



A mathematical study of the GW^0 method for computing electronic excited states of molecules

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Joint work with Eric Cancès and David Gontier

SIAM MMS, Philadelphia, May 2016



Excited states of N -body Hamiltonians (1)

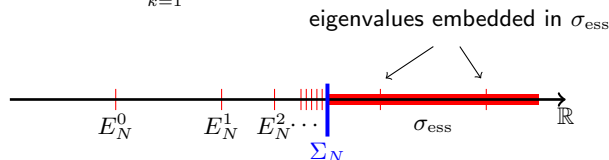
- Nuclei at positions \mathbf{R}_k with charges z_k : $v_{\text{ext}}(\mathbf{r}) := -\sum_{k=1}^M \frac{z_k}{|\mathbf{r} - \mathbf{R}_k|}$

Electronic problem with N -electrons

Find $\Psi \in \mathcal{H}_N := \bigwedge^N \mathcal{H}_1$ (with $\mathcal{H}_1 = L^2(\mathbb{R}^3, \mathbb{C})$) such that $\|\Psi\|_{L^2(\mathbb{R}^{3N})} = 1$ and

$$H_N \Psi := \left(-\frac{1}{2} \sum_{i=1}^N \Delta_{\mathbf{r}_i} + \sum_{1 \leq i < j \leq N} \frac{1}{|\mathbf{r}_i - \mathbf{r}_j|} + \sum_{i=1}^N v_{\text{ext}}(\mathbf{r}_i) \right) \Psi = E \Psi(\mathbf{r}_1, \dots, \mathbf{r}_N)$$

- HVZ theorem: if $N \leq Z := \sum_{k=1}^M z_k$, then $\sigma(H_N)$ is as follows:



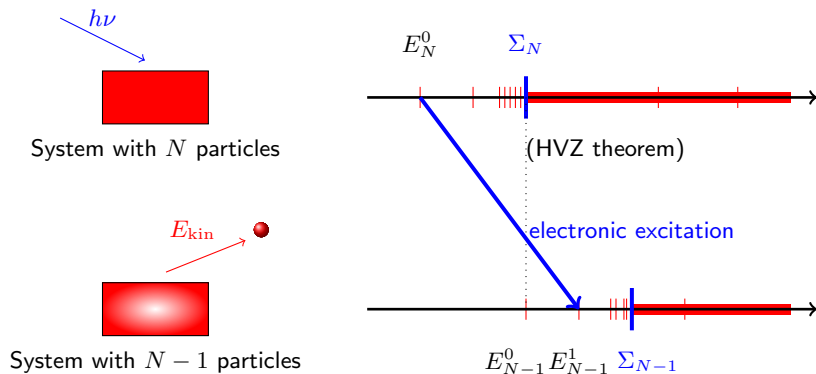
- **Assumptions:** E_N^0 is a simple eigenvalue of H_N and $2E_N^0 < E_{N+1}^0 + E_{N-1}^0$ (stability of the N -particle system)

Excited states of N -body Hamiltonians (2)

- Compute **electronic excitation energies**: quantities of the form

$$E_N^0 - E_{N+1}^k \quad (\text{gain of an electron}) \quad \text{and} \quad E_N^0 - E_{N-1}^k \quad (\text{loss of an electron}).$$

- Inverse photoemission spectroscopy (IPES)



A short review of methods and results

- Computation of **excitation energies** $E_N^0 - E_{N+1}^k$ or $E_N^0 - E_{N-1}^k$
 - Density functional theory (DFT) inadequate: only deals with ground state properties
 - Quantum Monte Carlo methods: idem
 - Wavefunction methods: scales from N_b^6 (CISD) to $N_b!$ (full CI)
 - Time-dependent DFT (TDDFT): does not work well for extended systems
 - Green's function method: in this talk, GW.
- Electronic excitations energies \rightarrow **band gap** of perfect crystals as $N \rightarrow \infty$

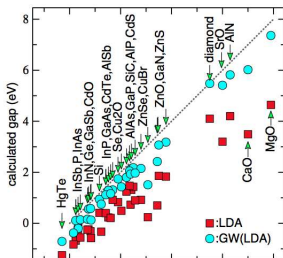


Figure : Band gaps for **LDA** and **GW**.

Definition of Green's functions, self-energies, etc

The Particle Green's function in the time domain

- Fock space $\mathbb{F} := \bigoplus_{N=0}^{+\infty} \mathcal{H}_N$ with $\mathcal{H}_0 = \mathbb{C}$, $\mathcal{H}_1 = L^2(\mathbb{R}^3, \mathbb{C})$ and $\mathcal{H}_N = \bigwedge^N \mathcal{H}_1$

- Annihilation and creation operators $a^\dagger(\phi) = (a(\phi))^*$ for $\phi \in \mathcal{H}_1$

$$\forall \Psi_N \in \mathcal{H}_N, \quad (a(\phi)\Psi_N)(\mathbf{r}_1, \dots, \mathbf{r}_{N-1}) = \sqrt{N} \int_{\mathbb{R}^3} \overline{\phi(\mathbf{r})} \Psi_N(\mathbf{r}, \mathbf{r}_1, \dots, \mathbf{r}_{N-1}) d\mathbf{r}.$$

- Formal definition of the one-body particle Green's function (in the time domain)

$$\forall \tau \in \mathbb{R}, \forall (f, g) \in \mathcal{H}_1 \times \mathcal{H}_1, \langle g | G_p(\tau) | f \rangle = -i\Theta(\tau) \left\langle \Psi_0^N \left| a(g) e^{-i\tau(H_{N+1} - E_N^0)} a^\dagger(f) \right| \Psi_0^N \right\rangle.$$

- Annihilation and creation operators (bis)

$$A_+^* \in \mathcal{B}(\mathcal{H}_1, \mathcal{H}_{N+1}) : f \mapsto a^\dagger(f) |\Psi_N^0\rangle, \quad A_+ = (A_+^*)^* \in \mathcal{B}(\mathcal{H}_{N+1}, \mathcal{H}_1)$$

One-body particle Green's function (in the time domain)

$$\forall \tau \in \mathbb{R}, \quad G_p(\tau) = -i\Theta(\tau) A_+ e^{-i\tau(H_{N+1} - E_N^0)} A_+^*$$

- Note that $G_p \in L^\infty(\mathbb{R}_\tau, \mathcal{B}(\mathcal{H}_1))$ and $G_p(\tau) = 0$ for $\tau < 0$

The Particle Green's function in the frequency domain (1)

- Normalization convention for the time-Fourier transform

$$\forall f \in L^1(\mathbb{R}_\tau, X), \quad X \text{ Banach space}, \quad [\mathcal{F}_T f](\omega) = \widehat{f}(\omega) = \int_{-\infty}^{+\infty} f(\tau) e^{i\omega\tau} d\tau.$$

- Fourier representation of the one-body particle Green's function

$$\widehat{G}_p(\omega) = (\mathcal{F}_T G_p)(\omega), \quad \widehat{G}_p \in H^{-1}(\mathbb{R}_\omega, \mathcal{B}(\mathcal{H}_1)).$$

Key point

The support of the distribution $\text{Im}(\widehat{G}_p)$ is contained in the (particle) electronic excitation set $S_p := \sigma(H_{N+1} - E_N^0)$.

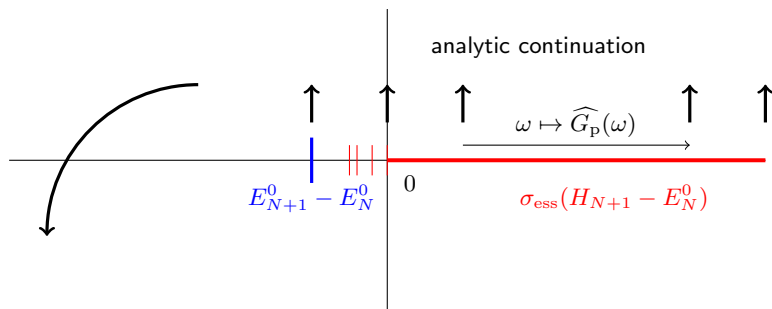
- Particle excited state energies recovered from \widehat{G}_p which is however **highly irregular**
- **Analytic continuation** through a Laplace transform on $\mathbb{U} := \{z \in \mathbb{C}, \text{Im}(z) > 0\}$

$$\forall f \in L^\infty(\mathbb{R}_\tau, X), \quad \forall z \in \mathbb{U}, \quad \widetilde{f}(z) := \int_0^\infty f(\tau) e^{iz\tau} d\tau$$

The Particle Green's function in the frequency domain (2)

- Complex frequency domain: analytical continuation \widetilde{G}_p of \widehat{G}_p on \mathbb{U} , extended to $\mathbb{C} \setminus S_p$

$$\forall z \in \mathbb{C} \setminus S_p, \quad \widetilde{G}_p(z) = A_+ \left(\frac{1}{z - (H_{N+1} - E_N^0)} \right) A_+^*.$$



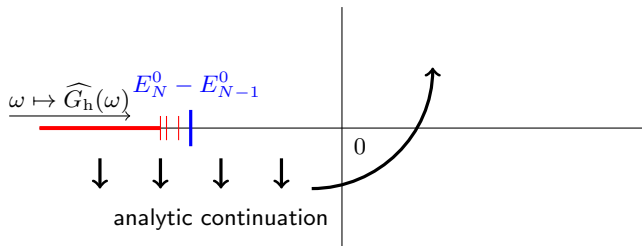
Hole Green's function

- Annihilation/creation operator $A_- \in \mathcal{B}(\mathcal{H}_1, \mathcal{H}_{N-1}) : f \mapsto a(\bar{f})|\Psi_N^0\rangle$
- Time domain: $G_h(\tau) = i\Theta(-\tau)A_-^* e^{i\tau(H_{N-1} - E_N^0)} A_-$
- Recover the **one-body ground-state density matrix** as $\gamma_N^0 = -iG_h(0^-) = A_-^* A_-$

Key point

Support of $\text{Im}(\widehat{G}_h)$ contained in (hole) electronic excitation set $S_h := \sigma(E_N^0 - H_{N-1}^0)$

- Complex frequency domain: $\forall z \in \mathbb{C} \setminus S_h, \quad \widetilde{G}_h(z) = A_-^* \left(\frac{1}{z - (E_N^0 - H_{N-1}^0)} \right) A_-$



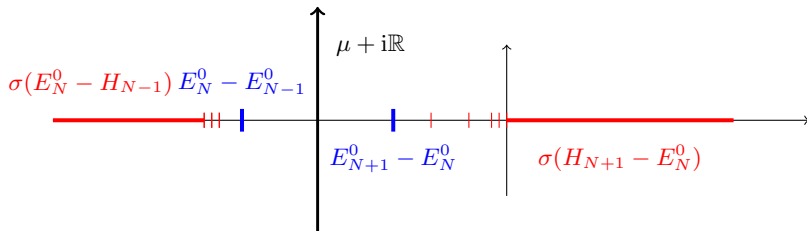
The one-body total Green's function

- **Chemical potential** μ : well defined by the stability condition

$$E_N^0 - E_{N-1}^0 < \mu < E_{N+1}^0 - E_N^0$$

One-body total Green's function in the complex frequency domain

$$\forall z \in \mathbb{C} \setminus (S_h \cup S_p), \quad \tilde{G}(z) = \tilde{G}_h(z) + \tilde{G}_p(z).$$



Green's function for non-interacting systems

- System of non-interacting electrons subjected to an effective potential V

$$H_{0,N} = \sum_{i=1}^N \left(-\frac{1}{2} \Delta_{\mathbf{r}_i} + V(\mathbf{r}_i) \right) \text{ on } \mathcal{H}_N, \quad h_1 = -\frac{1}{2} \Delta + V \text{ on } \mathcal{H}_1.$$

- **Assumptions**

- h_1 has at least N negative eigenvalues $\varepsilon_1 \leq \varepsilon_2 \leq \dots \leq \varepsilon_N$
- Stability condition $\varepsilon_N < \varepsilon_{N+1}$

→ **Chemical potential** of the non-interacting system $\varepsilon_N < \mu_0 < \varepsilon_{N+1}$

- Ground state $\Phi_N^0 = \phi_1 \wedge \dots \wedge \phi_N$ and $\gamma_{0,N}^0 = \mathbb{1}_{(-\infty, \mu_0)}(h_1) = \sum_{i=1}^N |\phi_i\rangle\langle\phi_i|$

Green's function of the non-interaction system

Hole and particle Green's function

$$\widetilde{G}_{0,h}(z) = \gamma_{0,N}^0 (z - h_1)^{-1}, \quad \widetilde{G}_{0,p}(z) = (1 - \gamma_{0,N}^0) (z - h_1)^{-1}$$

Total Green's function

$$\widetilde{G}_0(z) = (z - h_1)^{-1}$$

Dynamical Hamiltonian and self-energy

- Non-interacting system: $\widetilde{G}_0(z) = (z - h_1)^{-1}$
- Interacting system: **in analogy** with non-interacting systems, $\widetilde{G}(z) = (z - \widetilde{H}(z))^{-1}$

Dynamical Hamiltonian $\widetilde{H}(z)$

For all $z \in \mathbb{C} \setminus (S_h \cup S_p)$, $\widetilde{H}(z) = z - G(z)^{-1}$ is a well-defined closed operator on \mathcal{H}_1 , with dense domain $\widetilde{D}(z)$ such that $\widetilde{D}(z) \subset H^2(\mathbb{R}^3)$.

- Eigenvalues = quasi-energies
- Eigenfunctions = quasi-particles
- Assume that chemical potentials of interacting/non-interacting systems equal

$$\mu = \mu_0$$

Definition of the self-energy

$$\forall z \in \mathbb{U} \cup \mathbb{L} \cup (\mu - a, \mu + b), \quad \widetilde{\Sigma}(z) = \widetilde{H}(z) - h_1 = \widetilde{G}_0(z)^{-1} - \widetilde{G}(z)^{-1} \quad (\text{Dyson equation})$$

Some GW methods

The GW road map

- **Basis:** Dyson equation on the imaginary axis $\mu + i\mathbb{R}$

$$\forall \omega \in \mathbb{R}_\omega, \quad \widetilde{\Sigma}(\mu + i\omega) = \widetilde{G}_0(\mu + i\omega)^{-1} - \widetilde{G}(\mu + i\omega)^{-1}$$

- **Road map**

- Construct a good non-interacting model for $\widetilde{G}_0(\mu + i\omega)$
 - Hartree Hamiltonian (in the original paper)
 - Kohn-Sham Hamiltonian (DFT)
- Use an **approximation of the self-energy** $\widetilde{\Sigma} \approx \widetilde{\Sigma}^{\text{GW}}$ on the axis $\mu + i\mathbb{R}$.
- Define $\widetilde{G}^{\text{GW}}(\mu + i\omega)$ from the Dyson equation with $\widetilde{\Sigma}^{\text{GW}}(\mu + i\omega)$ as

$$\widetilde{G}(\mu + i\omega) = \left(\widetilde{G}_0(\mu + i\omega)^{-1} - \widetilde{\Sigma}(\mu + i\omega) \right)^{-1} = \left(\mu + i\omega - h_1 - \widetilde{\Sigma}(\mu + i\omega) \right)^{-1}.$$

- **Choice of the approximations** $\left(\widetilde{\Sigma}^{\text{GW}}, \widetilde{G}^{\text{GW}} \right)$?

→ **Hedin's equations**¹

¹L. Hedin. Phys. Rev., 139, 1965

- **Kernel** of a space-time operator A

$$A(12) = A(\mathbf{r}_1, t_1; \mathbf{r}_2, t_2) = [A(t_1 - t_2)](\mathbf{r}_1, \mathbf{r}_2)$$

- Coulomb operator $v_c(\mathbf{r}, \mathbf{r}') = \frac{1}{|\mathbf{r} - \mathbf{r}'|}$

Hedin's equations

- Dyson equation $G^{\text{GW}}(12) = G_0(12) + \int d(34)G_0(13)\Sigma(34)G^{\text{GW}}(42)$
- Self-energy $\Sigma^{\text{GW}}(12) = iG^{\text{GW}}(12)W^{\text{GW}}(21^+)$
- Screened interaction $W^{\text{GW}}(12) = v_c(12) + \int d(34)v_c(13)P^{\text{GW}}(34)W^{\text{GW}}(42)$
- Irreducible polarization $P^{\text{GW}}(12) = -iG^{\text{GW}}(12)G^{\text{GW}}(21)$

²As written by physicists... as horrible this may be!

Hedin's equation: self-consistent solutions

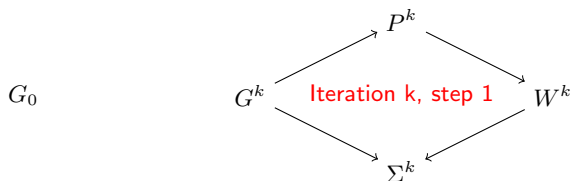
- Find $(\Sigma^{\text{GW}}, G^{\text{GW}})$ such that
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- **Flow chart of the self-consistent GW scheme**

$$G_0 \xrightarrow{G^{k=0} = G_0} G^{k=0}$$

Initialization

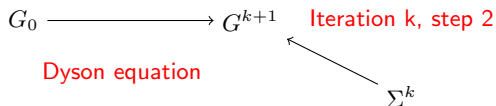
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Hedin's equation: the GW^0 method

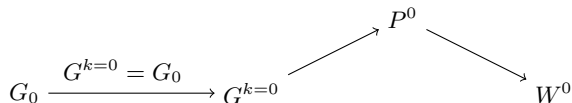
- Mathematical difficulties in the study of the fully self-consistent GW method
- Simplification: **fix the screened interaction** to W^0

The GW^0 method

Find $(\Sigma^{GW^0}, G^{GW^0})$ such that

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- **Flow chart of the self-consistent GW^0 scheme**



Initialization

- **Mathematical analysis?**

Hedin's equation: the GW^0 method

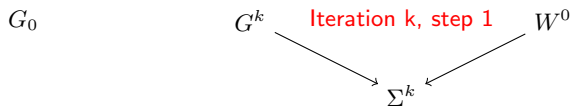
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- **Mathematical analysis?**

Hedin's equation: the GW^0 method

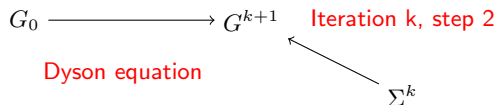
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- **Mathematical analysis?**

The dynamically screened operator W

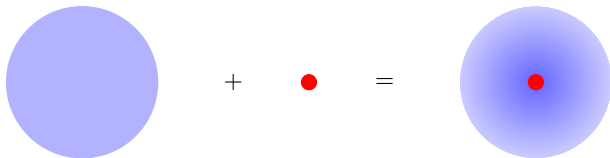
- In the **vacuum**, a time-dependent charge $\delta\rho(\mathbf{r}, t)$ creates a potential

$$\delta V(\mathbf{r}', t) = \int_{\mathbb{R}^3} \frac{1}{|\mathbf{r} - \mathbf{r}'|} \delta\rho(\mathbf{r}, t) d\mathbf{r}, \quad \text{or} \quad \delta V = \delta_0(t) v_c(\delta\rho)$$

- In a **molecule**, a time-dependent charge $\delta\rho(\mathbf{r}, t)$ creates a potential

$$\begin{aligned} \delta V(\mathbf{r}', t) &= \int_{\mathbb{R}^3} \int_{-\infty}^t W(\mathbf{r}t, \mathbf{r}'t') \delta\rho(\mathbf{r}, t') d\mathbf{r} dt' \\ &= \delta_0(t) v_c(\delta\rho) + \int_{\mathbb{R}^3} \int_{-\infty}^t W_c(\mathbf{r}t, \mathbf{r}'t') \delta\rho(\mathbf{r}, t') d\mathbf{r} dt' \end{aligned}$$

- Screening effect**



- Dynamically screened operator W^0 calculated from Hartree Hamiltonian (RPA):

$$W^0(\tau) = \delta_0(\tau) v_c + W_c^0(\tau)$$

The GW^0 approximation of the self-energy

- Formally $\Sigma^{\text{app}}(12) = iG^{\text{app}}(12)W^0(21^+)$

$$\begin{aligned}\Sigma^{\text{app}}(\mathbf{r}, \mathbf{r}'; \tau) &= i\delta_0(\tau)G_h^{\text{app}}(\mathbf{r}, \mathbf{r}'; 0^-)v_c(\mathbf{r}, \mathbf{r}') + iG^{\text{app}}(\mathbf{r}, \mathbf{r}'; \tau)W_c^0(\mathbf{r}', \mathbf{r}; -\tau) \\ &= \underbrace{-\frac{\gamma_N^{\text{app}}(\mathbf{r}, \mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|}}_{\text{Fock term}}\delta_0(\tau) + iG^{\text{app}}(\mathbf{r}, \mathbf{r}'; \tau)W_c^0(\mathbf{r}', \mathbf{r}; -\tau).\end{aligned}$$

- Definition of $C = A \odot B$ by the kernel product $C(\mathbf{r}, \mathbf{r}') = A(\mathbf{r}, \mathbf{r}')B(\mathbf{r}', \mathbf{r})$?

$$\begin{aligned}\langle f|C|g\rangle &= \iint_{\mathbb{R}^3 \times \mathbb{R}^3} \bar{f}(\mathbf{r})C(\mathbf{r}, \mathbf{r}')g(\mathbf{r}')d\mathbf{r}d\mathbf{r}' = \iint_{\mathbb{R}^3 \times \mathbb{R}^3} \bar{f}(\mathbf{r})A(\mathbf{r}, \mathbf{r}')g(\mathbf{r}')B(\mathbf{r}', \mathbf{r})d\mathbf{r}d\mathbf{r}' \\ &= \text{Tr}_{\mathcal{H}_1}(AgB\bar{f})\end{aligned}$$

Kernel-product (infinite dimensional Hadamard product)

For $A \in \mathcal{B}(\mathcal{H}_1)$ and $B \in \mathcal{B}(\mathcal{H}_1)$, the operator $A \odot B$ defined by the quadratic form

$$(f, g) \mapsto \langle f|A \odot B|g\rangle := \text{Tr}_{\mathcal{H}_1}(AgB\bar{f})$$

- In practice, $\Sigma^{\text{app}}(\tau) = K_x\delta_0(\tau) + iG^{\text{app}}(\tau) \odot W_c^0(-\tau)$ with $K_x(\mathbf{r}, \mathbf{r}') := -\frac{\gamma_{0,N}^0(\mathbf{r}, \mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|}$

Reformulation by an analytical continuation

- The equation $\Sigma^{\text{app}}(\tau) := K_x \delta_0(\tau) + iG^{\text{app}}(\tau) \odot W_c^0(-\tau)$ is **formally** equivalent to

$$\widetilde{\Sigma}^{\text{app}}(\mu_0 + i\omega) = K_x - \frac{1}{2\pi} \int_{-\infty}^{+\infty} \widetilde{G}^{\text{app}}(\mu_0 + i(\omega + \omega')) \odot \widetilde{W}_c^0(i\omega') d\omega'$$

The GW^0 equations on the imaginary frequency axis

Find $G^{\text{GW}^0} \in L^\infty(\mathbb{R}_\omega, \mathcal{B}(\mathcal{H}_1))$ solution to the system

$$(\text{GW}^0) \quad \begin{cases} \widetilde{\Sigma}^{\text{GW}^0}(\mu_0 + i\omega) = K_x - \frac{1}{2\pi} \int_{-\infty}^{+\infty} \widetilde{G}^{\text{GW}^0}(\mu_0 + i(\omega + \omega')) \odot \widetilde{W}_c^0(i\omega') d\omega', \\ \widetilde{G}^{\text{GW}^0}(\mu_0 + i\omega) = \left[\mu_0 + i\omega - \left(h_1 + \widetilde{\Sigma}^{\text{GW}^0}(\mu_0 + i\omega) \right) \right]^{-1} \end{cases}$$

- For all $\widetilde{G}^{\text{app}} \in L^\infty(\mathbb{R}_\omega, \mathcal{B}(\mathcal{H}_1))$ and all $\omega \in \mathbb{R}_\omega$, the operator

$$\widetilde{\Sigma}_c^{\text{app}}(\mu_0 + i\omega) = -\frac{1}{2\pi} \int_{-\infty}^{+\infty} \widetilde{G}^{\text{app}}(\mu_0 + i(\omega + \omega')) \odot \widetilde{W}_c^0(i\omega') d\omega'$$

is a well-defined bounded operator on \mathcal{H}_1

The \widetilde{G}^{0} approximation in a perturbative regime

- Problem:** for $\widetilde{G}^{\text{app}}(\mu_0 + i\cdot)$ close to $\widetilde{G}_0(\mu_0 + i\cdot)$ in $L^\infty(\mathbb{R}_\omega, \mathcal{B}(\mathcal{H}_1))$, is the operator

$$\mu_0 + i\omega - \left(h_1 + \widetilde{\Sigma}^{\text{app}}(\mu_0 + i\omega) \right)$$

invertible? Replace v_c by $\lambda v_c \dots$

$$(GW_\lambda^0) \quad \begin{cases} \widetilde{\Sigma}^{GW_\lambda^0}(\mu_0 + i\omega) = K_x - \frac{1}{2\pi} \int_{-\infty}^{+\infty} \widetilde{G}^{GW_\lambda^0}(\mu_0 + i(\omega + \omega')) \odot \widetilde{W}_c^0(i\omega') d\omega', \\ \widetilde{G}^{GW_\lambda^0}(\mu_0 + i\omega) = \left[\mu_0 + i\omega - \left(h_1 + \lambda \widetilde{\Sigma}^{GW_\lambda^0}(\mu_0 + i\omega) \right) \right]^{-1} \end{cases}$$

Theorem (Gontier, Cancs, Stoltz)

There exists $\lambda_* > 0$ such that, for all $0 \leq \lambda \leq \lambda_*$, there is a unique solution $\widetilde{G}^{GW_\lambda^0}$ to the problem (GW_λ^0) in the vicinity of \widetilde{G}_0 .

Moreover, the self-consistent procedure starting from \widetilde{G}_0 converges geometrically fast toward $\widetilde{G}^{GW_\lambda^0}$ in $L^\infty(\mathbb{R}_\omega, \mathcal{B}(\mathcal{H}_1))$.

Conclusion and perspectives

- **Current results**

- The fundamental objects (G, G_0, Σ, W_0) involved in GW^0 formalism are mathematically well-defined
- Some of their properties have been rigorously proved
- The GW^0 equations are well-posed in a perturbative regime

- **Work in progress**

- Analysis of the fully self-consistent GW method for periodic crystals

E. Cancès, D. Gontier and G. Stoltz, A mathematical analysis of the GW^0 method for computing electronic excited state energies of molecules, *arXiv preprint* **1506.01737** (2015)