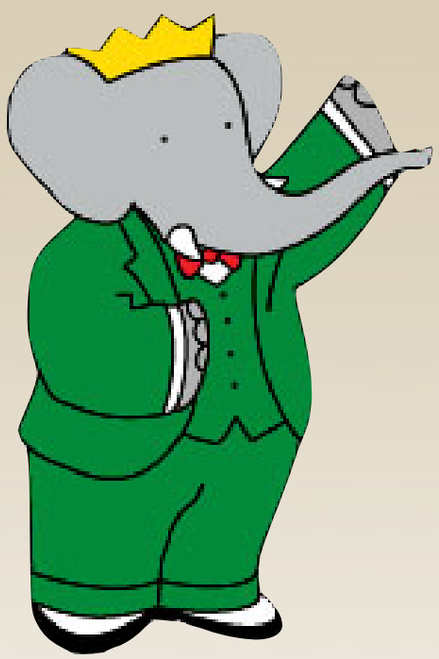
Evidence for an excess of $\overline{B} \to D^{(*)}\tau^-\overline{\nu}_\tau$ decays

PRL 109, 101802 (2012)
hep-ex: 1303.0571



Manuel Franco Sevilla
UC Santa Barbara

on behalf of the BaBar collaboration

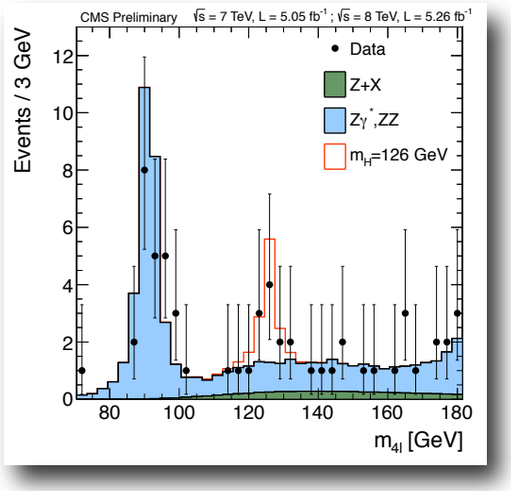
8th of March 2013
Joint Experimental-Theoretical Seminar
Fermilab, Batavia, IL

Questions, questions

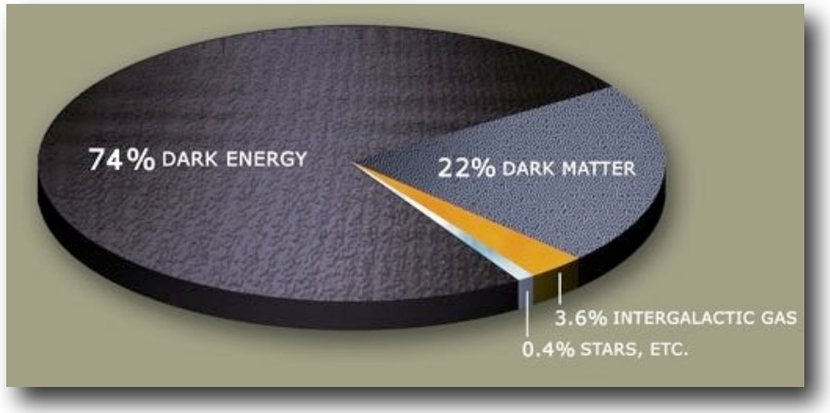
- **Standard Model** remarkably **successful theory**

Anomalous magnetic dipole moment

$$\frac{g_e - 2}{2} = 0.00115965218073(28)$$



- **Gravitation** does not fit in the SM framework
- **Dark matter, Dark energy**



- **Hierarchy problem, strong CP problem...**

Fundamental Interactions

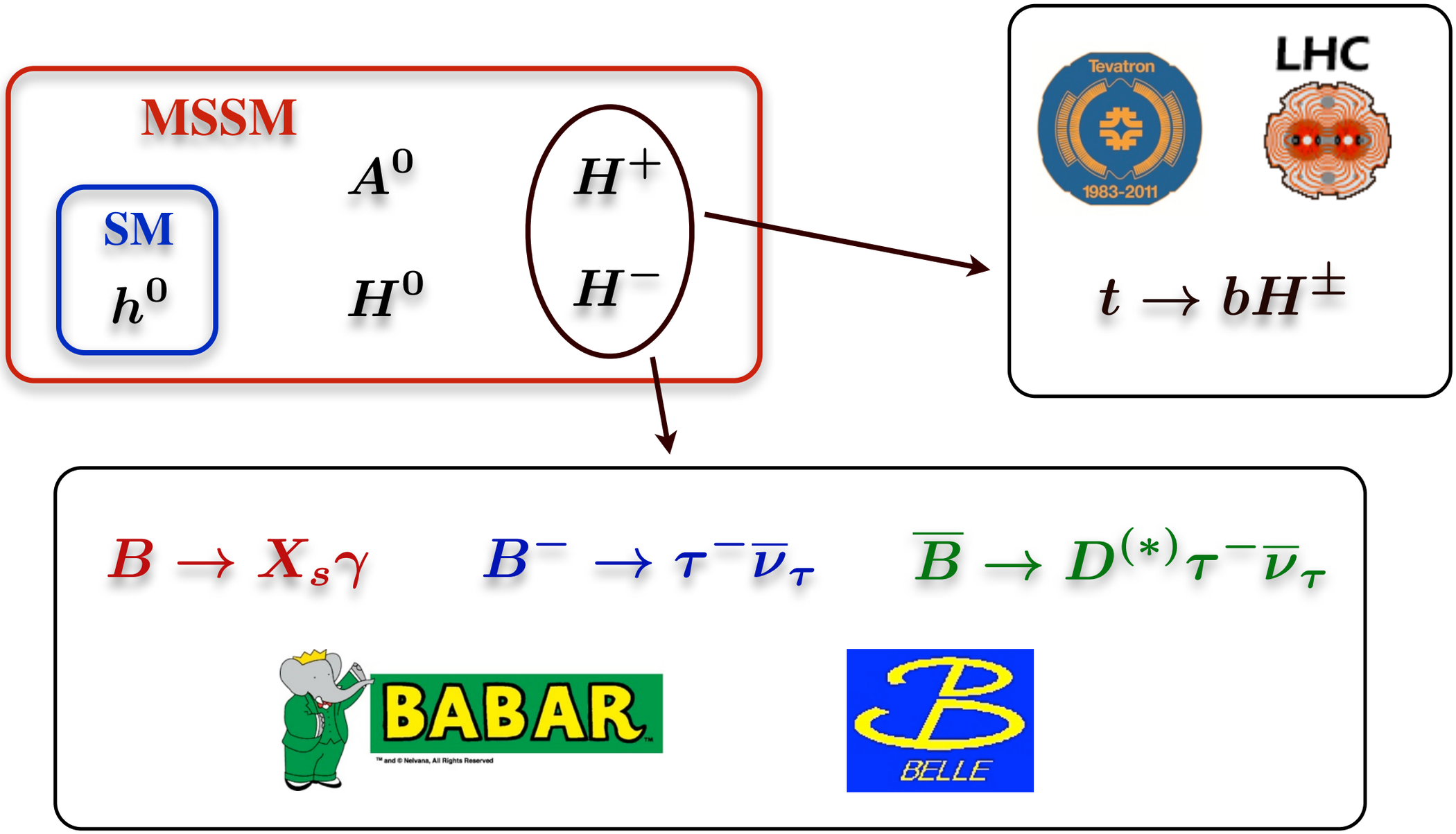
Strong

Electro-Magnetic

Weak

Motivation

- **Charged Higgs** required in multiple **New Physics scenarios**

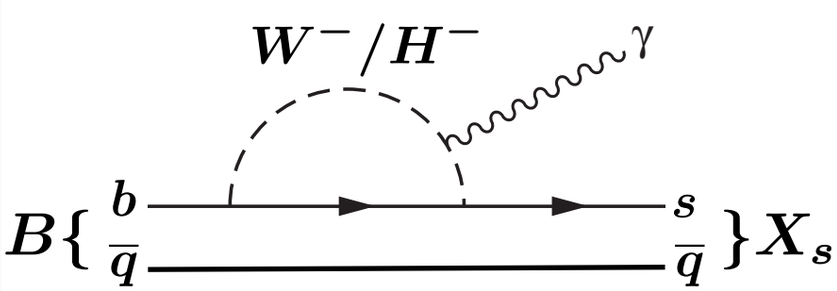


Motivation

- Searches for a **charged Higgs** at **BaBar**

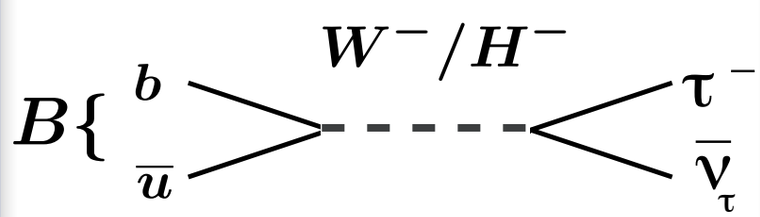
$B \to X_s \gamma$

- ☑ **Small σ_{SM}** ~ 7%
- ☐ H^- enters in a **loop**
- ☐ **BF ~ 0.03%**
- ☐ **Inclusive** measurement difficult



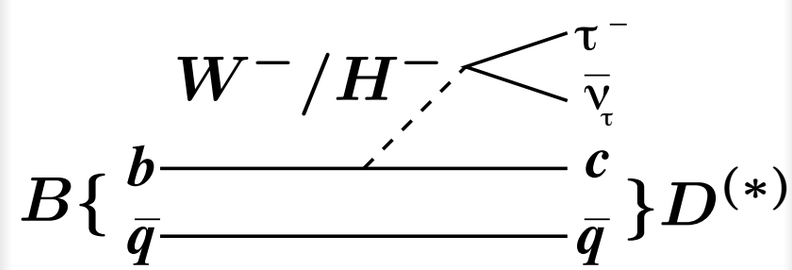
$B^- \to \tau^- \bar{\nu}_\tau$

- ☐ **Large σ_{SM}** ~ 25%
- ☑ H^- enters at **tree level**
- ☐ **BF ~ 0.01%**
  - ☐ Helicity suppressed



$\overline{B} \to D^{(*)} \tau^- \bar{\nu}_\tau$

- ☑ **Small σ_{SM}** ~ 2-5%
- ☑ H^- enters at **tree level**
- ☑ **BF ~ 1-2%**
- ☑ $D^{(*)}$ provides constraint



Measurements

- We measure **ratios**

$$R(D^{(*)}) = \frac{\mathcal{B}(\overline{B} \to D^{(*)}\tau^-\overline{\nu}_\tau)}{\mathcal{B}(\overline{B} \to D^{(*)}\ell^-\overline{\nu}_\ell)}$$

Normalization
$(\ell^- = e^- \text{ or } \mu^-)$

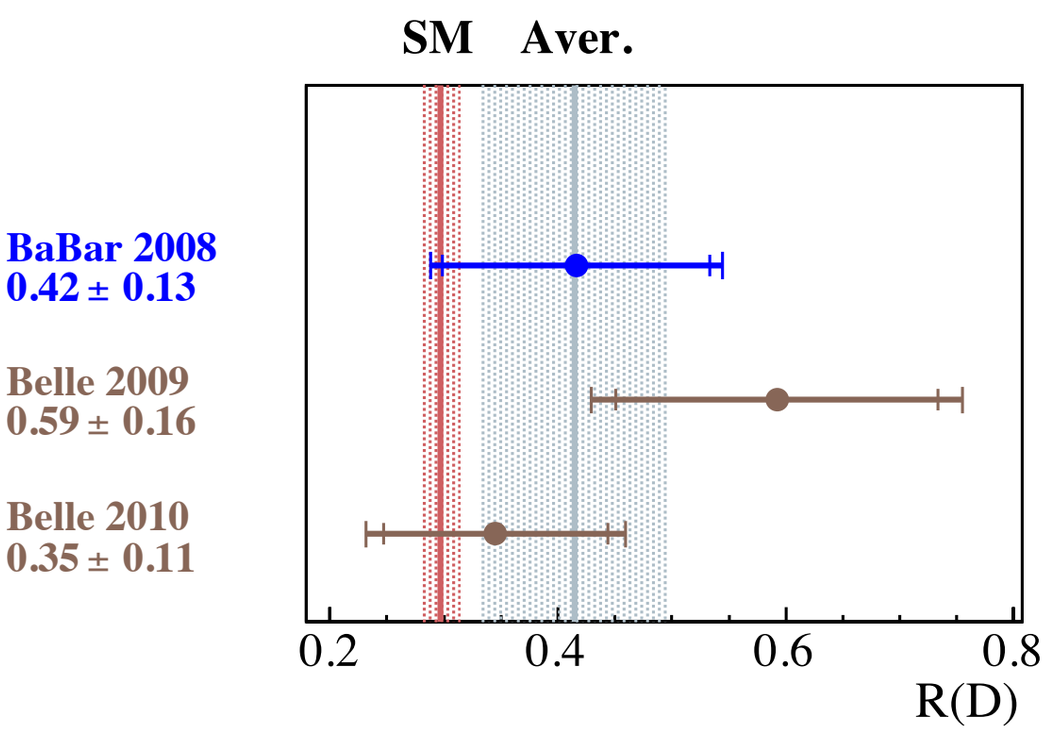
- Various **uncertainties cancel** in **ratio**
  - ✓ **Theoretical:** V_{cb}, FFs
  - ✓ **Experimental:** same final state particles

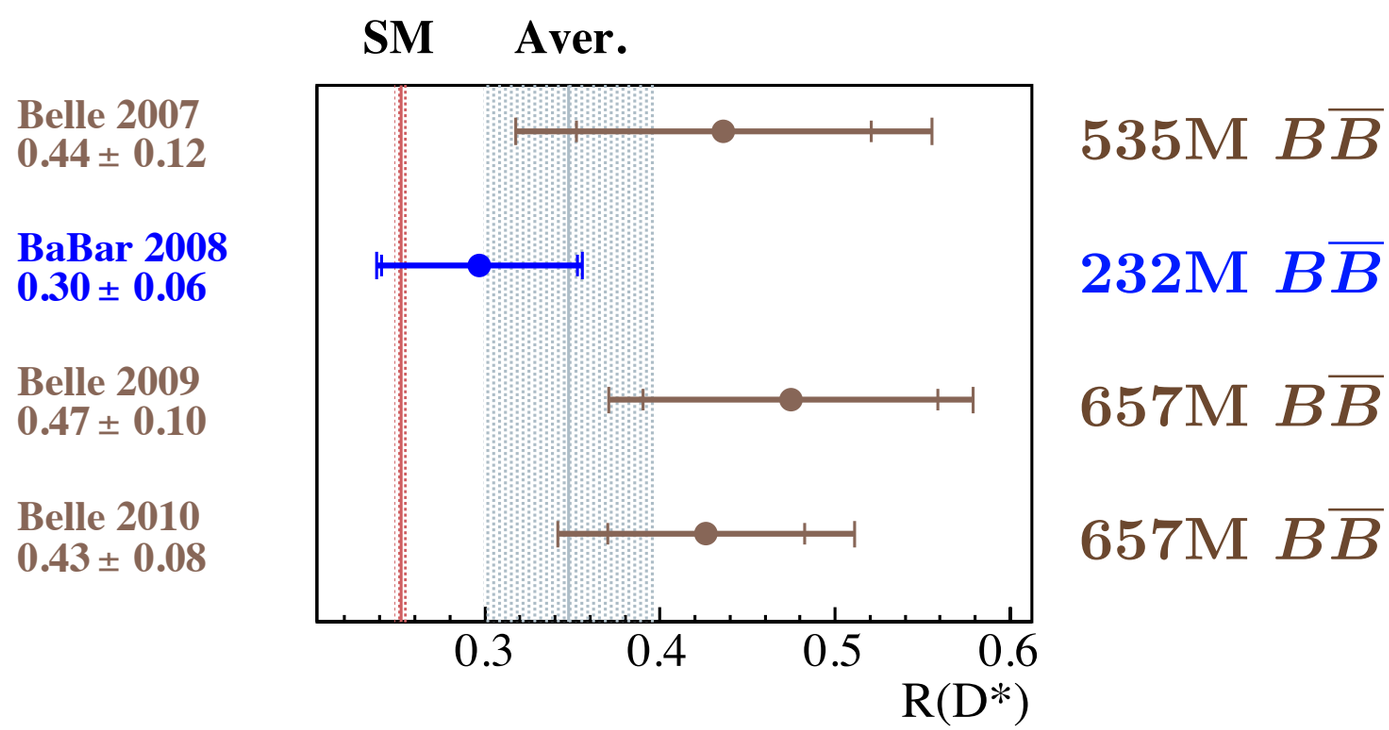
$$\tau^- \to \ell^-\overline{\nu}_\ell\nu_\tau$$

Measurements

- We measure **ratios**

$$R(D^{(*)}) = \frac{\mathcal{B}(\overline{B} \to D^{(*)}\tau^-\overline{\nu}_\tau)}{\mathcal{B}(\overline{B} \to D^{(*)}\ell^-\overline{\nu}_\ell)} = \frac{N_{\rm sig}}{N_{\rm norm}} \times \frac{\varepsilon_{\rm norm}}{\varepsilon_{\rm sig}}$$

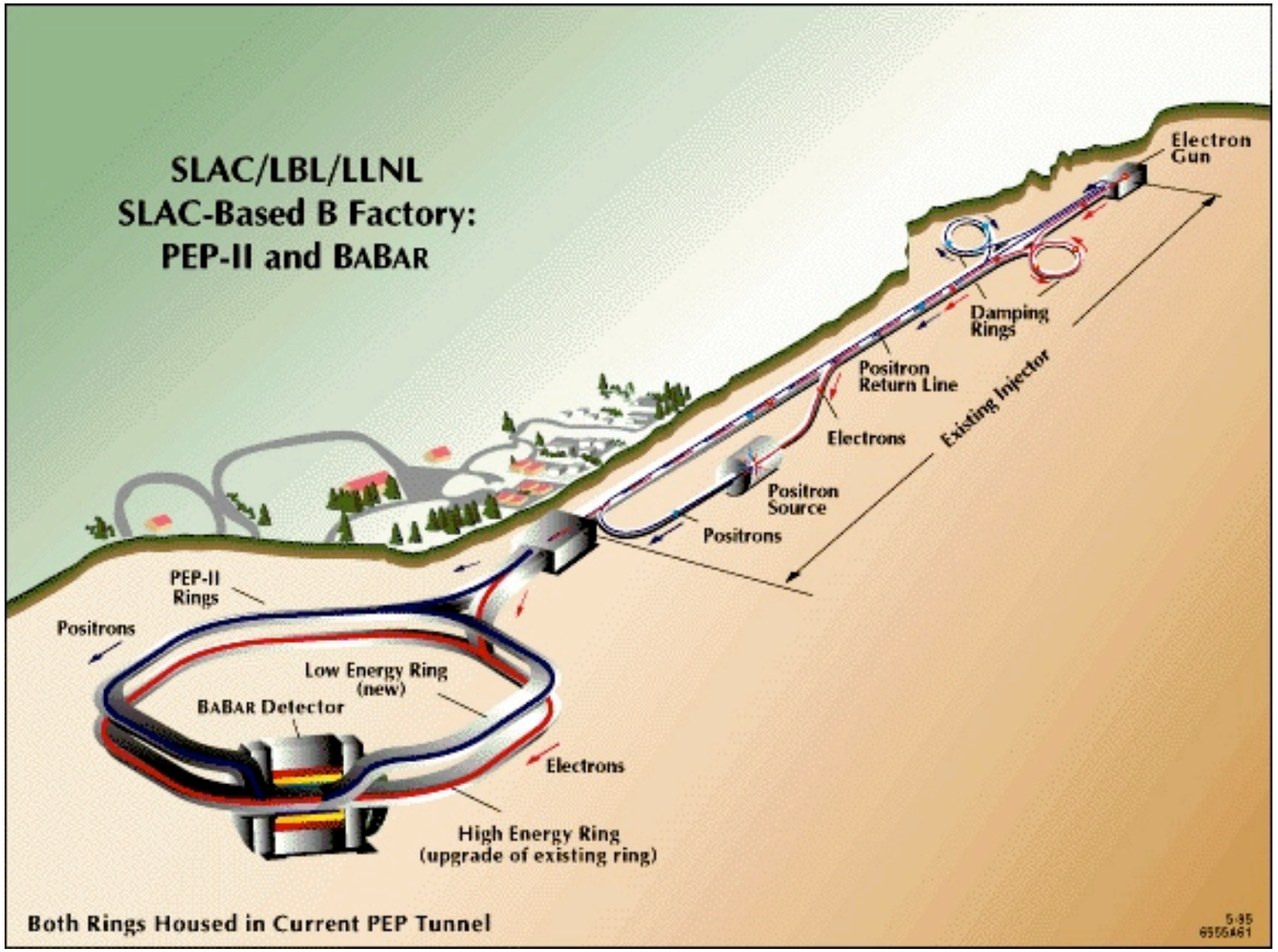




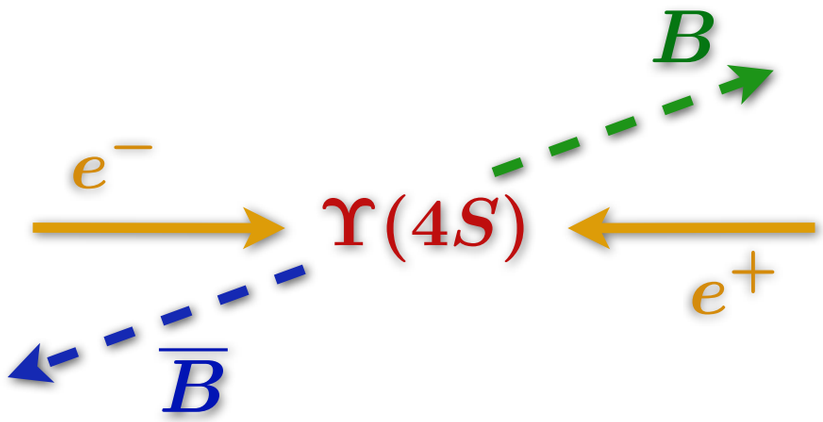
- **Previous** measurements **exceed SM** by **1-2 σ**

- We **update BaBar 2008** with **2x data** and **3x efficiency**

PEP-II storage rings



- **Operation 1999-2008**
- **Linear accelerator** injects in PEP-II ($\beta\gamma = 0.56$)
  - **9.0 GeV electrons e^-**
  - **3.1 GeV positrons e^+**



CM energy

$$m(\Upsilon(4S)) = 10.58 \text{ GeV}$$

The BaBar detector

- **Good lepton ID**
- **Good hadron ID** (π/K sep.)
- **91%** solid angle **coverage**

$$e^+e^- \to \Upsilon(4S) \to B^+B^-$$

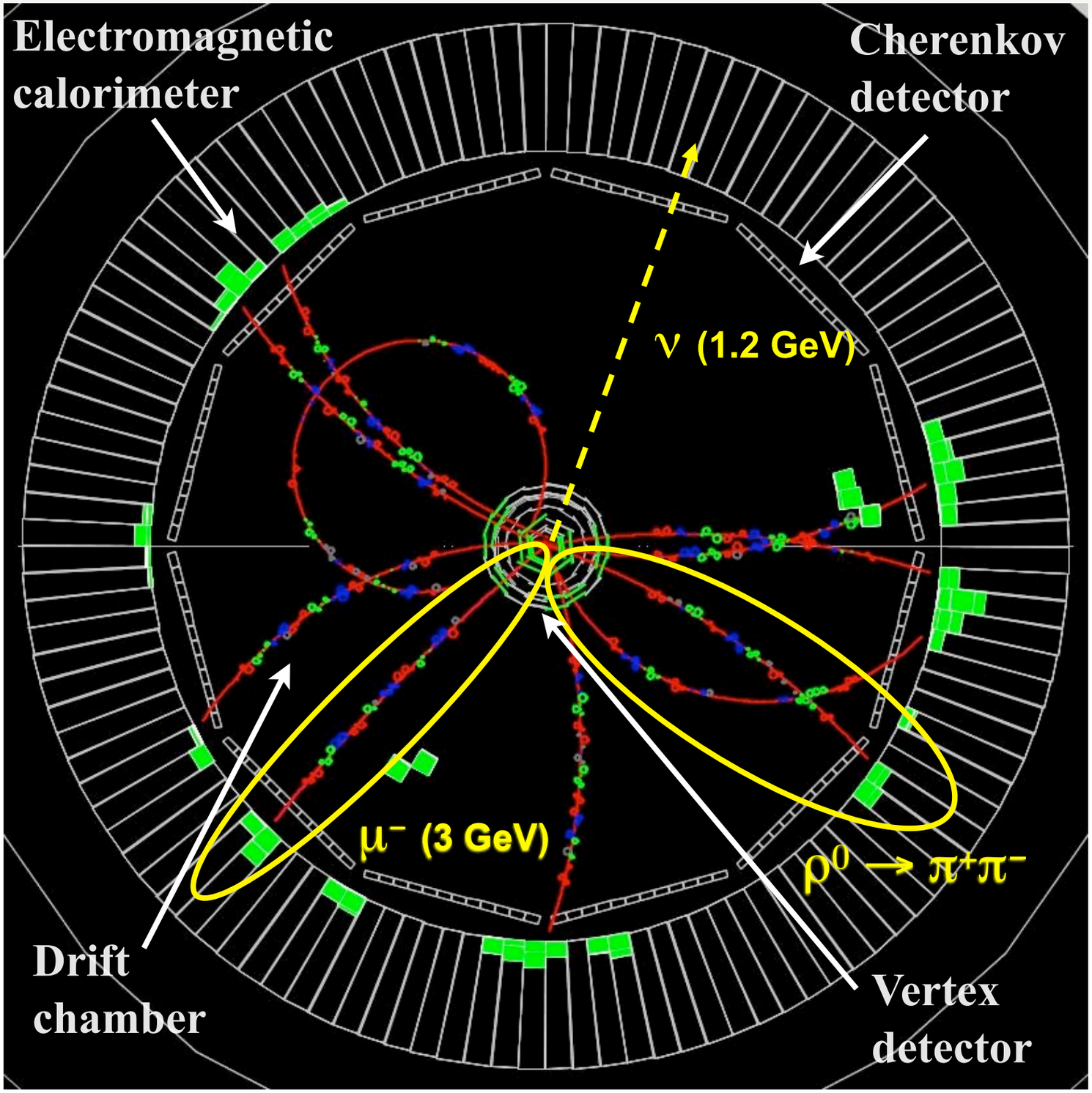
$$B^- \to \rho^0\mu^-\overline{\nu}_\mu$$

$$\rho^0 \to \pi^+\pi^-$$

Similar to normalization

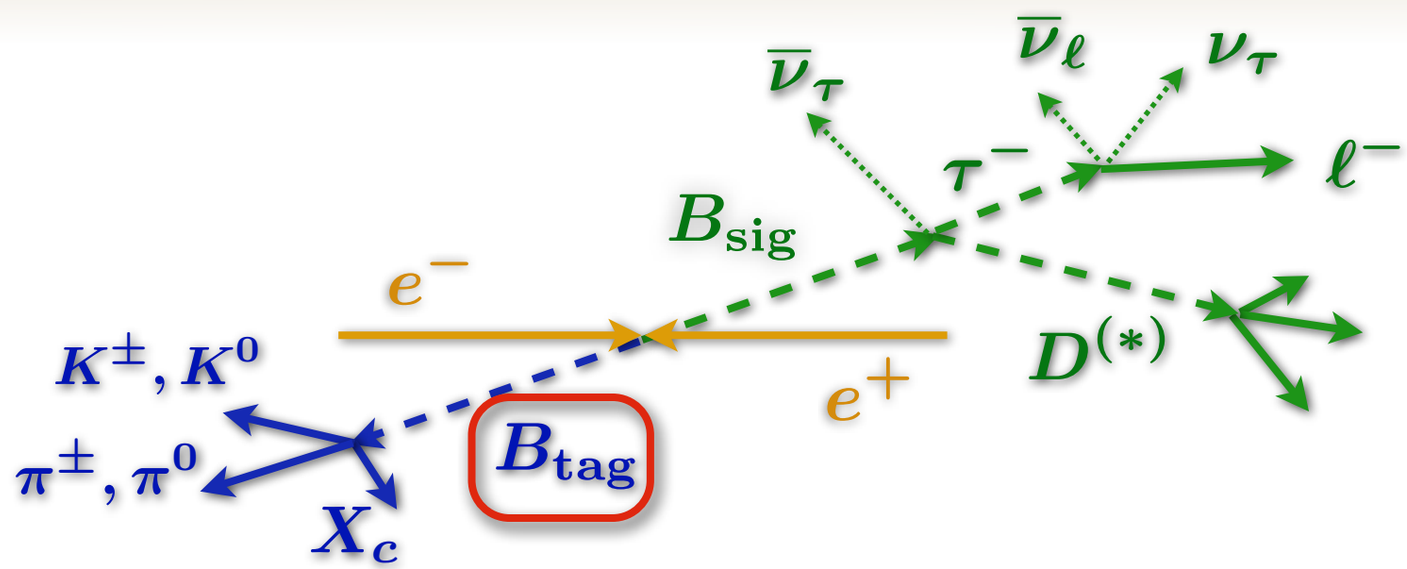
$$B^- \to D^0(\to K^-\pi^+)\mu^-\overline{\nu}_\mu$$

Muon detector outside the plot



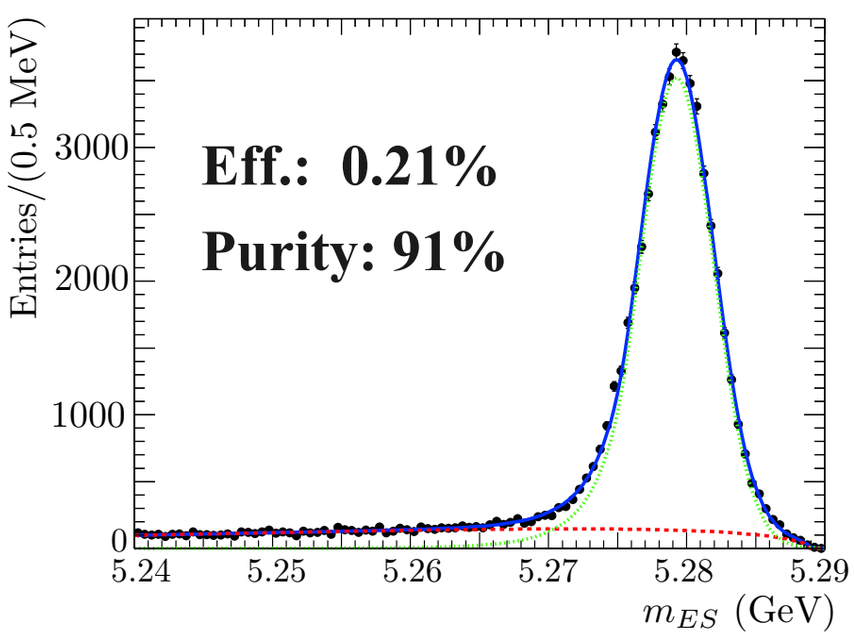
Event reconstruction

- **Fully reconstructed tag B**
  - Efficiency 2x previous analysis



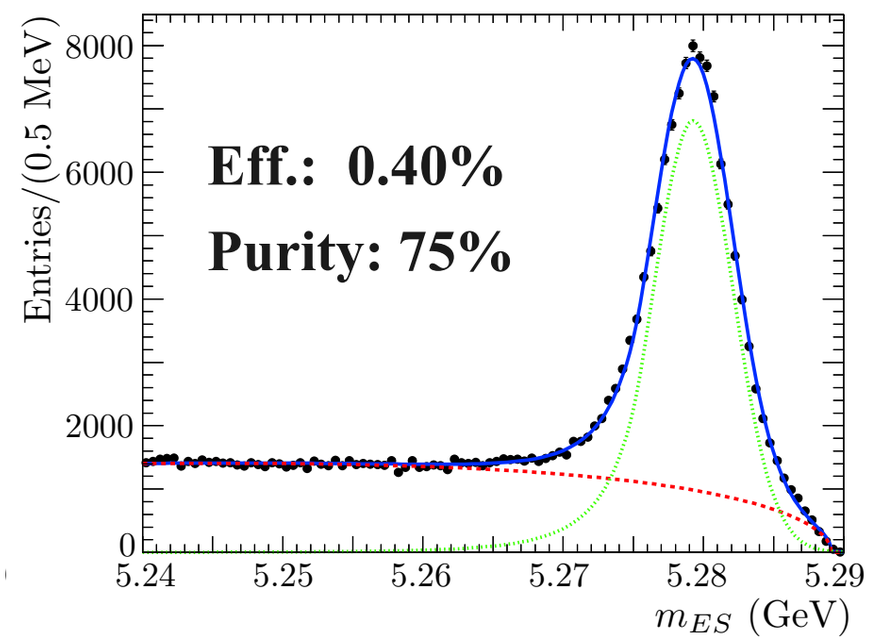
Old $B_{\rm tag}: X_c = D, D^*$

630 decay chains



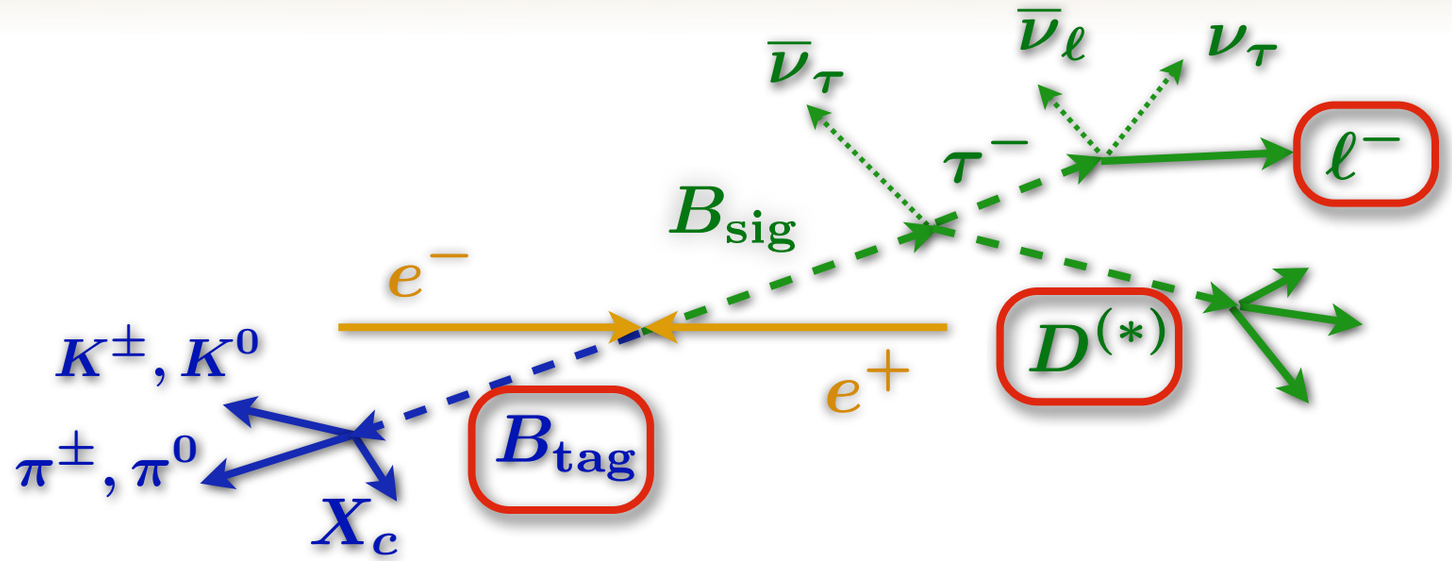
New $B_{\rm tag}: X_c = D, D^*, D_s^+, D_s^{*+}, J/\Psi$

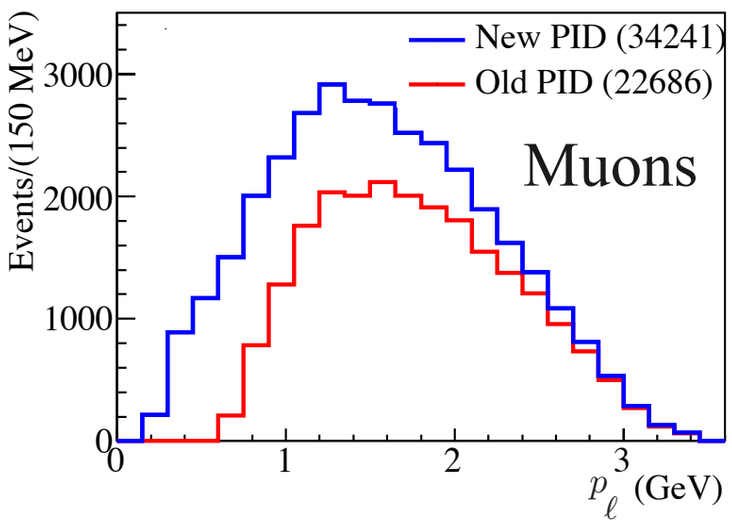
1,768 decay chains



Event reconstruction

- **Fully reconstructed** tag B
  - Efficiency 2x previous analysis
- $D^{(*)}$: D^0, D^{*0}, D^+, D^{*+}
- $\ell = e, \mu$ (improved PID)





- $q^2 > 4$ GeV^2
- $p_{miss} > 200$ MeV

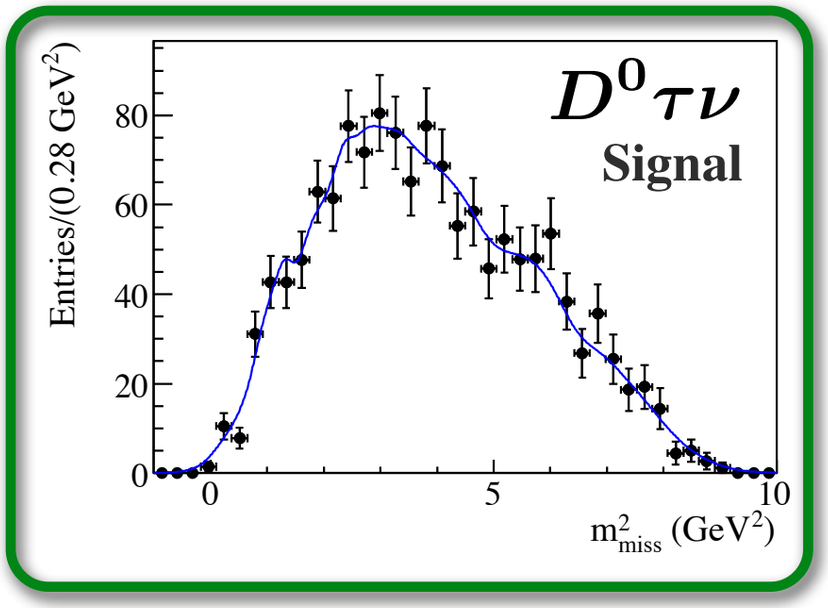
Backgrounds

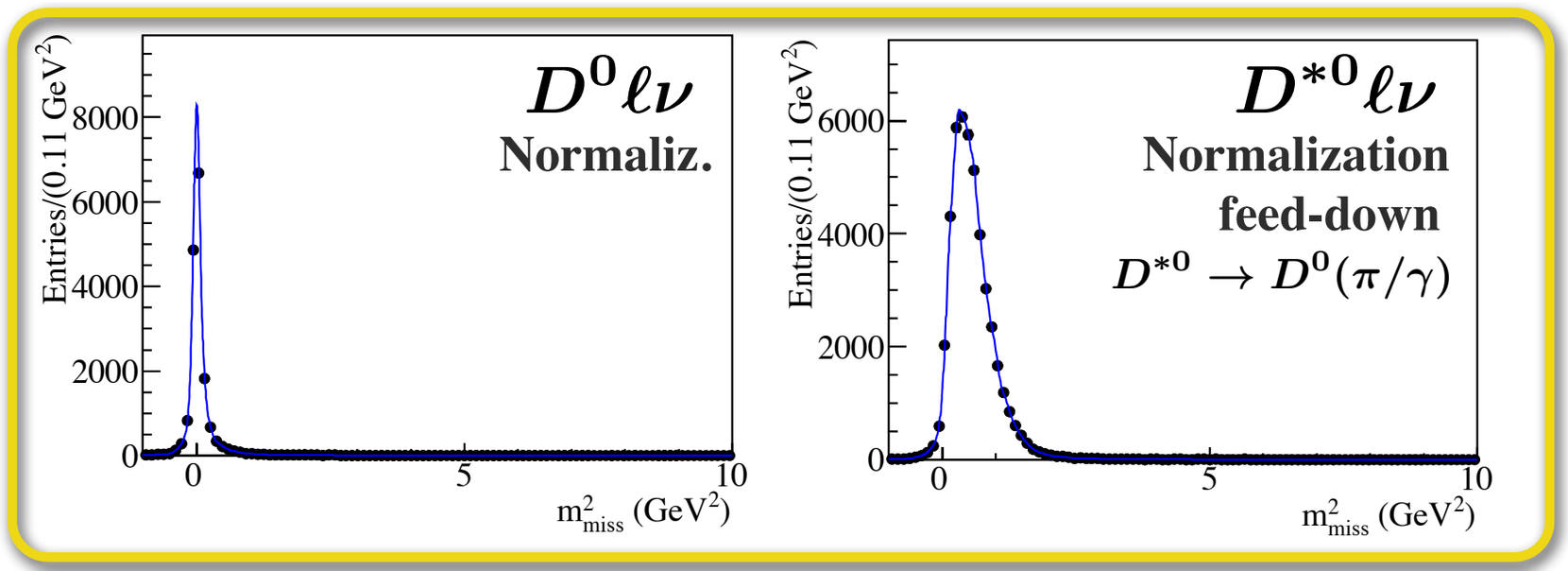
- **Boosted decision tree** to reject bkg.
- **BB/continuum** from **control samples**
  - $e^+e^- \to u\bar{u}, d\bar{d}, c\bar{c}, s\bar{s}$
- **Simultaneous fit** estimates **B→D**(ℓ/τ)ν**
  - **4 $D^{(*)}\pi^0$ control samples**

Missing mass

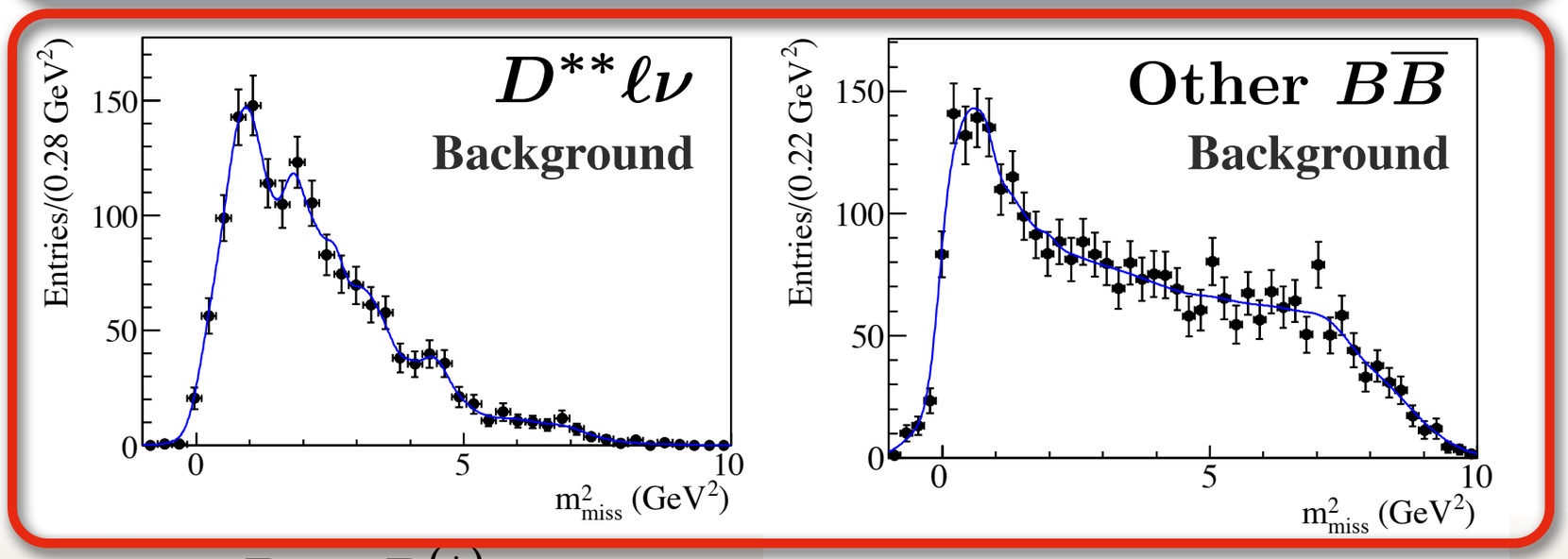
- Key variable to separate **signal** and **normalization**

$$m^2_{\text{miss}} = \left(p_{e^+e^-} - p_{B_{\text{tag}}} - p_{D^{(*)}} - p_\ell\right)^2$$



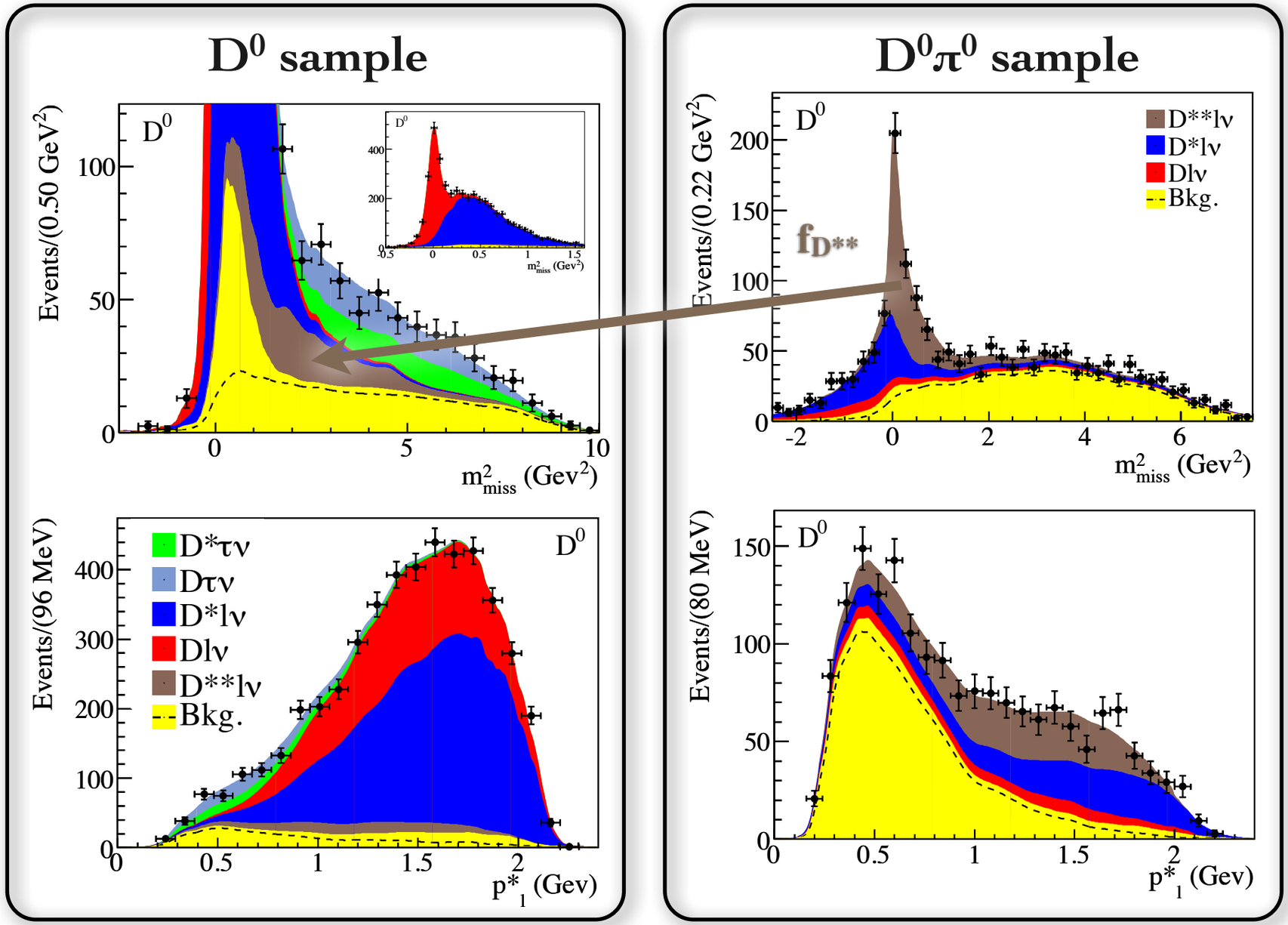


D^0 channel



Fit structure

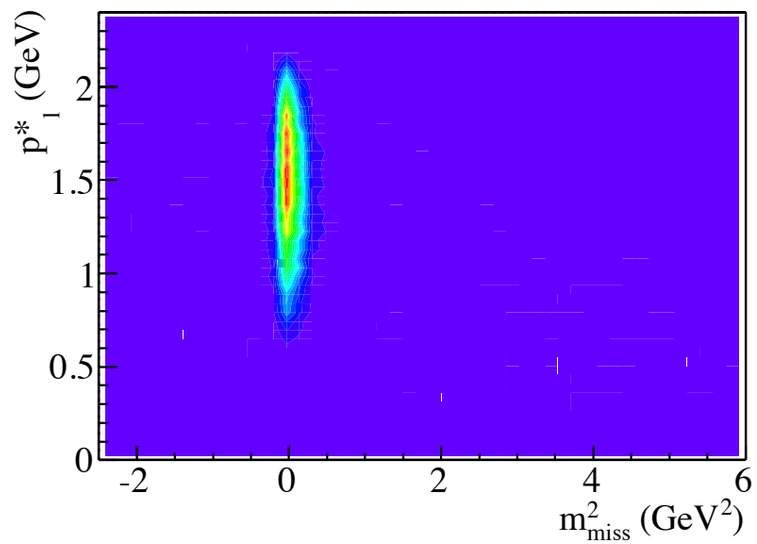
- Unbinned ML fit
  - **2D: $m^2_{\text{miss}} - p^*_\ell$**
  - **4 Signal channels**
    - D^0, D^{*0}, D^+, D^{*+}
  - **4 $D^{(*)}\pi^0$ channels**
- Fitted yields
  - **4 $D^{(*)}\tau\nu$**
  - **4 $D^{(*)}\ell\nu$**
  - **4 $D^{**}\ell\nu$**
- Fixed yields (yellow)
  - **Charge crossfeed**
  - **B combinatorial**
  - **Continuum**

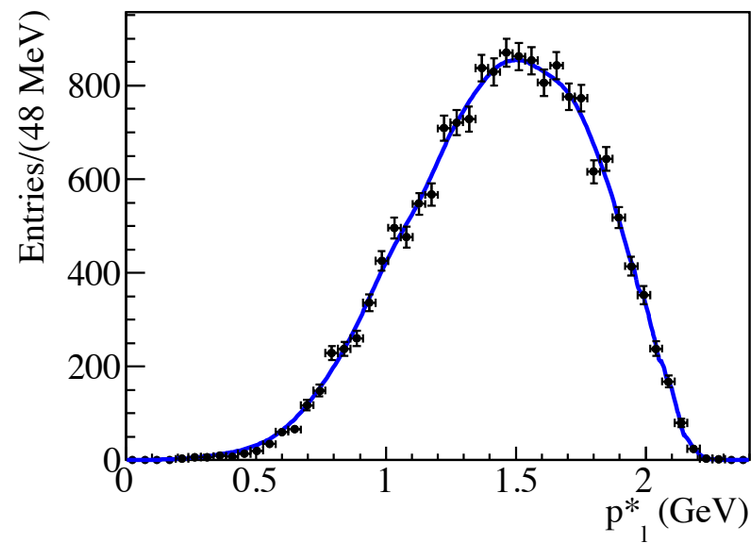


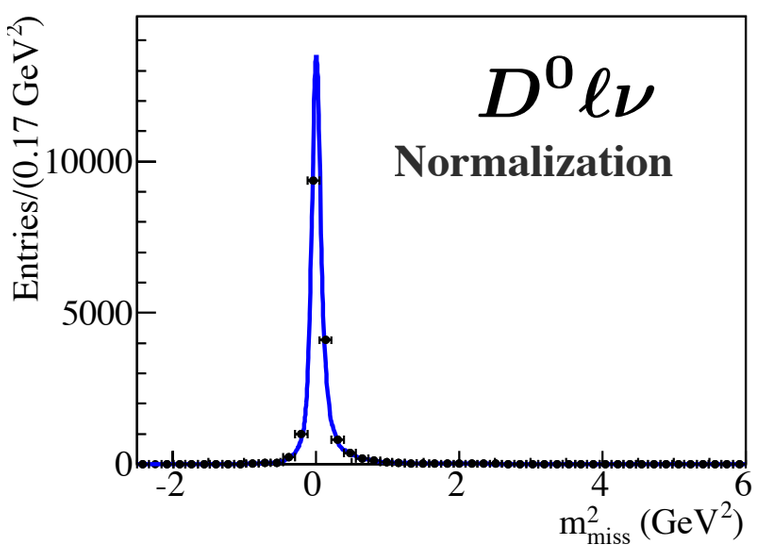
MC Simulation

Fit PDFs: 2D

- Fit uses **56** fully **two-dimensional Probability Density Functions**







- Irregular
- 2D correlations

} **Difficult to describe analytically**

Fit PDFs: Non-parametric

- We use **non-parametric Kernel estimators (KEYS)**
- $p(X)$ estimated by $\boldsymbol{\hat{p}(X; x_i)}$ using the sample $\{x_i\}$

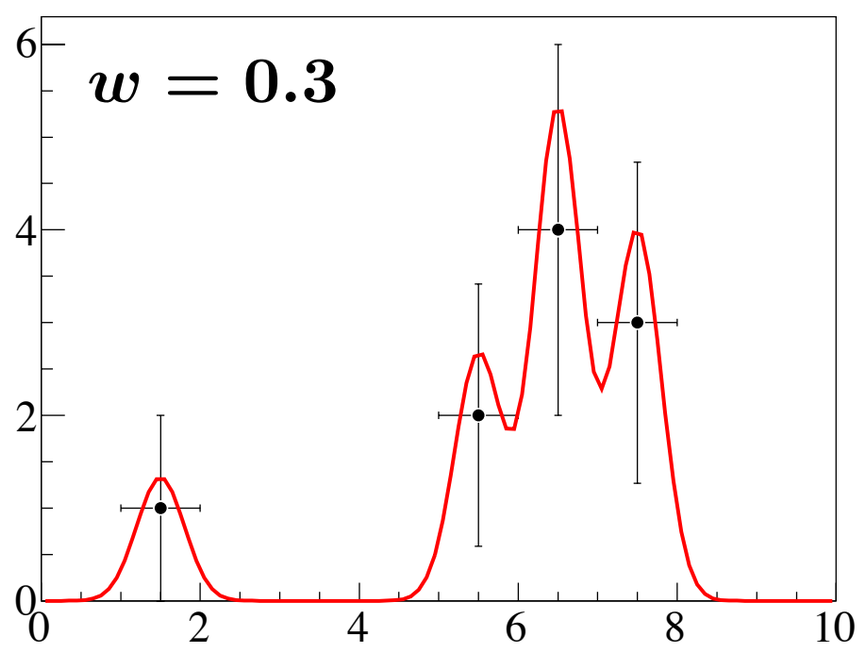
Gaussian kernels

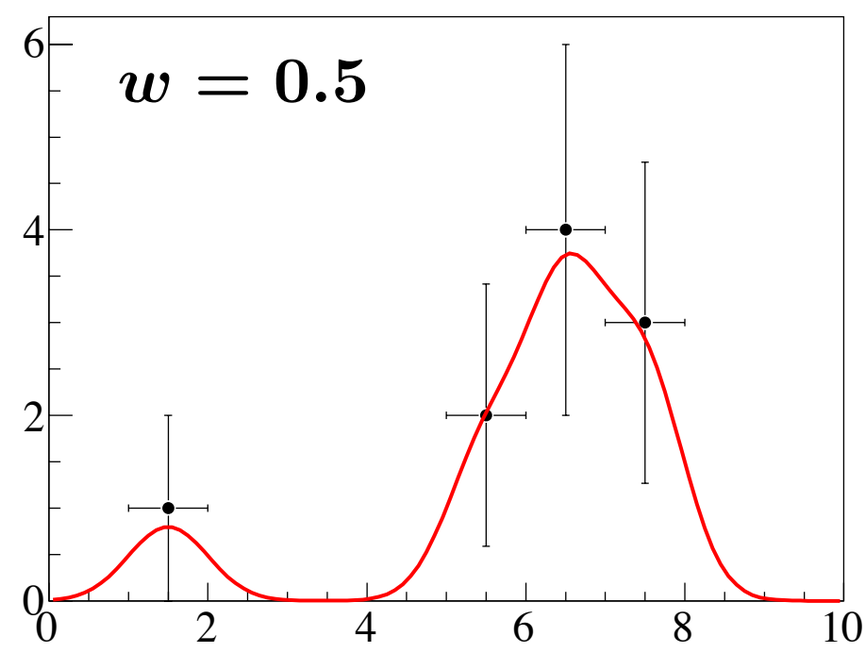
$$\hat{p}(X; x_i) = \frac{1}{nw} \sum_{i=1}^{n} K\left(\frac{X - x_i}{w}\right)$$

Simulated events

Smoothing

With **non-parametric, easy to trade Bias for Variance**



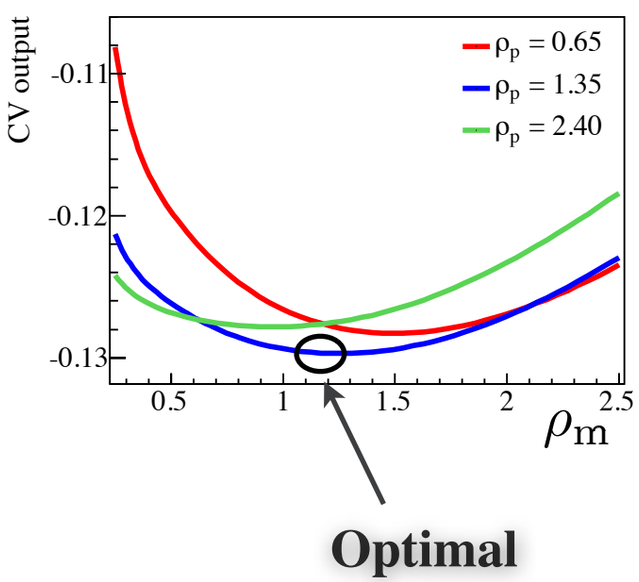


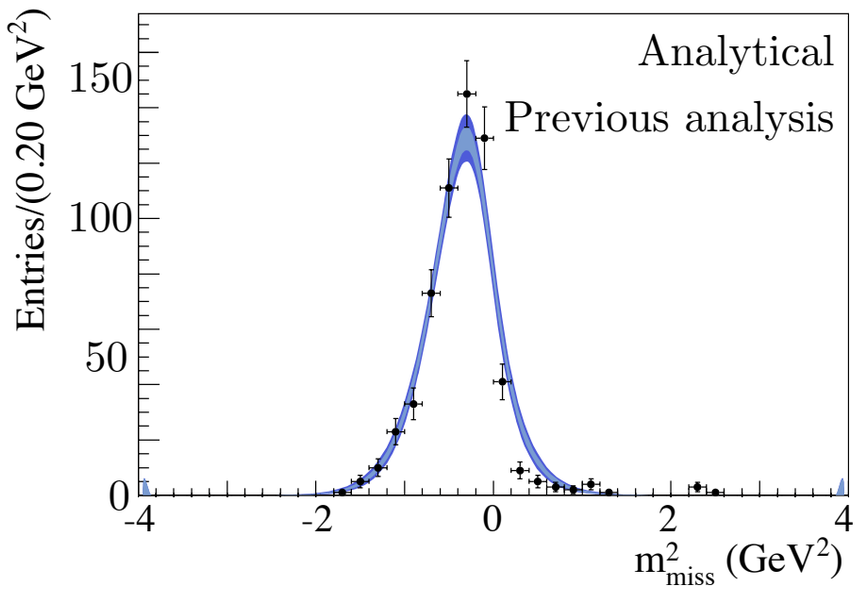
Fit PDFs: Uncertainty

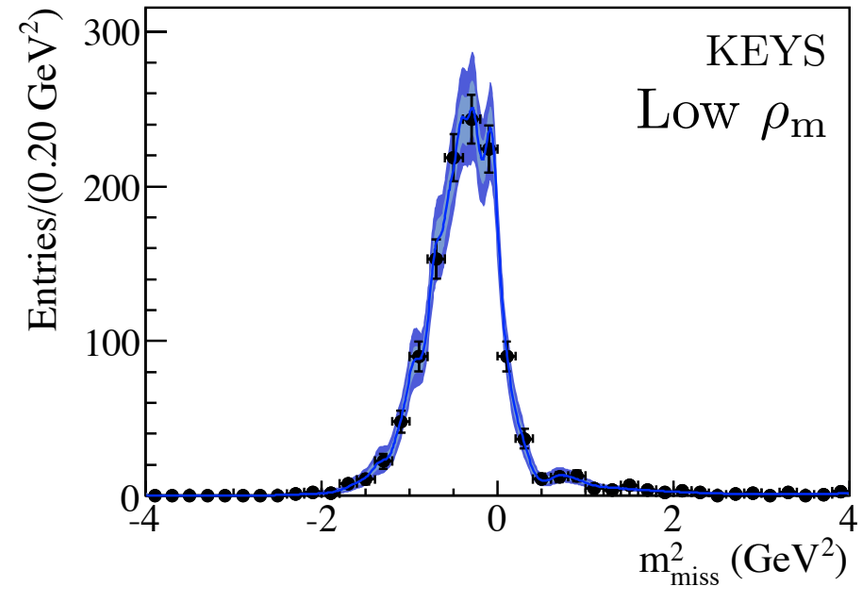
- Uncertainties estimated with **Bootstrap algorithm**
  - For same statistics ⇒ **larger uncertainty than analytical** (parametric) PDF

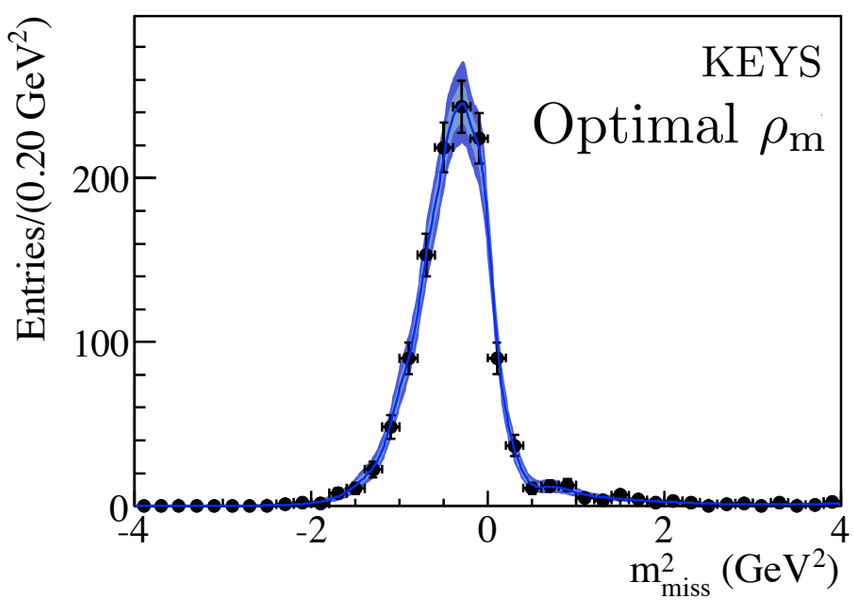
Cross-validation algorithm

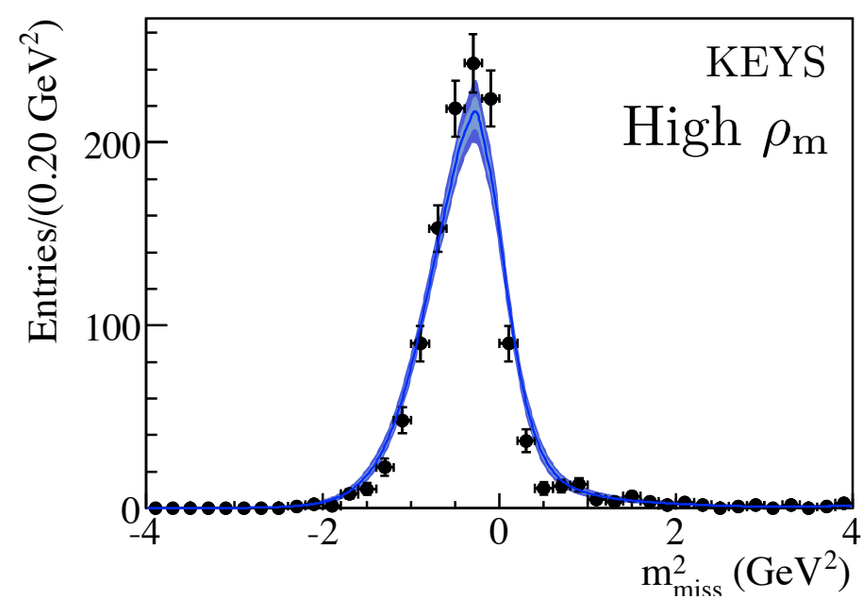
$$\mathrm{CV} = \frac{1}{n}\sum_{i=1}^{n}\int \hat{p}^2_{-i}(X)\mathrm{d}X - \frac{2}{n}\sum_{i=1}^{n}\hat{p}_{-i}(x_i)$$





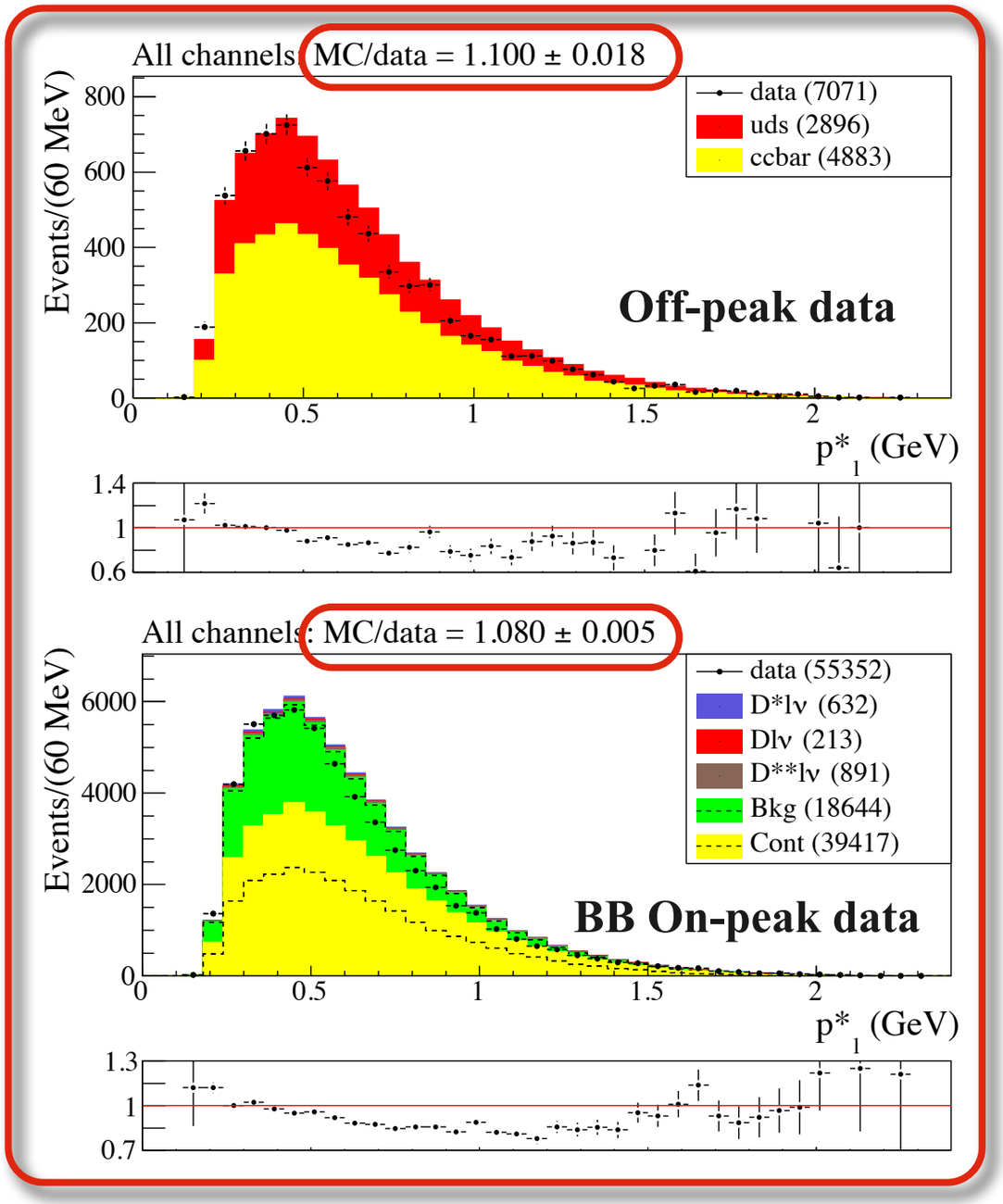


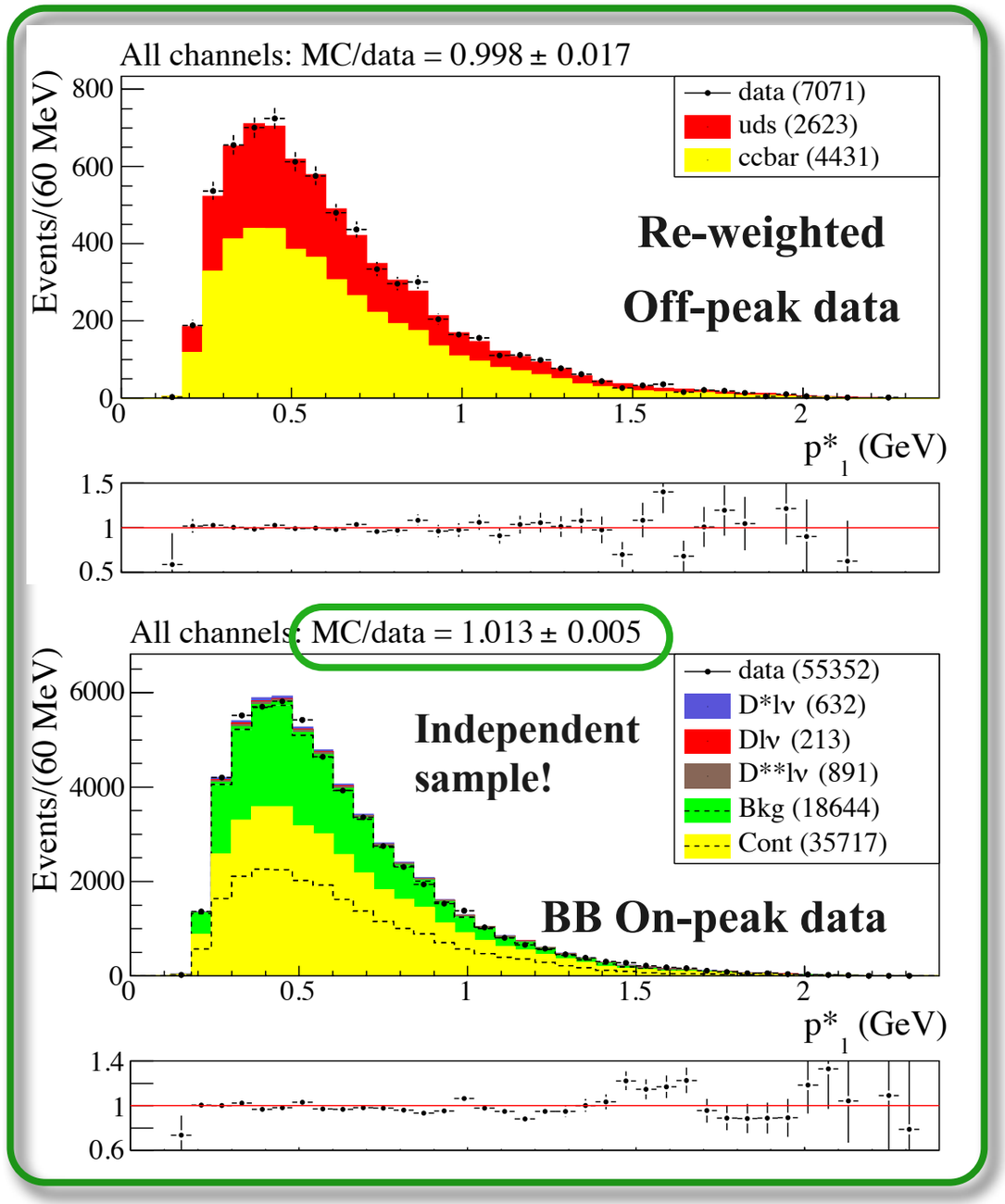




Continuum bkg.

- Simulation does not reproduce **p*$_l$** and **yields** of $e^+e^- \to u\bar{u}, d\bar{d}, c\bar{c}, s\bar{s}$

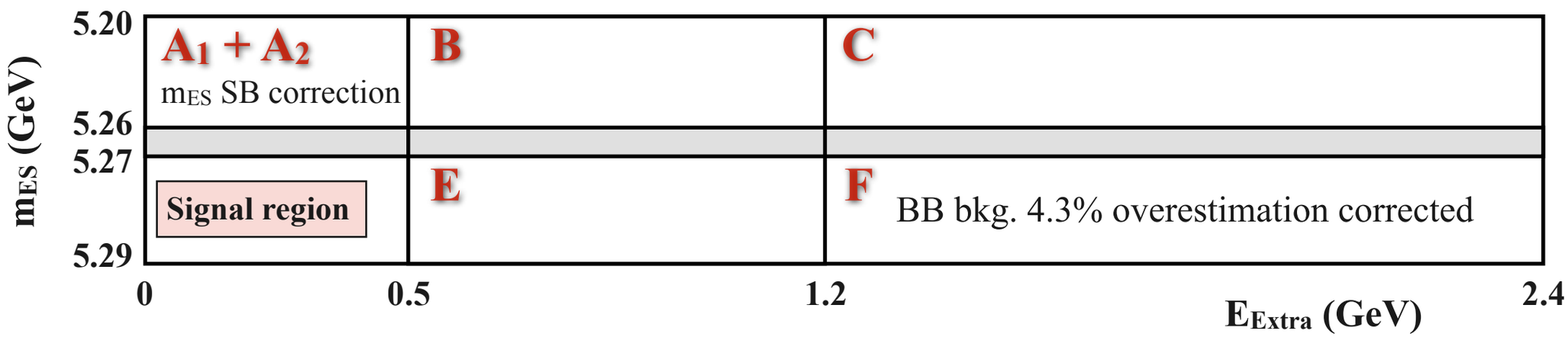


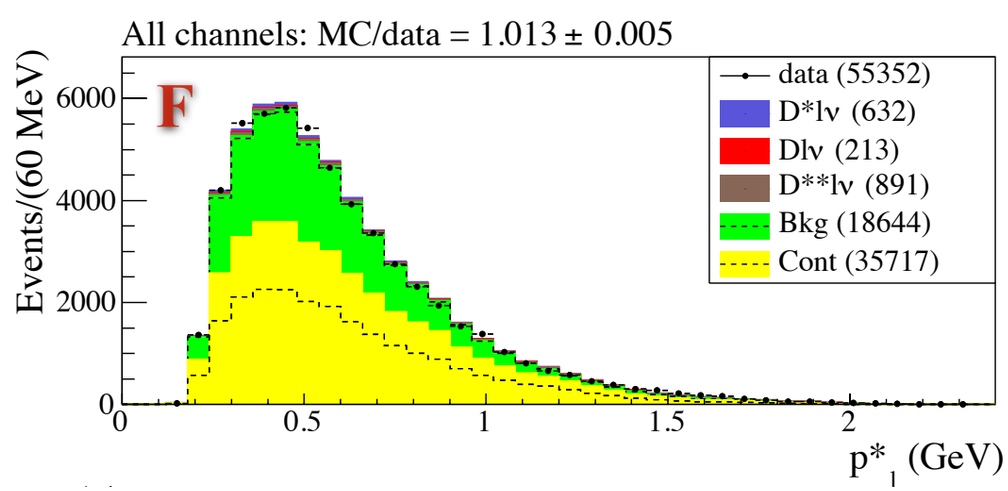


$1.2 < E_{Extra} < 2.4$ GeV

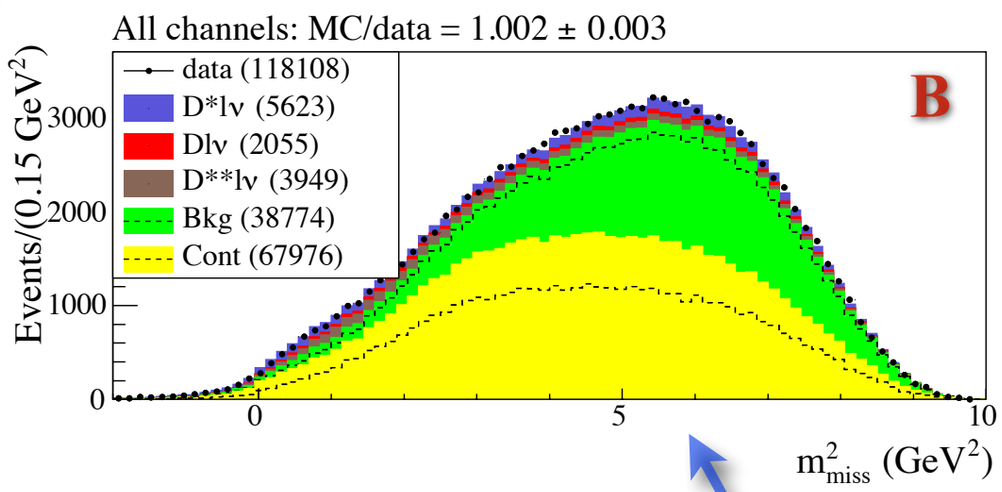
BB Background

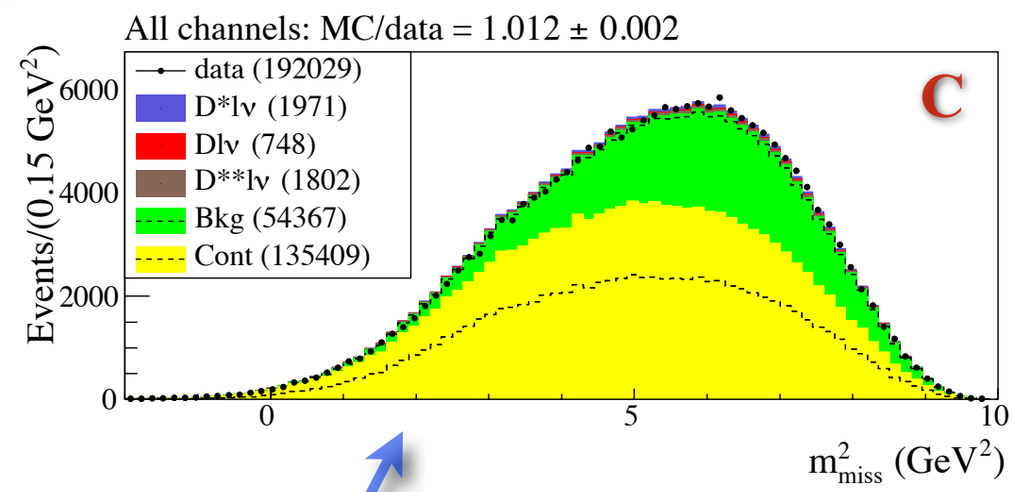
- **BB background** estimated from **control samples**
  - $5.20 < m_{ES} < 5.26$ GeV
  - $E_{\text{Extra}} = \sum_{\text{unused } \gamma} E_\gamma > 0.5$ GeV





BB Background

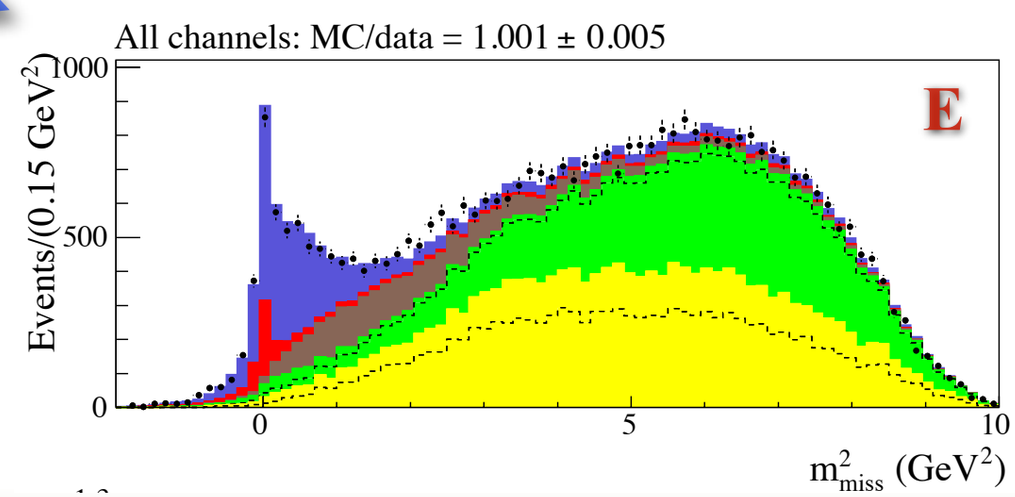




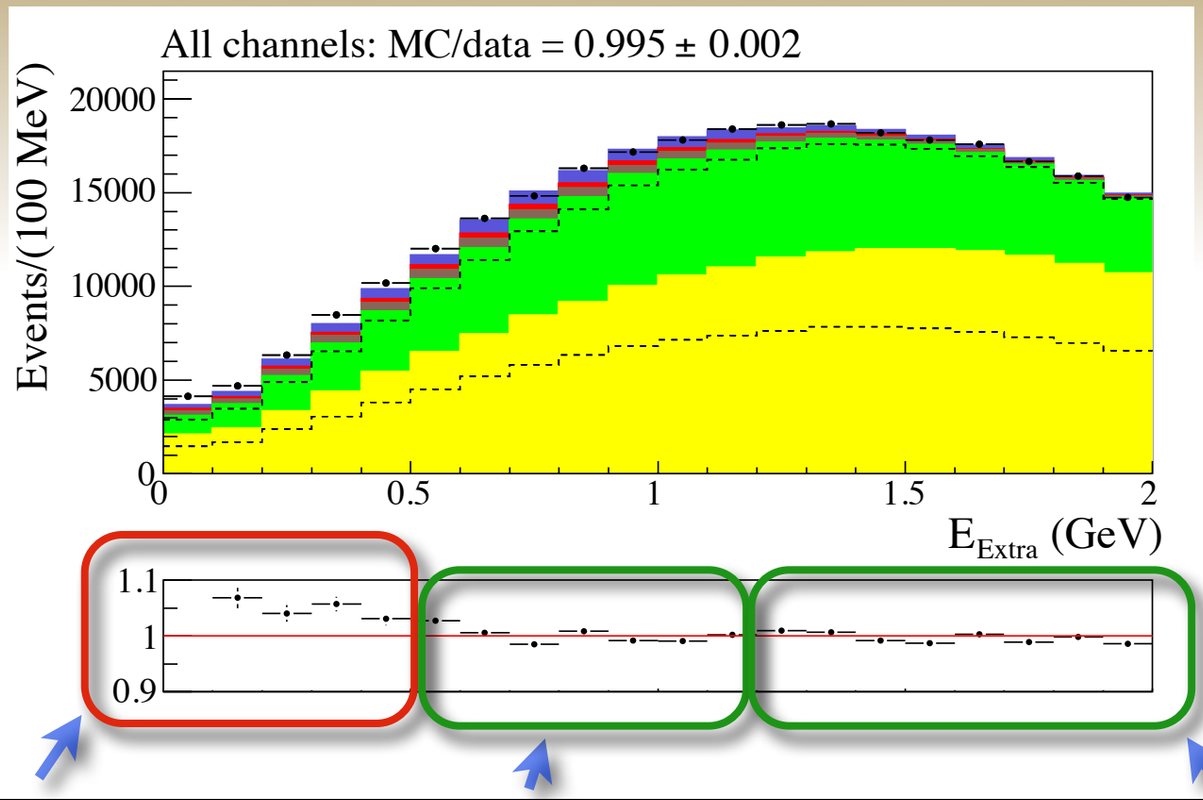
m_{ES} (GeV)	E_{Extra} (GeV) 0 – 0.5	0.5 – 1.2	1.2 – 2.4
5.20 – 5.26	$A_1 + A_2$ m_{ES} SB correction	B: 1.000 ± 0.003	C: 1.011 ± 0.003
5.26 – 5.27			
5.27 – 5.29	Signal region	E: 0.998 ± 0.006	F: BB bkg. 4.3% overestimation corrected

MC/data for $m^2_{miss} > 1.5$ GeV²

- **Background** very **well described** for **large E_{Extra}**
  - m_{miss} shapes
  - Yields



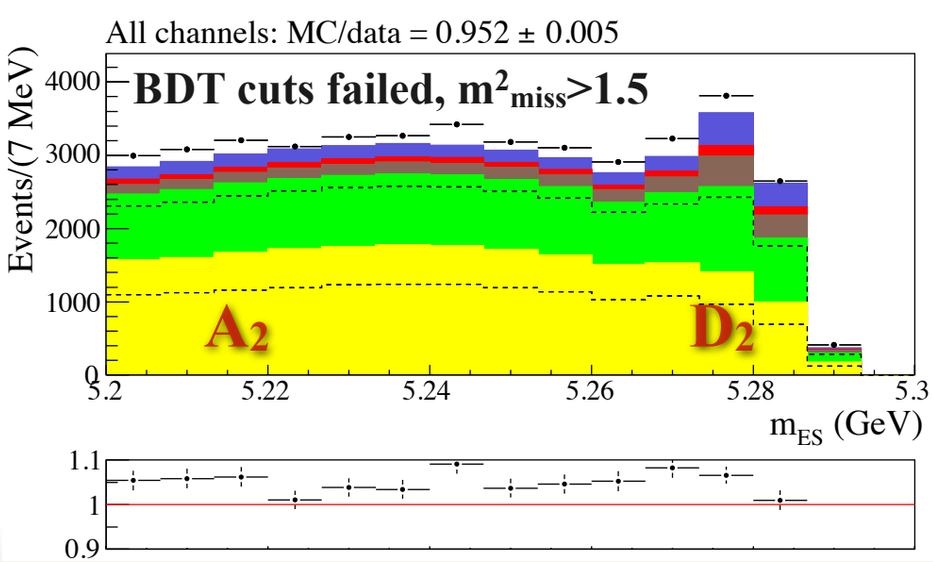
E_{Extra}

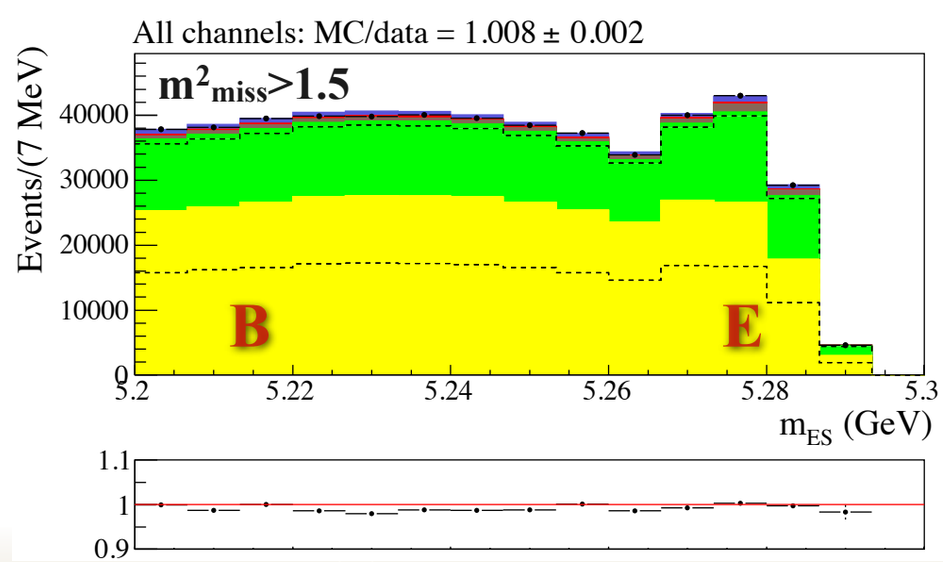


- **Background** very **well described** for **large E_{Extra}**
- 5-10% diff. for $E_{Extra} < 0.5$ GeV
  - **Corrected with m_{ES} sideband**
  - Significant uncertainty

m_{ES} (GeV)	0 – 0.5	0.5 – 1.2	1.2 – 2.4
5.20 – 5.26	**$A_1 + A_2$** m_{ES} SB correction	**B** **1.000 ± 0.003**	**C** **1.011 ± 0.003**
5.26 – 5.27			
5.27 – 5.29	**Signal region**	**E** **0.998 ± 0.006**	**F** BB bkg. 4.3% overestimation corrected

MC/data for $m^2_{miss} > 1.5$ GeV^2





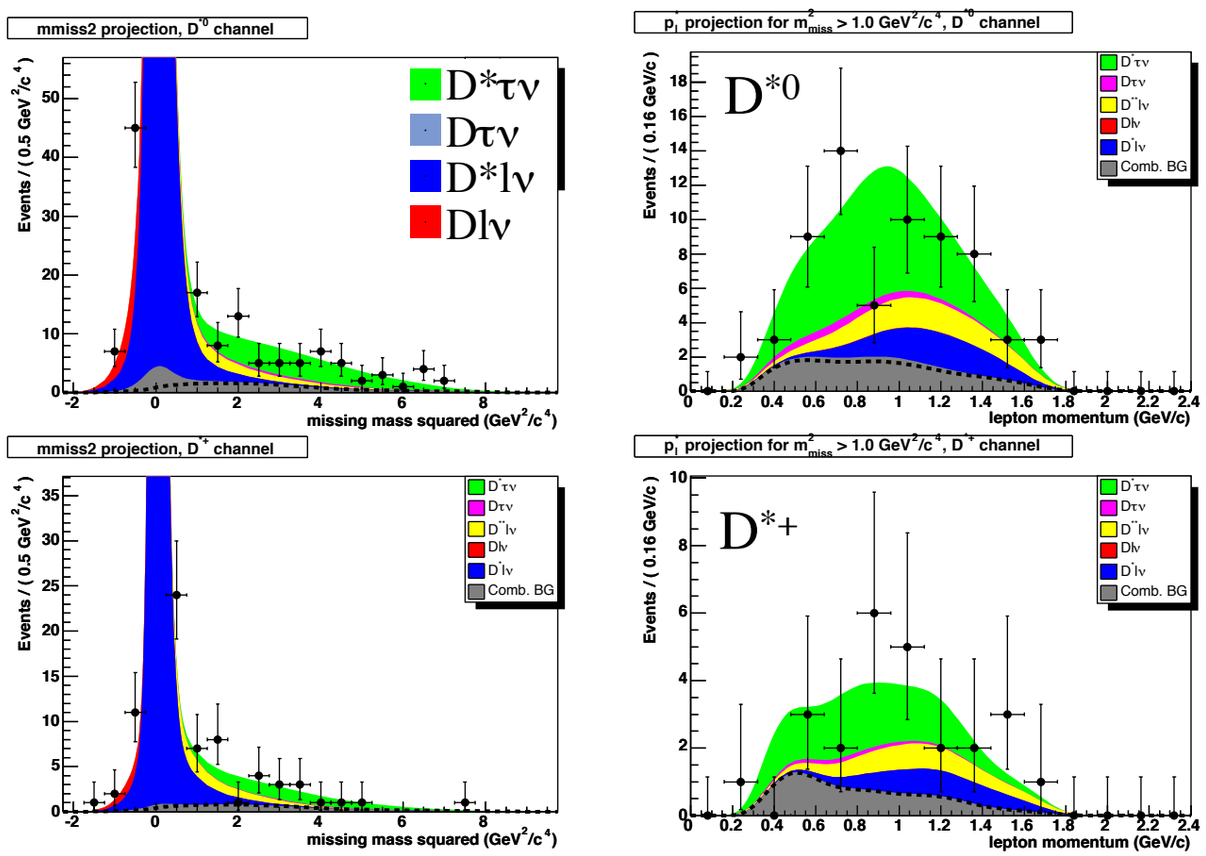
MC/data flat in m_{ES} ⇒ Extrapolation of the correction OK

D* channels: 1/2 data

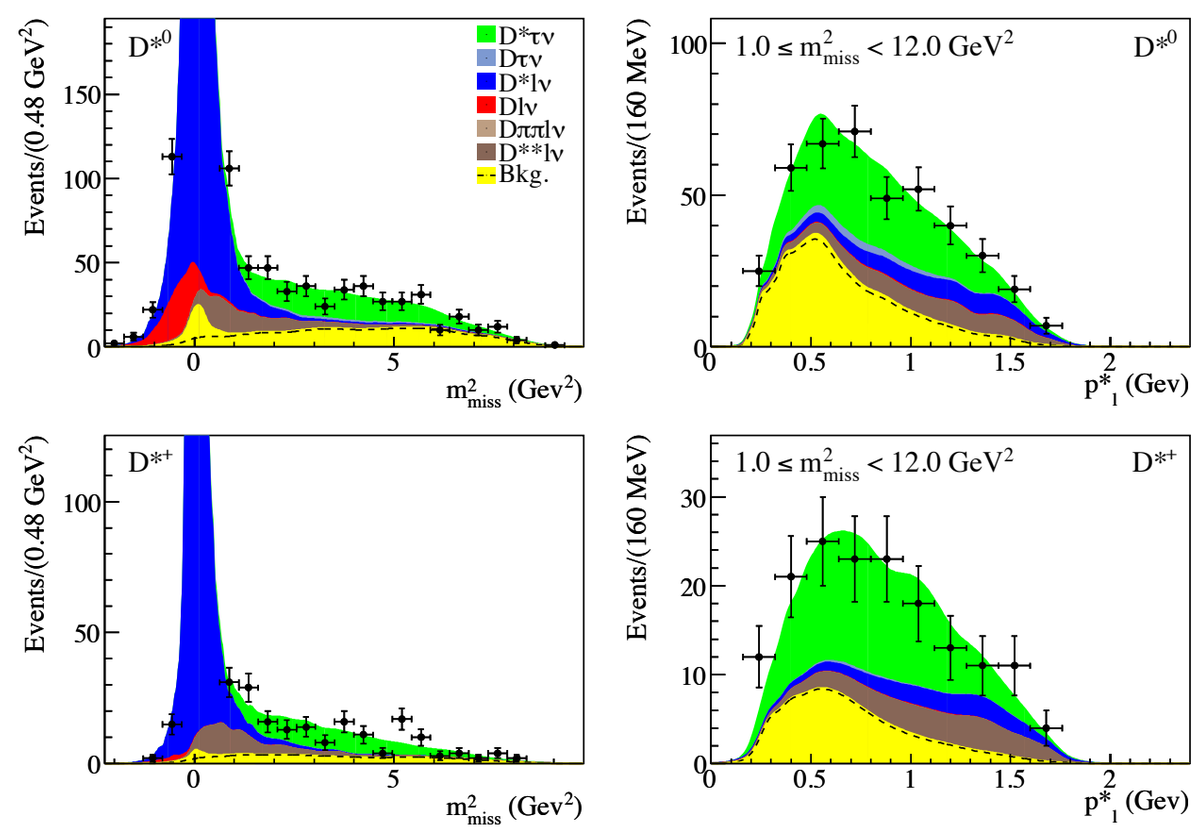
- **Efficiency 3x**
- **Good agreement** with previous analysis

	2008		2012	
	$D^{*0}\tau\nu$	$D^{*+}\tau\nu$	$D^{*0}\tau\nu$	$D^{*+}\tau\nu$
N_{sig}	92 ± 20	16 ± 7	267 ± 35	107 ± 17
Signif.	5.8 σ	2.7 σ	8.6 σ	8.0 σ
$R(D^*)$	**0.35 ± 0.07**	**0.21 ± 0.17**	**0.31 ± 0.04**	**0.32 ± 0.05**

2008



2012



Fit results: $D^*\tau\nu$

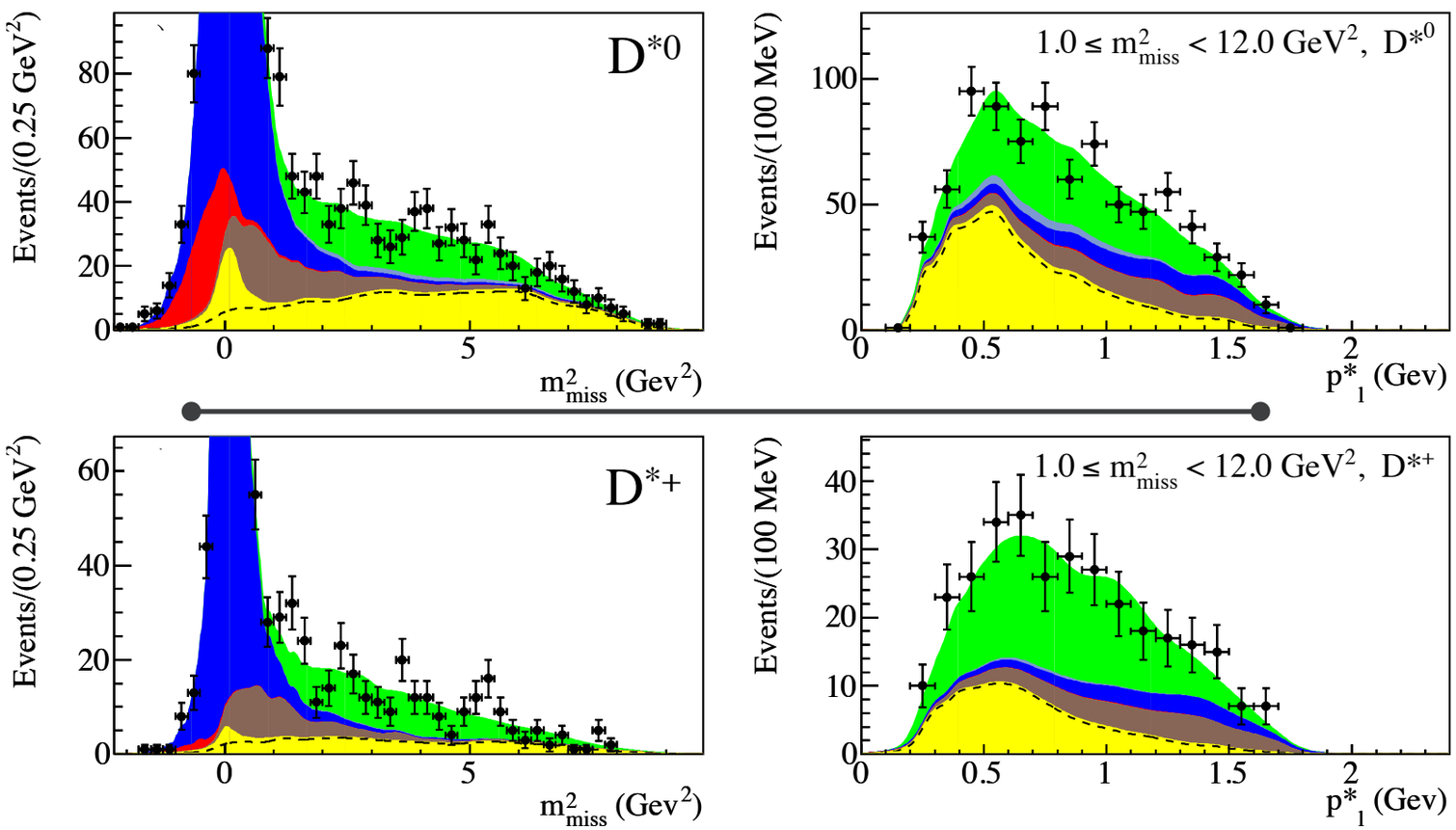
- **Good fit** agreement
- Uncertainties statistical

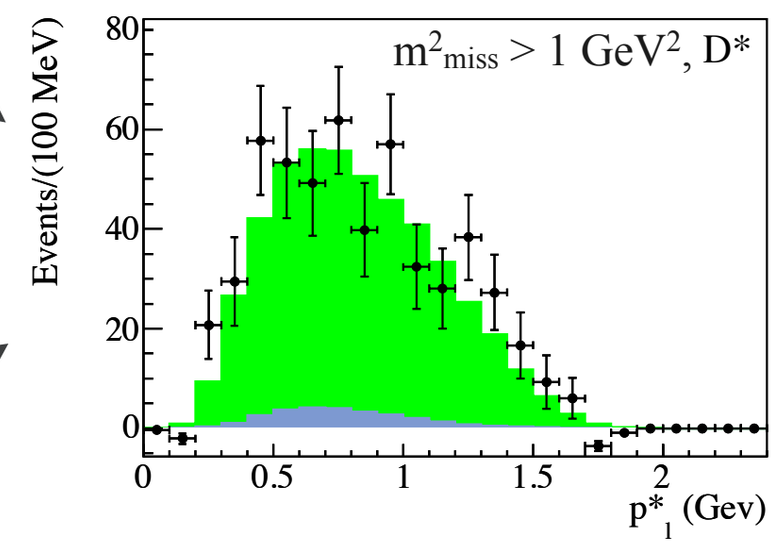
Free in the fit: $D^*\tau\nu$, $D\tau\nu$, $D^*l\nu$, $Dl\nu$, $D^{**}l\nu$

Fixed: Bkg.

	$D^{*0}\tau\nu$	$D^{*+}\tau\nu$	$D^*\tau\nu$
N_{sig}	639 ± 62	245 ± 27	888 ± 63
Signif.	11.3 σ	11.6 σ	16.4 σ
$R(D^*)$	**0.322 ± 0.032**	**0.355 ± 0.039**	**0.332 ± 0.024**

Isospin constrained





D^{*0} and D^{*+} channels combined. Background subtracted

Fit results: Dτν

- First **5σ observation**
- Uncertainties statistical

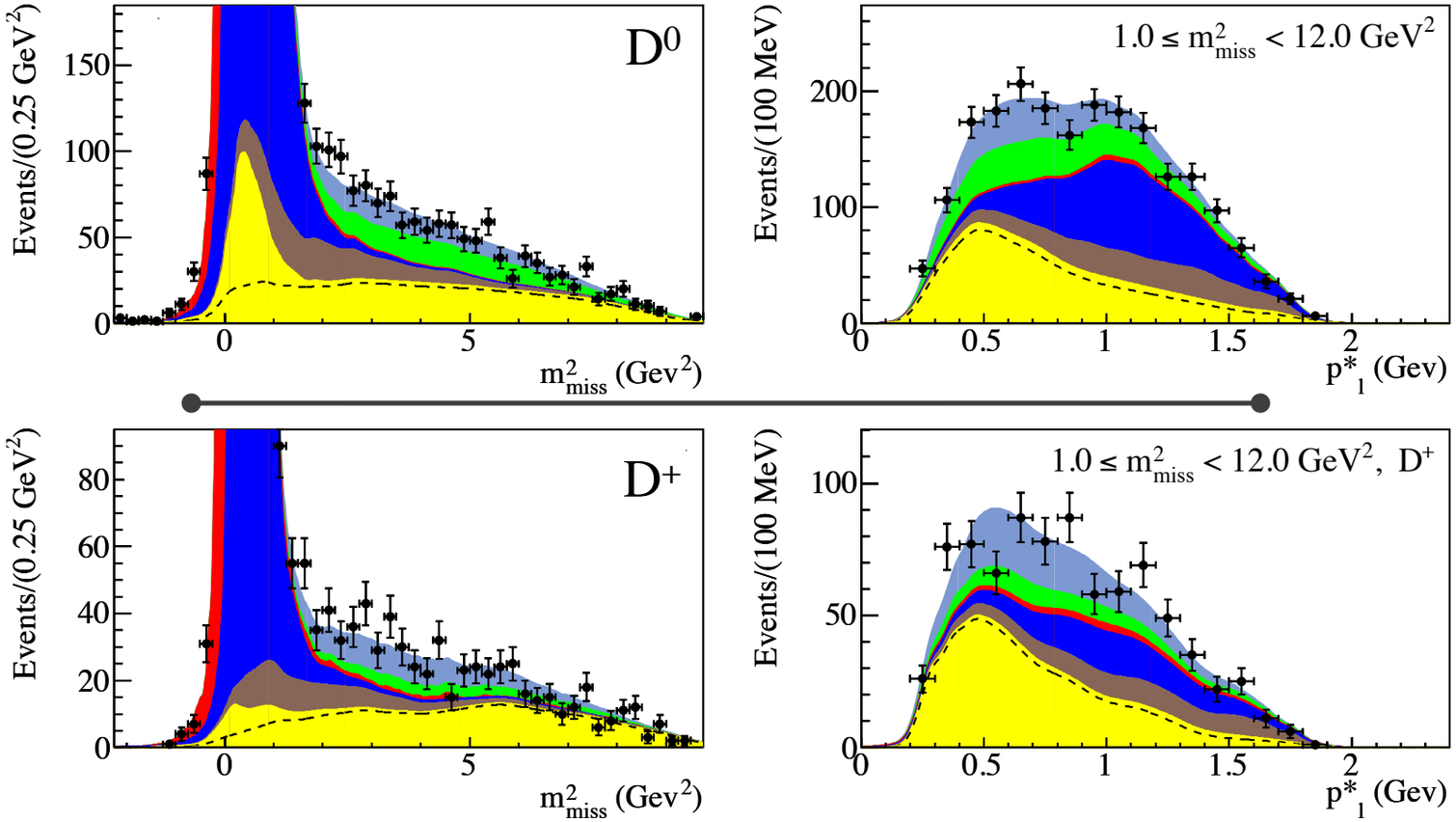
Free in the fit: D*τν, Dτν, D*lν, Dlν, D**lν

Fixed: Bkg.

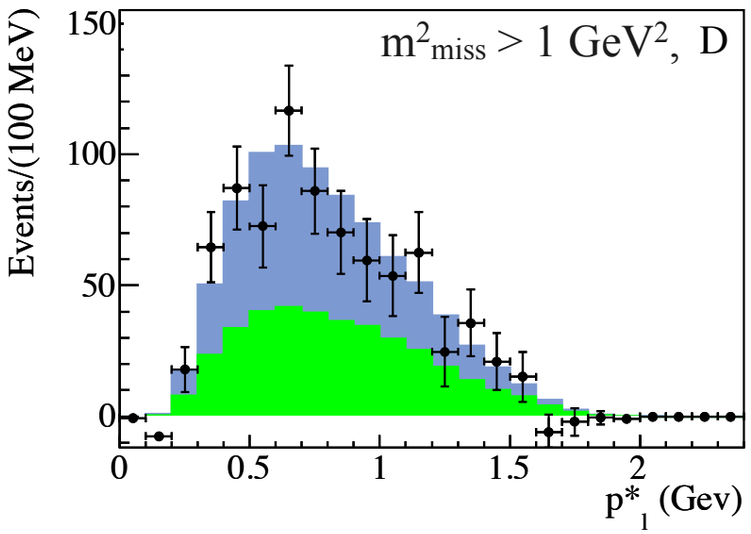
	$D^0\tau\nu$	$D^+\tau\nu$	$D\tau\nu$
N_{sig}	314 ± 60	177 ± 31	489 ± 63
Signif.	5.5 σ	6.1 σ	8.4 σ
R(D)	**0.429 ± 0.082**	**0.469 ± 0.084**	**0.440 ± 0.058**

First observation!

Isospin constrained



-45% correlation D-D*



D^0 and D^+ channels combined.
Background subtracted

Systematic uncertainties

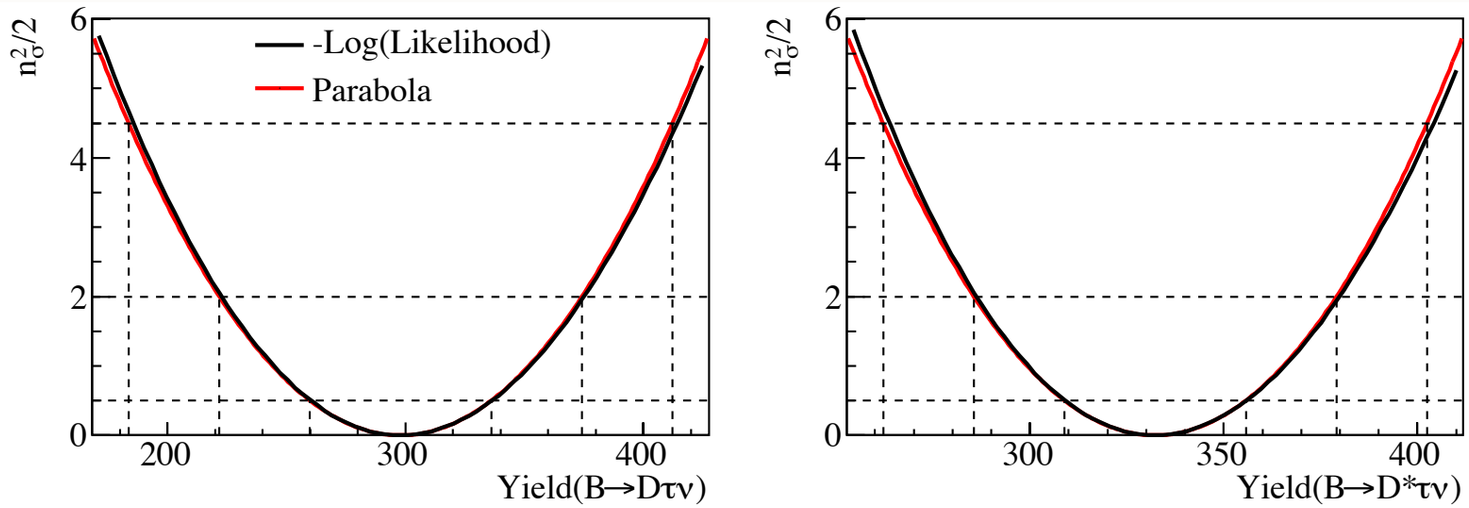
Source	Uncertainty (%) $R(D)$	$R(D^*)$	ρ
$D^{**}\ell\nu$ background	5.8	3.7	0.62
MC statistics	5.0	2.5	-0.48
Cont. and $B\overline{B}$ bkg.	4.9	2.7	-0.30
$\varepsilon_{\rm sig}/\varepsilon_{\rm norm}$	2.6	1.6	0.22
Systematic uncertainty	9.5	5.3	0.05
Statistical uncertainty	13.1	7.1	-0.45
Total uncertainty	**16.2**	**9.0**	**-0.27**

Correlation between $R(D)$ and $R(D^*)$

- **Largest syst.** due to **backgrounds**
- **Small** uncertainty on **efficiency ratio $\varepsilon_{\rm sig}/\varepsilon_{\rm norm}$**
- **Statistical** uncertainty **dominates**

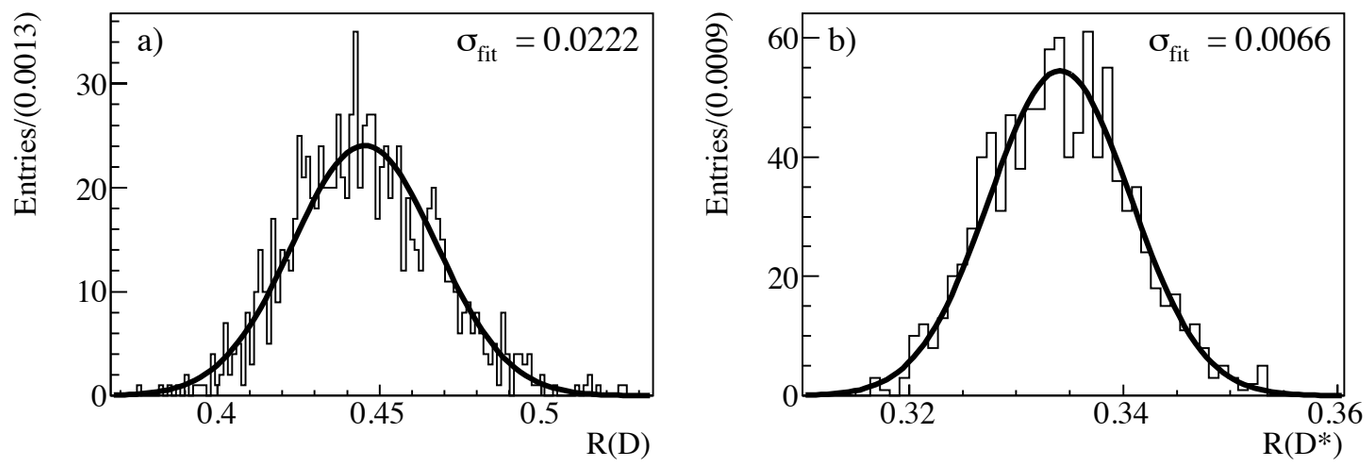
Gaussian uncertainties

- **Statistical uncertainty**

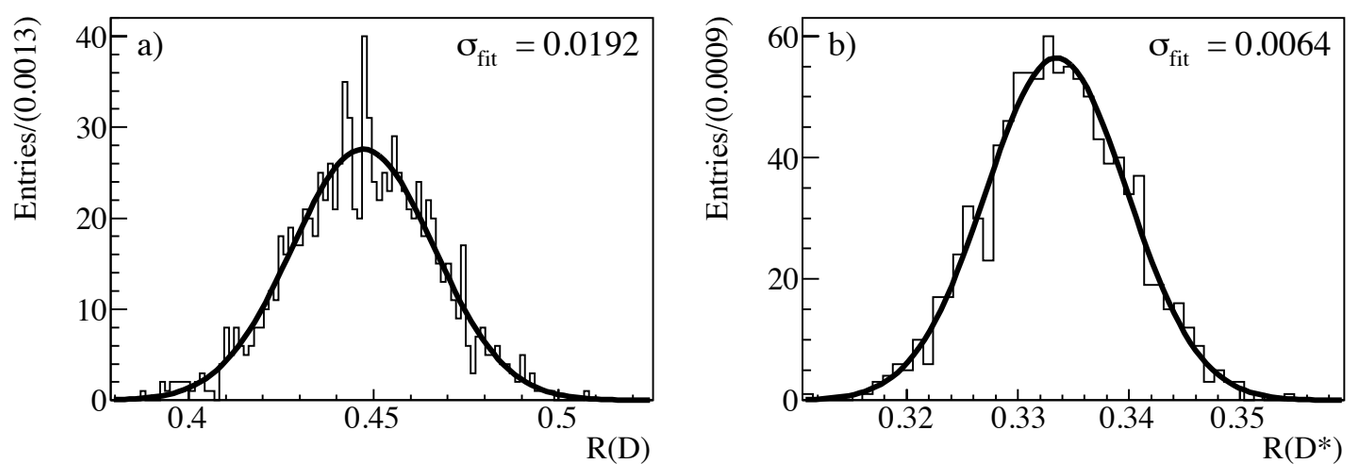


Likelihood scan

- Largest **systematic uncertainties**



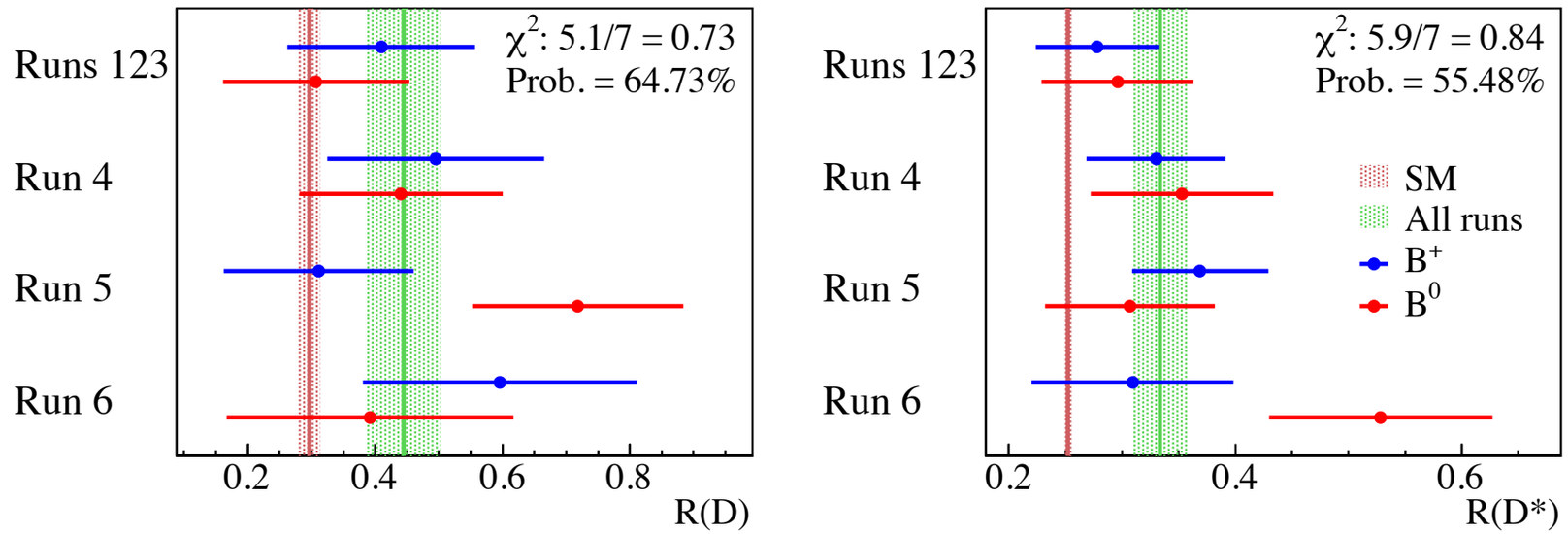
Variations of the **$D^{**}\ell\nu$ rate** from the $D\pi^0$ into the signal samples



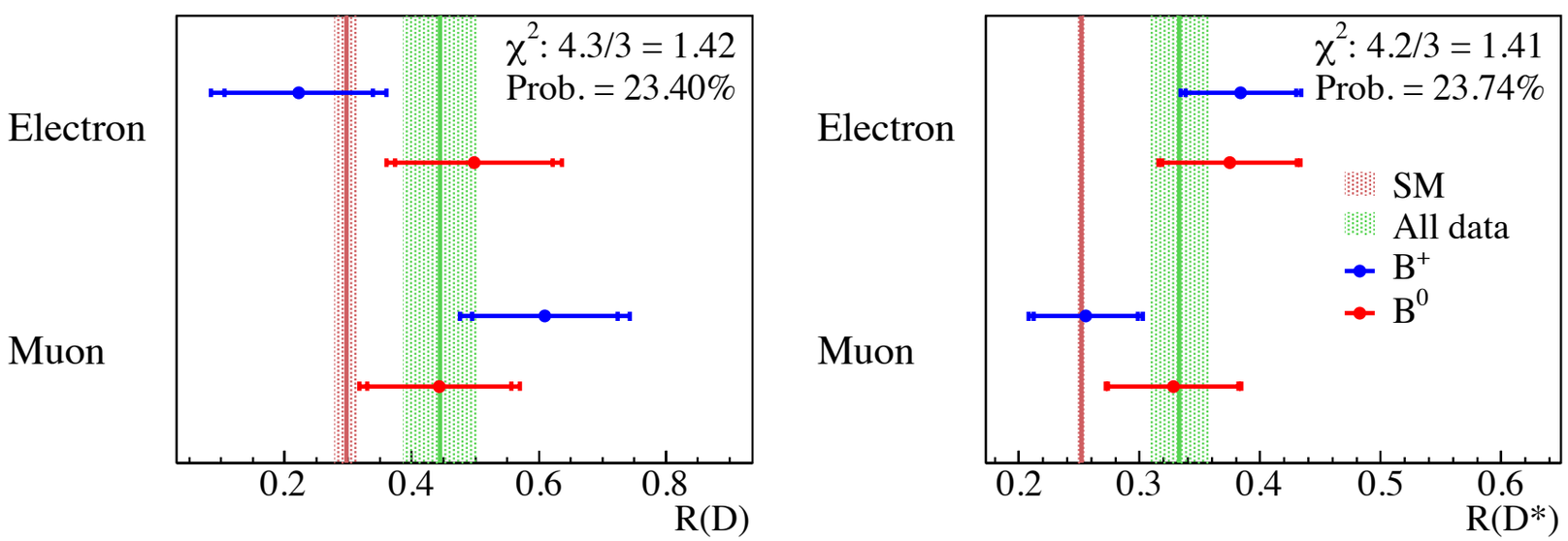
Variations of the **PDFs** due to MC statistics

Stability checks

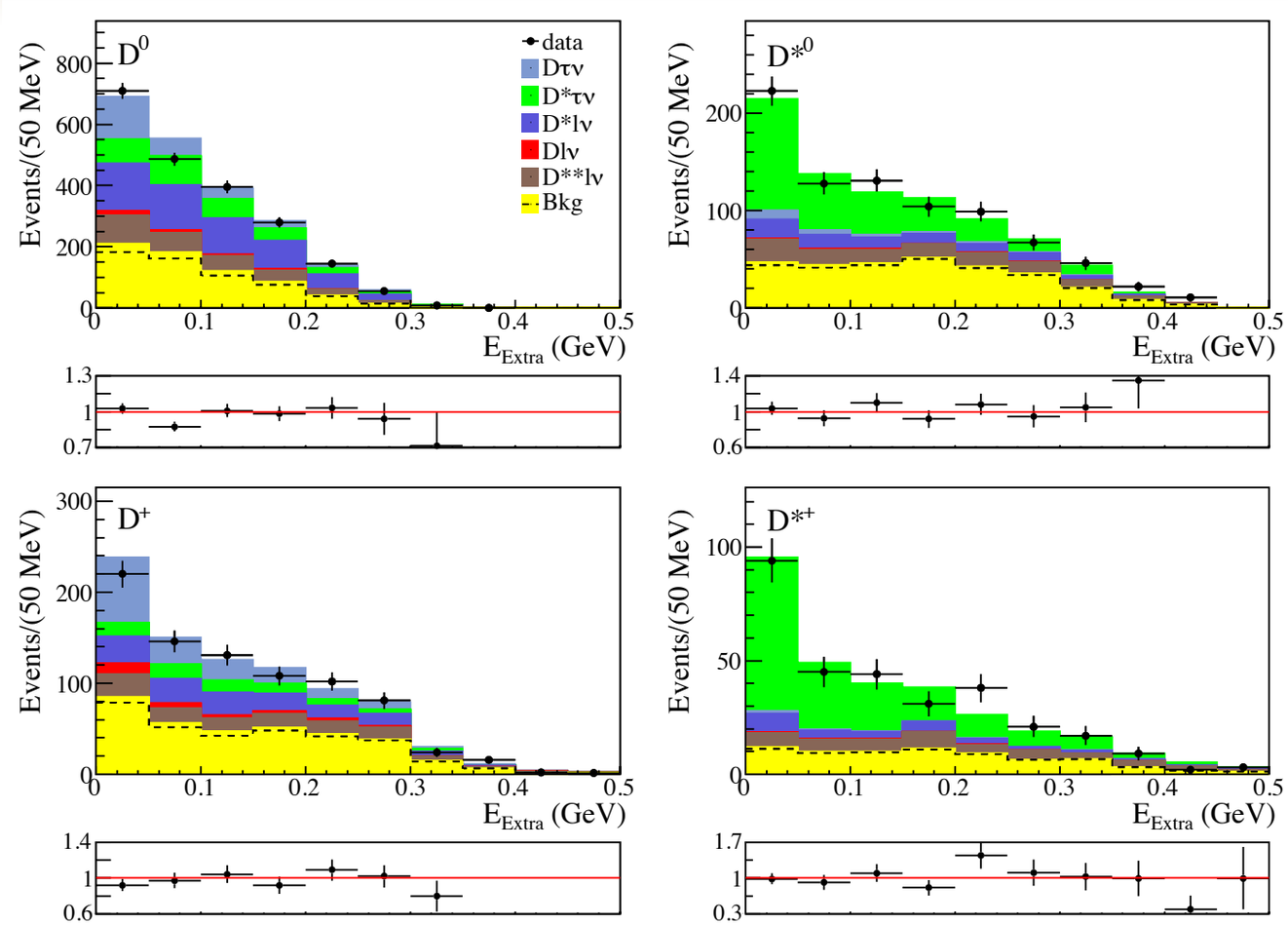
- **Results** are **consistent for different run periods**



- **Results** are **consistent for e Vs μ**, within the large uncertainties



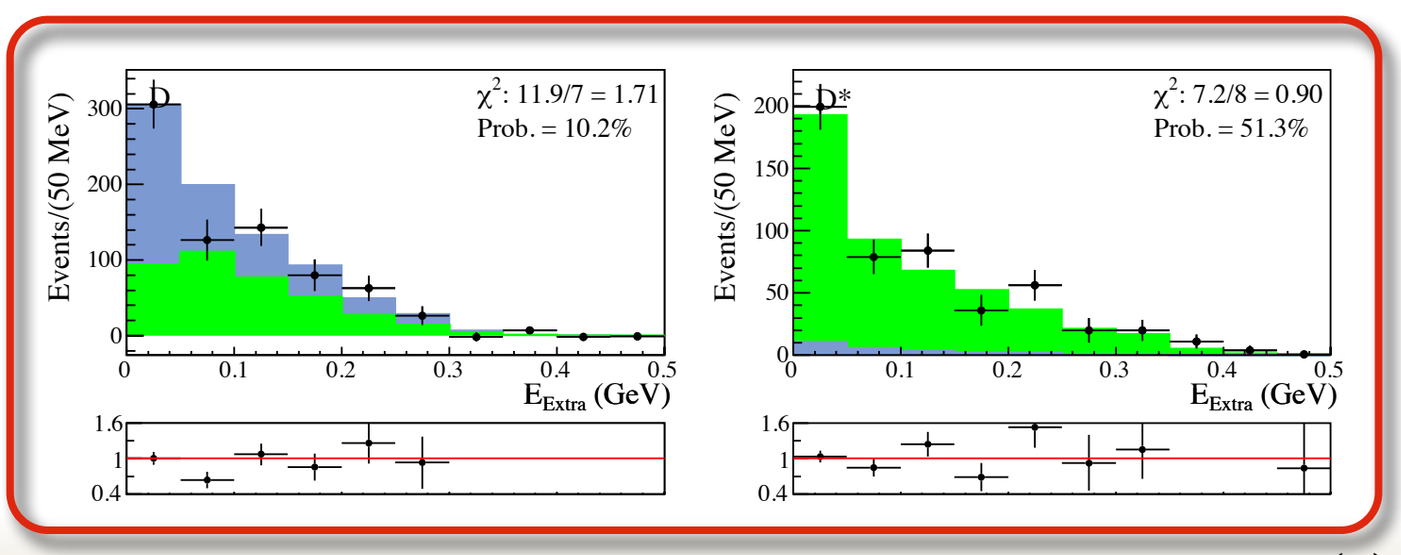
E_{Extra} after the fit



- **Key variable** in the **BDT**

$$E_{\mathbf{Extra}} = \sum_{\mathbf{unused}\ \gamma} E_{\gamma}$$

- **Signal peaks in E_{Extra}**
  - Re-scaled to the results of the fit
  - $m^2_{miss} > 1.5\ GeV^2$



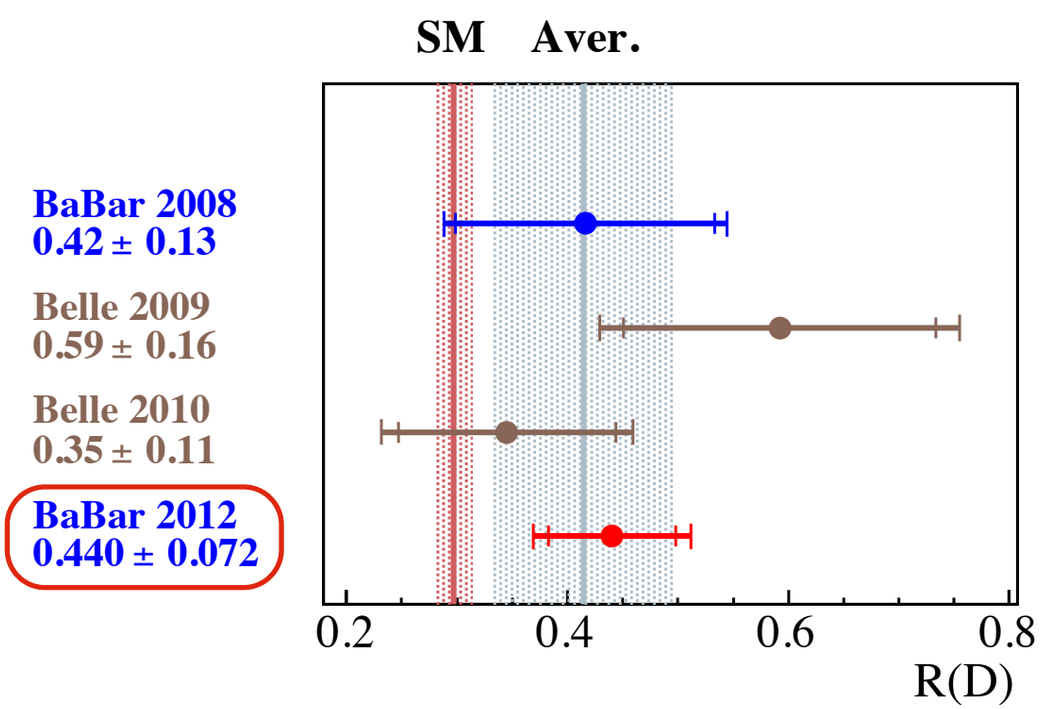
$D^{(*)0}$ and $D^{(*)+}$ channels combined
Background subtracted

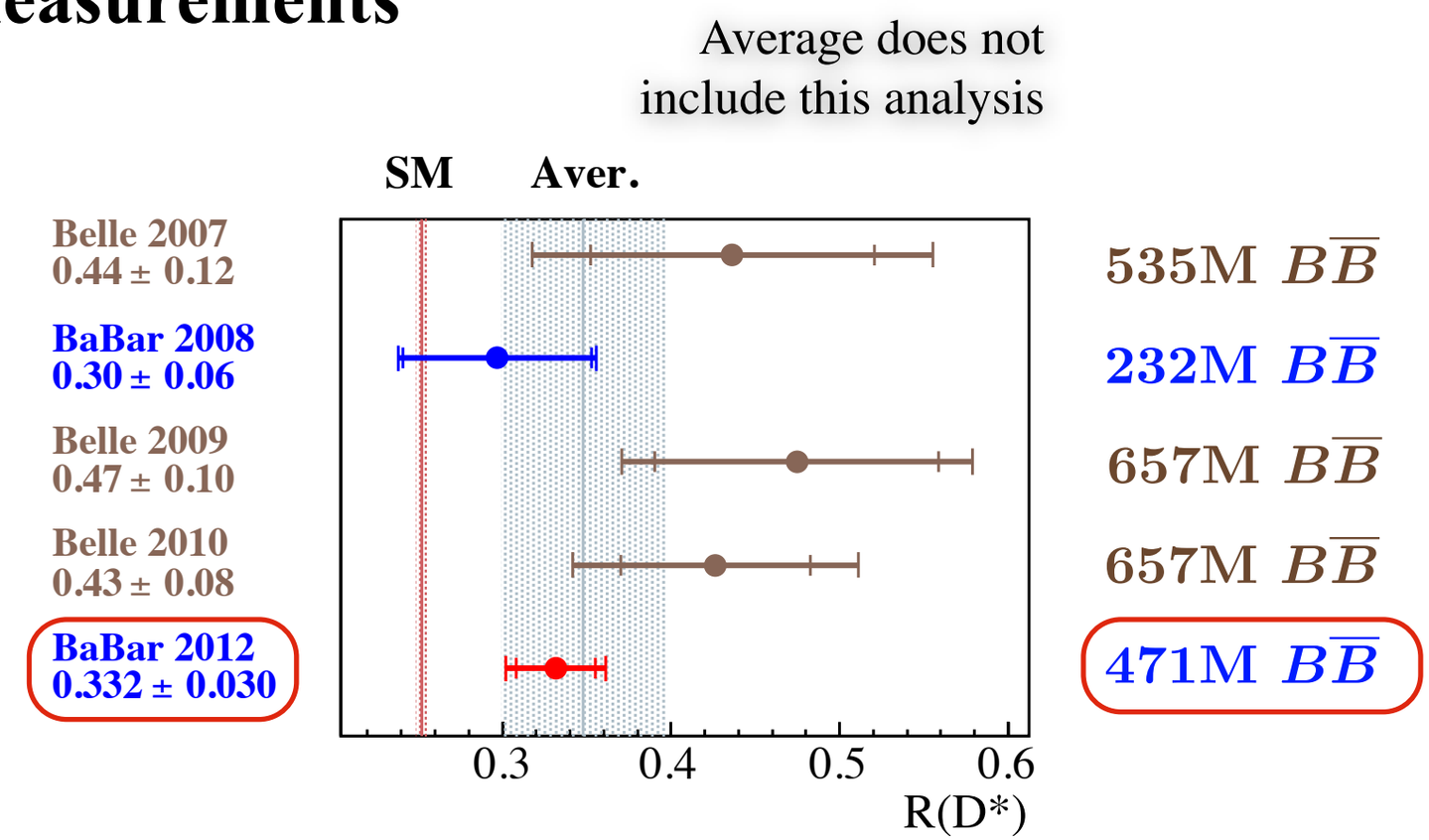
Results

PRL 109, 101802 (2012)

Decay	$N_{\rm sig}$	$N_{\rm norm}$	$R(D^{(*)})$	$\mathcal{B}(B \to D^{(*)}\tau\nu)\,(\%)$	$\Sigma_{\rm tot}(\sigma)$
$D\tau^-\overline{\nu}_\tau$	489 ± 63	2981 ± 65	$0.440 \pm 0.058 \pm 0.042$	$1.02 \pm 0.13 \pm 0.11$	6.8
$D^*\tau^-\overline{\nu}_\tau$	888 ± 63	11953 ± 122	$0.332 \pm 0.024 \pm 0.018$	$1.76 \pm 0.13 \pm 0.12$	13.2

- **First 5σ observation** of **B→Dτν**
- **Agreement** with **previous measurements**





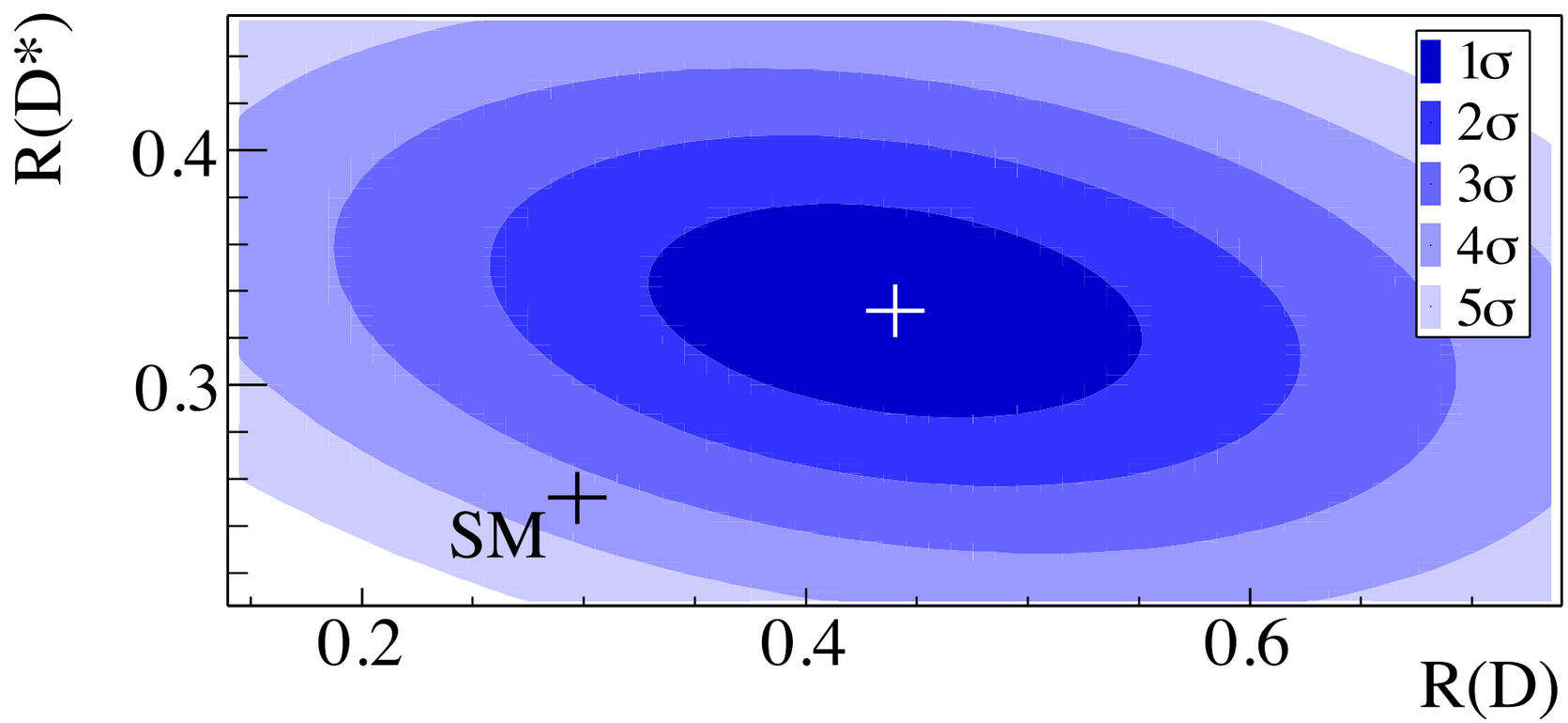
Disagreement with SM

$$R(D) = \begin{cases} 0.440 \pm 0.072 & \textit{BaBar} \\ 0.297 \pm 0.017 & \text{SM} \end{cases} \quad \mathbf{2.0\sigma}$$

$$R(D^*) = \begin{cases} 0.332 \pm 0.030 & \textit{BaBar} \\ 0.252 \pm 0.003 & \text{SM} \end{cases} \quad \mathbf{2.7\sigma}$$

$$\mathbf{3.4\sigma}$$

3.2σ with largest R(D)$_{SM}$
PRL 109, 071802 (2012)

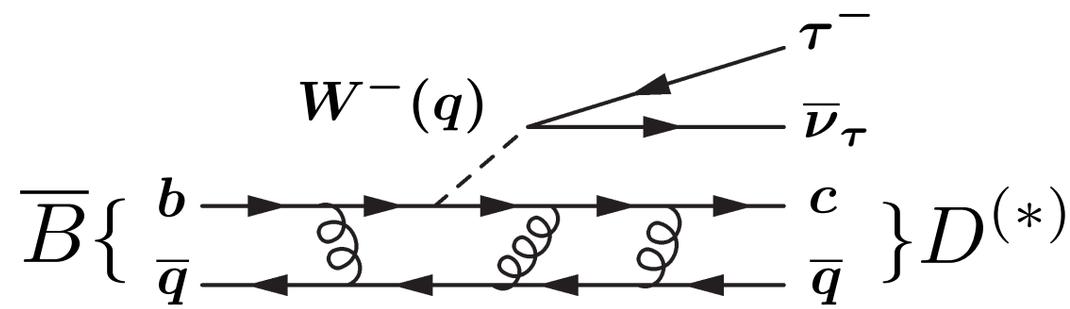


R(D) and **R(D*)** **not independent**

-27% correlation

2HDM calculation

- **SM matrix element** $$\mathcal{M}^{\lambda_\ell}_{\lambda_M}(q^2,\theta_\ell)\Big|_W = \frac{G_F V_{cb}}{\sqrt{2}} \sum_{\lambda_W} L^{\lambda_\ell}_{\lambda_W} H^{\lambda_M}_{\lambda_W}$$
  - $L^{\lambda_\ell}_{\lambda_W}$ are the **leptonic currents**
    - Simple functions of q^2 and θ_l
  - $H^{\lambda_H}_{\lambda_W}$ are the **hadronic currents**
    - Parameterized by Form Factors

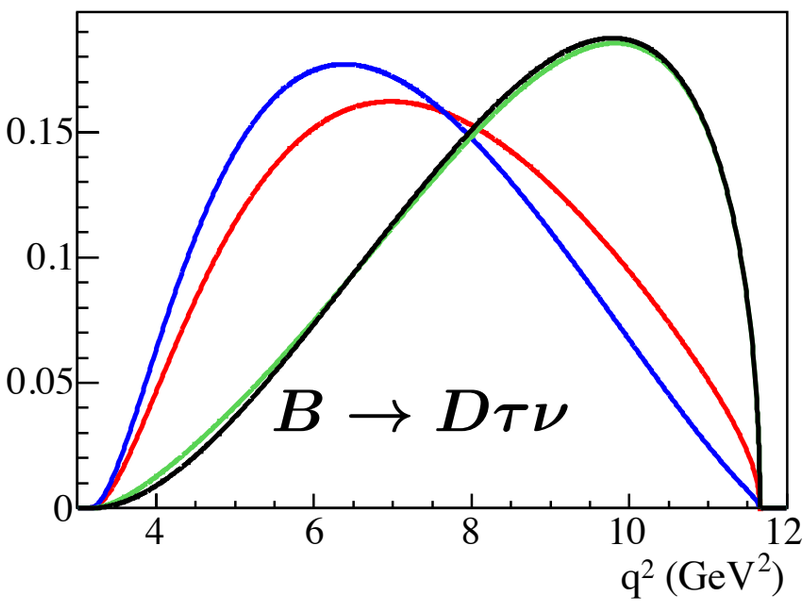


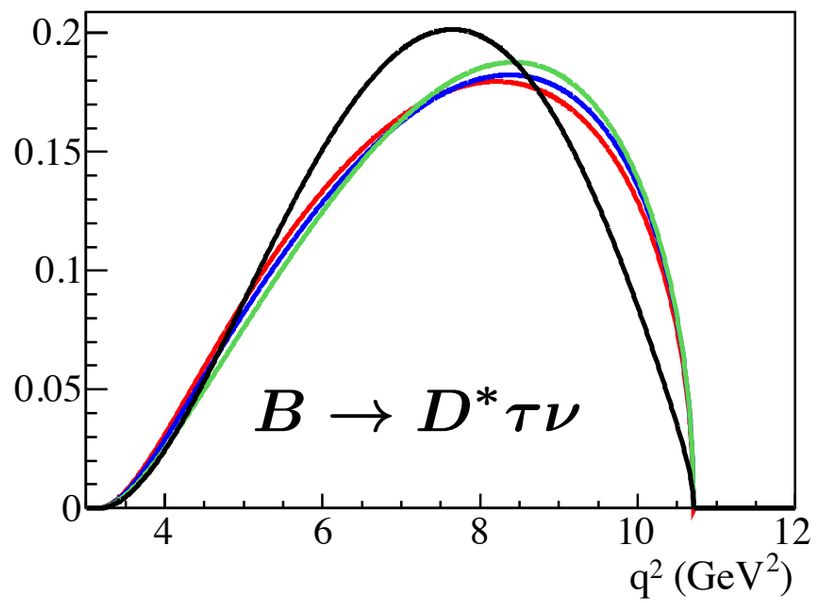
- **H**$^-$ enters through the **scalar current** $H_s^{\rm 2HDM} \approx H_s^{\rm SM} \times \left(1 - \frac{\tan^2\beta}{m_{H^+}^2}\frac{q^2}{1 \mp m_c/m_b}\right)$
  - We re-weight the simulation to account for it

Type II Two-Higgs-Doublet Model

Type II 2HDM: q^2

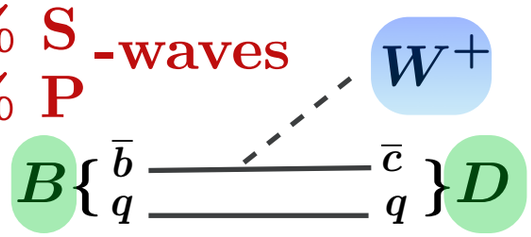
- **q^2 spectrum** impacted by $H_s^{\rm 2HDM} \approx H_s^{\rm SM} \times \left(1 - \frac{\tan^2\beta}{m_{H^+}^2}\frac{q^2}{1 \mp m_c/m_b}\right)$



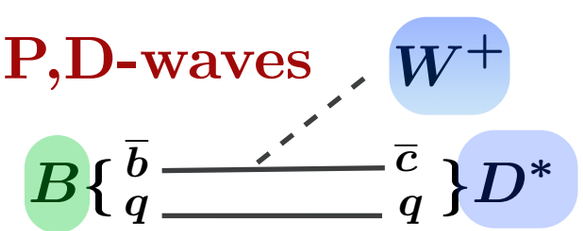


SM
$\tan\beta/m_{H^+} = 0.3$ GeV^{-1}
$\tan\beta/m_{H^+} = 0.5$ GeV^{-1}
$\tan\beta/m_{H^+} = 1.0$ GeV^{-1}

6% S
94% P
-waves

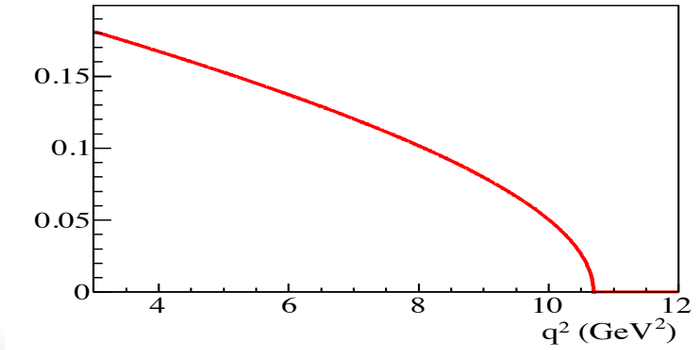


S,P,D-waves

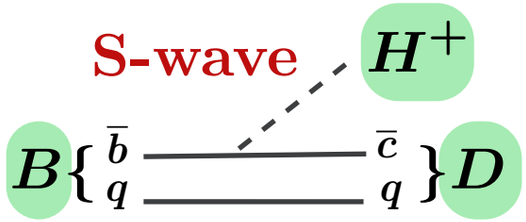


Spin 0 **Spin 1**

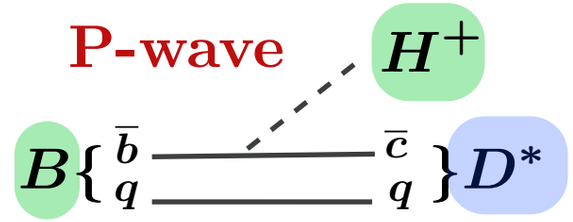
P-waves pick up a factor of $p_{D^{(*)}}$



S-wave

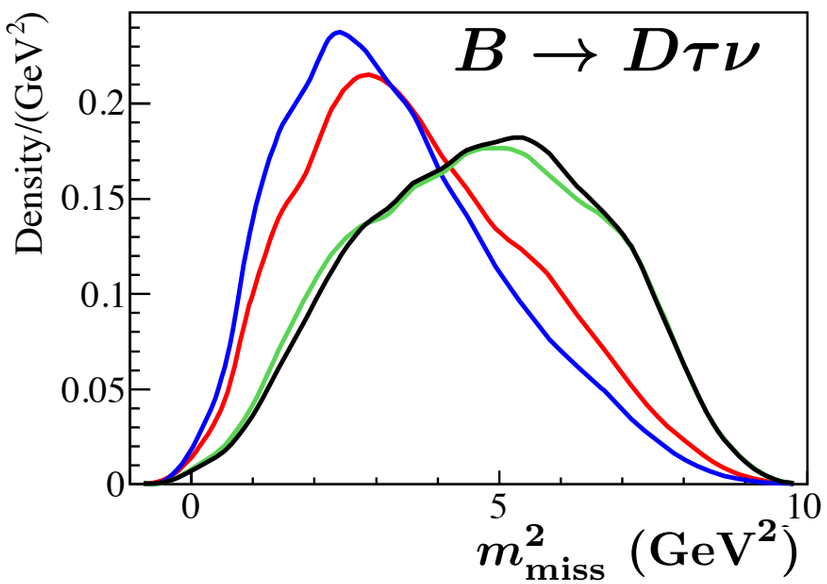


P-wave



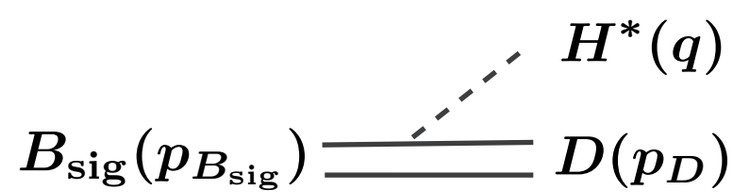
Type II 2HDM: PDFs

PDFs re-calculated in the **2HDM** context



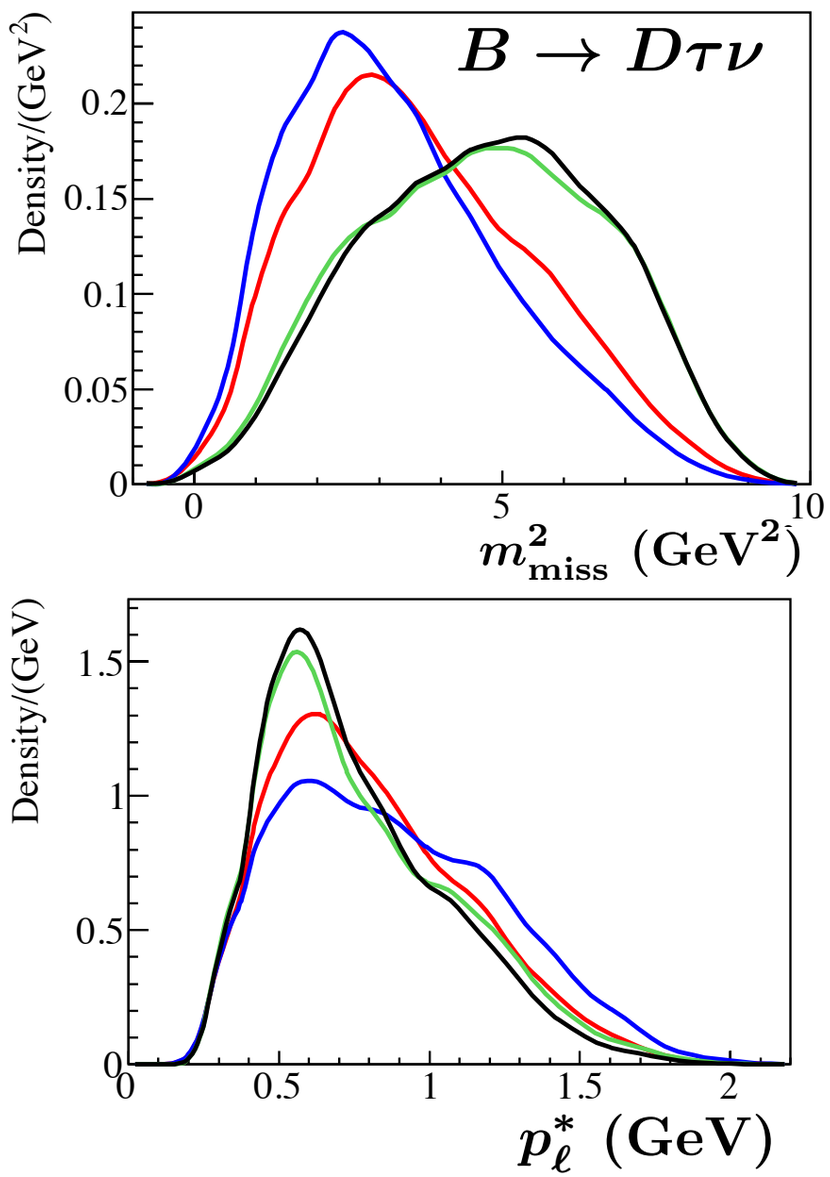
Higgs impact on m^2_{miss} similar to q^2

$$m^2_{\rm miss} = \Big(\overbrace{\overbrace{p_{e^+e^-} - p_{B_{\rm tag}}}^{p_{B_{\rm sig}}}}^{q} - p_{D^{(*)}} - p_\ell\Big)^2 = (q - p_\ell)^2$$

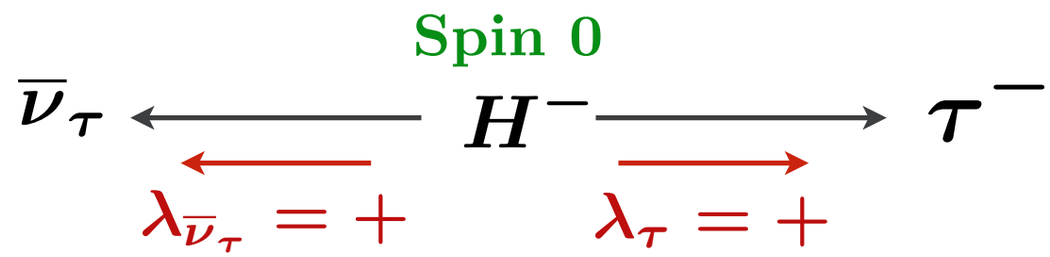


Type II 2HDM: PDFs

PDFs re-calculated in the **2HDM** context

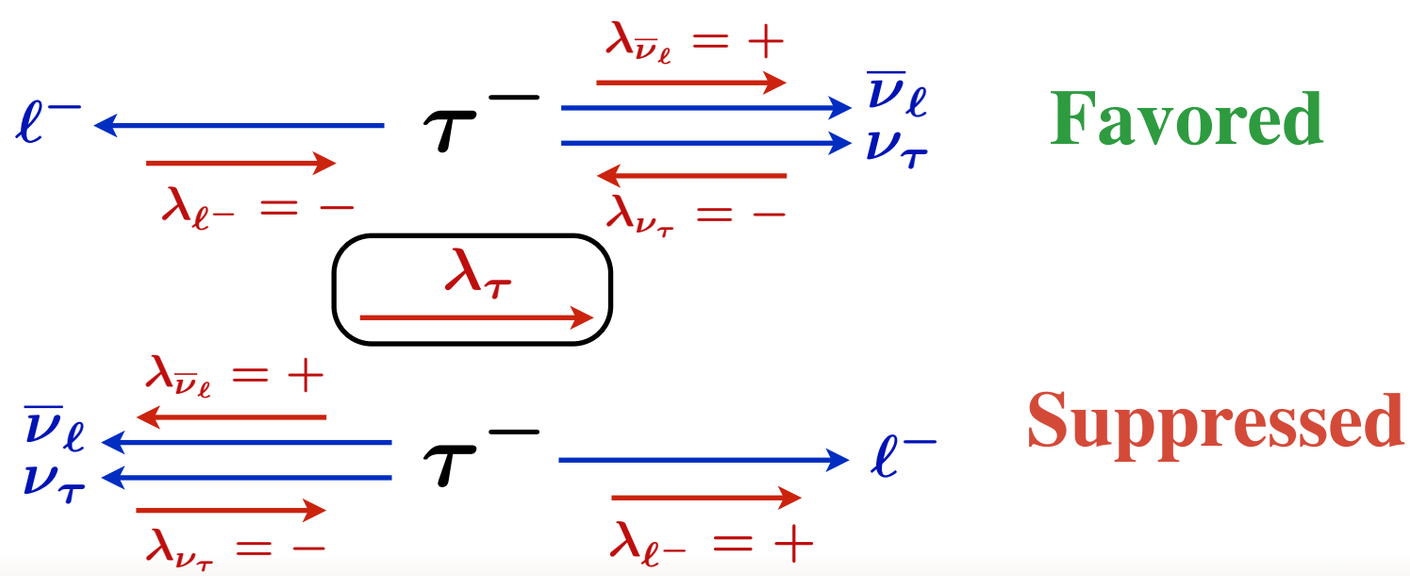


- τ^- **polarization** in $\overline{B} \to D^{(*)}\tau^-\overline{\nu}_\tau$
  - **SM:** Left-handed **70%,** Right-handed **30%**



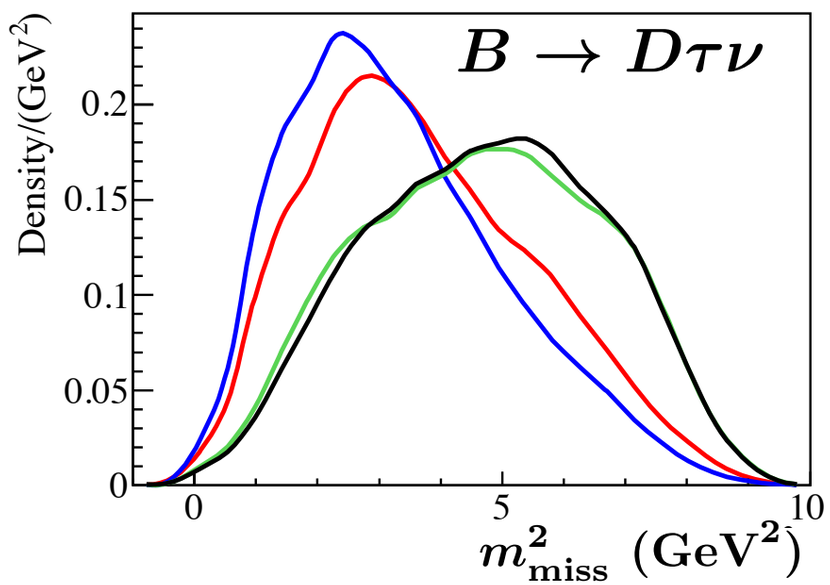
  - **2HDM:** Left-handed **0%,** Right-handed **100%**

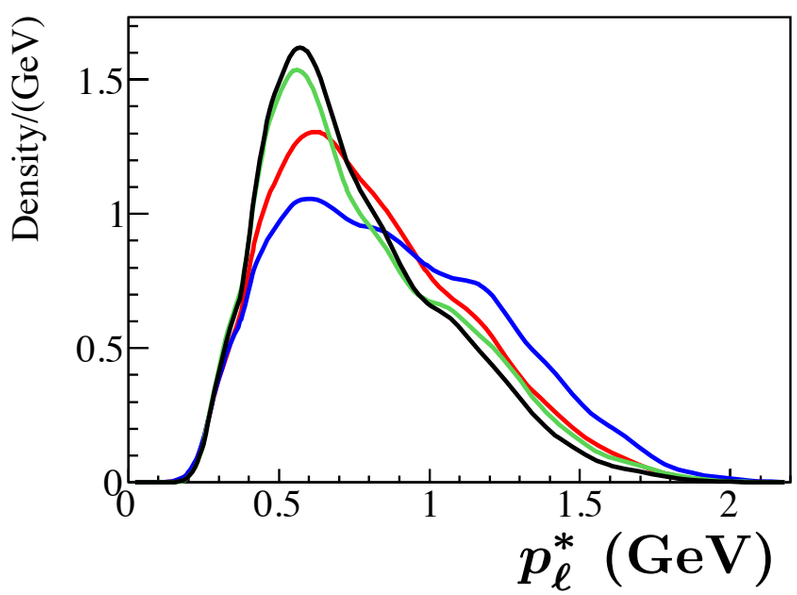
p^*_ℓ is the momentum of the secondary lepton from $\tau^- \to \ell^-\overline{\nu}_\ell\nu_\tau$ decays in B frame



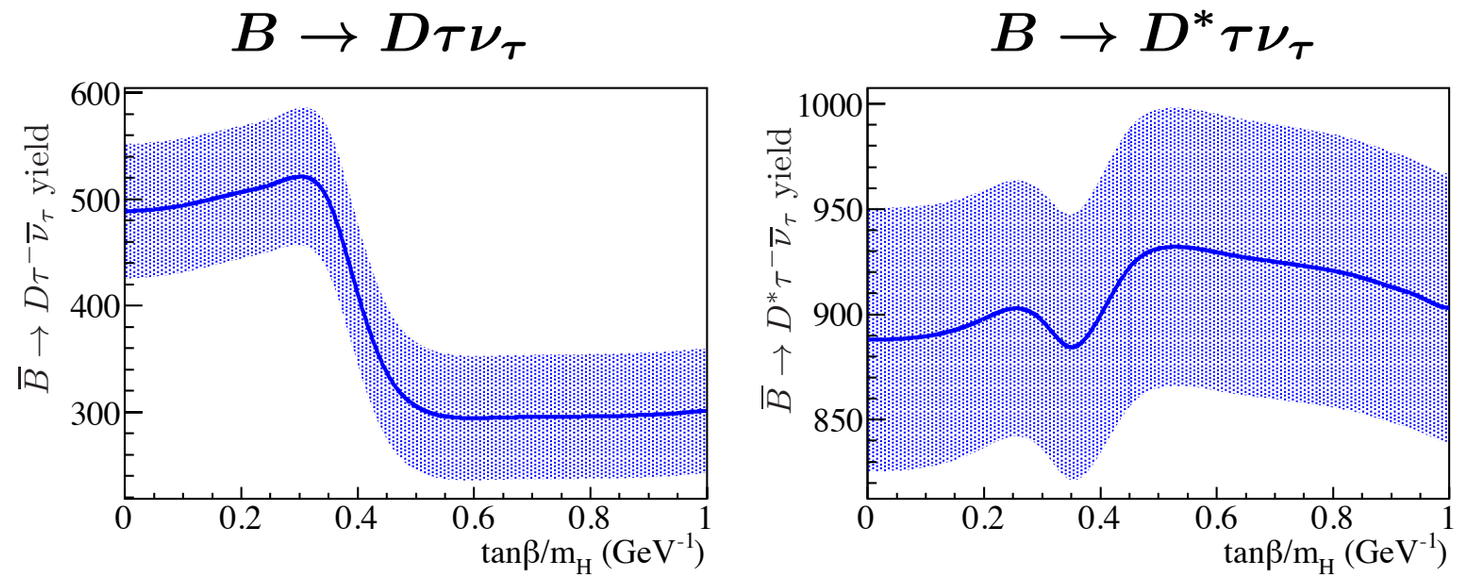
Type II 2HDM scan

PDFs re-calculated in the **2HDM** context

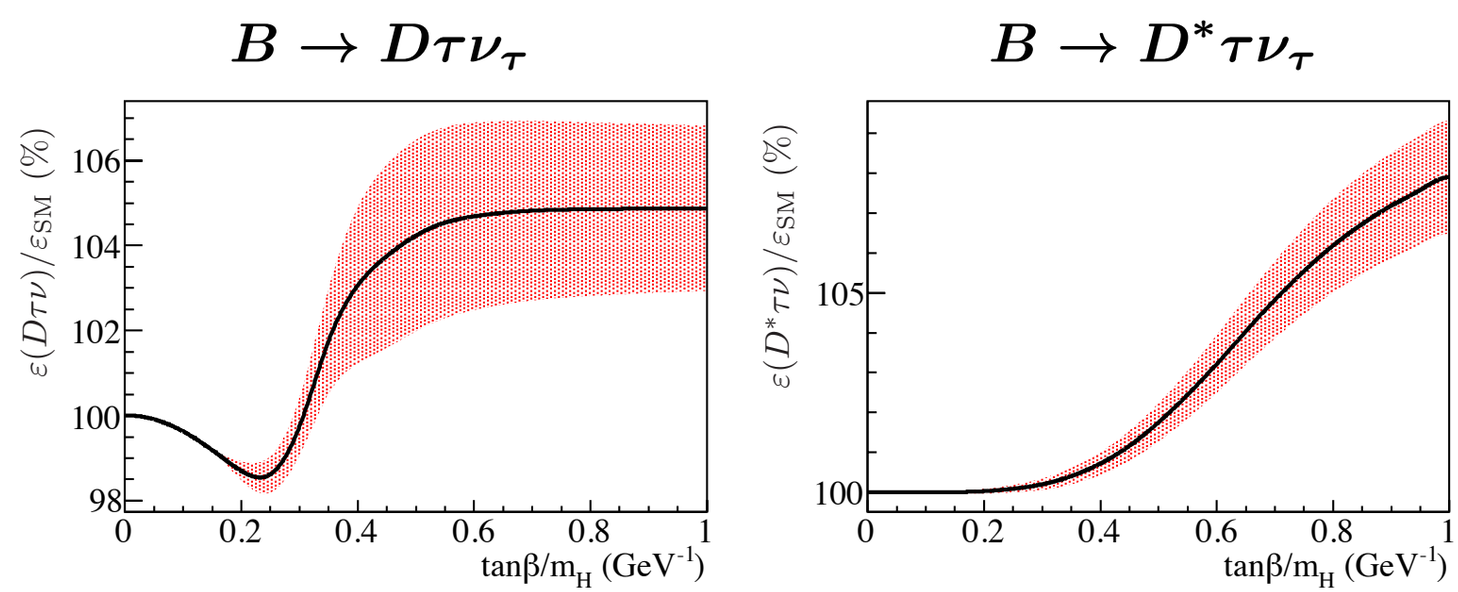




Fitted yields



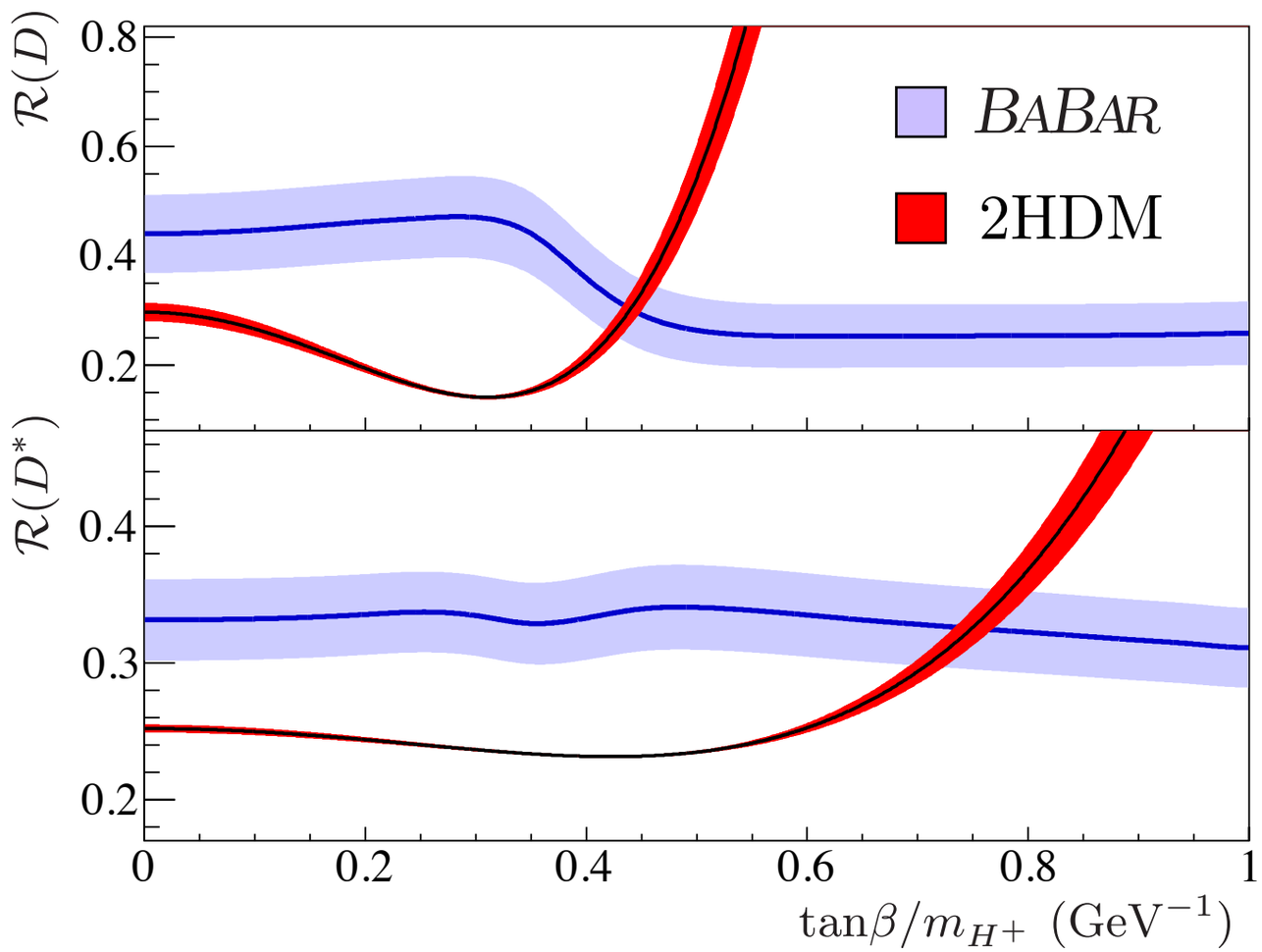
Efficiency



Type II 2HDM scan

- Measured $R(D^{(*)}) = \dfrac{\mathcal{B}(\overline{B} \to D^{(*)}\tau^-\overline{\nu}_\tau)}{\mathcal{B}(\overline{B} \to D^{(*)}\ell^-\overline{\nu}_\ell)} = \dfrac{N_{\rm sig}}{N_{\rm norm}} \times \dfrac{\varepsilon_{\rm norm}}{\varepsilon_{\rm sig}}$

  in the **full 2HDM parameter space**



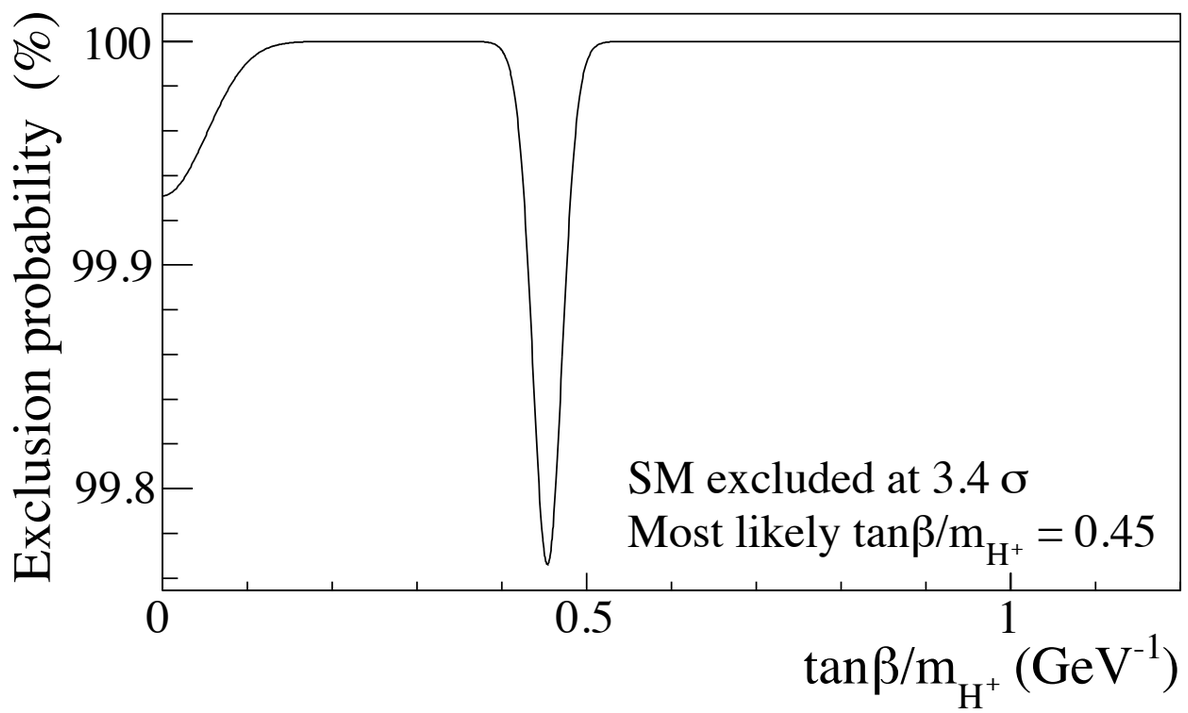
$\tan\beta/m_{H^+} =$
0.44 ± 0.02 GeV^{-1}

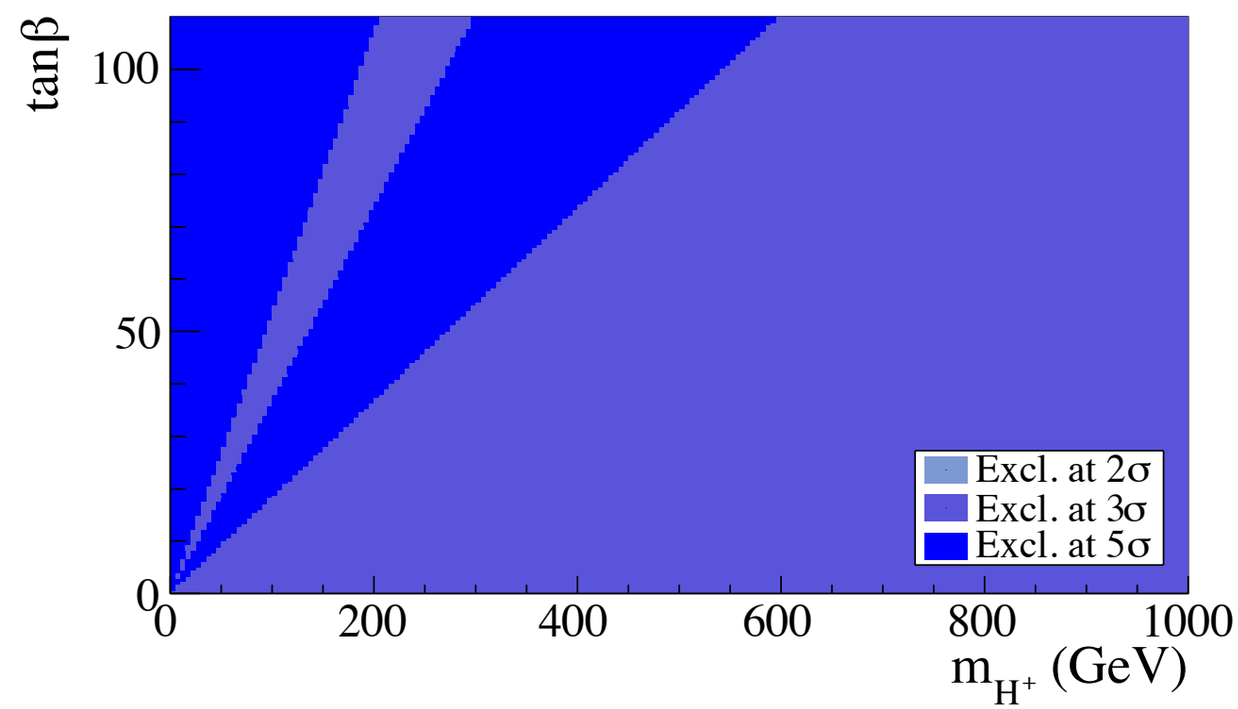
$\tan\beta/m_{H^+} =$
0.75 ± 0.04 GeV^{-1}

Type II 2HDM

- Compatibility of $\boldsymbol{\Delta(D^{(*)}) = R(D^{(*)})_{\mathbf{exp}} - R(D^{(*)})_{\mathbf{2HDM}}}$ given by a χ^2 for each 2HDM point

$$\chi^2(\tan\beta/m_{H^+}) = (\Delta(D), \Delta(D^*)) \begin{pmatrix} \sigma^2_{\rm exp} + \sigma^2_{\rm th} & \rho\,\sigma_{\rm exp}\sigma^*{}_{\rm exp} \\ \rho\,\sigma_{\rm exp}\sigma^*{}_{\rm exp} & \sigma^{*2}_{\rm exp} + \sigma^{*2}_{\rm th} \end{pmatrix}^{-1} \begin{pmatrix} \Delta(D) \\ \Delta(D^*) \end{pmatrix}$$





Type II 2HMD <u>excluded at 99.8%</u>, or equivalently, **<u>3.1σ</u>**

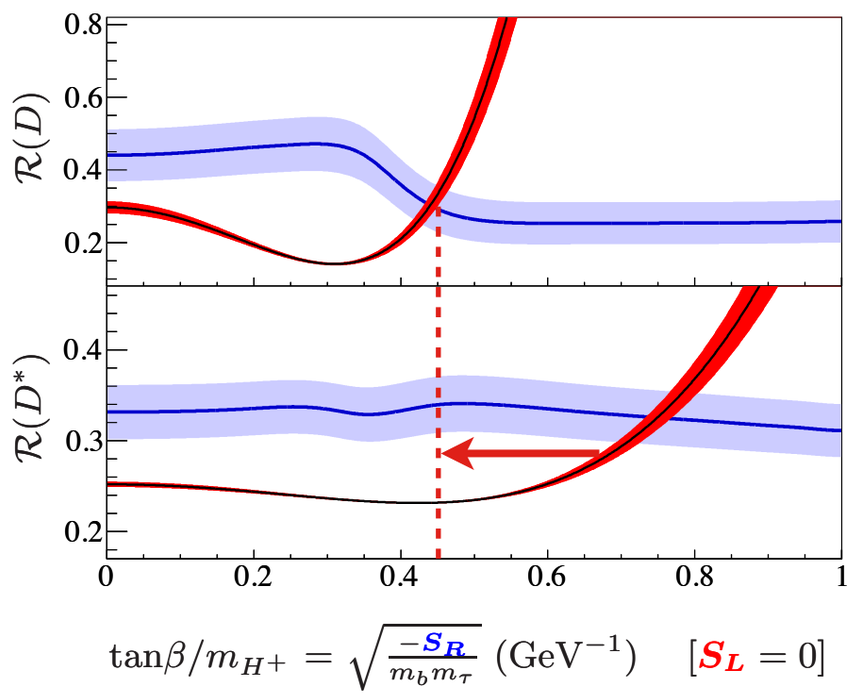
Type III 2HDM

- General **spin-0 interactions**

Datta et al, PRD 86, 034027 (2012)

$$\mathcal{H}_{\rm eff} = \frac{4G_F V_{cb}}{\sqrt{2}}\left[(\bar{c}\gamma_\mu P_L b)\,(\bar{\tau}\gamma^\mu P_L \nu_\tau) + S_R(\bar{c}P_R b)\,(\bar{\tau}P_L\nu_\tau) + S_L(\bar{c}P_L b)\,(\bar{\tau}P_L\nu_\tau)\right]$$

Type II 2HDM



No solutions

- **R(D) - R(D*)** depend on **independent NP parameters**

$$\mathcal{R}(D) = \mathcal{R}(D)_{\rm SM} + A'_D {\rm Re}(S_R + S_L) + B'_D |S_R + S_L|^2$$

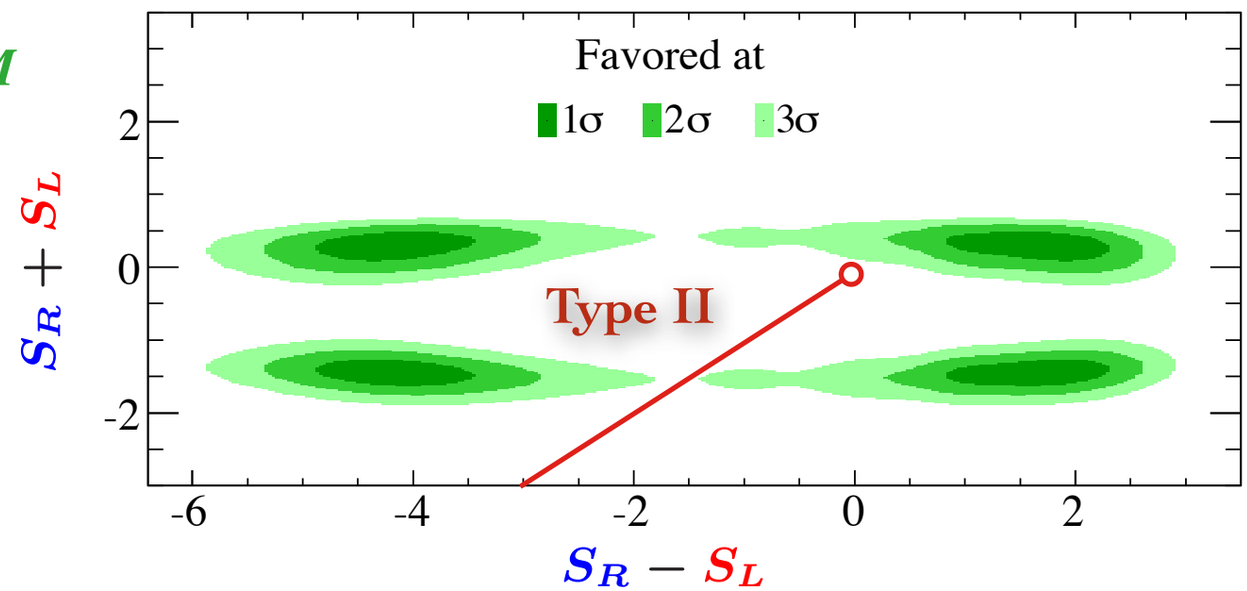
$$\mathcal{R}(D^*) = \mathcal{R}(D^*)_{\rm SM} + A'_{D^*} {\rm Re}(S_R - S_L) + B'_{D^*} |S_R - S_L|^2$$

Type III 2HDM

- General **spin-0 interactions** — Datta et al, PRD 86, 034027 (2012)

$$\mathcal{H}_{\rm eff} = \frac{4G_F V_{cb}}{\sqrt{2}}\left[(\bar{c}\gamma_\mu P_L b)\,(\bar{\tau}\gamma^\mu P_L \nu_\tau) + S_R(\bar{c}P_R b)\,(\bar{\tau}P_L\nu_\tau) + S_L(\bar{c}P_L b)\,(\bar{\tau}P_L\nu_\tau)\right]$$

Type III 2HDM



4 solutions for real S_R - S_L and more for complex values

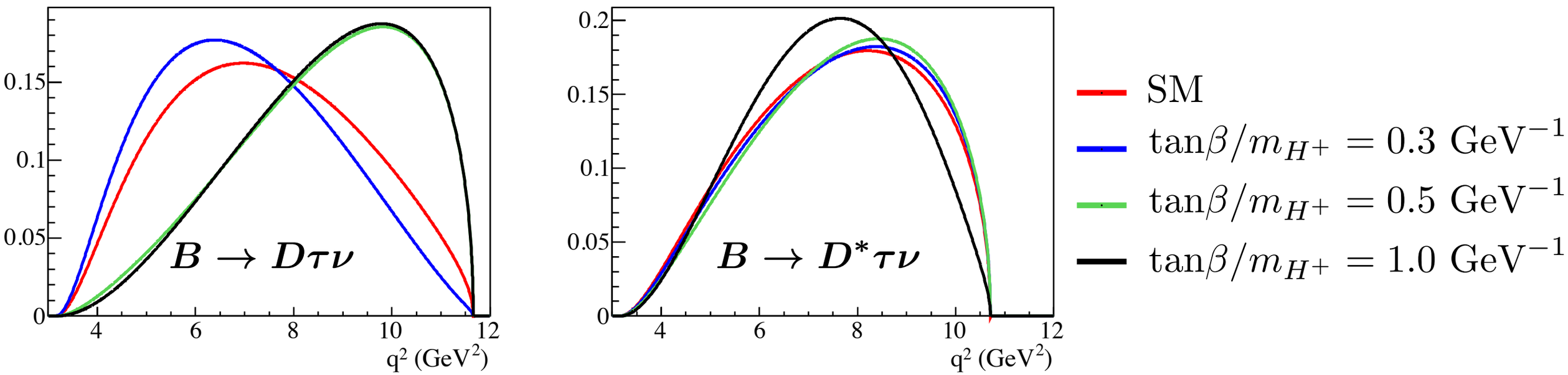
- **R(D) - R(D*)** depend on **independent NP parameters**

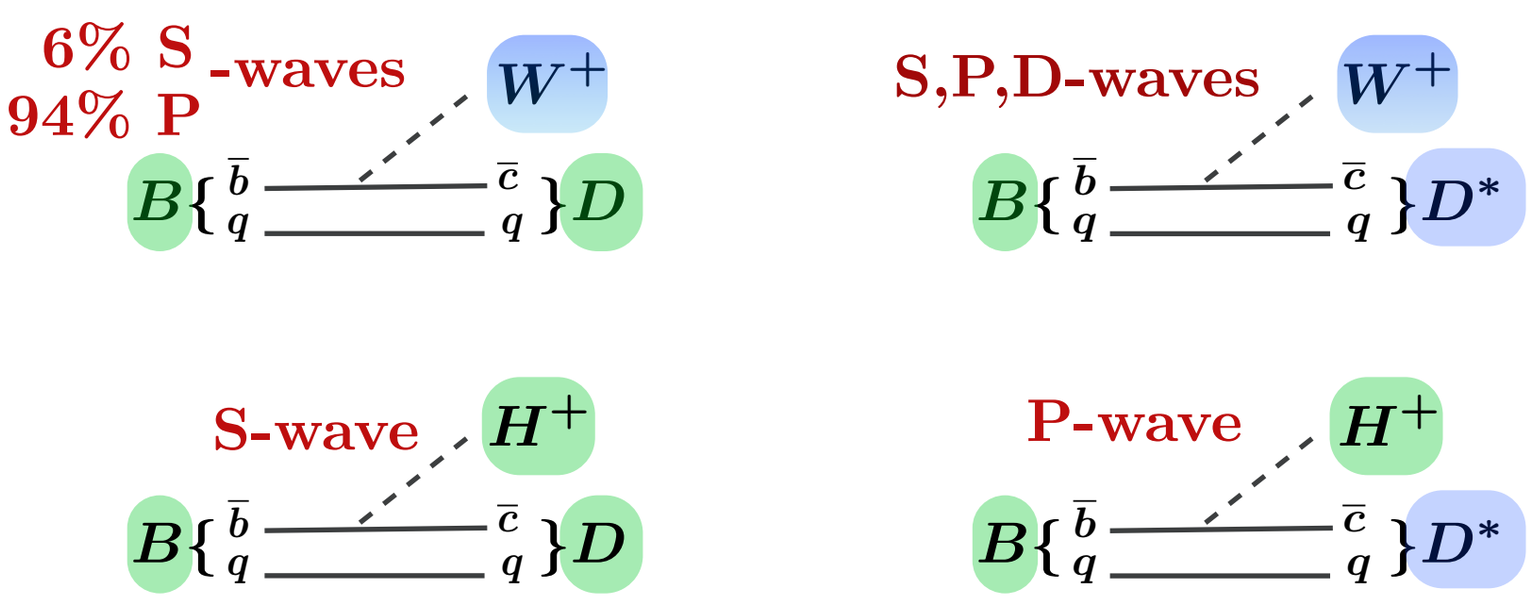
$$\mathcal{R}(D) = \mathcal{R}(D)_{\rm SM} + A'_D {\rm Re}(S_R + S_L) + B'_D |S_R + S_L|^2$$

$$\mathcal{R}(D^*) = \mathcal{R}(D^*)_{\rm SM} + A'_{D^*} {\rm Re}(S_R - S_L) + B'_{D^*} |S_R - S_L|^2$$

q^2 spectra

- **q^2 spectrum** impacted by $H_s^{2\mathrm{HDM}} \approx H_s^{\mathrm{SM}} \times \left(1 - \frac{\tan^2\beta}{m_{H^+}^2} \frac{q^2}{1 \mp m_c/m_b}\right)$





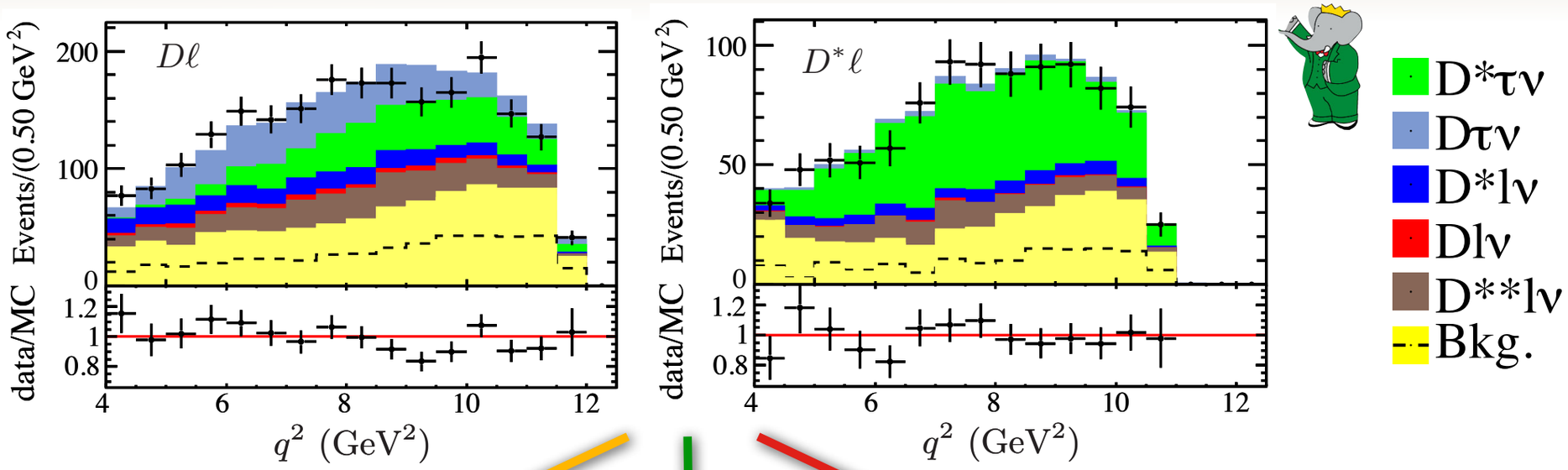
- **P-waves** have **lower q^2 spectra,** due to p^2_D
- **$B \to D\tau\nu$ more affected** by NP than **$B \to D^*\tau\nu$**

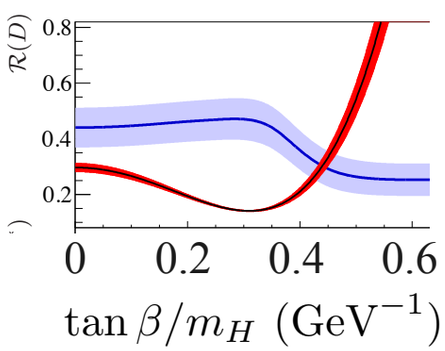
q^2 spectra

hep-ex 1303.0571

$m^2_{\text{miss}} > 1.5\ \text{GeV}^2$

SM shape
Yields from fit
(40% over SM)

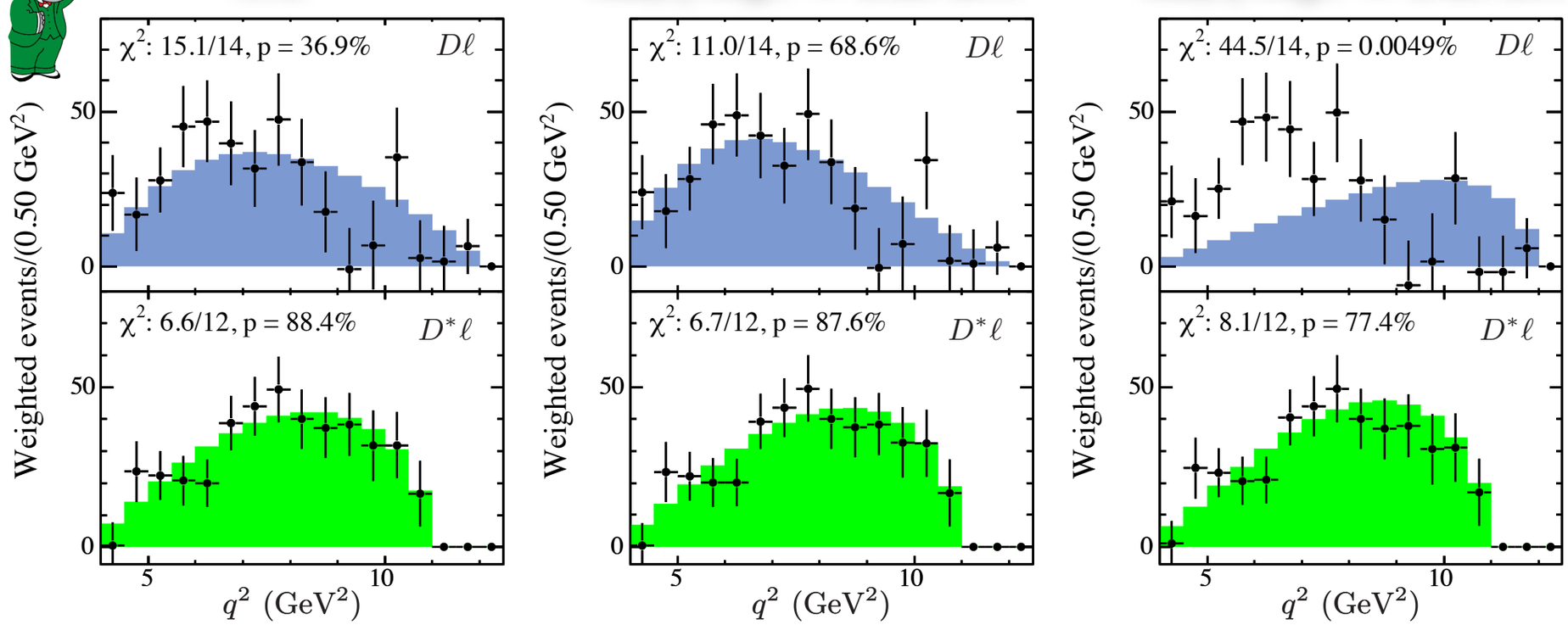




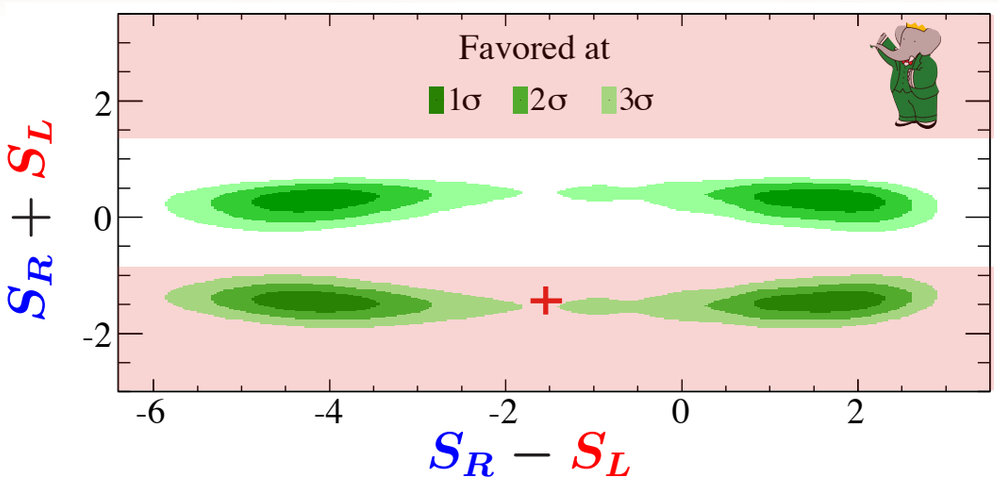
$m^2_{\text{miss}} > 1.5\ \text{GeV}^2$

Corrected for relative efficiency
Background sub.

SM | $\tan\beta/m_{H^+} = 0.30\ \text{GeV}^{-1}$ | $\tan\beta/m_{H^+} = 0.45\ \text{GeV}^{-1}$



q^2 spectra



p-values including conservative systematics

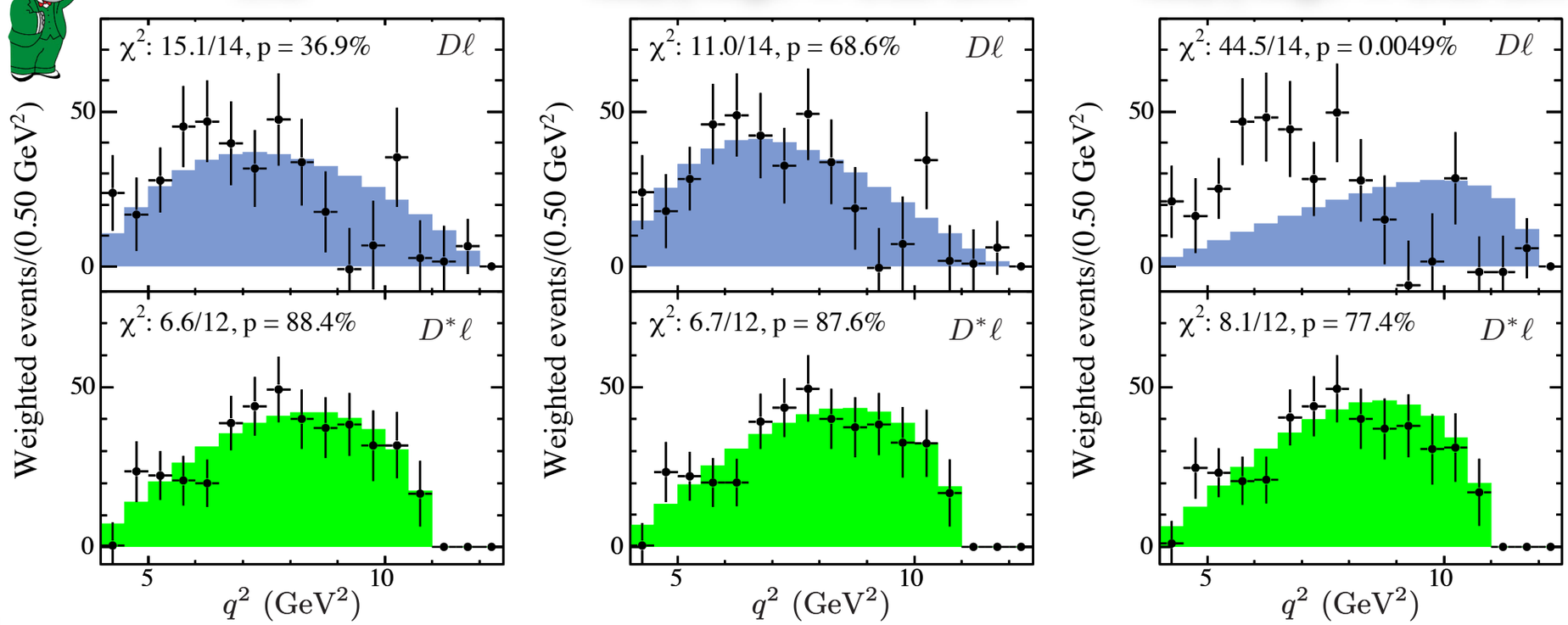
	SM	$\frac{\tan\beta}{m_{H^+}} = 0.30\,\mathrm{GeV}^{-1}$	$\frac{\tan\beta}{m_{H^+}} = 0.45\,\mathrm{GeV}^{-1}$
$\overline{B} \to D\tau^-\overline{\nu}_\tau$	83.1%	95.7%	0.4%
$\overline{B} \to D^*\tau^-\overline{\nu}_\tau$	98.8%	98.9%	97.9%

$$\left.\begin{array}{l} S_R = -m_b m_\tau \tan^2\beta/m_{H^+}^2 = -1.51 \\ S_L = 0 \end{array}\right\} S_R \pm S_L = -1.51$$

q^2 spectra excludes 2 solutions

Non-zero spin contributions favored

SM | **$\tan\beta/m_{H^+} = 0.30\,\mathrm{GeV}^{-1}$** | **$\tan\beta/m_{H^+} = 0.45\,\mathrm{GeV}^{-1}$**



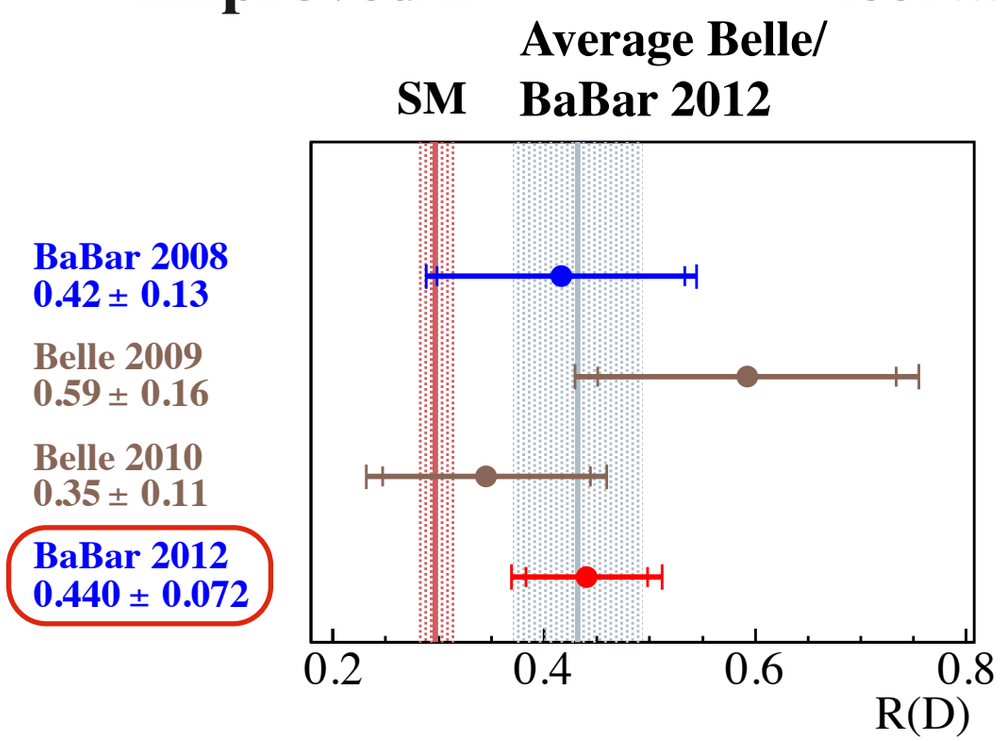
$m^2_{\mathrm{miss}} > 1.5\ \mathrm{GeV}^2$

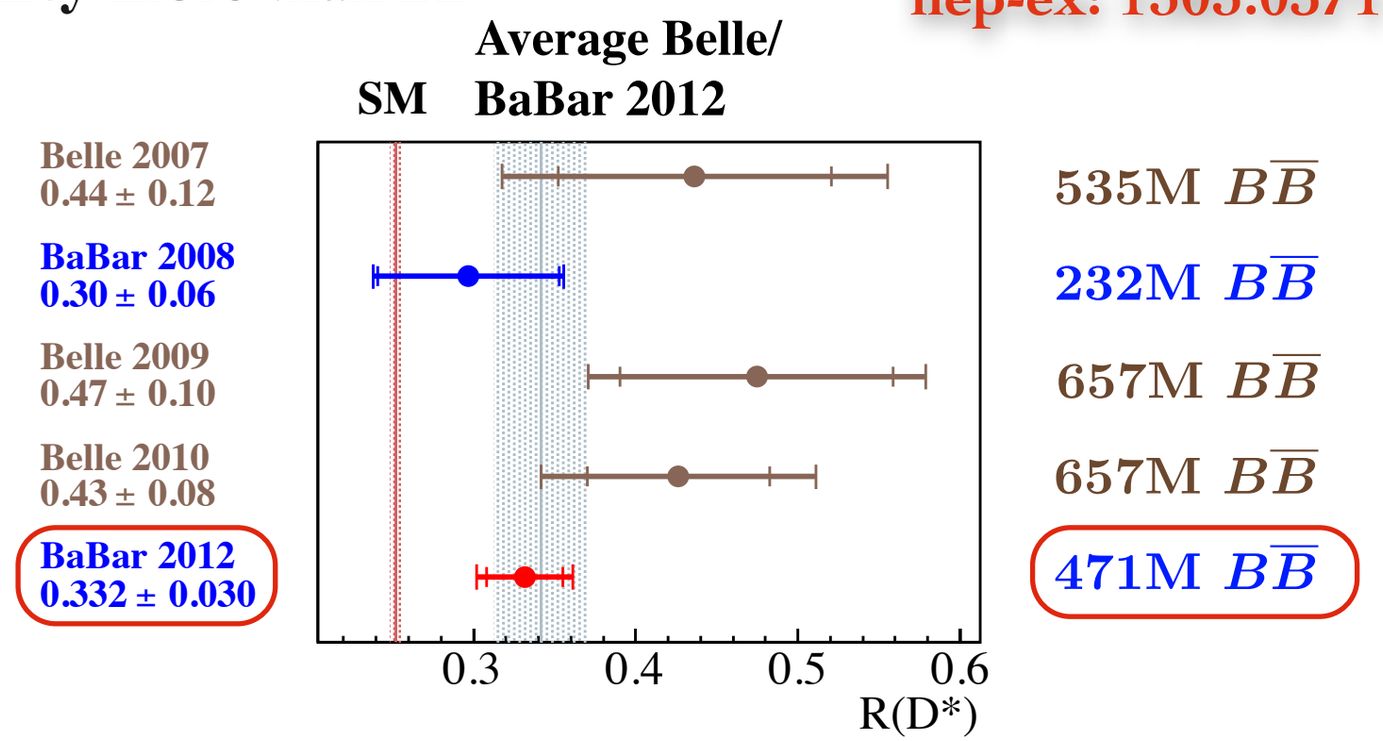
Corrected for relative efficiency
Background sub.

Summary

PRL 109, 101802 (2012)
hep-ex: 1303.0571

- **Improved B → D$^{(*)}$τν uncertainty** more than **2x**

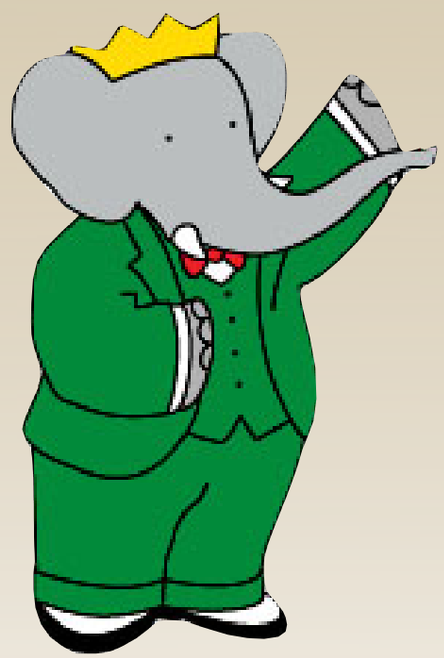




	R(D)	R(D*)	R(D)/R(D*)	q^2 spectrum
SM	✗ (2.0 σ)	✗ (2.7 σ)	✗ (3.4 σ)	✓
Type II 2HDM	✓	✓	✗ (3.1 σ)	~
Type III 2HDM	✓	✓	✓	~
Non-0 spin NP	✓	✓	✓	✓

- **New Belle/BaBar** results (semileptonic tag, $\tau \to \pi \nu_\tau$) **soon: confirmation?**

Back up



Fit PDFs: Uncertainty

- In PDF estimation, **Mean Squared Error**

$$\mathbf{MSE}[\hat{\boldsymbol{p}}(\boldsymbol{X};\boldsymbol{X_i})] = E\left[(\hat{p}(X;X_i) - p(X))^2\right]$$

- **Variance term** due to **limited** amount of **statistics**

$$\boxed{\mathbf{Var}[\hat{\boldsymbol{p}}]} = E\left[(\hat{p}(X) - E[\hat{p}(X)])^2\right]$$

- **Bias term** due to **inadequacies** of your **model**

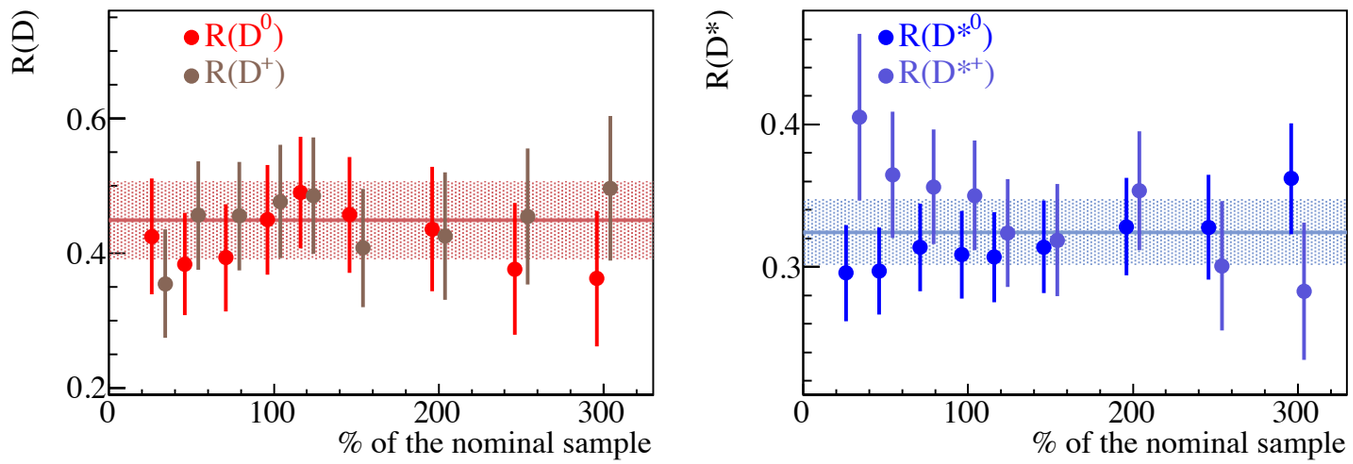
$$\boxed{\mathbf{Bias}[\hat{\boldsymbol{p}}]} = E\left[\hat{p}(X)\right] - p(X)$$

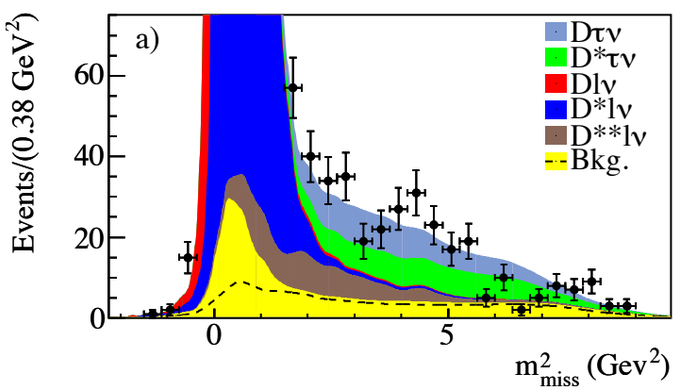
  - Difficult to estimate

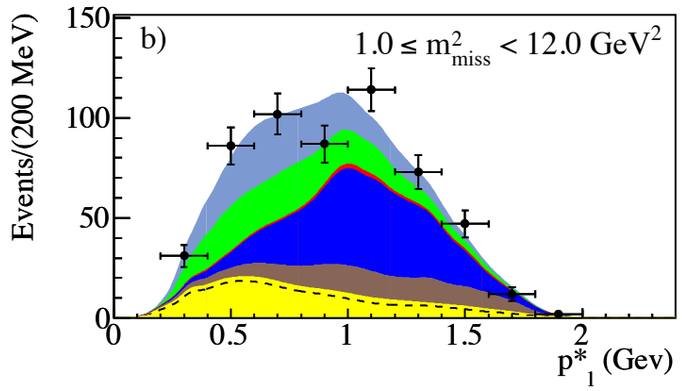
- With **non-parametric, easy to trade Bias for Variance**
  - Estimate **Variance** with **Bootstrap algorithm**

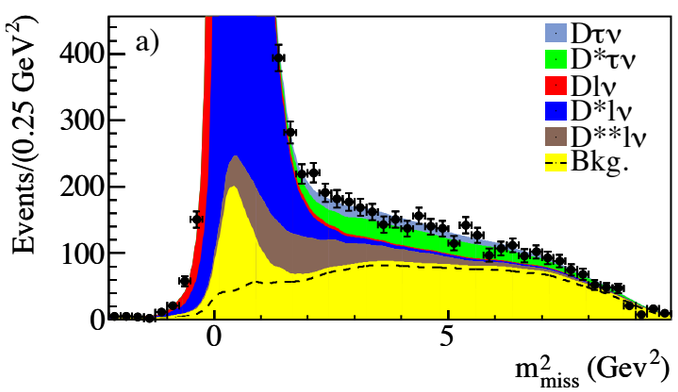
Stability checks

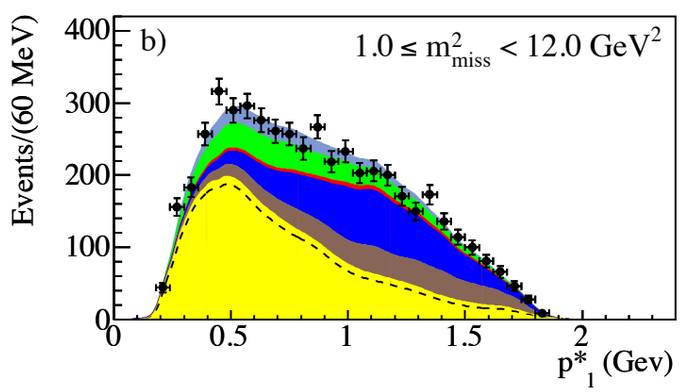
- **Results consistent** for large **variations** of **BDT requirements**











Fit to 30% sample

$R(D^0) = 0.42 \pm 0.09$

S/B = 1.3

Fit to 100% sample (nominal)

$R(D^0) = 0.43 \pm 0.08$

S/B = 0.8

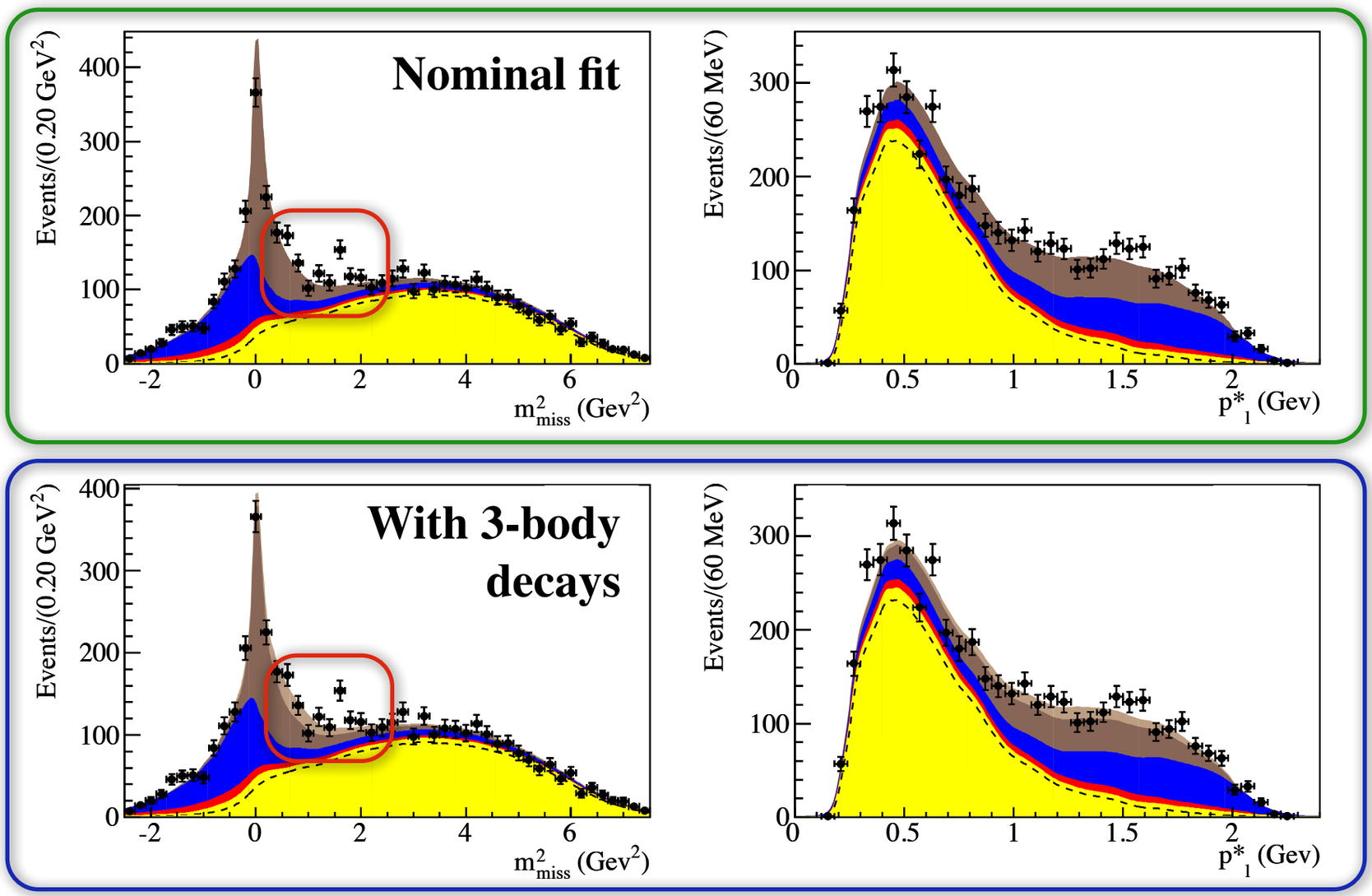
Fit to 300% sample

$R(D^0) = 0.35 \pm 0.10$

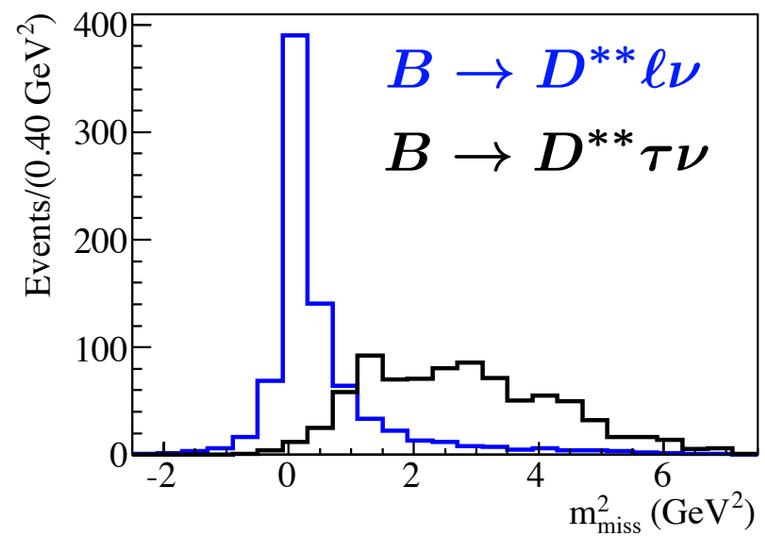
S/B = 0.3

Systematic uncertainties

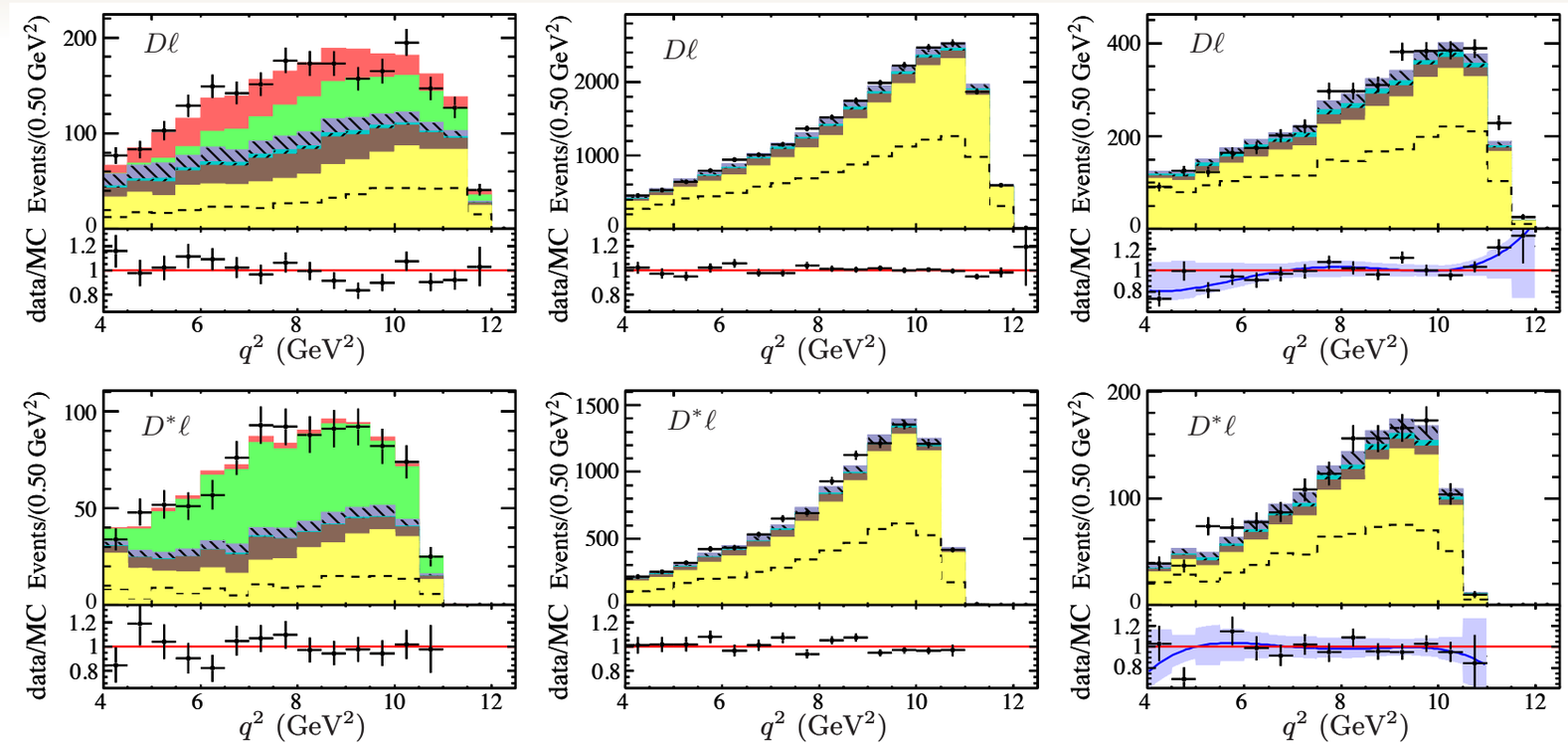
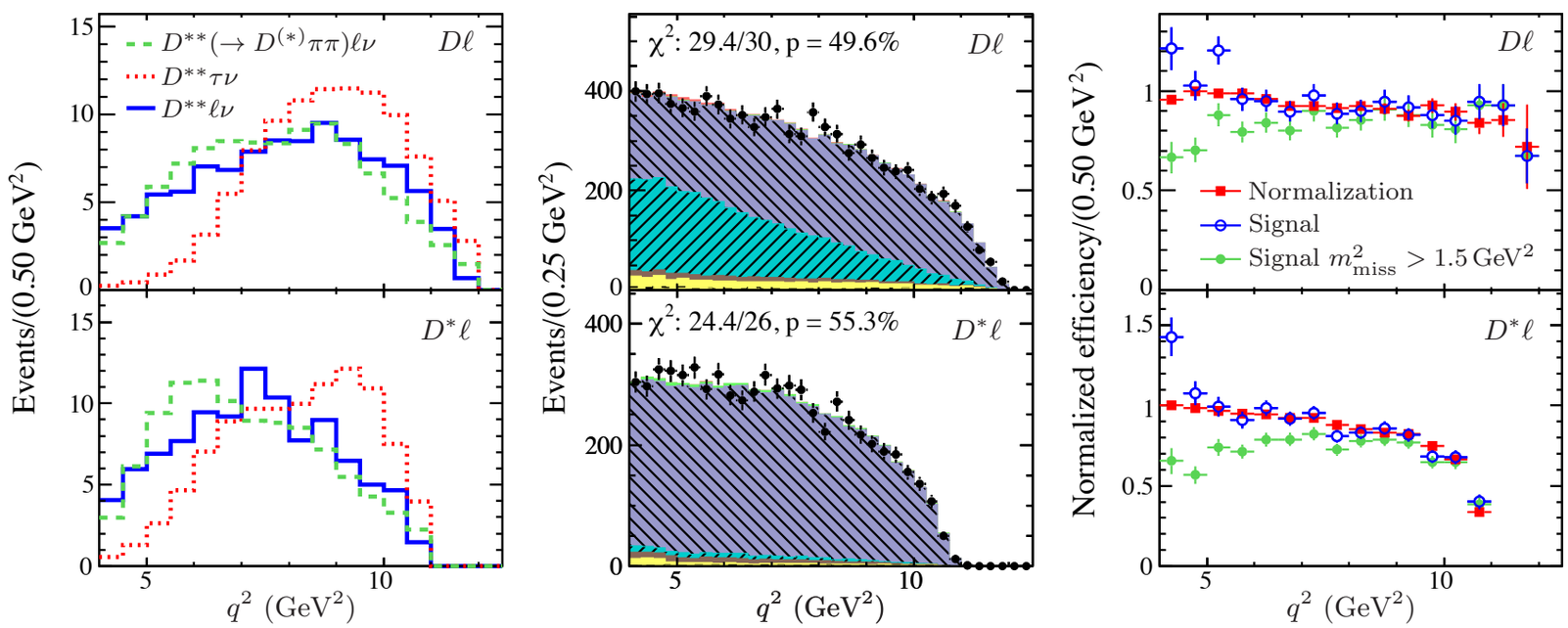
- **Largest uncertainty** due to **B→D**(ℓ/τ)ν background**
- **Peaks** are **well described**
  - **Some excess** at m^2_{miss} ~ 1-2 GeV^2



50% uncert. on **B→D**τν**



Sum 4 $D^{(*)}\pi^0\ell\nu$ samples

- $D^{**}(\to D^{(*)}\pi)\ell\nu$
- $D^{**}(\to D^{(*)}\pi\pi)\ell\nu$
- $D^*\ell\nu$
- $D\ell\nu$
- Combinatorial

Systematics on q^2