

# Topological nature of the Fu-Kane-Mele invariants

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## Mathematical Challenges in Quantum Mechanics

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1. *Time reversal symmetries and “Quaternionic” structures*
2. *The role of the (involutive) base space*
3. *In the search of a classifying object*
4. *FKMM vs. Fu-Kane-Mele*

# Topological Quantum Systems with odd TRS's

Let  $\mathbb{B}$  a topological space, (“**Brillouin zone**”). Assume that:


- $\mathbb{B}$  is compact, Hausdorff and path-connected;
- $\mathbb{B}$  admits a CW-complex structure.

## DEFINITION (Topological Quantum System (TQS))

Let  $\mathcal{H}$  be a separable Hilbert space and  $\mathcal{K}(\mathcal{H})$  the algebra of compact operators. A **TQS** is a self-adjoint map

$$\mathbb{B} \ni k \mapsto H(k) = H(k)^* \in \mathcal{K}(\mathcal{H})$$

**continuous** with respect to the norm-topology.

 The **spectrum**  $\sigma(H(k)) = \{E_j(k) \mid j \in \mathcal{I} \subseteq \mathbb{Z}\} \subset \mathbb{R}$ , is a sequence of eigenvalues ordered according to

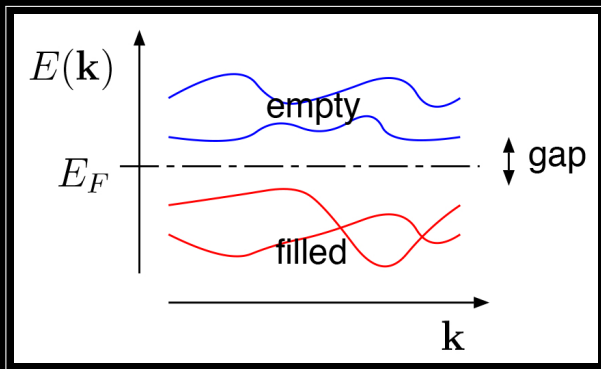
$$\dots E_{-2}(k) \leq E_{-1}(k) < 0 \leq E_1(k) \leq E_2(k) \leq \dots$$

 The maps  $k \mapsto E_j(k)$  are **continuous** (energy bands) ...

# Topological Quantum Systems with odd TRS's

... namely a band spectrum

$$H(\mathbf{k}) \psi_j(\mathbf{k}) = E_j(\mathbf{k}) \psi_j(\mathbf{k}), \quad \mathbf{k} \in \mathbb{B}$$



Usually an energy **gap** separates the filled **valence** bands from the empty **conduction** bands. The **Fermi level**  $E_F$  characterizes the gap.

# Topological Quantum Systems with odd TRS's

A homeomorphism  $\tau : \mathbb{B} \rightarrow \mathbb{B}$  is called **involution** if  $\tau^2 = \text{Id}_{\mathbb{B}}$ . The pair  $(\mathbb{B}, \tau)$  is called an **involutive space**. Each space  $\mathbb{B}$  admits (at least) the **trivial involution**  $\tau_{\text{triv}} := \text{Id}_{\mathbb{B}}$ .

## DEFINITION (TQS with time-reversal symmetry)

Let  $(\mathbb{B}, \tau)$  be an involutive space,  $\mathcal{H}$  a separable Hilbert space endowed with a **complex conjugation**  $\mathcal{C}$ . A TQS  $\mathbb{B} \ni k \mapsto H(k)$  has a **time-reversal symmetry** (TRS) of parity  $\eta \in \{\pm 1\}$  if there is a continuous unitary-valued map  $k \mapsto U(k)$  such that

$$U(k) H(k) U(k)^* = \mathcal{C} H(\tau(k)) \mathcal{C}, \quad \mathcal{C} U(\tau(k)) \mathcal{C} = \eta U(k)^* .$$

A TQS with an **odd** TRS (i.e.  $\eta = -1$ ) is called of class **All**.

# The Serre-Swan construction

- An **isolated family** of energy bands is any (finite) collection  $\{E_{j_1}(\cdot), \dots, E_{j_m}(\cdot)\}$  of energy bands such that

$$\min_{k \in \mathbb{B}} \text{dist} \left( \bigcup_{s=1}^m \{E_{j_s}(k)\}, \bigcup_{j \in \mathcal{I} \setminus \{j_1, \dots, j_m\}} \{E_j(k)\} \right) = C_g > 0.$$

This is usually called **gap condition**.

- An isolated family is described by the **Fermi projection**

$$P_F(k) := \sum_{s=1}^m |\psi_{j_s}(k)\rangle \langle \psi_{j_s}(k)|.$$

This is a **continuous** projection-valued map

$$\mathbb{B} \ni k \mapsto P_F(k) \in \mathcal{K}(\mathcal{H}).$$

# The Serre-Swan construction

For each  $k \in \mathbb{B}$

$$\mathcal{H}_k := \text{Ran } P_F(k) \subset \mathcal{H}$$

is a subspace of  $\mathcal{H}$  of **fixed** dimension  $m$ .

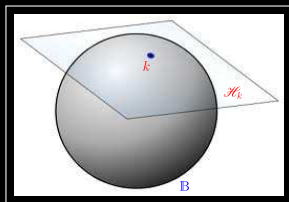
The collection

$$\mathcal{E}_F := \bigsqcup_{k \in \mathbb{B}} \mathcal{H}_k$$

is a topological space (said **total space**) and the **map**

$$\pi : \mathcal{E}_F \longrightarrow \mathbb{B}$$

defined by  $\pi(k, v) = k$  is continuous (and open).



This is a **complex** vector bundle (of rank  $m$ ) called **Bloch-bundle**.

# The Serre-Swan construction

👉 An **odd** TRS induces a **“Quaternionic”** structure on the Bloch-bundle.

## DEFINITION (Atiyah, 1966 - Dupont, 1969)

Let  $(\mathbb{B}, \tau)$  be an involutive space and  $\mathcal{E} \rightarrow \mathbb{B}$  a **complex** vector bundle. Let  $\Theta : \mathcal{E} \rightarrow \mathcal{E}$  an **homeomorphism** such that

$$\Theta : \mathcal{E}|_k \longrightarrow \mathcal{E}|_{\tau(k)} \quad \text{is } \mathbf{anti-linear} .$$

[ $\mathcal{R}$ ] - The pair  $(\mathcal{E}, \Theta)$  is a **“Real”**-bundle over  $(\mathbb{B}, \tau)$  if

$$\Theta^2 : \mathcal{E}|_k \xrightarrow{+1} \mathcal{E}|_k \quad \forall k \in \mathbb{B} ;$$

[ $\mathcal{Q}$ ] - The pair  $(\mathcal{E}, \Theta)$  is a **“Quaternionic”**-bundle over  $(\mathbb{B}, \tau)$  if

$$\Theta^2 : \mathcal{E}|_k \xrightarrow{-1} \mathcal{E}|_k \quad \forall k \in \mathbb{B} .$$



# The classification problem

## DEFINITION (Topological phases)

Let  $\mathbb{B} \ni k \mapsto H(k)$  be an **odd TR-symmetric** TQS with an isolated family of  $m$  energy bands and associated **“Quaternionic”** Bloch bundle  $\mathcal{E}_F \rightarrow \mathbb{B}$ . The **topological phase** of the system is specified by

$$[(\mathcal{E}_F, \Theta)] \in \text{Vec}_{\mathbb{Q}}^m(\mathbb{B}, \tau).$$



## Main Question:

How to classify  $\text{Vec}_{\mathbb{Q}}^m(\mathbb{B}, \tau)$  at least for **low-dimensional**  $\mathbb{B}$ ?

# The classification problem

Known results for  $\dim(\mathbb{B}) \leq 3$

- $\text{Vec}_{\mathbb{C}}^m(\mathbb{B}) \stackrel{c_1}{\simeq} H^2(\mathbb{B}, \mathbb{Z})$  (Peterson, 1959)
- $\text{Vec}_{\mathbb{R}}^m(\mathbb{B}, \tau) \stackrel{c_1^{\mathbb{R}}}{\simeq} H_{\mathbb{Z}_2}^2(\mathbb{B}, \mathbb{Z}(\mathbf{1}))$  (Kahn, 1987 - D. & Gomi, 2014)

CAZ	TRS	Category	VB
A	0	complex	$\text{Vec}_{\mathbb{C}}^m(\mathbb{B})$
AI	+	"Real"	$\text{Vec}_{\mathbb{R}}^m(\mathbb{B}, \tau)$
AII	-	"Quaternionic"	$\text{Vec}_{\mathbb{Q}}^m(\mathbb{B}, \tau)$

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# Electrons in a periodic environment

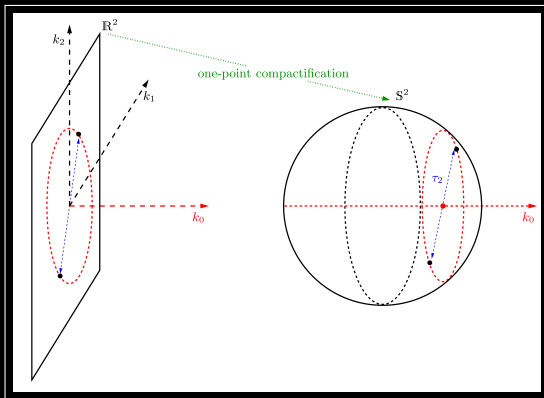
- **Periodic** quantum systems (e.g. absence of **disorder**):
  - $\mathbb{R}^d$ -translations  $\Rightarrow$  **free** (Dirac) fermions;
  - $\mathbb{Z}^d$ -translations  $\Rightarrow$  **crystal** (Bloch) fermions.
- The Bloch-Floquet (or Fourier) theory exploits the invariance under translations of a periodic structure to describe the state of the system in terms of the **quasi-momentum**  $\mathbf{k}$  on the **Brillouin zone**  $\mathbb{B}$ .
- Complex conjugation (TRS) endows  $\mathbb{B}$  with an involution  $\tau$ .
- Examples are:
  - Gapped electronic systems,
  - BdG superconductors,
  - **Photonic crystals** (M. Lein talk).

# Continuous case $\mathbb{B} \equiv \mathbb{S}^{1,d}$

$$\mathbb{S}^d \xrightarrow{\theta_{1,d}} \mathbb{S}^d$$

$$\mathbb{S}^{1,d} := (\mathbb{S}^d, \theta_{1,d})$$

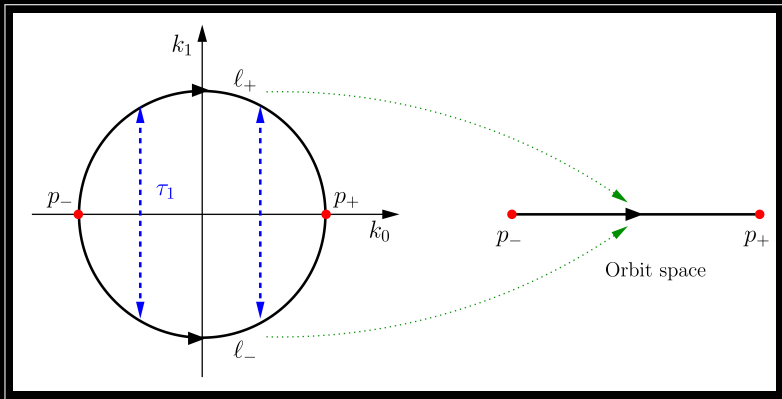
$$(+k_0, +k_1, \dots, +k_d) \xrightarrow{\theta_{1,d}} (+k_0, -k_1, \dots, -k_d)$$



Periodic case  $\mathbb{B} \equiv \mathbb{T}^{0,d,0}$

$$\mathbb{S}^{1,1} \times \dots \times \mathbb{S}^{1,1} \xrightarrow{\tau_d := \theta_{1,1} \times \dots \times \theta_{1,1}} \mathbb{S}^{1,1} \times \dots \times \mathbb{S}^{1,1}$$

$$\mathbb{T}^{0,d,0} := \underbrace{\mathbb{S}^{1,1} \times \dots \times \mathbb{S}^{1,1}}_{d \text{ - times}} = (\mathbb{T}^d, \tau_d)$$



# Topological states for Bloch electrons

	$d = 1$	$d = 2$	$d = 3$	$d = 4$	
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{1,d})$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	$\mathbb{Z}$	Free
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{0,d,0})$	0	$\mathbb{Z}_2$	$\mathbb{Z}_2^4$	$\mathbb{Z}_2^{10} \oplus \mathbb{Z}$	Periodic

- ☞ The first proof (for the case  $d = 1, 2$ ) is due to **Fu, Kane and Mele (2005 - 2007)**. They introduced the notion of **Fu-Kane-Mele indices** (values of a Pfaffian on the fixed points) and the distinction between **strong** and **weak** invariants.
- ☞ Computed by **Kitaev (2009)** for all  $d$  by **K-theory** (stable range).
- ☞ “Handmade” **frame construction** for the case  $\mathbb{T}^{0,2,0}$  by **Graf and Porta (2013)** and for the case  $\mathbb{T}^{0,3,0}$  by **Fiorenza, Monaco and Panati (2016)**.
- ☞ **Kennedy and Zirnbauer (2015)** by the calculation of the **equivariant homotopy** (very general but **hard** to compute).
- ☞ **D. and Gomi (2015)** by the introduction of the **FKMM-invariant** (a characteristic class) and the computation of the **equivariant cohomology** (very general and **not so hard** to compute).

# Why more general involutive spaces?

- ☞  $\mathbb{B}$  can be interpreted as the space of **control parameters** for a quantum system **adiabatically perturbed**. In this sense  $(\mathbb{B}, \tau)$  can be very general. In particular the **fixed-point set**  $\mathbb{B}^\tau$  could be empty (free action) or a sub-manifold of whatever co-dimension (and not necessary a discrete set of points).
- ☞ Many of the previous approaches just fail when  $\mathbb{B}^\tau$  is not a discrete set: e. g. **which is the meaning of the Fu-Kane-Mele indices when  $\mathbb{B}^\tau$  is not a discrete set?**
- ☞ Recently **Gat and Robbins (arXiv:1511.08994)** considered the cases  $\mathbb{B} = \mathbb{S}^{0,3}$  (**rigid rotor**) and  $\mathbb{B} = \mathbb{T}^{1,1,0}$  (**phase space of slow dynamic of a 1D periodic particle**). In the first case  $\mathbb{B}^\tau = \emptyset$  and in the second  $\mathbb{B}^\tau = \mathbb{S}^1 \sqcup \mathbb{S}^1$ . The classification is obtained by a “handmade” frame construction:

$$\text{Vec}_{\mathbb{Q}}^m(\mathbb{S}^{0,3}) \simeq \begin{cases} 2\mathbb{Z} + 1 & m \text{ odd} \\ 2\mathbb{Z} & m \text{ even} \end{cases}, \quad \text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{1,1,0}) \simeq 2\mathbb{Z}.$$

- ☞ **11** pages for **2** cases ... but there are much more !!



# More general involutive spheres

$\mathbb{S}^{p,q} := (\mathbb{S}^{p+q-1}, \theta_{p,q})$  with  $\theta_{p,q}$  defined by

$$(k_0, k_1, \dots, k_{p-1}, k_p, \dots, k_{p+q-1}) \xrightarrow{\theta_{p,q}} (k_0, k_1, \dots, k_{p-1}, -k_p, \dots, -k_{p+q-1})$$

$p + q \leq 4$	$q = 0$	$q = 1$	$q = 2$	$q = 3$	$q = 4$
$\text{Vec}_{\mathbb{Q}}^{2m+1}(\mathbb{S}^{0,q})$	$\emptyset$	?	?	$2\mathbb{Z} + 1$	?
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{0,q})$	$\emptyset$	?	?	$2\mathbb{Z}$	?
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{1,q})$	0	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	...
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{2,q})$	0	?	?	...	
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{3,q})$	0	?	...		
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{4,q})$	0	...			

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$p + q \leq 4$	$q = 0$	$q = 1$	$q = 2$	$q = 3$	$q = 4$
$\text{Vec}_{\mathbb{Q}}^{2m+1}(\mathbb{S}^{0,q})$	$\emptyset$	0	0	$2\mathbb{Z} + 1$	$\emptyset$
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{0,q})$	$\emptyset$	0	0	$2\mathbb{Z}$	0
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{1,q})$	0	0	$\mathbb{Z}_2$	$\mathbb{Z}_2$	...
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{2,q})$	0	$2\mathbb{Z}$	0	...	
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{3,q})$	0	0	...		
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{4,q})$	0	...			

# More general involutive tori (fixed-point case)

$$\mathbb{T}^{a,b,c} := \underbrace{\mathbb{S}^{2,0} \times \dots \times \mathbb{S}^{2,0}}_{a\text{-times}} \times \underbrace{\mathbb{S}^{1,1} \times \dots \times \mathbb{S}^{1,1}}_{b\text{-times}} \times \underbrace{\mathbb{S}^{0,2} \times \dots \times \mathbb{S}^{0,2}}_{c\text{-times}}$$

$a + b \leq 3, c = 0$	$a = 0$	$a = 1$	$a = 2$	$a = 3$
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{a,0,0})$	$\emptyset$	$0$	$0$	$0$
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{a,1,0})$	$0$	$2\mathbb{Z}$	$?$	$\dots$
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{a,2,0})$	$\mathbb{Z}_2$	$?$	$\dots$	
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{a,3,0})$	$\mathbb{Z}_2^4$	$\dots$		

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$a + b \leq 3, c = 0$	$a = 0$	$a = 1$	$a = 2$	$a = 3$
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{a,0,0})$	$\emptyset$	$0$	$0$	$0$
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{a,1,0})$	$0$	$2\mathbb{Z}$	$(2\mathbb{Z})^2$	$\dots$
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{a,2,0})$	$\mathbb{Z}_2$	$\mathbb{Z}_2 \oplus (2\mathbb{Z})^2$	$\dots$	
$\text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{a,3,0})$	$\mathbb{Z}_2^4$	$\dots$		

# More general involutive tori (free-involution case)

**PROPOSITION** (D. - Gomi, 2016)

$$\mathbb{T}^{a,b,c} \simeq \mathbb{T}^{a+c-1,b,1} \quad \forall c \geq 2$$

$a + b \leq 2, c = 1$	$a = 0$	$a = 1$	$a = 2$
$\text{Vec}_{\mathbb{Q}}^m(\mathbb{T}^{a,0,1})$	0	?	?
$\text{Vec}_{\mathbb{Q}}^m(\mathbb{T}^{a,1,1})$	?	?	...
$\text{Vec}_{\mathbb{Q}}^m(\mathbb{T}^{a,2,1})$	?	...	

For all  $m \in \mathbb{N}$  odd or even!

# More general involutive tori (free-involution case)

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$\text{Vec}_{\mathbb{Q}}^m(\mathbb{T}^{a,1,1})$	$2\mathbb{Z}$	$\mathbb{Z}_2 \oplus (2\mathbb{Z})^2$	...
$\text{Vec}_{\mathbb{Q}}^m(\mathbb{T}^{a,2,1})$	$(2\mathbb{Z})^2$	...	

For all  $m \in \mathbb{N}$  odd or even!

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# Relative equivariant cohomology

In [D. - Gomi, 2016] we classified


$$\mathrm{Vec}_{\mathbb{Q}}^{2m}(\mathbb{T}^{0,d,0}) \quad \text{and} \quad \mathrm{Vec}_{\mathbb{Q}}^{2m}(\mathbb{S}^{1,d-1}), \quad d \leq 4$$

by a **characteristic class** with values in  $H_{\mathbb{Z}_2}^2(\mathbb{B}|\mathbb{B}^\tau, \mathbb{Z}(1))$ : the **FKMM-invariant**.

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$$\begin{array}{ccccc} H_{\mathbb{Z}_2}^1(\mathbb{B}^\tau, \mathbb{Z}(1)) & \xrightarrow{\delta_1} & H^2(\mathbb{B}|\mathbb{B}^\tau, \mathbb{Z}(1)) & \xrightarrow{\delta_2} & H_{\mathbb{Z}_2}^2(\mathbb{B}, \mathbb{Z}(1)) & \xrightarrow{r} & H_{\mathbb{Z}_2}^2(\mathbb{B}^\tau, \mathbb{Z}(1)) \\ \downarrow \cong & & & & \downarrow \cong & & \downarrow \cong \\ [\mathbb{B}^\tau, \mathbb{S}^{1,1}]_{\mathbb{Z}_2} & & & & \mathrm{Pic}_{\mathcal{R}}(\mathbb{B}, \tau) & & \mathrm{Pic}_{\mathbb{R}}(\mathbb{B}^\tau) \end{array}$$

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 Our previous results only apply to the case

$$\mathbb{B}^\tau = \{\text{finite collection of points}\}.$$

To consider more general involutive spaces we need more generality!



# The (generalized) FKMM-invariant

## THEOREM (D. - Gomi, 2016)

Given  $(\mathbb{B}, \tau)$  let

$$\text{Pic}_{\mathcal{R}}(\mathbb{B}|\mathbb{B}^{\tau}, \tau) := \{[(\mathcal{L}, \mathbf{s})] \mid \mathcal{L} \in \text{Pic}_{\mathcal{R}}(\mathbb{B}, \tau), \mathbf{s} : \mathcal{L}|_{\mathbb{B}^{\tau}} \rightarrow \mathbb{U}(1)\}.$$

The choice of  $\mathbf{s}$  is **canonical** and the group structure is given by the **tensor product**. Then

$$\text{Pic}_{\mathcal{R}}(\mathbb{B}|\mathbb{B}^{\tau}, \tau) \stackrel{\tilde{\kappa}}{\simeq} H^2(\mathbb{B}|\mathbb{B}^{\tau}, \mathbb{Z}(1)).$$

There is a group homomorphism

$$\kappa : \text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{B}, \tau) \longrightarrow H^2(\mathbb{B}|\mathbb{B}^{\tau}, \mathbb{Z}(1))$$

called the **FKMM-invariant**.

☞ If  $(\mathcal{E}, \Theta) \in \text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{B}, \tau)$  then  $(\det \mathcal{E}, \det \Theta) \in \text{Pic}_{\mathcal{R}}(\mathbb{B}, \tau)$ ;

☞ It exists a **canonical**  $\mathbf{s}_{\mathcal{E}} : \mathbb{B}^{\tau} \rightarrow \det \mathcal{E}|_{\mathbb{B}^{\tau}}$

☞  $(\det \mathcal{E}, \mathbf{s}_{\mathcal{E}}) \in \text{Pic}_{\mathcal{R}}(\mathbb{B}|\mathbb{B}^{\tau}, \tau)$

$$\kappa(\mathcal{E}, \Theta) := \tilde{\kappa}(\det \mathcal{E}, \mathbf{s}_{\mathcal{E}}).$$

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$$\kappa : \text{Vec}_{\mathbb{Q}}^{2m}(\mathbb{B}, \tau) \longrightarrow H^2(\mathbb{B}|\mathbb{B}^{\tau}, \mathbb{Z}(1))$$


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- **Isomorphic**  $\mathbb{Q}$ -bundles have the same FKMM-invariant;
- If  $(\mathcal{E}, \Theta)$  is  $\mathbb{Q}$ -trivial then  $\kappa(\mathcal{E}, \Theta) = \mathbf{0}$ ;
- $\kappa$  is **natural** under the pullback induced by equivariant maps;
- $\kappa(\mathcal{E}_1 \oplus \mathcal{E}_2, \Theta_1 \oplus \Theta_2) = \kappa(\mathcal{E}_1, \Theta_1) + \kappa(\mathcal{E}_2, \Theta_2)$ ;
- $\kappa$  is the image of a **universal class**  $\mathfrak{h}_{\text{univ}}$ ;
- When  $\mathbb{B}^{\tau} = \{\text{finite collection of points}\}$

$$\kappa(\mathcal{E}, \Theta) \simeq \text{Fu-Kane-Mele invariants};$$

- When  $\mathbb{B}^{\tau} = \emptyset$

$$\kappa(\mathcal{E}, \Theta) \simeq c_1^{\mathcal{R}}(\det \mathcal{E}, \det \Theta);$$

- If  $\dim(\mathbb{B}) \leq 3$  the map  $\kappa$  is **injective**;
- Over (low dimensional)  $\mathbb{S}^{p,q}$  and  $\mathbb{T}^{a,b,c}$  the map  $\kappa$  is **bijjective**;
- $\kappa$  is **not bijective** in general, neither in low dimension ... damn!!;
- When  $\mathbb{B}^{\tau} = \emptyset$  and  $\text{Pic}_{\mathbb{Q}}(\mathbb{B}, \tau) = \emptyset$  then  $\text{Pic}_{\mathbb{Q}}(\mathbb{B}, \tau)$  is a **torsor** over  $\text{Pic}_{\mathcal{R}}(\mathbb{B}, \tau)$ . Hence

$$\text{Pic}_{\mathbb{Q}}(\mathbb{B}, \tau) \simeq \text{Pic}_{\mathcal{R}}(\mathbb{B}, \tau) \simeq H^2(\mathbb{B}|\mathbb{B}^{\tau}, \mathbb{Z}(1)).$$

*Thank you for your attention*