

Bulk-edge correspondence in non-Hermitian systems & physics sensitive vs. insensitive to the boundary condition

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The outline

1) Bulk-edge correspondence (BEC) in *Hermitian* topological systems: BEC-1

sensitive

2) BEC in *non-Hermitian* topological systems: BEC-1'

3) A new type of BEC in non-Hermitian systems exhibiting *skin effect*: BEC-2

4) Non-Hermitian wave-packet *dynamics*

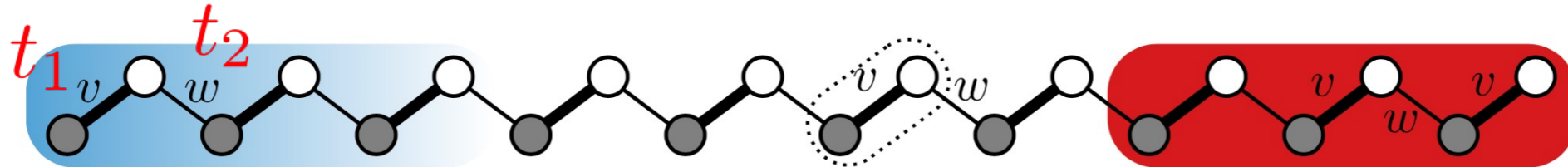
← insensitive

Physics sensitive vs. insensitive to the boundary condition

in non-Hermitian systems

1) Bulk-edge correspondence in *Hermitian topological systems*: BEC-1

A prototype: the SSH model or the Su-Schrieffer-Heeger model



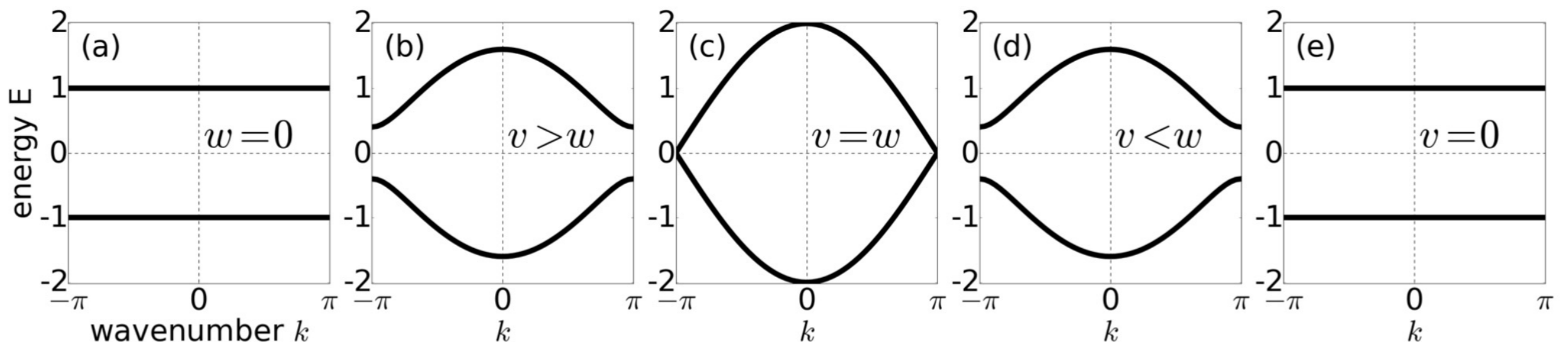
$$\hat{H} = v \sum_{m=1}^N (|m, B\rangle \langle m, A| + h.c.) + w \sum_{m=1}^{N-1} (|m+1, A\rangle \langle m, B| + h.c.) \quad \text{obc, in real space}$$

$$H(k) = \begin{pmatrix} 0 & v + we^{-ik} \\ v + we^{ik} & 0 \end{pmatrix}; \quad E(k) = |v + e^{-ik}w| = \sqrt{v^2 + w^2 + 2vw \cos k}.$$

Bloch Hamiltonian in k-space, pbc;
energy spectrum/dispersion

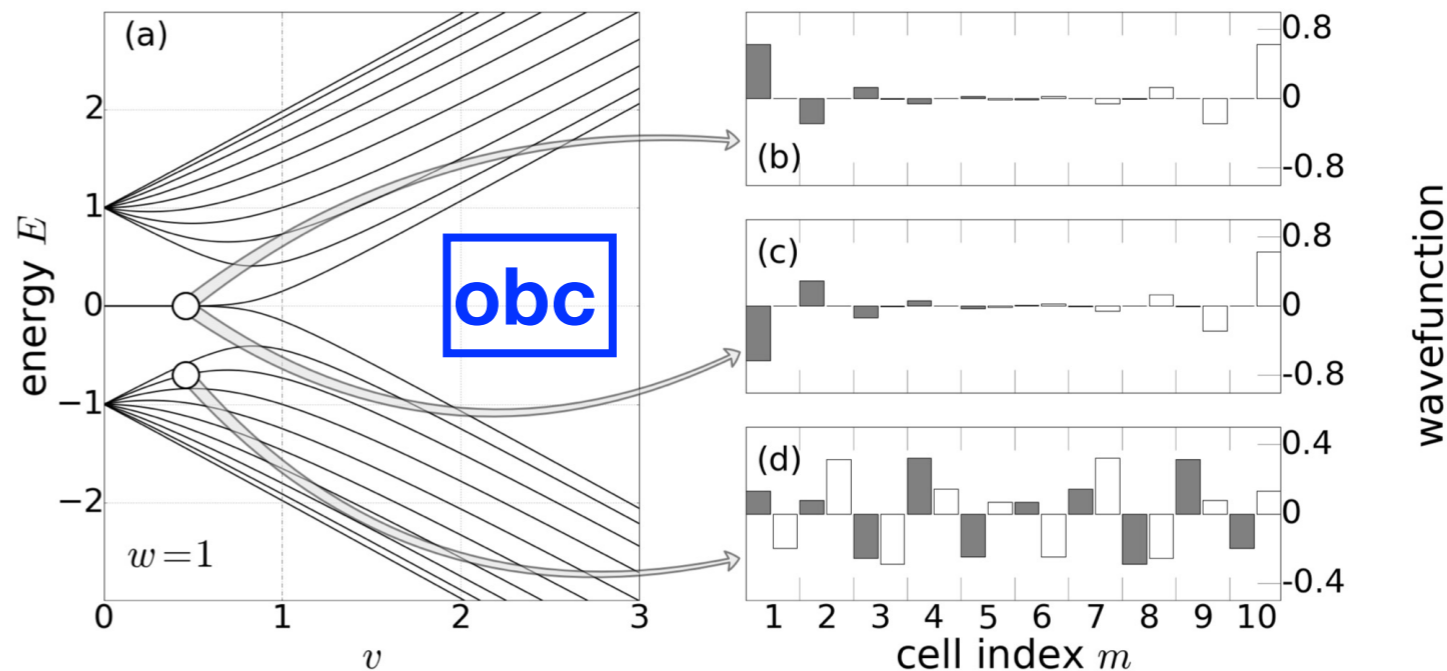
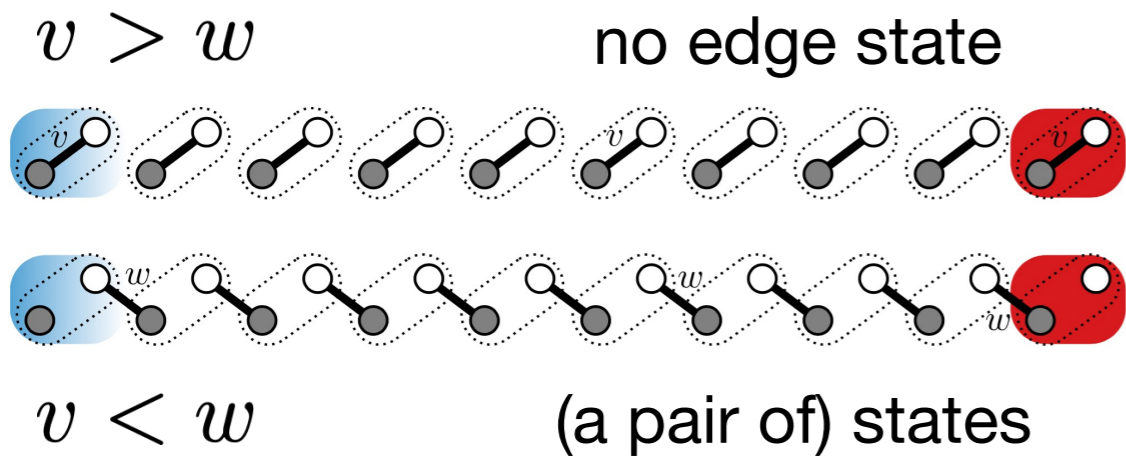
(Bulk) energy bands:

pbc



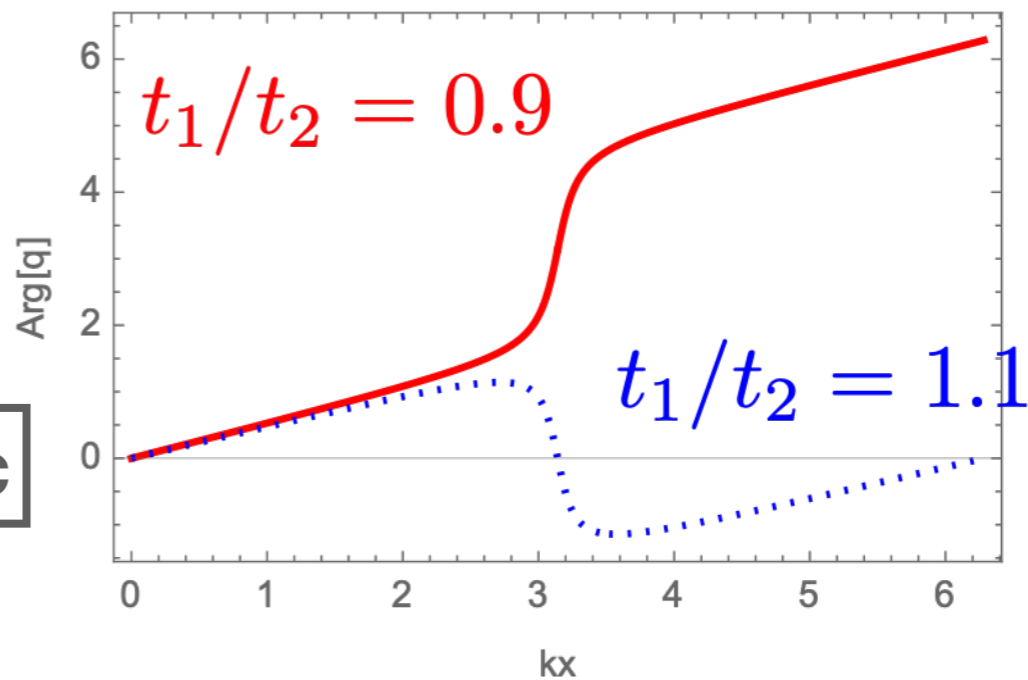
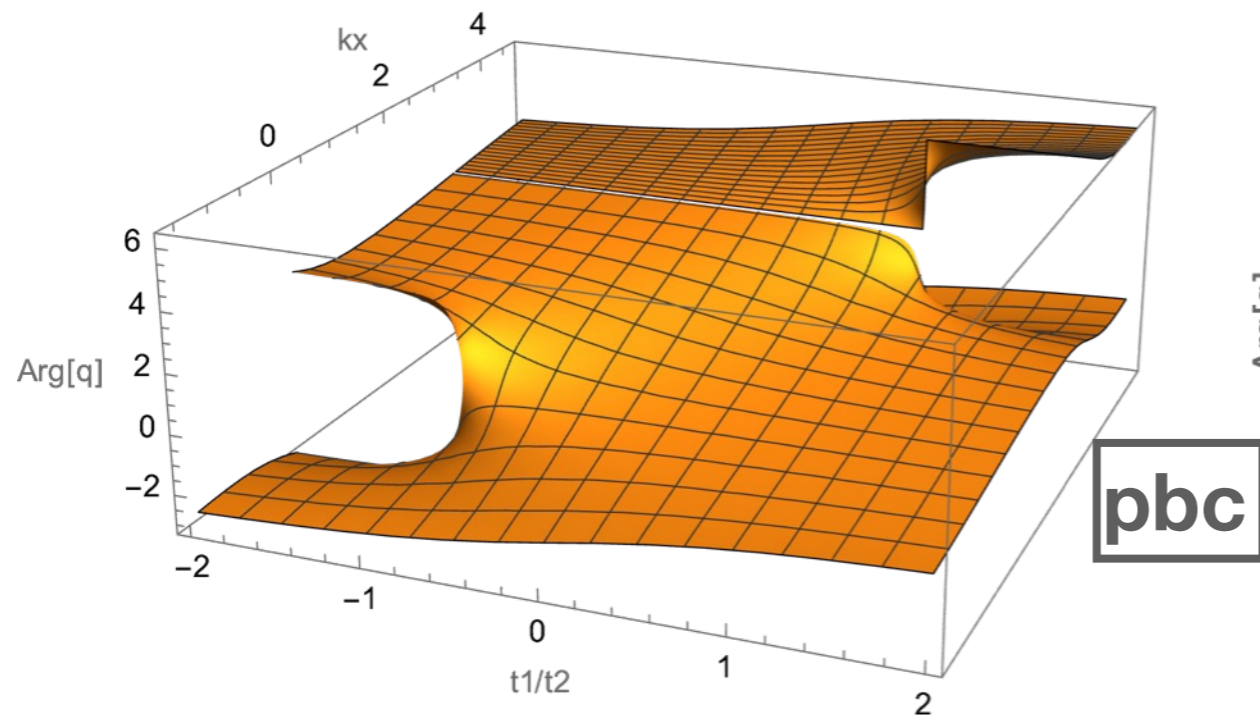
The bulk-boundary correspondence

Edge states, (topological) phase transition



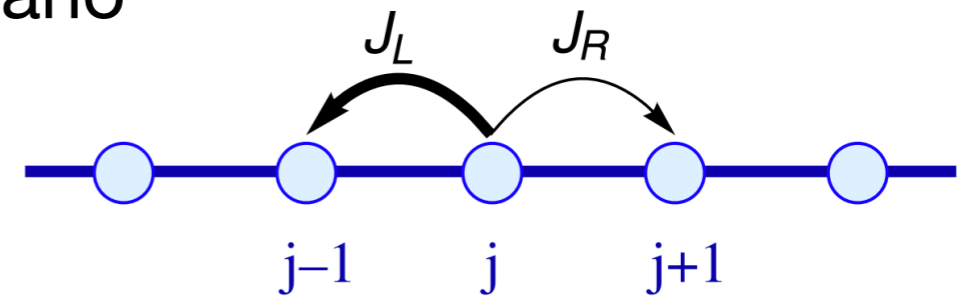
The winding number: \sim Berry/geometric phase

$$\nu = \frac{1}{2\pi i} \int_{-\pi}^{\pi} dk \frac{d}{dk} \log h(k), \quad H(k) = \begin{pmatrix} 0 & h(k) \\ h^*(k) & 0 \end{pmatrix}; \quad \nu = \begin{cases} 1 & \text{for } -|t_2| < t_1 < |t_2| \\ 0 & \text{for } |t_1/t_2| > 1 \end{cases}$$



2) BBC in *non-Hermitian* topological systems: BBC-1'

- Non-Hermitian system (in particular, the Hatano-Nelson type model) is sensitive to boundary conditions; so is a topological insulator...



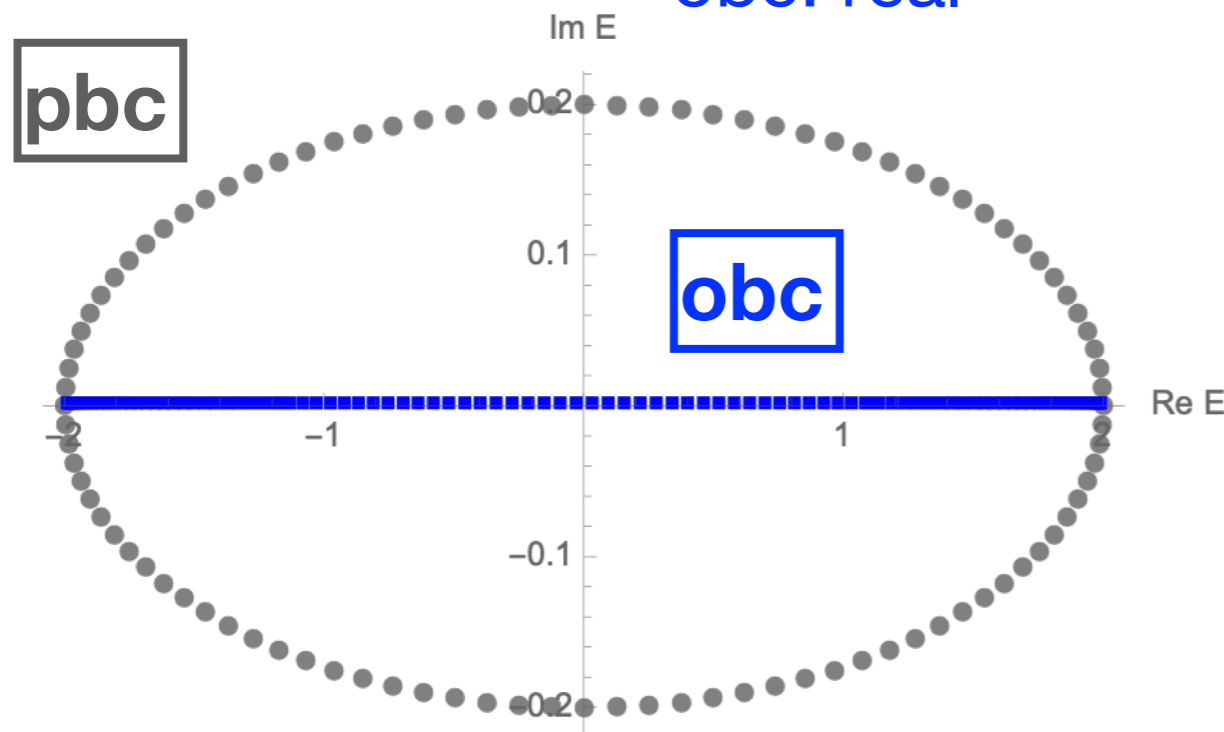
A prototype: Hatano-Nelson model

$$H_{\text{HN}} = \sum_j (t_R |j+1\rangle \langle j| + t_L |j\rangle \langle j+1| + W_j |j\rangle \langle j|) \quad W_j \in [-W/2, W/2]$$

anisotropic/non-reciprocal hopping: $t_R \neq t_L$

The spectrum:

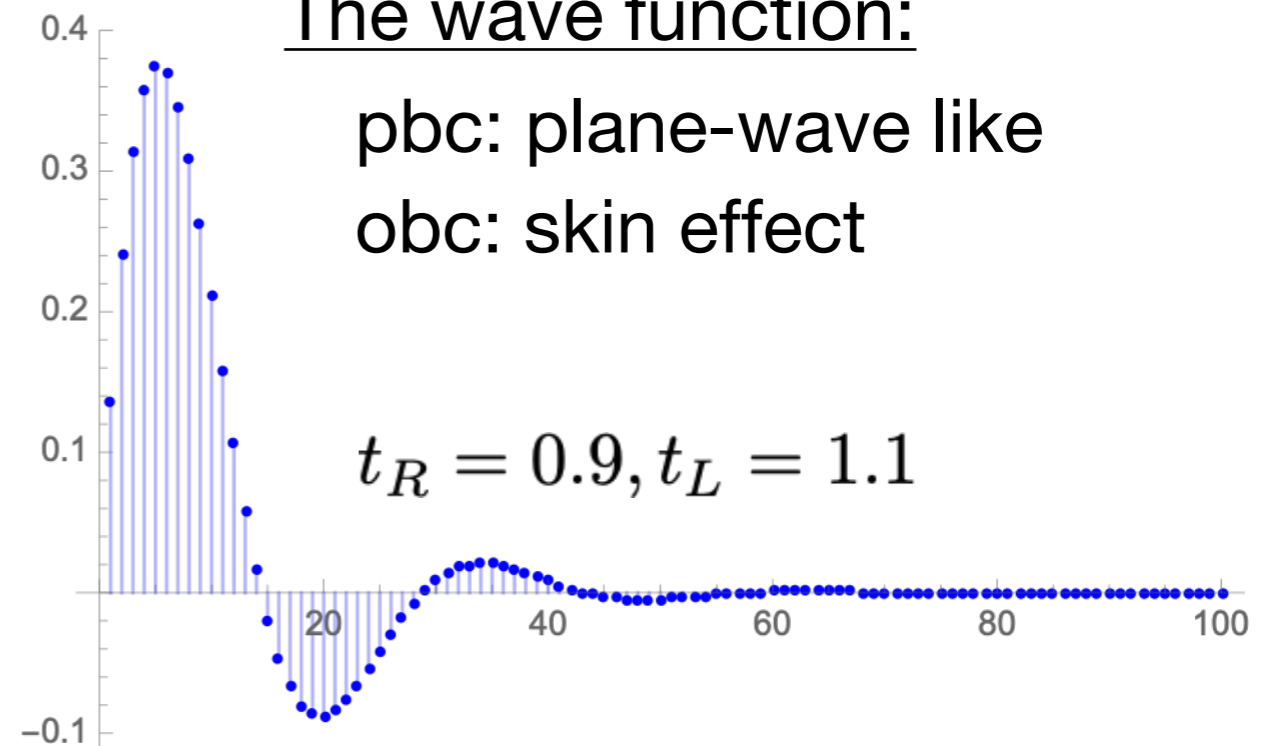
pbcc: complex
obc: real



The wave function:

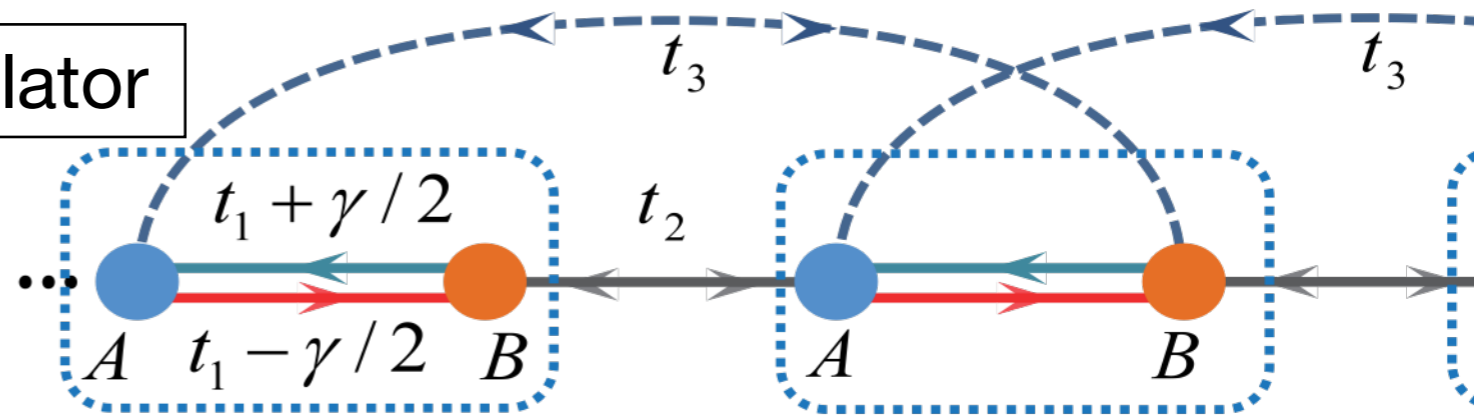
pbcc: plane-wave like
obc: skin effect

$$t_R = 0.9, t_L = 1.1$$



Non-Hermitian topological insulator

A paradigmatic example:
SSH×Hatano-Nelson model



$$H_{\text{NN}} = \sum_n [t_1^- |nB\rangle\langle nA| + t_1^+ |nA\rangle\langle nB| + t_2^- |n+1, A\rangle\langle n, B| + t_2^+ |nB\rangle\langle n+1, A|]$$

$$t_1^\pm = t_1 \pm \gamma_1, t_2^\pm = t_2 \pm \gamma_2$$

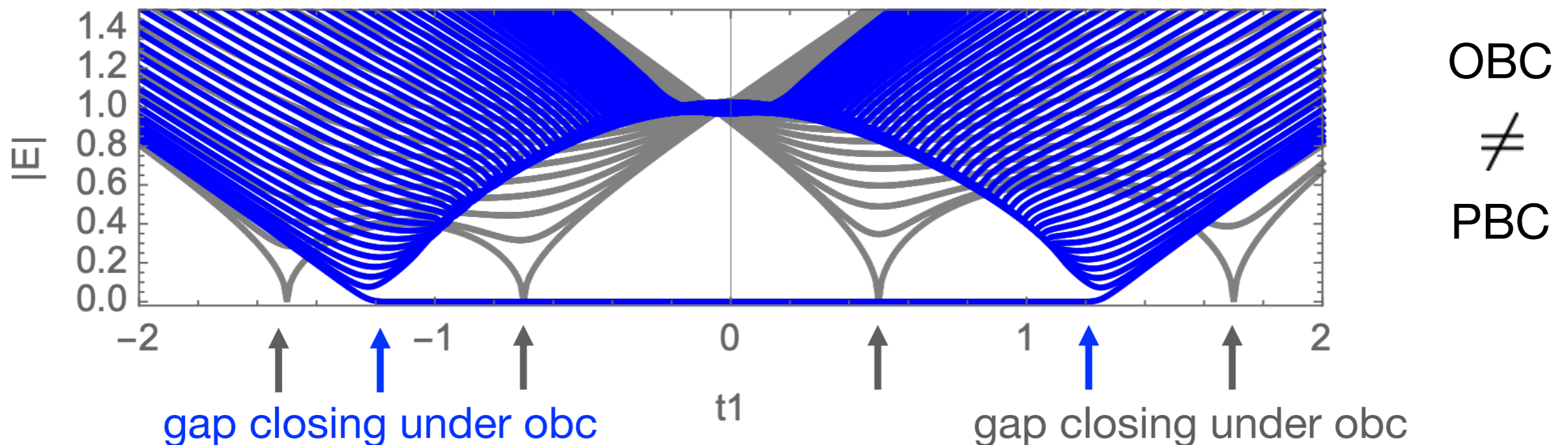
- anisotropic/non-reciprocal hopping (Hatano-Nelson)

$$H_{\text{3NN}} = \sum_n [t_3^- |n+1, B\rangle\langle nA| + t_3^+ |nA\rangle\langle n+1, B|]$$

- alternating hopping (SSH)

$$H = H_{\text{NN}} + H_{\text{3NN}} + \dots$$

(Apparent) breakdown of the bulk-edge correspondence:



The underlying reason: non-hermitian skin effect

Yao & Wang, PRL 2018

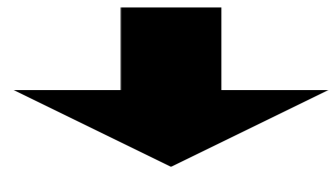
To recover the bulk-edge correspondence in non-Hermitian topological systems

two recipes are known:

Recipe 1 (our recipe):

Imura & Takane, PRB 2019; PTEP 2020

Problem: the bulk (at least, under the standard pbc) was “wrong”



\neq boundary/edge

- choose to modify the bulk \longleftrightarrow pbc
- modify/generalize the periodic boundary condition
 \longrightarrow generalized pbc (gpbc)

Recipe 2: an alternative scenario

- the so-called “non-Bloch” approach
- abandons pbc
- completes a BEC within the obc

Yao & Wang, PRL 2018

Yokomizo & Murakami, PRL 2019

~ the underlying idea ~

The generalized PBC:

$$H_{gpbc} = H_{obc} + \underline{H_{bd}(b)}$$

e.g., case of Hatano-Nelson model

$$H_{obc} = \sum_{x=1}^L (t_R |x+1\rangle\langle x| + t_L |x\rangle\langle x+1|)$$

The boundary Hamiltonian:

$$H_{bd}(b) = b^{-L} t_1 |1\rangle\langle L| + b^L t_2 |L\rangle\langle 1|$$

→ Correspondingly, generalized Bloch Hamiltonian, generalized Bloch states, and the generalized Brillouin zone

$$|\beta\rangle = \sum_x \beta^x |x\rangle \quad \beta = b e^{ik} \\ b \neq 1$$

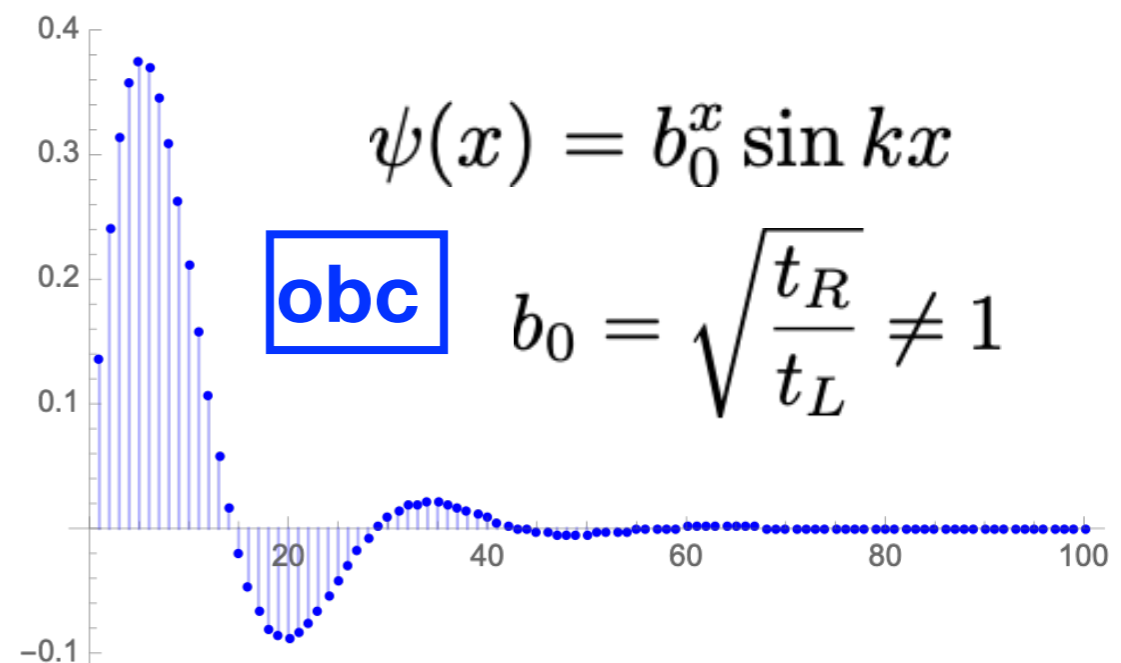
Remarks:

- Eigen wave functions under obc are composed of solutions with

$$b \sim b_0 \neq 1$$

- The (naive) periodic boundary condition: $b=1$ automatically selects those solutions with $b=1$

inadequate for describing topological phase transitions under obc



Application to our paradigmatic example:

the SSH×Hatano-Nelson model

b: free parameter

The generalized PBC:

$$H_{gpbc} = H_{obc} + \underline{H_{bd}(b)} \quad H_{obc} = H_{NN} + H_{3NN} \quad b \neq 1$$

The boundary Hamiltonian:

$$H_{bd}(b) = H_{bd}^{NN} + H_{bd}^{3NN}$$

$$H_{bd}^{NN} = b^{-L} t_2^- |1, A\rangle \langle L, B| + b^L t_2^+ |L, B\rangle \langle 1, A|$$

$$H_{bd}^{3NN} = b^{-L} t_3^- |1, B\rangle \langle N, A| + b^L t_3^+ |N, A\rangle \langle 1, B|$$

Generalized Bloch Hamiltonian, generalized Bloch states:

$$H_{gpbc} |\beta\rangle = E(\beta) |\beta\rangle \quad |\beta\rangle = \sum_{j=0}^{L-1} \beta^j (c_A |jA\rangle + c_B |jB\rangle)$$

$$\begin{bmatrix} 0 & R_+(\beta) \\ R_-(\beta) & 0 \end{bmatrix} \begin{bmatrix} c_A \\ c_B \end{bmatrix} = E \begin{bmatrix} c_A \\ c_B \end{bmatrix} \quad \boxed{\beta = be^{ik}, b \neq 1}$$

generalized Brillouin zone

$$R_+(\beta) = t_1^+ + t_2^- \beta^{-1} + t_3 \beta = t_1 + \gamma_1 + (t_2 - \gamma_2) \beta^{-1} + t_3 \beta$$

$$R_-(\beta) = t_1^- + t_2^+ \beta + t_3 \beta^{-1} = t_1 - \gamma_1 + (t_2 + \gamma_2) \beta + t_3 \beta^{-1}$$

To identify different topological phases

→ a pair of chiral winding numbers (w_+, w_-)

where

$$w_{\pm}(b) = \frac{1}{2\pi} [\arg R_{\pm}(\beta)]_{k=0}^{2\pi}$$

Yao & Wang, PRL 2018

- Mapping:

$$\beta = be^{ik}$$

$$\beta \rightarrow \rho_{\pm} = \rho_{\pm}$$

- The trajectory of $\rho = R_{\pm}(\beta)$

Measure of how many times winding around the origin

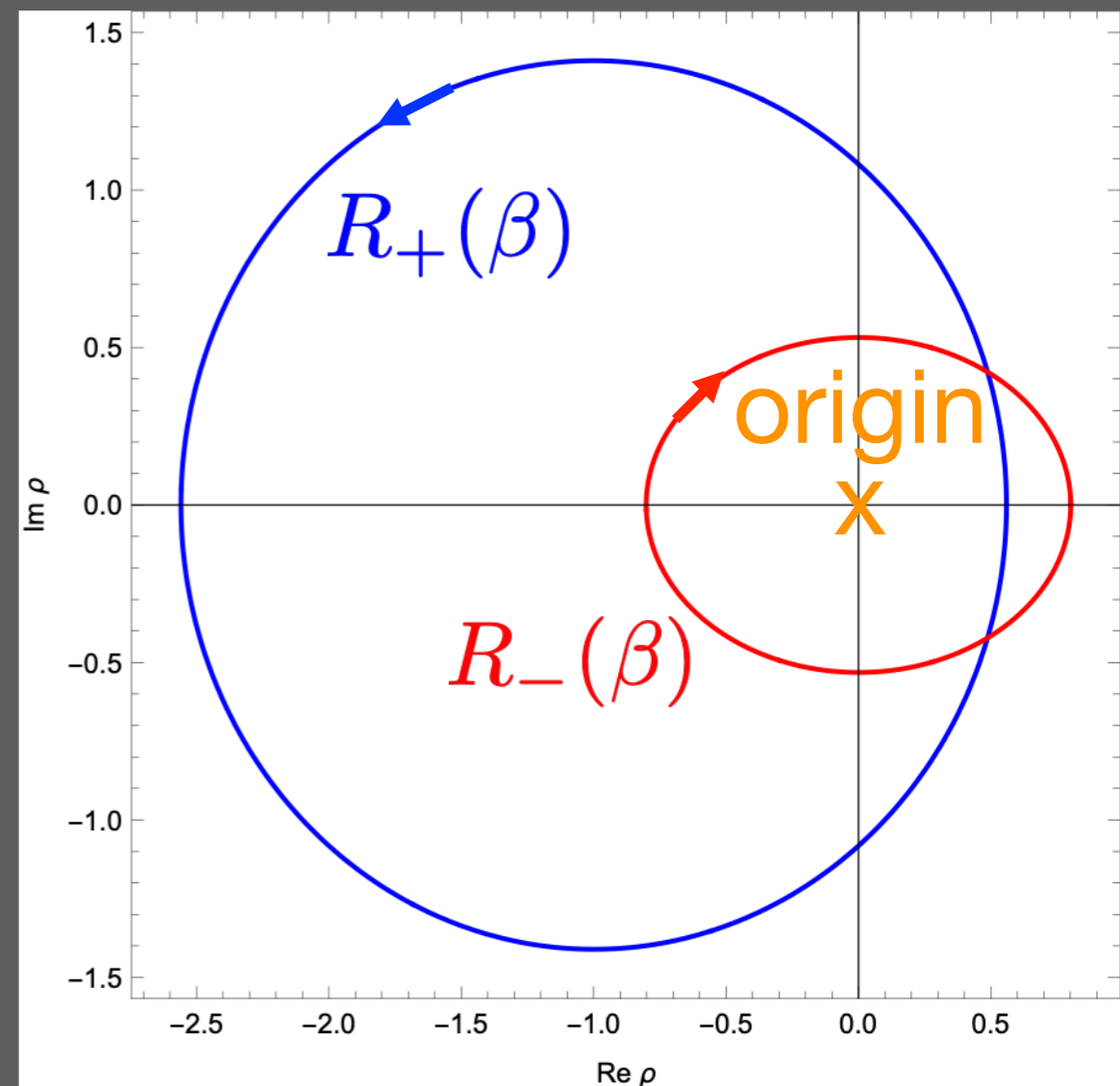


- Hermitian limit: $w_- = -w_+$

$$w = \frac{w_+ - w_-}{2}$$

{	TI: $w=1$	↔	A pair of $E=0$ edge states
	OI: $w=0$	↔	No edge state

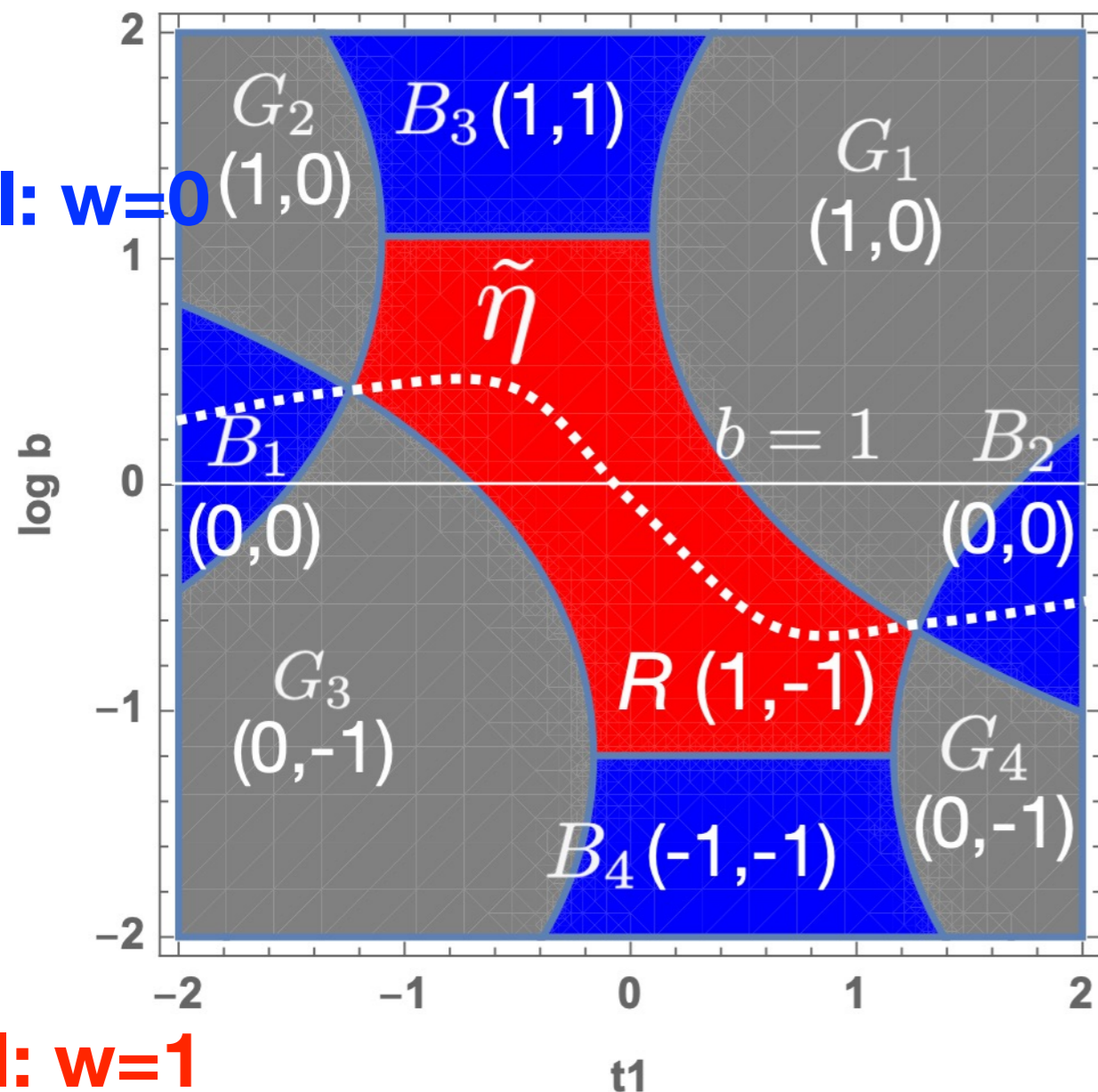
Bulk-edge correspondence



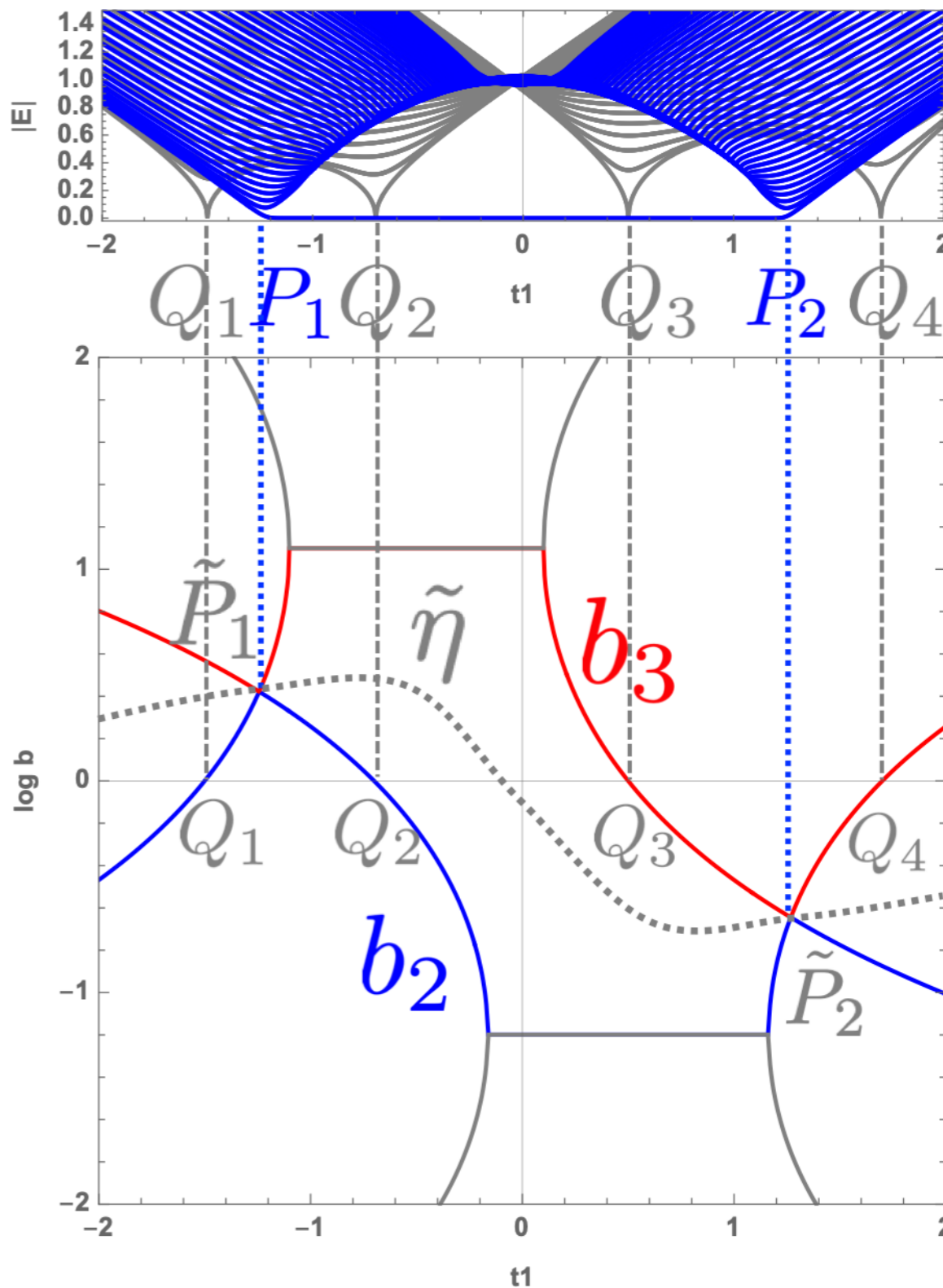
Phase diagram

b: free parameter

OI: $w=0$



TI: $w=1$





$\tilde{\eta}$: using the free parameter b chosen on this path, the BEC is recovered !!

Remarks: meaning of the phase boundaries

Phase boundaries are
at the zeros: $R_{\pm}(\beta) = 0$

cf. $w_{\pm}(b) = \frac{1}{2\pi} [\arg R_{\pm}(\beta)]_{k=0}^{2\pi}$

Are they all physically meaningful?

 Do they all correspond to the physical phase boundary
under obc?  obc: open boundary condition

Bulk gap closing under obc

At the gap closing, bulk states appear at $E=0$

The bulk condition: $b_2 = b_3$

where $\beta = be^{ik}$

satisfied at $E=0$

Yao & Wang, PRL 2018

Yokomizo & Murakami, PRL 2019

Spectrum:
obc vs. pbc

Phase boundaries in
the *generalized*
parameter space:

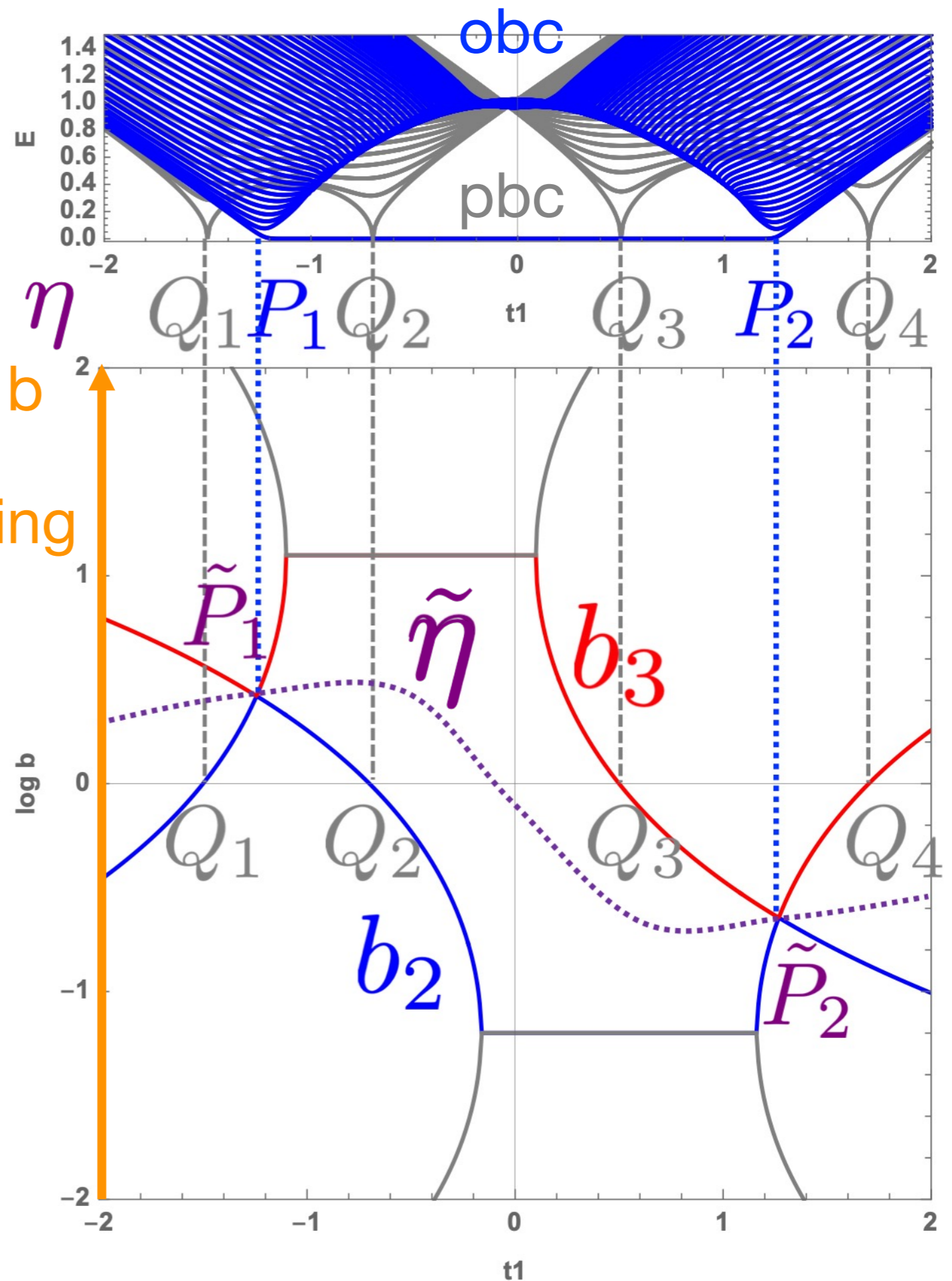
- The gap closing
under obc are at

$$b_2 = b_3$$

→ \tilde{P}_1, \tilde{P}_2

- A spinout: gap closing
under pbc

→ Q_1, Q_2, Q_3, Q_4



An alternative scenario: the so-called non-Bloch approach

Generalized Bloch
Hamiltonian:

$$H_{gpbc}(\beta) = \begin{bmatrix} 0 & R_+(\beta) \\ R_-(\beta) & 0 \end{bmatrix}$$

$$\beta = be^{ik}$$

- secular equation: \longrightarrow quartic equation for β

$$\det[H(\beta) - E1_2] = 0$$

$$R_+(\beta)R_-(\beta) = E^2$$

- fundamental solutions: $\beta = \beta_1, \beta_2, \beta_3, \beta_4$

$$\text{where } |\beta_1| \leq |\beta_2| \leq |\beta_3| \leq |\beta_4|$$

bulk solutions evanescent modes

The eigenstates under obc are superpositions of the
fundamental solutions:

$$|\psi_{obc}\rangle = c_1|\beta_1\rangle + c_2|\beta_2\rangle + c_3|\beta_3\rangle + c_4|\beta_4\rangle$$

Yao & Wang,
PRL 2018

\longrightarrow The “bulk condition”: $|\beta_2| = |\beta_3|$

Yokomizo & Murakami,
PRL 2019

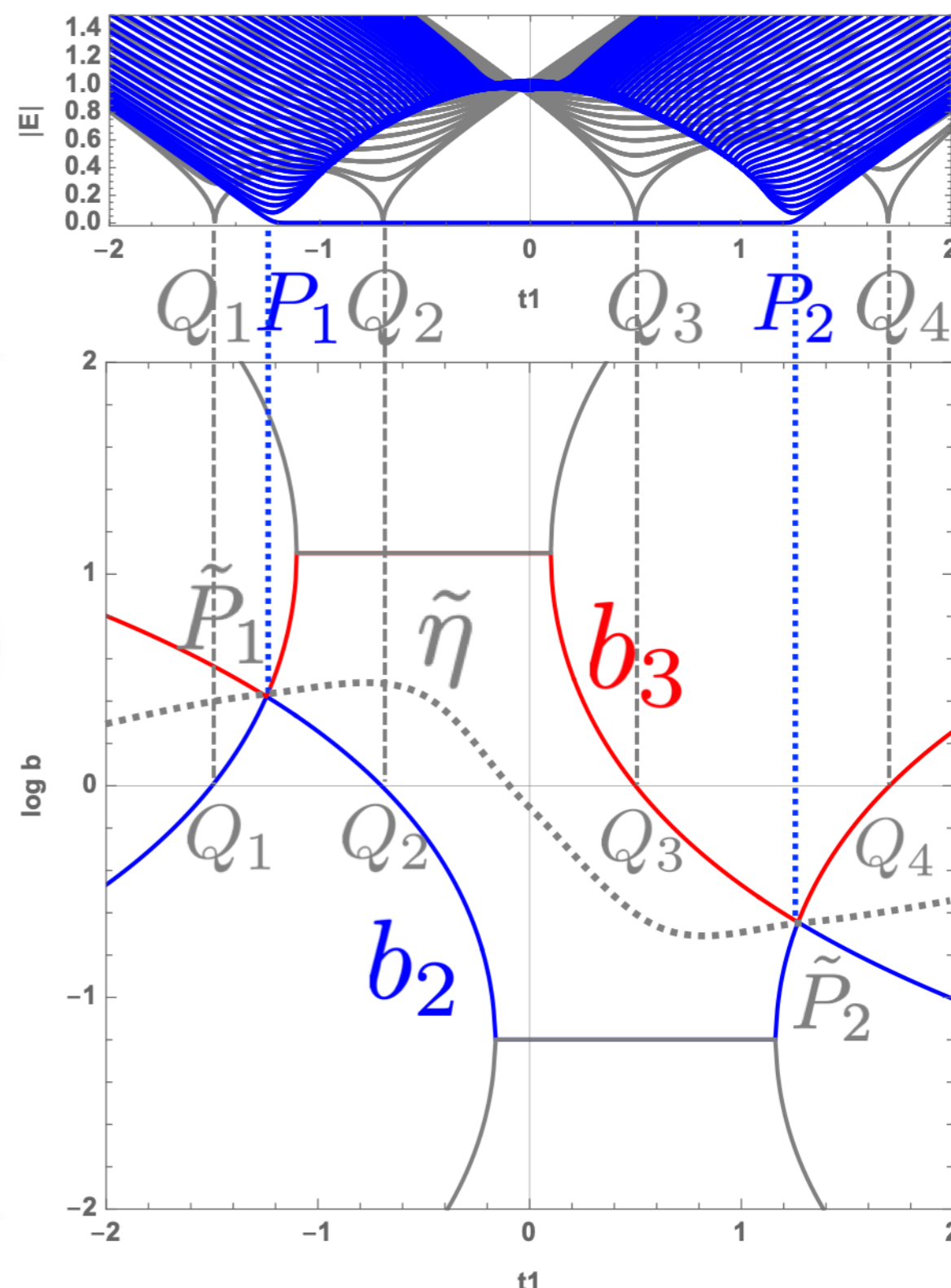
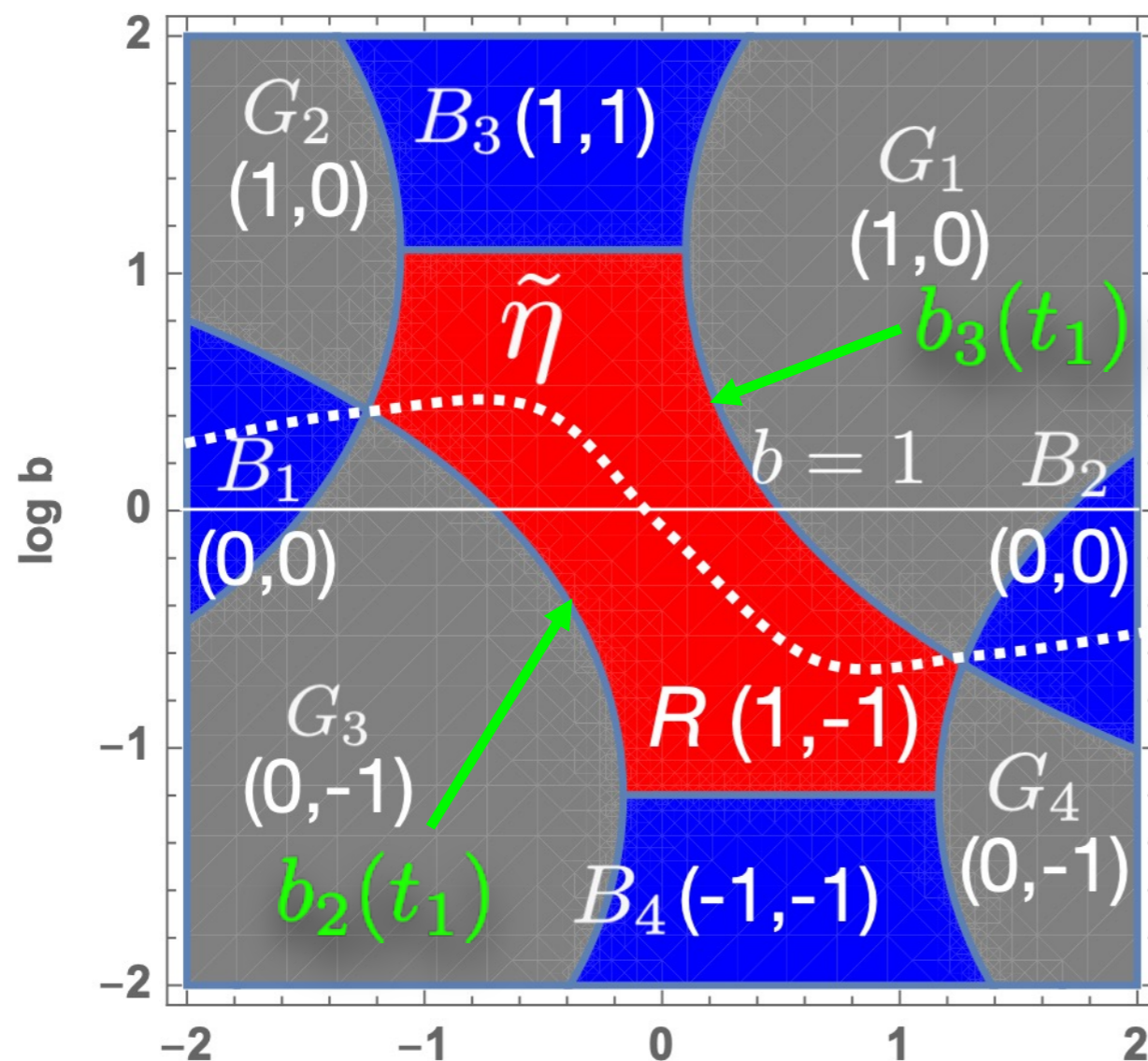
$$b_m = b_{m+1} \text{ at } m=2$$

$$b_2 = b_3$$

The generalized PBC ~ the recipe ~

To recover the BEC in the paradigmatic non-Hermitian model,

$\tilde{\eta}$ specifying the parameter: $b(t_1)$ must be chosen so as to satisfy

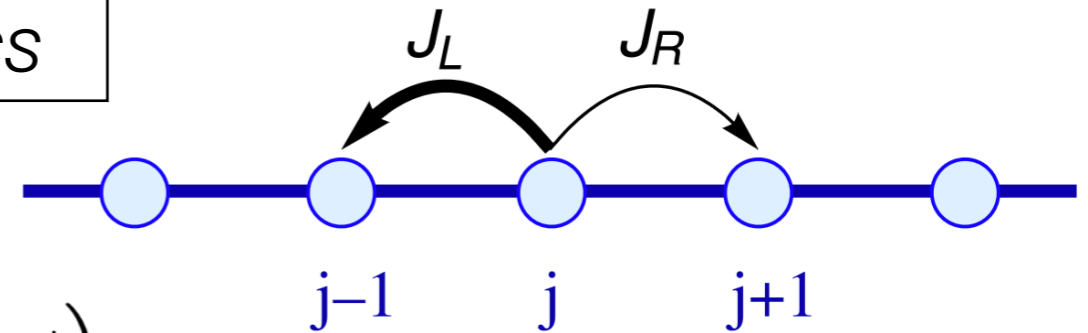
$$b_2(t_1) < b(t_1) < b_3(t_1)$$


Physics sensitive vs. insensitive to the boundary condition:

4) Non-Hermitian wave-packet dynamics

Let us consider again the Hatano-Nelson model:

$$H = - \sum_{j=0}^{L-1} \left(\Gamma_R |j+1\rangle \langle j| + \Gamma_L |j\rangle \langle j+1| \right)$$



- asymmetric/non-reciprocal hopping: $\Gamma_L = e^g \Gamma_0$, $\Gamma_R = e^{-g} \Gamma_0$

- Hatano-Nelson \times Aubry-Andre model:

$$H = - \sum_{j=0}^{L-1} \left(\Gamma_R |j+1\rangle \langle j| + \Gamma_L |j\rangle \langle j+1| \right) + W_j \sum_{j=0}^{L-1} |j\rangle \langle j|,$$

Aubry-Andre model: quasi-periodic disorder

Aubry & Andre, AIPS '80

$W_j = W \cos(2\pi\theta j + \theta_0)$, θ : an irrational constant

e.g., (chosen typically to be) $\theta = \frac{\sqrt{5} - 1}{2}$

θ_0 : disorder configuration \longrightarrow sample average

- Wave-packet dynamics:

$$|\psi(t)\rangle = \sum_j \psi_j(t) |j\rangle$$

$$= \sum_n c_n e^{-i\epsilon_n t} |n\rangle,$$

- initial wave packet:

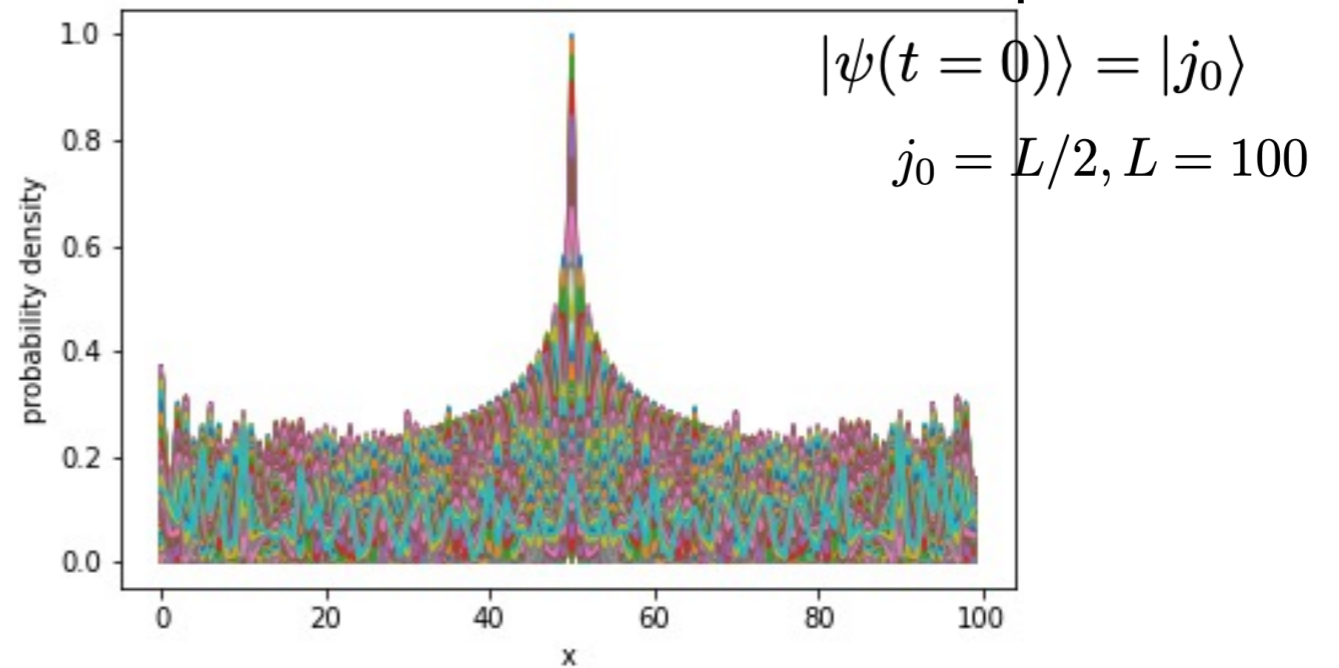
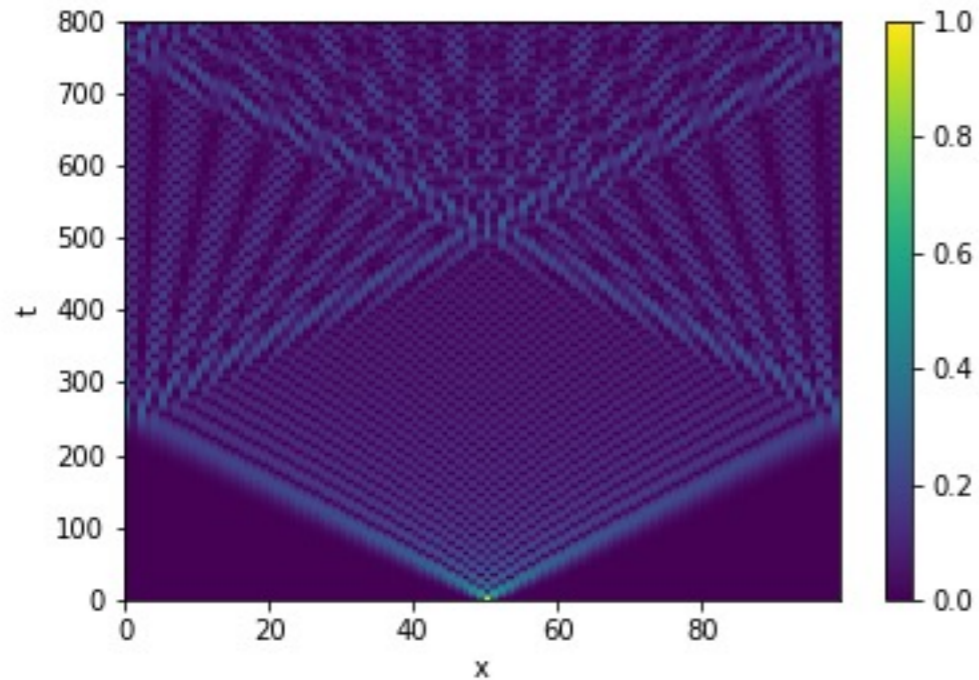
$|\psi(t=0)\rangle = |j_0\rangle$ localized at a single site

Simulation of the wave-packet dynamics: (a) Hermitian case

pbs: periodic
boundary condition

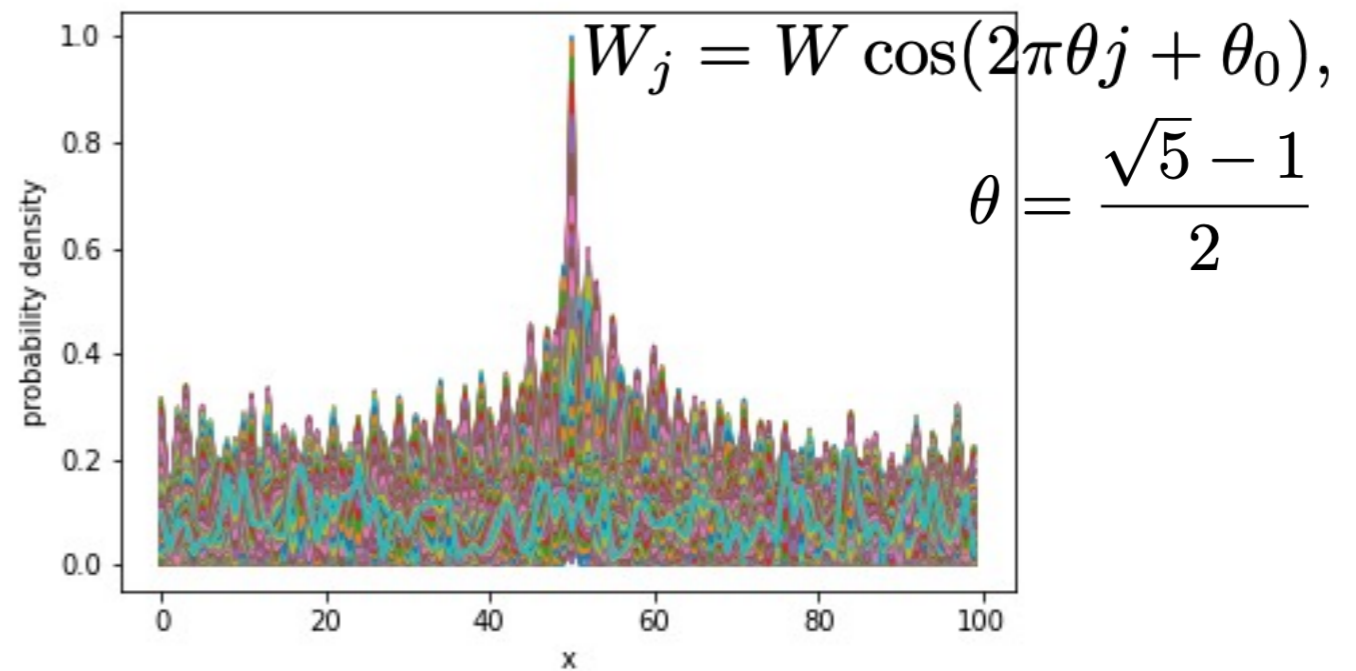
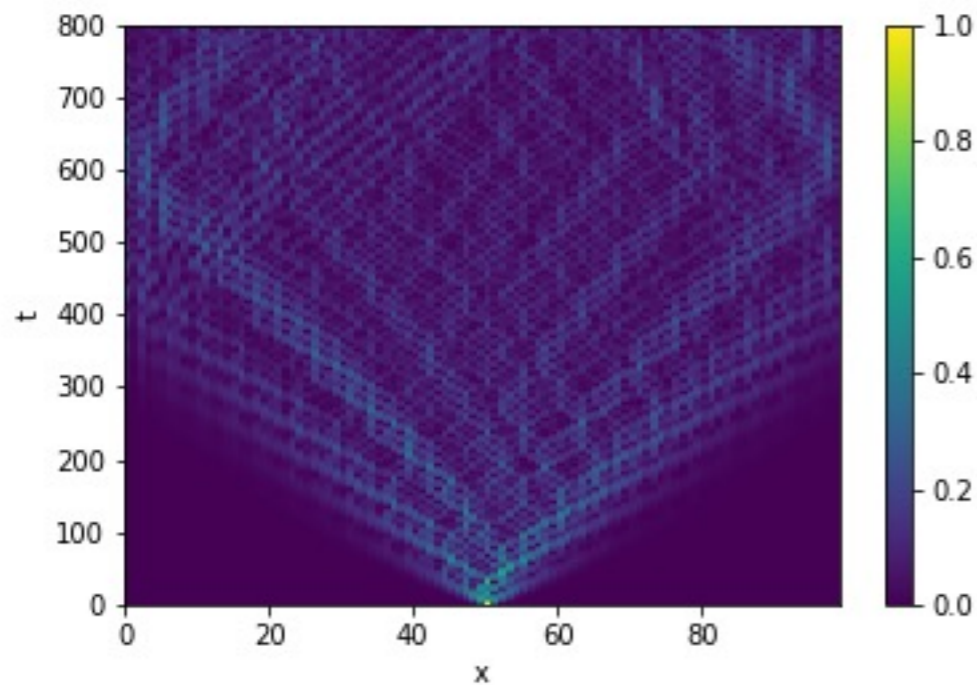
- clean limit: $W=0$

- initial wave packet:



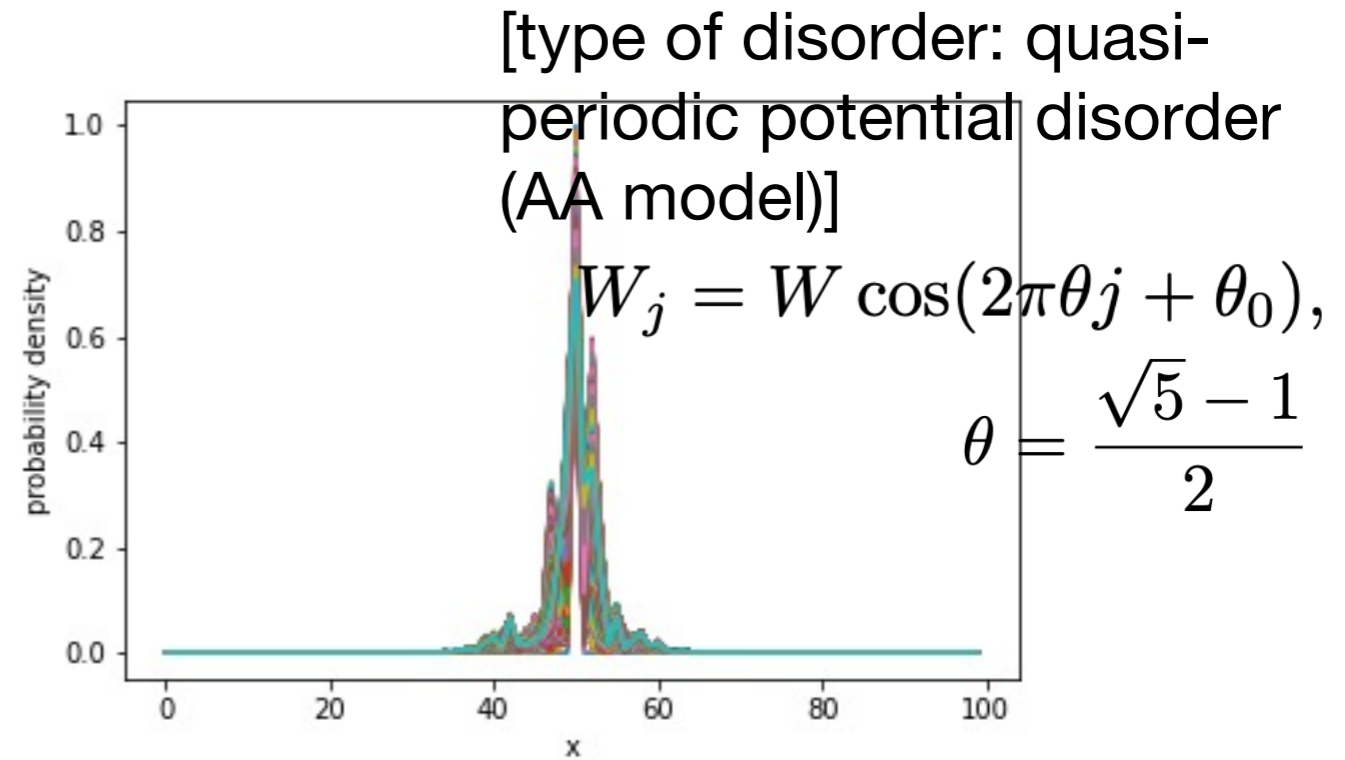
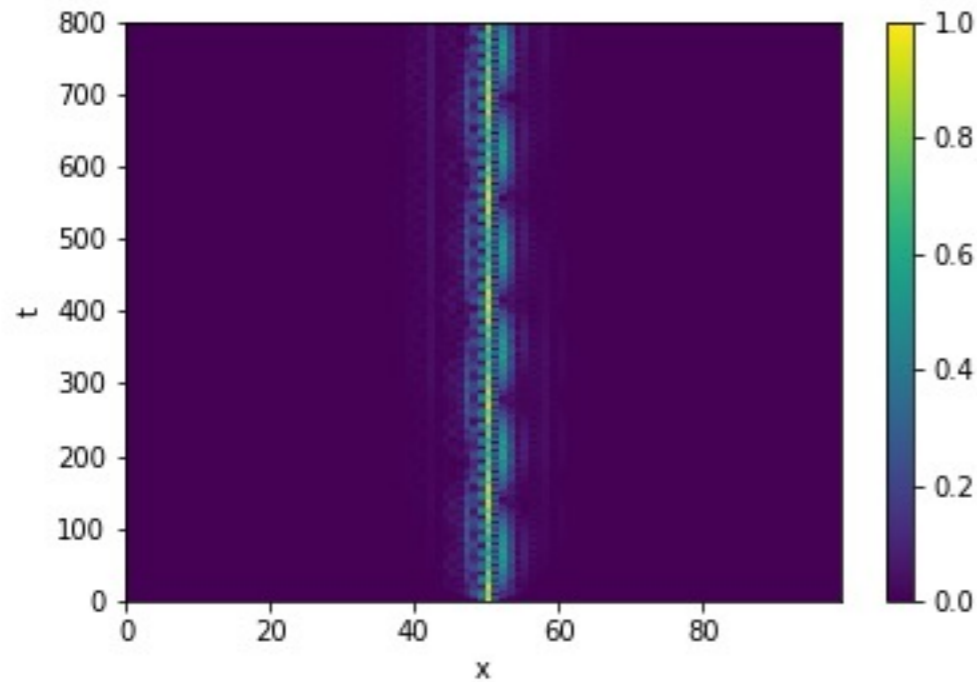
- weakly disordered case: $W=1.0$

[type of disorder: quasi-periodic
potential disorder (AA model)]



Simulation of the wave-packet dynamics: (a) Hermitian case (continued)

- Case of stronger disorder: $W=3.0$ (localized phase)



Notes on Localization-delocalization transition in the AA model

- in 1D such a transition usually does not occur; cf. Anderson '58
- Aubry-Andre model is an exceptional case:

Localization length:

$$\xi^{-1} \simeq \log \frac{W}{2\Gamma} \longrightarrow \frac{W_c}{2\Gamma_0} = 1.$$

$$\xi \rightarrow \infty \text{ at } W = W_c$$

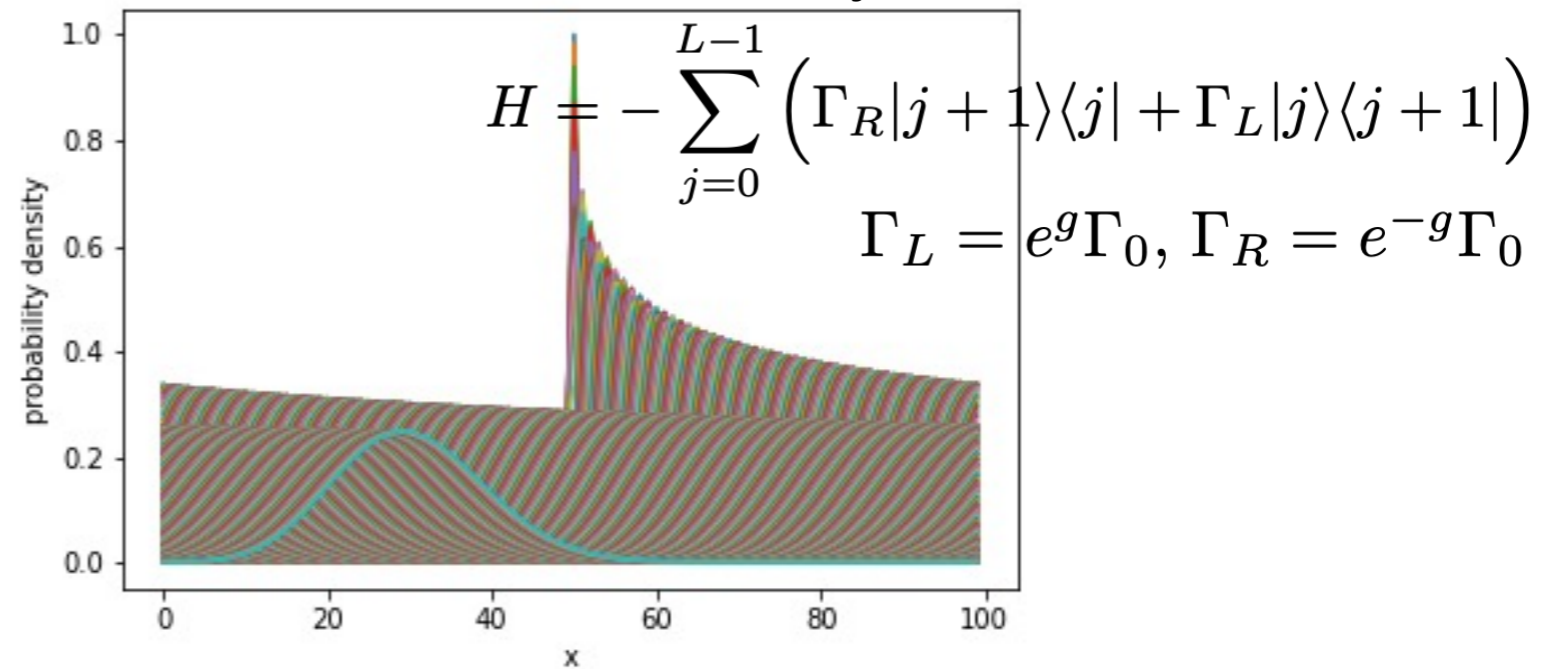
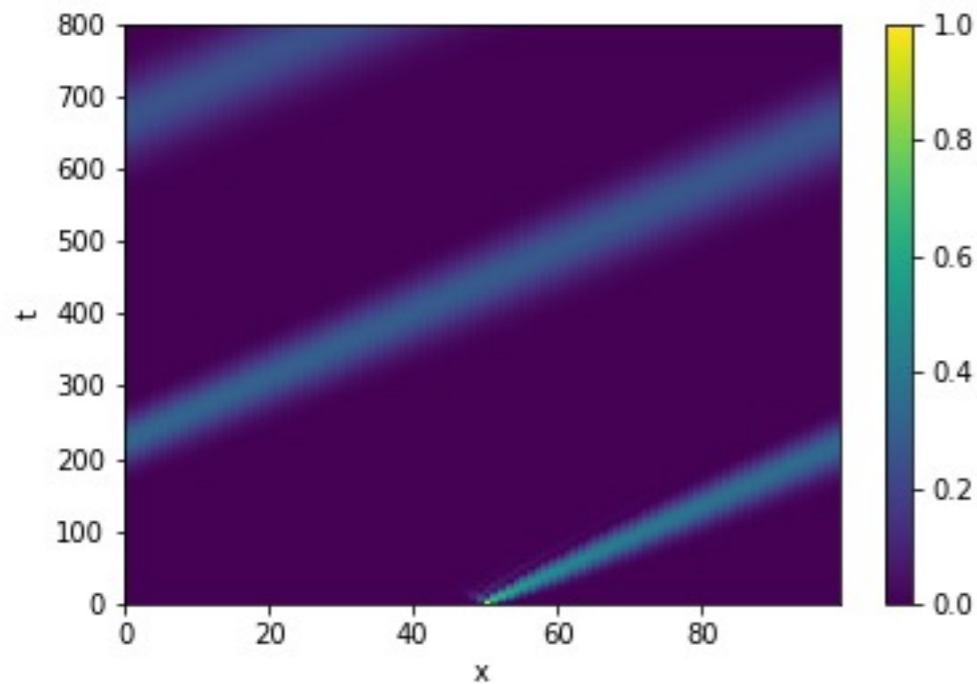
cf. Longhi, PRB '21

Simulation of the wave-packet dynamics:

(b) non-Hermitian case

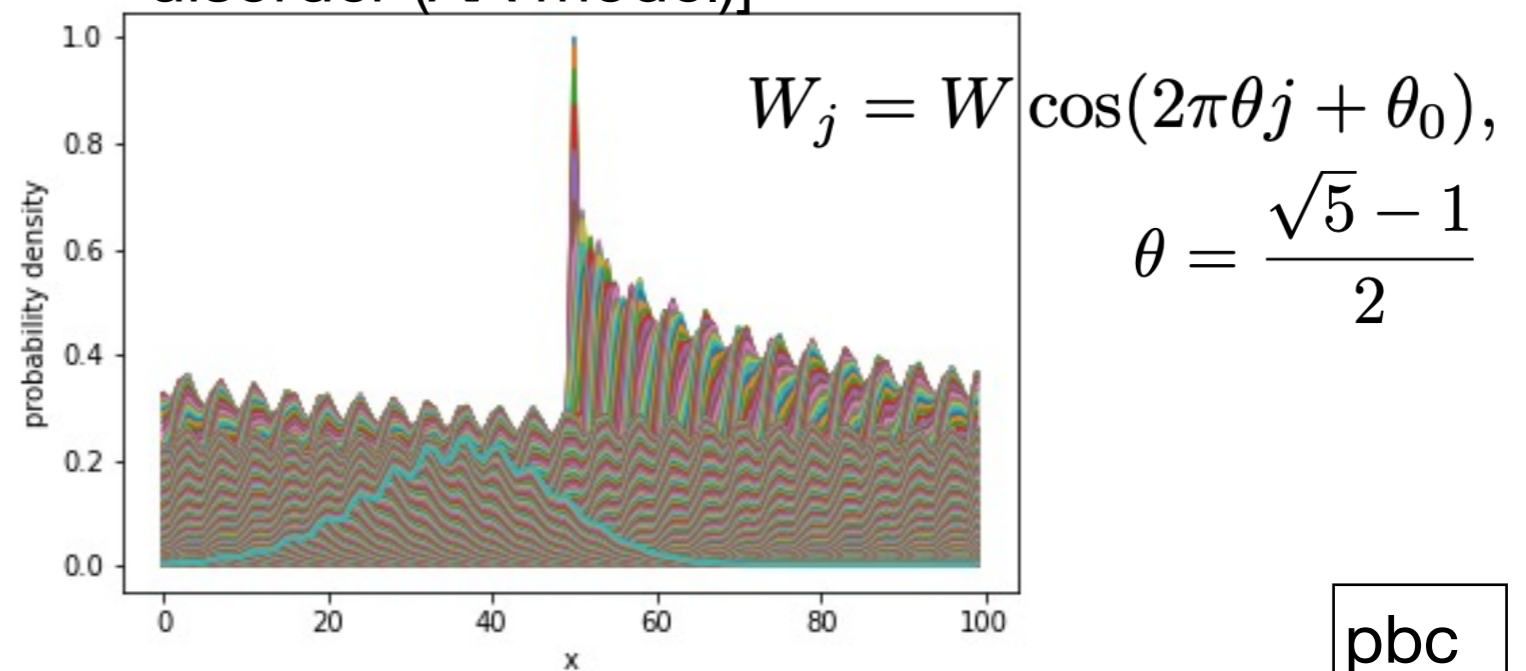
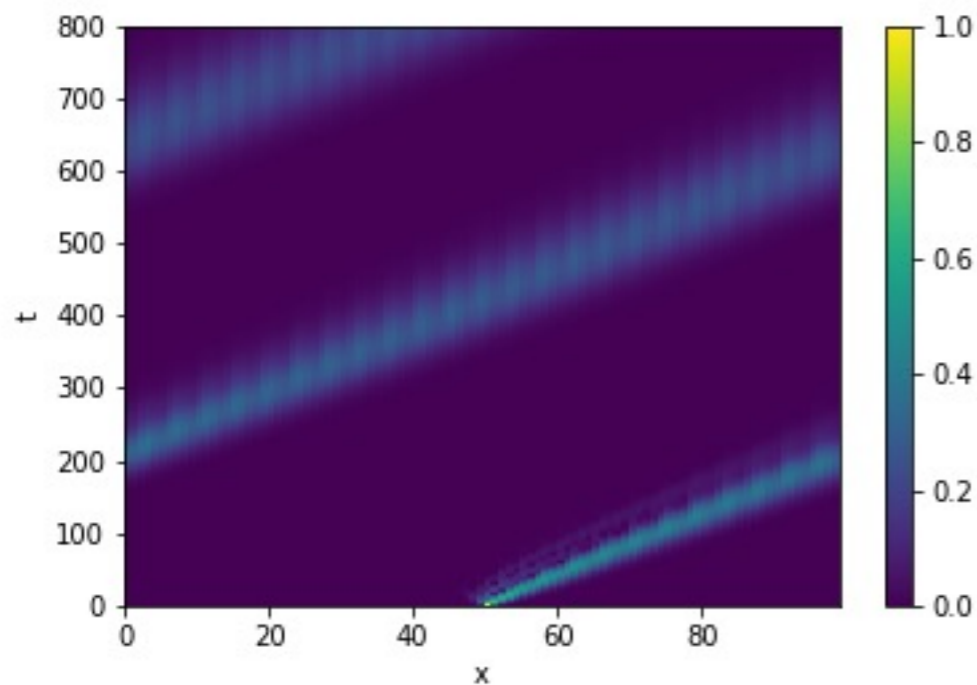
model: Hatano-Nelson ×
Aubry-Andre model;

- clean limit: $W=0$



- (weakly) disordered case: $W=1.0$

[type of disorder: quasi-periodic potential
disorder (AA model)]

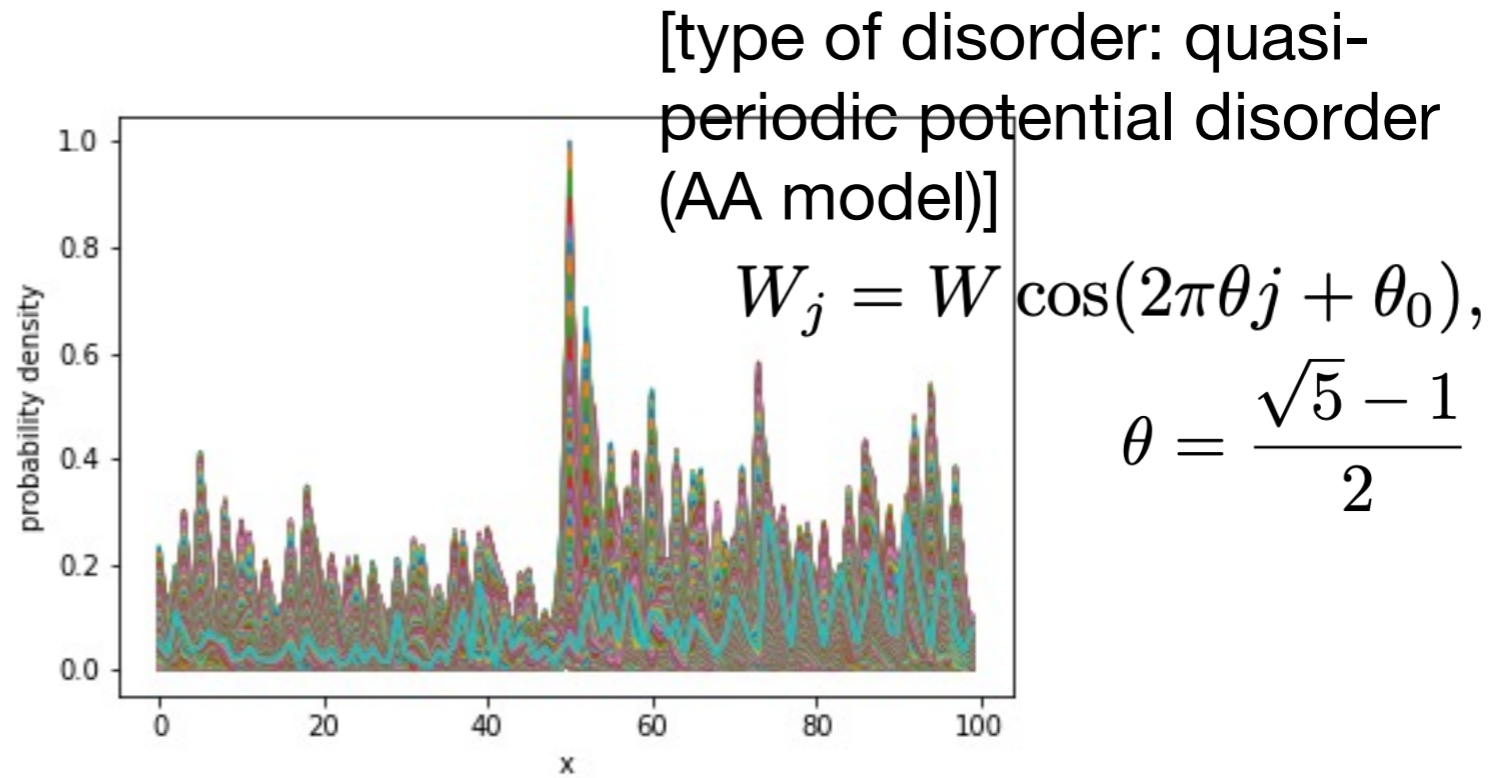
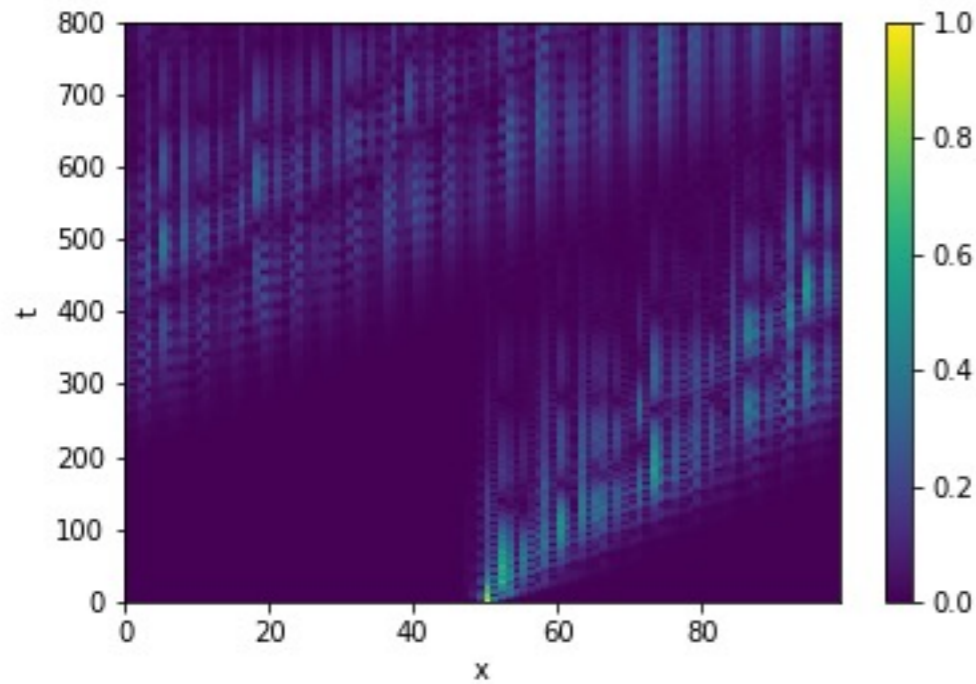


pbc

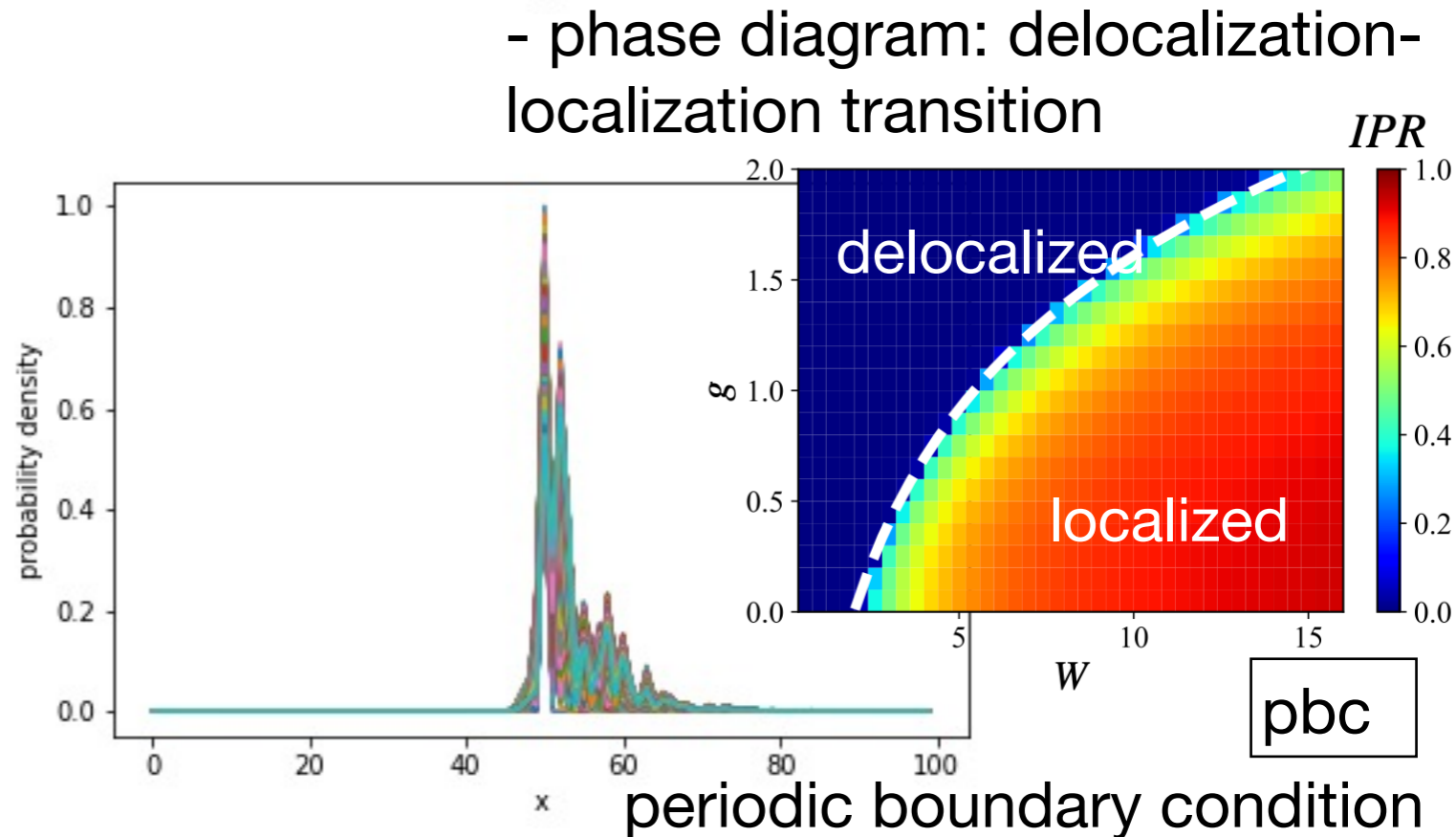
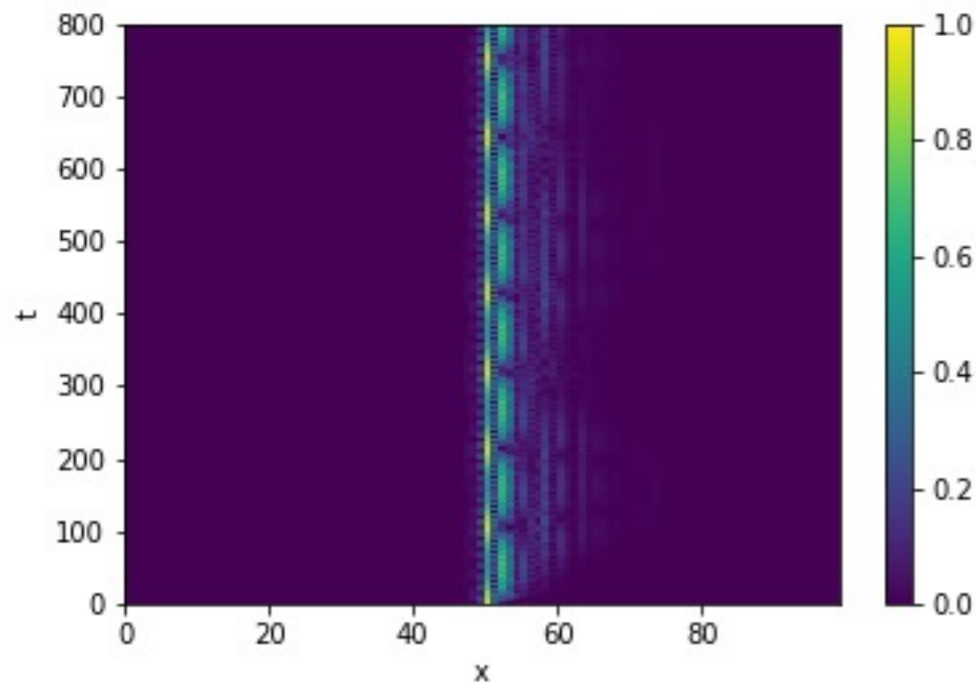
periodic boundary condition

Simulation of the wave-packet dynamics: (b) non-Hermitian case (continued)

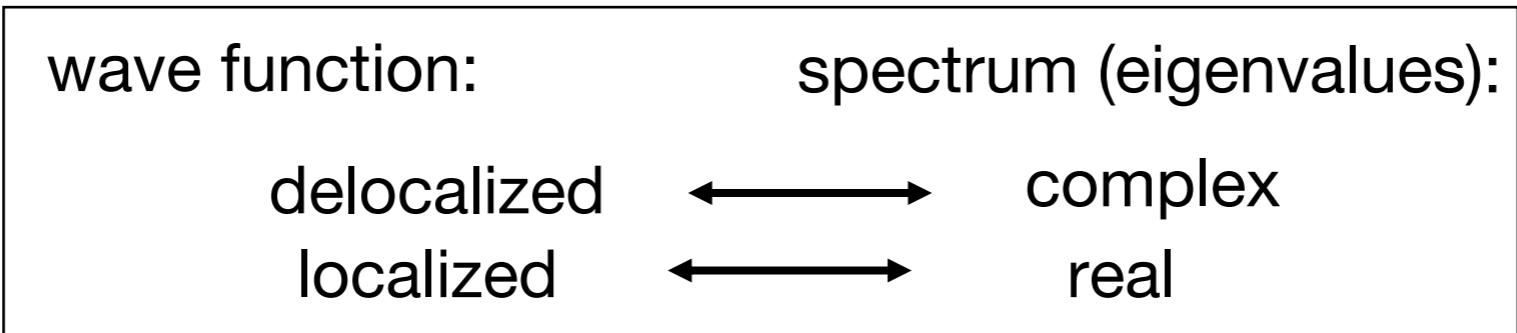
- Case of stronger disorder: $W=3.0$ (still in the extended phase)



- Case of even stronger disorder (localized phase): $W=4.0$



Localization-delocalization transition in the Hatano-Nelson×Aubry-Andre model



*Hatano & Nelson,
PRL '96*

- Localization length in the Aubry-Andre model: $\xi^{-1} \simeq \log \frac{W}{2\Gamma}$

*in the Hermitian case: $\xi \rightarrow \infty$ at $W = W_c \longrightarrow \frac{W_c}{2\Gamma_0} = 1.$

- in the Non-Hermitian case:

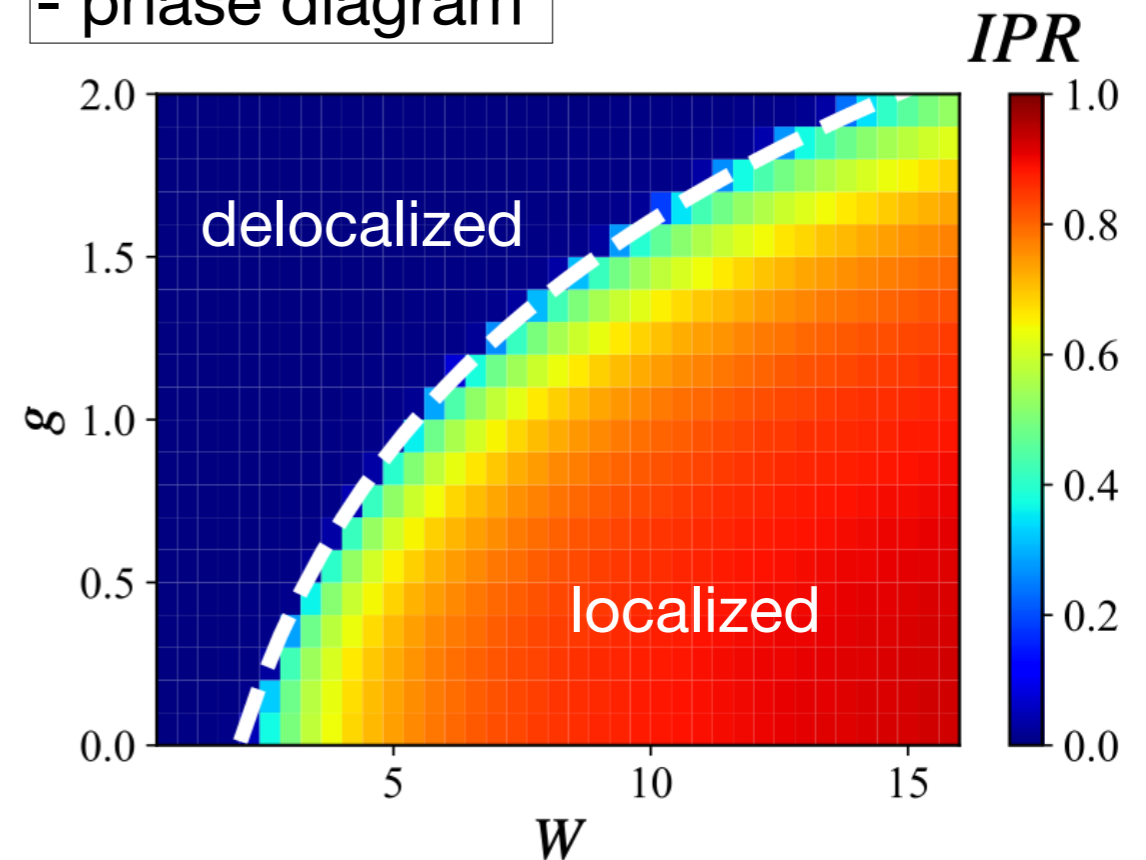
$$\psi^{L,R}(x) \sim \exp\left(-\frac{|x - x_c|}{\xi} \mp g(x - x_c)\right),$$

delocalization point: $\xi^{-1} = g > 0.$

→ $W = W_c = 2\Gamma_0 e^g = 2\Gamma_L$

$$g = \log \frac{W}{2}$$

- phase diagram



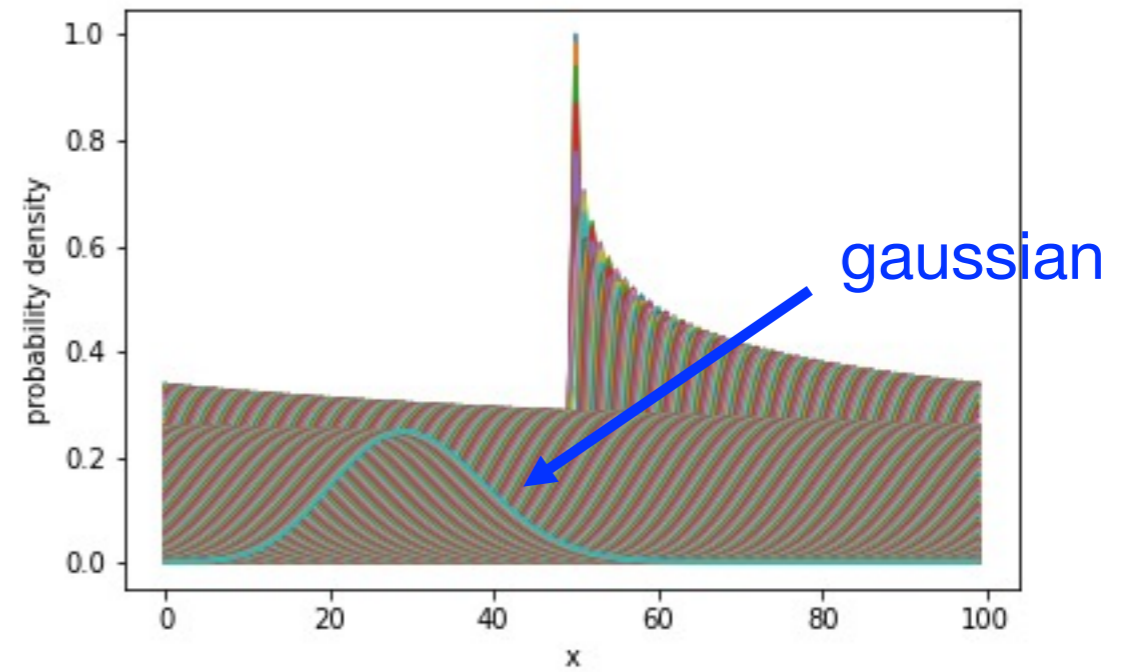
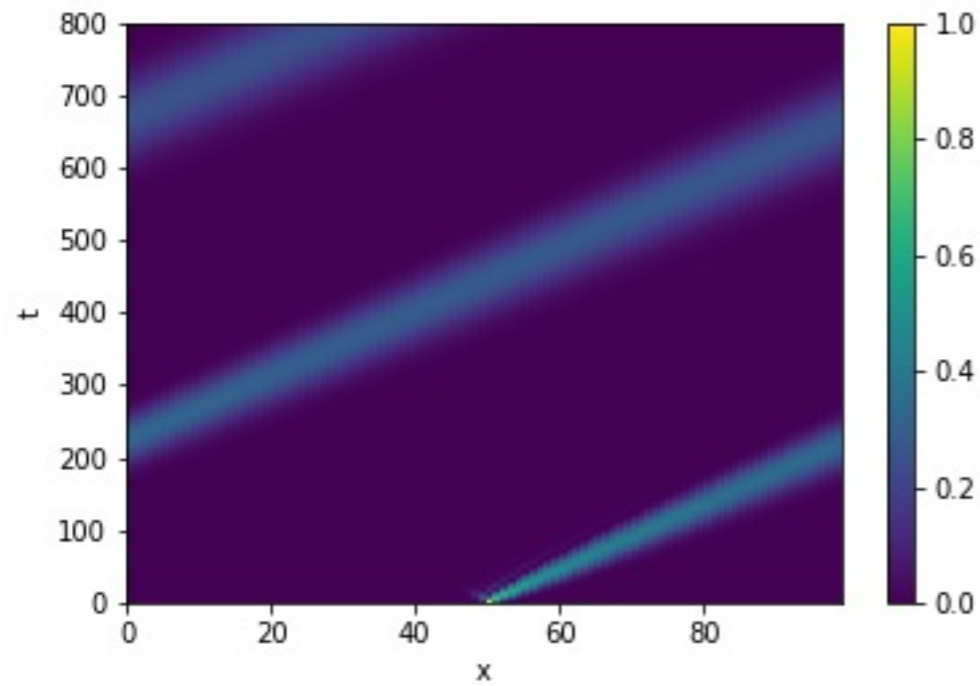
IPR: inverse participation ratio

Comparison of periodic vs. open boundary conditions

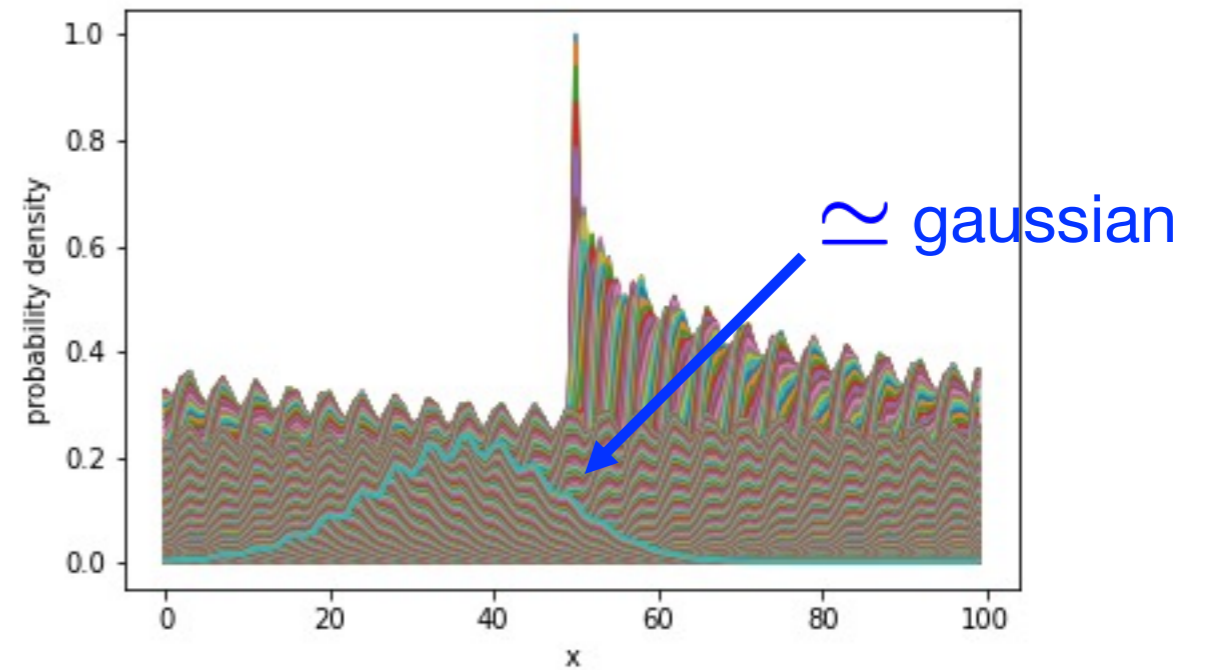
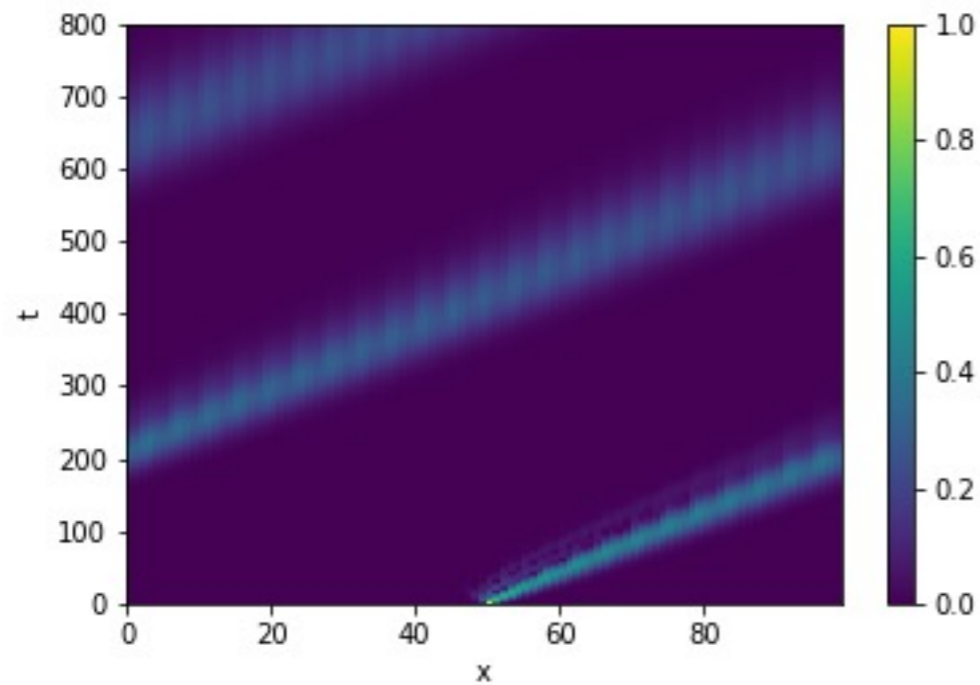
Simulation of the wave-packet dynamics:
(b) non-Hermitian case

case of pbc:
the *periodic* boundary conditions

- clean limit: $W=0$



- case of weak disorder: $W=1.0$

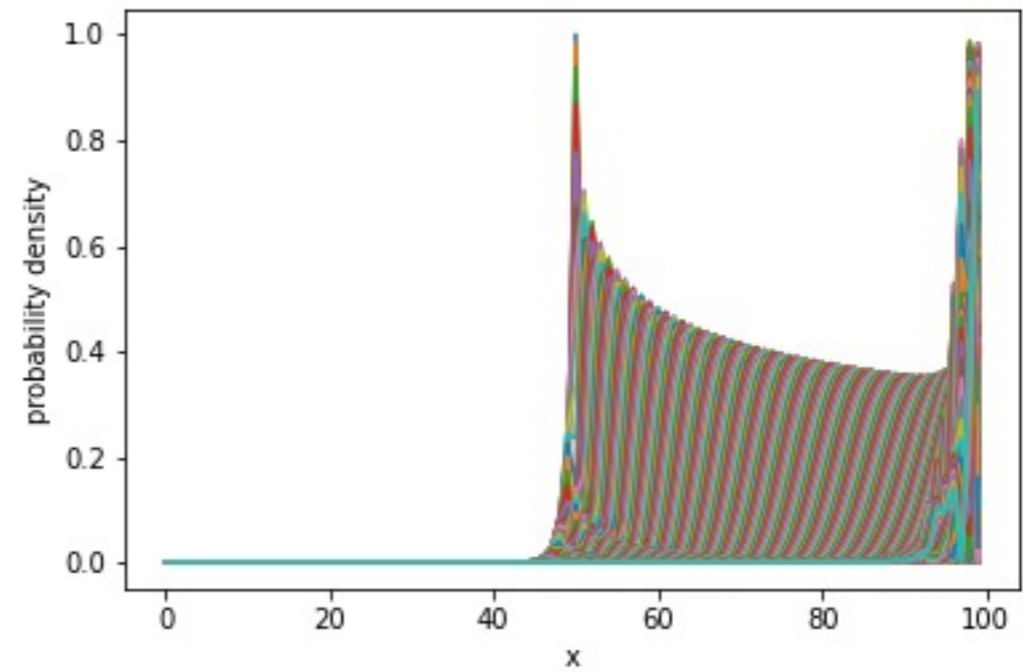
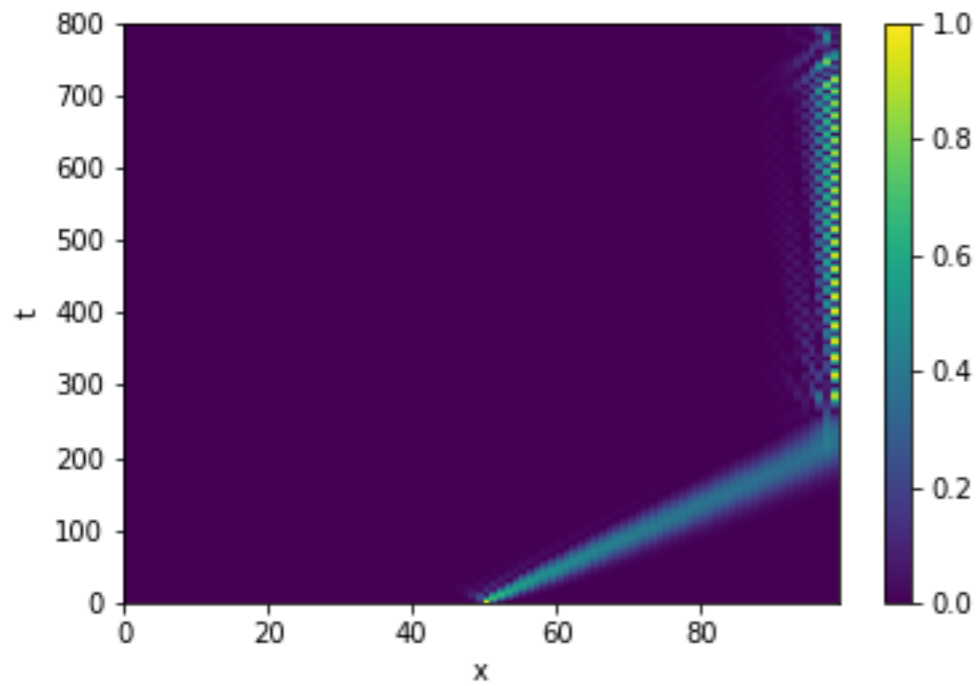


Comparison of periodic vs. open boundary conditions

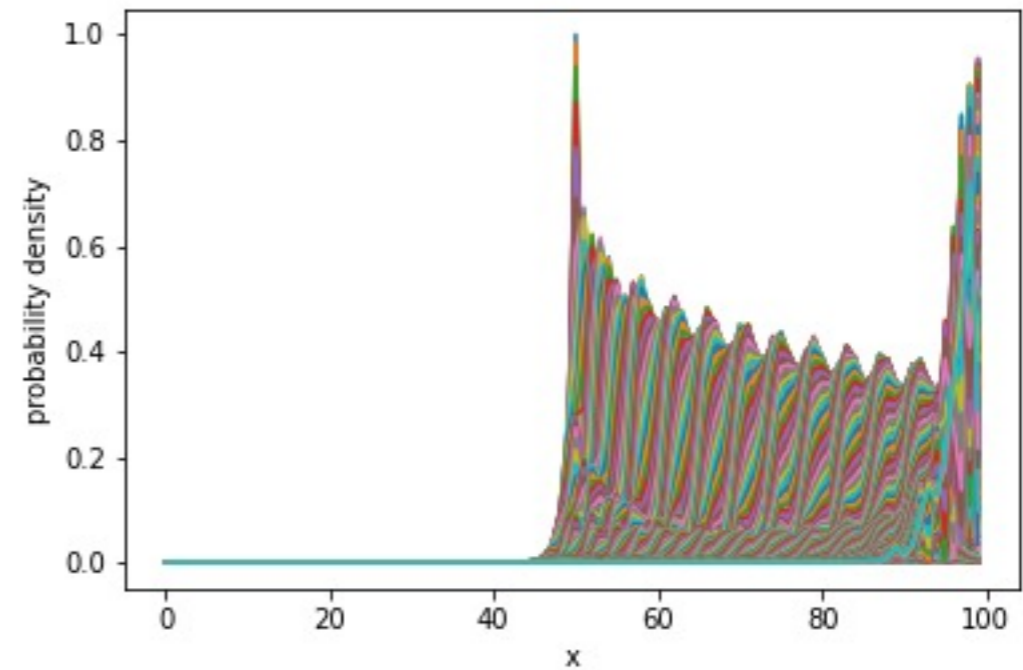
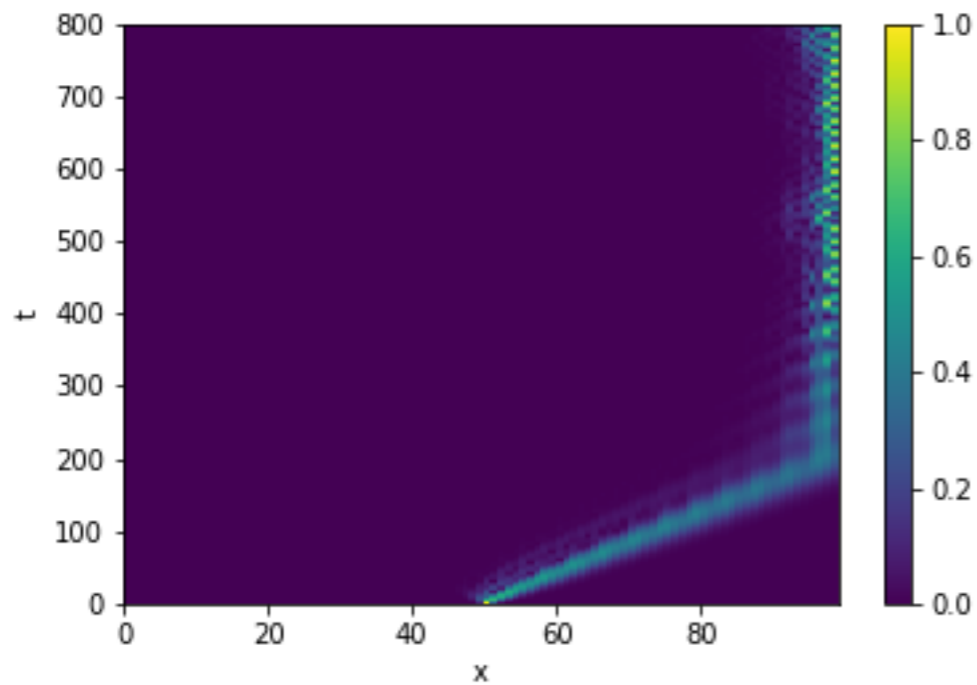
case of obc:
the *open* boundary conditions

Simulation of the wave-packet dynamics:
(b) non-Hermitian case

- clean limit: $W=0$



- case of weak disorder: $W=1.0$



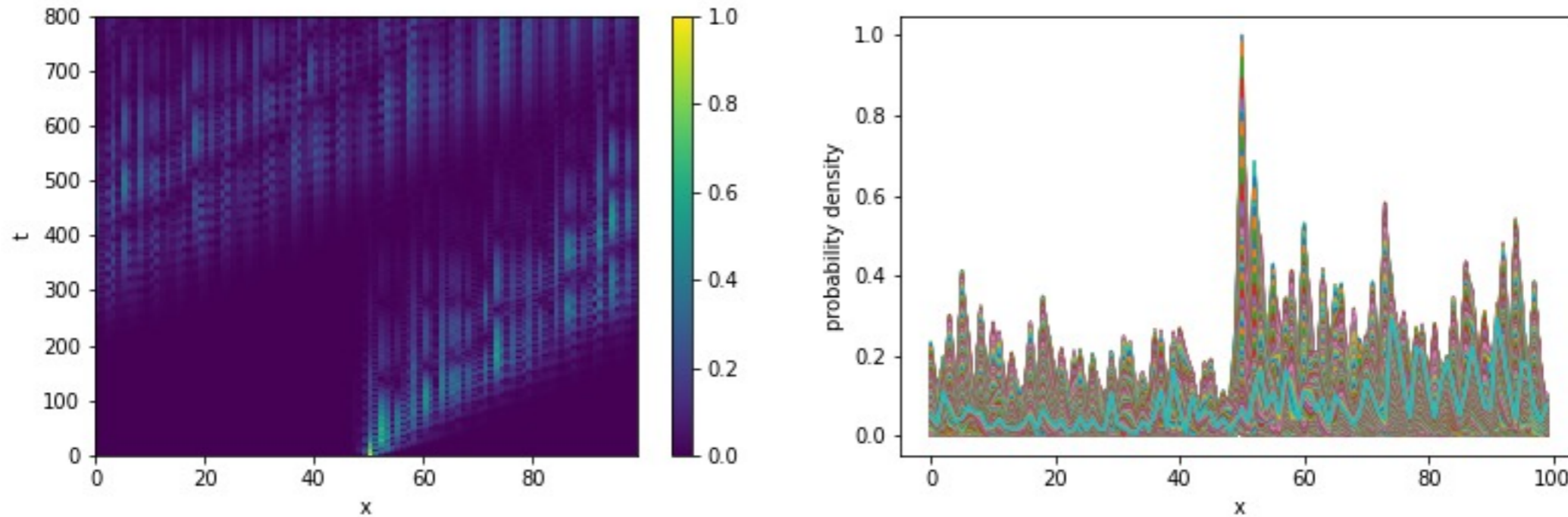
Simulation of the wave-packet dynamics:

pbcc vs. obc
(continued)

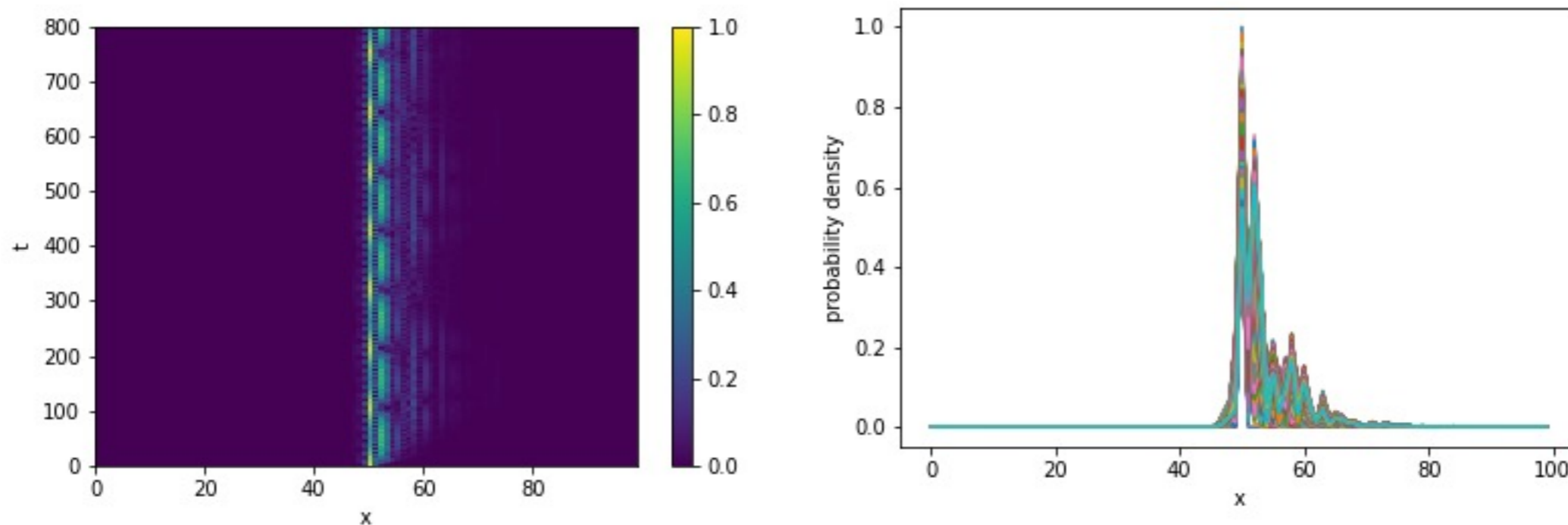
case of pbcc:
the *periodic* boundary conditions

(b) non-Hermitian case

- Case of stronger disorder: $W=3.0$ (still in the extended phase)



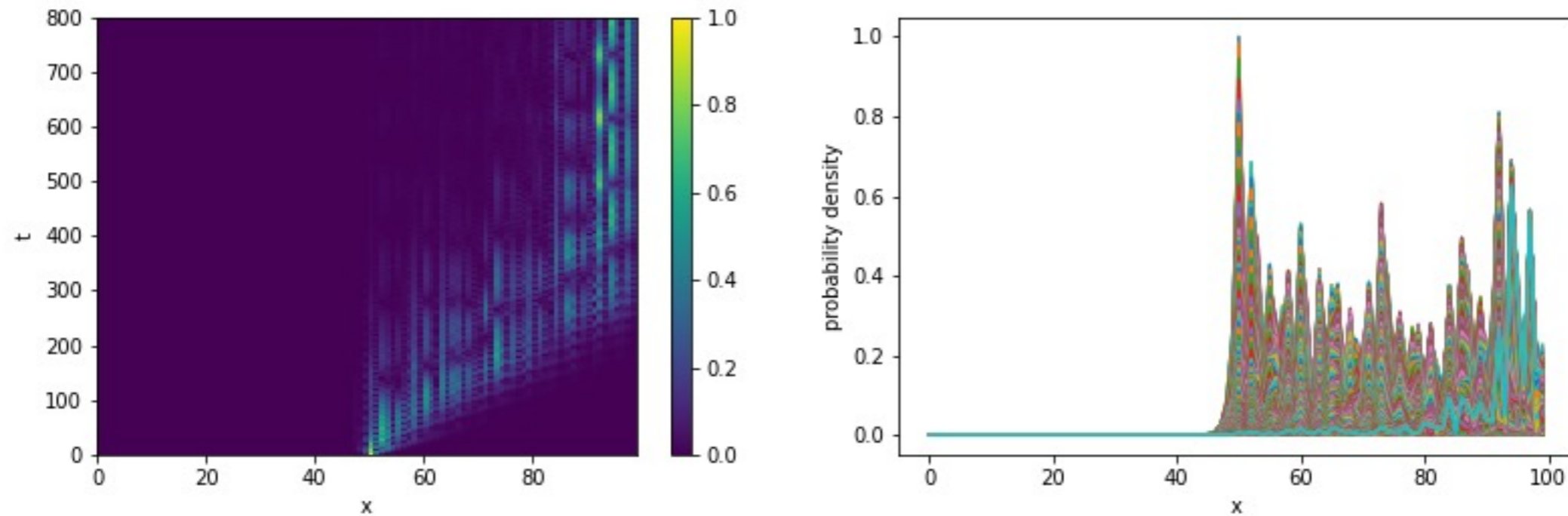
- Case of even stronger disorder: $W=4.0$ (localized phase)



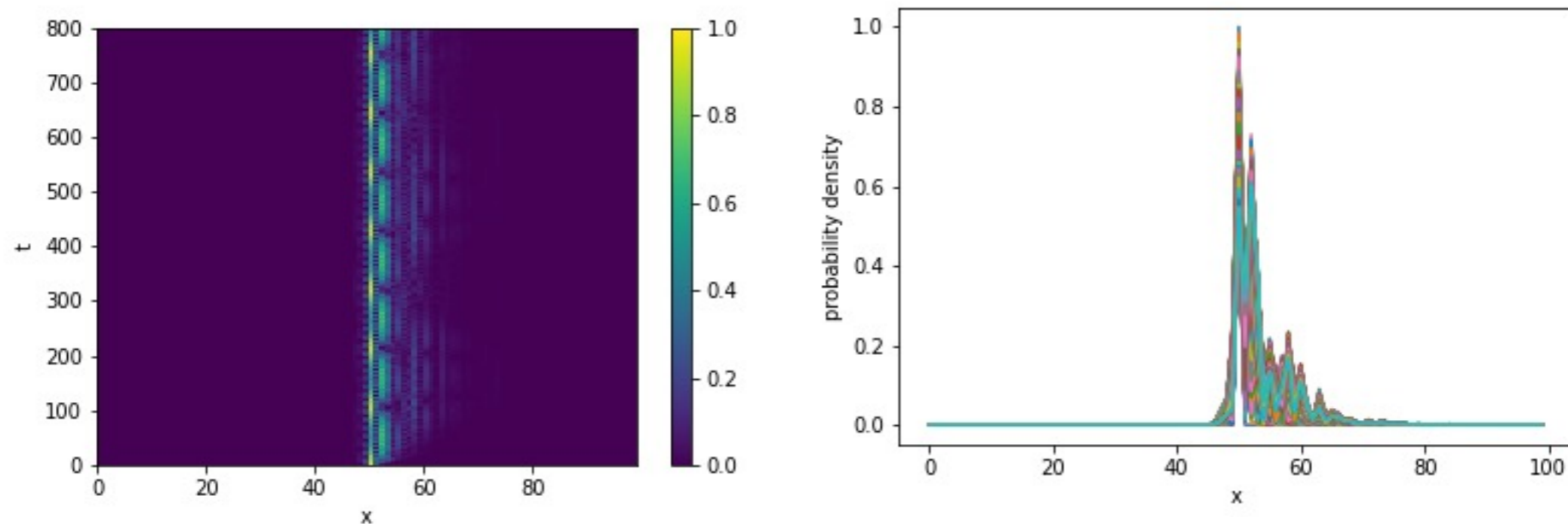
pbcc vs. obc
(continued)

case of obc:
the *open* boundary conditions

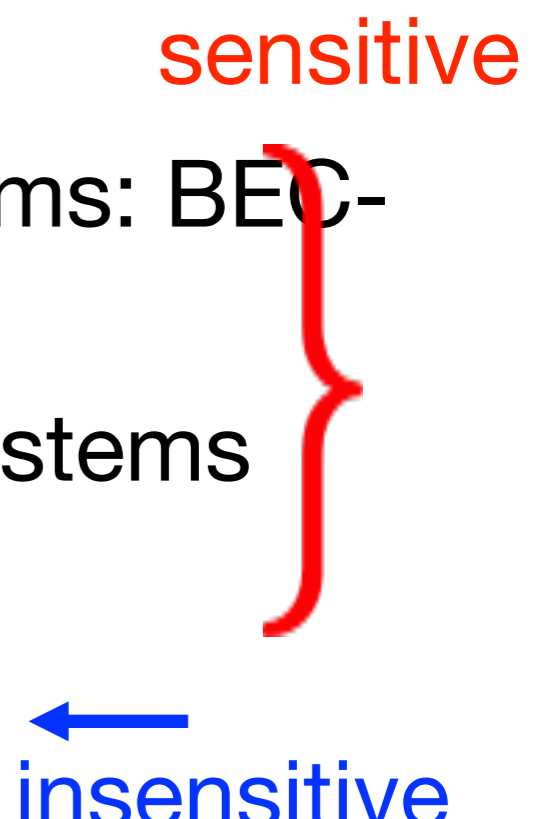
- Case of stronger disorder: $W=3.0$ (still in the extended phase)



- Case of even stronger disorder: $W=4.0$ (localized phase)



Summary

- 1) Bulk-edge correspondence (BEC) in *Hermitian* topological systems: BEC-1 sensitive
 - 2) BEC in *non-Hermitian* topological systems: BEC-1'
 - 3) A new type of BEC in non-Hermitian systems exhibiting *skin effect*: BEC-2
 - 4) Non-Hermitian wave-packet *dynamics* ← insensitive
- 

Physics sensitive vs. insensitive to the
boundary condition

in non-Hermitian systems

Summary/conclusions:

Physics sensitive vs. insensitive to the boundary condition

1) The topological insulator:

- the underlying mechanism: bulk-boundary correspondence (BBC)
- BBC superficially breaks down in non-Hermitian systems;
 → two possible way out: one *modifies*, the other *abandons* pbc

2) The Hatano-Nelson model:

- 1D tight-binding model with non-reciprocal (asymmetric) hopping
- Localization/delocalization transition in 1D
- Non-Hermitian skin effect; a topological interpretation

Take-home message:

Nature of the localization/delocalization transition in Hatano-Nelson model
multifaceted/upgraded

- complex vs. real spectra;
- delocalization-localization transition;
- skin effect vs. no skin effect (obc)
- topological transition;

A quadruple phase transition!

From the viewpoint of bulk-boundary correspondence:

- Bulk-boundary correspondence (BBC) multi-faceted:

obc vs. pbc

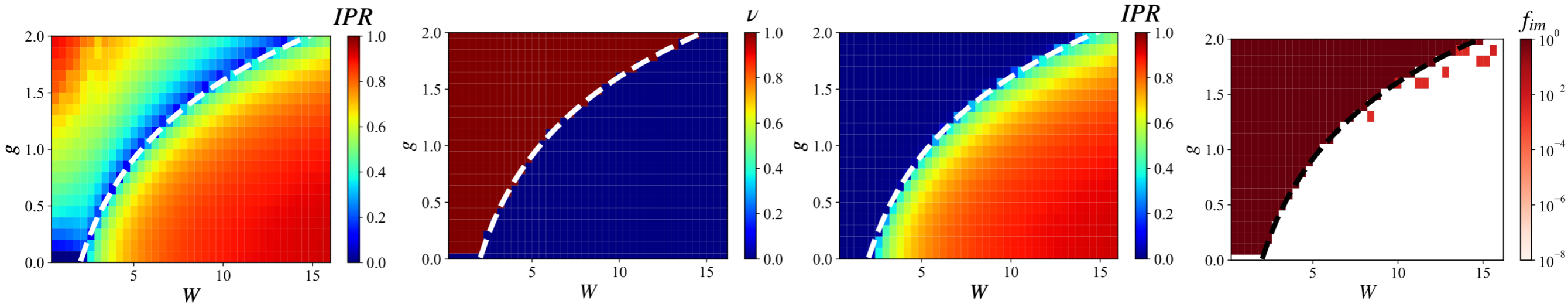
the original BBC doublet

skin effect

winding number

IPR: inverse participation ratio

ratio of complex eigenvalues



The Hatano-Nelson quadruplet

The triplet of bulk phase transitions
(Hatano-Nelson bulk triplet)

3) Wave-packet dynamics

- Hermitian case: quantum interference
- Non-Hermitian case
 - i) Clean limit: pseudo-classical diffusive dynamics
 - ii) Disorder enhances quantum interference

4) On-going studies on :

- i) the effects of interaction; many-body case
- ii) entanglement/entropy dynamics

Orito & Imura, Phys. Rev. B **105**, 024303 (2022)

Considering also...

+ wave-packet & entanglement/entropy dynamics

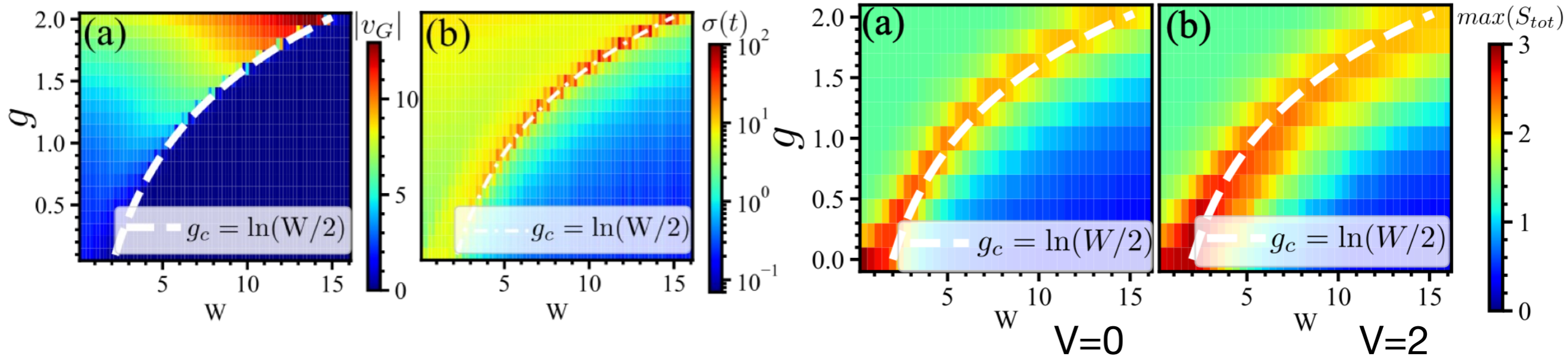
i) wave-packet dynamics

ii) entanglement/entropy dynamics

COM
velocity

wave packet
spreading

Maximal entanglement entropy



The Hatano-Nelson “sextuplet”

The modified periodic boundary condition

specified by a real positive parameter: b

$$H_{\text{NN}}^{mpbc} = b^{-L} t_2^- |1, A\rangle \langle L, B| + b^L t_2^+ |L, B\rangle \langle 1, A|$$

$$H_{\text{3NN}}^{mpbc} = b^{-L} t_3^- |1, B\rangle \langle L, A| + b^L t_3^+ |L, A\rangle \langle 1, B|$$

to be added to $H_{obc} = H_{\text{NN}} + H_{\text{3NN}}$

In a transformed basis:

$$H_{mpbc} = H_{obc} + H_{\text{NN}}^{mpbc} + H_{\text{3NN}}^{mpbc}$$

- A similarity transformation: $\tilde{H}_{mpbc} = S^{-1} H_{mpbc} S$

$$S = \text{diag}[1, 1, b, b, b^2, b^2, \dots, b^{L-1}, b^{L-1}]$$

- Under the transformed basis:

$$\tilde{H}_{pbc} = \tilde{H}_{obc} + \underline{\tilde{H}_{\text{NN}}^{pbc} + \tilde{H}_{\text{3NN}}^{pbc}} \quad \tilde{H}_{pbc} |k\rangle = E(k) |k\rangle$$

standard pbc

The meaning of the modified periodic boundary condition
(continued)

- back in the original basis: $H_{mpbc}|\beta\rangle = E(\beta)|\beta\rangle$

$$|\beta\rangle = \sum_{j=0}^{L-1} \beta^j (c_A |jA\rangle + c_B |jB\rangle)$$

$$\beta = be^{ik}$$

The coefficients c_A, c_B are determined by the eigenvalue equation:

$$\begin{bmatrix} 0 & R_+(\beta) \\ R_-(\beta) & 0 \end{bmatrix} \begin{bmatrix} c_A \\ c_B \end{bmatrix} = E \begin{bmatrix} c_A \\ c_B \end{bmatrix}$$

$$H_{mpbc}(\beta)$$

$$R_-(\beta) = t_1^- + t_2^+ \beta + t_3 \beta^{-1}$$

$$= t_1 - \gamma_1 + (t_2 + \gamma_2) \beta + t_3 \beta^{-1}$$

where

$$R_+(\beta) = t_1^+ + t_2^- \beta^{-1} + t_3 \beta$$

$$= t_1 + \gamma_1 + (t_2 - \gamma_2) \beta^{-1} + t_3 \beta$$

Consistency of the two approaches:

1) our **modified periodic boundary condition**

VS.

with 2) the so-called **generalized Brillouin zone approach**

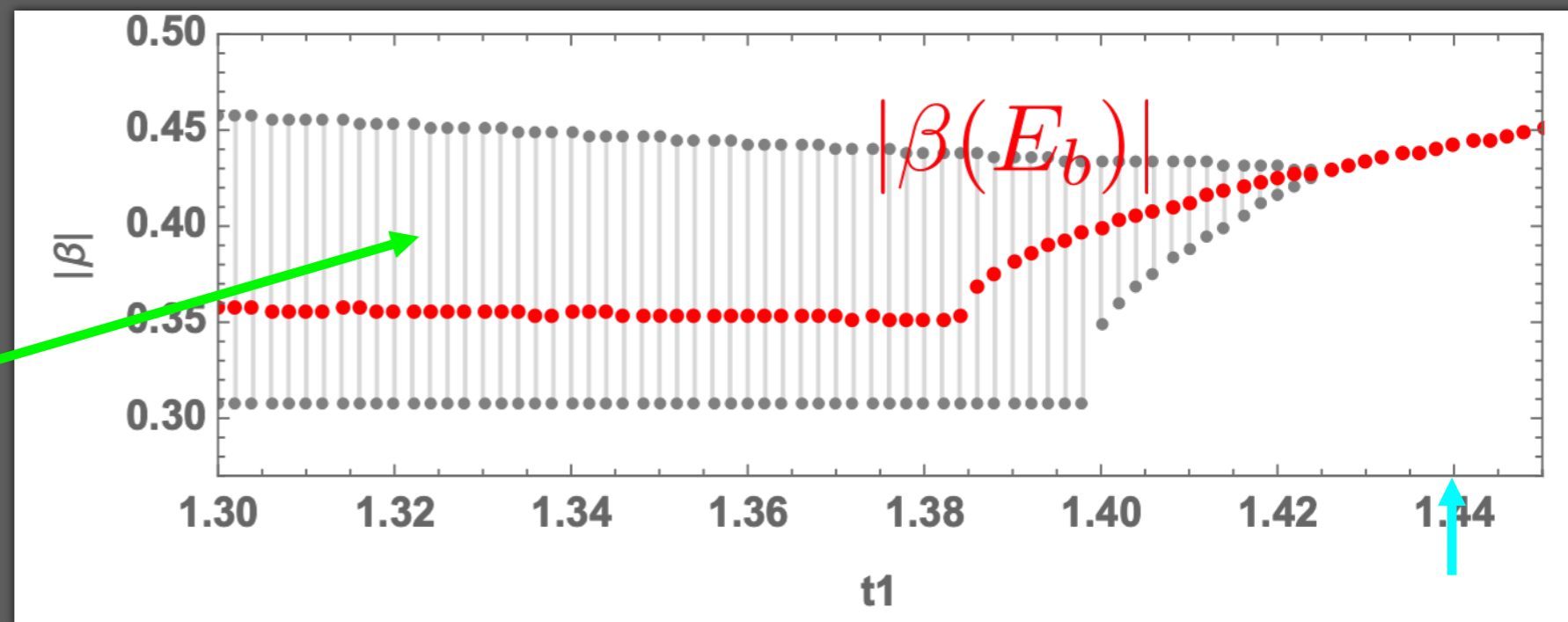
Yokomizo & Murakami, arXiv:1902...

- So far, b has been a free parameter
- We can choose our b to be the one corresponding to the generalized Brillouin zone *at the bottom of the band*

$$b = |\beta(E_b)|$$

our

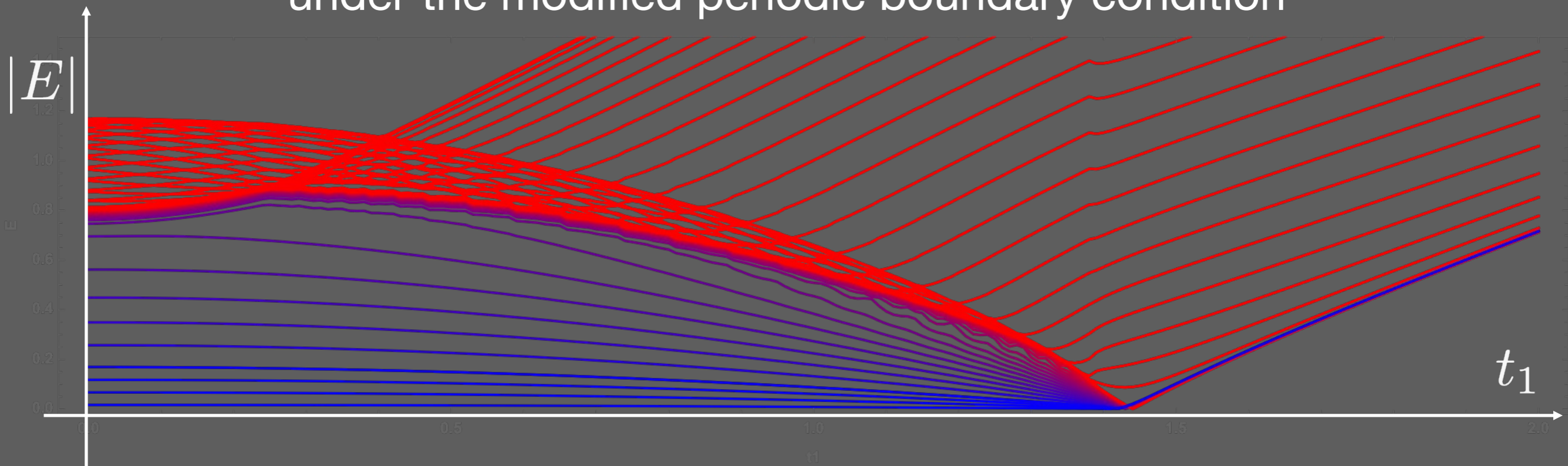
w=1 region



gap closing

Bulk-edge correspondence *visualized*

under the modified periodic boundary condition



- The modified periodic boundary condition (mpbc):

$$H = H_{obc} + \delta H_{mpbc}$$

- continuous change of the boundary condition:

$$\delta = 1 \rightarrow 0$$

mpbc: purely bulk spectrum

obc: bulk+edge spectrum

$$\delta = 1$$



$$\delta = 0$$

smooth evolution = BEC

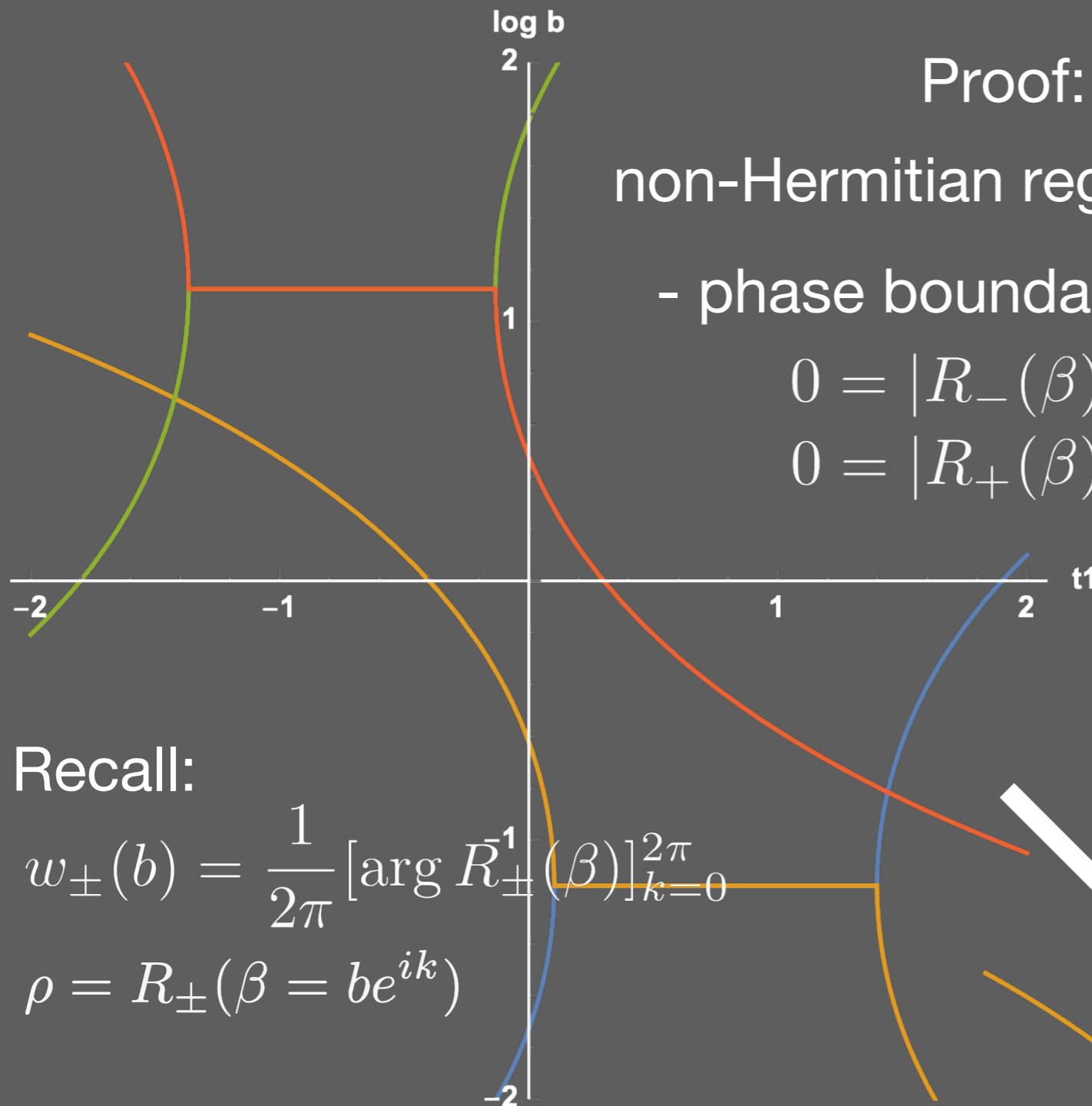
Proof: smoothly connected

non-Hermitian regime \longleftrightarrow Hermitian limit

- phase boundaries in the non-hermitian regime:

$$0 = |R_-(\beta)| = |t_1 - \gamma_1 + (t_2 + \gamma_2)\beta + t_3\beta^{-1}|$$

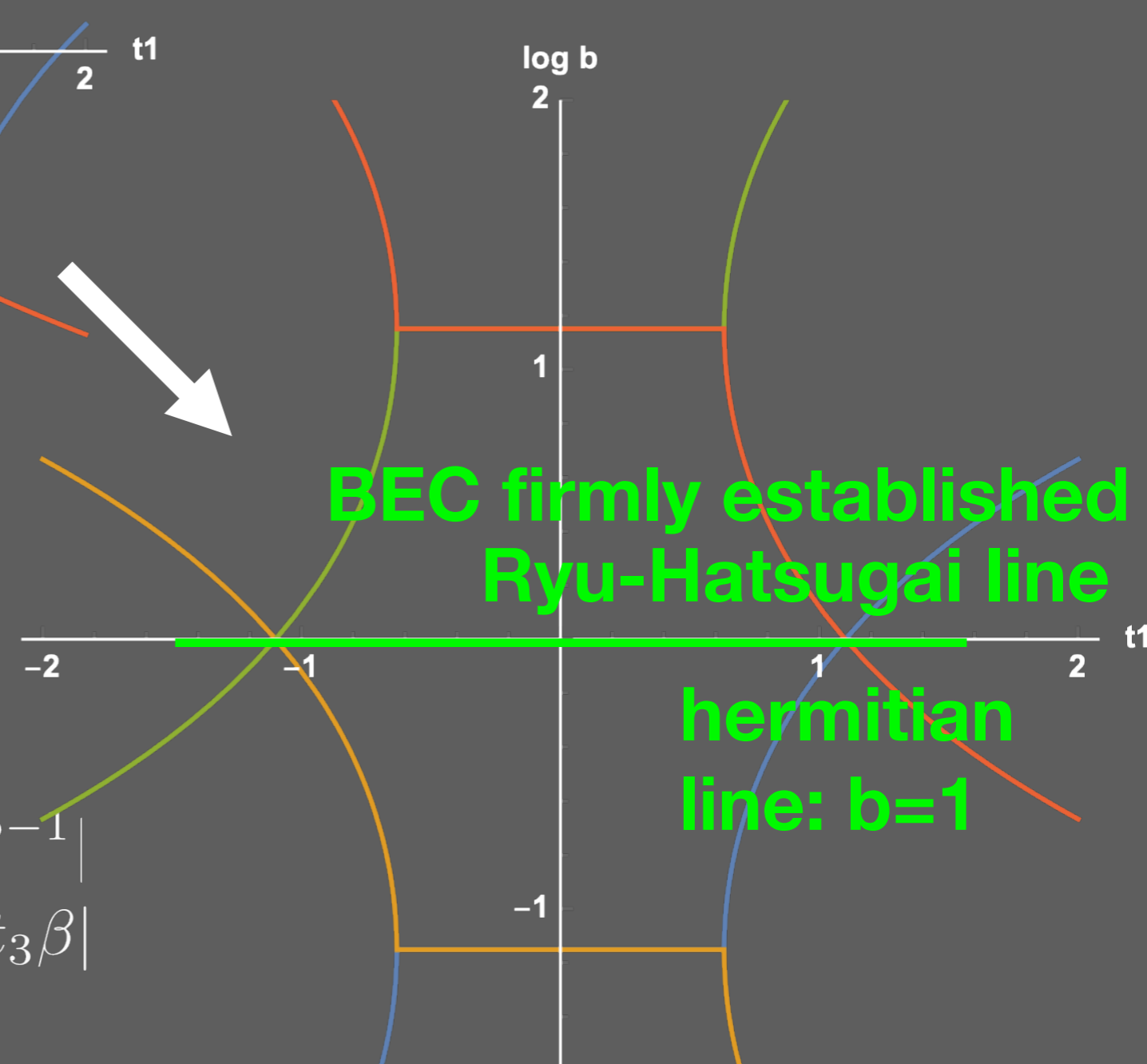
$$0 = |R_+(\beta)| = |t_1 + \gamma_1 + (t_2 - \gamma_2)\beta^{-1} + t_3\beta|$$



Recall:

$$w_{\pm}(b) = \frac{1}{2\pi} [\arg R_{\pm}^{-1}(\beta)]_{k=0}^{2\pi}$$

$$\rho = R_{\pm}(\beta = be^{ik})$$



- The phase boundaries in the hermitian limit:

$$0 = |R_-(\beta)| = |t_1 + t_2\beta + t_3\beta^{-1}|$$

$$0 = |R_+(\beta)| = |t_1 + t_2\beta^{-1} + t_3\beta|$$