Primordial Black Holes and Stochastic Inflation beyond slow roll NEHOP Workshop © Naples, Italy

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With Edmund J. Copeland and Anne M. Green

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Inflation, Quantum fluctuations and PBHs

$$\mathrm{CMB} \longrightarrow \mathrm{LSS}$$



- Adiabatic $\zeta(\vec{x})$
- $\bullet \ {\rm Almost} \ {\bf scale-invariant}$

$$\mathcal{P}_{\zeta} = A_S \left(\frac{k}{k_*}\right)^{n_S}$$

$$A_S \simeq 2 \times 10^{-9} \,, \ n_{_S} \simeq -0.035$$

• Nearly Gaussian

$$P[\zeta] = \mathcal{B} \exp\left[\frac{-\zeta^2}{2\sigma^2} \left(1 + f_{\rm NL} \zeta + \ldots\right)\right]$$

→ LSS, CMB \Rightarrow Large-scale tiny quantum fluctuations → PBHs, $GW^{(2)}s \Rightarrow$ Small-scale larger fluctuations ?

What we know from Observations

CMB probes scales $k \in [0.0005, 0.5] \text{ Mpc}^{-1} \Rightarrow \Delta N \simeq 7$

Small-scale power spectrum is not constrained!



Possibility of enhancement of small-scale fluctuations!

**Green and Kavanagh, J. Phys. G 48 (2021) 4, 043001

Single-field Inflation beyond the CMB Window

\Rightarrow Scope for non-trivial small-scale dynamics



CMB scales : $P_{\zeta} \sim k^{-0.035}$ (Slightly red - tilted); $\eta_H \simeq -0.018$ **Small-scale growth** : $P_{\zeta} \sim k^{n_s} (\leq 4)$ (Blue - tilted); $\eta_H \geq 3/2$

**Byrnes et. al JCAP 06(2019) 028

Large Quantum Fluctuations

• Breakdown of scale-invariance at small-scales

Talks by Bernard, Philippa, Eemeli, Keisuke, ...

$$\epsilon_H = -\frac{\mathrm{dln}H}{\mathrm{d}N}, \quad \eta_H = \epsilon_H - \frac{1}{2}\frac{\mathrm{dln}\epsilon_H}{\mathrm{d}N} \quad ; \quad \mathbf{N} = \ln(\mathbf{a})$$

Breakdown of Gaussian nature of primordial fluctuations

Talks by Eemeli, Andrew, Antonio, ...

For $\zeta \gg 1$

$$P[\zeta] \neq \mathcal{B} \exp\left[\frac{-\zeta^2}{2\int_{k_1}^{k_2} \mathrm{dln}k \,\mathcal{P}_{\zeta}(k)} \left(1 + f_{\mathrm{NL}} \,\zeta + g_{\mathrm{NL}} \,\zeta^2 + \ldots\right)\right]$$

**Celoria et. al JCAP 06 (2021) 051

Breakdown of Scale-invariance via feature

A feature: an inflection point or a local bump/dip at low scales slows down the inflaton

 \Rightarrow Breaking of scale invariance!!

At small scales $\epsilon_H \ll 1$, $\eta_H \gtrsim 3$

Violation of slow-roll

Criteria for PBH from single field Inflation–

- Large scales satisfying with CMB constraints.
- Intermediate scale feature to enhance power for PBH formation.

**Motohashi, Hu PRD 96(2017) 6,

Successful Reheating mechanism.



Computing Power spectrum

$$\mathcal{P}_{\zeta}(k) = \frac{k^3}{2\pi^2} |\zeta_k|^2 \Big|_{k < < aH}$$

Mukhanov-Sasaki variable $v_k = z \times \zeta_k$, with $z = am_p \sqrt{2\epsilon_H}$ in spatially-flat gauge

$$\frac{\mathrm{d}^2 v_k}{\mathrm{d}N^2} + (1 - \epsilon_H) \frac{\mathrm{d}v_k}{\mathrm{d}N} + \left[\left(\frac{k}{aH}\right)^2 + M_{\mathrm{eff}}^2(N) \right] v_k = 0$$

where the **effective mass term** is

$$M_{\text{eff}}^2(N) = -\frac{1}{(aH)^2} \left[2 + 2\epsilon_H - 3\eta_H + 2\epsilon_H^2 + \eta_H^2 - 3\epsilon_H \eta_H - \frac{\mathrm{d}\eta_H}{\mathrm{d}N} \right]$$

Background dynamics dependent and complicated

Typical Inflationary Dynamics



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PBHs and Stochastic Inflation



Statistics of Primordial Fluctuations

Is the PDF of Primordial Fluctuations $P[\zeta]$ Gaussian or Non-Gaussian?

Non-Gaussian for $\zeta \gg 1$ in general



PBHs from Rare Peaks: Sensitive to the tail of PDF

Non-Perturbative Methods for full PDF

Approach - I

Classical Non-linear δN formalism

Approach - II

Semi-classical Approximation

Approach - III

Stochastic Inflation

Stochastic Inflation: Effective IR description

Coarse-grained description

$$\phi = \Phi + \varphi \ , \ \pi_{\phi} = \Pi + \pi$$

Langevin Equations (Non-linear)

$$\frac{\mathrm{d}\Phi}{\mathrm{d}N} = D_{\Phi} + \xi_{\phi} \, ; \quad \frac{\mathrm{d}\Pi}{\mathrm{d}N} = D_{\Pi} + \xi_{\pi}$$

$$\frac{\mathrm{d}F_{\mathrm{cg}}}{\mathrm{d}N}\,=\,\mathbf{Drift}_{_{\mathrm{cl}}}\,+\,\mathbf{Diffusion}_{_{\mathrm{Q}}}$$

Gaussian White noise statistics

$$\langle \xi_i(N) \, \xi_j(N') \rangle = \Sigma_{ij}(N) \, \delta_D(N-N')$$

 $\Sigma_{ij}(N) = (1 - \epsilon_H) \frac{k^3}{2\pi^2} \phi_{i_k}(N) \phi_{j_k}^*(N) \bigg|$

Noise Matrix elements



Coarse-graining scale $k = \sigma \, aH$, $\sigma \ll 1$

**A. A. Starobinsky (1986)

PDF from first-passage time analysis

$$\frac{\mathrm{d}\Phi}{\mathrm{d}N} = D_{\Phi} + \xi_{\phi} \, ; \qquad \frac{\mathrm{d}\Pi}{\mathrm{d}N} = D_{\Pi} + \xi_{\pi}$$

First-passage no. of e-folds \mathcal{N} and PDF $P(\mathcal{N})$

Subject to boundary conditions

1 Reflecting boundary at $\Phi = \phi_{en}$: $\frac{\partial}{\partial \Phi} P(\mathcal{N}) \bigg|_{\Phi = \phi_{en}} = 0$

2 Absorbing boundary at $\Phi = \phi_{ex}$: $P(\mathcal{N})\Big|_{\Phi=\phi_{ex}} = \delta_D(\mathcal{N})$



- Numerical Simulations
- Fokker-Planck Equation (suited for analytical treatment)

Langevin \longrightarrow Fokker-Planck Equation

PDF of first-passage number of e-foldings \mathcal{N} : Adjoint FPE

$$\frac{\partial P(\mathcal{N})}{\partial \mathcal{N}} = \left[D_{\Phi} \frac{\partial}{\partial \Phi} + D_{\Pi} \frac{\partial}{\partial \Pi} + \frac{1}{2} \Sigma_{\phi\phi} \frac{\partial^2}{\partial \Phi^2} + \Sigma_{\phi\pi} \frac{\partial^2}{\partial \Phi \partial \Pi} + \frac{1}{2} \Sigma_{\pi\pi} \frac{\partial^2}{\partial \Pi^2} \right] P(\mathcal{N})$$

 $P(\mathcal{N}) \equiv P_{\Phi,\Pi}(\mathcal{N})$

Stochastic $\delta \mathcal{N}$ Formalism

Statistics of $\mathcal{N} \to \mathbf{Statistics}$ of $\zeta_{cg} : P[\mathcal{N}] \longrightarrow P[\zeta_{cg}]$

$$\boxed{\zeta_{\rm cg} \equiv \zeta(\Phi) = \mathcal{N} - \langle \mathcal{N}(\Phi) \rangle}; \quad \langle \mathcal{N}(\Phi) \rangle = \int_0^\infty \mathcal{N} P(\mathcal{N}) \, \mathrm{d}\mathcal{N}$$

$$\beta \sim \int_{\zeta_c}^{\infty} P(\zeta_{\rm cg}) \,\mathrm{d}\zeta_{\rm cg}$$

**Pattison et. al JCAP 04 (2021) 080

Quasi de Sitter approximation

Mode functions $\{\phi_k, \pi_k\} \longrightarrow dS$

$$\Sigma_{\phi\phi} \simeq \left(\frac{H}{2\pi}\right)^2, \quad \Sigma_{\phi\pi}, \ \Sigma_{\pi\pi} \ll \Sigma_{\phi\phi}$$

The Langevin equations become

$$\frac{\mathrm{d}\Phi}{\mathrm{d}N} = D_\Phi + \frac{H}{2\pi}\,\xi\,; \quad \frac{\mathrm{d}\Pi}{\mathrm{d}N} = D_\Pi$$

with single Gaussian white noise ξ satisfying

$$\langle \xi(N) \rangle = 0$$
, and $\langle \xi(N)\xi(N') \rangle = \delta_D (N - N')$

Adj. Fokker-Planck Equation becomes

$$\frac{\partial P(\mathcal{N})}{\partial \mathcal{N}} = \left[\frac{H^2}{8\pi^2}\frac{\partial^2}{\partial \Phi^2} + D_{\Phi}\frac{\partial}{\partial \Phi} + D_{\Pi}\frac{\partial}{\partial \Pi}\right]P(\mathcal{N})$$

PDF for flat Quantum Well: Pure diffusion

$$V(\Phi) = V_0 \,, \quad H^2 \simeq \frac{V_0}{3m_p^2}$$

Leading to

PDF
$$P(\mathcal{N}) = \sum_{n=0}^{\infty} A_n(\Phi) e^{-\Lambda_n \mathcal{N}}$$
with $\Lambda_n = (2n+1)^2 \frac{\pi^2}{4} \frac{1}{\mu^2}$

$$A_n = (2n+1) \frac{\pi}{\mu^2} \sin\left[(2n+1)\frac{\pi}{2} \left(\frac{\Phi}{\Delta\Phi}\right)\right]$$
Control Parameter : $\mu = 2\sqrt{2\pi} \frac{\Delta\phi_{well}}{H}$

**Pattison et. al JCAP 10(2017) 046; Ezquiaga et. al. JCAP 03(2020) 029

Additional Complications

• General form of the feature

$$V(\Phi) = V_0 + \frac{1}{2} m^2 \Phi^2 \pm \frac{\mu}{2} \Phi^3 + \frac{\lambda}{4} \Phi^4 \pm \dots$$

• When inflaton **drift** is included

$$\frac{\partial}{\partial \mathcal{N}} P(\mathcal{N}) = \left[\frac{\Sigma_{\phi\phi}}{2} \frac{\partial^2}{\partial \Phi^2} + \left(D_{\Phi} \frac{\partial}{\partial \Phi} + D_{\Pi} \frac{\partial}{\partial \Pi} \right) \right] P(\mathcal{N})$$

• Beyond the de Sitter mode functions for noise

$$\frac{\partial P}{\partial \mathcal{N}} = \left[D_{\Phi} \frac{\partial}{\partial \Phi} + D_{\Pi} \frac{\partial}{\partial \Pi} + \frac{\Sigma_{\phi\phi}}{2} \frac{\partial^2}{\partial \Phi^2} + \Sigma_{\phi\pi} \frac{\partial^2}{\partial \Phi \partial \Pi} + \frac{\Sigma_{\pi\pi}}{2} \frac{\partial^2}{\partial \Pi^2} \right] P(\mathcal{N})$$

SSM, Edmund J. Copeland and Anne M. Green,

"Primordial black holes and stochastic inflation beyond slow roll: I - Noise Matrix Elements"

[arXiv:2303:17375]

Computing Noise Matrix Elements

$$\Sigma_{ij}(N) = (1 - \epsilon_H) \frac{k^3}{2\pi^2} \phi_{i_k}^*(N) \phi_{j_k}(N) \Big|_{k = \sigma aH}; \qquad \phi_{i_k} \equiv \{\phi_k, \pi_k\}$$
$$\phi_k(N) = \frac{v_k(N)}{a}, \quad \pi_k(N) = \frac{\mathrm{d}\phi_k}{\mathrm{d}N}$$

Mukhanov-Sasaki variable v_k in spatially-flat gauge

$$\left[\frac{\mathrm{d}^2 v_k}{\mathrm{d}N^2} + (1 - \epsilon_H)\frac{\mathrm{d}v_k}{\mathrm{d}N} + \left[\left(\frac{k}{aH}\right)^2 + M_{\mathrm{eff}}^2\right]v_k = 0\right]$$

where the **effective mass term** is

$$-M_{\text{eff}}^2 (aH)^{-2} = 2 + 2\epsilon_H - 3\eta_H + 2\epsilon_H^2 + \eta_H^2 - 3\epsilon_H \eta_H - \frac{\mathrm{d}\eta_H}{\mathrm{d}N}$$

Background dynamics dependent and complicated

Numerical Noise Matrix Elements

Potential with a tiny Gaussian bump/dip feature

$$V(\phi) = V_0 \frac{\phi^2}{\phi^2 + M^2} \left[1 \pm A \, \exp\left(-\frac{1}{2} \left(\frac{\phi - \phi_0}{\Delta \phi}\right)^2\right) \right]$$



 Σ_{ij} evolves and swaps hierarchy!

**Mishra et. al JCAP 04(2020) 007

Analytical appprox: Sharp transitions

Assume $|\epsilon_H| \ll |\eta_H|$ and $\epsilon_H \ll 1$ (qdS approx.)

$$\Rightarrow \boxed{\frac{z''}{z}(aH)^{-2} \simeq 2 - 3\eta_H + \eta_H^2 - \frac{1}{aH}\eta_H'}$$

And $\eta_H \rightarrow \text{combination of Step functions}$

$$\eta_H(\tau) = \eta_1 + (\eta_2 - \eta_1) \Theta(\tau - \tau_1) + \dots$$

For which

$$\frac{z''}{z}(aH)^{-2} \simeq \mathcal{A}\,\tau\,\delta_D(\tau-\tau_1) + \left(\nu_1^2 - \frac{1}{4}\right) + \left(\nu_2^2 - \nu_1^2\right)\,\Theta(\tau-\tau_1) + \dots$$

Where the **strength of transition** is $|\mathcal{A} = \eta_2 - \eta_1|$ and

order of Hankel
$$\left|
u_{1,2}^2 = \left(\frac{3}{2} - \eta_{1,2} \right)^2 \right|$$

Results from Analytical Techniques

$$\eta_H(\tau) = \eta_1 + (\eta_2 - \eta_1) \Theta(\tau - \tau_1)$$
, Conformal time $\tau = \frac{-1}{aH}$

$$\eta_1 \simeq -0.02; \qquad \eta_2 \simeq 3.3$$



Reproduces numerical results

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Reproduces numerical results

PBHs and Stochastic Inflation

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Primary Conclusions

• During SR-I phase, $\Sigma_{\phi\phi}^{\text{SR}} \simeq \left(\frac{H}{2\pi}\right)^2$

$$\Sigma_{\phi\phi}: |\Sigma_{\phi\pi}|: \Sigma_{\pi\pi} \simeq 1: \left|\nu_1 - \frac{3}{2}\right|: \left(\nu_1 - \frac{3}{2}\right)^2$$

2 Immediately after the transition, $\Sigma_{ij} \propto e^{-2\mathcal{A}N}$, and

$$\Sigma_{\phi\phi}: |\Sigma_{\phi\pi}|: \Sigma_{\pi\pi} \simeq 1: \mathcal{A}: \mathcal{A}^2$$

3 During **CR** phase, $\Sigma_{\phi\phi}^{\text{CR}} \simeq 2^{2(\nu_2 - \nu_1)} \left[\frac{\Gamma(\nu_2)}{\Gamma(\nu_1)}\right]^2 \sigma^{2(\nu_1 - \nu_2)} \Sigma_{\phi\phi}^{\text{SR}}$

$$\Sigma_{\phi\phi}: |\Sigma_{\phi\pi}|: \Sigma_{\pi\pi} \simeq 1: \left|\nu_2 - \frac{3}{2}\right|: \left(\nu_2 - \frac{3}{2}\right)^2$$

 \Rightarrow Strongest diffusion during Constant-Roll epoch!

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$$\Sigma_{\phi\phi}: |\Sigma_{\phi\pi}|: \Sigma_{\pi\pi} \simeq 1: \left|\nu_2 - \frac{3}{2}\right|: \left(\nu_2 - \frac{3}{2}\right)^2$$

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What is the nature of PDF $P[\zeta]$? Work in Progress

Caveats

- Mode functions evolved in a fixed (deterministic background). **Figueroa et. al 2021
- ② Computed in spatially-flat gauge. **Pattison et. al 2019
- Only a single transition was considered analytically (duality).
- **(**) Both Φ and Π were treated stochastically. **Tomberg 2022
- **(5)** β_{PBH} in terms of ζ rather than δ . **Tada, Vennin 2020

Io amo l'Italia, Adoro il buco nero primordiale

EXTRA SLIDES

Set-up for Analytical Computation

- $\eta_H \rightarrow \text{is piece-wise constant} \Rightarrow \eta_i \simeq \text{const.}$
- ν_i is piecewise (positive) constant.
- Introduce new time variable $T = -k\tau = \frac{k}{aH}$

$$\mathbf{MS Eqn} \Rightarrow \left[\frac{\mathrm{d}^2 v_k}{\mathrm{d}T^2} + \left[1 - \frac{\nu^2 - 1/4}{T^2} \right] v_k = 0 \right]$$

General solution is given by

dS mode functions

$$v_k(T) = \frac{1}{\sqrt{2k}} \left[\alpha_k \left(1 + \frac{i}{T} \right) e^{iT} + \beta_k \left(1 - \frac{i}{T} \right) e^{-iT} \right]$$

2 Beyond dS approximation

$$v_k(T) = \sqrt{T} \left[C_1 H_{\nu}^{(1)}(T) + C_2 H_{\nu}^{(2)}(T) \right],$$

• Apply Bunch-Davies initial conditions for modes exiting before the transition $T>T_1$

$$v_k(T) \Big|_{T \to \infty} \to \frac{1}{\sqrt{2k}} e^{iT}$$

• Apply Israel Junction matching conditions at transition

$$v_k^A(\tau_1) = v_k^B(\tau_1)$$
 (Continuity)

$$\frac{\mathrm{d}}{\mathrm{d}\tau} v_k^A \bigg|_{\tau_1^+} - \frac{\mathrm{d}}{\mathrm{d}\tau} v_k^B \bigg|_{\tau_1^-} = \int_{\tau_1^-}^{\tau_1^+} \mathrm{d}\tau \frac{z''}{z} v_k^A(\tau) \quad \text{(Differentiability)}$$

- A single instantaneous transition from SR → USR using dS mode functions.
- A single instantaneous transition from SR → USR using Hankel functions.

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- A single instantaneous transition from SR → USR using Hankel functions.

Why a single transition ?

Wands duality between USR and CR

For $\nu = \text{constant}$

$$\Sigma_{\phi\phi} = 2^{2\left(\nu - \frac{3}{2}\right)} \left[\frac{\Gamma(\nu)}{\Gamma(3/2)}\right]^2 \left(\frac{H}{2\pi}\right)^2 T^{2\left(\frac{3}{2} - \nu\right)} \left[1 + \frac{1}{2(-1+\nu)}T^2 + \dots\right]$$

$$\Sigma_{\phi\pi} = 2^{2\left(\nu - \frac{3}{2}\right)} \left[\frac{\Gamma(\nu)}{\Gamma(3/2)}\right]^2 \left(\frac{H}{2\pi}\right)^2 \left(\frac{3}{2} - \nu\right) T^{2\left(\frac{3}{2} - \nu\right)} \left[1 + \frac{2(5 - 2\nu)}{4(\nu - 1)(3 - 2\nu)}T^2 + \dots\right]$$

$$\Sigma_{\pi\pi} = 2^{2\left(\nu - \frac{3}{2}\right)} \left[\frac{\Gamma(\nu)}{\Gamma(3/2)}\right]^2 \left(\frac{H}{2\pi}\right)^2 \left(\frac{3}{2} - \nu\right)^2 T^{2\left(\frac{3}{2} - \nu\right)} \left[1 + \frac{2(7 - 2\nu)}{4(\nu - 1)(3 - 2\nu)}T^2 + \dots\right]$$

$$\boxed{\gamma = \frac{|\text{Re}(\Sigma_{\phi\pi})|}{\sqrt{\Sigma_{\phi\phi}\Sigma_{\pi\pi}}}}$$

With $\boxed{\gamma^2 = 1 - \det(\Sigma_{ij})/(\Sigma_{\phi\phi}\Sigma_{\pi\pi})}$



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Multiple Transitions

Noise-Matrix: Three Transitions



Noise-Matrix: No Duality





From $\mathcal{N} \longrightarrow \zeta_{cg}$ (Stochastic $\delta \mathcal{N}$ Formalism)

By Stochastic $\delta \mathcal{N}$ formalism,

$$\zeta_{\rm cg} \equiv \zeta(\Phi) = \mathcal{N} - \langle \mathcal{N}(\Phi) \rangle$$

Average no. of e – folds $\langle \mathcal{N}(\Phi) \rangle = \int_0^\infty \mathcal{N} P_{\Phi}(\mathcal{N}) d\mathcal{N}$ $\Rightarrow \boxed{\langle \mathcal{N}(\Phi) \rangle = \sum_n \frac{\mathcal{A}_n(\Phi)}{\Lambda_n^2}}$ Threshold $\boxed{\mathcal{N}_c = \zeta_c + \langle \mathcal{N}(\Phi) \rangle = \zeta_c + \sum_n \frac{\mathcal{A}_n(\Phi)}{\Lambda_n^2}}$

Relevance for PBH Mass Function

$$\beta(\Phi) \equiv \int_{\zeta_c}^{\infty} P(\zeta_{cg}) \, \mathrm{d}\zeta_{cg} = \int_{\mathcal{N}_c}^{\infty} P_{\Phi}(\mathcal{N}) \, \mathrm{d}\mathcal{N}$$
With
$$P_{\Phi}(\mathcal{N}) = \sum_{n} A_n \, e^{-\Lambda_n \mathcal{N}} \, , \quad \overline{\mathcal{N}_c = \zeta_c + \langle \mathcal{N}(\Phi) \rangle}$$
And
$$\Rightarrow \overline{\langle \mathcal{N}(\Phi) \rangle = \sum_{m} \frac{\mathcal{A}_m(\Phi)}{\Lambda_m^2}}$$
We get
$$\beta(\Phi) = \sum_{n} \frac{\mathcal{A}_n(\Phi)}{\Lambda_n} \, e^{-\Lambda_n \left[\zeta_c + \langle \mathcal{N}(\Phi) \rangle\right]}$$

Stochastic NG

$$\beta^{\mathrm{NG}}(\Phi) = \sum_{n} \frac{\mathcal{A}_{n}(\Phi)}{\Lambda_{n}} e^{-\Lambda_{n} \left[\zeta_{c} + \langle \mathcal{N}(\Phi) \rangle\right]}$$

Classical Gaussian

$$\beta^{\rm G}(\Phi) = \frac{\sigma_{\rm cg}}{\sqrt{2\pi}\zeta_c} e^{-\frac{\zeta_c^2}{2\sigma_{\rm cg}^2}}$$

With

$$\sigma_{\rm cg}^2(\Phi) = \int_{k(\Phi)}^{k_e} \frac{\mathrm{d}k}{k} \, \mathcal{P}_{\zeta}(k)$$

Gaussian approx. MIGHT under-estimate PBH abundance by several orders of magnitude