

Multipolar nematic state of nonmagnetic FeSe based on DFT+ U Takemi Yamada^{✉*} and Takami Tohyama[✉]*Department of Applied Physics, Faculty of Science, Tokyo University of Science, 6-3-1 Nijuku, Katsushika, Tokyo 125-8585, Japan*

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Clarifying the origin of nematic state in FeSe is one of urgent problems in the field of iron-based superconductivity. Motivated by the discovery of a nematic solution in the density-functional theory implemented by on-site Coulomb interaction (DFT+ U) [npj Quantum Mater. **5**, 50 (2020)], we reexamine the U dependence of electronic states in the nonmagnetic normal state of FeSe and perform full multipolar analyses for the nematic state. We find that with increasing U the normal state experiences a topological change in the Fermi surfaces before the emergence of a nematic ground state. The resulting nematic ground state is a multipolar state having both antiferrohexadecapoles in the E representation and ferromultipoles in the B_2 representation on each Fe site. Cooperative coupling between the E and the B_2 multipoles in the local coordinate with the D_{2d} point group will play an important role in the formation of the d_{xz} , d_{yz} orbital-splitting nematic state not only in FeSe, but also in other iron pnictides.

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FeSe [1,2] is one of the most intensively studied iron-based superconductors [3–7] because of its complex and versatile ground state under pressure P [8–10] and substitution of Se [11,12]. Below the tetragonal-orthorhombic structural phase transition at $T_S = 90$ K, the electronic state of FeSe shows a behavior of the nematic state breaking the C_4 rotational symmetry whereas keeping translational symmetry without any magnetic ordering unlike other iron-based superconductors. Despite a tiny orthorhombicity [13], the system exhibits a large band splitting associated with the orbital differentiation of d_{xz} , d_{yz} , $|E_{yz} - E_{xz}| = 50$ meV [14], which is too large to attribute to the lattice deformation. This strongly supports the electronic origin of the nematic state, being consistent with the enhancement of the nematic fluctuation when T approaches T_S as observed in the nematic susceptibility [11,15] and the electronic Raman response [16,17]. Therefore, the clarification of the nematic state is significant for the microscopic understanding of recent interesting phenomena, such as the orbital-selective correlation effect [18–21] and the BCS-BEC crossover [22–25].

The Fermi surface (FS) and low-energy band structures of FeSe have extensively been investigated [14,26–38] where the multiorbital compensated metal with Fe- d orbitals is confirmed [6,7]. In the normal (nonnematic) state, two hole FSs (2h-FSs) around Γ and two-electron FSs (2e-FSs) around M have commonly been reported, but their size is extremely small only occupied 2-3% in the Brillouin zone (BZ). These small FSs and the low-energy band structure have not still been reproduced by the density-functional theory (DFT) [37], DFT+ U [38], the dynamical mean-field theory (DMFT) [18–20,39], and the quasiparticle self-consistent GW [40]. Several studies based on adjusted models to reproduce the low-energy bands of angle-resolved photoemission

spectroscopy (ARPES) [31] can explain the enhancement of orbital and magnetic fluctuations in the T - P phase [41–43].

As for the nematic state, several FSs have been reported by the Shubnikov–de Haas [26,27] and ARPES experiments [14,28–36] where a single hole FS (1h-FS) near Γ is common whereas it is still unsettled whether the electron FS near M is a single (1e-FS) or two. The sign change in the orbital splitting at Γ and M points in the BZ has been observed [30,31], whose origin and mechanism have been discussed [44–47]. The recent DFT study [48] has provided a new nematic ground state with the E_u irreducible representation of the D_{4h} symmetry, which contains 1e-FS and additional hybridization between d_{xy} and d_{xz} , d_{yz} orbitals [49,50]. Although this nematic state seems to explain the recent experiment [36], it is unclear how the nematic state is reached from the well-known three-hole FSs (3h-FSs) of the DFT normal state [38,48]. Therefore, a systematic investigation of the normal state on the verge of nematic ordering and a detailed multipolar analysis in the nematic state are highly desirable.

In this Letter, we examine the U dependence of the electronic states of FeSe by the DFT+ U method and find a topological change in FSs before a nematic order occurs. The resulting nematic ground state is found to be a multipolar state having both antiferrohexadecapoles in the E representation and ferromultipoles in the B_2 representation on each Fe site with the locally D_{2d} point group. This coexistence indicates that cooperative coupling between the E and the B_2 multipoles can be a source of the formation of the d_{xz} , d_{yz} orbital-splitting nematic state in FeSe and related materials.

We have performed the DFT+ U calculation [51] in the first-principles code WIEN2K [52] where the Coulomb interaction U for d electrons in the muffin-tin (MT) radius R_{MT}^v with atomic sites $v = \text{Fe1}, \text{Fe2}$ in the unit cell is introduced. The DFT+ U correction energy consists of total occupation number of d electrons within R_{MT}^v , $n^{d,v} = \sum_{m\sigma} n_{mm}^{\sigma,v}$, and the

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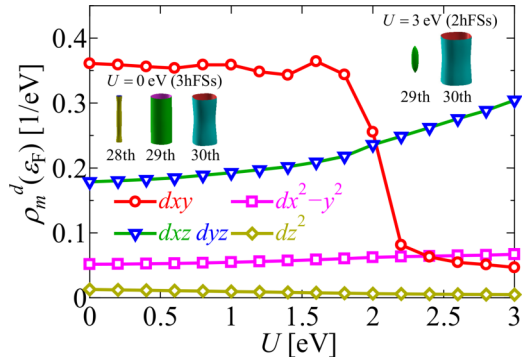


FIG. 1. U dependence of pDOS $\rho_m^d(\varepsilon_F)$. The inset shows the 3h-FSSs for $U = 0$ eV (left center) and the 2h-FSSs for $U = 3$ eV (right top).

density-matrix $n_{mm'}^{\sigma,\nu}$ as explicitly shown in Ref. [51]. Hereafter we drop the spin index σ and use $n_{mm'}^{\uparrow,\nu} = n_{mm'}^{\downarrow,\nu} = n_{mm'}^{\nu}$ and $n_{mm}^{\nu} = n_m^{\nu}/2$ due to the nonmagnetic situation throughout the paper [51]. By solving the Kohn-Sham equation self-consistently, the band energy ε_{kn} with wave-vector \mathbf{k} and band-index n is obtained for any given U where the effective $+U$ potential acting on the atomic basis $v_{mm'}^{\nu}$ [53,54] is given by

$$v_{mm'}^{\nu} = \delta_{mm'} \frac{U}{2} (1 - n_m^{\nu}) + (1 - \delta_{mm'}) (-U n_{mm'}^{\nu}), \quad (1)$$

where the first (second) term in Eq. (1) is proportional to the diagonal (off-diagonal) density-matrix n_{mm}^{ν} ($n_{mm'}^{\nu}$). All the technical details are presented in Ref. [51].

First, we investigate the U dependence of the normal electronic state in FeSe. Figure 1 shows the partial density-of-states (pDOS) $\rho_m^d(\varepsilon_F)$ at the Fermi energy ε_F . When $U = 0$ eV, 3h-FSSs consisting of the 28th, 29th, and 30th bands are obtained as shown in the inset of Fig. 1, being similar to the previous DFT results [37,38]. With increasing U , $\rho_m^d(\varepsilon_F)$ of d_{xy} orbital drops at $U \simeq 2$ eV ($=U_{LT}$), whereas, in turn, that of d_{xz} , d_{yz} increases gradually. Since the 28th band constructing the most inner hole FS originates from the d_{xy} orbital, it falls below ε_F and the FS vanishes at a Lifshitz transition point U_{LT} where the 3h-FSSs change to the 2h-FSSs from the 29th and 30th bands as shown in the inset of Fig. 1 [55]. This change is caused by $v_U(\mathbf{r})$ that induces orbital-dependent energy shifts, being proportional to $1 - n_m^{\nu}$ as shown in the first term of Eq. (1). We can find that the occupied number n_m^d in d_{xy} and d_{z^2} at $U = 0$ eV, which is larger than in d_{xz} , d_{yz} , and $d_{x^2-y^2}$, increases further with increasing U , resulting in the negatively large value of $1 - n_m^{\nu}$ in d_{xy} [56].

In contrast to the h-FSSs, the e-FSSs from the 31st and 32nd bands with d_{xz} , d_{yz} orbitals at M and A points do not undergo any topological change but, instead, ε_{kn} of these bands approaches ε_F monotonically with increasing U . This manifestation of the d_{xz} , d_{yz} orbitals near ε_F as evidenced by the 2h-FSSs and e-FSSs will triggers the formation of a nematic state mentioned below.

Next we calculate a nematic solution by preconditioning the initial charge density [51] as was performed in the previous pseudopotential calculation [48]. Figure 2(a) shows the total energy difference between the normal and the nematic

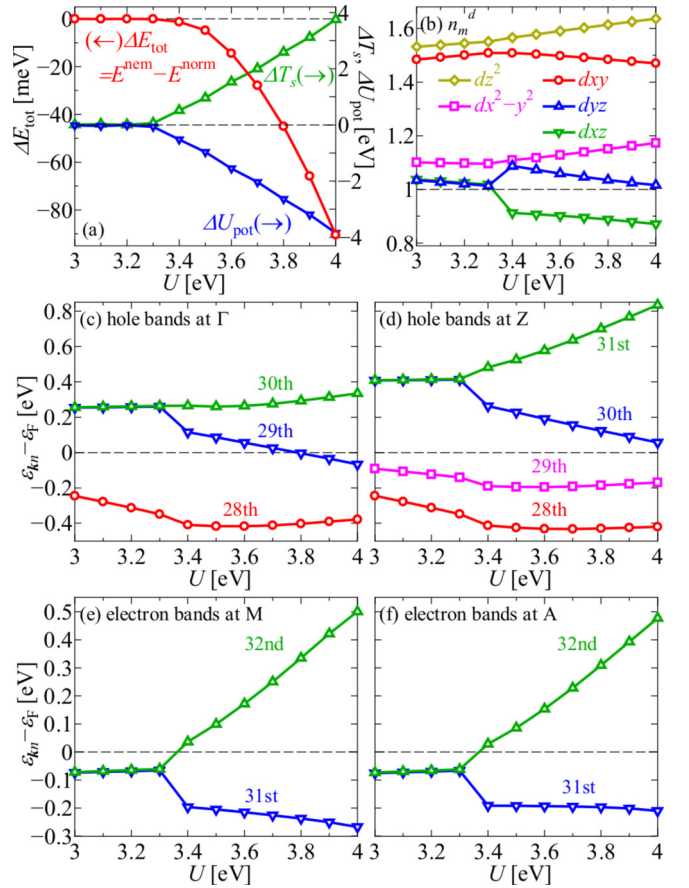


FIG. 2. (a) Energy differences of the total energy ΔE_{tot} (left axis), and kinetic and potential energies ΔT_s , ΔU_{pot} (right axis) and (b) n_m^d . (c)-(f) The obtained band energy $\varepsilon_{kn} - \varepsilon_F$ around ε_F for $U = 3$ to 4 eV.

states $\Delta E_{\text{tot}} = E_{\text{tot}}^{\text{nem}} - E_{\text{tot}}^{\text{normal}}$ as a function of U together with the kinetic-energy and potential-energy differences ΔT_s and ΔU_{pot} , where $E_{\text{tot}} = T_s + U_{\text{pot}}$ is calculated by the total energy formula of the all-electron method [57] under the Virial theorem $2T_s + U_{\text{pot}} = 0$. With increasing U more than $U = 3.4$ eV, $\Delta E_{\text{tot}} < 0$ is realized with $\Delta T_s > 0$ and $\Delta U_{\text{pot}} < 0$ together with the occupied number splitting between d_{xz} and d_{yz} orbitals as shown in Fig. 2(b). The energy gain is on the order of $O(10^{1-2}$ meV), which basically agrees with the previous pseudopotential DFT result [48].

The U dependence of $\varepsilon_{kn} - \varepsilon_F$ near ε_F at Γ and Z [M and A] points are shown in Figs. 2(c) and 2(d) [Figs. 2(e) and 2(f)], respectively. The d_{xz} - and d_{yz} -orbital bands, whose number is denoted in the figures, split due to the nematic state transition. Since the 32nd band in M and A points rises above ε_F , 2e-FSSs in the nonnematic state change to 1e-FS in the nematic state. Combining with the change from 2h-FSSs to 1h-FS at Γ point above $U = 3.7$ eV, we find the number of FSs consistent with the experiment [36] and the previous DFT result [48].

The order parameters of the nematic state obtained by DFT+ U have been discussed in a previous study [48] where only finite off-diagonal density-matrix elements are taken into account. Here, we derive all the active multipole moments

TABLE I. The definition and notations of multipole X_α denoted by quadrupole O_{Γ_γ} and hexadecapole $Q_{4\Gamma_\gamma}$ together with the irreducible representations (IRRs) in D_{2d} symmetry [58,59] at each Fe site. $T_{kq}^{(c,s)}$ (T_{kq}) is the tesseral (spherical) tensor operator with a relation $T_{kq}^{(c,s)} = \frac{(-1)^q}{\sqrt{2}}(T_{kq}^\dagger \pm T_{kq})$.

IRR	X_α	Tesseral tensor representation	(x, y, z) representation
A_1	O_u	T_{20}	$\frac{1}{2}(3z^2 - r^2)$
	Q_4	$\sqrt{\frac{5}{12}}T_{44}^{(c)} + \sqrt{\frac{7}{12}}T_{40}$	$\frac{5\sqrt{21}(x^4+y^4+z^4-\frac{3}{8}r^4)}{12}$
	Q_{4u}	$-\sqrt{\frac{7}{12}}T_{44}^{(c)} + \sqrt{\frac{5}{12}}T_{40}$	$\frac{7\sqrt{15}[2z^4-x^4-y^4-\frac{9}{8}r^2(3z^2-r^2)]}{12}$
A_2	$Q_{4\alpha,z}$	$-T_{44}^{(s)}$	$\frac{\sqrt{35}}{2}xy(x^2-y^2)$
B_1	O_v	$T_{22}^{(c)}$	$\frac{\sqrt{3}}{2}(x^2-y^2)$
	Q_{4v}	$-T_{42}^{(c)}$	$\frac{7\sqrt{5}[x^4-y^4-\frac{9}{8}r^2(x^2-y^2)]}{12}$
B_2	O_{xy}	$T_{22}^{(s)}$	$\sqrt{3}xy$
	$Q_{4\beta,z}$	$T_{42}^{(s)}$	$\frac{\sqrt{5}}{2}xy(7z^2-r^2)$
E	O_{zx}, O_{yz}	$T_{21}^{(c)}, T_{21}^{(s)}$	$\sqrt{3}zx, \sqrt{3}yz$
	$Q_{4\alpha,x}$	$-\sqrt{\frac{1}{8}}T_{43}^{(s)} - \sqrt{\frac{7}{8}}T_{41}^{(s)}$	$\frac{\sqrt{35}}{2}yz(y^2-z^2)$
	$Q_{4\alpha,y}$	$-\sqrt{\frac{1}{8}}T_{43}^{(c)} + \sqrt{\frac{7}{8}}T_{41}^{(c)}$	$\frac{\sqrt{35}}{2}zx(z^2-x^2)$
	$Q_{4\beta,x}$	$\sqrt{\frac{7}{8}}T_{43}^{(s)} - \sqrt{\frac{1}{8}}T_{41}^{(s)}$	$\frac{\sqrt{5}}{2}yz(7x^2-r^2)$
	$Q_{4\beta,y}$	$-\sqrt{\frac{7}{8}}T_{43}^{(c)} - \sqrt{\frac{1}{8}}T_{41}^{(c)}$	$\frac{\sqrt{5}}{2}zx(7y^2-r^2)$

in the present system more generally [58,59]. Without the spin-orbit interaction, the multipole operator can be regarded as a power series expansion of the rank k of orbital angular momentum operator $\ell = (\ell_x, \ell_y, \ell_z)$. Only the even rank multipoles, i.e., quadrupoles ($k=2$) and hexadecapoles ($k=4$), become finite for the d electron basis in each Fe site due to the time-reversal symmetry. These multipoles are classified by the irreducible representations $\{A_1, A_2, B_1, B_2, E\}$ at the Fe site with D_{2d} symmetry, which are summarized in Table I.

We calculate all the multipole moments listed in Table I from the density-matrix $n_{mm'}^v$, where all the multipole operators are normalized as $\text{Tr}[X_\alpha X_\beta] = \delta_{\alpha\beta}$. We note that a similar approach has been performed on the magnetic multipole order in the actinide dioxides [60,61]. We find that the multipoles directly related to the nematic order are those in the B_2 and E representations. Figures 3(a) and 3(c) [3(b) and 3(d)] show the U dependence of the quadrupoles O_{xz} , O_{yz} , O_{xy} , and the hexadecapoles $Q_{4\beta,z}$, $Q_{4\alpha,x}$, $Q_{4\alpha,y}$, $Q_{4\beta,x}$, $Q_{4\beta,y}$ at the Fe1 [Fe2] site, respectively. Above $U = 3.4$ eV, the B_2 quadrupole moment for O_{xy} at the two Fe sites becomes negative as seen in Figs. 3(a) and 3(b) and the similar behavior is obtained for the B_2 hexadecapole $Q_{4\beta,z}$ as seen in Figs. 3(c) and 3(d). This behavior corresponds to the emergence of a ferronematic order associated with the orbital differentiation between d_{xz} and d_{yz} . On the other hand, the E hexadecapole moments for $Q_{4\alpha,x}$, $Q_{4\alpha,y}$, $Q_{4\beta,x}$, and $Q_{4\beta,y}$ are more than ten times larger than the E quadrupole moments for O_{xz} , O_{yz} . It is also interesting to note that $Q_{4\beta,x} > 0$, $Q_{4\beta,y} < 0$, and $Q_{4\alpha,x(y)} > 0$ at Fe1 but opposite signs at Fe2 as shown in Figs. 3(c) and 3(d). Namely, the E -type order parameter at Fe1 (Fe2) is written as $\pm(aQ_{4\alpha}^E + bQ_{4\beta}^E + cO^E)$, where $Q_{4\alpha(\beta)}^E = \frac{1}{\sqrt{2}}(Q_{4\alpha(\beta),x} \pm Q_{4\alpha(\beta),y})$ and $O^E = \frac{1}{\sqrt{2}}(O_{zx} - O_{yz})$ with $a^2 + b^2 + c^2 = 1$. This result indicates that the antiferro-ordering

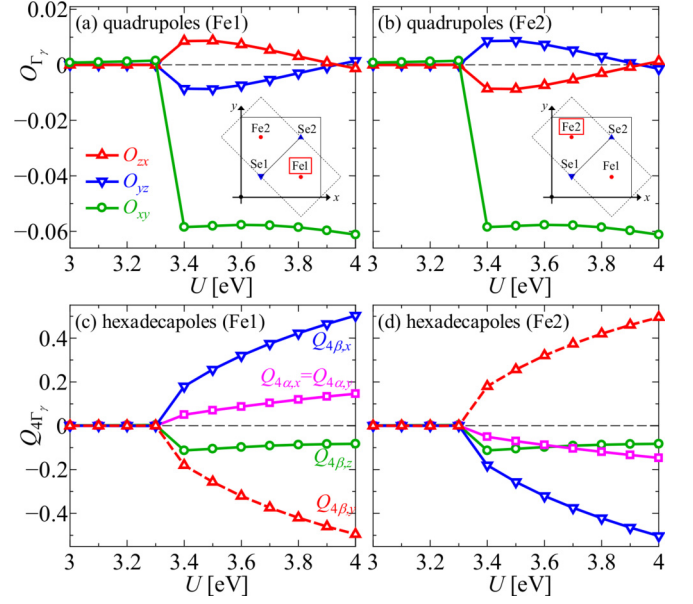


FIG. 3. The quadrupole and hexadecapole moments (a) and (b) O_{Γ_γ} and (c) and (d) $Q_{4\Gamma_\gamma}$ on Fe1 [(a) and (c)] and Fe2 [(b) and (d)] sites as a function of U . In the insets of (a) and (b), atom sites in the unit cell are depicted with x, y axes.

of the E multipoles with opposite values at two Fe sites coexists with the ferro-ordering of the B_2 multipoles with the same values at two sites.

Such the coexistence of E - and B_2 -type multipoles can be understood from the phenomenological intermultipole coupling theory [58,62] at finite temperature T , where the Ginzburg-Landau free energy with the mean-field (MF) approximation can be expanded by the multipole moment X_α around the nematic transition as given by $F_{\text{MF}} = F_{\text{MF}}^{(2\text{nd})} + F_{\text{MF}}^{(3\text{rd})} + \dots$. Here, $F_{\text{MF}}^{(3\text{rd})} = -\frac{T}{3!} \sum_{\alpha\beta\gamma} g_{\alpha\beta\gamma} X_\alpha X_\beta X_\gamma$, where $X_\alpha = O_{\Gamma_\gamma}$ or $Q_{4\Gamma_\gamma}$ and $g_{\alpha\beta\gamma}$ is the symmetric constant defined as $g_{\alpha\beta\gamma} = \frac{1}{2d} \text{Tr}[(X_\alpha X_\beta + X_\beta X_\alpha) X_\gamma]$ [63] with matrix dimension $d = 5$. The coupling terms among O_{xy} , $Q_{4\beta,z}$, and E multipoles are explicitly given by $F_{\text{MF}}^{(3\text{rd})} = -Tc_1 O_{xy} (-\frac{4}{11} O_{xz} O_{yz} - \frac{7}{11} Q_{4\alpha,x} Q_{4\alpha,y} + Q_{4\beta,x} Q_{4\beta,y}) - Tc_2 Q_{4\beta,z} (O_{xz} O_{yz} - \frac{7}{8} Q_{4\alpha,x} Q_{4\alpha,y} + Q_{4\beta,x} Q_{4\beta,y})$, where $c_1(c_2) = \frac{11}{84} \sqrt{\frac{15}{14}} (\frac{1}{21} \sqrt{\frac{10}{7}})$ and the second and third terms in both parentheses correspond to the coupling between the E multipoles and are negative whereas the coefficients of both parentheses including the B_2 multipoles are positive as shown in Fig. 3. Therefore, $F_{\text{MF}}^{(3\text{rd})}$ becomes negative as a whole stabilizing the coexistence state.

Finally, we discuss the band structure and orbital components of the normal ($U = 3.3$ eV) and nematic ($U = 3.4$ eV) states as shown in Figs. 4(a)–4(c) and 4(d)–4(f), respectively. It is clearly observed that the degenerated d_{xz} and d_{yz} bands near 0.25 eV (0.5 eV) at the Γ (Z) point split in the nematic state, corresponding to the ordering of O_{xy} and $Q_{4\beta,z}$ as seen in Fig. 3. Band splitting due to the same mechanism is also realized in the 31st and 32nd electron bands near 0 eV along the M-A direction, which consist of linear combinations of d_{xz} and d_{yz} orbitals without k_z dependence. This

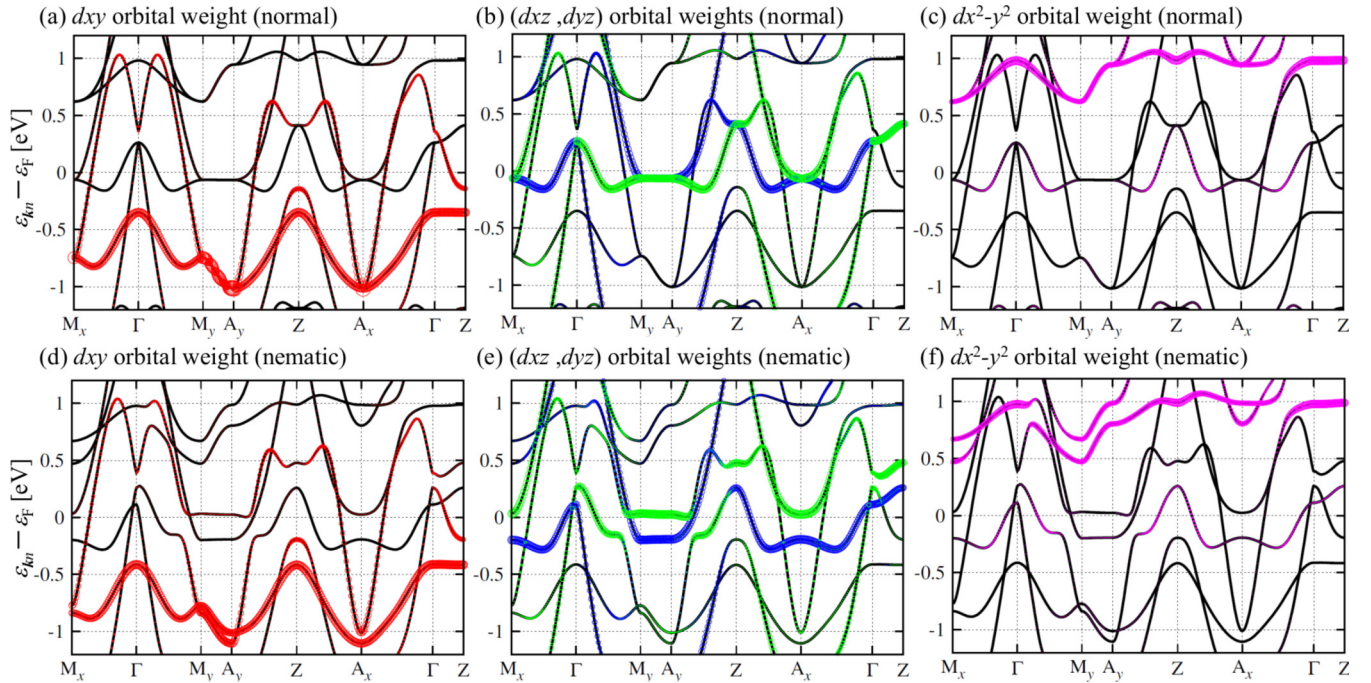


FIG. 4. Band structures for (a)–(c) normal state ($U = 3.3$ eV) and (d)–(f) nematic state ($U = 3.4$ eV) with the orbital weight of (a) and (d) d_{xy} , (b) and (e) d_{xz} (green), d_{yz} (blue), and (c) and (f) $d_{x^2-y^2}$ along the high-symmetry line in the BZ, where $M_x[M_y] = (\frac{\pi}{a}, \frac{\pi}{a}, 0)[(\frac{\pi}{a}, -\frac{\pi}{a}, 0)]$ and $A_x[A_y] = (\frac{\pi}{a}, \frac{\pi}{a}, \frac{\pi}{c})[(\frac{\pi}{a}, -\frac{\pi}{a}, \frac{\pi}{c})]$ and a, c are the lattice constants.

leads to a splitting of the peak structure in pDOS $\rho_m^d(\epsilon_F)$ of the d_{xz} and d_{yz} orbitals [51]. In the nematic state as shown in Fig. 3, the E hexadecapoles become finite, which gives rise to the significant mixings among the $|\ell_z| = 2$ orbitals (d_{xy} and $d_{x^2-y^2}$) and $|\ell_z| = 1$ orbitals (d_{xz} and d_{yz}) [64]. The mixing with $d_{x^2-y^2}$ (d_{xy}) having a large weight above (below) ϵ_F pushes down (up) the energy level of the mixed partner d_{yz} (d_{xz}). Such a mixing effect is remarkable in the M_y - Γ and A_y - Z directions as seen in Figs. 4(a) and 4(d): A mixing gap is formed near -0.1 eV in their directions. On the other hand, the band for the d_{xy} orbital near -0.2 eV in the M_x - Γ and A_x - Z directions remains almost unchanged. This one-side gap opening along the M_x - Γ - M_y direction, which is consistent with the experiment [36], is critically important for the origin of the nematic state because it inherently requires the presence of the E multipoles as pointed out in this Letter [65].

The orbital-dependent correlation effect due to Hund's coupling J , “Hund's metal” behavior, has been discussed in FeSe where the pressure- and correlation-driven Lifshitz transitions [66,67], and the enhancement of compressibility with a charge instability [68,69] have been obtained for the similar U values of the present nematic transition. Therefore, it will be important to extend the present method to a strongly correlated theory incorporating the properties of Hund's metal and

to clarify the relation between the nematic states obtained here and Hund's metal phenomena [66–69], which is, however, beyond the scope of the present Letter.

To summarize, we have studied the nonmagnetic normal and nematic states of the iron-based superconductor FeSe by using the DFT+ U method with the multipole analyses. The effect of U on the normal state generates a topological change in FSs from 3h-FSSs to 2h-FSSs, leading to a change in the dominant orbital near ϵ_F from d_{xy} to d_{xz}, d_{yz} . As a result, the multipolar nematic state with the E antiferrohexadecapoles accompanying the B_2 ferromultipoles has been obtained without any assumption of the order parameters, giving rise to both of the d_{xz} - d_{yz} orbital splitting at Γ and the d_{xy} -(d_{xz}, d_{yz}) orbital mixing around M and A points. From phenomenological analysis, we have found that the intermultipole coupling of B_2 and E multipoles on each Fe site can explain the energy gain larger for the coexisting order than for the quadrupole O_{xy} order alone. This multipolar mechanism for the formation of nematic state will be applicable not only to FeSe, but also to other iron pnictides where the degenerated d_{xz}, d_{yz} orbitals play a crucial role.

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- [56] Throughout the calculation, total d occupation number $n^{d,v}$ is almost unchanged from $n^{d,v} = 6.17\text{--}6.19$, and the total valence electron number n_v is strictly fixed $n_v = 60$ per two (FeSe) in the unit cell where 28 electrons are attributed to Fe- $3p$, $3d$, $4s$ and 32 electrons to Se- $3d$, $4s$, $4p$.
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- [65] On the other hand, the sign-reversing nematic splitting observed in experiments cannot be reproduced by the present DFT+ U method that is a kind of local approximation since it requires the effect of wave-vector-dependent (nonlocal) self-energy corrections beyond the mean-field approximation of the local interaction under a model whose parameters are adjusted to reproduce the FSs of the ARPES experiment as in Ref. [45]. Such nonlocal effects could be described by incorporating, for example, the mean-field approximation for the intersite Coulomb interactions, inducing additional hopping terms into our method.
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