

Analysis Anomalous Doppler Effect from quantum theory to classical dynamic simulation

First Author¹, Second Author², ..., and Last Author^{2,3,*}

¹First affiliation

²Second affiliation

³Third affiliation

May 7, 2025

Abstract

A quantum model combined with angular momentum conservation is established to analyze the process of Normal Doppler Effect and Anomalous Doppler Effect, illustrating that the resonance process is related to the angular momentum of the wave. The angular momentum resonant condition is numerically tested, and the energy change ratio between parallel and gyrokinetic energies during electron-wave resonance is calculated, showing strong agreement with quantum theory.

Keywords:

PACS:

1. Introduction

The Anomalous Doppler Effect (ADE) [1–4], in which the observed frequency shift behaves contrary to the conventional Doppler Effect under specific conditions, was first theoretically predicted by Soviet physicist Vitaly L. Ginzburg [5]. This phenomenon occurs when a moving systems velocity exceeds the phase velocity of light in the medium, it transfers its kinetic energy to its internal energy while emitting radiation. A notable example, discussed by Frank in his 1958 Nobel lecture [2], demonstrates that radiation emission does not result from atomic transitions from a higher (excited) state to a lower state, as is typical, but rather occurs inversely from a lower state to a higher state where the energy is supplied by the systems translational kinetic energy. This intriguing theoretical prediction has attracted significant attention and has motivated extensive research [6–13].

In 1967, Artsimovich [14] observed discrepancies in tokamak experiments: measurements of electron temperature derived from diamagnetic signals stronger than derived from electrical conductivity measurement. This anomaly, unrecognized at the time, may represent the first experimental observation of ADE. It was not until 1968 that B. B. Kadomtsev [15][16] identified the that cause as ADE, wherein electrons longitudinal velocity scatter to transverse velocity under resonant ADE conditions. This process amplifies the diamagnetic effect beyond contributions from thermal motion

*Corresponding author. E-mail: xxx@xxx.edu

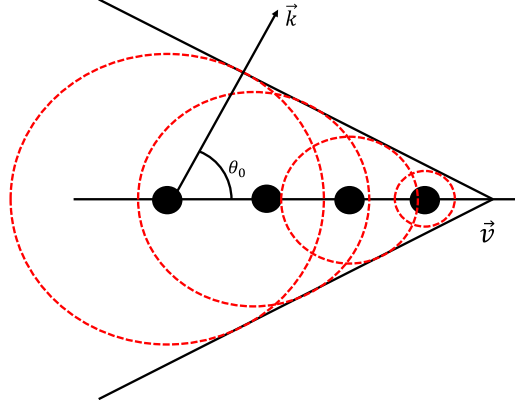


Fig. 1. Schematic diagram of Cherenkov Radiation. The black points stand for the snapshot of the electron at different times, the read dash circle refers to the current radiation surface from the previous electron.

alone. After that, more phenomena related to ADE are observed, such as electron beam scattering in magnetic field vacuum tube[4], wave radiation [16–18] and runaway electron instability in tokamaks [19,20]. Applications based on ADE have also emerged in various areas, such as high-power microwave generation and runaway electron suppression in tokamaks [10,21].

The physics of the Anomalous Doppler Effect (ADE) was previously explained based on the quantum analysis provided by Frank and Ginzburg [2,22]. In this paper, building on Ginzburgs quantum analysis and incorporating angular momentum conservation, we present a more detailed analysis of ADE, offering further insights into the relationship between wave angular momentum and ADE. Despite the simplicity of the model, to the best of our knowledge, the analysis of angular momentum conservation during the ADE process has not been presented or mentioned before.

Additionally, a numerical simulation of a single particle resonating with an electromagnetic (EM) wave in the presence of uniform static electric and magnetic fields is conducted based on classical dynamical equations. This simulation demonstrates the relationship between the waves angular momentum and the resonance condition. The energy transfer ratio from the electron’s kinetic energy to its gyrokinetic energy during the resonance with the EM wave is computed numerically, and the results show strong agreement with the formula derived from quantum analysis.

The remainder of this paper is organized as follows. Section 2. presents the quantum analysis based on angular momentum conservation. Section III describes the numerical setup and methodology, including illustrations of the temporal evolution of velocity and kinetic energy. Section IV discusses the energy transfer ratio and polarization characteristics. Finally, Section V provides a brief discussion and conclusion.

2. Quantum analysis of ADE

When a charged particle moves through a medium at a speed greater than the phase velocity of light in that medium, it induces polarization in the surrounding molecules. As these molecules return to their equilibrium state, they emit electromagnetic radiation. The constructive interference of these emissions produces the characteristic Cherenkov radiation, forming a cone-shaped wavefront as shown in Fig. 1. The direction of Cherenkov radiation is constrained to the Cherenkov radiation angle $\theta_0 = \arccos\left(\frac{c'}{v}\right)$, where c' is the speed of light in the medium and v is the velocity of the charged particles.

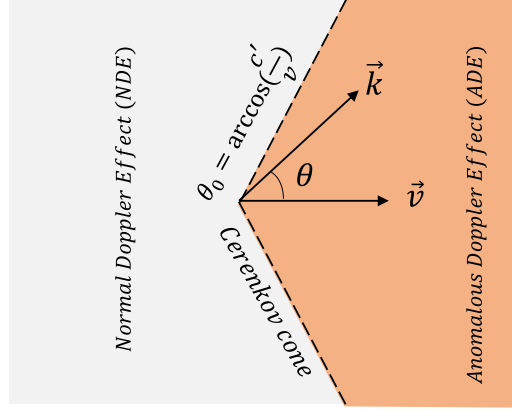


Fig. 2. The region of Anomalous Doppler Effect (ADE) and Normal Doppler Effect (NDE).

However, when the electron is replaced by a system possessing internal energy—such as an oscillator or a cyclotron electron in a magnetic field—the direction of the emitted photon is no longer determined by the interference of secondary waves and can instead occur in any direction. Considering a scenario where the system emits a photon with angular frequency ω and wavevector \vec{k} , the emission process must satisfy both energy and momentum conservation:

$$T_1 + U_1 = \hbar\omega + T_2 + U_2 \quad (1a)$$

$$\vec{p}_1 = \vec{p}_2 + \hbar\vec{k} \quad (1b)$$

Here the T and U represent the kinetic energy and internal energy of the system while subscripts of 1 and 2 refer to before and after emitting a photon. \vec{p} represents the momentum of the system and \hbar represents reduced Planck's constant. Assuming that photon's energy is far less than the initial kinetic energy T_1 , the losses of kinetic energy after emitting a photon can be expressed as $\Delta T_{12} = T_1 - T_2 = \Delta\vec{p} \cdot \vec{v}$, where \vec{v} is the velocity of the system before emitting a photon and $\Delta\vec{p} = \vec{p}_1 - \vec{p}_2 = \hbar\vec{k}$. Thus, the change of internal energy can be expressed as

$$\begin{aligned} \Delta U_{21} &= \Delta T_{12} - \hbar\omega \\ &= \hbar\vec{k} \cdot \vec{v} - \hbar\omega \\ &= \hbar\omega \left(\frac{v \cos \theta}{c'} - 1 \right) \end{aligned} \quad (2)$$

Here, $\omega/k = c'$, and $\Delta U_{21} = U_2 - U_1$. When the system's velocity exceeds the speed of light in the medium ($v > c'$), the sign of ΔU_{21} allows the radiation to be categorized into three distinct regions, as illustrated in Fig. 2.

1. For $\theta > \theta_0 = \arccos(c'/v)$, $\Delta U_{21} < 0$. The system produces photons by consuming its own internal and kinetic energy; this region refers to the Normal Doppler Effect (NDE).
2. For $\theta = \theta_0$, $\Delta U_{21} = 0$, the loss of kinetic energy by the system is completely converted into photon energy; this line refers to the Cerenkov Effect.
3. For $\theta < \theta_0$, $\Delta U_{21} > 0$, this region is referred to as the Anomalous Doppler Effect (ADE), where the system gains internal energy after emitting photons. It means the loss of kinetic energy is converted to photons and the system's internal energy.

In previous paper, the change of internal energy is given as $\Delta U = m\hbar\omega_{ce}$, where $m = 0, \pm 1, \pm 2, \pm 3, \dots$ represent the Landau level, as given by V.L. Ginzburg [23], Coppi [24], Frolov [25], Frank [2], Tamm [1] and Nezlin [6]. The above

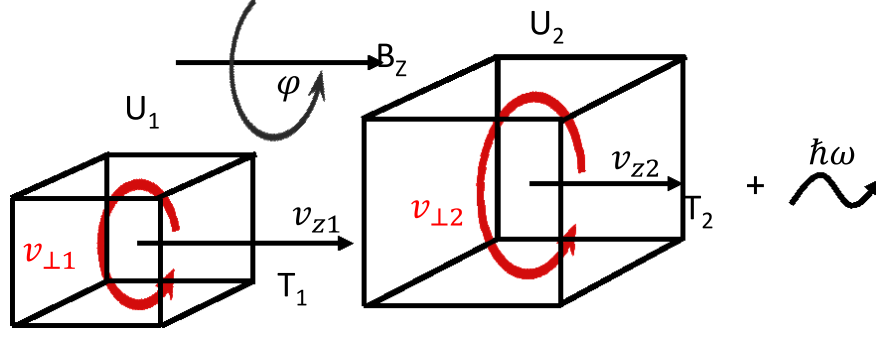


Fig. 3. Schematic diagram of electron cyclotron system before and after emitting a photon. Here $U_2 > U_1, T_2 < T_1$

content revisits the foundational work of V.L. Ginzburg [23]. In the present paper, it is further demonstrated that m actually represents the quantum number associated with the angular momentum of the emitted photon.

Let's consider the process in which an electron cyclotron system under a uniform magnetic field emits a photon, as shown in Fig. 3. The moving electron has the velocity v_z along the background magnetic field and the v_\perp cyclotron velocity. The kinetic energy along z is $T = \gamma m_e c^2 - m_e c^2$, where γ refers to the Lorentz factor. The internal energy represents as $U = \frac{1}{2} \gamma m_e v_\perp^2$.

Assume the angular momentum of the system before and after emitting a photon is L_1 and L_2 , respectively. The angular momentum of photon is $m\hbar$. According to the angular momentum conservation, we have

$$L_1 = L_2 + m\hbar \quad (3)$$

Since the magnetic field is aligned along z direction, the angular momentum of electron along z is represented as L_z . According to the quantum theory, the electron wave in the static magnetic field can be expressed as

$$\Psi = \Psi_0 e^{\frac{i}{\hbar} (\mathbf{p} - e\mathbf{A}) \cdot \mathbf{s}} \quad (4)$$

With the term Ψ_0 representing the normalized coefficient, \mathbf{A} is the vector potential and \mathbf{s} is the position. For a gyro-motion electron in a magnetic field, $\mathbf{s} = r\phi \vec{e}_\phi$, where r refers to the cyclotron radius and ϕ refers to the cyclotron angle.

The z -component of the orbital angular momentum operator can be expressed in spherical coordinates as:

$$\hat{L}_z = -i\hbar \frac{\partial}{\partial \phi} \Psi \quad (5)$$

Combining Eq. (4) with Eq. (5), we have

$$-i\hbar \frac{\partial}{\partial \phi} \Psi = (p_\phi - eA_\phi) r \Psi \quad (6)$$

As a result, the eigenvalue of L_z can be expressed as

$$L_z = (p_\phi - eA_\phi) r \quad (7)$$

With $p_\phi = \gamma m_e v_\perp$, $A_\phi = \frac{rB_0}{2}$, and $r = \frac{\gamma m_0 v_\perp}{B_0 e}$, Eq. (7) can be rewritten as:

$$L_z = \frac{1}{2} \cdot \frac{\gamma m_0 v_\perp^2}{\omega_{ce}} = \frac{U}{\omega_{ce}}, \quad (8)$$

where $\omega_{ce} = \frac{eB}{m_0 \gamma} = \frac{\omega_0}{\gamma}$ and $U = \frac{1}{2} \gamma m_0 v_\perp^2$. Here, m_0 is the electron rest mass, γ is the Lorentz factor, and ω_0 is the electron cyclotron frequency in the rest frame ($\omega_0 > 0$). The conservation of angular momentum in the z -direction is expressed as

$$L_{z2} + m\hbar = L_{z1}.$$

The variation in the angular momentum of the electron along the z -axis is given by:

$$\Delta L_{21} = L_{z2} - L_{z1} = \frac{U_2 - U_1}{\omega_{ce}} = -m\hbar \quad (9)$$

Here, m is the quantum number of the photon's angular momentum in the z -direction. The internal energy change is given by $\Delta U_{21} = U_2 - U_1$. With Eq. (9), it can be transformed as:

$$\Delta U_{21} = -m\hbar\omega_{ce} \quad (10)$$

According to the Eq. (2) and Eq. (10), the change in electron energy could be presented as

$$\hbar\vec{k} \cdot \vec{v} = \hbar\omega - m\hbar\omega_{ce} \quad (11)$$

This result is consistent with previous findings [1,2,6,24–26]. Here, $\hbar\vec{k} \cdot \vec{v}$ represents the loss of kinetic energy ΔT_{12} , $\hbar\omega$ represents the energy of the photon, and $-m\hbar\omega_{ce}$ represents the change in the electron gyrokinetic energy ΔU_{21} (the internal energy change). The ratio between the internal energy change ΔU_{21} and the kinetic energy change ΔT_{12} can be expressed as

$$\frac{\Delta U_{21}}{\Delta T_{12}} = \frac{m\hbar\omega_{ce}}{\hbar\vec{k} \cdot \vec{v}} \quad (12)$$

This results is a critical criterion to compare with the classical dynamic simulation in the section 2. It is also proved based on classical theory in the Appendix. After simplifying the Eq. (12), we finally have the classical wave-particle resonant condition

$$\omega = k_z v_z + m\omega_{ce} \quad (13)$$

The variable m represents the quantum number associated with the angular momentum of the photon. Since a photon possesses both orbital angular momentum ($l\hbar$, where $l = 0, \pm 1, \pm 2, \pm 3, \dots$) and intrinsic spin angular momentum ($s\hbar$, where $s = \pm 1$) [27], the total angular momentum can be expressed as $m\hbar = l\hbar + s\hbar$.

If we consider a plane wave, only the spin angular momentum contributes in this context (i.e., $l = 0$). Therefore, there are two possible scenarios regarding the sign of m , corresponding to the two possible spin states of the photon: $m = +1$ or $m = -1$.

1. For $m > 0$, where $\Delta U_{21} < 0$, the internal energy of the cyclotron electron decreases after emitting a photon. If the angular momentum quantum number $m = 1$, the emitted photon exhibits right-hand circular polarization. This process is known as the NDE.
2. For $m < 0$, $\Delta U_{21} > 0$, the cyclotron electron gains internal energy after emitting a photon. The emission photo will have left-hand circular polarization if the angular momentum quantum number $m = -1$. This process is known as the ADE.

While ADE and NDE describe spontaneous emission phenomena that occur without external field intervention, in our simulation model an external electromagnetic (E.M) waves is introduced as resonant fields interacting with electrons in static magnetic and electric fields. This approach provides a framework for analysing ADE under resonant conditions, referred to here as Anomalous Doppler Resonance (ADR). Under such resonance, both emission and absorption processes

The difference between the definition of left- and right-hand polarization for m and the conventional definition [28] arises from the choice of $\omega_0 > 0$ used here, where $m > 0$ corresponds to the same sense of rotation as the electron's right-hand motion, which corresponds to right-hand polarization for $\vec{k} \parallel \vec{B}_0$.

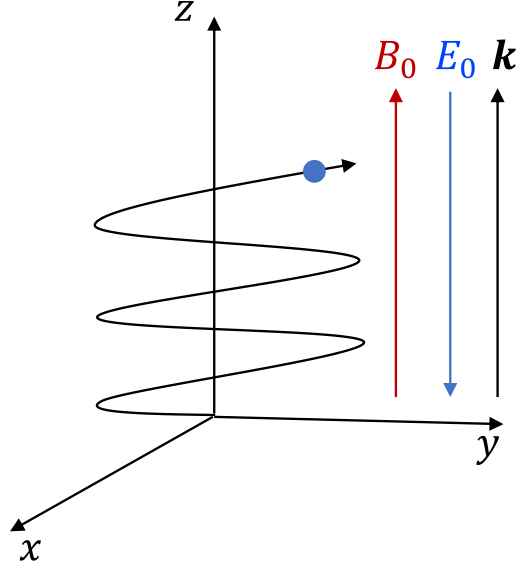


Fig. 4. The uniform static magnetic field is set along the z axis, the electrostatic field E_0 is oriented opposite to the B_0 field, and the wavevector k is aligned parallel to the B_0 field.

can occur, depending on the phase relationship between the electrons perpendicular velocity and the electric field of the E.M wave. A detailed analysis is provided in the Appendix.

Despite nonlinear analyses of electron interactions with E.M waves excluding static electric fields have been presented in numerous studies [29–37], fewer investigations have considered the influence of a static electric field during resonance with E.M waves. Due to the complexity of the nonlinear processes involved, analytical solutions are nearly impossible to obtain, making numerical simulations essential in this context.

3. Classical dynamic simulation of ADR

The ADE process has been analyzed based on quantum theory, demonstrating that the angular momentum of the emitting photon determines the resonance condition. Specifically, only angular momentum with $m < 0$ corresponds to the ADE process, while $m > 0$ corresponds to the NDE process. These characteristics will be tested through the interaction of E.M wave and the electron during ADR and Normal Doppler Resonance (NDR), and the energy transfer ratio can also be verified through numerical simulations.

3.1. Numerical simulation setup

To analyze the resonant process from the perspective of classical dynamics and to provide a direct comparison between quantum and classical dynamic results, the following scenario is considered: A uniform magnetic field \vec{B}_0 is applied along the z -direction. An electrostatic field \vec{E}_0 , oriented in the opposite direction to \vec{B}_0 (as illustrated in Fig. 4), is used to accelerate the electron. We consider the interaction between an electron entering the system with velocity v_z , parallel to the magnetic field $B_0 = B_z$, and a linearly or circularly polarized transverse electromagnetic (TEM) wave propagating in a homogeneous dielectric medium with a refractive index $n > 1$.

The induced linearly polarized wave along \vec{B}_0 can be decomposed into a combination of a right-hand circularly

polarized wave ($m = 1$) and a left-hand circularly polarized wave ($m = -1$), such that $\vec{E}_w = \vec{E}_R + \vec{E}_L$, where $\vec{E}_R = \frac{1}{2}E_0(\vec{e}_x + i\vec{e}_y)\exp[i(\vec{k} \cdot \vec{r} - \omega t)]$, $\vec{E}_L = \frac{1}{2}E_0(\vec{e}_x - i\vec{e}_y)\exp[i(\vec{k} \cdot \vec{r} - \omega t)]$. If the wavevector \vec{k} lies in the y-z plane with a crossing angle θ_k relative to the z-axis, then the new coordinate unit vectors for the wave field expression should be rotated accordingly to align with the direction of \vec{k} . The transformed basis vectors are:

$$\begin{pmatrix} \vec{e}'_x \\ \vec{e}'_y \end{pmatrix} = \begin{pmatrix} 1 & 0 & 0 \\ 0 & \cos \theta_k & \sin \theta_k \end{pmatrix} \cdot \begin{pmatrix} \vec{e}_x \\ \vec{e}_y \\ \vec{e}_z \end{pmatrix} \quad (14)$$

The magnetic field of E.M wave is

$$\vec{B}_w = \frac{\vec{k} \times \vec{E}_w}{\omega} \quad (15)$$

The six-dimensional phase space of an electron, described by its position \mathbf{r} and momentum \mathbf{p} , are presented in the equations below. The vectors \mathbf{E} and \mathbf{B} represent the total field, including both static and electromagnetic components. Here, c denotes the speed of light in vacuum, e represents the electrons charge and m_0 is the electrons mass in the rest frame.

$$\begin{aligned} \frac{d\mathbf{r}}{dt} &= \frac{\mathbf{p}}{\sqrt{m_0^2 + \frac{\mathbf{p}^2}{c^2}}}, \\ \frac{d\mathbf{p}}{dt} &= -e \left(\mathbf{E}(\mathbf{r}, t) + \frac{\mathbf{p}}{\sqrt{m_0^2 + \frac{\mathbf{p}^2}{c^2}}} \times \mathbf{B}(\mathbf{r}, t) \right) \end{aligned} \quad (16)$$

To simulate the evolution of \mathbf{r} and \mathbf{p} , the above system is discretized using the Volume-Preserving Algorithm. Let k denote the iteration step and $\text{Cay}(\mathbf{A})$ represent the Cayley transform of matrix \mathbf{A} :

$$\begin{cases} \mathbf{r}_{k+\frac{1}{2}}^* = \mathbf{r}_k^* + \frac{\Delta t^*}{2\gamma_k^*} \mathbf{p}_k^*, \\ \mathbf{p}^{*-} = \mathbf{p}_k^* + \frac{\Delta t^*}{2} \mathbf{E}_{k+\frac{1}{2}}^*, \\ \mathbf{p}^{*+} = \text{Cay} \left(\frac{\Delta t^* \hat{\mathbf{B}}^*}{2\gamma^{*-}} \right) \mathbf{p}^{*-}, \\ \mathbf{p}_{k+1}^* = \mathbf{p}^{*+} + \frac{\Delta t^*}{2} \mathbf{E}_{k+\frac{1}{2}}^*, \\ \mathbf{r}_{k+1}^* = \mathbf{r}_{k+\frac{1}{2}}^* + \frac{\Delta t^*}{2\gamma_{k+1}^*} \mathbf{p}_{k+1}^*, \end{cases} \quad (17)$$

The dimensionless parameters are momentum $p^* = p/(m_0 c)$, magnetic field $B^* = B/(e\tau_{ce} m_0)$, total electric field $E^* = E/(\frac{m_0 c}{\tau_{ce} e})$, time step $\Delta t^* = \Delta t/\tau_{ce}$, and position $r^* = r/(\tau_{ce} c)$ respectively, where the τ_{ce} is the electron cyclotron period ($\tau_{ce} = 2\pi/\omega_{ce}$) and $\gamma^* = \sqrt{1 + p^{*2}}$ is Lorentz factor. The dimensionless magnetic matrix \mathbf{B}^* [38] is written as

$$\hat{\mathbf{B}}^* = \begin{pmatrix} 0 & B_z^* & -B_y^* \\ -B_z^* & 0 & B_x^* \\ B_y^* & -B_x^* & 0 \end{pmatrix} \quad (18)$$

To illustrate the system evolution, the parameters are set as following: background magnetic field $B_0 = 0.02T$, wave angular frequency $\omega_s = 1.5\omega_0$ where $\omega_0 = (eB_0)/m_e$, wavevector $\vec{k} = 10^5/\text{m}$, the electric field component of the electromagnetic wave $E_w = 9\text{V/m}$. The propagation of induced wave with linear polarization is parallel to z axis, and the

electrostatic field is $E_0 = -2.5 \text{ V}$. The time resolution is always chosen to satisfy $\Delta t = \min\left(\frac{2\pi}{50(\vec{k} \cdot \vec{v})}, \frac{2\pi}{50\omega_0}, \frac{2\pi}{(50\omega_0)}\right)$ to ensure the accuracy of the simulation.

The evolution of the electrons motion is shown in fig. 5. As the electron accelerates from stationary in the electrostatic field (fig. 5(b)), the resonant frequencies increase simultaneously (Fig. 5(a)). The change of parallel velocity caused by electromagnetic wave can be quantified as $\Delta v = v_z - v_{zE0}$ as shown in Fig. 5(c), where v_z represents the parallel velocity under the given scenario, while v_{zE0} denotes the parallel velocity resulting solely from the electrostatic field, which can be calculated using a theoretical equation as

$$v_{zE0} = \frac{eE_0 t}{m_0 \sqrt{1 + \left(\frac{eE_0 t}{m_0 c}\right)^2}} \quad (19)$$

The cyclotron velocity is shown in fig. 5(d). The work done by electromagnetic wave is shown in fig. 5(e), which can be calculated by integrating the power with time as $E_{\parallel \text{emw}} = \int P_{\parallel \text{emw}} dt$, and $P_{\parallel \text{emw}} = -e\vec{v}_\perp \times \vec{B}_{\perp \text{emw}} \cdot \vec{v}_z$. Since all discrete data points are available from the simulation, it is not difficult to integrate all the discrete data over time. Fig. 5(f) shows the gyro-kinetic energy evolution with time, where $E_\perp = \frac{1}{2} m_e v_\perp^2$.

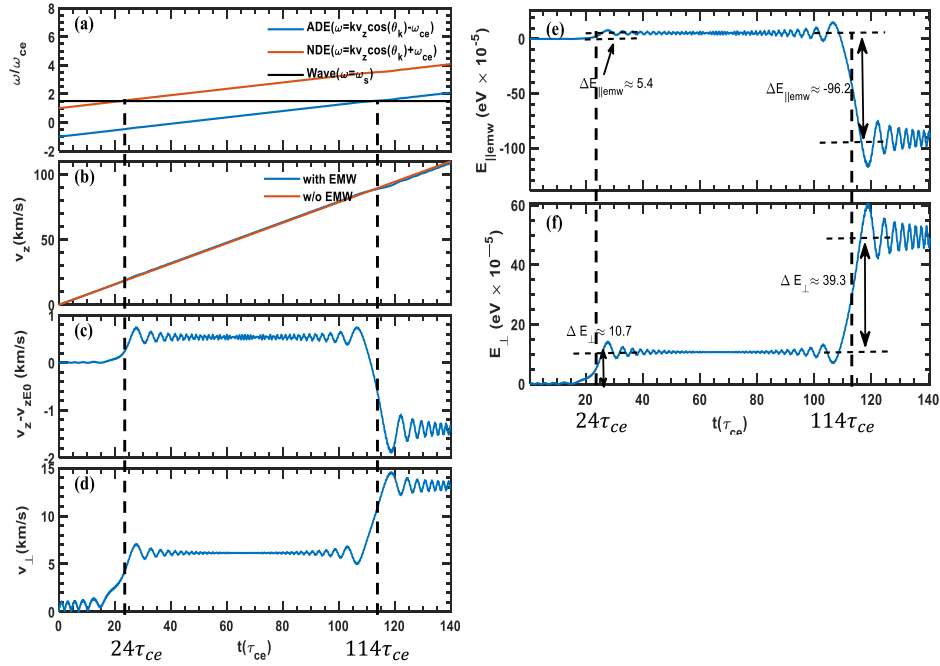


Fig. 5. Kinetic evolution of electrons in a magnetic field with an electromagnetic wave during acceleration. (a) Frequencies of ADE, NDE, and source wave frequency. θ_k refers to the angle between \vec{k} and the z axis, here $\theta_k = 0$. (b) The parallel velocity v_z in the case with and without the electromagnetic wave. (c) The change of parallel velocity caused by the electromagnetic wave. (d) The cyclotron velocity v_\perp . (e) The parallel kinetic energy transferred to the electron by the electromagnetic wave. (f) The evolution of gyro-kinetic energy.

3.2. Validation of energy transfer ratio

As shown in Fig. 5(a), around $23\tau_{ce}$, the normal Doppler frequency matches that of the induced wave, leading to a rapid increase in the cyclotron velocity v_{\perp} (Fig. 5(b)). Simultaneously, the change in parallel velocity induced by the electromagnetic wave also increases. This phenomenon can be interpreted as the electron cyclotron system absorbing a photon during the Normal Doppler Effect, resulting in an increase in both parallel kinetic energy and cyclotron energy. The change in parallel kinetic energy caused by the electromagnetic wave is shown in Fig. 5(e), where $\Delta T_{21} = \Delta E_{\parallel\text{emw}} \approx 5.4 \times 10^{-5} \text{ eV}$. The increase in cyclotron energy is shown in Fig. 5(e), where $\Delta U_{21} = \Delta E_{\perp} \approx 10.7 \times 10^{-5} \text{ eV}$. The energy transfer ratio between internal energy and kinetic energy during resonance is given by $\frac{\Delta U_{21}}{\Delta T_{21}} \approx 1.98$. According to quantum theory, the energy ratio is given by Eq. (13). Here $m = 1$ for NDE and $k = 10^5 \text{ m}^{-1}$ along the z -axis, the resonant velocity $v_z \approx 19 \times 10^3 \text{ m/s}$ and $\omega_{ce} \approx 3.51 \times 10^9 \text{ s}^{-1}$. Finally, $n_p = 1.85$, which is in close agreement with the simulation results.

The Anomalous Doppler Effect begins to emerge when the time reaches $113\tau_{ce}$, where $\omega_{\text{ADE}} = \omega$ as shown in Fig. 5(a). At this point, the parallel velocity begins to scatter into the perpendicular direction, evident from the decrease in Δv_z and the increase in v_{\perp} as seen in Fig. 5(c) and Fig. 5(d). During the resonant period, the changes in parallel kinetic and gyro-kinetic energies caused by the electromagnetic wave are calculated as $\Delta T_{21} = \Delta E_{\parallel\text{emw}} \approx -96.2 \times 10^{-5} \text{ eV}$ and $\Delta E_{\perp} \approx 39.3 \times 10^{-5} \text{ eV}$. The energy transfer ratio is $\frac{\Delta U_{21}}{\Delta T_{21}} \approx -0.408$. According to quantum theory, the change ratio of $\Delta U_{21}/\Delta T_{21} = -\hbar\omega_{ce}/\hbar\vec{k} \cdot \vec{v} = -0.3908$, where $\omega_{ce} \approx 3.51 \times 10^9 \text{ s}^{-1}$, and $k = 10^5 \text{ m}^{-1}$, $v_z = 90 \text{ km/s}$. The quantum theory results are in good agreement with the numerical calculations. The energy change ratio is also derived in the Appendix, based on classical theory.

3.3. Validation of the relationship with wave angular momentum.

Fig. 6(a-b) illustrate the velocity evolution under linear polarization of E_L , right-circular polarization E_R ($m = -1$), and left-circular polarization E_L ($m = 1$). The work done on the electron by the electromagnetic wave, E_{emw} , as depicted in Fig. 6(c), consists of the parallel direction, $E_{\parallel\text{emw}}$, as previously described, and the gyro-kinetic energy $E_{\perp\text{emw}}$. The latter is calculated as $E_{\perp\text{emw}} = \int \vec{F}_{\perp} \cdot \vec{v}_{\perp} dt$, where \vec{F}_{\perp} is determined from the electric and magnetic field forces, and \vec{v}_{\perp} represents the cyclotron velocity. All these parameters can be readily obtained from numerical results and integrated discretely.

The three types of polarization waves are investigated under the same scenario as before. As a result, the right-hand circularly polarized wave ($m = 1$) causes a velocity change only at around $23\tau_{ce}$, while the left-hand circularly polarized wave ($m = -1$) causes a velocity change only at around $113\tau_{ce}$. This indicates that the right-circularly polarized wave is responsible for the Normal Doppler Effect (NDE), while the left-hand circularly polarized wave is responsible for the Anomalous Doppler Effect (ADE), which agrees well with the quantum analysis.

The process can be understood as follows: For an electromagnetic wave with right-hand polarization propagating along the magnetic field, the electron in the magnetic field undergoes right-hand circular motion. When its parallel velocity satisfies the condition $\omega - \vec{k} \cdot \vec{v} = \omega_{ce}$, known as the Normal Doppler Resonance (NDR) condition, the electron, in its co-moving cyclotron frame, perceives the wave frequency as equal to its rotational frequency. Consequently, the electron resonates and absorbs the electromagnetic wave, as indicated in Fig. 6(c) at $23\tau_{ce}$. According to the conservation of angular momentum and parallel momentum, both the cyclotron velocity and parallel velocity increase, as the electromagnetic wave carries positive angular momentum (in the same direction as the cyclotron electron's angular momentum) and parallel momentum, which correspond to \hbar and $\hbar k$ in quantum physics.

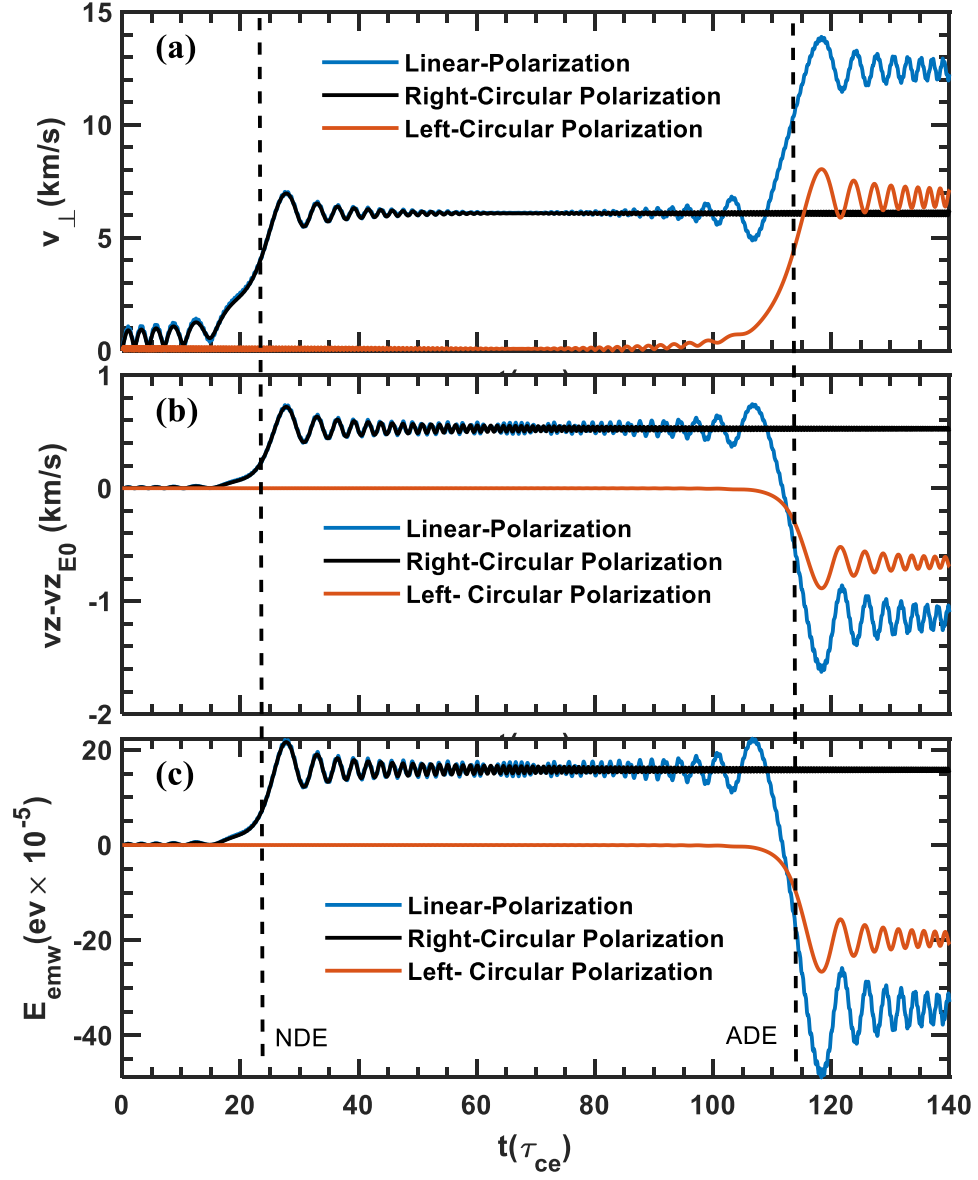


Fig. 6. Velocity evolution caused by induced wave with linear, right-circular and left-circular polarization. (a) The cyclotron velocity v_{\perp} . (b) The change of parallel velocity caused by the electromagnetic wave.

For a left-circularly polarized electromagnetic wave, the resonance and scattering process occurs when the electron velocity satisfies the condition $\omega - \vec{k} \cdot \vec{v} = -\omega_{ce}$, known as the Anomalous Doppler Resonance (ADR). In the frame of the cyclotron electron, the electromagnetic wave has the same frequency and rotational direction as the electron, since the electron's velocity exceeds the wave phase velocity. Because the electromagnetic wave performs negative work on the electron, as shown in Fig. 6(c) at $113\tau_{ce}$, where E_{emw} is negative for a left-hand polarization wave, this is equivalent to the electron emitting an electromagnetic wave with the same properties as the induced wave. Since the emitted wave has left-hand circular polarization and positive momentum—corresponding to $-\hbar$ and $\hbar k$ in quantum physics—the cyclotron velocity increases while the parallel velocity decreases, to conserve angular momentum and momentum.

For the left-circularly polarized wave, where the angular momentum $m = -1$, resonance occurs only at $\omega = \vec{k} \cdot \vec{v} - \omega_{ce}$, as shown in Fig. 7. This behavior differs from previous results, where resonance for a plane electromagnetic wave could occur at any integer m satisfying $\vec{k} \cdot \vec{v} + m\omega_{ce} - \omega = 0$, as shown in Eq. (36) and Eq. (37) of Ref. [40], but agrees well with angular momentum conservation analysis.

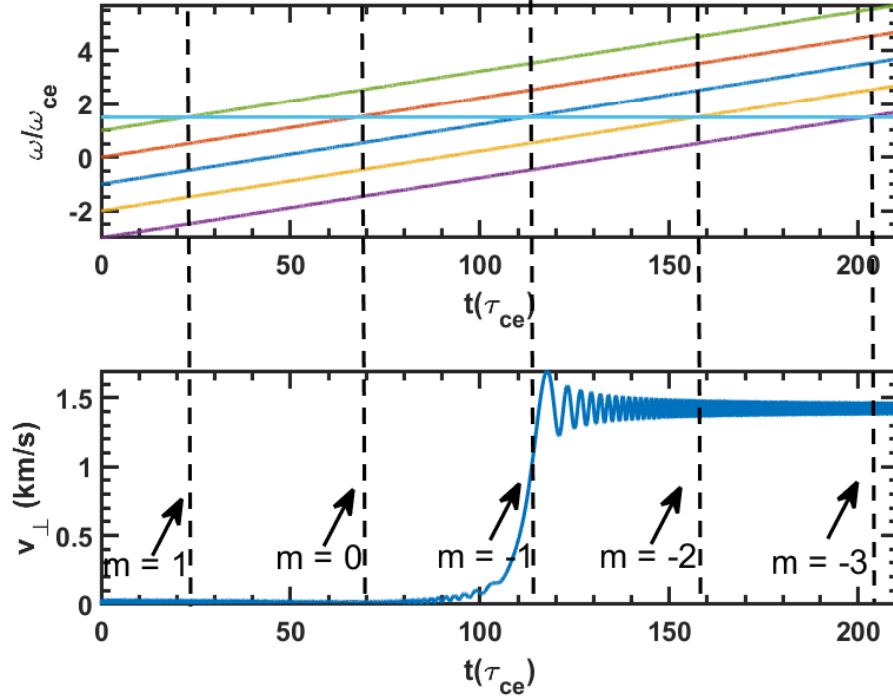


Fig. 7. (a) Frequency of $\omega = \vec{k} \cdot \vec{v} + m\omega_{ce}$ under different m values and induced wave frequencies. (b) Perpendicular velocity evolution under the left-circularly polarized wave, where $m = -1$.

4. Discussion

Based on the momentum and angular momentum conservation analysis, we analyze the case where \vec{k} is oriented opposite to v_{\parallel} (or \vec{B}_0). In this case, if a cyclotron electron emits a photon with left-hand circular polarization and momentum $-\hbar\vec{k}$, where the angular momentum carried by photon is \hbar , then after the emission, the change in internal energy is $\Delta U = -\hbar\omega_{ce} < 0$, and the change in translational kinetic energy $\Delta T = \hbar k v_{\parallel} > 0$. However, if the emitting photon have right-circular polarization and momentum $-\hbar\vec{k}$, the change of internal energy becomes $\Delta U = \hbar\omega_{ce} > 0$, while the

translational kinetic energy still is $\Delta T = \hbar k v_{\parallel} > 0$. This would violate the conservation of energy, as it is not possible for an electron to emit a photon while simultaneously increasing its total energy. Consequently, for a plane electromagnetic wave, only the left-circularly polarized component can resonate with an electron moving opposite to v_{\parallel} (or \vec{B}_0).

The right-hand polarization case would violate energy conservation, as it requires the electron to *emit* a photon while simultaneously *gaining* total energy ($\Delta U + \Delta T > 0$). Therefore, for a plane electromagnetic wave, only the left-circularly polarized component can resonantly interact with an electron moving antiparallel to \vec{v}_{\parallel} while satisfying all conservation laws.

5. Conclusion

This paper presents a simple yet useful method to analyze the resonant process of NDE and ADE. The quantum method, combined with an angular momentum conservation analysis, illustrates that the parameter m in the resonant condition $\omega = \vec{k} \cdot \vec{v} + m\omega_{ce}$ is directly related to the angular momentum of the resonant wave. Numerical simulations based on the VPA method are also provided, confirming the correctness of the quantum results regarding both the angular momentum relationship between m and the energy transfer ratio.

Appendix A: Classical analysis of Anomalous Doppler Resonant

here we would like give a brief derivation of energy transformation through classical dynamic equation:

$$m_e \frac{d\vec{v}_{\parallel}}{dt} = -e(\vec{v}_{\perp} \times \vec{B}_{\perp}) \quad (20)$$

$$m_e \frac{d\vec{v}_{\perp}}{dt} = -e(\vec{v}_{\perp} \times \vec{B}_0 + \vec{v}_{\parallel} \times \vec{B}_{\perp} + \vec{v}_{\perp} \times \vec{B}_0) \quad (21)$$

Consider $\vec{B}_{\perp} = \frac{\vec{e}_k \times \vec{E}_{\perp}}{v_p}$, where \vec{e}_k is the unit vector of wave vector of E.M. wave, which is along the z -axis. Using \vec{v}_{\parallel} and \vec{v}_{\perp} to dot both sides of (20) and (21), substitute \vec{B}_{\perp} and simplify the equations, we have

$$m_e \vec{v}_{\parallel} \cdot \frac{d\vec{v}_{\parallel}}{dt} = -e(\vec{v}_{\perp} \cdot \vec{E}_{\perp}) \frac{v_{\parallel}}{v_p} \quad (22)$$

$$m_e \vec{v}_{\perp} \cdot \frac{d\vec{v}_{\perp}}{dt} = e(\vec{v}_{\perp} \cdot \vec{E}_{\perp}) \frac{v_{\parallel}}{v_p} - e(\vec{v}_{\perp} \cdot \vec{E}_{\perp}) \quad (23)$$

Here $v_p = \frac{\omega}{k}$, the total energy change of electron can be expressed as:

$$\frac{d}{dt} \left(\frac{1}{2} m_e v_{\parallel}^2 + \frac{1}{2} m_e v_{\perp}^2 \right) = -e(\vec{v}_{\perp} \cdot \vec{E}_{\perp}) \quad (24)$$

The sign of $-e(\vec{v}_{\perp} \cdot \vec{E}_{\perp})$ determines whether the electromagnetic (E.M.) wave undergoes “emission” ($-e(\vec{v}_{\perp} \cdot \vec{E}_{\perp}) < 0$) or “absorption” ($-e(\vec{v}_{\perp} \cdot \vec{E}_{\perp}) > 0$) of E.M. wave, and this is dependent on the phase difference between v_{\perp} and E_{\perp} .

From (23) we have

$$e(\vec{v}_{\perp} \cdot \vec{E}_{\perp}) = \frac{m_e \vec{v}_{\perp} \cdot \frac{d\vec{v}_{\perp}}{dt}}{v_{\parallel} - 1} \quad (25)$$

Substitute (25) into (22), we have

$$m_e \vec{v}_{\parallel} \cdot \frac{d\vec{v}_{\parallel}}{dt} = - \frac{m_e \vec{v}_{\perp} \cdot \frac{d\vec{v}_{\perp}}{dt}}{v_{\parallel} - 1} \frac{v_{\parallel}}{v_p} \quad (26)$$

Integrate (26), we have

$$\frac{1}{2} m_p \left(v_1 - \frac{\omega}{k} \right)^2 + \frac{1}{2} m_p v_{\perp}^2 = C_0 \quad (27)$$

Here C_0 refers to the initial value. The change in velocity is constrained to a circular trajectory, as shown in Fig. ?? . At

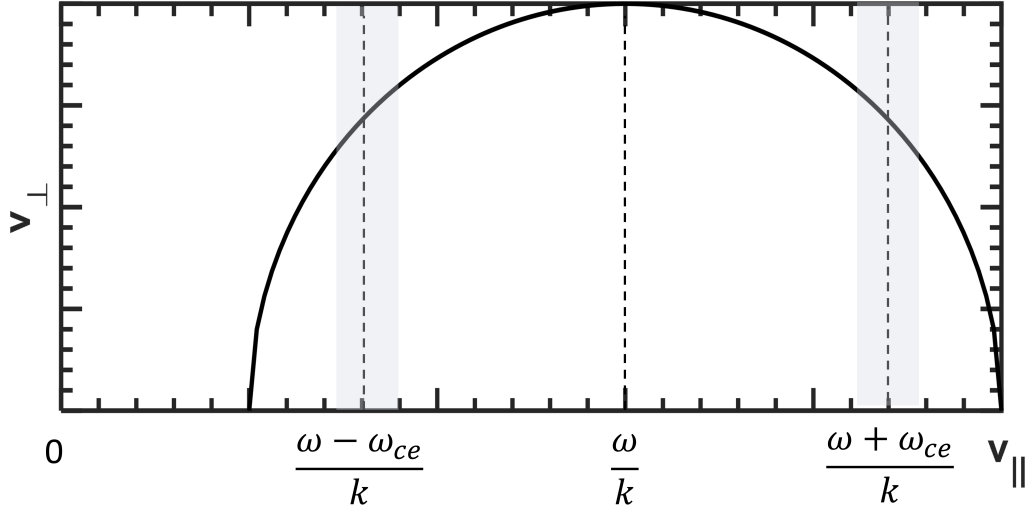


Fig. 8. The trajectory curve of $(v_{\parallel}, v_{\perp})$.

the normal Doppler resonance (NDR), where $v_1 = \frac{\omega - \omega_{ce}}{k}$, an increase in v_1 corresponds to an increase in v_{\perp} . In contrast, at the anomalous Doppler resonance (ADR), where $v_1 = \frac{\omega + \omega_{ce}}{k}$, an increase in v_1 corresponds to a decrease in v_{\perp} .

The change of energy in translational energy and gyro-kinetic energy can be written as follows:

$$\frac{\Delta U}{\Delta T} = \frac{v_{\perp} dv_{\perp}}{v_1 dv_1} \quad (28)$$

From (??), we have

$$\frac{dv_{\perp}}{dv_1} = - \frac{v_1 - \frac{\omega}{k}}{v_{\perp}} \quad (29)$$

Combining (??) and (??), we have

$$\frac{\Delta U}{\Delta T} = - \frac{v_1 - \frac{\omega}{k}}{v_1} \quad (30)$$

According to the resonant condition $\omega = k v_1 + m \omega_{ce}$, substituting v_1 with ω and k in (??), we obtain:

$$\frac{\Delta U}{\Delta T} = \frac{m \omega_{ce}}{k v_1} \quad (31)$$

which agrees with the quantum result as (??).

References

- [1] Tamm I E 1959 *Nobel Lectures* **18** 122–133
- [2] Frank I 1960 *Science* **131** 702–712
- [3] Ginzburg V L 1960 *Soviet Physics Uspekhi* **2** 874
- [4] Shustin E, POPOVICH P and Kharchenko I 1971 *SOVIET PHYSICS JETP* **32**
- [5] Ginzburg V and Frank I 1946 *Journ. of Experimental and Theoretical Physics (JETP)* **V 16** 15–26
- [6] Nezlin M V 1976 *Soviet Physics Uspekhi* **19** 946
- [7] Santini F, Barbato E, De Marco F, Podda S and Tuccillo A 1984 *Physical review letters* **52** 1300
- [8] Kho T and Lin A 1988 *Physical Review A* **38** 2883
- [9] Wang Y, Qin H and Liu J 2016 *Physics of Plasmas* **23**
- [10] Guo Z, McDevitt C J and Tang X Z 2018 *Physics of Plasmas* **25**
- [11] Liu C, Hirvijoki E, Fu G Y, Brennan D P, Bhattacharjee A and Paz-Soldan C 2018 *Physical Review Letters* **120** 265001
- [12] Shi X, Lin X, Kaminer I, Gao F, Yang Z, Joannopoulos J D, Soljačić M and Zhang B 2018 *Nature Physics* **14** 1001–1005
- [13] Filatov L and Melnikov V 2021 *Geomagnetism and Aeronomy* **61** 1183–1188
- [14] Artsimovich L, Bobrovskii G, Mirnov S, Razumova K and Strelkov V 1967 *Soviet Atomic Energy* **22** 325–331
- [15] Kadomtsev B and Pogutse O 1968 *Sov. Phys. JETP* **26** 1146–1150
- [16] Spong D A, Heidbrink W, Paz-Soldan C, Du X, Thome K, Van Zeeland M, Collins C, Lvovskiy A, Moyer R, Austin M *et al.* 2018 *Physical Review Letters* **120** 155002
- [17] Liu Y, Zhou T, Hu Y, Liu C, Zhou R, Zhang T, Zhao H, Zhu Z, Liu X and Ling B 2019 *Nuclear Fusion* **59** 106024
- [18] Gorozhanin D, Ivanov B, Khoruzhiy V, Onishchenko I and Miroshnichenko V 1997
- [19] Sajjad S *et al.* 2007 *Chinese Physics Letters* **24** 3195
- [20] Castejon F and Eguilior S 2003 Particle dynamics under quasi-linear interaction with electromagnetic waves Tech. rep. Centro de Investigaciones Energeticas
- [21] Zhang Q, Zhang Y, Tang Q and Tang X Z 2024 *arXiv preprint arXiv:2409.15830*
- [22] Ginzburg N 1979 *Radiophysics and Quantum Electronics* **22** 323–330
- [23] Ginzburg V 2005 *Acoustical Physics* **51** 11–23
- [24] Coppi B, Pegoraro F, Pozzoli R and Rewoldt G 1976 *Nuclear Fusion* **16** 309

- [25] Frolov V and Ginzburg V 1986 *Physics Letters A* **116** 423–426
- [26] Ginzburg V L 1996 *Physics-Uspekhi* **39** 973
- [27] Arnaut H and Barbosa G 2000 *Physical review letters* **85** 286
- [28] Kiang D and Young K 2008 *American Journal of Physics* **76** 1012–1014
- [29] Liu H, He X, Chen S and Zhang W 2004 *arXiv preprint physics/0411183*
- [30] Qian B L 1999 *IEEE transactions on plasma science* **27** 1578–1581
- [31] Weyssow B 1990 *Journal of plasma physics* **43** 119–139
- [32] Gogoberidze G and Machabeli G 2005 *Monthly Notices of the Royal Astronomical Society* **364** 1363–1366
- [33] Roberts C S and Buchsbaum S 1964 *Physical Review* **135** A381
- [34] Bourdier A and Gond S 2000 *Physical Review E* **62** 4189
- [35] Nusinovich G S, Korol M and Jerby E 1999 *Physical Review E* **59** 2311
- [36] Nusinovich G S, Latham P and Dumbrajs O 1995 *Physical Review E* **52** 998
- [37] Qian B L 2000 *Physics of Plasmas* **7** 537–543
- [38] Zhang R, Liu J, Qin H, Wang Y, He Y and Sun Y 2015 *Physics of Plasmas* **22**