

Generalized Siegel-Weil formula & Holography

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Based on 2104.14710 (JHEP 2021, 44 (2021)) + WIP

w/ M. Ashwinkumar, M. Dodelson, J. Leedom & M. Yamazaki

Workshop on Black Holes, BPS and Quantum Information

IST Lisbon

The Lisbon feel



- 1 “Canonical” idea of holography: CFT \longleftrightarrow Gravity
- 2 When do you consider an ensemble average of CFT’s? What is its holographic dual?
- 3 When the CFT moduli space is a locally symmetric space

$$\mathcal{M}_{p,q} = O(p, q; \mathbb{Z}) \backslash O(p, q; \mathbb{R}) / (O(p; \mathbb{R}) \times O(q; \mathbb{R})),$$

the average over CFT ensembles is an exotic Abelian Chern-Simons gauge theory coupled to topological gravity

- 4 The CFT ensemble average computes $3d$ Chern-Simons invariants

- ① A physical motivation: Wormholes and ensemble averages?
- ② Number theory: Lattices, quadratic forms, theta functions, Eisenstein series
- ③ The (generalized) Siegel-Weil formula
- ④ Averaging over CFT's associated to indefinite quadratic forms
- ⑤ Averaging over CFT's associated to positive definite quadratic forms
- ⑥ Averaging over fermionic CFT's and spin Chern-Simons invariants

Wormholes and ensembles

The study of ensembles in gravity is not new.

Topological fluctuations (wormholes) lead to quantum decoherence
[Hawking; Giddings, Strominger; Lavreshvili, Rubakov, Tinyakov]

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This can be avoided if one considers “bounce” wormholes in Euclidean path integral and integrates over them like in an ensemble [Coleman; Strominger, Giddings]

The factorization problem

Consider two decoupled left/right moving CFT's ($\text{CFT}_{L/R}$).



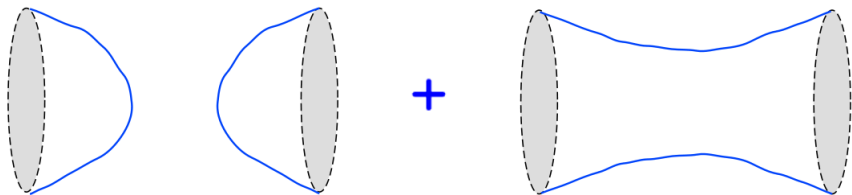
Partition functions are expected to holomorphically factorize.

$$Z_{tot} = Z_L \times Z_R.$$

The factorization problem

However in the case of the bulk dual, we expect to see wormhole contributions.

[Maldacena, Maoz]



Wormholes break hol. factorization, maybe don't include them?

The factorization problem

But wormholes are also valid gravitational solutions whose inclusion in the gravitational path integral is useful.

[Maldacena,Qi; Saad, Shenker, Stanford + Page curve papers]

So what do we do?

This basically boils down to a deep issue in holography - we don't understand the rules of the duality.

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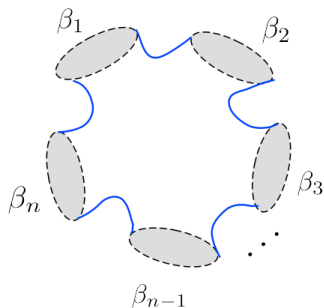
When do we need to consider ensembles?

A comment on JT gravity

In the case of JT gravity/SYK models:

There is no factorization problem if one considers the **ensemble average** of the boundary CFT.

[Saad, Shenker, Stanford; Stanford, Witten]



$$Z_{JT}(\beta_1, \dots, \beta_n) = \left\langle \prod_{i=1}^n \text{Tr} e^{-\beta_i H} \right\rangle,$$

β_i : lengths of the geodesics on the hyperbolic Riemann surface.

Averaging in three dimensions?

Gravitational path integral with T^2 boundaries

[Cotler, Jensen]

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But what moduli space of CFT's do you average over?

Most non-supersymmetric 2d CFT's do not admit a moduli space.

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Gravitational path integral with T^2 boundaries

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But what moduli space of CFT's do you average over?

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However, if one considers the space of CFT's whose target space is toroidal (Abuse of notation for clarity: $T^d \times T^d$), there is a moduli space.

This is moduli space of toroidal conformal field theories
(Narain Moduli Space)

[Narain; Narain, Sarmadi, Witten]

Averaging in three dimensions?

Averaging over moduli spaces whose target is toroidal has been studied extensively with many different generalizations. [Afkhami-Jeddi et.al; Maloney, Witten; Maloney, Datta et.al; Hartman et.al; Maloney, Collier]

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By considering moduli spaces of indefinite lattices (Abuse of notation again: $T^d \times T^{d'}$), we expect richer phenomena to enter from due to the number theory of CFT partition functions and in the bulk. [ADKLY]

Physically, this is due to gravitational anomalies.

But before we proceed further, let us recap the following:

① What is... *a Narain Moduli Space*?

[Giveon, Porrati, Rabinovici; Wendland (PhD Thesis)]

② Integer lattices and quadratic forms

[Andrianov (Quadratic forms and Hecke Operators)]

③ Modular forms associated to lattices and quadratic forms

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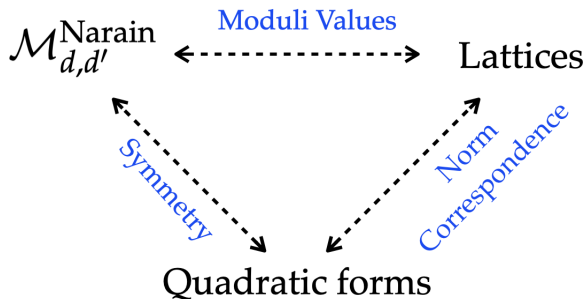
[Andrianov (Quadratic forms and Hecke Operators)]

③ Modular forms associated to lattices and quadratic forms

Disclaimer: I should point out that these mathematical techniques discussed in this talk are not new to string theorists

[c.f. String field theory literature (2-loop string perturbation by D'Hoker, Phong), Papers by Green, Vanhove et.al; Obers, Pioline, \dots + Kachru, Tripathy for Siegel-Weil theorem]

Key point to remember



One can talk about Narain moduli spaces, lattices and quadratic forms equivalently.

What is a Narain moduli space?

- It is important to distinguish the moduli space of tori (\mathcal{M}_{tori}^d) from the moduli space of toroidal CFT's of central charge $c = \bar{c} = d$ ($\mathcal{M}_{Narain}^d = \mathcal{M}_{d,d}$).

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- However, there exists a surjection between the moduli space of d -tori and the moduli space of $T^d \times T^d$ toroidal CFTs.

$$\exists \mathcal{M}_{\text{tori}}^d \twoheadrightarrow \mathcal{M}_{\text{Narain}}^d$$

[Huybrechts - Kaiserslautern Lecture]

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- An analogous surjection also exists for moduli space of $T^p \times T^q$ tori and CFT's with these tori as target.
- The Narain moduli space is physically the moduli space of a CFT whose field content take values in some integral (unimodular) (even) lattice, known as the Narain lattice.

What is a Narain moduli space?

- The Narain moduli space generically has the form of a the locally symmetric space:

$$\mathcal{M}_{p,q} = \underbrace{O(p, q; \mathbb{Z})}_{\text{Aut}(\Lambda^{p,q})} \backslash O(p, q; \mathbb{R}) / (O(p; \mathbb{R}) \times O(q; \mathbb{R}))$$

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- The moduli take values in an integer lattice $\Lambda^{p,q}$.

Ex: In string compactification, these lattices are unimodular lattices due to the requirement of modular invariance of CFT.

A modular form of weight k is a holomorphic function $f(\tau) : \mathbb{H} \rightarrow \mathbb{C}$, $\mathbb{H} = \{\tau \in \mathbb{C} \mid \Im \tau > 0\}$, which transforms as

$$f(\tau) \rightarrow f\left(\frac{a\tau + b}{c\tau + d}\right) = (c\tau + d)^k f(\tau),$$
$$\forall \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \Gamma_0(N), N \geq 1$$

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Example: The Holomorphic Eisenstein Series (wt. k)

$$E_k(\tau) = \sum_{(m,n) \in \mathbb{Z}^2 \setminus (0,0)} \frac{1}{(m\tau + n)^k}.$$

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Example: Non-holomorphic Eisenstein Series (wt. (k, k))

$$E_{2k}(\tau, \bar{\tau}) \Big|_{s=0} = \frac{1}{2} \sum_{(m,n) \neq (0,0)} \frac{\Im \tau^k}{|m\tau + n|^{2k}}$$

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- If $\det Q_{ij} = \pm 1$, the lattice is said to be unimodular or self-dual.

Here, $\Lambda^{p,q}$ is known as an indefinite lattice if $p, q \neq 0$, $p \neq q$.

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- This is a definite theta function which is a modular form of weight $p/2$ on $\Gamma_0(N)$ where N is the level of the lattice i.e., it is the smallest integer for which $\Lambda = N\Lambda^*$.
- For indefinite lattices $\Lambda^{p,p'}$, we can define something analogous (known as an indefinite theta function) which is a non-holomorphic modular form of weight $(\frac{p}{2}, \frac{p'}{2})$ on $\Gamma_0(N)$ where N is again the level.

[Vigneras]

Quadratic forms and Lattices

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[Jonathan Hanke's Arizona Winter School notes (Quadratic Forms and Automorphic Forms)]

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- A BQF of level $N \longleftrightarrow$ A lattice whose theta function is modular on $\Gamma_0(N)$.
- By choosing higher representations of the quadratic form, one can construct not just θ -functions but also Siegel-Theta functions that are modular under $Sp(2g, \mathbb{Z})$. These represent higher genus analogues. (For $g = 1, Sp(2, \mathbb{Z}) \cong SL(2, \mathbb{Z})$).

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- Let Q be associated to $\Lambda^{p,q}$.

$$Q(x) = \sum_{i,j=1}^{p+q} Q_{ij}x^i x^j, \quad Q(x, y) = \frac{1}{2} (Q(x + y) - Q(x) - Q(y))$$

Let $\Lambda^{p,q} = \Lambda_L^p \oplus \Lambda_R^q$. $Q_L(x) = Q(x)|_{x \in \Lambda_L^p}$ and $Q_R(x) = Q(x)|_{x \in \Lambda_R^q}$

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Here, I seem to always work with an orthonormal basis. This is because $\exists g \in GL(p+q, \mathbb{F})$ that allows conjugation to this basis.

Indefinite theta functions and lattices

Majorize the quadratic form: $H(x) = Q_L(x) + Q_R(x)$.

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The Siegel-Narain Theta (Riemann theta)

$$\begin{aligned}\theta(\tau, \bar{\tau}; m) &= \sum_{x \in \Lambda} e^{i\pi\tau_1 Q(x) - \pi\tau_2 H(x)} \\ &= \sum_{x \in \Lambda} q^{Q_L(x)/2} \bar{q}^{Q_R(x)/2}, \quad q := e^{2\pi i \tau}\end{aligned}$$

m is the point in moduli space.

More generically, we can also shift the lattice element by an element of the dual lattice Λ^*

Indefinite theta functions and lattices

On the level of quadratic forms: $\Lambda^* = \{y \mid Q(x, y) \in \mathbb{Z}, \forall x \in \Lambda\}$.

Easily see that $\Lambda \subset \Lambda^*$ (unless $\Lambda = \Lambda^*$ i.e., unimodular/self-dual)

Discriminant group $D = \Lambda^* / \Lambda$

The generic Siegel-Narain Theta

$$\theta_h(\tau, \bar{\tau}; m) = \sum_{x \in \Lambda} e^{i\pi\tau_1 Q(x+h) - \pi\tau_2 H(x+h)}$$

m is the point in moduli space, $h \in D$.

Modularity of indefinite theta functions

(Combining all hol. and anti-hol. periods)

$$T : \theta_h(\tau + 1; m) = e^{i\pi Q(h,h)} \theta_h(\tau; m)$$

$$S : \theta_h\left(\frac{-1}{\tau}; m\right) = \frac{e^{-i\pi(p-q)/4}}{\sqrt{|\det Q|}} \tau^{p/q} \bar{\tau}^{q/2} \sum_{h' \in D} e^{(-2\pi i Q(h, h'))} \theta_{h'}(\tau; m)$$

Also remind ourselves of the modularity properties of the Dedekind eta

$$\eta(\tau) = q^{1/24} \sum_{n=1}^{\infty} (1 - q^n)$$

$$T : \eta(\tau + 1) = e^{2\pi i/24} \eta(\tau), \quad S : \eta\left(\frac{-1}{\tau}\right) = \sqrt{-i\tau} \eta(\tau)$$

The modularity of $\eta^p \bar{\eta}^q$ is what gives us the gravitational anomaly.
Rank $24\mathbb{Z}$ lattices have no such anomaly.

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- How does moduli dependence enter here?

Now, we let $\Lambda^{p,q}$ to be the Narain lattice.

The associated quadratic form/ norm/ theta function becomes a function of the moduli now.

Averaging over a moduli space

One can average over the moduli parametrized by $\mathcal{M}_{d,d}$

[Maloney, Witten; Afhkami-Jeddi et.al; Maloney, Datta et.al; Maloney Collier; Hartman et.al; ADKLY]

But what does it mean to consider the “ensemble average”?

Integrate a function with moduli dependence over moduli space and divide by the volume of moduli space

Averaging over Narain moduli spaces

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$Z_{CFT}(\Omega, \bar{\Omega})$: The non-holomorphic partition function, where $\Omega, \bar{\Omega}$ correspond to the period matrices of the genus g Riemann surfaces. Ex: $g = 1 \Rightarrow (\Omega, \bar{\Omega}) = (\tau, \bar{\tau})$

@ genus $g = 1$, the moduli "m" dependent partition function is given by:

$$Z_{CFT}(\tau, \bar{\tau}; m) = \frac{\theta(\tau, \bar{\tau}; m)}{\eta(\tau)^p \bar{\eta}(\bar{\tau})^q}$$

Therefore, averaging the partition function is a problem of averaging the theta function.

The Siegel-Weil Formula

The modulus m takes values in

$$G/H = O(p, q; \mathbb{R}) / (O(p; \mathbb{R}) \times O(q; \mathbb{R})).$$

There is a G -invariant Haar measure $[dm]$ which is precisely the [Zamolodchikov metric](#).

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There is a G -invariant Haar measure $[dm]$ which is precisely the **Zamolodchikov metric**. Set $\tau = \text{const}$.

$$\langle Z_{\text{CFT}}(\tau) \rangle = \frac{1}{\text{vol}(\mathcal{M})} \int_{\mathcal{M}} [dm] Z_{\text{CFT}}(\tau, \bar{\tau}; m)$$

$$\text{vol}(\mathcal{M}) = \int_{\mathcal{M}} [dm]$$

[More on Zamolodchikov metrics & volumes: Moore]

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[\[More on Zamolodchikov metrics & volumes: Moore\]](#)

Since the Dedekind eta is moduli independent:

$$\langle \theta(\tau, \bar{\tau}) \rangle = \frac{1}{\text{vol}(\mathcal{M})} \int_{\mathcal{M}} [dm] \theta(\tau, \bar{\tau}; m)$$

(Above expression also holds for shifted Siegel-Narain theta functions.)

So what is the average of the theta function?

The Siegel-Weil Formula

Theorem ("Generalized Siegel-Weil"):

The average of an indefinite theta function associated to an indefinite lattice of signature (p, q) is the non-holomorphic Eisenstein series of weight $(\frac{p}{2}, \frac{q}{2})$ that is modular on $\Gamma_0(N)$, where N is the level of the lattice/quadratic form. [Siegel; Weil]

$$\langle \theta_{Q,h}(\tau, \bar{\tau}) \rangle = \frac{1}{\text{vol}(\mathcal{M})} \int_{\mathcal{M}} [dm] \theta_{Q,h}(\tau, \bar{\tau}; m) = E_{Q,h}(\tau, \bar{\tau})$$

where $E_{Q,h}(\tau, \bar{\tau}) = \delta_{h \in \Lambda} + \sum_{(c,d)=1, c>0} \frac{\gamma_{Q,h}(c,d)}{(c\tau + d)^{\frac{p}{2}} (c\bar{\tau} + d)^{\frac{q}{2}}}$,

$$\underbrace{\gamma_{Q,h}(c,d)}_{\text{Quadratic Gauss Sum}} = e^{i\pi \frac{p-q}{4}} |\det Q|^{-\frac{1}{2}} c^{-\frac{p+q}{2}} \sum_{x \in \Lambda/c\Lambda} \exp\left(-\pi i \frac{d}{c} Q(x+h)\right)$$

[ADKLY; For QGS: Turaev, Deloup]

Average CFT partition function

So, the average partition function of toroidal CFT's

$$\langle Z_{Q,h}^{\text{CFT}}(\tau, \bar{\tau}) \rangle = \frac{\langle \theta_{Q,h}(\tau, \bar{\tau}) \rangle}{\eta(\tau)^p \bar{\eta}(\bar{\tau})^q} = \frac{E_{Q,h}(\tau, \bar{\tau})}{\eta(\tau)^p \bar{\eta}(\bar{\tau})^q}$$

Modularity properties of this averaged partition function are easy to deduce from below. [ADKLY]

$$T : E_{Q,h}(\tau + 1, \bar{\tau} + 1) = e^{i\pi Q(h,h)} E_{Q,h}(\tau, \bar{\tau})$$

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Non-trivialities: In considering an indefinite lattice, we have gravitational anomalies. The presence of these anomalies makes the averaged PF more intricate.

Holographic interpretation

- We can also match symmetries. The $U(1)^p \times U(1)^q$ boundary symmetry becomes a gauge symmetry in the bulk.

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In classification of 2d interacting topological phases, the Q_{ij} is indeed the K -matrix. It is remarkable that it can be derived from averaging.

Holographic interpretation

- Let us consider even, indefinite lattices for the moment.
- Naïvely, we expect the bulk partition function to be a sum over geometries ($PSL(2, \mathbb{Z})$ black holes). [\[Maloney, Witten \(2008\)\]](#)

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- A matrix $\begin{pmatrix} a & b \\ c & d \end{pmatrix} \in PSL(2, \mathbb{Z})$ labels each geometry as $M_{(c,d)}$. (Ex: $M_{(1,0)}$: BTZ black hole, $M_{(0,1)}$: Thermal AdS_3)

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- So the sum over (c, d) in the Eisenstein series can be interpreted as a sum over geometries in the bulk.

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- In the canonical quantization of $U(1)_k$ Chern-Simons theory, the space of states at level k is spanned by $|h\rangle$, where $h = 0, \frac{1}{k}, \dots, \frac{(k-1)}{k}$
- This corresponds to a path integral over a solid torus with a kh Wilson line insertion in the bulk.
- The modular group acts on these states as

$$T|h\rangle = e^{i\pi kh^2} e^{-2\pi i/24} |h\rangle$$
$$S|h\rangle = \frac{1}{\sqrt{k}} \sum_{h' \in \Lambda^*/\Lambda} e^{-2\pi i kh h'} |h'\rangle$$

Holographic interpretation

- For the case of the $U(1)^q \times U(1)^q$ Abelian Chern-Simons theory, this generalizes to

$$T|h; m\rangle = e^{i\pi Q(h,h)} e^{-2\pi i(p-q)/24} |h; m\rangle$$
$$S|h; m\rangle = \frac{1}{\sqrt{|\det Q|}} \sum_{h' \in \Lambda^*/\Lambda} e^{-2\pi i Q(h,h')} |h; m\rangle$$

- Since the S and T matrices generate the group $SL(2, \mathbb{Z})$, we can generalize the action of any element $g \in SL(2, \mathbb{Z})$ on $|h; m\rangle$ as

$$U(g)|h; m\rangle = \frac{1}{\sqrt{|\det Q|}} \sum_{h' \in \Lambda^*/\Lambda} U(g)_{h,h'} |h; m\rangle$$

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$$\langle 0|U(g)|h'\rangle^* = e^{2\pi i(p-q)\Phi(g)/24 - i\pi(p-q)/4} \gamma_{Q,h}(c, d),$$
$$\begin{pmatrix} a & b \\ c & d \end{pmatrix} \in SL(2, \mathbb{Z}),$$

and $\Phi(g)$ is the Rademacher-Phi function: phase picked up by the Dedekind eta under modular transformation of an arbitrary element $g \in SL(2, \mathbb{Z})$.

[More on $\Phi(g)$: Dedekind's book; Dabholkar, Murthy, Gomes (2014)]

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- These are Lens spaces $L(c, d)$ computations and one can compute invariants of the three manifold invariants using these techniques. Ex: $U(g)_{0,0}$ computes the η -invariant of the 3-manifold.

Holographic computation of averaged partition function

For the case of an even lattice, the bulk partition is given by

$$\langle Z_{bulk} \rangle = \sum_{g \in \Gamma_\infty \backslash PSL(2, \mathbb{Z})} \frac{U(g)_{0,h}^*}{\eta(g \cdot \tau)^p \bar{\eta}(g \cdot \bar{\tau})^q}$$

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- This agrees with the average of the CFT partition function.
- There are some subtleties here that need to be better understood.
- In particular, the holographic match demands that the gauge group of the Chern-Simons theory is $U(1)^{p+q}$ and not \mathbb{R}^{p+q} .

[Maloney, Witten]

Positive definite cases

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- Two quadratic forms Q, Q' are equivalent in a field \mathbb{F} if $\exists g \in GL(p+q, \mathbb{F})$ such that $Q' = g^T Q g$. If $\mathbb{F} = \mathbb{Z}(\mathbb{R})$, we say that Q, Q' are in the same class (genus). The number of equivalence classes of Q is called is class number $h(Q)$.

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- The class number is finite. [Lagrange]

Positive definite cases

The ensemble average of CFT's whose Narain lattice is a positive definite lattice is given by

$$\langle\langle\theta_Q(\tau)\rangle\rangle = \frac{1}{M(Q)} \sum_{j=1}^{h(Q)} \frac{\theta_{Q_j}}{|\text{Aut}(\Lambda)|}, \quad M(Q) = \sum_{Q' \in \text{Genus}(Q)} \frac{1}{|\text{Aut}(\Lambda'_{Q'})|}$$

[Siegel; Smith; Minkowski]

From this, one can compute the partition function of chiral theories as

$$\langle\langle Z_{chiral}(\tau)\rangle\rangle = \frac{\langle\langle\theta_Q(\tau)\rangle\rangle}{\eta(\tau)^p}.$$

The holography of such theories has also been studied

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Still unclear what the physical motivation for considering ensemble averages for positive definite theories is.

Spin Chern-Simons invariants and Fermionic CFT's

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- Depending on the genus g of the Riemann surface, you get 2^{2g} spin structures.
- This generalizes the theta function to 2^{2g} theta functions labelled by choice of spin structure. Spin structures often transform into one another under modular transformations.
- The key idea here is to average each spin structure independently.

Spin Chern-Simons invariants and Fermionic CFT's

- Consider $g = 1$. We have 4 spin structures labelled by $(\epsilon_1, \epsilon_2) = (0, 0), (0, 1), (1, 0), (1, 1)$.

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- The theta function generalizes as

$$\theta_{Q,h}^{\epsilon_1, \epsilon_2}(\tau; m) = \sum_{x \in \Lambda + h + \epsilon_1 W/2} e^{i\pi\tau Q_L(x) - i\pi\bar{\tau} Q_R(x)} (-1)^{\epsilon_2(W,x)},$$

where $Q_{L/R}$ were as defined previously, W is the a characteristic class of the dual lattice known as the integral Wu class, $(W, x) \equiv Q(x) \bmod 2$, $x \in \Lambda$, and $h \in \Lambda^* / \Lambda$.

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- The Siegel-Weil theorem doesn't care about \mathbb{Z}_2 refinements:

$$E_{Q,h}^{\epsilon_1, \epsilon_2}(\tau, \bar{\tau}; m) = \langle \theta_{Q,h}^{\epsilon_1, \epsilon_2}(\tau, \bar{\tau}; m) \rangle$$

Computing the Eisenstein series for spin CFT's: Start with $E^{0,0}$

$$E_{Q,h}^{0,0}(\tau; m) = \delta_{h \in \Lambda} + \sum_{\substack{(c,d)=1 \\ cd \in 2\mathbb{Z} \\ c > 0}} \frac{\gamma_{Q,h}(c,d)}{(c\tau + d)^{p/2} (c\bar{\tau} + p)^{q/2}}$$

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Non-trivialities in the computation of $\gamma_{Q,h}(c, d)$ here.

[ADKLY]

The Bulk Interpretation: Fermionic CFT's

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- Repeat exactly as before to compute the partition functions.

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- The partition functions for various spin structures obtained match the expectation from the ensemble averages of spin structures [ADKLY].
- These also give us spin Chern-Simons invariants, analogous to the WRT invariants computed by Lisa Jeffrey. [Jeffrey]
- It is quite interesting that topological invariants can be computed from the ensemble averages of field theories that are not topological.

Take home messages

- By considering ensemble averages of CFTs associated to indefinite lattices, you can compute topological invariants of 3-manifolds
- It seems that once you take an ensemble average of the CFT, the sum of geometries is automatically incorporated.

Open problems

Philosophically: What are the rules of averaging? Are there universal features to averaged CFT's? How much number theory does $3d$ non-supersymmetric gravity actually know?

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4. Gravitational dual construction

[WIP]

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3. Higher dimensions? (Very interesting mathematics expected!)
4. Gravitational dual construction
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There seems to be a deeper connection between holography and number theory, even at a non-supersymmetric level. Perhaps this requires more elaborate and careful analysis.

Obrigado!

