

MATHEMATICAL TOPICS  
IN MANY BODY QUANTUM THEORY

JAN DEREZIŃSKI

## Contents

<b>1</b>	<b>Schrödinger operators</b>	<b>2</b>
1.1	Weyl Theorem on essential spectrum . . . . .	2
1.2	Two particle Schrödinger operators . . . . .	3
1.3	3-body Schrödinger Hamiltonian . . . . .	4
1.4	$N$ -body Schrödinger Hamiltonians . . . . .	5
1.5	The HVZ Theorem . . . . .	7
<b>2</b>	<b>Scattering theory</b>	<b>9</b>
2.1	Abstract scattering theory . . . . .	9
2.2	1-body Schrödinger operators . . . . .	10
2.3	Scattering theory for $N$ -body Schrödinger Hamiltonians . . . . .	11
<b>3</b>	<b>Second quantization</b>	<b>12</b>
3.1	Direct sum . . . . .	12
3.2	Tensor product . . . . .	13
3.3	Fock spaces . . . . .	14
3.4	Second quantization of operators . . . . .	15
3.5	Wick quantization . . . . .	15
3.6	Particle number preserving operators . . . . .	16
3.7	Examples . . . . .	16
<b>4</b>	<b>Coherent states and van Hove Hamiltonians</b>	<b>18</b>
4.1	Translation in phase space . . . . .	18
4.2	Coherent vectors . . . . .	19
4.3	Van Hove Hamiltonians . . . . .	19
4.4	Dynamics of time-independent van Hove Hamiltonians . . . . .	21
4.5	Reminder about notation for evolution . . . . .	21
4.6	Time-dependent BCH formula . . . . .	22
4.7	Time dependent Van Hove Hamiltonians . . . . .	22
4.8	Adiabatic scattering theory for van Hove Hamiltonians . . . . .	23

<b>5</b>	<b>Slater determinants and the Hartree-Fock method</b>	<b>25</b>
5.1	Slater determinants . . . . .	25
5.2	Changing the vacuum . . . . .	25
5.3	Free fermionic Hamiltonians . . . . .	26
5.4	Expectation values of Slater determinants . . . . .	28
5.5	The Hartree-Fock method . . . . .	28
5.6	Hartree-Fock method for atomic systems . . . . .	30
<b>6</b>	<b>Squeezed states</b>	<b>31</b>
6.1	1-mode squeezed vector . . . . .	31
6.2	Many-mode squeezed vector . . . . .	32
6.3	Single-mode gauge-invariant squeezed vector . . . . .	33
<b>7</b>	<b>Bose gas and superfluidity</b>	<b>34</b>
7.1	Bogoliubov's approximation in the canonical formalism . . . . .	35
7.2	Bogoliubov's approximation in the grand-canonical approach . . . . .	38
7.3	Landau's argument for superfluidity . . . . .	40
<b>8</b>	<b>Fermionic Gaussian states</b>	<b>40</b>
8.1	1-mode particle-antiparticle vector . . . . .	40
8.2	Fermionic oscillator . . . . .	41
<b>9</b>	<b>Fermi gas and superconductivity</b>	<b>42</b>
9.1	Fermi gas . . . . .	42
<b>10</b>	<b>Hartree-Fock-Bogoliubov approximation with BCS ansatz</b>	<b>44</b>

# 1 Schrödinger operators

## 1.1 Weyl Theorem on essential spectrum

Let  $H$  be selfadjoint. We define

$$\text{sp}_d(H) := \{\lambda \in \text{sp}(H) : \exists_{\epsilon>0} \dim \mathbb{1}_{[\lambda-\epsilon, \lambda+\epsilon]}(H) < \infty\}, \quad (1.1)$$

$$\text{sp}_{\text{ess}}(H) := \{\lambda \in \text{sp}(H) : \forall_{\epsilon>0} \dim \mathbb{1}_{[\lambda-\epsilon, \lambda+\epsilon]}(H) = \infty\}. \quad (1.2)$$

Thus  $\text{sp}(H)$  is partitioned into two disjoint subsets. Obviously, the continuous spectrum is contained in  $\text{sp}_{\text{ess}}(H)$ .

**Theorem 1.1** *Suppose  $H_0, H$  are selfadjoint and for all  $z \in \mathbb{C} \setminus \mathbb{R}$ ,*

$$(z - H)^{-1} - (z - H_0)^{-1}$$

*is compact. Then  $\text{sp}_{\text{ess}}(H) = \text{sp}_{\text{ess}}(H_0)$ .*

**Proof.** We have for  $z_0 \in \mathbb{C} \setminus \mathbb{R}$  and  $r < \text{Im}z_0$ ,

$$(z_0 - H)^{-n} = \frac{1}{2\pi i n!} \int_{\partial K(z_0, r)} (z_0 - z)^{-n} (z - H)^{-1} dz.$$

Hence

$$(z_0 - H)^{-n} - (z_0 - H_0)^{-n} = \frac{1}{2\pi i n!} \int_{\partial K(z_0, r)} (z_0 - z)^{-n} \left( (z - H)^{-1} - (z - H_0)^{-1} \right) dz$$

is compact as well. But every  $f \in C_c(\mathbb{R})$  can be approximated in the supremum norm by linear combinations of  $(z_0 - H)^{-n}$ ,  $(\bar{z}_0 - H)^{-n}$ ,  $n = 1, 2, \dots$ . Hence  $f(H) - f(H_0)$  is compact.

In particular, let  $\lambda \notin \text{sp}_{\text{ess}}(H)$ . Then there exists  $f \in C_c(\mathbb{R})$ ,  $f(\lambda) \neq 0$  such that  $f(H)$  is compact. But  $f(H) - f(H_0)$  is compact. Hence  $f(H_0)$  is compact. Hence  $\lambda \notin \text{sp}_{\text{ess}}(H_0)$ . Therefore,  $\text{sp}_{\text{ess}}(H_0) \subset \text{sp}_{\text{ess}}(H)$ .  $\square$

**Theorem 1.2** *Suppose now that  $V$  is a bounded real function and*

$$H_0 = -\Delta, \quad H = -\Delta + V(x).$$

*Obviously,  $H$  is self-adjoint on  $\text{Dom}(H_0)$  and bounded from below.*

*Assume in addition that  $\lim_{|x| \rightarrow \infty} V(x) = 0$ . Then*

$$\text{sp}_{\text{ess}}(H) = [0, \infty[.$$

**Proof.**

$$(z - H)^{-1} - (z - H_0)^{-1} = (z - H)^{-1} V(x) (z - H_0)^{-1}$$

is compact, because  $V(x)(z - H_0)^{-1}$  is compact. Besides,  $\text{sp}_{\text{ess}}(H_0) = \text{sp}(H_0) = [0, \infty[$ .  $\square$

## 1.2 Two particle Schrödinger operators

Let  $X_i = \mathbb{R}^d$  be the configuration space of the  $i$ th particle. Consider the Hilbert space  $\mathcal{H} := L^2(X_1 \oplus X_2)$  and the Hamiltonian

$$H = \frac{1}{2m_1} p_1^2 + \frac{1}{2m_2} p_2^2 + V(x_1 - x_2).$$

Introduce

$$x_{12} := \frac{m_1 x_1 + m_2 x_2}{m_1 + m_2}, \quad m_{12} := m_1 + m_2, \quad (1.3)$$

$$x^{12} := x_1 - x_2, \quad m^{12} := \frac{1}{\frac{1}{m_1} + \frac{1}{m_2}}. \quad (1.4)$$

Then  $\mathcal{H} = L^2(X_{12} \oplus X^{12}) = L^2(X_{12}) \otimes L^2(X^{12})$ ,

$$H = \frac{1}{m_{12}}p_{12}^2 + \frac{1}{m^{12}}(p^{12})^2 + V(x^{12}) \quad (1.5)$$

$$= \frac{1}{m_{12}}p_{12}^2 + H^{12}. \quad (1.6)$$

This can be interpreted as follows: in  $X_1 \oplus X_2$  we introduce the scalar product, such that

$$\langle x_1, x_2 | x_1, x_2 \rangle = m_1 x_1^2 + m_2 x_2^2.$$

The kinetic energy

$$\frac{1}{m_1}p_1^2 + \frac{1}{m_2}p_2^2$$

is half the Laplacian wrt this scalar product.

In  $X_1 \oplus X_2$  we have the collision plane

$$X_{12} := \{(x_1, x_2) \in X_1 \oplus X_2 : x_1 = x_2\}.$$

Define  $X^{12}$  to be the orthogonal complement of  $X_{12}$  wrt this product.  $X_{12}$  is spanned by  $(x, x)$  and  $X^{12}$  by  $(m_2 x, -m_1 x)$ . We check that

$$\{x_{12} = 0\} = X^{12}, \quad (1.7)$$

$$\{x^{12} = 0\} = X_{12}. \quad (1.8)$$

Moreover,

$$\begin{aligned} & m_{12}x_{12}^2 + m^{12}(x^{12})^2 \\ &= \frac{1}{m_1 + m_2}(m_1^2 x_1^2 + 2m_1 m_2 x_1 x_2 + m_2^2 x_2^2) + \frac{m_1 m_2}{m_1 + m_2}(x_1^2 - 2x_1 x_2 + x_2^2) \\ &= m_1 x_1^2 + m_2 x_2^2. \end{aligned}$$

Therefore,

$$\frac{1}{m_{12}}p_{12}^2 + \frac{1}{m^{12}}(p^{12})^2 = \frac{1}{m_1}p_1^2 + \frac{1}{m_2}p_2^2.$$

### 1.3 3-body Schrödinger Hamiltonian

Consider  $\mathcal{H} := L^2(X_1 \oplus X_2 \oplus X_3)$  and the Hamiltonian

$$H = \sum_{i=1}^3 \frac{1}{2m_i} p_i^2 + \sum_{1 \leq i < j \leq 3} V_{ij}(x_i - x_j).$$

Introduce the Jacobi coordinates:

$$\begin{aligned} x^{12} &:= x_1 - x_2, & m^{12} &:= \frac{1}{\frac{1}{m_1} + \frac{1}{m_2}}, \\ x^3 &:= \frac{m_1 x_1 + m_2 x_2}{m_1 + m_2} - x_3, & m^3 &:= \frac{1}{\frac{1}{m_1 + m_2} + \frac{1}{m_3}}, \\ x_{123} &:= \frac{m_1 x_1 + m_2 x_2 + m_3 x_3}{m_1 + m_2 + m_3}, & m_{123} &:= m_1 + m_2 + m_3. \end{aligned}$$

We have

$$\begin{aligned} m_1 x_1^2 + m_2 x_2^2 + m_3 x_3^2 &= m_{123} x_{123}^2 + m^3 (x^3)^2 + m^{12} (x^{12})^2, \\ \frac{1}{m_1} p_1^2 + \frac{1}{m_2} p_2^2 + \frac{1}{m_3} p_3^2 &= \frac{1}{m_{123}} p_{123}^2 + \frac{1}{m^3} (p^3)^2 + \frac{1}{m^{12}} (p^{12})^2. \end{aligned}$$

Thus we can separate the center of mass motion:

$$\mathcal{H} = L^2(X_{123}) \otimes L^2(X^3 \oplus X^{12}) \quad (1.9)$$

$$H = \frac{1}{2m_{123}} p_{123}^2 + \frac{1}{2m^3} (p^3)^2 + \frac{1}{2m^{12}} (p^{12})^2 + \sum_{1 \leq i < j \leq 3} V_{ij}(x_i - x_j) \quad (1.10)$$

$$= \frac{1}{2m_{123}} p_{123}^2 + H^{123}. \quad (1.11)$$

We can also introduce the Hamiltonian of the pair  $(ij)$  and separate its center of mass motion:

$$\mathcal{H} = L^2(X_{123} \oplus X^3) \otimes L^2(X^{12}) \quad (1.12)$$

$$H_{12} = \sum_{i=1}^3 \frac{1}{2m_i} p_i^2 + V_{12}(x_1 - x_2), \quad (1.13)$$

$$= \frac{1}{2m_{123}} p_{123}^2 + \frac{1}{2m^3} (p^3)^2 + H^{12}. \quad (1.14)$$

We have the 3-body collision plane

$$X_{123} := \{(x_1, x_2, x_3) : x_1 = x_2 = x_3\}.$$

and 3 2-body collision planes

$$X_{ij} := \{(x_1, x_2, x_3) : x_i = x_j\}.$$

Let us write  $X^{123} := X_{123}^\perp$ ,  $X^{ij} := X_{ij}^\perp$ . Clearly,  $X_{123} \subset X_{ij}$ , hence  $X_{123} \perp X^{ij}$ .

Set  $X^3 := X^{123} \cap X_{12}$ . Clearly,  $X = X_{123} \oplus X^3 \oplus X^{12}$ . We claim that this notation is consistent with previous coordinates. Indeed,

$$X_{123} = \{(x_1, x_2, x_3) \mid x^3 = x^{12} = 0\} \quad \text{is spanned by } (x, x, x),$$

$$X^3 = \{(x_1, x_2, x_3) \mid x_{123} = x^{12} = 0\} \quad \text{is spanned by } (m_3 x, m_3 x, -(m_1 + m_2)x),$$

$$X^{12} = \{(x_1, x_2, x_3) \mid x_{123} = x^3 = 0\} \quad \text{is spanned by } (m_2 x, -m_1 x, 0).$$

## 1.4 $N$ -body Schrödinger Hamiltonians

Consider  $\mathcal{H} := L^2(X_1 \oplus \cdots \oplus X_n) = L^2(X)$  and the Hamiltonian

$$H = \sum_{i=1}^n \frac{1}{2m_i} p_i^2 + \sum_{1 \leq i < j \leq n} V_{ij}(x_i - x_j). \quad (1.15)$$

The configuration space  $X_1 \oplus \cdots \oplus X_n$  is equipped with the scalar product

$$\langle x_1, \dots, x_n | x_1, \dots, x_n \rangle = \sum_{i=1}^n m_i x_i^2.$$

The kinetic energy is half the Laplacian wrt this product:

$$-\Delta := \sum_{i=1}^n \frac{1}{m_i} p_i^2.$$

We will say cluster for a subset of  $\{1, \dots, n\}$ . An example of a cluster is a pair  $(ij)$ . We define the collision plane corresponding to a cluster  $c$ :

$$X_c := \{(x_1, \dots, x_n) : x_i = x_j, i, j \in c\}.$$

We set  $X^c := X_c^\perp$ . For every cluster  $c \subset \{1, \dots, n\}$  we have the factorization of the Hilbert space into internal and external degrees of freedom and we define the full cluster Hamiltonian  $H_c$  and the internal cluster Hamiltonian  $H^c$ :

$$\mathcal{H} = L^2(X_c) \otimes L^2(X^c), \quad (1.16)$$

$$H_c := -\frac{1}{2}\Delta + \sum_{i,j \in c} V_{ij}(x_i - x_j) \quad (1.17)$$

$$= -\frac{1}{2}\Delta_c - \frac{1}{2}\Delta^c + V_c(x^c) = -\frac{1}{2}\Delta_c + H^c. \quad (1.18)$$

For instance

$$H = H_{\{1, \dots, n\}} = -\frac{1}{2}\Delta_{\{1, \dots, n\}} + H^{\{1, \dots, n\}}$$

is the separation of the full center-of-mass motion.

A cluster decomposition is a partition of  $\{1, \dots, n\}$  into clusters. Let  $a, b$  be cluster decompositions. We say that  $b \subset a$  if  $b$  is finer than  $a$ . In particular,  $\{1\}, \dots, \{n\}$  is minimal and  $\{1, \dots, n\}$  is maximal.

For any cluster decomposition  $a = \{c_1, \dots, c_k\}$  we define the corresponding collision plane

$$X_a := \bigcap_{i=1}^k X_{c_i} := \{(x_1, \dots, x_n) : x_i = x_j, (i, j) \subset a\}.$$

We set  $X^a := X_a^\perp$ .

We have the corresponding full Hamiltonian  $H_a$  and internal Hamiltonian  $H^a$ :

$$\mathcal{H} = L^2(X_a) \otimes L^2(X^a), \quad (1.19)$$

$$H_a := -\frac{1}{2}\Delta + \sum_{(i,j) \subset a} V_{ij}(x_i - x_j) \quad (1.20)$$

$$= -\frac{1}{2}\Delta_a - \frac{1}{2}\Delta^a + V_a(x^a) = -\frac{1}{2}\Delta_a + H^a. \quad (1.21)$$

Clearly,

$$X^c \subset \{(x_1, \dots, x_n) \mid x_i = 0, \quad i \notin c\}.$$

Therefore, if  $c_1 \cap c_2 = \emptyset$ , then  $X^{c_1} \perp X^{c_2}$ . Therefore, if  $a = \{c_1, \dots, c_k\}$ , then

$$X^a = X^{c_1} \oplus \dots \oplus X^{c_k}. \quad (1.22)$$

$$L^2(X^a) = L^2(X^{c_1}) \otimes \dots \otimes L^2(X^{c_k}).$$

We have

$$H^a = \sum_{i=1}^k H^{c_i}.$$

Note that  $H^a$  may have point spectrum.

Let  $b \subset a$ . Clearly,  $X_b \supset X_a$ ,  $X^b \subset X^a$ . We can introduce  $X_b^a := X_b \cap X^a$ , so that

$$X_b = X_a \oplus X_b^a, \quad X^a = X_b^a \oplus X^b.$$

We have the corresponding Laplacian  $\Delta_b^a$ , so that

$$\Delta_b = \Delta_a \oplus \Delta_b^a, \quad \Delta^a = \Delta_b^a \oplus \Delta^b.$$

We can also decompose the internal Hamiltonian:

$$L^2(X^a) = L^2(X_b^a) \otimes L^2(X^b), \quad (1.23)$$

$$H_b^a = -\frac{1}{2}\Delta^a + V_b(x^b) = -\frac{1}{2}\Delta_b^a + H^b. \quad (1.24)$$

It is also useful to introduce the ‘‘interaction’’

$$I_b^a = V_a - V_b = \sum_{(i,j) \subset a, (i,j) \not\subset b} V_{ij}(x_i - x_j),$$

so that

$$H_a = H_b + I_b^a, \quad (1.25)$$

$$H^a = -\frac{1}{2}\Delta_b^a + H^b + I_b^a. \quad (1.26)$$

## 1.5 The HVZ Theorem

**Theorem 1.3** *Let  $E_a := \inf \text{sp} H^a$ . Then*

$$\text{sp}_{\text{ess}} H^{\{1, \dots, n\}} = \left[ \inf_{a \neq \{1, \dots, n\}} E_a, \infty \right).$$

*More generally*

$$\text{sp}_{\text{ess}} H^a = \left[ \inf_{b \subsetneq a} E_b, \infty \right). \quad (1.27)$$

**Proof.** We will use the notation of (1.27), thinking of  $a = \{1, \dots, n\}$ .

▷. Let  $b \subsetneq a$  and  $\lambda \in [E_b, \infty[$ . There exist approximate eigenfunctions of  $-\frac{1}{2}\Delta_b^a + H^b$  for eigenvalue  $\lambda$ . They can be moved far away from the  $X_{ij}$  with  $(ij) \not\subset b$ . But there  $I_b^a$  is small. By (1.26) they are approximate eigenfunctions of  $H^a$ .

◁. First we claim that we can find a partition of unity  $\{\chi_b \in C^\infty(X^a) : b \subsetneq a\}$  such that  $\chi_b$  outside a ball are homogeneous and are zero on  $X_{ij}$  with  $(ij) \not\subset b$ .

There are many such partitions of unity. Indeed, consider a unit sphere  $S^a$  in  $X^a$ . For any  $(x_1, \dots, x_n) \in S^a$ , there exists a pair  $(i, j)$  such that  $x_i \neq x_j$ . If  $b$  is a 2-cluster decomposition  $b$  such that  $i$  and  $j$  belong to different clusters, then  $(x_1, \dots, x_n) \notin X_b$ . Therefore,

$$\{S \setminus X_b \mid b \text{ is a 2-cluster decomposition}\}$$

is a covering of  $S$  with open sets. We can choose a smooth partition of unity subordinated to this covering, then extend it by homogeneity in the outside of the ball, and by smoothness in the inside. Note that 2-cluster decompositions  $b$  satisfy  $b \subsetneq a = \{1, \dots, n\}$

Now

$$\begin{aligned} (z - H^a)^{-1} &= \sum_{b \subsetneq a} (z - H^a)^{-1} \chi_b \\ &= \sum_{b \subsetneq a} (z - H_b^a)^{-1} \chi_b + \sum_{b \subsetneq a} \left( (z - H^a)^{-1} - (z - H_b^a)^{-1} \right) \chi_b. \end{aligned}$$

Moreover,

$$\begin{aligned} \left( (z - H^a)^{-1} - (z - H_b^a)^{-1} \right) \chi_b &= (z - H^a)^{-1} I_b^a (z - H_b^a)^{-1} \chi_b \\ &= (z - H^a)^{-1} I_b^a \chi_b (z - H_b^a)^{-1} \\ &\quad + (z - H^a)^{-1} I_b^a \left[ (z - H_b^a)^{-1} \chi_b \right] \\ &= (z - H^a)^{-1} I_b^a \chi_b (z - H_b^a)^{-1} \\ &\quad + (z - H^a)^{-1} I_b^a (z - H_b^a)^{-1} \nabla \chi_b (z - H_b^a)^{-1}. \end{aligned}$$

But  $I_b^a \chi_b$  and  $\nabla \chi_b$  decay at infinity. Hence both terms on the rhs are compact.

Hence,

$$(z - H^a)^{-1} = \sum_{b \subsetneq a} (z - H_b^a)^{-1} \chi_b + \text{compact.}$$

Repeating the argument from the proof of Thm 1.1, for  $f \in C_c(\mathbb{R})$  we obtain

$$f(H^a) = \sum_{b \subsetneq a} f(H_b^a) \chi_b + \text{compact.} \quad (1.28)$$

Now let  $\text{supp} f \cap \left[ \inf_{b \subsetneq a} E_b, \infty \right] = \emptyset$ . Then  $f(H_b^a) = 0$ . Hence  $f(H^a)$  is compact. Therefore,  $\text{sp}_{\text{ess}}(H^a) \subset \left[ \inf_{b \subsetneq a} E_b, \infty \right]$ .  $\square$



## 2 Scattering theory

### 2.1 Abstract scattering theory

Assume that  $H_0$  and  $H$  are self-adjoint operators on a Hilbert space  $\mathcal{H}$ .

The Møller or *wave operators* (if they exist) are defined as

$$\Omega^\pm := s\text{-}\lim_{t \rightarrow \pm\infty} e^{itH} e^{-itH_0}.$$

The *scattering operator* is defined as

$$S := \Omega^{+*} \Omega^-. \quad (2.29)$$

**Theorem 2.1** *1. If the Møller operators exist, they are isometric and intertwine the free and the full Hamiltonian:  $\Omega^\pm H_0 = H \Omega^\pm$ .*

*2. The scattering operator exists and commutes with the free Hamiltonian:  $H_0 S = S H_0$ .*

**Proof.**  $\Omega^\pm$  are isometric as strong limits of unitary operators.

We have

$$e^{isH} \left( s\text{-}\lim_{t \rightarrow \infty} e^{itH} e^{-itH_0} \right) e^{-isH_0} = s\text{-}\lim_{t \rightarrow \pm\infty} e^{i(t+s)H} e^{-i(t+s)H_0} \quad (2.30)$$

$$= s\text{-}\lim_{t \rightarrow \pm\infty} e^{itH} e^{-itH_0}. \quad (2.31)$$

Hence,

$$e^{isH} \Omega^\pm = \Omega^\pm e^{isH_0}.$$

□

**Theorem 2.2** *If the Møller operator exists and  $H_0 \Psi = E \Psi$ , then  $H \Psi = E \Psi$ .*

**Proof.** Let  $H_0 \Psi = E \Psi$ . If  $\lim_{t \rightarrow \infty} e^{itH} e^{-itH_0} \Psi$  exists, then it coincides with the limit of its exponential average:

$$\begin{aligned} \lim_{t \rightarrow \infty} e^{itH} e^{-itH_0} \Psi &= \lim_{\epsilon \searrow 0} \epsilon \int_0^\infty e^{-\epsilon t} e^{itH} e^{-itH_0} \Psi \\ &= \lim_{\epsilon \searrow 0} \epsilon \int_0^\infty e^{t(-\epsilon + iH - iE)} \Psi = \lim_{\epsilon \searrow 0} \frac{\epsilon}{(\epsilon + i(E - H))} \Psi = \mathbb{1}_{\{E\}}(H) \Psi. \end{aligned}$$

This is the reason why in practice the standard formalism of scattering theory is usually applied in situations where the unperturbed Hamiltonian  $H_0$  has only continuous spectrum, which we will assume below.

Note that  $\text{Ran} \Omega^\pm$  is an invariant subspace of  $H$ .  $H$  can have eigenvectors, but they are orthogonal to  $\text{Ran} \Omega^\pm$ . The property

$$\text{Ran} \mathbb{1}_p(H) \oplus \text{Ran} \Omega^\pm = \mathcal{H}$$

or

$$\text{Ran} \Omega^\pm = \text{Ran} \mathbb{1}_c(H)$$

is called asymptotic completeness. It guarantees that  $S$  is unitary.

## 2.2 1-body Schrödinger operators

Consider a single quantum particle in an external potential, described by the Hilbert space  $L^2(\mathbb{R}^d)$  and the Schrödinger Hamiltonian.

$$H = H_0 + V(x),$$

where

$$H_0 = p^2, \quad p = \frac{1}{i}\partial_x.$$

**Theorem 2.3** *Assume that  $V(x)$  is short range, that is,*

$$|V(x)| \leq c\langle x \rangle^{-\mu}, \quad \mu > 1.$$

*Then there exist Møller operators*

$$\Omega^\pm := s\text{-}\lim_{t \rightarrow \pm\infty} e^{itH} e^{-itH_0},$$

*They are of course isometric, intertwine  $H_0$  and  $H$ . Besides, they are complete:*

$$\text{Ran}\Omega^\pm = \text{Ran}\mathbb{1}_c(H).$$

**Sketch of proof of the existence.** First we study the free dynamics. We show that for  $\Phi$  from a dense subset in  $L^2(\mathbb{R}^d)$ , their free evolution  $e^{-itH_0}\Phi$  is for large  $t$  concentrated in  $|x| \geq ct$ , where  $c > 0$ . We will prove that

$$\lim_{t \rightarrow \infty} e^{itH} e^{-itH_0} \Phi, \tag{2.32}$$

exists for such  $\Phi$ . We compute

$$\frac{d}{dt} e^{itH} e^{-itH_0} \Phi = ie^{itH} V(x) e^{-itH_0} \Phi.$$

But for  $|x| > ct$  we have  $|V(x)| \leq C(1+t)^{-1-\mu}$ , which is integrable. Therefore,

$$\int_0^\infty \left\| \frac{d}{dt} e^{itH} e^{-itH_0} \Phi \right\| dt < \infty.$$

But

$$\left\| e^{it_2 H} e^{-it_2 H_0} \Phi - e^{it_1 H} e^{-it_1 H_0} \Phi \right\| \leq \int_{t_1}^{t_2} \left\| \frac{d}{dt} e^{itH} e^{-itH_0} \Phi \right\| dt.$$

Therefore,

$$t \mapsto e^{itH} e^{-itH_0} \Phi$$

is Cauchy. Hence, the limit (2.32) exists.  $\square$

Note that the existence part of the above theorem is quite easy. The asymptotic completeness is much more difficult.

**Theorem 2.4** Assume that  $V(x)$  is long range, that is,

$$V(x) = V_l(x) + V_s(x),$$

where  $V_s(x)$  is short range and

$$|\partial_x^\alpha V_l(x)| \leq c_\alpha \langle x \rangle^{-|\alpha| - \mu_l}, \quad \mu_l > 0, \quad \alpha \in \mathbb{N}^d.$$

Then there exists a function  $(t, \xi) \mapsto S_t(\xi)$  and modified Møller operators

$$\Omega^\pm := s\text{-}\lim_{t \rightarrow \pm\infty} e^{itH} e^{-iS_t(p)},$$

$\Omega^\pm$  are isometric, they satisfy  $H\Omega^\pm = \Omega^\pm H_0$  and they are complete:

$$\text{Ran}\Omega^\pm = \text{Ran}\mathbb{1}_c(H).$$

The integral kernel of  $S$  defines *scattering amplitudes*. Setting  $k = |k|\hat{k}$ , it can be written as

$$S(k_2, k_1) = \delta(k_1 - k_2) + \delta(k_1^2 - k_2^2)t(k_1^2; \hat{k}_2, \hat{k}_1), \quad (2.33)$$

where  $|t(k_1^2; \hat{k}_2, \hat{k}_1)|^2$  describes the *scattering cross-section* for the process at energy  $k_1^2 = k_2^2$  from the angle  $\hat{k}_1$  to the angle  $\hat{k}_2$ .

### 2.3 Scattering theory for $N$ -body Schrödinger Hamiltonians

Consider an  $N$ -body Schrödinger Hamiltonian (1.15). Introduce various objects defined in Subsection 1.4. In addition, define

$$\mathcal{H}^a := \text{Ran}\mathbb{1}_p(H^a) \simeq \text{Ran}\mathbb{1}_p(H^{c_1}) \otimes \cdots \otimes \text{Ran}\mathbb{1}_p(H^{c_k}).$$

Let

$$E^a := H^a \Big|_{\mathcal{H}^a} = H^{c_1} \Big|_{\mathcal{H}^{c_1}} + \cdots + H^{c_k} \Big|_{\mathcal{H}^{c_k}}$$

be the operator describing the *bound state energies of clusters*. Let

$$J^a : L^2(X_a) \otimes \mathcal{H}^a \rightarrow L^2(X)$$

be the embedding of *bound states of clusters* into the full Hilbert space.

**Theorem 2.5** Assume that the potentials  $V_{ij}$  are short range. Then for any cluster decomposition  $a$  there exists the corresponding partial wave operator

$$\Omega_a^\pm := s\text{-}\lim_{t \rightarrow \pm\infty} e^{itH} J_a e^{-it(-\frac{1}{2}\Delta_a + E^a)}.$$

$\Omega_a^\pm$  are isometric, they intertwine the cluster and the full Hamiltonian:

$$\Omega_a^\pm(-\frac{1}{2}\Delta_a + E^a) = H\Omega_a^\pm$$

and are complete:

$$\bigoplus_a \text{Ran}\Omega_a^\pm = L^2(X).$$

**Theorem 2.6** Assume that the potentials  $V_{ij}$  are long range with

$$\mu_1 > \sqrt{3} - 1.$$

Then for any cluster decomposition  $a$  there exists a function  $(t, \xi_a) \mapsto S_{a,t}(\xi_a)$ , the corresponding partial modified wave operator

$$\Omega_a^\pm := s\text{-}\lim_{t \rightarrow \pm\infty} e^{itH} J_a e^{-i(S_{a,t}(p_a) + tE^a)},$$

which satisfy the same properties as those stated in the short range case.

Note that  $\Omega_{\{1, \dots, n\}}^\pm = \mathbb{1}_p(H^{\{1, \dots, n\}})$ .

AC means that all states in  $L^2(X)$  can be decomposed into states with a clear physical/chemical interpretation such as *atoms, ions and molecules*. The partial wave operators  $\Omega_a^\pm$  can be organized into

$$\bigoplus_a L^2(X_a) \otimes \mathcal{H}^a \ni (\psi_a) \mapsto \sum_a \Omega_a^\pm \psi_a \in L^2(X),$$

which is unitary.

We can introduce *partial scattering operators*

$$S_{ab} := \Omega_a^{+*} \Omega_b^-$$

describing various processes, such as *elastic and inelastic scattering, ionization, capture of an electron, chemical reactions*. The partial scattering operators  $S_{ab}$  arranged in the matrix  $[S_{ab}]$  form a unitary operator on  $\bigoplus_a L^2(X_a) \otimes \mathcal{H}^a$ .

2-body scattering theory, including AC in both short- and long-range case, was understood already in the 60's.

Existence of  $N$ -body wave operators and the orthogonality of their ranges was established about the same time. What was missing for a long time was *Asymptotic Completeness* – the fact that the ranges of wave operators span the whole Hilbert space.

## 3 Second quantization

In this chapter we describe the terminology and notation of multilinear algebra. We will concentrate on the infinite dimensional case, where it is often natural to use the structure of Hilbert spaces. We will introduce Fock spaces and various classes of operators acting on them. In quantum physics the passage from a dynamics on one-particle spaces to a dynamics on Fock spaces is often called *second quantization* – hence the name of the chapter.

### 3.1 Direct sum

Let  $(\mathcal{Y}_i)_{i \in I}$  be a family of vector spaces. The *algebraic direct sum* of  $\mathcal{Y}_i$  will be denoted

$$\bigoplus_{i \in I}^{\text{al}} \mathcal{Y}_i, \tag{3.34}$$

If  $(\mathcal{Y}_i)_{i \in I}$  is a family of Hilbert spaces, then  $\bigoplus_{i \in I}^{\text{al}} \mathcal{Y}_i$  has a natural scalar product. The *direct sum of  $\mathcal{Y}_i$  in the sense of Hilbert spaces* is defined as

$$\bigoplus_{i \in I} \mathcal{Y}_i := \left( \bigoplus_{i \in I}^{\text{al}} \mathcal{Y}_i \right)^{\text{cpl}}.$$

If  $I$  is finite, then  $\bigoplus_{i \in I}^{\text{al}} \mathcal{Y}_i = \bigoplus_{i \in I} \mathcal{Y}_i$

Let  $(\mathcal{Y}_i), (\mathcal{W}_i), i \in I$ , be families of vector spaces. If  $a_i \in L(\mathcal{Y}_i, \mathcal{W}_i), i \in I$ , then their *direct sum* is denoted  $\bigoplus_{i \in I} a_i$  and belongs to  $L\left(\bigoplus_{i \in I}^{\text{al}} \mathcal{Y}_i, \bigoplus_{i \in I}^{\text{al}} \mathcal{W}_i\right)$ .

Let  $\mathcal{Y}_i, \mathcal{W}_i, i \in I$  be families of Hilbert spaces, and  $a_i \in B(\mathcal{Y}_i, \mathcal{W}_i)$  with  $\sup_{i \in I} \|a_i\| < \infty$ . Then the operator  $\bigoplus_{i \in I} a_i$  is bounded. Its extension in  $B\left(\bigoplus_{i \in I} \mathcal{Y}_i, \bigoplus_{i \in I} \mathcal{W}_i\right)$  will be denoted by the same symbol.

### 3.2 Tensor product

Let  $\mathcal{Y}, \mathcal{W}$  be vector spaces. The *algebraic tensor product of  $\mathcal{Y}$  and  $\mathcal{W}$*  will be denoted  $\mathcal{Y} \otimes^{\text{al}} \mathcal{W}$ .

If  $\mathcal{Y}, \mathcal{W}$  are Hilbert spaces, then  $\mathcal{Y} \otimes^{\text{al}} \mathcal{W}$  has a unique scalar product such that

$$(y_1 \otimes w_1 | y_2 \otimes w_2) := (y_1 | y_2)(w_1 | w_2), \quad y_1, y_2 \in \mathcal{Y}, \quad w_1, w_2 \in \mathcal{W}.$$

We set

$$\mathcal{Y} \otimes \mathcal{W} := (\mathcal{Y} \otimes^{\text{al}} \mathcal{W})^{\text{cpl}},$$

and call it the *tensor product of  $\mathcal{Y}$  and  $\mathcal{W}$  in the sense of Hilbert spaces*.

If one of the spaces  $\mathcal{Y}$  or  $\mathcal{W}$  is finite dimensional, then  $\mathcal{Y} \otimes^{\text{al}} \mathcal{W} = \mathcal{Y} \otimes \mathcal{W}$ .

Let  $\mathcal{Y}_1, \mathcal{Y}_2, \mathcal{W}_1, \mathcal{W}_2$  be vector spaces. If  $a \in L(\mathcal{Y}_1, \mathcal{Y}_2)$  and  $b \in L(\mathcal{W}_1, \mathcal{W}_2)$ , then  $a \otimes b$  denotes the *tensor product of  $a$  and  $b$* , which is an operator in  $L(\mathcal{Y}_1 \otimes^{\text{al}} \mathcal{W}_1, \mathcal{Y}_2 \otimes^{\text{al}} \mathcal{W}_2)$

If  $\mathcal{Y}_1, \mathcal{Y}_2, \mathcal{W}_1, \mathcal{W}_2$  are Hilbert spaces and  $a \in B(\mathcal{Y}_1, \mathcal{Y}_2), b \in B(\mathcal{W}_1, \mathcal{W}_2)$ , then  $a \otimes b$  is bounded. It extends uniquely to an operator in  $B(\mathcal{Y}_1 \otimes \mathcal{W}_1, \mathcal{Y}_2 \otimes \mathcal{W}_2)$ , denoted by the same symbol.

To prove the boundedness of  $a \otimes b$ , it is sufficient to consider the operator  $a \otimes \mathbb{1}$  from  $\mathcal{Y}_1 \otimes^{\text{al}} \mathcal{W}$  to  $\mathcal{Y}_2 \otimes^{\text{al}} \mathcal{W}$ . Let  $e_1, e_2, \dots$  and  $f_1, f_2, \dots$  be orthonormal bases in  $\mathcal{Y}_1, \mathcal{W}$  resp. Consider a vector  $\sum c_{ij} e_i \otimes f_j$ .

$$\begin{aligned} \|a \otimes \mathbb{1} \sum c_{ij} e_i \otimes f_j\|^2 &= \sum_j \left\| \sum_i c_{ij} a e_i \right\|^2 \\ &\leq \sum_j \|a\|^2 \sum_i |c_{ij}|^2 \\ &= \|a\|^2 \left\| \sum c_{ij} e_i \otimes f_j \right\|^2. \end{aligned}$$

### 3.3 Fock spaces

Let  $\mathcal{Y}$  be a vector space. Let  $S_n$  denote the *permutation group of  $n$  elements* and  $\sigma \in S_n$ .  $\Theta(\sigma)$  is defined as the unique operator in  $L(\overset{\text{al}}{\otimes}{}^n \mathcal{Y})$  such that

$$\Theta(\sigma)y_1 \otimes \cdots \otimes y_n = y_{\sigma^{-1}(1)} \otimes \cdots \otimes y_{\sigma^{-1}(n)}.$$

We define the *symmetrization/antisymmetrization projections*

$$\Theta_s^n := \frac{1}{n!} \sum_{\sigma \in S_n} \Theta(\sigma), \quad \Theta_a^n := \frac{1}{n!} \sum_{\sigma \in S_n} \text{sgn} \sigma \Theta(\sigma).$$

If  $\mathcal{Y}$  is a Hilbert space, then  $\Theta(\sigma)$  is unitary and  $\Theta_{s/a}^n$  are orthogonal projections.

Let  $\mathcal{Y}$  be a vector space. The *algebraic  $n$ -particle bosonic/fermionic space* is defined as

$$\overset{\text{al}}{\otimes}{}_{s/a}^n \mathcal{Y} := \Theta_{s/a}^n \overset{\text{al}}{\otimes}{}^n \mathcal{Y}.$$

The *algebraic bosonic/fermionic Fock space* or the *symmetric/antisymmetric tensor algebra* is

$$\overset{\text{al}}{\Gamma}_{s/a}(\mathcal{Y}) := \bigoplus_{n=0}^{\infty} \overset{\text{al}}{\otimes}{}_{s/a}^n \mathcal{Y}.$$

The *vacuum vector* is  $\Omega := 1 \in \overset{\text{al}}{\otimes}{}_{s/a}^0 \mathcal{Y} = \mathbb{C}$ .

If  $\mathcal{Y}$  is a Hilbert space, then the  *$n$ -particle bosonic/fermionic space* is defined as

$$\otimes_{s/a}^n \mathcal{Y} := \Theta_{s/a}^n \otimes^n \mathcal{Y}.$$

The *bosonic/fermionic Fock space* is

$$\Gamma_{s/a}(\mathcal{Y}) := \bigoplus_{n=0}^{\infty} \otimes_{s/a}^n \mathcal{Y}.$$

For  $z \in \mathcal{Z}$  we define the *creation operator*

$$\hat{a}^*(z)\Psi := \Theta_{s/a}^{n+1} \sqrt{n+1} z \otimes \Psi, \quad \Psi \in \otimes_{s/a}^n \mathcal{Z},$$

and the *annihilation operator*  $\hat{a}(z) := (\hat{a}^*(z))^*$ .

Above we used the *compact notation* for creation/annihilation operators popular among mathematicians. Physicists commonly prefer the *traditional notation*, which is longer and less canonical. In order to introduce it, we need to fix an identification of  $\mathcal{Z}$  with  $L^2(\Xi)$  for some measure space  $(\Xi, d\xi)$ . If  $z$  equals a function  $\Xi \ni \xi \mapsto z(\xi)$ , then

$$\hat{a}^*(z) = \int z(\xi) \hat{a}_\xi^* d\xi, \quad \hat{a}(z) = \int \bar{z}(\xi) \hat{a}_\xi d\xi.$$

### 3.4 Second quantization of operators

For a contraction  $q$  on  $\mathcal{Z}$  we define the operator  $\Gamma(q)$  on  $\Gamma_{s/a}(\mathcal{Z})$  by

$$\Gamma(q) \Big|_{\otimes_{s/a}^n \mathcal{Z}} = q \otimes \cdots \otimes q \Big|_{\otimes_{s/a}^n \mathcal{Z}}.$$

$\Gamma(q)$  is called the *second quantization of  $q$* .

Similarly, for an operator  $h$  we define the operator  $d\Gamma(h)$  by

$$d\Gamma(h) \Big|_{\otimes_{s/a}^n \mathcal{Z}} = h \otimes 1^{(n-1)\otimes} + \cdots + 1^{(n-1)\otimes} \otimes h \Big|_{\otimes_{s/a}^n \mathcal{Z}}.$$

$d\Gamma(h)$  is called the (*infinitesimal*) *second quantization of  $h$* .

Traditional notation: If  $h$  is the multiplication operator by  $h(\xi)$ , then  $d\Gamma(h) = \int h(\xi) a_\xi^* a_\xi d\xi$ . This will be justified in (3.40).

Note the identity  $\Gamma(e^{ith}) = e^{itd\Gamma(h)}$ .

### 3.5 Wick quantization

Let

$$(\xi_1, \dots, \xi_m, \xi'_k, \dots, \xi'_1) \mapsto b(\xi_1, \dots, \xi_m, \xi'_k, \dots, \xi'_1) \quad (3.35)$$

be a complex function, symmetric/antisymmetric separately wrt the first  $m$  and the last  $k$  arguments. It can be treated as the kernel of a *symmetric/antisymmetric multilinear function* on  $\overline{\mathcal{Z}} \oplus \mathcal{Z}$ :

$$\frac{\int \cdots \int b(\xi_1, \dots, \xi_m, \xi'_k, \dots, \xi'_1)}{a(\xi_1) \cdots a(\xi_m) \overline{a(\xi'_k)} \cdots \overline{a(\xi'_1)}} d\xi_1 \cdots d\xi_m d\xi'_k \cdots d\xi'_1.$$

In the symmetric case this can be interpreted as a *polynomial on  $\mathcal{Z}$* . It is common to use the name a *polynomial* also in the antisymmetric case.

Note that (3.35) can be also interpreted as the integral kernel of an *operator* from  $\otimes_{s/a}^k \mathcal{Z}$  to  $\otimes_{s/a}^m \mathcal{Z}$ .

The *Wick quantization of the polynomial  $b$*  will have two notations: the compact and the traditional:

$$b(\hat{a}^*, \hat{a}) = \int b(\xi_1, \dots, \xi_m, \xi'_k, \dots, \xi'_1) \hat{a}^*(\xi_1) \cdots \hat{a}^*(\xi_m) \hat{a}(\xi'_k) \cdots \hat{a}(\xi'_1) d\xi_1 \cdots d\xi_k d\xi'_1 \cdots d\xi'_m.$$

Its only nonzero matrix elements are between  $\Phi \in \otimes_{s/a}^{p+m} \mathcal{Z}$ ,  $\Psi \in \otimes_{s/a}^{p+k} \mathcal{Z}$ , and equal

$$(\Phi | b(\hat{a}^*, \hat{a}) \Psi) = \frac{\sqrt{(m+p)!(k+p)!}}{p!} (\Phi | b \otimes 1_{\mathcal{Z}^{\otimes p}} \Psi). \quad (3.36)$$

### 3.6 Particle number preserving operators

If  $m = k$ , then the operator  $b(\hat{a}^*, \hat{a})$  preserves the number of particles and (3.36). For  $\Phi \in \otimes_{s/a}^n \mathcal{Z}$ ,  $\Psi \in \otimes_{s/a}^n \mathcal{Z}$  it can be rewritten as

$$(\Phi | b(\hat{a}^*, \hat{a}) \Psi) = \frac{n!}{(n-m)!} (\Phi | b \otimes 1_{\mathcal{Z}}^{\otimes(n-m)} \Psi). \quad (3.37)$$

But  $\frac{n!}{(n-m)!m!}$  is the number of  $m$ -element subsets of  $\{1, 2, \dots, n\}$ . Therefore, we can rewrite, in the obvious notation, (3.37) as

$$\frac{1}{m!} b(\hat{a}^*, \hat{a}) = \sum_{1 \leq i_1 < \dots < i_m \leq n} b_{i_1, \dots, i_m}. \quad (3.38)$$

In particular, for  $m = 2$  we can write

$$\frac{1}{2} b(\hat{a}^*, \hat{a}) = \sum_{1 \leq i < j \leq n} b_{ij}. \quad (3.39)$$

Finally, for  $m = 1$ , we have

$$b(\hat{a}^*, \hat{a}) = \sum_{1 \leq i \leq n} b_i = d\Gamma(b). \quad (3.40)$$

### 3.7 Examples

Consider  $L^2(\mathbb{R}^d)$ . We have the position representation, with the generic variables  $x, y$  and the momentum representation with the generic variables  $k, k'$ . We can pass from one representation to the other by

$$a^*(k) = (2\pi)^{-\frac{d}{2}} \int a^*(x) e^{-ikx} dx, \quad a^*(x) = (2\pi)^{-\frac{d}{2}} \int a^*(k) e^{ikx} dk, \quad (3.41)$$

$$a(k) = (2\pi)^{-\frac{d}{2}} \int a(x) e^{ikx} dx, \quad a(x) = (2\pi)^{-\frac{d}{2}} \int a(k) e^{-ikx} dk. \quad (3.42)$$

Here we give a few quadratic operators in the two representations:

$$d\Gamma(h) = \int \int a^*(x) h(x, y) a(y) dx dy = \int \int a^*(k) h(k, k') a(k') dk dk',$$

where  $h(k, k') = (2\pi)^{-d} \int \int h(x, y) e^{ikx - ik'y} dx dy$ ;

$$d\Gamma(V(x)) = \int a^*(x) V(x) a(x) dx = (2\pi)^{-d} \int a^*(k) \hat{V}(k - k') a(k') dk dk'$$

where  $\hat{V}(k) = \int V(x) e^{-ikx} dx$ ;

$$d\Gamma(-\Delta) = \int a^*(x) (-\Delta_x) a(x) dx = \int a^*(k) k^2 a(k) dk.$$



Consider  $L^2([0, L]^d) \simeq L^2\left(\frac{2\pi}{L}\mathbb{Z}^d\right)$ . Again we use  $x, y$  in the position representation and  $k, k'$  in the momentum representation. We can pass from one representation to the other by

$$a^*(k) = L^{-\frac{d}{2}} \int a(x) e^{-ikx} dx, \quad a^*(x) = L^{-\frac{d}{2}} \sum_k a(k) e^{ikx}, \quad (3.43)$$

$$a(k) = L^{-\frac{d}{2}} \int a(x) e^{ikx} dx, \quad a(x) = L^{-\frac{d}{2}} \sum_k a(k) e^{-ikx}. \quad (3.44)$$

Here we give a few quadratic operators in the two representations:

$$\begin{aligned} d\Gamma(h) &= \int \int a^*(x) h(x, y) a(y) dx dy = \sum_k \sum_{k'} a^*(k) h(k, k') a(k'), \\ &\quad \text{where } h(k, k') = L^{-d} \int \int h(x, y) e^{ikx - ik'y} dx dy; \end{aligned}$$

$$\begin{aligned} d\Gamma(V(x)) &= \int a^*(x) V(x) a(x) dx = L^{-d} \sum_{k, k'} a^*(k) \hat{V}(k - k') a(k'), \\ &\quad \text{where } \hat{V}(k) = \int V(x) e^{-ikx} dx; \end{aligned}$$

$$d\Gamma(-\Delta) = \int a^*(x) (-\Delta_x) a(x) dx = \sum_k a^*(k) k^2 a(k).$$

Now consider the 2-body potential  $V(x - y)$ . Denote this operator by  $b$ . Its kernel in the position and momentum representation is

$$b(x, y; y', x') = V(x - y) \delta(x - x') \delta(y - y'), \quad (3.45)$$

$$b(k, p, p', k') = (2\pi)^{-d} \hat{V}(-p + p') \delta(p + k - p' - k'). \quad (3.46)$$

Indeed,

$$\begin{aligned} &(p'| \langle q' | V(x - y) | p \rangle | q) \\ &= (2\pi)^{-2d} \int \int e^{-ip'x} e^{-iq'y} e^{ipx} e^{iqy} V(x - y) dx dy \\ &= (2\pi)^{-2d} \int \int e^{i(p-p')(x-y)} e^{-iy(p+q-p'-q')} V(x - y) dx dy \\ &= (2\pi)^{-d} \hat{V}(-p + p') \delta(p + q - p' - q'). \end{aligned}$$

Therefore,

$$\int \int dx dy V(x - y) a_x^* a_y^* a_y a_x = (2\pi)^{-d} \int \int \int dp dq dk \hat{V}(k) a_{p+k}^* a_{q-k}^* a_q a_p.$$

Similarly, in the box we have

$$\int \int dx dy V(x - y) a_x^* a_y^* a_y a_x = L^{-d} \sum_p \sum_q \sum_k \hat{V}(k) a_{p+k}^* a_{q-k}^* a_q a_p.$$

For example, consider the Schrödinger Hamiltonian of  $n$  identical particles

$$H_n = -\sum_{i=1}^n \Delta_i + \sum_{1 \leq i < j \leq n} V(x_i - x_j), \quad (3.47)$$

$$P_n = \sum_{i=1}^n \frac{1}{i} \partial_{x_i}, \quad (3.48)$$

In the momentum representation

$$\begin{aligned} H_n &= \sum_{i=1}^n \int p^2 |p\rangle_i \langle p|_i dp \\ &\quad + (2\pi)^{-d} \sum_{1 \leq i < j \leq N} \int \delta(p' + q' - q - p) \hat{V}(p' - p) |p'\rangle_i \langle q'|_j \langle q|_j \langle p|_i. \\ P_n &= -\sum_{i=1}^n \int p |p\rangle_i \langle p|_i dp. \end{aligned}$$

In the 2nd quantized notation we can rewrite all this as

$$\begin{aligned} H &:= \bigoplus_{n=0}^{\infty} H_n = -\int a_x^* \Delta_x a_x dx \\ &\quad + \int \int dx dy V(x - y) a_x^* a_y^* a_y a_x \\ &= \int p^2 a_p^* a_p dp \\ &\quad + (2\pi)^{-d} \int \int \int dp dq dk \hat{V}(k) a_{p+k}^* a_{q-k}^* a_q a_p \\ P &:= \bigoplus_{n=0}^{\infty} P_n = \int a_x^* \frac{1}{i} \partial_x a_x dx \\ &= \int p a_p^* a_p dp. \end{aligned}$$

## 4 Coherent states and van Hove Hamiltonians

### 4.1 Translation in phase space

The *Baker-Campbell-Hausdorff formula* says that if  $[A, [A, B]] = [B, [A, B]] = 0$ , then

$$e^{A+B} = e^A e^B e^{-\frac{1}{2}[A,B]}.$$

In particular, consider a Hilbert space  $L^2(\Xi, d\xi)$  and the corresponding Fock space  $\Gamma_s(L^2(\Xi, d\xi))$ . Let  $g \in L^2(\Xi)$ .

$$e^{a^*(g) - a(g)} = e^{-\frac{1}{2}(g|g)} e^{a^*(g)} e^{-a(g)}.$$

We have

$$e^{-a^*(g)+a(g)}a(\xi)e^{a^*(g)-a(g)} = a(\xi) + g(\xi), \quad (4.49)$$

$$e^{-a^*(g)+a(g)}a^*(\xi)e^{a^*(g)-a(g)} = a^*(\xi) + \overline{g(\xi)}. \quad (4.50)$$

## 4.2 Coherent vectors

$$\Omega_g := e^{a^*(g)-a(g)}\Omega = e^{-\frac{1}{2}(g|g)}e^{a^*(g)}\Omega.$$

is called a coherent vector associated to  $g$ .

Suppose  $H = h(a^*, a)$  is a Hamiltonian. Then we can easily compute the expectation value of  $H$  in  $\Omega_g$ :

$$\begin{aligned} (\Omega_g|H\Omega_g) &= (\Omega|e^{-a^*(g)+a(g)}h(a^*, a)e^{a^*(g)-a(g)}\Omega) \\ &= (\Omega|h(a^* + g, a + \overline{g})\Omega) = h(g, \overline{g}). \end{aligned}$$

Therefore,

$$\inf H \leq \inf h.$$

Another point of view: We introduce

$$b(\xi) := a(\xi) - g(\xi), \quad b^*(\xi) := a^*(\xi) - \overline{g(\xi)}.$$

Then  $b^*, b$  satisfy the same commutation relations as  $a^*, a$ .  $\Omega_g$  is a new “vacuum”:

$$b(\xi)\Omega_g = 0.$$

We use  $b^*, b$  instead of  $a^*, a$ , in particular  $H = h(b^* + g, b + \overline{g})$ .

This is just an equivalent approach if  $g$  is square integrable, since the two points of view are unitarily equivalent. However, this is often used when  $g$  is not square integrable—then we use a different representation of CCR. The “classical Hamiltonian” is the same, however the “quantum representation” has been changed.

## 4.3 Van Hove Hamiltonians

Let  $\xi \mapsto \omega(\xi) \geq 0$ . Consider the self-adjoint operator  $H_0 = \int \omega(\xi)a^*(\xi)a(\xi)d\xi$  and the perturbation  $V = \int v(\xi)a^*(\xi)d\xi + \int \overline{v(\xi)}a(\xi)d\xi$ .

The operator given by  $H := H_0 + V$  will be called a *van Hove Hamiltonian*.

Van Hove Hamiltonians are exactly solvable. Nevertheless, their theory is surprisingly rich. To avoid the *ultraviolet problem* we will always assume

$$\int_{\omega \geq 1} |v(\xi)|^2 d\xi < \infty.$$

We will discuss various possible infra-red behaviors of van Hove Hamiltonians.

Formally, we can write

$$H = \int \omega(\xi) \left( a^*(\xi) + \frac{\overline{v(\xi)}}{\omega(\xi)} \right) \left( a(\xi) + \frac{v(\xi)}{\omega(\xi)} \right) d\xi - \int \frac{|v(\xi)|^2}{\omega(\xi)} d\xi. \quad (4.51)$$

**Infrared case A.**

$$\int_{\omega < 1} \frac{|v(\xi)|^2}{\omega(\xi)^2} d\xi < \infty.$$

Introduce the *dressing operator*

$$\begin{aligned} U &:= \exp\left(-\int \frac{v(\xi)}{\omega(\xi)} a^*(\xi) d\xi + \int \frac{\overline{v(\xi)}}{\omega(\xi)} a(\xi) d\xi\right) \\ &= \exp\left(-\int \frac{v(\xi)}{\omega(\xi)} a^*(\xi) d\xi\right) \exp\left(\int \frac{\overline{v(\xi)}}{\omega(\xi)} a(\xi) d\xi\right) \\ &\quad \times \exp\left(-\frac{1}{2} \int \frac{|v(\xi)|^2}{\omega(\xi)^2} d\xi\right) \end{aligned}$$

and the *ground state energy*

$$E := -\int \frac{|v(\xi)|^2}{\omega(\xi)} d\xi.$$

The operator  $H$  is well defined and, up to a constant, is unitarily equivalent to  $H_0$ :

$$H - E = UH_0U^*$$

Clearly, the Fock vacuum  $\Phi_0 = \Omega$  is the unique ground state of  $H_0$  with the eigenvalue  $E_0 = 0$ . Therefore  $H$  has a unique ground state

$$\Psi = \exp\left(-\int \frac{|v(\xi)|^2}{2\omega(\xi)^2} d\xi\right) \exp\left(-\int a^*(\xi) \frac{v(\xi)}{\omega(\xi)} d\xi\right) \Omega,$$

and its eigenvalue is  $E$ .

**Infrared case B**

Let

$$\begin{aligned} \int_{\omega < 1} \frac{|v(\xi)|^2}{\omega(\xi)} d\xi &< \infty; \\ \int_{\omega < 1} \frac{|v(\xi)|^2}{\omega(\xi)^2} d\xi &= \infty. \end{aligned}$$

Then  $H$  is well defined, has the spectrum  $[E, \infty[$ , but has no bound states.

**Infrared case C.**

Let

$$\begin{aligned} \int_{\omega < 1} |v(\xi)|^2 d\xi &< \infty; \\ \int_{\omega < 1} \frac{|v(\xi)|^2}{\omega(\xi)} d\xi &= \infty. \end{aligned}$$

Then  $H$  is well defined, but  $\text{sp}H = ]-\infty, \infty[$ .

#### 4.4 Dynamics of time-independent van Hove Hamiltonians

It is easy to compute  $e^{itH}$  in the case A:

$$\begin{aligned}
e^{itH} &= \exp\left(-a^*(\omega^{-1}v) + a(\omega^{-1}v)\right) \Gamma(e^{it\omega}) \exp\left(a^*(\omega^{-1}v) - a(\omega^{-1}v)\right) \\
&\quad \times \exp\left(-it(v|\omega^{-1}v)\right) \\
&= \exp\left(-a^*(\omega^{-1}v) + a(\omega^{-1}v)\right) \exp\left(a^*(e^{it\omega}\omega^{-1}v) - a(e^{it\omega}\omega^{-1}v)\right) \\
&\quad \times \Gamma(e^{it\omega}) \exp\left(-it(v|\omega^{-1}v)\right) \\
&= \exp\left(a^*((e^{it\omega} - 1)\omega^{-1}v) + a((1 - e^{it\omega})\omega^{-1}v)\right) \\
&\quad \times \Gamma(e^{it\omega}) \exp\left(\frac{1}{2}(v|(e^{it\omega} - e^{-it\omega} - i2t\omega)\omega^{-2}v)\right).
\end{aligned}$$

We easily see that the above expression is well defined in the case A, B and C for all  $t$  and strongly continuously depends on  $t$ . Therefore,  $H$  is well defined as a self-adjoint operator.

#### 4.5 Reminder about notation for evolution

It is convenient to use the following notation for a dynamics generated by time dependent Hamiltonian  $H(t)$ :

$$U(t_+, t_-) := \text{Texp}\left(-i \int_{t_-}^{t_+} H(s) ds\right).$$

The *evolution in the interaction picture* is defined as

$$U_{\text{Int}}(t_+, t_-) := e^{it_+ H_0} U(t_+, t_-) e^{-it_- H_0}.$$

The *interaction Hamiltonian* is defined as

$$H_{\text{Int}}(t) := e^{itH_0} V(t) e^{-itH_0}.$$

Note that

$$U_{\text{Int}}(t_+, t_-) = \text{Texp}\left(-i \int_{t_-}^{t_+} H_{\text{Int}}(t) dt\right).$$

$$S^\pm := U_{\text{Int}}(0, \pm\infty)$$

are called *Møller operators* and

$$S := U_{\text{Int}}(\infty, -\infty)$$

is called the scattering operator.

## 4.6 Time-dependent BCH formula

Let  $\mathbb{R} \ni t \mapsto A(t), B(t)$  be operator valued functions such that

$$[A(t), A(t')] = [B(t), B(t')] = 0,$$

$$[[A(t), B(t')], A(t'')] = [[A(t), B(t')], B(t'')] = 0.$$

Then

$$\text{Texp} \left( \int_{-\infty}^{\infty} dt (A(t) + B(t)) \right) \quad (4.52)$$

$$= \exp \left( \int_{-\infty}^{\infty} dt A(t) \right) \exp \left( \int_{-\infty}^{\infty} dt B(t) \right) \quad (4.53)$$

$$\times \exp \left( \int_{-\infty}^{\infty} dt_1 \int_{-\infty}^{\infty} dt_2 \theta(t_1 - t_2) [B(t_1), A(t_2)] \right). \quad (4.54)$$

The exponent of (4.54) by a simple substitution can be rewritten as

$$\begin{aligned} & \int_{-\infty}^{\infty} dt_1 \int_{-\infty}^{\infty} dt_2 \theta(t_1 - t_2) [B(t_1), A(t_2)] \\ &= \frac{1}{2} \int_{-\infty}^{\infty} dt_1 \int_{-\infty}^{\infty} dt_2 \left( \theta(t_1 - t_2) [B(t_1), A(t_2)] + \theta(t_2 - t_1) [B(t_2), A(t_1)] \right). \end{aligned} \quad (4.55)$$

## 4.7 Time dependent Van Hove Hamiltonians

The BCH formula has the following time-dependent version:

Consider a (*time-dependent*) *Van Hove Hamiltonian*  $H(t) := H_0 + V(t)$  with

$$V(t) = \int v(t, \xi) a^*(\xi) d\xi + \int \overline{v(t, \xi)} a(\xi) d\xi.$$

Clearly, the van Hove Hamiltonian in the interaction picture equals

$$H_{\text{Int}}(t) = \int e^{it\omega(\xi)} v(t, \xi) a^*(\xi) d\xi + \int e^{-it\omega(\xi)} \overline{v(t, \xi)} a(\xi) d\xi.$$

**Theorem 4.1** *The corresponding scattering operator is then given by*

$$\begin{aligned} S &= \text{Texp} \left( -i \int H_{\text{Int}}(t) dt \right) \\ &= \exp \left( -i \int v(\omega(\xi), \xi) a^*(\xi) d\xi \right) \exp \left( -i \int \overline{v(\omega(\xi), \xi)} a(\xi) d\xi \right) \\ &\quad \times \exp \left( \frac{i}{2\pi} \int \frac{\overline{v(\tau, \xi)} v(\tau, \xi) \omega(\xi)}{\omega(\xi)^2 - \tau^2 - i0} d\tau d\xi \right), \end{aligned}$$

where  $v(\tau, \xi) := \int v(t, \xi) e^{it\tau} dt$ .

**Proof.** We apply the time-dependent BCH formula with

$$A(t) := -i \int e^{it\omega(\xi)} v(t, \xi) a^*(\xi) d\xi, \quad (4.56)$$

$$B(t) := -i \int e^{-it\omega(\xi)} \overline{v(t, \xi)} a(\xi) d\xi. \quad (4.57)$$

We obtain

$$\begin{aligned} S &= \exp \left( -i \int d\xi \int dt e^{it\omega(\xi)} v(t, \xi) a^*(\xi) \right) \exp \left( -i \int d\xi \int dt e^{-it\omega(\xi)} \overline{v(t, \xi)} a(\xi) \right) \\ &\times \exp \left( -\frac{1}{2} \int d\xi \int dt_1 \int dt_2 e^{-i\omega(\xi)|t_1-t_2|} \overline{v(t_1, \xi)} v(t_2, \xi) \right). \end{aligned}$$

□

Let us note the identity

$$-\frac{1}{2} \int \int dt_1 dt_2 \left( \Omega |T(H_{\text{Int}}(t_1) H_{\text{Int}}(t_2)) \Omega \right) \quad (4.58)$$

$$= -\frac{1}{2} \int d\xi \int dt_1 \int dt_2 e^{-i\omega(\xi)|t_1-t_2|} \overline{v(t_1, \xi)} v(t_2, \xi) \quad (4.59)$$

$$= \frac{i}{2\pi} \int \frac{\overline{v(\tau, \xi)} v(\tau, \xi) \omega(\xi)}{\omega(\xi)^2 - \tau^2 - i0} d\tau d\xi, \quad (4.60)$$

which shows that a kind of a Feynman propagator appears naturally in this context.

## 4.8 Adiabatic scattering theory for van Hove Hamiltonians

Assume for the moment that  $H_0, V$  be self-adjoint operators and  $\epsilon > 0$ . We define  $V_\epsilon(t) := e^{-\epsilon|t|} V$ . We will write

$$H_\epsilon(t) := H_0 + V_\epsilon$$

for the corresponding time-dependent Hamiltonian. We also introduce  $U_\epsilon(t_+, t_-)$ ,  $U_{\epsilon \text{Int}}(t_+, t_-)$ ,  $S_\epsilon^\pm$ ,  $S_\epsilon$ , etc.

We can compute the *adiabatic Møller operator* for van Hove Hamiltonians. To this end, consider  $v_\epsilon^+(t, \xi) := \theta(t) e^{-\epsilon|t|} v(\xi)$ . Then  $v_\epsilon^+(\tau, \xi) = \frac{iv(\xi)}{\tau + i\epsilon}$ . We have

$$\begin{aligned} S_\epsilon^+ &= \exp \left( \int \frac{v(\xi)}{\omega(\xi) + i\epsilon} a^*(\xi) d\xi \right) \exp \left( - \int \frac{\overline{v(\xi)}}{\omega(\xi) - i\epsilon} a(\xi) d\xi \right) \\ &\times \exp \left( \frac{i}{2\pi} \int \frac{|v(\xi)|^2 \omega(\xi) d\tau d\xi}{(\tau^2 + \epsilon^2)(\omega(\xi)^2 - \tau^2 - i0)} \right). \end{aligned} \quad (4.61)$$

(4.61) does not have a limit as  $\epsilon \searrow 0$ . Indeed, an elementary calculation shows

$$\begin{aligned} \int \frac{d\tau}{(\tau^2 + \epsilon^2)(\omega(\xi)^2 - \tau^2 - i0)} &= \int \frac{1}{\omega(\xi)^2 + \epsilon^2} \left( \frac{1}{\tau^2 + \epsilon^2} + \frac{1}{\omega(\xi)^2 - \tau^2 - i0} \right) d\tau \\ &= \frac{\pi}{\epsilon(\omega(\xi)^2 + \epsilon^2)} + \frac{i\pi}{\omega(\xi)(\omega(\xi)^2 + \epsilon^2)}. \end{aligned} \quad (4.62)$$

Now the real part of  $\frac{i\omega(\xi)}{2\pi}$ (4.62) equals  $-\frac{1}{2(\omega(\xi)^2 + \epsilon^2)}$ . Therefore we can renormalize  $S_\epsilon$  by removing the divergent phase:

$$\begin{aligned} \frac{|(\Omega|S_\epsilon^+\Omega)|}{(\Omega|S_\epsilon^+\Omega)} S_\epsilon^+ &= \exp\left(-\int \frac{v(\xi)}{\omega(\xi) + i\epsilon} a^*(\xi) d\xi\right) \exp\left(\int \frac{\overline{v(\xi)}}{\omega(\xi) - i\epsilon} a(\xi) d\xi\right) \\ &\quad \times \exp\left(-\frac{1}{2} \int \frac{|v(\xi)|^2}{\omega(\xi)^2 + \epsilon^2} d\xi\right). \end{aligned}$$

Therefore, if  $\int \frac{|v(\xi)|^2}{\omega(\xi)^2} d\xi < \infty$ , that is in Case A, then the *Gell-Mann and Low wave operator for H* equals

$$\begin{aligned} S_{\text{GL}}^+ &= s\text{-}\lim_{\epsilon \searrow 0} \frac{|(\Omega|S_\epsilon^+\Omega)|}{(\Omega|S_\epsilon^+\Omega)} S_\epsilon^+ \\ &= \exp\left(-\int \frac{v(\xi)}{\omega(\xi)} a^*(\xi) d\xi\right) \exp\left(\int \frac{\overline{v(\xi)}}{\omega(\xi)} a(\xi) d\xi\right) \\ &\quad \times \exp\left(-\frac{1}{2} \int \frac{|v(\xi)|^2}{\omega(\xi)^2} d\xi\right) \end{aligned}$$

and coincides with the dressing operator  $U^*$ .

If  $\int \frac{|v(\xi)|^2}{\omega(\xi)^2} d\xi = \infty$ , that is in Case B and C, then  $S_{\text{GL}}^+$  does not exist because of the *infrared problem*.

An analogous computation yields  $S_{\text{GL}}^- = S_{\text{GL}}^+$ . Therefore, the *Gell-Mann and Low scattering operator for H* equals

$$S_{\text{GL}} := S_{\text{GL}}^{+*} S_{\text{GL}}^- = \mathbb{1}.$$

One can also compute  $S_{\text{GL}}$  directly, setting  $v(t, \xi) := e^{-\epsilon|t|}v(\xi)$ . Then  $v(\tau, \xi) = \frac{2\epsilon}{\tau^2 + \epsilon^2}v(\xi)$ . Therefore,

$$\frac{S_\epsilon}{(\Omega|S_\epsilon\Omega)} = \exp\left(-i \int \frac{v(\xi)2\epsilon}{\epsilon^2 + \omega(\xi)^2} a^*(\xi) d\xi\right) \exp\left(-i \int \frac{\overline{v(\xi)}2\epsilon}{\epsilon^2 + \omega(\xi)^2} a(\xi) d\xi\right).$$

This converges weakly to  $\mathbb{1}$ .



## 5 Slater determinants and the Hartree-Fock method

### 5.1 Slater determinants

Let  $e_1, \dots, e_m$  be an orthonormal subset of a Hilbert space  $\mathcal{W}$ . Then

$$\Phi := a^*(e_1) \cdots a^*(e_m) \Omega = \frac{1}{\sqrt{m!}} \sum_{\sigma \in S_m} \text{sgn} \sigma e_{\sigma(1)} \otimes \cdots \otimes e_{\sigma(m)} \quad (5.63)$$

$$= \sqrt{m!} e_1 \otimes_a \cdots \otimes_a e_m = \frac{1}{\sqrt{m!}} e_1 \wedge \cdots \wedge e_m \quad (5.64)$$

is a normalized vector. Such vectors are called *Slater determinants*. If  $f_1, \dots, f_m$  is another basis of the subspace spanned by  $e_1, \dots, e_m$ , so that  $e_i = \sum_j c_{ij} f_j$ , then

$$a^*(e_1) \cdots a^*(e_m) \Omega = \det[c_{ij}] a^*(f_1) \cdots a^*(f_m) \Omega.$$

Thus the state

$$\omega_\pi(A) := (a^*(e_1) \cdots a^*(e_m) \Omega | A a^*(e_1) \cdots a^*(e_m) \Omega)$$

depends only on the space spanned by  $e_1, \dots, e_m$ . We will use the symbol  $\pi$  to denote the orthogonal projection onto this space.

### 5.2 Changing the vacuum

Suppose the set  $e_1, \dots, e_m$  is extended to an orthonormal basis of  $\mathcal{W}$ . Write  $a_i := a(e_i)$ ,  $a_i^* := a^*(e_i)$ . Note that we have the anticommutation relations

$$[a_i, a_j^*]_+ = \delta_{ij}, \quad (5.65)$$

$$[a_i, a_j]_+ = 0, \quad (5.66)$$

$$a_i \Omega = 0. \quad (5.67)$$

Note that  $\Phi$  can be treated as a new vacuum:

$$a_i^* \Phi = 0, \quad i = 1, \dots, m$$

$$a_i \Phi = 0, \quad i = m+1, \dots$$

Set  $U := \prod_{i=1}^m (a_i + a_i^*)$ .  $U$  satisfies

$$U a_i^* U^* = (-1)^{m+1} a_i, \quad i = 1, \dots, m; \quad (5.68)$$

$$U a_i U^* = (-1)^m a_i^*, \quad i = m+1, \dots \quad (5.69)$$

$$U \Omega = \Phi. \quad (5.70)$$

In fact

$$(a + a^*) a (a + a^*) = a^* a a^* = a^* (a a^* + a^* a) = a^*, \quad (5.71)$$

$$(a + a^*) a^* (a + a^*) = a a^* a = a (a a^* + a^* a) = a. \quad (5.72)$$

Thus if we rename

$$b_i := a_i^*, \quad b_i^* := a_i, \quad i = 1, \dots, m.$$

then the set of operators  $b_i, b_i^*, i = 1, \dots, m, a_i, a_i^*, i = m + 1, \dots$  satisfies the usual anticommutation relations with the vacuum  $\Phi$ .

Recall that if  $w = \sum w_i e_i \in \mathcal{W}$  we write

$$a^*(w) = \sum w_i a_i^*,$$

which is linear in  $w$ . We can write

$$[a(w), a_j^*(w')]_+ = (w|w'), \quad (5.73)$$

$$[a(w), a(w')]_+ = 0, \quad (5.74)$$

$$a(w)\Omega = 0 \quad (5.75)$$

If  $w \in \text{Ran}\pi$ , we set  $\bar{w} := \sum \bar{w}_i e_i$ . Then we set

$$b^*(\bar{w}) = \sum_i \bar{w}_i b_i^* = \sum_i \bar{w}_i a_i = a(w).$$

With this definition,  $b_i^*$  are linear, as they should be. Thus in the new representation the 1-particle space is  $\bar{\pi}\mathcal{W} \oplus (\mathbb{1} - \pi)\mathcal{W}$  and not  $\mathcal{W}$ . The fermionic Fock space  $\Gamma_a(\mathcal{W})$  is represented as  $\Gamma_a(\bar{\pi}\mathcal{W} \oplus (\mathbb{1} - \pi)\mathcal{W})$

The above construction works also if  $\pi$  is infinite dimensional. More precisely, fix an antilinear conjugation on  $\pi\mathcal{W}$ , denoted by  $C$ , that is an antiunitary operator satisfying  $C^2 = \mathbb{1}$ . (For instance,  $Cw = \bar{w}$  as above). Consider the Fock space  $\Gamma_a(C\pi\mathcal{W} \oplus (\mathbb{1} - \pi)\mathcal{W})$ . Creation/annihilation operators for  $\bar{w} \in \text{Ran}\pi$  will be denoted  $b^*(Cw)$  and  $b(Cw)$ . Then the operators

$$a^*(w) := b(C\pi w) + a^*((\mathbb{1} - \pi)w)$$

satisfy the usual CAR. However, if  $\text{Ran}\pi$  is infinite dimensional, there is no unitary map  $U$  that intertwines the two kinds of representations of CAR.

### 5.3 Free fermionic Hamiltonians

For simplicity, assume that  $\mathcal{W}$  is finite dimensional. Consider  $H = d\Gamma(h)$ , where  $h$  is a self-adjoint operator on  $\mathcal{W}$ . We can diagonalize  $h$ , so that

$$h = \sum_i \lambda_i |e_i\rangle\langle e_i|.$$

It is easy to see that  $d\Gamma(h)$  possesses a unique ground state iff  $0 \notin \text{sp}h$ . Indeed, let  $\lambda_1 \leq \lambda_2 \leq \dots \leq \lambda_m < 0 < \lambda_{m+1} \leq \dots$ . Then the ground state of  $d\Gamma(h)$  is given by

$$\Phi := a_1^* \cdots a_m^* \Omega,$$

so that

$$H\Phi = E\Phi, \quad E = \lambda_1 + \cdots + \lambda_m.$$

The Hamiltonian  $H$  can be rewritten as

$$H = \sum_i \lambda_i a_i^* a_i = \sum_{i \leq m} |\lambda_i| b_i^* b_i + \sum_{i > m} \lambda_i a_i^* a_i + \sum_{i \leq m} \lambda_i.$$

Note that strictly speaking this construction makes sense only for a finite dimensional  $\mathbb{1}_{]-\infty, 0]}(h)$ . However, it is often used also if this dimension is infinite. The constant  $E$  is usually dropped—it is often in fact infinite, and we use the renormalized Hamiltonian

$$H_{\text{ren}} = \sum_{i \leq m} |\lambda_i| b_i^* b_i + \sum_{i > m} \lambda_i a_i^* a_i.$$

**Example 5.1** Consider the free Fermi gas with the chemical potential  $\mu$  in volume  $L$ .

$$H = \sum_{k \in \frac{2\pi}{L} \mathbb{Z}^d} (k^2 - \mu) a_k^* a_k.$$

The ground state is called the “Fermi sea”:  $\prod_{k^2 < \mu} a_k^* \Omega$ . It has the energy

$$E = \sum_{k^2 < \mu} (k^2 - \mu).$$

The renormalized Hamiltonian is

$$H_{\text{ren}} = \sum_{k^2 < \mu} |k^2 - \mu| b_k^* b_k + \sum_{k^2 \geq \mu} |k^2 - \mu| a_k^* a_k.$$

In infinite volume the Hamiltonian is

$$H = \int (k^2 - \mu) a_k^* a_k dk.$$

$E$  is infinite and the Slater determinant is ill defined. However, we can change the representation of CAR replacing  $H$  with

$$H_{\text{ren}} = \int_{k^2 < \mu} |k^2 - \mu| b_k^* b_k dk + \int_{k^2 \geq \mu} |k^2 - \mu| a_k^* a_k dk.$$

**Example 5.2** Consider the Dirac Hamiltonian

$$h := \vec{\alpha} \vec{p} + \beta m + V(x).$$

It is a self-adjoint operator on  $L^2(\mathbb{R}^3 \otimes \mathbb{C}^4)$ . The naive quantization of  $h$ , that is  $d\Gamma(h)$ , acts on the space  $\Gamma_{\text{a}}(L^2(\mathbb{R}^3 \otimes \mathbb{C}^4))$ . It is however physically meaningless—it yields an operator unbounded from below. Formally, the ground state of  $d\Gamma(h)$  is the Slater determinant with all negative energy states present. This state is called the Dirac sea.

In practice, we change the representation of CAR. Set

$$\Lambda^\pm := \mathbb{1}_{[0, \infty[}(\pm h).$$

The physical one particle space is

$$C\Lambda^- L^2(\mathbb{R}^3 \otimes \mathbb{C}^4) \oplus \Lambda^+ L^2(\mathbb{R}^3 \otimes \mathbb{C}^4),$$

where  $C$  is an antilinear map, usually the complex conjugation.

## 5.4 Expectation values of Slater determinants

**Theorem 5.3** *Let  $b$  be an operator on  $\otimes^n \mathcal{W}$ . Let  $\pi$  be a projection onto a subspace of  $\mathcal{W}$ . Then*

$$\omega_\pi(b(a^*, a)) = \sum_{\sigma \in S_n} \text{Tr } b \pi^{\otimes n} \Theta(\sigma) \text{sgn}(\sigma).$$

**Proof.** It is enough to check this assuming that

$$b = |e_{i_1}\rangle \cdots |e_{i_n}\rangle \langle e_{j_n}| \cdots \langle e_{j_1}|,$$

corresponding to

$$b(a^*, a) = a_{i_1}^* \cdots a_{i_n}^* a_{j_n} \cdots a_{j_1}.$$

□

In particular, we have the cases  $n = 1, 2$ :

$$\omega_\pi(d\Gamma(h)) = \text{Tr } \pi h, \tag{5.76}$$

$$\omega_\pi(b(a^*, a)) = \text{Tr } b \pi \otimes \pi (\mathbb{1} - \tau), \tag{5.77}$$

where  $\tau : \mathcal{W} \otimes \mathcal{W} \rightarrow \mathcal{W} \otimes \mathcal{W}$  is the transposition of the factors in the tensor product.

## 5.5 The Hartree-Fock method

Let  $h$  be a self-adjoint operator on  $\mathcal{W}$  and  $b$  on  $\mathcal{W} \otimes \mathcal{W}$ . We assume that  $\tau b \tau = b$ . Consider the particle number preserving operator

$$H = d\Gamma(h) + \frac{1}{2} b(a^*, a).$$

We would like to find the ground state energy of  $H$  in the  $n$ -body sector.

The Hartree-Fock functional is the expectation value of  $H$  in a Slater determinant:

$$\mathcal{E}_{\text{HF}}(\pi) := \omega_\pi(H) = \text{Tr } h \pi + \frac{1}{2} \text{Tr } b \pi \otimes \pi (\mathbb{1} - \tau).$$

The ground state energy of  $H$  is clearly estimated from above by its Hartree-Fock energy

$$E_{\text{HF}} := \inf \{ \mathcal{E}_{\text{HF}}(\pi) : \pi \text{ is an } n\text{-dimensional orthogonal projection} \}.$$

If a minimizer of  $\mathcal{E}_{\text{HF}}$  exists, we denote it by  $\pi_{\text{HF}}$ . We define the Hartree-Fock Hamiltonian (called also the Fock Hamiltonian) by its expectation value in a trace class matrix  $\gamma$ :

$$\text{Tr} h_{\text{HF}} \gamma := \text{Tr} h \gamma + \text{Tr} b \pi_{\text{HF}} \otimes \gamma (\mathbb{1} - \tau).$$

Notice the absence of  $\frac{1}{2}$ .

**Theorem 5.4**  $\pi_{\text{HF}}$  is a projection onto  $n$  lowest lying levels of  $h_{\text{HF}}$

**Proof.** Every orthogonal projection has the kernel

$$\pi(x, y) = \sum_{i=1}^n \overline{\phi_i(x)} \phi_i(y),$$

where  $\phi_1, \dots, \phi_n$  is an orthonormal basis of  $\text{Ran} \pi$ . The Hartree-Fock functional can be written as

$$\begin{aligned} \mathcal{E}_{\text{HF}}(\pi) =: \mathcal{E}(\phi_1, \dots, \phi_n) &= \sum_i (\phi_i | h \phi_i) \\ &+ \frac{1}{2} \sum_{ij} (\phi_i \otimes \phi_j | b \phi_i \otimes \phi_j) - \frac{1}{2} \sum_{ij} (\phi_i \otimes \phi_j | b \phi_j \otimes \phi_i). \end{aligned}$$

Using the method of Lagrange multipliers,  $E_{\text{HF}}$  is given as the infimum of

$$\mathcal{E}_{\text{HF}}(\phi_1, \dots, \phi_n) - \sum_{ij} \epsilon_{ij} ((\phi_i | \phi_j) - \delta_{ij}),$$

where we may assume that the matrix  $\epsilon_{ij}$  is Hermitian. Writing  $\phi_i + \delta\phi_i$ ,  $\epsilon_{ij} + \delta\epsilon_{ij}$  for the variations, we find

$$\delta\mathcal{E}_{\text{HF}} = \sum_i (\phi_i | h_{\text{HF}} \delta\phi_i) + (\delta\phi_i | h_{\text{HF}} \phi_i) \quad (5.78)$$

$$- \sum_{ij} \epsilon_{ij} (\phi_i | \delta\phi_j) - \sum_{ij} \epsilon_{ij} (\delta\phi_i | \phi_j) \quad (5.79)$$

$$+ \sum_{ij} \delta\epsilon_{ij} ((\phi_i | \phi_j) - \delta_{ij}). \quad (5.80)$$

Comparing the coefficients at  $\delta\phi_i$  on the right of the scalar product and on the left of the scalar product independently, we obtain

$$h_{\text{HF}} \phi_i = \sum_j \epsilon_{ij} \phi_j.$$

We can diagonalize the matrix  $[\epsilon_{ij}]$  with a unitary transformation, so that  $\epsilon_{ij} = \delta_{ij} \epsilon_i$ , and we obtain

$$h_{\text{HF}} \phi_i = \epsilon_i \phi_i.$$

Thus the minimizing sequence  $\phi_1, \dots, \phi_n$  can consist of normalized eigenvectors of  $h_{\text{HF}}$ .

Now assume that there is an eigenvector of  $h_{\text{HF}}$ , say  $\psi$  orthogonal to  $\phi_1, \dots, \phi_n$  and with an eigenvalue  $\beta$  lower than one of the eigenvalues  $\epsilon_1, \dots, \epsilon_n$ . For instance,

$$h_{\text{HF}}\psi = \beta\psi, \quad \beta < \epsilon_1.$$

Then we can consider a variation  $\phi_1 + \delta\phi_1 := \sqrt{1-t^2}\phi_1 + t\psi$ . This variation is tangent to the constraints. Besides,

$$\begin{aligned} & \delta\mathcal{E}_{\text{HF}}(\phi_1 + \delta\phi_1, \phi_2, \dots, \phi_n) \\ &= \frac{\delta^2}{\delta\phi_1^2}\mathcal{E}_{\text{HF}}\delta\phi_1\delta\phi_1 + \frac{\delta^2}{\delta\bar{\phi}_1^2}\mathcal{E}_{\text{HF}}\delta\bar{\phi}_1\delta\bar{\phi}_1 + \frac{\delta^2}{\delta\phi_1\delta\bar{\phi}_1}\mathcal{E}_{\text{HF}}\delta\bar{\phi}_1\delta\phi_1. \end{aligned}$$

The first two terms are zero because of the operator  $\mathbb{1} - \tau$ . The second equals

$$-t^2(\phi_1|h_{\text{HF}}\phi_1) + t^2(\psi|h_{\text{HF}}\psi) = t^2(-\epsilon_1 + \beta),$$

hence is negative.  $\square$

Note that the Hartree-Fock energy is in general not equal to the sum of the lowest  $n$  eigenvalues of  $H_{\text{HF}}$ .

## 5.6 Hartree-Fock method for atomic systems

Suppose now that  $V(x) = V(-x)$  and

$$H = - \int a_x^* \Delta_x a_x dx + \int a_x^* W(x) a_x dx \quad (5.81)$$

$$+ \frac{1}{2} \int \int a_x^* a_y^* V(x-y) a_x a_y dx dy. \quad (5.82)$$

Let  $\pi$  be an  $n$ -dimensional projection. We set

$$\rho(x) := \pi(x, x), \quad \rho_{\text{HF}}(x) := \pi_{\text{HF}}(x, x).$$

Then

$$\mathcal{E}_{\text{HF}}(\pi) = \int \partial_x \partial_y \pi(x, y) \Big|_{x=y} dx + \int W(x) \rho(x) dx \quad (5.83)$$

$$+ \frac{1}{2} \int \int V(x-y) \rho(x) \rho(y) dx dy - \frac{1}{2} \int \int V(x-y) |\pi(x, y)|^2 dx dy,$$

$$H_{\text{HF}} = -\Delta + W(x) + \int \rho_{\text{HF}}(y) V(x-y) dy - T_{\text{ex}}, \quad (5.84)$$

where  $T_{\text{ex}}$  is a nonlocal operator with the kernel

$$T_{\text{ex}}(x, y) = V(x-y) \pi_{\text{HF}}(x, y).$$

A semiclassical argument implies that the first term in (5.83), that is the kinetic energy, can be approximated by

$$(2\pi)^{-d} \frac{d}{d+2} c_d^{-2/d} \int \rho^{\frac{d+2}{d}}(x) dx, \quad (5.85)$$

where  $c_d$  is the volume of a unit ball in  $d$  dimensions. We also expect that the last term, that is the exchange energy is relatively small. This leads to the so-called Thomas-Fermi functional, which depends only on the density:

$$\begin{aligned} \mathcal{E}_{\text{TF}}(\rho) := & (2\pi)^{-d} \frac{d}{d+2} c_d^{-2/d} \int \rho^{\frac{d+2}{d}}(x) dx \\ & + \int W(x) \rho(x) dx + \frac{1}{2} \int \int V(x-y) \rho(x) \rho(y) dx dy. \end{aligned}$$

## 6 Squeezed states

### 6.1 1-mode squeezed vector

Consider  $\Gamma_s(\mathbb{C})$ .

**Theorem 6.1** *Let  $|c| < 1$ . Then*

$$\Omega_c := (1 - |c|^2)^{\frac{1}{4}} e^{\frac{c}{2} a^{*2}} \Omega$$

*is a normalized vector satisfying*

$$(a - ca^*) \Omega_c = 0. \quad (6.86)$$

**Proof.**

$$\begin{aligned} \left( e^{\frac{c}{2} a^{*2}} \Omega \middle| e^{\frac{c}{2} a^{*2}} \Omega \right) &= \sum_{n=0}^{\infty} \frac{|c|^{2n} (2n)!}{(n!)^2 2^{2n}} \\ &= \sum_{n=0}^{\infty} \frac{(-1)^n |c|^{2n} \left(-\frac{1}{2}\right) \left(-\frac{1}{2} - 1\right) \cdots \left(-\frac{1}{2} - n\right)}{n!} = (1 - |c|^2)^{-\frac{1}{2}}. \end{aligned}$$

Using

$$e^{-\frac{c}{2} a^{*2}} a e^{\frac{c}{2} a^{*2}} = a - \frac{c}{2} [a^{*2}, a] = a + ca^*,$$

we obtain (6.94).  $\square$

**Theorem 6.2** *Set*

$$U_t := e^{\frac{1}{2}(-a^{*2} + a^2)}.$$

*Then*

$$U_t a U_t^{-1} = a \cosh t + a^* \sinh t, \quad (6.87)$$

$$U_t a^* U_t^{-1} = a^* \cosh t + a \sinh t, \quad (6.88)$$

$$U_t = \frac{1}{\sqrt{\cosh t}} e^{-\frac{\tanh t}{2} a^{*2}} \Gamma\left(\frac{1}{\cosh t}\right) e^{\frac{\tanh t}{2} a^2}, \quad (6.89)$$

$$\Omega_{\tanh t} = U_t \Omega. \quad (6.90)$$

**Proof.** (6.87) and (6.88) are immediate. We next compute

$$\begin{aligned}\frac{d}{dt}U_t &= \frac{1}{2}(-a^{*2} + a^2)U_t \\ &= -\frac{1}{2\cosh^2 t}a^{*2}U_t + \frac{1}{2\cosh^2 t}U_t a^2 - \frac{\sinh t}{\cosh^2 t}a^*U_t a - \frac{\sinh t}{2\cosh t}U_t.\end{aligned}$$

Then we use the identity concerning the derivative of  $\Gamma(e^h) = e^{ha^*a}$  contained in (6.91).  $\square$

**Lemma 6.3**

$$\frac{d}{dt}e^{h(t)a^*a} = \dot{h}(t)e^{h(t)}a^*e^{h(t)a^*a}a. \quad (6.91)$$

**Proof.**

$$\frac{d}{dt}e^{ha^*a} = \dot{h}e^{ha^*a}a^*a \quad (6.92)$$

$$= \dot{h}e^{ha^*a}a^*e^{-ha^*a}e^{ha^*a}a = \dot{h}e^h a^* e^{ha^*a} a. \quad (6.93)$$

$\square$

## 6.2 Many-mode squeezed vector

Suppose  $c$  is a symmetric complex matrix on  $\mathbb{C}^n$ . One can show that then there exists an orthonormal basis such that  $c$  is diagonal where all terms on the diagonal are nonnegative. Therefore, we have the many-mode generalizations of the results of the previous subsection to  $\Gamma_s(\mathbb{C}^n)$ :

**Theorem 6.4** *Let  $c$  be a symmetric  $n \times n$  matrix such that  $\|c\| < 1$ . Then*

$$\Omega_c := \det(1 - |c|^2)^{\frac{1}{4}} e^{\frac{1}{2}c_{ij}a_i^*a_j^*} \Omega$$

*is a normalized vector satisfying*

$$(a_i - c_{ij}a_j^*)\Omega_c = 0. \quad (6.94)$$

*where we write  $|c| := \sqrt{c^*c}$ .*

**Theorem 6.5** *Let  $\theta$  be a symmetric  $n \times n$  matrix. Set*

$$U_\theta := e^{\frac{1}{2}(-\theta_{ij}a_i^*a_j^* + \bar{\theta}_{ij}a_j a_i)}.$$

*Then*

$$U_\theta a_i U_\theta^{-1} = (\overline{\cosh |\theta|})_{ij} a_j + \left(\theta \frac{\sinh |\theta|}{|\theta|}\right)_{ij} a_j^*, \quad (6.95)$$

$$U_\theta a_i^* U_\theta^{-1} = (\cosh |\theta|)_{ij} a_j^* + \left(\bar{\theta} \frac{\sinh \overline{|\theta|}}{|\theta|}\right)_{ij} a_j, \quad (6.96)$$

$$U_\theta = \frac{1}{\sqrt{\det \cosh |\theta|}} e^{-\left(\theta \frac{\tanh |\theta|}{2|\theta|}\right)_{ij} a_i^* a_j^*} \Gamma\left(\frac{1}{\cosh |\theta|}\right) e^{\left(\bar{\theta} \frac{\tanh \overline{|\theta|}}{2|\theta|}\right)_{ij} a_j a_i}, \quad (6.97)$$

$$U_\theta \Omega = \Omega_{\frac{\tanh |\theta|}{|\theta|}}. \quad (6.98)$$



### 6.3 Single-mode gauge-invariant squeezed vector

Consider  $\Gamma_s(\mathbb{C}^2)$ . The creation/annihilation of first mode are denoted  $a^*, a$ , of the second  $b^*, b$ .

We assume that in our space there is a ‘‘charge operator’’

$$Q := a^*a - b^*b,$$

and we are interested mostly in gauge invariant states, that is satisfying  $Q = 0$ .

**Theorem 6.6** *Let  $|c| < 1$ . Then*

$$\Omega^c := (1 - |c|^2)^{\frac{1}{2}} e^{ca^*b^*} \Omega$$

*is a normalized vector satisfying*

$$(a - cb^*)\Omega^c = 0, \quad (6.99)$$

$$(b - ca^*)\Omega^c = 0. \quad (6.100)$$

**Proof.**

$$\begin{aligned} \left( e^{ca^*b^*} \Omega | e^{ca^*b^*} \Omega \right) &= \sum_{n=0}^{\infty} \frac{|c|^{2n} (n!)^2}{(n!)^2} \\ &= (1 - |c|^2)^{-1}. \end{aligned}$$

Using

$$e^{-ca^*b^*} a e^{ca^*b^*} = a - c[a^*b^*, a] = a + cb^*,$$

we obtain (6.100).  $\square$

**Remark 6.7** *Clearly,*

$$e^{ca^*b^*} = \exp\left(\frac{c}{4}(a^* + b^*)^2 - \frac{c}{4}(a^* - b^*)^2\right).$$

*Hence a single mode gauge-invariant squeezed vector can be also understood as a 2-mode squeezed state. However, it is often simple to deal with it directly.*

**Theorem 6.8** *Set*

$$U^t := e^{t(-a^*b^* + ab)}.$$

*Then*

$$U^t a U^{-t} = a \cosh t + b^* \sinh t, \quad (6.101)$$

$$U^t a^* U^{-t} = a^* \cosh t + b \sinh t, \quad (6.102)$$

$$U^t b U^{-t} = b \cosh t + a^* \sinh t, \quad (6.103)$$

$$U^t b^* U^{-t} = b^* \cosh t + a \sinh t, \quad (6.104)$$

$$U^t = \frac{1}{\cosh t} e^{-\tanh t a^* b^*} \Gamma\left(\frac{1}{\cosh t}\right) e^{\tanh t b a}, \quad (6.105)$$

$$\Omega^{-\tanh t} = U^t \Omega. \quad (6.106)$$

**Proof.** We compute

$$\begin{aligned} \frac{d}{dt}U^t &= (-a^*b^* + ba)U^t \\ &= -\frac{1}{\cosh^2 t}a^*b^*U^t + \frac{1}{\cosh^2 t}U^tba - \frac{\sinh t}{\cosh^2 t}(a^*U^ta + b^*U^tb) - \frac{\sinh t}{\cosh t}U^t. \end{aligned}$$

## 7 Bose gas and superfluidity

$n$  identical *bosonic* particles are described by the Hilbert space

$$\mathcal{H}_n := L_s^2((\mathbb{R}^d)^n) = \otimes_s^n L^2(\mathbb{R}^d),$$

the *Schrödinger Hamiltonian*

$$H_n = -\sum_{i=1}^n \Delta_i + \lambda \sum_{1 \leq i < j \leq n} V(x_i - x_j)$$

and the *momentum*  $P_n := -\sum_{i=1}^n i\partial_{x_i}$ . We have  $P_n H_n = H_n P_n$ , which expresses the *translational invariance* of our system.

The *potential*  $V$  is a real function on  $\mathbb{R}^d$  that decays at infinity and satisfies  $V(x) = V(-x)$ .

We enclose these particles in a box of size  $L$  with fixed density  $\rho := \frac{n}{L^d}$  and  $n$  large. Instead of the more physical Dirichlet boundary conditions, to keep translational invariance we impose the *periodic boundary conditions*, replacing the original  $V$  by the *periodized potential*

$$V^L(x) := \sum_{n \in \mathbb{Z}^d} V(x + Ln) = \frac{1}{L^d} \sum_{p \in (2\pi/L)\mathbb{Z}^d} e^{ipx} \hat{V}(p),$$

well defined on the torus  $[-L/2, L/2]^d$ . (Note that above we used the *Poisson summation formula*).

The original Hilbert space is replaced by

$$\mathcal{H}_n^L := L_s^2\left([-L/2, L/2]^d\right)^n = \otimes_s^n (L^2([-L/2, L/2]^d)).$$

We have a new Hamiltonian

$$H_n^L = -\sum_{i=1}^n \Delta_i^L + \lambda \sum_{1 \leq i < j \leq n} V^L(x_i - x_j)$$

and a new momentum  $P_n^L := -\sum_{i=1}^n i\partial_{x_i}^L$ .

Because of the periodic boundary conditions we still have

$$P_n^L H_n^L = H_n^L P_n^L.$$

In the sequel we drop the superscript  $L$ .

We use the second quantized formalism

$$\begin{aligned}\mathcal{H} &= \bigoplus_{n=0}^{\infty} \mathcal{H}_n = \Gamma_s(L^2[0, L]^d) \\ &\simeq \Gamma_s\left(l^2\left(\frac{2\pi}{L}\mathbb{Z}^d\right)\right).\end{aligned}$$

The Hamiltonian and the momentum in second quantized notation are

$$\begin{aligned}H &:= \bigoplus_{n=0}^{\infty} H_n = - \int a_x^* \Delta_x a_x dx + \frac{\lambda}{2} \int \int dx dy a_x^* a_y^* V(x-y) a_y a_x \\ &= \sum_{\mathbf{p}} p^2 a_{\mathbf{p}}^* a_{\mathbf{p}} + \frac{\lambda}{2L^d} \sum_{\mathbf{p}, \mathbf{q}, \mathbf{k}} \hat{V}(\mathbf{k}) a_{\mathbf{p}+\mathbf{k}}^* a_{\mathbf{q}-\mathbf{k}}^* a_{\mathbf{q}} a_{\mathbf{p}}, \\ P &:= \bigoplus_{n=0}^{\infty} P_n = \int a_x^* \frac{1}{i} \partial_x a_x dx \\ &= \sum_{\mathbf{p}} p a_{\mathbf{p}}^* a_{\mathbf{p}}.\end{aligned}$$

## 7.1 Bogoliubov's approximation in the canonical formalism

We assume that the potential is *repulsive*, more precisely,

$$\hat{V} \geq 0, \quad V \geq 0.$$

The Hamiltonian  $H$  commutes with  $N$ . We are interested in its low energy part for large eigenvalues  $n$  of the number of particle operator  $N$ .

We expect that for low energies most particles will be spread evenly over the whole box staying in the *zeroth mode*, so that  $N \simeq N_0 := a_0^* a_0$ . (The Bose statistics does not prohibit to occupy the same state). Following the arguments of N. N. Bogoliubov from 1947, we drop all terms in the Hamiltonian involving more than two creation/annihilation operators of a nonzero mode. We obtain

$$\begin{aligned}H &\approx \frac{\lambda \hat{V}(0)}{2L^d} a_0^* a_0^* a_0 a_0 + \sum_{\mathbf{k} \neq 0} \left( k^2 + a_0^* a_0 \frac{\lambda}{L^d} (\hat{V}(\mathbf{k}) + \hat{V}(0)) \right) a_{\mathbf{k}}^* a_{\mathbf{k}} \\ &\quad + \sum_{\mathbf{k} \neq 0} \frac{\lambda}{2L^d} \hat{V}(\mathbf{k}) \left( a_0^* a_0^* a_{\mathbf{k}} a_{-\mathbf{k}} + a_{\mathbf{k}}^* a_{-\mathbf{k}}^* a_0 a_0 \right) \\ &= \frac{\lambda \hat{V}(0) \rho}{2} (N-1) + H_{\text{Bog}} + R,\end{aligned}$$

where we set

$$\begin{aligned}
\rho &= \frac{N}{L^d}, \\
H_{\text{Bog}} &:= \sum_{\mathbf{k} \neq 0} (\mathbf{k}^2 + \lambda \rho \hat{V}(\mathbf{k})) a_{\mathbf{k}}^* a_{\mathbf{k}} \\
&\quad + \frac{1}{2} \sum_{\mathbf{k} \neq 0} \lambda \rho \hat{V}(\mathbf{k}) (a_{\mathbf{k}}^* a_{-\mathbf{k}}^* + a_{\mathbf{k}} a_{-\mathbf{k}}), \\
R &= -\frac{\lambda \hat{V}(0)}{2L^d} (N - N_0)(N - N_0 - 1) \\
&\quad + \sum_{\mathbf{k} \neq 0} \frac{\lambda}{2L^d} \hat{V}(\mathbf{k}) \left( (a_0^* a_0^* - N) a_{\mathbf{k}} a_{-\mathbf{k}} + a_{\mathbf{k}}^* a_{-\mathbf{k}}^* (a_0 a_0 - N) \right).
\end{aligned}$$

We used

$$\begin{aligned}
a_0^* a_0^* a_0 a_0 &= N_0(N_0 - 1) \\
&= N(N - 1) - 2N_0(N - N_0) - (N - N_0)(N - N_0 - 1).
\end{aligned}$$

We argue that  $R$  is small because

$$a_0^* a_0^* \approx a_0 a_0 \approx N_0 \approx N.$$

A *Bogoliubov transformation*, is a linear transformation of creation/annihilation operators preserving the commutation relations. If we demand in addition that it should commute with translations, it should have the form

$$\tilde{a}_{\mathbf{p}} := c_{\mathbf{p}} a_{\mathbf{p}} + s_{\mathbf{p}} a_{-\mathbf{p}}^*, \quad (7.107)$$

$$\tilde{a}_{\mathbf{p}}^* := c_{\mathbf{p}} a_{\mathbf{p}}^* + s_{\mathbf{p}} a_{-\mathbf{p}}, \quad \mathbf{p} \neq 0, \quad (7.108)$$

where

$$c_{\mathbf{p}}^2 - s_{\mathbf{p}}^2 = 1, \quad \mathbf{p} \neq 0.$$

We are looking for a Bogoliubov transformation that diagonalizes the quadratic Hamiltonian  $H_{\text{Bog}}$ :

$$\begin{aligned}
H_{\text{Bog}} &= E_{\text{Bog}} + \sum_{\mathbf{p} \neq 0} \omega(\mathbf{p}) \tilde{a}_{\mathbf{p}}^* \tilde{a}_{\mathbf{p}}, \\
P_{\text{Bog}} &= \sum_{\mathbf{p} \neq 0} \mathbf{p} \tilde{a}_{\mathbf{p}}^* \tilde{a}_{\mathbf{p}},
\end{aligned}$$

This is realized by  $c_{\mathbf{p}} = \cosh \beta_{\mathbf{p}}$ ,  $s_{\mathbf{p}} = \sinh \beta_{\mathbf{p}}$ , where

$$\tanh(\beta_{\mathbf{p}}) := \frac{|\mathbf{p}|^2 + \lambda \rho \hat{V}(\mathbf{p}) - |\mathbf{p}| \sqrt{|\mathbf{p}|^2 + 2\lambda \rho \hat{V}(\mathbf{p})}}{\lambda \rho \hat{V}(\mathbf{p})},$$

with the the *Bogoliubov dispersion relation*

$$\omega(\mathbf{p}) = |\mathbf{p}| \sqrt{|\mathbf{p}|^2 + 2\lambda\rho\hat{V}(\mathbf{p})}$$

and the *Bogoliubov energy*

$$E_{\text{Bog}} := -\frac{1}{2} \sum_{\mathbf{p} \neq 0} \left( |\mathbf{p}|^2 + \lambda\rho\hat{V}(\mathbf{p}) - |\mathbf{p}| \sqrt{|\mathbf{p}|^2 + 2\lambda\rho\hat{V}(\mathbf{p})} \right).$$

The Bogoliubov dispersion relation depends on  $\lambda$  and  $\rho$  only through  $\lambda\rho = \frac{\lambda n}{L^d}$ .

The Bogoliubov Hamiltonian depends on  $L$  only through the choice of the lattice spacing  $\frac{2\pi}{L}$ .

We expect that the low energy part of the excitation spectra of  $H_n$  and  $H_{\text{Bog}}$  are close to one another for large  $n$ , hoping that then  $n - n_0$  is small. We expect some kind of uniformity wrt  $L$ .

Note that formally we can even take the limit  $L \rightarrow \infty$  obtaining

$$\begin{aligned} H_{\text{Bog}} - E_{\text{Bog}} &= (2\pi)^{-d} \int \omega(\mathbf{p}) \tilde{a}_{\mathbf{p}}^* \tilde{a}_{\mathbf{p}} d\mathbf{p}, \\ P &= (2\pi)^{-d} \int \mathbf{p} \tilde{a}_{\mathbf{p}}^* \tilde{a}_{\mathbf{p}} d\mathbf{p}. \end{aligned}$$

(For finite  $L$ ) set

$$U = \exp \left( \sum_{\mathbf{p} \neq 0} \frac{\beta_{\mathbf{p}}}{2} (-a_{\mathbf{p}}^* a_{-\mathbf{p}}^* + a_{\mathbf{p}} a_{-\mathbf{p}}) \right).$$

Then  $U$  is unitary and

$$\begin{aligned} \tilde{a}_{\mathbf{p}} &= U a_{\mathbf{p}} U^*, \\ \tilde{a}_{\mathbf{p}}^* &= U a_{\mathbf{p}}^* U^*, \\ H_{\text{Bog}} &= E_{\text{Bog}} + U \sum_{\mathbf{p} \neq 0} \omega(\mathbf{p}) a_{\mathbf{p}}^* a_{\mathbf{p}} U^*, \\ P &= U \sum_{\mathbf{p} \neq 0} \mathbf{p} a_{\mathbf{p}}^* a_{\mathbf{p}} U^*. \end{aligned}$$

The ground state of the Bogoliubov Hamiltonian is a squeezed state in the non-zero mode sector:

$$\frac{a_0^{*n}}{\sqrt{n!}} U \Omega.$$

## 7.2 Bogoliubov's approximation in the grand-canonical approach

For a *chemical potential*  $\mu > 0$ , we define the *grand-canonical Hamiltonian*

$$\begin{aligned} H_\mu := H - \mu N &= \sum_{\mathbf{p}} (\mathbf{p}^2 - \mu) a_{\mathbf{p}}^* a_{\mathbf{p}} \\ &+ \frac{\lambda}{2L^d} \sum_{\mathbf{p}, \mathbf{q}, \mathbf{k}} \hat{V}(\mathbf{k}) a_{\mathbf{p}+\mathbf{k}}^* a_{\mathbf{q}-\mathbf{k}}^* a_{\mathbf{q}} a_{\mathbf{p}}. \end{aligned}$$

We will mostly set  $\lambda = 1$ .

If  $E_\mu$  is the ground state energy of  $H_\mu$ , then it is realized in the sector  $n$  satisfying

$$\partial_\mu E_\mu = -n.$$

In what follows we drop the subscript  $\mu$ .

For  $\alpha \in \mathbb{C}$ , we define the *displacement* or *Weyl operator* of the zeroth mode:  $W_\alpha := e^{-\alpha a_0^* + \bar{\alpha} a_0}$ . Let  $\Omega_\alpha := W_\alpha \Omega$  be the corresponding *coherent vector*. Note that  $P\Omega_\alpha = 0$ . The *expectation of the Hamiltonian* in  $\Omega_\alpha$  is

$$(\Omega_\alpha | H \Omega_\alpha) = -\mu |\alpha|^2 + \frac{\hat{V}(0)}{2L^d} |\alpha|^4.$$

It is minimized for  $\alpha = e^{i\tau} \frac{\sqrt{L^d \mu}}{\sqrt{\hat{V}(0)}}$ , where  $\tau$  is an *arbitrary phase*.

We apply the *Bogoliubov translation to the zero mode* of  $H$  by  $W(\alpha)$ . This means making the substitution

$$\begin{aligned} a_0 &= \tilde{a}_0 + \alpha, & a_0^* &= \tilde{a}_0^* + \bar{\alpha}, \\ a_{\mathbf{k}} &= \tilde{a}_{\mathbf{k}}, & a_{\mathbf{k}}^* &= \tilde{a}_{\mathbf{k}}^*, & \mathbf{k} &\neq 0. \end{aligned}$$

Note that

$$\tilde{a}_{\mathbf{k}} = W_\alpha^* a_{\mathbf{k}} W_\alpha, \quad \tilde{a}_{\mathbf{k}}^* = W_\alpha^* a_{\mathbf{k}}^* W_\alpha,$$

and thus the operators with and without tildes satisfy the same commutation relations. We drop the tildes.

Here is the translated Hamiltonian:

$$\begin{aligned}
H &:= -L^d \frac{\mu^2}{2\hat{V}(0)} \\
&+ \sum_{\mathbf{k}} \left( \frac{1}{2} \mathbf{k}^2 + \hat{V}(\mathbf{k}) \frac{\mu}{\hat{V}(0)} \right) a_{\mathbf{k}}^* a_{\mathbf{k}} \\
&+ \sum_{\mathbf{k}} \hat{V}(\mathbf{k}) \frac{\mu}{2\hat{V}(0)} (e^{-i2\tau} a_{\mathbf{k}} a_{-\mathbf{k}} + e^{i2\tau} a_{\mathbf{k}}^* a_{-\mathbf{k}}^*) \\
&+ \sum_{\mathbf{k}, \mathbf{k}'} \frac{\hat{V}(\mathbf{k}) \sqrt{\mu}}{\sqrt{\hat{V}(0)} L^d} (e^{-i\tau} a_{\mathbf{k}+\mathbf{k}'}^* a_{\mathbf{k}} a_{\mathbf{k}'} + e^{i\tau} a_{\mathbf{k}}^* a_{\mathbf{k}'} a_{\mathbf{k}+\mathbf{k}'}) \\
&+ \sum_{\mathbf{k}_1 + \mathbf{k}_2 = \mathbf{k}_3 + \mathbf{k}_4} \frac{\hat{V}(\mathbf{k}_2 - \mathbf{k}_3)}{2L^d} a_{\mathbf{k}_1}^* a_{\mathbf{k}_2}^* a_{\mathbf{k}_3} a_{\mathbf{k}_4}.
\end{aligned}$$

If we (temporarily) replace the potential  $V(\mathbf{x})$  with  $\lambda V(\mathbf{x})$ , where  $\lambda$  is a (small) positive constant, the translated Hamiltonian can be rewritten as

$$H^\lambda = \lambda^{-1} H_{-1} + H_0 + \sqrt{\lambda} H_{\frac{1}{2}} + \lambda H_1.$$

Thus the 3rd and 4th terms are in some sense small, which suggests dropping them. Thus

$$H \approx -L^d \frac{\mu^2}{2\hat{V}(0)} + \mu (e^{i\tau} a_0^* + e^{-i\tau} a_0)^2 + H_{\text{Bog}},$$

where

$$\begin{aligned}
H_{\text{Bog}} &= \sum_{\mathbf{k} \neq 0} \left( \frac{1}{2} \mathbf{k}^2 + \hat{V}(\mathbf{k}) \frac{\mu}{\hat{V}(0)} \right) a_{\mathbf{k}}^* a_{\mathbf{k}} \\
&+ \sum_{\mathbf{k} \neq 0} \hat{V}(\mathbf{k}) \frac{\mu}{2\hat{V}(0)} (e^{-i2\tau} a_{\mathbf{k}} a_{-\mathbf{k}} + e^{i2\tau} a_{\mathbf{k}}^* a_{-\mathbf{k}}^*)
\end{aligned}$$

Then we proceed as before obtaining the *Bogoliubov dispersion relation*

$$\omega(\mathbf{p}) = |\mathbf{p}| \sqrt{|\mathbf{p}|^2 + 2\mu \frac{\hat{V}(\mathbf{p})}{\hat{V}(0)}}.$$

and the *Bogoliubov energy*

$$E_{\text{Bog}} := -\frac{1}{2} \sum_{\mathbf{p} \neq 0} \left( |\mathbf{p}|^2 + \mu \frac{\hat{V}(\mathbf{p})}{\hat{V}(0)} - |\mathbf{p}| \sqrt{|\mathbf{p}|^2 + 2\mu \frac{\hat{V}(\mathbf{p})}{\hat{V}(0)}} \right)$$

Thus, as compared with the canonical approach, we have  $\mu$  in place of  $\lambda\rho$ .

Note that the grand-canonical Hamiltonian  $H_\mu$  is invariant wrt the  $U(1)$  symmetry  $e^{i\tau N}$ . The parameter  $\alpha$  has an arbitrary phase. Thus we *broke the symmetry* when translating the Hamiltonian.

The *zero mode* is not a harmonic oscillator – it has continuous spectrum and it can be interpreted as a kind of a *Goldstone mode*.

### 7.3 Landau's argument for superfluidity

A translation invariant system such as homogeneous Bose gas is described by a family of commuting self-adjoint operators  $(H, P)$ , where  $P = (P_1, \dots, P_d)$  is the momentum. If the translation invariance is on  $\mathbb{R}^d$ , then the momentum spectrum is  $\mathbb{R}^d$ . If it is in a box with periodic boundary conditions then  $e^{iP_i L} = \mathbb{1}$ , therefore the momentum spectrum is  $\frac{2\pi}{L}\mathbb{Z}^d$ .

We can define its *energy-momentum spectrum*  $\text{sp}(H, P)$ .

$$\text{sp}(H, P) \subset \begin{cases} \mathbb{R} \times \mathbb{R}^d, & L = \infty, \\ \mathbb{R} \times \frac{2\pi}{L}\mathbb{Z}^d, & L < \infty. \end{cases}$$

By general arguments the momentum of the ground state of a Bose gas is zero. Let  $E$  denote the *ground state energy* of  $H$ . We define the critical velocity by

$$c_{\text{cr}} := \sup\{c : H \geq E + c|P|\}.$$

Suppose that our  $n$ -body system is described with  $(H, P)$  with critical velocity  $c_{\text{cr}}$ . We add to  $H$  a perturbation  $u$  travelling at a speed  $w$ :

$$i\frac{d}{dt}\Psi_t = \left(H + \lambda \sum_{i=1}^n u(x_i - wt)\right)\Psi_t.$$

We go to the moving frame:

$$\Psi_t^w(x_1, \dots, x_n) := \Psi_t(x_1 - wt, \dots, x_n - wt).$$

We obtain a Schrödinger equation with a time-independent Hamiltonian

$$i\frac{d}{dt}\Psi_t^w = \left(H - wP + \lambda \sum_{i=1}^n u(x_i)\right)\Psi_t^w.$$

Let  $\Psi_{\text{gr}}$  be the *ground state* of  $H$ . Is it *stable against a travelling perturbation*? We need to consider the *tilted Hamiltonian*  $H - wP$ .

If  $|w| < c_{\text{cr}}$ , then  $H - wP \geq E$  and  $\Psi_{\text{gr}}$  is still a ground state of  $H - wP$ . So  $\Psi_{\text{gr}}$  is stable.

If  $|w| > c_{\text{cr}}$ , then  $H - wP$  is unbounded from below. So  $\Psi_{\text{gr}}$  is not stable any more.

## 8 Fermionic Gaussian states

### 8.1 1-mode particle-antiparticle vector

Consider  $\Gamma_{\text{a}}(\mathbb{C}^2)$ . The creation/annihilation of first mode are denoted  $a^*, a$ , of the second  $b^*, b$ .

We assume that in our space there is a “charge operator”

$$Q := a^*a - b^*b,$$

and we are interested mostly in states with  $Q = 0$ .



**Theorem 8.1** *Let  $c \in \mathbb{C}$ . Then*

$$\Omega^c := (1 + |c|^2)^{-\frac{1}{2}} e^{ca^*b^*} \Omega = (1 + |c|^2)^{-\frac{1}{2}} (\Omega + ca^*b^*\Omega)$$

*is a normalized vector satisfying*

$$\begin{aligned} (a - cb^*)\Omega^c &= 0, \\ (b + ca^*)\Omega^c &= 0. \end{aligned}$$

**Theorem 8.2** *Set*

$$U^t := e^{t(-a^*b^* + ba)}.$$

*Then*

$$U^t a U^{-t} = a \cos t + b^* \sin t, \quad (8.109)$$

$$U^t a^* U^{-t} = a^* \cos t + b \sin t, \quad (8.110)$$

$$U^t b U^{-t} = b \cos t - a^* \sin t, \quad (8.111)$$

$$U^t b^* U^{-t} = b^* \cos t - a \sin t, \quad (8.112)$$

$$U^t = \cos t e^{-\tan t a^* b^*} \Gamma\left(\frac{1}{\cos t}\right) e^{\tan t b a}, \quad (8.113)$$

$$\Omega^{-\tan t} = U^t \Omega. \quad (8.114)$$

**Proof.** First we derive (8.109)-(8.112). Then we compute

$$\begin{aligned} \frac{d}{dt} U^t &= (-a^*b^* + ba)U^t \\ &= -\frac{1}{\cos^2 t} a^* b^* U^t + \frac{1}{\cos^2 t} U^t b a + \frac{\sin t}{\cos^2 t} (a^* U^t a + b^* U^t b) - \frac{\sin t}{\cos t} U^t. \end{aligned}$$

□

## 8.2 Fermionic oscillator

Let

$$H = (a^* + a)(b^* + b).$$

**Theorem 8.3** *We have  $H^2 = -\mathbb{1}$ ,  $H^* = -H$*

$$\begin{aligned} e^{tH} &= \cos t \mathbb{1} + \sin t H, \\ e^{tH} (a^* + a) e^{-tH} &= \cos 2t (a^* + a) - \sin 2t (b^* + b), \\ e^{tH} (b^* + b) e^{-tH} &= \cos 2t (b^* + b) + \sin 2t (a^* + a), \\ e^{tH} (a^* - a) e^{-tH} &= a^* - a, \\ e^{tH} (b^* - b) e^{-tH} &= b^* - b, \\ \Omega^{\tan t} &= e^{tH} \Omega. \end{aligned}$$

In particular,

$$\begin{aligned} e^{\pm \frac{\pi}{2} H} &= \pm H, \\ Ha^* H^{-1} &= -a, & HaH^{-1} &= -a^*, \\ Hb^* H^{-1} &= -b, & HbH^{-1} &= -b^*. \end{aligned}$$

## 9 Fermi gas and superconductivity

### 9.1 Fermi gas

We consider fermions with spin  $\frac{1}{2}$  described by the Hilbert space

$$\mathcal{H}_n := \otimes_a^n (L^2(\mathbb{R}^d, \mathbb{C}^2)).$$

We use the chemical potential from the beginning and we do not to assume the locality of interaction, so that the Hamiltonian is

$$H_n = - \sum_{i=1}^n (\Delta_i - \mu) + \lambda \sum_{1 \leq i < j \leq n} v_{ij}.$$

The interaction will be given by a 2-body operator on  $\otimes^2 (L^2(\mathbb{R}^d, \mathbb{C}^2))$  given by

$$(v\Phi)_{i_1, i_2}(x_1, x_2) = \int \int v(x_1, x_2, x_3, x_4) \Phi_{i_1, i_2}(x_3, x_4) dx_3 dx_4.$$

We will assume that  $v$  is invariant wrt the exchange of particles, Hermitian, real and translation invariant:

$$\begin{aligned} v(x_1, x_2, x_3, x_4) &= v(x_2, x_1, x_4, x_3) \\ &= \overline{v(x_1, x_2, x_3, x_4)} \\ &= \overline{v(x_4, x_3, x_2, x_1)} \\ &= v(x_1 + y, x_2 + y, x_3 + y, x_4 + y). \end{aligned}$$

By the invariance wrt the exchange of particles  $v$  preserves  $\otimes_a^2 (L^2(\mathbb{R}^d, \mathbb{C}^2))$ . By translation invariance,  $v$  can be written as

$$\begin{aligned} v(x_1, x_2, x_3, x_4) &= (2\pi)^{-4d} \int e^{ik_1 x_1 + ik_2 x_2 - ik_3 x_3 - ik_4 x_4} q(k_1, k_2, k_3, k_4) \\ &\quad \times \delta(k_1 + k_2 - k_3 - k_4) dk_1 dk_2 dk_3 dk_4, \end{aligned}$$

where  $q$  is a function defined on the subspace  $k_1 + k_2 = k_3 + k_4$ . An example of such interaction is a local 2-body potential  $V(x)$  such that  $V(x) = V(-x)$ , which corresponds to

$$\begin{aligned} v(x_1, x_2, x_3, x_4) &= V(x_1 - x_2) \delta(x_1 - x_4) \delta(x_2 - x_3), \\ q(k_1, k_2, k_3, k_4) &= \int dp \hat{V}(p) \delta(k_1 - k_4 - p) \delta(k_2 - k_3 + p). \end{aligned}$$

Similarly, as before, we periodize the interaction

$$\begin{aligned}
& v^L(x_1, x_2, x_3, x_4) \\
&= \sum_{n_1, n_2, n_3 \in \mathbb{Z}^d} v(x_1 + n_1 L, x_2 + n_2 L, x_3 + n_3 L, x_4) \\
&= \frac{1}{L^{3d}} \sum_{k_1 + k_2 = k_3 + k_4} e^{ik_1 \cdot x_1 + ik_2 \cdot x_2 - ik_3 \cdot x_3 - ik_4 \cdot x_4} q(k_1, k_2, k_3, k_4),
\end{aligned}$$

where  $k_i \in \frac{2\pi}{L} \mathbb{Z}^d$ . The Hamiltonian

$$H^{L,n} = \sum_{1 \leq i \leq n} (-\Delta_i^L - \mu) + \sum_{1 \leq i < j \leq n} v_{ij}^L$$

acts on  $\mathcal{H}^{n,L} := \otimes_a^n (L^2([-L/2, L/2]^d, \mathbb{C}^2))$ . We drop the superscript  $L$ .

We will denote the spins by  $i = \uparrow, \downarrow$ . It is convenient to put all the  $n$ -particle spaces into a single Fock space

$$\bigoplus_{n=0}^{\infty} \mathcal{H}^n = \Gamma_a(L^2([L/2, L/2]^d, \mathbb{C}^2))$$

and rewrite the Hamiltonian and momentum in the language of 2nd quantization:

$$\begin{aligned}
H &:= \bigoplus_{n=0}^{\infty} H^n = \sum_i \int a_{x,i}^* (\Delta_x - \mu) a_{x,i_2} dx \\
&\quad + \frac{1}{2} \sum_{i_1, i_2} \int \int a_{x_1, i_1}^* a_{x_2, i_2}^* v(x_1, x_2, x_3, x_4) a_{x_3, i_2} a_{x_4, i_1} dx_1 dx_2 dx_3 dx_4, \\
P &:= \bigoplus_{n=0}^{\infty} P^n = - \sum_i i \int a_{x,i}^* \nabla_x a_{x,i} dx.
\end{aligned}$$

In the momentum representation,

$$\begin{aligned}
H &= \sum_i \sum_k (k^2 - \mu) a_{k,i}^* a_{k,i} \\
&\quad + \frac{1}{2L^d} \sum_{i_1, i_2} \sum_{k_1 + k_2 = k_3 + k_4} q(k_1, k_2, k_3, k_4) a_{k_1, i_1}^* a_{k_2, i_2}^* a_{k_3, i_2} a_{k_4, i_1}, \\
P &= \sum_i \sum_k k a_{k,i}^* a_{k,i}.
\end{aligned}$$

We also have the generators of the spin  $su(2)$ .

$$S_x = \frac{1}{2} \sum_k (a_{k\uparrow}^* a_{k\downarrow} + a_{k\downarrow}^* a_{k\uparrow}), \quad (9.115)$$

$$S_y = \frac{i}{2} \sum_k (a_{k\uparrow}^* a_{k\downarrow} - a_{k\downarrow}^* a_{k\uparrow}), \quad (9.116)$$

$$S_z = \frac{1}{2} \sum_k (a_{k\uparrow}^* a_{k\uparrow} - a_{k\downarrow}^* a_{k\downarrow}). \quad (9.117)$$

The Hamiltonian is invariant with respect to the spin  $su(2)$ .

## 10 Hartree-Fock-Bogoliubov approximation with BCS ansatz

We try to compute the excitation spectrum of the Fermi gas by approximate methods. We look for a minimum of the energy among Gaussian states. We assume that a minimizer is invariant wrt translations and the spin  $su(2)$ . We use the Hartree-Fock-Bogoliubov approximation with the Bardeen-Cooper-Schrieffer ansatz.

For a sequence  $\frac{2\pi}{L}\mathbb{Z}^d \ni \mathbf{k} \mapsto \theta_{\mathbf{k}}$  such that  $\theta_{\mathbf{k}} = \theta_{-\mathbf{k}}$ , set

$$U_{\theta} := \prod_{\mathbf{k}} e^{\frac{1}{2}\theta_{\mathbf{k}}(-a_{\mathbf{k}\uparrow}^* a_{-\mathbf{k}\downarrow}^* + a_{-\mathbf{k}\downarrow} a_{\mathbf{k}\uparrow} - a_{-\mathbf{k}\uparrow}^* a_{\mathbf{k}\downarrow}^* + a_{\mathbf{k}\downarrow} a_{-\mathbf{k}\uparrow})}.$$

(Note the double counting for  $\mathbf{k} \neq 0$ ). We are looking for a minimizer of the form  $U_{\theta}\Omega$ .

Note that  $U_{\theta}$  commutes with  $P$  and the spin  $su(2)$ . Therefore,  $U_{\theta}\Omega$  is translation and  $su(2)$  invariant.

We want to compute

$$(U_{\theta}\Omega|HU_{\theta}\Omega) = (\Omega|U_{\theta}^*HU_{\theta}\Omega).$$

To do this we can use the fact that  $U_{\theta}$  implements Bogoliubov rotations:

$$\begin{aligned} U_{\theta}^* a_{\mathbf{k}\uparrow}^* U_{\theta} &= \cos \theta_{\mathbf{k}} a_{\mathbf{k}\uparrow}^* + \sin \theta_{\mathbf{k}} a_{-\mathbf{k}\downarrow}, \\ U_{\theta}^* a_{\mathbf{k}\uparrow} U_{\theta} &= \cos \theta_{\mathbf{k}} a_{\mathbf{k}\uparrow} + \sin \theta_{\mathbf{k}} a_{-\mathbf{k}\downarrow}^*, \\ U_{\theta}^* a_{\mathbf{k}\downarrow}^* U_{\theta} &= \cos \theta_{\mathbf{k}} a_{\mathbf{k}\downarrow}^* - \sin \theta_{\mathbf{k}} a_{-\mathbf{k}\uparrow}, \\ U_{\theta}^* a_{\mathbf{k}\downarrow} U_{\theta} &= \cos \theta_{\mathbf{k}} a_{\mathbf{k}\downarrow} - \sin \theta_{\mathbf{k}} a_{-\mathbf{k}\uparrow}^*, \end{aligned}$$

After inserting this into  $U_{\theta}^*HU_{\theta}$  we can Wick order the obtained expression.

In practice, this is usually presented differently. One makes the substitution

$$\begin{aligned} a_{\mathbf{k}\uparrow} &= \cos \theta_{\mathbf{k}} b_{\mathbf{k}\uparrow}^* + \sin \theta_{\mathbf{k}} b_{-\mathbf{k}\downarrow}, \\ a_{\mathbf{k}\uparrow}^* &= \cos \theta_{\mathbf{k}} b_{\mathbf{k}\uparrow} + \sin \theta_{\mathbf{k}} b_{-\mathbf{k}\downarrow}^*, \\ a_{\mathbf{k}\downarrow}^* &= \cos \theta_{\mathbf{k}} b_{\mathbf{k}\downarrow}^* - \sin \theta_{\mathbf{k}} b_{-\mathbf{k}\uparrow}, \\ a_{\mathbf{k}\downarrow} &= \cos \theta_{\mathbf{k}} b_{\mathbf{k}\downarrow} - \sin \theta_{\mathbf{k}} b_{-\mathbf{k}\uparrow}^*, \end{aligned}$$

in the Hamiltonian. Note that

$$\begin{aligned} U_{\theta} a_{\mathbf{k}\uparrow}^* U_{\theta}^* &= b_{\mathbf{k}\uparrow}^*, \\ U_{\theta} a_{\mathbf{k}\uparrow} U_{\theta}^* &= b_{\mathbf{k}\uparrow}, \\ U_{\theta} a_{\mathbf{k}\downarrow}^* U_{\theta}^* &= b_{\mathbf{k}\downarrow}^*, \\ U_{\theta} a_{\mathbf{k}\downarrow} U_{\theta}^* &= b_{\mathbf{k}\downarrow}. \end{aligned}$$

Then one Wick orders wrt the operators  $B^*, b$ . Our Hamiltonian becomes

$$\begin{aligned} H &= B + \sum_{\mathbf{k}} D(\mathbf{k})(b_{\mathbf{k}\uparrow}^* b_{\mathbf{k}\uparrow} + b_{\mathbf{k}\downarrow}^* b_{\mathbf{k}\downarrow}) \\ &+ \frac{1}{2} \sum_{\mathbf{k}} O(\mathbf{k})(b_{\mathbf{k}\uparrow}^* b_{-\mathbf{k}\downarrow}^* + b_{-\mathbf{k}\uparrow}^* b_{\mathbf{k}\downarrow}^*) + \frac{1}{2} \sum_{\mathbf{k}} \bar{O}(\mathbf{k})(b_{-\mathbf{k}\downarrow} b_{\mathbf{k}\uparrow} + b_{\mathbf{k}\downarrow} b_{-\mathbf{k}\uparrow}) \\ &+ \text{terms higher order in } b\text{'s.} \end{aligned}$$

Note that

$$(\Omega_\theta | H \Omega_\theta) = B.$$

By the Beliaev Theorem, minimizing  $B$  is equivalent to  $O(\mathbf{k}) = 0$ .

If we choose the Bogoliubov transformation according to the minimization procedure, the Hamiltonian equals

$$H = B + \sum_{\mathbf{k}} D(\mathbf{k})(b_{\mathbf{k}\uparrow}^* b_{\mathbf{k}\uparrow} + b_{\mathbf{k}\downarrow}^* b_{\mathbf{k}\downarrow}) + \text{terms higher order in } b\text{'s}$$

with

$$\begin{aligned} B &= \sum_{\mathbf{k}} (\mathbf{k}^2 - \mu)(1 - \cos 2\theta_{\mathbf{k}}) \\ &+ \frac{1}{4L^d} \sum_{\mathbf{k}, \mathbf{k}'} \alpha(\mathbf{k}, \mathbf{k}') \sin 2\theta_{\mathbf{k}} \sin 2\theta_{\mathbf{k}'} \\ &+ \frac{1}{4L^d} \sum_{\mathbf{k}, \mathbf{k}'} \beta(\mathbf{k}, \mathbf{k}') (1 - \cos 2\theta_{\mathbf{k}})(1 - \cos 2\theta_{\mathbf{k}'}). \end{aligned}$$

Here,

$$\begin{aligned} \alpha(\mathbf{k}, \mathbf{k}') &:= \frac{1}{2} (q(\mathbf{k}, -\mathbf{k}, -\mathbf{k}', \mathbf{k}') + q(-\mathbf{k}, \mathbf{k}, -\mathbf{k}', \mathbf{k}')), \\ \beta(\mathbf{k}, \mathbf{k}') &= 2q(\mathbf{k}, \mathbf{k}', \mathbf{k}', \mathbf{k}) - q(\mathbf{k}', \mathbf{k}, \mathbf{k}', \mathbf{k}). \end{aligned}$$

In particular, in the case of local potentials we have

$$\begin{aligned} \alpha(\mathbf{k}, \mathbf{k}') &:= \frac{1}{2} (\hat{V}(\mathbf{k} - \mathbf{k}') + \hat{V}(\mathbf{k} + \mathbf{k}')), \\ \beta(\mathbf{k}, \mathbf{k}') &= 2\hat{V}(0) - \hat{V}(\mathbf{k} - \mathbf{k}'). \end{aligned}$$

The condition  $\partial_{\theta_{\mathbf{k}}} B = 0$ , or equivalently  $O(\mathbf{k}) = 0$ , has many solutions. We can have

$$\sin 2\theta_{\mathbf{k}} = 0, \quad \cos 2\theta_{\mathbf{k}} = \pm 1,$$

They correspond to *Slater determinants* and have a fixed number of particles. The solution of this kind minimizing  $B$ , is called the *normal* or *Hartree-Fock solution*.

Under some conditions the global minimum of  $B$  is reached by a non-normal configuration satisfying

$$\sin 2\theta_{\mathbf{k}} = -\frac{\delta(\mathbf{k})}{\sqrt{\delta^2(\mathbf{k}) + \xi^2(\mathbf{k})}}, \quad \cos 2\theta_{\mathbf{k}} = \frac{\xi(\mathbf{k})}{\sqrt{\delta^2(\mathbf{k}) + \xi^2(\mathbf{k})}},$$

where

$$\begin{aligned} \delta(\mathbf{k}) &= \frac{1}{2L^d} \sum_{\mathbf{k}'} \alpha(\mathbf{k}, \mathbf{k}') \sin 2\theta_{\mathbf{k}'}, \\ \xi(\mathbf{k}) &= k^2 - \mu + \frac{1}{2L^d} \sum_{\mathbf{k}'} \beta(\mathbf{k}, \mathbf{k}') (1 - \cos 2\theta_{\mathbf{k}'}), \end{aligned}$$

and at least some of  $\sin 2\theta_{\mathbf{k}}$  are different from 0. It is sometimes called a *superconducting solution*.

For a superconducting solution we get

$$D(\mathbf{k}) = \sqrt{\xi^2(\mathbf{k}) + \delta^2(\mathbf{k})}.$$

Thus we obtain a positive dispersion relation. One can expect that it is strictly positive, since otherwise the two functions  $\delta$  and  $\xi$  would have a coinciding zero, which seems unlikely. Thus we expect that the dispersion relation  $D(\mathbf{k})$  has a *positive energy gap*.

Conditions guaranteeing that a superconducting solution minimizes the energy should involve some kind of negative definiteness of the quadratic form  $\alpha$  – this is what we vaguely indicated by saying that the interaction is *attractive*. Indeed, multiply the definition of  $\delta(\mathbf{k})$  with  $\sin 2\theta_{\mathbf{k}}$  and sum it up over  $\mathbf{k}$ . We then obtain

$$\begin{aligned} & \sum_{\mathbf{k}} \sin^2 2\theta_{\mathbf{k}} \sqrt{\delta^2(\mathbf{k}) + \xi^2(\mathbf{k})} \\ &= -\frac{1}{2L^d} \sum_{\mathbf{k}, \mathbf{k}'} \sin 2\theta_{\mathbf{k}} \alpha(\mathbf{k}, \mathbf{k}') \sin 2\theta_{\mathbf{k}'}. \end{aligned}$$

The left hand side is positive. This means that the quadratic form given by the kernel  $\alpha(\mathbf{k}, \mathbf{k}')$  has to be negative at least at the vector given by  $\sin 2\theta_{\mathbf{k}}$ .