

# SEARCHING FOR NEW PHYSICS IN $b \rightarrow s\ell^+\ell^-$ TRANSITIONS AT THE LHCb EXPERIMENT

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Doctor of Philosophy*



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*January 8, 2016*



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## ABSTRACT

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Flavour Changing Neutral Currents are transitions between different quarks with the same charge such as  $b \rightarrow s$  processes. These are forbidden at tree level in the Standard Model but can happen through loop diagrams, which causes the branching ratio of this type of decays to be small, typically  $\sim 10^{-6}$  or less. Particles beyond the SM can contribute in the loops enhancing the branching fractions of these decays, which are therefore very sensitive new physics. In this work two analysis of semileptonic  $b \rightarrow sl^+\ell^-$  decays are presented. First  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decays are analysed to measure their branching fraction as a function of the dimuon invariant mass,  $q^2$ . Furthermore, an angular analysis of these decays is performed for the first time. Secondly,  $B^0 \rightarrow K^{*0}\ell^+\ell^-$  decays are analysed measuring the ratio between the muon,  $B^0 \rightarrow K^{*0}\mu^+\mu^-$ , and electron,  $B^0 \rightarrow K^{*0}e^+e^-$ , channels, which is interesting as it is largely free from uncertainties due to the knowledge of the hadronic matrix elements. This thesis is organised in the following way. Chapter 1 introduces the Standard Model and the concept of flavour and explains how rare decays can help us in the quest for physics beyond the SM. Chapter 2 describes the LHCb detector, which was used to collect the data analysed in this thesis. Chapter 3 deals with the measurement of the differential branching fraction of the  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decay, while Chapter 4 describes an angular analysis of these decays. Finally, Chapter 5 reports the measurement of the  $R_{K^{*0}}$  ratio between the decay rates of the  $B^0 \rightarrow K^{*0}\mu^+\mu^-$  and  $B^0 \rightarrow K^{*0}e^+e^-$  decays.

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## DECLARATION OF AUTHORS CONTRIBUTION

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I've done this and that bla bla...

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## ACKNOWLEDGEMENTS

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I thank everybody, evvvvvvvveverybody!



*A Lucia,  
perché quando tutto perde di senso  
tu sei il mio piccolo mondo felice.*

*Nec per se quemquam tempus sentire fatendumst  
semotum ab rerum motu placidaque quiete.  
(Lucrezio, De rerum natura, vv. 462-463 )*



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# CHAPTER 1

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3

## Introduction

4

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5 The Standard Model of particle physics (SM) is a Quantum Field Theory (QFT)  
6 describing strong and electroweak (EW) interactions. It was formulated in his cur-  
7 rent form in the mid-70s and has been an extremely successful and predictive theory  
8 since then. Almost all known phenomena from 1 eV up to several hundred GeV are  
9 well described by the SM and experiments at the Large Hadron Collider (LHC) are  
10 now probing the SM up to and above the TeV scale. As an example of the level  
11 of accuracy of the SM, Tab. 1.1 reports the predicted and measured values of the  
12 widths of the  $Z$  and  $W$  bosons [2]. Finally, in 2013 the Higgs boson was observed,  
13 one of the fundamental building blocks of the theory, which gives a solid basis to it  
14 by introducing a mechanism that produces particles' masses [3]. Despite the suc-  
15 cess of the SM, experimentally well established effects, like neutrino oscillations and  
16 the presence of dark matter, are outside the reach of this theory. Furthermore, the  
17 model does not include the description of gravity, which can be neglected at the EW  
18 energy scale. Therefore this motivates the search for New Physics (NP).

Table 1.1: Predicted and measured values of the decay widths of the  $Z$  and  $W$  bosons [2].

Quantity	Predicted	Measured
$\Gamma_Z$	$2.4960 \pm 0.0002$ GeV	$2.4952 \pm 0.0023$ GeV
$\Gamma_W$	$2.0915 \pm 0.0005$ GeV	$2.085 \pm 0.042$ GeV

The SM is based on the symmetry groups of strong,  $SU(3)_C$ , and electroweak,  $SU(2)_W \times U(1)_Y$ , interactions. The subscripts C, W and Y stand for colour charge, weak isospin and hyper-charge respectively. The Lagrangian describing the SM results from the application of the principle of invariance under the unitary group given by the product  $SU(3)_C \otimes SU(2)_W \otimes U(1)_Y$ , which reflects conservation laws such as the conservation of electric and strong charge. The model has then 26 free parameters, which are experimentally measured.

Particles included in the SM can be grouped under a few categories depending on their properties and ability to interact with each other. The first distinction is between fermions, half-integer spin particles, and bosons, integer spin particles. Fermions constitute the basic building blocks of matter, while bosons are the mediators of the interactions. Since the concept of bosonic mediators of interactions arises because of gauge symmetry [4], they are called “gauge bosons”. The list of the

Table 1.2: Fundamental forces of nature together with their gauge bosons, relative strengths and range. Gravity is not included in the SM and the graviton is hypothetical at the current time.

Interaction	Mediator	Rel. strength	Range (m)	Mediator mass ( $\text{GeV}/c^2$ )
Strong	$g$	1	$\infty$	0
EM	$\gamma$	$10^{-3}$	$\infty$	0
Weak	$Z, W^\pm$	$10^{-16}$	$10^{-18}$	$W^\pm = 80.399$ $Z_0 = 91.188$
Gravity	$g^0$ (graviton?)	$10^{-41}$	$\infty$	0

known interactions with their force carrier and properties is reported in Tab. 1.2. The matter of which we are made of is mainly composed of electrons and protons, which have spin 1/2; protons are in turn composed of  $u$  and  $d$  quarks, which again have spin 1/2. Among fermions one can then consider two smaller groups: quarks and leptons. Quarks carry colour charge and therefore can interact through the,

<sup>37</sup> so called, strong interaction, while leptons, which do not carry colour charge, are  
<sup>38</sup> insensitive to it. For each particle a corresponding anti-particle exists with opposite  
<sup>39</sup> quantum numbers. Finally, fermions are divided into three families having similar  
<sup>40</sup> properties but different masses. This last structure embedded in the SM is also  
<sup>41</sup> called “flavour structure” and it will be the main tool used in this thesis; a more  
<sup>42</sup> detailed description of it is given in the next sections. A schematic view of the fundamental particles in the SM is shown in Fig. 1.1. Due to the asymptotic freedom

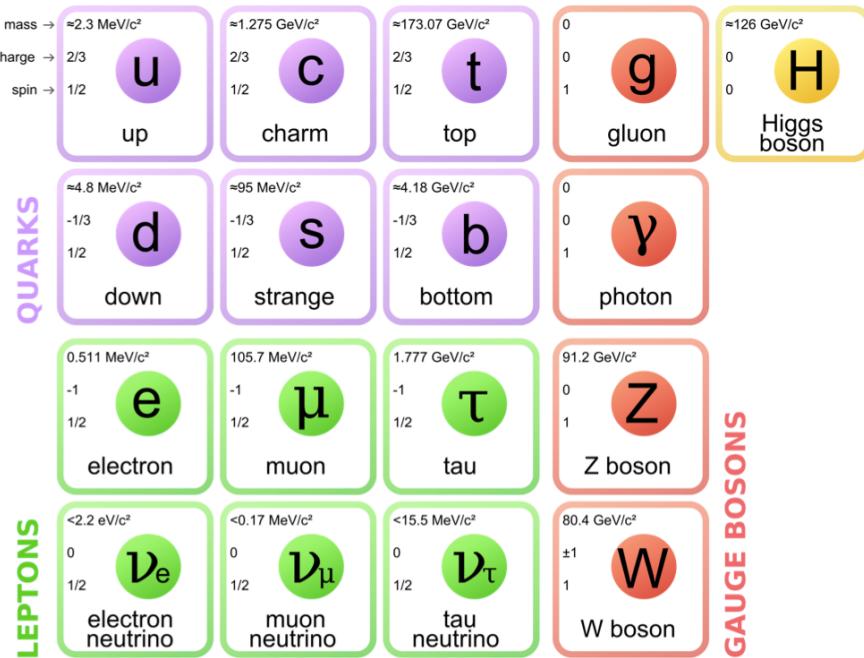


Figure 1.1: A scheme of the fundamental particles in the SM with their properties.

<sup>43</sup>

<sup>44</sup> of the strong interaction quarks cannot be observed alone but are always combined  
<sup>45</sup> with other quarks to form color singlets. Non-fundamental particles composed by  
<sup>46</sup> quarks are called hadrons and can be divided in mesons, where the color singlet is  
<sup>47</sup> achieved by the combination of a quark and its antiquark ( $q \bar{q}$ ), and baryons formed  
<sup>48</sup> by three quarks ( $q q q$ ) of different colours. Recently, in 2014 and 2015 evidence for  
<sup>49</sup> new states, formed by four and five quarks, was found [5, 6].

50 1.1 The electroweak interaction

51 The electromagnetic interaction is responsible for binding electrons and nuclei to-  
52 gether in atoms and its mediator is the photon. The weak interaction is responsible  
53 for the  $\beta$  decay of nuclei and is mediated by the emission or absorption of  $W^\pm$  and  
54  $Z$  bosons. Unlike the electromagnetic force, that affects only charged particles, all  
55 known fermions interact through the weak interaction. The weak interaction is also  
56 the only one that violates the parity symmetry, which states that interactions are  
57 invariant under a reflection of all coordinates. This symmetry breaking arises from  
58 the fact that only left-handed fermions interact through the weak interaction as dis-  
59 covered by Wu in 1957 [7]. Similarly, the weak interaction is the only one that also  
60 breaks the CP symmetry, which combines parity transformations and charge conju-  
61 gation. This is particularly interesting because all interactions are invariant under  
62 the CPT transformation, which combines the CP transformation and time reversal,  
63 hence, breaking CP the weak interaction must also be not invariant under time re-  
64 versal. In 1968 Salam, Glashow and Weinberg unified the weak and electromagnetic  
65 forces in a single theory, where the coupling constants of the electromagnetic,  $e$ ,  
66 and weak,  $g$ , interactions are linked by the weak mixing angle,  $\theta_W$  by the relation  
67  $g \sin \theta_W = e$  [2]. The electroweak symmetry is spontaneously broken by the Higgs  
68 field [8] and this causes the  $W^\pm$  and  $Z$  bosons to become massive (see Tab. 1.2)  
69 and consequently the weak force has a very short range. In fact using Heisenberg's  
70 Principle ( $\Delta E \Delta t > \hbar$ ) together with Einstein's formula  $\Delta E = mc^2$ , which relates  
71 mass and energy, and knowing that the maximum space that a particle can cover  
72 in a time  $\Delta t$  is  $r = c\Delta t$ , qualitatively  $r \sim \hbar/mc$ . In this picture the carriers of the  
73 weak force can travel  $r \sim 2 \cdot 10^{-3}$  fm. The photon must instead be massless in the  
74 theory, which accounts for the long range of the electromagnetic force. The EW  
75 interactions are divided into charged currents (CC) and neutral currents (NC). In  
76 the first group, quarks and leptons interact with the  $W^\pm$  bosons, producing decays  
77 such as  $\mu^+(\mu^-) \rightarrow e^+ \nu_e \bar{\nu}_\mu (e^- \bar{\nu}_e \nu_\mu)$  and  $n \rightarrow p e^- \bar{\nu}_e (\bar{p} e^+ \nu_e)$ . The study of these pro-  
78 cesses confirmed that only the left-handed (right-handed) component of fermions  
79 (anti-fermions) takes part in weak processes. The CC interactions have a peculiar-

80 ity: they are the only interactions in the SM that violate flavour conservation at  
81 tree level (see next section), while any other interaction not conserving flavour has  
82 to happen through loops. The second group of EW interactions, NC, corresponds  
83 to diagrams mediated by a photon or a  $Z$  boson interacting with a fermion and its  
84 anti-fermion.

## 85 1.2 Flavour and the CKM matrix

86 “Flavour” in particle physics refers to the quark-lepton composition of a particle.  
87 The introduction of flavour quantum numbers was motivated in order to explain  
88 why some decays, although kinematically allowed, had never been observed. To all  
89 leptons is assigned a quantum number  $L_\ell = 1$  (where  $\ell = e, \mu, \tau$ ), which in the SM is  
90 conserved by all interactions. This conservation is experimentally well established;  
91 for example decays like  $\mu^- \rightarrow e^- \gamma$  have never been observed. In the hadronic sector  
92 particles carry flavour numbers described as follow:

- 93     • *Isospin*:  $I_3 = 1/2$  for the up quark and  $I_3 = -1/2$  for the down quark;
- 94     • *Strangeness*:  $S = -(n_s - \bar{n}_s)$ , where  $n_s$  and  $\bar{n}_s$  are the numbers of strange and  
95       anti-strange quarks respectively;
- 96     • *charmness, bottomness, topness*: in analogy to strangeness they are respec-  
97       tively defined as  $C = -(n_c - \bar{n}_c)$ ,  $B = -(n_b - \bar{n}_b)$ ,  $T = -(n_t - \bar{n}_t)$ .

98 As mentioned before, in the SM the only interaction violating flavour conservation  
99 is the weak interaction when mediated by  $W^\pm$  bosons.

100 Measuring branching fractions of weak decays like  $\pi \rightarrow \mu\nu_\mu$  and  $K \rightarrow \mu\nu_\mu$ , corre-  
101 sponding respectively to  $ud \rightarrow \mu\nu_\mu$  and  $us \rightarrow \mu\nu_\mu$  processes, suggested the existence  
102 of more than one coupling constant for different quarks. Nicola Cabibbo [2], in order  
103 to preserve the universality of weak interactions, suggested that the differences could  
104 arise from the fact that the doublets participating in the weak interactions are an

105 admixture of the mass eigenstates. He therefore introduced the Cabibbo angle,  $\theta_c$ ,  
 106 considering that eigenstates participating to the weak interaction are rotated with  
 107 respect of the flavour eigenstates.

$$\begin{pmatrix} d_W \\ s_W \end{pmatrix} = \begin{pmatrix} \cos \theta_c & \sin \theta_c \\ -\sin \theta_c & \cos \theta_c \end{pmatrix} \begin{pmatrix} d \\ s \end{pmatrix} = \begin{pmatrix} \cos \theta_c \cdot d + \sin \theta_c \cdot s \\ \cos \theta_c \cdot s - \sin \theta_c \cdot d \end{pmatrix} \quad (1.1)$$

108 Considering a 6 quark system one angle is not enough to describe a rotation but  
 109 the mixing can be generalised using a  $3 \times 3$  unitary matrix, which is called CKM  
 110 matrix, from the names of Cabibbo, Kobayashi and Maskawa. The unitarity of the  
 111 matrix is required to preserve the universality of the weak interaction. Theoretically,  
 112 a  $N \times N$  complex matrix depends on  $2 \cdot N^2$  real parameters. Requiring unitarity  
 113 ( $AA^\dagger = A(A^*)^T = I$ ), the number of independent parameters left is

$$(N-1)^2 = \underbrace{\frac{1}{2}N(N-1)}_{\text{Number of mixing angles}} + \underbrace{\frac{1}{2}(N-1)(N-2)}_{\text{Number of complex phases}} . \quad (1.2)$$

Therefore a  $3 \times 3$  matrix depends then on 4 real parameters, which can be divided in 3 real constants and one imaginary phase. The imaginary phase generates the CP-violation which was observed in weak interactions. Figure 1.2 displays examples of CC processes together with the CKM elements associated with their vertices. Equation 1.3 reports the most recent measured values of its elements [2] together

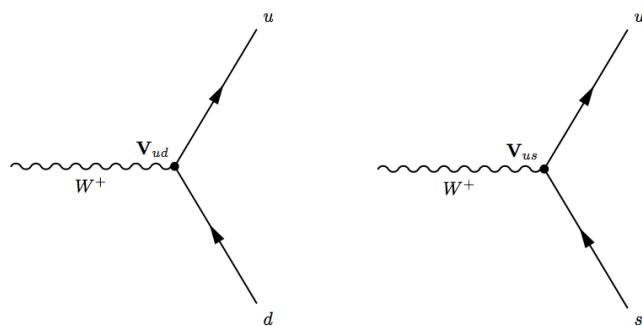


Figure 1.2: Feynman diagrams with CKM weights on weak interaction vertices

with the Wolfenstein parametrisation which highlights the hierarchical structure of the matrix. In fact elements on the diagonal, corresponding to transitions between

quarks of the same generation, are approximately 1 and become smaller and smaller going farther from the diagonal. In the formula  $\rho$ ,  $A$ , and  $\lambda$  are the real constants and  $\eta$  the imaginary phase and Eq. 1.4 shows their relations with the 3 mixing angles; terms further from the diagonal are proportional to higher powers of  $\lambda$ .

$$V_{CKM} = \begin{pmatrix} 0.97427 \pm 0.00015 & 0.22534 \pm 0.00065 & 0.00351^{+0.00015}_{-0.0014} \\ 0.22520 \pm 0.00065 & 0.97344 \pm 0.00016 & 0.00412^{+0.0011}_{-0.0005} \\ 0.00867^{+0.00029}_{-0.00031} & 0.0404^{+0.0011}_{-0.0005} & 0.999146^{+0.000021}_{-0.000046} \end{pmatrix} = \\ = \begin{pmatrix} 1 - \lambda^2/2 & \lambda & A\lambda^3(\rho - i\eta) \\ -\lambda & 1 - \lambda^2/2 & A\lambda^2 \\ A\lambda^3(1 - \rho - i\eta) & A\lambda^2 & 1 \end{pmatrix} + O(\lambda^4) \quad (1.3)$$

114

$$\begin{aligned} \lambda &= \sin(\theta_{12}) = \sin(\theta_c) \\ A\lambda^2 &= \sin(\theta_{23}) \\ A\lambda^3(\rho - i\eta) &= \sin(\theta_{13})e^{i\delta} \end{aligned} \quad (1.4)$$

115 The unitarity of the CKM matrix imposes constraints to its elements of the form:

$$\sum_i |V_{ik}|^2 = 1 \text{ and } \sum_k V_{ik} V_{jk}^* = 0. \quad (1.5)$$

116 These correspond to constraints to three complex numbers, which can be viewed  
 117 as the sides of triangles in the  $(\rho, \eta)$  plane; these are called “unitarity triangles”.  
 118 The most commonly used unitarity triangle arises from  $V_{ud}V_{ub}^* + V_{cd}V_{cb}^* + V_{td}V_{tb}^* = 0$ .  
 119 Figure 1.3 shows a representation of such triangle together with a plot summarising  
 120 the most up to date experimental constraints to its parameters [9]. Due to these  
 121 unitarity constraints flavour-changing neutral currents are forbidden at tree level in  
 122 the SM.

123 The precise measurement of the parameters of the CKM matrix is a powerful sta-  
 124 bility test of the SM and sets a solid base for new physics searches in the flavour  
 125 sector. One of the main goals of the LHCb experiment is to precisely measure the

angle  $\gamma$ , which is currently the least constrained by measurements.

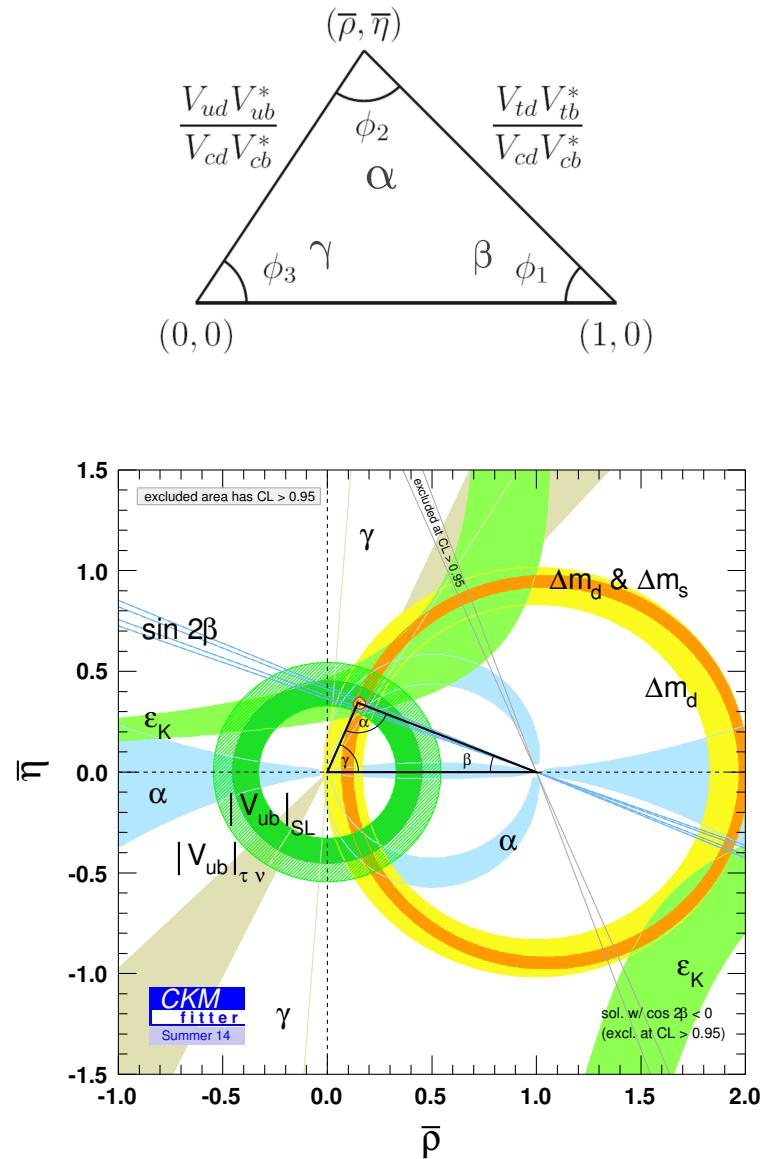


Figure 1.3: (top) A representation of the unitarity triangle and its parameters. (bottom) A summary of the most up to date measurements of the unitarity triangle parameters [9].

### 127 1.3 The puzzles of the SM

128 Despite the confirmation of many predictions of the SM, the theory has several  
129 limitations and is unable to account for some well established experimental facts:

130 • *Dark matter*: experimental evidence tells us that the content of visible matter  
131 in the universe is not enough to account for the observed rotation of galaxies [10]. The most natural way to solve the problem is the hypothesis of a form  
132 of matter that interacts with the gravitational field but not with the other SM  
133 interactions.

135 • *Matter-antimatter asymmetry*: a large asymmetry is observed between the  
136 quantity of matter and antimatter in the universe,  $O(10^{-9})$ . Assuming that  
137 both were equally created in the initial state of the universe, a condition such  
138 as the violation of the CP symmetry is necessary to account for the observed  
139 imbalance. However, the magnitude of CP violation predicted by the SM,  
140  $O(10^{-20})$ , is not enough to explain the observed imbalance [11].

141 • *Gravity*: even though the gravitational force was the first to be discovered this  
142 is not included in the SM. When introducing gravity in the framework of QFT  
143 the theory diverges. On the other hand gravity becomes irrelevant for small  
144 masses as those of particles and can be neglected in good approximation at the  
145 EW energy scale. Many attempts were made but there is not yet a consistent  
146 procedure to introduce gravity in the SM.

147 • *Neutrino oscillation*: measurements regarding solar and atmospheric neutrinos  
148 as wells as neutrinos from nuclear reactors established that neutrinos can  
149 change flavour while propagating in space. This is not predicted in the SM, in  
150 fact in the SM neutrinos are massless, while an oscillation requires a non zero  
151 mass [12, 13, 14, 15].

152 • *The hierarchy problem*: the mass of a scalar (spin 0) particle, such as the  
153 Higgs boson, suffers from quantum corrections due to the physics at high

<sup>154</sup> energy scales. As new physics can appear anywhere up to the Planck scale,  
<sup>155</sup>  $\sim 10^{19}$  GeV, at which gravity cannot be neglected any more, these corrections  
<sup>156</sup> can be very large and it would require a high level of fine-tuning for them to  
<sup>157</sup> cancel out and give such a small value as the one measured for the Higgs Mass,  
<sup>158</sup>  $\sim 126$  GeV/ $c^2$  [16, 17].

<sup>159</sup> In conclusion, even though the SM has been very successful in describing the prop-  
<sup>160</sup> erties of the observed particles and their interactions so far, because of its many  
<sup>161</sup> puzzles, it is believed only to be part of a more general theory or only to be valid  
<sup>162</sup> up to a certain energy scale.

### <sup>163</sup> 1.3.1 The flavour problem

<sup>164</sup> Flavour Changing Charged Currents (FCCC) that are mediated by the  $W^\pm$  bosons  
<sup>165</sup> are the only sources of flavour changing interaction in the SM and, in particular, of  
<sup>166</sup> generation changing interactions, where a quark or a lepton of a family transforms  
<sup>167</sup> into one of another family. Another class of processes is the Flavour Changing  
<sup>168</sup> Neutral Currents (FCNCs), e.g. transitions from a  $b$  quark with a charge of -1/3 to  
<sup>169</sup> a  $s$  or  $d$  quark with the same charge. Examples of FCNC transitions in the quark  
 and lepton sector are shown in Fig. 1.4. FCNCs are experimentally observed to

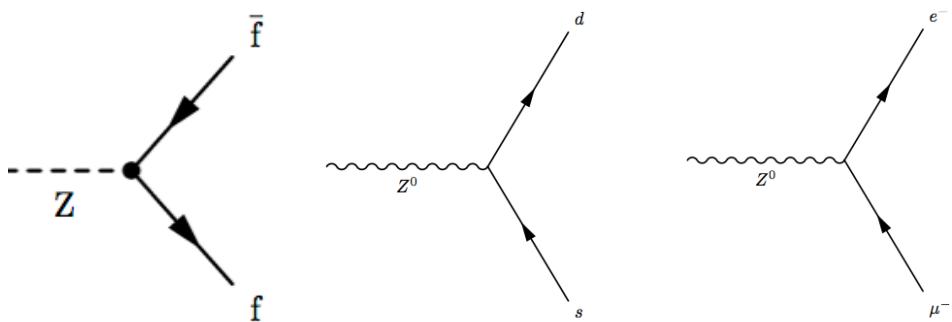


Figure 1.4: Feynman diagrams of (left) neutral current allowed in the SM, where  $f$  represents any fermion, and (center-right) FCNCs processes forbidden in the SM.

<sup>170</sup>

<sup>171</sup> be highly suppressed which derives from the unitarity of the CKM matrix, however

172 there is no fundamental reason why there cannot be FCNCs at tree level. In fact the  
173 CKM matrix could be part of a larger matrix involving for example quark-lepton  
174 terms. This would introduce new sources of FCNCs but also allow for natural  
175 explanations of the equality of the proton and electron charges. On the other hand  
176 the observation of neutrino oscillation proves that flavour is not always conserved  
177 suggesting flavour structures beyond the SM. Furthermore, the values of the terms  
178 of the CKM matrix and the PMNS matrix [18, 19], which is the mixing-matrix  
179 equivalent to the CKM in the lepton sector, are not explained in the SM but have  
180 to be measured experimentally. These open problems motivate searches for flavour  
181 symmetries and deeper motivations for flavour conservation.

## 182 1.4 Beyond the Standard Model

183 From the previous sections it is evident that, despite the great success of the SM,  
184 there is a need to explore theories Beyond the SM (BSM). Among the most promis-  
185 ing approaches there are those involving Super-Symmetry (SUSY) [20] and extra-  
186 dimensions [21]. In SUSY new degrees of freedom are introduced to suppress the  
187 diverging terms of the Higgs mass. This theory assumes that for each fermion there  
188 is a corresponding boson and, since bosons and fermions contribute with opposite  
189 sign to the mass term, these would naturally cancel out. Supersymmetry also pro-  
190 vides a candidate for dark matter. In fact the lightest Super-Symmetric particle,  
191 the neutralino, which in R-parity [22] conserving variants of the theory must be  
192 stable, is a weakly interacting potentially heavy particle. The idea to introduce  
193 extra-dimensions was triggered by the fact that, normally, gravity is not relevant  
194 in particle physics but it would be natural if all forces had similar strength. By  
195 adding extra dimensions to the normal three spatial dimensions, one can restore the  
196 strength of gravity, as this could be dispersed by the wider space available. In all  
197 these approaches constraints to masses and couplings must be imposed to maintain  
198 compatibility with the SM at the electroweak scale and the existing experimental  
199 observations.

---

### 200 1.4.1 Flavour and BSM theories

201 Most BSM theories predict processes violating flavour conservation. Therefore, the  
 202 observation or non-observation of these processes can give important information  
 203 about new physics. BSM theories can be classified according to the amount of  
 204 flavour violation they introduce. The first class of models to consider is that with  
 205 Minimal Flavour Violation (MFV). These are models in which the only sources of  
 206 flavour changing transitions are governed by the CKM matrix and the CKM phase  
 207 is the only source of CP violation. This definition is driven by the fact that usually  
 208 a solution of the hierarchy problem is expected at the TeV scale, while the very  
 209 small amount of flavour violation observed in measurements seems to indicate that  
 210 the SM would remain valid up to much higher energy scales. It is therefore assumed  
 211 that new physics must respect flavour symmetry principles, which also makes these  
 212 types of models naturally compatible with the SM. Examples of such models include  
 213 the MSSM with minimal flavour violation and the SM with one extra-dimension.  
 214 Reviews of MFV models are presented in Refs. [23, 24]. A powerful test of MFV  
 215 is provided by the study of ratios between  $b \rightarrow d$  and  $b \rightarrow s$  transitions, because  
 216 their hamiltonians share the same structure. One particularly important example  
 217 is the ratio of  $B^0$  and  $B_s^0$  dimuon decay rates [25], as this is a purely leptonic decay  
 218 free from hadronic uncertainties. In the SM such ratios are approximately equal to  
 219  $|V_{td}/V_{ts}| \sim 1/25$ , only modified by phase space and hadronic matrix elements, while  
 220 they can take very different values in non-MFV models.

221 In the quest for new physics an important role is also played by simplified models  
 222 as an intermediate model building step. Instead of constructing theories valid up to  
 223 the GUT scale one can consider simplified models, where the SM is extended by  
 224 the addition of a new sector with a limited number of parameters. Such models  
 225 are easier to constrain but can nevertheless point in the right direction to build  
 226 more complete theories. The choice of the new sector to add can be driven by  
 227 the need to explain existing tensions between measurements and SM predictions  
 228 or by theoretical prejudice. Two models especially relevant when studying rare

229 decays, which are the main topic of this thesis, are  $Z'$ -penguins and leptoquarks.  
230 A  $Z'$ -penguin is a FCNC process involving a neutral field arising from an extra  
231  $U(1)$  gauge symmetry, for example  $U(1)_{B-L}$ , where B and L are the baryon and  
232 lepton numbers. As for the SM penguins, the  $Z'$  field contributes in loops causing  
233 modifications of the effective couplings with respect to the SM. A survey of  $Z'$  models  
234 can be found in Ref. [26]. Leptoquarks are bosonic particles that carry both quark  
235 and lepton flavour quantum numbers, which for simplicity are commonly assumed  
236 to be scalar particles. A tree level exchange of a leptoquark induces processes such  
237 as  $b \rightarrow (s, d)\ell^+\ell^-$ , and therefore can result in an enhancement of their decay rates  
238 with respect to the SM [27]. Leptoquarks would also provide a natural explanation  
239 for non-universal couplings to leptons.

## 240 1.5 Rare decays: a tool to search for new physics

241 In the Standard Model FCNC processes are forbidden at tree level but can occur  
242 through loop diagrams such as penguin or  $W$  box diagrams (see Fig. 1.5). The  
243 branching fractions of decays going through these processes are small, typically  $\sim$   
244  $10^{-6}$  or lower, and therefore they are called “rare decays”. Additional contributions  
245 to the virtual loops are not necessarily suppressed with respect to the SM component  
246 and this makes these decays very sensitive to new physics. This approach to new  
247 physics searches is interesting as new particles could be at high mass scales that are  
248 not accessible via direct production at colliders but their effect could be observed in  
249 loops. Radiative and penguin decays are particularly interesting because they are  
250 theoretically well understood, which allows precise comparisons with measurements.  
251 Furthermore, they provide a large quantity of observables that can be affected by  
252 new physics, not only decay rates, but also CP asymmetries and angular observables  
253 such as forward-backward asymmetries. The joint analysis of different observables  
254 can help to build a consistent picture and rule out specific models.

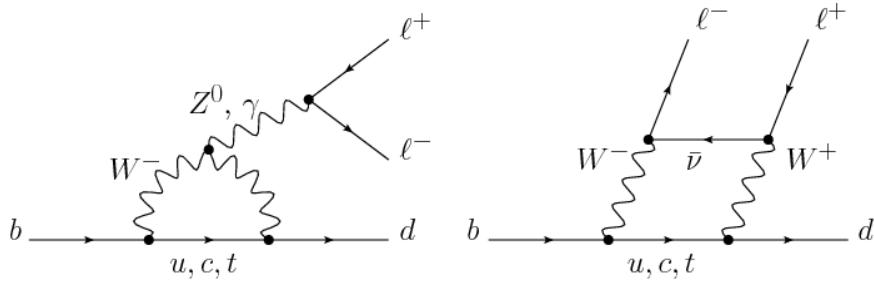


Figure 1.5: Loop Feynmann diagrams allowing  $b \rightarrow d$  FCNC processes: penguin diagram (left) and  $W$  box (right).

### <sup>255</sup> 1.5.1 Theoretical framework: the effective Hamiltonian

<sup>256</sup> Rare decays of  $b$  hadrons are governed by an interplay between weak and strong  
<sup>257</sup> interactions. The large masses of the  $W$  and  $Z$  bosons and top quark compared to  
<sup>258</sup> that of the  $b$  quark allow the construction of an effective theory that divides the  
<sup>259</sup> problem of calculating weak decay amplitudes into two parts: “short-distance” and  
<sup>260</sup> “long-distance” effects separated at an energy scale  $\mu$ . The first part, dealing with  
<sup>261</sup> short distance physics, handles perturbative contributions due to energy scales above  
<sup>262</sup> the  $b$  mass. The second part typically deals with non-perturbative contributions.  
<sup>263</sup> A classic example of an effective theory is the Fermi theory of weak interactions  
<sup>264</sup> which describes the  $\beta$  decay in terms of a four-fermion interaction, where the short  
 distance physics is hidden into a point-like vertex as illustrated in Fig. 1.6.

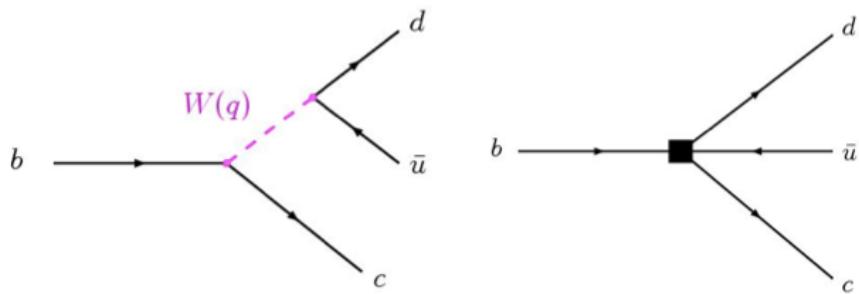


Figure 1.6: Example of a Fermi theory in which the full theory is divided between a short distance contribution, hidden in the vertex, and a long distance contribution.

<sup>265</sup>

<sup>266</sup> The effective hamiltonian [28] relevant to  $b \rightarrow s/d\gamma$  and  $b \rightarrow s/d\ell^+\ell^-$  transitions

267 can be written as:

$$\mathcal{H}_{eff} = \frac{-4G_F}{\sqrt{2}} \left[ \lambda_q^t \sum C_i(\mu, M) \mathcal{O}_i(\mu) + \lambda_q^u \sum C_i(\mu, M) (\mathcal{O}_i(\mu) - \mathcal{O}_i^u(\mu)) \right], \quad (1.6)$$

268 where  $G_F$  denotes the Fermi coupling constant and the  $\lambda$  constants are the CKM  
269 factors,  $\lambda_q^t = V_{tb}V_{tq}^*$  and  $\lambda_q^u = V_{ub}V_{uq}^*$ . In  $b \rightarrow s$  quark transitions, which are the main  
270 topic of this thesis, the doubly Cabibbo-suppressed contributions can be neglected  
271 as  $\lambda_s^u \ll \lambda_s^t$ . To obtain this formula the Operator Product Expansion (OPE) [29]  
272 method is used, which implements a summation over all contributing operators  
273 weighted by corresponding constants called Wilson coefficients. In this Hamiltonian  
274 the long-distance contributions are described by the operators,  $\mathcal{O}_i$ , while the short-  
275 distance physics is encoded in the Wilson Coefficients,  $C_i$ . Operators and coefficients  
276 are evaluated at the renormalisation scale  $\mu$ . Any particle that contributes to the  
277 decay and has a mass greater than the scale  $\mu$  will affect the value of at least one of  
278 the Wilson coefficients, including SM particles as the top quark.

279 In order to describe SM processes the effective theory must be matched with the  
280 SM by requiring the equality between each term in effective theory and the full the-  
281 oretical calculation at a matching scale, typically the EW scale ( $\mu_W$ ). Then, using  
282 the scale independence of the effective Hamiltonian, one can derive a renormalisa-  
283 tion group equation for the Wilson Coefficients [30]. Taking into account only SM  
284 contributions and using  $\mu_W = m_b$ , the Wilson Coefficients have values:

$$C_7^{SM} = -0.3, \quad C_9^{SM} = 4.2, \quad C_{10}^{SM} = -4.2 \quad (1.7)$$

285 and new physics contributions appear in the Wilson Coefficients in the form of  
286 additive factors:

$$C_i = C_i^{NP} + C_i^{SM}. \quad (1.8)$$

287 The amplitudes of exclusive hadronic decays can be calculated as the expectation  
288 values of the effective Hamiltonian. Given an initial state  $I$  and a final state  $F$

<sup>289</sup> (e.g.  $I = B$  and  $F = K^{*0}\mu^+\mu^-$ ) the decay amplitude can be calculated as

$$A(I \rightarrow F) = \langle I | \mathcal{H}_{eff} | F \rangle = \frac{G_F}{\sqrt{2}} \sum V_{CKM}^i \underbrace{C_i(\mu)}_{\substack{\text{Perturbative} \\ \text{Includes new physics}}} \cdot \underbrace{\langle I | \mathcal{O}_i(\mu) | F \rangle}_{\substack{\text{Non-perturbative} \\ \text{Known physics}}}, \quad (1.9)$$

<sup>290</sup> where  $\langle I | \mathcal{O}_i(\mu) | F \rangle$  are the hadronic matrix elements also called “form factors”.  
<sup>291</sup> These can be evaluated using non perturbative methods such as lattice calculations.  
<sup>292</sup> However, due to the limitations of these methods, they represent the dominant  
<sup>293</sup> source of uncertainty in theoretical calculations.

### <sup>294</sup> 1.5.2 Operators

<sup>295</sup> Separating the left- and right-handed components the effective Hamiltonian is

$$\mathcal{H}_{eff} = \frac{4G_F}{\sqrt{2}} V_{tb} V_{ts}^* \frac{\alpha_e}{4\pi} \sum_{i=1}^{10} [C_i \mathcal{O}_i + C'_i \mathcal{O}'_i]. \quad (1.10)$$

<sup>296</sup> A complete basis is given by a set of 10 operators, where  $\mathcal{O}_{1,2}$  are the tree level  
<sup>297</sup> W operators;  $\mathcal{O}_{3-6,8}$  are penguin diagrams mediated by gluons; and  $\mathcal{O}_{7,9,10}$ , which  
<sup>298</sup> are the operators that are relevant for radiative and leptonic penguin processes are  
<sup>299</sup> defined as [25]:

$$\begin{aligned} \mathcal{O}_7 &= \frac{m_b}{e} (\bar{s}\sigma^{\mu\nu} P_R b) F_{\mu\nu}, & \mathcal{O}'_7 &= \frac{m_b}{e} (\bar{s}\sigma^{\mu\nu} P_L b) F_{\mu\nu}, \\ \mathcal{O}_9 &= (\bar{s}\gamma_\mu P_L b)(\bar{\ell}\gamma^\mu \ell), & \mathcal{O}'_9 &= (\bar{s}\gamma_\mu P_R b)(\bar{\ell}\gamma^\mu \ell), \\ \mathcal{O}_{10} &= (\bar{s}\gamma_\mu P_L b)(\bar{\ell}\gamma^\mu \gamma_5 \ell), & \mathcal{O}'_{10} &= (\bar{s}\gamma_\mu P_R b)(\bar{\ell}\gamma^\mu \gamma_5 \ell), \end{aligned} \quad (1.11)$$

<sup>300</sup> where  $P_{L/R} = (1 \mp \gamma_5)/2$  denote the left- and right-handed chiral projections,  $T^a$   
<sup>301</sup> are the QCD generators and  $F_{\mu\nu}$  is the electromagnetic field tensor. The  $\mathcal{O}'$  op-  
<sup>302</sup> erators correspond to right-handed coupling obtained by swapping  $P_R$  and  $P_L$  in  
<sup>303</sup> the equations. In the SM, as well as in MFV models where the flavour violation is  
<sup>304</sup> entirely ruled by the CKM matrix, the  $C'$  Wilson Coefficients are suppressed by the

strange coupling,  $C'_i \sim (m_s/m_b)C_i$ . The operator  $\mathcal{O}_7$  relates to penguin diagrams that are mediated via a photon. It represents the dominant contribution to the radiative  $b \rightarrow s\gamma$  transition and contributes to  $b \rightarrow s\ell^+\ell^-$  processes when the virtual photon decays into a dilepton pair. The semileptonic  $\mathcal{O}_9$  and  $\mathcal{O}_{10}$  correspond to penguin diagrams mediated by a  $Z$  boson and  $W$  mediated box diagrams. These are the dominant contributions in semileptonic  $b \rightarrow s\ell^+\ell^-$  decays. The vertices corresponding to the radiative and semileptonic operators are illustrated in Fig. 1.7

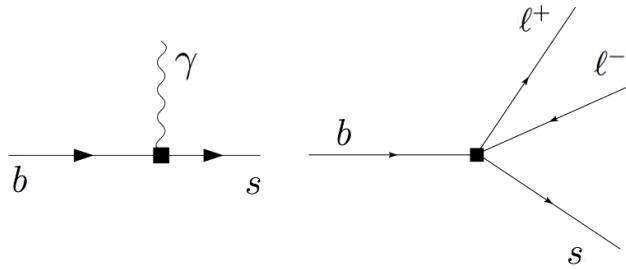


Figure 1.7: Interaction vertices corresponding to the radiative (left) and semileptonic (right) operators.

312

It is also common to express the semileptonic operators in a basis with left and right projected leptons

$$\begin{aligned} \mathcal{O}_{LL} &= (\mathcal{O}_9 - \mathcal{O}_{10})/2 & \mathcal{O}_{LR} &= (\mathcal{O}_9 + \mathcal{O}_{10})/2 \\ \mathcal{O}_{RR} &= (\mathcal{O}'_9 - \mathcal{O}'_{10})/2 & \mathcal{O}'_{RL} &= (\mathcal{O}'_9 + \mathcal{O}'_{10})/2 \end{aligned} \quad (1.12)$$

where the Wilson Coefficients are redefined as

$$\begin{aligned} C_{LL} &= C_9 - C_{10}, & C_{LR} &= C_9 + C_{10}, \\ C_{RR} &= C'_9 - C'_{10}, & C'_{RL} &= C'_9 + C_{10}. \end{aligned} \quad (1.13)$$

This basis is particularly useful in frameworks where BSM physics at a high mass scale respects the  $SU(2)_W$  part of the SM gauge symmetry group. Finally, in the picture presented in this section all operators were considered as universal with respect of the flavour of the involved leptons. However, BSM models often contain sources of lepton universality violation leading to a split of the same operators

<sup>321</sup> depending on the lepton considered:  $C_i \rightarrow C_i^e, C_i^\mu, C_i^\tau$  and  $\mathcal{O}_i \rightarrow \mathcal{O}_i^e, \mathcal{O}_i^\mu, \mathcal{O}_i^\tau$ .

### <sup>322</sup> 1.5.3 Phenomenology of $b \rightarrow s\ell^+\ell^-$ decays

<sup>323</sup> Semileptonic  $b$  hadron decays are characterised by two kinematic regimes which are  
<sup>324</sup> treated theoretically in different ways; Table 1.3 shows a scheme of the  $q^2$  spec-  
<sup>325</sup> trum. The ‘high  $q^2$ ’ is the region of low hadron recoil,  $q^2 > 15 \text{ GeV}^2/c^4$ , and is  
<sup>326</sup> characterised by the energy of the hadron being less than the energy scale of QCD in-  
<sup>327</sup> teractions within the meson,  $\Lambda_{QCD} \sim 1 \text{ GeV}$ . In this region theoretical calculations  
<sup>328</sup> of  $B$  meson decays can be simplified by working in the heavy quark limit,  $m_b \rightarrow \infty$ .  
<sup>329</sup> In this limit a Heavy Quark Effective Theory (HQET) [31] can be constructed in  
<sup>330</sup> which the heavy quark interacts only via ‘soft’ hadronic processes and an OPE in  
<sup>331</sup>  $1/m_b$  is valid. The ‘low  $q^2$ ’ region is where the light spectator quark is energetic  
<sup>332</sup> and cannot be neglected. Furthermore, the light quark interacts not only via ‘soft’  
<sup>333</sup> hadronic processes, as in HQET, but also via the so-called ‘collinear’ hadronic pro-  
<sup>334</sup> cesses. The boundary of this region can be set at  $\sim 7 \text{ GeV}^2/c^4$  which corresponds  
<sup>335</sup> to the threshold for  $c\bar{c}$  production,  $(2m_c)^2$ . In this region the hadronic interactions  
<sup>336</sup> are handled by expanding in terms of the energy of the emitted energetic hadron,  
<sup>337</sup>  $1/E_h$ , forming the so-called Soft-Collinear Effective Theory (SCET) [32]. In both  
<sup>338</sup> regions decay rates can be predicted using the different methods and the biggest un-  
<sup>339</sup> certainties come from the limited knowledge of hadronic transition matrix elements.  
<sup>340</sup> The intermediate region is characterised by the presence of charmonium resonances,  
<sup>341</sup> produced though tree level  $b \rightarrow \bar{c}cs$  transitions and no precise theoretical calculation  
<sup>342</sup> is available [33].

Table 1.3: A scheme of the  $q^2$  spectrum.

$q^2$	$E_{K^{*0}}$	Regime	Valid theory
$\sim 0 \text{ GeV}^2/c^4$	$\sim m_B$	Max. recoil	SCET
$< 6 \text{ GeV}^2/c^4$	$>> \Lambda_{QCD}$	Large recoil	
$q^2 \sim m_{J/\psi, \psi(2S)}^2$	$\sim 3 \text{ GeV}$	$c\bar{c}$ resonances	–
$q^2 > 15 \text{ GeV}^2/c^4$	$E_{K^{*0}} \sim \Lambda_{QCD}$	Low recoil	HQET
$q^2 = (m_B - m_K^{*0})^2$	$E_{K^{*0}} \sim 0$	Zero recoil	

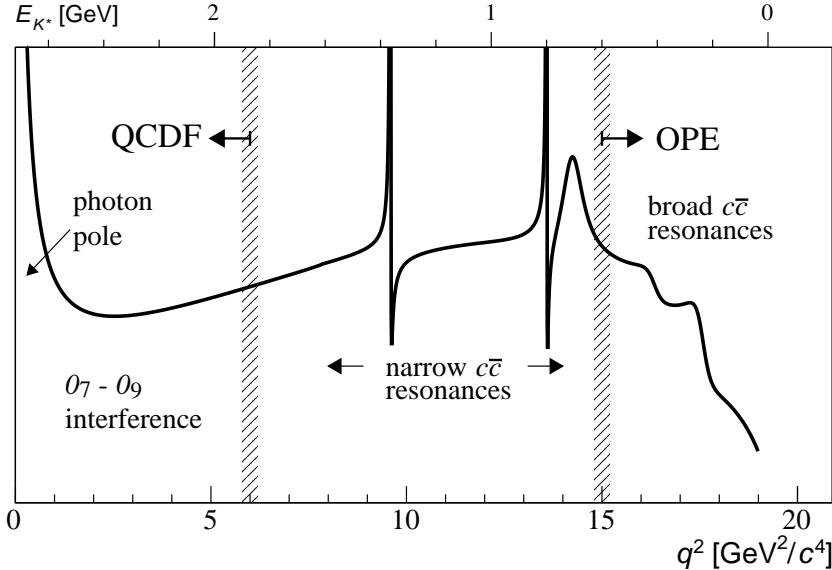


Figure 1.8: A typical  $q^2$  spectrum of  $b \rightarrow s\ell^+\ell^-$  process characterised by the photon pole at very low  $q^2$ , charmonium resonances at central  $q^2$  and broad resonances at high  $q^2$  [25].

As can be seen in Fig. 1.8 the very low  $q^2$  region is characterised by a peak due to the virtual photon contribution, associated with  $C_7$ . In the region  $1 - 6$   $\text{GeV}^2/\text{c}^4$  the interference between  $C_7$  and  $C_9$  becomes large, yielding sensitivity to new physics in  $C_9$ . The  $7 - 15$   $\text{GeV}^2/\text{c}^4$  interval is dominated by the charmonium resonances,  $J/\psi$  and  $\psi(2S)$ . Although these decays can be experimentally vetoed in principle charmonia affect the entire  $q^2$  space. Finally, at high  $q^2$  broad charmonium resonances can contribute, like those observed by LHCb in  $B^+ \rightarrow K^+\mu^+\mu^-$  decays [34].

### 1.5.4 Observables in $b \rightarrow s\ell^+\ell^-$ decays

Rare decays and especially semileptonic  $b \rightarrow s\ell^+\ell^-$  processes offer a number of observables which can be used to study BSM models. The most direct effects appear in decay rates that can be enhanced by new physics but the precision on these measurements is often limited by uncertainties on the perturbative part of the calculations. Therefore, it is important to also look for different observables. One important class of observables are angular quantities that can often carry comple-

357 mentary information with respect to branching ratio measurements. The most basic  
358 of these observable are forward-backward asymmetries that characterise the angular  
359 distribution of final particles. For the  $B^0 \rightarrow K^* \mu^+ \mu^-$  decay combinations of ob-  
360 servables have been proposed that are independent of form factor uncertainties at  
361 leading order order [25].

362 Another way to build safe observables is to construct ratios between similar decays,  
363 in which uncertainties due to the hadronisation process cancel out. These observ-  
364 ables include the  $R_H$  ratios, between  $B^0$  decays into electrons and muons, that are  
365 described in detail in Ch. 5. It is also interesting to compare decays which proceed  
366 via the same fundamental process but where the spectator quark has a different  
367 flavour. This is the case of  $B^+ \rightarrow K^+ \mu^+ \mu^-$  and  $B^0 \rightarrow K_s^0 \mu^+ \mu^-$  decays, which are  
368 both  $b \rightarrow s$  transitions where the spectator quark is an  $u$  quark in the first case  
369 and a  $d$  quark in the second. The normalised difference of the branching fractions  
370 of these decays is called isospin asymmetry.

## 371 1.6 Experimental status

372 To set the background for the analysis described in this thesis, this section reports a  
373 brief review of recent results of new physics searches involving rare decays or lepton  
374 flavour violation. Among these, results recently obtained by the LHCb experiment  
375 show a series of anomalies with respect to the SM that have the potential to yield  
376 to BSM scenarios.

### 377 1.6.1 Dimuon decays of $b$ hadrons

Decays of  $B$  mesons into a pair of muons are two-body decays where the two muons  
 are back to back in the hadron rest frame. The simple signatures of these decays  
 makes them easy to study and the fact that they are unaffected by hadronic physics  
 in the final state makes predictions very clean and precise. Therefore these are

essential tests of the SM. The  $B^0 \rightarrow \mu^+ \mu^-$  and  $B_s^0 \rightarrow \mu^+ \mu^-$  decays are FCNCs that can only happen via loops and furthermore they are CKM-suppressed, which makes them particularly rare. In addition to that the decay of a pseudo-scalar  $B$  meson into two muons has a significant helicity suppression. The latest SM predictions for these decay rates are [35]:

$$\mathcal{B}(B_s^0 \rightarrow \mu^+ \mu^-) = (3.65 \pm 0.23) \times 10^{-9} \text{ and} \quad (1.14)$$

$$\mathcal{B}(B^0 \rightarrow \mu^+ \mu^-) = (1.06 \pm 0.09) \times 10^{-10}. \quad (1.15)$$

The uncertainties on these values are dominated by the knowledge of the decay constants and CKM-elements. BSM models can produce significant enhancement to these decay rates. Furthermore, the measurement of their ratio is a stringent test of the MFV hypothesis. A combination of the LHCb and CMS results measured the values [36]:

$$\mathcal{B}(B_s^0 \rightarrow \mu^+ \mu^-) = (2.8^{+0.7}_{-0.6}) \times 10^{-9} \text{ and} \quad (1.16)$$

$$\mathcal{B}(B^0 \rightarrow \mu^+ \mu^-) = (3.9^{+1.6}_{-1.4}) \times 10^{-10}. \quad (1.17)$$

Neither decay had been previously observed, while now the  $B_s^0$  decay is observed

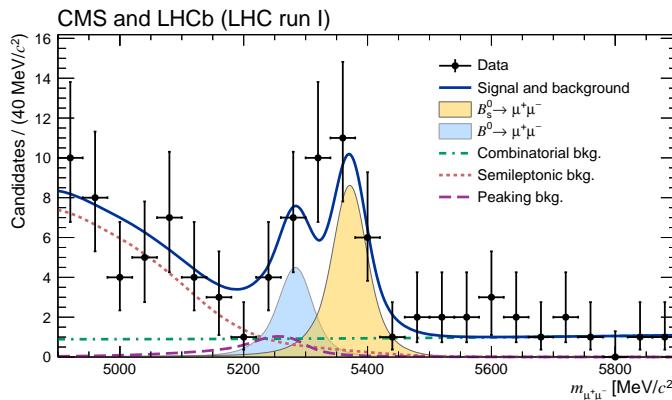


Figure 1.9: Dimuon invariant mass of  $B$  candidates showing peaks corresponding  $B_s^0 \rightarrow \mu^+ \mu^-$  and  $B^0 \rightarrow \mu^+ \mu^-$  decays [36].

381  $2\sigma$  and put strong constraints on the available parameter-space for BSM theories.  
382 Figure 1.9 shows the fit the dimuon invariant mass of  $B$  meson candidates where  
383 the peaks of the two decays are visible.

384 1.6.2 Semileptonic  $b \rightarrow s\ell^+\ell^-$  decays of  $b$  hadrons

385 At the LHC energies is possible to collect large data samples of semileptonic decays,  
386 especially those with muons in the final state. Many branching fractions of semilep-  
387 tonic  $B$  meson decays were recently measured at the LHCb experiment, including  
388  $B \rightarrow K\mu^+\mu^-$ ,  $B \rightarrow K^{*0}\mu^+\mu^-$  and  $B_s^0 \rightarrow \phi\mu^+\mu^-$  [37, 38, 39]. Baryon decays were  
389 also studied at LHCb: including the rare  $\Lambda_b \rightarrow \Lambda\mu^+\mu^-$  decay [1], whose analysis is  
390 described in this thesis. In contrast to purely leptonic decays, SM predictions for  
391 semileptonic decays are affected by the knowledge of hadronic form factors, which  
392 results in relatively large uncertainties,  $\mathcal{O}(30\%)$ . As a result measurements are now  
393 typically more precise than predictions.

394 Among the measurements of angular observables that can be affected by new physics,  
395 particular interest was risen by the measurement of a set of observables in  $B \rightarrow$   
396  $K^{*0}\mu^+\mu^-$  decays, free from form factors uncertainties at leading order [40]. Most of  
397 the measurements are found to be in agreement with SM predictions with the excep-  
398 tion of the  $P'_5$  observable, shown in Fig. 1.10, which presents a local  $3.7\sigma$  deviation.  
399 Attempts to build a consistent picture point to a new physics contribution to the  
400 Wilson Coefficient  $C_9$  [41]. An angular analysis of  $B^+ \rightarrow K^+\mu^+\mu^-$  decays was also  
401 performed, where observables are found to be compatible with SM predictions [42].  
402 Other observables for which the sensitivity to form factors effects is reduced are the  
403 CP asymmetry between  $B$  and  $\bar{B}$  decays,  $\mathcal{A}_{CP}$ , and the isospin asymmetry between  
404  $B^0$  and  $B^+$  decays,  $\mathcal{A}_{CP}$ . Due to the small size of the corresponding CKM elements,  
405 CP asymmetries of  $B^0 \rightarrow K^{(*)}\mu^+\mu^-$  decays are tiny in the SM,  $O(10^{-3})$ . In BSM  
406 models new sources of CP violation can arise and therefore  $\mathcal{A}_{CP}$  measurements are  
407 a powerful null test of the SM. The isospin asymmetry is not zero in the SM due  
408 to isospin breaking effects in the form factors. This is expected to be  $\sim 1\%$  at low

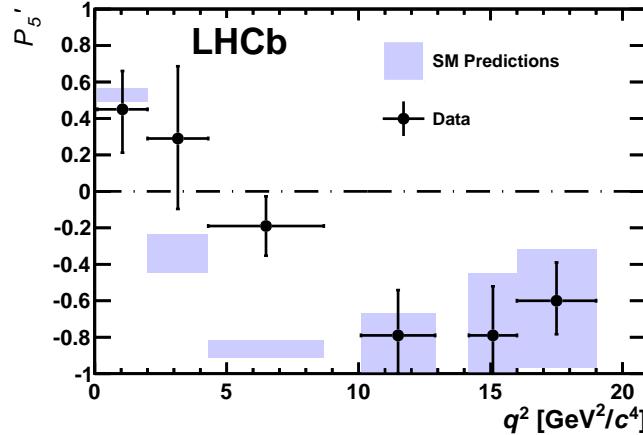


Figure 1.10: Measurement of the observable as a function of  $q^2$ , showing a tension with SM predictions in the 2–6  $\text{GeV}^2/\text{c}^4$  region [40].

$q^2$ [ $\text{GeV}^2/\text{c}^4$ ]	$B^0 \rightarrow K^+ \mu^+ \mu^-$		$B^0 \rightarrow K^{*0} \mu^+ \mu^-$	
	1.1–6	15.0–22.0	1.1–6	15.0–19.0
$\mathcal{A}_{CP}$	$0.004 \pm 0.028$	$-0.005 \pm 0.030$	$0.094 \pm 0.047$	$-0.074 \pm 0.044$
$\mathcal{A}_I$	$-0.10^{+0.08}_{-0.09} \pm 0.02$	$-0.09 \pm 0.08 \pm 0.02$	$0.00^{+0.12}_{-0.10} \pm 0.02$	$0.06^{+0.10}_{-0.09} \pm 0.02$

Table 1.4: Measurement of CP and isospin asymmetry in  $B^0 \rightarrow K^{(*)} \mu^+ \mu^-$  decays from the LHCb experiment [25].

<sup>409</sup>  $q^2$  and increase to  $\sim 10\%$  as  $q^2$  tends to zero. The LHCb experiment, using the  
<sup>410</sup> full dataset collected in Run I, corresponding to an integrated luminosity of  $3 \text{ fb}^{-1}$   
<sup>411</sup> and  $\sim 10^9$   $B$  decays, measured both of these asymmetries to be consistent with  
<sup>412</sup> zero [37, 43], as reported in Tab. 1.4. Recently, progress was also made measuring  
<sup>413</sup> also electron channels. The branching fraction of the  $B^0 \rightarrow K^{*0} e^+ e^-$  decay was  
<sup>414</sup> measured to be  $(3.1 \pm 1.3) \times 10^{-7}$  in the dilepton mass interval  $30 [44].  
<sup>415</sup> Furthermore, for the first time angular observables were measured for this decay  
<sup>416</sup> and found to be consistent with SM predictions [45].$

### <sup>417</sup> 1.6.3 Lepton Flavour Violation searches

<sup>418</sup> Several Lepton Flavour Violation (LFV) searches are linked to rare decays as they  
<sup>419</sup> involve small branching ratios in the SM that can be enhanced by BSM physics. Lepto-  
<sup>420</sup> n flavour conservation is experimentally well-established measuring the branching  
<sup>421</sup> ratios of decays of muons into electrons and no neutrinos, but has no strong the-

oretical explanation in the context of the SM. In fact it is already observed that flavour is not conserved in neutrino oscillations. The best-studied decays violating lepton flavour are rare muon decays including  $\mu^+ \rightarrow e^+ \gamma$  and  $\mu^+ \rightarrow e^+ e^- e^+$ . Since muons can be abundantly produced and the final states are simple, these decays provide the best constraints to LFV. The present best upper limits are  $1.2 \times 10^{-11}$  for the radiative decay and  $1.0 \times 10^{-12}$  for  $\mu^+ \rightarrow e^+ e^- e^+$  obtained respectively by the MEGA [46] and SINDRUM [47] experiments. Several LFV searches in the  $B$  sector have recently been performed at the LHCb experiment including decays such as  $B^0 \rightarrow e\mu$  [48] and  $\tau$  decays such as  $\tau \rightarrow \mu^+ \mu^- \mu$  [49]. None of these searches has found evidence of new physics so far and therefore they set limits, constraining the parameter space available for BSM models. Figure 1.11 shows a summary of the best limits set at different times on LFV searches [50].

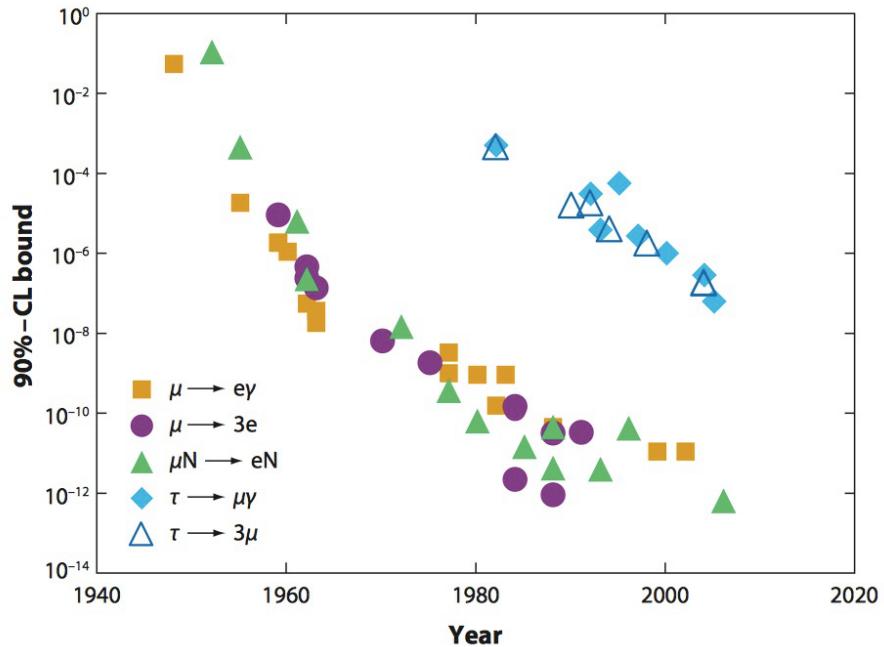


Figure 1.11: Summary of limits set in LFV searches as a function of time [50].

434

## CHAPTER 2

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436

### The LHCb detector at the Large Hadron Collider

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438

#### 2.1 The Large Hadron Collider

439 The Large Hadron Collider (LHC) [51] is a synchrotron particle accelerator with a  
440 circumference of 27 km located about 100 m underground at CERN in the surround-  
441 ings of Geneva, Switzerland. Two proton beams circulate in opposite directions  
442 around the ring and cross each other in four points, in which particle detectors are  
443 placed. These include two general-purpose detectors, ATLAS and CMS, sitting on  
444 opposites sides of the ring and two smaller detectors, ALICE and LHCb that are  
445 designed to study specific topics (see Fig. 2.1).

446 Each beam consists of a series of proton bunches, up to a maximum of 2835. Each  
447 bunch consists of about  $10^{11}$  protons and the bunch spacing is such that the nominal  
448 bunch crossing rate is 40 MHz. The beams are injected into pre-accelerators and  
449 then pass into the LHC through the CERN acceleration system shown in Fig. 2.1.

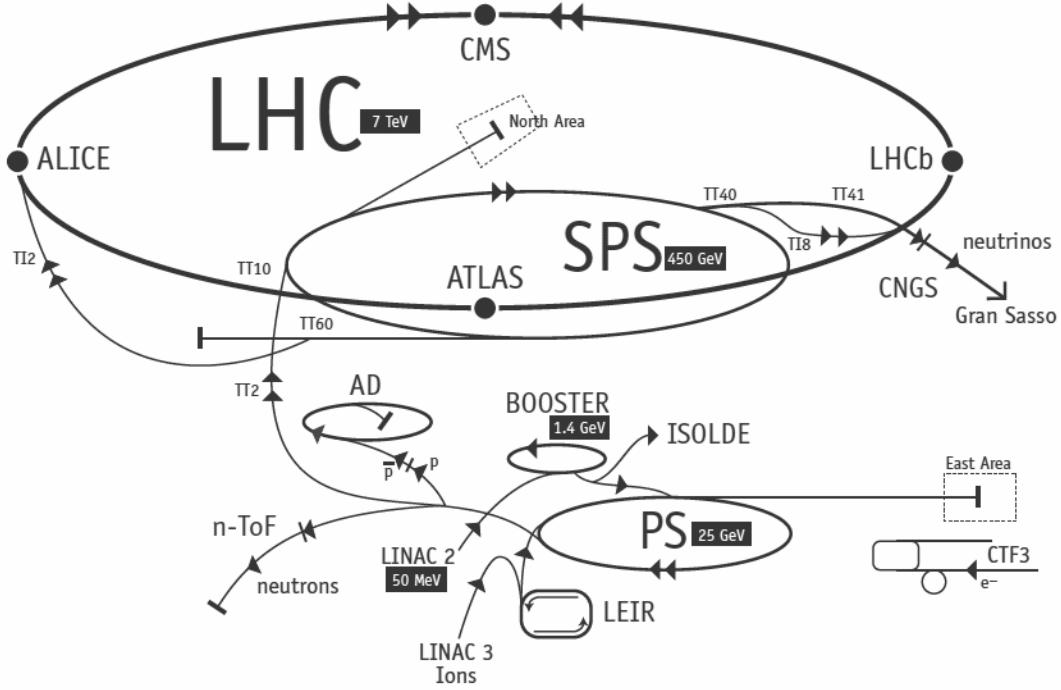


Figure 2.1: Scheme of CERN accelerators.

450 Protons are produced from hydrogen gas and are initially accelerated to an energy  
 451 of 50 MeV in a linear accelerator (LINAC). Then they are injected into the Proton  
 452 Synchrotron Booster (PSB), where they are boosted to an energy of 1.4 GeV, into  
 453 the Proton Synchrotron (PS) to 25 GeV and into the Super Proton Synchrotron  
 454 (SPS) to 450 GeV. Finally, protons enter into the LHC storage ring, where they are  
 455 accelerated from injection energy to the final one by radio frequency (RF) cavities.  
 456 The beams are steered around the ring by 8 T magnetic fields produced by 15 m  
 457 long superconducting niobium-titanium dipole magnets and focused by quadrupole  
 458 magnets. The LHC magnets use a design in which both proton beam pipes are  
 459 contained in the same housing, allowing a common liquid helium cooling the system  
 460 to be used. The LHC began colliding proton beams in “physics mode” in 2009 at  
 461 a centre of mass energy of  $\sqrt{s} = 900$  GeV and from April 2010 to November 2011  
 462 accelerated beams at  $\sqrt{s} = 7$  TeV (3.5 TeV per proton beam) with a maximum  
 463 instantaneous luminosity of  $3 \cdot 10^{33} \text{ cm}^{-2}\text{s}^{-1}$ , while in 2012 the energy was increased  
 464 to 8 TeV. The LHC maximum design energy is 14 TeV, and its design luminosity is  
 465  $10^{34} \text{ cm}^{-2}\text{s}^{-1}$ . After a long shut down to upgrade and maintain the machine, a new

466 run started in June 2015, in which protons are collided at a centre of mass energy  
467 of  $\sqrt{s} = 13$  TeV. At this energy the total proton-proton cross-section is expected to  
468 be roughly 100 mb.

469 **2.2 The LHCb detector**

470 The LHCb detector [52] was designed to study decays of B and D mesons, mainly  
471 looking for CP-violating processes. In 2011, running at a centre of mass energy of 7  
472 TeV, the cross-section for  $b\bar{b}$  production was measured to be  $284 \pm 53 \mu b$  [53], while  
473 it will be  $\sim 500 \mu b$  at the current LHC energy, 13 TeV. At these high energies,  
474 proton-proton interactions produce highly boosted virtual gluons which produce  $b\bar{b}$   
475 pairs at small angles, close to the beam pipe. For this reason the LHCb detector is  
476 designed to have a very forward angular coverage. The detector is fully instrumented  
477 from 10 mrad to 300 mrad, corresponding to an interval  $2 < \eta < 5$ , where  $\eta$  is the  
478 “pseudorapidity”, a quantity defined as:

$$\eta = -\ln(\tan(\theta/2)), \quad (2.1)$$

479 where  $\theta$  is the angle between a particle’s momentum and the beam direction <sup>1</sup>.

480 At LHCb’s collision point the luminosity can be adjusted by displacing the beams  
481 from head on collisions while keeping the same crossing angle. This allows the exper-  
482 iment to keep an approximately constant instantaneous luminosity, compensating  
483 for the reduction in beam intensity due to extended operation periods. This also  
484 means that the average number of interactions per bunch crossing can be regulated,  
485 which is important because the detector efficiency, especially in detecting secondary  
486 vertices, decreases for events with an high number of primary vertices (PV). Reduc-  
487 ing the particle occupancy through the detector also keeps radiation damage to a

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<sup>1</sup>LHCb’s reference system has the  $z$  axis in the direction of the beam, the  $x$  axis directed to the centre of the accelerator and  $y$  is directed upward. Then we define  $\theta$  as the angle with the beam direction and  $\phi$  as the position around the beam in the  $xy$  plane, taking  $\phi = 0$  on the  $x$  axis. The origin,  $(x, y, z) = (0, 0, 0)$ , corresponds to the centre of the interaction area.

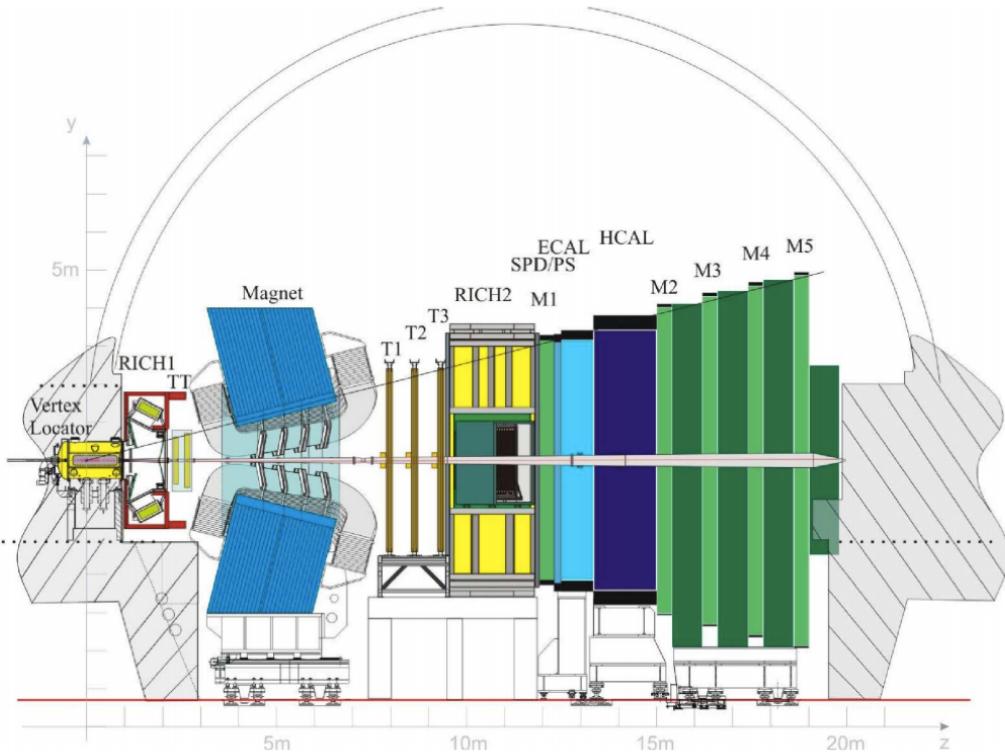


Figure 2.2: A side view of the LHCb detector [52].

minimum. Until the end of 2011 the instantaneous luminosity was  $3 \cdot 10^{32} \text{ cm}^{-2}\text{s}^{-1}$ , corresponding to an average number of 1.5 PVs per bunch crossing and at the end of 2011 LHCb had collected an integrated luminosity of  $1 \text{ fb}^{-1}$ . In 2012 the luminosity was increased and a further  $2 \text{ fb}^{-1}$  of data were collected.

Experiments like BaBar at the Stanford Linear Accelerator (SLAC), Belle at KEK at J-PARC (Japan) and the Tevatron experiments at Fermilab have made measurements in heavy flavour physics which have so far been found to be consistent with the SM predictions. However, some of the deviations from the SM are expected to be very small. Therefore LHCb was designed to make the most precise measurements in heavy flavour physics to test the consistency of the SM and look for new physics.

The LHCb detector includes a high-precision tracking system consisting of a silicon-strip vertex detector surrounding the  $pp$  interaction region, and a larger silicon-strip and drift tubes detectors located on both sides of a dipole magnet with a bending power of about 4 Tm. Charged hadrons are identified using two Ring-Imaging

502 Cherenkov detectors (RICH) [54]. Photon, electron and hadron candidates are iden-  
503 tified by a calorimeter system and muons by a system composed of alternating layers  
504 of iron and multi-wire proportional chambers [55]. A schematic view of the detector  
505 is shown in Fig. 2.2 and more details on each sub-detector are given in the following  
506 sections.

## 507 2.3 The magnet

508 Charged particle trajectories are deflected horizontally in the magnetic field so that  
509 their momentum can be measured from the radius of curvature. The LHCb dipole  
510 magnet is composed of two coils supported by an iron yoke and is shaped to fit  
511 the LHCb angular acceptance. Unlike the other LHC experiments, LHCb uses a  
512 warm magnet which can be easily ramped allowing the field polarity to be inverted  
513 periodically. When the polarity is flipped, particles of a given sign are bent in the  
514 opposite direction. This method is used to limit systematic uncertainties that can  
515 arise due to performance variations in different areas of the detector and average  
516 out using data taken in both polarities. A current of 5.85 kA flows in the magnet  
517 generating an integrated magnetic field of 4 Tm for 10 m long tracks. In order to  
518 achieve the required momentum precision the magnetic field must be mapped with  
519 a  $10^{-4}$  precision. For this reason a grid of 60 sensors is positioned inside the magnet  
520 and provides real time magnetic field maps.

## 521 2.4 Tracking system

522 B mesons have lifetimes of approximately 1.5 ps. At the LHC energies, this means  
523 they travel about 1 cm before decaying to form a displaced vertex. To study specific  
524 decays, it is therefore important to be able to separate the particles produced at the  
525 primary  $pp$  vertex and at the B decay secondary vertex (SV). The tracking system  
526 consists of the Vertex Locator (VeLo), and 4 tracking stations: the Tracker Turicensis

(TT), which are located before the magnet and the T1, T2 and T3 stations, located after of the magnet. The latter three stations are in turn formed by two subsystems: the Inner Tracker (IT) close to the beam-line, where the particle density is greatest, and the Outer Tracker (OT) covering the rest of the acceptance.

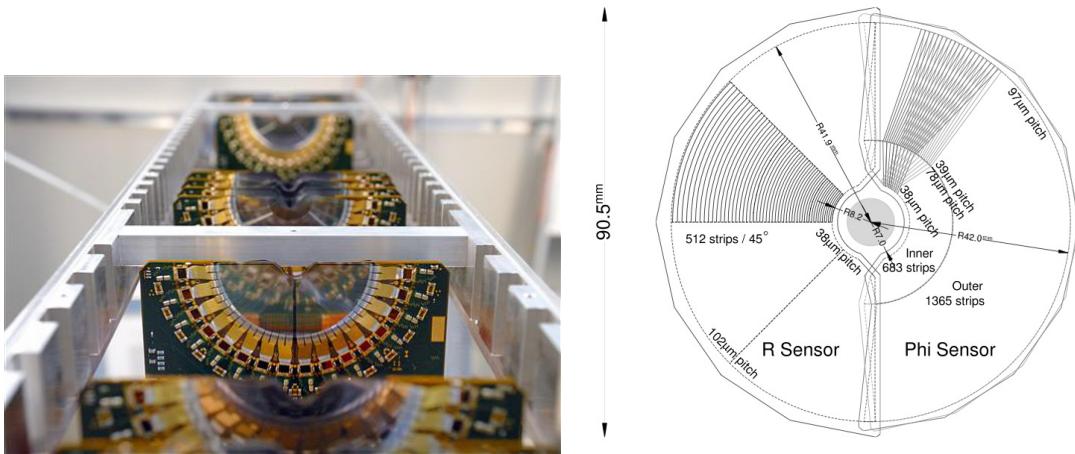


Figure 2.3: On the left VeLo sensors mounted in line and on the right a schematic view of one sensor [52].

531

The VeLo accurately measures positions of tracks close to the interaction point which is essential to reconstruct production and decay vertices of bottom and charm hadrons. The VeLo is composed by 21 silicon modules that surround the beam axis and are positioned from  $z = -18$  cm to  $+80$  cm. The sensitive region of the VeLo starts at an inner diameter of only 8 mm from the beam axis and it is able to detect particles within a pseudorapidity range  $1.6 < \eta < 4.9$ . The VeLo is housed in its own vacuum vessel of thin aluminium foil, which protects the vacuum of the beam pipe from any outgassing. The silicon layers composing the VeLo consist of two modules each including two types of sensors: the  $\phi$ -sensor, which measures the azimuthal position around the beam, and the R-sensor, which measures the radial distance from the beam axis. A sketch of the VeLo sensors is shown in Fig. 2.3. The sensors are  $300 \mu\text{m}$  thick and to ensure that they cover the full azimuthal angle the right-side module is placed 1.5 cm behind the left-side module on the  $z$ -axis and

545 they overlap. There are two modules which cover the backward direction and are  
546 used as a veto for multiple interactions; this is called the pileup system.

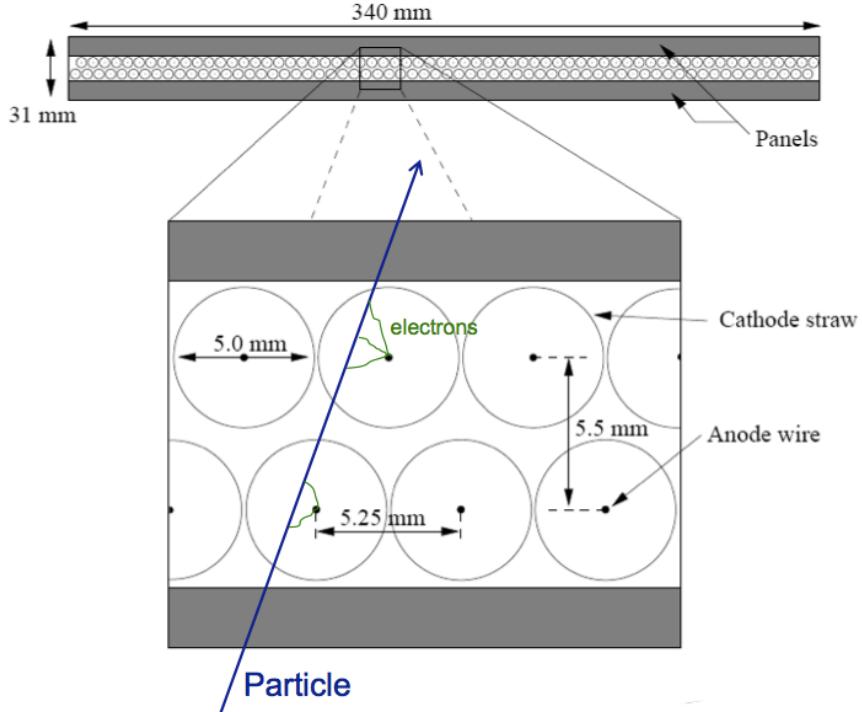


Figure 2.4: Sketch of the straw tubes which constitute the Outer Tracker layers [52].

547

548 The IT and TT both use silicon strips and together constitute the Silicon Tracker  
549 (ST). Straw tubes are instead used in the OT, of which a sketch is shown in Fig. 2.4.  
550 The IT requires a higher inner granularity because of the greater flux of particles  
551 close to the beam pipe. In fact, it covers only 1.3% of the total area of IT plus  
552 OT but it contains about 20% of the tracks. Each ST station has four detection  
553 layers: the first and last are vertical, measuring the track position in  $x$ , while the  
554 second and third layers are rotated by an angle of +5 and -5 degrees, which allows  
555 the measurement of the  $y$  coordinate. The TT is placed upstream of the magnet to  
556 allow the reconstruction of tracks from low-momentum particles, which are bent out  
557 of the downstream acceptance. Overall the tracking system provides a measurement  
558 of momentum,  $p$ , with a relative uncertainty that varies from 0.4% at 5 GeV/ $c$  to  
559 1.0% at 200 GeV/ $c$ . The impact parameter (IP), namely the minimum distance of a

560 track to a primary vertex, is measured with a resolution of  $(15 + 29/p_T) \mu\text{m}$ , where  
561  $p_T$  is the component of the momentum transverse to the beam, in  $\text{GeV}/c$ . The  $z$ -axis  
562 position of a PV reconstructed with 35–40 tracks can be measured with a precision  
563 of roughly  $50\text{--}60 \mu\text{m}$ . The decay products of  $B$  mesons tend to have high IP values  
564 because the  $B$  decay imparts transverse momentum to them. Therefore, accurate  
565 IP and vertex displacement measurements allow LHCb to distinguish effectively  
566 between  $B$  meson decays and background processes.

## 567 2.5 Calorimeters

568 In general the main purpose of a calorimeter system is to determine the energy  
569 of particles but in LHCb it is mostly used to help the identification electrons and  
570 hadrons. Sampling calorimeters, as those used in LHCb, are composed of layers  
571 of absorber and active material. Particles interact with the absorber layers and  
572 produce a cascade of secondaries, that multiply quickly and are detected by the  
573 active part, which is usually composed of scintillating layers. The light produced  
574 is detected by photo-multipliers (PMTs) and it is approximately proportional to  
575 the energy of the deposited particles. Calibration is then used to translate the  
576 signal into an energy measurement. The LHCb’s calorimeter system consists of  
577 the Scintillator Pad Detector (SPD), the Pre-Shower Detector (PS) as well as the  
578 Electromagnetic Calorimeter (ECAL) and the Hadronic Calorimeter (HCAL). A  
579 sketch of the LHCb calorimeters is shown in Fig. 2.5. The SPD/PS cells are read  
580 out with PMTs located outside the LHCb acceptance, while the ECAL and HCAL  
581 have individual PMTs located on the modules. All four detectors are segmented,  
582 which allows the energy deposits to be associated to the tracks detected by the  
583 tracking system. The segmentation of the cells varies according to the distance from  
584 the beam pipe due to the different track density.

585 The most difficult identification in LHCb is that of electrons. The rejection of a high  
586 background of charged pions is achieved using a longitudinal segmentation of the

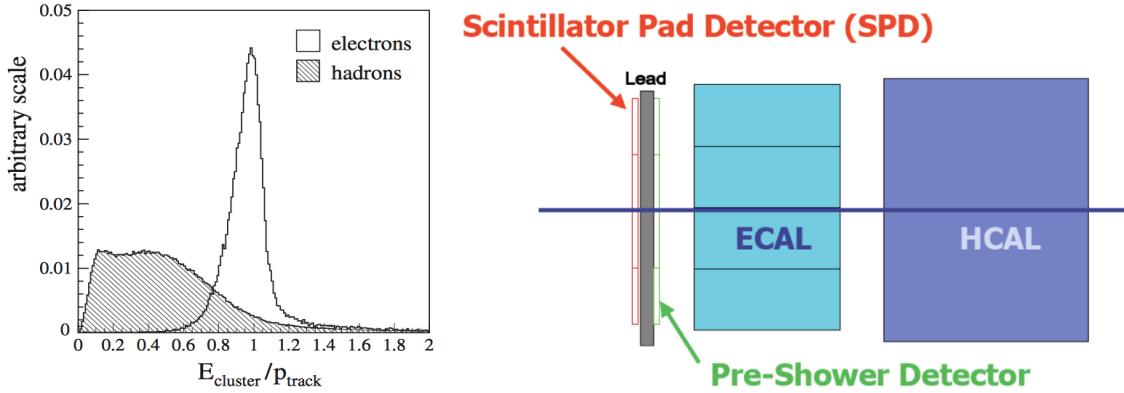


Figure 2.5: (left) The ratio of the energy deposited in the ECAL and the particle momentum, which allows the separation between electrons and hadrons [52]. (right) A schematic of the calorimeter system.

587 electromagnetic calorimeter which is provided by the PS detector added in front of  
 588 the main electromagnetic calorimeter, ECAL. Electrons also have to be distinguished  
 589 from high energy  $\pi^0$ s and photons. For this purpose the SPD calorimeter, detecting  
 590 charged particles, is located in front of the PS and ECAL detectors. Figure 2.5  
 591 illustrates how the ratio between the energy detected in the ECAL and a particle's  
 592 momentum allows the separation of electrons and hadrons.

593 The ECAL is formed by 66 lead layers (2 mm thick) separated by 4 mm thick plastic  
 594 scintillator layers. In order to obtain the highest energy resolution the showers  
 595 from high energy photons must be fully absorbed. For this reason the ECAL has a  
 596 thickness of 25 radiation lengths and its resolution is measured to be  $\sigma_{\text{ECAL}}(E)/E =$   
 597  $10\%/\sqrt{E(\text{GeV})} + 1\%$  [52], which results in a mass resolution of  $\sim 70 \text{ MeV}/c^2$  for  
 598 B mesons and  $\sim 8 \text{ MeV}/c^2$  for  $\pi^0$ . The HCAL is mainly used for triggering and  
 599 it is similar to the ECAL but with 4 mm thick scintillator layers and 16 mm thick  
 600 absorber layers. The trigger requirements on the HCAL resolution do not depend  
 601 on the containment of the hadron showers as much as for the ECAL, therefore, due  
 602 to space limits, its thickness is only 5.6 interaction lengths and its resolution is given  
 603 by  $\sigma_{\text{HCAL}}(E)/E = 69\%/\sqrt{E(\text{GeV})} + 9\%$ .

<sup>604</sup> 2.5.1 Bremsstrahlung recovery for electrons

<sup>605</sup> Bremsstrahlung is an electromagnetic radiation produced by charged particles that  
<sup>606</sup> undergo an acceleration. Typically electrons produce Bremsstrahlung when de-  
<sup>607</sup> flected by atomic nuclei. The probability of emitting bremsstrahlung radiation is  
<sup>608</sup> proportional to the inverse of the squared mass of the particle ( $1/m^2$ ) and therefore  
it is most relevant for electrons. At LHC energies, if electrons radiate after the mag-

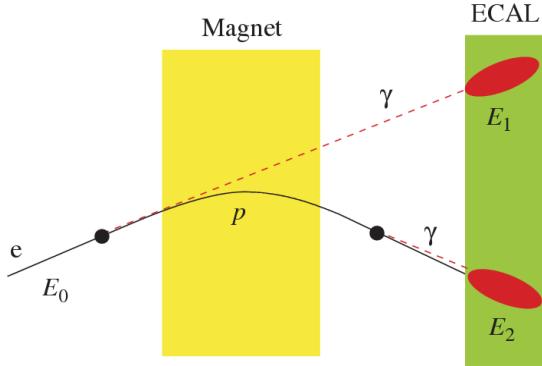


Figure 2.6: Schematic view of the bremsstrahlung recovery [52].

<sup>609</sup>

<sup>610</sup> net, the photon will hit the same calorimeter cell as the electron and the energy will  
<sup>611</sup> be automatically recovered, as illustrated in Fig. 2.6. However, if the photon is emit-  
<sup>612</sup> ted before the magnet, the electron will be deflected by the magnetic field whereas  
<sup>613</sup> the photon will continue on its initial trajectory, with its energy being deposited in  
<sup>614</sup> a different part of the calorimeter. Missing this energy results in a poorer recon-  
<sup>615</sup> structed invariant mass resolution, so it is desirable to recover these bremsstrahlung  
<sup>616</sup> photons. A tool for bremsstrahlung recovery is available in the LHCb analysis soft-  
<sup>617</sup> ware. This tool looks for other clusters in the calorimeter and, reconstructing the  
<sup>618</sup> trajectory of the electron, checks if they may be associated with photons emitted.  
<sup>619</sup> The photon energy is then added to the electron and its momentum is recalculated.  
<sup>620</sup> For more information see Ref. [56].

## 621 2.6 RICH

622 The two RICH detectors are a special feature of LHCb, as it is the only experiment  
 623 at LHC using them. These detectors take advantage of the Cherenkov radiation  
 624 produced by particles passing through a medium with speed higher than the speed  
 625 of light in the medium. The Cherenkov light, as shown in Fig. 2.7, is produced in  
 626 cones with a specific opening angle depending on the velocity of the particle. The  
 627 relation between the angle and the particle velocity can be written as

$$\cos \theta = \frac{1}{\beta n}, \quad (2.2)$$

where  $\beta = v/c$  and  $n$  is the refraction index of the medium.

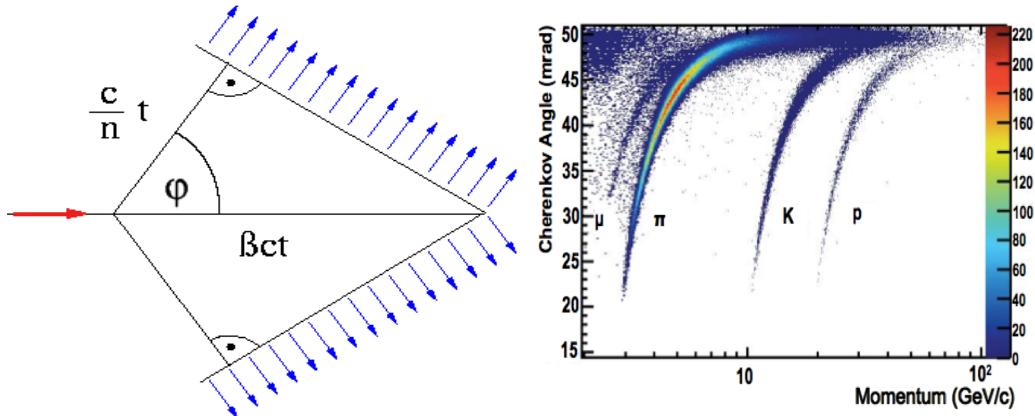


Figure 2.7: (left) A sketch of Cherenkov light emission and on the right the Cherenkov angle versus the particle momentum, where one can see that the study of the Cherenkov angle allows distinguish particles identities. (right) Measured Cherenkov angle as a function of particle momentum [52].

628

629 RICH 1 is located before the magnet in order to cover a larger angular accep-  
 630 tance. Its purpose is to ensure particle identification over the momentum range  
 631  $1 < p < 70 \text{ GeV}/c$ . It uses two radiators:  $C_4F_{10}$  that covers the momentum range  
 632  $5 - 70 \text{ GeV}/c$  and silica aerogel which covers  $1 - 10 \text{ GeV}/c$ . RICH 2 is positioned  
 633 after the magnet and tracking stations and it identifies higher momentum particles  
 634 from approximately  $20 \text{ GeV}/c$  up to beyond  $100 \text{ GeV}/c$  using  $CF_4$  as a radiator.  
 635 The Cherenkov light produced when charged particles travel through the radiators,

is reflected and focussed using mirrors, which are tilted so that the ring image is reflected onto arrays of PMTs. The radius of the ring can be used to measure the opening angle of the Cherenkov cone because of the known geometry. The photo-detectors are located outside of the LHCb acceptance in order to reduce the amount of material that the particles have to traverse. Pattern recognition algorithms are then used to reconstruct the Cherenkov rings.

## 2.7 The muon system

It is essential for many of the key physics analyses in LHCb to be able to identify muons in decay final states. Muons are the most penetrating particles that can be detected at LHC experiments, so the muon chambers are the farthest sub-detectors from the interaction point. The muon system consists of five stations (M1 - M5), the first one being located before the calorimeters in order to improve  $p_T$  measurements. The remaining four stations are behind the HCAL and are separated from each other and interleaved with 80 cm thick iron blocks, which absorb hadrons, electrons and photons to ensure that only muons reach the final muon station. A schematic of the muon system is shown in Fig. 2.8. Only muons with a minimum momentum of 10 GeV/c traverse all of the five stations and, for positive identification of a muon, the trigger requires a signal in each of them. Each station has a detection efficiency of at least 95% and the detectors also provide position measurements. Since there is a larger particle flux close to the beam pipe, the stations are divided into four concentric rectangular regions (R1-R4) with increasing cell size, which results in a similar occupancy over the four regions. All of the muon stations use Multi Wire Proportional Chambers (MWPC) except for the inner region of M1, where the particle flux is too high. In this region triple-GEM (Gas Electron Multiplier) detectors are used because of their better ageing properties as they have to withstand a rate up to 500 kHz cm<sup>-2</sup> of charged particles. These detectors consist of three gas electron multiplier foils sandwiched between anode and cathode.

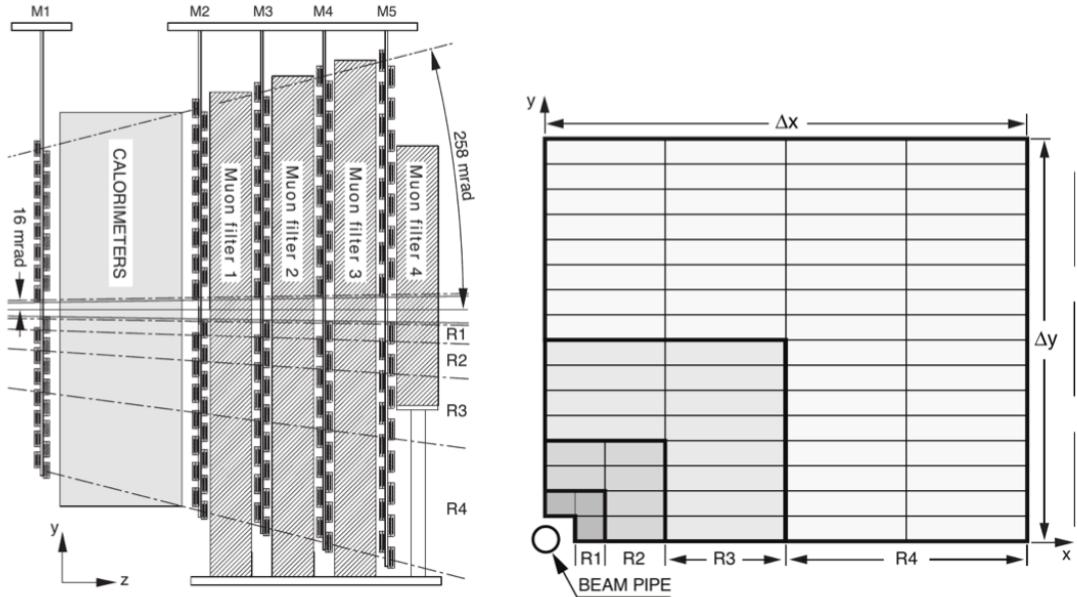


Figure 2.8: The LHCb muon system [52].

## 663 2.8 Particle identification

664 Particle identification (PID) is an important feature in LHCb and it is performed in  
 665 various ways. The electromagnetic calorimeters can distinguish between pions and  
 666 electron, the muon chambers identify muons and the RICH detectors can be used  
 667 to identify heavier charged particles such as protons and kaons.

668 The RICH assigns an ID to a track calculating the global likelihood for the observed  
 669 distribution of hits being consistent with the expected distribution from various  
 670 ID hypotheses. The algorithm iterates through each track and recalculates the  
 671 likelihood when the track PID hypothesis is changed to that of an electron, muon,  
 672 kaon or proton. For electrons and muons additional information from the calorimeter  
 673 and muon systems is also used. The hypothesis which maximises the likelihood is  
 674 assigned to the track.

675 To quantify the quality of the ID the pion hypothesis is used as a reference point  
 676 and the probability of a specific ID is given in terms of Log-Likelihood difference  
 677 between the given ID hypothesis and the pion one. This variable is called Delta

<sup>678</sup> Log-Likelihood (DLL) and denoted with ‘‘PID’’. For example:

$$\text{PID}_K = \text{DLL}_{K-\pi} = \log(\mathcal{L}_K) - \log(\mathcal{L}_\pi) \quad (2.3)$$

<sup>679</sup> quantifies the probability of a particle being a kaon rather than a pion. Figure 2.9  
<sup>680</sup> shows the efficiency for correctly identifying and mis-identifying kaons and protons as  
<sup>681</sup> a function of the measured momentum of the particle. For kaons the efficiency drops  
<sup>682</sup> at momenta below 10 GeV, where they fall below threshold for the gas radiators.  
<sup>683</sup> The DLL cuts enable LHCb physics analyses to distinguish between kinematically  
<sup>684</sup> similar decays with different final states, such as  $B^0$  and  $B_s^0$  mesons decaying into  
<sup>685</sup> two hadrons. Figure 2.10 illustrates the power of particle identification, showing  
<sup>686</sup> how the application of DLL cuts can be used to isolate  $B^0 \rightarrow \pi^+\pi^-$  decays from  
other two-body  $B$  decays. The identification of muons is particularly important in

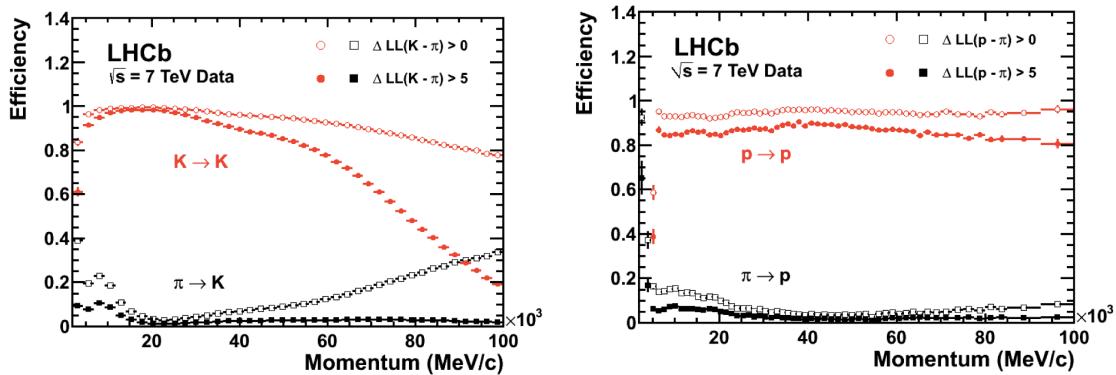


Figure 2.9: Particle Identification performances for kaons (left) and protons (right) as a function of the measured momentum of the particles.

<sup>687</sup>

<sup>688</sup> LHCb and it is quantified using two variables: the  $\text{DLL}\mu$  and the `isMuon` variable.  
<sup>689</sup> The latter is a boolean variable determined by defining a ‘field of interest’ around  
<sup>690</sup> a track trajectory extrapolated through the muon chambers. The variable is set to  
<sup>691</sup> true if hits in multiple muon stations are found in the field of interest.

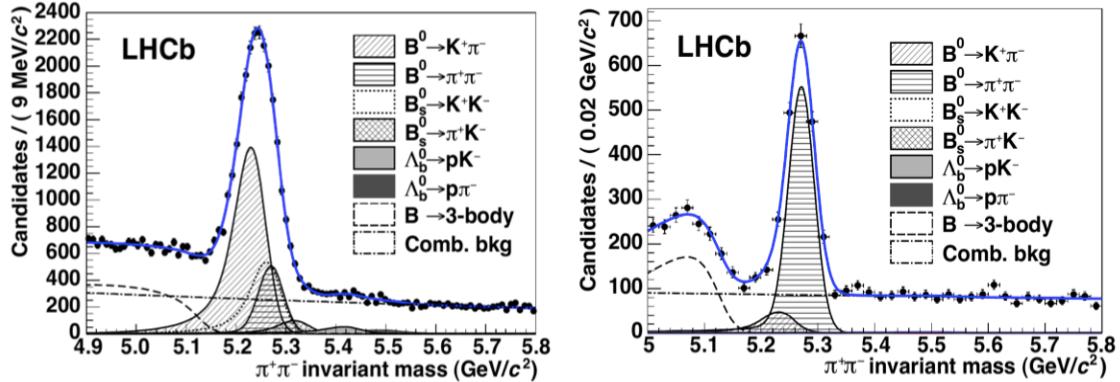


Figure 2.10: Invariant mass peak of the  $B^0 \rightarrow \pi^+\pi^-$  decay before (left) and after (right) the application of PID requirements.

### 692 2.8.1 PID calibration

693 In order to be able to calculate detection efficiencies, a “data-driven” method was  
 694 developed. The calibration software is referred to as `PIDCalib` package [57]. This  
 695 tool uses decays where final particles can be identified thanks to their kinematic  
 696 properties. For example the  $K_s^0 \rightarrow \pi^+\pi^-$  decay has a clear signature with a displaced  
 697 vertex and can be easily singled out from other decays and used to test pion ID  
 698 efficiency. The narrow peaks of the  $J/\psi \rightarrow \mu^+\mu^-$  and  $J/\psi \rightarrow e^+e^-$  decays allow  
 699 muon and electron efficiencies to be calibrated. A “tag-and-probe” method is used  
 700 in this case, where only one of the two leptonic tracks is reconstructed requiring  
 701 the correct identity and the other one is used to probe the PID efficiency. Finally,  
 702  $\phi \rightarrow KK$  samples and  $D^{*+} \rightarrow D(\rightarrow K^-\pi^+)\pi^+$  decays, where the  $D^{*+}$  is used to tag  
 703 the decay, are used to test the kaon efficiency. In all cases the residual background  
 704 is subtracted using the  $s\mathcal{P}\text{lot}$  technique [58].

## 705 2.9 Trigger and software

706 The LHCb trigger system [59] consists of a hardware stage, L0, based on information  
 707 from the calorimeters and muon system, followed by a software stage, the High-  
 708 Level Trigger (HLT), which applies a full reconstruction of the events. To increase

709 performance, the HLT is further split into two stages, HLT1 and HLT2. The HLT1  
 710 phase happens in real time and saves data in local disks while the HLT2 phase uses  
 711 the resources available during periods with no beam. The event selected by the  
 712 HLT2 stage are then saved for offline analysis. Figure 2.11 shows a scheme of the  
 713 trigger system. The bunch crossing frequency is 40 MHz, which corresponds to an  
 714 instantaneous luminosity of  $2 \cdot 10^{32} \text{ cm}^{-2}\text{s}^{-1}$  for LHCb. About 15% of the total  
 715 number of  $b\bar{b}$  pairs produced will contain at least one  $B$  meson with all of its decay  
 716 products within the detector acceptance. This rate needs to be reduced to about  
 2 kHz at which the events can be written to disk.

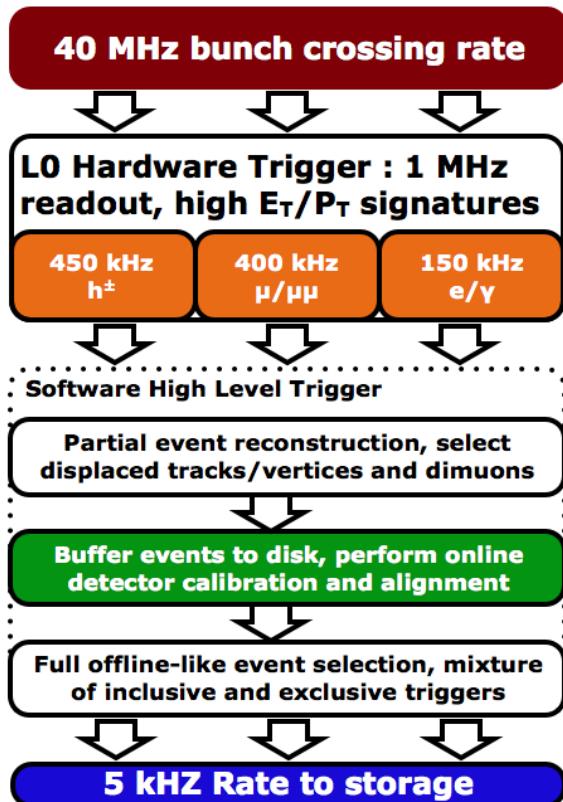


Figure 2.11: Scheme of the LHCb trigger system [52].

717

718 The L0 trigger reduces the rate of visible interactions from 10 MHz to 1 MHz.  
 719 Due to the heavy mass of  $B$  mesons, they often produce particles with high en-  
 720 ergy and momentum. Therefore the trigger selects events with large  $E_T$  deposits in  
 721 the calorimeter or high  $p_T$  muons. The event is classified as L0Muon if it was trig-  
 722 gered due to information from the muon detector, while the information from the

723 calorimeters is used to divide the events into five categories: `L0Photon`, `L0Electron`,  
724 `L0LocalPion`, `L0GlobalPion`, `L0Hadron`. The PS detector information is converted  
725 to a photon flag (`PS && !SPD`) or an electron flag (`PS && SPD`). The “local” label of  
726 the `L0Pion` trigger refers to  $\pi^0$  reconstructed through their  $\gamma\gamma$  decay, where the two  
727 photons fall in the same ECAL element, they are labelled “global” otherwise. The  
728 first four calorimeter triggers require energy clusters in the ECAL, while `L0Hadron`  
729 requires clusters also in the HCAL. The HLT1 uses information from the VELO  
730 and trackers performing a partial reconstruction of the event and reduces the rate  
731 to 2 kHz by adding requirements of the IP and  $\chi^2$  of tracks. Finally, the HLT2  
732 involves a full reconstruction of the event and includes many “lines” designed to  
733 select specific decay structures.

734 LHCb also developed an extended simulation software in order to reconstruct ef-  
735 ficiencies and signal shapes. In the simulation,  $pp$  collisions are generated using  
736 PYTHIA8 [60, 61] with a specific LHCb configuration [62]. Decays of hadronic par-  
737 ticles are described by EVTGEN [63], and final state radiation is generated using  
738 PHOTOS [64]. Finally, the interaction of the generated particles with the detec-  
739 tor and its response are implemented using the GEANT4 toolkit [65] as described  
740 in Ref. [66]. For this analysis in this thesis, the ROOT framework [67] is used to  
741 analyse data and the RooFit package to perform maximum likelihood fits. A multi-  
742 variate analysis is also performed based on the NeuroBayes package [68, 69], which  
743 provides a framework for neural network training.

## 744 2.10 Constrained kinematic fits

745 The resolution of key variables, such as the measured invariant mass of decaying  
746 particles, can be improved by imposing constraints on the measured quantities to  
747 remove redundant degrees of freedom. The four-momentum conservation can be  
748 ensured at each vertex and the origin and decay vertices of a particle are related via  
749 the momentum of the particle. Furthermore, additional constraints can be imposed

due to a particular decay hypothesis such as the known invariant masses of final and intermediate particles. In order to do this the `DecayTreeFitter` tool was developed by the BaBar experiment and later used by LHCb [70]. The algorithm takes a complete decay chain and parametrises it in terms of vertex positions, decay lengths and momentum parameters. These parameters are then fit simultaneously, taking into account the relevant constraints, including the information from photons. Figure 2.12 illustrates the effect of the application of the kinematical fit on the 4-body invariant mass of the final daughters of the  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  decay. The resolution in this case improves by over a factor of 2. Furthermore, the  $\chi^2$  from the kinematic fit can be used to quantify the compatibility with a specific decay structure, which helps to separate candidates where random particles from the event have been added to the decay tree, or where one or more particles is not reconstructed or mis-identified.

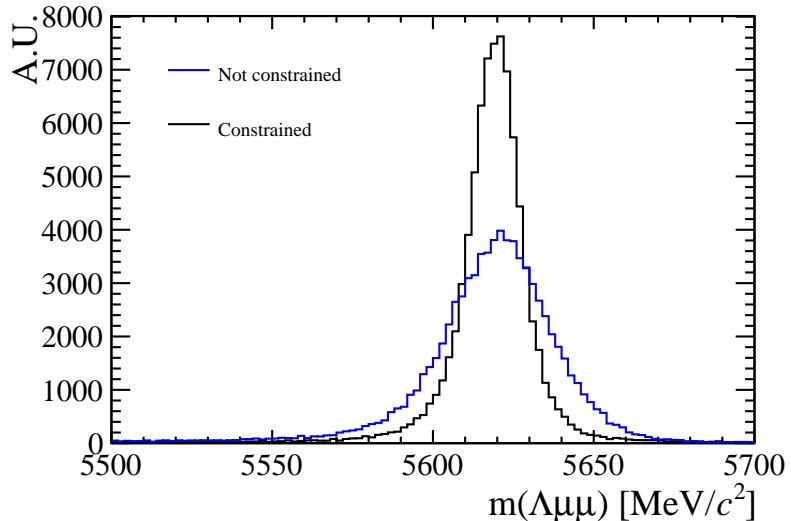


Figure 2.12: Invariant mass of the final daughters of simulated  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  decays calculated with and without constraints using the `DecayTreeFitter` tool.

761

## 2.11 Validation of hadronic processes in the simulation

763 Particle-antiparticle asymmetries are of major interest for LHCb and detection ef-  
764 ficiencies are usually obtained from simulation. It is therefore important, in order

765 to limit systematic uncertainties, to have a model that parametrises correctly the  
766 cross-sections of particles and antiparticles or at least their ratio.

767 The LHCb simulation software propagates particles through the detector using the  
768 GEANT4 toolkit [52]. This offers a variety of models for physics processes over a  
769 wide range of energies for both electromagnetic and strong interactions. Given a  
770 combination of projectile, target and energy there can be several models applicable  
771 with different reliability and computational costs. GEANT4 provides a number of  
772 pre-packaged physics lists each representing complete and consistent sets of models  
773 chosen to be appropriate for a given use case. In LHCb mainly two hadronic physics  
774 lists are considered:

775 • **LHEP** (Low and High Energy Parametrisation): based on a parametrised  
776 modelling of all hadronic interactions for all particles. This list combines  
777 the High Energy Parametrised model (HEP) and the low energy one (LEP).  
778 There is a sharp switch from the low to the high energy model at 25 GeV.  
779 The modelling of elastic scattering off a nucleus and of nuclear capture also  
780 proceeds via parametrised models.

781 • **FTFP\_BERT**: includes the following models:

- 782 – Bertini cascade model (BERT) [71], which simulates the intra-nuclear cas-  
783 cade, followed by pre-equilibrium and evaporation phases of the residual  
784 nucleus, for protons, neutrons, pions and kaons interaction with nuclei  
785 at kinetic energies below 9.9 GeV. The Bertini model produces more  
786 secondary neutrons and protons than the LEP model, yielding a better  
787 agreement with experiment data.
- 788 – FTFP model, which implements high energy inelastic scattering of hadrons  
789 by nuclei using the FRITIOF model [72]. The change between the two  
790 models happens with a linear shift from BERT to FTF that starts at 4  
791 GeV and ends at 5 GeV.

792 Figure 2.13 summarises the composition of the different models.

793

794 When two models overlap in an energy interval the choice of the model for each  
 795 interaction is made using a random number: the probability to select each model  
 796 varies linearly from 0 to 100% over the overlap range. Because of the differences of  
 797 the two models in the overlap region, unphysical discontinuities can be produced as  
 798 a function of energy.

### 799 2.11.1 Geometry and interaction probability

800 The results presented in the following sections are produced using the version v45r0  
 801 of the full LHCb framework for simulation, Gauss [66], interfaced to GEANT4  
 802 v95r2p1. A simple geometry setup is used in order to be able to calculate in a  
 803 clean way the interaction cross-sections in a specific material. This is constituted  
 804 by a series of rectangular boxes filled with the most relevant materials for LHCb:  
 805 Aluminium, Silicon and Beryllium. For each material three boxes are defined with  
 806 different thicknesses (1mm, 10mm, 50mm). These values are chosen to be indicative  
 807 of the amount of material present in the LHCb detector.

808 The simplest quantity available to extract the cross-section is the interaction prob-  
 809 ability ( $P_{int}$ ), defined as:

$$P_{int} = \frac{N_{int}}{N_{tot}}, \quad (2.4)$$

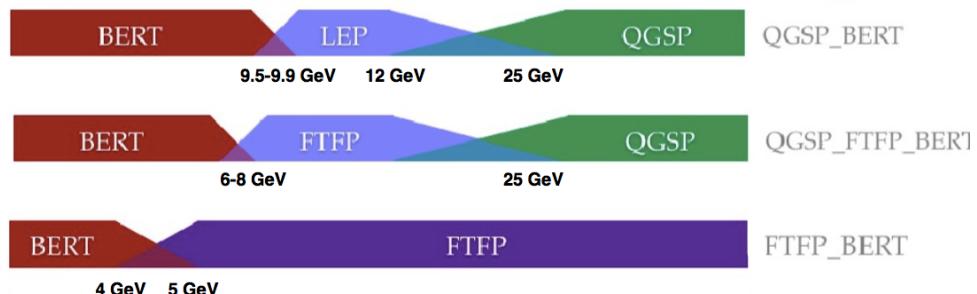


Figure 2.13: Diagram of LHEP, FTFP\_BERT and QGSP\_BERT models composition as a function of energy.

810 where  $N_{int}$  is the number of particles which interacted in the material and  $N_{tot}$  is  
811 the number of generated particles. As GEANT4 provides an ID for the end process  
812 of a particle (e.g. 121 for inelastic interaction, 111 for elastic, 201 for decay) it  
813 is possible to distinguish the inelastic and elastic probabilities of interaction and  
814 therefore cross-sections.

815 To compare simulation and data the cross-section and  $P_{int}$  are linked by the following  
816 formula valid for thin layers:

$$\sigma_{int} = \frac{A}{\rho N_A \Delta x} \cdot P_{int}, \quad (2.5)$$

817 where  $\rho$  is the density of the material and  $A$  is its mass number,  $\Delta x$  is the thickness  
818 of the considered layer and  $N_A$  is the Avogadro number.

### 819 2.11.2 PDG prediction

In the Review of Particle Physics [2] cross-sections of protons and neutrons are  
parametrised as:

$$\sigma_{tot}^{ab} = Z^{ab} + B^{ab} \log^2(s/s_M) + Y_1^{ab}(s_M/s)^{\eta_1} - Y_2^{ab}(s_M/s)^{\eta_2}, \quad (2.6)$$

$$\sigma_{tot}^{\bar{a}\bar{b}} = Z^{ab} + B^{ab} \log^2(s/s_M) + Y_1^{ab}(s_M/s)^{\eta_1} + Y_2^{ab}(s_M/s)^{\eta_2}, \quad (2.7)$$

820 where  $s_M = (m_a + m_b + M)^2$  and  $B^{ab} = \lambda \pi (\frac{\hbar c}{M})^2$ . Some of the constants in these  
821 equations are universal and valid for any kind of collision:  $M = 2.15$ ,  $\eta_1 = 0.462$ ,  $\eta_2$   
822 = 0.551,  $\lambda = 1$  (for p, n and  $\gamma$ ) and 1.63 (for d). The other ones are characteristic  
823 of each type of collision and are listed in Tab. 2.11.2. In these formulae the particle-  
824 antiparticle asymmetry arises from the last term which has opposite sign in the  
825 two equations. This term becomes less and less important with increasing energies.  
826 Therefore a net asymmetry is found at low energies, while the cross-sections tend  
827 to a common point at high energy and continue increasing logarithmically.

### 2.11.3 Validation results

This section reports particle and antiparticle cross-sections and their ratios compared, where available, with predictions and with data from the COMPASS experiment [73]. Figure 2.14 shows the probability of interaction for protons and anti-protons in 1mm of Aluminium using the FTFP\_BERT and LHEP models compared with COMPASS data and Fig. 2.15 shows the ratios of  $\sigma_{\bar{p}}^{tot}/\sigma_p^{tot}$  together with the PDG prediction. A difference of 40% is found between the two considered models for 1 GeV incoming anti-protons. This difference becomes negligible at higher energies. The discrepancies between the two physics lists for kaons and pions are of a few percents (2–3%) and usually constant with the energy. From the comparison with data and PDG predictions it can be qualitatively concluded that the FTFP\_BERT model gives a better description of hadronic interactions at low energies, while both models give good results at high energy, above  $\sim 10$  GeV. The tool developed for this studies is not limited to cross-sections but can also give information on other simulated quantities. As an example, Fig. 2.11.3 shows a comparison between the types of particles generated in inelastic collisions of protons and anti-protons onto Aluminium using different models. Physics lists can give very different results, for example the LHEP model does not produce photons in inelastic collisions. However, it is difficult to use these quantities for validation as there is no data available for comparison.

849

Proj / Targ	$Z^{ab}$	$Y_1^{ab}$	$Y_2^{ab}$
$\bar{p},p / p$	34.71	12.72	7.35
$\pi^\pm / p$	19.02	9.22	1.75
$K^\pm / p$	16.56	4.02	3.39
$K^\pm / n$	16.49	3.44	1.82
$\bar{p},p / n$	35.00	12.19	6.62

Table 2.1: Values for the constants  $Z^{ab}$ ,  $Y_1^{ab}$  and  $Y_2^{ab}$  [2], which parametrise hadronic cross-sections.

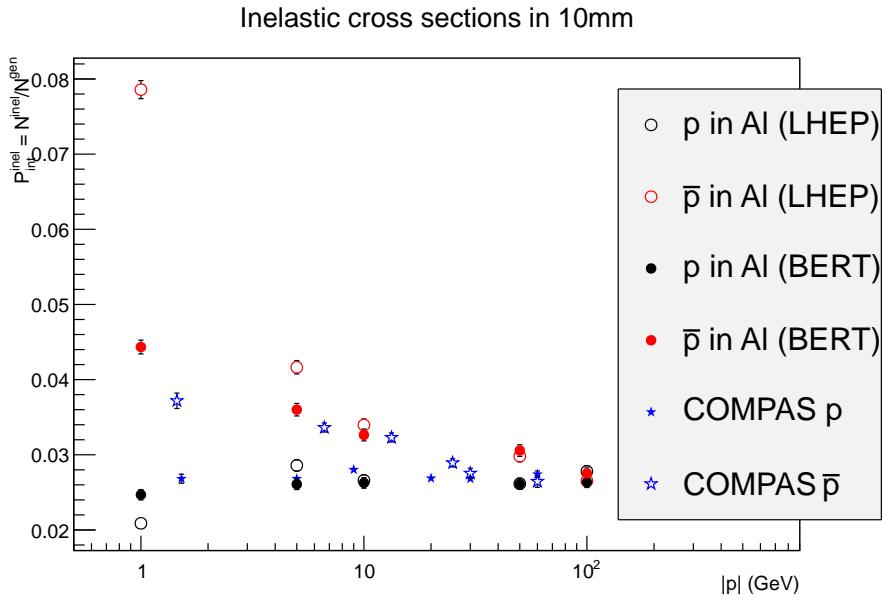


Figure 2.14: Probability of interaction for protons and anti-protons in Aluminium as a function of the projectile momentum. Two physics lists are used to generate events that can be compared with data from the COMPASS experiment.

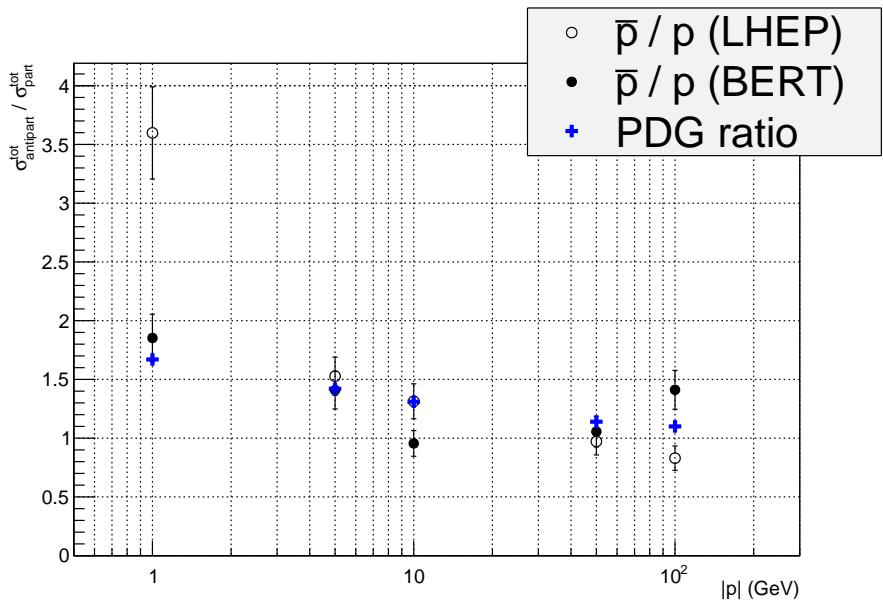


Figure 2.15: Ratio of antiproton over proton total interaction cross-section as a function of energy compared with PDG predictions.

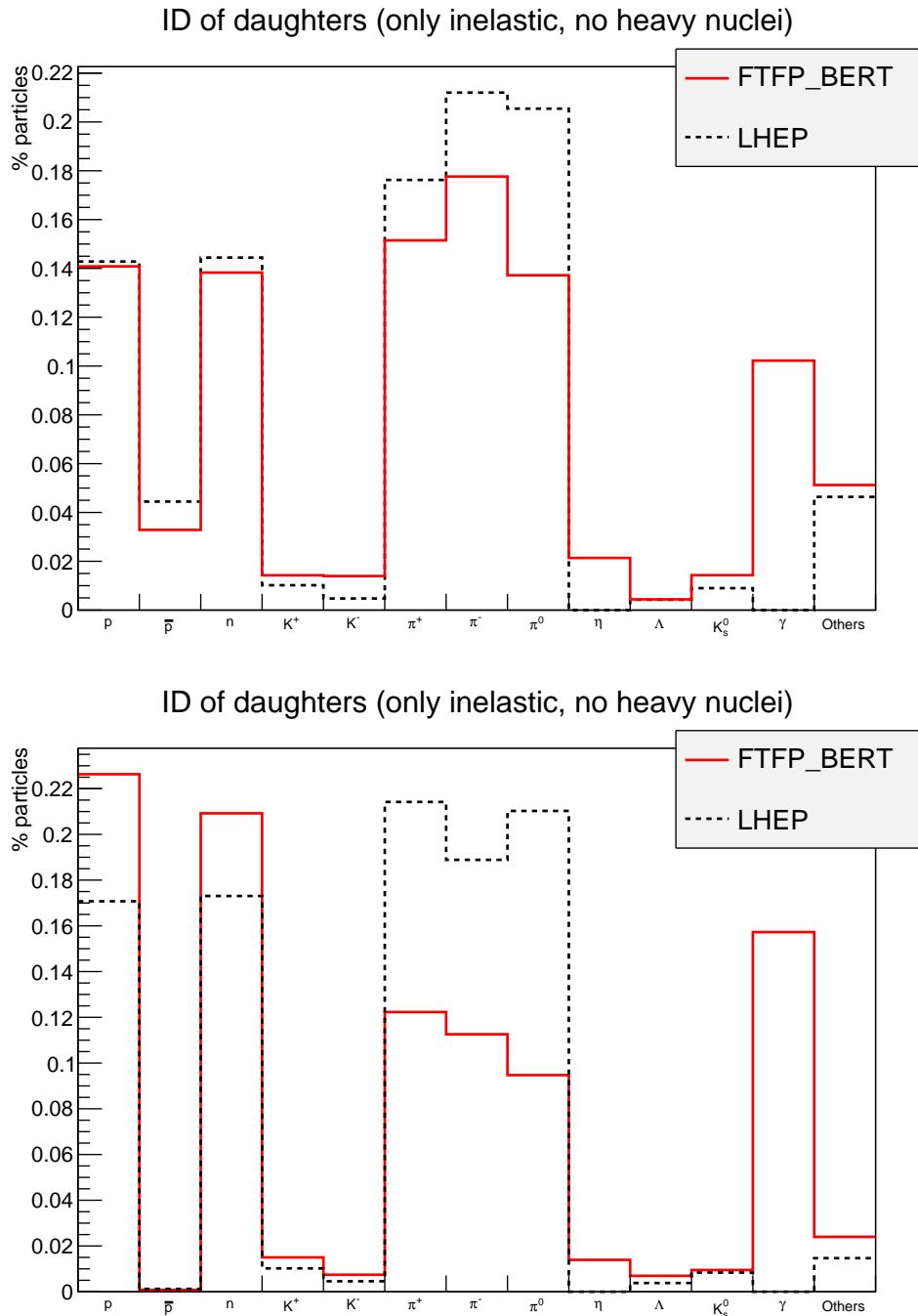


Figure 2.16: Composition of secondary particles produced in 100 GeV protons (top) and anti-protons (bottom) collisions in 1 mm Aluminium.

## 850 2.12 Material budget studies

851 It is important for many analysis to quantify the amount of material present in the  
 852 detector, for example to estimate the amount of multiple scattering. In GEANT4  
 853 particles are propagated in steps through the detector and for each step the frame-  
 854 work analyses the geometry to understand in what material the particle is and  
 855 modifies its trajectory accordingly. A tool was developed where neutrinos are used  
 856 as probes to scan the detector summing the radiation length seen at each step up  
 857 to a certain point.

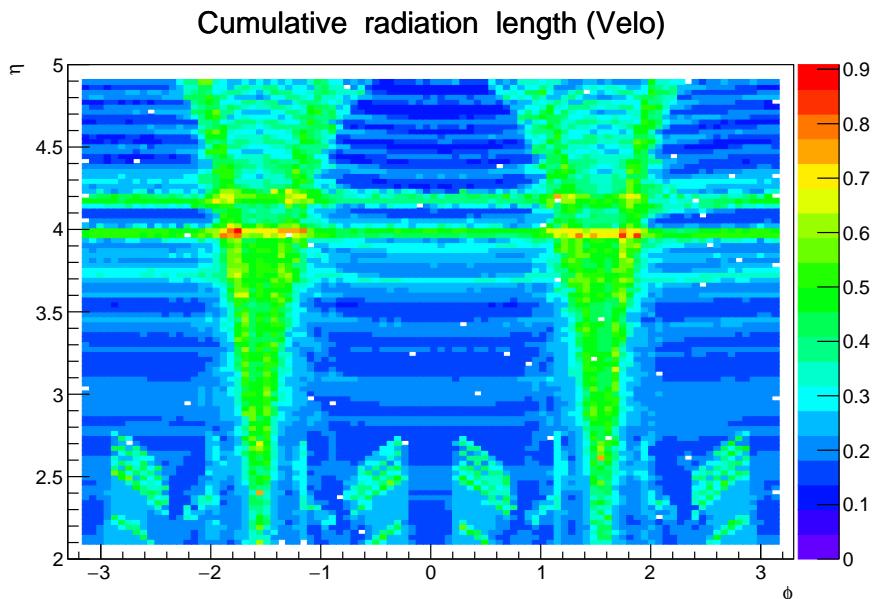


Figure 2.17: Map of cumulative radiation length traversed by a particle starting from the interaction point up to the end of the VeLo.

858 Neutrinos are used as they do not bend in magnetic field and do not interact with  
 859 the detector to any appreciable extent. Thin air planes are inserted after each  
 860 sub-detector. When these are traversed by the neutrinos, the information about  
 861 the accumulated radiation and interaction length is saved. In this way it is  
 862 possible to obtain maps of the detector, such as the one shown in Fig. 2.17. Using  
 863 the tool developed for this study it is also possible to obtain the cumulative  
 864 radiation and interaction lengths as a function of the position along the beam axis  
 865 and the pseudorapidity. As an example Fig. 2.18 shows the average radiation

length as a function of the distance from the interaction point. Furthermore, it is possible to displace the primary vertex from its position, normally set at the origin, in order to study how this translates into the amount of material traversed.

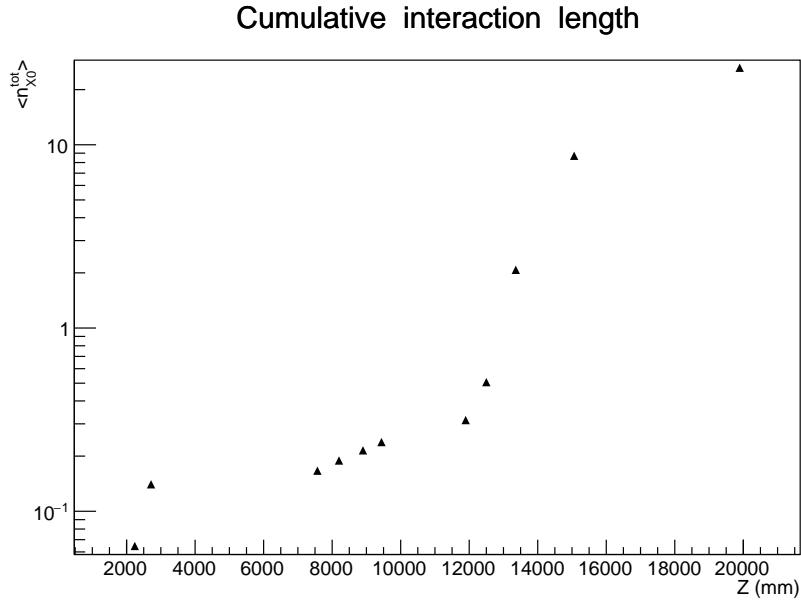


Figure 2.18: Average cumulative radiation length as a function of the horizontal distance from the interaction point. Each considered point corresponds to the end of a sub-detector: VeLo, RICH1, RICH2, tracking stations, ECAL and HCAL and muon detector.

## 2.13 Validation and material budget studies conclusions

The studies outlined in the previous two sections are based on tools which are now officially part of the LHCb simulation framework. These tools were used to validate the framework when passing from GEANT4 version 95 to version 96 and will continue to be used in the future. In particular a patch was provided by the GEANT4 team including improved kaon cross section. And it was verified these go in the right direction. Furthermore, the tools can be used by analyses sensitive to the quality of the simulation of particle and antiparticles cross section in order to study systematic effects and uncertainties.

878

## CHAPTER 3

879

880

### Differential branching fraction of $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$

881

The rare  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decay is a FCNC process governed by the  $b \rightarrow s\mu^+\mu^-$  quark level transition. In the SM this decay proceeds only through loop diagrams, electroweak penguin and  $W$  box as discussed in Sec. 1.5 (see Fig. 1.5), and therefore it is highly sensitive to new particles entering the loops. Interest in  $\Lambda_b^0$  baryon decays arises from two important facts. First of all,  $\Lambda_b^0$  has non-zero initial spin, which allows us to learn information about the helicity structure of the underlying Hamiltonian that cannot be extracted from the meson decays [74, 75]. Secondly, the  $\Lambda_b^0$  baryon can be considered in a first approximation as being composed of a heavy quark and a light di-quark, therefore the hadronic physics differs significantly from similar meson decays. This provides the possibility to better understand and test the hadronic physics in the theory, which could yield improved understanding that would be relevant also for the meson case.

With respect to  $B^0$  decays going though the same transitions, such as  $B^0 \rightarrow K^{*0}\mu^+\mu^-$ ,  $\Lambda_b^0$  decays can provide independent confirmations of the results as they involve the

896 same operators but different hadronic matrix elements. Furthermore,  $\Lambda$  baryons  
897 decays weakly, which results in complementary constraints with respect to  $B^0$  de-  
898 cays. Finally, the narrow width approximation, used in theoretical calculations, is  
899 fully applicable in the  $\Lambda_b^0$  case, which has  $\Gamma_{\Lambda_b^0} \sim 2.5 \cdot 10^{-6}$  eV. This is not assured  
900 for  $B^0 \rightarrow K^{*0} \mu^+ \mu^-$  decays because the contribution from the non resonant channel  
901  $B^0 \rightarrow K \pi \mu^+ \mu^-$  is unconstrained.

902 The theory of the  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  decays was considered by a number of authors both  
903 in the SM and in different new physics scenarios [76, 77, 78, 79, 80, 81, 82, 83, 84,  
904 85, 86]. All authors start from the same effective Hamiltonian already described in  
905 Sec. 1.5.1. However, form factors, describing hadronic physics, are not developed as  
906 well as for the meson case because there are fewer experimental constraints. This  
907 leads to a relatively large spread in predicted branching fractions. For these reasons  
908 an interesting quantity to study is the differential branching fraction as a function of  
909  $q^2$ . This still suffers from the knowledge of form factors but, as different approaches  
910 to form factors calculations are applicable in different  $q^2$  regions, it allows a more  
911 meaningful comparison with theory.

Experimentally, the decay  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  was observed for the first time in 2011 by the CDF collaboration [87], with a signal yield of  $24 \pm 5$  events and was later updated in preliminary form using their full statistics [88]. CDF observed the signal only in the  $q^2$  region above the square of the  $\psi(2S)$  mass. Their result on full statistics yields  $\mathcal{B}(\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-) = [1.95 \pm 0.34(\text{stat}) \pm 0.61(\text{syst})] \times 10^{-6}$ . Recently, the decay was also observed at LHCb [89] with a yield of  $78 \pm 12$  signal events using  $1 \text{ fb}^{-1}$  of integrated luminosity collected in 2011. The signal was again found only in the high  $q^2$  region, above  $m_{\psi(2S)}^2$ . The LHCb result for the branching fraction relative to the  $J/\psi \Lambda$  decay, used as normalisation channel, is

$$\frac{\mathcal{B}(\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-)}{\mathcal{B}(\Lambda_b^0 \rightarrow J/\psi \Lambda)} = [1.54 \pm 0.30 \text{ (stat)} \pm 0.20 \text{ (syst)} \pm 0.02 \text{ (norm)}] \times 10^{-3}$$

and for absolute branching fraction

$$\mathcal{B}(\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-) = [0.96 \pm 0.16 \text{ (stat)} \pm 0.13 \text{ (syst)} \pm 0.21 \text{ (norm)}] \times 10^{-6}.$$

This chapter describes the measurement of the differential branching fraction of the  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decay using  $3 \text{ fb}^{-1}$  of  $pp$  collisions collected by the LHCb experiment in 2011 and 2012. Furthermore, in the next chapter an angular analysis of these decays is performed for the first time, measuring observables including the forward-backward asymmetries in the leptonic and hadronic systems.

### 3.1 Analysis strategy and $q^2$ regions

A typical  $q^2$  spectrum of  $b \rightarrow s\ell^+\ell^-$  decays was shown in Fig. 1.8. This is characterised by the presence of the photon pole at low  $q^2$  and the narrow peaks of the  $J/\psi$  and  $\psi(2S)$  resonances at mid  $q^2$ . In the analysis  $\Lambda_b^0 \rightarrow J/\psi\Lambda$  decays, where  $J/\psi$  decays into two muons have the same final state as the signal and are used as a normalisation channel. The rare and normalisation channels are naturally distinguished by the  $q^2$  intervals in which they are reconstructed. The  $\Lambda$  decay mode into a pion and a proton,  $\Lambda \rightarrow p\pi$ , is always used to reconstruct the decays. The intervals in which the rare channel is studied are:

- $0.1 < q^2 < 8 \text{ GeV}^2/c^4$ , where the signal is unobserved and the selection is optimised to observe the signal as explained in Sec. 3.4.3. The upper bound of this interval is chosen to be sufficiently far from the  $J/\psi$  radiative tail at low masses, that could contaminate the rare sample;
- $11 < q^2 < 12.5 \text{ GeV}^2/c^4$  in between two charmonium resonances, and
- $q^2 > 15 \text{ GeV}^2/c^4$ , above  $\psi(2S)$ .

932 The first interval is referred to as “low  $q^2$ ” region, below the  $J/\psi$  resonance ( $q^2 < 8$   
933  $\text{GeV}^2/c^4$ ), and the other two as “high  $q^2$ ” region, above the  $J/\psi$  resonance ( $q^2 > 11$   
934  $\text{GeV}^2/c^4$ ). The above regions are then sub-divided into smaller intervals, as the  
935 available statistics allows, which results in  $\sim 2 \text{ GeV}^2/c^4$  wide bins. The binning  
936 used is the following:

$$[0.1, 2.0, 4.0, 6.0, 8.0], J/\psi, [11.0, 12.5], \psi(2S), [15.0, 16.0, 18.0, 20.0]. \quad (3.1)$$

937 In addition the result is also provided in two integrated regions:

- 938 •  $1.1\text{-}6.0 \text{ GeV}^2/c^4$ : this interval is theoretically clean since it is far from the photon pole, which dominates at low  $q^2$  washing out the sensitivity to new physics contributions. The lower bound of this interval is chosen to exclude the possible contribution from the  $\phi$  resonance, which appears at  $1 \text{ GeV}^2/c^4$ . The upper bound of the interval is chosen to totally exclude a small contribution from the  $J/\psi$  resonance that leaks below  $8 \text{ GeV}^2/c^4$ .
- 944 •  $15.0\text{-}20.0 \text{ GeV}^2/c^4$ : this interval is the one that contains most of the statistics and it is used as a natural cross check that the analysis in smaller bins is stable.

## 947 3.2 Candidate types

948 This analysis deals with  $\Lambda$  baryons, which have a lifetime of  $(2.632 \pm 0.020) \times 10^{-10} \text{ s}$  [2].  
949 These are considered long-lived particles in particle physics terms and can travel into  
950 the detector for several metres generating well distinguished secondary vertices. In  
951 LHCb,  $\Lambda$  baryons can be reconstructed from tracks with or without hits in the VeLo  
952 (see Sec. 2.4) and therefore two candidates types are defined as follows:

- 953 • **Long candidates:** built from tracks which have hits in the VeLo, “long tracks”. These candidates, also denoted as “LL”, are characterised by a better

955 momentum resolution thanks to the longer lever arm available to their tracks.

- 956 • **Downstream candidates:** built from tracks without hits in the VeLo, “down-  
957 stream tracks”, also denoted as “DD”.

958 Figure 3.1 shows a depiction of the two types of candidates used in the analysis  
959 together with other possible track types in LHCb, which are not used in this analysis.  
960 As the long and downstream candidate categories are characterised by different  
961 resolution and different kinematic properties the analysis is performed separately on  
962 the two samples and the results are then combined.

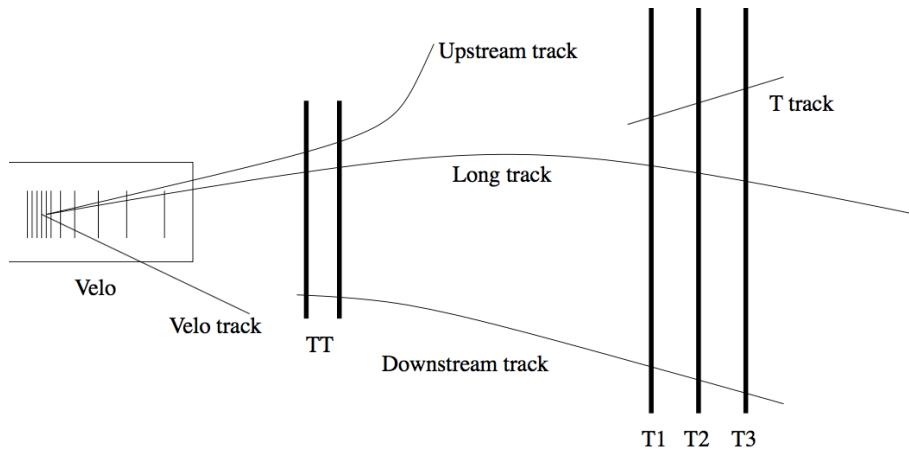


Figure 3.1: Representation of possible track types in LHCb. Candidates built from “long” and “downstream” tracks are used in this analysis [52].

### 963 3.3 Simulation

964 Samples of simulated events are needed in order to train the multivariate classifier  
965 (see Sec. 3.4.2), calculate the selection efficiency and study possible backgrounds;  
966 in particular for this analysis samples of  $\sim 2$  millions  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  and  $\sim 5$  millions  
967  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  simulated events are used. Samples of simulated  $B^0 \rightarrow J/\psi K_s^0$ ,  
968  $B^0 \rightarrow K_s^0\mu^+\mu^-$  and  $B^+ \rightarrow \mu^+\mu^-K^{*+}$  events are also used to study backgrounds  
969 from these decays. The events are generated using PYTHIA8; hadronic particle are  
970 decayed using EVTGEN and GEANT4 is used to simulate the interaction of final

state particles with the detector. Simulated events are then reconstructed by the same reconstruction software that is used for real data. The L0 hardware trigger is emulated in the simulation, while for the software stage, HLT (see Sec. 2.9), the same code can be used as for data. Events are simulated using both 2011 and 2012 beam and detector conditions in the same proportion as data are available. While the simulation gives a generally good description of data some discrepancies remain. However, it is important that the simulation gives an accurate description of the data, especially for quantitative estimations, e.g the extraction of efficiencies. The next sections describe corrections applied to the simulation in order to provide a better description of data. In Appendix B data distributions are compared with simulated ones for variables relevant to this analysis.

### 982 3.3.1 Decay Model

983 Little is known about  $\Lambda_b^0$  decays structure and therefore the simulation software  
 984 generates events according to the phase space given by the available kinematics. To  
 985 include a reasonably realistic  $q^2$  dependence, the simulation is weighted using decay  
 986 amplitudes based on the predictions in Ref. [90]. Equations in this paper are for the  
 987 case of unpolarised  $\Lambda_b^0$  production and for this analysis those are extended to include  
 988 polarisation. Details about the models used are in Appendix A.1. The value of the  
 989  $\Lambda_b^0$  production polarisation,  $P_b$ , used in the calculations is  $P_b = 0.06$  as measured by  
 990 LHCb [91]. Figure 3.2 shows the phase space  $q^2$  distribution and the one obtained by  
 991 re-weighting the events. The latter can be qualitatively compared to the  $q^2$  spectrum  
 992 of a generic  $b \rightarrow s\ell^+\ell^-$  decay shown in Fig. 1.8. For the normalisation mode, the  
 993 decay model used is described in Appendix A.2, with amplitude magnitudes and  
 994 production polarisation taken from the measurements in Ref. [91]. Phases are not  
 995 yet measured and are all set to zero.

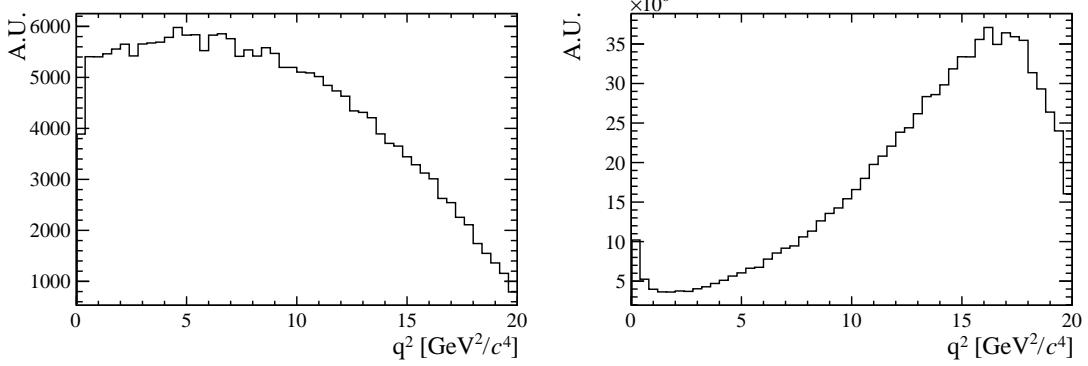


Figure 3.2: The  $q^2$  spectrum of  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  simulates events according to the phase space of the decay (left) and re-weighted using the decay amplitudes (right).

### 996 3.3.2 Kinematic re-weighting

997 Small data-simulation differences are found in the kinematic properties of the mother  
 998 particle,  $\Lambda_b^0$ , which also affect the final state particles. The simulation is re-weighted  
 999 by comparing the momentum and transverse momentum of  $\Lambda_b^0$  in real and simulated  
 1000  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  candidates that satisfy the pre-selection (see Sec. 3.4). To do this a  
 1001 high purity data sample is obtained by selecting a narrow interval around the  $J/\psi$   
 1002 and  $\Lambda_b^0$  peaks; this contains about 400.000 candidates. Then the  $\Lambda_b^0$  invariant mass  
 1003 distribution is fitted to extract the amount of background under the peak. The  
 1004 background fraction,  $f_b = B/(S + B)$ , is then used to subtract statistically the  
 1005 background from the kinematical distributions as described by the equation:

$$S(p, p_T) = T(p, p_T) - f_b \cdot B(p, p_T), \quad (3.2)$$

1006 where  $S(p, p_T)$  is the distribution of pure signal events, which we want to obtain,  
 1007  $T(p, p_T)$  is the total distribution of signal plus background, namely the distribution  
 1008 of all events in the signal interval,  $5605 < m(p\pi\mu^+\mu^-) < 5635$  MeV/ $c^2$ , and  $B(p, p_T)$   
 1009 is the pure background distribution obtained using events from the upper sideband,  
 1010  $m(p\pi\mu^+\mu^-) > 5800$  MeV/ $c^2$ .

1011 After obtaining the signal distributions from data, these are compared with  $\Lambda_b^0 \rightarrow J/\psi \Lambda$   
 1012 simulated events and a weight,  $w(p_{\Lambda_b^0}, p_{T\Lambda_b^0})$  is defined by taking the ratio of the two

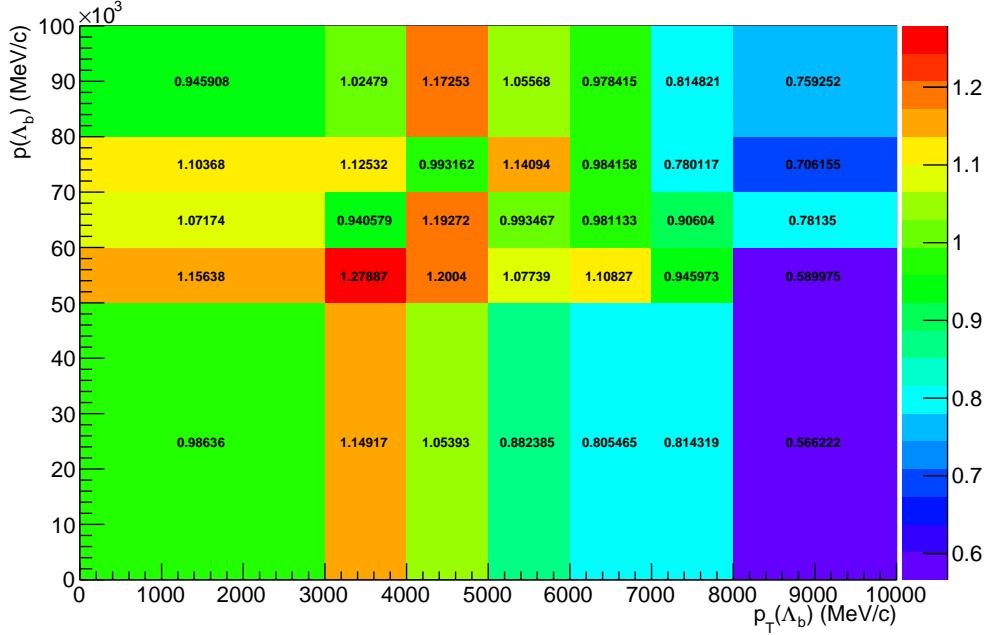


Figure 3.3: Weights used for the kinematical re-weighting as a function of the momentum and transverse momentum of  $\Lambda_b^0$ .

dimensional ( $p, p_T$ ) distributions. The result is shown in Fig. 3.3, while Appendix B reports distributions of sideband subtracted data in the signal and sideband regions together with weighted and unweighted simulated events. In these plots the momentum and  $p_T$  distributions of  $\Lambda_b^0$  match by construction but the re-weighting also improves the agreement between the kinematical distributions of all final particles. Small differences remain due to the finite binning used for the weights calculation. Quality variables, such as the  $\chi^2$  of tracks and vertices, show little dependence on the kinematics and are relatively unaffected by the weighting procedure.

### 3.3.3 Event type

The fraction of  $\Lambda$  baryons reconstructed from long tracks and downstream tracks does not fully agree between data and simulation. For  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  decays passing the full selection,  $\sim 70\%$  of candidates are reconstructed from downstream tracks, compared with  $\sim 75\%$  in the simulation. The fraction of downstream and long tracks also varies as a function of  $q^2$  and the biggest differences are found at low

1027  $q^2$ . In order to deal with these differences all efficiencies are obtained separately  
1028 for downstream and long candidates and the analysis is carried out separately for  
1029 the two categories, results are then joined to ensure the best use of the available  
1030 information. It is therefore not necessary to correct the simulation to reproduce the  
1031 correct fraction of events in each category.

## 1032 3.4 Selection

1033 This section described the requirements applied to reconstruct  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  and  
1034  $\Lambda_b^0 \rightarrow J/\psi\Lambda$  candidates. The selection procedure is divided into two steps: a pre-  
1035 selection, where cuts are applied in order to be able to work with manageable  
1036 datasets and a multivariate analysis (MVA) which combines information from several  
1037 variables. At first good tracks are selected using requirements on basic kinematic  
1038 properties, as the  $p_T$  of the final particles, and quality requirements, as the track  
1039  $\chi^2$ . The selection then aims to first form a dimuon candidate from two oppositely  
1040 charged muons. Then, in events containing a dimuon candidate, two oppositely  
1041 charged tracks are combined and retained as  $\Lambda$  candidate if they form a good vertex  
1042 which is well separated from all primary vertices. Finally the dimuon and  $\Lambda$  candi-  
1043 dates are combined to form  $\Lambda_b^0$  baryons and requirements are set on the properties  
1044 of this combination.

### 1045 3.4.1 Pre-selection

1046 The full list of pre-selection cuts is reported in Tab. 3.1. In the table  $\chi_{\text{IP}}^2$  is defined  
1047 as the projected distance from a vertex divided by its uncertainty, for example the  
1048  $\chi_{\text{IP}}^2(\text{primary}) > n$  requirement on  $\Lambda_b^0$  means that the  $\Lambda_b^0$  vertex must be at least  
1049  $\sqrt{n}$  standard deviations away from the primary vertex. Another quantity, especially  
1050 useful to remove combinatorial background, is a pointing variable called DIRA de-  
1051 fined as the cosine of the angle between the direction of a particle's momentum

and the flight direction from its mother vertex. Requiring a DIRA close to unity corresponds to the selection of particles with well-defined origin vertices. Graphical representation of the  $\chi^2_{IP}$  and DIRA variables are shown in Fig. 3.4. The variable

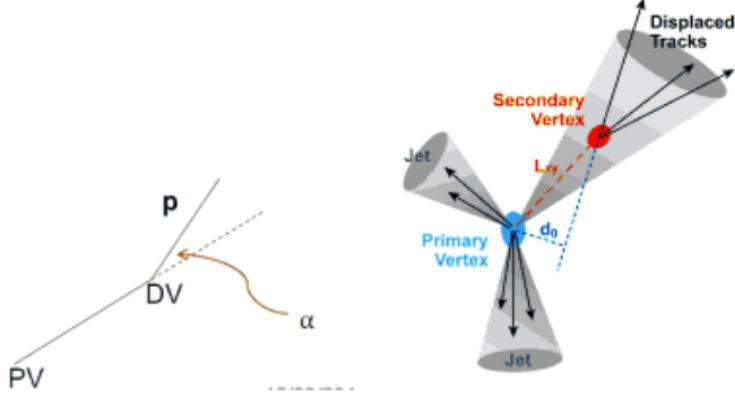


Figure 3.4: Graphical representation of the DIRA (left) and  $\chi^2_{IP}$  (right) variables.

$\chi^2_{FD}$  represents the flight distance of a particle from its origin vertex divided by its uncertainty. The  $\chi^2_{trk}/\text{ndf}$  and  $\chi^2_{vtx}/\text{ndf}$  quantities are the  $\chi^2$  from the fit to tracks and vertices, which are used to quantify their quality. The `GhostProb` quantity describes the probability of a track being fake. By construction, cutting at  $k$ , removes  $(1 - k) \cdot 100\%$  of fake tracks. The `hasRich`, `hasCalo` and `isMuon` variables are binary indicators that the information from the RICH/calorimeter/muon detector is available for the track. Loose PID requirements on the proton are also applied in pre-selection. Details about the quantification of the PID quality are given in Sec. 2.8. A large mass window is kept around the  $\Lambda_b^0$  peak in order to be able to fit the sideband, to train the multivariate analysis and to better constrain backgrounds. Rare candidates are selected by the  $q^2$  region requirements described in Sec. 3.1, while resonant candidates are further constrained to have dimuon invariant mass in a  $100 \text{ MeV}/c^2$  interval around the known  $J/\psi$  mass [2].

### 3.4.2 Neural Networks

The final selection is performed using a neural network (NN) classifier based on the NeuroBayes package [68, 69]. The input to the neural network consists of 14 variables

Particle	Requirement
$\Lambda_b^0$	$4.6 < m(p\pi\mu\mu) < 7.0 \text{ GeV}/c^2$ DIRA> 0.9999 $\chi_{\text{IP}}^2 < 16.0$ $\chi_{\text{FD}}^2 > 121.0$ $\chi_{vtx}^2/\text{ndf} < 8.0$
$\Lambda$	$\chi_{vtx}^2/\text{ndf} < 30.0(25.0)$ Decay time > 2 ps $ m(p\pi) - m^P D G_A  < 35(64) \text{ GeV}/c$
$p/\pi$	$p > 2 \text{ GeV}/c$ $p_T > 250 \text{ MeV}/c$ $\chi_{\text{IP}}^2 > 9(4)$
$p$ (only long cand.)	hasRICH PIDp> -5
$\mu$	isMuon $\chi_{trk}^2/\text{ndf} < 5$ GhostProb< 0.4 PIDμ > -3 $\chi_{\text{IP}}^2 > 9.0$
Dimuon	$\chi_{vtx}^2/\text{ndf} < 12.0$ $m(\mu\mu) < 7.1 \text{ GeV}/c^2$

Table 3.1: Summary of pre-selection requirements. Where two values are given, the main one applies to long candidates and the one in parenthesis to downstream candidates.

1071 carrying information about the kinematics of the decay, the quality of tracks and  
 1072 vertices and the PID of the muons. The list of inputs is reported in Tab. 3.2, together  
 1073 with information about the importance of each input. Variables related to  $\Lambda$  and its  
 1074 daughters are considered as different inputs depending on the candidate type (long  
 1075 or downstream). This effectively corresponds to making a separate training for the  
 1076 two categories. The graphical representation of the correlation matrix is shown in  
 1077 Fig. 3.5, where the variable with ID= 1 is the neural network output and the IDs of  
 1078 the other variables are listed in Tab. 3.2.

1079 The NN is trained using representative samples of signal and background. A sample  
 1080 of simulated  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  events is used as a proxy for the signal, while for the  
 1081 background a representative sample is given by candidates in the upper  $m(p\pi\mu\mu)$   
 1082 invariant mass sideband. Only the upper sideband,  $m(p\pi\mu\mu) > 6 \text{ GeV}/c^2$ , is used  
 1083 since it contains only combinatorial background, while the lower sideband may con-

1084 tain partially reconstructed and misreconstructed candidates. In the  $q^2$  spectrum  
 1085 of background samples the  $J/\psi$  and  $\psi(2S)$  peaks are still present indicating that  
 1086 charmonium resonances are often combined with other random tracks. These can-  
 1087 didates do not give a good description of purely combinatorial background and, in  
 1088 order to avoid biases, they are removed from the training sample by rejecting events  
 1089 in a  $100 \text{ MeV}/c^2$  interval around the nominal  $J/\psi$  and  $\psi(2S)$  masses [2]. A total  
 1090 of 30000 total events is used for the training from each sample. This corresponds  
 1091 to  $\sim 50\%$  of the available sideband data sample and  $\sim 20\%$  of the simulated sample.  
 1092 The full simulated sample is not used as the same sample will also be used to study  
 1093 efficiencies. For reproducibility the events are sampled uniformly.

1094 The single most important variable used for downstream candidates is the transverse  
 1095 momentum of  $\Lambda$ , which allows to reject random combination of tracks as these have  
 1096 preferentially low  $p_T$ . For long candidates instead the best variable is the  $\chi^2$  from a  
 1097 kinematic fit that constrains the decay products of the  $\Lambda_b^0$ , the  $\Lambda$  and the dimuon,  
 1098 to originate from their respective vertices performed using the `DecayTreeFitter`  
 1099 tool (see Sec. 2.10). Other variables that contribute significantly are the  $\chi_{\text{IP}}^2$  of  $\Lambda_b^0$ ,  
 1100  $\Lambda$  and muons, the separation between the  $\Lambda_b^0$  and  $\Lambda$  vertices and, finally, the muon  
 1101 PID.

1102 Figure 3.6 shows distributions of neural network output for the signal and back-  
 1103 ground samples and purity,  $P = N(\text{signal})/N(\text{background})$ , as a function of the  
 1104 neural network output. The distributions from test samples are also overlaid in  
 1105 order to check for overtraining. The distributions follow the same shape but with  
 1106 different fluctuations indicating no significant overtraining. In general it can be con-  
 1107 cluded that the neural network is able to separate signal from background and the  
 1108 training converged properly.

1109 It can happen that too much information is given to the classifier, which becomes  
 1110 able to calculate the invariant mass of the candidates from the input variables.  
 1111 This can generate fake peaks and it is therefore important to check for correlations  
 1112 between the 4-body invariant mass and the NN output. Figure 3.7 reports the

Table 3.2: Summary of inputs to the neural network in order of importance. Column “ID” lists the indices used for the correlation matrix (see Fig. 3.5). Column “adds” gives the significance added by a given input when it is added to the list of those ranked above. Finally, column “only this” provides the power of a given input alone and “loss” shows how much information is lost when removing only a given input.

Input	ID	adds	only this	loss
$\Lambda_{DD} p_T$	15	143.11	143.11	29.20
$\chi_{DTF}^2$	2	77.81	134.00	51.10
$\min(\chi_{IP}^2 \mu)$	7	61.31	113.62	29.76
$\chi_{IP}^2 \Lambda_b^0$	5	52.94	113.23	40.98
$\chi_{IP}^2 \pi_{LL}$	16	20.29	60.72	12.82
$\min(\text{PID } \mu)$	8	17.91	59.11	13.44
$\tau_{\Lambda_b^0}$	3	16.24	35.36	11.24
$\Lambda_b^0$ DIRA	4	12.28	73.96	9.98
$\Lambda_{DD}$ flight distance	14	9.47	86.75	11.24
$\chi_{IP}^2 \Lambda_{DD}$	13	10.58	59.84	8.88
$\max(\chi_{IP}^2 \mu)$	6	9.51	97.24	8.15
$\chi_{IP}^2 \Lambda_{LL}$	10	7.31	54.27	10.32
$\max(\text{PID } \mu)$	9	6.99	69.33	6.87
$\pi_{LL} p_T$	18	6.13	47.03	7.12
$\Lambda_{LL} p_T$	12	5.58	49.64	5.86
$\chi_{IP}^2 p_{LL}$	17	4.48	53.01	4.18
$\chi_{IP}^2 p_{DD}$	20	3.43	55.09	3.31
$\Lambda_{LL}$ flight distance	11	0.87	52.52	0.86
$p_{DD} p_T$	21	0.74	129.58	0.75
$\chi_{IP}^2 \pi_{DD}$	19	0.24	70.43	0.24

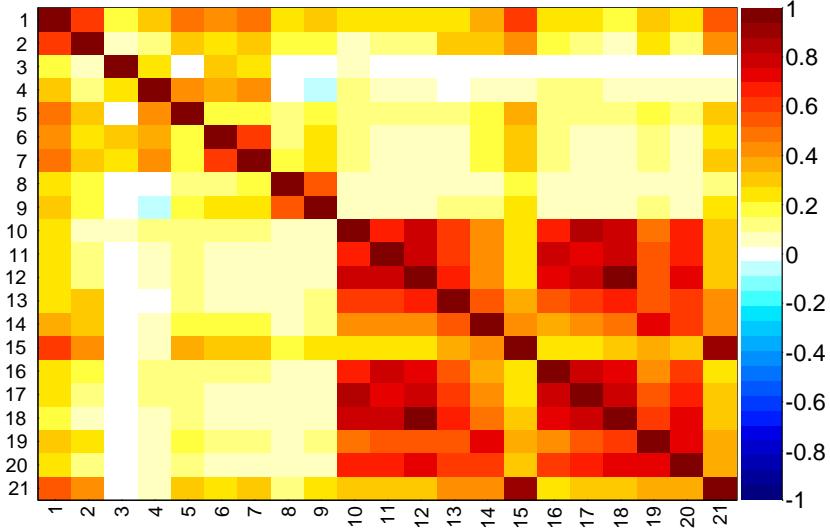


Figure 3.5: Graphical representation of correlation matrix between truth and neural network inputs. Column/row number 1 is correlation to the truth (whether candidate is signal or background). All others give correlation between inputs with numbering scheme corresponding to the id column of Tab. 3.2. Correlation is calculated using all events without distinguishing signal and background.

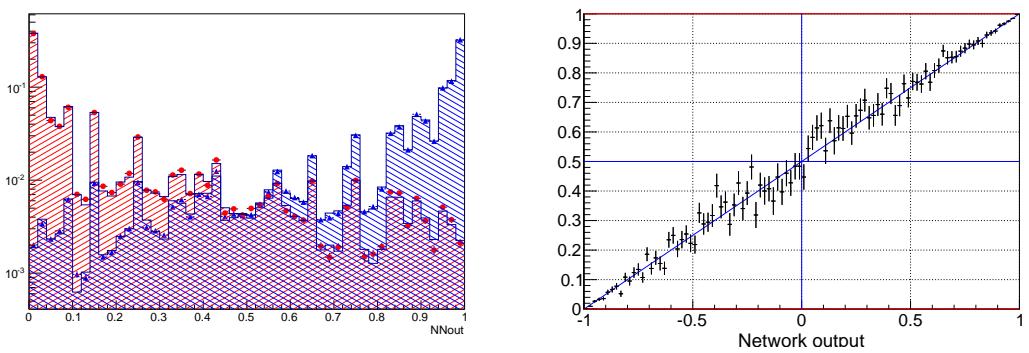


Figure 3.6: (left) NN output distribution for training (points) and test (stripes) samples, for signal and background events. (right) Purity as a function of neural network output.

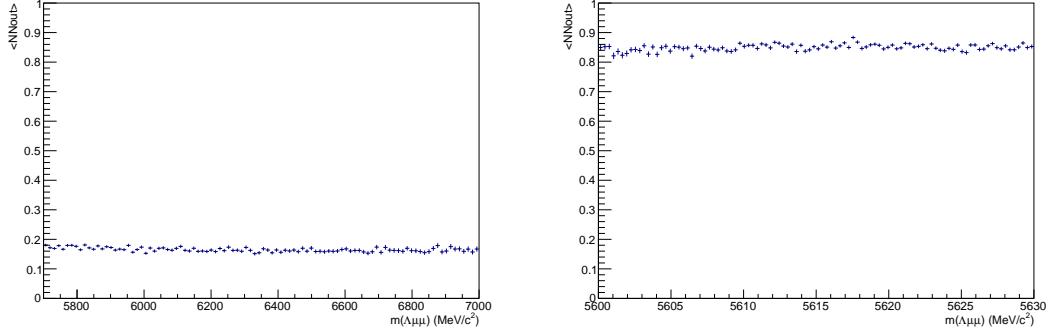


Figure 3.7: Average value of NN output as a function of  $\Lambda_b^0$  mass for data sideband (left) and simulated signal (right) events.

average neural network output as a function of the 4-body  $m(p\pi\mu\mu)$  invariant mass for data and simulation. The distributions are flat indicating that no significant correlation is present.

### 3.4.3 MVA optimisation

In the high  $q^2$  region, where the signal is already observed, the requirement on the neural network output is chosen maximising the significance,  $N_S/\sqrt{N_S + N_B}$ , where  $N_S$  and  $N_B$  are the numbers of expected signal and background candidates respectively.  $N_S$  is derived from simulation but, as an arbitrary number of events can be generated, it needs to be normalised. To do this, the invariant mass distribution of real  $\Lambda_b^0 \rightarrow J/\psi\Lambda$  candidates is fit after pre-selection (including all requirements but MVA). This is possible as the peak of the resonant channel is already well visible before the MVA cut. The resonant yield is then scaled by the ratio of between the  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  and  $\Lambda_b^0 \rightarrow J/\psi\Lambda$  branching fractions as measured by LHCb on 2011 data

$$\mathcal{B}(\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-)/\mathcal{B}(\Lambda_b^0 \rightarrow J/\psi\Lambda) = 1.54 \times 10^{-3} \quad (3.3)$$

and by the  $J/\psi \rightarrow \mu^+\mu^-$  branching fraction. In summary:

$$N_S = N_{J/\psi} \cdot \frac{\mathcal{B}(\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-)}{\mathcal{B}(\Lambda_b^0 \rightarrow J/\psi\Lambda) \cdot \mathcal{B}(J/\psi \rightarrow \mu^+\mu^-)}. \quad (3.4)$$

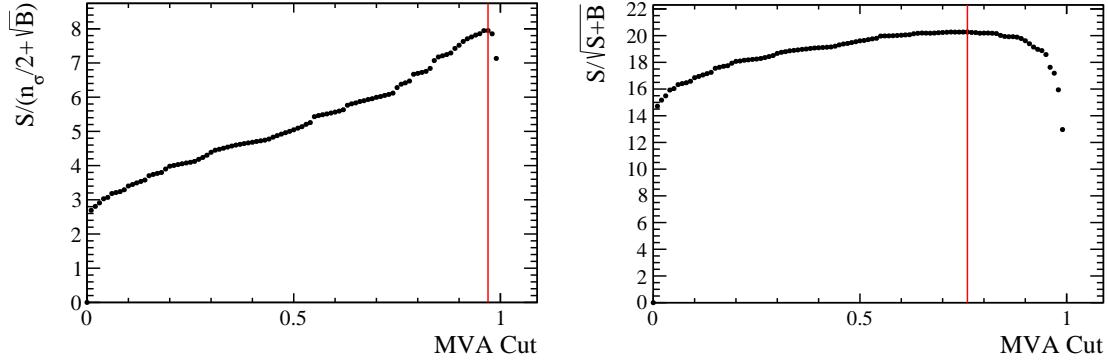


Figure 3.8: Dependence of the figure-of-merits on the neural network output requirement for the low  $q^2$  (left) and high  $q^2$  (right) regions. The vertical lines correspond to the chosen cuts.

1128 The number of expected background events instead is derived fitting the data side-  
 1129 band with an exponential and extrapolating under the signal region.

1130 In the low  $q^2$  region, where the signal is unobserved, the so called “Punzi figure-of-  
 1131 merit”,  $N_S/(n_\sigma/2 + \sqrt{N_B})$ , is maximised [92]. This figure-of-merit is considered to be  
 1132 optimal for discovery and the parameter  $n_\sigma$  corresponds to the number of expected  
 1133 standard deviations of significance, in this analysis  $n_\sigma = 3$  is used. Moreover,  
 1134 the Punzi shape does not depend on the relative normalisation between signal and  
 1135 background, which is important since the signal is still unobserved at low  $q^2$  and the  
 1136 existing predictions vary significantly for this region. The dependence of the figure-  
 1137 of-merit for both  $q^2$  regions is shown in Fig. 3.8, and curves of signal efficiency versus  
 1138 background rejection are shown in Fig. 3.9.

1139 For final selection the neural network output is required to be larger than 0.76  
 1140 for candidates in the high  $q^2$  region and 0.97 for the low  $q^2$  ones. Using these  
 1141 requirements the neural network retains approximately 96% (66 %) of downstream  
 1142 candidates and 97 % (82 %) of long candidates for the high (low)  $q^2$  selection,  
 1143 with respect to the pre-selected samples. After full selection  $\sim 0.5\%$  of the events  
 1144 contain multiple candidates which are randomly rejected keeping only one candidate  
 1145 per event. To normalise the branching ratio measurement  $J/\psi$  events are selected  
 1146 using the low and high  $q^2$  requirements to normalise respectively low and high  $q^2$   
 1147 intervals.

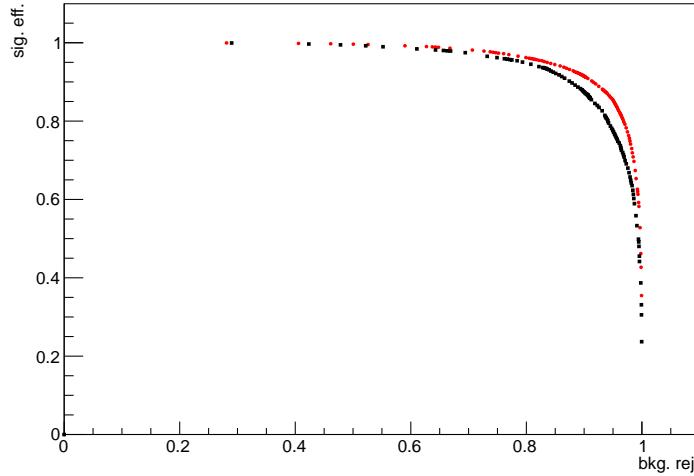


Figure 3.9: Receiver operating characteristic (ROC) curves for low  $q^2$  (black) and high  $q^2$  (red). They show the signal efficiency versus the background rejection. The optimal points on these curves are the closest ones to (1,1).

#### 1148 3.4.4 Trigger

1149 Finally, specific trigger lines are selected, corresponding to events triggered by muons  
 1150 which formed the reconstructed candidate. This is denoted as Trigger On Signal  
 1151 (TOS). The trigger lines used in the analysis are listed in Tab. 3.3. The logical *or*  
 1152 of the lines on the same lever is required and the logical *and* of those on different  
 1153 levels. The L0Muon trigger requires hits in the muon detector and triggers if a muon  
 1154 with  $p_T > 1.5$  GeV/ $c$  is identified. L0Dimuon imposes the same requirement on the  
 1155 sum of the transverse momenta of two tracks. The Hlt1TrackAllL0 performs a  
 1156 partial reconstruction of the events and applies basic requirements on the IP,  $\chi^2$   
 1157 and  $p_T$  of tracks; it triggers if the L0 decision is confirmed. Hlt1TrackMuon applies  
 1158 looser requirements but in addition requires the `isMuon` variable (see Sec. 2.8) to be  
 1159 true to limit the yield. Finally, at the Hlt2 level, a complete reconstruction is done  
 1160 and a multivariate analysis is used to identify decay structures. One of the main  
 1161 variables used at this stage is the Distance Of Closest Approach (DOCA), which is  
 1162 required to be less than 0.2 mm to form a 2-body object.

Table 3.3: Summary of trigger lines which candidates have to pass at various trigger levels. Trigger is always required to be due to tracks of the candidate itself.

Trigger Level	Lines
L0	LOMuon LODiMuon
Hlt1	Hlt1TrackAllL0 Hlt1TrackMuon
Hlt2	Hlt2Topo [2-4] BodyBBDT Hlt2TopoMu [2-4] BodyBBDT Hlt2SingleMuon Hlt2DiMuonDetached

### 1163 3.4.5 Background from specific decays

1164 Candidates from other decays can be reconstructed as the decays of interest if par-  
 1165 ticles are not reconstructed or mis-identified. A survey of possible backgrounds  
 1166 concluded that the only physics background to take into account comes from mis-  
 1167 reconstructed decays of  $B^0$  to  $K_s^0$  with two muons in the final state, whether via  
 1168  $J/\psi$  or not, where the  $K_s^0$  is reconstructed as a  $\Lambda$  with a  $p \rightarrow \pi$  identity swap.  
 1169 The lack of background from other decays is mainly due to the particular topol-  
 1170 ogy of the  $\Lambda$  decay, which is long-lived and decays at a displaced vertex. To study  
 1171 the effect of misreconstructed  $B^0 \rightarrow J/\psi K_s^0$  and  $B^0 \rightarrow K_s^0 \mu^+ \mu^-$  decays simulated  
 1172 samples are used. On data the  $B^0 \rightarrow J/\psi K_s^0$  contribution is clearly visible in the  
 1173 resonant channel mass distribution. This background is not suppressed with specific  
 1174 cuts in this analysis as its mass shape is sufficiently distinct from the  $\Lambda_b^0$  signal and  
 1175 its contribution can be reliably modelled in the mass fits (see Sec. 3.5.1). For the  
 1176 rare case a rough estimate of the  $K_s^0$  background size is obtained using the yield in  
 1177 the resonant channel rescaled by the measured ratio between the rare and resonant  
 1178 branching fractions. Details are given in Sec. 3.5.1 and numbers of events predicted  
 1179 are reported in Tab. 3.4. This contribution, although close to negligible is again  
 1180 considered in the fit. A possible pollution due to  $B^+ \rightarrow \mu^+ \mu^- K^{*+}$  decays, where  
 1181 the  $K^{*+}$  further decays into  $K_s^0 \pi$  is also investigated using a dedicated simulated  
 1182 sample and found to be negligible. Finally,  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  events radiating photons  
 1183 from the final state, can escape the  $J/\psi$  veto and be reconstructed in the rare chan-

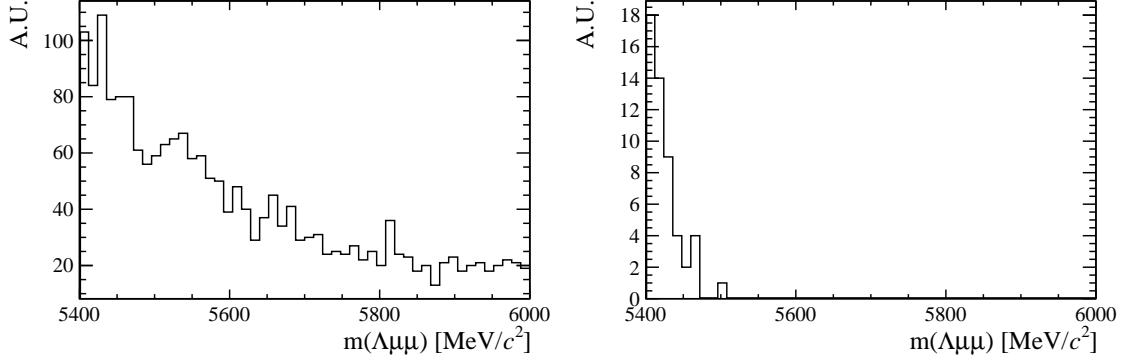


Figure 3.10: Invariant mass distributions of simulated  $B^+ \rightarrow \mu^+ \mu^- K^{*+}$  (left) and  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  (right) candidates passing the full selection. Only  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  candidates reconstructed in  $q^2 < 8 \text{ GeV}^2/c^4$  are selected. Distributions are shown in the invariant mass range relevant for the analysis (see Sec. 3.5.1).

nel sample. Analysing simulated events it was found that the only contribution is in the closest  $q^2$  interval to the  $J/\psi$  tail,  $6 < q^2 < 8 \text{ GeV}^2/c^4$ . In this interval 1.3% of the  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  candidates are reconstructed but only 0.06% fall into the 4-body invariant mass window used for the fits. This corresponds to  $\sim 6$  events, 4 of which in the downstream category. Given the low yield and that these events do not peak under the signal but show a decaying distribution at the edge of the fit mass window, this background is considered as absorbed in the combinatorial background. Figure 3.10 shows the invariant mass distribution of simulated  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  events falling into the rare  $q^2$  region and the distribution of simulated  $B^+ \rightarrow \mu^+ \mu^- K^{*+}$  events mis-reconstructed as  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  decays.

### 3.5 Yield extraction

Extended unbinned maximum likelihood fits are used to extract the yields of the rare and resonant channels. The likelihood has the form:

$$\mathcal{L} = e^{-(N_S + N_C + N_B)} \times \prod_{i=1}^N [N_S P_S(m_i) + N_C P_C(m_i) + N_B P_B(m_i)] \quad (3.5)$$

where  $N_S$ ,  $N_C$  and  $N_B$  are respectively the numbers of signal, combinatorial and  $K_s^0$  background events and the  $P_i(m_i)$  are the corresponding probability density functions (PDF). The fit variable is the 4-body  $m(p\pi\mu\mu)$  invariant mass obtained from a kinematical fit of the full decay chain in which each particle is constrained to point to its assigned origin vertex and the invariant mass of the  $p\pi$  system is constrained to be equal to the world average for the  $\Lambda$  baryon mass. In the resonant case a further constrain is used on the dimuon mass to be equal to the known  $J/\psi$  mass. This method allows to improve the mass resolution giving better defined peaks and therefore a more stable fit. For brevity, in the following these variables are simply referred to as “invariant mass”.

### 3.5.1 Fit description

The fit is performed though the following steps:

- simulated distributions are fit to extract initial parameters;
- the resonant data sample is fitted;
- the rare sample is fitted fixing some parameters to those obtained in the previous cases.

In the first step simulated  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  distributions are fitted using the signal PDF alone. This is done separately for long and downstream candidates. Figure 3.11 shows distributions of candidates selected in the resonant sample with the fit function overlaid. The signal is described as the sum of two Crystal Ball functions (CB) with common mean ( $m_0$ ) and tail slope ( $n$ ). This is also known as Double Crystal Ball (DCB) function. A single Crystal Ball [93] is a probability density function commonly used to model processes involving energy loss. In particular it is used to describe resonances’ peaks with radiative tails. This function consists of a Gaussian

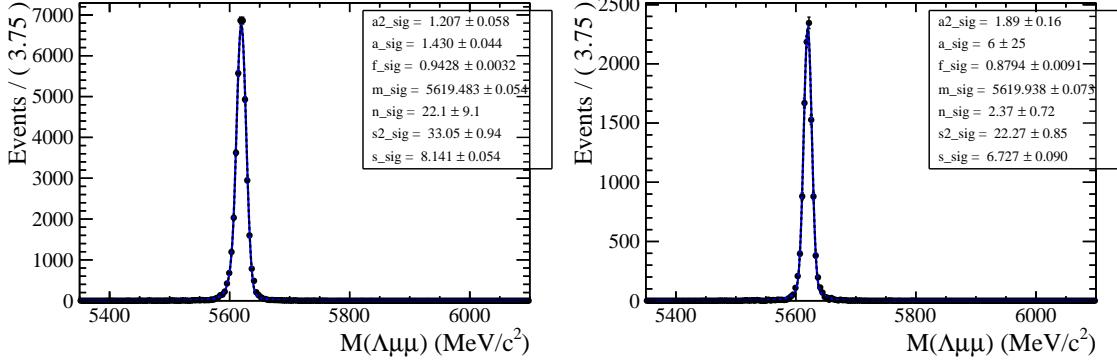


Figure 3.11: Invariant mass distribution of  $\Lambda_b^0 \rightarrow \Lambda J/\psi$  downstream (left) long (right) candidates. The points show simulated data and the blue line is the signal fit function.

1221 core and a power-law tail below a certain threshold and has form

$$C(x; \alpha, n, \bar{x}, \sigma) = N \cdot \begin{cases} \exp\left(-\frac{(x-\bar{x})^2}{2\sigma}\right) & \text{if } \frac{(x-\bar{x})}{\sigma} > \alpha, \\ A \left(B - \frac{(x-\bar{x})}{\sigma}\right)^{-n} & \text{if } \frac{(x-\bar{x})}{\sigma} < \alpha, \end{cases} \quad (3.6)$$

1222 where for normalisation and continuity

$$\begin{aligned} A &= \left(\frac{c}{|\alpha|}\right)^n \cdot \exp\left(-\frac{\alpha^2}{2}\right), \\ B &= \frac{n}{|\alpha|} - |\alpha|. \end{aligned} \quad (3.7)$$

1223 The full PDF for the resonant channel is therefore:

$$P_S(m; m_0, \alpha_1, \alpha_2, f, n) = f \text{CB}(m; m_0, \sigma_1, \alpha_1, n) + (1-f) \text{CB}(m; m_0, \sigma_2, \alpha_2, n), \quad (3.8)$$

1224 where  $f$  is the relative fraction of candidates falling into the first CB function.

1225 In a second step the fit to the resonant channel data sample is performed. For this fit  
1226 the tail slope parameter, “ $n$ ”, which is highly correlated with  $\alpha_1$  and  $\alpha_2$ , is fixed to  
1227 the value found in the fit to simulated data. In this fit two background components  
1228 are modelled: the combinatorial background, parameterized with an exponential  
1229 and the background from  $B^0 \rightarrow J/\psi K_s^0$  decays. The shape used to describe the  
1230  $K_s^0$  background is obtained from a  $B^0 \rightarrow J/\psi K_s^0$  simulated sample to which the  
1231 full selection is applied. The invariant distribution of these events is fit with a DCB

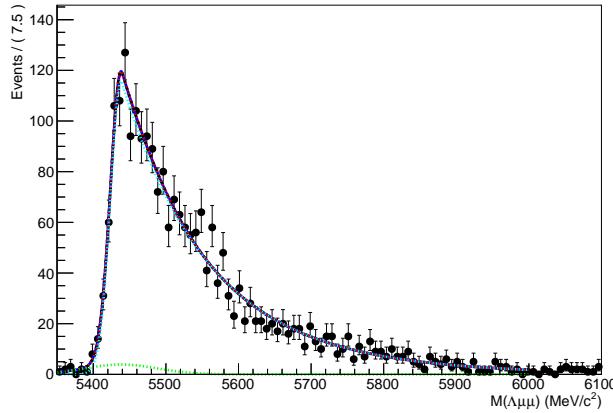


Figure 3.12: Invariant mass distribution of simulated  $B^0 \rightarrow J/\psi K_s^0$  events after full selection fitted a Double Crystal Ball function.

function, which is then used to model the  $K_s^0$  background in the  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  fit. The fit to the simulated  $B^0 \rightarrow J/\psi K_s^0$  events is reported in Fig. 3.12. When the  $K_s^0$  shape is introduced in the fit to the data all its parameters are fixed. This is particularly important when fitting long candidates, where the  $K_s^0$  peak is less evident, which does not allow to constrain many parameters. On the other hand, in order to take into account possible data-simulation differences, an horizontal shift is added and left floating (by adding a constant to the central value of the DCB,  $m_0 \rightarrow m_0 + m'$ ). In summary, the free parameters in the fit to the resonant  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  sample are the yields of the signal and the combinatorial and  $K_s^0$  backgrounds, the slope of the exponential and the horizontal shift of the  $K_s^0$  shape. Note that all parameters of the fit to the long and downstream samples are independent.

Finally, the rare  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  data sample is fit. In this case the fit to the long and downstream samples is performed simultaneously to obtain a more stable convergence. In this fit the signal is modelled with the same shape used in the resonant case as there is no physical reason why they should be different. This method is also useful to limit systematic uncertainties as the result will be given as a ratio between rare and resonant quantities. However, the low statistics for the rare sample does not allow to constrain many parameters. Therefore, all parameters of the signal shape are fixed to the ones derived from the fit to the normalisation channel.

1251 However, to account for possible differences, arising from a different resolution in  
 1252 different  $q^2$  regions, a scale factor is multiplied to the widths of the two gaussian  
 1253 cores of the signal DCB:  $\sigma_1 \rightarrow c \cdot \sigma_1$  and  $\sigma_2 \rightarrow c \cdot \sigma_2$ , where the two scale factors  
 1254 are the same. This factors are fixed in the fit to data by fitting rare  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$   
 1255 simulated events in each  $q^2$  bin and comparing the widths with the ones found on  
 1256 the fit to the resonant simulated sample, namely

$$c = \sigma_{\mu^+\mu^-}^{MC} / \sigma_{J/\psi}^{MC}. \quad (3.9)$$

1257 Values obtained are  $\sim 1.9$  for downstream candidates and  $\sim 2.3$  for long candidates,  
 1258 corresponding to the fact that in the resonant case a further constrain on the dimuon  
 1259 mass is used, which improves the resolution by a factor of  $\sim 2$ . The dependence of  
 1260 the scaling factor on  $q^2$  is found to be small. For the fits on the long and downstream  
 1261 samples the parameters are always fixed to the corresponding  $J/\psi$  fit; in this analysis  
 1262 shape parameters are never shared between the two candidate categories.

1263 Also in the rare case the modelled background components are the combinatorial  
 1264 background, described with an exponential function and the  $K_s^0$  background. The  
 1265 slope of the background is visibly different depending on the  $q^2$  interval. This is  
 1266 partly due to the fact that at high  $q^2$  the combinatorial changes slope because of  
 1267 a kinematical limit at low 4-body masses imposed by the  $q^2$  requirements. The  
 1268 exponential slopes are therefore left as independent parameters in each  $q^2$  interval.  
 1269 The background component from  $B^0 \rightarrow K_s^0\mu^+\mu^-$  decays is modelled using the same  
 1270 shapes used for the resonant channel. However, in this case the horizontal shift is  
 1271 fixed to what found for the resonant channel. The expected amount of misrecon-  
 1272 structed  $B^0 \rightarrow K_s^0\mu^+\mu^-$  events is small and does not allow to determine reliably the  
 1273 yield. Therefore this is fixed to the yield of  $B^0 \rightarrow J/\psi K_s^0$  decays rescaled by the  
 1274 expected ratio of branching fractions between the resonant and rare channels. The  
 1275  $q^2$  distribution of  $B^0 \rightarrow K_s^0\mu^+\mu^-$  simulated events is used to predict the yield as a  
 1276 function of  $q^2$ . Table 3.4 reports the number of predicted  $B^0 \rightarrow K_s^0\mu^+\mu^-$  events in

Table 3.4: Predicted numbers of  $B^0 \rightarrow K_s^0 \mu^+ \mu^-$  events in each considered  $q^2$  interval.

$q^2$ interval [GeV $^2/c^4$ ]	Downstream	Long
0.1–2.0	0.9	0.1
2.0–4.0	0.9	0.1
4.0–6.0	0.8	0.1
6.0–8.0	1.1	0.1
11.0–12.5	1.9	0.2
15.0–16.0	1.1	0.1
16.0–18.0	2.0	0.2
18.0–20.0	1.1	0.1
1.1–6.0	2.1	0.1
15.0–20.0	4.2	0.5

1277 each  $q^2$  interval obtained with the following formula:

$$N_{K_s^0 \mu^+ \mu^-}(q^2) = N_{J/\psi K_s^0} \frac{B(B^0 \rightarrow K_s^0 \mu^+ \mu^-)}{B(B^0 \rightarrow K_s^0 J/\psi)} \cdot \frac{1}{\epsilon_{rel}} \cdot B(J/\psi \rightarrow \mu^+ \mu^-) \frac{N(q^2)_{MC}}{N_{MC}^{tot}} \quad (3.10)$$

1278 where  $N(q^2)_{MC}$  is the number of simulated rare candidates falling in a  $q^2$  interval  
1279 after full selection and  $N_{MC}^{tot}$  is the total number of simulated events.

1280 As the fit on the rare sample is performed simultaneously on long and downstream  
1281 candidates, their two yields are not free to vary separately but are parameterised as  
1282 a function of the common branching fraction using the following formula:

$$N(\Lambda \mu^+ \mu^-)_k = \left[ \frac{d\mathcal{B}(\Lambda \mu^+ \mu^-)/dq^2}{\mathcal{B}(J/\psi \Lambda)} \right] \cdot N(J/\psi \Lambda)_k \cdot \varepsilon_k^{rel} \cdot \frac{\Delta q^2}{\mathcal{B}(J/\psi \rightarrow \mu^+ \mu^-)}, \quad (3.11)$$

1283 where  $k = (\text{LL}, \text{DD})$ ,  $\Delta q^2$  is the width of the  $q^2$  interval and the only free parameter  
1284 is the relative branching fraction ratio of the rare over  $J/\psi$  channels. For the  
1285 branching fraction of the  $J/\psi \rightarrow \mu^+ \mu^-$  decay the value reported in the PDG book,  
1286  $(5.93 \pm 0.06) \cdot 10^{-2}$  [2] is used and  $\varepsilon^{rel}$  corresponds to the relative efficiency between  
1287 the rare and resonant channels obtained in Sec. 3.6. In this formula the efficiencies  
1288 and the normalisation yield appear as constants, namely  $N(\Lambda \mu^+ \mu^-)_k = C_k \cdot \mathcal{B}^{rel}$ .

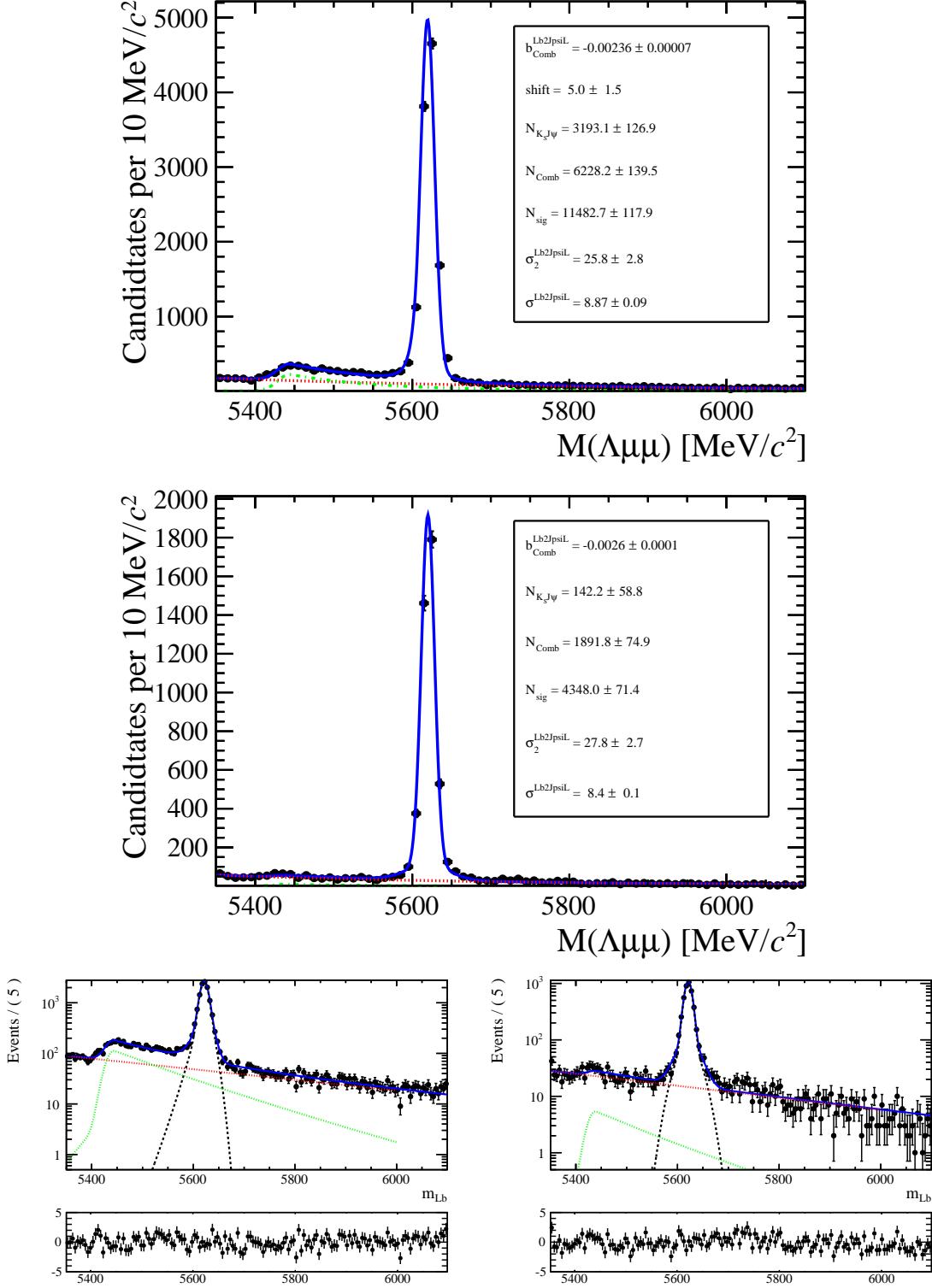


Figure 3.13: Invariant mass distributions of  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  downstream (top) and long (middle) candidates selected with high  $q^2$  requirements. Bottom plots are the same as the upper ones but shown in logarithmic scale. Black points show data. The blue solid line represents the total fit function, the black dashed line the signal, the red dashed line the combinatorial background and the green dashed line the  $B^0 \rightarrow K_s^0 \mu^+ \mu^-$  background.

Table 3.5: Number of  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  candidates in the long and downstream categories found using the low- and high- $q^2$  requirements. Uncertainties shown are statistical only.

Selection	Long	Downstream
high- $q^2$	$4313 \pm 70$	$11\,497 \pm 123$
low- $q^2$	$3363 \pm 59$	$7225 \pm 89$

### 1289 3.5.2 Fit results

1290 Figures 3.13 and 3.14 show fitted invariant mass distributions for the normalisation  
 1291 channel, selected with the high  $q^2$  and low  $q^2$  requirements respectively. Table 3.5  
 1292 reports the measured yields of  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  candidates found using the low and high  
 1293  $q^2$  selections. Values for the signal shape parameters are shown on Fig. 3.13. Fits to  
 1294 the rare  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  samples are shown in Fig. 3.15 for the integrated  $15 < q^2 < 20$   
 1295 and  $1.1 < q^2 < 6.0$  GeV $^2/c^4$   $q^2$  intervals, while fitted invariant mass distribution in  
 1296 all other considered  $q^2$  intervals are in Figs. 3.16 and 3.17 for downstream and long  
 1297 candidates respectively. The yields of rare candidates obtained from the fit are  
 1298 listed in Tab. 3.6 together with their significances. Most candidates are found in the  
 1299 downstream sample, which comprises  $\sim 80\%$  of the total yield. Note that, since the  
 1300 fit is simultaneous to the two candidate categories, their yields are not parameters  
 1301 free to float independently in the fit but are correlated via the branching ratio. The  
 1302 statistical significance of the observed signal yields is evaluated as  $\sqrt{2\Delta \ln \mathcal{L}}$ , where  
 1303  $\Delta \ln \mathcal{L}$  is the change in the logarithm of the likelihood function when the signal  
 1304 component is excluded from the fit, relative to the nominal fit in which it is present.

Table 3.6: Signal yields ( $N_S$ ) obtained from the mass fit to  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  candidates in each  $q^2$  interval together with their statistical significances. The  $8 - 11$  and  $12.5 - 15$   $\text{GeV}^2/c^4$   $q^2$  intervals are excluded from the study as they are dominated by decays via charmonium resonances.

$q^2$ interval [ $\text{GeV}^2/c^4$ ]	DD	LL	Tot. yield	Significance
0.1 – 2.0	$6.9 \pm 2.2$	$9.1 \pm 3.0$	$16.0 \pm 5.3$	4.4
2.0 – 4.0	$1.8 \pm 1.7$	$3.0 \pm 2.8$	$4.8 \pm 4.7$	1.2
4.0 – 6.0	$0.4 \pm 0.9$	$0.6 \pm 1.4$	$0.9 \pm 2.3$	0.5
6.0 – 8.0	$4.3 \pm 2.0$	$7.2 \pm 3.3$	$11.4 \pm 5.3$	2.7
11.0 – 12.5	$14.6 \pm 2.9$	$42.8 \pm 8.5$	$60 \pm 12$	6.5
15.0 – 16.0	$13.5 \pm 2.2$	$43.5 \pm 7.2$	$57 \pm 9$	8.7
16.0 – 18.0	$28.6 \pm 3.3$	$88.8 \pm 10.1$	$118 \pm 13$	13
18.0 – 20.0	$22.4 \pm 2.6$	$78.0 \pm 8.9$	$100 \pm 11$	14
1.1 – 6.0	$3.6 \pm 2.4$	$5.7 \pm 3.8$	$9.4 \pm 6.3$	1.7
15.0 – 20.0	$64.6 \pm 4.7$	$209.6 \pm 15.3$	$276 \pm 20$	21

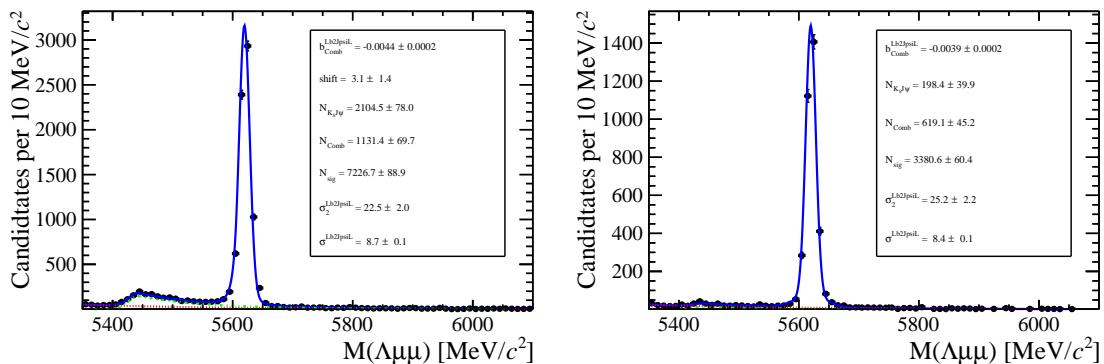


Figure 3.14: Invariant mass distribution of  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  for downstream (left) and long (right) candidates selected with low  $q^2$  requirements.

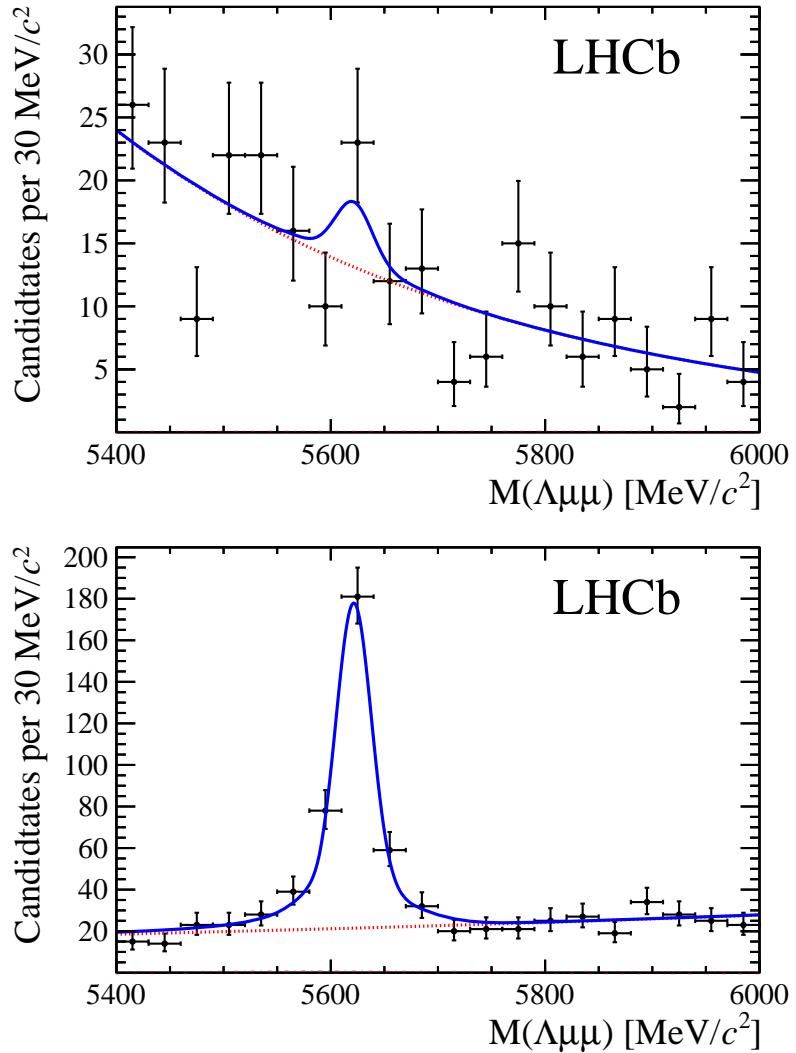


Figure 3.15: Invariant mass distributions of  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  candidates in the integrated  $0.1$ – $6.0$   $\text{GeV}^2/c^4$  (top) and  $15$ – $20$   $\text{GeV}^2/c^4$  (bottom)  $q^2$  intervals. Points show data combining downstream and long candidates together. The blue solid line represents the total fit function and the dashed red line the combinatorial background.

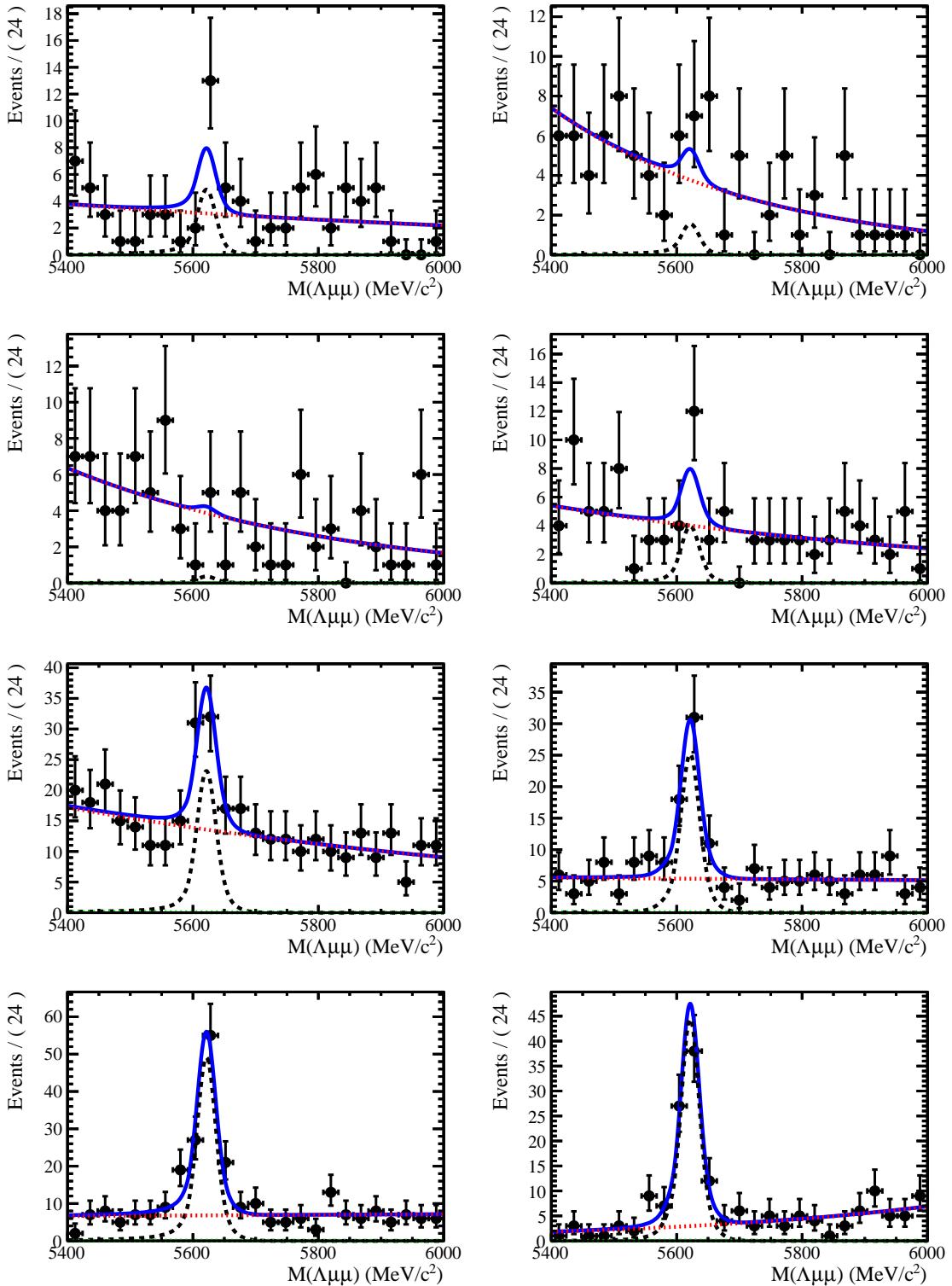


Figure 3.16: Invariant mass distributions of rare  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  candidates in the considered  $q^2$  bins for downstream candidates.

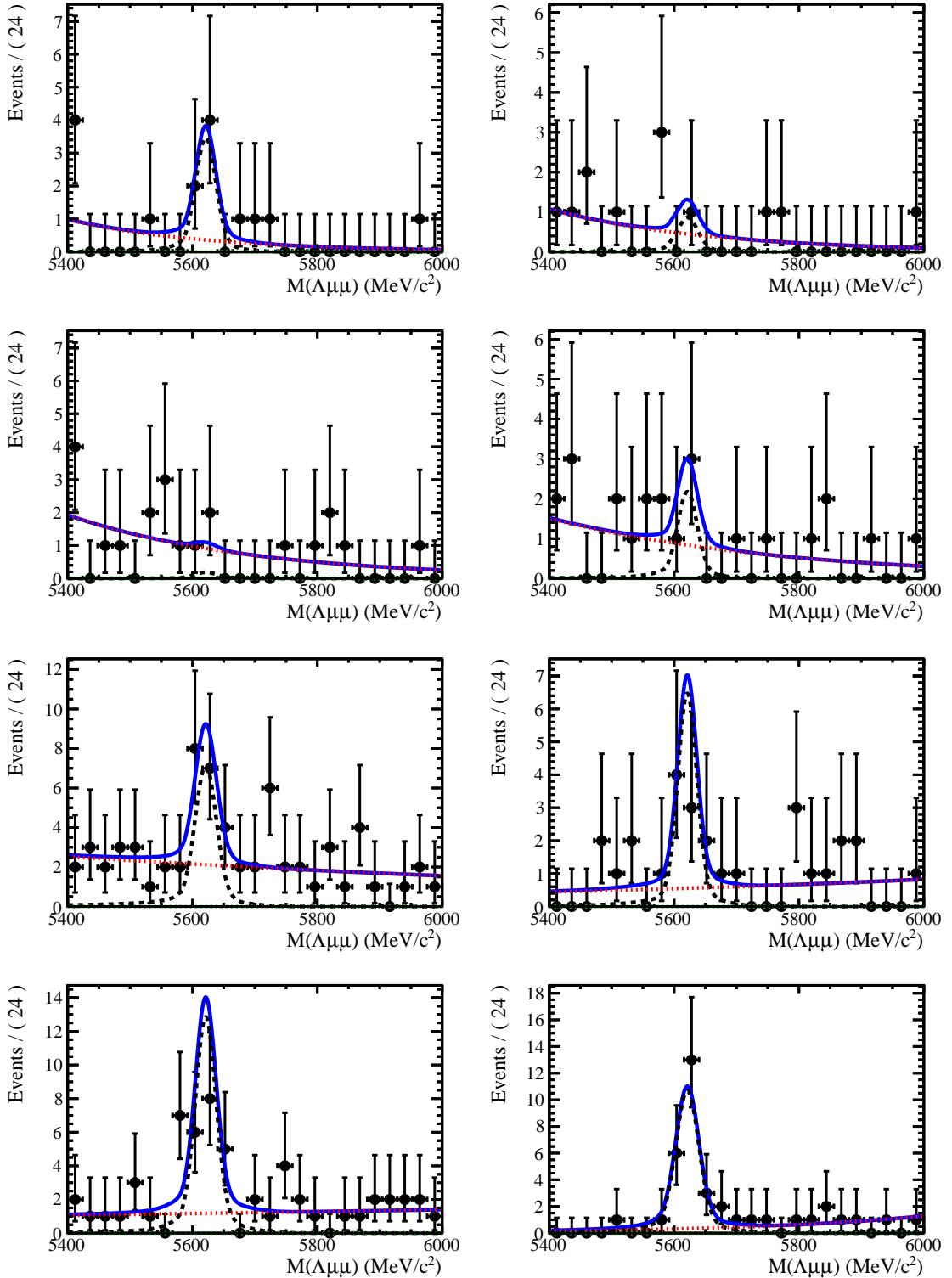


Figure 3.17: Invariant mass distributions of rare  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  candidates in the considered  $q^2$  bins for long candidates.

<sub>1305</sub> **3.6 Efficiency**

<sub>1306</sub> The selection efficiency is calculated for each decay according to the formula

$$\varepsilon^{tot} = \varepsilon(Geom)\varepsilon(Det|Geom)\varepsilon(Reco|Det)\epsilon(MVA|Reco)\varepsilon(Trig|MVA). \quad (3.12)$$

<sub>1307</sub> In this expression the first term gives the efficiency to have final state particles  
<sub>1308</sub> in the LHCb acceptance. The second term handles the possibility of  $\Lambda$  escaping  
<sub>1309</sub> the detector or interacting with it and therefore never decaying into  $p\pi$ ; this term  
<sub>1310</sub> is referred to as “detection” efficiency. The third term carries information about  
<sub>1311</sub> the reconstruction and pre-selection efficiencies, which are kept together given that  
<sub>1312</sub> boundaries between them are completely artificial. The fourth part deals with the  
<sub>1313</sub> efficiency of the Neural Network for those events which passed the pre-selection.  
<sub>1314</sub> Finally, the last term handles the trigger efficiency for events which are accepted  
<sub>1315</sub> by the full selection. Most of the efficiency components are evaluated using the  
<sub>1316</sub> simulated samples described in Sec. 3.3. Only the efficiency of the PID requirement  
<sub>1317</sub> for the proton (see Tab. 3.1) is separately derived with a data–driven method because  
<sub>1318</sub> the simulation does not provide a good description of PID variables. For complete  
<sub>1319</sub> information, all absolute efficiencies for the two decays  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  and  $\Lambda_b^0 \rightarrow J/\psi\Lambda$   
<sub>1320</sub> are separately listed in the next subsections. However, for the analysis itself only  
<sub>1321</sub> the relative efficiency,  $\varepsilon(\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-)/\varepsilon(\Lambda_b^0 \rightarrow J/\psi\Lambda)$ , is used.

<sub>1322</sub> **3.6.1 Geometric acceptance**

<sub>1323</sub> In order to save disk space and time only events are simulated in which the final  
<sub>1324</sub> muons are in the detector acceptance and therefore can be reconstructed. This corre-  
<sub>1325</sub> sponds to a requirement for each of the muons to be in an interval  $10 < \theta < 400$  mrad,  
<sub>1326</sub> where  $\theta$  is the angle between the muon momentum and the beam line. The efficiency  
<sub>1327</sub> of this requirement is obtained by using a separate simulated sample, where events  
<sub>1328</sub> are generated in the full space. In Tab. 3.7 the efficiencies due to the geometrical  
<sub>1329</sub> acceptance are listed in bins of  $q^2$  for  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decays.

Table 3.7: Absolute geometrical acceptance in bins of  $q^2$  derived from generator level simulated samples. Uncertainties are statistical only.

$q^2$ [ GeV $^2/c^4$ ]	Geom. acc.
0.1–2.0	$0.2359 \pm 0.0008$
2.0–4.0	$0.2098 \pm 0.0007$
4.0–6.0	$0.2008 \pm 0.0007$
6.0–8.0	$0.1960 \pm 0.0008$
11.0–12.5	$0.1897 \pm 0.0010$
15.0–16.0	$0.1896 \pm 0.0015$
16.0–18.0	$0.1872 \pm 0.0012$
18.0–20.0	$0.1870 \pm 0.0016$
1.1–6.0	$0.2072 \pm 0.0005$
15.0–20.0	$0.1876 \pm 0.0008$

### 1330 3.6.2 Reconstruction and neural network efficiencies

1331 The efficiency to reconstruct the decays together with the pre-selection requirements  
 1332 is evaluated from simulated data. Table 3.8 reports values of reconstruction effi-  
 1333 ciency in bins of  $q^2$  for long and downstream candidates. In the table the efficiency  
 1334 is subdivided in “Detection” and “Reconstruction and pre-selection” efficiencies. In  
 1335 fact, since  $\Lambda$  is a long lived particle, there is a non-negligible probability that it  
 1336 interacts in the detector or escapes from it and therefore never decays in proton  
 1337 and pion. The reconstruction efficiency includes the efficiency of for the tracks to  
 1338 produce observable signatures and the efficiency for candidates to pass the pre-  
 1339 selection requirements. This component does not include the efficiency of the PID  
 1340 cut that appears in Tab. 3.1, which is kept separate because PID variables are not  
 1341 well described by the simulation. The NN selection efficiency is again evaluated  
 1342 from simulated samples. Results are shown in Tab. 3.9 in bins of  $q^2$ . The sudden  
 1343 jump in efficiency at  $\sim 9$  GeV/ $c^2$  is due to the fact that a different figure-of-merit is  
 1344 used to optimise the NN cut in the low and high  $q^2$  regions, which results in different  
 1345 efficiencies.

Table 3.8: Absolute detection and reconstruction plus stripping efficiencies. Reconstruction efficiency is given separately for downstream and long candidates. Uncertainties are statistical only.

$q^2$ [GeV $^2/c^4$ ]	Detection	Reco and pre-sel (DD)	Reco and pre-sel (LL)
0.1–2.0	$0.8793 \pm 0.0005$	$0.0519 \pm 0.0006$	$0.0194 \pm 0.0004$
2.0–4.0	$0.8850 \pm 0.0004$	$0.0664 \pm 0.0006$	$0.0195 \pm 0.0004$
4.0–6.0	$0.8902 \pm 0.0004$	$0.0717 \pm 0.0007$	$0.0209 \pm 0.0004$
6.0–8.0	$0.8962 \pm 0.0005$	$0.0756 \pm 0.0007$	$0.0212 \pm 0.0004$
11.0–12.5	$0.9084 \pm 0.0006$	$0.0799 \pm 0.0009$	$0.0221 \pm 0.0005$
15.0–16.0	$0.9187 \pm 0.0009$	$0.0736 \pm 0.0012$	$0.0179 \pm 0.0007$
16.0–18.0	$0.9247 \pm 0.0007$	$0.0696 \pm 0.0010$	$0.0169 \pm 0.0005$
18.0–20.0	$0.9318 \pm 0.0009$	$0.0600 \pm 0.0011$	$0.0136 \pm 0.0006$
1.1–6.0	$0.8868 \pm 0.0003$	$0.0684 \pm 0.00041$	$0.0202 \pm 0.0002$
15.0–20.0	$0.9260 \pm 0.0005$	$0.0669 \pm 0.00063$	$0.0159 \pm 0.0003$

Table 3.9: Neural network selection efficiency. Uncertainties are statistical only.

$q^2$ [GeV $^2/c^4$ ]	NN eff. (DD)	NN eff. (LL)
0.1–2.0	$0.623 \pm 0.008$	$0.813 \pm 0.011$
2.0–4.0	$0.583 \pm 0.007$	$0.757 \pm 0.011$
4.0–6.0	$0.584 \pm 0.007$	$0.776 \pm 0.011$
6.0–8.0	$0.588 \pm 0.007$	$0.778 \pm 0.011$
11.0–12.5	$0.888 \pm 0.005$	$0.944 \pm 0.007$
15.0–16.0	$0.882 \pm 0.007$	$0.929 \pm 0.012$
16.0–18.0	$0.847 \pm 0.007$	$0.928 \pm 0.009$
18.0–20.0	$0.831 \pm 0.009$	$0.889 \pm 0.016$
1.1–6.0	$0.584 \pm 0.005$	$0.772 \pm 0.007$
15.0–20.0	$0.849 \pm 0.005$	$0.917 \pm 0.007$

### <sup>1346</sup> 3.6.3 Trigger efficiency

<sup>1347</sup> The trigger efficiency is again calculated using a simulated sample. Using the res-  
<sup>1348</sup> onant channel it is possible to crosscheck on data the efficiency obtained using the  
<sup>1349</sup> simulation. In LHCb triggered events can fall in two categories: events triggered by  
<sup>1350</sup> a track which is part of a signal candidate, Trigger On Signal (TOS), or by other  
<sup>1351</sup> tracks in the event, Trigger Independent of Signal (TIS). As the TIS and TOS cate-  
<sup>1352</sup> gories are not exclusive the TIS sample provides a control sample which can be used  
<sup>1353</sup> to obtain the efficiency for TOS trigger. This is calculated with the formula:

$$\varepsilon_{TOS} = \frac{TIS \& TOS}{TIS}. \quad (3.13)$$

1354 As data contains background the numbers of signal candidates in the “TIS” and  
1355 “TIS  $\&\&$  TOS” categories are not just determined by counting events but from a fit  
1356 to the 4-body invariant mass,  $m(p\pi\mu\mu)$ . This procedure takes the name of TISTOS  
1357 method. Using the data-driven method an efficiency of  $(70 \pm 5)\%$  is obtained, while  
1358 this is calculated to be  $(73.33 \pm 0.02)\%$  using the simulation. Results are therefore  
compatible within  $1\sigma$ .

Table 3.10: Absolute trigger efficiencies for selected events as determined from the simulation separately for downstream and long events.

$q^2$ [GeV $^2/c^4$ ]	Trigger eff. (DD)	Trigger eff. (LL)
0.1–2.0	$0.560 \pm 0.008$	$0.577 \pm 0.012$
2.0–4.0	$0.606 \pm 0.006$	$0.651 \pm 0.010$
4.0–6.0	$0.623 \pm 0.006$	$0.674 \pm 0.010$
6.0–8.0	$0.669 \pm 0.006$	$0.706 \pm 0.010$
11.0–12.5	$0.744 \pm 0.006$	$0.738 \pm 0.011$
15.0–16.0	$0.818 \pm 0.008$	$0.826 \pm 0.015$
16.0–18.0	$0.836 \pm 0.006$	$0.860 \pm 0.011$
18.0–20.0	$0.857 \pm 0.008$	$0.863 \pm 0.015$
1.1–6.0	$0.610 \pm 0.004$	$0.653 \pm 0.007$
15.0–20.0	$0.839 \pm 0.004$	$0.853 \pm 0.008$

1359

### 1360 3.6.4 PID efficiency

1361 For long tracks a PID requirement on protons ( $\text{PID}_p > -5$ ) is applied. The simula-  
1362 tion is known not to describe particle ID variables well and therefore a data-driven  
1363 method is used to obtain this efficiency component. This is done using the **PIDCalib**  
1364 package (see Sec. 2.8.1), which uses as calibrations samples decays where particles  
1365 can be identified due to their kinematic properties. In the case of protons a sample  
1366 of  $\Lambda$  particles is used, where the proton can be identified because it always has the  
1367 highest momentum. The package allows to divide the phase space in bins of variables  
1368 relevant for PID performances; in this analysis momentum and pseudorapidity are  
1369 used. Using the calibration sample the efficiency is derived in each two-dimensional  
1370 bin. Finally, to take into account that the decay channel under study could have  
1371 different kinematical distributions than the calibration sample these efficiency tables

<sup>1372</sup> are used to re-weight the simulation. Absolute PID efficiencies are listed in Tab. 3.11  
in bins of  $q^2$ .

Table 3.11: Absolute PID efficiencies in  $q^2$  bins

$q^2$ [ GeV $^2/c^4$ ]	PID efficiency
0.1–2.0	$97.32 \pm 0.012$
2.0–4.0	$97.42 \pm 0.012$
4.0–6.0	$97.59 \pm 0.011$
6.0–8.0	$97.70 \pm 0.010$
11.0–12.5	$98.04 \pm 0.009$
15.0–16.0	$98.31 \pm 0.006$
16.0–18.0	$98.10 \pm 0.005$
18.0–20.0	$98.11 \pm 0.001$
1.1–6.0	$97.49 \pm 0.007$
15.0–20.0	$98.17 \pm 0.003$
$J/\psi$	$97.89 \pm 0.005$

<sup>1373</sup>

### <sup>1374</sup> 3.6.5 Relative efficiencies

<sup>1375</sup> In the previous sections absolute efficiencies values were given for the rare channel  
<sup>1376</sup> in different  $q^2$  intervals. Figure 3.18 contains a summary of those values in these  
<sup>1377</sup> tables in graphical form. This section reports the corresponding relative efficiencies  
<sup>1378</sup> with respect to the  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  channel, which will be used to correct the yields  
<sup>1379</sup> and obtain the differential branching fraction. Table 3.12 reports the absolute effi-  
<sup>1380</sup> ciency values for the  $J/\psi$  channel used to derive the relative efficiencies. Relative  
<sup>1381</sup> geometric, detection and PID efficiencies are listed in Tab. 3.13, while Tabs. 3.15  
<sup>1382</sup> and 3.14 report relative reconstruction, trigger and NN efficiencies separately for  
<sup>1383</sup> downstream and long candidates. Since the latter three components are obtained  
<sup>1384</sup> from the same simulated sample their statistical errors are correlated. Therefore the  
<sup>1385</sup> total of the three is also reported as a single efficiency and labeled “Full Selection”.  
<sup>1386</sup> Finally, Tab. 3.18 reports the total of all relative efficiencies, which will be then  
<sup>1387</sup> used to correct the raw yields and calculate the differential branching fraction. Un-  
<sup>1388</sup> certainties reflect the statistics of both rare and resonant samples, while systematic  
<sup>1389</sup> uncertainties are discussed in next sections.

Table 3.12: Absolute efficiency values for  $\Lambda_b^0 \rightarrow J/\psi \Lambda$ . Uncertainties are statistical only.

Efficiency	Downstream	Long
Geometric	$0.1818 \pm 0.0003$	
Detection	$0.9017 \pm 0.0003$	
Reconstruction	$0.0724 \pm 0.0004$	$0.0203 \pm 0.0002$
MVA	$0.882 \pm 0.002$	$0.942 \pm 0.002$
Trigger	$0.697 \pm 0.003$	$0.734 \pm 0.005$
Full Selection	$0.0445 \pm 0.0003$	$0.0140 \pm 0.0002$
Total	$0.00729 \pm 0.00005$	$0.00230 \pm 0.00003$

Table 3.13: Relative geometric, detection and PID relative efficiencies between  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  and  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  decays. Uncertainties reflect the statistics of both samples.

$q^2$ [ GeV $^2/c^4$ ]	Geometric	Detection	PID
0.1–2.0	$1.2976 \pm 0.0050$	$0.9751 \pm 0.0006$	$0.99418 \pm 0.00013$
2.0–4.0	$1.1541 \pm 0.0043$	$0.9814 \pm 0.0005$	$0.99523 \pm 0.00013$
4.0–6.0	$1.1043 \pm 0.0044$	$0.9872 \pm 0.0006$	$0.99699 \pm 0.00012$
6.0–8.0	$1.0778 \pm 0.0045$	$0.9939 \pm 0.0006$	$0.99805 \pm 0.00011$
11.0–12.5	$1.0431 \pm 0.0058$	$1.0074 \pm 0.0007$	$1.00151 \pm 0.00010$
15.0–16.0	$1.0426 \pm 0.0084$	$1.0188 \pm 0.0010$	$1.00431 \pm 0.00008$
16.0–18.0	$1.0296 \pm 0.0068$	$1.0255 \pm 0.0008$	$1.00215 \pm 0.00008$
18.0–20.0	$1.0288 \pm 0.0087$	$1.0333 \pm 0.0010$	$1.00226 \pm 0.00005$
1.1–6.0	$1.1396 \pm 0.0031$	$0.9835 \pm 0.0004$	$0.99589 \pm 0.00009$
15.0–20.0	$1.0320 \pm 0.0048$	$1.0269 \pm 0.0006$	$1.00281 \pm 0.00006$

Table 3.14: Relative efficiencies between  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  and  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  decays for long events. Uncertainties reflect the statistics of both samples.

$q^2$ [ GeV $^2/c^4$ ]	Reco and strip	MVA	Trigger	Full Selection
0.1–2.0	$0.96 \pm 0.02$	$0.863 \pm 0.012$	$0.79 \pm 0.02$	$0.65 \pm 0.02$
2.0–4.0	$0.97 \pm 0.02$	$0.803 \pm 0.012$	$0.89 \pm 0.02$	$0.69 \pm 0.02$
4.0–6.0	$1.04 \pm 0.02$	$0.824 \pm 0.012$	$0.92 \pm 0.02$	$0.79 \pm 0.02$
6.0–8.0	$1.05 \pm 0.02$	$0.825 \pm 0.012$	$0.96 \pm 0.02$	$0.84 \pm 0.02$
11.0–12.5	$1.10 \pm 0.03$	$1.002 \pm 0.008$	$1.01 \pm 0.02$	$1.10 \pm 0.03$
15.0–16.0	$0.89 \pm 0.03$	$0.987 \pm 0.013$	$1.13 \pm 0.02$	$0.98 \pm 0.04$
16.0–18.0	$0.84 \pm 0.03$	$0.985 \pm 0.010$	$1.17 \pm 0.02$	$0.97 \pm 0.03$
18.0–20.0	$0.67 \pm 0.03$	$0.944 \pm 0.017$	$1.18 \pm 0.02$	$0.75 \pm 0.04$
1.1–6.0	$1.00 \pm 0.02$	$0.820 \pm 0.008$	$0.89 \pm 0.01$	$0.73 \pm 0.02$
15.0–20.0	$0.78 \pm 0.02$	$0.973 \pm 0.008$	$1.16 \pm 0.01$	$0.89 \pm 0.02$

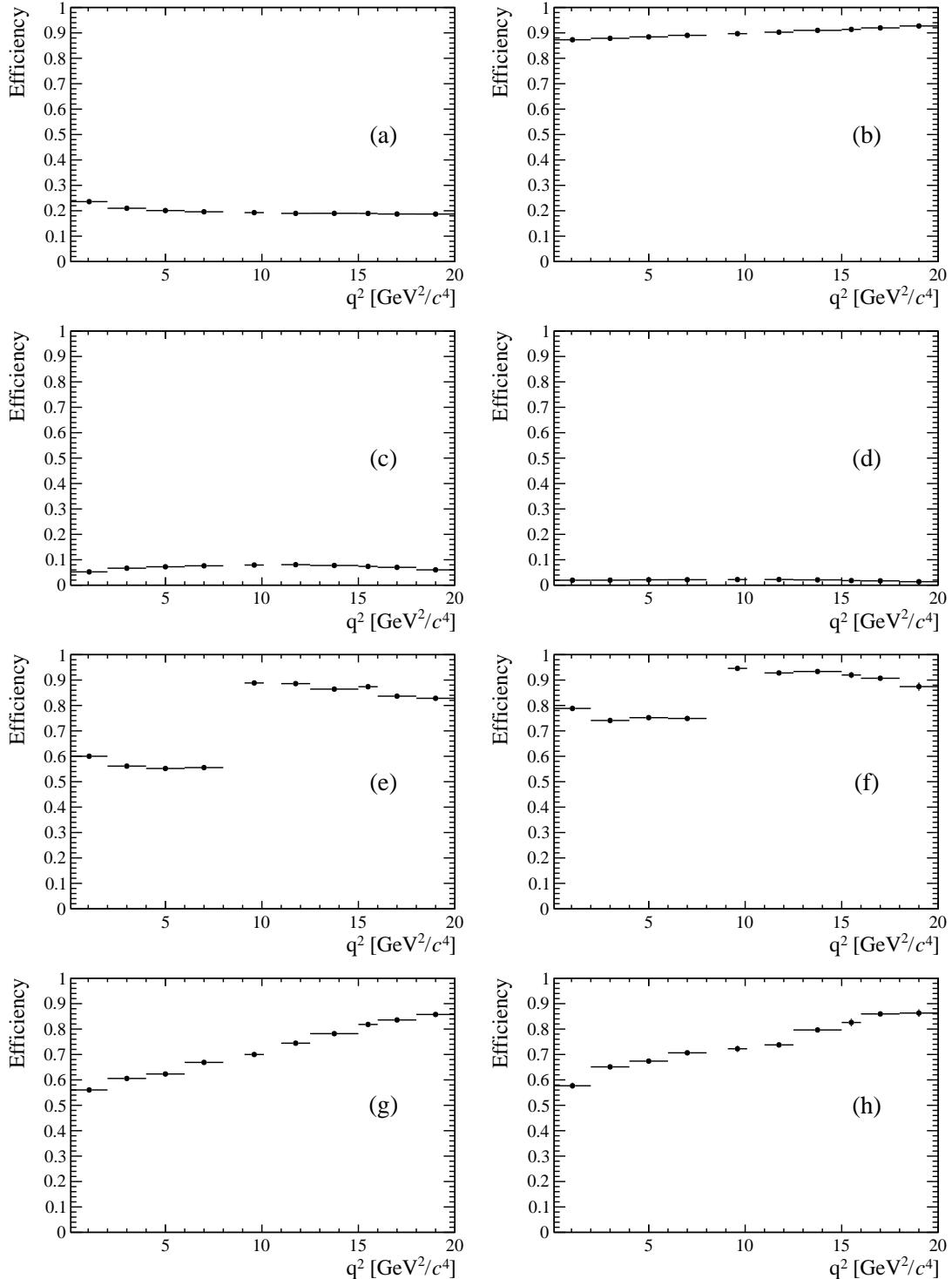


Figure 3.18: Absolute efficiencies as a function of  $q^2$ : geometric efficiency (a), detection efficiency (b), reconstruction efficiency for DD (c) and LL (d) candidates, NN efficiency for DD (e) and LL (f) and trigger efficiency for DD (g) and LL (h).

Table 3.15: Relative efficiencies between  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  and  $\Lambda_b^0 \rightarrow J/\psi\Lambda$  decays for downstream events. Uncertainties reflect the statistics of both samples.

$q^2$ [GeV $^2/c^4$ ]	Reco and strip	MVA	Trigger	Full Selection
0.1–2.0	$0.721 \pm 0.009$	$0.706 \pm 0.010$	$0.805 \pm 0.011$	$0.410 \pm 0.009$
2.0–4.0	$0.920 \pm 0.010$	$0.661 \pm 0.008$	$0.870 \pm 0.010$	$0.529 \pm 0.010$
4.0–6.0	$0.997 \pm 0.010$	$0.662 \pm 0.008$	$0.895 \pm 0.010$	$0.590 \pm 0.011$
6.0–8.0	$1.050 \pm 0.011$	$0.665 \pm 0.008$	$0.960 \pm 0.010$	$0.671 \pm 0.012$
11.0–12.5	$1.112 \pm 0.014$	$1.007 \pm 0.006$	$1.069 \pm 0.009$	$1.197 \pm 0.019$
15.0–16.0	$1.019 \pm 0.018$	$1.000 \pm 0.009$	$1.175 \pm 0.012$	$1.197 \pm 0.026$
16.0–18.0	$0.968 \pm 0.014$	$0.961 \pm 0.008$	$1.200 \pm 0.010$	$1.115 \pm 0.020$
18.0–20.0	$0.832 \pm 0.016$	$0.943 \pm 0.010$	$1.231 \pm 0.012$	$0.966 \pm 0.023$
1.1–6.0	$0.950 \pm 0.007$	$0.663 \pm 0.005$	$0.876 \pm 0.007$	$0.551 \pm 0.007$
15.0–20.0	$0.929 \pm 0.010$	$0.963 \pm 0.005$	$1.204 \pm 0.007$	$1.077 \pm 0.014$

<sub>1390</sub> 3.7 Systematic uncertainties

<sub>1391</sub> This section describes the main considered sources of systematic uncertainty.

<sub>1392</sub> 3.7.1 Systematic uncertainty on the yields

<sub>1393</sub> The choice of specific PDFs to model the invariant mass distribution could result in  
<sub>1394</sub> a bias. To asses the effect of the signal PDF choice as a first step a number of models  
<sub>1395</sub> are tried on the  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  data sample to understand which ones are plausible.  
<sub>1396</sub> Table 3.16 reports the  $\chi^2$  and relative probabilities obtained using different models  
<sub>1397</sub> including: the default model (a DCB function), a simple Gaussian function, a single  
<sub>1398</sub> Crystal Ball function and the sum of two Gaussians. The only two models that give  
<sub>1399</sub> a reasonable p-value are the default DCB and the sum of two Gaussian functions  
<sub>1400</sub> (DG). In a second step simulated experiments are generated and fit with the two  
<sub>1401</sub> chosen models. Events are generated according to a density function given by the  
<sub>1402</sub> default model fitted on data separately for each  $q^2$  interval. In this way, for each  
<sub>1403</sub>  $q^2$  interval, a specific shape is reproduced including the background level and slope.  
<sub>1404</sub> Furthermore, a number of events comparable to the one found in data is generated.  
<sub>1405</sub> For each experiment a normalised bias is calculated as

$$b = \left( \frac{N_{\ell\ell}^{DCB}}{N_{J/\psi}^{DCB}} - \frac{N_{\ell\ell}^{DG}}{N_{J/\psi}^{DG}} \right) / \frac{N_{\ell\ell}^{DCB}}{N_{J/\psi}^{DCB}} \quad (3.14)$$

<sub>1406</sub> where  $N_{\ell\ell}^{model}$  and  $N_{J/\psi}^{model}$  are the numbers of rare and resonant candidates observed  
<sub>1407</sub> using a specific model. The average bias over 1000 pseudo-experiments is taken as  
<sub>1408</sub> systematic uncertainty. Note that in each case the rare and normalisation channels  
<sub>1409</sub> are fit with the same signal model and, while for the default case the rare parameters  
<sub>1410</sub> are fixed to what found for the resonant channel, they are left free to vary in the  
<sub>1411</sub> second model in order to asses at the same time the systematic due to the parameters  
<sub>1412</sub> constraints.

Table 3.16:  $\chi^2$ , NDF, p-values and number of signal events obtained fitting  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  data using different models.

Model	$\chi^2/NDF$	NDF	p-value	$N_{evts}$
DCB (default)	1.0	187	0.51	9965.4
Gauss	1.8	193	$\sim 0$	9615.7
Double Gauss	1.1	191	0.45	9882.4
CB	1.5	191	$\sim 0$	9802.4

1413

1414 For the background PDF systematic the rare channel is re-fit leaving the yield of  
 1415 the  $K_s^0$  component free to vary; this is instead fixed to the predicted value in the  
 1416 default fit. The same procedure as for the signal PDF is applied. Results are re-  
 1417 ported in Tab. 3.17. The most affected  $q^2$  interval is the one in the middle of the  
 1418 charmonium resonances, where a combination of lower statistics and higher back-  
 1419 ground leaves more freedom to the signal shape. Finally, a background component  
 1420 for  $B^+ \rightarrow K^{*+}(K_s^0\pi^+)\mu^+\mu^-$  decays is added to the fit, modelled using the distri-  
 1421 bution of simulated events after full selection. No significant bias is found for this  
 1422 component.

$q^2$ [ GeV $^2/c^4$ ]	Sig. PDF bias (%)	Bkg. PDF bias (%)	Tot. sys. (%)
0.1–2.0	3.2	1.1	3.4
2.0–4.0	2.9	2.4	3.8
4.0–6.0	4.6	4.8	6.6
6.0–8.0	1.2	1.7	2.0
11.0–12.5	2.6	1.8	3.2
15.0–16.0	1.3	2.5	2.8
16.0–18.0	0.6	1.3	1.4
18.0–20.0	1.7	1.8	2.5
1.1–6.0	0.1	4.2	4.2
15.0–20.0	1.0	0.2	1.1

Table 3.17: Values of systematic uncertainties due to the choice of signal and background shapes in bins of  $q^2$ .

1423

<sup>1424</sup> 3.7.2 Systematic uncertainties on the efficiency determination

<sup>1425</sup> Systematic uncertainties in the efficiency determination are due to the limited knowl-  
<sup>1426</sup> edge of the decay properties such as the  $\Lambda_b^0$  lifetime and production polarisation. The  
<sup>1427</sup> uncertainties are directly calculated on the relative efficiencies as these are the ones  
<sup>1428</sup> that are actually used in the analysis. It should be noted that not all sources con-  
<sup>1429</sup> tribute to each part of the efficiency. For brevity, this section only reports estimates  
<sup>1430</sup> of the systematic uncertainties obtained while the full information is contained in  
<sup>1431</sup> Appendix C.

<sup>1432</sup> 3.7.2.1 Effect of new physics on the decay model

<sup>1433</sup> New physics could affect the decay model by adding contributions to the  $C_7$  and  
<sup>1434</sup>  $C_9$  Wilson Coefficients. This would result in a modification of the  $q^2$  spectrum  
<sup>1435</sup> and therefore of the efficiency. To asses this systematic the Wilson Coefficients are  
<sup>1436</sup> modified by adding a new physics component ( $C_i \rightarrow C_i + C_i^{\text{NP}}$ ). Figure 3.19 shows  $q^2$   
<sup>1437</sup> spectra obtained weighting the simulation for a model embedding the default and 3  
<sup>1438</sup> modified sets of Wilson Coefficients. The used values, reported on top of each plot,  
<sup>1439</sup> are inspired to maintain compatibility with the recent LHCb result about the  $P'_5$   
<sup>1440</sup> observable [41]. The biggest effect is observed in the very low  $q^2$ , below 2  $\text{GeV}^2/c^4$ ,  
<sup>1441</sup> where the efficiency can change up to 7%, while it changes 3-4 % between 3 and  
<sup>1442</sup> 4  $\text{GeV}^2/c^4$  and 2-3 % in the rest of the spectrum. As this analysis is performed under  
<sup>1443</sup> the hypothesis that the decays are described by a the SM, these values are given in  
<sup>1444</sup> order to provide the full information but are not added as systematic uncertainties.

<sup>1445</sup> 3.7.2.2 Simulation statistics

<sup>1446</sup> The limited statistics of the simulated samples used to determine efficiencies is  
<sup>1447</sup> considered as a source of systematic uncertainty. While it is not the dominant  
<sup>1448</sup> source, its size does not allow to completely neglect it. When reporting relative

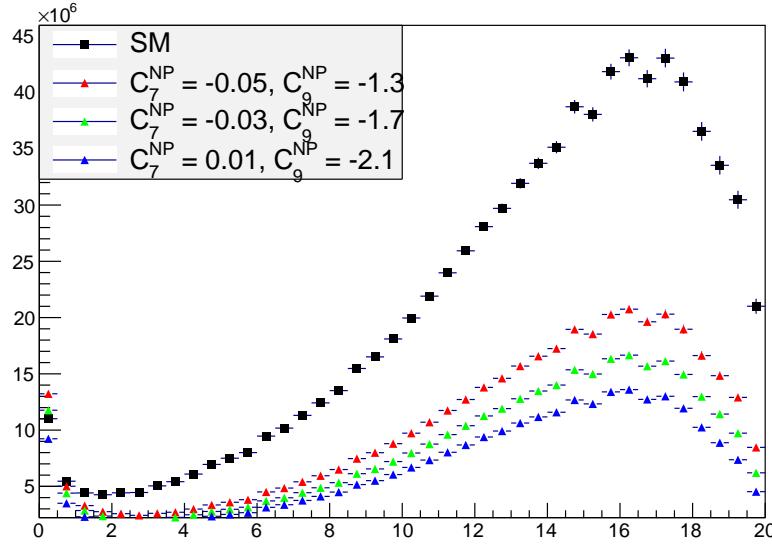


Figure 3.19: The  $q^2$  spectrum of  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  events weighted with models embedding different sets of Wilson Coefficients. The black distribution corresponds to the weighting used to calculate efficiencies.

1449 efficiency values the statistical uncertainty due to the rare and resonant channels is  
1450 always considered.

### 1451 3.7.2.3 Production polarisation and decay structure

1452 One of the main unknown, which affects the determination of the efficiencies, is  
1453 the angular structure of the decays. And, connected to it, also the production  
1454 polarisation, which is a parameter of the model. To assess the systematic uncertainty  
1455 due to the knowledge of the production polarisation for  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  decays the  
1456 polarisation parameter in the model is varied within one standard deviation from  
1457 the central value of the most recent LHCb measurement,  $P_b = 0.06 \pm 0.09$  [91]. The  
1458 full observed difference is taken as systematic uncertainty. To assess the systematic  
1459 uncertainty due to the decay structure an alternative set of form factors is used based  
1460 on lattice QCD calculation [94]. Details of this are explained in Appendix A.1. The  
1461 two models are compared and the full difference is taken as systematic uncertainty.  
1462 In total this results in an uncertainty of  $\sim 1.3\%$  for long candidates and  $\sim 0.6\%$

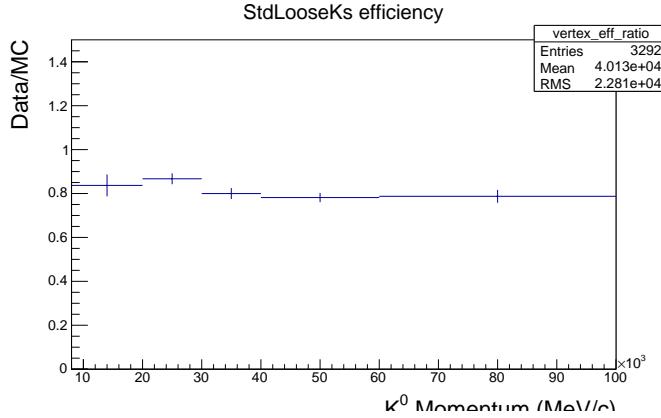


Figure 3.20: Ratio of reconstruction efficiency in Data and MC found using  $K_S$  events [96].

<sup>1463</sup> for downstream candidates, mostly coming from the knowledge of the production  
<sup>1464</sup> polarisation.

#### <sup>1465</sup> 3.7.2.4 $\Lambda_b^0$ lifetime

<sup>1466</sup> The  $\Lambda_b^0$  lifetime is known with limited precision. For evaluation of the efficiencies the  
<sup>1467</sup> world average value,  $1.482 \text{ ps}^{-1}$  [95] is used. To evaluate the systematic uncertainty,  
<sup>1468</sup> this is varied within one standard deviation from the measured value. Only the  
<sup>1469</sup> case where both signal and normalisation channel are varied in same direction are  
<sup>1470</sup> considered. The larger difference with the default lifetime case is taken as systematic  
<sup>1471</sup> uncertainty, which is found to range from  $\sim 0.4\%$  at low  $q^2$  to  $\sim 0.1\%$  at high  $q^2$ .

#### <sup>1472</sup> 3.7.2.5 Downstream candidates reconstruction efficiency

<sup>1473</sup> Other analysis in LHCb using particles reconstructed with downstream tracks showed  
<sup>1474</sup> that the efficiency for these candidates is not well simulated. For example, Fig. 3.20  
<sup>1475</sup> shows the ratio between the reconstruction efficiency for downstream candidates in  
<sup>1476</sup> data and simulation found analysing  $K_S^0$  events [96]. This effect is not yet fully  
<sup>1477</sup> understood and is currently under study. It seems to be mainly due to a poor sim-  
<sup>1478</sup> ulation of the vertexing efficiency for downstream tracks. This effect is dealt with

in two steps. Firstly, the analysis is performed separately for downstream and long candidates. Since efficiencies are also calculated separately, the effect mostly cancels in the ratio between the rare and resonant channels. In a second step a systematic uncertainty is assigned for downstream candidates only re-weighting the simulation by the efficiency ratio between data and simulation found for  $K_S$  as a function of momentum (see Fig. 3.20). The efficiencies obtained using the weighted and unweighted simulation are compared and the full difference is taken as systematic uncertainty. As the discrepancy shows little dependence on momentum, dependencies due to the different momentum distributions of  $\Lambda$  and  $K_S^0$  are assumed to be negligible. This results in an extra 0.4% systematic uncertainty at low  $q^2$  and 1.2% at high  $q^2$ , only for downstream candidates.

#### 3.7.2.6 Data-simulation discrepancies

The simulation used to calculate the efficiency is re-weighted as described in Sec. 3.3.2. The influence of this procedure on the efficiency determination is checked by comparing values obtained with and without re-weighting. The effect is negligible with respect to other systematics considered.

## 3.8 Differential branching ratio extraction

In this section the differential branching fraction of the  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decay is calculated relative to the  $\Lambda_b^0 \rightarrow J/\psi\Lambda$  channel as a function of  $q^2$ . The values are directly obtained from the fit to the rare sample by parameterising the downstream and long yields with the following formula:

$$N(\Lambda\mu^+\mu^-)_k = \left[ \frac{d\mathcal{B}(\Lambda\mu^+\mu^-)/dq^2}{\mathcal{B}(J/\psi\Lambda)} \right] \cdot N(J/\psi\Lambda)_k \cdot \varepsilon_k^{\text{rel}} \cdot \frac{\Delta q^2}{\mathcal{B}(J/\psi \rightarrow \mu^+\mu^-)}, \quad (3.15)$$

where  $k = (\text{LL}, \text{DD})$ ,  $\Delta q^2$  is the width of the  $q^2$  interval,  $\mathcal{B}(J/\psi \rightarrow \mu^+\mu^-) = (5.93 \pm 0.06) \cdot 10^{-2}$  [2] and the only free parameter is the relative branching fraction ratio. Table 3.18 sum-

Table 3.18: Absolute values of the total relative efficiency and the absolute value of the uncorrelated uncertainty, together with relative values of the correlated uncertainty.

$q^2$ interval [GeV $^2/c^4$ ]	Eff. (DD)	$\sigma_{uncorr}^{DD}$	Eff. (LL)	$\sigma_{uncorr}^{LL}$	Correlated err.
0.1–2.0	0.694	0.058	1.136	0.066	1.012%
2.0–4.0	0.693	0.027	0.907	0.047	2.697%
4.0–6.0	0.699	0.018	0.964	0.044	2.697%
6.0–8.0	0.733	0.020	0.953	0.048	2.697%
11.0–12.5	1.254	0.032	1.140	0.057	3.356%
15.0–16.0	1.260	0.035	1.035	0.060	2.977%
16.0–18.0	1.163	0.029	0.997	0.048	1.727%
18.0–20.0	1.023	0.027	0.782	0.040	2.697%
1.1–6.0	0.696	0.032	0.950	0.058	1.012%
15.0–20.0	1.132	0.014	0.927	0.031	1.423%

1502 marises the total relative efficiencies,  $\varepsilon^{rel}$ , for downstream and long candidates to-  
 1503 gether with their correlated and uncorrelated uncertainties, where the correlation is  
 1504 intended between the downstream and long samples. On the table the uncorrelated  
 1505 uncertainty corresponds to the total systematic uncertainty on the efficiency deter-  
 1506 mination. The correlated uncertainty is given in percent form since it can be applied  
 1507 to either downstream, long candidates or their combination. This includes the PDF  
 1508 systematic described in Sec. 3.7.1 and the systematic due to the uncertainty on the  
 1509  $J/\psi \rightarrow \mu^+\mu^-$  branching fraction.

1510 Figure 3.21 shows the branching fraction obtained by fitting the downstream and  
 1511 long samples independently, while the combined result, obtained fitting both samples  
 1512 simultaneously, is shown in Fig. 3.22. Values are also listed in Tab. 3.19, where  
 1513 the statistical uncertainty on the rare channel and the total systematic uncertainty  
 1514 are shown separately. The statistical uncertainty is calculated using the MINOS  
 1515 application of the MINUIT package [97], which provides an asymmetric interval. The  
 1516 normalisation and systematic uncertainties are evaluated by pushing the efficiencies  
 1517 and normalisation yields up and down by one standard deviation and re-performing  
 1518 the fit. The different efficiencies used translate into a different branching fraction and  
 1519 the full difference with respect to the default fit is taken as systematic uncertainty  
 1520 in each direction.

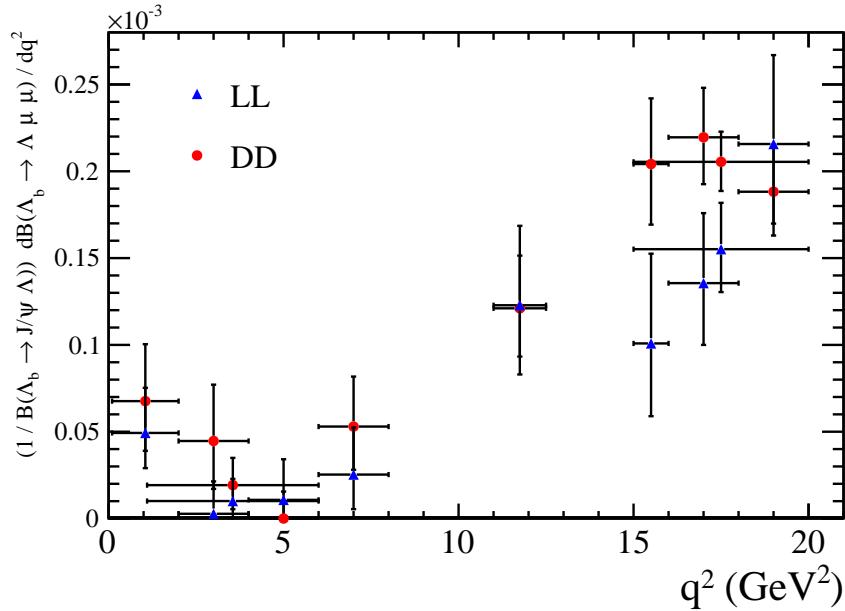


Figure 3.21: Measured values of the  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  branching fraction relative to the  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  decay as a function of  $q^2$  obtained fitting the downstream and long samples independently. Error bars represent the total statistical and systematic uncertainty.

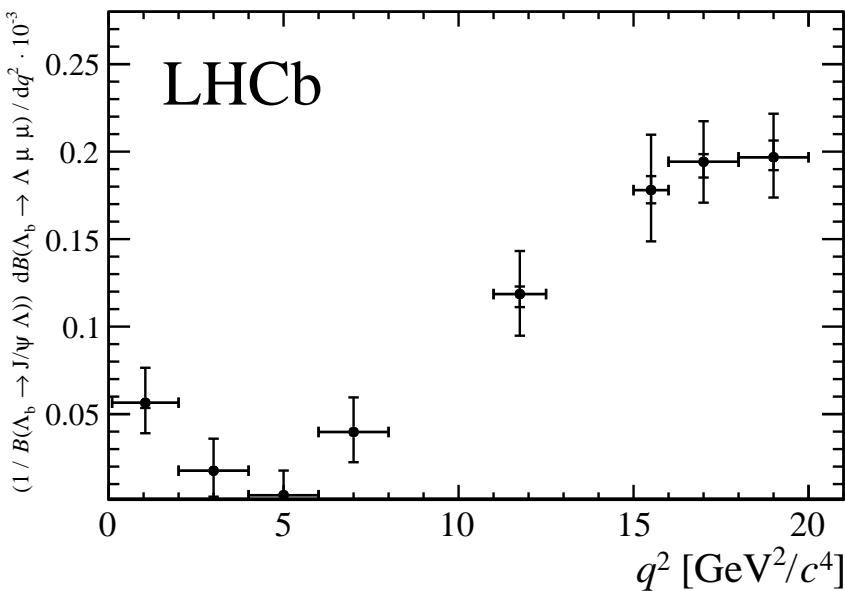


Figure 3.22: Branching fraction of the  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  decay normalised to the  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  mode. The inner error bar represents the systematic uncertainty and the outer error bar includes the statistical uncertainty.

Table 3.19: Differential branching fraction of the  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decay relative to  $\Lambda_b^0 \rightarrow J/\psi\Lambda$  decays, where the uncertainties are statistical and systematic, respectively.

$q^2$ interval [ $\text{GeV}^2/c^4$ ]	$\frac{d\mathcal{B}(\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-)/dq^2}{\mathcal{B}(\Lambda_b^0 \rightarrow J/\psi\Lambda)} \cdot 10^{-3}[(\text{GeV}^2/c^4)^{-1}]$		
0.1 – 2.0	0.56	+0.20 –0.17	+0.03 –0.03
2.0 – 4.0	0.18	+0.18 –0.15	+0.01 –0.01
4.0 – 6.0	0.04	+0.14 –0.04	+0.01 –0.01
6.0 – 8.0	0.40	+0.20 –0.17	+0.01 –0.02
11.0 – 12.5	1.19	+0.24 –0.23	+0.04 –0.07
15.0 – 16.0	1.78	+0.31 –0.28	+0.08 –0.08
16.0 – 18.0	1.94	+0.23 –0.22	+0.04 –0.09
18.0 – 20.0	1.97	+0.23 –0.22	+0.10 –0.07
1.1–6.0	0.14	+0.10 –0.09	+0.01 –0.01
15.0–20.0	1.90	+0.14 –0.14	+0.04 –0.06

Finally, values for the absolute branching fraction of the  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decay are obtained by multiplying the relative branching fraction by the absolute branching fraction of the normalisation channel,  $\mathcal{B}(\Lambda_b^0 \rightarrow J/\psi\Lambda) = (6.3 \pm 1.3) \times 10^{-4}$  [2]. Values are shown in Fig. 3.23 and summarised in Tab. 3.20, where the uncertainty due to the knowledge of the normalisation channel (norm), which is correlated across  $q^2$ , is shown separately. The SM predictions on the plot are obtained from Ref. [94].

Evidence for the signal is found for the first time in the  $q^2$  region between the charmonium resonances and in the interval  $0.1 < q^2 < 2.0 \text{ GeV}^2/c^4$ , where an increased yield is expected due to the proximity of the photon pole. The uncertainty on the absolute branching fraction is dominated by the precision with which the branching fraction of the normalisation channel is known, while the uncertainty on the relative branching fraction is dominated by the size of the available data sample. The data are consistent with the theoretical predictions in the high- $q^2$  region but lie below the predictions in the low- $q^2$  region.

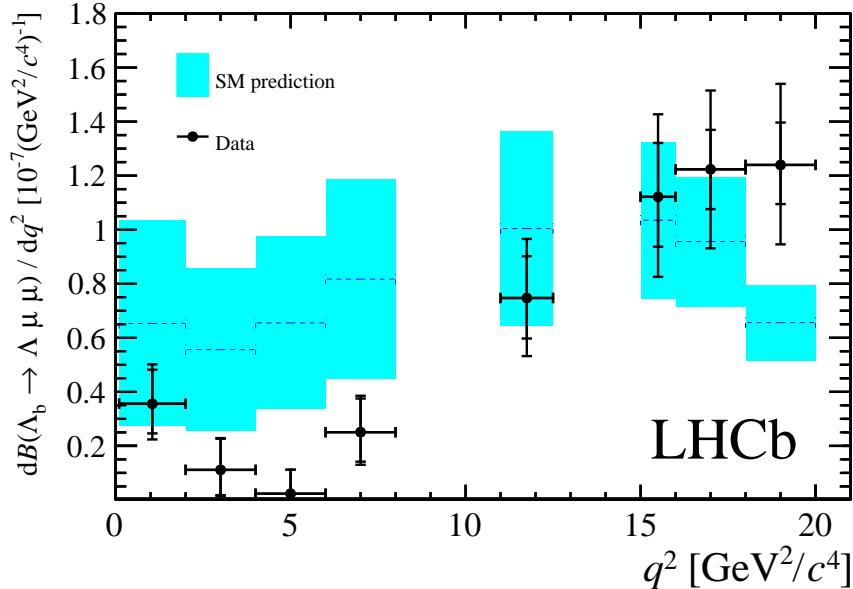


Figure 3.23: Measured  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  branching fraction as a function of  $q^2$  with the SM predictions [94] superimposed. The inner error bars on data points represent the total uncertainty on the relative branching fraction (statistical and systematic); the outer error bar also includes the uncertainties from the branching fraction of the normalisation mode.

Table 3.20: Measured differential branching fraction of the  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  decay, where the uncertainties are statistical, systematic and due to the uncertainty on the normalisation mode,  $\Lambda_b^0 \rightarrow J/\psi \Lambda$ , respectively.

$q^2$ interval [ $\text{GeV}^2/c^4$ ]	$d\mathcal{B}(\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-)/dq^2 \cdot 10^{-7}[(\text{GeV}^2/c^4)^{-1}]$			
0.1 – 2.0	0.36	$+0.12$	$+0.02$	$\pm 0.07$
2.0 – 4.0	0.11	$+0.12$	$+0.01$	$\pm 0.02$
4.0 – 6.0	0.02	$+0.09$	$+0.01$	$\pm 0.01$
6.0 – 8.0	0.25	$+0.12$	$+0.01$	$\pm 0.05$
11.0 – 12.5	0.75	$+0.15$	$+0.03$	$\pm 0.15$
15.0 – 16.0	1.12	$+0.19$	$+0.05$	$\pm 0.23$
16.0 – 18.0	1.22	$+0.14$	$+0.03$	$\pm 0.25$
18.0 – 20.0	1.24	$+0.14$	$+0.06$	$\pm 0.26$
1.1 – 6.0	0.09	$+0.06$	$+0.01$	$\pm 0.02$
15.0 – 20.0	1.20	$+0.09$	$+0.02$	$\pm 0.25$

## CHAPTER 4

### Angular analysis of $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$ decays

Neglecting  $\Lambda_b^0$  production polarisation, the  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decay angular distributions can be described as a function of three angles and  $q^2$ . The first two angles are the ones which are relevant for the analysis in this chapter and are defined in Fig. 4.1, where  $\theta_\ell$  is the angle between the positive (negative) muon direction and the dimuon system direction in the  $\Lambda_b^0$  ( $\bar{\Lambda}_b^0$ ) rest frame, and  $\theta_h$  is defined as the angle between the proton and the  $\Lambda$  baryon directions, also in the  $\Lambda_b^0$  rest frame. The third angle is the angle between the dimuon and  $\Lambda$  decay planes, which is integrated over in this analysis. This chapter describes a measurement of two forward-backward asymmetries in the leptonic ( $A_{FB}^\ell$ ) and in the hadronic ( $A_{FB}^h$ ) systems. These forward-backward asymmetries are defined as

$$A_{FB}^i(q^2) = \frac{\int_0^1 \frac{d^2\Gamma}{dq^2 d\cos\theta_i} d\cos\theta_i - \int_{-1}^0 \frac{d^2\Gamma}{dq^2 d\cos\theta_i} d\cos\theta_i}{d\Gamma/dq^2}, \quad (4.1)$$

1539 where  $d^2\Gamma/dq^2 d\cos\theta_i$  is the two-dimensional differential rate and  $d\Gamma/dq^2$  is rate  
 1540 integrated over the angles.

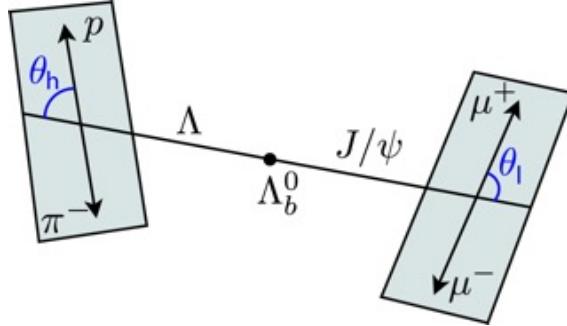


Figure 4.1: Graphical representation of the angles for the  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decay.

1541 The  $A_{\text{FB}}^\ell$  observable was also measured by LHCb in  $B^0 \rightarrow K^{*0}\mu^+\mu^-$  decays which  
 1542 are going through the same quark level transition as  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decays. Instead  
 1543 the hadronic asymmetry,  $A_{\text{FB}}^h$ , is interesting only in the  $\Lambda_b^0$  case as it is zero by  
 1544 definition in  $B^0$  decays, where  $K^{*0}$  decays strongly.

## 1545 4.1 One-dimensional angular distributions

1546 This section describes the derivation of the functional form of the differential distri-  
 1547 butions as a function of  $\cos\theta_\ell$  and  $\cos\theta_h$ , which are used to measure the observables.  
 1548 The content of this section is based on the calculations in Ref. [90].

1549 For unpolarised  $\Lambda_b^0$  production, integrating over the three angles the differential  
 1550 branching fraction is given in Eq. 11 of Ref. [90] as

$$\frac{d\Gamma(\Lambda_b \rightarrow \Lambda \ell^+ \ell^-)}{dq^2} = \frac{v^2}{2} \cdot \left( U^{V+A} + L^{V+A} \right) + \frac{2m_\ell^2}{q^2} \cdot \frac{3}{2} \cdot \left( U^V + L^V + S^A \right), \quad (4.2)$$

1551 and the lepton helicity angle differential distribution, given in Eq. 15, has the form

$$\begin{aligned} \frac{d\Gamma(\Lambda_b \rightarrow \Lambda \ell^+ \ell^-)}{dq^2 d\cos\theta_\ell} &= v^2 \cdot \left[ \frac{3}{8} (1 + \cos^2\theta_\ell) \cdot \frac{1}{2} U^{V+A} + \frac{3}{4} \sin^2\theta_\ell \cdot \frac{1}{2} L^{V+A} \right] \\ &- v \cdot \frac{3}{4} \cos\theta_\ell \cdot P^{VA} + \frac{2m_\ell^2}{q^2} \cdot \frac{3}{4} \cdot \left[ U^V + L^V + S^A \right]. \end{aligned} \quad (4.3)$$

In these formulas  $m_\ell$  is the mass of the lepton and  $v = \sqrt{1 - 4m_\ell^2/q^2}$ ;  $U$  denotes the unpolarised-transverse contributions,  $L$  the longitudinal contributions and  $S$  the scalar contribution. The apices  $V$  and  $A$  represent respectively vector and axial-vector currents, with  $X^{V+A} = X^V + X^A$ . The authors of Ref. [90] define then the lepton-side forward-backward asymmetry as

$$A_{\text{FB}}^\ell(q^2) = -\frac{3}{2} \frac{v \cdot P^{VA}}{v^2 \cdot (U^{V+A} + L^{V+A}) + \frac{2m_\ell^2}{q^2} \cdot 3 \cdot (U^V + L^V + S^A)}. \quad (4.4)$$

For this analysis the massless leptons limit,  $m_\ell \rightarrow 0$ , is used, which is a good approximation except at very low  $q^2$ . Combining the previous equations ad taking the massless limit the differential rates simplify to

$$\frac{d\Gamma}{dq^2} = \frac{v^2}{2} \cdot (U^{V+A} + L^{V+A}) \quad (4.5)$$

and

$$\frac{d\Gamma}{dq^2 d \cos \theta_\ell} = \frac{v^2}{2} \left[ \frac{3}{8} (1 + \cos^2 \theta_\ell) U^{V+A} + A_{\text{FB}}^\ell \cos \theta_\ell (U^{V+A} + L^{V+A}) + \frac{3}{4} \sin^2 \theta_\ell (L^{V+A}) \right]. \quad (4.6)$$

Equations 4.5 and 4.6 can be then combined to achieve the form

$$\begin{aligned} \frac{d\Gamma}{dq^2 d \cos \theta_\ell} &= \frac{d\Gamma}{dq^2} \left[ \frac{3}{8} (1 + \cos^2 \theta_\ell) \frac{U^{V+A}}{U^{V+A} + L^{V+A}} + A_{\text{FB}}^\ell \cos \theta_\ell + \right. \\ &\quad \left. \frac{3}{4} \sin^2 \theta_\ell \frac{L^{V+A}}{U^{V+A} + L^{V+A}} \right]. \end{aligned} \quad (4.7)$$

The amplitude combination in the last term can be viewed as ratio between longitudinal and sum of longitudinal and unpolarised transverse contributions and therefore one can define the longitudinal fraction

$$f_L = \frac{L^{V+A}}{U^{V+A} + L^{V+A}}, \quad (4.8)$$

which leads to the functional form used in the analysis

$$\frac{d\Gamma}{dq^2 d \cos \theta_\ell} = \frac{d\Gamma}{dq^2} \left[ \frac{3}{8} (1 + \cos^2 \theta_\ell) (1 - f_L) + A_{\text{FB}}^\ell \cos \theta_\ell + \frac{3}{4} \sin^2 \theta_\ell f_L \right]. \quad (4.9)$$

<sup>1563</sup> Using the same steps the proton helicity distribution is given in Ref. [90] as

$$\frac{d\Gamma(\Lambda_b \rightarrow \Lambda(\rightarrow p\pi^-)\ell^+\ell^-)}{dq^2 d \cos \theta_h} = \text{Br}(\Lambda \rightarrow p\pi^-) \frac{d\Gamma(\Lambda_b \rightarrow \Lambda \ell^+\ell^-)}{dq^2} \left( \frac{1}{2} + A_{\text{FB}}^h \cos \theta_h \right), \quad (4.10)$$

<sup>1564</sup> and  $A_{\text{FB}}^h$  is defined as

$$A_{\text{FB}}^h = \frac{1}{2} \alpha_\Lambda P_z^\Lambda(q^2), \quad (4.11)$$

<sup>1565</sup> where  $P_z^\Lambda(q^2)$  is the polarisation of the daughter baryon,  $\Lambda$ , and  $\alpha_\Lambda = 0.642 \pm 0.013$  [2]

<sup>1566</sup> is the  $\Lambda$  decay asymmetry parameter.

<sup>1567</sup> These expressions assume that  $\Lambda_b^0$  is produced unpolarised, which is in agreement  
<sup>1568</sup> with the recent LHCb measurement [98]. Possible effects due to a non zero produc-  
<sup>1569</sup> tion polarisation are investigated as systematic uncertainties (see Sec. 4.5.5).

## <sup>1570</sup> 4.2 Multi-dimensional angular distributions

To incorporate effects of production polarisation this was introduced in the equations. In the modified version an angle  $\theta$  is defined as the angle between the  $\Lambda$  direction in the  $\Lambda_b^0$  rest frame with respect to  $\hat{n} = \hat{p}_{\text{inc}} \times \hat{p}_{\Lambda_b^0}$ , where  $\hat{p}_{\text{inc}}$  represents the direction of the incoming proton. This angle is sensitive to the production polarisation through the spin-density matrix. Integrating over all the angles but  $\theta_\ell$  results in the same distribution as in the unpolarised case (Eq. 4.3). Therefore, in the case of uniform efficiency, the lepton side forward-backward asymmetry,  $A_{\text{FB}}^\ell$ , is unaffected by the production polarisation. To be able to estimate the effect of the production polarisation in the case of non-uniform efficiency, the differential distribution in  $\theta$  and  $\theta_\ell$  is also derived, which in the massless leptons limit becomes (up

to a constant multiplicative factor)

$$\frac{d\Gamma(\Lambda_b \rightarrow \Lambda \ell^+ \ell^-)}{dq^2 d\cos\theta d\cos\theta_\ell} = \frac{d\Gamma}{dq^2} \left\{ \frac{3}{8} (1 + \cos^2\theta_\ell) (1 - f_L) + A_{FB}^\ell \cos\theta_\ell + \frac{3}{4} \sin^2\theta_\ell f_L + P_b \cos\theta \left[ -\frac{3}{4} \sin\theta_\ell^2 O_{Lp} + \frac{3}{8} (1 + \cos\theta_\ell^2) O_P - \frac{3}{8} \cos\theta_\ell O_{UVA} \right] \right\}, \quad (4.12)$$

where three more observables are defined

$$\begin{aligned} O_{Lp} &= \frac{L_P^V + L_P^A}{U^{V+A} + L^{V+A}}, \\ O_P &= \frac{P^V + P^A}{U^{V+A} + L^{V+A}}, \\ O_{UVA} &= \frac{U^{VA}}{U^{V+A} + L^{V+A}}. \end{aligned}$$

1571 In the massless leptons approximation two of these quantities are related to the  
1572 hadron side forward-backward asymmetry as

$$\frac{1}{2} \alpha_\Lambda (O_P + O_{Lp}) = A_{FB}^h. \quad (4.13)$$

Following the same steps as for the lepton case, after integrating over all the angles but  $\theta_h$  one finds that the hadron side,  $A_{FB}^h$ , is also unaffected by the production polarisation in case of uniform efficiency. The differential distribution in  $\theta$  and  $\theta_h$  has the form

$$\begin{aligned} \frac{d\Gamma(\Lambda_b \rightarrow \Lambda \ell^+ \ell^-)}{dq^2 d(\cos\theta) d(\cos\theta_h)} &= \frac{d\Gamma}{dq^2} [1 + 2A_{FB}^h \cos\theta_h + P_b (O_P - O_{Lp}) \cos\theta \\ &\quad + \alpha_A P_b (1 - 2f_L) \cos\theta \cos\theta_h]. \end{aligned} \quad (4.14)$$

1573 In order to use these distributions, expectations for the three additional observables,  
1574 which do not enter one-dimensional distributions, are needed. Expectations are  
1575 calculated using form factors and numerical inputs from Ref. [90] and are shown in  
1576 Tab. 4.1.

$q^2 [GeV^2/c^2]$	$A_{FB}^\ell$	$P_z^A$	$f_L$	$O_P$	$O_{Lp}$	$O_{UVA}$
0.1 – 2.0	0.082	-0.9998	0.537	-0.463	-0.537	0.055
2.0 – 4.0	-0.032	-0.9996	0.858	-0.142	-0.857	-0.021
4.0 – 6.0	-0.153	-0.9991	0.752	-0.247	-0.752	-0.102
V.0 – VA.5	-0.348	-0.9834	0.508	-0.478	-0.505	-0.239
15.0 – 16.0	-0.384	-0.9374	0.428	-0.524	-0.413	-0.280
16.0 – 18.0	-0.377	-0.8807	0.399	-0.513	-0.368	-0.294
18.0 – 20.0	-0.297	-0.6640	0.361	-0.404	-0.260	-0.314
1.0 – 6.0	-0.040	-0.9994	0.830	-0.170	-0.830	-0.027
15.0 – 20.0	-0.339	-0.7830	0.385	-0.461	-0.3A	-0.302

Table 4.1: Prediction for angular observables entering two-dimensional angular distributions. Prediction is based on covariant quark model form factors from Ref. [90].

For completeness, the differential distribution in  $\cos \theta_\ell$  and  $\cos \theta_h$  has the form

$$\begin{aligned} \frac{d\Gamma(\Lambda_b \rightarrow \Lambda \ell^+ \ell^-)}{dq^2 d \cos \theta_h d \cos \theta_\ell} = & \frac{3}{8} + \frac{6}{16} \cos^2 \theta_\ell (1 - f_L) - \frac{3}{16} \cos^2 \theta_\ell f_L + A_{FB}^\ell \cos \theta_\ell + \\ & \left( \frac{3}{2} A_{FB}^h - \frac{3}{8} \alpha_A O_P \right) \cos \theta_h - \frac{3}{2} A_{FB}^h \cos^2 \theta_\ell \cos \theta_h - \frac{3}{16} f_L + \\ & \frac{9}{16} f_L \sin^2 \theta_\ell + \frac{9}{8} \alpha_A \cos^2 \theta_\ell \cos \theta_h O_P - \\ & \frac{3}{2} \alpha_A \cos \theta_\ell \cos \theta_h O_{UVA}. \end{aligned} \quad (4.15)$$

### 4.3 Angular resolution

This section describes a study of the angular resolution done in order to achieve a better understanding of detector and reconstruction effects. This will be then used to study systematic uncertainties (see Sec. 4.5.5). The study is performed by analysing simulated events and comparing generated and reconstructed quantities. Figure 4.2 shows plots of the difference between true and measured angular observables ( $\cos \theta_\ell$  and  $\cos \theta_h$ ) as a function of the observable itself. These are centred at zero indicating no bias in the measurement. Figure 4.3 shows the angular resolution in two-dimensional bins of  $q^2$  and angular observables. In Fig. 4.2 the same difference is shown also as a function of  $q^2$  revealing again no bias. The spread of these distributions around the central value can be taken as an estimate of the angular

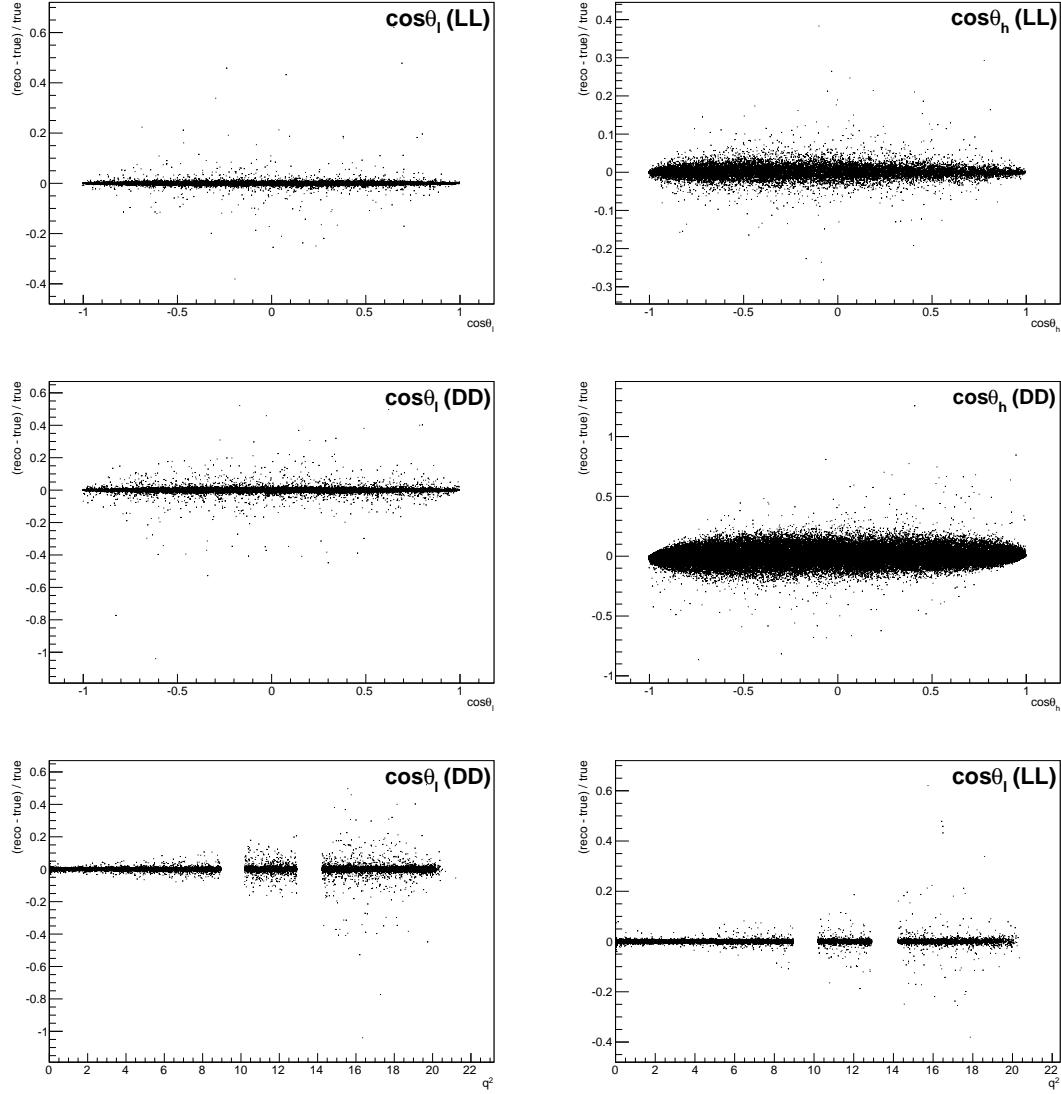


Figure 4.2: Difference of between generated and reconstructed angular observables as a function of the observables themselves for long (top) and downstream (bottom) candidates and as a function of  $q^2$  for long (bottom left) and downstream (bottom right) candidates. As the plots are made using fully selected rare samples the bottom plots present empty bands corresponding to the charmonium vetoes.

Table 4.2: Average angular resolutions integrated over the full interval and the full available  $q^2$ .

Observable	DD	LL
$\cos \theta_\ell$	0.015	0.010
$\cos \theta_h$	0.066	0.014

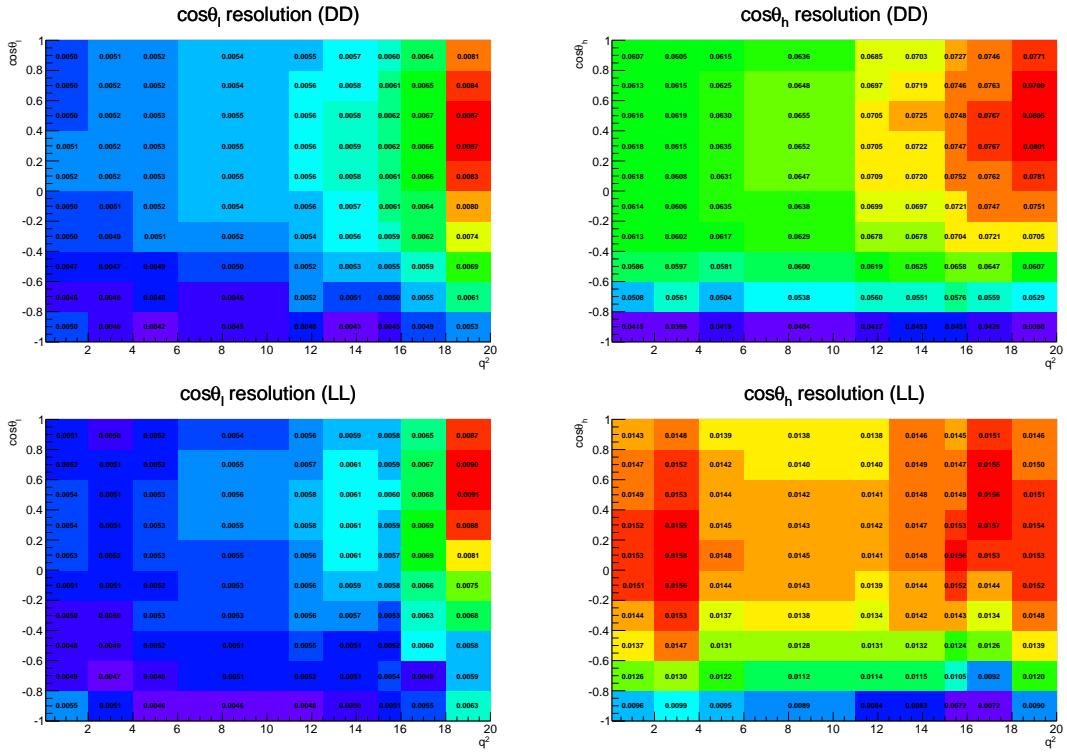


Figure 4.3: Angular resolution for  $\cos \theta_\ell$  (left plots) and  $\cos \theta_h$  (right plots) as a function of the angular observables and  $q^2$  for downstream (upper plots) and long (lower plots) candidates. White bands correspond to the  $J/\psi$  and  $\psi(2S)$  resonances which are excluded from the study.

resolution. Taking vertical slices of the plots in Fig. 4.2 one obtains approximately gaussian distributions centred at zero. These are fit with a single gaussian and its width is interpreted as the angular resolution. Table 4.2 reports the average resolutions for the two angular observables separately for long and downstream candidates. As expected candidates built from long tracks are characterised by a better angular resolution due to a better momentum and vertex resolution.

1594 **4.4 Fit strategy**

1595 There are physical limits to the values of the parameters of interests:  $A_{\text{FB}}^h$  is limited  
1596 in the  $[-0.5, 0.5]$  interval and for the  $f_L$  and  $A_{\text{FB}}^\ell$  parameters the physical region, given  
1597 by  $|A_{\text{FB}}^\ell| < 3/4(f_L - 1)$ , is the triangle shown in Fig. 4.4. If the measured value is  
1598 close to the border the fit does not always converge. Therefore a “brute force” fitting  
1599 technique is applied. For this purpose fit parameters are divided into two categories:  
1600 parameters of interest (PoIs),  $A_{\text{FB}}^\ell$ ,  $A_{\text{FB}}^h$  and  $f_L$  and all other parameters, which are  
1601 referred to as “nuisances”. The value of the Log-Likelihood ( $\log \mathcal{L}$ ) of the fit model  
1602 with respect to data is evaluated in a grid of points in the PoIs allowed area to find  
1603 the function minimum. A first coarse scan finds a candidate minimum and then the  
1604 procedure is reiterated two more times in finer intervals around it. For each point  
1605 all the nuisances are fitted using a maximum likelihood fit. Using this method the  
1606 best fit point is therefore constrained inside the physical region. If the minimum  
1607 of the log-likelihood is found to be outside it, the closest point on the boundary is  
1608 chosen as the best fit.

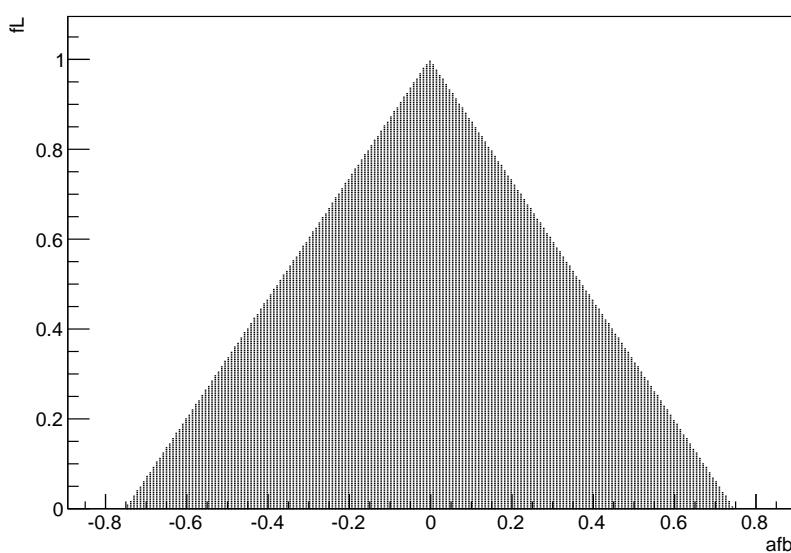


Figure 4.4: The physical  $(A_{\text{FB}}^\ell, f_L)$  parameter space. The dark region corresponds to points where the PDF is positive in the whole  $[-1, 1]$  interval.

<sub>1609</sub> 4.4.1 Feldman-cousins plug-in method

<sub>1610</sub> Physical boundaries of the parameter space could result in a wrong estimation of  
<sub>1611</sub> the uncertainties, especially if the measured value is close to the border. To deal  
<sub>1612</sub> with this effect in this analysis the likelihood-ordering method [99] is used to es-  
<sub>1613</sub> timate uncertainties and nuisance parameters are accounted for using the plug-in  
<sub>1614</sub> method [100]. This is a unified method to calculate confidence intervals and up-  
<sub>1615</sub> per/lower limits, based on simulated experiments and has the advantage of having  
<sub>1616</sub> a well defined frequentist coverage.

<sub>1617</sub> The method is constituted by the following steps:

- <sub>1618</sub> 1. fit real data distributions with all parameters free;
- <sub>1619</sub> 2. fit real data fixing the PoIs to a value of choice while keeping nuisance param-  
<sub>1620</sub> eters free;
- <sub>1621</sub> 3. generate simulated samples following the distribution given by the fit model,  
<sub>1622</sub> where all nuisance parameters are taken from the fit in point 2 and PoIs are  
<sub>1623</sub> fixed to the same value used in point 2;
- <sub>1624</sub> 4. repeat the two fits made on data (points 1 and 2) on each simulated sample:  
<sub>1625</sub> fit with all parameters free and with fixed PoIs;
- <sub>1626</sub> 5. extract the value of the Log-Likelihoods at the minimum for all cases;
- <sub>1627</sub> 6. calculate the percentage of simulated experiments in which the free-to-fixed  
<sub>1628</sub> likelihood ratio is bigger than in data:  $\log \mathcal{L}_{fixed} / \log \mathcal{L}_{free} > (\log \mathcal{L}_{fixed} / \log \mathcal{L}_{free})_{data}$ ;
- <sub>1629</sub> 7. repeat the procedure for many values of the PoIs scanning around the best fit  
<sub>1630</sub> point.

<sub>1631</sub> The confidence interval at  $k\%$  is given by the points where the free-to-fixed likelihood  
<sub>1632</sub> ratio is bigger in data than simulation for  $(1 - k)\%$  of times. As an example, Fig. 4.5

1633 shows the p-values obtained with the plug-in method for  $A_{FB}^h$  and  $f_L$ . A two-  
 1634 dimensional region can also be scanned giving a grid of p-values, which translates  
 into two-dimensional confidence regions.

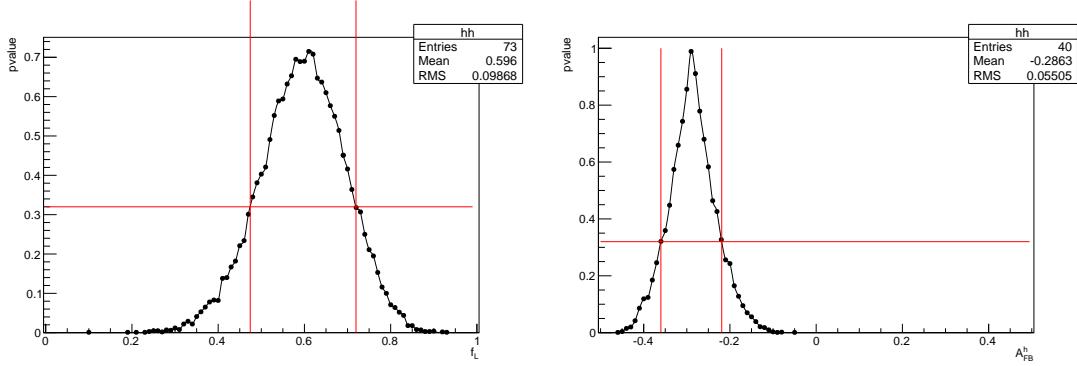


Figure 4.5: Dependence of the p-value from the values of the angular observables  $f_L$  (left) and  $A_{FB}^h$  (right) in simulated experiments. The red lines mark the points at p-value 32% corresponding to a 68% CL.

1635

#### 1636 4.4.2 Modelling the angular distributions

- 1637 The observables are extracted from fits to one-dimensional angular distributions.  
 1638 The PDFs used to model the data are defined as

$$P^k(\cos \theta_{\ell/h}) = (1 - f_b)P_S(\cos \theta_{\ell/h}) \times \varepsilon^k(\cos \theta_{\ell/h}) + f_b P_B^k(\cos \theta_{\ell/h}), \quad (4.16)$$

1639 where  $k = (\text{LL}, \text{DD})$ . The signal function is composed by a theoretical shape ( $P_S$ )  
 1640 given by Eq. 4.10 and 4.9, which is multiplied by an acceptance function  $\varepsilon$  described  
 1641 in Sec. 4.4.3. The background function,  $P_B$ , is parameterised with a linear func-  
 1642 tion times the efficiency shape:  $P_B^k(\cos \theta_{\ell/h}) = (cx + q) \times \varepsilon^k(\cos \theta_{\ell/h})$ . The free  
 1643 parameter of this model is fixed by fitting candidates in the sideband which con-  
 1644 tains only background. Finally,  $f_b$  is the background fraction:  $f_b = B/(S + B)$ .  
 1645 To limit systematic effects due to the background parameterisation the fit is per-  
 1646 formed in a restricted mass region around the  $\Lambda_b^0$  mass peak dominated by the  
 1647 signal:  $5580 < m(\Lambda\mu^+\mu^-) < 5660$  MeV/ $c^2$  (“signal region”). The background frac-  
 1648 tion,  $f_b$ , is obtained by looking at the 4-body  $m(p\pi\mu\mu)$  invariant mass distribution

in a wider interval and fitting it to extract the fraction of background in the signal region. In the fit to the angular distributions this is then gaussian constrained to the obtained value. Figure 4.6 shows the background distributions in the sideband,  $m(p\pi\mu^+\mu^-) > 5700 \text{ MeV}/c^2$ , for the high  $q^2$  integrated interval with overlaid the background function. Note that a different acceptance shape is used for downstream and long events and for each  $q^2$  interval. In summary the only free fit parameter in each of the final fits to data is the forward-backward asymmetry (and  $f_L$  in the leptonic case).

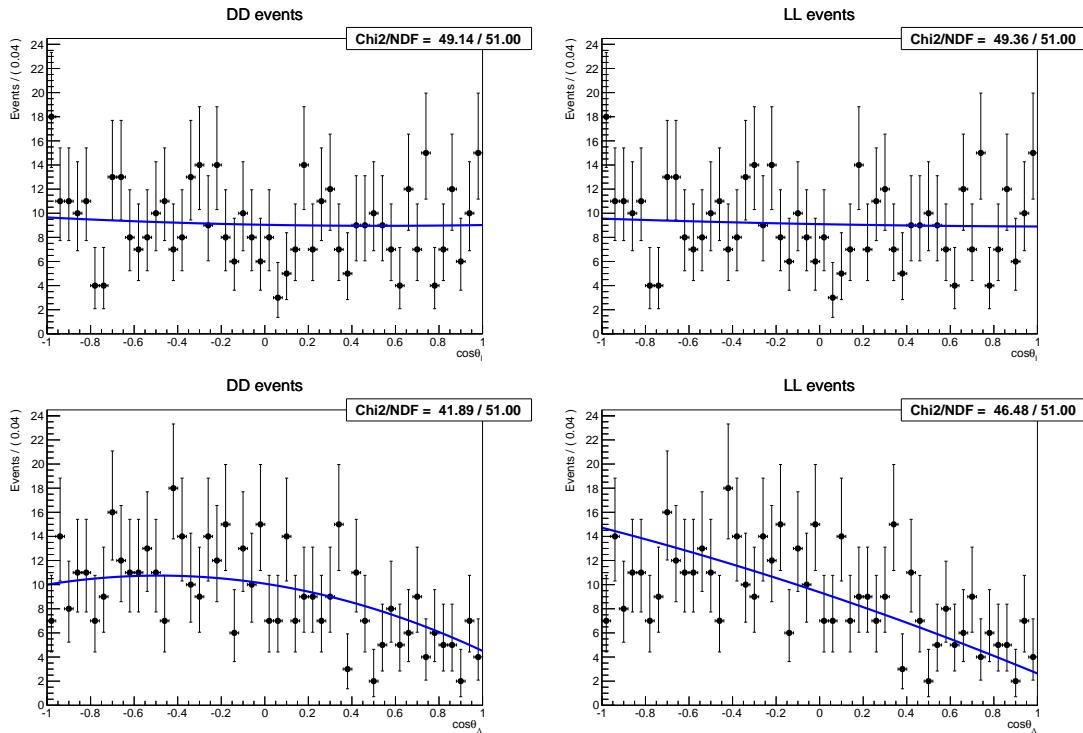


Figure 4.6: Background distribution as a function of  $\cos \theta_\ell$  (top) and  $\cos \theta_h$  (bottom) for downstream (left) and long (right) candidates in the  $15-20 \text{ GeV}^2/c^4 q^2$  interval.

1656

#### 1657 4.4.3 Angular acceptance

1658 Selection requirements on the minimum momentum of the muons may distort the  
 1659  $\cos \theta_\ell$  distribution by removing candidates with extreme values of  $\cos \theta_\ell$ . Similarly,  
 1660 the impact parameter requirements affect  $\cos \theta_h$  as very forward hadrons tend to  
 1661 have smaller impact parameter values. While in principle one could take this into

account by an additional weight, to minimise the distortion of the uncertainties estimate, the efficiency function is incorporated in the fit model. The angular efficiency is parametrised using a second-order polynomial and determined separately for downstream and long candidates by fitting simulated events, using an independent set of parameters obtained for each  $q^2$  interval. These parameters are then fixed for the fits to data. Using polynomial functions allows to calculate the PDF normalisation analytically. Figure 4.7 shows the acceptance as a function of  $\cos \theta_h$  and  $\cos \theta_\ell$  for the 15.0–20.0 integrated  $q^2$  interval obtained using a  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  simulated sample. For the lepton side, even though the efficiency is symmetric by construction, all parameters are left free to float, namely it is not constrained to be symmetric.

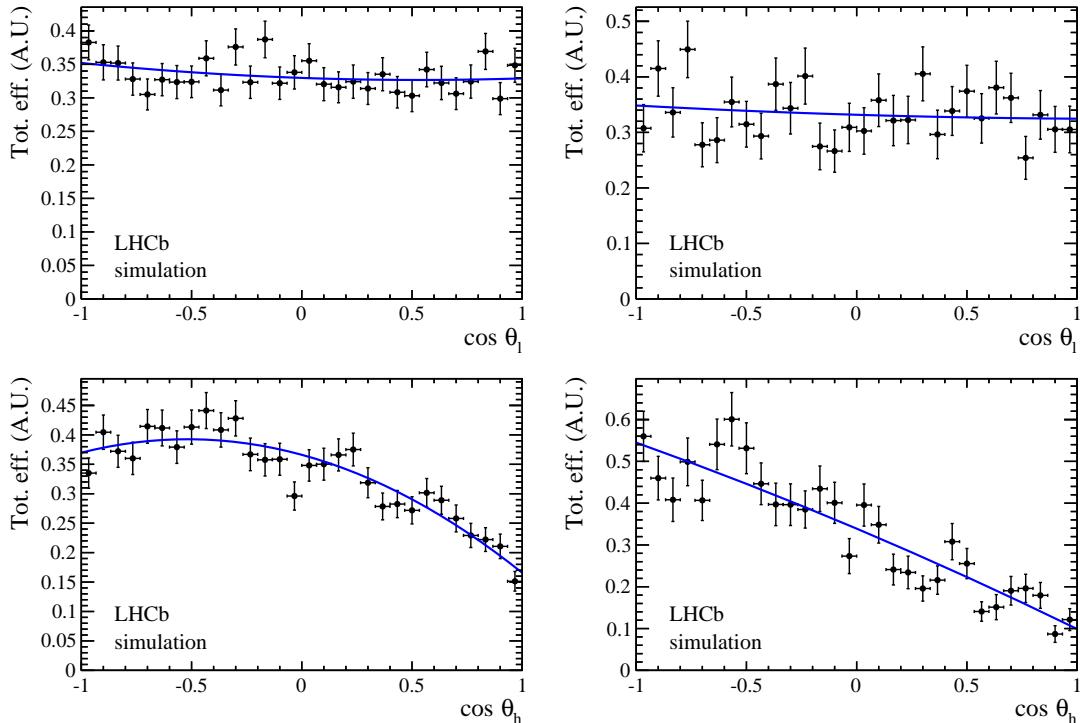


Figure 4.7: Efficiency as a function of  $\cos \theta_\ell$  (top) and  $\cos \theta_h$  (bottom) for downstream (left) and long (right) candidates in the 15–20  $\text{GeV}^2/c^4$   $q^2$  interval.

1673 4.4.4 Studies on a three-dimensional fit

1674 One other way of extracting the angular observables would be to fit at the same  
1675 time both angles and also the invariant mass distribution in order to have a better  
1676 handle on the level of background. In this case one can use more of the information  
1677 available. On the other hand it is necessary to use a larger mass window including  
1678 more background and this method involves more parameters to fit. In the 1D case  
1679 the free parameters are the two parameters of interest ( $A_{\text{FB}}^{\ell}$  and  $f_L$ ) for the lepton  
1680 case and one ( $A_{\text{FB}}^h$ ) for the hadron one. For the 3D case in addition to the three  
1681 PoIs there are two background fractions and the two exponential slopes for the  
1682 invariant mass background. Furthermore, to take correctly into account correlations  
1683 three more observables enter the fit (see Eq. 4.12). As an high number of free  
1684 parameters is difficult to constrain with the very limited statistics available, pseudo-  
1685 experiments are used to check which method gives the best sensitivity. Events are  
1686 generated in a 3D  $(\cos \theta_\ell, \cos \theta_h, m_{p\pi\mu\mu})$  space. The generated values of the PoIs  
1687 are  $A_{\text{FB}}^{\ell} = 0$ ,  $f_L = 0.7$  and  $A_{\text{FB}}^h = -0.37$ , which are data-like values inspired to  
1688 a preliminary measurement in the highest statistics interval. The overall statistics  
1689 and the fraction of background events in the mass window are generated to be data-  
1690 like using information from the preliminary fit to data. Each pseudo-experiment is  
1691 fitted with both methods and Fig. 4.8 reports distributions of parameters of interest  
1692 obtained from the fit in the 1D and 3D cases. The RMS of these distributions can  
1693 be taken as a measure of the sensitivity of each method. Table 4.3 lists the RMSs  
1694 obtained from both methods; for all parameters of interest the 1D fit method gives  
 a smaller RMS, hence a better sensitivity.

Table 4.3: RMS values for toy experiments on the extraction of the three parameters of interest with the 1D or 3D fitting methods.

$q^2$ [GeV $^2/c^4$ ]	Fit type	$A_{\text{FB}}^h$	$A_{\text{FB}}^{\ell}$	$f_L$
15.0–20.0	1D	0.070	0.055	0.099
	3D	0.092	0.095	0.153
11.0–12.5	1D	0.142	0.128	0.198
	3D	0.249	0.254	0.303

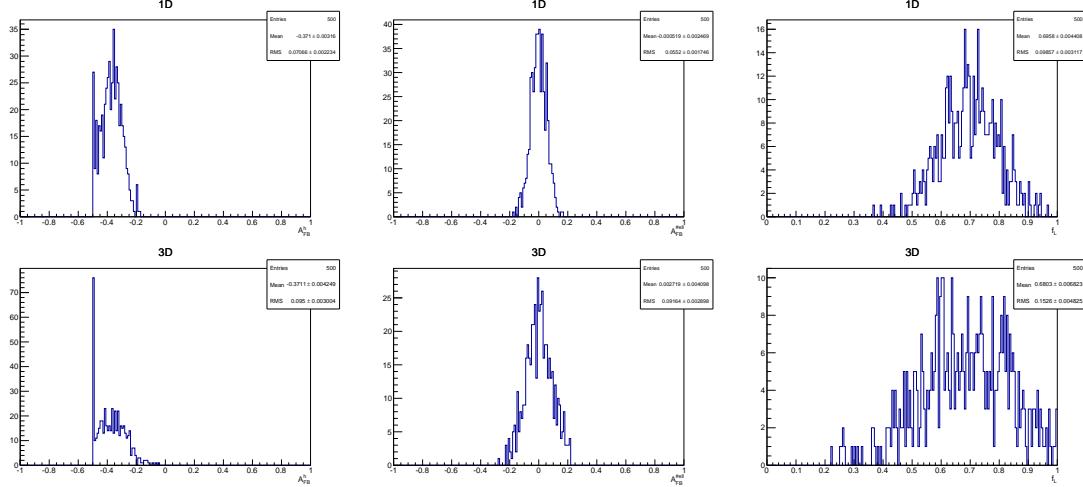


Figure 4.8: Distribution of observed parameters of interest over 500 pseudo-experiments obtained using the 1D fit method (top) and the 3D one (bottom). These toys correspond to events generated with parameters and statistics corresponding to what is observed in the 15–20  $q^2$  ninterval.

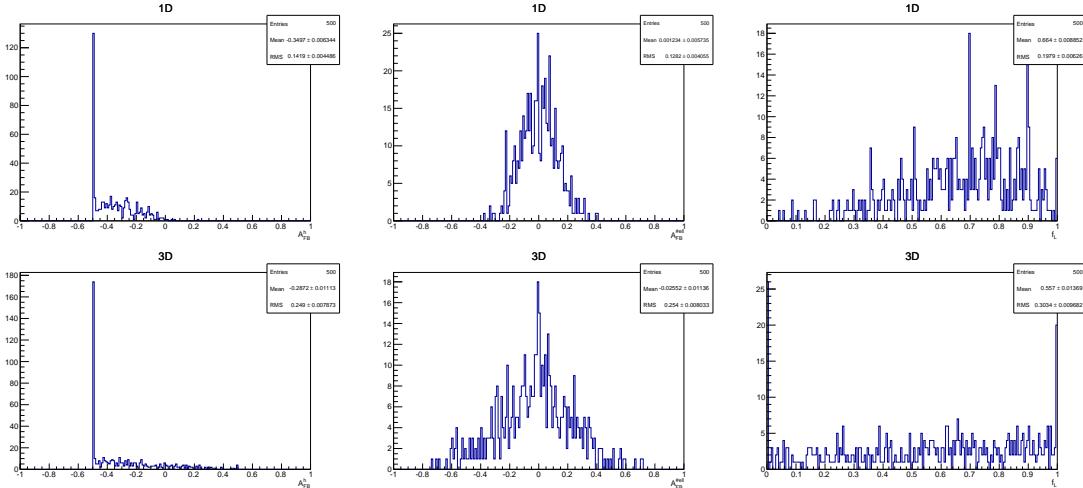


Figure 4.9: Distribution of observed parameters of interest over 500 pseudo-experiments using the 1D fit method (top) and the 3D one (bottom). These toys correspond to events generated with parameters and statistics corresponding to what we observe in the 11–12.5  $q^2$  interval.

## 4.5 Systematics uncertainties on angular observables

1697 The following section describes the five main sources of systematic uncertainties  
 1698 that are considered for the angular observables measurement and, finally, results  
 1699 are reported in Sec. 4.7. Results are derived only for  $q^2$  intervals where the signal  
 1700 significance, shown in Tab. 3.6, is above 3 standard deviations. This includes all

<sub>1701</sub>  $q^2$  intervals above the  $J/\psi$  resonance and the lowest  $q^2$  interval, where an increased  
<sub>1702</sub> yield is due to the presence of the photon pole.

### <sub>1703</sub> 4.5.1 Angular correlations

<sub>1704</sub> The angular acceptance is non-flat as a function of  $\cos \theta_\ell$  and  $\cos \theta_h$ . Therefore, while  
<sub>1705</sub> integrating the full angular distribution, terms that cancel with perfect efficiency  
<sub>1706</sub> may remain and generate a bias in the final result. In order to deal with this effect  
<sub>1707</sub> simulated events are generated in a two-dimensional  $(\cos \theta_\ell, \cos \theta_h)$  space according to  
<sub>1708</sub> the theoretical distribution described by Eq. 4.15 multiplied by the two-dimensional  
<sub>1709</sub> efficiency function obtained from simulation and reported in Fig. 4.10. Then, one-  
<sub>1710</sub> dimensional projections are taken and fit using the default one-dimensional efficiency  
<sub>1711</sub> functions. Figure 4.11 shows the distribution of observed deviations from the gener-  
<sub>1712</sub> ated value,  $\Delta x = x_{true} - x_{measured}$ . Since the mean of these distributions is non-zero  
<sub>1713</sub> by more than  $3\sigma$ , they are taken as a systematic uncertainties.

### <sub>1714</sub> 4.5.2 Resolution

<sub>1715</sub> The angular resolution could bias the observables measurement generating an asym-  
<sub>1716</sub> metric migration of events. This is especially important in the  $\cos \theta_h$  case, because  
<sub>1717</sub> it has worse resolution and a considerably asymmetric distribution. Simulated ex-  
<sub>1718</sub> periments are used to asses this systematic. Events are generated according to  
<sub>1719</sub> the measured distributions including efficiencies. The generated events are then  
<sub>1720</sub> smeared by the angular resolution (gaussian smearing). To be conservative the case  
<sub>1721</sub> with biggest angular resolution, downstream candidates, is always used. Finally,  
<sub>1722</sub> the smeared and not-smeared distributions are fit with the same PDF. The average  
<sub>1723</sub> deviation from the default values are reported in Tab. 4.4 as a function of  $q^2$  and  
<sub>1724</sub> assigned as systematic uncertainties.

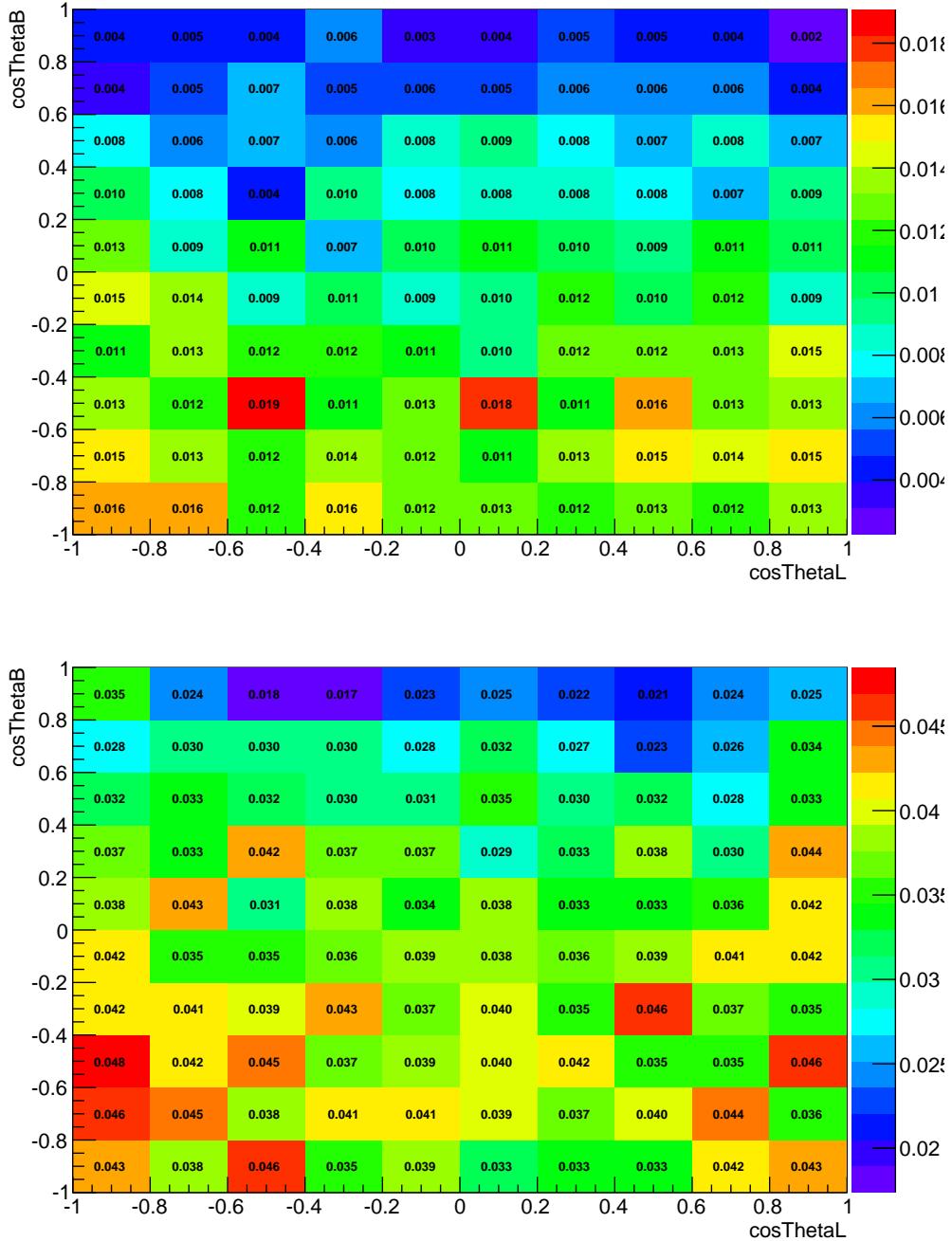


Figure 4.10: Angular acceptance as a function of  $\cos \theta_\ell$  and  $\cos \theta_h$  for long (top) and downstream (bottom) candidates, integrated over the full available  $q^2$  range.

### 1725 4.5.3 Efficiency description

1726 An imprecise determination of the reconstruction and selection efficiency can in-  
1727 troduce an extra oddity and therefore bias the measurement. To asses this effect

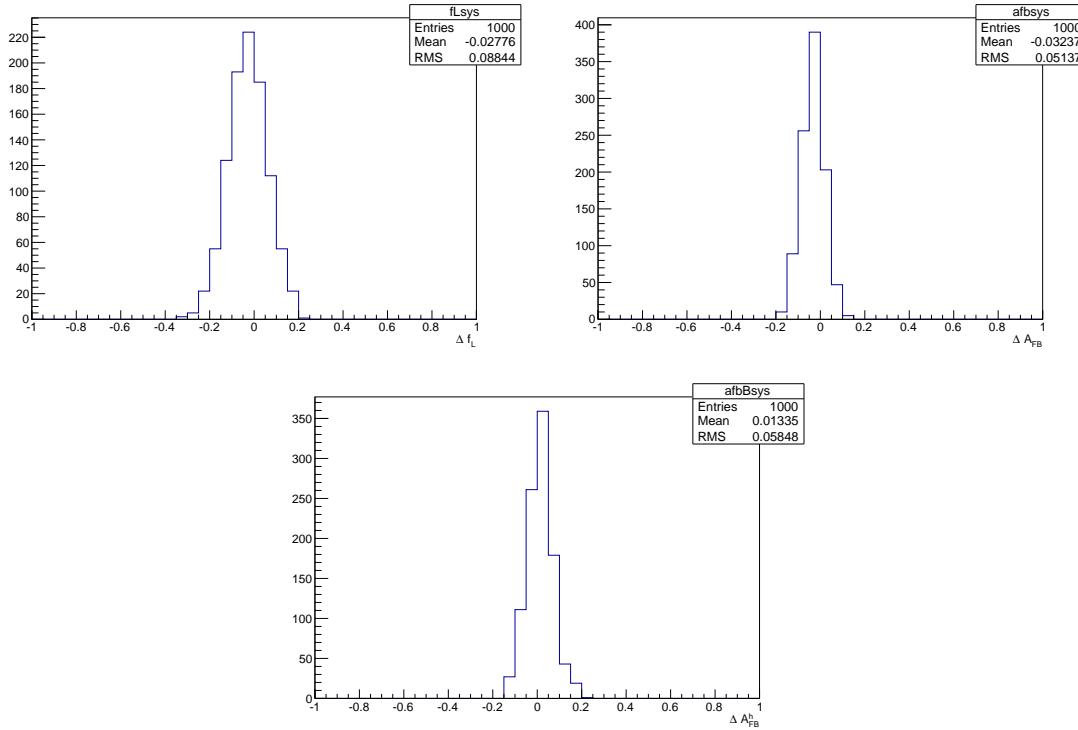


Figure 4.11: Deviations of the observables' values obtained fitting simulated events generated with a 2D distribution multiplied by a 2D efficiency and fitting 1D projections with respect to generated values. For  $f_L$  (top left),  $A_{FB}^\ell$  (top right) and  $A_{FB}^h$  (bottom).

1728 the kinematic re-weighting described in Sec. 3.3.2 is removed from the simulation  
 1729 and the efficiency is determined again. Simulated events are then fit using the same  
 1730 theoretical PDF but multiplied by the efficiency function obtained with and without  
 1731 kinematical weights. As in the previous cases the average bias is taken as systematic  
 1732 uncertainty; results are shown in Tab. 4.5. Furthermore, the effect of the limited  
 1733 simulated statistics is taken into account and added to the systematic uncertainty.

#### 1734 4.5.4 Background parameterisation

1735 There is a certain degree of arbitrariness in the choice of a parameterisation for the  
 1736 background, especially for  $q^2$  intervals with low statistics. To assess possible biases  
 1737 due to the PDF choice, simulated experiments are generated using the shapes from  
 1738 data fits and the same statistics as observed in data for each  $q^2$  interval. Each

Table 4.4: Values of simulated  $\cos \theta_\ell$  and  $\cos \theta_\Lambda$  resolutions and systematic uncertainties on angular observables due to the finite resolution in bins of  $q^2$ .

$q^2$ [ GeV $^2/c^4$ ]	$\sigma_\ell$	$\sigma_\Lambda$	$\Delta A_{\text{FB}}^\ell$	$\Delta f_L$	$\Delta A_{\text{FB}}^h$
0.1–2.0	0.0051	0.061	0.0011	-0.0022	-0.007
11.0–12.5	0.0055	0.067	0.0016	-0.0051	-0.013
15.0–16.0	0.0059	0.070	0.0006	-0.0054	-0.010
16.0–18.0	0.0064	0.070	0.0014	-0.0077	-0.010
18.0–20.0	0.0081	0.074	0.0014	-0.0062	-0.010
15.0–20.0	0.0066	0.072	0.0013	-0.0076	-0.011

Table 4.5: Values systematic uncertainties due to limited knowledge of the efficiency function on the three angular observables in bins of  $q^2$

$q^2$ [ GeV $^2/c^4$ ]	$A_{\text{FB}}^h$	$A_{\text{FB}}^\ell$	$f_L$
0.1–2.0	0.0093	0.0020	0.0440
11.0–12.5	0.0069	0.0069	0.0027
15.0–16.0	0.0109	0.0018	0.0046
16.0–18.0	0.0159	0.0012	0.0043
18.0–20.0	0.0148	0.0030	0.0017
15.0–20.0	0.0138	0.0002	0.0046

<sup>1739</sup> pseudo-experiment is fit with two models: the default one, a “line times efficiency”  
<sup>1740</sup> function and the efficiency function alone, corresponding to the assumption that  
<sup>1741</sup> background distributions are originally flat and only modified by the interaction  
<sup>1742</sup> with the detector. The average bias with respect to the default model is taken as  
<sup>1743</sup> systematic uncertainty; results are reported in Tab. 4.7.

<sup>1744</sup>

### <sup>1745</sup> 4.5.5 Polarisation

<sup>1746</sup> To study the effect of a non-zero  $\Lambda_b^0$  production polarisation simulated events are  
<sup>1747</sup> generated using the distributions given by Eqs. 4.12 and 4.14 as a function of the  
<sup>1748</sup> angle under study ( $\cos \theta_\ell$  or  $\cos \theta_h$ ) and  $\cos \theta$ , defined in Sec. 4.2, which is sensitive to  
<sup>1749</sup> polarisation. Similarly to the procedure used for the branching ratio measurement,  
<sup>1750</sup> events are generated using values of the polarisation corresponding to  $\pm \sigma$  from the  
<sup>1751</sup> LHCb measurement [91]. In the theoretical functions  $\cos \theta$  is always odd therefore

Table 4.6: Values of systematic uncertainties due to the statistics of the simulated samples on the three angular observables in bins of  $q^2$ .

$q^2$ [ GeV $^2/c^4$ ]	$A_{FB}^\ell$	$f_L$	$A_{FB}^h$
0.1–2.0	0.00151	0.00170	0.00213
11.0–12.5	0.00121	0.00154	0.00196
15.0–16.0	0.00004	0.00017	0.00103
16.0–18.0	0.00065	0.00246	0.00417
18.0–20.0	0.00023	0.00372	0.00162
15.0–20.0	0.00039	0.00091	0.00137

Table 4.7: Values of systematic uncertainties due to the choice of background parameterisation in bins of  $q^2$ .

$q^2$ [ GeV $^2/c^4$ ]	$A_{FB}^\ell$	$f_L$	$A_{FB}^h$
0.1–2.0	0.003	0.049	0.053
11.0–12.5	0.045	0.034	0.035
15.0–16.0	0.010	0.038	0.026
16.0–18.0	0.026	0.036	0.022
18.0–20.0	0.011	0.031	0.025
15.0–20.0	0.007	0.014	0.017

with perfect efficiency it always drops out by integrating over  $\cos\theta$ . Therefore the generated distributions are also multiplied by the two-dimensional efficiency function. No significant bias is found.

## 4.6 $J/\psi$ cross-check

To cross-check the fitting procedure this is applied on the high statistics  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  sample. For this purpose events are selected with an additional requirement on the proton PID,  $\text{PID}_p > 10$ . This is needed to reduce the  $B^0 \rightarrow K_s^0 J/\psi$  background, which is particularly important for the hadronic side fit, since the  $K_s^0$  events are not distributed in a flat way in the  $\cos\theta_h$  variable and would therefore bias the fit. Figure 4.12 shows the invariant mass distributions after this requirement is applied, which can be compared with the ones in Fig. 3.13. After the PID cut there are 0.2% of  $K_s^0$  events left in the downstream sample and a fraction compatible with zero in the long sample. The signal model used for this fit is the same used for the rare case

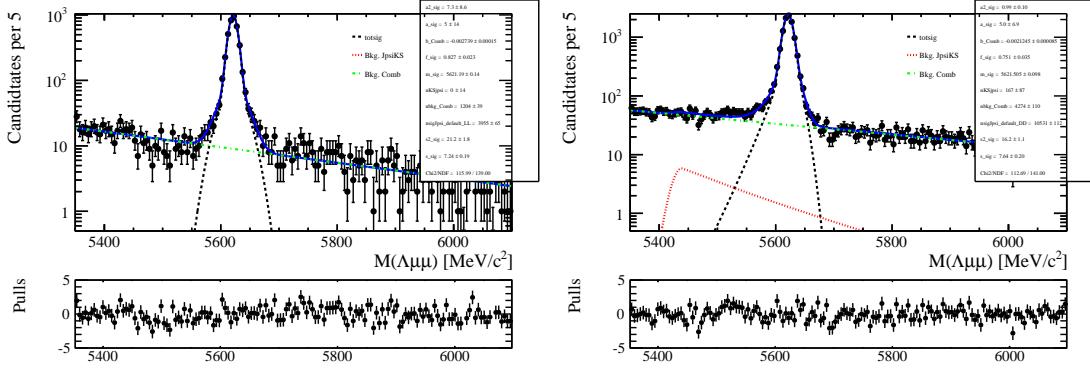


Figure 4.12: Invariant mass distribution of  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  long (left) and downstream (right) candidates with an extra proton PID cut to remove  $K_s^0$  background.

and described in Sec. 4.4.2. For the background instead the higher statistics allows to leave more freedom to the fit. Therefore a second-order Chebyschev polynomial is used, where the two parameters are free to vary. As for the rare case the background fractions are gaussian-constrained to what found from the invariant mass fit. Figures 4.13 and 4.14 show fitted angular distributions for the  $J/\psi$  channel. The measured values of the observables are  $A_{FB}^\ell = -0.002^{+0.011}_{-0.011}$ ,  $A_{FB}^h = -0.402^{+0.010}_{-0.009}$  and  $f_L = 0.485^{+0.019}_{-0.020}$ , where the uncertainties are 68% Feldman Cousins confidence intervals. The lepton side asymmetry as expected is measured to be zero.

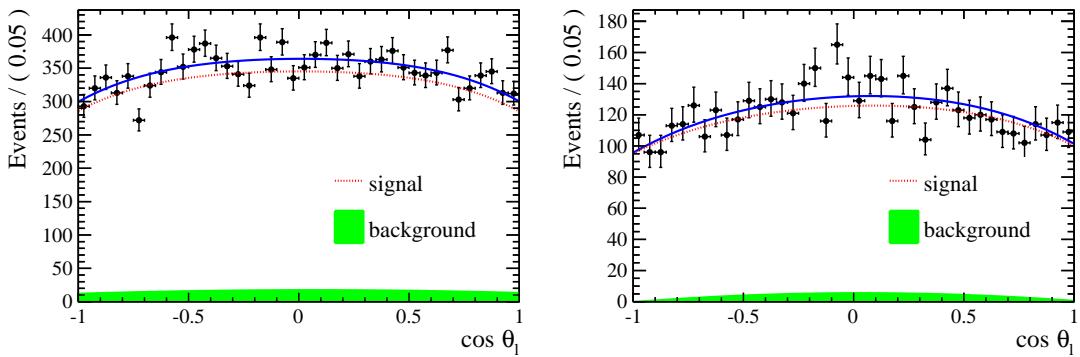


Figure 4.13: Fitted angular distribution as a function of  $\cos \theta_\ell$  for  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  candidates reconstructed using downstream (left) and long (right) tracks.

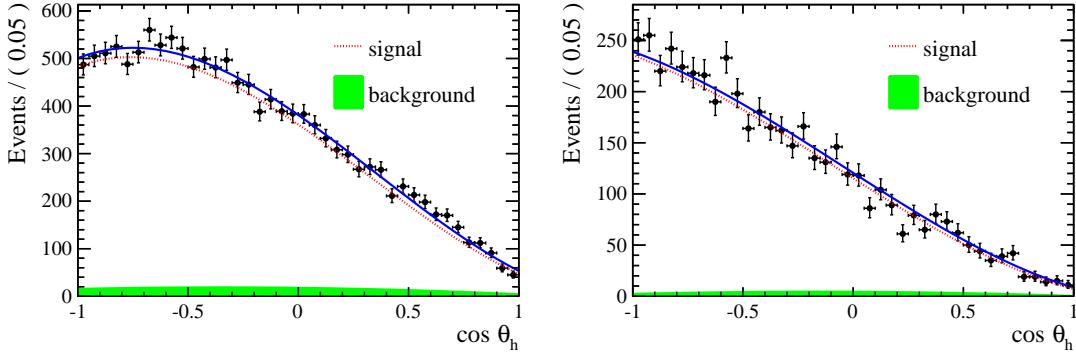


Figure 4.14: Fitted angular distribution as a function of  $\cos \theta_h$  for  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  candidates reconstructed using downstream (left) and long (right) tracks.

## 1773 4.7 Results

1774 Figures 4.15 and 4.16 show fits to the angular distributions for the 15-20  $\text{GeV}^2/c^4 q^2$   
 1775 interval and Tab. 4.8 reports measured values of  $A_{\text{FB}}^\ell$ ,  $A_{\text{FB}}^h$  and  $f_L$ . The asymmetries  
 1776 are also shown in Fig. 4.17 together with SM predictions obtained from Ref. [94].  
 1777 The statistical uncertainties on these tables are obtained using the likelihood-ratio  
 1778 ordering method described in Sec. 4.4.1, where only one of the two observables is  
 1779 treated as the PoI at a time. The statistical uncertainties on  $A_{\text{FB}}^\ell$  and  $f_L$  are also  
 1780 reported in Fig. 4.18 as two-dimensional 68 % confidence level (CL) regions, where  
 1781 the likelihood-ratio ordering method is applied by varying both observables and  
 1782 therefore taking correlations into account. Total systematic uncertainties correspond  
 1783 to the square root sum of the single considered sources.

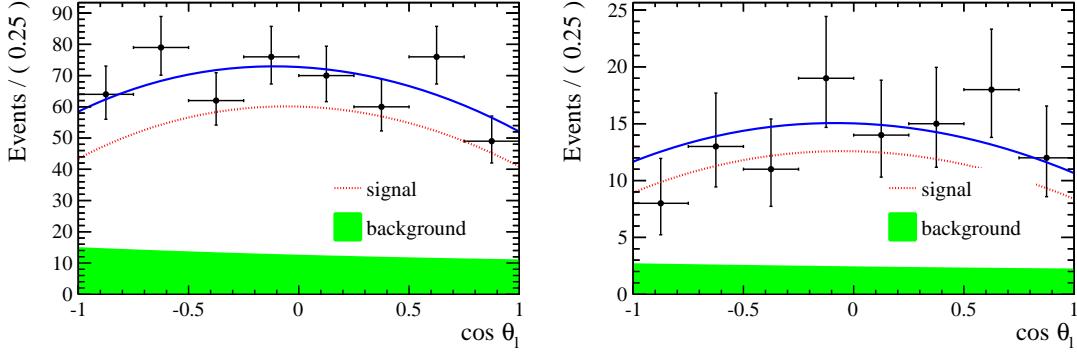


Figure 4.15: Fitted angular distributions as a function of  $\cos \theta_\ell$  for downstream (left) and long (right) candidates in the  $15\text{--}20 \text{ GeV}^2/c^4 q^2$  interval.

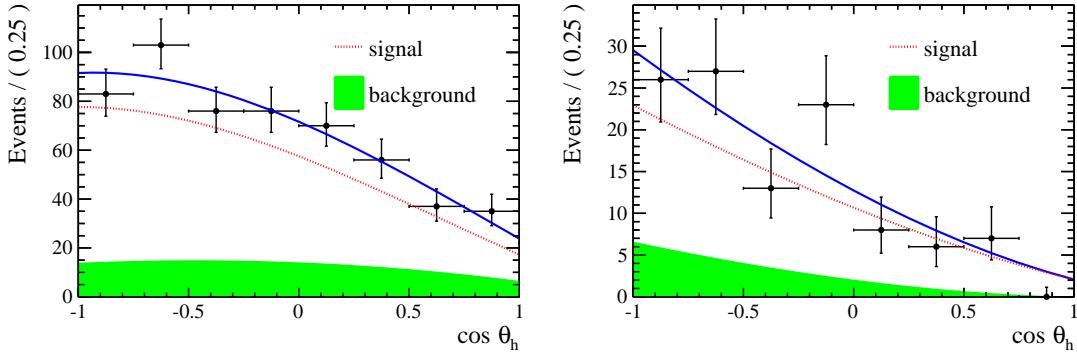


Figure 4.16: Fitted angular distributions as a function of  $\cos \theta_h$  for downstream (left) and long (right) candidates in the  $15\text{--}20 \text{ GeV}^2/c^4 q^2$  interval.

Table 4.8: Measured values of leptonic and hadronic angular observables, where the first uncertainties are statistical and the second systematic.

$q^2$ interval [ GeV $^2/c^4$ ]	$A_{\text{FB}}^\ell$	$f_L$	$A_{\text{FB}}^h$
0.1 – 2.0	$0.37^{+0.37}_{-0.48} \pm 0.03$	$0.56^{+0.23}_{-0.56} \pm 0.08$	$-0.12^{+0.31}_{-0.28} \pm 0.15$
11.0 – 12.5	$0.01^{+0.19}_{-0.18} \pm 0.06$	$0.40^{+0.37}_{-0.36} \pm 0.06$	$-0.50^{+0.10}_{-0.00} \pm 0.04$
15.0 – 16.0	$-0.10^{+0.18}_{-0.16} \pm 0.03$	$0.49^{+0.30}_{-0.30} \pm 0.05$	$-0.19^{+0.14}_{-0.16} \pm 0.03$
16.0 – 18.0	$-0.07^{+0.13}_{-0.12} \pm 0.04$	$0.68^{+0.15}_{-0.21} \pm 0.05$	$-0.44^{+0.10}_{-0.05} \pm 0.03$
18.0 – 20.0	$0.01^{+0.15}_{-0.14} \pm 0.04$	$0.62^{+0.24}_{-0.27} \pm 0.04$	$-0.13^{+0.09}_{-0.12} \pm 0.03$
15.0 – 20.0	$-0.05^{+0.09}_{-0.09} \pm 0.03$	$0.61^{+0.11}_{-0.14} \pm 0.03$	$-0.29^{+0.07}_{-0.07} \pm 0.03$

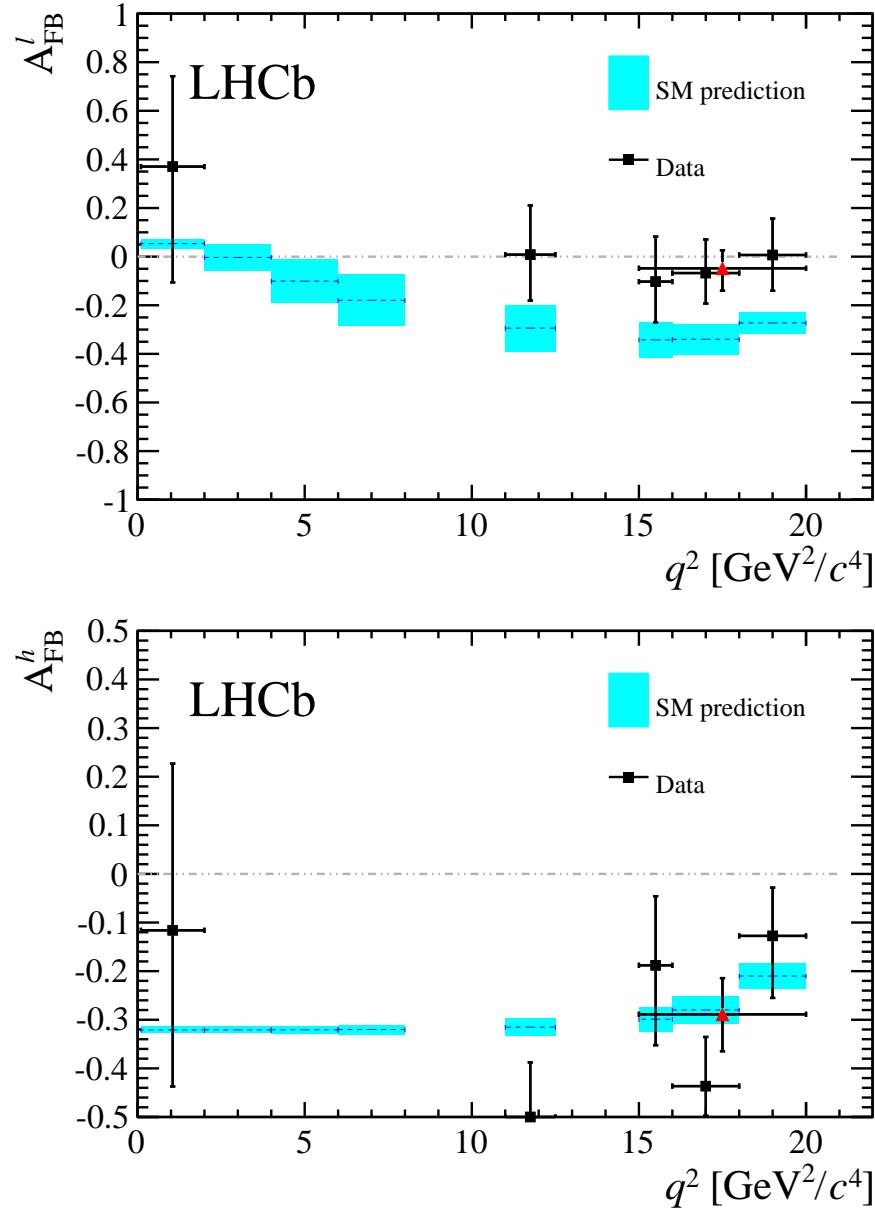


Figure 4.17: Measured values of the leptonic (top) and the hadronic (bottom) forward-backward asymmetries in bins of  $q^2$ . Data points are only shown for  $q^2$  intervals where a statistically significant signal yield is found, see text for details. The (red) triangle represents the values for the  $15 < q^2 < 20$  GeV $^2/c^4$  interval. Standard Model predictions are obtained from Ref. [101].

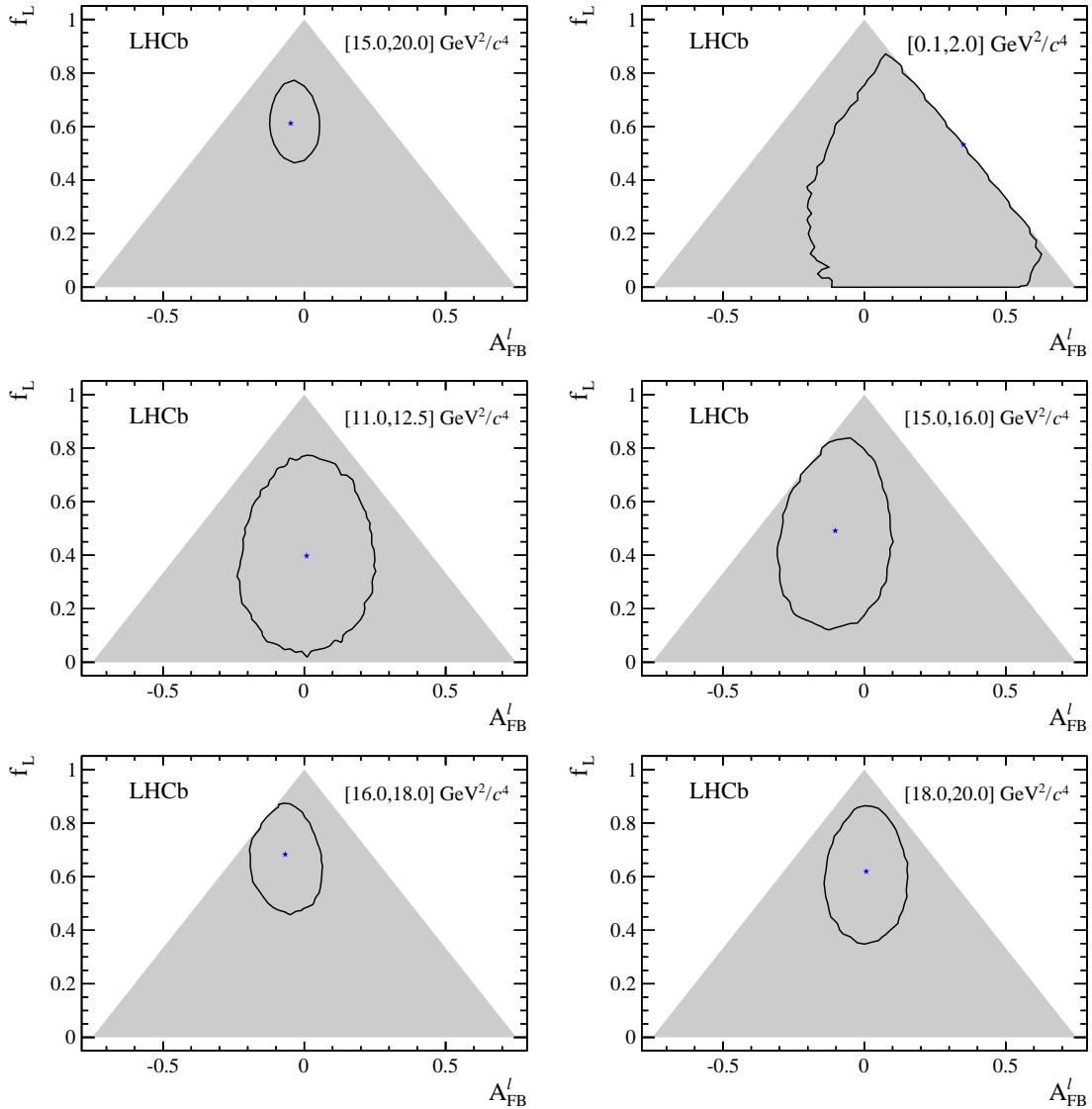


Figure 4.18: Two-dimensional 68 % CL regions (black) as a function of  $A_{FB}^l$  and  $f_L$ . The shaded areas represent the regions in which the PDF is positive over the complete  $\cos \theta_\ell$  range. The best fit points are indicated by the (blue) stars.

1784

## CHAPTER 5

1785

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1786

### Testing lepton flavour universality with $R_{K^{*0}}$

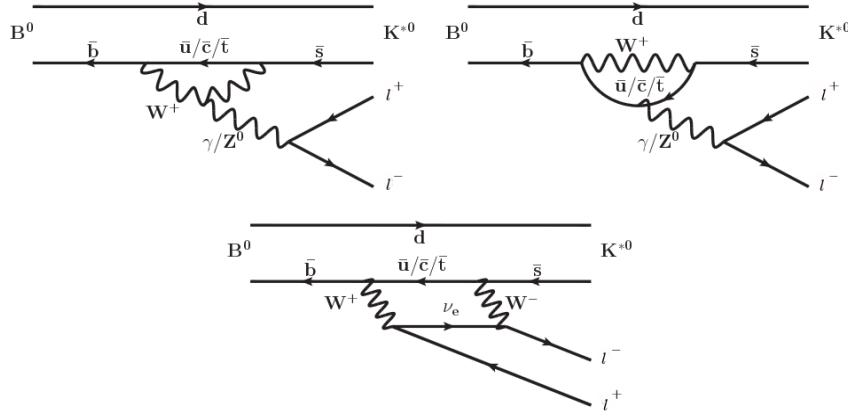
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1788 Lepton Flavour Universality (LFU) is the equality of the weak coupling constants  
1789 for all leptons. FCNC processes, which are forbidden in the SM at tree level and  
1790 happen only at loop level, are an ideal laboratory to study LFU as new physics in  
1791 the loops could break the flavour symmetry.

1792 In this work  $b \rightarrow s\mu^+\mu^- (e^+e^-)$  decays are studied to test LFU between electrons and  
1793 muons using penguin decays. In particular, the  $B^0$  meson semileptonic decays  $B^0 \rightarrow$   
1794  $K^{*0}\ell^+\ell^-$  are considered. Figure 5.1 shows the possible Feynman diagrams producing  
1795 such decays while Fig. 5.2 illustrates how these Feynman diagrams may include new  
1796 particles. A series of recent LHCb measurements [25] points to a tension with SM  
1797 predictions, which make these processes very interesting to better understand the  
1798 nature of the discrepancy.

1799 In order to exploit the sensitivity of loop diagrams, in 2004 Hiller and Kruger pro-  
1800 posed the measurement of the  $R_H$  ratio [102], defined in Eq. 5.1, where  $H$  can be an

Figure 5.1: Loop diagrams of the  $B^0 \rightarrow K^{(*)0} \ell^+ \ell^-$  process.

inclusive state containing an  $s$  quark ( $X_s$ ) or an  $s$ -quark resonance like  $K$  or  $K^{*0}$ .

$$R_H = \frac{\int_{4m_\mu^2}^{m_b} \frac{d\mathcal{B}(B^0 \rightarrow H \mu^+ \mu^-)}{dq^2} dq^2}{\int_{4m_\mu^2}^{m_b} \frac{d\mathcal{B}(B^0 \rightarrow H e^+ e^-)}{dq^2} dq^2} \quad (5.1)$$

In this quantity the differential branching ratio is integrated over the squared dilepton invariant mass,  $q^2$ , from  $q_{min}^2 = 4m_\mu^2$ , which is the threshold for the  $\mu\mu$  process, up to  $q_{max}^2 = m_b^2$ .

The advantage of using ratios of branching fractions as observables is that, in the theoretical prediction, hadronic uncertainties cancel out. Furthermore, experimentally, some of the systematic uncertainties on the ratios are reduced giving a better measurement. For example, what is measured is the number of  $\mu\mu$  and  $ee$  decays happening in a certain period of time. Then, the luminosity,  $\mathcal{L}$ , is used to obtain a cross section,  $\sigma$ , using  $R = \mathcal{L}\sigma$ , where  $R$  is the rate at which the decays occur. The luminosity measurement is usually a source of systematic uncertainty, but it appears on both sides of the ratio and therefore cancels out.

Since the SM does not distinguish between lepton flavours, the predicted value of the ratio is  $R_H = 1$ , under the assumption of massless leptons. Taking into account effects of order  $m_\mu^2/m_b^2$  Hiller and Kruger calculate that in the SM and in the full  $q^2$

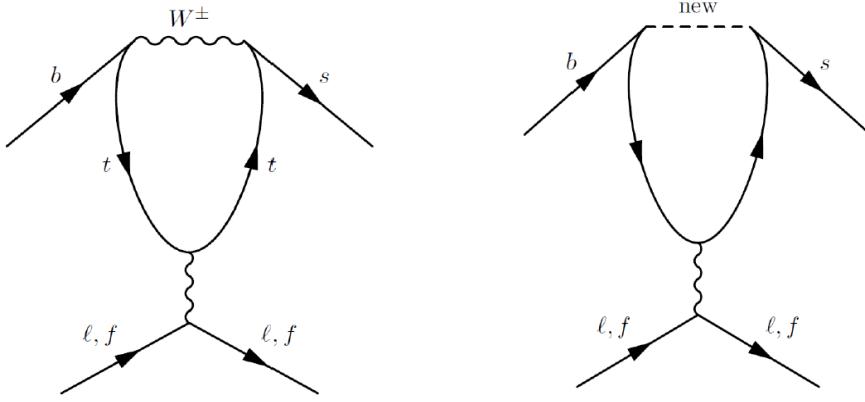


Figure 5.2: Example of penguin diagrams, on the left involving SM particles and on the right involving new possible particles.

range [102]:

$$R_{X_s} = 0.987 \pm 0.006, \quad (5.2)$$

$$R_K = 1.0000 \pm 0.0001, \quad (5.3)$$

$$R_{K^{*0}} = 0.991 \pm 0.002; \quad (5.4)$$

$$(5.5)$$

<sub>1813</sub> under the assumptions that:

- <sub>1814</sub> • right-handed currents are negligible;
- <sub>1815</sub> • (pseudo-)scalar couplings are proportional to the lepton mass;
- <sub>1816</sub> • there are no CP-violating phases beyond the SM.

<sub>1817</sub> The measurement of the  $R_H$  ratios is of particular interest after the recent measurement of the branching ratio of the  $B_s^0 \rightarrow \mu^+ \mu^-$  decay [36], where no evidence of <sub>1818</sub> new physics was found. In fact the quantities  $(R_H - 1)$  and  $\mathcal{B}(B_s^0 \rightarrow \mu^+ \mu^-)$  remain <sub>1819</sub> proportional with

$$\frac{R_H - 1}{\mathcal{B}(B_s^0 \rightarrow \mu^+ \mu^-)} \sim 2 \cdot 10^{-5}. \quad (5.6)$$

<sub>1821</sub> A joint measurement of these two quantities can give much information and constrain <sub>1822</sub> MFV models. If  $R_H = 1$  and  $\mathcal{B}(B_s^0 \rightarrow \mu^+ \mu^-)$  is close to the SM prediction as it is

measured to be this will allow to put strong constraints on extensions of the SM. If instead  $R_H > 1$  and the equation above is not verified, this would mean that one of the assumptions listed above are not verified, which can happen in some extensions of the SM as Super-Symmetric models with broken R-parity. A series of recent LHCb measurements [25] shows tensions with SM predictions, which makes it interesting to further investigate these processes.

## 5.1 Combining ratios

The full power of the  $R_H$  ratios in understanding new physics scenarios comes from their combinations. In Ref. [103] Hiller and Schmaltz propose the measurement of the double ratios,  $X_H = R_H/R_K$ , which not only can test LFU but also allow to disentangle the kind of new physics that lies behind. These ratios are in fact sensitive to FCNCs of right-handed currents. Furthermore, in Ref. [103] the study is extended to  $B_s^0$  decays such as  $B_s^0 \rightarrow \phi\ell^+\ell^-$  or  $B_s^0 \rightarrow \eta\ell^+\ell^-$ .

Parity and Lorentz invariance require that the Wilson Coefficients with left-handed chirality ( $C$ ) and their right-handed counterparts ( $C'$ ) appear in the decay amplitude of exclusive decays in determined combinations, e.g.

$$\begin{aligned} C + C' : & K, K_{\perp}^*, \dots \\ C - C' : & K_0(1430), K_{0,\parallel}^*, \dots \end{aligned} \tag{5.7}$$

where the labels for the  $K^*$  meson represent its longitudinal (0), parallel ( $\parallel$ ) and perpendicular ( $\perp$ ) transversity components. The  $C$  contributions are universal to all decays and therefore  $X_H$  double ratios are sensitive to right-handed currents. In fact the  $R_H$  ratios can be expressed in terms of their deviation from unity as

$$\begin{aligned} R_K &\simeq 1 + \Delta_+, \\ R_{K_0(1430)} &\simeq 1 + \Delta_-, \\ R_K^* &\simeq 1 + p(\Delta_- - \Delta_+) + \Delta_+, \end{aligned} \tag{5.8}$$

1843 where the  $\Delta_{\pm}$  quantities are combinations of Wilson coefficients described in Eq. 10  
1844 of Ref. [103] and the parameter  $p$  is the polarisation of  $K^*$  that in Ref. [103] is  
1845 determined to be close to 1 simplifying the formula to  $R_{K^*} \simeq 1 + \Delta_-$ . In particular  
1846 one can observe the following correlations:

- 1847 •  $R_K < 1$ , as it is measured to be, and  $X_{K^*} > 1$  points to dominant BSM  
1848 contributions into  $C_{LR}$  (see definition in Sec. 1.5.2);
- 1849 • a SM like  $R_K \sim 1$  together with  $X_{K^*} \neq 1$  requires BSM with  $C_{LL} + C_{RL} \simeq 0$ ;
- 1850 •  $R_K \neq 1$  and  $X_{K^*} \simeq 1$  corresponds to new physics in  $C_{LL}$ .

## 1851 5.2 Experimental status

1852 The  $R_K$  and  $R_{K^{*0}}$  ratios have already been measured at the B-factories [104, 105],  
1853 and the  $R_K$  ratio has been recently measured also at LHCb [106] in the  $1 < q^2 < 6$  GeV $^2/c^4$   
1854  $q^2$  interval, which represents the most precise measurement to date. This measure-  
1855 ment manifests a  $2.6\sigma$  deviation from the SM prediction. The current experimental  
1856 status is summarised in Tab. 5.1. By profiting of the large dataset collected during  
1857 Run-I, the LHCb experiment is expected to reduce the uncertainty on  $R_{K^{*0}}$  by at  
1858 least a factor of 2 with respect to the B-factories.

Table 5.1: Experimental status of the  $R_{K^{(*)}}$  measurements.

	Belle	BaBar	LHCb
$R_K$	$1.06 \pm 0.48 \pm 0.05$	$1.38^{+0.39+0.06}_{-0.41-0.07}$	$0.745^{+0.090}_{-0.074} \pm 0.036$
$R_{K^{*0}}$	$0.93 \pm 0.46 \pm 0.12$	$0.98^{+0.30+0.08}_{-0.31-0.08}$	---

1860 **5.3 Analysis strategy**

1861 The aim of the analysis in this chapter is to measure the  $R_{K^{*0}}$  ratio using  $pp$  collision  
 1862 data collected by the LHCb detector in 2011 and 2012, corresponding to  $3 \text{ fb}^{-1}$  of  
 1863 integrated luminosity. The  $B^0 \rightarrow K^{*0}\mu^+\mu^-$  and  $B^0 \rightarrow K^{*0}e^+e^-$ , “rare channels”,  
 1864 are reconstructed via the  $K^{*0}$  decay into a kaon and a pion with opposite charges.

1865 The analysis has to separate signal candidates from background candidates which  
 1866 have similar observed properties. The selection presented in Sec. 5.6 aims to max-  
 1867 imise the yield while minimising the background contamination. Two types of back-  
 1868 grounds are identified: “peaking background” and “combinatorial background”. The  
 1869 first comes from the mis-reconstruction of other decays or from partially recon-  
 1870 structed events. This type of background, because its specific kinematic properties,  
 1871 usually peaks in some variable, such as the invariant mass of all final particles.  
 1872 Therefore these candidates can be removed using specific cuts. The combinatorial  
 1873 background instead comes from the random combination of particles and can be  
 1874 lowered selecting events with good-quality tracks and vertices.

1875 To further reduce the systematic uncertainties the measurement is performed as the  
 1876 double ratio

$$R_{K^{*0}} = \frac{N_{B^0 \rightarrow K^{*0}\mu^+\mu^-}}{N_{B^0 \rightarrow K^{*0}J/\psi \rightarrow \mu^+\mu^-}} \cdot \frac{N_{B^0 \rightarrow K^{*0}J/\psi \rightarrow e^+e^-}}{N_{B^0 \rightarrow K^{*0}e^+e^-}} \cdot \frac{\varepsilon_{B^0 \rightarrow K^{*0}J/\psi \rightarrow \mu^+\mu^-}}{\varepsilon_{B^0 \rightarrow K^{*0}\mu^+\mu^-}} \cdot \frac{\varepsilon_{B^0 \rightarrow K^{*0}e^+e^-}}{\varepsilon_{B^0 \rightarrow K^{*0}J/\psi \rightarrow e^+e^-}}, \quad (5.9)$$

1877 where decays reaching the same final states as the rare channels via a  $J/\psi$  resonance,  
 1878  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow \ell^+\ell^-)$ , also referred to as “charmonium” or “resonant” channels,  
 1879 are used as control samples. These decays are distinguished from the rare channels  
 1880 using the invariant mass of the dilepton pair.

1881 As new physics is expected not to affect charmonium resonances the ratio of the  $J/\psi$   
 1882 channels is 1 and therefore  $R'_{K^{*0}} = R_{K^{*0}} \times R_{J/\psi} = R_{K^{*0}}$ . On the other hand using  
 1883 the relative efficiencies between the rare and resonant channels allows to cancel out  
 1884 many effects resulting in a better control of systematic uncertainties. For brevity,

1885 the rare channels will also be denoted as “ $\ell\ell$ ”, or specifically “ $ee$ ” and “ $\mu\mu$ ”, and  
1886 the resonant channels as “ $J/\psi(\ell\ell)$ ”, or “ $J/\psi(ee)$ ” and “ $J/\psi(\mu\mu)$ ”.

## 1887 5.4 Dilepton invariant mass intervals

1888 Three  $q^2$  intervals are considered in this work:

- 1889 • the “low- $q^2$ ” region between  $0.0004$  and  $1.1 \text{ GeV}^2/c^4$ , where the  $b \rightarrow s\ell^+\ell^-$   
1890 process is dominated by the photon pole;
- 1891 • the “central- $q^2$ ” region,  $[1.1, 6.0] \text{ GeV}^2/c^4$ ;
- 1892 • the “high- $q^2$ ” region, above  $15 \text{ GeV}^2/c^4$ .

1893 The central- $q^2$  region is the most interesting place to look for new physics. In fact,  
1894 at low  $q^2$ , below  $1 \text{ GeV}^2/c^4$  the photon pole dominates leaving little space for new  
1895 physics to be found **??**. The choice of the lower limit of the low- $q^2$  bin is driven by  
1896 the need to reject the background due to the  $B^0 \rightarrow K^{*0}\gamma$  decay where the photon  
1897 converts into electrons in the material. The lower bound of the central interval is  
1898 set at  $1.1 \text{ GeV}^2/c^4$ , in order to exclude the contribution from  $\phi \rightarrow \ell^+\ell^-$  decays, that  
1899 can dilute new physics effects. The upper bound of the central interval is chosen  
1900 to be sufficiently far away from the  $J/\psi$  radiative tail, where predictions cannot be  
1901 cleanly obtained. The  $6\text{--}15 \text{ GeV}^2/c^4$  region is characterised by the presence of the  
1902 narrow peaks of the  $J/\psi$  and  $\psi(2S)$  resonances. The lower bound of the high- $q^2$   
1903 region, where the signal in the electron channel is still unobserved, is chosen to  
1904 be sufficiently far from the  $\psi(2S)$  resonance. Rare and normalisation channels are  
1905 selected depending on the  $q^2$  interval they fall into (for details see Sec. 5.6).

1906 **5.4.1 Control channels**

1907 Beyond the normalisation channels,  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-/\mu^+\mu^-)$ , extra-control  
1908 channels are used to perform cross-checks and better constrain some of the back-  
1909 ground components in the electron fit. In particular,  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$ , also  
1910 denoted as “ $\gamma(ee)$ ”, and  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$ , also denoted as “ $\psi(2S)(ee)$ ”.  
1911 All the normalisation and control channels are distinguished depending on the  $q^2$   
1912 interval they fall into (for details see Sec. 5.6).

1913 **5.5 Data samples and simulation**

1914 Simulated samples are used to study the background properties, determine efficien-  
1915 cies and to train the multivariate analysis. The hard interactions are generated with  
1916 Pythia8 hadronic particles are decayed using EvtGen and, finally, propagated into  
1917 the detector using Geant4 and reconstructed with the same software used for data.  
1918 Samples are generated with both 2011 and 2012, magnet up and down conditions  
1919 and are combined in the right proportions, according to the luminosity registered on  
1920 data. The next section describes the corrections applied to the simulation to obtain  
1921 a better description of data.

1922 **5.5.1 Data-simulation corrections**

1923 Since the multivariate classifier training (see Sec. 5.6.6) and the calculation of most  
1924 of the efficiency components (see Sec. 5.9) are obtained from the study of simulated  
1925 events it is important to verify that the simulation provides a reliable reproduction  
1926 the data. In particular it is important to match data and Monte Carlo in the  
1927 kinematics of the final particles and the occupancy of the detector. The kinematics  
1928 of the decays is characterised by the transverse momentum spectrum of the  $B^0$ .  
1929 Discrepancies in this distribution cause also the spectra of the final particles to

1930 differ from data and affect the efficiency determination as its value often depends  
 1931 on the momentum of the final particles. The occupancy of the detector is relevant  
 1932 as it is correlated to the invariant mass shape of the signal because of the addition  
 1933 of energy clusters in the electromagnetic calorimeter, which affects the electron's  
 1934 momenta especially when bremsstrahlung photons emitted before the magnet. The  
 1935 hit multiplicity in the SPD detector is a proxy for the detector occupancy.

1936 Since it is important that these quantities are well modelled, the simulation is  
 1937 reweighted so that the distributions in data and simulation match for these vari-  
 1938 ables. The weight is calculated using resonant  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow \ell^+\ell^-)$  candidates,  
 1939 for which the signal peak is already visible in data after pre-selection (see Sec. 5.6).  
 1940 However, the data still includes a high level of background and distributions cannot  
 1941 be directly compared. The  $s\mathcal{P}$ lot technique [58] is used to statistically subtract the  
 1942 background from data and obtain pure signal distributions using the invariant mass  
 1943 as control variable. Figure 5.3 shows fits to the 4-body invariant mass of candidates  
 1944 after pre-selection. Data and simulation are then compared and the ratio between  
 1945 the two distributions is used to re-weight the simulation. The discrepancy in the  
 1946 SPD hits multiplicity is solved as a first step and then the  $B^0$  transverse momentum  
 1947 distributions are compared between data and simulation reweighted for the SPD  
 1948 multiplicity only. Distributions of  $B^0$  transverse momentum and SPD multiplicity  
 1949 are reported in Fig. 5.4 and ratios of these distribution, which are used to re-weight  
 1950 the simulation, are reported in Fig. 5.5. The weights for the SPD multiplicity are  
 1951 calculated separately for 2011 and 2012 events, because distributions are signifi-  
 1952 cantly different in the two years. The binnings for these distributions are chosen  
 1953 to have approximately the same number of events in each bin to limit fluctuations.  
 1954 Further corrections are made by re-weighting the simulation for PID efficiency using  
 1955 the PIDCalib package as described in Sec. 5.9.3 and, finally,  $ee$  samples are also  
 1956 reweighted for L0 trigger efficiency as described in Sec. 5.9.4. Weights are always  
 1957 applied throughout unless specified.

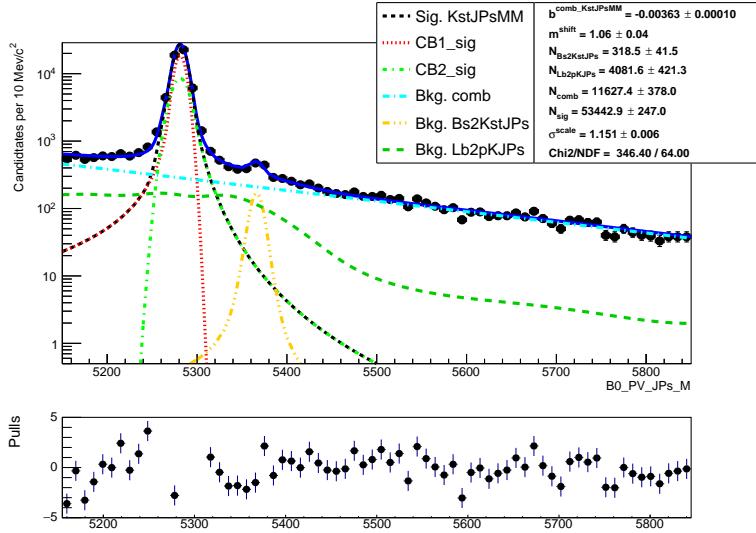


Figure 5.3: Fitted 4-body invariant mass distributions of muonic resonant candidates.

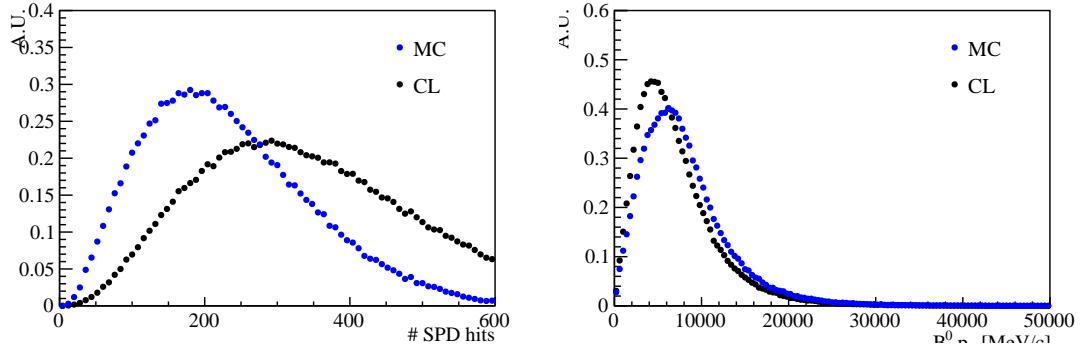


Figure 5.4: Distributions of number of SPD hits (left) and  $B^0$  transverse momentum (right) in data and MC.

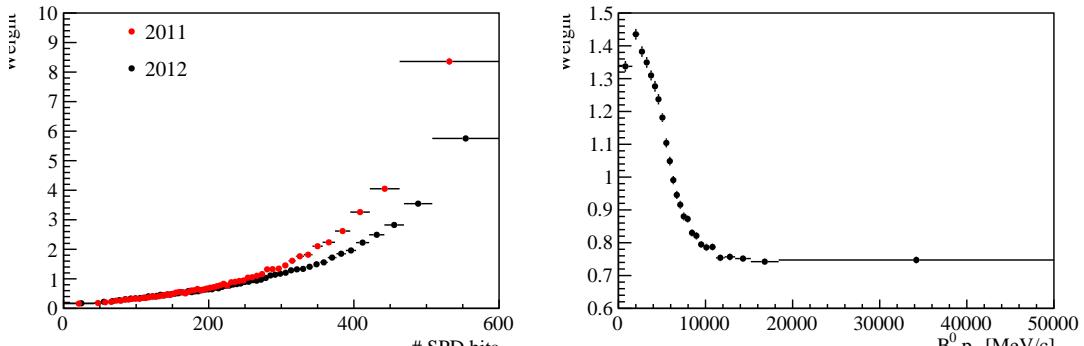


Figure 5.5: Ratios of simulated over real data distributions used to correct the Monte Carlo as a function of the number of SPD hits (left) and the  $B^0$  transverse momentum (right).

## 1958 5.6 Selection

1959 The selection process, described in this section, is divided into several steps:

- 1960 • first of all candidates have to fall into the detector acceptance, produce hits and  
1961 be selected on the basis of quality features, such as  $\chi^2$  of tracks and vertices  
1962 and basic kinematic cuts. This stage is called “stripping”. Furthermore, it  
1963 is required that the events are triggered by specific trigger lines and cuts are  
1964 applied to remove backgrounds from specific decays. All these first three steps  
1965 are referred to as “pre-selection”;
- 1966 • secondly, particle identification requirements are applied to remove part of  
1967 misreconstructed background and clear the way for the last step;
- 1968 • in the final step a neural network is used to remove combinatorial background.  
1969 Furthermore, for the electron channels, which are more challenging, the kine-  
1970 matic structure of the decays is also used to improve the samples purity.

1971 To identify the  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow \mu^+\mu^-)$  candidates a dilepton mass interval of  
1972  $100 \text{ MeV}/c^2$  around the nominal  $J/\psi$  peak [2] is selected. On the other hand it is  
1973 not possible to use a narrow interval around  $J/\psi(ee)$  mass peak as the invariant  
1974 mass distribution is characterised by a long radiative tail at low masses due to  
1975 bremsstrahlung radiation. Furthermore, a requirement in  $q^2$  distorts the 4-body  
1976  $m(K\pi ee)$  mass distribution which is not advisable as is important to be able to fit  
1977 a wide mass range to constrain the backgrounds. For these reasons the interval to  
1978 select  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  candidates is chosen to go as low as possible without  
1979 overlapping with the rare channel interval. Candidates are therefore identified as  
1980  $J/\psi(ee)$  if they fall in the  $q^2$  interval  $6 < q^2 < 11 \text{ GeV}^2/c^4$ . Similarly, candidates are  
1981 identified as  $\psi(2S)(ee)$  if they fall into  $11 < q^2 < 15 \text{ GeV}^2/c^4$  and  $\gamma(ee)$  if they fall  
1982 into  $q^2 < 0.004 \text{ GeV}^2/c^4$ . Figure 5.6 shows two-dimensional distributions of  $q^2$  versus  
1983 the 4-body invariant mass for candidates passing the full selection. Horizontal bands  
1984 can be clearly seen at  $q^2$  values corresponding to the  $J/\psi$  and  $\psi(2S)$  resonances. On

<sup>1985</sup> the plot for muons it is also evident a vertical band which corresponds to rare decay  
<sup>1986</sup> of interest.

### <sup>1987</sup> 5.6.1 Trigger and Stripping

<sup>1988</sup> Events are triggered for the  $\mu\mu$  and the  $ee$  channels by the trigger lines reported  
<sup>1989</sup> in Tab. 5.2, where the logical *and* of L0, HLT1 and HLT2 lines is required and the  
<sup>1990</sup> logical *or* of the lines on the same level. The candidates are required to be triggered-  
<sup>1991</sup> on-signal (TOS) for most of the stages, namely it is required for the particle which  
<sup>1992</sup> triggered to be one of the particles used to build the signal candidates. Only for  
<sup>1993</sup> `L0Global`, used in the electron case, we require a trigger-independent-of-signal (TIS),  
<sup>1994</sup> this is aimed to collect all the possible statistics for the electron channels, which are  
<sup>1995</sup> the most challenging. The `L0Muon` trigger requires hits in the muon detector, while  
<sup>1996</sup> `L0Electron` and `L0Hadron` use information from the calorimeters; `HLT1TrackAllL0`  
<sup>1997</sup> adds information from the trackers and triggers if the L0 decision is confirmed;  
<sup>1998</sup> finally, `HLT2Topo[2,3]BodyBBDT` uses a full reconstruction of the event and a neural  
<sup>1999</sup> network trained on events with a specific topology in order to detect specific decay  
<sup>2000</sup> structures.

Table 5.2: Summary of the trigger lines used to select the  $\mu\mu$  and the  $ee$  channels.  
Where not explicitly indicated, the lines are required to be TOS.

$\mu\mu$ candidates	$ee$ candidates
L0Muon	L0Electron L0Hadron L0Global (TIS)
Hlt1TrackAllL0 Hlt1TrackMuon	Hlt1TrackAllL0
Hlt2Topo[2,4]BodyBBDT Hlt2TopoMu[2,4]BodyBBDT Hlt2DiMuonDetachedDecision	Hlt2Topo[2,4]BodyBBDT Hlt2TopoE[2,4]BodyBBDT

<sup>2001</sup> For the electron channels the L0 lines have different properties, therefore the analysis  
<sup>2002</sup> is performed separately for three categories of events, depending on the L0 trigger  
<sup>2003</sup> that fired them. These categories are defined to be exclusive in the following way:

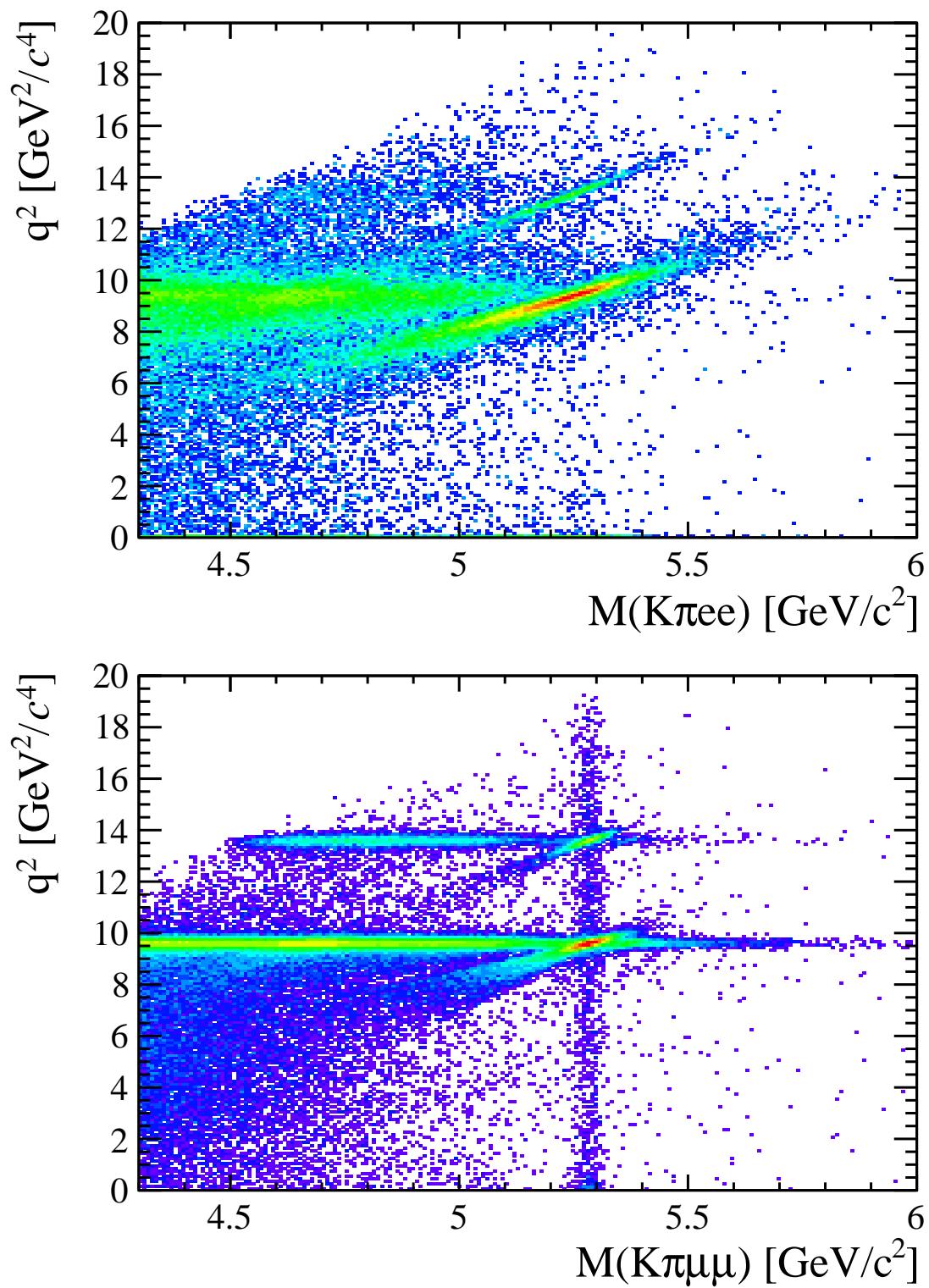


Figure 5.6: Two-dimensional distributions of  $q^2$  versus 4-body  $m(K\pi\ell\ell)$  invariant mass for the electron (top) and muonic (bottom) channels in 2012 data.

- **L0E**: events triggered by at least one of the electrons in the signal candidate (`L0Electron_T0S`);
- **L0H**: events triggered by at least one of the hadrons in the signal candidate and not by L0Electron (`L0Hadron_T0S && !L0Electron_T0S`);
- **L0I**: events triggered by particles not in the signal candidate and not by the previous cases (`L0_TIS && !(L0Electron_T0S || L0Hadron_T0S)`).

The majority of the selected events falls in the L0E category, while the L0H category is more efficient at low  $q^2$  were the  $K^{*0}$  has more momentum. Because L0I is defined to be independent of the signal candidate, the corresponding signal efficiency is the same in the rare and resonant cases and cancels out in their ratio.

Candidates are then required to pass the kinematic and quality cuts summarised in Tab. 5.3. The meaning of the variables in the table was already explained in Sec. 3.4. Loose PID cuts are applied in preselection to limit the size of the samples, while tighter cuts are applied in a second stage. A large mass window is kept around the  $B^0$  peak in order to be able to use the sideband to train the multivariate analysis and to constrain the backgrounds. Track and vertex quality cuts are also applied using the  $\chi^2_{track}/\text{ndf}$ , `GhostProb`, and  $\chi^2_{vtx}/\text{ndf}$  variables. The `GhostProb` quantity describes the probability of a track being fake. By construction cutting at 0.4 removes  $(1 - 0.4) \cdot 100 = 60\%$  of fake tracks. For details about the definition of the variables used see Ref. [107].

## 5.6.2 PID

After preselection there still are high levels of misreconstructed background. In particular, as the ID of kaons and pions are not constrained, the samples still contain both ID combinations for most candidates, therefore tighter PID cuts are applied. In the LHCb analysis framework the particle identification probability can be quantified using the “`ProbNN`” variables [108]. These variables are the output of a neural

Table 5.3: Summary of stripping requirements used for the central and high  $q^2$  regions.

Particle	Requirements
$\pi$	$\chi_{\text{IP}}^2(\text{primary}) > 9$
K	$\text{PID}_K > -5$ $\chi_{\text{IP}}^2(\text{primary}) > 9$ $\text{hasRICH}$
$K^{*0}$	$p_{\text{T}} > 500 \text{ MeV}/c$ $ m - m_{K^{*0}}^{\text{PDG}}  < 300(\text{????}) \text{ MeV}/c^2$ $\chi_{\text{IP}}^2(\text{primary}) > 9$ Origin vertex $\chi_2/\text{ndf} < 25$
$\mu$	$p_{\text{T}} > 300 \text{ MeV}/c$ $\chi_{\text{IP}}^2(\text{primary}) > 9$ $\text{isMuon}$
e	$p_{\text{T}} > 300 \text{ MeV}/c$ $\chi_{\text{IP}}^2(\text{primary}) > 9$ $\text{hasCalo}$ $\text{PID}_e > 0$
$\ell\ell$	$m < 5500 \text{ MeV}/c^2$ End vertex $\chi^2/\text{ndf} < 9$ Origin vertex $\chi^2$ separation $> 16$
$B^0$	$\text{DIRA} > 0.9995$ End vertex $\chi^2/\text{ndf} < 9$ $\chi_{\text{IP}}^2(\text{primary}) < 25$ Primary vertex $\chi^2$ separation $> 100$

network which takes as input information from the calorimeters, the RICH detectors the muon system and the tracking system. Unlike the DLL variables (see Sec. 2.8) the ProbNN are bound from 0 to 1 and can be therefore directly be interpreted as probabilities. For example ProbNN $k$  is the probability for a reconstructed particle to be a kaon. Figure 5.7 shows distributions of the correct ID variables in the

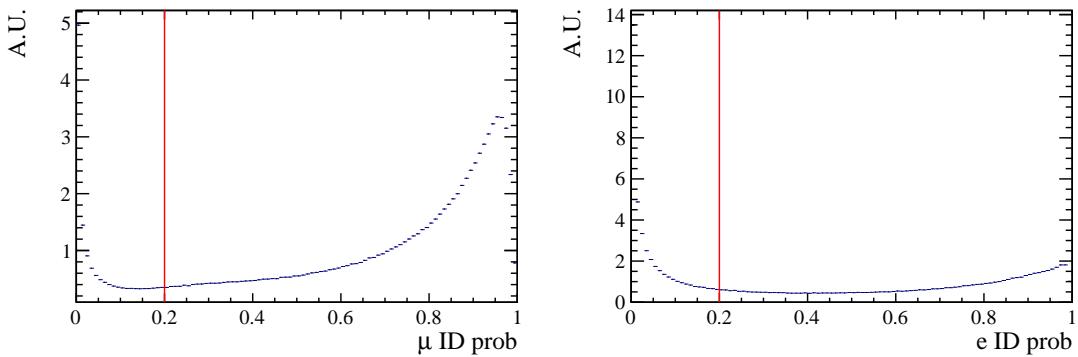


Figure 5.7: Correct ID probability distributions for muons (left) and electron (right) in 2012 data.

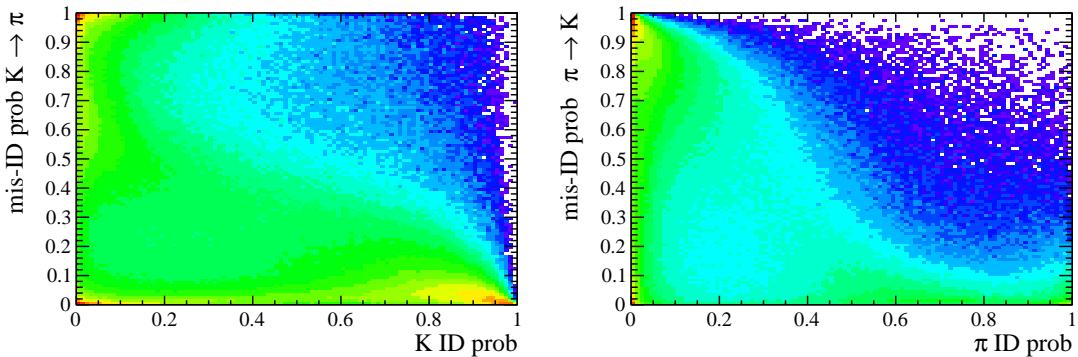


Figure 5.8: On the horizontal axis of these plots is shown the correct ID probabilities for kaons (left) and pions (right), while the vertical axis show the mis-ID probability.

2034  
2035 2012 data sample while Fig. 5.8 shows in a two-dimensional plane the probability  
2036 of correct identification and mis-identification of kaons and pions. These plots are  
2037 characterised by clear peak at maximal ID probability and minimal mis-ID probabil-  
2038 ity, corresponding to particles to which a well defined identification can be assigned.  
2039 In order to maximise the power of the PID requirements probabilities of correct ID  
2040 and mis-ID are combined using the following cuts:

---


$$\begin{aligned} \pi &\rightarrow \text{ProbNNpi} \times (1 - \text{ProbNNk}) \times (1 - \text{ProbNNp}) > 0.1 \\ K &\rightarrow \text{ProbNNk} \times (1 - \text{ProbNNp}) > 0.05 \\ \mu &\rightarrow \min(\text{ProbNNmu}, \text{ProbNNmu}) > 0.2 \\ e &\rightarrow \min(\text{ProbNNe}, \text{ProbNNe}) > 0.2 \end{aligned}$$

2041 In the first formula, for example, `ProbNNpi` is the probability of correctly identifying  
2042 the pion as a pion, while `ProbNNk` is the probability of mistaking it for a kaon. There-  
2043 fore by maximising the quantity “`ProbNNpi`  $\times$  (1 - `ProbNNk`)”, one can maximise  
2044 the correct ID probability and minimise at the same time the mis-ID probability.  
2045

### 2046 5.6.3 Peaking backgrounds

2047 Backgrounds due to specific decays usually peak in some variable because of their  
2048 distinctive kinematic properties and therefore they can be removed without sig-  
2049 nificant signal efficiency loss. The following sections describe the main sources of  
2050 peaking background. The same cuts are applied to the muon and electron channels,  
2051 unless specified.

#### 2052 5.6.3.1 Charmonium vetoes

2053 Charmonium resonances such as  $J/\psi$  and  $\psi(2S)$  peak in  $q^2$ . The choice of  $q^2$  bin-  
2054 ning described in Sec. 5.4 constitutes a natural veto for these decays. Simulated  
2055 events were used to check if resonant candidates leak inside the  $q^2$  intervals cho-  
2056 sen for the rare channel analysis. For the muonic channels the leakage is negli-  
2057 gible as the peaks are sharper due to a better resolution and muons emit fewer  
2058 bremsstrahlung photons, resulting in shorter radiative tails. The electronic chan-  
2059 nels are instead characterised by a worse resolution and at the same time electrons  
2060 can radiate several bremsstrahlung photons, yielding long tails at low  $q^2$ . Analysing  
2061 Monte Carlo events it was found that 1.3–2% (depending on the trigger category)  
2062 of  $B^0 \rightarrow K^*(J/\psi \rightarrow e^+e^-)$  candidates leak into the  $1.1 < q^2 < 6$  GeV $^2/c^4$  interval

and 1.8% of  $\psi(2S)$  events leak above  $15 \text{ GeV}^2/c^4$ . The contribution from these candidates is modelled in the fit.

### 5.6.3.2 $\phi$ veto

It can happen that a kaon from the decay  $B_s \rightarrow \phi\ell^+\ell^-$ , where the  $\phi$  decays in two kaons, is mis-identified as a pion and therefore causes the  $\phi$  to be reconstructed as a  $K^{*0}$ . This results in a candidate with a value of  $m(K\pi)$  that is less than the nominal  $K^{*0}$  mass but still high enough to pass the selection requirements. Figure 5.9 shows the plot of  $m(K\pi)$  versus  $m(K\pi\ell\ell)$ , where the kaon mass hypothesis is assigned to the pion. A peak can clearly be seen around the  $\phi$  mass ( $1020 \text{ MeV}/c^2$ ). To remove this background only candidates with  $m_{K(\pi \rightarrow K)} > 1040 \text{ MeV}/c^2$  are selected. This results in a 98% background rejection while keeping a 99% signal efficiency. The  $\phi$  could also constitute a background when it decays into two leptons but the branching ratio of this decay is small compared to the one into kaons and this contribution is taken into account by the choice of the  $q^2$  intervals (see Sec. 5.4).

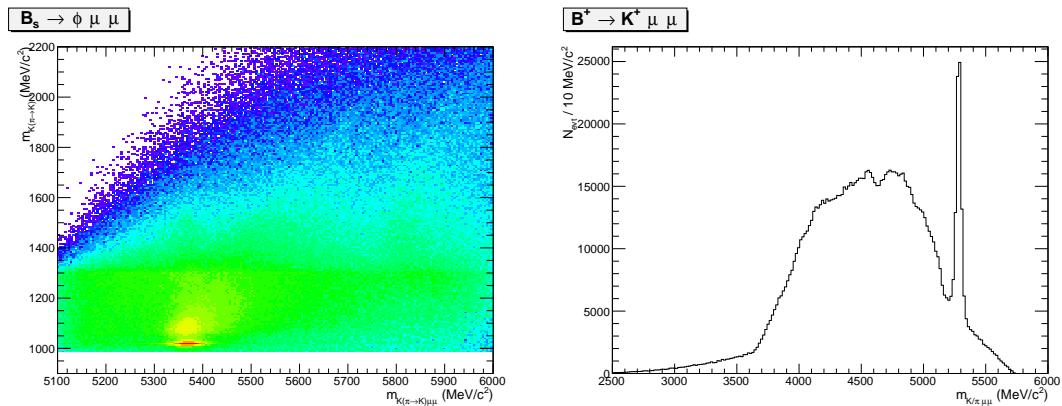


Figure 5.9: (left) Distribution of 2011 data events as a function of the variables ( $m_{K(\pi \rightarrow K)}$ ) and ( $m_{K(\pi \rightarrow K)\mu\mu}$ ), where  $\pi \rightarrow K$  means that the kaon mass is given to the pions too. (right) The invariant mass distribution of the three-body system ( $K\mu\mu$ ), where the peak due to the  $B^+ \rightarrow K^+\mu^+\mu^-$  decay is visible.

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2078 5.6.3.3  $B^+ \rightarrow K^+ \ell^+ \ell^-$  plus a random pion

2079  $B^+ \rightarrow K^+ \ell^+ \ell^-$  decays can contaminate the upper  $B^0$  mass sideband if they are com-  
 2080 bined with a soft pion from somewhere else in the event and therefore reconstructed  
 2081 as a  $B^0$  decay. Similarly a kaon can be mis-identified as a pion and combined with  
 2082 an other kaon in the event. Figure 5.9 shows the invariant mass distribution of the  
 2083 three-body  $K\mu^+\mu^-$  system,  $m(K\mu\mu)$ . This is characterised by a narrow peak at  
 2084 the  $B^+$  mass. Since these candidates have  $m(K\pi\ell\ell) > 5380$  MeV/ $c^2$  there is no  
 2085 contribution under the  $B^0$  peak, but they can cause problems when using sidebands  
 2086 events to train the neural network. An effective veto for this decay was found to  
 2087 be  $\max(m_{K\ell\ell}, m_{(K \rightarrow \pi)\ell\ell}) < 5100$  MeV/ $c^2$ , which results in 95% background rejection  
 2088 while keeping 99% signal efficiency.

2089 5.6.3.4  $\Lambda_b$  decays

2090  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  decays are unlikely to be reconstructed as  $B^0 \rightarrow K^{*0} \ell^+ \ell^-$  because the  
 2091  $\Lambda$  is long-lived and decays further in the detector with a separate vertex. How-  
 2092 ever, simulated events were used to check how many candidates fall into the  $B^0$   
 2093 samples, which results to be negligible. The  $\Lambda_b^0 \rightarrow J/\psi pK$  decay, when the pro-  
 2094 ton is mis-identified, can instead contribute more easily since the  $m(pK)$  is above  
 2095 the  $\Lambda$  threshold and therefore they must come from  $\Lambda^*$  resonances, which are not  
 2096 long-lived. This background is already reduced by the PID requirements but a  
 2097 non-negligible contribution is still expected, which is modelled in the fit.

2098 5.6.3.5  $B^0 \rightarrow (D^- \rightarrow Ke^-\bar{\nu})e^+\nu$

2099 The  $B^0 \rightarrow D^- e^+ \nu$  decay, where the  $D^-$  in turn decays semileptonically to  $K^{*0} e^- \nu$   
 2100 has the same final particles as the  $B^0 \rightarrow K^{*0} e^+ e^-$  decay plus two neutrinos which  
 2101 are not reconstructed. This decay has a branching ratio four orders of magnitude  
 2102 larger than  $B^0 \rightarrow K^{*0} e^+ e^-$  in the low- $q^2$  region and it may pass the selection

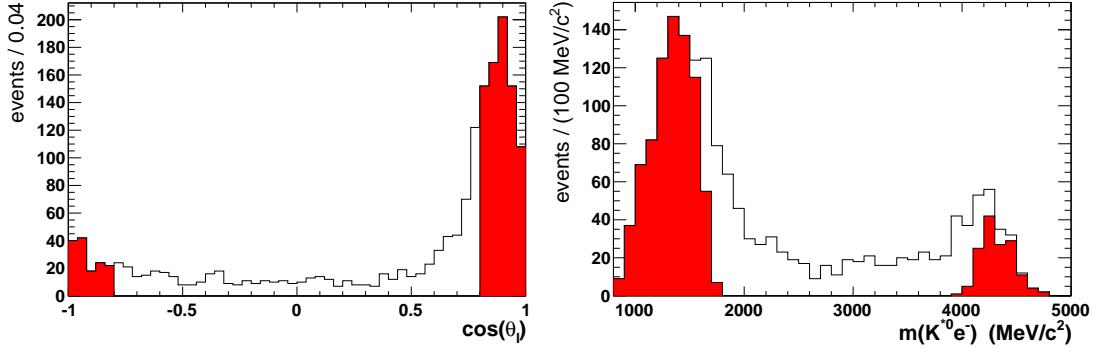


Figure 5.10: Distribution of (left)  $\cos(\theta_\ell)$  and of (right) the  $m(K^{*0}e)$  invariant mass, where the  $B^0 \rightarrow (D^- \rightarrow K e^- \bar{\nu}) e^+ \nu$  background is selected by requiring  $m(K^{*0}e^+e^-) < 4800 \text{ MeV}/c^2$ . The red distribution corresponds to events with  $|\cos(\theta_\ell)| > 0.8$ .

requirements when the two neutrinos carry a low momentum. To lower the level of this background the angle  $\theta_\ell$  is used, which is defined as the angle between the direction of the  $e^+$  ( $e^-$ ) in the di-electron rest frame and the direction of the di-electron in the  $B^0$  ( $\bar{B}^0$ ) rest frame. Low momentum neutrinos demand the  $D^-$  and the  $e^+$  to be almost back-to-back in the  $B^0$  rest frame giving the  $e^+$  a relatively large energy compared to the  $e^-$ . As a consequence, the direction of the  $e^+$  is close to the direction of the di-electron pair, thus the  $\theta_\ell$  angle is close to 0. This explains why the distribution of background selected in data with an invariant mass cut of  $m(K^{*0}ee) < 4800 \text{ MeV}/c^2$  is asymmetric towards higher  $\cos(\theta_\ell)$  values as it can be seen in Fig. 5.10(left). The cut is chosen to be  $|\cos(\theta_\ell)| < 0.8$ , and is not applied in the high- $q^2$  bin as the variable loses its discriminating power.

In the muon channels the background from  $B^0 \rightarrow (D^- \rightarrow K \mu^- \bar{\nu}) \mu^+ \nu$  decays is suppressed by the choice of the fitting range.

### 5.6.3.6 $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$

For the low- $q^2$  region, a potentially dangerous peaking background is due to the  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$  decay followed by a conversion of the photon in the detector. The branching fraction of  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$  has been measured to be  $\mathcal{B} = (4.33 \pm$

2120  $0.15) \times 10^{-5}$  and when the photon converts to an electron and a positron has similar  
2121 characteristics to  $B^0 \rightarrow K^{*0}e^+e^-$ . In LHCb around 40% of the photons convert  
2122 before the calorimeter. Although only a small fraction of these,  $\sim 10\%$ , converts in  
2123 the VELO and are reconstructed as long tracks, the resulting  $B^0$  mass should peak  
2124 under that of the signal, making it a dangerous background. To veto this signal-  
2125 like background an effective veto is in the reconstructed invariant mass window for  
2126 the  $e^+e^-$ -pair that was chosen above  $20 \text{ MeV}/c^2$ . Furthermore, the  $e^+e^-$ -pair from  
2127  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$  has a vertex at the point of conversion of the photon, but it  
2128 may still be reconstructed as originating from the  $B^0$  decay when the  $e^+e^-$ -vertex is  
2129 determined with a large error. Therefore a requirement is applied on the uncertainty  
2130 of the reconstructed  $z$ -coordinate of the  $e^+e^-$ -pair:  $\sigma_z(e^+e^-) < 30\text{mm}$ . iSimulation  
2131 is used to predict the contamination from  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$  events in the signal  
2132 region which is found to be  $(3.2 \pm 1.6)\%$ .

### 2133 5.6.3.7 Other peaking backgrounds

2134 Contamination from  $B^0 \rightarrow K^{*0}\eta$  and  $B^0 \rightarrow K^{*0}\pi^0$  where  $\eta$  and the pion decay  
2135 into two photons was considered and found to be small. Furthermore, a potentially  
2136 dangerous background could come from events where the identity of the kaon and  
2137 the pion are swapped as these candidates peak under the signal. Their contribution  
2138 is found to be small, 0.5%, however the effect of their modelling into the fit is  
2139 taken into account in the systematic uncertainties. Finally, charmonium decays  
2140 where the identity of the kaon, or the pion, and one of the muons are swapped is  
2141 a potentially dangerous background. These decays are rejected by requiring that  
2142 the hadron- $\mu$  invariant mass  $m((h \rightarrow \mu)\mu)$ , where the muon mass hypothesis is  
2143 assigned to the hadron, is not compatible with a  $J/\psi$  ( $\psi(2S)$ ) resonance:  $|m((h \rightarrow$   
2144  $\mu)\mu) - m_{J/\psi,(\psi(2S))}| > 60 \text{ MeV}/c^2$ .

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### <sup>2145</sup> 5.6.4 Mis-reconstructed background

<sup>2146</sup> Mis-reconstructed candidates are defined as decays where one or more particles  
<sup>2147</sup> in the final state are not reconstructed, resulting in  $m(K\pi\ell\ell)$  values smaller than  
<sup>2148</sup>  $m_{B^0}$ , but with tails that can still contaminate the signal peak. Sources of mis-  
<sup>2149</sup> reconstructed background are decays involving higher hadronic states such as  $B^0 \rightarrow$   
<sup>2150</sup> ( $Y \rightarrow K\pi X$ )( $J/\psi \rightarrow e^+e^-$ ), where  $X$  represents one or more not reconstructed  
<sup>2151</sup> particles. The  $Y$  state can be a  $K^*$  resonance as well as  $D$  mesons that decay  
<sup>2152</sup> semileptonically (e.g.  $B^0 \rightarrow D^-\ell^+\bar{\nu}_\ell$  followed by  $D^- \rightarrow K^{*0}\ell^-\nu_\ell$ ). In case of the  
<sup>2153</sup>  $J/\psi(ee)$  channel, an additional source of mis-reconstructed background are decays  
<sup>2154</sup> of higher  $c\bar{c}$  resonances,  $B^0 \rightarrow (K^{*0} \rightarrow K\pi)(Y \rightarrow (J/\psi \rightarrow e^+e^-)X)$ . To reject this  
<sup>2155</sup> backgrounds in the mm channels the 4-body invariant mass  $m(K\pi\mu\mu)$  is recalcul-  
<sup>2156</sup> ated using `DecayTreeFitter` with a vertex constraint. For the resonant case this  
<sup>2157</sup> also includes a  $J/\psi$  mass constraint to the dilepton pair. By using this procedure  
<sup>2158</sup> mis-reconstructed events are pushed towards low masses, resulting in no contami-  
<sup>2159</sup> nation above 5150 MeV/ $c^2$ . To correctly model the long radiative tail of the ee and  
<sup>2160</sup>  $J/\psi(ee)$  mass shapes, a fit region that extends down to 4500 MeV/ $c^2$  is used. As a  
<sup>2161</sup> consequence, no mass constraint to the dilepton pair is applied, as this could bias  
<sup>2162</sup> the 4-body mass distribution, and the mis-reconstructed background is modelled in  
<sup>2163</sup> the fit (for details see Sec. 5.8.2.2).

### <sup>2164</sup> 5.6.5 Bremsstrahlung corrected mass

<sup>2165</sup> An additional handle against backgrounds that contaminate the ee channels is pro-  
<sup>2166</sup> vided the analysis of the kinematics of the decay. In fact for the  $B^0$  daughters the  
<sup>2167</sup> momentum component orthogonal to the flight direction of the  $B^0$  meson should  
<sup>2168</sup> cancel out. The flight direction is defined using the primary and the decay vertices  
<sup>2169</sup> and sketch is shown in Fig. 5.11.

The ratio between the  $p_T$  of the  $K^{*0}$  and the di-electron pair can be used to check

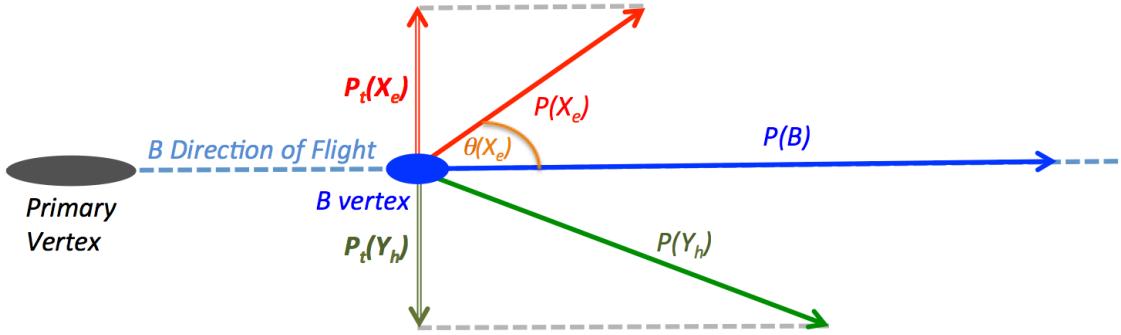


Figure 5.11: Schema of the kinematic of a  $B \rightarrow Y_h X_e$  decay, highlighting the quantities relevant for the definition of the bremsstrahlung correction factor,  $\alpha$ .

this hypothesis

$$\alpha = \frac{p_T(K^*)}{p_T(e^+e^-)}.$$

When  $\alpha$  deviates from one, some energy is missing in the final state. For signal events, the missing energy is most likely carried away by bremsstrahlung photons emitted by the electrons. Therefore we can use  $\alpha$  to correct the electron momentum as

$$p_{\text{corr}}(e^+e^-) = \alpha \times p(e^+e^-).$$

Since bremsstrahlung photons are emitted in the same direction of the electron, the same  $\alpha$  correction can be applied to the longitudinal component of the electron momentum. In contrast, the missing particles in partially-reconstructed background candidates are not necessarily emitted in the direction of the electrons, and therefore the  $\alpha$  correction does not work properly. A similar argument applies to the combinatorial background.

The corrected momenta can be used to re-calculate the invariant mass of the  $B^0$  candidate, which in the following will be called Bremsstrahlung Corrected Mass ( $m_{\text{BCM}}$ ). The resolution of  $m_{\text{BCM}}$  depends on the quality of the vertex reconstruction and on the  $B^0$  lifetime, and degrades as a function of  $q^2$ . Figure 5.12 shows the dependence of the  $B^0 \chi_{\text{FD}}^2$  (flight distance  $\chi^2$ ) as a function of  $m_{\text{BCM}}$  in the considered  $q^2$  regions.

As the correction does not work properly for backgrounds this leads the candidates to spread out making  $m_{\text{BCM}}$  a discriminating variable between signal and background shapes. A two-dimensional cut is adopted

$$m_{\text{BCM}} > a_{\text{BCM}} + b_{\text{BCM}} \cdot \log(\chi^2_{\text{FD}})$$

where the  $a_{\text{BCM}}$  and  $b_{\text{BCM}}$  coefficients are optimised as described in Sec. 5.6.7.  
No cut is applied at high- $q^2$  nor on the muon channels for which the bremsstrahlung radiation is negligible.

### 5.6.6 Multivariate analysis

The final selection is performed using a Neural Network classifier (NN) based on the NEUROBAYES package [68, 69]. The multivariate analysis is intended to remove some combinatorial background and obtain a clearer signal peak. In order to avoid biases, a  $k$ -fold approach is adopted to train and optimise the classifier, using  $k = 10$ . This method consists in dividing the samples in  $k$  equally sized subsamples;  $k$  classifiers are then trained and optimised each on  $(k - 1)$  samples and applied to the  $k$ th one. This approach ensures that a classifier is never applied to the events used for its training. Each classifier is trained on half of the events included in the  $(k - 1)$  samples and optimised using the other half, which ensures that events used for training are not used for optimisation.

2196

### Samples

2198

Representative samples of the signal and background are needed to train the classifier. For the signal, fully reconstructed  $B^0 \rightarrow K^{*0}\mu^+\mu^-$  and  $B^0 \rightarrow K^{*0}e^+e^-$  simulated events can be used. Instead a sample representative of the background can be obtained using real data candidates in the upper  $B^0$  sideband:  $m(K\pi\mu\mu) >$

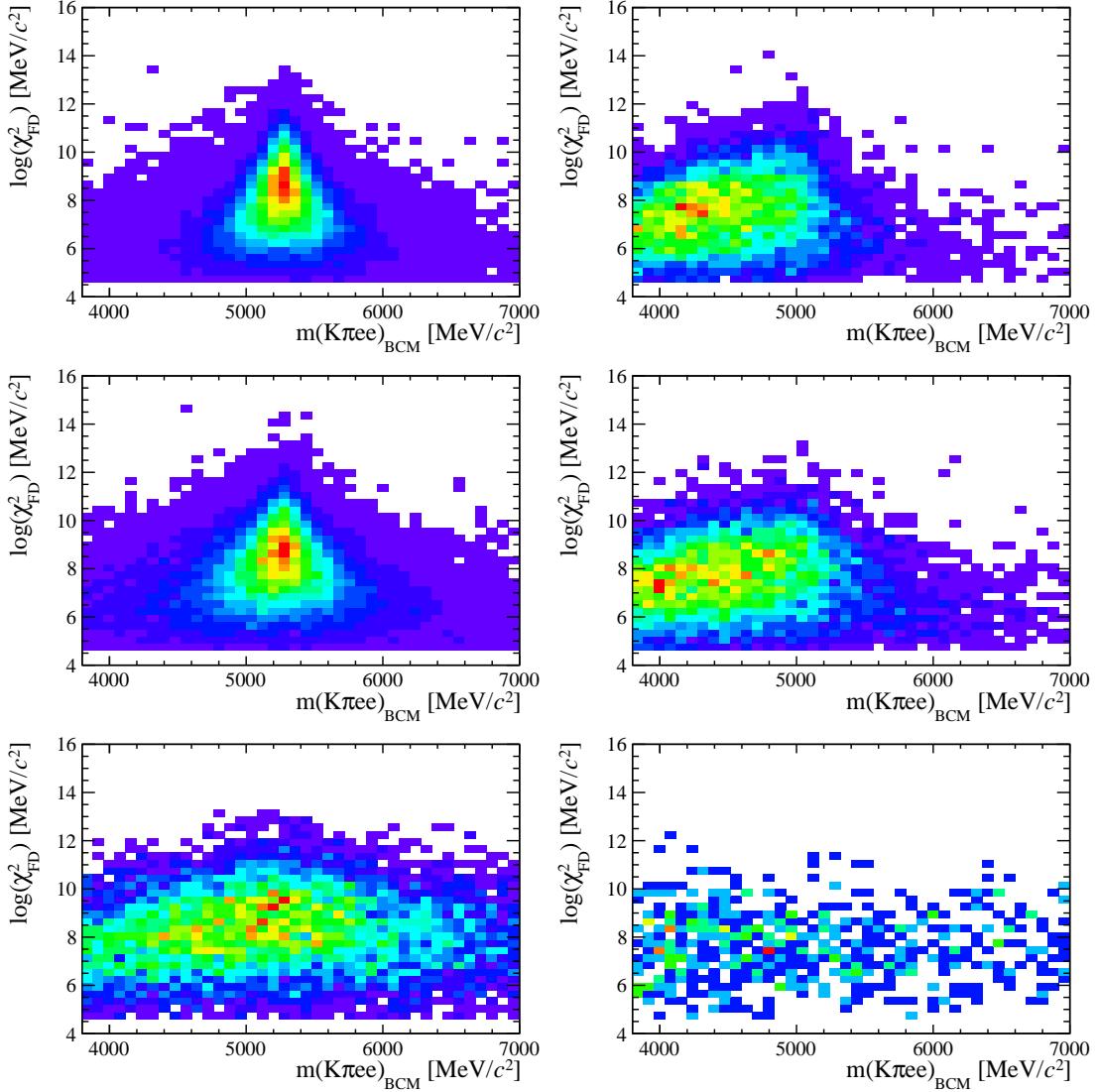


Figure 5.12: Two-dimensional distribution of  $\chi^2_{\text{FD}}$  vs.  $m_{\text{BCM}}$  for (left)  $B^0 \rightarrow K^{*0} e^+ e^-$  signal and (right) partially-reconstructed background. From top to bottom the low-, central- and high- $q^2$  intervals.

5400 MeV/ $c^2$  and  $m(K\pi ee) > 5600$  MeV/ $c^2$ . The lower sideband is not used in the training as it contains a significant fraction of mis-reconstructed background. All pre-selection cuts are applied to the background samples used for the training. As L0 and PID variables are not well described in simulation these cuts are not applied to the simulation but their effect is taken into account by the event weight. An approximately equal number of signal and background events is used for the training. This corresponds to about 1000 events for the electron case and 10,000 for the muon one, which is driven by the amount of background available.

Particle	Variables
$B^0$	$\chi^2_{DTF}/\text{ndf}$ [1], DIRA [19], $\chi^2_{FD}$ [15], $\chi^2_{vtx}/\text{ndf}$ [12], $\chi^2_{IP}$ [14], $p_T$ [7]
$K^*$	$\chi^2_{FD}$ [21], $\chi^2_{vtx}/\text{ndf}$ [11], $\chi^2_{IP}$ [2], $p_T$ [5]
Dilepton	$\chi^2_{FD}$ [17], $\chi^2_{vtx}/\text{ndf}$ [13], $\chi^2_{IP}$ [20], $p_T$ [6]
$e$	$\chi^2_{IP}$ [3][4], $p_T$ [9][10]
$\mu$	$\chi^2_{IP}$ [14][15], $p_T$ [9][10]
$K$	$\chi^2_{IP}$ [18], $p_T$ [16]
$\pi$	$\chi^2_{IP}$ [22], $p_T$ [8]

Table 5.4: Variables used as inputs for the NN training. Next to each variable the ID number in brackets provides the index reported in the correlation matrices shown in Fig. 5.13.

2211

2212 **Training**

2213

2214 The the NN input consists of 24 variables containing information about the kine-  
 2215 matic of the decays and the quality of tracks and vertices. All the variables used  
 2216 are listed in Tab. 5.4 and their correlation is graphically represented in Fig. 5.13.

2217 In these figures the variable with ID = 1 is the NN output and the other IDs are  
 2218 reported in Tab. 5.4. The single most discriminating variable used is the  $\chi^2$  of a  
 2219 kinematic fit that constrains the decay product of the  $B^0$ , the  $K^{*0}$  and the dimuon,  
 2220 to originate from their respective vertices. Other variables that contribute signif-  
 2221 icantly are the  $\chi^2_{IP}$  of  $J/\psi$  and  $K^{*0}$ , the transverse momentum of the  $B^0$  and the  
 2222 pointing direction (DIRA) of the reconstructed  $B^0$  to the primary vertex. The list  
 2223 the 10 most important variables is reported in Tab. 5.5, together with information  
 2224 on the relative importance of each input. The meaning of the column headings in  
 2225 this table was already explained in Sec. 3.4.2.

2226 Figure 5.14 shows neural network output distributions for signal and background.  
 2227 On this plot the distributions from the test samples are also overlaid in order to  
 2228 check for overtraining. The distributions follow the same shape but with different  
 2229 fluctuations indicating no significant overtraining. In general it can be concluded  
 2230 that the neural network is able to separate signal from background and that the

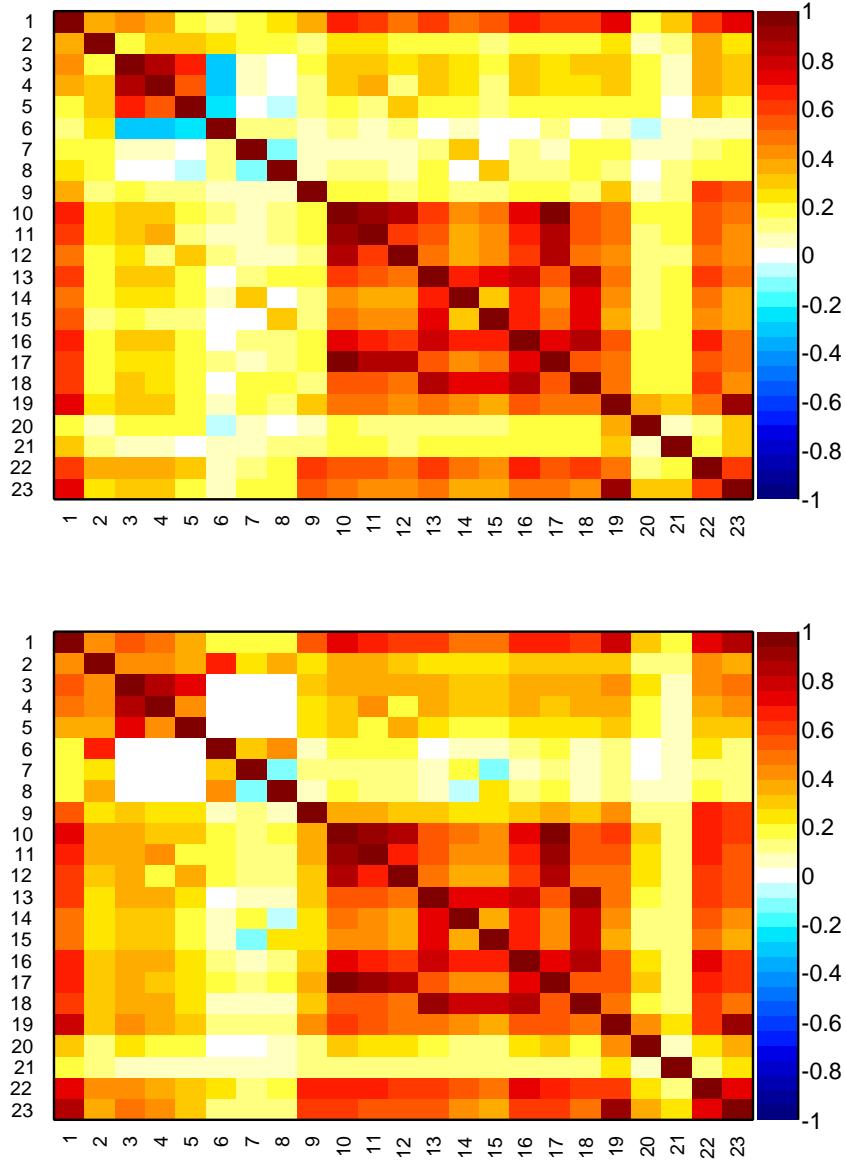


Figure 5.13: Graphical representation of correlation matrix between truth and neural network inputs. Column/row number 1 is correlation to the truth (whether candidate is signal or background). All others give correlation between inputs with numbering scheme corresponding to the id column of Tab. 5.5. Correlation is calculated using all events without distinguishing signal and background.

Table 5.5: Summary of inputs to the neural network in order of importance. The 10 most discriminating variables are shown. Column “adds” gives correlation significance added by given input when adding it to list of those ranked above, “only this” provides power of given input alone and “loss” shows how much information is lost when removing only given input. Decay Tree Fit is performed using DecayTreeFitter tool on whole decay chain with constraining tracks to appropriate vertex topology and the  $m(p\pi)$  invariant mass to the PDG value.

Muons				Electrons			
Input	Adds	Only this	Loss	Input	Adds	Only this	Loss
$B^0 \chi^2_{DTF}/\text{ndf}$	80.44	80.44	13.14	$B^0 \chi^2_{DTF}/\text{ndf}$	28.70	28.70	3.94
$K^* \chi^2_{IP}$	22.26	67.58	3.48	$K^* \chi^2_{IP}$	12.71	25.11	1.57
$B^0 \text{DIRA}$	10.58	71.24	3.95	$e_2 \chi^2_{IP}$	6.56	20.19	3.30
$K^* p_T$	9.16	49.13	2.07	$e_1 \chi^2_{IP}$	5.54	19.66	2.60
$J/\psi \chi^2_{IP}$	6.58	56.15	1.35	$K^* p_T$	3.74	15.35	3.14
$B^0 p_T$	6.00	41.42	4.39	$J/\psi p_T$	4.81	5.55	3.18
$\mu_1 p_T$	2.96	15.85	3.79	$B^0 p_T$	2.78	13.01	2.20
$\mu_2 p_T$	2.73	15.04	3.46	$\pi p_T$	3.08	7.93	1.83
$J/\psi p_T$	3.06	16.41	2.84	$e_2 p_T$	2.35	9.81	2.74
$K^* \chi^2_{vtx}/\text{ndf}$	2.41	28.14	2.38	$e_1 p_T$	2.15	8.04	2.28

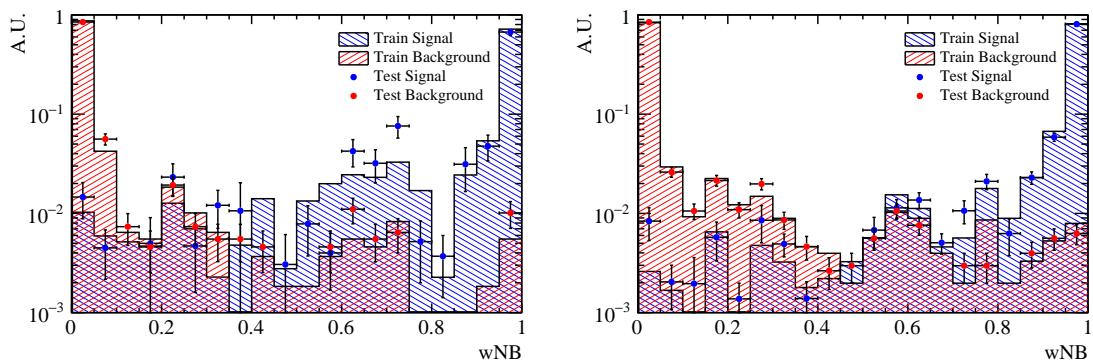


Figure 5.14: NN output distributions for training (solid) and test (stripes) samples, for simulated signal and data sideband events. For the electron (left) and muon (right) training.

2231 training converged properly.

2232 It can happen that too much information is given to the classifier, which becomes  
2233 able to calculate the invariant mass of the candidates from its inputs. This could  
2234 generate fake peaks and it is therefore important to check for correlations between  
2235 the  $B^0$  mass and the NN output. Figure 5.15 reports plots of the average NN output  
2236 as a function of the  $B^0$  mass on sideband data and simulated signal events. The  
2237 distributions are flat showing that no significant correlation is present.

### 2238 5.6.7 Optimisation

2239 In order to optimise the requirements on the  $m_{\text{BCM}}$  and the neural network out-  
2240 put the expected signal significance,  $N_S/\sqrt{N_S + N_B}$ , is maximised, where  $N_S$  ( $N_B$ )  
2241 is number of rare signal (background) candidates. When the BCM requirement is  
2242 applied, the optimisation is performed in a three-dimensional space ( $t_{MVA}$ ,  $a_{\text{BCM}}$ ,  
2243  $b_{\text{BCM}}$ ) where  $t_{MVA}$  is the NN output threshold below which a candidate is considered  
2244 background, and  $a_{\text{BCM}}$  and  $b_{\text{BCM}}$  are the parameters of the BCM cut described in  
2245 Sec. 5.6.5. Otherwise, only the MVA cut is optimised (for all muons samples and the  
2246 high- $q^2$  electron sample). The number of signal events accepted for a given NN out-  
2247 put cut is determined with a data-driven method with exploits the resonant channel.  
2248 First, as an arbitrary number of events can be simulated, this has to be rescaled  
2249 to the expected yield. This is done by fitting  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow \ell^+\ell^-)$  candidates  
2250 after pre-selection, including all requirements except MVA. The resonant yield is  
2251 then scaled down by the expected ratio between the rare and the resonant channels.  
2252 The number of background events is instead derived by fitting the combinatorial  
2253 background in the sideband with an exponential function and extrapolating the fit  
2254 function below the signal peak. The dependence of the figure-of-merit for both the  
2255 electron and muon trainings are shown in Fig. 5.16, where the red line indicate the  
2256 chosen cut: 0.70 for both samples. Curves of signal efficiency versus background re-  
2257 jection are shown in Fig. 5.16. After full selection about  $\sim 3\%$  of events still contain  
2258 multiple candidates which are removed at random keeping only a single candidate

per event.

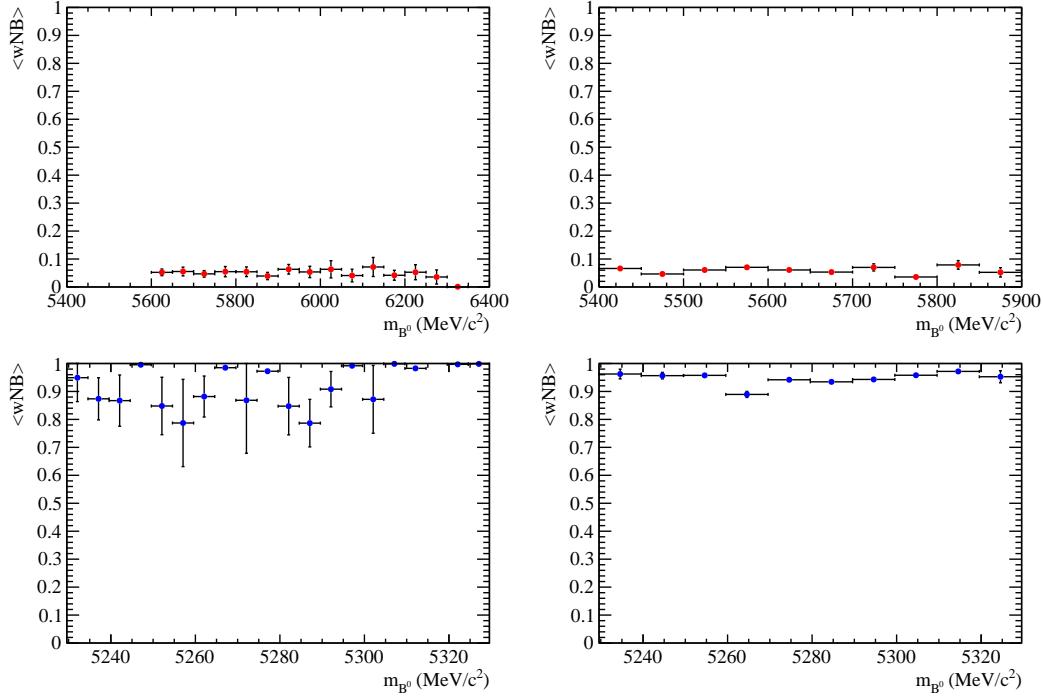


Figure 5.15: Average value of NN output as a function of  $B^0$  mass for data sideband (top) and simulated signal (bottom) events for the electron (left) and muon (right) training.

2259

## 2260 5.7 Selection summary

2261 Table 5.6 summarises the requirements applied for each cut after stripping.

## 2262 5.8 Mass fits

2263 The signal yields are extracted using a simultaneous unbinned maximum likelihood fit to the 4-body invariant mass,  $m(K\pi\ell\ell)$ , of the rare and normalisation samples. The simultaneous fit allows to share parameters e.g. those describing data-simulation differences. The yields of the rare channels are parameterised as a

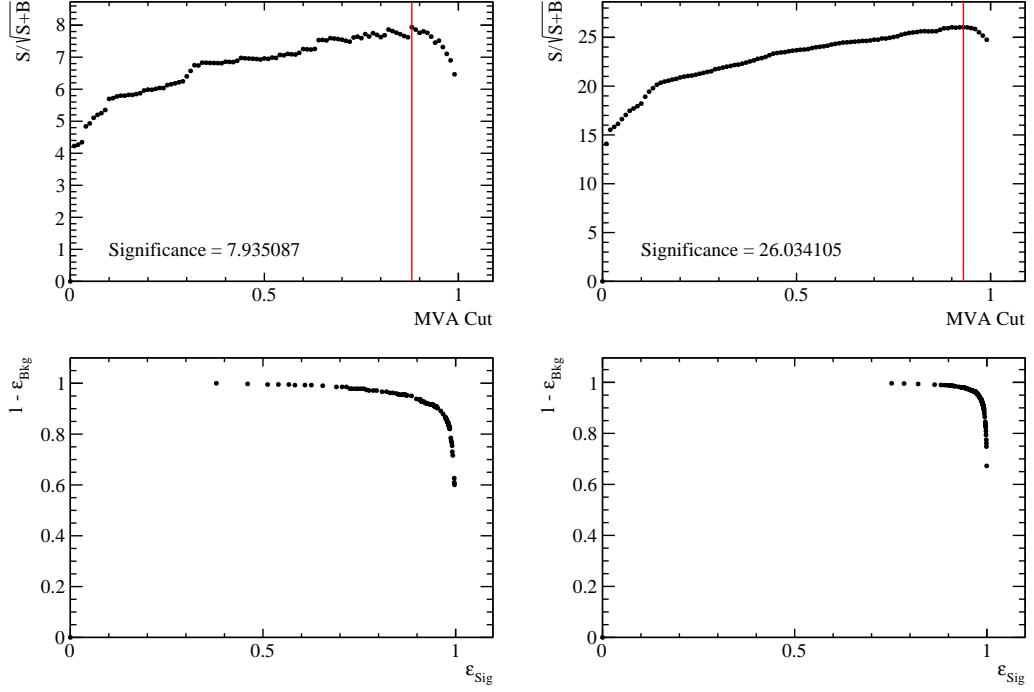


Figure 5.16: (top) Dependence of figure-of-merit on the requirement on neural network output. Vertical lines corresponds to the chosen cuts. (bottom) Signal efficiency versus the background rejection. Plots correspond to the electron (left) and muons (right) samples.

function of the corresponding  $J/\psi$  yields as

$$N_{\ell\ell}(r_{\ell\ell}, N_{J/\psi}) = N_{J/\psi} \cdot \varepsilon^{\text{rel}} \cdot r_{\ell\ell}, \quad (5.10)$$

where  $\varepsilon^{\text{rel}}$  is the relative efficiency between the rare and resonant channels (given in Tab. ??). Consequently,  $r_{\ell\ell}$  corresponds to the efficiency corrected ratio of the raw rare and resonant yields:

$$R_{\ell\ell} = \frac{N_{\ell\ell}/\varepsilon^{\ell\ell}}{N_{J/\psi}/\varepsilon^{J/\psi(\ell\ell)}}. \quad (5.11)$$

The two ratios,  $R_{ee}$  and  $R_{\mu\mu}$ , are then used to determine the  $R_{K^{*0}}$  quantity, as described in Sec. 5.11. The following subsections contain a description of the line shapes used to model the signal and background components in each sample.

Table 5.6: Summary of the selection requirements.

Type		Requirement	$q^2$
Quality	All tracks	$\chi^2/\text{ndf} < 3$	all
		$\text{GhostProb} < 0.4$	all
ID	$K^{*0}$	$ m(K\pi) - m_{K^{*0}}^{PDG}  < 100 \text{ MeV}/c^2$	all
PID	$K$	$\text{ProbNNk} \cdot (1 - \text{ProbNNp}) > 0.05$	all
	$\pi$	$\text{ProbNNpi} \cdot (1 - \text{ProbNNk}) \cdot (1 - \text{ProbNNp}) > 0.1$	all
	$\mu$	$\text{ProbNNmu} > 0.2$	all mm
	$e$	$\text{ProbNNe} > 0.2$	all $e^+e^-$
BKG	Swap	$ m((h \rightarrow \mu)\mu) - m_{J/\psi,(\psi(2S))}^{PDG}  > 60 \text{ MeV}/c^2$	all
	$B^+ \rightarrow K^+\ell^+\ell^-$	$\max(m(K\ell\ell), m((\pi \rightarrow K)\ell\ell)) < 5.1 \text{ GeV}/c^2$	all
	$B_s^0 \rightarrow \phi\ell^+\ell^-$	$m(K(\pi \rightarrow K)) > 1040 \text{ MeV}/c^2$	all
	$B^0 \rightarrow D^-e^+\nu$	$ \cos \theta_\ell  < 0.8$	except $ee$ high-
	$B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$	$\sigma_z(e^+e^-) < 30 \text{ mm}$	except $\gamma ee$
	Comb	$\text{NNout} > 0.75$	$\mu\mu$ low-
		$\text{NNout} > 0.63$	$ee$ low-
		$\text{NNout} > 0.90$	$\mu\mu$ central-
		$\text{NNout} > 0.93$	$ee$ central-
		$\text{NNout} > 0.69$	$\mu\mu$ high-
		$\text{NNout} > 0.93$	$ee$ high-
	Comb and Part-reco	$\text{NNout} > 0.13$	$J/\psi(\mu\mu)$
		$\text{NNout} > 0.20$	$J/\psi(ee)$

### 2274 5.8.1 Muon channels

2275 For the rare and resonant  $\mu\mu$  channels the fitted variable is the  $m(K\pi\mu\mu)$  invariant  
 2276 mass coming from a kinematic fit where all vertices are required to point to  
 2277 their mother particle. In the resonant case it is beneficial to also constrain the the  
 2278 dimuon mass to the known  $J/\psi$  mass. The effect of the kinematical constraint is  
 2279 to improve the mass resolution by roughly a factor of 2, which results in a more  
 2280 stable fit. Furthermore, mis-reconstructed background candidates are pushed away  
 2281 from the  $B^0$  peak, which allows to use a wider mass window to better constrain the  
 2282 combinatorial background slope. The mass spectrum is fitted in the range 5150–

2283 5800 MeV/ $c^2$  with the lower limit chosen to totally exclude partially reconstructed  
 2284 background. As it is not needed to model partially reconstructed backgrounds in the  
 2285 fit this also eliminates the systematic uncertainties associated with the knowledge  
 2286 of their shape.

2287 The PDF chosen to describe the signal in both the  $B^0 \rightarrow K^{*0}\mu^+\mu^-$  and the cor-  
 2288 responding  $J/\psi$  channel is a Double Crystal Ball function already described in  
 2289 Sec. 3.5.1 and also in this case the mean value ( $m_0$ ) is kept in common.

2290 As a first step, simulated rare and resonant candidates are fit using the signal model  
 2291 in order to obtain shape parameters that are then constrained in the fit to data.  
 2292 Figure D.1 shows the fitted simulated distribution for the normalisation channel,  
 while fits for the rare channel in the three  $q^2$  bins are reported in Appendix D.

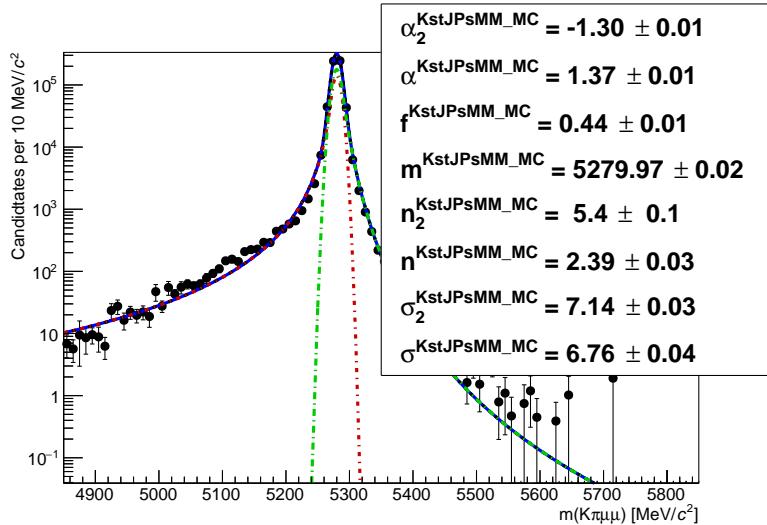


Figure 5.17: Fitted  $m(K\pi\mu\mu)$  mass spectrum for  $K^{*0}J/\psi$  simulated events.

2293

2294 Then the fit to real data is performed. In order to do this the parameters of the signal  
 2295 PDF are fixed to the ones found fitting the simulated samples. However, in order  
 2296 to account for possible data-simulation discrepancies a scale factor is multiplied to  
 2297 the widths and a shift is added to the masses and these are left free to vary. In

2298 summary the PDFs used for the signal in the fits to data are defined as

$$DCB(m; c, m') = f^* \cdot CB(m; \alpha_1^*, n_1^*, c \cdot \sigma_1^*, m_0^* + m') \\ + (1 - f^*) \cdot CB(m; \alpha_2^*, n_2^*, c \cdot \sigma_2^*, m_0^* + m')$$
(5.12)

2299 where  $f^*$  is the relative fraction of candidates falling in the first Crystal Ball function.

2300 The free parameters are the width scale factor,  $c$ , and the mass shift,  $m'$ , which are  
 2301 common between the rare and resonant samples. All the other parameters, denoted  
 2302 with “ $*$ ”, are taken from the fit to the simulated candidates and are fixed when  
 2303 fitting data.

2304 The background components considered for this fit are the following:

- 2305 • (for rare and  $J/\psi$ ) the combinatorial background modelled with an exponential  
 2306 function;
- 2307 • (only  $J/\psi$ ) the  $B_s^0 \rightarrow K^{*0} J/\psi$  background described using the same PDF used  
 2308 for the signal but a different central value,  $m_0$ , which is set at the  $B_s^0$  nominal  
 2309 mass [2];
- 2310 • (only  $J/\psi$ ) the  $\Lambda_b^0 \rightarrow J/\psi pK$  background modelled using simulated  $\Lambda_b^0 \rightarrow J/\psi pK$   
 2311 decays to which the full selection is applied. The invariant mass distribution of  
 2312 these candidates is a broad shape under the signal peak. The simulated distri-  
 2313 bution is smoothed using a kernel estimation method (using the `RooKeysPdf`  
 2314 class of the `ROOFIT` package [109]).

2315 In summary the free parameters in the simultaneous fit to the  $\mu\mu$  data samples  
 2316 are: the signal and background yields, the combinatorial background slopes, and  
 2317 the data-MC discrepancy parameters (the scale factor,  $c$ , and the mass shift,  $m'$ ).  
 2318 Figure 5.18 shows the results of the fit to the rare and resonant  $\mu\mu$  candidates.  
 2319 Values of the fitted parameters are reported on the plots.

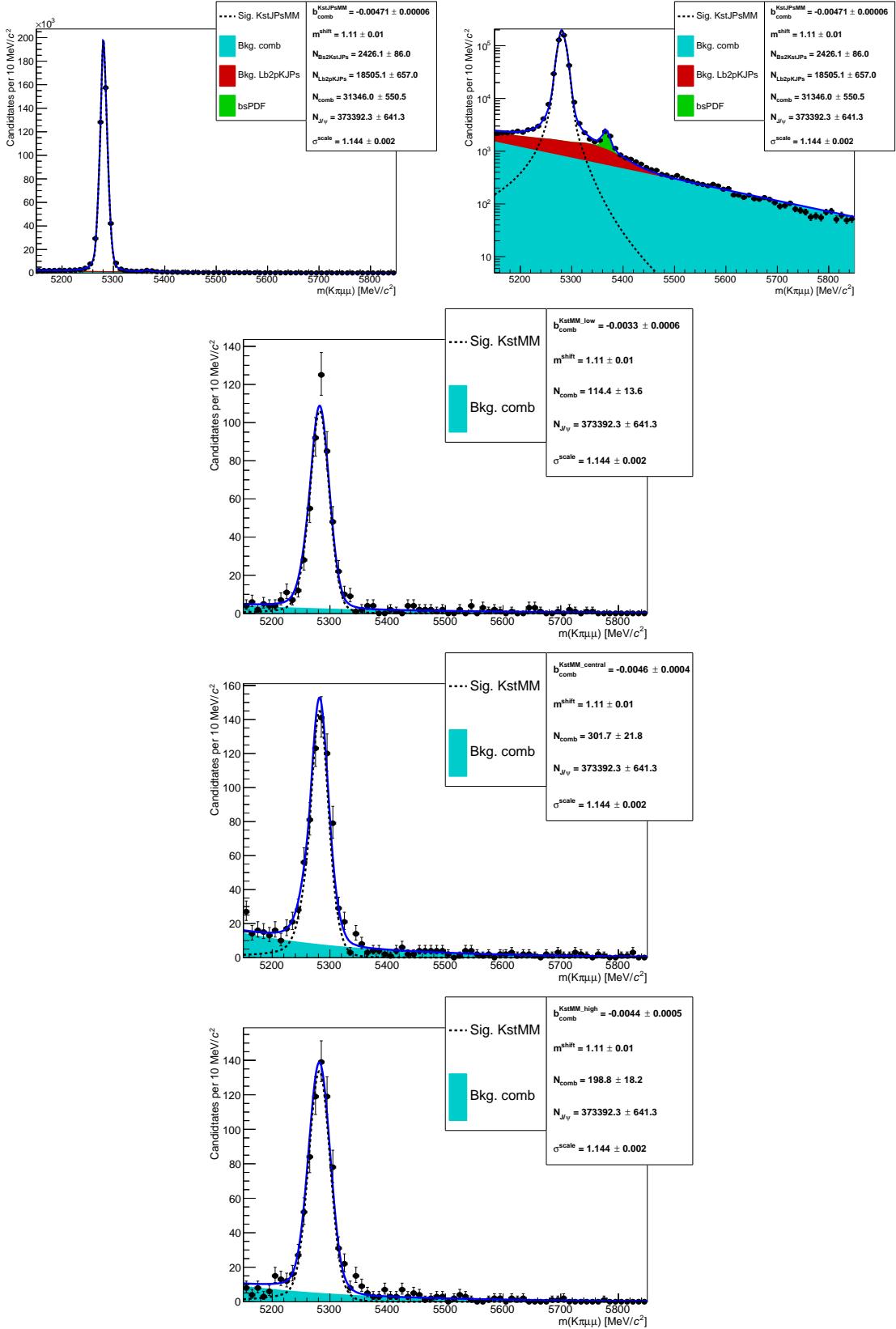


Figure 5.18: From top to bottom fitted  $m(K\pi\mu\mu)$  invariant mass distributions for  $K^{*0}J/\psi$  candidates and for rare candidates in the low-, central- and high- $q^2$  intervals. Dashed black lines represent the signal PDFs and filled shapes the background components.

## 2320 5.8.2 Electron channels

2321 Also in the electron case the fit variable is the  $m(K\pi ee)$  invariant mass coming from  
 2322 the kinematic fit where all vertices are required to point to their mother particle. For  
 2323 the resonant samples a further constraint of the dilepton mass to the  $J/\psi$  and  $\psi(2S)$   
 2324 nominal values is applied. In order to better constrain the parameters modelling the  
 2325 radiative tail and the backgrounds a wide mass window is used [4500,5800] MeV/ $c^2$ .  
 2326 The lower limit is given by the point in which the  $q^2$  cut (at 6 GeV $^2/c^4$  to separate  
 2327 the rare and resonant channels) starts to affect the 4-body invariant mass distribu-  
 2328 tion. The control samples of  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  and  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$   
 2329 candidates are also added to the simultaneous fit and a few parameters are shared  
 2330 as explained later. Finally, for the  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  candidates the invariant  
 2331 mass calculated without  $J/\psi$  mass constraint is also added to the fit as a control  
 2332 sample. This is necessary in order to obtain the data-simulation discrepancy pa-  
 2333 rameters shared with the model for the rare samples, which requires to fit the same  
 2334 variable in both cases.

2335 The invariant mass distributions are different depending on the trigger category and  
 2336 the number of bremsstrahlung photons recovered. Therefore, our samples are divided  
 2337 in three trigger categories, as described in Sec. 5.6.1, and three bremsstrahlung  
 2338 categories defined as:

- 2339 •  $0\gamma$ : candidates with no photon emitted
- 2340 •  $1\gamma$ : candidates with one photon by either of the electrons
- 2341 •  $2\gamma$ : candidates with one photon emitted by each electron

2342 The three samples, divided by trigger, are fitted simultaneously. This allows a better  
 2343 use of the available statistics as the simultaneous fit gathers information from the  
 2344 three categories at the same time. Furthermore, using this method the results for  
 2345 the three categories are naturally combined in a single  $r_{ee}$  ratio. The PDFs used to  
 2346 fit the invariant mass distributions are described in the next subsections.

Table 5.7: Percentages of events with 0, 1 and 2 emitted photons in the three trigger categories, obtained from simulated events.

Trigger	$0\gamma$ (%)	$1\gamma$ (%)	$2\gamma$ (%)
$B^0 \rightarrow K^{*0}e^+e^-$ low- $q^2$			
L0E	34.2	56.0	9.8
L0H	27.8	58.1	14.2
L0I	31.7	56.9	11.4
$B^0 \rightarrow K^{*0}e^+e^-$ central- $q^2$			
L0E	29.2	50.0	20.8
L0H	23.6	50.5	26.0
L0I	28.5	49.9	21.6
$B^0 \rightarrow K^{*0}e^+e^-$ high- $q^2$			
L0E	20.6	51.2	28.2
L0I	10.0	53.8	36.2
$B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$			
L0E	40.4	59.6	–
L0H	32.2	67.8	–
L0I	39.3	60.7	–
$B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$			
L0E	29.0	50.1	20.8
L0H	18.9	51.3	29.8
L0I	26.9	51.7	21.4
$B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$			
L0E	27.2	51.3	21.5
L0H	17.4	51.5	31.2
L0I	22.0	55.0	23.0

### 2347 5.8.2.1 Signal PDFs for the electron channels

2348 As for the muonic channel, simulated events are fitted first to constrain the shape  
 2349 parameters for the subsequent fit to data. The signal PDFs are built using the  
 2350 following method:

- 2351 • Simulated  $B^0 \rightarrow K^{*0}J/\psi(ee)$  and  $B^0 \rightarrow K^{*0}ee$  events are divided in each  
 2352 trigger and bremsstrahlung category and an independent fit is performed to  
 2353 each sample. A different fit is also performed for the central,  $J/\psi$  and high  $q^2$   
 2354 intervals. In the case of the high- $q^2$  interval it is particularly important to keep  
 2355 signal tail parameters independent from  $J/\psi$  channel ones because, as can be  
 2356 seen in Fig. 5.19, the invariant mass distributions are significantly different for

2357 the two intervals.

- 2358 • For each trigger category a PDF is built as the sum of the three PDFs of the  
 2359 bremsstrahlung categories:

$$P(m)^{\text{trg}} = f_{0\gamma}^{\text{trg}} P_{0\gamma}^{\text{trg}}(m) + f_{1\gamma}^{\text{trg}} P_{1\gamma}^{\text{trg}}(m) + (1 - f_{0\gamma}^{\text{trg}} - f_{1\gamma}^{\text{trg}}) P_{2\gamma}^{\text{trg}}(m), \quad (5.13)$$

2360 where the  $P(m)_{n\gamma}^{\text{trg}}$  functions are the chosen PDFs for the trigger and bremsstrahlung  
 2361 categories and the  $f_{n\gamma}^{\text{trg}}$  parameters are the relative fractions of events falling  
 2362 in each category.

- 2363 • Most parameters are fixed (details later) and the combined PDF,  $P(m)$ , is  
 2364 used to fit real data divided only in trigger categories.

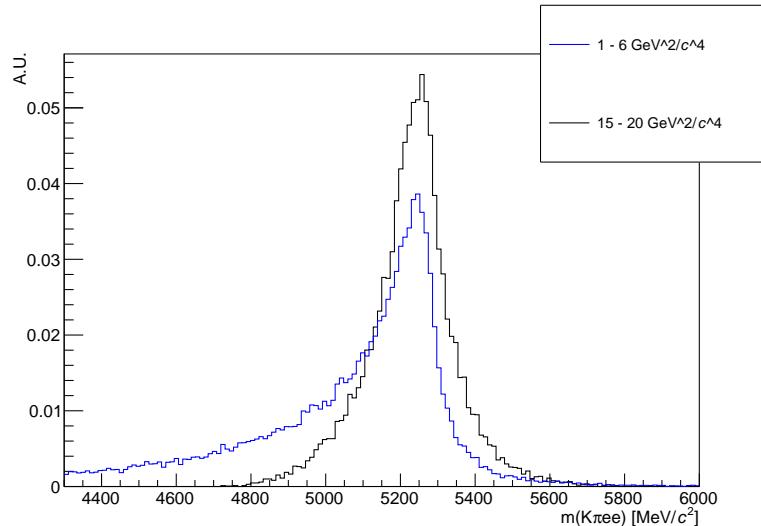


Figure 5.19: Simulated invariant mass of the  $K\pi ee$  system in the  $1.1 < q^2 < 6$  and  $q^2 > 15 \text{ GeV}^2/c^4$  intervals.

2365 The  $0\gamma$  category is characterised by a better resolution and a sharp tail on the right-  
 2366 hand side and it is fitted with a simple Crystal Ball function (CB). Instead the  $1\gamma$   
 2367 and  $2\gamma$  samples are modelled using the sum of a Crystal Ball and a Gaussian func-  
 2368 tions (CBG) with all parameters independent. When the combined PDF,  $P(m)^{\text{trg}}$ ,  
 2369 is built all parameters are fixed leaving one global mass shift and one scale factor  
 2370 for the widths free to vary, as done for the muonic samples.

2371 The  $f_{n\gamma}^{\text{trg}}$  fractions have been shown to be in good agreement between resonant data  
2372 and simulation and therefore they are fixed to the simulated values, separately for  
2373 the normalisation channel and each  $q^2$  interval. Table 5.7 lists the percentages of  
2374 candidates with 0, 1 and 2 recovered photons for each trigger category.

2375 In summary the signal PDF for the fit on data is defined as:

$$\begin{aligned} P(m; c, m')^{\text{trg}} = & f_{0\gamma}^{\text{trg}} \text{CB}_{0\gamma}^{\text{trg}}(m; c, m') \\ & + f_{1\gamma}^{\text{trg}} \text{CBG}_{1\gamma}^{\text{trg}}(m; c, m') + (1 - f_{0\gamma}^{\text{trg}} - f_{1\gamma}^{\text{trg}}) \text{CBG}_{2\gamma}^{\text{trg}}(m; c, m') \end{aligned} \quad (5.14)$$

2376 where the free parameters are:  $c$ , the scaling factor for the widths, and  $m'$ , the mass  
2377 shift.

### 2378 5.8.2.2 Background PDFs for the electron channels

2379 This section reports the background components considered for the fit to each sam-  
2380 ple.

2381  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$

- 2382 • *Combinatorial*: described using an exponential function; the yield and slope  
2383 parameters are free to vary in the fit;
- 2384 • *Partially-reconstructed* (hadronic): the shape is obtained from simulation sim-  
2385 ilarly to the  $J/\psi(ee)$  mode. However, as there are no inclusive samples for the  
2386 rare channel, a sample including higher  $K^{*0}$  resonances, such as  $K_1^+(1270)$ ,  
2387 which is the dominant component, is used.; the yield is left free to vary.

2388  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  and  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$

2389 The following backgrounds are considered for the fits to the vertex constrained  
2390 invariant mass of  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  candidates:

- *Combinatorial*: described using an exponential function. The yield and slope parameters are free to vary in the fit;
- *Partially-reconstructed*: this background is split in an hadronic component, involving higher hadronic resonances, and a leptonic one, coming from higher  $c\bar{c}$  resonances. Both categories are modelled using inclusive  $B^0 \rightarrow J/\psi X$  simulated events to which the full selection is applied. The distribution for the hadronic (leptonic) category is defined by selecting candidates where the  $K^{*0}$  ( $J/\psi$ ) is not a direct daughter of the  $B^0$ . The invariant mass distributions of these candidates, shown in Fig. 5.20, are smoothed using a kernel estimation method and their yields are left free to vary in the fit. Given the little statistics available, the same shape is used for all the trigger categories;
- $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$ : the leakage from the  $\psi(2S)$  radiative tail into the  $J/\psi$  interval is modelled by selecting simulated  $\psi(2S) \rightarrow e^+e^-$  events falling into the  $J/\psi$  mass window ( $6\text{--}11\,\text{GeV}^2/c^4$ ). The normalisation is fixed to the  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  yield,  $N_{\psi(2S)(ee)}$ , as:

$$N_{J/\psi(ee)}^{\text{leak}} = N_{\psi(2S)(ee)} \cdot f_{\psi(2S)(ee)}^{\text{leak, MC}},$$

where  $f_{\psi(2S)(ee)}^{\text{leak, MC}}$  is the fraction of  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  simulated events reconstructed in the  $J/\psi$  interval.

- $\Lambda_b^0 \rightarrow pK(J/\psi \rightarrow e^+e^-)$ : described using simulated events to which the full selection is applied. This distribution has a broad shape under the signal peak and is smoothed using a `RooKeysPdf`. The normalisation is constrained to the  $\Lambda_b^0 \rightarrow pK(J/\psi \rightarrow \mu^+\mu^-)$  yield returned by the  $\mu\mu$  fit after correcting for efficiency differences between final states with muons and electrons.
- $B_s^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$ : described using the same PDF adopted for the signal, but a different central value,  $m_0$ , which is set at the  $B_s^0$  nominal mass. The normalisation is constrained to the  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow \mu^+\mu^-)$  yield returned by the  $\mu\mu$  fit after correcting for efficiency differences between final states with muons and electrons.

2414 For the fit to the mass constrained distribution of  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  can-  
 2415 didates the constraint completely removes the mis-reconstructed background from  
 2416 the fit mass window and therefore the only considered components are the com-  
 2417 binatorial,  $\Lambda_b^0 \rightarrow pK(J/\psi \rightarrow e^+e^-)$  and  $B_s^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  backgrounds,  
 2418 which are modelled as just described for the not-mass constrained case. Similarly  
 2419 for the fit to  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  which also includes a  $\psi(2S)$  mass constraint  
 2420 only the combinatorial background is considered and described using an exponential  
 2421 function.

2422  $B^0 \rightarrow K^{*0}e^+e^-$  low- $q^2$

- 2423 • *Combinatorial*: described using an exponential function; the yield and slope  
 2424 parameters are free to vary in the fit;
- *Partially-reconstructed* (hadronic): the shape is obtained from a  $K_1^+(1270)$   
 simulated samples as in the  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$  case; the fraction of  
 partially-reconstructed candidates with respect to signal ones is expected to be  
 very similar to that in  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$  and therefore the normalisation  
 is fixed as:

$$N_{e^+e^-, \text{low}}^{\text{part-reco}} = N_{e^+e^-} \cdot \frac{N_{\gamma(ee)}^{\text{part-reco}}}{N_{\gamma(ee)}},$$

2425 where  $N_{\gamma(ee)}^{\text{part-reco(hadronic)}}/N_{\gamma(ee)}$  is the fraction of the hadronic partially-reconstructed  
 2426 background relative to the signal yield in the  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$  channel;

2427  $B^0 \rightarrow K^{*0}e^+e^-$  central- $q^2$

- 2428 • *Combinatorial*: described using an exponential function; the yield and slope  
 2429 parameters are free to vary in the fit.
- *Partially-reconstructed* (hadronic): modelled in the same way as described for  
 2430 the low- $q^2$  but in this case the normalisation is left free to vary.
- $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$ : the leakage from the  $J/\psi$  radiative tail into the

central- $q^2$  interval is modelled by selecting simulated  $B_s^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  events with the central- $q^2$  requirements and smoothing the distributions with kernel estimation method. The normalisation is fixed to the  $B_s^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  yield,  $N_{J/\psi ee}$ , as:

$$N_{e^+e^- \text{, central}}^{\text{leak}} = N_{J/\psi(ee)} \cdot f_{J/\psi(ee)}^{\text{leak, MC}},$$

where  $f_{J/\psi(ee)}^{\text{leak, MC}}$  is the fraction of  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  simulated events reconstructed in the central- $q^2$  interval.

#### $B^0 \rightarrow K^{*0}e^+e^-$ high- $q^2$

- *Combinatorial*: modelled using a shape obtained by reversing the NN output cut on data, which has the effect of selecting background candidates instead of signal ones. Figure 5.21 shows the invariant mass distributions for different anti-cuts on the electron and muon samples at high- $q^2$ . The shapes are very similar between the two samples and as a function of the cut value. In order to have a larger statistics, the shape is taken from the muon sample with a tight NN output anti-cut at 0.1 and smoothed with a `RooKeysPdf`.
- *Mis-reconstructed* (hadronic): the hadronic mis-reconstructed background is modelled in the same way as in the central- $q^2$  interval. The normalisation is left free to vary in the fit;
- $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$ : the leakage from the  $\psi(2S)$  radiative tail is modelled using simulated  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  events in the high- $q^2$  region. The normalisation is fixed to the  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  yield,  $N_{\psi(2S)(ee)}$  as:

$$N_{e^+e^- \text{, high}}^{\text{leak}} = N_{\psi(2S)(ee)} \cdot f_{\psi(2S)(ee)}^{\text{leak, MC}},$$

where  $f_{\psi(2S)(ee)}^{\text{leak, MC}}$  is the fraction of  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  simulated candidates leaking in the high- $q^2$  interval.

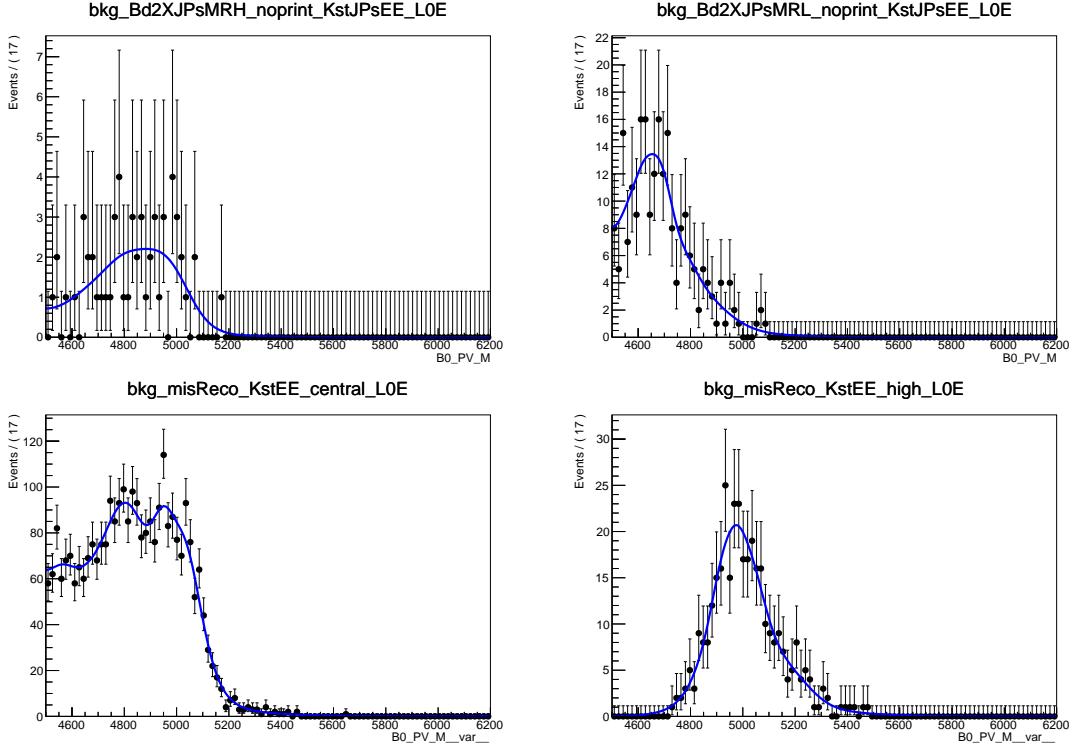


Figure 5.20: Distributions of the  $m(K\pi ee)$  invariant mass for the (top left) hadronic and (top right) leptonic mis-reconstructed background to  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$ . Distributions of the  $m(K\pi ee)$  invariant mass for decays involving higher  $K^{*0}$  resonances in the (bottom left) central- and (bottom right) high- $q^2$  interval.

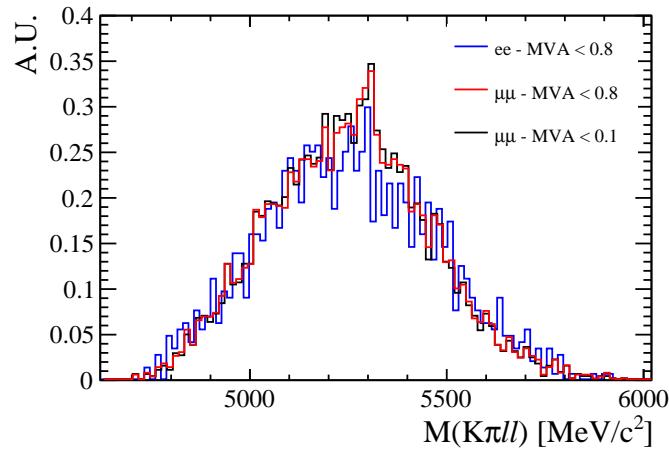


Figure 5.21: Distributions of the  $m(K\pi\ell\ell)$  invariant mass for  $B^0 \rightarrow K^{*0}\ell^+\ell^-$  candidates selected with a reversed cuts on the NN output.

<sup>2447</sup> 5.8.2.3 Summary of the fit to the electron samples

<sup>2448</sup> In summary, the free parameters in the fit to data are:

- <sup>2449</sup> • the  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$ ,  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  and  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$  yields in each trigger category;
- <sup>2451</sup> • the  $r_{ee}$  ratio common to all trigger categories; one for the low, one for the central- and one for the high- $q^2$  region;
- <sup>2453</sup> • one mass shift,  $m'$ , and one width scale factor,  $c$ , for the signal PDF common between  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  and  $B^0 \rightarrow K^{*0}e^+e^-$ , but different for the three trigger categories and for  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  and  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$ ;
- <sup>2457</sup> • the yield and slope, when applicable (e.g. no slope at high- $q^2$ ), of the combinatorial background in each trigger category and for each channel;
- <sup>2459</sup> • the yield of the backgrounds when not fixed as described in the previous section.

<sup>2461</sup> Fits to simulated  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  candidates are shown in Appendix D,  
<sup>2462</sup> while fits to real candidates are shown in Fig. 5.22 for the normalisation channel, in  
<sup>2463</sup> Fig. 5.23 for the rare channel and in Fig. 5.24 for the control channels. For simplicity  
<sup>2464</sup> the latter two figures show the sub of the three trigger categories, while the separate  
<sup>2465</sup> plots are reported in Appendix E, where fitted parameters are also reported on the  
<sup>2466</sup> plots.

<sup>2467</sup> In the high- $q^2$  interval, above  $15 \text{ GeV}^2/c^4$ , the efficiency for the L0Hadron trigger  
<sup>2468</sup> becomes very low as the  $K^*$  has very low momentum. In this region only 9 candidates  
<sup>2469</sup> are found spread in the interval  $4500 < m(K\pi ee) < 6000 \text{ MeV}/c^2$ . Therefore only  
<sup>2470</sup> L0E and L0I triggered events are fitted in this region.

Sample	1–6 $\text{GeV}^2/c^4$	15–20 $\text{GeV}^2/c^4$	$J/\psi$
$\mu\mu$	$626.47 \pm 29.60$	$605.09 \pm 27.44$	$333112.99 \pm 603.77$
$ee$ L0E	$131.62 \pm 17.11$	$136.69 \pm 27.34$	$48601.38 \pm 326.48$
$ee$ L0H	$31.65 \pm 4.16$	—	$4323.62 \pm 94.49$
$ee$ L0I	$49.59 \pm 6.48$	—	$12791.37 \pm 172.47$

Table 5.8: Raw yields of events found fitting invariant mass distributions of the rare and resonant events.

### 2471 5.8.3 Event yields

2472 Table 5.8 reports raw yields obtained from the fits described in the previous subsec-  
 2473 tions. The values for the rare channels are not directly floating in the fits but, as  
 2474 described in Sec. 5.8, they are parameterised as a function of the number of resonant  
 2475 events found and the ratios  $R_{ee}$  and  $R_{\mu\mu}$  between the resonant and rare branching  
 2476 fractions. Measured values of these ratios are reported in Tab. 5.16.

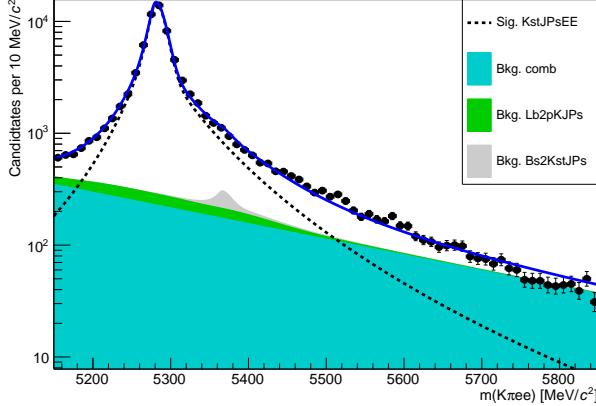


Figure 5.22: Fit to the mass constrained  $m(K\pi ee)$  invariant mass of  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  candidates. The dashed black line (shaded shapes) represents the signal (background) PDF.

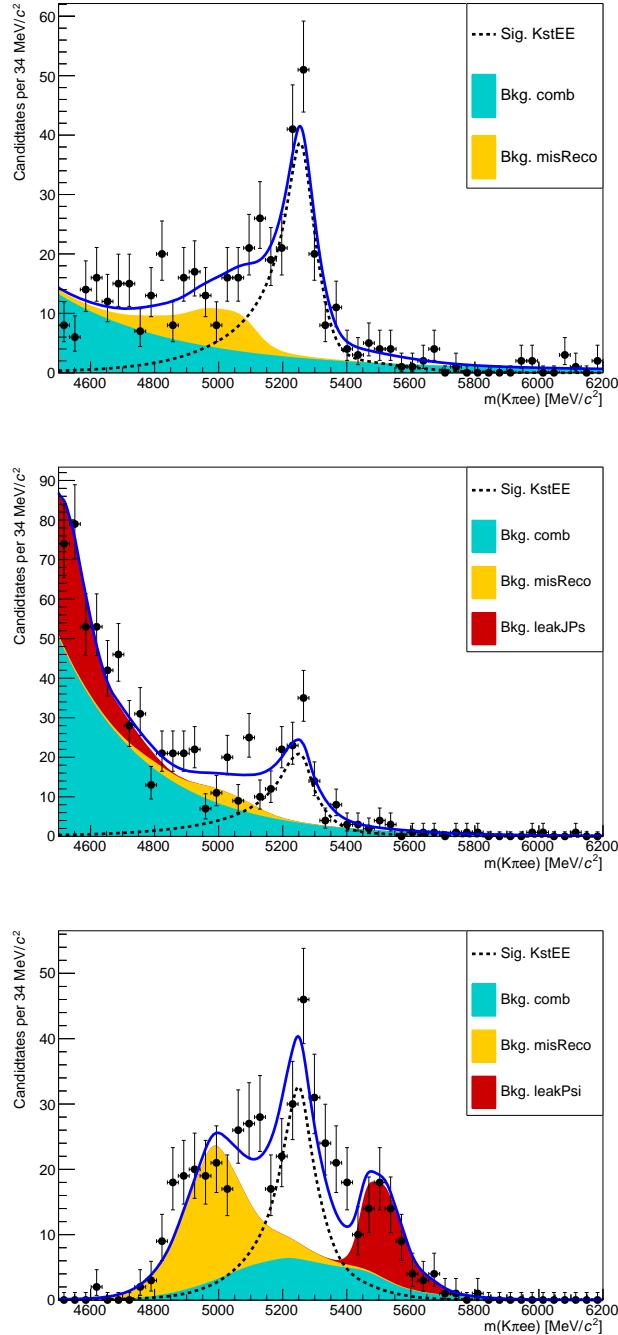


Figure 5.23: Fit to the  $m(K\pi ee)$  invariant mass of  $B^0 \rightarrow K^{*0}e^+e^-$  candidates. From top to bottom for the low-, central- and high- $q^2$  intervals. The dashed black line (shaded shapes) represents the signal (background) PDF.

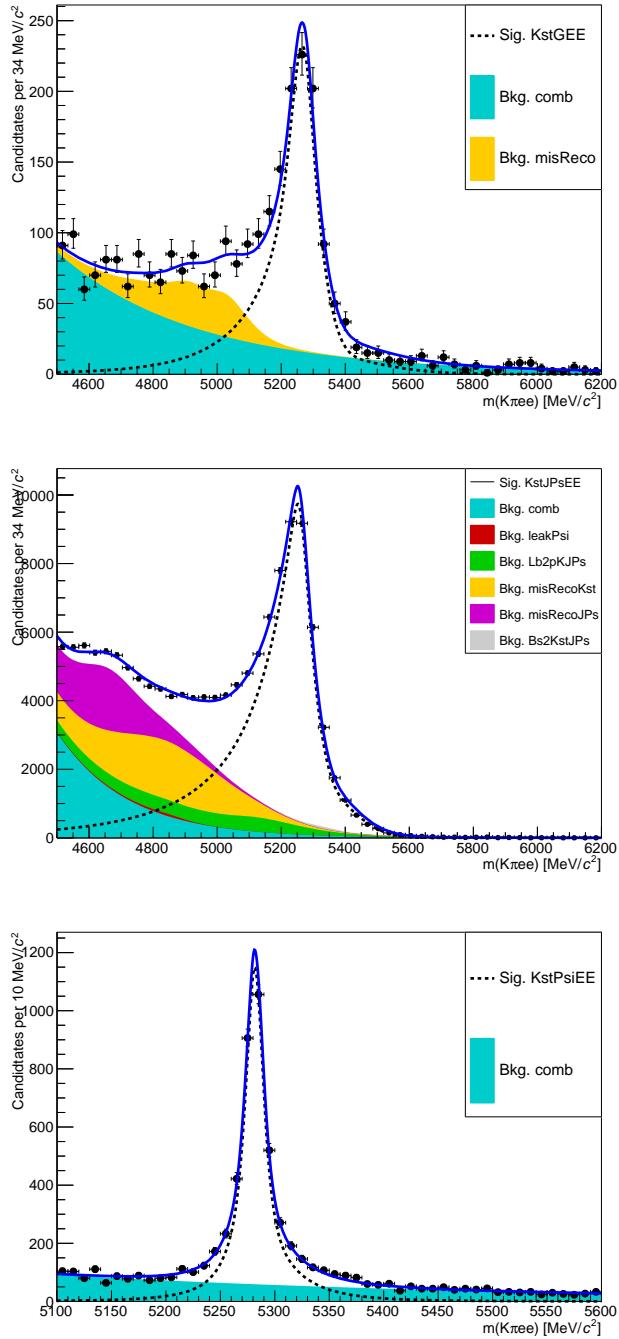


Figure 5.24: Fit to the  $m(K\pi ee)$  invariant mass of control channel candidates. From top to bottom: invariant mass distribution without mass constraint of  $B^0 \rightarrow K^{*0}(\gamma \rightarrow e^+e^-)$  and  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  candidates and mass constrained mass of  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  candidates. The dashed black line (shaded shapes) represents the signal (background) PDF.

<sup>2477</sup> **5.9 Efficiency**

The efficiency for each of the decay channels is calculated according to the formula

$$\varepsilon^{tot} = \varepsilon^{\text{geom}} \cdot \varepsilon^{\text{reco|geom}} \cdot \varepsilon^{\text{PID|reco}} \cdot \varepsilon^{\text{trig|PID}} \cdot \varepsilon^{\text{MVA|trig}} \cdot \varepsilon^{\text{BCM|MVA}}$$

<sup>2478</sup>, where the first term is the efficiency to have final state particles in the LHCb  
<sup>2479</sup> detector acceptance; the second term ( $\varepsilon^{\text{reco|geom}}$ ) carries information on reconstruc-  
<sup>2480</sup> tion and stripping efficiency; the third ( $\varepsilon^{\text{PID|reco}}$ ) corresponds to the efficiency of  
<sup>2481</sup> the PID requirements; the fourth ( $\varepsilon^{\text{trig|PID}}$ ) handles the trigger efficiency for those  
<sup>2482</sup> events which are selected by the pre-selection process; and, finally, the latter term  
<sup>2483</sup> deals with the efficiency of the neural network classifier. Reconstruction, trigger,  
<sup>2484</sup> MVA and BCM efficiencies are evaluated using simulated data samples with the  
<sup>2485</sup> trigger efficiency for  $B^0 \rightarrow K^* J/\psi$  being cross-checked using the data-driven TIS-  
<sup>2486</sup> TOS method as described in Sec. 3.6.3. The PID efficiency is calculated with a  
<sup>2487</sup> data-driven method as described in Sec. 5.9.3.

<sup>2488</sup> Absolute efficiencies for the muon and electron normalisation channel are reported in  
<sup>2489</sup> Tab. 5.9 and relative efficiencies between rare and resonant channels,  $\varepsilon(\ell\ell)/\varepsilon(J/\psi(\ell\ell))$ ,  
<sup>2490</sup> these are listed in Tab. ??; these are the efficiencies which are used in the fit.

Table 5.9: Absolute efficiencies for the resonant  $ee$  and  $\mu\mu$  channels.

$\varepsilon$	$\mu\mu$	$ee$		
		L0E	L0H	L0I
$\varepsilon^{\text{geom}}$	$0.1598 \pm 0.0005$		$0.1589 \pm 0.0005$	
$\varepsilon^{\text{reco geom}}$	$0.0947 \pm 0.0001$		$0.0603 \pm 0.0001$	
$\varepsilon^{\text{PID reco}}$	$0.8148 \pm 0.0000$		$0.8222 \pm 0.0000$	
$\varepsilon^{\text{trig PID}}$	$0.7511 \pm 0.0005$	$0.1939 \pm 0.0005$	$0.0163 \pm 0.0002$	$0.0707 \pm 0.0003$
$\varepsilon^{\text{MVA trig}}$	$0.8944 \pm 0.0004$	$0.8597 \pm 0.0007$	$0.8983 \pm 0.0006$	$0.8276 \pm 0.0017$
$\varepsilon^{\text{Total}}$	$0.0083 \pm 0.0000$	$0.0013 \pm 0.0000$	$0.0001 \pm 0.0000$	$0.0005 \pm 0.0000$

Table 5.10: Relative efficiencies,  $\varepsilon^{rel} = \varepsilon^{\ell\ell}/\varepsilon^{J/\psi}$ , for the  $ee$  and  $\mu\mu$  channels in the central and high  $q^2$  intervals.

$\varepsilon$	$\mu\mu$	$ee$		
		L0E	L0H	L0I
<b>low-<math>q^2</math></b>				
$\varepsilon^{geom}$	$1.0200 \pm 0.0091$		$1.0429 \pm 0.0084$	
$\varepsilon^{reco geom}$	$0.1309 \pm 0.0010$		$0.1961 \pm 0.0007$	
$\varepsilon^{PID reco}$	$0.9861 \pm 0.0003$		$0.9718 \pm 0.0001$	
$\varepsilon^{trig PID}$	$0.8103 \pm 0.0048$	$0.6478 \pm 0.0058$	$2.5556 \pm 0.0455$	$1.2748 \pm 0.0139$
$\varepsilon^{MVA trig}$	$0.9528 \pm 0.0024$	$0.9568 \pm 0.0014$	$0.9570 \pm 0.0013$	$0.9463 \pm 0.0030$
$\varepsilon^{BCM MVA}$	–	$0.9394 \pm 0.0014$	$0.9492 \pm 0.0013$	$0.9590 \pm 0.0023$
$\varepsilon^{tot}$	$0.7810 \pm 0.0168$	$0.5809 \pm 0.0097$	$2.2685 \pm 0.0514$	$1.1073 \pm 0.0200$
<b>central-<math>q^2</math></b>				
$\varepsilon^{geom}$	$1.0200 \pm 0.0091$		$1.0429 \pm 0.0084$	
$\varepsilon^{reco geom}$	$0.1891 \pm 0.0012$		$0.1580 \pm 0.0006$	
$\varepsilon^{PID reco}$	$0.9784 \pm 0.0002$		$0.9672 \pm 0.0001$	
$\varepsilon^{trig PID}$	$0.8925 \pm 0.0038$	$0.7909 \pm 0.0069$	$2.1344 \pm 0.0439$	$1.1208 \pm 0.0141$
$\varepsilon^{MVA trig}$	$0.9068 \pm 0.0024$	$0.8397 \pm 0.0024$	$0.8512 \pm 0.0022$	$0.7946 \pm 0.0054$
$\varepsilon^{BCM MVA}$	–	$0.8960 \pm 0.0020$	$0.8978 \pm 0.0020$	$0.9283 \pm 0.0037$
$\varepsilon^{tot}$	$0.7171 \pm 0.0124$	$0.8145 \pm 0.0157$	$2.2235 \pm 0.0595$	$1.0542 \pm 0.0236$
<b>high-<math>q^2</math></b>				
$\varepsilon^{geom}$	$1.0200 \pm 0.0091$		$1.0429 \pm 0.0084$	
$\varepsilon^{reco geom}$	$0.1172 \pm 0.0009$		$0.0530 \pm 0.0003$	
$\varepsilon^{PID reco}$	$1.0286 \pm 0.0001$		$1.0113 \pm 0.0002$	
$\varepsilon^{trig PID}$	$1.1122 \pm 0.0038$	$1.5639 \pm 0.0148$	–	$0.8090 \pm 0.0195$
$\varepsilon^{MVA trig}$	$0.8986 \pm 0.0027$	$0.8228 \pm 0.0036$	–	$0.7201 \pm 0.0115$
$\varepsilon^{tot}$	$0.7843 \pm 0.0155$	$0.6063 \pm 0.0131$	–	$0.2745 \pm 0.0095$

2491 5.9.1 Geometric efficiency

2492 In order to save disk space, simulated samples only contain decays with final daugh-  
2493 ters in the LHCb detector acceptance, which can therefore be reconstructed. This  
2494 corresponds to the requirement for each of the final particles to have polar angle  $\theta$   
2495 between 10 and 400 mrad. The efficiency of this cuts is obtained using a generator  
2496 level simulated sample.

2497 5.9.2 Reconstruction efficiency and bin migration

2498 The reconstruction efficiency is here defined as the efficiency to reconstruct each  
2499 decay channel given that its daughters are into the geometrical acceptance of the  
2500 detector. This includes both the probability that the final particles generate ob-  
2501 servable signatures and the efficiency of all the pre-selection requirements described  
2502 in Sec. 5.6, including those done to remove peaking backgrounds. The efficiency of  
2503 the PID cuts is kept separate as it is known to be not well simulated and there are  
2504 reliable data-driven methods which can be used to extract it (see Sec. 5.9.3).

2505 5.9.2.1 Bin migration

2506 It can happen that events generated in a  $q^2$  interval are reconstructed in a different  
2507 one, this is referred to as “bin migration” and can be due to two different effects.  
2508 First of all, as the resolution of real detectors is not perfect, events close to the edges  
2509 of the considered intervals can fall on the wrong side of the edge. This effect is only  
2510 important in case of non-flat true distributions, as the amount of bin migration in the  
2511 two directions is different. The second possible source of bin migration are systematic  
2512 effects due, for example, to the presence of bremsstrahlung photons that cannot be  
2513 recovered. It is particularly important to take into account the bin migration in the  
2514 electron channels case because more photons are radiated from the final state and  
2515 the mass resolution is worse. Figure 5.25 shows the response matrix for simulated

2516  $B^0 \rightarrow K^{*0} e^+ e^-$  events, which represents the correlation between reconstructed and  
2517 generated  $q^2$ . In the ideal case of perfect resolution this plot would look like a  
2518 diagonal line and in case no bias is present its slope would be 1. Table 5.11 lists the  
2519 net amounts of bin migration,  $M_{net}$ , in the considered  $q^2$  intervals defined as:

$$M_{net} = N(\text{in} \rightarrow \text{in}) + N(\text{out} \rightarrow \text{in}) - N(\text{in} \rightarrow \text{out}) \quad (5.15)$$

2520 where  $N(\text{in} \rightarrow \text{in})$  is the number of candidates that are generated and reconstructed  
2521 inside the considered interval,  $N(\text{out} \rightarrow \text{in})$  the number of candidates that are gen-  
2522 erated outside the interval but reconstructed inside and  $N(\text{in} \rightarrow \text{out})$  the number of  
2523 candidates generated inside that fall outside. The reconstruction efficiency is calcu-  
2524 lated comparing generated to reconstructed samples and therefore already includes  
2525 bin migration effects. Nevertheless, it is useful to single out this component to better  
 asses the corresponding systematic uncertainty.

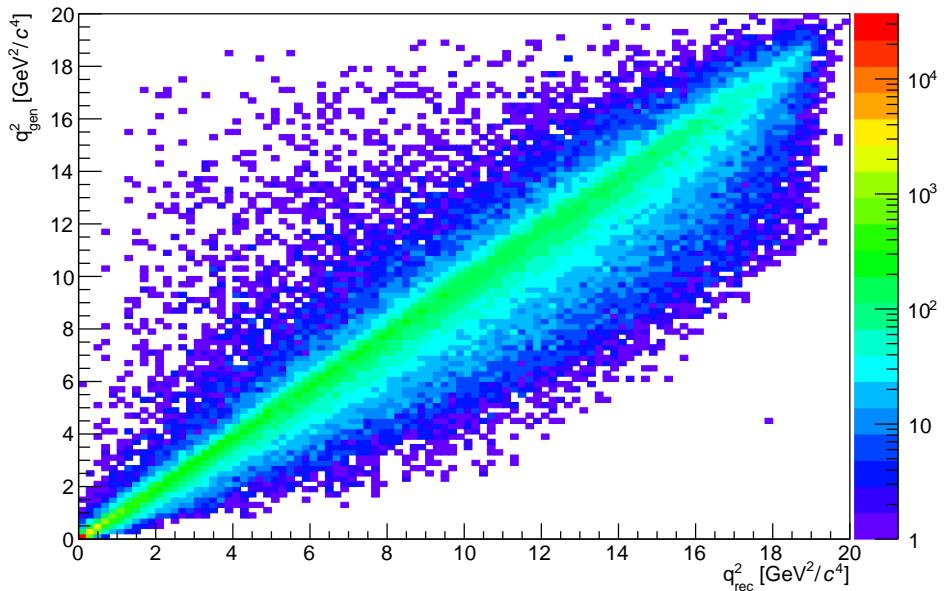


Figure 5.25: Generated versus reconstructed  $q^2$  in simulated  $B^0 \rightarrow K^* e^+ e^-$  events.

2527 5.9.3 PID efficiency

2528 The simulation is known not to reliably describe particle ID variables and therefore  
2529 a data-driven method is used to obtain this efficiency component. This is done using  
2530 the `PIDCalib` package described in Sec. 2.8.1. Furthermore, the same method is used  
2531 to weight the simulation in order to calculate the MVA and trigger efficiencies. The  
2532 package `PIDCalib` allows to divide the phase-space in intervals of quantities relevant  
2533 for the determination of the PID efficiency and obtain a data-driven efficiency for  
2534 each interval. For this analysis the phase-space is divided in equi-populated bins  
2535 of momentum and pseudorapidity of the particle under study. Figure 5.26 shows  
2536 performance tables for pions, kaons, muons and electrons. Once the efficiency tables  
2537 are obtained for each particle, the total efficiency is calculated for each candidate  
2538 as the product of the four final particles efficiencies.  $\varepsilon^{ev} = \varepsilon_K \cdot \varepsilon_\pi \cdot \varepsilon_{\ell_1} \cdot \varepsilon_{\ell_2}$ . Finally,  
2539 as the decay channel under study generally has different kinematical distributions  
2540 than the calibration sample, the total efficiency is found by averaging over simulated  
2541 events.

$$\varepsilon_{PID} = \frac{1}{N} \sum_i^N \varepsilon_K(p_K^i, \eta_K^i) \cdot \varepsilon_\pi(p_\pi^i, \eta_\pi^i) \cdot \varepsilon_\ell(p_{\ell_1}^i, \eta_{\ell_1}^i) \cdot \varepsilon_K(p_{\ell_2}^i, \eta_{\ell_2}^i) \quad (5.16)$$

2542

2543 5.9.4 Trigger efficiency

2544 While the trigger efficiency for the muon channels is calculated using simulated  
2545 events, for the electron channels a combination of simulation and data-driven meth-  
2546 ods is used. The efficiency of the software stage, HLT, is always obtained from

Table 5.11: Net bin migration amounts ( $M_{net}$ ) in the considered  $q^2$  intervals. Positive values indicate “net in”, negative values “net out”.

Sample	low- $q^2$	central- $q^2$	$J/\psi$	high- $q^2$
$\mu\mu$	$0.0002 \pm 0.0001$	$-0.0021 \pm 0.0003$	$0.0032 \pm 0.0004$	$-0.0012 \pm 0.0000$
$ee$	$0.0268 \pm 0.0005$	$0.0663 \pm 0.0009$	$-0.4277 \pm 0.0048$	$-0.0445 \pm 0.0003$

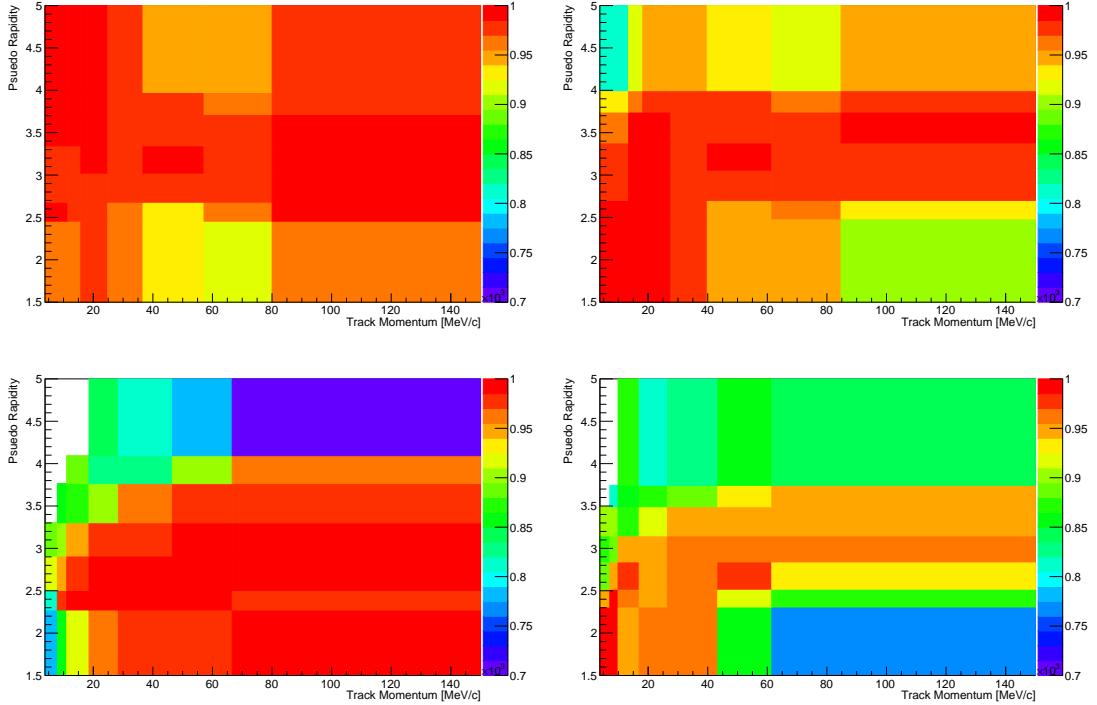


Figure 5.26: Performance tables obtained with data-driven methods for pions (top left), kaons (top right), muons (bottom left) and electrons (bottom right).

simulation, while the efficiency of the hardware stage, L0, is obtained using a data-driven method as described in the next subsection. For both muon and electron channels it is possible to use the resonant sample to cross-check the efficiency obtained using the simulation, as explained in Sec. 5.9.4.2.

#### 5.9.4.1 Electron triggers

For the electron channels data is fitted separately in three trigger categories: L0E, L0H and L0I. Therefore the efficiency is calculated separately for each category. While the HLT (1 and 2) efficiency is always derived using simulated events, the L0Electron and L0Hadron efficiencies cannot be reliably modelled in simulation. In fact data-simulation discrepancies are caused by the ageing of the calorimeters, which is not simulated in the Monte Carlo. The ageing modifies the response of the calorimeters with time, which affects the L0 trigger efficiency. Therefore this must be calibrated using data driven-methods.

Tables of efficiencies are obtained applying the TISTOS method to a calibration sample. For each trigger category these tables contain the efficiency as a function of  $p_T$  of the considered particle and are given for different calorimeter regions as these have different properties (e.g. cell size) due to the different position with respect to the beam line. The considered regions are the inner and outer HCAL, and the inner, middle and outer ECAL. Figure 5.27 shows data-driven efficiencies for the L0Electron trigger in the three ECAL regions.

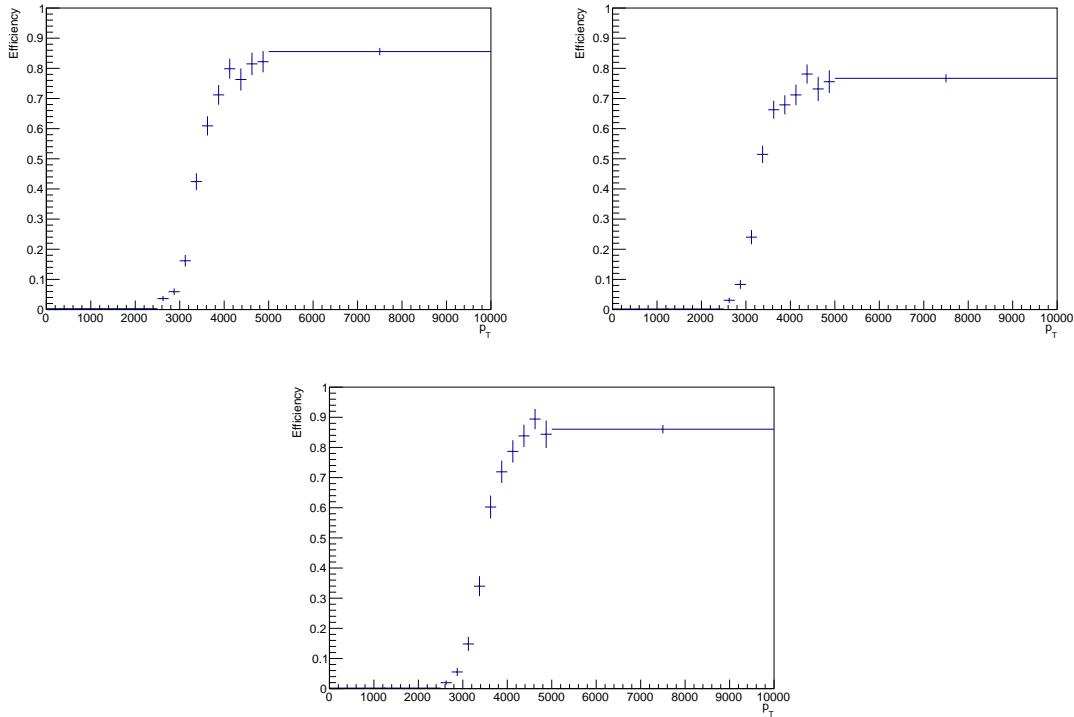


Figure 5.27: Data-driven L0Electron trigger efficiencies as a function of the transverse momentum of the electrons for the three ECAL regions.

2566

The probabilities of an event being triggered by L0Electron or L0Hadron are calculated for each candidate as:

$$P_{L0E} = \varepsilon(e^+) + \varepsilon(e^-) - \varepsilon(e^+)\varepsilon(e^-) \text{ and } P_{L0H} = \varepsilon(\pi) + \varepsilon(K) - \varepsilon(\pi)\varepsilon(K).$$

2567 The probability of TIS trigger is defined to be independent of the signal and therefore  
2568 must be the same in the rare and resonant channels and cancel in their ratio.

2569 Then event by event efficiencies for the three trigger categories are defined to be  
2570 exclusive in the following way:

- 2571 • L0E:  $\varepsilon^{L0E} = P_{L0E}$ , namely the probability that at least one electron triggered;
- 2572 • L0H:  $\varepsilon^{L0H} = P_{L0H} \cdot (1 - P_{L0E})$ , namely the probability that at least one hadron  
2573 triggered but none of the electrons;
- 2574 • L0I:  $\varepsilon^{L0I} = (1 - P_{L0H}) \cdot (1 - P_{L0E})$ , namely the probability that neither the  
2575 hadrons or the electrons in the candidate triggered. Note that in this case  $\varepsilon^{L0I}$   
2576 does not correspond to the efficiency of TIS trigger but to the probability that  
2577 the event does not fall into the L0E or L0H categories.

2578 Finally, as in the PID case, the total efficiency is found averaging over all events of  
2579 a simulated sample:

$$\varepsilon^{\text{trg}} = \frac{1}{N} \sum_i^N \varepsilon^{\text{trg}}(p_T^i) \quad (5.17)$$

2580 where “trg” is a label indicating the trigger category under consideration.

#### 2581 5.9.4.2 TISTOS cross-check

2582 The efficiency obtained using the simulation is cross-checked applying the TISTOS  
2583 method, already described in Sec. 3.6.3, to resonant data. For this purpose a sample  
2584 of events triggered independent-of-signal (TIS) is used as control sample. As data  
2585 also contains non negligible amounts of background a narrow interval around the  
2586 peak, dominated by the signal, is selected. Finally, the  $s\mathcal{P}lot$  method is used to  
2587 remove residual background in the data sample. Results are shown in Tab. 5.12,  
2588 where the efficiency obtained using the TISTOS method is compared between data  
2589 and simulation. These are found to be in agreement for the muon channel, while  
2590 they show deviations in the electron channels. In particular a significant discrepancy  
2591 is found, for the L0I category, for which the procedure explained in Sec. 5.9.4.1 does  
2592 not ensure a correct calibration. The table also reports a correction factor obtained

2593 according to the formula

$$f = 1 + \frac{\varepsilon_{data}^{\text{TISTOS}} - \varepsilon_{MC}^{\text{TISTOS}}}{\varepsilon_{MC}^{\text{TISTOS}}}, \quad (5.18)$$

2594 which can be used to correct the absolute resonant yields. To check the effect of this  
 2595 correction on the ratios between rare and resonant channels, the efficiency obtained  
 2596 using the TISTOS method is plot as a function of the kinematic quantity relevant for  
 2597 each trigger category: the maximum  $p_T$  of the electrons for L0E, the maximum  $p_T$  of  
 2598  $K$  and  $\pi$  for L0H, and the maximum  $p_T$  of all the final particles for L0I; results are  
 2599 shown in Fig. 5.28. The  $p_T$  distributions of the rare and resonant simulated samples  
 2600 are then used to find the average efficiency in the two cases. This corresponds to  
 2601 making an average of the efficiency weighted by the kinematical distributions in  
 2602 the two samples. The ratios  $\varepsilon_{\ell\ell}^{\text{tistos}} / \varepsilon_{J/\psi}^{\text{tistos}}$  obtained on data and simulation are then  
 2603 compared and found to be fully compatible. This means that, even though the  
 2604 TISTOS correction has an effect on the absolute efficiency, this is almost the same  
 2605 on the rare and resonant channels and becomes negligible in their ratio. Therefore,  
 no correction due to this effect is applied for the calculation of the  $R_{K^{*0}}$  ratio.

Table 5.12: Trigger efficiencies obtained using the TISTOS method on simulated and real  $B^0 \rightarrow K^{*0} J/\psi (\rightarrow \ell^+ \ell^-)$  decays.

Sample	MC	Data	Correction factor
$J/\psi \rightarrow \mu\mu$	$0.797 \pm 0.002$	$0.803 \pm 0.004$	1.0073
$J/\psi \rightarrow ee$ L0E	$0.268 \pm 0.002$	$0.255 \pm 0.004$	0.9536
$J/\psi \rightarrow ee$ L0H	$0.028 \pm 0.001$	$0.026 \pm 0.002$	0.9269
$J/\psi \rightarrow ee$ L0I	$0.017 \pm 0.001$	$0.011 \pm 0.001$	0.6760

2606

### 2607 5.9.5 Neural networks and BCM efficiencies

2608 The the neural network and BCM efficiencies are evaluated from fully weighted  
 2609 simulated samples, and separately for each trigger category for the electron channels.  
 2610 In order to check for biases one can compare the efficiency obtained using  $B^0 \rightarrow$   
 2611  $K^{*0}(J/\psi \rightarrow \ell^+ \ell^-)$  events and rare  $B^0 \rightarrow K^{*0}\ell^+\ell^-$  events in the same  $q^2$  region

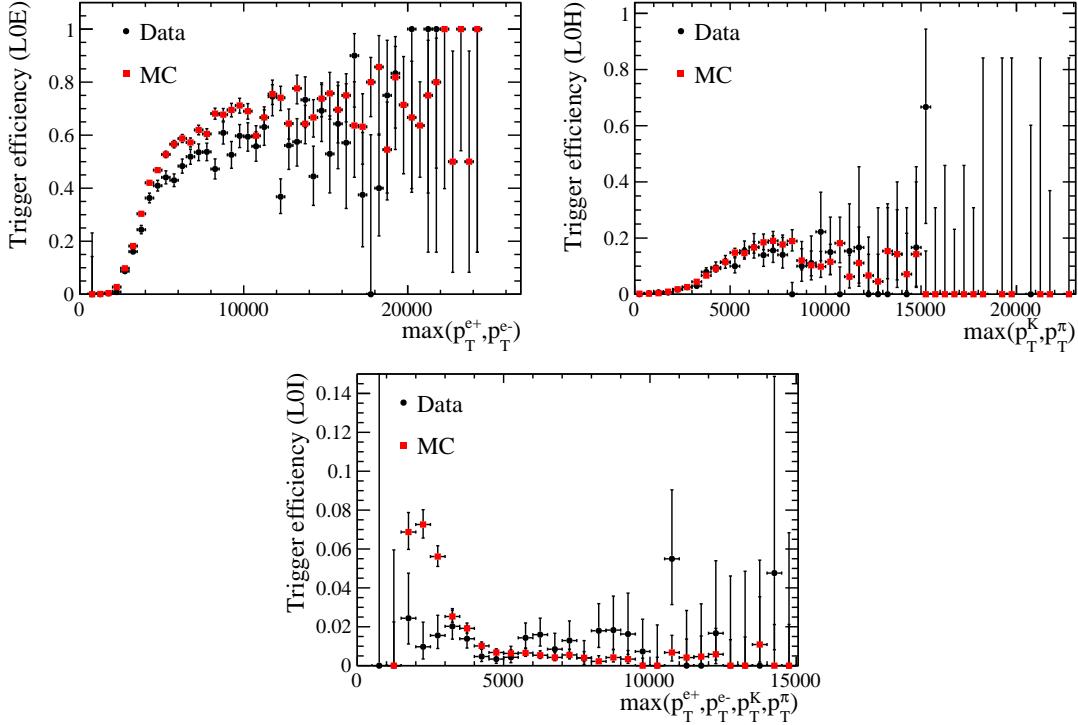


Figure 5.28: Trigger efficiency obtained applying the TISTOS method on  $B^0 \rightarrow J/\psi K^*$  candidates as a function of the maximum  $p_T$  of the electrons for the L0E category (top left), the maximum  $p_T$  of  $p$  and  $\pi$  for L0H (top right) and the maximum  $p_T$  of all the final particles for L0I (bottom).

2612 selected for the resonant case. The ratio between the two should be close to unity  
 2613 with small deviations due the fact that the  $q^2$  interval width is finite and the events  
 2614 are distributed differently inside the interval. This ratio is found to be  $0.997 \pm 0.004$   
 2615 for the  $\mu\mu$  channels and on average  $0.981 \pm 0.005$  for the  $ee$  channels. Values for the  
 2616 electron channels show a small deviation from one due to the very large  $q^2$  interval  
 2617 used to select the resonant channel ( $6\text{--}11 \text{ GeV}^2/c^4$ ).

## 2618 5.10 Systematic uncertainties

2619 This section describes the main sources of systematic uncertainties considered. Other  
 2620 sources, which would matter in measurements of absolute quantities, cancel in the  
 2621 ratio between the rare and resonant channels. A list of the systematic uncertainties  
 2622 that are considered and their effect on the  $R_{K^{*0}}$  ratio is summarised in Tab. 5.13.

2623 The total uncertainty is evaluated by summing in quadrature the single components.

Table 5.13: Summary of the relative systematic uncertainties on  $R_{K^{*0}}$  (in percentage).

Source	low- $q^2$	central- $q^2$	high- $q^2$
Signal shape	1.65	1.10	2.92
Bremsstrahlung categories	0.04	0.06	0.37
Swap	0.30	0.12	0.13
$\Lambda_b^0 \rightarrow p K \ell^+ \ell^-$	0.25	0.28	0.77
Partially-reconstructed	0.11	4.13	0.10
Combinatorial	0.00	0.02	8.02
$B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$ leakage	0.06	0.01	0.10
$B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$ leakage	0.03	0.01	2.00
RooKeysPdf ( $\rho = 1.1$ )	0.11	0.28	0.14
RooKeysPdf ( $\rho = 1.3$ )	0.10	0.24	0.49
Efficiency	0.65	0.74	0.83
TISTOS	2.47	2.30	2.80
Bin migration	0.69	1.43	1.19

### 2624 5.10.1 Choice of signal and background PDFs

2625 There is a certain arbitrariness in the choice of PDFs to model signal and background  
2626 contributions in the invariant mass fits, which could translate in a bias on the final  
2627 result. The systematic uncertainty due to the parameterisation of line shapes is  
2628 studied in the following ways.

2629 For the signal PDF:

- 2630 • *Shape*: in the electron channels the PDF is changed from a Crystal Ball and  
2631 Gaussian to a Double Crystal Ball. Modifying the PDF has a negligible effect  
2632 in the muon modes but it affects the electron ones resulting in a  $\sim 0.1\%$   
2633 variation on  $R_{K^{*0}}$ .

- *Bremsstrahlung categories*: gaussian constraints are applied to the relative fractions of the bremsstrahlung categories, instead of fixing them to the values observed on simulation. This yields a  $\sim \%$  systematic on  $R_{K^{*0}}$  in the central- and high- $q^2$  region.

For the background PDFs:

- *ID swap*: a component that describes candidates where the particle identities are swapped is added both to the muon and electron resonant fits, and constrained to the number of candidates expected from simulation. This amounts to a  $\sim \%$  variation on  $R_{K^{*0}}$  in the central- and high- $q^2$  region.
- $\Lambda_b^0 \rightarrow pKJ/\psi (\rightarrow e^+e^-)$ : the normalisation is left free to vary. This results in a  $\sim \%$  variation on  $R_{K^{*0}}$  in the central- and high- $q^2$  region.
- $B_s^0 \rightarrow K^{*0}J/\psi (\rightarrow \ell^+\ell^-)$ : the  $B_s^0 \rightarrow K^{*0}J/\psi (\rightarrow \mu^+\mu^-)$  shape is taken from simulation instead of using the same shape as for the signal. The normalisation is fixed to the branching ratio times the production fraction. This results in a  $\sim \%$  variation on  $R_{K^{*0}}$  in the central- and high- $q^2$  region.
- *Mis-reconstructed*: the yield of the mis-reconstructed background to  $B^0 \rightarrow K^{*0}e^+e^-$  is left free to vary in the fit. This only applies to the central- $q^2$  interval as this contribution is already free to vary in the high- $q^2$  range. This yields a  $\sim \%$  systematic on  $R_{K^{*0}}$ .
- *Combinatorial*: the PDF at high- $q^2$  is changed from an exponential (anti-MVA cut) to an anti-MVA cut (exponential) for the  $\mu\mu$  ( $ee$ ) mode. This amounts to a  $\sim \%$  variation on  $R_{K^{*0}}$  in the central- and high- $q^2$  region.
- $\Lambda_b^0 \rightarrow pK\ell^+\ell^-$ : this background is added to the fit to the rare channel and returns zero yield for both the muon and the electron samples. Therefore this yields no systematic uncertainty.
- *Leakage*: gaussian constraints are applied to the amounts of  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  leakage in the central- $q^2$  region and to the  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$

leakage in the high- $q^2$  region, which are fixed in the default fit. This results in  
a  $\sim \%$  variation on  $R_{K^{*0}}$  in the central- and high- $q^2$  region.

### 5.10.2 Efficiency determinations

The statistical uncertainty on the efficiency determinations is taken as the corresponding systematic uncertainty. The correlation among the electron trigger categories is taken into account (e.g. L0E and L0H are anti-correlated). This amounts to a  $\sim \%$  ( $\sim \%$ ) systematic uncertainty on  $R_{K^{*0}}$  for the central- $q^2$  (high- $q^2$ ) interval.

A further source of systematic uncertainty associated to the trigger efficiency is estimated using the data-simulation differences observed in Sec. 5.9.4.2. Ratios of efficiencies for the rare to resonant decays are found to be compatible between the electron and muon modes, indicating that the effect on  $R_{K^{*0}}$  is negligible, but the statistical precision on the determinations is taken as an extra systematic uncertainty.

### 5.10.3 Bin migration

The determination of the reconstruction efficiency is affected by the knowledge of the amount of bin migration as explained in Sec. 5.9.2. This amount depends on the shape of the  $q^2$  distribution, which in turn depends on the simulated  $B^0 \rightarrow K^{*0} e^+ e^-$  decay model. In order to asses this systematic, simulated samples are generated using different models corresponding to different form factors [110, 111].

The  $q^2$  distributions obtained using each model are compared with the ones obtained using the default one [112]. Figure 5.29 shows normalised ratios between these  $q^2$  distributions and the default one, which are used to re-weight the simulation. The amount of bin migration is recalculated using the simulation reweighted to reproduce each model; Table 5.14 lists the percent variations obtained. The largest difference between two values is taken as systematic uncertainty. This results in a

<sup>2686</sup>  $\sim 5\%$  uncertainty for the central- $q^2$  interval and  $\sim 11\%$  for the high- $q^2$  one, which represent in both channel the biggest systematic uncertainty.

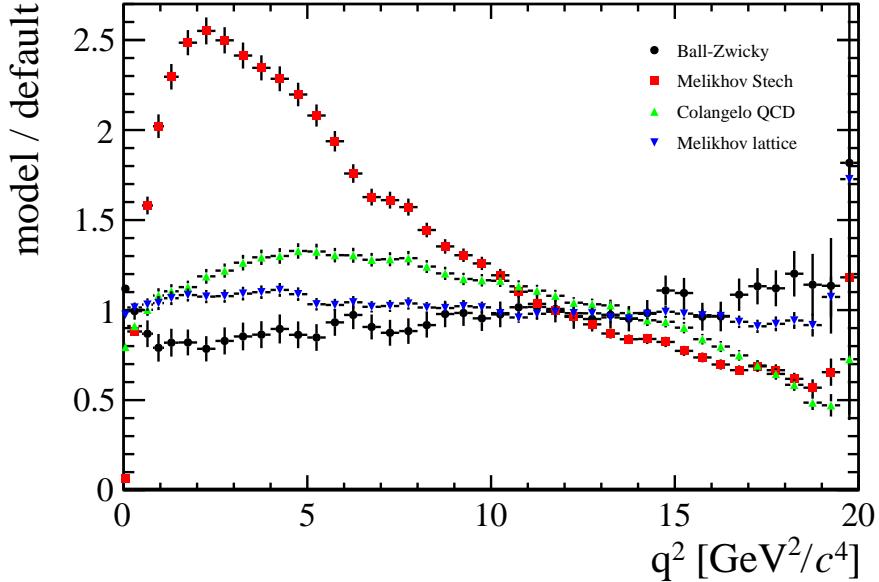


Figure 5.29: Ratios between the  $q^2$  distributions obtained using different form factors models with respect to the default model.

Table 5.14: Percent variation on the bin migration amount obtained using different form factors models.

Model	1–6 $\text{GeV}^2/c^4$	15–20 $\text{GeV}^2/c^4$
Ball-Zwicky (6)	1.8	0.2
Colangelo QCD (3)	0.3	0.8
Melikhov lattice (4)	-0.5	-0.4

<sup>2687</sup>

## <sup>2688</sup> 5.11 Result extraction

<sup>2689</sup> This section presents the final results of this analysis together with the description  
<sup>2690</sup> of sanity checks performed to verify the stability of the methods used.

2691 5.11.1  $R_{J/\psi}$  sanity check

2692 In order to cross-check the analysis procedure, the ratio between the measured  
2693 branching ratio of the electron and muon resonant channels is calculated:

$$r_{J/\psi} = \frac{\mathcal{B}(B^0 \rightarrow K^{*0} J/\psi (\rightarrow \mu^+ \mu^-))}{\mathcal{B}(B^0 \rightarrow K^{*0} J/\psi (\rightarrow e^+ e^-))} = \frac{\varepsilon_{J/\psi(\mu\mu)} \cdot N_{B^0 \rightarrow K^{*0} J/\psi (\rightarrow e^+ e^-)}}{\varepsilon_{J/\psi(ee)} \cdot N_{B^0 \rightarrow K^{*0} J/\psi (\rightarrow \mu^+ \mu^-)}}. \quad (5.19)$$

2694 Unlike absolute branching fractions calculations, the determination of  $R_{J/\psi}$  represents  
2695 a better sanity test as it is not affected by uncertainties due to the knowledge  
2696 of the amount of collected luminosity,  $\mathcal{L}$ , or the fragmentation fraction,  $f_d$ , the  
2697 probability for a  $b$  quark to produce a  $B^0$  meson. These quantities come with large  
2698 uncertainties but they cancel in the  $r_{J/\psi}$  ratio.

2699 Measured values of the  $R_{J/\psi}$  ratio are reported in Tab. 5.15, where the error shown  
2700 is statistical only. For this purpose the trigger efficiencies are corrected using the  
2701 factors obtained in Sec. 5.9.4.2. Note that systematic uncertainties, which cancel  
2702 when doing the ratio between the rare and resonant channels with same leptonic  
2703 final state, do not cancel in this case. A reasonable agreement with unity is found.

Table 5.15: Fully corrected measured values of the ratio  $R_{J/\psi}$  in the three electron trigger categories.

Trigger	$r_{J/\psi}$
L0E	$1.073 \pm 0.009 \pm 0.021$
L0H	$1.016 \pm 0.024 \pm 0.068$
L0I	$1.150 \pm 0.017 \pm 0.148$

2704 5.11.2  $\mathcal{B}(B^0 \rightarrow K^{*0}\gamma)$  sanity check

As a further check, the  $B^0 \rightarrow K^{*0}\gamma$  branching fraction is determined using the ratio

$$r_\gamma = \frac{\mathcal{B}(B^0 \rightarrow K^{*0}\gamma)}{\mathcal{B}(B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+ e^-))} = \frac{N_{\gamma(ee)}}{N_{J/\psi(ee)}} \cdot \frac{\varepsilon_{J/\psi(ee)}}{\varepsilon_{\gamma(ee)}} = 0.053 \pm 0.002.$$

Table 5.16: Measured values of  $r_{ee}$ ,  $r_{\mu\mu}$  and  $R_{K^{*0}}$  ratios.

Ratio low- $q^2$	central- $q^2$	high- $q^2$
$R_{ee}$		
$R_{\mu\mu}$		
$R_{K^{*0}}$	blind	blind

The measured value is

$$\mathcal{B}(B^0 \rightarrow K^{*0}\gamma) = (4.18 \pm 0.26) \times 10^{-5},$$

where the uncertainty is only statistical. A reasonable agreement with the PDG [2] value,  $(4.33 \pm 0.15) \times 10^{-5}$ , is found.

### 5.11.3 $R_{K^{*0}}$ result summary

The ratio  $R_{K^{*0}}$  is extracted by dividing the  $r_{ee}$  and  $r_{\mu\mu}$  parameters described in Sec. 5.8. These ratios are direct parameters of the fit but they can also be built from the yields in Tab. 5.8 and the efficiencies in Tab. ???. In summary the definition of the  $R_{K^{*0}}$  ratio is the following:

$$R_{K^{*0}} = \frac{r_{ee}}{r_{\mu\mu}} = \frac{N_{ee}}{N_{J/\psi(ee)}} \cdot \frac{N_{J/\psi(\mu\mu)}}{N_{\mu\mu}} \cdot \frac{\varepsilon_{J/\psi(ee)}}{\varepsilon_{ee}} \cdot \frac{\varepsilon_{\mu\mu}}{\varepsilon_{J/\psi(\mu\mu)}}. \quad (5.20)$$

As the electron ratio  $R_{ee}$  is a shared parameter in the simultaneous fit to the three electron categories its value is already a combination of the three samples. Results are shown in Tab. 5.16.

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## CHAPTER 6

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### Conclusions

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2719 In this work rare decays were analysed in order to look for hints of new physics using  
2720 data recorded by the LHCb detector at centre-of-mass energies of 7 and 8 TeV and  
2721 corresponding to a total integrated luminosity of  $3.0 \text{ fb}^{-1}$ . First, a measurement  
2722 of the differential branching fraction of the rare  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decay was performed  
2723 together with the first measurement of angular observables for this decay. Evidence  
2724 for the signal was found for the first time in the  $q^2$  region below the square of the  
2725  $J/\psi$  mass in in the  $0.1 < q^2 < 2.0 \text{ GeV}^2/c^4$  interval, where an enhanced yield is  
2726 expected due to the vicinity of the photon pole. Due to a larger data sample and a  
2727 better control of systematic, the uncertainty of the measurement in the  $15 < q^2 <$   
2728  $20 \text{ GeV}^2/c^4$  interval are reduced by approximately a factor of three with respect  
2729 to the previous LHCb measurements. The branching fraction measurements are  
2730 compatible with SM predictions in the high- $q^2$  region, above the square of the  $J/\psi$   
2731 mass, and lie below the predictions in the low- $q^2$  region. In the angular analysis  
2732 of  $\Lambda_b^0 \rightarrow \Lambda\mu^+\mu^-$  decays two forward-backward asymmetries, in the dimuon and

<sup>2733</sup>  $p\pi$  systems, were measured. The measurements of the  $A_{\text{FB}}^h$  observable are in good  
<sup>2734</sup> agreement with the SM predictions while for the  $A_{\text{FB}}^\ell$  observable measurements are  
<sup>2735</sup> consistently above the SM predictions.

<sup>2736</sup> *Secondly lepton flavour universality was tested bla bla bla ...*

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## APPENDIX A

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3035

### Decay models

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## A.1 $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$ distribution

3037 The  $q^2$  and angular dependancies of the  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  decays are modelled based on  
3038 Ref. [90], where the angular distribution for unpolarised  $\Lambda_b^0$  production is defined as

$$\begin{aligned} W(\theta_\ell, \theta_B, \chi) &\propto \sum_{\lambda_1, \lambda_2, \lambda_j, \lambda'_j, J, J', m, m', \lambda_\Lambda, \lambda'_\Lambda, \lambda_p} h_{\lambda_1 \lambda_2}^m(J) h_{\lambda_1 \lambda_2}^{m'}(J') e^{i(\lambda_j - \lambda'_j)\chi} \\ &\times \delta_{\lambda_j - \lambda_\Lambda, \lambda'_j - \lambda'_\Lambda} \delta_{J, J'} d_{\lambda_j, \lambda_1 - \lambda_2}^J(\theta_\ell) d_{\lambda'_j, \lambda_1 - \lambda_2}^{J'}(\theta_\ell) H_{\lambda_\Lambda \lambda_j}^m(J) H_{\lambda'_\Lambda \lambda'_j}^{m'\dagger}(J') \\ &\times d_{\lambda_\Lambda \lambda_p}^{1/2}(\theta_B) d_{\lambda'_\Lambda \lambda_p}^{1/2}(\theta_B) h_{\lambda_p 0}^B h_{\lambda_p 0}^{B\dagger}. \end{aligned} \quad (\text{A.1})$$

3040 In this formula  $\theta_\ell$  and  $\theta_B$  correspond to the lepton and proton helicity angles,  $\chi$   
3041 is angle between dimuon and  $\Lambda$  decay planes (for unpolarised production we are  
3042 sensitive only to difference in azimuthal angles),  $d_{i,j}^J$  are Wigner d-functions and  $h$ ,  
3043  $h^B$  and  $H$  are helicity amplitudes for virtual dimuon,  $\Lambda$  and  $\Lambda_b^0$  decays. The sum  
3044 runs over all possible helicities with the dimuon being allowed in spin 0 and 1 states  
3045 ( $J$  and  $J'$ ). The  $m$  and  $m'$  indices run over the vector and axial-vector current  
3046 contributions.

3047 The production polarisation is introduced by removing  $e^{i(\lambda_j - \lambda'_j)\chi}$  from the expression,  
3048 swapping small Wigner d-functions  $d_{i,j}^J$  to the corresponding capital ones  $D_{i,j}^J$  which  
3049 are related as

$$D_{i,j}^J(\theta, \phi) = d_{i,j}^J(\theta) e^{i\phi(i-j)} \quad (\text{A.2})$$

and substitute spin density matrix for  $\delta_{\lambda_j - \lambda_\Lambda, \lambda'_j - \lambda'_\Lambda} \delta_{JJ'}$ . The spin density matrix itself is given by

$$\rho_{\lambda_j - \lambda_\Lambda, \lambda'_j - \lambda'_\Lambda} = \frac{1}{2} \begin{pmatrix} 1 + P_b \cos \theta & P_b \sin \theta \\ P_b \sin \theta & 1 - P_b \cos \theta \end{pmatrix}. \quad (\text{A.3})$$

Those changes lead to the formula

$$\begin{aligned} W(\theta\ell, \theta_B, \chi) &\propto \sum_{\lambda_1, \lambda_2, \lambda_j, \lambda'_j, J, J', m, m', \lambda_\Lambda, \lambda'_\Lambda, \lambda_p} h_{\lambda_1 \lambda_2}^m(J) h_{\lambda_1 \lambda_2}^{m'}(J') \\ &\times \rho_{\lambda_j - \lambda_\Lambda, \lambda'_j - \lambda'_\Lambda} D_{\lambda_j, \lambda_1 - \lambda_2}^J(\theta\ell, \phi_L) D_{\lambda'_j, \lambda_1 - \lambda_2}^{J'}(\theta\ell, \phi_L) H_{\lambda_\Lambda \lambda_j}^m(J) H_{\lambda'_\Lambda \lambda'_j}^{m'\dagger}(J') \\ &\times D_{\lambda_\Lambda \lambda_p}^{1/2}(\theta_B, \phi_B) D_{\lambda'_\Lambda \lambda_p}^{1/2}(\theta_B, \phi_B) h_{\lambda_p 0}^B h_{\lambda_p 0}^{B\dagger}. \end{aligned} \quad (\text{A.4})$$

The lepton amplitudes come directly from Ref. [90], eq. 3. The  $\Lambda$  decay amplitudes are related to the  $\Lambda$  decay asymmetry parameter as

$$\alpha_\Lambda = \frac{|h_{\frac{1}{2}0}^B|^2 - |h_{-\frac{1}{2}0}^B|^2}{|h_{\frac{1}{2}0}^B|^2 + |h_{-\frac{1}{2}0}^B|^2}. \quad (\text{A.5})$$

Finally, the  $\Lambda_b^0$  decay amplitudes receive contributions from vector and axial-vector currents and can be written as

$$H_{\lambda_2, \lambda_j}^m = H_{\lambda_2, \lambda_j}^{Vm} - H_{\lambda_2, \lambda_j}^{Am}. \quad (\text{A.6})$$

Finally, the remaining amplitudes are expressed in terms of form factors (Ref. [90], eq. C6) as

$$\begin{aligned} H_{\frac{1}{2}t}^{Vm} &= \sqrt{\frac{Q_+}{q^2}} \left( M_- F_1^{Vm} + \frac{q^2}{M_1} F_3^{Vm} \right), \\ H_{\frac{1}{2}1}^{Vm} &= \sqrt{2Q_-} \left( F_1^{Vm} + \frac{M_+}{M_1} F_2^{Vm} \right), \\ H_{\frac{1}{2}0}^{Vm} &= \sqrt{\frac{Q_-}{q^2}} \left( M_+ F_1^{Vm} + \frac{q^2}{M_1} F_2^{Vm} \right), \\ H_{\frac{1}{2}t}^{Am} &= \sqrt{\frac{Q_-}{q^2}} \left( M_+ F_1^{Am} - \frac{q^2}{M_1} F_3^{Am} \right), \\ H_{\frac{1}{2}1}^{Am} &= \sqrt{2Q_+} \left( F_1^{Am} - \frac{M_-}{M_1} F_2^{Am} \right), \\ H_{\frac{1}{2}0}^{Am} &= \sqrt{\frac{Q_+}{q^2}} \left( M_- F_1^{Am} - \frac{q^2}{M_1} F_2^{Am} \right), \end{aligned} \quad (\text{A.7})$$

where  $M_\pm = M_1 \pm M_2$ ,  $Q_\pm = M_\pm^2 - q^2$ . The form factors  $F$  are expressed in

3058 terms of dimensionless quantities in eqs. C8 and C9 in Ref. [90]. In our actual  
 3059 implementation form factors calculated in the covariant quark model [90] are used  
 3060 and for the numerical values of the Wilson coefficients Ref. [90] is used.

To assess effect of different form factors on efficiency calculations, an alternative set of form factors is implemented, based on the LQCD calculation from Ref. [94]. The form factors relations are found by comparing eqs. 66 and 68 in Ref. [90] to eq. 51 in Ref. [94]. Denoting LQCD form factors by  $F_i^L$  and dimensionless covariant quark model ones by  $f_i^{XX}$  we have

$$\begin{aligned} f_1^V &= c_\gamma(F_1^L + F_2^L), \\ f_2^V &= -2c_\gamma F_2^L, \\ f_3^V &= c_v(F_1^L + F_2^L), \\ f_1^A &= c_\gamma(F_1^L - F_2^L), \\ f_2^A &= -2c_\gamma F_2^L, \\ f_3^A &= -c_v(F_1^L - F_2^L), \\ f_1^{TV} &= c_\sigma F_2^L, \\ f_2^{TV} &= -c_\sigma F_1^L, \\ f_1^{TA} &= c_\sigma F_2^L, \\ f_2^{TA} &= -c_\sigma F_1^L, \end{aligned}$$

where

$$\begin{aligned} c_\gamma &= 1 - \frac{\alpha_s(\mu^2)}{\pi} \left[ \frac{4}{3} + \ln\left(\frac{\mu}{m_b}\right) \right], \\ c_v &= \frac{2}{3} \frac{\alpha_s(\mu^2)}{\pi}, \\ c_\sigma &= 1 - \frac{\alpha_s(\mu^2)}{\pi} \left[ \frac{4}{3} + \frac{5}{3} \ln\left(\frac{\mu}{m_b}\right) \right]. \end{aligned} \quad (\text{A.8})$$

3061 In the calculations  $\mu = m_b$  is used. For the strong coupling constant, we start  
 3062 from the world average value at the  $Z$  mass,  $\alpha_s(m_Z^2) = 0.1185 \pm 0.0006$  [2], and we  
 3063 translate it to the scale  $m_b^2$  by

$$\alpha_s(\mu^2) = \frac{\alpha_s(m_Z^2)}{1 + \frac{\alpha_s(m_Z^2)}{12\pi} (33 - 2n_f) \ln\left(\frac{\mu^2}{m_Z^2}\right)}, \quad (\text{A.9})$$

3064 where  $n_f = 5$ . The LQCD form factors  $F_1^L$  and  $F_2^L$  can be then taken directly from  
 3065 Ref. [94] and plugged into the code implementing the calculation from Ref. [90].

i	$f_{1i}$	$f_{2i}$	$F_i$
0	$a_+a_+^* + a_-a_-^* + b_+b_+^* + b_-b_-^*$	1	1
1	$a_+a_+^* - a_-a_-^* + b_+b_+^* - b_-b_-^*$	$P_b$	$\cos \theta$
2	$a_+a_+^* - a_-a_-^* - b_+b_+^* + b_-b_-^*$	$\alpha_\Lambda$	$\cos \theta_1$
3	$a_+a_+^* + a_-a_-^* - b_+b_+^* - b_-b_-^*$	$P_b\alpha_\Lambda$	$\cos \theta \cos \theta_1$
4	$-a_+a_+^* - a_-a_-^* + \frac{1}{2}b_+b_+^* + \frac{1}{2}b_-b_-^*$	1	$d_{00}^2(\theta_2)$
5	$-a_+a_+^* + a_-a_-^* + \frac{1}{2}b_+b_+^* - \frac{1}{2}b_-b_-^*$	$P_b$	$d_{00}^2(\theta_2) \cos \theta$
6	$-a_+a_+^* + a_-a_-^* - \frac{1}{2}b_+b_+^* + \frac{1}{2}b_-b_-^*$	$\alpha_\Lambda$	$d_{00}^2(\theta_2) \cos \theta_1$
7	$-a_+a_+^* - a_-a_-^* - \frac{1}{2}b_+b_+^* - \frac{1}{2}b_-b_-^*$	$P_b\alpha_\Lambda$	$d_{00}^2(\theta_2) \cos \theta \cos \theta_1$
8	$-3Re(a_+a_-^*)$	$P_b\alpha_\Lambda$	$\sin \theta \sin \theta_1 \sin^2 \theta_2 \cos \phi_1$
9	$3Im(a_+a_-^*)$	$P_b\alpha_\Lambda$	$\sin \theta \sin \theta_1 \sin^2 \theta_2 \sin \phi_1$
10	$-\frac{3}{2}Re(b_-b_+^*)$	$P_b\alpha_\Lambda$	$\sin \theta \sin \theta_1 \sin^2 \theta_2 \cos(\phi_1 + 2\phi_2)$
11	$\frac{3}{2}Im(b_-b_+^*)$	$P_b\alpha_\Lambda$	$\sin \theta \sin \theta_1 \sin^2 \theta_2 \sin(\phi_1 + 2\phi_2)$
12	$-\frac{3}{\sqrt{2}}Re(b_-a_+^* + a_-b_+^*)$	$P_b\alpha_\Lambda$	$\sin \theta \cos \theta_1 \sin \theta_2 \cos \theta_2 \cos \phi_2$
13	$\frac{3}{\sqrt{2}}Im(b_-a_+^* + a_-b_+^*)$	$P_b\alpha_\Lambda$	$\sin \theta \cos \theta_1 \sin \theta_2 \cos \theta_2 \sin \phi_2$
14	$-\frac{3}{\sqrt{2}}Re(b_-a_-^* + a_+b_+^*)$	$P_b\alpha_\Lambda$	$\cos \theta \sin \theta_1 \sin \theta_2 \cos \theta_2 \cos(\phi_1 + \phi_2)$
15	$\frac{3}{\sqrt{2}}Im(b_-a_-^* + a_+b_+^*)$	$P_b\alpha_\Lambda$	$\cos \theta \sin \theta_1 \sin \theta_2 \cos \theta_2 \sin(\phi_1 + \phi_2)$
16	$\frac{3}{\sqrt{2}}Re(a_-b_+^* - b_-a_+^*)$	$P_b$	$\sin \theta \sin \theta_2 \cos \theta_2 \cos \phi_2$
17	$-\frac{3}{\sqrt{2}}Im(a_-b_+^* - b_-a_+^*)$	$P_b$	$\sin \theta \sin \theta_2 \cos \theta_2 \sin \phi_2$
18	$\frac{3}{\sqrt{2}}Re(b_-a_-^* - a_+b_+^*)$	$\alpha_\Lambda$	$\sin \theta_1 \sin \theta_2 \cos \theta_2 \cos(\phi_1 + \phi_2)$
19	$-\frac{3}{\sqrt{2}}Im(b_-a_-^* - a_+b_+^*)$	$\alpha_\Lambda$	$\sin \theta_1 \sin \theta_2 \cos \theta_2 \sin(\phi_1 + \phi_2)$

Table A.1: Different terms describing angular distributions of  $\Lambda_B^0 \rightarrow J/\psi \Lambda$  decays by eq. A.10.

3066 **A.2  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  distribution**

3067 The angular distribution of the  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  decay is modelled using Ref. [114]. The  
3068 differential rate is written as

$$w(\Omega, \Omega_1, \Omega_2) = \frac{1}{(4\pi)} \sum_{i=0}^{3^{i=19}} f_{1i} f_{2i}(P_b, \alpha_\Lambda) F_i(\theta, \theta_1, \theta_2, \phi_1, \phi_2), \quad (\text{A.10})$$

3069 where  $f_{1i}$ ,  $f_{2i}$  and  $F_i$  are listed in Tab. A.1. The expression uses four observables  
3070 (angles) and depends on four complex amplitudes  $a_+$ ,  $a_-$ ,  $b_+$ ,  $b_-$  and two real valued  
3071 parameters for the production polarisation,  $P_b$ , and the  $\Lambda$  decay asymmetry,  $\alpha_\Lambda$ . The  
3072 angle  $\theta$  is the angle of the  $\Lambda$  momentum in  $\Lambda_b^0$  rest frame with respect to the vector  
3073  $\vec{n} = \frac{\vec{p}_{inc} \times \vec{p}_{\Lambda_b^0}}{|\vec{p}_{inc} \times \vec{p}_{\Lambda_b^0}|}$ , where  $\vec{p}_{inc}$  and  $\vec{p}_{\Lambda_b^0}$  are the momenta of incident proton and  $\Lambda_b^0$  in the  
3074 center of mass system. The angles  $\theta_1$  and  $\phi_1$  are polar and azimuthal angle of the  
3075 proton coming from the  $\Lambda$  decay in the  $\Lambda$  rest frame with axis defined as  $z_1 \uparrow\uparrow \vec{p}_\Lambda$ ,  
3076  $y_1 \uparrow\uparrow \vec{n} \times \vec{p}_\Lambda$ . Finally, the angles  $\theta_2$  and  $\phi_2$  are the angles of the momenta of the  
3077 muons in  $J/\psi$  rest frame with axes defined as  $z_2 \uparrow\uparrow \vec{p}_{J/\psi}$ ,  $y_2 \uparrow\uparrow \vec{n} \times \vec{p}_{J/\psi}$ .

3078 The distribution depends on the  $\Lambda$  decay asymmetry parameter,  $\alpha_\Lambda$ , the production  
3079 polarisation  $P_b$  and four complex amplitudes. The  $\alpha_\Lambda$  is measured to be  $0.642 \pm 0.013$   
3080 for  $\Lambda$ . The production polarisation  $P_b$  and magnitudes of  $a_+$ ,  $a_-$ ,  $b_+$  and  $b_-$  are  
3081 measured in Ref. [98]. Phases are not measured therefore, as default all phases are  
3082 set to zero and then they are randomly varied to calculate the systematic uncertainty.

3083

## APPENDIX B

3084

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### Data-simulation comparison

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This appendix reports a comparison between distributions in data and simulated  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  events. In the plots what is labeled as “Data” is real data in a 20 MeV interval around the  $\Lambda_b^0$  mass, where a sideband subtraction technique to remove background. “Side” is real data for masses above 6 GeV containing mostly combinatorial background. These can be compared to the previous sample to see which variables differ the most. “MC” corresponds to Pythia8  $\Lambda_b^0 \rightarrow J/\psi \Lambda$  simulated events. Finally, the label “MC fully W” refers to the same simulated sample but weighted for the  $\Lambda_b^0$  and  $\Lambda$  kinematics (Sec. 3.3.2) and the decay model (Sec. 3.3.1). Distributions are shown separately for long and downstream events.

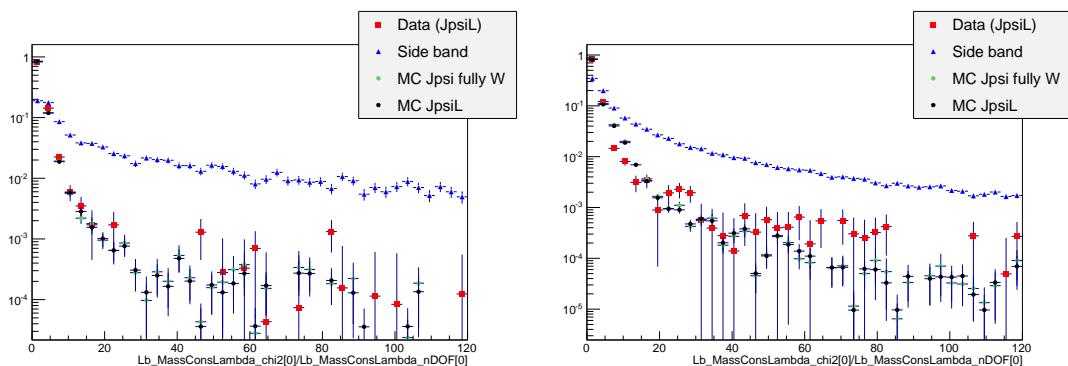


Figure B.1: Distributions of  $\chi^2/N_{\text{d.f.}}$  of the kinematic fit in data and simulation for LL (left) and DD (right) events.

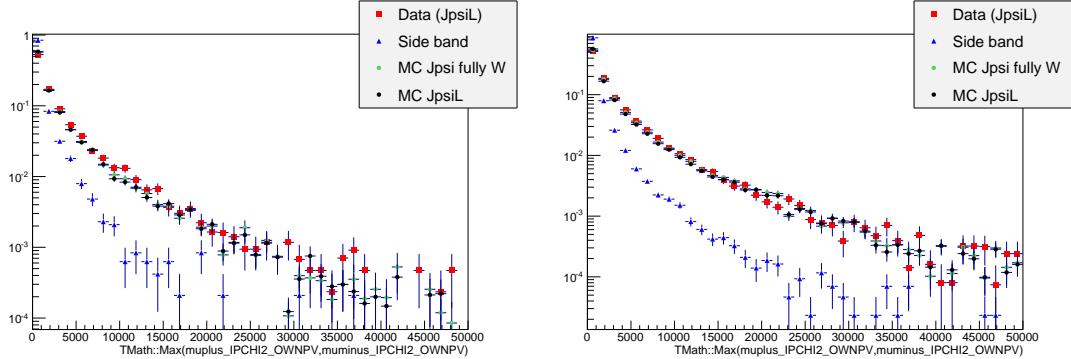


Figure B.2: Distributions of maximum muon  $IP\chi^2$  variable in data and simulation for LL (left) and DD (right) events.

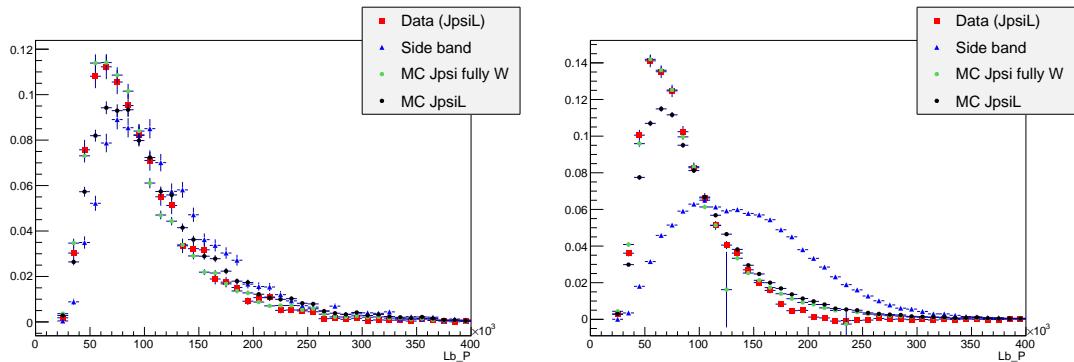


Figure B.3: Distributions of  $\Lambda_b^0$  momentum variable in data and simulation for LL (left) and DD (right) events.

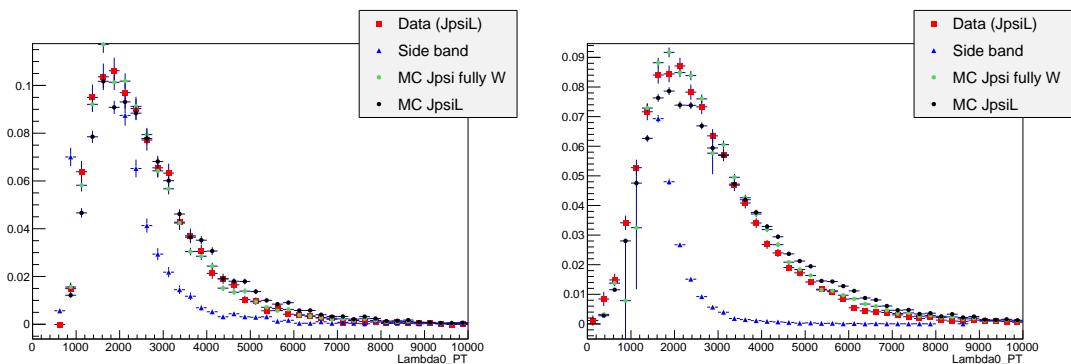


Figure B.4: Distributions of  $\Lambda$  transverse momentum variable in MC, data signal and data background for LL (left) and DD (right) events.

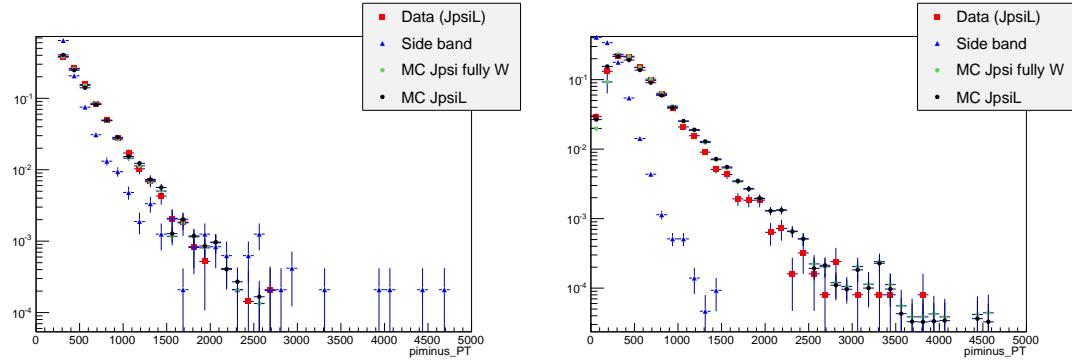


Figure B.5: Distributions of pion transverse momentum variable in data and simulation for LL (left) and DD (right) events.

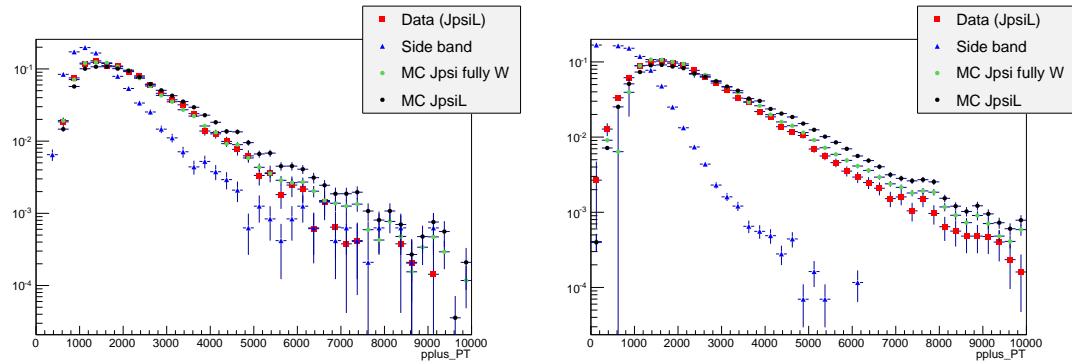


Figure B.6: Distributions of proton transverse momentum variable in data and simulation for LL (left) and DD (right) events.

## APPENDIX C

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**3098 Systematic uncertainties on the efficiency calculation for the  
3099  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  branching fraction analysis.**

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**3101** This appendix reports systematic uncertainties on absolute and relative efficiencies  
**3102** for the  $\Lambda_b^0 \rightarrow \Lambda \mu^+ \mu^-$  branching fraction analysis.

$q^2$ [ GeV $^2/c^4$ ]	Lifetime	Decay Model	Polarisation
0.1-2.0	0.003%	0.059%	0.145%
2.0-4.0	0.007%	0.156%	0.145%
4.0-6.0	0.002%	0.156%	0.144%
6.0-8.0	0.003%	0.080%	0.144%
11.0-12.5	0.012%	0.101%	0.144%
15.0-16.0	0.007%	0.050%	0.144%
16.0-18.0	0.002%	0.059%	0.145%
18.0-20.0	0.009%	0.016%	0.145%
1.1-6.0	0.005%	0.651%	0.144%
15.0-20.0	0.007%	0.088%	0.144%

Table C.1: Absolute values of systematic uncertainties on relative geometric efficiency.

$q^2$ [ GeV $^2/c^4$ ]	Lifetime	Decay Model	Polarisation
0.1-2.0	0.007%	0.004%	0.008%
2.0-4.0	0.006%	0.001%	0.009%
4.0-6.0	0.009%	0.003%	0.008%
6.0-8.0	0.008%	0.005%	0.008%
11.0-12.5	0.010%	0.005%	0.009%
15.0-16.0	0.004%	0.006%	0.008%
16.0-18.0	0.003%	0.010%	0.010%
18.0-20.0	0.004%	0.011%	0.008%
1.1-6.0	0.009%	0.043%	0.010%
15.0-20.0	0.005%	0.072%	0.009%

Table C.2: Absolute values of systematic uncertainties on relative detection efficiency.

$q^2$ [ GeV $^2/c^4$ ]	Downstream			Long		
	Lifetime	Model	Polarisation	Lifetime	Model	Polarisation
0.1-2.0	0.350%	0.234%	0.463%	0.066%	0.264%	1.081%
2.0-4.0	0.170%	0.640%	0.488%	0.005%	0.953%	1.088%
4.0-6.0	0.073%	0.514%	0.465%	0.052%	1.607%	1.087%
6.0-8.0	0.054%	0.298%	0.458%	0.011%	1.517%	1.075%
11.0-12.5	0.043%	0.030%	0.469%	0.025%	0.187%	1.080%
15.0-16.0	0.078%	0.499%	0.462%	0.030%	0.110%	1.082%
16.0-18.0	0.100%	0.215%	0.477%	0.021%	0.412%	1.078%
18.0-20.0	0.130%	0.044%	0.471%	0.034%	0.216%	1.079%
1.1-6.0	0.137%	0.279%	0.460%	0.025%	0.656%	1.078%
15.0-20.0	0.107%	0.511%	0.460%	0.016%	0.742%	1.077%

Table C.3: Absolute values of systematic uncertainties on relative reconstruction efficiency for long and downstream candidates.

$q^2$ [ GeV $^2/c^4$ ]	Downstream			Long		
	Lifetime	Model	Polarisation	Lifetime	Model	Polarisation
0.1-2.0	0.038%	0.226%	0.070%	0.003%	0.061%	0.117%
2.0-4.0	0.009%	0.091%	0.034%	0.020%	0.072%	0.076%
4.0-6.0	0.028%	0.162%	0.058%	0.018%	0.165%	0.040%
6.0-8.0	0.005%	0.080%	0.075%	0.041%	0.035%	0.053%
11.0-12.5	0.002%	0.207%	0.079%	0.002%	0.148%	0.076%
15.0-16.0	0.036%	0.094%	0.035%	0.022%	0.021%	0.089%
16.0-18.0	0.023%	0.027%	0.029%	0.023%	0.003%	0.031%
18.0-20.0	0.017%	0.145%	0.034%	0.008%	0.199%	0.063%
1.1-6.0	0.024%	0.215%	0.029%	0.012%	0.733%	0.051%
15.0-20.0	0.025%	0.220%	0.031%	0.004%	0.108%	0.029%

Table C.4: Absolute values of systematic uncertainties on relative trigger efficiency for long and downstream candidates.

$q^2$ [GeV $^2/c^4$ ]	Downstream			Long		
	Lifetime	Model	Polarisation	Lifetime	Model	Polarisation
0.1-2.0	0.022%	0.019%	0.025%	0.060%	0.106%	0.072%
2.0-4.0	0.127%	0.267%	0.017%	0.095%	0.002%	0.031%
4.0-6.0	0.116%	0.106%	0.045%	0.081%	0.139%	0.119%
6.0-8.0	0.111%	0.186%	0.020%	0.085%	0.387%	0.047%
11.0-12.5	0.008%	0.056%	0.017%	0.057%	0.030%	0.027%
15.0-16.0	0.002%	0.004%	0.066%	0.070%	0.124%	0.023%
16.0-18.0	0.024%	0.088%	0.027%	0.068%	0.105%	0.023%
18.0-20.0	0.031%	0.050%	0.027%	0.180%	0.506%	0.077%
1.1-6.0	0.118%	0.164%	0.037%	0.080%	0.183%	0.058%
15.0-20.0	0.001%	0.125%	0.037%	0.102%	0.541%	0.034%

Table C.5: Absolute values of systematic uncertainties on relative MVA efficiency for long and downstream candidates.

$q^2$ [GeV $^2/c^4$ ]	Reconstruction	Trigger	MVA
0.1-2.0	0.612%	0.250%	0.173%
2.0-4.0	0.515%	0.246%	0.223%
4.0-6.0	0.408%	0.180%	0.272%
6.0-8.0	0.412%	0.090%	0.218%
11.0-12.5	0.175%	0.047%	0.103%
15.0-16.0	0.962%	0.010%	0.141%
16.0-18.0	1.173%	0.037%	0.103%
18.0-20.0	1.557%	0.050%	0.122%
1.1-6.0	0.475%	0.220%	0.246%
15.0-20.0	1.254%	0.040%	0.083%

Table C.6: Values of DD vertexing systematic uncertainties on relative reconstruction, trigger and MVA efficiencies for downstream candidates.

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## APPENDIX D

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### 3105 Invariant mass fits to $B^0 \rightarrow K^{*0} \ell^+ \ell^-$ simulated candidates

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3107 This appendix contains fits to the  $m(K\pi\mu\mu)$  and  $m(K\pi ee)$  invariant mass of  $B^0 \rightarrow$   
3108  $K^{*0} \ell^+ \ell^-$  simulated candidates used to constrain parameters in the fit to data.

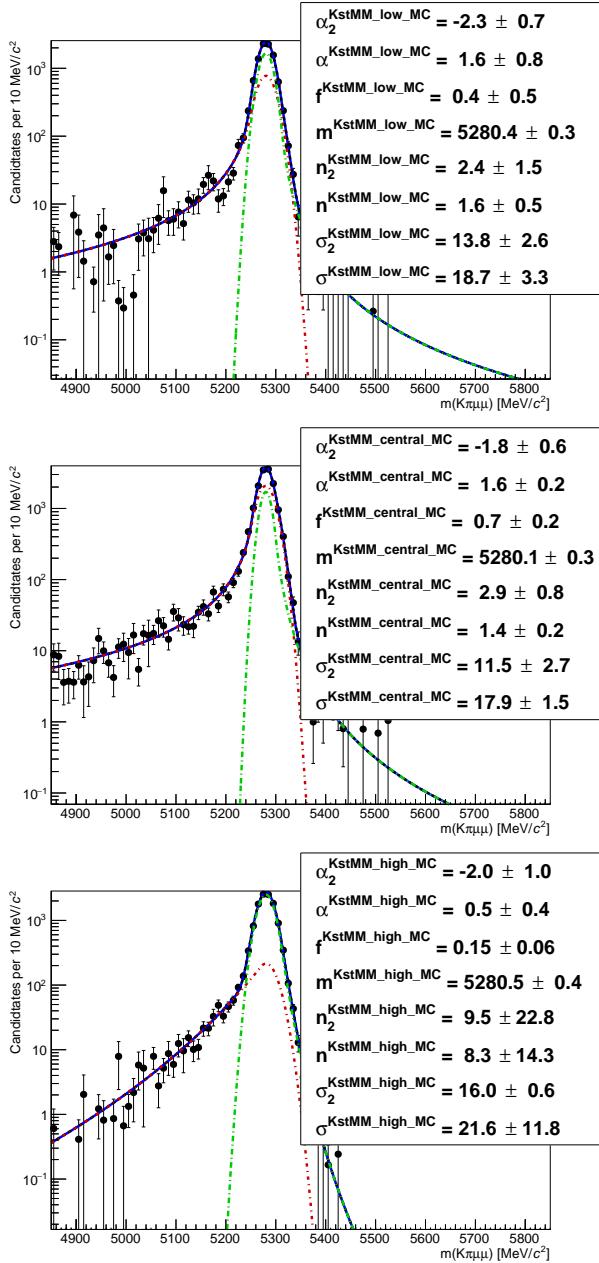


Figure D.1: Fitted  $m(K\pi\mu\mu)$  mass spectrum for simulated events in the low (top), central (medium) and high (bottom)  $q^2$  intervals.

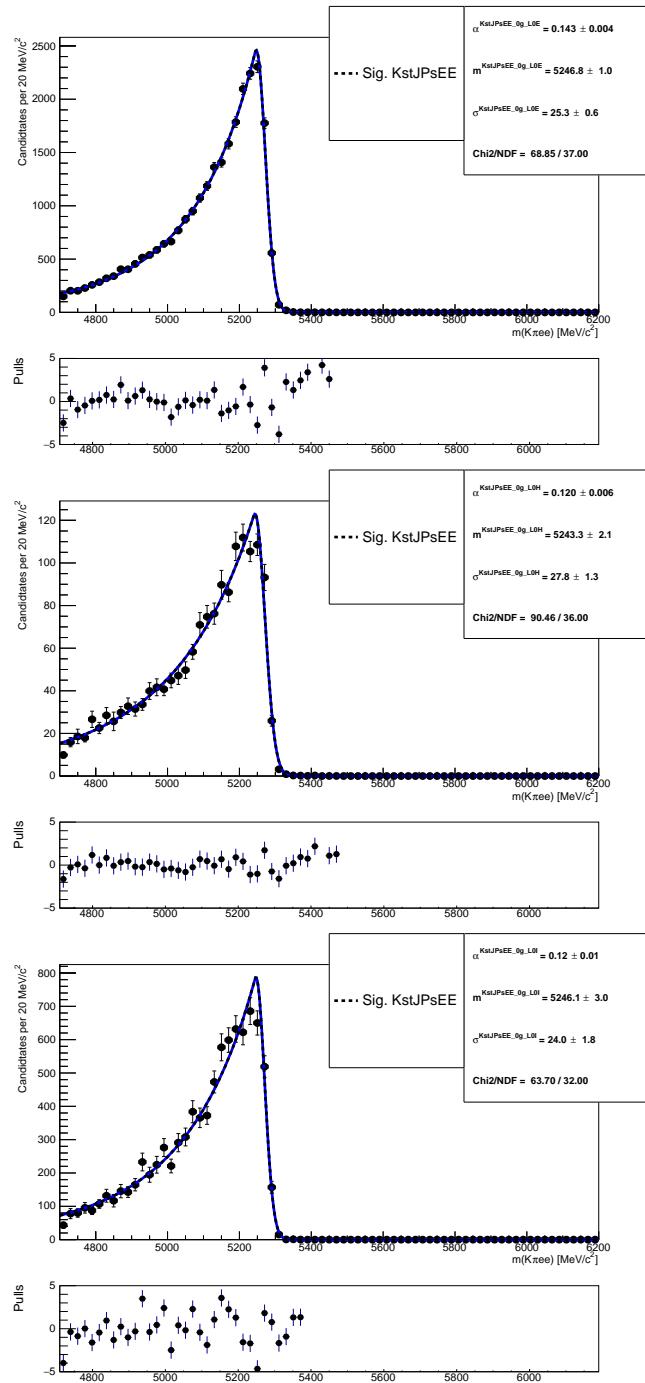


Figure D.2: Fitted  $m(K\pi ee)$  mass spectrum of  $B^0 \rightarrow K^{*0} J/\psi (J/\psi \rightarrow ee)$  simulated events in the three trigger categories and no photon emitted.

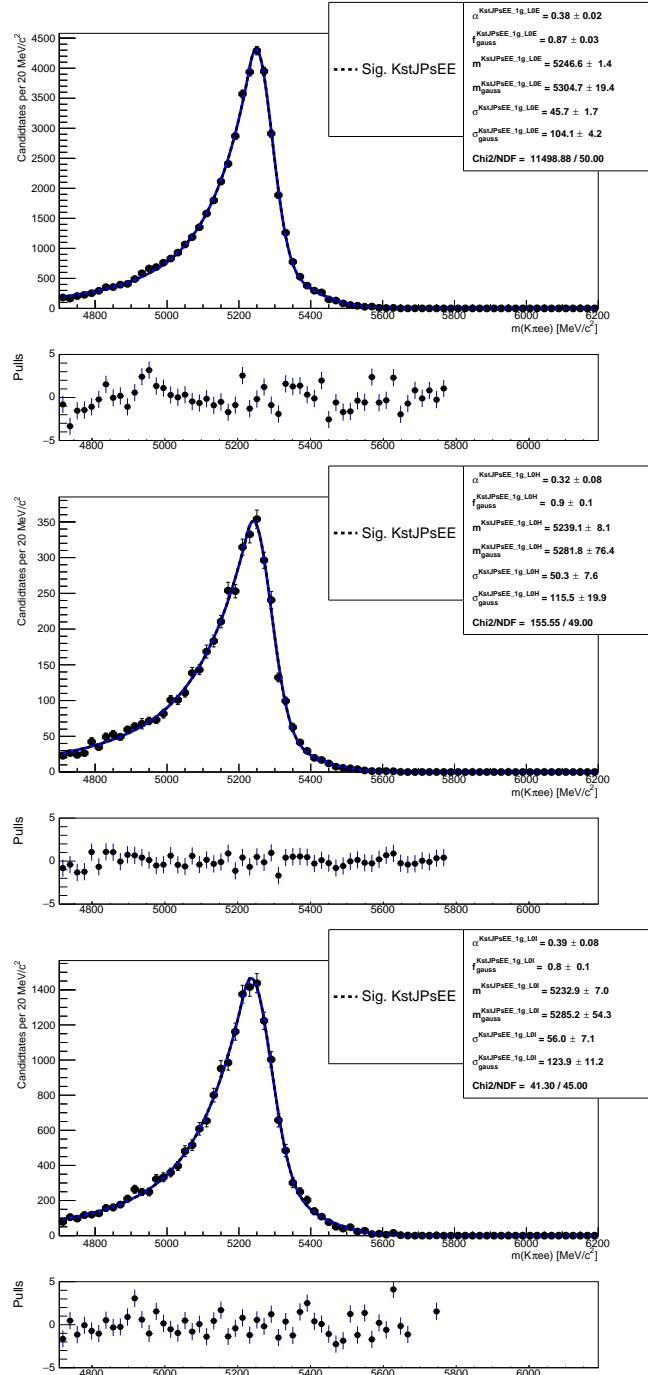


Figure D.3: Fitted  $m(K\pi ee)$  mass spectrum of  $B^0 \rightarrow K^{*0} J/\psi (J/\psi \rightarrow ee)$  simulated events in the three trigger categories and one photon emitted.

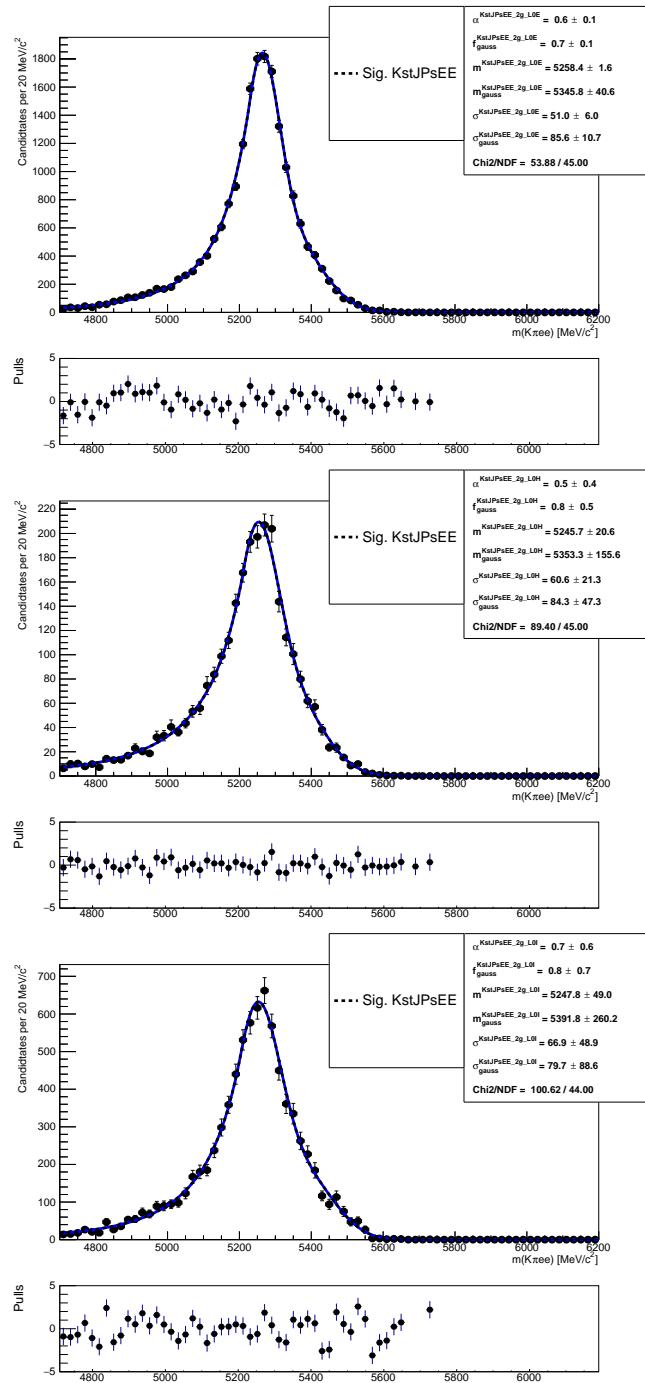


Figure D.4: Fitted  $m(K\pi ee)$  mass spectrum of  $B^0 \rightarrow K^{*0} J/\psi (J/\psi \rightarrow ee)$  simulated events in the three trigger categories and two photons emitted.

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## APPENDIX E

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### 3111 Invariant mass fits to $B^0 \rightarrow K^{*0}e^+e^-$ candidates divided in 3112 trigger categories

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3114 This appendix contains fits to the  $m(K\pi ee)$  invariant mass of rare and control  
3115 channel candidates separately in the tree trigger categories. Each trigger category  
3116 is always fit with its own PDF but in the main text only their sum is shown for  
3117 simplicity.

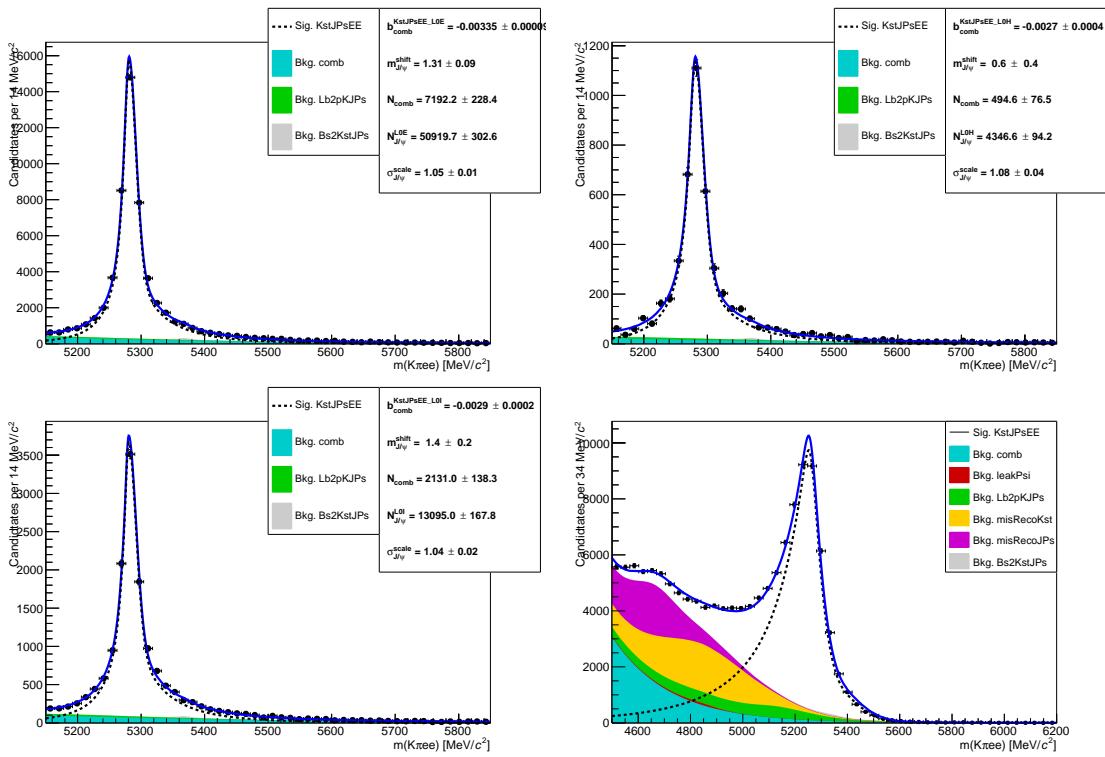


Figure E.1: Fit to the  $m(K\pi ee)$  invariant mass of  $B^0 \rightarrow K^{*0}(J/\psi \rightarrow e^+e^-)$  candidates in the three trigger categories (L0E, L0H and L0I) separately, and (bottom right) combined. The dashed black line (shaded shapes) represents the signal (background) PDF.

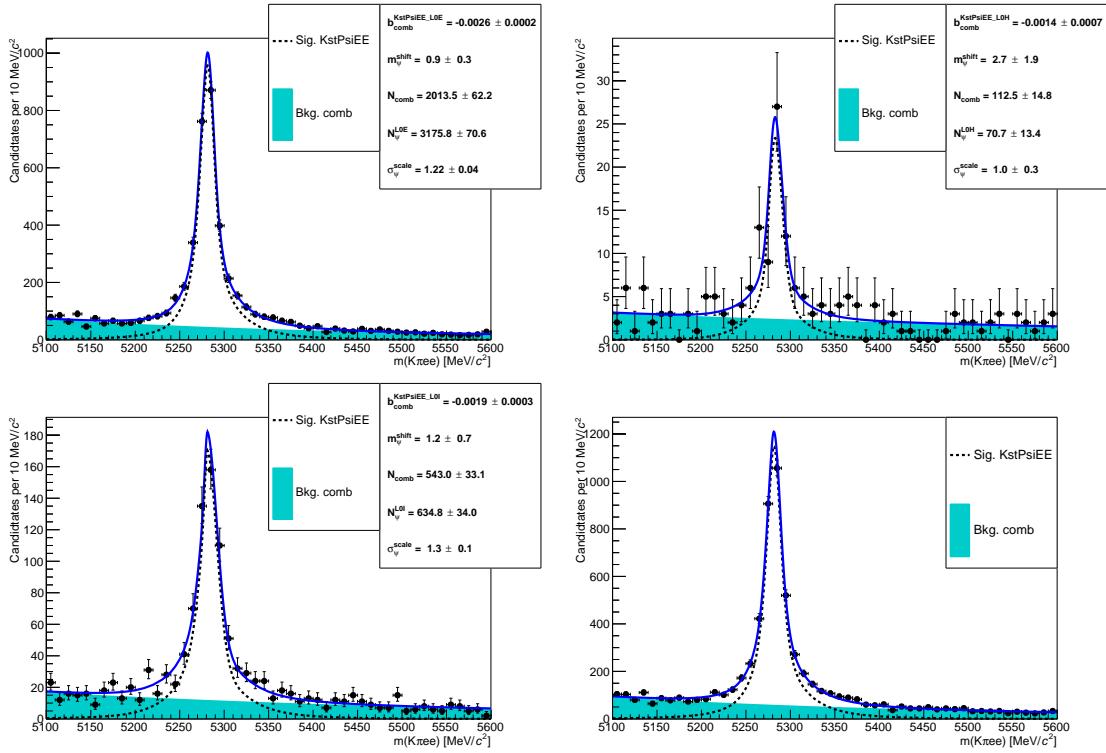


Figure E.2: Fit to the  $m(K\pi ee)$  invariant mass of  $B^0 \rightarrow K^{*0}(\psi(2S) \rightarrow e^+e^-)$  candidates in the three trigger categories (L0E, L0H and L0I) separately, and (bottom right) combined. The dashed black line (shaded shapes) represents the signal (background) PDF.

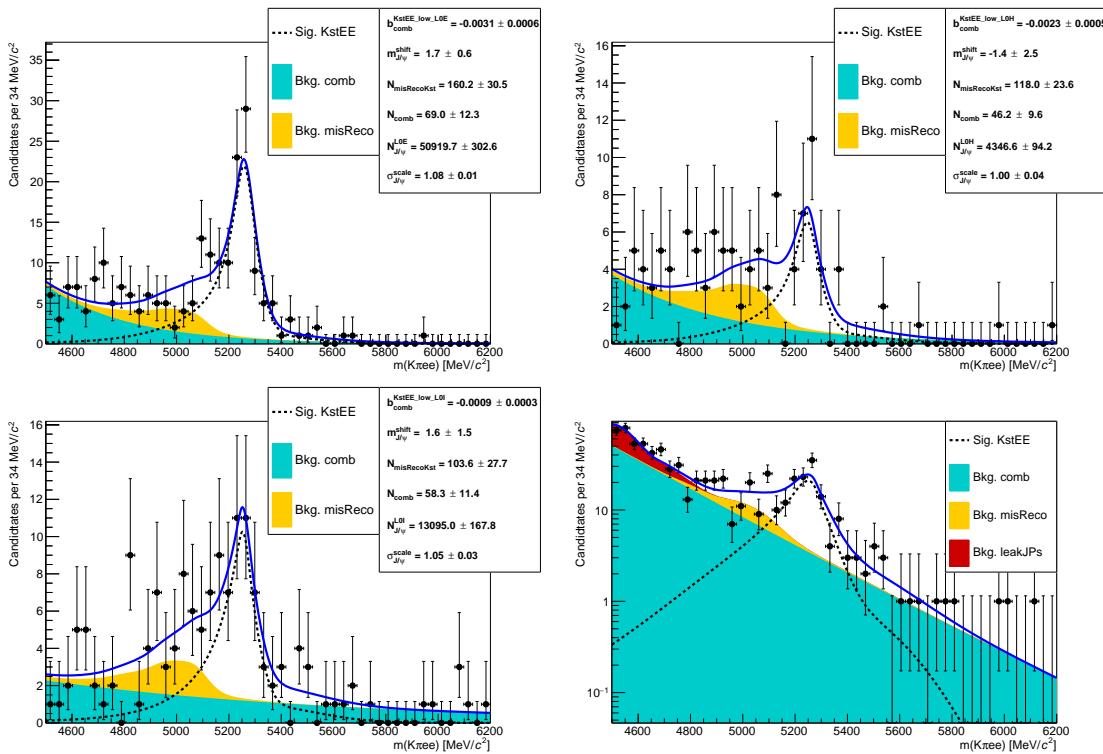


Figure E.3: Fit to the  $m(K\pi ee)$  invariant mass of  $B^0 \rightarrow K^{*0}e^+e^-$  candidates at low- $q^2$  in the three trigger categories (L0E, L0H and L0I) separately, and (bottom right) combined. The dashed black line (shaded shapes) represents the signal (background) PDF.

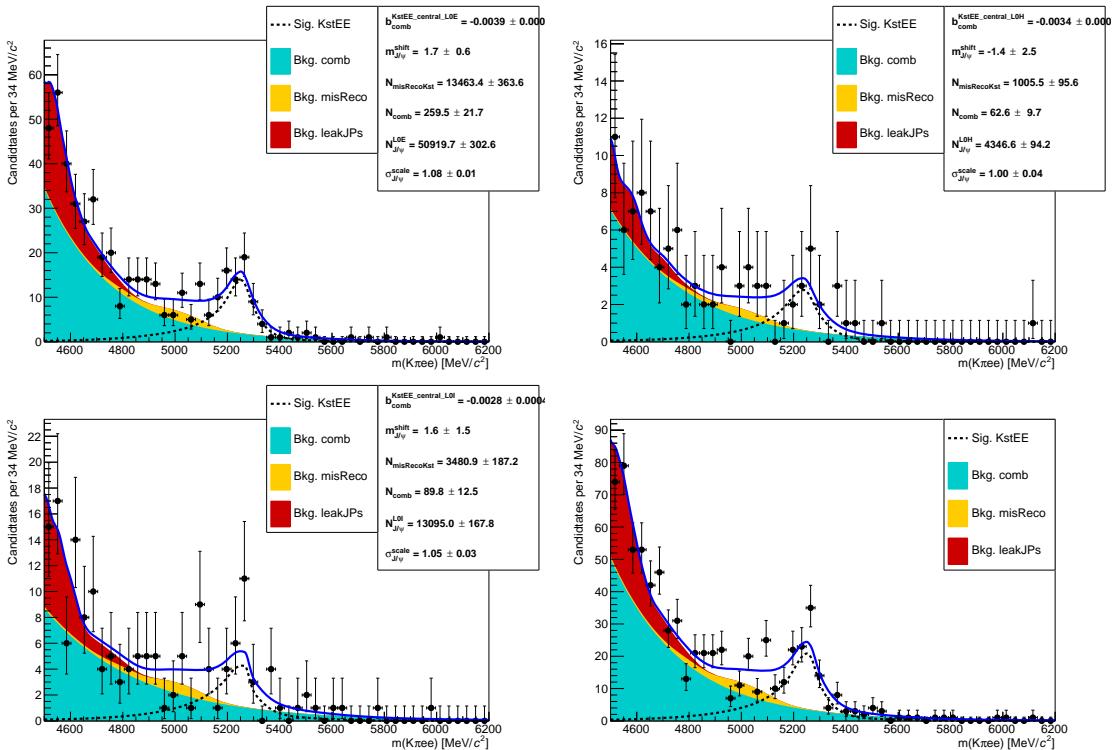


Figure E.4: Fit to the  $m(K\pi ee)$  invariant mass of  $B^0 \rightarrow K^{*0}e^+e^-$  candidates at central- $q^2$  in the three trigger categories (L0E, L0H and L0I) separately, and (bottom right) combined. The dashed black line (shaded shapes) represents the signal (background) PDF.

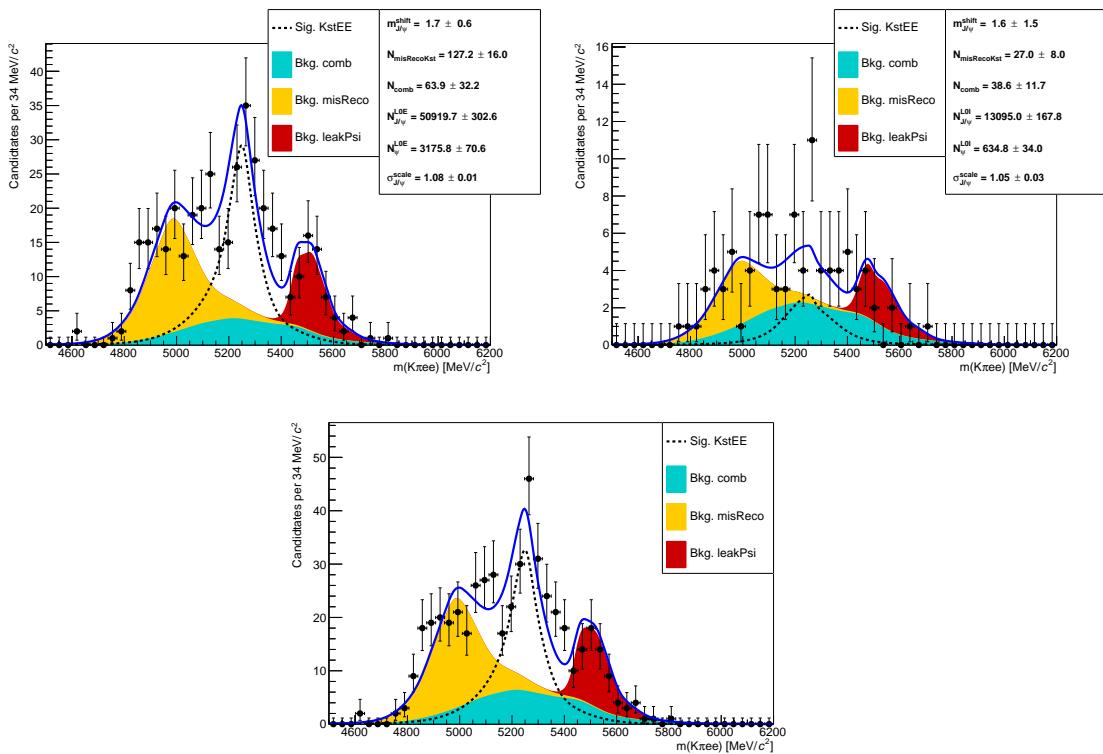


Figure E.5: Fit to the  $m(K\pi ee)$  invariant mass of  $B^0 \rightarrow K^{*0} e^+ e^-$  candidates at high- $q^2$  in the L0E and L0I trigger categories (top) separately, and (bottom) combined. The dashed black line (shaded shapes) represents the signal (background) PDF.

3118 **APPENDIX F**

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3119 **Extra**

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3121 **F.1 Anomalies**

3122 *Possible addition around Sec. 1.6.*

3123 Various anomalies were observed in the past years with respect to SM predictions.  
3124 This section reports a brief review of these anomalies, limiting to  $B$  physics.

3125 The measurement of the CKM matrix elements  $V_{ub}$  and  $V_{cb}$  is vital for analysis in the  
3126 flavour sector. Both these quantities can be measured using tree level transitions,  
3127 which are assumed to be free from NP. Decays such as  $B \rightarrow D^* \ell \nu$  are used to  
3128 measure  $V_{cb}$  and  $B \rightarrow \pi \ell \nu$  for  $V_{ub}$  as well as inclusive decays. Several measurements,  
3129 mainly from BaBar and LHCb [115, ?], observe a discrepancy at  $2\sigma$  level between  
3130 the values found using the exclusive and inclusive approaches. This has recently  
3131 increased to  $3\sigma$  level due to improvements in form factor calculations [116]. NP can  
3132 modify the values of the CKM matrix elements as described in Ref. [].

3133 Secondly a series of anomalies was found in recent LHCb measurements of semilep-  
3134 tonic  $B$  decays. The branching ratios of the  $B \rightarrow K \mu^+ \mu^-$ ,  $B \rightarrow K^{*0} \mu^+ \mu^-$  and  
3135  $B_s^0 \rightarrow \phi \mu^+ \mu^-$  [37, 38, 39] are all found to be slightly below the predicted values. Al-  
3136 though taken by itself each measurement does not present relevant discrepancies,  
3137 the systematic deviation seems to indicate a more general picture. Angular analy-  
3138 sis were also performed for these decays and, while most observables are found to  
3139 agree with SM predictions, the measurement of the  $P'_5$  observable in  $B \rightarrow K^{*0} \mu^+ \mu^-$   
3140 resulted in a local  $3.7\sigma$  deviation with respect to predictions []. At the same time

<sup>3142</sup> the measurement of the  $R_K$  ratio, between the branching fractions of the  $B^0 \rightarrow K^{*0}$   
<sup>3143</sup>  $\mu^+ \mu^-$  and  $B^0 \rightarrow K^{*0} e^+ e^-$  decays, showed a  $2.6\sigma$  deviation from unity, indicating  
<sup>3144</sup> the possibility of a violation of lepton flavour universality. Authors of Ref. [117]  
<sup>3145</sup> performed a global fit taking into account of several measurements and found that  
<sup>3146</sup> a model with a NP component in  $C_9$  is preferred with respect to the SM at  $4.3\sigma$   
<sup>3147</sup> level. Finally, one more discrepancy linked to this picture is the branching fraction  
<sup>3148</sup> of the  $h \rightarrow \mu\tau$  decay, which is found to be different from zero at  $2.4\sigma$  level.