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Abstract

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Chapter 1

Introduction

One of the most well known predictions of the Theory of General Relativity (GR) is the existence of spacetime oscillations that propagate throughout the universe, the so called, gravitational waves. The first (indirect) evidence of the existence of such waves occurred when Hulse and Taylor observed, in 1975, the binary system PSR B1913+16 [1]. Observational data proved to be compatible with theoretical analysis for neutron star binaries that emit gravitational waves. On the other hand, direct observations, despite being attempted since the 1960's, only became a reality recently in the year 2015, with measurements from the Advanced Laser Interferometer Gravitational-wave Observatory (Advanced LIGO) [2,3] giving birth to a new era in astronomy and cosmology. These two observations have a common factor: they involve *binary systems*, that is, two astronomical objects that are close enough for their mutual gravitational attraction to cause them to orbit around a common center of mass as they get closer and closer until a catastrophic collision event occurs, releasing huge amounts of energy and angular momentum in the form of gravitational radiation.

So far, no analytic description of a binary system in GR is known. This is due to the extreme complexity of Einstein's equations (a system of 10 coupled non-linear partial differential equations) whose exact solution is known only for very specific systems with a high degree of symmetry. Even if such an exact solution were to be found, it would likely be too large, complicated and impractical to use. Given that in a collision event the nonlinear character of the

equations becomes important the problem must be treated numerically, with the techniques of the field of Numerical Relativity (NR).

The main goal of our work is to investigate how classical and semi-classical effects in GR that are well known to spacetimes containing a single astrophysical object (a star or a black hole), namely the *quasinormal ringdown*, the *Penrose process* and *Hawking radiation* extend to binary systems. To that end, we will work on two fronts: The first is a *semi-analytic* approach in which we will study exact (and analytic) solutions of Einstein's equations that approximate binary black hole systems in static equilibrium. Such solutions allow us to employ numerical and semi-analytic techniques that are well known to our research group. The second is a *numeric* approach in which we (with the help of international collaborators) will use numeric approximations of binary systems that are no longer in static equilibrium for our investigations.

In astrophysical contexts any excess of electric charge in a black hole tends to be quickly neutralized [4]. For this reason, along with the existence and uniqueness theorems [5, 6], the most accepted description for an astrophysical black hole is given by the Kerr metric. Despite this fact, Einstein's equations when coupled to Maxwell's equations (a system known as the Einstein-Maxwell equations) admits solutions that represent black holes that are charged electrically and/or magnetically. The non-null electric charge allows for the existence of exact many-body solutions to the Einstein-Maxwell system. On the semi-analytic front we will make use of such charged spacetime that was obtained independently by S. D. Majumdar [7] and A. Papapetrou [8], also known as the Majumdar-Papapetrou (MP) solution. This solution represents a binary system composed of two extremally charged Reissner-Nördstrom black holes [9]. Despite containing two charged static black holes, the MP solution can be considered a good approximation for a frontal collision of two non-charged black holes if their approximation velocities are much smaller than the speed of light [10].

It's natural to ask if the MP solution can be generalized to represent systems of multiple charged Kerr-Newman black holes, which would add another degree of "realism" to the analytic treatment. It turns out that such generalization exists and were discovered by W. Israel, G. A. Wilson [11]

and A. Perjés [12] and became known as the Israel-Wilson-Perjés (IWP) class. Unfortunately, these solutions cannot represent black holes – they instead must always be naked Kerr-Newman singularities. In order to remain more astrophysically relevant, we will employ another class of solutions that is able to describe static Kerr binaries (and not only naked singularities) that was found very recently by Cabrera-Munguia, Manko and Ruiz (CMMR) [13, 14, 15]. In this solution, the Kerr binaries are kept static thanks to a massless “strut” that is represented by a conical singularity that keeps the black holes from colliding. Despite the “nonphysical” strut, such solution was used to compute the shadow of a binary black hole system and showed a good agreement with the shadow computed using a fully numerical binary system, as was shown by Cunha *et. al.* in [16]. The same group showed in [17] that the massless strut does not influence the motion of photons composing the shadow.

Chapter 2

Energy Extraction From Black Hole Binaries

2.1 Chapter Introduction

In this chapter, we will explore energy extraction from black hole binaries via the Penrose mechanism (also known as the Penrose Process, which we shall abbreviate respectively as PM and PP) in black hole binaries.

The first incarnation of the PM arose as a consequence of the Kerr metric. The Kerr metric is the best known mathematical description of rotating black holes given by the theory of General Relativity [18, 19, 20, 21]. Unlike static black holes, a Kerr black hole is characterized by the existence of a very peculiar region around its event horizon, known as the *ergosphere* or *ergoregion*. Particles that reach the ergosphere can still avoid the event horizon and, hence, are not doomed to end at the spacetime singularity. Nevertheless, any observer lying inside the ergosphere is unavoidably dragged along by the rotational motion of the black hole.

Particles inside the ergosphere may have negative energies (according to a static observer at infinity). Relying on this property, Penrose and Floyd devised a mechanism that allows one to extract energy from a rotating black hole [22]. The idea consists in sending a particle from infinity towards the black hole and assumes that, once inside the ergosphere, it decays into two other particles. If

one of the fragments is counter-rotating with the black hole and has negative energy (which implies that the split happens inside the ergosphere), it will be captured by the black hole, meaning that the other fragment will escape to infinity. Due to the conservation of the four-momentum, the escaping fragment will have more energy and more angular momentum than the incident particle. Rotational energy and angular momentum are, thus, effectively extracted from the black hole.

Our main motivating factor for this investigation was that despite being a well-known process, the PP had not been studied in the context of black hole binaries. We have also found that many recent research endeavors attempt to establish a relation of the PP with observable astrophysical phenomena. The collisional version of the process, for instance, considers multiple particles that collide and scatter in the ergoregion, allowing arbitrarily high center-of-mass energies. This process can potentially act as a mechanism to eliminate dark matter particles near a supermassive black hole [23]. The magnetic Penrose process [24, 25], on the other hand, considers charged particles and black holes surrounded by magnetic fields (originated, for instance, by plasma accretion disks around the black hole). The electromagnetic interaction allows for highly efficient energy extraction schemes, such as the one introduced in Ref. [26] to model the emission of ultra-high energy cosmic rays from supermassive black holes. Furthermore, recent numerical simulations of plasma and jets around Kerr black holes indicate the important role that negative energy particles and the Penrose process play on the total energy flux coming from the black hole's jets [27].

A few comments on the models chosen for representing the binary systems are in order. Firstly, the nomenclature that we use to refer to a BBH is as follows:

Definition 2.1.1 (Static/Dynamic BBH model). *A **static** BBH model represents two black holes that **do not** fall towards each other or move in any other way, thus remaining within a fixed location as time passes. This is in contrast to a **dynamic** BBH model, in which the constituent BHs either collide or move.*

Definition 2.1.2 (Exact/Approximate BBH model). *An **exact** BBH model is one that is an exact vacuum solution of Einstein's field equations. An **approximate** BBH*

model is one that is not an exact vacuum solution of said equations, and the deviation from vacuum is not considered to be an exotic type of matter but a measure of its “non-exactness”.

Definition 2.1.3 (Analytic/Numeric BBH model). *An **analytic** BBH model is one whose entire spacetime metric is analytically known at all points and times. In contrast, a **numeric** BBH model is obtained only at a certain coordinate time hypersurface (typically $t = 0$) by solving the ADM constraint equations for a vacuum configuration numerically. Note that even though such numerical solutions contain errors, and thus do not strictly solve the vacuum field equations (giving rise to constraint violations), we do not consider these to be approximate, since it’s possible (at least in theory but not in practice due to physical limitation of machines and computational resources) to obtain these solutions with arbitrarily small constraint violations given that they are convergent.*

Secondly, any study that aims to model astrophysical binary systems must acknowledge the fact that there is no known exact and analytical solution of Einstein’s equations describing such a system. Even if exact numerical or approximate analytical solutions are employed, the resulting spacetime metrics are non-stationary and thus limiting the applicability of the standard concept of an ergosphere. Recognizing these difficulties, we have utilized BBH models that are static, exact and analytic.

Our first task was to investigate the possibility of energy extraction from the Majumdar-Papapetrou (MP) metric [7, 8], which is an exact solution of Einstein’s equations that describes a static binary of extremally charged black holes. Despite its mathematical simplicity, the MP solution has recently been used as a surrogate model for black hole binaries in order to understand how single black hole phenomena transpose to a binary system. For instance, Ref. [28] has employed the MP metric to understand the connection between quasinormal modes and light rings in the context of black hole binaries. Refs. [29, 30], on the other hand, have computed the shadows cast by an MP binary to better understand chaotic scattering in a binary black hole system. The resulting shadow shares many similarities and qualitative features with the shadows computed in Ref. [31] using a numerically simulated binary

black hole background. Ref. [10] has also applied the MP metric to analyze particle scattering around a black hole binary and asserted its effectiveness in approximating a head on collision in the limit of large separations and small approach speeds. We followed an analog approach in order to gain physical intuition and qualitative insights about energy extraction from black hole binaries by the Penrose mechanism. In particular, we extended the concept of a particle dependent *generalized ergosphere* [32], which enables the extraction of electromagnetic energy from Reissner-Nördstrom (RN) black holes (as shown in Sec. ??), to the MP solution and study how the energy extraction efficiency is affected by the presence of a companion black hole.

Taking into account the fact that, in astrophysical contexts, any excess of electric charge in a black hole tends to be quickly neutralized [4], we also considered rotating systems in our work. More specifically, in order to illustrate how the main results for the MP spacetime can be extrapolated to a binary system composed of Kerr black holes, we employ a static exact and analytic solution of Einstein’s field equations, discovered independently by Cabrera-Munguia, Manko and Ruiz (hereby referred to as the CMMR metric) [33, 34, 35]. The CMMR metric describes two generic Kerr black holes that do not coalesce thanks to the presence of a “strut” that holds them apart at a fixed distance. In particular, we sketched the ergosphere of the CMMR spacetime for a selected set of parameters and gave an example of a Penrose process around a binary of rotating black holes.

The combined results presented in Sections 2.3 and 2.4 have been compiled in a paper and were published Ref. [36]. As an extension to this work, we have begun the development of a framework that should allow one to observe the PP for an arbitrary spacetime and shall present these results in Sec. 2.5

2.2 A brief review of the Penrose process in the Kerr spacetime

In this section, we shall briefly review energy extraction of rotating and charged black holes via the Penrose Process to familiarize the reader with the underlying

physical concepts, methods and techniques involved in the mechanism. This is important since these tools will be necessary later on while we present novel results. Our review will follow closely Ref. [37]. We start by reminding that the Kerr metric, in Boyer-Lindquist coordinates (t, r, θ, ϕ) is given by

$$ds^2 = -\left(1 - \frac{2Mr}{\rho^2}\right)dt^2 - \frac{2Mar \sin^2 \theta}{\rho^2} (dt d\phi + d\phi dt) + \frac{\rho^2}{\Delta} dr^2 + \rho^2 d\theta^2 + \frac{\sin^2 \theta}{\rho^2} [(r^2 + a^2)^2 - a^2 \Delta \sin^2 \theta] d\phi^2, \quad (2.1)$$

where

$$\Delta(r) = r^2 - 2Mr + a^2 \quad (2.2)$$

and

$$\rho^2(r, \theta) = r^2 + a^2 \cos^2 \theta. \quad (2.3)$$

The constants M , J and $a = J/M$ represent, respectively the black hole's mass, angular momentum and spin parameter. The metric possesses two event horizons, located at

$$r_{H\pm} = M \pm \sqrt{M^2 - a^2} \quad (2.4)$$

and since its components are independent of both the coordinate time t and the axial angular variable ϕ , there are global Killing vector fields $K = \partial_t$ and $R = \partial_\phi$ that generate these symmetries. Since the metric is stationary, the region where the time-like global Killing vector field changes its sign and thus static observers become prohibited does not coincide with the event horizons. In fact, one can easily see that

$$K^\mu K_\mu = -\frac{1}{\rho^2} (\Delta - a^2 \sin^2 \theta) = -\frac{a^2 + r(r - 2M) - a^2 \sin^2 \theta}{(r^2 + a^2 \cos^2 \theta)^2}. \quad (2.5)$$

and thus $K^\mu K_\mu = 0$ implies that the killing horizons are located at

$$r_{K\pm} = M \pm \sqrt{M^2 - a^2 \cos^2 \theta}. \quad (2.6)$$

which means that r_{K+} is outside r_{H+} , coinciding with it only at the poles ($\theta = 0$ or $\theta = \pi$). Notice also that using r_{H+} in Eq. (2.5) yields $\Delta = 0$ and thus

$$K^\mu K_\mu = \frac{a^2}{\rho^2} \sin^2 \theta \geq 0. \quad (2.7)$$

The region that lies in-between r_{K+} and r_{H+} is called the *ergosphere* or *ergoregion*. The fact that this region is outside the event horizons and that $K^\mu K_\mu > 0$ in it is paramount to the Penrose mechanism, as we shall see further on. A schematic representation of important structures in the Kerr spacetime can be found in Fig. 2.1, where the ergosphere is shaded in gray.

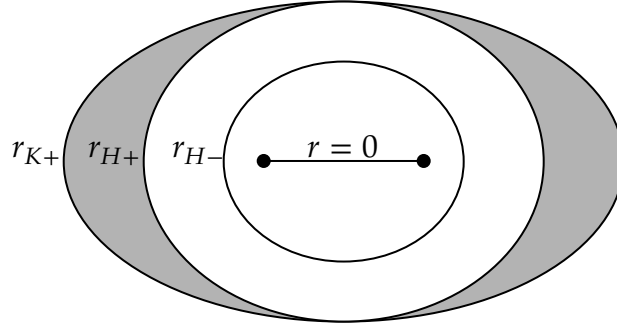


Figure 2.1: Schematic representation of important boundaries and regions in a Kerr black hole. The gray region represents the BH's ergosphere. The black hole's rotational axis goes across the figure, from bottom to top.

Let us now consider a particle of 4-momentum p^μ moving along a time-like geodesic in the Kerr spacetime parametrized by its proper time τ . The energy of the particle along its trajectory, as measured by a static observer infinitely far away from the black hole, is given by

$$E = -K_\mu p^\mu. \quad (2.8)$$

Outside the ergosphere, K^μ is time-like and $K_\mu p^\mu / < 0$. Since we would like the energy to be positive infinitely far away from the BH, we must introduce a leading minus sign in Eq. (2.8). On the other hand, inside the ergosphere K^μ is space-like and $K_\mu p^\mu / > 0$ which implies that in this region $E < 0$. It is important to remark that, despite the energy being negative relatively to a static observer

at infinity, it still remains positive according to a local observer. Furthermore, it can be shown that these negative energy orbits must be confined within the ergosphere and must always cross the outer horizon [38, 39], so there is no risk of such negative energy particles “leaking out” to infinity.

Let us now imagine that a particle labeled as (0) traveling in the Kerr spacetime comes from infinity with 4-momentum $p^{(0)\mu}$ and decays *inside* the ergosphere in a break-up point b into two other particles, the first of which labeled (1) has 4-momentum $p^{(1)\mu}$ and gets absorbed by the black hole and the second of which labeled (2), 4-momentum $p^{(2)\mu}$ and escapes the gravitational pull of the system and returns to infinity. The law of conservation of 4-momentum applied at point b implies that

$$p^{(0)\mu} = p^{(1)\mu} + p^{(2)\mu}. \quad (2.9)$$

Contracting Eq. (2.9) with K^μ we get

$$E^{(0)} = E^{(1)} + E^{(2)}. \quad (2.10)$$

If we engineer the trajectory of particle (1) such that $E^{(1)} < 0$, we get

$$E^{(2)} = E^{(0)} + E^{(1)} > E^{(0)}, \quad (2.11)$$

which means that the energy of the returning particle is greater than the energy of the original. This mechanism is precisely the one proposed by Penrose and Floyd, and has since been known since as the *Penrose Process* or *Penrose Mechanism*. This break-up process is represented in Fig. 2.2.

Where does the excess energy of particle (2) comes from? To answer that, let us analyze particle (1) as it crosses the outer horizon. In the Kerr metric, the event horizons are Killing horizons of the Killing vector formed by a linear combination of the two spacetime symmetries, namely

$$\chi^\mu = K^\mu + \Omega R^\mu \quad (2.12)$$

where Ω is the horizon’s angular velocity. Considering that particle (1) crosses

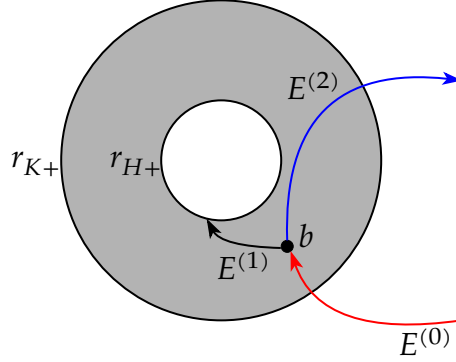


Figure 2.2: Schematic representation of a Penrose process. A particle of energy $E^{(0)}$ (red) comes in from infinity and decays at point b inside the ergosphere in a negative energy $E^{(1)}$ trajectory (black) and a positive energy $E^{(2)} > E^{(0)}$ trajectory (blue) that returns to infinity. The black hole's rotational axis is pointing outside the page, towards the reader.

the event horizon while remaining time-like and χ^μ is null at the outer horizon, we must have that

$$p^{(1)\mu}\chi_\mu = -E^{(1)} + \Omega L^{(1)} < 0 \quad (2.13)$$

where $L^{(1)}$ represents the particle's angular momentum. In order to satisfy Eq. (2.13) given that $E^{(1)} < 0$ and $\Omega > 0$ we must have that

$$L^{(1)} < \frac{E^{(1)}}{\Omega}, \quad (2.14)$$

which implies that $L^{(1)} < 0$ and thus the negative energy particle must be rotating in the opposite direction of the black hole. This means that when the negative energy particle gets absorbed, the BH loses a small amount of its own angular momentum, transferring it to the particle that is to be ejected back to infinity.

Naturally at this point one may start to wonder if it is possible to completely “drain” the black hole via repeated Penrose processes. Christodoulou in Ref. [40] has determined that there is a limit of energy extraction, expressed by an *irreducible mass*, that is, a lower mass bound for the black hole to achieve from which no further energy can be extracted. To see that, let us consider that when particle (1) interacts with the BH, energy is conserved and thus the loss

in mass and angular momentum of the black hole corresponds respectively to $E^{(1)}$ and $L^{(1)}$, that is,

$$dM = E^{(1)}, \quad (2.15)$$

$$dJ = L^{(1)}. \quad (2.16)$$

By virtue of Eq. (2.14), we get that

$$dJ < \frac{dM}{\Omega}. \quad (2.17)$$

The maximum energy extraction occurs when we exactly reach this limit. Given that

$$\Omega = \frac{a}{r_{H+}^2 + a^2} \quad (2.18)$$

we can solve

$$\frac{dM}{dJ} = \frac{a}{r_{H+}^2 + a^2} \quad (2.19)$$

for $M(J)$ with $M(0) = M_0$ to find

$$M_0^2 = \frac{1}{2} \left(M^2 + \sqrt{M^4 - J^2} \right), \quad (2.20)$$

which is known as the *irreducible mass*. To see why that is the case, one can take the differential of Eq. (2.20) to find

$$dM_0 = \frac{a}{4M_0\sqrt{M^2 - a^2}} (\Omega^{-1}dM - dJ). \quad (2.21)$$

Thanks to Eq. (2.17), we can infer from Eq. (2.21) that $dM_0 > 0$ always, thus M_0 cannot be reduced (hence its name) and gives the lower energy bound that the black hole can achieve. The formula for the maximum energy that can be extracted is thus

$$M - M_0 = M - \frac{1}{\sqrt{2}} \left(M^2 + \sqrt{M^4 - J^2} \right)^{1/2}. \quad (2.22)$$

By considering an extreme BH (with $a = 1$), Eq. (2.22) states that approximately

29% of the BH's energy can be extracted via the Penrose process. One can get to the same conclusion by starting of with Hawking's area theorem, which states that the event horizon area cannot decrease (See Ref. [37] page 270).

2.3 Majumdar-Papapetrou Spacetime

The Majumdar-Papapetrou (MP) spacetime is a static electrovacuum solution of Einstein's equations that represents a set of extremal black holes whose mutual gravitational attraction is cancelled by their mutual electromagnetic repulsion [7, 8, 9]. For two black holes of masses M_1 and M_2 and electric charges $Q_1 = M_1$ and $Q_2 = M_2$, in equilibrium and separated by a distance $2a$ along the z -axis, the MP line element, in Weyl's cylindrical coordinates (t, ρ, ϕ, z) , is given by [41]

$$ds^2 = -\frac{dt^2}{U(\rho, z)^2} + U(\rho, z)^2 [d\rho^2 + \rho^2 d\phi^2 + dz^2], \quad (2.23)$$

where

$$U(\rho, z) = 1 + \frac{M_1}{\sqrt{\rho^2 + (z + a)^2}} + \frac{M_2}{\sqrt{\rho^2 + (z - a)^2}}. \quad (2.24)$$

The electromagnetic potential A_μ associated with the MP solution is

$$A_\mu = \left(1 - \frac{1}{U}\right) \delta_{\mu t}, \quad (2.25)$$

where $\delta_{\mu\nu}$ is the Kronecker delta. We note that Weyl's coordinates describe only the exterior of the black holes. The event horizons and the black holes themselves are collapsed into the points $\rho = 0$, $z = \pm a$. We denote the total mass of the binary system by $M_T = M_1 + M_2$ and its mass ratio by $M_R = M_2/M_1$. Without loss of generality, we assume that $0 \leq M_R \leq 1$.

Being described by a static metric, the MP spacetime does not possess an ergosphere in the sense described in Sec. 2.2. Consequently, the energy associated with geodesic motion in the MP spacetime is always positive, meaning that energy extraction by free particles is impossible. Charged particles, however, interact with charged black holes through Lorentz forces and, hence, do not follow geodesics. If the electromagnetic interaction is

attractive, negative energy trajectories and energy extraction are, in principle, possible. For a single charged black hole described by the RN metric, the fact that the Penrose process is viable was shown in Ref. [42]. Building on the notion of a generalized ergosphere [32, 42], we shall study the motion of charged particles around the MP spacetime to investigate the possibility of negative energy motion and energy extraction.

2.3.1 Motion of charged particles in MP

The motion of a massive charged test particle (with charge-to-mass ratio μ) in a spacetime with metric $g_{\mu\nu}$, subject to the electromagnetic potential A_μ , is determined by the Lagrangian

$$\mathcal{L} = \frac{1}{2}g_{\mu\nu}\dot{x}^\mu\dot{x}^\nu - \mu A_\alpha\dot{x}^\alpha, \quad (2.26)$$

where $x^\mu = x^\mu(\lambda)$ denotes the position of the particle at proper time λ and the dots represent derivatives with respect to λ . Adopting Weyl's cylindrical coordinates, and taking into account the explicit form of the MP metric, the Lagrangian above can be recast as [43]

$$\mathcal{L} = \frac{1}{2} \left[-\frac{\dot{t}^2}{U^2} + U^2 (\dot{\rho}^2 + \rho^2 \dot{\phi}^2 + \dot{z}^2) \right] - \mu \left(1 - \frac{1}{U} \right) \dot{t}. \quad (2.27)$$

Since the Lagrangian does not depend explicitly on t and ϕ , two constants of motion (as measured by freely-falling observers at infinity) can be readily identified. The constant associated with the time symmetry is the energy divided by the mass m of the particle:

$$E = -\frac{\partial \mathcal{L}}{\partial \dot{t}} = \frac{\dot{t}}{U^2} + \mu \left(1 - \frac{1}{U} \right). \quad (2.28)$$

The constant associated with the angular symmetry is the angular momentum per unit mass (with respect to the z axis):

$$L = \frac{\partial \mathcal{L}}{\partial \dot{\phi}} = U^2 \rho^2 \dot{\phi}. \quad (2.29)$$

Given that the particle is following a time-like trajectory, its 4-velocity is subjected to the normalization condition

$$g_{\mu\nu}\dot{x}^\mu\dot{x}^\nu = -\frac{\dot{t}^2}{U^2} + U^2(\dot{\rho}^2 + \rho^2\dot{\phi}^2 + \dot{z}^2) = -1. \quad (2.30)$$

Solving Eq. (2.28) for \dot{t} and Eq. (2.29) $\dot{\phi}$ and substituting the results back into Eq. (2.30), we obtain a quadratic equation for E , which in turn can be solved to yield

$$E = \mu \left(1 - \frac{1}{U}\right) + \sqrt{\frac{L^2}{\rho^2 U^4} + \frac{1}{U^2} + \dot{\rho}^2 + \dot{z}^2}, \quad (2.31)$$

where the negative root has been ignored due to the fact that E must be positive for particles at infinity when $\mu = 0$ (see Ref. [32] for a detailed discussion about positive and negative root states for E). We note that Eq. (2.31) reduces to the expression found in Ref. [42] for a RN black hole if the mass of one of the black holes is taken to be zero and an appropriate coordinate system, centered around the other black hole, is adopted. For convenience and later use, we rewrite Eq. (2.31) as

$$\dot{\rho}^2 + \dot{z}^2 = E_{\text{eff}}^2(\rho, z) - V_{\text{eff}}(\rho, z), \quad (2.32)$$

where

$$E_{\text{eff}}(\rho, z) = E - \mu \left(1 - \frac{1}{U}\right), \quad (2.33)$$

and

$$V_{\text{eff}}(\rho, z) = \frac{L^2}{\rho^2 U^4} + \frac{1}{U^2}. \quad (2.34)$$

Note that the quantities defined above are subject to the following constraints:

$$E_{\text{eff}}(\rho, z) \geq 0, \quad E_{\text{eff}}^2(\rho, z) \geq V_{\text{eff}}(\rho, z). \quad (2.35)$$

The equations of motion are obtained directly from the Euler-Lagrange equations. After using Eqs. (2.28) and (2.29) to eliminate \dot{t} and $\dot{\phi}$, one is left

with

$$\ddot{\rho} - \frac{L^2(U + \rho\partial_\rho U)}{\rho^3 U^5} + \frac{2\dot{\rho}\dot{z}\partial_z U - (E^2 + \dot{z}^2 - \dot{\rho}^2)\partial_\rho U}{U} - \frac{\mu}{U} \left(\mu - 2E + \frac{E - \mu}{U} \right) \partial_\rho U = 0, \quad (2.36)$$

and

$$\ddot{z} - \frac{L^2\partial_z U}{\rho^2 U^5} + \frac{2\dot{\rho}\dot{z}\partial_\rho U - (E^2 - \dot{z}^2 + \dot{\rho}^2)\partial_z U}{U} - \frac{\mu}{U} \left(\mu - 2E + \frac{E - \mu}{U} \right) \partial_z U = 0, \quad (2.37)$$

which reduce to the equations of motion found in Ref. [28] for neutral particles. Together with Eqs. (2.28) and (2.29), the two equations above fully determine the trajectory of a massive charged particle in the MP spacetime once appropriate initial conditions have been specified. In fact, we first specify the energy E , the angular momentum L , and the initial values for ρ , z , and \dot{z} . The initial value for $\dot{\rho}$ is determined from Eq. (2.31). Using this information, we can solve the system of equations (2.36)-(2.37) to obtain $\rho(\lambda)$ and $z(\lambda)$. The final step is the integration of Eqs. (2.28) and (2.29), subject to the initial data for t and ϕ , to find $t(\lambda)$ and $\phi(\lambda)$.

2.3.2 Generalized Ergosphere

We want to know if charged particles can have negative energies in the MP spacetime. From Eq. (2.31) it is evident that, for fixed μ , the energy is completely determined by the angular momentum L , and the values of ρ , z , $\dot{\rho}$ and \dot{z} at any given instant of time. At a fixed position, the minimum possible energy is associated with particles at rest. Letting $\dot{\rho} = \dot{z} = 0$ and $L = 0$ (i.e. $\dot{\phi} = 0$), we conclude that the minimum energy (per unit mass) allowed for a particle sitting at (t, ρ, ϕ, z) is

$$E_{\min} = \mu \left(1 - \frac{1}{U} \right) + \frac{1}{U}. \quad (2.38)$$

This minimum energy will be negative if the following two conditions are

satisfied: Since $U \geq 1$, μ must be negative, meaning that the charge of the particle must be opposite to the charge of the black holes. Additionally, the resting particle must be inside the spatial region determined by

$$\frac{1}{\sqrt{\bar{\rho}^2 + (\bar{z} + 1)^2}} + \frac{M_R}{\sqrt{\bar{\rho}^2 + (\bar{z} - 1)^2}} > -\frac{1 + M_R}{\bar{\mu}}, \quad (2.39)$$

where $\bar{\rho} = \rho/a$, $\bar{z} = z/a$ and $\bar{\mu} = \mu M_T/a$ are dimensionless quantities. The parameter $\bar{\mu}$ can be understood as a measure of the potential energy (per unit particle mass) associated with the electromagnetic interaction between the particle and the binary. The inequality above determines the generalized ergosphere of the MP spacetime: particles with opposite charge in relation to the black hole and located inside the region determined by Eq. (2.39) will have negative energies if their velocities are sufficiently small. Particles outside, on the other hand, will have positive energies regardless of their velocities.

Note that the notion of a generalized ergosphere depends not only on the geometry of the spacetime, but also on properties of the particle (through the charge-to-mass ratio μ), as in Refs. [32, 42]. In particular, the shape of the ergosphere depends only on the parameters M_R and $\bar{\mu}$. In order to understand this dependence, we plot the generalized ergosphere for nine M_R - $\bar{\mu}$ pairs. Each pair corresponds to a point in the parameter space of Fig. 2.3 and is labeled by a letter (A-I). The $\phi = 0$ section of the associated ergospheres are shown in Fig. 2.4. Due to the axial symmetry of the problem, the ergospheres are the solids of revolution obtained by the rotation of the regions shown in Fig. 2.4 with respect to the \bar{z} -axis. Note that the generalized ergosphere can be either a single connected region (for parameters inside the red section of Fig. 2.3) or the disjoint union of two connected regions¹ (for parameters in the green section of Fig. 2.3). The boundary separating connected and disconnected ergospheres, represented by the black line in Fig. 2.3, corresponds to the saturation of Eq (2.39).

The ergosphere becomes more evenly distributed around the black holes when the mass ratio M_R approaches one. This is seen in Fig. 2.3 by following

¹In such a case we shall refer to each connected region as a single ergosphere.

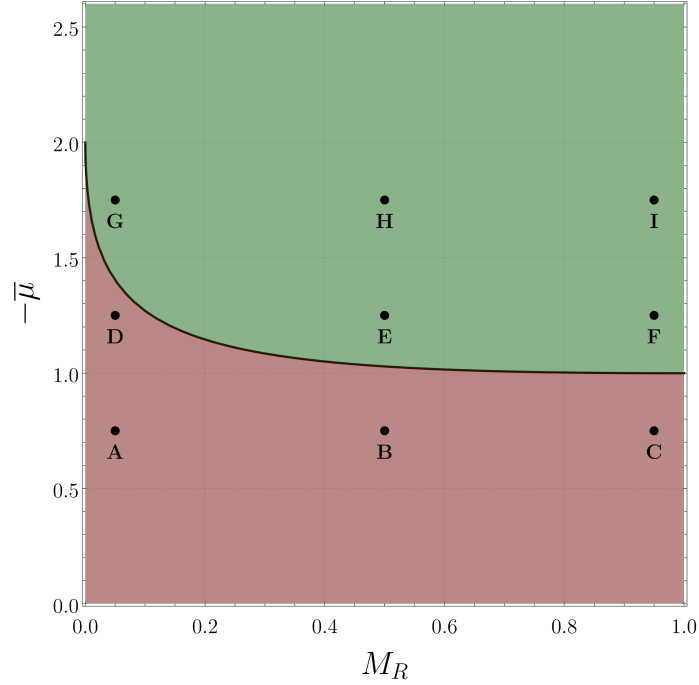


Figure 2.3: The parameter space $M_R - \bar{\mu}$. The generalized ergosphere exists if and only if $\bar{\mu} < 0$. It consists of a single connected region for any point inside the red section. For points in the green section, on the other hand, the ergosphere is the disjoint union of two connected regions. The black curve marks the boundary between connected and disconnected ergospheres. The ergospheres associated with the black labeled dots are plotted in Fig. 2.4.

the points $\mathbf{A} \rightarrow \mathbf{B} \rightarrow \mathbf{C}$, or $\mathbf{D} \rightarrow \mathbf{E} \rightarrow \mathbf{F}$, or $\mathbf{G} \rightarrow \mathbf{H} \rightarrow \mathbf{I}$. Furthermore, if $-2 < \bar{\mu} < -1$, we see that an increase in the mass ratio may produce a single ergosphere from two disjoint ones, as in $\mathbf{D} \rightarrow \mathbf{E}$. Similarly, for any mass ratio, an increase in the absolute value of $\bar{\mu}$ can also induce the merger of the ergospheres, as in $\mathbf{D} \rightarrow \mathbf{G}$, $\mathbf{B} \rightarrow \mathbf{E}$ and $\mathbf{C} \rightarrow \mathbf{F}$. In fact, no matter what the mass ratio is, if $-\bar{\mu}$ is sufficiently small, each black hole will be surrounded by its own ergosphere. In contrast, if $-\bar{\mu}$ is sufficiently large, there will be a single ergosphere surrounding the binary black hole. Finally, we remark that, according to Eq. (2.39), the effects of the charge of the particle, of the total mass of the binary and of the separation parameter are all combined in $\bar{\mu}$. Therefore, as far as the visualization of the ergosphere is concerned, the effect of increasing $|\mu|$ is exactly the same as increasing M_T or decreasing a .

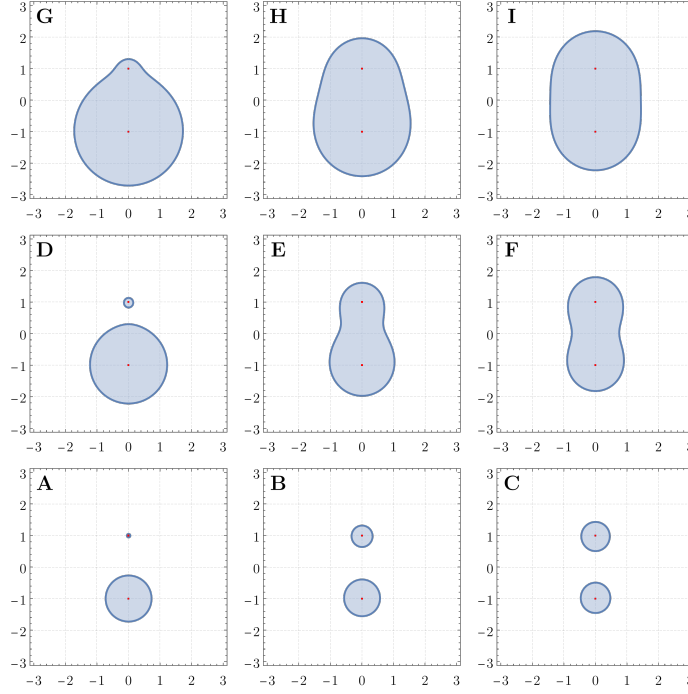


Figure 2.4: The $\phi = 0$ section of the ergosphere for different points (labeled A-I) in the parameter space of Fig. 2.3. In each plot the horizontal and vertical axes are $\bar{\rho}$ and \bar{z} , respectively. The red dots indicate the location of the black holes.

The minimum energy (per unit mass) at a given point of the spacetime, in contrast, depends on the explicit values of μ , M_R and M_T/a . To illustrate this dependence, we plot in Fig. 2.5 the energy levels inside the ergosphere determined by $M_R = 1/2$ and $\bar{\mu} = -5/4$ (which corresponds to the point E in Figs. 2.3 and 2.4) for different combinations of μ and M_T/a . The color bar in Fig. 2.5 indicates the value of E_{\min}/μ , which, according to Eq. (2.38), varies from zero (at the boundary of the ergosphere) to one (at the black holes). As $|\mu|$ decreases and M_T/a increases (while $\bar{\mu}$ and M_R are kept fixed), the shape of the ergosphere remains unchanged, but the energy levels become more evenly distributed around the black holes.

2.3.3 Negative energy trajectories

Trajectories associated with negative energies are confined within the ergosphere defined by Eq. (2.39). For a generic set of initial conditions, such

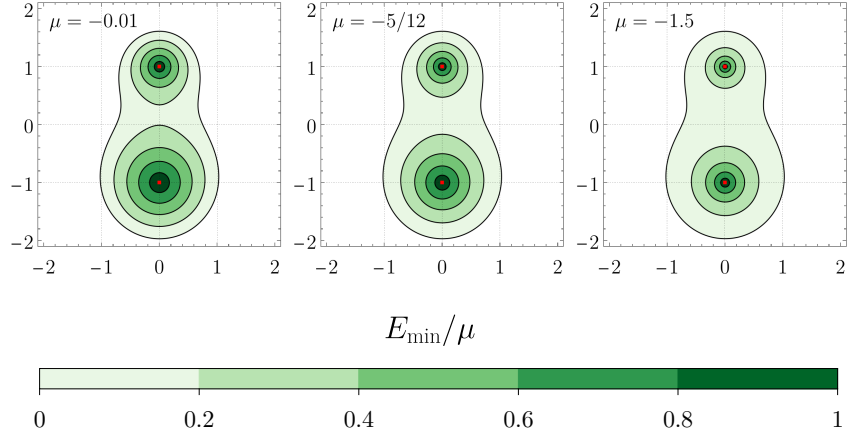


Figure 2.5: Energy levels inside the generalized ergosphere of a MP black hole with $M_R = 1/2$ and $\bar{\mu} = -5/4$, corresponding to the point E in Figs. 2.3 and 2.4. The color bar represents E_{\min}/μ . From left to right, the panels correspond respectively to $\mu = -0.01$, $\mu = -5/12$, and $\mu = -1.5$. The horizontal and vertical axes in each panel are $\bar{\rho}$ and \bar{z} , respectively. The red dots indicate the location of the black holes.

paths will eventually end up at either one of the black holes. This is not much different from the case of a single RN or a Kerr black hole, in which particles with negative energies that start outside the event horizon necessarily enter the black hole and reach the spacetime singularity. Instead of focusing on this type of trajectory, we concentrated on trajectories which have no analogs in standard (Kerr and RN) black hole spacetimes [38, 44]. We want to investigate whether closed orbits of negative energy that live outside the black holes are allowed. It's important to first note, however, that if the Kerr black hole is immersed in an external magnetic field, closed orbits of negative energy are allowed outside the event horizon [45, 46]. We also note that stable circular orbits of negative energy exist around a Kerr naked singularity (and that the Penrose process can effectively take place using such orbits) [47]. We follow the procedure described in the last paragraph of section 2.3.1 to solve the equations of motion. To simplify our work, we restrict our attention to two classes of planar motion and show that, by fine-tuning the initial data, one is able to find closed orbits of negative energies in the MP spacetime. These closed orbits of negative energies are unstable, in the sense that generic perturbations of the initial conditions

result in trajectories that end at one of the black holes.

The first class of orbits assumes zero angular momentum ($L = 0$) so that the trajectories are restricted to a plane that contains both black holes (here we choose the $\phi = 0$ plane without loss of generality). For a given set of parameters a, M_1, M_2, E , and μ , after fixing $\rho(0) = 0$ and $\dot{z}(0) = 0$, we fine tune the initial position $z(0)$. The initial value $\dot{\rho}(0)$ is determined from Eq. (2.31). To illustrate, we show in Fig. 2.6 two examples of eight-shaped orbits obtained with this scheme. The left panel of Fig. 2.6 represents an orbit with energy (per unit mass) $E = -2/10$ and charge-to-mass ratio $\mu = -5$ for an equal mass MP binary ($M_1 = M_2 = 1$) with separation parameter $a = 1$. The trajectory starts on the z -axis, at $z(0) = 5.314064237978\dots$ (fine-tuned). One complete revolution of the trajectory, with corresponding period of $\lambda \approx 22.64$, is shown. The right panel of Fig. 2.6, on the other hand, exhibits an orbit of $E = -2/10$ and $\mu = -5$ for a MP binary with mass ratio $M_R = 1/2$ ($M_1 = 2, M_2 = 1$) and separation parameter $a = 1$. The trajectory starts on the z -axis, at $z(0) = 12.832155724084\dots$ (fine-tuned). One complete revolution of the trajectory, with corresponding period of approximately $\lambda \approx 43.28$, is shown.

The second class of orbits is only possible for equal mass binaries and comprises trajectories that are confined to the $z = 0$ plane, which is the plane equidistant to the black holes. Particles with negative energy whose motion is constrained to this plane will evolve in a perpetual oscillatory motion, either in straight lines (when $L = 0$) or in more complicated precessing orbits (when $L \neq 0$). Even though these trajectories are unstable to generic perturbations, on the plane itself they are stable. In other words, infinitesimal perturbations of $\rho(0)$ and $\dot{\rho}(0)$ produce infinitesimal variations on the original trajectory (if $z(0)$ and $\dot{z}(0)$ are kept fixed).

To analyze these orbits we resort to Eqs. (2.32)-(2.34). Given a, E and L , the critical points ρ where $E_{\text{eff}}(\rho, 0)^2 = V_{\text{eff}}(\rho, 0)$ represent circular closed orbits. Typically, however, the particle will be confined inside a compact section of the $z = 0$ plane, in a characteristic “zoom-whirl” orbit [28, 48], moving between a minimum radius ρ_{\min} and a maximum radius ρ_{\max} . In Fig. 2.7, we show the effective energy and the effective potential for a MP spacetime with $a = 1$ and $M_1 = M_2 = 1$, when the particle’s charge-to-mass ratio, angular momentum

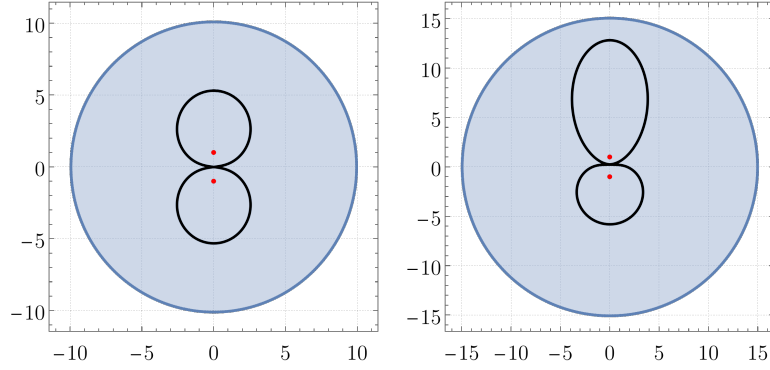


Figure 2.6: Example of closed trajectories of negative energy (black curves) in the plane containing the black holes. The blue region is the generalized ergosphere of the spacetime, while the red dots indicate the location of the black holes. The horizontal and vertical axes in each panel are $\bar{\rho}$ and \bar{z} , respectively. Left panel: trajectory corresponding to $L = 0$, $E = -2/10$, $a = M_1 = M_2 = 1$, $\mu = -5$, $\rho(0) = 0$, $z(0) = 5.314064237978\dots$ (fine-tuned), and $\dot{z}(0) = 0$. The associated period of revolution is $\lambda \approx 22.64$. Right panel: trajectory corresponding to $L = 0$, $E = -2/100$, $a = 1$, $M_1 = 2M_2 = 2$, $\mu = -5$, $\rho(0) = 0$, $z(0) = 12.832155724084\dots$ (fine-tuned), and $\dot{z}(0) = 0$. The associated period of revolution is $\lambda \approx 43.28$.

(per unit mass), and energy (per unit mass) are, respectively, $\mu = -5$, $L = 12.85869$, and $E = -5/100$. The particle is constrained to move between $\rho_{\min} \approx 0.543$ and $\rho_{\max} \approx 3.857$. The corresponding trajectory, assuming the starting point to be $\rho(0) = 2$ and $\phi(0) = 0$, is also shown in Fig. 2.7.

2.3.4 Penrose Process

Following Penrose's original proposal [22] and its extension to RN black holes [32, 42], we now investigate the possibility of energy extraction from a MP binary black hole. The mechanism we shall explore is analogous to the most standard one: a negatively charged particle is sent towards the binary black hole and, once inside the generalized ergosphere, breaks up into two fragments, one of which escapes to infinity with more energy than the original particle. We assume that the incident particle follows a trajectory $T_{(0)}$, which starts outside the ergosphere and ends inside it, at the break-up point (ρ_*, ϕ_*, z_*) . From

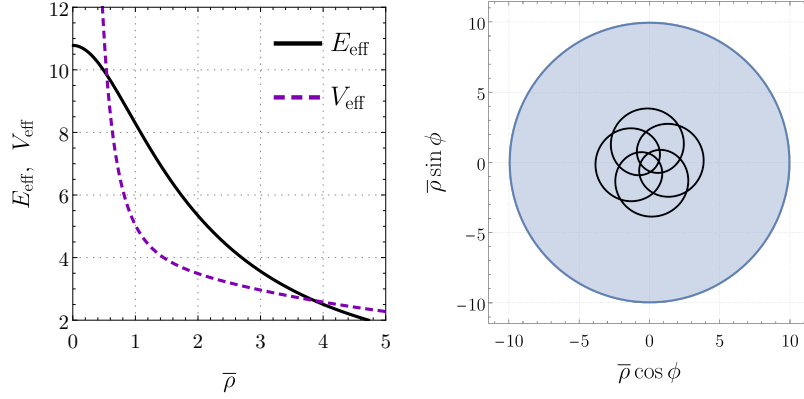


Figure 2.7: Left panel: effective energy (black curve) and effective potential (purple dashed curve) for $L = 12.85869$, $E = -5/100$, $a = 1$, $M_1 = M_2 = 1$, $\mu = -5$. Right panel: an example of a closed trajectory of negative energy in the $z = 0$ symmetry plane. The blue region is the generalized ergosphere of the spacetime. The trajectory (black curve) is generated by setting the parameters to $L = 12.85869$, $E = -5/100$, $a = 1$, $M_1 = M_2 = 1$, $\mu = -5$, $\rho(0) = 2$, and $\phi(0) = 0$. The associated period of revolution is $\lambda \approx 35$.

the break-up point, two other trajectories, labeled $T_{(1)}$ and $T_{(2)}$, start. Each trajectory $T_{(i)}$ is a time-like path $x_{(i)}^\mu(\lambda)$ parametrized by its proper time λ . To fix notation, let $m_{(i)}$, $\mu_{(i)}$, $E_{(i)}$, $L_{(i)}$, and $P_{(i)}^\mu$ denote, respectively, the mass, the charge-to-mass ratio, the energy per unit mass, the angular momentum per unit mass (with respect to the z -axis), and the 4-momentum of the particle i on trajectory $T_{(i)}$. We assume that fragment 1 remains inside the ergosphere (meaning that $E_{(1)} < 0$), while fragment 2 escapes back to infinity.

The quantities that characterize each particle are related by conservation equations. Charge conservation, for instance, yields

$$\mu_{(0)}m_{(0)} = \mu_{(1)}m_{(1)} + \mu_{(2)}m_{(2)}. \quad (2.40)$$

The conservation of the four-momentum applied at the break-up point, on the other hand, reads

$$P_{(0)}^\mu = P_{(1)}^\mu + P_{(2)}^\mu. \quad (2.41)$$

Each component of the vector equation (2.41) above corresponds to a different

conservation equation with straightforward physical interpretation. The zero-component is just the conservation of total energy, i.e.

$$E_{(0)}m_{(0)} = E_{(1)}m_{(1)} + E_{(2)}m_{(2)}. \quad (2.42)$$

The spatial components are the conservation of linear momenta, i.e.

$$\begin{cases} m_{(0)}\dot{\rho}_{(0)} = m_{(1)}\dot{\rho}_{(1)} + m_{(2)}\dot{\rho}_{(2)} \\ m_{(0)}\dot{z}_{(0)} = m_{(1)}\dot{z}_{(1)} + m_{(2)}\dot{z}_{(2)} \end{cases}, \quad (2.43)$$

and the conservation of angular momentum, i.e.

$$L_{(0)}m_{(0)} = L_{(1)}m_{(1)} + L_{(2)}m_{(2)}. \quad (2.44)$$

We remark that all derivatives in (2.43) are evaluated at the break-up point. We also note that the break-up of the incident particle naturally imposes restrictions on the masses of its fragments. By squaring Eq. (2.41) and using the fact that the four-momentum is future-pointing and time-like, we obtain the inequality [49]

$$m_{(1)}^2 + m_{(2)}^2 < m_{(0)}^2. \quad (2.45)$$

i	$m_{(i)}$	$\mu_{(i)}$	$E_{(i)}$	$L_{(i)}$	$\dot{\rho}_{(i)}$	$\dot{z}_{(i)}$
0	1.00000	-0.08345	1.00000	0	0.60000	0.09699
1	0.70000	-5.00000	-0.02000	0	0.41207	0.00000
2	0.23248	14.69629	4.36171	0	1.34012	0.41719

Table 2.1: Parameters that generate the trajectories $T_{(0)}$, $T_{(1)}$, and $T_{(2)}$ of the Penrose process shown in the left panel of Fig. 2.8. The derivatives $\dot{\rho}_{(i)}$ and $\dot{z}_{(i)}$ are evaluated at the break-up point.

From Eq. (2.42), the energy carried away by the escaping fragment is $E_{(2)}m_{(2)} = E_{(0)}m_{(0)} - E_{(1)}m_{(1)}$. Since we have assumed that $E_{(1)} < 0$, the escaping particle will carry away more energy than the incident particle had. If the negative energy fragment collapses to one of the black holes, it will directly decrease the energy associated with the black hole, as in Penrose's original

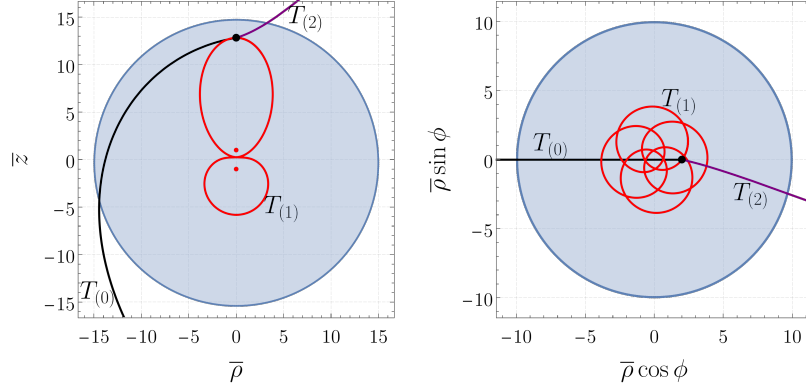


Figure 2.8: Left panel: Penrose process in the ρ - z plane of a MP spacetime with $M_1 = 2$, $M_2 = 1$, and $a = 1$. Right panel: Penrose process in the $z = 0$ plane of a MP spacetime with $M_1 = M_2 = 1$ and $a = 1$. In each plot, the incoming trajectory $T_{(0)}$ (black curve) splits at the black point into the negative energy orbit $T_{(1)}$ (red curve) and the trajectory of the escaping fragment $T_{(2)}$ (purple curve). The parameters that generate these trajectories are shown in Tables 2.1 and 2.2. The blue region is the generalized ergosphere (for particle 1) and the red dots indicate the location of the black holes.

proposal. If, on the other hand, the negative energy fragment remains in a closed orbit (such as the ones described in Sec. 2.3.3), where does the extra energy for the escaping fragment come from? Since the final state (binary black hole and bound particle fragment) is less energetic than the binary itself, we conclude that the extracted energy is associated with the binding energy of the binary. In other words, the presence of the bound particle fragment reduces the energy required to form a MP binary and the excess energy is transferred to the escaping fragment.

In Fig. 2.8 we exhibit examples of Penrose processes that include some of the negative energy orbits shown in Sec. 2.3.3. The left panel exhibits a Penrose process that takes place in the ρ - z plane of a MP spacetime with $M_1 = 2$, $M_2 = 1$, and $a = 1$. The incoming particle breaks-up at $\bar{\rho} = 0$ and $\bar{z} = 5.314064237978\dots$ (fine-tuned). The right panel, on the other hand, exhibits a Penrose process that occurs in the $z = 0$ plane of a MP spacetime with $M_1 = M_2 = 1$ and $a = 1$. The incoming particle breaks-up at $\bar{\rho} = 2$ and $\phi = 0$. The parameters that generate these examples and satisfy Eqs. (2.40)-(2.45) are given in Tables 2.1 and 2.2.

i	$m_{(i)}$	$\mu_{(i)}$	$E_{(i)}$	$L_{(i)}$	$\dot{\rho}_{(i)}$	$\dot{z}_{(i)}$
0	1.00000	-0.27698	1.00000	0.00000	1.00000	0
1	0.10000	-5.00000	-0.05000	12.85870	1.36059	0
2	0.33342	0.66890	3.01423	-3.85662	2.59116	0

Table 2.2: Parameters that generate the trajectories $T_{(0)}$, $T_{(1)}$, and $T_{(2)}$ of the Penrose process shown in the right panel of Fig. 2.8. The derivatives $\dot{\rho}_{(i)}$ and $\dot{z}_{(i)}$ are evaluated at the break-up point.

2.3.5 Energy extraction efficiency

The efficiency η of the Penrose process can be defined as the ratio between the energy output and the energy input. Using Eq. (2.42), we have

$$\eta = \frac{E_{(2)}m_{(2)} - E_{(0)}m_{(0)}}{E_{(0)}m_{(0)}} = -\frac{E_{(1)}m_{(1)}}{E_{(0)}m_{(0)}}. \quad (2.46)$$

A natural question arises: what is the maximum efficiency of the Penrose process in a MP spacetime? Since η is directly proportional to $E_{(1)}$ and inversely proportional to $E_{(0)}$, in order to maximize the efficiency of the process we need to make the absolute value of $E_{(1)}$ as large as possible and $E_{(0)}$ as small as possible. We also want the negative energy fragment to be as massive as possible in comparison to the mass of the incident particle. In other words, we want to extract as much energy as possible starting with as little energy as possible. We shall assume that the MP spacetime is fixed (meaning that M_1, M_2 and a are known), the break-up point has been specified as (ρ_*, z_*, ϕ_*) and the charge-to-mass ratio $\mu_{(1)}$ is known. Given these hypotheses, we will determine how much energy can be extracted from a MP black hole and how the remaining parameters must be chosen in order to optimize the process.

First, the minimum energy for an incident particle coming from infinity, according to Eq. (2.31), is $E_{(0)} = 1$ and corresponds to the particle having zero kinetic energy at infinity. For that reason, we shall assume from now on that $L_{(0)} = 0$ and $E_{(0)} = 1$. Secondly, according to Eq. (2.38) and the discussion in the first paragraph of Sec. 2.3.2, the energy per unit mass of particle 1 is most

negative if the particle is initially at rest. Therefore, at the break-up point we set

$$\dot{\rho}_{(1)} = \dot{z}_{(1)} = \dot{\phi}_{(1)} = 0, \quad (2.47)$$

meaning that the associated angular momentum per unit mass and energy per unit mass are, respectively, $L_{(1)} = 0$ and

$$E_{(1)} = E_{(1)}^{\min} = \mu_{(1)} \left(1 - \frac{1}{U_*} \right) + \frac{1}{U_*}, \quad (2.48)$$

where we have defined $U_* = U(\rho_*, z_*)$ for simplicity.

Let us now study the allowed values for $m_{(1)}$. The conservation of linear momenta, Eq. (2.43), yields the relation

$$m_{(2)}^2 = m_{(0)}^2 \left(\frac{\dot{\rho}_{(0)}^2 + \dot{z}_{(0)}^2}{\dot{\rho}_{(2)}^2 + \dot{z}_{(2)}^2} \right) + m_{(1)}^2 \left(\frac{\dot{\rho}_{(1)}^2 + \dot{z}_{(1)}^2}{\dot{\rho}_{(2)}^2 + \dot{z}_{(2)}^2} \right), \quad (2.49)$$

where all derivatives are evaluated at the break-up point. After replacing $\dot{\rho}_{(i)}^2 + \dot{z}_{(i)}^2$ using Eqs. (2.32)-(2.34), and employing the conservation equations (2.40), (2.42) and (2.44), the expression above reduces to

$$m_{(2)} = \sqrt{m_{(0)}^2 - 2m_{(0)}m_{(1)}\alpha_{(0)} + m_{(1)}^2}, \quad (2.50)$$

where

$$\alpha_{(0)} = U_* \left[1 - \mu_{(0)} \left(1 - \frac{1}{U_*} \right) \right]. \quad (2.51)$$

Note that the expression between brackets in the definition of $\alpha_{(0)}$ is precisely the effective energy of the incident particle evaluated at the break-up point as given by Eq. (2.33). The inequalities given in Eq. (2.35), together with the fact that $U_* \geq 1$, therefore imply that

$$\alpha_{(0)} \geq 1, \quad (2.52)$$

and

$$\mu_{(0)} \leq 1. \quad (2.53)$$

Eq. (2.50) and the fact that the masses are positive, together with the constraint imposed by Eq. (2.45), also imply that

$$0 < \frac{m_{(1)}}{m_{(0)}} < \alpha_{(0)}. \quad (2.54)$$

Since the radicand in Eq. (2.50) must be positive, the bound given by Eq. (2.54) can be further refined to yield

$$0 < m_{(1)} < m_{(0)} \left(\alpha_{(0)} - \sqrt{\alpha_{(0)}^2 - 1} \right). \quad (2.55)$$

Hence, the allowed range for $m_{(1)}$ is maximized when the inequalities (2.52) and (2.53) are saturated. In fact, when $\mu_{(0)} \rightarrow 1$ one can choose $m_{(1)} \rightarrow m_{(0)}$, thus maximizing the ratio $m_{(1)}/m_{(0)}$ that appears in Eq. (2.46). Consequently, the efficiency of the Penrose process in a MP spacetime is bound from above according to

$$\eta < \eta^b = -E_{(1)}^{\min}. \quad (2.56)$$

We remark that the upper bound above is a function of $\mu_{(1)}$, the break-up point coordinates ρ_* and z_* , and the MP parameters (M_1 , M_2 , and a). With the help of Eq. (2.48), we now investigate in detail how these quantities affect the efficiency bound.

The dependence of η^b on the charge-to-mass ratio $\mu_{(1)}$ is simple: η^b increases linearly with $\mu_{(1)}$. The dependence of η^b on the break-up point can be understood with the help of the energy levels shown in Fig. 2.5: the efficiency bound increases as the break-up point approaches either one of the black holes. A more detailed analysis is shown in Fig. 2.9, where we plot η^b as a function of z_* for selected values of ρ_* when $M_R = 1/2$, $M_T = 3$, and $\bar{\mu}_{(1)} = -5/4$ (corresponding to the energy levels shown in the middle panel of Fig. 2.5). Note that when the break-up point is outside the ergosphere, the efficiency bound becomes negative, meaning that the escaping fragment will carry away less energy than the incident particle had. The Penrose process is most efficient if the break-up occurs exactly at either one of the event horizons, as indicated by the red dots in Fig. 2.9. When this happens, the upper bound is $-\mu_{(1)}$, which is in agreement with results obtained for the RN metric [49, 50].

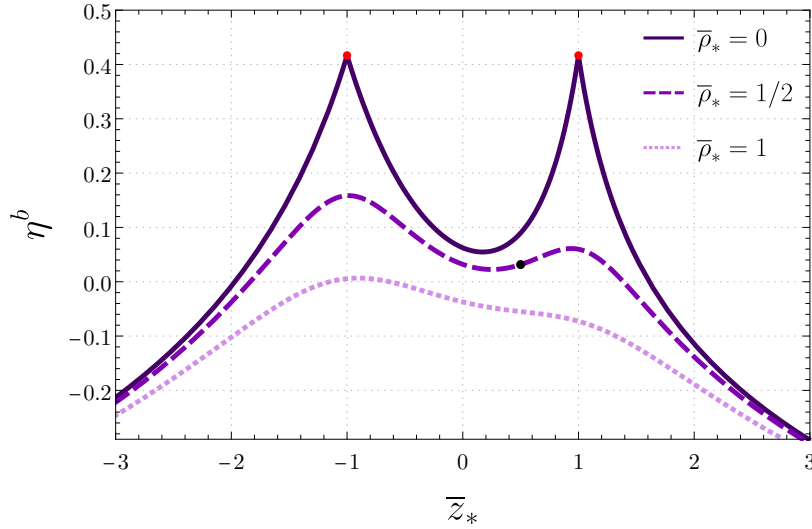


Figure 2.9: Efficiency bound η^b as a function of z_* for $\bar{\rho}_* = 0$ (solid curve), $\bar{\rho}_* = 1/2$ (dashed curve), and $\bar{\rho}_* = 1$ (dotted curve) when $M_R = 1/2$, $M_T = 3$, and $\bar{\mu}_{(1)} = -5/4$. The associated ergosphere corresponds to the point E in Figs. 2.3 and 2.4, while the associated energy levels are shown in the middle panel of Fig. 2.5. The red dots indicate the efficiency when the particle breaks-up at the black holes. The black dot shows the maximum efficiency $\eta^b = 0.03161$ for the processes represented in Fig. 2.13 and Tables 2.3 and 2.4.

To study the dependence of the efficiency bound on the masses of the black holes, we plot η^b as a function of the mass ratio M_R when $M_T/a = 3$ (top panel of Fig. 2.10) and as a function of M_T/a when $M_R = 1/2$ (top panel of Fig. 2.11). In both cases we have set the charge-to-mass ratio as $\mu_{(1)} = -5/12$. Each curve in these plots is associated with a different break-up point. The break-up points are shown in the bottom panels of Figs. 2.10 and 2.11. In the bottom panel of Fig. 2.10, we also exhibit the generalized ergosphere associated with a few selected values of M_R (which are chosen to reproduce the ergospheres labeled **D**, **E** and **F** in Figs. 2.3 and 2.4). Analogously, the ergospheres depicted in the bottom panel of Fig. 2.11 (and the associated values of M_T/a) correspond to the ergospheres labeled **B**, **E** and **H** in Figs. 2.3 and 2.4.

As shown in the top panel of Fig. 2.10, when the mass ratio M_R increases (while the other parameters are kept fixed), η^b will also increase if the break-up point is closer to the lighter black hole and will decrease if the break-up point is

closer to the heavier black hole. This behavior is related to the fact that the growth of M_R produces an expansion of the ergosphere around the lighter companion and a reduction of the ergosphere around the heavier companion, as seen in the bottom panel of Fig. 2.10. Note that the efficiency bound is independent of the mass ratio if the break-up point is equidistant to the black holes. On the other hand, as shown in Fig. 2.11, when M_T/a increases (while the other parameters are kept fixed), the ergosphere expands and η^b increases. We note that in the limit $M_T/a \rightarrow \infty$, no matter where the break-up occurs, the efficiency bound approaches its maximum, i.e. $\eta^b \rightarrow -\mu_{(1)}$. This is explained by the fact that the distance between the break-up point and the black holes becomes negligible in comparison to the size of the ergosphere when $M_T/a \rightarrow \infty$.

Finally, we investigate the behavior of η^b when $\mu_{(1)}$ and M_T/a vary simultaneously, but their product, i.e. $\bar{\mu}_{(1)} = \mu_{(1)}M_T/a$, is kept fixed, meaning that the shape of the ergosphere is fixed (only the energy levels inside it change). In Fig. 2.12 we plot η^b as a function of $\mu_{(1)}$ and M_T/a for three different break-up points when $M_R = 1/2$ and $\bar{\mu}_{(1)} = -5/4$, so that the resulting ergosphere corresponds to the one labeled E in Figs. 2.3 and 2.4. The break-up points are chosen to be $(\bar{\rho}_*, \bar{z}_*) = (d, 1-d)$, with $d = 1/2$, $d = 1/3$, and $d = 1/4$. We observe that, as $|\bar{\mu}|$ increases and M_T/a decreases, the efficiency bound increases, approaching an asymptotic value in the limit $\mu_{(1)} \rightarrow -\infty$ and $M_T/a \rightarrow 0$.

2.3.6 Examples

We now give concrete examples of energy extraction in a MP binary black hole spacetime whose efficiency approaches the theoretical maximum given by Eq. (2.56). The general procedure that we follow is outlined below. First, we choose the MP parameters M_1 , M_2 and a . Second, we choose the charge-to-mass ratio $\mu_{(1)}$ and a break-up point (ρ_*, z_*, ϕ_*) that is inside the generalized ergosphere of the spacetime. Without loss of generality, we set $m_{(0)} = 1$.

Following the discussion leading to the inequality (2.56), we set $L_{(0)} =$

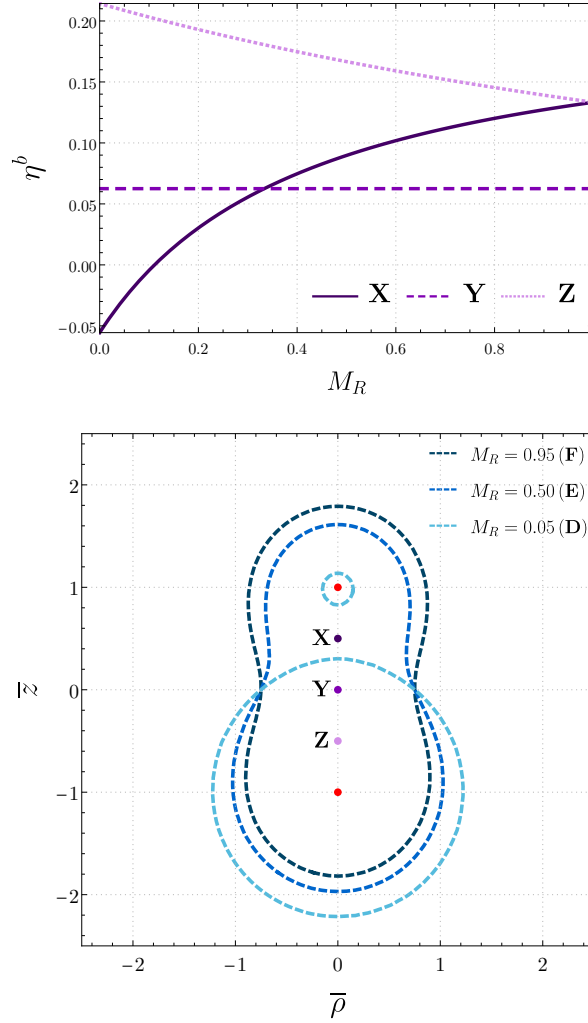


Figure 2.10: Top panel: efficiency bound η^b as a function of M_R when $M_T/a = 3$ and $\mu_{(1)} = -5/12$. Bottom panel: generalized ergosphere for selected values of M_R (corresponding to the points **D**, **E** and **F** in Fig. 2.3) when $M_T/a = 3$ and $\mu_{(1)} = -5/12$. The red dots indicate the location of the black holes. The purple dots are the locations of the break-up points $(\bar{\rho}_*, \bar{z}_*) = (1/2, 1/2)$, $(\bar{\rho}_*, \bar{z}_*) = (1/2, 0)$, and $(\bar{\rho}_*, \bar{z}_*) = (1/2, -1/2)$ and are labeled **X**, **Y** and **Z**, respectively. Each curve in the top panel corresponds to one of the break-up points shown in the bottom panel.

$L_{(1)} = L_{(2)} = 0$, meaning that all trajectories are restricted to the plane $\phi = \phi_*$. The energy $E_{(1)}$ is determined by Eq. (2.48), while $E_{(0)} = 1$. According to

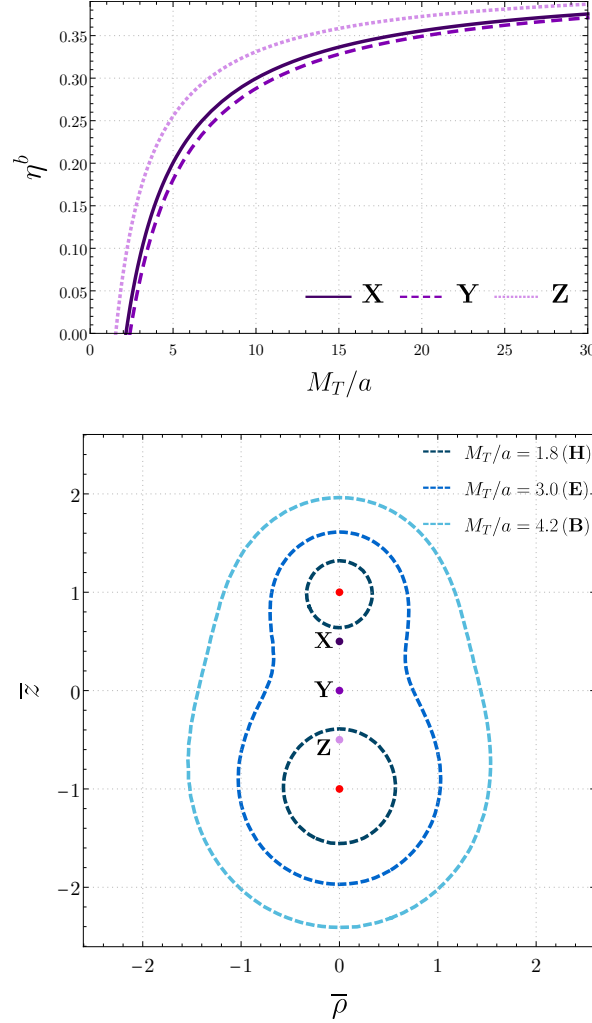


Figure 2.11: Top panel: efficiency bound η^b as a function of M_T/a when $M_R = 1/2$ and $\mu_{(1)} = -5/12$. Bottom panel: generalized ergosphere for selected values of M_T/a (corresponding to the points **B**, **E** and **H** in Fig. 2.3) when $M_R = 1/2$ and $\mu_{(1)} = -5/12$. The red dots indicate the location of the black holes. The purple dots are the locations of the break-up points $(\bar{\rho}_*, \bar{z}_*) = (1/2, 1/2)$, $(\bar{\rho}_*, \bar{z}_*) = (1/2, 0)$, and $(\bar{\rho}_*, \bar{z}_*) = (1/2, -1/2)$ and are labeled **X**, **Y** and **Z**, respectively. Each curve in the top panel corresponds to one of the break-up points shown in the bottom panel.

Eqs. (2.53) and (2.55), we choose

$$\mu_{(0)} = 1 - \varepsilon, \quad (2.57)$$

$$m_{(1)} = 1 - \nu, \quad (2.58)$$

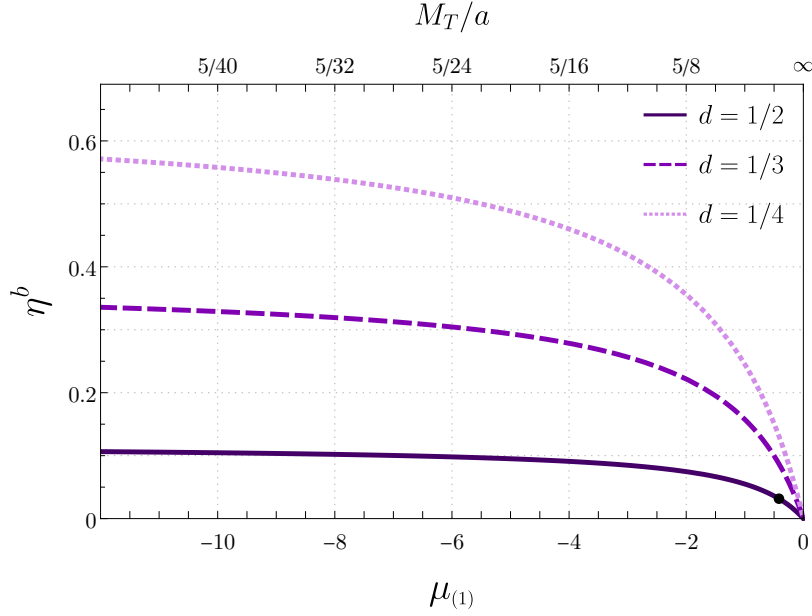


Figure 2.12: Efficiency bound η^b as a function of $\mu_{(1)}$ (bottom axis) and M_T/a (top axis) for $M_R = 1/2$ and $\bar{\mu}_{(1)} = -5/4$. The fact that $\bar{\mu}_{(1)}$ is fixed implies that $\mu_{(1)}$ and M_T/a are inversely proportional to each other. The curves, from bottom to top, correspond to the break-up points $(\bar{\rho}_*, \bar{z}_*) = (d, 1 - d)$, with $d = 1/2$, $d = 1/3$, and $d = 1/4$ respectively. The black dot shows the maximum efficiency $\eta^b = 0.03161$ for the processes represented in Fig. 2.13 and Tables 2.3 and 2.4, i.e. when $d = 1/2$, $\mu_{(1)} = -5/12$ and $M_T/a = 3$.

where ε and ν are small positive parameters satisfying

$$\nu > \varepsilon(U_* - 1) \left(\sqrt{1 + \frac{2}{\varepsilon(U_* - 1)}} - 1 \right). \quad (2.59)$$

Since $m_{(1)}$ has been fixed, the mass $m_{(2)}$ can be determined by Eq. (2.50). The quantities $\mu_{(2)}$ and $E_{(2)}$ are determined from Eqs. (2.40) and (2.42), respectively.

At the break-up point, according to Eq. (2.47), we have $\dot{\rho}_{(1)} = \dot{z}_{(1)} = 0$ for the negative energy fragment. For the incident particle, on the other hand, the choices for $\mu_{(0)}$ and $E_{(0)}$ imply that

$$\dot{\rho}_{(0)}^2 + \dot{z}_{(0)}^2 = \varepsilon \frac{U_* - 1}{U_*^2} [2 + \varepsilon(U_* - 1)]. \quad (2.60)$$

By choosing the angle $\theta_{(0)} = \text{Arg}(\dot{\rho}_{(0)} + i\dot{z}_{(0)})$ between the velocities $\dot{\rho}_{(0)}$ and $\dot{z}_{(0)}$, equation Eq. (2.60) can be used to determine $\dot{\rho}_{(0)}$ and $\dot{z}_{(0)}$ individually at the break-up point. The conservation of linear momentum then fixes the values of $\dot{\rho}_{(2)}$ and $\dot{z}_{(2)}$ through Eq. (2.43). At this point, the trajectories $T_{(0)}$, $T_{(1)}$, and $T_{(2)}$ have all been determined and the efficiency of the associated Penrose process is $\eta = (1 - \nu)\eta^b$. In order to maximize the efficiency of the Penrose process, one must, therefore, set η to be as small as possible. Note, however, that one cannot choose $\varepsilon = 0$, because this would imply $\dot{\rho}_{(0)} = \dot{z}_{(0)} = 0$ and $\ddot{\rho}_{(0)} = \ddot{z}_{(0)} = 0$ at the break-up point, contradicting the fact the trajectory $T_{(0)}$ starts infinitely far away. Similarly, ν cannot be chosen to saturate inequality (2.59), otherwise $m_{(2)}$ would be exactly zero, contradicting the fact that all trajectories are time-like. If desired, this can be remedied by assuming, from the start, that the escaping fragment is massless (however, this would modify Eq. (2.31) and the present analysis). Nevertheless, it is possible, in principle, to have infinitesimally small values for ε and ν . Finally, we point out that not every angle θ_0 produces trajectories that are consistent with the assumptions of a Penrose process. More precisely, only certain ranges of θ_0 give rise to trajectories $T_{(0)}$ and $T_{(2)}$ that, respectively, start and end infinitely far away from the black holes.

i	$m_{(i)}$	$\mu_{(i)}$	$E_{(i)}$	$L_{(i)}$	$\dot{\rho}_{(i)}$	$\dot{z}_{(i)}$
0	1.00000	0.99990	1.00000	0	0.00609	0.00158
1	0.90000	-0.41667	-0.03161	0	0.00000	0.00000
2	0.09756	14.09301	10.54183	0	0.06243	0.01621

Table 2.3: Parameters that generate the trajectories $T_{(0)}$, $T_{(1)}$, and $T_{(2)}$ of the Penrose process shown in the left panel of Fig. 2.13. The derivatives $\dot{\rho}_{(i)}$ and $\dot{z}_{(i)}$ are evaluated at the break-up point.

We conclude by showing in Fig. 2.13 two explicit examples of the procedure outlined above for the MP spacetime with $M_1 = 2$, $M_2 = 1$, and $a = 1$. The charge-to-mass ratio of the negative energy fragment is chosen as $\mu_{(1)} = -5/12$, so that the associated generalized ergosphere is the one identified by the letter E in Figs. 2.3 and 2.4. The break-up point is chosen as $(\rho_*, z_*) = (1/2, 1/2)$, fixing the trajectory $T_{(1)}$ and its energy (per unit mass) $E_{(1)} = -0.03161$

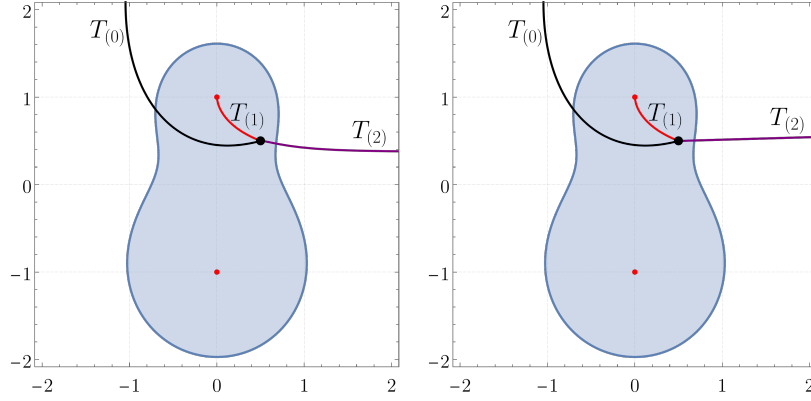


Figure 2.13: Examples of Penrose processes that approach the maximum theoretical efficiency in a MP spacetime. The efficiencies of the processes in the left and right panel are, respectively, 90% and 99% of the theoretical maximum. In both cases the incoming trajectory $T_{(0)}$ (black curve) splits at the black point into the negative energy orbit $T_{(1)}$ (red curve) and the trajectory of the escaping fragment $T_{(2)}$ (purple curve). The parameters that generate these trajectories are shown in Tables 2.3 and 2.4. The blue region is the generalized ergosphere (for particle 1) and the red dots indicate the location of the black holes.

(remember that the initial conditions are chosen so that $E_{(1)}$ is the minimum possible). According to Eq. (2.56), the efficiency bound is $\eta^b = 0.03161$ (which corresponds to the black dots in Figs. 2.9 and 2.12). The trajectories $T_{(0)}$ and $T_{(2)}$ are specified by the choices of ε , ν , and $\theta_{(0)}$. In the left panel of Fig. 2.13 we exhibit the Penrose process for $\varepsilon = 10^{-4}$, $\nu = 10^{-1}$, and $\theta_{(0)} = 0.25403$, whose efficiency is 90% of the theoretical maximum. In the right panel of Fig. 2.13 we exhibit the Penrose process for $\varepsilon = 10^{-5}$, $\nu = 10^{-2}$, and $\theta_{(0)} = 0.25403$, whose efficiency is 99% of the theoretical maximum. The parameters that generate these examples and satisfy Eqs. (2.40)-(2.45) are given in Tables 2.3 and 2.4.

2.4 CMMR Spacetime

We now consider the extension of the results presented in Sec. 2.3 to a binary system of rotating black holes described by the CMMR metric. In Weyl's

i	$m_{(i)}$	$\mu_{(i)}$	$E_{(i)}$	$L_{(i)}$	$\dot{\rho}_{(i)}$	$\dot{z}_{(i)}$
0	1	0.99999	1.00000	0	0.00193	0.00050
1	0.99000	-0.41667	-0.03161	0	0.00000	0.00000
2	0.00685	206.13521	150.50460	0	0.28104	0.07297

Table 2.4: Parameters that generate the trajectories $T_{(0)}$, $T_{(1)}$, and $T_{(2)}$ of the Penrose process shown in the right panel of Fig. 2.13. The derivatives $\dot{\rho}_{(i)}$ and $\dot{z}_{(i)}$ are evaluated at the break-up point.

cylindrical coordinates, the CMMR line element reads

$$ds^2 = -f(\rho, z) [dt - \omega(\rho, z)d\phi]^2 + f(\rho, z)^{-1} [e^{2\gamma(\rho, z)} (d\rho^2 + dz^2) + \rho^2 d\phi^2], \quad (2.61)$$

where the real valued functions $f(\rho, z)$, $\omega(\rho, z)$ and $\exp[2\gamma(\rho, z)]$ are defined as in Sec. IV of Ref. [35]. As in the case of the MP metric, only the exterior of the black holes is described by these coordinates. In particular, the outer event horizons of the constituent black holes are straight lines in these coordinates (see Fig. 2.14).

The CMMR solution is fully characterized by five independent parameters, namely the masses $M_{1,2}$, the angular momenta per unit mass $a_{1,2}$ and the coordinate distance R between the black hole centers. From these, we define three additional parameters, namely $M_T = M_1 + M_2$, which represents the total mass of the system, $J_T = M_1 a_1 + M_2 a_2$, which represents the total angular momentum of the system, and a_* , which is a root of the cubic equation

$$(R^2 - M_T^2 + a_*^2) (a_1 + a_2 - a_*) + 2 (R + M_T) (J_T - M_T a_*) = 0. \quad (2.62)$$

We note that, depending on the parameters, the CMMR metric can represent a black hole-black hole binary, a naked singularity-naked singularity binary, or a black hole-naked singularity binary [33, 34, 35]. In our analysis, the chosen parameters always correspond to a binary black hole solution. In practice, this means that the chosen parameters must:

1. Produce real valued and positive horizon lengths. The horizon

half-lengths are given by the expressions σ_1 and σ_2 in Sec. IV of Ref. [35].

2. Produce horizons that do not touch or overlap.
3. Produce a single real root for a_* in Eq. (2.62).

2.4.1 Geodesics

Once again, we will make use of the Lagrangian formalism to determine the geodesic equations and the conserved quantities corresponding to the symmetries of the system. The Lagrangian associated with the geodesic motion of a massive and neutral test particle in the CMMR metric is [51]

$$2\mathcal{L} = -f(\dot{t} - \omega\dot{\phi})^2 + f^{-1} [e^{2\gamma}(\dot{\rho}^2 + \dot{z}^2) + \rho^2\dot{\phi}^2], \quad (2.63)$$

where, once again, dots represent derivatives with respect to the proper time λ .

Due to the stationarity and the axisymmetry of the system, we can identify two constants of the motion analogous to the quantities defined in Eqs. (2.28) and (2.29). The energy per unit mass, as measured by a static observer at infinity, is given by

$$E = f\dot{t} - \omega f\dot{\phi}, \quad (2.64)$$

and the angular momentum (with respect to the z axis) per unit mass, as measured by a static observer at infinity, is given by

$$L = \omega f\dot{t} + \left(\frac{\rho^2}{f} - \omega^2 f \right) \dot{\phi}. \quad (2.65)$$

Using Eqs. (2.64) and (2.65) to eliminate \dot{t} and $\dot{\phi}$ from the normalization of the four velocity, i.e. $\dot{x}^\mu \dot{x}_\mu = -1$, we obtain an expression for the energy E in terms of $\dot{\rho}$, \dot{z} and the angular momentum L :

$$E = \frac{-f^2\omega L}{\rho^2 - \omega^2 f^2} + \left[\frac{\rho^2 e^{2\gamma}(\dot{\rho}^2 + \dot{z}^2)}{\rho^2 - \omega^2 f^2} + \left(\frac{\rho f L}{\rho^2 - \omega^2 f^2} \right)^2 + \frac{\rho^2 f}{\rho^2 - \omega^2 f^2} \right]^{1/2}, \quad (2.66)$$

where the positive sign is once again chosen for the square root in order to guarantee that a static particle at infinity has positive energy. We rewrite the equation above as Eq. (2.32), where the effective energy and the effective potential are now given by

$$V_{\text{eff}} = \frac{\rho^2 - \omega^2 f^2}{\rho^2 e^{2\gamma}} \left[\left(\frac{\rho f L}{\rho^2 - \omega^2 f^2} \right)^2 + \frac{\rho^2 f}{\rho^2 - \omega^2 f^2} \right] \quad (2.67)$$

and

$$E_{\text{eff}} = \frac{\rho^2 - \omega^2 f^2}{\rho^2 e^{2\gamma}} \left(E + \frac{f^2 \omega L}{\rho^2 - \omega^2 f^2} \right)^2. \quad (2.68)$$

Note that the constraints given in Eq. (2.35) also apply to Eqs. (2.67) and (2.68).

The geodesic equations, analogous to Eqs. (2.36) and (2.37), can be derived from the Euler-Lagrange equations for the Lagrangian (2.63). Their explicit forms, in terms of E , L and the metric functions f , ω and $e^{2\gamma}$, are given in Eqs. (16) and (17) of Ref. [51]. Once $\rho(\lambda)$ and $z(\lambda)$ are known, $t(\lambda)$ and $\phi(\lambda)$ are determined by direct integration of Eqs. (2.64) and (2.65).

2.4.2 Ergosphere

Since the CMMR metric is stationary, and we are considering neutral particles in geodesic motion, we use the standard definition of an ergosphere to study the possibility of negative energy orbits and energy extraction. In other words, the ergosphere is the region where the time translation Killing vector field becomes space-like, i.e. $(\partial_t)^\mu (\partial_t)_\mu > 0$. Taking into account the line element (2.61), it is straightforward to show that the ergosphere of the CMMR spacetime is the locus of points that satisfy

$$f(\rho, z) < 0. \quad (2.69)$$

We sketch this ergosphere in Fig. 2.14, where each panel is labeled by a letter (A-I) and corresponds to a different set of parameters (which are specified in Table 2.5). In each panel, the blue shaded region represents the $\phi = 0$ section of the ergosphere, while the red lines represent the event horizons of the black holes. The top row of the figure (panels A-C) exhibits the effect of changing

the mass ratio of the system while keeping the total mass, both spins and the separation parameter fixed. It shows that, analogously to the MP case, initially disjoint ergospheres may merge into a single connected ergosphere when the mass ratio increases. The middle row of Fig. 2.14 (panels **D-E**), on the other hand, shows the effect of changing the spin parameter of the top black hole while keeping all other parameters fixed. We observe that when initially aligned spins become anti-aligned, the ergosphere becomes thinner and elongated along the symmetry axis. Finally, the bottom row (panels **G-H**) illustrates the effect of increasing the separation parameter when all other parameters are kept fixed. Similarly to what happens in the MP case, if the distance between the black holes is sufficiently large, there will be two disconnected ergospheres, one for each black hole.

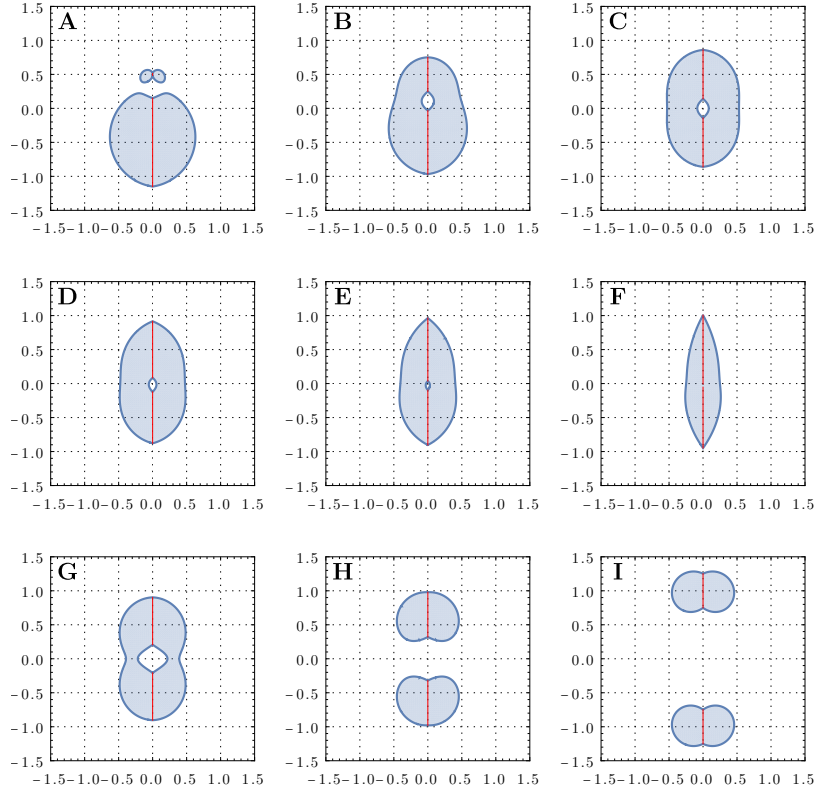


Figure 2.14: The $\phi = 0$ section of the ergosphere of the CMMR metric for different set of parameters labeled **A-I** (see Table 2.5). In each plot the horizontal and vertical axes are ρ/M_T and z/M_T , respectively. The red lines indicate the location of the black hole's horizons.

Panel	M_1/M_2	a_1/M_T	a_2/M_T	R/M_T
A	0.16	0.65	0.65	1.00
B	0.58	0.65	0.65	1.00
C	1.00	0.65	0.65	1.00
D	1.00	0.50	0.65	1.00
E	1.00	0.30	0.65	1.00
F	1.00	−0.10	0.65	1.00
G	1.00	0.65	0.65	1.11
H	1.00	0.65	0.65	1.30
I	1.00	0.65	0.65	2.00

Table 2.5: Parameters that define the CMMR metrics associated with the ergospheres **A-I** shown in Fig. 2.14.

2.4.3 Bound negative energy orbits and the Penrose Process

To demonstrate the existence of bound negative energy orbits and the possibility of using them to extract energy from non-coalescing Kerr binaries, we shall restrict our attention to systems of equal mass and spin. This symmetry allows for the existence of stable orbits (in the sense already discussed for the MP metric) in the $z = 0$ plane. To find a negative energy trajectory that is confined outside the black holes, we choose the energy E and the angular momentum L such that there are two orbital turning points of Eq. (2.32) that lie inside the ergosphere of the system. Similarly to what was done in the MP case, once the initial radius $\rho(0)$, the energy, and the angular momentum are fixed, we solve Eq. (2.66) to determine $\dot{\rho}(0)$ and integrate the geodesic equations. Using the parameters that produce the ergosphere **C** of Fig. 2.14 and Table 2.5, we show an example of such a negative energy orbit in Fig. 2.15 (right panel). The corresponding effective potential and effective energy are also shown in Fig. 2.15 (left panel).

Adopting the same notation introduced Sec. 2.3 for the trajectories in a Penrose process around the MP black hole, and taking advantage of the negative energy orbit depicted in Fig. 2.15, we now consider the possibility of energy extraction in the CMMR spacetime. By employing the conservation of 4-momentum (as in Sec. III), we construct an explicit example of a Penrose

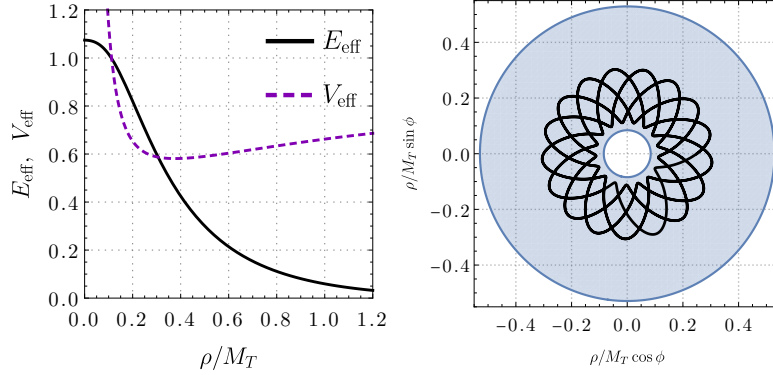


Figure 2.15: Left panel: effective energy (black curve) and effective potential (purple dashed curve) for $L = -2.5$ and $E = -0.054$, when the CMMR metric is characterized by $a_1 = a_2 = 0.65$, $M_1 = M_2 = 0.5$, and $R = 1$ (corresponding to the label **C** in Table 2.5). The turning points are located at $\rho_-/M_T = 0.112531$ and at $\rho_+/M_T = 0.306081$. Right panel: the associated trajectory in the $z = 0$ plane when $\rho(0)/M_T = 0.25$ and $\phi(0) = 0$. The blue region is the $z = 0$ section of the ergosphere of the spacetime.

process. The obtained trajectories are shown in Fig. 2.16 and the corresponding parameters are given in Table 2.6. The efficiency of the process, calculated through Eq. (2.46), is $\eta \approx 0.08\%$.

i	$m_{(i)}/m_0$	$E_{(i)}$	$L_{(i)}$	$\dot{\rho}_{(i)}$	$\dot{z}_{(i)}$
0	1.0000000	2.00000	0.000000	4.343904	0
1	0.0289697	-0.05400	-2.500000	0.313887	0
2	0.3148980	6.35623	0.229993	13.765800	0

Table 2.6: Parameters that generate the trajectories $T_{(0)}$, $T_{(1)}$, and $T_{(2)}$ of the Penrose process shown in Fig. 2.16. The derivatives $\dot{\rho}_{(i)}$ and $\dot{z}_{(i)}$ are evaluated at the break-up point.

2.5 Non-Stationary Spacetimes

In the previous sections, all of our considerations depended upon the existence of a conserved negative and “global” (as seen by a static observer at infinity)

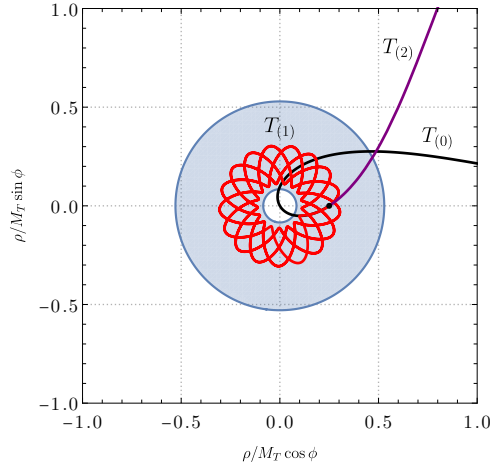


Figure 2.16: Penrose's process in the $z = 0$ plane of a CMMR spacetime with $M_1 = M_2 = 0.5$, $a_1 = a_2 = 0.65$, and $R = 1$. The incoming trajectory $T_{(0)}$ (black curve) splits at the black point ($\rho/M_T = 0.25$, $\phi = 0$) into the negative energy orbit $T_{(1)}$ (red curve) and the trajectory of the escaping fragment $T_{(2)}$ (purple curve). The parameters that generate these trajectories are shown in Table 2.6. The blue region is the $z = 0$ section of the ergosphere (for particle 1).

energy. This occurs if the spacetime under consideration is stationary. In this section we will demonstrate how one can still observe the Penrose Process even when there is no global and conserved energy available, looking only at locally defined quantities. This technique allows one to study the Penrose mechanism even when the spacetime metric is defined numerically, such as is the case in numerical simulations of binary black hole collisions.

2.5.1 3+1 split of the geodesic equation

To understand our proposed technique, it is first fundamental to understand how General Relativity can be reformulated by explicitly separating its spatial and temporal components. This decomposition known as a 3+1 split is very commonly used in Numerical Relativity and was motivated by the first attempts of posing GR as a Cauchy problem and numeric spacetime metrics are often given in terms of its 3+1 components. In this section, we will assume familiarity of the reader with this concept which can be readily reviewed in Refs. [52, 53, 54]. Given that the Penrose process requires us to investigate the trajectories of

particles in a background spacetime, we must now solve the geodesic equation taking into account that the spacetime metric (and its derivatives) will be provided via 3+1 split components. The need to solve the geodesic equation in this context overlaps with works that are interested in simulating an image of a black hole, that is, what a camera would capture if a picture of a BH was to be taken. In this type of simulation a technique called *backwards ray tracing* is employed, which consists in choosing a position and orientation of a model camera and integrating the trajectory of the photons that hit the camera's "film" backwards in time. If the photons fall in the black hole, that pixel of the image will be black or colored otherwise.

Although our purposes differ, the mathematical tools used in backwards ray tracing are fundamental in our work. The complete and detailed derivation of the 3+1 split of the geodesic equation can be found in Ref. [55]. We shall recover only the nomenclatures and concepts necessary for the further development of our proposal. To begin with, we consider the background spacetime of interest to be described by a metric tensor $g_{\mu\nu}$ and to be globally hyperbolic, and thus admits a one parameter space-like foliation of constant coordinate time t hypersurfaces that we shall denote by Σ_t . We will also assume that the space-time has coordinates² that are compatible with the foliation, that is, $x^0 = t$ and x^i span Σ_t . Let us denote the unit time-like (future directed) normal vector of Σ_t by n^μ . This vector coincides with the 4-velocity of an observer whose worldlines are orthogonal to Σ_t , which we call the *Eulerian Observer* O_E . We denote by $\gamma_{\mu\nu}$ the spatial metric induced in Σ_t , D_i its associated covariant derivative, K_{ij} the extrinsic curvature tensor, N the lapse function and β^μ the shift vector. The 3+1 split metric is thus

$$ds^2 = -N^2 dt^2 + \gamma_{ij}(dx^i + \beta^i dt)(dx^j + \beta^j dt). \quad (2.70)$$

Let us now consider a particle \mathcal{P} of 4-momentum p^μ . Let us assume that the particle moves in either a time-like or null geodesic (and thus without the

²We use the convention that Greek indices run over all 4 coordinates while Latin indices run over only the spatial coordinates.

influence of any force but gravity), which implies that

$$p_\mu p^\mu = \begin{cases} -m^2, & \text{if the particle is massive} \\ 0, & \text{if the particle is a photon} \end{cases}. \quad (2.71)$$

The 4-momentum can be decomposed as

$$p^\mu = E(n^\mu + V^\mu) \quad (2.72)$$

in which E represents the particle's energy as measured O_E (which means that $E = -n_\mu p^\mu$) and V^μ represents the 3-velocity of the particle, also as measured by O_E . The 3-momentum P^μ of \mathcal{P} as observed by O_E is thus

$$P^\mu \equiv \gamma^\mu{}_\nu p^\nu = EV^\mu \quad (2.73)$$

and the normalization of p^μ , together with $n_\mu n^\mu = -1$ and Eq. (2.72) imposes

$$V_\mu V^\mu = V_i V^i \begin{cases} = 1, & \text{if the particle is massive} \\ < 1, & \text{if the particle is a photon} \end{cases}. \quad (2.74)$$

Parametrizing the particle's position vector X^i by the coordinate time (that is $x^i = X^i(t)$) the geodesic equation of \mathcal{P} is decomposed in a set of 7 equations, namely

$$\frac{dX^i}{dt} = NV^i - \beta^i \quad (2.75)$$

$$\frac{dV^i}{dt} = NV^j \left[V^i (\partial_j \ln N - K_{jk} V^k) + 2K_j^i - {}^3\Gamma_{jk}^i V^k \right] - \gamma^{ij} \partial_j N - V^j \partial_j \beta^i \quad (2.76)$$

$$\frac{dE}{dt} = E(NK_{jk} V^j V^k - V^j \partial_j N) \quad (2.77)$$

that can be solved once initial positions, velocities and energy are supplied.

2.5.2 Global energy

Eq. (2.77) gives us the energy as measured by the Eulerian Observer. From here on, we will refer to this quantity as the *local energy*, since it is measured locally by the observer that is orthogonal to the foliation. Up until now, we've been dealing with what we shall now call the *global energy*, that is, the energy as measured by a static observer at infinity. To study the Penrose process in this context, we must bridge the gap between these two energy quantities. Let us proceed by writing down the Lagrangian of a particle moving about a 3+1 decomposed spacetime. By virtue of Eq. (2.70) we get

$$\mathcal{L} = \frac{1}{2} \left\{ \left[-N^2 + \gamma_{ij} \beta^i \beta^j \right] \dot{t}^2 + 2\gamma_{ij} \beta^i \dot{x}^j \dot{t} + \gamma_{ij} \dot{x}^i \dot{x}^j \right\}. \quad (2.78)$$

where dots denote derivatives with respect to the proper time. If we define the global energy ϵ as

$$\epsilon \equiv -\frac{\partial \mathcal{L}}{\partial \dot{t}} \quad (2.79)$$

we get from Eq. (2.78) that

$$\epsilon = \left[N^2 - \gamma_{ij} \beta^i \beta^j \right] \dot{t} - \gamma_{ij} \beta^i \dot{x}^j. \quad (2.80)$$

By noting that [55]

$$\dot{t} \equiv \frac{dt}{d\lambda} = \frac{E}{N}, \quad (2.81)$$

we can rewrite Eq. (2.80) as

$$\epsilon = \left[N^2 - \gamma_{ij} \beta^i \beta^j \right] \frac{E}{N} - \gamma_{ij} \beta^i \dot{x}^j. \quad (2.82)$$

If we remember, from Ref. [55] that

$$V^i = \frac{1}{N} \left(\frac{dx^i}{dt} + \beta^i \right) \Rightarrow \frac{dx^i}{dt} = NV^i - \beta^i, \quad (2.83)$$

we can write

$$\dot{x}^i \equiv \frac{dx^i}{d\lambda} = \frac{dx^i}{dt} \frac{dt}{d\lambda} = (NV^i - \beta^i) \frac{E}{N}. \quad (2.84)$$

Substituting these results back into Eq. (2.82) and after some algebra, we finally get

$$\epsilon = (N - \gamma_{ij}\beta^i V^j) E. \quad (2.85)$$

2.5.3 Penrose process

Previously, we were able to determine if energy was extracted by comparing energies the energy observed by a static observer at infinity. Since this quantity was conserved, it did not matter the exact place in which this comparison took place. In a more general scenario, the global energy may no longer be conserved, and local energy must be always positive. How can we then determine if energy extraction took place? There is an important consequence of Eq. (2.85) to be observed if the spacetime metric is asymptotically flat, that is, if infinitely far away from the black hole (or holes) the spacetime becomes the Minkowski solution. In this case we get that $\gamma_{ij} \rightarrow \eta_{ij}$, $\beta^i \rightarrow 0$ and $N \rightarrow 1$ which implies that $\epsilon = E$.

Let us now suppose that a particle moves about a spacetime containing a coalescing BBH. Let us suppose that such particle comes from infinity and falls towards the BHs. Before setting the particle free, we record it's global and local energies, and assert that they are the same since the spacetime in question is asymptotically flat. As the particle falls, it's local energy increases as it gets closer to the event horizons. At a certain point outside either event horizon, let the particle break up into two other particles, like in the traditional Penrose mechanism. This time, however, we cannot assume that one of the fragments has negative energy, since we can only measure its local energy (which must always be positive). Nevertheless, let us assume that one of the fragments is absorbed by the BHs and the other escapes back to infinity. Once the returning particle reaches infinity we record it's global and local energies and assert that they are the same. If we compare the global energies at infinity of both the ingoing and outgoing particle, we must be able to ascertain whether or not energy was extracted via the Penrose mechanism.

In practice, what one does is to choose a background spacetime metric and solve Eqs. (2.75)-(2.77) numerically with a set of initial conditions

$X^i(0), V^i(0), E(0)$. We evolve the system until the particle gets absorbed by one of the black holes or reaches a sphere of predetermined radius that we denominate the *background sphere*. Since it is not possible to integrate the trajectory to spatial infinity, the radius of this background sphere must be large enough that the difference becomes smaller than a certain threshold T_E , that is, $|E(t_f) - \epsilon(t_f)| < T_E$, where t_f represents the final integration coordinate time. Furthermore, we consider a particle to be absorbed by the system at a given time of swallowing t_S , if $|E(t_S) - E(0)|/E(0) = T_S$ where T_S is an arbitrary swallowing threshold. These criteria are consistent with the ones introduced in Ref. [31].

The scheme described above was implemented in a public C++ code available in Ref. [56]. Compilation and usage instructions are provided within the repository. The code was originally created with the intent of producing Gravitational Lensing images (hence the name) but was later adapted to investigate the Penrose process. The code consists of a *kernel* using the ARKODE [57] infrastructure responsible for integrating the geodesic equation and verifying stop criteria for an arbitrary spacetime metric. The kernel expects only to receive a set of functions that compute the ADM quantities of the spacetime metric (lapse, shift, extrinsic curvature and a few derivatives of these objects). Each spacetime metric is then a *plugin* (a dynamic library) provides such functions at runtime. This allows the integration problem be separated of the problem of determining the ADM quantities of a given spacetime metric. Users can focus on the latter, since the kernel solves the former for an arbitrary input metric. In addition to spacetime metrics being plugins, file writers are also plugins in the same way. This allows the user to implement different output data formats for the trajectories according to their needs. Currently, only a simple ASCII file writer is available, but that is enough for our in this section. The behavior of the program is driven at runtime by command line arguments, YAML configuration files and the available dynamic libraries implementing spacetime metrics and writers. A basic configuration file named `grlensing_config.yaml` is expected to be present, detailing various ARKODE internal settings, such as error tolerances, max. number of iterations, etc. It also details the metric and file writer plugins to be loaded and made available and settings of the `dump-metric` command. Additional configuration files

are required in certain modes (for instance, describing a certain spacetime parameters and initial conditions of a particle). Through the command line, the user selects the operation mode of the code. Currently, the available modes of operation are (these can be viewed by invoking the program with `--help`)

- `list-plugins`: Lists all the plugins that are set to be loaded (and were found)
- `dump-metric`: Writes a spacetime metric in a cube of arbitrary size and arbitrary number of internal points. This option is used mostly for debugging the implementation of a spacetime metric plugin.
- `integrate-trajectory`: Integrates a single particle trajectory with the specified configurations.
- `penrose-breakup`: Integrates a particle breakup process by using two particle configurations and obtaining a third from conservation of 4-momentum.

The general usage pipeline, involves finding interesting single particle trajectories and feeding them into the `penrose-breakup` mode. Several utility scripts are provided in the program repository under the `resources` folder. These scripts serve multiple purposes, from plotting trajectories, energies, the ADM quantities of dumped spacetime metrics or even generating a skeleton of a metric plugin that can be filled by users according to their interests. It also includes an assortment of papers and notes required in the development of the code.

2.5.3.1 Kerr spacetime (calibration)

To illustrate the ideas discussed thus far, we shall analyze a particle breakup and Penrose mechanism in the Kerr spacetime. This shall serve as a test for the code and is also useful to illustrate the main physical points made.

Chapter 3

Quasinormal Modes and the Asymptotic Iteration Method

Chapter 4

Numerical Scalar Wave Scattering in GW150914

Chapter 5

Conclusions and perspectives

CONCLUSION

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