

Chapter 3



Relativistic propagation equations

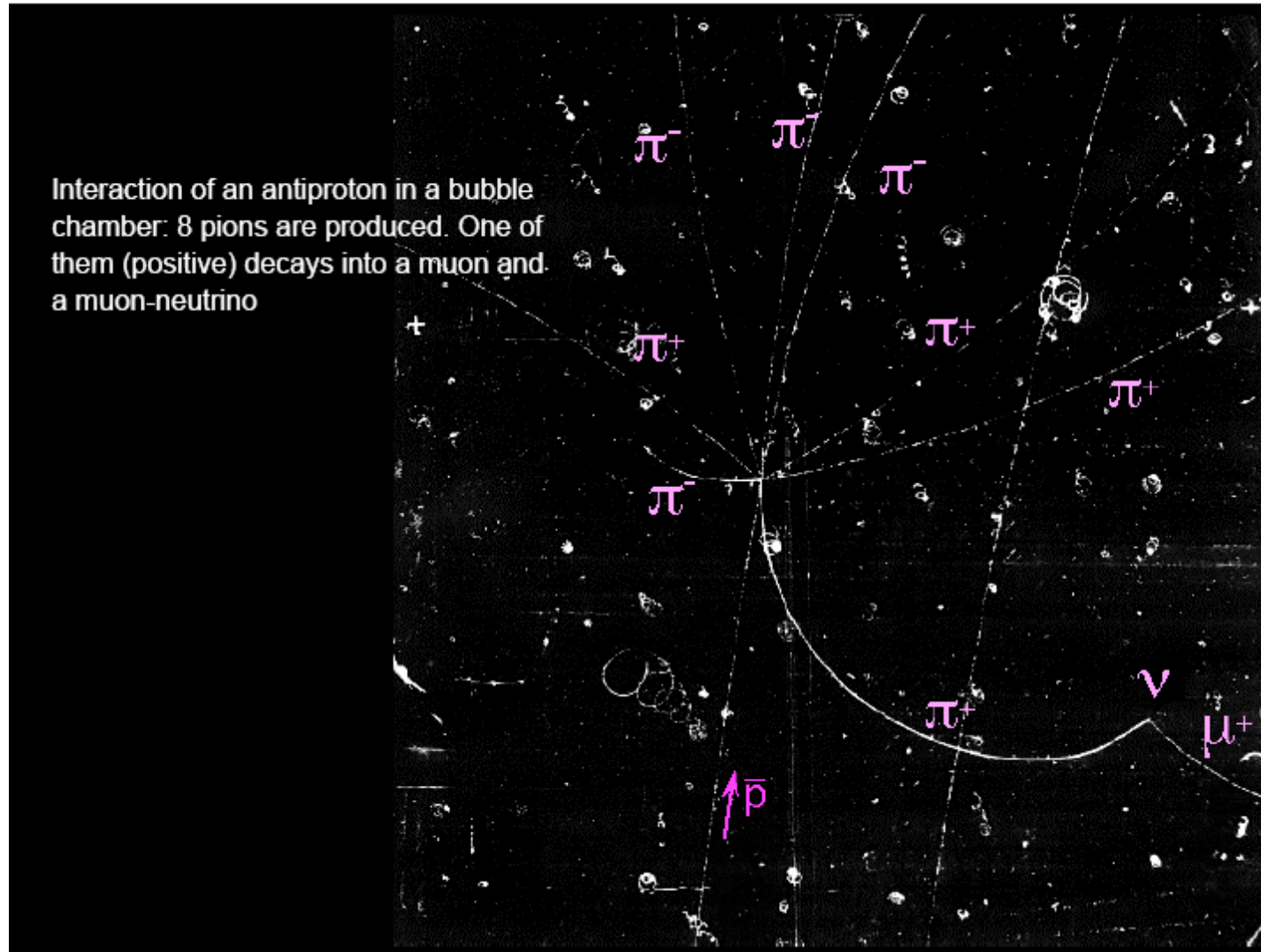
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1- Antiparticles and relativity

Observation of antiparticles :

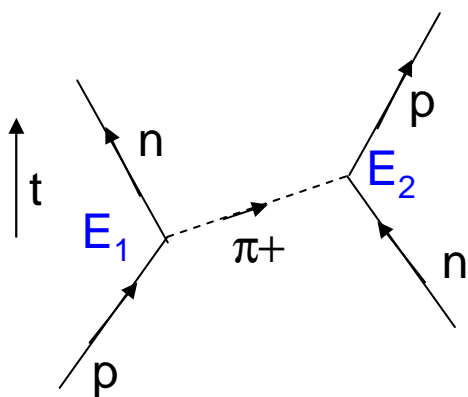


1- Antiparticles and relativity

Historically:

- Predication of the positron by Dirac (1928)
- Experimental signature by Anderson (1932)
- Theoretical difficulties : “negative energies” → holes theory
- Matter-antimatter asymmetry

Studying charge-exchange diagram with some basics of 4-vectors:



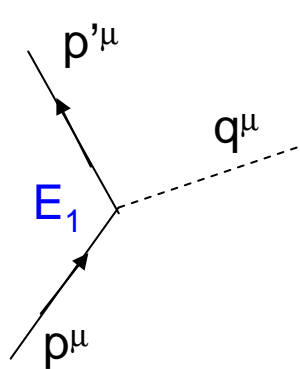
$$p^\mu = (p^0 = E = \gamma M, \vec{p} = \gamma M \vec{v})$$

$$\gamma = \frac{1}{\sqrt{1 - \beta^2}} \quad \text{and} \quad \beta = v/c$$

$$p^2 = p^\mu p_\mu = E^2 - \vec{p}^2 = E^2(1 - v^2) = M^2$$

1- Antiparticles and relativity

The charge exchange process is forbidden classically



$$p^\mu = p'^\mu + q^\mu$$

$$q^2 = (p^\mu - p'^\mu)^2 = 2M^2 - 2p^\mu p'_\mu$$

$$= 2M^2 \left(1 - \frac{1 - \vec{v} \cdot \vec{v}'}{\sqrt{(1 - v^2)(1 - v'^2)}} \right)$$

$$\leq 0 \text{ but } q^2 = m^2 ?$$

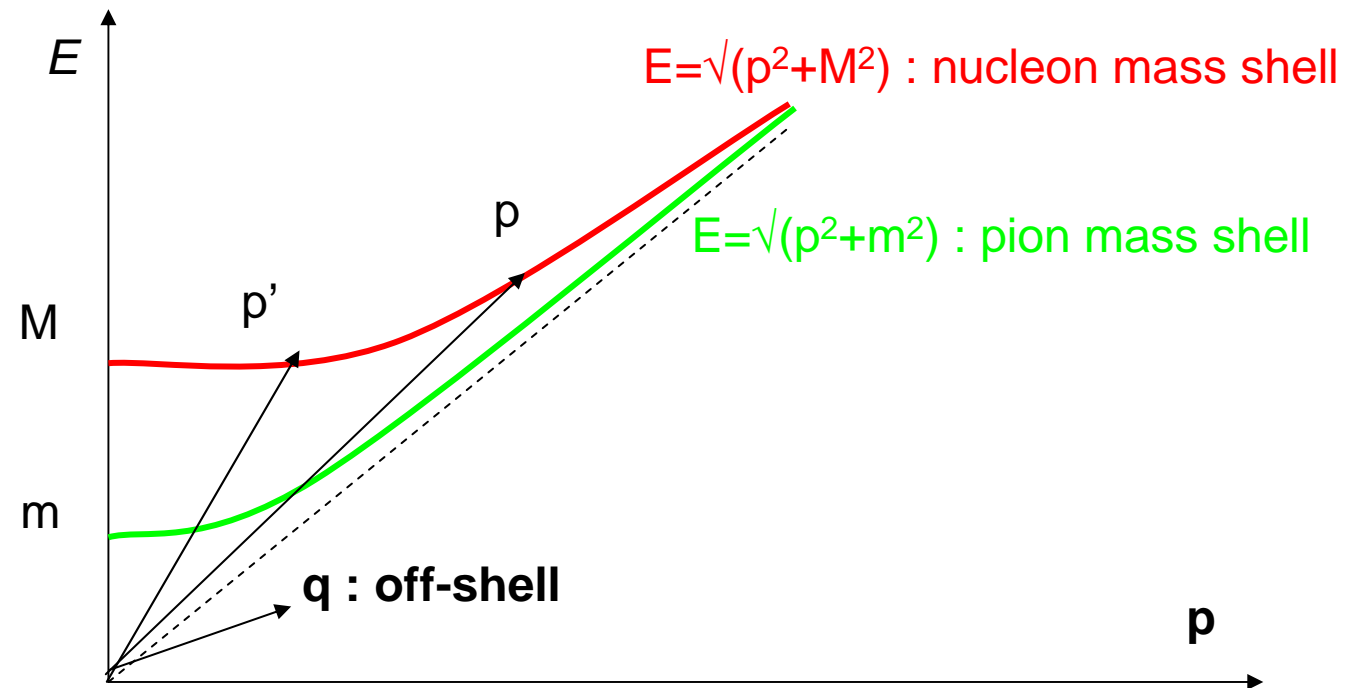
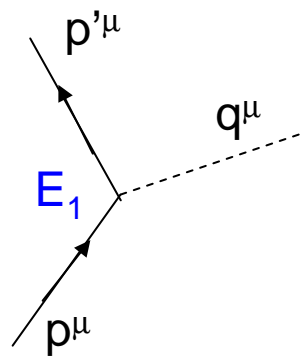
- Between E_1 and E_2 a virtual particle state may be exchanged for a time less than $\Delta t \leq \frac{\hbar}{m}$
- “ $E_1 - E_2$ ” : space-like interval between the 2 events

$$q^2 = q_0^2 - \vec{q}^2 = q_0^2 (1 - V^2) \text{ with } V : \text{ pion velocity}$$

$$\Rightarrow (\Delta t)^2 - (\Delta \vec{x})^2 = (\Delta t)^2 (1 - V^2) < 0$$

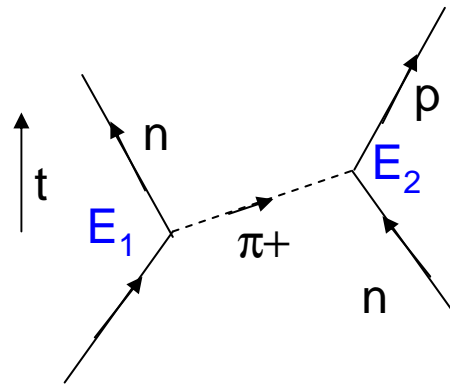
1- Antiparticles and relativity

Off-shell virtual particle exchange :

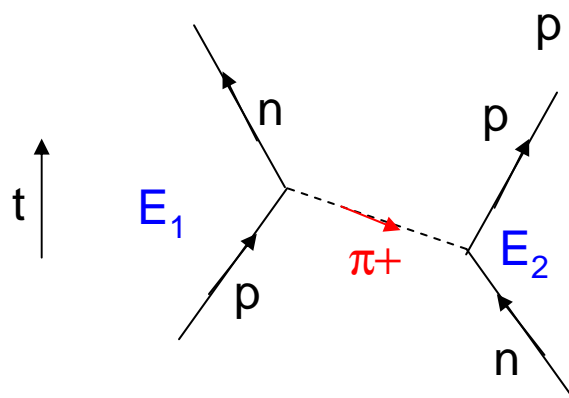


1- Antiparticles and relativity

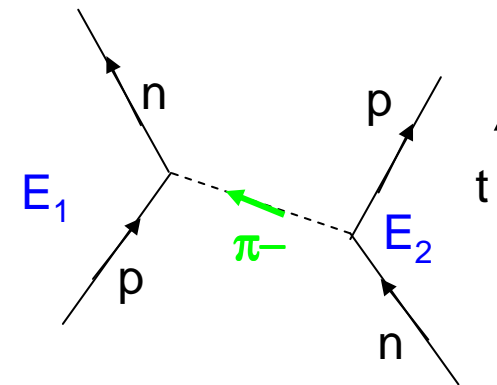
By reversing time order (E2 observed before E1) the π^+ should have been absorbed before emission (causality violation)



E1 before E2



E1 after E2



⇒ emission of π^+ antiparticle : π^-

2- Klein-Gordon equation

Introduction :

- Schrödinger equation describes the evolution of a non-relativistic wavefunction using the **canonical quantization** :

$$\vec{x} \rightarrow \bar{x}$$

$$\vec{p} \rightarrow -i\hbar\vec{\nabla}$$

$$E \rightarrow i\hbar\frac{\partial}{\partial t}$$

applied to the energy definition :

$$E = \frac{\vec{p}^2}{2m} + V(\vec{x})$$

$$\Rightarrow i\hbar\frac{\partial\psi}{\partial t}(\vec{x},t) = \left(\frac{-\hbar^2}{2m}\Delta + V \right) \psi(\vec{x},t)$$

2. Klein-Gordon equation

Introduction :

- Reminder : covariant formalism

$$x^\mu \equiv (x^0 = ct, \vec{x}) \text{ and } x_\mu \equiv (x^0 = ct, -\vec{x})$$

$$\partial_\mu \equiv \frac{\partial}{\partial x^\mu} = \left(\frac{\partial}{c\partial t}, \vec{\nabla} \right) \text{ and } \partial^\mu \equiv \frac{\partial}{\partial x_\mu} = \left(\frac{\partial}{c\partial t}, -\vec{\nabla} \right)$$

- 4-dimensional canonical quantization :

$$p^\mu \equiv (p^0 = E, \vec{p}) \rightarrow i\hbar\partial^\mu = \left(i\hbar\frac{\partial}{c\partial t}, -i\hbar\vec{\nabla} \right)$$

- How to derive a relativistic evolution equation? Following the same prescription than in the Schrödinger case but with the relativistic energy definition

$$E^2 = \vec{p}^2 c^2 + m^2 c^4$$

2-1 K-G equation derivation

Preliminary remark : why not starting from $E = \sqrt{\vec{p}^2 c^2 + m^2 c^4}$?

- Time-space asymmetry
- Difficult development of the square root
- But : only positive-energy solutions...

Derivation : canonical quantization applied

$$p^2 = p^\mu p_\mu = p_0^2 - \vec{p}^2 = m^2 c^2$$

⇓

$$-\hbar^2 \partial^\mu \partial_\mu \psi(x) = m^2 c^2 \psi(x) \text{ with } \partial^\mu \partial_\mu \equiv \square = \frac{\partial^2}{c^2 \partial t^2} - \Delta$$

Finally :

$$\left(\square + \frac{m^2 c^2}{\hbar^2} \right) \psi(x) = 0$$

2-1 K-G equation derivation

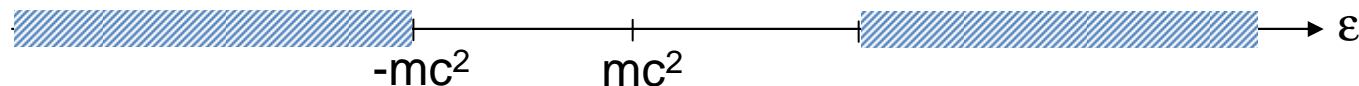
Remarks :

- The photon (boson) is solution of KG's propagation equation (with $m=0$)
- KG allows to describe all (anti-)particles within the same formalism
- Negative energy solutions? Consider a plane wave

$$\psi(x) = B e^{i(\vec{p}\cdot\vec{x}-\varepsilon t)/\hbar} = B e^{ip^\mu x_\mu/\hbar}$$

$$\left(\square + \frac{m^2 c^2}{\hbar^2} \right) \psi = 0 \Rightarrow \varepsilon^2 = \vec{p}^2 c^2 + m^2 c^4$$

$$\varepsilon = \pm E_p \text{ with } E_p = \sqrt{\vec{p}^2 c^2 + m^2 c^4}$$



2-2 Probabilistic interpretation

Reminder :

- In the non-relativistic case the probabilistic interpretation of wavefunctions reads (continuity equation) :

$$\frac{\partial \rho}{\partial t} + \vec{\nabla} \cdot \vec{J} = 0 \text{ where}$$

$$\begin{cases} \rho = \psi \psi^* \\ \vec{J} = \Re \left(\frac{-i\hbar}{m} \psi^* \vec{\nabla} \psi \right) = \frac{-i\hbar}{2m} (\psi^* \vec{\nabla} \psi - \psi \vec{\nabla} \psi^*) \end{cases}$$

with the integral condition : $\int d^3x |\psi(\vec{x}, t)|^2 = N = ct$

2-2 Probabilistic interpretation

In the relativistic case the same procedure can be followed :

$$\partial^\mu \partial_\mu \psi(x) + m^2 c^2 \psi(x) = 0$$

$$\Rightarrow \begin{cases} \psi^* \partial^\mu \partial_\mu \psi(x) + m^2 c^2 \psi^* \psi(x) = 0 \\ \psi \partial^\mu \partial_\mu \psi^*(x) + m^2 c^2 \psi \psi^*(x) = 0 \end{cases}$$

$$\Rightarrow \psi^* \partial^\mu \partial_\mu \psi - \psi \partial^\mu \partial_\mu \psi^* = 0$$

$$\Leftrightarrow \partial^\mu J_\mu = 0 \text{ with } J_\mu = \frac{i\hbar}{2m} (\psi^* \partial^\mu \psi - \psi \partial^\mu \psi^*)$$

with the integral charge conservation condition :

$$\int d^3x \rho(x) = N = ct \text{ where } \rho(x) = \frac{i\hbar}{2mc^2} \left(\psi^* \frac{\partial}{\partial t} \psi - \psi \frac{\partial}{\partial t} \psi^* \right)$$

and $\rho \leq$ or ≥ 0

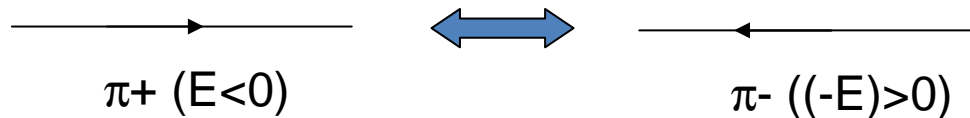
2-2 Probabilistic interpretation

Interpretation? The number of particles is not conserved (possible annihilations) but some charges may be conserved : multiplying ρ by the electric charge in the case of a plane wave for instance:

$$\psi_{\pm}(x) = B_{\pm} e^{i(\vec{p}\cdot\vec{x} \mp E_p t)/\hbar} \Rightarrow \rho_{\pm} = \pm e \frac{E_p}{mc^2} |B_{\pm}|^2$$

ρ_{\pm} represents the **charge density** which may be of both signs!

A negative energy particle represents an anti-particle moving in reverse time order!



2-3 Diffusion amplitude

Reminder : transition amplitude (covariant expression) from initial (i) to final (f) state on the action of a perturbation potential V .

$$T_{fi} = -i \int d^4x \psi_f^*(x) V(x) \psi_i(x)$$

For a charged particle moving in an (e.g. electromagnetic) potential A^μ : $p^\mu \rightarrow p^\mu + eA^\mu$ ie $i\hbar\partial^\mu \rightarrow i\hbar\partial^\mu + eA^\mu$

The KG equation reads therefore :

$$\left(\partial^\mu\partial_\mu + m^2\right)\psi(x) = -V\psi(x) \text{ where } V = -ie\left(\partial_\mu A^\mu + A^\mu\partial_\mu\right) + o(e^2)$$

2-3 Diffusion amplitude

Amplitude computation :

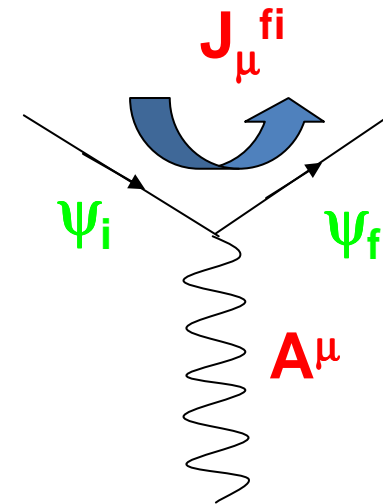
$$T_{fi} = -i \int d^4x \psi_f^*(x) V(x) \psi_i(x)$$

$$T_{fi} = -i \int d^4x \psi_f^*(x) \left(-ie (\partial_\mu A^\mu + A^\mu \partial_\mu) \right) \psi_i(x)$$

$$= -i \int d^4x (-ie) \left[\psi_f^* A^\mu \partial_\mu \psi_i - \partial_\mu \psi_f^* A^\mu \psi_i \right]$$

$$= -i \int d^4x A^\mu (-ie) \left[\psi_f^* \partial_\mu \psi_i - \partial_\mu \psi_f^* \psi_i \right]$$

$$= -i \int d^4x A_\mu J_{fi}^\mu$$

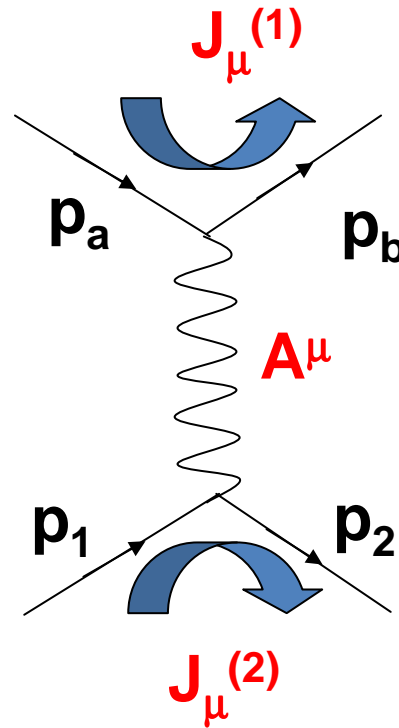


With A^μ linked to its source through $(\partial^\nu \partial_\nu) A^\mu(x) = J_{(2)}^\mu$
(see later)

2-3 Diffusion amplitude

Starting with Feynman diagrams :

$$T_{fi} = -i \int d^4x A_\mu J_{(1)}^\mu = -i \int d^4x J_{\mu(2)} \left(\frac{-1}{q^2} \right) J_{(1)}^\mu$$



3- Introduction to gauge theory

- Particle physics relies on quantum field theory which is commonly expressed in Lagrangian formalism.
- Reminder :
 - In classical mechanics the particle's motion is described by the Lagrange equations:

$$\frac{d}{dt} \left(\frac{\partial L}{\partial \dot{q}_i} \right) - \frac{\partial L}{\partial q_i} = 0$$

where q_i are the generalized coordinates of the particles and $\dot{q}_i = \frac{dq_i}{dt}$ their time derivatives.

- The Lagrangian of the system is defined as $L = T - V$ where T and V are the kinetic and potential energies.

3-1 Lagrangian formalism

- From discrete to continuous variables $\psi(\vec{x}, t)$:
 - the Lagrangian is replaced by a Lagrangian density

$$L(q_i, \dot{q}_i, t) \rightarrow \mathcal{L}(\psi, \partial_\mu \psi, x_\mu)$$

- the normalization of the Lagrangian density is such that :

$$L = \int d^3x \mathcal{L}$$

- the Euler-Lagrange equations read :

$$\partial_\mu \left(\frac{\partial \mathcal{L}}{\partial (\partial_\mu \psi)} \right) - \frac{\partial \mathcal{L}}{\partial \psi} = 0$$

- Starting from the Lagrangian density one defines an action :

$$S(\psi) = \int d^4x \mathcal{L}(\psi, \partial_\mu \psi, x_\mu)$$

3-1 Lagrangian formalism

- Noether's theorem : each invariance of the theory (Lagrangian density) implies the conservation of a charge and a current
- For instance the variation of the action $S' = S(\psi')$ expressed in terms of the transformed fields ψ' under a **local transformation** depending on the parameter $\alpha(x)$ reads :

$$\delta S = S' - S = \int d^4x \alpha(x) \partial_\mu J^\mu$$

- The least action principle leads to the continuity equation :

$$\partial_\mu J^\mu = 0$$

describing the conservation of the charge $Q = \int d^3x J^0$

3-1 Lagrangian formalism

- The physics of a given type of particle is described through a **Lagrangian density** involving quantum fields which can be seen as **creation/annihilation** operators of particles in the standard of 2nd quantization.
- For example the free movement of a spinless particle is described by the following Lagrangian density:

$$\mathcal{L}_{free} = \partial_{\mu}\psi^{\dagger}\partial^{\mu}\psi - m^2\psi^{\dagger}\psi$$

Applying the Euler-Lagrange equations $\partial_{\mu}\left(\frac{\partial\mathcal{L}}{\partial(\partial_{\mu}\psi^{\dagger})}\right) - \frac{\partial\mathcal{L}}{\partial\psi^{\dagger}} = 0$

we get the K-G equation : $\partial_{\mu}(\partial^{\mu}\psi) - (-m^2\psi) = 0$

3-2 Gauge invariance

- The invariance of the theory (Lagrangian) under a
 - space translation
 - time translation
 - space rotation

is associated with the conservation of \vec{p} , E , \vec{J}

- Those symmetries are “space-time” like. The theory can be also invariant under **internal symmetries**. For instance for an electron described by a field ψ the Lagrangian is invariant under the global phase transform :

$$\psi \rightarrow e^{i\alpha} \psi$$

The transforms $U(\alpha) = e^{i\alpha}$ constitute the Abelian group $U(1)$

3-2 Gauge invariance

- The conserved quantity in that case corresponds to the electrical charge.
- Starting from an infinitesimal transform $\psi \rightarrow (1+i\alpha)\psi$ one derives the real form of the conserved current...
- Physically the existence of a symmetry implies that a quantity is not observable (e.g. the invariance under a space translation means that it is not possible to fix an absolute position in space which can be therefore chosen arbitrarily).
- In the $U(1)$ case the quantity α is called a **global gauge**.

In the particle physics Standard Model the fundamental interactions are built on symmetry principles, those of the **local gauge** transforms.

3-2 Gauge invariance

Local gauge invariance of the free particles Lagrangian :

- under the local transform $\psi \rightarrow e^{i\alpha} \psi$ where the α parameter depends on x^μ the Lagrangian

$$\mathcal{L}_{free} = \partial_\mu \psi^\dagger \partial^\mu \psi - m^2 \psi^\dagger \psi$$

is not invariant :

$$\psi \rightarrow e^{i\alpha} \psi \Rightarrow \partial^\mu \psi \rightarrow (\partial^\mu + i(\partial^\mu \alpha))\psi$$

$$\psi^\dagger \rightarrow e^{-i\alpha} \psi^\dagger \Rightarrow \partial^\mu \psi^\dagger \rightarrow (\partial^\mu - i(\partial^\mu \alpha))\psi^\dagger$$

$$\psi^\dagger \psi \rightarrow \psi^\dagger \psi \quad \text{😊}$$

$$\begin{aligned} \partial_\mu \psi^\dagger \partial^\mu \psi &\rightarrow (\partial_\mu - i(\partial_\mu \alpha))\psi^\dagger (\partial^\mu + i(\partial^\mu \alpha))\psi \\ &= \partial_\mu \psi^\dagger \partial^\mu \psi - i(\partial^\mu \alpha)\psi^\dagger \partial_\mu \psi + \psi^\dagger i(\partial^\mu \alpha)\psi \dots \quad \text{😞} \end{aligned}$$

3-2 Gauge invariance

Local gauge invariance of the free particles Lagrangian :

- To force the invariance one introduces a **covariant derivative** :

$$D^\mu \psi = (\partial^\mu - ieA^\mu) \psi$$

where A^μ is the **gauge field** which should transform as :

$$A^\mu \rightarrow A^\mu + \frac{1}{e} \partial^\mu \alpha$$

in order to balance the transform of the derivative terms

$$D^\mu \psi \rightarrow \left(\cancel{\partial^\mu} + i \cancel{(\partial^\mu \alpha)} - ieA^\mu - ie \left(\frac{1}{e} \cancel{\partial^\mu \alpha} \right) \right) \psi$$

$$D^\mu \psi^\dagger \rightarrow \left(\cancel{\partial^\mu} - i \cancel{(\partial^\mu \alpha)} + ieA^\mu + ie \left(\frac{1}{e} \cancel{\partial^\mu \alpha} \right) \right) \psi^\dagger$$

3-2 Gauge invariance

Local gauge invariance of the free particles Lagrangian :

- The Lagrangian is modified into :

$$\begin{aligned}\mathcal{L}_{\text{int}} &= D_{\mu}\psi^{\dagger}D^{\mu}\psi - m^2\psi^{\dagger}\psi \\ &= \partial_{\mu}\psi^{\dagger}\partial^{\mu}\psi - m^2\psi^{\dagger}\psi \\ &\quad +ie\left[A_{\mu}\psi^{\dagger}\partial^{\mu}\psi - \partial_{\mu}\psi^{\dagger}A^{\mu}\psi\right] \\ &\quad +e^2A_{\mu}\psi^{\dagger}A^{\mu}\psi\end{aligned}$$

- Forcing the $U(1)$ invariance introduces a new vector field, the **gauge field**, which couples to the particles through 2 different types of vertices. Generic coupling term: $-J_{\mu}A^{\mu}$
- This gauge field is associated to the **photon**, responsible for the electromagnetic interaction.

3-3 U(1) gauge field

To really associate the gauge field of the U(1) symmetry to the photon it is mandatory to include the dynamics of the photon itself:

- Propagation equation in vacuum : $\square A^\mu = 0$
- Photon interaction with its sources (Maxwell equations) :

$$\partial_\mu F^{\mu\nu} = J^\nu$$

with the field tensor : $F^{\mu\nu} = \partial^\mu A^\nu - \partial^\nu A^\mu$

- Reminder : classical fields

$$A^\mu = (V, \vec{A})$$

$$F_{0i} = \partial_0 A_i - \partial_i A_0 = -\frac{\partial(\vec{A})_i}{\partial t} - (\vec{\nabla})_i V = (\vec{E})_i$$

$$F_{ij} = \partial_i A_j - \partial_j A_i = \vec{\nabla}_i \vec{A}_j - \vec{\nabla}_j \vec{A}_i = \varepsilon_{ijk} (\vec{\nabla} \times \vec{A})_k = \varepsilon_{ijk} \vec{B}_k$$

3-3 U(1) gauge field

- Propagation equations of the interacting field :

$$\partial_{\mu} F^{\mu\nu} = J^{\nu}$$

⇓

$$\partial_{\mu} (\partial^{\mu} A^{\nu} - \partial^{\nu} A^{\mu}) = J^{\nu}$$

$$\square A^{\nu} - \underbrace{\partial^{\nu} (\partial_{\mu} A^{\mu})}_{=0 \text{ in Lorentz gauge}} = J^{\nu} \Rightarrow \boxed{\square A^{\nu} = J^{\nu}}$$

- Dynamic term for the photon

$$\mathcal{L}_{free} = -\frac{1}{4} F_{\mu\nu} F^{\mu\nu} \quad \left| \quad \partial_{\mu} \left(\frac{\partial \mathcal{L}}{\partial (\partial_{\mu} A_{\nu})} \right) - \frac{\partial \mathcal{L}}{\partial A_{\nu}} = 0 \right.$$

- No mass term (!) : $m^2 A_{\mu} A^{\mu}$ not invariant under $U(1)$ transform

3-3 U(1) gauge field

Summary :

- Particle physics is described by **local gauge theories**
- Each invariance is associated with **gauge field(s)**
- Gauge fields **couple** to the particles
- For spinless particles the Q.E.D. **Lagrangian density** reads :

$$\begin{aligned}\mathcal{L}_{spin-0} &= \partial_{\mu}\psi^{\dagger}\partial^{\mu}\psi - m^2\psi^{\dagger}\psi \\ &+ ie\left[A_{\mu}\psi^{\dagger}\partial^{\mu}\psi - \partial_{\mu}\psi^{\dagger}A^{\mu}\psi\right] + e^2A_{\mu}\psi^{\dagger}A^{\mu}\psi \\ &- \frac{1}{4}F_{\mu\nu}F^{\mu\nu}\end{aligned}$$

- What about ½-spin particles description?

4- The Dirac equation

Introduction (non-relativistic case) : the Pauli equation

- Preliminary remark on Pauli matrices :

$$\sigma_1 = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \quad \sigma_2 = \begin{pmatrix} 0 & -i \\ i & 0 \end{pmatrix} \quad \sigma_3 = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}$$

if \vec{O}_1 and \vec{O}_2 are operators commuting with the Pauli matrices then

$$(\vec{\sigma} \cdot \vec{O}_1)(\vec{\sigma} \cdot \vec{O}_2) = \vec{O}_1 \cdot \vec{O}_2 + i\vec{\sigma} \cdot (\vec{O}_1 \times \vec{O}_2)$$

- Applying the previous relation to \vec{P} leads to :

$$(\vec{\sigma} \cdot \vec{P})(\vec{\sigma} \cdot \vec{P}) = (\vec{\sigma} \cdot \vec{P})^2 = \vec{P}^2 \Rightarrow H = \frac{(\vec{\sigma} \cdot \vec{P})^2}{2m}$$

4-1 The non-relativistic case

- To describe the particle's motion in an E.M. field the covariant derivative prescription leads to :

$$p^\mu \rightarrow p^\mu + eA^\mu \text{ i.e. } \begin{cases} i\hbar\partial_t \rightarrow i\hbar\partial_t + eA^0 \\ \vec{p} \rightarrow \vec{p} + e\vec{A} \end{cases}$$

- The Schrödinger equation

$$i\hbar\frac{\partial\psi}{\partial t}(\vec{x},t) = \frac{\vec{P}^2}{2m}\psi(\vec{x},t)$$

can be rewritten as

$$i\hbar\frac{\partial\psi}{\partial t}(\vec{x},t) = \frac{\left(\vec{\sigma}\cdot(\vec{P} + e\vec{A})\right)^2}{2m}\psi(\vec{x},t) - eA^0\psi(\vec{x},t)$$

4-1 The non-relativistic case

- Using the Pauli matrices relation :

$$\left(\vec{\sigma} \cdot (\vec{P} + e\vec{A})\right)^2 = (\vec{P} + e\vec{A})^2 + i\vec{\sigma} \cdot \left((\vec{P} + e\vec{A}) \times (\vec{P} + e\vec{A}) \right)$$

and $\left((\vec{P} + e\vec{A}) \times (\vec{P} + e\vec{A}) \right)_i = e \left(\vec{P} \times \vec{A} + \vec{A} \times \vec{P} \right)_i$

$$= e \varepsilon_{ijk} \left(\vec{P}_j \vec{A}_k + \vec{A}_j \vec{P}_k \right)$$

$$\begin{aligned} \Rightarrow -e i\hbar \varepsilon_{ijk} \left(\vec{\partial}_j \vec{A}_k + \vec{A}_j \vec{\partial}_k \right) &= -e i\hbar \varepsilon_{ijk} \left(\vec{\partial}_j \vec{A}_k + \underbrace{\vec{A}_k \vec{\partial}_j + \vec{A}_j \vec{\partial}_k}_{=0} \right) \\ &= -e i\hbar \varepsilon_{ijk} \left(\vec{\partial}_j \vec{A}_k \right) \\ &= -e i\hbar \left(\vec{\nabla} \times \vec{A} \right)_i \\ &= e i\hbar \vec{B}_i \end{aligned}$$

4-1 The non-relativistic case

- Finally the Pauli equation reads

$$i\hbar \frac{\partial \psi}{\partial t}(\vec{x}, t) = \frac{(\vec{P} + e\vec{A})^2}{2m} \psi(\vec{x}, t) - \frac{e\hbar}{2m} (\vec{\sigma} \cdot \vec{B}) \psi(\vec{x}, t) - eA^0 \psi(\vec{x}, t)$$

where the wavefunction is a 2D object.

- The action of the **spin operator** is explicit.
- N.B. developing $\vec{P} + e\vec{A}$ leads to $\vec{L} \cdot \vec{B}$. One gets the complete equation through the substitution $\vec{L} \rightarrow \vec{L} + 2\vec{S}$ with $\vec{S} = \frac{\hbar}{2} \vec{\sigma}$

4-2 The Dirac equation

- Generalization to the relativistic case : the starting point is always

$$E^2 = \vec{p}^2 c^2 + m^2 c^4$$

which is the only covariant form for the canonical quantization :

$$\left[(i\hbar\partial_t)^2 - (\vec{\sigma}\cdot\vec{P})^2 \right] \psi(\vec{x}, t) = m^2 \psi(\vec{x}, t)$$

$$\left[i\hbar\partial_t + i\hbar\vec{\sigma}\cdot\vec{\nabla} \right] \left[i\hbar\partial_t - i\hbar\vec{\sigma}\cdot\vec{\nabla} \right] \psi = m^2 \psi$$

- Let's take auxiliary variables :

$$\psi^{(1)} = \psi$$

$$\psi^{(2)} = \frac{1}{m} \left[i\hbar\partial_t - i\hbar\vec{\sigma}\cdot\vec{\nabla} \right] \psi$$

4-2 The Dirac equation

- The following system

$$\begin{cases} \left[i\hbar\partial_t - i\hbar\vec{\sigma}\cdot\vec{\nabla} \right] \psi^{(1)} = m\psi^{(2)} \\ \left[i\hbar\partial_t + i\hbar\vec{\sigma}\cdot\vec{\nabla} \right] \psi^{(2)} = m\psi^{(1)} \end{cases}$$

is equivalent to

$$\begin{cases} i\hbar\partial_t\varphi - i\hbar\vec{\sigma}\cdot\vec{\nabla}\chi = m\varphi \\ -i\hbar\partial_t\chi - i\hbar\vec{\sigma}\cdot\vec{\nabla}\varphi = m\chi \end{cases} \text{ with } \begin{cases} \varphi = \psi^{(2)} + \psi^{(1)} \\ \chi = \psi^{(2)} - \psi^{(1)} \end{cases}$$

- In a matrix form this equation reads :

$$\begin{pmatrix} i\hbar\partial_t & i\hbar\vec{\sigma}\cdot\vec{\nabla} \\ -i\hbar\vec{\sigma}\cdot\vec{\nabla} & -i\hbar\partial_t \end{pmatrix} \begin{pmatrix} \varphi \\ \chi \end{pmatrix} = m \begin{pmatrix} \varphi \\ \chi \end{pmatrix}$$

4-2 The Dirac equation

- Gamma matrices definition :

$$\gamma^0 = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix} = \gamma_0 \quad \text{and} \quad \vec{\gamma}^i = \begin{pmatrix} 0 & \sigma^i \\ -\sigma^i & 0 \end{pmatrix} = -\vec{\gamma}_i$$

- Basic properties :

$$\{\gamma^\mu, \gamma^\nu\} = \gamma^\mu \gamma^\nu + \gamma^\nu \gamma^\mu = 2g^{\mu\nu}$$

$$(\gamma^0)^2 = 1 \quad \text{and} \quad (\gamma^i)^2 = -1$$

$$\gamma^{\mu\dagger} = \gamma^0 \gamma^\mu \gamma^0$$

- “Slash” notation : $\not{a} = a_\mu \gamma^\mu$

4-2 The Dirac equation

- Reminder (Pauli matrices properties) :
 - $\{\sigma_i, \sigma_j\} = 2\delta_{ij}$ $[\sigma_i, \sigma_j] = 2i\epsilon_{ijk}\sigma_k$
 - $\sigma_i\sigma_j = \delta_{ij} + i\epsilon_{ijk}\sigma_k$
 - $(\vec{\sigma}\cdot\vec{O}_1)(\vec{\sigma}\cdot\vec{O}_2) = \vec{O}_1\cdot\vec{O}_2 + i\vec{\sigma}\cdot(\vec{O}_1\times\vec{O}_2)$
 - For \vec{u} unit vector $\frac{1}{2}(1\pm\vec{\sigma}\cdot\vec{u})\chi$ eigenfunction of $\vec{\sigma}\cdot\vec{u}$ with eigenvalue $\pm 1 \forall \chi$.
 - $\exp\left(-i\frac{\theta}{2}\sigma_k\right) = \cos\left(\frac{\theta}{2}\right) - i\sigma_k \sin\left(\frac{\theta}{2}\right)$

4-2 The Dirac equation

- Defining a 4D solution to the equation :

$$\psi \equiv \begin{pmatrix} \varphi \\ \chi \end{pmatrix} = \begin{pmatrix} \psi_1 \\ \psi_2 \\ \psi_3 \\ \psi_4 \end{pmatrix}$$

the previous matrix equation writes :

$$\begin{pmatrix} i\hbar\partial_t & i\hbar\vec{\sigma}\cdot\vec{\nabla} \\ -i\hbar\vec{\sigma}\cdot\vec{\nabla} & -i\hbar\partial_t \end{pmatrix} \begin{pmatrix} \varphi \\ \chi \end{pmatrix} = m \begin{pmatrix} \varphi \\ \chi \end{pmatrix}$$



$$i\hbar(\gamma^0\partial_0 + \gamma^i\partial_i)\psi = m\psi \text{ i.e.}$$

$$(i\hbar\gamma^\mu\partial_\mu - m)\psi = 0 \quad \text{Dirac Equation}$$

- In details :

$$\sum_{\mu=0,1,2,3} \sum_{b=1,2,3,4} (i\hbar(\gamma^\mu)_{ab} \partial_\mu - m\delta_{ab})\psi_b = 0$$

4-2 The Dirac equation

Adjoint representation.

- As usual it is obtained through the “conjugate” equation :

$$(i\hbar\gamma^\mu\partial_\mu - m)\psi = 0 \Rightarrow \psi^\dagger (i\hbar\gamma^{\mu\dagger}\bar{\partial}_\mu + m) = 0$$

- Using the gamma matrices property : $\gamma^{\mu\dagger} = \gamma^0\gamma^\mu\gamma^0$ one gets

$$\psi^\dagger (i\hbar\gamma^0\gamma^\mu\gamma^0\bar{\partial}_\mu + m\gamma^0\gamma^0) = 0$$

$$\psi^\dagger\gamma^0 (i\hbar\gamma^\mu\gamma^0\bar{\partial}_\mu + m\gamma^0) = 0 \quad \leftarrow (\times\gamma^0)$$

$$\bar{\psi} (i\hbar\gamma^\mu\bar{\partial}_\mu + m) = 0 \quad \text{where } \boxed{\bar{\psi} = \psi^\dagger\gamma^0}$$

4-2 The Dirac equation

Adjoint representation.

- $\bar{\psi} = \psi^\dagger \gamma^0$ is the adjoint spinor
- The conjugate equations read therefore :

$$(i\hbar\gamma^\mu\partial_\mu - m)\psi = 0$$

and

$$\bar{\psi}(i\hbar\gamma^\mu\bar{\partial}_\mu + m) = 0$$

- Reminder : spinless case (K.G.)

$$\partial^\mu\partial_\mu\psi + m^2\psi = 0$$

and

$$\partial^\mu\partial_\mu\psi^* + m^2\psi^* = 0$$

4-2 The Dirac equation

Quadri-current.

- Formal derivation possibilities :
 - directly from the fundamental and adjoint representations or
 - from the Lagrangian expression \oplus gauge invariance (looking for the current coupling to the gauge field)
- Question : is the Born probabilistic interpretation possible in the Dirac case (i.e. is the charge density positive to be interpreted as a probability density?).
- Reminder : not the case in the spinless case where negative energy solutions and negative charge density should have been re-interpreted. $\psi(x) = Ne^{i(\vec{p}\cdot\vec{x}-Et)/\hbar} \Rightarrow \rho = 2|N|^2 \times \underbrace{E}_{>0 \text{ or } 0<}$

4-2 The Dirac equation

Quadri-current.

- Direct derivation :

$$\left. \begin{aligned} (i\hbar\gamma^\mu\partial_\mu - m)\psi &= 0 \\ \bar{\psi}(i\hbar\gamma^\mu\tilde{\partial}_\mu + m) &= 0 \end{aligned} \right\} \oplus$$

$$\bar{\psi}\gamma^\mu(\tilde{\partial}_\mu + \partial_\mu)\psi = 0 \Leftrightarrow \partial_\mu(\bar{\psi}\gamma^\mu\psi) = 0$$

- Conserved current : $J^\mu \equiv c(\bar{\psi}\gamma^\mu\psi)$

- Conserved charge density : $\rho \equiv J^0/c = \bar{\psi}\gamma^0\psi = \psi^\dagger \underbrace{\gamma^0\gamma^0}_{=1}\psi$

$$\Rightarrow \rho = \psi^\dagger\psi = \sum_{a=1,2,3,4} \psi_a^*\psi_a > 0$$

4-2 The Dirac equation

Quadri-current (derived from gauge invariance).

- Lagrangian of free particles : $\mathcal{L}_{free} = \bar{\psi} (i\gamma^\mu \partial_\mu - m) \psi$

- $U(1)$ invariance \rightarrow use of covariant derivatives :

$$\begin{aligned}\mathcal{L}_{int.} &= \bar{\psi} (i\gamma^\mu D_\mu - m) \psi \\ &= \bar{\psi} (i\gamma^\mu (\partial_\mu + ieA_\mu) - m) \psi \\ &= \bar{\psi} (i\gamma^\mu \partial_\mu - m) \psi \\ &\quad - e \underbrace{\bar{\psi} \gamma^\mu \psi}_{\propto J^\mu} A_\mu\end{aligned}$$

where the interaction term appears on the form $-J_\mu A^\mu$
as for spinless particles.

4-3 Dirac spinors

Free particle solutions.

- By analogy with the non-relativistic case we may write a general spin-½ wavefunction in terms of factorized solutions :

$$\psi = u \times (\text{plane wave}) = u \times \exp(-ip^\mu x_\mu) = u \times \exp(-ipx) = u(p) e^{[i(\vec{p} \cdot \vec{x} - Et)]}$$

where u is a 4-components **spinor**.

- The explicit expression of the spinor is more easily deduced from the Hamiltonian formalism of the Dirac equation.
- The wavefunction is split into two 2-components spinors

$$\psi \equiv \begin{pmatrix} \varphi \\ \chi \end{pmatrix} \text{ where } \begin{cases} i\hbar\partial_t\varphi - i\hbar\vec{\sigma}\cdot\vec{\nabla}\chi = m\varphi \\ -i\hbar\partial_t\chi - i\hbar\vec{\sigma}\cdot\vec{\nabla}\varphi = m\chi \end{cases}$$

4-3 Dirac spinors

- The equations system may be written in terms of gamma matrices or equivalently :

$$\begin{cases} i\hbar\partial_t\varphi - i\hbar\vec{\sigma}\cdot\vec{\nabla}\chi = m\varphi \\ -i\hbar\partial_t\chi - i\hbar\vec{\sigma}\cdot\vec{\nabla}\varphi = m\chi \end{cases}$$

$$\Rightarrow i\hbar\partial_t\psi = \underbrace{\left(-i\hbar(\vec{\alpha}\cdot\vec{\nabla}) + \beta m\right)}_{H_D}\psi$$

$$\text{where } \alpha_i = \begin{pmatrix} 0 & \sigma_i \\ \sigma_i & 0 \end{pmatrix} \text{ and } \beta = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}$$

- The eigenfunctions are solutions of :

$$H_D u = (\vec{\alpha}\cdot\vec{p} + \beta m)u = Eu$$

4-3 Dirac spinors

- Assuming the spinor u into two 2-components spinors u_A and u_B

$$u \equiv \begin{pmatrix} u_A \\ u_B \end{pmatrix}$$

$$\Rightarrow H_D u = (\vec{\alpha} \cdot \vec{p} + \beta m) u = \begin{pmatrix} m \times 1 & \vec{\sigma} \cdot \vec{p} \\ \vec{\sigma} \cdot \vec{p} & -m \times 1 \end{pmatrix} \begin{pmatrix} u_A \\ u_B \end{pmatrix} = E \begin{pmatrix} u_A \\ u_B \end{pmatrix}$$

$$\Rightarrow \begin{cases} (\vec{\sigma} \cdot \vec{p}) u_B = (E - m) u_A \\ (\vec{\sigma} \cdot \vec{p}) u_A = (E + m) u_B \end{cases}$$

- The system leads to :
 - a generic form for u : $u = \begin{pmatrix} u_A \\ \frac{\vec{\sigma} \cdot \vec{p}}{E + m} u_A \end{pmatrix}$

- a relation between E and p :

$$(\vec{\sigma} \cdot \vec{p})(\vec{\sigma} \cdot \vec{p}) u_A = \vec{p}^2 u_A = (E - m)(E + m) u_A \Rightarrow E = \pm E_p$$

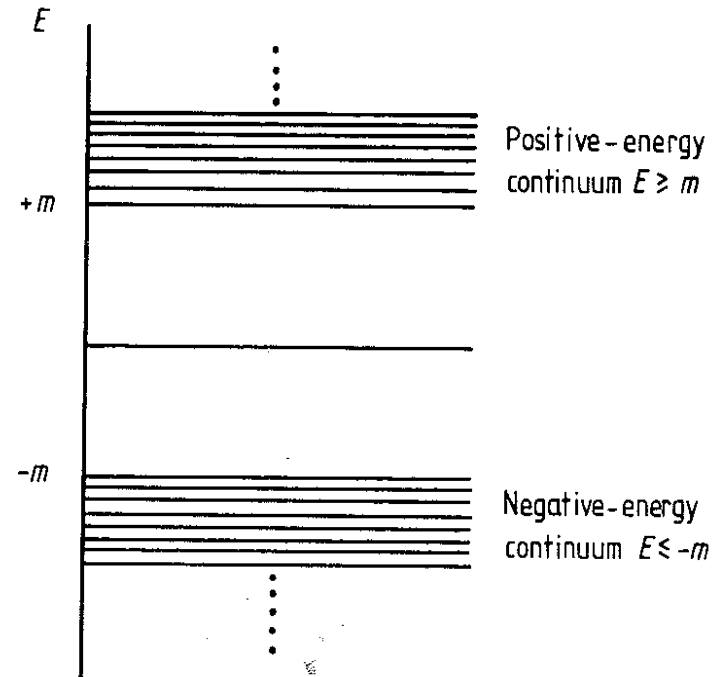
4-3 Dirac spinors

Summary.

- Klein-Gordon equation \rightarrow $\left\{ \begin{array}{l} \text{negative probabilities} \\ \text{negative energies} \end{array} \right.$
- Dirac equation \rightarrow $\left\{ \begin{array}{l} \text{positive (only) probabilities} \\ \text{negative energies} \end{array} \right.$
- Dirac's historical interpretation : the 'vacuum' state consists of all negative-energy states filled with electrons. The Pauli principle forbids any positive-energy electron from falling into these lower energy states.

4-3 Dirac spinors

- The 'vacuum' (so-called Dirac sea) has now infinite negative charge and energy but all observations represent finite fluctuations w.r.t. the vacuum.



- A 'hole' in the Dirac sea, i.e. the absence of a negative-energy electron is equivalent to the presence of a positive-energy positively charged version of the electron, namely a positron.

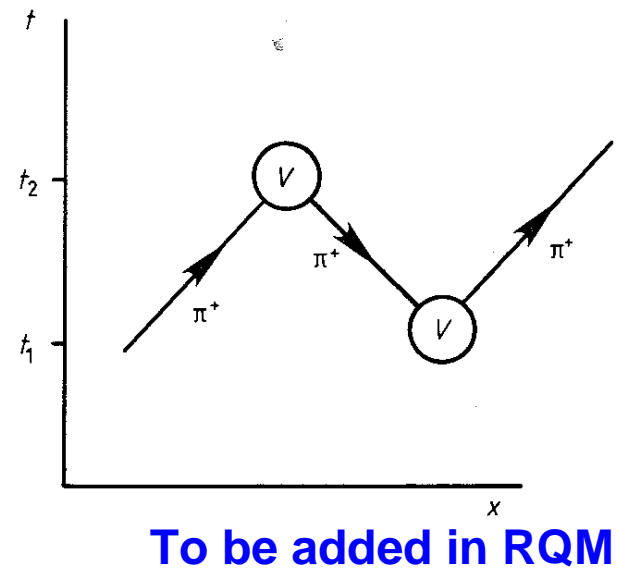
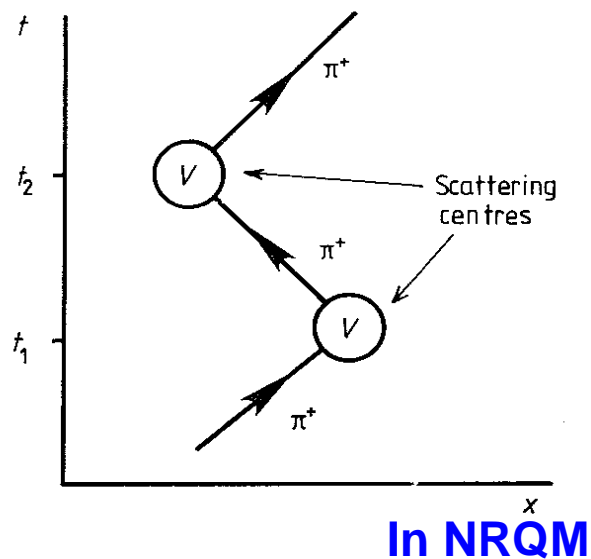
$$\text{energy of 'hole'} = -(E_{neg}) \rightarrow \text{positive energy}$$

$$\text{charge of 'hole'} = -(q_e) \rightarrow \text{positive charge}$$

4-3 Dirac spinors

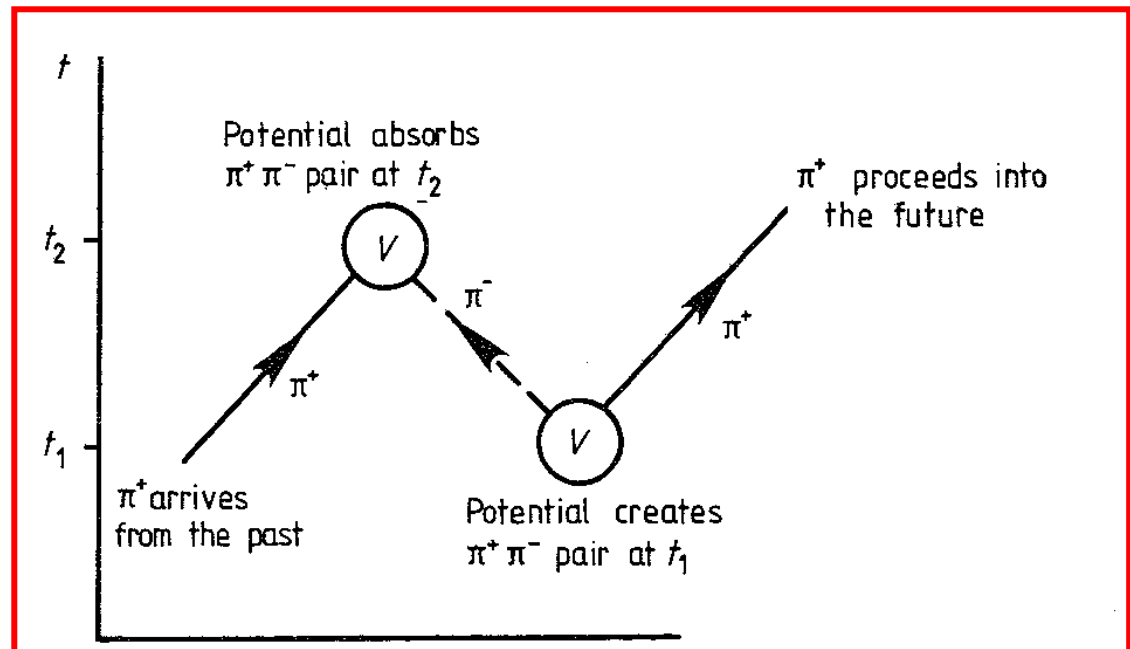
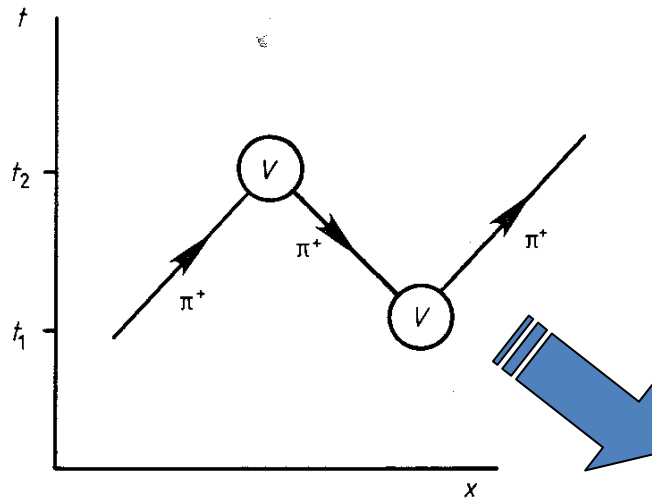
- What about solutions to the Klein-Gordon equation (bosons not affected by Pauli principle)?
- Interpretation through Feynman's prescription (1962) :

negative-energy particle solutions propagating backward in time \equiv
positive-energy antiparticle solutions propagating forward in time



4-3 Dirac spinors

- Consequence of the Feynman prescription :



4-3 Dirac spinors

Summary.

- Positive-energy solutions :

$$\psi^{(+)(s=1,2)}(x) \equiv u^{(s=1,2)}(p) e^{-ipx} \quad u^{(s)}(p) \propto \begin{pmatrix} \varphi^{(s)} \\ \frac{\vec{\sigma} \cdot \vec{p}}{E+m} \varphi^{(s)} \end{pmatrix}$$

- Negative-energy solutions :

$$\psi^{(-)(s=1,2)}(x) \equiv v^{(s=1,2)}(p) e^{+ipx} \quad v^{(s)}(p) \propto \begin{pmatrix} \frac{\vec{\sigma} \cdot \vec{p}}{E+m} \chi^{(s)} \\ \chi^{(s)} \end{pmatrix}$$

with the spin-up/down 2D spinors $\varphi, \chi^{(s=1)} = \begin{pmatrix} 1 \\ 0 \end{pmatrix}$ and $\varphi, \chi^{(s=2)} = \begin{pmatrix} 0 \\ 1 \end{pmatrix}$

- Warning on spin direction : negative-energy solution with spin- $\uparrow =$ positive-energy solution with spin- \downarrow

4-3 Dirac spinors

- Dirac equation in p -space :

$$\begin{aligned}(\gamma^\mu p_\mu - m)u(p) &= 0 \\ (\gamma^\mu p_\mu + m)v(p) &= 0\end{aligned}$$

- Adjoint spinors (same procedure as in x -space) :

$$\begin{aligned}\bar{u}(p)(\gamma^\mu p_\mu - m) &= 0 \\ \bar{v}(p)(\gamma^\mu p_\mu + m) &= 0\end{aligned}$$

- Ortho-normalization relations :

$$\begin{aligned}\bar{u}^{(s)}(p)u^{(s')}(p) &= \delta_{ss'}, & \bar{v}^{(s)}(p)v^{(s')}(p) &= -\delta_{ss'}, \\ \bar{u}^{(s)}(p)v^{(s')}(p) &= 0, & \bar{v}^{(s)}(p)u^{(s')}(p) &= 0\end{aligned}$$

4-4 Spin and Energy projectors

Some useful relations :

$$\sum_{s=1,2} u^{(s)}(p) \bar{u}^{(s)}(p) = (\not{p} + m)$$
$$\sum_{s=1,2} v^{(s)}(p) \bar{v}^{(s)}(p) = (\not{p} - m)$$

- 'Energy' projectors :

$$\Lambda_+ = \frac{(\not{p} + m)}{2m} \text{ such as } \Lambda_+ u = u \text{ and } \Lambda_+ v = 0$$

$$\Lambda_- = \frac{(-\not{p} + m)}{2m} \text{ such as } \Lambda_- v = v \text{ and } \Lambda_- u = 0$$

$$\Lambda_{\pm}^2 = \Lambda_{\pm} \text{ and } \Lambda_+ + \Lambda_- = 1$$

4-4 Spin and Energy projectors

- Spin projectors. The projection is done along the propagation direction of the particle (**helicity** operator) chosen as the 3rd axis :

$$\vec{p} = p_z \vec{e}_z \Rightarrow \frac{\vec{S} \cdot \vec{p}}{|\vec{p}|} = S_z = \frac{\hbar}{2} \begin{pmatrix} \sigma_3 & 0 \\ 0 & \sigma_3 \end{pmatrix} = \frac{\hbar}{2} \begin{pmatrix} 1 & & & \\ & -1 & & \\ & & 1 & \\ & & & -1 \end{pmatrix}$$

- $s=1$

$$u^{(s=1)}(p) = N \begin{pmatrix} \begin{pmatrix} 1 \\ 0 \end{pmatrix} \\ \frac{\vec{\sigma} \cdot \vec{p}}{E+m} \begin{pmatrix} 1 \\ 0 \end{pmatrix} \end{pmatrix} = N \begin{pmatrix} \begin{pmatrix} 1 \\ 0 \end{pmatrix} \\ \frac{|\vec{p}|}{E+m} \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix} \begin{pmatrix} 1 \\ 0 \end{pmatrix} \end{pmatrix} = N \begin{pmatrix} \begin{pmatrix} 1 \\ 0 \end{pmatrix} \\ \frac{|\vec{p}|}{E+m} \begin{pmatrix} 1 \\ 0 \end{pmatrix} \end{pmatrix}$$

$$v^{(s=1)}(p) = N \begin{pmatrix} \frac{\vec{\sigma} \cdot \vec{p}}{E+m} \begin{pmatrix} 1 \\ 0 \end{pmatrix} \\ \begin{pmatrix} 1 \\ 0 \end{pmatrix} \end{pmatrix} = N \begin{pmatrix} \frac{|\vec{p}|}{E+m} \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix} \begin{pmatrix} 1 \\ 0 \end{pmatrix} \\ \begin{pmatrix} 1 \\ 0 \end{pmatrix} \end{pmatrix} = N \begin{pmatrix} \frac{|\vec{p}|}{E+m} \begin{pmatrix} 1 \\ 0 \end{pmatrix} \\ \begin{pmatrix} 1 \\ 0 \end{pmatrix} \end{pmatrix}$$

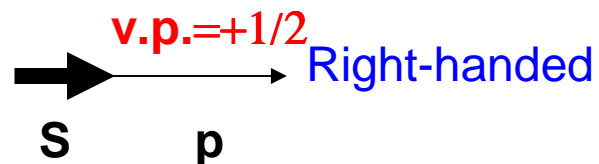
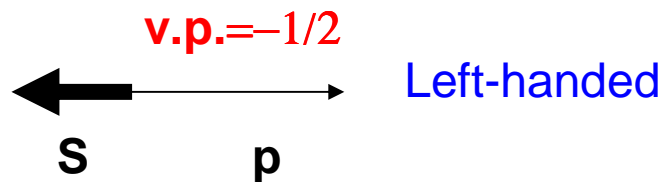
4-4 Spin and Energy projectors

- $s=2$

$$u^{(s=2)}(p) = N \begin{pmatrix} \begin{pmatrix} 0 \\ 1 \end{pmatrix} \\ \frac{-|\vec{p}|}{E+m} \begin{pmatrix} 0 \\ 1 \end{pmatrix} \end{pmatrix} \text{ and } v^{(s=2)}(p) = \begin{pmatrix} \frac{-|\vec{p}|}{E+m} \begin{pmatrix} 0 \\ 1 \end{pmatrix} \\ \begin{pmatrix} 0 \\ 1 \end{pmatrix} \end{pmatrix}$$

- The spinors are eigenstates of S_z with eigenvalues $\pm\frac{1}{2}$

$$S_z u^{(s)}(p) = \pm \frac{\hbar}{2} u^{(s)}(p) \text{ for } s = \begin{cases} 1 \\ 2 \end{cases}$$



4-4 Spin and Energy projectors

- Case of massless fermions :

$$H_D u = (\vec{\alpha} \cdot \vec{p}) u = \begin{pmatrix} 0 & \vec{\sigma} \cdot \vec{p} \\ \vec{\sigma} \cdot \vec{p} & 0 \end{pmatrix} \begin{pmatrix} u_A \\ u_B \end{pmatrix} = E \begin{pmatrix} u_A \\ u_B \end{pmatrix} \Rightarrow \begin{cases} (\vec{\sigma} \cdot \vec{p}) u_B = E u_A \\ (\vec{\sigma} \cdot \vec{p}) u_A = E u_B \end{cases}$$

one has two solutions : $u_B = u_A$ or $u_B = -u_A$

- Dirac equation decouples into two equations for 2D spinors :

$$\begin{cases} (\vec{\sigma} \cdot \vec{p}) \omega = -E \omega & (1) \\ (\vec{\sigma} \cdot \vec{p}) \eta = +E \eta & (2) \end{cases} \text{ with } E = \pm |\vec{p}|$$

- positive-energy solution for (1) $\Rightarrow (\vec{\sigma} \cdot \hat{p}) \omega = -\omega$

describes a neutrino of energy E and negative helicity \Rightarrow left ν

- negative-energy solution for (1) $\Rightarrow (\vec{\sigma} \cdot \hat{p}) \omega = +\omega$

describes an antineutrino of energy E and positive helicity

\Rightarrow right $\bar{\nu}$

4-4 Spin and Energy projectors

Helicity projector :

- Case of massless fermions (II) :

$$(1) \Rightarrow \begin{cases} \nu_L \\ \bar{\nu}_R \end{cases} \text{ and } (2) \Rightarrow \begin{cases} \nu_R \\ \bar{\nu}_L \end{cases}$$

- Defining the matrix :

$$\gamma_5 = i\gamma_0\gamma_1\gamma_2\gamma_3 = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \Rightarrow \begin{cases} \{\gamma_5, \gamma^\mu\} = 0 \\ \gamma_5^2 = 1 \end{cases}$$

one uses the following projectors onto L or R states to generate the electron-neutrino coupling term (V-A theory of weak interactions) :

$$J^\mu = \bar{\psi}_e \gamma^\mu \frac{1}{2}(1 - \gamma_5) \psi_{\nu_e}$$

4-5 Charge conjugation operator

A ½-spin particle in an E.M. field follows the usual Dirac equation :

$$\left[\gamma^\mu (i\partial_\mu - eA_\mu) - m \right] \psi = 0$$

What is the analog for an anti-particle described by a C-conjugate spinor?

$$\left[\gamma^\mu (i\partial_\mu + eA_\mu) - m \right] \psi_C = 0$$

Following basic developments : $\left[\gamma^\mu (i\partial_\mu - eA_\mu) - m \right] \psi = 0$

$$\Rightarrow \left[\gamma^{\mu*} (-i\partial_\mu - eA_\mu) - m \right] \psi^* = 0$$

$$\Rightarrow \left[-\gamma^{\mu*} (i\partial_\mu + eA_\mu) - m \right] \psi^* = 0$$

Defining C such that : $-(C\gamma^0)\gamma^{\mu*} = \gamma^\mu(C\gamma^0)$ one gets

$$\left[\gamma^\mu (i\partial_\mu + eA_\mu) - m \right] (C\gamma^0\psi^*) = 0 \text{ i.e. } \boxed{\psi_C = C\gamma^0\psi^*}$$

4-5 Charge conjugation operator

In Dirac representation the C-conjugation operator is given by :

$$\psi_c = C\gamma^0\psi^* \Rightarrow C = i\gamma^2\gamma^0\hat{K} = C^{-1}$$

Application :

$$\begin{aligned} (\psi^{(+)(s)})_c &= i\gamma^2 \left(u^{(s)}(p) e^{[-ipx]} \right)^* = i \begin{pmatrix} 0 & \sigma_2 \\ -\sigma_2 & 0 \end{pmatrix} \begin{pmatrix} \chi^{(s)} \\ \frac{\vec{\sigma}^* \cdot \vec{p}}{E+m} \chi^{(s)} \end{pmatrix} e^{[ipx]} \\ &= i \begin{pmatrix} \frac{\sigma_2 \vec{\sigma}^* \cdot \vec{p}}{E+m} \chi^{(s)} \\ -\sigma_2 \chi^{(s)} \end{pmatrix} e^{[ipx]} = i \begin{pmatrix} \frac{-\vec{\sigma} \cdot \vec{p} \sigma_2}{E+m} \chi^{(s)} \\ -\sigma_2 \chi^{(s)} \end{pmatrix} e^{[ipx]} \\ &= \begin{pmatrix} \frac{\vec{\sigma} \cdot \vec{p}}{E+m} \chi^{(s')} \\ \chi^{(s')} \end{pmatrix} e^{[ipx]} = -v^{(s')}(p) e^{[ipx]} = -\psi^{(-)(s')} \end{aligned}$$

Summary

- Relativistic propagation equations derived from energy definition law \Rightarrow Klein-Gordon (bosons) and Dirac (fermions)
- Gauge invariance imposed to the theory \Rightarrow existence of conserved currents coupled to gauge fields (e.g. photons for EM)
- From classical to quantum field theory : fields \Rightarrow operators
- Lagrangian formalism widely used.