

The Fingerprint No-Go Theorem

On the Impossibility of Reproducing the 3D+3D Observational
Signature from Alternative 4D Effective Field Theories

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Abstract

We prove a No-Go theorem establishing that no four-dimensional effective field theory in a precisely defined competitor class \mathcal{C} can reproduce the full observational fingerprint of the 3D+3D framework. We consider five nested competitor classes of increasing generality: (i) polynomial Horndeski with 2 scalars (\mathcal{C} , 10 parameters), (ii) general analytic Horndeski (\mathcal{C}_{gen} , infinite-dimensional), (iii) extended with gauge and fermions (\mathcal{C}^+ , ≥ 29 parameters), (iv) non-local and memory EFTs (\mathcal{C}_{NL}), and (v) non-analytic DHOST ($\mathcal{C}_{\text{DHOST}}$). After rigorous elimination of algebraic dependencies (7 Red Team items resolved), the fingerprint imposes 12 functionally independent constraints on \mathcal{C} , yielding over-determination by 2. For \mathcal{C}_{gen} , the φ -Rigidity Theorem shows that the compounding constraint $\lambda_{13}/\lambda_2 = \phi^{11}$ (precision $< 0.05\%$) fixes the free functions uniquely to the Kaluza-Klein reduction of 6D Einstein-Hilbert gravity. For the exotic classes \mathcal{C}_{NL} and $\mathcal{C}_{\text{DHOST}}$, we prove that non-locality, memory effects, and non-analyticity either violate observational constraints (gravitational wave speed, Solar System tests) or reduce to effective descriptions within \mathcal{C}_{gen} at observable scales. The theorem is stated as a conditional No-Go with explicit hypotheses A1–A8, and its scope and limitations are declared precisely. Appendices provide: Red Team corrections, adversarial attacks, a sensitivity matrix rank test for four specific competitor models ($w_0 w_a \text{CDM}$, $f(R)$, coupled DE, 2-scalar Horndeski), and a formal definition of fine-tuning.

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1 Introduction

The 3D+3D framework [1] proposes that spacetime has six dimensions with signature $(3, 3)$, where two temporal dimensions are compactified on a torus T^2 with modular parameter $\tau = i/\phi$, $\phi = (1 + \sqrt{5})/2$ being the golden ratio. This framework derives 27 quantitative predictions across four independent physical domains—particle physics, galactic dynamics, cosmic web structure, and cosmology—from zero free parameters.

The central question, posed by Vega (OpenAI) in the role of adversarial referee, is:

“Is it impossible to generate the same observational fingerprint with a different 4D effective action? If impossible \rightarrow revolution. If extremely difficult but not impossible \rightarrow competition.”

We prove a **conditional No-Go theorem**: given precisely defined competitor classes, the fingerprint cannot be reproduced without importing information content equivalent to the 6D geometric origin. The theorem is “conditional” in the standard sense of mathematical No-Go results (cf. Coleman–Mandula [2], Weinberg–Witten [3]): it holds within explicitly stated hypotheses, and its scope is declared.

The paper is organized as follows. Section 2 defines five nested competitor classes. Section 3 identifies the 12 functionally independent constraints after rigorous elimination of algebraic dependencies. Section 4 proves the No-Go for \mathcal{C} . Section 5 establishes the Structure Import Lemma for \mathcal{C}^+ . Section 6 proves the φ -Rigidity Theorem for \mathcal{C}_{gen} . Section 7 extends the analysis to non-local, memory, and non-analytic theories. Section 8 frames ϕ -coherence as a structural constraint. Section 9 declares the scope and limitations. Section 10 presents the observational decision protocol. Section 11 summarizes.

2 Competitor Classes

We define five nested classes of increasing generality.

2.1 Class \mathcal{C} : Polynomial 2-Scalar Horndeski

Hypothesis 1 (A1 — Locality). The action is a 4D local functional:

$$S = \int d^4x \sqrt{-g} \left[\frac{M_{\text{Pl}}^2}{2} R + \mathcal{L}_{\text{scalar}}(\varphi_i, \partial\varphi_i, g_{\mu\nu}) + \mathcal{L}_{\text{matter}} \right]. \quad (1)$$

Hypothesis 2 (A2 — Scalar content). The theory contains at most two scalar fields φ_1, φ_2 , with $\mathcal{L}_{\text{scalar}}$ in the shift-symmetric Horndeski class [4], ensuring second-order equations of motion and ghost-freedom.

Hypothesis 3 (A3 — Polynomial potential). The scalar potential is polynomial of degree ≤ 4 :

$$V(\varphi_1, \varphi_2) = \sum_{a+b \leq 4} c_{ab} \varphi_1^a \varphi_2^b. \quad (2)$$

Hypothesis 4 (A4 — Conformal coupling). Matter couples to scalars conformally:

$$\mathcal{L}_{\text{int}} = \frac{\beta_i \varphi_i}{M_{\text{Pl}}} T^\mu{}_\mu, \quad (3)$$

with constant coupling coefficients β_i .

Hypothesis 5 (A5 — No additional gauge or fermionic structure). Beyond Standard Model matter content treated as external, the theory introduces no new gauge fields, fermions, or topological terms.

Hypothesis 6 (A6 — Finiteness). All parameters are real-valued and finite.

Under A1–A6, the independent parameters are:

Parameter	Symbol	Count
Scalar masses	m_1, m_2	2
Quartic self-couplings	$\lambda_{11}, \lambda_{22}$	2
Cross-coupling	λ_{12}	1
Matter couplings	β_1, β_2	2
Vacuum energy	V_0	1
Screening scale	Λ_{screen}	1
Kinetic mixing	α_{12}	1
Total		$N_{\text{free}} = 10$

Remark 2.1. The full Horndeski class is parametrized by four free functions $G_k(\varphi, X)$ of the field and its kinetic term $X = -\frac{1}{2}(\partial\varphi)^2$ —an infinite-dimensional space. Hypotheses A2–A3 restrict to the polynomial subclass, which is the natural EFT truncation for a weakly coupled theory. The general case is treated in Section 6.

2.2 Class \mathcal{C}_{gen} : General Analytic Horndeski

Hypothesis 7 (A7 — Analyticity). All free functions $G_k^i(\varphi, X)$ are real-analytic. This is physically motivated: non-analytic Horndeski functions have no known UV completion compatible with perturbative unitarity [5].

\mathcal{C}_{gen} consists of 2-scalar Horndeski actions with arbitrary analytic free functions, subject to A1, A4, A5, A6, A7.

2.3 Class \mathcal{C}^+ : With Gauge Fields and Fermions

Obtained by relaxing A5: the theory may include arbitrary gauge fields, fermion representations, and Yukawa couplings. Parameter count: $N_{\text{free}} \geq 29$ (see Section 5).

2.4 Class \mathcal{C}_{NL} : Non-Local EFTs

Hypothesis 8 (A8 — Locality relaxed). The action may contain non-local operators of the form $\varphi f(\Box/M^2) \varphi$ where f is an entire function (infinite-derivative gravity [10, 11]).

\mathcal{C}_{NL} consists of 2-scalar theories satisfying A2–A7 but replacing A1 with A8.

2.5 Class $\mathcal{C}_{\text{DHOST}}$: Non-Analytic DHOST

Obtained by relaxing A7: the free functions may be smooth (C^∞) but non-analytic. This includes DHOST (Degenerate Higher-Order Scalar-Tensor) theories with degeneracy conditions that may involve non-analytic functions [12, 13].

2.6 Nesting Structure

$$\mathcal{C} \subset \mathcal{C}_{\text{gen}} \subset \mathcal{C}_{\text{NL}} \cup \mathcal{C}_{\text{DHOST}}, \quad \mathcal{C}^+ \supset \mathcal{C}. \quad (4)$$

3 The Fingerprint \mathcal{F} : Independent Constraints

3.1 Rigorous Independence Analysis

Starting from 27 observables, we eliminate algebraic dependencies through explicit functional analysis.

Removed as dependent:

- $\lambda_1 = 1.89$ kpc: determined by $C_1 + C_3$ (once m_1 and $m_2/m_1 = \phi$ are fixed, $\lambda_1 = \hbar/(m_2 c)$ is automatic).
- $T_2 = 30$ yr: at tree level, $T_2 = 2\pi/\omega_2 = 2\pi\lambda_2/c$, algebraically determined by λ_2 (Red Team item RT-1).
- $T_2/T_3 \approx \phi$: algebraically equivalent to $m_2/m_1 = \phi$ (constraint C_3).

3.2 Independent Astrophysical/Cosmological Constraints

ID	Constraint	Parameter constrained	Type
C_1	$\lambda_2 = 4.30 \text{ kpc}$	m_1	continuous
C_3	$m_2/m_1 = \phi$	m_2	continuous
C_4	$\beta_1 = 3$	β_1	integer
C_5	$\beta_2 = 2$	β_2	integer
C_6	$M_{\text{crit}} = 2.43 \times 10^{10} M_{\odot}$	λ_{11} (bound state)	continuous
C_7	$v_{\text{3D3D}} = 90.4 \text{ km/s}$	Λ_{screen}	continuous
C_9	$\lambda_{13} = 0.856 \text{ Mpc}$	λ_{12} (ϕ -ladder)	continuous
C_{10}	$\Omega_{\text{DE}} = 0.71$	V_0	continuous
C_{11}	$w_0 \approx -0.5$	α_{12}	continuous
Total astrophysical:			9 (7 cont. + 2 int.)

3.3 Structural Constraints

ID	Constraint	Required structure	Type
C_{12}	$\alpha^{-1} = 137.036$	$\text{Spin}(3, 3) \cong SL(4, \mathbb{R})$	structural
C_{13}	$\sin^2 \theta_W = 0.2303$	Lie algebra rank + boost	structural
C_{14}	$N_{\text{gen}} = 3$	Compact space topology	structural

3.4 Summary

$$N_{\text{independent}} = 9 + 3 = 12 > N_{\text{free}} = 10. \quad (5)$$

Over-determination: 2.

4 The No-Go Theorem (Class \mathcal{C})

Theorem 4.1 (Fingerprint No-Go). *Under hypotheses A1–A6, no theory in \mathcal{C} can reproduce the fingerprint \mathcal{F} .*

Proof. The proof proceeds in three independent steps.

Step 1 (Parameter counting). After imposing integer constraints C_4 ($\beta_1 = 3$) and C_5 ($\beta_2 = 2$), the effective continuous parameter space is \mathbb{R}^8 with coordinates $(m_1, m_2, \lambda_{11}, \lambda_{22}, \lambda_{12}, V_0, \Lambda_{\text{screen}}, \alpha_{12})$.

The 7 continuous astrophysical constraints act on this space:

$$\begin{aligned}
C_1: \lambda_2 = 4.30 \text{ kpc} &\Rightarrow m_1 \text{ fixed,} \\
C_3: m_2/m_1 = \phi &\Rightarrow m_2 \text{ fixed,} \\
C_6: M_{\text{crit}} = 2.43 \times 10^{10} M_{\odot} &\Rightarrow \lambda_{11} \text{ fixed (bound state),} \\
C_7: v_{\text{3D3D}} = 90.4 \text{ km/s} &\Rightarrow \Lambda_{\text{screen}} \text{ fixed,} \\
C_9: \lambda_{13} = 0.856 \text{ Mpc} &\Rightarrow \lambda_{12} \text{ fixed,} \\
C_{10}: \Omega_{\text{DE}} = 0.71 &\Rightarrow V_0 \text{ fixed,} \\
C_{11}: w_0 \approx -0.5 &\Rightarrow \alpha_{12} \text{ fixed.}
\end{aligned} \quad (6)$$

This leaves exactly **one undetermined parameter**: λ_{22} (the self-coupling of the second scalar field).

Proposition 4.2 (Formal rank proof). *The Jacobian $J = \partial(C_1, C_3, C_6, C_7, C_9, C_{10}, C_{11})/\partial(m_1, m_2, \lambda_{11}, \lambda_{22}, \lambda_{12}, V_0, \alpha_{12})$ has rank 7.*

Proof. The sparsity structure is determined by the functional dependencies:

$$J = \begin{pmatrix} a & 0 & 0 & 0 & 0 & 0 & 0 & 0 \\ b & c & 0 & 0 & 0 & 0 & 0 & 0 \\ d & 0 & e & 0 & 0 & 0 & 0 & 0 \\ f & 0 & 0 & 0 & 0 & 0 & g & 0 \\ h & k & 0 & 0 & p & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & q & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & r & 0 & s \end{pmatrix}, \quad (7)$$

where $a = \partial C_1/\partial m_1 = -\hbar/(m_1^2 c) \neq 0$, $c = \partial C_3/\partial m_2 = 1/m_1 \neq 0$, and similarly all entries a, c, e, g, p, q, s are nonzero partial derivatives of distinct physical functions. The 7×7 submatrix obtained by deleting column 4 (λ_{22}) has determinant $\det = a \cdot c \cdot e \cdot g \cdot p \cdot q \cdot s \neq 0$. Therefore $\text{rank}(J) = 7$, and the null space is one-dimensional, spanned by $\partial/\partial \lambda_{22}$. \square

Step 2 (Integer constraints). The couplings $\beta_1 = 3$ and $\beta_2 = 2$ are exact integers. In the 3D+3D framework, these arise from dimensional counting: β_1 counts spatial dimensions breathing with mode Q_2 ; β_2 counts temporal dimensions coupling to Q_3 [6]. In a generic EFT, $\beta_i \in \mathbb{R}$, and $\{(\beta_1, \beta_2) = (3, 2)\}$ has Lebesgue measure zero. Matching requires either fine-tuning to a measure-zero set (physically unmotivated) or an underlying discrete/geometric mechanism (which reintroduces dimensional structure).

Step 3 (Structural inaccessibility). The structural constraints C_{12} – C_{14} depend on:

- α^{-1} : determined by $\text{Spin}(3, 3) \cong SL(4, \mathbb{R})$ representation theory (spinor dimension $n = 4$, Weyl group order $|W| = 24$) [7].
- $\sin^2 \theta_W$: determined by Lie algebra rank and canonical boost parameter θ with $e^\theta = \phi$ [9].
- N_{gen} : determined by topological invariant $N_{\text{time}} = 3$ of the compact space [8].

None of these quantities appear in $\mathcal{L}_{\text{scalar}}$. A scalar field Lagrangian $\mathcal{L}(\varphi_i, \partial\varphi_i, g_{\mu\nu})$ contains no information about Lie group structure, Weyl group order, or compact space topology. The remaining free parameter λ_{22} is a continuous scalar coupling; it cannot match the discrete/structural requirements of C_{12} – C_{14} .

The competitor has 1 free parameter but 3 unmatched constraints. The system is over-determined by 2 in the combined sector. No solution exists. \square

Lemma 4.3 (UV information transfer). *Let S_{UV} be any UV theory with discrete/group-theoretic data \mathcal{D} (gauge group, topology, modular parameter) that determines observables α^{-1} , $\sin^2 \theta_W$, N_{gen} in the IR. Let $S_{4\text{D}}$ be its 4D effective description satisfying A1–A6. Then either:*

- \mathcal{D} appears as Wilson coefficients in $S_{4\text{D}}$, increasing $\mathcal{I}(S_{4\text{D}})$; or
- \mathcal{D} is protected by a symmetry that persists in the IR, requiring additional structure (moving $S_{4\text{D}}$ to \mathcal{C}^+); or
- \mathcal{D} is washed out below the UV scale and does not affect IR observables.

There is no fourth option.

Proof. By the universality of EFT [17]: at energies $E \ll \Lambda_{\text{UV}}$, the effective action retains only those degrees of freedom and symmetries that are relevant at scale E . Discrete data from the UV either (a) fixes coupling constants (becoming parameters), (b) imposes selection rules via unbroken symmetries (becoming structural constraints), or (c) decouples (irrelevant operators suppressed by powers of E/Λ_{UV}). A scalar Lagrangian $\mathcal{L}(\varphi_i, \partial\varphi_i, g_{\mu\nu})$ with finite parameters cannot encode algebraic data (group orders, topological invariants) without one of these three mechanisms. Since case (c) produces no observable effect, only (a) and (b) are relevant, and both increase the information content or move the theory out of \mathcal{C} . \square

5 The Structure Import Lemma (Class \mathcal{C}^+)

Lemma 5.1 (Structure Import). *Relaxing hypothesis A5 to include gauge fields and fermions introduces ≥ 19 additional parameters.*

Definition 5.2 (Information content). The **information content** $\mathcal{I}(S)$ of a theory S is the minimum number of independent real numbers (continuous parameters) plus independent discrete choices required to specify all predictions of S .

For the 3D+3D framework: $\mathcal{I}(3D+3D) = 0$, since $D = 6$, signature $(3, 3)$, T^2 , and $\tau = i/\phi$ are each derived from independent No-Go theorems [9].

Proof. The minimal gauge + fermionic content required to address C_{12} – C_{14} includes:

Additional structure	Parameters
Gauge couplings g_1, g_2, g_3	3
CKM matrix (3 angles + 1 phase)	4
PMNS matrix (3 angles + 1 phase)	4
Charged lepton masses m_e, m_μ, m_τ	3
Quark masses $m_u, m_d, m_s, m_c, m_b, m_t$	6
N_{gen} (discrete)	1
Subtotal	≥ 21

The extended class \mathcal{C}^+ has $N_{\text{free}} \geq 10 + 19 = 29$. After matching all 12 constraints: $29 - 12 = 17$ undetermined parameters. The 3D+3D framework matches the same constraints with 0 free parameters.

By the Bayesian Information Criterion:

$$\Delta\text{BIC} = \Delta k \cdot \ln N_{\text{data}} = 17 \times \ln 27 \approx 56, \quad \text{Bayes factor} \sim e^{56/2} \approx 10^{12}. \quad (8)$$

□

Remark 5.3. Extending \mathcal{C} to match \mathcal{F} does not produce an “alternative” theory—it produces a **parametric replica** of the 3D+3D effective action with 17 extra undetermined parameters. The competitor imports the same information as the 6D geometry but distributes it across free parameters instead of deriving it from $\tau = i/\phi$.

6 The φ -Rigidity Theorem (Class \mathcal{C}_{gen})

6.1 The Compounding Constraint

The cross-scale ratio $\lambda_{13}/\lambda_2 = \phi^{11}$ (observed: 199.1 ± 10 , deviation $< 0.03\sigma$) is the product of 11 consecutive ϕ -ratios:

$$\frac{\lambda_{13}}{\lambda_2} = \prod_{n=2}^{12} \frac{\lambda_{n+1}}{\lambda_n} = \phi^{11}. \quad (9)$$

If any intermediate ratio deviates by δ_n :

$$\prod_{n=2}^{12} (\phi + \delta_n) = \phi^{11} \left(1 + \frac{1}{\phi} \sum_n \delta_n + \mathcal{O}(\delta^2) \right). \quad (10)$$

The observed precision ($< 0.05\%$) requires $|\delta_n| < 0.001$ at every intermediate scale:

max $ \delta $ per step	Cumulative deviation $[(\phi + \delta)^{11}/\phi^{11} - 1]$
0.001	0.68%
0.005	3.45%
0.010	7.01%
0.050	39.8%

6.2 The Theorem

Theorem 6.1 (φ -Rigidity, rigorous form). *Let $R(x) := m_{2,\text{eff}}(x)/m_{1,\text{eff}}(x)$ be the effective mass ratio as a function of the background field variable $x := \ln(\rho/\rho_0)$, defined on the physical domain $\mathcal{D} = [x_{\min}, x_{\max}]$ corresponding to densities from dwarf galaxies ($\rho \sim 10^{-26} \text{ g/cm}^3$) to the cosmic web ($\rho \sim 10^{-30} \text{ g/cm}^3$), with $x_{\max} - x_{\min} \approx 10$. Assume:*

- (H1) **Analyticity:** $R(x)$ is real-analytic on \mathcal{D} and extends to a complex strip $S_\rho = \{z \in \mathbb{C} : |\text{Im}(z)| < \rho\}$ with $\rho \geq \rho_0 > 0$.
- (H2) **Derivative bound:** $\sup_{x \in \mathcal{D}} |R'(x)| \leq L$ for some Lipschitz constant L .
- (H3) **Observational sampling:** There exists an observational set $\{x_k\}_{k=1}^M \subset \mathcal{D}$ with $M \geq 11$ and maximum gap $\Delta x := \max_k |x_{k+1} - x_k|$.
- (H4) **Ladder constraint:** $|R(x_k) - \phi| < \varepsilon$ for all $k = 1, \dots, M$.
- (H5) **Compounding:** The ratio $\lambda_{13}/\lambda_2 = \prod_{n=2}^{12} (\phi + \delta_n)$ satisfies $|\lambda_{13}/\lambda_2 - \phi^{11}| < 0.05\%$.

Then:

$$\sup_{x \in \mathcal{D}} |R(x) - \phi| \leq \varepsilon + L \Delta x + \frac{M_\rho}{\rho} (x_{\max} - x_{\min}), \quad (11)$$

where $M_\rho = \sup_{z \in S_\rho} |R(z) - \phi|$.

Substituting physical values:

- $\varepsilon < 0.08$ (SPARC, Argument 1),
- $L \Delta x \lesssim \varepsilon$ (Bernstein–Markov with $L \leq M_\rho/\rho$, Argument 2),
- $M_\rho/\rho \leq \varepsilon/\rho_0$ with $\rho_0 \sim 99$ (EFT analyticity strip, Argument 3).

This gives $\sup |R - \phi| < 0.17$ from data alone, or parametrically $\sup |R - \phi| \lesssim (\bar{\varphi}/\Lambda)^p$ from EFT power counting, where $\bar{\varphi}/\Lambda < 10^{-24}$ for any cutoff $\Lambda > 1 \text{ GeV}$, $p \geq 1$.

Proof. Step 1. On each subinterval $[x_k, x_{k+1}]$, by the mean value theorem: $|R(x) - R(x_k)| \leq L |x - x_k| \leq L \Delta x$. Combined with (H4): $|R(x) - \phi| \leq \varepsilon + L \Delta x$.

Step 2. The Bernstein inequality for functions analytic in a strip of width ρ gives $L \leq M_\rho/\rho$ [18]. With $M_\rho \leq \varepsilon(\Lambda/\bar{\varphi})^p$ from EFT (H1 + power counting), and $\rho \sim \ln(\Lambda/m)$, the second term is bounded.

Step 3. The compounding constraint (H5) independently requires $|\delta_n| < 0.001$ at each of 11 intermediate scales. This is consistent with, and stronger than, the global bound from Steps 1–2 at the 11 compounding points.

Step 4. A mass ratio satisfying $\sup |R - \phi| \lesssim (\bar{\varphi}/\Lambda)^p$ across the entire physical domain is *structurally indistinguishable* from the constant ϕ . The constant mass ratio $R = \phi$ is the hallmark of geometric mass origin: $m_i = \hbar c/L_i$ with $L_2/L_3 = \phi$ fixed by torus topology ($\tau = i/\phi$). \square

Lemma 6.2 (No-cancellation without fine-tuning). *Let $R_{\text{tot}} = \prod_{n=1}^N R_n$ with $R_n = \phi + \delta_n$. If the deviations $\{\delta_n\}$ are not fine-tuned (i.e., not correlated with alternating signs constructed to cancel), then:*

$$\left| \frac{R_{\text{tot}}}{\phi^N} - 1 \right| \gtrsim \frac{N \langle |\delta| \rangle}{\phi}, \quad (12)$$

where $\langle |\delta| \rangle = N^{-1} \sum_n |\delta_n|$ is the mean absolute deviation.

Proof. $R_{\text{tot}}/\phi^N = \prod_n (1 + \delta_n/\phi)$. Taking logarithms: $\ln(R_{\text{tot}}/\phi^N) = \sum_n \ln(1 + \delta_n/\phi) \approx \sum_n \delta_n/\phi$ for small δ_n . If the δ_n are uncorrelated, $|\sum_n \delta_n| \sim \sqrt{N} \sigma_\delta$ (random walk). For the sum to vanish ($R_{\text{tot}} = \phi^N$), the δ_n must satisfy $\sum_n \delta_n = 0$ *exactly*, which is a codimension-1 constraint not enforced by any symmetry of a generic EFT. With $N = 11$ and $|R_{\text{tot}}/\phi^{11} - 1| < 0.05\%$: $\langle |\delta| \rangle < 0.05\% \phi/11 \approx 7 \times 10^{-5}$. \square

Remark 6.3. Lemma 6.2 is the “No-Go engine”: to maintain the fingerprint over $N = 11$ compounding steps, each step must individually satisfy $|\delta_n| < 7 \times 10^{-5}$. The alternative—fine-tuned cancellation with alternating signs—is a correlation not protected by any symmetry of the scalar action and constitutes fine-tuning of type (b) per Definition D.1.

6.3 Rigidity Upgrade: Four Independent Arguments

The proof above uses the compounding constraint at 11 density points. We now upgrade the rigidity through four independent arguments, resolving the distinction between “numerical rigidity” and “structural identity” (cf. Vega’s critique).

6.3.1 Argument 1: Quasi-continuous observational sampling

SPARC [16] provides 175 galaxies with ~ 3500 radial velocity measurements spanning 4 orders of magnitude in density ($\rho \sim 10^{-26}$ – 10^{-22} g/cm³). Each measurement probes $R(\bar{\varphi})$ at a different background field value. The RMS scatter of 15 km/s (systematic component $\sim 5\%$) constrains:

$$|R(\bar{\varphi}) - \phi| < 0.08 \quad \text{across 4 decades in density (quasi-continuous)}. \quad (13)$$

This replaces the 11-point argument with a quasi-continuous constraint.

6.3.2 Argument 2: Bernstein–Markov global bound

Proposition 6.4 (Global derivative bound). *Let $f(\bar{\varphi}) = R(\bar{\varphi}) - \phi$ be analytic on the physical interval $[\bar{\varphi}_{\min}, \bar{\varphi}_{\max}]$ with $|f| < \Delta$, and extensible to a complex strip of width ρ . Then $|f'(\bar{\varphi})| \leq \Delta/\rho$ everywhere on the interval.*

Proof. Standard Bernstein inequality for functions analytic in a strip [18]. \square

Application: With $\Delta = 0.08$ (Eq. 13) and $\rho \sim \ln(M_{\text{Pl}}/m_1) \approx 99$ (nearest singularity at UV cutoff in the complex $\bar{\varphi}$ -plane):

$$|f'| \leq \frac{0.08}{99} \approx 8 \times 10^{-4}, \quad |f(\bar{\varphi}_{\max}) - f(\bar{\varphi}_{\min})| \leq 10 \times 8 \times 10^{-4} = 0.008. \quad (14)$$

The mass ratio varies by less than 0.5% across *all* galactic densities—a **global** bound, not pointwise.

6.3.3 Argument 3: EFT power counting protection

In any well-defined EFT with cutoff Λ , the mass ratio receives corrections from higher-dimensional operators:

$$R(\bar{\varphi}) = \phi + \sum_{n \geq 1} c_n \left(\frac{\bar{\varphi}}{\Lambda} \right)^n, \quad (15)$$

where c_n are $\mathcal{O}(1)$ Wilson coefficients. At galactic scales, $\bar{\varphi}/\Lambda \sim m_1 Q_1 / M_{\text{Pl}}^2 < 10^{-38}$ (for $\Lambda = M_{\text{Pl}}$). Even for the lowest conceivable cutoff $\Lambda \sim 1$ GeV:

$$\delta R < 10^{-24}. \quad (16)$$

The mass ratio is **structurally protected** by the EFT expansion parameter. This is not a data-driven bound but a consequence of the EFT framework itself.

6.3.4 Argument 4: Inverse spectral uniqueness

The breathing scales $\{\lambda_n\}$ are eigenvalues of the linearized Q-field operator in a background potential $V_{\text{eff}}(r)$.

Proposition 6.5 (Geometric spectrum uniqueness (sketch)). *Let $V_{\text{eff}}(r)$ be a potential on $(0, \infty)$ satisfying:*

- (i) *analyticity on $(0, \infty)$,*
- (ii) *bounded below: $V_{\text{eff}} \geq -C$ for some $C > 0$,*
- (iii) *asymptotic flatness: $V_{\text{eff}}(r) \rightarrow m^2$ as $r \rightarrow \infty$.*

If the eigenvalues of $-\partial_r^2 + V_{\text{eff}}(r)$ satisfy $\omega_{n+1}/\omega_n = 1/\phi$ for $n = 1, \dots, N_{\text{obs}}$ with $N_{\text{obs}} \geq 3$, then V_{eff} is uniquely determined among analytic, asymptotically flat potentials.

Proof sketch. Step 1. The geometric eigenvalue progression $\omega_n = \omega_1/\phi^{n-1}$ determines the eigenvalue counting function $N(\omega) = 1 + \ln(\omega_1/\omega)/\ln \phi$ (logarithmic growth). *Step 2.* By the Weyl law [21], $N(\omega)$ determines the volume of the classically allowed region: $\int_{V(r) < \omega^2} dr = f(\omega)$. The logarithmic form implies $f(\omega) \propto \ln \omega$. *Step 3.* The Abel transform inverts this integral equation: $V_{\text{eff}}(r)$ is determined by $N(\omega)$, yielding a log-periodic potential $V_{\text{eff}} = V_0 + A \cos(2\pi \ln r / \ln \phi)$. *Step 4.* With $N_{\text{obs}} = 5$ observed eigenvalues ($\lambda_1, \lambda_2, \lambda_3, \lambda_4, \lambda_{13}$) spanning 3 decades, the potential is determined at 5 widely separated radii. Combined with analyticity (A7), interpolation fixes V_{eff} everywhere. \square

Remark 6.6. Proposition 6.5 is stated as a sketch because a complete proof would require specifying boundary conditions and verifying the regularity hypotheses of the Gel'fand–Levitan theory for the specific Q-field operator. The φ -Rigidity Theorem (Theorem 6.1) does **not** depend on this Proposition: Arguments 1–3 (SPARC sampling, Bernstein–Markov, EFT power counting) independently establish rigidity at the levels $|R - \phi| < 0.08$, < 0.008 , and $< 10^{-24}$ respectively. Argument 4 provides additional support but is not required.

6.3.5 Summary of rigidity upgrade

#	Argument	Type	Bound on $ R - \phi $
1	SPARC sampling	Observational	< 0.08 (quasi-continuous)
2	Bernstein–Markov	Analytic	Total variation < 0.008
3	EFT power counting	Structural	$< 10^{-24}$
4	Inverse S–L	Support (sketch)	Unique (Prop. 6.5)

Arguments 1–2 establish numerical rigidity from data. Argument 3 establishes structural rigidity protected by the EFT expansion. Argument 4 provides supporting evidence from spectral theory. Lemma 6.2 ensures that fine-tuned cancellation is the only alternative to genuine rigidity.

7 Extension to Exotic Classes

7.1 Class \mathcal{C}_{NL} : Non-Local EFTs

Non-local theories of the form $\mathcal{L} \supset \varphi f(\Box/M^2) \varphi$ (infinite-derivative gravity [10, 11]) or EFTs with memory kernels $\mathcal{L} \supset \int K(x-y) \varphi(x) \varphi(y) d^4y$ could in principle evade locality-based arguments.

Proposition 7.1 (Non-Local Constraint). *Any theory in \mathcal{C}_{NL} that reproduces the 3D+3D fingerprint must satisfy:*

- (i) *the gravitational wave speed constraint $|c_T/c - 1| < 10^{-15}$ from GW170817 [14];*
- (ii) *Solar System precision tests (Cassini: $|\gamma - 1| < 2.3 \times 10^{-5}$) [15];*
- (iii) *the absence of acausal propagation (Kramers–Kronig consistency).*

Proof. (i) Non-local operators generically modify the graviton propagator, altering the gravitational wave speed. The form factor $f(\square/M^2)$ must satisfy $f(0) = 1$ (to recover GR at low energies) and $|f'(0)| < 10^{-15}$ (from GW170817). This constrains the non-local scale M to satisfy $M \gg H_0^{-1}$, effectively making the theory local at all observable scales.

(ii) Non-local modifications at Solar System scales are constrained by the parameterized post-Newtonian formalism. Any non-local correction $\delta\gamma$ to the PPN parameter γ must satisfy $|\delta\gamma| < 2.3 \times 10^{-5}$. For a memory kernel with characteristic scale ℓ , this requires $\ell \ll 1$ AU or $\ell \gg r_{\text{Solar System}}$.

(iii) Kramers-Kronig relations require the retarded Green's function to be analytic in the upper half-plane. For $f(\square/M^2)$ to be an entire function (as required for ghost-freedom in infinite-derivative gravity), the theory must reduce to a local effective description at energies below M .

Combined: any observationally viable theory in \mathcal{C}_{NL} is **effectively local** at all scales where the fingerprint is measured (galactic to cosmic web). Its observable predictions coincide with those of a theory in \mathcal{C}_{gen} , to which the φ -Rigidity Theorem (Theorem 6.1) applies. \square

7.2 Class $\mathcal{C}_{\text{DHOST}}$: Non-Analytic DHOST

DHOST theories [12, 13] allow higher-order equations of motion with degeneracy conditions that eliminate Ostrogradsky ghosts. If the degeneracy functions are non-analytic (C^∞ but not real-analytic), the analyticity hypothesis A7 is violated.

Proposition 7.2 (Non-Analytic Constraint). *Any theory in $\mathcal{C}_{\text{DHOST}}$ that reproduces the ϕ -ladder must have its mass ratio $R(\bar{\varphi})$ satisfy $|R - \phi| < 0.001$ on a dense subset of the physically relevant field range.*

Proof. The compounding argument (Eq. 10) is purely quantitative and does not rely on analyticity. It requires $|\delta_n| < 0.001$ at 11 density regimes spanning 6 orders of magnitude.

For a non-analytic $R(\bar{\varphi})$, one *could* in principle have $R = \phi$ at 11 points while oscillating wildly between them. However:

(a) *Physical constraint:* The mass ratio determines the breathing scale at every radius in every galaxy. Rotation curve data from SPARC [16] (175 galaxies spanning $\rho \sim 10^{-26}$ – 10^{-22} g/cm³) provide a **quasi-continuous** sampling of $R(\bar{\varphi})$ across 4 orders of magnitude in density, not just 11 discrete points. The observed scatter (RMS = 15 km/s) constrains $|R - \phi| < 0.01$ across this entire range.

(b) *EFT constraint:* Non-analytic functions at low energies indicate a breakdown of the EFT expansion. In any consistent quantum field theory, the effective action at energies $E \ll \Lambda_{\text{UV}}$ is an analytic function of the fields [17]. Non-analyticity at observable scales ($E \sim 10^{-24}$ eV for galactic dynamics) would require the UV cutoff to be at or below the mass of the scalar fields themselves, making the EFT inconsistent.

(c) *Occam constraint:* Even granting a non-analytic $R(\bar{\varphi})$ with $|R - \phi| < 0.01$ across 4 orders of magnitude in density, such a function is *operationally indistinguishable* from the constant ϕ . The distinction would require precision better than $0.01/\phi \approx 0.6\%$ over 4 decades—which is consistent with geometric origin.

Therefore: non-analytic DHOST theories either violate EFT consistency, are observationally excluded by SPARC data, or are operationally equivalent to the KK reduction. \square

7.3 EFTs with Memory

Theories with non-Markovian dynamics (“memory EFTs”) where the field equation depends on the field’s history:

$$\square\varphi(x) + \int K(x-y) \varphi(y) d^4y = \frac{\beta}{M_{\text{Pl}}^2} \rho(x), \quad (17)$$

are a subclass of \mathcal{C}_{NL} . The kernel $K(x-y)$ must satisfy causality ($K = 0$ for $y^0 > x^0$) and the constraints of Proposition 7.1. At galactic scales, where the field varies on timescales $T \sim 30$ yr and lengthscales $\lambda \sim 4$ kpc, the memory kernel must have support $\ll T, \ll \lambda$ to satisfy Solar

System constraints. This makes the theory effectively Markovian (local in time) at observable scales, reducing it to \mathcal{C}_{gen} .

7.4 Summary of Exotic Class Analysis

Class	Escapes No-Go?	Why not
\mathcal{C}_{NL} (non-local)	No	Effectively local at observable scales (GW170817 + Solar System)
$\mathcal{C}_{\text{DHOST}}$ (non-analytic)	No	SPARC quasi-continuous sampling + EFT consistency
Memory EFT	No	Effectively Markovian at galactic scales

8 Cross-Domain ϕ -Coherence

Definition 8.1 (ϕ -Coherence). A theory is ϕ -coherent if the golden ratio ϕ appears simultaneously in gauge couplings (α^{-1} , $\sin^2 \theta_W$), scalar field masses (m_3/m_2), eigenvalue ladder (λ_{n+1}/λ_n), and fermion mixing ($\theta_{12}^{\text{PMNS}}$, $\theta_{23}^{\text{PMNS}}$), with all appearances deriving from a single algebraic identity.

Theorem 8.2 (Coherence Constraint). *A theory in \mathcal{C} (or \mathcal{C}^+) is ϕ -coherent only if ≥ 10 of its parameters are algebraically determined by ϕ . The solution set has codimension ≥ 10 in parameter space.*

Proof. The 10 appearances of ϕ each impose one algebraic relation between parameters and ϕ . Since ϕ is irrational ($\phi^2 - \phi - 1 = 0$), these relations are generically independent over \mathbb{Q} . Each independent relation reduces the effective dimension by 1. \square

This is not a statistical claim. It is the structural statement that a ϕ -coherent theory has its parameters algebraically determined. “Having a geometric origin” means precisely this.

9 Scope and Limitations

Every No-Go theorem in physics is conditional:

- Coleman–Mandula [2]: conditioned on locality, mass gap, finite particle number.
- Weinberg–Witten [3]: conditioned on massless particles with spin > 1 in 4D.
- No-hair theorems: conditioned on stationarity and asymptotic flatness.

Our No-Go is conditioned on the classes \mathcal{C} , \mathcal{C}_{gen} , \mathcal{C}_{NL} , $\mathcal{C}_{\text{DHOST}}$. It establishes:

Class	Result	Status
\mathcal{C} (poly. Horndeski)	Impossible (over-det. by 2)	Theorem 4.1
\mathcal{C}_{gen} (analytic Horndeski)	ϕ -rigid (functions fixed)	Theorem 6.1
\mathcal{C}_{NL} (non-local)	Reduces to \mathcal{C}_{gen}	Proposition 7.1
$\mathcal{C}_{\text{DHOST}}$ (non-analytic)	Excluded or equivalent	Proposition 7.2
\mathcal{C}^+ (with gauge/fermions)	Possible but ≥ 19 extra params	Lemma 5.1

Precise scope statement. The No-Go applies to **local analytic 4D effective field theories with finite-dimensional parameter families**. Theories with free functions (infinite-dimensional), non-local kernels, or functional degrees of freedom lie outside the scope of the polynomial class \mathcal{C} but are addressed by the φ -Rigidity Theorem (\mathcal{C}_{gen}) and the exotic class analysis (\mathcal{C}_{NL} , $\mathcal{C}_{\text{DHOST}}$).

What remains outside. Theories that are simultaneously:

1. non-local at scales \ll GW170817 constraint,
2. non-analytic at scales \ll EFT consistency bound,
3. consistent with all Solar System and gravitational wave tests,
4. capable of producing the ϕ -ladder across 6 orders of magnitude,

would evade the No-Go. We are not aware of any such theory. The conditions are mutually restrictive: non-locality strong enough to evade analyticity arguments generically conflicts with conditions (1) and (3).

This is normal for No-Go theorems. The theorem restricts the space of viable alternatives to a precisely defined boundary. What lies beyond that boundary must be addressed by future theoretical work or, more importantly, by observational data.

10 Observational Decision Protocol

	What Euclid sees	Interpretation	Action
A	Feature at k_{13} , correct slope	Confirmed	Publish validation
B	Feature at k_{13} , flat slope	Partially consistent	Investigate; DESI cross-check
C	Feature at k_{13} , wrong slope	Tension	Multi-pipeline analysis
D	Broadband deviation	Not consistent	Generic modified gravity
E	No feature ($> 3\sigma$ exclusion)	Falsified	Publish null result

11 Summary

Against \mathcal{C} :	impossible (over-determined by 2).	(18)
Against \mathcal{C}_{gen} :	ϕ -rigid (free functions uniquely fixed).	
Against $\mathcal{C}_{\text{NL}}, \mathcal{C}_{\text{DHOST}}$:	reduces to \mathcal{C}_{gen} at observable scales.	
Against \mathcal{C}^+ :	requires ≥ 19 extra parameters.	

The theory does not require justification beyond derivation and falsifiability. It requires only tests. The reproduction of the fingerprint via alternative 4D EFT requires introducing additional structure equivalent—in information content—to the 6D geometric origin.

“La teoria non richiede ‘giustificazione’ oltre la derivazione e la falsificabilità: richiede solo test.”

A Red Team Corrections

ID	Issue	Resolution
RT-1	C_1, C_8 algebraically dependent	Removed C_8 ; $T_2 = 2\pi\lambda_2/c$
RT-2	C_6 dependence on $C_1 + C_4$	C_6 constrains λ_{11} (bound state); independent
RT-3	C_2 determined by $C_1 + C_3$	Removed C_2
RT-4	C_9 independence	Constrains λ_{12} ; independent
RT-5	Identity theorem misapplied	Replaced with compounding bound
RT-6	Non-analytic evasion	Added hypothesis A7 + Section 7.2
RT-7	Corrected count	12 independent (not 14); over-det. = 2

B Adversarial Analysis

Five adversarial attacks were attempted on the φ -Rigidity Theorem:

#	Attack	Result	Mechanism
1	Polynomial G_2	Failed	Interpolation exact for $\deg. \leq 10$
2	Oscillating transcendental G_2	Failed	Compounding forces amplitude < 0.001
3	Stitched mechanisms	Fit only	Structure Import Lemma
4	$N > 2$ scalars	Failed	Structural inaccessibility indep. of N
5	Added gauge/topology	Works	≥ 3 extra parameters ($\rightarrow \mathcal{C}^+$)

C Sensitivity Matrix Rank Test

Following the methodology of Vega (OpenAI, adversarial review): for each specific competitor model family, we compute the Jacobian of the fingerprint map and verify that $\text{rank}(J) < \dim(\mathcal{F})$.

Definition C.1 (Fingerprint vector). The astrophysical fingerprint is the vector $\mathcal{F} \in \mathbb{R}^{11}$:

$$\mathcal{F} = (\Delta f_{\sigma 8}, \Delta\gamma, \text{slope}|_{k_{13}}, \lambda_2, m_2/m_1, \beta_1, \beta_2, M_{\text{crit}}, \lambda_{13}, \Omega_{\text{DE}}, w_0). \quad (19)$$

Definition C.2 (Sensitivity matrix). For a competitor model with parameter vector $\theta \in \mathbb{R}^p$, the sensitivity matrix is $J_{ij} = \partial \mathcal{F}_i / \partial \theta_j$, $i = 1, \dots, 11$, $j = 1, \dots, p$.

Results:

Model	p	$\text{rank}(J)$	$\dim(\mathcal{F})$	Failure mode
$w_0 w_a$ CDM	2	2	11	No $\lambda_2, m_2/m_1, \beta_i, M_{\text{crit}}, \lambda_{13}$
$f(R)$ Hu–Sawicki	2	2	11	$\beta_1 = 1/\sqrt{6} \neq 3$; 1 scalar only
Coupled DE	3	3	11	1 scalar \rightarrow no ϕ -ladder
Class \mathcal{C} (2-scalar)	8	7	11	1 free param + structural gap
3D+3D	0	—	11	Matches all 11

For $f(R)$, the coupling is *structurally wrong*: $\beta_{\text{scalar}} = 1/\sqrt{6} \approx 0.408$, fixed by the conformal transformation, not a tunable parameter. No value of (f_{R0}, n) can produce $\beta_1 = 3$. For class \mathcal{C} , the rank deficiency is 1 (the null direction is λ_{22} , as proven in Proposition 4.2), and the structural constraints C_{12} – C_{14} are categorically inaccessible.

Reproducibility procedure. For any competitor model M with parameters θ :

1. Define the fingerprint map $\mathcal{F}_M: \theta \mapsto \mathcal{F}$ using the model’s field equations.
2. Choose a fiducial point θ_0 (e.g., best-fit to Λ CDM or SPARC).
3. Compute $J_{ij} = \partial \mathcal{F}_i / \partial \theta_j|_{\theta_0}$ via finite differences: $J_{ij} \approx [\mathcal{F}_i(\theta_0 + \epsilon \hat{e}_j) - \mathcal{F}_i(\theta_0)]/\epsilon$.
4. Compute $\text{rank}(J)$ via SVD with threshold $\sigma_{\min}/\sigma_{\max} > 10^{-6}$.
5. Verify robustness: repeat at 10 random perturbations of θ_0 and confirm rank is stable.

The Python implementation is provided in the supplementary material (`sensitivity_matrix.py`).

Target values and tolerances.

i	Component \mathcal{F}_i	Target value	Tolerance
1	$\Delta f_{\sigma 8}/f_{\sigma 8}$	+0.8%	$\pm 0.5\%$
2	$\Delta\gamma/\gamma$	-0.5%	$\pm 0.3\%$
3	$d(\Delta P/P)/dk _{k_{13}}$	< 0 (negative)	sign
4	λ_2	4.30 kpc	± 0.2 kpc
5	m_2/m_1	$\phi = 1.618$	± 0.01
6	β_1	3 (exact)	integer
7	β_2	2 (exact)	integer
8	M_{crit}	$2.43 \times 10^{10} M_{\odot}$	$\pm 10\%$
9	λ_{13}	0.856 Mpc	± 0.05 Mpc
10	Ω_{DE}	0.71	± 0.02
11	w_0	-0.50	± 0.05

D Formal Definition of Fine-Tuning

Definition D.1 (Fine-tuning). A theory S with parameter space Θ exhibits **fine-tuning** with respect to the fingerprint \mathcal{F} if reproducing \mathcal{F} requires:

- (a) choosing θ from a subset of Lebesgue measure zero in Θ (measure-zero tuning), or
- (b) imposing algebraic correlations between nominally independent parameters that are not enforced by any symmetry of the action (correlation tuning), or
- (c) selecting specific functional forms for free functions $G_k(\varphi, X)$ that are not derivable from the symmetry content of S (functional tuning).

For the 3D+3D framework: $\mathcal{I}(3\text{D}+3\text{D}) = 0$ and all predictions follow from $\tau = i/\phi$. No fine-tuning of any type. For class \mathcal{C} : type (a) applies ($\beta_1 = 3$, $\beta_2 = 2$ is measure-zero); type (b) applies (7 independent conditions on 8 parameters require correlated solutions).

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