Electronic excitation in semiconductor nanoparticles: A real-space quasiparticle perspective

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Funding: NSF, ACS-PRF, Syracuse University

Overview of this talk

•Objective:

To describe electron-hole screening without using unoccupied states

Motivation:

Calculation of unoccupied states are expensive. Judicious elimination of these states can lead to faster algorithm (e.g. WEST method by Galli et al.)

Strategy:

Treating electron correlation in real-space representation by using explicitly correlated operators

Chemical applications:

The developed method was used for calculations of optical gap and exciton binding energies

Charge-neutral excitation energy

Matrix equation for excitation energies

$$\begin{bmatrix} \mathbf{A} & \mathbf{B} \\ \mathbf{B}^* & \mathbf{A}^* \end{bmatrix} \begin{bmatrix} \mathbf{x} \\ \mathbf{y} \end{bmatrix} = \boldsymbol{\omega} \begin{bmatrix} \mathbf{1} & \mathbf{0} \\ \mathbf{0} & -\mathbf{1} \end{bmatrix} \begin{bmatrix} \mathbf{x} \\ \mathbf{y} \end{bmatrix}$$

Electron-hole interaction kernel (Keh)

$$A_{ia,jb} = \delta_{ij}\delta_{ab}(\epsilon_a - \epsilon_i) + K^{eh}_{ia,jb} \qquad B_{ia,jb} = K^{eh}_{ia,jb}$$

- Can be obtained using linear-response (LR-TDDFT), MBPT (BSE), equation-of-motion methods (EOM-CC, EOM-GF), CIS, ADC,...
- Two important considerations:

 [1] Choice of 1-particles basis functions
 [2] Choice for treating e-e correlation

Effective single-particle Hamiltonian

Non-interaction system

$$H_0 = \sum_{i}^{N} h_{\text{eff}}(i)$$

$$h_{\rm eff} = \frac{-\hbar^2}{2m} \nabla^2 + v_{\rm ext} + v_{\rm eff}$$

$$v_{\text{eff}} \in \{v_{\text{HF}}, v_{\text{KS}}, v_{\text{MBPT}}, v_{\text{ps}}, v_{\text{model}}, \ldots\}$$

$$H_0 | 0 \rangle = E_0^0 | 0 \rangle$$

$$H_0 | \Phi_i^a \rangle = E_n^0 | \Phi_i^a \rangle$$

$$\omega_{0n}^0 = E_n^0 - E_0^0$$

Interacting system

$$W = V_{ee} - \sum_{i}^{N} v_{eff}(i)$$

 $W = \sum_{i < j}^{N} w(i, j)$

$$H = H_0 + W$$

$$H | \Psi_0 \rangle = E_0 | 0 \rangle$$
$$H | \Psi_n \rangle = E_n | \Psi_n \rangle$$
$$\omega_{0n} = E_n - E_0$$

Goal of today's talk:
$$\omega_{0n} = \omega_{0n}^0 + (?) + (?) + (?)$$

Intermediate normalization condition

 $\langle 0 | \Psi_0 \rangle = 1 \qquad \langle \Phi_i^a | \Psi_n \rangle = 1$

 Electron-electron correlated is treated by operators that are local in real-space representation

$$\langle \mathbf{x} | G_{0,n} | \mathbf{x}' \rangle = G_{0,n}(\mathbf{x}) \delta(\mathbf{x} - \mathbf{x}')$$

$$|\Psi_0\rangle = G_0 |0\rangle \qquad |\Psi_n\rangle = G_n |\Phi_i^a\rangle$$

 G is a two-body operator and is represented by a linear combination of Gaussian-type geminal functions

$$G_{0,n} = \sum_{i < j}^{N} g_{0,n}(i,j) \qquad g(1,2) = \sum_{k=1}^{N_g} b_k e^{-r_{12}^2/d_k^2}$$

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See also: geminal correlator (Rassolov et al.), NEO-XCHF (Hammes-Schiffer et al.), geminal MCSCF (Varganov & Martinez), trans-correlated Hamiltonian, Jastrow functions in VMC...

Connection to Configuration Interaction (CI)

Configuration interaction (CI):

$$\Psi_{\mathbf{CI}} = \sum_{k}^{N_{\mathbf{CI}}} c_k \Phi_k$$

 $\{c_k\}$: finite number of independly optimizable coefficients

Explicitly correlated wave function:

$$\Psi_G = G\Phi_0$$

$$G\Phi_{0} = \sum_{k=0}^{\infty} \left[\underbrace{\Phi_{k}}_{1} \right] \langle \Phi_{k} | G | \Phi_{0} \rangle = \sum_{k=0}^{\infty} \left\{ \underbrace{\Phi_{k} | G | \Phi_{0}}_{c_{k}^{G}} \right\} | \Phi_{k} \rangle$$
(must be a functional of G)

The explicitly correlated wave function is an infinite-order CI expansion with constrained CI coefficients

Electron-hole interaction kernel

The excitation energies for the interacting and noninteracting system are related by the W operator

$$\begin{split} E_{n} &= \langle \Phi_{i}^{a} \mid H_{0} + W \mid \Psi_{n} \rangle \\ E_{0} &= \langle 0 \mid H_{0} + W \mid \Psi_{0} \rangle \\ \omega_{0n} &= \omega_{0n}^{0} + \langle \Phi_{i}^{a} \mid W \mid \Psi_{n} \rangle - \langle 0 \mid W \mid \Psi_{0} \rangle \end{split}$$

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$$\omega_{0n} = \omega_{0n}^{0} + \langle \Phi_{i}^{a} | W | \Psi_{n} \rangle - \langle 0 | W | \Psi_{0} \rangle$$

• Expressing in terms of non-interacting states using (G) $\omega_{0n} = \omega_{0n}^{0} + \langle \Phi_{i}^{a} | WG_{n} | \Phi_{i}^{a} \rangle - \langle 0 | WG_{0} | 0 \rangle$ Electron-hole interaction kernel

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- Expressing in terms of non-interacting states using (G) $\omega_{0n} = \omega_{0n}^{0} + \langle \Phi_{i}^{a} | WG_{n} | \Phi_{i}^{a} \rangle - \langle 0 | WG_{0} | 0 \rangle$
- Expressing in term of vacuum expectation value $\omega_{0n} = \omega_{0n}^{0} + \langle 0 | \{i^{\dagger}a\}WG_{n}\{a^{\dagger}i\} | 0 \rangle - \langle 0 | WG_{0} | 0 \rangle$

Can be simplified using diagrammatic techniques

Contribution from the linked terms

 $\langle 0 | \{i^{\dagger}a\}WG_n\{a^{\dagger}i\} | 0 \rangle$

- Only fully contracted terms have non-zero contribution to this term (Wick's theorem)
- The set of all resulting Hugenholtz diagrams, can be factored into sets of linked and unlinked diagrams
- Subset #1: All linked diagrams (all vertices are connected)
- Subset #2: All unlinked diagrams

 $\langle 0 | \{i^{\dagger}a\}WG_{n}\{a^{\dagger}i\} | 0 \rangle = \langle 0 | \{i^{\dagger}a\}WG_{n}\{a^{\dagger}i\} | 0 \rangle_{L} + \langle 0 | WG_{n} | 0 \rangle$ • • • • • Because (algebraically):

 $\langle 0 | \{i^{\dagger}a\}\{a^{\dagger}i\}|0\rangle = 1$

 $\langle 0 | \{a^{\dagger}i\} | 0 \rangle = 0$ (normal ordered)

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- Subset #1: All linked diagrams (all vertices are connected)
- Subset #2: All unlinked diagrams
- Unlinked diagrams in excited state are exactly canceled by the ground state contributions

 $\langle 0 | \{i^{\dagger}a\}WG_{n}\{a^{\dagger}i\} | 0 \rangle - \langle 0 | WG_{n} | 0 \rangle = \langle 0 | \{i^{\dagger}a\}WG_{n}\{a^{\dagger}i\} | 0 \rangle_{L}$

(Important point used in the next slide)

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Elimination of unlinked diagrams

- Adding zero to the expression... $\omega_{0n} = \omega_{0n}^{0} + \left[\langle 0 | \{i^{\dagger}a\}WG_{n}\{a^{\dagger}i\} | 0 \rangle - \langle 0 | WG_{n} | 0 \rangle \right] + \left[\langle 0 | WG_{n} | 0 \rangle - \langle 0 | WG_{0} | 0 \rangle \right]$
- Only linked terms contribute in the following expression $\langle 0 | \{i^{\dagger}a\}WG_n\{a^{\dagger}i\} | 0 \rangle - \langle 0 | WG_n | 0 \rangle = \langle 0 | \{i^{\dagger}a\}WG_n\{a^{\dagger}i\} | 0 \rangle_L$
- Expression for the excitation energy

 $\omega_{0n} = \omega_{0n}^{0} + \langle 0 | \{i^{\dagger}a\}WG_{n}\{a^{\dagger}i\} | 0 \rangle_{L} + \langle 0 | W(G_{n} - G_{0}) | 0 \rangle$

Depends on particle-hole states

Depends only on occupied states

Generalized Hugenhotlz vertices

$$WG_n = \left[\sum_{i$$

 $WG_n = \Omega_2 + \Omega_3 + \Omega_4$

 Product of two two-body operators generates 2, 3, and 4-body operators





+

 D_{27}

 D_{26}

+

 D_{25}

+







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 Contribution from different treatment of e-e correlation for ground and excited state wave function

$$|\Psi_{0}\rangle = G_{0} |0\rangle \qquad |\Psi_{n}\rangle = G_{n} |\Phi_{i}^{a}\rangle$$
$$\langle 0|W(G_{n} - G_{0})|0\rangle = \{D_{19} + D_{20} + D_{21}\}$$

- Impacts excitation energy
- Does not impact electron-hole interaction kernel
- Is zero if $G_n = G_0$



- Effective 1-body (quasi) electron and hole operators
- Renormalizes quasiparticle energy levels due to e-e correlation
- Depends only on excited-state correlation operator G_n
- Impacts excitation energy
- Does not impact electron-hole interaction kernel



- It is an 2-particle operator that simultaneous operate on both (quasi) electron and hole states
- The loops represent renormalization of 3- and 4-body operators as effective 2-body operators
- All diagrams contribute to the electron-hole interaction kernel
- Depends only on excited-state correlation operator G_n

$$G_n = 0 \rightarrow K_{\rm eh} = 0$$

(eh screening is a consequence of ee correlation)

Interpretation of the closed-loops diagrams



- Closed-loops represent summation over occupied-state
- They represent effective 2-body operators generated from a 4-body operator by treating the additional coordinates at mean-field level

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$$WG_{n} = \left[\sum_{i < j}^{N} w(i, j)\right] \left[\sum_{i < j}^{N} g_{n}(i, j)\right] = \sum_{i < j}^{N} \theta_{n}(i, j) + \sum_{i < j}^{N} \theta_{n}(i, j, k) + \sum_{i < j < k < l}^{N} \theta_{n}(i, j, k, l)$$

$$= \frac{1}{4!} \sum_{i, j \in \text{occ}} \langle \chi_{i}(3) \chi_{j}(4) | \theta_{n}(1, 2, 3, 4) | \chi_{i}(3) \chi_{j}(4) \rangle_{A}$$

Just-in-time (JIT) source code generation

$$I = \sum_{pqrs} h_{pqrs} \langle 0 | X_1 X_2 \dots \{ p^{\dagger} q^{\dagger} sr \} \dots Y_1 Y_2 | 0 \rangle$$



Many-to-one map

- Numerically zero mo integrals are eliminated
- Non-unique values are mapped to unique terms
- All non-zero & unique mo integerals are assigned a unique id
- The unique id of the mo integrals are used to consolidate terms in the reduction step

Key point: Incorporating molecular integrals in the reduction step

Computer assisted Wick's contraction

 The strings of second quantized operators were evaluated using generalized Wick's theorem

$$\langle 0 | \{X_1 X_2 \dots\} \{\dots Y_{N-1} Y_N\} | 0 \rangle = \langle 0 | X_1 X_2 \dots Y_{N-1} Y_N | 0 \rangle \quad \text{(fully contracted)}$$

- Strategy#1: All contractions are performed computationally
- Strategy#2: Contractions are performed diagrammatically and the implementation is done computationally

Just-in-time (JIT) source code generation

Disadvantages:

 Source code is generated every time the mo integrals are updated (new system and change of basis)

• Can be impractical for large codes that have long compilation time



- The generated source code is optimized for the specific system
- Can reduce the overall memory footprint

Chemical application using first-order diagrams



Bayne, Chakraborty, JCTC, ASAP (2018)

Application to chemical systems

 $K_{\rm eb}^{(I)} = w(1,2)g(1,2)(1-P_{12})$ approximations : $\begin{cases} G_n = G_0 \\ K_{eb}^{(II,III)} = U_{eb}^{(II,III)} = 0 \end{cases}$

Excitation energies in small molecules and clusters

ω_{0n} [this work] – ω_{0n} [EOM-CCSD]		ω_{0n} [this work] – ω_{0n} [GW/BSE]			
System	Energy difference in eV	System	Energy difference in eV		
Ne	0.06	Cd ₆ Se ₆	0.04	(Ref. 1 & 3)	
H ₂ O	0.03	$Cd_{20}Se_{19}$	-0.04	(Ref. 2 & 3)	

Results from this work show reasonable agreement with many-body methods that use unoccupied states

1 Noguchi, Sugino, Nagaoka, Ishii, Ohno, JCP, 137, 024306 (2012) 2 Wang, Zunger, PRB, 53, 9579 (1996) 3 Bayne, Chakraborty, to be submitted (this work)

Exciton binding energies in CdSe clusters



Exciton binding energies in CdSe quantum dots

$$E_{\text{binding}} = \omega_{0n}^0 - \omega_{0n}$$



Exciton binding energies in CdSe quantum dots

$$E_{\text{binding}} = \omega_{0n}^0 - \omega_{0n}$$



Summary

- It was shown that the electron-hole interaction kernel (ehkernel) can be expressed without using unoccupied states.
- The derivation was performed using a two-body correlation operator which is local in real-space representation.
- Using diagrammatic techniques, it was shown that the ehkernel can be expressed only in terms of linked-diagrams.
- The derived expression provides a route to make additional approximations to the eh-kernel
- The 1st order approximation of eh-kernel was used for calculating electron-hole binding energies and excitation energies in atoms, molecules, clusters, and quantum dots.

Title here

Deformation potential: Which basis? $\mathbf{h}^{\eta} = \mathbf{h}^{0} + \mathbf{v}^{\eta}_{def}$

Space-filling basis functions

- Examples: plane-waves, real-space grid, distributed Guassian functions, Harmonic osc. basis, particle-in-box basis
- Both deformed and reference Hamiltonian use identical basis functions

Atom-centered basis functions

- Deformed and reference Hamiltonian use different basis functions
- We transform into the eigenbasis of the reference Hamiltonian

Transformation to ref. eigenbasis-I

- Step #1: Get quantities from the converged SCF calculation on reference structure $\mathbf{F}^{0}\mathbf{C}^{0} = \lambda^{0}\mathbf{S}^{0}\mathbf{C}^{0}$
- Step #2: Perform symmetric or orthogonal transformation such that the S matrix is diagonal in that basis

$$\mathbf{X}^{0\dagger}\mathbf{S}^{0}\mathbf{X} = \mathbf{I}$$
 (single tilde transformation)
$$\mathbf{X}^{0\dagger}\mathbf{F}^{0}\mathbf{X} = \tilde{\mathbf{F}}^{0}$$

Step #3: Find the U matrix that diagonalizes the transformed Fock matrix

 $\tilde{\tilde{\mathbf{F}}}^{0} \equiv [\mathbf{U}^{0}]^{\dagger} \tilde{\mathbf{F}}^{0} \mathbf{U}^{0} = \lambda^{0}$ (double tilde transformation)

 The U⁰ matrix is the matrix needed to transform operators in the eigenbasis of the reference structure

Transformation to ref. eigenbasis-II

- Step #4: Get quantities from the converged SCF calculation on the deformed structure $\mathbf{F}^{\eta}\mathbf{C}^{\eta} = \lambda^{\eta}\mathbf{S}^{\eta}\mathbf{C}^{\eta}$
- Step #5: Perform orthogonal transformation

 $\mathbf{X}^{0\dagger}\mathbf{S}^{\eta}\mathbf{X} = \mathbf{I}$ $\mathbf{X}^{0\dagger}\mathbf{F}^{\eta}\mathbf{X} = \tilde{\mathbf{F}}^{\eta}$

Step #6: Transform the Fock in the eigenbasis of the reference Hamiltonian

 $\tilde{\tilde{\mathbf{F}}}^{\eta} = [\mathbf{U}^0]^{\dagger} \tilde{\mathbf{F}}^{\eta} \mathbf{U}^0$

Step #7: Calculate the deformation potential

$$\mathbf{V}_{\mathrm{def}}^{\eta} = \widetilde{\widetilde{\mathbf{F}}}^{\eta} - \widetilde{\widetilde{\mathbf{F}}}^{0}$$

$$(G_n - G_0) = \sum_{i < j}^N g_n(i, j) - g_0(i, j) = \sum_{i < j}^N \tilde{g}(i, j)$$

$$W(G_n - G_0) = \left[\sum_{i < j}^{N} w(i, j)\right] \left[\sum_{i < j}^{N} \tilde{g}(i, j)\right] = \sum_{i < j}^{N} \theta_n(i, j) + \sum_{i < j}^{N} \theta_n(i, j, k) + \sum_{i < j < k < l}^{N} \theta_n(i, j, k, l)$$

$$\langle 0 | W(G_n - G_0) | 0 \rangle = \frac{1}{2} \sum_{i_1 i_2}^{N} \langle i_1 i_2 | \theta_2 (1 - P_{12}) | i_1 i_2 \rangle$$

$$+ \frac{1}{3!} \sum_{i_1 i_2 i_3}^{N} \langle i_1 i_2 i_3 | \theta_3 \sum_{k=1}^{3!} (-1)^{p_k} \hat{P}_k | i_1 i_2 i_3 \rangle$$

$$+ \frac{1}{4!} \sum_{i_1 i_2 i_3 i_4}^{N} \langle i_1 i_2 i_3 i_4 | \theta_4 \sum_{k=1}^{4!} (-1)^{p_k} \hat{P}_k | i_1 i_2 i_3 i_4 \rangle$$

Info#: Determination of geminal parameters

For quantum dots, G was obtained from parabolic QD

$$H_{\text{model}} = T_e + T_h + V_{eh} + V_{\text{harm}}$$

$$\min_{G} \frac{\langle \chi_{e} \chi_{h} | G^{\dagger} H_{\text{model}} G | \chi_{e} \chi_{h} \rangle}{\langle \chi_{e} \chi_{h} | G^{\dagger} G | \chi_{e} \chi_{h} \rangle} \longrightarrow G_{\text{model}}$$

$$G_n \simeq G_{\text{model}}$$
 $G_0 = G_n$

For small molecules and clusters, G was obtained variationally

$$G_n = G_0$$

If we are ready to admit unoccupied states

Infinite-order diagrammatic summation approach to explicitly correlated congruent transformed
HamiltonianPhys. Rev. A 89, 032515 (2014)

Mike Bayne,¹ John Drogo,² and Arindam Chakraborty^{1,*}

Challenge: Avoiding 3, 4, 5, 6-particle integrals

Step 1: Project the correlation function in a finite basis $E = \langle \Phi_0 | G^{\dagger} H G | \Phi_0 \rangle = \sum_{kk'}^M G_{0k} H_{kk'} G_{k'0}$

Step 2: Write the energy expression term of diagrams

$$E = \sum_{kk}^{M} D_1 + D_2 + \ldots + D_{36}$$

Step 3: Obtain a renormalized *E* 2-body operator by performing infinite-order summation over a subset of diagrams

$$E = \lim_{\substack{M \to \infty}} \sum_{kk}^{M} D_1 + \dots + D_{10} + \sum_{kk}^{M} D_{11} + \dots + D_{36}$$

Partial infinite-order diagrammatic summation



All diagrams are added to finite order

Info#: Summation over intermediate particle-hole states

Infinite-order diagrammatic summation approach to explicitly correlated congruent transformed Hamiltonian Phys. Rev. A 89, 032515 (2014)





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 $\langle 0|T_2^{\dagger}HT_2|0\rangle (D_9)$













 $\langle ij|g|al \rangle_A \langle al|r_{ee}^{-1}|cn \rangle_A \langle cn|g|ij \rangle_A$

 $\langle ij|g|ab\rangle_{\rm A} \langle ab|r_{\rm ee}^{-1}|md\rangle_{\rm A} \langle md|g|ij\rangle_{\rm A}$

Υm

 (D_{22})

 (D_{25})

 $\langle ij|g|ab \rangle_{\rm A} \langle ab|r_{\rm ee}^{-1}|cn \rangle_{\rm A} \langle cn|g|ij \rangle_{\rm A}$ (D_{23})





 $\langle ij|g|kb \rangle_{\rm A} \langle kb|r_{\rm ee}^{-1}|cd \rangle_{\rm A} \langle cd|g|ij \rangle_{\rm A}$





 $\langle ij|gr_{\rm ee}^{-1}g|ij\rangle_{\rm A}$

 (D_{28})



Ground state energy of helium atom



1. Elward, Hoja, Chakraborty Phys. Rev. A. 86, 062504 (2012)

See also: Geminal augmented MCSCF for H2, QMC calculations on H2O Varganov and Martinez, JCP, **132**, 054103 (2010) ; Xu and Jordan, JPCA, **114**, 1365 (2010)

Electron-hole Hamiltonian



 $H = H_0 + V_{\rm eh} \quad \underset{\rm contract}{\rm Co}$

Coulomb attraction term is responsible for electron-hole coupling

This talk: Explicitly correlated Hartree-Fock •Configuration interaction (CI): Zunger, Efros, Sundholm, Wang, Bester, Rabani, Franceschetti, Califano, Bittner, Hawrylak,...

•Many-body perturbation theory (MBPT): Baer, Neuhauser, Galli,...

•Quantum Monte Carlo method (QMC): Hybertsen, Shumway,...

•GW+BSE: Louie, Chelikowsky, Galli, Rohlfing , Rubio, ...

•All-electron TDDFT/DFT: Prezhdo, Tretiak, Kilina, Akimov, Ullrich, Li,....