

# Electron–hole asymmetry of the topological surface states in strained HgTe

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Edited by Subir Sachdev, Harvard University, Cambridge, MA, and approved February 6, 2017 (received for review July 15, 2016)

**Topological insulators are a new class of materials with an insulating bulk and topologically protected metallic surface states. Although it is widely assumed that these surface states display a Dirac-type dispersion that is symmetric above and below the Dirac point, this exact equivalence across the Fermi level has yet to be established experimentally. Here, we present a detailed transport study of the 3D topological insulator-strained HgTe that strongly challenges this prevailing viewpoint. First, we establish the existence of exclusively surface-dominated transport via the observation of an ambipolar surface quantum Hall effect and quantum oscillations in the Seebeck and Nernst effect. Second, we show that, whereas the thermopower is diffusion driven for surface electrons, both diffusion and phonon drag contributions are essential for the hole surface carriers. This distinct behavior in the thermoelectric response is explained by a strong deviation from the linear dispersion relation for the surface states, with a much flatter dispersion for holes compared with electrons. These findings show that the metallic surface states in topological insulators can exhibit both strong electron–hole asymmetry and a strong deviation from a linear dispersion but remain topologically protected.**

topological insulators | surface states | thermopower | quantum Hall effect

Topological insulators (TIs) possess metallic surface states that display a Dirac-type dispersion relation, whereas they are insulating in the bulk (1–4). Despite enormous experimental effort in recent years, access to the topological surface states (TSSs) and the ability to distinguish them from bulk contributions in transport experiments remain a significant challenge. The investigation of their transport properties in the bismuth-chalcogenides compounds, for example, has been hindered by excessive electron doping, which shifts the Fermi energy into the bulk conduction band (5, 6). This energy shift can be circumvented by adding additional hole doping to bring the Fermi energy back into the band gap, and indeed, a surface quantum Hall effect (SQHE) has been observed in nearly stoichiometric BiSbTeSe<sub>2</sub> (7).

The predicted linear dispersion of TSSs on 3D TIs is reminiscent of graphene, the prototype 2D Dirac material. Magnetothermoelectric transport experiments on graphene have shown that  $S_{xx}$  as a function of the applied gate voltage  $V_g$  is in quantitative agreement with the semiclassical Mott formula (8–10) (i.e., thermopower is symmetric and diffusion-driven for electrons and holes), and no signatures of phonon drag have been observed, implying that electron–phonon coupling is weak in graphene (11). Although bismuth-chalcogenides are widely investigated thermoelectric materials for refrigeration and power dependence at room temperature (12), only a few studies to date address the thermopower of TSS, for example, on Bi<sub>2</sub>Se<sub>3</sub> (13) and (Bi<sub>1-x</sub>Sb<sub>x</sub>)Te<sub>3</sub> (14). In Bi<sub>2</sub>Se<sub>3</sub>, the gate-dependent zero-field thermoelectric power is found to be in agreement with the Mott relation near the charge neutrality point at low temperatures (13). Quantum oscillations in  $S_{xx}$  have been observed in

Bi<sub>2</sub>Te<sub>3</sub>, but their interpretation has been hindered by the presence of a significant bulk contribution (15).

In contrast to bismuth-chalcogenide compounds, where both bulk and surface states are present, strained HgTe is the material of choice to investigate transport properties that are unique to the TSS. Strained HgTe is another 3D TI with a relatively small band gap, which is naturally undoped, and can be grown with a very high quality, exceeding the mobility of comparable Bi-based systems by more than one order of magnitude (16–18). This extreme purity coupled with the absence of any notable bulk conductance lead to a quantum Hall (QH) response that is dominated by the Dirac-like surface states (17). The presence of TSS is unambiguously shown here by the observation of ambipolar SQHE. Moreover, we explore in detail the nature of the TSSs in strained HgTe through low-temperature measurements of resistance and Seebeck and Nernst effect in a high magnetic field  $B$  on either side of the Dirac point. At  $B = 0$ , we show that thermopower is dominantly diffusion-driven for surface electrons in agreement with the results on Bi<sub>2</sub>Se<sub>3</sub> (13) and graphene (8–10). In contrast, thermopower for surface holes shows a significant phonon drag contribution. Accompanying band-structure calculations reveal the origin of this electron–hole asymmetry in the thermoelectric response.

## Results and Discussion

**Ambipolar SQHE.** In Fig. 1 *A–C*, we illustrate the observation of the ambipolar SQHE accompanied by Shubnikov–de Haas

### Significance

Topological insulators possess metallic surface states that are generally perceived as electrons and holes with a linear symmetric dispersion around the Dirac point. In this work, we show that this symmetry is significantly distorted in the 3D topological insulator-strained HgTe. In thermopower experiments, we show a distinctively different behavior of surface electrons and holes that originates from a strongly asymmetric dispersion of surface states. Nonetheless, the surface states themselves remain topologically protected as evidenced by the observation of an ambipolar surface quantum Hall effect and quantum oscillations in the thermoelectric response. This observation shows that the physics of topological surface states in 3D topological insulators is far richer than previously envisaged.

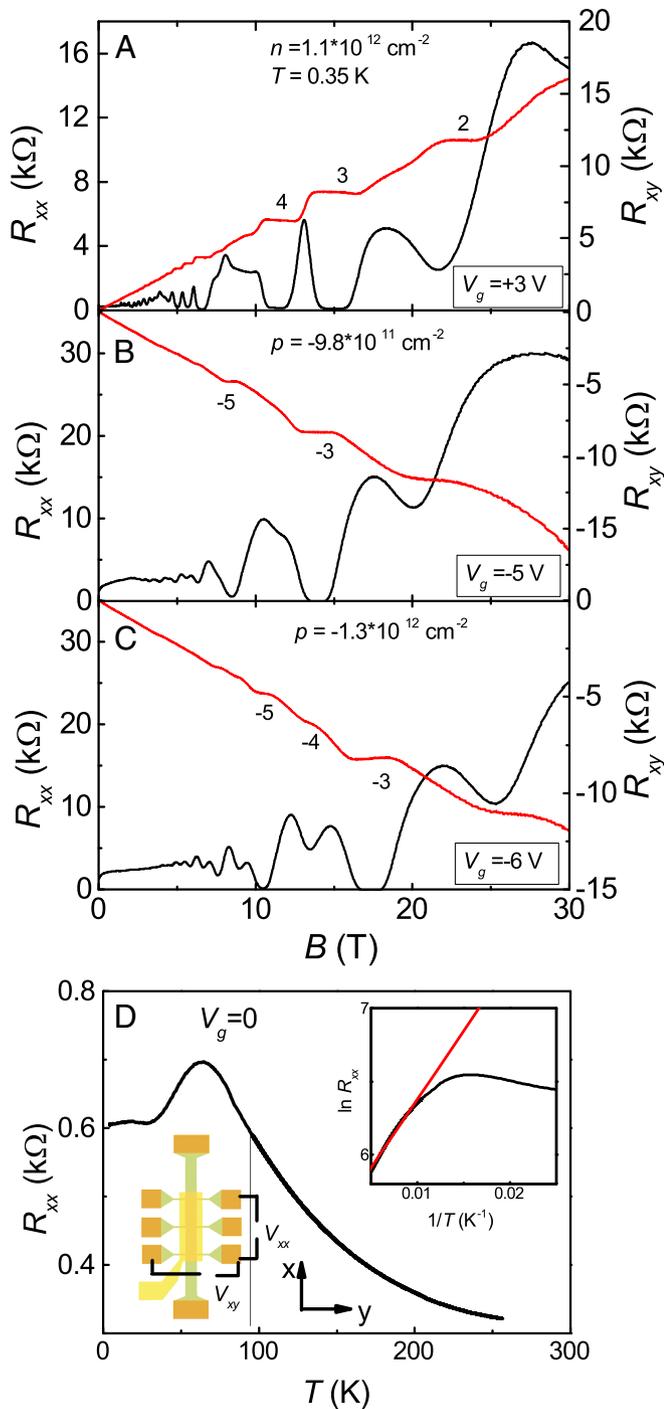
Author contributions: A.J., C.B., H.B., L.W.M., and S.W. designed research; A.J., M.B., C.B., J.C.M., U.Z., N.H., and S.W. performed research; A.J., J.B., E.H., and S.W. analyzed data; M.B. prepared the samples; J.B. and E.H. performed theoretical band-structure calculations; and A.J. and S.W. wrote the paper with input from all coauthors.

The authors declare no conflict of interest.

This article is a PNAS Direct Submission.

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This article contains supporting information online at [www.pnas.org/lookup/suppl/doi:10.1073/pnas.1611663114/-DCSupplemental](http://www.pnas.org/lookup/suppl/doi:10.1073/pnas.1611663114/-DCSupplemental).



**Fig. 1.** Electrical transport and ambipolar SQHE in strained HgTe. (A–C) Quantum oscillations in  $R_{xx}$  (black lines) and SQHE in  $R_{xy}$  (red lines) for different charge-carrier concentrations (several integer filling factors are labeled) at  $T = 0.35 \text{ K}$ . In B, the hole charge-carrier concentrations of both surfaces are approximately equal. (D)  $R_{xx}$  as a function of  $T$  at a gate voltage  $V_g = 0 \text{ V}$ . The metallic TSSs dominate transport for  $T < 65 \text{ K}$ . (Inset) Extraction of the thermal activation gap  $\ln R_{xx}(1/T)$  of 16 meV (red line) and sample layout with the Hall bar in light green and gate and contacts in gold.  $B$ , magnetic field;  $R_{xx}$ , longitudinal resistance;  $R_{xy}$ , Hall resistance;  $T$ , temperature;  $T$ , tesla;  $V_g$ , gate voltage.

oscillations in the resistance  $R_{xx}$  at different  $V_g$ . We use a top gate to tune the charge-carrier concentration  $n$  from the electron region ( $n \approx 1.4 \cdot 10^{12} \text{ cm}^{-2}$ ) through the charge neutrality point deep into the hole regime ( $p \approx -1.3 \cdot 10^{12} \text{ cm}^{-2}$ ). The

observation of ambipolar SQHE is definitive evidence for 2D transport that originates in 3D TIs exclusively from the surface states. The total charge-carrier concentration extracted from the slope of the low-field Hall resistance,  $n_{\text{Hall}}$ , depends linearly on the gate voltage (*SI Text*). From the zero-field resistivity and  $n_{\text{Hall}}$ , we extract a carrier mobility at 0.35 K from  $1.5 \cdot 10^5$  to  $3.0 \cdot 10^5 \text{ cm}^2/\text{Vs}$  for electrons and from  $2.0 \cdot 10^4$  to  $9.0 \cdot 10^4 \text{ cm}^2/\text{Vs}$  for holes.

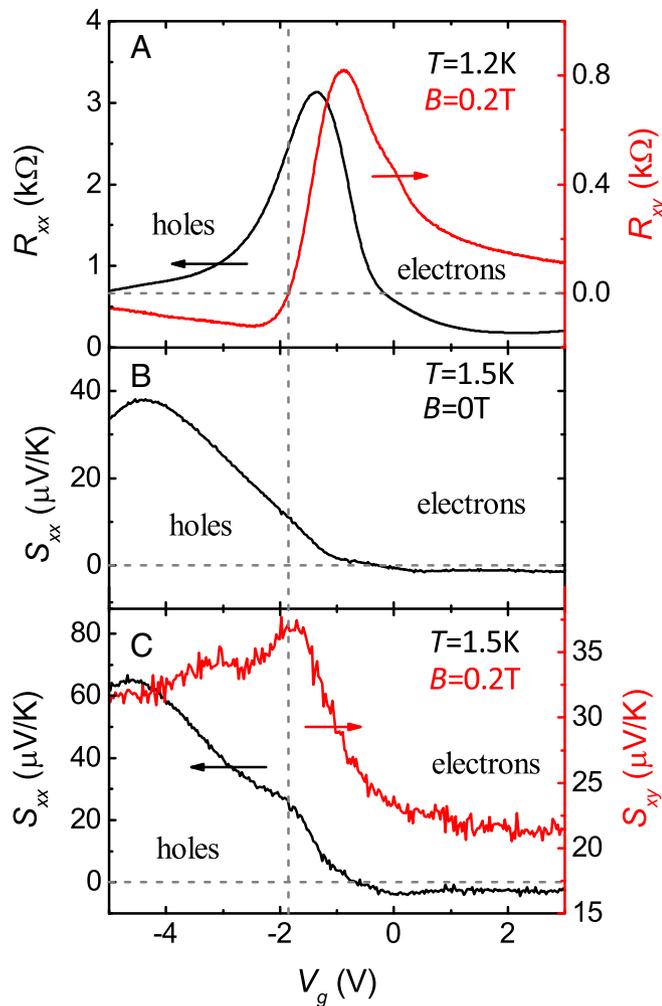
Because of the Dirac nature of charge carriers, TSSs exhibit the half-integer QH effect, where the Hall conductivity is quantized as  $\sigma_{xy}^{(b)} = \nu_{(b)} e^2/h$  with  $\nu_{(b)} = (N_{(b)} + 1/2)$  as the filling factor for each surface and  $N_{(b)}$  as the Landau-level index of the top (bottom) surface. The quantized Hall conductivity is accompanied by a zero conductivity  $\sigma_{xx} = 0$ . Therefore, the total Hall resistance is  $R_{xy} = 1/\sigma_{xy}^{(b)} = h/(N_t + N_b + 1)e^2$  (7, 16–18). In general, when the charge-carrier concentrations of the top and bottom surfaces are different, both odd and even integer QH plateaus appear with zeros in  $R_{xx}$  (Fig. 1A, electrons and C, holes). When the charge-carrier concentrations of the surfaces are approximately equal, however, only odd integer QH plateaus [i.e.,  $R_{xy} = h/(2N+1)e^2$ ] are observed (Fig. 1B) because of the existence of two degenerate Dirac systems. A more comprehensive transport analysis on another sample is presented in *SI Text* and illustrated in Fig. S3.

The dominance of the metallic surface states in the low-temperature resistance is further exemplified in Fig. 1D, where we show the temperature dependence of  $R_{xx}$  at  $V_g = 0$ . With decreasing temperature,  $R_{xx}$  increases strongly down to  $\sim 65 \text{ K}$  because of thermally activated bulk carriers (the Arrhenius plot in Fig. 1D, Inset gives an activation gap of  $\Delta \approx 16 \text{ meV}$ ) that are still dominant. For  $T < 65 \text{ K}$ ,  $R_{xx}$  becomes dominated by the metallic surface states apparent in a decrease of the resistance that saturates at low temperatures.

**Thermoelectric Coefficients.** Having established unambiguously the dominance of TSS in the magnetotransport, we now turn to investigate the thermoelectric response of our films. Thermopower, also referred to as the Seebeck effect  $S_{xx}$ , is the voltage that arises when a thermal gradient is applied along the sample. This voltage is needed to compensate for the thermally driven electron current, and thus, it does not depend directly on the scattering time  $\tau$  but does depend on the derivative of  $\tau$  with respect to the energy  $d\tau/d\varepsilon \propto d\sigma/d\varepsilon$  at the Fermi level, where  $\sigma$  is the conductivity (19). Thus, thermopower compared with other transport properties, such as conductivity, is more sensitive to details of the band structure. In metallic systems, thermopower originates predominantly from two different mechanisms: diffusion and phonon drag. The former arises from the nonequilibrium of the Fermi–Dirac distribution of the electrons caused by a thermal gradient. In the latter, phonons travel down the heat gradient, displacing charge carriers in their wake. Independent of the mechanism,  $S_{xx}$  is almost exclusively negative for electrons and positive for holes (19). In a 3D TI, extra care needs to be taken to disentangle contributions from both surface- and bulk-derived states.

We first focus on the low-field electrical and thermal transport as a function of gate voltage as presented in Fig. 2. The longitudinal resistance  $R_{xx}$  as a function of  $V_g$  (Fig. 2A) has a pronounced maximum at  $V_g \approx -1.35 \text{ V}$ , whereas the Hall resistance  $R_{xy}$  crosses 0 at  $V_g = -1.85 \text{ V}$  (vertical dashed line in Fig. 2A) for  $B = 0.2 \text{ T}$ . For higher (lower)  $V_g$ ,  $R_{xy}$  is positive (negative) pointing toward dominant electron (hole) charge carriers. We, therefore, assign the 0 crossing of  $R_{xy}$  at  $V_g = -1.85 \text{ V}$  to the charge neutrality point of the surface states. At this point,  $R_{xx}$  is  $\approx 85\%$  of its value at the maximum.

The thermopower  $S_{xx}$  as a function of  $V_g$  at  $B = 0$  is shown in Fig. 2B. A change in sign in  $S_{xx}$  is observed at  $V_g = -0.3 \text{ V}$ , corresponding to a transition from dominant electron to dominant



**Fig. 2.** Low-field electrical and thermal transport of strained HgTe at 1.2 and 1.5 K, respectively. (A) Gate voltage dependence of the resistance  $R_{xx}$  and Hall resistance at  $B = 0.2$  T. The position of the Dirac point where  $R_{xy}$  crosses zero is marked by a vertical dashed line. (B) Gate voltage dependence of the thermoelectric power  $S_{xx}$  at  $B = 0$  T. (C) Gate voltage dependence of the thermopower  $S_{xx}$  and Nernst effect  $S_{xy}$  at 0.2 T: a small hump in  $S_{xx}$  is observed, where a gap opens at the Dirac point (vertical line).  $B$ , magnetic field;  $R_{xx}$ , longitudinal resistance;  $R_{xy}$ , Hall resistance;  $S_{xx}$ , thermopower;  $S_{xy}$ , Nernst coefficient;  $T$ , temperature;  $V_g$ , gate voltage.

hole contributions. At positive gate voltages,  $S_{xx}$  is negative—as expected for electrons—and constant over a wide range of gate voltages. Its magnitude is surprisingly small, however, with a value of only a few microvolts per kelvin, comparable with that seen in correlated high-density metals (20, 21). The zero crossing in  $S_{xx}$  occurs at a more positive value of  $V_g$  than the zero crossing of  $R_{xy}$ . Below  $V_g = -1.0$  V,  $S_{xx}$  starts to increase strongly up to a maximum of  $37 \mu\text{V/K}$  at  $V_g = -4.4$  V. This observation raises an important question: why is the thermopower for holes so much larger than that for electrons?

To quantify the diffusion thermopower  $S_d$  for electrons and holes, we use the Mott formula, which is given by

$$S_d = \frac{\pi^2 k_B^2 T}{3} \frac{1}{q} \frac{d\sigma}{d\varepsilon} \Big|_{\varepsilon_F} = \frac{\pi^2 k_B^2 T}{3} \frac{1}{q} \frac{d\sigma}{dn} D(V_g) \quad [1]$$

with  $k_B$  as the Boltzmann constant,  $q$  as the electron/hole charge,  $n$  as the charge-carrier concentration, and  $D(V_g)$  as the density of states at a certain gate voltage measured from the Dirac point (13). Although the conductivity  $\sigma$  and  $d\sigma/dn$  can be extracted

directly from our measurements, to obtain  $D(V_g)$ , we need the effective mass of surface carriers, which can be obtained independently (e.g., from band-structure calculations as shown below).

**Band-Structure Calculations.** Band-structure calculations were performed based on the six-band  $k \cdot p$  approach (22) for a heterostructure comprised of  $\text{Cd}_{0.7}\text{Hg}_{0.3}\text{Te}/\text{HgTe}/\text{Cd}_{0.7}\text{Hg}_{0.3}\text{Te}$ . We use an effective Hartree potential in the spirit of the Dirac screening model as introduced for electron surface states in ref. 16. To account for the large range of carrier concentration observed, we primarily dope the Dirac surface state from the  $n$ - to the  $p$ -type carrier concentrations for a large range of gate voltages, whereas the structure of the bulk bands is weakly affected. This phenomenological approach is motivated by the disagreement between self-consistent Hartree calculations (23) and our magnetotransport results in the regime of the SQHE accompanied by  $R_{xx} = 0$  as well as the fact that we are able to tune the charge-carrier concentration on the top and bottom surfaces by the top gate. More details on transport are presented in *SI Text*. In contrast to the approach in ref. 16, we consider an additional interface potential arising from a reduced point symmetry (24), which introduces a coupling between the light-hole (LH) and heavy-hole (HH) components, even at  $k = 0$ . The interface potential is adjusted such that the position of the Dirac point in the  $k \cdot p$  model coincides approximately with ab initio calculations (25) and angular-resolved photo-emission spectroscopy results (16, 26), where it was found that, for ungated HgTe, the Dirac point is located several tens of millielectronvolts below the HH band edge.

The dispersion relations  $E(k)$  are shown in Fig. 3 for  $V_g = 1$  V and  $V_g = -3$  V.  $V_g = 1$  V corresponds to a large electron density, where the densities on the top and bottom surfaces differ. As a result, odd and even plateaus are observed in the Hall resistance as shown in Fig. 1A.  $V_g = -3$  V corresponds to a small hole density, with the densities on the top and bottom surfaces being approximately the same in this case. These equal densities give rise to only odd plateaus in the Hall resistance  $R_{xy}$ , similar to those observed in Fig. 1B. In the dispersion relation in Fig. 3, we clearly identify the TSSs. Remarkably, the chemical potential  $\mu$  remains in the bulk band gap throughout the whole range of carrier concentrations in agreement with the experimental observation of SQHE, even for large hole carrier concentrations (Fig. 1C). One of the most striking features of the band dispersions of the TSS, however, is the strong departure from a strictly linear (Dirac-like) behavior caused by the strong coupling of the TSS with the HH subbands. Such a deviation from strict linearity was observed first in angular-resolved photoemission experiments on  $\text{Bi}_2\text{Se}_3$  (27). Using our combined techniques, we are able to address the intrinsic charge-carrier properties across the Fermi level by tuning the top gate voltage  $V_g$ . From the dispersion relations in HgTe (Fig. 3), we obtain an effective mass of  $m_e \approx 0.02 m_0$  for surface electrons at  $V_g = 1$  V and  $m_h \approx 0.11 m_0$  at  $V_g = -3$  V for surface holes, where  $m_0$  is the free electron mass. The thermopower is now calculated at  $V_g = 1$  V to be  $S_d \approx -0.7 \mu\text{V/K}$ , which is in excellent agreement with the experimental data, suggesting that thermopower for surface electrons is purely diffusion-driven. For holes, however, we estimate the diffusion contribution to be  $S_d \approx 2 \mu\text{V/K}$ , more than one order of magnitude smaller than the experimental value at  $V_g = -3$  V.

**Phonon Drag Thermopower.** To gain more insight into the mechanisms governing  $S_{xx}$ , we investigate its temperature dependence at different gate voltages as shown in Fig. 4. At lower temperatures, the thermopower for electrons is small and independent on  $V_g$ , with a weak linear temperature dependence consistent with a pure diffusion-driven mechanism (Fig. 4, *Inset*). In contrast,  $S_{xx}$





in Fig. 1D, *Inset*. Care was taken to ensure that the legs running to the contact pads are perpendicular to the applied heat gradient to avoid additional contributions to longitudinal thermoelectric voltage by the legs. Samples  $\Sigma 1$ ,  $\Sigma 2$ , and  $\Sigma 3$  are equipped with a 100-nm-thick Au top gate covering the middle of the sample and parts of the legs separated from the HgTe bulk material by a 110-nm-thick multilayer insulator of  $\text{SiO}_2/\text{Si}_3\text{N}_4$ .

For the thermopower measurements, the sample was mounted free standing in a vacuum chamber and glued with one end to a silver stripe, which was connected to an He bath (cold sink). An electric heater was attached to the other end of the sample to apply a heat gradient, which was monitored by two matched 3-k $\Omega$  ruthenium oxide thermometers glued to the backside of the sample. To ensure that the sample is not thermally shorted by the gate, the heat gradient was cross-checked using the two-point resistance between the upper and lower legs as thermometers. The thermoelectric power has been measured by applying a very low-frequency ( $\sim 0.03$  Hz) square wave-shaped current to the heater, and the thermoelectromotive force  $\Delta V$  was recorded by nanovoltmeters.

The measurements of longitudinal and transverse electrical resistances were conducted in a four-point geometry with low constant voltage excitation to avoid self-heating. Throughout the paper, all values are given as resistance instead of units of resistivity in either 2D or 3D. To obtain the resistivity, all values have to be multiplied by the factor 1/6 for the

2D resistivity or  $1/6 \cdot 10^{-7}$  m for the 3D resistivity. Samples  $\Sigma 1$  and  $\Sigma 2$  were mounted in a  $^4\text{He}$  system with a base temperature of 1.2 K in a 16-T superconducting magnet. For the temperature dependence, sample  $\Sigma 1$  was mounted in a Variable Temperature Insert. Sample  $\Sigma 3$  was investigated in a  $^3\text{He}$  system at a base temperature of 0.3 K, whereas sample  $\Sigma 4$  was measured in a  $^4\text{He}$  flow cryostat with a base temperature of 1.2 K in a 37.5-T Bitter magnet.

**ACKNOWLEDGMENTS.** We thank Benoît Fauqué for fruitful discussions. This work was performed at the High Field Magnet Laboratory Radboud University/Fundamental Research on Matter, member of the European Magnetic Field Laboratory and supported by EuroMagNET II under European Union (EU) Contract 228043. The group from Universität Würzburg acknowledges funding from the German Research Foundation (The Leibniz Program, Sonderforschungsbereich 1170 "Tocotronics," and Schwerpunktprogramm 1666), EU European Research Council Advanced Grant Program Project 3-TOP, and the Elitenetzwerk Bayern Internationales Doktoranden Kolleg "Topologische Isolatoren." This work was supported by German Science Foundation Grant HA 5893/4-1 within Schwerpunkt Program 1666 (to J.B. and E.H.); J.B. and E.H. thank the Elite Bayern Network Graduate School "Topological insulators" for financial support. Financial support was provided by Nederlandse Organisatie voor Wetenschappelijk Onderzoek VENI Grant 680-47-424 (to S.W.).

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