

Neutrino Masses and the See-saw Mechanism

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Introduction

- Standard Model (SM): three ν_L
- Neutrinos oscillate \implies

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- Neutrinos oscillate \implies are massive
- Evidence for Physics beyond the Standard Model

Outline

- 1 Neutrino Masses
 - Dirac Neutrino Masses
 - Majorana Neutrino Masses
 - Dirac-Majorana Neutrino Masses
- 2 The See-saw Mechanism
 - Type I See-saw
 - Type II See-saw
 - Type III See-saw
 - Double See-saw
- 3 Conclusions

Neutrino Masses

- quarks and charged leptons Dirac mass
- both left- and right-handed components required
- SM: there are only left-handed neutrinos
- But ν are massive

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- SM: there are only left-handed neutrinos
- But ν are massive
- \implies two possibilities: Dirac mass or Majorana mass

Dirac Neutrino Masses

Extension of the SM mechanism:

$$L'_L \equiv \begin{pmatrix} L'_{eL} \\ L'_{\mu L} \\ L'_{\tau L} \end{pmatrix}, \quad L'_{\alpha L} \equiv \begin{pmatrix} \nu'_{\alpha L} \\ l'_{\alpha L} \end{pmatrix}, \quad \alpha = e, \mu, \tau$$

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Introduce right-handed neutrinos (restrict to **3** ν_R)

$$\nu'_R = \begin{pmatrix} \nu'_{eR} \\ \nu'_{\mu R} \\ \nu'_{\tau R} \end{pmatrix}$$

Mass term from

$$\mathcal{L}_{Yuk,lept} = -\overline{L}'_L Y'^I \Phi l'_R - \overline{L}'_L Y'^{\nu} \tilde{\Phi} \nu'_R + h.c.$$

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In the **unitary gauge**

$$\Phi = \frac{1}{\sqrt{2}} \begin{pmatrix} 0 \\ \nu + h(x) \end{pmatrix}, \quad \tilde{\Phi} = i\tau_2 \Phi^* = \frac{1}{\sqrt{2}} \begin{pmatrix} \nu + h(x) \\ 0 \end{pmatrix}$$

Hence

$$\mathcal{L}_{Yuk,lept} = - \left(\frac{\nu + h}{\sqrt{2}} \right) \left[\overline{l}'_L Y'^I l'_R + \overline{\nu}'_L Y'^{\nu} \nu'_R \right] + h.c.$$

Matrices Y'' and $Y''\nu$ diagonalized by four **unitary** matrices:

$$l'_L = V_L^l l_L, \quad l'_R = V_R^l l_R,$$

$$\nu'_L = V_L^\nu n_L, \quad \nu'_R = V_R^\nu n_R$$

Eigenvalues:

$$V_L^{l\dagger} Y'' V_R^l = Y^l, \quad Y_{\alpha\beta}^l = y_\alpha^l \delta_{\alpha\beta}, \quad (\alpha, \beta = e, \mu, \tau)$$

$$V_L^{\nu\dagger} Y''\nu V_R^\nu = Y^\nu, \quad Y_{ij}^\nu = y_i^\nu \delta_{ij}, \quad (i, j = 1, 2, 3)$$

real and **positive** y_α^l and y_i^ν ([► Mixing](#))

Therefore

$$\mathcal{L}_{Yuk,lept} = - \left(\frac{v+h}{\sqrt{2}} \right) \left[\bar{l}_L Y^l l_R + \bar{n}_L Y^\nu n_R \right] + h.c.$$

mass eigenstates $l_L, l_R,$

$$n_{L,R} = \begin{pmatrix} \nu_{1L,R} \\ \nu_{2L,R} \\ \nu_{3L,R} \end{pmatrix}$$

charged lepton and neutrino masses

$$m_\alpha = \frac{y_\alpha^l v}{\sqrt{2}}, \quad m_j = \frac{y_j^\nu v}{\sqrt{2}}$$

This approach is not completely satisfactory:

- Lepton masses $m_\alpha = \frac{y'_\alpha v}{\sqrt{2}}$, $m_j = \frac{y'_j v}{\sqrt{2}}$ are proportional to v
- Why $m_j \ll m_\alpha$ ($y'_j \ll y'_\alpha$) ?

Majorana Neutrino Masses

- The SM conserves B, L (L_e, L_μ, L_τ)
- Neutrinos and antineutrinos are electrically neutral
- \implies **can** be Majorana particles $\nu = \nu^c \equiv C\bar{\nu}^T$
- no need for right-handed components

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- no need for right-handed components
- **but lepton number violation:**

$$L(\nu) = +1, \quad L(\nu^c) = -1$$

and we require $\nu = \nu^c$ ($\Delta L = 2$)

- source of CP violation

- A neutrino Majorana mass term

$$\nu_L^T C^\dagger \nu_L$$

has hypercharge $Y = -2$

- Gauge invariance (and renormalizability) \implies Higgs triplet with $Y = +2$

- SM is an effective low-energy theory

- SM is an effective low-energy theory
- \implies non-renormalizable terms which respect the SM gauge symmetry are allowed
- expansion in operators with dimension greater than four

$$\mathcal{L} = \mathcal{L}_{SM} + \frac{g_5}{\mathcal{M}} \mathcal{O}_5 + \frac{g_6}{\mathcal{M}^2} \mathcal{O}_6 + \dots$$

- The **only** operator with dimension 5 is a Majorana neutrino mass term

$$\begin{aligned}\mathcal{O}_5 &= \left(L_L^T \tau_2 \Phi \right) C^\dagger \left(\Phi^T \tau_2 L_L \right) + h.c. = \\ &= \frac{1}{2} \left(L_L^T C^\dagger \tau_2 \vec{\tau} L_L \right) \cdot \left(\Phi^T \tau_2 \vec{\tau} \Phi \right) + h.c.\end{aligned}$$

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- In the unitary gauge

$$\mathcal{L}_5 = \frac{1}{2} \frac{g_5 v^2}{\mathcal{M}} \nu_L^T C^\dagger \nu_L + h.c. + \dots$$

- Masses

$$m = \frac{g_5 v^2}{\mathcal{M}}$$

If $\mathcal{M} \sim M_{GUT} \sim 10^{15}$ GeV, $g_5 \sim 1$, then ($v \sim 10^2$ GeV)

$$m_{\nu_L} \sim 10^{-2} \text{ eV}$$

For **three generations** of Majorana neutrinos

$$\nu'_L = \begin{pmatrix} \nu'_{eL} \\ \nu'_{\mu L} \\ \nu'_{\tau L} \end{pmatrix}$$

Majorana mass term

$$\mathcal{L}_{mass}^{Maj} = \frac{1}{2} \nu'_L{}^T C^\dagger M^L \nu'_L + h.c.$$

where M^L is a 3×3 complex **symmetric** matrix in flavour space

Diagonalization with a **unitary matrix** V_L^ν :

$$\nu_L' = V_L^\nu n_L \quad n_L = \begin{pmatrix} \nu_{1L} \\ \nu_{2L} \\ \nu_{3L} \end{pmatrix}$$

$$(V_L^\nu)^T M^L V_L^\nu = M, \quad M_{jk} = m_j \delta_{jk} \quad (j, k = 1, 2, 3)$$

with **real** and **positive** eigenvalues m_j

$$\begin{aligned} \mathcal{L}_{mass}^{Maj} &= \frac{1}{2} n_L^T C^\dagger M n_L + h.c. = \\ &= \frac{1}{2} \sum_{k=1}^3 m_k \nu_{kL}^T C^\dagger \nu_{kL} + h.c. \end{aligned}$$

Dirac-Majorana Neutrino Masses for One Generation

The most general mass term for one generation is

$$\mathcal{L}_{mass}^{Dir+Maj} = \mathcal{L}_{mass}^{Dir} + \mathcal{L}_{mass}^{Maj,L} + \mathcal{L}_{mass}^{Maj,R}$$

where

$$\mathcal{L}_{mass}^{Dir} = -m_D \bar{\nu}_R \nu_L + h.c.$$

$$\mathcal{L}_{mass}^{Maj,L} = \frac{1}{2} m_L \nu_L^T C^\dagger \nu_L + h.c.$$

$$\mathcal{L}_{mass}^{Maj,R} = \frac{1}{2} m_R \nu_R^T C^\dagger \nu_R + h.c.$$

Define

$$N_L = \begin{pmatrix} \nu_L \\ (\nu_R)^c \end{pmatrix} = \begin{pmatrix} \nu_L \\ C \nu_R^T \end{pmatrix}$$

so that

$$\mathcal{L}_{mass}^{Dir+Maj} = \frac{1}{2} N_L^T C^\dagger M N_L + h.c.$$

where

$$M = \begin{pmatrix} m_L & m_D \\ m_D & m_R \end{pmatrix}$$

Diagonalization:

$$n_L = U^\dagger N_L = \begin{pmatrix} \nu_{1L} \\ \nu_{2L} \end{pmatrix}, \quad U^T M U = \begin{pmatrix} m_1 & 0 \\ 0 & m_2 \end{pmatrix}$$

with real masses $m_{1,2} \geq 0$

$$\mathcal{L}_{mass}^{Dir+Maj} = \frac{1}{2} \sum_{k=1,2} m_k \nu_{kL}^T C^\dagger \nu_{kL} + h.c. = -\frac{1}{2} \sum_{k=1,2} m_k \bar{\nu}_k \nu_k$$

$$\nu_k = \nu_{kL} + (\nu_{kL})^c \implies \nu_k = (\nu_k)^c$$

Assume that $M = M^*$ is **real** (CP is conserved), with **positive** m_R, m_D

Then M can be diagonalized by $U = O \rho$

$$O = \begin{pmatrix} \cos \theta & \sin \theta \\ -\sin \theta & \cos \theta \end{pmatrix} \quad \rho = \begin{pmatrix} \rho_1 & 0 \\ 0 & \rho_2 \end{pmatrix}$$

where $\rho_k^2 = \pm 1$, $m_k^2 = \rho_k^2 m_k'^2$ such that the physical masses are positive

$$O^T M O = \begin{pmatrix} m_1' & 0 \\ 0 & m_2' \end{pmatrix} \quad \tan 2\theta = \frac{2 m_D}{m_R - m_L}$$

$$m_{2,1}' = \frac{1}{2} \left((m_L + m_R) \pm \sqrt{(m_L - m_R)^2 + 4m_D^2} \right)$$

- if $m_L m_R < m_D^2$, $m'_1 < 0$ and $\rho_1^2 = -1$

$$m_1 = \frac{1}{2} \left(\sqrt{(m_L - m_R)^2 + 4m_D^2} - (m_L + m_R) \right)$$

$$m_2 = \frac{1}{2} \left((m_L + m_R) + \sqrt{(m_L - m_R)^2 + 4m_D^2} \right)$$

- if $m_L m_R \geq m_D^2$, $m'_1 \geq 0$ and $\rho_1^2 = +1$

$$m_1 = \frac{1}{2} \left((m_L + m_R) - \sqrt{(m_L - m_R)^2 + 4m_D^2} \right)$$

$$m_2 = \frac{1}{2} \left((m_L + m_R) + \sqrt{(m_L - m_R)^2 + 4m_D^2} \right)$$

In each case, **oscillations** between active ν_L and sterile $(\nu_R)^c$ are allowed and

$$P_{\nu_L \rightarrow (\nu_R)^c}(L, E) = \sin^2 2\theta \sin^2 \left(\frac{\Delta m^2 L}{4E} \right)$$

where

$$\Delta m^2 = m_2^2 - m_1^2 = (m_L + m_R) \sqrt{(m_L - m_R)^2 + 4 m_D^2}$$

Interesting limits

- Maximal mixing $m_L = m_R$

$$m_1 = |m_L - m_D|, \quad m_2 = m_L + m_D$$

$$\Delta m^2 = 4m_L m_D$$

$$\theta = \frac{\pi}{4}$$

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$$\theta = \frac{\pi}{4}$$

- Dirac limit $m_L = m_R = 0$

$$m_1 = m_2 = m_D$$

$$\Delta m^2 = 0$$

$$\theta = \frac{\pi}{4}$$

- Pseudo-Dirac limit $|m_L|, m_R \ll m_D$

$$\begin{aligned}
 m'_{2,1} &= m_D \left[\frac{(m_L + m_R)}{2m_D} \pm \sqrt{1 + \frac{1}{4} \left(\frac{m_L - m_R}{m_D} \right)^2} \right] = \\
 &= m_D \left[\frac{(m_L + m_R)}{2m_D} \pm \left[1 + O \left(\frac{m_L - m_R}{m_D} \right)^2 \right] \right] \\
 m_1 &= m_D - \frac{m_L + m_R}{2} + \dots, \quad m_2 = m_D + \frac{m_L + m_R}{2} + \dots
 \end{aligned}$$

then

$$\Delta m^2 = 2m_D(m_L + m_R) + \dots$$

$$\tan 2\theta = \frac{2m_D}{m_R - m_L} \gg 1 \quad \implies \quad \theta \simeq \frac{\pi}{4}$$

Type I See-saw Mechanism

$$m_L = 0, m_D \ll m_R$$

$$\begin{aligned} m'_{2,1} &= \frac{m_R}{2} \left[1 \pm \sqrt{1 + 4 \left(\frac{m_D}{m_R} \right)^2} \right] = \\ &= \frac{m_R}{2} \left[1 \pm \left[1 + 2 \left(\frac{m_D}{m_R} \right)^2 + O \left(\left(\frac{m_D}{m_R} \right)^4 \right) \right] \right] \end{aligned}$$

$$m_1 = \frac{m_D^2}{m_R} + \dots, \quad m_2 = m_R + \frac{m_D^2}{m_R} + \dots$$

then

$$\Delta m^2 = m_R^2 + 2 m_D^2 + \dots$$

$$\tan 2\theta = \frac{2 m_D}{m_R} \ll 1 \quad \implies \quad \theta \simeq 0$$

Type II See-saw Mechanism

$$m_L, m_D \ll m_R$$

$$\begin{aligned} m'_{2,1} &= \frac{m_R}{2} \left[\left(1 + \frac{m_L}{m_R} \right) \pm \sqrt{\left(1 - \frac{m_L}{m_R} \right)^2 + 4 \left(\frac{m_D}{m_R} \right)^2} \right] = \\ &= \frac{m_R}{2} \left[\left(1 + \frac{m_L}{m_R} \right) \pm \left[\left(1 - \frac{m_L}{m_R} \right) + \right. \right. \\ &\quad \left. \left. + \frac{1}{2} \left(\frac{m_L}{m_R} \right)^2 + 2 \left(\frac{m_D}{m_R} \right)^2 + O \left(\left(\frac{m_D}{m_R} \right)^4 \right) \right] \right] \end{aligned}$$

$$m_1 = m_L - \frac{m_D^2}{m_R} + \dots, \quad m_2 = m_R + \frac{m_D^2}{m_R} + \dots$$

then

$$\Delta m^2 = m_R^2 + 2m_D^2 - \frac{1}{2}m_L^2 + \dots$$

The See-Saw Mechanism

- We have seen two possible realizations
- Natural explanation of the smallness of neutrino masses
- Aesthetically appealing
- Should be included in a SM extension scheme (GUT)
- Introduce other types

Type I See-Saw

- Consider 3 generations
- Introduce 3 sterile neutrinos
- Dirac mass term
- Majorana mass term only for sterile neutrinos ($M_L = 0$)

$$\mathcal{L}_{mass}^{Dir+Maj} = -\bar{L}'_L Y^{\nu} \tilde{\Phi} \nu'_R + \frac{1}{2} \nu'^T_R C^\dagger M_R \nu'_R + h.c.$$

- Eigenvalues of M_R are **not** protected by the SM symmetries
- \implies order M_{GUT}
- we integrate them away

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The e.o.m. for ν'_R , in the **static limit**, are

$$\frac{\partial \mathcal{L}_{mass}^{Dir+Maj}}{\partial \nu'_R} = -\overline{L}'_L Y^{\nu} \tilde{\Phi} + \nu'^T_R C^\dagger M_R \simeq 0$$

Solving for ν'_R :

$$\nu'_R \simeq -M_R^{-1} \tilde{\Phi}^T C (Y^{\nu})^T (\overline{L}'_L)^T$$

Substituting back $\nu'_R \simeq -M_R^{-1} \tilde{\Phi}^T C (Y^{\nu})^T (\overline{L}'_L)^T$:

$$\begin{aligned}
 \mathcal{L}_{mass}^{Dir+Maj} &\simeq \frac{1}{2} (\overline{L}'_L \tilde{\Phi}) C (Y^{\nu} M_R^{-1} (Y^{\nu})^T) (\tilde{\Phi}^T (\overline{L}'_L)^T) \\
 &\quad + h.c. = \\
 &= -\frac{1}{2} \left[(\overline{L}'_L{}^T \tau_2 \Phi) C^\dagger (Y^{\nu\dagger} M_M^{-1} Y^{\nu*}) (\Phi^T \tau_2 L'_L) \right. \\
 &\quad \left. - (\overline{L}'_L \tau_2 \Phi^*) C (Y^{\nu T} M_M^{-1} Y^{\nu}) (\Phi^\dagger \tau_2 (\overline{L}'_L)^T) \right]
 \end{aligned}$$

After e.w. symmetry breaking:

$$\mathcal{L}_{mass}^{Dir+Maj} \simeq -\frac{1}{2} \nu_L'^T C^\dagger (M_D^\dagger M_M^{-1} M_D^*) \nu_L' + h.c.$$

where

$$M_D \equiv \frac{Y^{l\nu} v}{\sqrt{2}}$$

is a Dirac mass matrix.

The effective left-handed Majorana neutrino mass matrix is

$$M_{\nu L} = -M_D^T M_M^{-1} M_D$$

of order

$$\frac{v^2}{M_{GUT}}$$

Type II See-Saw

Add a Lorentz scalar, $SU(2)_L$ triplet Δ , with a Yukawa coupling

$$\mathcal{L}_{Yuk,\Delta} = L_L'^T C Y^{\nu} \tau_2 \Delta L_L' + h.c.$$

After symmetry breaking the triplet gets a non-vanishing v.e.v.

$$\langle \Delta \rangle \simeq \frac{M_W^2}{M_\Delta} \quad \text{if } M_\Delta \gg M_W$$

Hence left-handed neutrinos have a Majorana mass matrix

$$M_{\nu_L} \simeq Y^{\nu} \frac{M_W^2}{M_\Delta}$$

Type III See-Saw

Add a fermionic $SU(2)_L$ triplet ρ

$$\mathcal{L}_{Yuk,\rho} = L_L^T C Y^{\nu} \tau_2 \rho \Phi + M_\rho \text{Tr}_{SU(2)_L} (\rho^T C \rho) + h.c.$$

symmetry breaking \rightarrow Dirac mass for ρ

$$M_{D_\rho} \simeq \frac{Y^{\nu} V}{2\sqrt{2}}$$

If $M_{D_\rho} \gg M_\rho \gg M_{D_{LR}}$, in the basis (ν_L, ν_R, ρ) the mass matrix is:

$$\begin{pmatrix} 0 & m_{D_{LR}}^T & 0 \\ m_{D_{LR}} & 0 & M_{D_\rho} \\ 0 & M_{D_\rho}^T & M_\rho \end{pmatrix}$$

and gives the Majorana mass matrix for ν_L

$$m_{\nu_L} = m_{D_{LR}} M_{D_\rho}^{-1} M_\rho M_{D_\rho}^{-T} m_{D_{LR}}^T$$

Double See-Saw

- Add 3 ν_R
- Add 3 neutrino singlets S which do **not** couple to ν_L , but only to ν_R
- Majorana mass for the singlets
- Dirac mass for neutrinos
- In the basis (ν_L, ν_R, S) the mass matrix is:

$$\begin{pmatrix} 0 & m_{DLR}^T & 0 \\ m_{DLR} & 0 & M_{DRS} \\ 0 & M_{DRS}^T & M_{MSS} \end{pmatrix}$$

Assuming $M_{MSS} \ll M_{DRS}$ gives the left-handed Majorana mass matrix

$$m_{\nu L} = m_{DLR} M_{DRS}^{-1} M_{MSS} M_{DRS}^{-T} m_{DLR}^T$$

\implies Type-III see-saw is a special case of Double see-saw

Summary

- Neutrinos are massive, hence the SM must be extended
- There can be both a Dirac and a Majorana mass term
- Many phenomenological models, especially based on the see-saw mechanism

The End

“It should be clear from the above considerations that a theory of neutrino masses does not exist today. We are still lacking a unifying principle that organizes the flavour sector of particle physics. [. . .] We are of course aware that, especially in the neutrino field and in the recent past, many ideas and prejudices turned out to be wrong”. (Feruglio *et al.* arXiv:0808.0812 [hep-ph])

The End

Neutrino Mixing

- Diagonalization of the neutrino mass matrix
- \implies non-diagonal CC weak interaction

$$\mathcal{L}^{\text{CC}} = -\frac{g}{2\sqrt{2}} j_W^\rho W_\rho + h.c.$$

with $j_W^\rho = j_{W,lept}^\rho + j_{W,quark}^\rho$

$$\begin{aligned} j_{W,lept}^\rho &= 2\bar{\nu}'_L \gamma^\rho l'_L = 2\bar{n}_L V_L^{\nu\dagger} \gamma^\rho V_L^l l_L = \\ &= 2\bar{n}_L U_{PMNS}^\dagger \gamma^\rho l_L \end{aligned}$$

where (▶ diagonalization)

$$U_{PMNS} \equiv V_L^{l\dagger} V_L^\nu = \begin{pmatrix} U_{e1} & U_{e2} & U_{e3} \\ U_{\mu1} & U_{\mu2} & U_{\mu3} \\ U_{\tau1} & U_{\tau2} & U_{\tau3} \end{pmatrix}$$

Left-handed flavour neutrino fields

$$\nu_L \equiv U_{PMNS} n_L = \begin{pmatrix} \nu_{eL} \\ \nu_{\mu L} \\ \nu_{\tau L} \end{pmatrix}$$

Sterile neutrinos

are the right-handed neutrinos

Parametrization of the Neutrino Mixing Matrix

Parametrization of the Neutrino Mixing Matrix

$$U_{PMNS} = U^D D^M$$

$$U^D = R_{23} \begin{pmatrix} \cos \theta_{13} & 0 & \sin \theta_{13} e^{i\delta_{13}} \\ 0 & 1 & 0 \\ -\sin \theta_{13} e^{-i\delta_{13}} & 0 & \cos \theta_{13} \end{pmatrix} R_{12}$$

$$D^M = \begin{pmatrix} e^{i\lambda_1} & 0 & 0 \\ 0 & e^{i\lambda_2} & 0 \\ 0 & 0 & e^{i\lambda_3} \end{pmatrix} \quad \lambda_1 = 0$$

Approximations for the Neutrino Mixing Matrix

- **Trimaximal mixing** ($\theta_{12} = \theta_{23} = \pi/4$, $\sin \theta_{13} = 1/\sqrt{3}$, $\sin \delta_{13} = \pm 1$)

$$U^D = \frac{1}{\sqrt{3}} \begin{pmatrix} 1 & 1 & \mp i \\ -e^{\pm i \frac{\pi}{6}} & e^{\mp i \frac{\pi}{6}} & 1 \\ e^{\mp i \frac{\pi}{6}} & -e^{\pm i \frac{\pi}{6}} & 1 \end{pmatrix}$$

- Trilarge mixing ($\theta_{13} = 0$)

$$U^D = \begin{pmatrix} c_{12} & s_{12} & 0 \\ -s_{12}c_{23} & c_{12}c_{23} & s_{23} \\ s_{12}s_{23} & -c_{12}s_{23} & c_{23} \end{pmatrix}$$

- Tri-bimaximal mixing ($\sin^2 \theta_{13} = 0$, $\sin^2 \theta_{23} = 1/2$, $\sin^2 \theta_{12} = 1/3$)

$$U_{tb}^D = \begin{pmatrix} \sqrt{\frac{2}{3}} & \frac{1}{\sqrt{3}} & 0 \\ -\frac{1}{\sqrt{6}} & \frac{1}{\sqrt{3}} & \frac{1}{\sqrt{2}} \\ \frac{1}{\sqrt{6}} & -\frac{1}{\sqrt{3}} & \frac{1}{\sqrt{2}} \end{pmatrix}$$