

Principles of Nano-Optics

First published in 2006, this book has become the standard reference on nano-optics. Now in its second edition, the text has been thoroughly updated to take into account new developments and research directions. While the overall structure and pedagogical style of the book remain unchanged, all existing chapters have been expanded and a new chapter has been added.

Adopting a broad perspective, the authors provide a detailed overview of the theoretical and experimental concepts that are needed to understand and work in nano-optics, across subfields ranging from quantum optics to biophysics. New topics of discussion include optical antennas, new imaging techniques, Fano interference and strong coupling, reciprocity, metamaterials, and cavity optomechanics.

With numerous end-of-chapter problem sets and illustrative material to expand on ideas discussed in the main text, this is an ideal textbook for graduate students entering the field. It is also a valuable reference for researchers and course teachers.

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Principles of Nano-Optics

Second Edition

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To our families
(Jessica, Leonore, Jakob, David, Rahel, Rebecca, Nadja, Jan)

and our parents
(Annemarie, Werner, Miloslav, Vera)

. . . it was worth the climb
(B. B. Goldberg)

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Contents

<i>Preface to the first edition</i>	<i>page xv</i>
<i>Preface to the second edition</i>	<i>xvii</i>
1 Introduction	1
1.1 Nano-optics in a nutshell	3
1.2 Historical survey	4
1.3 Scope of the book	7
References	9
2 Theoretical foundations	12
2.1 Macroscopic electrodynamics	12
2.2 Wave equations	14
2.3 Constitutive relations	14
2.4 Spectral representation of time-dependent fields	15
2.5 Fields as complex analytic signals	16
2.6 Time-harmonic fields	16
2.7 Longitudinal and transverse fields	17
2.8 Complex dielectric constant	18
2.9 Piecewise homogeneous media	18
2.10 Boundary conditions	19
2.10.1 Fresnel reflection and transmission coefficients	20
2.11 Conservation of energy	22
2.12 Dyadic Green functions	25
2.12.1 Mathematical basis of Green functions	25
2.12.2 Derivation of the Green function for the electric field	27
2.12.3 Time-dependent Green functions	30
2.13 Reciprocity	31
2.14 Evanescent fields	32
2.14.1 Energy transport by evanescent waves	34
2.14.2 Frustrated total internal reflection	36
2.15 Angular spectrum representation of optical fields	38
2.15.1 Angular spectrum representation of the dipole field	41
Problems	42
References	43

3	Propagation and focusing of optical fields	45
3.1	Field propagators	45
3.2	Paraxial approximation of optical fields	47
3.2.1	Gaussian laser beams	47
3.2.2	Higher-order laser modes	49
3.2.3	Longitudinal fields in the focal region	50
3.3	Polarized electric and polarized magnetic fields	52
3.4	Far-fields in the angular spectrum representation	53
3.5	Focusing of fields	56
3.6	Focal fields	60
3.7	Focusing of higher-order laser modes	64
3.8	The limit of weak focusing	68
3.9	Focusing near planar interfaces	70
3.10	The reflected image of a strongly focused spot	75
	Problems	82
	References	84
4	Resolution and localization	86
4.1	The point-spread function	86
4.2	The resolution limit(s)	92
4.2.1	Increasing resolution through selective excitation	94
4.2.2	Axial resolution	96
4.2.3	Resolution enhancement through saturation	98
4.3	Principles of confocal microscopy	100
4.4	Axial resolution in multiphoton microscopy	105
4.5	Localization and position accuracy	106
4.5.1	Theoretical background	107
4.5.2	Estimating the uncertainties of fit parameters	110
4.6	Principles of near-field optical microscopy	114
4.6.1	Information transfer from near-field to far-field	118
4.7	Structured-illumination microscopy	122
	Problems	126
	References	128
5	Nanoscale optical microscopy	131
5.1	The interaction series	131
5.2	Far-field optical microscopy techniques	134
5.2.1	Confocal microscopy	134
5.2.2	The solid immersion lens	143
5.2.3	Localization microscopy	145
5.3	Near-field excitation microscopy	148
5.3.1	Aperture scanning near-field optical microscopy	148
5.4	Near-field detection microscopy	150
5.4.1	Scanning tunneling optical microscopy	150

5.4.2	Field-enhanced near-field microscopy with crossed polarization	153
5.5	Near-field excitation and detection microscopy	154
5.5.1	Field-enhanced near-field microscopy	154
5.5.2	Double-passage near-field microscopy	159
5.6	Conclusion	160
	Problems	160
	References	161
6	Localization of light with near-field probes	165
6.1	Light propagation in a conical transparent dielectric probe	165
6.2	Fabrication of transparent dielectric probes	166
6.2.1	Tapered optical fibers	167
6.3	Aperture probes	170
6.3.1	Power transmission through aperture probes	171
6.3.2	Field distribution near small apertures	176
6.3.3	Field distribution near aperture probes	181
6.3.4	Enhancement of transmission and directionality	182
6.4	Fabrication of aperture probes	184
6.4.1	Aperture formation by focused-ion-beam milling	186
6.4.2	Alternative aperture-formation schemes	187
6.5	Optical antenna probes	188
6.5.1	Solid metal tips	188
6.6	Conclusion	195
	Problems	196
	References	197
7	Probe–sample distance control	201
7.1	Shear-force methods	202
7.1.1	Optical fibers as resonating beams	202
7.1.2	Tuning-fork sensors	205
7.1.3	The effective-harmonic-oscillator model	206
7.1.4	Response time	209
7.1.5	Equivalent electric circuit	211
7.2	Normal-force methods	213
7.2.1	Tuning fork in tapping mode	213
7.2.2	Bent-fiber probes	214
7.3	Topographic artifacts	214
7.3.1	Phenomenological theory of artifacts	216
7.3.2	Example of optical artifacts	219
7.3.3	Discussion	220
	Problems	221
	References	221

8	Optical interactions	224
8.1	The multipole expansion	224
8.2	The classical particle–field Hamiltonian	228
8.2.1	Multipole expansion of the interaction Hamiltonian	231
8.3	The radiating electric dipole	233
8.3.1	Electric dipole fields in a homogeneous space	234
8.3.2	Dipole radiation	238
8.3.3	Rate of energy dissipation in inhomogeneous environments	239
8.3.4	Radiation reaction	240
8.4	Spontaneous decay	242
8.4.1	QED of spontaneous decay	243
8.4.2	Spontaneous decay and Green’s dyadics	245
8.4.3	Local density of states	248
8.5	Classical lifetimes and decay rates	249
8.5.1	Radiation in homogeneous environments	249
8.5.2	Radiation in inhomogeneous environments	254
8.5.3	Frequency shifts	254
8.6	Dipole–dipole interactions and energy transfer	256
8.6.1	Multipole expansion of the Coulombic interaction	256
8.6.2	Energy transfer between two particles	257
8.7	Strong coupling (delocalized excitations)	264
8.7.1	Coupled oscillators	265
8.7.2	Adiabatic and diabatic transitions	267
8.7.3	Coupled two-level systems	272
8.7.4	Entanglement	276
	Problems	277
	References	279
9	Quantum emitters	282
9.1	Types of quantum emitters	282
9.1.1	Fluorescent molecules	282
9.1.2	Semiconductor quantum dots	286
9.1.3	Color centers in diamond	291
9.2	The absorption cross-section	294
9.3	Single-photon emission by three-level systems	296
9.3.1	Steady-state analysis	297
9.3.2	Time-dependent analysis	298
9.4	Single molecules as probes for localized fields	303
9.4.1	Field distribution in a laser focus	305
9.4.2	Probing strongly localized fields	306
9.5	Conclusion	309
	Problems	310
	References	310

10 Dipole emission near planar interfaces	313
10.1 Allowed and forbidden light	314
10.2 Angular spectrum representation of the dyadic Green function	315
10.3 Decomposition of the dyadic Green function	317
10.4 Dyadic Green functions for the reflected and transmitted fields	318
10.5 Spontaneous decay rates near planar interfaces	321
10.6 Far-fields	323
10.7 Radiation patterns	326
10.8 Where is the radiation going?	329
10.9 Magnetic dipoles	332
10.10 The image dipole approximation	333
10.10.1 Vertical dipole	334
10.10.2 Horizontal dipole	334
10.10.3 Including retardation	335
Problems	335
References	336
11 Photonic crystals, resonators, and cavity optomechanics	338
11.1 Photonic crystals	338
11.1.1 The photonic bandgap	339
11.1.2 Defects in photonic crystals	343
11.2 Metamaterials	345
11.2.1 Negative-index materials	345
11.2.2 Anomalous refraction and left-handedness	348
11.2.3 Imaging with negative-index materials	348
11.3 Optical microcavities	350
11.3.1 Cavity perturbation	356
11.4 Cavity optomechanics	359
Problems	365
References	366
12 Surface plasmons	369
12.1 Noble metals as plasmas	370
12.1.1 Plasma oscillations	370
12.1.2 The ponderomotive force	372
12.1.3 Screening	372
12.2 Optical properties of noble metals	374
12.2.1 Drude–Sommerfeld theory	374
12.2.2 Interband transitions	375
12.3 Surface plasmon polaritons at plane interfaces	377
12.3.1 Properties of surface plasmon polaritons	380
12.3.2 Thin-film surface plasmon polaritons	381
12.3.3 Excitation of surface plasmon polaritons	383
12.3.4 Surface plasmon sensors	387

12.4	Surface plasmons in nano-optics	388
12.4.1	Plasmons supported by wires and particles	391
12.4.2	Plasmon resonances of more complex structures	403
12.4.3	Surface-enhanced Raman scattering	403
12.5	Nonlinear plasmonics	407
12.6	Conclusion	408
	Problems	409
	References	411
13	Optical antennas	414
13.1	Significance of optical antennas	414
13.2	Elements of classical antenna theory	416
13.3	Optical antenna theory	420
13.3.1	Antenna parameters	421
13.3.2	Antenna-coupled light–matter interactions	433
13.3.3	Coupled-dipole antennas	434
13.4	Quantum emitter coupled to an antenna	437
13.5	Quantum yield enhancement	440
13.6	Conclusion	443
	Problems	443
	References	445
14	Optical forces	448
14.1	Maxwell’s stress tensor	449
14.2	Radiation pressure	452
14.3	Lorentz force density	453
14.4	The dipole approximation	453
14.4.1	Time-averaged force	455
14.4.2	Monochromatic fields	456
14.4.3	Self-induced back-action	458
14.4.4	Saturation behavior for near-resonance excitation	459
14.4.5	Beyond the dipole approximation	462
14.5	Optical tweezers	463
14.6	Angular momentum and torque	465
14.7	Forces in optical near-fields	466
14.8	Conclusion	470
	Problems	471
	References	472
15	Fluctuation-induced interactions	474
15.1	The fluctuation–dissipation theorem	474
15.1.1	The system response function	475
15.1.2	Johnson noise	479
15.1.3	Dissipation due to fluctuating external fields	481

15.1.4	Normal and antinormal ordering	482
15.2	Emission by fluctuating sources	483
15.2.1	Blackbody radiation	485
15.2.2	Coherence, spectral shifts, and heat transfer	486
15.3	Fluctuation-induced forces	488
15.3.1	The Casimir–Polder potential	490
15.3.2	Electromagnetic friction	494
15.4	Conclusion	497
	Problems	497
	References	498
16	Theoretical methods in nano-optics	500
16.1	The multiple-multipole method	500
16.2	Volume-integral methods	506
16.2.1	The volume-integral equation	508
16.2.2	The method of moments (MOM)	513
16.2.3	The coupled-dipole method (CDM)	514
16.2.4	Equivalence of the MOM and the CDM	515
16.3	Effective polarizability	517
16.4	The total Green function	518
16.5	Conclusion	519
	Problems	519
	References	520
Appendix A	Semi-analytical derivation of the atomic polarizability	523
A.1	Steady-state polarizability for weak excitation fields	526
A.2	Near-resonance excitation in the absence of damping	528
A.3	Near-resonance excitation with damping	530
Appendix B	Spontaneous emission in the weak-coupling regime	532
B.1	Weisskopf–Wigner theory	532
B.2	Inhomogeneous environments	534
	References	536
Appendix C	Fields of a dipole near a layered substrate	537
C.1	Vertical electric dipole	537
C.2	Horizontal electric dipole	538
C.3	Definition of the coefficients A_j , B_j , and C_j	541
Appendix D	Far-field Green functions	543
Index		545

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Preface to the first edition

Why should we care about nano-optics? For the same reason we care about optics! The foundations of many fields of the contemporary sciences have been established using optical experiments. To give an example, think of quantum mechanics. Blackbody radiation, hydrogen lines, or the photoelectric effect were key experiments that nurtured the quantum idea. Today, optical spectroscopy is a powerful means to identify the atomic and chemical structure of different materials. The power of optics is based on the simple fact that the energy of light quanta lies in the energy range of electronic and vibrational transitions in matter. This fact is at the core of our abilities for visual perception and is the reason why experiments with light are very close to our intuition. Optics, and in particular optical imaging, helps us to consciously and logically connect complicated concepts. Therefore, pushing optical interactions to the nanometer scale opens up new perspectives, properties and phenomena in the emerging century of the nanoworld.

Nano-optics aims at the understanding of optical phenomena on the nanometer scale, i.e. near or beyond the diffraction limit of light. It is an emerging new field of study, motivated by the rapid advance of nanoscience and nanotechnology and by their need for adequate tools and strategies for fabrication, manipulation and characterization at the nanometer scale. Interestingly, nano-optics predates the trend of nanotechnology by more than a decade. An optical counterpart to the scanning tunneling microscope (STM) was demonstrated in 1984 and optical resolutions had been achieved that were significantly beyond the diffraction limit of light. These early experiments sparked a field initially called *near-field optics*, since it was realized quickly that the inclusion of near-fields in the problem of optical imaging and associated spectroscopies holds promise for achieving arbitrary spatial resolutions, thus providing access for optical experiments on the nanometer scale.

The first conference on near-field optics was held in 1992. About seventy participants discussed theoretical aspects and experimental challenges associated with near-field optics and near-field optical microscopy. The subsequent years are characterized by a constant refinement of experimental techniques, as well as the introduction of new concepts and applications. Applications of near-field optics soon covered a large span ranging from fundamental physics and materials science to biology and medicine. Following a logical development, the strong interest in near-field optics gave birth to the fields of *single-molecule spectroscopy* and *plasmonics*, and inspired new theoretical work associated with the nature of optical near-fields. In parallel, relying on the momentum of the flowering nanosciences, researchers started to tailor nanomaterials with novel optical properties. Photonic crystals, single-photon sources and optical microcavities are products of this effort. Today, elements of nano-optics are scattered across the disciplines. Various review articles

and books capture the state-of-the-art in the different subfields but there appears to be no dedicated textbook that introduces the reader to the general theme of nano-optics.

This textbook is intended to teach students at the graduate level or advanced undergraduate level about the elements of nano-optics encountered in different subfields. The book evolved from lecture notes that have been the basis for courses on nano-optics taught at the Institute of Optics of the University of Rochester, and at the University of Basel. We were happy to see that students from many different departments found interest in this course, which shows that nano-optics is important to many fields of study. Not all students were interested in the same topics and, depending on their field of study, some students needed additional help with mathematical concepts. The courses were supplemented with laboratory projects that were carried out in groups of two or three students. Each team picked the project that had most affinity with their interest. Among the projects were: surface enhanced Raman scattering, photon scanning tunneling microscopy, nanosphere lithography, spectroscopy of single quantum dots, optical tweezers, and others. Towards the end of the course, students gave a presentation on their projects and handed in a written report. Most of the problems at the end of individual chapters have been solved by students as homework problems or take-home exams. We wish to acknowledge the very helpful input and inspiration that we received from many students. Their interest and engagement in this course is a significant contribution to this textbook.

Nano-optics is an active and evolving field. Every time the course was taught new topics were added. Also, nano-optics is a field that easily overlaps with other fields such as physical optics or quantum optics, and thus the boundaries cannot be clearly defined. This first edition is an initial attempt to put a frame around the field of nano-optics. We would be grateful to receive input from our readers related to corrections and extensions of existing chapters and for suggestions of new topics.

Acknowledgments

We wish to express our thanks for the input we received from various colleagues and students. We are grateful to Dieter Pohl who inspired our interest in nano-optics. This book is a result of his strong support and encouragement. We received very helpful input from Andreas Lieb, Scott Carney, Jean-Jacques Greffet, Stefan Hell, Carsten Henkel, Mark Stockman, Gert Zumofen, Jer-Shing Huang, Paolo Bragioni, and Jorge Zurita-Sanchez. It was also a great pleasure to discuss various topics with Miguel Alonso, Joe Eberly, Robert Knox, and Emil Wolf at the University of Rochester.

Preface to the second edition

We are very pleased that this textbook found wide use and reasonably high demand. Since the first printing of the first edition in 2006, the field of nano-optics has gained considerable momentum and new research directions have been established. Among the new topics are metamaterials, optical antennas, and cavity optomechanics, to name but a few. The high field localization associated with metals at optical frequencies has given rise to the demonstration of truly nanoscale lasers and the high nonlinearity of metals is being used for frequency conversion in subwavelength volumes. These new trends define a clear motivation for a second edition of *Principles of Nano-Optics*.

The overall structure of the book has been left unchanged with the exception of a new chapter on optical antennas (Chapter 13). Chapter 2 (Theoretical foundations) has been adjusted to include topics such as reciprocity and energy density in lossy media, and Chapter 4 (Resolution and localization) has been extended by including new microscopy techniques, such as structured illumination and localization microscopy. Chapter 5 received a major polish: optical microscopy is now classified in terms of interaction orders between probe and sample. On the other hand, Chapter 6 has been condensed since some near-field techniques are no longer of general interest. Several new topics have been included in Chapter 8, which covers the theory of localized light–matter interactions. Among the new sections is a discussion of Fano interference, strong coupling between modes, and level crossing. Chapters 9 and 10 received only minor revisions, while Chapter 11 has been extended by a section on metamaterials and cavity optomechanics. Chapter 12 (Surface plasmons) has also been restructured: metals are discussed from a perspective of plasma physics leading to screening and to ponderomotive forces, which give rise to a wide range of optical nonlinearities. The chapter on optical forces (Chapter 14) has been adjusted to provide a more self-consistent perspective on dipole forces. Finally, various typos have been fixed. We thank our critical readers for pointing out several errors and for suggesting valuable changes.

Despite the changes and additions it is not possible to account for all the new results and directions in the field. However, the purpose of this book is not to provide a comprehensive review, but to present the necessary foundations and concepts to understand what's going on. In this sense, the book has remained a textbook and a reference for those seeking a conceptual understanding of the working principles of nano-optics.