

Tight-binding model of an isolated GaSe double layer

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In order to analyse the trends behind the band structures of “real” GeSe or InSe polytypes, consider a two-dimensional model of an isolated double layer, with only one (s -) orbital per site and nearest-neighbours interactions only. The generalization over more orbitals and / or more distant interactions is not easy but straightforward. The scheme of the layer is shown in the Figure. The notation “A” refers to cations and “B” – to anions. The anions can interact only via cations (no B-B couplings), whereas the cations participate, in addition to the A-B, in the direct A-A coupling. As a limiting case, the model can be reformulated to describe the anion-cation-anion sheet structure, i.e. MoS₂, by simply removing the A-A interactions and merging the corresponding columns/lines.

The starting point of the model is a case of isolated atoms A and B. The corresponding (non perturbed) Hamiltonian \mathcal{H} yields eigenfunctions $|\alpha\rangle$ (for A) and $|\beta\rangle$ (for B) along with corresponding eigenvalues:

$$\mathcal{H}_0^A|\alpha\rangle = \left[-\frac{\mathbf{p}^2}{2m} + V^A\right]|\alpha\rangle = \epsilon^A|\alpha\rangle; \quad \mathcal{H}_0^B|\beta\rangle = \left[-\frac{\mathbf{p}^2}{2m} + V^B\right]|\beta\rangle = \epsilon^B|\beta\rangle.$$

These eigenvalues will serve as a basis to expand the perturbed wave functions in crystal:

$$|\varphi_{\mathbf{k}}\rangle = \frac{1}{n} \sum_{\mu} a_{\mathbf{k}\mu} |\alpha_{\mu}\rangle + \frac{1}{n} \sum_{\nu} b_{\mathbf{k}\nu} |\beta_{\nu}\rangle. \quad (1)$$

These eigenfunctions are solutions of the Hamiltonian with the crystalline potential (overlapping from all sites),

$$\mathcal{H}_1 = -\frac{\mathbf{p}^2}{2m} + \sum_{\mu \in \text{sites A,B}} V^{\mu} = \mathcal{H}_0^{\mu} + \sum_{\mu' \in \text{sites A,B} \neq \mu} V^{\mu'} \equiv \mathcal{H}_0^{\mu} + V_A^{\mu}.$$

The last term is the crystal potential coming about from the summation over all crystal sites (of both species) with the exception of the potential of type A missing in site μ . Alternatively, $\mathcal{H}_1 = \mathcal{H}_0^{\nu} + V_B^{\nu}$. Taking into account Eq. (1),

$$\mathcal{H}_1|\psi_{\mathbf{k}}\rangle = \frac{1}{n} \sum_{\mu} a_{\mathbf{k}\mu} [\epsilon^A + V_A^{\mu}]|\alpha_{\mu}\rangle + \frac{1}{n} \sum_{\nu} b_{\mathbf{k}\nu} [\epsilon^B + V_B^{\nu}]|\beta_{\nu}\rangle,$$

so that

$$\sum_{\mu} a_{\mathbf{k}\mu} [\epsilon^A + V_A^{\mu}]|\alpha_{\mu}\rangle + \sum_{\nu} b_{\mathbf{k}\nu} [\epsilon^B + V_B^{\nu}]|\beta_{\nu}\rangle = \epsilon_{\mathbf{k}} \left[\sum_{\mu} a_{\mathbf{k}\mu} |\alpha_{\mu}\rangle + \sum_{\nu} b_{\mathbf{k}\nu} |\beta_{\nu}\rangle \right].$$

Integrating this system with $\langle\alpha_{\mu'}|$ yields:

$$\begin{aligned} \sum_{\mu} a_{\mathbf{k}\mu} \left[\epsilon^A \underbrace{\langle\alpha_{\mu'}|\alpha_{\mu}\rangle}_{S_{\mu'\mu}} + \underbrace{\langle\alpha_{\mu'}|V_A^{\mu}|\alpha_{\mu}\rangle}_{T_{\mu'\mu}} \right] + \sum_{\nu} b_{\mathbf{k}\nu} \left[\epsilon^B \underbrace{\langle\alpha_{\mu'}|\beta_{\nu}\rangle}_{S_{\mu'\nu}} + \underbrace{\langle\alpha_{\mu'}|V_B^{\nu}|\beta_{\nu}\rangle}_{T_{\mu'\nu}} \right] \\ = \epsilon_{\mathbf{k}} \left[\sum_{\mu} a_{\mathbf{k}\mu} \underbrace{\langle\alpha_{\mu'}|\alpha_{\mu}\rangle}_{S_{\mu'\mu}} + \sum_{\nu} b_{\mathbf{k}\nu} \underbrace{\langle\alpha_{\mu'}|\beta_{\nu}\rangle}_{S_{\mu'\nu}} \right], \end{aligned} \quad (2)$$

and integrating with $\langle \beta_{\nu'} |$:

$$\begin{aligned} \sum_{\mu} a_{\mathbf{k}\mu} \left[\underbrace{\epsilon^A \langle \beta_{\nu'} | \alpha_{\mu} \rangle}_{S_{\nu'\mu}} + \underbrace{\langle \beta_{\nu'} | V_A^{\mu} | \alpha_{\mu} \rangle}_{T_{\nu'\mu}} \right] + \sum_{\nu} b_{\mathbf{k}\nu} \left[\underbrace{\epsilon^B \langle \beta_{\nu'} | \beta_{\nu} \rangle}_{\delta_{\nu'\nu}} + \underbrace{\langle \beta_{\nu'} | V_B^{\nu} | \beta_{\nu} \rangle}_{T_{\nu'\nu}} \right] \\ = \epsilon_{\mathbf{k}} \left[\sum_{\mu} a_{\mathbf{k}\mu} \underbrace{\langle \beta_{\nu'} | \alpha_{\mu} \rangle}_{S_{\nu'\mu}} + \sum_{\nu} b_{\mathbf{k}\nu} \underbrace{\langle \beta_{\nu'} | \beta_{\nu} \rangle}_{\delta_{\nu'\nu}} \right]. \end{aligned} \quad (3)$$

Note that the overlap of anion-anion basis functions is non-zero only on-site, $\langle \beta_{\nu'} | \beta_{\nu} \rangle = \delta_{\nu'\nu}$. Equations (2) and (3) make an infinite coupled system. It can be decoupled introducing an explicit dependence on \mathbf{k} , i.e., the numeration of sites μ, ν will be replaced by the numeration of unit cells, and for the latter we use the Bloch periodicity condition:

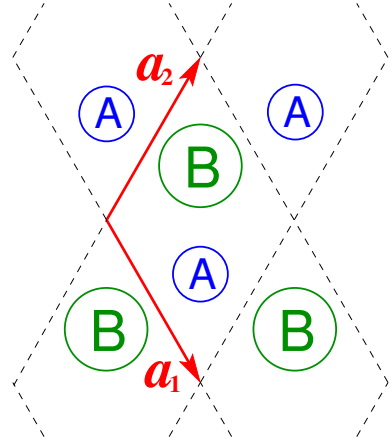
$$a_{\mathbf{k}\mu} \Rightarrow a_{n,m}(\mathbf{k}) = a_{0,0}(\mathbf{k}) e^{i\mathbf{k}(n\mathbf{a}_1 + m\mathbf{a}_2)}; \quad b_{\mathbf{k}\mu} \Rightarrow b_{n,m}(\mathbf{k}) = b_{0,0}(\mathbf{k}) e^{i\mathbf{k}(n\mathbf{a}_1 + m\mathbf{a}_2)}. \quad (4)$$

We specify that $a_{n,m}(\mathbf{k})$ is the coefficient with which the basis function at site A in the unit cell (n, m) enters the resulting Bloch wavefunction $|\varphi_{\mathbf{k}}\rangle$, and $b_{n,m}(\mathbf{k})$ – the same for the site B. In fact there are two A atoms and two B atoms in each unit cell which we now want to distinguish attributing the Up/Down labels to their coefficients, i.e., a_{nm}^U and a_{nm}^D , similarly for b_{nm} . This will help to construct a closed system of equations on four coefficients, bringing in the explicit dependence on \mathbf{k} by force of the relations (4). When selecting non-zero interactions to be left in the system, we take into account the following rules:

- a_{nm}^U couples (overlaps) with itself and with its counterpart a_{nm}^D in the same unit cell;
- a_{nm}^U couples (overlaps) with three b_{nm}^U , one in the same cell and two in adjacent cells, similarly a_{nm}^D couples with three b_{nm}^D ;
- a^U do not interact with b^D ;
- b 's only couple to a 's and not to other b 's.

We assume that all basis functions are normalized, so that all on-site overlaps are 1. Nearest-neighbours overlaps S^{AA} and S^{AB} , on-site transfer integrals t^A and t^B and nearest-neighbour transfer integrals T^{AA} and T^{AB} remain the parameters of the model.

It rests to specify which sites / unit cells enter the summation over the nearest neighbours. In the placement of atoms within the unit cell as in the Figure, the A site of the reference cell (n, m) has B-type neighbours in the same cell, in the cell $(n+1, m)$ and in the cell $(n, m-1)$. In its turn, the B site of the (n, m) cell has A-neighbours in the same cell, in the cell $(n-1, m)$ and in the cell $(n, m+1)$. Therefore, the summations over ν in Eq. (2) amount to multiplying by $(1 + e^{i\mathbf{k}\mathbf{a}_1} + e^{-i\mathbf{k}\mathbf{a}_2})$, and the summations over μ in Eq. (3) – to multiplying by $(1 + e^{-i\mathbf{k}\mathbf{a}_1} + e^{i\mathbf{k}\mathbf{a}_2})$. The μ summation in Eq. (2) runs



over this same atom A and its nearest cation neighbor, yielding the on-site overlap =1 and nearest-neighbour overlap S^{AA} , along with on-site and nearest-neighbour transfer integrals t^A and T^{AA} , correspondingly.

We spicify now that, in a given unit cell (n, m) , there are four coefficients $a_{mn}^U(\mathbf{k})$, $a_{mn}^D(\mathbf{k})$, $b_{mn}^U(\mathbf{k})$, $b_{mn}^D(\mathbf{k})$. They are coupled such that the equalities (2) and (3) must hold for every unit cell. This leads to four coupled equations on the coefficients (skipping the implicit \mathbf{k} -dependence of the latter). Eq. (2), for $\mu' = a_{mn}^U$:

$$\begin{aligned} a_{mn}^U(\epsilon^A + t^A) + a_{mn}^D(\epsilon^A S^{AA} + T^{AA}) + b_{mn}^U(1 + e^{i\mathbf{k}\mathbf{a}_1} + e^{-i\mathbf{k}\mathbf{a}_2})(\epsilon^B S^{AB} + T^{BA}) \\ = \epsilon_{\mathbf{k}} \left[a_{mn}^U + a_{mn}^D S^{AA} + b_{mn}^U(1 + e^{i\mathbf{k}\mathbf{a}_1} + e^{-i\mathbf{k}\mathbf{a}_2}) S^{AB} \right]; \end{aligned} \quad (5)$$

Eq. (2), for $\mu' = a_{mn}^D$:

$$\begin{aligned} a_{mn}^D(\epsilon^A + t^A) + a_{mn}^U(\epsilon^A S^{AA} + T^{AA}) + b_{mn}^D(1 + e^{i\mathbf{k}\mathbf{a}_1} + e^{-i\mathbf{k}\mathbf{a}_2})(\epsilon^B S^{AB} + T^{BA}) \\ = \epsilon_{\mathbf{k}} \left[a_{mn}^D + a_{mn}^U S^{AA} + b_{mn}^D(1 + e^{i\mathbf{k}\mathbf{a}_1} + e^{-i\mathbf{k}\mathbf{a}_2}) S^{AB} \right]; \end{aligned} \quad (6)$$

Eq. (3), for $\nu' = b_{mn}^U$:

$$\begin{aligned} a_{mn}^U(1 + e^{-i\mathbf{k}\mathbf{a}_1} + e^{i\mathbf{k}\mathbf{a}_2})(\epsilon^A S^{AB} + T^{AB}) + b_{mn}^U(\epsilon^B + t^B) \\ = \epsilon_{\mathbf{k}} \left[a_{mn}^U(1 + e^{-i\mathbf{k}\mathbf{a}_1} + e^{i\mathbf{k}\mathbf{a}_2}) S^{AB} + b_{mn}^U \right]; \end{aligned} \quad (7)$$

Eq. (3), for $\nu' = b_{mn}^D$:

$$\begin{aligned} a_{mn}^D(1 + e^{-i\mathbf{k}\mathbf{a}_1} + e^{i\mathbf{k}\mathbf{a}_2})(\epsilon^A S^{AB} + T^{AB}) + b_{mn}^D(\epsilon^B + t^B) \\ = \epsilon_{\mathbf{k}} \left[a_{mn}^D(1 + e^{-i\mathbf{k}\mathbf{a}_1} + e^{i\mathbf{k}\mathbf{a}_2}) S^{AB} + b_{mn}^D \right]; \end{aligned} \quad (8)$$

Note that there is a A/B site specificity in the definition of the nearest-neighbours transfer integral, maintained by the difference in the notation $T^{AB} \equiv \langle \beta | V_A | \alpha \rangle$ and $T^{BA} \equiv \langle \beta | V_B | \alpha \rangle$, whereas $S^{AB} = S^{BA}$ is obviously symmetric. The “phase factors” depend on the geometry; in our choice of the lattice vectors

$$\mathbf{a}_1 = \frac{a}{2} (1, -\sqrt{3}) ; \quad \mathbf{a}_2 = \frac{a}{2} (1, \sqrt{3}) ,$$

$$\begin{aligned} 1 + e^{i\mathbf{k}\mathbf{a}_1} + e^{-i\mathbf{k}\mathbf{a}_2} &= 1 + 2 \cos \frac{k_x a}{2} e^{-ik_y a \sqrt{3}/2} \equiv \Delta(\mathbf{k}) ; \\ 1 + e^{-i\mathbf{k}\mathbf{a}_1} + e^{+i\mathbf{k}\mathbf{a}_2} &= 1 + 2 \cos \frac{k_x a}{2} e^{ik_y a \sqrt{3}/2} \equiv \Delta^*(\mathbf{k}) . \end{aligned} \quad (9)$$

We note that the exact choice of phase factors depend on how the outer (anion) planes are organized. The present choice orresponds to the “eclipsed” (wurtzite-like) geometry, as is the case of β and ϵ phases. In hypothetical case of “twisted” anions placement one would need to interchange phase factors at some places.

Ordering the coefficients in all the equations (5) through (8) brings them into a matrix form:

$$\begin{bmatrix} (\epsilon^A + t^A - \epsilon_{\mathbf{k}}) & (\epsilon^A S^{AA} + T^{AA} - \epsilon_{\mathbf{k}} S^{AA}) & (\epsilon^B S^{AB} + T^{BA} - \epsilon_{\mathbf{k}} S^{AB})\Delta(\mathbf{k}) & 0 \\ (\epsilon^A S^{AA} + T^{AA} - \epsilon_{\mathbf{k}} S^{AA}) & (\epsilon^A + t^A - \epsilon_{\mathbf{k}}) & 0 & (\epsilon^B S^{AB} + T^{BA} - \epsilon_{\mathbf{k}} S^{AB})\Delta(\mathbf{k}) \\ (\epsilon^A S^{AB} + T^{AB} - \epsilon_{\mathbf{k}} S^{AB})\Delta(\mathbf{k})^* & 0 & (\epsilon^B + t^B - \epsilon_{\mathbf{k}}) & 0 \\ 0 & (\epsilon^A S^{AB} + T^{AB} - \epsilon_{\mathbf{k}} S^{AB})\Delta(\mathbf{k})^* & 0 & (\epsilon^B + t^B - \epsilon_{\mathbf{k}}) \end{bmatrix} \begin{bmatrix} a_{mn}^U(\mathbf{k}) \\ a_{mn}^D(\mathbf{k}) \\ b_{mn}^U(\mathbf{k}) \\ b_{mn}^D(\mathbf{k}) \end{bmatrix} = 0, \quad (10)$$

On recasting the parameters as $\epsilon^A + t^A \rightarrow E^A$, $\epsilon^B + t^B \rightarrow E^B$, $\epsilon^A S^{AA} + T^{AA} \rightarrow M^A$, $\epsilon^B S^{BA} + T^{BA} \rightarrow N^{BA}$, $\epsilon^A S^{AB} + T^{AB} \rightarrow N^{AB}$, the band energies can be obtained from setting this determinant to zero:

$$\begin{vmatrix} E^A - \epsilon_{\mathbf{k}} & M^A - \epsilon_{\mathbf{k}} S^{AA} & (N^{BA} - \epsilon_{\mathbf{k}} S^{AB})\Delta & 0 \\ M^A - \epsilon_{\mathbf{k}} S^{AA} & E^A - \epsilon_{\mathbf{k}} & 0 & (N^{BA} - \epsilon_{\mathbf{k}} S^{AB})\Delta \\ (N^{AB} - \epsilon_{\mathbf{k}} S^{AB})\Delta^* & 0 & E^B - \epsilon_{\mathbf{k}} & 0 \\ 0 & (N^{AB} - \epsilon_{\mathbf{k}} S^{AB})\Delta^* & 0 & E^B - \epsilon_{\mathbf{k}} \end{vmatrix} = 0, \quad (11)$$

that is, solving the 4th order equation:

$$\begin{aligned} & (E^A - \epsilon_{\mathbf{k}})^2 (E^B - \epsilon_{\mathbf{k}})^2 - (M^A - \epsilon_{\mathbf{k}} S^{AA})^2 (E^B - \epsilon_{\mathbf{k}})^2 \\ & - 2(E^A - \epsilon_{\mathbf{k}})(E^B - \epsilon_{\mathbf{k}})(N^{AB} - \epsilon_{\mathbf{k}} S^{AB})(N^{BA} - \epsilon_{\mathbf{k}} S^{AB})|\Delta(\mathbf{k})|^2 \\ & + (N^{BA} - \epsilon_{\mathbf{k}} S^{AB})^2 (N^{AB} - \epsilon_{\mathbf{k}} S^{AB})^2 |\Delta(\mathbf{k})|^4 = 0, \end{aligned} \quad (12)$$

or in the standard form of the quartic equation on $x \equiv \epsilon_{\mathbf{k}}$

$$ax^4 + bx^3 + cx^2 + dx + e = 0, \quad \text{with}$$

$$\begin{aligned}
a &= 1 - (S^{AA})^2 - 2(S^{AB})^2|\Delta|^2 + (S^{AB})^4|\Delta|^4; \\
b &= -2(E^A + E^B) + 2S^{AA}(M^A + E^B S^{AA}) + 2S^{AB}[(E^A + E^B)S^{AB} + N^{AB} + N^{BA}]|\Delta|^2 \\
&\quad - 2(N^{AB} + N^{BA})(S^{AB})^3|\Delta|^4; \\
c &= (E^A)^2 + (E^B)^2 + 4E^A E^B - (E^B)^2(S^{AA})^2 - (M^A)^2 - 4M^A E^B S^{AA} \\
&\quad - 2[N^{AB} N^{BA} + E^A E^B (S^{AB})^2 + (E^A + E^B)S^{AB}(N^{AB} + N^{BA})]|\Delta|^2 \\
&\quad + (S^{AB})^2[(N^{AB})^2 + (N^{BA})^2 + 4N^{AB} N^{BA}]; \\
d &= -2E^A E^B (E^A + E^B) + M^A S^{AA}(E^B)^2 + E^B (M^A)^2 \\
&\quad + 2[N^{AB} N^{BA}(E^A + E^B) + S^{AB}(N^{AB} + N^{BA})E^A E^B]|\Delta|^2 \\
&\quad - 2N^{AB} N^{BA} S^{AB}(N^{AB} + N^{BA})|\Delta|^4; \\
e &= (E^A)^2(E^B)^2 - (M^A)^2(E^B)^2 - 2E^A E^B N^{AB} N^{BA}|\Delta|^2 \\
&\quad + (N^{AB})^2(N^{BA})^2|\Delta|^4.
\end{aligned} \tag{13}$$

The solutions are:

$$\begin{aligned}
(\epsilon_{\mathbf{k}})_1 &= \frac{1 - \boxed{\text{A}} - \boxed{\text{B}} - \sqrt{\boxed{\text{C}} - \boxed{\text{D}}}}{2[|\Delta|^2(S^{AB})^2 - 1] + S^{AA}}, & (\epsilon_{\mathbf{k}})_2 &= \frac{1}{2} \frac{\boxed{\text{A}} + \boxed{\text{B}} + \sqrt{\boxed{\text{C}} - \boxed{\text{D}}}}{[|\Delta|^2(S^{AB})^2 - 1] + S^{AA}}, \\
(\epsilon_{\mathbf{k}})_3 &= \frac{1 - \boxed{\text{A}} + \boxed{\text{B}} - \sqrt{\boxed{\text{C}} + \boxed{\text{D}}}}{2[|\Delta|^2(S^{AB})^2 - 1] - S^{AA}}, & (\epsilon_{\mathbf{k}})_4 &= \frac{1}{2} \frac{\boxed{\text{A}} - \boxed{\text{B}} + \sqrt{\boxed{\text{C}} + \boxed{\text{D}}}}{[|\Delta|^2(S^{AB})^2 - 1] - S^{AA}},
\end{aligned} \tag{14}$$

with

$$\begin{aligned}
\boxed{\text{A}} &= |\Delta|^2(N^{AB} + N^{BA})S^{AB} - (E^A + E^B); & \boxed{\text{B}} &= E^B S^{AA} + M^A; \\
\boxed{\text{C}} &= |\Delta|^4(N^{AB} - N^{BA})^2(S^{AB})^2 + 4|\Delta|^4 E^A E^B (S^{AB})^2 \\
&\quad - 2|\Delta|^2(E^A + E^B)(N^{AB} + N^{BA})S^{AB} + (E^B)^2(S^{AA})^2 - 2E^B M^A S^{AA} \\
&\quad + 4|\Delta|^2 N^{AB} N^{BA} + (M^A)^2 + (E^B - E^A)^2;
\end{aligned} \tag{15}$$

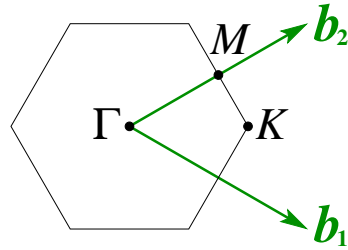
$$\begin{aligned}
\boxed{\text{D}} &= 4|\Delta|^2 E^B M^A (S^{AB})^2 - 2|\Delta|^2 E^B (N^{AB} + N^{BA})S^{AA} \\
&\quad - 2|\Delta|^2 M^A (N^{AB} + N^{BA})S^{AB} + 4|\Delta|^2 N^{AB} N^{BA} S^{AA} + 2(E^B)^2 S^{AA} \\
&\quad - 2E^A E^B S^{AA} - 2M^A (E^B - E^A).
\end{aligned} \tag{16}$$

For the translation vectors \mathbf{a}_1 , \mathbf{a}_2 as specified above, the reciprocal vectors are

$$\mathbf{b}_1 = \frac{2\pi}{a} \left(1, -\frac{1}{\sqrt{3}}\right); \quad \mathbf{b}_2 = \frac{2\pi}{a} \left(1, \frac{1}{\sqrt{3}}\right),$$

and the symmetry points of the Brillouin zone have the coordinates:

$$M = \frac{\pi}{a} \left(1, \frac{1}{\sqrt{3}}\right); \quad K = \frac{2\pi}{a} \left(\frac{2}{3}, 0\right).$$



The values of $\Delta(\mathbf{k})$ at the symmetry points are:

$$\Delta(\Gamma) = 3; \quad \Delta(M) = 1; \quad \Delta(K) = 0.$$

For K , the solution is straightforward; the four band energies are:

$$\epsilon_{\mathbf{k}=K} = \left\{ E^B; \quad E^B; \quad \frac{E^A - M^A}{1 - S^{AA}}; \quad \frac{E^A + M^A}{1 + S^{AA}} \right\}.$$