




The Nobel Prize in Physics 2004

"for the discovery of asymptotic freedom in the theory of the strong interaction"



David J. Gross


 1/3 of the prize
USA

Kavli Institute for Theoretical Physics, University of California Santa Barbara, CA, USA

b. 1941



H. David Politzer


 1/3 of the prize
USA

California Institute of Technology Pasadena, CA, USA

b. 1949



Frank Wilczek

 1/3 of the prize
USA

Massachusetts Institute of Technology (MIT) Cambridge, MA, USA


b. 1951

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Asymptotic Freedom: History and Implications

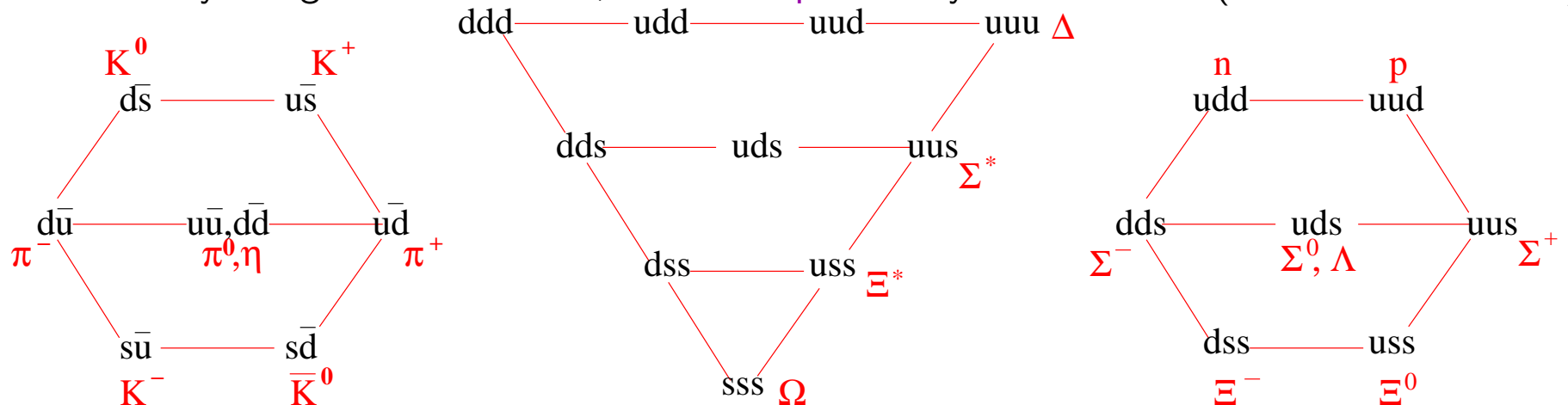
Bryan Webber
University of Cambridge
Cavendish Laboratory

- Quantum Chromodynamics
 - Quarks
 - Colour
- Asymptotic Freedom
 - Effective charge
 - Non-Abelian fields
 - History
- Implications
 - Confinement
 - Grand unification?
- Conclusions

RP Crease and CC Mann, *The Second Creation*, Macmillan 1986
L Hoddeson et al., *The Making of the Standard Model*, CUP 1997

Quark Model of Hadrons

- In the early 1960's, many new strongly-interacting particles (**hadrons**) were discovered, all apparently as 'fundamental' as the familiar proton, neutron and π -meson.
- In 1964, Gell-Mann and Zweig (independently) noticed that the quantum numbers of all the known hadrons corresponded to those of collections of 2 or 3 spin one-half, fractionally-charged constituents, called **quarks** by Gell-Mann (Nobel Prize 1969).



- Zweig (unpublished CERN preprint) called them 'aces'.
- Quarks were regarded as 'mathematical' entities because they were not seen individually.
- Also they seemed to violate the spin-statistics theorem: some hadrons corresponded to totally symmetric combinations of 3 identical quarks.

Colour

- Han and Nambu (1965, also Greenberg) solved the spin-statistics problem by proposing that quarks have a new “colour” degree of freedom which can take 3 values (red, green, blue), with respect to which the ‘symmetrical’ quark states are antisymmetric. Associated symmetry group SU(3).
 - Originally thought of as a *global* symmetry,

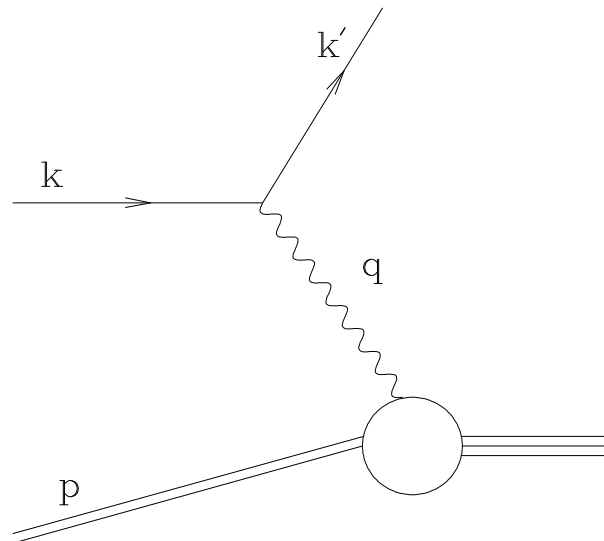
$$q_a \rightarrow q'_a = \mathcal{U}_{ab} q_b$$

where $a = 1, 2, 3$ and the symmetry transformations are represented by constant (i.e. space-time independent) 3×3 unitary matrices \mathcal{U} , which mix the colours while preserving the normalization.

- Observed states $q\bar{q}$, qqq are colour singlets.
- It was necessary to postulate that non-singlet states (q , qq , $(q\bar{q})_8$, . . .) are *forbidden*.
- The notion of quarks as ‘real’ rather than ‘mathematical’ constituents of hadrons was considered quite implausible . . . until amazing experimental data started arriving from the new Stanford Linear Accelerator Centre (SLAC).

Deep inelastic electron scattering

- The SLAC experiments (1967) probed the structure of the proton by scattering high-energy electrons



- Useful dimensionless variables are:

$$x = \frac{-q^2}{2p \cdot q} = \frac{Q^2}{2M(E - E')}, \quad y = \frac{q \cdot p}{k \cdot p} = 1 - \frac{E'}{E}$$

where $Q^2 = -q^2 > 0$, $M =$ proton mass, and energies refer to target rest frame.

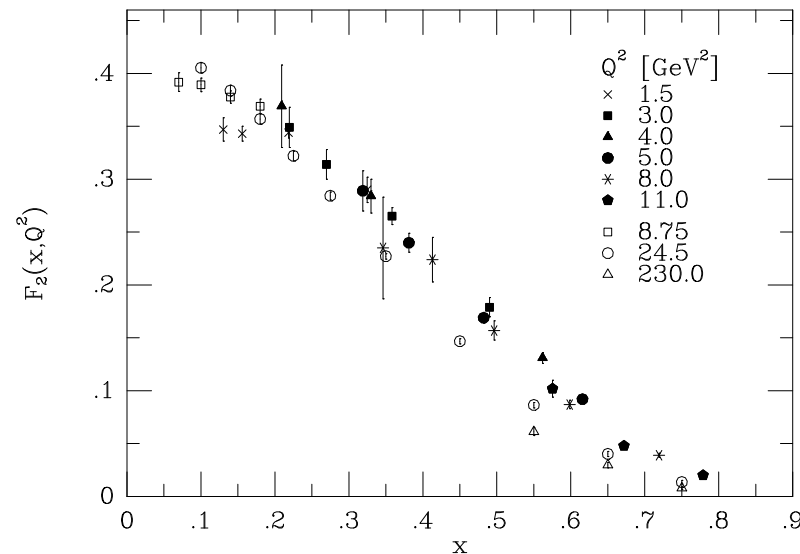
- Elastic scattering has $x = 1$. Deep inelastic scattering (DIS) means $Q^2 \gg M^2$ and $x < 1$.

- Structure functions $F_i(x, Q^2)$ parametrise target structure as 'seen' by virtual photon:

$$\frac{d^2\sigma}{dxdy} = \frac{8\pi\alpha^2 ME}{Q^4} \left[\left(\frac{1 + (1-y)^2}{2} \right) 2xF_1 + (1-y)(F_2 - 2xF_1) - (M/2E)xyF_2 \right]$$

- Bjorken limit is $Q^2 \rightarrow \infty$ and $p \cdot q \rightarrow \infty$ with x fixed. In this limit structure functions were found to obey approximate Bjorken scaling (1969), i.e. they depend only on dimensionless variable x :

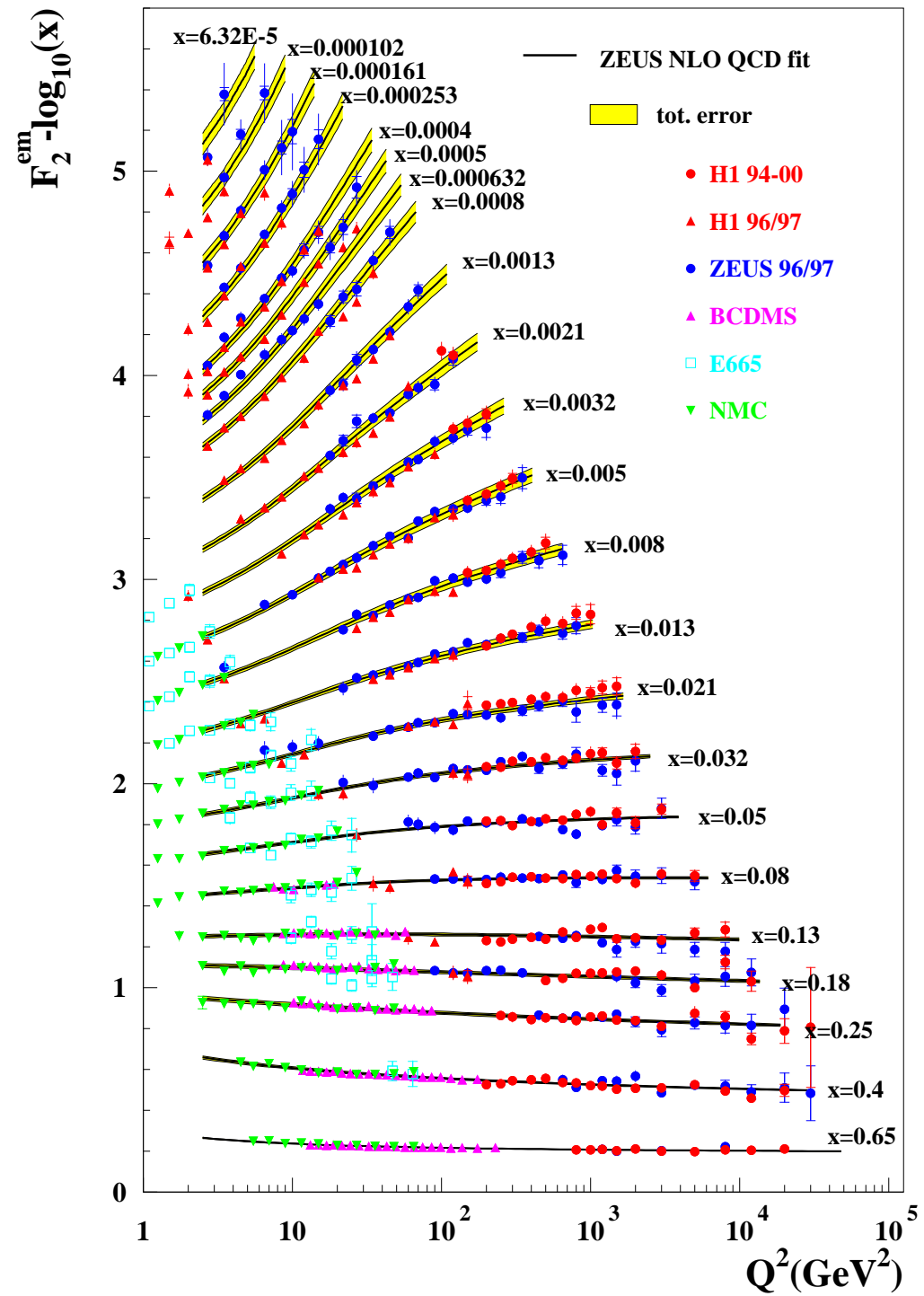
$$F_i(x, Q^2) \longrightarrow F_i(x)$$



- Although Q^2 varies by two orders of magnitude, in first approximation data lie on universal curve.

Implications of Bjorken scaling

- Bjorken scaling implies that virtual photon is scattered by *pointlike constituents* – **partons** (Feynman, 1969) — otherwise structure functions would depend on ratio Q/Q_0 , with $1/Q_0$ a length scale characterizing size of constituents.
- Quantitative study over the next few years established that these pointlike partons had spin one-half and fractional charges, consistent with those expected for the quarks of Gell-Mann and Zweig.
 - However, the quark were found to carry only about one-half of the momentum of the target proton
 - The other half must be carried by strongly-interacting, neutral, bosonic constituents. . .
- Modern data show weak (logarithmic) scaling violation, understood as a calculable higher-order effect.



Yang-Mills theory

- Back in 1954, Yang & Mills had shown that one could extend the notion of local gauge invariance from the *Abelian* $U(1)$ symmetry group of QED:

$$\psi_e(x) \rightarrow \psi'_e(x) = U(x) \psi_e(x)$$

where $U(x) = e^{i\phi(x)}$, to a *non-Abelian* symmetry group:

$$\psi_a(x) \rightarrow \psi'_a(x) = \mathcal{U}_{ab}(x) \psi_b(x)$$

where $a = 1, \dots, N$ and $\mathcal{U}(x) \in SU(N)$ is a *space-time dependent* $N \times N$ unitary matrix, which mixes the N states ψ_a while preserving the normalization.

- As in QED, gauge invariance then requires the existence of a vector **gauge field**
- Quanta of the gauge field would be massless spin-1 particles, analogous to the photon, communicating *long-range forces*
- In 1954, this did not fit with the properties of either strong or weak nuclear interactions. So Yang-Mills theory was ignored.
- Even QED was regarded as a sick theory (see later), and quantum field theory went out of fashion for about 15 years. . .

AND THEN . . .

- The SLAC results prompted renewed interest in a field theory of the strong interactions of pointlike quarks.
- Fritzsche & Gell-Mann (1971, also Weinberg) proposed that the strong interaction is an SU(3) Yang-Mills gauge theory: Quantum Chromodynamics.
 - Quanta of the colour field (gluons) would communicate the strong force between quarks
 - Gluon exchange forces would be attractive in colour singlet states
 - Gluons could also carry the 'missing momentum' of the proton
- But why should quarks behave like almost-free particles in DIS?
- And why should colour non-singlet states be forbidden?

Quantum Chromodynamics

- QCD is an **SU(3) gauge field theory**: quarks come in 3 “colours” ($a = 1, 2, 3$) and the gauge transformations are represented by 3×3 unitary matrices \mathcal{U} , which mix the colours while preserving the normalization:

$$\begin{aligned}q_a(x) \rightarrow q'_a(x) &= \mathcal{U}_{ab}(x) q_b(x) \\ \mathcal{U}_{ab}(x) &= e^{i\mathbf{t} \cdot \boldsymbol{\theta}(x)} \\ \mathbf{t} \cdot \boldsymbol{\theta} &\equiv \sum_{A=1}^8 t^A \theta^A\end{aligned}$$

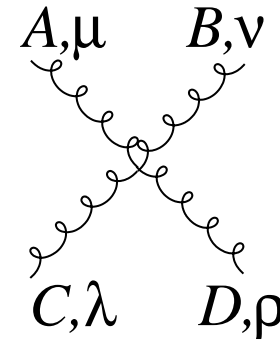
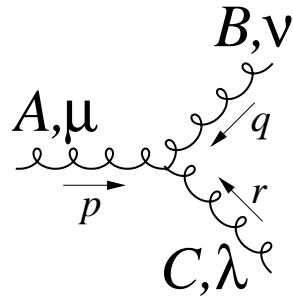
where θ^A are 8 real parameters and t^A , the **generators** of SU(3), are the 8 linearly independent 3×3 traceless hermitian matrices.

- Conventional normalization is $\text{Tr}(t^A t^B) = \frac{1}{2} \delta_{AB}$
- The theory is non-Abelian, i.e., successive gauge transformations do not commute: $[t^A, t^B] = i f^{ABC} t^C$ where the **structure constants** of the gauge group, f^{ABC} , are totally antisymmetric.
- $\mathbf{t} \cdot \mathbf{t} = C_F I$ where $C_F = \frac{4}{3}$ is the “quark colour charge squared”
- $\sum_{A,B} f^{ABC} f^{ABD} = C_A \delta_{CD}$ where $C_A = 3$ is the “gluon colour charge squared”

- The QCD Lagrangian density is

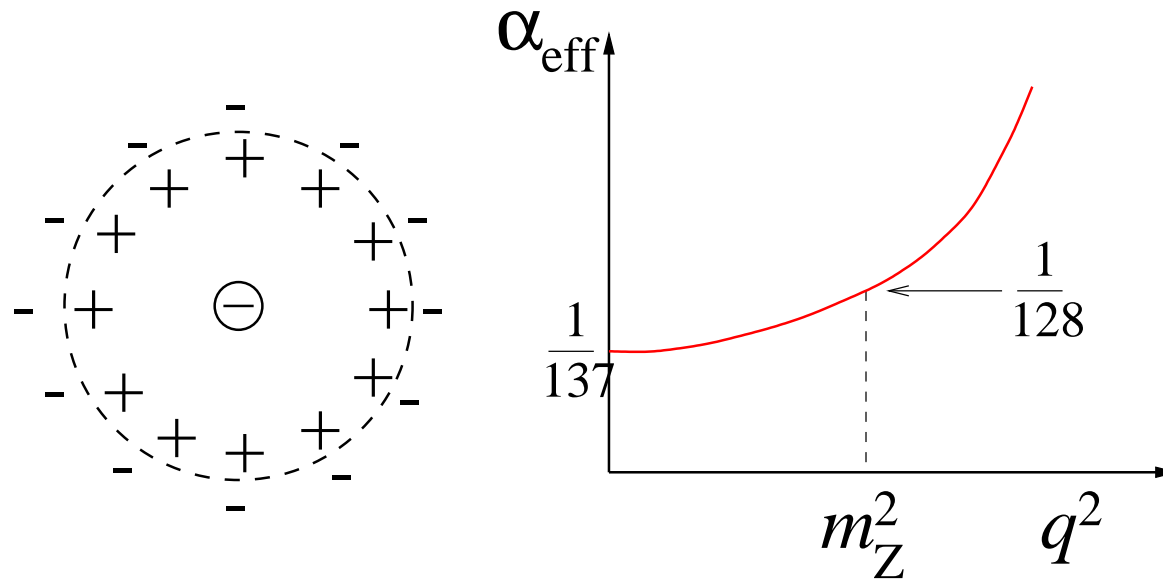
$$\mathcal{L}_{\text{QCD}} = -\frac{1}{4}F_{\mu\nu}^A F^{A\mu\nu} + \sum_{\text{flavours } f} \bar{q}_a^f [i\gamma^\mu (D_\mu)_{ab} - m_f \delta_{ab}] q_b^f$$

- Gluon field strength tensor $F_{\mu\nu}^A = \partial_\mu \mathcal{A}_\nu^A - \partial_\nu \mathcal{A}_\mu^A - g_S f^{ABC} \mathcal{A}_\mu^B \mathcal{A}_\nu^C$
- Covariant derivative $(D_\mu)_{ab} = \partial_\mu \delta_{ab} + i g_S (\mathbf{t} \cdot \mathcal{A}_\mu)_{ab}$
- \mathcal{A}_μ^A are the **gluon fields** ($A = 1, \dots, 8$)
- g_S is the QCD coupling; by analogy with QED we define $\alpha_S \equiv g_S^2/4\pi$
- The third term in the gluon field strength tensor is essential for gauge invariance of \mathcal{L}_{QCD} . Notice that it would vanish for an Abelian (commuting) gauge group ($f^{ABC} = 0$).
- As a consequence of this term, there are 3-gluon and 4-gluon **self-interactions**:

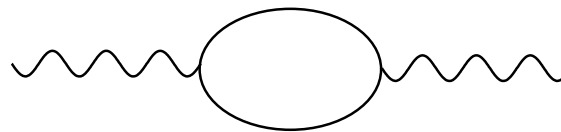


Effective Charge

- In QED the observed electron charge is distance-dependent (\Rightarrow momentum transfer dependent) due to vacuum polarization:

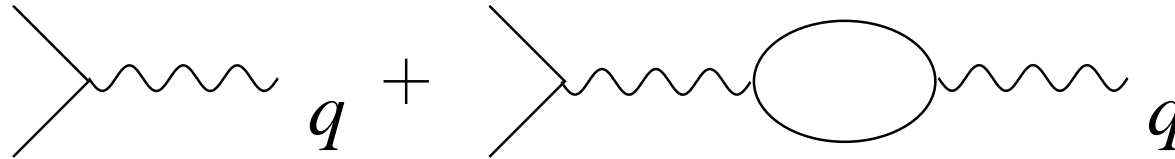


- The one-loop vacuum polarization diagram



is log-divergent and can be regularized by introducing a cut-off Λ .

- Then the observed coupling at momentum transfer q^μ is



$$\alpha(q^2) = \alpha_{\text{bare}} \left(1 + \frac{\alpha}{3\pi} \ln \frac{q^2}{\Lambda^2} + \dots \right)$$

Thus

$$q^2 \frac{d\alpha}{dq^2} = \frac{\alpha^2}{3\pi} + \dots \equiv \beta_{\text{QED}}(\alpha)$$

where the QED β -function $\beta_{\text{QED}}(\alpha) > 0$. At one-loop order, we find

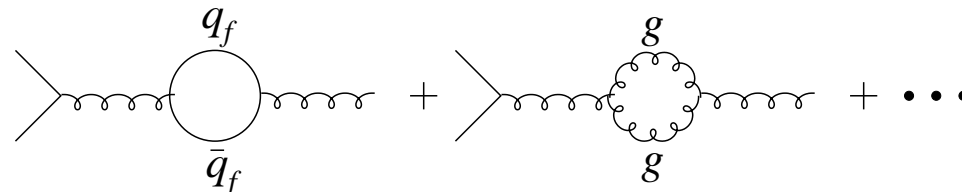
$$\int_{1/137}^{\alpha(Q^2)} \frac{d\alpha}{\alpha^2} = \frac{1}{3\pi} \int_{m_e^2}^{Q^2} \frac{dq^2}{q^2} = \frac{1}{3\pi} \ln \frac{Q^2}{m_e^2}$$

$$\Rightarrow \alpha(Q^2) = \frac{1}{137 - \frac{1}{3\pi} \ln \frac{Q^2}{m_e^2}}$$

- Therefore $\alpha \rightarrow \infty$ at $Q^2 = e^{411\pi} m_e^2$ and is not defined at higher scales (shorter distances).
- This led to the view (Landau, 1954) that QED is not a well-defined theory, and more generally to a lack of confidence in quantum field theory, which lasted for about 15 years.

Asymptotic Freedom

- In QCD there are additional contributions from gluon self-interaction:



As a consequence, the β -function changes. Now

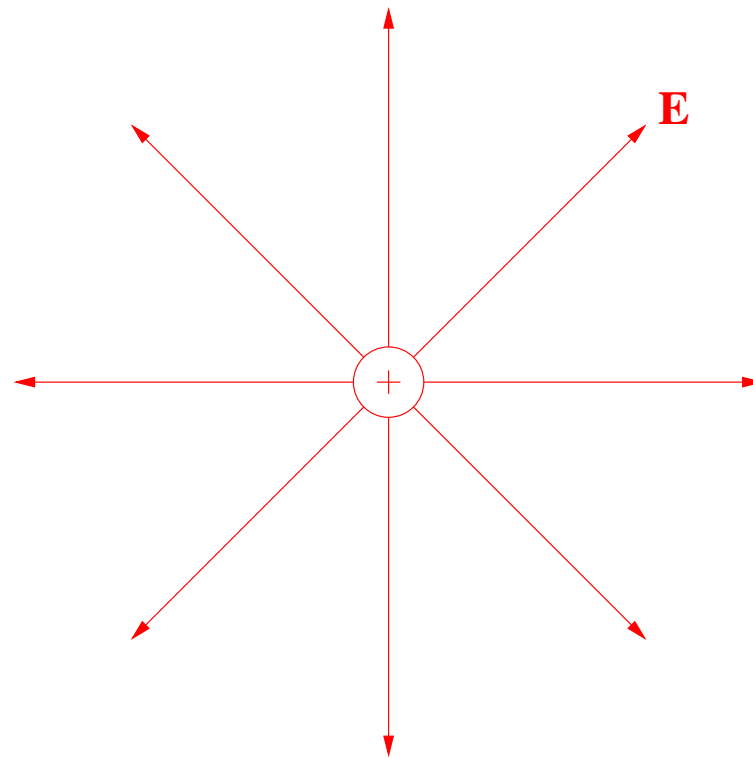
$$\alpha_S(q^2) = \alpha_{S,\text{bare}} \left(1 + \frac{n_f}{6\pi} \alpha_S \ln \frac{q^2}{\Lambda^2} - \frac{11}{12\pi} C_A \alpha_S \ln \frac{q^2}{\Lambda^2} - \dots \right)$$

where n_f is the number of quark flavours. Hence $\beta_{\text{QCD}}(\alpha_S) = \beta_0 \alpha_S^2 - \dots$ where

$$\beta_0 = \frac{1}{12\pi} (2n_f - 11C_A) < 0$$

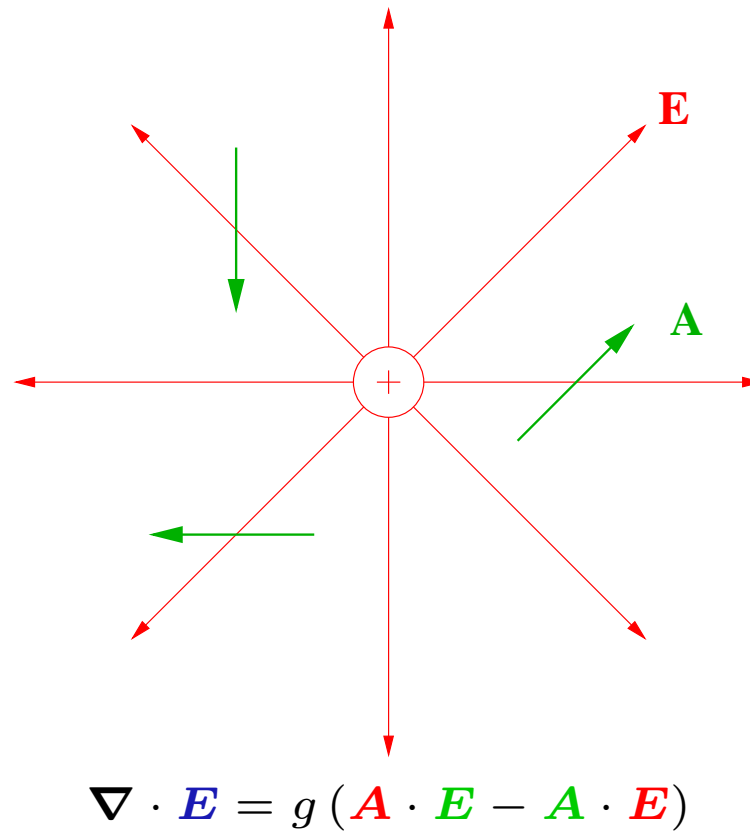
- The gluonic contribution to the vacuum polarization reverses the sign of the β -function, so that the strong coupling α_S **decreases** at large q^2 (short distances). This is called **asymptotic freedom**. It implies that quarks behave as (almost) free particles at short distances, and perturbation theory can be used for **hard processes**, i.e. processes involving large momentum transfers, such as DIS.

Non-Abelian Vacuum Polarization

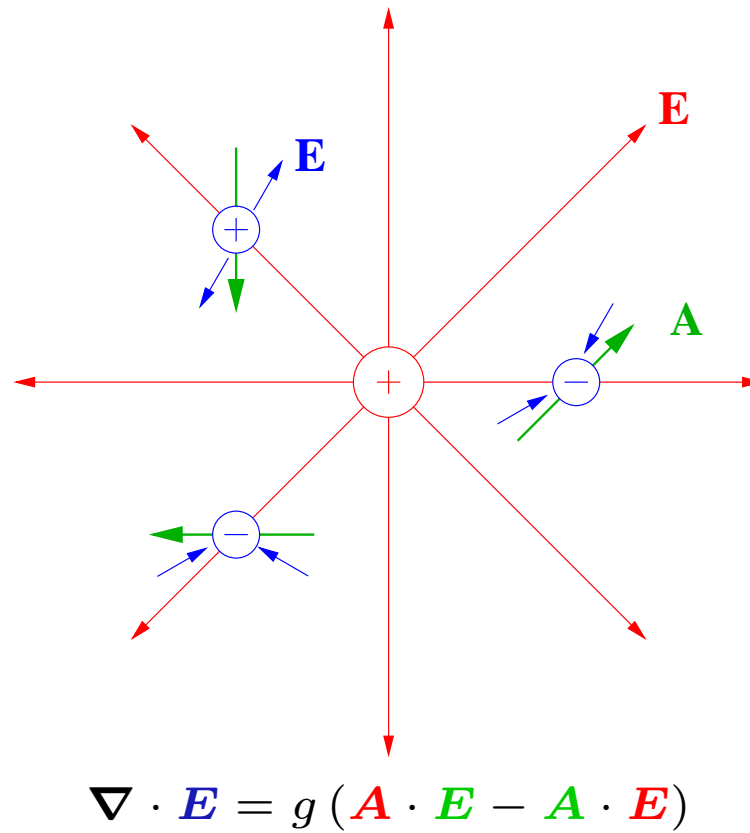


$$\nabla \cdot \mathbf{E} = g \delta^3(\mathbf{r}) + g (\mathbf{A} \cdot \mathbf{E} - \mathbf{A} \cdot \mathbf{E})$$

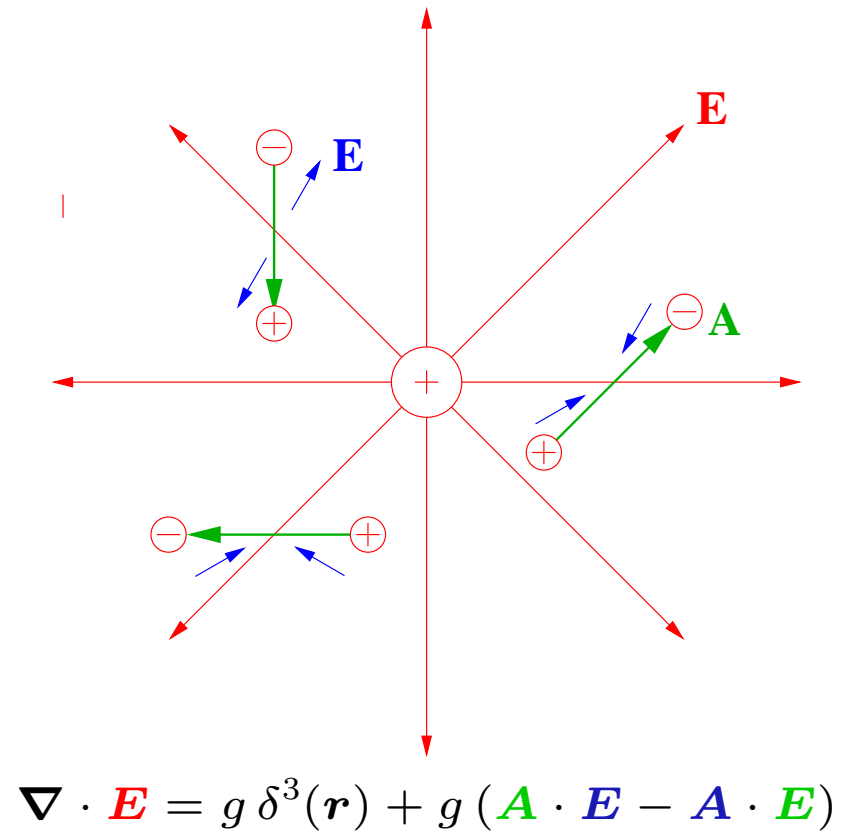
Non-Abelian Vacuum Polarization



Non-Abelian Vacuum Polarization



Non-Abelian Vacuum Polarization



The Vacuum as a Magnetic Medium

- In a dielectric, screening of the effective charge corresponds to $\epsilon > 1$, anti-screening to $\epsilon < 1$.
- Since $\epsilon\mu = 1$ for the vacuum, anti-screening implies magnetic susceptibility $\chi = \mu - 1 > 0$, i.e. a **paramagnetic vacuum**.
- Vacuum polarization due to quanta of spin S gives a vacuum susceptibility proportional to

$$(-1)^{2S} \left[(2S)^2 - \frac{1}{3} \right]$$

Thus $S = 0$ and $\frac{1}{2}$ give *diamagnetic* (screening) contributions, but gauge bosons give anti-screening.

- The existence of large numbers of new spin-0 and/or spin- $\frac{1}{2}$ particles at higher energies could modify or even destroy asymptotic freedom.
 - This is exactly what happens in **supersymmetric** extensions of the Standard Model.

History of Asymptotic Freedom

1954 Yang & Mills study vector field theory with non-Abelian gauge invariance.

1965 Vanyashin & Terentyev compute vacuum polarization due to a massive charged vector field. In our notation, they found

$$\beta_0 = \frac{1}{12\pi} \left(-\frac{21}{2} = -11 + \frac{1}{2} \right)$$

- The $\frac{1}{2}$ comes from longitudinal polarization states (absent for massless gluons)
- They concluded that this result “. . . seems extremely undesirable”.

1969 Khriplovich correctly computes the one-loop β -function in SU(2) Yang-Mills theory using the Coulomb gauge

$$\beta_0 = \frac{C_A}{12\pi} (-12 + 1 = -11)$$

- In Coulomb gauge the anti-screening (-12) is due to an instantaneous Coulomb interaction
- He did not make a connection with strong interactions

1971 't Hooft correctly computes the one-loop β -function for SU(3) gauge theory but does not publish it.

- He wrote it on the blackboard at a conference
- His supervisor (Veltman) told him it wasn't interesting
- 't Hooft & Veltman received the 1999 Nobel Prize for proving the *renormalizability* of QCD (and the whole Standard Model).

1972 Fritzsche & Gell-Mann propose that the strong interaction is an SU(3) gauge theory, later named QCD by Gell-Mann

1973 Gross & Wilczek, and independently Politzer, compute and publish the 1-loop β -function for QCD

$$\beta_0 = \frac{1}{12\pi} (2n_f - 11C_A)$$

⇒ 2004 Nobel Prize (now that 't Hooft has one anyway . . .)

1974 Caswell & Jones compute the 2-loop β -function for QCD

1980 Tarasov, Vladimirov & Zharkov compute the 3-loop β -function for QCD

1997 van Ritbergen, Vermaseren & Larin compute the 4-loop β -function for QCD
($\sim 50,000$ Feynman diagrams)

“. . . We obtained in this way the following result for the 4-loop beta function in the $\overline{\text{MS}}$ -scheme:

$$q^2 \frac{\partial a_s}{\partial q^2} = -\beta_0 a_s^2 - \beta_1 a_s^3 - \beta_2 a_s^4 - \beta_3 a_s^5 + O(a_s^6)$$

where $a_s = \alpha_s/4\pi$ and . . .

$$\begin{aligned}
\beta_0 &= \frac{11}{3}C_A - \frac{4}{3}T_F n_f \\
\beta_1 &= \frac{34}{3}C_A^2 - 4C_F T_F n_f - \frac{20}{3}C_A T_F n_f \\
\beta_2 &= \frac{2857}{54}C_A^3 + 2C_F^2 T_F n_f - \frac{205}{9}C_F C_A T_F n_f \\
&\quad - \frac{1415}{27}C_A^2 T_F n_f + \frac{44}{9}C_F T_F^2 n_f^2 + \frac{158}{27}C_A T_F^2 n_f^2 \\
\beta_3 &= C_A^4 \left(\frac{150653}{486} - \frac{44}{9}\zeta_3 \right) + C_A^3 T_F n_f \left(-\frac{39143}{81} + \frac{136}{3}\zeta_3 \right) \\
&\quad + C_A^2 C_F T_F n_f \left(\frac{7073}{243} - \frac{656}{9}\zeta_3 \right) + C_A C_F^2 T_F n_f \left(-\frac{4204}{27} + \frac{352}{9}\zeta_3 \right) \\
&\quad + 46C_F^3 T_F n_f + C_A^2 T_F^2 n_f^2 \left(\frac{7930}{81} + \frac{224}{9}\zeta_3 \right) + C_F^2 T_F^2 n_f^2 \left(\frac{1352}{27} - \frac{704}{9}\zeta_3 \right) \\
&\quad + C_A C_F T_F^2 n_f^2 \left(\frac{17152}{243} + \frac{448}{9}\zeta_3 \right) + \frac{424}{243}C_A T_F^3 n_f^3 + \frac{1232}{243}C_F T_F^3 n_f^3 \\
&\quad + \frac{d_A^{abcd} d_A^{abcd}}{N_A} \left(-\frac{80}{9} + \frac{704}{3}\zeta_3 \right) + n_f \frac{d_F^{abcd} d_A^{abcd}}{N_A} \left(\frac{512}{9} - \frac{1664}{3}\zeta_3 \right) \\
&\quad + n_f^2 \frac{d_F^{abcd} d_F^{abcd}}{N_A} \left(-\frac{704}{9} + \frac{512}{3}\zeta_3 \right)
\end{aligned}$$

Here ζ is the Riemann zeta-function ($\zeta_3 = 1.202 \dots$) and the colour factors for $SU(N)$ are

$$T_F = \frac{1}{2}, \quad C_A = N, \quad C_F = \frac{N^2 - 1}{2N}, \quad \frac{d_A^{abcd} d_A^{abcd}}{N_A} = \frac{N^2(N^2 + 36)}{24},$$

$$\frac{d_F^{abcd} d_A^{abcd}}{N_A} = \frac{N(N^2 + 6)}{48}, \quad \frac{d_F^{abcd} d_F^{abcd}}{N_A} = \frac{N^4 - 6N^2 + 18}{96N^2}$$

Substitution of these colour factors for $N = 3$ yields the following numerical results for QCD:

$$\beta_0 \approx 11 - 0.66667n_f$$

$$\beta_1 \approx 102 - 12.6667n_f$$

$$\beta_2 \approx 1428.50 - 279.611n_f + 6.01852n_f^2$$

$$\beta_3 \approx 29243.0 - 6946.30n_f + 405.089n_f^2 + 1.49931n_f^3$$



QCD Running Coupling

- We have $q^2 \frac{d\alpha_S}{dq^2} = \beta_{\text{QCD}}(\alpha_S)$
- Hence

$$\int_{\alpha_S(\mu^2)}^{\alpha_S(Q^2)} \frac{d\alpha_S}{\beta_{\text{QCD}}(\alpha_S)} = \int_{\mu^2}^{Q^2} \frac{dq^2}{q^2} = \ln \frac{Q^2}{\mu^2}$$

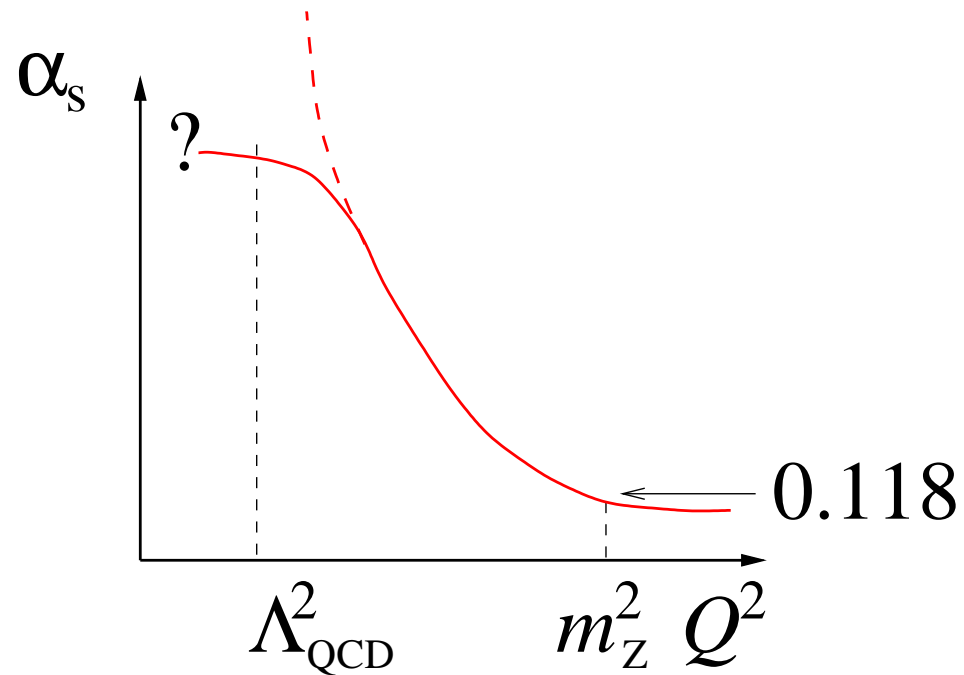
- In lowest order, $\beta_{\text{QCD}}(\alpha_S) = -\beta_0 \alpha_S^2$ and thus

$$\begin{aligned} \frac{1}{\alpha_S(Q^2)} - \frac{1}{\alpha_S(\mu^2)} &= \beta_0 \ln \frac{Q^2}{\mu^2} \\ \Rightarrow \alpha_S(Q^2) &= \frac{\alpha_S(\mu^2)}{1 + \alpha_S(\mu^2) \beta_0 \ln(Q^2/\mu^2)} \end{aligned}$$

- We had to introduce a dimensionful parameter μ to specify the boundary conditions. Alternatively, we can define Λ_{QCD} (not to be confused with the cut-off Λ introduced earlier) as the scale at which the (perturbative) solution diverges . . .

$$\frac{1}{\alpha_s(Q^2)} - 0 = \beta_0 \ln \frac{Q^2}{\Lambda_{\text{QCD}}^2}$$

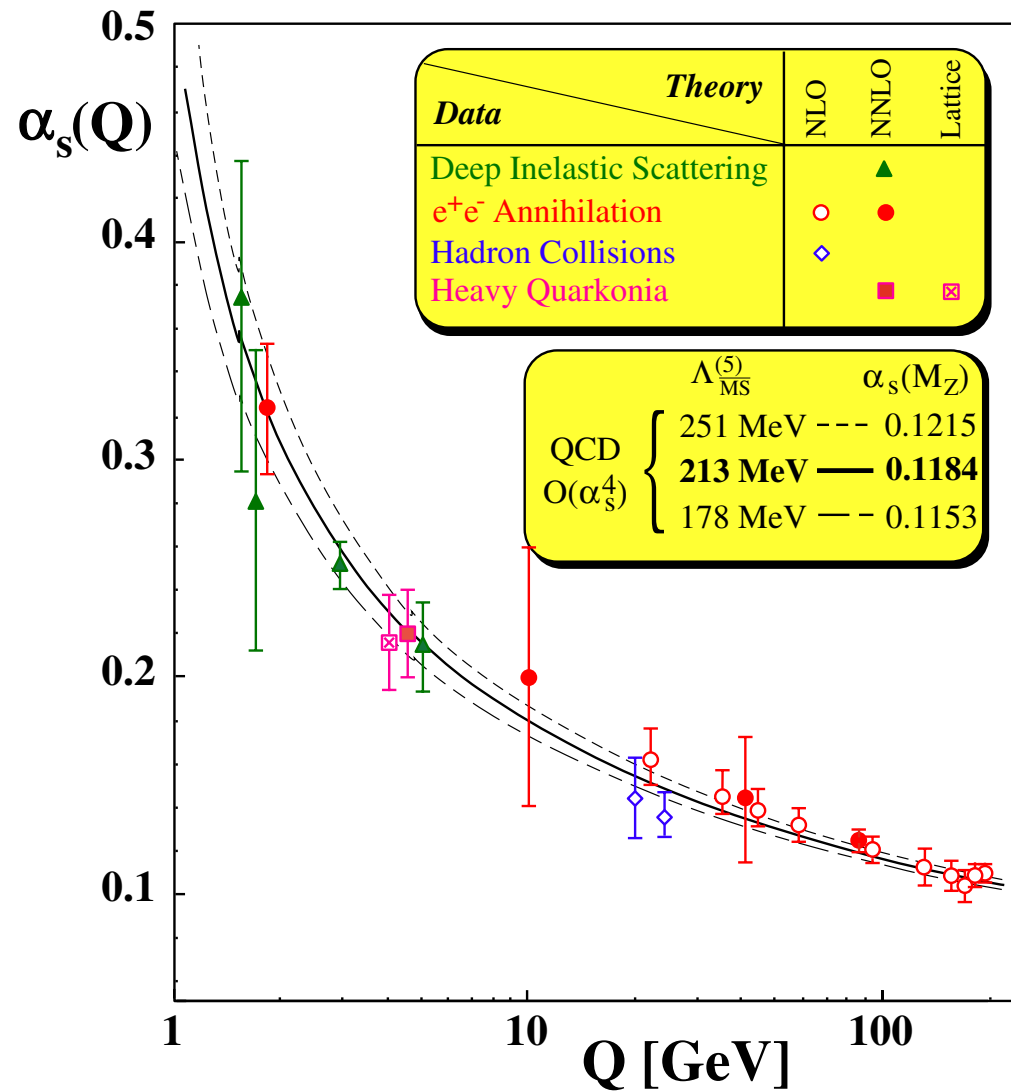
$$\Rightarrow \alpha_s(Q^2) = \frac{1}{\beta_0 \ln(Q^2/\Lambda_{\text{QCD}}^2)}$$



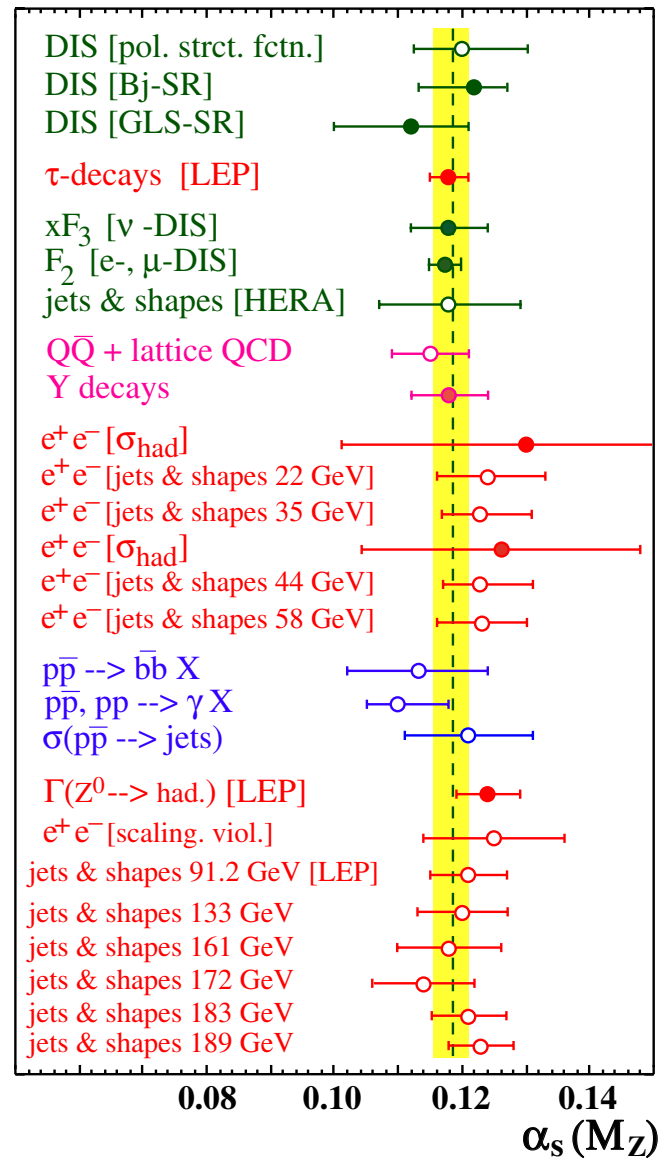
- Experimentally the fundamental scale of QCD is

$$\Lambda_{\text{QCD}} \simeq 210 \pm 40 \text{ MeV}$$

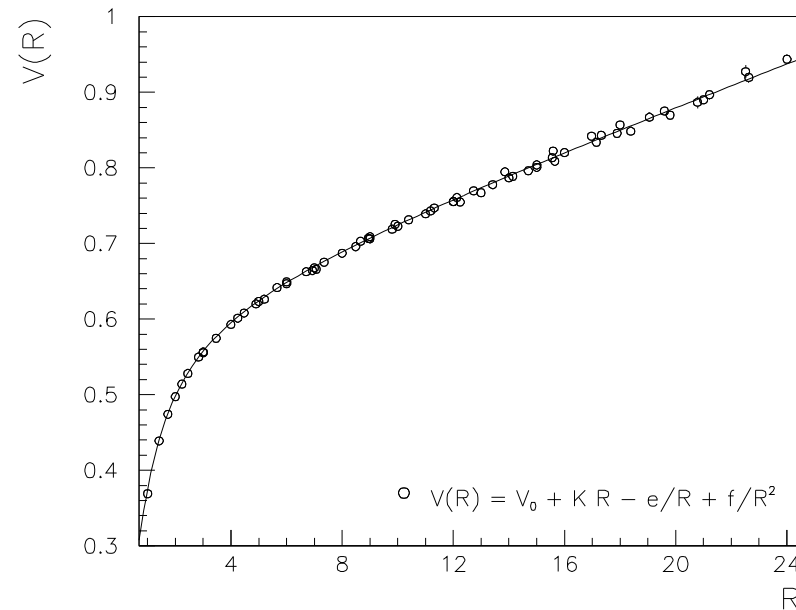
- Measurements at different scales show clear evidence that α_s does run:



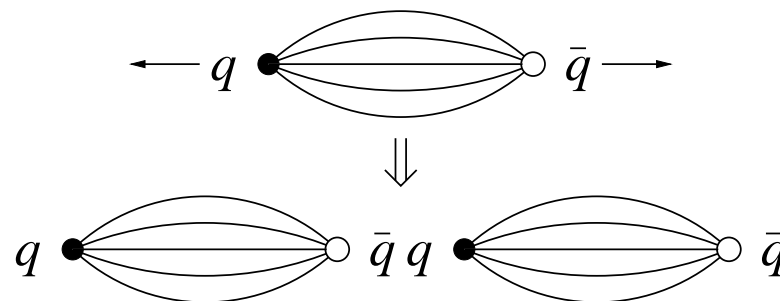
- Using the formula for the running of α_s , measurements at different scales can be expressed as measurements of $\alpha_s(M_Z^2)$:



- Non-perturbative (lattice) studies of QCD indicate that force between two colour charges (e.g. quarks) becomes constant at large distances, corresponding to a **linear potential**.



- It follows that quarks (and gluons) cannot be observed as isolated objects and exist only in colour-singlet bound states. Thus QCD explains **quark confinement**.



Grand Unification

- The complete Standard Model covariant derivative is

$$D^\mu = \partial^\mu + ig_S \mathbf{t} \cdot \mathbf{A}^\mu + ig \mathbf{I} \cdot \mathbf{W}^\mu + ig' Y B^\mu$$

where extra terms represent the SU(2) and U(1) *electroweak* gauge field interactions.

- We would like to write this as

$$D^\mu = \partial^\mu + ig_{\text{GUT}} \mathbf{T} \cdot \mathbf{X}^\mu$$

where g_{GUT} is coupling of a **Grand Unified Theory** with gauge fields X_α^μ , and the gauge group G is a **simple** Lie group with generators T_α .

- Definition: A *simple* Lie group is one with no *invariant subalgebras*,
i.e. no A such that $X_\alpha \in A$ implies $[X_\alpha, X_\beta] \in A$ for all $X_\beta \in G$.
- Theorem: G is simple iff

$$\text{Tr}_R(T_\alpha T_\beta) = N_R \delta_{\alpha\beta}$$

where Tr_R represents a sum over all states in a representation R of G and N_R is a number characteristic of the representation R .

- For $R =$ a Standard Model generation, e.g. u, d, e^- and ν_e , we have

$$\text{Tr}_R(t_3 t_3) = \text{Tr}_R(t_8 t_8) = \text{Tr}_R(I_3 I_3) = 2, \quad \text{Tr}_R(Y^2) = \frac{10}{3}$$

- Hence for grand unification we require

$$g_{\text{GUT}} = g_S = g = \sqrt{\frac{5}{3}} g'$$

- However, this should hold at the GUT energy scale, not at present energies. . .

Running of Standard Model Couplings

- Setting $\alpha_3 = \frac{g_S^2}{4\pi}$, $\alpha_2 = \frac{g^2}{4\pi}$, $\alpha_1 = \frac{5g'^2}{3 \cdot 4\pi}$, we have (ignoring Higgs contributions)

$$q^2 \frac{d\alpha_i}{dq^2} = -\frac{\alpha_i^2}{\pi} \left(\frac{11}{12} C_1 - \frac{1}{3} C_2 \right)$$

where

$$\text{Tr}(T^A T^B) = C_1 \delta_{AB} \quad (\text{gauge bosons})$$

$$\text{Tr}(t_a t_b) = C_2 \delta_{ab} \quad (\text{fundamental fermions})$$

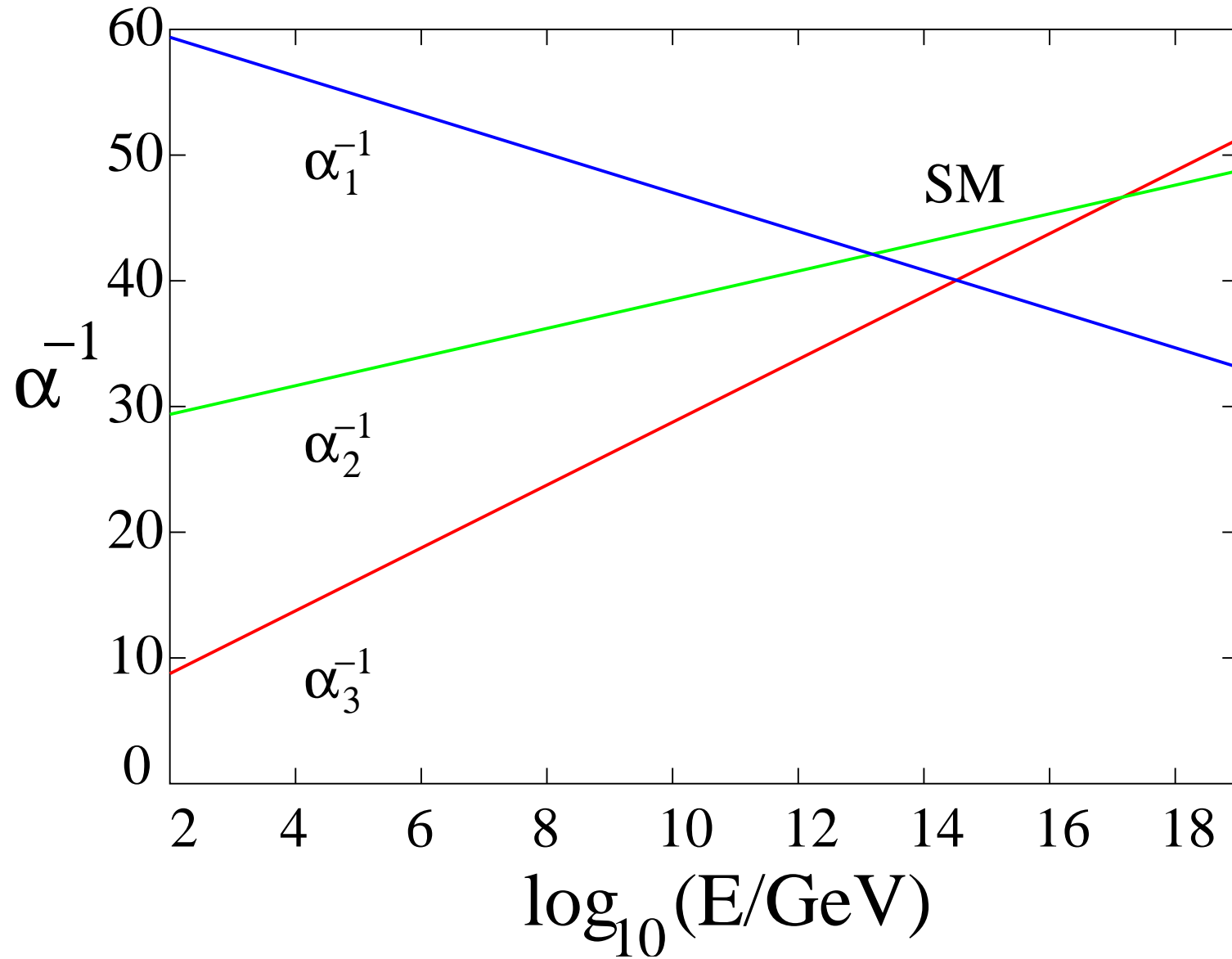
- For SU(N), $C_1 = N$, $C_2 = n_f/2$, and for n_g generations we therefore find (now including Higgs contributions)

$$q^2 \frac{d\alpha_3}{dq^2} = -\frac{\alpha_3^2}{\pi} \left(\frac{11}{4} - \frac{1}{3} n_g \right)$$

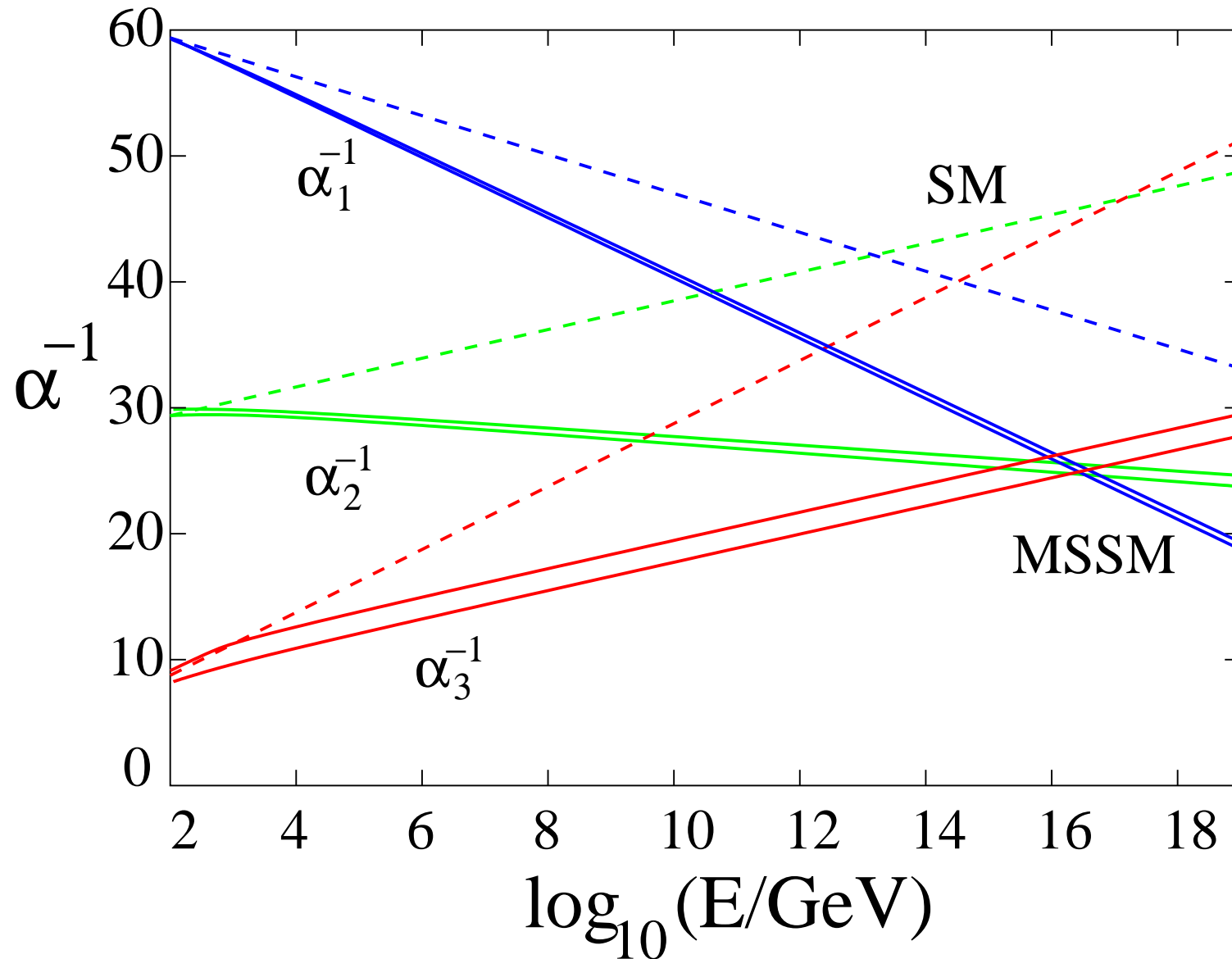
$$q^2 \frac{d\alpha_2}{dq^2} = -\frac{\alpha_2^2}{\pi} \left(\frac{11}{6} - \frac{1}{3} n_g - \frac{1}{24} \right)$$

$$q^2 \frac{d\alpha_1}{dq^2} = -\frac{\alpha_1^2}{\pi} \left(-\frac{1}{3} n_g - \frac{1}{40} \right) .$$

- Then running couplings almost meet at scale $\sim 10^{16}$ GeV.



- Adding supersymmetric partners for all Standard Model particles gives much better unification, **provided** superpartner masses are not more than ~ 1 TeV \Rightarrow Large Hadron Collider



Conclusion: How to Win the Nobel Prize in Physics

- Discover or predict something important
- Understand its significance
- Publish first
- Be ≤ 3
- For theorists: be confirmed by experiment
- Live long enough

N.B. All are necessary, but not sufficient!

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Iosif Khriplovich



Gerhard 't Hooft