

Classification of symmetry protected topological phases in quantum spin systems

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Symmetry Protected Topological (SPT) phases

We consider the set of Hamiltonians satisfying the following.

- (i) a **unique gapped** ground state,
- (ii) satisfy a given symmetry β ,
- (iii) can be smoothly deformed into a fixed reference on-site Hamiltonian without a phase transition.
(**Excludes long- range entanglement.**)

We would like to classify them with the criterion :

Two Hamiltonians are equivalent if they can be smoothly deformed into each other without a phase transition, **preserving the symmetry.**

The resulting phases are the **SPT**-phases.

Symmetry Protected Topological (SPT) phases

This talk is about

classification of SPT-phases
in $\nu = 1$ and $\nu = 2$ -dimensional quantum spin systems,
with on-site finite group symmetry.

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We consider this problem in the **operator algebraic framework** of quantum statistical mechanics. Namely, instead of considering finite systems and taking the thermodynamic limit, we start from **infinite systems**.

The reason for that is

the invariant of the classification is most naturally defined in infinite systems.

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Fredholm index of an operator T (with $\dim \ker T, \dim \ker T^* < \infty$ and $T\mathcal{H}$ closed) on a Hilbert space \mathcal{H} is defined by

$$\text{ind } T := \dim \ker T - \dim \ker T^*.$$

This is always **0** if \mathcal{H} is of **finite** dimensional.

It is not the case if $\dim \mathcal{H} = \infty$.

For example, on $\mathcal{H} = l^2(\mathbb{N})$, the unilateral shift

$$S(\xi_1, \xi_2, \xi_3, \dots) := (0, \xi_1, \xi_2, \xi_3, \dots), \quad (\xi_1, \xi_2, \xi_3, \dots) \in l^2(\mathbb{N}).$$

has $\ker S = \{0\}$, $\ker S^* = (1, 0, 0, 0, \dots)$ and

$$\text{ind } S = 0 - 1 = -1.$$

An analogous thing happens to our index.

Quantum spin system

Let $d \in \mathbb{N}$ be fixed. Let $\nu \in \mathbb{N}$ be a spacial dimension.
A ν -dimensional quantum spin system is the C^* -algebra

$$\mathcal{A} := \bigotimes_{\mathbb{Z}^\nu} M_d, \quad M_d: \text{matrix algebra of size } d.$$

For each $\Gamma \subset \mathbb{Z}^\nu$, $\mathcal{A}_\Gamma := \bigotimes_\Gamma M_d$ is naturally regarded as a subalgebra of \mathcal{A} . We use the notation

$$\mathcal{A}_{\text{loc}} := \bigcup_{\Lambda \in \mathbb{Z}^\nu} \mathcal{A}_\Lambda.$$

Interaction

An **interaction** is a map

$$\Phi : \mathfrak{S}_{\mathbb{Z}^\nu} \rightarrow \mathcal{A}_{\text{loc}}$$

where $\mathfrak{S}_{\mathbb{Z}^\nu}$ is the set of all finite subsets of \mathbb{Z}^ν , satisfying

$$\Phi(X) = \Phi(X)^* \in \mathcal{A}_X$$

for all $X \in \mathfrak{S}_{\mathbb{Z}^\nu}$.

An interaction Φ is **of finite range** if there exists $m \in \mathbb{N}$ such that $\Phi(X) = 0$ for X with diameter larger than m . It is **uniformly bounded** if

$$\sup_{X \in \mathfrak{S}_{\mathbb{Z}^\nu}} \|\Phi(X)\| < \infty.$$

Interaction such that

$$\Phi(X) = 0, \quad \text{if } |X| \neq 1,$$

is called **on-site/ trivial interaction**.

For an interaction Φ and a finite set $\Lambda \subset \mathbb{Z}^\nu$, we define the local Hamiltonian as

$$(H_\Phi)_\Lambda := \sum_{X \subset \Lambda} \Phi(X).$$

For a uniformly bounded finite range interaction Φ , the limit

$$\alpha_t^\Phi(A) = \lim_{\Lambda \rightarrow \mathbb{Z}^\nu} e^{it(H_\Phi)_\Lambda} A e^{-it(H_\Phi)_\Lambda}, \quad t \in \mathbb{R}, \quad A \in \mathcal{A}$$

exists and define a dynamics α^Φ on \mathcal{A} .

Definition

Let δ_Φ be the generator of α^Φ . A state ω on \mathcal{A} is called an α^Φ -ground state if the inequality

$$-i\omega(A^*\delta_\Phi(A)) \geq 0$$

holds for any element A in the domain $\mathcal{D}(\delta_\Phi)$ of δ_Φ .

Let us consider this condition for a finite system M_n with dynamics

$$\alpha_t(A) = e^{itH} A e^{-itH}, \quad t \in \mathbb{R}, \quad A \in \mathfrak{A},$$

Let P be the spectral projection of H corresponding to the lowest eigenvalue. Then a state ω is an α -ground state if and only if the support $s(\omega)$ of ω satisfies $s(\omega) \leq P$.

Unique gapped ground states

Definition

Suppose that there is a **unique** α^Φ -ground state ω_Φ . Then we say Φ has a **unique gapped ground state in the bulk** if there exists a $\gamma > 0$ such that

$$-i\omega_\Phi(A^*\delta_\Phi(A)) \geq \gamma\omega_\Phi(A^*A), \quad \text{for all } A \in \mathcal{D}(\delta_\Phi) \text{ with } \omega_\Phi(A) = 0.$$

Let us consider this condition for a finite system M_n with dynamics

$$\alpha_t(A) = e^{itH} A e^{-itH}, \quad t \in \mathbb{R}, \quad A \in \mathfrak{A},$$

with a self-adjoint element H in M_n . Then the above condition means that "the lowest eigenvalue of H is non-degenerated and the difference between the lowest eigenvalue and the second lowest eigenvalue is at least γ ".

On-site symmetry

Let G be a finite group and U a unitary representation of G on \mathbb{C}^d .
Let β be an action of G on \mathcal{A} such that

$$\beta_g(A) := \left(\bigotimes_{x \in \Lambda} U(g) \right) A \left(\bigotimes_{x \in \Lambda} U(g)^* \right), \quad g \in G, \Lambda \in \mathbb{Z}^\nu, A \in \mathcal{A}_\Lambda.$$

We say **an interaction Φ is β -invariant** if $\beta_g(\Phi(X)) = \Phi(X)$ for all $X \in \mathfrak{S}_{\mathbb{Z}^\nu}$ and $g \in G$.

Classification of gapped Hamiltonians without symmetry

We would like to classify

$$\mathcal{P}_{U.G.} := \left\{ \Phi \left| \begin{array}{l} \text{finite range uniformly bounded interactions} \\ \text{with unique gapped ground state} \end{array} \right. \right\}$$

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with respect to the following criterion.

Two interactions $\Phi_0, \Phi_1 \in \mathcal{P}_{U.G.}$ are equivalent ($\Phi_0 \sim \Phi_1$) if there is a **smooth** path in $\mathcal{P}_{U.G.}$ connecting them.

Smoothness means

- $[0, 1] \ni s \mapsto \Phi_s(X) \in \mathcal{A}_X$ is smooth,
- the gap is uniformly bounded from below by some $\gamma > 0$ along the path,
- the path of expectation values $[0, 1] \ni s \mapsto \omega_{\Phi(s)}(A) \in \mathbb{C}$ of sub-exponentially localized elements $A \in \mathcal{A}_{\mathbb{Z}^{\nu}}$ with respect to the ground state $\omega_{\Phi(s)}$ is regular with respect to $s \in [0, 1]$.

Reference on-site interaction

Throughout this talk, we **fix some on-site interaction Φ_0** with unique gapped ground state.

Note that its ground state ω_{Φ_0} is a product state.

Interaction such that

$$\Phi_0(X) = 0, \quad \text{if } |X| \neq 1,$$

is called an on-site interaction.

SPT phases

Now we introduce the on-site symmetry β to the game.
The set we consider in this talk is

$$\mathcal{P}_{U.G.\beta}^0 := \{\Phi \in \mathcal{P}_{U.G.} \mid \Phi \sim \Phi_0 \text{ and } \beta\text{-invariant}\}.$$

Two interactions $\Phi_0, \Phi_1 \in \mathcal{P}_{U.G.\beta}^0$ are equivalent ($\Phi_0 \sim_{\beta} \Phi_1$) if there is a smooth path in $\mathcal{P}_{U.G.\beta}^0$ connecting them.

$\mathcal{P}_{U.G.\beta}^0$ may split into multiple equivalence classes with respect to \sim_{β} .

Definition (Symmetry Protected Topological (SPT) phases)

Each equivalence class of $\mathcal{P}_{U.G.\beta}^0$ with respect to \sim_{β} is called *Symmetry Protected Topological (SPT) phases*.

(Gu-Wen '09)

The question I would like to ask in this talk is the following:

Question

How can we see that $\Phi_1 \in \mathcal{P}_{U.G.\beta}^0$ and $\Phi_2 \in \mathcal{P}_{U.G.\beta}^0$ belong to different equivalence class?

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Natural approach:

Define some index on $\mathcal{P}_{U.G.\beta}^0$ and show that it is an invariant of \sim_β .

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Natural approach:

Define some index on $\mathcal{P}_{U.G.\beta}^0$ and show that it is an invariant of \sim_β .

Indeed, physicist took this approach, [Pollmann et.al. '10,'12 Chen-Gu-Wen '11 Schuch et.al. '11, Molnar '18 et.al.], and they conjectured that

for ν -dimensional quantum spin systems, there is a $H^{\nu+1}(G, U(1))$ -valued invariant for the classification,

based on analysis of MPS/PEPS, and TQFT.

Indeed, physicist took this approach, [Pollmann et.al. '10,'12
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i -cochain of G :

$$C^i(G, U(1)) = \{f \mid G^{\times i} \rightarrow U(1)\}.$$

The i -th differential $d^i : C^i(G, U(1)) \rightarrow C^{i+1}(G, U(1))$ is given by

$$(d^i \sigma)(g_0, \dots, g_i) = \sigma(g_1, \dots, g_i) \left(\prod_{k=1}^i \sigma(g_0, \dots, g_{k-1} g_k, \dots, g_i)^{(-1)^k} \right) \sigma(g_0, \dots, g_{i-1})^{(-1)^{i+1}}.$$

$$Z^i(G, U(1)) := \ker d^i, \quad B^i(G, U(1)) := \text{Im } d^{i-1}$$

$$H^i(G, U(1)) := Z^i(G, U(1)) / B^i(G, U(1)).$$

Main result

Theorem (Main Theorem O'20, O'20+)

There is an $H^{\nu+1}(G, U(1))$ -valued invariant if $\nu = 1, 2$.

$\nu = 1$ case

The invariant should be $H^2(G, U(1))$ -valued.

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A projective representation was already there!

- (i) **Thm** [T. Matsui '13]
Unique gapped ground state satisfies the **split property**
- (ii) A **projective representation** can be associated naturally to **β -invariant pure split state**. ['01 Matsui]

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(i) **Thm** [T. Matsui '13]

Unique gapped ground state satisfies the **split property**

(ii) A **projective representation** can be associated naturally to **β -invariant pure split state**. [’01 Matsui]

$\Rightarrow h(\Phi) \in H^2(G, U(1))$.

Theorem (O ’20)

The index $h(\Phi)$ is an invariant of our classification $\sim \beta$.

How about $\nu = 2$ case??

Any form of **split property** for **unique gapped ground state** in **2-dimensional** quantum spin systems is not known. Even if it was known, it is apriori not clear how to use it to define an index.

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So I decided to take **an advantage of the situation** of the problem.

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Fix any trivial $\Phi_0 \in \mathcal{P}_{U.G.}$. (Its ground state ω_{Φ_0} is of product form.)

Then for any $\Phi \in \mathcal{P}_{U.G.\beta}^0$, we have

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Then for any $\Phi \in \mathcal{P}_{U.G.\beta}^0$, we have

$$\Phi \sim \Phi_0.$$

\Rightarrow This means that ω_Φ has **short range entanglement!**

Automorphic Equivalence



Automorphic Equivalence (Hasting's adiabatic Lemma)

Theorem (Hastings-Wen '04, Bachmann et.al. '12 Nachtergaele et.al. '19, Moon-O '20)

For a smooth path of interactions $\Phi(s)$ in $\mathcal{P}_{U.G.}$, there is a smooth path of automorphisms α_s , *satisfying a concrete differential equation* given by some time-dependent *local interactions* such that

$$\omega_{\Phi(s)} = \omega_{\Phi(0)} \circ \alpha_s, \quad s \in [0, 1]$$

Because α_s is given by *local interactions*,

we can cut α_s and factorize it.

The factorization property of $\alpha_1 : \nu = 1$ case

$$\alpha_1 = (\text{inner}) \circ (\alpha_L \otimes \alpha_R).$$

The factorization property of $\alpha_1 : \nu = 2$ case

$$H_L := \{(x, y) \in \mathbb{Z}^2 \mid x \leq -1\}, \quad H_R := \{(x, y) \in \mathbb{Z}^2 \mid 0 \leq x\},$$
$$C_\theta := \{(x, y) \in \mathbb{Z}^2 \mid |y| \leq \tan \theta \cdot |x|\}, \quad 0 < \theta < \frac{\pi}{2}.$$

Proposition

For any $0 < \theta < \frac{\pi}{2}$, there is $\alpha_L \in \text{Aut } \mathcal{A}_{H_L}$, $\alpha_R \in \text{Aut } \mathcal{A}_{H_R}$, and $\Theta \in \text{Aut } \mathcal{A}_{(C_\theta)^c}$ such that

$$\alpha_1 = (\text{inner}) \circ (\alpha_L \otimes \alpha_R) \circ \Theta.$$

For any interaction Φ in SPT phase $\mathcal{P}_{U.G.\beta}^0$, there is an automorphism α_1 such that

- (i) $\omega_\Phi = \omega_{\Phi_0} \circ \alpha_1$, and
- (ii) α_1 factorize nicely.

Inspiration from operator algebra cocycle action

[Connes'77] [Jones '80]

Still, how can we derive $H^3(G, U(1))$?

Let $\{\gamma_g\}_{g \in G}$ be automorphisms on a factor \mathcal{M} .

Assume that there are unitaries $\{u(g, h)\}_{g, h \in G} \subset \mathcal{U}(\mathcal{M})$ such that

$$\gamma_g \gamma_h = \text{Ad}(u(g, h)) \gamma_{gh}.$$

Then by the associativity, we have

$$\gamma_g \gamma_h \gamma_k = \text{Ad}(u(g, h)) \gamma_{gh} \gamma_k = \text{Ad}(u(g, h)u(gh, k)) \gamma_{ghk}$$

$$\gamma_g \gamma_h \gamma_k = \gamma_g \text{Ad}(u(h, k)) \gamma_{hk} = \text{Ad}(\gamma_g(u(h, k))) \gamma_g \gamma_{hk}$$

$$= \text{Ad}(\gamma_g(u(h, k))u(g, hk)) \gamma_{ghk}$$

$\Rightarrow \exists c \in C^3(G, U(1))$ s.t.

$$u(g, h)u(gh, k) = c(g, h, k)\gamma_g(u(h, k))u(g, hk).$$

It turns out that

$$c \in Z^3(G, U(1)) \Rightarrow [c]_{H^3(G, U(1))} \in H^3(G, U(1))$$

Remark:

If $\gamma_g = \text{Ad}(u_g)$, (for example if \mathcal{M} is of finite dimension), then we may take $u(g, h)$ in

$$\gamma_g \gamma_h = \text{Ad}(u(g, h)) \gamma_{gh}.$$

as $u_g u_h u_{gh}^*$. Substituting this to

$$u(g, h)u(gh, k) = c(g, h, k)\gamma_g(u(h, k))u(g, hk),$$

we obtain

$$(u_g u_h u_{gh}^*) (u_{gh} u_k u_{ghk}^*) = c(g, h, k) \text{Ad}(u_g)(u_h u_k u_{hk}^*) \cdot u_g u_{hk} u_{ghk}^*,$$

hence $c(g, h, k) = 1$.

Naive consideration

If we have automorphisms $\{\gamma_g\}_{g \in G}$ on \mathcal{A} such that $\gamma_g \gamma_h \gamma_{gh}^{-1}$ is inner, then we get some $[c] \in H^3(G, U(1))$.

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Hint from former works on index of gapped phases

Cut the system into two!

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Bulk-edge correspondence in free Fermions

F. Pollmann, A. Turner, E. Berg, and M. Oshikawa '10

O' 20, Bachmann-Bols-DeRoeck-Fraas '20,

Consider the action of G given by

$$\beta_g^U := \text{id}_{\mathcal{A}_{H_D}} \otimes \bigotimes_{x \in H_U} \text{Ad}(U(g)), \quad g \in G.$$

Good situation

If there are automorphisms $\{\gamma_g\}_{g \in G}$ on \mathcal{A} such that $\gamma_g \gamma_h \gamma_{gh}^{-1}$ is inner, i.e., $\gamma_g \gamma_h \gamma_{gh}^{-1} = \text{Ad}(u(g, h))$ then we get some $[c] \in H^3(G, U(1))$.

For any interaction Φ in SPT phase $\mathcal{P}_{U,G,\beta}^0$, there is an automorphism α_1 such that $\omega_\Phi = \omega_{\Phi_0} \circ \alpha_1$.

Lemma

Suppose that

$$\alpha_1 \beta_g^U \alpha_1^{-1} (\beta_g^U)^{-1} = (\text{inner}) (\eta_{g,L} \otimes \eta_{g,R})$$

Set $\gamma_g := \eta_{g,R} \beta_g^{U,R}$. Then we have $\gamma_g \gamma_h \gamma_{gh}^{-1} = \text{Ad}(u(g, h))$, with some unitary. Hence we obtain some $[c] \in H^3(G, U(1))$.

Proof

$$\begin{aligned} \text{id} &= \alpha_1 \beta_g^U \alpha_1^{-1} \circ \alpha_1 \beta_h^U \alpha_1^{-1} \circ (\alpha_1 \beta_{gh}^U \alpha_1^{-1})^{-1} \\ &= (\text{inner}) \circ \left(\gamma_{g,L} \gamma_{h,L} \gamma_{gh,L}^{-1} \right) \otimes \left(\gamma_{g,R} \gamma_{h,R} \gamma_{gh,R}^{-1} \right) \end{aligned}$$

Good situation : example (Dijkgraaf-Witten model)

Let $\mathbb{C}^d = l^2(G)$, spanned by CONS $\{|g\rangle \mid g \in G\}$, and $U_g |h\rangle = |gh\rangle$.
Fix any $\varphi \in Z^3(G, U(1))$ and set

$$\begin{aligned} \nu(g_0, g_1, g_2, g_3) &:= \varphi(g_0^{-1}g_1, g_1^{-1}g_2, g_2^{-1}g_3). \\ \Rightarrow \frac{\nu(g_1, g_2, g_3, g_4)\nu(g_0, g_1, g_3, g_4)\nu(g_0, g_1, g_2, g_3)}{\nu(g_0, g_2, g_3, g_4)\nu(g_0, g_1, g_2, g_4)} &= 1. \end{aligned}$$

For each $\mathbb{S}_N := \{S_{(x,y)}\}_{(x,y) \in \Lambda_N} : \Lambda_N \rightarrow G$, a configuration, set

$$\psi_N(\mathbb{S}_N)$$

$$:= \prod_{(x,y) \in [-N+1, N-1]^2} \frac{\nu(e, s(x,y), s(x+1,y), s(x+1,y+1))}{\nu(e, s(x,y), s(x,y+1), s(x+1,y+1))}, \text{ and}$$

$$V_N := \sum_{\mathbb{S}_N} \psi_N(\mathbb{S}_N) |\mathbb{S}_N\rangle \langle \mathbb{S}_N|.$$

$\exists \alpha_1$ such that

$$\alpha_1(A) = \lim_N \text{Ad}(V_N)(A), \quad A \in \mathcal{A}.$$

$$\alpha_1 \beta_g^U \alpha_1^{-1} (\beta_g^U)^{-1} (A) = \lim_{N \rightarrow \infty} \text{Ad}(V_N \beta_g^U (V_N^*))(A) \Rightarrow V_N \beta_g^U (V_N^*)?$$

Good situation : example

$$\frac{\nu(e, s(x, y), s(x+1, y), s(x+1, y+1))}{\nu(g, s(x, y), s(x+1, y), s(x+1, y+1))} = \frac{\nu(e, g, s(x+1, y), s(x+1, y+1))\nu(e, g, s(x, y), s(x+1, y))}{\nu(e, g, s(x, y), s(x+1, y+1))}$$
$$\frac{\nu(e, s(x, y), s(x, y+1), s(x+1, y+1))}{\nu(g, s(x, y), s(x, y+1), s(x+1, y+1))} = \frac{\nu(e, g, s(x, y+1), s(x+1, y+1))\nu(e, g, s(x, y), s(x, y+1))}{\nu(e, g, s(x, y), s(x+1, y+1))}.$$

Good situation : example

As a result, in this model, $\alpha_1 \beta_g^U \alpha_1^{-1} (\beta_g^U)^{-1}$ is localized around $y = 0$, and can be cut into left and right modulo (inner).
 \Rightarrow We may apply

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$H^3(G, U(1))$ -valued index

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Unfortunately, it is not clear if α_1 satisfies such a property, in general.

However, "some weaker version" is true, and from this, we can derive an element $h(\Phi) \in H^3(G, U(1))$.

Theorem (O' 20+)

$h(\Phi)$ is independent of choice of α_1 .

($\omega_\Phi = \omega_{\Phi_0} \circ \alpha_1$.)

Furthermore,

Theorem (O' 20+)

$h(\Phi)$ is an invariant of the SPT phases.

Thank you