New Class of Quark Mass Matrix and Calculability of Flavor Mixing Matrix

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Abstract

We discuss a new general class of mass matrix ansatz that respects the fermion mass hierarchy and calculability of the flavor mixing matrix. This is a generalization and justification of the various specific forms of the mass matrix by successive breaking of the maximal permutation symmetry. By confronting the experimental data, a large class of the mass matrices are shown to survive, while certain specific cases are phenomenologically ruled out. Also the CP-violation turns out to be maximal, when the phase of the (1,2) element of the mass matrix is $\pi/2$.

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With the discovery of the top quark [1], the three family structure of the fermion sector has been completely determined. Nevertheless, the flavor mixing and fermion masses and their hierarchical patterns remain to be one of the basic problems in particle physics.

Within the standard model, all masses and flavor mixing angle are free parameters and no relations among them are provided. Perhaps, a new theory could predict all masses and flavor mixing parameters in terms of some new, few fundamental parameters, but we lack such theory at the moment and are unable to derive the masses and the flavor mixing parameters from the first principles. One can at the best take a phenomenological standpoint in that one assumes a special form for the mass matrices and hopes to be able to derive phenomenologically viable relations for the flavor mixing parameters in terms of the quark masses.

As an attempt to derive relationship between the quark masses and flavor mixing hierarchies, mass matrix ansatz based on flavor democracy with a suitable breaking so as to allow mixing between the quarks of near kinship was suggested about two decades ago [2]. This in fact reflects the calculability [2,3] that all flavor mixing parameters depend solely on and are determined by the quark masses. In general, the calculability condition does not determine the CP violation phase, for which either additional ansatz or input is needed to determine. Of several ansatz proposed, the canonical mass matrices of the Fritzsch type [2,3] have been generally assumed to predict the entire Kobayashi-Maskawa (KM) matrix [5] or the Wolfenstein mixing matrix [6]. Though the ansatz of the Fritzsch texture [2,3] is attractive because of its maximal calculability, it predicts a top quark mass to be no larger than 100 GeV and thus is ruled out [4].

Alternatively one may introduce a modification to the Fritzsch texture of mass matrix by allowing a non-vanishing (2,2) elements in the “hierarchical” mass eigenstates. Such scheme was proposed sometimes ago by Kaus and Meshkov [7] based on a postulate of the “BCS mechanism” for the quarks and assuming that the heaviest third generation quark mass is to be identified by the non-zero eigenvalue of the “democratic mass matrix”. More recently Fritzsch et al. [8] have suggested the same type of mass matrix by assuming that
the “democratic” maximal permutation symmetry may be broken in a simple and analogous
manner as the mass mixing pattern of the $\eta$-$\eta'$ system. As a result the mass matrices
contain only three zero elements at (1,1), (1,3) and (3,1) position in the hierarchical mass
eigenstates. Nevertheless, this does not necessarily imply lack of calculability because the
additional non-vanishing (2,2) element may be related to the (2,3) or (3,2) elements.

With one such form for the mass matrices, Fritzsch et al. \[8\] described the KM matrix
in terms of the quark mass ratios to the lowest order approximation and claimed that they
are in good agreement with the experimental values. However, this is not true at least for
$V_{cb}$ element because one gets $|V_{cb}| \simeq \frac{1}{\sqrt{2}} \left( \frac{m_c}{m_b} - \frac{m_s}{m_c} \right)$ so that $m_t(\mu = 1 \text{ GeV})$ can be at most
113 GeV from the experimental range $|V_{cb}| = 0.036 - 0.046$ \[9\]. Several other authors \[10,11\]
have also discussed specific forms of this type of mass matrices.

We present in this paper a generalization of this class of mass matrices in such a way
that it can maintain the calculability property and consistency with experiments, while
accommodating a CP violation phase. We will show that this can be achieved by breaking
the democratic flavor symmetry $S(3)_L \times S(3)_R$ successively down to $S(2)_L \times S(2)_R$ and to
$S(1)_L \times S(1)_R$, so that the (2,2) element can be related to (2,3) element appropriately in
the hierarchical mass eigenstates.

As is well known, the $3 \times 3$ “democratic mass matrix” ,
\[
\frac{c}{3} \begin{pmatrix}
1 & 1 & 1 \\
1 & 1 & 1 \\
1 & 1 & 1 \\
\end{pmatrix},
\]
exhibits the maximal $S(3)_L \times S(3)_R$ permutation symmetry. This can be achieved by breaking
of the chiral symmetry $U(3)_L \times U(3)_R$ to $S(3)_L \times S(3)_R$, where $U(3)$ is the symmetry
group connecting the three generations \[7,12\]. One may say that the scale of this chiral sym-
metry breaking is the electroweak symmetry breaking scale at which the third generation
quarks get heavy masses. Indeed, one can see this by making unitary transformation of (1)
with the help of

\[\]
This matrix is in fact reminiscent of the matrix for the mass squared of the neutral pseudoscalar mesons in QCD in the chiral limit. In order to account for the hierarchical pattern of the second and first generation quark masses, one has to break the $S(3)_L \times S(3)_R$ symmetry successively in two stages to $S(2)_L \times S(2)_R$ and $S(1)_L \times S(1)_R$. This can be achieved by adding the following two matrices to the “democratic matrix” (1):

$$
U = \begin{pmatrix}
\frac{1}{\sqrt{2}} & -\frac{1}{\sqrt{2}} & 0 \\
\frac{1}{\sqrt{6}} & \frac{1}{\sqrt{6}} & -\frac{2}{\sqrt{6}} \\
\frac{1}{\sqrt{3}} & \frac{1}{\sqrt{3}} & \frac{1}{\sqrt{3}}
\end{pmatrix},
$$

This can be achieved by adding the following two matrices to the “democratic matrix” (1):

$$
\begin{pmatrix}
0 & 0 & a \\
0 & 0 & a \\
a & a & b
\end{pmatrix}, \quad d \begin{pmatrix}
1 & 0 & -1 \\
0 & -1 & 1 \\
-1 & 1 & 0
\end{pmatrix},
$$

where the parameters $(a, b)$ and $d$ are responsible for the breakdown of $S(3)_L \times S(3)_R$ and $S(2)_L \times S(2)_R$ symmetries, respectively. It is also reasonable to anticipate that this two-stage breaking happens to be at around 1 GeV scale in view of the proximity of the second and first generation quark masses compared to the third generation quarks. Note that the two scales in proximity are related to the generation of the second and first generation quark masses and the evolution from the electroweak scale to 1 GeV scale can not alter the “democratic” pattern of the mass matrix because of the symmetry $S(3)_L \times S(3)_R$. Thus the resulting mass matrix can be regarded as the one at 1 GeV scale.

In principle, the most general form of $S(3)_L \times S(3)_R \rightarrow S(2)_L \times S(2)_R$ breaking can allow different parameters at the $(1,3)$, $(2,3)$, $(3,1)$ and $(3,2)$ elements. But to maintain the calculability property, the form of (3) containing only two parameters $(a, b)$ is necessary, which is general enough to cover all different specific forms proposed by others [7,8,10,11] as a special case. Then in the hierarchical basis after the unitary transformation with (2), the resulting mass matrix $M_H$ becomes
\[ M_H = \begin{pmatrix} 0 & A & 0 \\ A & D & B \\ 0 & B & C \end{pmatrix}, \]  

(4)

where \( A = \sqrt{3}d, D = -\frac{2}{3}(2a - b), B = -\frac{\sqrt{2}}{3}(a + b) \) and \( C = \frac{1}{3}(4a + b) + c. \)

Note that in order to get a hermitian mass matrix instead of (4), one can use the following two matrices

\[
\begin{pmatrix} p & p & a + q \\ p & p & a + q \\ a + q^* & a + q^* & b - 2p \end{pmatrix}, \quad d \begin{pmatrix} \cos \sigma & -i \sin \sigma & -e^{-i\sigma} \\ i \sin \sigma & -\cos \sigma & e^{-i\sigma} \\ -e^{i\sigma} & e^{i\sigma} & 0 \end{pmatrix},
\]

(5)

where \( p = \frac{4}{9}(a + b) \sin^2 \frac{\delta}{2} \) and \( q = p(1 + i \frac{3}{2} \frac{e^{i\delta/2}}{\sin^2 \frac{\delta}{2}}) \), in such a way that the matrices (3) are replaced by those of (5). Then, after the unitary transformation with (2), the (1,2) and (2,3) elements become \( A e^{-i\sigma} \) and \( B e^{-i\delta} \) respectively. However, since only one phase factor is sufficient to describe the CP-violation in the standard model containing three family generations of quarks, we may introduce only one phase factor in the hermitian matrix \( M_H \) such that only (1,2) and (2,1) elements are complex and conjugate to each other. In this way, a hermitian mass matrix of the type (4), with a complex element at (1,2) and its conjugate at (2,1), can be obtained from a general permutation symmetry breaking chain, i.e., \( S(3)_L \times S(3)_R \rightarrow S(2)_L \times S(2)_R \rightarrow S(1)_L \times S(1)_R \).

At a glance, the matrix \( M_H \) contains four independent parameters even in the case of real parameters so that the *calculability* is lost. However, one can make additional ansatz to relate \( a \) to \( b \), so that \( a = kb \) in general, with the same ratio parameter \( k \) for both the up- and down-quark sectors, so as to maintain the *calculability*. On the other hand, one can expect that any choices other than \( a = kb \) for both up and down quarks might be interesting, but the choice of \( a = kb \) meets clearly the elegance of simplicity. Then, the (2,2) element is related to (2,3) element by \( w \equiv B/D = (k + 1)/\sqrt{2}(2k - 1) \) in the hierarchical mass eigenstate and various specific mass matrices proposed by others can be identified as a special case of different ratios i.e., \( w = \frac{5}{3} (k = 0.9) \) for Ref. [4], \( w = -\frac{1}{\sqrt{2}} (k = 0) \) for Fritzsch.
et al. [8], \( w = \pm 2\sqrt{2} \) (\( k = \frac{5}{7} \) or \( \frac{1}{3} \)) for Ref. [10] and \( w = \sqrt{2} \) (\( k = 1 \)) for Ref. [11]. The case of \( k = \frac{1}{2} \) reduces to the old Fritzsch type with \( D = 0 \) which is ruled out by the experiments as we said before. We are therefore interested in the general case but \( k \neq \frac{1}{2} \) in this paper.

The next step is then to constrain \( k \) for the general class of mass matrix by confronting the experiments for consistency. Obviously a careful analysis with exact flavor mixing elements predicted from the new ansatz is desired to confront the experiments. The mass matrix \( M_H \) of the type (4) can be brought to a diagonal form by appropriate rotation of the fermion fields in the hierarchical eigenstates via a biunitary transformation,

\[
U_L^{(u)} M_H^{(u)} U_R^{(u)\dagger} = \text{diag}[m_u, m_c, m_t]
\]

\[
U_L^{(d)} M_H^{(d)} U_R^{(d)\dagger} = \text{diag}[m_d, m_s, m_b],
\]

and the quark fields in the physical mass eigenstates are related to the hierarchical mass eigenstates by

\[
q^{(u)}_{L(R)} = U^{(u)}_{L(R)} q^0_{L(R)}
\]

\[
q^{(d)}_{L(R)} = U^{(d)}_{L(R)} d^0_{L(R)}
\]

where \((q^u, q^d)\) and \((u^0, d^0)\) denote the physical mass eigenstates and the hierarchical mass eigenstates for the up- and down-quark sectors respectively. We note that a phase factor is attached to the \((1,2)\) and \((2,1)\) elements as \( Ae^{-i\sigma} \) and \( Ae^{i\sigma} \) in \( M_H \), where \( A \) will be assumed to be positive without loss of generality. Then both \( U_L M_H U_L^\dagger \) and \( U_R M_H U_R^\dagger \) are diagonal so that \( U_L U_R^\dagger \equiv K \) is again diagonal. In our ansatz, it turns out in general that, because of the empirical mass hierarchy \( m_1 \ll m_2 \ll m_3 \), \( K = \text{diag}[1, -1, 1] \) irrespective of the sign of \( D \) and \( K = \text{diag}[-1, 1, 1] \) only for positive \( D \). This point was not clearly understood in previous works [8,10,11,13]. Fritzsch et al. [8] chose the relative signs of the \( S(3)_L \times S(3)_R \) breaking terms different, so that the sign of \( m_c \) is opposite to that of \( m_s \), while keeping \( m_u \) and \( m_d \) to be negative as mass eigenvalues, which is clearly inconsistent with the empirical quark mass hierarchy. Other authors [13] assumed the same form of the mass matrix without basing on a symmetry consideration and thus treating the up- and down-quark sectors unevenly.
The parameters $A, B, C$ and $D$ can be expressed in terms of the quark masses. As emphasize earlier, in this paper, we will deal with the same pattern for both the up- and down-quark mass matrices so that the calculability of the flavor mixing matrix from the quark masses retained. In view of the hierarchical pattern of the quark masses, it is natural to expect that $A < |D| \ll C$, and then the case of $K = \text{diag}[1, -1, 1]$ for positive $D$ can be excluded if the same ratio parameter $w$ is required for both up- and down-quark sectors. Otherwise, the masses of the second family could be unacceptably large.

The Case $K = \text{diag}[-1, 1, 1]$: Because a hermitian matrix can be expressed as a unitary transformation of a real symmetric matrix, one can write $M_{H}^{(u,d)} = P^{(u,d)} M_{r}^{(u,d)} \tilde{P}^{(u,d)}$, where $P^{(u,d)} = \text{diag}[\exp(-i\sigma^{(u,d)}), 1, 1]$, and the real matrix $M_{r}^{(u,d)}$ can be diagonalized by a real orthogonal matrix $R^{(u,d)}$ so that $R^{(u,d)} M_{r}^{(u,d)} \tilde{R}^{(u,d)} = \text{diag}[-m_{(u,d)}, m_{(c,s)}, m_{(t,b)}]$. Then $U_{L}^{(u)} = \tilde{R}^{(u)} P^{(u)\dagger}$ and $U_{L}^{(d)} = \tilde{R}^{(d)} P^{(d)\dagger}$. The flavor mixing matrix is given by $V = U_{L}^{(u)} U_{L}^{(d)\dagger} = \tilde{R}^{(u)} P^{(u)\dagger} P^{(d)} \tilde{R}^{(d)}$ where $P = \text{diag}[e^{i\sigma}, 1, 1]$ with $\sigma = \sigma^{(u)} - \sigma^{(d)}$.

From the characteristic equation for the $M_{r}$, the mass matrix $M_{r}$ can be written by

$$M_{r} = \begin{pmatrix}
0 & \sqrt{\frac{m_{1}m_{3}}{m_{2}} m_{2} - m_{1} + \epsilon} & w(m_{2} - m_{1} + \epsilon) \\
\sqrt{\frac{m_{1}m_{3}}{m_{2}} m_{2} - m_{1} + \epsilon} & 0 & m_{3} - \epsilon \\
0 & w(m_{2} - m_{1} + \epsilon) & m_{3} - \epsilon
\end{pmatrix} \tag{6}$$

in which the small parameter $\epsilon$ is related to $w$, i.e., $w \simeq \pm \frac{\sqrt{m_{2}} m_{3}}{m_{2}} \left(1 + \frac{m_{1}}{m_{2}} - \frac{m_{3}}{2m_{3}}\right)$, whose range is to be determined from the experiments. Note the sign of $B$ is undetermined from the characteristic equation but the KM matrix elements are independent of the sign of $B$.

Then, we can obtain analytic expressions for the flavor mixing matrix $V$ in the leading approximation such as

$$|V_{us}| \simeq \left|\sqrt{m_{d}/m_{s}} \exp(i\sigma) - \sqrt{m_{u}/m_{c}}\right|, \tag{7}$$

$$|V_{cb}| \simeq |w(m_{s}/m_{b} - m_{c}/m_{t})|, \tag{8}$$

$$|V_{ub}|/|V_{cb}| \simeq \sqrt{m_{u}/m_{c}}, \quad |V_{td}|/|V_{ts}| \simeq \sqrt{m_{d}/m_{s}}. \tag{9}$$

Notice that $|V_{cb}|$ depends on the quark mass ratios and $w$. In fact the $w$-dependence
appears in the four elements $V_{ub}, V_{cb}, V_{ts}$ and $V_{td}$ only. Since the second term of $|V_{cb}|$ is negligible compared to the first term, it is easy to examine the range of $w$ for which $|V_{cb}|$ is compatible with experiments. We use the light quark masses [14], $m_u = 5.1 \pm 0.9$ MeV, $m_d = 9.3 \pm 1.4$ MeV and $m_s = 175 \pm 25$ MeV, and the heavy quark masses [15], $m_c = 1.35 \pm 0.05$ GeV and $m_b = 5.3 \pm 0.1$ GeV, all of which correspond to the masses at a $\overline{MS}$ renormalization point of 1 GeV. The top quark mass $m_t$ of the recent measurement $m_t = 175 \pm 6$ GeV corresponds to the running mass $m_t(\mu = 1$ GeV)$ \simeq 280 - 450$ GeV for $\Lambda_{\overline{MS}} = 150 - 200$ MeV [16].

Using the value $|V_{cb}| = 0.036 - 0.046$ from experiments [9], Eq. (8) leads to $1.01 \lesssim |w| \lesssim 2.02$ so that $0.82 \lesssim k \lesssim 1.31$ if $w > 0$ and $0.11 \lesssim k \lesssim 0.28$ if $w < 0$ in the leading approximation, which is close to the exact result $0.97 \lesssim |w| \lesssim 1.87$ so that $0.85 \lesssim k \lesssim 1.36$ if $w > 0$ and $0.10 \lesssim k \lesssim 0.26$ if $w < 0$. Note that $\epsilon \simeq O(m_1)$ for the allowed range of $k$ and $w$.

Next, we examine if this range of $w$ preserves the consistency with experiments for other KM elements. Since several KM elements depend on the phase factor $\sigma$, we have to determine the allowed range of the phase factor first. We see from Eq. (7) that $|V_{us}|$ depends on the phase factor $\sigma$, while independent of $w$. Using the experimental value $|V_{us}| \simeq 0.219 - 0.224$ [9] the allowed range of $\sigma$ turns out to be $26^\circ - 111^\circ$. In particular, the maximal weak CP phase conjecture $\sigma = \pi/2$ suggested previously by Ref. [17] follows when $m_s \simeq 0.206$ GeV from Eq. (7) and when $m_s \simeq 0.194$ from exact calculation for the central values of the parameters $m_u, m_d, m_c$ and $|V_{us}|$. The exact numerical result gives $39^\circ \lesssim \sigma \lesssim 117^\circ$. In addition we find that all other KM elements are in good agreement with experiments for the above ranges of $w$ and $\sigma$.

**The Case $K = diag[1, -1, 1]$**

For a negative $D$, the real symmetric matrix $M_r^{(u,d)}$ can be diagonalized as $R^{(u,d)} M_r^{(u,d)} R^{(u,d)\dagger} = diag[m_{(u,d)}, -m_{(c,s)}, m_{(t,b)}]$, thus reversing the signs of $m_1$ and $m_2$ in Eq. (6). As we noted, a positive $D$ in this case is excluded for the reasons of naturalness due to the quark mass hierarchy and calculability. Following the similar analysis as in the previous case, we get $1.14 \lesssim |w| \lesssim 2.76$ so that $0.72 \lesssim k \lesssim 1.17$ if $w > 0$ and
\[0.14 \lesssim k \lesssim 0.33\] if \(w < 0\), and the same range of \(\sigma\) as in the previous case in the exact numerical calculation, while we find the same result of \(w\) and \(\sigma\) as in the previous case in the leading approximation. Consequently the ansatz adopted by Fritzsch et al. \[3\], corresponding to \(k = 0\), is not consistent with experimental data of \(V_{cb}\) and the ansatz adopted by Ref. \[10\], corresponding to \(w^2 = 8\), is slightly beyond the upper bound of the allowed \(w\).

Now, we note that the predicted ratio \(|V_{ub}|/|V_{cb}| \lesssim 0.07\) tends to be on the low side of (but consistent with) the present experimental range, \(|V_{ub}|/|V_{cb}| = 0.08 \pm 0.02 \[3\] or \(0.08 \pm 0.016 \[18\].

In terms of the three inner angles of the unitarity triangle \[19\] \(\alpha = \arg \left(-\frac{V_{tb}^* V_{td}}{V_{ub} V_{ud}} \right)\) and \(\gamma = \arg \left(-\frac{V_{cb}^* V_{cd}}{V_{ub} V_{ud}} \right)\), we obtain \(\alpha \simeq \sigma \simeq 26^0 - 111^0\), \(\beta \simeq 6^0 - 13^0\) and \(\gamma \simeq 180^0 - \alpha - \beta \simeq 148^0 - 56^0\) in the leading order approximation. These angles are independent of \(k\). From the Jarlskog determinant \[20\], \(\text{Det } C \simeq \frac{(k+1)^2}{(2k-1)^2} \sqrt{m_u m_d m_s m_t m_s^2 m_c^2} \sin \sigma\), we see that the CP violation becomes maximal for \(\sigma = 90^\circ\) which is an allowed value from our results.

Finally, the Wolfenstein parameters \[3\] can be determined from \(|V_{us}| \simeq \lambda, |V_{cb}| \simeq \lambda^2 A, V_{ub} \simeq \lambda^3 A(\rho - i\eta)\) and \(V_{td} \simeq \lambda^3 A(1 - \rho - i\eta)\) in terms of the quark masses. Since \(\lambda \simeq \sqrt{\frac{m_s}{m_c}} \left(1 - \sqrt{\frac{m_s}{m_d m_s}} \cos \sigma\right) \simeq |V_{12}|\) from Eq. (7), we obtain \(\sigma \simeq 80.17^\circ\) for all central values of quark masses and \(\lambda = 0.22\). From the element \(V_{cb}\), we get \(A \simeq 0.74 - 0.95\) and since \(|V_{ub}|/|V_{cb}| = \lambda \sqrt{\rho^2 + \eta^2}\) ranges 0.06 - 0.10 from the semileptonic B decays \[3\], we get \(\rho^2 + \eta^2 \simeq 0.074 - 0.207\) for the central values of quark masses, while from Eq.(9), \(\rho^2 + \eta^2 = 0.0781\).

In conclusion, we suggested a general class of hermitian mass matrices that can be obtained from successive breaking chain \(U(3)_L \times U(3)_R \rightarrow S(3)_L \times S(3)_R \rightarrow S(2)_L \times S(2)_R \rightarrow S(1)_L \times S(1)_R\) so as to reflect the quark mass hierarchy and to maintain the calculability of the flavor mixing matrix and its consistency with experiments. There are four regions of \(k\), the ratio parameter of the two elements of the \(S(2)_L \times S(2)_R\) symmetric matrix, for which the generalized mass matrix ansatz is compatible with experiments. In particular, the CP
violation turns out to be maximal when the phase of the mass matrix is $\pi/2$.

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