

补充材料: Dzyaloshinskii-Moriya (DM) 相互作用推导

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1 Downfolding 二阶微扰

TBA.

2 化简计算二阶微扰项

展开并计算二阶微扰项是一项繁琐但直接的工作. 下面, 我们将具体展示该工作是如何进行的. 同时, 该文档还旨在向您展示如何正确地进行复杂公式推导, 因此行文描述可能略显冗长, 还请耐心评读.

2.1 基本目标

我们具体的目标如下: 计算 *Downfolding* 方法给出的二阶微扰哈密顿量,

$$\hat{H}_M = -\frac{1}{U} \hat{T}^\dagger \hat{T} \quad (1)$$

其中,

$$\begin{aligned} \hat{T} = & b_{n'n}(\mathbf{R}' - \mathbf{R}) \left[\hat{\alpha}_{n'\uparrow}^\dagger(\mathbf{R}') \hat{\alpha}_{n\uparrow}(\mathbf{R}) + \hat{\alpha}_{n'\downarrow}^\dagger(\mathbf{R}') \hat{\alpha}_{n\downarrow}(\mathbf{R}) \right] \\ & + C_{n'n}^z(\mathbf{R}' - \mathbf{R}) \left[\hat{\alpha}_{n'\uparrow}^\dagger(\mathbf{R}') \hat{\alpha}_{n\uparrow}(\mathbf{R}) - \hat{\alpha}_{n'\downarrow}^\dagger(\mathbf{R}') \hat{\alpha}_{n\downarrow}(\mathbf{R}) \right] \\ & + C_{n'n}^-(\mathbf{R}' - \mathbf{R}) \hat{\alpha}_{n'\uparrow}^\dagger(\mathbf{R}') \hat{\alpha}_{n\downarrow}(\mathbf{R}) \\ & + C_{n'n}^+(\mathbf{R}' - \mathbf{R}) \hat{\alpha}_{n'\downarrow}^\dagger(\mathbf{R}') \hat{\alpha}_{n\uparrow}(\mathbf{R}) + h.c. \end{aligned} \quad (2)$$

2.2 推导前的准备工作

2.2.1 简化记号

将式(2)用简单符号表示,¹

$$\begin{aligned}\hat{T} &= b(\hat{\alpha}_{2\uparrow}^\dagger \hat{\alpha}_{1\uparrow} + \hat{\alpha}_{2\downarrow}^\dagger \hat{\alpha}_{1\downarrow}) + C_z(\hat{\alpha}_{2\uparrow}^\dagger \hat{\alpha}_{1\uparrow} - \hat{\alpha}_{2\downarrow}^\dagger \hat{\alpha}_{1\downarrow}) + C_- \hat{\alpha}_{2\uparrow}^\dagger \hat{\alpha}_{1\downarrow} + C_+ \hat{\alpha}_{2\downarrow}^\dagger \hat{\alpha}_{1\uparrow} + h.c. \\ &= (b + C_z) \hat{\alpha}_{2\uparrow}^\dagger \hat{\alpha}_{1\uparrow} + (b - C_z) \hat{\alpha}_{2\downarrow}^\dagger \hat{\alpha}_{1\downarrow} + C_- \hat{\alpha}_{2\uparrow}^\dagger \hat{\alpha}_{1\downarrow} + C_+ \hat{\alpha}_{2\downarrow}^\dagger \hat{\alpha}_{1\uparrow} + h.c.\end{aligned}\quad (3)$$

其中 $h.c.$ 代指厄米共轭项 (dagger, †), 即将前四项的厄米共轭后完整地加在后面. 进而算符 \hat{T} 中含有八项跃迁. 不难发现, \hat{T} 中的前四项代表 1 格点到 2 格点的电子跃迁, 后四项则是格点 2 到格点 1 的电子跃迁. 因此 \hat{T} 算符本身包含了 1,2 格点间所有的跃迁可能. 即,

$$\hat{T} = \hat{t}_{1 \rightarrow 2} + \hat{t}_{1 \rightarrow 2}^\dagger = \hat{t}_{1 \rightarrow 2} + \hat{t}_{2 \rightarrow 1} \quad (4)$$

其中 $\hat{t}_{1 \rightarrow 2}$ 代表 1 格点到 2 格点的四项跃迁, 且我们定义 $\hat{t}_{2 \rightarrow 1} = \hat{t}_{1 \rightarrow 2}^\dagger$.² 将系统全部正反跃迁的可能通路加全, 这保证了哈密顿量的厄米性, 进而保证了粒子数守恒, 使得该系统有稳定的束缚态.

接下来, 我们使用符号 t 来简单表示 $\hat{t}_{1 \rightarrow 2}$. 式(1)可简化为,

$$\begin{aligned}\hat{H}_M &= -\frac{1}{U} \hat{T}^\dagger \hat{T} \\ &= -\frac{1}{U} (t + t^\dagger)^\dagger (t + t^\dagger) \\ &= -\frac{1}{U} (t^\dagger + t)(t + t^\dagger) \\ &= -\frac{1}{U} (t^\dagger t + t^\dagger t^\dagger + tt + tt^\dagger)\end{aligned}\quad (5)$$

2.2.2 公式对称性观察

容易验证, $t^\dagger t^\dagger$ 与 tt 都是 0. 因为我们此处只考虑一个电子的厄米系统, 这两项都是粒子数不守恒的. 或更朴素地, 我们关心的任意电子态作用在这两个算符上的结果都是 0.

¹对公式记号的简化是非常有必要的, 这使得我们在纸上书写公式时可以将更多的脑力放在符号间的运算, 而非符号正确性的比对上. **简化符号应该简明扼要地包含该符号所蕴含的所有必要信息.** 而最后在实际成文时, 考虑到科学性和严谨性, 应该再将简化符号扩充为包含足够细节的复杂符号, 这使得我们的文章可以省略大幅描述公式意义的篇幅, 而将重点放在讨论公式背后的物理上来.

²注意, 该处我们还未对相关系数做细致考察, 只是声明如果单单从产生湮灭算符角度看, $\hat{t}_{1 \rightarrow 2}^\dagger$ 应该代表的是 2 格点到 1 格点的跃迁

另外, 在式(4)中我们定义了 $\hat{t}_{2 \rightarrow 1} = \hat{t}_{1 \rightarrow 2}^\dagger$. 而通过仔细对比就不难发现, **算符 $\hat{t}_{1 \rightarrow 2}$ 与 $\hat{t}_{2 \rightarrow 1}$ 的区别仅仅是 1,2 指标互换位置**. 也就是说, 将 t 算符的 1,2 指标互换, 就可以将其变为 t^\dagger 算符.³ 于是,

$$\begin{aligned}\hat{H}_M &= -\frac{1}{U}(t^\dagger t + tt^\dagger) \\ &= -\frac{1}{U}(\hat{t}_{1 \rightarrow 2}^\dagger \hat{t}_{1 \rightarrow 2} + \hat{t}_{2 \rightarrow 1}^\dagger \hat{t}_{2 \rightarrow 1}) \\ &= -\frac{1}{U}[t^\dagger t + (1 \Leftrightarrow 2)]\end{aligned}\quad (6)$$

其中 $(1 \Leftrightarrow 2)$ 代表前项 1,2 指标互换后的项. 换言之, 如果我们算出了 $t^\dagger t$, 只需要将其结果中的 1,2 指标互换位置, 就可以立刻得到 $\hat{t}_{2 \rightarrow 1}^\dagger \hat{t}_{2 \rightarrow 1}$ 的简式, 而该简式将恰好等于 tt^\dagger .⁴

应该特别注意的是, 简化表达的系数 b, C_z, C_\pm 是暗含 (n, R) 指标的. 当 1,2 指标交换后, 这些系数的变化如下,

$$b_{nn'}(\mathbf{R} - \mathbf{R}') = b_{n'n}^*(\mathbf{R}' - \mathbf{R}) \quad (7a)$$

$$C_{nn'}^z(\mathbf{R} - \mathbf{R}') = C_{n'n}^{z*}(\mathbf{R}' - \mathbf{R}) \quad (7b)$$

$$C_{nn'}^\pm(\mathbf{R} - \mathbf{R}') = C_{n'n}^{\mp*}(\mathbf{R}' - \mathbf{R}) \quad (7c)$$

若设 $C_\pm = C_x \pm iC_y$, 则式(7c)可化为,

$$C_{nn'}^x(\mathbf{R} - \mathbf{R}') = C_{n'n}^{x*}(\mathbf{R}' - \mathbf{R}) \quad (8a)$$

$$C_{nn'}^y(\mathbf{R} - \mathbf{R}') = C_{n'n}^{y*}(\mathbf{R}' - \mathbf{R}) \quad (8b)$$

令 $\mathbf{C} = (C_x, C_y, C_z)$, 则

$$\mathbf{C}_{nn'}(\mathbf{R} - \mathbf{R}') = \mathbf{C}_{n'n}^*(\mathbf{R}' - \mathbf{R}) \quad (9)$$

即经历指标互换后, b 会变为 b^* , \mathbf{C} 会变为 \mathbf{C}^* . 上述性质均由系数的定义直接决定.⁵

于是, 我们只要求出 $t^\dagger t$ 的结果, 而后将其结果中的 1,2 指标互换就可以得到 tt^\dagger . 两项相加, 就可以得到 $\hat{T}^\dagger \hat{T}$ 的完整表达式. 到此为止, 我们将

³这一结论是相当重要的, 在后续的推到中我们会看到, 该结论并没有听起来这么自然和平庸.

⁴请注意, 此处对最终结果进行的 1,2 指标互换的操作, 将不再等价于直接对其做厄米共轭. 因为前者, $t^\dagger t$ 内部交换指标后等于 tt^\dagger ; 而后者, $t^\dagger t$ 的厄米共轭还是 $t^\dagger t$. 而显然 t 和 t^\dagger 是不对易的.

⁵如果您没有发现这一点, 那么当实际上手时, 您可能会非常轻易地宣布前文的描述是错的, 因为“显然” C_\pm 所对应的项在厄米共轭之后不是简单的交换 1,2 指标就能和原先相等的. 事实上他们“角色互换”了. 但由于 \mathbf{C} 也暗含 1,2 指标, 最终整个哈密顿量仍是形式不变的. 另外, 如果您认为这段不好理解, 不妨实际上手做一做, 这样可以更好地体会本段含义.

一个含 $8 \times 8 = 64$ 项的表达式, 化为了一个 $4 \times 4 = 16$ 项的化简问题. 在此过程中, 我们实际上是使用了“解的对称性”. 接下来我们会看到, 在剩余的 16 项中, 通过合理采纳相关对称性, 也可以极大地简化运算, 减少出错.

2.2.3 算符间的基本关系

注意到, 费米子的产生湮灭算符 ($\hat{\alpha}_{i\sigma}^\dagger, \hat{\alpha}_{i\sigma}$), 粒子数算符 ($\hat{n}_{i\sigma}$), 自旋算符 (\hat{S}_i) 之间有这样几个关系:

$$\hat{\alpha}_{i\sigma}\hat{\alpha}_{j\sigma'} + \hat{\alpha}_{i\sigma}\hat{\alpha}_{j\sigma'} = 0 \quad (10a)$$

$$\hat{\alpha}_{i\sigma}^\dagger\hat{\alpha}_{j\sigma'}^\dagger + \hat{\alpha}_{i\sigma}^\dagger\hat{\alpha}_{j\sigma'}^\dagger = 0 \quad (10b)$$

$$\hat{\alpha}_{i\sigma}\hat{\alpha}_{j\sigma'}^\dagger + \hat{\alpha}_{j\sigma'}^\dagger\hat{\alpha}_{i\sigma} = \delta_{ij}\delta_{\sigma\sigma'} \quad (10c)$$

$$\hat{\alpha}_{i\sigma}^\dagger\hat{\alpha}_{i\sigma} = \hat{n}_{i\sigma} \quad (10d)$$

$$\hat{\alpha}_{i\uparrow}^\dagger\hat{\alpha}_{i\uparrow} + \hat{\alpha}_{i\downarrow}^\dagger\hat{\alpha}_{i\downarrow} = \hat{n}_i \quad (10e)$$

$$\frac{1}{2}(\hat{\alpha}_{i\uparrow}^\dagger\hat{\alpha}_{i\uparrow} - \hat{\alpha}_{i\downarrow}^\dagger\hat{\alpha}_{i\downarrow}) = \hat{S}_i^z \quad (10f)$$

$$\hat{\alpha}_{i\uparrow}^\dagger\hat{\alpha}_{i\downarrow} = \hat{S}_i^+ \quad (10g)$$

$$\hat{\alpha}_{i\downarrow}^\dagger\hat{\alpha}_{i\uparrow} = \hat{S}_i^- \quad (10h)$$

其中, i, j 表示不同格点 (的不同轨道), σ, σ' 为自旋指标. 自旋升降算符定义为 $\hat{S}_i^\pm = \hat{S}_i^x \pm i\hat{S}_i^y$, 总电子数算符 $\hat{n}_i = \hat{n}_{i\uparrow} + \hat{n}_{i\downarrow}$.

同时注意到, 我们考虑的体系是处在不同格点处的两个轨道之间的单电子跃迁, 我们已经将双电子态所对应的高能态空间通过 *Downfolding* 技术, “压缩”到了单电子空间中. 这意味着在我们所关心的态中, 每个轨道上有且仅有一个电子. 也即, 对于我们关心的态, 粒子数算符 \hat{n}_i 始终为单位算符, $\hat{n}_i = 1$. 于是, 我们在推导中额外引入了下面一个约束条件,

$$\hat{\alpha}_{i\uparrow}^\dagger\hat{\alpha}_{i\uparrow} = 1 - \hat{\alpha}_{i\downarrow}^\dagger\hat{\alpha}_{i\downarrow} \quad (11)$$

结合式(10)和式(11)可以立刻推出,

$$\hat{\alpha}_{i\downarrow}\hat{\alpha}_{i\downarrow}^\dagger = \hat{\alpha}_{i\uparrow}^\dagger\hat{\alpha}_{i\uparrow} = \hat{n}_{i\uparrow} = \frac{1}{2} + \hat{S}_i^z \quad (12a)$$

$$\hat{\alpha}_{i\uparrow}\hat{\alpha}_{i\uparrow}^\dagger = \hat{\alpha}_{i\downarrow}^\dagger\hat{\alpha}_{i\downarrow} = \hat{n}_{i\downarrow} = \frac{1}{2} - \hat{S}_i^z \quad (12b)$$

2.3 公式推导

2.3.1 原项展开

为了方便, 我们首先将 t^\dagger 和 t 清晰地写出来, 所有 α 上的 “hat” 都被省略, 以此缩减手写成本.

$$t^\dagger = (b^* + C_z^*)\alpha_{1\uparrow}^\dagger\alpha_{2\uparrow} + (b^* - C_z^*)\alpha_{1\downarrow}^\dagger\alpha_{2\downarrow} + C_-^*\alpha_{1\downarrow}^\dagger\alpha_{2\uparrow} + C_+^*\alpha_{1\uparrow}^\dagger\alpha_{2\downarrow} \quad (13a)$$

$$t = (b + C_z)\alpha_{2\uparrow}^\dagger\alpha_{1\uparrow} + (b - C_z)\alpha_{2\downarrow}^\dagger\alpha_{1\downarrow} + C_-\alpha_{2\uparrow}^\dagger\alpha_{1\downarrow} + C_+\alpha_{2\downarrow}^\dagger\alpha_{1\uparrow} \quad (13b)$$

接下来, 我们需要写出对应的 16 项分式. 注意 t^\dagger 在前, t 在后. α 是算符, 不能轻易调动顺序; b, C 是复数, 可以自由换位.⁶ 令 $\hat{h}_M = t^\dagger t$,

$$\begin{aligned} \hat{h}_M = & (b^* + C_z^*) \alpha_{1\uparrow}^\dagger\alpha_{2\uparrow} & (b + C_z) & \alpha_{2\uparrow}^\dagger\alpha_{1\uparrow} \\ & + (b^* + C_z^*) \alpha_{1\uparrow}^\dagger\alpha_{2\uparrow} & (b - C_z) & \alpha_{2\downarrow}^\dagger\alpha_{1\downarrow} \\ & + (b^* + C_z^*) \alpha_{1\uparrow}^\dagger\alpha_{2\uparrow} & C_- & \alpha_{2\uparrow}^\dagger\alpha_{1\downarrow} \\ & + (b^* + C_z^*) \alpha_{1\uparrow}^\dagger\alpha_{2\uparrow} & C_+ & \alpha_{2\downarrow}^\dagger\alpha_{1\uparrow} \\ & + (b^* - C_z^*) \alpha_{1\downarrow}^\dagger\alpha_{2\downarrow} & (b + C_z) & \alpha_{2\uparrow}^\dagger\alpha_{1\uparrow} \\ & + (b^* - C_z^*) \alpha_{1\downarrow}^\dagger\alpha_{2\downarrow} & (b - C_z) & \alpha_{2\downarrow}^\dagger\alpha_{1\downarrow} \\ & + (b^* - C_z^*) \alpha_{1\downarrow}^\dagger\alpha_{2\downarrow} & C_- & \alpha_{2\uparrow}^\dagger\alpha_{1\downarrow} \\ & + (b^* - C_z^*) \alpha_{1\downarrow}^\dagger\alpha_{2\downarrow} & C_+ & \alpha_{2\downarrow}^\dagger\alpha_{1\uparrow} \\ & + C_-^* & \alpha_{1\downarrow}^\dagger\alpha_{2\uparrow} & (b + C_z) & \alpha_{2\uparrow}^\dagger\alpha_{1\uparrow} \\ & + C_-^* & \alpha_{1\downarrow}^\dagger\alpha_{2\uparrow} & (b - C_z) & \alpha_{2\downarrow}^\dagger\alpha_{1\downarrow} \\ & + C_-^* & \alpha_{1\downarrow}^\dagger\alpha_{2\uparrow} & C_- & \alpha_{2\uparrow}^\dagger\alpha_{1\downarrow} \\ & + C_-^* & \alpha_{1\downarrow}^\dagger\alpha_{2\uparrow} & C_+ & \alpha_{2\downarrow}^\dagger\alpha_{1\uparrow} \\ & + C_+^* & \alpha_{1\uparrow}^\dagger\alpha_{2\downarrow} & (b + C_z) & \alpha_{2\uparrow}^\dagger\alpha_{1\uparrow} \\ & + C_+^* & \alpha_{1\uparrow}^\dagger\alpha_{2\downarrow} & (b - C_z) & \alpha_{2\downarrow}^\dagger\alpha_{1\downarrow} \\ & + C_+^* & \alpha_{1\uparrow}^\dagger\alpha_{2\downarrow} & C_- & \alpha_{2\uparrow}^\dagger\alpha_{1\downarrow} \\ & + C_+^* & \alpha_{1\uparrow}^\dagger\alpha_{2\downarrow} & C_+ & \alpha_{2\downarrow}^\dagger\alpha_{1\uparrow} \end{aligned} \quad (14)$$

⁶书写该处时应该特别小心, 因为接下来的复杂运算都是基于该处的, 稳扎稳打, 步步为营. 推公式切忌心浮气躁, 想得到结果又不舍得花费精力和时间.

$$\begin{aligned}
\hat{h}_M = & (b + C_z)(b^* + C_z^*) \alpha_{1\uparrow}^\dagger \alpha_{2\uparrow} \alpha_{2\uparrow}^\dagger \alpha_{1\uparrow} \\
& + (b - C_z)(b^* + C_z^*) \alpha_{1\uparrow}^\dagger \alpha_{2\uparrow} \alpha_{2\downarrow}^\dagger \alpha_{1\downarrow} \\
& + C_-(b^* + C_z^*) \alpha_{1\uparrow}^\dagger \alpha_{2\uparrow} \alpha_{2\uparrow}^\dagger \alpha_{1\downarrow} \\
& + C_+(b^* + C_z^*) \alpha_{1\uparrow}^\dagger \alpha_{2\uparrow} \alpha_{2\downarrow}^\dagger \alpha_{1\uparrow} \\
& + (b + C_z)(b^* - C_z^*) \alpha_{1\downarrow}^\dagger \alpha_{2\downarrow} \alpha_{2\uparrow}^\dagger \alpha_{1\uparrow} \\
& + (b - C_z)(b^* - C_z^*) \alpha_{1\downarrow}^\dagger \alpha_{2\downarrow} \alpha_{2\downarrow}^\dagger \alpha_{1\downarrow} \\
& + C_-(b^* - C_z^*) \alpha_{1\downarrow}^\dagger \alpha_{2\downarrow} \alpha_{2\uparrow}^\dagger \alpha_{1\downarrow} \\
& + C_+(b^* - C_z^*) \alpha_{1\downarrow}^\dagger \alpha_{2\downarrow} \alpha_{2\downarrow}^\dagger \alpha_{1\uparrow} \\
& + (b + C_z)C_-^* \alpha_{1\downarrow}^\dagger \alpha_{2\uparrow} \alpha_{2\uparrow}^\dagger \alpha_{1\uparrow} \\
& + (b - C_z)C_-^* \alpha_{1\downarrow}^\dagger \alpha_{2\uparrow} \alpha_{2\downarrow}^\dagger \alpha_{1\downarrow} \\
& + C_-C_-^* \alpha_{1\downarrow}^\dagger \alpha_{2\uparrow} \alpha_{2\uparrow}^\dagger \alpha_{1\downarrow} \\
& + C_+C_-^* \alpha_{1\downarrow}^\dagger \alpha_{2\uparrow} \alpha_{2\downarrow}^\dagger \alpha_{1\uparrow} \\
& + (b + C_z)C_+^* \alpha_{1\uparrow}^\dagger \alpha_{2\downarrow} \alpha_{2\uparrow}^\dagger \alpha_{1\uparrow} \\
& + (b - C_z)C_+^* \alpha_{1\uparrow}^\dagger \alpha_{2\downarrow} \alpha_{2\downarrow}^\dagger \alpha_{1\downarrow} \\
& + C_-C_+^* \alpha_{1\uparrow}^\dagger \alpha_{2\downarrow} \alpha_{2\uparrow}^\dagger \alpha_{1\downarrow} \\
& + C_+C_+^* \alpha_{1\uparrow}^\dagger \alpha_{2\downarrow} \alpha_{2\downarrow}^\dagger \alpha_{1\uparrow}
\end{aligned} \tag{15}$$

结合式(10)和式(12), 我们可以继续对式(15)做如下化简⁷,

$$\begin{aligned}
\hat{h}_M = & (|b|^2 + |C_z|^2 + bC_z^* + b^*C_z) \cdot (n_{1\uparrow}n_{2\downarrow}) \\
& + (|b|^2 - |C_z|^2 + bC_z^* - b^*C_z) \cdot (-S_1^+S_2^-) \\
& + (b^*C_- + C_z^*C_-) \cdot (S_1^+n_{2\downarrow}) \\
& + (b^*C_+ + C_z^*C_+) \cdot (-n_{1\uparrow}S_2^-) \\
& + (|b|^2 - |C_z|^2 - bC_z^* + b^*C_z) \cdot (-S_1^-S_2^+) \\
& + (|b|^2 + |C_z|^2 - bC_z^* - b^*C_z) \cdot (n_{1\downarrow}n_{2\uparrow}) \\
& + (b^*C_- - C_z^*C_-) \cdot (-n_{1\downarrow}S_2^+) \\
& + (b^*C_+ - C_z^*C_+) \cdot (S_1^-n_{2\uparrow}) \\
& + (bC_-^* + C_zC_-^*) \cdot (S_1^-n_{2\downarrow}) \\
& + (bC_-^* - C_zC_-^*) \cdot (-n_{1\downarrow}S_2^-) \\
& + C_-C_-^* \cdot (n_{1\downarrow}n_{2\downarrow}) \\
& + C_+C_-^* \cdot (-S_1^-S_2^-) \\
& + (bC_+^* + C_zC_+^*) \cdot (-n_{1\uparrow}S_2^+) \\
& + (bC_+^* - C_zC_+^*) \cdot (S_1^+n_{2\uparrow}) \\
& + C_-C_+^* \cdot (-S_1^+S_2^+) \\
& + C_+C_+^* \cdot (n_{1\uparrow}n_{2\uparrow})
\end{aligned} \tag{16}$$

2.3.2 展开结果分类

通过一些其他的途径, 我们已经知晓, 各向同性的交换是 $|b|^2$ 的效果, DM 相互作用是 $|b||C|$ 的效果, 对称的各向异性交换相互作用是 $|C|^2$ 的效果. 于是, 我们可以对式(16)中的各项按所含 b, C 参数做如下分类. 令 $\hat{h}_M = \hat{h}_M^{(b^2)} + \hat{h}_M^{(bC)} + \hat{h}_M^{(C^2)}$, 其中,

$$\hat{h}_M^{(b^2)} = |b|^2(n_{1\uparrow}n_{2\downarrow} + n_{1\downarrow}n_{2\uparrow} - S_1^+S_2^- - S_1^-S_2^+) \tag{17}$$

$$\begin{aligned}
\hat{h}_M^{(bC)} = & bC_z^*(n_{1\uparrow}n_{2\downarrow} - n_{1\downarrow}n_{2\uparrow} + S_1^-S_2^+ - S_1^+S_2^-) \\
& + b^*C_z(n_{1\uparrow}n_{2\downarrow} - n_{1\downarrow}n_{2\uparrow} + S_1^+S_2^- - S_1^-S_2^+) \\
& + bC_-^*(S_1^-n_{2\downarrow} - n_{1\downarrow}S_2^-) \\
& + b^*C_-(S_1^+n_{2\downarrow} - n_{1\downarrow}S_2^+) \\
& + bC_+^*(S_1^+n_{2\uparrow} - n_{1\uparrow}S_2^+) \\
& + b^*C_+(S_1^-n_{2\uparrow} - n_{1\uparrow}S_2^-)
\end{aligned} \tag{18}$$

⁷为了用笔书写时的简单, 我们依然略去 hat 记号.

$$\begin{aligned}
\hat{h}_M^{(C2)} = & |C_z|^2(n_{1\uparrow}n_{2\downarrow} + n_{1\downarrow}n_{2\uparrow} + S_1^+ S_2^- + S_1^- S_2^+) \\
& + |C_-|^2 n_{1\downarrow}n_{2\downarrow} + |C_+|^2 n_{1\uparrow}n_{2\uparrow} \\
& + C_z C_-^* (S_1^- n_{2\downarrow} + n_{1\downarrow} S_2^-) \\
& + C_z^* C_- (S_1^+ n_{2\downarrow} + n_{1\downarrow} S_2^+) \\
& + C_z C_+^* (-S_1^+ n_{2\uparrow} - n_{1\uparrow} S_2^+) \\
& + C_z^* C_+ (-S_1^- n_{2\uparrow} - n_{1\uparrow} S_2^-) \\
& + C_- C_+^* (-S_1^+ S_2^+) + C_-^* C_+ (-S_1^- S_2^-)
\end{aligned} \tag{19}$$

2.3.3 各向同性交换相互作用: $|b|^2$ 项

将式(10)和式(12)中的条件代入式(17)可得,

$$\begin{aligned}
\hat{h}_M^{(b2)} = & |b|^2 \left[\left(\frac{1}{2} + S_1^z \right) \left(\frac{1}{2} - S_2^z \right) + \left(\frac{1}{2} - S_1^z \right) \left(\frac{1}{2} + S_2^z \right) - 2S_1^x S_2^x - 2S_1^z S_2^z \right] \\
= & |b|^2 \left(\frac{1}{2} - 2S_1^z S_2^z - 2S_1^x S_2^x - 2S_1^y S_2^y \right) \\
\stackrel{\text{eff.}}{=} & -2|b|^2 \mathbf{S}_1 \cdot \mathbf{S}_2
\end{aligned} \tag{20}$$

2.3.4 DM 交换相互作用: $|b||\mathbf{C}|$ 项

其次来看 $|b||\mathbf{C}|$ 项,

$$\begin{aligned}
\hat{h}_M^{(bC)} = & bC_z^* (n_{1\uparrow}n_{2\downarrow} - n_{1\downarrow}n_{2\uparrow} + S_1^- S_2^+ - S_1^+ S_2^-) + h.c. \\
& + bC_-^* (S_1^- n_{2\downarrow} - n_{1\downarrow} S_2^-) + h.c. \\
& + bC_+^* (S_1^+ n_{2\uparrow} - n_{1\uparrow} S_2^+) + h.c.
\end{aligned} \tag{21}$$

其中, 式(21)的第一二项,

$$\begin{aligned}
& bC_z^* (n_{1\uparrow}n_{2\downarrow} - n_{1\downarrow}n_{2\uparrow} + S_1^- S_2^+ - S_1^+ S_2^-) + h.c. \\
= & bC_z^* \left[\left(\frac{1}{2} + S_1^z \right) \left(\frac{1}{2} - S_2^z \right) - \left(\frac{1}{2} - S_1^z \right) \left(\frac{1}{2} + S_2^z \right) \right. \\
& \left. + (S_1^x - iS_1^y)(S_2^x + iS_2^y) - (S_1^x + iS_1^y)(S_2^x - iS_2^y) \right] + h.c. \\
= & bC_z^* [(S_1^z - S_2^z) + 2i(S_1^x S_2^y - S_1^y S_2^x)] + h.c. \\
= & (bC_z^* + b^* C_z)(S_1^z - S_2^z) + 2i(bC_z^* - b^* C_z)(S_1^x S_2^y - S_1^y S_2^x)
\end{aligned} \tag{22}$$

式(21)的第三到六项,

$$\begin{aligned}
& bC_-^*(S_1^- n_{2\downarrow} - n_{1\downarrow} S_2^-) + bC_+^*(S_1^+ n_{2\uparrow} - n_{1\uparrow} S_2^+) + h.c. \\
& = b(C_x^* + iC_y^*)[(S_1^x - iS_1^y)(\frac{1}{2} - S_2^z) - (\frac{1}{2} - S_1^z)(S_2^x - iS_2^y)] + h.c. \\
& + b(C_x^* - iC_y^*)[(S_1^x + iS_1^y)(\frac{1}{2} + S_2^z) - (\frac{1}{2} + S_1^z)(S_2^x + iS_2^y)] + h.c. \\
& = b(C_x^* + iC_y^*)(\frac{1}{2}S_1^x - \frac{i}{2}S_1^y - S_2^z S_1^x + iS_2^z S_1^y - \frac{1}{2}S_2^x + \frac{i}{2}S_2^y + S_1^z S_2^x - iS_1^z S_2^y) + h.c. \\
& + b(C_x^* - iC_y^*)(\frac{1}{2}S_1^x + \frac{i}{2}S_1^y + S_2^z S_1^x + iS_2^z S_1^y - \frac{1}{2}S_2^x - \frac{i}{2}S_2^y - S_1^z S_2^x - iS_1^z S_2^y) + h.c. \\
& = bC_x^*[(S_1^x - S_2^x) + 2i(S_2^z S_1^y - S_1^z S_2^y)] + ibC_y^*[-i(S_1^y - S_2^y) - 2S_2^z S_1^x + 2S_1^z S_2^x] + h.c. \\
& = bC_x^*[(S_1^x - S_2^x) + 2i(S_1^y S_2^z - S_1^z S_2^y)] + bC_y^*[(S_1^y - S_2^y) + 2i(S_1^z S_2^x - S_2^z S_1^x)] + h.c. \\
& = (bC_x^* + b^*C_x)(S_1^x - S_2^x) + 2i(bC_x^* - b^*C_x)(S_1^y S_2^z - S_1^z S_2^y) \\
& + (bC_y^* + b^*C_y)(S_1^y - S_2^y) + 2i(bC_y^* - b^*C_y)(S_1^z S_2^x - S_2^z S_1^x)
\end{aligned} \tag{23}$$

于是, $|b||C|$ 项最终可化简为,

$$\begin{aligned}
\hat{h}_M^{(bC)} & = (bC_z^* + b^*C_z)(S_1^z - S_2^z) + 2i(bC_z^* - b^*C_z)(S_1^x S_2^y - S_1^y S_2^x) \\
& + (bC_x^* + b^*C_x)(S_1^x - S_2^x) + 2i(bC_x^* - b^*C_x)(S_1^y S_2^z - S_1^z S_2^y) \\
& + (bC_y^* + b^*C_y)(S_1^y - S_2^y) + 2i(bC_y^* - b^*C_y)(S_1^z S_2^x - S_2^z S_1^x) \\
& = (b\mathbf{C}^* + b^*\mathbf{C})(\mathbf{S}_1 - \mathbf{S}_2) + 2i(b\mathbf{C}^* - b^*\mathbf{C}) \cdot (\mathbf{S}_1 \times \mathbf{S}_2)
\end{aligned} \tag{24}$$

2.3.5 对称各向异性交换相互作用: $|\mathbf{C}|^2$ 项

最后看 $|\mathbf{C}|^2$ 项,

$$\begin{aligned}
\hat{h}_M^{(C^2)} & = |C_z|^2(n_{1\uparrow}n_{2\downarrow} + n_{1\downarrow}n_{2\uparrow} + S_1^+ S_2^- + S_1^- S_2^+) \\
& + C_- C_-^* n_{1\downarrow} n_{2\downarrow} + C_+ C_+^* n_{1\uparrow} n_{2\uparrow} \\
& + C_z C_-^* (+S_1^- n_{2\downarrow} + n_{1\downarrow} S_2^-) + h.c. \\
& + C_z C_+^* (-S_1^+ n_{2\uparrow} - n_{1\uparrow} S_2^+) + h.c. \\
& + C_- C_+^* (-S_1^+ S_2^+) + h.c.
\end{aligned} \tag{25}$$

式(25)的第一项,

$$\begin{aligned}
& |C_z|^2(n_{1\uparrow}n_{2\downarrow} + n_{1\downarrow}n_{2\uparrow} + S_1^+ S_2^- + S_1^- S_2^+) \\
& = |C_z|^2(\frac{1}{2} - 2S_1^z S_2^z + 2S_1^x S_2^x + 2S_1^y S_2^y) \\
& \stackrel{\text{eff}}{=} 2|C_z|^2 S_1^x S_2^x + 2|C_z|^2 S_1^y S_2^y - 2|C_z|^2 S_1^z S_2^z
\end{aligned} \tag{26}$$

式(25)的第二三项,

$$\begin{aligned}
& C_- C_-^* n_{1\downarrow} n_{2\downarrow} + C_+ C_+^* n_{1\uparrow} n_{2\uparrow} \\
&= (C_x - iC_y)(C_x^* + iC_y^*)\left(\frac{1}{2} - S_1^z\right)\left(\frac{1}{2} - S_2^z\right) \\
&+ (C_x + iC_y)(C_x^* - iC_y^*)\left(\frac{1}{2} + S_1^z\right)\left(\frac{1}{2} + S_2^z\right) \\
&= [(C_x C_x^* + C_y C_y^*) + i(C_x iC_y^* - C_y C_x^*)]\left(\frac{1}{4} - \frac{1}{2}S_1^z - \frac{1}{2}S_2^z + S_1^z S_2^z\right) \quad (27) \\
&+ [(C_x C_x^* + C_y C_y^*) - i(C_x iC_y^* - C_y C_x^*)]\left(\frac{1}{4} + \frac{1}{2}S_1^z + \frac{1}{2}S_2^z + S_1^z S_2^z\right) \\
&= (C_x C_x^* + C_y C_y^*)\left(\frac{1}{2} + 2S_1^z S_2^z\right) + i(C_x C_y^* - C_y C_x^*)(-S_1^z - S_2^z) \\
&\stackrel{\text{eff.}}{=} 2(|C_x|^2 + |C_y|^2)S_1^z S_2^z - i(C_x C_y^* - C_y C_x^*)(S_1^z + S_2^z)
\end{aligned}$$

式(25)的第四到七项,

$$\begin{aligned}
& C_z C_-^* (S_1^- n_{2\downarrow} + n_{1\downarrow} S_2^-) + C_z C_+^* (-S_1^+ n_{2\uparrow} - n_{1\uparrow} S_2^+) + h.c. \\
&= C_z (C_x^* + iC_y^*) [+(S_1^x - iS_1^y)\left(\frac{1}{2} - S_2^z\right) + \left(\frac{1}{2} - S_1^z\right)(S_2^x - iS_2^y)] + h.c. \\
&+ C_z (C_x^* - iC_y^*) [-(S_1^x + iS_1^y)\left(\frac{1}{2} + S_2^z\right) - \left(\frac{1}{2} + S_1^z\right)(S_2^x + iS_2^y)] + h.c. \\
&= C_z (C_x^* + iC_y^*) \left(+\frac{1}{2}S_1^x - \frac{i}{2}S_1^y - S_1^x S_2^z + iS_1^y S_2^z + \frac{1}{2}S_2^x - \frac{i}{2}S_2^y - S_1^z S_2^x + iS_1^z S_2^y\right) + h.c. \\
&+ C_z (C_x^* - iC_y^*) \left(-\frac{1}{2}S_1^x - \frac{i}{2}S_1^y - S_1^x S_2^z - iS_1^y S_2^z - \frac{1}{2}S_2^x - \frac{i}{2}S_2^y - S_1^z S_2^x - iS_1^z S_2^y\right) + h.c. \\
&= C_z C_x^* [-iS_1^y - 2S_1^x S_2^z - iS_2^y - 2S_1^z S_2^x] + iC_z C_y^* [S_1^x + 2iS_1^y S_2^z + S_2^x + 2iS_1^z S_2^y] + h.c. \\
&= C_z C_x^* [-i(S_1^y + S_2^y) - 2(S_1^x S_2^z + 2S_1^z S_2^x)] + C_z C_y^* [i(S_1^x + S_2^x) - 2(S_1^y S_2^z + S_1^z S_2^y)] + h.c. \\
&= -i(C_z C_x^* - C_z^* C_x)(S_1^y + S_2^y) - 2(C_z C_x^* + C_z^* C_x)(S_1^x S_2^z + S_1^z S_2^x) \\
&+ +i(C_z C_y^* - C_z^* C_y)(S_1^x + S_2^x) - 2(C_z C_y^* + C_z^* C_y)(S_1^y S_2^z + S_1^z S_2^y) \\
&= -i(C_z C_x^* - C_z^* C_x)(S_1^y + S_2^y) - 2(C_z C_x^* + C_z^* C_x)(S_1^x S_2^z + S_1^z S_2^x) \\
&+ -i(C_y C_z^* - C_z C_y^*)(S_1^x + S_2^x) - 2(C_y C_z^* + C_z C_y^*)(S_1^y S_2^z + S_1^z S_2^y) \quad (28)
\end{aligned}$$

式(25)的第八九项,

$$\begin{aligned}
& C_- C_+^* (-S_1^+ S_2^+) + h.c. \\
&= -(C_x - iC_y)(C_x^* - iC_y^*)(S_1^x + iS_1^y)(S_2^x + iS_2^y) + h.c. \\
&= -[(C_x C_x^* - C_y C_y^*) - i(C_y C_x^* + C_x C_y^*)][(S_1^x S_2^x - S_1^y S_2^y) + i(S_1^x S_2^y + S_1^y S_2^x)] + h.c. \\
&= -2(C_x C_x^* - C_y C_y^*)(S_1^x S_2^x - S_1^y S_2^y) - 2(C_y C_x^* + C_x C_y^*)(S_1^x S_2^y + S_1^y S_2^x) \\
&= -2(|C_x|^2 - |C_y|^2)S_1^x S_2^x - 2(-|C_x|^2 + |C_y|^2)S_1^y S_2^y - 2(C_y C_x^* + C_x C_y^*)(S_1^x S_2^y + S_1^y S_2^x) \quad (29)
\end{aligned}$$

因此, $|\mathbf{C}|^2$ 项化简结果为,

$$\begin{aligned}
\hat{h}_{\mathbf{M}}^{(C^2)} &= 2|C_z|^2 S_1^x S_2^x + 2|C_z|^2 S_1^y S_2^y - 2|C_z|^2 S_1^z S_2^z \\
&+ 2(|C_x|^2 + |C_y|^2) S_1^z S_2^z - i(C_x C_y^* - C_y C_x^*)(S_1^z + S_2^z) \\
&+ -i(C_z C_x^* - C_z^* C_x)(S_1^y + S_2^y) - 2(C_z C_x^* + C_z^* C_x)(S_1^x S_2^z + S_1^z S_2^x) \\
&+ -i(C_y C_z^* - C_z C_y^*)(S_1^x + S_2^x) - 2(C_y C_z^* + C_z C_y^*)(S_1^y S_2^z + S_1^z S_2^y) \\
&+ -2(|C_x|^2 - |C_y|^2) S_1^x S_2^x - 2(-|C_x|^2 + |C_y|^2) S_1^y S_2^y - 2(C_y C_x^* + C_x C_y^*)(S_1^x S_2^y + S_1^y S_2^x) \\
&= -2(|C_x|^2 - |C_y|^2 - |C_z|^2) S_1^x S_2^x \\
&+ -2(-|C_x|^2 + |C_y|^2 - |C_z|^2) S_1^y S_2^y \\
&+ -2(-|C_x|^2 - |C_y|^2 + |C_z|^2) S_1^z S_2^z \\
&+ -2(C_z C_x^* + C_z^* C_x)(S_1^z S_2^x + S_1^x S_2^z) \\
&+ -2(C_y C_z^* + C_z C_y^*)(S_1^y S_2^z + S_1^z S_2^y) \\
&+ -2(C_y C_x^* + C_x C_y^*)(S_1^x S_2^y + S_1^y S_2^x) \\
&+ -i(C_x C_y^* - C_y C_x^*)(S_1^z + S_2^z) \\
&+ -i(C_z C_x^* - C_z^* C_x)(S_1^y + S_2^y) \\
&+ -i(C_y C_z^* - C_z C_y^*)(S_1^x + S_2^x) \\
&= \begin{pmatrix} S_1^x \\ S_1^y \\ S_1^z \end{pmatrix} \gamma(S_2^x, S_2^y, S_2^z) - i(\mathbf{C} \times \mathbf{C}^*) \cdot (\mathbf{S}_1 + \mathbf{S}_2) \\
&= \mathbf{S}_1 \cdot \boldsymbol{\gamma} \cdot \mathbf{S}_2 - i(\mathbf{C} \times \mathbf{C}^*) \cdot (\mathbf{S}_1 + \mathbf{S}_2)
\end{aligned} \tag{30}$$

其中,

$$\gamma = -2(\mathbf{C} \otimes \mathbf{C}^* + \mathbf{C}^* \otimes \mathbf{C} - \mathbb{I} \mathbf{C} \cdot \mathbf{C}^*) \tag{31}$$

注意到,

$$\gamma^\dagger = \gamma^* = \gamma \tag{32}$$

2.3.6 结果合并

因此,

$$\begin{aligned}
t^\dagger t &= \hat{h}_{\mathbf{M}} = \hat{h}_{\mathbf{M}}^{(b^2)} + \hat{h}_{\mathbf{M}}^{(b\mathbf{C})} + \hat{h}_{\mathbf{M}}^{(C^2)} \\
&= -2|b|^2 \mathbf{S}_1 \cdot \mathbf{S}_2 \\
&+ (b\mathbf{C}^* + b^*\mathbf{C})(\mathbf{S}_1 - \mathbf{S}_2) + 2i(b\mathbf{C}^* + b^*\mathbf{C}) \cdot (\mathbf{S}_1 \times \mathbf{S}_2) \\
&+ \mathbf{S}_1 \cdot \boldsymbol{\gamma} \cdot \mathbf{S}_2 - i(\mathbf{C} \times \mathbf{C}^*) \cdot (\mathbf{S}_1 + \mathbf{S}_2)
\end{aligned} \tag{33}$$

于是,⁸

$$\begin{aligned}
\hat{H}_M &= -\frac{1}{U}\hat{T}^\dagger\hat{T} \\
&= -\frac{1}{U}(t^\dagger t + tt^\dagger) \\
&= -\frac{1}{U}[t^\dagger t + (1 \Leftrightarrow 2)] \\
&= -\frac{1}{U}[-2|b|^2\mathbf{S}_1 \cdot \mathbf{S}_2 - 2|b|^2\mathbf{S}_2 \cdot \mathbf{S}_1 \\
&\quad + (b\mathbf{C}^* + b^*\mathbf{C})(\mathbf{S}_1 - \mathbf{S}_2) + 2i(b\mathbf{C}^* - b^*\mathbf{C}) \cdot (\mathbf{S}_1 \times \mathbf{S}_2) \\
&\quad + (b^*\mathbf{C} + b\mathbf{C}^*)(\mathbf{S}_2 - \mathbf{S}_1) + 2i(b^*\mathbf{C} - b\mathbf{C}^*) \cdot (\mathbf{S}_2 \times \mathbf{S}_1) \\
&\quad + \mathbf{S}_1 \cdot \boldsymbol{\gamma} \cdot \mathbf{S}_2 - i(\mathbf{C} \times \mathbf{C}^*) \cdot (\mathbf{S}_1 + \mathbf{S}_2) \\
&\quad + \mathbf{S}_2 \cdot \boldsymbol{\gamma}^* \cdot \mathbf{S}_1 - i(\mathbf{C}^* \times \mathbf{C}) \cdot (\mathbf{S}_2 + \mathbf{S}_1)] \\
&= \frac{4|b|^2}{U}\mathbf{S}_1 \cdot \mathbf{S}_2 + \frac{4i}{U}(b^*\mathbf{C} - b\mathbf{C}^*) \cdot (\mathbf{S}_1 \times \mathbf{S}_2) + \mathbf{S}_1 \cdot \frac{-2\boldsymbol{\gamma}}{U} \cdot \mathbf{S}_2
\end{aligned} \tag{34}$$

2.4 推导结果

于是, 我们最终得到

$$\hat{H}_M = J\mathbf{S}_1 \cdot \mathbf{S}_2 + \mathbf{D} \cdot (\mathbf{S}_1 \times \mathbf{S}_2) + \mathbf{S}_1 \cdot \boldsymbol{\Gamma} \cdot \mathbf{S}_2 \tag{35a}$$

$$J = \frac{4|b|^2}{U} \tag{35b}$$

$$\mathbf{D} = \frac{4i}{U}(b^*\mathbf{C} - b\mathbf{C}^*) \tag{35c}$$

$$\boldsymbol{\Gamma} = \frac{4}{U}(\mathbf{C} \otimes \mathbf{C}^* + \mathbf{C}^* \otimes \mathbf{C} - \mathbb{I}\mathbf{C} \cdot \mathbf{C}^*) \tag{35d}$$

其中, b 为 $b_{n'n}(\mathbf{R}' - \mathbf{R})$ 的简化标记, \mathbf{C} 为 $\mathbf{C}_{n'n}(\mathbf{R}' - \mathbf{R})$ 的简化标记, \mathbf{S}_1 为 $\mathbf{S}_n(\mathbf{R})$ 的简化标记, \mathbf{S}_2 为 $\mathbf{S}_{n'}(\mathbf{R}')$ 的简化标记. \mathbb{I} 为单位矩阵.

该结果与文献仅在各向同性交换相互作用 J 上差 2 倍,⁹ 初步估计该处应是原文有 typo.

⁸ $\mathbf{S}_2 \cdot \boldsymbol{\gamma}^* \cdot \mathbf{S}_1 = \mathbf{S}_1 \cdot \boldsymbol{\gamma}^\dagger \cdot \mathbf{S}_2 = \mathbf{S}_1 \cdot \boldsymbol{\gamma} \cdot \mathbf{S}_2$

⁹Moriya, T., Anisotropic superexchange interaction and weak ferromagnetism. [Phys. Rev. 120, 91.\(1960\)](#)