II. Hubbard model and HTSC

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- Tight-binding model Hamiltonian
- Coulomb interaction and Hubbard model
- Hubbard model in terms of Hubbard operators $X^{\alpha\beta}$

- strongly correlated system $\Rightarrow U \gg W$

Tight-binding Hamiltonian

- Hamiltonian for solid with N electrons $H_e = T + H_{el} + H_c$

 $H_e = \int d^3 r \hat{\psi}^{\dagger}(\mathbf{r}) \epsilon_0(\hat{p}) \hat{\psi}(\mathbf{r}) +$

$$+\frac{1}{2}\int d^{3}r d^{3}r'\hat{\psi}^{\dagger}(\mathbf{r})\hat{\psi}(\mathbf{r})V_{c}(\mathbf{r}-\mathbf{r}')\hat{\psi}^{\dagger}(\mathbf{r}')\hat{\psi}(\mathbf{r}')$$
(1)

$$\{\hat{f}_i,\hat{f}_j^\dagger\}=\delta_{ij}$$

 \downarrow

- in solids two set of basis are usually used: plane waves and tight-binding

Plane waves basis

$$\hat{\psi}(\mathbf{r}) = \frac{1}{\sqrt{V}} \sum_{\mathbf{k}\sigma} \hat{f}_{\mathbf{k}\sigma} e^{i\mathbf{k}\mathbf{r}} \chi_{\sigma}$$
(5)

$$\hat{\psi}^{\dagger}(\mathbf{r})\hat{\psi}(\mathbf{r}) = \frac{1}{V}\sum_{\mathbf{k}\sigma}\hat{\rho}_{\mathbf{k}}e^{-i\mathbf{k}\mathbf{r}}$$
(6)
$$\hat{\rho}_{\mathbf{k}} = \sum_{\mathbf{q}\sigma}\hat{f}^{\dagger}_{\mathbf{k}+\mathbf{q}\sigma}\hat{f}_{\mathbf{q}\sigma}$$

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- kinetic energy T

$$T = \sum_{\mathbf{k}\sigma} \epsilon_{\mathbf{k}} \hat{f}^{\dagger}_{\mathbf{k}\sigma} \hat{f}_{\mathbf{k}\sigma}$$
(7)

- Electron-lattice interaction (**G**-reciprocal lattice vectors)

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$$H_{el} = \sum_{\mathbf{G}} V_{el,\mathbf{G}} \hat{\rho}_{\mathbf{G}}$$
(8)

↓ - e-e Coulomb interaction ↓

$$H_c = \sum_{\mathbf{k}} V_{c,\mathbf{k}} \hat{\rho}_{\mathbf{k}}^{\dagger} \hat{\rho}_{\mathbf{k}}$$
(9a)

- Coulomb interaction $V_{c,\mathbf{k}}$,

$$V_{c,\mathbf{k}} = \frac{4\pi e^2}{k^2 \varepsilon_\infty \Omega}$$
 (9b)

 \downarrow ϵ_{∞} - dielectric function (high energy screening)

 \downarrow $\Omega = V/N$

↓

Tight-binding basis ↓ - Wannier orbitals $\phi(\mathbf{r} - \mathbf{R}_m)$ ↓ $T = \sum_{m\sigma} T_{0,m} \hat{f}^{\dagger}_{m\sigma} \hat{f}_{m\sigma} + \sum_{m \neq n\sigma} T_{mn} \hat{f}^{\dagger}_{m\sigma} \hat{f}_{n\sigma}$ (10)

 \downarrow

$$T_{mn} = \frac{\hbar^2}{2m} \int d^3 r \nabla \phi^* (\mathbf{r} - \mathbf{R}_m) \nabla \phi (\mathbf{r} - \mathbf{R}_n)$$
(11)

↓
- electron-lattice interaction
↓

$$H_{el} = \sum_{m\sigma} V_{el,0,m} \hat{f}^{\dagger}_{m\sigma} \hat{f}_{m\sigma} + \sum_{m\neq n\sigma} V_{el,mn} \hat{f}^{\dagger}_{m\sigma} \hat{f}_{n\sigma}$$
(12

)

$$V_{el,mn} = \int d^3 r \phi^* (\mathbf{r} - \mathbf{R}_m) V_{el}(\mathbf{r}) \phi(\mathbf{r} - \mathbf{R}_n)$$
(13)

- e-e Coulomb interaction (only two-center terms included)

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↓ - for well localized $\phi(\mathbf{r} - \mathbf{R}_n) \implies V_{c,mn} \approx \frac{e^2}{R_{mn}}$ - note $\hat{n}_{m\sigma}^2 = \hat{n}_{m\sigma}$

- "atomic level" $\epsilon_{a,m} = T_{0,m} + V_{el,0,m} < 0$

↓ EXTENDED HUBBARD MODEL ↓

$$H_{H}^{e} = \sum_{m\sigma} \epsilon_{a,m} \hat{n}_{m\sigma} - \sum_{m\neq n\sigma} t_{mn} \hat{f}_{m\sigma}^{\dagger} \hat{f}_{n\sigma}$$
$$+ U \sum_{m} \hat{n}_{m\uparrow} \hat{n}_{m\downarrow} + \frac{1}{2} \sum_{m\neq n\sigma\sigma'} V_{c,mn} \hat{n}_{m\sigma} \hat{n}_{n\sigma'}$$
(16)

↓
- Note,
$$t_{mn} = -(T_{mn} + V_{el,mn})$$

↓
- Brillouin zone wave vector basis
↓
 $\hat{c} = 1 \sum \hat{c} = ikB$

↓

↓

$$\hat{f}_{n\sigma} = \frac{1}{\sqrt{N}} \sum_{\mathbf{k}} \hat{f}_{\mathbf{k}\sigma} e^{i\mathbf{k}\mathbf{R}_n}$$
(17)

$$\sum_{n} \hat{f}_{n\sigma}^{\dagger} \hat{f}_{n\sigma} = \sum_{\mathbf{k}} \hat{f}_{\mathbf{k}\sigma}^{\dagger} \hat{f}_{\mathbf{k}\sigma}$$
(18)

)

$$H_{H}^{e} = \epsilon_{a} \sum_{\mathbf{k}\sigma} \hat{n}_{\mathbf{k}\sigma} - \sum_{\mathbf{k}} t_{\mathbf{k}} \hat{f}_{\mathbf{k}\sigma}^{\dagger} \hat{f}_{\mathbf{k}\sigma}$$
$$+ \frac{U}{N} \sum_{\mathbf{k}} \rho_{k\uparrow}^{\dagger} \rho_{k\downarrow} + \frac{1}{2N} \sum_{\mathbf{k}\sigma\sigma'} V_{c,\mathbf{k}} \rho_{k\sigma}^{\dagger} \rho_{k\sigma'}$$
(19a)

$$t_{\mathbf{k}} = \sum_{\mathbf{R}_n \neq 0} t_n e^{-i\mathbf{k}\mathbf{R}_n}$$

$$V_{c,\mathbf{k}} = \sum_{\mathbf{R}_n \neq 0} (e^2 / R_n) e^{i\mathbf{k}\mathbf{R}_n}$$
(19b)

- note and

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- usually is V_c neglected and assumed t_n \neq 0 for n.n.
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↓ Small U Hubbard Model -metals

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- small U \implies U \ll W (band width)

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- charge susceptibility (in imaginary

frequency i\omega_n)
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$$\downarrow \chi_{c}(\mathbf{k}, i\omega_{n}) = -\frac{1}{N} \int_{0}^{\beta} d\tau e^{i\omega_{n}\tau} < T_{\tau}\rho_{\mathbf{k}}(\tau)\rho_{\mathbf{k}}^{\dagger}(0) >$$

$$(20)$$

$$= 2(\chi_{\uparrow\uparrow} + \chi_{\uparrow\downarrow})$$

$$\downarrow$$

$$\rho_{\mathbf{k}} = \rho_{\mathbf{k}\uparrow} + \rho_{\mathbf{k}\downarrow} \tag{21}$$

$$\chi_{c}(\mathbf{k}, i\omega_{n}) = \frac{2P(\mathbf{k}, i\omega_{n})}{1 - (U + 2V_{c,\mathbf{k}})P(\mathbf{k}, i\omega_{n})}$$
(22)

$$\downarrow \\ \text{- spin susceptibility } \chi_{s}(\mathbf{k}, i\omega_{n}) \\ \downarrow \\ \chi_{s}(\mathbf{k}, i\omega_{n}) = -\frac{1}{N} \int_{0}^{\beta} d\tau e^{i\omega_{n}\tau} < T_{\tau} s_{\mathbf{k}}^{z}(\tau) s_{\mathbf{k}}^{z\dagger}(0) >$$

$$(23)$$

$$= 2(\chi_{\uparrow\uparrow} - \chi_{\uparrow\downarrow})$$

 \downarrow

 \downarrow

$$s_{\mathbf{k}}^{z}(\tau) = \rho_{\mathbf{k}\uparrow} - \rho_{\mathbf{k}\downarrow} \qquad (24)$$

$$\chi_{s}(\mathbf{k}, i\omega_{n}) = \frac{2P(\mathbf{k}, i\omega_{n})}{1 + UP(\mathbf{k}, i\omega_{n})} \qquad (25)$$

$$P_{\sigma}^{RPA}(\mathbf{k}, i\omega_{n}) = -\frac{1}{N} \sum_{q} G(q)G(k+q)$$

$$= \frac{1}{N} \sum_{\mathbf{q}} \frac{n_{F}(\xi_{\mathbf{q}}) - n_{F}(\xi_{\mathbf{k}+\mathbf{q}})}{i\omega_{n} + \xi_{\mathbf{q}} - \xi_{\mathbf{k}+\mathbf{q}}} \qquad (26)$$

$$\chi_{c}(\mathbf{k}) = -\frac{N(0)}{1 + N(0)U + \frac{k_{sc}^{2}}{k^{2}}} \qquad (27)$$

- in metals $\chi_c(\mathbf{k} \to \mathbf{0}) \to 0$

Charge collective modes for U<<W \downarrow define $r = -\frac{\omega}{2}$

- define
$$x = \frac{\omega}{kv_F}$$

- for $x \to 0$
 $P_{\sigma}^{RPA}(0) = -N(0)$ (28)
- for $x \to \infty$ (in d-dimensions)
 \downarrow
 $P_{\sigma}^{RPA}(k) = \frac{k^2 a^2 E}{\omega^2 d}$ (29)
 \downarrow
- average "kinetic" energy E
 \downarrow
 $E = \frac{1}{N} \sum_{\mathbf{k}} t_{\mathbf{k}} n_F(\xi_{\mathbf{k}})$

↓
$$\xi_{\mathbf{k}} = -t_{\mathbf{k}} - \mu$$

↓
- in metals

$$\chi_{c}(\mathbf{k} \rightarrow \mathbf{0}, \omega) = -\frac{2n_{0}a^{2}k^{2}E}{\omega^{2} - \omega_{pl}^{2}} \quad (30)$$

$$\downarrow$$

$$\omega_{pl}^{2} = \frac{4\pi^{2}n_{0}e^{2}}{\varepsilon_{\infty}m} \quad (31)$$

$$\downarrow$$
- in metals plasma collective mode with ω_{pl}

$$\downarrow$$
- neutral systems $\Rightarrow V_{c} = 0 \Rightarrow \text{ pure}$
Hubbard model
$$\downarrow$$

$$\chi_{c}(\mathbf{k} \rightarrow \mathbf{0}, \omega) = -\frac{2n_{0}a^{2}k^{2}E}{\omega^{2} - \omega_{k}^{2}} \quad (32a)$$
- sound-like mode $(v_{c}^{2} = a^{2}UE/d)$

$$\omega_{k}^{2} = v_{c}^{2}k^{2} \quad (32b)$$

$$\downarrow$$
a - nearest neighbour distance
$$\downarrow$$

 n_0 - density of electrons

 \downarrow

Antiferromagnetism and spin collective modes

$$\chi_{s}(\mathbf{k}) = \frac{2P(\mathbf{k})}{1 + UP(\mathbf{k})}$$
(35)
- at $T > 0$
 \downarrow
- at $\mathbf{k} = 0$
 $P^{RPA}(\mathbf{0}) \sim -\frac{1}{t} \ln \frac{t}{T}$ (36)
- at $\mathbf{Q} = (\pi, \pi)$
 $P(\mathbf{k} = \mathbf{Q}) \sim -\frac{1}{t} \ln^{2} \frac{t}{T}$ (37)
 \downarrow
- AF (SDW) instability at T_{SDW}
 \downarrow
 $1 + UP(\mathbf{Q}) = 0$ (38)
 \downarrow
 $T_{SDW} \sim te^{-2\pi(t/U)^{2}}$ (39)
 \downarrow
- for $n \leq 1$ AF fluctuations are inherent
(**Fig.AF**)
 \downarrow

Hubbard model with large U>>W ↓

$$H = -t \sum_{m \neq n\sigma} \hat{f}_{m\sigma}^{\dagger} \hat{f}_{n\sigma} + U \sum_{m} \hat{n}_{m\uparrow} \hat{n}_{m\downarrow}$$

$$\downarrow$$
- doubly occupation ("doublons") is
suppressed for $U \gg W$

$$\downarrow$$
- novel types of screening is expected
$$\downarrow$$
- Hilbert space {| $\alpha \gg$ | $0 >$, | $2 >$, | \uparrow >, | \downarrow >}
- Hubbard projection operators $X^{\alpha\beta}$;
 $\alpha, \beta = 0, 2, \sigma = \uparrow (+), \sigma = \downarrow (-)$

$$\downarrow$$

$$X^{\alpha\beta} = | \alpha > < \beta | \qquad (41)$$

$$\downarrow$$

$$X^{\alpha\beta}X^{\gamma\delta} = \delta_{\beta\gamma}X^{\alpha\delta} \qquad (42)$$

$$\downarrow$$

- "ugly" algebra

(40)

$$\downarrow X_{i}^{\alpha\beta}X_{j}^{\gamma\delta} \pm X_{j}^{\gamma\delta}X_{i}^{\alpha\beta} = \delta_{ij}(\delta_{\beta\gamma}X_{i}^{\alpha\delta} \pm \delta_{\delta\alpha}X^{\gamma\beta}$$
(43)

$$\downarrow$$
- completeness relation
$$\downarrow$$

$$X_{i}^{00} + X_{i}^{22} + \sum_{\sigma} X_{i}^{\sigma\sigma} = 1 \quad (44)$$

$$\downarrow$$

$$-\hat{f}_{i\sigma} \text{ versus } X^{\alpha\beta}$$
(if $\sigma =\uparrow \Rightarrow \bar{\sigma} =\downarrow$)
$$\downarrow$$

$$\hat{f}_{i\sigma} = X_{i}^{0\sigma} + \sigma X_{i}^{\bar{\sigma}2}$$

$$\hat{f}_{i\sigma}^{\dagger} = X_{i}^{\sigma0} + \sigma X_{i}^{2\bar{\sigma}} \quad (45)$$

$$n_{i} = 1 - X_{i}^{00} + X_{i}^{22} \quad (46)$$

$$S_{i}^{+} = \hat{f}_{i\uparrow}^{\dagger} \hat{f}_{i\downarrow} = X_{i}^{+-} = (S_{i}^{-})^{\dagger} = (X_{i}^{-+})^{\dagger}$$

$$S_{i}^{z} = \frac{1}{2} (\hat{f}_{i\uparrow}^{\dagger} \hat{f}_{i\uparrow} - \hat{f}_{i\downarrow}^{\dagger} \hat{f}_{i\downarrow}) = \frac{1}{2} (X_{i}^{++} - X_{i}^{--})$$
(47)

$\downarrow X^{\alpha\beta} \text{ VERSUS } \hat{f}_{i\sigma}$ $\downarrow X^{\sigma0} = \hat{f}^{\dagger}_{\sigma}(1 - \hat{n}_{\bar{\sigma}}); X^{\sigma\bar{\sigma}} = \hat{f}^{\dagger}_{\sigma}\hat{f}_{\bar{\sigma}} \quad (48)$

$$X^{\sigma\sigma} = \hat{n}_{\sigma}(1 - \hat{n}_{\bar{\sigma}}) \tag{49}$$

$$X^{00} = (1 - \hat{n}_{\uparrow})(1 - \hat{n}_{\downarrow})$$
 (50)

$$X^{2\sigma} = \sigma \hat{f}^{\dagger}_{\sigma} \hat{n}_{\sigma} ; \quad X^{20} = \sigma \hat{f}^{\dagger}_{\sigma} \hat{f}_{\sigma}$$
 (51)

$$X^{22} = n_{\uparrow} n_{\downarrow} \tag{52}$$

↓ - Hamiltonian in terms of $X^{\alpha\beta} \Rightarrow$ correlated motion of holes (electrons)

↓

$$H = -t \sum_{ij\sigma} (X_i^{\sigma 0} X_j^{0\sigma} + X_i^{2\sigma} X_j^{\sigma 2})$$

$$-t\sum_{ij\sigma}\sigma(X_i^{\sigma 0}X_j^{\bar{\sigma} 2}+X_i^{2\bar{\sigma}}X_j^{0\sigma})+U\sum_i X_i^{22}$$

$$= H_1 + H_{12} + H_2 \tag{53}$$

 $H_1 \implies$ single hole motion \implies lower Hubbard band

 $H_2 \implies$ two holes \implies upper Hubbard band

 $H_{12} \Rightarrow$ connect two bands

Effective Hamiltonian for U >> t

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→ Perturbation over U-term
↓
- canonical transformation S ⇒ mixes lower and upper band
↓
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 $H_{eff} = e^{S} H e^{-S}$ = $H + [S, H] + \frac{1}{2} [S, [S, H]] + ... (54)$

$$S = \chi \sum_{ij\sigma} (X_i^{\sigma 0} X_j^{\bar{\sigma} 2} - X_i^{2\bar{\sigma}} X_j^{0\sigma})$$
 (55)

 $\downarrow \\ x \implies \text{disappear all L-U processes} \sim t$ $x = -\frac{t}{U}$ $H_{12} + [S, H_2] = 0$ (56)

↓

↓

$$H_{eff} = -t \sum_{ij\sigma} X_i^{\sigma 0} X_j^{0\sigma} + H_{3s}$$

$$+J\sum_{ij\sigma} (\mathbf{S}_i \mathbf{S}_j - \frac{1}{4}\hat{n}_i \hat{n}_j) + H_2 \qquad (57)$$

↓ - exchange energy $J = 2t^2/U$ - $H_2 \implies$ motion of "doublons" ↓

$$H_{2} = U \sum_{i} X_{i}^{22} - t \sum_{ij\sigma} X_{i}^{2\sigma} X_{j}^{\sigma 2}$$
 (58)

↓ - three sites term H_{3s} (usually neglected in t-J model) ↓

$$H_{3s} = \frac{J}{2} \sum_{ijl\sigma} (X_i^{\bar{\sigma}0} X_l^{\sigma\bar{\sigma}} X_j^{0\sigma} - X_i^{\sigma 0} X_l^{\bar{\sigma}\bar{\sigma}} X_j^{0\sigma})$$

(59)

$$PH_{eff}P = H_{tJ}$$

$$H_{tJ} = -t \sum_{ij\sigma} X_i^{\sigma 0} X_j^{0\sigma} + J \sum_{ij\sigma} (\mathbf{S}_i \mathbf{S}_j - \frac{1}{4} \hat{n}_i \hat{n}_j)$$

$$= -t \sum_{ij\sigma} X_i^{\sigma 0} X_j^{0\sigma} + \frac{J}{2} \sum_{ij\sigma} (X_i^{\sigma \bar{\sigma}} X_j^{\bar{\sigma}\sigma} - X_i^{\sigma \sigma} X_j^{\bar{\sigma}\bar{\sigma}})$$

$$(60)$$

- Spin operators S^{\pm}, S^{z} do not describe correctly the electron spin!

S = 0, 1/2

$$[S_{i}^{+}, S_{j}^{-}] = 2\delta_{ij}S_{i}^{z}$$

$$[S_{i}^{z}, S_{j}^{\pm}] = \pm \delta_{ij}S_{i}^{\pm}$$
(61)
$$\mathbf{S}_{i}^{2} = \frac{3}{4}\hat{n}_{i} \neq \frac{3}{4}$$
(62)

 $\downarrow Ugly algebra of <math>X^{\alpha\beta} \Rightarrow How \text{ to treat } H_{tJ} ?$ $\downarrow Various representations of <math>X^{\alpha\beta}$ $\downarrow SLAVE BOSON METHOD$ $\downarrow F_{i\sigma} - \text{fermion (spinon); } B_i - \text{boson (holon)}$ $\downarrow X^{0\sigma} = F_{\sigma}B^{\dagger} \qquad (63)$

constraint on Hilbert space (completeness)

 \downarrow

 H_{tJ}

$$B^{\dagger}B + \sum_{\sigma} F^{\dagger}_{\sigma}F_{\sigma} = 1$$
(64)
$$= -t \sum_{ij\sigma} F^{\dagger}_{i\sigma}F_{j\sigma}B_{i}B^{\dagger}_{j} + \frac{J}{2} \sum_{ij\sigma\sigma'} F^{\dagger}_{i\sigma}F_{j\sigma}F^{\dagger}_{j\sigma'}F_{i\sigma'}$$
(65)

↓ - partition function ($F_{i\sigma}$ - Grassman variable) ↓

$$Z = \int D\lambda_i DB_i DB_i^* DF_{i\sigma} DF_{i\sigma}^* e^{-\int_0^\beta (L+H_{tJ})d\tau}$$
(66)

$$L == \sum_{i\sigma} F_{i\sigma}^{\dagger} (\frac{\partial}{\partial \tau} - \mu) F_{j\sigma} + \sum_{i} B_{i}^{\dagger} \frac{\partial}{\partial \tau} B_{i}$$
$$+ \sum_{i} \lambda_{i} (B_{i}^{\dagger} B_{i} + \sum_{\sigma} F_{i\sigma}^{\dagger} F_{i\sigma} - 1) \quad (67)$$

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 \downarrow

- 1/N expansion as a controllable methods

Ţ **SLAVE FERMION METHOD** \downarrow $X^{0\sigma} = B^{\dagger}_{\sigma} F$ (68)↓ - constraint on Hilbert space \downarrow $F^{\dagger}F + \sum B_{\sigma}^{\dagger}B_{\sigma} = 1$ (69) σ ↓ **SPIN FERMION METHOD** ↓ $\hat{f}_{\uparrow}^{\dagger}\hat{f}_{\uparrow}+\hat{f}_{\downarrow}^{\dagger}\hat{f}_{\downarrow}\,=\,1-F^{\dagger}F$ (70) $\mathbf{S} = \mathbf{S}(1 - F^{\dagger}F)$ (71) \downarrow $H_{tJ} = 2t \sum_{ij} F_i^{\dagger} F_j (\mathbf{S}_i \mathbf{S}_j + \frac{1}{4})$

+
$$J \sum_{ij} (1 - F_i^{\dagger} F_i) (\mathbf{s}_i \mathbf{s}_j - \frac{1}{4}) (1 - F_j^{\dagger} F_j)$$
 (72)

↓ PROPERTIES OF REPRESENTATIONS ↓

- nonuniqueness (ambiguity)
- Fermi-Boson diagram technique possible
- constraint gives rise to singular kinematical interaction
- difficult to find controllable approximation