



QUANTUM ESPRESSO  
FOUNDATION

# density-functional perturbation theory

*response functions, phonons, and all that*

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# response functions

$$\text{property} = \frac{\partial(\text{variable})}{\partial(\text{strength})}$$



# response functions

$$\text{property} = \frac{\partial(\text{variable})}{\partial(\text{strength})}$$

▸ polarizability, dielectric constant

$$\frac{\partial P_i}{\partial E_j}$$

▸ elastic constants

$$\frac{\partial \sigma_{ij}}{\partial \epsilon_{kl}}$$

▸ piezoelectric constants

$$\frac{\partial P_i}{\partial \epsilon_{kl}}$$

▸ interatomic force constants

$$\frac{\partial f_i^s}{\partial u_j^t}$$

▸ Born effective charges

$$\frac{\partial d_i^s}{\partial u_j^s}$$

▸ ...

...



# the Hellmann-Feynman theorem

$$\hat{H}_\lambda \Psi_\lambda = E_\lambda \Psi_\lambda$$



# the Hellmann-Feynman theorem

$$\hat{H}_\lambda \Psi_\lambda = E_\lambda \Psi_\lambda \quad E'_\lambda = \frac{\partial}{\partial \lambda} \langle \Psi_\lambda | \hat{H}_\lambda | \Psi_\lambda \rangle$$



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$$E_\lambda = \min_{\{\Psi: \langle \Psi | \Psi \rangle = 1\}} \langle \Psi | \hat{H}_\lambda | \Psi \rangle$$



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$$g(\lambda) = \min_x G[x, \lambda]$$



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$$g(\lambda) = G[x(\lambda), \lambda] \quad \longrightarrow \quad g'(\lambda) = x'(\lambda) \left. \frac{\partial G}{\partial x} \right|_{x=x(\lambda)} + \frac{\partial G}{\partial \lambda}$$



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 \hat{H}_\lambda \Psi_\lambda &= E_\lambda \Psi_\lambda & E'_\lambda &= \frac{\partial}{\partial \lambda} \langle \Psi_\lambda | \hat{H}_\lambda | \Psi_\lambda \rangle \\
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 & & &= \langle \Psi_\lambda | \hat{H}'_\lambda | \Psi_\lambda \rangle + \cancel{E_\lambda \frac{\partial}{\partial \lambda} \langle \Psi_\lambda | \Psi_\lambda \rangle}
 \end{aligned}$$

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$$\hat{H}_\lambda \Psi_\lambda = E_\lambda \Psi_\lambda$$

$$E'_\lambda = \langle \Psi_\lambda | \hat{H}'_\lambda | \Psi_\lambda \rangle$$

$$\frac{\partial}{\partial \lambda} \min_x G(x, \lambda) = \left. \frac{\partial G(x, \lambda)}{\partial \lambda} \right|_{x=x(\lambda)}$$



# susceptibilities as energy derivatives

$$\hat{H}_\alpha = \hat{H}^\circ + \alpha \hat{A}$$

$$\chi_{BA} = \frac{\partial \langle \hat{B} \rangle_\alpha}{\partial \alpha}$$





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(Hellmann & Feynman)

$$\hat{H}_\beta = \hat{H}^\circ + \beta \hat{B}$$



# susceptibilities as energy derivatives

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$$\chi_{BA} = \frac{\partial \langle \hat{B} \rangle_\alpha}{\partial \alpha}$$

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(Hellmann & Feynman)

$$\hat{H}_\beta = \hat{H}^\circ + \beta \hat{B}$$

$$\chi_{BA} = \frac{\partial^2 E_{\alpha\beta}}{\partial \alpha \partial \beta}$$

$$\hat{H}_{\alpha\beta} = \hat{H}^\circ + \alpha \hat{A} + \beta \hat{B}$$



# energy derivatives

$$H = H_0 + \sum_i \lambda_i v_i$$



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$$E[\lambda] = E_0 - \sum_i f_i \lambda_i + \frac{1}{2} \sum_{ij} h_{ij} \lambda_i \lambda_j + \dots$$



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➔ structural optimization & molecular dynamics



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$$E[\lambda] = E_0 - \sum_i f_i \lambda_i + \frac{1}{2} \sum_{ij} h_{ij} \lambda_i \lambda_j + \dots$$

- structural optimization & molecular dynamics
- (static) response functions
  - elastic constants
  - dielectric tensor
  - piezoelectric tensor
  - ...
- vibrational modes in the adiabatic approximation
  - interatomic force constants
  - Born effective charges
  - ...



# density-functional perturbation theory

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$$E(\lambda) = \min_n \left( F[n] + \int V_{\lambda}(\mathbf{r})n(\mathbf{r}) \right) \int n(\mathbf{r})d\mathbf{r} = N \quad \text{DFT}$$





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$$\frac{\partial E(\lambda)}{\partial \lambda_i} = \int n_{\lambda}(\mathbf{r})v_i(\mathbf{r})d\mathbf{r} \quad \text{HF}$$



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$$\frac{\partial E(\lambda)}{\partial \lambda_i} = \int n_{\lambda}(\mathbf{r})v_i(\mathbf{r})d\mathbf{r} \quad \text{HF}$$

$$\frac{\partial^2 E(\lambda)}{\partial \lambda_i \partial \lambda_j} = \int \frac{\partial n_{\lambda}(\mathbf{r})}{\partial \lambda_j} v_i(\mathbf{r})d\mathbf{r}$$

DFPT



# the “ $2n+1$ ” theorem

$$\Phi = \Phi_0 + \mathcal{O}(\epsilon) \Rightarrow E = E_0 + \mathcal{O}(\epsilon^2)$$



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$$E = \frac{\langle \Phi_0 + \Phi' | (H_0 + V') | \Phi_0 + \Phi' \rangle}{\langle \Phi_0 + \Phi' | \Phi_0 + \Phi' \rangle} + \mathcal{O}(V'^4)$$



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$$E^{(3)} = \langle \Phi' | V' | \Phi' \rangle - \langle \Phi' | \Phi' \rangle \langle \Phi_0 | V' | \Phi_0 \rangle$$



# calculating the response

$$n(\mathbf{r}) = \sum_v |\phi_v(\mathbf{r})|^2$$

$$n'(\mathbf{r}) = 2\text{Re} \sum_v \phi_v^{\circ*}(\mathbf{r}) \phi'_v(\mathbf{r})$$





# calculating the response

$$n(\mathbf{r}) = \sum_v |\phi_v(\mathbf{r})|^2$$

$$\begin{aligned} n'(\mathbf{r}) &= 2\text{Re} \sum_v \phi_v^{\circ*}(\mathbf{r}) \phi'_v(\mathbf{r}) \\ &= 2\text{Re} \sum_{cv} \rho'_{vc} \phi_v^{\circ*}(\mathbf{r}) \phi_c^{\circ}(\mathbf{r}) \end{aligned}$$

$$\phi'_v = \sum_c \phi_c^{\circ} \frac{\langle \phi_c^{\circ} | V' | \phi_v^{\circ} \rangle}{\epsilon_v^{\circ} - \epsilon_c^{\circ}}$$



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$$(H^{\circ} - \epsilon_v^{\circ}) \phi'_v = -P_c V' \phi_v^{\circ}$$



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# DFPT: the equations

DFT

$$V_0(\mathbf{r}) \Leftrightarrow n(\mathbf{r})$$

$$V_{SCF}(\mathbf{r}) = V_0(\mathbf{r}) + \int \frac{n(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' + \mu_{xc}(\mathbf{r})$$

$$n(\mathbf{r}) = \sum_{\epsilon_v < E_F} |\phi_v(\mathbf{r})|^2$$

$$(-\Delta + V_{SCF}(\mathbf{r}))\phi_v(\mathbf{r}) = \epsilon_v \phi_v(\mathbf{r})$$



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DFPT

$$V'(\mathbf{r}) \rightleftharpoons n'(\mathbf{r})$$

$$V'_{SCF}(\mathbf{r}) = V'(\mathbf{r}) + \int \frac{n'(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' + \mu'_{xc}(\mathbf{r})$$

$$n'(\mathbf{r}) = 2 \operatorname{Re} \sum_{\epsilon_v < E_F} \phi_v^*(\mathbf{r}) \phi'_v(\mathbf{r})$$

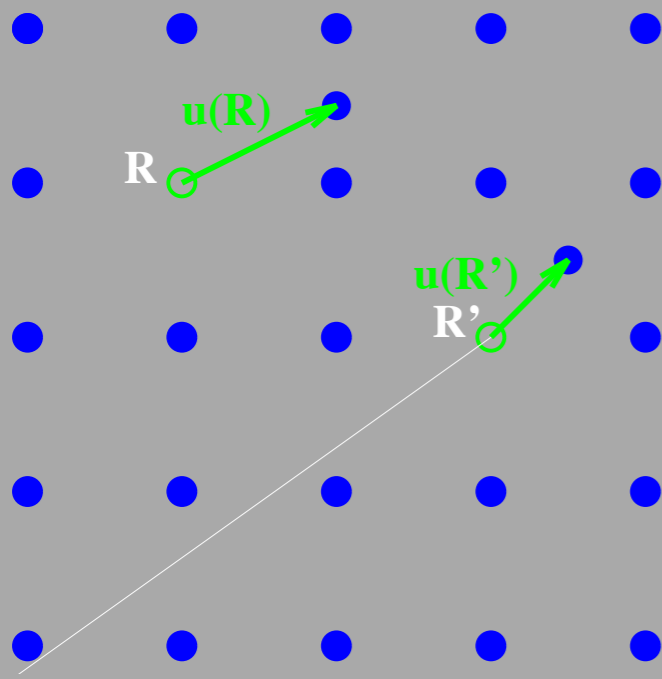
$$(-\Delta + V_{SCF}(\mathbf{r}) - \epsilon_v)\phi'_v(\mathbf{r}) = P_c V'_{SCF}(\mathbf{r})\phi_v(\mathbf{r})$$



simulating atomic vibrations ...

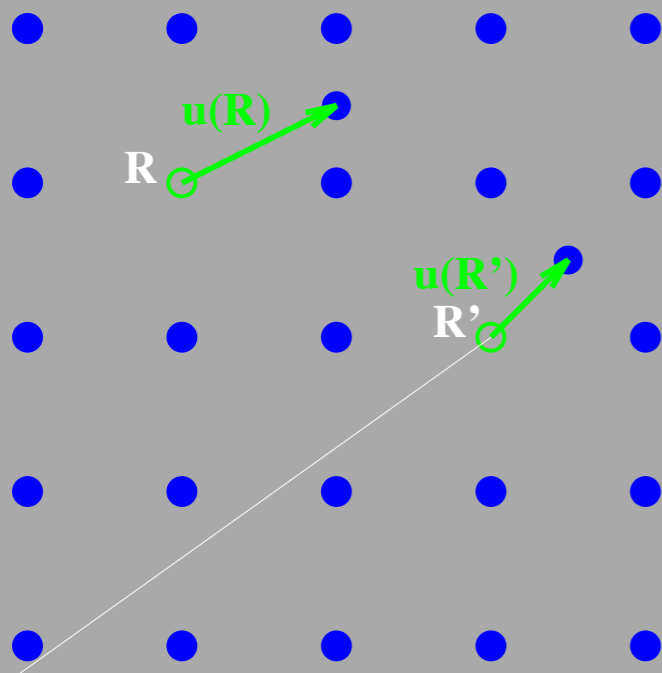


# lattice dynamics



$$V(\mathbf{r}) = V_0(\mathbf{r}) + \sum_{\mathbf{R}} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial v(\mathbf{r} - \mathbf{R})}{\partial \mathbf{R}} + \dots$$

# lattice dynamics

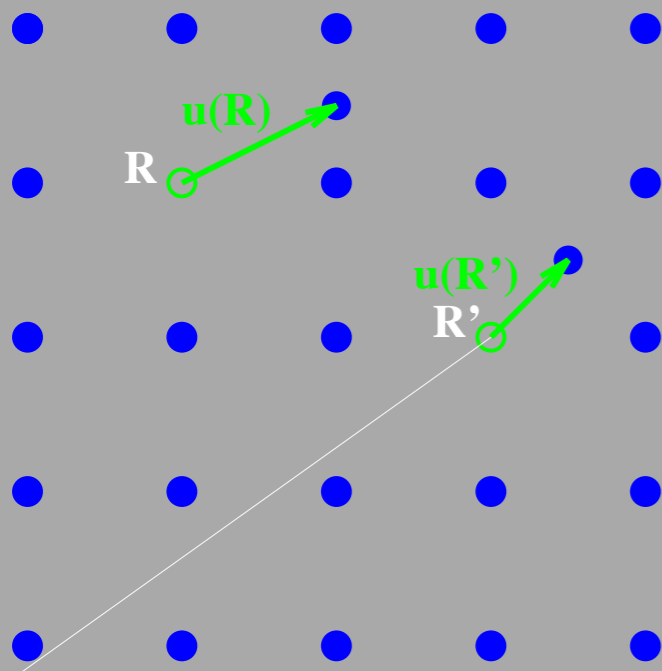


$$V(\mathbf{r}) = V_0(\mathbf{r}) + \sum_{\mathbf{R}} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial v(\mathbf{r} - \mathbf{R})}{\partial \mathbf{R}} + \dots$$

$$E = E_0 + \frac{1}{2} \sum_{\mathbf{R}, \mathbf{R}'} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial^2 E}{\partial \mathbf{u}(\mathbf{R}) \partial \mathbf{u}(\mathbf{R}')} \cdot \mathbf{u}(\mathbf{R}') + \dots$$



# lattice dynamics

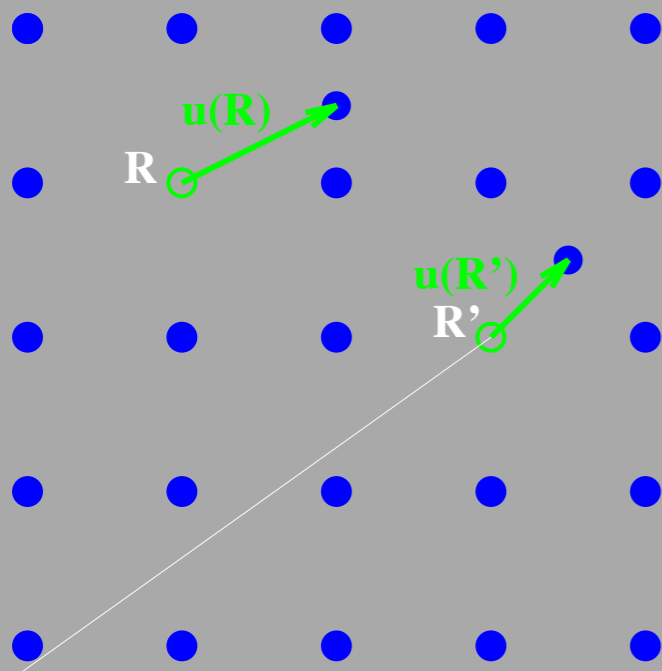


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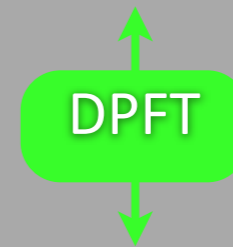
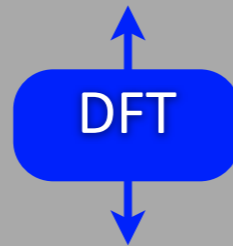
$$\frac{\partial F(\mathbf{R})}{\partial \mathbf{u}(\mathbf{R}')}$$

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# lattice dynamics



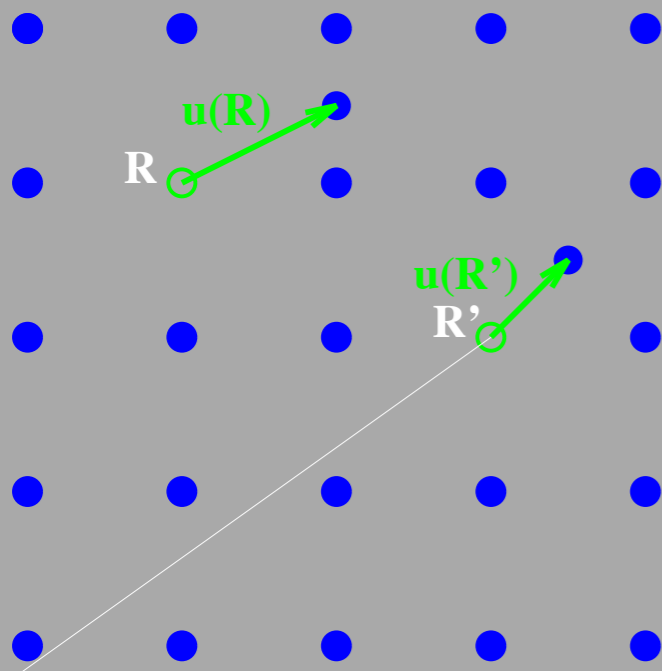
$$V(\mathbf{r}) = V_0(\mathbf{r}) + \sum_{\mathbf{R}} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial v(\mathbf{r} - \mathbf{R})}{\partial \mathbf{R}} + \dots$$



$$\frac{\partial F(\mathbf{R})}{\partial \mathbf{u}(\mathbf{R}')}$$

$$E = E_0 + \frac{1}{2} \sum_{\mathbf{R}, \mathbf{R}'} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial^2 E}{\partial \mathbf{u}(\mathbf{R}) \partial \mathbf{u}(\mathbf{R}')} \cdot \mathbf{u}(\mathbf{R}') + \dots$$

# lattice dynamics



$$V(\mathbf{r}) = V_0(\mathbf{r}) + \sum_{\mathbf{R}} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial v(\mathbf{r} - \mathbf{R})}{\partial \mathbf{R}} + \dots$$

DFT

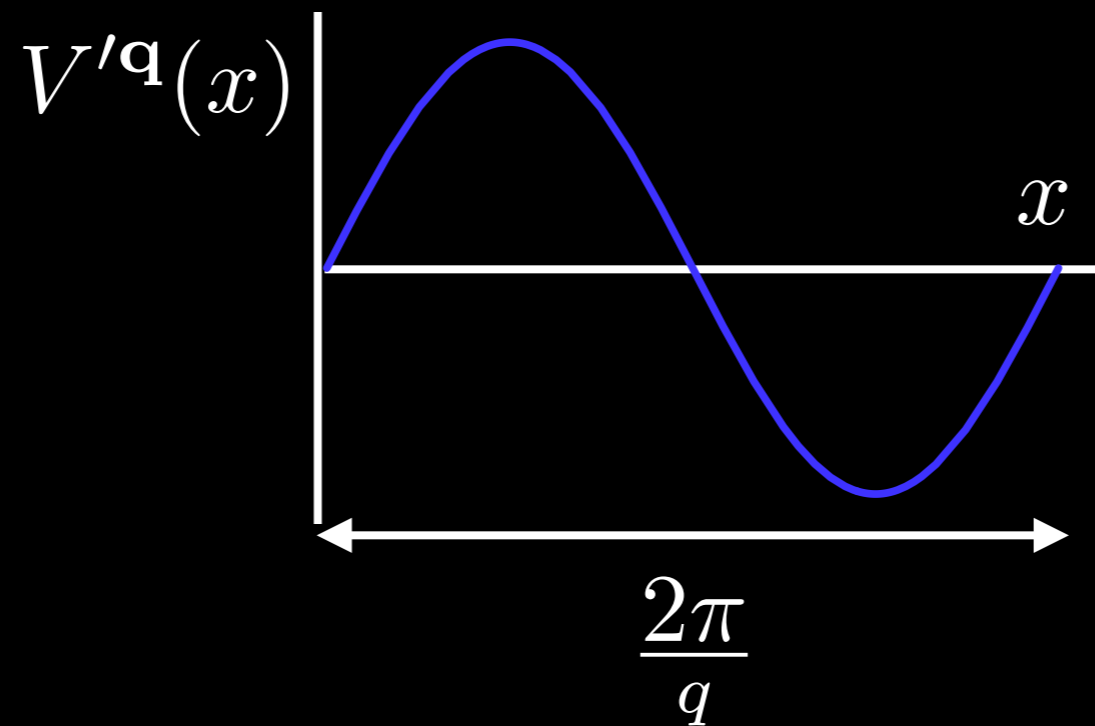
DPFT

$\frac{\partial F(\mathbf{R})}{\partial \mathbf{u}(\mathbf{R}')}$

$$E = E_0 + \frac{1}{2} \sum_{\mathbf{R}, \mathbf{R}'} \mathbf{u}(\mathbf{R}) \cdot \frac{\partial^2 E}{\partial \mathbf{u}(\mathbf{R}) \partial \mathbf{u}(\mathbf{R}')} \cdot \mathbf{u}(\mathbf{R}') + \dots$$

$$\det \left[ \frac{\partial^2 E}{\partial \mathbf{u}(\mathbf{R}) \partial \mathbf{u}(\mathbf{R}')} - \omega^2 M(\mathbf{R}) \delta_{\mathbf{R}, \mathbf{R}'} \right] = 0$$

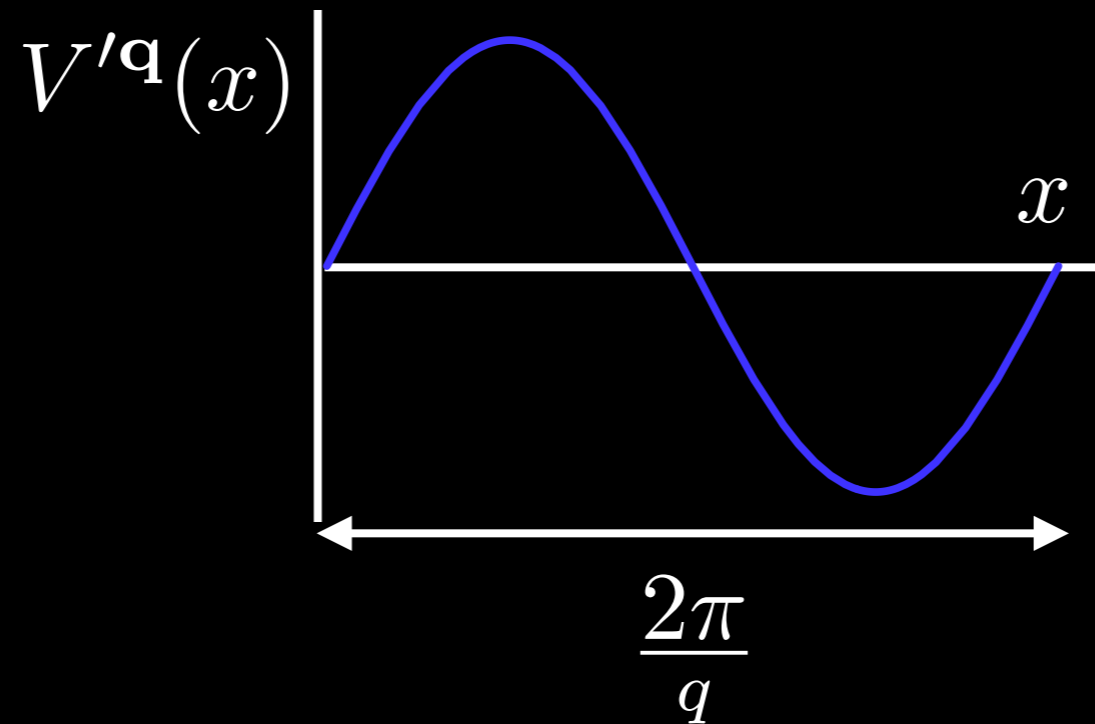
# monochromatic perturbations



DFPT rhs:  $-P_c V'^q_{SCF} \phi_v^{\mathbf{k}}(\mathbf{r})$



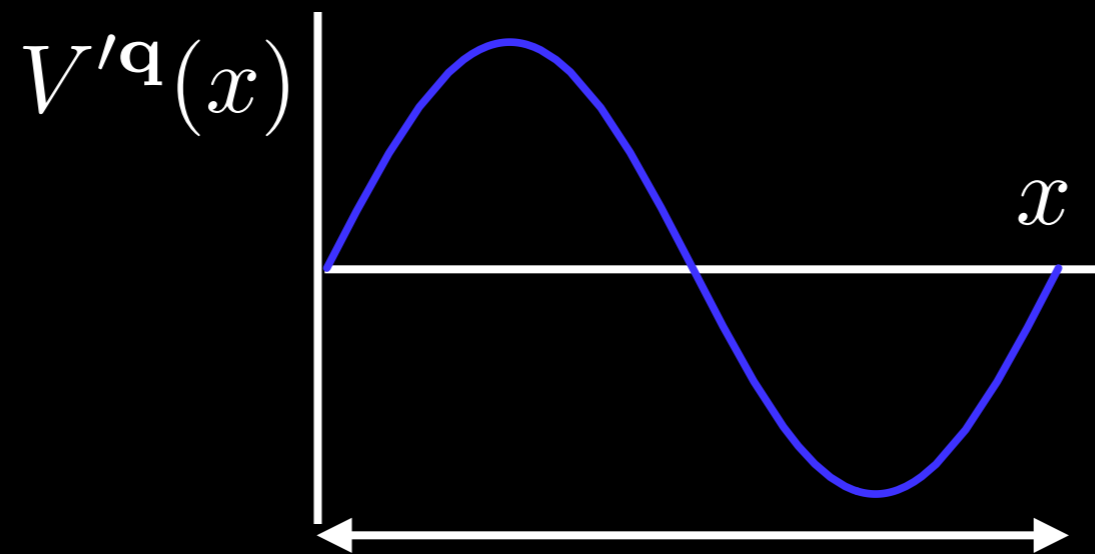
# monochromatic perturbations



$$(H_0 - \epsilon_v^{\mathbf{k}}) \phi_v^{\mathbf{k}+\mathbf{q}}(\mathbf{r}) = -P_c V'_{SCF}{}^{\mathbf{q}} \phi_v^{\mathbf{k}}(\mathbf{r})$$



# monochromatic perturbations



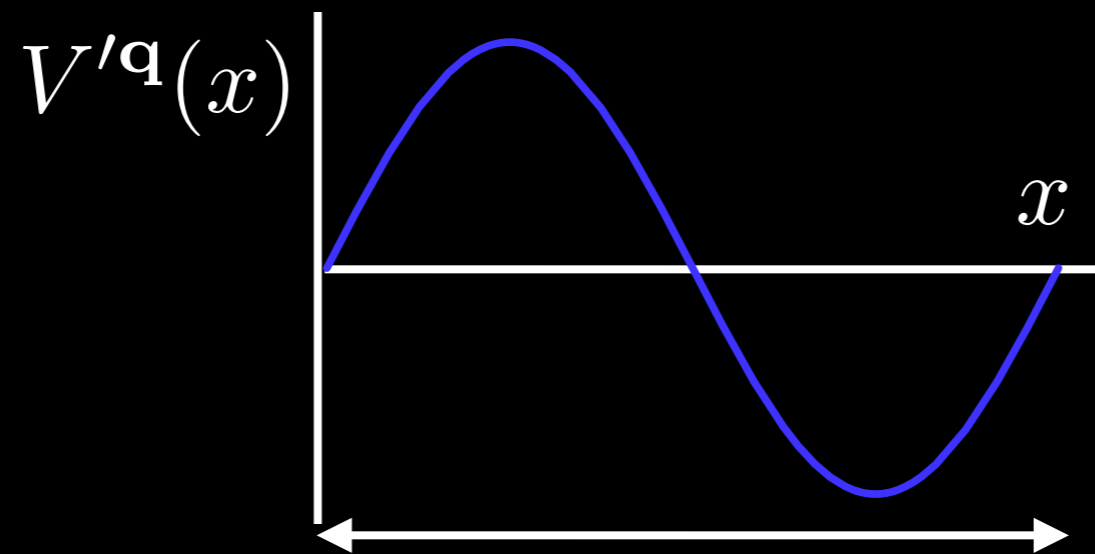
$$e^{i(\mathbf{k}+\mathbf{q})\cdot\mathbf{r}} u_v^{\prime\mathbf{k}+\mathbf{q}}(\mathbf{r})$$

$$\frac{2\pi}{q}$$

$$e^{i\mathbf{k}\cdot\mathbf{r}} u_v^{\circ\mathbf{k}}(\mathbf{r})$$

$$(H_0 - \epsilon_v^{\mathbf{k}}) \phi_v^{\prime\mathbf{k}+\mathbf{q}}(\mathbf{r}) = -P_c V_{SCF}^{\prime\mathbf{q}} \phi_v^{\mathbf{k}}(\mathbf{r})$$

# monochromatic perturbations



$$e^{i(\mathbf{k}+\mathbf{q})\cdot\mathbf{r}} u_v'^{\mathbf{k}+\mathbf{q}}(\mathbf{r})$$

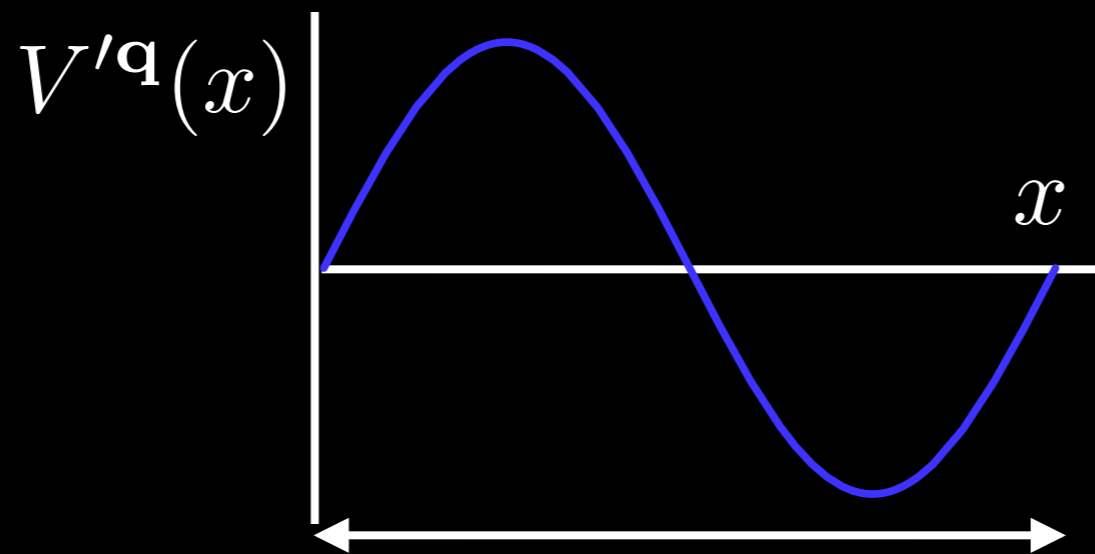
$$\frac{2\pi}{q}$$

$$e^{i\mathbf{k}\cdot\mathbf{r}} u_v^{\circ\mathbf{k}}(\mathbf{r})$$

$$(H_0 - \epsilon_v^{\mathbf{k}}) \phi_v'^{\mathbf{k}+\mathbf{q}}(\mathbf{r}) = -P_c V_{SCF}'^{\mathbf{q}} \phi_v^{\mathbf{k}}(\mathbf{r})$$

$$n'^{\mathbf{q}}(\mathbf{r}) = e^{i\mathbf{q}\cdot\mathbf{r}} \sum_{v,\mathbf{k}} u_v^{\circ\mathbf{k}*}(\mathbf{r}) u_v'^{\mathbf{k}+\mathbf{q}}(\mathbf{r})$$

# monochromatic perturbations



$$e^{i(\mathbf{k}+\mathbf{q})\cdot\mathbf{r}} u_v'^{\mathbf{k}+\mathbf{q}}(\mathbf{r})$$

$$\frac{2\pi}{q}$$

$$e^{i\mathbf{k}\cdot\mathbf{r}} u_v^{\circ\mathbf{k}}(\mathbf{r})$$

$$(H_0 - \epsilon_v^{\mathbf{k}}) \phi_v'^{\mathbf{k}+\mathbf{q}}(\mathbf{r}) = -P_c V_{SCF}'^{\mathbf{q}} \phi_v^{\mathbf{k}}(\mathbf{r})$$

$$n'^{\mathbf{q}}(\mathbf{r}) = e^{i\mathbf{q}\cdot\mathbf{r}} \sum_{v,\mathbf{k}} u_v^{\circ\mathbf{k}*}(\mathbf{r}) u_v'^{\mathbf{k}+\mathbf{q}}(\mathbf{r})$$

$$V'^{\mathbf{q}}(\mathbf{r}) = V_{ext}'^{\mathbf{q}}(\mathbf{r}) + \int \left( \frac{e^2}{|\mathbf{r} - \mathbf{r}'|} + \kappa_{xc}(\mathbf{r}, \mathbf{r}') \right) n'^{\mathbf{q}}(\mathbf{r}') d\mathbf{r}'$$





# phonons in polar materials

$$E(\mathbf{u}) = \frac{1}{2} M \omega_0^2 u^2$$



# phonons in polar materials

$$E(\mathbf{u}, \mathbf{E}) = \frac{1}{2}M\omega_0^2 u^2 - \frac{\Omega}{8\pi}\epsilon_\infty \mathbf{E}^2 - eZ^* \mathbf{u} \cdot \mathbf{E}$$



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(T)



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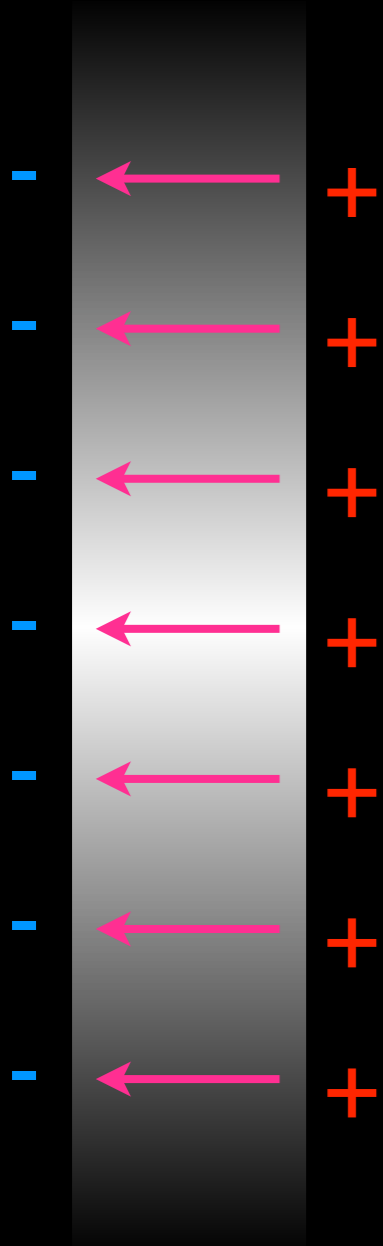
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$$\mathbf{F}_T = -M \omega_0^2 \mathbf{u} \quad \mathbf{F}_L = -M \left( \omega_0^2 + \frac{4\pi Z^*}{M \Omega \epsilon_\infty} \right) \mathbf{u}$$



# macroscopic electric fields

$$\mathbf{E} = \text{const}$$



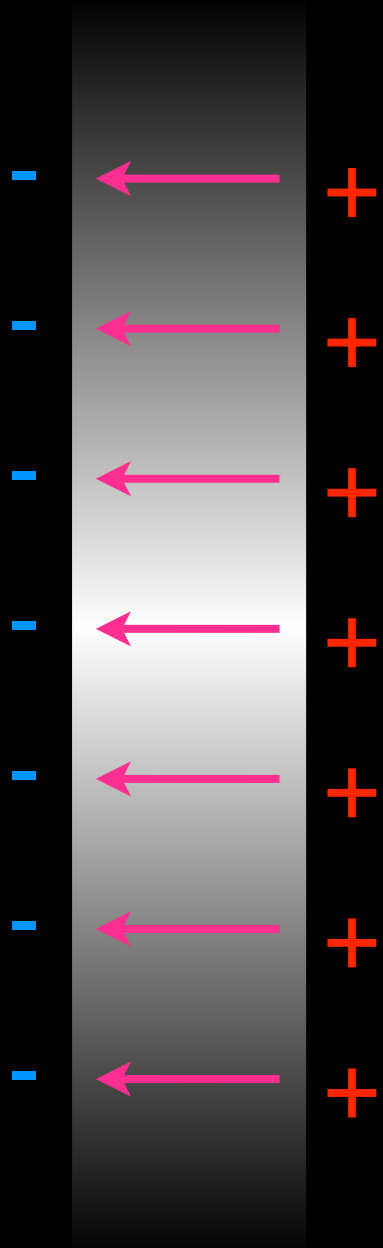
$$V'(\mathbf{r}) = \mathbf{E} \cdot \mathbf{r}$$



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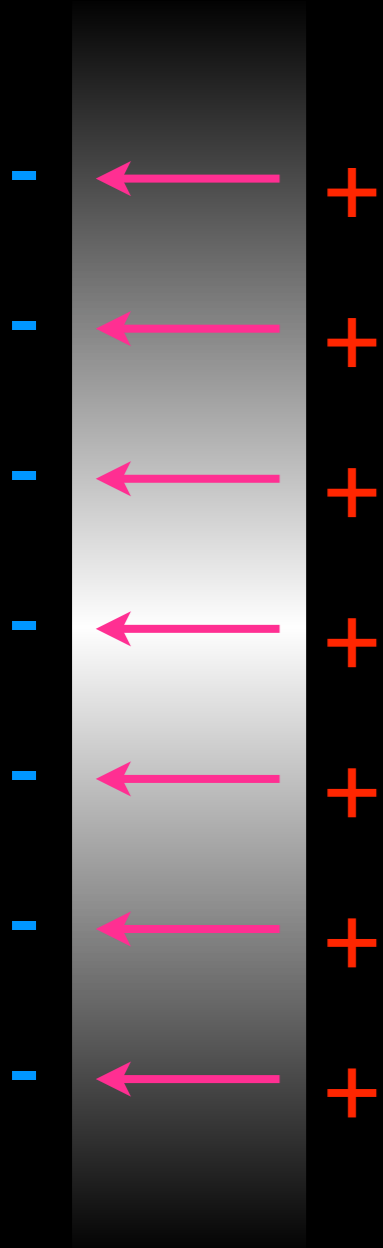


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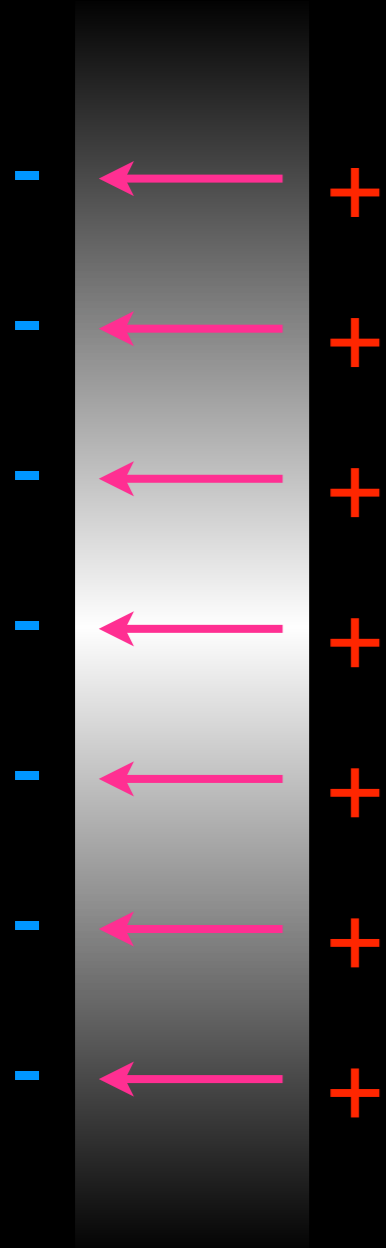
$$\begin{aligned}\phi_v^0(\mathbf{r}) &= e^{i\mathbf{k}\cdot\mathbf{r}} u_{v,\mathbf{k}}(\mathbf{r}) \\ V'(\mathbf{r})\phi_v^0(\mathbf{r}) &= ??\end{aligned}$$

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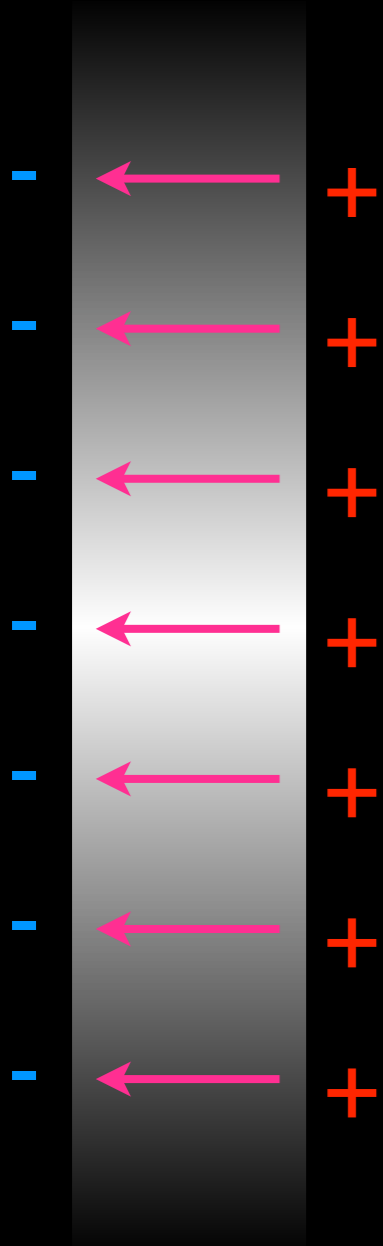
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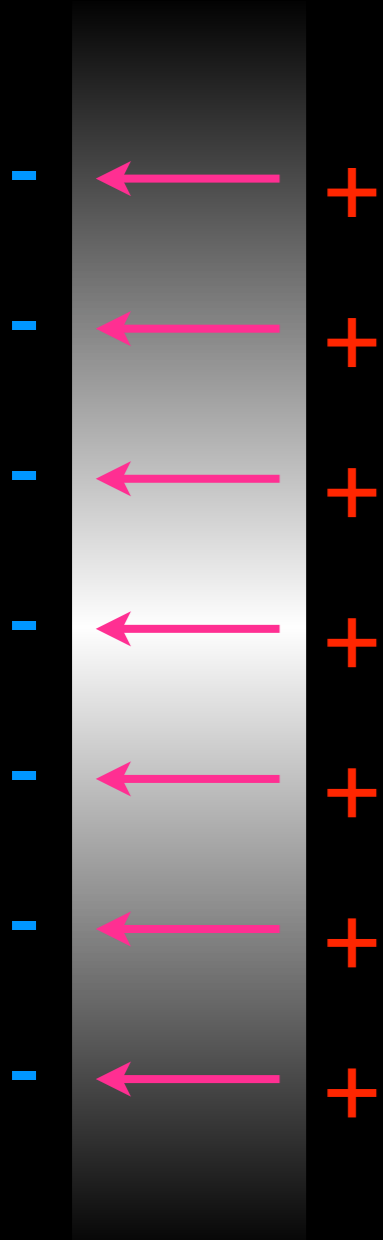
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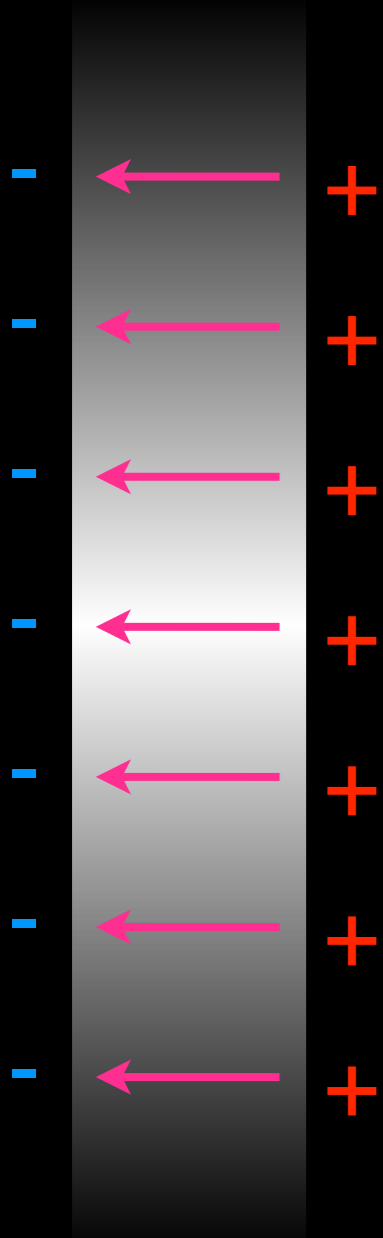
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DFPT rhs

$$V'(\mathbf{r}) = \mathbf{E} \cdot \mathbf{r}$$





# interatomic force constants

$$\Phi_{st}^{\alpha\beta}(\mathbf{R} - \mathbf{R}') = -\frac{\partial^2 E}{\partial u_s^\alpha(\mathbf{R}) \partial u_t^\beta(\mathbf{R}')}$$



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short ranged +  
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short ranged +  
dipole-dipole

- remove the singularities in  $D(\mathbf{q})$
- do FFT's (# R's = # q's - the shorter the range, the coarser the grid)
- store information
- interpolate  $D(\mathbf{q})$  on any finer mesh you may need for practical purposes (pad  $\Phi$  with 0's and do FFT<sup>-1</sup>: # q's = # R's)
- calculate phonon bands



# DFPT: the main features

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- ☞ non-local perturbations: OK
- ☞ non-periodic perturbations: OK
- ☞ macroscopic electric fields: OK



**Piezoelectric Properties of III-V Semiconductors from First-Principles Linear-Response Theory**

Stefano de Gironcoli<sup>(a)</sup>

*Dipartimento di Fisica Teorica, Università di Trieste, Strada Costiera 11, I-34014 Trieste, Italy*

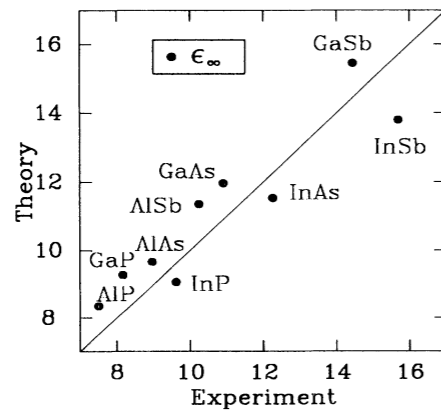
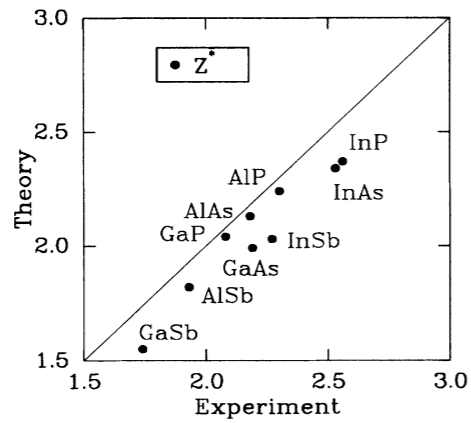
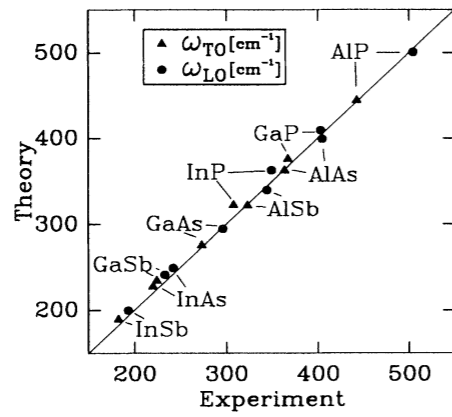
Stefano Baroni

*Scuola Internazionale Superiore di Studi Avanzati (SISSA), Strada Costiera 11, I-34014 Trieste, Italy*

Raffaele Resta<sup>(b)</sup>

*Institut Romand de Recherche Numérique en Physique des Matériaux (IRRMA), Ecole Polytechnique Fédérale de Lausanne, CH-1015, Lausanne, Switzerland*

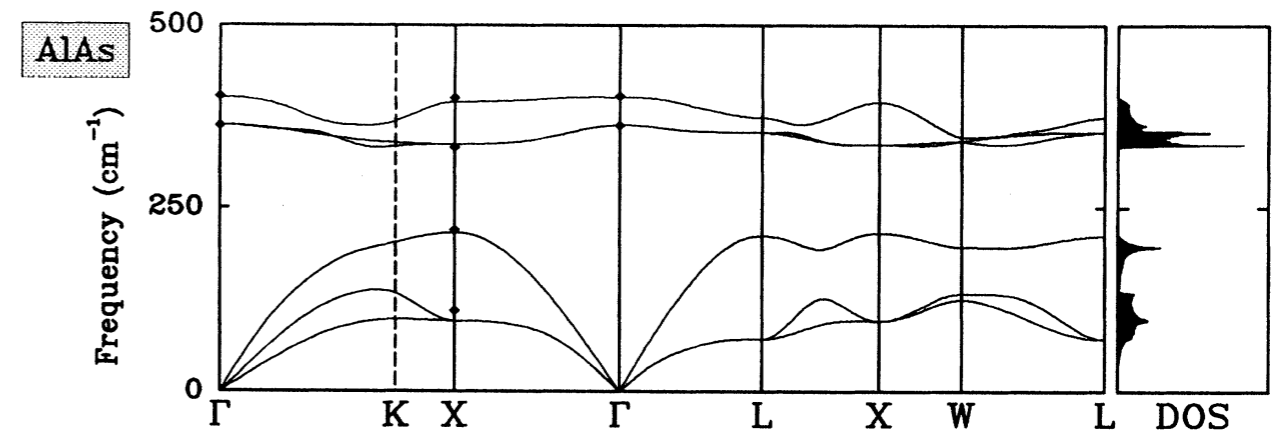
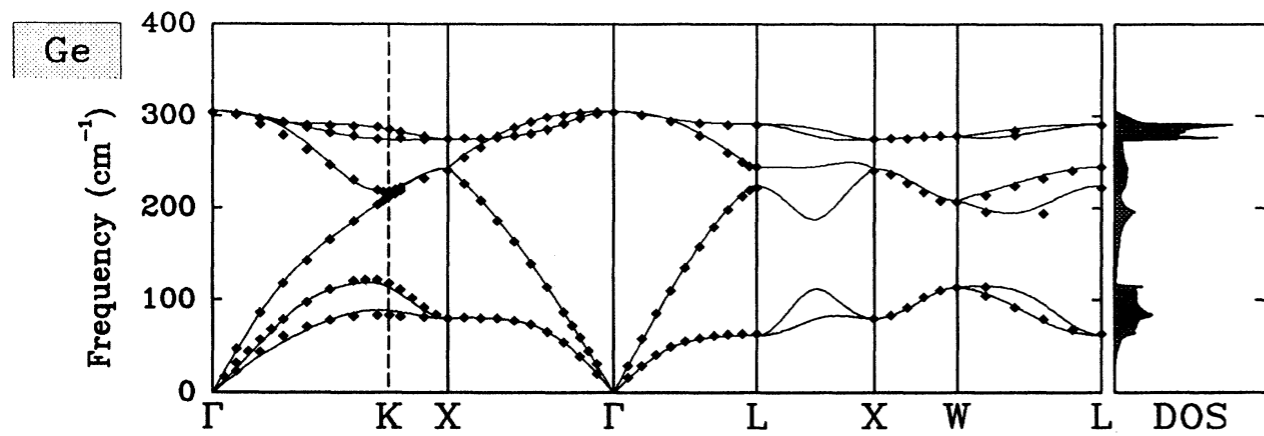
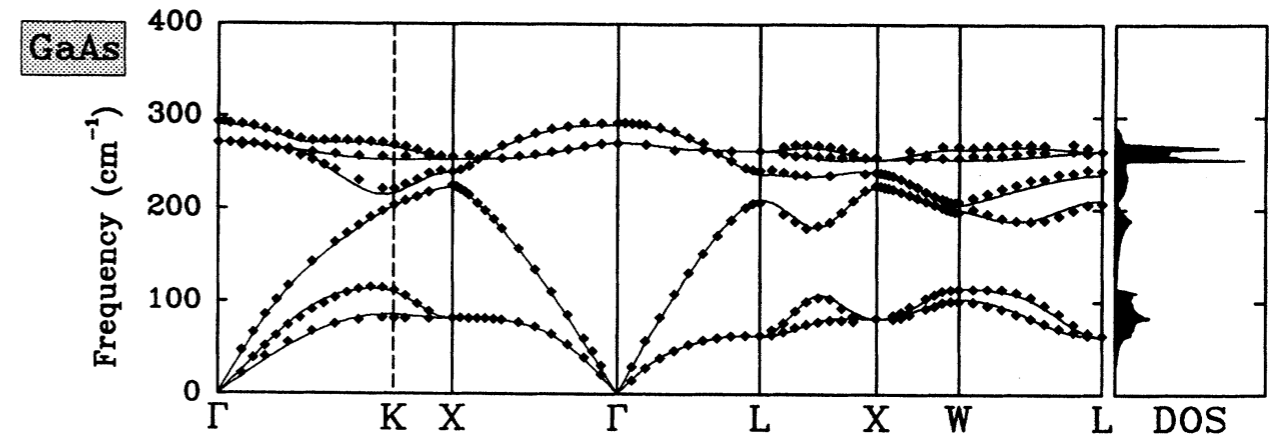
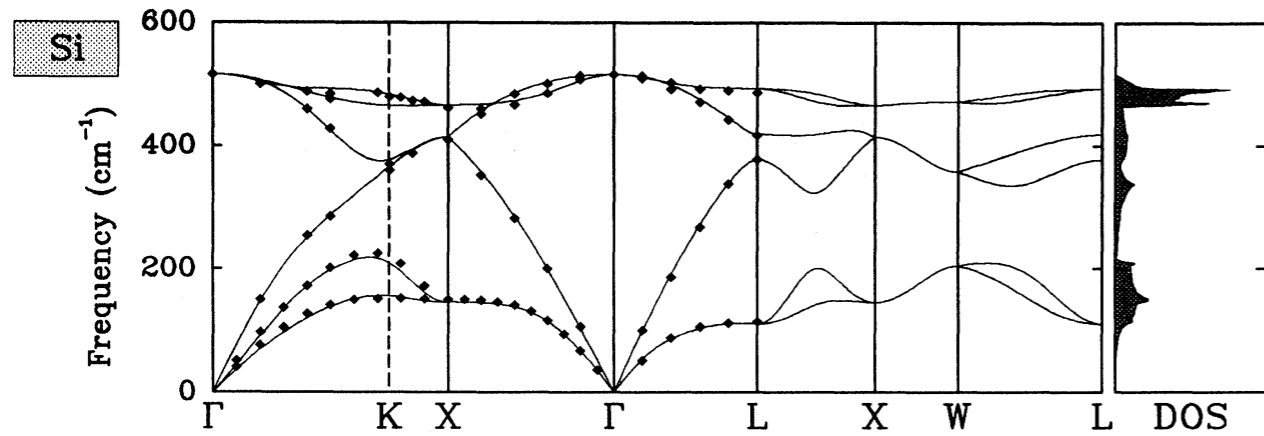
(Received 7 November 1988)



| $\bar{\gamma}_{14}$ | P                | As               | Sb               |
|---------------------|------------------|------------------|------------------|
| Al                  | 0.11<br>(...)    | -0.03<br>(...)   | -0.13<br>(-0.16) |
| Ga                  | -0.18<br>(-0.18) | -0.35<br>(-0.32) | -0.40<br>(-0.39) |
| In                  | 0.12<br>( 0.09 ) | -0.08<br>(-0.10) | -0.20<br>(-0.18) |



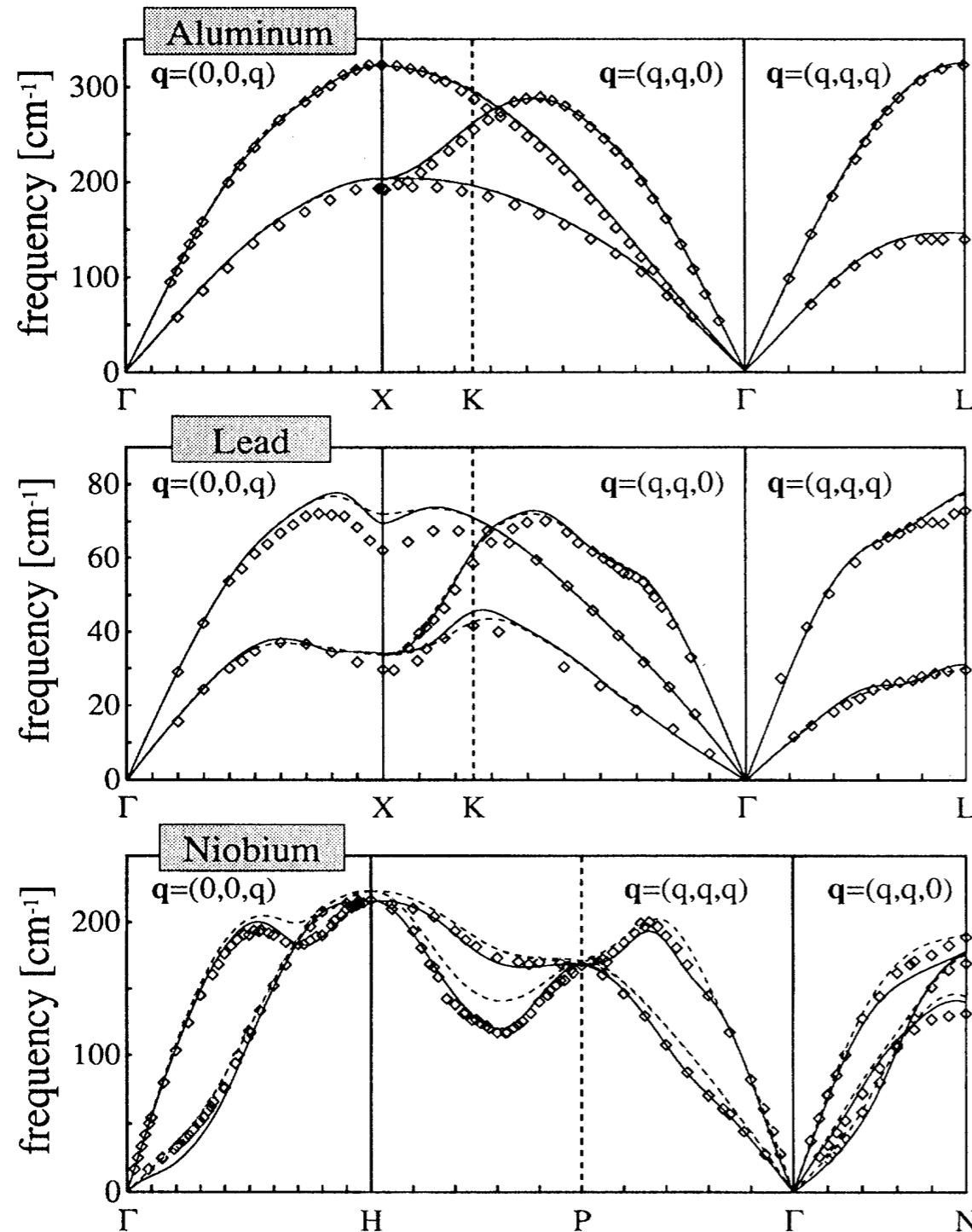
# phonons from DFPT



P. Giannozzi, S. de Gironcoli, P. Pavone, and SB, Phys. Rev. B **43**, 7231 (1991)



# DFPT phonons in metals



Stefano de Gironcoli,  
Phys. Rev. B **51**, 6773 (1995)



# applications done so far

- Dielectric properties
- Piezoelectric properties
- Elastic properties
- Phonon in crystals and alloys
- Phonon at surfaces, interfaces, super-lattices, and nano-structures
- Raman and infrared activities
- Anharmonic couplings and vibrational line widths
- Mode softening and structural transitions
- Electron-phonon interaction and superconductivity
- Thermal expansion
- Isotopic effects on structural and dynamical properties
- Thermo-elasticity and other thermal properties of minerals
- ...

SB, A. Dal Corso, S. de Gironcoli, and P. Giannozzi, *Phonons and related crystal properties from density-functional perturbation theory*, *Rev. Mod. Phys.* **73**, 515 (2001)



# a sampler of more recent applications

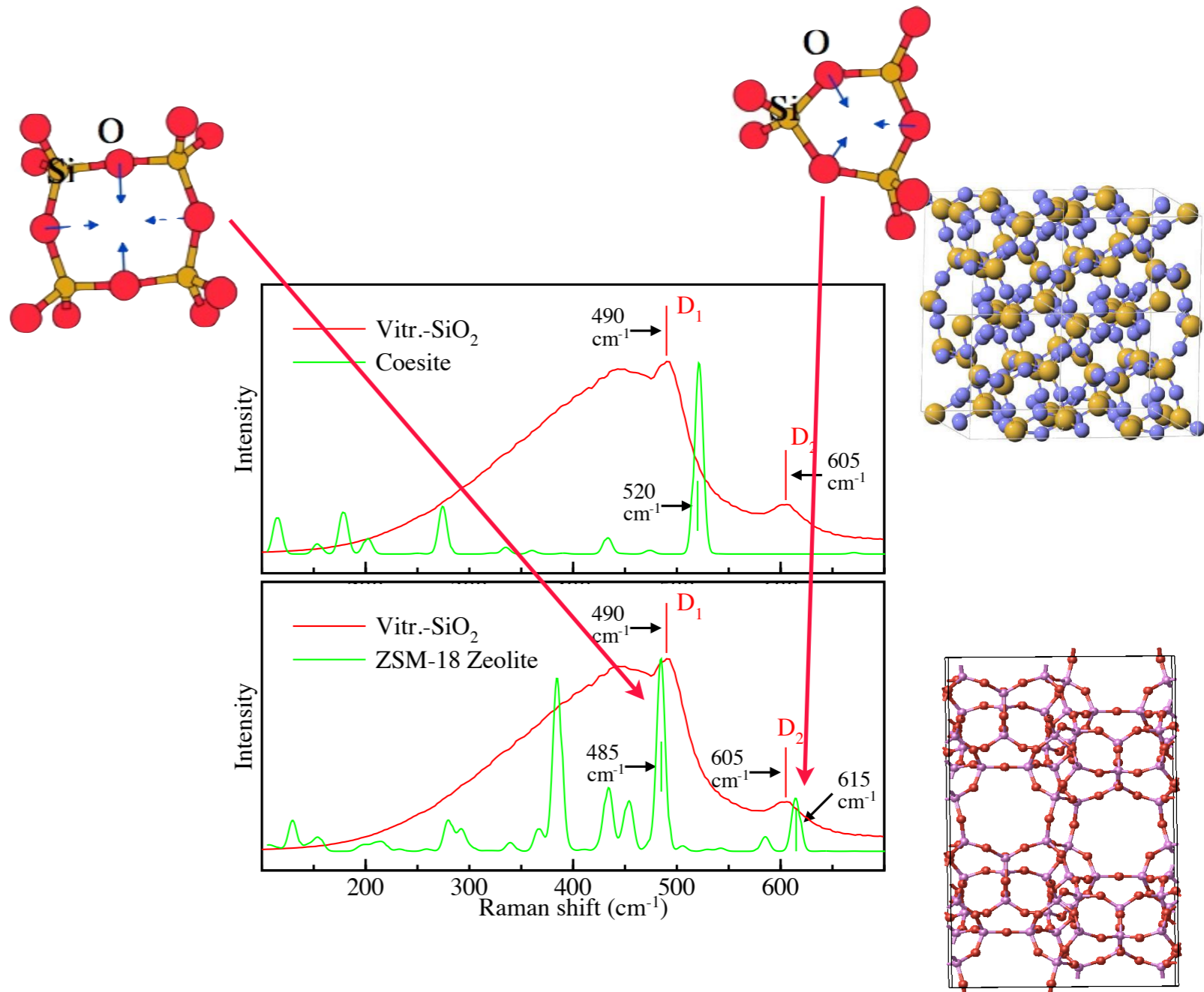
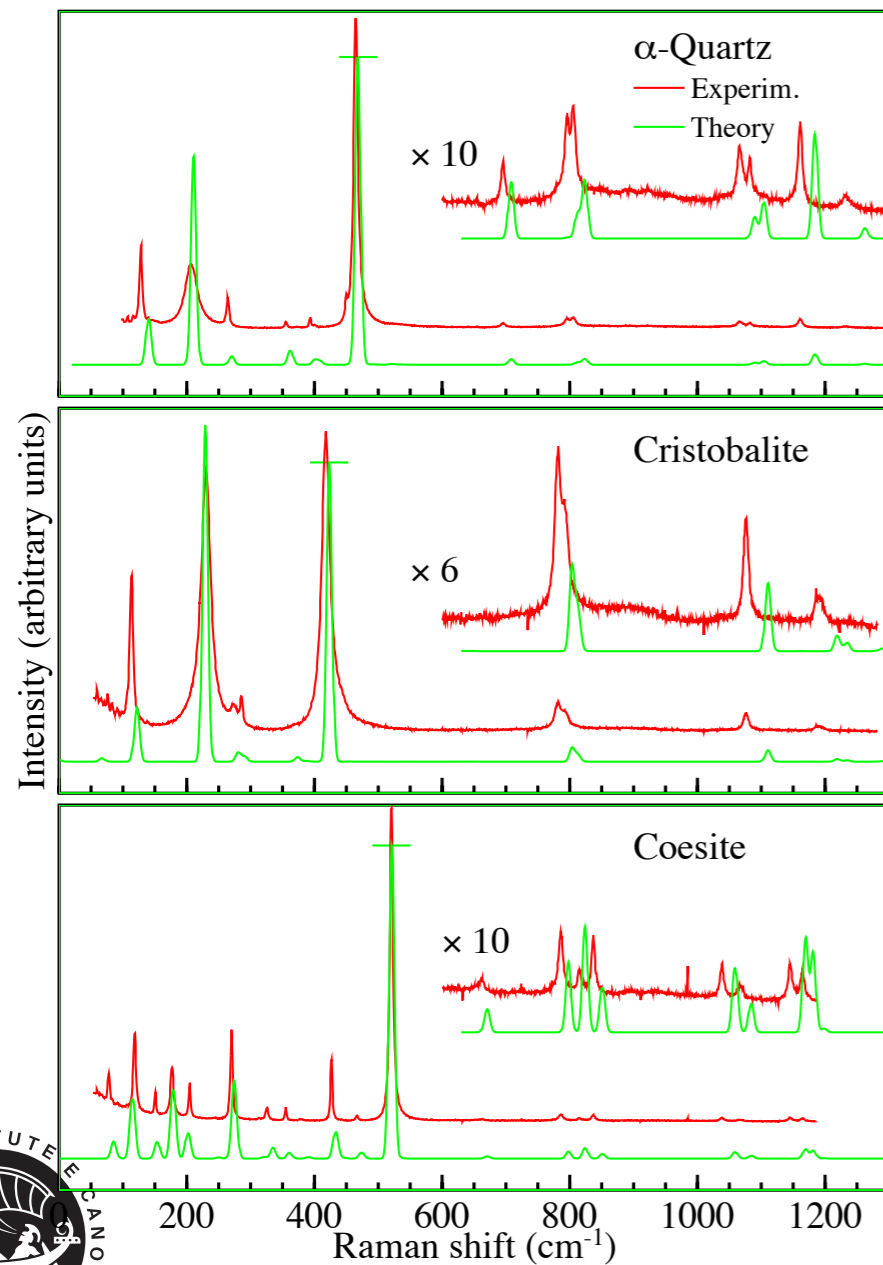
VOLUME 90, NUMBER 3

PHYSICAL REVIEW LETTERS

week ending  
24 JANUARY 2003

## First-Principles Calculation of Vibrational Raman Spectra in Large Systems: Signature of Small Rings in Crystalline $\text{SiO}_2$

Michele Lazzeri and Francesco Mauri



# a sampler of recent applications

J|A|C|S

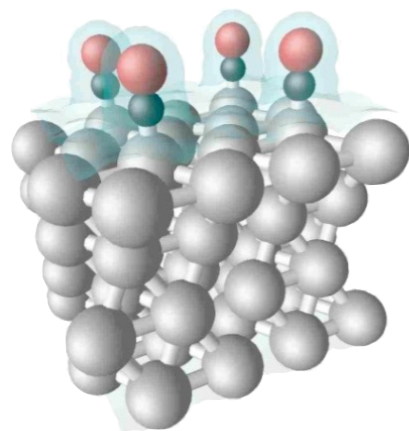
A R T I C L E S

Published on Web 08/17/2007

## Vibrational Recognition of Adsorption Sites for CO on Platinum and Platinum–Ruthenium Surfaces

Ismaila Dabo,<sup>\*,†</sup> Andrzej Wieckowski,<sup>‡</sup> and Nicola Marzari<sup>†</sup>

11046 J. AM. CHEM. SOC. ■ VOL. 129, NO. 36, 2007

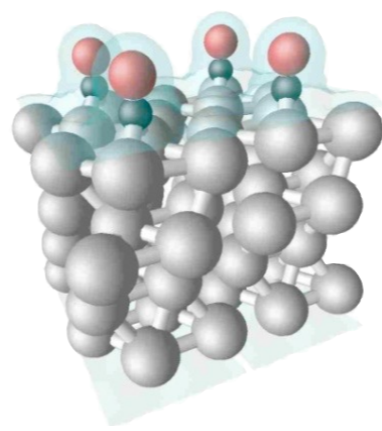


atop (CO@Pt<sub>1</sub>)

$E_{\text{DFT}} = +0.10 \text{ eV}$

$\nu_{\text{DFT}} = 2050 \text{ cm}^{-1}$

$\nu_{\text{exp}} = 2070 \text{ cm}^{-1}$

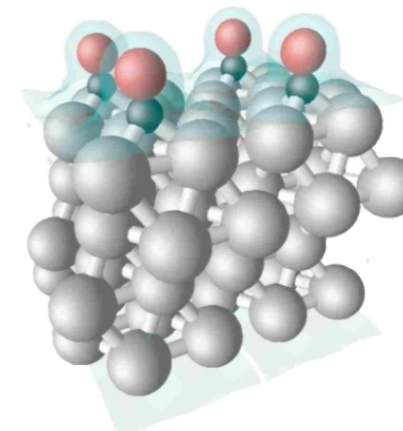


bridge (CO@Pt<sub>2</sub>)

$E_{\text{DFT}} = +0.03 \text{ eV}$

$\nu_{\text{DFT}} = 1845 \text{ cm}^{-1}$

$\nu_{\text{exp}} = 1830 \text{ cm}^{-1}$

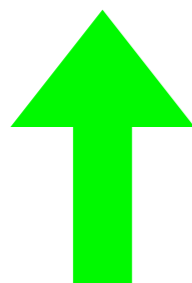


fcc (CO@Pt<sub>3</sub>)

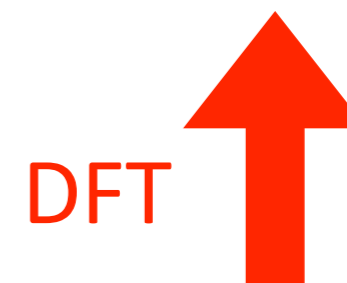
$E_{\text{DFT}} = 0 \text{ eV}$

$\nu_{\text{DFT}} = 1743 \text{ cm}^{-1}$

$\nu_{\text{exp}} = 1780 \text{ cm}^{-1}$



expt



DFT





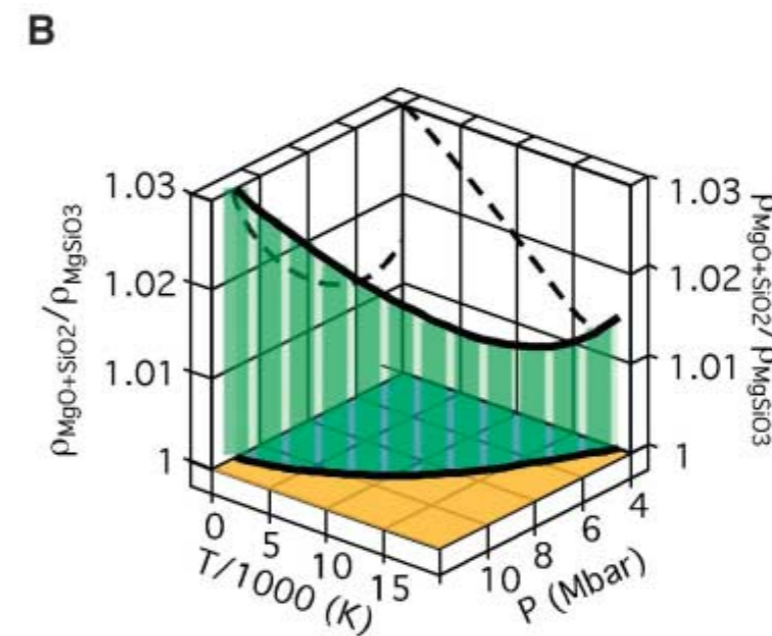
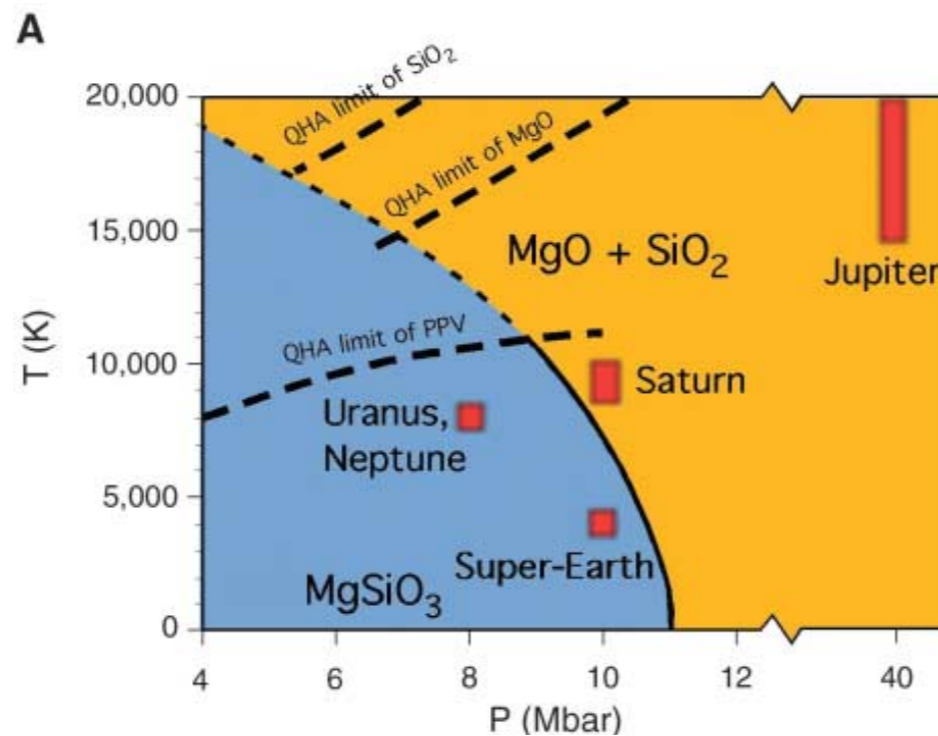
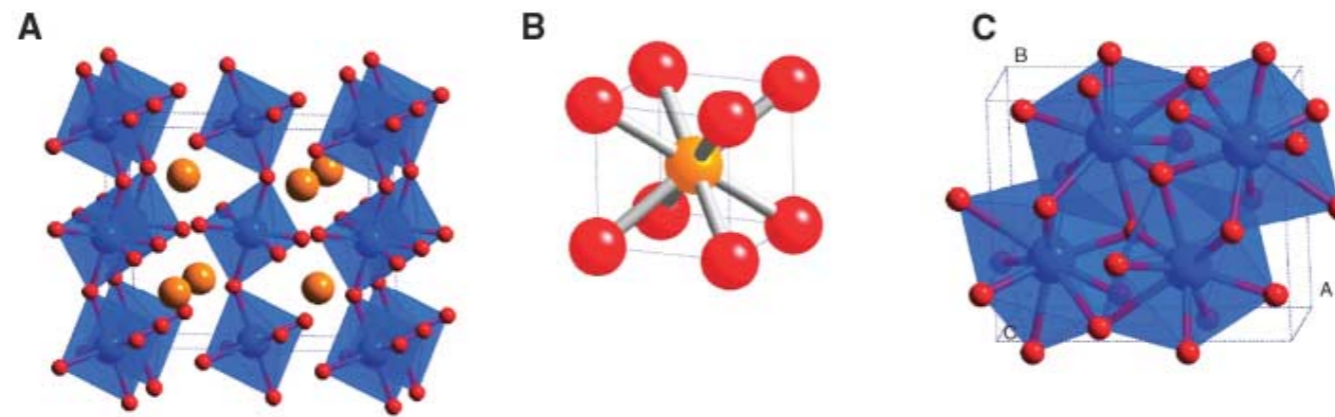
# a sampler of recent applications

## Dissociation of $\text{MgSiO}_3$ in the Cores of Gas Giants and Terrestrial Exoplanets

Koichiro Umemoto,<sup>1</sup> Renata M. Wentzcovitch,<sup>1\*</sup> Philip B. Allen<sup>2</sup>

www.sciencemag.org SCIENCE VOL 311 17 FEBRUARY 2006

983



# a sampler of recent applications

PRL 100, 257001 (2008)

PHYSICAL REVIEW LETTERS

week ending  
27 JUNE 2008



## *Ab Initio* Description of High-Temperature Superconductivity in Dense Molecular Hydrogen

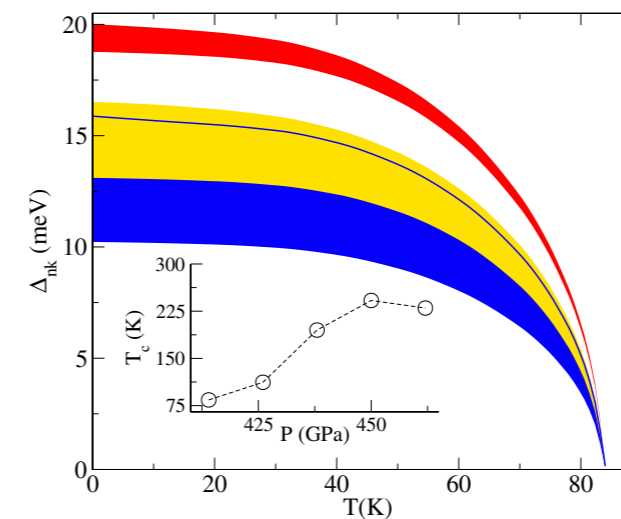
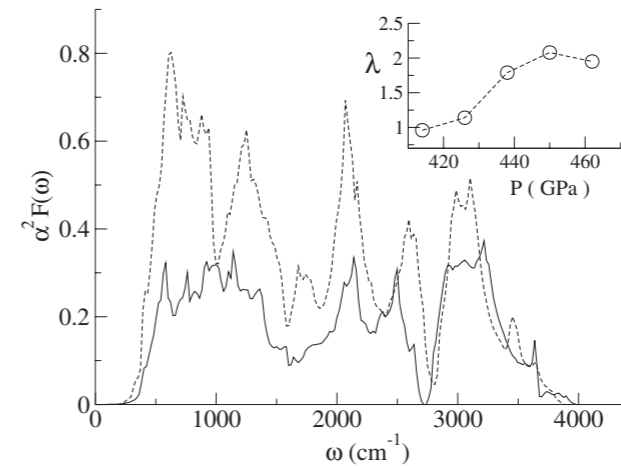
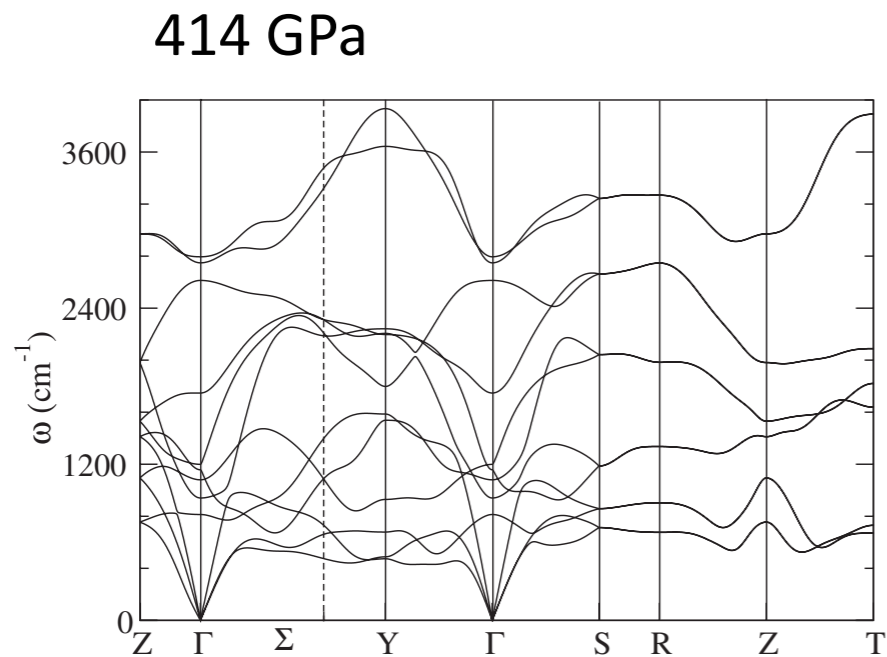
P. Cudazzo,<sup>1</sup> G. Profeta,<sup>1</sup> A. Sanna,<sup>2,3</sup> A. Floris,<sup>3</sup> A. Continenza,<sup>1</sup> S. Massidda,<sup>2</sup> and E. K. U. Gross<sup>3</sup>

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# a sampler of recent applications

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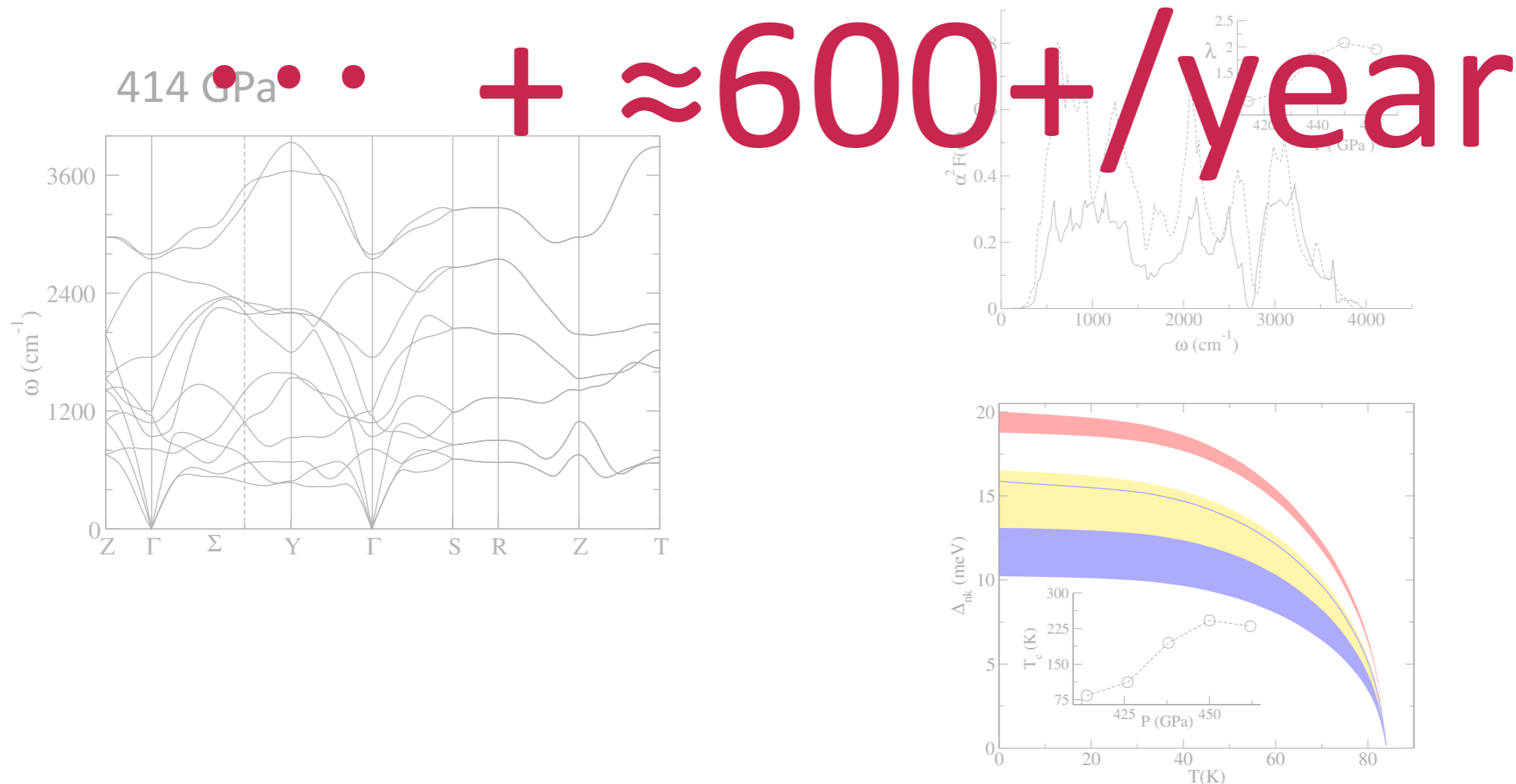
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**MAX**





*That's all Folks!*

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