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Orbital-exchange and fractional quantum number excitations in an f-electron metal, Yb$_2$Pt$_2$Pb

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Exotic quantum states and fractionalized magnetic excitations, such as spinons in one-dimensional chains, are generally expected to occur in 3d transition metal systems with spin 1/2. Our neutron-scattering experiments on the 4f-electron metal Yb$_2$Pt$_2$Pb overturn this conventional wisdom. We observe broad magnetic continuum dispersing in only one direction, which indicates that the underlying elementary excitations are spinons carrying fractional spin-1/2. These spinons are the emergent quantum dynamics of the anisotropic, orbital-dominated Yb moments. Owing to their unusual origin, only longitudinal spin fluctuations are measurable, whereas the transverse excitations such as spin waves are virtually invisible to magnetic neutron scattering. The proliferation of these orbital spinons strips the electrons of their orbital identity, resulting in charge-orbital separation.

It is generally believed that fractional quantum excitations such as spinons in one-dimensional (1D) spin chains proliferate and govern magnetism only in systems with small and iso- tropic atomic magnetic moments, such as spin-1/2 Cu$^2$. In contrast, large and anisotropic orbital-dominated moments, such as those produced by strong spin-orbit coupling in the rare earths, are considered to be classical, becoming static as temperature $T \to 0$ because the conventional Heisenberg-Dirac exchange interaction ($J, D$) cannot reverse their directions. Here we present the results of neutron-scattering measurements on the 3d compound Yb$_2$Pt$_2$Pb that profoundly challenge this conventional wisdom.

The unusual properties of Yb$_2$Pt$_2$Pb derive in part from its crystal structure (Fig. 1, A and B), where the Yb$^{3+}$ ions form ladders along the $c$ axis, separated by Pt and Pb; the rungs of the ladders (dashed lines in Fig. 1A) lie on the orthogonal bonds of the Shastry-Sutherland lattice (SSL) (3) in the $ab$ planes. Equally important is the strong spin-orbit coupling, which combines spin and orbital degrees of freedom into a large, $J = 7/2$ Yb moment. The absence of a Kondo effect challenges this conventional picture. Ising behavior, but our data are not consistent with this picture. Here we report neutron-scattering experiments on Yb$_2$Pt$_2$Pb that reveal a continuum of low-energy quantum excitations that display the distinctive spin dispersion along the $c$ axis (Fig. 2A), typical of the $S = 1/2$ Heisenberg-Ising XXZ spin Hamiltonian (8),

$$H = J \sum_n (S_n^x S_{n+1}^x + S_n^y S_{n+1}^y + \Delta S_n^z S_{n+1}^z)$$

where $J$ is the Heisenberg spin-exchange coupling and $\Delta$ is its anisotropy. This observation provides definitive evidence that the Yb moments in Yb$_2$Pt$_2$Pb behave as quantum-mechanical spins-1/2 (9). The spinon spectrum $M(Q,E)$ is fully gapped, but the gap is much smaller than the excitation bandwidth, indicating only moderate Ising anisotropy, $\Delta \approx 1$. The lack of any wave

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References


SUPPLEMENTARY MATERIALS

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vector $Q_{\text{diff}}$ dispersion for this gap (Fig. 2B), or for the scattering intensity in the $ab$ plane (Fig. 2C), indicates that the dispersing excitations are confined to the ladder rails, which form an array of weakly coupled spin-$1/2$ chains.

The overall wave vector dependence of the energy-integrated intensity $M(Q)$ (Fig. 2, C and D) reveals that the excitations in each of the two orthogonal sublattices of Yb moments in Yb$_2$Pt$_2$Pb are longitudinally polarized. This is clearly demonstrated in Fig. 2D, where the $M(Q)$ dependence on $H$ in the $(H,H,L)$ scattering plane is very accurately described by the projections of Yb moments on the wave vector, consistent with the polarization factor in the neutron-scattering cross-section, which is only sensitive to magnetic fluctuations perpendicular to $Q$. The longitudinal character of magnetic excitations in Yb$_2$Pt$_2$Pb is a direct consequence of the strong orbital anisotropy imposed by the crystal field and the resulting strongly anisotropic Landé $g$-factor. Even if the effective spin Hamiltonian that describes the low-energy dynamics in Yb$_2$Pt$_2$Pb has modes involving transverse spin fluctuations, such as spin waves, they virtually do not couple to physical fields at our disposal and are de facto invisible in experiments.

In particular, the measured longitudinal spectrum, which is typical of a spin-$1/2$ XXZ chain (Fig. 2), indicates the presence of transverse spinon excitations (8, 10–12), but these are not seen in experiments. That the XY-part of the effective spin Hamiltonian Eq. 1 is unobservable results from the well-understood effect of quantum selection rules. The direct consequence for our measurements is that we do not observe a (transverse) magnon, which is expected (13) when a magnetic field $B = 4$ T applied along (1-10) crystal direction saturates Yb moments that are parallel to the field ($4\pi$), bringing this sublattice to the ferromagnetic (FM) state (Fig. 1B). Instead, FM chains do not contribute to magnetic scattering, and this allows us to use the 4 T data as a background that can isolate their contribution at $B = 0$ (Fig. 2D).

To establish the hierarchy of energy scales in the effective $S = 1/2$ XXZ Hamiltonian, we fit the energy cuts at different values of $Q_L$ to a phenomenological half-Lorentzian line shape (14), which accounts both for the sharp continuum onset and its broad, asymmetric extent to higher energies (Fig. 3, A and B). We can thus very accurately determine the lower boundary, $E_L(Q_L)$, of the spinon continuum (points in Fig. 2A), which we fit to the exact Bethe-Ansatz expression for the XXZ Hamiltonian (Eq. 1) (8, 10, 11).

$$E_L(Q_L) = \min \left\{ \Delta_s + e_s(Q_L), 2e_s(Q_L/2) \right\},$$

$$e_s(Q_L) = \sqrt{F^2 \sin^2(\pi Q_L) + \Delta_s^2 \cos^2(\pi Q_L)}$$

Here $\Delta_s$ is the gap and $J$ the bandwidth of the spinon dispersion, $e_s(Q_L)$, both of which are functions of the $J$ and $\Delta$ parameters of the Hamiltonian Eq. 1 (6). The fit yields values $J = 0.322(20)$ meV and $\Delta_s = 0.095(10)$ meV for the spinon dispersion parameters, which correspond to $\Delta = 3.46$, and $J = 0.116(10)$ meV in the effective spin-1/2 XXZ Hamiltonian, and the excitation gap at $Q_L = 1$, $E_g = 2A = 0.19(2)$ meV. Despite the strong anisotropy of the individual Yb moments, their inferred coupling in the spin chain is surprisingly close to the isotropic Heisenberg limit $\Delta = 1$, as evidenced by the smallness of the excitation gap $E_g$ compared to their observed bandwidth $\gtrsim 1$ meV (Fig. 2A).

Computations carried out on the XXZ Hamiltonian Eq. 1 closely reproduce key aspects of...
(A) The dispersion of the spectrum of magnetic excitations along the \( Q \) direction in reciprocal space of Yb\(_2\)Pt\(_2\)Pb at \( T = 0.1 \) K, obtained by averaging the scattered neutron intensity over the first Brillouin zone in \( Q_{\text{nn}} \), along the perpendicular, \((H,H,0)\) direction. Circles: onset of the excitation continuum determined by fitting the constant-\( Q \) data. Solid white lines: lower and upper boundaries of the two-spinon continua. Dashed lines: upper boundaries of the four-spinon continua (6). (B) The dispersion of the scattered neutron intensity along the \( Q_{\text{nn}} \) direction for \( Q_\parallel \sim 0.5 \pm 0.1 \). (C) The partial static structure factor, \( M(Q) \), obtained by integrating the scattered intensity from 0.15 to 1.5 meV. \( M(Q) \) depends on the relative orientation of the scattering vector \( Q = (H,H,L) \) and the direction of magnetic moment fluctuations (30). (D) At 4 T, \( M(Q) \) (red squares) follows the projection of the (110) sublattice moments on the scattering wave vector (polarization factor \( P(4\, T) = \frac{(\mathcal{L}c)^2}{2(\mathcal{H}a)^2 + (\mathcal{L}c)^2} \) red line), indicating that only magnetic fluctuations along the (110) moments contribute to magnetic scattering. Both polarizations are present when \( B = 0 \) T, consistent with equal longitudinal spinon spectral weight in both (110) and (1-10) sublattices. By subtracting the 4 T data from the 0 T data (black dots), we can isolate the scattering from fluctuations along the field direction, (1-10), which are always perpendicular to the scattering vector \( Q \) and whose polarization factor is constant (black line). The agreement between the polarization factors and our data confirms that only fluctuations of the Yb moments that lie along the respective (110) or (1-10) direction are seen in our experiment and that there is no measurable transverse component of magnetic moment or excitations. Error bars in all figures represent 1 SD.

**Fig. 2.** Fractional spinon excitations in Yb\(_2\)Pt\(_2\)Pb. The spectrum of the dynamical structure factor of magnetization fluctuations, \( M(Q,E) \), in Yb\(_2\)Pt\(_2\)Pb for (A) \( Q_\parallel = 0.50(5) \) (\( Q_{\text{D}} = \pi/2 \)) and (B) \( Q_\parallel = 1.00(5) \) (\( Q_{\text{D}} = \pi \)), both integrated within 1 Brillouin zone in \( Q_{\text{enn}} \). The red lines show fits to the “half-Lorentzian” line shape (blue) convoluted with the Gaussian of 0.1 meV full width at half-maximum representing the resolution of the DCS spectrometer (light gray), (14). (C) The energy-integrated scattering function \( M(Q) \) obtained by summing the normalized data over the first Brillouin zone in \( Q_{\text{eff}} \) compares favorably with that calculated for the effective \( S = 1/2 \) Heisenberg-Ising Hamiltonian \( \Delta = 2.6 \) and \( J = 0.205 \) meV and with the effective \( g \)-factor \( g_{\text{eff}} = 6 \) (blue line), and with \( \Delta = 3.46 \), \( J = 0.116 \) meV, and \( g_{\text{eff}} = 13 \) (green line). A fit to the leading Ising-limit (\( \Delta \gg 1 \)) expression, \( M(Q) = \frac{2\Delta^2}{2\Delta} \sin^2(\frac{Q}{2}) \), (red line) is less satisfactory, emphasizing that effective spin-1/2 Hamiltonian in Yb\(_2\)Pt\(_2\)Pb is not extremely Ising-like. This is consistent with the observation that the gap in the spinon spectrum, \( E_g = 0.19 \) meV (B), is markedly smaller than the bandwidth, \( g_{\text{eff}} \leq 0.8 \) (6), so that magnetic neutron-scattering intensity, which is proportional to \( (g_{\text{eff}})^2 \), is at least a factor of 100 weaker.

our experimental results. The mixed Heisenberg-Ising character of Yb\(_2\)Pt\(_2\)Pb is evident in the broad peak at \( Q_\parallel = 1 \) in the structure factor \( M(Q) \) found by integrating the experimental and computed spectra in energy (Fig. 3C). \( M(Q) \) is intermediate between the near divergence expected for isotropic interactions (\( \Delta = 1 \)) and the leading-order Ising expression (15) \( M(Q) = \frac{2M_0^2}{9\sin^2(\frac{Q}{2})} \), where \( M_0 = \frac{1}{2}g_{\text{eff}} \mu_B \) is Yb magnetic moment, \( g_{\text{eff}} \) being the effective spin-1/2 \( g \)-factor for the local Ising direction. Crystal electric field calculations for the Yb ground state doublet in Yb\(_2\)Pt\(_2\)Pb indicates that \( g_{\text{eff}} = 7.9 \) and \( g_{\text{eff}} \approx 0.8 \) (6), so that magnetic neutron-scattering intensity, which is proportional to \( (g_{\text{eff}})^2 \), is at least a factor of 100 weaker.
The sum rule for the effective spin-1/2 dictates \( (F_{\text{eff}}) \), with the difference indicating a system- and wave-vector integrated normalized \((0.2 \text{ K} \leq T \leq 4 \text{ K})\). Agreement is less good for this improvement is achieved at the cost of the excellent experimental and theoretical agreement for the lower spinon boundary, which, in fact, is determined very precisely from the line fits (Fig. 3, A and B). This dilemma is resolved by noting that the observed high-energy magnetic spectral weight in \( Yb_2Pt_2Pb \) is consistent with a substantial contribution of four-spinon states, whose upper boundaries (22) are shown by the broken lines in Fig. 2A. This result is quite unexpected, given that two-spinon excitations account for all but a few percent of the total spectral weight (22, 23, 20) in the nearest-neighbor Heisenberg-Ising chain.

We now show that these seemingly perplexing experimental results can be understood in terms of the interplay of 4f-electron exchange, strong spin-orbit coupling, and a crystal field that lifts the large orbital degeneracy of the \( J = 7/2 \) multiplet. The intersite electron hopping in the 4f-electron Hamiltonian for \( Yb_2Pt_2Pb \), which we adopt in the form of a 1D Hubbard model (6), leads to an electronic interaction (21) whose physical nature is not a Heisenberg-Dirac spin exchange (1, 2), but rather an orbital exchange (Fig. 1), a realization that has been appreciated in the physics of Kondo effect (22, 23) and more recently in certain cold-atom systems (24).

The orbital-exchange interaction in \( Yb_2Pt_2Pb \) is a natural generalization of the Heisenberg-Dirac spin exchange between the two electrons, and has the same physical origin in the electronic Coulomb repulsion (1, 2). The magnetism in \( Yb_2Pt_2Pb \) is tied to the wave function of a single 4f hole with orbital momentum \( L = 3, |m_L| = 3 \), having sixfold symmetry around the \( J \) quantization axis, given by the magnetic structure as perpendicular to the rails of \( Yb \) ladders in \( Yb_2Pt_2Pb \) crystal. The energy cost for hopping between sites, which in \( Yb_2Pt_2Pb \) is synonymous with orbital exchange, is reduced when neighboring \( Yb \) ions are in alternating states of \( m_L \). (3) in that case, the exchange of electrons between the two sites required for hopping involves the overlap of two identical orbital lobes along the ladder rails (Fig. 1, B and C). The sixfold symmetry of the \( f \)-orbital breaks the rung-rung equivalence and ensures that this energy advantage is not accrued for hopping in a transverse direction, decoupling the ladder rails. Combined with the weak interactions between orthogonal ladders mandated by the SSL geometry (4), this leads to the spin-chain nature of the emergent effective Hamiltonian.
The leading-order Coulomb contribution for the low-energy manifold of electronic states \((6, 25)\) is given by the two-electron permutation operator, \(P_{21}\), which in the cases where only electronic spins are at play, reduces to the usual Heisenberg exchange. For the case of a J-manifold, which in the absence of crystal fields is highly degenerate, it has the form of a permutation operator acting on a \((2J + 1) \times (2J + 1)\)-dimensional space of two neighboring Yb ions. The permutation operator interchanges states \(|m_{12}, m_{21}\rangle\) and \(|m_{21}, m_{12}\rangle\), with equal weights, thus including the process \((7/2, -7/2) \leftrightarrow (-7/2, 7/2)\) where both moments simultaneously reverse, which cannot be achieved through conventional Heisenberg-Dirac spin exchange (Fig. 1, D and E). The crystal field lifts the degeneracy of the Yb moments, and although the effective interaction that emerges after the projection on the manifold of the lowest Kramers doublet \(m_f = \pm 7/2\) has the form of the antiferromagnetic \(S = 1/2\) XXZ Hamiltonian, it retains the birthmark of its unusual origin in exchange processes that are distinct from those having the conventional Heisenberg-J, J\(_{xy}\) form.

The effective spin-1/2 physics emerges in Yb\(_2\)Pt\(_2\)Pb from the combination of high-energy (Coulomb, spin-orbit, hopping) interactions. The spin-orbit coupling virtually quenches the electronic spin degree of freedom, forcing its alignment with the large orbital moment, and in this way the effective spin-1/2 XXZ model effectively describes the quantum dynamics of the electronic orbital degree of freedom. This is directly evidenced in our experiments by the large, \(\approx 4\mu_B\) magnetic moment carried by spinons. The orbital exchange sets the scale for these emergent quantum dynamics, which we find by comparing the measured spinon dispersion with computed spectra (Fig. 4).

Because the orbital angular momentum dominates the total Yb moment, magnetic order in Yb\(_2\)Pt\(_2\)Pb is synonymous with orbital order, and the configuration depicted in Fig. 1, D and E, is a natural way to understand how permutation of two neighboring electrons generates two spinons in the antiferromagnetic background. This is a process that entails charge-orbital separation, because the electron count per site is unchanged by correlated hopping, but the phases of the orbital wave function on both sites are reversed. Further-neighbor orbital exchange leads to states with four spinons (Fig. 1E). Hence, long-range hopping, either by virtue of the in-chain itinerancy of the 4f electrons or via coupling to the conduction electrons in metallic Yb\(_2\)Pt\(_2\)Pb, provides a natural mechanism for the spectral weight of the excitations that we observe above the two-spinon but within the four-spinon continuum boundaries.

Our results provide a specific mechanism for charge-orbital separation in Yb\(_2\)Pt\(_2\)Pb, where the proliferation of spinons implies that electrons lose their orbital-phase identity. When united with the previous demonstrations of spin-charge and spin-orbital separation, this finding completes the triad of electron fractionalization phenomena in one dimension (26–28).
Editor's Summary

Orbitals and charge go their separate ways

In certain materials at very low temperatures, an electron's spin can separate from its charge, zooming through the crystal in the form of a "spinon." Such materials are usually one-dimensional, and their atoms have spins of 1/2. Wu et al. observed related behavior in a three-dimensional metal, Yb$_2$Pt$_2$Pb, where the Yb ions have a large magnetic moment that has its origin in the electrons' orbital motion rather than their spin. Neutron-scattering measurements indicated that these large magnetic moments can flip their direction through an exchange process similar to the one that occurs in spin 1/2 systems. This process results in effective charge-orbital separation.

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