

Aspects of (Micro)Causality in QFT

- introductory lecture for PhD students in High-energy physics
- quite heuristic, little rigor
- for simplicity discuss only scalar operators

→ Goal: illustrate how causality can be used (along w/ unitarity...) to constrain S-matrix elements at low-energy, i.e. EFT's.

(→ secondary goal: show that causality is an essential ingredient in QFT's.)

By (micro-)causality in a relativistic QFT we usually mean that commutators of local operators at spacelike distance vanish, i.e.

$$(1) \quad [\mathcal{O}(x_1), \mathcal{O}(x_2)] = 0 \quad \text{for } (x_1 - x_2)^2 < 0$$

Let's go through some examples where causality in the form (1) is relevant (of course spin-statistics, opt, ...)

(a) Lorentz invariance of perturbative S-matrix

In perturbation theory the Dyson series $S = I + \sum_{n=1}^{\infty} \frac{(-i)^n}{n!} \int dt_1 \dots dt_n T(V(t_1) \dots V(t_n))$ is a formal solution for the asymptotic time evolution operator

$V(\infty, -\infty) = S$ with $\frac{d}{dt} V(t, t_0) = V(t) V(t, t_0)$ in the interacting picture

Locality suggests interactions at a point, $V(t) = \int d^3x H(t, x)$,
 for some Hamiltonian density $H(x) = H(t, x)$ so that the
 Dyson series is almost trivially Lorentz invariant, namely

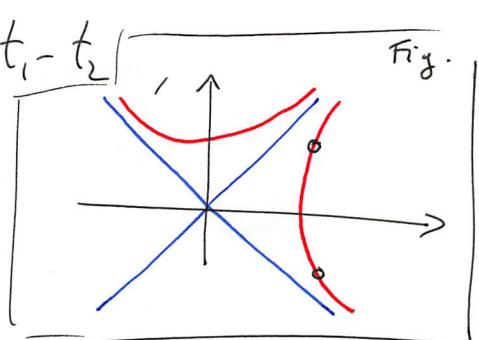
$$S = \mathbb{I} + \sum_{n=1}^{\infty} \frac{(-c)^n}{n!} \int d^4x_1 \dots d^4x_n T(H(x_1) \dots H(x_n)) ,$$

The trouble being that time ordering is not Lorentz invariant.

Indeed, for spacelike separated points ($x_i^2 < 0$), a sufficiently
 large boost can reverse the sign of $t_{12} = t_1 - t_2$

as illustrated in the figure \rightarrow

But this problem is solved precisely
 by the causality condition (1), $[O(x_1), O(x_2)] = 0$ for $x_{12}^2 < 0$,
 since at spacelike separated points the operators commute and
 any ordering is irrelevant.



- This is an example where it was important that (1)
 holds as operator statement, that is for any type of
 states $\langle \alpha | [,] | \beta \rangle$ one wishes to consider.

Below we see two examples where we restrict to $|\alpha\rangle = |0\rangle$,
 the single most important state of the system, the vacuum.
 Let's see how (1) come to be true on that state.

(b) Källén-Lehmann

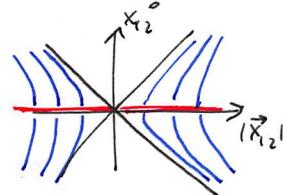
One of the reasons why causality (1) holds on vacuum states is because of the Källén-Lehmann spectral representation. Indeed, for a free-field $\phi(x)$ the (1) is trivial (e.g. from canonical quantization)

$$[\phi(x_1), \phi(x_2)] = \int \frac{d^3 k}{(2\pi)^3} \frac{e^{i \vec{k} \cdot \vec{x}_{12}}}{2\omega(k)} (e^{-i\omega(k) x_1^\circ} - e^{i\omega(k) x_1^\circ})$$

(2)

$$= \int \frac{d^4 k}{(2\pi)^4} (2\pi) \delta^4(k^2 - m^2) \epsilon(k^\circ) e^{-i \vec{k} \cdot \vec{x}_{12}} \equiv i \Delta_m(x_{12})$$

given that at equal time, $x_1^\circ = 0 \Rightarrow [\phi(x_1), \phi(x_2)]|_{x_1^\circ=0} = 0$
 \Rightarrow vanish at spacelike distance by Lorentz invariance



Incidentally, $[\phi(x_1), \phi(x_2)]$ solves $(\square + m^2) \Delta_m(x_{12}) = 0$ with boundary conditions $\partial_{x_1^\circ} \Delta_m(x_{12})|_{x_1^\circ=0} = -\delta^3(\vec{x}_{12})$, $\Delta_m(x_{12})|_{x_1^\circ=0} = 0$

Now, these properties are readily inherited by an interacting field $\vartheta(x)$ via Källén-Lehmann

$$\langle 0 | [\vartheta(x_1), \vartheta(x_2)] | 0 \rangle = \int_0^\infty d\mu^2 \rho(\mu^2) i \Delta_{\mu^2}(x_{12}) \quad (3)$$

with $\rho(\mu^2) > 0$ the positive density of states

Recall: $\langle 0 | \vartheta(x_1) \vartheta(x_2) | 0 \rangle = \sum_{m,\sigma} e^{-ip_m x_{12}} |\langle 0 | \vartheta(0) | m, \sigma \rangle|^2 = \sum_p \int \frac{d^4 p}{(2\pi)^4} (2\pi)^4 \delta^4(p-p_m) e^{-ip \cdot x_{12}} |\langle 0 | \vartheta(0) | m, \sigma \rangle|^2$

$$= \int \frac{d^4 p}{(2\pi)^4} e^{-ip \cdot x_{12}} \Theta(p^0) \rho(p^2) \quad \text{where } \sum_p \Theta(p^0) \rho(p^2) \equiv \int (2\pi)^4 \delta^4(p-p_m) |\langle 0 | \vartheta(0) | m, \sigma \rangle|^2$$

which is Lorentz invariant. By inserting $\int d\mu^2 \delta(\mu^2 - \mu^2) = 1$ and changing order
 $\rightarrow \int_0^\infty d\mu^2 \rho(\mu^2) \int \frac{d^4 p}{(2\pi)^4} e^{-ip \cdot x_{12}} \Theta(p^0) \delta(p^2 - \mu^2) \Rightarrow \langle 0 | [\vartheta(x_1), \vartheta(x_2)] | 0 \rangle \stackrel{(2)}{=} \int_0^\infty d\mu^2 \rho(\mu^2) i \Delta_{\mu^2}(x_{12})$

(c) Euclidean 2pt-function

Causality condition (1) is intrinsically formulated in Minkowski space. However, it's very instructive to see how it is actually built-in and inherited from the Euclidean definitions of correlators that are Wick rotated.

In the Euclidean, fields commute $\langle \phi(x_1) \phi(x_2) \dots \rangle^E = \int D\phi \ e^{-S_E[\phi]}$ as long as $x_1 \neq x_2$ where the singularities are located.

For the 2pt function, the $SO(4)$ invariance give $\langle \phi(x_1) \phi(x_2) \rangle^E = F(x_1^0 + \vec{x}_1)$ and singularity appear only at the Euclidean origin $x_{12} = \vec{x}_{12} = 0$. Let's take a CFT 2pt-function as explicit example

$$\langle \phi(x_1) \phi(x_2) \rangle^E = \frac{1}{(x_{12}^0 + \vec{x}_{12})^\Delta} . \quad \text{For complex time } x_{12}^0 \text{ at fixed } \vec{x}_{12}$$

things become more interesting:

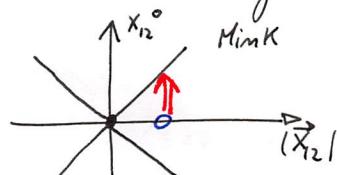
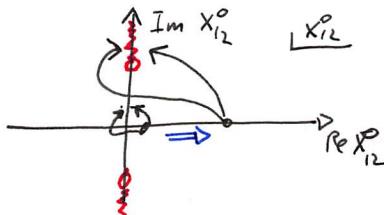
For x_{12}^0 close to the origin (with $\vec{x}_{12} \neq 0$)

we encounter no singularity by Wick rotation $x_{12}^0 \rightarrow i x_{12}^0$ that moves to imaginary time. But, as $|x_{12}^0|$ reaches $|\vec{x}_{12}|$ we hit the lightcone and singularity and ambiguities appear.

Reaching the point of the lightcone $|\vec{x}_{12}| = |\vec{x}_{12}|$

or inside depends on the path: from right gives T-ordered correlators, from left anti-T-ordered correlators

$$\begin{aligned} \langle \phi(x_1) \phi(x_2) \rangle^E &\rightarrow \langle T \phi(x_1) \phi(x_2) \rangle = \langle \phi(x_1) \phi(x_2) \rangle \quad \text{reg } x_{12}^0 > 0 \\ &\rightarrow \langle \bar{T} \phi(x_1) \phi(x_2) \rangle = \langle \phi(x_2) \phi(x_1) \rangle \end{aligned}$$



The discontinuity is the non-vanishing commutator inside the lightcone. Outside the lightcone there was no ambiguity and the commutator vanishes as inherited by regularity of the Euclidean correlator. More: from Euclid to Minkowski we move from outside the lightcone (away from origin) into the lightcone.

(d) Linear Response Theory

(P5)

We have seen that causality (1) is implied by Kellerman-Lehmann and in fact trivially implemented in an Euclidean approach. It was important in order to recover Lorentz invariance of S-matrix. Let's see now another example where causality (1) is crucial for consistency with the relation of cause and effect, hence justifying the name "causality" itself.

We want to see the VEV of $\langle \mathcal{O}(x) \rangle$ as result of turning-on a localities' perturbation (or source) $J(x)$:

$$H(\mathcal{O}(x)) \rightarrow H(\mathcal{O}(x)) + J(x) \mathcal{O}(x)$$

In the interacting-picture we get (equal time VEV, rather than in-out S-matrix elements)

$$(4) \quad \langle \mathcal{O}(x) \rangle_J = \underbrace{\langle 0 |}_{\text{Heisenberg pict. with vacum at } J=0} \underbrace{U^+(x^0, -\infty) \mathcal{O}(x) U(x^0, -\infty) | 0 \rangle}_{\text{interacting picture with vacum at } J=0} = \langle 0 | \overline{T} \ell \int_{-\infty}^{x^0} dy^0 \int d^3y J(y) \mathcal{O}(y) | 0 \rangle$$

↑
anti-time ordering

$$= \langle \mathcal{O}(x) \rangle_{J=0} - i \int_{-\infty}^{x^0} dy^0 \int d^3y \langle [\mathcal{O}(x), \mathcal{O}(y)] \rangle_{J=0} J(y) + \dots$$

This is nothing but the Kubo Formula for linear response (say $\langle \mathcal{O}(x) \rangle$ is some electric current induced by an ~~ext~~ external electric field $E = J$, this way one calculates the resistivity)

What's interesting about this formula is the causal structure

We can rewrite it as

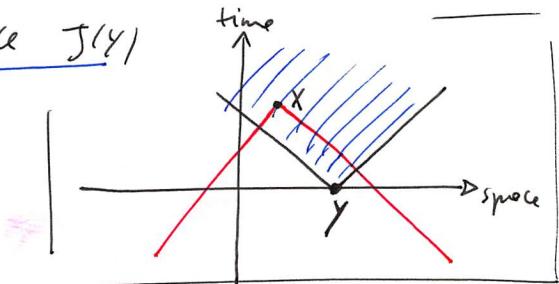
$$\langle \mathcal{O}(x_1) \rangle_J = \langle \mathcal{O}(x_1) \rangle_{J=0} - i \int d^4x G^R(x-y) J(y) + \dots$$

where we introduced the retarded Green-function

$$(5) \quad G^R(x-y) = \theta(x^0 - y^0) \langle [\mathcal{O}(x), \mathcal{O}(y)] \rangle_{J=0}$$

(assuming travel involving left \$J=0\$ for simplicity)

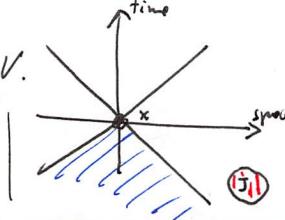
Notice that $G^R(x-y)$ vanishes everywhere except in the future lightcone of the perturbation $J(y)$



Like before, the vev at x receive contributions only by sources that have support in its past lightcone.

A source $J(y)$ outside the past lightcone of x will return zero vev.

The theory is causal and perturbations travel subluminal in the sense that nothing leaks outside the lightcone.



The G^R is the Green-function because for perfectly localized source $J(y)=\delta^4(y)$ one gets $\langle \mathcal{O} \rangle = G$, and moreover often works with free fields at $J=0$ so that instead $(\square + m^2) G = -i\delta^4$, provided one gives the prescription to invert the differential operator, as we are going to do now. The prescription to go around the poles is what makes G^R the right, retarded, Green-function for this problem. More specifically, take more free fields in the vacuum: we have seen that in (P3) we could write

$$(6) \quad [\mathcal{O}(x_1), \mathcal{O}(x_2)] = \int \frac{d^3k}{(2\pi)^3} e^{i\vec{k}\cdot\vec{x}_{12}} \left(\frac{e^{-i\omega(k)x_1^0} - e^{-i\omega(k)x_2^0}}{2\omega(k)} \right) \quad \omega(k) = \sqrt{\vec{k}^2 + m^2}$$

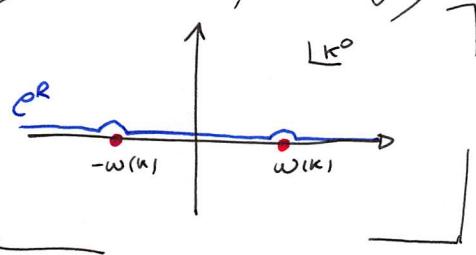
that we can obtain from the following contour integral in the complex k^0 -plane

$$(7) \quad \int_C \frac{d^4k}{(2\pi)^4} e^{-iKx_{12}} \frac{-i}{k^2 - m^2} = (\text{sum of two residues}) 2\pi i$$

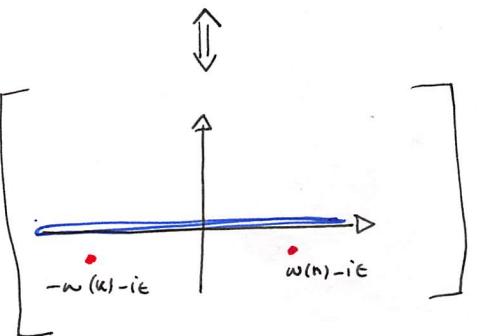
$$[k^2 - m^2 = (k^0 + w(k))(k^0 - w(k)) \Rightarrow \lim_{k^0 \rightarrow w} (k^0 - w) \frac{e^{-ikx_1}}{k^2 - m^2} + \lim_{k^0 \rightarrow -w} (k^0 + w) \frac{e^{-ikx_2}}{k^2 - m^2} = \dots]$$

Now, the retarded Green function $\theta(x_1^0 - x_2^0) \langle [\partial(x_1), \partial(x_2)] \rangle$

satisfies the same equation of motion \rightarrow has the same kernel but integrated over a different contour (that is, poles moved around differently)



$$\rightarrow \int_{C^R} \frac{d^4 k}{(2\pi)^4} e^{-ikx_2^0} \frac{-i}{k^2 - m^2} = \int_{(2\pi)^3} \frac{d^3 k}{(2\pi)^3} \int_{(2\pi)} \frac{e^{+ik^0 x_2^0}}{(k^0 - w(k)) (k^0 + w(k))}$$



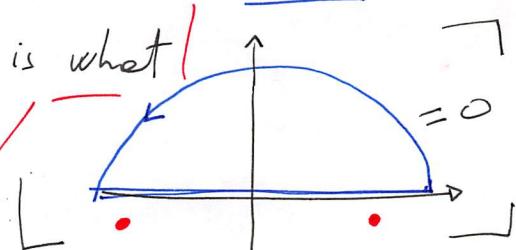
$$= \theta(x_1^0) (\text{close contour on lower plane}) + \theta(-x_1^0) (\text{close contour on upper plane})$$

"sum of 2 residues"

$$= \theta(x_1^0) \langle [\partial(x_1), \partial(x_2)] \rangle \quad (8)$$

as it is analytic there!!

The analyticity in the upper complex k^0 -plane is what gives the correct causal structure.



A couple of remarks:

- we have worked with free fields at $\beta=0$, but this is not important as one can see applying directly Källen-Lehmann $\Delta_{m^2}(x_2) \rightarrow \int d\mu^2 \rho(\mu^2) \Delta_{m^2}$ and $G_{m^2}^R(x_2) \rightarrow \int d\mu^2 \rho(\mu^2) G_{m^2}^R(x_2)$ [caution: K.L. may, in principle, not be converging; one would need to take subtractions when $\Delta_{\bar{g}}$ is sole-dim.]
- We have studied this problem in the vacuum, ~~but~~ how things change in other states given that microcausality holds for any state?

→ For example, what does happen if we are in a thermal bath at finite temperature T ? This is actually simple for a free theory at $\beta=0$ since $\langle \beta [\partial(x_1), \partial(x_2)] | \beta \rangle_{\beta=0} = \langle [\partial(x_1), \partial(x_2)] \rangle_{T=0}$ as it is well known.

This is so because finite temperature is nothing but ~~than~~ a different representation (than Fock $a_{k10}\rangle$) of the same canonical commutation relation $\begin{cases} [a_k, a_p] = 0 \\ [a_k, a_p^\dagger] = (2\pi)^3 \delta^3(k-p) \end{cases}$

$$\Rightarrow \langle \beta | [\partial(x_1), \partial(x_2)] | \beta \rangle = \langle \beta = \alpha | [\partial(x_1), \partial(x_2)] | \beta = \alpha \rangle$$

($\beta = 1/T$)

even though $\langle \beta | \partial(x_1) \partial(x_2) | \beta \rangle$ is different than at zero temperature. As result, the commutator still vanishes at spacelike distance.

$$\begin{aligned} \langle \beta | a_k^\dagger a_p | \beta \rangle &= \frac{\text{Tr}[e^{-\beta H} a_k^\dagger a_p]}{\text{Tr}[e^{\beta H}]} = \frac{\text{Tr}[a_k^\dagger e^{-\beta H} a_p]}{\text{Tr}[e^{-\beta H}]} e^{-\beta w(k)} \stackrel{\text{cyclic}}{=} e^{-\beta w(p)} \langle \beta | a_p^\dagger a_p | \beta \rangle \\ &\stackrel{[a, a^\dagger] = \delta}{=} e^{\beta w(k)} [(2\pi)^3 \delta^3(k-p) + \langle \beta | a_k^\dagger a_p | \beta \rangle] \\ \Rightarrow \langle \beta | a_k^\dagger a_p | \beta \rangle &= \frac{1}{e^{\beta w(k)}} (2\pi)^3 \delta^3(k-p) \quad \Rightarrow \text{some analytic structure for } [\partial, \partial] \\ \langle \beta | a_p^\dagger a_k | \beta \rangle &= \frac{1}{1 - e^{-\beta w(k)}} (2\pi)^3 \delta^3(k-p) \\ \langle \beta | [\partial_k, \partial_p^\dagger] | \beta \rangle &= (2\pi)^3 \delta^3(k-p) \quad \text{and hence, some causal structure.} \end{aligned}$$

It's interesting trying to calculate $\langle [\partial, \partial] | \beta \rangle$ from the Matsubara KK mode compactifying along a complex time direction (given that $\langle T \partial(x_1) \partial(x_2) \rangle_\beta = \langle T \partial(x_1^0 + i\beta, \vec{x}_1) \partial(x_2^0, \vec{x}_2) \rangle_\beta$). This should be totally analogous to the 'spatial compactification' studied in 0703.1483, once we had interactions in the bulk.

- Suppose now we are in a medium (breaking Lorentz spontaneously like before but now at $\tau=0$) whose only effect is changing the refraction index

$$(9) \quad n(\omega) \omega = k \quad (\leftarrow \text{for a massless field for simplicity})$$

This means that the Green function takes the following form

$$\begin{aligned}
 G^R(x_{12}) &= \theta(x_{12}^0) \langle m | [\delta(x_{11}), \delta(x_{21})] | m \rangle \\
 (10) \quad &= \theta(x_{12}^0) \int \frac{d^3 k}{(2\pi)^3} e^{i\vec{k}\cdot\vec{x}_{12}} \frac{e^{-i\omega(k)x_{12}^0} - e^{i\omega(k)x_{12}^0}}{2\omega(k)} \\
 &= \int \frac{d^3 k}{(2\pi)^3} \int \frac{dk^0}{(2\pi)} e^{i\vec{k}\cdot\vec{x}_{12}} \frac{-i}{(k^0 + i\epsilon)^2 - \omega^2(k)}
 \end{aligned}$$

(from (9))

That is, same causal/analytic structure in the k^0 -plane (because of $\theta(x_{12}^0)$) but with a modified dispersion relation $\omega = \omega(k)$ which breaks Lorentz (again spontaneously; this technically means $\omega(k \rightarrow \infty) = k$, i.e. $m(\omega \rightarrow \infty) \rightarrow 1$)

This is causal, clearly, because of $\theta(x_{12}^0)$ (or the analytic structure), but does it vanish as well outside the vacuum-determined lightcone?

Do signal propagate inside that lightcone or can leak out for weird $|m|$?

Let's get rid of the angular variables in (10), $\int \frac{d^3 k}{(2\pi)^3} = \int d\Omega \int \frac{\vec{k}^2 d\vec{k}}{2\pi^2}$ ($|\vec{x}_{12}| \equiv 2$)

$$G^R(x_{12}) = \int_0^\infty \frac{dK^2}{(2\pi)^2} \frac{-i}{K/2} (e^{iK/2} - e^{-iK/2}) \int \frac{dk^0}{2\pi} e^{-ik^0 x_{12}} \frac{-i}{(k^0 + i\epsilon)^2 - \omega^2(k)}$$

$$(11) \quad = \frac{1}{2} \int_{-\infty}^\infty \frac{dK}{(2\pi)^2} K \int \frac{dk^0}{(2\pi)} e^{-ik^0 x_{12}} \frac{iK^2 - ik^0 x_{12}^0}{(k^0 + i\epsilon)^2 - \omega^2(k)}$$

now we change variables since $\omega(k)$ satisfies (9), $k = m(\omega) \omega$ \downarrow $dK = d\omega [m' \omega + m]$

$$\Rightarrow G^R(x_{12}) = -\frac{1}{2} \int_{-\infty}^{+\infty} \frac{d\kappa^0}{2\pi} \int_{-\infty}^{+\infty} \frac{d\omega}{(2\pi)^2} m(\omega) \omega [m(\omega) + m'(\omega) \omega] e^{-i\kappa^0 x_{12}^0 + i\omega r} \frac{(K^0 + i\epsilon)^2 - \omega^2}{(K^0 + i\epsilon)^2 - \omega^2} \quad (12)$$

We can now perform the integral over $d\omega$ easily: (*) $m(\omega)$ analytic in the upper complex ω -plane

\Rightarrow only $\omega = K^0 + i\epsilon$ contribute by closing contour in the upper part of complex ω -plane

$$\Rightarrow G^R(x_{12}) = +\frac{i}{2\pi} \int_{-\infty}^{+\infty} \frac{d\kappa^0}{(2\pi)^2} m(\kappa^0) [m(\kappa^0) + m'(\kappa^0) \kappa^0] e^{-i\kappa^0 (x_{12}^0 - m(\kappa^0) r)} \quad (13)$$

Notice that we know, by construction, that $G^R(x_{12})$ vanish for $x_{12}^0 < 0$ which is nicely consistent with having required analyticity of $m(\kappa^0)$ in the upper complex ~~ω -plane~~, and it justifies in retrospect the assumption (*).

There is now one extra requirement: Lorentz invariance should be recovered at $\kappa^0 \rightarrow \infty$, that is

$$(*) \quad \boxed{m(\kappa^0) \xrightarrow{\kappa^0 \rightarrow \infty} 1} \quad (14)$$

With this, we can close again in the upper κ^0 -plane when $r > x_{12}^0$, that is for space-like distance, which returns zero!

\Rightarrow analyticity of $m(\kappa^0)$ + $m \xrightarrow{\kappa^0 \rightarrow \infty} 1$ have implied that even in this Lorentz-breaking state the ~~of~~ Green function vanish outside the future (Lorentz-determined) lightcone.

We can generalize a little more the previous discussion asking what are the conditions under which a general Green function is (i) causal and (ii) vanish outside lightcone, even in Lorentz breaking bkg., e.g. with $g(x_{12})$ controlled by, say, a differential equation

$$(15) \quad \boxed{\mathcal{I}(\partial_t, \partial_x) g(x_{12}) = S^4(x_{12})}$$

For (i), just take $g(x_{12}) = g^F(x_{12}) \propto \theta(x_{12}^0)$ $\Rightarrow \int e^{-ik^0 x_{12}^0} g(x_{12}, \vec{x}_{12})$ analytic in the upper k^0 -plane.

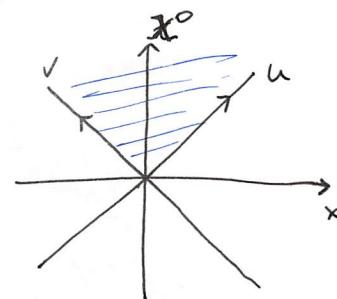
For (ii), let's take the Fourier Tr. w/ respect to \vec{k} as well

$$\hat{G}^R(x_{12}) = \int \frac{dk^0}{(2\pi)} \int \frac{d^3k}{(2\pi)^3} e^{-ik^0 x_{12}^0 + i\vec{k} \cdot \vec{x}_{12}} \hat{g}^R(k^0, \vec{k})$$

let's restrict to $\omega = \omega_+$ for simplicity and define

$v = k^0 - x$ the coordinates along the lightcone

$u = k^0 + x$ so that the boundary is just $v=0$ and $u=0$



$$G^R(x_{12}) = \int \frac{dk^0}{(2\pi)} \int \frac{d\vec{k}}{(2\pi)^3} e^{-i\frac{(k^0-k)_+ u_{12} - i\frac{(k^0+k)_+ v_{12}}{2}}{2}} \hat{g}^R(k^0, \vec{k})$$

$$\begin{cases} k^0 - k \equiv k_v \\ k^0 + k \equiv k_u \\ e^{-i\frac{(k_v u + k_u v)}{2}} \end{cases}$$

We want $\hat{g}^R(k_{12}) = 0$ for $\boxed{v_{12} < 0 \text{ or } u_{12} < 0}$

$\Rightarrow \hat{g}^R(k^0, \vec{k})$ is analytic in the region $\boxed{\begin{array}{l} \text{Im}(k^0 - k) > 0 \\ \text{Im}(k^0 + k) > 0 \end{array}}$

that is $\boxed{\text{Im } k^0 > |\text{Im } k|}$ (16)

("forward tube", i.e. $\text{Im } k^0$ is positive timelike vector)

Now, this condition is automatically satisfied by a $g = \frac{-i}{m^2(k^0) k^0 - \vec{k}^2}$ requiring that $m(k^0)$ has indeed no singularity in the upper complex k^0 -plane and $\lim_{k^0 \rightarrow \infty} m = 1$. (see 0709.1483 for detailed proof)

(e) Refraction index and Forward Scattering

We have seen a direct connection between causality / locality and analyticity of Green functions and refraction index.

This was coming from the properties of $\langle \delta(x_1), \delta(x_2) \rangle$ even in non-vacuum states.

We push forward in this direction and look at the scattering (interactions on, this time) of particle in a medium, and derive the beautiful connection between Refraction Index \leftrightarrow Forward Elastic Scattering Ampl.

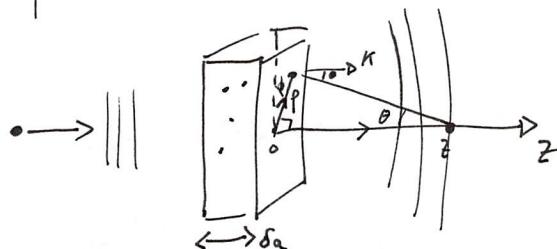
This is of course well known in the neutrino-physics community since MSW-effect can be seen as the statement that

$$n - 1 \propto \frac{\text{forward Amplitude}}{E^2} = \frac{2\pi}{E^2} N f(E, \theta=0) \quad \begin{matrix} \text{forward amp.} \\ \text{number density of medium} \end{matrix}$$

This relation (see e.g. 9206209) comes about (for ~~medium~~ medium where no ω any more)

because the single scatters of the medium interfere and average out except for the forward direction that is singled out by the beam, and where all contribution sum up coherently creating a phase shift. Except for the forward directions, the ~~differential~~ differential cross-section is just the sum due to each particle's medium.

But for $\cos\theta = 1$ we have instead to sum over the amplitudes,



each of the type $\psi_n(z) = e^{-i\omega t} [e^{ikz} + f(\omega, \theta) \frac{e^{ikz}}{n}]$

that is

$$(17) \quad \psi_e(z) = e^{-i\omega t} \left[e^{ikz} + N \cdot S_a \int_0^{2\pi} d\phi \int_0^\infty dp p \underbrace{\frac{e^{i\sqrt{p^2+z^2}}}{\sqrt{p^2+z^2}}}_{\frac{1}{i\sqrt{p^2+z^2}} \frac{d}{dp}(e^{ikp})} f(k, \cos\theta = \frac{z}{\sqrt{p^2+z^2}}) \right]$$

We can integrate now (17) by parts given that $\frac{d}{dp} e^{i\kappa\sqrt{p^2+t^2}} = \frac{i\kappa e^{i\kappa\sqrt{p^2+t^2}}}{\sqrt{p^2+t^2}} p$, (P13)

$$\psi_n(z) = e^{-iet} \left[e^{ikz} - \frac{i2\pi N f_a}{K} \underbrace{\int_0^{\infty} e^{i\kappa\sqrt{p^2+t^2}} f(\kappa, \cos\theta = \frac{z}{\sqrt{z^2+p^2}}) dp \right] + \underbrace{\frac{2\pi i N f_a}{K} \int_0^{\infty} dp e^{-\frac{p \cos\theta}{(z^2+p^2)}} \frac{df}{dp} \frac{dp}{\cos\theta}}_{\text{negligible for } \kappa z \gg 1 \text{ (if } f \text{ regular)} \text{ (this means } n(Kz) \approx 1)}$$

there every $p=\infty$
become it averages out
(or formally $\kappa \rightarrow \kappa+i\epsilon$)
 $\epsilon \rightarrow 0$

$$\Rightarrow \psi_n(z) = e^{-iet} e^{ikz} \left[1 + \frac{2\pi i N f_a}{K} f(\kappa, \cos\theta=1) \right]$$

(see Fermi's book
on Nuclear Physics)

Integrating over $a_{\text{tot}} = j$ consecutive slabs of material, $\lim_{j \rightarrow \infty} \left(1 + \frac{2\pi i N f_a}{K}\right)^j = e^{2\pi i N f_a}$

and since it holds up to back of the edge of slab

$$\Rightarrow \boxed{m = 1 + \frac{2\pi N}{K^2} f(\kappa, \cos\theta=1)} \quad (18)$$

↳ meaning $e^{\frac{2\pi i N f_a}{K}} \approx e^{2\pi i N f_a}$

↓
[a more consistent treatment]

inside medium is possible,

see Feshbach 1945: $m^2 = 1 + \frac{4\pi N f(\kappa, \theta)}{K^2}$

$$\frac{d\sigma}{dQ} \Big|_{\text{tot}} = |f|^2 = \frac{1}{64\pi^2} \frac{1}{E_{\text{kin}}} \frac{|M|^2}{M^2} = \frac{1}{64\pi^2 m^2} |M|^2$$

↑ c.n. energy
for heavy target
masses $m \gg E$

$$(S = m^2 + 2mE)$$

We can reexpress it in terms of scattering amplitude $M(E, \cos\theta)$ given that $\frac{d\sigma}{dQ} \Big|_{\text{tot}} = |f|^2 = \frac{1}{64\pi^2} \frac{1}{E_{\text{kin}}} |M|^2 = \frac{1}{64\pi^2 m^2} |M|^2$

$$\Rightarrow \boxed{m - 1 = \frac{N}{4E^2 M_{\text{target}}} M(E, \cos\theta=1)} \quad (19)$$

- This relation says that the analytical properties of m are inherited by the forward scattering amplitude $M(E)/E^2$
- $m \rightarrow 1 \Rightarrow M(E) \text{ is polynomially bounded}$ (order polynomial known = 2)

Both this fact are actually true in general, and not just in the approximation of large target masses. The moral is that causality says something on S-matrix elements.

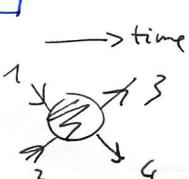
(Notice also that $\Im m \propto \Im f_{\theta=0} > 0$ so that there is positive damping of amplitudes $e^{i\kappa u z}$ by optical th. = unitarity)

(f) Causality \Leftrightarrow Analyticity S-matrix

Let's keep going in the exploration of causality/analyticity link for scattering amplitudes. The key, is to write even in-out correlators, that is S-matrix elements, in terms of retarded (or advanced) commutators, like for in-in correlators in linear response theory. This is possible thanks to the LSZ reduction: write

$$(20) \quad T \langle \vartheta(x_1) \vartheta(x_2) \rangle = \Theta(x_1^0) [\vartheta(x_1), \vartheta(x_2)] + \vartheta(x_2) \vartheta(x_1)$$

and the $2 \rightarrow 2$ connected amplitude reads



$$\langle 1, 2 | S - II | 3, 4 \rangle = \prod_{LSZ_{1,3}} \langle 2 | T \vartheta(x_1) \vartheta(x_3) | 4 \rangle$$

$$= \prod_{LSZ_{1,3}} \Theta(x_{13}^0) \langle 2 | [\vartheta(1), \vartheta(3)] | 4 \rangle + \prod_{LSZ_{1,3}} \langle 2 | \vartheta_3 \vartheta_1 | 4 \rangle$$

The catch is that the last term vanishes on-shell, indeed, since \prod_{LSZ_3} project on outgoing $|3\rangle$ -state and \prod_{LSZ_1} on ingoing $|1\rangle$ -state

$$(22) \quad \not \int \prod_{LSZ_{1,3}} \langle 2 | \vartheta_3 | m \rangle \langle m | \vartheta_1 | 4 \rangle = \not \int_m \langle 2 | \vartheta_3 | m \rangle \langle m | S - II | 4 \rangle$$

$$= 2\pi i \not \int_m \delta^4(p_2 - p_3 - p_m) M_{2 \rightarrow 3m} \delta^4(p_4 - p_1 - p_m) M_{m \rightarrow 4}$$

But these clearly vanish because we are assuming asymptotic stable particles, $M_{2 \rightarrow 3m} = 0$ on-shell.

Reminder: $\prod_{LSZ_1} = \lim_{p_1^2 \rightarrow m_1^2} \int d^4x e^{-ip_1 x} i(\square_x + m_1^2)$ and $\prod_{LSZ_3} = \lim_{p_3^2 \rightarrow m_3^2} \int d^4x e^{+ip_3 x} i(\square_x + m_3^2)$

\uparrow time has positive energy \uparrow out has negative energy

The connected S-matrix element is therefore

$$(23) \quad \langle 1, 2 | S - \mathbb{I} | 3, 4 \rangle = \overline{\prod_{LSZ_{113}} \theta(x_{13}^0)} \langle 2 | [\theta(1), \theta(3)] | 4 \rangle$$

where we see the appearance of a retarded Green function.

We can move the \square_x inside the LSZ-projector past $\theta(x_{13}^0)$ because we are interested only in the analytical properties of (23), whereas \square_x acting on $\theta(x^0)$ would produce equal-time commutators which (again by (1)) vanish unless when $x_1 = x_3$. They correspond to $P(\partial) \delta^4(x_1 - x_3)$ whose Fourier tr. inside \prod_{LSZ} returns polynomials hence local quantity we can safely discard (corresponds to adding local operators to the lagrangian, that is changing renormalization scheme). It's the same thing as going from T-ordered product to the covariant $T^\#$ -ordered product.

$$(24) \quad \langle 1, 2 | S - \mathbb{I} | 3, 4 \rangle = - \int d^4 x_1 e^{-ip_1 x_1} \int d^4 x_3 e^{+ip_3 x_3} \theta(x_{13}^0) \langle 2 | [J(1), J(3)] | 4 \rangle$$

where $J(x) \equiv (\square_x + m^2) \theta(x)$

Schematically corresponds to remove external free propagator at pole with the retarded commutator (on-shell) $(\textcircled{1}) = \textcircled{2} \underset{\text{onsh.}}{=} \textcircled{3}$

By translation invariance the integral in (24) brings a $(2\pi)^4 \delta^4(\sum p_i - \sum p_o)$ which is factored out in the definition of $M_{12 \rightarrow 34}$, namely

$$S = \mathbb{I} + (2\pi)^4 i \delta^4(\sum p_i - \sum p_o) M$$

Specializing it to elastic Forward amplitude, $\frac{4}{3} \rightarrow 2$ we get

$$\boxed{M_{12 \rightarrow 12} = i \int d^4 x e^{i k_1 x} \theta(x^0) \langle 2 | [J(x), J(0)] | 2 \rangle} \quad (25)$$

(k_i : mom. particle 1)

The (25) and its Fourier inverse are our Master's Formula: (6)

$$(26) \quad \left\{ \begin{array}{l} M_{12 \rightarrow 12}^R(K) = i \hat{g}^R(K) \\ g^R(x) = -i \int e^{ikx} M_{12 \rightarrow 12}^R(k) dk = \theta(x^0) \langle 2i [J(x), J(0)] / 2 \rangle \end{array} \right.$$

The forward elastic amp. is written as the F.T. of a retarded commutator of the sources $J(x)$,

Clearly, $M_{12 \rightarrow 12}^R(K)$ is thus analytic ~~forward~~ in the "forward cone"

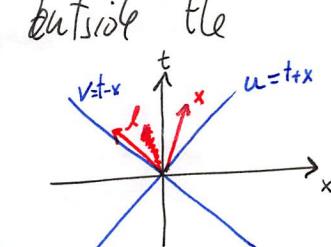
Take e.g. 1, 3 ~~as~~ massless particles for simplicity (2, 4 massive instead)

$$\Rightarrow K^\mu = E \ell^\mu \text{ for } \ell^2 = 0 \text{ and } \ell^0 = 1 \text{ (say } \ell^\mu = \begin{pmatrix} 1 \\ 0 \\ 0 \\ 1 \end{pmatrix} \text{)}$$

Then (25) tells us that indeed $g^R(x)$ vanishes outside the future lightcone $\begin{cases} x^2 > 0 \\ x^0 > 0 \end{cases}$ since $K \cdot x = E \underbrace{(\ell \cdot x)}_{> 0} > 0$

$\Rightarrow E \rightarrow E + iE_I$ makes (25) convergent for $E_I > 0$

$$M_{12 \rightarrow 12}^R(E + iE_I) = i \int d^4x e^{iE_I(\ell \cdot x)} \underline{\ell^{-E_I(\ell \cdot x)}} \theta(x^0) \langle 2i [J(x), J(0)] / 2 \rangle$$



as long as $\langle \rangle$ grows less than a linear exponential of E_I (e.g. for tempered-distributions that are polynomially bounded)

$\Rightarrow M_{12 \rightarrow 12}^R(E)$ is the real boundary of an analytic function for $\boxed{\text{Im } E > 0}$

vice versa: $g^R(x) \sim -i \int dK_u dK_v e^{-i(K_u v + K_v u)} M_{12 \rightarrow 12}^R(K)$ should vanish for

$$\text{either } u < 0 \text{ or } v < 0 \Rightarrow \begin{cases} \text{Im } K_u > 0 \\ \text{Im } K_v > 0 \end{cases} \Leftrightarrow \begin{cases} \text{Im } K^0 > |\text{Im } K| \\ \text{Im } K^0 > 0 \end{cases}$$

~~Notice that $(k^0 + k^1)^2 = m_1^2 + 2k^0 m_2$ is in the frame where $k_2 = (m, 0)$ and~~

$\Rightarrow M_{12 \rightarrow 12}^R(z)$ analytic in the upper s -plane

- $M_{12 \rightarrow 12}(E)$ is analytic in the upper E -plane

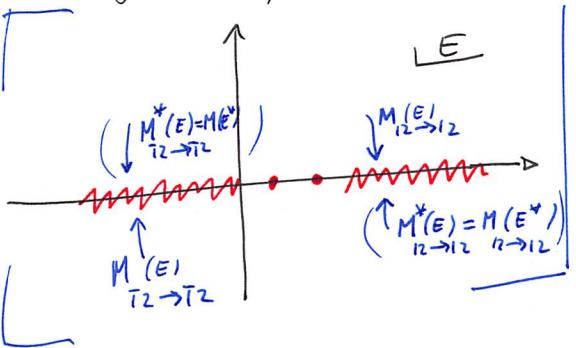
- what about the " π -channel" $M_{\bar{1}2 \rightarrow \bar{1}2}(E)$?

That is, what if we started with the anti-particles $M_{\bar{3}2 \rightarrow \bar{1}4}(E)$? ← in our case, particles are real $\bar{1}=1$

We could repeat the argument, which now would involve the advanced Green-function and find

$$(27) \quad \boxed{M_{\bar{1}2 \rightarrow \bar{1}2}(E) = M_{12 \rightarrow 12}(-E)} \quad \text{known as } \underline{\text{crossing Symmetry}}$$

with $M_{12 \rightarrow 12}$ clearly analytic in the lower E -plane, as appropriate for antiparticles. So, in fact a single analytic function everywhere, except on the Real axis, defines both amplitudes



$$(28) \quad \begin{cases} (K_1 + K_2)^2 \equiv s = m_2^2 + 2Em_2 \\ (K_1 - K_2)^2 \equiv u = m_2^2 - 2Em_2 \\ (t=0 = (K_1 - K_3)^2) \end{cases}$$

\Rightarrow we can think of M as analytic in the s-plane (cutting away the real axis) and $E \rightarrow -E$ as just

$s \leftrightarrow u$ exchange under crossing.

$\bar{M}(\bar{E})$ is analytic in the rest if M real for some real E and cont.

• What about approaching the real axis from below but for $E > 0$? [This comes from a little math theorem known as Schwarz reflection Principle see Fig. above]

(9) Unitarity & Positivity

- summarizing, $M(s)$ is analytic everywhere in the complex s -plane except on the real axis. (recall, we are at $t=0$ and elastic)
 ↪ particle production, stable particle, ...
- "unphysical" values of boundary values are related by crossing symmetry and Schwarz-reflection principle to physical boundary values. We can thus work with a simple master $M(s) = M_{\bar{1}2 \rightarrow 12}(s)$ such that $\begin{cases} M^*(s) = M(s^*) \\ M(u = \bar{s} \cdot m^2 - s) = M_{\bar{1}2 \rightarrow 12}(s) \end{cases}$
- let's exploit now this analyticity of the forward elastic amplitude in connection with the last ingredient: Unitarity $\boxed{S^+ S = S S^+ = 1} \quad (30)$

\Rightarrow For $2 \rightarrow 2$ connected (forward elastic) amplitudes says

$$(31) \quad \left. \begin{cases} \text{Im } M_{\bar{1}2 \rightarrow 12}(s) = s \sqrt{1 - 4m^2/s} \sigma_{\bar{1}2 \rightarrow \text{TOT}}(s) \\ \text{Im } M_{\bar{1}2 \rightarrow 12}(s) = s \sqrt{1 - 4m^2/s} \sigma_{\bar{1}2 \rightarrow \text{TOT}}(s) \quad (\text{s-physical}) \end{cases} \right\} \quad \begin{matrix} \xleftarrow{\text{specialized to four identical particles of mass } m, \text{ for simplicity}} \\ \end{matrix}$$

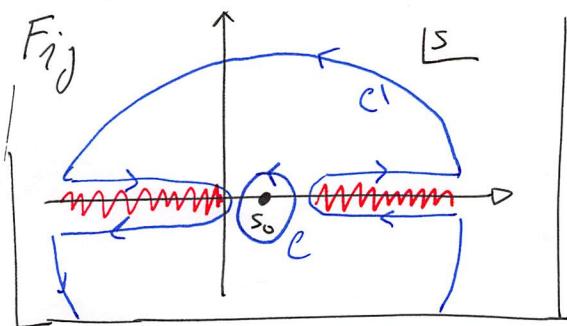
where, because of Sch.-refl., is about a discontinuity across physical (real) values of s : (32) $M_{\bar{1}2 \rightarrow 12}(s^{\text{real}} + i\epsilon) - M_{\bar{1}2 \rightarrow 12}^*(s^{\text{real}} + i\epsilon) = M_{\bar{1}2 \rightarrow 12}(s^{\text{real}} + i\epsilon) - M_{\bar{1}2 \rightarrow 12}(s^{\text{real}} - i\epsilon)$

- Now we are ready to learn something universal about amplitudes

Consider the $2 \rightarrow 2$ amplitude (forward elastic)

for identical particles of mass m , the analytic structure

being in Fig



(for example if they are the
lightest stable particles)

By Cauchy integral theorem we get that

$$\left[\frac{1}{2\pi i} \oint_C \frac{M_{12 \rightarrow 12}(s)}{(s - s_0)^3} = \frac{1}{2!} \left. \frac{\partial^2 M_{12 \rightarrow 12}}{\partial s^2} \right|_{\substack{s=s_0 \\ (t=0)}} \right] \quad (33)$$

Deforming to the contour c' ,

$$\frac{1}{2!} \left. \frac{\partial^2 M_{12 \rightarrow 12}}{\partial s^2} \right|_{\substack{s=s_0}} = \frac{1}{2\pi i} \left\{ \int_{4m^2}^{\infty} \frac{ds}{(s-s_0)^3} \underbrace{[M_{12 \rightarrow 12}(s+i\epsilon) - M_{12 \rightarrow 12}(s-i\epsilon)]}_{\text{Disc } M = 2i\pi M \text{ Sch. ref.}} + \int_{-\infty}^0 \frac{ds}{(s-s_0)^3} \underbrace{[M_{12 \rightarrow 12}(s+i\epsilon) - M_{12 \rightarrow 12}(s-i\epsilon)]}_{\text{Disc } M'' = 2i\pi M \text{ Im } M} \right\}$$

+ (big circle ∂ infinity) ^{integral over physical energy} ↑ ^{imphysical energy}

$$\Rightarrow \frac{1}{2!} \left. \frac{\partial^2 M_{12 \rightarrow 12}}{\partial s^2} \right|_{s_0} = \frac{1}{\pi} \int_{4m^2}^{\infty} ds \left\{ \frac{\text{Im } M_{12 \rightarrow 12}(s)}{(s-s_0)^3} + \frac{\text{Im } M_{12 \rightarrow 12}(s)}{(s-4m^2+s_0)^3} \right\} + (\text{big circle})$$

mapped to physical energy by crossing

We have obtained a dispersion relation 5, which using unitarity is

$$(34) \quad \frac{1}{2!} \left. \frac{\partial^2 M_{12 \rightarrow 12}}{\partial s^2} \right|_{s_0} = \frac{1}{\pi} \int_{4m^2}^{\infty} ds \sqrt{1-4m^2s} \left[\frac{\sigma_{12 \rightarrow \text{tot}}(s)}{(s-s_0)^3} + \frac{\sigma_{12 \rightarrow \text{tot}}(s)}{(s-4m^2+s_0)^3} \right] + (\text{big circle } \partial \text{infinity})$$

↑ IR / UV connection !!

- The big circle at infinity vanishes as it is taken

(P20)

that

$$\boxed{\frac{|M(s)|}{s^2} \xrightarrow[s \rightarrow \infty]{} 0} \quad \text{Froissart Bound}$$

(← For any gapped theory)

(justifying why looking at $\frac{\partial^2 M}{\partial s^2}$)

which indeed makes the disp. relation (34) convergent

$$\int_{s_2 \rightarrow T_{\text{tot}}} (s \rightarrow \infty) \sim \log^2 s \quad \Rightarrow \text{integrand } \sim \frac{\log^2 s}{s^2}.$$

One way to understand this bound is recalling the index

of reflections, $n_e \rightarrow 1$ required $\frac{M(s)}{s^2} \rightarrow 0$.

- All in all, we get a convergent dispersive relation that implies the following positivity

$$(35) \quad \boxed{\left| \frac{\partial^2 M_{12 \rightarrow 12}}{\partial s^2} \right| > 0 \quad \begin{array}{l} s=s_0 \\ t=0 \end{array}} \quad \begin{array}{l} \text{as long as } s_0 < 4m^2 \\ \text{homework: what happens} \\ \text{for odd number of subts.?} \end{array}$$

Amplitude's positivity

- This is a non-trivial constraint on the EFT for these particles, since s_0 is in IR and $t=0$.

For example, from $\mathcal{L}^{\text{EFT}} = \frac{1}{2}(\partial\pi)^2 - \frac{m^2\pi^2}{2} + \lambda(\partial\pi)^4 + \dots$ we

get

$$(36) \quad \boxed{\lambda > 0} //$$

whilst $\lambda = 0$ or $\lambda < 0$

would seem consistent: instead there is no consistent UV-completion that would give $\lambda \leq 0$.

• Fermionic Example

(P21)

We have worked so far only with spin-0 particles and scalar fields, but the arguments actually generalize to arbitrary spin (see 1605.06111), including fermions even though they anticommute, as long as one keeps working in the forward elastic limit.

Let's see an example with spin- $1/2$ particles in the limit $m \rightarrow 0$, considering

$$\mathcal{L} = \bar{x}^+ i\delta x - \frac{g_F^2}{\Lambda^4} \bar{x}^+ \square x^2 + \dots$$

That is a theory with leading interactions starting at $\mathcal{O}(p^4)$

[There is one unique such op., up to Fierz id and field redef. requiring chiral symmetry $x \rightarrow e^{i\alpha} x$]

The forward elastic amplitude reads

$$M(s, t \rightarrow 0) = \underbrace{\frac{g_F^2}{\Lambda^4}}_{kk \rightarrow xx} s^2 \Rightarrow \boxed{\frac{g_F^2}{\Lambda^4}, \text{ the coeff. of } \bar{x}^+ \square x^2 \text{ must be positive}}$$

This is verified, e.g., in the Goldstone lagrangian where

$$\frac{g_F^2}{\Lambda^4} = \frac{1}{F^2} \quad \text{where } [F] = 2 \text{ is the susy decay constant}$$

$$\text{and clearly } \sum_a \langle Q_a | 0 \rangle \langle 0 | Q_a \rangle = 4 \langle 0 | H | 0 \rangle = 4F^2 > 0.$$

General Lessons & Conclusions

(P22)

- (micro-) causality \Rightarrow analyticity of Green-functions
 - Γ is an op. statement \Rightarrow it can be exploited on various states
 \hookrightarrow the smarter the state the more info one gets
 (we have seen e.g. medium \rightarrow index of ref.
 scatt. states \rightarrow probabilities)
 - Using it on (plane wave) scattering states $|k\rangle \Rightarrow$ positivity
 (adding unitarity)
 - There is a swamp even in QFT
- QFT-SWAMPLAND

EFT

MAY ADMIT
UV-COMPLETION

bad-EFT

\Downarrow

in turn, constraints on EFT's
 and even QFT

[e.g. $\lambda > 0$ we have seen implies
irreversibility of RG-flow
 because of Komargol'ski-Schwimmer
 proof that $\lambda = a_{UV} - a_{IR} > 0$ in a certain setup
 see 1107.3987]
- UV

IR

not just in string theory
- just tip of an iceberg:
 - using smarter scattering states $|J_L m\rangle \Rightarrow$ partial waves: more info or constraints
 - put bound on how soft amplitude can be 1605.06111
 - generalization to arbitrary spin \rightarrow
 - Beyond Positivity & Beyond Forward elastic sc. (e.g. 1710.02539, 0912.4258, 1706.0292)
 - BSM applications (fermion completeness 1706.03070; ZZ + Z γ @ LHC 1806.09640)
 - using states in CFT's (see T. Hartman et al. 1509.00014, 1610.05308)

$\langle 4 | C, 7 | 4 \rangle$

shockwave states or generated by pinning $T_{\mu\nu}$

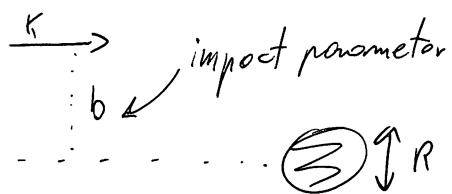
$$\text{ANEC} = \int d\lambda \langle T_{\mu\nu} \rangle > 0 \quad (\text{more generally, } \int d\lambda \langle T_{\mu\nu} \rangle u^\mu u^\nu)$$

↓
 bounds on $C_{\mu\nu} \dots$

null plane null tangent

- Bounds on higher spins (work in progress)
- Weak-gravity conjecture (speculation)

Crude argument for Froissart Bound (beside refraction index)
 \Rightarrow is p. 13 with $n \rightarrow 1$
 $\kappa \rightarrow \infty$



← picture expected to be
valid at high energy, particle-like
behavior

$$\ell = \kappa \cdot b$$

particle waves:

$$S_\ell^{\text{elast}}$$

$$\left. \begin{array}{ll} \rightarrow 1 & b = \frac{\ell}{\kappa} \gg R \leftarrow \text{trivial} \\ \rightarrow 0 & b = \frac{\ell}{\kappa} \ll R \\ & \uparrow \text{fully inelastic} \end{array} \right\}$$

$$\Rightarrow \text{optical theorem: } \sigma^{\text{tot}} \sim \frac{2\pi}{\kappa^2} \sum_{\ell=0}^{\infty} (2\ell+1) \operatorname{Re}(1 - S_\ell^{\text{elast}})$$

$$= \frac{2\pi}{\kappa^2} \sum_{\ell \ll KR} (2\ell+1) \sim \frac{(2\pi)}{\kappa^2} (KR)^2 = \frac{\pi R^2}{\kappa^2}$$

α geometrical elastic cross-section

(R may depend on energy weakly, e.g.

$$\text{Yukawa resp. } e^{-mR} \sim \epsilon^{\frac{1}{2}} \Rightarrow R \sim \frac{1}{m} \ln \epsilon$$

$$\Rightarrow \sigma^{\text{tot}} \sim \frac{1}{m^2} \log^2 \epsilon \text{ as observed! })$$

we also naive argument in hep-th/0602178

useful Refs: Weinberg's QFT-1 chpt. 10.2, 10.3, 10.7, 10.8

• Adams, Arkani-Hamed, Dubovsky, Nicolis, Rattazzi: hep-th/0602178

• Dubovsky, Nicolis, Trincherini, Villaescusa 0709.1483

• B.B. 1605.06111

• Bogoliubov-Shirkov (chp 10), Itzykson-Zuber (chp 5), Byckova-Drell (chp 18)