

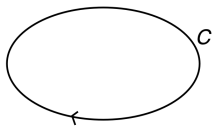
# Algebras and Entropies For Black Holes

Edward Witten, IAS

I will talk about the paper “Gravity and the Crossed Product” (arXiv:2112.12828) and “An Algebra of Observables for de Sitter Space” (arXiv:2206.10780) with V. Chandrasekharan, R. Longo, and G. Penington.

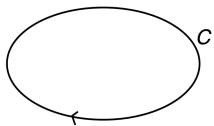
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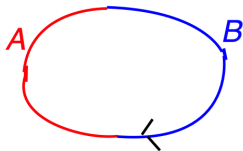


If a Hilbert space  $\mathcal{H}$  furnishes a representation of an affine Lie algebra  $\widehat{\mathfrak{g}}$ , then to every  $\mathfrak{g}^*$ -valued function  $f : S^1 \rightarrow \mathfrak{g}^*$ , there is an operator  $J(f)$  on  $\mathcal{H}$  that physicists denote as

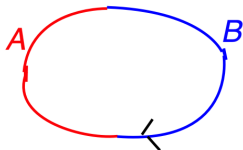
$$J(f) = \oint_C (J, f),$$

where  $J$  is the “current.” Bounded functions of operators  $J(f)$  generate the Type I von Neumann algebra of all bounded operators on  $\mathcal{H}$ .

Suppose however that we divide the circle into two pieces  $A$  and  $B$



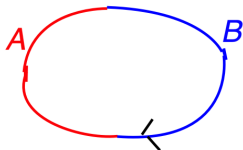
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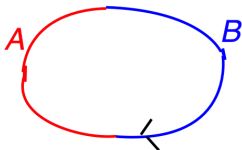


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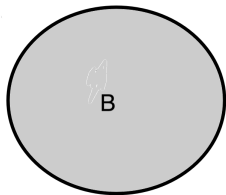
and consider only functions  $f$  with support in, say, region  $A$ . Operators  $J(f)$  for such  $f$  generate what is called a von Neumann algebra of Type III. In case this notion is not familiar, I will explain enough later to make the talk understandable.

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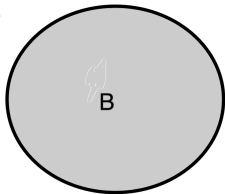
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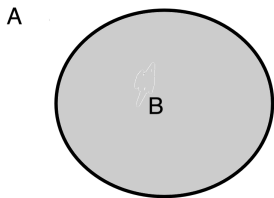
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and consider only operators in region  $A$ , then we get an algebra of Type III. This was shown by H. Araki in the 1960's (for the case of free field theory).

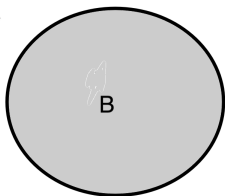
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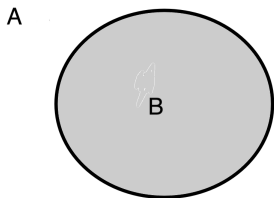
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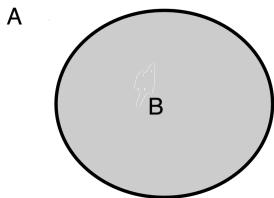


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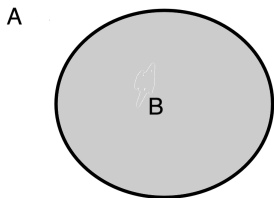
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should be viewed as a contribution to the entropy (here *G* is Newton’s constant and  $\hbar$  is Planck’s constant). Hawking later showed that this should actually be  $A/4G\hbar$ .

Bekenstein proposed that the quantity that satisfies the second law and always increases is not the ordinary entropy of matter and radiation outside a black hole, which I will call  $S_{\text{out}}$ , but rather a “generalized entropy” which is the sum of  $A/4G\hbar$  and  $S_{\text{out}}$ :

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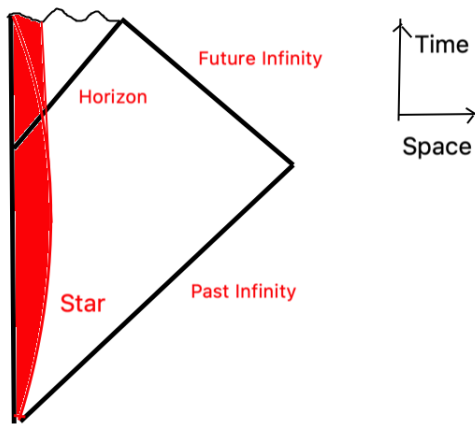
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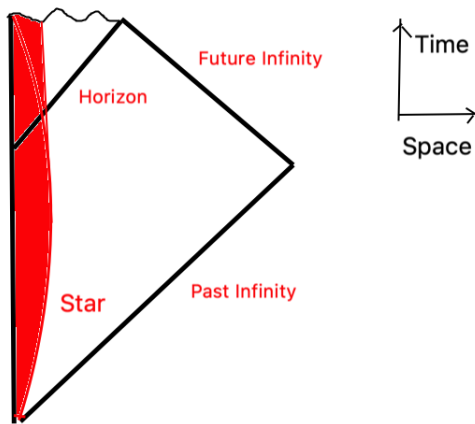
The idea is that the “correct” quantity to which the second law applies should really be the generalized entropy. When we toss a cup of tea into a black hole  $S_{\text{out}}$  goes down but  $A/4G\hbar$  goes up by more.



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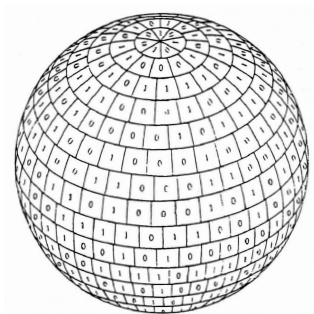


But he ended up proving that Bekenstein was right, by finding that at the quantum level a black hole is not really black but has a temperature of order  $\hbar$ .

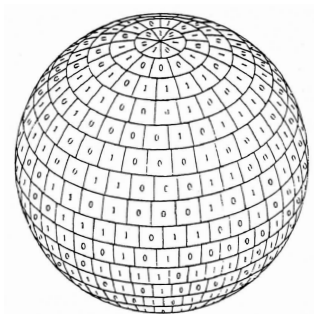
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$$\frac{dS_{\text{gen}}}{dt} \geq 0.$$

(The most complete proof is by A. Wall (2011) and makes use of Tomita-Takesaki theory of von Neumann algebras.) Other subtle properties of classical General Relativity work out in such a way that the first law of thermodynamics is also satisfied

$$dE = TdS + \Phi dQ + \Omega dJ.$$



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Usually in quantum mechanics, one can assume that the subsystems  $A$  and  $B$  can be described by Hilbert spaces  $\mathcal{H}_A$  and  $\mathcal{H}_B$ ; the Hilbert space of the combined system is then a tensor product

$$\mathcal{H}_{AB} = \mathcal{H}_A \otimes \mathcal{H}_B.$$

In such a situation, one can define an algebra  $\mathcal{A}$  of operators of system  $A$  – that is, operators on  $\mathcal{H}_A$  – and an algebra  $\mathcal{B}$  of operators of system  $B$  – that is, operators on  $\mathcal{H}_B$ .

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$$(a, a') = \text{Tr}_{\mathcal{H}_A} aa'.$$

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An element  $\rho \in \mathcal{A}$  that is self-adjoint, non-negative and has trace 1 is called a density matrix. So we have learned that any state  $\Psi$  of the whole universe determines a density matrix for the subsystem  $A$ . Conversely, if  $\rho \in \mathcal{A}$  is a density matrix, it is not hard to show that it is the density matrix of some  $\Psi$  (assuming that system  $B$  is big enough).

When system  $A$  is described by a density matrix  $\rho$ , its entropy is defined to be

$$S(\rho) = -\text{Tr } \rho \log \rho.$$

This formula is due to von Neumann and is called the von Neumann entropy; in the limit of classical mechanics, it goes over to a classical formula for entropy due to Gibbs (extending earlier work of Boltzmann).

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$$F(a) = \text{Tr } a\rho$$

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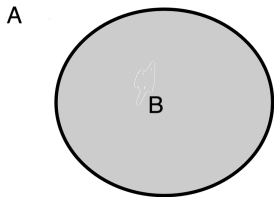


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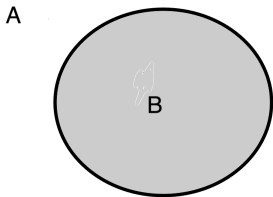
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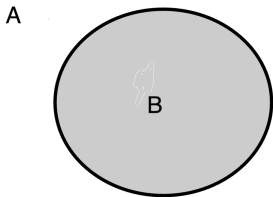


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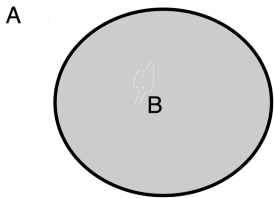
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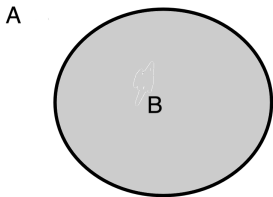
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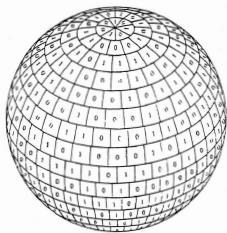


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- (1)  $A/4G$  is the irreducible entropy of the system for someone who has access only to the region outside the horizon
- (2) the divergence in the entanglement entropy is proportional to  $A$  because it comes from short wavelength modes near the "horizon," as if (after cutting off the divergence) the density of quantum degrees of freedom on the horizon per unit area is  $4G$  as in Wheeler's picture:



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$$\frac{1}{G\hbar} = \frac{1}{G_0\hbar} + c\Lambda^2 + \dots.$$

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First of all, as I already explained, in ordinary quantum mechanics, when one considers a system  $AB$  made from subsystems  $A$  and  $B$ , one normally assumes at the start that each system has its own Hilbert space  $\mathcal{H}_A$  or  $\mathcal{H}_B$ .

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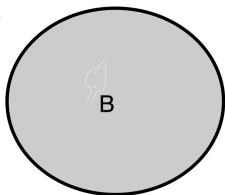
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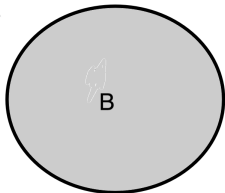
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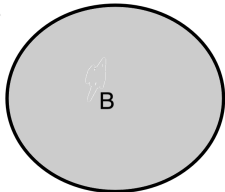


The divergence found by Sorkin was an ultraviolet divergence, so it does not depend on the state: every state looks like the vacuum at short distances.

The root of the problem is that it is not true

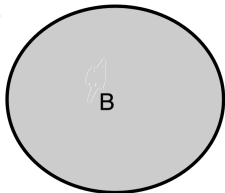
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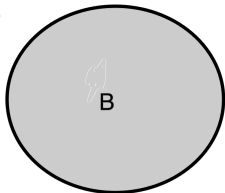


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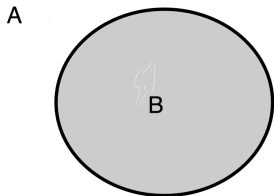
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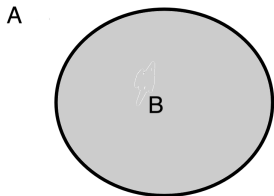
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(II) A Type II algebra does not have pure states, but there is a notion of density matrix and entropy for a system in which the algebra of observables is of Type II.

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(iii) A Type III algebra is the “worst” type – a system whose observables form a Type III algebra does not have pure states and also does not have density matrices or entropies.

By now you might anticipate the bad news:

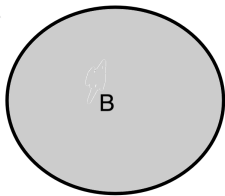
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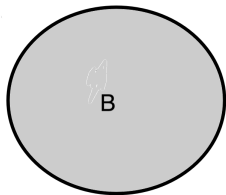
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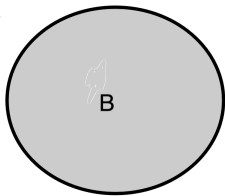


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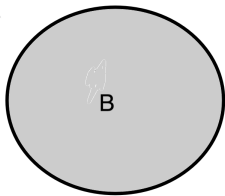


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is always of Type III. So to a region, one can never associate a pure state, or a density matrix or entropy. The Type III nature of the algebra is the “reason” for the universal ultraviolet divergence of the entanglement entropy.



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$$S_{\text{gen}} = \frac{A}{4G} + S_{\text{out}}.$$

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$$\psi = \frac{1}{2^{N/2}} \bigotimes_{n=1}^N \left( \sum_{i=1,2} |i\rangle_{A,n} \otimes |i\rangle_{B,n} \right).$$

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$$F(a) = \langle \Psi | a | \Psi \rangle.$$

The state  $\Psi$  was constructed so that the corresponding density matrix is a multiple of the identity,  $\rho = 2^{-N} \cdot 1$ . So

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For any given  $a$ ,  $F(a)$  is defined and independent of  $N$  as soon as  $N$  is big enough (as soon as we include all qubits on which  $a$  acts) so  $F(a)$  has a large  $N$  limit.

For  $N \rightarrow \infty$ , the function  $F(a)$  can be defined for any operator  $a$  that acts on any finite set of qubits in system  $A$  and of course it still satisfies

$$F(1) = 1$$

and

$$F(aa') = F(a'a).$$

$F$  is also positive in the sense that

$$F(a^\dagger a) > 0 \text{ for all } a \neq 0.$$

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but  $\text{Tr } a$  is *not* the trace of  $a$  in any Hilbert space representation. In the language of physicists, it is a renormalized trace with an infinite factor  $2^{-N} \big|_{N \rightarrow \infty}$  removed.

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Moreover, in a Type II algebra, the trace is nondegenerate in the sense that  $(a, a') = \text{Tr } aa'$  is a nondegenerate (and positive-definite) bilinear form on the algebra (this follows from our earlier result that  $\text{Tr } a^\dagger a > 0$  for all  $a \neq 0$ ).

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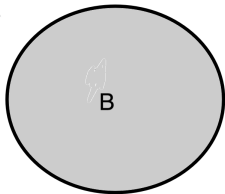
$$F(a) = \text{Tr } aa'$$

for some unique  $a' \in \mathcal{A}$ .

Now let us go back to the situation considered by Sorkin:

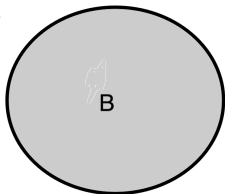
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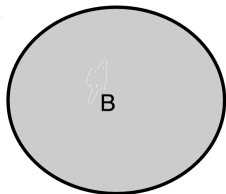
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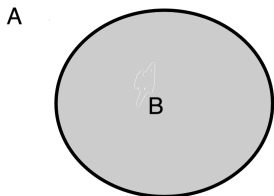
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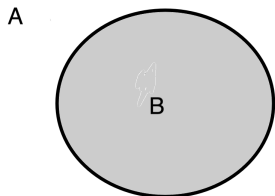
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We consider some state  $\Psi$  of the whole universe. *Suppose* it were true that physics in region  $A$  is described by a Type II algebra  $\mathcal{A}$ . Then the linear function  $a \rightarrow \langle \Psi | a | \Psi \rangle$  would be equal to  $\text{Tr } a \rho_A$  for some  $\rho_A \in \mathcal{A}$ :

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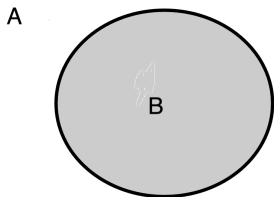
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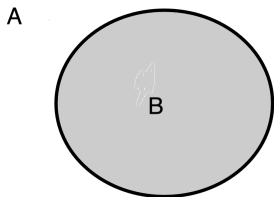


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Once we have density matrices, we can define entropies as well:

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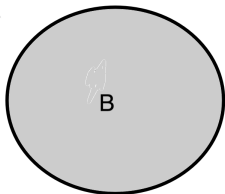
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So *if* the region outside the horizon is described by a Type II algebra, then we can define an entropy for this region.

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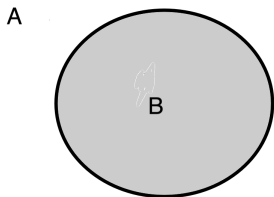
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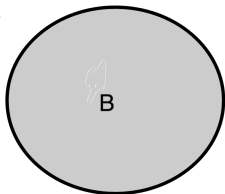
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are Type III. But it turns out that when we include gravity, things are different: gravitational effects even for very weak coupling convert the Type III algebras into Type II algebras.



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$$\widehat{\mathcal{A}} = \{\mathcal{A}, H + X\}'' ,$$

that is, the von Neumann algebra generated by  $\mathcal{A}$  and (bounded functions of)  $H + X$ . (It is called the crossed product of  $\mathcal{A}$  with its modular automorphism group.)

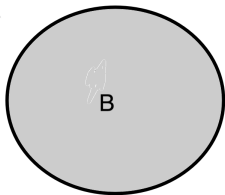
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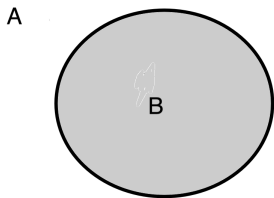
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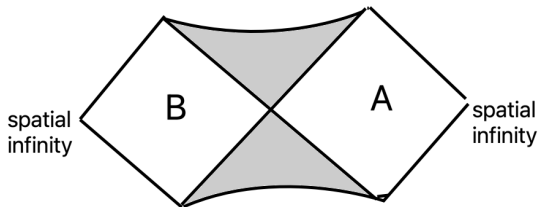
then  $\hat{\mathcal{A}}$  is of Type  $\text{II}_\infty$  and there is an explicit formula for the trace function on  $\hat{\mathcal{A}}$ .



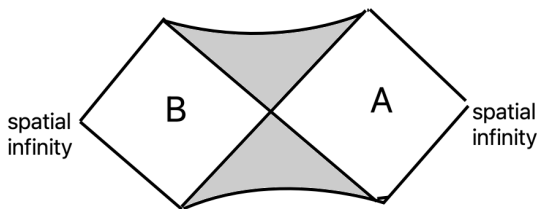
So to get from ordinary quantum field theory where we cannot define the entropy of a region (or we can define it and say that it is  $+\infty$ ) to gravity where we can define such an entropy and get a finite answer, we just need to know that gravity adds one variable in the construction of the Hilbert space, namely what I called  $X$ , and one generator of the algebra of operators outside the black hole, namely  $H + X$ .

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The black hole is a “wormhole” that connects two asymptotically flat universes, which are our two systems  $A$  and  $B$ . The extra operator that is accessible to the observer on the right and that corresponds to what I called  $H + X$  earlier is  $H_R$ , the ADM energy measured at infinity on the right side. What I called  $X$  is (up to a scalar multiple)  $H_L$ , the ADM energy measured at infinity on the left side.

For the cyclic separating vector  $\Psi$ , we can take the Hartle-Hawking state of the black hole. (This state depends on a choice of temperature  $1/\beta$  which determines the mass of the black hole we are going to study.) The modular operator  $\Delta_\Psi$  of this state was determined by Sewell (1982), reinterpreting classic results of Unruh and of Bisognano and Wichman.

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$$\beta H_R - \beta H_L = H.$$

Equivalently

$$\beta H_R = H + \beta H_L.$$

Thus setting  $X = \beta H_L$ , we see that gravity is making the operator  $H + X$  accessible to an observer in the right exterior region outside the horizon.

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There is a similar story for cosmological horizons; this is the topic of the second paper with Chandrasekharan, Longo, and Penington.