

# Electronic correlations and evolution of the charge density wave in the kagome metals $AV_3Sb_5$ ( $A = K, Rb, Cs$ )

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The kagome metals  $AV_3Sb_5$  ( $A = K, Rb, Cs$ ) have attracted enormous interest as they exhibit an intertwined charge density wave (CDW) and superconductivity (SC). We report optical studies of  $AV_3Sb_5$  across the whole family. With increasing alkali-metal atom radius from K to Cs, the CDW gap  $\Delta_{CDW}$  increases monotonically, whereas  $T_{CDW}$  first rises and then drops, failing to establish a scaling relation with  $\Delta_{CDW}$ . While the Fermi surface gapped by the CDW grows,  $T_c$  is elevated in  $CsV_3Sb_5$ , indicating that the interplay between the CDW and SC is not simply a competition for the density of states near  $E_F$ . More importantly, we observe an enhancement of electronic correlations in  $CsV_3Sb_5$ , which suppresses the CDW but enhances SC, accounting for all the above peculiar observations. Our results suggest electronic correlations as an important factor in manipulating the CDW and its entanglement with SC in  $AV_3Sb_5$ .

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## I. INTRODUCTION

The kagome lattice, composed of hexagons and corner-sharing triangles, provides a fascinating playground for exploring exotic quantum phenomena. For instance, spins or magnetic moments on a kagome lattice are subject to a high degree of geometric frustration that may lead to quantum spin liquids [1,2]; electrons in a kagome lattice form flat bands, Dirac points, and saddle points, which support intriguing quantum phenomena associated with nontrivial band topology [3–7] and a wide variety of electronic instabilities [8–11]. Particularly at van Hove filling, as a function of the on-site repulsion  $U$  and nearest-neighbor Coulomb interaction  $V$ , the kagome lattice exhibits a rich phase diagram consisting of various phases such as charge or spin bond order [10,11], superconductivity (SC) [8,10,11], charge density waves (CDWs) [11,12] and spin density waves (SDWs) [8].

The recently discovered kagome metals  $AV_3Sb_5$  ( $A = K, Rb, Cs$ ) [13] with the Fermi level  $E_F$  lying near the saddle points (van Hove filling) provide an excellent platform to realize the above exotic quantum states in real materials. Multiple topologically protected Dirac bands [14,15] and SC with a  $T_c$  of 0.92–2.5 K [14–16] have been reported in these compounds. In addition, a CDW transition occurs at  $T_{CDW} = 78, 103, \text{ and } 94$  K for  $KV_3Sb_5, RbV_3Sb_5, \text{ and}$

$CsV_3Sb_5$ , respectively [13–16]. Although a three-dimensional  $2 \times 2 \times 2$  superlattice was observed in the CDW state [17,18], subsequent experimental results suggested a  $2 \times 2 \times 4$  reconstruction [19] and even a transition between these two [20]. Upon entering the CDW state, a giant anomalous Hall effect [21,22] and electronic nematicity [23–27] also emerge. The application of pressure [28–31], uniaxial strain [32], or chemical doping [33–36] suppresses CDW, but enhances SC, signifying the competition between these two orders. While a variety of studies suggest that the saddle point or Fermi surface (FS) nesting plays an important role in driving the CDW instability [37–47], there is also evidence that the CDW is mainly driven by electron-phonon (e-ph) coupling [48–51]. At the present time, the driving mechanism of the CDW and how it interacts with SC in  $AV_3Sb_5$  are subjects for intensive debate.

The evolution of the CDW and SC properties with alkali metal in  $AV_3Sb_5$  may reveal key information about the interplay between the two orders. Here, we study the optical properties of  $AV_3Sb_5$  across the whole family. As the alkali-metal atom radius grows from K to Cs, the CDW gap  $\Delta_{CDW}$  increases monotonically, whereas  $T_{CDW}$  first rises but then drops, failing to exhibit a scaling relation with  $\Delta_{CDW}$ . While the FS removed by  $\Delta_{CDW}$  increases,  $T_c$  is raised in  $CsV_3Sb_5$ , indicating that the interplay between the CDW and SC is not simply a competition for the density of states (DOS) near  $E_F$ . Moreover, we observe an enhancement of electronic correlations in  $CsV_3Sb_5$ , which suppresses the CDW but promotes unconventional SC, accounting for the above peculiar behavior. Our results underline the importance of electronic correlations in manipulating the CDW and its entanglement with SC in  $AV_3Sb_5$ .

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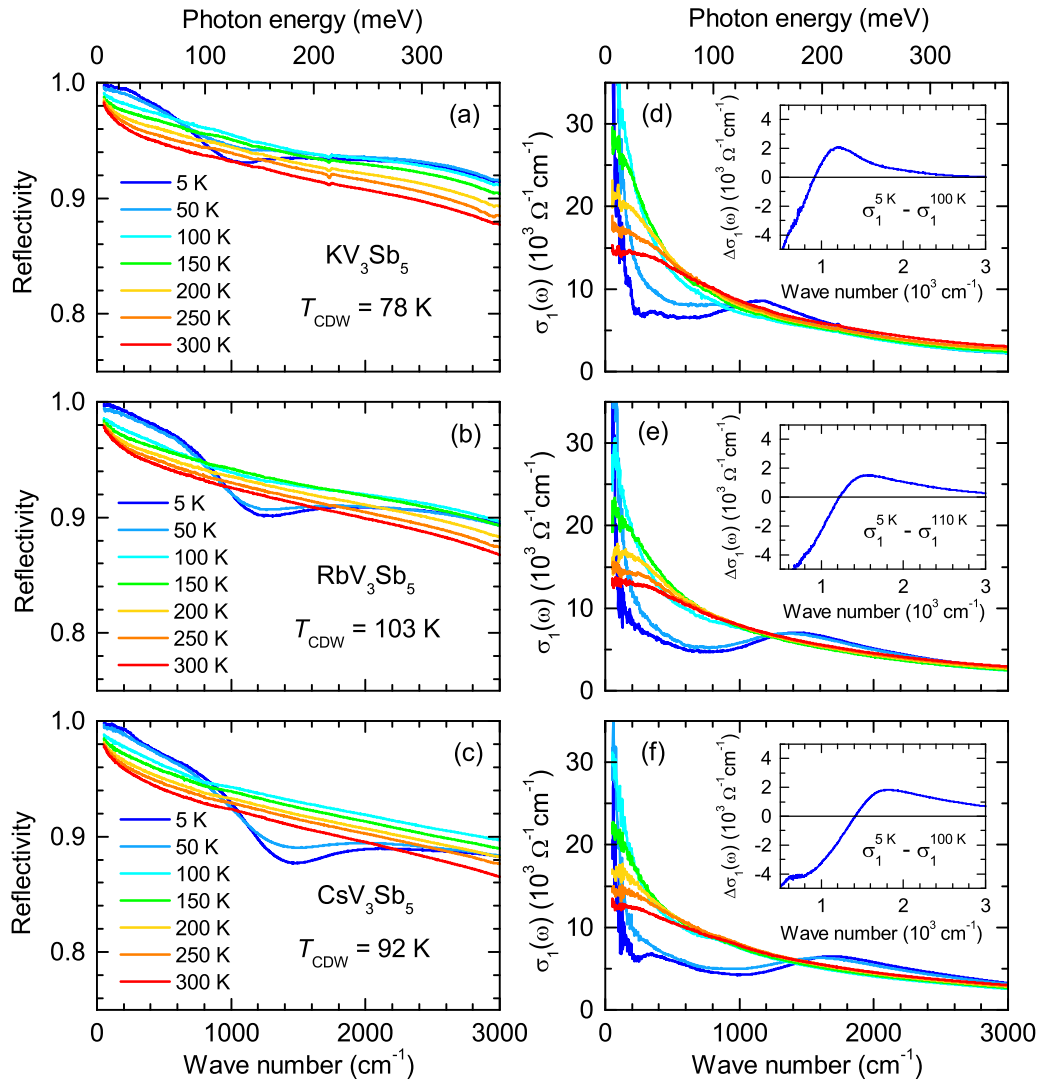


FIG. 1. (a)–(c)  $R(\omega)$  at several representative temperatures for  $\text{KV}_3\text{Sb}_5$ ,  $\text{RbV}_3\text{Sb}_5$ , and  $\text{CsV}_3\text{Sb}_5$ , respectively. (d)–(f)  $\sigma_1(\omega)$  for  $\text{KV}_3\text{Sb}_5$ ,  $\text{RbV}_3\text{Sb}_5$ , and  $\text{CsV}_3\text{Sb}_5$ , respectively. The inset displays  $\Delta\sigma_1(\omega)$  at 5 K for each compound, where  $\sigma_1(\omega)$  at  $T$  just above  $T_{\text{CDW}}$  is used as the base curve.

## II. RESULTS AND DISCUSSION

The sample growth, characterization, and details of optical measurements are given in the Supplemental Material [52] (see, also, Refs. [53–56]). Figures 1(a)–1(c) show the reflectivity  $R(\omega)$  at different temperatures for  $\text{KV}_3\text{Sb}_5$ ,  $\text{RbV}_3\text{Sb}_5$ , and  $\text{CsV}_3\text{Sb}_5$ , respectively. Above  $T_{\text{CDW}}$ ,  $R(\omega)$  for all compounds exhibits metallic behavior: a very high  $R(\omega)$  in the far-infrared range that approaches unity in the zero-frequency limit. Below  $T_{\text{CDW}}$ , a suppression of  $R(\omega)$  around  $1200 \text{ cm}^{-1}$  occurs for all materials, signaling the opening of a CDW gap. As the alkali-metal atom radius grows from K to Cs, the suppression in  $R(\omega)$  shifts to higher frequency and deepens, suggesting that the CDW gap increases in energy and the gap-induced FS modification intensifies with growing alkali-metal atom radius. The real part of the optical conductivity  $\sigma_1(\omega)$  is obtained through a Kramers-Kronig analysis of  $R(\omega)$  [52,57]. Figures 1(d)–1(f) show  $\sigma_1(\omega)$  at different temperatures for  $\text{KV}_3\text{Sb}_5$ ,  $\text{RbV}_3\text{Sb}_5$ , and  $\text{CsV}_3\text{Sb}_5$ , respectively. For all

compounds, above  $T_{\text{CDW}}$ , a Drude response, i.e., a peak centered at zero frequency, can be clearly observed in the low-frequency  $\sigma_1(\omega)$ , in good agreement with the metallic nature of these materials; below  $T_{\text{CDW}}$ , a dramatic suppression of the low-frequency  $\sigma_1(\omega)$  sets in, and the removed spectral weight [the area under  $\sigma_1(\omega)$ ] is transferred to higher frequencies, which is the prototypical response of the CDW gap in  $\sigma_1(\omega)$ . The detailed evolution of  $\sigma_1(\omega)$  with  $T$  is traced out in the 2D temperature-frequency ( $T - \omega$ ) maps in Figs. 2(a)–2(c) for all three materials. The horizontal dashed line in each panel denotes  $T_{\text{CDW}}$ . Below  $T_{\text{CDW}}$ , the opening of the CDW gap leads to the presence of a blue region in the low-frequency range [a suppression of the low-frequency  $\sigma_1(\omega)$ ] and a shift of the green/cyan region to higher frequencies. A comparison of Figs. 2(a)–2(c) reveals that as the radius of the alkali-metal atom in  $\text{AV}_3\text{Sb}_5$  increases, the low-frequency blue region moves to higher frequencies and grows in area. These observations indicate that not only does the CDW gap value increase; the removed spectral weight due to the opening of the CDW gap also grows with increasing alkali-metal atom radius.

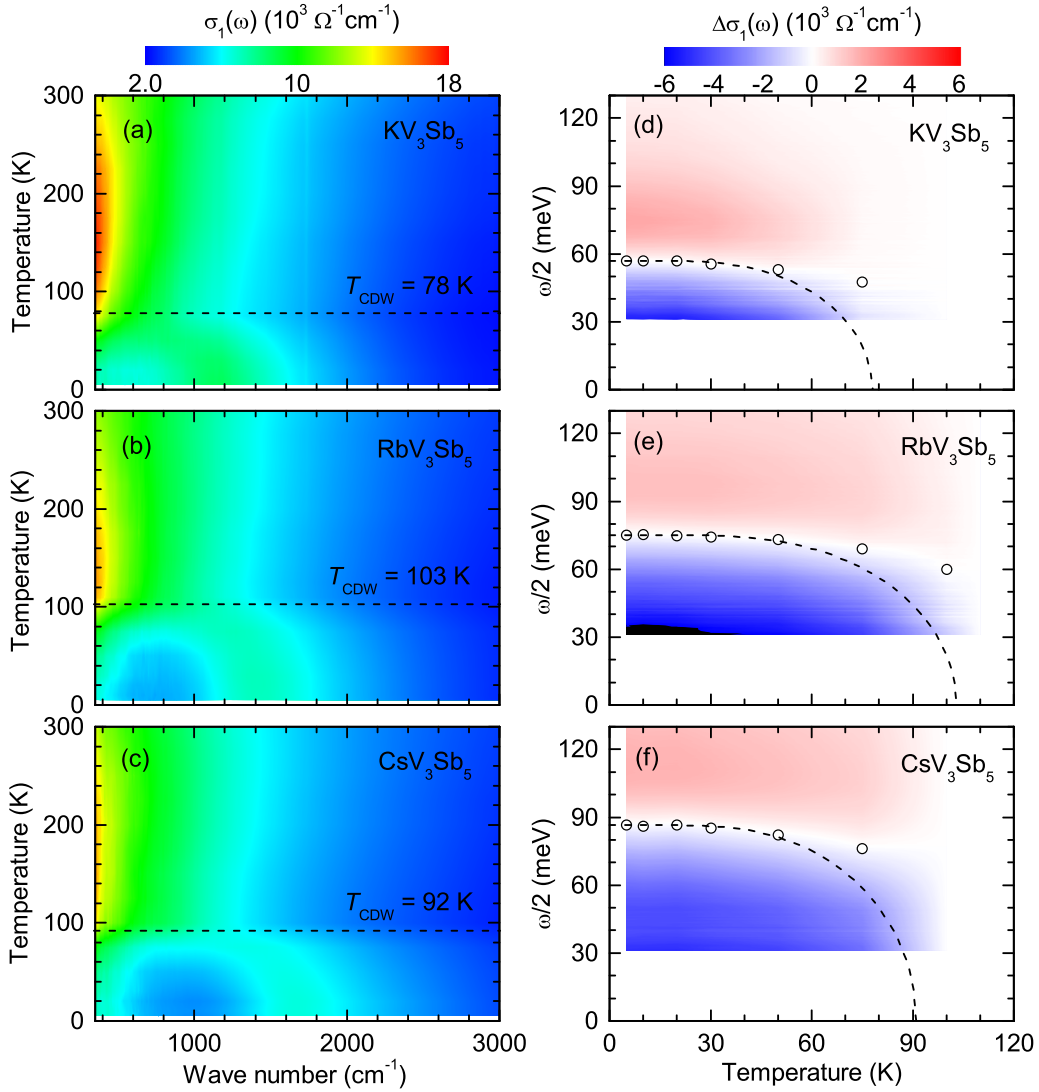


FIG. 2. (a)–(c) The 2D  $T - \omega$  map of  $\sigma_1(\omega)$  for  $\text{KV}_3\text{Sb}_5$ ,  $\text{RbV}_3\text{Sb}_5$ , and  $\text{CsV}_3\text{Sb}_5$ , respectively. (d)–(f)  $\Delta\sigma_1(\omega)$  in the 2D  $\omega/2 - T$  plot, where the white color (zero-crossing points) yields the  $T$  dependence of  $\Delta_{\text{CDW}}$ . The dashed line in each panel represents the mean-field behavior.

The CDW gap  $\Delta_{\text{CDW}}$  can be determined from the zero-crossing point in the difference optical conductivity,

$$\Delta\sigma_1(\omega) = \sigma_1^{T < T_{\text{CDW}}}(\omega) - \sigma_1^P(\omega), \quad (1)$$

where  $\sigma_1^{T < T_{\text{CDW}}}(\omega)$  represents  $\sigma_1(\omega)$  at  $T < T_{\text{CDW}}$ ;  $\sigma_1^P(\omega)$  refers to  $\sigma_1(\omega)$  in the pristine phase. The insets of Figs. 1(d)–1(f) display  $\Delta\sigma_1(\omega)$  at 5 K for  $\text{KV}_3\text{Sb}_5$ ,  $\text{RbV}_3\text{Sb}_5$ , and  $\text{CsV}_3\text{Sb}_5$ , respectively, in which the zero-crossing point corresponds to  $2\Delta_{\text{CDW}}$ . Therefore, the  $T$  dependence of  $\Delta_{\text{CDW}}$  can be obtained by plotting  $\Delta\sigma_1(\omega)$  in the 2D  $\omega/2 - T$  map as shown in Figs. 2(d)–2(f) for  $\text{KV}_3\text{Sb}_5$ ,  $\text{RbV}_3\text{Sb}_5$ , and  $\text{CsV}_3\text{Sb}_5$ , respectively, where the white color yields the evolution of  $\Delta_{\text{CDW}}$  with  $T$ . For all materials, the  $T$  dependence of  $\Delta_{\text{CDW}}$  deviates from the BCS mean-field behavior (dashed line) in the proximity of  $T_{\text{CDW}}$ , consistent with previous studies [39,58,59]. Moreover,  $\Delta_{\text{CDW}}$  increases monotonically with increasing alkali-metal atom radius, failing to show a scaling relation with  $T_{\text{CDW}}$  which increases in  $\text{RbV}_3\text{Sb}_5$  but then drops in  $\text{CsV}_3\text{Sb}_5$ . The values of  $\Delta_{\text{CDW}}$  and  $T_{\text{CDW}}$  for  $\text{AV}_3\text{Sb}_5$  are

summarized in Figs. 4(a) and 4(b), respectively, for further discussions. Note that  $\Delta_{\text{CDW}}$  can also be determined by alternative methods such as the extrapolation of the absorption edge in  $\sigma_1(\omega)$  [58] and the position of the absorption peak [59]. We also extracted  $\Delta_{\text{CDW}}$  using these methods [52] and found that different methods give different absolute values of  $\Delta_{\text{CDW}}$ , but all methods yield consistent results. In previous work [39,58–60],  $\Delta_{\text{CDW}}$  in different materials was determined by different methods, prohibiting an alkali-metal dependence study.

The removed spectral weight  $\Delta S$  in the low-frequency range due to the opening of  $\Delta_{\text{CDW}}$  reflects the gapped portion of the FS or the reduction of the DOS near  $E_F$ .  $\Delta S$  can be directly obtained from the integral of  $\sigma_1(\omega)$ ,

$$\Delta S = \int_0^{2\Delta_{\text{CDW}}} [\sigma_1^P(\omega) - \sigma_1^{T < T_{\text{CDW}}}(\omega)] d\omega. \quad (2)$$

The values of  $\Delta S$  at  $T = 5$  K are 6.00, 6.49, and  $6.74 \times 10^6 \text{ } \Omega^{-1} \text{ cm}^{-2}$  for  $\text{KV}_3\text{Sb}_5$ ,  $\text{RbV}_3\text{Sb}_5$ , and  $\text{CsV}_3\text{Sb}_5$ ,

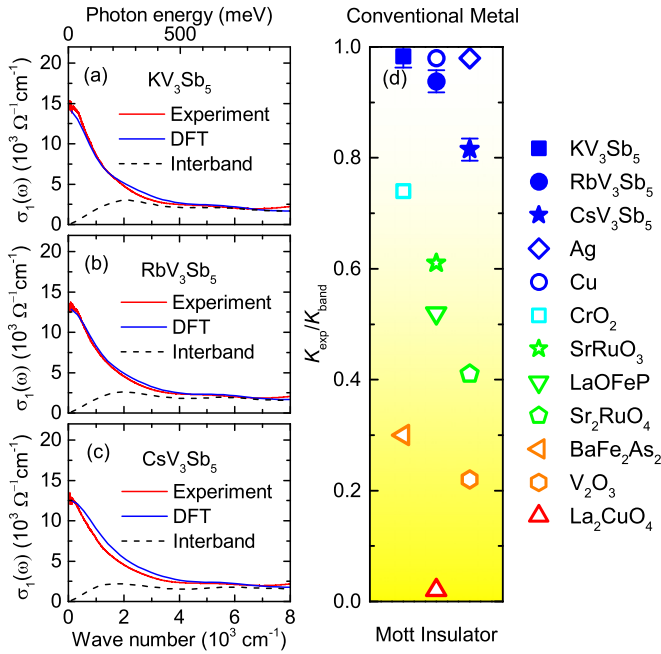


FIG. 3. (a)–(c) The calculated  $\sigma_1(\omega)$  (blue solid curve) and the measured  $\sigma_1(\omega)$  at 300 K (red solid curve) for  $KV_3Sb_5$ ,  $RbV_3Sb_5$ , and  $CsV_3Sb_5$ , respectively. (d)  $K_{\text{exp}}/K_{\text{band}}$  for  $AV_3Sb_5$  (solid symbols) and other representative materials (open symbols). The values of  $K_{\text{exp}}/K_{\text{band}}$  for other materials are obtained from Ref. [61] and the references cited therein.

respectively. The increase of  $\Delta S$  with increasing alkali-metal atom radius indicates that a larger portion of the FS is removed by  $\Delta_{\text{CDW}}$  in  $AV_3Sb_5$  with a larger alkali-metal atom. We plot  $\Delta S$  as a function of alkali metal in Fig. 4(d) for further discussions.

The ratio of the experimental kinetic energy  $K_{\text{exp}}$  to that from band theory  $K_{\text{band}}$  provides crucial information about electronic correlations [61–66]. The electron’s kinetic energy for  $AV_3Sb_5$  can be conveniently derived from the area under the Drude feature in  $\sigma_1(\omega)$  [61,62],

$$K = \frac{2\hbar^2 c_0}{\pi e^2} \int_0^{\omega_c} \sigma_1(\omega) d\omega, \quad (3)$$

where  $c_0$  is the distance between the V kagome layers, and  $\omega_c$  is a cutoff frequency covering the entire Drude component in  $\sigma_1(\omega)$ . In order to determine  $K_{\text{band}}$ , we calculated the  $ab$ -plane  $\sigma_1(\omega)$  for all three materials [52] (see, also, Refs. [67–70] therein). As depicted in Figs. 3(a)–3(c), the calculated  $\sigma_1(\omega)$  spectra (blue curves) qualitatively agree with the measured ones (red curves). Due to the existence of low-energy interband transitions [52,58–60], the contributions from intraband and interband are not well separated in  $\sigma_1(\omega)$ . For an accurate determination of  $K_{\text{exp}}/K_{\text{band}}$ , we calculated the interband contribution in  $\sigma_1(\omega)$  [black dashed lines in Figs. 3(a)–3(c)] and subtracted it from both the calculated and measured  $\sigma_1(\omega)$ . Using  $\omega_c = 5000 \text{ cm}^{-1}$  for both  $K_{\text{exp}}$  and  $K_{\text{band}}$ , the values of  $K_{\text{exp}}/K_{\text{band}}$  are obtained for all three compounds.

Figure 3(d) summarizes  $K_{\text{exp}}/K_{\text{band}}$  for  $AV_3Sb_5$  (solid symbols) and some other representative materials (open symbols).

While conventional metals (Ag and Cu) have  $K_{\text{exp}}/K_{\text{band}}$  close to unity,  $K_{\text{exp}}/K_{\text{band}}$  for the well-known Mott insulators, such as  $La_2CuO_4$ , is almost zero due to on-site Coulomb repulsion which impedes the motion of electrons. Iron pnictides, e.g.,  $LaOFeP$  and  $BaFe_2As_2$ , are categorized as moderately correlated materials, as their  $K_{\text{exp}}/K_{\text{band}}$  lie between conventional metals and Mott insulators.  $K_{\text{exp}}/K_{\text{band}}$  for  $AV_3Sb_5$  fall into the range of 0.81–0.98, indicating weak electronic correlations. However, it is worth noting that while  $K_{\text{exp}}/K_{\text{band}}$  for  $KV_3Sb_5$  and  $RbV_3Sb_5$  are close to that of conventional metals,  $CsV_3Sb_5$  features a reduced  $K_{\text{exp}}/K_{\text{band}}$ . Such a reduction of  $K_{\text{exp}}/K_{\text{band}}$  is not caused by a change of disorder or stoichiometry [52], but signifies an enhancement of electronic correlations. Theoretical calculations have revealed that the FS of  $AV_3Sb_5$  is formed by Sb-5*p* and V-3*d* orbitals [37,71,72]. Since 3*d* electrons are subject to strong electronic correlations [73,74], the electronic correlations in  $AV_3Sb_5$  are likely to arise from the V-3*d* orbitals. Recent ARPES studies have also found clear signatures of electronic correlations in the V-3*d* orbitals of  $CsV_3Sb_5$  [46,75]. The enhancement of electronic correlations in  $CsV_3Sb_5$  may originate from the extension of the V-V bond, as the V-V bond in  $CsV_3Sb_5$  (2.7475 Å) is the longest [13]. However, the V-V bond in  $RbV_3Sb_5$  (2.7358 Å) is shorter than that in  $KV_3Sb_5$  (2.7409 Å), at odds with the slight decrease of  $K_{\text{exp}}/K_{\text{band}}$  in  $RbV_3Sb_5$ . Here, we would like to remark that the electronic correlations in  $AV_3Sb_5$  are affected by multiple factors including the V-V bond length, the hybridization between V-3*d* and Sb-5*p* orbitals [71,76], and the filling of V-3*d* orbitals. The question of what factor plays a dominant role in tuning the electronic correlations calls for further studies. Given that the ground state of the kagome lattice sensitively depends on electronic correlations [10–12,38], the enhancement of electronic correlations in  $CsV_3Sb_5$ , although not as strong as that in cuprates and iron pnictides, may have an important influence on the CDW and its interplay with SC.

Essential information about the CDW and how it intertwines with SC in  $AV_3Sb_5$  can be obtained from the alkali-metal dependence of the parameters summarized in Figs. 4(a)–4(f). A noticeable yet puzzling observation is that while  $\Delta_{\text{CDW}}$  [Fig. 4(a)] increases monotonically with increasing alkali-metal atom radius,  $T_{\text{CDW}}$  [Fig. 4(b)] first increases but then decreases, failing to establish a scaling relation with  $\Delta_{\text{CDW}}$ . This anomalous behavior is clearly at variance with the conventional CDW [77]. For both the nesting and e-ph coupling driven scenarios, a larger  $\Delta_{\text{CDW}}$  would naturally support a higher  $T_{\text{CDW}}$ . Here in  $CsV_3Sb_5$ , an increase of  $\Delta_{\text{CDW}}$  coincides with a decrease of  $T_{\text{CDW}}$ , implying that besides e-ph coupling and FS nesting, a competing factor that suppresses  $T_{\text{CDW}}$  also exerts considerable influence on the CDW. Furthermore, Fig. 4(c) shows that  $KV_3Sb_5$  and  $RbV_3Sb_5$  have the same  $2\Delta_{\text{CDW}}/k_B T_{\text{CDW}}$ , indicating that the CDW is governed by the same mechanism, whereas  $2\Delta_{\text{CDW}}/k_B T_{\text{CDW}}$  is significantly larger in  $CsV_3Sb_5$ , suggesting that an extra factor is acting on the CDW order. Previous studies on transition metal dichalcogenides (TMDs) have documented that while e-ph coupling, FS nesting, and a high DOS are beneficial to the formation of CDW order, electronic correlations act as a competing factor which tends to localize the carriers and prevents the formation of CDW order [78,79]. Our optical

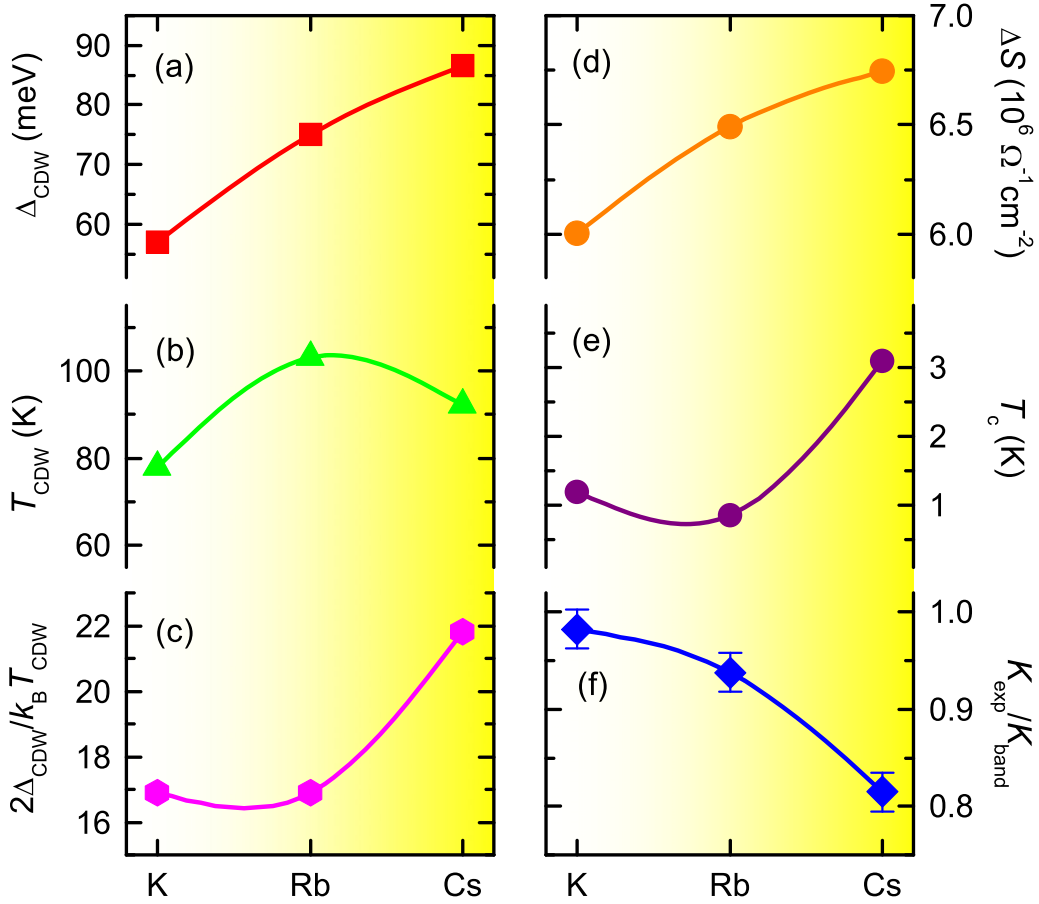


FIG. 4. The evolution of (a)  $\Delta_{\text{CDW}}$ , (b)  $T_{\text{CDW}}$ , (c)  $2\Delta_{\text{CDW}}/k_B T_{\text{CDW}}$ , (d)  $\Delta S$ , (e)  $T_c$ , and (f)  $K_{\text{exp}}/K_{\text{band}}$  with the alkali-metal atom in the  $\text{AV}_3\text{Sb}_5$  family.

results have attested to the decrease of  $K_{\text{exp}}/K_{\text{band}}$  [Fig. 4(f)], i.e., the enhancement of electronic correlations in  $\text{CsV}_3\text{Sb}_5$ . These facts bring us to the possibility that the suppression of  $T_{\text{CDW}}$  and the larger  $2\Delta_{\text{CDW}}/k_B T_{\text{CDW}}$  in  $\text{CsV}_3\text{Sb}_5$  may be related to the enhancement of electronic correlations.

Other interesting observations emerge from the comparison of  $T_c$ ,  $T_{\text{CDW}}$ ,  $\Delta S$ , and  $2\Delta_{\text{CDW}}/k_B T_{\text{CDW}}$ . As shown in Figs. 4(b) and 4(e), the suppression of  $T_{\text{CDW}}$  in  $\text{CsV}_3\text{Sb}_5$  is accompanied by a rise of  $T_c$ , in accord with the competition between the CDW and SC reported by previous work [28–34]. Such a competition is not surprising, because the opening of the CDW gap depletes the DOS near  $E_F$ , resulting in a suppression of SC [80]. However, Figs. 4(d) and 4(e) reveal that the rise of  $T_c$  in  $\text{CsV}_3\text{Sb}_5$  coincides with an increase of  $\Delta S$ . This implies that the CDW and SC in  $\text{AV}_3\text{Sb}_5$  do not share the same DOS, so that the competition between the CDW and SC is not simply through competing for effective DOS near  $E_F$ , but manipulated by other factors. It is noteworthy that  $2\Delta_{\text{CDW}}/k_B T_{\text{CDW}}$  [Fig. 4(c)] and  $T_c$  [Fig. 4(e)] exhibit similar alkali-metal dependence, which may provide more insights. The larger  $2\Delta_{\text{CDW}}/k_B T_{\text{CDW}}$  in  $\text{CsV}_3\text{Sb}_5$  implies a shorter CDW correlation length [81]. Previous studies on TMDs [82–85] and cuprates [86] have revealed that disorder reduces the CDW correlation length, and raises  $T_c$ , which may be responsible for the similar trends in  $2\Delta_{\text{CDW}}/k_B T_{\text{CDW}}$  and  $T_c$ . However, our  $\text{CsV}_3\text{Sb}_5$  sample has the highest residual resistivity ratio [52], indicating the lowest disorder, which

rules out the disorder scenario. Alternatively, the enhancement of electronic correlations diminishes the spatial extension of the electronic wave functions and tends to localize the carriers [79], which also leads to a shorter CDW correlation length, i.e., a larger  $2\Delta_{\text{CDW}}/k_B T_{\text{CDW}}$ ; a recent theoretical study has shown that electronic correlations suppress the charge susceptibility but enhance spin fluctuations [78], which are believed to mediate unconventional SC [87]; furthermore, extensive studies on cuprates and iron pnictides have underlined the importance of electronic correlations in generating unconventional SC [74,88]. Combining these facts with our observations, we argue that electronic correlations may be a key parameter controlling the evolution of  $2\Delta_{\text{CDW}}/k_B T_{\text{CDW}}$  and  $T_c$ , as well as the competition between CDW and SC in  $\text{AV}_3\text{Sb}_5$ .

### III. CONCLUSIONS

To summarize, we performed a systematic investigation into the optical properties of  $\text{AV}_3\text{Sb}_5$  across the whole family. We found that as the alkali-metal atom radius grows from K to Cs, (i) while  $\Delta_{\text{CDW}}$  increases monotonically,  $T_{\text{CDW}}$  rises in  $\text{RbV}_3\text{Sb}_5$  but then drops in  $\text{CsV}_3\text{Sb}_5$ , at odds with conventional CDW; (ii) the FS removed by  $\Delta_{\text{CDW}}$  increases, whereas  $T_c$  is enhanced in  $\text{CsV}_3\text{Sb}_5$ , suggesting that the interplay between the CDW and SC is not simply a competition for effective DOS near  $E_F$ ; (iii)  $K_{\text{exp}}/K_{\text{band}}$  is reduced, indicat-

ing an enhancement of electronic correlations. An analysis considering all the above observations and previous work suggests that the enhancement of electronic correlations may be a decisive factor that controls the formation of the CDW order and its entanglement with SC in  $AV_3Sb_5$ .

*Note added.* A recent optical study reported stronger electronic correlations in  $KV_3Sb_5$  and  $RbV_3Sb_5$  [60]. The low-frequency  $\sigma_1(\omega)$  of their  $KV_3Sb_5$  [59] and  $RbV_3Sb_5$  [60] are dominated by multiple absorption peaks arising from interband transitions and IR-active phonons, in contrast to our  $\sigma_1(\omega)$  which only exhibit a pronounced Drude response. In Refs. [58–60], to find a good agreement between experiment and calculations,  $E_F$  is shifted upwards by 64 meV for  $KV_3Sb_5$  and by 41 meV for  $RbV_3Sb_5$ ; such an  $E_F$  shift is not required for  $CsV_3Sb_5$ . The upward shift of  $E_F$  significantly enhances low-energy interband transitions [58–60]. This implies that the discrepancies in the findings may stem from a difference in  $E_F$  of the sample. In this context, the question of

how  $E_F$  affects electronic correlations in  $AV_3Sb_5$  is of great interest, which deserves further investigations.

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