Charged Particle Optics

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Application of charged particle optics

Charged particle optics is/was used in the following areas:

- Cathode ray tubes television, oscilloscopes, radars obsolete
- Electron and ion microscopes wavelength reduction to enhance _ resolution
- Electron and ion lithographes _
- Particle accelerators _

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Plasma coating, microwave magnetron -



WARMENT HITSE

CATHODE LEADS

Figure 1 Sectional view of a typical magnetion (Courtesy of Michael S. Wagner)









Comparison: Charged Particle and Light Optics

Feature	Charged Particle Optics	Analogy in Light Optics
Optical elements	Electrostatic and/or magnetic field	Glass and transparent materials
Optical axis must be	Vacuum	Transparent
Lenses	Variable focus	Fixed focus
Focusing	Changing field strength	Moving lens or object Exchange lens
Deflection and scanning	Electrostatic and/or magnetic	Mechanical
Aberrations	Not correctable at round lenses	Easily correctable
Wavelength	~ 2 – 200 pm (electrons)	~ 200 – 1000 nm
Depth of focus	High	Low
Magnification	2x – 1000 000x	1x – 2000x
Maximum resolution	1 nm – 0.1 nm	500 nm

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Overview of optical elements

Optical element	Charged particle optics	Analogy in Light Optics
Sources	Hairpin, Schottky emitter, CFEG	Arc lamp, laser, LEDs etc.
"Round" lenses	Magnetostatic, electrostatic lens	Convergent, divergent lenses
Apertures	Round, annular, arrays	Many types
Deflectors	Magnetostatic, electrostatic	~ Prisms, gratings, mirrors
Multipoles	Magnetostatic, electrostatic	~ Cylindric lenses
Mirrors	Electrostatic	Concave, convex mirrors
Grids	Electrostatic	-
Immersion lens	Immersion lenses	Immersion objectives
Exotic	Wien filter, RF cavities	-

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Creation of a charged particle optics device

Mechanical design Calculation of the fields Calculations of the beam trajectories and optical properties Optimization iterations to get the performance

Tolerancing Models Controlling software

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Basic facts

Electron charge $e = 1.602 \times 10^{-19} C$ $m_0 = 9.109 \times 10^{-31} \text{kg}$ Electron mass Proton/electron mass ratio 1826 $E = \frac{m_0 c^2}{\sqrt{1 - \frac{v^2}{c^2}}}$ Relativistic energy $E = |e\Phi| = \frac{1}{2}mv^2$ Non-relativistic $\lambda = \frac{h}{p} = \frac{h}{\frac{m_0 v}{\sqrt{1 - \frac{v^2}{c^2}}}}$ Electron wavelength Energy [keV] Wavelength [m] Device $\lambda[nm] = \frac{1.2}{\sqrt{|e\Phi|}}$ TEM 50 ÷ 1000 5.46 ÷ 1.22 x 10⁻¹² Non-relativistically SEM $1 \div 30$ 38.6 ÷ 7.04 x 10⁻¹²

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Lorentz force

Force acting on a single particle in a electrostatic and magnetostatic fields

$$\frac{d}{dt} \left(\frac{m\vec{v}}{\sqrt{1 - \frac{v^2}{c^2}}} \right) = e(\vec{E} + \vec{v} \times \vec{B})$$

Electrostatic field - conservative

- Acts always on the particle
- Changes the particle energy and velocity
- Usage up to ~30kV
- Coulomb interaction among particles

Magnetostatic field – not conservative

- Acts only on a moving particle
- Does not change energy of the particle
- Usage up to energies of GeV and more





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Relativistic effects

The relativistic effects can be neglected at ions

Usage of relativistic potential beneficial for systems with no electrostatic lenses



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3.50E+08

Vybrané partie z elektronové mikroskopie



Paraxial approximation

Ez

dl

 \mathbf{V}

E_r

The paradigm of the charged particle optics Angles and lateral distances from the axis are small Energy width is small All higher orders in the potential and field series are neglected



In an analogous way

$$B_r = -\frac{r}{2}\frac{\partial B_z}{\partial z}$$

Linearity of the field only near to the optical axis



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Determination of the field (in cylindrical CS)

EOD J.Zlámal&B.Lencová

Finite difference methods

FEM 3D Ansys, Comsol, CST

Boundary element methods



MEBS E.Munro&J.Rouse

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FEM with quadratic elements



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Simion

Symmetry of the fields and OEs

Symmetry *n* of the field with optical elements: 2*n* multipoles

- n = 0 Round lenses focusing
- n = 1 Dipoles deflectors
- n = 2 Quadrupoles stigmators
- n = 3 Hexapoles correctors
- n = 4 Octopoles universal $n \in \langle 1, 4 \rangle$
- n > 4 Multipoles correctors

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EL

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Axisymmetrical fields (n=0)

Magnetic field of a round lens

Electrostatic field of a round unipotential lens



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Equation of motion

Time dependent

$$m\vec{a} = q(\vec{E} + \vec{v} \times \vec{B})$$
 $m_0 \frac{d}{dt} \left(\frac{\vec{v}}{\sqrt{1 - \frac{v^2}{c^2}}}\right) = q(\vec{E} + \vec{v} \times \vec{B})$
Relativistically corrected potential for electrons
 $\widehat{\Phi} = \Phi(1 + \varepsilon \Phi)$
 $\varepsilon = \frac{|e|}{2mc^2}$
 $\eta = \sqrt{\frac{|e|}{2m}}$
Time independent
 $\frac{d}{dz} \left[\sqrt{\frac{\widehat{\Phi}}{1 + x'^2 + y'^2}} x' \right] = -\left(\frac{1}{2} + \varepsilon \Phi\right) \sqrt{\frac{1 + x'^2 + y'^2}{\widehat{\Phi}}} E_x + \eta (B_y - y'B_z)$
 $\frac{d}{dz} \left[\sqrt{\frac{\widehat{\Phi}}{1 + x'^2 + y'^2}} y' \right] = -\left(\frac{1}{2} + \varepsilon \Phi\right) \sqrt{\frac{1 + x'^2 + y'^2}{\widehat{\Phi}}} E_y + \eta (-B_x + x'B_z)$



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Integration methods

The initial value problem $\dot{y} = f(t, y) y(t_0) = y_0$ Runge Kutta

$$k_{1i} = h f(t_n, y_{ni})$$

$$k_{2i} = h f(t_n + a_2h, y_{ni} + b_{21}k_{1i})$$

$$\dots$$

$$k_{6i} = h f(t_n + a_6h, y_{ni} + b_{61}k_{1i} + \dots + b_{65}k_{5i})$$

$$y_{(n+1)i} = y_{ni} + c_1k_{1i} + c_2k_{2i} + c_3k_{3i} + c_4k_{4i} + c_5k_{5i} + c_6k_{6i} + O(h^6)$$

Bulirsch Stoer

- Richardson extrapolation $h \rightarrow 0$
- Using rational functions for extrapolation
- Error function of the integrator dependent on h^2





Interpolation

A general problem: The value of the field known only at discreete points (FEM not BEM). The integration routine needs to obtain the accurate field values at a general place.

Interpolation of the **axial** fields: paraxial approximation

- Cubic or quintic splines: cubic or quintic polynomials with continuous 2nd or 4th derivative
- Fourier Bessel series

$$B_{z} = \sum_{m=1}^{M} C_{m} \sin\left(\frac{m\pi z}{L}\right) I_{0}\left(\frac{m\pi r}{L}\right),$$

$$B_r = -\sum_{m=1}^{M} C_m \cos\left(\frac{m\pi z}{L}\right) I_1\left(\frac{m\pi r}{L}\right)$$

- Hermite series

$$h_0(x) = \pi^{-0.25} \exp\left(-\frac{1}{2}x^2\right)$$
$$h_1(x) = \sqrt{2} x h_0(x)$$
$$h_i(x) = \left\{\sqrt{2} x h_{i-1}(x) - \sqrt{i-1} h_{i-2}(x)\right\} / \sqrt{i}$$



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Interpolation

Interpolation of general data:

- Bicubic spline
- ZRP method interpolation using Laplacian base functions

(author J.Chmelík)

Using a local coordinate system

$$x = z - z_A$$
, $y = r - r_a$

 $\Phi(x,y) = \sum_{i=1}^{N} C_i g_i(x,y)$

$$g_{1} = 1$$

$$g_{2} = x$$

$$g_{3} = -2r_{A}y + (2x^{2}-y^{2})$$

$$g_{4} = -6r_{A}xy + x(2x^{2}-3y^{2})$$

$$g_{5} = -12r_{A}^{2}(x^{2}-y^{2}) + 12r_{A}y(-4x^{2}+y^{2}) + (8x^{4}-24x^{2}y^{2}+3y^{4})$$

$$g_{6} = -20r_{A}^{2}(x^{3}-3xy^{2}) + 20r_{A}xy(-4x^{2}+3y^{2}) + x(8x^{4}-40x^{2}y^{2}+15y^{4})$$

$$g_{7} = -40r_{A}^{3}(y^{3}-3yx^{2}) + 20r_{A}^{2}(-4x^{4}+21x^{2}y^{2}-3y^{4}) + 30r_{A}y(-8x^{4}+12x^{2}y^{2}-y^{4}) + (16x^{6}-120x^{4}y^{2}+90x^{2}y^{4}-5y^{6}).$$



where $g_i(x, y)$ fulfill Laplace equation. The coeficients are fitted from the 4-8 nearest neighbor points with Singular Value Decomposition method. Weight of the points depends on the distance from the element center

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Analogy with light optics

Basic phenomena of light optics valid in the charged particle optics Thin lens approximation



$$\frac{1}{f} = \frac{1}{a} + \frac{1}{b}$$

But they are thick lenses



two main planes in case of immersion lenses two focal lenghts direct magnification $M = \frac{h_i}{h_o}$ angular magnification $M_{\alpha} = \frac{\alpha_i}{\alpha_o}$



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Solution of the equation of motion

Ordinary differential equation of the second order 2 independent solutions for the initial conditions

$$r_{a}(z_{o}) = 0, r'_{a}(z_{o}) = 1 \implies r_{a}(z_{i}) = 0, \qquad r'_{a}(z_{i}) = M_{a}$$

 $r_{b}(z_{o}) = 1, r'_{b}(z_{o}) = 0 \implies r_{b}(z_{i}) = M \qquad r'_{b}(z_{i}) = -\frac{1}{f_{i}}$

Relationship between direct and angular magnification

$$\frac{\widehat{\Phi}^{1/2}(z_i)}{\widehat{\Phi}^{1/2}(z_o)}MM_a = 1$$

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а

Electrostatic lens: how it focuses

- 1. Intensity E_r changes quickly, change of the radial velocity
- 2. Intensity E_z is constant, change of axial velocity
- 3. Smaller intensity $-E_r$ change of the radial velocity

Axial symmetry of the fringe field causes linear focusing effect





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Magnetostatic lens: how it focuses

- Magnetic induction B_r changes quickly, a change of the tangential velocity
- 2. Magnetic induction B_z is constant, change of radial velocity
- Magnetic induction B_r changes quickly, the tangential velocity stops

Axial symmetry of the fringe field causes linear focusing effect



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Properties of magnetostatic lenses

First order properties $f = \frac{(s+d)k}{10 P (1-P)} \quad P = \frac{(NI)^2}{300 \hat{\Phi}} \quad d = \frac{d_1 + d_2}{2}$ **Excitation parameter** $exc = \frac{NI}{\sqrt{\Phi}}$ scaling laws \rightarrow trajectories for same *exc* same

Rotation

$$= \sqrt{\frac{|e|}{2m}} \int \frac{B_z(z)}{\sqrt{\widehat{\Phi}}} dz$$

Axial aberrations

$$C_{si} \propto \frac{(1+|M|^4)f^3}{(s+d)d}$$

$$\sqrt{\frac{|e|}{2m}} \int \frac{B_z(z)}{\sqrt{\widehat{\Phi}}} dz$$

$$C_{si} \propto (s+d)d$$

 $C_{ci} \propto (1+|M|^2)f$





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θ

Properties of deflectors

Electrostatic (weak) perpendicular f	ield: (parabolic trajectory)	E
Derivative of the movement	$\frac{dx}{dz} = \frac{E_x l}{2\Phi}$	

Deflection does not depend mass and charge – usage at focusing elements ion devices FIB, SIMS

Magnetostatic (weak) perpendicular field: (circular trajectory) Derivative of the movement $\frac{dy}{dz} = \frac{l}{R} = \frac{B_x}{\sqrt{\frac{2m\Phi}{e}}}$ Deflection does depend on the mass and charge – filtering elements at ion devices

Weaker dependency on the particle energy – usage of transversal fields at accelerators

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Deflectors

A pair of deflectors can manipulate with the beam In the lateral position and angularly

$$Exc_{upper} \approx -\frac{\alpha.PP}{Dist}$$

 $Exc_{lower} \approx \alpha \left(1 + \frac{PP}{Dist} \right)$

Pivot point is the position in the column

where the beam rocks about







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Properties of quadrupoles

Quadrupole multipole with n=2



or the second se

Forces on the charged particle

Fx independent of y position and proportional to x position Fy independent of x position and proportional to y position Field/forces on the axis is/are zero

Usage as stigmator



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Light



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How stigmation works

The final lens is not perfect: the focusing ability is varies along the azimuthal angle with a π period Stigmator **Final lens**



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Scaling with Accelerating Voltage

- Equal trajectories if $\frac{E_Z}{\Phi} = const$ Equal trajectories if $\frac{B_Z}{\sqrt{\Phi}} = const$
- Particle mass depends on Φ ! Use relativistic corrected $\widehat{\Phi}$ •

Consequences:

- Electrostatic field does not and magnetic field does split particles according mass and charge
- Permanent magnet effect $\propto \frac{1}{\sqrt{\widehat{\Phi}}}$
- Charging effects $\propto \frac{1}{\Phi}$
- Geometrical misalignment effects do not depend on Φ
- Magnetic saturation effects at high Φ

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Aberrations

Aberrations cause blurring of an point source image

-Diffraction aberration due to wave character of particles

- -Geometrical aberrations describing deviation from the linear behavior
- -Chromatic aberrations due to finite energy width of the beam
- -Parasitic aberrations ... stemming from the imperfection in

manufacturing bad alignment instabilities of HT and power supplies thermal drift of the column assemblies lack of homogeneity of the lens materials

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Axial aberrations





Correction not possible in charged particle optics in such an easy way



Scherzer's theorem (1936) Electromagnetic lenses have unavoidable aberrations (spherical and chromatic) as long as the following conditions are fulfilled:

- Lens fields are rotationally symmetric \rightarrow multipoles
- The electromagnetic fields are static \rightarrow RF operation
- There is no space charges \rightarrow electron mirrors



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Aberrations

Deviation of the real wavefront from the ideal one

Aberration function With the length dimension [m, μ m, ...] Dependent on the radial angle θ and azimuthal angle ϕ



Precision needed $\lambda/4 \sim 1 \text{pm}$ Relative precision \sim deviation of the wavefront / diameter of the wavefront in the objective ...i.e. $1\text{pm}/100\mu\text{m} = 10^{-12}/10^{-4} = 10^{-8}$ Comparable with modern astronomical telescopes

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Aberrations

Representation of geometrical aberration function Křivánek, Delby & Lupini

$$\chi(\theta,\phi) = \sum_{n} \sum_{m} \left\{ C_{n,m,a} \theta^{n+1} \cos(m\phi) + C_{n,m,b} \theta^{n+1} \sin(m\phi) \right\} / (n+1)$$

Where

hetasemiangle	$\in 0 \div$	\sim 50 mrac	k
Φ azimuthal angle	$\in 0 \div$	2π	
<i>n</i> order	$\in 0 \div$	7	
<i>m</i> multiplicity	$\in 0 \div$	6	
For odd <i>n</i> even <i>m</i> = 0, 2, 4	!n+1	e.g.	$C_{1,0}; C_{1,2}; C_{3,0}; C_{5,2}$
For even $n \text{ odd } m = 1, 3, 5$	5n+1	e.g.	$C_{0,1}; C_{2,1}; C_{2,3}; C_{4,5}$

For m = 0 no azimuthal dependence is no term $C_{n,0,b}$ e.g. $C_{3,0}$



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Resolution at scanning probe systems



Image creation



Full field systems

Advantages:

- traditional approach,
- image instantaneously available
- high resolution due to optics

Disadvantages:

- more complex, more expensive
- pixelated detectors
- complicated specimen preparation

Scanning probe systems:

Advantages:

- simpler, cheaper, for any specimens
- integral detectors for various signals Disadvantages:
- image not present at one instant
- resolution due to scanning

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State of the art SEM: general specifications

Parameter	Value(s)	
Landing energy	20 ÷ 30000 eV	~3 orders of magnitude
Probe current	0.78 pA ÷ 410 nA	~6 orders of magnitude
Maximum/minimum field of view	3 mm / 50 nm	~6 orders of magnitude
Resolution	<1 nm	
Beam current control	Continuous	
Vacuum modes	Hi Vac (~10 ⁻⁴ Pa), Low	v Vac (10-50 Pa)

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Scanning electron microscope

Different modes Full frame, Line, Spot, Pattern Cha



STEM



Crossover

Diagnostics



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Scanning electron microscope

linear device

10⁻⁴ to 10⁻⁸ Pa

- Electron or ion source
- Lenses
- Mechanical alignment
- Alignment deflectors
- Scanning deflectors
- Stigmators
- Apertures
- Magnetic shielding
- Vacuum
- Differential pumping
- Mechanical stiffness, vibration and acoustic resistance
- Drifts
- Detectors
- Stable sources
- Alignments
- Control model and SW

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Ion Columns

- Various sources and species: Ga, In, Li, He, Ar
- Electrostatic elements
- Coulomb interactions crucial for resolution
- Sputtering of apertures
- Higher sensitivity on vacuum beam sputtering
- Micromachining and Gas-assisted etching
- Destructive method
- Volume sputtered is independent of the scan field



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Workflow for electronic industry

- 1. Select the region of interest
- 2. Dig out the material in the vicinity
- 3. Form the lamella, cut on one side
- 4. Approach the needle
- 5. Weld the needle and lamella, cut the lamella
- 6. Transport the lamella to special holder, weld it
- 7. Cut the needle, repolish the lamella to ~20nm
- 8. Transport to TEM





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Design issues



- \bullet Colinearity and circularity of the optical elements better in sub- μm region
- Assembling of heavy parts with micron precision different systems for mechanical alignment: kinematical mounting (cone, prism & plane), deformable string of balls + V grooves
- Vacuum issues:
 - usage of a liner thin non magnetic tube excludes electrostatics
 - absence of a liner implies usage of vacuum sealed magnetostatic lenses
 - pressure gradient from the chamber up to the electron gun differential pumping

Electrostatic lenses

• Electrostatic breakdown on the electrostatic lenses: vacuum 10kV/mm, surface much less – rounded shapes of the insulators: ruby balls, PEEK, Macor, ceramics

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Design issues

- Saturation in the yokes of the magnetostatic lenses: design, high saturation soft magnetic materials: ARMCO iron (pure annealed Fe 2.15 T), permalloy (48% Ni and Fe)
- Remanence degaussing rigorous but lengthy normalization easier
- Soft magnetic material turned before and after annealing
- Mechanical strain destroys the ferromagnetic properties
- Thermal load of the magnetostatic lenses due to the Joule heating

water cooling ~ 1000 W – vibrations, drifts



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Design issues

Design constraints results in the physical dimensions of the lenses Magnification in the full field view systems obtained by ratios of object and image distance \rightarrow TEM length ~ 3 m : condenser + objective + projective Scanning probe system more length effective ~ 0.5 m: condenser + final lens

Charging of the materials Almost all design materials are covered with thin semi or non conductive oxide layer Solution: covering with carbon

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Electrostatic versus Magnetic

	Electrostatic	Magnetostatic
Drivers	High voltage	High currents
Environment	Vacuum	Non magnetic
Column heating	no	yes
Scaling with beam energy	~ HV	~ HV ^{1/2}
Scaling with particle mass	no	~ m ^{1/2}
Speed	Faster	Slower
Accuracy	High	Lower (hysteresis)
Cost	More expensive	Less expensive
Application area	lon optics Low energy electrons Fast systems (beam blanker, lithography)	High energy electrons (TEM) Low cost systems

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Alignments



Pairs of deflectors are mostly used for alignments. The position of the pivot point defines their usage. Deflections with different pivot points can be added thanks to linearity.



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Further reading

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Determination of the field in 3D

Finite differences method (FDM ...Simion) Advantages: easy to program Disadvantage: not precise enough

Finite elements method (FEM ... MEBS, CST, Comsol + open source...) Advantages: covers any geometry, non-linearities, commercial packages Disadvantage: Precise field values only on the nods, rest interpolated, evaluation of the higher order derivatives restriction to the modeled space

Boundary element method (BEM ... Lorentz, open source) Advantages: reduces dimensionality of the task by 1, precise field, any geometry, suitable for semi-infinite space Disadvantages: not suitable for non-linear material properties

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Transfer matrix method



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