



Topology and Me

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Berry's Phase, TKN^2 Integers and All That: My work on Topology in Condensed Matter Physics 1983-1993

Barry Simon

IBM Professor of Mathematics and Theoretical Physics, Emeritus
California Institute of Technology
Pasadena, CA, U.S.A.



Introduction

I was a pioneer in the use of topology and geometry (mathematicians sometimes use “geometry” when there is an underlying distance and “topology” for those geometric object that don’t rely on a distance) in NRQM.

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I emphasize that Thouless et al never mention “topology” and that Thouless learned they’d found a topological invariant, essentially the Chern class, from me.

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My Background

As a mathematician, I am mainly an analyst and most of my training and expertise is analytic so I should explain about how I came to know enough topology/geometry to realize its significance in NRQM.

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Hopf Fibration

One of the simplest examples of fibrations of interest in physics is the Hopf fibration, a natural map of S^3 to S^2 .

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Witten

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Gauss Bonnet

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$$\frac{1}{2\pi} \int K d\omega = \frac{1}{2\pi} \frac{1}{R^2} 4\pi R^2 = 2$$



Gauss Bonnet

The remarkable fact is that if you deform the sphere to another surface, say, an ellipsoid, then the curvature is no longer constant but the integral above is still 2.

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The remarkable fact is that if you deform the sphere to another surface, say, an ellipsoid, then the curvature is no longer constant but the integral above is still 2. But this is not true for the torus. The integral is still independent of the underlying metric needed to define K , but it is 0, as can be seen by looking at the flat torus $\mathbb{R}^2/\mathbb{Z}^2$ with the Euclidean metric on \mathbb{R}^2 (which cannot be isometrically embedded into \mathbb{R}^3 but can in \mathbb{R}^4).

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Holonomy

To explain holonomy, consider someone carrying a spear around the earth trying at all times to keep the spear tangent to the sphere and parallel to the direction it was pointing.

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To explain holonomy, consider someone carrying a spear around the earth trying at all times to keep the spear tangent to the sphere and parallel to the direction it was pointing. Imagine, going along the equator through one quarter of the earth, turning left, going to the north pole,

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Holonomy

To explain holonomy, consider someone carrying a spear around the earth trying at all times to keep the spear tangent to the sphere and parallel to the direction it was pointing. Imagine, going along the equator through one quarter of the earth, turning left, going to the north pole, turning left and going back to the original point. Suppose the spear is parallel to the equator at the start. The person turns to move along a line of longitude, but being careful not to turn the spear, it will point directly to his right. After the next turn, the spear will point backwards.

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Feynman

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TKNN

In early 1983, Yosi Avron told me about the Phys Rev Letters paper of Thouless and his group (Kohmoto, Nightingale and den Nijs)

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Our Work

We quickly realized that their integers were associated to a single band which was assumed non-degenerate

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Our Work

We quickly realized that their integers were associated to a single band which was assumed non-degenerate (i.e. at every point in the Brillouin zone, the eigenstate for that band is simple)

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We quickly realized that their integers were associated to a single band which was assumed non-degenerate (i.e. at every point in the Brillouin zone, the eigenstate for that band is simple) and their integrand involved the change of eigenfunction.

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Our Work

We quickly realized that their integers were associated to a single band which was assumed non-degenerate (i.e. at every point in the Brillouin zone, the eigenstate for that band is simple) and their integrand involved the change of eigenfunction. We also realized that since the integrand was an integer it had to be invariant under continuous change and so an indication of a homotopy invariant of maps from the two dimension torus T^2 to unit vectors in Hilbert space mod phases (equivalently a continuous assignment of a one dimensional subspace in the Hilbert space to each point in T^2).

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Our Work

We also considered that there might be non-trivial homotopy invariants depending on several bands so what we wanted to consider was the homotopy groups of the set, \mathcal{N} , of compact operators with non-degenerate eigenvalues.

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We also considered that there might be non-trivial homotopy invariants depending on several bands so what we wanted to consider was the homotopy groups of the set, \mathcal{N} , of compact operators with non-degenerate eigenvalues. We got excited since if, for example, we found a non-trivial π_3 , there would be new topological invariants for the physically relevant three-dimensional torus!

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Our Work

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$$\pi_j(\mathcal{N}) = \pi_{j-1}(DU(\mathcal{H})).$$



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Our Work

We added Reudi Seiler, whom Yosi had been consulting, to the authors and published this negative result in *Physical Review Letters*.

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Our Work

We added Reudi Seiler, whom Yosi had been consulting, to the authors and published this negative result in *Physical Review Letters*. We made a big deal of our new result that if two non-degenerate bands with TKNN integers n_1 and n_2 went through a degeneracy as parameters were varied so that afterwards they were again non-degenerate with TKNN integers n_3 and n_4 , then $n_1 + n_2 = n_3 + n_4$.

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The Curvature

We also found two compact formulae for the integrand that eventually became commonly used in further work.

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The Curvature

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The Curvature

You might worry that because $df \wedge df = 0$, if there were no trace and P_j were a function, the quantity *would* be 0.

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$$K = i \sum_{k,\ell} \text{Tr} \left(\frac{\partial P_j}{\partial x_k} P_j \frac{\partial P_j}{\partial x_\ell} \right) dx_k \wedge dx_\ell$$

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where $[\cdot, \cdot]$ is commutator and we used the antisymmetry of $dx_k \wedge dx_\ell$.

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Australia!

The next part of this story took place in Australia,

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Australia!

The next part of this story took place in Australia, so I should mention that trip in the summer of 1983 (well, the winter in Australia!) almost didn't happen!

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Australia!

The next part of this story took place in Australia, so I should mention that trip in the summer of 1983 (well, the winter in Australia!) almost didn't happen! My fourth child, Aryeh, was born in Dec., 1982 and given the time to get his birth certificate and passport, it was only the end of April that I was able to contact the Australian consul in Los Angeles to get visas for all of us including a work visa for me.

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Australia!

The next part of this story took place in Australia, so I should mention that trip in the summer of 1983 (well, the winter in Australia!) almost didn't happen! My fourth child, Aryeh, was born in Dec., 1982 and given the time to get his birth certificate and passport, it was only the end of April that I was able to contact the Australian consul in Los Angeles to get visas for all of us including a work visa for me. He sent a long medical form for me requiring a new general exam from a doctor and xray. I'd had them 3 months before at Kaiser Health Services but was told by the consul that I had to do them over. I've been raised to avoid unnecessary xrays and I wasn't sure Kaiser would agree to a second exam.

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Australia!

The consul was uncooperative, almost nasty.

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Australia!

The consul was uncooperative, almost nasty. This was not only pre-Skype but email was almost non-existent and intercontinental phone calls were very expensive,

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Berry

Derek was actually away for the first two weeks of my visit

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Derek was actually away for the first two weeks of my visit but Brian Davies had also just arrived so we collaborated together on what became the work on ultracontractivity.

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Berry

He explained to me his work on an extra phase he'd found in the adiabatic theorem and gave me a copy of the manuscript that he'd recently submitted to Proc. Roy. Soc.

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The Adiabatic Theorem

Berry's paper dealt with the quantum adiabatic theorem.

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The Adiabatic Theorem

Berry's paper dealt with the quantum adiabatic theorem. This theorem deals with a time dependent Hamiltonian $H(s); 0 \leq s \leq 1$ and considers T large and $H(s/T)$ so one is looking at very slow changes.

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The Adiabatic Theorem

Berry's paper dealt with the quantum adiabatic theorem. This theorem deals with a time dependent Hamiltonian $H(s); 0 \leq s \leq 1$ and considers T large and $H(s/T)$ so one is looking at very slow changes.

$\varphi_T(s) \equiv \tilde{U}_T(s)\varphi; 0 \leq s \leq T$ solves

$\dot{\varphi}_T(s) = -iH(s/T)\varphi_T(s); \varphi_T(0) = \varphi.$

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The Adiabatic Theorem

Berry asked and answered the question, what happens if $H(1) = H(0)$ so you end where you start.

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The Adiabatic Theorem

Berry asked and answered the question, what happens if $H(1) = H(0)$ so you end where you start. What is the limiting phase of $\varphi_T(T)$.

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Berry asked and answered the question, what happens if $H(1) = H(0)$ so you end where you start. What is the limiting phase of $\varphi_T(T)$. The surprise he found (it turned out that in 1956 Pancharatnam had done the same thing, but it had been forgotten) is that the naive guess that $\varphi_T(T) \sim e^{-iT \int_0^1 E(s) ds} \varphi$ is wrong

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The Adiabatic Theorem

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Berry asked and answered the question, what happens if $H(1) = H(0)$ so you end where you start. What is the limiting phase of $\varphi_T(T)$. The surprise he found (it turned out that in 1956 Pancharatnam had done the same thing, but it had been forgotten) is that the naive guess that $\varphi_T(T) \sim e^{-iT \int_0^1 E(s) ds} \varphi$ is wrong but that there is an additional phase, $e^{i\Gamma}$. In my paper, I gave Γ the name it is known by - *Berry's phase*.



The Adiabatic Theorem

Berry originally wrote Γ as a line integral but, then,

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The Adiabatic Theorem

Berry originally wrote Γ as a line integral but, then, assuming that the family $H(s)$ was a closed curve in a parameter space, he used Stokes theorem to write Γ as the integral over a surface, S , in parameter space whose boundary was the closed curve in the form

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$$K = \text{Im} \sum_{m \neq 0} \frac{\langle \varphi_m(\omega), \nabla H(\omega) \varphi_0(\omega) \rangle \times \langle \varphi_0(\omega), \nabla H(\omega) \varphi_m(\omega) \rangle}{(E_m(\omega) - E_0(\omega))^2}$$

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where he supposed the interpolating Hamiltonian $H(\omega)$ had a complete set $\{\varphi_m\}_m$ of simple eigenfunctions with $H(\omega)\varphi_m(\omega) = E_m(\omega)\varphi_m(\omega)$ and $P(\omega)\varphi_0(\omega) = \varphi_0(\omega)$; $E(\omega) = E_0(\omega)$.

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My Work

What I did in my paper is realize that what Berry was doing was simple and standard geometry

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My Work

What I did in my paper is realize that what Berry was doing was simple and standard geometry in the exact same setting as TKNN.

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My Work

What I did in my paper is realize that what Berry was doing was simple and standard geometry in the exact same setting as TKNN. I'd learned in the meantime that the TKNN integers were called the Chern invariant and the curvature K was called the Chern class

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What I did in my paper is realize that what Berry was doing was simple and standard geometry in the exact same setting as TKNN. I'd learned in the meantime that the TKNN integers were called the Chern invariant and the curvature K was called the Chern class and used those names for the first time in this context. The adiabatic theorem defines a connection, i.e. a way of doing parallel transport and Berry's phase was nothing but the holonomy in this connection. Berry had used our first, not explicitly phase covariant, formula as an intermediate formula in his paper but didn't have the phase invariant formula of Avron-Seiler-Simon.

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My Work

Despite the fact that our independent work was earlier
(dates of submission for our paper is May 31, 1983 and his
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My Work

Despite the fact that our independent work was earlier (dates of submission for our paper is May 31, 1983 and his June 13, 1983) and that the geometric ideas were in our paper (and more explicitly with the name curvature in my Berry phase paper),

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My Work

Despite the fact that our independent work was earlier (dates of submission for our paper is May 31, 1983 and his June 13, 1983) and that the geometric ideas were in our paper (and more explicitly with the name curvature in my Berry phase paper), K is universally known as the *Berry curvature*.

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Despite the fact that our independent work was earlier (dates of submission for our paper is May 31, 1983 and his June 13, 1983) and that the geometric ideas were in our paper (and more explicitly with the name curvature in my Berry phase paper), K is universally known as the *Berry curvature*.

Berry also realized that in situations where the parameter space could be interpolated into higher dimensions, that eigenvalue degeneracies were sources of curvature, a theme I developed in my paper.

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Some Related Work

In the vast literature related to these issues, I should mention two especially illuminating points.

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Some Related Work

In the vast literature related to these issues, I should mention two especially illuminating points. The first involves the fact that the first mathematically precise and, in many ways, still the best proof of the quantum adiabatic theorem is Kato's 1950 proof!

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In the vast literature related to these issues, I should mention two especially illuminating points. The first involves the fact that the first mathematically precise and, in many ways, still the best proof of the quantum adiabatic theorem is Kato's 1950 proof! Without loss, one can suppose $E(s)=0$ (otherwise replace $H(s)$ by $H(s) - E(s)\mathbf{1}$).

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Some Related Work

In the vast literature related to these issues, I should mention two especially illuminating points. The first involves the fact that the first mathematically precise and, in many ways, still the best proof of the quantum adiabatic theorem is Kato's 1950 proof! Without loss, one can suppose $E(s)=0$ (otherwise replace $H(s)$ by $H(s) - E(s)\mathbf{1}$). Kato constructs a comparison dynamics solving

$$\frac{d}{ds}W(s) = iA(s)W(s), \quad 0 \leq s \leq 1; \quad W(0) = \mathbf{1}$$

$$iA(s) \equiv [P'(s), P(s)]$$

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Some Related Work

for which

$$W(s)^{-1}P(s)W(s) = P(0)$$

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Some Related Work

for which

$$W(s)^{-1}P(s)W(s) = P(0)$$

by an explicit calculation and he proves that

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The relevant point here is that $W(s)$ defines a connection whose differential is $[P, dP]$ so that its differential, the curvature, is given by an earlier formula.

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The relevant point here is that $W(s)$ defines a connection whose differential is $[P, dP]$ so that its differential, the curvature, is given by an earlier formula. Thus the Avron-Simon-Seiler formula for the Berry curvature was almost in Kato's paper nearly 35 years before!

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The relevant point here is that $W(s)$ defines a connection whose differential is $[P, dP]$ so that its differential, the curvature, is given by an earlier formula. Thus the Avron-Simon-Seiler formula for the Berry curvature was almost in Kato's paper nearly 35 years before!

Secondly, as noted in my Berry phase paper, when the Hilbert space is \mathbb{C}^n , this connection appeared a 1965 paper of Bott-Chern.

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for which

$$W(s)^{-1}P(s)W(s) = P(0)$$

by an explicit calculation and he proves that

$$\|W(s)P(0) - U_T(s)P(0)\| = O(1/T)$$

The relevant point here is that $W(s)$ defines a connection whose differential is $[P, dP]$ so that its differential, the curvature, is given by an earlier formula. Thus the Avron-Simon-Seiler formula for the Berry curvature was almost in Kato's paper nearly 35 years before!

Secondly, as noted in my Berry phase paper, when the Hilbert space is \mathbb{C}^n , this connection appeared a 1965 paper of Bott-Chern. As noted later by Aharonov-Anadan, this connection is induced by a Riemannian metric going back to Fubini and Study at the start of the twentieth century.

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Time Reversal Covariance

I returned to the subject of the quantum Hall effect and Berry's phase twice.

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Time Reversal Covariance

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Time Reversal Covariance

But after the talk, he realized that in the complex case, phase ambiguity meant there was no unique way to continue under just perturbation of parameters and then, that the adiabatic theorem did give a way of continuing which in the complex case could lead to a non-trivial phase).

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Since the curvature must be real, the Im in the formulae for curvature show if all the P 's are real then $K = 0$ and there is no Berry phase.

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Since the curvature must be real, the Im in the formulae for curvature show if all the P 's are real then $K = 0$ and there is no Berry phase. For spinless particles, time reversal just complex conjugates the wave function so the mantra became "time reversal invariance kills Berry's phase". Magnetic fields destroy reality of the operators (and are not time reversal invariant). Indeed, the basic example is to take a constant magnetic field, $\mathbf{B} \in \mathbb{R}^3$ and $H(\mathbf{B}) = \mathbf{B} \cdot \sigma$ where σ is a spin s spin. The curvature is then $(2s + 1)\mathbf{B}/B^3$.

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Avron-Sadun-Seigert-Simon

In work with Avron and two then postdocs Sadun and Seigert in 1988,

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Avron-Sadun-Seigert-Simon

In work with Avron and two then postdocs Sadun and Seigert in 1988, I discovered that for fermions you could have a non-zero Berry phase even with time reversal invariance and that there was a remarkable underlying quaternionic structure relevant to their study.

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Avron-Sadun-Seigert-Simon

In work with Avron and two then postdocs Sadun and Seigert in 1988, I discovered that for fermions you could have a non-zero Berry phase even with time reversal invariance and that there was a remarkable underlying quaternionic structure relevant to their study. The underlying issue goes back to a 1932 paper of Wigner on time reversal invariance, T , in quantum mechanics. He first proved his famous theorem that symmetries in quantum mechanics are given by either unitary or anti-unitary operators and then argued that T was always antiunitary with $T^2 = \mathbf{1}$ for bosons and $T^2 = -\mathbf{1}$ for fermions.

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Avron-Sadun-Seigert-Simon

In the Bose case, that means T acts like a complex conjugate and so the argument of no Berry's phase applies but not in the fermion case.

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In the Bose case, that means T acts like a complex conjugate and so the argument of no Berry's phase applies but not in the fermion case. Instead $J \equiv T$ and, I , the map of multiplication by i are two anticommuting operators whose squares are each -1 , so they and $K = IJ$ turn the underlying vector space into one over the quaternions!

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Just as the simplest example of Berry's phase is a spin $1/2$ magnetic dipole, our simple example is a spin $3/2$ electric quadrupole. An interesting feature concerns the fact that eigenspaces are never simple but always even complex dimension.



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Avron-Sadun-Seigert-Simon

One noteworthy aspect of our paper is its abstract which reads in full:

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Pairs of Projections

My other work in this area is three related papers that I wrote with Avron and Seiler in 1990 that followed up on an alternate approach to the quantum Hall effect due to Bellisard in which topology entered as an index in C^* -algebraic K-theory.

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Theorem. *Let P and Q be two orthogonal projections so that $P - Q$ is trace class. Then $\text{Tr}(P - Q)$ is an integer.*

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Remarks 1. This is a result that begs to be proven by Goldberger's method

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3. There is a huge literature on pairs of projections. I have several much more recent papers on pairs of projections.

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The Proof

Our proof relied on two operators used extensively by Kato in his book, $A = P - Q$ and $B = 1 - P - Q$

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where we sum over eigenvalues and $d_{\lambda} = \dim(\mathcal{H}_{\lambda})$ with $\mathcal{H}_{\lambda} = \{\varphi \mid A\varphi = \lambda\varphi\}$.

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A Comprehensive Course in Analysis, Part 1

Barry Simon

$xy \leq \frac{x^p}{p} + \frac{y^q}{q}$

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Basic Complex Analysis

Basic Complex Analysis
A Comprehensive Course in Analysis, Part 2A

Barry Simon

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Part
2A

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A Comprehensive Course in Analysis by Poincaré Prize winner Barry Simon is a five-volume set that can serve as a graduate-level analysis textbook with a lot of additional bonus information, including hundreds of problems and numerous notes that extend the text and provide important historical background. Depth and breadth of exposition make this set a valuable reference source for almost all areas of classical analysis.

Part 2A is devoted to basic complex analysis. It interweaves three analytic threads associated with Cauchy, Riemann, and Weierstrass, respectively. Cauchy's view focuses on the differential and integral calculus of functions of a complex variable, with the key topics being the Cauchy integral formula and contour integration. For Riemann, the geometry of the complex plane is central, with key topics being fractional linear transformations and conformal mapping. For Weierstrass, the power series is king, with key topics being spaces of analytic functions, the product formulas of Weierstrass and Hadamard, and the Weierstrass theory of elliptic functions. Subjects in this volume that are often missing in other texts include the Cauchy integral theorem when the contour is the boundary of a Jordan region, continued fractions, two proofs of the big Picard theorem, the uniformization theorem, Ahlfors's function, the sheaf of analytic germs, and Jacobi, as well as Weierstrass, elliptic functions.

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$$f(z_0) = \frac{1}{2\pi i} \int_{|z|=1} \frac{f(z)}{z - z_0} dz$$

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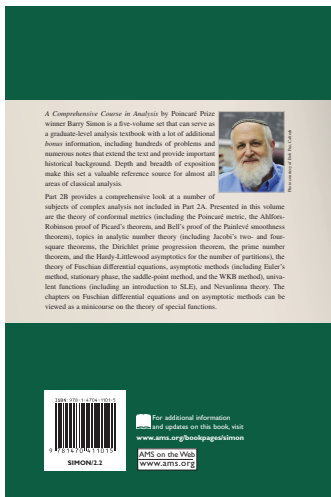
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Advanced Complex Analysis A Comprehensive Course in Analysis, Part 2B

Barry Simon

$$\frac{\pi(x)}{(x/\log x)} \rightarrow 1$$



$$J_u(x) \sim \sqrt{\frac{2}{\pi x}} \cos\left(x - \frac{\alpha x}{2} - \frac{\pi}{4}\right) + o(x^{-1/2})$$



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Harmonic Analysis

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Part 3 returns to the themes of Part 1 by discussing pointwise limits (going beyond the usual focus on the Hardy-Littlewood maximal function) by including ergodic theorems and martingale convergence, harmonic functions and potential theory, frames and wavelets, H^p spaces (including bounded mean oscillation (BMO)) and, in the final chapter, lots of inequalities, including Sobolev spaces, Calderón-Zygmund estimates, and hypercontractive semigroups.

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Harmonic Analysis

ANALYSIS

Part 3

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Harmonic Analysis
A Comprehensive Course in Analysis, Part 3

Barry Simon



$$\|f - f_Q\|_Q = \frac{1}{|Q|} \int_Q |f(x) - f_Q| dx$$

$$|\{x \mid M_{HL} f(x) > \alpha\}| \leq \frac{3^n}{\alpha} \|f\|_{L^1(\mathbb{R}^n, dx)}$$



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Operator Theory
A Comprehensive Course in Analysis, Part 4

Barry Simon

$A = \int t dE_t$

$$\det(1+zA) = \prod_{k=1}^{N(A)} (1+z\lambda_k(A))$$

ANALYSIS
Part 4

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A Comprehensive Course in Analysis by Poincaré Prize winner Barry Simon is a five-volume set that can serve as a graduate-level analysis textbook with a lot of additional bonus information, including hundreds of problems and numerous notes that extend the text and provide important historical background. Depth and breadth of exposition make this set a valuable reference source for almost all areas of classical analysis.

Part 4 focuses on operator theory, especially on a Hilbert space. Central topics are the spectral theorem, the theory of trace class and Fredholm determinants, and the study of unbounded self-adjoint operators. There is also an introduction to the theory of orthogonal polynomials and a long chapter on Banach algebras, including the commutative and non-commutative Gelfand-Naimark theorems and Fourier analysis on general locally compact abelian groups.

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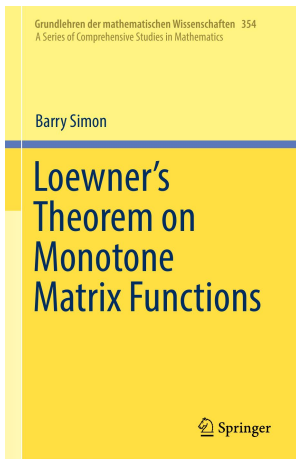
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And tada, the latest book