



Bogoliubov theory in the Gross-Pitaevskii regime

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joint work with
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The dilute Bose gas in 3d

N bosons enclosed in a cubic box Λ of side length L , described by

$$H_N = - \sum_{j=1}^N \Delta_{x_j} + \sum_{1 \leq i < j \leq N} V(x_i - x_j), \quad \rho a^3 \ll 1$$

Long-standing goals: for $N, L \rightarrow \infty$ and $\rho = N/|\Lambda|$ fixed

- ▶ **prove the occurrence of condensation**
 - hard-core bosons at half filling [Dyson-Lieb-Simon, '78]
 - renormalization group results:
[Benfatto '94], [Balaban-Feldman-Knörrer-Trubowitz '08-'16]
- ▶ **compute thermodynamic functions**
 - ground state energy: [Dyson '57], [Lieb-Yngvason '98],
[Erdős-Schlein-Yau, '08], [Giuliani-Seiringer '09], [Yau-Yin, '13],
[Brietzke-Solovej '17]
- ▶ **low lying excitation spectrum**

Bogoliubov theory

-) Fock space Hamiltonian, momentum space

$$H = \sum_{p \in \Lambda^*} p^2 a_p^* a_p + \frac{1}{2|\Lambda|} \sum_{p,q,r \in \Lambda^*} \hat{V}(r) a_{p+r}^* a_q^* a_p a_{q+r}, \quad \Lambda^* = \frac{2\pi}{L} \mathbb{Z}^3$$

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-) Since he expected BEC in low energy states replaced a_0, a_0^* by $N^{1/2}$

$$\begin{aligned} H &= \frac{N(N-1)}{2|\Lambda|} \hat{V}(0) + \sum_{p \in \Lambda_+^*} [|p|^2 + \frac{N}{|\Lambda|} \hat{V}(p)] a_p^* a_p & \Lambda_+^* &= \frac{2\pi}{L} \mathbb{Z}^3 \setminus \{0\} \\ &+ \frac{N}{2|\Lambda|} \sum_{p \in \Lambda_+^*} \hat{V}(p) (a_p a_{-p} + a_p^* a_{-p}^*) + (\text{cubic}) + (\text{quartic}), & N/|\Lambda| &:= \rho \end{aligned}$$

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-) Neglecting cubic and quartic contributions, diagonalization leads to

$$H_B = E_{N,\Lambda} + \sum_{p \in \Lambda_+^*} \sqrt{p^4 + 2\rho p^2 \hat{V}(p)} n_p \quad n_p \in \mathbb{N}$$

$$E_{N,\Lambda} = \frac{N}{2} \rho \hat{V}(0) - \frac{1}{4} \sum_{p \in \Lambda_+^*} \frac{(\rho \hat{V}(p))^2}{p^2} - \frac{1}{2} \sum_{p \in \Lambda_+^*} \left[p^2 + \rho \hat{V}(p) - \sqrt{p^4 + 2\rho \hat{V}(p)p^2} - \frac{1}{4} \sum_{p \in \Lambda_+^*} \frac{(\rho \hat{V}(p))^2}{p^2} \right]$$

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-) Thermodinamic limit and emergence of the scattering length

$$e_0 = \lim_{N, |\Lambda| \rightarrow \infty, \rho = N/|\Lambda|} \frac{E_{N,\Lambda}}{N} = 4\pi\rho(a_0 + a_1) + 4\pi\rho a_0 \frac{128}{15\pi} \sqrt{\rho a_0^3} + o(\rho^{3/2} a_0^{5/2})$$

where $a_0 = (8\pi)^{-1} \hat{V}(0)$ and $a_1 = \mathcal{O}(a_0^2/R)$, with R the range of the interaction.

Bogoliubov theory and rigorous results

Expectation for the ground state energy for particle:

$$e_0 = 4\pi\rho(a_0 + a_1) + 4\pi\rho a_0 \frac{128}{15\pi} \sqrt{\rho a_0^3} + o(\rho^{3/2} a_0^{5/2})$$

$$? = 4\pi\rho a + 4\pi\rho a \frac{128}{15\pi} \sqrt{\rho a^3} + o(\rho^{3/2} a^{5/2})$$

Recall: $8\pi a = \int V(x)f(x)dx$ with f solution of $(-\Delta + \frac{1}{2}V)f = 0$ with $f(x) \rightarrow 1$ as $|x| \rightarrow \infty$. For $a_0 = (8\pi)^{-1}\hat{V}(0) \ll R$ we may write

$$a = a_0 + a_1 + a_2 + \dots \quad \text{with} \quad a_j = a_0 (a_0/R)^j$$

Rigorous results

- ▶ Leading order: [Dyson '57], [Lieb-Yngvason '98]
- ▶ Second order: upper and lower bounds for regimes s.t. $a_1 \gg a_0 \sqrt{\rho a_0^3} \gg a_2$
[[Lieb-Solovej, '01 & '04](#)], [[Giuliani-Seiringer '09](#)], [[Brietzke-Solovej '17](#)];
- ▶ Second order for $\rho a^3 \ll 1$, only upper bounds available
[[Erdös-Schlein-Yau, '08](#)], [[Yau-Yin, '13](#)]

Bogoliubov theory and rigorous results

Bogoliubov approximation has been proved to be valid for bosons **in the mean field regime**:

$$H_N^{mf} = - \sum_{j=1}^N \Delta_{x_j} + \frac{1}{N} \sum_{1 \leq i < j \leq N} V(x_i - x_j), \quad |\Lambda| = 1$$

where $a_0, a_0/R \sim N^{-1}$, hence $a_j \sim N^{-(j+1)}$ and $a_1 \gg a_0 \sqrt{\rho a_0^3} \gg a_2$.

Results for the homogeneous case [Seiringer '11]:

- ▶ Condensation with rate of convergence: $1 - \langle \varphi_0, \gamma_N^{(1)} \varphi_0 \rangle \leq CN^{-1}$
- ▶ Ground state energy at second order

$$E_N^{mf} = \frac{(N-1)\widehat{V}(0)}{2} - \frac{1}{2} \sum_{p \in \Lambda_+^*} \left[p^2 + \kappa \widehat{V}(p) - \sqrt{|p|^4 + 2\kappa|p|^2 \widehat{V}(p)} \right] + o(1)$$

- ▶ Bogoliubov spectrum of elementary excitations

$$\sum_{p \in \Lambda_+^*} n_p \sqrt{|p|^4 + 2\kappa p^2 \widehat{V}(p)} + o(1), \quad n_p \in \mathbb{N}$$

Further results: [Grech-Seiringer '13], [Lewin-Nam-Serfaty-Solovey '14], [Derezinski-Napiorkowski '14], [Pizzo '15]

Bogoliubov theory in the Gross-Pitaevskii regime

Consider N bosons in a cubic box Λ described by

$$H_N = - \sum_{i=1}^N \Delta_{x_i} + \kappa \sum_{i < j}^N N^2 V(N(x_i - x_j)), \quad |\Lambda| = 1$$

- ▶ If $\kappa V(x)$ has scattering length a , then $\kappa N^2 V(Nx)$ has scattering length $a/N \rightarrow$ dilute regime $\rho a^3 = N^{-2}$
- ▶ since $a_0/R = \mathcal{O}(\kappa)$ all terms in the Born series of the scattering length contribute to the same order in N : we cannot replace first and second Born approximation with the full scattering length!

Relevance:

- ▶ physically relevant for the description of strong and short range interactions among atoms in BEC experiments
- ▶ mathematically challenging since correlations among the particles play a crucial role to understand statical and dynamical properties of the system
- ▶ H_N equivalent to the Hamiltonian for N bosons in a box with $L = N$ interacting through a fixed potential κV , i.e. $\rho = N/L^3 = N^{-2}$

Bogoliubov theory in the Gross-Pitaevskii regime

N bosons in $\Lambda = [0; 1]^{\times 3}$, periodic boundary conditions

$$H_N = \sum_{p \in \Lambda^*} p^2 a_p^* a_p + \frac{\kappa}{2N} \sum_{p, q, r \in \Lambda^*} \hat{V}(r/N) a_{p+r}^* a_{q-r}^* a_p a_q , \quad \Lambda_* = 2\pi \mathbb{Z}^3$$

From [Lieb-Seiringer-Yngvason, '00] the ground state energy of H_N at leading order is

$$E_N = 4\pi a N + o(N)$$

From [Lieb-Seiringer, '02] the one particle reduced density $\gamma_N^{(1)}$ associated to the ground state of H_N is such that in trace norm

$$\gamma_N^{(1)} \xrightarrow[N \rightarrow \infty]{} |\varphi_0\rangle\langle\varphi_0|$$

where $\varphi_0(x) = 1$ for all $x \in \Lambda$.

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From [Lieb-Seiringer-Yngvason, '00] the ground state energy of H_N at leading order is

$$E_N = 4\pi a N + o(N) \quad 8\pi a = \kappa \int dx f(x) V(x)$$

Note that $\langle \varphi_0^{\otimes N} H_N \varphi_0^{\otimes N} \rangle = \frac{(N-1)\kappa \hat{V}(0)}{2} \gg 4\pi a N$

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[Boccato-Brennecke-C.-Schlein '18] For $\kappa > 0$ small enough, the ground state energy of H_N is

$$E_N = 4\pi(N-1)\alpha_N - \frac{1}{2} \sum_{p \in \Lambda_+^*} \left[p^2 + 8\pi\alpha - \sqrt{|p|^4 + 16\pi\alpha p^2} - \frac{(8\pi\alpha)^2}{2p^2} \right] + \mathcal{O}(N^{-1/4})$$

where $\Lambda_+^* = 2\pi\mathbb{Z}^3 \setminus \{0\}$ and

$$8\pi\alpha_N$$

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The spectrum of $H_N - E_N$ below an energy ζ consists of

$$\sum_{p \in \Lambda_+^*} n_p \sqrt{|p|^4 + 16\pi\alpha|p|^2} + \mathcal{O}(N^{-1/4}(1 + \zeta^3))$$

with $n_p \in \mathbb{N}$ and $n_p \neq 0$ for finitely many $p \in \Lambda_+^*$ only.

Step 1: removing particles in the Bose-Einstein condensate

For $\psi_N \in L_s^2(\Lambda^N)$ and $\varphi_0 \in L^2(\Lambda)$

[Lewin-Nam-Serfaty-Solovej '12]

$$\psi_N = \alpha_0 \varphi_0^{\otimes N} + \alpha_1 \otimes_s \varphi_0^{\otimes N-1} + \dots + \alpha_j \otimes_s \varphi_0^{\otimes N-j} + \dots + \alpha_N,$$

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Unitary map: $U_N(\varphi_0) : L_s^2(\Lambda^N) \longrightarrow \mathcal{F}_{\perp \varphi_0}^{\leq N} = \bigoplus_{n=0}^N L_{\perp \varphi_0}^2(\Lambda)^{\otimes_s n}$

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In the homogeneous case $\varphi_0(x) = 1$ for all $x \in \Lambda$, hence $U_N : L_s^2(\mathbb{R}^{3N}) \rightarrow \mathcal{F}_+^{\leq N}$

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Conjugation with U_N reminds of Bogoliubov approximation

$$\begin{aligned} U_N a_0^* a_0 U_N^* &= N - \mathcal{N}_+ & U_N a_0^* a_p U_N^* &= \sqrt{N - \mathcal{N}_+} a_p & \mathcal{N}_+ &= \sum_{p \in \Lambda^* \setminus \{0\}} a_p^* a_p \\ U_N a_p^* a_q U_N^* &= a_p^* a_q & U_N a_p^* a_0 U_N^* &= a_p^* \sqrt{N - \mathcal{N}_+} \end{aligned}$$

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$$H_N = \sum_{p \in \Lambda^*} p^2 a_p^* a_p + \frac{\kappa}{2N} \sum_{p,q,r \in \Lambda^*} \hat{V}(r/N) a_{p+r}^* a_{q-r}^* a_p a_q, \quad \Lambda^* = 2\pi \mathbb{Z}^3$$

Excitation Hamiltonian: $\mathcal{L}_N = U_N H_N U_N^* : \mathcal{F}_+^{\leq N} \rightarrow \mathcal{F}_+^{\leq N}$

$$\begin{aligned} \mathcal{L}_N = & \frac{N-1}{2N} \kappa \hat{V}(0) (N - \mathcal{N}_+) + \frac{\kappa \hat{V}(0)}{2N} \mathcal{N}_+ (N - \mathcal{N}_+) \\ & + \sum_{p \in \Lambda_+^*} p^2 a_p^* a_p + \sum_{p \in \Lambda_+^*} \kappa \hat{V}(p/N) a_p^* \left(\frac{N-1-\mathcal{N}_+}{N} \right) a_p \\ & + \frac{\kappa}{2} \sum_{p \in \Lambda_+^*} \hat{V}(p/N) \left[a_p^* \frac{(N-\mathcal{N}_+)(N-1-\mathcal{N}_+)}{N^2} a_{-p}^* + \text{h.c.} \right] \\ & + \frac{\kappa}{\sqrt{N}} \sum_{p,q \in \Lambda_+^*: p+q \neq 0} \hat{V}(p/N) [b_{p+q}^* a_{-p}^* a_q + a_q^* a_{-p} b_{p+q}] \\ & + \frac{\kappa}{2N} \sum_{p,q \in \Lambda_+^*, r \in \Lambda^*: r \neq -p, -q} \hat{V}(r/N) a_{p+r}^* a_q^* a_p a_{q+r} \end{aligned}$$

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Key fact: cubic and quartic terms cannot be neglected for $N \rightarrow \infty$

Step 2: include correlations between condensate and excitation pairs

Conjugation with U_N factors out products of the condensate wave function!

States with small energy in the Gross-Pitaevskii limit are characterized by a correlation structure on length scales of order N^{-1} which we model by the solution of the Neumann problem

$$\left(-\Delta + \frac{\kappa}{2} N^2 V(Nx) \right) f_{\ell,N}(x) = \lambda_{\ell,N} f_{N,\ell}(x)$$

on the ball $|x| \leq \ell < 1/2$, with

$$f_{N,\ell}(x) = 1 \quad \text{and} \quad \partial_{|x|} f_{N,\ell}(x) = 0 \quad \text{for } |x| = \ell$$

One has

$$\underbrace{\left| \kappa \int N^3 V(Nx) f_{\ell,N}(x) dx - 8\pi a \right|}_{\left(\kappa \widehat{V}(\cdot/N) * \widehat{f}_{\ell,N} \right)_0} \leq \frac{C\kappa}{N\ell}$$

Step 2: include correlations between condensate and excitation pairs

Inspired by [Brennecke-Schlein '17] we describe correlations in $\mathcal{F}_+^{\leq N}$ using

$$T(\eta) = \exp \left[\frac{1}{2} \sum_{p \in \Lambda_+^*} \eta_p (b_p^* b_{-p}^* - b_p b_{-p}) \right] : \mathcal{F}_+^{\leq N} \rightarrow \mathcal{F}_+^{\leq N}$$

with

$$\eta_p = -\frac{1}{N^2} \widehat{(1 - f_{N,\ell})}(p/N)$$

and modified creation and annihilation operators

$$b_p^* = a_p^* \sqrt{\frac{N - \mathcal{N}}{N}}, \quad b_p = \sqrt{\frac{N - \mathcal{N}}{N}} a_p : \mathcal{F}_+^{\leq N} \longrightarrow \mathcal{F}_+^{\leq N}$$

$$U_N^* b_p^* U_N = a_p^* \frac{a_0}{\sqrt{N}}, \quad U_N^* b_p U_N = \frac{a_0^*}{\sqrt{N}} a_p : L^2(\Lambda^N) \longrightarrow L^2(\Lambda^N)$$

Remark: the operators b_p^* and b_p create and annihilate excitations, but do not change the total number of particles.

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$$|\eta_p| \leq C \frac{\kappa}{p^2} e^{-|p|/N}$$

$$\|\eta\|_2 \leq C\kappa, \quad \|\eta\|_{H^1} \leq C\kappa\sqrt{N}$$

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Define the renormalized excitation Hamiltonian

$$\mathcal{G}_N = T^*(\eta) U_N H_N U_N^* T(\eta) : \mathcal{F}_+^{\leq N} \rightarrow \mathcal{F}_+^{\leq N}$$

Then

$$\mathcal{G}_N = 4\pi a N + \mathcal{H}_N + \theta_N, \quad \pm \theta_N \leq \delta \mathcal{H}_N + C\kappa(N_+ + 1)$$

with $\mathcal{H}_N = \sum_{p \in \Lambda_+^*} p^2 a_p^* a_p + \frac{\kappa}{2N} \sum_{\substack{p, q \in \Lambda_+^* \\ r \in \Lambda^* : r \neq -p, -q}} \hat{V}(r/N) a_{p+r}^* a_q^* a_p a_{q+r} = \mathcal{K} + \mathcal{V}_N$

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With this bound we prove that states s.t. $\langle \psi_N, \mathcal{H}_N \psi_N \rangle \leq 4\pi a N + K$

can be written as $\psi_N = U_N^* T(\eta) \xi_N$ with $\langle \xi_N, \mathcal{N}_+ \xi_N \rangle \leq C(K + 1)$

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Refined bound: excitations associated to $\psi_N = \chi(\mathcal{H}_N \leq 4\pi a N + K) \psi_N$ satisfy

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Not surprising! Quasi-free states can only approximate the ground state energy up to errors of order one [Erdoes-Schlein-Yau '08], [Napiorkowski-Reuvers-Solovej '15]. From RG perspective: quadratic and cubic terms are relevant in the ultraviolet.

Step 3: include correlations due to triplets

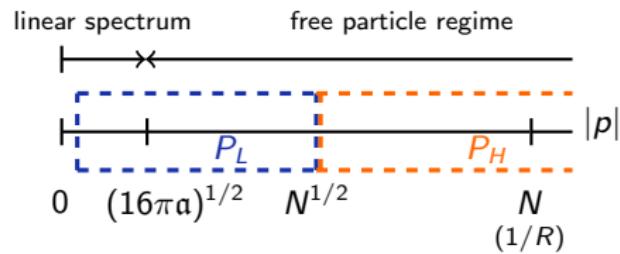
To extract the large term from \mathcal{C}_N and \mathcal{V}_N we consider the cubic operator

$$A = \frac{\kappa}{\sqrt{N}} \sum_{r \in P_H, v \in P_L} \eta_r \left[b_{r+v}^* b_{-r}^* (\cosh(\eta)_v b_v + \sinh(\eta)_v b_{-v}^*) - \text{h.c.} \right]$$

with

$$P_L = \{p \in \Lambda_+^* : |p| \leq N^{1/2}\}$$

$$P_H = \Lambda_+^*/P_L$$



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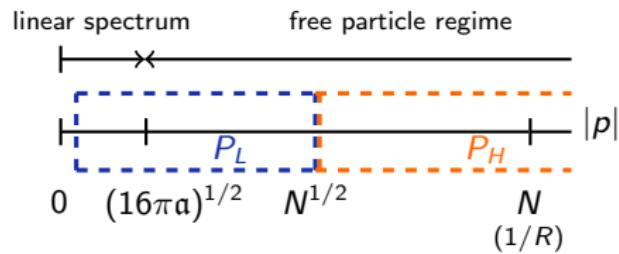
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Hence, we define the renormalized excitation Hamiltonian

$$\mathcal{J}_N = e^{-A(\eta)} \mathcal{G}_N e^{A(\eta)} = e^{-A(\eta)} T^*(\eta) U_N H_N U_N^* T(\eta) e^{A(\eta)} : \mathcal{F}_+^{\leq N} \rightarrow \mathcal{F}_+^{\leq N}$$

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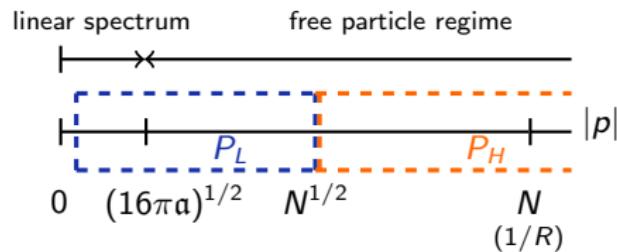
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Now,

$$\mathcal{J}_N = \underbrace{\mathcal{C}_{\mathcal{J}_N} + \mathcal{Q}_{\mathcal{J}_N}}_{\text{determine the low energy spectrum}} + \mathcal{V}_N + \mathcal{E}_{\mathcal{J}_N}, \quad \pm \mathcal{E}_{\mathcal{J}_N} \leq C N^{-1/4} (\mathcal{H}_N + \mathcal{N}_+^2 + 1)(\mathcal{N}_+ + 1)$$

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Conjugation with the quadratic and cubic operators renormalizes the interaction, leading to the appearance of the scattering length:

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where

$$\mathcal{Q}_{\mathcal{J}_N} = \sum_{p \in \Lambda_+^*} [F_p b_p^* b_p + \frac{1}{2} G_p (b_p^* b_{-p}^* + b_p b_{-p})]$$

with

$$F_p = p^2 (\sinh^2 \eta_p + \cosh^2 \eta_p) + \kappa (\widehat{V}(\cdot/N) * \widehat{f}_{N,\ell})_p (\sinh \eta_p + \cosh \eta_p)^2$$

$$G_p = 2p^2 \sinh \eta_p \cosh \eta_p + \kappa (\widehat{V}(\cdot/N) * \widehat{f}_{N,\ell})_p (\sinh \eta_p + \cosh \eta_p)^2$$

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$$G_p = 2p^2 \sinh \eta_p \cosh \eta_p + \kappa (\widehat{V}(\cdot/N) * \widehat{f}_{N,\ell})_p (\sinh \eta_p + \cosh \eta_p)^2 \simeq \frac{1}{p^2}$$

The operator $\mathcal{Q}_{\mathcal{J}_N}$ may be diagonalized using

$$T(\tau) = \exp \left[\frac{1}{2} \sum_{p \in \Lambda_+^*} \tau_p (b_p^* b_{-p}^* - b_p b_{-p}) \right], \quad \tanh(2\tau_p) = -\frac{G_p}{F_p} \quad |\tau_p| \simeq |p|^{-4}$$

Step4: diagonalization

Let $\mathcal{M}_N = T^*(\tau)\mathcal{J}_N T(\tau) : \mathcal{F}_+^{\leq N} \rightarrow \mathcal{F}_+^{\leq N}$, then

$$\mathcal{M}_N = E_N + \sum_{p \in \Lambda_+^*} \sqrt{|p|^4 + 16\pi\alpha|p|^2} a_p^* a_p + \mathcal{E}_{\mathcal{M}_N}$$

with

$$E_N = 4\pi(N-1)\alpha_N - \frac{1}{2} \sum_{p \in \Lambda_+^*} \left[p^2 + 8\pi\alpha - \sqrt{|p|^4 + 16\pi\alpha|p|^2} + \frac{(8\pi\alpha)^2}{2p^2} \right]$$

and

$$\mathcal{E}_{\mathcal{M}_N} \leq CN^{-1/4}(\mathcal{H}_N + \mathcal{N}_+^2 + 1)(\mathcal{N}_+ + 1).$$

Finally, we use of the min-max principle to compare the eigenvalues λ_m of $\mathcal{M}_N - E_N$ (i.e. the eigenvalues of $H_N - E_N$) with the eigenvalues $\tilde{\lambda}_m$ of

$$\mathcal{D}_N = \sum_{p \in \Lambda_+^*} \sqrt{|p|^4 + 16\pi\alpha|p|^2} a_p^* a_p,$$

showing that below an energy ζ

$$|\lambda_m - \tilde{\lambda}_m| \leq C N^{-1}(1 + \zeta^3)$$

Perspectives

- ▶ Condensation and Bogoliubov theory in the Gross-Pitaevskii regime without the smallness condition on the interaction
- ▶ Extend the results to non-translation-invariant bosonic systems trapped by confining external fields
- ▶ Next term in the ground state energy expansion ?
- ▶ ...
- ▶ Validity of Bogoliubov predictions for dilute Bose gases in the thermodynamic limit
- ▶ Connection with Renormalization Group methods

GRAN SASSO QUANTUM MEETINGS @ GSSI

FROM MANY PARTICLE SYSTEMS TO QUANTUM FLUIDS

28 NOVEMBER – 1 DECEMBER, 2018



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(CNRS & Université de Rennes 1)

Nicolas Rougerie

(CNRS & Université Grenoble-Alpes)

Juan J. L. Velázquez

(University of Bonn)

SPEAKERS

Carlo Barenghi (Newcastle University)

Iacopo Carusotto (INO-CNR BEC Center & University of Trento)

Marco Falconi (University of Tübingen)

Evelyne Miot-Desecures (CNRS & Université Grenoble-Alpes)

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