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


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.

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**Equation**

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

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, $\Delta \gtrsim 1$. The lack of any wave from the Yb$^{3+}$ moments, producing a Kramers doublet ground state that is a nearly pure state of the total angular momentum, $J(J, m_J) = |7/2, \pm 7/2|$. The estimated anisotropy of the Landé $g$ factor is in good agreement with that of the measured magnetization, $g^\parallel / g^\perp = 7.5(4) (4\pm 7)$, implying strong Ising anisotropy in Yb$_2$Pt$_2$Pb, which confines the individual Yb moments to two orthogonal sublattices in the $ab$ plane.

The quantum states of the $|\pm 7/2, \mp 7/2\rangle$ Ising doublet are the superpositions of its “up” and “down” components, $|\alpha_1 |7/2\rangle + |\alpha_2 | 7/2\rangle$, and therefore the doublet can be viewed as an effective quantum spin-1/2. However, familiar interactions like the Zeeman, Heisenberg-Dirac exchange, and dipole interactions that are bilinear in $J$ can only change the total angular momentum quantum number by $\Delta m_J = 1$; they have no matrix elements that would allow transitions between the moment-reversed states of the ground state wave function. Only multiple virtual processes involving excited states could reverse individual Yb moments, but these processes are expected to be very weak because the ground and first excited states are separated by as much as 25 meV, according to specific heat (4) and inelastic neutron-scattering measurements (6). This would suggest that Yb$_2$Pt$_2$Pb would display only static, classical 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).

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vector $Q_{\text{disp}}$ 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 $M(\mathbf{Q})$ (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 $M(\mathbf{Q})$ 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 $\mathbf{Q}$. 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 the $(1-10)$ crystal direction saturates Yb moments that are parallel to the field ($4\theta$–7), 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 $Q_z$ to a phenomenological half-Lorentzian line shape ($\mathcal{H}$), 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, $E_z(Q_z)$, 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),

$$E_z(Q_z) = \min(\Delta s + e_z(Q_z) + 2\kappa_z(Q_z), 2\kappa_z(Q_z)/2)$$

Here, $\Delta s$ is the gap and $J$ is the bandwidth of the spinon dispersion, $e_z(Q_z)$, both of which are functions of the $\mathcal{J}$ and $\Delta$ parameters of the Hamiltonian Eq. 1 (6). The fit yields values $J = 0.322(20)$ meV and $\Delta = 0.095(10)$ meV for the spinon dispersion parameters, which correspond to $\Delta = 3.46$ and $J = 0.116(10)\text{ meV}$ in the effective spin-1/2 XXZ Hamiltonian, and the excitation gap at $Q_z = 1$, $E_z = 2\Delta = 0.19(2)\text{ meV}$.

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 $E_z$ compared to their observed bandwidth $\gtrsim 1$ meV (Fig. 2A).

Computation carried out on the XXZ Hamiltonian Eq. 1 closely reproduce key aspects of...
Fig. 2. Fractional spinon excitations in Yb$_2$Pt$_2$Pb.

(A) The dispersion of the spectrum of magnetic excitations along the $Q_L$ 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 $Q_{\text{tot}}$, 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 $(\delta)$. (B) The dispersion of the scattered neutron intensity along the $Q_{\text{tot}}$ direction for $Q_L = 0.5 \pm 0.1$. (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 $P(4\,T) = \frac{(Lc^2)^2}{2[(Hc^2)^2+(Lc^2)^2]}$, red line), indicating that only magnetic fluctuations along the $(110)$ moments contribute to magnetic scattering. Both polarizations are present when $B = 0$, 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. 3. Spinon line shapes and the onset of the continuum 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) $Q_L = 0.5(5)$ ($\theta_{\text{run}} = \pi/2$) and (B) $Q_L = 1.00(5)$ ($\theta_{\text{run}} = \pi$), both integrated within 1 Brillouin zone $Q_{\text{tot}}$. 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 $Q_{\text{tot}}$ compares favorably with that calculated for the effective $S = 1/2$ Heisenberg-Ising Hamiltonian with $\Delta = 2.6$ and $J = 0.205$ meV, and with the effective $g$-factor $g_{\text{eff}} = 10$ (blue line), for which the leading Ising-limit ($\Delta \gg 1$) expression, $M(Q) = \frac{2g_{\text{eff}}^2}{2\Delta} \sin^2\left(\frac{Q L}{\Delta}\right)$, (red line) is less satisfactory, emphasizing that this 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, $\approx 1$ meV, Fig. 2A. (D) The energy dependence of the $Q$-integrated intensity, which represents the local dynamical structure factor, $M(E)$, of magnetization fluctuations in Yb$_2$Pt$_2$Pb. The energy-integrated of the $M(E)$ inelastic intensity (black dashed line, right scale) gives the square of the total fluctuating magnetic moment of $\approx 7.6g_{\text{eff}}^2$ per Yb. Computational results for $M(E)$ and its energy integral are compared for $\Delta = 2.6$ (red solid and dashed lines) and $\Delta = 3.46$ (blue solid and dashed lines).

our experimental results. The mixed Heisenberg-Ising character of Yb$_2$Pt$_2$Pb is evident in the broad peak at $Q_L = 1$ 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) $M(Q) = 2M_0^2 \frac{1}{2} \sin^2\left(\frac{Q L}{\Delta}\right)$, where $M_0 = \frac{1}{2} g_{\text{eff}}^2 \mu_B$ is Yb magnetic moment, $g_{\text{eff}}$ 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 indicate $g_{||} = 7.9$ and $g_{\perp} < 0.8$ (6), so that magnetic neutron-scattering intensity, which is proportional to $(g_{\perp})^2$, is at least a factor of 100 weaker.
The sum temperature dependence of the static, uniform magnetic susceptibility of Yb$_2$Pt$_2$Pb shows that the observed longitudinal magnetic response immediately rules out a naïve explanation using the algebraic Bethe ansatz. Measurements of the transverse, XY-polarized fluctuations, in addition to the measured linear dispersion (Fig. 2, A to C), reveal that there is considerable spectral weight to higher energy and also providing better agreement with the measured susceptibility (Fig. 4B) and $M(Q)$ (Fig. 4C). However, 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$_2$Pt$_2$Pb is consistent with a substantial contribution of four-spinon states, whose upper boundaries (12) 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 f-electron Hamiltonian for Yb$_2$Pt$_2$Pb, which we adopt in the form of a 1D Hubbard model (6), leads to an electronic interaction (2J) 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$_2$Pt$_2$Pb 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$_2$Pt$_2$Pb 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$_2$Pt$_2$Pb crystal. The energy cost for hopping between sites, which in Yb$_2$Pt$_2$Pb is synonymous with orbital exchange, is reduced when neighboring Yb ions are in alternating states of $m_L = 3$, because 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.

for the transverse, XY-polarized fluctuations, in agreement with what we observe.

The Q-integrated scattering in Fig. 3C yields a fluctuating moment $M_{\text{Q-integrated}}^2 = 7.1\mu_B$/Yb at 0.1 K, about half as large as the ordered moment $M_{\text{order}}^2$ determined in previous work (16). The energy integral of the local autocorrelation function $M(E)$, which is obtained by integrating the measured intensity in $Q$, yields a similar result, $≈ 7.6\mu_B$/Yb (Fig. 3D), with the difference indicating a systematic error resulting from different data binnings.

The sum rule for the effective spin-1/2 dictates that the integral intensity in each polarization channel is $(S^z)^2 = 1/4$ ($a = x, y, z$). Therefore, the sum $M_{\text{Q-integrated}}^2 + M_{\text{order}}^2$ gives a total Yb moment, $M_{\text{total}}^2 = (3\mu_B^2/4)^2$. Combining the inelastic spectrum and the elastic order parameter measurements, Yb$_2$Pt$_2$Pb (6), we find $M_{\text{total}}$ that is between 3.8 and 4.4 $\mu_B$/Yb ($g_{\text{eff}} = 8.2(5)$) for temperatures from 0.1 to 100 K (Fig. 4A), fully consistent with the predictions of the point charge model. The spinons provide virtually all of the magnetic dynamics in Yb$_2$Pt$_2$Pb, and they are completely captured by our experiments. This result immediately rules out a naïve explanation that the observed longitudinal magnetic response could originate from the two-magnon continuum, which would be able to compete with only a small part of the dynamical spectral weight (17, 18). Moreover, stable magnons do not exist in an antiferromagnetic spin-1/2 chain, where the elementary excitations are spinons, and the system’s one-dimensionality is clearly established by the measured dispersion (Fig. 2, A to C). Finally, the static spin susceptibility $\chi(T)$ for the XXZ chain (Eq. 1) calculated using the algebraic Bethe ansatz (11, 12, 20) (C) for $\Delta = 2.46$ and $J = 0.116$ meV (blue line), $g_{\text{eff}} = 6.5$). The longitudinal structure factor, $M(Q,E)$, of the XXZ spin-1/2 chain Eq. 1 calculated for spin-1/2 XXZ chain with $g_{\text{eff}} = 7$ closely reproduces the spin-density wave($\lambda$) (Fig. 4B). Further comparison with the exact result (19) for the XXZ model (Eq. 1), however, indicates that the fluctuations measured in Yb$_2$Pt$_2$Pb at 0.1 K are stronger than the predicted spinon contribution to the dynamical spin structure factor, which for $\Delta = 3.46$ is only $20\%$ of the ordered spin contribution $S^2_{\text{order}}$. Figure 3D makes it clear that the calculated $M(E)$ underestimates the contribution of the high-energy states in Yb$_2$Pt$_2$Pb. Direct comparison of the detailed energy dependencies of the measured (Fig. 2A) and computed (broadened by the instrumental resolution of 0.1 meV) (Fig. 4C) spectra of longitudinal excitations reveals that there is considerable spectral weight present in the experimental data above the upper boundary of the two-spinon continuum, $E_L(Q_L) = \max\{\Delta + \epsilon_r(Q_L), 2\epsilon_r(Q_L/2)\}$, that is absent in the computed spectrum (10, 11). A somewhat better agreement can be obtained by fitting the measured intensity to the calculated longitudinal structure factor $M(Q,E)$ and adjusting $\Delta$ and $J$ as fit parameters instead of adopting the values determined from the lower boundary of the continuum. This results in $\Delta = 2.6$ and $J = 0.205$ meV (Fig. 4D), shifting the two-spinon spectral weight to higher energy and also providing better agreement with the measured susceptibility (Fig. 4B) and $M(Q)$ (Fig. 4C). However, 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$_2$Pt$_2$Pb is consistent with a substantial contribution of four-spinon states, whose upper boundaries (12) 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 f-electron Hamiltonian for Yb$_2$Pt$_2$Pb, which we adopt in the form of a 1D Hubbard model (6), leads to an electronic interaction (2J) 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).

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The leading-order Coulomb contribution for the low-energy manifold of electronic states (6, 25) is given by the two-electron permutation operator, \( P_{2z} \), which in the cases where only electronic spins are at play, reduces to the usual Heisenberg spin exchange, \( \sim S_z^2 \). For the case of a \( J \)-manifold, in which 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 \( \text{Y}_{b} \) ions. The permutation operator interchanges states \( |m_{J_1}, m_{J_2} \rangle \) and \( |m_{J_2}, m_{J_1} \rangle \), with equal weights, thus including the process \( \sim |\uparrow \downarrow \rangle \rightarrow |\downarrow \uparrow \rangle \) where both momenta 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 \( \text{Y}_{b} \) moments, and although the effective interaction that emerges after the projection on the manifold of the lowest Kramers doublet \( m_{J_1} = \pm 7/2 \) 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 \( J_1, J_2 \) form.

The effective spin-1/2 physics emerges in \( \text{Yb}_2\text{Pt}_4\text{Pb} \) 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, \( \approx 4\alpha_{1S} \) 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 \( \text{Y}_{b} \) moment, magnetic order in \( \text{Yb}_2\text{Pt}_4\text{Pb} \) is synchronous 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 \( \text{Yb}_2\text{Pt}_4\text{Pb} \), 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 \( \text{Yb}_2\text{Pt}_4\text{Pb} \), 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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