

Ray Optics in Topologically Non-trivial Photonic Crystals

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in collaboration with Giuseppe De Nittis

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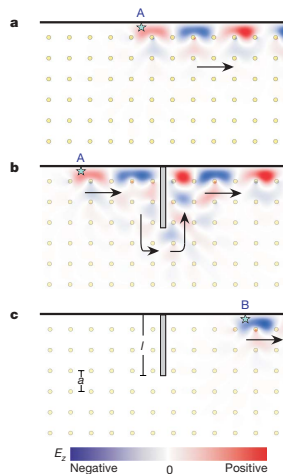
Talk Based on

Collaboration with **Giuseppe De Nittis**

- *On the Role of Symmetries in the Theory of Photonic Crystals*
Annals of Physics **350**, pp. 568--587, 2014
- *Effective Light Dynamics in Perturbed Photonic Crystals*
Comm. Math. Phys. **332**, issue 1, pp. 221--260, 2014
- *Derivation of Ray Optics Equations in Photonic Crystals Via a Semiclassical Limit*
arxiv:1502.07235, submitted for publication, 2015

Motivation

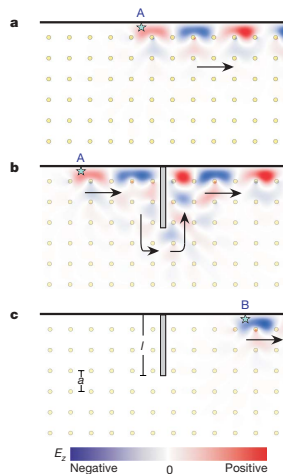
$$\begin{pmatrix} \bar{\epsilon} & 0 \\ 0 & \bar{\mu} \end{pmatrix} \neq \begin{pmatrix} \epsilon & 0 \\ 0 & \mu \end{pmatrix} \quad \Rightarrow$$



Wang et al (2009)

Motivation

Chern numbers $\neq 0$ (?) \iff



Wang et al (2009)

Motivation

*Understand **how topological effects emerge from electrodynamics**, starting from Maxwells equations.*

Motivation

... many natural connected problems, e. g.

- Role of symmetries \longleftrightarrow **photonic topological insulators**
- Topological invariants and their physical interpretation
 \rightsquigarrow **bulk-edge correspondences**
- Persistence of topological effects in random photonic crystals
 \rightsquigarrow Anderson localization

Part 1

Photonic Crystals

Part 2

Single-Band Ray Optics

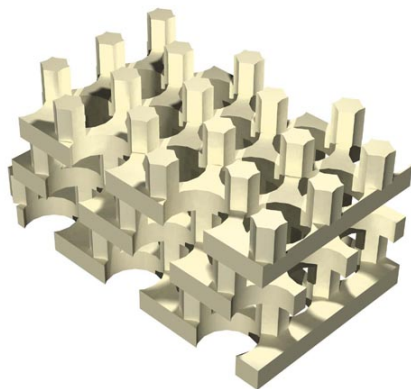
Part 3

Ray Optics for Real Fields

Part 1

Photonic Crystals

Photonic Crystals



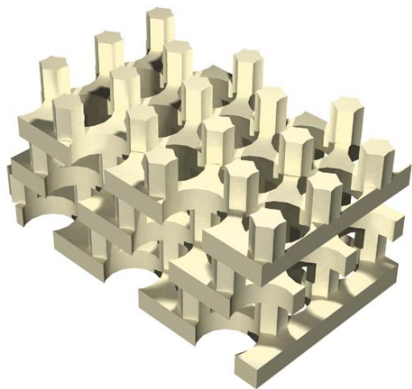
Johnson & Joannopoulos (2004)

Assumption (Material weights)

$$W(\mathbf{x}) = \begin{pmatrix} \varepsilon(\mathbf{x}) & 0 \\ 0 & \mu(\mathbf{x}) \end{pmatrix}$$

- ① $0 < c \mathbf{1} \leq W \leq C \mathbf{1}$
(excludes metamaterials)
- ② $W^* = W$ *(lossless)*
- ③ W frequency-independent
(response instantaneous)
- ④ W periodic wrt lattice $\Gamma \simeq \mathbb{Z}^3$

Photonic Crystals



Johnson & Joannopoulos (2004)

Maxwell equations

Dynamical equations

$$\begin{pmatrix} \varepsilon & 0 \\ 0 & \mu \end{pmatrix} \frac{\partial}{\partial t} \begin{pmatrix} \mathbf{E} \\ \mathbf{H} \end{pmatrix} = \begin{pmatrix} -\nabla_{\mathbf{x}} \times \mathbf{H} \\ +\nabla_{\mathbf{x}} \times \mathbf{E} \end{pmatrix}$$

Absence of sources

$$\begin{pmatrix} \operatorname{div}(\varepsilon \mathbf{E}) \\ \operatorname{div}(\mu \mathbf{H}) \end{pmatrix} = \begin{pmatrix} 0 \\ 0 \end{pmatrix}$$

Idea of Ray Optics

Find **simpler, effective dynamics** for states from a **narrow range of frequencies** where Chern numbers $\neq 0$.

Option 1

Effective tight-binding operators

↪ CMP article, but up to now with limitation Chern numbers = 0

Option 2

Ray optics limit

↪ Preprint, *considered here*

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Idea of Ray Optics

An incarnation of a **rigorous quantum-light analogy.**

Semiclassics \longleftrightarrow Ray Optics

Idea of Ray Optics

Maxwell Equations

$$\left. \begin{aligned} \begin{pmatrix} \varepsilon_\lambda & 0 \\ 0 & \mu_\lambda \end{pmatrix} \frac{\partial}{\partial t} \begin{pmatrix} \mathbf{E} \\ \mathbf{H} \end{pmatrix} &= \begin{pmatrix} -\nabla_x \times \mathbf{H} \\ +\nabla_x \times \mathbf{E} \end{pmatrix} \\ \begin{pmatrix} \text{div}(\varepsilon_\lambda \mathbf{E}) \\ \text{div}(\mu_\lambda \mathbf{H}) \end{pmatrix} &= \begin{pmatrix} 0 \\ 0 \end{pmatrix} \end{aligned} \right\}$$

$\xrightarrow{\lambda \ll 1}$

Ray Optics Equations

$\xrightarrow{\lambda \ll 1}$

$$\begin{cases} \dot{r} = +\nabla_k \Omega + \mathcal{O}(\lambda) \\ \dot{k} = -\nabla_r \Omega + \mathcal{O}(\lambda) \end{cases}$$

$\lambda \ll 1$ perturbation parameter
 Ω dispersion relation

Idea of Ray Optics

Maxwell Equations

$$\left. \begin{aligned} \begin{pmatrix} \varepsilon_\lambda & 0 \\ 0 & \mu_\lambda \end{pmatrix} \frac{\partial}{\partial t} \begin{pmatrix} \mathbf{E} \\ \mathbf{H} \end{pmatrix} &= \begin{pmatrix} -\nabla_x \times \mathbf{H} \\ +\nabla_x \times \mathbf{E} \end{pmatrix} \\ \begin{pmatrix} \text{div}(\varepsilon_\lambda \mathbf{E}) \\ \text{div}(\mu_\lambda \mathbf{H}) \end{pmatrix} &= \begin{pmatrix} 0 \\ 0 \end{pmatrix} \end{aligned} \right\}$$

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Maxwell Equations

$\lambda \ll 1 \rightarrow$

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$\lambda \ll 1$ perturbation parameter

Ω dispersion relation

Schrödinger Formalism of the Maxwell Equations

① *Field energy*

$$\mathcal{E}(\mathbf{E}, \mathbf{H}) = \frac{1}{2} \int_{\mathbb{R}^3} dx \begin{pmatrix} \mathbf{E}(\mathbf{x}) \\ \mathbf{H}(\mathbf{x}) \end{pmatrix} \cdot \begin{pmatrix} \varepsilon(\mathbf{x}) & 0 \\ 0 & \mu(\mathbf{x}) \end{pmatrix} \begin{pmatrix} \mathbf{E}(\mathbf{x}) \\ \mathbf{H}(\mathbf{x}) \end{pmatrix}$$

② *Dynamical equations*

$$\begin{pmatrix} \varepsilon & 0 \\ 0 & \mu \end{pmatrix} \frac{\partial}{\partial t} \begin{pmatrix} \mathbf{E} \\ \mathbf{H} \end{pmatrix} = \begin{pmatrix} -\nabla_x \times \mathbf{H} \\ +\nabla_x \times \mathbf{E} \end{pmatrix}$$

③ *No sources*

$$\begin{pmatrix} \operatorname{div}(\varepsilon \mathbf{E}) \\ \operatorname{div}(\mu \mathbf{H}) \end{pmatrix} = \begin{pmatrix} 0 \\ 0 \end{pmatrix}$$

Schrödinger Formalism of the Maxwell Equations

① *Field energy*

$$\mathcal{E}(\mathbf{E}, \mathbf{H}) = \mathcal{E}(\mathbf{E}(t), \mathbf{H}(t))$$

② *Dynamical equations*

$$\begin{pmatrix} \varepsilon & 0 \\ 0 & \mu \end{pmatrix} \frac{\partial}{\partial t} \begin{pmatrix} \mathbf{E} \\ \mathbf{H} \end{pmatrix} = \begin{pmatrix} -\nabla_x \times \mathbf{H} \\ +\nabla_x \times \mathbf{E} \end{pmatrix}$$

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Schrödinger Formalism of the Maxwell Equations

- ① *Field energy* $(\mathbf{E}, \mathbf{H}) \in L_w^2(\mathbb{R}^3, \mathbb{C}^6)$ with energy norm

$$\|(\mathbf{E}, \mathbf{H})\|_{L_w^2}^2 := \int_{\mathbb{R}^3} dx \begin{pmatrix} \mathbf{E}(x) \\ \mathbf{H}(x) \end{pmatrix} \cdot \begin{pmatrix} \varepsilon(x) & 0 \\ 0 & \mu(x) \end{pmatrix} \begin{pmatrix} \mathbf{E}(x) \\ \mathbf{H}(x) \end{pmatrix}$$

- ② *Dynamical equations* \rightsquigarrow »Schrödinger equation«

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Schrödinger Formalism of the Maxwell Equations

- ① *Field energy* $(\mathbf{E}, \mathbf{H}) \in L_w^2(\mathbb{R}^3, \mathbb{C}^6)$ with **energy norm**

$$\|(\mathbf{E}, \mathbf{H})\|_{L_w^2}^2 = 2 \mathcal{E}(\mathbf{E}, \mathbf{H})$$

- ② *Dynamical equations* \rightsquigarrow »Schrödinger equation«

$$\begin{pmatrix} \varepsilon & 0 \\ 0 & \mu \end{pmatrix} \frac{\partial}{\partial t} \begin{pmatrix} \mathbf{E} \\ \mathbf{H} \end{pmatrix} = \begin{pmatrix} -\nabla_x \times \mathbf{H} \\ +\nabla_x \times \mathbf{E} \end{pmatrix}$$

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$$i \underbrace{\frac{\partial}{\partial t} \begin{pmatrix} \mathbf{E} \\ \mathbf{H} \end{pmatrix}}_{=\Psi} = \underbrace{\begin{pmatrix} \varepsilon & 0 \\ 0 & \mu \end{pmatrix}^{-1} \begin{pmatrix} 0 & +i\nabla^\times \\ -i\nabla^\times & 0 \end{pmatrix}}_{=M} \begin{pmatrix} \mathbf{E} \\ \mathbf{H} \end{pmatrix}$$

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$$i \frac{\partial}{\partial t} \Psi = M \Psi$$

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The Frequency Band Picture

$$\begin{aligned}
 M &\cong M^{\mathcal{F}} = \int_{\mathbb{B}}^{\oplus} dk M(k) \\
 &= \int_{\mathbb{B}}^{\oplus} dk \begin{pmatrix} \varepsilon & 0 \\ 0 & \mu \end{pmatrix}^{-1} \begin{pmatrix} 0 & +(-i\nabla_y + k)^{\times} \\ -(-i\nabla_y + k)^{\times} & 0 \end{pmatrix}
 \end{aligned}$$

$$\mathfrak{D}(M(k)) = \underbrace{(H^1(\mathbb{T}^3, \mathbb{C}^6) \cap J_w(k))}_{\text{physical states}} \oplus G(k) \subset L_w^2(\mathbb{T}^3, \mathbb{C}^6)$$

$$M(k)|_{G(k)} = 0 \Rightarrow \text{focus on } M(k)|_{J_w(k)}$$

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The Frequency Band Picture

Physical bands

$$M(k)\varphi_n(k) = \omega_n(k)\varphi_n(k)$$

- **Frequency band functions** $k \mapsto \omega_n(k)$
- **Bloch functions** $k \mapsto \varphi_n(k)$
- both locally continuous everywhere
- both locally analytic *away from band crossings*

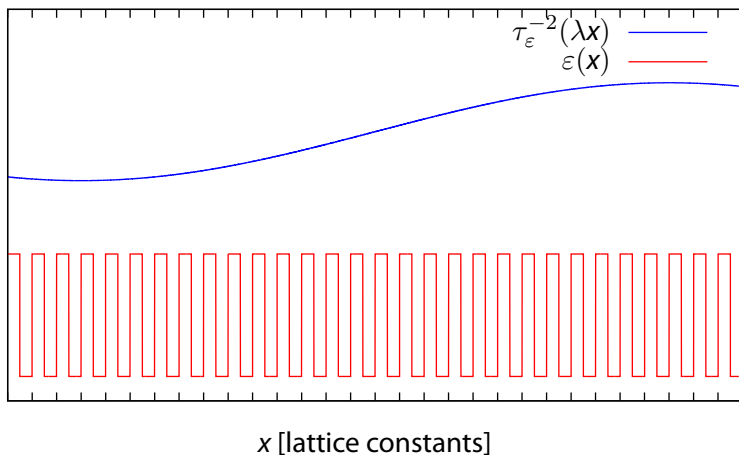
The Frequency Band Picture

Physical bands

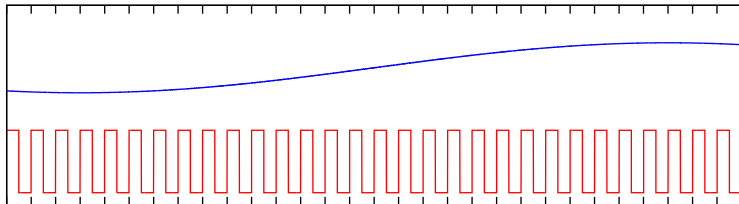
$$M(k)\varphi_n(k) = \omega_n(k) \varphi_n(k)$$

- Frequency band functions $k \mapsto \omega_n(k)$
- Bloch functions $k \mapsto \varphi_n(k)$
- both **locally continuous** everywhere
- both **locally analytic** *away from band crossings*

Perturbed Photonic Crystals



Perturbed Photonic Crystals

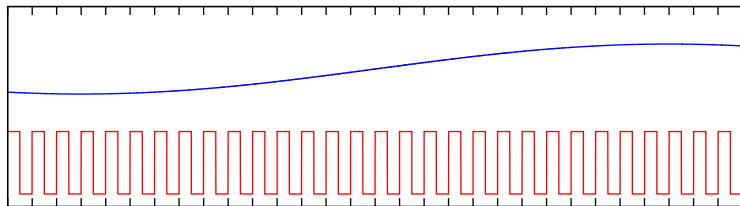


Perturbation of material constants

$$\lambda = \frac{\text{[lattice spacing]}}{\text{[length scale of modulation]}} \ll 1$$

$$\varepsilon(\mathbf{x}) \rightsquigarrow \varepsilon_\lambda(\mathbf{x}) := \tau_\varepsilon^{-2}(\lambda\mathbf{x}) \varepsilon(\mathbf{x}), \quad \mu(\mathbf{x}) \rightsquigarrow \mu_\lambda(\mathbf{x}) := \tau_\mu^{-2}(\lambda\mathbf{x}) \mu(\mathbf{x})$$

Perturbed Photonic Crystals



Assumption (Slow modulation)

$$\tau_\varepsilon, \tau_\mu \in \mathcal{C}_b^\infty(\mathbb{R}^3), \tau_\varepsilon, \tau_\mu \geq c > 0$$

Adiabatically Perturbed Maxwell Operator

$$\begin{aligned}
 M_\lambda &= S_\lambda^{-2} M \\
 &= \begin{pmatrix} \tau_\varepsilon^2(\lambda x) & 0 \\ 0 & \tau_\mu^2(\lambda x) \end{pmatrix} \begin{pmatrix} \varepsilon^{-1} & 0 \\ 0 & \mu^{-1} \end{pmatrix} \begin{pmatrix} 0 & +(-i\nabla_x)^\times \\ -(-i\nabla_x)^\times & 0 \end{pmatrix}
 \end{aligned}$$

Slow modulation & periodic Maxwell operator

↪ Perturbations are multiplicative!

Defined on λ -dependent Hilbert space $\mathfrak{H}_\lambda := L_{w_\lambda}^2(\mathbb{R}^3, \mathbb{C}^6)$

Adiabatically Perturbed Maxwell Operator

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Slow modulation & periodic Maxwell operator

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Part 2

Single-Band Ray Optics

Ray Optics Limit via Semiclassical Techniques

Idea

For $(\mathbf{E}, \mathbf{H}) \in \mathfrak{H}_{\text{rel}}$ from a closed subspace of relevant states:

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where

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Class of **Observables**

- Functionals $F : L_w^2(\mathbb{R}^3, \mathbb{C}^6) \longrightarrow \mathbb{C}$,

$$F(\Psi) = \langle \Psi, \text{Op}_\lambda(f)\Psi \rangle_\lambda := \langle \Psi, S_\lambda^{-1} \mathcal{F}^{-1} f(i\lambda \nabla_k, \hat{k}) \mathcal{F} S_\lambda \Psi \rangle_\lambda$$

- \neq Quantum mechanics
- Here: quadratic observables, defined in terms of Ψ DO $\text{Op}_\lambda(f)$
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Definition (Quadratic observables)

Suppose the electromagnetic observable

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is defined in terms of a Ψ DO associated to a function f .

- ① We call F **scalar** if $f \equiv f \otimes \text{id}_\eta$ and $f \in C_b^\infty(\mathbb{R}^6, \mathbb{C})$ are **periodic** in k .
- ② We call F **non-scalar** if $f \in C_b^\infty(\mathbb{R}^6, \mathcal{B}(L_w^2(\mathbb{T}^3, \mathbb{C}^6)))$ is an operator-valued function satisfying the equivariance condition

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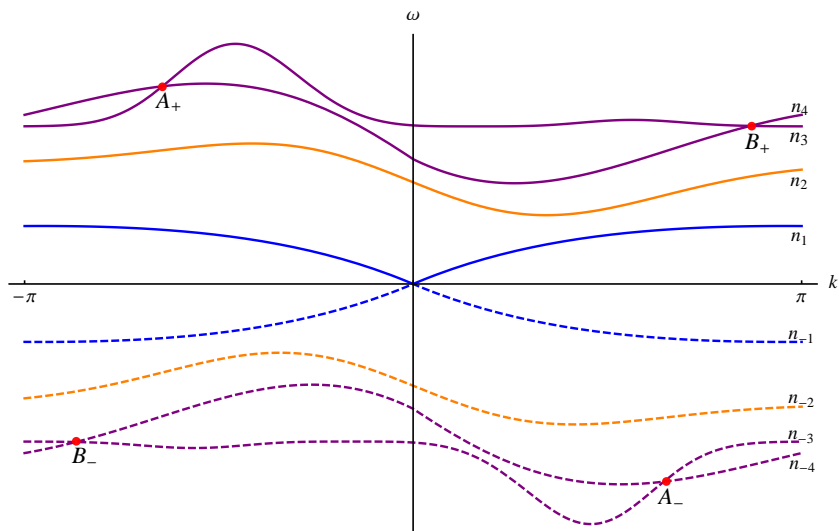
States From a Narrow Range of Frequencies

Relevant states

Projection onto $\mathfrak{H}_{\text{rel}} = \text{ran } \Pi_\lambda$

- Closedness $\iff \exists$ projection Π_λ
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Definition (Relevant states: unperturbed)

$$\Pi_0 \cong \int_{\mathbb{B}}^{\oplus} dk 1_{\{\omega_*(k)\}}(M(k)) \text{ so that}$$

- ① $\sigma_{\text{rel}}(k) = \{\omega_*(k)\}$ **isolated** band
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States From a Narrow Range of Frequencies

Theorem (De Nittis-L. 2014 (CMP))

Suppose band $\sigma_{\text{rel}}(k) = \{\omega_*(k)\}$ is an **isolated** band and $0 \notin \sigma_{\text{rel}}(0)$.
Then there exists an orthogonal projection

$$\Pi_\lambda \cong \int_{\mathbb{B}}^{\oplus} dk 1_{\{\omega_*(k)\}}(M(k)) + \mathcal{O}(\lambda)$$

which can be computed explicitly order-by-order so that

$$[M_\lambda, \Pi_\lambda] = \mathcal{O}(\lambda^\infty)$$

and whose **range** supports **physical states**.

Modified dispersion relation

$$\Omega = \Omega_0 + \lambda \Omega_1 := \tau^2 \omega - \lambda \tau^2 \mathcal{P} \cdot \nabla_r \ln \frac{\tau_\epsilon}{\tau_\mu}$$

where

$$\mathcal{P}(k) := \text{Im} \int_{\mathbb{T}^3} dy \overline{\varphi^E(k, y)} \times \varphi^H(k, y)$$

The Ray Optics Limit: The Scalar Case

Theorem (De Nittis-L. 2015)

For **scalar** observables where $f \in C_b^\infty(\mathbb{R}^6, \mathbb{C})$, the **ray optics flow** Φ^λ associated to the hamiltonian equations

$$\begin{pmatrix} \dot{r} \\ \dot{k} \end{pmatrix} = \begin{pmatrix} -\lambda \Xi & +\text{id} \\ -\text{id} & 0 \end{pmatrix} \begin{pmatrix} \nabla_r \Omega \\ \nabla_k \Omega \end{pmatrix},$$

which include the Berry curvature $\Xi := (\nabla_k \times i \langle \varphi, \nabla_k \varphi \rangle_{L_w^2(\mathbb{T}^3, \mathbb{C}^6)})^\times$ as part of the symplectic form, approximates the full light dynamics for $\Psi \in \text{ran } \Pi_\lambda$ and bounded times in the sense

$$F(\Psi(t)) = F(e^{-i \frac{t}{\lambda} M_\lambda} \Psi) = \left\langle \Psi, \text{Op}_\lambda(f \circ \Phi_t^\lambda) \Psi \right\rangle_\lambda + \mathcal{O}(\lambda^2).$$

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The Ray Optics Limit: The Scalar Case

Remark

*The result also holds in case ω is a Bloch band with **non-zero Chern charge**.*

The Ray Optics Limit: The Non-Scalar Case

Theorem (De Nittis-L. 2015)

For **non-scalar** observables where $f \in C_b^\infty(\mathbb{R}^6, \mathcal{B}(L_w^2(\mathbb{T}^3, \mathbb{C}^6)))$, the ray optics flow Φ^λ associated to the hamiltonian equations

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approximates the full light dynamics for $\Psi \in \text{ran } \Pi_\lambda$ and bounded times in the sense

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where we have transported the modified non-scalar observable $f_{r_0} := \pi_\lambda \# f \# \pi_\lambda + \mathcal{O}(\lambda^2)$ along the flow Φ^λ .

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Idea of Proof

Proof.

- Crucial technical tool: **pseudodifferential calculus**
- Projection onto almost-invariant subspace:

$$\Pi_\lambda = \pi_\lambda (i\lambda \nabla_k, \hat{k}) + \mathcal{O}(\lambda^\infty)$$

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Construction of almost-invariant projection:

$$\pi_\lambda(r, k) \asymp \frac{i}{2\pi} \int_{\Gamma(r, k)} dz (\mathcal{M}_\lambda - z)^{(-1)\sharp}(r, k)$$

- Here: $(\mathcal{M}_\lambda - z)^{(-1)\sharp}$ is the **Moyal resolvent**

$$(\mathcal{M}_\lambda - z)^{(-1)\sharp} \sharp (\mathcal{M}_\lambda - z) = 1 + \mathcal{O}(\lambda^\infty)$$

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Part 3

Ray Optics for Real Fields

Real Fields: A Multiband Problem

Complex conjugation in Bloch-Floquet representation:

$$(C\Psi)(\mathbf{x}) = \overline{\Psi(\mathbf{x})} \iff (C^{\mathcal{F}}\varphi)(\mathbf{k}, \mathbf{y}) = \overline{\varphi(-\mathbf{k}, \mathbf{y})}$$

$CWC = \bar{W} = W$ induces symmetry in band spectrum:

$$M(\mathbf{k})\varphi_n(\mathbf{k}) = \omega_n(\mathbf{k})\varphi_n(\mathbf{k})$$

$$\iff$$

$$M(\mathbf{k})C\varphi_n(-\mathbf{k}) = -\omega_n(-\mathbf{k})C\varphi_n(-\mathbf{k})$$

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$\varphi_+(k)$ Bloch function associated to $\omega_+(k)$

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Real states \Rightarrow *bona fide* multiband problem

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Real states from a narrow range of frequencies

Definition (Physical states: perturbed)

$$\Pi_\lambda \cong \int_{\mathbb{B}}^{\oplus} dk \, 1_{\sigma_{\text{rel}}(k)}(M(k)) + \mathcal{O}(\lambda) \text{ so that}$$

- ① $\sigma_{\text{rel}}(k) = \sigma_{\text{rel}}(-k) = \bigcup_{n \in \mathcal{I}} \{\omega_n(k)\}$ **isolated** family of bands
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- ④ **real:** $C \Pi_\lambda C = \Pi_\lambda + \mathcal{O}(\lambda^\infty)$

Real states from a narrow range of frequencies

Theorem (De Nittis-L. 2014 (CMP))

There exist orthogonal projections

$$\Pi_\lambda = \Pi_{+,\lambda} + \Pi_{-,\lambda} + \mathcal{O}(\lambda^\infty)$$

so that

$$[M_\lambda, \Pi_{\pm,\lambda}] = \mathcal{O}(\lambda^\infty)$$

*whose **range** $\text{ran } \Pi_\lambda$ supports **physical states**.*

The Ray Optics Limit for Real Fields

Theorem (De Nittis-L. 2015)

If in addition $\overline{f(r, -k)} = f(r, k)$, then

$$\mathcal{F}(\Psi(t)) = 4 \left\langle \Psi, \operatorname{Re} \Pi_{+, \lambda} \operatorname{Op}_\lambda(f_{\text{ro}} \circ \Phi_t^\lambda) \Pi_{+, \lambda} \operatorname{Re} \Psi \right\rangle_\lambda + \mathcal{O}(\lambda^2)$$

where $f_{\text{ro}} = f$ (scalar) or $f_{\text{ro}} = \pi_\lambda \# f \# \pi_\lambda$ (non-scalar).

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Idea of the Proof

Lemma

$$[F, C] = 0 \implies \Pi_\lambda F \Pi_\lambda \text{Re} = 4\text{Re} \Pi_{+, \lambda} F \Pi_{+, \lambda} \text{Re} + \mathcal{O}_{\|\cdot\|}(\lambda^\infty)$$

Proof.

Step 1

Reduction to single-band case

- $[M_\lambda, C] = 0 \implies [e^{-itM_\lambda}, C] = 0$
- $f(r, -k) = \overline{f(r, k)} \implies [\text{Op}_\lambda(f), C] = 0$
- Set $F = e^{+i\frac{t}{\lambda}M_\lambda} \text{Op}_\lambda(f) e^{-i\frac{t}{\lambda}M_\lambda}$



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Step 2

Invoke result on single-band case

$$\begin{aligned} \implies \Pi_{+, \lambda} e^{+i \frac{t}{\lambda} M_\lambda} \operatorname{Op}_\lambda(f) e^{-i \frac{t}{\lambda} M_\lambda} \Pi_{+, \lambda} &= \\ &= \Pi_{+, \lambda} \operatorname{Op}_\lambda(f_{\operatorname{ro}} \circ \Phi_t^\lambda) \Pi_{+, \lambda} + \mathcal{O}(\lambda^2) \end{aligned}$$



Idea of the Proof

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Thank you for your attention!

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