



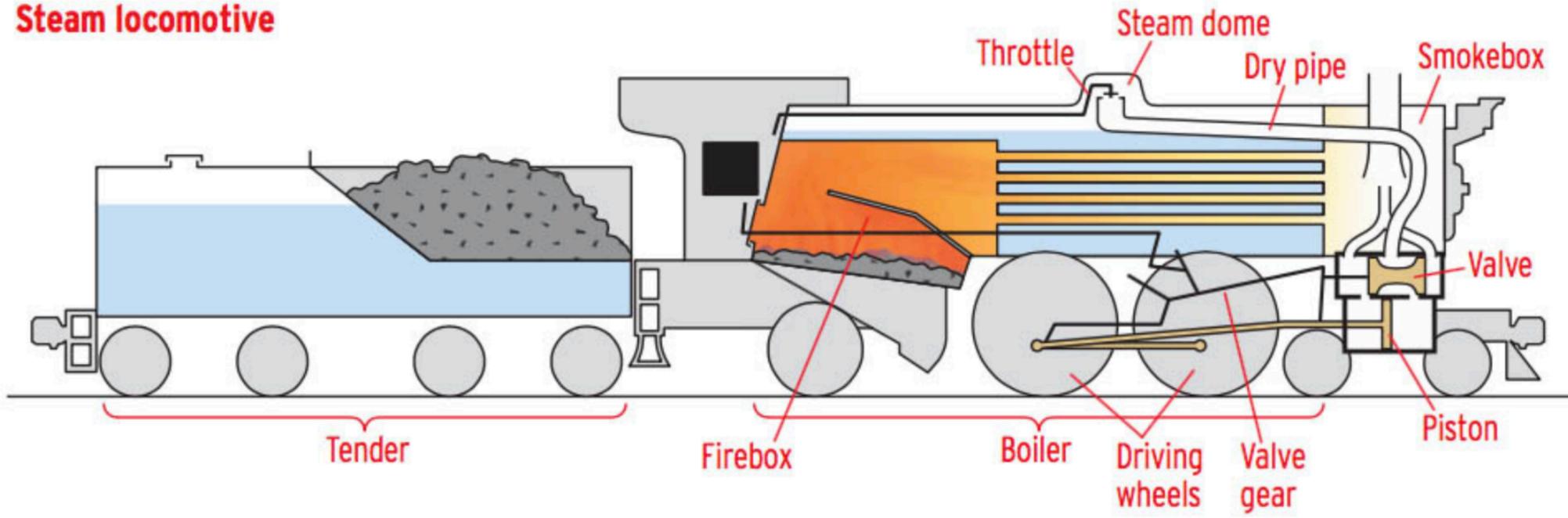
# Fluctuation theorems and noise bounds for nonequilibrium nanoscale engines

**Janine Splettstoesser**

Applied Quantum Physics, Department for Microtechnology and Nanoscience, Chalmers

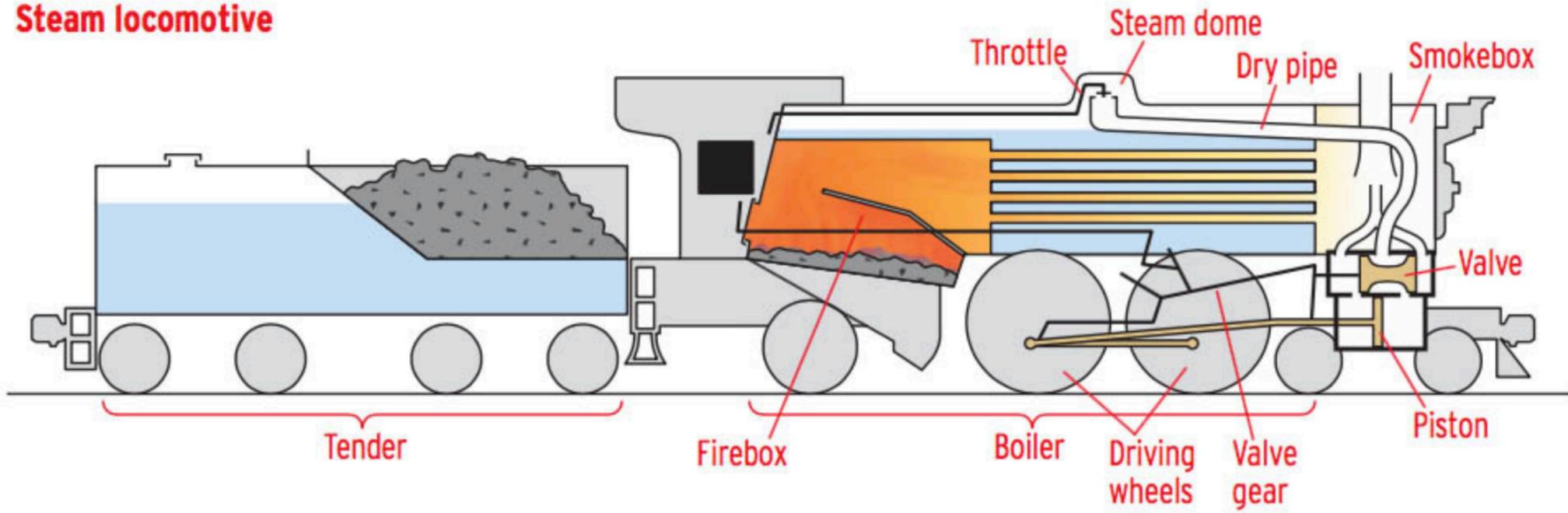
Quantum Carnot workshop, Dijon, November 25th - 27th 2024

# Steam locomotive



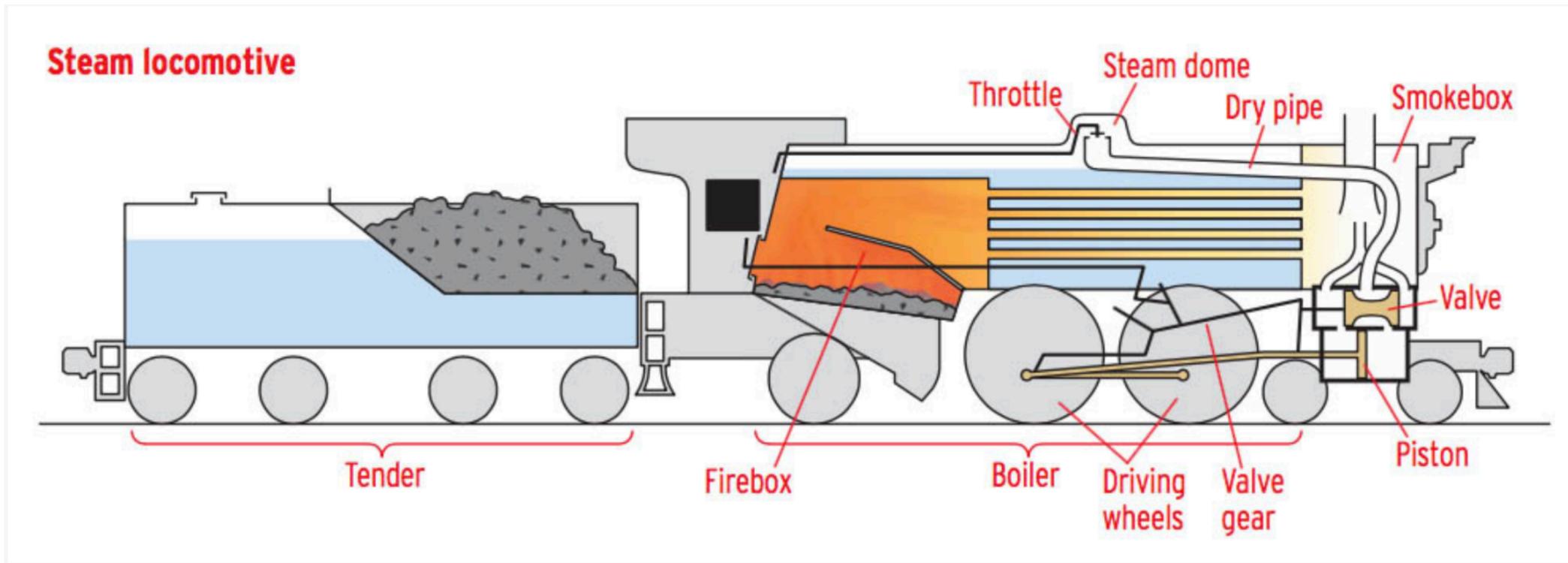
R. S. McGonigal, Trains magazine, May 2006

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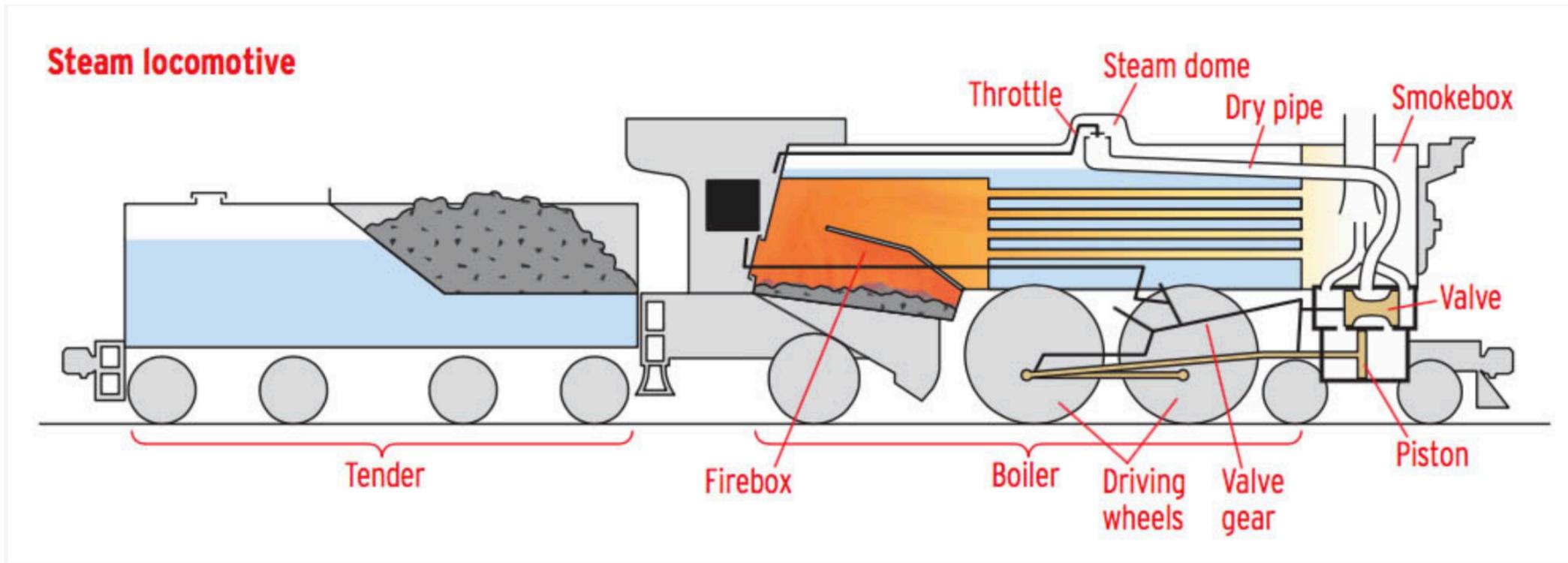
# Game-changing technology



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requiring energy

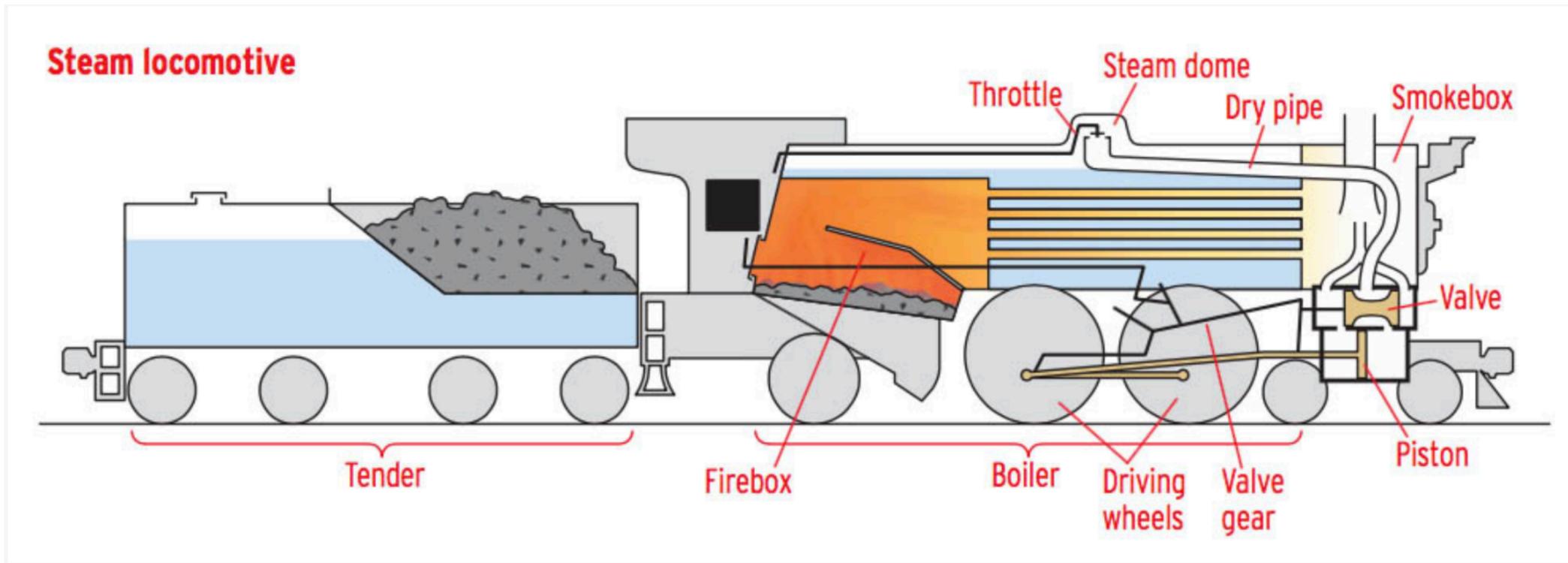


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Easy to have/leftover

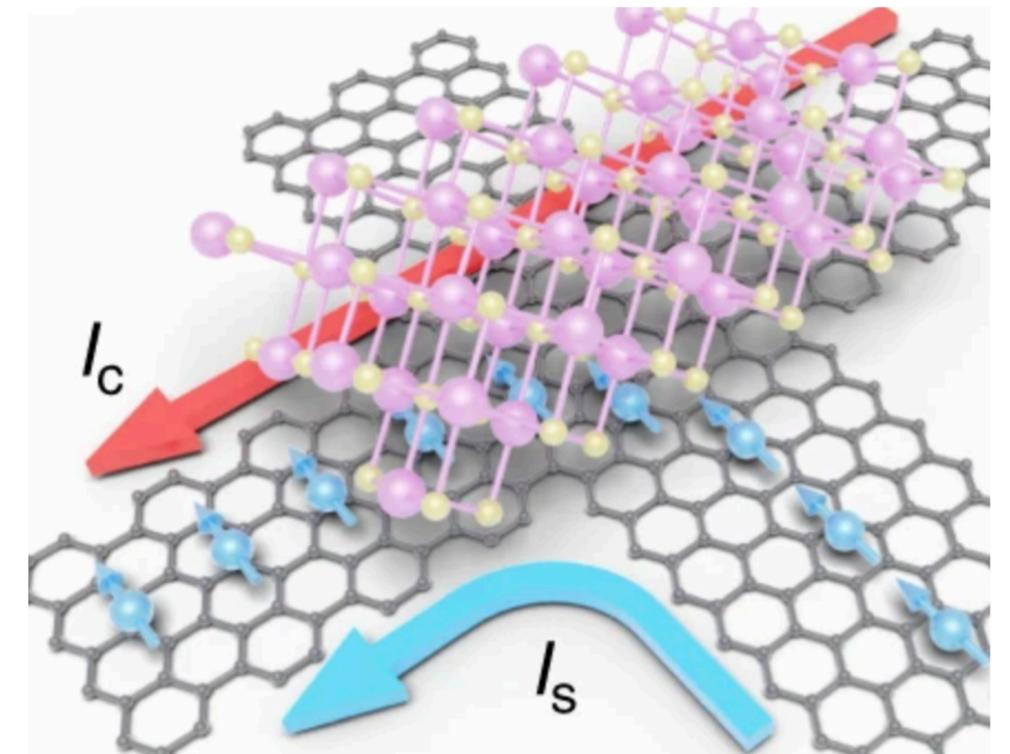
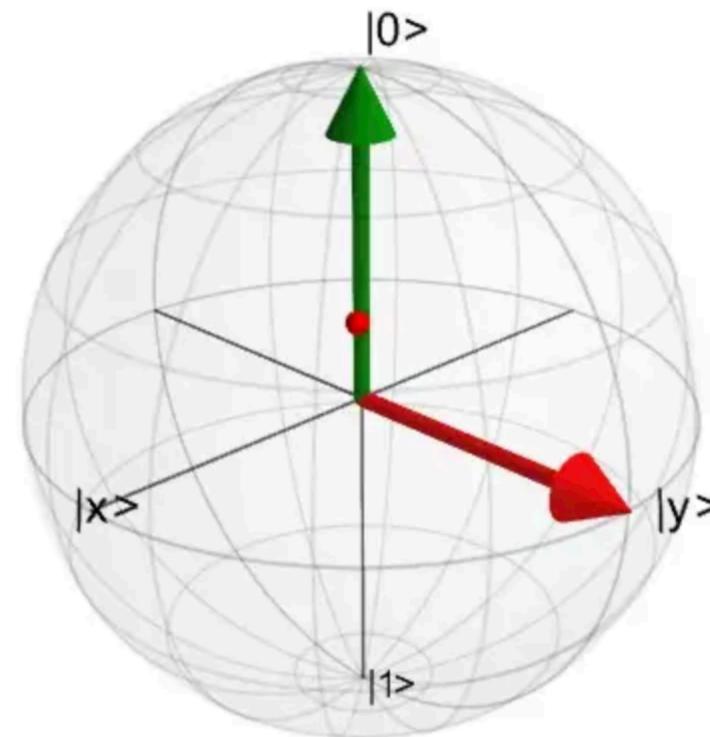


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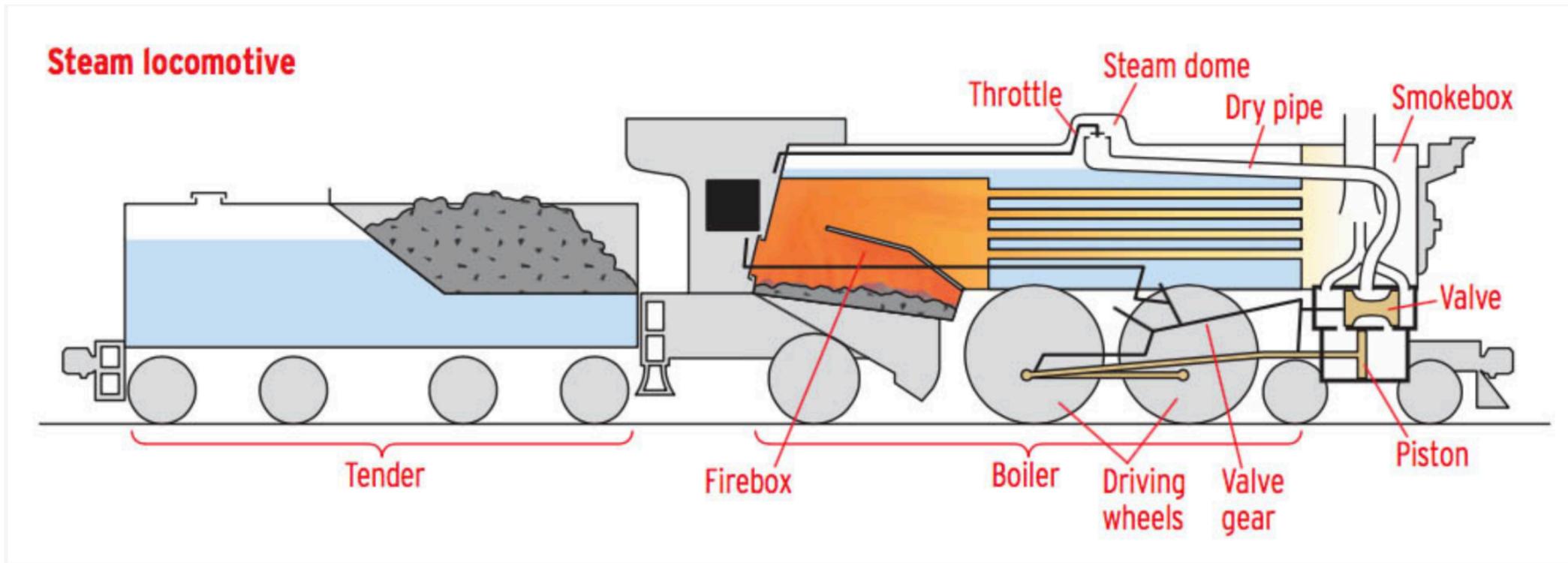
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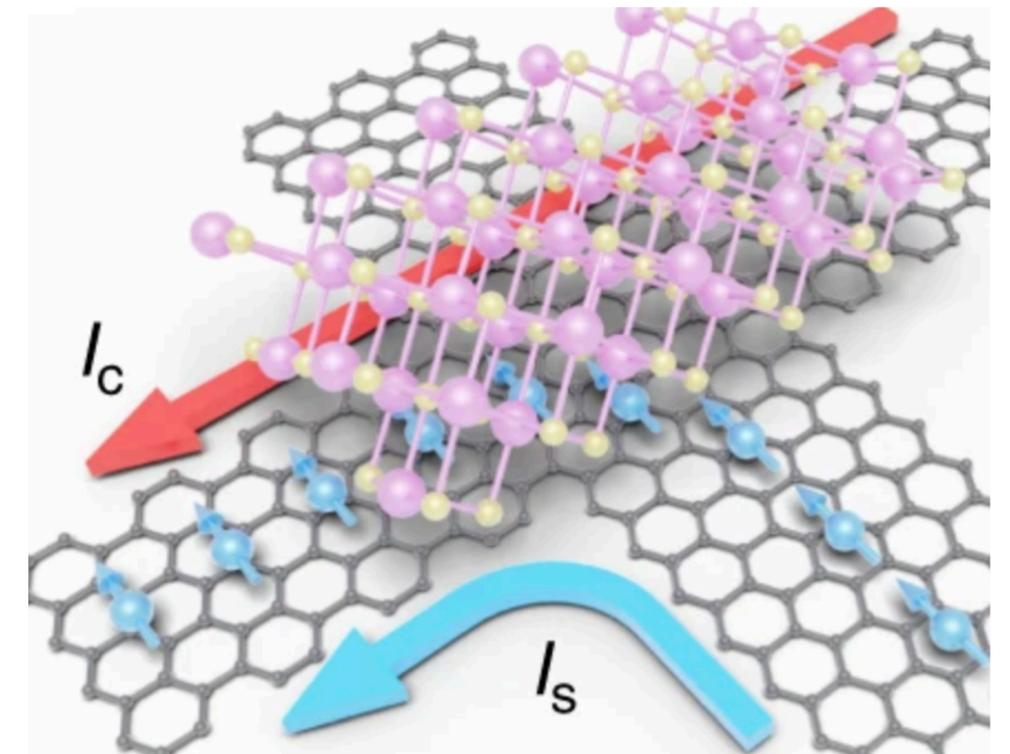
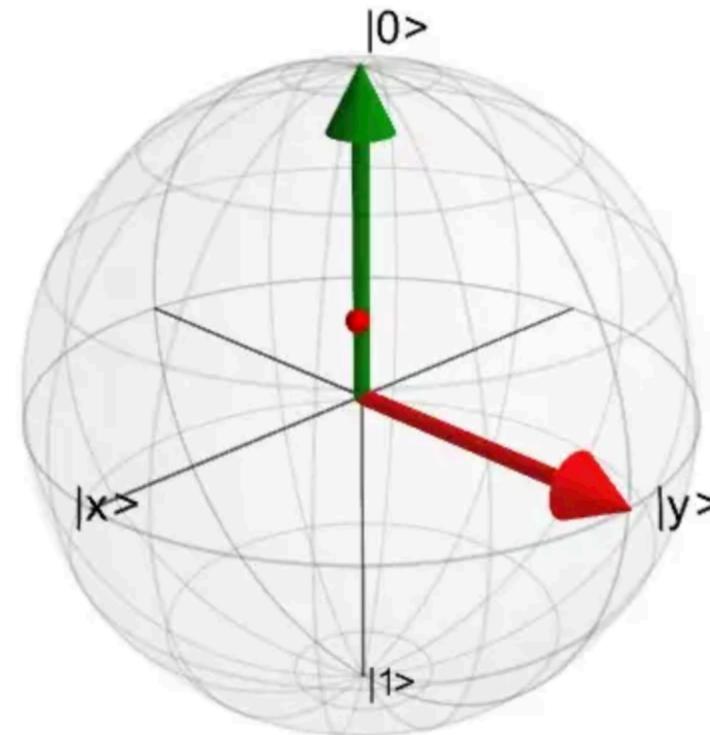
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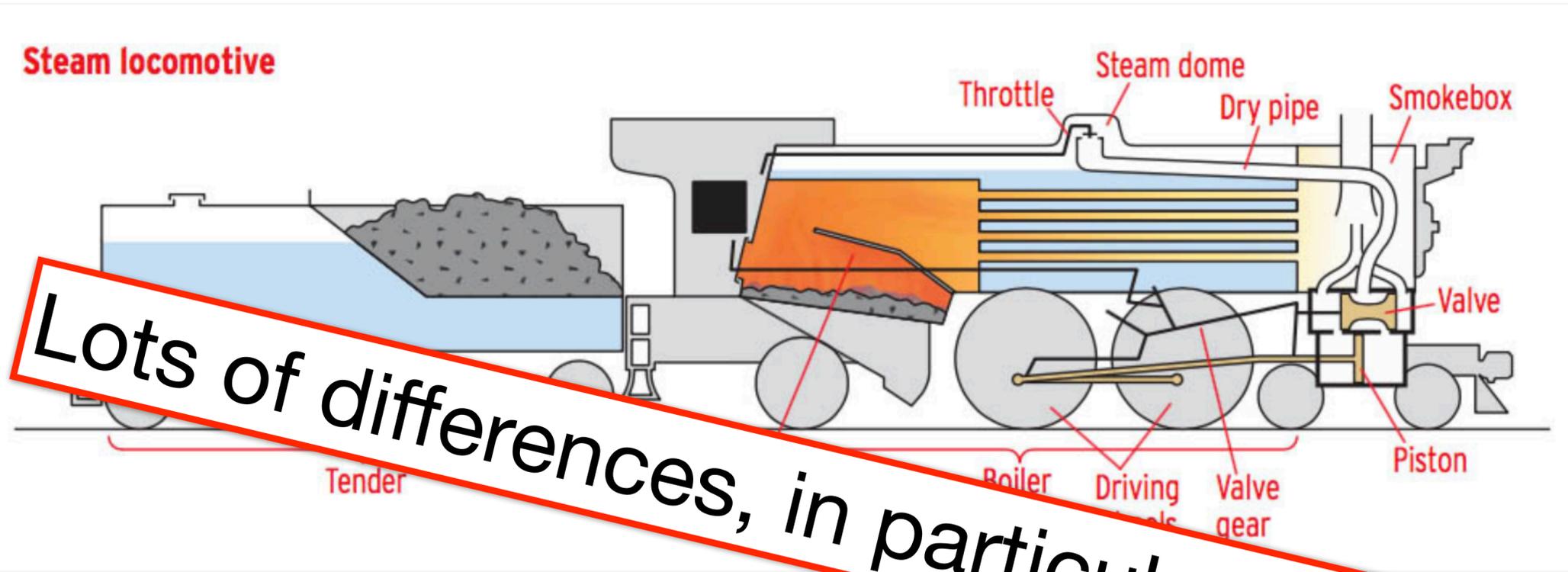
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Steam locomotive



**Lots of differences, in particular, but not only due to their size!**

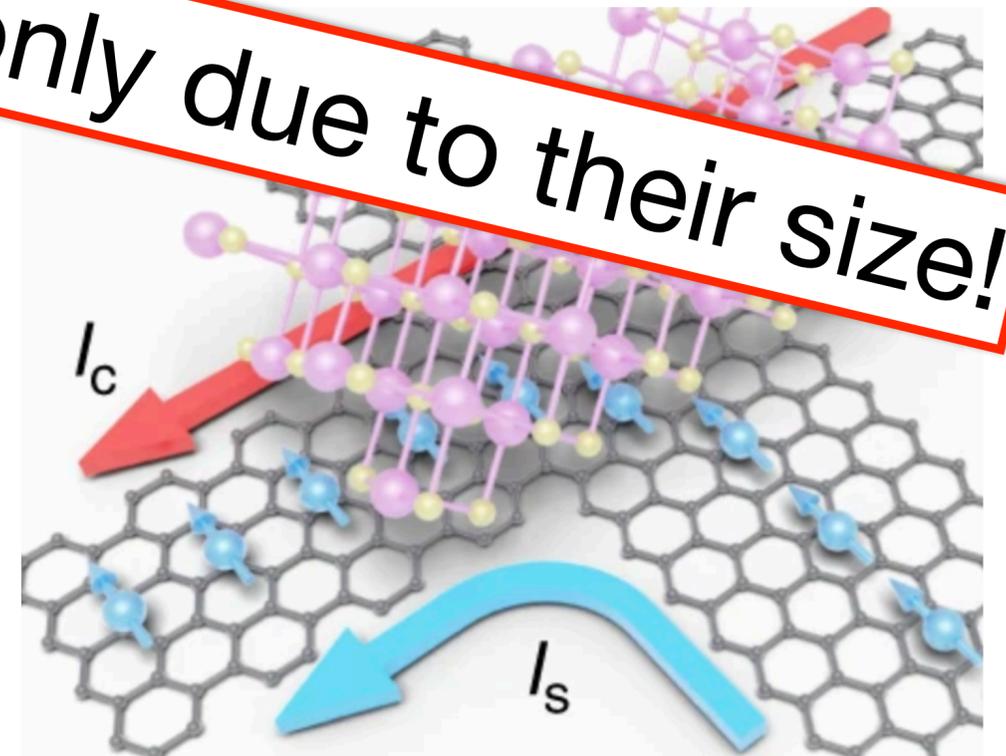
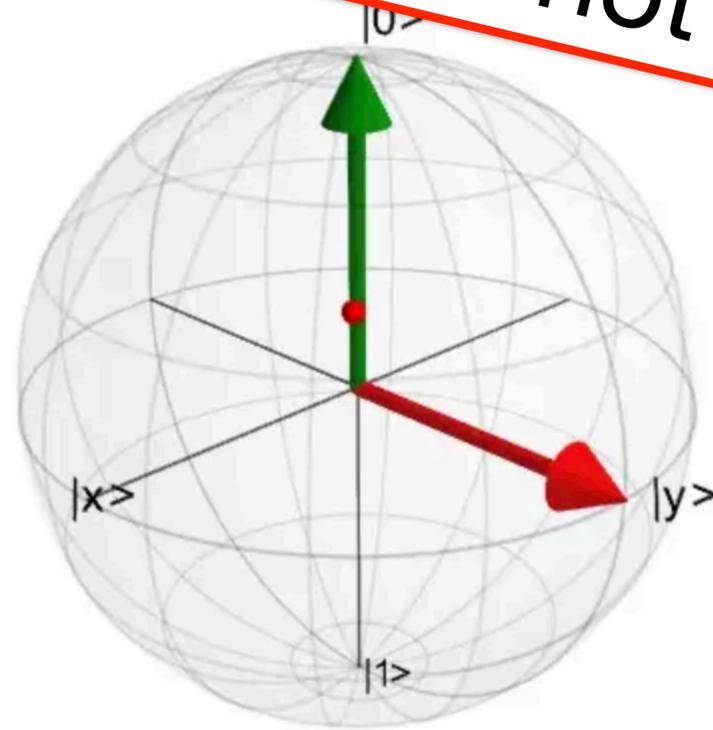
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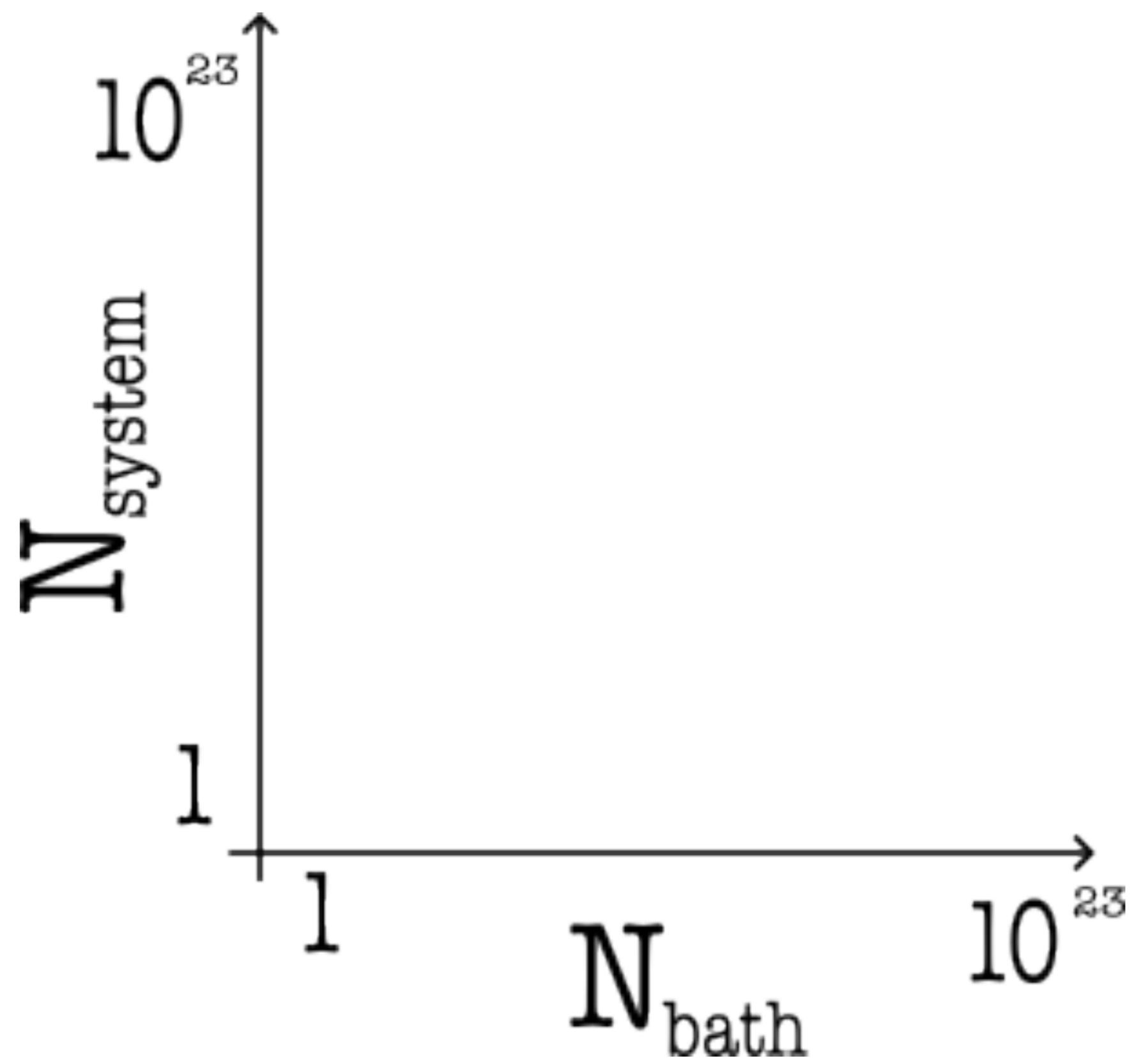
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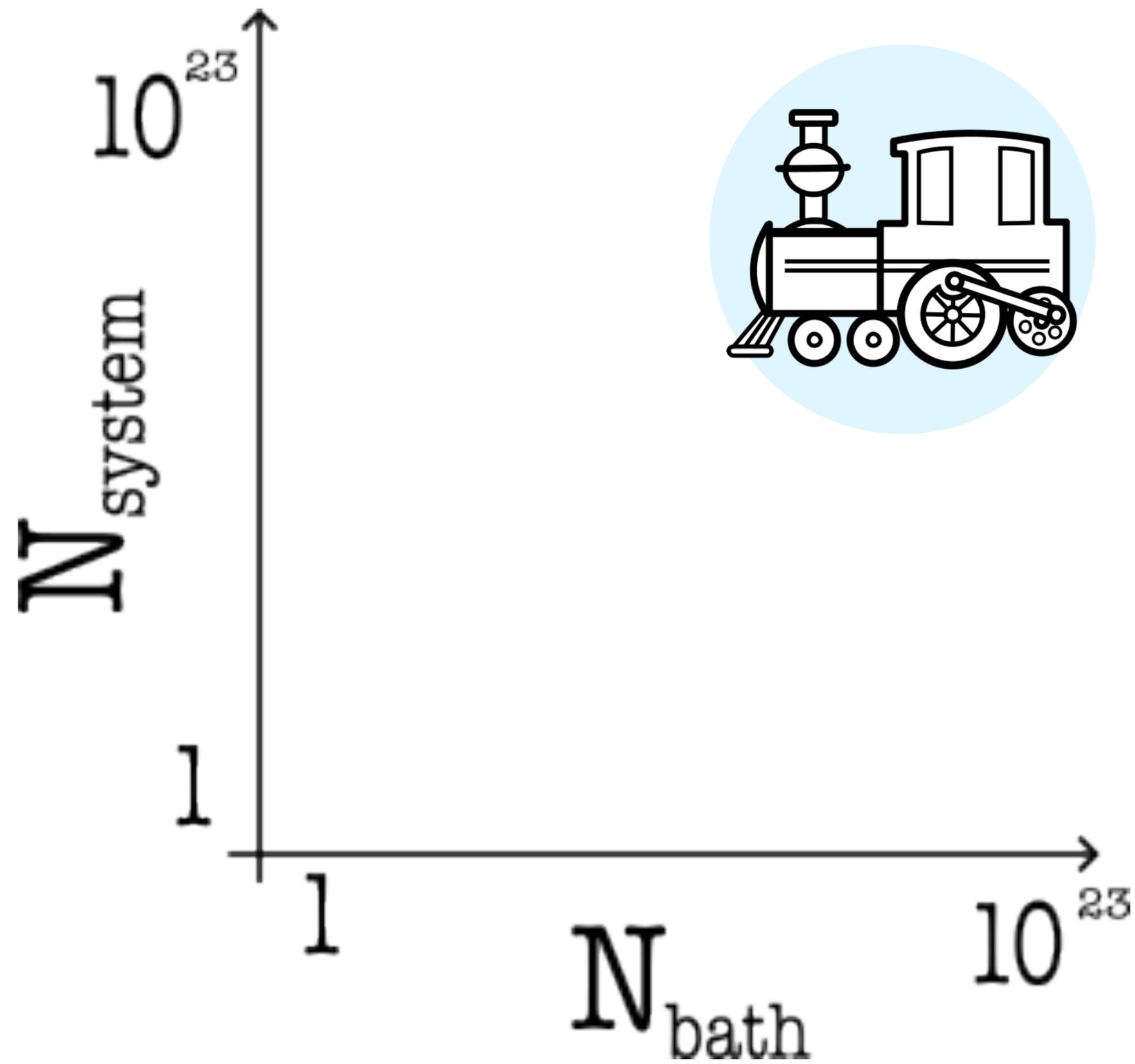
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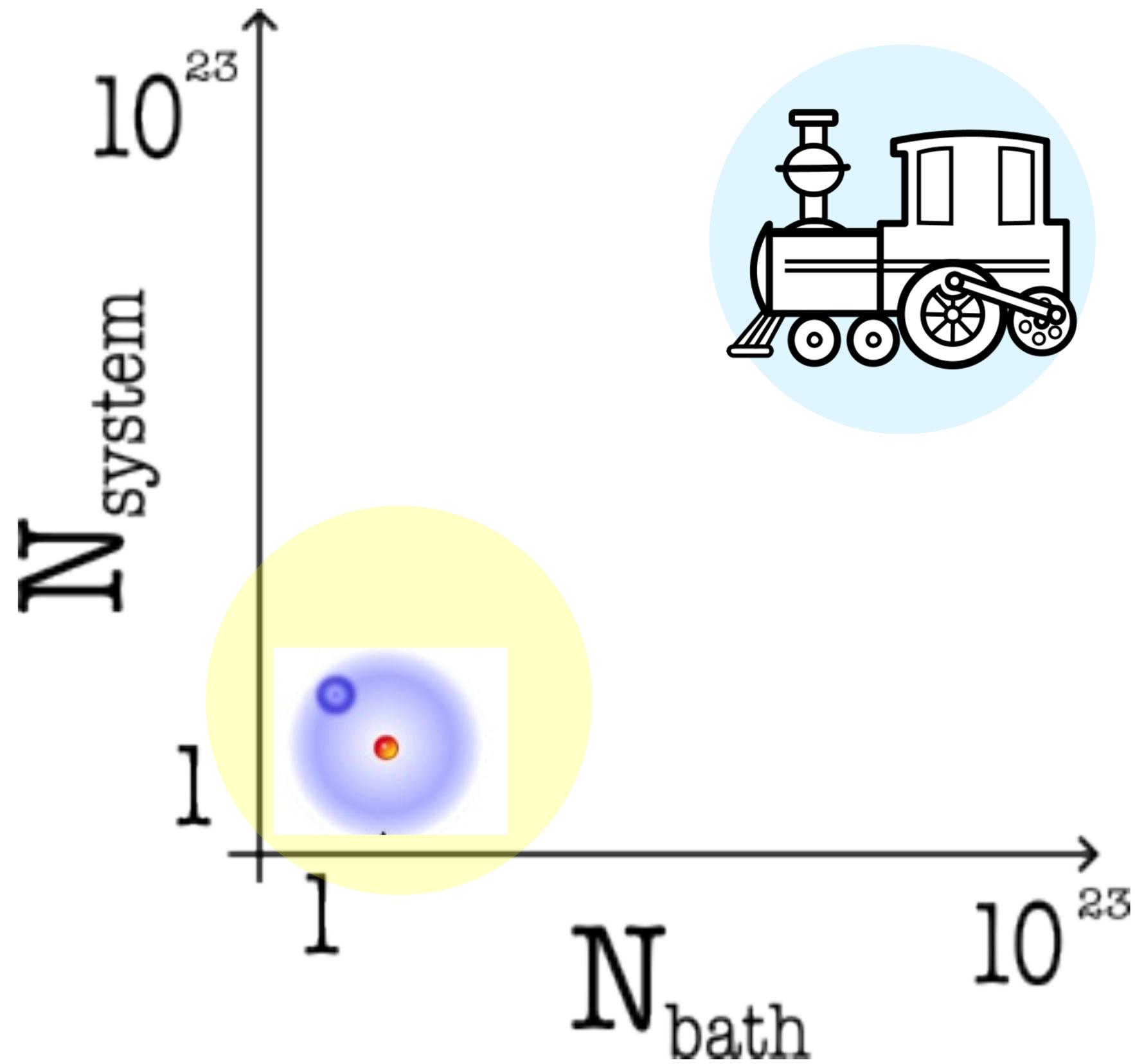
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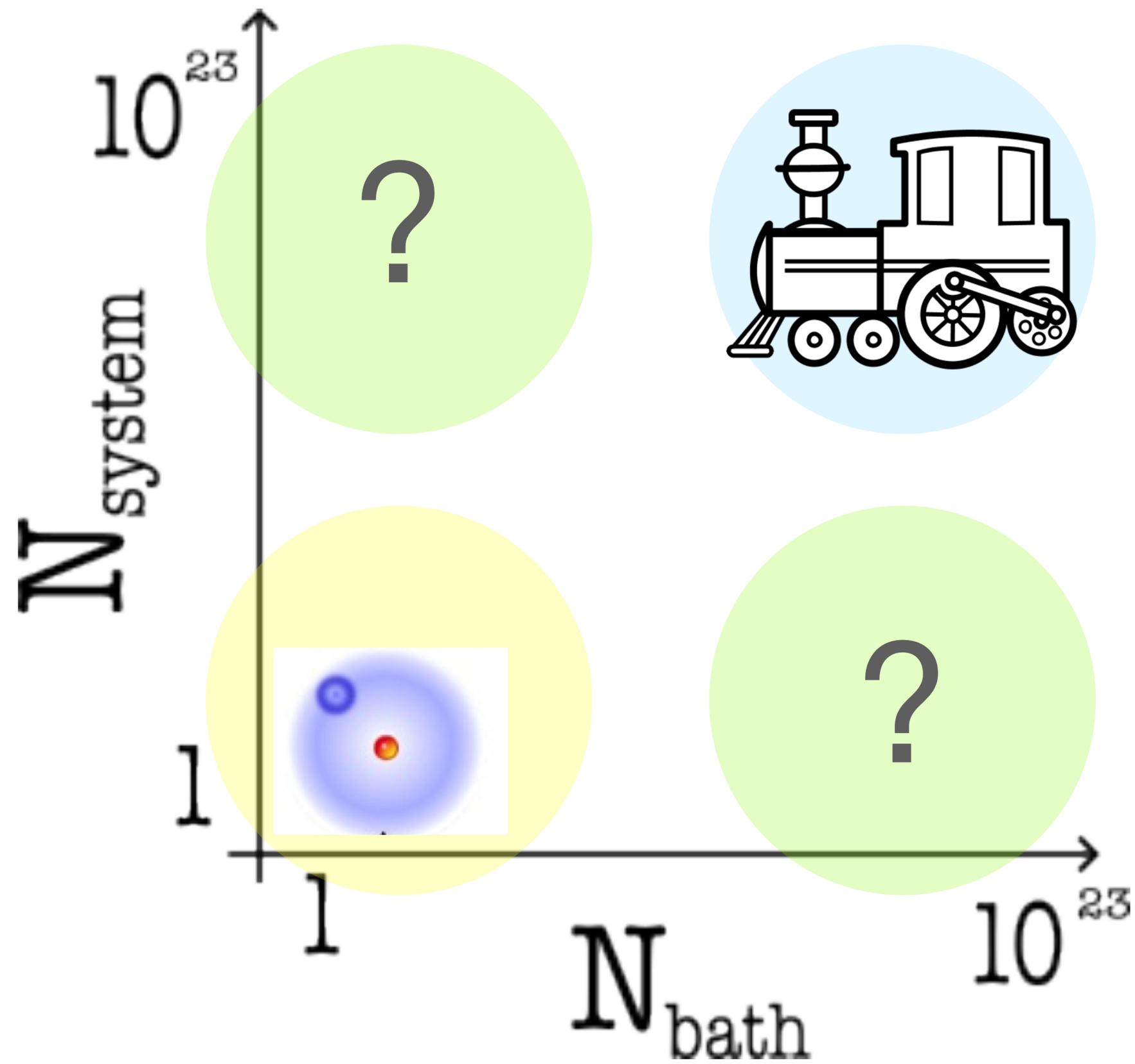


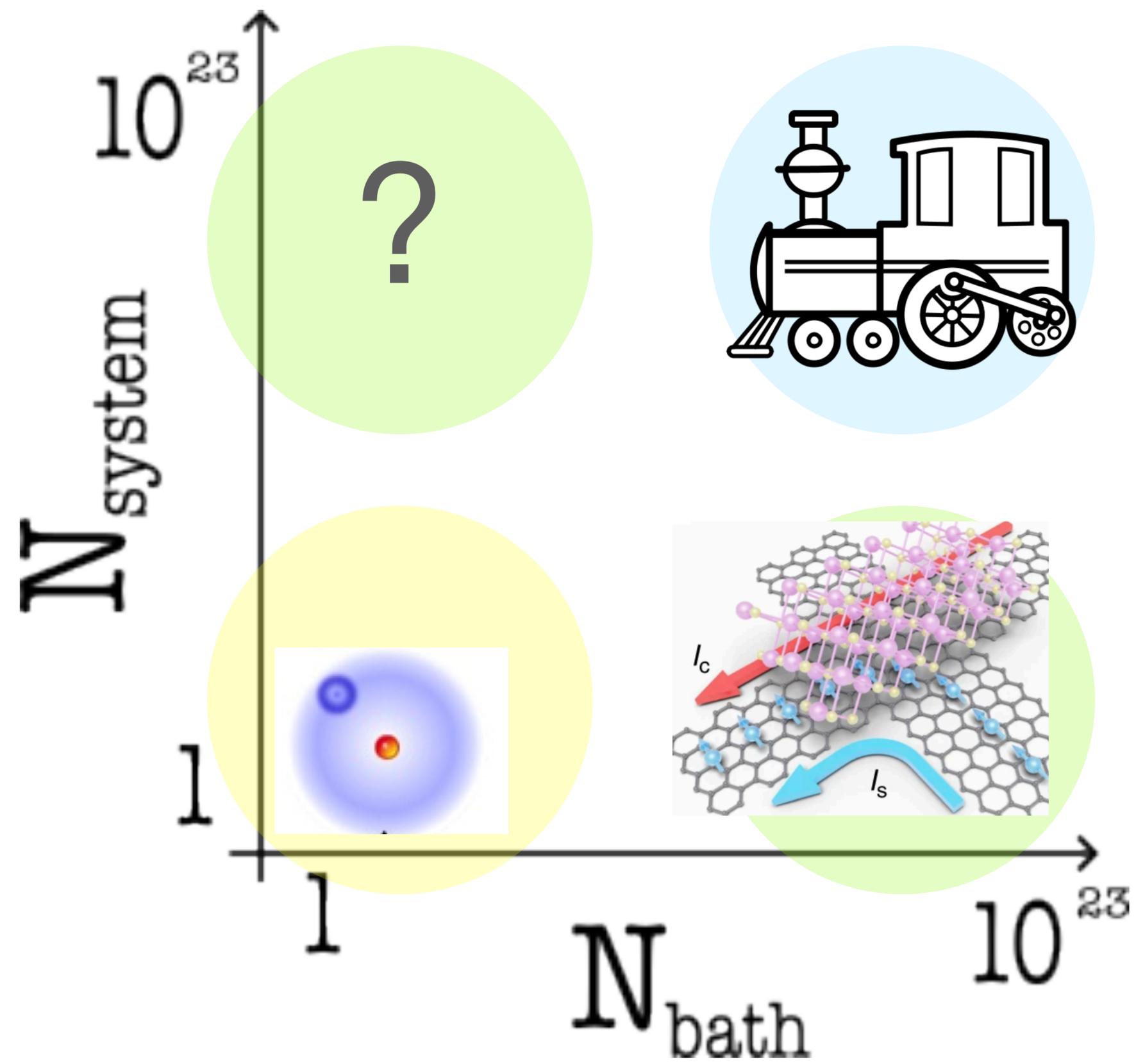
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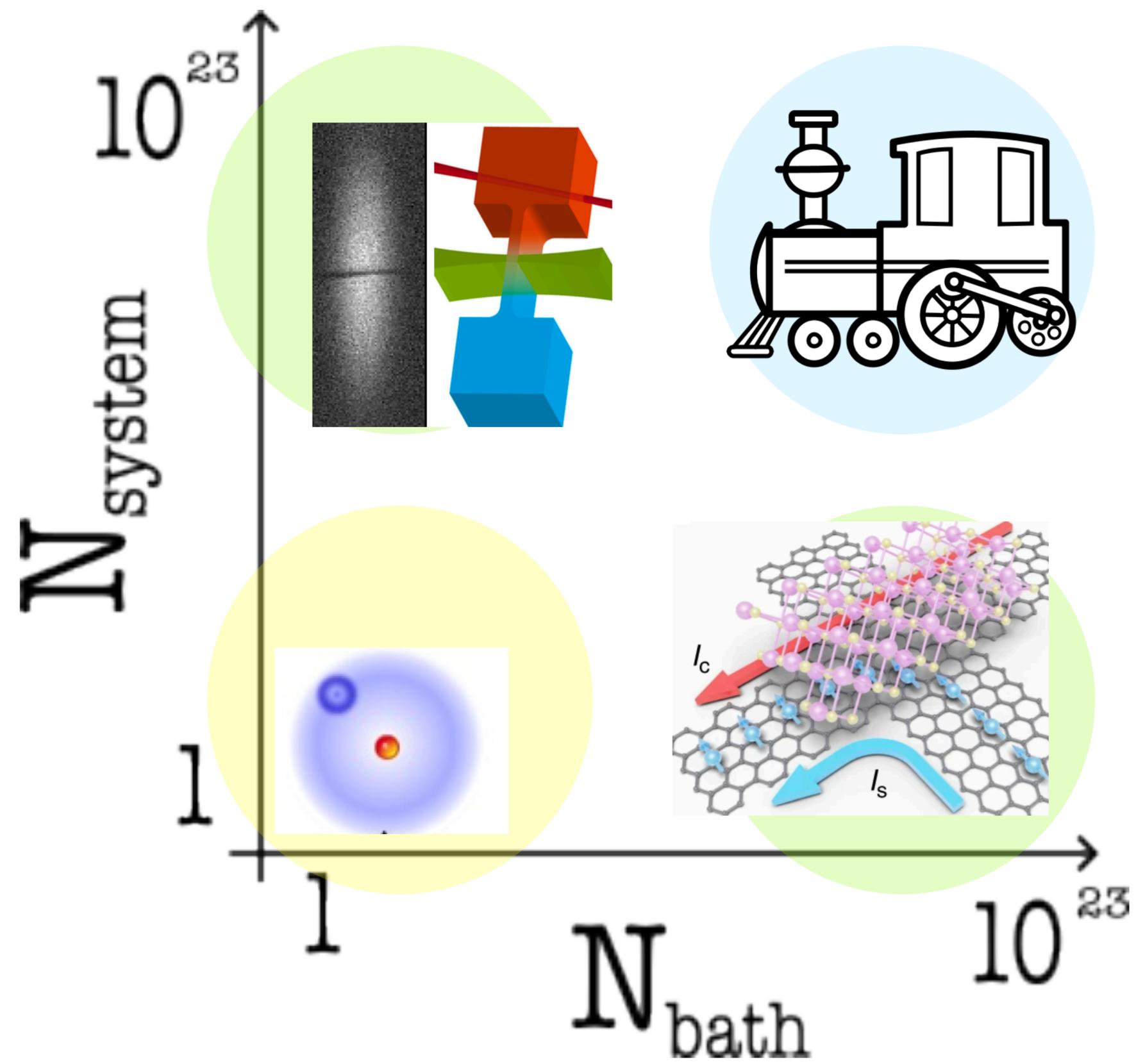












## Energy conversion in small-scale devices?

- “waste” from operations: heat or unused energy excitations
- ...can harm the operation and need to be evacuated (equivalent to cooling)
- Use/recycle for other tasks?

**Needs better fundamental understanding....**

# Outline

- Introduction
  - Thermodynamics of steady-state quantum transport

Resources and output of nanoscale thermodynamic systems are diverse!

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- Fluctuations in mesoscopic conductors operating as engines
  - Fluctuation dissipation theorem and beyond
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L. Tesser, J. Splettstoesser: Phys. Rev. Lett. **132**, 186304 (2024).

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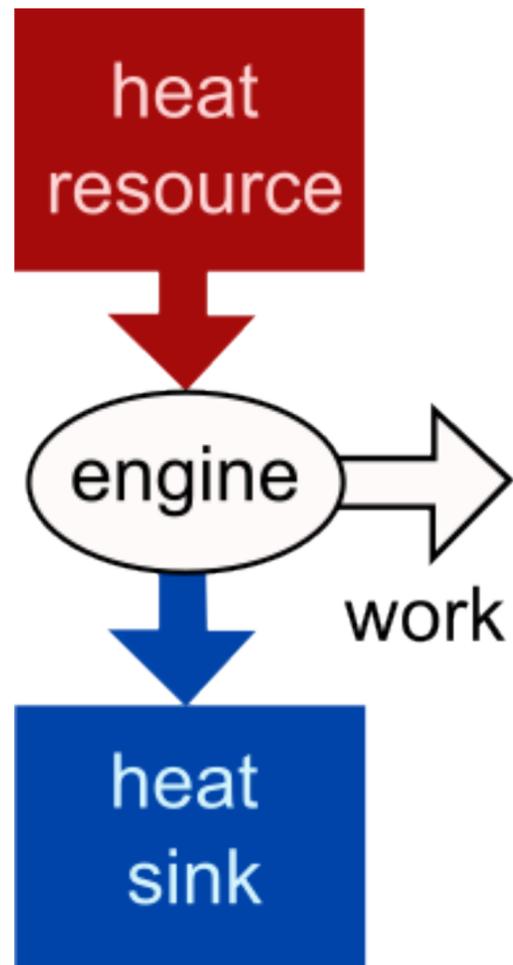
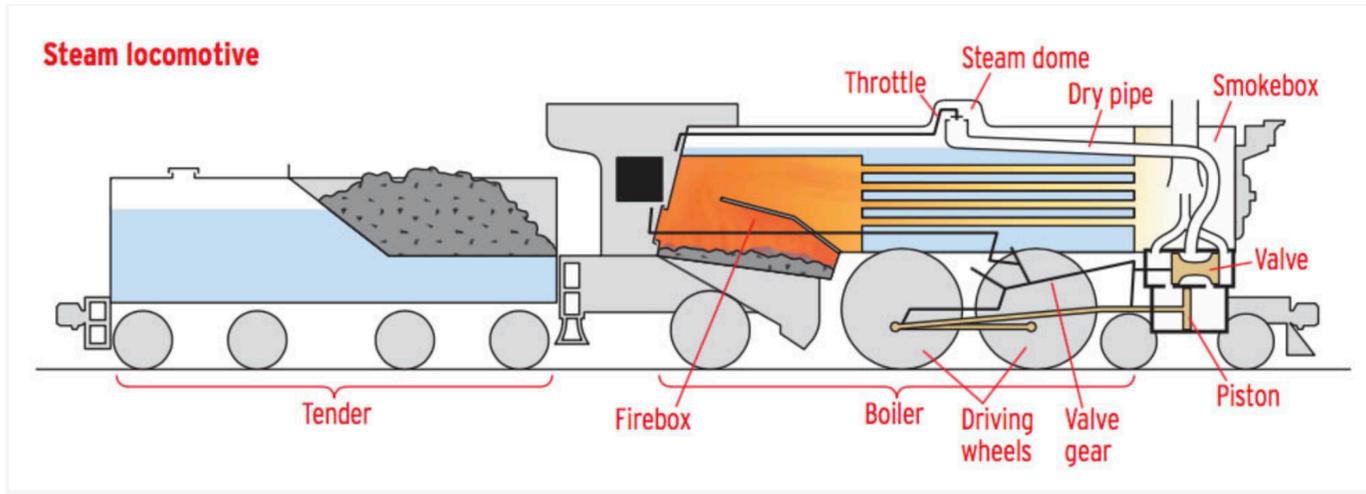
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- Precision bounds for quantum transport of generic transport observables
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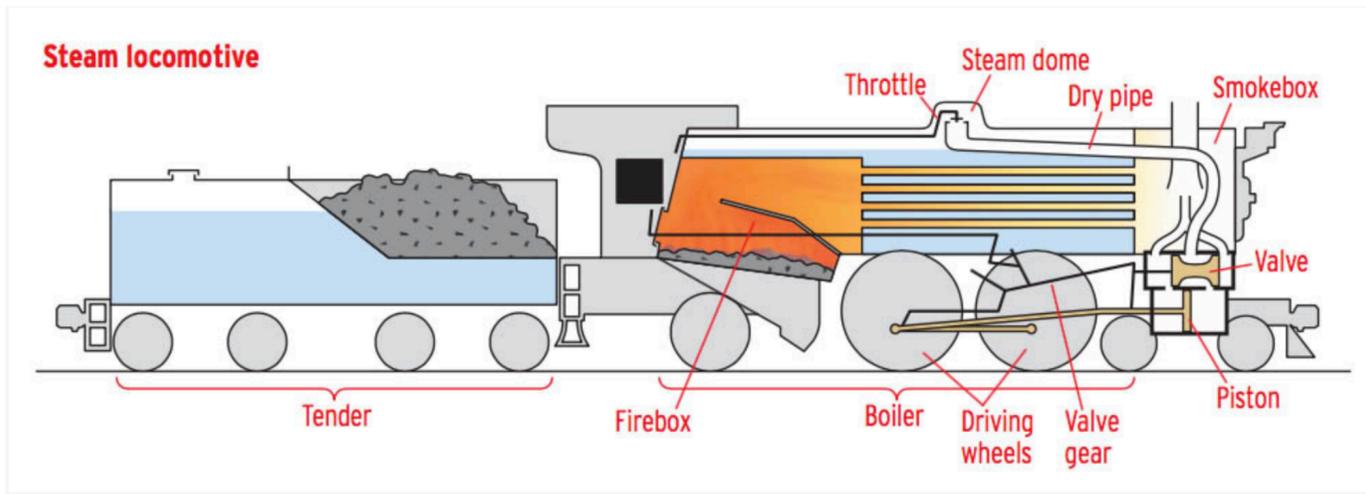
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M. Acciai\*, L. Tesser\*, J. Eriksson, R. Sánchez, R. S. Whitney, J. Splettstoesser, Phys. Rev. B **109**, 075405 (2024).

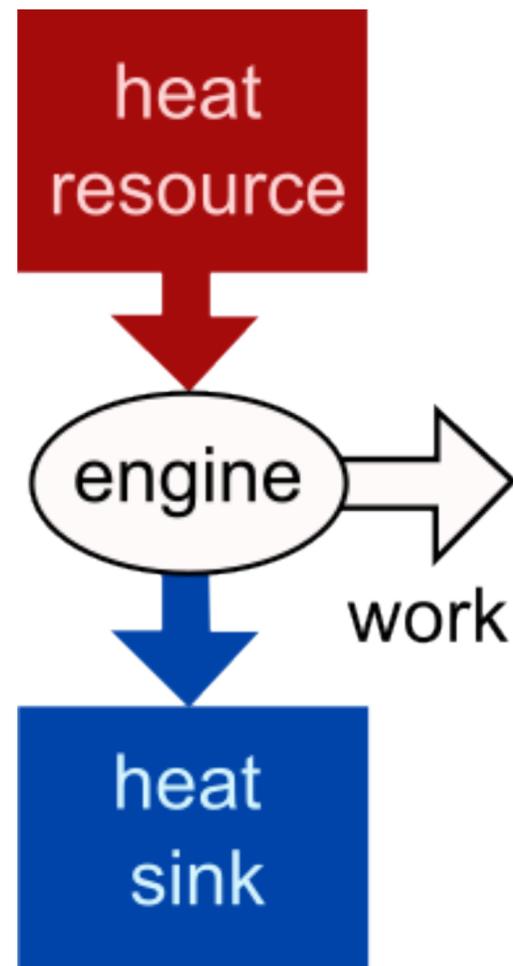
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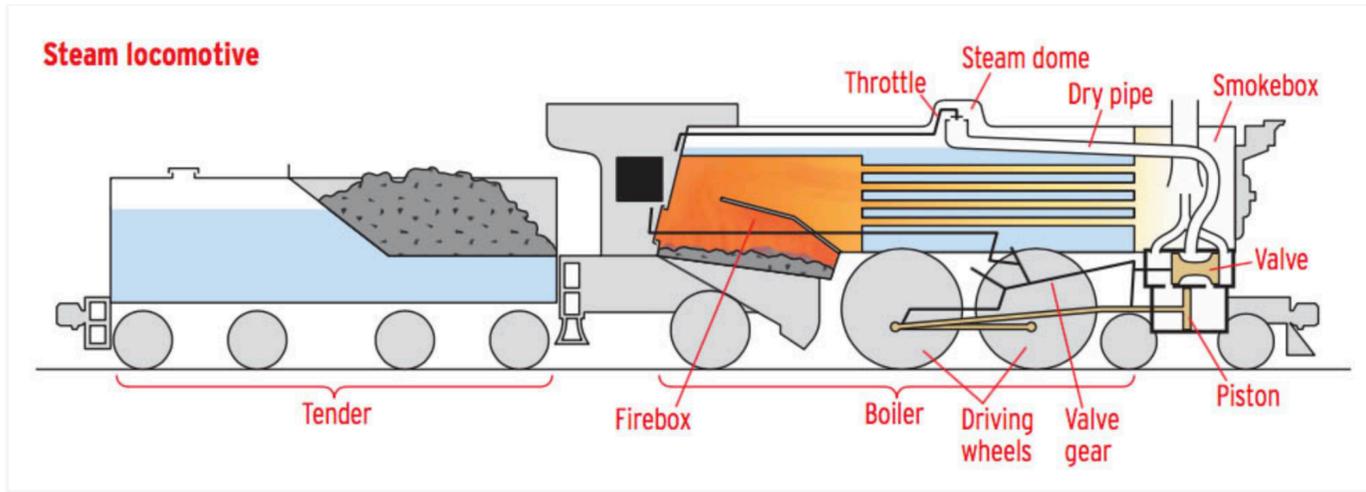
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Goal: produce work with a resource that is easy to have.



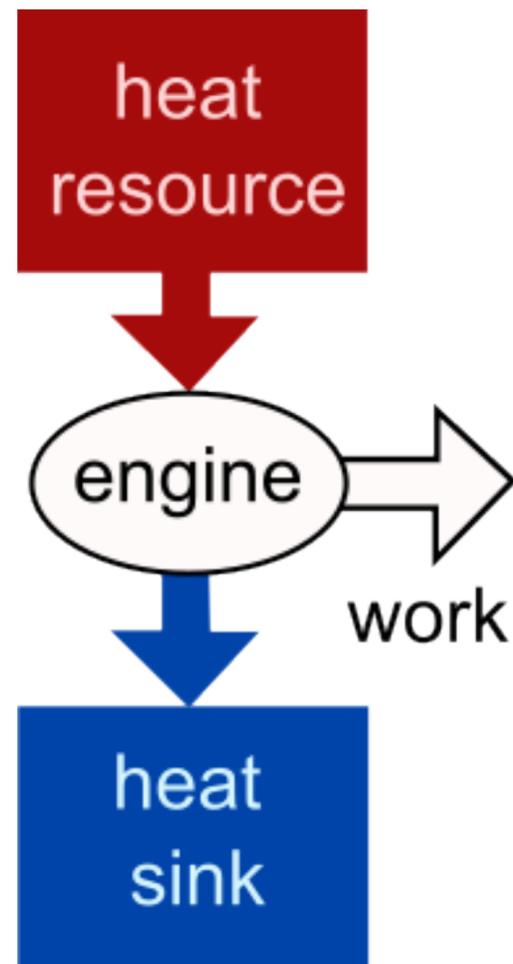
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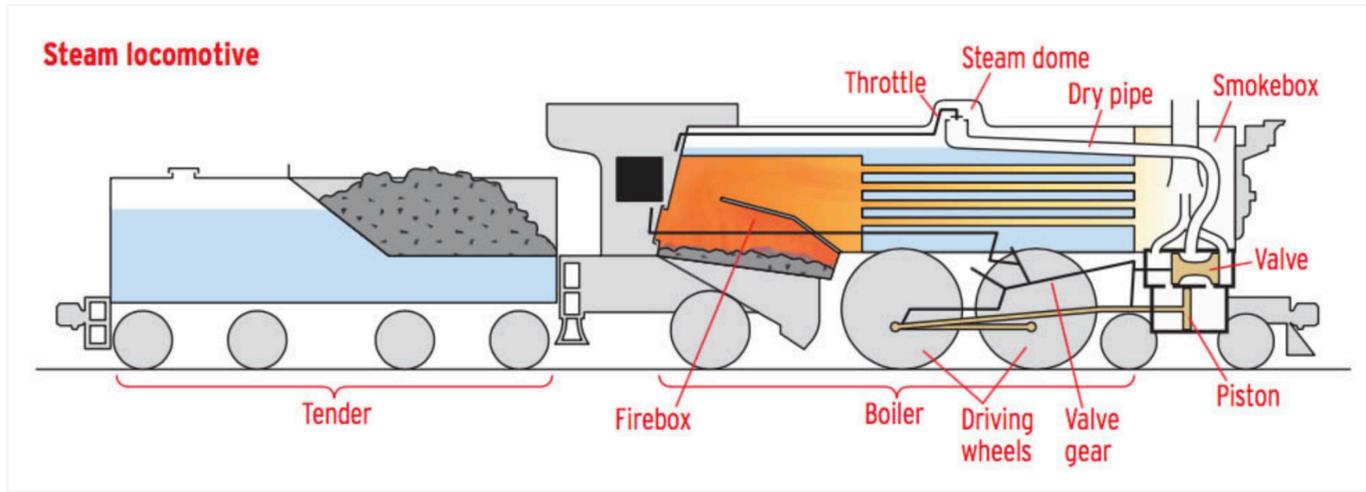
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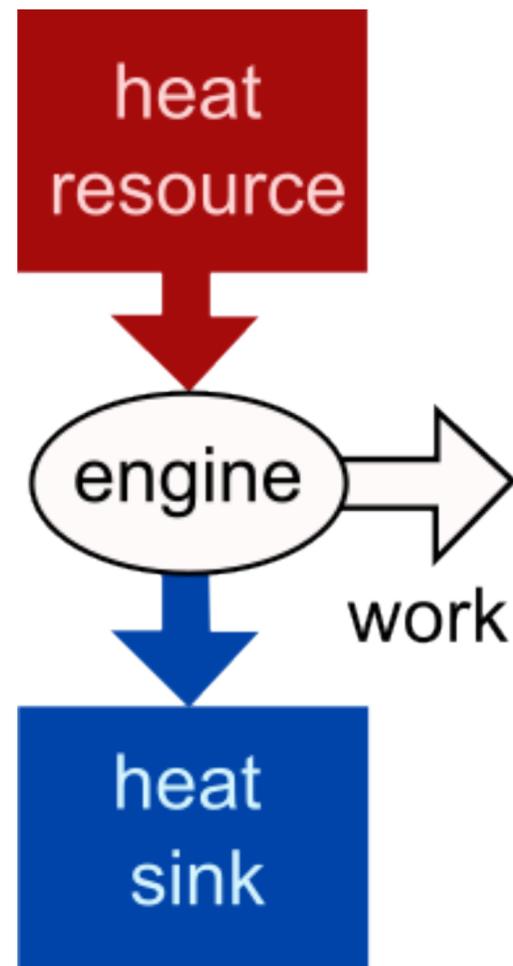


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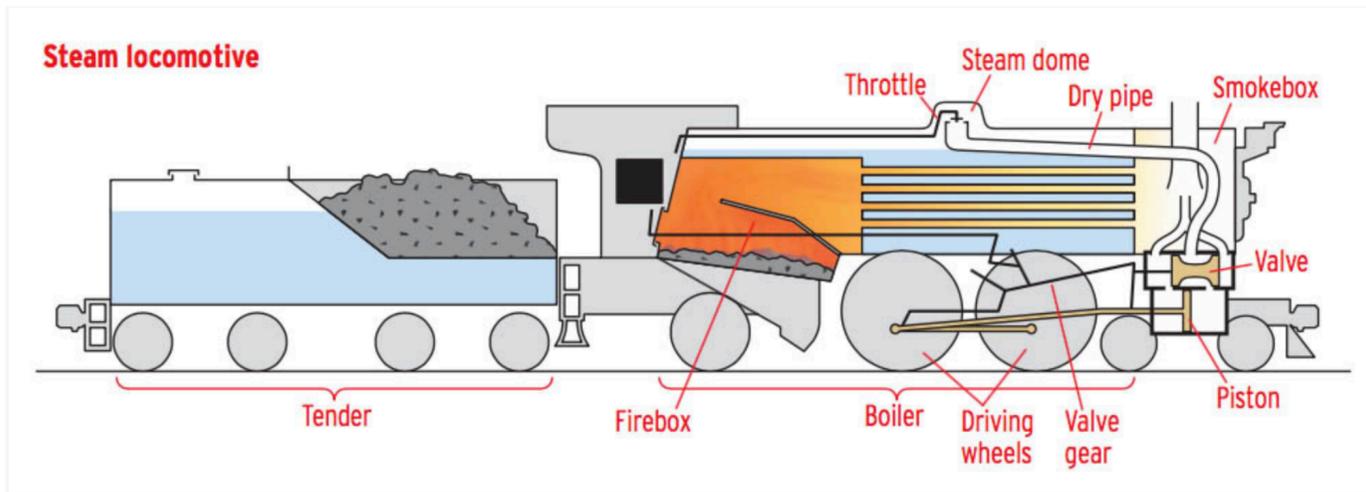
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$$P = \dot{W}$$

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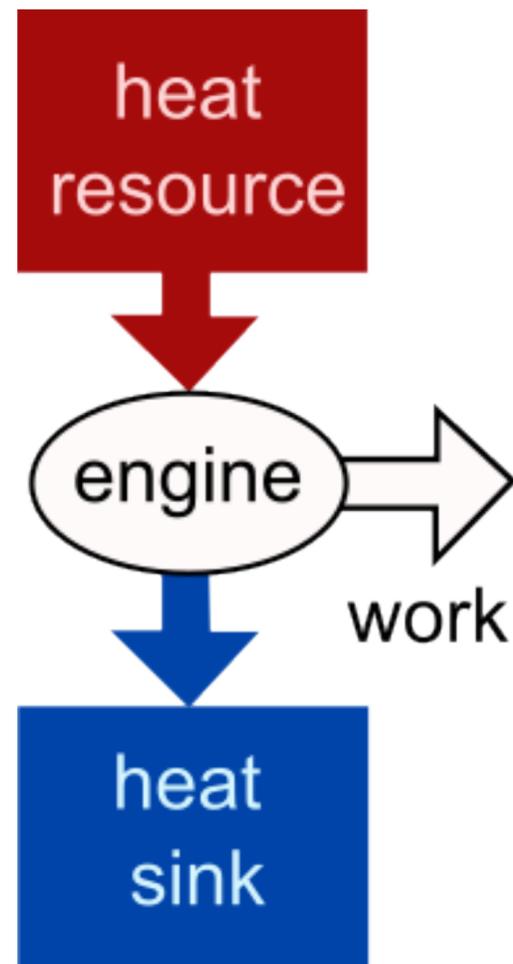
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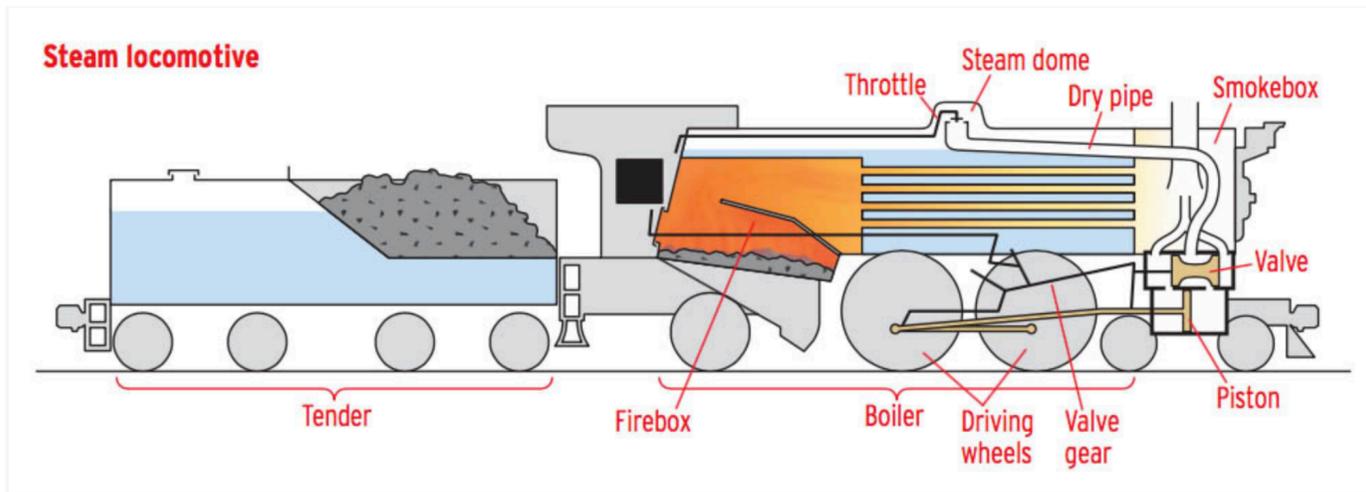
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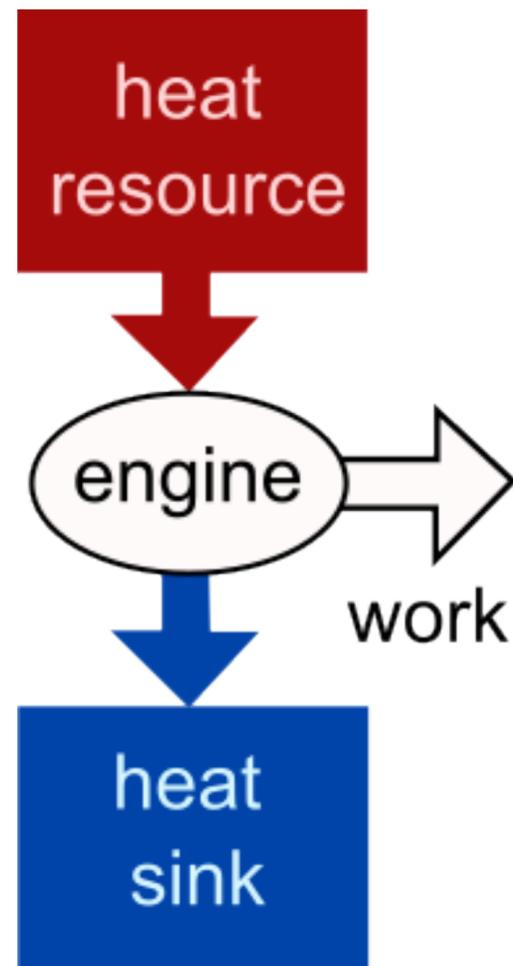
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Limited by **Carnot efficiency**  
(only reached at zero power)



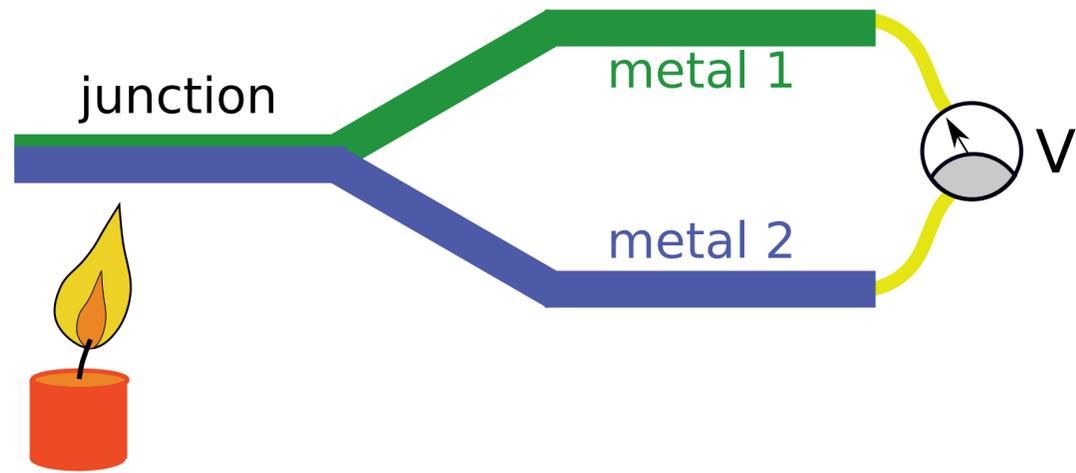
$$J_{\text{heat}}$$

$$P = \dot{W}$$

$$\eta = \frac{P}{J_{\text{heat}}}$$

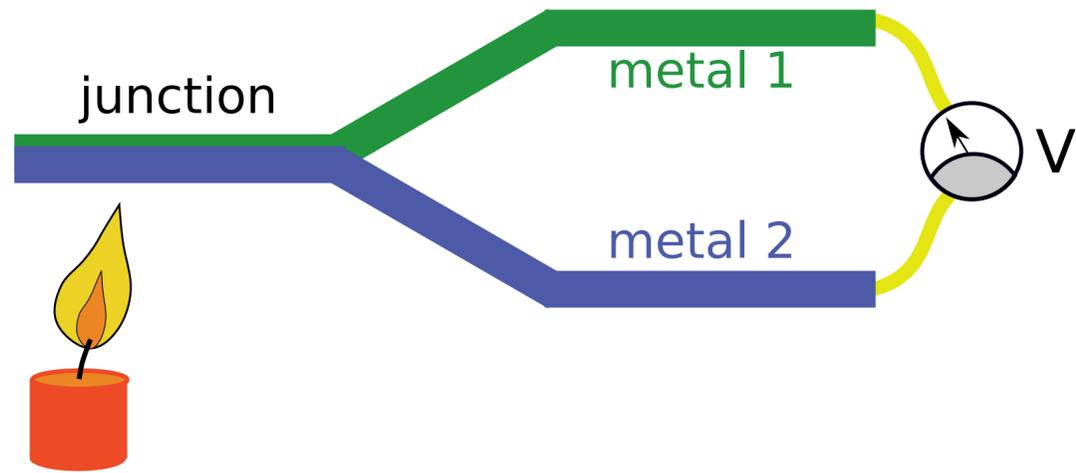
$$\leq 1 - T_c/T_h$$

# Steady-state (thermoelectric) heat engine



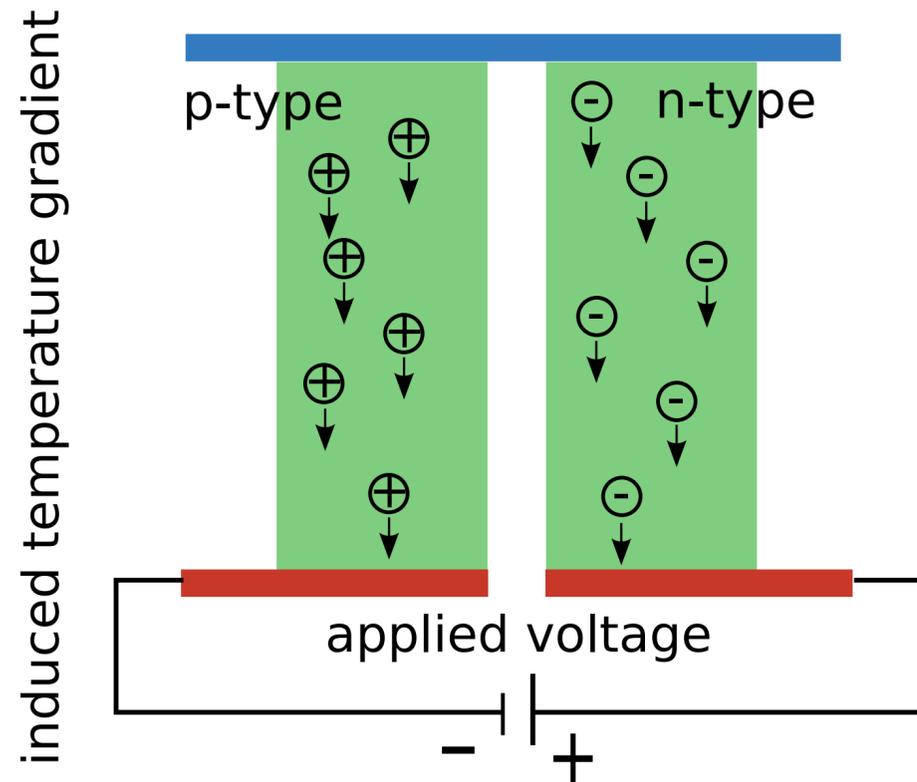
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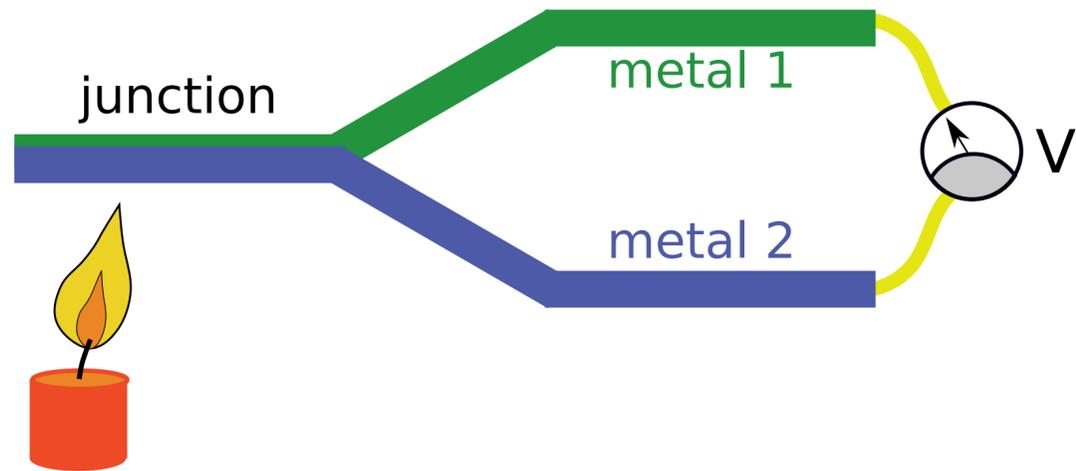


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Exploits energy-filtering (e.g. different transport for electrons and holes)



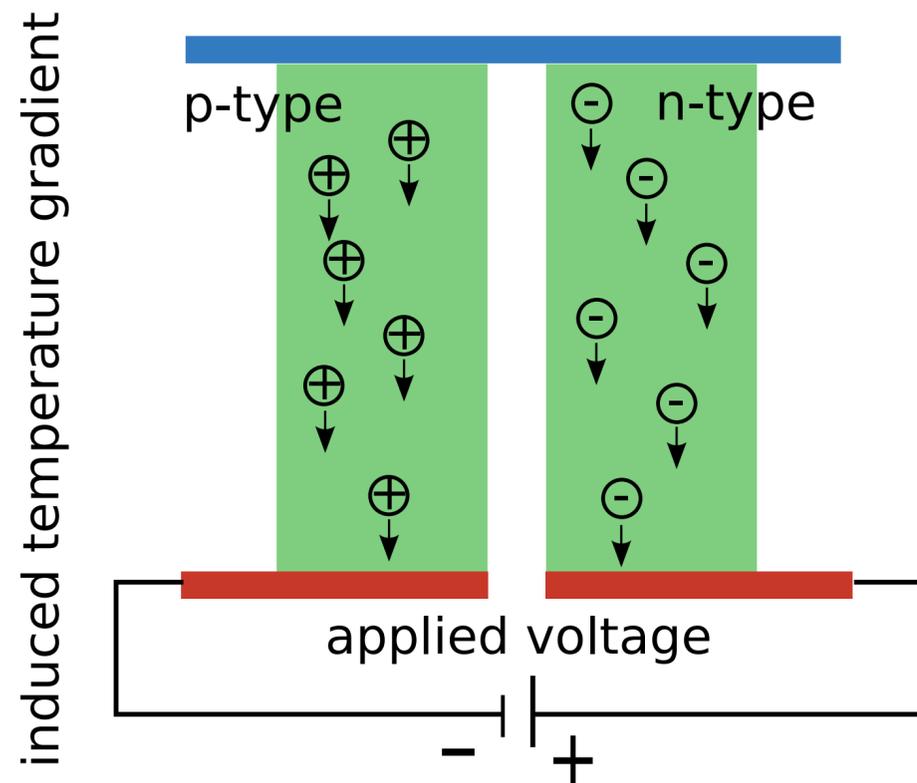
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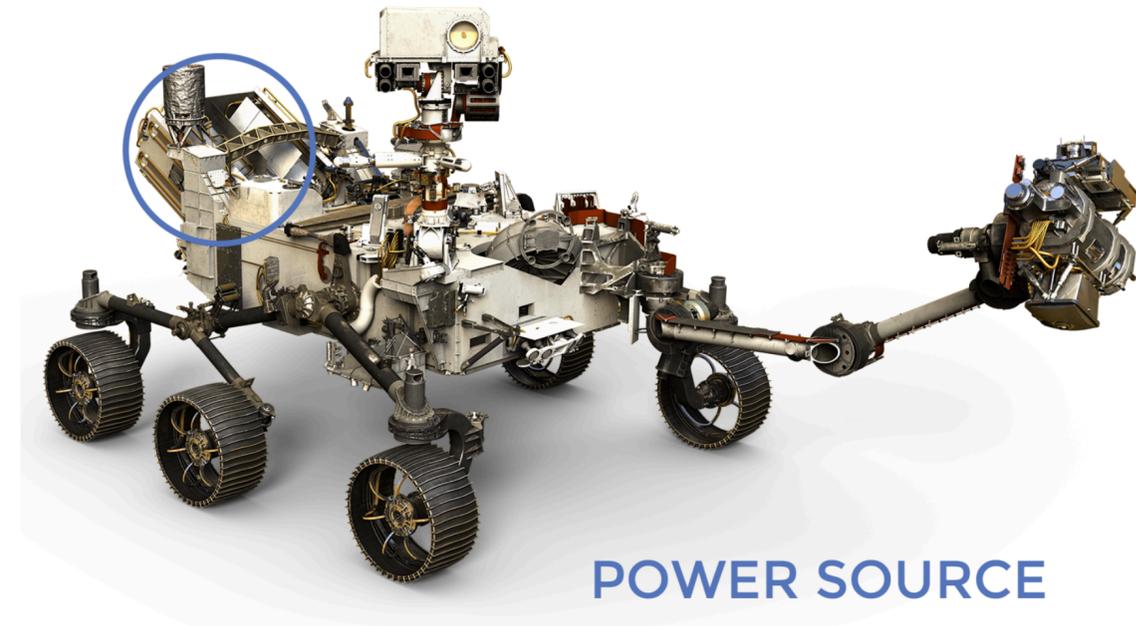
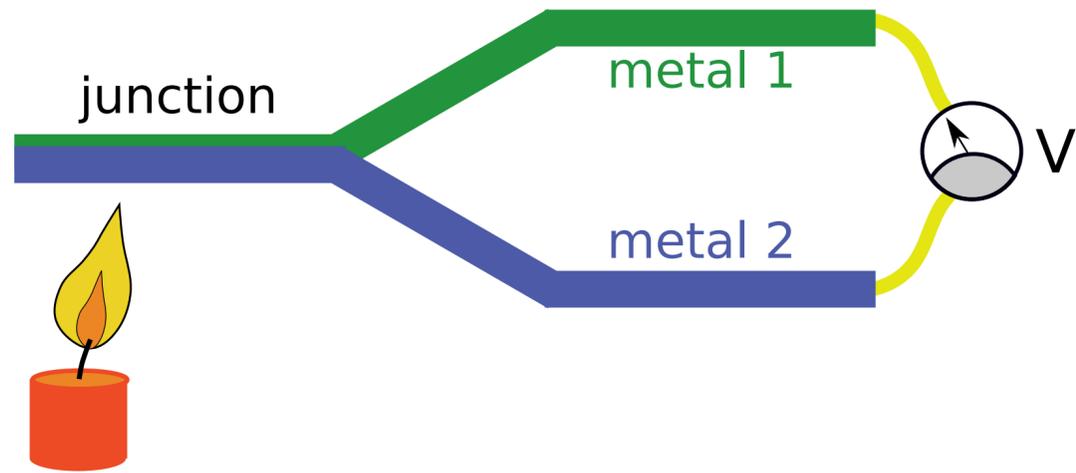
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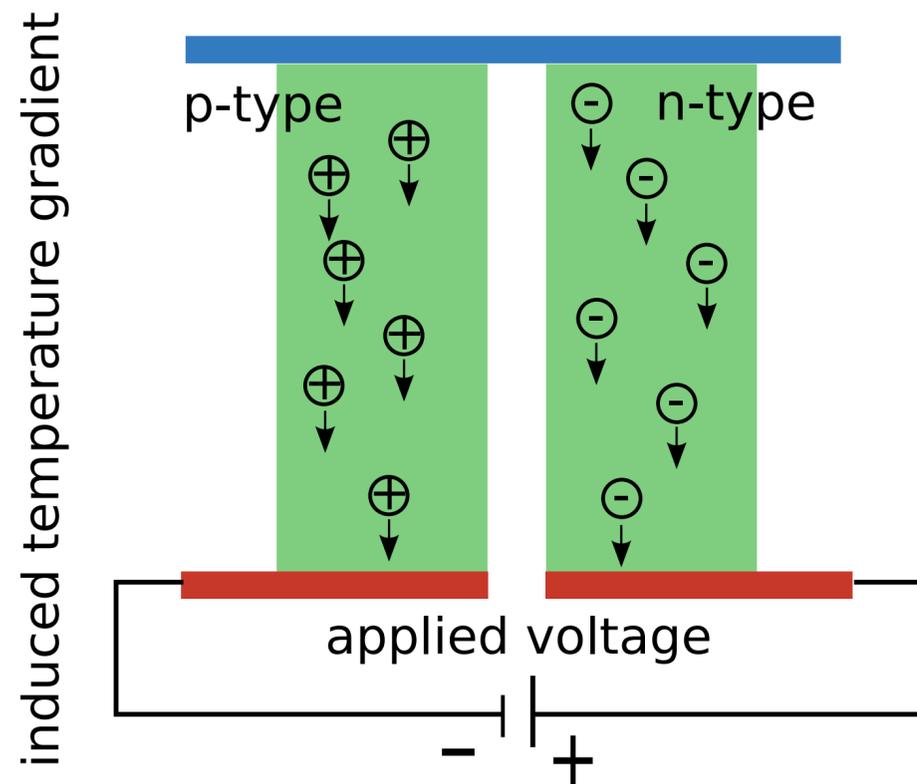
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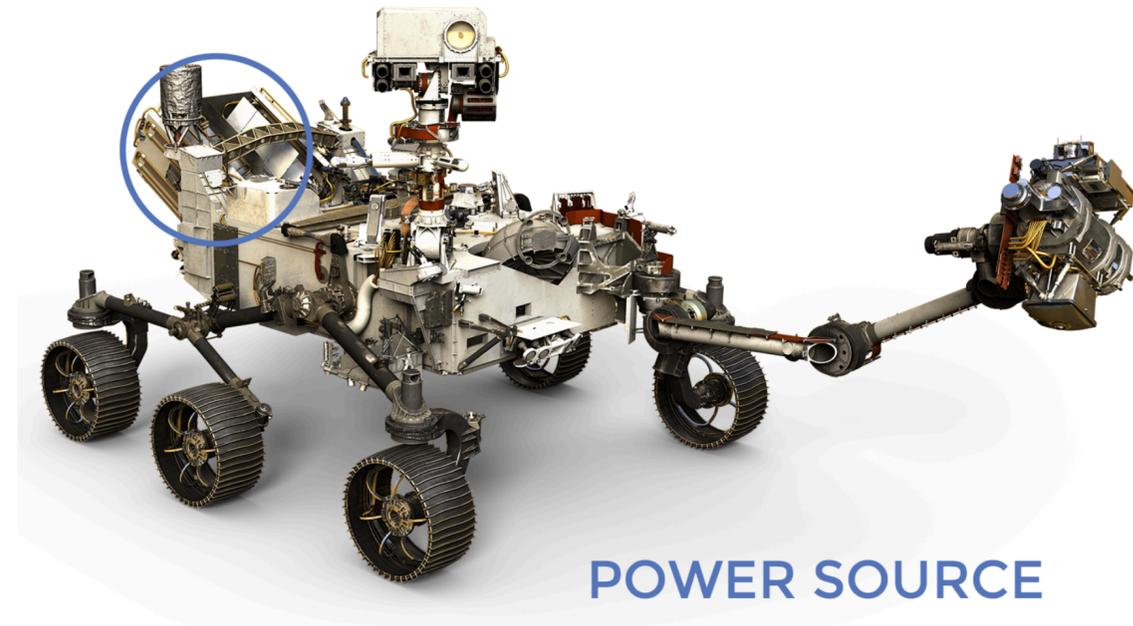
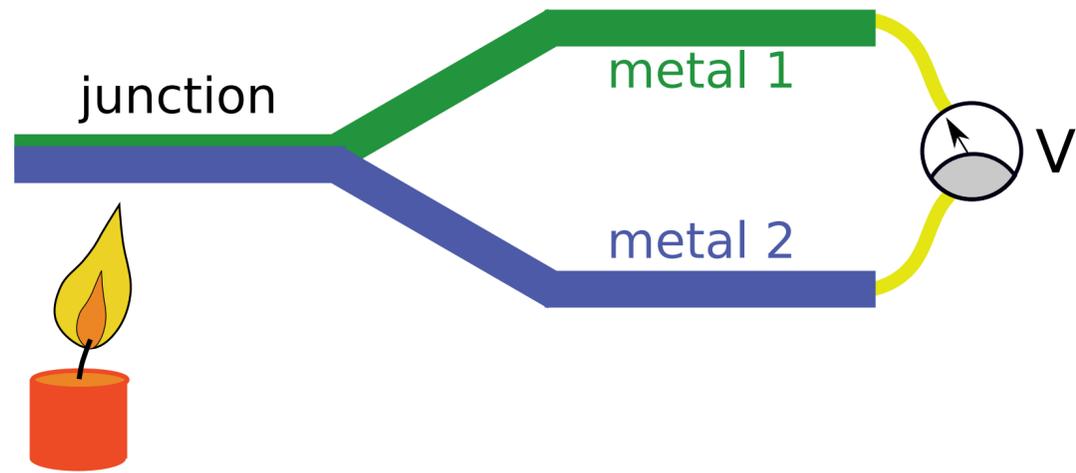
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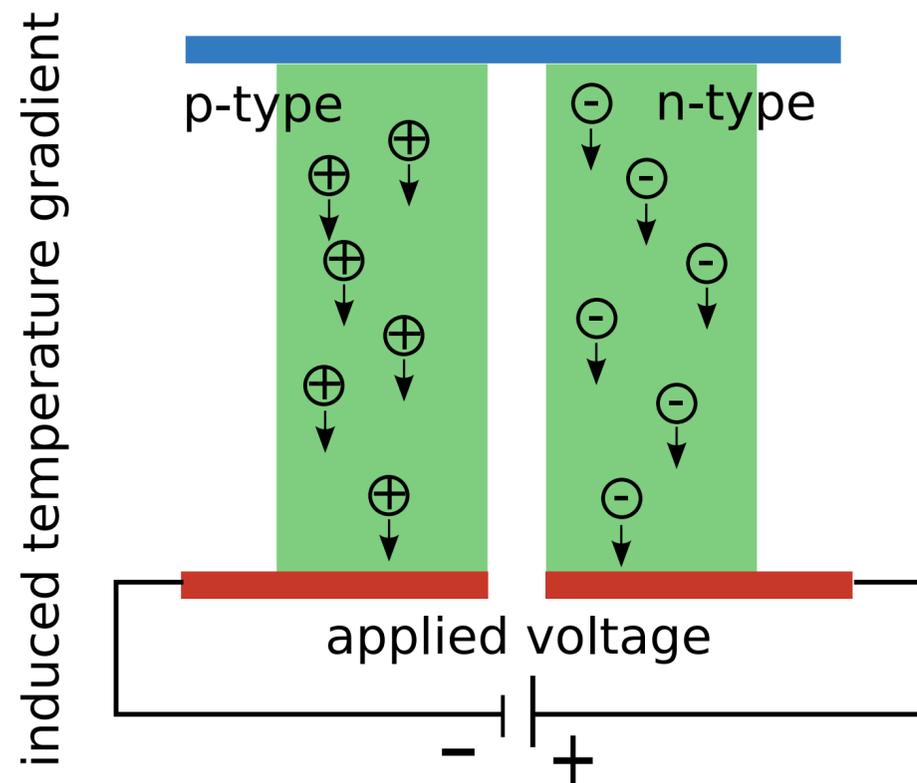
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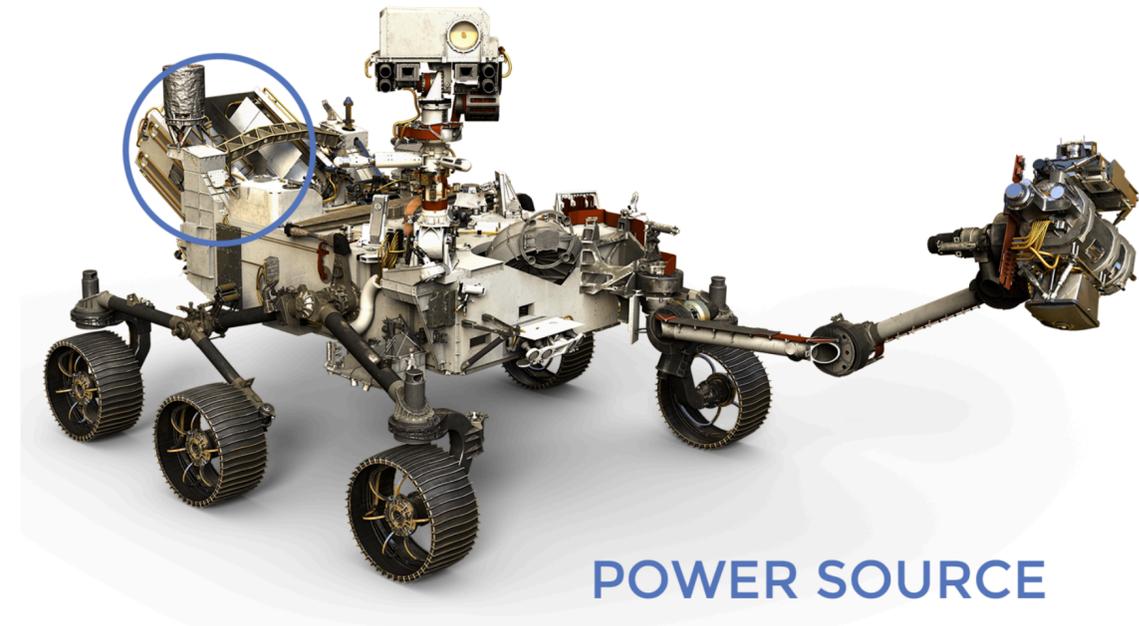
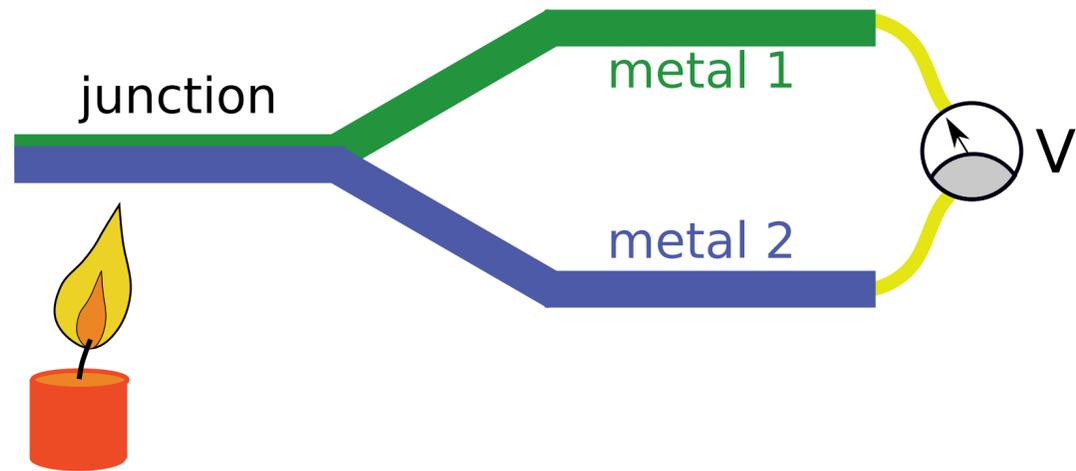
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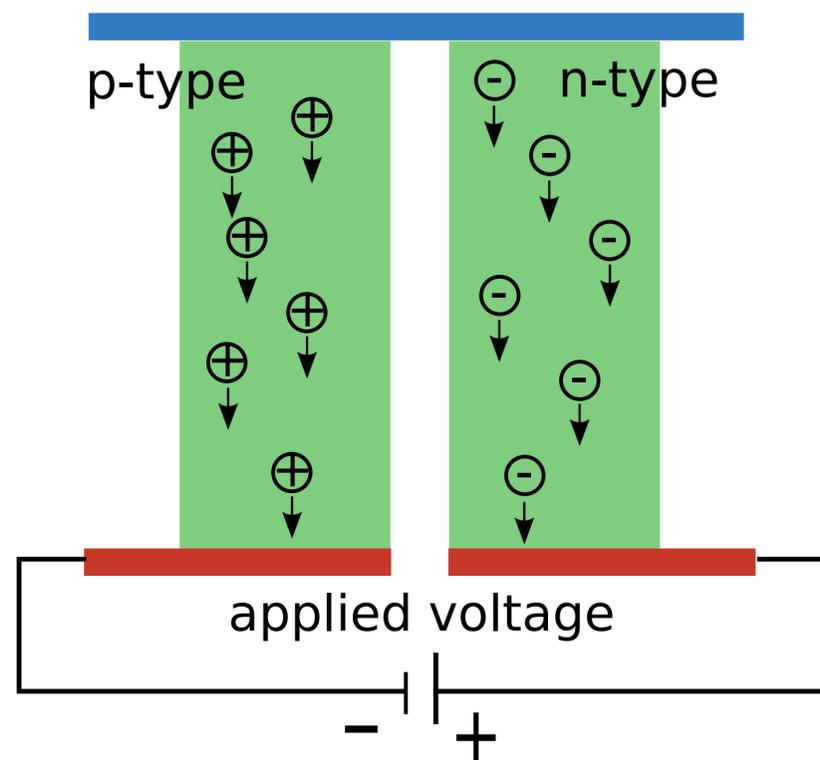
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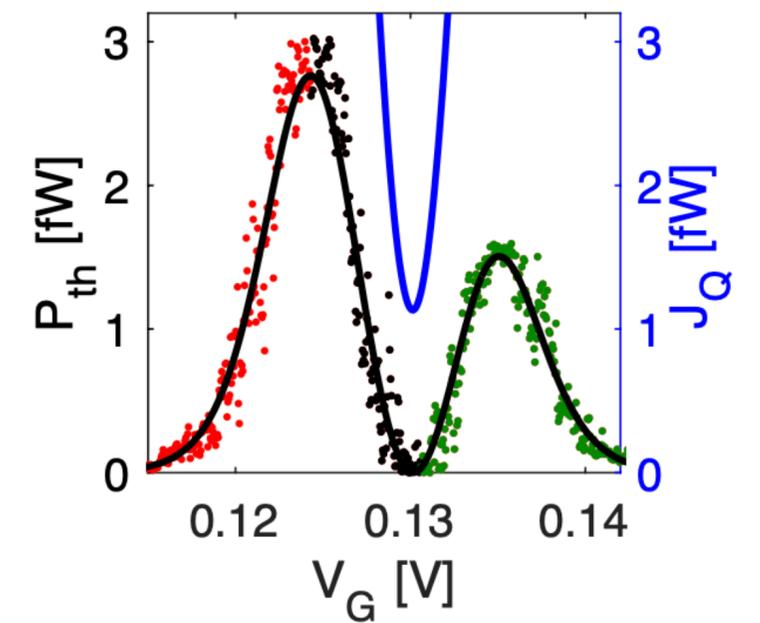
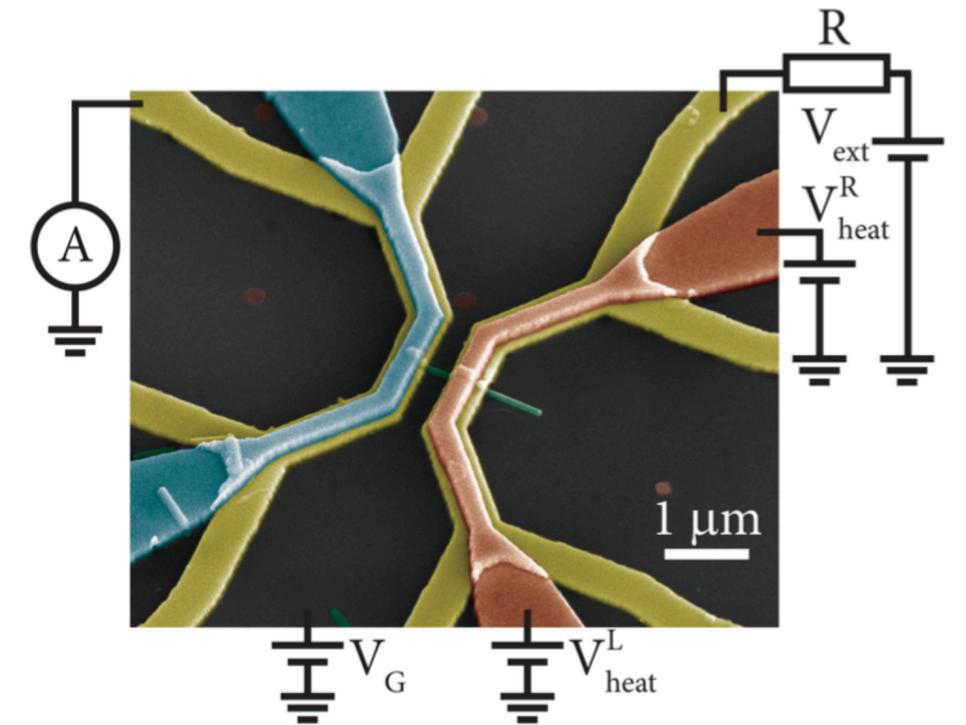
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induced temperature gradient



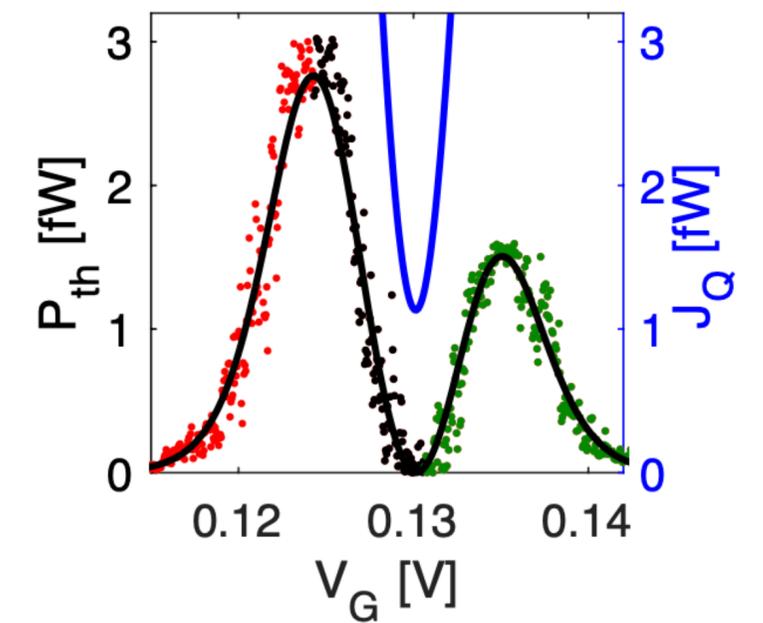
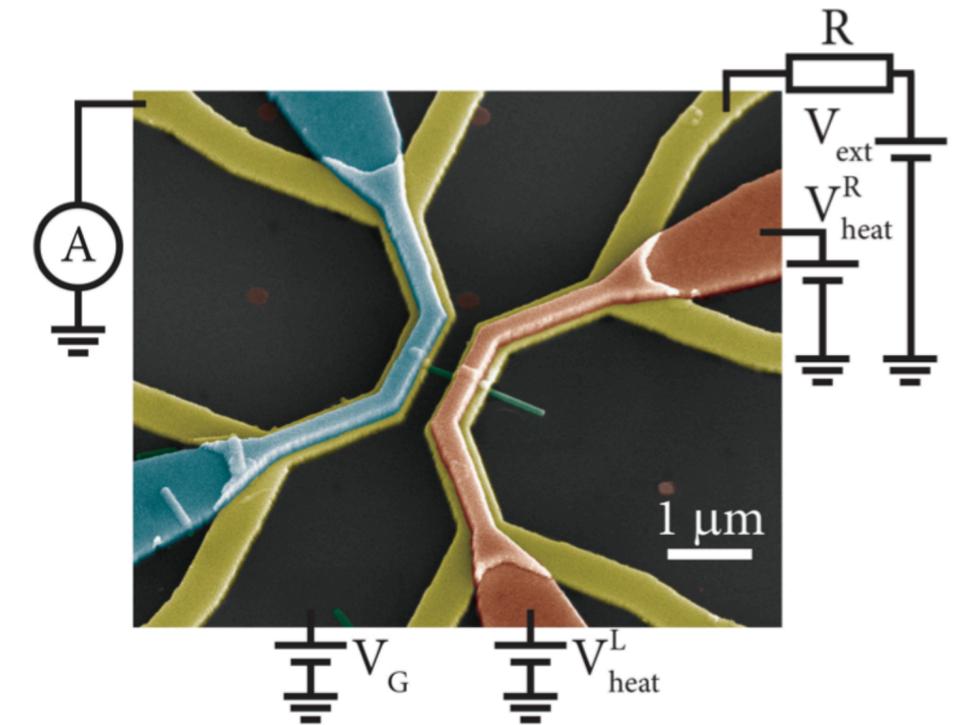
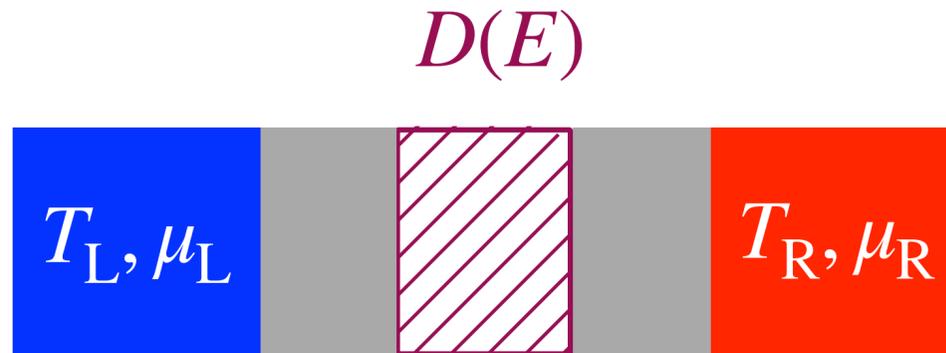
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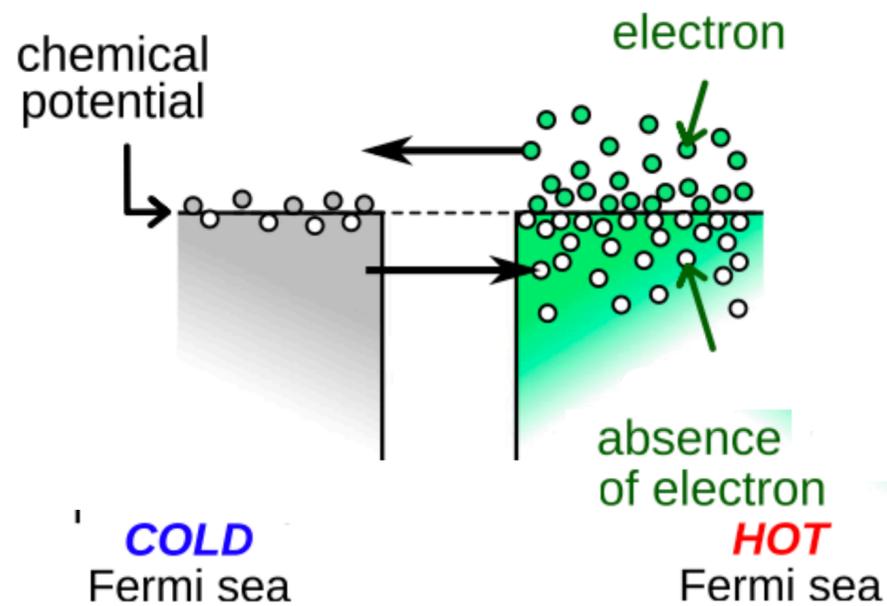
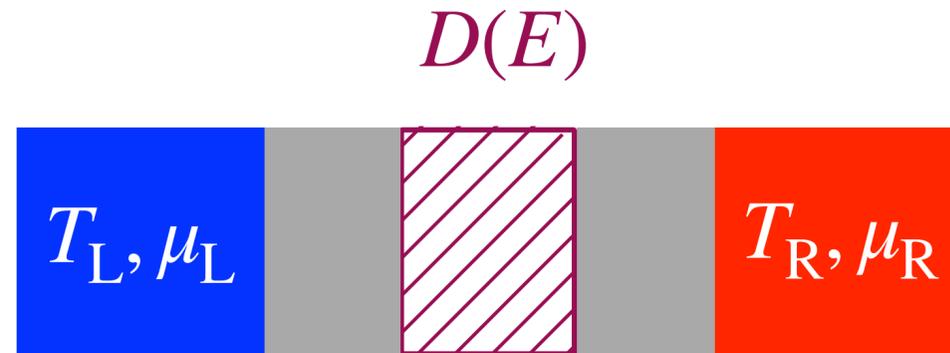
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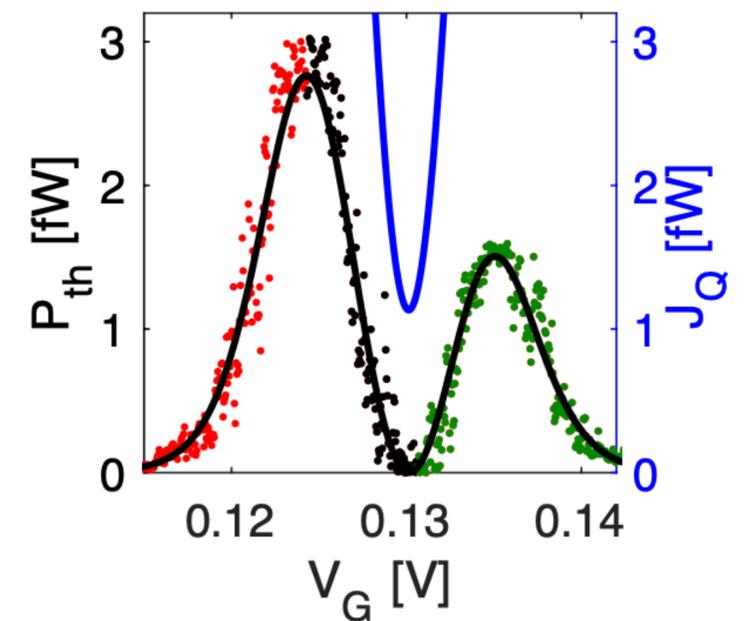
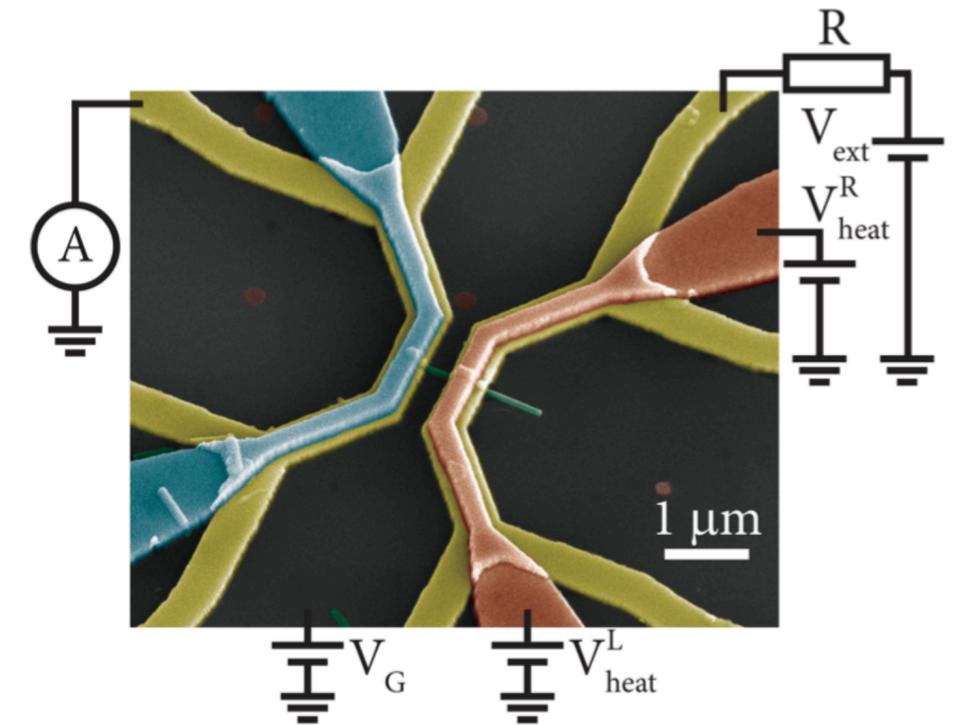
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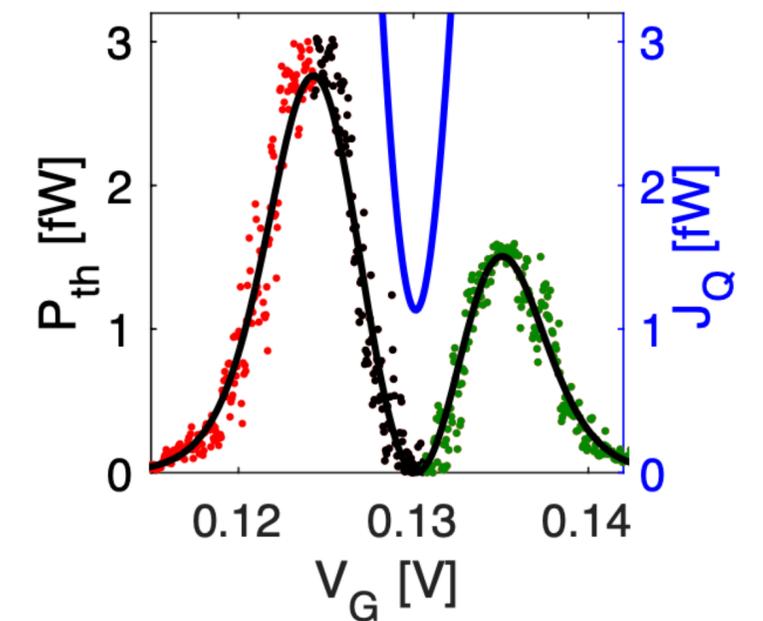
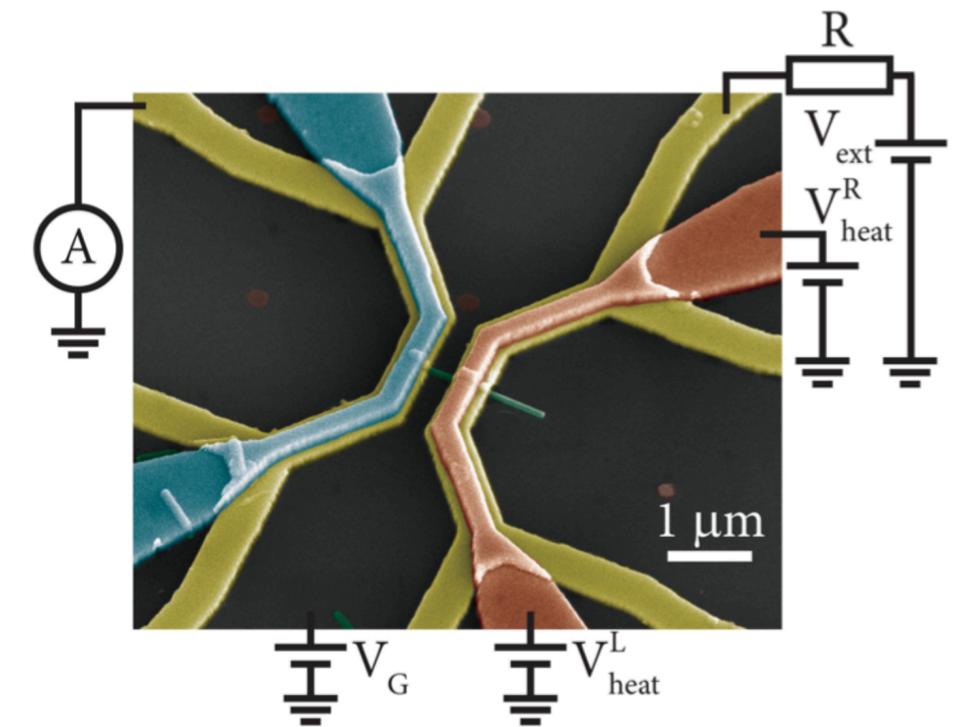
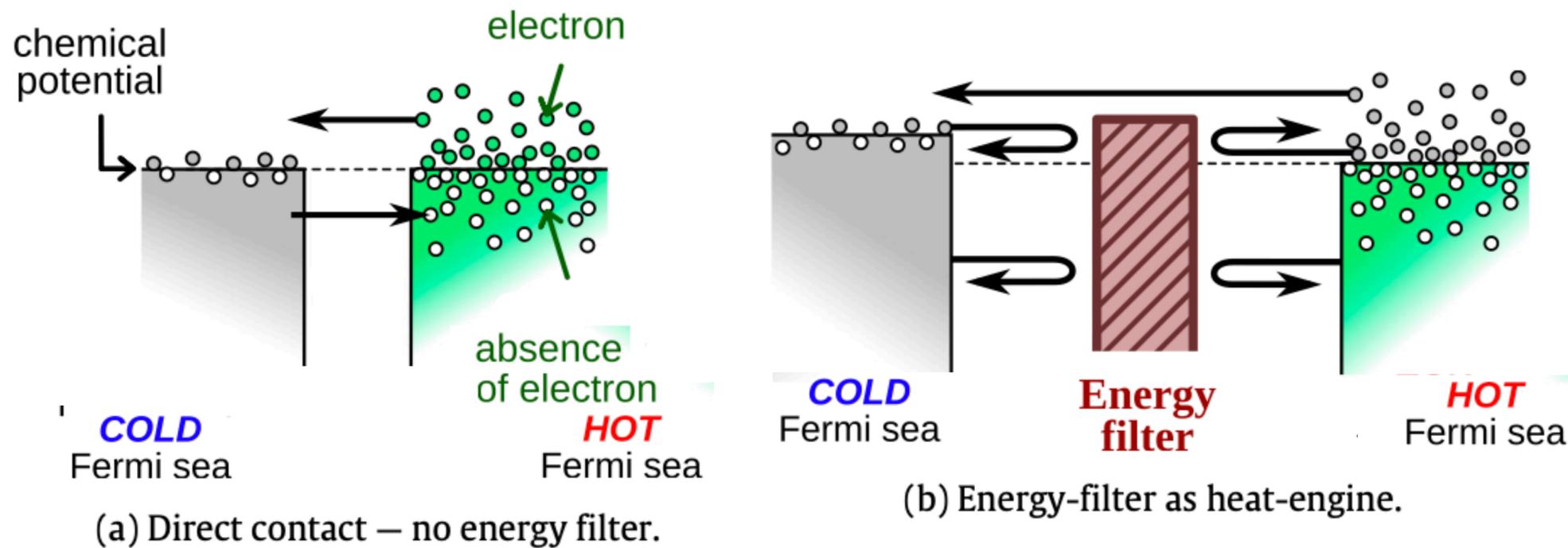
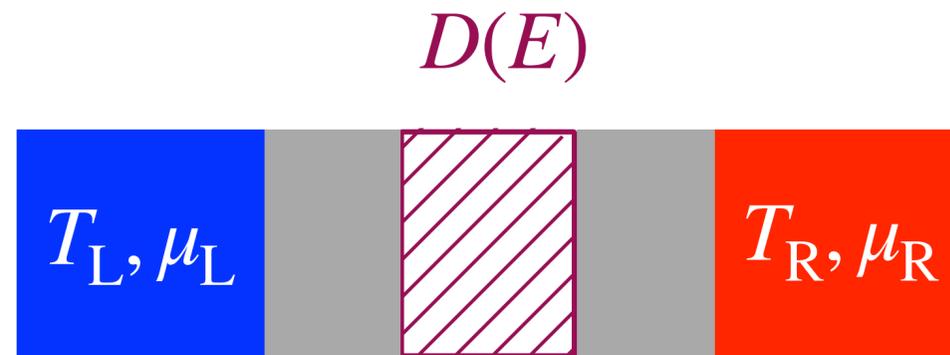
(a) Direct contact – no energy filter.



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## Steady-state heat engines at the nanoscale:

### New opportunities

Refined control over power production at small scales

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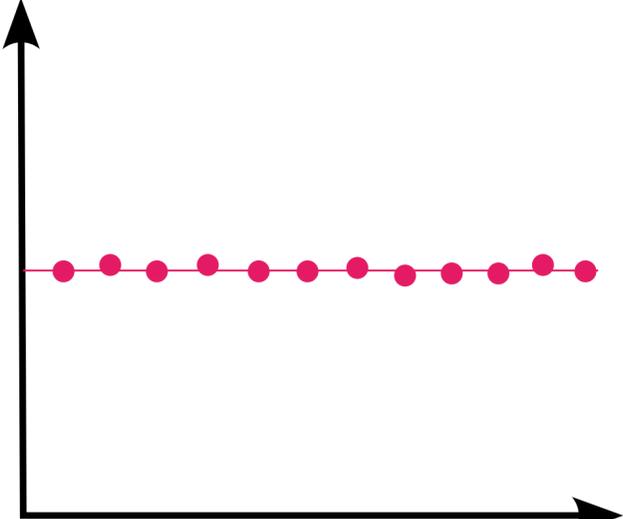
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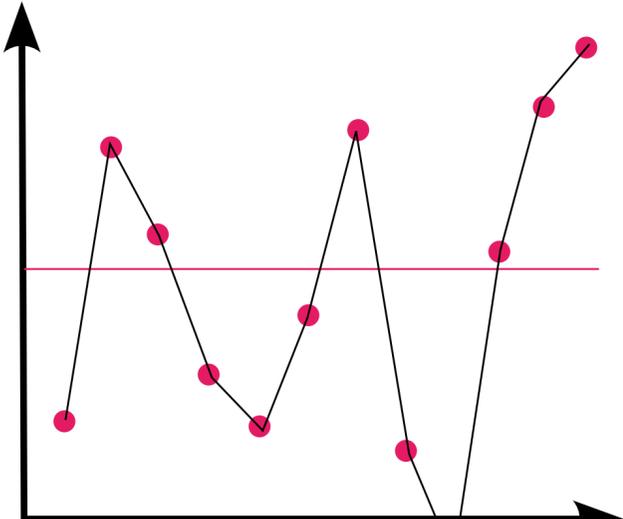
???

**What are the constraints on fluctuations in these nonequilibrium devices?**

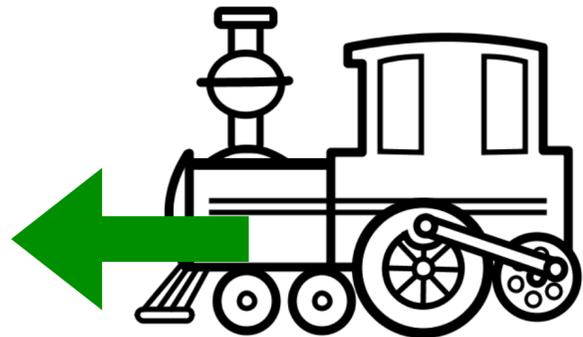
**work**



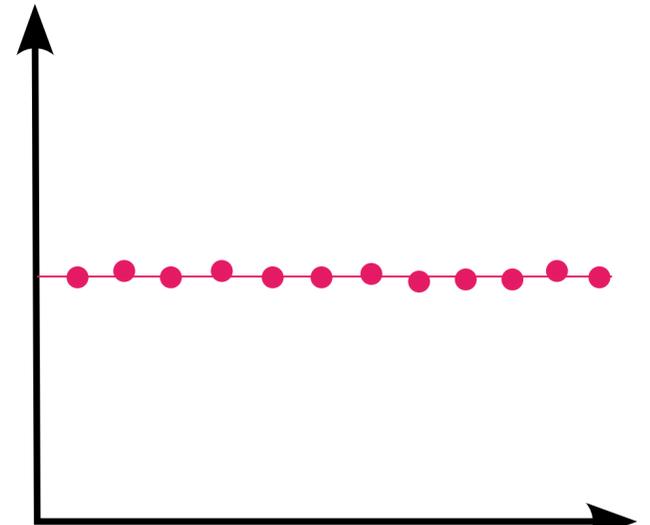
**time**



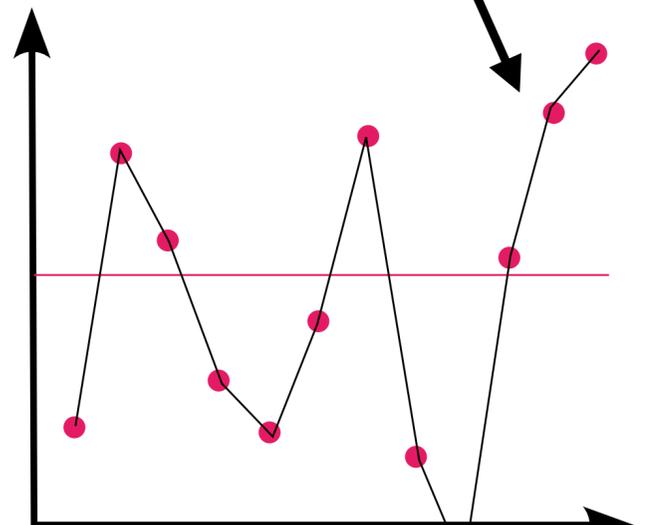
**time**



**work**

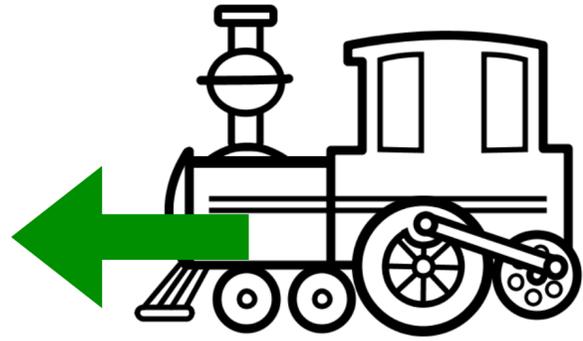


**time**

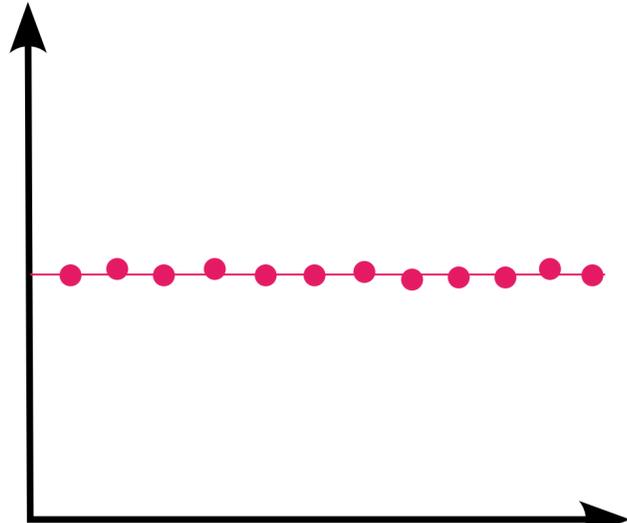


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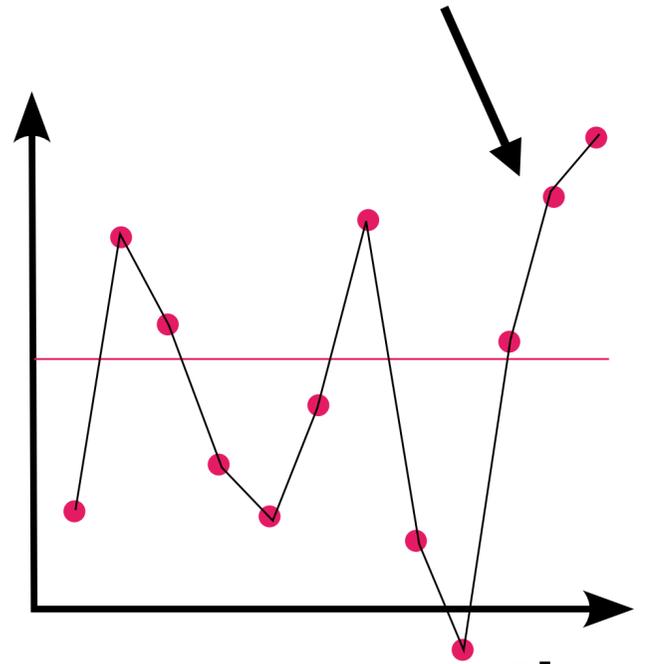




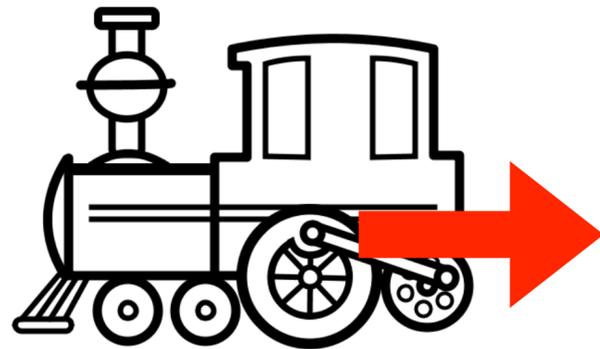
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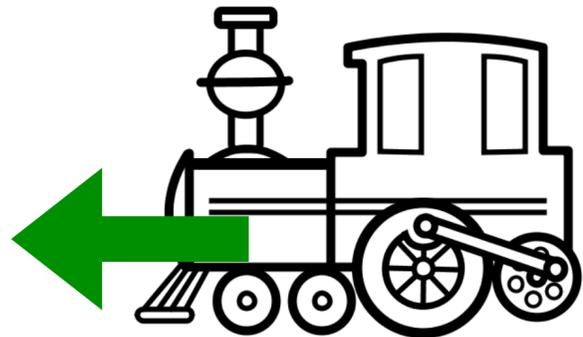


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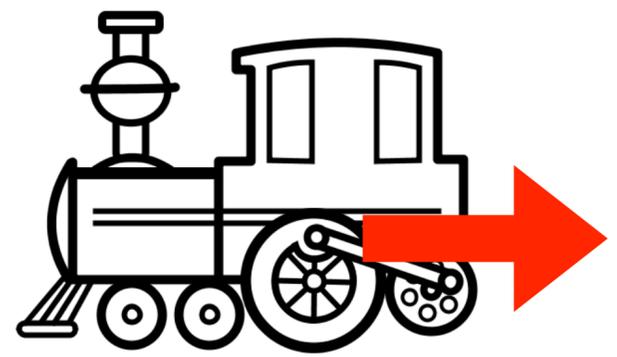
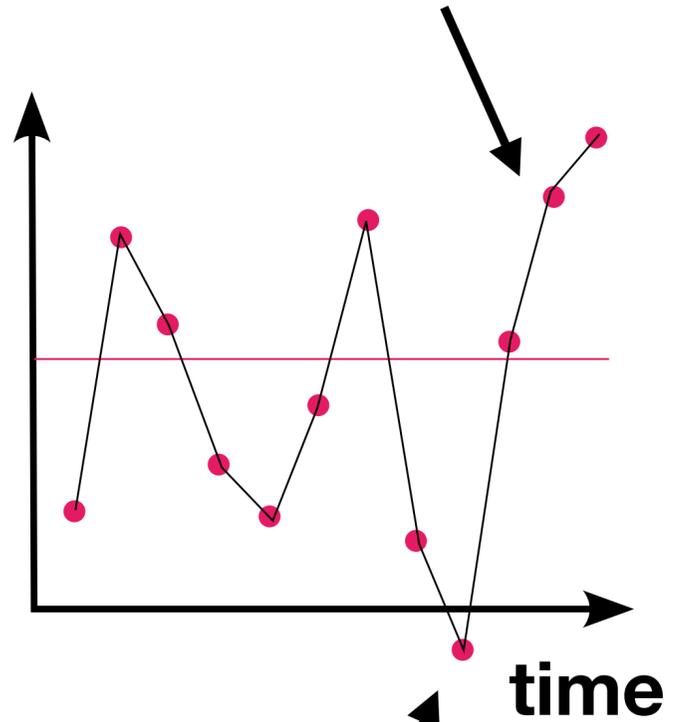
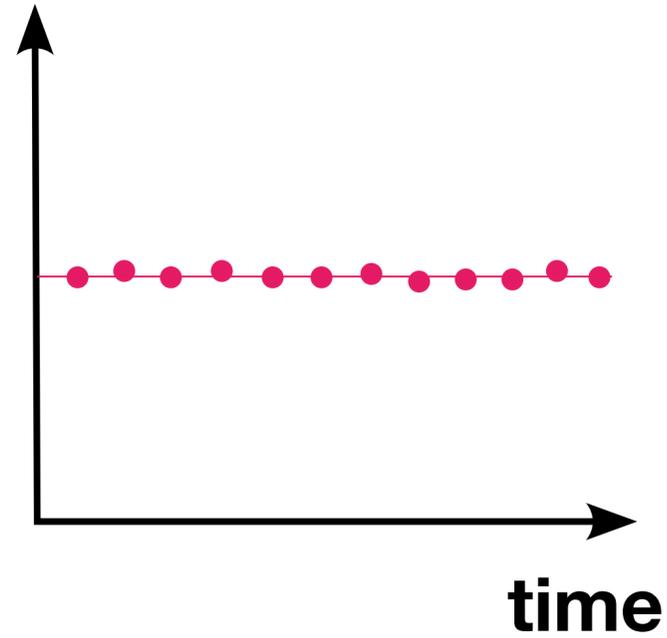


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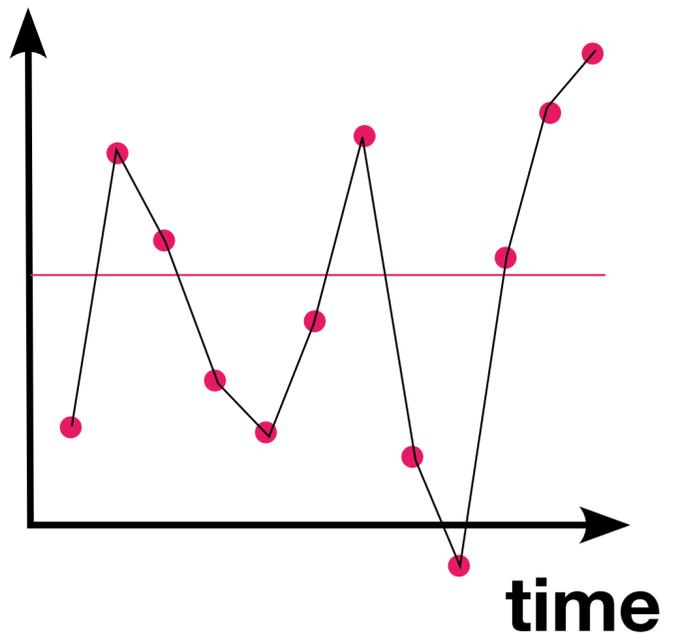
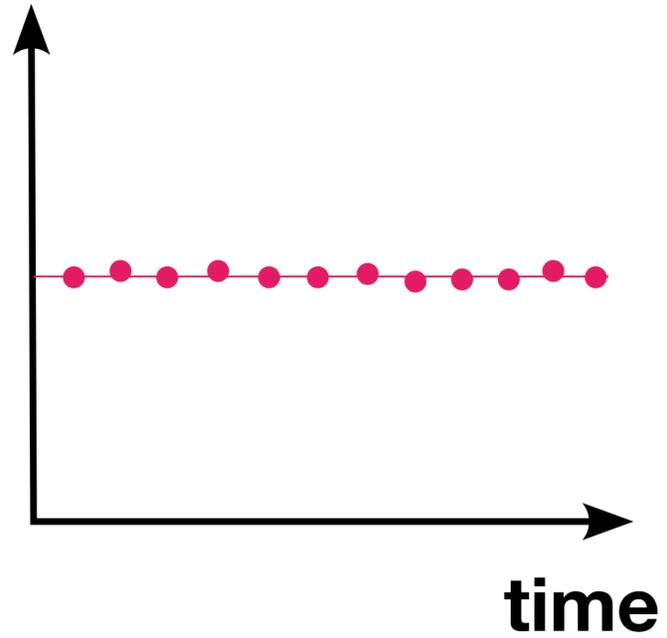


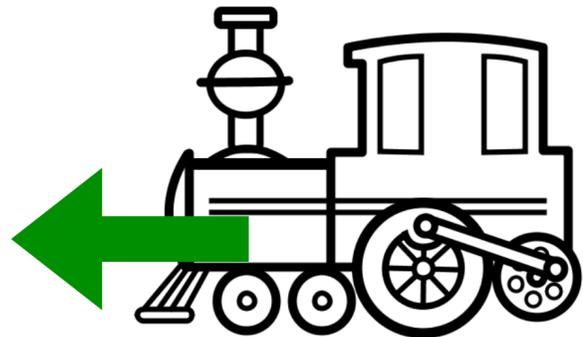


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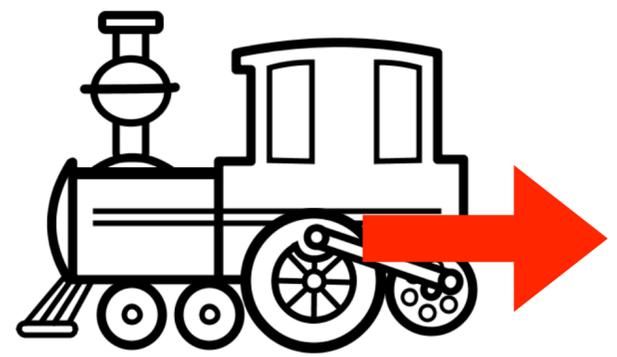
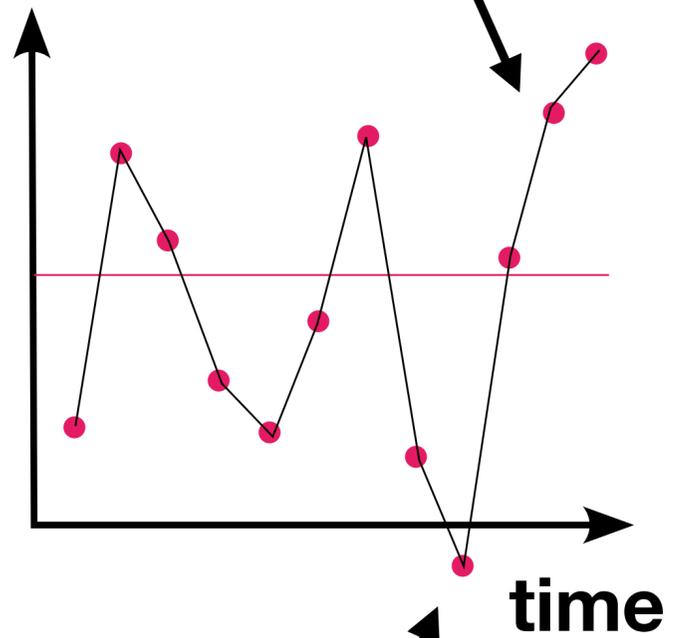
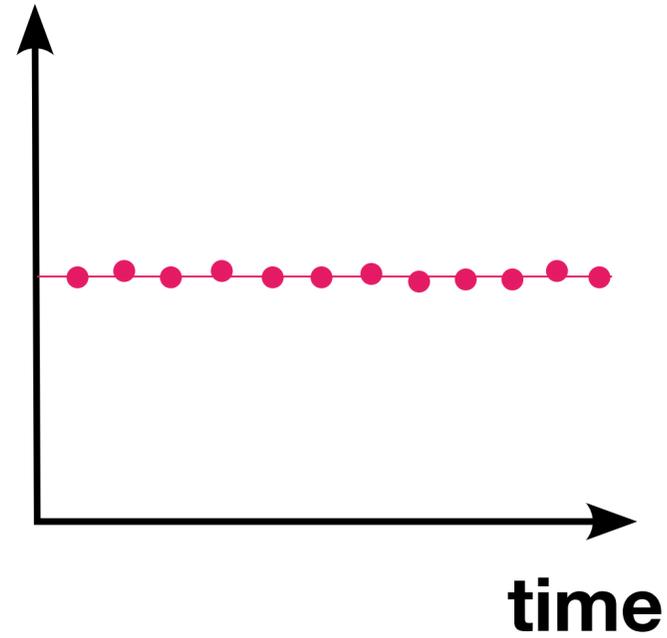


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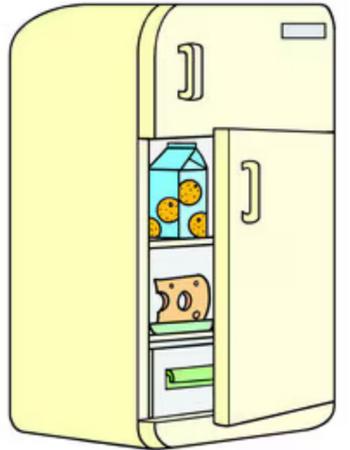
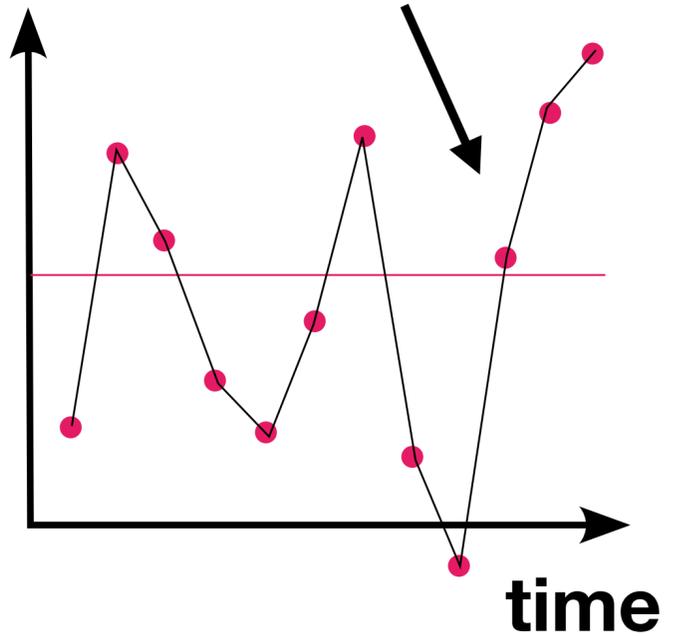
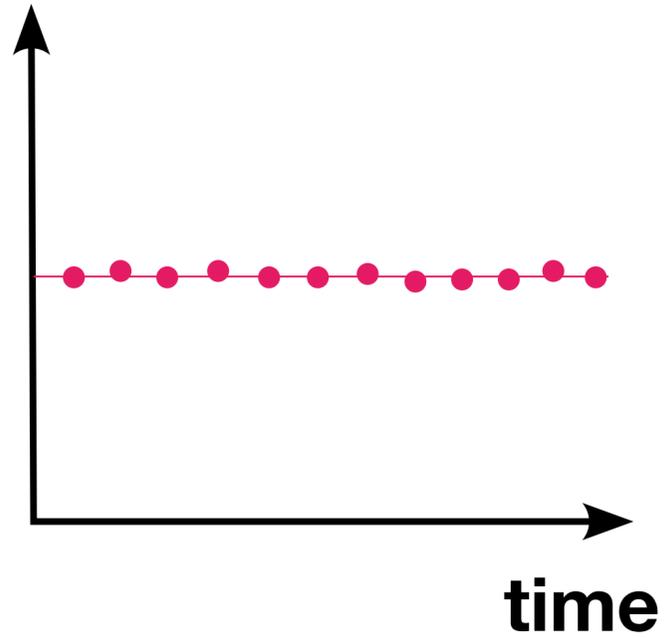


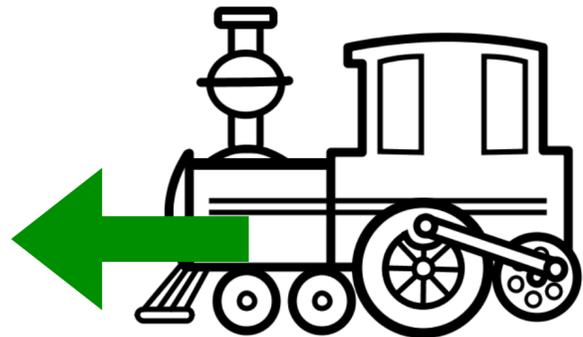


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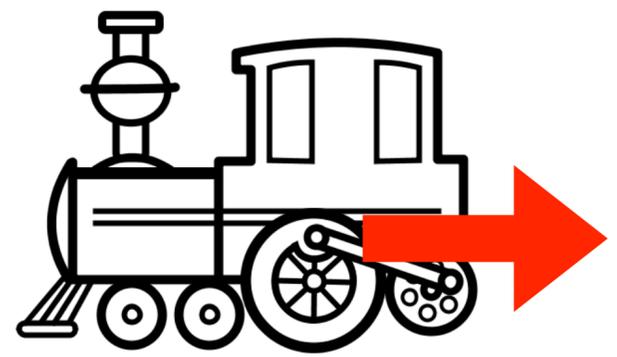
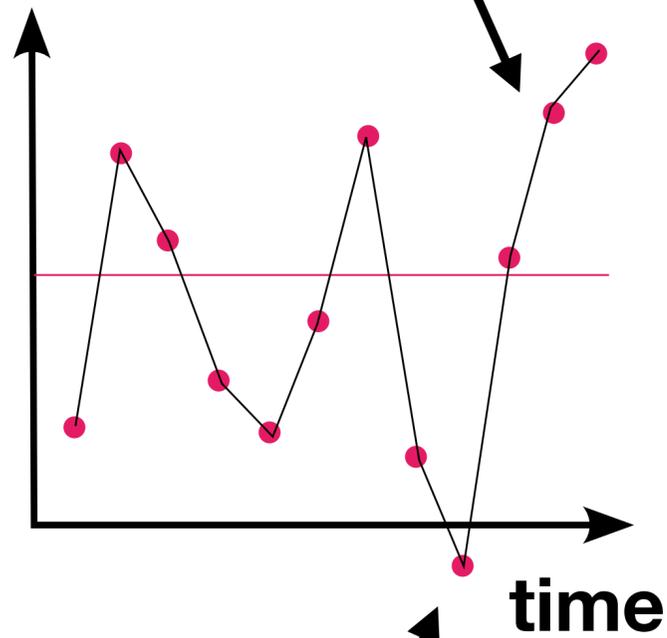
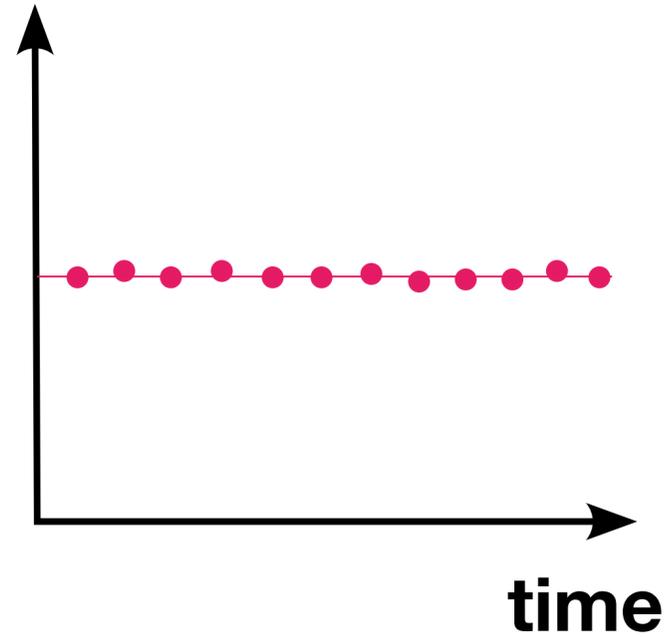


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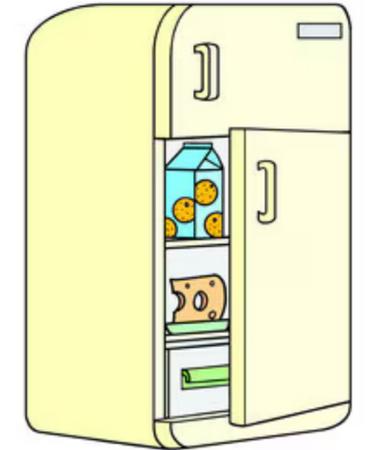
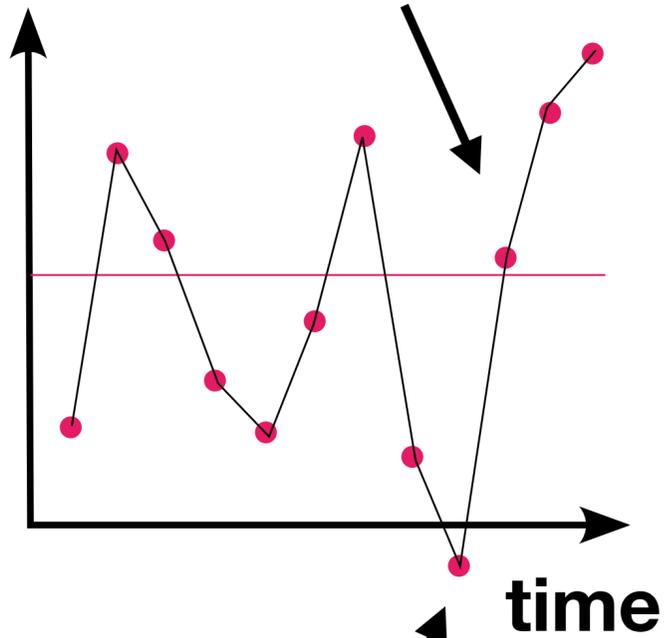
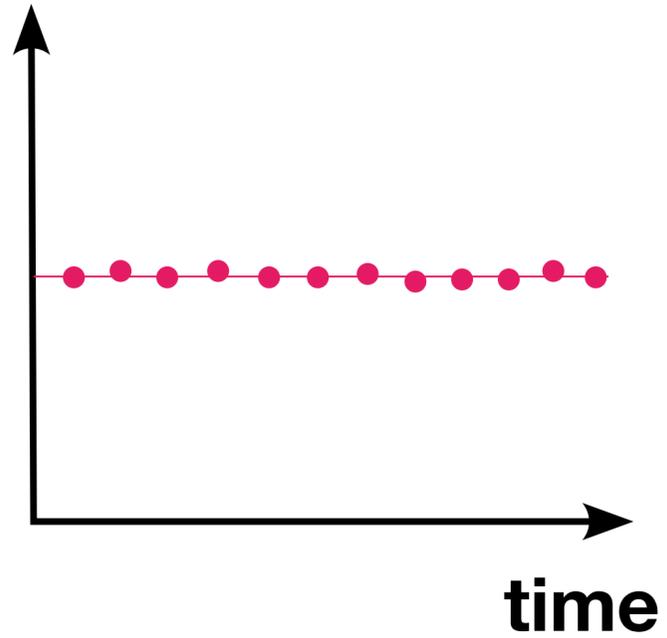




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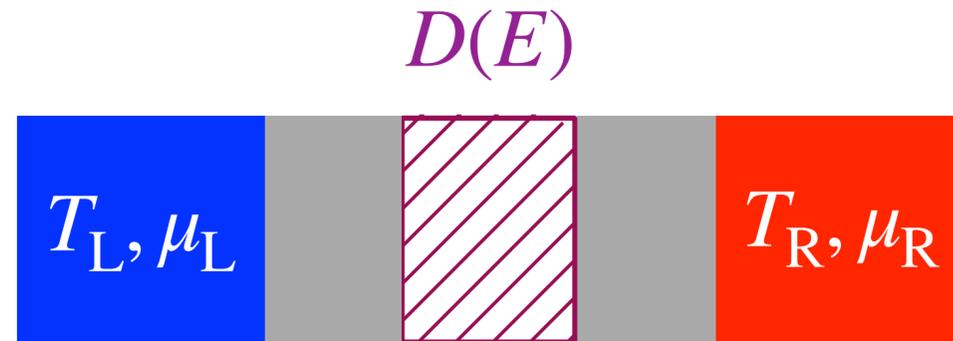


**Fluctuations in mesoscopic conductors...**

...operating as engines

# Charge currents in (thermoelectric) conductors

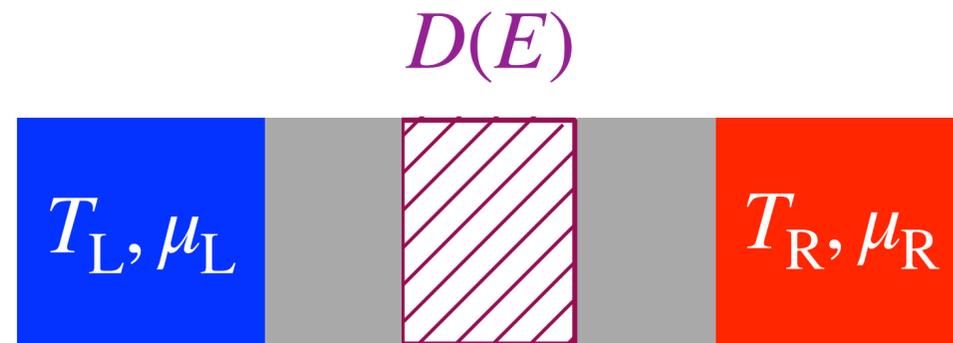
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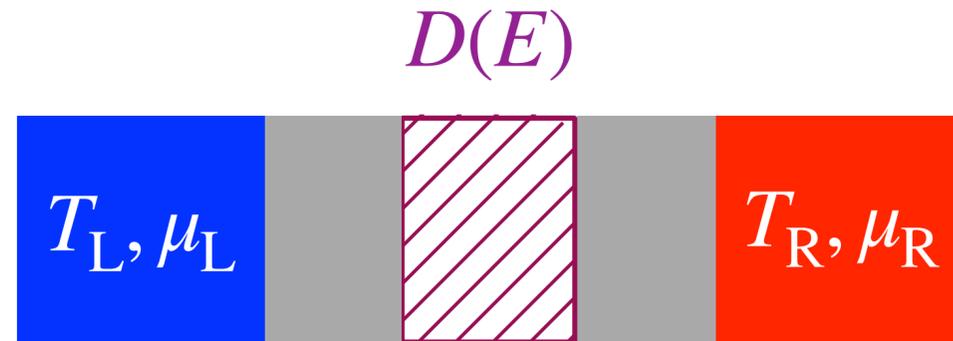
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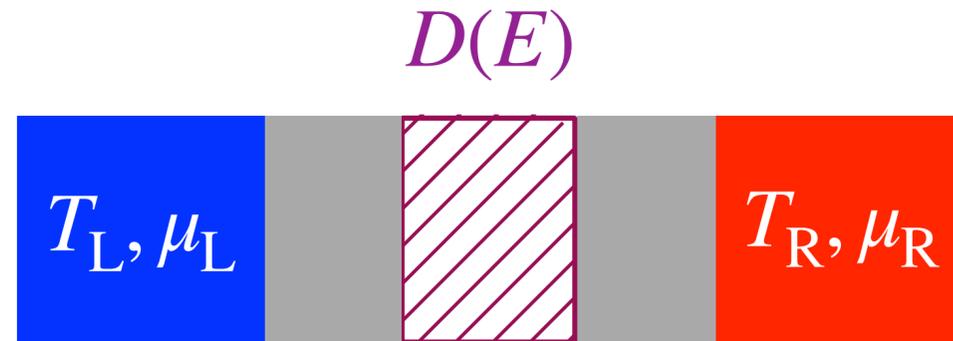
Fluctuation-dissipation theorem

$$S^I = -2ek_B T \left. \frac{\partial I}{\partial \Delta\mu} \right|_{\Delta\mu \equiv 0}$$

Ya. M. Blanter, M. Büttiker: Phys. Rep. **336**, 1 (2000).

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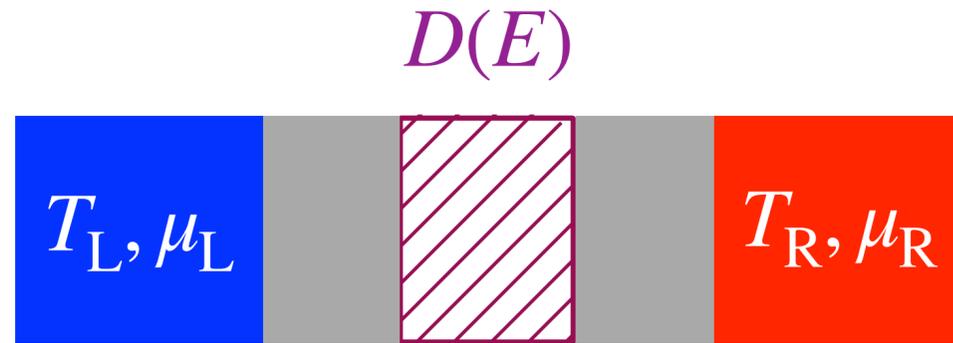
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**Extension to nonequilibrium?**

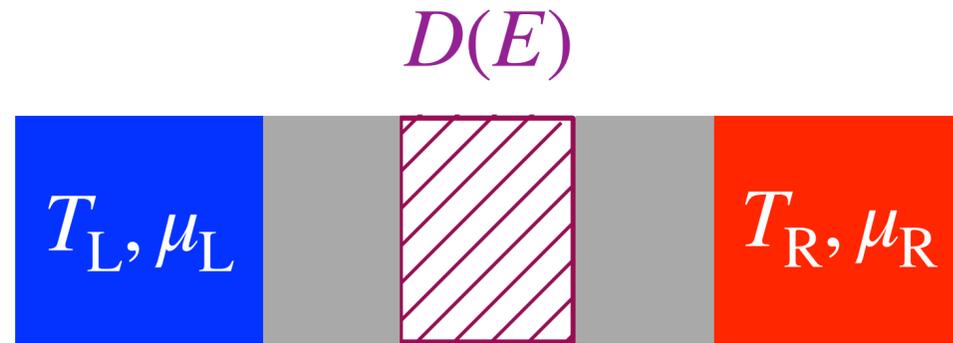
M. Esposito, U. Harbola, S. Mukamel: Rev. Mod. Phys. **81**, 1665 (2009).

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## Nonequilibrium FDT

Extension to potential bias

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L. S. Levitov, M. Reznikov: Phys. Rev. B **70**, 115305 (2004).

I. Safi: Phys. Rev. B **102**, 041113 (2020).

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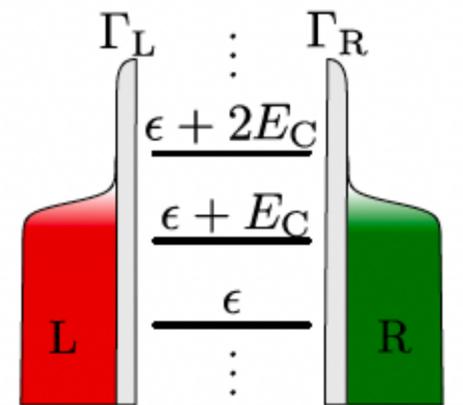
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With  $\Gamma_L, \Gamma_R, \epsilon, E_C$   
slowly time-dependent

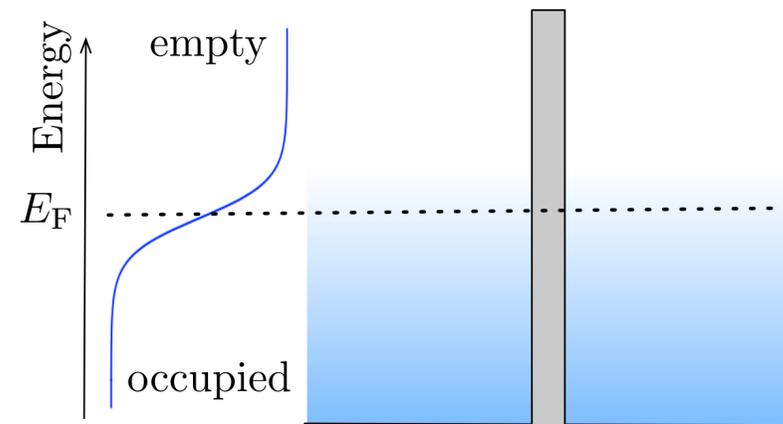
$$S_{\alpha\gamma} \Big|_{\{\mu_\alpha\} \rightarrow \mu} = k_B T \frac{\partial^2 P}{\partial \mu_\alpha \partial \mu_\gamma} \Big|_{\{\mu_\alpha\} \rightarrow \mu}$$



R.-P. Riwar, J. Splettstoesser: New J. Phys. **23**, 013010 (2021)

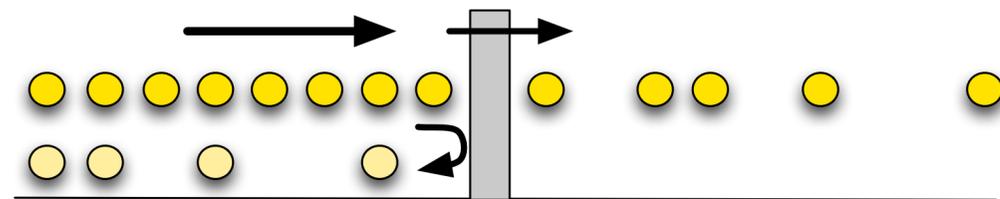
# Noise in (thermoelectric) conductors

## Thermal noise



$$\Theta_{\alpha}^I \equiv \frac{e^2}{h} \int_{-\infty}^{\infty} dE D(E) f_{\alpha}(E) [1 - f_{\alpha}(E)]$$

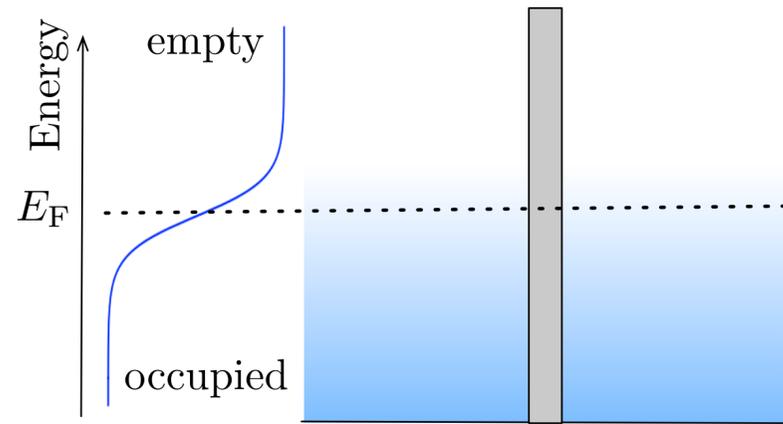
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$$S_{\text{sh}}^I \equiv \frac{e^2}{h} \int_{-\infty}^{\infty} dE D(E) [1 - D(E)] [f_L(E) - f_R(E)]^2$$

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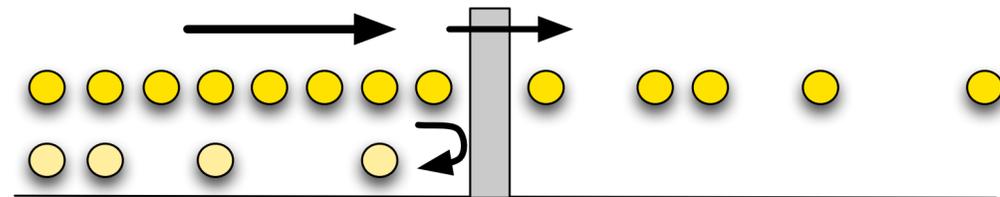
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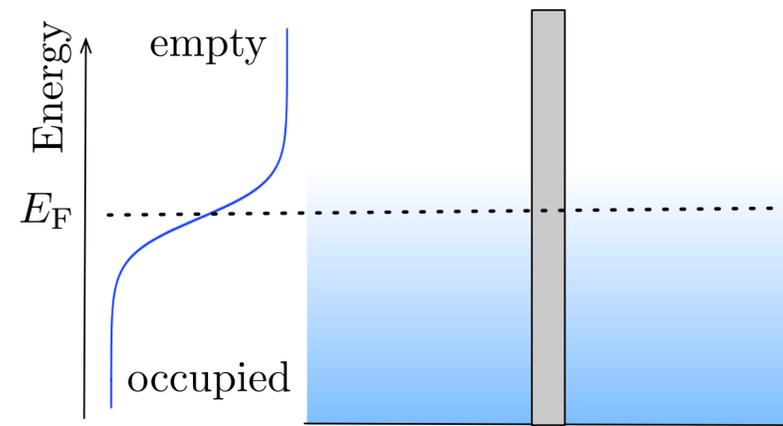
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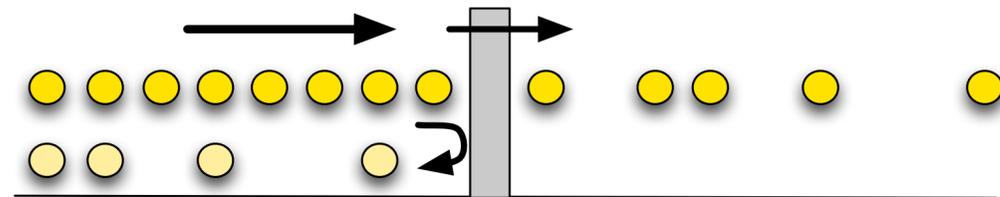
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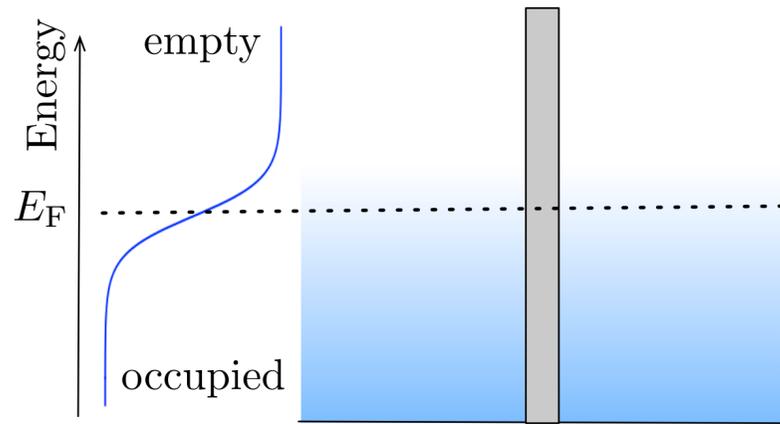
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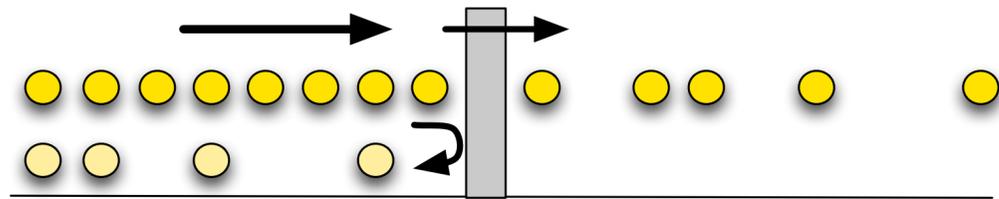
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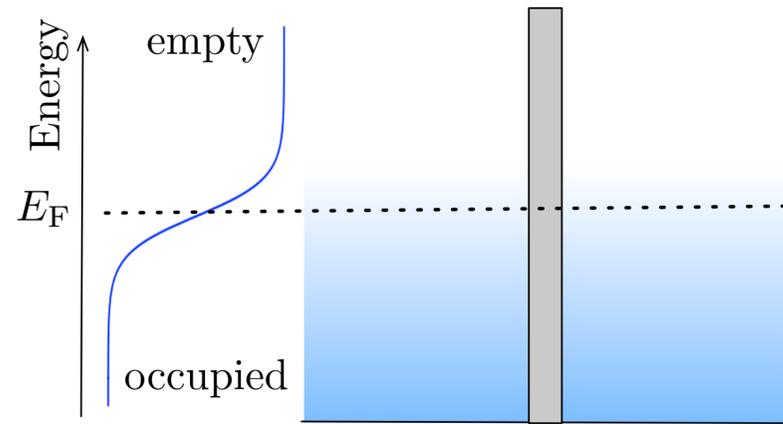


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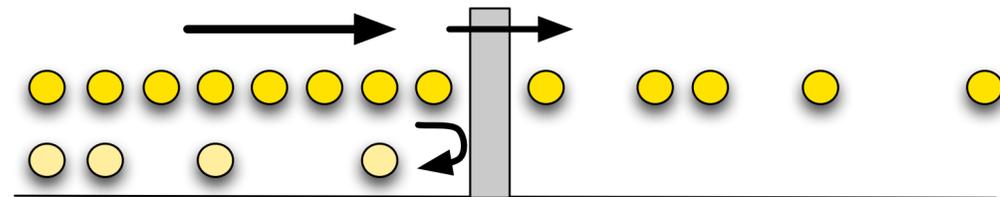
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Nonequilibrium effect!

$$D \ll 1$$

$$\Delta T = 0$$



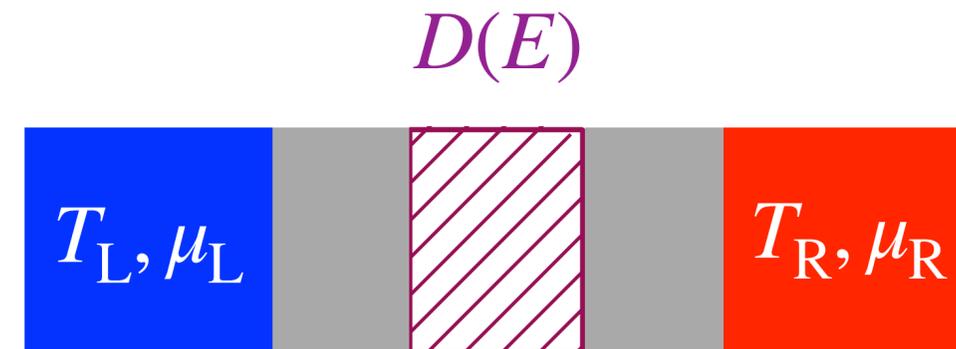
Contributes to extension of fluctuation dissipation theorem!

# Fluctuation dissipation bounds

## Rates for transport

$$\Gamma_{\rightarrow} \equiv \int \frac{dE}{h} D(E) \left[ f_L(E) [1 - f_R(E)] \right]$$

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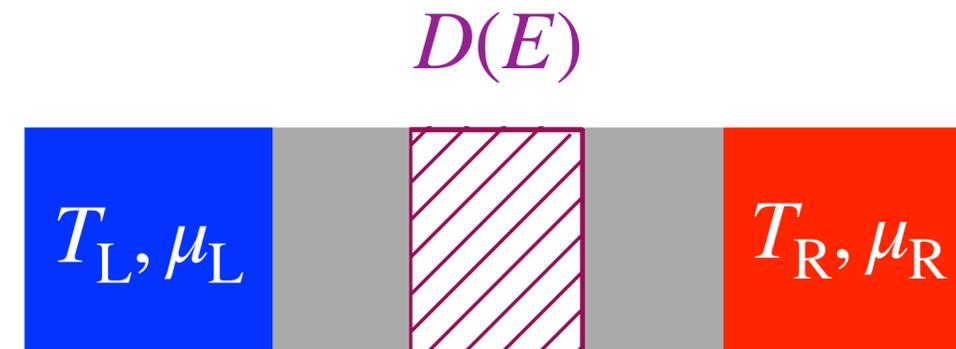
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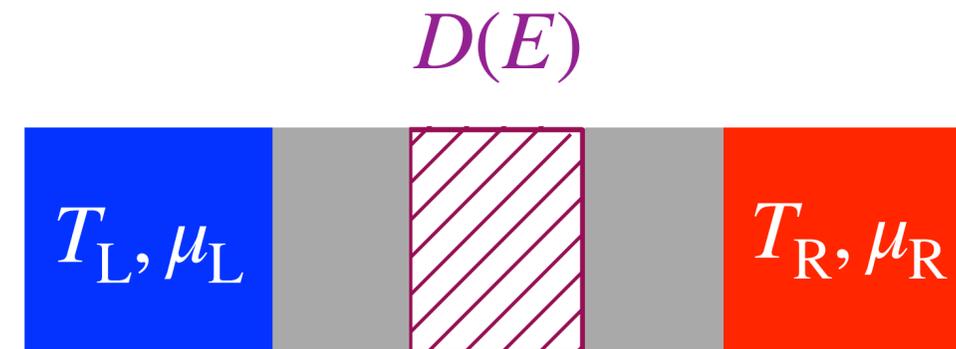
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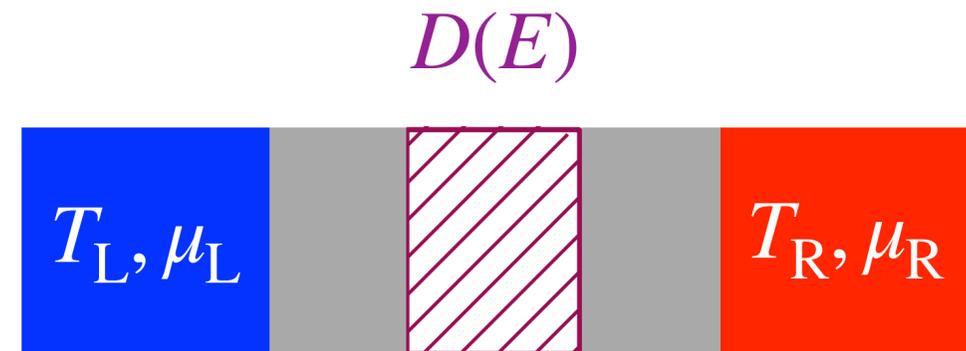
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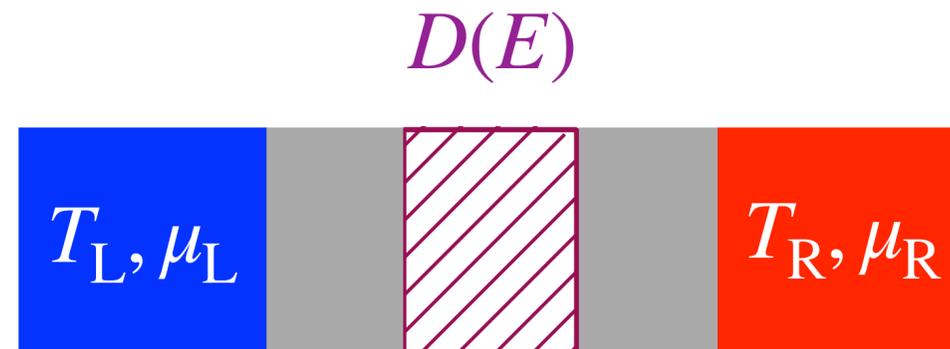
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**Interested in a general nonequilibrium situation!**



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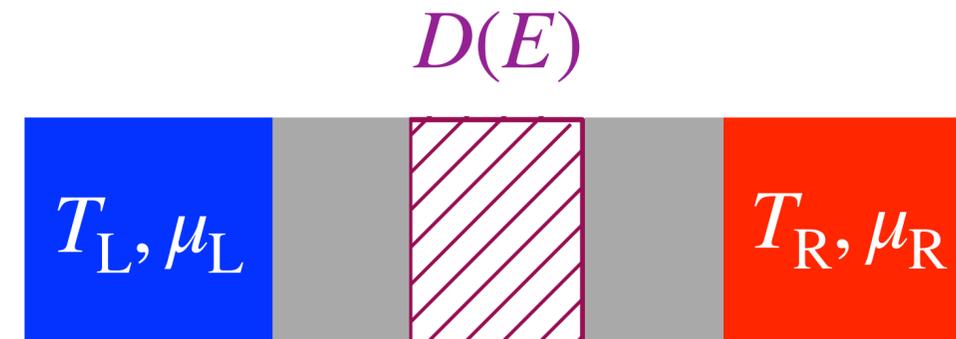
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**Excess noise**

$$S^I - 2\Theta_{\text{hot}}$$



# Fluctuation dissipation bounds

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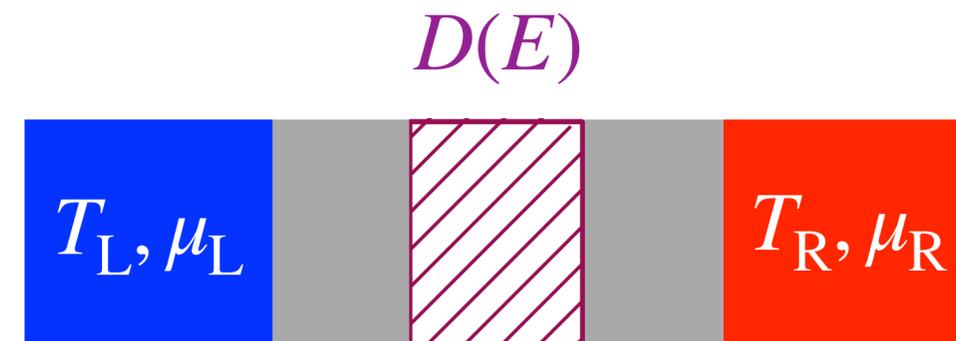
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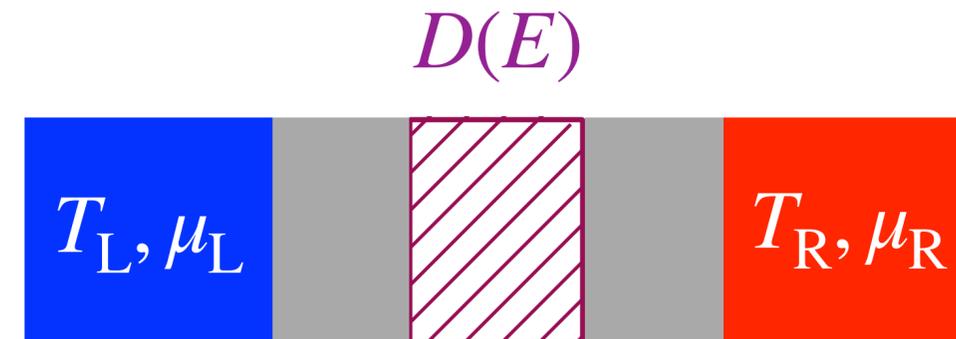
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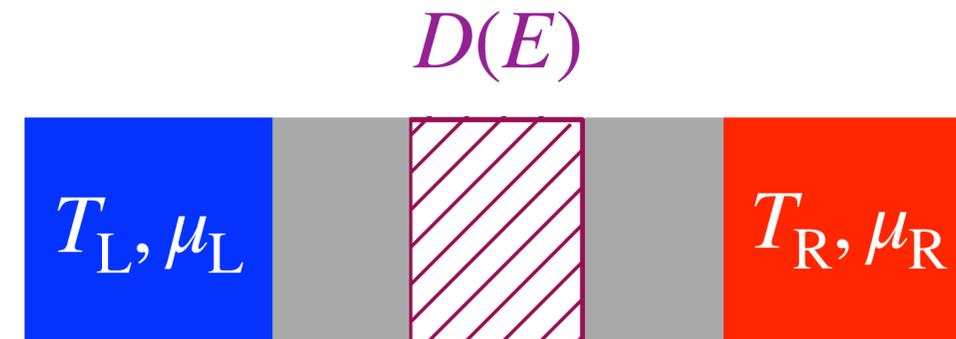
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Excess noise

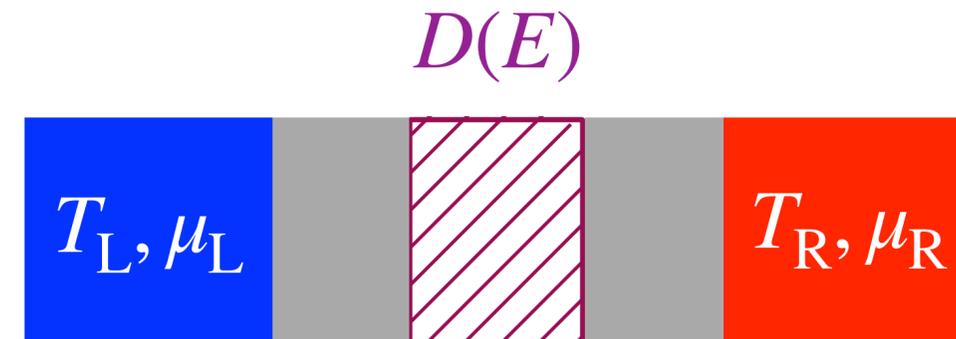
$$S^I - 2\Theta_{\text{hot}}$$

Determine current...

$$I = -e (\tilde{\Gamma}_{\rightarrow} - \tilde{\Gamma}_{\leftarrow})$$

...AND fluctuations

$$S^I - 2\Theta_{\text{hot}} \leq e^2 (\tilde{\Gamma}_{\rightarrow} + \tilde{\Gamma}_{\leftarrow}) \leq eI \tanh \left( \frac{\Delta\mu}{2k_B\Delta T} \right)$$



# Fluctuation dissipation bounds

Excess Rates for transport

$$\tilde{\Gamma}_{\rightarrow} \equiv \int \frac{dE}{h} D(E) [f_L(E)[1 - f_R(E)] - D(E) [f_R(E)[1 - f_R(E)]]$$

$$\tilde{\Gamma}_{\leftarrow} \equiv \int \frac{dE}{h} D(E) [f_R(E)[1 - f_L(E)] - D(E) [f_R(E)[1 - f_R(E)]]$$

Excess noise

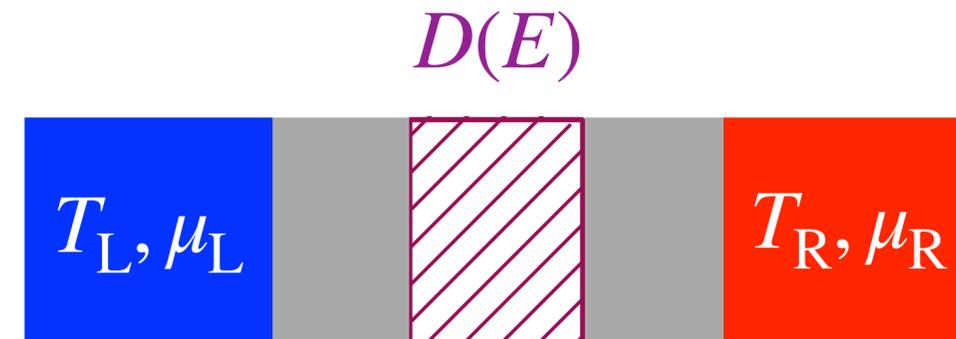
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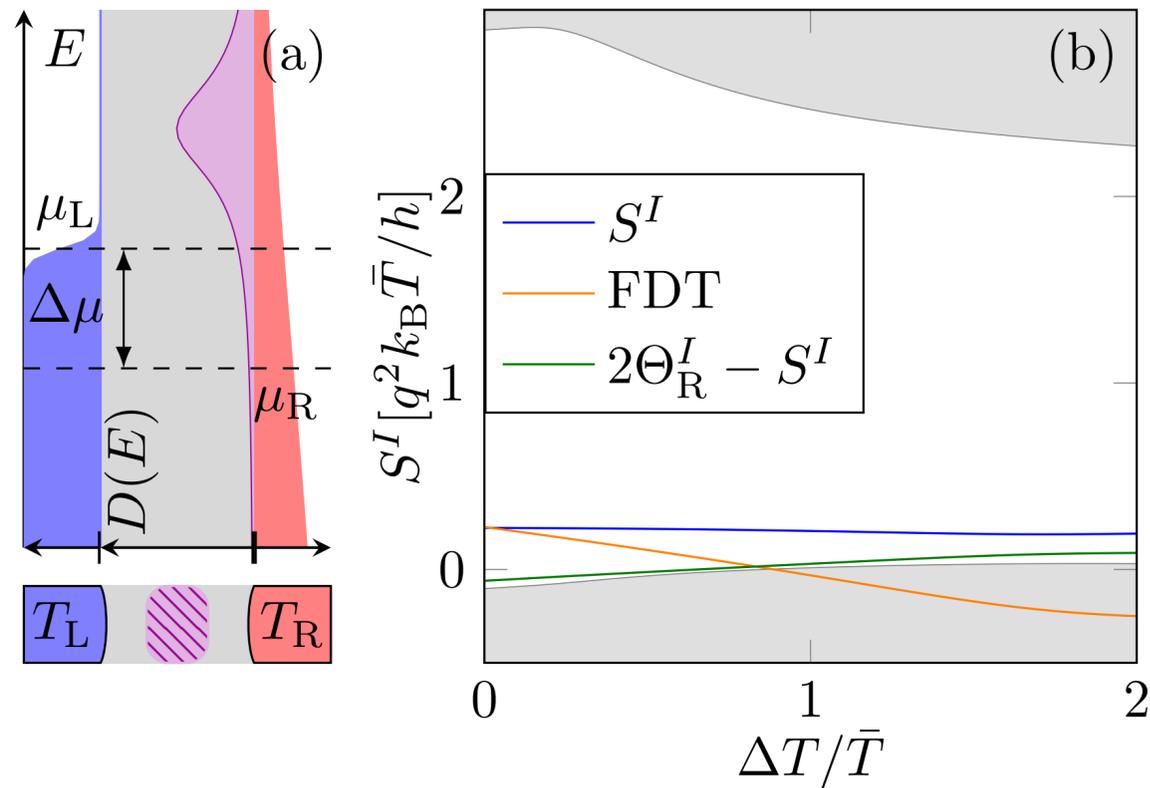
General fluctuation  
dissipation bound

# Fluctuation dissipation bounds (total noise)

$$-eI \tanh\left(\frac{\Delta\mu}{2k_B\Delta T}\right) \leq S^I \leq \frac{e^2 k_B}{h} (T_L + T_R) + \left(-eI + \frac{e^2 \Delta\mu}{h}\right) \tanh\left(\frac{\Delta\mu}{2k_B\Delta T}\right)$$

# Fluctuation dissipation bounds (total noise)

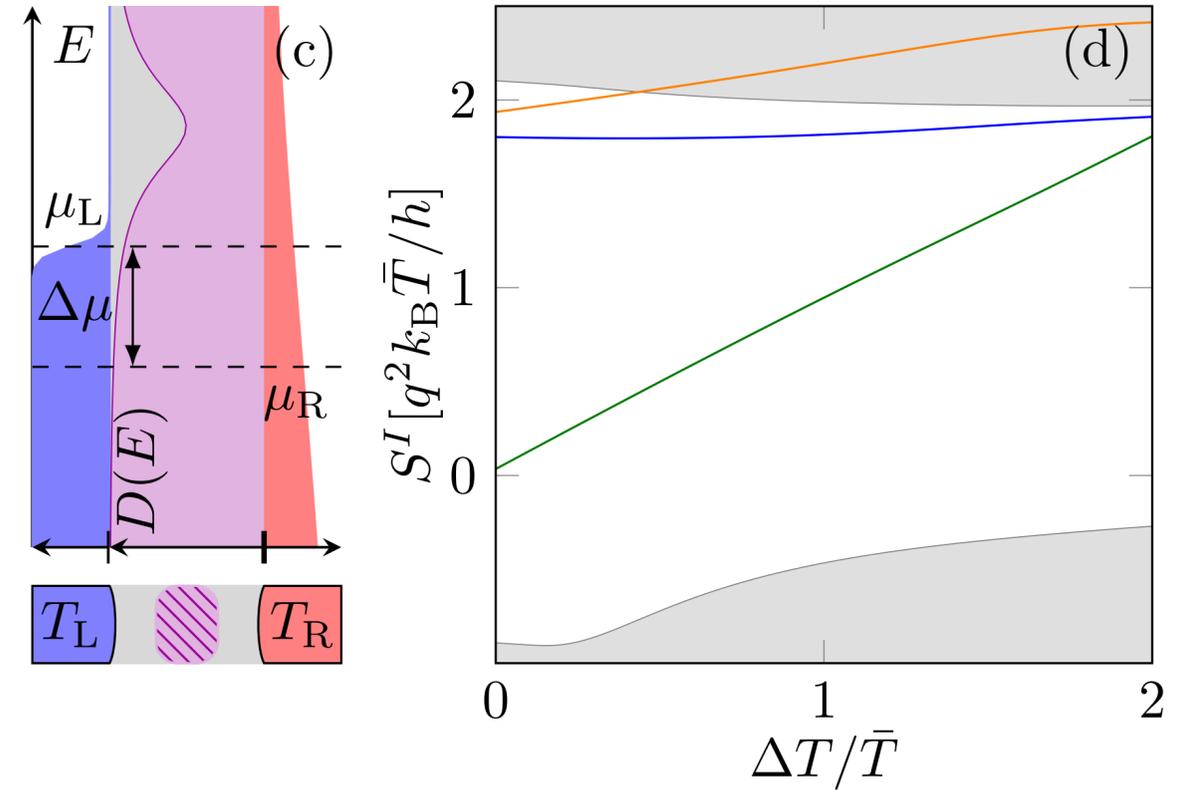
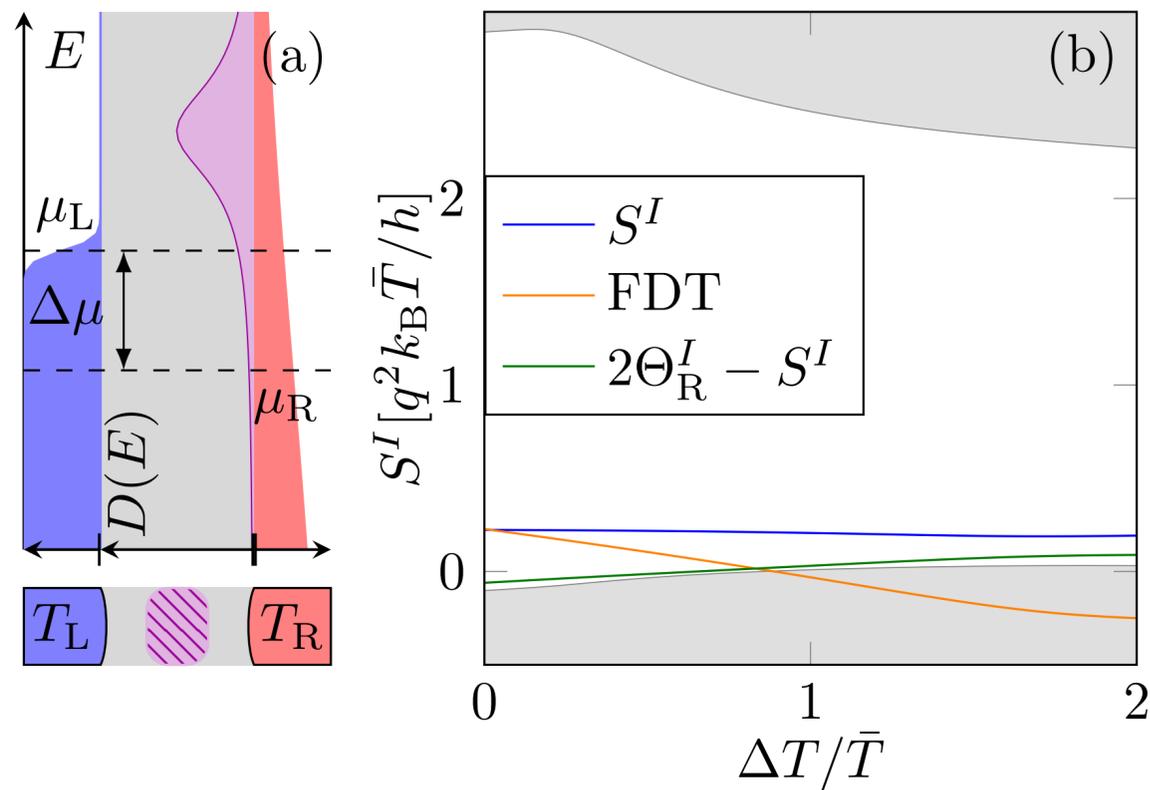
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Approaches lower bound in tunnelling regime

# Fluctuation dissipation bounds (total noise)

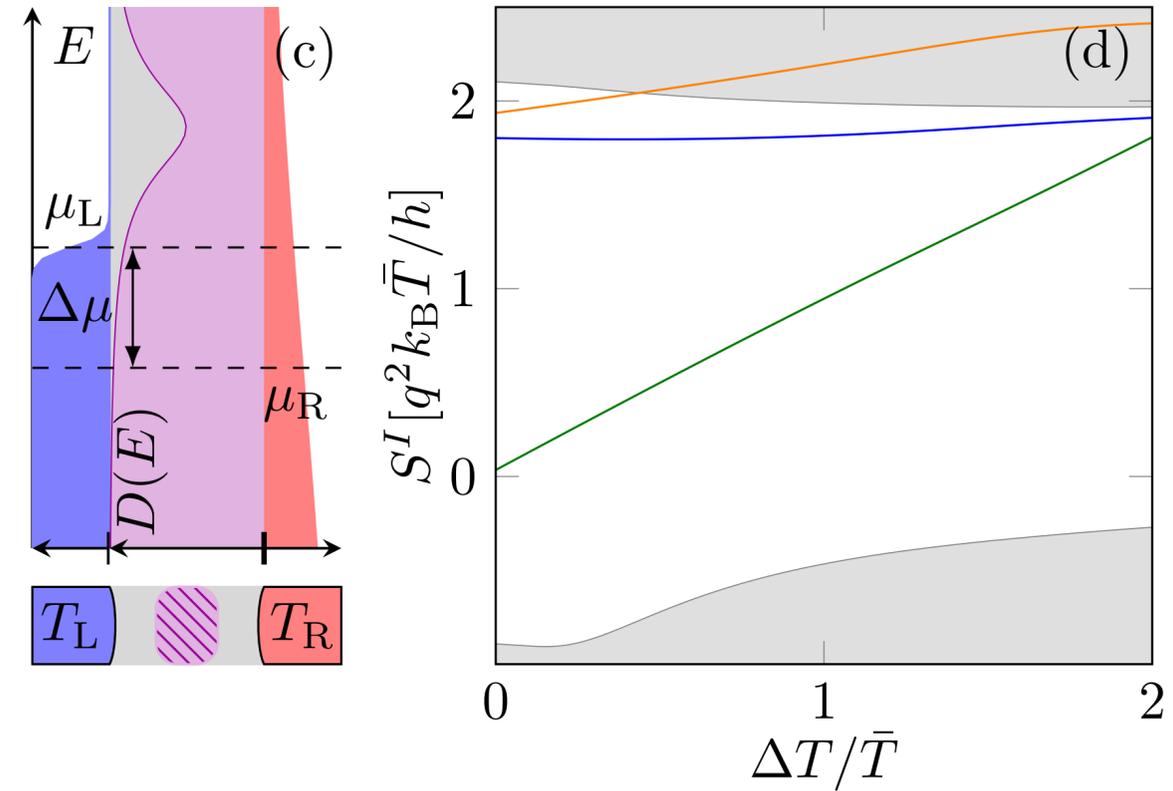
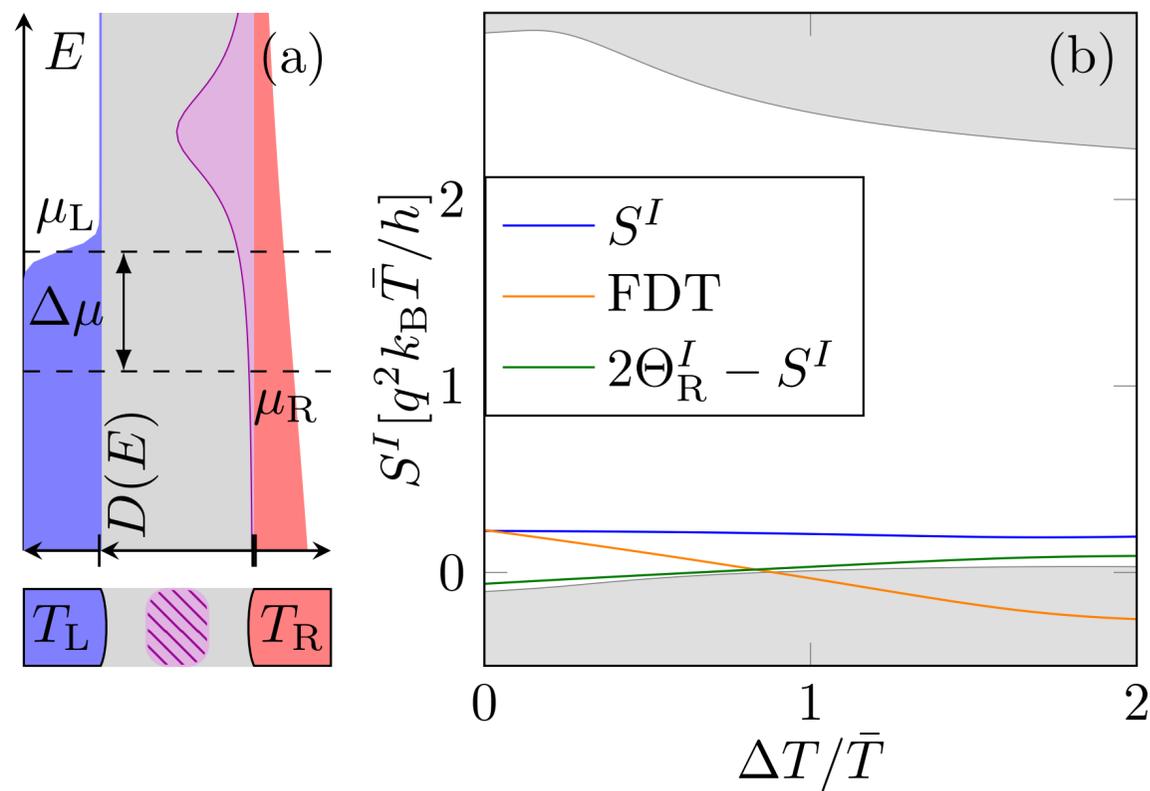
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Approaches lower bound in tunnelling regime ...upper bound in anti-tunnelling regime

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Approaches lower bound in tunnelling regime ... upper bound in anti-tunnelling regime

Approaches equality for LARGE  $\Delta T$   $\longrightarrow$  Opposite of FDT

Fluctuations in mesoscopic conductors...

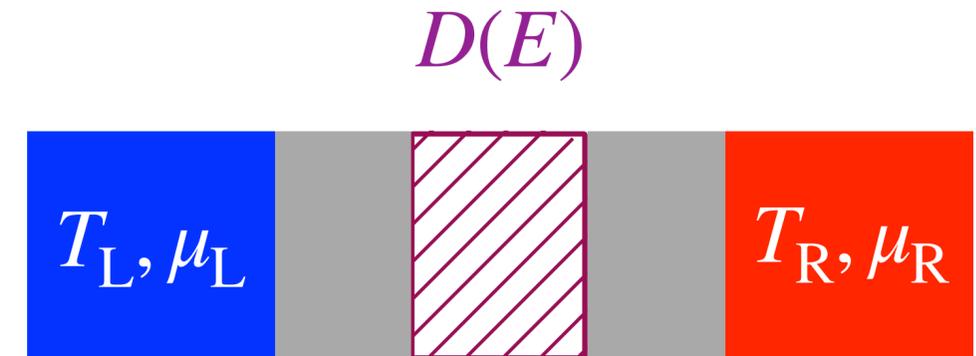
**...operating as engines**

# Fluctuation bounds for output power

Thermodynamic  
uncertainty relation  
(TUR)

$$S^P \geq 2 \frac{k_B P^2}{\dot{\Sigma}}$$

A. C. Barato, U. Seifert: Phys. Rev. Lett. **114**, 158101 (2015).



# Fluctuation bounds for output power

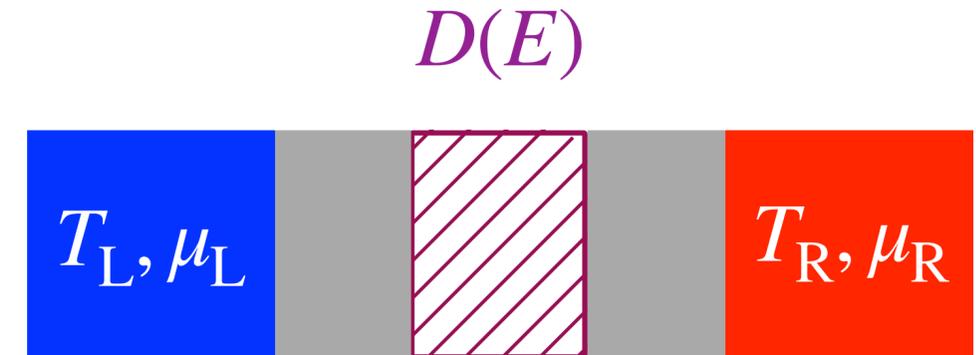
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Valid if  
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Can be violated  
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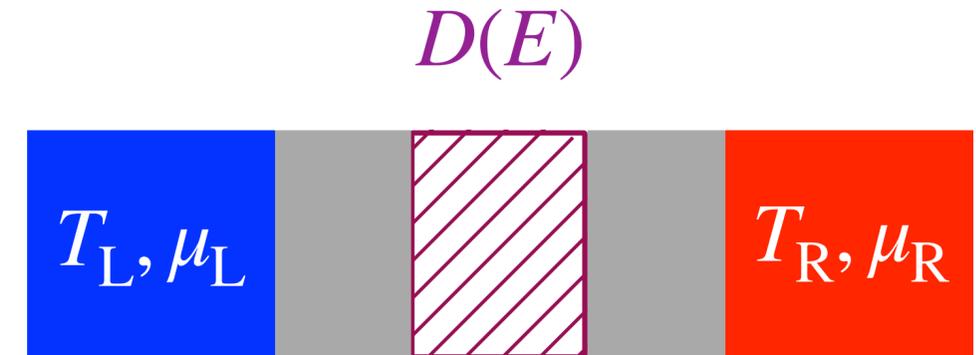
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Fluctuation-dissipation  
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$$S^P \geq P \Delta\mu \tanh \left( \frac{\Delta\mu}{2k_B \Delta T} \right)$$

L. Tesser, J. Splettstoesser: Phys. Rev. Lett. **132**, 186304 (2024)

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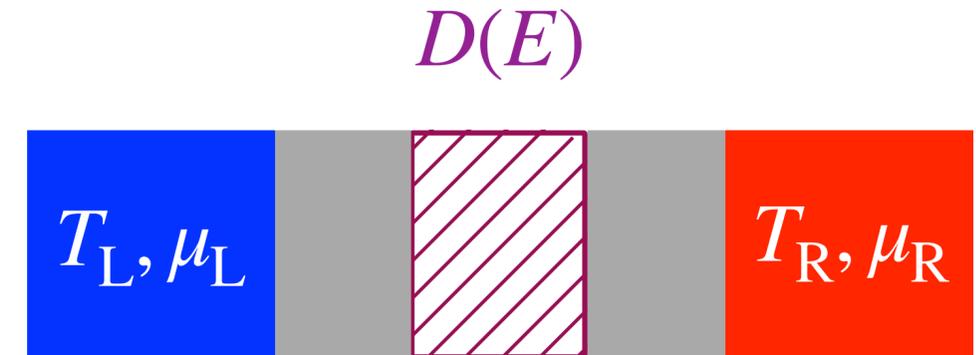
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Fluctuation-dissipation  
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$$S^P \geq P \Delta\mu \tanh \left( \frac{\Delta\mu}{2k_B \Delta T} \right)$$

Different from TUR  
(entropy production not explicitly included)

Holds for any weakly interacting quantum system

L. Tesser, J. Splettstoesser: Phys. Rev. Lett. **132**, 186304 (2024)

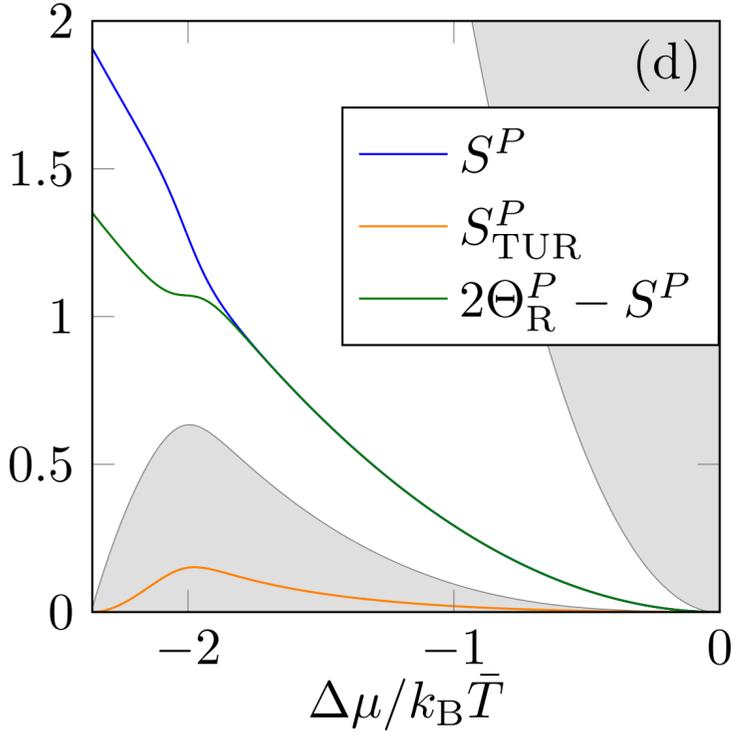
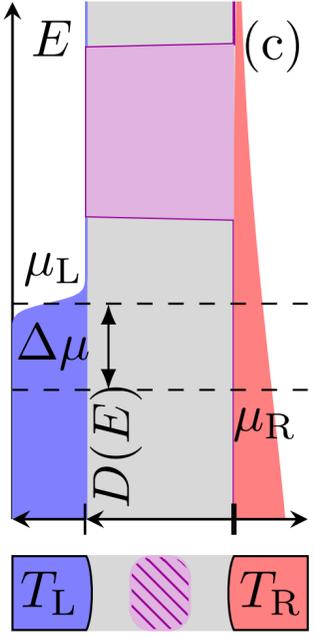
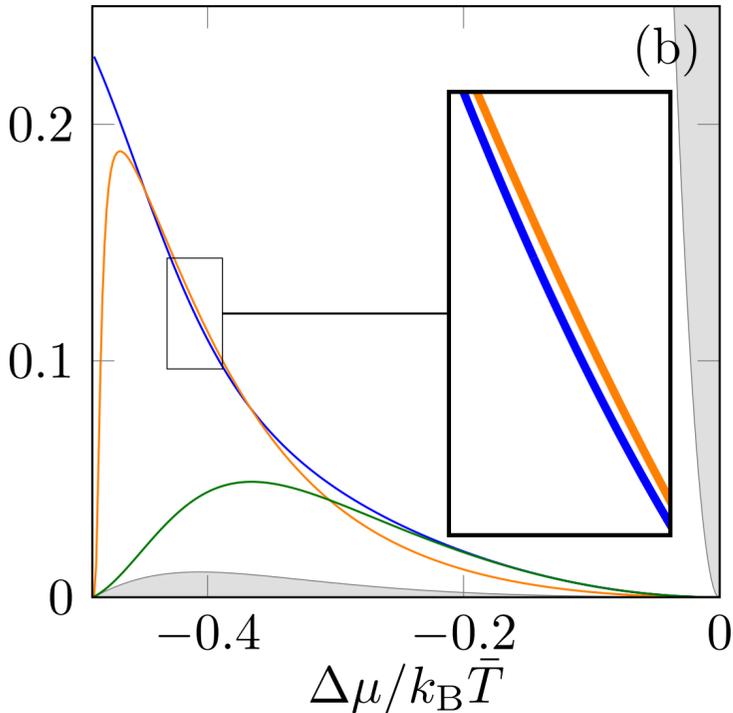
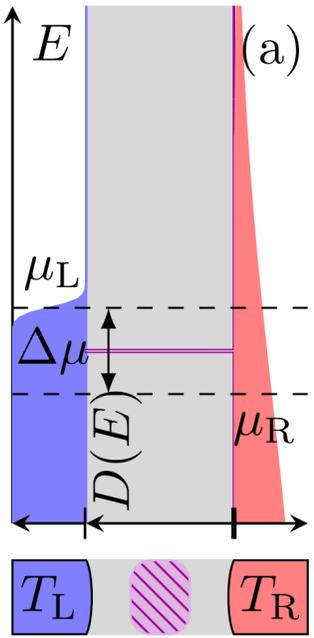
# Fluctuation bounds for output power

Thermodynamic uncertainty relation (TUR)

$$S^P \geq 2 \frac{k_B P^2}{\dot{\Sigma}}$$

Fluctuation-dissipation bound

$$S^P \geq P \Delta\mu \tanh\left(\frac{\Delta\mu}{2k_B \Delta T}\right)$$



Holds when TUR is violated

Can be more restrictive than TUR

(Also sets an upper bound)

# Validity regime and further steps

## Fluctuation dissipation theorem

$$S^I = qI \coth \left( \frac{\Delta\mu}{2k_B T} \right)$$

## Fluctuation dissipation bound

$$\begin{aligned} -eI \tanh \left( \frac{\Delta\mu}{2k_B \Delta T} \right) &\leq S^I \\ &\leq \frac{e^2 k_B}{h} (T_L + T_R) + \left( -eI + \frac{e^2 \Delta\mu}{h} \right) \tanh \left( \frac{\Delta\mu}{2k_B \Delta T} \right) \end{aligned}$$

## Thermodynamic uncertainty relations

$$S^P \geq 2 \frac{k_B P^2}{\dot{\Sigma}}$$

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## Fluctuation dissipation theorem

$$S^I = qI \coth \left( \frac{\Delta\mu}{2k_B T} \right)$$

+ Equality

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- Inequality, upper AND lower bound

## Thermodynamic uncertainty relations

$$S^P \geq 2 \frac{k_B P^2}{\dot{\Sigma}}$$

- Inequality

# Validity regime and further steps

## Fluctuation dissipation theorem

$$S^I = qI \coth \left( \frac{\Delta\mu}{2k_B T} \right)$$

+ Equality

+ arbitrarily strong  
Coulomb interaction

## Fluctuation dissipation bound

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+ arbitrary transmission

## Thermodynamic uncertainty relations

$$S^P \geq 2 \frac{k_B P^2}{\dot{\Sigma}}$$

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➔ **Interacting nonequilibrium systems?** L. Tesser, M. Acciai, C. Spånslätt, I. Safi, J. Splettstoesser: arXiv:2409.00981 (2024)

➔ What happens if resources are nonthermal? Or in bosonic systems?

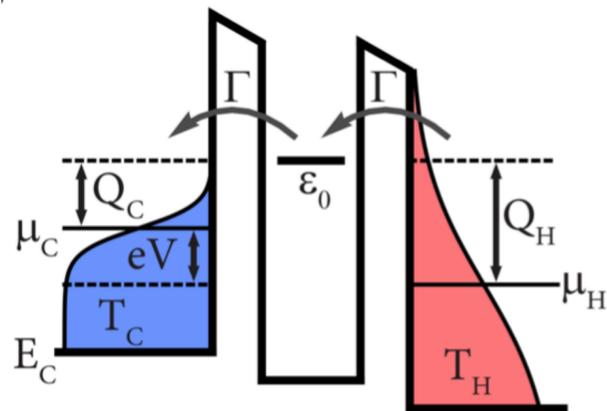
Precision bounds for quantum transport  
of generic transport observables

# Precision bounds for generic transport observables

...and more generic systems.

# Precision bounds for generic transport observables

## Nonthermal distributions

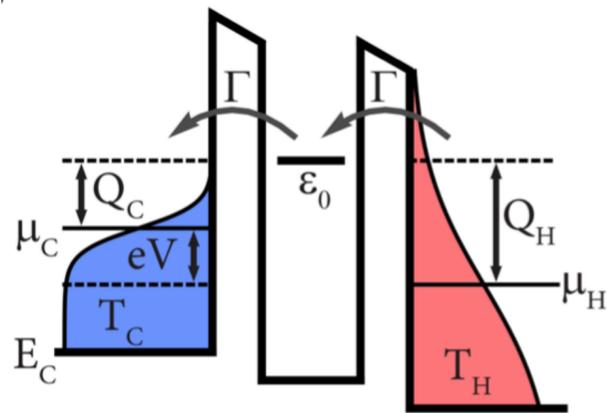


Contact with two reservoirs?

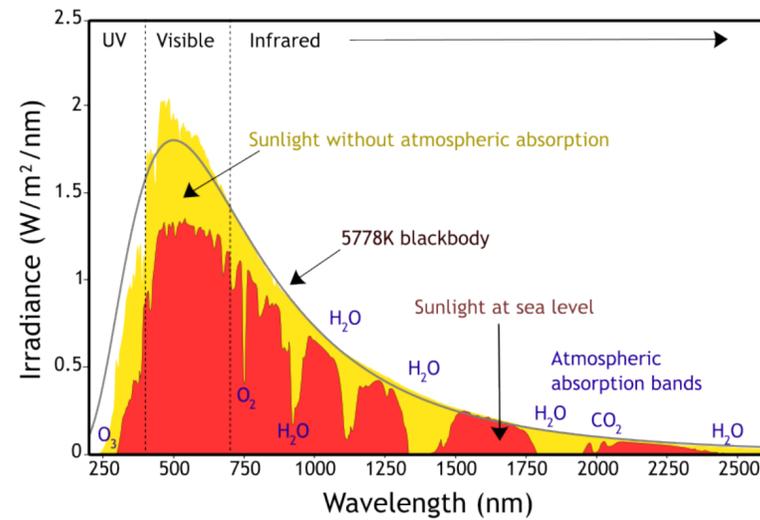
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# Precision bounds for generic transport observables

## Nonthermal distributions



Contact with two reservoirs?

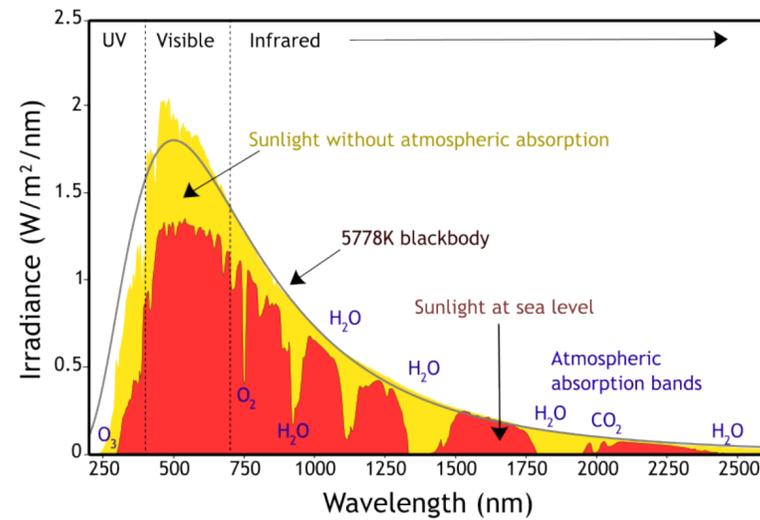
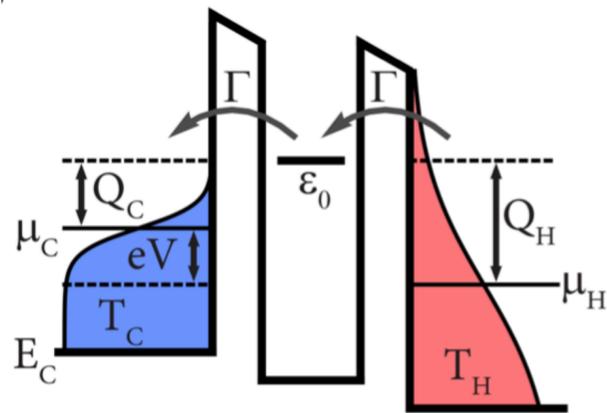


Filtering or resonant effects

...and more generic systems.

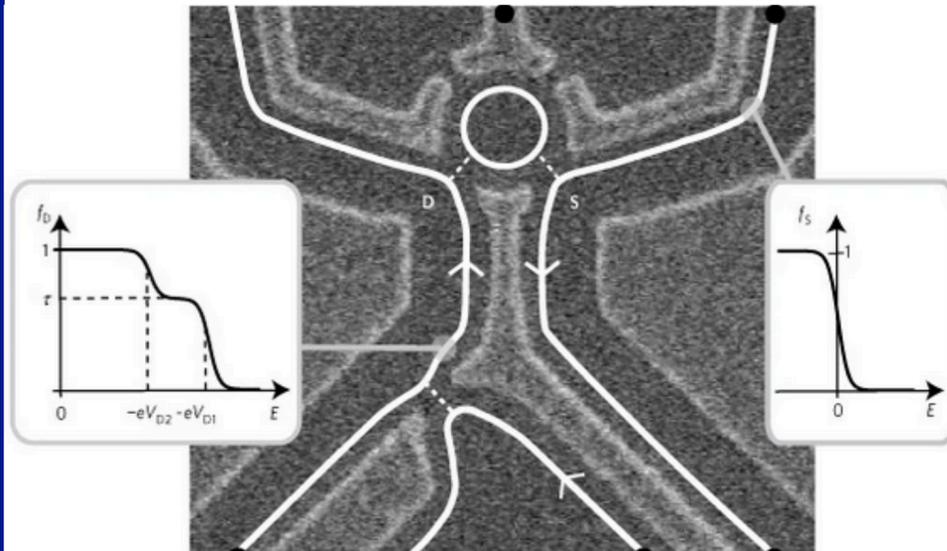
# Precision bounds for generic transport observables

## Nonthermal distributions



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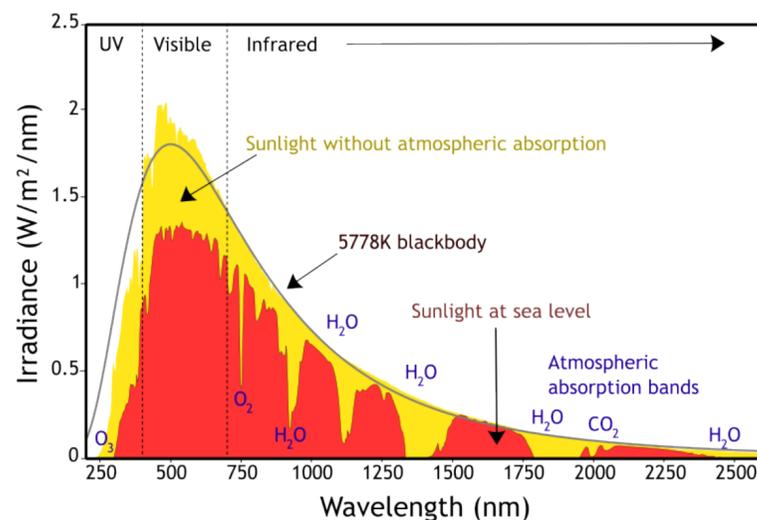
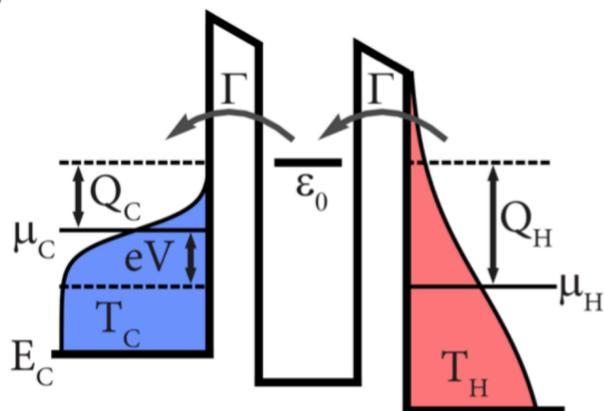


C. Altimiras, H. Le Sueur, U. Gennser, A. Cavanna, D. Mailly, F. Pierre: Nat. Phys. **6**, 34 (2009).

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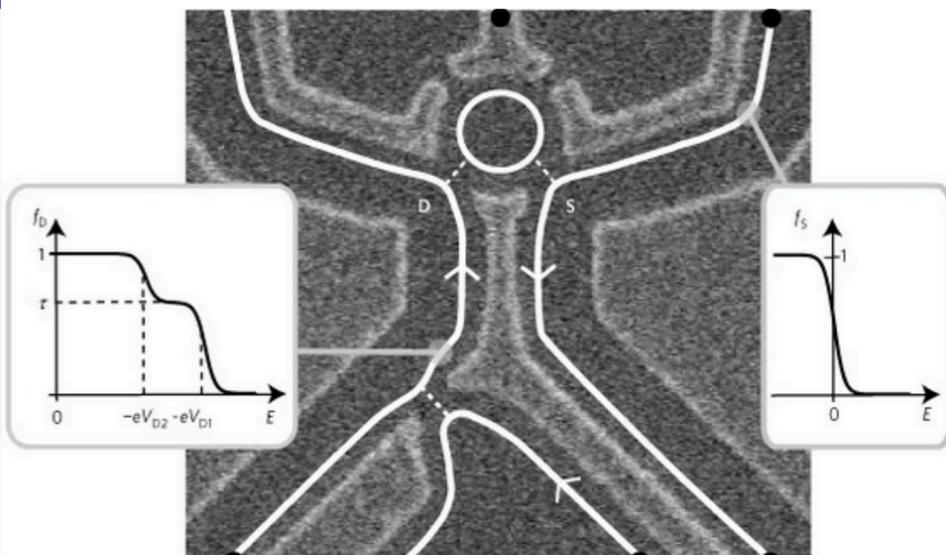
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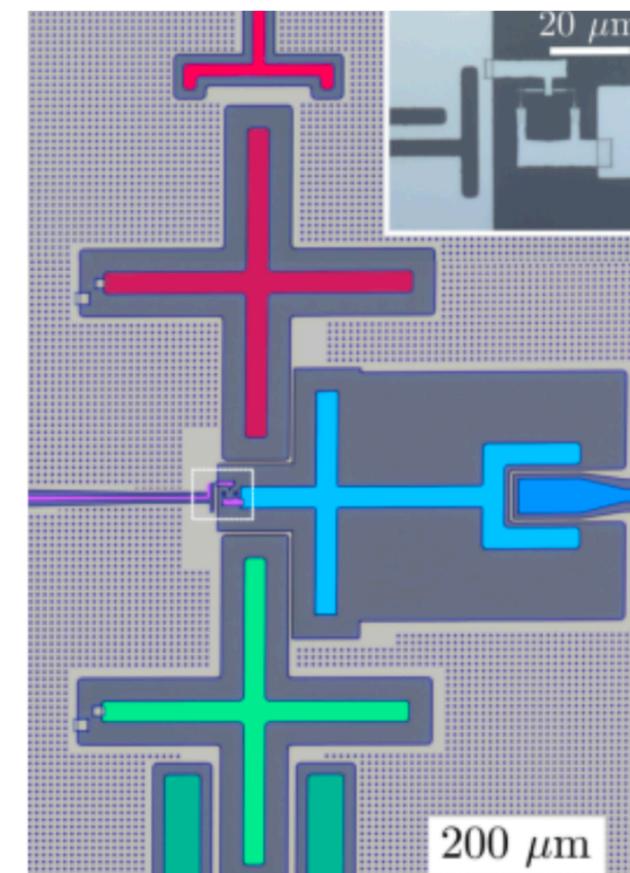
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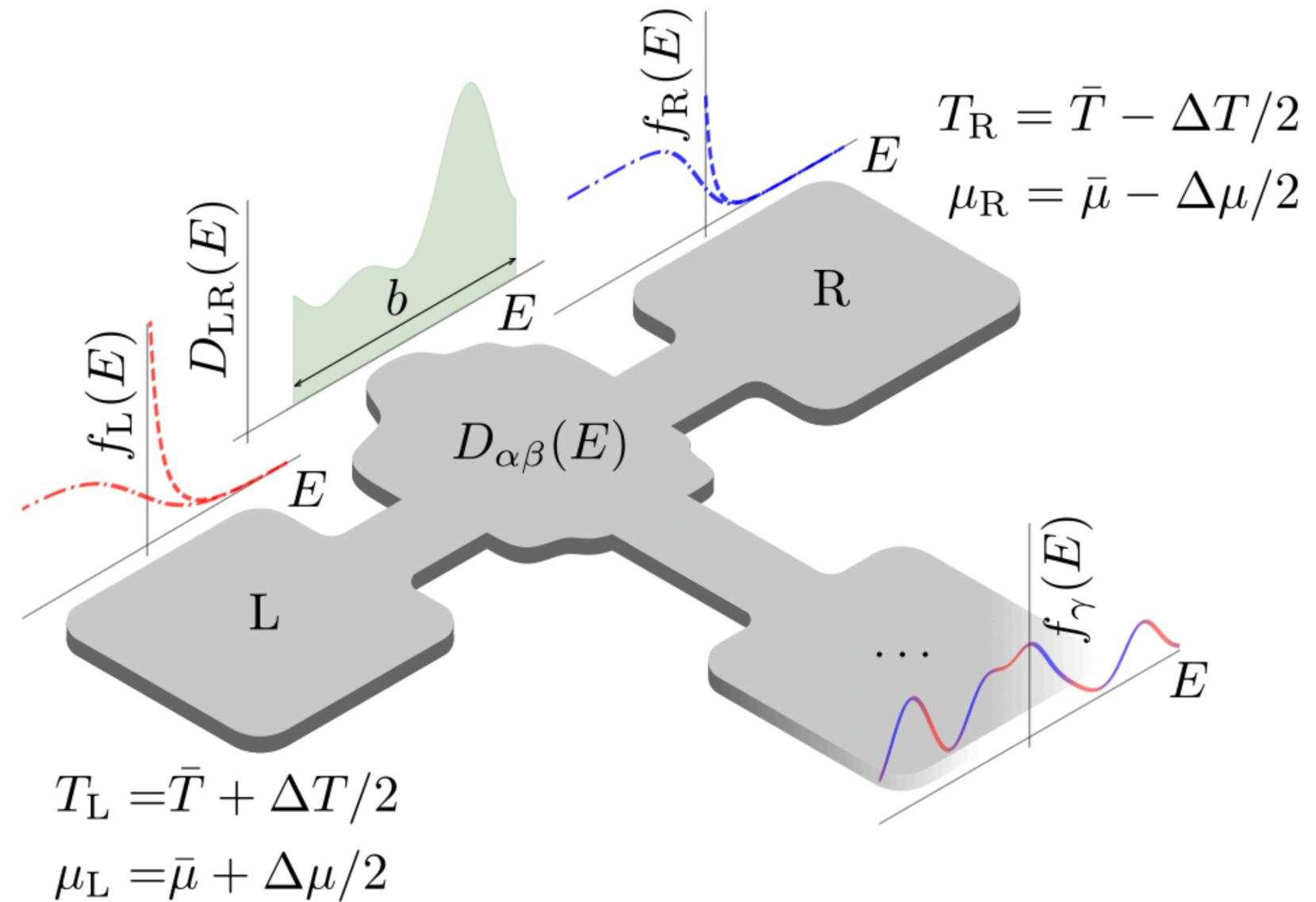
## Bosonic heat transport



M. A. Amir, P. J. Suria, J. A. M. Guzmán, C. Castillo-Moreno, J. M. Epstein, N. Yunger Halpern, and S. Gasparinetti, arXiv:2305.16710

# Thermodynamics of steady-state quantum transport

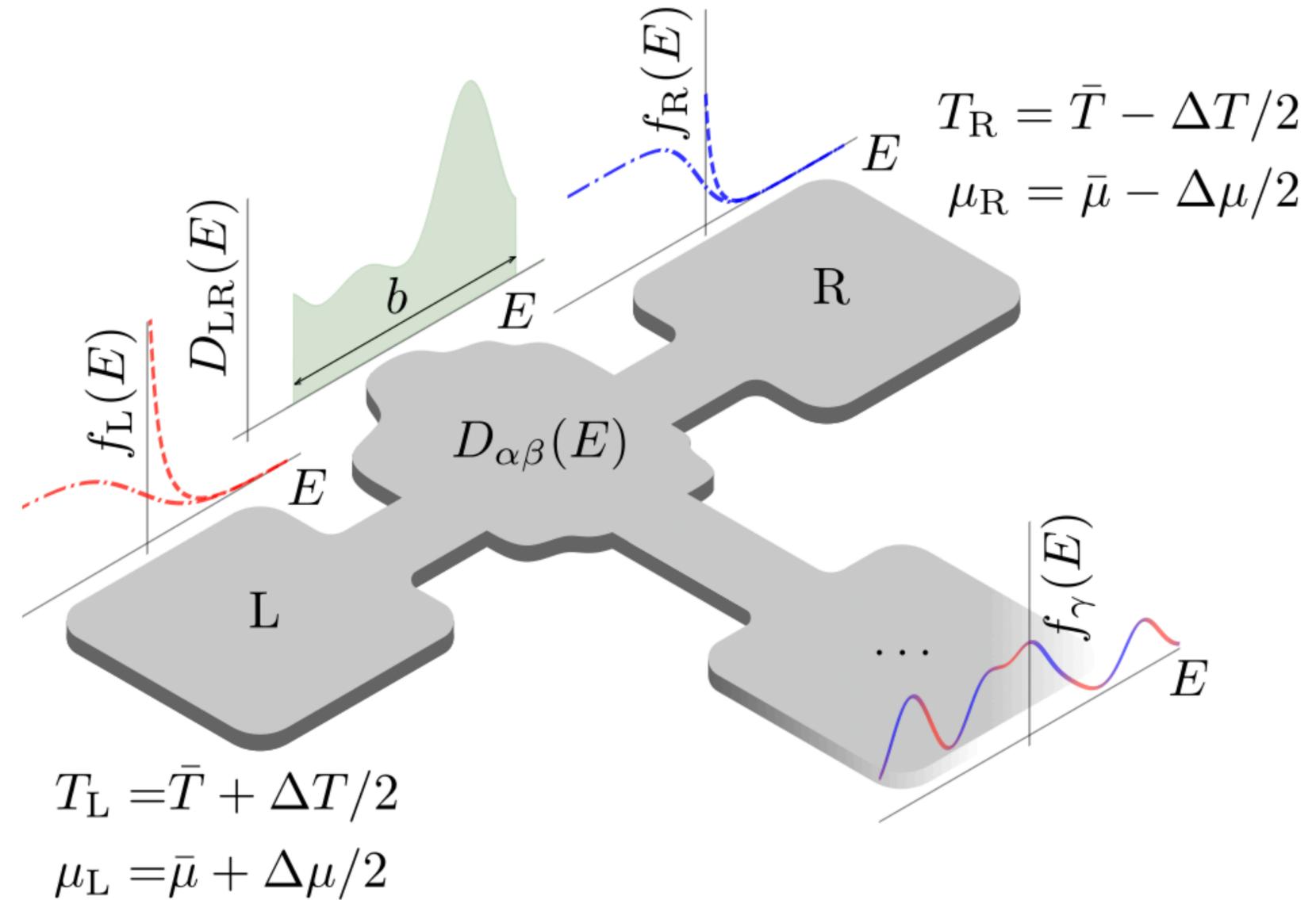
## Multi-terminal setup with particle/energy reservoirs



# Thermodynamics of steady-state quantum transport

Multi-terminal setup with particle/energy reservoirs

Differences of potentials, temperatures, occupations...



# Thermodynamics of steady-state quantum transport

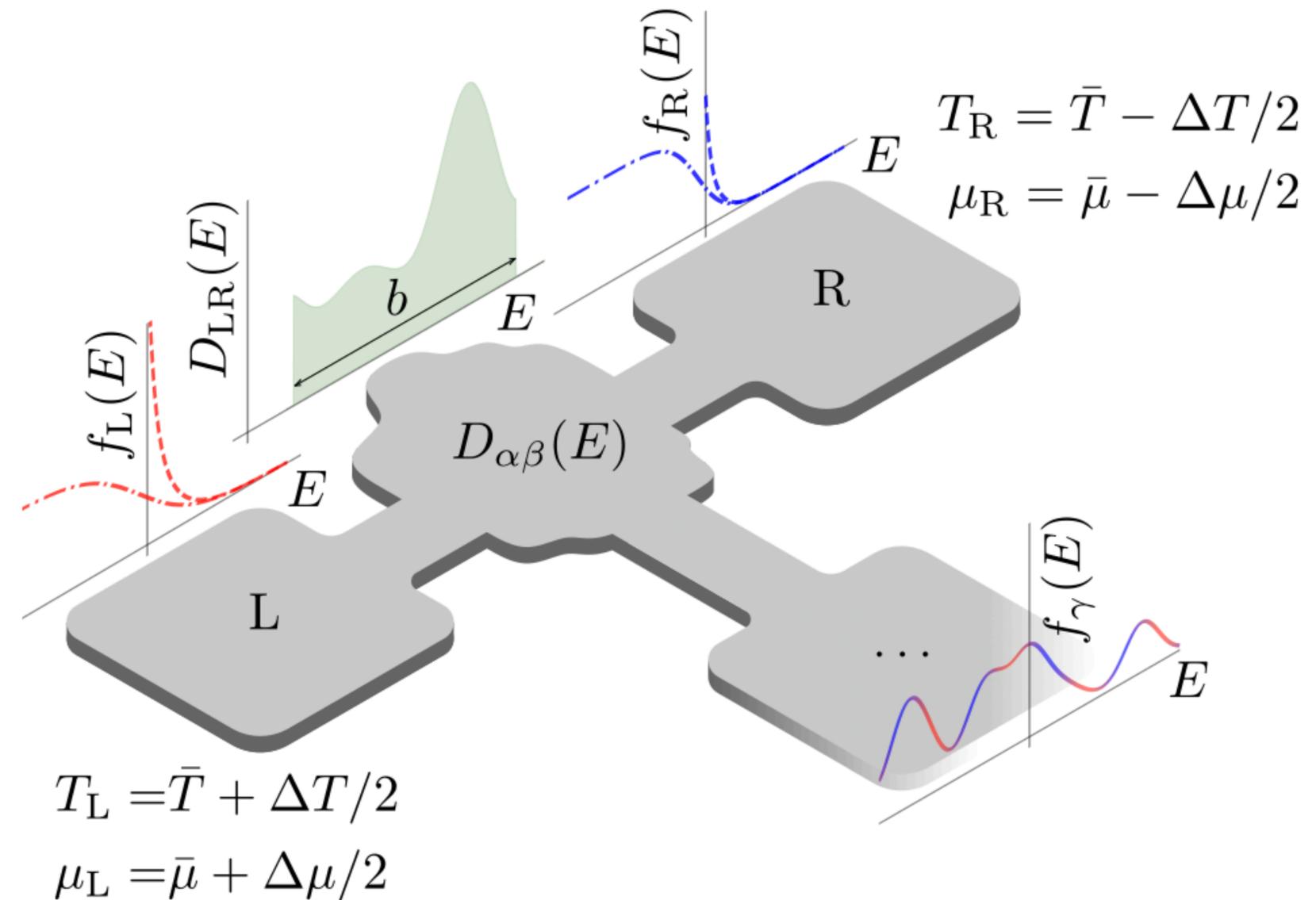
Multi-terminal setup with particle/energy reservoirs

Differences of potentials, temperatures, occupations...

Induce ...particle currents  $\rightarrow$  Do work

...heat currents  $\rightarrow$  Cooling

reduce entropy — produce entropy...



# Generic currents and their fluctuations

## Generic current

$$I_{\alpha}^{(\nu)} = \frac{1}{h} \int dE x_{\alpha}^{(\nu)} \sum_{\beta} D_{\alpha\beta}(E) [f_{\beta}(E) - f_{\alpha}(E)]$$

with  $x_{\alpha}^{(n)} \equiv 1$

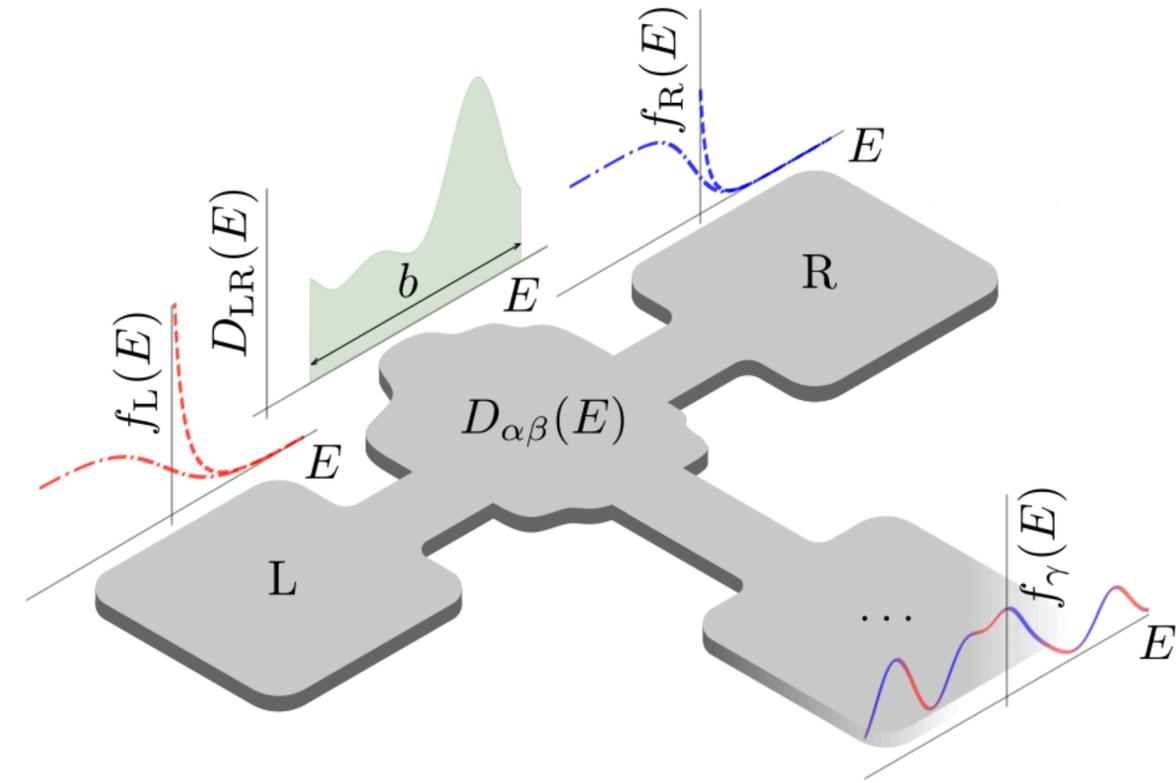
Particle

$x_{\alpha}^{(E)} \equiv E$

Energy

$x_{\alpha}^{(\sigma)} \equiv \log \left[ \frac{f_{\alpha}(E)}{1 - f_{\alpha}(E)} \right]$

Entropy



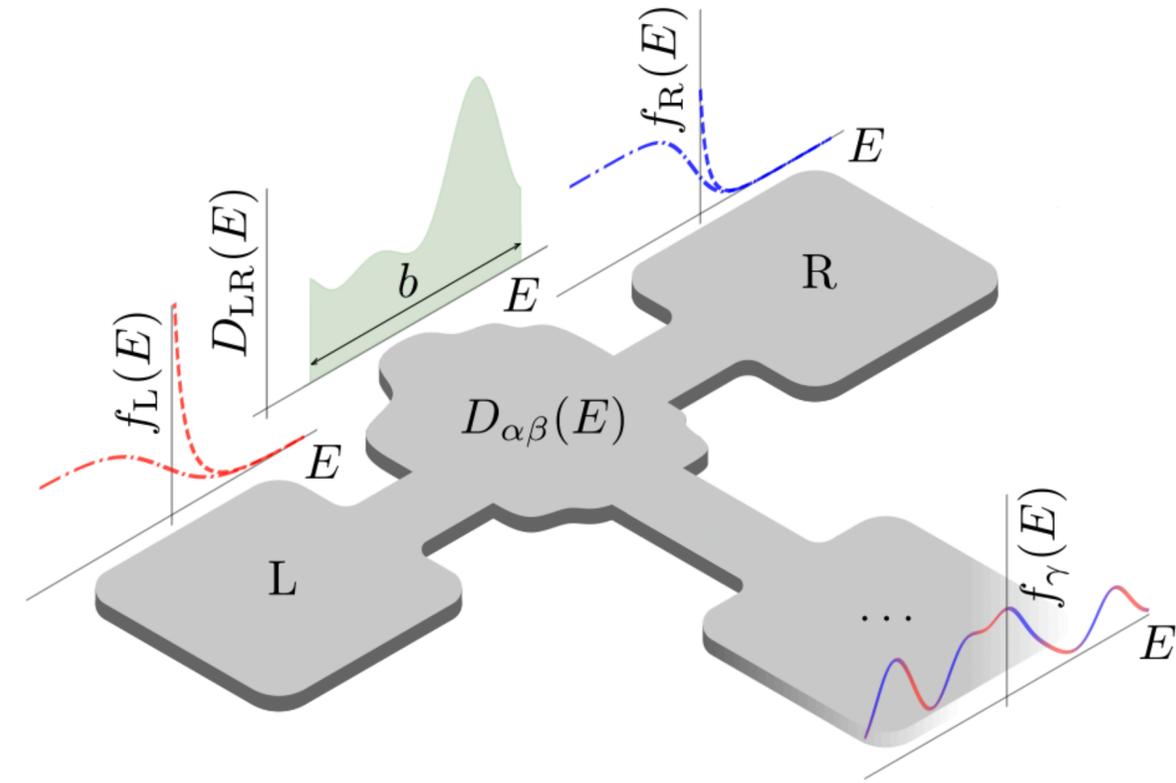
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with

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Particle	Energy	Entropy



→ Fluctuations split into classical and quantum part

$$S_{\alpha\alpha, \text{cl}}^{(\nu)} = \frac{1}{h} \int dE [x_{\alpha}^{(\nu)}]^2 \sum_{\beta \neq \alpha} D_{\alpha\beta} \left[ f_{\alpha} (1 \pm f_{\beta}) + f_{\beta} (1 \pm f_{\alpha}) \right]$$

$\pm$ , Bosons/fermions  
any distribution...

$$S_{\alpha\alpha, \text{qu}}^{(\nu)} = \pm \frac{1}{h} \int dE [x_{\alpha}^{(\nu)}]^2 \left[ \sum_{\beta \neq \alpha} D_{\alpha\beta} (f_{\alpha} - f_{\beta}) \right]^2$$

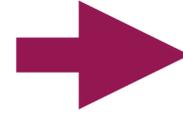
# Bound on classical fluctuations/precision

Generic current

$$I_{\alpha}^{(\nu)} = \frac{1}{h} \int dE x_{\alpha}^{(\nu)} \sum_{\gamma} D_{\alpha\beta} [f_{\alpha}(E) - f_{\beta}(E)]$$

(Classical) fluctuations

$$S_{\alpha\alpha,cl}^{(\nu)} = \frac{1}{h} \int dE [x_{\alpha}^{(\nu)}]^2 \sum_{\beta \neq \alpha} D_{\alpha\beta} \left[ f_{\alpha} (1 \pm f_{\beta}) + f_{\beta} (1 \pm f_{\alpha}) \right]$$



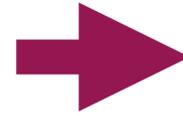
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$$S_{\alpha\alpha,cl}^{(N)} \geq \frac{(I_{\alpha}^{(\nu)})^2}{S_{\alpha\alpha,cl}^{(\nu)}}$$

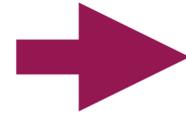
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- $f_{\alpha} - f_{\beta} \leq f_{\alpha} (1 \pm f_{\beta}) + f_{\beta} (1 \pm f_{\alpha})$

Reaches **equality**

when contact  $\beta$  is “empty”

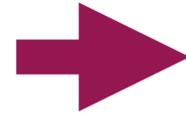
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Reaches **equality**

when contact  $\beta$  is “empty”

- $|x| \leq |x|^2 + \frac{1}{4}$

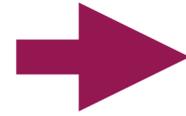
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$$S_{\alpha\alpha,cl}^{(\nu)} = \frac{1}{h} \int dE [x_{\alpha}^{(\nu)}]^2 \sum_{\beta \neq \alpha} D_{\alpha\beta} \left[ f_{\alpha} (1 \pm f_{\beta}) + f_{\beta} (1 \pm f_{\alpha}) \right]$$



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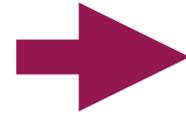
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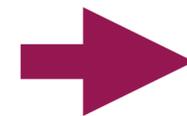
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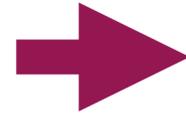
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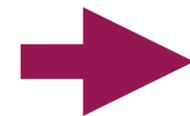
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**Kinetic uncertainty relation for quantum transport**

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Estimate “activity” from observables:

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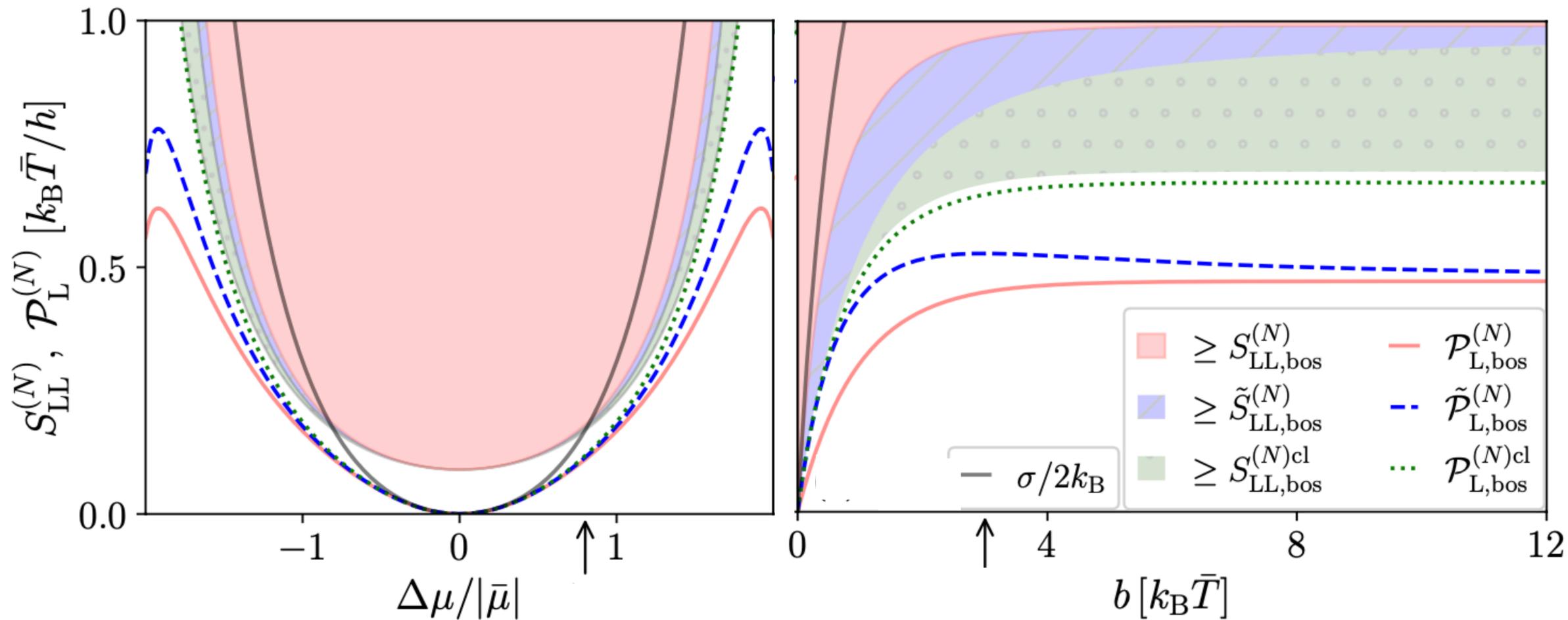
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**New tight bound – KURL:**

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- Tight bounds for large bias (high precision) and small bandwidth (low precision)
- Tight when TUR is not and vice versa

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Fermions:  $S_{\alpha\alpha} = S_{\alpha\alpha,cl} - S_{\alpha\alpha,qu}$

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With minimum reflection:

$$R_{\alpha} \equiv \inf_{E \in A} D_{\alpha\alpha}(E)$$

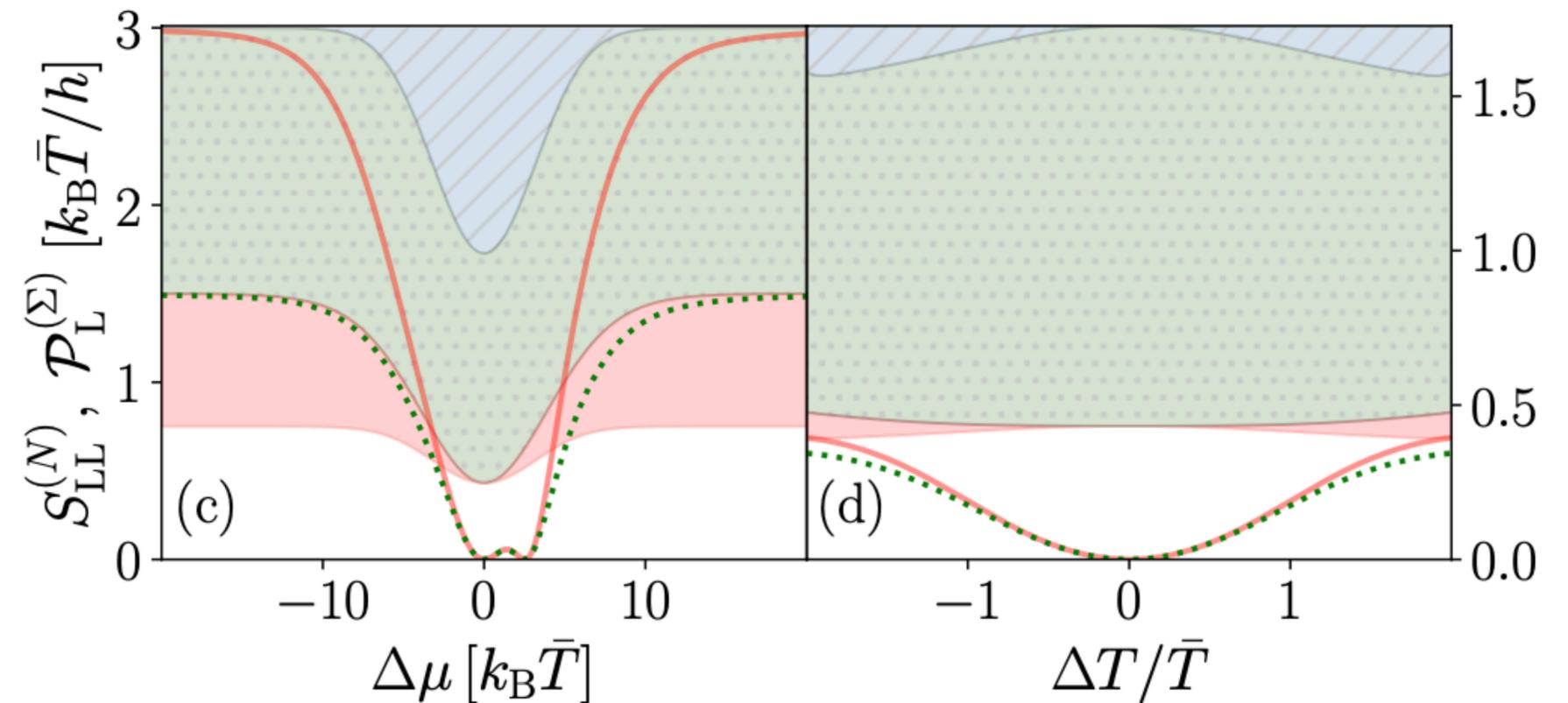
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# Acknowledgements/Announcements



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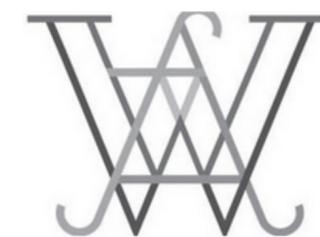
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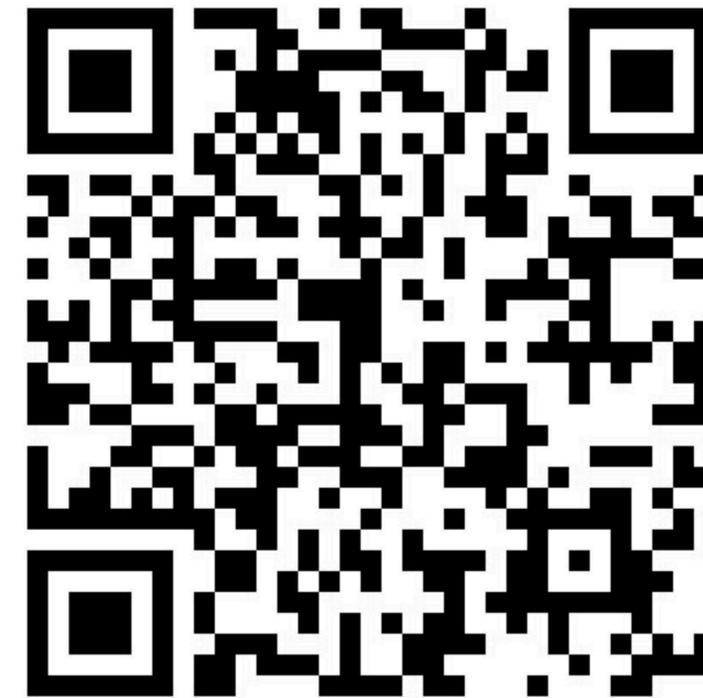
# Acknowledgements/Announcements



Ludovico Tesser

Didrik Palmqvist

Master projects in the group



...possible travel/housing support



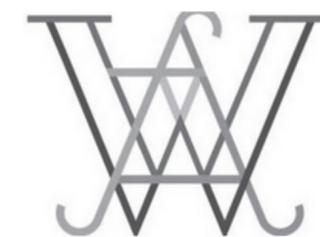
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# Conclusions

- New challenges and new opportunities in nanoscale heat engines
- Novel goals (precision) and resources (nonthermal/fluctuations)
- **Fluctuation-dissipation bound** for nonequilibrium steady-state heat engines

L. Tesser, J. Splettstoesser: Phys. Rev. Lett. **132**, 186304 (2024).

- **Kinetic uncertainty relations** - valid for generic currents, nonthermal resources
- Strongly different quantum modifications for fermions/bosons – expressed in terms of measurable quantities

D. Palmqvist, L. Tesser, J. Splettstoesser: arXiv:2410.10793 (2024).

popular  
science  
summary:  
noise in  
steady-state  
heat engines

