

Title: Interacting surface states of topological insulators and superfluids

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Abstract: <p>The standard theory of topological insulators and superfluids (or superconductors) assumes that the fermionic elementary excitations in these systems – electrons in the insulator and Bogoliubov quasiparticles in the superfluid – do not interact with one another. In this talk I will discuss extensions of this theory to include the effects of interparticle interactions on the topological surface states of 3D topological insulators and superfluids. First, I will argue that bulk quantum fluctuations of the superfluid order parameter in the only 3D topological superfluid known to date, $^3\text{He-B}$, can generate an effective two-body interaction between the surface Majorana fermions.</p>

<p>Possible consequences of this interaction will be discussed. Second, I will propose an extension of the phenomenological Landau theory of Fermi liquids to the surface states of 3D topological insulators, leading to the concept of helical Fermi liquid.</p>

Interacting surface states of topological insulators and superfluids

Joseph Maciejko
University of Alberta

Condensed Matter Seminar @ Perimeter Institute
April 28, 2015



“Free fermion” topological phases

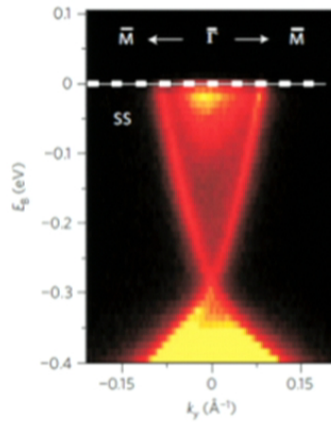
- Classification of free fermion topological phases is well understood (Kitaev, Schnyder, Ryu, Furusaki, Ludwig, ...)
- Bulk: gapped, characterized by topological invariant (Z or Z_2) that corresponds (sometimes) to quantized physical observable
- Surface: gapless, protected by symmetry, cannot be realized by symmetry-preserving lattice model in same number of dimensions

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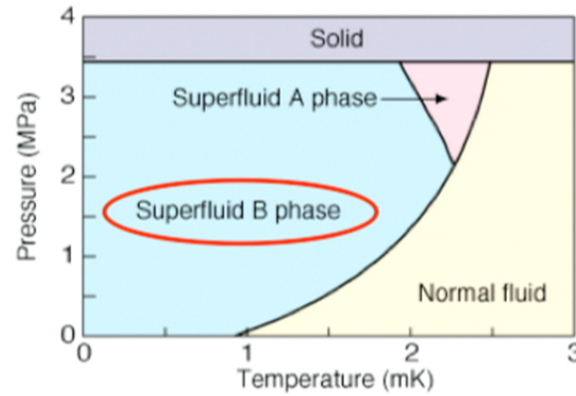
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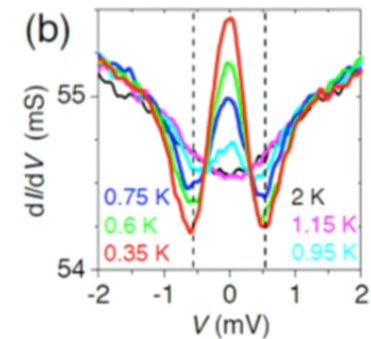
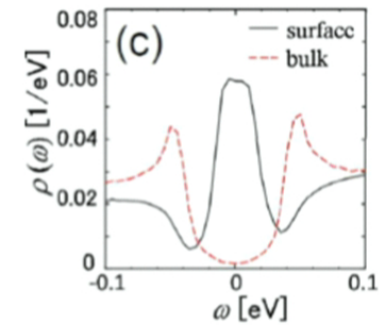
- 3D topological phases discovered experimentally via detection of 2D surface states



Bi_2Se_3 (Xia et al., Nat. Phys. 2009)



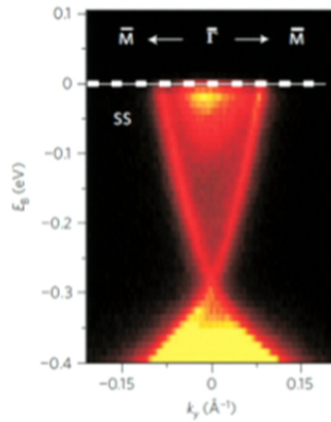
$^3\text{He-B?}$
(Murakawa et al., JPSJ 2011)



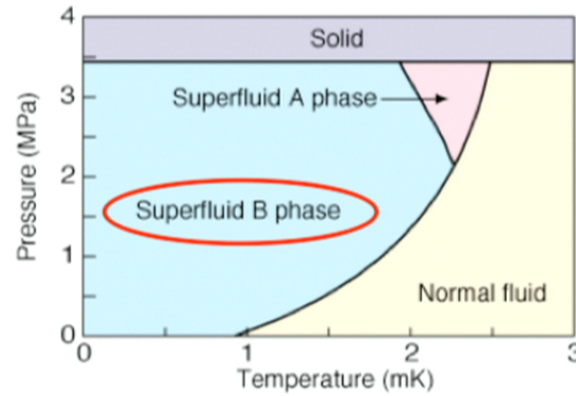
$\text{Cu}_x\text{Bi}_2\text{Se}_3?$
(Sasaki et al., PRL 2011)

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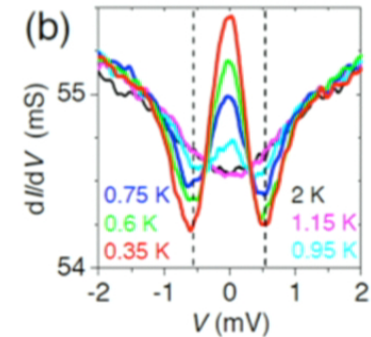
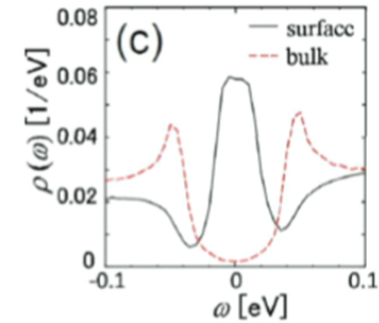
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Outline

- Interacting 3D topological superfluids: Surface Majorana fermions and bulk collective modes in $^3\text{He-B}$
 - Y. J. Park, S. B. Chung, and JM, Phys. Rev. B 91, 054507 (2015)
- Interacting 3D topological insulators: A Landau theory of helical Fermi liquids
 - R. Lundgren and JM, on arXiv soon

Theory of topological SF/SC

- Theory of topological superfluids/superconductors was developed by analogy with topological insulators (Volovik, Read, Green, Roy, Schnyder, Ryu, Furusaki, Ludwig, Kitaev, Qi, Hughes, Raghu, Zhang, ...)

Topological Insulator (TI)

electrons

Bloch Hamiltonian

band gap



Topological Superfluid/ Superconductor (TSF/TSC)

Bogoliubov QPs

BdG Hamiltonian

pairing gap

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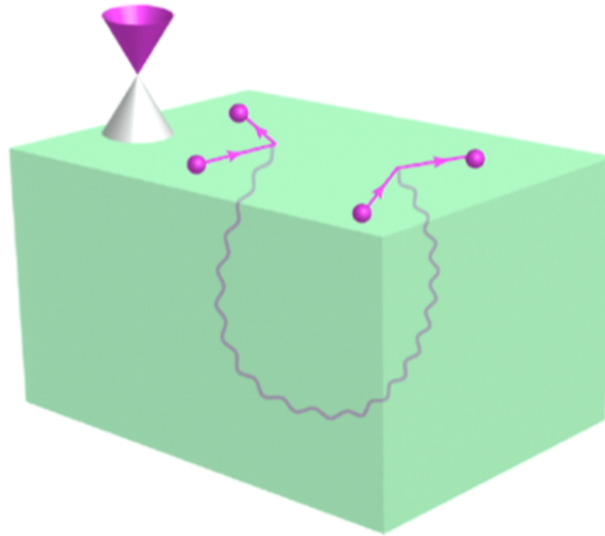
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Theory of TSF/TSC: beyond BdG?

- But TI and TSF/TSC are fundamentally different: pairing comes from interactions!
- SF/SC pairing gap comes from a **dynamical order parameter**, while insulating band gap is **static**
- BdG formalism = mean-field theory, ignores order parameter fluctuations (thermal and quantum)
- Bogoliubov QPs are “free fermions” in the BdG description
- How do OP fluctuations affect the physics of TSF/TSC?

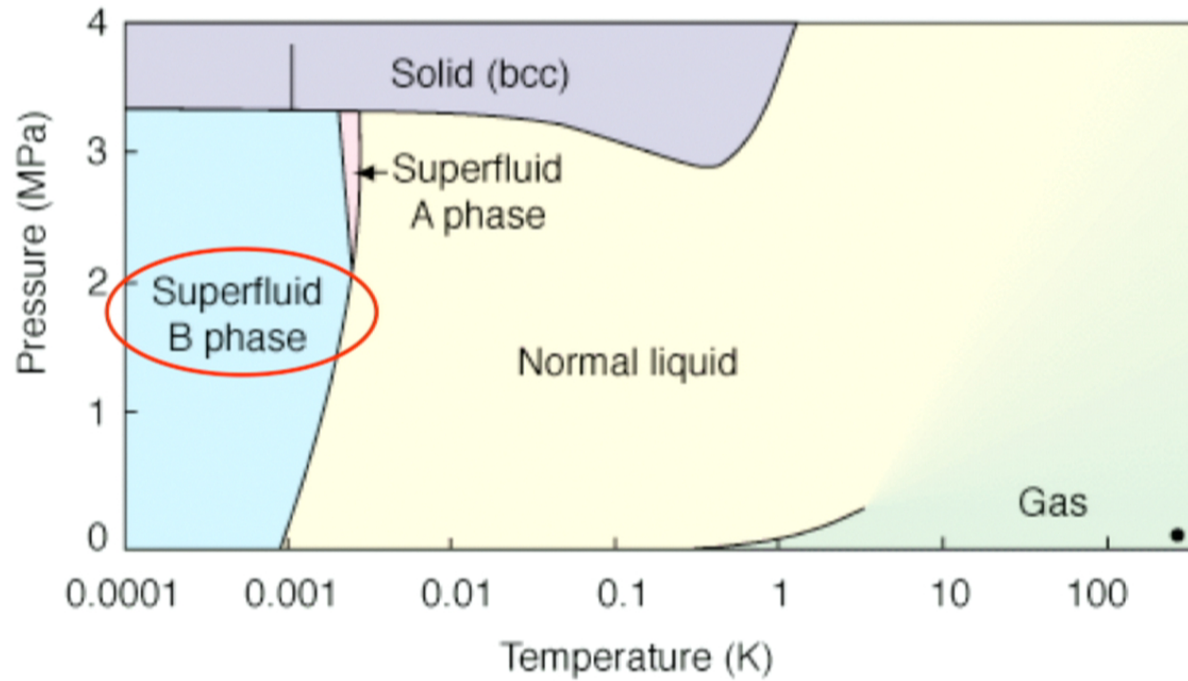
Theory of TSF/TSC: beyond BdG?

- Main message: bulk OP fluctuations can induce **interactions** among boundary Majorana fermions



- Focus on quantum ($T=0$) OP fluctuations in $^3\text{He-B}$ (class DIII TSF with $\nu=1$)

^3He phase diagram



(credit: Aalto University)

Balian-Werthamer state

- Bogoliubov QPs in $^3\text{He-B}$ are described by the Balian-Werthamer state = spin-triplet p-wave pairing (Balian & Werthamer 1963; Vdovin 1963)

$$H = \sum_{\mathbf{k}, \sigma} (\epsilon_{\mathbf{k}} - \mu) c_{\mathbf{k}\sigma}^\dagger c_{\mathbf{k}\sigma} + \frac{1}{2} \sum_{\mathbf{k}, \sigma, \sigma'} (\Delta_{\sigma\sigma'}(\mathbf{k}) c_{\mathbf{k}\sigma}^\dagger c_{-\mathbf{k}\sigma'}^\dagger + \text{H.c.})$$

$$\Delta(\mathbf{k}) = \frac{\Delta_0}{k_F} e^{i\phi} \sigma^\mu i\sigma^y R_{\mu j}^{(0)} k_j$$

- Order parameter: amplitude Δ_0 and Josephson phase ϕ , but also **3x3 matrix R of relative spin-orbit rotations**

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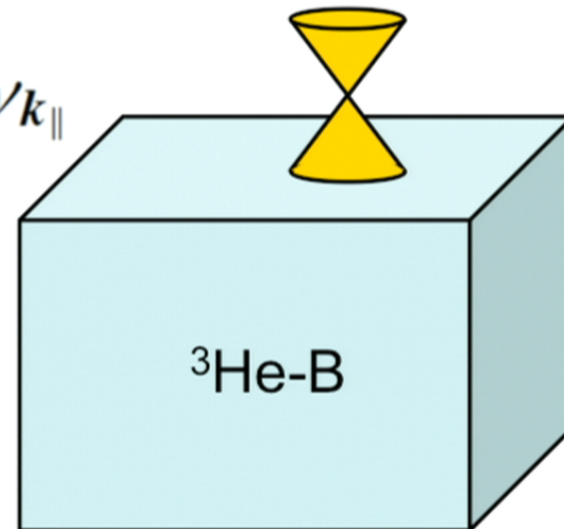
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Surface Majorana fermions

- Surface Andreev bound states = solution of BdG Hamiltonian in semi-infinite geometry, with **uniform, constant** background OP Δ_0, ϕ, R
- Gives free Majorana fermions on the surface, linearly dispersing inside bulk gap (Nagato, Higashitani, Nagai 2009; Chung & Zhang, 2009)

$$H_0 = \frac{\Delta_0}{2k_F} \sum_{k_{\parallel}} \gamma_{-k_{\parallel}}^T (\mathbf{k}_{\parallel} \cdot \boldsymbol{\sigma}) \gamma_{k_{\parallel}}$$

$$E(k_{\parallel}) = \Delta_0 \frac{|k_{\parallel}|}{k_F}$$

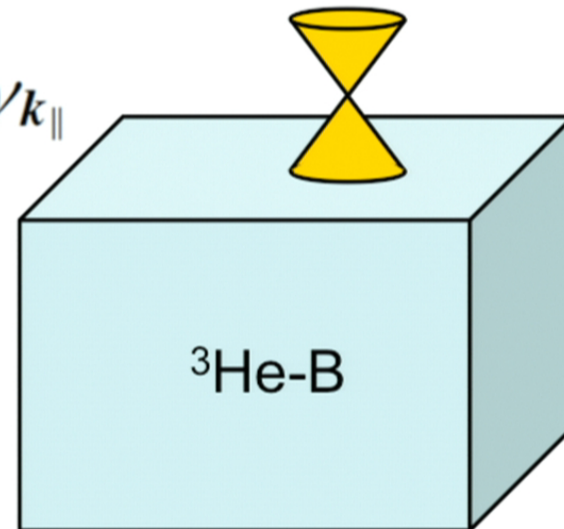


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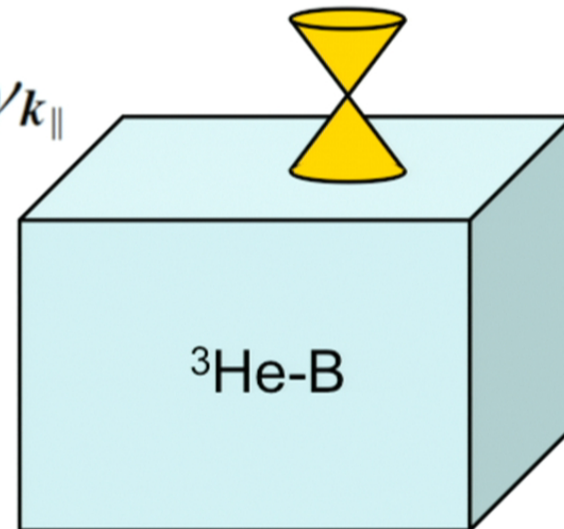


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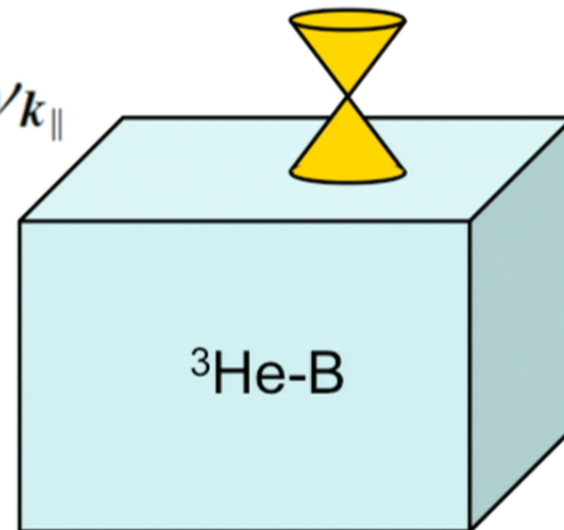


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Collective modes

- But OP Δ_0 , ϕ , R = dynamical variables, with quantum and thermal fluctuations
- Focus on $T=0$ limit: only quantum OP fluctuations
- Amplitude modes have a gap \sim bulk QP gap, ignore in low-energy limit
- Four gapless bosonic Goldstone modes:
 - 1 phase mode: fluctuations of ϕ
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Fermion-boson coupling

- Replace static OP in BdG Hamiltonian by **position/time-dependent OP (Goldstone) fields**

$$\Delta(\mathbf{k}; \mathbf{R}) \simeq \frac{\Delta_0}{k_F} (1 + i\varphi(\mathbf{R})) \sigma^\mu i\sigma^y R_{\mu j}(\mathbf{R}) k_j$$

$$R_{\mu j}(\mathbf{R}) \simeq (\delta_{\mu\nu} + i\theta_\alpha(\mathbf{R}) S_{\mu\nu}^{(\alpha)}) \delta_{\nu j}$$

$$H_{\text{coupling}} = \frac{1}{2V} \sum_{\mathbf{k}, \mathbf{Q}} c_{\mathbf{k}+\mathbf{Q}/2, \sigma}^\dagger c_{-\mathbf{k}+\mathbf{Q}/2, \sigma'}^\dagger \Delta_{\sigma\sigma'}(\mathbf{k}; \mathbf{Q}) + \text{H.c.}$$

relative momentum
center-of-mass momentum

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relative momentum
center-of-mass momentum

Surface-bulk coupling

- In a semi-infinite geometry, this implies a coupling between **surface Majorana fermions** and **bulk Goldstone modes**
- Of the phase mode ϕ and the spin-orbit modes $\theta_x, \theta_y, \theta_z$, only θ_x couples to the Majorana fermions

$$H_{\text{coupling}} = \frac{\Delta_0}{V} \sum_{\mathcal{Q}} \theta_x(-\mathcal{Q}) \rho(\mathcal{Q})$$

$$\rho(\mathcal{Q}_{\parallel}) = \frac{1}{2k_F} \sum_{k_{\parallel}} \gamma_{-k_{\parallel} + \mathcal{Q}_{\parallel}/2}^T [\hat{x} \cdot (k_{\parallel} \times \sigma)] \gamma_{k_{\parallel} + \mathcal{Q}_{\parallel}/2}$$

- ϕ does not couple because Majorana fermions are neutral
- Only one component of SO modes couples because spin of Majorana fermions is “Ising” (Nagato, Higashitani, Nagai 2009; Chung & Zhang 2009)

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Effective surface theory

- Derive an effective surface theory by integrating out bulk SO mode θ_x

$$\int \mathcal{D}\theta_x e^{-S_B[\theta_x, \rho]} \propto e^{-S_I[\rho]}$$

- θ_x is not truly gapless because of dipole-dipole interaction: quadratic energy cost for θ_x deviating from preferred value $\theta_L =$ Leggett angle (Leggett 1973; Brinkman & Smith 1974)

$$\mathcal{L}_{\text{dipole}} = \frac{1}{2} g_D \theta_x^2$$

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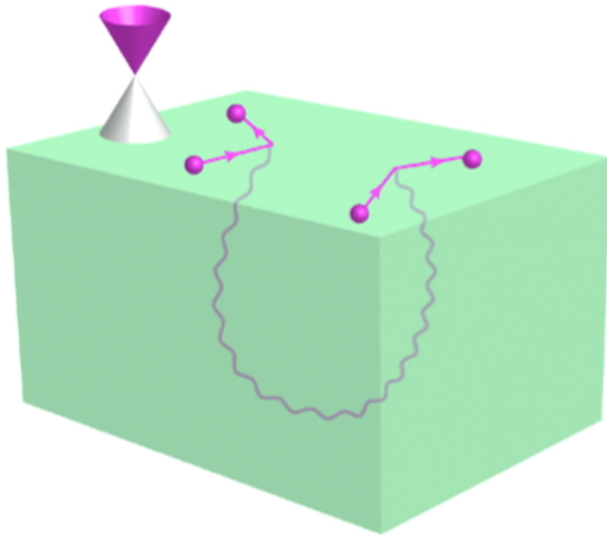
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Effective surface interaction

- Integrating out θ_x yields effective surface interaction = interaction between Majorana fermions mediated by exchange of bulk (quasi-)Goldstone bosons

$$H = \frac{v}{2} \sum_k \gamma_{-k}^T (\mathbf{k} \cdot \boldsymbol{\sigma}) \gamma_k - \frac{g_0}{2} \sum_{\mathbf{Q}} \rho(-\mathbf{Q}) \rho(\mathbf{Q})$$



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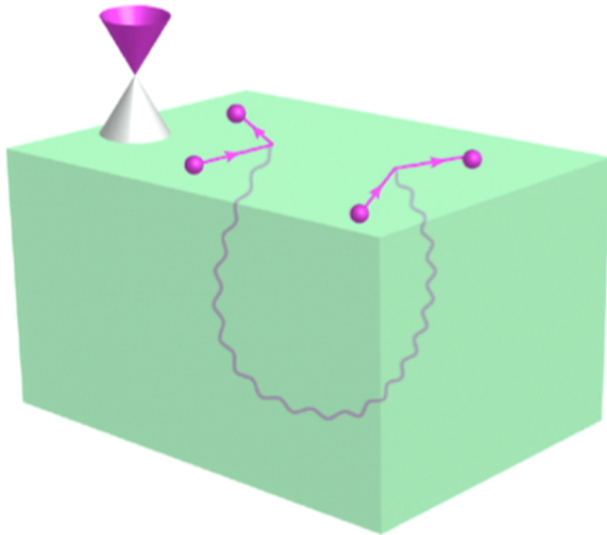
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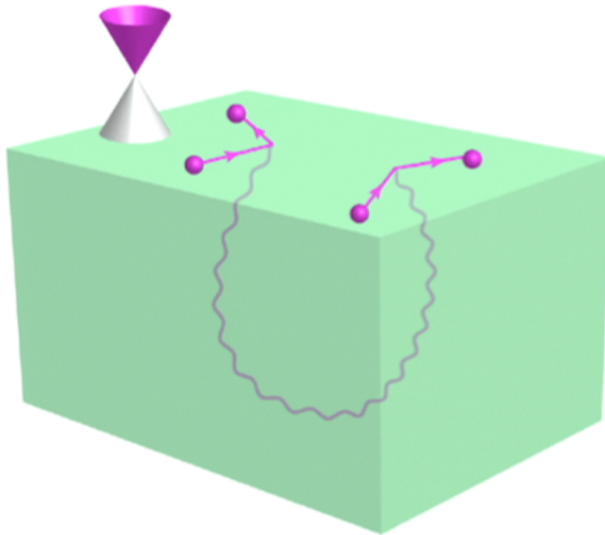


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Possible broken symmetries

- Interaction is perturbatively irrelevant at the free Majorana fermion fixed point, but here coupling constant is finite
- Investigate possible broken symmetry states
- To linear order in \mathbf{k} , only allowed uniform order parameters are a T-breaking Ising OP (massive Majorana fermions) and a T-invariant nematic OP (gapless but anisotropic Majorana cone)

$$\mathcal{M} = \frac{1}{2} \sum_{\mathbf{k}} \gamma_{-\mathbf{k}}^T \sigma^y \gamma_{\mathbf{k}}$$
$$\mathcal{Q}_{ab} = \frac{1}{2k_F} \sum_{\mathbf{k}} \gamma_{-\mathbf{k}}^T (k_a \sigma^b + k_b \sigma^a - \delta_{ab} \mathbf{k} \cdot \boldsymbol{\sigma}) \gamma_{\mathbf{k}}$$

- Investigate those in mean-field theory

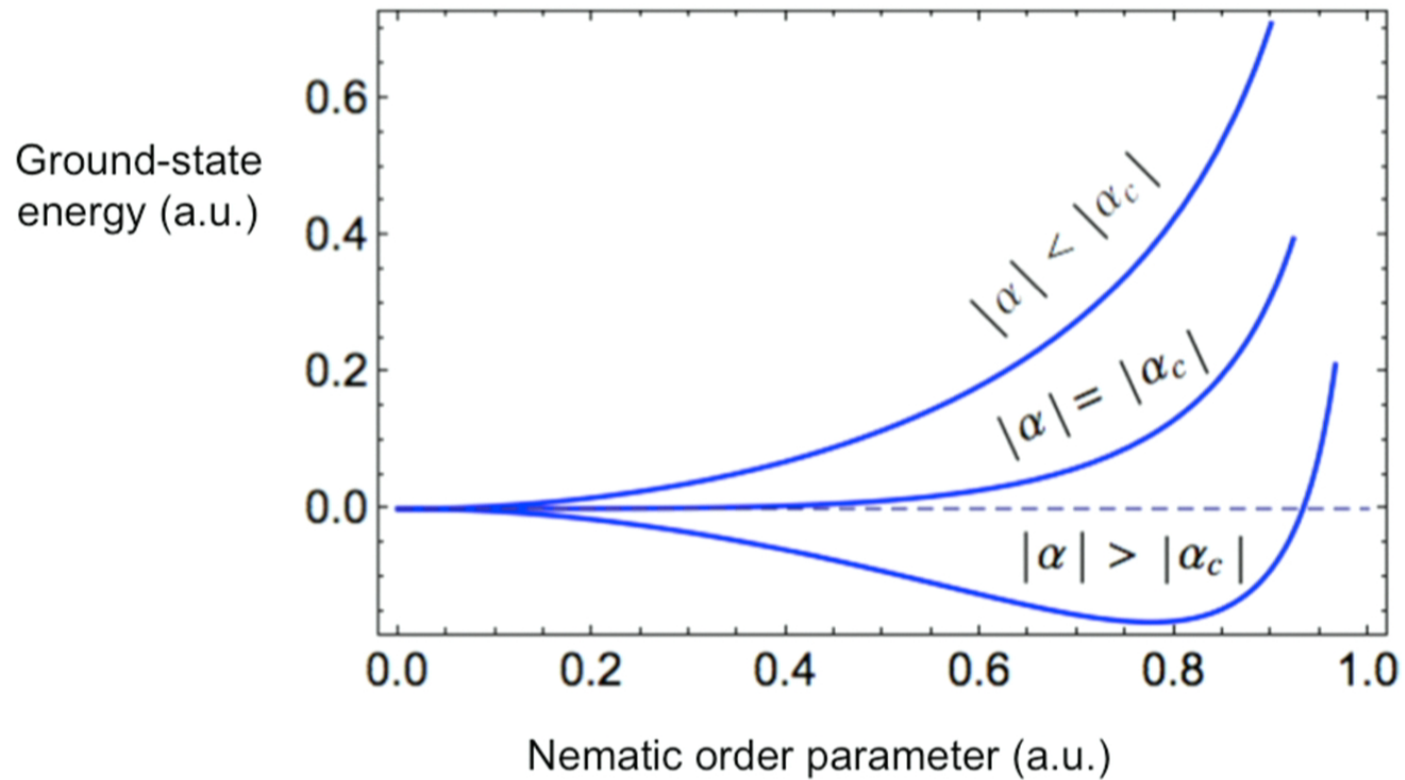
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- To linear order in \mathbf{k} , only allowed uniform order parameters are a T-breaking Ising OP (massive Majorana fermions) and a T-invariant nematic OP (gapless but anisotropic Majorana cone)

$$\mathcal{M} = \frac{1}{2} \sum_{\mathbf{k}} \gamma_{-\mathbf{k}}^T \sigma^y \gamma_{\mathbf{k}}$$
$$\mathcal{Q}_{ab} = \frac{1}{2k_F} \sum_{\mathbf{k}} \gamma_{-\mathbf{k}}^T (k_a \sigma^b + k_b \sigma^a - \delta_{ab} \mathbf{k} \cdot \boldsymbol{\sigma}) \gamma_{\mathbf{k}}$$

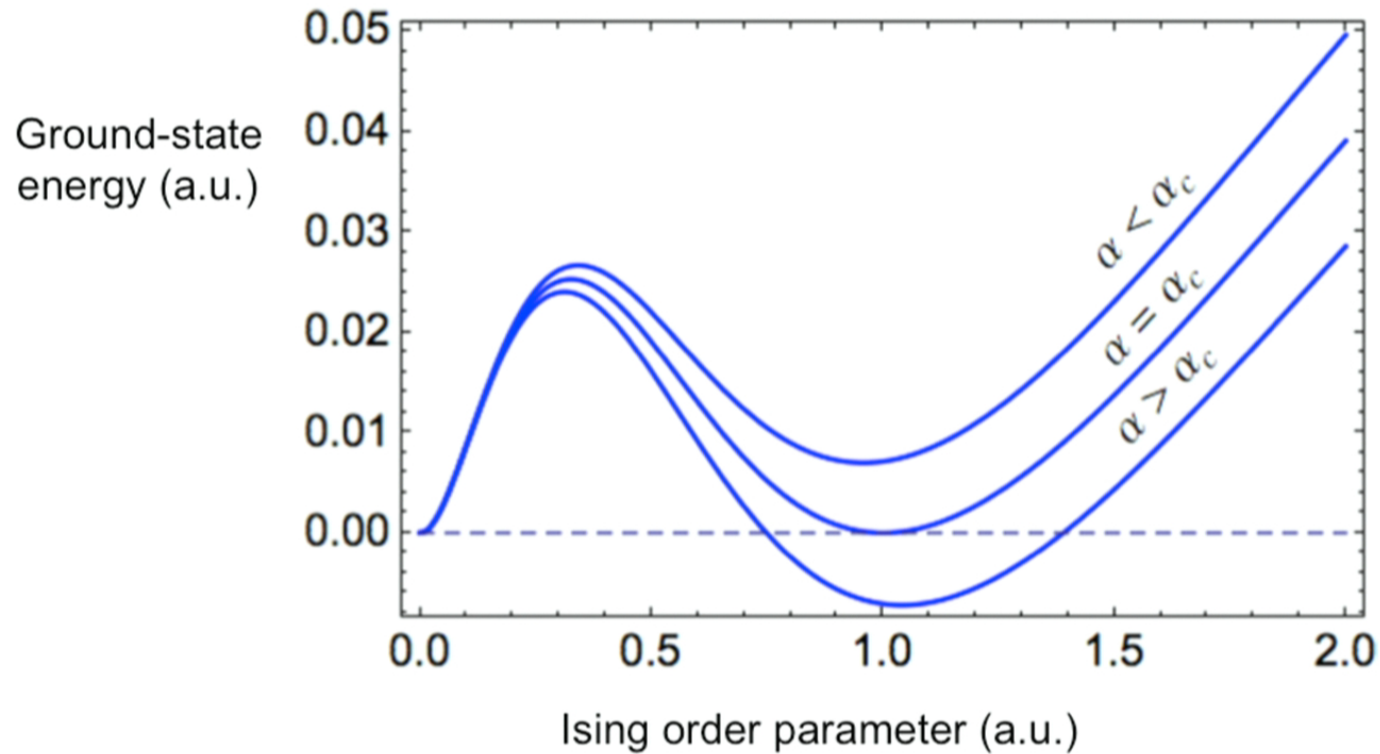
- Investigate those in mean-field theory

Nematic order



- Continuous nematic transition is possible for negative couplings, but here coupling is positive

Ising order



- First-order transition to T-breaking phase with gapped Majorana fermions is possible in principle

Summary

- Quantum fluctuations of the superfluid OP in $^3\text{He-B}$ can induce effective interactions among surface Majorana fermions
- First-order transition to T-breaking phase of gapped Majorana fermions is possible in this model
- Since evidence suggests gapless Majorana fermions in $^3\text{He-B}$, may be in a regime with **metastable** T-breaking surface phase
- More exotic possibilities:
 - Fluctuations render T-breaking transition continuous → possibility of $\mathcal{N}=1$ SUSY quantum critical point (Grover, Sheng, Vishwanath 2014)
 - Symmetric strong-coupling phase with surface topological order (Fidkowski, Chen, Vishwanath 2013; Metlitski, Fidkowski, Chen, Vishwanath 2014)

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Outline

- Interacting 3D topological superfluids: Surface Majorana fermions and bulk collective modes in $^3\text{He-B}$
 - Y. J. Park, S. B. Chung, JM, Phys. Rev. B 91, 054507 (2015)
- Interacting 3D topological insulators: A Landau theory of helical Fermi liquids
 - R. Lundgren, JM, on arXiv soon

Landau Fermi liquid theory

- Fermi liquid theory = fundamental paradigm of many-body physics (Landau 1956; Abrikosov & Khalatnikov, 1957)
- Exploits adiabatic continuity between energy levels of noninteracting and interacting systems: concept of **quasiparticle** (QP) with momentum \mathbf{k} and spin σ , and distribution function $n_{\mathbf{k}\sigma}$
- Landau functional: energy of many-body excited state (configuration of QPs) relative to ground state

$$\delta E[\delta n] = \sum_{\mathbf{k}, \sigma} \epsilon_{\mathbf{k}} \delta n_{\mathbf{k}\sigma} + \frac{1}{2V} \sum_{\mathbf{k}, \mathbf{k}', \sigma, \sigma'} f_{\sigma\sigma'}(\mathbf{k}, \mathbf{k}') \delta n_{\mathbf{k}\sigma} \delta n_{\mathbf{k}'\sigma'}$$

$$\delta n_{\mathbf{k}\sigma} = n_{\mathbf{k}\sigma} - n_{\mathbf{k}\sigma}^0$$

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← distribution function in the ground state

Landau Fermi liquid theory

- Renormalization of physical properties due to interactions is expressed in terms of Landau parameters, e.g.:

effective mass $\frac{m^*}{m} = 1 + \frac{1}{3}F_1^s$ Galilean invariance

specific heat
($c_v = \gamma T$) $\frac{\gamma}{\gamma_0} = \frac{m^*}{m}$

compressibility $\frac{\kappa}{\kappa_0} = \frac{m^*}{m} \frac{1}{1 + F_0^s}$

spin susceptibility $\frac{\chi}{\chi_0} = \frac{m^*}{m} \frac{1}{1 + F_0^a}$

A theory of helical Fermi liquids?

- Surface states of actual 3D TI materials are interacting: should be “helical Fermi liquids”
- Can we construct a phenomenological Landau theory for them?
- Expect qualitative differences due to spin-orbit (SO) coupling
- FL theory for non-topological 2D SO coupled 2DEG recently constructed ([Ashrafi, Rashba, Maslov, PRB 2013](#)), but complicated due to presence of two Fermi surfaces
- Here due to topology, helical FL has a single Fermi surface: will look like effectively spinless FL theory!

Landau Fermi liquid theory

- Interactions between QPs near the Fermi surface described by dimensionless **Landau parameters** F_l^s, F_l^a : parameterization of general short-range interactions consistent with symmetries (TRS, spatial SO(d) rotations, spin SU(2) rotations)

$$\delta E[\delta n] = \sum_{\mathbf{k}, \sigma} \epsilon_{\mathbf{k}} \delta n_{\mathbf{k}\sigma} + \frac{1}{2V} \sum_{\mathbf{k}, \mathbf{k}', \sigma, \sigma'} f_{\sigma\sigma'}(\mathbf{k}, \mathbf{k}') \delta n_{\mathbf{k}\sigma} \delta n_{\mathbf{k}'\sigma'}$$

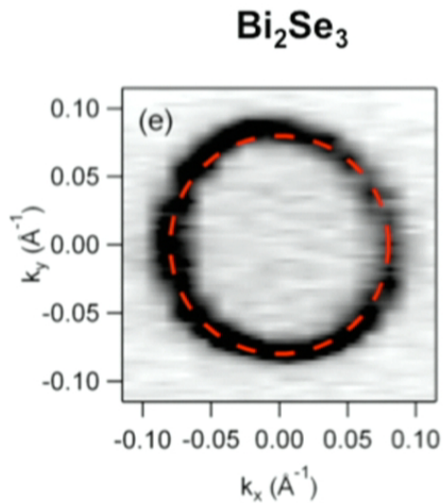
$$f_{\sigma\sigma'}(\mathbf{k}, \mathbf{k}') = f_{\sigma\sigma'}(\mathbf{k}_F, \mathbf{k}'_F) = f^s(\theta) + \sigma\sigma' f^a(\theta)$$

$$f_l^{s,a} = (2l + 1) \int_0^\pi \frac{d\Omega}{4\pi} f^{s,a}(\theta) P_l(\cos \theta)$$

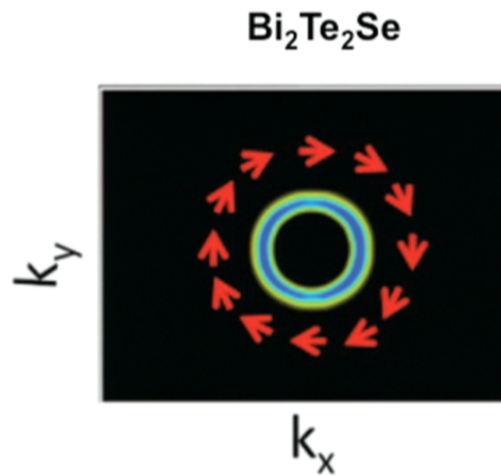
$$F_l^{s,a} = 2N^*(0) f_l^{s,a}$$

Symmetries of the helical FL

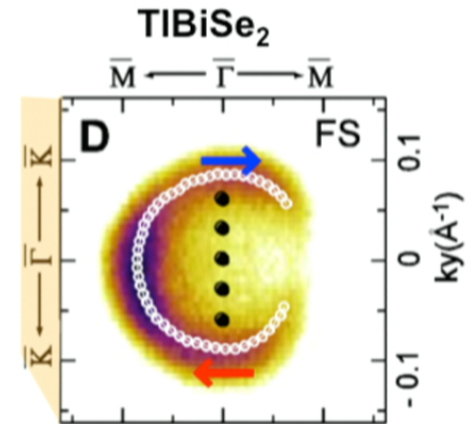
- TRS = protecting symmetry of 3D TI
- Rotation symmetry: will focus on materials with (almost) perfectly circular Fermi surface, e.g.:



Pan et al., PRL 2011



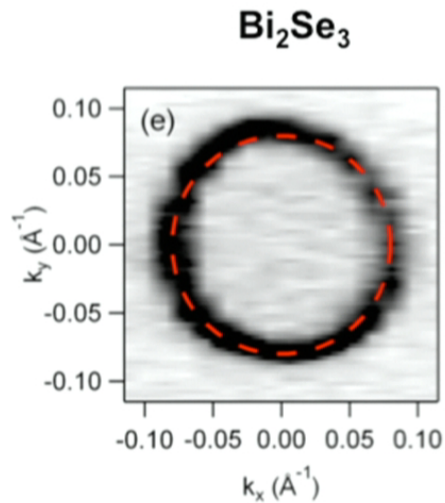
Neupane et al., PRB 2013



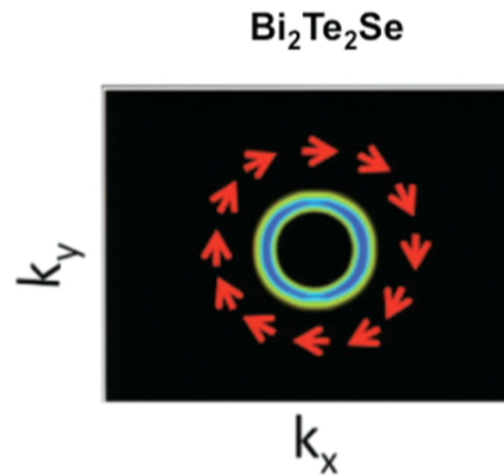
Kuroda et al., arXiv 2013

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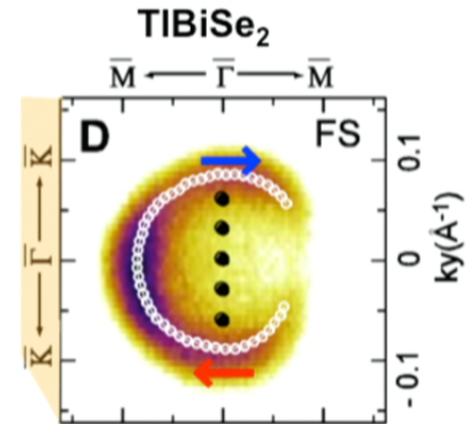
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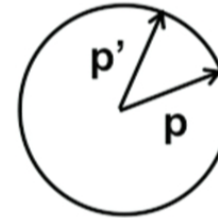
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Landau functional

- Due to SO coupling, QP distribution function is in a general a 2x2 matrix in spin space

$$\delta n_{\mathbf{p}}^{\alpha\beta} \equiv n_{\mathbf{p}}^{\alpha\beta} - n_{\mathbf{p}}^{(0)\alpha\beta}$$

- Can construct Landau functional:



$$\begin{aligned} \delta E[\delta n_{\mathbf{p}}] &= \int \tilde{d}p h_{\alpha\beta}(\mathbf{p}) \delta n_{\mathbf{p}}^{\alpha\beta} \\ &+ \frac{1}{2} \int \tilde{d}p \tilde{d}p' V_{\alpha\beta;\gamma\delta}(\hat{\mathbf{p}}, \hat{\mathbf{p}}') \delta n_{\mathbf{p}}^{\alpha\beta} \delta n_{\mathbf{p}'}^{\gamma\delta} \end{aligned}$$

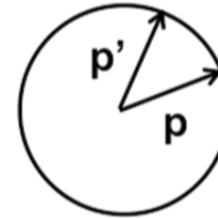
$$h(\mathbf{p}) = v_F \hat{\mathbf{z}} \cdot (\boldsymbol{\sigma} \times \mathbf{p}) \quad \text{Dirac Hamiltonian (spin-momentum locking)}$$

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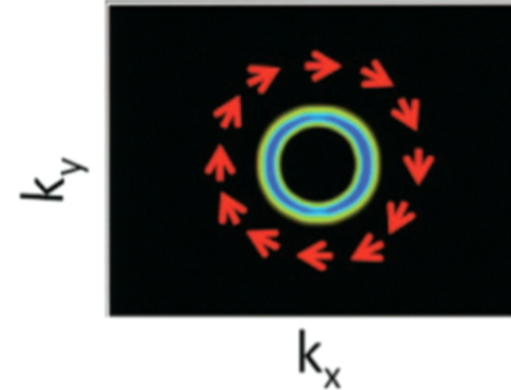
Spin-orbit rotation symmetry

- Rotation symmetry: L_z and S_z are not good quantum numbers, only $J_z=L_z+S_z$ is (spin-momentum locking)

$$h(\mathbf{p}) = v_F \hat{\mathbf{z}} \cdot (\boldsymbol{\sigma} \times \mathbf{p})$$

$$[J_z, h(\mathbf{p})] = 0$$

$$J_z = -i \frac{\partial}{\partial \theta_{\mathbf{p}}} + \frac{1}{2} \sigma^z$$



- Determine most general interaction invariant under J_z rotations and TRS

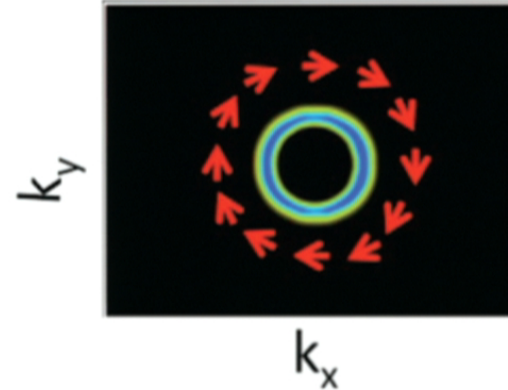
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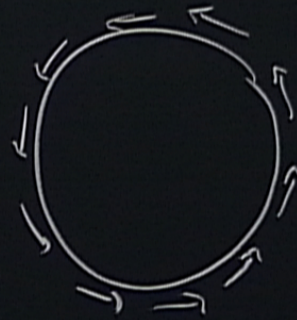


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$$\delta n_P^{\alpha\beta}$$

$$\delta p_P = \delta_{\alpha\beta} \delta n_P^{\alpha\beta}$$

$$\delta \vec{S}_P = \vec{\sigma}_{\alpha\beta} \delta n_P^{\alpha\beta}$$

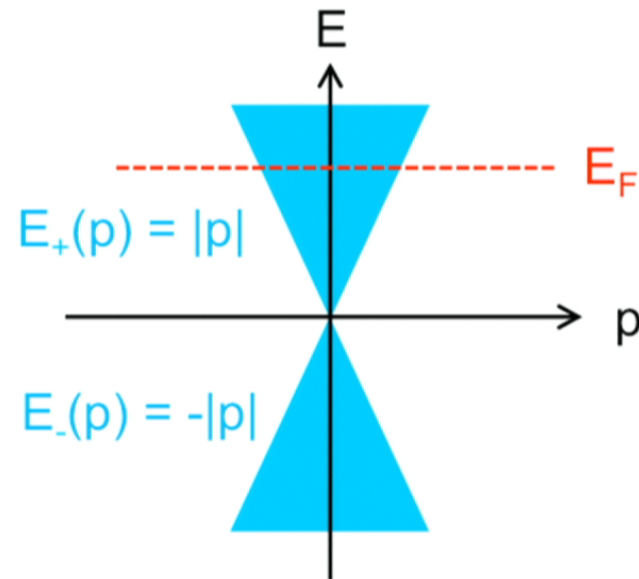


Spin-spin interactions

$$\begin{aligned}
 \delta V_{ss} = & \frac{1}{2} \sum_{l=0}^{\infty} \int \bar{d}p \bar{d}p' \left\{ \cos l\theta_{pp'} \right. && \text{XXZ} \\
 & \times \left(f_l^{ss,1} (\delta S_p^x \delta S_{p'}^x + \delta S_p^y \delta S_{p'}^y) + f_l^{ss,2} \delta S_p^z \delta S_{p'}^z \right) \\
 & + f_l^{ss,3} \sin l\theta_{pp'} \delta \mathbf{S}_p \times \delta \mathbf{S}_{p'} && \text{Dzyaloshinskii-Moriya} \\
 & + \cos l\theta_{pp'} && \text{"compass model"} \\
 & \times \left(f_l^{ss,4} [(\hat{\mathbf{p}} \cdot \delta \mathbf{S}_p) (\hat{\mathbf{p}}' \times \delta \mathbf{S}_{p'}) + (\hat{\mathbf{p}} \times \delta \mathbf{S}_p) (\hat{\mathbf{p}}' \cdot \delta \mathbf{S}_{p'})] \right. \\
 & \left. + f_l^{ss,5} [(\hat{\mathbf{p}} \cdot \delta \mathbf{S}_p) (\hat{\mathbf{p}}' \cdot \delta \mathbf{S}_{p'}) - (\hat{\mathbf{p}} \times \delta \mathbf{S}_p) (\hat{\mathbf{p}}' \times \delta \mathbf{S}_{p'})] \right) \left. \right\}
 \end{aligned}$$

Projected Fermi liquid theory

- FL theory: only keep degrees of freedom near Fermi surface



$$c_{p\uparrow} = \frac{ie^{-i\theta p}}{\sqrt{2}} (\psi_{p+} + \psi_{p-})$$

$$c_{p\downarrow} = \frac{1}{\sqrt{2}} (\psi_{p+} - \psi_{p-})$$

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- Projected Landau parameters related to unprojected (“microscopic”) ones

$$\bar{f}_l = f_l^{cc} - f_l^{sc,3} - \frac{1}{4} f_l^{ss,5} + \frac{1}{8} (f_{l-1}^{ss,1} - f_{l-1}^{ss,3} + f_{l+1}^{ss,1} + f_{l+1}^{ss,3})$$

- Projection to helical FS can effectively raise or lower angular momentum of the interaction (cf. Fu, Kane, PRL 2008), e.g.

$$\bar{f}_1 = f_1^{cc} - f_1^{sc,3} - \frac{1}{4} f_1^{ss,5} + \frac{1}{8} (f_0^{ss,1} - f_0^{ss,3} + f_2^{ss,1} + f_2^{ss,3})$$

Physical properties

- Apply standard FL approach to projected FL theory

$$\frac{v_F^0}{v_F} = 1 + \bar{F}_1 \quad \text{but no Galilean invariance!}$$

$$\frac{\gamma}{\gamma_0} = \left(\frac{v_F^0}{v_F} \right)^2$$

$$\frac{\kappa}{\kappa_0} = \left(\frac{v_F^0}{v_F} \right)^2 \frac{1}{1 + \bar{F}_0}$$

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Pomeranchuk instabilities

- Instabilities towards spontaneous distortions of the Fermi surface (Pomeranchuk, JETP 1958)

$$p_F(\theta) - p_F = \sum_{l=-\infty}^{\infty} A_l e^{il\theta}$$

$$\delta \bar{E} [\delta \bar{n}_p] = \frac{\epsilon_F}{2\pi \hbar^2} \sum_{l=0}^{\infty} (1 + \bar{F}_l) |A_l|^2$$

- Stability of Fermi surface ($\delta E > 0$) requires

$$\bar{F}_l > -1$$

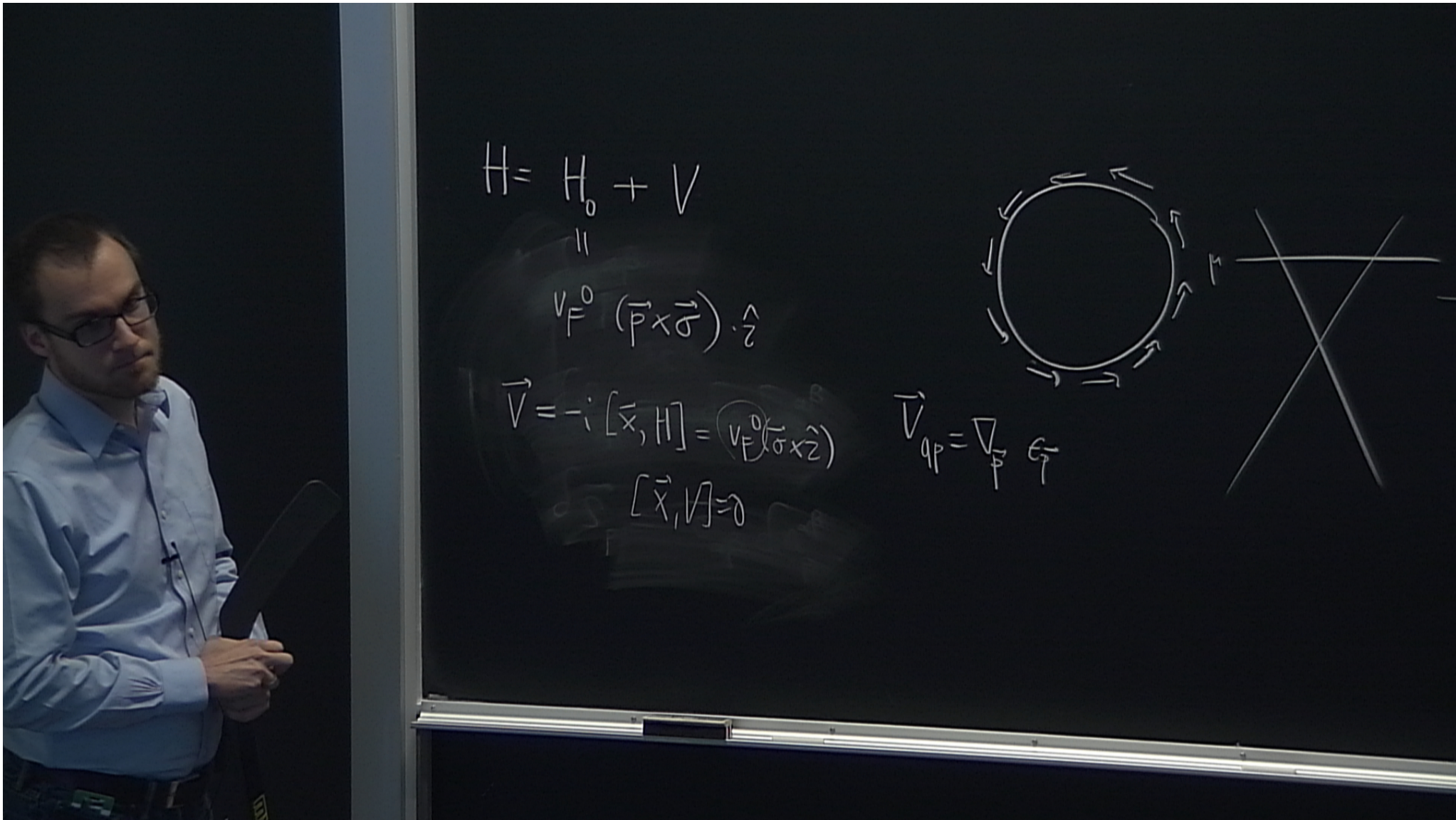
Pomeranchuk instabilities

- $l=0$: phase separation

$$\frac{\kappa}{\kappa_0} = \left(\frac{v_F^0}{v_F} \right)^2 \frac{1}{1 + \bar{F}_0}$$

- $l=1$: in-plane ferromagnetism (Xu, PRB 2010)

$$\chi_{xx} = \frac{1}{8} g^2 \mu_B^2 \rho(\epsilon_F) \frac{1}{1 + \bar{F}_1}$$

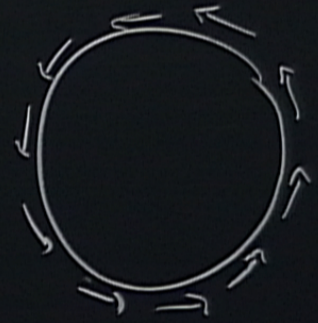


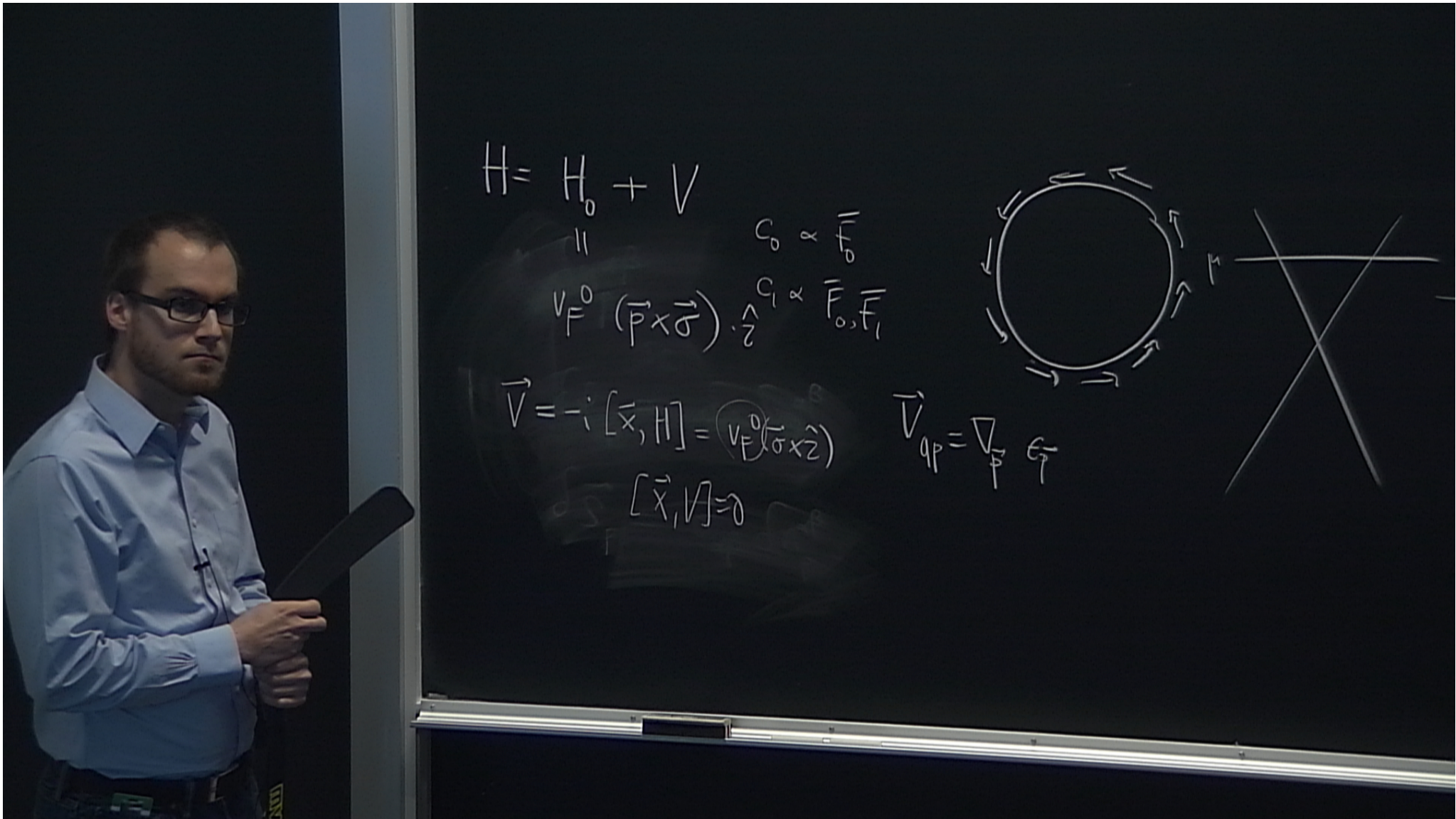
$$H = H_0 + V$$

$$\parallel$$
$$v_F^0 (\vec{p} \times \vec{\sigma}) \cdot \hat{z}$$

$$\vec{V} = -i [\vec{x}, H] = v_F^0 (\vec{\sigma} \times \hat{z})$$
$$[\vec{x}, V] = 0$$

$$\vec{V}_{qp} = \nabla_{\vec{p}} \epsilon_{\vec{p}}$$



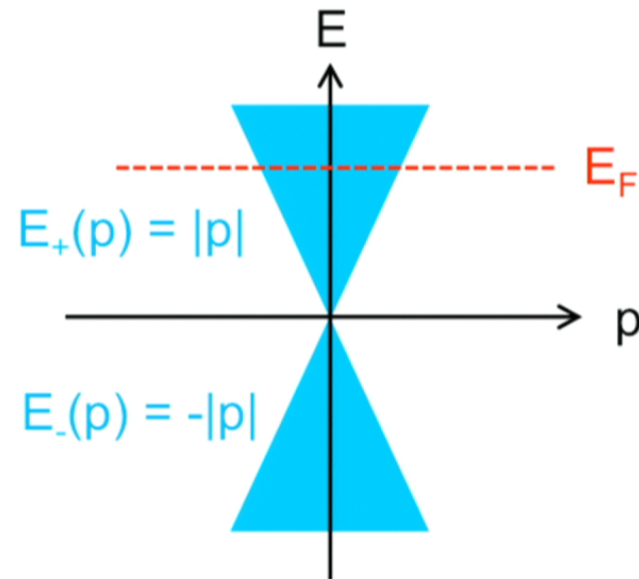


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Projected Fermi liquid theory

- After projection to “+” helicity band, obtain *effectively* spinless theory:

$$\delta\bar{E}[\delta\bar{n}_{\mathbf{p}}] = \int \bar{d}p \epsilon_{\mathbf{p}}^0 \delta\bar{n}_{\mathbf{p}} + \frac{1}{2} \sum_{l=0}^{\infty} \int \bar{d}p \bar{d}p' \bar{f}_l \cos l\theta_{\mathbf{p}\mathbf{p}'} \delta\bar{n}_{\mathbf{p}} \delta\bar{n}_{\mathbf{p}'}$$

$$\epsilon_{\mathbf{p}}^0 = v_F |\mathbf{p}|$$

$$\delta\bar{n}_{\mathbf{p}} = \bar{n}_{\mathbf{p}} - \bar{n}_{\mathbf{p}}^{(0)}$$

$$\bar{n}_{\mathbf{p}} \equiv \langle \psi_{\mathbf{p}+}^{\dagger} \psi_{\mathbf{p}+} \rangle$$

Projected Fermi liquid theory

- Projected Landau parameters related to unprojected (“microscopic”) ones

$$\bar{f}_l = f_l^{cc} - f_l^{sc,3} - \frac{1}{4} f_l^{ss,5} + \frac{1}{8} (f_{l-1}^{ss,1} - f_{l-1}^{ss,3} + f_{l+1}^{ss,1} + f_{l+1}^{ss,3})$$

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