

Near-extremal Quantum Field Theories in 2d

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— based on 2508.05735 with A. Bagchi, S. Detournay, D. Grumiller, M. Riegler, and J. Simon;
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Motivation: Extremal and near-extremal black holes

Extremal black holes

- Definition 1: Extremal black holes have vanishing surface gravity on the horizon, i.e., their temperature is zero.
- Definition 2: There is a maximum charge and angular momentum for a given mass. When this bound is saturated, we have an extremal black hole.
- Generically, both definitions are equivalent but there are counterexamples. [Dias, Horowitz, Santos '21]
- We will only focus on cases where temperature goes to zero.

Universal features of extremal black holes

- Extremal black holes develop an infinitely long throat in the near-horizon region. The proper distance from horizon to any point outside the horizon is infinite.
- For a large class of black holes, near-horizon region contains an AdS_2 factor. [Kunduri, Lucietti, Reall, Figueras, Rangamani '07 '08]
- This universal behavior doesn't survive addition of any finite energy excitation. [Maldacena, Michelson, Strominger '98]
- There are several ways to see this:
 1. 2d gravity Lagrangian is topological. So, stress-energy tensor vanishes.
 2. Consider 2d dilaton gravity models. Any non-zero stress-energy tensor implies dilaton diverges near the boundary destroying the AdS_2 asymptotics.
 3. Even going slightly away from extremality, near-horizon region is no-longer decoupled from the remaining spacetime. Proper distance from horizon to any point outside becomes finite.

Universal features of near-extremal black holes

- If this were the whole story, it would be of limited interest since it would be like studying just the ground state of a quantum mechanical system without any finite energy excitations.
- However, for black holes with small deviations away from extremality, a universal description also emerges by keeping leading order effect of backreaction. [Almheiri, Polchinski '14]
- It is obtained by correcting Einstein-Hilbert action by Jackiw-Teitelboim (JT) gravity action

$$I_{JT} = C_{JT} \int d^2x \sqrt{-g} \Phi \left(R + \frac{2}{\ell_2^2} \right)$$

- The onshell JT action is given by Schwarzian action [Maldacena, Stanford, Yang '16]

$$I_{\text{Sch}} = C_{\text{Sch}} \int d\tau \{f(\tau), \tau\} , \quad \{f(u), u\} = \frac{f'''}{f''} - \frac{3}{2} \left(\frac{f''}{f'} \right)^2 .$$

$f(\tau)$ represents the reparametrizations of boundary AdS_2 given by

$$ds^2 = d\rho^2 - \left(e^{\rho/\ell_2} + \frac{\ell_2}{2} \{f(\tau), \tau\} e^{-\rho/\ell_2} \right) d\tau^2$$

- It also famously captures the low-energy regime of SYK model.
- The Schwarzian action describes a quantum mechanical model that is exactly solvable. The partition function is one-loop exact [Stanford,

Witten '17]

$$Z_{\text{Schw}} = \left(\frac{\pi}{\tilde{\beta}} \right)^{3/2} e^{\pi^2/\tilde{\beta}} , \quad \tilde{\beta} = \frac{\beta}{2C_{\text{Sch}}} .$$

Near-extremal QFTs

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- We will refer to this regime as near-extremal/ Schwarzian regime of the dual field theory. In this regime, the field theory computation of quantities like partition function and correlation functions should be consistent with Schwarzian theory.
- This regime should involve studying thermal field theory close to zero temperature amongst other limits.

- We will address the question of existence of near-extremal limit of QFTs by looking at QFTs in two dimensions.
- We will consider CFTs, warped CFTs and Carrollian CFTs.
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- A common characteristic of these theories is that there is a Virasoro factor in their symmetry algebra.
- **Near-extremal CFTs** For a large class of 2d CFTs with large central charge, there exists a regime of parameters, namely, low temperature and large angular momentum where partition function and correlation functions are determined by Schwarzian theory. [Ghosh, Maxfield, Turiaci '19]
- These results are in line with the bulk computations of near-extremal BTZ.

- **Near-extremal Warped CFTs (WCFTs)** For a large class of non-unitary WCFTs with large central charge, there exists a regime of parameters, where partition function is determined by warped-Schwarzian theory. It matches the low energy behavior of complex SYK model. [AA, Castro, Detournay, Mühlmann '22]
- These results are also in line with the bulk near-extremal limit of warped black holes. Based on this we conjectured that only non-unitary WCFTs have interesting holographic duals. [AA, Castro, Detournay, Mühlmann '23]

- **Near-extremal Carrollian CFTs (CCFTs):** CCFTs also contain a universal “near-extremal” sector. Partition function is dominated by vacuum character and looks similar to the Schwarzian partition function. [AA, Bagchi, Detournay, Grumiller, Riegler, Simon '25]
- One might wonder what is the bulk interpretation of this “near-extremal” regime of CCFTs.
- The putative bulk is 3d asymptotically flat spacetime. There are no black holes in 3d in absence of cosmological constant.
- There are flat space cosmologies but they only have one horizon.
- We argue that the bulk interpretation is given in terms of O –plane orbifolds which are certain solutions of 3d flat gravity. [Cornalba, Costa '05]

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- In all three cases, there is another universal regime, i.e., Cardy regime.

Near- extremal Carroll CFT₂

Carroll Symmetries

- Carroll symmetries arise as the $c \rightarrow 0$ limit of Poincare symmetries, making space absolute and time relative. [Lévy-Leblond '65, Sen Gupta '66]
- Carroll symmetries are associated to null hypersurfaces and are thus relevant for flat space holography.
- Carroll symmetries arise on a Carroll manifold defined by the pair $(\tau^\mu, h_{\mu\nu})$ a degenerate symmetric tensor $h_{\mu\nu}$ and a vector τ^μ generating the kernel of $h_{\mu\nu}$,

$$h_{\mu\nu}\tau^\mu = 0.$$

Conformal Carroll symmetries

- Carroll algebra is generated by the isometries of the Carroll structure,
 $\mathcal{L}_\xi \tau^\mu = \mathcal{L}_\xi h_{\mu\nu} = 0.$

- For d -dimensional flat Carroll spacetimes, $\tau^\mu = \partial_t$ and $ds^2 = \sum_i^{d-1} (dx^i)^2$,
Conformal Carroll algebra, $\mathfrak{ccar}_d$, is generated by the isometries

$$\mathcal{L}_\xi \tau^\mu = -\lambda \tau^\mu, \quad \mathcal{L}_\xi h_{\mu\nu} = 2\lambda h_{\mu\nu}.$$

- $\mathfrak{ccar}_d$, is isomorphic to the $(d+1)$ -dimensional
Bondi–van der Burgh–Metzner–Sachs (BMS) algebra, $\mathfrak{bms}_{d+1}$, which is
the algebra of $d+1$ dimensional asymptotically flat spacetimes. [Duval, Gibbons,
Horvathy '14].

- We are interested in $d = 2$, i.e., $\mathfrak{bms}_3$ or $\mathfrak{ccat}_2$. It consists of semidirect sum of Virasoro and an abelian algebra. Expanding the generators in Fourier modes

$$[L_n, L_m] = (n - m) L_{n+m} + \frac{c_L}{12} (n^3 - n) \delta_{n+m, 0}$$

$$[L_n, M_m] = (n - m) M_{n+m} + \frac{c_M}{12} (n^3 - n) \delta_{n+m, 0}$$

$$[M_n, M_m] = 0$$

- L_n s are superrotations and M_n s are supertranslations.
 $L_0, L_{\pm 1}, M_0, M_{\pm 1}$ generate global subalgebra $\mathfrak{isl}(2, \mathbb{R})$ corresponding to the isometries of 3d Minkowski. $c_L = 0$ and $c_M \neq 0$ for Einstein gravity.
- The 2d QFTs with these symmetries are Carroll CFT₂ (CCFT₂)—natural holographic duals to 3d asymptotically flat gravity.

Carroll Partition Function, modular transformations

- We define the partition function of a Carroll CFT₂ as

$$Z_{\text{ccar}}(\beta_{\text{car}}, \theta_{\text{car}}) = \text{Tr} e^{-\beta_{\text{car}} H + i\theta_{\text{car}} J},$$

where β_{car} is the inverse Carroll temperature, θ_{car} is the angular potential and

$$H = M_0, \quad J = L_0.$$

- One can obtain Carroll CFT₂ from a Lorentzian CFT₂ in the limit of vanishing speed of light

$$\begin{aligned} t &\rightarrow \epsilon t, & \phi &\rightarrow \phi, & \epsilon &\rightarrow 0. \\ L_n &= \mathcal{L}_n - \bar{\mathcal{L}}_{-n}, & M_n &= \epsilon(\mathcal{L}_n + \bar{\mathcal{L}}_{-n}) \\ c_L &= c - \bar{c}, & c_M &= \epsilon(c + \bar{c}), \\ \beta_{\text{CFT}} &= \beta_{\text{car}}, & \theta_{\text{CFT}} &= \epsilon\theta_{\text{car}} \end{aligned}$$

- This limiting procedure also provides a way to obtain Carroll modular transformations. We start with CFT_2 modular transformations $\text{PSL}(2, \mathbb{Z})$,

$$\tau \rightarrow \frac{a\tau + b}{c\tau + d} \quad ad - bc = 1 \quad \text{with} \quad a, b, c, d \in \mathbb{Z}.$$

- The relation between CFT_2 and Carrollian modular parameters, $\sigma \equiv i\beta_{\text{car}}/2\pi$, $\rho \equiv \theta_{\text{car}}/2\pi$, yields the expansion

$$\tau = \sigma + \epsilon \rho \rightarrow \frac{a\sigma + b}{c\sigma + d} + \epsilon \rho \frac{ad - bc}{(c\sigma + d)^2} + \mathcal{O}(\epsilon^2),$$

leading to Carroll modular transformations

$$\sigma \rightarrow \frac{a\sigma + b}{c\sigma + d} \quad \rho \rightarrow \frac{\rho}{(c\sigma + d)^2}.$$

σ transforms like τ and ρ transforms like imaginary part of τ .

- If σ is thought of as coordinate on the base manifold, $\mathcal{H}$, on which Carroll modular transformations act, ρ transforms like a vector in $\mathcal{T}_\sigma \mathcal{H}$.
- Similar to a thermal CFT₂ defined on upper half plane, it is useful to think about thermal Carroll CFT₂ to be defined on the complex upper half plane and the corresponding tangent space.
- The Carroll modular group is generated by composing S and T transformations

$$S : \sigma \rightarrow -\frac{1}{\sigma} \quad \rho \rightarrow \frac{\rho}{\sigma^2} \quad T : \sigma \rightarrow \sigma + 1 \quad \rho \rightarrow \rho.$$

- They satisfy the usual identities

$$S^2 = \mathbb{1} \quad (ST)^3 = \mathbb{1}$$

Carroll Characters

- The states in a 2d Carrollian CFT are labelled with the eigenvalues of L_0 and M_0 :

$$L_0|\Delta, \xi\rangle = \Delta|\Delta, \xi\rangle \qquad M_0|\Delta, \xi\rangle = \xi|\Delta, \xi\rangle .$$

- One can construct highest weight representations by defining primary states as

$$L_n|\Delta, \xi\rangle_p = M_n|\Delta, \xi\rangle_p = 0 \qquad \forall n > 0$$

- A generic descendant takes the form

$$|\Psi\rangle = L_{-n_1}L_{-n_2}\dots L_{-n_q}M_{-m_1}M_{-m_2}\dots M_{-m_r}|\Delta, \xi\rangle_p \qquad n_i, m_j > 0$$

Characters for highest weight representations

- For non-vacuum states, the Carroll characters are given by

$$\chi_{(c_M, c_L, \xi, \Delta)}(\rho, \sigma) = \frac{e^{-2\pi i(\sigma \frac{c_L-2}{24} + \rho \frac{c_M}{24})} e^{2\pi i(\sigma \Delta + \xi \rho)}}{\eta(\sigma)^2}$$

where $\eta(\sigma)$ is the Dedekind eta-function.

- For the vacuum ($\Delta = 0, \xi = 0$), we have

$$\chi_{(c_L, c_M, 0, 0)}(\sigma, \rho) = \frac{e^{-2\pi i(\sigma \frac{c_L-2}{24} + \rho \frac{c_M}{24})}}{\eta(\sigma)^2} (1 - e^{2\pi i \sigma})^2.$$

- The Carroll partition function is then the sum of Carroll characters

$$Z_{\text{ccar}}(\sigma, \rho) = \sum_{\text{primaries}} D(\Delta, \xi) \chi_{(c_L, c_M, \Delta, \xi)}(\sigma, \rho).$$

where $D(\Delta, \xi)$ is multiplicity of the primaries with weight (Δ, ξ) .

Vacuum Dominance and Universal Carroll Sectors

Are there any universal sectors present in a generic class of 2d Carroll CFTs?

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- Modular invariance of the 2d Carrollian partition function under the S - transformation implies

$$Z_{\text{ccar}}(\sigma, \rho) = Z_{\text{ccar}}\left(-\frac{1}{\sigma}, \frac{\rho}{\sigma^2}\right) = \sum_{\text{primaries}} \chi_{(c_L, c_M, \Delta, \xi)}\left(-\frac{1}{\sigma}, \frac{\rho}{\sigma^2}\right)$$

where we wrote the partition function in terms of characters in the S -dual channel.

- We look for regimes where the vacuum character is the dominant contribution to the partition function in the S -dual channel

$$\frac{\chi_{(c_L, c_M, \Delta, \xi)}}{\chi_{(c_L, c_M, 0, 0)}}\left(-\frac{1}{\sigma}, \frac{\rho}{\sigma^2}\right) \rightarrow 0, \quad \forall \Delta, \xi \neq 0 .$$

- It turns out that there are six regimes/ sectors where this happens

Sector	β	Ω	θ	$\beta\Omega^2$	Δ	ξ
Cardy	0^-	< 0	$i \cdot 0$	≤ 0	≥ 0	> 0
hard	< 0	0^-	$i \cdot 0$	0^-	≥ 0	> 0
cold	$-\infty$	0^-	$\in i\mathbb{R}$	0^-	≥ 0	> 0
Schwarzian	$-\infty$	0^-	$i \cdot \infty$	0^-	≥ 0	> 0
Boltzmann	> 0	$i \cdot 0^\pm$	$\in \mathbb{R}$	0^-	arbitrary	> 0
hot	0^+	$\in i\mathbb{R}$	0	0^-	arbitrary	> 0

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- Carroll temperature is negative for all of the regimes except for the Boltzmann and the hot sectors.

- The partition function in the Cardy regime is well-approximated by

$$Z_{\text{Cardy}}(\beta, \Omega) \approx \exp \left[\frac{\pi^2}{6} \left(\frac{c_L}{|\beta\Omega|} + \frac{c_M}{|\beta\Omega^2|} \right) \right] .$$

- The partition function in the Cardy regime is well-approximated by

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- In the Cold regime, the partition function is

$$Z_{\text{cold}}(\beta, \Omega) \approx \exp \left[\frac{\pi^2}{6} \left(\frac{c_L - 2}{|\beta\Omega|} + \frac{c_M}{|\beta\Omega^2|} \right) \right] \left(\frac{1 - e^{-\frac{4\pi^2}{|\beta\Omega|}}}{\eta\left(\frac{2\pi i}{\beta\Omega}\right)} \right)^2 .$$

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- In both of the regimes regimes, one finds BMS-Cardy formula for the entropy to the leading order excluding logarithmic terms

$$S_{\text{Cardy}} \approx S_{\text{Cold}} \approx \frac{\pi^2}{3} \left(\frac{c_L}{|\beta\Omega|} + \frac{c_M}{|\beta\Omega^2|} \right) .$$

Schwarzian sector of CCFT_2

- The partition function in the Schwarzian sector is given by [AA, Bagchi, Detournay, Grumiller, Riegler, Simon '25]

$$Z_{\text{Schwarzian}}(\beta, \Omega) \approx \frac{(2\pi)^5}{(\beta\Omega)^3} \exp \left[\frac{\beta\Omega}{12} + \frac{\pi^2}{6} \left(\frac{c_L - 2}{\beta\Omega} + \frac{c_M}{|\beta\Omega^2|} \right) \right] .$$

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- The prefactor indicates the contribution of six zero modes corresponding to six global generators $M_{0,\pm 1}, L_{0,\pm 1}$.
- This is in contrast to the 3 zero modes of the Schwarzian theory.

Holographic Interpretation

- There is a limit of BTZ metric

$$r_{\pm} = \sqrt{\ell} \hat{r}_{\pm} , \quad \ell \rightarrow \infty$$

which leads to $M \rightarrow 0$, $J = \frac{\hat{r}_+ \hat{r}_-}{4G}$.

- The geometry is an O – plane orbifold (O – fold) of flat space that has naked CTCs [Cornalba, Costa '03 '05]

$$ds^2 = -8GJ \, dt \, d\varphi + r^2 \, d\varphi^2 + \frac{r^2}{(4GJ)^2} \, dr^2 \quad \varphi \sim \varphi + 2\pi .$$

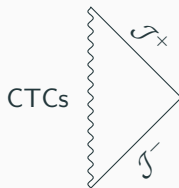


Figure 1: Penrose diagram of O –folds.

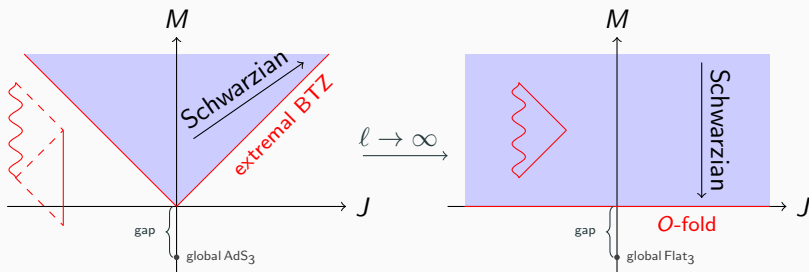


Figure 2: Gravity side of Schwarzschild sectors in AdS₃/CFT₂ (left) and Flat₃/CCFT₂ (right)

Summary and future directions

- We observed that three different two-dimensional QFTs have a universal near-extremal/ Schwarzian-like sector; different from the universal Cardy sector of these theories.
- Common characteristics of these theories that lead to a Schwarzian-like sector: Modular symmetry, atleast one copy of Virsoro, and two dimensions.
- The holographic duals are near-extremal BTZ black holes for CFTs and warped black holes for Warped CFTs while it is the O -plane orbifold for the Carrollian CFTs.
- Can one find such sectors in other QFTs, particularly in higher dimensions?
- There should be a mechanism for this to happen since higher dimensional near-extremal blackholes also show the Schwarzian behavior and their putative duals are higher dimensional QFTs.

Thank you!

	induced	real Z	highest-weight	real Z
Cardy	✗	n.a.	✓	✓
hard	✗	n.a.	✓	✓
cold	✗	n.a.	✓	✓
Schwarzian	✗	n.a.	✓	✓
Boltzmann	✗✓	✓ if $c_L = 0$	✗✓	✗
hot	✗✓	✓ if $c_L = 0$	✗✓	✗

Table 2: CCFT sectors vs. CCFT representations

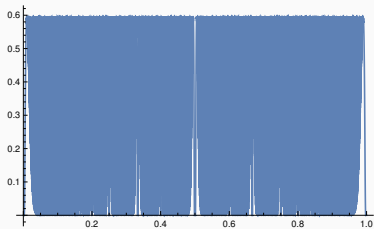
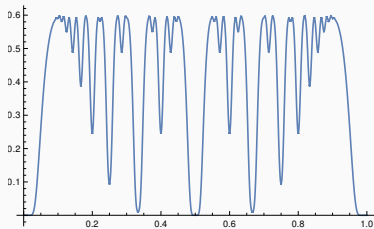


Figure 3: Plots of $\sqrt{\epsilon} |\eta(x + i\epsilon)|^2$ with $x \in [0, 1]$. Left: $\epsilon = 10^{-2}$. Right: $\epsilon = 10^{-4}$.

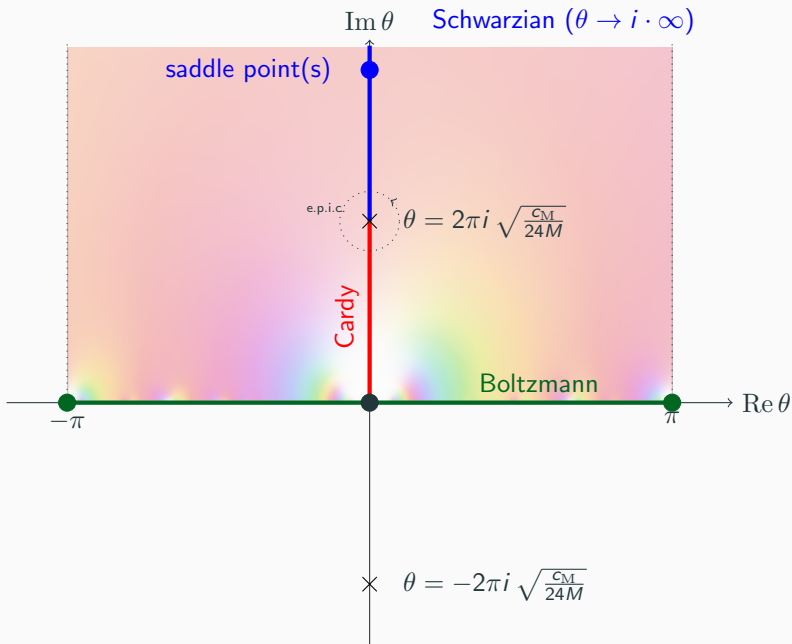


Figure 4: Analytic structure of partition function in complex θ -plane

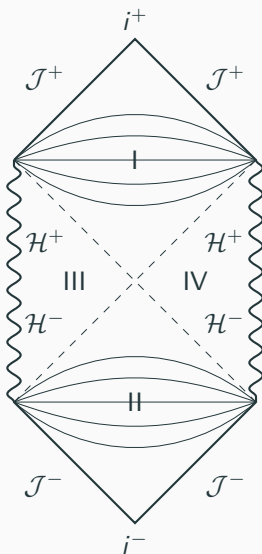


Figure 5: 2d slice of Penrose diagram for flat space cosmologies

CFT ₂ rep.	Virasoro central charge	CCFT ₂ rep.	BMS central charge
HW	$0 < \bar{c} = c < \infty$	Induced	$c_L = 0, c_M = 0$
HW	$0 < \bar{c} < c < \infty$	Induced	$c_L = c - \bar{c}, c_M = 0$
<i>HW</i>	$c = \bar{c} \rightarrow +\infty$	<i>Induced</i>	$c_L = 0, c_M = \text{finite}$
HW	$c = -\bar{c} \rightarrow +\infty$	Induced	$c_L \rightarrow +\infty, c_M = 0$
Flipped	$0 < \bar{c} = c < \infty$	HW	$c_L = 2c, c_M = 0$
Flipped	$0 < \bar{c} < c < \infty$	HW	$c_L = c + \bar{c}, c_M = 0$
Flipped	$c = \bar{c} \rightarrow +\infty$	HW	$c_L \rightarrow +\infty, c_M = 0$
Flipped	$c = -\bar{c} \rightarrow +\infty$	HW	$c_L = 0, c_M = \text{finite}$
<i>Flipped</i>	$c - \bar{c} \rightarrow +\infty, c + \bar{c} = 2a$	<i>HW</i>	$c_L = 2a, c_M = \text{finite}$

Table 3: Induced and highest-weight representations in CCFT₂ as limit of CFT₂. **Bold:** vanilla CFT₂ and its CCFT₂ limit. *Italics:* flat space Einstein gravity (with quantum corrected central charges)