

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

1. Completeness of Anders-Schiller basis

[Anders2005], [Anders2006]

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

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

(proof follows below)

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

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

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

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

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

Projectors:

Projector onto sector X of shell l :

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

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

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

Refinement of K sector of shell l :

$$\begin{aligned} \hat{P}_l^K &= \hat{P}_{l+1}^D + \hat{P}_{l+1}^K \quad \text{K} \quad \text{---} \quad \text{D} \\ &= \hat{P}_{l+1}^D + \hat{P}_{l+2}^D + \hat{P}_{l+2}^K = \dots \end{aligned} \quad (15)$$

Iterate until end of chain:

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

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

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

For $l = l_0$:

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

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

General projector products:

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

Graphical depiction of completeness of AS basis

$$\mathbb{1}_{d^N \times d^N} = \sum_{\sigma_N} \underbrace{\uparrow \otimes \dots \otimes \uparrow}_{\sigma_{imp}} \otimes \underbrace{\uparrow \otimes \dots \otimes \uparrow}_{\sigma_{e_{l_0+1}} \dots \sigma_{e_N}}$$

shorthand

system

environment

$$\equiv \sum_{\sigma_{l_0}} \sum_{e_{l_0}} \underbrace{\text{---} \rightarrow}_{imp \quad l_0} \otimes \underbrace{| \dots |}_{l_{0+1} \quad l_{0+2} \quad \dots \quad N}$$

Transform to basis which diagonalizes sites imp to l_0 , keeping (K) the full spectrum at each step):

$$= \sum_{\alpha} \sum_{e_{l_0}} \underbrace{\text{---} \rightarrow}_{imp \quad l_0} \otimes | \dots |_{l_{0+1} \quad l_{0+2} \quad \dots \quad N}$$

Split into discarded and kept states. In latter sector, move one site from environment into system:

$$= \underbrace{\sum_{\alpha} \sum_{e_{l_0}} \text{---} \rightarrow}_{split} \otimes | \dots |_{l_{0+1} \quad l_{0+2} \quad \dots \quad N} + \underbrace{\sum_{\alpha} \sum_{e_{l_0}} \text{---} \rightarrow}_{larger \ system} \otimes | \dots |_{smaller \ environment}$$

Now diagonalize, split again, and iterate:

$$= \underbrace{\sum_{\beta} \sum_{e_{l_{0+1}}} \text{---} \rightarrow}_{split} \otimes | \dots |_{l_{0+2} \quad \dots \quad N} + \sum_{\beta} \sum_{e_{l_{0+1}}} \text{---} \rightarrow \otimes | \dots |_{l_{0+2} \quad \dots \quad N}$$

Iterate until the entire chain is diagonal, and declare all states of last iteration as 'discarded':

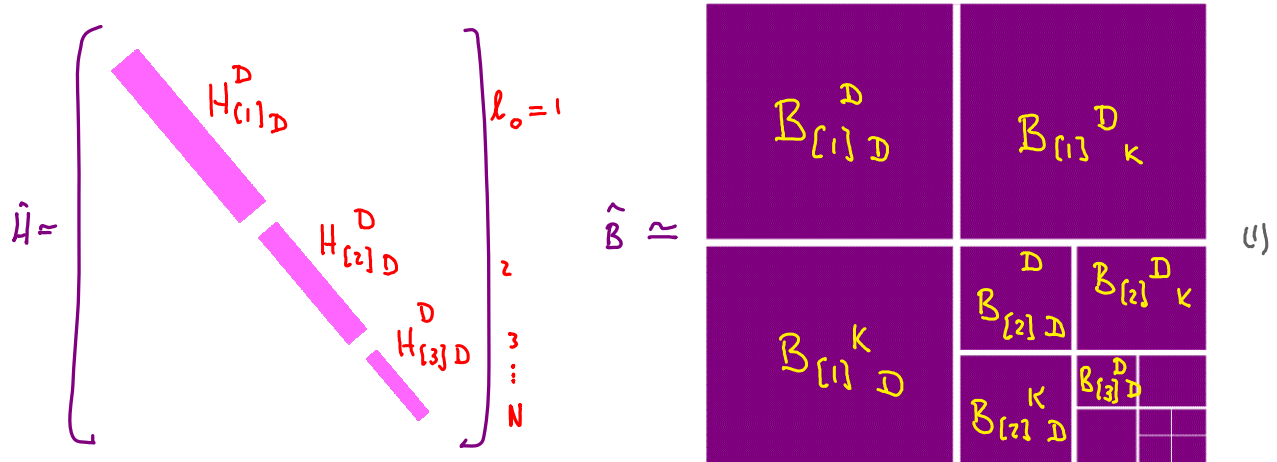
$$+ \sum_{\gamma} \sum_{e_{N-1}} \text{---} \rightarrow \otimes | \dots |_{N} + \sum_{\lambda} \sum_{e_{N-1}} \text{---} \rightarrow \otimes | \dots |_{N}$$

The collection of all terms marked \leftarrow is the resolution of identity in AS basis:

$$= \sum_{l \geq l_0} \sum_{\kappa} \sum_{e_l} \text{---} \rightarrow \otimes | \dots |_{l+1} \quad \dots \quad N$$

non-trivial only on sites $-1, \dots, n_0$

Below we will show that the Hamiltonian and 'local' operators have following structure in AS basis:



Hamiltonian is diagonal:

General operator: exclude KK to avoid overcounting!

$$\hat{H}^N \approx \sum_l \sum_{\alpha e} E_\alpha^l |\alpha e\rangle_l^D \langle \alpha e|_l^D, \quad \hat{B} = \sum_l \sum_{x'x} \sum_{\alpha} \sum_e |\alpha' e\rangle_l^{x'} [B_{[l]x}^{x'}]_e^x \langle \alpha e|_l^x \quad (2)$$

Operators are diagonal in 'environment' states! Hence environment can easily be traced out!

The expression for \hat{H}^N follows from (IV.1.2). That for a local operator \hat{B} can be found as follows:

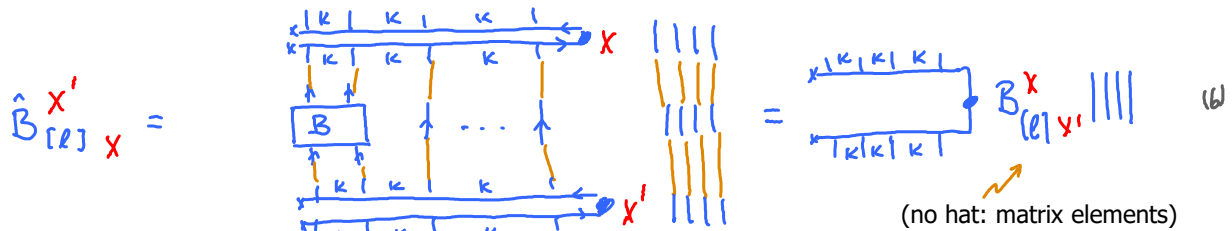
Suppose \hat{B} is a 'local operator', living on sites $\leq l_0$, e.g. on sites imp and o :

$$\hat{B} = \begin{matrix} \uparrow & \uparrow & & \uparrow & & \uparrow & & \uparrow & & \uparrow & & \uparrow \\ \text{[B]} & \otimes & \uparrow & \otimes & \dots & \otimes & \uparrow & \otimes & \dots & \otimes & \uparrow & \otimes \\ \uparrow & \uparrow & \uparrow & \uparrow & \dots & \uparrow & \uparrow & \uparrow & \dots & \uparrow & \uparrow & \uparrow \\ \sigma_{imp} & \sigma_o & \sigma_{l_0} & \sigma_{l_0+1} & \sigma_{l_0+2} & \dots & \sigma_N \end{matrix} \quad (3)$$

Start from the local operator's exactly known representation on length- l_0 chain,

$$\hat{B} = \sum_{xx' \in \{K, D\}} |\alpha' e\rangle_{l_0}^{x'} [B_{[l_0]x}^{x'}]_{\alpha}^x \langle \alpha e|_{l_0}^x \equiv \sum_{x'x} \hat{B}_{[l_0]x}^{x'} \quad (4)$$

Define operator projections to X'X sector of shell : $\hat{B}_{[l]x}^{x'} = \hat{P}_l^{x'} \hat{B} \hat{P}_l^x \quad (5)$



with matrix elements

$$B_{[l]y}^{x'} = \begin{matrix} \alpha x \\ \uparrow \\ \text{[B]} \\ \uparrow \\ \alpha' x' \end{matrix} = \begin{matrix} \leftarrow K \leftarrow K \leftarrow K \leftarrow \\ \text{[B]} \\ \rightarrow K \rightarrow K \rightarrow K \rightarrow \\ x \alpha \\ x' \alpha' \end{matrix} \quad (7)$$

can be computed iteratively during forward sweep, starting from $l = l_0$

$$= B_{[l-1]K}^K \begin{array}{c} \xrightarrow{K} y \\ \bullet \\ \xleftarrow{K} x' \end{array} = \begin{bmatrix} A_{[l]}^{x'} \\ B_{[l]}^K \end{bmatrix} \begin{array}{c} \alpha' \\ \beta \end{array} = \begin{bmatrix} A_{[l]}^{x'} \\ B_{[l]}^K \end{bmatrix} \begin{array}{c} \beta \sigma_l \\ \alpha \end{array} \quad (8)$$

only KK enters here!

Refine KK sector iteratively, using $P_l^K \stackrel{(1.14)}{=} \sum_x P_{l+1}^X$:

$$\hat{B}_{[l_0]K}^K = \hat{P}_{l_0}^K \hat{B} \hat{P}_{l_0}^K = \sum_{x'x}^{\neq KK} \hat{P}_{l_0+1}^{x'} \hat{B} \hat{P}_{l_0+1}^x + \hat{P}_{l_0+1}^K \hat{B} \hat{P}_{l_0+1}^K \quad (9)$$

Iterate to end of chain: $= \sum_{l>l_0}^N \sum_{x'x}^{\neq KK} \hat{P}_l^{x'} \hat{B} \hat{P}_l^x = \sum_{l>l_0}^N \sum_{x'x}^{\neq KK} \hat{B}_{[l]x}^{x'} \quad (10)$

Full operator: $\hat{B} = \sum_x \hat{B}_{[l_0]x}^x \stackrel{(10)}{=} \sum_{l \geq l_0}^N \sum_{x'x}^{\neq KK} \hat{B}_{[l]x}^{x'} = \sum_l \sum_{x'x}^{\neq KK} \text{---} \begin{array}{c} \xrightarrow{x} \\ \bullet \\ \xleftarrow{x'} \end{array} \text{---} \quad (11)$

Note: matrix elements are always 'shell-diagonal' (computed using same-length chains).

Time-dependent operators

$$\hat{B}(t) = e^{i\hat{H}^N t} \hat{B} e^{-i\hat{H}^N t} =: \sum_l \sum_{x'x}^{\neq KK} \hat{B}_{[l]x}^{x'}(t) \quad (12)$$

with time-dependent matrix elements, evaluated using NRG approximation (1.2):

$$[\hat{B}_{[l]x}^{x'}(t)]_{\alpha}^{\alpha'} \simeq \langle \alpha' | e^{i\hat{H}^l t} \hat{B} e^{-i\hat{H}^l t} | \alpha \rangle_x = [\hat{B}_{[l]x}^{x'}]_{\alpha}^{\alpha'} e^{i(E_{\alpha'}^l - E_{\alpha}^l)t} \quad (13)$$

Important: since we iteratively refined only KK sector, the time-dependent factor is 'shell-diagonal': factors with $e^{i(E_{\alpha'}^{l'} - E_{\alpha}^l)t}$, $l' \neq l$ do not occur. Using different shells to compute $E_{\alpha'}$ and E_{α} would yield them with different accuracies, which would be inconsistent.

Fourier transform: $\hat{B}(\omega) = \int \frac{dt}{2\pi} e^{i\omega t} \hat{B}(t) \stackrel{(12,13)}{=} \sum_l \sum_{x'x}^{\neq KK} \hat{B}_{[l]x}^{x'}(\omega) \quad (15)$

$$[\hat{B}_{[l]x}^{x'}(\omega)]_{\alpha}^{\alpha'} = [\hat{B}_{[l]x}^{x'}]_{\alpha}^{\alpha'} \delta(\omega - (E_{\alpha}^l - E_{\alpha'}^l)) \quad (16)$$

Operator product expansions: $\hat{B} \hat{C}$ Proceed iteratively, refining only KK-KK sector:

$$\hat{B}_{[l]K}^K \hat{C}_{[l]K}^K = \hat{P}_l^K \hat{B} \hat{P}_l^K \hat{C} \hat{P}_l^K \stackrel{(1.14)}{=} \sum_{x''x'} \hat{P}_{l+1}^{x''} \hat{B} \hat{P}_{l+1}^{x'} \hat{C} \hat{P}_{l+1}^x = \sum_{x''x'} \hat{B}_{[l+1]x'}^{x''} \hat{C}_{[l+1]x}^{x'} \quad (17)$$

Start from $l = l_0$ and iterate: (18)

$$\hat{B} \hat{C} = \sum_{x''x'} \hat{B}_{[l_0]x'}^{x''} \hat{C}_{[l_0]x}^{x'} = \sum_l \sum_{x''x'}^{\neq KK} \hat{B}_{[l]x'}^{x''} \hat{C}_{[l]x}^{x'} = \sum_l \sum_{x''x'}^{\neq KK} \text{---} \begin{array}{c} \text{---} \\ \text{---} \end{array} \begin{array}{c} \xrightarrow{x'} \\ \bullet \\ \xleftarrow{x''} \end{array} \text{---} \quad (18)$$

NRG approximation

$$\hat{\rho} \equiv e^{-\beta \hat{H}^N} \approx \sum_l \sum_{\alpha \in \mathcal{D}_l} |\alpha, e\rangle_l \frac{e^{-\beta E_\alpha^l}}{Z} \langle \alpha, e|_l = \sum_l \frac{\text{Diagram}}{Z} \quad (1)$$

$$= \sum_{l=n_0}^N \hat{\rho}_{[e]l}^D, \quad [\rho_{[e]l}^D] = \delta_{\alpha\alpha'} \frac{e^{-\beta E_\alpha^l}}{Z} \quad (2)$$

Sector projections of $\hat{\rho}$ for shell l , defined as $\hat{\rho}_{[e]l}^{x'x} = \hat{P}_e^{x'} \hat{\rho} \hat{P}_e^x$, are given by:

$$\hat{\rho}_{[e]l}^D, \quad \hat{P}_{[e]l}^K \stackrel{(1.19)}{=} \sum_{l' > l}^N \hat{P}_{[e]l'}^D, \quad \hat{\rho}_{[e]l}^D \hat{P}_{[e]l}^K = \hat{P}_{[e]l}^K \hat{\rho}_{[e]l}^D = 0 \quad (3)$$

provides refinement for rest of chain density matrix is sector-diagonal

Reduced density matrix for length- l chain is obtained by tracing out environment of all later sites:

$$\hat{\bar{\rho}}_{[e]l}^{x'x} = \text{Tr}_{\text{sites } > l} [\hat{\rho}_{[e]l}^{x'x}] \quad (\bar{\rho}_{[e]l}^K = \bar{\rho}_{[e]l}^D \stackrel{(3)}{=} 0) \quad (4)$$

DD-sector:

$$\hat{\bar{\rho}}_{[e]l}^D = \text{Diagram} \stackrel{\text{degeneracy of environment for shell } l}{=} \text{Diagram} \quad (5)$$

indicates sum over local basis due to trace (no hat: matrix elements)

with matrix elements

$$[\bar{\rho}_{[e]l}^D]_{\alpha\alpha'} = [\rho_{[e]l}^D]_{\alpha\alpha'} d^{N-l} \stackrel{(2)}{=} \underbrace{\delta_{\alpha\alpha'} \frac{e^{-\beta E_\alpha^l}}{Z_l^D}}_{\text{density matrix of D-sector of shell } l \text{ (without environment)}} \underbrace{\frac{Z_{[e]l}^D}{Z}}_{\omega_l^D} d^{N-l} \quad (6)$$

where $Z_l^D = \sum_{\alpha} e^{-\beta E_\alpha^l}$ (7)

is partition function for D-sector of shell l (without environment)

density matrix of D-sector of shell l (without environment)

relative weight of D-sector of shell l to total partition function, with $\sum_l \omega_l^D = 1$

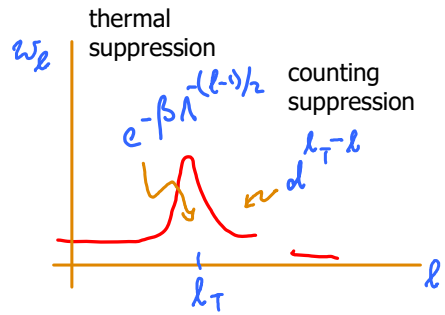
KK-sector:

$$\hat{\bar{\rho}}_{[e]l}^K = \sum_{l' > l} \text{Diagram} \stackrel{(7)}{=} \text{Diagram} \quad (7)$$

$$[\bar{\rho}_{[e]l}^K]_{\alpha\alpha'} \stackrel{\uparrow K\alpha}{\downarrow K\alpha'} = \sum_{l' > l} \text{Diagram} \stackrel{(8)}{=} \sum_x \alpha \text{Diagram} \quad (8)$$

Starting at $l = N$, the KK matrix elements can be computed iteratively via a backward sweep.

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



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

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

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

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

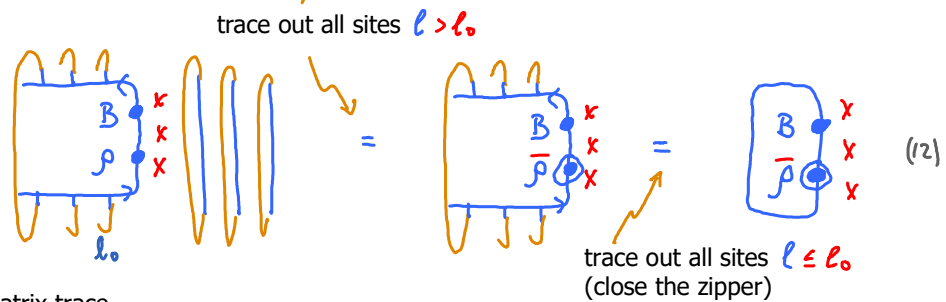
Thermal expectation value:

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

definition shell- l_0 representation due to trace

$$= \sum_x \text{Tr} [\hat{\rho}^{x, \text{all sites}} \hat{B}^{x, \text{all sites}}] = \sum_x \text{Tr} [\hat{\rho}^{x, \text{sites } \leq l_0} \hat{B}^{x, \text{sites } \leq l_0}] \quad (11)$$

operator trace



$$= \sum_x \text{tr} [\bar{\rho}^{x, \text{shell } l_0} B^{x, \text{shell } l_0}] = \sum_x \sum_{\alpha' \alpha} [\bar{\rho}^{x, \text{shell } l_0}]_{\alpha'} [B^{x, \text{shell } l_0}]_{\alpha} \quad (13)$$

matrix trace

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

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

[Weichselbaum2007] [Lee2021]

AS basis, being complete set of (approximate) energy eigenstate, is suitable for use in Lehmann representation of spectral function, with the identification $\{|\alpha\rangle\} = \{|se\rangle_n^D, n = n_0 \dots, N\}$

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

trace is cyclic

Insert representation of these three operators in complete AS basis:

$$\text{Tr} \left[\sum_{\ell} \sum_{\bar{\ell}} \sum_{\tilde{\ell}} |\tilde{\alpha}, \tilde{e}\rangle_{\tilde{\ell}} \langle \tilde{\alpha}, \tilde{e} |_{\tilde{\ell}} \left[B_{[\tilde{\ell}]}(\omega) \right]_{\tilde{\ell}}^{\tilde{\alpha}, \tilde{e}} \left[C_{[\bar{\ell}]} \right]_{\bar{\ell}}^{\bar{\alpha}, \bar{e}} \left[\rho_{[\ell]}^D \right]_{\ell}^{\alpha, e} \right] \quad (2)$$

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


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

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

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

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

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

$$A^{BC}(\omega) = \sum_{\ell} \sum_{x'x}^{*KK} \text{tr}_{\text{shell } \ell} \left[B_{[\ell]}(\omega)_{x'}^x (C \hat{\rho})_{[\ell]}^{x'x} \right] \quad (4)$$


$$= \sum_{\ell} \sum_{x'x}^{*KK} \sum_{\alpha\alpha'} \left[B_{[\ell]}^x_{x'} \right]_{\alpha'}^{\alpha} \delta(\omega - (E_{\alpha'}^{\ell} - E_{\alpha}^{\ell})) \left[C_{[\ell]}^{x'} \hat{\rho}_{[\ell]}^{x''} \right]_{\alpha}^{\alpha'} \quad (5)$$

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

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

Easy to evaluate numerically.

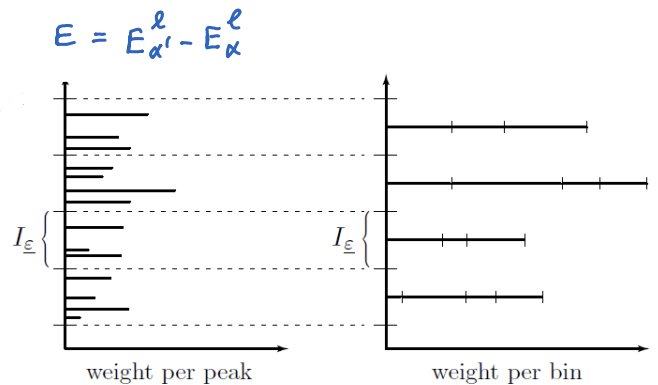
To deal with delta functions, use 'binning':

partition frequency axis into discrete bins, I_{ξ} , centered on set of discrete energies, $\{\xi\}$, and replace

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

This assigns energy ξ to all peaks lying in same bin.

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



Spectral function of Anderson impurity model

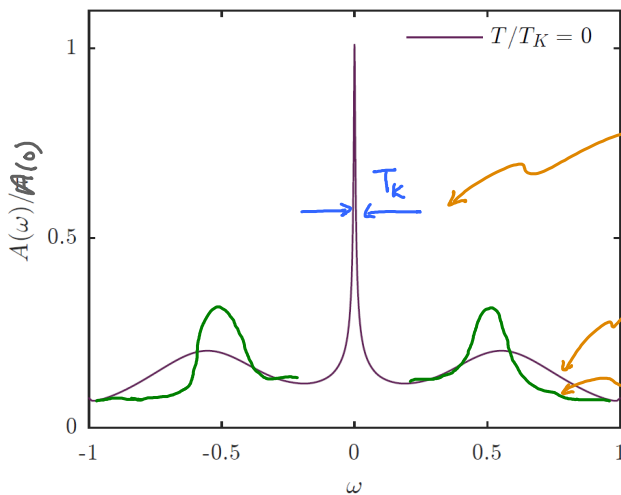
(at particle-hole symmetry, $\epsilon_d = -U/2$ and zero magnetic field, $h=0$)

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

Can be computed using fdm-NRG. Technical issues:

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

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



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

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

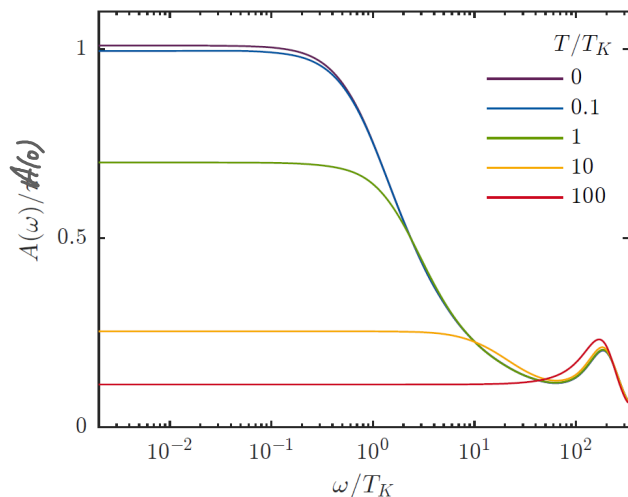
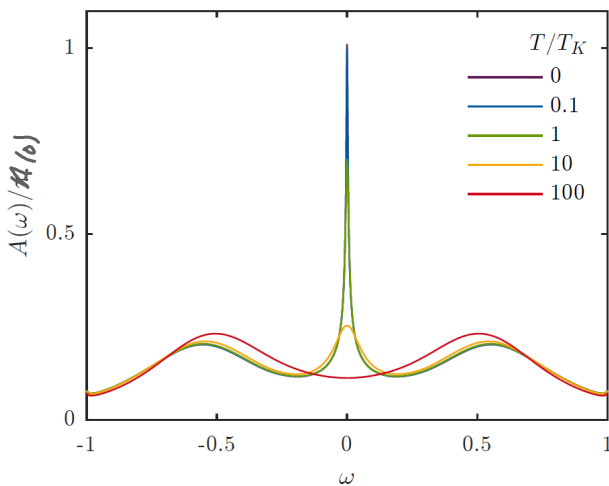
The true form of side peaks is narrower.

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

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

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

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



Sum rule: we expect (for any temperature):

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

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