

Goal: computing spectral functions via Lehmann representation using complete basis.

1. Completeness of Anders-Schiller basis

[Anders2005], [Anders2006]

The combination of all sets of discarded states constructed in (NRG-III.5),  $\{|\alpha, e\rangle_l^D \mid l=l_0, \dots, L\}$

forms a complete basis in full Hilbert space of length-N chain, known as 'Anders-Schiller (AS) basis':

(proof follows below)

$$\sum_{\alpha, e} |\bar{\sigma}_l\rangle \langle \bar{\sigma}_l| \stackrel{\text{by definition}}{=} \mathbb{1}_{d^x d^x} \stackrel{\text{exact basis transformation}}{=} \sum_l \sum_{\alpha, e} |\alpha, e\rangle_l^D \langle \alpha, e| \quad (1)$$

These basis states are approximate eigenstates of Hamiltonian of length- $l$  chain:

$$\hat{H}^l |\alpha, e\rangle_l \approx \hat{H}^l |\alpha, e\rangle_l = E_\alpha^l |\alpha, e\rangle_l \quad (2)$$

Here we made the 'NRG approximation': when acting on states from shell  $l$ , approximate  $\hat{H}^l$  by  $\hat{H}^l$ , i.e. neglect later-site parts of the Hamiltonian. Justification: they describe fine structure not relevant for capturing course structure of shell  $l$ . The AS basis thus has following key properties:

- For small  $l$ , energy resolution is bad, degeneracy high.
- As  $l$  increases, energy resolution becomes finer, degeneracy decreases.

Projectors:

Projector onto sector  $X$  of shell  $l$  :

$$\hat{P}_l^X = \sum_{\alpha, e} |\alpha, e\rangle_l^X \langle \alpha, e| = \begin{matrix} \text{K} & \text{K} & \text{K} \\ \text{---} & \text{---} & \text{---} \\ \text{X} & \text{X} & \text{X} \\ \text{---} & \text{---} & \text{---} \\ \text{K} & \text{K} & \text{K} \end{matrix} \times \begin{matrix} e \\ \text{---} \\ e \end{matrix} \quad (13)$$

K and D sectors partition shell into two disjoint sets of orthonormal states, hence

$$P_l^{X'} P_l^X = \delta^{X'X} P_l^X \quad (14)$$

Refinement of K sector of shell  $l$  :

$$\hat{P}_l^K = \hat{P}_{l+1}^D + \hat{P}_{l+1}^K \quad \begin{matrix} \text{K} & \text{---} & \text{D} \\ \text{---} & \text{---} & \text{---} \\ \text{K} & \text{---} & \text{K} \end{matrix} \quad (15)$$

Iterate until end of chain:

$$= \hat{P}_{l+1}^D + \hat{P}_{l+2}^D + \hat{P}_{l+2}^K = \dots \quad (16)$$

Hence: (for any  $l'' > l$ )

$$P_l^K = \sum_X P_{l+1}^X = \sum_{l' > l} P_{l'}^D + P_{l''}^K = \sum_{l' > l} P_{l'}^D \quad (17)$$

For  $l = l_0$  :

$$\mathbb{1}_{d^x d^x} = P_{l_0}^D + P_{l_0}^K = \sum_{l=l_0}^L P_l^D \quad (18)$$

Unit operator can be expressed as sum over D-projectors of all shells, hence AS basis is complete!

General projector products:

$$P_{l'}^{X'} P_l^X \stackrel{(14, 17)}{=} \begin{cases} \delta^{KX'} P_l^X & \text{if } l' < l \\ \delta^{X'X} P_l^X & \text{if } l' = l \\ P_{l'}^{X'} \delta^{XK} & \text{if } l' > l \end{cases} \quad (19)$$

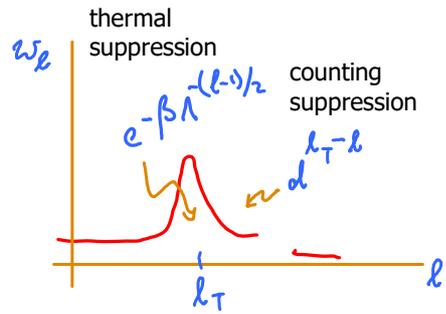








The weights  $w_l$ , viewed as a function of  $l$ , are peaked near  $l_T$ , with a width of five to ten shells (depending on  $\Lambda, d$  and  $D_{\text{kept}}$ )



Reason: the Boltzmann factors  $e^{-\beta E_s^l}$  in partition functions yield  $\approx 0$  for  $E_s^l \gg T$  or  $\approx 1$  for  $E_s^l \ll T$ . Hence

$$w_l = \frac{d^{l-l} Z_b^D}{Z} \stackrel{(2)}{=} \frac{d^{l-l} \sum_{\alpha'} e^{-\beta E_{\alpha'}^l}}{\sum_{l'} \sum_{\alpha'} e^{-\beta E_{\alpha'}^{l'}}} \stackrel{(3)}{\propto} \frac{d^{l-l} e^{-\beta \Lambda^{-(l-1)/2}}}{\sum_{l' > l_T} \sum_{\alpha'} e^{-\beta E_{\alpha'}^{l'}}} \approx d^{l_T-l} e^{-\beta \Lambda^{-(l-1)/2}} \quad (9)$$

sum over environment of shell  $l_T$  yields  $\sum \approx d^{l-l_T}$

Thus, the weight functions ensure in a natural manner that shells whose characteristic energy lies close to temperature have dominant weight, while avoiding the brutal single-shell approximation  $w_l = \delta_{l,l_T}$ .

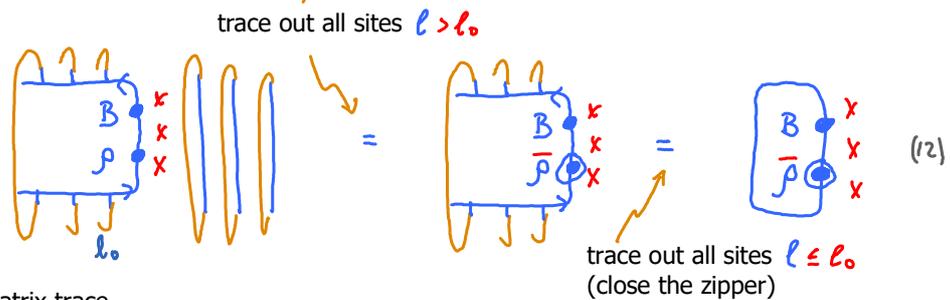
Thermal expectation value:

$$\langle \hat{B} \rangle_T = \text{Tr} [\hat{\rho} \hat{B}] \stackrel{(2.18)}{=} \sum_{x'' x' x} \text{Tr} [\hat{\rho}_{l_0}^{x''} \hat{B}_{l_0}^{x' x}] \quad (10)$$

definition      shell- $l_0$  representation      due to trace

$$= \sum_X \text{Tr} [\hat{\rho}_{l_0}^X \hat{B}_{l_0}^X] = \sum_X \text{Tr} [\hat{\rho}_{l_0}^X \hat{B}_{l_0}^X] \quad (11)$$

operator trace      all sites      sites  $\leq l_0$



$$= \sum_X \text{tr} [\hat{\rho}_{l_0}^X \hat{B}_{l_0}^X] = \sum_X \sum_{\alpha' \alpha} [\hat{\rho}_{l_0}^X]_{\alpha' \alpha} [\hat{B}_{l_0}^X]_{\alpha \alpha'} \quad (13)$$

matrix trace      shell  $l_0$

can be computed using solely shell- $l_0$  matrix elements (but reduced density matrix requires backward sweep along entire chain)

Note: traces of shell-diagonal operator products simplify to traces of matrix products, with full density matrix replaced by reduced density matrix.

#### 4. Spectral functions: full-density-matrix (fdm) NRG

NRG-IV.4

[Weichselbaum2007] [Lee2021]

AS basis, being complete set of (approximate) energy eigenstate, is suitable for use in Lehmann representation of spectral function, with the identification  $\{|\alpha\rangle\} = \{|\alpha e\rangle_l^D, l = l_0, \dots, L\}$

$$A^{BC}(\omega) \stackrel{\text{(NRG-II.1)}}{=} \int \frac{dt}{2\pi} e^{i\omega t} \text{Tr}[\hat{\rho} \hat{B}(t) \hat{C}] = \text{Tr}[\hat{B}(\omega) \hat{C} \hat{\rho}] \quad (1)$$

trace is cyclic

Insert representation of these three operators in complete AS basis:

$$\text{Tr} \left[ \sum_l \sum_{\bar{l}} \sum_{\tilde{l}} |\tilde{\alpha}' \tilde{e}\rangle_{\tilde{l}} \left[ B_{\tilde{l}}(\omega) \right]_{\tilde{x} \tilde{x}'}^{\tilde{\alpha}' \tilde{\alpha}} \langle \tilde{\alpha}' \tilde{e} |_{\tilde{l}} \left[ C_{\bar{l}} \right]_{\bar{x} \bar{x}'}^{\bar{\alpha}' \bar{\alpha}} \langle \bar{\alpha}' \bar{e} |_{\bar{l}} \left[ \rho_l^D \right]_{\alpha \alpha'}^D \langle \alpha, e |_{l} \rangle \quad (2)$$

$\tilde{x} \tilde{x}' \neq KK$        $\bar{x} \bar{x}' \neq KK$

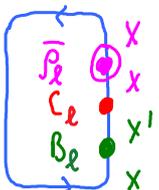
Looks intimidating, but can be simplified by systematically using (NRG-III.5.12) for overlaps.

Simpler approach (leading to same result) uses operator product expansion (2.18):

$$A^{BC}(\omega) = \text{Tr}[\hat{B}(\omega) (\hat{C} \hat{\rho})] = \sum_l \sum_{x'' x'}^{KKK} \text{Tr} \left[ \hat{B}_l(\omega)_{x'' x'}^{x'' x'} (\hat{C} \hat{\rho})_{x' x}^{x' x} \right] \quad (3)$$

trace is cyclic  $\delta_{x'' x}$

Perform trace in same way as for thermal expectation value, (3.10): trace over sites  $l' > l$  yields reduced density matrix, trace over sites  $l' \leq l$  yields matrix trace over shell  $l$  :

$$A^{BC}(\omega) = \sum_l \sum_{x' x}^{KK} \text{tr}_{\text{shell } l} \left[ B_l(\omega)_{x' x'}^x (C \bar{\rho})_{x' x}^{x' x} \right] \quad (4)$$


$$= \sum_l \sum_{x' x}^{KK} \sum_{\alpha \alpha'} \left[ B_l_{x' x'}^x \right]_{\alpha'}^{\alpha} \delta(\omega - (E_{\alpha'}^l - E_{\alpha}^l)) \left[ C_l_{x' x} \bar{\rho}^x \right]_{\alpha}^{\alpha'} \quad (5)$$

resolves frequency at scale  $\omega \sim \Lambda^{-l/2}$

Each term involves a trace over matrix products involving only a single shell.

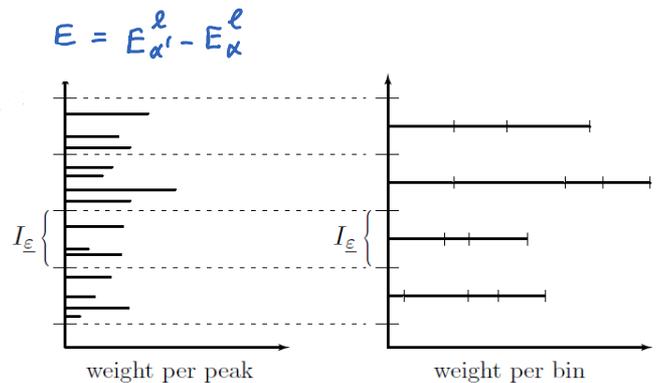
Easy to evaluate numerically.

To deal with delta functions, use 'binning': partition frequency axis into discrete bins,  $I_{\xi}$ , centered on set of discrete energies,  $\{\xi\}$ , and replace

$$\delta(\omega - E) \text{ by } \delta(\omega - \xi) = \text{if } E \in I_{\xi}$$

This assigns energy  $\xi$  to all peaks lying in same bin.

Finally, broaden using log-Gaussian broadening kernel, (NRG-III.3.4).



Spectral function of Anderson impurity model

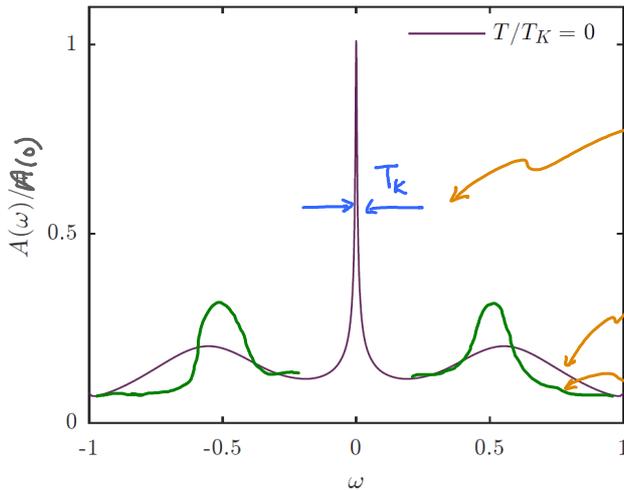
(at particle-hole symmetry,  $\epsilon_d = -U/2$  and zero magnetic field,  $h=0$ )

$$A_s(\omega) := A^{d_s^\dagger d_s}(-\omega) + A^{d_s d_s^\dagger}(\omega)$$

Can be computed using fdm-NRG. Technical issues:

- Include Z-factors to take care of fermionic signs.
- Broaden final result using log-Gaussian broadening kernel (NRG-III.3.4).

Result: for  $\rho/U \ll 1$  (e.g. = 0.1) and  $T \ll T_K$  (e.g. = 0), one obtains



NRG correctly captures width of central peak around  $\omega = 0$ , the 'Kondo resonance'.

NRG overbroadens the side peaks, which lie at high energies.

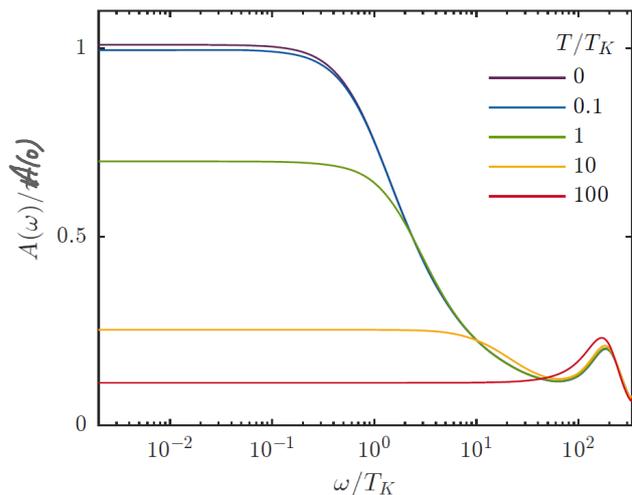
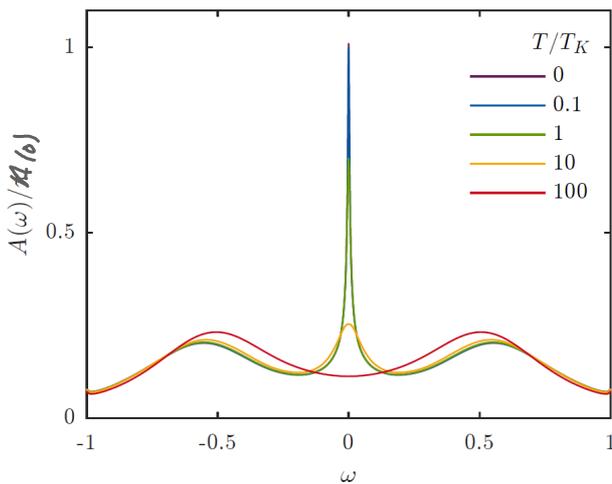
The true form of side peaks is narrower.

Over-broadening at large frequencies can be reduced using 'adaptive broadening' technique [Lee2016].

Exact result for peak height at  $T=0$ :  $\pi \Gamma A_s(\omega=0) = 1$

NRG reproduces this with an error of  $< 0.1\%$  if  $D_{\text{kept}}$  is large enough.

With increasing temperature, Kondo resonance broadens and weakens as  $T$  approaches and passes  $T_K$ .



Sum rule: we expect (for any temperature):

$$\int d\omega A_s(\omega) = \langle d_s^\dagger d_s \rangle_T + \langle d_s d_s^\dagger \rangle_T = \langle \{d_s, d_s^\dagger\} \rangle_T = 1.$$

Due to use of complete basis, fdmNRG fulfills this sum rule to machine precision, with error  $< 10^{-15}$