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# I Green's Function Formalism

Following [1]

Green's functions: method to encode influence of many-body effects on propagation of particles in a system.

Have different kinds of Green's functions, for example the retarded Green's function:

$$G^R(\mathbf{r}\sigma t, \mathbf{r}'\sigma' t') = -i\Theta(t - t') \langle \{c_{\mathbf{r}\sigma}(t), c_{\mathbf{r}'\sigma'}^\dagger(t')\} \rangle \quad (\text{I.1})$$

They give the amplitude of a particle inserted at point  $\mathbf{r}'$  at time  $t'$  to propagate to position  $\mathbf{r}$  at time  $t$ . For time-independent Hamiltonians and systems in equilibrium, the GFs only depend on time differences:

$$G^R(\mathbf{r}\sigma t, \mathbf{r}'\sigma' t') = G^R(\mathbf{r}\sigma, \mathbf{r}'\sigma', t - t') \quad (\text{I.2})$$

So we can take  $t' = 0$  and consider  $t$  as the only free variable:

$$G^R(\mathbf{r}\sigma, \mathbf{r}'\sigma', t) = -i\Theta(t) \langle \{c_{\mathbf{r}\sigma}(t), c_{\mathbf{r}'\sigma'}^\dagger(0)\} \rangle \quad (\text{I.3})$$

In a translation invariant system: can use  $\mathbf{k}$  as a natural basis set:

$$G^R(\mathbf{k}, \sigma, \sigma', t) = -i\Theta(t) \langle \{c_{\mathbf{k}\sigma}(t), c_{\mathbf{k}\sigma'}^\dagger(0)\} \rangle \quad (\text{I.4})$$

Define Fourier-transform:

$$G^R(\mathbf{k}, \sigma, \sigma', \omega) = \int_{-\infty}^{\infty} dt G^R(\mathbf{k}, \sigma, \sigma', t) \quad (\text{I.5})$$

Can define the spectral function from this:

$$A(\mathbf{k}\sigma, \omega) = -2\Im G^R(\mathbf{k}\sigma, \omega) \quad (\text{I.6})$$

Looking at the diagonal elements of  $G^R$  here. The spectral function can be thought of as the energy resolution of a particle with energy  $\omega$ . This mean,

for non-interacting systems, the spectral function is a delta-function around the single-particle energies:

$$A_0(\mathbf{k}\sigma, \omega) = 2\pi\delta(\omega - \epsilon_{\mathbf{k}\sigma}) \quad (\text{I.7})$$

Show GFs can be related to observables

For interacting systems this is not true, but  $A$  can still be peaked.

Mathematical technique to calculate retarded GFs involves defining GFs on imaginary times  $\tau$ :

$$t \rightarrow -i\tau \quad (\text{I.8})$$

where  $\tau$  is real and has the dimension time. This enables the simultaneous expansion of exponential  $e^{-\beta H}$  coming from the thermodynamic average and  $e^{-iHt}$  coming from the time evolution of operators.

Define imaginary time/Matsubara GF  $\mathcal{C}_{AB}(\tau, 0)$ :

$$\mathcal{C}_{AB}(\tau, 0) = -\langle T_\tau(A(\tau)B(0)) \rangle \quad (\text{I.9})$$

with time-ordering operator in imaginary time:

$$T_\tau(A(\tau)B(\tau')) = \Theta(\tau - \tau')A(\tau)B(\tau') \pm \Theta(\tau' - \tau)B(\tau')A(\tau) \quad (\text{I.10})$$

so that operators with later 'times' go to the left.

Can prove from properties of Matsubara GF, that they are only defined for

$$-\beta < \tau < \beta \quad (\text{I.11})$$

Due to this, the Fourier transform of the Matsubara GF is defined on discrete values:

$$\mathcal{C}_{AB}(i\omega_n) = \int_0^\beta d\tau \quad (\text{I.12})$$

with fermionic/bosonic Matsubara frequencies

$$\omega_n = \begin{cases} \frac{2n\pi}{\beta} & \text{for bosons} \\ \frac{(2n+1)\pi}{\beta} & \text{for fermions} \end{cases} \quad (\text{I.13})$$

How to resolve ambiguity at borders of integral

It turns out that Matsubara GFs and retarded GFs can be generated from a common function  $\mathcal{C}_{AB}(z)$  that is defined on the entire complex plane except for the real axis. So we can get the retarded GF  $\mathcal{C}_{AB}^R(\omega)$  by analytic continuation:

$$\mathcal{C}_{AB}^R(\omega) = \mathcal{C}_{AB}(i\omega_n \rightarrow \omega + i\eta) \quad (\text{I.14})$$



So in particular the extrapolation of the Matsubara GF to zero is proportional to the density of states at the chemical potential. Gapped: density is zero (Matsubara GF goes to 0), metal: density is finite (Matsubara GF goes to finite value) [1, p. 8.3.4].

## I.1 Perturbation theory, Dyson equation

Dyson equation:

$$\mathcal{G}_\sigma(\mathbf{k}, i\omega_n) = \frac{\mathcal{G}_\sigma^0(\mathbf{k}, i\omega_n)}{1 - \mathcal{G}_\sigma^0(\mathbf{k}, i\omega_n)\Sigma_\sigma(\mathbf{k}, i\omega_n)} = \frac{1}{i\omega_n - \xi_{\mathbf{k} - \Sigma_\sigma(\mathbf{k}, i\omega_n)}} \quad (\text{I.15})$$

## I.2 Nambu-Gorkov GF

Introduction following [2, ch. 14.7]

Order parameter can be chosen as the anomalous GF:

$$\Psi = F^{\text{loc}}(\tau = 0^-) \quad (\text{I.16})$$

or the superconducting gap

$$\Delta = Z\Sigma^{\text{AN}} \quad (\text{I.17})$$

that can be calculated from the anomalous self-energy  $\Sigma^{\text{AN}}$  and quasiparticle weight  $Z$

single-particle Matsubara GF

equations of motion for Matsubara GF

Short introduction to diagrams

Self energy

Dyson equation

More general introduction into NG GFs, how they look like, what they describe etc.

Sources for these?

How to get quasiparticle weight?



## II Superconductivity

### II.0.1 Extracting $T_C$

From Niklas

Übrigens: Typische Varianten, um ‘sauber(er)’  $T_c$  zu bestimmen, ist  $|OP|^2$  gegen  $T$  aufzutragen, da das (als Phasenübergang 2. Ordnung) proportional zu  $T - T_c$  ist. Heißt, man kann  $T_c$  dann mittels linearem Fit finden - ist leider auch nicht immer der einfachste Weg, weil der Bereich, in dem diese lineare Näherung prinzipiell sehr klein um  $T_c$  herum sein kann. Aber einmal-Daumen Abschätzungen gehen damit ganz gut. Oder man macht es wie unten beschrieben mit einer daraus abgeleiteten Formel.

Find a source for that! Phase transitions

in the superconducting region in Fig. 2A. To estimate  $T_c$ , we assume that the order parameter as a function of temperature behaves like  $P_{SC}(T) \propto \sqrt{T_c - T}$  for  $T \lesssim T_c$ . We pick the highest and the second highest temperatures ( $T_1$  and  $T_2$ , respectively), which give stable superconducting solutions ( $P_{SC} \gtrsim 0.01$ ). Then,  $T_c$  is determined by

$$T_c = T_1 + (T_1 - T_2) \frac{P_{SC}^2(T_1)}{P_{SC}^2(T_2) - P_{SC}^2(T_1)} . \quad (S4)$$

**Figure II.1:** Formula for extracting  $T_C$



# III d-wave Superconductivity

Source: Coleman - *Introduction to Many-Body Physics* [2, ch. 15]

## III.1 BCS theory with momentum dependent coupling

Starting point is a BCS-Hamiltonian with momentum-dependent coupling term  $V_{\mathbf{k},\mathbf{k}'}$ :

$$H = \sum_{\mathbf{k},\sigma} \epsilon_{\mathbf{k}} c_{\mathbf{k}\sigma}^{\dagger} c_{\mathbf{k}\sigma} + \sum_{\mathbf{k},\mathbf{k}'} V_{\mathbf{k},\mathbf{k}'} c_{\mathbf{k}\uparrow}^{\dagger} c_{-\mathbf{k}\downarrow}^{\dagger} c_{-\mathbf{k}'\downarrow} c_{\mathbf{k}'\uparrow} \quad (\text{III.1})$$

The original idea by Bardeen, Cooper and Schrieffer uses the coupling

$$V_{\mathbf{k},\mathbf{k}'} = \begin{cases} -\frac{g_0}{V}, & |\epsilon_{\mathbf{k}}| < \omega_D \\ 0 & \text{otherwise} \end{cases} \quad (\text{III.2})$$

Then similar process as for BCS theory without the momentum-dependent term (Hubbard-Stratonovich decoupling, minimization of mean-field free energy). Gives self-consistent equation for the gap function:

Point out specific difference to BCS theory!

$$\Delta_{\mathbf{k}} = - \sum_{\mathbf{k}'} V_{\mathbf{k},\mathbf{k}'} \frac{\Delta_{\mathbf{k}'}}{2E_{\mathbf{k}'}} \tanh \left( \frac{\beta E_{\mathbf{k}'}}{2} \right) \quad (\text{III.3})$$

or at  $T = 0$ :

$$\Delta_{\mathbf{k}} = - \sum_{\mathbf{k}'} V_{\mathbf{k},\mathbf{k}'} \frac{\Delta_{\mathbf{k}'}}{2E_{\mathbf{k}'}} \quad (\text{III.4})$$

Important note: there is a minus sign in the front! If  $V_{\mathbf{k},\mathbf{k}'} < 0$  (a uniformly attractive interaction), the equation is fulfilled by a uniformly positive gap function. In general  $V_{\mathbf{k},\mathbf{k}'}$  contains repulsive (positive) terms (in particular stemming from the Coulomb interaction), so the gap function cannot be

What is the  $E_k$ ?

uniformly positive, it acquires nodes in momentum space. Most satisfying solutions fulfill:

$$\text{sign}(\Delta_{\mathbf{k}}) = -\text{sign}(V_{\mathbf{k},\mathbf{k}'}) \text{sign}(\Delta_{\mathbf{k}'}) \quad (\text{III.5})$$

So for an attractive interaction we have:

$$\text{sign}(\Delta_{\mathbf{k}}) = -(-1) \text{sign}(\Delta_{\mathbf{k}'}) \quad (\text{III.6})$$

So areas in phase space linked by an attractive interaction have the same sign (and areas linked by repulsive interaction have opposite signs)! Solutions like this have the largest gaps and thus the largest mean-field transition temperature .

Why large gap?

Connection from gap to transition temperature?

Are there more?

Two cases :

- Electron-phonon superconductors: interaction is repulsive at high energies,  $\Delta_{\mathbf{k}}$  is largely isotropic in momentum space, but changes sign at  $\approx$  Debye frequency
- Anisotropic superconductors:  $\Delta_{\mathbf{k}}$  is strongly momentum-dependent, acquires nodes in momentum space

The last mechanism is at work in heavy-fermion, high-temperature cuprate and iron-based superconductors.

## III.2 Anisotropic pairing

### III.2.1 Hubbard interaction

The goal in this section is to derive a BCS-like Hamiltonian with a term

$$V_{\mathbf{k},\mathbf{k}'} \Psi_{\mathbf{k}}^{\dagger} \Psi_{\mathbf{k}'} \quad (\text{III.7})$$

We start from a Hubbard-like interaction term

$$V = \sum_{\mathbf{q}} V_{\mathbf{q}} : \rho_{-\mathbf{q}} \rho_{\mathbf{q}} := \frac{1}{2} \sum_{\mathbf{k}_1, \mathbf{k}_2, \mathbf{q}, \sigma, \sigma'} V_{\mathbf{q}} c_{\mathbf{k}_1 + \mathbf{q}, \sigma}^{\dagger} c_{\mathbf{k}_2 - \mathbf{q}, \sigma'}^{\dagger} c_{\mathbf{k}_2, \sigma'} c_{\mathbf{k}_1, \sigma} \quad (\text{III.8})$$

Proper implementation of normal-ordering

Hubbard-like would be  $V_{\mathbf{q}} = U$ ?

Cooper pairs have zero total momentum and the pairing potential is determined by the interaction on them, so we have

$$\mathbf{k}_1 + \mathbf{k}_2 = 0 \implies \mathbf{k}_1 = -\mathbf{k}_2 \text{ :- } \mathbf{k}' \quad (\text{III.9})$$

$$\mathbf{k}_1 + \mathbf{q} = -(\mathbf{k}_2 - \mathbf{q}) \text{ :- } \mathbf{k} \implies \mathbf{k}' + \mathbf{q} = \mathbf{k} \implies \mathbf{q} = \mathbf{k} - \mathbf{k}' \quad (\text{III.10})$$

and we can split up the interaction term

Show why the third line works!

$$V_{\text{BCS}} = \frac{1}{2} \sum_{\mathbf{k}, \mathbf{k}', \sigma, \sigma'} V_{\mathbf{k}-\mathbf{k}'} c_{\mathbf{k}\sigma}^\dagger c_{-\mathbf{k}\sigma}^\dagger c_{-\mathbf{k}'\sigma'} c_{\mathbf{k}'\sigma'} \quad (\text{III.11})$$

$$= \frac{1}{2} \sum_{\mathbf{k}, \mathbf{k}'} V_{\mathbf{k}-\mathbf{k}'} c_{\mathbf{k}\uparrow}^\dagger c_{-\mathbf{k}\downarrow}^\dagger c_{-\mathbf{k}'\downarrow} c_{\mathbf{k}'\uparrow} \quad \left( = \frac{1}{2} V_{\text{BCS}}^{\uparrow\downarrow} \right) \quad (\text{III.12})$$

$$+ \frac{1}{2} \sum_{\mathbf{k}, \mathbf{k}'} V_{\mathbf{k}-\mathbf{k}'} c_{\mathbf{k}\downarrow}^\dagger c_{-\mathbf{k}\uparrow}^\dagger c_{-\mathbf{k}'\uparrow} c_{\mathbf{k}'\downarrow} \quad \left( = \frac{1}{2} V_{\text{BCS}}^{\downarrow\uparrow} = \frac{1}{2} V_{\text{BCS}}^{\uparrow\downarrow} \right) \quad (\text{III.13})$$

$$+ \frac{1}{2} \sum_{\mathbf{k}, \mathbf{k}'} V_{\mathbf{k}-\mathbf{k}'} c_{\mathbf{k}\uparrow}^\dagger c_{-\mathbf{k}\uparrow}^\dagger c_{-\mathbf{k}'\uparrow} c_{\mathbf{k}'\uparrow} \quad \left( = V_{\text{BCS}}^{\uparrow\uparrow} \right) \quad (\text{III.14})$$

$$+ \frac{1}{2} \sum_{\mathbf{k}, \mathbf{k}'} V_{\mathbf{k}-\mathbf{k}'} c_{\mathbf{k}\downarrow}^\dagger c_{-\mathbf{k}\downarrow}^\dagger c_{-\mathbf{k}'\downarrow} c_{\mathbf{k}'\downarrow} \quad \left( = V_{\text{BCS}}^{\downarrow\downarrow} \right) \quad (\text{III.15})$$

$$= V_{\text{BCS}}^{\uparrow\downarrow} + V_{\text{BCS}}^{\uparrow\uparrow} + V_{\text{BCS}}^{\downarrow\downarrow} \quad (\text{III.16})$$

First we treat  $V_{\text{BCS}}^{\uparrow\downarrow}$ . Pair of opposite spins are neither single nor triplet, because they are not appropriately symmetrised. If we have the pair wavefunction

$$F(\mathbf{k})_{\alpha\beta} = \langle \mathbf{k}\alpha, -\mathbf{k}\beta | \mathbf{k}\rho \rangle \quad (\text{III.17})$$

We define spatial parity of this wavefunction:

$$F(-\mathbf{k})_{\alpha\beta} = P F(\mathbf{k})_{\alpha\beta} \quad (\text{III.18})$$

as well as the spin parity:

$$F(\mathbf{k})_{\beta\alpha} = X F(\mathbf{k})_{\alpha\beta} , \quad (\text{III.19})$$

where we define singlets ( $X = +1$ ) and triplets ( $X = -1$ ). The joint application of  $XP$  is an exchange of fermions, so it should have an eigenvalue  $-1$ . So we have

Why do we define spatial parity? Only symmetrised wavefunctions physical?

- even-parity pairs,  $P = +1 \implies X = -1$ , spin singlets,  $(X, P) = (+, -)$
- odd-parity pairs,  $P = -1 \implies X = +1$ , spin triplets,  $(X, P) = (-, +)$

How exactly?

studied superconductors are mostly singlet, pure triplet not found? That's why we split it up! Paper for that?

We split up the interaction into the symmetric and asymmetric parts :

$$V_{\text{BCS}} = \sum_{\mathbf{k}, \mathbf{k}'} \left( \frac{V_{\mathbf{k}-\mathbf{k}'} + V_{\mathbf{k}+\mathbf{k}'}}{2} + \frac{V_{\mathbf{k}-\mathbf{k}'} - V_{\mathbf{k}+\mathbf{k}'}}{2} \right) \Psi_{\mathbf{k}}^{\dagger} \Psi_{\mathbf{k}'} \quad (\text{III.20})$$

$$:- \left( V_{\mathbf{k}, \mathbf{k}'}^S + V_{\mathbf{k}, \mathbf{k}'}^T \right) \Psi_{\mathbf{k}}^{\dagger} \Psi_{\mathbf{k}'} , \quad (\text{III.21})$$

where we have defined the BCS pairing interaction in the singlet and triplet channel:

$$V_{\mathbf{k}, \mathbf{k}'}^{S,T} = \frac{1}{2} (V_{\mathbf{k}-\mathbf{k}'} \pm V_{\mathbf{k}+\mathbf{k}'}) \quad (\text{III.22})$$

explain last step here

The singlet channel is even in  $\mathbf{k}, \mathbf{k}'$  :

$$V_{-\mathbf{k}, -\mathbf{k}'}^S = \frac{1}{2} (V_{-\mathbf{k}+\mathbf{k}'} \pm V_{-\mathbf{k}-\mathbf{k}'}) = \frac{1}{2} (V_{-(\mathbf{k}-\mathbf{k}')} \pm V_{-(\mathbf{k}+\mathbf{k}')} ) = \frac{1}{2} (V_{\mathbf{k}-\mathbf{k}'} \pm V_{\mathbf{k}+\mathbf{k}'}) , \quad (\text{III.23})$$

while the triplet channel is odd in  $\mathbf{k}, \mathbf{k}'$ . In the sum:

With everything we write the unequal spin pairing as:

$$V_{\text{BCS}}^{\uparrow\downarrow} = \frac{1}{4} \sum_{\mathbf{k}, \mathbf{k}'} \left[ V_{\mathbf{k}, \mathbf{k}'}^S \Psi_{\mathbf{k}}^{S\dagger} \Psi_{\mathbf{k}'}^S + V_{\mathbf{k}, \mathbf{k}'}^T \Psi_{\mathbf{k}}^{T\dagger} \Psi_{\mathbf{k}'}^T \right] \quad (\text{III.24})$$

$$= \sum_{\mathbf{k}, \mathbf{k}' \in \frac{1}{2}\text{BZ}} \left[ V_{\mathbf{k}, \mathbf{k}'}^S \Psi_{\mathbf{k}}^{S\dagger} \Psi_{\mathbf{k}'}^S + V_{\mathbf{k}, \mathbf{k}'}^T \Psi_{\mathbf{k}}^{T\dagger} \Psi_{\mathbf{k}'}^T \right] \quad (\text{III.25})$$

vector arrows over the psi (or bold)

The equal spin pairing also includes triplet pairing (these are wrapped up in the vectors ) and all in all the BCS pairing potential is:

$$V_{\text{BCS}} = \sum_{\mathbf{k}, \mathbf{k}' \in \frac{1}{2}\text{BZ}} \left[ V_{\mathbf{k}, \mathbf{k}'}^S \Psi_{\mathbf{k}}^{S\dagger} \Psi_{\mathbf{k}'}^S + V_{\mathbf{k}, \mathbf{k}'}^T \Psi_{\mathbf{k}}^{T\dagger} \cdot \Psi_{\mathbf{k}'}^T \right] \quad (\text{III.26})$$

How can we access that information in experiment?

In real materials we mostly see singlet pairing, in this case we can just write:

$$V_{\text{BCS}} = \sum_{\mathbf{k}, \mathbf{k}' \in \frac{1}{2}\text{BZ}} V_{\mathbf{k}, \mathbf{k}'}^S (c_{\mathbf{k}\uparrow}^{\dagger} c_{-\mathbf{k}\downarrow}^{\dagger}) (c_{-\mathbf{k}'\downarrow} c_{\mathbf{k}'\uparrow}) \quad (\text{III.27})$$

Source for that?



### III.2.2 Magnetic interaction

Starting point here is a magnetic interaction:

$$V_{\text{mag}} = \frac{1}{2} \sum_{\mathbf{q}} J_{\mathbf{q}} [\mathbf{S}_{-\mathbf{q}} \cdot \mathbf{S}_{\mathbf{q}}] \quad (\text{III.28})$$

$$= \frac{1}{2} \sum_{\mathbf{k}_1, \mathbf{k}_2, \mathbf{q}} J_{\mathbf{q}} c_{\mathbf{k}_1+\mathbf{q}\alpha}^\dagger c_{\mathbf{k}_2-\mathbf{q}\gamma}^\dagger \left(\frac{\boldsymbol{\sigma}}{2}\right)_{\alpha\beta} \left(\frac{\boldsymbol{\sigma}}{2}\right)_{\gamma\delta} c_{\mathbf{k}_2\delta} c_{\mathbf{k}_1\beta} \quad (\text{III.29})$$

Important point: eigenvalues of  $\mathbf{S}_1 \cdot \mathbf{S}_2$  are different for singlet and triplet states:

$$\mathbf{S}_1 \cdot \mathbf{S}_2 = \begin{cases} +\frac{1}{4} & (\text{triplet}) \\ -\frac{3}{4} & (\text{singlet}) \end{cases} \quad (\text{III.30})$$

These eigenvalues enter as prefactors into the pairing potentials:

$$V_{\mathbf{k}, \mathbf{k}'}^S = -\frac{3}{4} \left( \frac{J_{\mathbf{k}-\mathbf{k}'} + J_{\mathbf{k}+\mathbf{k}'}}{2} \right) \quad (\text{III.31})$$

$$V_{\mathbf{k}, \mathbf{k}'}^T = \frac{1}{4} \left( \frac{J_{\mathbf{k}-\mathbf{k}'} - J_{\mathbf{k}+\mathbf{k}'}}{2} \right) \quad (\text{III.32})$$

So antiferromagnetic interactions ( $J_{\mathbf{k}-\mathbf{k}'} > 0 \implies V_{\mathbf{k}, \mathbf{k}'}^S < 0$ ) attract in the singlet channel, while ferromagnetic interactions ( $J_{\mathbf{k}-\mathbf{k}'} < 0 \implies V_{\mathbf{k}, \mathbf{k}'}^T < 0$ ) attracts in the triplet channel.

### III.3 d-wave superconductivity in two dimensions - cuprates

Cuprate superconductors cannot be understood in Fermi liquid theory.

Three regimes :

- Undoped: antiferromagnetic Mott insulators
- Doped: d-wave superconductors
- Over-doped: Fermi liquid behaviours reoccurs, BCS treatment is applicable

A bit more information on history, structure etc.

How doped?

Why can we only treat BCS when we also have Fermi liquid?

Do we just treat this case in the following?

Approximate by 2D tight-binding lattice (with nearest-neighbour hopping strength  $t$ ) with

$$\epsilon_{\mathbf{k}} = -2t(\cos(k_x a) + \cos(k_y a)) - \mu \quad (\text{III.33})$$

interacting via onsite Coulomb repulsion and nearest-neighbour antiferromagnetic interaction:

$$H = \sum_{\mathbf{k}\sigma} \epsilon_{\mathbf{k}} c_{\mathbf{k}\sigma}^\dagger c_{\mathbf{k}\sigma} + \sum_j U n_{j\uparrow} n_{j\downarrow} + J \sum_{\langle i,j \rangle} \mathbf{S}_i \cdot \mathbf{S}_j \quad (\text{III.34})$$

In momentum space:

$$H = \sum_{\mathbf{k}\sigma} \epsilon_{\mathbf{k}} c_{\mathbf{k}\sigma}^\dagger c_{\mathbf{k}\sigma} + \frac{1}{2} \sum_{\mathbf{q}} U \rho_{-\mathbf{q}} \rho_{\mathbf{q}} + J \sum_{\mathbf{q}} \mathbf{S}_{-\mathbf{q}} \cdot \mathbf{S}_{\mathbf{q}} \quad (\text{III.35})$$

with  $J_{\mathbf{q}} = 2J(\cos(q_x a) + \cos(q_y a))$ . From the treatment of the Hubbard and magnetic interaction earlier we can get the singlet interaction

$$V_{\mathbf{k},\mathbf{k}'} = U - \frac{3J}{2} (c_x c_{x'} + c_y c_{y'}) \quad (\text{III.36})$$

where we use the abbreviation  $c_x = \cos(k_x a)$ . So the mean-field BCS Hamiltonian is

$$H = \sum_{\mathbf{k}\sigma} \epsilon_{\mathbf{k}} c_{\mathbf{k}\sigma}^\dagger c_{\mathbf{k}\sigma} + \sum_{\mathbf{k}\mathbf{k}'} \left( U - \frac{3J}{2} (c_x c_{x'} + c_y c_{y'}) \right) \quad (\text{III.37})$$

Looking at the gap equation

$$\Delta_{\mathbf{k}} = - \sum_{\mathbf{k}'} V_{\mathbf{k},\mathbf{k}'} \frac{\Delta_{\mathbf{k}'}}{2E_{\mathbf{k}'}} \tanh\left(\frac{\beta E_{\mathbf{k}'}}{2}\right), \quad (\text{III.38})$$

we see that the interaction preserves the symmetries of the pair ( $\hat{=}$  symmetries of  $\Delta_{\mathbf{k}}$ ). We divide the interaction into two parts:

$V_q^{singlet}$  as well?

Put table here as well?

Calculate that fully

Why is the symmetry preserved? And why are the symmetries of the pair conserved? Are these the same as of  $\Delta_k$ ?

$$V_{\mathbf{k},\mathbf{k}'}^S = U - \frac{3J}{4}(c_x + c_y)(c_{x'} + c_{y'}) \quad (\text{III.39})$$

$$V_{\mathbf{k},\mathbf{k}'}^D = -\frac{3J}{2}(c_x - c_y)(c_{x'} - c_{y'}) \quad (\text{III.40})$$

$$V_{\mathbf{k},\mathbf{k}'}^S + V_{\mathbf{k},\mathbf{k}'}^D = U - \frac{3J}{4}(c_x c_{x'} + c_x c_{y'} + c_{x'} c_y + c_y c_{y'}) \quad (\text{III.41})$$

$$- \frac{3J}{4}(c_x c_{x'} - c_x c_{y'} - c_{x'} c_y + c_y c_{y'}) \quad (\text{III.42})$$

$$= U - \frac{3J}{2}(c_x c_{x'} + c_y c_{y'}) = V_{\mathbf{k},\mathbf{k}'} \quad (\text{III.43})$$

We call  $\frac{3J}{4}(c_x + c_y)(c_{x'} + c_{y'})$  the extended s-wave term. The s-wave term is invariant under  $90^\circ$  rotations of  $\mathbf{k}$  or  $\mathbf{k}'$ , whereas the d-wave term changes sign :

Calculate that

$$V_{\mathbf{k},\mathbf{k}'}^S = V_{\mathbf{k}R\mathbf{k}'}^S \quad (\text{III.44})$$

$$V_{\mathbf{k},\mathbf{k}'}^D = -V_{\mathbf{k}R\mathbf{k}'}^D \quad (\text{III.45})$$

with  $R\mathbf{k} = (-k_y, k_x)$ . Another point to note is that in the d-wave term, there is no onsite Coulomb interaction. So a condensate with d-wave symmetry ,

$$\Delta_{\mathbf{k}}^D = \Delta_D(c_x - c_y) \quad (\text{III.46})$$

$$\Delta_{R\mathbf{k}}^D = -\Delta_{\mathbf{k}}^D \quad (\text{III.47})$$

Can an s-wave condensate also appear? How is it decided what symmetry the condensate has?

couples to cooper pairs via d-wave interaction , because

$$\sum_{\mathbf{k}'} V_{\mathbf{k},\mathbf{k}'}^S \Delta_{\mathbf{k}'}^D (\dots) = 0 \quad (\text{III.48})$$

What is the relationship between gap and interaction? aka where does this equation come from?

(see gap equation, it preserves the symmetry of the pair). A condensate with extended s-wave symmetry

$$\Delta_{\mathbf{k}}^S = \Delta_1 + \Delta_2(c_x + c_y) \quad (\text{III.49})$$

vanishes when integrated with the d-wave part of the interaction. This means the two types of pairing are symmetry decoupled and moreover, the symmetry of the d-wave pair decouples against the local Coulomb pseudopotential. The quasiparticle energy for the d-wave condensate is:

What quasiparticle?

$$E_{\mathbf{k}} = \sqrt{\epsilon_{\mathbf{k}}^2 + \Delta_{\mathbf{k}}^2(c_y - c_x)^2} \quad (\text{III.50})$$

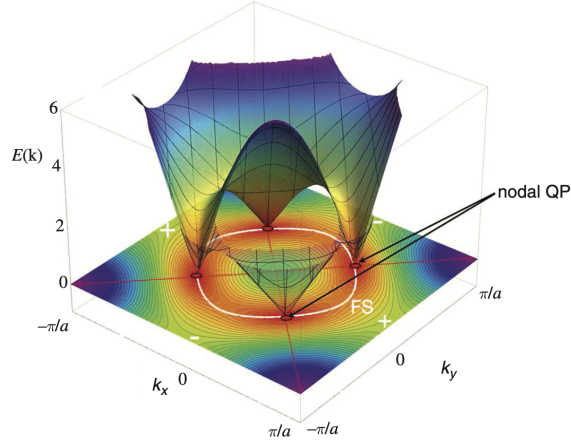


Figure III.1

It vanishes at intersections of nodes (where  $\Delta_{\mathbf{k}} = 0$ ) and the Fermi surface (where  $\epsilon_{\mathbf{k}} = 0$ ). At these points the dispersion can be linearized, they form Dirac cones of excitations with a relativistic dispersion. We can approximately solve the gap equation and get

$$\Delta_D(c_y - c_x) = \Delta_D(k_x^2 - k_y^2) = \Delta_0 \cos(2\theta) \quad (\text{III.51})$$

What is the exact dispersion?

What exactly is shown in the figure?

How exactly typical?  $l = 2$ ?

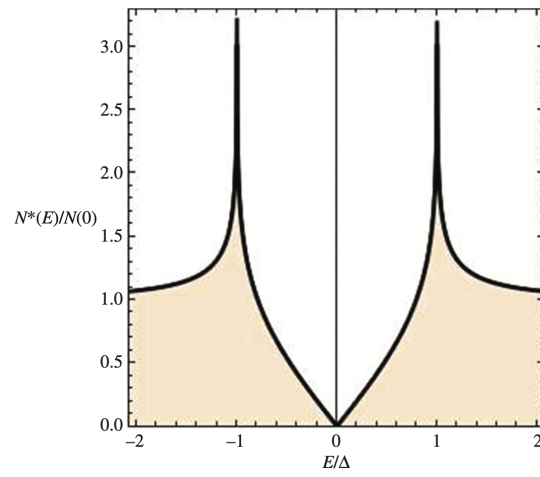
The dependence  $\Delta \propto \cos(2\theta)$  is typical for an  $l = 2$  Cooper pair. The quasiparticle energy is then

Visualise that somehow?

$$E_{\mathbf{k}} = \sqrt{\epsilon_{\mathbf{k}}^2 + (\Delta_0 \cos(2\theta))^2} \quad (\text{III.52})$$

The d-wave density of states does not have a clear gap, but instead a V-shaped structure. This linear DOS across the gap is due to the Dirac cones.

How does the DOS compare with real materials? Do we have the V-shaped structure?

**Figure III.2**



## IV Ginzburg-Landau theory of superconductivity

### IV.1 Coherence length and penetration depth in strongly correlated superconductors

[3]

Order parameter (OP) of a superconducting condensate with FMP has the form

$$\Psi_{\mathbf{q}}(\mathbf{r}) = |\Psi_{\mathbf{q}}|e^{i\mathbf{q}\mathbf{r}} \quad (\text{IV.1})$$

where  $\mathbf{q}$  is the center-of-mass momentum of Cooper pairs.

FMP is well known from Fulde-Ferrel-Larkin-Ovchinnikov (FFLO) theory, where the single-momentum phase used here corresponds to FF-type pairing.

What does that mean? More details on FFLO theory

### IV.2 Ginzburg-Landau description

First: Motivate how the FMP constraint relates to  $\lambda_L$  and  $\xi_0$ .

GL low-order expansion of the free energy density  $f_{\text{GL}}$  in terms of the FMP-constrained OP reads

$$1 \quad (\text{IV.2})$$

The temperature dependent correlation length  $\xi$  appears as the natural length scale of the amplitude mode ( $\propto \alpha$ ) and kinetic energy term

$$\xi(T) = \quad (\text{IV.3})$$

with the zero temperature value  $\xi_0$  being the coherence length.

Fill in equation

More details on GL theory in general

Fill in equation

### IV.3 Phase transitions and broken symmetry

Following [2, ch. 11].

#### IV.3.1 Order parameter concept

Landau theory: phase transitions (e.g. iron becomes magnetic, water freezes, superfluidity/superconductivity) are associated with the development of an order parameter when the temperature drops below the transition temperature  $T_C$

$$|\psi| = \begin{cases} 0, & T > T_C \\ |\psi_0| > 0, & T < T_C \end{cases} \quad (\text{IV.4})$$

Landau theory does not need microscopic expression for order parameter, it provides coarse-grained description of the properties of matter. The order parameter description is good at length scales above  $\xi_0$ , the coherence length (e.g. size of Cooper pairs for SC).

This works also for phase transitions not dependent of temperatures, so e.g. in pressures?

#### IV.3.2 Landau theory

Rest of Landau theory

Landau theory

Going from a one to a  $n$ -component order parameters, we can actually

Particularly important example: complex or two component order parameter in superfluids and superconductors:

$$\psi = \psi_1 + i\psi_2 = |\psi|e^{i\phi} \quad (\text{IV.5})$$

The Landau free energy takes the form:

$$f[\psi] = r(\psi^*\psi) + \frac{u}{2}(\psi^*\psi)^2 \quad (\text{IV.6})$$

Figure IV.1 shows the Landau free energy as function of  $\psi$ .

In this ‘Mexican hat’ potential: order parameter can be rotated continuously from one broken-symmetry state to another. If we want the phase to be rigid, we need to introduce an There is a topological argument for the fact that the phase is rigid. This leads to Ginzburg-Landau theory. Will see later: well-defined phase is associated with persistent currents or superflow.



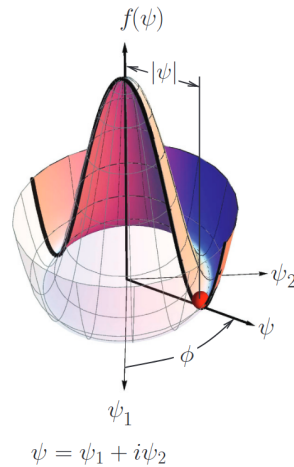


Figure IV.1: Mexican hat potential

### IV.3.3 Ginzburg-Landau theory I: Ising order

Landau theory: energy cost of a uniform order parameter, more general theory needs to account for inhomogeneous order parameters, in which the amplitude varies or direction of order parameter is twisted  $\rightarrow$  GL theory. First: one-component, 'Ising' order parameter. GL introduces additional energy  $\delta f \propto |\Delta\psi|^2$ ,  $f_{GL}[\psi, \Delta\psi] = \frac{s}{2}|\Delta\psi|^2 + f_L[\psi(s)]$ , or in full:

$$f_{GL}[\psi, \Delta\psi, h] = \frac{s}{2}(\Delta\psi)^2 + \frac{r}{2}\psi^2 + \frac{u}{4}\psi^4 - h\psi \quad (\text{IV.7})$$

GL theory is only valid near critical point, where OP is small enough to permit leading-order expansion.

What is the  $h$  here?

length scale/correlation length

### IV.3.4 Ginzburg-Landau theory II: complex order and superflow

Now: G-L theory of complex or two-component order parameters, so superfluids and superconductors. Heart of discussion: emergence of a 'macroscopic wavefunction', where the microscopic field operators  $\hat{\psi}(x)$  acquire an expectation value:

$$\langle \hat{\psi}(x) \rangle = \psi(x) = |\psi(x)|e^{i\theta(x)} \quad (\text{IV.8})$$

What exactly are field operators again?

Magnitude determines density of particles in the superfluid:

$$|\psi(x)|^2 = n_s(x) \quad (\text{IV.9})$$

More info on this  
Does that come  
later in chapter

Twist/gradient of phase determines superfluid velocity:

$$\mathbf{v}_s(x) = \frac{\hbar}{m} \Delta\phi(x) \quad (\text{IV.10})$$

We will derive this later in the chapter. Counterintuitive from quantum mechanics: GL suggested that  $\Phi(x)$  is a macroscopic manifestation of a macroscopic number of particles condensed into precisely the same quantum state. Emergent phenomenon, collective properties of matter not a-priori self-evident from microscopic physics.

GL free energy density for superfluid (with one added term in comparison to Landau energy):

$$f_{GL}[\psi, \Delta\psi] = \frac{\hbar^2}{2m} |\Delta\psi|^2 + r|\psi|^2 + \frac{u}{2} |\psi|^4 \quad (\text{IV.11})$$

energy density of  
bosonic field? -> for  
comparison!

Interpreted as energy density of a condensate of bosons in which the field operator behaves as a complex order parameter. Gives interpretation of gradient term as kinetic energy:

$$s|\Delta\psi|^2 = \frac{\hbar^2}{2m} \langle \Delta\hat{\psi}^\dagger \Delta\hat{\psi} \rangle \implies s = \frac{\hbar^2}{2m} \quad (\text{IV.12})$$

As in Ising order: correlation length/GL-coherence length governs characteristic range of amplitude fluctuations of the order parameter:

$$\xi = \sqrt{\frac{s}{|r|}} = \sqrt{\frac{\hbar^2}{2m|r|}} = \xi_0 \left(1 - \frac{T}{T_C}\right)^{-\frac{1}{2}} \quad (\text{IV.13})$$

Compare with Ising  
order, especially de-  
pendence on  $T$

Compare with Ising  
order. Is that de-  
rived or postulated?

where  $\xi_0 = \xi(T=0) = \sqrt{\frac{\hbar^2}{2maT_C}}$  is the coherence length. Beyond this length: only phase fluctuations survive. Freeze out fluctuations in amplitude (no  $x$ -dependence in amplitude)  $\psi(x) = \sqrt{n_s} e^{i\phi(x)}$ , then  $\Delta\psi = i\Delta\phi\psi$  and  $|\Delta\psi|^2 = n_s(\Delta\phi)^2$ , dependency of kinetic energy on the phase twist is (bringing it into the form  $\frac{m}{2}v^2$ ):

$$\frac{\hbar^2 n_s}{2m} (\Delta\phi)^2 = \frac{mn_s}{2} \left(\frac{\hbar}{m} \Delta\phi\right)^2 \quad (\text{IV.14})$$

So twist of phase results in increase in kinetic energy, associated with a superfluid velocity:

$$\mathbf{v}_s = \frac{\hbar}{m} \Delta\phi \quad (\text{IV.15})$$

Phase rigidity and superflow: in GL theory, energy is sensitive to a twist of the phase. Substitute  $\psi = |\psi|e^{i\phi}$  into GL free energy, gradient term is:

$$\Delta\psi = () \quad (\text{IV.16})$$

#### IV.3.5 Ginzburg-Landau theory III: charged fields

Coherent states/Interpretation of states/Off-diagonal long-range order

Here: particle-current operator, especially for coherent state, connection with phase twist

Here: Meissner effect, etc



## V Dynamical Mean-Field Theory

Source: Georges et al. - “Dynamical Mean-Field Theory of Strongly Correlated Fermion Systems and the Limit of Infinite Dimensions” [4]

Most general non-interacting electronic Hamiltonian in second quantization:

$$H_0 = \sum_{i,j,\sigma} \quad (\text{V.1})$$

with lattice coordinates  $i, j$  and spin  $\sigma$ .

One particle Green’s function (many-body object, coming from the Hubbard model):

$$G(\mathbf{k}, i\omega_n) = \frac{1}{i\omega_n + \mu - \epsilon_{\mathbf{k}} - \Sigma(\mathbf{k}, i\omega_n)} \quad (\text{V.2})$$

with the self energy  $\Sigma(i\omega_n)$  coming from the solution of the effect on-site problem:

The Dyson equation

$$G(\mathbf{k}, i\omega_n) = (G_0(\mathbf{k}, i\omega_n) - \Sigma(\mathbf{k}, i\omega_n))^{-1} \quad (\text{V.3})$$

relates the non-interacting Greens function  $G_0(\mathbf{k}, i\omega_n)$  and the fully-interacting Greens function  $G(\mathbf{k}, i\omega_n)$  (inversion of a matrix!).



## **VI Hubbard model**





## VII Noninteracting EG-X Model and structure

### VII.1 Lattice Structure of Graphene

Structure of honeycomb lattice following [5].

Monolayer graphene forms a hexagonal lattice.

Primitive lattice vectors of the hexagonal lattice:

$$\mathbf{a}_1 = \frac{a}{2} \begin{pmatrix} 1 \\ \sqrt{3} \end{pmatrix} \quad (\text{VII.1})$$

$$\mathbf{a}_2 = \frac{a}{2} \begin{pmatrix} 1 \\ -\sqrt{3} \end{pmatrix} \quad (\text{VII.2})$$

with lattice constant  $a \approx 2.46 \text{ \AA}$  (distance between unit cells). Have

$$a = \sqrt{3}a_0 \quad (\text{VII.3})$$

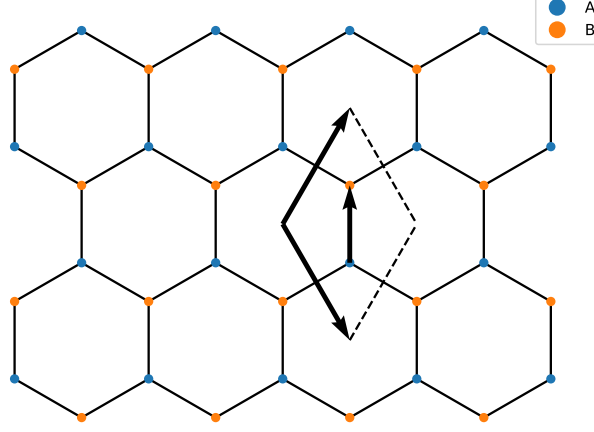
with the nearest-neighbour distance  $a_0$ .

Vectors to the nearest-neighbor  $B_i$  ( $i = 1, 2, 3$ ) atoms from atom  $A$ :

$$\boldsymbol{\delta}_{AB,1} = \begin{pmatrix} 0 \\ \frac{a}{\sqrt{3}} \end{pmatrix}, \boldsymbol{\delta}_{AB,2} = \begin{pmatrix} \frac{a}{2} \\ -\frac{a}{2\sqrt{3}} \end{pmatrix}, \boldsymbol{\delta}_{AB,3} = \begin{pmatrix} -\frac{a}{2} \\ -\frac{a}{2\sqrt{3}} \end{pmatrix} \quad (\text{VII.4})$$

Vectors to the nearest-neighbor  $A_i$  ( $i = 1, 2, 3$ ) atoms from atom  $B$ :

$$\boldsymbol{\delta}_{BA,1} = \begin{pmatrix} 0 \\ -\frac{a}{\sqrt{3}} \end{pmatrix}, \boldsymbol{\delta}_{BA,2} = \begin{pmatrix} \frac{a}{2} \\ \frac{a}{2\sqrt{3}} \end{pmatrix}, \boldsymbol{\delta}_{BA,3} = \begin{pmatrix} -\frac{a}{2} \\ \frac{a}{2\sqrt{3}} \end{pmatrix} \quad (\text{VII.5})$$



**Figure VII.1:** Graphene lattice structure

The vectors between the Graphene A atom and the six neighbours on the same sub lattice can be found by rotating  $\mathbf{a}_1$  six times by  $1/6 * 2\pi = \pi/3$ :

$$\delta_{AA,1} = \mathbf{a}_1 = \frac{a}{2} \begin{pmatrix} 1 \\ \sqrt{3} \end{pmatrix} = a \begin{pmatrix} \frac{1}{2} \\ \frac{\sqrt{3}}{2} \end{pmatrix} = a \begin{pmatrix} \sin(\frac{\pi}{6}) \\ \cos(\frac{\pi}{6}) \end{pmatrix} \quad (\text{VII.6})$$

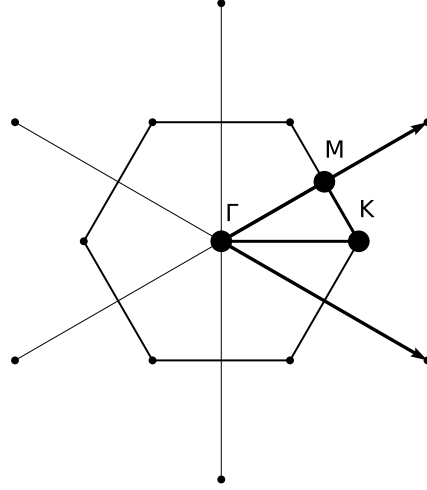
$$\delta_{AA,2} = a \begin{pmatrix} \sin(\frac{3\pi}{6}) \\ \cos(\frac{3\pi}{6}) \end{pmatrix} = a \begin{pmatrix} 1 \\ 0 \end{pmatrix} \quad (\text{VII.7})$$

$$\delta_{AA,3} = a \begin{pmatrix} \sin(\frac{5\pi}{6}) \\ \cos(\frac{5\pi}{6}) \end{pmatrix} = a \begin{pmatrix} \frac{1}{2} \\ -\frac{\sqrt{3}}{2} \end{pmatrix} \quad (\text{VII.8})$$

$$\delta_{AA,4} = a \begin{pmatrix} \sin(\frac{7\pi}{6}) \\ \cos(\frac{7\pi}{6}) \end{pmatrix} = a \begin{pmatrix} -\frac{1}{2} \\ -\frac{\sqrt{3}}{2} \end{pmatrix} \quad (\text{VII.9})$$

$$\delta_{AA,5} = a \begin{pmatrix} \sin(\frac{9\pi}{6}) \\ \cos(\frac{9\pi}{6}) \end{pmatrix} = a \begin{pmatrix} -1 \\ 0 \end{pmatrix} \quad (\text{VII.10})$$

$$\delta_{AA,6} = a \begin{pmatrix} \sin(\frac{11\pi}{6}) \\ \cos(\frac{11\pi}{6}) \end{pmatrix} = a \begin{pmatrix} -\frac{1}{2} \\ \frac{\sqrt{3}}{2} \end{pmatrix} \quad (\text{VII.11})$$



**Figure VII.2:** *Graphene Brillouin Zone*

The primitive reciprocal lattice vectors  $\mathbf{b}_1$ ,  $\mathbf{b}_2$  fulfill

$$\mathbf{a}_1 \cdot \mathbf{b}_1 = \mathbf{a}_2 \cdot \mathbf{b}_2 = 2\pi \quad (\text{VII.12})$$

$$\mathbf{a}_1 \cdot \mathbf{b}_2 = \mathbf{a}_2 \cdot \mathbf{b}_1 = 0, \quad (\text{VII.13})$$

so we have:

$$\mathbf{b}_1 = \frac{2\pi}{a} \begin{pmatrix} 1 \\ \frac{1}{\sqrt{3}} \end{pmatrix} \quad (\text{VII.14})$$

$$\mathbf{b}_2 = \frac{2\pi}{a} \begin{pmatrix} 1 \\ -\frac{1}{\sqrt{3}} \end{pmatrix} \quad (\text{VII.15})$$

Points of high symmetry in the Brillouin zone are:

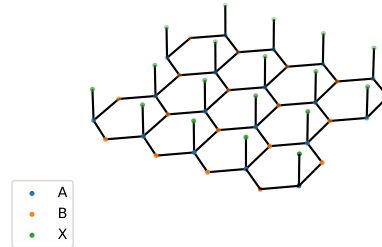
$$\Gamma = \begin{pmatrix} 0 \\ 0 \end{pmatrix} \quad (\text{VII.16})$$

$$\text{M} = \frac{\pi}{a} \begin{pmatrix} 1 \\ \frac{1}{\sqrt{3}} \end{pmatrix} \quad (\text{VII.17})$$

$$\text{K} = \frac{4\pi}{3a} \begin{pmatrix} 1 \\ 0 \end{pmatrix} \quad (\text{VII.18})$$

## VII.2 EG-X Model

Graphene lattice and a site X. Real-life motivation: layer of graphene on top



**Figure VII.3:** *EG-X model*

of a substrate of another material (which provides the additional X atoms). There is no spin-orbit coupling considered in the model (but when according to Niklas: when mapping to substrates Sn or Pb, it could be necessary (but does not the qualitative result?)).

Spin-orbit coupling,  
drop second spin  
index?

Without interaction :

$$H_0 = -t_X \sum_{\langle ij \rangle, \sigma \sigma'} d_{i,\sigma}^\dagger d_{j,\sigma'} + \text{h.c.} - t_{\text{Gr}} \sum_{\langle ij \rangle, \sigma \sigma'} \left( c_{i,\sigma}^{(A)\dagger} c_{j,\sigma'}^{(B)} + c_{j,\sigma'}^{(B)\dagger} c_{i,\sigma}^{(A)} + \text{h.c.} \right) \quad (\text{VII.19})$$

$$+ V \sum_{i, \sigma \sigma'} \left( d_{i,\sigma}^\dagger c_{i,\sigma'}^{(A)} + c_{i,\sigma}^{(A)\dagger} d_{i,\sigma'} \right) \quad (\text{VII.20})$$

with:

- $d$  operators on the X atom
- $c^{(\epsilon)}$  operators on the graphene site ( $\epsilon = A, B$ )
- $t_X$  NN hopping for X
- $t_{\text{Gr}}$  NN hopping of Gr
- $V$  hybridization between X and Graphene B sites

We can also introduce an onsite Hubbard interaction:

$$H_{\text{int}} = U_X \sum_i d_{i,\uparrow}^\dagger d_{i,\downarrow}^\dagger d_{i,\downarrow} d_{i,\uparrow} + U_{\text{Gr}} \sum_{i, \epsilon=A, B} c_{i,\uparrow}^{(\epsilon)\dagger} c_{i,\downarrow}^{(\epsilon)\dagger} c_{i,\downarrow}^\epsilon c_{i,\uparrow}^\epsilon \quad (\text{VII.21})$$

### VII.2.1 Review: Hubbard model on the honeycomb lattice

### VII.2.2 Band structure of the non-interacting EG-X model

To treat eq. VII.20, we first write out the sums over nearest neighbours  $\langle i, j \rangle$  explicitly, writing  $\delta_X, \delta_\epsilon$  ( $\epsilon = A, B$ ) for the connections to the nearest neighbours of the X atoms and Graphene A, B sites. Doing the calculation for the example of the X atoms:

$$-t_X \sum_{\langle ij \rangle, \sigma \sigma'} (d_{i,\sigma}^\dagger d_{j,\sigma'} + d_{j,\sigma}^\dagger d_{i,\sigma'}) \quad (\text{VII.22})$$

$$= -\frac{t_X}{2} \sum_{i, \sigma, \sigma'} \sum_{\delta_X} d_{i,\sigma}^\dagger d_{i+\delta_X, \sigma'} - \frac{t_X}{2} \sum_{j, \sigma, \sigma'} \sum_{\delta_X} d_{j,\sigma}^\dagger d_{j+\delta_X, \sigma'} \quad (\text{VII.23})$$

$$= -t_X \sum_{i, \sigma, \sigma'} \sum_{\delta_X} d_{i,\sigma}^\dagger d_{i+\delta_X, \sigma'} \quad (\text{VII.24})$$

Write review for  
Hubbard model on  
the honeycomb lat-  
tice

(The factor  $1/2$  is to account for double counting when going to the sum over all lattice sites  $i$ )

Now we can input the discrete Fourier transform (for both graphene and X operators) into eq. VII.24

$$c_i = \frac{1}{\sqrt{N}} \sum_{\mathbf{k}} e^{i\mathbf{k}\mathbf{r}_i} c_{\mathbf{k}} \quad (\text{VII.25})$$

$$c_i^\dagger = \frac{1}{\sqrt{N}} \sum_{\mathbf{k}} e^{-i\mathbf{k}\mathbf{r}_i} c_{\mathbf{k}}^\dagger \quad (\text{VII.26})$$

with the completeness relation:

$$\sum_i e^{i\mathbf{k}\mathbf{r}_i} e^{-i\mathbf{k}'\mathbf{r}_i} = N\delta_{\mathbf{k},\mathbf{k}'} . \quad (\text{VII.27})$$

We get:

$$-t_X \frac{1}{N} \sum_{i,\sigma,\sigma'} \sum_{\delta_X} d_{i,\sigma}^\dagger d_{i+\delta_X,\sigma'} = -t_X \frac{1}{N} \sum_{i,\sigma,\sigma'} \sum_{\delta_X} \sum_{\mathbf{k},\mathbf{k}'} e^{-i\mathbf{k}\mathbf{r}_i} d_{\mathbf{k},\sigma}^\dagger e^{i\mathbf{k}'\mathbf{r}_i} e^{i\mathbf{k}'\delta_X} d_{\mathbf{k}',\sigma'} \quad (\text{VII.28})$$

$$= -t_X \frac{1}{N} \sum_{\mathbf{k},\mathbf{k}',\sigma,\sigma'} \sum_{\delta_X} d_{\mathbf{k},\sigma}^\dagger e^{i\mathbf{k}'\delta_X} d_{\mathbf{k}',\sigma'} \sum_i e^{-i\mathbf{k}\mathbf{r}_i} e^{i\mathbf{k}'\mathbf{r}_i} \quad (\text{VII.29})$$

$$= -t_X \frac{1}{N} \sum_{\mathbf{k},\mathbf{k}',\sigma,\sigma'} \sum_{\delta_X} d_{\mathbf{k},\sigma}^\dagger e^{i\mathbf{k}'\delta_X} d_{\mathbf{k}',\sigma'} N\delta_{\mathbf{k},\mathbf{k}'} \quad (\text{VII.30})$$

$$= -t_X \sum_{\mathbf{k},\sigma,\sigma'} d_{\mathbf{k},\sigma}^\dagger d_{\mathbf{k},\sigma'} \sum_{\delta_X} e^{i\mathbf{k}\delta_X} \quad (\text{VII.31})$$

The nearest neighbours for X atoms are the vectors  $\delta_{AA,i}$  from section VII.1. With that, we can calculate:

$$f_X(\mathbf{k}) = -t_X \sum_{\delta_X} e^{i\mathbf{k}\delta_X} \quad (\text{VII.32})$$

$$= -t_X \left( e^{ia(\frac{k_x}{2} + \frac{\sqrt{3}k_y}{2})} + e^{iak_x} + e^{ia(\frac{k_x}{2} - \frac{\sqrt{3}k_y}{2})} \right) \quad (\text{VII.33})$$

$$+ e^{ia(-\frac{k_x}{2} - \frac{\sqrt{3}k_y}{2})} + e^{-iak_x} + e^{ia(-\frac{k_x}{2} + \frac{\sqrt{3}k_y}{2})} \right) \quad (\text{VII.34})$$

$$= -t_X \left( 2 \cos(ak_x) + 2e^{ia\frac{\sqrt{3}k_y}{2}} \cos\left(\frac{a}{2}k_x\right) + 2e^{-ia\frac{\sqrt{3}k_y}{2}} \cos\left(\frac{a}{2}k_x\right) \right) \quad (\text{VII.35})$$

$$= -2t_X \left( \cos(ak_x) + 2 \cos\left(\frac{a}{2}k_x\right) \cos\left(\sqrt{3}\frac{a}{2}k_y\right) \right) \quad (\text{VII.36})$$

We can do the same for the hopping between Graphene sites, for example :

$$-t_{Gr} \sum_{\langle ij \rangle, \sigma\sigma'} c_{i,\sigma}^{(A)\dagger} c_{j,\sigma'}^{(B)} = -t_{Gr} \sum_{i,\sigma\sigma'} \sum_{\delta_{AB}} c_{i,\sigma}^{(A)\dagger} c_{i+\delta_{AB},\sigma'}^{(B)} \quad (\text{VII.37})$$

$$= -t_{Gr} \sum_{\mathbf{k},\sigma,\sigma'} c_{\mathbf{k},\sigma}^{(A)\dagger} c_{\mathbf{k},\sigma'}^{(B)} \sum_{\delta_{AB}} e^{i\mathbf{k}\delta_{AB}} \quad (\text{VII.38})$$

We note

$$\sum_{\delta_{AB}} e^{i\mathbf{k}\delta_{AB}} = \left( \sum_{\delta_{BA}} e^{i\mathbf{k}\delta_{BA}} \right)^* = \sum_{\delta_{BA}} e^{-i\mathbf{k}\delta_{BA}} \quad (\text{VII.39})$$

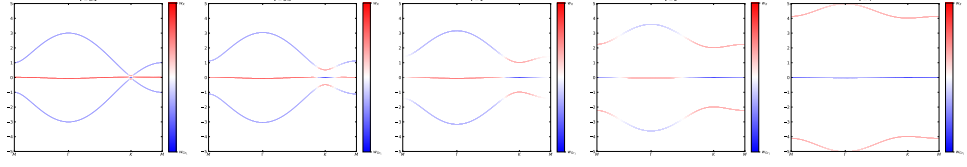
and calculate

$$f_{Gr} = -t_{Gr} \sum_{\delta_{AB}} e^{i\mathbf{k}\delta_{AB}} \quad (\text{VII.40})$$

$$= -t_{Gr} \left( e^{i\frac{a}{\sqrt{3}}k_y} + e^{i\frac{a}{2\sqrt{3}}(\sqrt{3}k_x - k_y)} + e^{i\frac{a}{2\sqrt{3}}(-\sqrt{3}k_x - k_y)} \right) \quad (\text{VII.41})$$

$$= -t_{Gr} \left( e^{i\frac{a}{\sqrt{3}}k_y} + e^{-i\frac{a}{2\sqrt{3}}k_y} \left( e^{i\frac{a}{2}k_x} + e^{-i\frac{a}{2}k_x} \right) \right) \quad (\text{VII.42})$$

$$= -t_{Gr} \left( e^{i\frac{a}{\sqrt{3}}k_y} + 2e^{-i\frac{a}{2\sqrt{3}}k_y} \cos\left(\frac{a}{2}k_x\right) \right) \quad (\text{VII.43})$$



**Figure VII.4:** Bands of the non-interacting EG-X model. All the bands are spin-degenerate.

All together, we get:

$$H_0 = \sum_{\mathbf{k}, \sigma, \sigma'} \begin{pmatrix} c_{\mathbf{k}, \sigma}^{A, \dagger} & c_{\mathbf{k}, \sigma}^{B, \dagger} & d_{\mathbf{k}, \sigma}^{\dagger} \end{pmatrix} \begin{pmatrix} 0 & f_{Gr} & V \\ f_{Gr}^* & 0 & 0 \\ V & 0 & f_X \end{pmatrix} \begin{pmatrix} c_{\mathbf{k}, \sigma}^A \\ c_{\mathbf{k}, \sigma}^B \\ d_{\mathbf{k}, \sigma} \end{pmatrix} \quad (\text{VII.44})$$

The band structure for the non-interacting EG-X model is easily obtained by diagonalising the matrix in eq. VII.44. This was done in fig. VII.4.

Values used for calculation:

- $a_0 = 1$
- $t_{Gr} = 1$
- $t_X = 0.01$

$V$  is the control parameter. (According to Niklas), a range from  $V = 0.1$  to  $V = 2$  can be mapped onto materials in experiment.



## VIII EG-X Model with interactions

### VIII.1 BdG Hamiltonian and free energy

#### VIII.1.1 BdG Hamiltonian

Define sublattice index

$$\alpha = 1, 2, 3 \quad (\text{VIII.1})$$

with  $1 \hat{=} \text{Gr}_1, 2 \hat{=} \text{Gr}_2, 3 \hat{=} \text{X}$ . Then we can write the non-interacting term as

$$H_0 = - \sum_{\langle i,j \rangle, \alpha, \beta, \sigma} [\mathbf{t}]_{i\alpha, j\beta} c_{i\alpha}^\dagger c_{j\beta} \quad (\text{VIII.2})$$

with the matrix

$$\mathbf{t} = \begin{pmatrix} 0 & t_{\text{Gr}} & 0 \\ t_{\text{Gr}} & 0 & -V\delta_{ij} \\ 0 & -V\delta_{ij} & t_{\text{X}} \end{pmatrix} \quad (\text{VIII.3})$$

Add chemical potential:

$$-\mu \sum_{i\alpha\sigma} n_{i\alpha\sigma} \quad (\text{VIII.4})$$

Also write the interaction part with  $\alpha$  (with changed signs compared to Niklas, to keep in line with papers about the attractive Hubbard model):

$$H_{\text{int}} = - \sum_{i\alpha} U_\alpha c_{i\alpha\uparrow}^\dagger c_{i\alpha\downarrow}^\dagger c_{i\alpha\downarrow} c_{i\alpha\uparrow} \quad (\text{VIII.5})$$

Fourier transformation:

$$H_{\text{int}} = -\frac{1}{N^2} \sum_{\alpha, \mathbf{k}_1, 2, 3, 4} U_\alpha e^{i(\mathbf{k}_1 + \mathbf{k}_4 - \mathbf{k}_1 - \mathbf{k}_3)r_{i\alpha}} c_{\mathbf{k}_1\alpha\uparrow}^\dagger c_{\mathbf{k}_3\alpha\downarrow}^\dagger c_{\mathbf{k}_2\alpha\downarrow} c_{\mathbf{k}_4\alpha\uparrow} \quad (\text{VIII.6})$$

Impose zero-momentum pairing:  $\mathbf{k}_1 + \mathbf{k}_3 = 0$  and  $\mathbf{k}_2 + \mathbf{k}_4 = 0$ :

$$H_{int} = - \sum_{\alpha, \mathbf{k}, \mathbf{k}'} U_{\alpha} c_{\mathbf{k}\alpha\uparrow}^{\dagger} c_{-\mathbf{k}\alpha\downarrow}^{\dagger} c_{-\mathbf{k}'\alpha\downarrow} c_{\mathbf{k}'\alpha\uparrow} \quad (\text{VIII.7})$$

Mean-field approximation:

$$H_{int} \approx \sum_{\alpha, \mathbf{k}} (\Delta_{\alpha} c_{\mathbf{k}\alpha\uparrow}^{\dagger} c_{-\mathbf{k}\alpha\downarrow}^{\dagger} + \Delta_{\alpha}^* c_{-\mathbf{k}\alpha\downarrow} c_{\mathbf{k}\alpha\uparrow}) \quad (\text{VIII.8})$$

with

$$\Delta_{\alpha} = -U_{\alpha} \sum_{\mathbf{k}'} \langle c_{-\mathbf{k}'\alpha\downarrow} c_{\mathbf{k}'\alpha\uparrow} \rangle \quad (\text{VIII.9})$$

$$\Delta_{\alpha}^* = -U_{\alpha} \sum_{\mathbf{k}'} \langle c_{\mathbf{k}'\alpha\uparrow}^{\dagger} c_{-\mathbf{k}'\alpha\downarrow}^{\dagger} \rangle \quad (\text{VIII.10})$$

This gives the BCS mean field Hamiltonian:

$$H_{BCS} = \sum_{\mathbf{k}\alpha\beta\sigma} [H_{0,\sigma}(\mathbf{k})]_{\alpha\beta} c_{\mathbf{k}\alpha\sigma}^{\dagger} c_{\mathbf{k}\beta\sigma} - \mu \sum_{\mathbf{k}\alpha\sigma} n_{\mathbf{k}\alpha\sigma} + \sum_{\alpha, \mathbf{k}} (\Delta_{\alpha} c_{\mathbf{k}\alpha\uparrow}^{\dagger} c_{-\mathbf{k}\alpha\downarrow}^{\dagger} + \Delta_{\alpha}^* c_{-\mathbf{k}\alpha\downarrow} c_{\mathbf{k}\alpha\uparrow}) \quad (\text{VIII.11})$$

with Nambu spinor

$$\Psi_{\mathbf{k}} = \begin{pmatrix} c_{1,\mathbf{k}\uparrow} \\ c_{2,\mathbf{k}\uparrow} \\ c_{3,\mathbf{k}\uparrow} \\ c_{1,-\mathbf{k}\downarrow}^{\dagger} \\ c_{2,-\mathbf{k}\downarrow}^{\dagger} \\ c_{3,-\mathbf{k}\downarrow}^{\dagger} \end{pmatrix} \quad (\text{VIII.12})$$

we have:

$$H_{MF} = \sum_{\mathbf{k}} \Psi_{\mathbf{k}}^{\dagger} \mathcal{H}(\mathbf{k}) \Psi_{\mathbf{k}} \quad (\text{VIII.13})$$

with

$$\mathcal{H}(\mathbf{k}) = \begin{pmatrix} H_{0,\uparrow}(\mathbf{k}) - \mu & \Delta \\ \Delta^{\dagger} & -H_{0,\downarrow}^*(-\mathbf{k}) + \mu \end{pmatrix} \quad (\text{VIII.14})$$

with  $H_{0,\sigma}$  being the F.T. of the kinetic term and  $\Delta = \text{diag}(\Delta_1, \Delta_2, \Delta_3)$ .

### VIII.1.2 BdG Hamiltonian in band basis

Use transformation

$$c_{\mathbf{k}\alpha\sigma}^\dagger = \sum_n [\mathbf{G}]_{\alpha n}^* d_{n\mathbf{k}\sigma}^\dagger \quad (\text{VIII.15})$$

where the columns are made up of the eigenvectors of  $\mathbf{H}_{0,\sigma}$  for a given  $\mathbf{k}$ :

$$\mathbf{G} = (\mathbf{G}_1 \quad \mathbf{G}_2 \quad \mathbf{G}_3) \quad (\text{VIII.16})$$

with that:

$$\mathbf{G}_\sigma^\dagger(\mathbf{k}) \mathbf{H}_{0,\sigma}(\mathbf{k}) \mathbf{G}_\sigma(\mathbf{k}) = \begin{pmatrix} \epsilon_1 & 0 & 0 \\ 0 & \epsilon_2 & 0 \\ 0 & 0 & \epsilon_3 \end{pmatrix} \quad (\text{VIII.17})$$

So the kinetic part of the BdG Hamiltonian becomes:

$$\sum_{\mathbf{k}\alpha\beta\sigma} [H_{0,\sigma}(\mathbf{k})]_{\alpha\beta} \sum_n [\mathbf{G}(\mathbf{k})]_{\alpha n}^* d_{n\mathbf{k}\sigma}^\dagger \sum_m [\mathbf{G}(\mathbf{k})]_{\beta m} d_{m\mathbf{k}\sigma} - \mu \sum_{\mathbf{k}\alpha\sigma} n_{n\mathbf{k}\sigma} \quad (\text{VIII.18})$$

$$= \sum_{m\mathbf{n}\mathbf{k}\sigma} d_{n\mathbf{k}\sigma}^\dagger d_{m\mathbf{k}\sigma} \sum_{\alpha\beta} [\mathbf{G}(\mathbf{k})]_{\alpha n}^* [H_{0,\sigma}(\mathbf{k})]_{\alpha\beta} [\mathbf{G}(\mathbf{k})]_{\beta m} - \mu \sum_{\mathbf{k}\alpha\sigma} n_{n\mathbf{k}\sigma} \quad (\text{VIII.19})$$

$$= \sum_{m\mathbf{n}\mathbf{k}\sigma} d_{n\mathbf{k}\sigma}^\dagger d_{m\mathbf{k}\sigma} \epsilon_n \delta_{nm} - \mu \sum_{\mathbf{k}\alpha\sigma} n_{n\mathbf{k}\sigma} \quad (\text{VIII.20})$$

$$= \sum_{n\mathbf{k}\sigma} \epsilon_n d_{n\mathbf{k}\sigma}^\dagger d_{n\mathbf{k}\sigma} - \mu \sum_{\mathbf{k}\alpha\sigma} n_{n\mathbf{k}\sigma} \quad (\text{VIII.21})$$

$$=: \sum_{n\mathbf{k}\sigma} \xi_{\mathbf{k}} d_{n\mathbf{k}\sigma}^\dagger d_{n\mathbf{k}\sigma} \quad (\text{VIII.22})$$

with  $\xi_{\mathbf{k}} := \epsilon_{\mathbf{k}} - \mu$ . The pairing terms become:

$$\sum_{\mathbf{k}\alpha} \Delta_\alpha c_{\mathbf{k}\alpha\uparrow}^\dagger c_{-\mathbf{k}\alpha\downarrow}^\dagger = \sum_{\mathbf{k}\alpha} \Delta_\alpha \sum_n [\mathbf{G}_\uparrow(\mathbf{k})]_{\alpha n}^* d_{n\mathbf{k}\uparrow}^\dagger \sum_m [\mathbf{G}_\downarrow(-\mathbf{k})]_{\beta m}^* d_{m-\mathbf{k}\downarrow}^\dagger \quad (\text{VIII.23})$$

$$= \quad (\text{VIII.24})$$

So that:

$$\mathcal{H}(\mathbf{k}) = \begin{pmatrix} \epsilon_{\mathbf{k}} - \mu & G^\dagger \Delta G \\ G^\dagger \Delta^\dagger G & -\epsilon_{\mathbf{k}} + \mu \end{pmatrix} \quad (\text{VIII.25})$$

with

$$\epsilon_{\mathbf{k}} = \begin{pmatrix} \epsilon_1(\mathbf{k}) & 0 & 0 \\ 0 & \epsilon_2(\mathbf{k}) & 0 \\ 0 & 0 & \epsilon_3(\mathbf{k}) \end{pmatrix} \quad (\text{VIII.26})$$

Concrete example for transformation of gaps from orbital to band basis at  $\mathbf{K} = \frac{4\pi}{3a} \begin{pmatrix} 1 \\ 0 \end{pmatrix}$ . There, the non-interacting part becomes simply:

$$\mathcal{H}_0 = \begin{pmatrix} 0 & 0 & V \\ 0 & 0 & 0 \\ V & 0 & 3t_X \end{pmatrix} \quad (\text{VIII.27})$$

The eigenvalue problem can be solved e.g. via sympy:

$$G = \begin{pmatrix} \frac{-3t_X - \sqrt{4V^2 + 9t_X^2}}{\sqrt{4V^2 + (3t_X + \sqrt{4V^2 + 9t_X^2})^2}} & 0 & \frac{-3t_X + \sqrt{4V^2 + 9t_X^2}}{\sqrt{4V^2 + (3t_X - \sqrt{4V^2 + 9t_X^2})^2}} \\ 0 & 1 & 0 \\ \frac{2V}{\sqrt{4V^2 + (3t_X + \sqrt{4V^2 + 9t_X^2})^2}} & 0 & \frac{2V}{\sqrt{4V^2 + (3t_X - \sqrt{4V^2 + 9t_X^2})^2}} \end{pmatrix} \quad (\text{VIII.28})$$

So for  $V \rightarrow 0$ :

$$G = \begin{pmatrix} -1 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 1 \end{pmatrix} \quad (\text{VIII.29})$$

but for  $V > 0$ , there are off-diagonal elements, e.g.  $V = 0.1$ :

$$G = \begin{pmatrix} -0.7578 & 0 & 0.6526 \\ 0 & 1 & 0 \\ 0.6526 & 0 & 0.7578 \end{pmatrix} \quad (\text{VIII.30})$$

So the transformation of the gap from orbital to band space reads:

$$G^\dagger \Delta G = \begin{pmatrix} \frac{3\Delta_1 t_X - 3\Delta_3 t_X + (\Delta_1 + \Delta_3)\sqrt{4V^2 + 9t_X^2}}{2\sqrt{4V^2 + 9t_X^2}} & 0 & \frac{V(-\Delta_1 + \Delta_3)}{\sqrt{4V^2 + 9t_X^2}} \\ 0 & \Delta_2 & 0 \\ \frac{V(-\Delta_1 + \Delta_3)}{\sqrt{4V^2 + 9t_X^2}} & 0 & \frac{-3\Delta_1 t_X + 3\Delta_3 t_X + (\Delta_1 + \Delta_3)\sqrt{4V^2 + 9t_X^2}}{2\sqrt{4V^2 + 9t_X^2}} \end{pmatrix} \quad (\text{VIII.31})$$

So in particular there is no interband pairing for  $V \rightarrow 0$ :

$$G^\dagger \Delta G = \begin{pmatrix} \Delta_1 & 0 & 0 \\ 0 & \Delta_2 & 0 \\ 0 & 0 & \Delta_3 \end{pmatrix} \quad (\text{VIII.32})$$

But for  $V > 0$ , there is interband pairing (e.g.  $V = 0.1$ ):

$$G^\dagger \Delta G = \begin{pmatrix} 0.5742\Delta_1 + 0.4258\Delta_3 & 0 & -0.4945\Delta_1 + 0.4945\Delta_3 \\ 0 & \Delta_2 & 0 \\ -0.4945\Delta_1 + 0.4945\Delta_3 & 0 & 0.4258\Delta_1 + 0.5742\Delta_3 \end{pmatrix} \quad (\text{VIII.33})$$



# IX EG-X Model - Trying BCS theory

## IX.1 BCS Theory on the EG-X Model

### IX.1.1 Self-consistent calculation of the superconducting gaps

This does not really work! I neglect interband pairing at some point, so i throw away 6 out of 9 gap equations I have, also the GF ansatz works with diagonal Matsubara GFs, so I dont think it works here.

Compare [1, ch. 10]. Notable here: Multiple bands, and the gaps in each band depend in a complicated manner on the parameters  $U_\alpha$  and the orbital Green's functions.

Define normal Green's function:

$$\mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, \tau) = -\langle T_\tau d_{n\mathbf{k}\uparrow}(\tau) d_{n\mathbf{k}\uparrow}^\dagger(0) \rangle \quad (\text{IX.1})$$

Anomalous Green's function:

$$\mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, \tau) = -\langle T_\tau d_{n-\mathbf{k}\downarrow}(\tau) d_{n\mathbf{k}\uparrow}^\dagger(0) \rangle \quad (\text{IX.2})$$

Equations of motion (Heisenberg equation), follow [1, ch. 17]:

$$\partial_\tau \mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, \tau) = -\delta(\tau) + \langle T_\tau [d_{n\mathbf{k}\uparrow}, H_{BdG}] (\tau) d_{n\mathbf{k}\uparrow}^\dagger(0) \rangle \quad (\text{IX.3})$$

$$\partial_\tau \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, \tau) = \langle T_\tau [d_{n-\mathbf{k}\downarrow}, H_{BdG}] (\tau) d_{n\mathbf{k}\uparrow}^\dagger(0) \rangle \quad (\text{IX.4})$$

To calculate the commutators, use the relation (for operators  $A, B, C$ ):

$$[A, BC] = ABC - BCA = (\{A, B\} - BA)C - B(\{C, A\} - AC) \quad (\text{IX.5})$$

$$[d_{n-\mathbf{k}\downarrow}^\dagger, H_0] = \sum_{n'\mathbf{k}'\sigma'} \xi_{n'\mathbf{k}'} [d_{n-\mathbf{k}\downarrow}^\dagger, d_{n'\mathbf{k}'\sigma'}^\dagger d_{n'\mathbf{k}'\sigma'}] \quad (\text{IX.6})$$

$$= \sum_{n'\mathbf{k}'\sigma'} \xi_{n'\mathbf{k}'} \left( \{d_{n-\mathbf{k}\downarrow}^\dagger, d_{n'\mathbf{k}'\sigma'}^\dagger\} - d_{n'\mathbf{k}'\sigma'}^\dagger d_{n-\mathbf{k}\downarrow}^\dagger \right) d_{n'\mathbf{k}'\sigma'} \quad (\text{IX.7})$$

$$- d_{n'\mathbf{k}'\sigma'}^\dagger \left( \{d_{n'\mathbf{k}'\sigma'}, d_{n-\mathbf{k}\downarrow}^\dagger\} - d_{n-\mathbf{k}\downarrow}^\dagger d_{n'\mathbf{k}'\sigma'} \right) \quad (\text{IX.8})$$

$$= \sum_{n'\mathbf{k}'\sigma'} \xi_{n'\mathbf{k}'} \left( -d_{n'\mathbf{k}'\sigma'}^\dagger d_{n-\mathbf{k}\downarrow}^\dagger d_{n'\mathbf{k}'\sigma'} - d_{n'\mathbf{k}'\sigma'}^\dagger \delta_{n'\mathbf{k}'\sigma', n-\mathbf{k}\uparrow} + d_{n'\mathbf{k}'\sigma'}^\dagger d_{n-\mathbf{k}\downarrow}^\dagger d_{n'\mathbf{k}'\sigma'} \right) \quad (\text{IX.9})$$

$$= -\xi_{n\mathbf{k}} d_{n\mathbf{k}\uparrow}^\dagger \quad (\text{IX.10})$$

$$\left[ d_{n-\mathbf{k}\downarrow}, -\sum_{m\mathbf{k}'} \Delta_m^* d_{m-\mathbf{k}'\downarrow} d_{m\mathbf{k}'\uparrow} \right] \quad (\text{IX.11})$$

$$= -\sum_{m\mathbf{k}'} \Delta_m^* \left( \{d_{n-\mathbf{k}\downarrow}, d_{m-\mathbf{k}'\downarrow}\} - d_{m-\mathbf{k}'\downarrow} d_{n-\mathbf{k}\downarrow} \right) d_{m\mathbf{k}'\uparrow} \quad (\text{IX.12})$$

$$- d_{m-\mathbf{k}'\downarrow} \left( \{d_{m\mathbf{k}'\uparrow}, d_{n-\mathbf{k}\downarrow}\} - d_{n-\mathbf{k}\downarrow} d_{m\mathbf{k}'\uparrow} \right) \quad (\text{IX.13})$$

$$= -\sum_{m\mathbf{k}'} \Delta_m^* \left( \delta_{n-\mathbf{k}\downarrow, m-\mathbf{k}'\downarrow} - d_{m-\mathbf{k}'\downarrow} d_{n-\mathbf{k}\downarrow} \right) d_{m\mathbf{k}'\uparrow} + d_{m-\mathbf{k}'\downarrow} d_{n-\mathbf{k}\downarrow} d_{m\mathbf{k}'\uparrow} \quad (\text{IX.14})$$

$$= -\Delta_n^* d_{n\mathbf{k}\uparrow} \quad (\text{IX.15})$$

$$\partial_\tau \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, \tau) = -\xi_{n\mathbf{k}} \langle T_\tau (d_{n-\mathbf{k}\downarrow}^\dagger(\tau) d_{n\mathbf{k}\uparrow}^\dagger(0)) \rangle - \Delta_n^* \langle T_\tau (d_{n\mathbf{k}\uparrow}(\tau) d_{n\mathbf{k}\uparrow}^\dagger(0)) \rangle \quad (\text{IX.16})$$

$$= \xi_{n\mathbf{k}} \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, \tau) + \Delta_n^* \mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, \tau) \quad (\text{IX.17})$$

Similarly:

$$[d_{n-\mathbf{k}\uparrow}, H_0] = \sum_{n'\mathbf{k}'\sigma'} \xi_{n'\mathbf{k}'} [d_{n-\mathbf{k}\uparrow}, d_{n'\mathbf{k}'\sigma'}^\dagger d_{n'\mathbf{k}'\sigma'}] \quad (\text{IX.18})$$

$$= \xi_n d_{n\mathbf{k}\uparrow}^\dagger \quad (\text{IX.19})$$



$$\left[ d_{n-\mathbf{k}\uparrow}, -\sum_{m\mathbf{k}'} \Delta_m d_{m-\mathbf{k}'\uparrow}^\dagger d_{m-\mathbf{k}'\downarrow}^\dagger \right] \quad (\text{IX.20})$$

$$= -\Delta_n d_{n-\mathbf{k}\downarrow}^\dagger \quad (\text{IX.21})$$

$$\partial_\tau \mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, \tau) = -\delta(\tau) + \xi_{n\mathbf{k}} \langle T_\tau d_{n\mathbf{k}\uparrow}(\tau) d_{n\mathbf{k}\uparrow}^\dagger \rangle - \Delta_n \langle T_\tau d_{n-\mathbf{k}\downarrow}(\tau) d_{n\mathbf{k}\uparrow}^\dagger(0) \rangle \quad (\text{IX.22})$$

$$= -\delta(\tau) - \xi_{n\mathbf{k}} \mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, \tau) + \Delta_n \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, \tau) \quad (\text{IX.23})$$

$$(\text{IX.24})$$

All in all:

$$\partial_\tau \mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, \tau) = -\delta(\tau) - \xi_{n\mathbf{k}} \mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, \tau) + \Delta_n \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, \tau) \quad (\text{IX.25})$$

$$\partial_\tau \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, \tau) = \xi_{n\mathbf{k}} \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, \tau) + \Delta_n^* \mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, \tau) \quad (\text{IX.26})$$

Fourier transform:

$$(-i\omega_n + \xi_{n\mathbf{k}}) \mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, i\omega_n) = -1 + \Delta_n \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, i\omega_n) \quad (\text{IX.27})$$

$$(-i\omega_n - \xi_{n\mathbf{k}}) \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, i\omega_n) = \Delta_n^* \mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, i\omega_n) \quad (\text{IX.28})$$

This algebraic expression can be easily solved:

$$(-i\omega_n - \xi_{n\mathbf{k}}) \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, i\omega_n) = \frac{\Delta_n^*}{-i\omega_n + \xi_{n\mathbf{k}}} (-1 + \Delta_n \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, i\omega_n)) \quad (\text{IX.29})$$

$$(-i\omega_n - \xi_{n\mathbf{k}} - \frac{|\Delta_n|^2}{-i\omega_n + \xi_{n\mathbf{k}}}) \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, i\omega_n) = \frac{-\Delta_n^*}{-i\omega_n + \xi_{n\mathbf{k}}} \quad (\text{IX.30})$$

$$\left( \frac{(-i\omega_n - \xi_{n\mathbf{k}})(-i\omega_n + \xi_{n\mathbf{k}}) - |\Delta_n|^2}{-i\omega_n + \xi_{n\mathbf{k}}} \right) \mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, i\omega_n) = \frac{-\Delta_n^*}{-i\omega_n + \xi_{n\mathbf{k}}} \quad (\text{IX.31})$$

$$\mathcal{F}_{n\downarrow n\uparrow}(\mathbf{k}, i\omega_n) = \frac{-\Delta_n^*}{(-i\omega_n - \xi_{n\mathbf{k}})(-i\omega_n + \xi_{n\mathbf{k}}) - |\Delta_n|^2} \quad (\text{IX.32})$$

$$= \frac{-\Delta_n^*}{(i\omega_n)^2 - \xi_{n\mathbf{k}}^2 - |\Delta_n|^2} \quad (\text{IX.33})$$

$$= \frac{-\Delta_n^*}{(i\omega_n)^2 - E_{n\mathbf{k}}} \quad (\text{IX.34})$$

$$(-i\omega_n + \xi_{n\mathbf{k}})\mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, i\omega_n) = -1 + \frac{-|\Delta_n|^2}{(i\omega_n)^2 - \xi_{n\mathbf{k}}^2 - |\Delta_n|^2} \quad (\text{IX.35})$$

$$= \frac{-(i\omega_n)^2 + \xi_{n\mathbf{k}}^2 + |\Delta_n|^2 - |\Delta_n|^2}{(i\omega_n)^2 - \xi_{n\mathbf{k}}^2 - |\Delta_n|^2} \quad (\text{IX.36})$$

$$= \frac{-(i\omega_n)^2 + \xi_{n\mathbf{k}}^2}{(i\omega_n)^2 - \xi_{n\mathbf{k}}^2 - |\Delta_n|^2} \quad (\text{IX.37})$$

$$= \frac{(i\omega_n + \xi_{n\mathbf{k}})(-i\omega_n + \xi_{n\mathbf{k}})}{(i\omega_n)^2 - \xi_{n\mathbf{k}}^2 - |\Delta_n|^2} \quad (\text{IX.38})$$

$$\mathcal{G}_{n\uparrow n\uparrow}(\mathbf{k}, i\omega_n) = \frac{i\omega + \xi_{n\mathbf{k}}}{(i\omega_n)^2 - \xi_{n\mathbf{k}}^2 - |\Delta_n|^2} \quad (\text{IX.39})$$

$$= \frac{i\omega + \xi_{n\mathbf{k}}}{(i\omega_n)^2 - E_{n\mathbf{k}}^2} \quad (\text{IX.40})$$

with the energies  $E_{n\mathbf{k}} = \pm\sqrt{\xi_{n\mathbf{k}}^2 + |\Delta_n|^2}$ .

To calculate the band gap in band  $n$ :

$$\Delta_n(\mathbf{k}) = -\sum_{\alpha} [G_{k\uparrow}]_{\alpha n}^* \Delta_{\alpha} [G_{-k\downarrow}]_{\alpha n} \quad (\text{IX.41})$$

$$= \sum_{\alpha\mathbf{k}'} U_{\alpha} [G_{k\uparrow}]_{\alpha n}^* \langle c_{-k'\alpha\downarrow} c_{k'\alpha\uparrow} \rangle [G_{-k\downarrow}]_{\alpha n}^* \quad (\text{IX.42})$$

$$= \sum_{\alpha\mathbf{k}'} U_{\alpha} [G_{k\uparrow}]_{\alpha n}^* [G_{-k\downarrow}]_{\alpha n}^* \sum_m [G_{-k'\downarrow}]_{\alpha m} [G_{k'\uparrow}]_{\alpha m} \langle d_{-k'm\downarrow} d_{k'm\uparrow} \rangle \quad (\text{IX.43})$$

Can now use  $\mathcal{F}$  and fourier-transform:

$$\langle d_{-k'm\downarrow} d_{k'm\uparrow} \rangle = \mathcal{F}_{m\downarrow m\uparrow}^*(\mathbf{k}', \tau = 0^+) \quad (\text{IX.44})$$

$$= \frac{1}{\beta} \sum_{i\omega_n} e^{-i\omega_n 0^+} \mathcal{F}_{m\downarrow m\uparrow}^*(\mathbf{k}', i\omega_n) \quad (\text{IX.45})$$

The summation over the Matsubara frequencies can be solved via the Residue theorem (the poles  $z_0$  of  $\mathcal{F}$  are the energies  $\pm E_{m\mathbf{k}}$ ):

$$\frac{1}{\beta} \sum_{i\omega_n} e^{-i\omega_n 0^+} \mathcal{F}_{m\downarrow m\uparrow}^*(\mathbf{k}', i\omega_n) \quad (\text{IX.46})$$

$$= \sum_{z_0 \text{ poles of } \mathcal{F}} e^{-z_0 0^+} n_F(z_0) \text{Res}_{z_0} \mathcal{F}_{m\downarrow m\uparrow}^*(\mathbf{k}', z_0) \quad (\text{IX.47})$$

$$= e^{-E_{m\mathbf{k}} 0^+} n_F(E_{m\mathbf{k}}) \text{Res}_{E_{m\mathbf{k}}} \frac{-\Delta_m}{(i\omega_n)^2 - E_{m\mathbf{k}}} + e^{E_{m\mathbf{k}} 0^+} n_F(-E_{m\mathbf{k}}) \text{Res}_{-E_{m\mathbf{k}}} \frac{-\Delta_m}{(i\omega_n)^2 - E_{m\mathbf{k}}} \quad (\text{IX.48})$$

with residue:

$$\text{Res}_{E_{m\mathbf{k}}} \frac{1}{(i\omega_n)^2 - z_0^2} = \frac{1}{\partial_z|_{z_0=E_{m\mathbf{k}}} ((i\omega)^2 - z^2)} = \frac{1}{2E_{m\mathbf{k}}} \quad (\text{IX.49})$$

So we have

$$\langle d_{-k'm\downarrow} d_{k'm\uparrow} \rangle = -\Delta_m \left( \frac{n_F(E_{m\mathbf{k}})}{2E_{m\mathbf{k}}} - \frac{n_F(-E_{m\mathbf{k}})}{2E_{m\mathbf{k}}} \right) \quad (\text{IX.50})$$

The  $n_F$  term can be written as:

$$n_F(E_{m\mathbf{k}'}) - n_F(-E_{m\mathbf{k}'}) = \frac{1}{e^{\beta E_{m\mathbf{k}'}} + 1} - \frac{1}{e^{-\beta E_{m\mathbf{k}'}} + 1} \quad (\text{IX.51})$$

$$= \frac{e^{-\frac{1}{2}\beta E_{m\mathbf{k}'}}}{e^{-\frac{1}{2}\beta E_{m\mathbf{k}'}} + 1} \frac{1}{e^{\beta E_{m\mathbf{k}'}} + 1} - \frac{e^{\frac{1}{2}\beta E_{m\mathbf{k}'}}}{e^{\frac{1}{2}\beta E_{m\mathbf{k}'}} + 1} \frac{1}{e^{-\beta E_{m\mathbf{k}'}} + 1} \quad (\text{IX.52})$$

$$= \frac{e^{-\frac{1}{2}\beta E_{m\mathbf{k}'}} - e^{\frac{1}{2}\beta E_{m\mathbf{k}'}}}{e^{\frac{1}{2}\beta E_{m\mathbf{k}'}} + e^{-\frac{1}{2}\beta E_{m\mathbf{k}'}}} \quad (\text{IX.53})$$

$$= -\tanh\left(\frac{\beta E_{m\mathbf{k}'}}{2}\right) \quad (\text{IX.54})$$

This results in the self-consistency equation for the gap:

$$\Delta_n(\mathbf{k}) = \sum_{\alpha m \mathbf{k}'} U_\alpha [G_{k\uparrow}]_{\alpha n}^* [G_{-k\downarrow}]_{\alpha n}^* [G_{-k'\downarrow}]_{\alpha m} [G_{k'\uparrow}]_{\alpha m} \Delta_m(\mathbf{k}') \frac{\tanh\left(\frac{\beta E_{m\mathbf{k}'}}{2}\right)}{2E_{m\mathbf{k}'}} \quad (\text{IX.55})$$

Using time-reversal symmetry  $[G_{-\mathbf{k}\downarrow}]_{\alpha m}^* = [G_{\mathbf{k}\uparrow}]_{\alpha m}$  this expression gets a bit simpler:

$$\Delta_n(\mathbf{k}) = \sum_{\alpha m \mathbf{k}'} U_\alpha |[G_{\mathbf{k}\uparrow}]_{\alpha n}|^2 |[G_{\mathbf{k}'\uparrow}]_{\alpha m}|^2 \Delta_m(\mathbf{k}') \frac{\tanh(\frac{\beta E_{m\mathbf{k}'}}{2})}{2E_{m\mathbf{k}'}} \quad (\text{IX.56})$$

### IX.1.2 Computational Implementation

Use `scipys fixed_point` solver to solve the gap equation self-consistently.

Flatten  $\Delta_n(\mathbf{k})$  the following way, to put it into the solver ( $\mathbf{k}$  discretized in some way):

$$x = \begin{pmatrix} \Re(\Delta_1(\mathbf{k}_1)) \\ \Re(\Delta_1(\mathbf{k}_2)) \\ \vdots \\ \Re(\Delta_2(\mathbf{k}_1)) \\ \vdots \\ \Re(\Delta_3(\mathbf{k}_1)) \\ \vdots \\ \Im(\Delta_1(\mathbf{k}_1)) \\ \vdots \\ \Im(\Delta_2(\mathbf{k}_1)) \\ \vdots \\ \Im(\Delta_3(\mathbf{k}_1)) \\ \vdots \end{pmatrix} \quad (\text{IX.57})$$

so that accessing a certain element takes the form:

$$\Re \Delta_n(\mathbf{k}) = x \left[ \text{index}(\mathbf{k}) + \frac{\text{len}(x) \cdot n}{6} \right] \quad (\text{IX.58})$$

$$\Im \Delta_n(\mathbf{k}) = x \left[ \text{index}(\mathbf{k}) + \frac{\text{len}(x) \cdot n}{6} + \frac{1}{2} \text{len}(x) \right] \quad (\text{IX.59})$$

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## List of Symbols

Symbol	Meaning	Definition
$\tau$	general imaginary time variable	2
$\mathcal{C}_{AB}(\tau, 0)$	Correlation function in imaginary time	2