



Cation substitution inducing gap changes and covalent interaction flexibility enhancing second harmonic generation responses in d^{10} metal chalcogenides

Jianian Cheng^a, Ming-Hsien Lee^b, Jun Zhang^{a,*}

^a School of Physics Science and Technology, Xinjiang University, Urumqi, Xinjiang 830046, China

^b Department of Physics, Tamkang University, New Taipei 25137, Taiwan

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ABSTRACT

Desiring a high-performance infrared (IR) material with a wide band gap and large second harmonic generation (SHG) response motivates the studies about the chemistry and electronic structure of microscopic structures. In this research, the covalence, electronic structure and mechanism of SHG effect for a typical IR system, d^{10} metal chalcogenides with AB_2S_4 ($A = \text{Cd, Hg}$; $B = \text{Al, Ga}$) family, were systematically investigated. It reveals that the dp hybridization, size effect and the cation electronegativity induce the changes of band gaps. Besides the decrease of charge-transfer energy enlarging the SHG effect, we found that the strong covalent interaction between atoms is also beneficial to the SHG enhancement. More importantly, the nonlinear optical (NLO) functional units for superior IR performances were investigated, and the results show that IIIA-S functional units have strong covalent interaction and more priority on NLO properties. Furthermore, the electronic structures of sulfur in the compounds are susceptible to the type of cations, and consequently affect the NLO properties.

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1. Introduction

Nonlinear optical (NLO) materials play an exceedingly crucial role in the development of solid-state lasers by frequency-doubling conversion technology [1–4]. In the past decades, many famous NLO materials applied in ultraviolet (UV) regions have been synthesized, such as borates, carbonates, and phosphates [5–7]. Recently, the first-principles method employed by Pan and Yang et al. proved that fluorooxoborates can be potential deep-UV NLO candidates mainly due to introducing excellent NLO active groups ($\text{BO}_x\text{F}_{4-x}$)^{(x+1)-} ($x = 1, 2, 3$) [8]. And a class of novel deep-UV NLO fluorooxoborates [9], have been successfully designed and synthesized. This design strategy can be expected in the exploration of infrared (IR) materials, which are urgent for commercialization. For IR region, weak interatomic bonds like in chalcogenides are beneficial to expand the transparent to IR region [10,11], therefore the relationship between microscopic structure and macroscopic properties will be different from oxides. Consequently, a better understanding of what kinds of microscopic building units are

related to the NLO properties, and how do cations affect SHG effect was proven as a meaningful design for new functional materials.

Recently, the researches about IR materials also have made significant progress. The typical examples are AgGaX_2 ($X = \text{S, Se}$) [12] and ZnGeP_2 [13]. However, commercially available NLO materials in the IR ranges, two important atmospheric transparent windows (3–5 μm , 8–12 μm), are still limited. Therefore, great attention has been paid to searching novel IR materials with high laser damage thresholds (LDTs) and large NLO coefficients in these two ranges. Nevertheless, it is known that the larger band gap may be beneficial to generating high LDT, but results in small NLO coefficients (d_{ij}) [14]. We review the achievements in the exploration of new metal-chalcogenide NLO materials for the IR region [11,15], introducing alkali/alkaline-earth metals, IIIA metals, d^{10} metals, and NLO active groups in the crystal structures [16], is available to obtain the potential IR materials, such as $\text{Na}_2\text{Ge}_2\text{Se}_5$ [17], LiGaS_2 [18], LiInS_2 [19], $\text{Li}_2\text{CdGeS}_4$ [20], $\text{Li}_2\text{ZnSiS}_4$ [21], BaHgSe_2 [22], and $\text{Ba}_3(\text{BS}_3)(\text{SbS}_3)$ [23].

Benefiting from their high performances and IR applications, metal chalcogenides are highly promising IR materials. Furthermore, metal chalcogenides with diamond-like structure, tetrahedral groups, and d^{10} metal cations are preferential options for

* Corresponding author.

E-mail address: zhangjunxju@163.com (J. Zhang).

design since they have inherently local non-centrosymmetry (NCS) that benefits to obtaining NLO materials [24]. Previous experimental measurements and *ab-initio* calculations show that the d^{10} metal chalcogenides have large band gap and SHG response. In this work, we focus on d^{10} metal chalcogenides AB_2S_4 ($A = \text{Cd, Hg}$; $B = \text{Al, Ga}$) family because they have a good balance between the band gap E_g (circa = 3.0 eV) and the NLO coefficient d_{ij} ($1 \times \text{AgGaS}_2$, $d_{36} = 13 \text{ pm/V}$) [25,26], we studied the intrinsic mechanism for SHG response, and the structure-property relationship based on the density functional theory (DFT) [27,28]. Furthermore, the influence of d^{10} metal cations on the electronic structure and SHG properties were also discussed. And the results show that d^{10} metal cations have influences both on sulfur and overall optical properties by the hybridization with S-3p orbitals.

2. Methods and computational details

The first-principles calculations were performed under the DFT using the plane wave pseudopotential method in the CASTEP module [29]. In this work, the generalized gradient approximation (GGA) [30] of Perdew-Burke-Ernzerhof (PBE) [31] functional was adopted, the norm-conserving pseudopotentials (NCP) [32–34] were set up for all calculations of electronic structure and optical property. The energy cutoff of 720 eV for CdAl_2S_4 , CdGa_2S_4 , HgAl_2S_4 and HgGa_2S_4 was set to reach the convergence of the calculations. Pseudo atomic calculations were performed based on the following orbital electrons as valence electrons: $\text{Cd } 4d^{10} 5s^2$, $\text{Hg } 5d^{10} 6s^2$, $\text{Al } 3s^2 3p^1$, $\text{Ga } 3d^{10} 4s^2 4p^1$, $\text{S } 3s^2 3p^4$. In all cases, the band structures, density of states (DOS), and optical properties of the compounds were calculated with the Monkhorst-Pack k -point meshes in the Brillouin zone of $3 \times 3 \times 4$ for CdAl_2S_4 , $4 \times 4 \times 2$ for HgAl_2S_4 , $3 \times 3 \times 4$ for CdGa_2S_4 and $3 \times 3 \times 4$ for HgGa_2S_4 , respectively.

Furthermore, the length-gauge formalism derived by Aversa and Sipe [35] was performed to calculate the NLO coefficients at a zero frequency limit, and later developed by Zhang et al. Since the two band contributions are proved to be zero under the length-gauge, the static second-order nonlinear coefficients $\chi_{\alpha\beta\gamma}^{(2)}$ can be simplified as:

$$\chi_{\alpha\beta\gamma}^{(2)} = \chi_{\alpha\beta\gamma}^{(2)}(\text{VE}) + \chi_{\alpha\beta\gamma}^{(2)}(\text{VH}) \quad (1)$$

here, α , β , and γ are Cartesian components, $\chi_{\alpha\beta\gamma}^{(2)}(\text{VE})$, $\chi_{\alpha\beta\gamma}^{(2)}(\text{VH})$ represent virtual-electron (VE) process and virtual-hole (VH) process, respectively [36,37].

3. Results and discussion

3.1. Crystal structure

The title compounds belong to defect chalcopyrite (DC) family of

$A^{\text{II}}B_2^{\text{III}}C_4^{\text{VI}}$ ($A^{\text{II}} = \text{Zn, Cd, Hg}$; $B^{\text{III}} = \text{Al, Ga, In}$; $C^{\text{VI}} = \text{S, Se, Te}$), and crystallize in the same NCS tetragonal $\bar{I}4$ space group. So we take HgGa_2S_4 as an example to describe the crystal structure. As shown in Fig. 1(a), two gallium atoms take different positions in the unit cell, and each cation is coordinated to four S atoms, forming $[\text{HgS}_4]$ and $[\text{GaS}_4]$ undistorted tetrahedra. In the structure of the 3D frameworks, all $[\text{GaS}_4]$ tetrahedra are connected by the vertex-sharing S atoms, as shown in Fig. 1(b). And it also shows that the overall arrangement of $[\text{GaS}_4]$ tetrahedra nearly aligned in parallel along the $[111]$ direction.

3.2. Band gap and electronic structure

A plane-wave pseudopotential CASTEP package based on DFT has been shown to provide the description of band structure and electronic structure. The calculated band gaps are 3.13 eV for CdAl_2S_4 , 2.21 eV for HgAl_2S_4 , 2.19 eV for CdGa_2S_4 and 1.80 eV for HgGa_2S_4 , which are well consistent with the experimental results with slightly difference owing to the discontinuity of exchange correlation energy [38]. Since they have similar electronic structures, here we take HgGa_2S_4 as a typical example. As shown in Fig. 2(d), the energy levels from approximately -6 to 0 eV in the valence bands are mainly derived from S-3p, Hg-5d_{6s} and Ga-4s_{4p} orbitals, and the energy levels between nearly 2.5 and 5 eV in the conduction bands are dominated by S-3p, Ga-4s_{4p} and Hg-6s orbitals. The electronic structures indicate that both Hg-S and Ga-S tetrahedra have influences on the changes in band gaps. And a similar electronic structure can be observed among CdAl_2S_4 , CdGa_2S_4 and HgAl_2S_4 , as shown in Fig. 2(a), (b), (c). In addition, it can be clearly seen that there is a trend of the decrease in gaps from Al to Ga and from Cd to Hg. In fact, the change in cell sizes also provides a possible explanation for the variation in band gaps due to the bigger cell size results in narrower energy level spacing [39]. Different cations will change cell sizes, and the cell sizes are $309.0 \text{ \AA}^3$ for HgAl_2S_4 , $310.9 \text{ \AA}^3$ for HgGa_2S_4 , $311.5 \text{ \AA}^3$ for CdAl_2S_4 , $312.9 \text{ \AA}^3$ for CdGa_2S_4 . Larger cell may result in smaller gaps, such phenomenon appears in AAl_2S_4 vs. AGa_2S_4 ($A = \text{Cd, Hg}$) but not in CdB_2S_4 vs. HgB_2S_4 ($B = \text{Al, Ga}$). Main reason is that the band gap is also greatly influenced by dp hybridization and cation electronegativity besides a structural effect [40]. When the cation substitution occurs in the A (Cd, Hg)-site system, the degree of dp hybridization between A ($A = \text{Cd, Hg}$)- d and S- p orbitals plays a dominant role, which affects the valence band energies and band shifts. Comparing the partial density of states (PDOS) of the Cd-containing with that of the Hg-containing compounds in Fig. 2, dp hybridization in HgB_2S_4 is much stronger than that in CdB_2S_4 which indicates that HgB_2S_4 have smaller band gaps than CdB_2S_4 ($B = \text{Al, Ga}$), $E_g(\text{CdAl}_2\text{S}_4) > E_g(\text{HgAl}_2\text{S}_4)$, $E_g(\text{CdGa}_2\text{S}_4) > E_g(\text{HgGa}_2\text{S}_4)$. However, for the case of B-site cation substitution, as in AAl_2S_4 vs. AGa_2S_4 ($A = \text{Cd, Hg}$), the different charge separation caused by cation

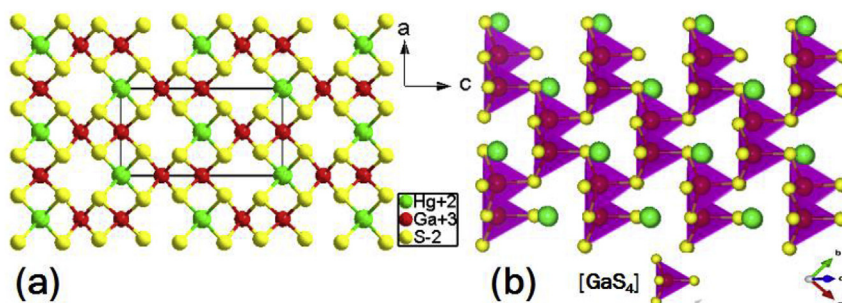


Fig. 1. The crystallographic structure for HgGa_2S_4 .

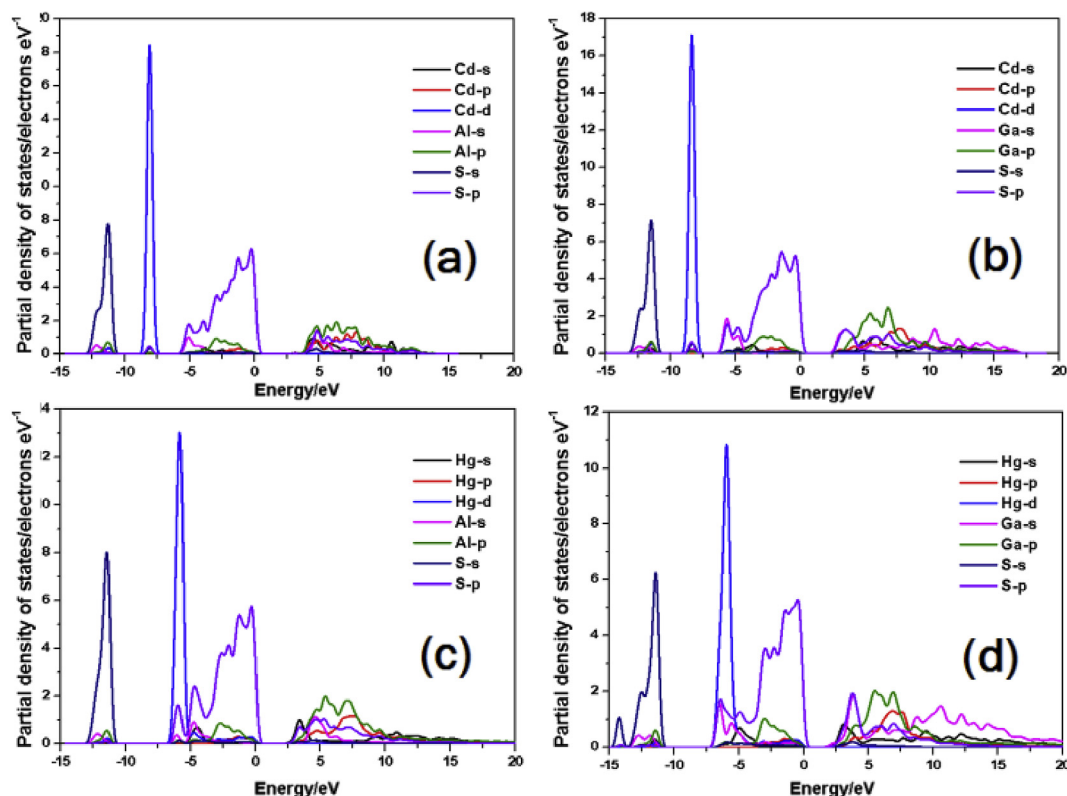


Fig. 2. Partial density of states for CdAl₂S₄ (a), CdGa₂S₄ (b), HgAl₂S₄ (c), HgGa₂S₄ (d).

electronegativity (1.81 for Ga, and 1.61 for Al) and cell sizes ($309.0 \text{ \AA}^3$ for HgAl₂S₄ & $310.9 \text{ \AA}^3$ for HgGa₂S₄, and $311.5 \text{ \AA}^3$ for CdAl₂S₄ & $312.9 \text{ \AA}^3$ for CdGa₂S₄) play a crucial role in the trend of band gap, namely, $E_g(\text{CdAl}_2\text{S}_4) > E_g(\text{CdGa}_2\text{S}_4)$, and $E_g(\text{HgAl}_2\text{S}_4) > E_g(\text{HgGa}_2\text{S}_4)$.

3.3. SHG properties

All the title compounds are NCS structures, and the NLO properties were estimated by the first-principles calculation. According to Kleinman's symmetry rule, the investigated compounds have two nonzero independent SHG coefficients due to their $\bar{1}\bar{4}$ space group. Considering that the SHG calculation is highly sensitive to band gaps [39,44], a corrected scissors operator defined as the difference between the calculated and experimental is used to evaluate the optical properties calculation. Table 1 shows the calculated SHG coefficients: CdAl₂S₄ ($d_{36} = 7.82 \text{ pm/V}$, $0.6 \times \text{AgGaS}_2$), HgAl₂S₄ ($d_{36} = 12.63 \text{ pm/V}$, $1 \times \text{AgGaS}_2$), CdGa₂S₄ ($d_{36} = 14.83 \text{ pm/V}$, $1.1 \times \text{AgGaS}_2$), HgGa₂S₄ ($d_{36} = 20.59 \text{ pm/V}$, $1.6 \times \text{AgGaS}_2$). The spatial distribution of electronic states making the major contributions to SHG response, namely, the SHG-density [45], was applied to analyze or clarify the effective NLO functional units. SHG-density can be divided into occupied and unoccupied states of Virtual-Electron (VE) and Virtual-Hole (VH), respectively. In consequence, the SHG caused by quantum states can be clearly shown through the SHG-density of occupied or unoccupied states, however, the states do not contribute to SHG will be invisible. In all cases, VE process is analyzed because it dominates the origin of SHG response. Taking HgGa₂S₄ as an example in Fig. 3(a and b), S bonding 3p orbitals are the major contributor to SHG effect in occupied states, and partially Hg-5d orbitals, the sp hybridization between S-3p orbitals and Hg-6s orbitals also contribute to SHG

Table 1

Calculated SHG coefficients and band gaps for the compounds CdAl₂S₄, HgAl₂S₄, CdGa₂S₄ and HgGa₂S₄.

Compounds	Space group	Band gap (eV)	SHG coefficients d_{36} (pm/V)
CdAl ₂ S ₄	$\bar{1}\bar{4}$	3.13 (Cal.) 3.82 (Exp.) ^a	7.82 (Cal.)
HgAl ₂ S ₄	$\bar{1}\bar{4}$	2.21 (Cal.) 3.43 (Exp.) ^b	12.63 (Cal.)
CdGa ₂ S ₄	$\bar{1}\bar{4}$	2.19 (Cal.) 3.44 (Exp.) ^c	14.83 (Cal.) 15.83 ^d
HgGa ₂ S ₄	$\bar{1}\bar{4}$	1.80 (Cal.) 2.84 (Exp.) ^d	20.59 (Cal.) 25.15 ^d 31.50 (Powder effect.) ^e

(Cal.) This work;

^a [41].

^b [42].

^c [11].

^d [11].

^e [43].

effect. Like the occupied states, the unoccupied states where bonding 3p orbitals of S are also the dominant contributor, and Ga-4p states and Hg-6s states have partially contributions. SHG-densities of HgAl₂S₄, CdAl₂S₄ and CdGa₂S₄ are also shown in Fig. 3(c and d); Fig. 3(e and f); Fig. 3(g and h). Combining SHG-density with electronic structure of title compounds, we conclude that both the interactions between S and B (Al, Ga), S and A (Cd, Hg) contribute to the SHG response. Furthermore, the tetrahedra [BS₄] (B = Al, Ga), one of the fundamental NLO- functional units, aligning in parallel are conducive for enhancing the SHG response.

3.4. Mechanism in balance on Gap-SHG

(1) Mulliken atomic population analysis

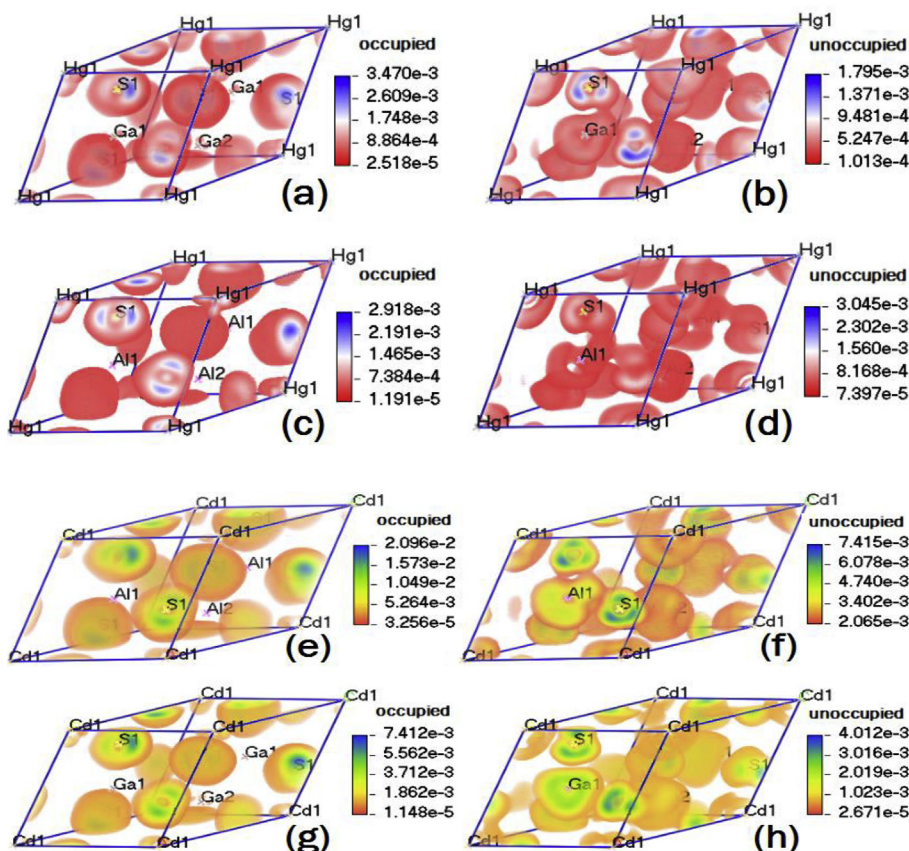


Fig. 3. SHG-density of occupied and unoccupied for HgGa₂S₄(a, b), HgAl₂S₄(c, d), CdAl₂S₄(e, f), CdGa₂S₄(g, h).

The DC family AB₂S₄ (A = Cd, Hg; B = Al, Ga) provides a structural framework to explore the influence of cations on band gaps and SHG properties in a lattice with relatively undistorted tetrahedra structural buildings. In this paper, Mulliken population analysis was performed to get more information about the bonding character and to illuminate the charge transfer among title compounds [45], and the calculated results are listed in Table 2. It is known that, the ionic bonding with a character of larger Mulliken atomic charge and the covalent bonding with a character of smaller Mulliken atomic charge [46]. For charge transfer, there is no distinct difference between Cd-S and Hg-S in the similar systems (CdAl₂S₄ vs. HgAl₂S₄, CdGa₂S₄ vs. HgGa₂S₄) but a marked difference between Al-S and Ga-S, which indicates a character of relatively stronger covalent bonding between B (Al, Ga)-S [47]. To better clarify the

bonding behavior of the compounds, the calculated Mulliken overlap populations *Q* are also listed in Table 2, compared with the overlap population of Ga-S (0.48–0.52) in CdGa₂S₄, there is a greater value of Al-S (0.61) in CdAl₂S₄, and this phenomenon can also be observed in HgGa₂S₄ (0.52–0.54) and HgAl₂S₄ (0.57–0.59). It further indicates that the interaction of Ga-S is weaker than that Al-S. Meanwhile, A (Cd, Hg)-S is characterized by a slightly smaller overlap population, which further indicates the weaker covalent bonding than that B (Al, Ga)-S.

(2) Influence of cations on S

To further explore the influences of different cations on the electronic structure of S, we investigated the electronic structure differences of S-3*p* orbitals for all compounds. According to the theory of molecular orbital, the microscopic energy gap between the anti-bonding and bonding states of two atoms ΔE is closely related to the orbital energies of two atoms (atom 1 and 2), E_1 and E_2 . And ΔE can be written as:

$$\Delta E = \sqrt{(E_2 - E_1)^2 + 4\beta^2} \quad (2)$$

here β is the exchange integral, since the orbital energies of atoms agree well with the bandwidth of orbitals [48], Fig. 4(a) clearly shows the order of the bandwidth for S-3*p* orbitals: HgGa₂S₄ (6.0 eV) > HgAl₂S₄ (5.6 eV); CdGa₂S₄ (5.3 eV) > CdAl₂S₄ (4.9 eV). One can see that the bandwidth of S-3*p* orbitals in AGa₂S₄ is wider than that in AAl₂S₄ (A = Cd, Hg), that is to say, the S-3*p* orbitals in CdAl₂S₄ are slightly localized than that in CdGa₂S₄, accordingly, the S-3*p* orbitals in HgAl₂S₄ are also mildly localized than that in

Table 2

Mulliken charge ($|e|$), bond population (*Q*) for CdAl₂S₄, HgAl₂S₄, CdGa₂S₄ and HgGa₂S₄.

Compounds	Species	Charge (<i>e</i>)	Bond	Bond Length (Å)	Population (<i>Q</i>)
CdAl ₂ S ₄	Cd	0.99	Cd-S	2.53228	0.30
	Al	0.70–0.75	Al-S	2.24934–2.25541	0.61
	S	−0.61	/	/	/
HgAl ₂ S ₄	Hg	0.64	Hg-S	2.52448	0.28
	Al	0.79–0.83	Al-S	2.27339–2.33243	0.57–0.59
	S	−0.57	/	/	/
CdGa ₂ S ₄	Cd	0.62	Cd-S	2.43661	0.45
	Ga	0.55–0.72	Ga-S	2.29898–2.37337	0.48–0.52
	S	−0.47	/	/	/
HgGa ₂ S ₄	Hg	0.33	Hg-S	2.52894	0.40
	Ga	0.59–0.73	Ga-S	2.28082–2.28334	0.52–0.54
	S	−0.41	/	/	/

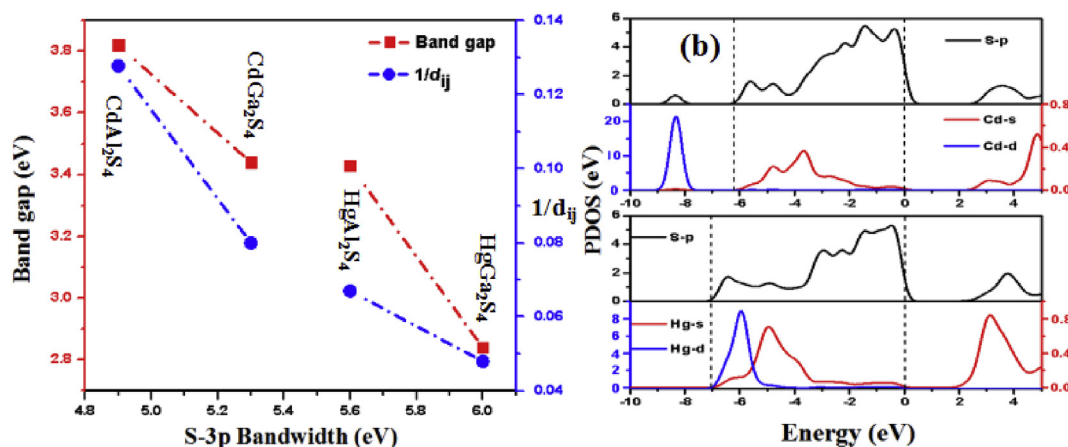


Fig. 4. The relationship among band gap, SHG coefficients and bandwidth of the S-3p orbital for CdAl₂S₄, CdGa₂S₄, HgAl₂S₄, and HgGa₂S₄ (a); *sp/dp* hybridization between A (Cd, Hg)-s/d and S-p in CdGa₂S₄ and HgGa₂S₄ (b).

HgGa₂S₄. Noting that there is an increase of 0.4 eV in bandwidth of S-3p orbitals from Al to Ga and there is also a trend of increase of 0.7 eV from Cd to Hg. Coincidentally, it is in well agreement with the trend of increase of SHG coefficients. This can be explained that the bonding and antibonding behaviors between Ga and S are different between Al and S due to the distinction of electronegativity. This is why S-3p orbitals in HgAl₂S₄ are more localized than that in HgGa₂S₄, and it works the same for CdAl₂S₄ and CdGa₂S₄. Comparing HgGa₂S₄ and HgAl₂S₄, the delocalization degree of S-3p orbital is related to the bonding-antibonding energy, which results in a decrease of the band gap from Eq. (2). We conclude that both A-site and B-site cations influence the bandwidth of S-3p orbitals, which subsequently impacts other important properties such as the SHG effect.

Furthermore, the SHG effect of HgAl₂S₄ is stronger than CdAl₂S₄, since the angular momentum difference between *d*-orbitals and *p*-orbitals is also $\hbar$, the differences of calculated PDOS between HgAl₂S₄ and CdAl₂S₄ reveals that: the *p*-orbitals of S and *d*-orbitals of Hg also have a hybridization in energy range [-6.5, -5] eV, while there is no *dp* hybridization between Cd and S, thus, the stronger SHG effect can be explained from the *dp* hybridization. In addition, Fig. 4(b) shows that the *sp* hybridization between Hg and S in HgGa₂S₄ also make a contribution at a considerable energy level in the valence bands. And the SHG effect of CdGa₂S₄ is stronger than that CdAl₂S₄ can also be illuminated by the differences of bandwidth for S-3p orbitals [47].

4. Conclusion

In summary, the properties of four metal chalcogenides are investigated in the view of the first-principles calculation. We conclude that the *dp* hybridization, size effect and cation electronegativity induce the changes of band gaps. The differences of NLO property among four compounds are affected by the synergism of charge-transfer energy, the interactions between A(Cd, Hg)/B(Al, Ga) and S. Besides, the cations influence the bonding-antibonding energy of A(Cd, Hg)/B(Al, Ga)-S orbitals, which is captured by the bandwidth of S-3p in the valence bands. As Al atoms are replaced by Ga atoms, that is the more delocalization of S-3p orbitals which offers the same tendency of NLO properties. From the calculation, it can be seen that B(Al, Ga)-S units have more contributions to SHG effect, and can be as superior NLO functional units. In the further research, one can assemble such superior NLO functional units to design new IR NLO materials with good performance.

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