

## 6. Examples of TI/TSC

Chern insulator is protected by  $U(1)_c$  charge conservation symmetry.

Fermion parity  $\mathbb{Z}_2^F = \{1, P_F = (-1)^F\}$

$F = \sum_j c_j^\dagger c_j$  is the fermion number.

$$H = \sum c^\dagger c + (\Delta c c + h.c.) + V c^\dagger c^\dagger c c + \dots \text{ preserves } \mathbb{Z}_2^F.$$

### 6.1. 1+1D Majorana chain (by Kitaev 2000)

- Majorana fermion = real fermion

complex fermion  $c, c^\dagger$ :

$$\begin{cases} (c^\dagger)^2 = c^2 = 0 \\ c c^\dagger + c^\dagger c = 1 \end{cases}$$

Split  $c$  and  $c^\dagger$  into "real" part and "imaginary" part:

$$\begin{cases} c = \frac{1}{2}(\gamma_1 + i\gamma_2) \\ c^\dagger = \frac{1}{2}(\gamma_1 - i\gamma_2) \end{cases} \quad \begin{cases} \gamma_1 = c + c^\dagger \\ \gamma_2 = \frac{1}{i}(c - c^\dagger) \end{cases}$$

Satisfying:

$$\begin{cases} \gamma_1^\dagger = \gamma_1, \gamma_2^\dagger = \gamma_2 \\ \gamma_1^2 = (c + c^\dagger)^2 = c c^\dagger + c^\dagger c = 1 \\ \gamma_2^2 = \frac{1}{i^2}(c - c^\dagger)^2 = c c^\dagger + c^\dagger c = 1 \\ \gamma_1 \gamma_2 + \gamma_2 \gamma_1 = \frac{1}{i} (c + c^\dagger)(c - c^\dagger) + \frac{1}{i} (c - c^\dagger)(c + c^\dagger) = 0 \end{cases}$$

$$\begin{cases} H = \epsilon c^\dagger c \Rightarrow \begin{cases} E = \epsilon, |E_S\rangle = |n=1\rangle, n = c^\dagger c = 1 \\ E = 0, |G_S\rangle = |n=0\rangle, n = c^\dagger c = 0 \end{cases} \\ n = c^\dagger c = \frac{1}{4}(\gamma_1 - i\gamma_2)(\gamma_1 + i\gamma_2) = \frac{1}{4}(2 + 2i\gamma_1\gamma_2) = \frac{1}{2}(1 + i\gamma_1\gamma_2) \\ P_F = (-1)^n = 1 - 2n = -i\gamma_1\gamma_2 = \pm 1 \\ H = \epsilon n = \epsilon \cdot \frac{1 - P_F}{2} = \frac{\epsilon}{2}(1 + i\gamma_1\gamma_2) \end{cases}$$

2 Majorana fermions  $\gamma_1, \gamma_2 \longleftrightarrow$  1 complex fermion mode  $c$

$$\begin{array}{lll} \gamma_1 \xrightarrow{\quad} \gamma_2 \quad (-i\gamma_1\gamma_2 = 1) & P_F = -i\gamma_1\gamma_2 = 1 & n = c^\dagger c = 0 \\ \gamma_1 \xleftarrow{\quad} \gamma_2 \quad (-i\gamma_2\gamma_1 = 1) & P_F = -i\gamma_1\gamma_2 = -1 & n = c^\dagger c = 1 \end{array}$$

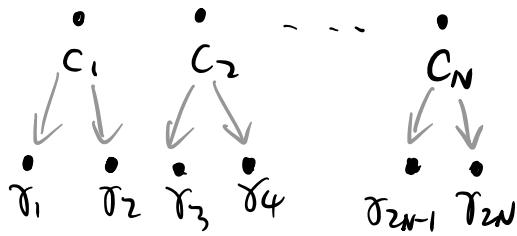
change pairing direction  $\Leftrightarrow$  change fermion parity  $P_f = \pm 1$

- Majorana chain.

Consider  $N$  complex fermions  $= 2N$  Majorana fermions.

$$c_j = \frac{1}{2} (\gamma_{2j-1} + i\gamma_{2j})$$

$$(j=1, 2, \dots, N)$$



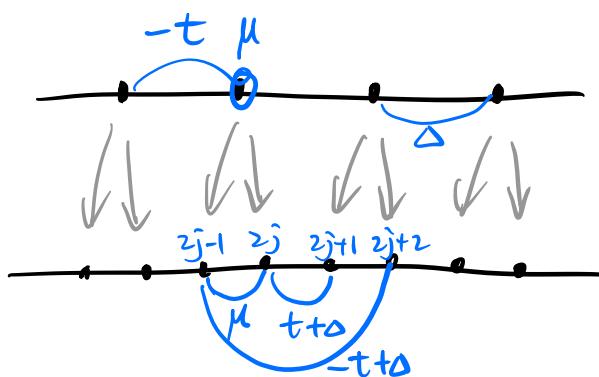
- (1) p-wave Superconductor chain.

$$H = \sum_j \left[ -t(c_j^\dagger c_{j+1} + h.c.) - \mu c_j^\dagger c_j + \Delta(c_j c_{j+1} + h.c.) \right]$$

periodic boundary  $\rightarrow -t(c_N^\dagger c_1 + h.c.)$        $t, \mu, \Delta \in \mathbb{R}$ .

$$= \sum_j \left[ -t \frac{1}{4} (\gamma_{2j-1} - i\gamma_{2j})(\gamma_{2j+1} + i\gamma_{2j+2}) + h.c. \right. \\ \left. + \dots \right]$$

$$= \frac{i}{2} \sum_j \left[ -\mu \gamma_{2j-1} \gamma_{2j} + (t+\Delta) \gamma_{2j} \gamma_{2j+1} + (-t+\Delta) \gamma_{2j-1} \gamma_{2j+2} \right]$$

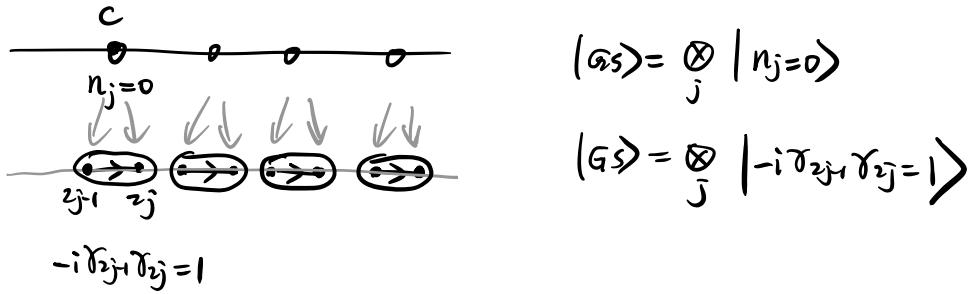


$$= \begin{cases} (\mu = -2, t = \Delta = 0) & = \sum_j i \gamma_{2j-1} \gamma_{2j} = - \sum_j (P_f)_j \\ (\mu = 0, t = \Delta = 1) & = \sum_j i \gamma_{2j} \gamma_{2j+1} \end{cases}$$

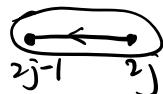
- (2) Trivial chain ( $\mu = -2, t = \Delta = 0$ )

$$H = - \sum_i (P_f)_i$$

$$GS : \quad n_j = 0 \Leftrightarrow (\rho_f)_j = +1 \\ \Leftrightarrow -i\gamma_{2j-1}\gamma_{2j} = 1$$

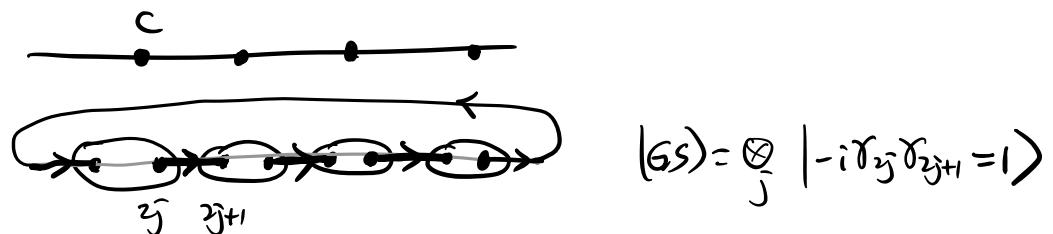


ES :  $n_j = 1$  for some  $j$ .



(3) Nontrivial chain ( $\mu=0, t=\alpha=1$ )

$$H = -\sum_j (c_j^\dagger c_{j+1} + h.c.) + \sum_j (c_j c_{j+1} + h.c.) \\ = \sum_j i\gamma_{2j}\gamma_{2j+1}$$



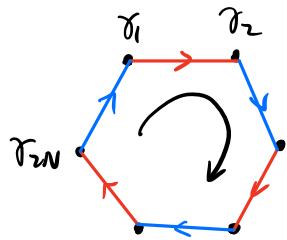
excited state :  $\xleftarrow[2j]{2j+1} -i\gamma_{2j}\gamma_{2j+1} = -1$ .

Fermion parity of  $|GS\rangle$ .

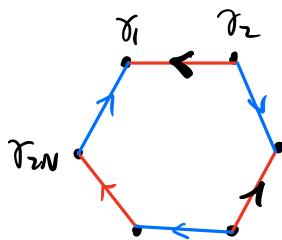
$$\begin{aligned} P_f |GS\rangle &= \prod_j (-i\gamma_{2j-1}\gamma_{2j}) |GS\rangle \\ &= (-i)^N (\gamma_1\gamma_2)(\gamma_3\gamma_4)\dots(\gamma_{2N-1}\gamma_{2N}) |GS\rangle \\ &= (-i)^N \underbrace{\gamma_1(\gamma_2\gamma_3)(\gamma_4\gamma_5)\dots(\gamma_{2N-2}\gamma_{2N-1})}_{\gamma_{2N}} |GS\rangle \\ &= (-i)^N (\gamma_2\gamma_3)\dots(\gamma_{2N-2}\gamma_{2N-1}) (\gamma_1\gamma_{2N}) |GS\rangle \\ &= -i\gamma_1\gamma_{2N} |GS\rangle \\ &= -(-i\gamma_{2N}\gamma_1) |GS\rangle \\ &= -|GS\rangle \end{aligned}$$

$P_f = -1$  acting on  $|GS\rangle$

$\Leftrightarrow |GS\rangle$  has odd number of complex fermions  $C_j$ .

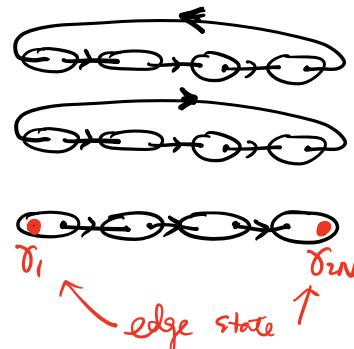


$|q_1\rangle : -i\tau_1\tau_2 = -i\tau_3\tau_4 = \dots = -i\tau_{2n-1}\tau_{2n} = 1$   
 $|q_2\rangle : -i\tau_2\tau_3 = -i\tau_4\tau_5 = \dots = -i\tau_{2n}\tau_1 = 1$   
 $|q_1\rangle$  and  $|q_2\rangle$  have different fermion parity.

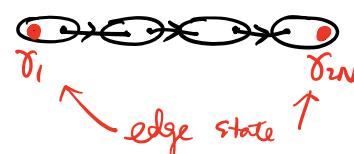


$|q_1\rangle$  and  $|q_2\rangle$  have same fermion parity  
 $\Leftrightarrow$  number of counter clockwise arrow Nac is odd  
 $\Leftrightarrow$  loop is Kastelyn oriented

periodic boundary condition  
 antiperiodic ...  
 open ...



$P_f = -1$   
 $P_f = 1$



$T_1, T_{2N}$  are unpaired Majorana fermion.  
 $GSD = 2$

- p-wave SC in momentum space.

$$H = \sum_j \left[ -t(C_j^+ C_{j+1} + h.c.) - \mu C_j^+ C_j + \Delta (C_j C_{j+1} + h.c.) \right]$$

$$\begin{cases} C_j = \frac{1}{\sqrt{N}} \sum_k e^{ikj} c_k \\ C_j^+ = \frac{1}{\sqrt{N}} \sum_k e^{-ikj} c_k^+ \end{cases}$$

$$= \sum_k \left[ -t(e^{ik} c_k^+ c_k + h.c.) - \mu c_k^+ c_k + \Delta (\underbrace{e^{ik} c_k c_k}_{\sum_k \Delta e^{ik} c_k c_k} + h.c.) \right]$$

$$= \frac{1}{2} \sum_k \Delta e^{ik} c_k c_k + \frac{1}{2} \sum_k \Delta e^{-ik} c_k c_k$$

$$= \frac{1}{2} \sum_k (\Delta e^{ik} c_{-k} c_k - \Delta e^{-ik} c_{-k} c_k) \\ = \sum_k i \Delta \sin k C_{-k} C_k$$

$$= \sum_k (-2t \cos k - \mu) c_k^+ c_k + \Delta (i \sin k C_{-k} C_k + \text{h.c.})$$

$$= \sum_k \frac{1}{2} (c_k^+, c_{-k}) \begin{pmatrix} -2t \cos k - \mu & -i \Delta \sin k \\ 2i \Delta \sin k & 2t \cos k + \mu \end{pmatrix} \begin{pmatrix} c_k \\ c_{-k}^+ \end{pmatrix}$$

$\mathcal{H}_k$

Nambu basis

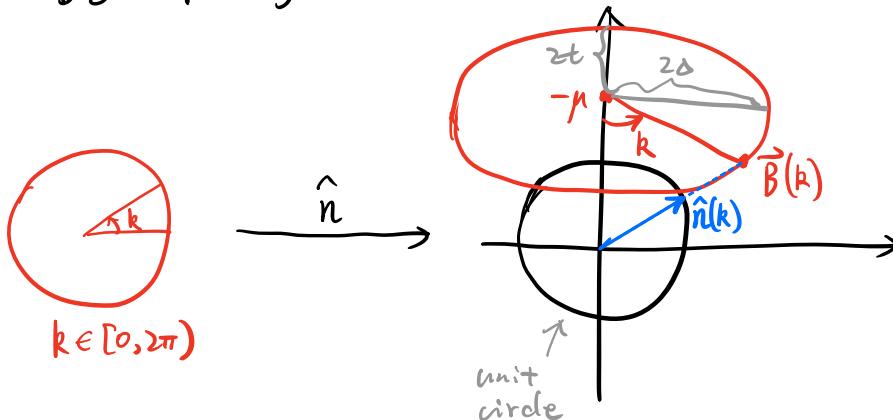
$$\mathcal{H}_k = 2\Delta \sin k \sigma_y - (2t \cos k + \mu) \sigma_z$$

$$= \vec{B}(k) \cdot \vec{\sigma} = E(k) \hat{n}(k) \cdot \vec{\sigma}$$

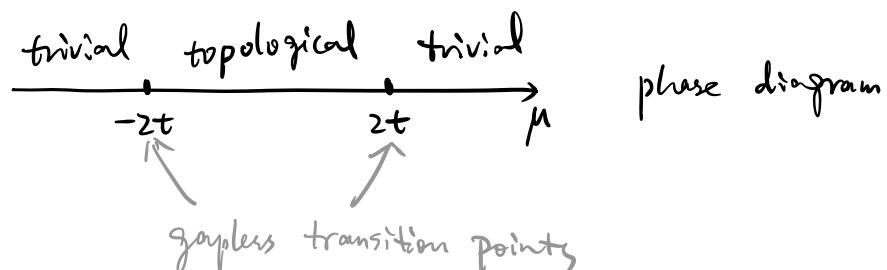
$$\vec{B}(k) := (2\Delta \sin k, -2t \cos k - \mu)$$

$$\hat{n}(k) := \frac{\vec{B}(k)}{|\vec{B}(k)|}$$

$$\hat{n} : BZ = T^1 = S^1 \rightarrow S^1$$



$$\text{Mapping degree} = \text{winding number} = \begin{cases} 1, & \text{if } -\mu - 2t < 0 < -\mu + 2t \\ 0, & \text{otherwise} \end{cases}$$



- Continuum model, field theory.

Consider  $\mu = -2t - m$  with  $m$  small.

$$\mathcal{H}_k = 2\Delta \sin k \sigma_y + (-2t \cos k + 2t + m) \sigma_z$$

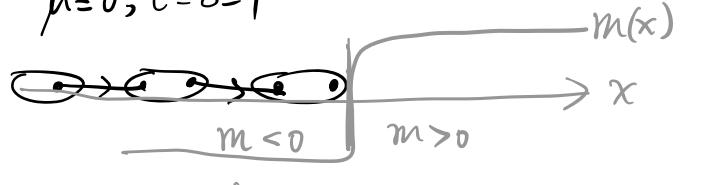
$$\xrightarrow{k \rightarrow 0} 2\Delta k \sigma_y + m \sigma_z$$

1+1 D massive Dirac Hamiltonian.



- Majorana edge mode

Consider  $\mu = 0, t = \delta = 1$



domain wall for mass  $m(x)$ .

For  $\mu = -2t - m \approx -2t$ :

$$\partial_k = 2\Delta \cdot k \sigma_y + m \sigma_z$$



$$\partial_k = 2\Delta \sigma_y i \partial_x + m(x) \sigma_z$$

Try to solve zero energy state near  $x=0$ :

$$\partial_k \Psi(x) = 0$$

$$\Leftrightarrow 2\Delta \sigma_y i \partial_x \Psi(x) + m(x) \sigma_z \Psi(x) = 0 \quad V \sim \frac{\Delta}{m}$$

$$\Leftrightarrow \partial_x \Psi(x) = -i \frac{1}{V} m(x) \sigma_z \Psi(x)$$

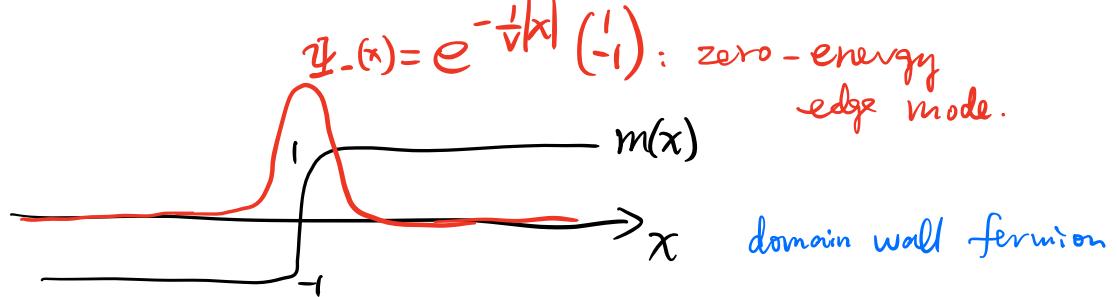
choose  $\Psi(x) = \varphi(x) \begin{pmatrix} 1 \\ \pm 1 \end{pmatrix}$

$$\Leftrightarrow \partial_x \varphi(x) = \pm \frac{1}{V} m(x) \varphi(x)$$

$$\Leftrightarrow \varphi(x) = e^{\pm \frac{1}{V} \int_0^x m(x') dx'}$$

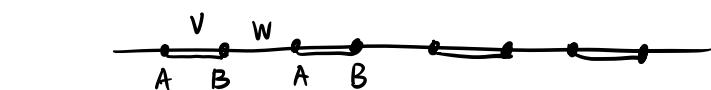
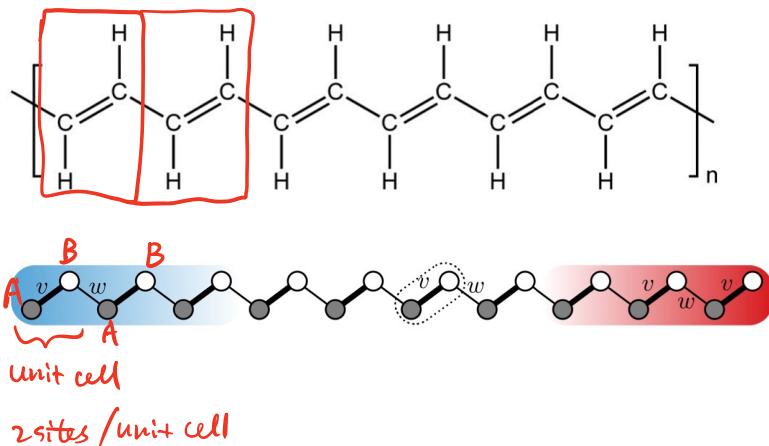
$$\Leftrightarrow \Psi(x) = e^{\pm \frac{1}{V} \int_0^x m(x') dx'} \begin{pmatrix} 1 \\ \pm 1 \end{pmatrix}$$

$$\left\{ \begin{array}{l} \textcircled{1} \quad \Psi_+(x) = e^{+\frac{1}{V} \int_0^x m(x) dx'} \begin{pmatrix} 1 \\ 1 \end{pmatrix} \xrightarrow[x \rightarrow \infty]{x \rightarrow -\infty} e^{\frac{1}{V} x} \begin{pmatrix} 1 \\ 1 \end{pmatrix} \quad x \\ \textcircled{2} \quad \Psi_-(x) = e^{-\frac{1}{V} \int_0^x m(x) dx'} \begin{pmatrix} 1 \\ -1 \end{pmatrix} \xrightarrow[x \rightarrow \infty]{x \rightarrow -\infty} e^{-\frac{1}{V} x} \begin{pmatrix} 1 \\ -1 \end{pmatrix} \quad \checkmark \\ \quad \quad \quad l = v \sim \frac{\Delta}{m} \end{array} \right.$$



## 6.2. 1D SSH model

SSH = Su-Schrieffer-Heeger



$$H = \sum_i (V C_{iA}^\dagger C_{iB} + W C_{iB}^\dagger C_{i+1A} + h.c.)$$

$$= \sum_k (C_{kA}^\dagger, C_{kB}^\dagger) \underbrace{\begin{pmatrix} 0 & V + W e^{ik} \\ V + W e^{-ik} & 0 \end{pmatrix}}_{\Delta E_k} \begin{pmatrix} C_{kA} \\ C_{kB} \end{pmatrix}$$

$$\Delta E_k = (V + W \cos k) \sigma_x + W \sin k \sigma_y$$

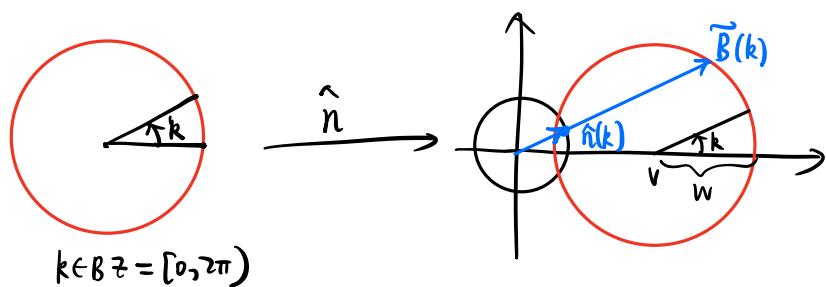
$$= \vec{B}(k) \cdot \vec{\sigma}$$

$$= E(k) \hat{n}(k) \cdot \vec{\sigma}$$

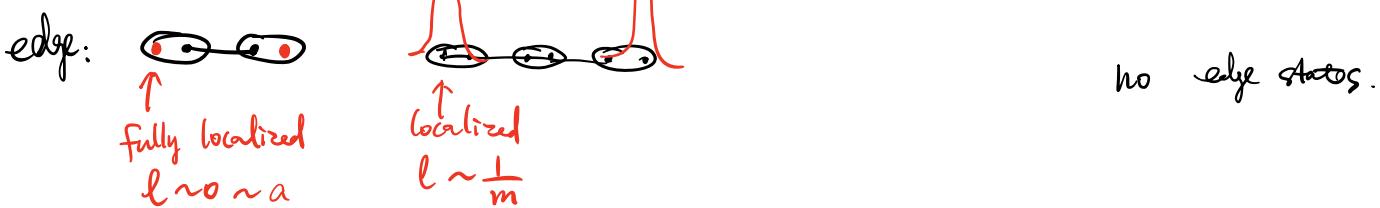
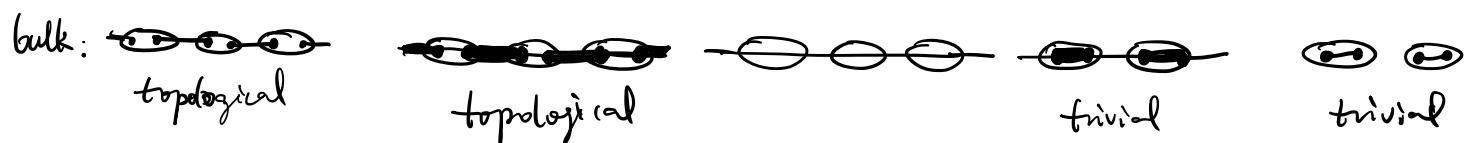
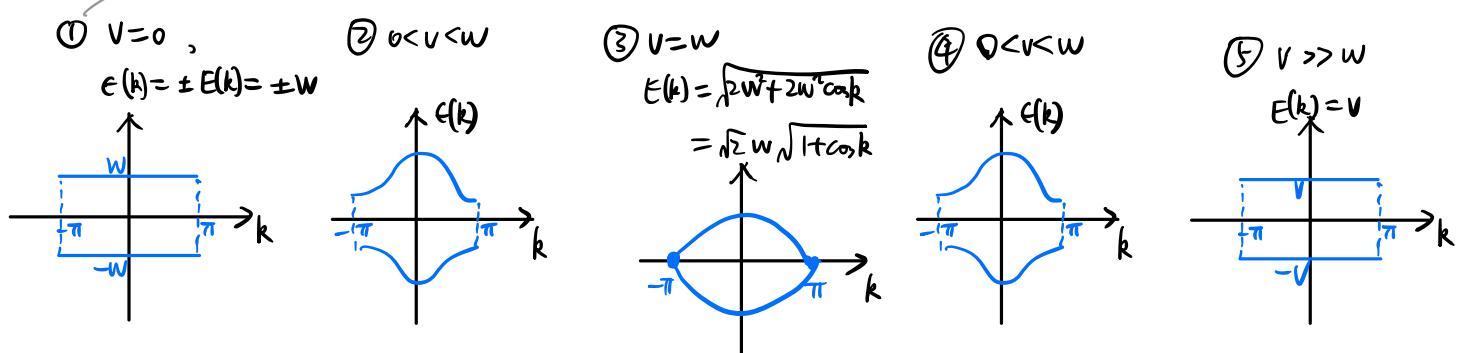
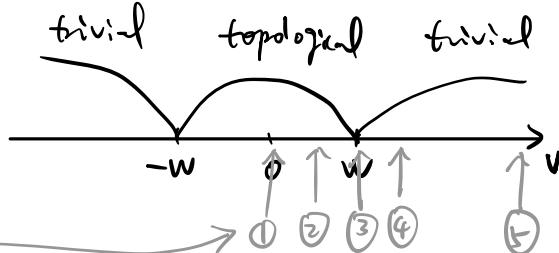
$$\vec{B}(k) = (V + W \cos k, W \sin k)$$

$$\hat{n}(k) := \vec{B}(k) / |\vec{B}(k)|$$

$$E(k) := |\vec{B}(k)| = \sqrt{V^2 + W^2 + 2VW \cos k}$$



mapping degree = winding number =  $\begin{cases} 1, & \text{if } v-w < 0 < v+w \\ 0, & \text{otherwise} \end{cases}$

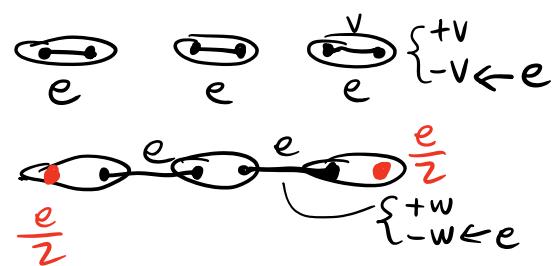
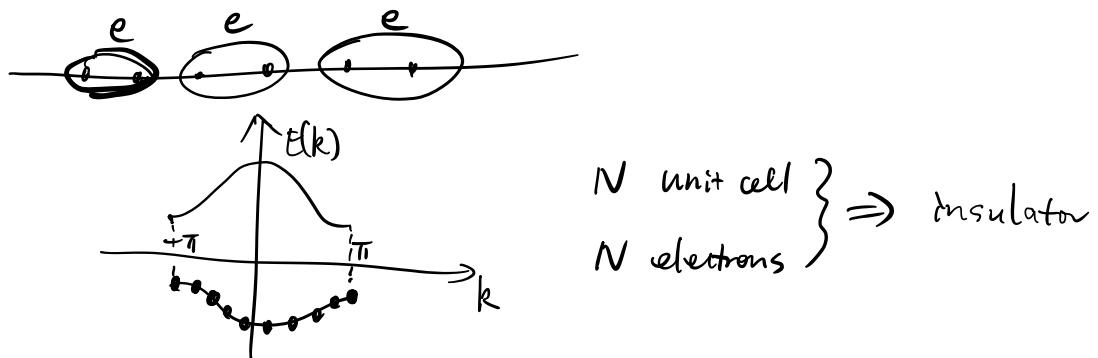


Similar to 1D Majorana chain ( $p$ -wave SC)!

Differences :

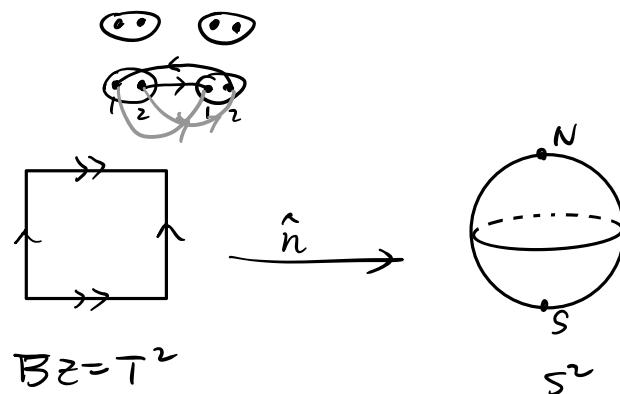
Symm. : { Majorana chain has  $Z_2^f$  symmetry.  
SSH has  $U(1)_f \supset Z_2^f$  symmetry.

edge : { unpaired Majorana fermion  $\sim$  half complex fermion  $\sim$  half  $Z_2^f$  charge  
SSH edge state  $\sim$  half  $U(1)_f$  charge.



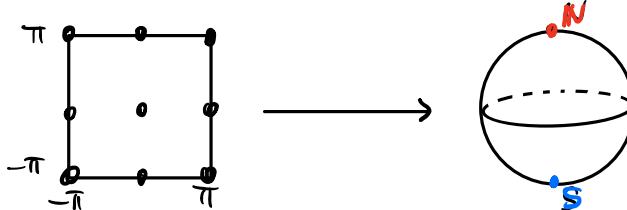
6.3. Another model for 2D Chern insulator.

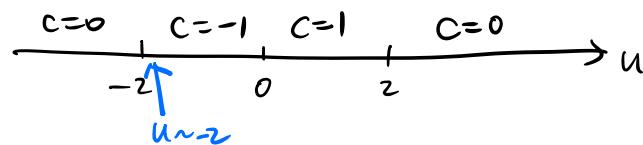
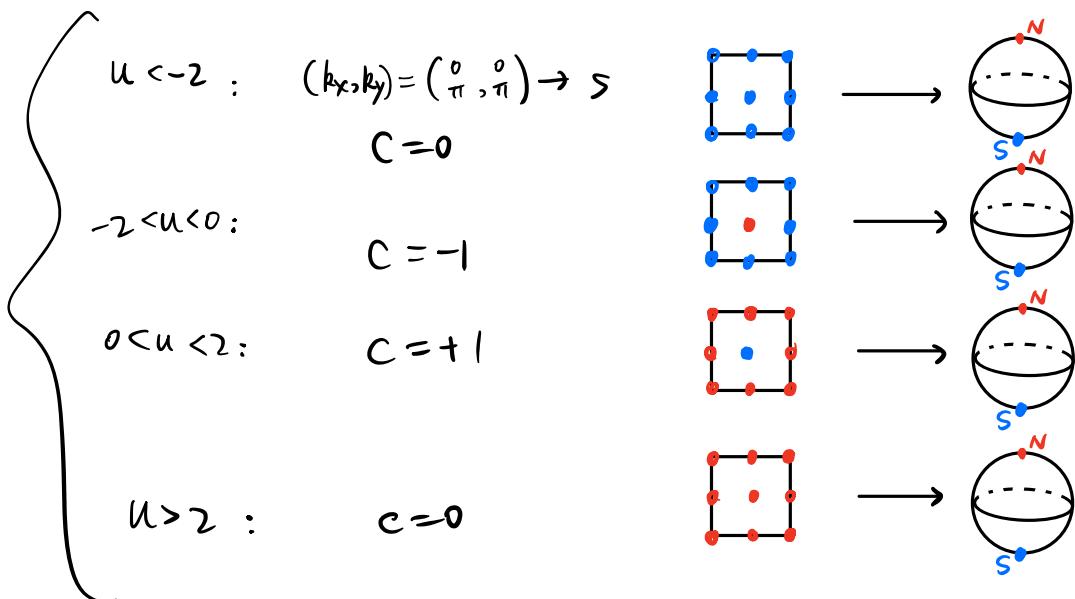
$$\begin{aligned}\mathcal{H}_{\vec{k}} &= \sin k_x \sigma_x + \sin k_y \sigma_y + (u + \cos k_x + \cos k_y) \sigma_z \\ &= \vec{B}(\vec{k}) \cdot \vec{\sigma}\end{aligned}$$



$$C = \text{mapping degree} = \sum_{\vec{k}_0 \in \hat{n}^{-1}(N)} \text{sgn} \det D(\hat{n}(\vec{k}_0))$$

$$\hat{n}(\vec{k}_0) = \begin{cases} N \\ S \end{cases} = \begin{cases} (0, 0, 1) \\ (0, 0, -1) \end{cases} \Leftrightarrow \begin{cases} \sin k_x = 0 \Leftrightarrow k_x = 0, \pi \\ \sin k_y = 0 \Leftrightarrow k_y = 0, \pi \\ u + \cos k_x + \cos k_y \end{cases} \begin{cases} > 0 \\ < 0 \end{cases} \quad [-2, 2]$$



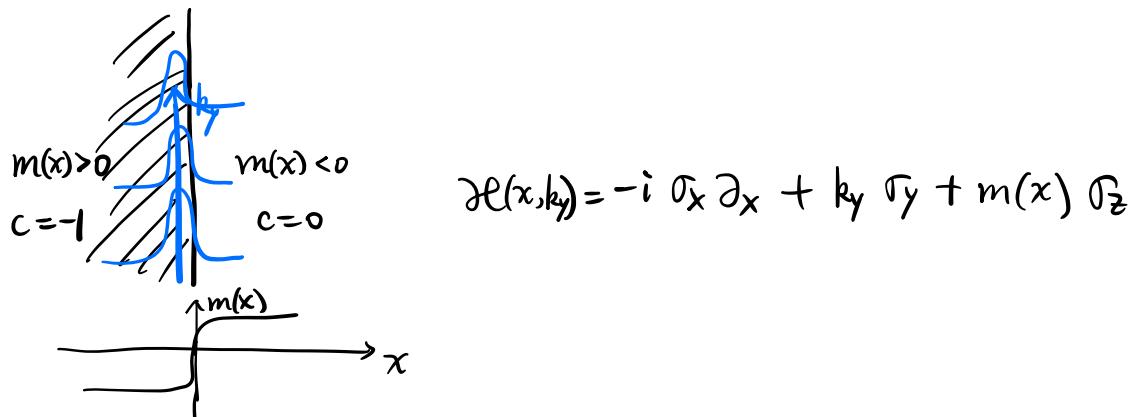


Edge state of the Chern insulator :

At  $u \sim -2$ ,  $\vec{k} \sim (0, 0)$

$$\begin{aligned}
 \mathcal{H}_{\vec{k}} &= \sin k_x \sigma_x + \sin k_y \sigma_y + (u + \cos k_x + \cos k_y) \sigma_z \\
 &\sim k_x \sigma_x + k_y \sigma_y + \underbrace{(u + 1 + 1)}_{m \sim 0} \sigma_z \\
 &= k_x \sigma_x + k_y \sigma_y + m \sigma_z \quad \text{2+1D Dirac Hamiltonian.}
 \end{aligned}$$

$$\begin{cases} m < 0 : \quad c=0 \text{ trivial} \\ m > 0 : \quad c=-1 \text{ topological} \end{cases}$$

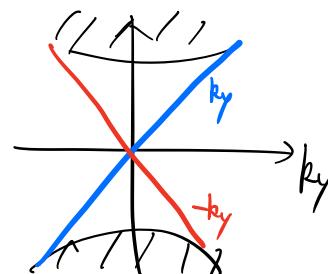
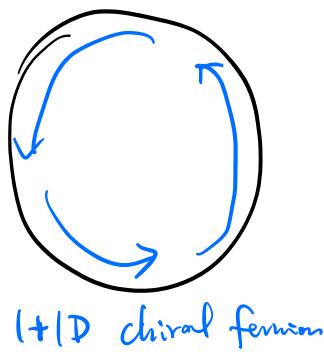
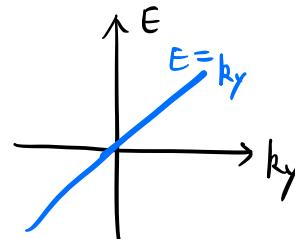
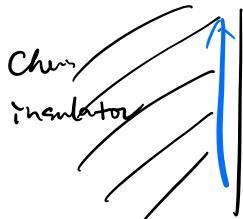


Consider first  $k_y = 0$  zero energy state:

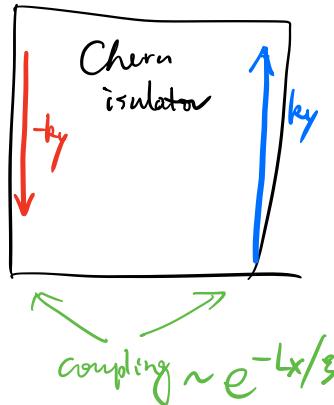
$$\begin{aligned} \mathcal{H}(x, k_y=0) &= -i\sigma_x \partial_x + m(x)\sigma_z \quad (\text{1D Majorana chain edge problem}) \\ \Rightarrow -i\sigma_x \partial_x \psi_{k_y=0}(x) &= -m(x)\sigma_z \psi_{k_y=0}(x) \\ \Rightarrow \partial_x \psi_{k_y=0}(x) &= -m(x)\sigma_z \psi_{k_y=0}(x) \\ \Rightarrow \psi_{k_y=0}(x) &= e^{-|x|} \begin{pmatrix} 1 \\ i \end{pmatrix} \end{aligned}$$

Consider  $k_y$ :

$$\begin{aligned} \psi_{k_y}(x) &= e^{-|x|} \begin{pmatrix} 1 \\ i \end{pmatrix} \\ \Leftrightarrow \psi(x, y) &= \underbrace{e^{-|x|}}_x \underbrace{e^{ik_y y}}_y \begin{pmatrix} 1 \\ i \end{pmatrix} \quad \text{decoupled} \\ \Rightarrow \mathcal{H}_{k_y}(x) \psi(x, y) &= k_y \sigma_y \psi(x, y) = k_y \psi(x, y) \\ \Rightarrow \psi(x, y) &\text{ is eigenvector of } \mathcal{H} \text{ with } E_k = k_y \end{aligned}$$



1+1D chiral fermion



#### 6.4. 2D quantum spin Hall effect.

- Time reversal symmetry.

$$\begin{cases} \tau \hat{H} \tau^{-1} = \hat{H} & \hat{H} \text{ is invariant under } \tau. \\ \tau i \tau^{-1} = -i & \tau \text{ is anti-unitary.} \end{cases}$$

Choose a basis,  $\tau = T \cdot K$

↑  
unitary matrix      ↗ complex conjugation operator

$$\mathcal{T}^2 = e^{i\phi} I$$

$$\Rightarrow \underbrace{TK}_{T^*} \underbrace{TK}_{T^*} = e^{i\phi}$$

$$\Rightarrow T T^* = e^{i\phi}$$

$$\Rightarrow T^* = e^{i\phi} T^+ = e^{i\phi} (T^*)^\top$$

$$\Rightarrow T^* = e^{i\phi} (T^*)^\top = e^{i\phi} (e^{i\phi} (T^*)^\top)^\top = e^{2i\phi} T^*$$

$$\Rightarrow e^{2i\phi} = 1$$

$$\Rightarrow \mathcal{T}^2 = T T^* = \pm 1$$

$$T^* = \pm T^+ = (\pm T^\top)^* \Rightarrow T^\top = \pm T$$

$$\left\{ \begin{array}{l} \mathcal{T}^2 = +1 \Leftrightarrow T^\top = T, T \text{ is symmetric} \\ \mathcal{T}^2 = -1 \Leftrightarrow T^\top = -T, T \text{ is skew-symmetric.} \end{array} \right.$$

Example. For spin- $\frac{1}{2}$  system,  $\mathcal{T}: \vec{S} \rightarrow -\vec{S}, \quad \vec{S} = \frac{1}{2} \vec{\sigma}$

$$\mathcal{T} = T \cdot K$$

$$\mathcal{T} \frac{\vec{\sigma}}{2} \mathcal{T}^{-1} = -\frac{\vec{\sigma}}{2}$$

$$\Rightarrow \mathcal{T} = i\sigma_y K$$

$$\Rightarrow \mathcal{T}^2 = -1$$

For spin-S system,  $\mathcal{T}: \vec{S} \rightarrow -\vec{S}, \quad \vec{S} = \sum_{j=1}^{2S} \frac{1}{2} \vec{\sigma}_j$

$$\Rightarrow \mathcal{T}^2 = (-1)^{2S} = \begin{cases} 1, & S \text{ integer} \\ -1, & S \text{ half-odd-integer} \end{cases}$$

Kramers doublet:

For  $\mathcal{T}$  invariant system with  $\mathcal{T}^2 = -1$ ,  $|a\rangle$  and  $|\bar{a}\rangle = \mathcal{T}|a\rangle$  are two different states with the same energy.

$$\left( \begin{array}{l} \text{If } \mathcal{T}|a\rangle = e^{i\phi}|a\rangle, \text{ then} \\ \mathcal{T}^2|a\rangle = \mathcal{T}(\mathcal{T}|a\rangle) = \mathcal{T}e^{i\phi}|a\rangle = e^{-i\phi}\mathcal{T}|a\rangle = e^{-i\phi}e^{i\phi}|a\rangle = |a\rangle \end{array} \right)$$

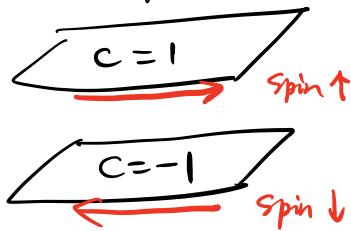
$$\Rightarrow \gamma^2 = +1$$

- 2D quantum Spin Hall effect.

QHE / Chern insulator breaks  $\mathcal{T}$ :  $\vec{B} \rightarrow -\vec{B}$

chiral current:  $\vec{j} \rightarrow -\vec{j}$

For spin- $\frac{1}{2}$  system,



$$\mathcal{H}_k = \underbrace{\sin k_x \sigma_x}_{BH_z} + \underbrace{\sin k_y \sigma_y}_{\text{spin band}} + (u + \cos k_x + \cos k_y) \sigma_z$$

$$\mathcal{H}_k = \sin k_x S_x \otimes \sigma_x + S_0 \otimes \left[ \underbrace{\sin k_y \sigma_y}_{\text{spin band}} + (u + \cos k_x + \cos k_y) \sigma_z \right]$$

BHZ  
II

Bernevig - Hughes - Zhang

$\{S_x \otimes \sigma_x, S_0 \otimes \sigma_y, S_0 \otimes \sigma_z\}$  anticommute with each other,

$$= \begin{pmatrix} \sin k_x \sigma_x + \sin k_y \sigma_y + (u + \cos k_x + \cos k_y) \sigma_z & 0 \\ 0 & -\sin k_x \sigma_x + \sin k_y \sigma_y + (u + \cos k_x + \cos k_y) \sigma_z \end{pmatrix}$$

$$\rightarrow \begin{pmatrix} c=1 \\ c=-1 \end{pmatrix}$$

