

Primordial Black Holes and Scalar Induced Gravitational Waves from Inflation with Nonminimal Derivative Coupling

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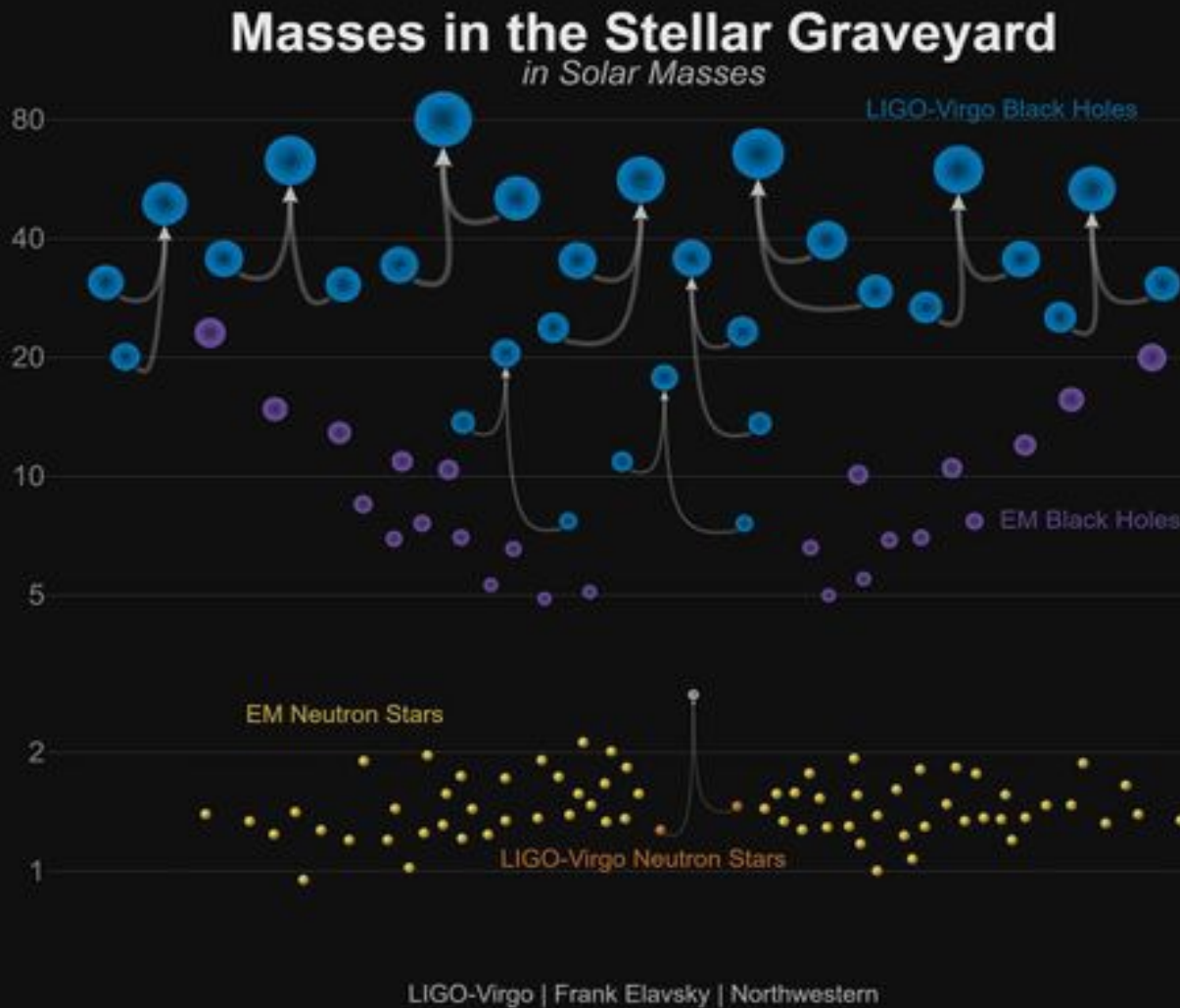
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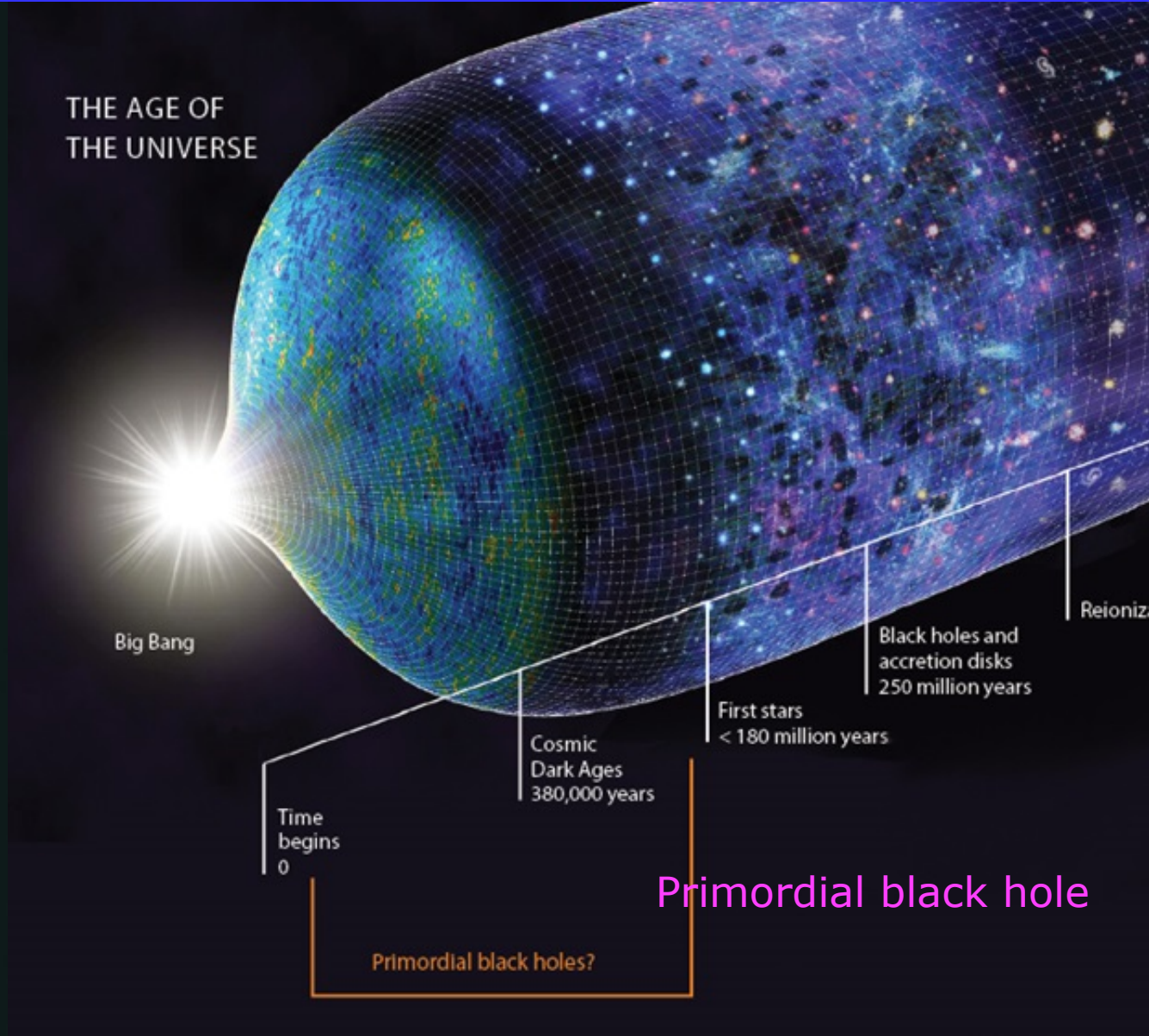
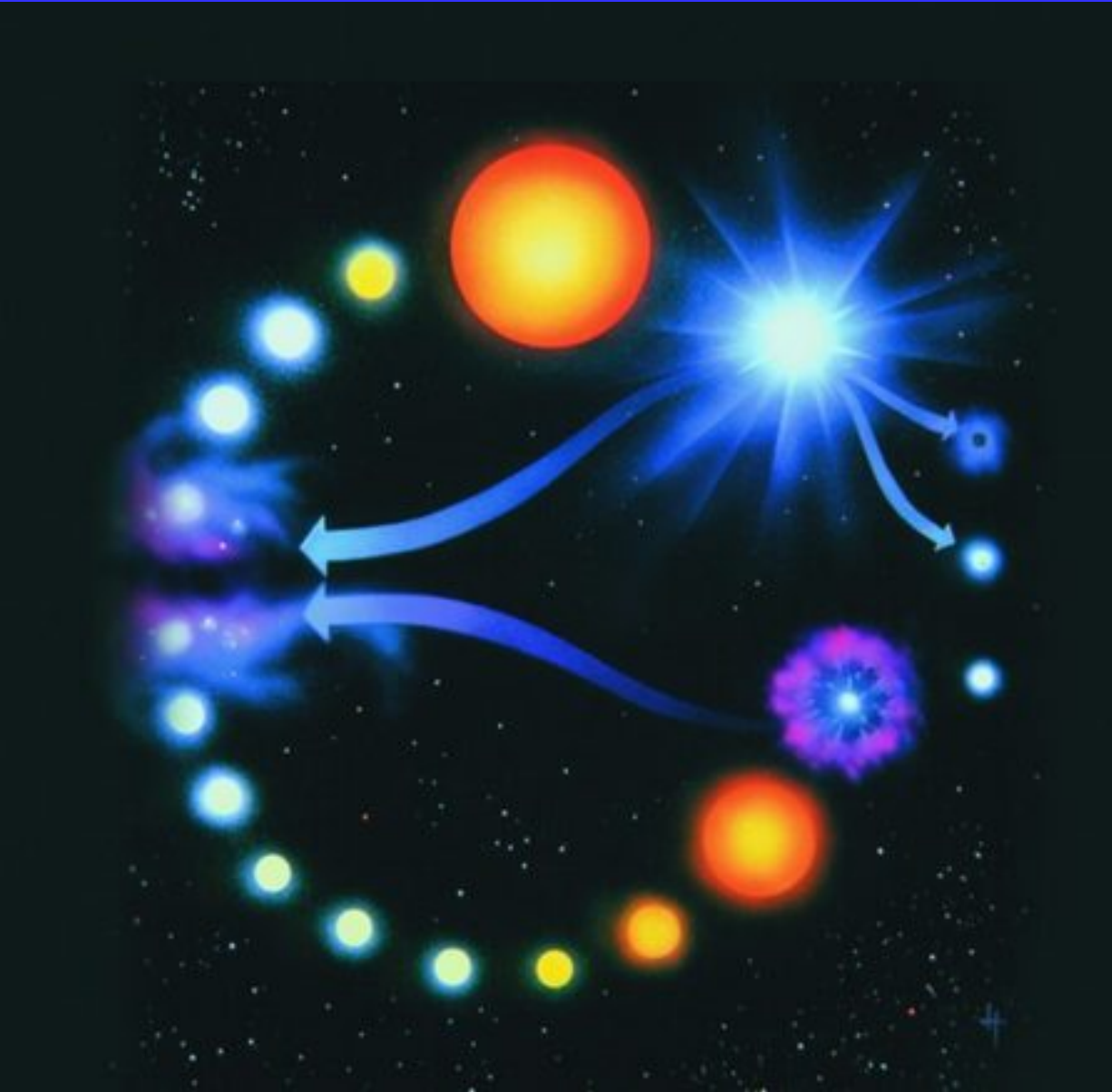
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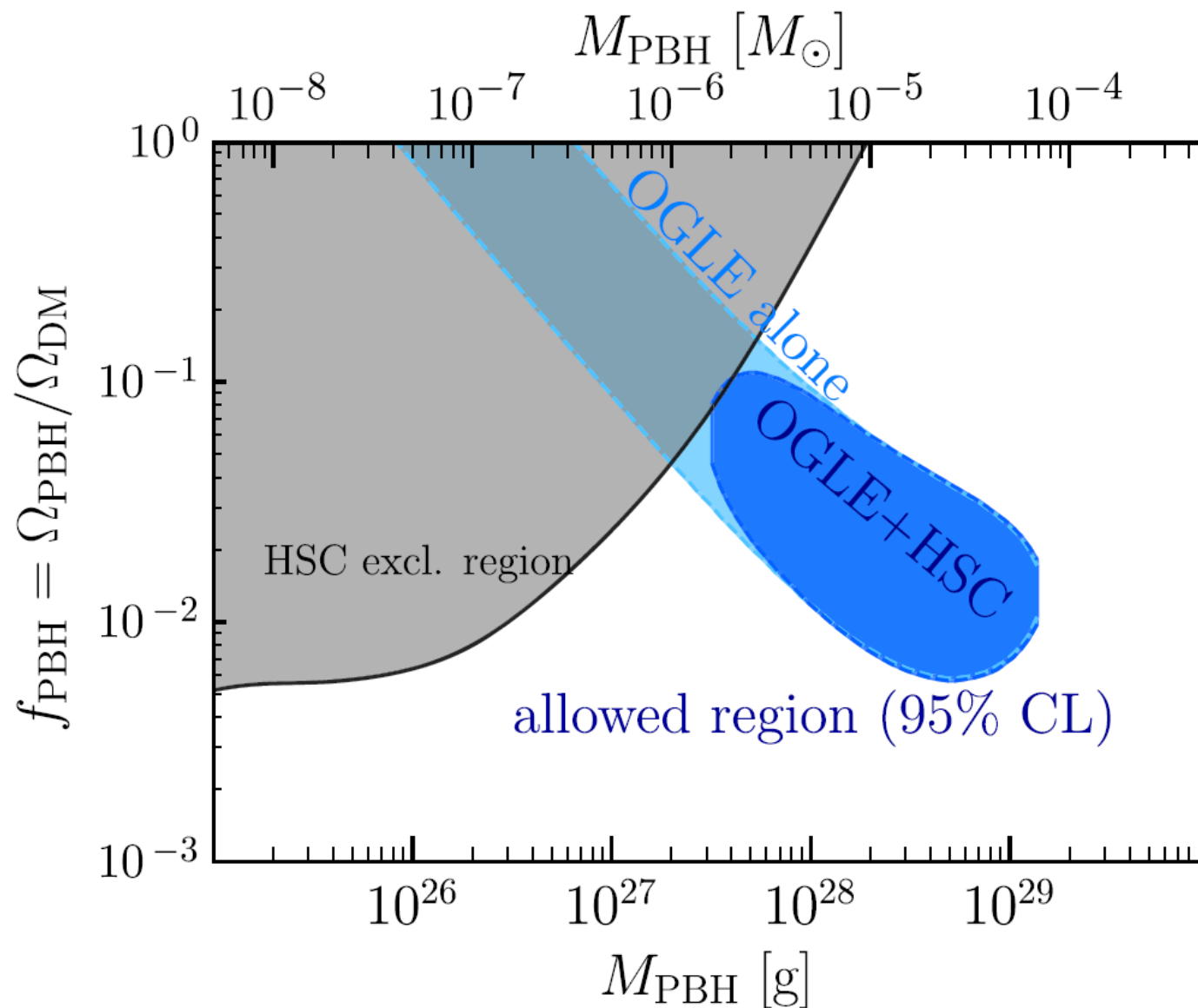


Event	m_1/M_\odot	m_2/M_\odot	\mathcal{M}/M_\odot
GW150914	$35.6^{+4.7}_{-3.1}$	$30.6^{+3.0}_{-4.4}$	$28.6^{+1.7}_{-1.5}$
GW151012	$23.2^{+14.9}_{-5.5}$	$13.6^{+4.1}_{-4.8}$	$15.2^{+2.1}_{-1.2}$
GW151226	$13.7^{+8.8}_{-3.2}$	$7.7^{+2.2}_{-2.5}$	$8.9^{+0.3}_{-0.3}$
GW170104	$30.8^{+7.3}_{-5.6}$	$20.0^{+4.9}_{-4.6}$	$21.4^{+2.2}_{-1.8}$
GW170608	$11.0^{+5.5}_{-1.7}$	$7.6^{+1.4}_{-2.2}$	$7.9^{+0.2}_{-0.2}$
GW170729	$50.2^{+16.2}_{-10.2}$	$34.0^{+9.1}_{-10.1}$	$35.4^{+6.5}_{-4.8}$
GW170809	$35.0^{+8.3}_{-5.9}$	$23.8^{+5.1}_{-5.2}$	$24.9^{+2.1}_{-1.7}$
GW170814	$30.6^{+5.6}_{-3.0}$	$25.2^{+2.8}_{-4.0}$	$24.1^{+1.4}_{-1.1}$
GW170817	$1.46^{+0.12}_{-0.10}$	$1.27^{+0.09}_{-0.09}$	$1.186^{+0.001}_{-0.001}$
GW170818	$35.4^{+7.5}_{-4.7}$	$26.7^{+4.3}_{-5.2}$	$26.5^{+2.1}_{-1.7}$
GW170823	$39.5^{+11.2}_{-6.7}$	$29.0^{+6.7}_{-7.8}$	$29.2^{+4.6}_{-3.6}$

Motivation

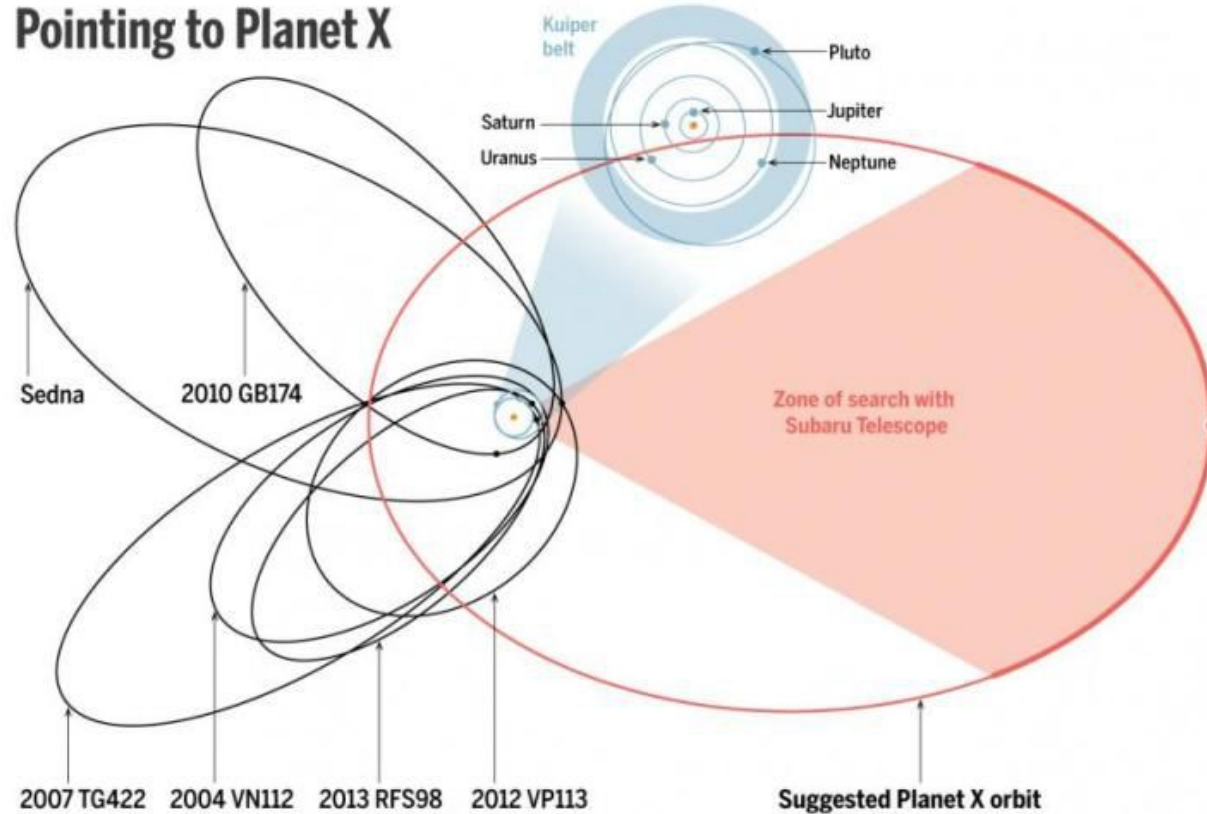
Formation of black hole





$$M_9 \sim 5 - 15M_{\oplus}$$

Pointing to Planet X



A. SIZE OF THE PBH

The Schwarzschild radius of a black hole is given by

$$r_{\text{BH}} = \frac{2GM_{\text{BH}}}{c^2} \simeq 4.5\text{cm} \left(\frac{M_{\text{BH}}}{5M_{\oplus}} \right). \quad (15)$$

In Figure 1 we provide an exact scale image of a $5M_{\oplus}$ PBH. The associated DM halo however extends to the stripping radius $r_{t,\odot} \sim 8\text{AU}$, this would imply a DM halo which extends roughly the distance from Earth to Saturn (both in real life and relative to the image).

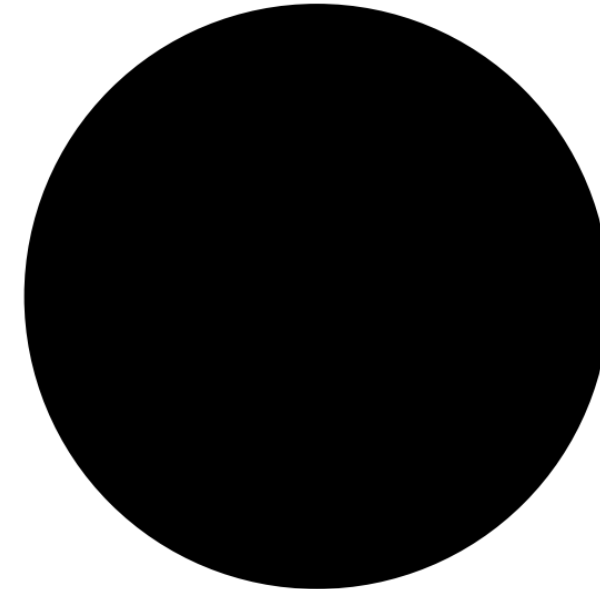
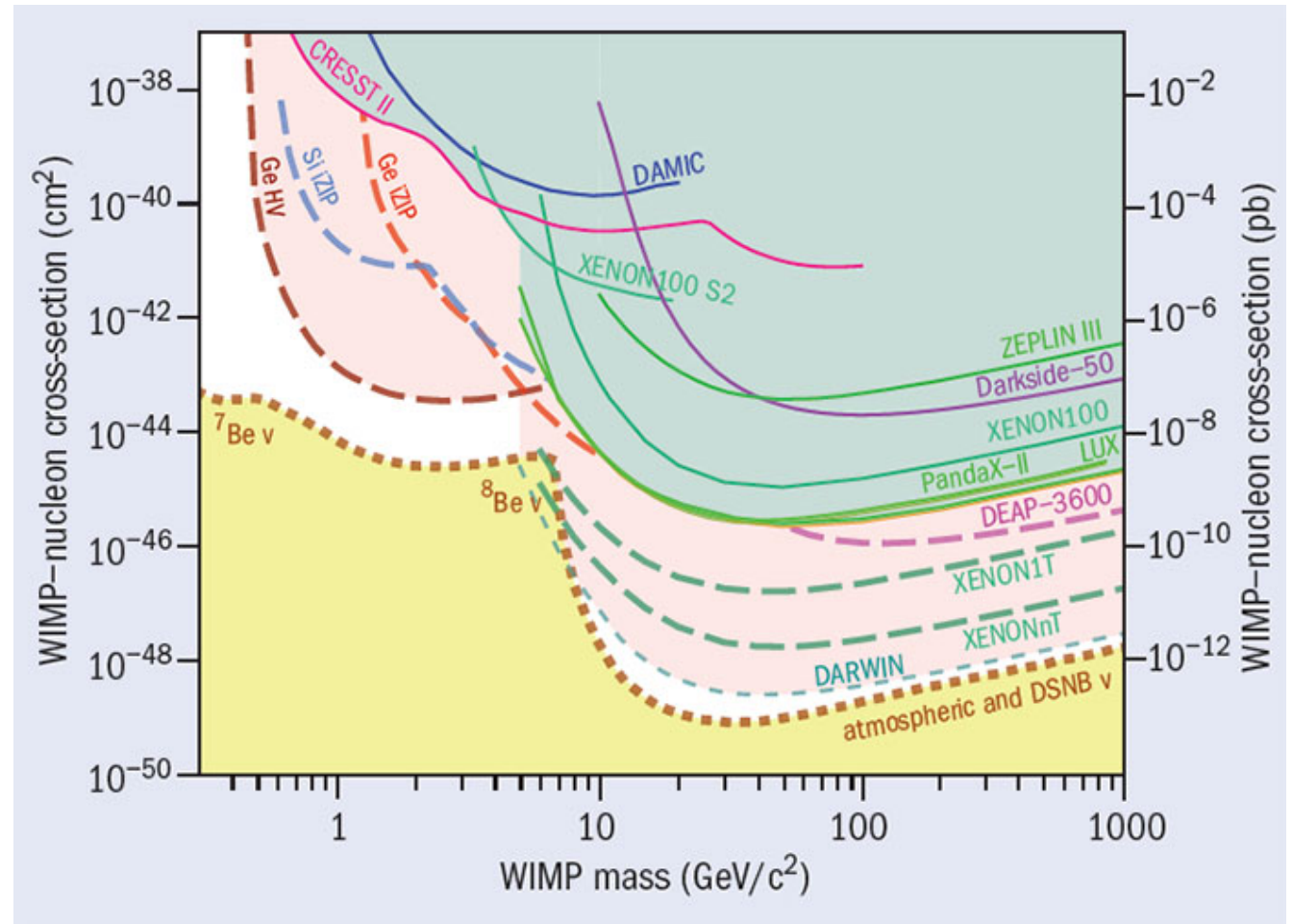
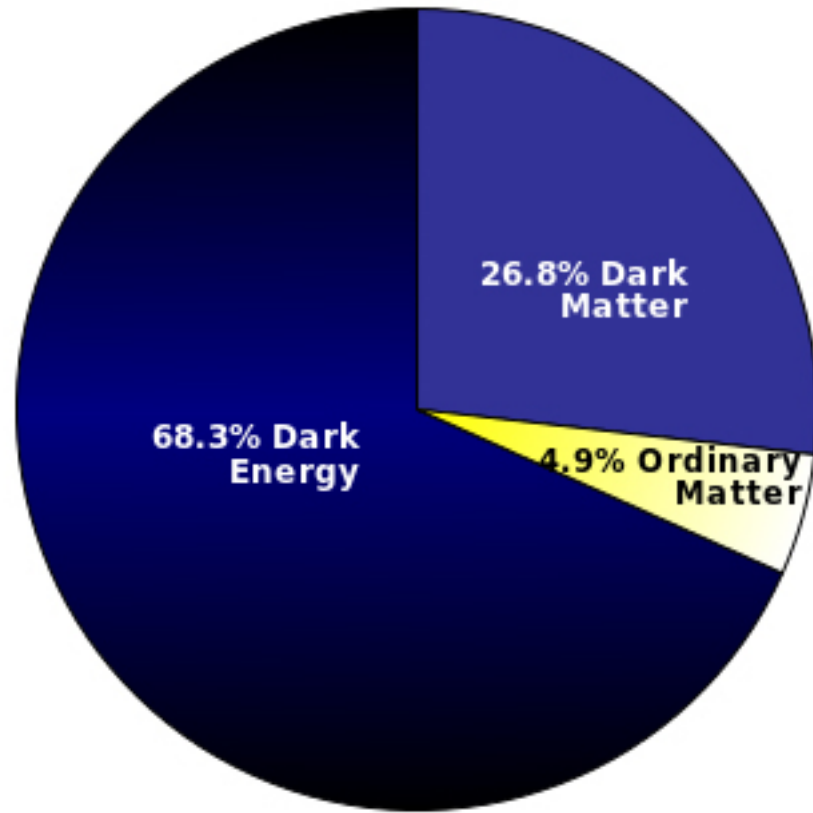


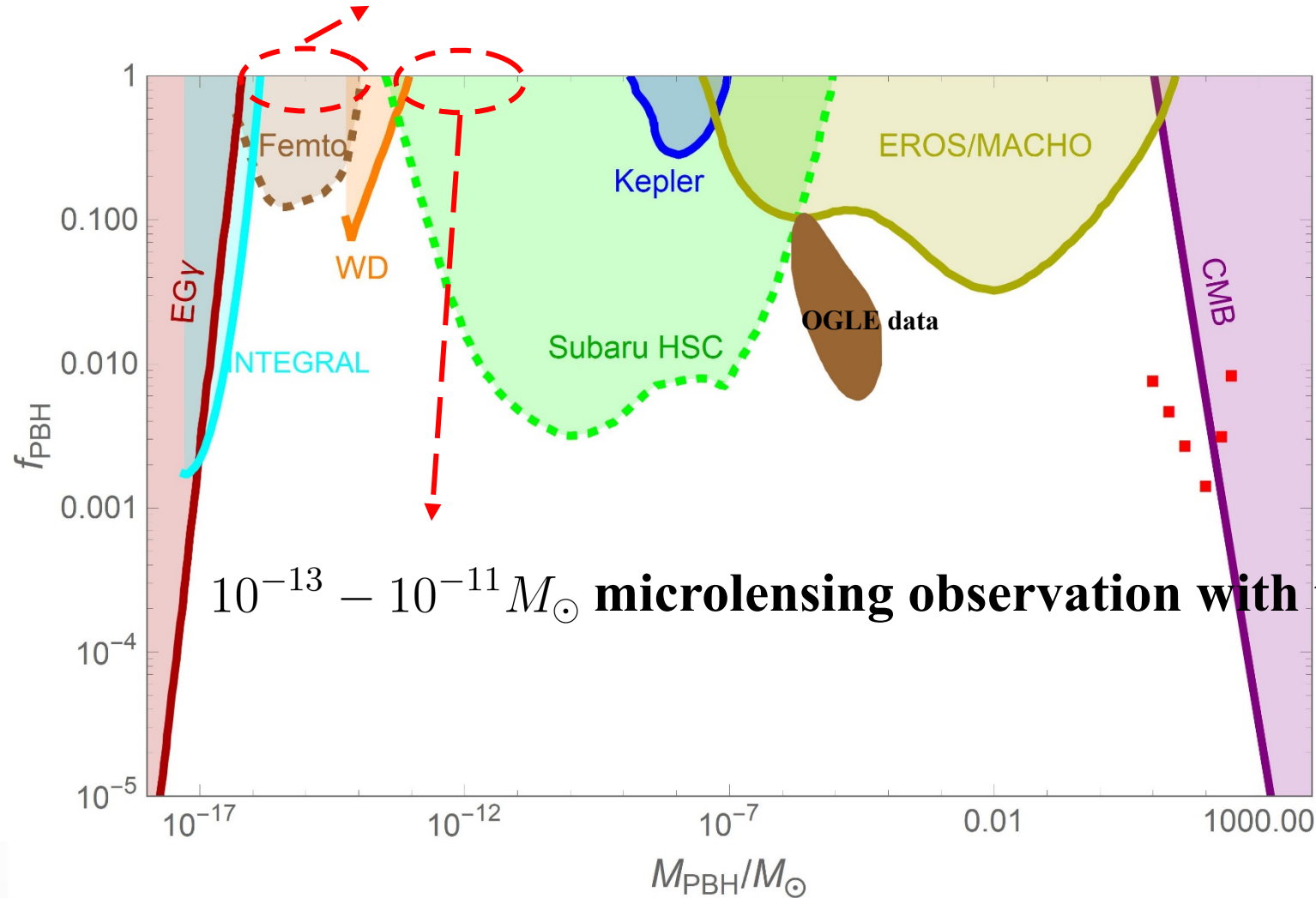
FIG. 1. Exact scale (1:1) illustration of a $5M_{\oplus}$ PBH. Note that a $10M_{\oplus}$ PBH is roughly the size of a ten pin bowling ball.

Motivation

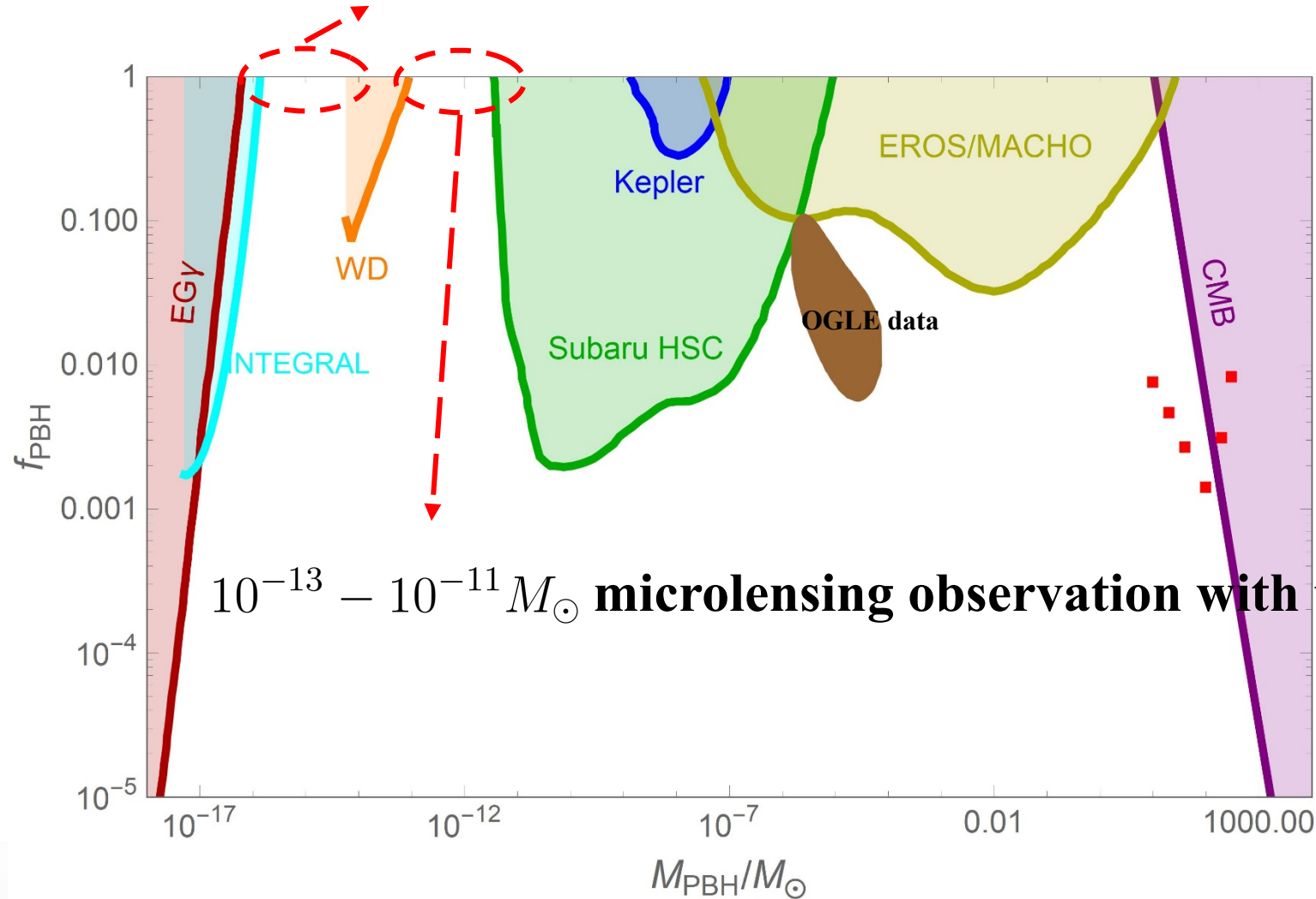
Primordial black hole is a possible candidate of dark matter



$10^{-16} - 10^{-14} M_{\odot}$ gravitational femtolensing of gamma-ray bursts [1]



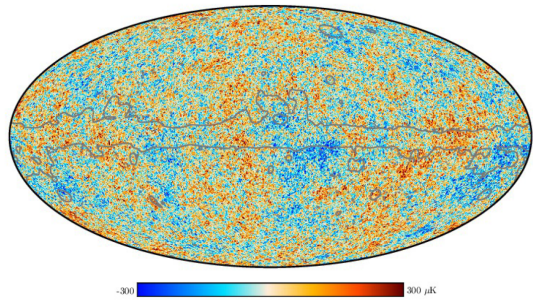
$10^{-16} - 10^{-14} M_{\odot}$ gravitational femtolensing of gamma-ray bursts ^[1]



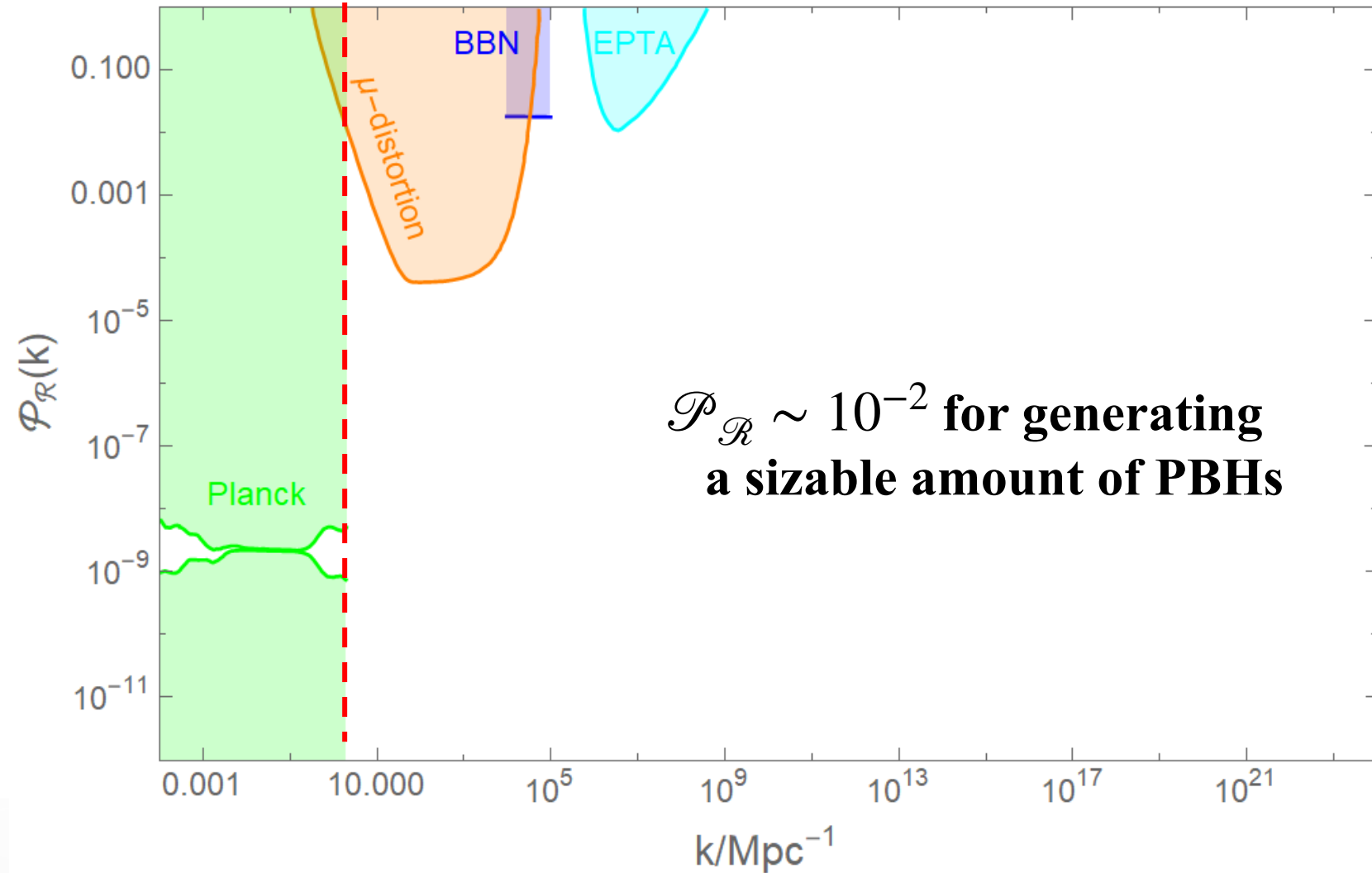
large scales

$$k \lesssim 1 \text{Mpc}^{-1}$$

$$\mathcal{P}_{\mathcal{R}} \sim 10^{-9}$$



small scales $k \gtrsim 1 \text{Mpc}^{-1}$



$\mathcal{P}_{\mathcal{R}} \sim 10^{-2}$ for generating
a sizable amount of PBHs

Motivation How to amplify the amplitude of power spectrum: Flatten potential

Simple single-field inflation model

$$\mathcal{S} = \int d^4x \sqrt{-g} \left[\frac{1}{2\kappa^2} R - \frac{1}{2} (\nabla\phi)^2 - V(\phi) \right]$$

Slow-roll approximation

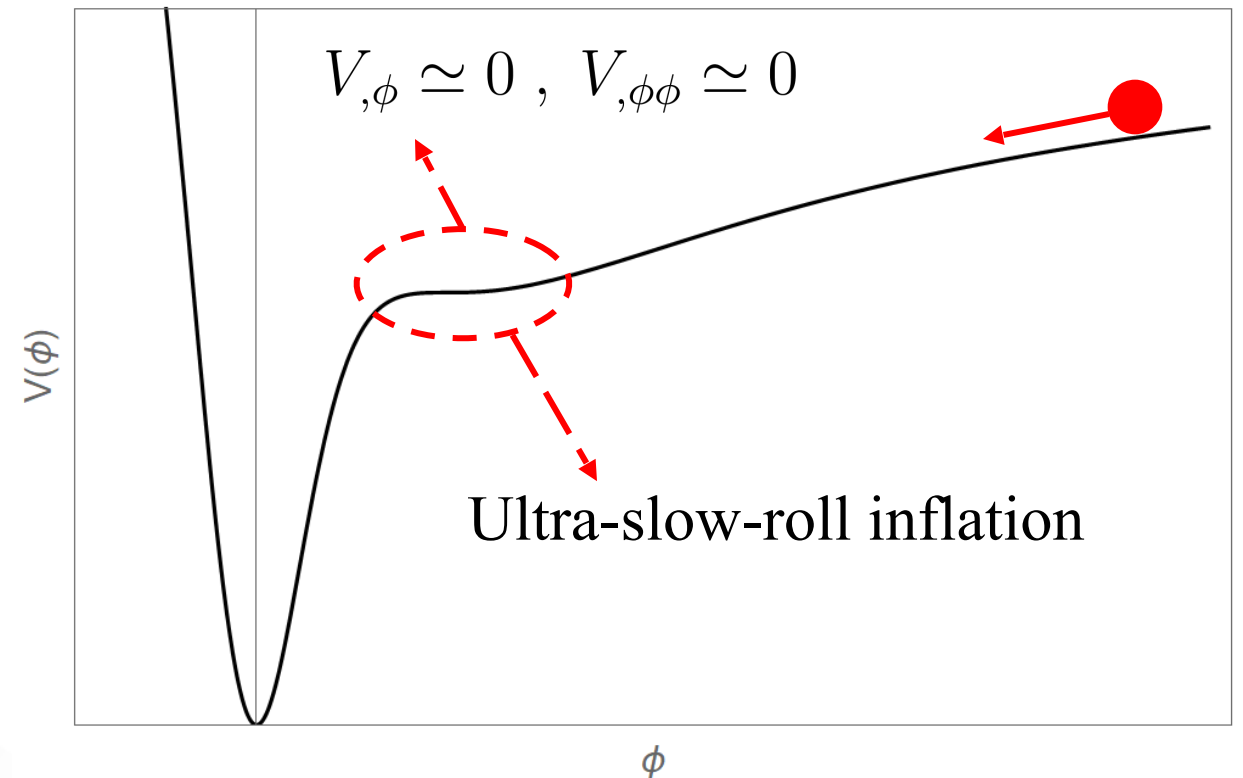
$$3H^2 \simeq \kappa^2 V(\phi) \quad 3H\dot{\phi} \simeq -V_{,\phi}$$

Power spectrum

$$\mathcal{P}_{\mathcal{R}} = \frac{1}{8\pi^2} \left(\frac{H}{M_{\text{pl}}} \right)^2 \frac{1}{\epsilon} \quad \left(\epsilon \equiv -\frac{\dot{H}}{H^2} \right)$$

$$\epsilon \simeq \epsilon_V \quad \left(\epsilon_V \equiv \frac{M_{\text{pl}}^2}{2} \left(\frac{V_{,\phi}}{V} \right)^2 \right)$$

Near-inflection point



$$\ddot{\phi} + 3H\dot{\phi} + V(\phi)_{,\phi} = 0$$

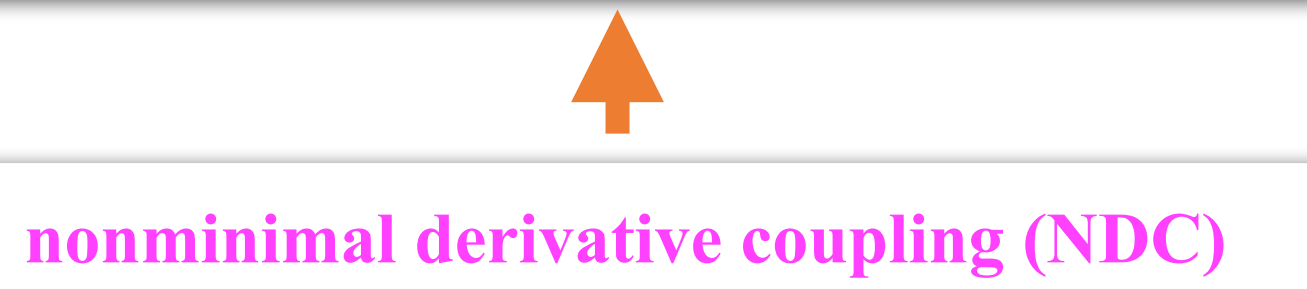
ultra-slow-roll inflation

flatten potential

increase friction

mechanism of gravitational enhanced friction

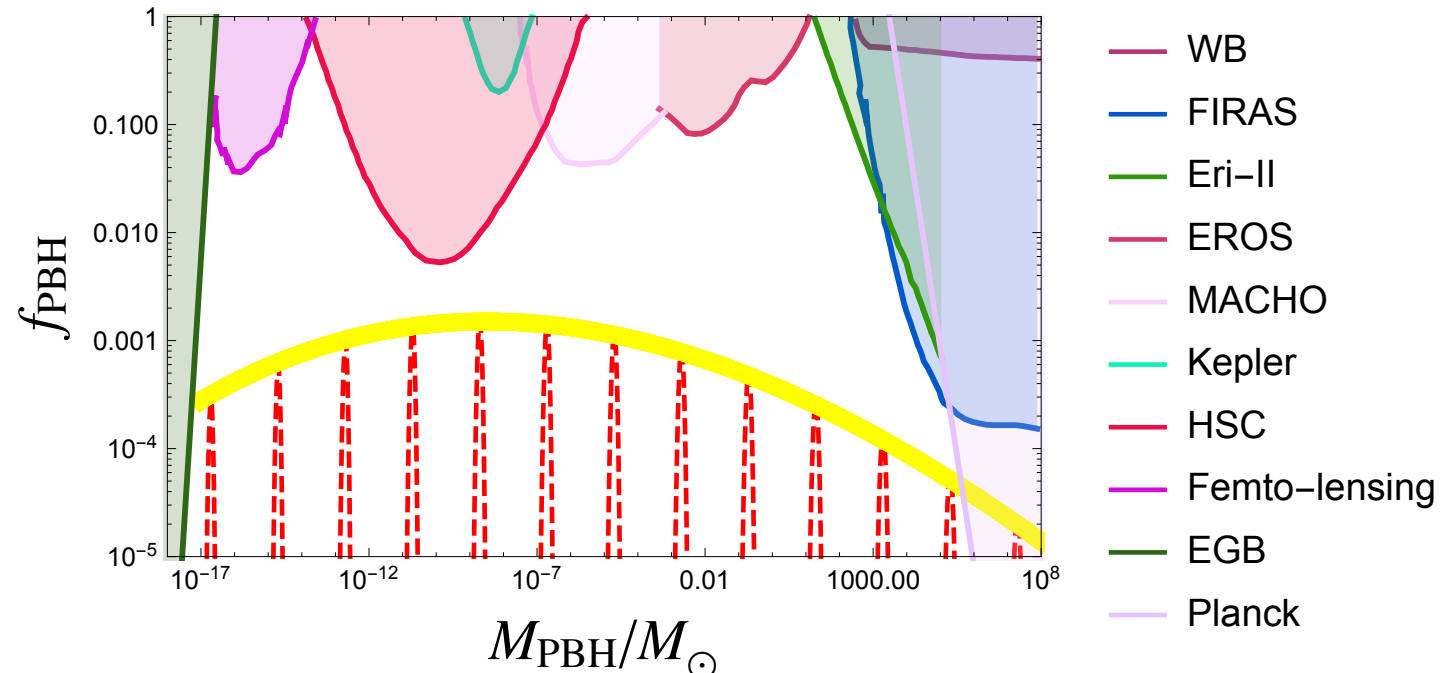
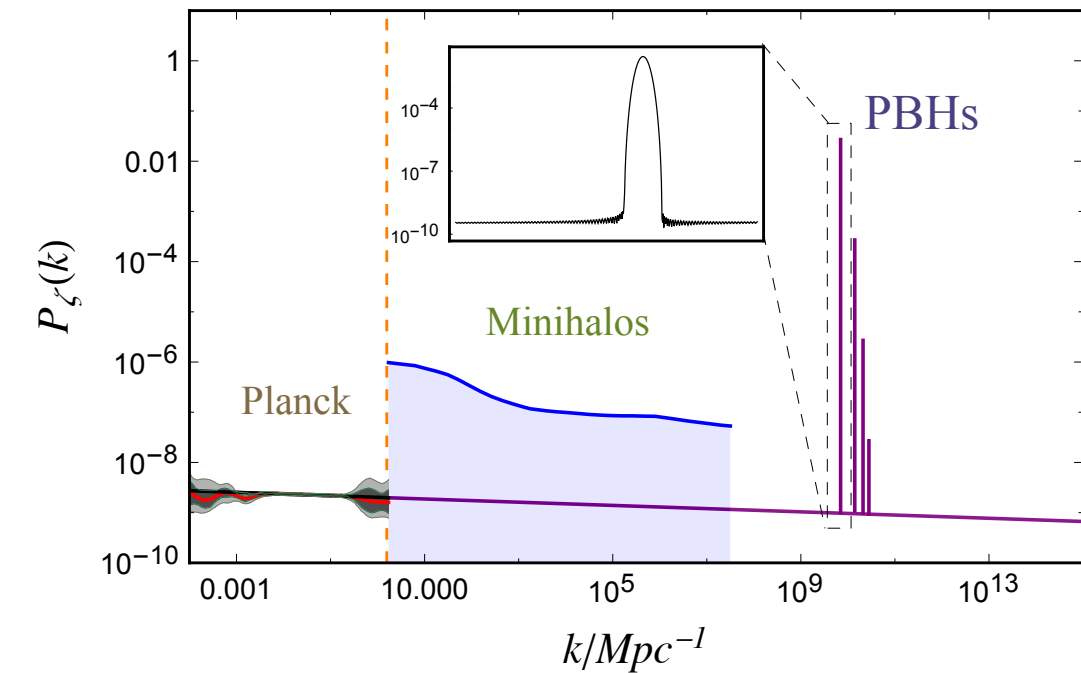
nonminimal derivative coupling (NDC)



PBH from Sound Speed Resonance during Inflation

$$u_k'' + (c_s^2 k^2 - z''/z)u_k = 0$$

$$c_s^2 = 1 - 2\xi[1 - \cos(2k_*\tau)]$$





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Basic equations

The action $\mathcal{S} = \int d^4x \sqrt{-g} \left[\frac{1}{2\kappa^2} R - \frac{1}{2} (g^{\mu\nu} - \kappa^2 \xi G^{\mu\nu}) \nabla_\mu \phi \nabla_\nu \phi - V(\phi) \right]$

$$\xi \equiv \theta(\phi) \quad \Downarrow \quad ds^2 = -dt^2 + a(t)^2 d\mathbf{x}^2$$

Hamiltonian constraint equation (HC)

$$3H^2 = \kappa^2 \left[\frac{1}{2} \left(1 + 9\kappa^2 \theta(\phi) H^2 \right) \dot{\phi}^2 + V(\phi) \right]$$

Equation of motion for inflaton (EoM)

$$\left(1 + 3\kappa^2 \theta(\phi) H^2 \right) \ddot{\phi} + \left[1 + \kappa^2 \theta(\phi) \left(2\dot{H} + 3H^2 \right) \right] 3H\dot{\phi} + \frac{3}{2} \kappa^2 \theta_{,\phi} H^2 \dot{\phi}^2 + V_{,\phi} = 0$$

Slow-roll inflation

Slow-roll parameters $\epsilon \equiv -\frac{\dot{H}}{H^2}$ $\delta_\phi \equiv \frac{\ddot{\phi}}{H\dot{\phi}}$ $\delta_X \equiv \frac{\kappa^2\dot{\phi}^2}{2H^2}$ $\delta_D \equiv \frac{\kappa^4\theta\dot{\phi}^2}{4}$

Slow-roll conditions $\{\epsilon, |\delta_\phi|, \delta_X, \delta_D\} \ll 1$

Operational condition $|\kappa^2\theta_{,\phi}H\dot{\phi}| \ll \mathcal{A} \equiv 1 + 3\kappa^2\theta(\phi)H^2$ **for simplicity**

Approximate HC and EoM $3H^2 \simeq \kappa^2 V(\phi)$ $3H\mathcal{A}\dot{\phi} + V_{,\phi} \simeq 0$

$$\epsilon \simeq \frac{\epsilon_V}{\mathcal{A}}$$



$$\begin{aligned} \text{If } \mathcal{A} \simeq 1, \quad \epsilon &\simeq \epsilon_V \\ \text{If } \mathcal{A} \gg 1, \quad \epsilon &\ll \epsilon_V \end{aligned}$$

Approximate solutions

Under the slow-roll approximation, the power spectrum of the curvature perturbation has the form

$$\mathcal{P}_{\mathcal{R}} = \frac{H^2}{8\pi^2 Q_s c_s^3} \simeq \frac{V^3}{12\pi^2 M_{\text{pl}}^6 V_{,\phi}^2} \left(1 + \theta(\phi) \frac{V}{M_{\text{pl}}^4} \right)$$

The scalar spectral index and the tensor-to-scalar ratio:

$$n_s \simeq 1 - \frac{1}{\mathcal{A}} \left[2\epsilon_V \left(4 - \frac{1}{\mathcal{A}} \right) - 2\eta_V \right]$$

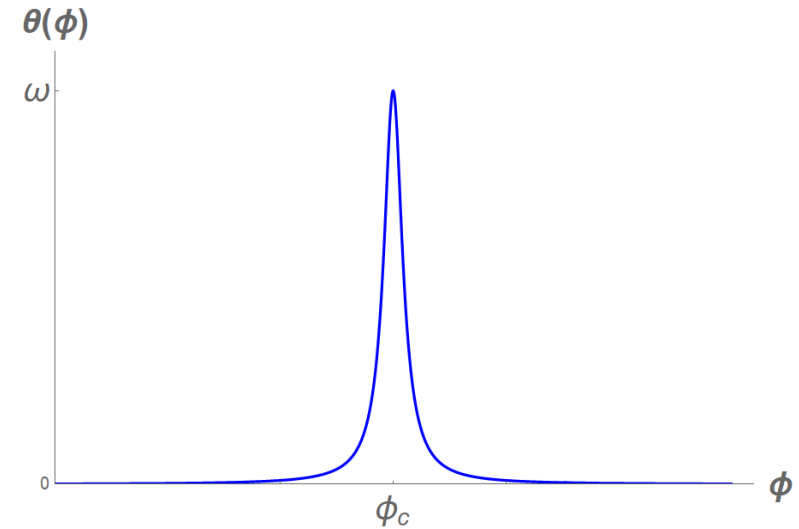
$$\left(\eta_V \equiv \frac{M_{\text{pl}}^2}{V} \frac{d^2 V}{d\phi^2} \right)$$

$$r \simeq \frac{16\epsilon_V}{\mathcal{A}}$$

How to achieve a large-amplitude curvature perturbations?

Consider the following special functional form

$$\theta(\phi) = \frac{\omega}{\sqrt{\kappa^2 \left(\frac{\phi - \phi_c}{\sigma}\right)^2 + 1}}$$



Consider a simple potential

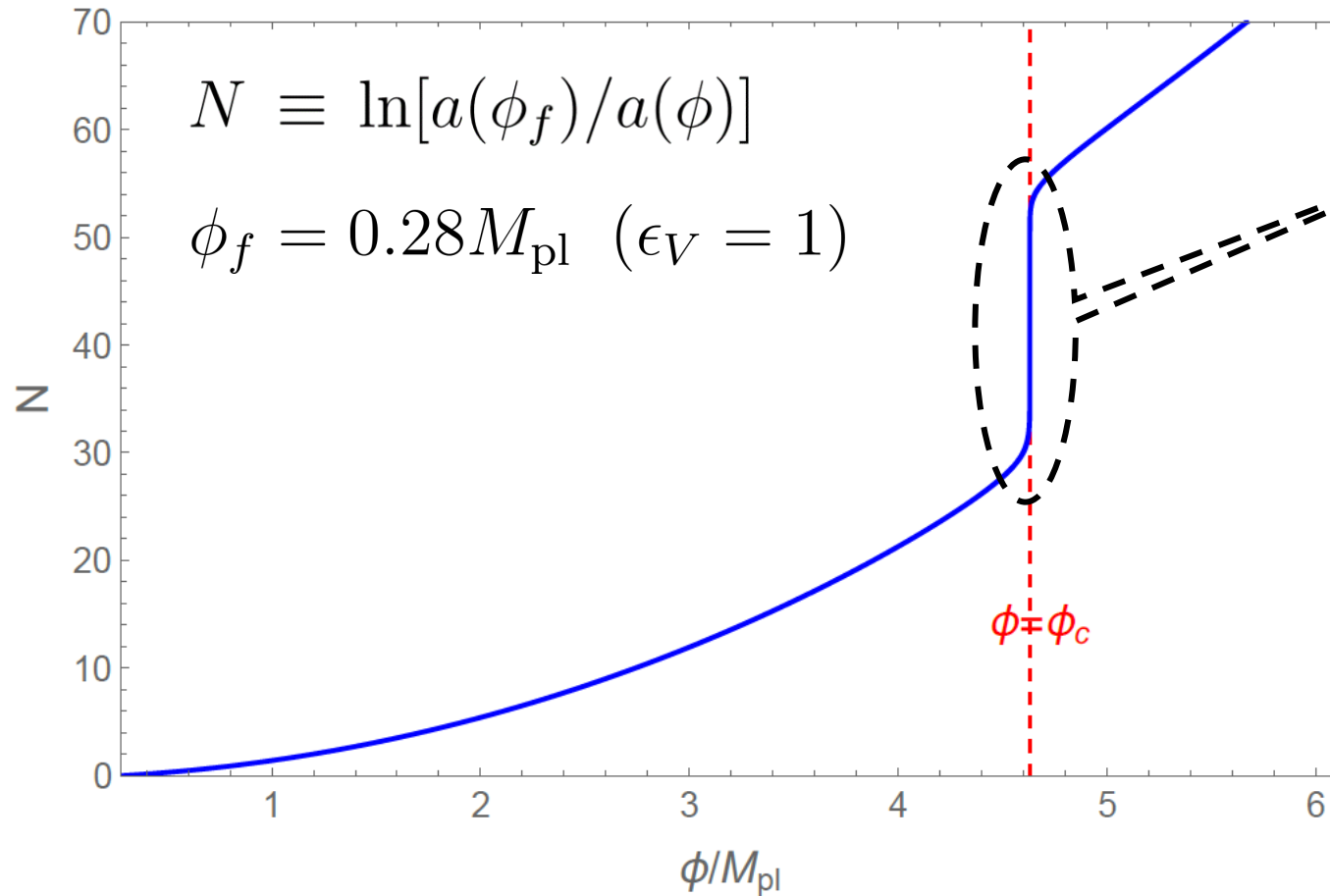
$$V(\phi) = \lambda M_{\text{pl}}^{4-p} |\phi|^p \quad (p = 2/5)$$

Enhanced Power spectrum

$$\mathcal{P}_{\mathcal{R}} \simeq \frac{\lambda}{12\pi^2 p^2} \left| \frac{\phi}{M_{\text{pl}}} \right|^{2+p} \left(1 + \frac{\omega \lambda}{\sqrt{\kappa^2 \left(\frac{\phi - \phi_c}{\sigma}\right)^2 + 1}} \left| \frac{\phi}{M_{\text{pl}}} \right|^p \right)$$

Inflationary dynamics

Concrete case $\phi_c = 4.63M_{\text{pl}}$, $\sigma = 2.6 \times 10^9$, $\omega\lambda = 1.33 \times 10^7$



Ultra-slow-roll inflation

Exact results: Mukhanov-Sasaki equation

$$u_k'' + \left(c_s^2 k^2 - \frac{z''}{z} \right) u_k = 0$$

where variable u is related to the curvature perturbation \mathcal{R}

$$u \equiv z\mathcal{R} \quad (z \equiv \sqrt{2Q_s}a)$$

$$Q_s = \frac{w_1(4w_1w_3 + 9w_2^2)}{3w_2^2}$$

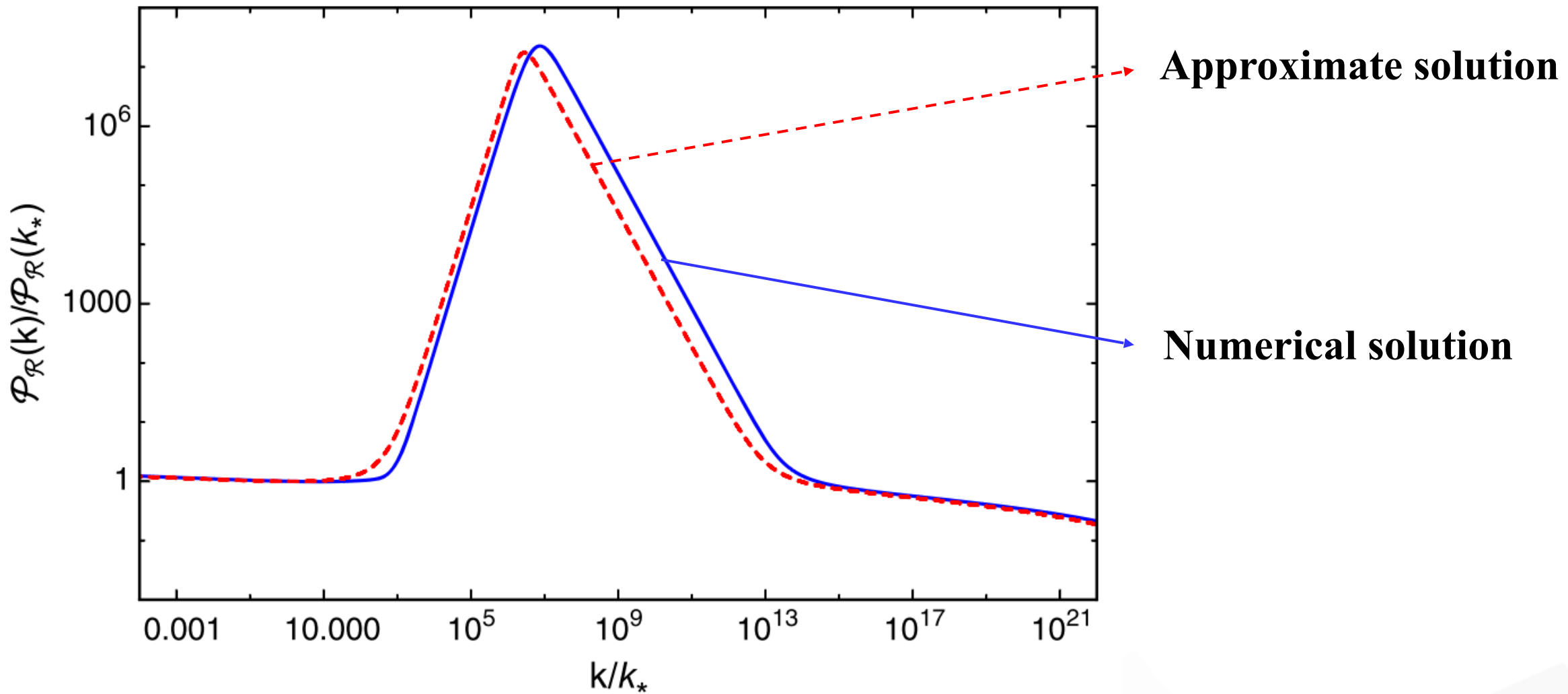
$$c_s^2 = \frac{3(2w_1^2w_2H - w_2^2w_4 + 4w_1\dot{w}_1w_2 - 2w_1^2\dot{w}_2)}{w_1(4w_1w_3 + 9w_2^2)}$$

$$w_1 = M_{\text{pl}}^2(1 - 2\delta_D) \quad w_2 = 2HM_{\text{pl}}^2(1 - 6\delta_D) \quad w_3 = -3H^2M_{\text{pl}}^2(3 - \delta_X - 36\delta_D) \quad w_4 = M_{\text{pl}}^2(1 + 2\delta_D)$$

Power spectrum of the curvature perturbations

$$\mathcal{P}_{\mathcal{R}} \equiv \frac{k^3}{2\pi^2} \left| \frac{u_k}{z} \right|^2$$

The power spectrum: approximate and exact solution



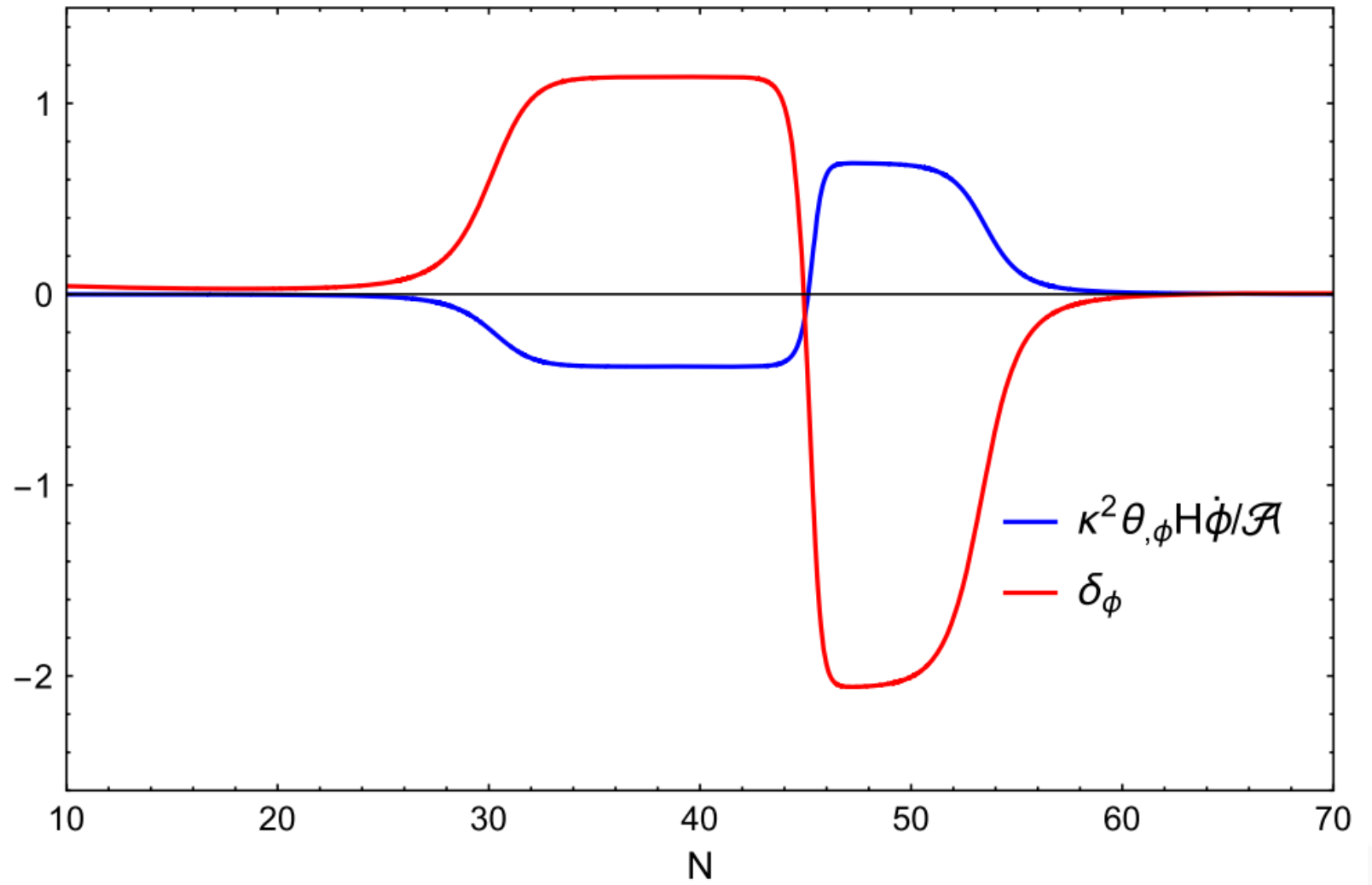
Slow-roll violation

One of slow-roll conditions

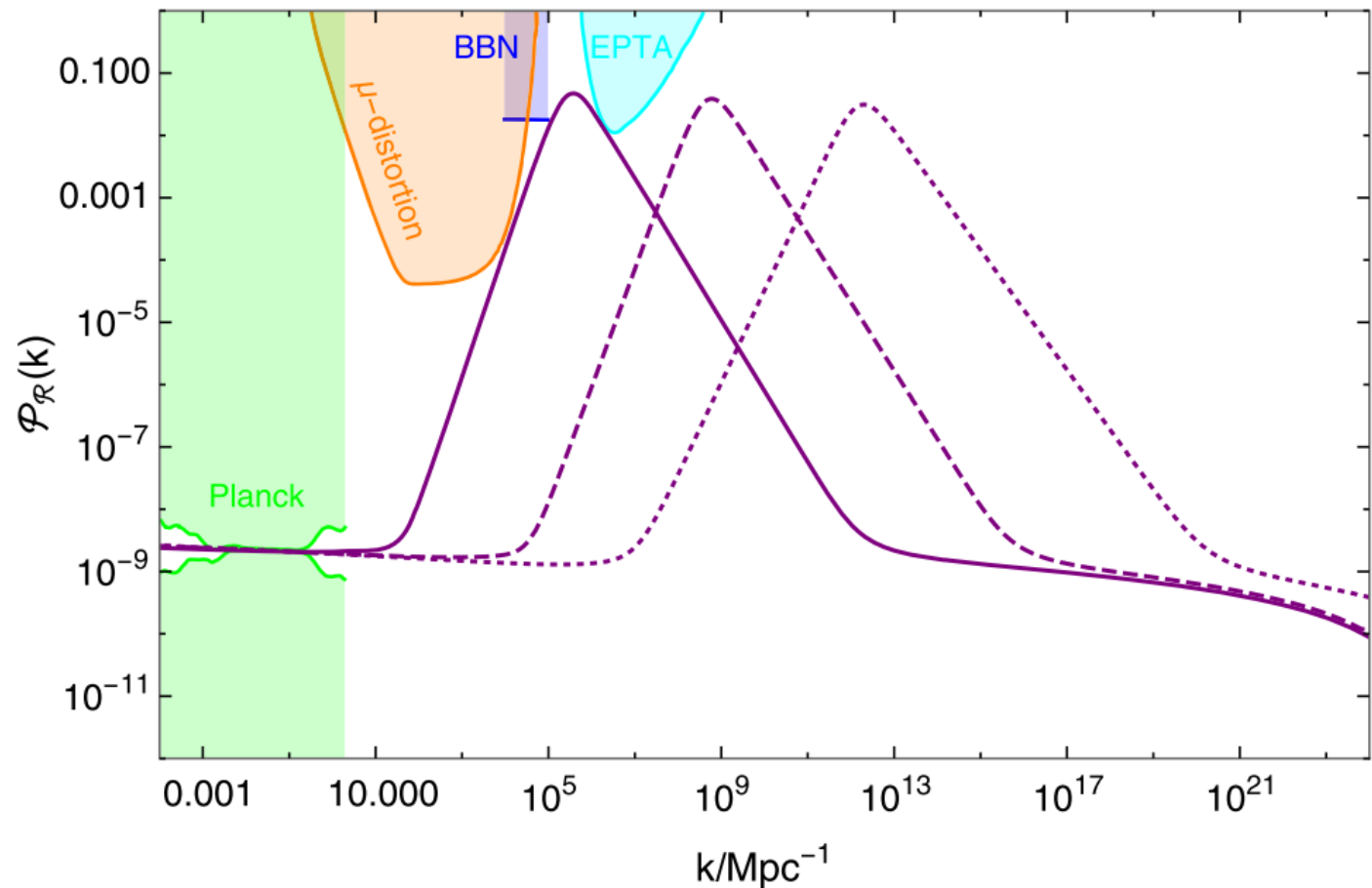
$$|\delta_\phi| = \left| \frac{\ddot{\phi}}{H\dot{\phi}} \right| \ll 1$$

Operational condition

$$|\kappa^2 \theta_{,\phi} H \dot{\phi}| \ll \mathcal{A}$$



The power spectrum



λ	n_s	r
7.09×10^{-10}	0.9666	0.0431
8.23×10^{-10}	0.9618	0.0497
8.52×10^{-10}	0.9607	0.0512



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Basic formulas for PBH formation during radiation-dominated era

Under the assumption that the probability distribution function of perturbations is Gaussian, the production rate of PBHs with mass M based on the Press-Schechter theory is^[1]

$$\beta(M) = \int_{\delta_c} \frac{d\delta}{\sqrt{2\pi\sigma^2(M)}} e^{-\frac{\delta^2}{2\sigma^2(M)}} = \frac{1}{2} \operatorname{erfc} \left(\frac{\delta_c}{\sqrt{2\sigma^2(M)}} \right)$$

where δ_c ($\simeq 0.4$ ^[2]) is the threshold of the density perturbations for the PBH formation

The mass M of formed PBHs is related to the horizon mass at the horizon entry of the perturbations with the comoving wave number k

$$M(k) = \gamma \frac{4\pi}{\kappa^2 H} \Big|_{k=aH} \simeq M_{\odot} \left(\frac{\gamma}{0.2} \right) \left(\frac{g_*}{10.75} \right)^{-\frac{1}{6}} \left(\frac{k}{1.9 \times 10^6 \text{ Mpc}^{-1}} \right)^{-2} \quad (g_* \simeq 106.75)$$

where γ ($\simeq 0.2$)^[3] is the ratio of the PBH mass to the horizon mass and indicates the efficiency of collapse

Basic formulas for PBH formation during radiation-dominated era

$\sigma^2(M)$ represents the variance of density contrast for the PBH mass M [1]

$$\sigma^2(M(k)) = \int d \ln q W^2(qk^{-1}) \frac{16}{81} (qk^{-1})^4 \mathcal{P}_{\mathcal{R}}(q)$$

where W is the window function, which is taken to be the Gaussian function $W(x) = e^{-x^2/2}$

The abundance of PBHs with mass M over logarithmic mass interval is estimated as

$$f(M) \equiv \frac{1}{\Omega_{\text{DM}}} \frac{d\Omega_{\text{PBH}}}{d \ln M} \simeq \frac{\beta(M)}{1.84 \times 10^{-8}} \left(\frac{\gamma}{0.2}\right)^{\frac{3}{2}} \left(\frac{10.75}{g_*}\right)^{\frac{1}{4}} \left(\frac{0.12}{\Omega_{\text{DM}} h^2}\right) \left(\frac{M}{M_{\odot}}\right)^{-\frac{1}{2}}$$

Total abundance of PBH $\frac{\Omega_{\text{PBH}}}{\Omega_{\text{DM}}} = \int \frac{dM}{M} f(M) \quad (\Omega_{\text{DM}} h^2 \simeq 0.12^{[2]})$

Abundance of PBHs is exponentially sensitive to small variations of the power spectrum

Three parameters sets for three interesting motivations of PBHs

- **stellar-mass** ($\sim \mathcal{O}(10)M_{\odot}$) **PBHs: LIGO/Virgo GW events**
- **earth-mass** ($\sim \mathcal{O}(10^{-5})M_{\odot}$) **PBHs: OGLE microlensing events**
- **asteroid-mass** ($\sim \mathcal{O}(10^{-12})M_{\odot}$) **PBHs: most of dark matter**

TABLE I: The successful parameter sets for producing the PBHs with mass around $\mathcal{O}(10)M_{\odot}$ (*Case 1*), $\mathcal{O}(10^{-5})M_{\odot}$ (*Case 2*) and $\mathcal{O}(10^{-12})M_{\odot}$ (*Case 3*).

#	ϕ_c/M_{pl}	$\omega\lambda$	σ
<i>Case 1</i>	4.63	1.33×10^7	2.6×10^{-9}
<i>Case 2</i>	3.9	1.53×10^7	3×10^{-9}
<i>Case 3</i>	3.3	1.978×10^7	3.4×10^{-9}

Observational constraints

Scalar spectral index and the tensor-to-scalar ratio

$$n_s \simeq 1 - \frac{1}{\mathcal{A}} \left[2\epsilon_V \left(4 - \frac{1}{\mathcal{A}} \right) - 2\eta_V \right]$$

$$r \simeq \frac{16\epsilon_V}{\mathcal{A}}$$

$$\left(\eta_V \equiv \frac{M_{\text{pl}}^2}{V} \frac{d^2 V}{d\phi^2} \right)$$

#	N_*	λ	n_s	r
<i>Case 1</i>	60	7.09×10^{-10}	0.9666	0.0431
<i>Case 2</i>	60	8.23×10^{-10}	0.9618	0.0497
<i>Case 3</i>	65	8.52×10^{-10}	0.9607	0.0512

Planck 2018 results ^[1] ($k_* = 0.05 \text{Mpc}^{-1}$)

$$\ln(10^{10} \mathcal{P}_{\mathcal{R}}) = 3.044 \pm 0.014 \quad (68\% \text{ C.L.})$$

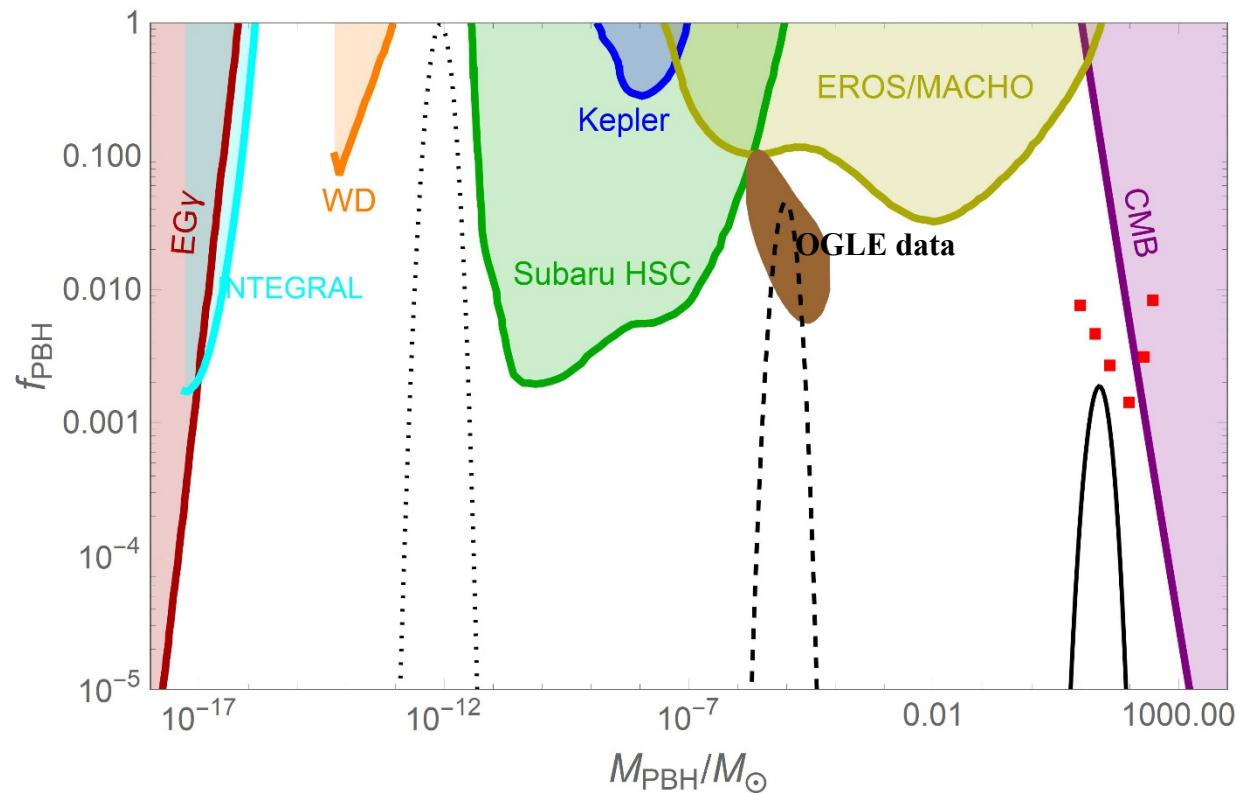
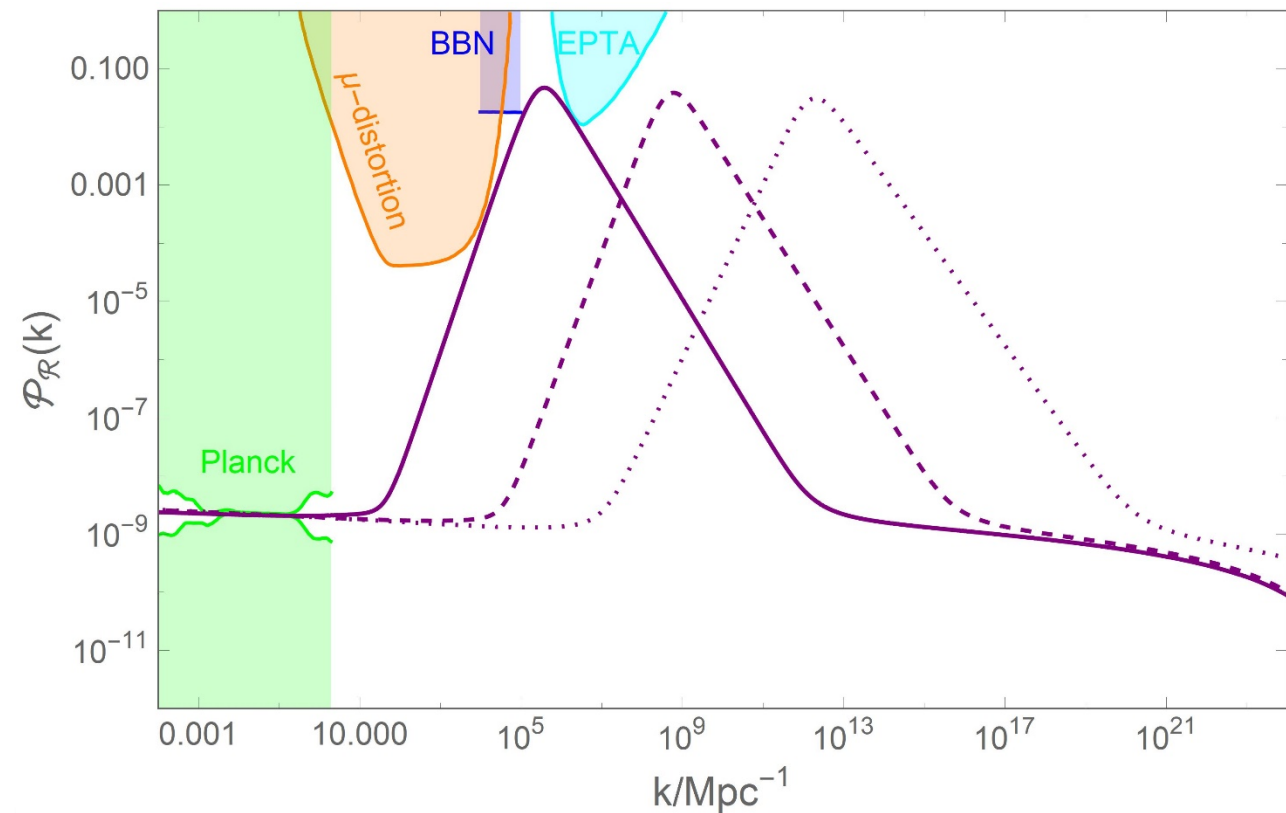
$$n_s = 0.9649 \pm 0.0042 \quad (68\% \text{ C.L.})$$

$$r < 0.07 \quad (95\% \text{ C.L.})$$

Power spectra of curvature perturbations and mass spectra of PBHs

case 1 — solid line case 2 — dashed line

case 3 — dotted line



$M_{\text{PBH}}^{\text{peak}}/M_{\odot}$	$f_{\text{PBH}}^{\text{peak}}$	$\Omega_{\text{PBH}}/\Omega_{\text{DM}}$
23.5	1.88×10^{-3}	1.95×10^{-3}
9.02×10^{-6}	0.0452	0.044
8.1×10^{-13}	0.977	0.972



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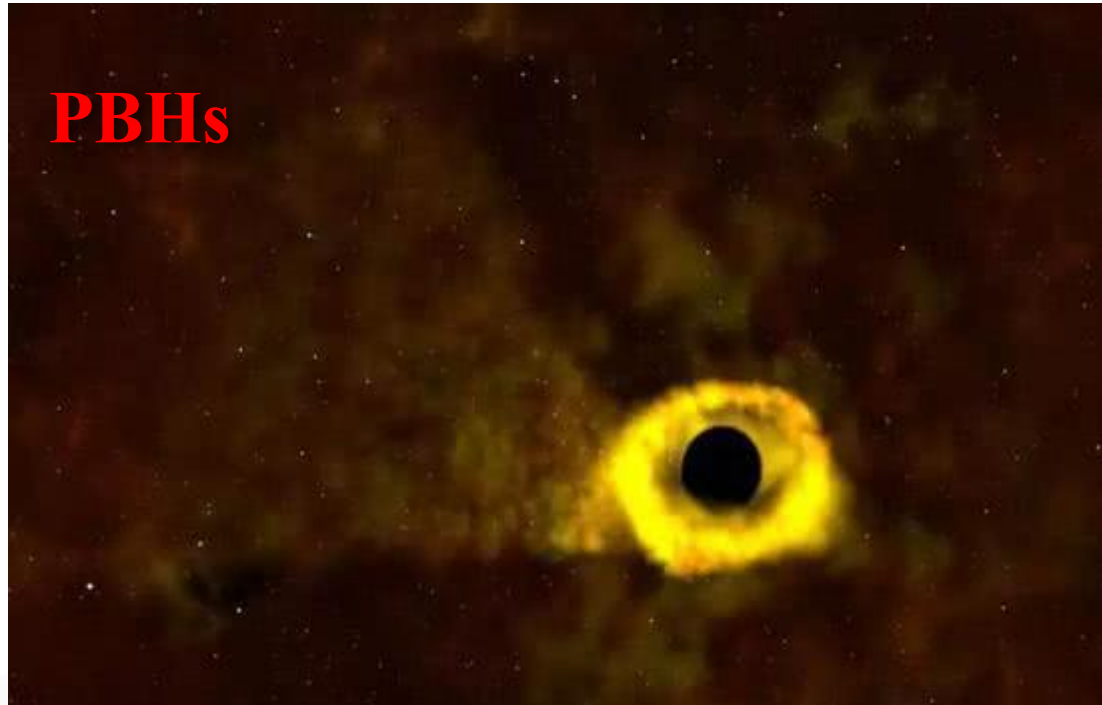
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Scalar induced gravitational waves (SIGWs)

Relatively large curvature perturbations
on small scales



Formalism of SIGWs

In the conformal Newtonian gauge, the perturbed FRW metric can be written as

$$ds^2 = a(\eta)^2 \left\{ - (1 + 2\Psi)d\eta^2 + \left[(1 - 2\Psi)\delta_{ij} + \frac{h_{ij}}{2} \right] dx^i dx^j \right\}$$

where $\eta \equiv \int a^{-1} dt$ is the conformal time, Ψ is the first-order scalar perturbation, and h_{ij} is the second-order transverse-traceless tensor perturbation

The equation of motion for second-order h_{ij} is given by

$$h''_{ij} + 2\mathcal{H}h'_{ij} - \nabla^2 h_{ij} = -4\mathcal{T}_{ij}^{lm} S_{lm}$$

where \mathcal{T}_{ij}^{lm} is the transverse-traceless projection operator and the source term has the form ^[1]

$$S_{ij}^{(2)} = 4\Psi\partial_i\partial_j\Psi + 2\partial_i\Psi\partial_j\Psi - \frac{1}{\mathcal{H}^2}\partial_i(\mathcal{H}\Psi + \Psi')\partial_j(\mathcal{H}\Psi + \Psi')$$

Formalism of SIGWs

During the radiation dominated epoch ($aH = \eta^{-1}$)

$$\Psi_k'' + \frac{4}{\eta} \Psi_k' + \frac{k^2}{3} \Psi_k = 0$$

This equation of motion has an attenuation solution given by [1]

$$\Psi_k(\eta) = \psi_k \frac{9}{(k\eta)^2} \left(\frac{\sin(k\eta/\sqrt{3})}{k\eta/\sqrt{3}} - \cos(k\eta/\sqrt{3}) \right)$$

where ψ_k ($\Psi_k = \psi_k$ when $k\eta \ll 1$) is the primordial perturbation characterized by the power spectrum,

$$\langle \psi_{\mathbf{k}} \psi_{\tilde{\mathbf{k}}} \rangle = \frac{2\pi^2}{k^3} \left(\frac{4}{9} \mathcal{P}_{\mathcal{R}}(k) \right) \delta(\mathbf{k} + \tilde{\mathbf{k}})$$

Formalism of SIGWs

In the radiation-dominated era, the density parameter spectrum of GWs Ω_{GW} at η_c , which represents the time when Ω_{GW} stops growing, can be evaluated as [1]

$$\Omega_{\text{GW}}(\eta_c, k) = \frac{1}{12} \int_0^\infty dv \int_{|1-v|}^{|1+v|} du \left(\frac{4v^2 - (1 + v^2 - u^2)^2}{4uv} \right)^2 \mathcal{P}_{\mathcal{R}}(ku) \mathcal{P}_{\mathcal{R}}(kv) \\ \left(\frac{3}{4u^3v^3} \right)^2 (u^2 + v^2 - 3)^2 \\ \left\{ \left[-4uv + (u^2 + v^2 - 3) \ln \left| \frac{3 - (u+v)^2}{3 - (u-v)^2} \right| \right]^2 + \pi^2 (u^2 + v^2 - 3)^2 \Theta(v + u - \sqrt{3}) \right\}$$

The current energy parameter and frequency of GWs are given, respectively, by

$$\Omega_{\text{GW},0} = 0.83 \left(\frac{g_c}{10.75} \right)^{-1/3} \Omega_{r,0} \Omega_{\text{GW}}(\eta_c, k) \quad f = 1.546 \times 10^{-15} \frac{k}{1\text{Mpc}^{-1}} \text{Hz}$$

$$(\Omega_{r,0} h^2 \simeq 4.2 \times 10^{-5}, g_c \simeq 106.75)$$

Approximate spectra index of power spectrum

Through analytical calculations, we find that

$$\mathcal{P}_{\mathcal{R}} \propto \begin{cases} k^{n_s^{(1)}} & , (k < k_p) \\ k^{n_s^{(2)}} & , (k > k_p) \end{cases}$$

where

$$n_s^{(1)} \simeq 3 \left(1 - \sqrt{1 - \frac{4}{15} (\kappa \phi_c)^{-7/5} (\sigma \omega \lambda)^{-1}} \right)$$

$$n_s^{(2)} \simeq 3 \left(1 - \sqrt{1 + \frac{4}{15} (\kappa \phi_c)^{-7/5} (\sigma \omega \lambda)^{-1}} \right)$$

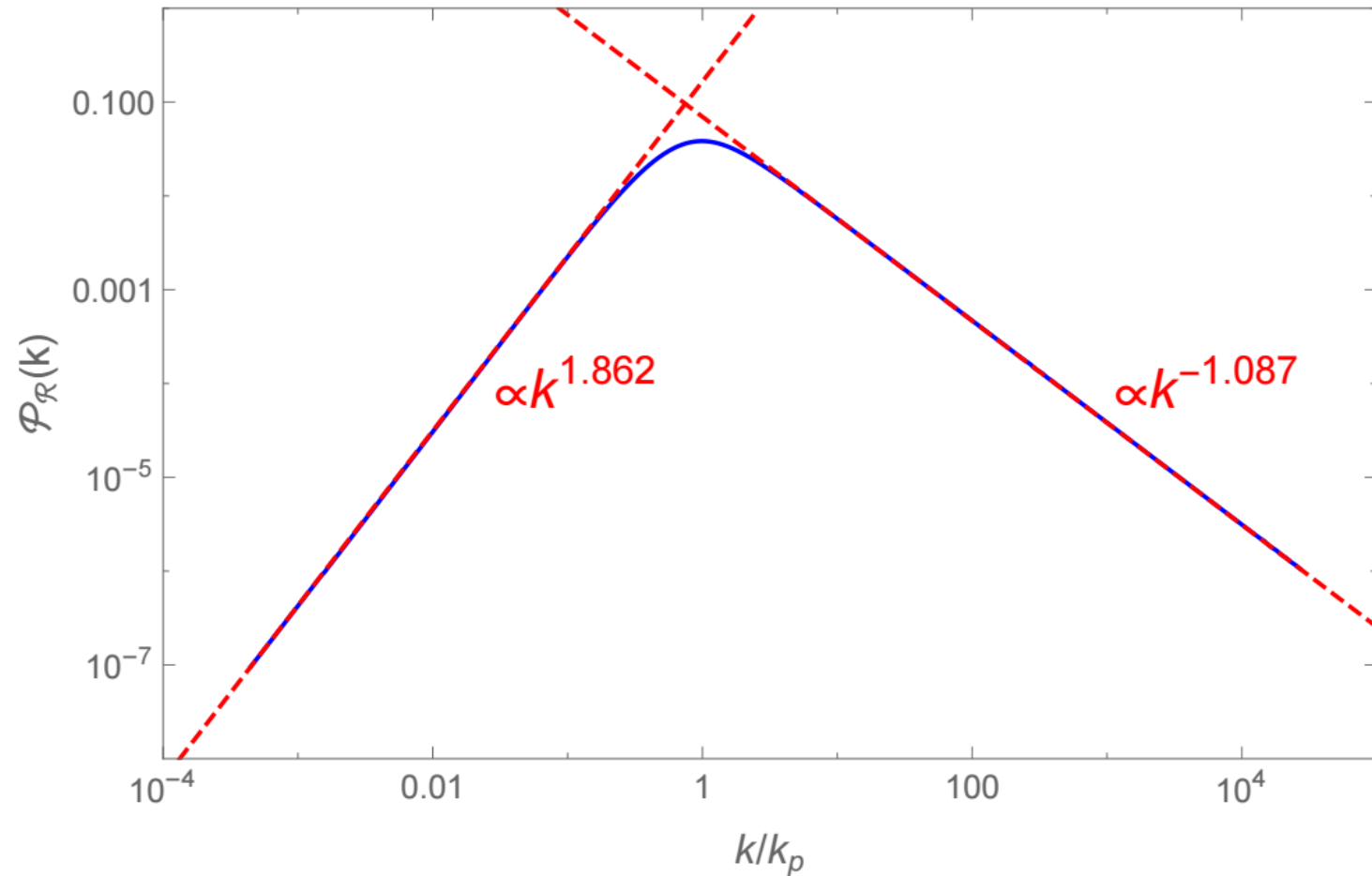
Approximate power-law power spectrum

Earth-mass PBHs: $\phi_c = 3.82 M_{\text{pl}}$, $\sigma = 3 \times 10^9$, $\omega\lambda = 1.59 \times 10^7$

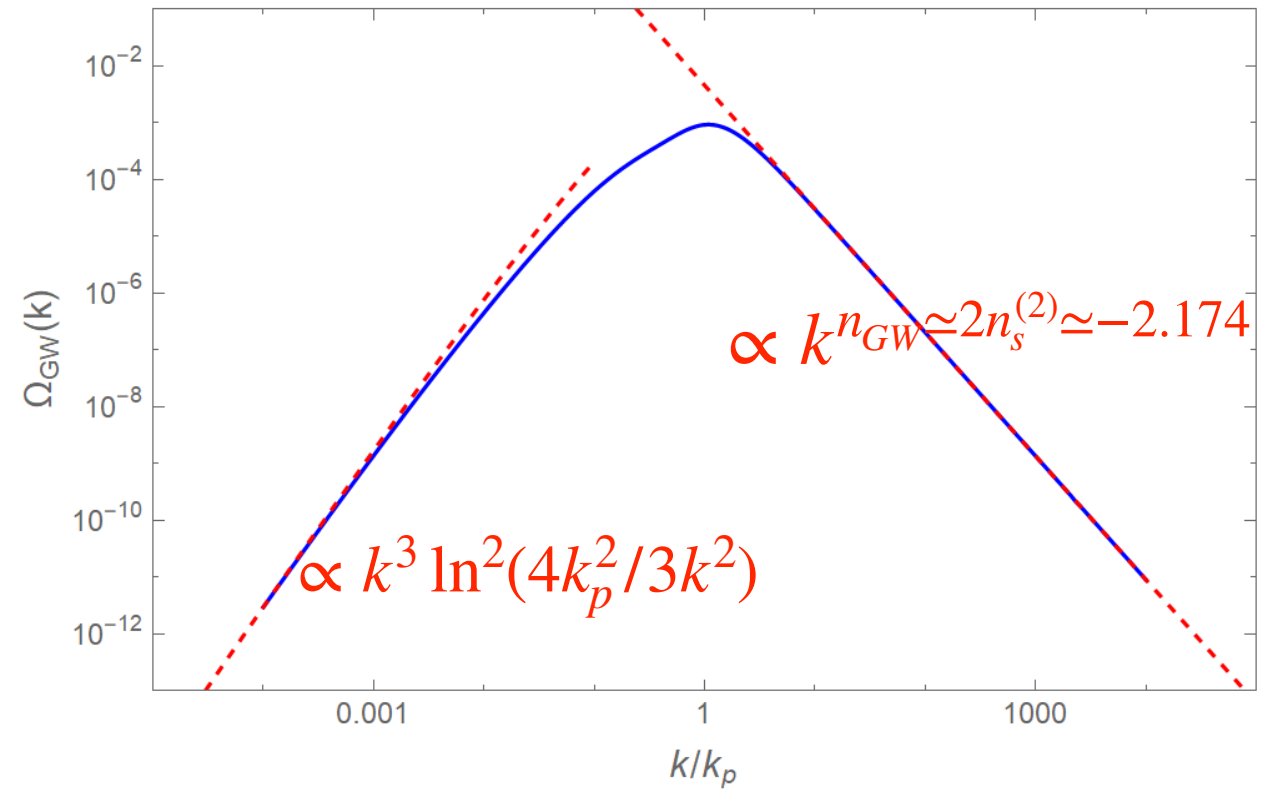
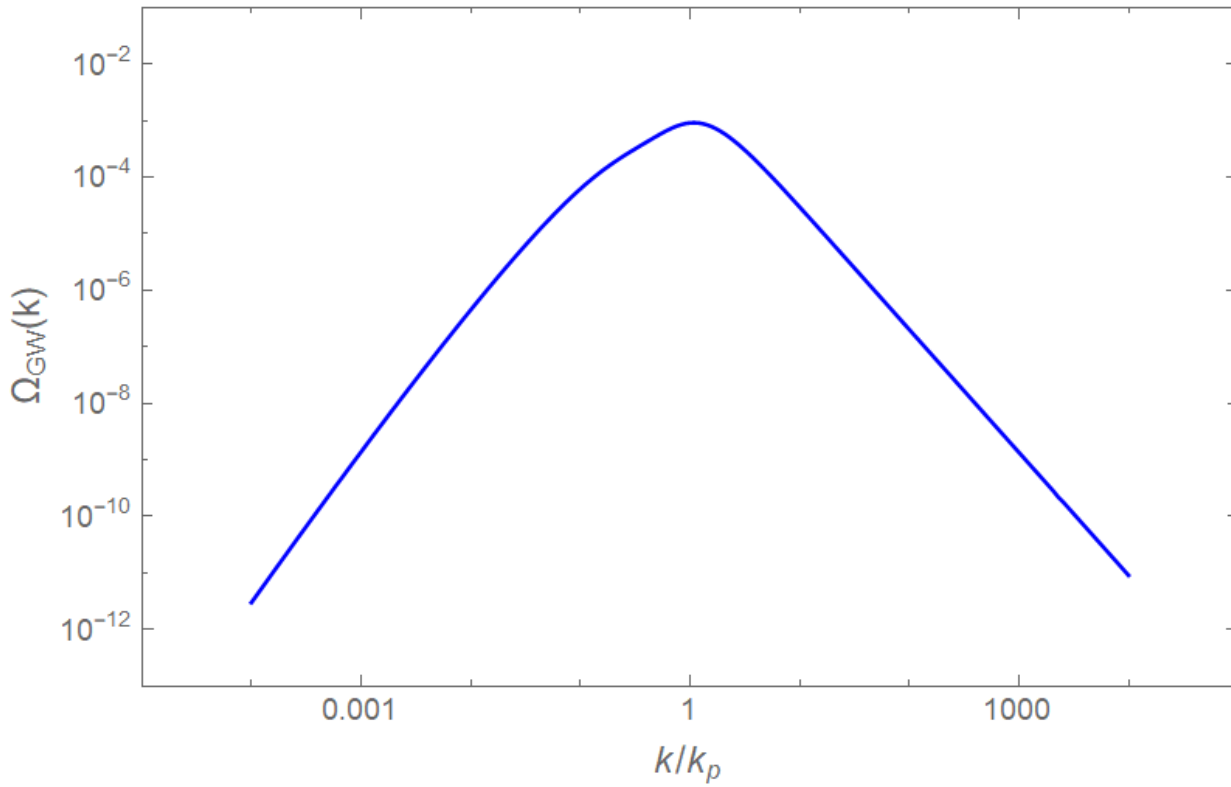
Analytic results

$$n_s^{(1)} \simeq 1.862$$

$$n_s^{(2)} \simeq -1.087$$



Density spectrum and scaling of SIGWs



Scaling of SIGWs

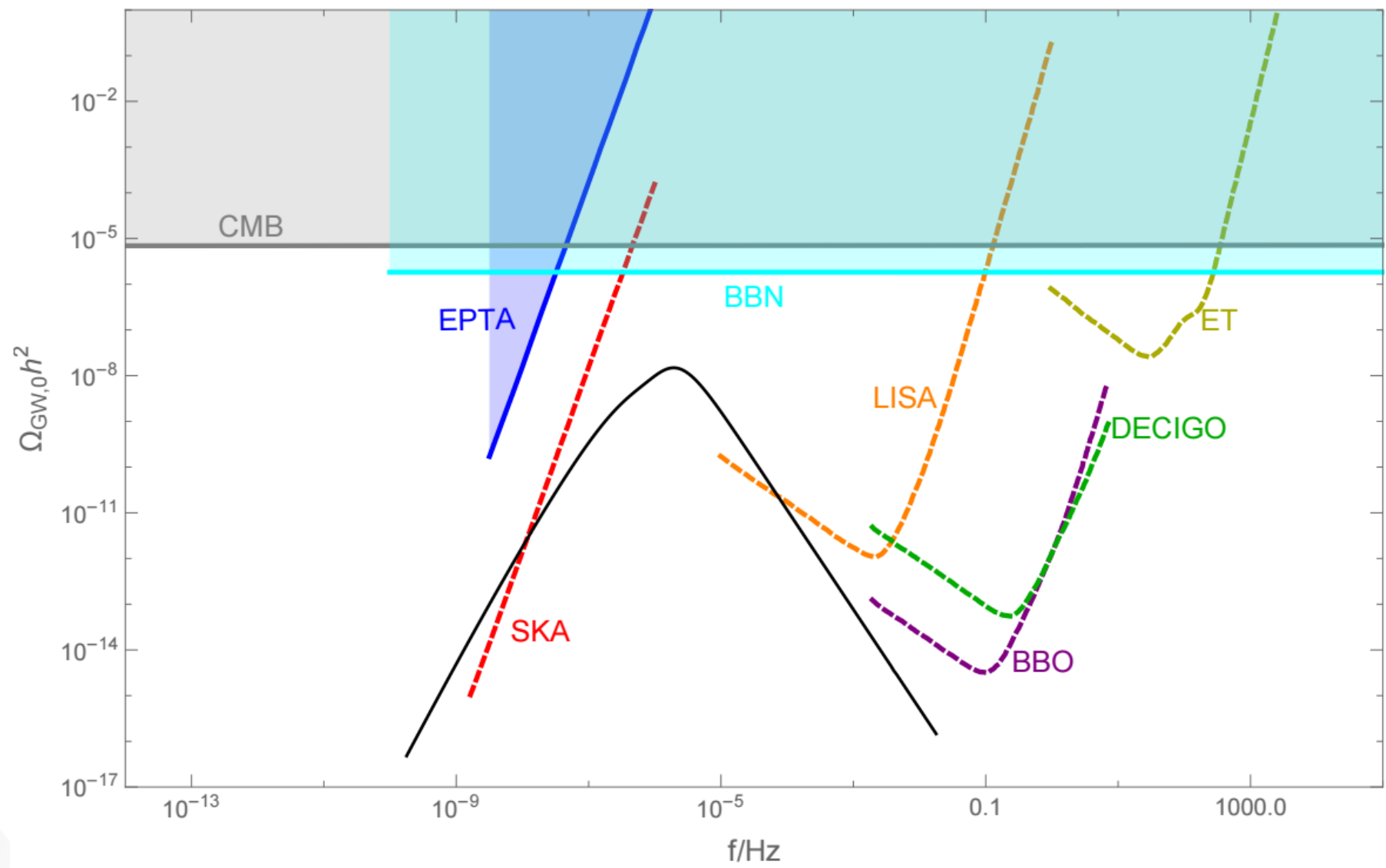
In the ultraviolet regions ($k > k_p$), if $\mathcal{P}_{\mathcal{R}} \propto k^{n_s}$ with $n_s > -4$, the density spectrum of SIGWs is approximated by a power-law function of k [1]

$$\Omega_{\text{GW}}(k) \propto k^{n_{\text{GW}}} \quad n_{\text{GW}} \simeq 2n_s$$

In the infrared regions ($k < k_p$), the density spectrum of SIGWs has a log-dependent slope [2]

$$\Omega_{\text{GW}}(k) \propto \left(\frac{k}{k_p}\right)^3 \ln^2\left(\frac{4k_p^2}{3k^2}\right) \quad n_{\text{GW}} \simeq 3 - \frac{4}{\ln \frac{4k_p^2}{3k^2}}$$

Density parameter spectrum of SIGWs





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Conclusions

- The enhancement of the curvature perturbations can be realized in the nonminimal derivative coupling model with a coupling parameter related to the inflaton field.
- The obtained power spectrum of curvature perturbations has an enough large peak on the small scales and on the large scales satisfies the current observational constraints.
- The power spectrum in the vicinity of the peak can be well approximated by a power-law function of comoving wave number.
- Through fine-tuning two parameters, we can easily obtain a sharp mass spectrum of primordial black holes around specific mass such as $\mathcal{O}(10)M$, $\mathcal{O}(10^{-5})M_{\odot}$, and $\mathcal{O}(10^{-12})M_{\odot}$, which can explain the LIGO events, the ultrashort-timescale microlensing events in OGLE data, and the most of DM, respectively.
- The GW signal produced by scalar metric perturbations will be detected by SKA and LISA. Log-dependent slope of SIGWs in the infrared regions is confirmed, while in the ultraviolet regions a power-law scaling is obtained.



END

THANK YOU FOR LISTENING

