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# Surface criticality in disorder-driven quantum transitions and beyond

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# Outline

- Theory of surface critical phenomena
- Bragg glass in XY model and disordered periodic elastic systems
- Anderson localization
- Non-Anderson disorder-driven quantum transition in Dirac materials

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# Theory of surface critical phenomena



#### 3D Ising model in a semi-infinite space

 $H=-\sum_{\langle i,j
angle}J_{ij}S_iS_j$   $J_{ij}=\left\{egin{array}{cc}J_s & {
m on the surface}\ & J_b & {
m in the bulk}\end{array}
ight.$ 

# Theory of surface critical phenomena



#### 3D Ising model in a semi-infinite space

#### Phase diagram



H.W. Diehl, in Phase transitions and critical phenomena, vol. 10, pp. 76-260 (1986) **3** 

# Theory of surface critical phenomena



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$$H=-\sum_{\langle i,j
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#### Phase diagram



#### **Critical exponents**

order parameter

in the bulk

 $M_s \sim (T_c - T)^{\beta_1}$ 

 $M_b \sim (T_c - T)^{\beta}$ 

on the surface

3

correlation functions at  $T_c$ 

 $h-h \sim \frac{1}{1}$ 

ictions at  $T_c$ 

H.W. Diehl, in Phase transitions and critical phenomena, vol. 10, pp. 76-260 (1986)

# Mean field for the ordinary transition

Local magnetization in the mean field approximation

1

$$M(r) = \tanh\left(T^{-1}\sum_{r'}J(r,r')M(r')\right) \qquad J(r) = \sum_{r'}J(r,r') \qquad T_c = J(z \to \infty)$$

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Expanding in Taylor and assuming  $J(z) = J(1 - \frac{1}{2\lambda}\delta(z))$   $\frac{1}{\lambda} \sim \frac{J_b - J_s}{J_b}$ 

$$\frac{1}{2}\frac{\partial^2 M(z)}{\partial z^2} = \tau M(z) + \frac{1}{3}M^3(z) \qquad \tau = \frac{(T - T_c)}{T_c} \quad \text{(reduced temperature)}$$

 $rac{\partial M(0)}{\partial z} = \lambda^{-1} M(0)$  (boundary conditions)

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(poundary conditions)

#### Magnetization profile for $\tau < 0$

$$M(z) = (-\tau)^{1/2} f\left(\frac{z+\lambda}{\xi}\right)$$

**Correlation length** 

$$\xi = (-\tau)^{-1/2}$$

**Bulk magnetization** 

$$M_b \sim (-\tau)^{1/2} \quad \beta = 1/2$$

Surface magnetization

$$M_s \sim (-\tau) \qquad \beta_1 = 1$$



## **Correlation functions in the Gaussian approximation**

**Correlation function far in the bulk** 

$$G(\mathbf{r}_1, \mathbf{r}_2) = \frac{1}{[(\vec{x}_1 - \vec{x}_2)^2 + (z_1 - z_2)^2]^{(d-2)/2}} \qquad \qquad \mathbf{r} = (\vec{x}, z)$$

## **Correlation functions in the Gaussian approximation**

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#### **Correlation function close to the surface**



$$\begin{aligned} \mathbf{r}_{1}, \mathbf{r}_{2} \end{pmatrix} &= \frac{1}{[(\vec{x}_{1} - \vec{x}_{2})^{2} + (z_{1} - z_{2})^{2}]^{(d-2)/2}} \\ &- \frac{1}{[(\vec{x}_{1} - \vec{x}_{2})^{2} + (z_{1} + z_{2} + 2\lambda)^{2}]^{(d-2)/2}} \\ &\mathbf{b} \cdot \mathbf{b} \sim \frac{1}{r^{d-2}} \qquad \eta = 0 \\ &\mathbf{s} \cdot \mathbf{s} \sim \frac{1}{r^{d-2}} \qquad \eta = 0 \\ &\mathbf{s} \cdot \mathbf{s} \sim \frac{1}{x^{d}} \qquad \eta_{\parallel} = 2 \\ &\mathbf{s} \cdot \mathbf{b} \sim \frac{1}{z^{d-1}} \qquad \eta_{\perp} = 1 \\ &\eta + \eta_{\parallel} = 2\eta_{\perp} \end{aligned}$$

# **Renormalization group** approach



$$H = \int d^{d-1}r \int_0^\infty dz \left[ \frac{1}{2} (\nabla \phi)^2 + \frac{\tau_0}{2} \phi^2 + \frac{g_0}{4!} \phi^4 \right]$$

# **Renormalization group** approach

 $\phi^4$  - model

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**Robin boundary conditions** 

$$\partial_z \phi|_{z=0} = c_0 \phi|_{z=0}$$

Bare correlation function for g = 0

$$G_0(z, z'; q) = \frac{1}{2\kappa_0} \left[ e^{-\kappa_0 |z - z'|} - \frac{c_0 - \kappa_0}{c_0 + \kappa_0} e^{-\kappa_0 (z + z')} \right] \quad \kappa_0 = \sqrt{q^2 + \tau_0}$$

# **Renormalization group** approach

- model  
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 $\phi^{\mathsf{4}}$ 

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We have to renormalize not only  $\tau_0, g_0, \phi$  but also  $c_0, \phi|_{z=0}$ 

The renormalization group flow has 3 nontrivial fixed points  $au^*, extsf{g}^*$  with

$$c^* = \infty$$
 Ordinary transition (Dirichlet boundary condition)  
 $c^* = 0$  Special transition (Neumann boundary condition)  
 $c \to -\infty$  Extraordinary transition ( c is dangerously irrelevant)



Ordinary transition (  $c^* = \infty$  )

Expansion of the correlation function  $G(z, z'; q) = \frac{1}{2\kappa_0} \left[ e^{-\kappa_0 |z-z'|} - e^{-\kappa_0 (z+z')} \right] + \dots$ 

UV singularities in correlation functions can be absorbed by renormalization

 $\phi = Z_{\phi}^{1/2} \phi_R \qquad \partial_z \phi|_s = (Z_{\phi} Z_1)^{1/2} \partial_z \phi|_{sR}$  $\tau_0 = \mu^2 Z_\tau \tau + \tau_c \qquad g_0 = \mu^{4-d} Z_g u$ 

#### **Renormalization conditions:**



Ordinary transition (  $c^* = \infty$  )

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#### **Renormalization conditions:**

$$Z_{\phi}G^{(2,0)}(z,z';q) = \text{finite}$$

$$Z_{\phi}Z_{1}^{1/2} \frac{\partial^{2}}{\partial z \partial z'}G^{(1,1)}(z,z';q)\Big|_{z=0} = \text{finite}$$

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$$Z_{1} = 1 + \frac{n+1}{3\varepsilon}g + O(\varepsilon^{2})$$

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$$Critical exponents$$

$$\beta = \mu \partial_{\mu} g|_{0}$$
  

$$\eta_{i} = \mu \partial_{\mu} \ln Z_{i}|_{0}$$

$$\eta = \eta_{\phi}(g^{*})$$

$$\eta_{\perp} = (\eta + \eta_{\parallel})/2$$
  

$$\eta_{\parallel} = 2 + \eta_{1}(g^{*})$$

$$\beta_{1} = \nu(d - 2 + \eta_{\parallel})/2$$

Surface critical exponents to one loop

$$\eta_{\parallel} = 2 - \frac{n+2}{n+8}\varepsilon \qquad \beta_1 = 1 - \frac{3}{2(n+8)}\varepsilon$$

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# Semi-infinite Bragg glass

XY model with random fields in  $d = 4 - \varepsilon$  dimension

$$H = -J \sum_{\langle i,j \rangle} \mathbf{S}_i \mathbf{S}_j - \sum_i \mathbf{h}_i \mathbf{S}_i - \mathbf{h}_1 \sum_{i \in \text{surface}} \mathbf{S}_i$$
$$|S_i|^2 = 1$$



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Replicated Hamiltonian averaged over disorder (continuum version)



D. S. Fisher, Phys. Rev. B 31, 7233 (1985)

 $|S_i|^2 = 1$ 

$$\mathcal{H}_n = \int_V \left\{ \frac{1}{2} \sum_{a=1}^n \left( \nabla \mathbf{s}_a(\mathbf{r}) \right)^2 - \frac{1}{2T} \sum_{a,b=1}^n \mathcal{R} \left( \mathbf{s}_a(r) \cdot \mathbf{s}_b(r) \right) \right\} - \sum_{a=1}^n \int_S \mathbf{h}_1 \cdot \mathbf{s}_a(\mathbf{x})$$

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Quasi-long range ordered phase for d < 4 can be studied by FRGUV singularities in correlation functions can be absorbed by renormalizationPerturbative expansion $\mathring{\pi} = Z_{\pi}^{1/2} \pi, \quad \mathring{\pi}|_s = (Z_{\pi}Z_1)^{1/2} \pi|_s$ 

**RG** functions

$$\beta[R] = -\mu \partial_{\mu} R(\phi)|_{0}$$
  
$$\zeta_{i} = \mu \partial_{\mu} \ln Z_{i}|_{0}, \quad (i = T, \pi, 1)$$

### Fixed point

$$\partial_{\ell} R(\phi) = \varepsilon R(\phi) + \frac{1}{2} [R''(\phi)]^2 - R''(0) R''(\phi)$$

D. E. Feldman, PRB 61, 382 (2000)P. Le Doussal, K.J. Wiese, PRL 96, 197202 (2006)M. Tissier, G.Tarjus, PRB 74, 214419 (2006)



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#### **Connected two-point function**

$$\overline{\langle {f s}({f r})\cdot{f s}({f r}')
angle-\langle {f s}({f r})
angle\cdot\langle {f s}({f r}')
angle}\sim rac{1}{|{f r}-{f r}'|^{d-2+\eta}}$$

**Disconnected two-point function** 

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$$\eta = \zeta_{\pi}^{*} - \zeta_{T}^{*}$$
  

$$\eta_{\perp} = \zeta_{\pi}^{*} + \zeta_{1}^{*}/2 - \zeta_{T}^{*}$$
  

$$\eta_{\parallel} = \zeta_{\pi}^{*} + \zeta_{1}^{*} - \zeta_{T}^{*}$$

Critical exponents for the free surface  $h_1 \rightarrow 0$  (AAF, Phys. Rev. E 86, 021131 (2012))

$$\eta = \frac{\pi^2}{9}\varepsilon \qquad \qquad \eta_{\perp} = \frac{\pi^2}{6}\varepsilon \qquad \qquad \eta_{\parallel} = \frac{2\pi^2}{9}\varepsilon \\ \bar{\eta} = \left(1 + \frac{\pi^2}{9}\right)\varepsilon \qquad \qquad \bar{\eta}_{\perp} = \left(1 + \frac{\pi^2}{6}\right)\varepsilon \qquad \qquad \bar{\eta}_{\parallel} = \left(1 + \frac{2\pi^2}{9}\right)\varepsilon$$

#### **Disordered periodic elastic systems**



#### Hamiltonian

$$\mathcal{H} = \int d^{d-1}x \int_0^\infty z \left[\frac{c}{2}(\nabla u(\mathbf{r}))^2 + V(\mathbf{r}, u)\right]$$

c elasticity constant

V(x, u) random potential with zero mean and variance

P. Le Doussal, K.J. Wiese,P. Chauve, PRE 69, 026112 (2004)

K.J. Wiese, Rep. Prog. Phys. 85, 086502 (2022)

$$\overline{V(x,u)V(x',u')} = R(u-u')\delta^d(x-x')$$

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Random Periodic (RP): R(u) is periodic

CDW, vortex lattice in type II superconductors



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$$\overline{V(x,u)V(x',u')} = R(u-u')\delta^d(x-x')$$

 $\overline{(u(\vec{x}) - u(\vec{x}'))^2} = \frac{\varepsilon}{9} \ln |\vec{x} - \vec{x}'|$ 

Random Periodic (RP): R(u) is periodic

CDW, vortex lattice in type II superconductors



in the bulk

 $\overline{(u(\mathbf{r}) - u(\mathbf{r}'))^2} = \frac{\varepsilon}{18} \ln|\mathbf{r} - \mathbf{r}'|$  $\overline{(u(z) - u(0))^2} = \frac{\varepsilon}{12} \ln|z|$ 

close to the surface

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#### Anderson localization transition

Single electron in a Gaussian random potential



$$\overline{V(x)} = 0$$
  
 $\overline{V(x)V(x')} = \Delta\delta(x - x')$ 



P.W. Anderson, Phys. Rev. 109, 1492 (1958)

#### Anderson localization transition

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Single electron in a Gaussian random potential



Field theory : Non-linear sigma model

$$S[Q] = \int d^d x \operatorname{Tr} \left[ D(\nabla Q)^2 - 2i\Lambda Q \right]$$

P.W. Anderson, Phys. Rev. 109, 1492 (1958)

 $Q^2 = 1 \qquad \mathrm{Tr}Q = 0$ 

F. Wegner, Z. Phys. B 35, 207 (1979)

11

#### **Multifractality**

Inverse participation ratio

$$P_q = \int \mathrm{d}^d r \overline{|\psi(\mathbf{r})|^{2q}}$$

 $P_q \sim \begin{cases} L^{-d(q-1)} & \text{(extended states)} \\ L^{-d(q-1)} - \tilde{\Delta}_q & \text{(critical wave functions)} \\ L^0 & \text{(localized states)} \end{cases}$ 



Multifractal spectrum

 $\tilde{\Delta}_q^{(O)} = q(1-q)\varepsilon + \mathcal{O}(\varepsilon^4)$ 

F. Evers, A. D. Mirlin, Rev. Mod. Phys. 80, 1355 (2008)

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Multifractal spectrum in the bulk What about the surface?

$$\tilde{\Delta}_q^{(O)} = q(1-q)\varepsilon + \mathcal{O}(\varepsilon^4)$$

F. Evers, A. D. Mirlin, Rev. Mod. Phys. 80, 1355 (2008)

Surface multifractal spectrum 
$$P_q^{(s)} = \int d^{d-1}x \overline{|\psi(x)|^{2q}} \sim L^{-d(q-1)+1-\tilde{\Delta}_q^{(s)}}$$

2D weakly localized metallic system with dimensionless conductance  $g \gg 1$ shows multifractality on length scales below the localization length  $~arepsilon ~e^{\pi g}$ 

Bulk multifractal spectrum

$$\tilde{\Delta}_q = (\pi g)^{-1} q (1-q)$$

ace multifractal spectrum 
$$ilde{\Delta}_q^{(s)}=2(\pi g)^{-1}q(1-q)$$

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#### **Disordered Dirac fermions**

Hamiltonian

$$\hat{H} = -iv_F \vec{\alpha} \vec{\partial} + V(x)$$

Gaussain random potential :

$$\overline{V(x)} = 0$$
  $\overline{V(x)V(x')} = \Delta\delta(x - x')$ 

 $V^{(x,y,z=0)}$  - single disorder realization



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#### Scaling arguments



Kinetic energy :  $E_{typ} = \hbar v_F k$ Disorder potential :  $V_{typ} \sim \sqrt{\Delta} \left(\frac{\lambda}{a_0}\right)^{-d/2}$ In the limit of zero energy (  $k \rightarrow 0$  ) disorder is dominant for d < 2

and irrelevant for d>2

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#### Self-consistent Born approximation

Green function  $G(\vec{k},\epsilon) = \frac{1}{\epsilon - v_F \vec{\alpha} \vec{k} - \Sigma(\vec{k},\epsilon)}$ SCBA equation

$$\Sigma(\epsilon) = \Delta \int \frac{d^3k}{(2\pi)^3} \operatorname{Tr}\left[G(\vec{k},\epsilon)\right]$$





#### New disorder driven quantum transition $\neq$ Anderson localization



K. Kobayashi, T. Ohtsuki, K.-I. Imura, I. F. Herbut, PRL 112, 016402 (2014)

Replicated action : Gross-Neveu model in the limit of  $N \rightarrow 0$ 

$$S_{\mathsf{GN}} = \int d^d x \left[ -i \sum_{a=1}^N \bar{\psi}_a \alpha_j \partial_j \psi_a - \frac{1}{2} \Delta \sum_{a,b=1}^N \left( \bar{\psi}_a \psi_a \right) \left( \bar{\psi}_b \psi_b \right) \right]$$

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#### **Renormalization group in** $d = 2 + \varepsilon$

B. Roy, S. Das Sarma, PRB 90, 241112(R) (2014)

$$-m\partial_m\tilde{\Delta} = \beta(\tilde{\Delta}) = -\varepsilon\tilde{\Delta} + 4(1-\tilde{N})\tilde{\Delta}^2 + \dots$$

**RG** flow



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Renormalization group in  $d = 2 + \varepsilon$ 

$$-m\partial_m\tilde{\Delta} = \beta(\tilde{\Delta}) = -\varepsilon\tilde{\Delta} + 4(1-\tilde{N})\tilde{\Delta}^2 + \dots$$

$$\Delta = \tilde{\Delta}m^{-\varepsilon} \qquad \tilde{N} = \frac{N}{2} \text{tr}\mathbb{I}$$
$$\frac{1}{\nu} = \beta'(\Delta^*)$$

#### **Critical exponents**

$$\frac{1}{\nu} = \varepsilon + \frac{\varepsilon^2}{2} + \frac{3\varepsilon^3}{8} + O\left(\varepsilon^4\right)$$
$$z = 1 + \frac{\varepsilon}{2} - \frac{\varepsilon^2}{8} + \frac{3\varepsilon^3}{32} + O(\varepsilon^4)$$
$$\eta = -\frac{\varepsilon^2}{8} + \frac{3\varepsilon^3}{16} - \frac{25\varepsilon^4}{128} + O(\varepsilon^5)$$

#### **RG** flow



# Multifractal spectrum $\tilde{\Delta}_q^{\text{Dirac}} = \frac{3}{8}q(1-q)\varepsilon^2 + \mathcal{O}(\varepsilon^3)$

T. Louvet, AAF, D. Carpentier, PRB 94, 220201(R) (2016)
S.V. Syzranov, V. Gurarie, L. Radzihovsky, Ann. Phys. 373, 694 (2016)
E. Brillaux, D. Carpentier, AAF, PRB 100, 134204 (2019)

#### Dirac fermions in a semi-infinite system

#### Hamiltonian

$$\hat{H}_0 = i\tau_z \boldsymbol{\sigma} \cdot \boldsymbol{\partial} \quad z > 0 \quad \alpha_i = \tau_z \sigma_i$$

Boundary conditions

$$\left. M\psi \right|_{z=0^+} = \psi|_{z=0^+}$$



E. Witten, Three Lectures On Topological Phases Of Matter, 2018

Unitary Hermitian, no transverse current

$$\{M, \tau_z \sigma_z\} = 0$$

$$M_{\theta} = \begin{pmatrix} 0 & 0 & ie^{i\theta} & 0 \\ 0 & 0 & 0 & -ie^{-i\theta} \\ -ie^{-i\theta} & 0 & 0 & 0 \\ 0 & ie^{i\theta} & 0 & 0 \end{pmatrix}$$

Surface states

 $\hat{H}_0 \psi = \epsilon \psi \qquad \psi \sim e^{-\mu z}$ 

$$arepsilon = k_{||} \cos heta$$
  
 $\mu = k_{||} \sin heta$ 



O. Shtanko, L. Levitov, PNAS 115, 5908 (2018)

#### Disordered Dirac fermions in a semi-infinite system

#### Hamiltonian & boundary conditions

$$\hat{H} = -i\tau_z \boldsymbol{\sigma} \cdot \boldsymbol{\partial} + V(\boldsymbol{x}) \qquad \qquad \overline{V(\boldsymbol{x})} = 0$$
$$M_{\theta} \psi|_{z=0} = \psi|_{z=0} \qquad \qquad \overline{V(\boldsymbol{x})V(\boldsymbol{x}')} = \Delta \delta(\boldsymbol{x} - \boldsymbol{x}')$$

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#### Local self-consistent Born approximation

$$\Sigma(\epsilon, z) = \Delta \int \frac{d^2k}{(2\pi)^2} \operatorname{Tr} \left[ G(\vec{k}, z, z, \epsilon) \right]$$

Local DOS profile  $ho(\epsilon=0,z)$ 

Phase diagram in the presence of bulk disorder





E. Brillaux, AAF, PRB 100, 103, 081405 (2021) 17

Special transtion  $(\theta = 0)$  : renormalization group

Action for the system with a surface

$$S = -i \int_{z>0} d^d x \, ar{\psi}_a(x) lpha_\mu \partial_\mu \psi_a(x) - rac{\Delta}{2} \int_{z>0} d^d x \, ar{\psi}_a(x) \psi_a(x) ar{\psi}_b(x) \psi_b(x) 
onumber \ + i \int d^{d-1} r ar{\psi}_a(ec{r}) lpha_z M \psi_a(ec{r})$$

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#### Renormalization

$$\tilde{\psi} = Z_{\psi}^{1/2} \psi, \quad \tilde{\psi}_s = Z_{\psi_s}^{1/2} \psi_s, \quad \tilde{O} = Z_{\omega} Z_{\psi}^{-1} O, \quad \tilde{O}_s = Z_{O_s} Z_{\psi_s}^{-1} O_s, \quad \tilde{\Delta} = \frac{2\mu^{-\varepsilon}}{K_d} \frac{Z_{\Delta}}{Z_{\psi}^2} \Delta$$

$$O(x) := \bar{\psi}(x) \psi(x), \quad O_s(r) := \bar{\psi}_s(r) \psi_s(r)$$

#### Z-factors from minimal subtraction scheme

$$Z_{\psi} = 1 - \frac{\Delta^2}{\varepsilon}$$
$$Z_{\omega} = 1 + \frac{2\Delta}{\varepsilon} + \frac{6\Delta^2}{\varepsilon^2}$$
$$Z_{\Delta} = 1 + \frac{4\Delta}{\varepsilon} + \Delta^2 \left(\frac{16}{\varepsilon^2} + \frac{2}{\varepsilon}\right)$$

$$Z_{\psi_s} = 1 - \frac{2\Delta}{\varepsilon} + O(\Delta^2)$$
$$Z_{O_s} = 1 - \frac{6\Delta}{\varepsilon} + O(\Delta^2)$$

E. Brillaux, AAF, I. Gruzberg, PRB 109, 174204 (2024)

#### Special transtion: renormalization group

## **RG** functions

1

$$\beta(\Delta) = -\mu \frac{\partial \Delta}{\partial \mu} \bigg|_{\mathring{\Delta}}, \quad \eta_i(\Delta) = -\beta(\Delta) \frac{\partial \ln Z_i}{\partial \Delta}, \quad (i = \psi, \psi_s, \omega, O_s), \quad \gamma(\Delta) = \eta_\omega(\Delta) - \eta_\psi(\Delta)$$

Critical exponents at fixed point  $\beta(\Delta^*) = 0$ 

$$egin{split} rac{1}{
u} &= eta'(\Delta^*), \; z = 1 + \gamma(\Delta^*), \; \eta = \eta_\psi(\Delta^*), \; \eta_{\parallel} = \eta_{\psi_s}(\Delta^*) \ eta &= 
u(d-z), \; \; eta_s = 
uigg(d-1-\eta_{O_s}(\Delta^*)+\eta_{\psi_s}(\Delta^*)igg) \end{split}$$

#### Two point surface functions

$$G(r_1, r_2) = \frac{i}{S_d} (1 + M_0) \frac{\vec{\alpha} \cdot (\vec{r}_1 - \vec{r}_2)}{|\vec{r}_1 - \vec{r}_2|^{d + \eta_{\parallel}}}$$
$$G(0, z) = -\frac{i}{S_d} (1 + M_0) \frac{\alpha_z}{z^{d - 1 + \eta_{\perp}}}$$

#### Surface DOS

$$ho_s \sim |\Delta - \Delta_c|^{eta_s}$$

 $\eta = -\frac{\varepsilon^2}{8} + O(\varepsilon^3)$  $\eta_{\parallel} = -\frac{\varepsilon}{2} + O(\varepsilon^2)$  $\eta_{\perp} = \frac{1}{2}(\eta + \eta_{\parallel})$  $\frac{\beta_s}{\beta} = 1 + \frac{3}{2}\varepsilon + O(\varepsilon^2)$ 



Thank you for your attention!