Metal-insulator transition in half-filled two-orbital Hubbard model on triangular lattice

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We have investigated the half-filled two-orbital Hubbard model on a triangular lattice by means of the dynamical mean-field theory (DMFT). The local squared moments of charge, spin and orbital, and the optical conductivity clearly show that the metal-insulator transition (MIT) occurs at $U_c$, $U_c=18.2$, 16.8, 6.12 and 5.85 for the Hund’s coupling $J=0$, 0.01U, U/4 and U/3, respectively. The distinct continuities of the double occupation of electrons, the local squared moments and the local susceptibility of charge, spin and orbital suggest that for $J>0$, the MIT is first-order; however at $J=0$, the MIT is second-order. We attribute the first-order nature of the MIT to the symmetry lowering of the systems with finite Hund’s coupling.

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I. INTRODUCTION

Metal-Insulator transitions (MIT) and related properties in correlated electron systems have been the central topics in condensed matter physics for several decades. The MIT can be easily realized by the variation of the external fields, doping concentration, pressure and temperature in many typical transition-metal oxides. The simplest and effective model to describe the low-energy physics of these strongly correlated transition-metal oxides is the single-orbital Hubbard model, including the competition between the kinetic energy and the local Coulomb interaction. Such a competition may result in many complicated and novel phenomena, such as the high temperature superconductivity in low-dimensional cuprates. Theoretically, great progress has been achieved in understanding the essence of the MIT in the single-orbital Hubbard model, mainly due to the development of the dynamical mean-field theory (DMFT) in the past decade. The DMFT allows us to accurately treat the Hubbard subbands in time axis and to obtain the quasiparticle peaks with the three-peak structure, which makes this approach an advance over the density functional theory and the Hatree-Fock approximation. With the help of DMFT, we have gotten a deep insight to many properties of the single-orbital Hubbard model, e.g. the MIT, the optical conductivity and absorption, transport, and so on. Among these properties related to the MIT, the order of the MIT in the Hubbard model is essential. Bulla et al. demonstrated that in the single-orbital Hubbard model on Bethe lattice, the MIT is first-order for $0 < T < T_c$; whilst, it is second-order for $T > T_c$. In the two-dimensional Hubbard model, Onoda and Imada also found that the MIT is first-order in finite $T < T_{MIT}$ by means of the correlator projection approach with the DMFT. These suggest that in low $T$, the MIT in the single-orbital Hubbard model is first-order.

Since the realistic transition-metal oxides, such as manganites, vanadates, titanates and nickelates, usually have multiple degenerate orbitals, the multi-orbital Hubbard model is more appropriate to describe the low-energy process than the single-orbital Hubbard model. At the same time, the multi-orbital Hubbard model may exhibit more complicated and richer phenomena than the single-orbital Hubbard model. Besides the conventional localization-delocalization transition of electrons, there may exist many different orbital ordered phases. For example, in a two-orbital system, one orbital may be completely empty and another is fulfilled, forming the ferro/antiferro-orbital ordered phase; or, one orbital is fulfilled and insulating, another is partially occupied and metallic, forming the so-called orbital selective Mott phase (OSMP). In these situations, the orbital degree of freedom plays an important role in the phase diagram and the groundstate properties.

More recently, a number of researches have been concentrated on the nature of MIT and other properties of the two-orbital Hubbard models. However, even on the Bethe or the hyper-cubic lattices, the nature of the MIT in the two-orbital Hubbard models has been controversial, although intensive theoretical efforts have already been done. In the two-orbital systems, Inaba et al. and Bünnemann et al. found that the Mott transition is discontinuous for any finite $J > 0$ and continuous only for $J = 0$ within a generalized Gutzwiller approximation. However, utilizing the DMFT with the numerical renormalization group, Pruschke and Bulla claimed that the Mott transition is second-order for $J > U/4$. They found that the variation of the local squared moment of spin near the transition is too small to judge the order of MIT for large $J$. By making use of the DMFT with self-energy functional approach, Inaba and Koga...
believed that the nature of the Mott transition is first-order in all the parameter region for finite $J$, though they found that the jump of quasiparticle weight is too weak to identify the order of the phase transition when $J$ is large enough. The controversy on the order of the MIT suggests that it is urgent to find a more proper quantity to judge the occurrence and the order of the MIT when $J$ is very large.

Up to date, most of the studies have been focused on the Bethe or the hyper-cubic lattices. It is not known what the essence of the MIT is in the multi-orbital Hubbard model on the frustrated lattices. When the strong electron-electron interactions compete with the geometrical frustration effects, a number of unconventional phases and exotic properties emerge as the result of the competition, such as the MIT and the antiferromagnetism in the organic compounds $\kappa$-(BEDT-TTF)$_2$X with X as an anion$^{17,18}$, etc. Recent development in material fabrication shows that more and more transition-metal oxides exhibit strong electronic correlation on two-dimensional triangular lattices and the multiple orbital character, such as NaNiO$_2$ and AgNiO$_2$, etc. These appeal for the study on the multi-orbital Hubbard model on the triangular lattice.

In this paper we focus on the MIT physics of the two-orbital Hubbard model on a triangular lattice by means of the exact-diagonalization DMFT. We adopt the local squared moment of charge, together with the local squared moments of spin and orbital, to measure the occurrence of MIT in the two-orbital Hubbard model, and find that we can well judge the occurrence of the MIT when the Hund’s coupling $J$ is very large. We definitely show that the MIT at large $J$ is first-order. The variation of the optical conductivity of the two-orbital Hubbard model is also consistent with the MIT with the increase of $U$. The rest of this paper is organized as follows: in Sec.II, we describe the model Hamiltonian of the two-orbital system and briefly explain the framework of the exact-diagonalization DMFT approach; in Sec.III, we present the evolutions of the densities of states (DOS), the local squared moments of charge, spin and orbital, and the optical conductivity with the on-site Coulomb interaction; the order of the MIT in the two-orbital system is also discussed in Sec.III; the last part is devoted to the summary.

II. HAMILTONIAN AND METHOD

We start from a half-filled two-orbital Hubbard model

\[
H = \sum_{i,j>\alpha,\beta} t_{\alpha\beta} c_{i\alpha\sigma}^\dagger c_{j\beta\sigma}^\dagger + \sum_i H'_i \tag{1}
\]

\[
H'_i = U \sum_{\alpha} n_{\alpha \uparrow} n_{\alpha \downarrow} + U' \sum_{\alpha\sigma, \alpha'\sigma'} n_{\alpha\sigma} n_{\alpha'\sigma'} + J \sum_{\sigma\sigma'} c_{\alpha\sigma}^\dagger c_{2\sigma}^\dagger c_{1\sigma'} c_{2\sigma'} + J' \sum_{\alpha\neq\beta} c_{\alpha\sigma}^\dagger c_{\beta\sigma}^\dagger c_{\beta\sigma} c_{\alpha\sigma} \tag{2}
\]

in a triangular lattice, where $c_{i\alpha\sigma}^\dagger (c_{i\alpha\sigma})$ is the creation (annihilation) operator of the electron at site $i$ with orbital $\alpha (= 1, 2)$ and spin $\sigma (= \uparrow, \downarrow)$, and $n_{i\alpha\sigma}$ is the electron number operator. $t_{\alpha\beta}$ denotes the hopping integral from the $\beta$ orbital to the $\alpha$ orbital, and only the nearest-neighbor hopping is taken into account. For clarity and to compare our results with the present literature, we assume that the intra-orbital hopping integrals are the same, i.e. $t_{\alpha\alpha} = t_{\beta\beta} = t$; and we neglect the inter-orbital hopping, though sometimes the inter-orbital components may play an important role$^{22}$.

The parameters $U$, $U'$, $J$, and $J'$ denote the intra-orbital Coulomb, inter-orbital Coulomb, Hund’s and the pair-hopping couplings. In what follows, considering the realistic wavefunctions of 3d-orbitals$^{23}$ and the spin rotational symmetry, we adopt the relationships $J = J'$ and $U = U' + 2J$. Unlike the Bethe or hyper-cubic lattice, the particle-hole symmetry is broken at half-filling on the triangular lattice. At $U = 0$, the tight-binding dispersion of each orbital channel is

\[
e_{k\alpha\sigma} = -2t_{\alpha\alpha} \cos(k_x) + 2\cos\left(\frac{\sqrt{3}}{2} k_y\right) \cos\left(\frac{k_x}{2}\right), \tag{3}
\]

with the bandwidth $W = 9|t|$. Within the framework of the DMFT, the Hamiltonian (1) and (2) are mapped onto an effective Anderson impurity model by integrating over all the spatial degrees of freedom, except for the central site $o$. The corresponding Hamiltonian, $H_{\text{eff}}$, contains a central ”atomic” or ”impurity” part, $H_{\text{atom}}$, and an effective medium part $H_{\text{med}}$, which has to be determined self-consistently. The two-orbital Anderson impurity Hamiltonian reads

\[
H_{\text{eff}} = H_{\text{atom}} + H_{\text{med}}, \tag{4}
\]

and

\[
H_{\text{med}} = \sum_{\alpha\sigma} \epsilon_{\alpha\sigma} d_{\alpha\sigma}^\dagger d_{\alpha\sigma} + \sum_{\alpha\sigma,k=2} \epsilon_{\alpha\sigma,k} a_{\alpha\sigma,k}^\dagger a_{\alpha\sigma,k} + \sum_{\alpha\sigma,k=2} V_{\alpha\sigma} (d_{\alpha\sigma,k}^\dagger a_{\alpha\sigma,k} + \text{h.c.}), \tag{5}
\]

where $d_{\alpha\sigma}^\dagger$ and $a_{\alpha\sigma}^\dagger$ create the ”impurity” electron and a bath electron, respectively; the impurity level $\epsilon_{\alpha\sigma}$ is usually chosen as the zero point of energy, and the hybridization parameter $V_{\alpha\sigma}$ of the impurity model is calculated self-consistently in DMFT. The atomic Hamiltonian $H_{\text{atom}}$ of the central site is the same as $H'$ in Eq.(2), and $n_s$ represents the number of the conduction band of Anderson impurity model. For a set of parameters ($U$ and $J$), we can obtain the interacting Green function $G_{\alpha\sigma}(i\omega_n)$, the free Green function $G_{\alpha\sigma,0}(i\omega_n)$ and the self-energy of the Anderson model as follows,

\[
\Sigma_{\alpha\sigma}(i\omega_n) = [G_{\alpha\sigma}^{-1}(i\omega_n) - G_{\alpha\sigma,0}^{-1}(i\omega_n)]_{\alpha\beta}, \tag{6}
\]
and the lattice Green’s function is
\[ G_{\sigma}^{\beta}(i\omega_n) = \sum_k G_{\sigma}^{\alpha\beta}(k, i\omega_n) = \sum_k \frac{1}{i\omega_n + \mu - \epsilon_k - \Sigma_{\sigma}(i\omega_n)} \right]_{\alpha\beta}, \]
\[ G_{\sigma}^{\alpha\beta}(i\omega_n) = \langle \langle d_{\alpha\sigma}^\dagger; d_{\beta\sigma}^\\rangle \rangle_{i\omega_n} \]
and the impurity Green function \( G_{\text{imp},\sigma}^{\beta}(i\omega) = \langle \langle d_{\alpha\sigma}^\dagger; d_{\beta\sigma}^\\rangle \rangle_{i\omega} \) is given by
\[ G_{\text{imp},\sigma}^{\alpha\beta}(i\omega) = \left[ \frac{i\omega + \epsilon_{\alpha\sigma} - \Delta_{\alpha\sigma}(i\omega) - \Sigma_{\text{imp},\sigma}(i\omega)}{1} \right]_{\alpha\beta}. \]

In Eq.\,(9), the spectral width function \( \Delta_{\alpha\sigma}(i\omega) = \sum_k V_{k\alpha\sigma}^2/(i\omega + \mu - \epsilon_{k\alpha\sigma}), \mu \) is the chemical potential, and \( \omega_n = (2n+1)\pi/\beta \) is the fermionic Matsubara frequency. Throughout this paper we fix the temperature \( \beta = 1/k_BT = 16 \). We perform the iterative procedure repeatedly until a self-consistent solution of the lattice Green’s function and the self-energy are found.

Various analytical and numerical methods can be employed to solve the effective impurity problem. In the following, we first make use of the exact-diagonalization (ED) method to treat the impurity model Eq.\,(4) and (5) at finite temperatures of the \( (ED) \) method to treat the impurity model Eq.\,(4) and (5) as well as the lattice Green’s function is obtained. In this paper we take the \( n_s = 6 \) for each spin channel. Liebsch found that when \( n_s > 3 \), the converged results qualitatively agree with each other, and the accuracy of the ED ansatz in the single-orbital Hubbard model is well controlled. Demchenko et al. had shown that in the absence of particle-hole symmetry, the pole formation and the MIT are independent of each other on the Bethe lattice. So, the quasiparticle weight \( Z \) is not suitable for characterizing the occurrence of the MIT. In this paper, we utilize the local squared moments of charge, spin and orbital and the corresponding local susceptibility to characterize the nature of the Mott transition.

Since the MIT is associated with the localization-delocalization transition of the charge degree of freedom, we measure the MIT with the local squared moments of charge, \( < C^2 > \),
\[ < C^2 > = \langle (n - 2)^2 \rangle \]
and together with the local squared moments of spin and orbital,
\[ < S_z^2 > = \langle (n_{\uparrow} - n_{\downarrow})^2 \rangle \]
\[ < T_z^2 > = \langle (n_1 - n_2)^2 \rangle. \]

All of these quantities are relevant to the spin-dependent double occupancy \( < n_{\uparrow}n_{\downarrow} > \) and the orbital-dependent double occupancy \( < n_{1}n_{\overline{1}} > \):
The intra-orbital interactions, $U$, frequency in two-orbital Hubbard model on triangular lattice.

FIG. 1: Evolution of density of states (DOS) $\rho(\omega)$ with intra-orbital Coulomb interaction $U$ in two-orbital Hubbard model on triangular lattice. From top to bottom, $U=3$, $5$, $5.5$, $6$ and $6.15$; $J = U/4$, and $\beta = 16.0$

FIG. 2: (Color online) Dependence of optical conductivity on frequency in two-orbital Hubbard model on triangular lattice. The intra-orbital interactions, $U=3$, $4$, $7$, and $8$; $J = U/4$, the other parameters are the same as Fig. 1.

is clearly seen that the Mott transition has already occurred at $U \simeq 6.15$. A detailed numerical calculation shows that the critical value of the MIT is $U_c=6.12$. For other finite $J$, the dependence of DOS on the Coulomb interaction strength $U$ exhibits similar tendency. With the increase of the Hund’s coupling $J$, the critical points of the Mott transition occur at $18.2$, $16.8$, $6.12$ and $5.85$ for $J=0.0$, $0.01U$, $U/4$, and $U/3$, respectively. The tendency of $U_c$ substantially decreasing with the increase of the Hund’s coupling on the present 2-dimensional triangular lattice is consistent with the previous results on the Bethe lattice. It is very interesting that for various $J$, the critical value, $U_C$, of the MIT on the triangular lattice is about twice larger than that on the Bethe lattice. This may arise from two facts: one is from the spin frustration and fluctuation effect on the triangular lattice; another is from that the orbital fluctuations in the two-orbital system enhance the metallic character, leading to a large critical value, $U_c$.

The optical conductivity also exhibits signatures of the MIT. It is interesting that how the optical conductivity evolves with the Coulomb interactions in the two-orbital Hubbard model on the triangular lattice. Compared with that of the single-orbital Hubbard model, the optical conductivity of the two-band Hubbard model is more complicated and exhibits multi-peak structure, as seen in Fig. 2. When the Coulomb interaction $U$ is smaller than the critical value $U_C$, the Drude peak and the charge excitation peaks exist at the same time. The multi-peak charge excitation structure in the present system significantly differs from the single-peak structure of the single-orbital Hubbard model. The peaks at $\omega = 3.0 \sim 3.5$ and $\omega = 6.0 \sim 6.5$ come from the excitation between different Hubbard subbands below and above the Fermi surface. With the increasing of the Coulomb interaction, the intervals of these Hubbard subbands become larger and larger, and the charge-excitation peaks move to the high frequency, as seen in Fig. 2. Since the bandwidths of the two orbitals are identical, no orbital selective Mott transition is observed. As $U >3$, we observe a small low-energy mid-peak at $\omega \sim 1.0$. Such a mid-peak may contribute from the quasiparticle peaks near the Fermi level, as seen in the DOS near $E_F$ in Fig. 1. The excitation between the renormalized quasiparticle peaks and the Hubbard subbands close to $E_F$ gives rise to this small mid-peak. When the Coulomb interaction $U$ is greater than the critical interaction $U_C$, the Drude peak and the small mid-peak disappear. Subsequently, the system enters an insulating phase, as shown in Fig. 2. The insulating gap becomes more and more wide with the increase of the Coulomb interaction. Up to date, the optical conductivity experiment on the compounds with two orbitals and triangular lattice is not available, we anticipate the corresponding experimental results can be done in near future.

As known from the earlier literature, the Hund’s coupling $J$ plays a key role in controlling the nature of the Mott transition in the two-orbital Hubbard model on the Bethe and the hyper-cubic lattices. On the present trian-
To understand the nature of the Mott transition more clearly, we also calculate the local orbital and spin squared moments of \( < T^2_z > \) and \( < S^2_z > \), as shown in Fig. 4. In the metallic limit of \( U=0 \), the local squared moments \( < T^2_z > = < S^2_z > = 1 \); and in the insulating and strongly correlated regime, \( < T^2_z > = < S^2_z > = 4/3 \) for \( J = 0 \), and \( < T^2_z > = 0 \) and \( < S^2_z > = 8/3 \) for all finite \( J \), which are in agreement with the linearized DMFT results. As seen in Fig. 4, the local squared moments of spin and orbital are continuous at \( J=0 \), showing that the MIT is the second order, in agreement with the result from the local square moment of charge. Further, as seen in Fig. 4, for various finite \( J \) with \( J=0.01U \), \( J=0.01U/4 \), and \( J=0.01U/3 \), the discontinuous jumps of the local squared moments of orbital and spin also demonstrate that the MIT is first-order, consistent with the preceding results. Therefore, combining the local squared moment of charge, \( < C^2 > \), and those of spin and orbital, \( < S^2_z > \) and \( < T^2_z > \), one can measure the order of the MIT over all of the Hund’s coupling \( J \).

Consistent with the behaviors of the local squared moments, the divergence of the local orbital susceptibility near \( U_c \) in Fig. 5, together with the discontinuous jump of the local charge susceptibility in the inset in Fig. 4, clearly shows the MIT on the triangular lattice is the second order at \( J = 0 \). Since the MIT in the present system with finite \( J \) is the first order, the local orbital and charge susceptibilities also exhibit discontinuities. It is worthy of noticing that due to the frustration effect on the present triangular lattice, the local orbital susceptibility in the system with \( J = 0.01U \) is suppressed near the MIT critical point; meanwhile, such suppression is observed only for \( J = 0.03U \) on the Bethe lattice. Similar behavior is also observed in the local squared moment of orbital.

Compared with the single-orbital Hubbard model on the triangular lattice, the critical value \( U_c \) of the two-orbital model much larger than that in the single-orbital model is mainly due to the orbital fluctuations. The physical origin of the different order in the MIT systems with finite \( J \) and \( J=0 \) is still a puzzle. Bünnemann et al. attributed it to the presence of multiple atomic energy scales in the two-orbital Hubbard model. This argument may be not true since there does exist more than one atomic energy scale except \( U \) in the single-orbital Hubbard model. To resolve this puzzle, we suggest that the order of MIT in the strongly correlated Hubbard model
may depend on the symmetry of the systems. At J=0, the spin-orbital coupling system is SU(4) symmetric; on the other hand, the rotational symmetry of the orbitals exists, i.e. $U = U' + J$ and the inter-orbital Hund’s coupling $J' = 0$, the symmetry of the system is SU(2)$\otimes$SU(2). However, we find that the phase transition in such a system is still the first order, as seen in the green curve (dot-dashed line) in Fig. 4. We also notice that in the two-orbital Hubbard model with the same bandwidths, the OSMT is excluded. It is interesting to ask what the order of the OSMT is in the two-orbital triangular Hubbard models with different bandwidths, which deserves further study.

One notes that in the two-dimensional triangular spin systems, the geometric frustration is considerable in the strong correlation regime, so the spatial correlations and fluctuations of spins may be important. In this situation, the approximation and precision of the present single-site DMFT approach should be carefully justified. Fortunately, when we constrain the discussion in the para-magnetic phases, the precision of such an approximation is well controlled. This has been demonstrated for the single-orbital Hubbard model in the triangular lattice by several authors. Aryanpour et al.\cite{21,22} and Merino et al.\cite{30} have shown that the results of the single-orbital Hubbard model obtained by the single-site DMFT approach are consistent with those by other methods. And the transport properties of the 2-dimensional triangular Hubbard model within the single-site DMFT agrees with the experimental results of the organic compound.\cite{31}. On the contrary, such a method is failed when it is applied for the two-dimensional square lattice. This arises from the fact that in the 2-dimensional triangular lattice, the spatial antiferromagnetic correlation is greatly suppressed by the geometric frustration, as pointed out by Aryanpour et al.\cite{22} and Merino et al.\cite{30}. Another reason is that the coordinate number of the triangular lattice is considerably larger than that of the square lattice.

On the other hand, it is highly desirable to extend the present single-site DMFT approach to the cluster or cellular DMFT approach so as to well incorporate the spatial fluctuation and the intersite correlation, as developed by many authors for the single-orbital models in recent years.\cite{32,33,34,35,36}. However, such an extension to the multi-orbital model meets difficulty since it goes beyond the ability of the high-performance computing resources available. And we anticipate that the cluster extension will not qualitatively alternate our conclusions.

IV. CONCLUSIONS

By using the exact-diagonalization DMFT approach, we have demonstrated that the Hund’s coupling J leads to a first-order metal-insulator transition in the two-orbital Hubbard model with the degenerate bandwidths in the triangular lattice. The discontinuities of the local squared moments of the charge, spin and orbital show that the first-order metal-insulator transition occurs not only in the small J region, but also in the large J region. Such distinct behaviors of the systems with finite J and J=0 are attributed to the lowering of the symmetry of the systems. The multi-peak structure in the optical conductivity of the two-orbital Hubbard model arises from the charge excitation among more than two Hubbard subbands.

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