

Point-group symmetries in bandstructure of crystals

October 15, 2012

1 Simple cubic lattice

$$\mathbf{a}_1 = a(1, 0, 0) \quad \mathbf{a}_2 = a(0, 1, 0) \quad \mathbf{a}_3 = a(0, 0, 1) \quad (1)$$

$$\mathbf{b}_1 = \frac{2\pi}{a}(1, 0, 0) \quad \mathbf{b}_2 = \frac{2\pi}{a}(0, 1, 0) \quad \mathbf{b}_3 = \frac{2\pi}{a}(0, 0, 1) \quad (2)$$

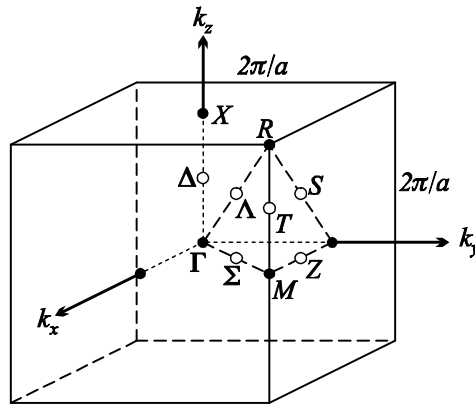


Figure 1: The Brillouin zone of a simple cubic lattice.

Let us investigate the bandstructure along the ΓX line of the Brillouin zone.

$$\Gamma = (0, 0, 0) \quad X = \frac{\pi}{a}(0, 0, 1) \quad (3)$$

$$\mathbf{k} = \frac{\pi}{a}(0, 0, \xi) \quad 0 \leq \xi \leq 1 \quad (4)$$

2 Empty lattice bandstructure

Free electron bands in a crystal

$$\varphi_{\mathbf{K}}(\mathbf{k}, \mathbf{r}) = \frac{1}{\sqrt{N}} e^{i(\mathbf{k} + \mathbf{K})\mathbf{r}} \quad (5)$$

$$\varepsilon_{\mathbf{K}}(\mathbf{k}) = \frac{\hbar^2 (\mathbf{k} + \mathbf{K})^2}{2m} \quad (6)$$

In particular, in case of sc lattice along the ΓX direction:

$$\varepsilon_0 = \frac{\hbar^2 \pi^2}{2ma^2} \quad (7)$$

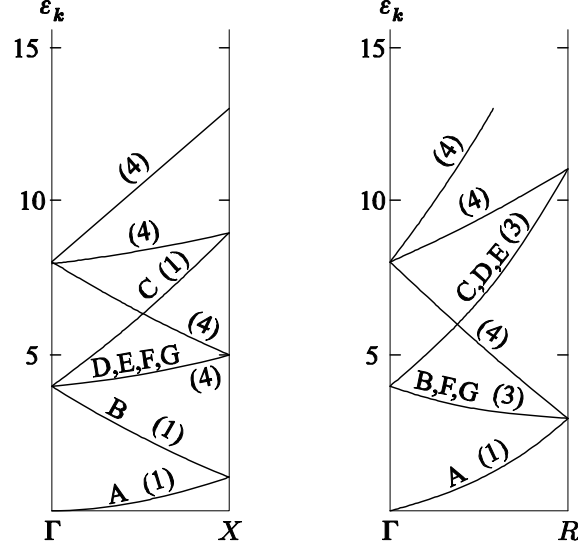


Figure 2: Bandstructure of the empty simple cubic lattice along two directions of the Brillouin zone.

1. band generated by $\mathbf{K} = \frac{2\pi}{a}(0, 0, 0)$

$$\varepsilon_A(\mathbf{k}) = \varepsilon_0 \xi^2 \quad (8)$$

$$\varphi_A = e^{i\frac{\pi}{a}\xi z} \quad (9)$$

2. band generated by $\mathbf{K} = \frac{2\pi}{a}(0, 0, -1)$

$$\varepsilon_B(\mathbf{k}) = \varepsilon_0 (2 - \xi)^2 \quad (10)$$

$$\varphi_B = e^{i\frac{\pi}{a}(\xi-2)z} \quad (11)$$

Degeneracy at X :

$$\varepsilon_A(X) = \varepsilon_B(X) \quad (12)$$

- 3.-6. bands generated by $\mathbf{K} = \frac{2\pi}{a}(\pm 1, 0, 0), \frac{2\pi}{a}(0, \pm 1, 0)$

$$\varepsilon_{D,E,F,G}(\mathbf{k}) = \varepsilon_0 (\xi^2 + 4) \quad (13)$$

$$\varphi_D = e^{i\frac{\pi}{a}(\xi z + 2x)}, \quad \varphi_E = e^{i\frac{\pi}{a}(\xi z + 2y)}, \quad \varphi_F = e^{i\frac{\pi}{a}(\xi z - 2x)}, \quad \varphi_G = e^{i\frac{\pi}{a}(\xi z - 2y)} \quad (14)$$

7. band generated by $\mathbf{K} = \frac{2\pi}{a}(0, 0, 1)$

$$\varepsilon_C(\mathbf{k}) = \varepsilon_0 (2 + \xi)^2 \quad (15)$$

$$\varphi_C = e^{i\frac{\pi}{a}(\xi+2)z} \quad (16)$$

Degeneracy at Γ :

$$\varepsilon_B(\Gamma) = \varepsilon_{D,E,F,G}(\Gamma) = \varepsilon_C(\Gamma) \quad (17)$$

3 Nearly free electron approach

3.1 Lifting of degeneracy at the X -point

Nearly free electron approach:

$$V_{\mathbf{K}} = \frac{1}{\varepsilon_0 v_0} \int_{v_0} d^3r V(\mathbf{r}) e^{i\mathbf{K}\mathbf{r}} \quad (18)$$

Hamiltonian on the basis of φ_A and φ_B :

$$H_{AA}(\mathbf{k}) = \varepsilon_0 \xi^2 \quad H_{BB}(\mathbf{k}) = \varepsilon_0 (2 - \xi)^2 \quad H_{AB}(\mathbf{k}) = H_{BA}(\mathbf{k}) = \varepsilon_0 V_{001} \quad (19)$$

$$\varepsilon(\mathbf{k}) = \varepsilon_0 \lambda \quad (20)$$

First order degenerate perturbation theory

$$\begin{pmatrix} \xi^2 - \lambda & V_{001} \\ V_{001} & (2 - \xi)^2 - \lambda \end{pmatrix} \begin{pmatrix} c_1 \\ c_2 \end{pmatrix} = 0 \quad (21)$$

$$(\xi^2 - \lambda) \left((2 - \xi)^2 - \lambda \right) - V_{001}^2 = 0 \quad (22)$$

$$\lambda^2 - \left[(2 - \xi)^2 + \xi^2 \right] \lambda + \xi^2 (2 - \xi)^2 - V_{001}^2 = 0 \quad (23)$$

Choose $\xi = 1$ and $V_{001} > 0$

$$\lambda_{\pm} = 1 \pm V_{001} \quad (24)$$

Eigenfunctions:

$$\begin{pmatrix} \mp 1 & 1 \\ 1 & \mp 1 \end{pmatrix} \begin{pmatrix} c_1 \\ c_2 \end{pmatrix} = 0 \quad (25)$$

$$\psi_+(z) \sim e^{i\frac{\pi}{a}z} + e^{-i\frac{\pi}{a}z} \sim \cos \frac{\pi}{a}z \quad (26)$$

$$\psi_-(z) \sim e^{i\frac{\pi}{a}z} - e^{-i\frac{\pi}{a}z} \sim \sin \frac{\pi}{a}z \quad (27)$$

3.2 Lifting of degeneracy along ΓX

Four basis functions:

$$\varphi_D = e^{i\frac{\pi}{a}(\xi z + 2x)}, \quad \varphi_E = e^{i\frac{\pi}{a}(\xi z + 2y)}, \quad \varphi_F = e^{i\frac{\pi}{a}(\xi z - 2x)}, \quad \varphi_G = e^{i\frac{\pi}{a}(\xi z - 2y)} \quad (28)$$

Matricelements of the Hamiltonian:

$$H_{DD}(\mathbf{k}) = H_{EE}(\mathbf{k}) = H_{FF}(\mathbf{k}) = H_{GG}(\mathbf{k}) = \varepsilon_0 (\xi^2 + 4) \quad (29)$$

$$H_{DE}(\mathbf{k}) = \varepsilon_0 V_{1\bar{1}0} \quad H_{DF}(\mathbf{k}) = \varepsilon_0 V_{200} \quad H_{DG}(\mathbf{k}) = \varepsilon_0 V_{110} \quad (30)$$

$$H_{EF}(\mathbf{k}) = \varepsilon_0 V_{110} \quad H_{EG}(\mathbf{k}) = \varepsilon_0 V_{020} \quad H_{FG}(\mathbf{k}) = \varepsilon_0 V_{\bar{1}10} \quad (31)$$

A simplification arises from point-group symmetry: for $R \in \mathcal{G}$, where \mathcal{G} is the point-group of the lattice,

$$V_{\mathbf{K}} = \int d^3r V(\mathbf{r}) e^{i\mathbf{K}\mathbf{r}} = \int d^3r V(R^{-1}\mathbf{r}) e^{i\mathbf{K}\cdot R^{-1}\mathbf{r}} = \int d^3r V(\mathbf{r}) e^{iR\mathbf{K}\cdot\mathbf{r}} \implies V_{\mathbf{K}} = V_{R\mathbf{K}} \quad (32)$$

Considering the cubic point-group, O_h , the reciprocal lattice vectors $\frac{2\pi}{a}(110)$, $\frac{2\pi}{a}(\bar{1}\bar{1}0)$ and $\frac{2\pi}{a}(\bar{1}10)$, as well as $\frac{2\pi}{a}(200)$ and $\frac{2\pi}{a}(020)$ are equivalent. Thus, only two matricelements are independent: V_{110} , V_{200}

$$\omega \doteq (\xi^2 + 4) - \lambda \quad (33)$$

$$\det \begin{pmatrix} \omega & V_{110} & V_{200} & V_{110} \\ V_{110} & \omega & V_{110} & V_{200} \\ V_{200} & V_{110} & \omega & V_{110} \\ V_{110} & V_{200} & V_{110} & \omega \end{pmatrix} = \quad (34)$$

$$\omega^4 + V_{200}^4 + 8\omega V_{110}^2 V_{200} - 4\omega^2 V_{110}^2 - 2\omega^2 V_{200}^2 - 4V_{110}^2 V_{200}^2 \quad (35)$$

$$= (\omega^2 - V_{200}^2)^2 - 4V_{110}^2 (\omega - V_{200})^2 \quad (36)$$

$$= (\omega - V_{200})^2 (\omega + V_{200})^2 - 4V_{110}^2 (\omega - V_{200})^2 \quad (37)$$

$$= (\omega - V_{200})^2 \left((\omega + V_{200})^2 - 4V_{110}^2 \right) = 0 \quad (38)$$

$$\omega_{12} = V_{200} \quad (39)$$

$$\omega_3 = -V_{200} + 2V_{110} \quad (40)$$

$$\omega_4 = -V_{200} - 2V_{110} \quad (41)$$

Eigenvalues:

$$\lambda_{12} = (\xi^2 + 4) - V_{200} \quad (42)$$

$$\lambda_3 = (\xi^2 + 4) + V_{200} - 2V_{110} \quad (43)$$

$$\lambda_4 = (\xi^2 + 4) + V_{200} + 2V_{110} \quad (44)$$

Eigenfunctions:

$$\psi_1 = e^{i\frac{\pi}{a}z} \left(\sin \frac{2\pi x}{a} + \sin \frac{2\pi y}{a} \right) \quad (45)$$

$$\psi_2 = e^{i\frac{\pi}{a}z} \left(\sin \frac{2\pi x}{a} - \sin \frac{2\pi y}{a} \right) \quad (46)$$

$$\psi_3 = e^{i\frac{\pi}{a}z} \left(\cos \frac{2\pi x}{a} - \cos \frac{2\pi y}{a} \right) \quad (47)$$

$$\psi_4 = e^{i\frac{\pi}{a}z} \left(\cos \frac{2\pi x}{a} + \cos \frac{2\pi y}{a} \right) \quad (48)$$

In the doubly degenerate band (12), alternatively, we can take the following eigenbasis:

$$\psi_1 = e^{i\frac{\pi}{a}z} \sin \frac{2\pi x}{a} \quad (49)$$

$$\psi_2 = e^{i\frac{\pi}{a}z} \sin \frac{2\pi y}{a} \quad (50)$$

4 C_{4v} point-group

Little group of the k-points along ΓX : C_{4v}^z

Eight symmetry operations:

E	C_{4z}	C_{4z}^{-1}	C_{2z}	σ_y	σ_x	σ_a	σ_b
x	y	$-y$	$-x$	x	$-x$	$-y$	y
y	$-x$	x	$-y$	$-y$	y	$-x$	x
z	z	z	z	z	z	z	z

(51)

Multiplication table:

E	E	C_{4z}	C_{4z}^{-1}	C_{2z}	σ_y	σ_x	σ_a	σ_b
E	E	C_{4z}	C_{4z}^{-1}	C_{2z}	σ_y	σ_x	σ_a	σ_b
C_{4z}	C_{4z}	C_{2z}	E	C_{4z}^{-1}	σ_a	σ_b	σ_x	σ_y
C_{4z}^{-1}	C_{4z}^{-1}	E	C_{2z}	C_{4z}	σ_b	σ_a	σ_y	σ_x
C_{2z}	C_{2z}	C_{4z}^{-1}	C_{4z}	E	σ_x	σ_y	σ_b	σ_a
σ_y	σ_y	σ_b	σ_a	σ_x	E	C_{2z}	C_{4z}^{-1}	C_{4z}
σ_x	σ_x	σ_a	σ_b	σ_y	C_{2z}	E	C_{4z}	C_{4z}^{-1}
σ_a	σ_a	σ_y	σ_x	σ_b	C_{4z}^{-1}	C_{4z}	E	C_{2z}
σ_b	σ_b	σ_x	σ_y	σ_a	C_{4z}	C_{4z}^{-1}	C_{2z}	E

(52)

Conjugate class of $S \in \mathcal{G}$: $(S) = \{S' : \exists R \in \mathcal{G} \ RS' = SR\}$. $\{E\}$ is always a conjugate class.

\mathcal{C}_{4v}^z has 5 classes: $\{E\}, \{C_{2z}\}, \{C_{4z}, C_{4z}^{-1}\}, \{\sigma_x, \sigma_y\}, \{\sigma_a, \sigma_b\}$

$$\forall R \in \mathcal{C}_{4v}^z \quad RC_{2z} = C_{2z}R \quad (53)$$

$$\sigma_y C_{4z}^{-1} = C_{4z} \sigma_y = \sigma_a \quad (54)$$

$$C_{4z} \sigma_y = \sigma_x C_{4z} = \sigma_a \quad (55)$$

$$C_{4z} \sigma_a = \sigma_b C_{4z} = \sigma_x \quad (56)$$

Irreducible representations (irrep): the number of irreps equals the number of classes (r) and

$$\sum_{\mu=1}^r d_{\mu}^2 = g \quad (57)$$

5 irreps \rightarrow 4 one-dimensional, 1 two-dimensional

Character table (μ, ν and i, j label irreps and conjugate classes, respectively)

$$\sum_{R \in \mathcal{G}} \chi^{(\mu)}(R)^* \chi^{(\nu)}(R) = g \delta_{\mu\nu} \quad (58)$$

$$\sum_{R \in \mathcal{G}} \left| \chi^{(\mu)}(R) \right|^2 = g \quad (59)$$

$$\sum_{i=1}^r g_i \chi_i^{(\mu)*} \chi_i^{(\nu)} = g \delta_{\mu\nu} \quad (60)$$

$$\sum_{\mu=1}^r \chi_i^{(\mu)*} \chi_j^{(\mu)} = \frac{g}{g_i} \delta_{ij} \quad (61)$$

	E	C_{4z}	C_{4z}^{-1}	C_{2z}	σ_y	σ_x	σ_a	σ_b
Δ_1	1	1	1	1	1	1	1	1
Δ_2	1	-1	-1	1	1	1	-1	-1
Δ_2'	1	-1	-1	1	-1	-1	1	1
Δ_1'	1	1	1	1	-1	-1	-1	-1
Δ_5	2	0	0	-2	0	0	0	0

Let us investigate the action of the symmetry transformation on the basisfunctions $\psi_1, \psi_2, \psi_3, \psi_4$:

E	C_{4z}	C_{4z}^{-1}	C_{2z}	σ_y	σ_x	σ_a	σ_b
1	2	-2	-1	1	-1	-2	2
2	-1	1	-2	-2	2	-1	1
3	-3	-3	3	3	3	-3	-3
4	4	4	4	4	4	4	4

Comparing with the character table, we can immediately see, that ψ_4 belongs to the irrep Δ_1 , ψ_3 to Δ_2 , while $\{\psi_1, \psi_2\}$ to Δ_5 .

4.1 Canonical basis and irreducible representations

Let us take the following orthogonal polynomials (canonical basis): $1, x, y, z, xy, xz, yz, x^2 - y^2, 2z^2 - x^2 - y^2, \dots$ ($x^2 + y^2 + z^2 = 1$). Then,

$$1, z, 2z^2 - x^2 - y^2 \rightarrow \Delta_1 \quad (64)$$

On the subspace $\{x, y\}$:

$$D(E) = \begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix} \quad D(C_{4z}) = \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix} \quad D(C_{4z}^{-1}) = \begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix} \quad D(C_{2z}) = \begin{pmatrix} -1 & 0 \\ 0 & -1 \end{pmatrix} \quad (65)$$

$$D(\sigma_y) = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix} \quad D(\sigma_x) = \begin{pmatrix} -1 & 0 \\ 0 & 1 \end{pmatrix} \quad D(\sigma_a) = \begin{pmatrix} 0 & -1 \\ -1 & 0 \end{pmatrix} \quad D(\sigma_b) = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \quad (66)$$

which are the matrices of the Δ_5 irrep, thus:

$$\{x, y\}, \{zx, zy\} \rightarrow \Delta_5 \quad (67)$$

Furthermore,

E	C_{4z}	C_{4z}^{-1}	C_{2z}	σ_y	σ_x	σ_a	σ_b
xy	$-xy$	$-xy$	xy	$-xy$	$-xy$	xy	xy
$x^2 - y^2$	$-(x^2 - y^2)$	$-(x^2 - y^2)$	$x^2 - y^2$	$x^2 - y^2$	$x^2 - y^2$	$-(x^2 - y^2)$	$-(x^2 - y^2)$

(68)

Comparing with the character table, yields

$$xy \rightarrow \Delta'_2 \quad (69)$$

$$x^2 - y^2 \rightarrow \Delta_2 \quad (70)$$

4.2 Reduction of a reducible representation

Let us take the representation of the C_{4v} point group elements on the basisfunctions,

$$\varphi_D = e^{i\frac{\pi}{\alpha}(\xi z + 2x)}, \quad \varphi_E = e^{i\frac{\pi}{\alpha}(\xi z + 2y)}, \quad \varphi_F = e^{i\frac{\pi}{\alpha}(\xi z - 2x)}, \quad \varphi_G = e^{i\frac{\pi}{\alpha}(\xi z - 2y)} \quad (71)$$

and also calculate the corresponding characters:

$$D(E) = \begin{pmatrix} 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \end{pmatrix} \Rightarrow \chi(E) = 4 \quad (72)$$

$$D(C_{4z}) = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \\ 1 & 0 & 0 & 0 \end{pmatrix} \Rightarrow \chi(C_{4z}) = 0 \quad (73)$$

$$D(C_{4z}^{-1}) = \begin{pmatrix} 0 & 0 & 0 & 1 \\ 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \end{pmatrix} \Rightarrow \chi(C_{4z}^{-1}) = 0 \quad (74)$$

$$D(C_{2z}) = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \\ 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \end{pmatrix} \Rightarrow \chi(C_{2z}) = 0 \quad (75)$$

$$D(\sigma_y) = \begin{pmatrix} 1 & 0 & 0 & 0 \\ 0 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 \\ 0 & 1 & 0 & 0 \end{pmatrix} \Rightarrow \chi(\sigma_y) = 2 \quad (76)$$

$$D(\sigma_x) = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 0 & 1 & 0 & 0 \\ 1 & 0 & 0 & 0 \\ 0 & 0 & 0 & 1 \end{pmatrix} \Rightarrow \chi(\sigma_x) = 2 \quad (77)$$

$$D(\sigma_a) = \begin{pmatrix} 0 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 \\ 0 & 1 & 0 & 0 \\ 1 & 0 & 0 & 0 \end{pmatrix} \Rightarrow \chi(\sigma_a) = 0 \quad (78)$$

$$D(\sigma_b) = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 1 & 0 & 0 & 0 \\ 0 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 \end{pmatrix} \Rightarrow \chi(\sigma_b) = 0 \quad (79)$$

Calculate the *number of occurrence* of irrep μ , M_μ , in this reducible representation:

$$M_\mu = \frac{1}{g} \sum_{i=1}^r g_i \chi_i^{(\mu)*} \chi_i \quad (80)$$

$$M_{\Delta_1} = \frac{1}{8} (4 + 2 * 1 * 0 + 1 * 1 * 0 + 2 * 1 * 2 + 2 * 1 * 0) = 1 \quad (81)$$

$$M_{\Delta_2} = \frac{1}{8} (4 + 2 * 2) = 1 \quad (82)$$

$$M_{\Delta'_2} = \frac{1}{8} (4 - 2 * 2) = 0 \quad (83)$$

$$M_{\Delta'_1} = \frac{1}{8} (4 - 2 * 2) = 0 \quad (84)$$

$$M_{\Delta_5} = \frac{1}{8} (2 * 4) = 1 \quad (85)$$

This means that the four-dimensional representation can be reduced to irreps, $\Delta_1 \otimes \Delta_2 \otimes \Delta_5$, via a unitary transformation.

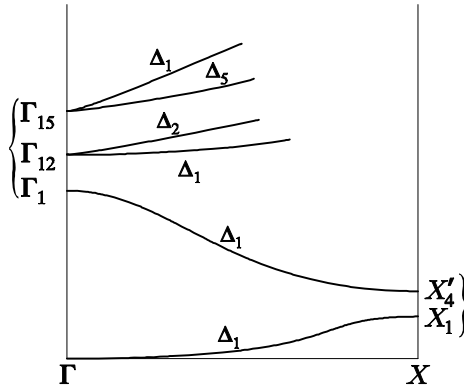


Figure 3: Typical bandstructure of a simple cubic lattice along ΓX .

Projectors of the irreducible basisfunctions:

$$P_i^{(\mu)} = \frac{d_\mu}{g} \sum_{R \in \mathcal{G}} D_{ii}^{(\mu)}(R)^* \cdot D(R) \quad (86)$$

↓

$$\psi^{(\Delta_1)} = e^{i\frac{\pi}{a}z} \left(\cos \frac{2\pi x}{a} + \cos \frac{2\pi y}{a} \right) \quad (87)$$

$$\psi^{(\Delta_2)} = e^{i\frac{\pi}{a}z} \left(\cos \frac{2\pi x}{a} - \cos \frac{2\pi y}{a} \right) \quad (88)$$

$$\psi_1^{(\Delta_5)} = e^{i\frac{\pi}{a}z} \sin \frac{2\pi x}{a} \quad (89)$$

$$\psi_2^{(\Delta_5)} = e^{i\frac{\pi}{a}z} \sin \frac{2\pi y}{a} \quad (90)$$

This is exactly that we obtained previously in terms of the nearly free electron approach.

5 Structure of the Hamilton matrix, hybridization

Action of the symmetry operation:

$$R [H_{\mathbf{k}}(\mathbf{r}) u_{\mathbf{k}}(\mathbf{r})] = H_{\mathbf{k}}(R^{-1}\mathbf{r}) u_{\mathbf{k}}(R^{-1}\mathbf{r}) = \left[\frac{(R^{-1}\mathbf{p} + \hbar\mathbf{k})^2}{2m} + V(R^{-1}\mathbf{r}) \right] u_{\mathbf{k}}(R^{-1}\mathbf{r}) \quad (91)$$

$$= \left[\frac{(\mathbf{p} + \hbar R\mathbf{k})^2}{2m} + V(\mathbf{r}) \right] u_{\mathbf{k}}(R^{-1}\mathbf{r}) = H_{R\mathbf{k}}(\mathbf{r}) R u_{\mathbf{k}}(\mathbf{r}) \quad (92)$$

consequently,

$$RH_{\mathbf{k}} = H_{R\mathbf{k}}R \quad (93)$$

↓

$$H_{R\mathbf{k}}R u_{\mathbf{k}} = \varepsilon_{\mathbf{k}} R u_{\mathbf{k}} \quad (94)$$

↓

$$\varepsilon_{R\mathbf{k}} = \varepsilon_{\mathbf{k}}$$

and for non-degenerate bands,

$$u_{R\mathbf{k}}(\mathbf{r}) = c u_{\mathbf{k}}(R^{-1}\mathbf{r}) \quad (|c| = 1) \quad (95)$$

$$\psi_{R\mathbf{k}}(\mathbf{r}) = c e^{iR\mathbf{k}\cdot\mathbf{r}} u_{\mathbf{k}}(R^{-1}\mathbf{r}) = R\psi_{\mathbf{k}}(\mathbf{r}) \quad (96)$$

For the little group of \mathbf{k} :

$$RH_{\mathbf{k}}(\mathbf{r}) = H_{\mathbf{k}}(\mathbf{r}) R \quad (97)$$

This implies that $H_{\mathbf{k}}$ and $\{R|R \in \mathcal{G}\}$ have a common basis of eigenfunctions, $\{\varphi_i^{\mu, k_\mu}\}$, where $\mu, k_\mu = 1, \dots, M_\mu$ and $i = 1, \dots, d_\mu$ label the irreps, the occurrence of irreps and the wavefunctions within an irreducible subset, respectively.

$$H_{\mathbf{k}}\varphi_i^{\mu, k_\mu} = \varepsilon_i^\mu \varphi_i^{\mu, k_\mu} \quad (98)$$

$$\left\langle \varphi_i^{\mu, k_\mu} \middle| \varphi_j^{\mu', k'_{\mu'}} \right\rangle = \delta_{\mu\mu'} \delta_{k_\mu, k'_{\mu'}} \delta_{ij} \quad (99)$$

$$R\varphi_i^{\mu, k_\mu} = \sum_{j=1}^{d_\mu} \varphi_j^{\mu, k_\mu} D_{ji}^\mu(R) \quad (100)$$

Using the "big orthogonality" lemma,

$$\frac{1}{g} \sum_{R \in \mathcal{G}} D_{is}^\mu(R)^* D_{rj}^{\mu'}(R) = \frac{g}{d_\mu} \delta_{\mu\mu'} \delta_{ij} \delta_{sr}, \quad (101)$$

the matrixelements of the Hamiltonian can be expressed as follows,

$$\left\langle \varphi_i^{\mu, k_\mu} | H_{\mathbf{k}} \varphi_j^{\mu', k'_{\mu'}} \right\rangle = \frac{1}{g} \sum_{R \in \mathcal{G}} \left\langle R \varphi_i^{\mu, k_\mu} | H_{\mathbf{k}} \varphi_j^{\mu', k'_{\mu'}} \right\rangle \quad (102)$$

$$= \frac{1}{g} \sum_{s=1}^{d_\mu} \sum_{r=1}^{d_{\mu'}} \sum_{R \in \mathcal{G}} D_{is}^\mu(R)^* \left\langle \varphi_s^{\mu, k_\mu} | H_{\mathbf{k}} \varphi_r^{\mu', k'_{\mu'}} \right\rangle D_{rj}^{\mu'}(R) \quad (103)$$

$$= \delta_{\mu\mu'} \delta_{ij} \frac{1}{d_\mu} \sum_{s=1}^{d_\mu} \left\langle \varphi_s^{\mu, k_\mu} | H_{\mathbf{k}} \varphi_s^{\mu, k_\mu} \right\rangle. \quad (104)$$

This means that the blocks of the Hamilton-matrix connecting different irreps are identical to zero, whereas those connecting the same irreps are unit matrices multiplied by a complex number,

$$H_{\mathbf{k}} = \sum_{\mu} \sum_{k_\mu, k'_\mu} h_{\mathbf{k}}^{\mu, k_\mu k'_\mu} \sum_{j=1}^{d_\mu} \left| \varphi_j^{\mu, k_\mu} \right\rangle \left\langle \varphi_j^{\mu, k'_\mu} \right| \quad (105)$$

Corollary 1: If an irrep occurs once in the basis set ($M_\mu = 1$), then it spans an energy subspace and

$$\varepsilon_{\mathbf{k}}^\mu = h_{\mathbf{k}}^\mu \quad (106)$$

Corollary 2: If the same irrep occurs more than ones ($M_\mu > 1$), then the corresponding eigenvalues are, $\varepsilon_{\mathbf{k}}^{\mu, n}$ ($n = 1, \dots, M_\mu$), where n labels the bands related to irrep μ and the eigenfunctions are elements of the tensorial product of the irreducible subspaces. Diagonalizing the $M_\mu \times M_\mu$ matrices, $h_{\mathbf{k}}^{\mu, k_\mu k'_\mu}$,

$$H_{\mathbf{k}} \psi_{\mathbf{k}, j}^{\mu, n} = \varepsilon_{\mathbf{k}}^{\mu, n} \psi_{\mathbf{k}, j}^{\mu, n} \quad (107)$$

$$(1 \leq j \leq d_\mu \quad 1 \leq n \leq M_\mu) \quad (108)$$

$$\psi_{\mathbf{k}, j}^{\mu, n} = \sum_{k_\mu=1}^{M_\mu} c_n^{\mu, k_\mu} \varphi_j^{\mu, k_\mu} \quad (109)$$

$$\sum_{k_\mu=1}^{M_\mu} |c_n^{\mu, k_\mu}|^2 = 1 \quad (110)$$

This is called *hybridization*, which strictly occurs within the sub-spaces of the same irreps!

5.1 Localized (tight-binding) picture

The crystal potential, $V(\mathbf{r})$, can be divided into pieces with respect to atomic cells,

$$V(\mathbf{r}) = \sum_i V(\mathbf{r}) \Theta_i(\mathbf{r}) \quad (111)$$

where

$$\Theta_i(\mathbf{r}) = \begin{cases} 1 & \text{if } \mathbf{r} \in \Omega_i \\ 0 & \text{if } \mathbf{r} \notin \Omega_i \end{cases} \quad (112)$$

with Ω_i being the Wigner-Seitz cell corresponding to the atomic position \mathbf{R}_i ,

$$\bigcup_i \Omega_i = 1. \quad (113)$$

The cell-potential is defined as

$$V_i(\mathbf{r}) = V(\mathbf{r}) \Theta_i(\mathbf{r}), \quad (114)$$

$$V_j(\mathbf{r} - \mathbf{R}_j) = V_i(\mathbf{r} - \mathbf{R}_i) = V_c(\mathbf{r} - \mathbf{R}_i) \quad (115)$$

$$V(\mathbf{r}) = \sum_i V_c(\mathbf{r} - \mathbf{R}_i) . \quad (116)$$

Let us introduce spherical atomic potentials,

$$V_a(\mathbf{r} - \mathbf{R}_i) = V_a(|\mathbf{r} - \mathbf{R}_i|) , \quad (117)$$

such that

$$V_a(\mathbf{r} - \mathbf{R}_i) = V_a(\mathbf{r} - \mathbf{R}_i) \Theta_i(\mathbf{r}) , \quad (118)$$

and atomic-like localized wavefunctions, $\varphi_\alpha(\mathbf{r})$, that are solutions of the Schrödinger-equation in a given cell,

$$\left[-\frac{\hbar^2}{2m} \Delta + V_a(\mathbf{r} - \mathbf{R}_i) \right] \varphi_\alpha(\mathbf{r} - \mathbf{R}_i) = \varepsilon_\alpha \varphi_\alpha(\mathbf{r} - \mathbf{R}_i) \quad (119)$$

$$\langle \varphi_\alpha | \varphi_{\alpha'} \rangle = \int d^3r \varphi_\alpha(\mathbf{r} - \mathbf{R}_i)^* \varphi_{\alpha'}(\mathbf{r} - \mathbf{R}_i) = \delta_{\alpha\alpha'} . \quad (120)$$

Apparently, φ_α can be classified according to the irreps of the point-group of continuous rotations, $O(3)$, i.e., φ_{nlm} , where $n = 1, 2, \dots$ is the principal quantum number, ℓ is the orbital quantum number and m is the magnetic quantum number. Corresponding Bloch functions can be introduced as,

$$\psi_\alpha(\mathbf{k}, \mathbf{r}) = \frac{c}{\sqrt{N}} \sum_i e^{i\mathbf{k}\mathbf{R}_i} \varphi_\alpha(\mathbf{r} - \mathbf{R}_i) \quad (121)$$

since

$$\psi_\alpha(\mathbf{k}, \mathbf{r} + \mathbf{R}_j) = \frac{c}{\sqrt{N}} \sum_i e^{i\mathbf{k}\mathbf{R}_i} \varphi_\alpha(\mathbf{r} + \mathbf{R}_j - \mathbf{R}_i) \quad (122)$$

$$= e^{i\mathbf{k}\mathbf{R}_j} \psi_\alpha(\mathbf{k}, \mathbf{r}) . \quad (123)$$

These functions are, however, not orthonormal:

$$\langle \psi_\alpha(\mathbf{k}') | \psi_{\alpha'}(\mathbf{k}) \rangle = \frac{|c|^2}{N} \sum_{i,j} e^{i\mathbf{k}\mathbf{R}_j - i\mathbf{k}'\mathbf{R}_i} \underbrace{\int d^3r \varphi_\alpha(\mathbf{r} - \mathbf{R}_i)^* \varphi_{\alpha'}(\mathbf{r} - \mathbf{R}_j)}_{S_{\alpha\alpha'}(\mathbf{R}_j - \mathbf{R}_i)} \quad (124)$$

$$= \delta_{\mathbf{k}\mathbf{k}'} |c|^2 S_{\alpha\alpha'}(\mathbf{k}) \quad (125)$$

with

$$S_{\alpha\alpha'}(\mathbf{k}) = \sum_i e^{i\mathbf{k}\mathbf{R}_i} S_{\alpha\alpha'}(\mathbf{R}_i) . \quad (126)$$

Let's simplify matters by supposing

$$S_{\alpha\alpha'}(\mathbf{k}) = \delta_{\alpha\alpha'} \implies c = 1 \quad (127)$$

The eigenfunctions of the system can be looked for as

$$\psi_j(\mathbf{k}, \mathbf{r}) = \sum_\alpha c_\alpha^j(\mathbf{k}) \psi_\alpha(\mathbf{k}, \mathbf{r}) \quad (128)$$

$$= \frac{1}{\sqrt{N}} \sum_\alpha c_\alpha^j(\mathbf{k}) \sum_i e^{i\mathbf{k}\mathbf{R}_i} \varphi_\alpha(\mathbf{r} - \mathbf{R}_i) \quad (129)$$

$$H\psi_j(\mathbf{k}) = \varepsilon_{\mathbf{k}}^j \psi_j(\mathbf{k}) \quad (130)$$

Then we arrive at a secular equation,

$$\sum_\alpha c_\alpha^j(\mathbf{k}) H\psi_\alpha(\mathbf{k}) = \varepsilon_{\mathbf{k}}^j \sum_\alpha c_\alpha^j(\mathbf{k}) \psi_\alpha(\mathbf{k}) \quad (131)$$

$$\sum_{\alpha'} \left[H_{\alpha\alpha'}(\mathbf{k}) - \varepsilon_{\mathbf{k}}^j \delta_{\alpha\alpha'} \right] c_{\alpha'}^j = 0 \quad (132)$$

$$\det \left(\underline{H}(\mathbf{k}) - \varepsilon_{\mathbf{k}}^j \underline{I} \right) = 0. \quad (133)$$

The reciprocal-space Hamilton-matrix

$$\begin{aligned} H_{\alpha\alpha'}(\mathbf{k}) &= \frac{1}{N} \sum_{i,j} e^{i\mathbf{k}(\mathbf{R}_j - \mathbf{R}_i)} \int d^3r \varphi_{\alpha}(\mathbf{r} - \mathbf{R}_i)^* \left(-\frac{\hbar^2}{2m} \Delta + V(\mathbf{r}) \right) \varphi_{\alpha'}(\mathbf{r} - \mathbf{R}_j) \\ &= \frac{1}{N} \sum_{i,j} e^{i\mathbf{k}(\mathbf{R}_j - \mathbf{R}_i)} \int d^3r \varphi_{\alpha}(\mathbf{r} - \mathbf{R}_i)^* \left(-\frac{\hbar^2}{2m} \Delta + V(\mathbf{r} - \mathbf{R}_j) \right) \varphi_{\alpha'}(\mathbf{r} - \mathbf{R}_j) \\ &= \frac{1}{N} \sum_{i,j} e^{i\mathbf{k}(\mathbf{R}_j - \mathbf{R}_i)} \int d^3r \varphi_{\alpha}(\mathbf{r} - \mathbf{R}_i)^* \left(-\frac{\hbar^2}{2m} \Delta + V_a(\mathbf{r} - \mathbf{R}_j) \right) \varphi_{\alpha'}(\mathbf{r} - \mathbf{R}_j) \\ &\quad + \frac{1}{N} \sum_{i,j} e^{i\mathbf{k}(\mathbf{R}_j - \mathbf{R}_i)} \underbrace{\int d^3r \varphi_{\alpha}(\mathbf{r} - \mathbf{R}_i)^* (V(\mathbf{r} - \mathbf{R}_j) - V_a(\mathbf{r} - \mathbf{R}_j)) \varphi_{\alpha'}(\mathbf{r} - \mathbf{R}_j)}_{V_{\alpha\alpha'}(\mathbf{R}_j - \mathbf{R}_i)(1 - \delta_{\mathbf{R}_i \mathbf{R}_j}) + \delta_{\mathbf{R}_i \mathbf{R}_j} \Delta \varepsilon_{\alpha\alpha'}} \\ &= \varepsilon_{\alpha} \delta_{\alpha\alpha'} + \Delta \varepsilon_{\alpha\alpha'} + \sum_{\mathbf{R}_i \neq 0} e^{i\mathbf{k}\mathbf{R}_i} V_{\alpha\alpha'}(\mathbf{R}_i) \end{aligned} \quad (134)$$

$$\varepsilon_{\alpha\alpha'} \equiv \varepsilon_{\alpha} \delta_{\alpha\alpha'} + \Delta \varepsilon_{\alpha\alpha'} = \int d^3r \varphi_{\alpha}(\mathbf{r})^* \left(-\frac{\hbar^2}{2m} \Delta + V(\mathbf{r}) \right) \varphi_{\alpha'}(\mathbf{r}) \quad (135)$$

Usual approach (good in case of high symmetry):

$$\varepsilon_{\alpha\alpha'} \simeq \varepsilon_{\alpha} \delta_{\alpha\alpha'} \quad (136)$$

The hybridization matrix:

$$V_{\alpha\alpha'}(\mathbf{R}_i) = \int d^3r \varphi_{\alpha}(\mathbf{r})^* (V(\mathbf{r} - \mathbf{R}_i) - V_a(\mathbf{r} - \mathbf{R}_i)) \varphi_{\alpha'}(\mathbf{r} - \mathbf{R}_i) \quad (137)$$

The real-space Hamilton-matrix:

$$H_{\alpha\alpha'}^{ij} = \varepsilon_{\alpha} \delta_{\alpha\alpha'} \delta_{ij} + V_{\alpha\alpha'}(\mathbf{R}_j - \mathbf{R}_i) (1 - \delta_{ij}). \quad (138)$$

By using a unitary transformation, the Hamilton-matrix can be written as

$$H_{n\ell i, n'\ell' i'}^{\mu, k}(\mathbf{k}) \delta_{\mu\mu'} \delta_{kk'} \quad (139)$$

where μ and k label the irreps of the little group of \mathbf{k} and the corresponding symmetry-adapted wavefunctions, respectively, while the occurrence of irrep μ in the ℓ -th and ℓ' -th irrep of $O(3)$ is denoted by i and i' . Usually, $n = n'$. Diagonalization of this matrix gives the eigenvalues $\varepsilon_n^{\mu, b}(\mathbf{k})$, where b is the bandindex. Thus, basisfunctions with different ℓ values can be mixed to form a band. This is a more common definition of *hybridization*. A well-known example is the $s - d$ ($4s - 3d$) hybridization in $3d$ transition metals.

6 Density of states

Spectral density of states:

$$n_{\mathbf{k}}(\varepsilon) = \sum_n \delta(\varepsilon - \varepsilon_{\mathbf{k}n}) \quad (140)$$

$$R \in \mathcal{G} : n_{R\mathbf{k}}(\varepsilon) = n_{\mathbf{k}}(\varepsilon) \quad (141)$$

Total density of states:

$$n(\varepsilon) = \sum_{\mathbf{k} \in BZ} n_{\mathbf{k}}(\varepsilon) = \sum_{R \in \mathcal{G}} \sum_{\mathbf{k} \in IBZ} n_{\mathbf{k}}(\varepsilon) = g \sum_{\mathbf{k} \in IBZ} n_{\mathbf{k}}(\varepsilon) \quad (142)$$

This implies that the total density of states can be calculated by integrating the spectral density of states in the irreducible wedge of the BZ.

Resolution according to irreps

$$H\psi_i = \varepsilon_i \psi_i \quad (143)$$

$$n(\varepsilon) = \sum_i \delta(\varepsilon - \varepsilon_i) \quad (144)$$

The results of the previous sections can be applied here, too:

$$R \in \mathcal{G} : HR = RH \quad (145)$$

$$H\psi_j^{(\mu)i} = \varepsilon^{(\mu)i} \psi_j^{(\mu)i} \quad (146)$$

$$(\mu = 1, \dots, r \quad j = 1, \dots, d_\mu) \quad (147)$$

$$n(\varepsilon) = \sum_{\mu} d_{\mu} \sum_i \delta(\varepsilon - \varepsilon^{(\mu)i}) = \sum_{\mu} n_{\mu}(\varepsilon) \quad (148)$$

$$n_{\mu}(\varepsilon) = d_{\mu} \sum_i \delta(\varepsilon - \varepsilon^{(\mu)i}) \quad (149)$$

7 Appendix: the cubic point-group, O_h

Rotations: $3C_4, 6C_2, 4C_3 \implies 1 + 3 \cdot 3 + 6 \cdot 1 + 4 \cdot 2 = 24$ symmetry operations. *48 elements* with inversion
10 classes: 4 one-dim., 2 two-dim., 4 three-dim. ($4 + 2 \cdot 4 + 4 \cdot 9 = 48$)

Irreducible representations \rightarrow even functions: $A_{1g}, A_{2g}, E_g, T_{1g}, T_{2g}$, odd functions: $A_{1u}, A_{2u}, E_u, T_{1u}, T_{2u}$

Canonical basis:

$$1 \rightarrow A_{1g} \quad (150)$$

$$\{x, y, z\} \rightarrow T_{1u} \quad (151)$$

$$\{xy, yz, xz\} \rightarrow T_{2g} \quad (152)$$

$$\{x^2 - y^2, 2z^2 - x^2 - y^2\} \rightarrow E_g \quad (153)$$

Splitting of energy levels when reducing symmetry:

	O_h		$C_{4v}^{(z)}$		$C_{2v}^{(xz)}$
p ($\ell = 1$)	$\{x, y, z\}$	\implies	$\{x, y\}$ z	\implies	x y z
d ($\ell = 2$)	$\{x^2 - y^2, 2z^2 - x^2 - y^2\}$ $\{xy, yz, xz\}$	\implies	$x^2 - y^2$ $2z^2 - x^2 - y^2$ xy $\{yz, xz\}$	\implies	$x^2 - y^2$ $2z^2 - x^2 - y^2$ xy xz yz

(154)

	O_h		$C_{3v}^{(z)}$		$C_3^{(z)}$
p ($\ell = 1$)	$\{x, y, z\}$	\Rightarrow	$\begin{matrix} \{x, y\} \\ z \end{matrix}$	\Rightarrow	$\begin{matrix} x + iy \\ x - iy \\ z \end{matrix}$
d ($\ell = 2$)	$\begin{matrix} \{x^2 - y^2, 2z^2 - x^2 - y^2\} \\ \{xy, yz, xz\} \end{matrix}$	\Rightarrow	$\begin{matrix} \{xy, x^2 - y^2\} \\ 2z^2 - x^2 - y^2 \\ \{yz, xz\} \end{matrix}$	\Rightarrow	$\begin{matrix} x^2 - y^2 + 2ixy \\ x^2 - y^2 - 2ixy \\ 2z^2 - x^2 - y^2 \\ (x + iy)z \\ (x - iy)z \end{matrix}$

(155)

8 Appendix: the group $C_3^{(z)}$

Anticlockwise rotation by $\pi/3$:

$$x' = \frac{1}{2}x + \frac{\sqrt{3}}{2}y \quad (156)$$

$$y' = -\frac{\sqrt{3}}{2}x + \frac{1}{2}y \quad (157)$$

$$x' + iy' = \left(\frac{1}{2} - i\frac{\sqrt{3}}{2}\right)x + \left(\frac{\sqrt{3}}{2} + i\frac{1}{2}\right)y = \left(\frac{1}{2} - i\frac{\sqrt{3}}{2}\right)(x + iy) \quad (158)$$

$$= e^{-i2\pi/3}(x + iy) \quad (159)$$

$$x' - iy' = \left(\frac{1}{2} + i\frac{\sqrt{3}}{2}\right)x + \left(\frac{\sqrt{3}}{2} - i\frac{1}{2}\right)y = \left(\frac{1}{2} + i\frac{\sqrt{3}}{2}\right)(x - iy) \quad (160)$$

$$= e^{i2\pi/3}(x - iy) \quad (161)$$

$$2x'y' = -\frac{\sqrt{3}}{2}x^2 + \frac{\sqrt{3}}{2}y^2 - xy = -\frac{1}{2}(2xy) - \frac{\sqrt{3}}{2}(x^2 - y^2) \quad (162)$$

$$x'^2 - y'^2 = \left(\frac{1}{2}x + \frac{\sqrt{3}}{2}y\right)^2 - \left(-\frac{\sqrt{3}}{2}x + \frac{1}{2}y\right)^2 = \frac{\sqrt{3}}{2}(2xy) - \frac{1}{2}(x^2 - y^2) \quad (163)$$

$$\begin{pmatrix} 2x'y' \\ x'^2 - y'^2 \end{pmatrix} = \begin{pmatrix} -\frac{1}{2} & -\frac{\sqrt{3}}{2} \\ \frac{\sqrt{3}}{2} & -\frac{1}{2} \end{pmatrix} \begin{pmatrix} 2xy \\ x^2 - y^2 \end{pmatrix} \quad (164)$$

$$D(C_3) = \begin{pmatrix} -\frac{1}{2} & -\frac{\sqrt{3}}{2} \\ \frac{\sqrt{3}}{2} & -\frac{1}{2} \end{pmatrix} \quad \chi(C_3) = -1 \quad (165)$$

$$D(C_3^{-1}) = \begin{pmatrix} -\frac{1}{2} & \frac{\sqrt{3}}{2} \\ -\frac{\sqrt{3}}{2} & -\frac{1}{2} \end{pmatrix} \quad \chi(C_3^{-1}) = -1 \quad (166)$$

For one-dimensional irreps (Abelian group):

$$P^{(\mu)} = \frac{1}{g} \sum_{R \in \mathcal{G}} \chi^{(\mu)}(R)^* \cdot D(R) \quad (167)$$

	E	C_3	C_3^{-1}	
A	1	1	1	
1E	1	$e^{-i2\pi/3}$	$e^{i2\pi/3}$	(168)
2E	1	$e^{i2\pi/3}$	$e^{-i2\pi/3}$	

$$P(A) = \frac{1}{3} \left[\begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix} + \begin{pmatrix} -\frac{1}{2} & -\frac{\sqrt{3}}{2} \\ \frac{\sqrt{3}}{2} & -\frac{1}{2} \end{pmatrix} + \begin{pmatrix} -\frac{1}{2} & \frac{\sqrt{3}}{2} \\ -\frac{\sqrt{3}}{2} & -\frac{1}{2} \end{pmatrix} \right] = \begin{pmatrix} 0 & 0 \\ 0 & 0 \end{pmatrix} \quad (169)$$

$$P({}^1E) = \frac{1}{3} \left[\begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix} + e^{-i2\pi/3} \begin{pmatrix} -\frac{1}{2} & -\frac{\sqrt{3}}{2} \\ \frac{\sqrt{3}}{2} & -\frac{1}{2} \end{pmatrix} + e^{i2\pi/3} \begin{pmatrix} -\frac{1}{2} & \frac{\sqrt{3}}{2} \\ -\frac{\sqrt{3}}{2} & -\frac{1}{2} \end{pmatrix} \right] = \begin{pmatrix} \frac{1}{2} & \frac{i}{2} \\ -\frac{i}{2} & \frac{1}{2} \end{pmatrix} \quad (170)$$

$$P({}^2E) = \frac{1}{3} \left[\begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix} + e^{i2\pi/3} \begin{pmatrix} -\frac{1}{2} & -\frac{\sqrt{3}}{2} \\ \frac{\sqrt{3}}{2} & -\frac{1}{2} \end{pmatrix} + e^{-i2\pi/3} \begin{pmatrix} -\frac{1}{2} & \frac{\sqrt{3}}{2} \\ -\frac{\sqrt{3}}{2} & -\frac{1}{2} \end{pmatrix} \right] = \begin{pmatrix} \frac{1}{2} & -\frac{i}{2} \\ \frac{i}{2} & \frac{1}{2} \end{pmatrix} \quad (171)$$