Moduli Stabilization in F-Theory

Bogdan Florea Rutgers

Fields Institute, Toronto, March 2005

Abstract

Based on

- hep-th/0404257 w/ F. Denef and M. R. Douglas
- hep-th/0503124 w/ F. Denef, M. R. Douglas, A. Grassi and S. Kachru

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1. Overview

- Brief review of KKLT mechanism for moduli stabilization in IIB orientifolds
- Work w/ Denef and Douglas on Kähler moduli stabilization in KKLT-type models
 - models
 - difficult to explicitly show that complex structure moduli and D7-brane moduli are stabilized
- Simple model w/ all moduli explicitely stabilized

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2. Review of KKLT Construction

- Well-known proposal outlining a multi-step construction of metastable de Sitter vacua in IIB string theory
- KKLT argue that in this class of compactifications all moduli can be fixed and the physics that lifts the degeneracy of the moduli space is under good control.
- But they lacked explicit examples!

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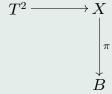
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2. Review of KKLT Construction

- Well-known proposal outlining a multi-step construction of metastable de Sitter vacua in IIB string theory
- KKLT argue that in this class of compactifications all moduli can be fixed and the physics that lifts the degeneracy of the moduli space is under good control.
- But they lacked explicit examples!
- ullet Start w/ F-theory compactification on Calabi-Yau 4fold X



and turn on fluxes (KKLT step 1):

- generate a nontrivial superpotential for the complex structure moduli of the Calabi-Yau 4fold X;
- go near the orientifold limit.

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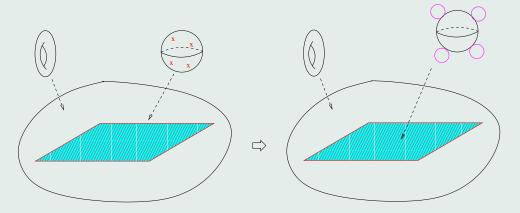
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- ullet Orientifold limit: X degenerates to $(Z\times T^2)/\mathcal{I}$, where
 - -Z is a Calabi-Yau 3fold ('orientifold limit');
 - \mathcal{I} is a holomorphic involution on Z acting as -1 on T^2 ;
 - -Z is a double cover of B

$$Z \xrightarrow{2:1} B$$

branched along the fixed locus of \mathcal{I} ;

– Fiber is smooth everywhere except on top of the branch locus, where degenerates to T^2/\mathbb{Z}_2 ;



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- Complex structure moduli of *X* (type IIB perspective):
 - complex structure moduli of ${\it Z}$
 - axion-dilaton
 - branch locus data (D7 brane moduli)
- ullet Kähler moduli of X (type IIB perspective): Kähler moduli of B

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- start with M-theory on X;
- pick $[G^{(4)}] \in H^4(X,\mathbb{Z}) \rightsquigarrow$ get susy solutions if adjust complex structure and Kähler structure of X such that (Becker²):
 - $* G^{1,3} = 0$:
 - * $J \wedge G^{(4)} = 0$ (J is the Kähler form).
- constraints can be derived from superpotential interactions (Gukov, Vafa, Witten):

$$W_{\Omega} = rac{1}{2\pi} \int_{X} \Omega \wedge G^{(4)};$$

$$W_J = \int_X J \wedge J \wedge G^{(4)}.$$

- turning on fluxes \rightsquigarrow complex structure of X is generically fixed ($h^{3,1}$ equations on $h^{3,1}$ moduli); constraints imposed on the Kähler moduli.

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- What about F-Theory?
 - -4D Lorentz invariance \rightarrow constraints on $[G^{(4)}]$: the 4-cycle Poincaré dual to $[G^{(4)}]$ is neither contained in the base, nor is an elliptic fibration over a curve in the base;
 - $-J = \sum_{i} t_i D_i$, D_i is a basis of the Kähler cone of X;
 - the generators of the Kähler cone are $\{D_i\} = \{\Sigma, \pi^*C_j\}$, where Σ is the section of the elliptic fibration and $\{C_j\}$ is a basis for the Kähler cone of B;
 - therefore $W_J \equiv 0 \rightsquigarrow$ no constraints on Kähler moduli;
- F-theory: turn on fluxes → generate a nontrivial superpotential for the complex structure moduli → go near the orientifold limit (weak string coupling);
 - Hard to pick a flux $[G^{(4)}]$ that realizes this explicitely! Calabi-Yau 4folds have typically thousands of complex structure moduli
 - At most, one can hope to fix the complex structure moduli of Z plus the axion-dilaton and try to argue that D7-brane moduli are also stabilized.

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- ullet Complex structure moduli stabilization for Z
 - flux superpotential: $W_{\Omega} = \int_{Z} \Omega \wedge G^{(3)}$, $G^{(3)} = F^{(3)} \tau H^{(3)}$;
 - $-D_iW=0, i=1,\ldots h^{2,1}(Z) \leadsto G^{1,2}=0;$
 - $-D_{\tau}W=0 \leadsto G^{3,0}=0$;
 - $-G^{(3)} \in H^{2,1}(Z,\mathbb{Z}) \oplus H^{0,3}(Z,\mathbb{Z}) \leadsto$ complex structure moduli and axion-dilaton are generically stabilized.
- Potential for moduli fields ($\mathcal{N} = 1$ SUGRA formula):

$$V = e^{\mathcal{K}} (\sum_{a,\bar{b}} g^{a\bar{b}} D_a W D_{\bar{b}} \overline{W} - 3|W|^2),$$

 $a, ar{b}$ run over all moduli fields; ${\cal K}$ is the Kähler potential,

$$\mathcal{K} = -\log \operatorname{Im} \tau - \log \int_{Z} \Omega \wedge \overline{\Omega} - 3\log[-i(\rho - \overline{\rho})],$$

where $\rho \leadsto$ single Kähler modulus (for simplicity).

— easy to check that V is independent of $\rho \leadsto$ the potential has a no-scale structure and Kähler moduli are not fixed.

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- KKLT Step 2: generate superpotential for the Kähler moduli and destroy the no-scale structure of the effective potential;
 - self-consistency: ignore α' corrections and stabilize the Kähler parameters at large values;
 - moreover, in this regime the effect of Kähler moduli variations on the complex structure moduli is exponentially suppressed → justified to stabilize complex structure moduli first and treat Kähler moduli separately.

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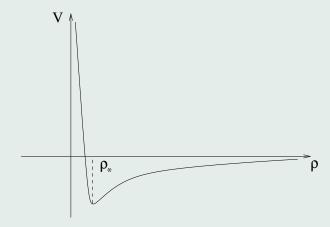
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- Kähler moduli stabilization in an ideal scenario (1 Kähler parameter and (∃) nonperturbative superpotential term depending on that parameter):
 - $-\mathcal{K} = -3\log[-i(\rho \overline{\rho})];$
 - $-W = W_0 + B \cdot e^{-2\pi\rho}$, where $W_0 \rightsquigarrow$ flux contribution to the superpotential, independent of the size moduli;

$$-D_{\rho}W=0 \rightsquigarrow \rho_*=-i\log\frac{3W_0}{B};$$



— self-consistency: large volume $\leadsto W_0$ has to be small;

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ullet Contributions to W come from D3-brane instantons wrapping surfaces $D\subset B$ which satisfy the topological condition

$$\chi(\pi^{-1}(D)) = 1,$$

where $\chi(\mathcal{V}) = \sum_{i=0}^{3} (-1)^i h^{0,i}(\mathcal{V})$ for \mathcal{V} a divisor in the Calabi-Yau 4fold X.

ullet This is the condition for an M5 instanton to have the right number of fermionic zero modes to contribute to the superpotential.

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- Question: How general is the above topological condition?
 - what if \mathcal{V} is not spin?
 - Witten: M5 worldvolume fermions are twisted; also spinors of the normal bundle;
 - possible to define fermions, even when ${\cal V}$ is not spin

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 - Witten: M5 worldvolume fermions are twisted; also spinors of the normal bundle;
 - possible to define fermions, even when ${\cal V}$ is not spin
- Question: Is the $\chi=1$ condition valid in the presence of background fluxes?
 - fluxes can give mass to fermionic zero modes
 - Görlich, Kachru, Tripathy, Trivedi: $\chi > 1$ divisors can also contribute in the presence of fluxes
 - all our M5-brane instantons are rigid: the higher cohomology groups vanish; they will always contribute to the superpotential

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 - all our M5-brane instantons are rigid: the higher cohomology groups vanish; they will always contribute to the superpotential
- Search for vertical, holomorphic Euler characteristic 1 divisors in Calabi-Yau 4folds!

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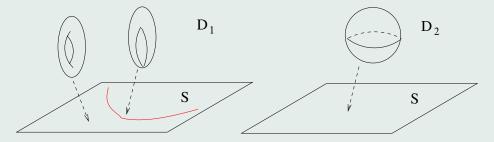
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3. Kähler Moduli Stabilization

- Program: given X a Calabi-Yau 4fold, search for vertical divisors $\mathcal{V} \subset X$ such that $\chi(\mathcal{V}) = 1$.
- Such divisors fall into two classes:
 - $-\mathcal{V}=\pi^*(D)$, where $D\subset B$ is a smooth divisor in the base;
 - components of the singular fibers.



- Conjecture (Grassi): divisors of the first type are always exceptional; (\exists) birational transformations of Calabi-Yau 4folds contracting these divisors; proved when B is Fano.
- B is Fano or toric \leadsto number of contributing divisors is finite:
 - they are the exceptional divisors associated w/ contracting one of the generators of the Mori cone, which is rational polyhedral;

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- Kähler stabilization criterion: (\forall) Mori cone generator C, (\exists) a divisor D such that $\chi(\pi^*(D)) = 1$ and $D \cdot C < 0$.
 - in general, need to have $h^{1,1}(B)$ homologically distinct 4fold divisors of holomorphic Euler characteristic 1.
- Consider $\chi=1$ divisors of the first kind: (\exists) examples that work: take B to be the Fano 3fold \mathcal{F}_{11} , $h^{1,1}(\mathcal{F}_{11})=3$. It has the following toric data:

- D_1, D_2, D_3 correspond to $\chi = 1$ divisors;
- take $W=W_0+\sum_{i=1}^3 B_i\cdot e^{-2\pi\tau_i}$, where τ_i , i=1,2,3 are the complexified volumes of $D_i \rightsquigarrow$ right holomorphic coordinates on the Kähler moduli space;
- take $W_0 = 10^{-30}$, $B_1 = B_2 = B_3 = 1$ and solve $D_{\tau_i}W = 0$, $i = 1, 2, 3 \rightsquigarrow \tau_i = (11.8, 11.9, 11.7)$, $V = 93.3 \rightsquigarrow$ achieved the proposed goal!

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 loop correction to the Kähler potential (Becker, Becker, Haack, Louis):

$$\mathcal{K} = -2\log\left[V + \frac{1}{2(2\pi)^3} \frac{\xi}{g_s^{3/2}}\right] + \text{const},$$

where $\xi = -\frac{\chi(Z)}{2}\zeta(3)$. This is at the percent level in our example; therefore ignoring α' corrections is justified.

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- What about complex structure moduli stabilization?
 - $-h^{2,1}(Z)=89 \leftrightarrow$ impossible to find explicit flux vacua! Need to compute 3fold periods: hypergeometric functions in 89 variables:
 - Ashok, Denef, Douglas developed techniques to estimate the number of flux vacua in a certain region of the moduli space; this involves computing the volume of that region in the moduli space;

 - result: $\mathcal{N}_{vac}(LCS) \simeq 10^{-100}$:(
 - moving away from LCS → (∃) flux vacua, but stringy corrections become important; we argue that flux vacua do exist, but unable to provide explicit example;
- Little to say about D7-brane moduli.

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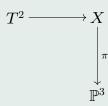
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• What about examples with $\chi = 1$ divisors of the second type (components of the singular fibers)?

Start w/ X the elliptic fibration over \mathbb{P}^3 , $h^{3,1}(X)=3878$: no $\chi=1$ divisors, but can go to a codimension 2049 locus in the complex structure moduli space where the Weierstrass model develops Kodaira type III^* singularities along a $\mathbb{P}^2\subset\mathbb{P}^3$.



- exceptional divisors appearing from resolving the elliptic fibration do have $\chi = 1$;
- can stabilize the (single) Kähler modulus of \mathbb{P}^3 ;
- again, hard to find fluxes that stabilize the complex structure of the Calabi-Yau 4fold X precisely at the singular locus of the Weierstrass model;
- also need to show that fluxes give mass to adjoint matter on D7-branes worldvolume: very hard!

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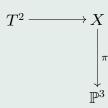
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- again, hard to find fluxes that stabilize the complex structure of the Calabi-Yau 4fold X precisely at the singular locus of the Weierstrass model;
- also need to show that fluxes give mass to adjoint matter on D7-branes worldvolume: very hard!
- Go to orientifold limit of a Calabi-Yau 4fold X by deforming the Kähler structure rather than the complex structure!

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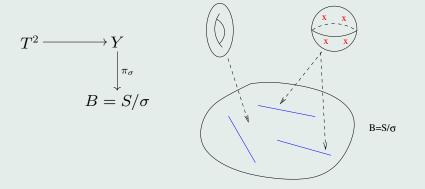
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4. Warm-up 6D Example

- Borcea-Voisin construction of elliptically fibered 3folds
 - Let S be a K3 surface and $\sigma:S\to S$ be a holomorphic involution, $\sigma^2=1$ such that $\sigma(\omega)=-\omega$, where ω is the holomorphic 2-form
 - Construct $S \times T^2/(\sigma, -1)$ and resolve the singularities to obtain an elliptically fibered Calabi-Yau 3fold Y



— The fiber over B has I_0^* singularities along each component of the fixed locus of σ in B

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- Example: take S to be a K3 orbifold, $S \simeq T^4/\mathbb{Z}_2$
 - Y is the resolution of $(T^4/\mathbb{Z}_2 \times T^2)/(\sigma, -1) \simeq T^6/\mathbb{Z}_2 \times \mathbb{Z}_2$
 - $-\mathbb{Z}_2$ actions:

- $-T^6/\mathbb{Z}_2 \times \mathbb{Z}_2$ can be viewed as an torus fibration over $B = (T^4/\mathbb{Z}_2)/\sigma = T^2/\mathbb{Z}_2 \times T^2/\mathbb{Z}_2 \simeq \mathbb{P}^1 \times \mathbb{P}^1$
- the fibers degenerate to T^2/\mathbb{Z}_2 over the fixed point set of α and $\alpha\circ\beta$
- the fixed point set in the base consists of 4 copies of the line parameterized by z_1 and 4 copies of the line parameterized by z_2
- the fixed lines intersect in 16 points

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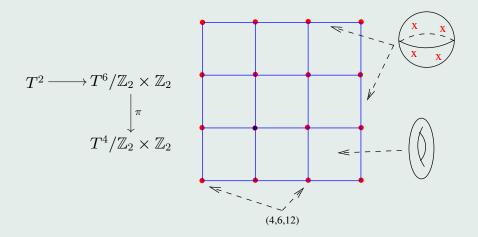
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- IIB theory: singularities in the base correspond to locations of O7-planes; on top of each O7-plane there are 4 D7-branes $\rightsquigarrow SO(8)$ worldvolume gauge theory
- Smooth 3fold \leadsto need to separate the D7-branes that intersect transversely

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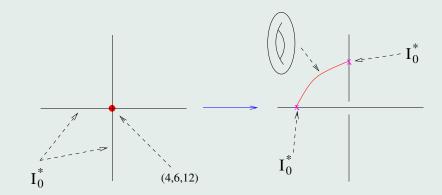
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- This modification of geometry is possible, but comes with a price: blow-up → introduce 16 new curves
- Therefore, introduce 16 new Kähler parameters; the D7-branes do not intersect any longer
- Last step: resolve the elliptic fibration → the surfaces
 S which are the 3fold lifts of the new curves become rigid:

$$h^{1,0}(S) = h^{2,0}(S) = 0$$

ullet We considered an orientifold of T^4/\mathbb{Z}_2 and its resolution.

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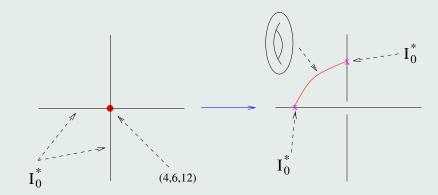
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- This modification of geometry is possible, but comes with a price: blow-up → introduce 16 new curves
- Therefore, introduce 16 new Kähler parameters; the D7-branes do not intersect any longer
- Last step: resolve the elliptic fibration \leadsto the surfaces S which are the 3fold lifts of the new curves become rigid:

$$h^{1,0}(S) = h^{2,0}(S) = 0$$

- We considered an orientifold of T^4/\mathbb{Z}_2 and its resolution.
- Go one dimension higher!

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5. Main Example

- Consider a higher-dimensional Borcea-Voisin example: take $Y = T^6/\mathbb{Z}_2 \times \mathbb{Z}_2$ and construct $Y \times T^2/(\sigma, -1) \simeq T^8/\mathbb{Z}_2^3$, where σ acts as -1 on $H^{3,0}(Y)$;
- The \mathbb{Z}_2 actions are summarized by the following table:

by definition, this is an orientifold of $T^6/\mathbb{Z}_2 \times \mathbb{Z}_2$;

• Again, think of T^8/\mathbb{Z}_2^3 as an elliptic fibration over $B=T^6/\mathbb{Z}_2^3$,

$$T^2 \longrightarrow T^8/\mathbb{Z}_2^3$$

$$\downarrow^{\pi}$$

$$T^6/\mathbb{Z}_2^3$$

with I_0^* fibers along the fixed point locus of each of $\alpha\Omega$, $\beta\Omega$ and $\alpha\beta\Omega$ in B.

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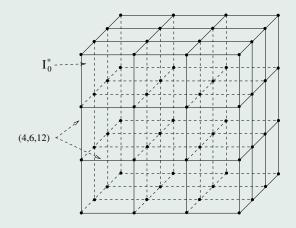
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- 12 fixed planes w/ I_0^* fibers;
- -48 lines where 2 such planes intersect and fiber degenerates to Kodaira type (4,6,12);
- 64 points where three (4,6,12) lines meet; these points are fixed by Ω .

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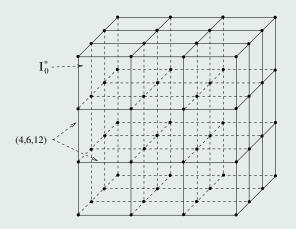
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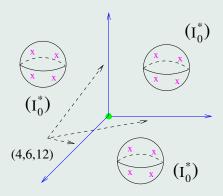
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- 12 fixed planes w/ I_0^* fibers;
- -48 lines where 2 such planes intersect and fiber degenerates to Kodaira type (4,6,12);
- 64 points where three (4,6,12) lines meet; these points are fixed by Ω .

• Locally, the geometry looks as follows:



- Blow-up! 48 fixed lines
 → 48 Kähler moduli;
- $-4 \times 12 = 48$ Kähler moduli from resolution of the fiber singularities;
- 3 Kähler moduli from the base and 1 from the section of the elliptic fibration;

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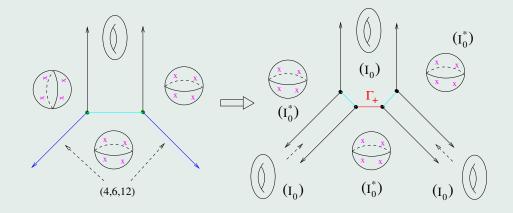
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- Calabi-Yau 4fold X has $h^{1,1}(X) = 100$ and $h^{3,1}(X) = 4$; we need to stabilize the 51 Kähler moduli of the base $(h^{1,1}(B) = 51)$ and the 4 complex structure moduli.
- In order to show that we can accomplish that, we need to understand better the resolution of the singularities; below we present an 'asymmetric resolution';



- Perform sequence of blow-ups in a given order in each local patch and glue \leadsto 4fold asymmetric resolution; we will call the corresponding base B_+ ;
 - in the base $B_+ \rightsquigarrow 16$ exceptional divisors which are del Pezzo surfaces dP_9 and $32 \mathbb{F}_0$ exceptional divisors;

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- the surfaces $D_{\bullet+}$ wrapped by D7-branes do not intersect any longer; they are either \mathbb{F}_0 's or \mathbb{F}_0 's blown-up at 16 points.
- ullet What is the topology of the exceptional divisors in the Calabi-Yau 4fold X_+ ?
 - $-E_{1+} \simeq E_{3+} \simeq \mathbb{P}^1 \times dP_9$ (this is $\mathbb{P}^1 \times$ the story in 6D);
 - E_{2+} is the blow-up along 8 rational curves of $\mathbb{P}^1 \times dP_9$;
 - all exceptional divisors have holomorphic Euler characteristic 1, $\chi(E_{\bullet+})=1$; moreover, $h^{0,i}(E_{\bullet+})=0$, i=1,2,3, therefore these divisors have the right topological properties to give a superpotential contribution;
 - The exceptional divisors take care of themselves!; blowing-up, we introduced 48 additional Kähler parameters, but
 (∀) Kähler parameters (∃) a corresponding divisor of holomorphic Euler characteristic 1;
- What about the remaining 3 Kähler parameters of the base?
 - after blowing-up, the I_0^* surfaces do not intersect any longer \leadsto no fundamental matter in the gauge theory on the D7-brane worldvolume;
 - D7-branes wrap rigid surfaces $D_{\bullet+}$ (they have $h^{0,1}(D_{\bullet+}) = h^{0,2}(D_{\bullet+}) = 0) \rightsquigarrow$ no adjoint matter either;

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- D7-branes worldvolume theory: pure SO(8) gauge theory \rightsquigarrow (\exists) superpotential term generated by strong infrared dynamics (gaugino condensation):

$$W \sim e^{-rac{8\pi^2}{g_{YM}^2}}, \quad rac{1}{g_{YM}^2} \sim Vol(D_{ullet+}).$$

 (∃) sufficient contributions to the superpotential to stabilize the remaining Kähler moduli! Overview

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- D7-branes worldvolume theory: pure SO(8) gauge theory \rightsquigarrow (\exists) superpotential term generated by strong infrared dynamics (gaugino condensation):

$$W \sim e^{-rac{8\pi^2}{g_{YM}^2}}, \quad rac{1}{g_{YM}^2} \sim Vol(D_{ullet+}).$$

- (\exists) sufficient contributions to the superpotential to stabilize the remaining Kähler moduli!

- Where do we stand?
 - Flux vacua: possible to find explicit vacua, due to the simplicity of the problem: only 3 complex structure moduli and the axion-dilaton. In fact, in the present case, it is perfectly fine to work in the orientifold limit, since moving away from the limit does not affect the complex structure;
 - Example: search on the symmetric locus (same complex structure for all three $T^2\subset T^6$), yields an isolated vacuum with

$$W_0 = e^{\mathcal{K}/2}|W| = 10^{-1}, \quad (2\pi\sqrt{\alpha'} = 1).$$

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Supersymmetric vacua are given by Kähler covariant critical points of

$$W = W_0 + \sum_{i=1}^{51} B_i e^{-2\pi \tau_{E_i}} + \sum_{j=1}^{12} C_i e^{-2\pi \tau_{D_j}/6}$$

that is

$$D_i W = \partial_i W + (\partial_i \mathcal{K}) W = 0.$$

- Prefactors B_i : holomorphic functions of the complex structure moduli coming from one-loop determinants of massive modes; we will take them to be of order 1;
- Find critical point ${\rm vol}(D_i)\sim 10,\ {\rm vol}(E_i)\sim 2,\ {\rm vol}(B)\sim 60$ (in units of $l_s=2\pi\sqrt{\alpha'}$); $W\sim -10^{-9}$ (AdS solution); supergravity potential is at a local minimum at this critical point in all directions;
- Solution is stable under reasonable variations of W_0 and the coefficients;
- For $g_s > 0.01$, the $\zeta(3)$ correction to the Kähler potential is negligible.

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- Everything looks good; but the isolated critical point is not in the Kähler cone!
 - The curves in the class Γ_+ have negative area! :(

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- Everything looks good; but the isolated critical point is not in the Kähler cone!
 - The curves in the class Γ_+ have negative area! :(
- What to do next?

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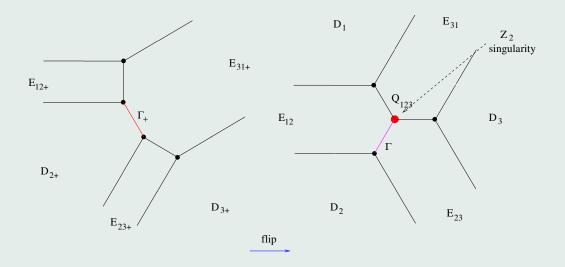
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- ullet There (\exists) another 4fold resolution X ('symmetric resolution'):
 - -X and X^+ are related by a (4fold) flop;
 - the bases B and B^+ are related by a flip;



- to see it is a flip, check intersection with the canonical classes: $K_{B+} \cdot \Gamma_+ = 1$ and $K_B \cdot \Gamma = -\frac{1}{2}$;
- B has a \mathbb{Z}_2 singularity at Q_{123} ; (IIB string: the singular points correspond to O3-planes transverse to the base);

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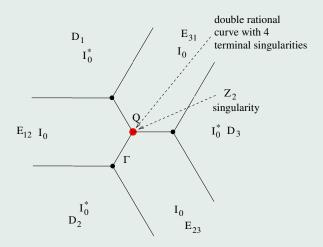
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ullet Study the birational factorization of the 4fold flop: sequence of blow-ups and blow-downs conecting X_+ and X



- Exceptional divisors $E_{\bullet \bullet} \subset X$ have $\chi = 1$; they are rigid and **do** contribute to the superpotential;
- D7-branes wrap \mathbb{F}_0 surfaces; they do not intersect and the worldvolume theory is pure SO(8) gauge theory \leadsto gaugino condensation superpotential;
- Find 'good' critical point of superpotential; the supergravity potential is at a local minimum in all possible directions.

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- What could go wrong in our model?
 - P1: Prefactor of the instanton contribution to the superpotential might vanish if transverse D3-brane hits the D3-brane instanon (Ganor).
 - A1: Flux vacuum: the D3-brane tadpole in cancelled entirely by flux, no need for transverse D3-branes.

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 - P2: M-theory picture, we need to sum in principle over self-dual worldvolume fluxes $h \leadsto \Theta$ -function in the instanton prefactor; Θ -functions have the nasty habit of having zeroes. Moreover, if the divisor wrapped by the instanton is not spin, the Θ -function vanishes identically (Moore private communication).
 - A2: The 4fold instanton divisors have vanishing third homology → no Θ-function in the instanton prefactor.

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 - A2: The 4fold instanton divisors have vanishing third homology \leadsto no Θ-function in the instanton prefactor.
 - P3: Freed-Witten anomaly: if a D-brane wraps a non-spin divisor, the worldsheet theory is anomalous → need to turn on some abelian flux on the D-brane worldvolume to cancel the anomaly; the flux needs to satisfy the DUY equations → possible constraints on the Kähler class. Moreover, this introduces additional bundle moduli that need to be stabilized.

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- A3: D7-branes wrap spin divisors; the M5 torsion anomaly vanishes due to the fact that the third cohomology of the divisor is trivial. The four-form flux is trivial when reduced to the M5 worldvolume.



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- A4: Explicit geometry \leadsto possible to count arbitrary degree worldshhet instantons contributions to the $\mathcal{N}=2$ prepotential; they are very small compared with the classical prepotential \leadsto natural to expect that the corresponding corrections to the $\mathcal{N}=1$ Kähler potential are also negligible.

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- P5: Are there superpotential contributions from $\chi>1$ as in Görlich, Kachru, Tripathy, Trivedi?
- A5: If they do (\exists) , their contributions will be subleading.

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6. Conclusions

 Presented a simple example of an F-theory compactification on a Calabi-Yau 4fold where background fluxes, together with nonperturbative effects from Euclidean D3-instantons and gauge dynamics on D7-branes, allowed us to fix all closed and open string moduli. Overview

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6. Conclusions

- Presented a simple example of an F-theory compactification on a Calabi-Yau 4fold where background fluxes, together with nonperturbative effects from Euclidean D3-instantons and gauge dynamics on D7-branes, allowed us to fix all closed and open string moduli.
- Establish existence of de Sitter vacua?

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6. Conclusions

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- Establish existence of de Sitter vacua?
- CFT duals of AdS flux vacua?

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