

Unitary Renormalization Group Approach to Single-Impurity Anderson Model

Abhirup Mukherjee

Supervisor: Dr. Siddhartha Lal

Department of Physics, IISER Kolkata

February 3, 2021

Contents

1	Unitary Renormalization Group Method	3
1.1	Formalism	3
1.2	Prescription	8
2	Schrieffer-Wolff Transformation in the context of URG and PMS	9
2.1	Schrieffer-Wolff transformation as a limit of URG	9
2.2	Kondo model from PMS-type approach	12

1 Unitary Renormalization Group Method

1.1 Formalism

This section is adapted from ref.[1]. We are given a Hamiltonian \mathcal{H} which is not completely diagonal in the occupation number basis of the electrons, $\hat{n}_k: [\mathcal{H}, n_k] \neq 0$. k labels any set of quantum numbers depending on the system. For spin-less Fermions it can be the momentum of the particle, while for spin-full Fermions it can be the set of momentum and spin. There are terms that scatter electrons from one quantum number k to another quantum number k' .

We take a general Hamiltonian,

$$\mathcal{H} = H_e \hat{n}_{q\beta} + H_h (1 - \hat{n}_{q\beta}) + c_{q\beta}^\dagger T + T^\dagger c_{q\beta} \quad (1.1)$$

Formally, we can decompose the entire Hamiltonian in the subspace of the electron we want to decouple ($q\beta$).

$$\mathcal{H} = \begin{pmatrix} |1\rangle & |0\rangle \\ H_1 & T \\ T^\dagger & H_0 \end{pmatrix} \quad (1.2)$$

The basis in which this matrix is written is $\{|1\rangle, |0\rangle\}$ where $|i\rangle$ is the set of all states where $\hat{n}_{q\beta} = i$. The aim of one step of the URG is to find a unitary transformation U such that the new Hamiltonian $U\mathcal{H}U^\dagger$ is diagonal in this already-chosen basis.

$$\tilde{\mathcal{H}} \equiv U\mathcal{H}U^\dagger = \begin{pmatrix} |1\rangle & |0\rangle \\ \tilde{H}_1 & 0 \\ 0 & \tilde{H}_0 \end{pmatrix} \quad (1.3)$$

U_q is defined by

$$\tilde{\mathcal{H}} = U_q \mathcal{H} U_q^\dagger \text{ such that } [\tilde{\mathcal{H}}, n_q] = 0 \quad (1.4)$$

It is clear that U is the diagonalizing matrix for \mathcal{H} . Hence we can frame this problem as an eigenvalue equation as well. Let $|\psi_1\rangle, |\psi_0\rangle$ be the basis in which the original Hamiltonian \mathcal{H} has no off-diagonal terms corresponding to $q\beta$. Hence, we can write

$$\mathcal{H} |\psi_i\rangle = \tilde{H}_i |\psi_i\rangle, i \in \{0, 1\} \quad (1.5)$$

Since $|\psi_i\rangle$ is the set of eigenstates of \mathcal{H} and $|i\rangle$ is the set of eigenstates in which $U\mathcal{H}U^\dagger$ has no off-diagonal terms corresponding to $q\beta$, we can relate $|\psi_i\rangle$ and $|i\rangle$ by the same transformation: $|\psi_i\rangle = U^\dagger |i\rangle$. We can expand the state $|\psi_i\rangle$ in the subspace of $q\beta$:

$$|\psi_i\rangle = \sum_{j=0,1} |j\rangle \langle j | \psi_i \rangle \equiv |1\rangle |\phi_1^i\rangle + |0\rangle |\phi_0^i\rangle \quad (1.6)$$

where $|\phi_j^i\rangle = \langle j | \psi_i \rangle$. If we substitute the expansion 1.2 into the eigenvalue equation 1.5, we get

$$\left[H_e \hat{n}_{q\beta} + H_h (1 - \hat{n}_{q\beta}) + c_{q\beta}^\dagger T + T^\dagger c_{q\beta} \right] |\psi_i\rangle = \tilde{H}_i |\psi_i\rangle \quad (1.7)$$

The diagonal parts $H_e = \text{tr}[\mathcal{H} \hat{n}_{q\beta}]$ and $H_h = \text{tr}[\mathcal{H} (1 - \hat{n}_{q\beta})]$ can be separated into a purely diagonal part \mathcal{H}^d that contains the single-particle energies and the multi-particle correlation

energies or Hartree-like contributions, and an off-diagonal part \mathcal{H}^i that scatters between the remaining degrees of freedom $k\sigma \neq q\beta$. That is,

$$H_e \hat{n}_{q\beta} + H_h (1 - \hat{n}_{q\beta}) = \mathcal{H}^d + \mathcal{H}^i$$

This gives

$$\left[c_{q\beta}^\dagger T + T^\dagger c_{q\beta} \right] |\psi_i\rangle = \left(\tilde{H}_i - \mathcal{H}^i - \mathcal{H}^d \right) |\psi_i\rangle \quad (1.8)$$

We now define a new operator $\hat{\omega}_i = \tilde{H}_i - \mathcal{H}^i$, such that

$$\left[c_{q\beta}^\dagger T + T^\dagger c_{q\beta} \right] |\psi_i\rangle = (\hat{\omega}_i - \mathcal{H}^d) |\psi_i\rangle \quad (1.9)$$

From the definition of $\hat{\omega}_i$, we can see that it is Hermitian and has no term that scatters in the subspace of $q\beta$, so it is diagonal in $q\beta$ and we can expand it as $\hat{\omega}_i = \hat{\omega}_i^1 \hat{n}_{q\beta} + \hat{\omega}_i^0 (1 - \hat{n}_{q\beta})$. Using the expansion 1.6, we can write

$$\hat{\omega}_i |\psi_i\rangle = \hat{\omega}_i^1 |1\rangle |\phi_1^i\rangle + \hat{\omega}_i^0 |0\rangle |\phi_0^i\rangle \quad (1.10)$$

Since the only requirement on $|\psi_i\rangle$ is that it diagonalize the Hamiltonian in the subspace of $q\beta$, there is freedom in the choice of this state. We can exploit this freedom and choose the $|\phi_0^i\rangle$ to be an eigenstates of $\hat{\omega}_i^{1,0}$ corresponding to real eigenvalues $\omega_i^{1,0}$:

$$\left[\mathcal{H}^d + c_{q\beta}^\dagger T + T^\dagger c_{q\beta} \right] |\psi_i(\omega_i)\rangle = (\omega_i^1 - \mathcal{H}_1^d) |1\rangle |\phi_1^i\rangle + (\omega_i^0 - \mathcal{H}_0^d) |0\rangle |\phi_0^i\rangle \quad (1.11)$$

If we now substitute the expansion 1.6 and gather the terms that result in $\hat{n}_{q\beta} = 1$, we get

$$c_{q\beta}^\dagger T |0\rangle |\phi_0^i\rangle = (\omega_i^1 - \mathcal{H}_1^d) |1\rangle |\phi_1^i\rangle \quad (1.12)$$

Similarly, gathering the terms that result in $\hat{n}_{q\beta} = 0$ gives

$$T^\dagger c_{q\beta} |1\rangle |\phi_1^i\rangle = (\omega_i^0 - \mathcal{H}_0^d) |0\rangle |\phi_0^i\rangle \quad (1.13)$$

We now define two many-particle transition operators:

$$\begin{aligned} \eta_1^\dagger(\omega_i^1) &= \frac{1}{\omega_i^1 - \mathcal{H}_1^d} c_{q\beta}^\dagger T \\ \eta_0(\omega_i^0) &= \frac{1}{\omega_i^0 - \mathcal{H}_0^d} T^\dagger c_{q\beta} \end{aligned} \quad (1.14)$$

We will later find that it is important to demand that these two be Hermitian conjugates of each other; that constraint is imposed on the denominators:

$$\eta_0^\dagger = \eta_1^\dagger \implies \frac{1}{\omega_i^1 - \mathcal{H}_1^d} c_{q\beta}^\dagger T = c_{q\beta}^\dagger T \frac{1}{\omega_i^0 - \mathcal{H}_0^d} \quad (1.15)$$

Hereafter, we will assume that this constraint has been imposed, and we will drop the labels 1 and 0 on the η :

$$\begin{aligned} \eta^\dagger &= \frac{1}{\omega_i^1 - \mathcal{H}_1^d} c_{q\beta}^\dagger T \\ \eta &= \frac{1}{\omega_i^0 - \mathcal{H}_0^d} T^\dagger c_{q\beta} \end{aligned} \quad (1.16)$$

In terms of these operators, eqs. 1.13 become

$$\begin{aligned} |1\rangle |\phi_1^i\rangle &= \eta^\dagger |0\rangle |\phi_0^i\rangle \\ |0\rangle |\phi_0^i\rangle &= \eta |1\rangle |\phi_1^i\rangle \end{aligned} \quad (1.17)$$

These allow us to write

$$\begin{aligned} |\psi_1\rangle &= |1\rangle |\phi_1^i\rangle + |0\rangle |\phi_0^i\rangle = (1 + \eta) |1\rangle |\phi_1^i\rangle \\ |\psi_0\rangle &= (1 + \eta^\dagger) |0\rangle |\phi_0^i\rangle \end{aligned} \quad (1.18)$$

Recalling that $|\psi_i\rangle = U^\dagger |i\rangle$, we can read off the required transformations:

$$\begin{aligned} U_1 &= 1 + \eta \\ U_0 &= 1 + \eta^\dagger \end{aligned} \quad (1.19)$$

The operators η have some important properties. First is the Fermionic nature:

$$\eta^2 = \eta^{\dagger 2} = 0 \quad [c^{\dagger 2} = c^2 = 0] \quad (1.20)$$

Second is:

$$\begin{aligned} |1\rangle |\phi_1^i\rangle &= \eta^\dagger |0\rangle |\phi_0^i\rangle = \eta^\dagger \eta |1\rangle |\phi_1^i\rangle \implies \eta^\dagger \eta = \hat{n}_{q\beta} \\ |0\rangle |\phi_0^i\rangle &= \eta |1\rangle |\phi_1^i\rangle = \eta \eta^\dagger |0\rangle |\phi_0^i\rangle \implies \eta \eta^\dagger = 1 - \hat{n}_{q\beta} \end{aligned} \quad (1.21)$$

and hence the anticommutator

$$\implies \{\eta, \eta^\dagger\} = 1 \quad (1.22)$$

Note that the three equations in 1.21 work only when applied on the eigenstate $|\psi_i\rangle$ and not any arbitrary state.

$$\begin{aligned} \eta^\dagger \eta |\psi_i\rangle &= |1\rangle |\phi_1^i\rangle = \hat{n}_{q\beta} |\psi_i\rangle \\ \eta \eta^\dagger |\psi_i\rangle &= |0\rangle |\phi_0^i\rangle = (1 - \hat{n}_{q\beta}) |\psi_i\rangle \\ \{\eta^\dagger, \eta\} |\psi_i\rangle &= |\psi_i\rangle \end{aligned}$$

Although we have found the correct similarity transformations U_i (eqs. 1.19), we need to convert them into a unitary transformation. Say we are trying to rotate the eigenstate $|\psi_1\rangle$ into the state $|1\rangle$. We can then work with the transformation

$$U_1 = 1 + \eta \quad (1.23)$$

In this form, this transformation is not unitary. It can however be written in an exponential form:

$$U_1 = e^\eta \quad (1.24)$$

using the fact that $\eta^2 = 0$. It is shown in ref. [2] that corresponding to a similarity transformation e^ω , there exists a unitary transformation e^G where

$$G = \tanh^{-1} (\omega - \omega^\dagger) \quad (1.25)$$

Applying that to the problem at hand gives

$$\begin{aligned} U_1^\dagger &= \exp (\tanh^{-1} (\eta - \eta^\dagger)) \\ &= \frac{1 + \eta - \eta^\dagger}{1 + \{\eta, \eta^\dagger\}} \\ &= \frac{1}{\sqrt{2}} (1 + \eta - \eta^\dagger) \end{aligned} \quad (1.26)$$

The *unitary* operator that transforms the entangled eigenstate $|\psi_1\rangle$ to the state $|1\rangle$ is thus

$$U_1 = \frac{1}{\sqrt{2}} (1 + \eta^\dagger - \eta) \quad (1.27)$$

It can also be written as $\exp\left(\frac{\pi}{4}(\eta^\dagger - \eta)\right)$ because

$$\begin{aligned} \exp\left(\frac{\pi}{4}(\eta^\dagger - \eta)\right) &= 1 + (\eta^\dagger - \eta) \frac{\pi}{4} + \frac{1}{2!} (\eta^\dagger - \eta)^2 \left(\frac{\pi}{4}\right)^2 + \frac{1}{3!} (\eta^\dagger - \eta)^3 \left(\frac{\pi}{4}\right)^3 + \dots \\ &= 1 + (\eta^\dagger - \eta) \frac{\pi}{4} - \frac{1}{2!} \left(\frac{\pi}{4}\right)^2 - \frac{1}{3!} (\eta^\dagger - \eta) \left(\frac{\pi}{4}\right)^3 + \frac{1}{4!} \left(\frac{\pi}{4}\right)^4 + \dots \\ &= \cos \frac{\pi}{4} + (\eta^\dagger - \eta) \sin \frac{\pi}{4} \\ &= 1 + \eta^\dagger - \eta \end{aligned} \quad (1.28)$$

There we used

$$(\eta^\dagger - \eta)^2 = \eta^{\dagger 2} + \eta^2 - \{\eta^\dagger, \eta\} = -1 \quad \left[\because \eta^2 = \eta^{\dagger 2} = 0 \right] \quad (1.29)$$

and hence

$$(\eta^\dagger - \eta)^3 = -1 (\eta^\dagger - \eta) \quad (1.30)$$

and so on. Since U_0 is obtained from U_1 simply by replacing η with η^\dagger , we can easily surmise that the unitary transformation that rotates an eigenstate $|\psi_0\rangle$ to the state $|0\rangle$ is

$$U_0 = \frac{1}{\sqrt{2}} (1 + \eta - \eta^\dagger) = \exp\left(\frac{\pi}{4}(\eta - \eta^\dagger)\right) \quad (1.31)$$

We can now compute the form of the effective Hamiltonian that comes about when we apply U_1 - that is - when we rotate one exact eigenstate $|\psi_1\rangle$ into the occupied Fock space basis $|1\rangle$. From eq. 1.27,

$$\begin{aligned} U_1 \mathcal{H} U_1^\dagger &= \frac{1}{2} (1 + \eta^\dagger - \eta) \mathcal{H} (1 + \eta - \eta^\dagger) \\ &= \frac{1}{2} (1 + \eta^\dagger - \eta) (\mathcal{H} + \mathcal{H}\eta - \mathcal{H}\eta^\dagger) \\ &= \frac{1}{2} (\mathcal{H} + \mathcal{H}\eta - \mathcal{H}\eta^\dagger + \eta^\dagger \mathcal{H} + \eta^\dagger \mathcal{H}\eta - \eta^\dagger \mathcal{H}\eta^\dagger - \eta \mathcal{H} - \eta \mathcal{H}\eta + \eta \mathcal{H}\eta^\dagger) \\ &= \frac{1}{2} (\mathcal{H}^d + \mathcal{H}^i + \mathcal{H}^I + \mathcal{H}\eta - \mathcal{H}\eta^\dagger + \eta^\dagger \mathcal{H} + \eta^\dagger \mathcal{H}\eta - \eta^\dagger \mathcal{H}\eta^\dagger - \eta \mathcal{H} - \eta \mathcal{H}\eta + \eta \mathcal{H}\eta^\dagger) \\ &= \frac{1}{2} (\mathcal{H}^d + \mathcal{H}^i + \mathcal{H}^I + [\eta^\dagger - \eta, \mathcal{H}] + \eta^\dagger \mathcal{H}\eta - \eta^\dagger \mathcal{H}\eta^\dagger - \eta \mathcal{H}\eta + \eta \mathcal{H}\eta^\dagger) \end{aligned} \quad (1.32)$$

In the last two lines, we expanded the Hamiltonian into the three parts $\mathcal{H}^d, \mathcal{H}^i$ and a third piece $\mathcal{H}^I \equiv c_{q\beta}^\dagger T + T^\dagger c_{q\beta}$.

For reasons that will become apparent later, we will split the terms into two groups:

$$\tilde{\mathcal{H}} = \frac{1}{2} \left(\underbrace{\mathcal{H}^d + \mathcal{H}^i + [\eta^\dagger - \eta, \mathcal{H}] + \eta^\dagger \mathcal{H}\eta + \eta \mathcal{H}\eta^\dagger}_{\text{group 1}} + \overbrace{\mathcal{H}^I - \eta^\dagger \mathcal{H}\eta^\dagger - \eta \mathcal{H}\eta}^{\text{group 2}} \right) \quad (1.33)$$

Group 2 consists of purely off-diagonal terms; they amount to 0. To see how, note that terms that have two η or two η^\dagger can only be nonzero if the intervening \mathcal{H} has an odd number of creation or destruction operators.

$$\eta \mathcal{H} \eta = \eta c_q^\dagger T \eta \quad (1.34)$$

and

$$\eta^\dagger \mathcal{H} \eta^\dagger = \eta^\dagger T^\dagger c_q \eta^\dagger \quad (1.35)$$

Group 2 becomes

$$\text{group 2} = \mathcal{H}^I - \eta^\dagger T^\dagger c_q \eta^\dagger - \eta c_q^\dagger T \eta = c_q^\dagger T + T^\dagger c_q - \eta^\dagger T^\dagger c_q \eta^\dagger - \eta c_q^\dagger T \eta \quad (1.36)$$

To simplify this, we use the relation

$$\begin{aligned} \eta c_q^\dagger T \eta &= \frac{1}{\omega_i^0 - \mathcal{H}_0^d} T^\dagger c_q c_q^\dagger T \eta \\ &= T^\dagger c_q \frac{1}{\omega_i^1 - \mathcal{H}_1^d} c_q^\dagger T \eta \quad [\text{eq. 1.15}] \\ &= T^\dagger c_q \eta^\dagger \eta \quad [\text{eq. 1.16}] \\ &= T^\dagger c_q \hat{n}_q \quad [\text{eq. 1.21}] \end{aligned} \quad (1.37)$$

which gives

$$\eta c_q^\dagger T \eta = T^\dagger c_q \quad (1.38)$$

Taking the Hermitian conjugate of eq. 1.38 gives

$$\eta^\dagger T^\dagger c_q \eta^\dagger = c_q^\dagger T \quad (1.39)$$

Substituting the expressions 1.38 and 1.39 into the expression for group 2, 1.36, shows that it vanishes. This leaves us only with group 1:

$$\tilde{\mathcal{H}} = \frac{1}{2} \left(\mathcal{H}^d + \mathcal{H}^i + \overbrace{\eta^\dagger \mathcal{H} \eta + \eta \mathcal{H} \eta^\dagger}^{\text{group A}} + \underbrace{[\eta^\dagger - \eta, \mathcal{H}]}_{\text{group B}} \right) \quad (1.40)$$

Group A simplifies in the following way. First note that $\eta^\dagger \mathcal{H}^I \eta = \eta^\dagger \mathcal{H}^I \eta = 0$ must be 0 because it will involve consecutive $c_{q\beta}$ or consecutive $c_{q\beta}^\dagger$. We are therefore left with the diagonal part of \mathcal{H} , which is $H_e \hat{n}_{q\beta} + H_h (1 - \hat{n}_{q\beta})$.

$$\eta^\dagger [H_e \hat{n}_{q\beta} + H_h (1 - \hat{n}_{q\beta})] \eta + \eta [H_e \hat{n}_{q\beta} + H_h (1 - \hat{n}_{q\beta})] \eta^\dagger = \eta^\dagger H_h \eta + \eta H_e \eta^\dagger \quad (1.41)$$

This can be shown (**clear with AM**) to be equal to the diagonal part:

$$\text{group A} = \eta^\dagger H_h \eta + \eta H_e \eta^\dagger = H_e \hat{n}_{q\beta} + H_h (1 - \hat{n}_{q\beta}) = \mathcal{H}^d + \mathcal{H}^i \quad (1.42)$$

It can also be shown (**clear with AM**) that

$$\text{group B} = [\eta^\dagger - \eta, \mathcal{H}] = 2 [c_{q\beta}^\dagger T, \eta] \quad (1.43)$$

Putting it all together,

$$\tilde{\mathcal{H}} = \mathcal{H}^d + \mathcal{H}^i + [c_{q\beta}^\dagger T, \eta] \quad (1.44)$$

To check that this indeed commutes with $\hat{n}_{q\beta}$,

$$\begin{aligned}
[\tilde{\mathcal{H}}, \hat{n}_{q\beta}] &= \left[[c_{q\beta}^\dagger T, \eta], \hat{n}_{q\beta} \right] \\
&= [c_{q\beta}^\dagger T \eta, \hat{n}_{q\beta}] - [\eta c_{q\beta}^\dagger T, \hat{n}_{q\beta}] \\
&= c_{q\beta}^\dagger T \eta \hat{n}_{q\beta} - \hat{n}_{q\beta} c_{q\beta}^\dagger T \eta \quad \left[2^{\text{nd}} [\cdot, \cdot] \text{ is } 0, \because c_{q\beta}^\dagger \hat{n}_{q\beta} = \hat{n}_{q\beta} \eta = 0 \right] \\
&= c_{q\beta}^\dagger T \eta - c_{q\beta}^\dagger T \eta \\
&= 0
\end{aligned} \tag{1.45}$$

Within the URG, it is a prescription that the fixed point is reached when the denominator of the RG equation vanishes. This is equivalent to the condition:

$$\omega_i^1 - \mathcal{H}_1^d = \omega_i^0 - \mathcal{H}_0^d = 0$$

We see that at the fixed point, the eigenvalue of $\hat{\omega}_i$ matches the eigenvalues of the diagonal blocks. This also leads to the vanishing of the off-diagonal block, because eqs. 1.12 and 1.13 gives

$$c_{q\beta}^\dagger T |0\rangle |\phi_0^i\rangle = (\omega_i^1 - \mathcal{H}_1^d) |1\rangle |\phi_1^i\rangle = 0 \implies c_{q\beta}^\dagger T = 0 \tag{1.46}$$

1.2 Prescription

Given a Hamiltonian

$$\mathcal{H} = \mathcal{H}_1 + \mathcal{H}_0 + c^\dagger T + T^\dagger c \tag{1.47}$$

the goal is to look at the renormalization of the various couplings in the Hamiltonian as we decouple high energy electron states. Typically we have a shell of electrons at some energy D . During the process, we make one simplification. We assume that there is only one electron on that shell at a time, say with quantum numbers q, σ , and calculate the renormalization of the various couplings due to this electron. We then sum the momentum q over the shell and the spin β , and this gives the total renormalization due to decoupling the entire shell.

From eq. 1.44, the first two terms in the rotated Hamiltonian are just the diagonal parts of the bare Hamiltonian; they are unchanged in that part. The renormalization comes from the third term. For one electron $q\beta$ on the shell, the renormalization is

$$\Delta \mathcal{H} = [c_{q\beta}^\dagger \text{Tr}(\mathcal{H} c_{q\beta}), \eta] = c_{q\beta}^\dagger \text{Tr}(\mathcal{H} c_{q\beta}) \eta - \eta c_{q\beta}^\dagger \text{Tr}(\mathcal{H} c_{q\beta}) \tag{1.48}$$

It is clear that the first term takes into account virtual excitations that start from a filled state ($\hat{n}_{q\beta} = 1$ initially) - such a term is said to be a part of the *particle sector*.

$$\Delta_1 \mathcal{H} = c_{q\beta}^\dagger \text{Tr}(\mathcal{H} c_{q\beta}) \eta \tag{1.49}$$

The second term, on the other hand, considers excitations that start from an empty state. They constitute the *hole sector*.

$$\Delta_0 \mathcal{H} = -\eta c_{q\beta}^\dagger \text{Tr}(\mathcal{H} c_{q\beta}) \tag{1.50}$$

Since the effective Hamiltonian eq. 1.44 was derived with the aim of obtaining the particle sector diagonal part, it makes sense to repeat the calculation but now obtain the unitary from the other equation:

$$|\psi_0\rangle = (1 + \eta^\dagger) |0\rangle |\phi_0^i\rangle \implies U_0 = 1 - \eta^\dagger + \eta \quad (1.51)$$

We can similarly obtain a renormalised Hamiltonian for this unitary; it comes out to be

$$\Delta\mathcal{H} = \eta c_{q\beta}^\dagger \text{Tr}(\mathcal{H}c_{q\beta}) - c_{q\beta}^\dagger \text{Tr}(\mathcal{H}c_{q\beta}) \eta \quad (1.52)$$

The hole sector renormalization then comes out to be

$$\Delta_0\mathcal{H} = \eta c_{q\beta}^\dagger \text{Tr}(\mathcal{H}c_{q\beta}) \quad (1.53)$$

The renormalization due to the entire shell is obtained by summing over all states on the shell. Written out explicitly, they take the forms.

$$\Delta_0\mathcal{H} = \sum_{q\beta} c_{q\beta}^\dagger \text{Tr}(\mathcal{H}c_{q\beta}) \frac{1}{\omega_1 - \mathcal{H}_1^d} \text{Tr}(c_{q\beta}^\dagger \mathcal{H}) c_{q\beta} \quad (1.54)$$

$$\Delta_1\mathcal{H} = \sum_{q\beta} \text{Tr}(c_{q\beta}^\dagger \mathcal{H}) c_{q\beta} \frac{1}{\omega_0 - \mathcal{H}_0^d} c_{q\beta}^\dagger \text{Tr}(\mathcal{H}c_{q\beta}) \quad (1.55)$$

These equations will now need to be simplified. For example, in the particle sector, we can set $\hat{n}_{q\beta} = 0$ in the numerator, because there is no such excitation in the initial state. Similarly, in the hole sector, we can set $\hat{n}_{q\beta} = 1$ because that state was occupied in the initial state. Another simplification we typically employ is that $\mathcal{H}_{0,1}^d$ will, in general, have the energies of all the electrons. But we consider only the energy of the on-shell electrons in the denominator. After integrating out these electrons, we can rearrange the remaining operators to determine which term in the Hamiltonian it renormalizes and what is the renormalization.

At first sight, one might think that we must evaluate lots of traces to obtain the terms in $\Delta\mathcal{H}$. A little thought reveals that the terms in the numerator are simply the off-diagonal terms in the Hamiltonian; $\text{Tr}(c_{q\beta}^\dagger \mathcal{H}) c_{q\beta}$ is the off-diagonal term that has $c_{q\beta}$ in it, and $c_{q\beta}^\dagger \text{Tr}(\mathcal{H}c_{q\beta})$ is the off-diagonal term that has $c_{q\beta}^\dagger$ in it. \mathcal{H}^D is just the diagonal part of the Hamiltonian.

2 Schrieffer-Wolff Transformation in the context of URG and PMS

2.1 Schrieffer-Wolff transformation as a limit of URG

We have a general Hamiltonian

$$\mathcal{H} = \mathcal{H}_0 + \mathcal{H}_X \quad (2.1)$$

\mathcal{H}_0 is diagonal w.r.t a particular degree of freedom. V is off-diagonal w.r.t that same degree of freedom. Let S be an *anti-Hermitian* and *off-diagonal* operator. $U = e^S$ is then a unitary transformation.

$$\begin{aligned} U\mathcal{H}U^\dagger &= e^S (\mathcal{H}_0 + \mathcal{H}_X) e^{-S} \\ &= (\cosh(S) + \sinh(S)) (\mathcal{H}_0 + \mathcal{H}_X) (\cosh(S) + \sinh(S)) \\ &= H_1 + H_2 \end{aligned} \quad (2.2)$$

where H_1 is diagonal and H_2 is off-diagonal.

$$\begin{aligned} H_1 &= \cosh(S) \mathcal{H}_0 \cosh(S) - \sinh(S) \mathcal{H}_0 \sinh(S) - \cosh(S) \mathcal{H}_X \sinh(S) \\ &\quad + \sinh(S) \mathcal{H}_X \cosh(S) \\ H_2 &= -\cosh(S) \mathcal{H}_0 \sinh(S) + \sinh(S) \mathcal{H}_0 \cosh(S) + \cosh(S) \mathcal{H}_X \cosh(S) \\ &\quad - \sinh(S) \mathcal{H}_X \sinh(S) \end{aligned} \quad (2.3)$$

The decoupling condition is $H_2 = 0$.

For small S , we have $\sinh S \sim S$ and $\cosh S \sim 1 + \frac{1}{2}S^2$. Therefore, the off-diagonal part, up to second order, is

$$H_2 = -\mathcal{H}_0 S + S \mathcal{H}_0 + \mathcal{H}_X + O(S^3) = [S, \mathcal{H}_0] + \mathcal{H}_X \quad (2.4)$$

The second order decoupling condition is thus

$$[S, \mathcal{H}_0] = -\mathcal{H}_X \quad (2.5)$$

In order to decouple a state $q\beta$ from the SIAM ($\epsilon_q > 0$), we take an ansatz $S = (A + B \hat{n}_{d\bar{\beta}}) (c_{q\beta}^\dagger c_{d\beta} - \text{h.c.})$. Plugging this into the decoupling condition gives

$$-\epsilon_q (A + B \hat{n}_{d\bar{\beta}}) + \epsilon_d (A + B \hat{n}_{d\bar{\beta}}) + U (A + B) \hat{n}_{d\bar{\beta}} = -V \quad (2.6)$$

which gives

$$S = V \left[\frac{1 - \hat{n}_{d\bar{\beta}}}{\epsilon_q - \epsilon_d} + \frac{\hat{n}_{d\bar{\beta}}}{\epsilon_q - \epsilon_d - U} \right] \quad (2.7)$$

The remaining diagonal part constitutes the effective Hamiltonian.

$$\begin{aligned} U \mathcal{H} U^\dagger &= H_1 = \mathcal{H}_0 + \frac{1}{2} \{ \mathcal{H}_0, S^2 \} - S \mathcal{H}_0 S + [S, \mathcal{H}_X] \\ &= \mathcal{H}_0 + \frac{1}{2} [[\mathcal{H}_0, S], S] + [S, \mathcal{H}_X] \\ &= \mathcal{H}_0 + \frac{1}{2} [\mathcal{H}_X, S] + [S, \mathcal{H}_X] \\ &= \mathcal{H}_0 + \frac{1}{2} [S, \mathcal{H}_X] \end{aligned} \quad (2.8)$$

For the SIAM (and noting that we are decoupling $q\beta$), the two parts are

$$\begin{aligned} \mathcal{H}_0 &= \sum_{k\sigma} \epsilon_k \hat{n}_{k\sigma} + \epsilon_d \hat{n}_d + U \hat{n}_{d\uparrow} \hat{n}_{d\downarrow} + \sum_{k\sigma \neq q\beta} \left(c_{k\sigma}^\dagger c_{d\sigma} + \text{h.c.} \right) \\ \mathcal{H}_X &= c_{q\beta}^\dagger c_{d\beta} + \text{h.c.} \end{aligned} \quad (2.9)$$

The renormalization in the effective Hamiltonian from decoupling a high energy particle state is thus

$$\begin{aligned} \frac{1}{2} [S, \mathcal{H}_X] &= |V|^2 \left[\frac{1 - \hat{n}_{d\bar{\beta}}}{\epsilon_q - \epsilon_d} + \frac{\hat{n}_{d\bar{\beta}}}{\epsilon_q - \epsilon_d - U} \right] [\hat{n}_{q\beta} (1 - \hat{n}_{d\beta}) - \hat{n}_{d\beta} (1 - \hat{n}_{q\beta})] \\ &= -\hat{n}_{d\beta} |V|^2 \left[\frac{1 - \hat{n}_{d\bar{\beta}}}{\epsilon_q - \epsilon_d} + \frac{\hat{n}_{d\bar{\beta}}}{\epsilon_q - \epsilon_d - U} \right] \end{aligned} \quad (2.10)$$

In the last step, we put $\hat{n}_{q\beta} = 0$ because previously we assumed $\epsilon_q > 0$ and high energy virtual excitations above the Fermi surface must necessarily be vacant in the initial state. We can obtain the renormalization from decoupling a high energy *hole* state directly from this expression, just by choosing $\hat{n}_{q\beta} = 1$ and setting $\epsilon_q \rightarrow -\epsilon_q$.

$$\frac{1}{2} [S, \mathcal{H}_X] = - (1 - \hat{n}_{d\beta}) |V|^2 \left[\frac{1 - \hat{n}_{d\bar{\beta}}}{\epsilon_q + \epsilon_d} + \frac{\hat{n}_{d\bar{\beta}}}{\epsilon_q + \epsilon_d + U} \right] \quad (2.11)$$

These two results - the renormalization in the particle and hole sectors - is *identical to the result obtained from PMS* of the SIAM (see [3]).

Avoiding the perturbative route, we can take $S = \frac{\pi}{4} (\eta^\dagger - \eta)$, where η and its conjugate are non-perturbative and Fermionic - they satisfy $\eta^2 = \eta^{\dagger 2} = 0$ and $\{\eta, \eta^\dagger\} = 1$. We can then write

$$\begin{aligned} e^S &= \exp \left(\frac{\pi}{4} (\eta^\dagger - \eta) \right) \\ &= 1 + (\eta^\dagger - \eta) \frac{\pi}{4} + \frac{1}{2!} (\eta^\dagger - \eta)^2 \left(\frac{\pi}{4} \right)^2 + \frac{1}{3!} (\eta^\dagger - \eta)^3 \left(\frac{\pi}{4} \right)^3 + \dots \\ &= 1 + (\eta^\dagger - \eta) \frac{\pi}{4} - \frac{1}{2!} \left(\frac{\pi}{4} \right)^2 - \frac{1}{3!} (\eta^\dagger - \eta) \left(\frac{\pi}{4} \right)^3 + \frac{1}{4!} \left(\frac{\pi}{4} \right)^4 + \dots \\ &= \cos \frac{\pi}{4} + (\eta^\dagger - \eta) \sin \frac{\pi}{4} \\ &= \frac{1}{\sqrt{2}} (1 + \eta^\dagger - \eta) \end{aligned} \quad (2.12)$$

There we used

$$(\eta^\dagger - \eta)^2 = \eta^{\dagger 2} + \eta^2 - \{\eta^\dagger, \eta\} = -1 \quad [\because \eta^2 = \eta^{\dagger 2} = 0] \quad (2.13)$$

and hence

$$(\eta^\dagger - \eta)^3 = -1 (\eta^\dagger - \eta) \quad (2.14)$$

and so on. This simplification allows us to write

$$\cosh S = \frac{1}{2} [e^S + e^{-S}] = \frac{1}{2\sqrt{2}} (1 + \eta^\dagger - \eta + 1 - \eta^\dagger + \eta) = \frac{1}{\sqrt{2}} \quad (2.15)$$

and

$$\sinh S = \frac{1}{2} [e^S - e^{-S}] = \frac{1}{2\sqrt{2}} (1 + \eta^\dagger - \eta - 1 + \eta^\dagger - \eta) = \frac{1}{\sqrt{2}} (\eta^\dagger - \eta) \quad (2.16)$$

The off-diagonal part now becomes

$$H_2 = \frac{1}{2} (\mathcal{H}_X - \eta^\dagger \mathcal{H}_X \eta^\dagger - \eta \mathcal{H}_X \eta + [\eta^\dagger - \eta, \mathcal{H}_0]) \quad (2.17)$$

The vanishing of this quantity is now the decoupling condition, and is also given in eq 16 of ref. [1].

	renormalization	decoupling condition
SWT	$\frac{1}{2} [S, \mathcal{H}_X]$	$[S, \mathcal{H}_0] = -\mathcal{H}_X$
URG	$\frac{2}{\pi} [S, \mathcal{H}_X]$	$[S, \mathcal{H}_0] = -\frac{\pi}{4} \mathcal{H}_X + \frac{4}{\pi} S \mathcal{H}_X S$

Table 1: Comparison of perturbative and non-perturbative canonical transformations

To look for a decoupling condition similar to eq. 2.5, we can re-express the cosh and sinh in eq. 2.15 in terms of S , by substituting $\eta^\dagger - \eta = \frac{4}{\pi} S$:

$$\cosh S = \frac{1}{\sqrt{2}}, \text{ and } \sinh S = \frac{4}{\sqrt{2}\pi} S \quad (2.18)$$

That gives

$$H_2 = \frac{1}{2} \left[\frac{4}{\pi} [S, \mathcal{H}_0] + \mathcal{H}_X - \frac{16}{\pi^2} S \mathcal{H}_X S \right] \quad (2.19)$$

The decoupling condition becomes

$$[S, \mathcal{H}_0] = -\frac{\pi}{4} \mathcal{H}_X + \frac{4}{\pi} S \mathcal{H}_X S \quad (2.20)$$

This can be compared to the second order condition: $[S, \mathcal{H}_0] = -\mathcal{H}_X$. We can also write the effective Hamiltonian for this non-perturbative case.

$$U \mathcal{H} U^\dagger = H_1 = \frac{1}{2} \mathcal{H}_0 - \frac{4}{\pi^2} S \mathcal{H}_0 S + \frac{2}{\pi} [S, \mathcal{H}_X] \quad (2.21)$$

The differences between the perturbative and non-perturbative ways are summarized in table 1. There appear to be two differences between these decoupling conditions: (a) a pre-factor of $\frac{\pi}{4}$ for the first term on the right hand side, and (b) the altogether new second term on the right hand side. Both are outcomes of the non-perturbative nature of URG. This offers evidence that the physics captured by the effective Hamiltonian (and its associated low-energy many-particle Hilbert space) obtained from URG lies well beyond that obtained from SWT. Further, it shows that the SWT can only be justified as an expansion in a small parameter (say, $\frac{1}{U}$) in the Anderson impurity problem), followed by a truncation of the BCH expansion and a projection onto a particular low-energy subspace. The truncation and projection are adopted simultaneously, and appear to impose the limit of $U = \infty$ by hand. The URG flow never attains such a limit, thus suggesting that there exists a lot of interesting physics that could potentially be lost in the SWT procedure. Further, the projection finally applied within SWT means that we can never recover what is thrown away. This is again not the case with URG.

2.2 Kondo model from PMS-type approach

In the previous section, we saw that a step-by-step SWT gives the same effective Hamiltonian as the application of PMS. The converse is also true. That is, decoupling the whole band of mobile electrons using the formalism of PMS gives the same effective Hamiltonian as an SWT.

First note that the goal of PMS here would be to decouple the single-occupied subspace of the impurity from the doublon and holon subspaces. To that end, we write the interaction part of the Hamiltonian as

$$\begin{aligned} \sum_{k\sigma} \left(V_k c_{k\sigma}^\dagger c_{d\sigma} + \text{h.c.} \right) &= \sum_{k\sigma} \left[V_k c_{k\sigma}^\dagger c_{d\sigma} \{ \hat{n}_{d\bar{\sigma}} + (1 - \hat{n}_{d\bar{\sigma}}) \} + \text{h.c.} \right] \\ &= V_{2 \rightarrow 1} + V_{1 \rightarrow 0} + \text{h.c.} \end{aligned} \quad (2.22)$$

where

$$V_{2 \rightarrow 1} = \sum_{k\sigma} V_k c_{k\sigma}^\dagger c_{d\sigma} \hat{n}_{d\bar{\sigma}} \quad (2.23)$$

takes us from doublon to spinon while

$$V_{1 \rightarrow 0} = \sum_{k\sigma} V_k c_{k\sigma}^\dagger c_{d\sigma} (1 - \hat{n}_{d\bar{\sigma}}) \quad (2.24)$$

takes us from spinon to holon. The Hermitian conjugate involves $V_{1 \rightarrow 2} = \sum_{k\sigma} V_k^* c_{d\sigma}^\dagger c_{k\sigma} \hat{n}_{d\bar{\sigma}}$ and $V_{0 \rightarrow 1} = \sum_{k\sigma} V_k^* c_{d\sigma}^\dagger c_{k\sigma} (1 - \hat{n}_{d\bar{\sigma}})$. Similarly, the diagonal part can be separated as follows:

$$\mathcal{H}_D = \sum_{k\sigma} \epsilon_k \hat{n}_{k\sigma} + \epsilon_d \sum_{\sigma} \hat{n}_{d\sigma} (1 - \hat{n}_{d\bar{\sigma}}) + (2\epsilon_d + U) \hat{n}_{d\uparrow} \hat{n}_{d\downarrow} = \mathcal{H}_{\text{bath}} + H_1 + H_2 \quad (2.25)$$

We can now separate the Hamiltonian into the three subspaces:

$$\begin{aligned} E |\psi\rangle &= \mathcal{H} |\psi\rangle \\ &= (\mathcal{H}_0 + V_{0 \rightarrow 1}) |\psi_0\rangle + (\mathcal{H}_0 + H_1 + V_{1 \rightarrow 2} + V_{1 \rightarrow 0}) |\psi_1\rangle + (\mathcal{H}_0 + H_2 + V_{2 \rightarrow 1}) |\psi_2\rangle \end{aligned} \quad (2.26)$$

where $|\psi_i\rangle = |n_d = i\rangle \langle n_d = i| |\psi\rangle$. We can separate the entire equation into three individual equations for each of the three subspaces:

$$\begin{aligned} E |\psi_0\rangle &= \mathcal{H}_0 |\psi_0\rangle + V_{1 \rightarrow 0} |\psi_1\rangle \\ E |\psi_1\rangle &= (\mathcal{H}_0 + \epsilon_d) |\psi_1\rangle + V_{0 \rightarrow 1} |\psi_0\rangle + V_{2 \rightarrow 1} |\psi_2\rangle \\ E |\psi_2\rangle &= (\mathcal{H}_0 + 2\epsilon_d + U + V_{1 \rightarrow 2}) |\psi_1\rangle \end{aligned} \quad (2.27)$$

Eliminating $|\psi_0\rangle$ and $|\psi_2\rangle$ from the equations gives the effective Hamiltonian in the single-occupied subspace.

$$\begin{aligned} E |\psi_1\rangle &= \left[\mathcal{H}_0 + \epsilon_d + V_{0 \rightarrow 1} \frac{1}{E - \mathcal{H}_0} V_{1 \rightarrow 0} + V_{2 \rightarrow 1} \frac{1}{E - \mathcal{H}_0 - 2\epsilon_d - U} V_{1 \rightarrow 2} \right] |\psi_1\rangle \\ &= \mathcal{H}_{\text{eff}} |\psi_1\rangle \end{aligned} \quad (2.28)$$

We can evaluate the effective Hamiltonian.

$$\mathcal{H}_{\text{eff}} = \mathcal{H}_0 + \epsilon_d + V_{0 \rightarrow 1} \frac{1}{E - \mathcal{H}_0} V_{1 \rightarrow 0} + V_{2 \rightarrow 1} \frac{1}{E - \mathcal{H}_0 - 2\epsilon_d - U} V_{1 \rightarrow 2} \quad (2.29)$$

The first renormalization term gives

$$V_{0 \rightarrow 1} \frac{1}{E - \mathcal{H}_0} V_{1 \rightarrow 0} = \sum_{kq\sigma\alpha} V_k^* V_q c_{d\sigma}^\dagger c_{k\sigma} (1 - \hat{n}_{d\bar{\sigma}}) \frac{1}{E - \mathcal{H}_0} c_{q\gamma}^\dagger c_{d\gamma} (1 - \hat{n}_{d\bar{\gamma}}) \quad (2.30)$$

We can *approximate* E by replacing it with the bare energy of $|\psi_1\rangle$: $E = \mathcal{H}_0 - \epsilon_q + \epsilon_d$.

$$V_{0 \rightarrow 1} \frac{1}{E - \mathcal{H}_0} V_{1 \rightarrow 0} = \sum_{kq\sigma\gamma} V_k^* V_q c_{d\sigma}^\dagger c_{k\sigma} (1 - \hat{n}_{d\bar{\sigma}}) c_{q\gamma}^\dagger c_{d\gamma} (1 - \hat{n}_{d\bar{\gamma}}) \frac{1}{\epsilon_d - \epsilon_q} \quad (2.31)$$

Similarly, the second term becomes

$$V_{2 \rightarrow 1} \frac{1}{E - \mathcal{H}_0 - 2\epsilon_d - U} V_{1 \rightarrow 2} = \sum_{kq\sigma\gamma} V_k^* V_q c_{q\gamma}^\dagger c_{d\gamma} \hat{n}_{d\bar{\gamma}} \frac{1}{E - \mathcal{H}_0 - 2\epsilon_d - U} c_{d\sigma}^\dagger c_{k\sigma} \hat{n}_{d\bar{\sigma}} \quad (2.32)$$

We again approximate E : $E = \mathcal{H}_0 + \epsilon_k - \epsilon_d$:

$$V_{2 \rightarrow 1} \frac{1}{E - \mathcal{H}_0 - 2\epsilon_d - U} V_{1 \rightarrow 2} = \sum_{kq\sigma\gamma} V_k^* V_q c_{q\gamma}^\dagger c_{d\gamma} \hat{n}_{d\bar{\gamma}} c_{d\sigma}^\dagger c_{k\sigma} \hat{n}_{d\bar{\sigma}} \frac{1}{\epsilon_k - \epsilon_d - U} \quad (2.33)$$

The sum of these two terms give the total renormalization. First we look at those terms where $\gamma = \sigma$. The total renormalization from that part is

$$\begin{aligned} \sum_{kq\sigma} V_k^* V_q \left[\frac{\hat{n}_{d\sigma} (1 - \hat{n}_{d\bar{\sigma}}) c_{k\sigma} c_{q\sigma}^\dagger}{\epsilon_d - \epsilon_q} + \frac{(1 - \hat{n}_{d\sigma}) \hat{n}_{d\bar{\sigma}} c_{q\sigma}^\dagger c_{k\sigma}}{\epsilon_k - \epsilon_d - U} \right] &= \sum_{kq\sigma} V_k^* V_q \left[\frac{\hat{n}_{d\sigma} c_{k\sigma} c_{q\sigma}^\dagger}{\epsilon_d - \epsilon_q} + \frac{\hat{n}_{d\bar{\sigma}} c_{q\sigma}^\dagger c_{k\sigma}}{\epsilon_k - \epsilon_d - U} \right] \\ &= \sum_{kq\sigma} V_k^* V_q \left[\frac{\hat{n}_{d\sigma} c_{q\sigma}^\dagger c_{k\sigma}}{\epsilon_q - \epsilon_d} + \frac{\hat{n}_{d\bar{\sigma}} c_{q\sigma}^\dagger c_{k\sigma}}{\epsilon_k - \epsilon_d - U} \right] \end{aligned} \quad (2.34)$$

In the first step we used $\hat{n}_\sigma \hat{n}_{d\bar{\sigma}} = 0$ because we are in the single-occupied subspace and in the second step we used $c_{k\sigma} c_{q\sigma}^\dagger = \delta_{kq} - c_{q\sigma}^\dagger c_{k\sigma}$ and dropped the constant δ part. We can now write this in terms of spin operator $S_d^z = \frac{1}{2} \sigma (\hat{n}_{d\sigma} - \hat{n}_{d\bar{\sigma}})$ and also use $\hat{n}_\sigma + \hat{n}_{\bar{\sigma}} = 1$. They give

$$\begin{aligned} \sum_{kq\sigma} V_k^* V_q \left[\frac{(\frac{1}{2} + \sigma S_d^z) c_{q\sigma}^\dagger c_{k\sigma}}{\epsilon_q - \epsilon_d} + \frac{(\frac{1}{2} - \sigma S_d^z) c_{q\sigma}^\dagger c_{k\sigma}}{\epsilon_k - \epsilon_d - U} \right] \\ = \sum_{kq\sigma} V_k^* V_q S_d^z \sigma c_{q\sigma}^\dagger c_{k\sigma} \left[\frac{1}{\epsilon_q - \epsilon_d} - \frac{1}{\epsilon_k - \epsilon_d - U} \right] + \frac{1}{2} \sum_{kq\sigma} V_k^* V_q c_{q\sigma}^\dagger c_{k\sigma} \left[\frac{1}{\epsilon_q - \epsilon_d} + \frac{1}{\epsilon_k - \epsilon_d - U} \right] \end{aligned} \quad (2.35)$$

The latter term is a potential scattering term; it vanishes in the particle-hole symmetric case ($\epsilon_d + U = -\epsilon_d$) and we will ignore it from now. The first term is the gives rise to the spin-preserving scattering in the s-d model; we can write $\sum_\sigma \sigma c_{q\sigma}^\dagger c_{k\sigma} = c_{q\uparrow}^\dagger c_{k\uparrow} - c_{q\downarrow}^\dagger c_{k\downarrow} \equiv 2s_{kq}^z$. Defining $J_{kq} = V_k^* V_q \left[\frac{1}{\epsilon_q - \epsilon_d} - \frac{1}{\epsilon_k - \epsilon_d - U} \right]$, gives us the first term in s-d model

$$2 \sum_{kq} J_{kq} S_d^z s_{kq}^z \quad (2.36)$$

Setting $\gamma = \bar{\sigma}$ in the total renormalization gives the rest of the terms:

$$\sum_{kq\sigma} V_k^* V_q c_{d\sigma}^\dagger c_{d\bar{\sigma}} c_{q\bar{\sigma}}^\dagger c_{k\sigma} \left[\frac{-1}{\epsilon_d - \epsilon_q} + \frac{-1}{\epsilon_k - \epsilon_d - U} \right] = \sum_{kq\sigma} J_{kq} c_{d\sigma}^\dagger c_{d\bar{\sigma}} c_{q\bar{\sigma}}^\dagger c_{k\sigma} \quad (2.37)$$

We can define $S_d^\sigma = c_{d\sigma}^\dagger c_{d\bar{\sigma}}$ where $\sigma \in \{+, -\}$ and $s_{kq}^\sigma = c_{q\sigma}^\dagger c_{k\sigma}$. This gives

$$\sum_{kq\sigma} J_{kq} S_d^\sigma s_{kq}^\sigma = \sum_{kq} J_{kq} (S_d^+ s_{kq}^- + S_d^- s_{kq}^+) \quad (2.38)$$

The total renormalization, minus the potential scattering and constant terms constitutes the spin-flip scattering part of the Kondo model:

$$\mathcal{H}_{s-d} = 2 \sum_{kq} J_{kq} \left[S_d^z s_{kq}^z + \frac{1}{2} (S_d^+ s_{kq}^- + S_d^- s_{kq}^+) \right] = 2 \sum_{kq} J_{kq} \vec{S}_d \cdot \vec{s}_{kq} \quad (2.39)$$

Note that when we wrote the entire Schrodinger equation in the subspace of $|\psi_1\rangle$, we projected out all contributions of the Hamiltonian in the subspace of the doublon and holon. To recover those parts, we can look at eq. 2.27 by eliminating $|\psi_1\rangle$. That gives

$$\begin{aligned} E |\psi_0\rangle &= \left(\mathcal{H}_0 + V_{1\rightarrow 0} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_{0\rightarrow 1} \right) |\psi_0\rangle + V_{1\rightarrow 0} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_{2\rightarrow 1} \psi_2 \\ E |\psi_2\rangle &= \left(\mathcal{H}_0 + 2\epsilon_d + U + V_{1\rightarrow 2} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_{2\rightarrow 1} \right) |\psi_2\rangle + V_{1\rightarrow 2} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_{0\rightarrow 1} \psi_0 \end{aligned} \quad (2.40)$$

It can be represented in the matrix form:

$$\begin{pmatrix} \mathcal{H}_0 + V_{1\rightarrow 0} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_{0\rightarrow 1} & V_{1\rightarrow 0} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_{2\rightarrow 1} \\ V_{1\rightarrow 2} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_{0\rightarrow 1} & \mathcal{H}_0 + 2\epsilon_d + U + V_{1\rightarrow 2} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_{2\rightarrow 1} \end{pmatrix} \begin{pmatrix} \psi_0 \\ \psi_2 \end{pmatrix} = E \begin{pmatrix} \psi_0 \\ \psi_2 \end{pmatrix} \quad (2.41)$$

There are two scattering terms in each equation. The first scattering term (of the forms $V_{1\rightarrow 0} G V_{0\rightarrow 1}$ and $V_{1\rightarrow 2} G V_{2\rightarrow 1}$) involve virtual excitations to the single-occupied subspace. They are diagonal in their respective subspaces. However, *the second scattering term in each equation, of the form $V_{1\rightarrow 0} G V_{2\rightarrow 1}$ or $V_{1\rightarrow 2} G V_{0\rightarrow 1}$ scatter between the doublon and holon subspace.* The first one takes you from the doublon to the holon ($2 \rightarrow 1 \rightarrow 0$), the second one does the opposte. Let us take a look at these terms. The first term becomes

$$\begin{aligned} V_{1\rightarrow 0} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_{2\rightarrow 1} &= \sum_{kq\sigma\gamma} V_q c_{q\gamma}^\dagger c_{d\gamma} (1 - \hat{n}_{d\bar{\gamma}}) \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_k c_{k\sigma}^\dagger c_{d\sigma} \hat{n}_{d\bar{\sigma}} \\ &= \sum_{kq\sigma\gamma} V_q c_{q\gamma}^\dagger c_{d\gamma} (1 - \hat{n}_{d\bar{\gamma}}) V_k c_{k\sigma}^\dagger c_{d\sigma} \hat{n}_{d\bar{\sigma}} \frac{1}{\epsilon_d + U - \epsilon_k} \end{aligned} \quad (2.42)$$

where I put $E = \mathcal{H}_0 - \epsilon_k + 2\epsilon_d + U$ as the energy of the initial state $|\psi_2\rangle$. Since the expression has $c_{d\gamma}$ followed by $c_{d\sigma}$ with only diagonal terms in between, we must have $\gamma = \bar{\sigma}$. Hence it becomes

$$\begin{aligned} \sum_{kq\sigma} V_q V_k c_{q\bar{\sigma}}^\dagger c_{d\bar{\sigma}} c_{k\sigma}^\dagger c_{d\sigma} \frac{1}{\epsilon_d + U - \epsilon_k} &= \sum_{kq} V_q V_k \frac{1}{\epsilon_d + U - \epsilon_k} \left[c_{q\uparrow}^\dagger c_{k\downarrow}^\dagger c_{d\downarrow} c_{d\uparrow} + c_{q\downarrow}^\dagger c_{k\uparrow}^\dagger c_{d\uparrow} c_{d\downarrow} \right] \\ &= \sum_{kq} V_q V_k \frac{1}{\epsilon_d + U - \epsilon_k} \left[c_{q\uparrow}^\dagger c_{k\downarrow}^\dagger c_{d\downarrow} c_{d\uparrow} + c_{k\uparrow}^\dagger c_{q\downarrow}^\dagger c_{d\uparrow} c_{d\downarrow} \right] \\ &= \sum_{kq} V_q V_k c_{q\uparrow}^\dagger c_{k\downarrow}^\dagger c_{d\downarrow} c_{d\uparrow} \left(\frac{1}{\epsilon_d + U - \epsilon_k} + \frac{1}{\epsilon_d + U - \epsilon_q} \right) \end{aligned} \quad (2.43)$$

In the last step, we relabeled $k \leftrightarrow q$. The second scattering term similarly becomes

$$\begin{aligned}
V_{1 \rightarrow 2} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_{0 \rightarrow 1} &= \sum_{kq\sigma\gamma} V_q^* c_{d\gamma}^\dagger c_{q\gamma} \hat{n}_{d\bar{\gamma}} \frac{1}{E - \mathcal{H}_0 - \epsilon_d} V_k^* c_{d\sigma}^\dagger c_{k\sigma} (1 - \hat{n}_{d\bar{\sigma}}) \\
&= \sum_{kq\sigma} V_q^* V_k^* c_{d\bar{\sigma}}^\dagger c_{q\bar{\sigma}} c_{d\sigma}^\dagger c_{k\sigma} \frac{1}{\epsilon_k - \epsilon_d} \\
&= \sum_{kq} V_q^* V_k^* \left(\frac{1}{\epsilon_k - \epsilon_d} + \frac{1}{\epsilon_q - \epsilon_d} \right) c_{d\uparrow}^\dagger c_{d\downarrow}^\dagger c_{k\downarrow} c_{q\uparrow}
\end{aligned} \tag{2.44}$$

Combining the two terms, we get the total charge-Kondo contribution:

$$\begin{aligned}
\mathcal{H}_{ch} &= \sum_{kq} V_q V_k c_{q\uparrow}^\dagger c_{k\downarrow}^\dagger c_{d\downarrow} c_{d\uparrow} \left(\frac{1}{\epsilon_d + U - \epsilon_k} + \frac{1}{\epsilon_d + U - \epsilon_q} \right) \\
&\quad + \sum_{kq} V_q^* V_k^* c_{d\uparrow}^\dagger c_{d\downarrow}^\dagger c_{k\downarrow} c_{q\uparrow} \left(\frac{1}{\epsilon_k - \epsilon_d} + \frac{1}{\epsilon_q - \epsilon_d} \right)
\end{aligned} \tag{2.45}$$

References

- [1] Anirban Mukherjee and Siddhartha Lal. Holographic unitary renormalization group for correlated electrons - i: A tensor network approach. *Nuclear Physics B*, 960, 2020.
- [2] Kenji Suzuki. Construction of Hermitian Effective Interaction in Nuclei: — General Relation between Hermitian and Non-Hermitian Forms —. *Progress of Theoretical Physics*, 68, 1982.
- [3] A. C. Hewson. *The Kondo Problem to Heavy Fermions*. Cambridge University Press, 1993.