

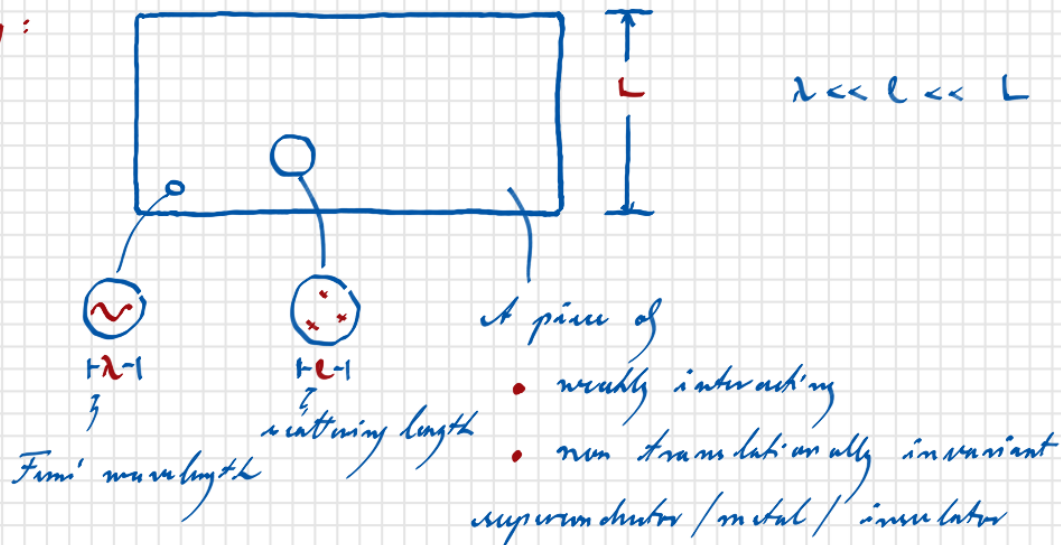
strong inter-  
actions

weak inter-  
actions

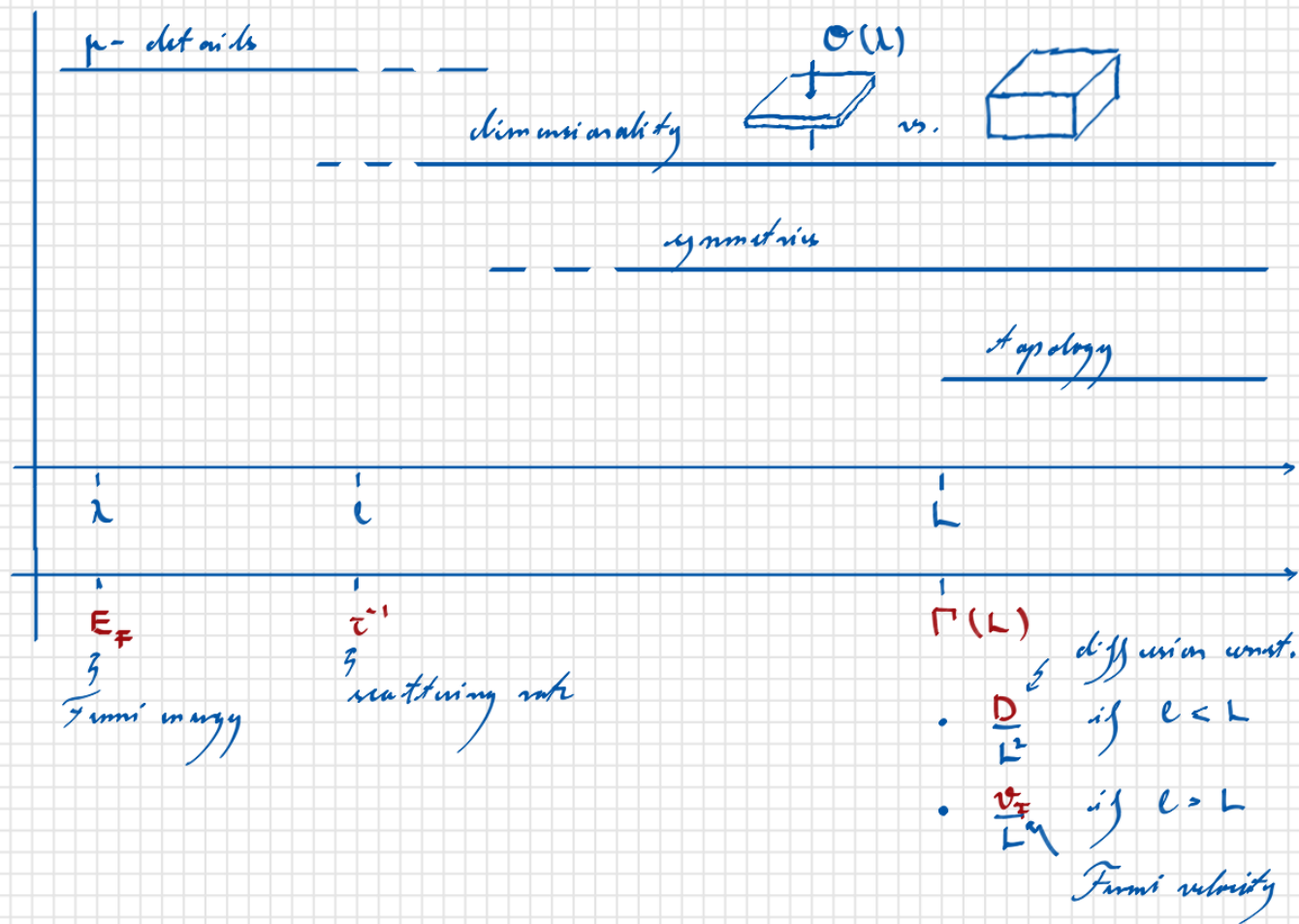
# Topological Matter

# Symmetries and Topology in Non-Interacting Fermion Systems

The Setting:



Physical concepts relevant to different length scales



## Symmetries in QM

Given: Hilbert Space  $\mathcal{H}$  of Dimension  $N$  States  $|\psi\rangle$   
Hamiltonian  $\hat{H}$  Symmetry group  $G \ni g$

Symmetry group represented on  $\mathcal{H}$  through transformations  $|\psi\rangle \rightarrow g|\psi\rangle$

Many symmetries of QM (Translations, rotations, crystal point operations, ...) are **unitary symmetries**  $\equiv g \in U(N)$ , the group of unitary transformations of  $\mathcal{H}$ .

More important for present context: **anti-unitary symmetries** when  $G$  is represented through anti-unitary maps  $g \equiv \Theta$ .

Reminder:  $\Theta: \mathcal{H} \rightarrow \mathcal{H}$  is anti-unitary iff

- $\langle \Theta\psi, \Theta\psi' \rangle = \overline{\langle \psi, \psi' \rangle} = \langle \psi', \psi \rangle$
- $\Theta|z\rangle = \bar{z} \Theta|\psi\rangle \quad z \in \mathbb{C}$

$\exists U \in U(N) : \Theta = UK \quad K: \text{complex conjugation}$

Physics:  $\Theta^2 = \pm \text{id}$  e.g.:  $K^2 = \text{id}$ ,  $[(i^{-1})K]^2 = -\text{id}$ .

Examples: Time reversal, particle-hole symmetry, charge conjugation symmetry, ...

Warning: Highly confusing notations/definitions in circulation!

# 10 Symmetry classes (nutshell intro)

Def: A system is *time reversal symmetric* if  $\exists \Theta_T: \Theta_T^{-1} \hat{H} \Theta_T = + \hat{H}$

~ 3 possibilities:

sym.	$\Theta_T^2$	T
-	x	0
+	+id	+1
+	-id	-1

Comment: Often (but not always\*) systems with  $\frac{1}{2}$ -integer spin have  $T=-1$

Def: A system is *charge conjugation symmetric* iff  $\exists E_C: E_C^{-1} \hat{H} E_C = - \hat{H}$

~ 3 possibilities

sym.	$E_C^2$	C
-	x	0
+	+id	+1
+	-id	-1

Comment: Usually\*\* requires Wigner structure:  $H = \begin{pmatrix} h & \Delta \\ \Delta & -h^T \end{pmatrix}$  symmetric under  $E_C = (i^{-i}) K$ .

Def: A system is called *particle-hole symmetric* if it is symmetric under  $S = C \cdot T$  (and therefore also  $T \cdot C = \underbrace{T \cdot C \cdot T^{-1}}_{C'} \cdot T$ )

~ 4 (!) possibilities. Comments

T	C	S
$\pm 1$	$\pm 1$	1
$\pm 1$	0	0
0	$\pm 1$	0
0	0	0
0	0	1

•  $(E_C \cdot \Theta_T) \hat{H} \cdot (E_T^{-1} \cdot E_C^{-1}) = - \hat{H} \sim S=1: \hat{H}$  anti-commutes with unitary operator, a *chiral symmetry*

•  $T=0, C=0$  does not fix S

In total  $3 \times 3 + 1 = 10$  symmetry classes

\* Example: spinless wave functions of graphene subject to intervalley scattering have  $T=-1$ .

\*\* Example:  $\hat{H} = i \hat{A}, \hat{A}^T = - \hat{A}$  C-symmetric under  $E_C = K$



# Definition and application cases of symmetry classes

T	+1	+1	+1	-1	-1	-1	0	0	0	0
C	+1	-1	0	+1	-1	0	+1	-1	0	0
S	1	1	0	1	1	0	0	0	0	1
label	BDI	CI	AI	DIII	CII	AII	D	C	A	AIII

## Properties of symmetry classes (para-topology)

- Systems with  $C = \pm 1$  (superconductors) and AIII have spectrum symmetric around 0

$$\hat{H}|\psi\rangle = \epsilon|\psi\rangle \Rightarrow \hat{H}C|\psi\rangle = -C\hat{H}|\psi\rangle = -\epsilon C|\psi\rangle$$

Note: For  $\epsilon = 0$   $|\psi\rangle$  and  $C|\psi\rangle$  can be degenerate. This is the case with topological zero modes.

- Near symmetry point  $\epsilon = 0$ : quantum interference phenomena

Consider, e.g., single particle density of states of gapless (!) superconductor

$$\rho(\epsilon) = -\frac{1}{2\pi} \text{Im} \text{tr}(\hat{G}^+(\epsilon)\sigma_3) = -\frac{1}{2\pi} \text{Im} \int dx \text{tr} \langle x | \hat{G}^+(\epsilon) \sigma_3 | x \rangle$$

$$(\hat{G}^+(\epsilon))^{-1} = \epsilon^+ \mathbb{1} - \underbrace{\begin{pmatrix} \hbar & \Delta \\ \Delta^\dagger & -\hbar^T \end{pmatrix}}_{\hat{H}} \quad \Delta = -\Delta^T$$

- Gaplessness:  $\Delta$  vanishes 'on average', e.g. in d, p-wave superconductor, SN hybrid system, ...

- Symmetry:  $\sigma_x \hat{H}^T \sigma_x = -\hat{H}$ . With  $C = \sigma_x K$ :  $C = +1, T = 0$  class D

with  $\hat{G}^{\pm}$  as:

'normal' retarded propagation of quasi-particle at energy  $\epsilon$

$$\hat{G}^{\pm}(\epsilon) = \begin{pmatrix} \epsilon + i0 - h & \Delta \\ \Delta^{\dagger} & -(-\epsilon - i0 - h^T) \end{pmatrix}^{-1}$$

scattering between particle and hole

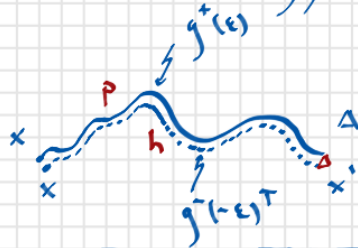
propagation of hole at energy  $-\epsilon$  backwards in time ( $h^T$ ).

Heuristic interpretation of scattering

• Def:  $g^{\pm}(\epsilon) = (\epsilon^{\pm} - h)^{-1}$

• Consider  $G_{12}^{\pm}(x, x', \epsilon) =$  amplitude for particle at energy  $\epsilon$  to get scattered into hole at energy  $-\epsilon$

Pictorially:



Note:  $\langle x' | \bar{g}(-\epsilon)^T | x \rangle = \overline{\langle x | g^{\pm}(\epsilon) | x' \rangle}$  : hole amplitude is complex conjugate of particle amplitude

= Fourier transform of probability to propagate  $x \xrightarrow{\text{time}} x'$  in time  $\equiv \Pi(x, x', \epsilon)$

• The dependence of  $\Pi$  coordinates/energy depends on type of system (disorder, size). For simplicity: consider finite size system at energies  $\epsilon < \Gamma(L)$  corresponding to  $\text{Acous } t > \Gamma(L)^{-1}$ : ergodic regime  $\sim \Pi(x, x', t) \approx L^{-d} \Theta(t)$ , independent of  $x, x'$  and normalized  $\int dx' \Pi(x, x', t) = 1$ . Fourier transform: Heaviside

$$\Pi(x, x', \epsilon) = L^{-d} \frac{1}{\epsilon^{\pm}}$$

Return amplitude singular at low energies. Observable consequences: band center anomalies in density of states and transport coefficients.

Example:  $\rho(\epsilon)$  of class D superconductor (relevant to observation of Majorana fermions c.f. 1206.0434 for the full story).  $\rho(\epsilon) = -\frac{1}{2\pi} \int dx \operatorname{Im} (\hat{G}_{11}^+(x, x, \epsilon) - \hat{G}_{22}^+(x, x, \epsilon))$

Lowest order pert. theory in  $\Delta$ :

$$\hat{G}_{11}^+(x, x, \epsilon) \sim \text{[diagram of a loop with a red arrow] } \sim \frac{1}{\epsilon^2}$$

Full resummation of series (complicated):

$$\rho(\epsilon) = \rho_0 \left( 1 + \frac{\sin(\pi\epsilon/\delta)}{\pi\epsilon/\delta} \right)$$



$\delta = \rho_0^{-1}$  single particle level spacing

- Remarks:
- Effect conceptually related to weak localization of ordinary metals
  - Spectral peak looks like a zero-energy 'state'.
  - Can easily be confused with topological zero mode (Majorana fermion)
  - Not of topological origin.

# Symmetries & Topology

## The geometry of symmetry classes

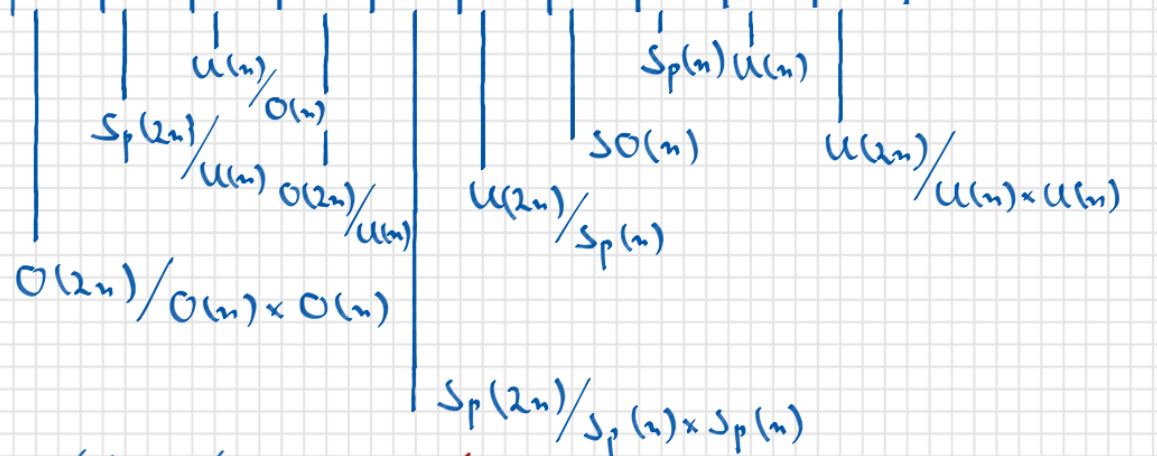
Consider time evolution  $\hat{U} = \exp(i\hat{H}t)$  generated by  $\hat{H}$  of given symmetry. What is  $\hat{U}$  geometrically? Example:  $\bullet (\hat{T}, \hat{C}, \hat{S}) = (0, 0, 0)$ ,  $\hat{H} = -\hat{H}^T \Rightarrow \hat{U} \in U(n)$  (class A).


$\bullet (\hat{T}, \hat{C}, \hat{S}) = (1, 0, 0)$ ,  $\hat{H} = \hat{H}^T$ ,  $\hat{H} = \hat{H}^T \sim$

$\hat{U} = \hat{U}^T \sim \hat{U} \in U(n)/O(n)$  (class AI)

antymmetric matrices

T	+1	+1	+1	-1	-1	-1	0	0	0	0
C	+1	-1	0	+1	-1	0	+1	-1	0	0
S	1	1	0	1	1	0	0	0	0	1
label	BDI	CI	AI	DIII	CII	AII	D	C	A	AIII



- Time evolutions take values in compact symmetric spaces of rank  $\sim n$ .
- Symmetric spaces:
  - have geometry that looks 'the same' everywhere. Example:  $U(2)/U(1) \times U(1) = AIII_2$  the 2-sphere. Heuristics:
    -  ergodic time evolution knows about symmetry, 'uniform' otherwise
- Have been labeled by Cartan as above
- There are just 10 families and there are 1-1 to quantum symmetries
- Symmetric spaces: Riemann structure to describe topology  $\rightarrow$

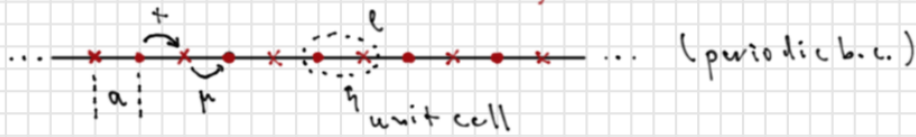
Discussion before continuing to topology:

2 examples of topological insulators -

- Su - Schrieffer - Heger (SSH) chain
- anomalous quantum Hall effect



# The Su-Schrieffer-Hagen (SSH) chain (1971)



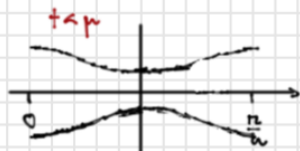
Diagonalize problem in terms of 2-component Bloch wave functions

- $\psi_k(l) = \begin{pmatrix} x \\ y \end{pmatrix} e^{ikl}$   $k = 0, \frac{2\pi}{L}, \dots, \frac{\pi}{a}$   $L = N(2a) = \text{chain length}$

- $\hat{H}_k = \begin{pmatrix} q_k & x \\ \bar{q}_k & \cdot \end{pmatrix}$   $q_k = t - e^{ik \cdot 2a}$   $\mu$

- Eigenvalues:  $\epsilon_k^\pm = \pm |q_k| = \left( t^2 + p^2 - 2tp \cos(2ka) \right)^{\frac{1}{2}}$

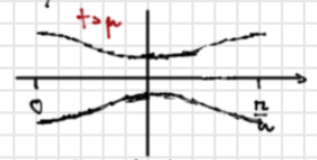
assume  $t, p \in \mathbb{R}$  for simplicity



insulator



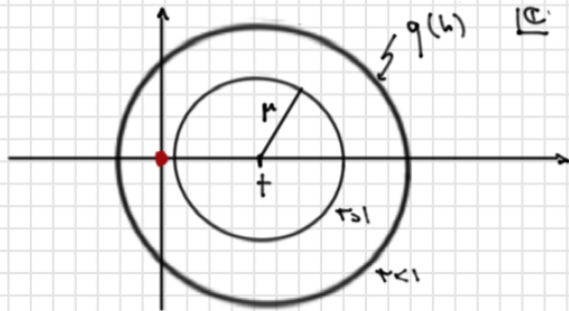
(semi)metal



insulator

- interpretation:  $r \equiv \frac{t}{p} = 1$  marks quantum phase transition between two distinct insulating phases. No change in symmetry, no local order parameter.

- topological order**: ground states of  $r < 1$  and  $r > 1$  carry distinct topological invariant

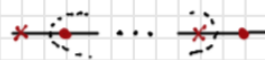


- curve  $S^1 \rightarrow \mathbb{C} \setminus \{0\}$

$k \mapsto q(k)$

homotopically trivial/non-trivial for  $r > 1 / r < 1$

- observable difference: cut system open depending on



the system with  $r > 1$  has/has not two **zero**

**energy boundary states** sharply ( $\mathcal{O}(a)$ ) localized at system boundaries. The insulating  $r > 1$  phase has a **'conducting surface'**.

- Summary**:  $\exists$  (second order) topological quantum phase transitions without symmetry/changes/local order parameter.

## Anomalous QH insulator

Class A in  $d=2$ . Q: Can there be a QH-effect without magnetic field?

A: (Haldane) Consider lattice Hamiltonian

$$H = \sin h_x \sigma_x + \sin h_y \sigma_y + (r + \cosh h_x + \cosh h_y) \sigma_z \equiv v_h \cdot \sigma = U_h \sigma_z U_h^{-1} \quad U_h \in SU(2)$$

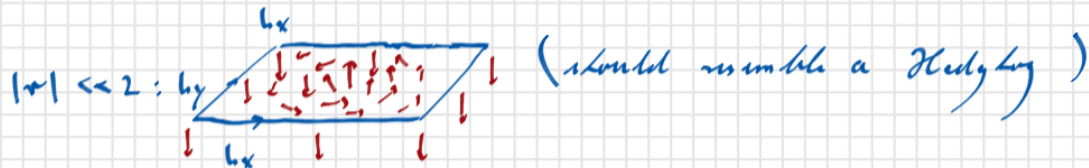
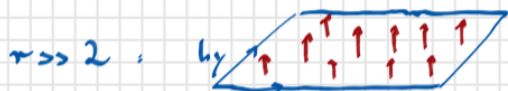
Eigenvalues:  $\epsilon_h^\pm = \pm \left( \sin^2 h_x + \sin^2 h_y + (r + \cosh h_x + \cosh h_y)^2 \right)^{1/2}$  has gap around  $\epsilon=0$

for  $r \neq -2, 0, 2$ . Eigenstates:  $\gamma_{\pm h} = U_h |\pm \frac{z}{2}\rangle$ . Geometrically:  $|\gamma_{+h}\rangle =$

= unit vector  $e_z$  rotated into direction of  $\begin{pmatrix} 1 \\ 0 \end{pmatrix}, \begin{pmatrix} 0 \\ 1 \end{pmatrix}$   $v_h$ : a point on the Bloch sphere  $S^2$ .

Ground state is map:  $\gamma_{-h}: T^2 \rightarrow S^2 \quad T^2 = S^1 \times S^1 =$

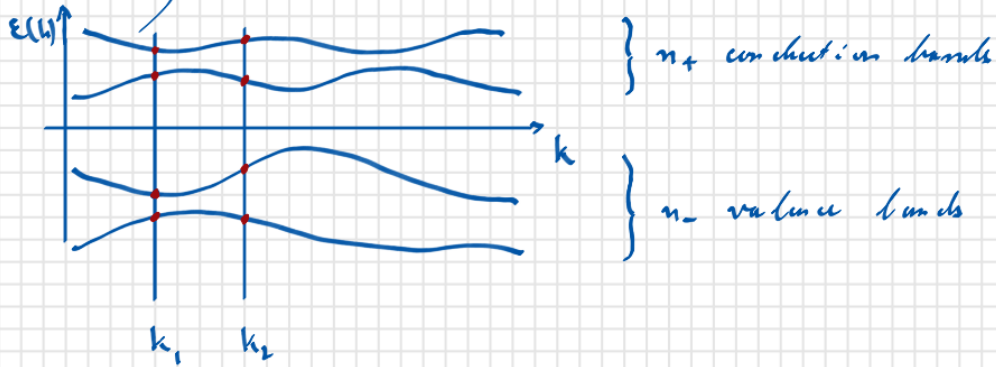
for  $h \mapsto \gamma_{-h} = \{(h_x, h_y) \in [-\pi, \pi] \times [-\pi, \pi]\}$



$\sim$  For  $r > 2, r \in [0, 2], r \in [-2, 0], r < -2$ ,  $\gamma_{-h}$  has winding 0, 1, -1, 0, resp.

# Classification of topological matter I: Homotopy Theory

Schematic of insulator band structure:



Topological information encoded in *evolution of ground state*. For each  $k \in T^d$  -  $d$ -torus of Brillouin zone,  $\hat{H}_k$  diagonalized by unitary  $U_k \in U(n_+ + n_-)$  (which must be compatible with symmetries). Re-ordering of occupied / unoccupied states insensitve  $\rightarrow$  relevant information on GS encoded in elements of *Grassmannian*  $U(n_+ + n_-) / U(n_+) \times U(n_-)$  or symmetry restricted subset thereof.

• Example: ACH: A,  $n_+ = n_- = 1$   $U(2) / U(1) \times U(1) = S^2$  two sphere

$$\text{SSH: AIII}, n_+ = n_- = 1 \quad \hat{H}_k = \begin{pmatrix} \bar{q}_k & q_k \\ q_k & \bar{q}_k \end{pmatrix} \quad \chi_{-,k} = \begin{pmatrix} 1 \\ -\bar{q}_k / |q_k| \end{pmatrix} \in S^1$$

$\sim$  Grassmannian  $\approx S^1$

Homotopic invariants of maps  $\phi: T^d \rightarrow \text{Gr}(\text{grassmannian})$  can be obtained as winding numbers or Chern numbers, or 'Chern-positives ( $\mathbb{Z}_2$ -insulators)'

$$\text{ACH: } W = \frac{1}{4\pi} \int_{T^2} dx dy \hat{v}_k \cdot (\partial_{k_x} \hat{v}_k \times \partial_{k_y} \hat{v}_k)$$

$$\text{SSH: } W = \frac{i}{2\pi} \int_{T^1} \bar{q}_k^{-1} \partial_k q_k$$

Homotopy approach,

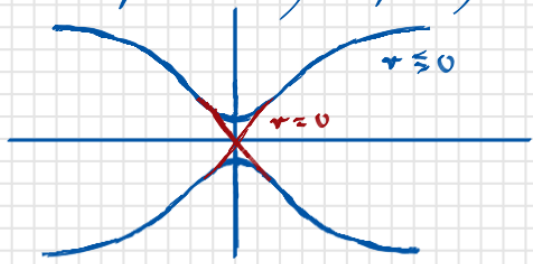
- great for classifying topologies in dependence on dimensionality / symmetry (x)
- However also abstract and
- still limited to description of bulk boundary correspondences

(\*) The symmetries of maps  $T^d \rightarrow \text{Gr}$  can be understood in terms of category (K-) theory. The result is the *periodic table of topological insulators* which describes all non-trivial homotopies (in the limit  $n_{\pm} \rightarrow \infty$ ).

Cartan	d												
	0	1	2	3	4	5	6	7	8	9	10	11	...
<i>Complex case:</i>													
A	$\mathbb{Z}$	0	$\mathbb{Z}$	0	$\mathbb{Z}$	0	$\mathbb{Z}$	0	$\mathbb{Z}$	0	$\mathbb{Z}$	0	...
AIII	0	$\mathbb{Z}$	0	$\mathbb{Z}$	0	$\mathbb{Z}$	0	$\mathbb{Z}$	0	$\mathbb{Z}$	0	$\mathbb{Z}$	...
<i>Real case:</i>													
AI	$\mathbb{Z}$	0	0	0	$2\mathbb{Z}$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	0	0	0	...
BDI	$\mathbb{Z}_2$	$\mathbb{Z}$	0	0	0	$2\mathbb{Z}$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	0	0	...
D	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	0	0	0	$2\mathbb{Z}$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	0	...
DIII	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	0	0	0	$2\mathbb{Z}$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	...
AI	$2\mathbb{Z}$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	0	0	0	$2\mathbb{Z}$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	...
CII	0	$2\mathbb{Z}$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	0	0	0	$2\mathbb{Z}$	0	$\mathbb{Z}_2$	...
C	0	0	$2\mathbb{Z}$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	0	0	0	$2\mathbb{Z}$	0	...
CI	0	0	0	$2\mathbb{Z}$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	0	0	0	$2\mathbb{Z}$	...

## Classification of topological matter II: Dirac - Hamiltonian approach.

Consider spectrum of topological insulator with topological phase transition point driven by parameter  $v$ .



→ appearance of 1st order  $O_2$  in Brillouin zone.  
Can be described by effective Dirac - Hamiltonian  $\Leftrightarrow$  linearization of band structures around  $O_2$ .

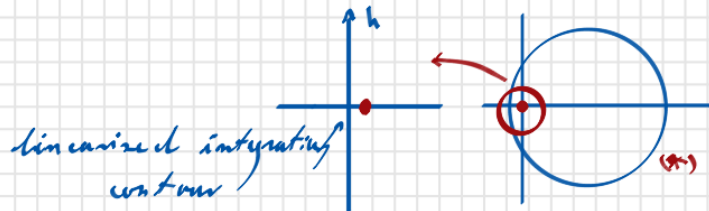
Example SSH chain:

$$\hat{H} = \begin{pmatrix} r - e^{-ik} & t \\ t & r - e^{ik} \end{pmatrix} = (r - \cosh k) \sigma_1 + i \sinh k \sigma_2 \approx m \sigma_1 + i h \sigma_2$$

$r = 1 + m$

Topological invariant:

$$W = \frac{1}{2\pi i} \int_k q^{-1} \partial_k q = \frac{1}{4\pi i} \int_k \text{tr} (\hat{H}^{-1} \partial_k \hat{H} \sigma_3) = \frac{1}{4\pi i} \int_k \text{tr} ((-m \sigma_1 - i h \sigma_2) i \sigma_2 \cdot \sigma_3) \frac{1}{m^2 + h^2} = \frac{1}{4\pi i} \int_{-\infty}^{\infty} dh \frac{m}{m^2 + h^2} = \frac{1}{2} \text{sgn } m$$



• Interpretation (valid beyond SSH example)

**I:** Linearized integration does not capture full winding number. Misses contribution from  $(*)$ . However jump  $W(v > 0) - W(v < 0)$  is predicted correctly.

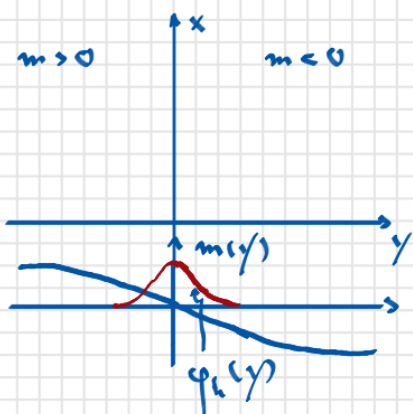
**II:** Integrals can be UV - problematic. However always properly regularized by band structure  $(H = (m + \frac{h^2}{2}) \sigma_1 + i h \sigma_2$  in  $\mathcal{O}(h^2)$ .



# Dirac Hamiltonians and boundary physics.

Topological bulk  $\rightarrow$   $O$  many boundary states ( $d=1$ ), or gapless boundary modes ( $d>1$ )

Example  $d=2$  AQH:  $\hat{H} = \sin k_x \sigma_x + \sin k_y \sigma_y + (\tau - \cos k_x - \cos k_y) \sigma_z \stackrel{\approx}{=} \begin{matrix} i \\ 1 \end{matrix}$



$$\begin{aligned} &\approx k_x \sigma_x + m \sigma_z \\ &\approx k_x \sigma_z + k_y \sigma_y + m \sigma_x \\ \sigma_x &\rightarrow \sigma_z, \sigma_y \rightarrow \sigma_x, \sigma_z \rightarrow \sigma_y \end{aligned}$$

Ansatz for wave functions:  $\psi_h(x, y) = \varphi_h(y) e^{i k_x x}$

$$\begin{pmatrix} k_x & -i y - i m \\ -i y + i m & -k_x \end{pmatrix} \begin{pmatrix} \varphi_1(y) \\ \varphi_2(y) \end{pmatrix} = k_x \begin{pmatrix} \varphi_1(y) \\ \varphi_2(y) \end{pmatrix}$$

has solutions concentrated at  $y=0$  boundary and linearly dispersive in  $x$ -direction (e.g. for  $m(y) = -cy$ ,  $\varphi_1(y) \sim e^{-\frac{c}{2} |y|}$ ,  $\varphi_2(y) = 0$ ). Existence of solutions guaranteed by index theorems.

III: Dirac approach well suited to describe boundary modes

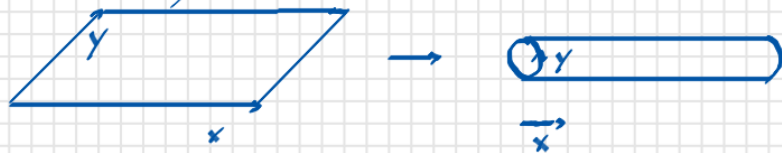
## Dirac approach and periodic table.

Periodic table stems (Bott) periodic diagonal structures. E.g.: 

		1	2	3	4
AIII		Z		Z	
A			Z		Z

Can be understood from Dirac approach by *dimensional reduction*

Example: Compactify  $d=2$  AQH insulator (class A) in one dimension to a cylinder



$$\hat{H}_2 = k_x \sigma_x + \sin k_y \sigma_y + (1 + m - \cos k_y) \sigma_z \xrightarrow{\text{in quantization}} k_x \sigma_x + m \sigma_z = \hat{H}_1, \quad [\hat{H}_1, \sigma_y]_{\pm} = 0$$

$\hat{H}_1$  is in AIII. Can show: non-vanishing Chern number of  $\hat{H}_2 \rightarrow$  Non-vanishing winding number of  $\hat{H}_1$

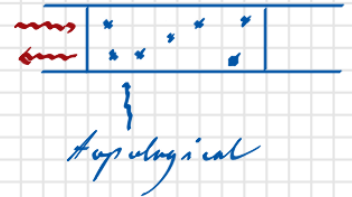
IV: Dirac insulators great for understanding dimensional structures and topology.

# Classification of topological matter III: Beyond translational invariance

So far approaches emphasized momentum quantum numbers: translational invariance required.

Q: How describe topology in aperiodic structures (disorder, incommensurate potentials, irregular geometries)

Real space approaches to topology: • scattering theory (cf. 1101.1745)  
• gauge theory



consider scattering matrix eigenvalues.

Gauge theory approach.

Example: Consider multi-channel class D superconductor wires

$$\hat{H}^i = -\tau_x \hat{H}^{iT} \tau_x$$

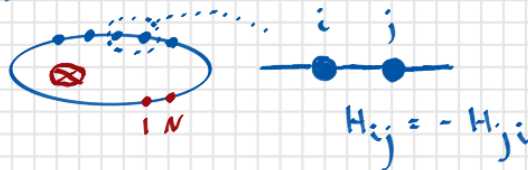
↑  
particle hole

apply similarity transformation:  $\hat{H} = e^{\frac{i\pi}{4}\tau_1} \hat{H}^i e^{-\frac{i\pi}{4}\tau_1}$   
physically: The Majorana basis:  $(c, c^\dagger) \rightarrow (\gamma \pm i\nu) \frac{1}{\sqrt{2}}$

$$\hat{H}^T = -\hat{H} \quad \text{an anti-symmetric purely imaginary matrix.}$$

Consider bilinear form:  $\mu^T H \mu$ . Q.M. gauge symmetry  $c \rightarrow e^{i\varphi} c$   $\varphi \in [0, 2\pi]$  broken to  $\varphi \in \{0, \pi\}$ . Gauge group  $\mathbb{Z}_2$ . Majorana fermions

Consider ring shaped quantum wire



- Send  $\mathbb{Z}_2$  gauge flux,  $\varphi$
- Represent it by vector potential A:  $\oint A = \varphi$

• Deform A such that  $A = 0$  if  $i, j = N$

• Flux  $\varphi = \pi$  amounts to sign inversion:  $H_{1N} \rightarrow -H_{1N}$

• Consider adiabatic change



$$H_{ij} \rightarrow \int_0^\pi H_{ij}$$

- $s=1 \rightarrow s=-1$  must cross  $s=0$ , the system is cut open along the adiabatic evolution.

$$s \in [1, 1] \quad s = 1, \dots, -1, \dots, 1$$

• If topological: Adiabatic evolution must lead to emergence of 0-modes.  
 $s=0$ : emergence of zero energy Majorana states.