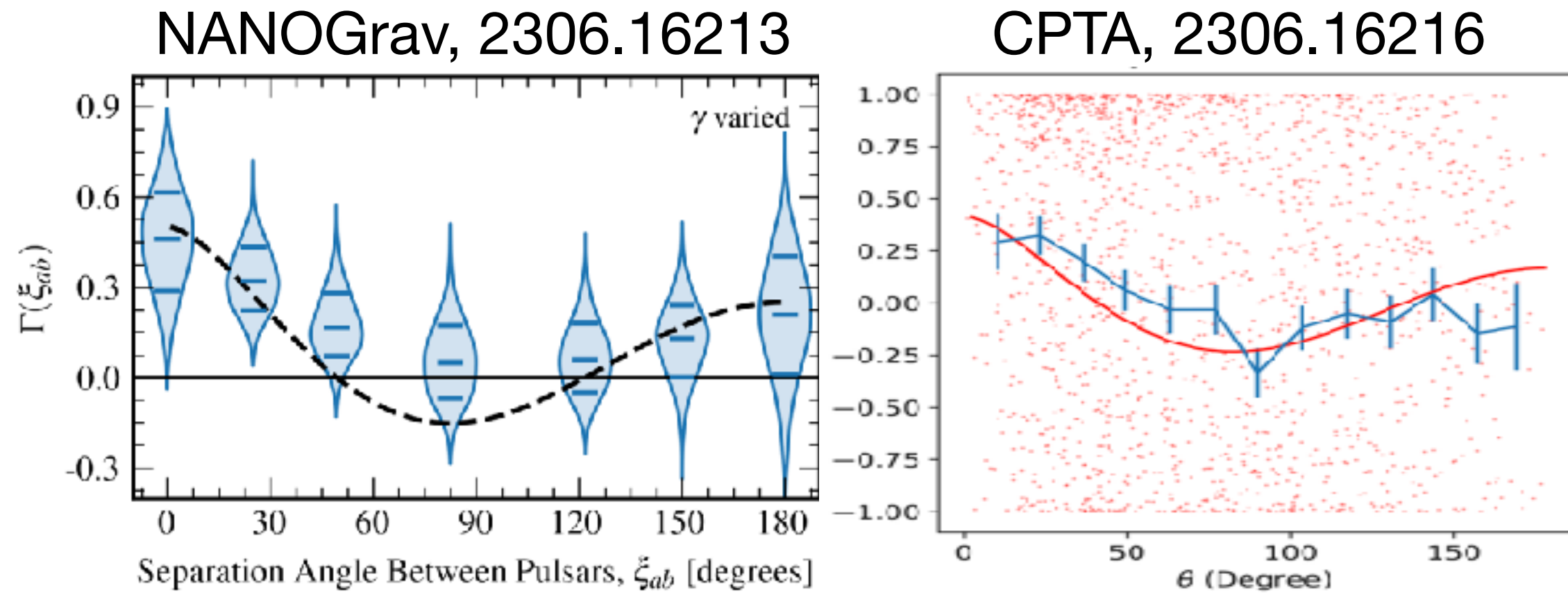


$$\mathcal{R} = -\frac{1}{\gamma} \ln(1 - \gamma \mathcal{R}_g)$$

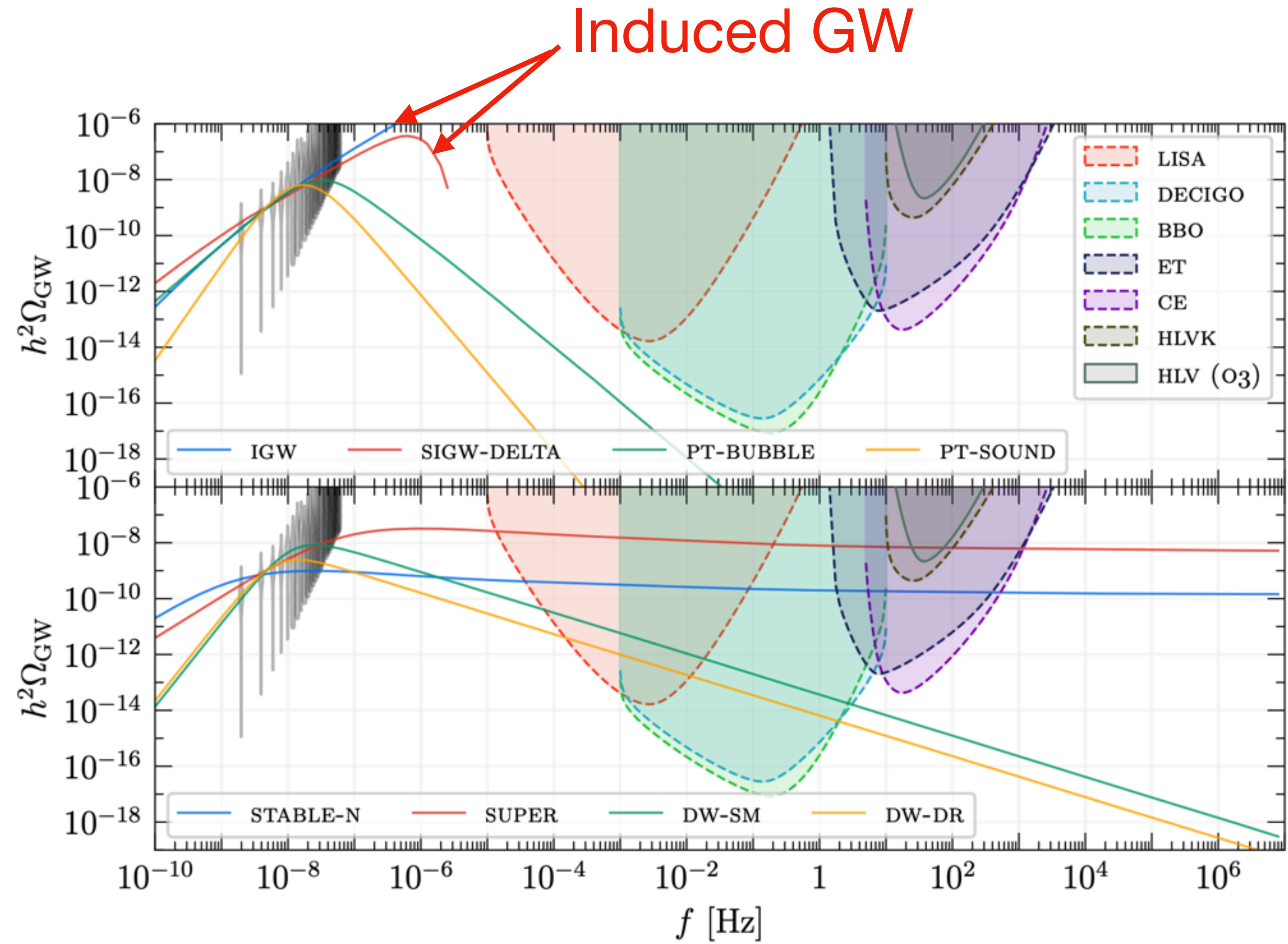
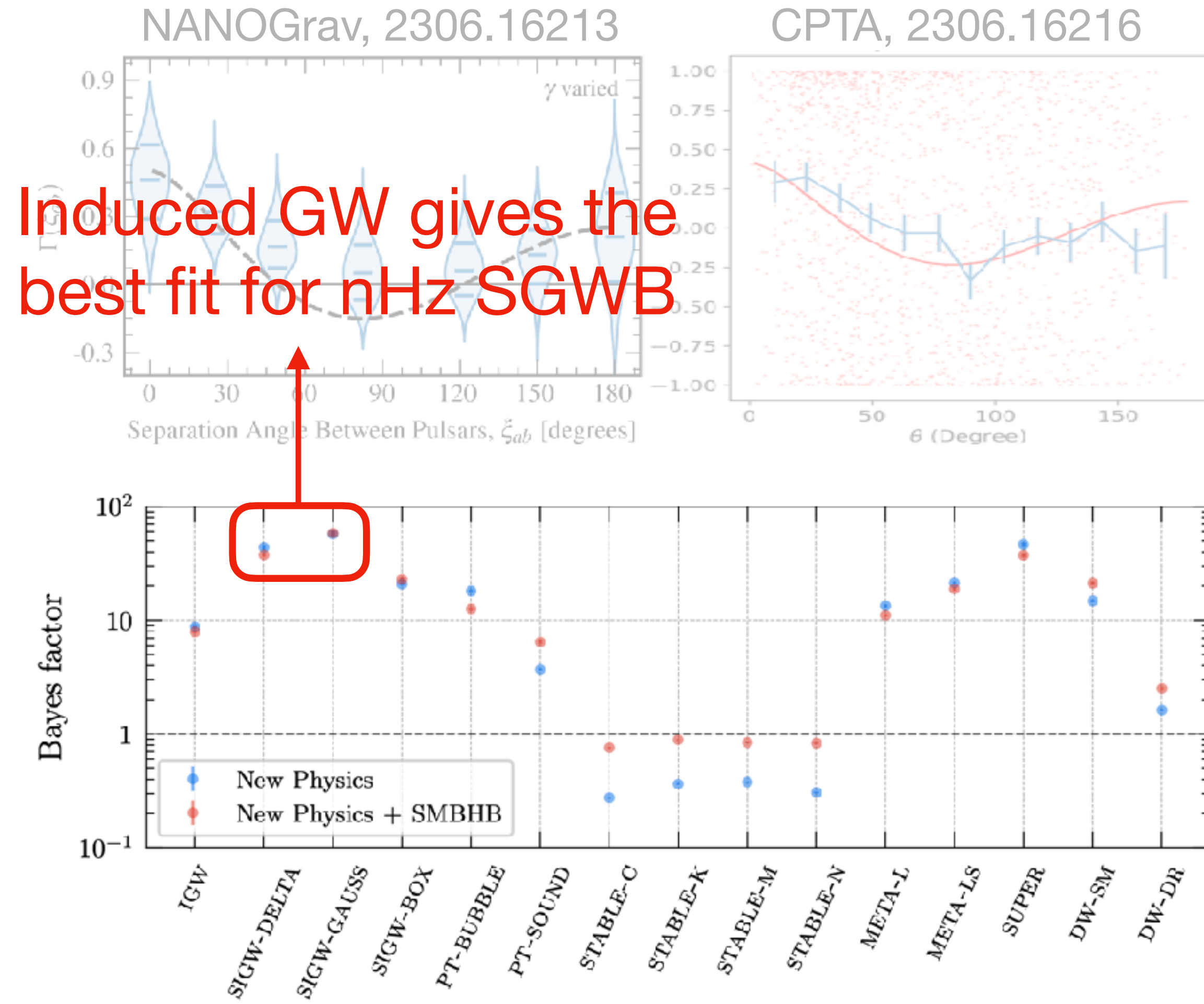
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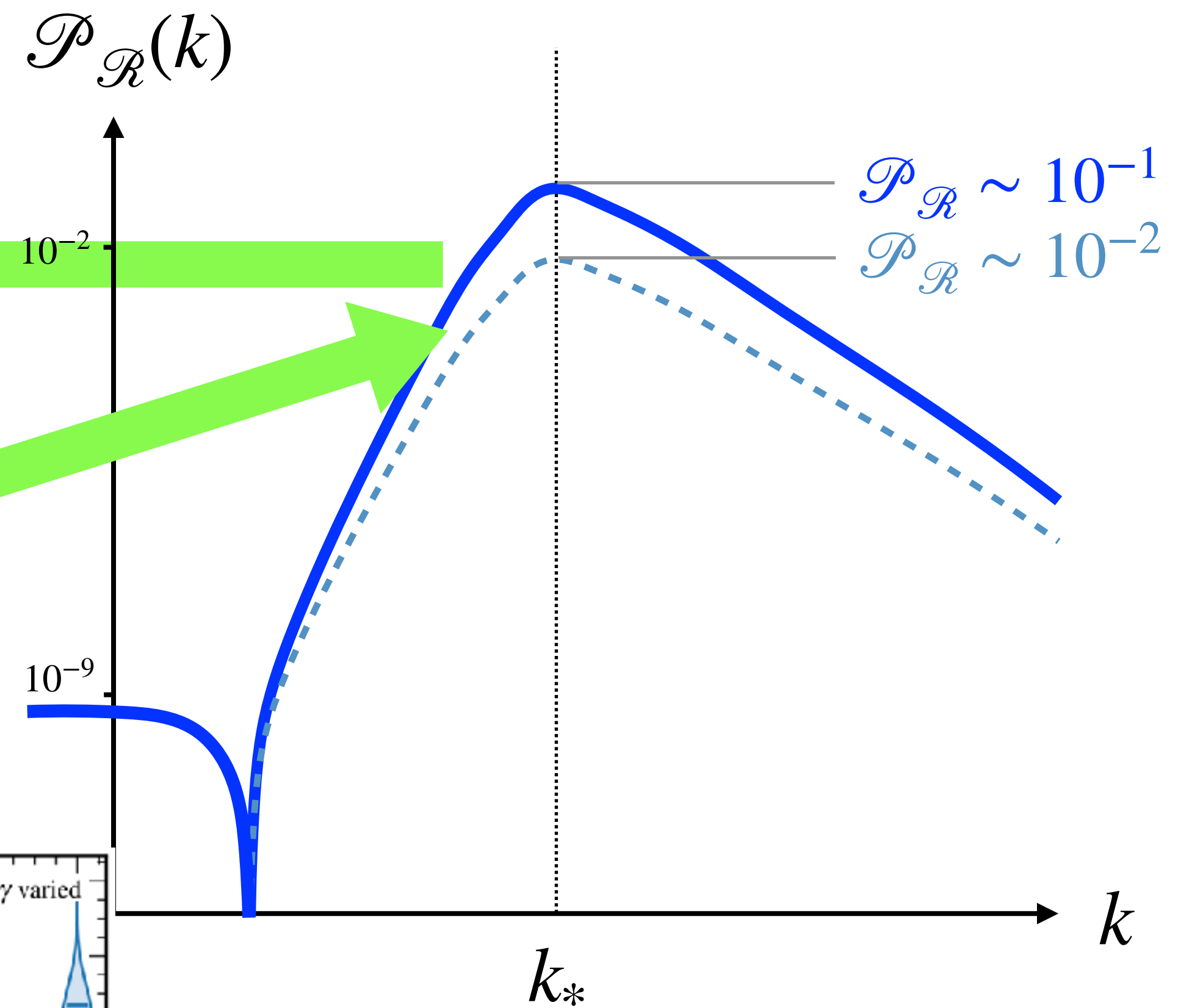
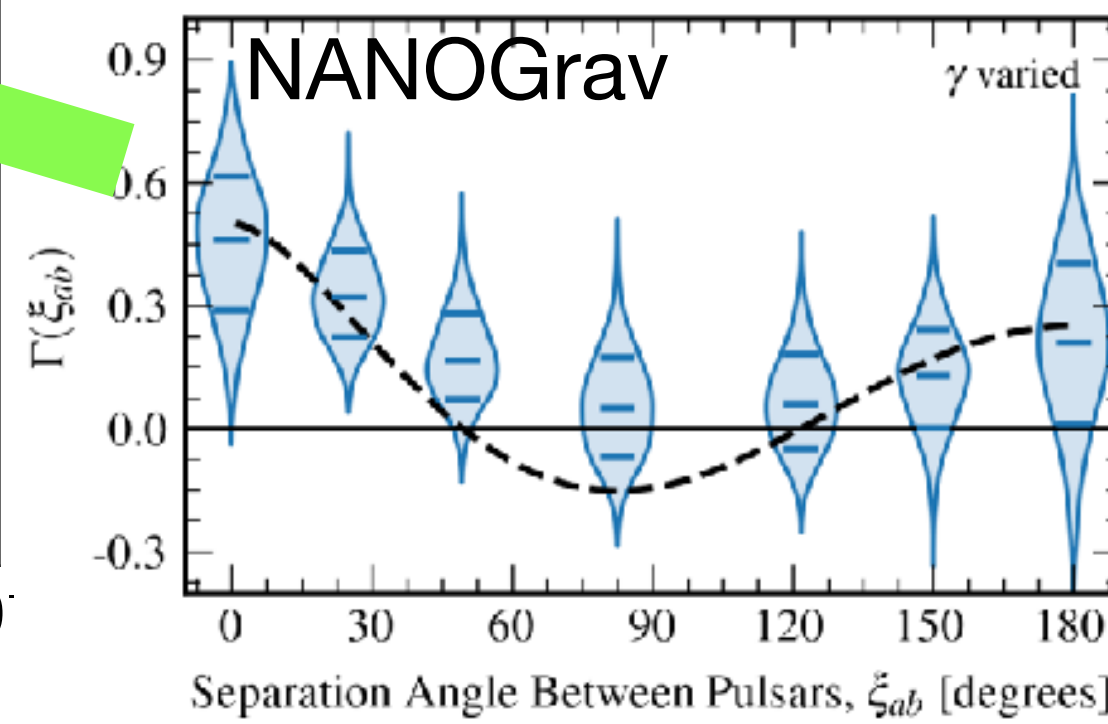
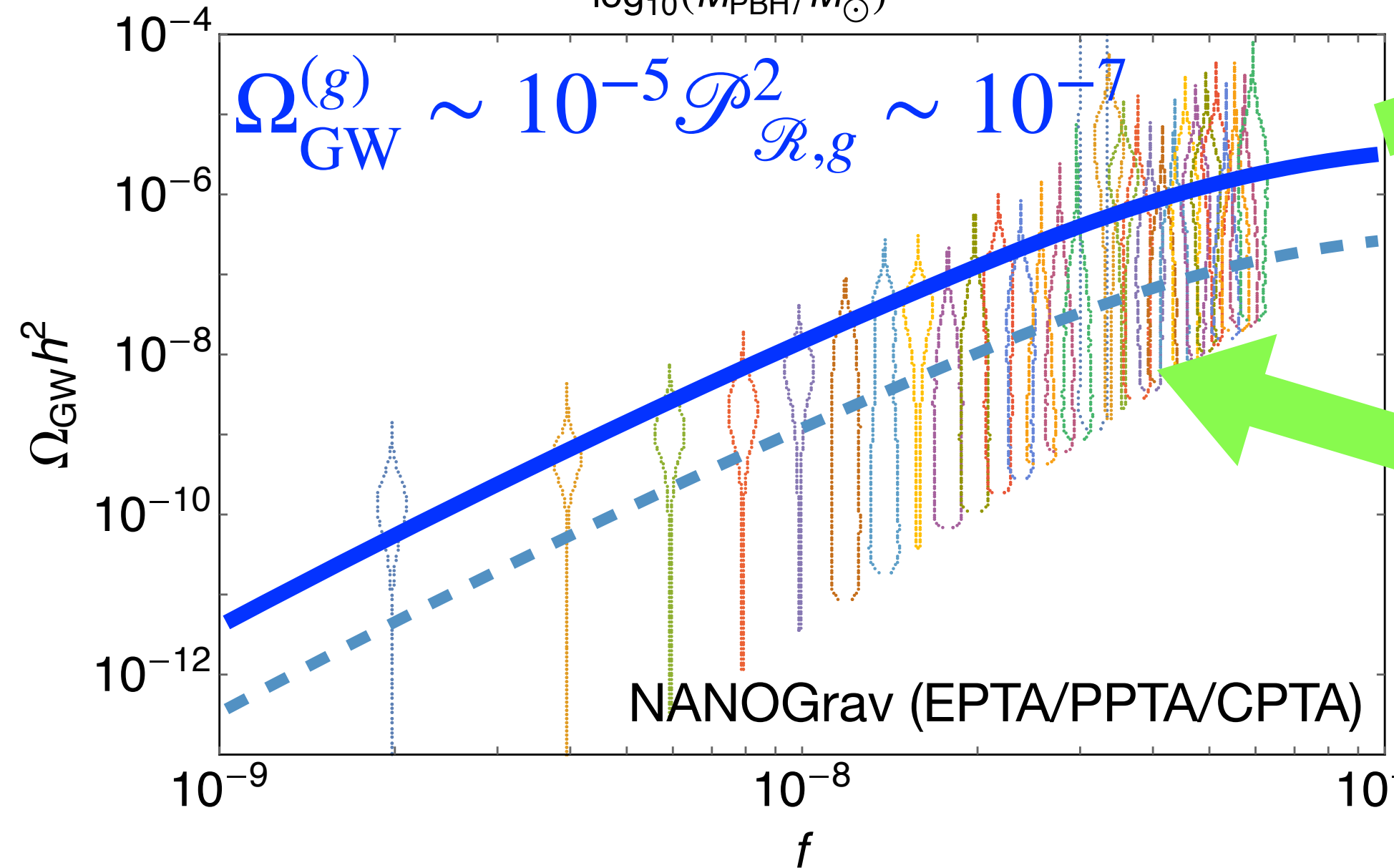
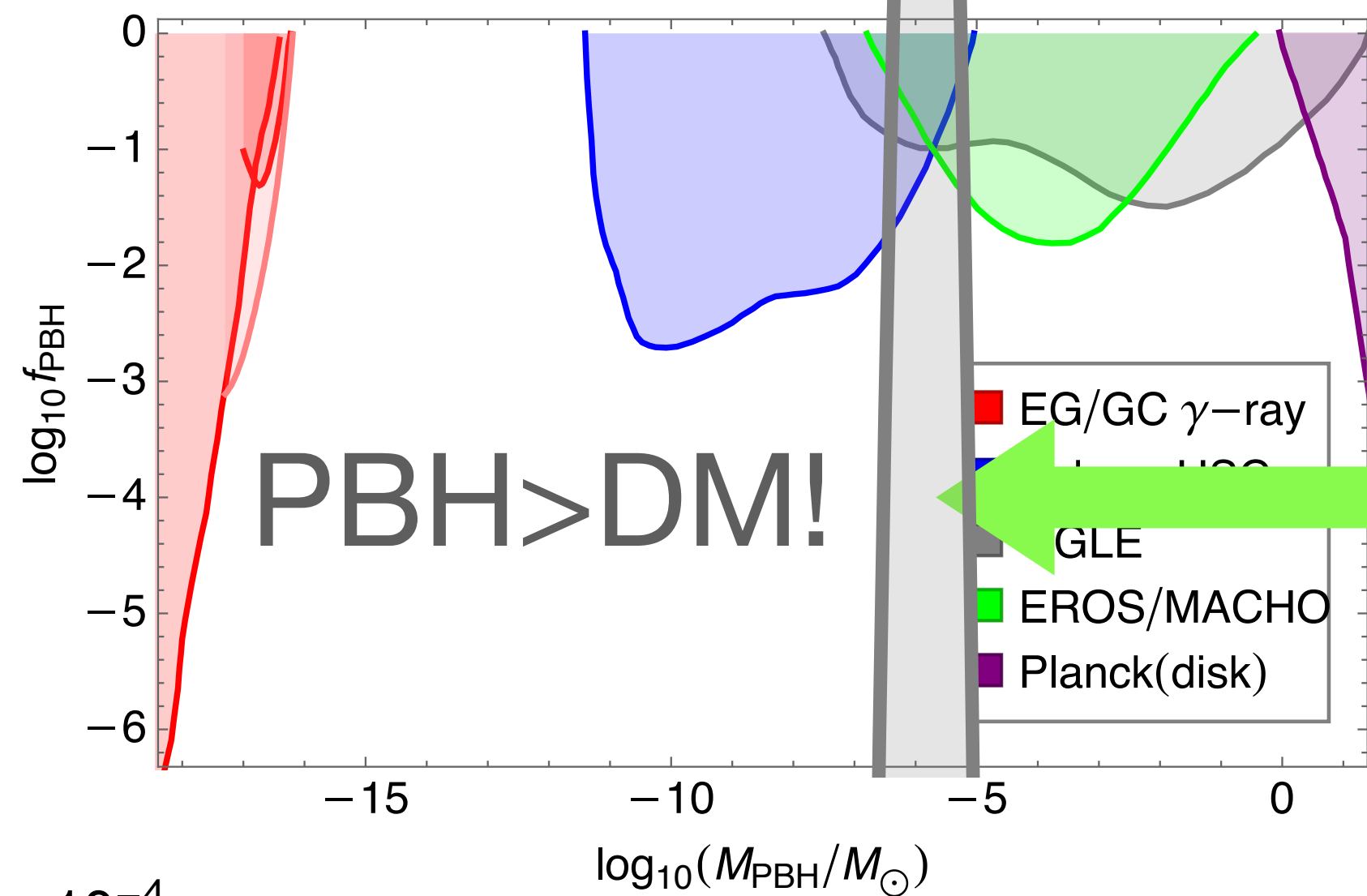
Application: nHz SGWB



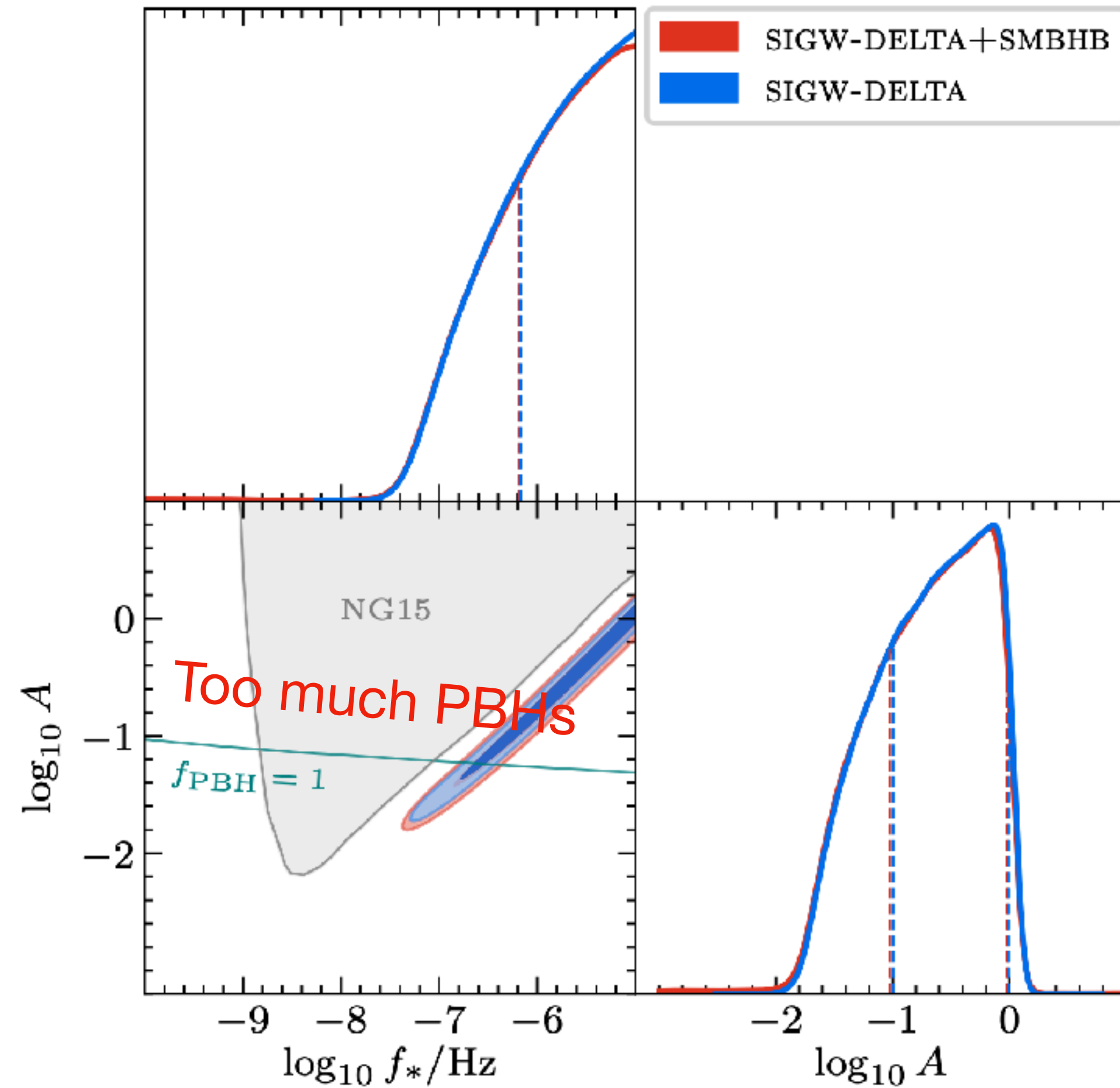
Application: nHz SGWB



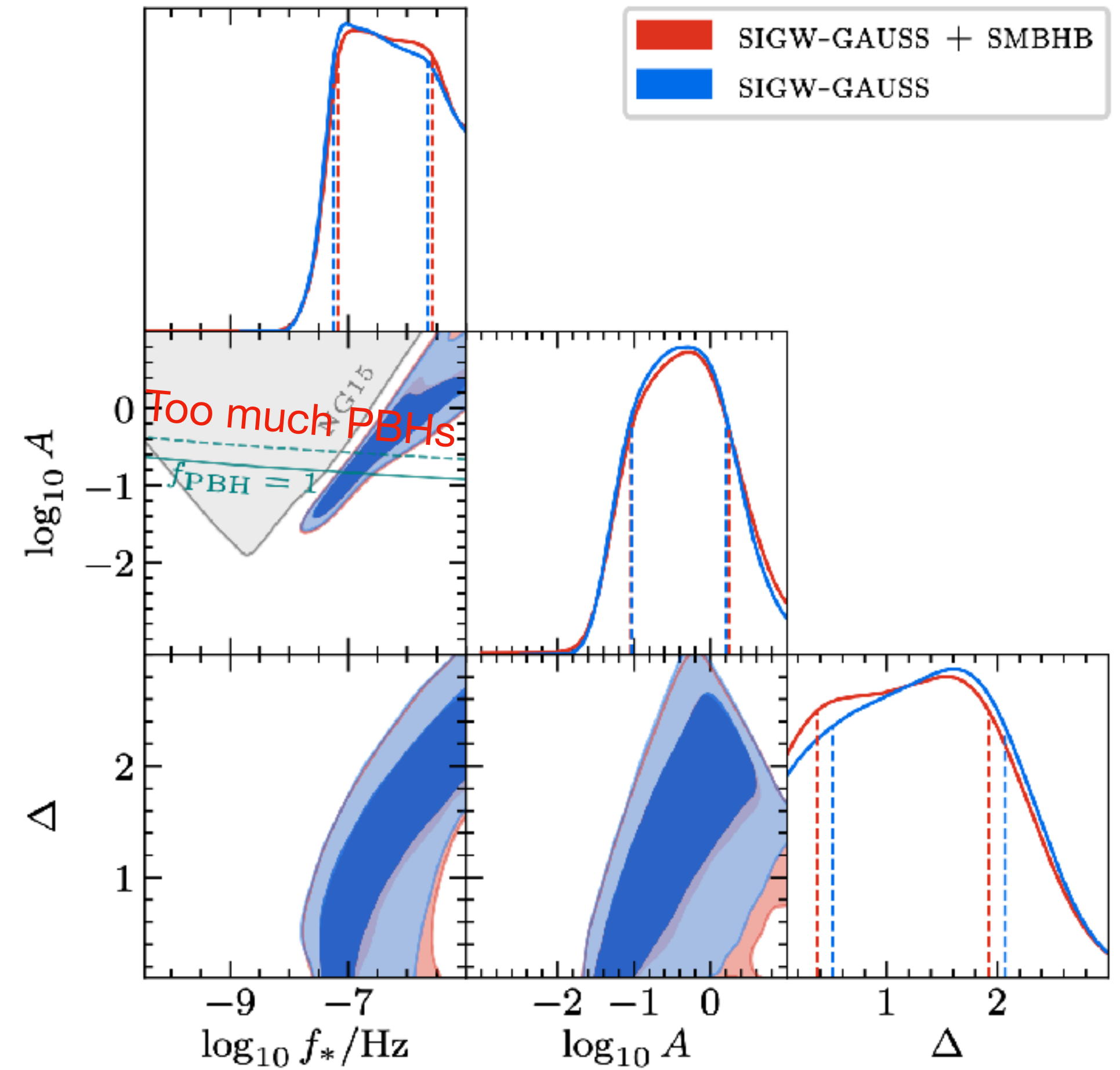
Crosscheck by PBH and IGW



IGW as nHz SGWB



$$\mathcal{P}_{\mathcal{R}} = A \delta(\ln k - \ln k_*)$$

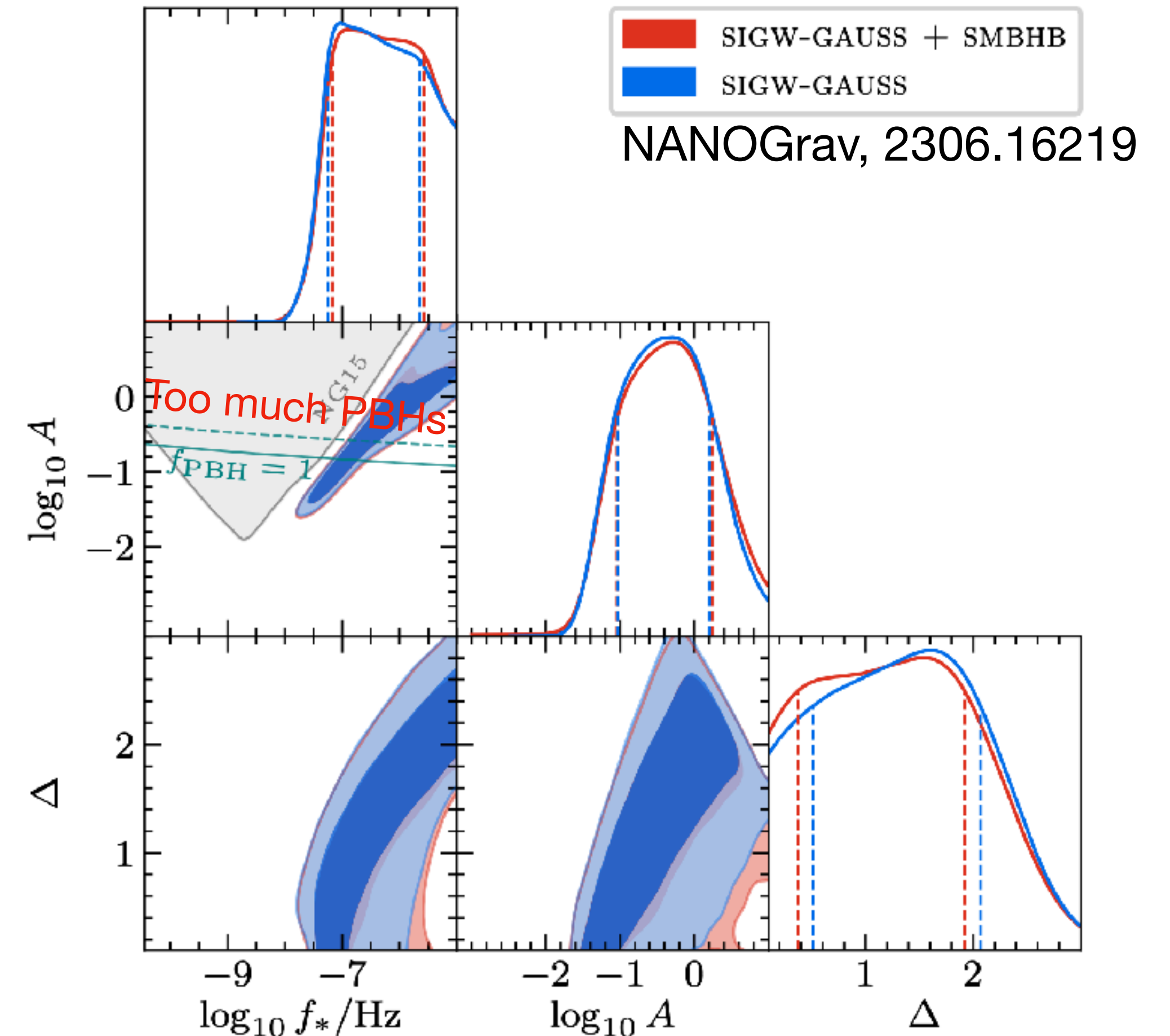


$$\mathcal{P}_{\mathcal{R}} = \frac{A}{\sqrt{2\pi\Delta}} \exp\left(-\frac{(\ln k - \ln k_*)^2}{2\Delta^2}\right)$$

IGW as nHz SGWB

How to solve the PBH overproduction

- (1) Use more conservative method to calculate. (Inomata et al 2306.17834; Iovino et al 2406.20089)
- (2) Suppress PBH abundance by increase the threshold, usually by changing the equation-of-state. (Domenech and SP, 2010.03976; Domenech, SP, et al, 2402.18965)
- (3) Suppress PBH abundance by negative non-Gaussianity, where the logarithmic \mathcal{R} is the only known fully nonlinear expression.

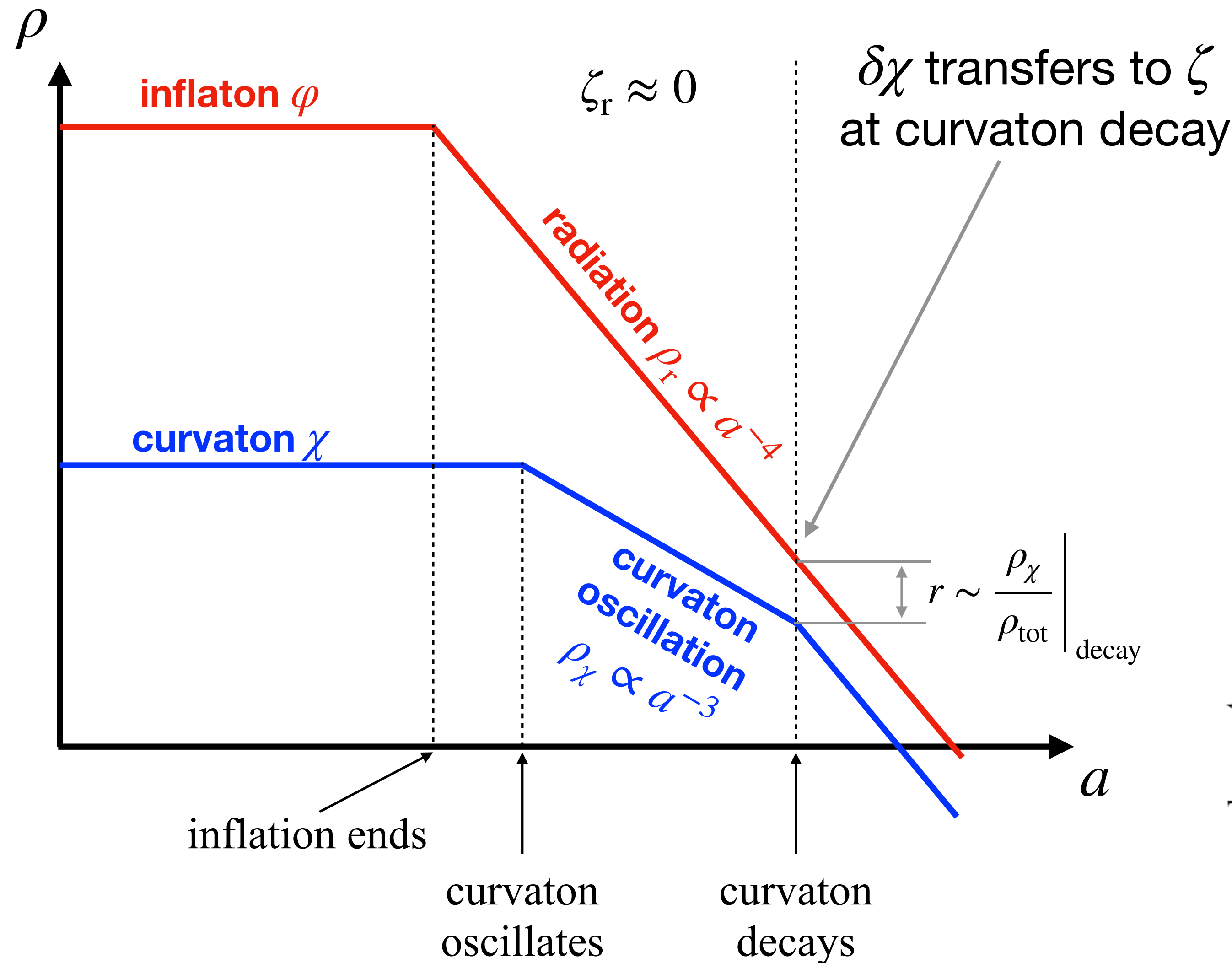


$$\mathcal{P}_{\mathcal{R}} = \frac{A}{\sqrt{2\pi\Delta}} \exp\left(-\frac{(\ln k - \ln k_*)^2}{2\Delta^2}\right)$$

lognormal [SP and Sasaki 2005.12306]

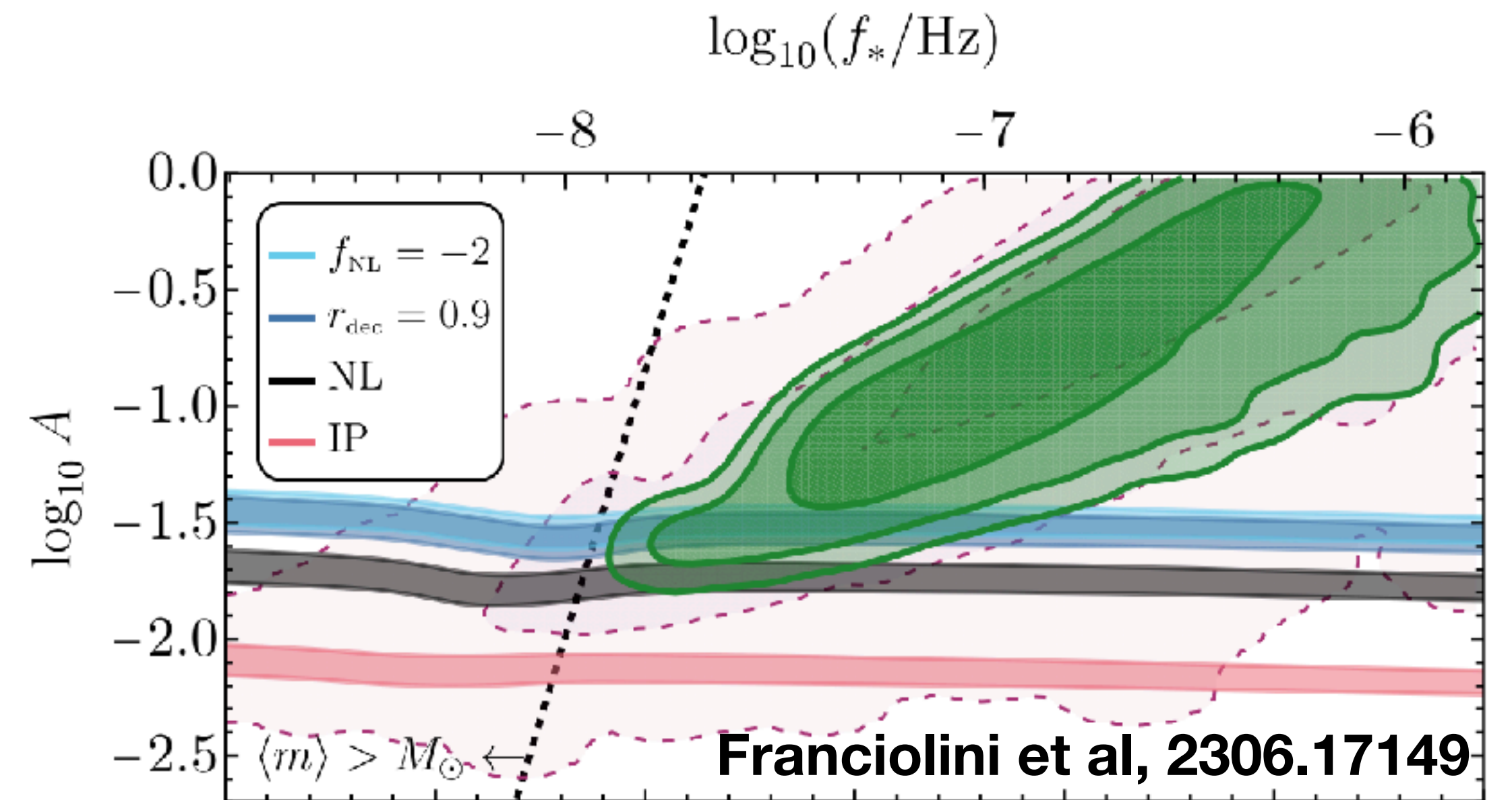
IGW as nHz SGWB

SP and Sasaki, 2112.12680

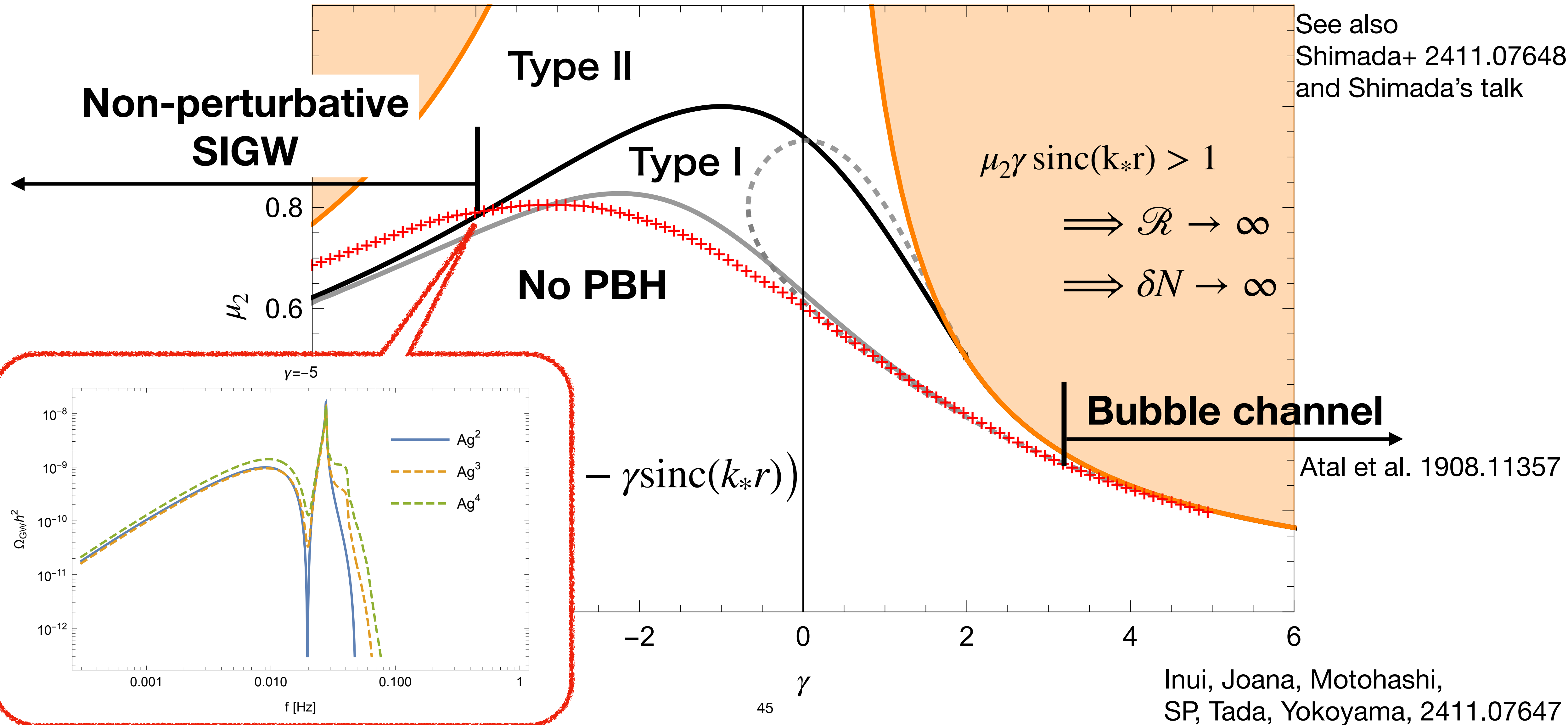


$$\zeta = \zeta(\delta\chi/\chi) \rightarrow \begin{cases} \frac{r}{3} \left[2\frac{\delta\chi}{\chi} + \left(\frac{\delta\chi}{\chi}\right)^2 \right] & \text{when } r \ll 1 \\ \frac{2}{3} \ln \left| 1 + \frac{\delta\chi}{\chi} \right| & \text{when } r \sim 1 \end{cases}$$

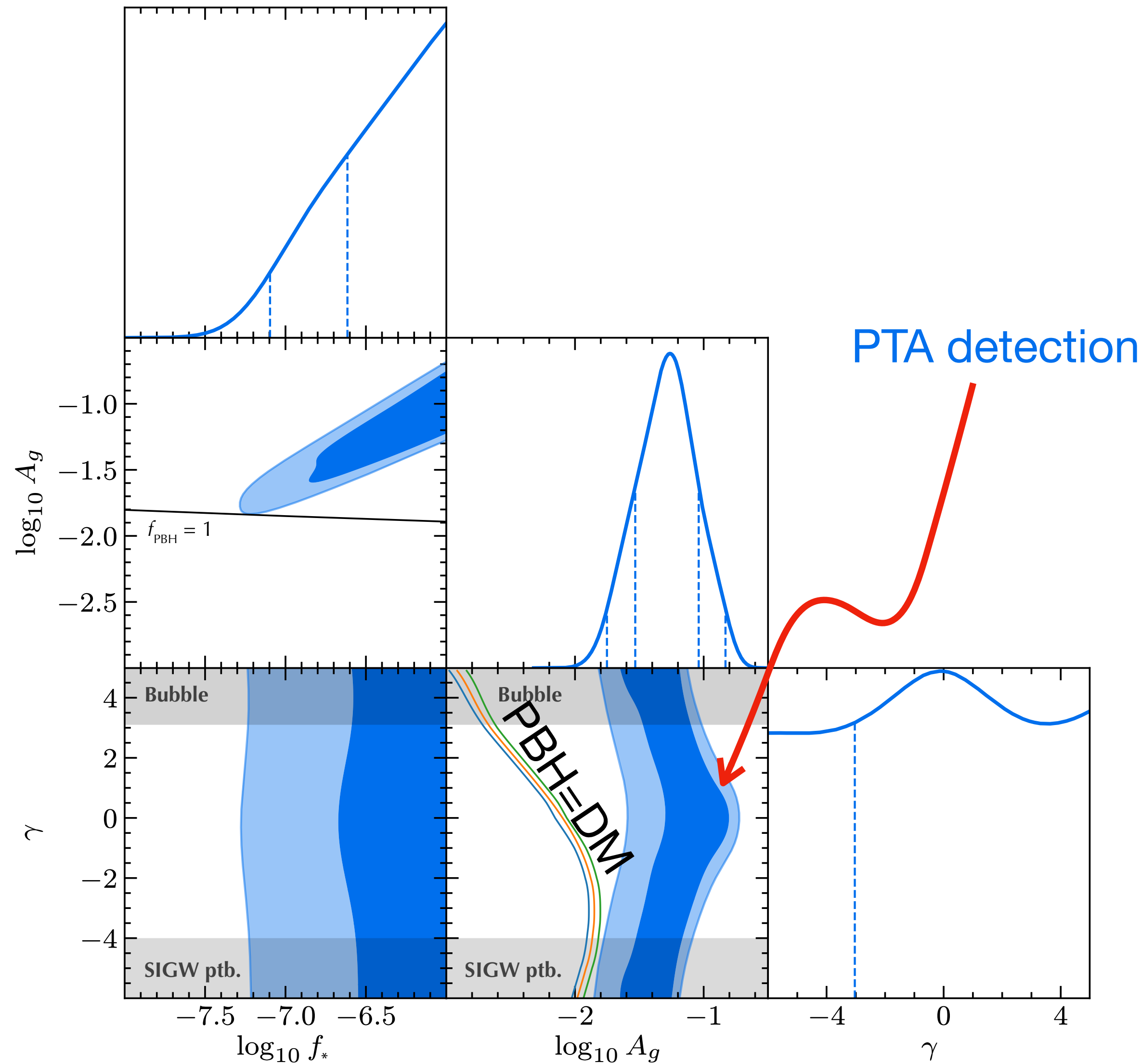
- $\zeta(\delta\chi)$ degenerates to a logarithmic relation ($f_{\text{NL}} = -5/4$) when the curvaton dominates.



PBH in logarithmic \mathcal{R}



PTA implication



- PBH overproduction is a serious problem, mainly because we use state-of-art peak theory.
- Considering bubble channel, more PBH will form.
- Negative non-Gaussianity up to $\gamma \geq -4$ can not help.
- Considering higher-order contribution to induced GW, the required A_g is smaller, which may alleviate the tension. However we do not have a systematic method of calculating.

Conclusion

- Primordial non-Gaussianity must be taken into account when calculating PBH abundance.
- The mHz induced GW of PBH-DM is robust against non-Gaussianity, which is an important scientific goal of LISA/Taiji/TianQin.
- In logarithmic form of non-Gaussianity, PBH overproduction seems to be a serious problem, unless we enter the non-perturbative regime of induced GW.