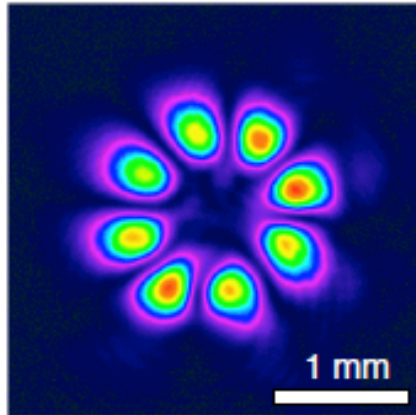


Applied Physics and Applied Mathematics
Columbia University

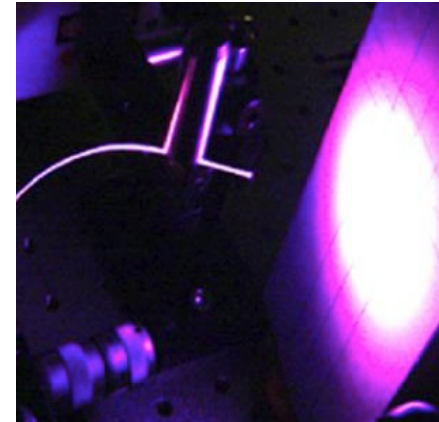
Nonlinear Optical Interactions over 23-Orders of Magnitude

Intense-Field Physics



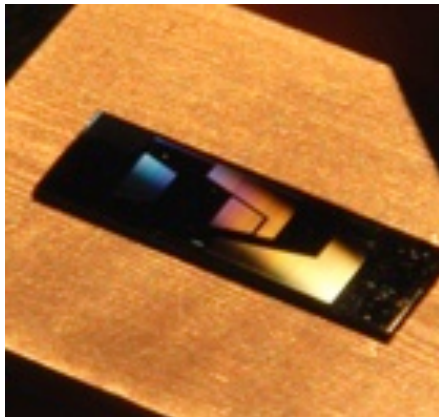
10 MW – 1 TW

Fiber-Based NLO



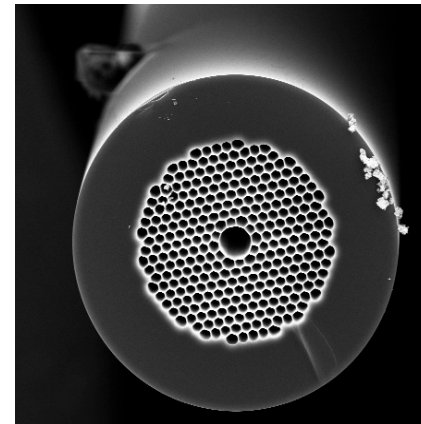
1 W – 100 kW

Chip-Based Nanophotonics



100 μ W – 100 mW

Ultralow-Power Atom Interactions



10 pW – 1 μ W

Lecture I

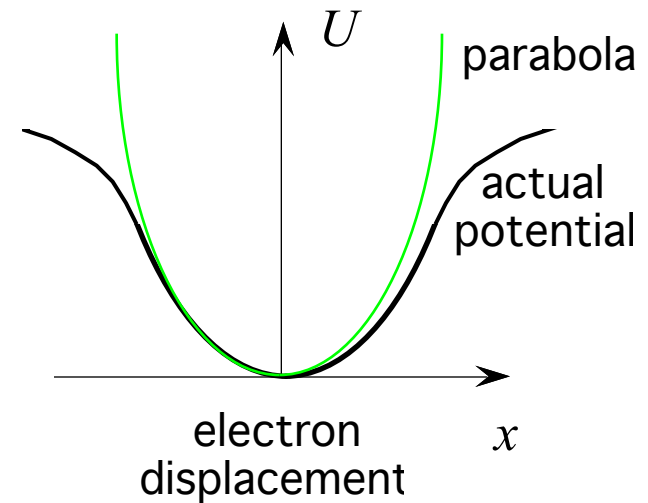
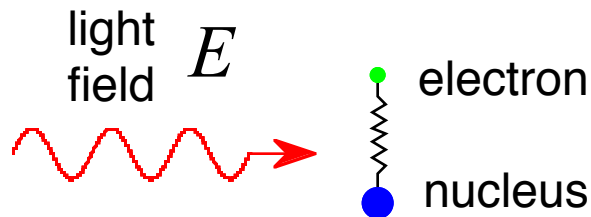
- Brief review of linear & nonlinear optics waveguides
- Nonlinear processes in nanowaveguides
- Four-wave mixing (FWM) in Si nanowaveguides
 - ✧ Dispersion engineering
 - ✧ Ultra-broadband wavelength conversion
 - ✧ Applications: correlated photons, signal regeneration

Lecture I

- Brief review of linear & nonlinear optics waveguides
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Nonlinear Optics: Interaction of Laser Light with Matter

- Microscopic picture: Lorentz-atom model.



restoring force: $F_{res} = -kx + ax^2 + bx^3 + \dots$

- Macroscopic picture: nonlinear dependence on applied field.

polarization of
the medium

$$P = \underbrace{\chi^{(1)} E}_{\text{linear susceptibility}} + \underbrace{\chi^{(2)} E^2 + \chi^{(3)} E^3 + \dots}_{\text{nonlinear susceptibilities}}$$

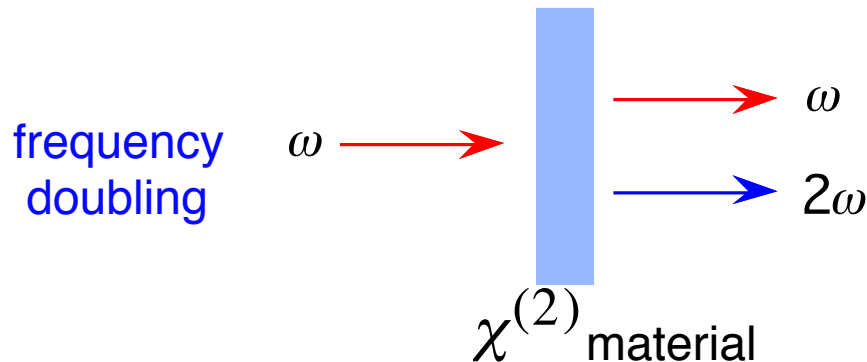
2nd-Order Nonlinear Processes

- Consider oscillating electric field: $E(t) = A \cos \omega t$
- $\chi^{(2)}$ effects: second-harmonic generation:

$$P^{(2)}(t) = \chi^{(2)} E^2(t) = \chi^{(2)} \frac{A^2}{2} (1 + \cos 2\omega t)$$

/
\

 dc
 second-harmonic



- Other processes:
 - ♦ terahertz generation
 - ♦ sum- and difference-frequency generation
 - ♦ optical parametric amplification

- Only occurs in non-centrosymmetric crystals.
 - ♦ requires phase-matching (e.g., $n_{\omega} = n_{2\omega}$)

3rd-Order Nonlinear Processes

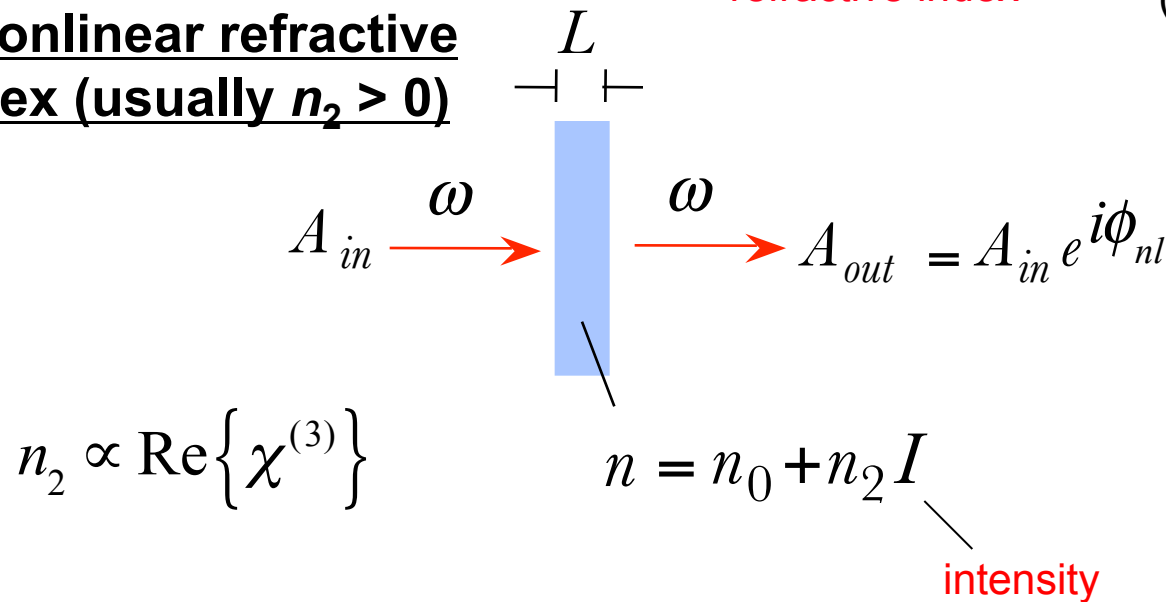
- $\chi^{(3)}$ effects: intensity-dependent refractive index

$$P^{(3)}(t) = \chi^{(3)} E^3(t) = \chi^{(3)} \frac{A^3}{4} (3 \cos \omega t + \cos 3\omega t)$$

intensity-dependent
refractive index

3rd-harmonic
(usually not phase matched)

All materials exhibit
a nonlinear refractive
index (usually $n_2 > 0$)



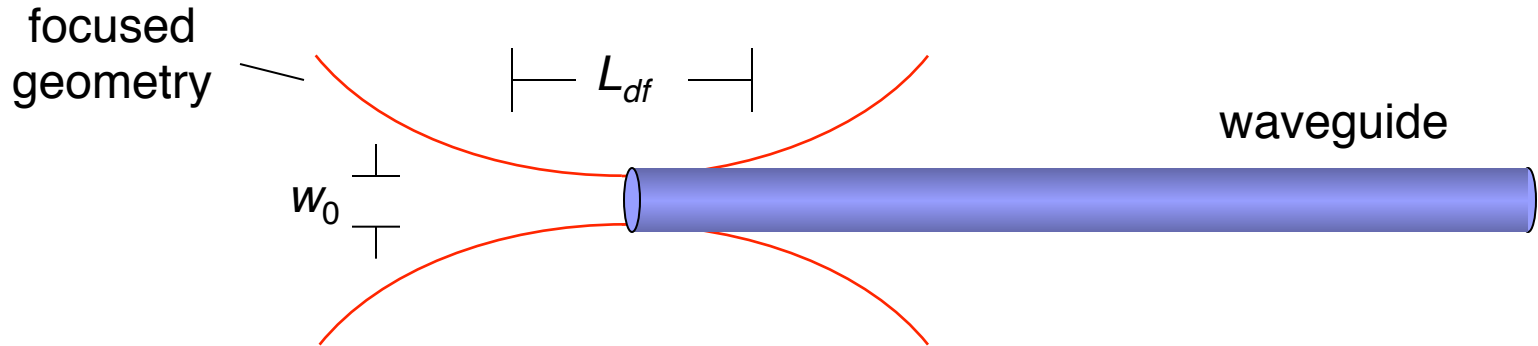
$$n_2^{glass} \sim 10^{-16} \text{ cm}^2 / \text{W}$$

$$n_2^{Si} \sim 10^{-14} \text{ cm}^2 / \text{W}$$

$$n_2^{air} \sim 10^{-20} \text{ cm}^2 / \text{W}$$

- Nonlinear phase shift is important when: $\phi_{nl} = \frac{2\pi}{\lambda} n_2 I L \geq \pi$

Nonlinear Interactions: Why Waveguides?



nonlinear parameter

$$\phi_{NL} = \kappa_{NL} \frac{P}{w_0^2} L$$

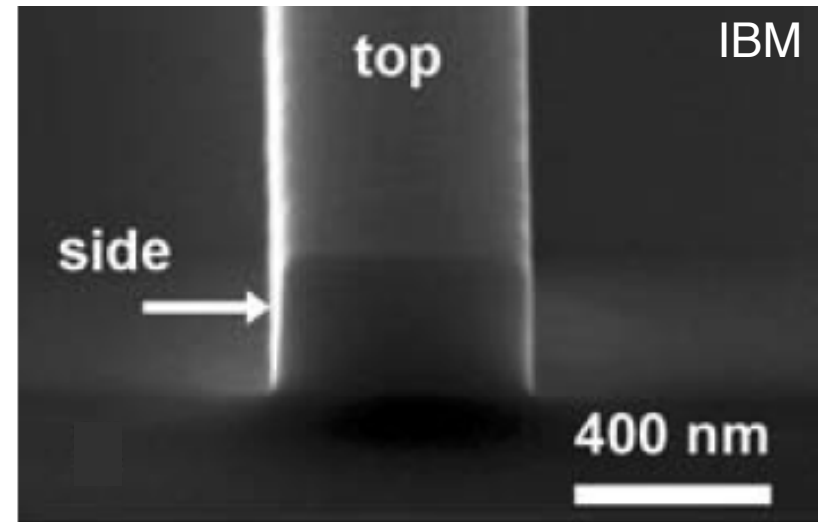
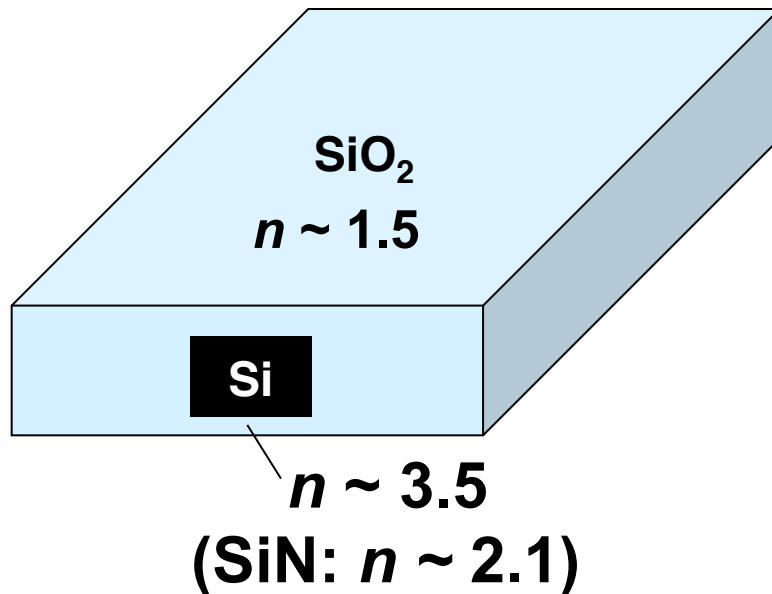
power

area

interaction length

- Interaction length can be $\gg$ the diffraction length.
- Dispersion can be engineered.

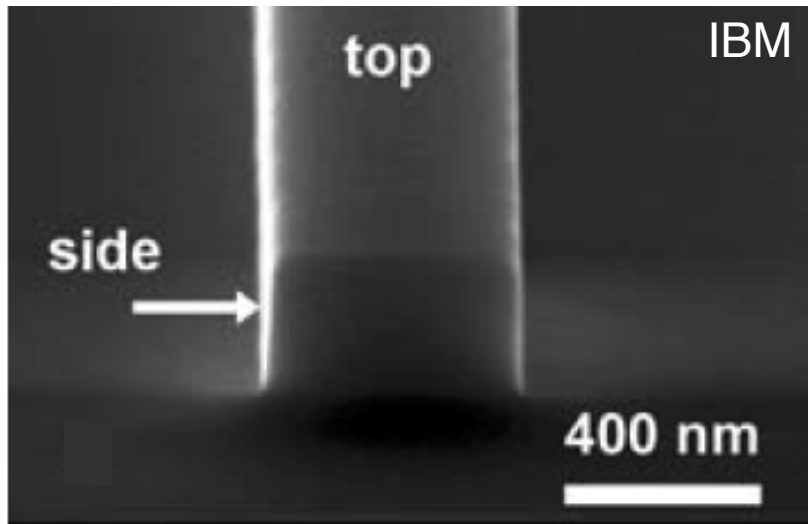
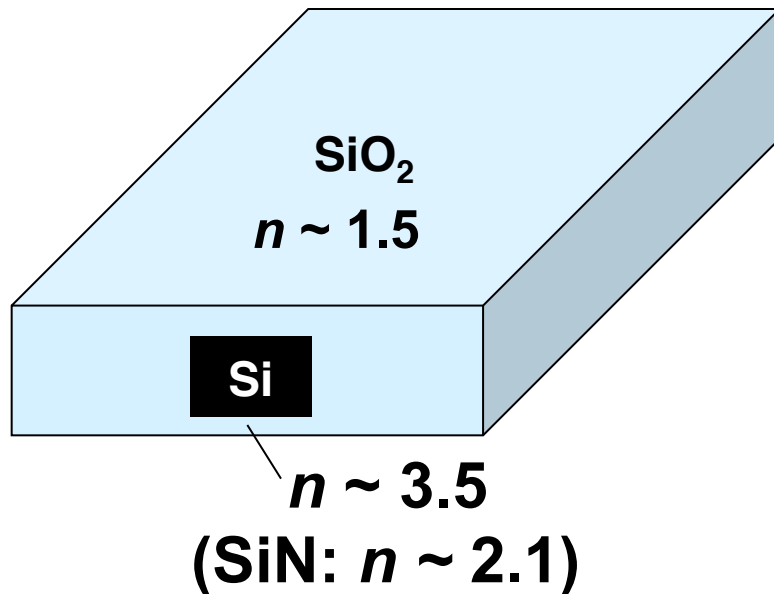
Nonlinear Optics in Silicon-Based Nanowaveguides



Absorption edge: Silicon $\Rightarrow \sim 1.1 \mu\text{m}$ $\text{Si}_3\text{N}_4 \Rightarrow \sim 400 \text{ nm}$

- Nonlinearity of Silicon 100X (Si_3N_4 : 10X) silica
- Losses: Silicon – 1 dB/cm (Si_3N_4 – 0.01 dB/cm)
- Light confined to a region $<$ than a wavelength.

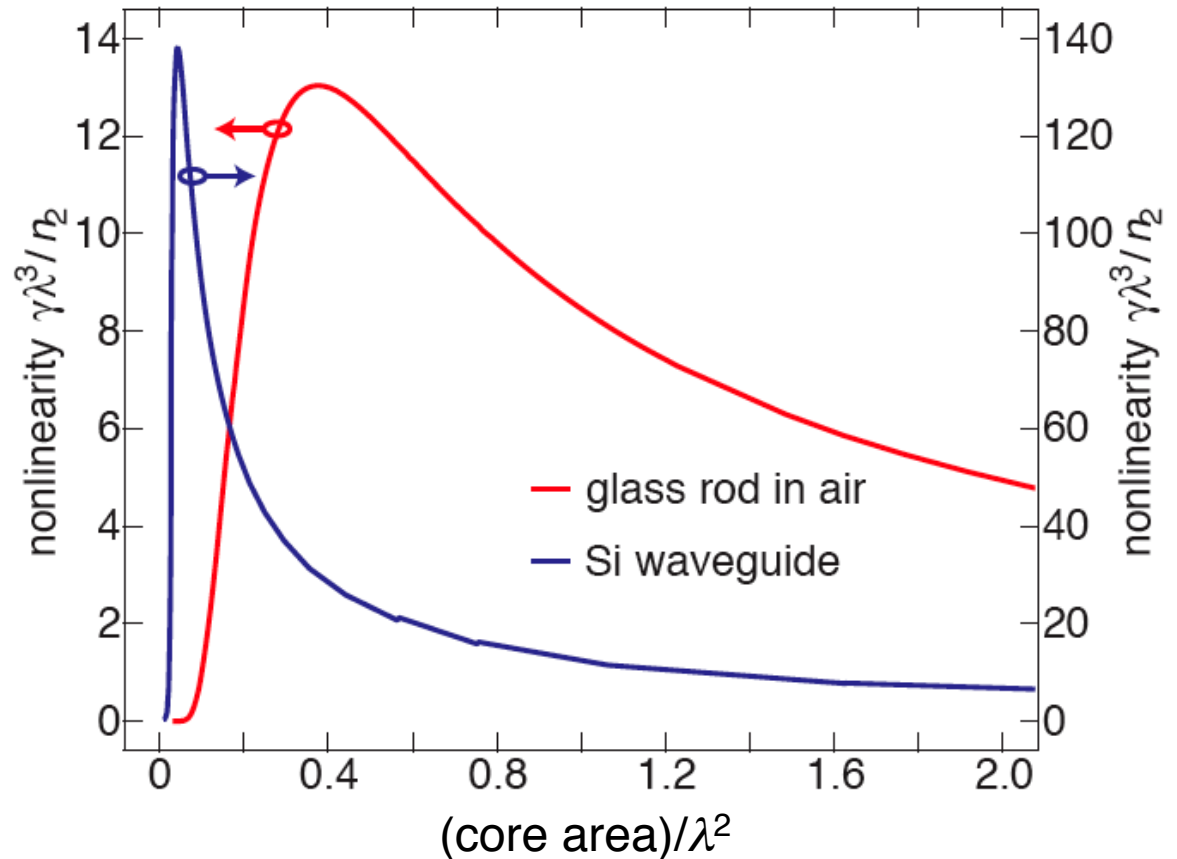
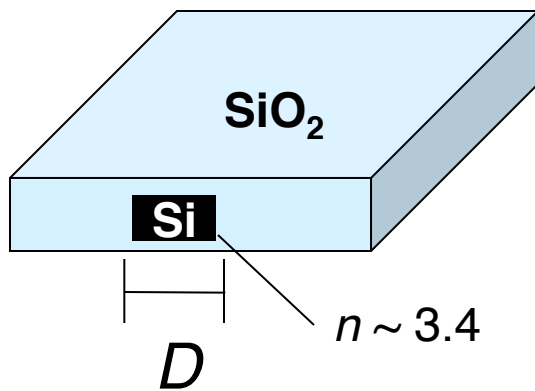
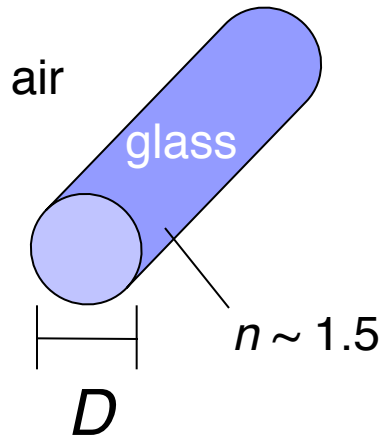
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- Losses: Silicon $\sim 1 \text{ dB/cm}$ ($\text{Si}_3\text{N}_4 - 0.01 \text{ dB/cm}$)
- Light confined to a region $<$ than a wavelength.
- **Dispersion can be engineered.**

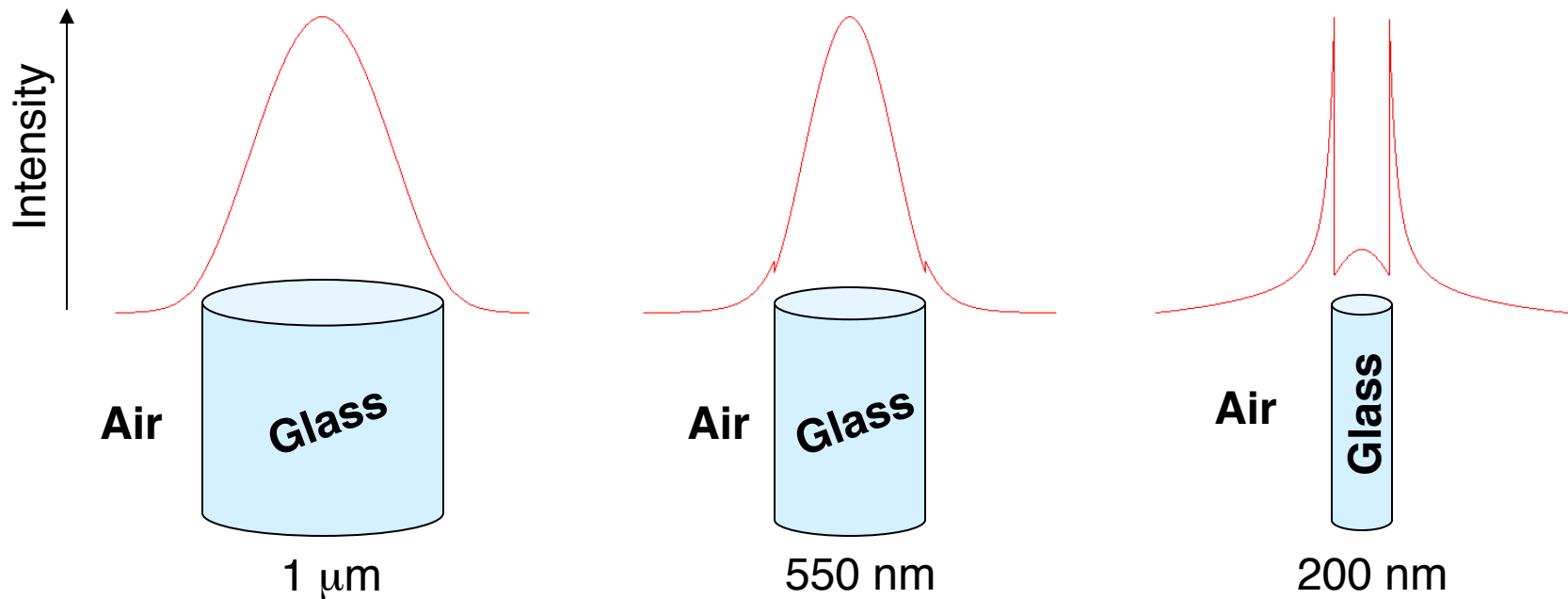
Confinement Properties of Ultra-Small-Core Waveguides



$$D_{\text{optimal}} < \lambda$$

Confinement Properties

$$\lambda = 800 \text{ nm}$$



Dispersion

- Expand propagation constant in power series expansion

$$k(\omega) = \frac{n(\omega)\omega}{c} = k_0 + k_1(\omega - \omega_0) + \frac{1}{2}k_2(\omega - \omega_0)^2 + \dots \quad k_m = \left. \frac{d^m k}{d\omega^m} \right|_{\omega=\omega_0}$$

propagation
constant

$$k_0 = \frac{n_{mode}(\omega_0)\omega_0}{c}$$

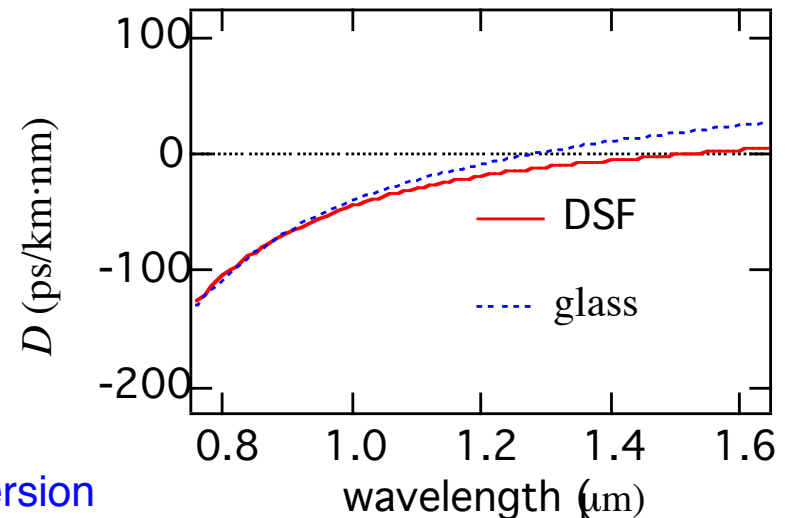
inverse of
group velocity

$$k_1 = \left. \frac{dk}{d\omega} \right|_{\omega=\omega_0} = \frac{1}{v_{gr}}$$

group-velocity
dispersion

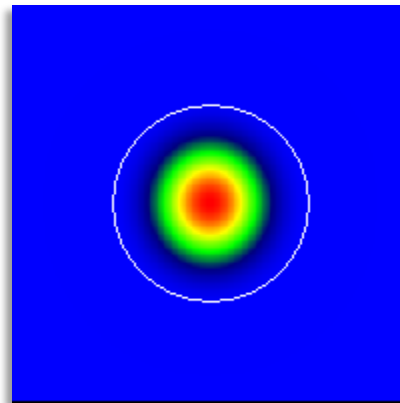
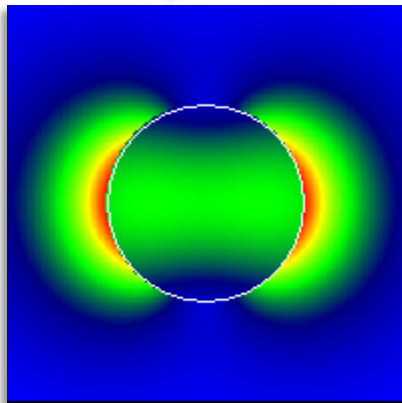
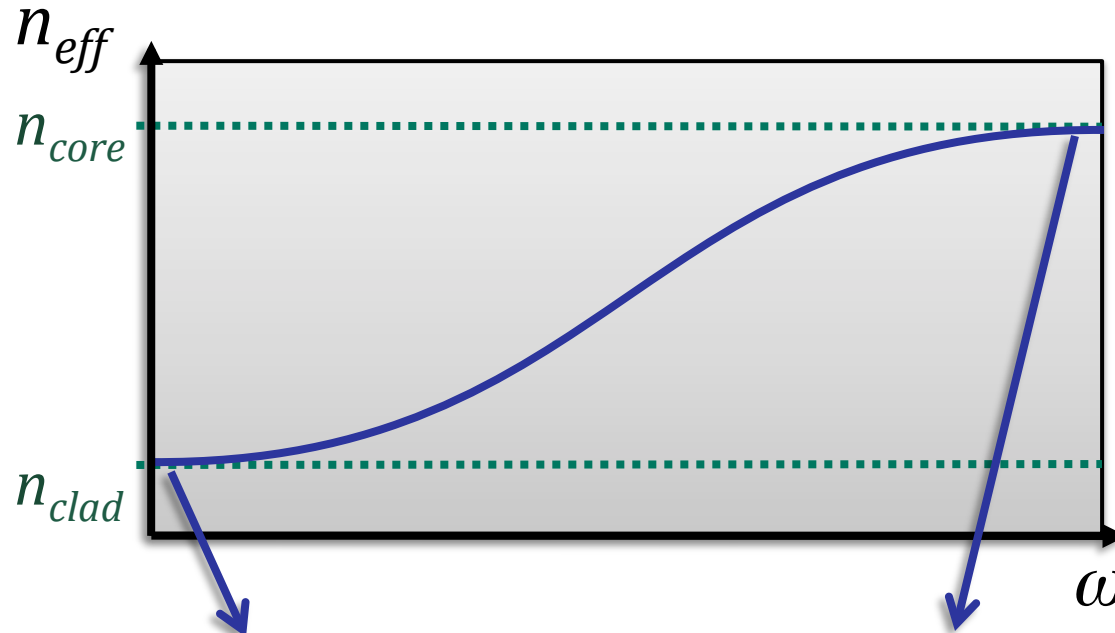
$$k_2 = \left. \frac{d^2 k}{d\omega^2} \right|_{\omega=\omega_0} = -\frac{\lambda^2}{2\pi c} D$$

dispersion
parameter



$D > 0$ anomalous dispersion
 $D < 0$ normal dispersion

Waveguide Dispersion



Mode effective index

- Short λ , high ω
 - Mode is fully confined
 - $n_{eff} \rightarrow n_{core}$
- Long λ , low ω
 - Mode expands outside core
 - $n_{eff} \rightarrow n_{clad}$
- Step-index core
 - Smooth transition

Nonlinear Propagation in Waveguides: Nonlinear Schrödinger Equation

[Nonlinear Optics, Boyd (2009)]

$$z = z / L_{ds}$$

$$\tau = \frac{t - z / v_{gr}}{\tau_p}$$

local
time

input
pulse duration

dispersion
length

$$L_{ds} = \frac{\tau_p^2}{|k_2|}$$

nonlinear
length

$$L_{nl} = \frac{cA_{eff}}{\omega_0 n_2 P_0}$$

effective
mode area

$$P_0 \propto |A_0|^2$$

input
power

$$\frac{\partial u}{\partial z} = -\text{sgn}(k_2) \frac{i}{2} \frac{\partial^2 u}{\partial \tau^2} + i \frac{L_{ds}}{L_{nl}} |u|^2 u$$

dispersion

nonlinearity

$$u = \frac{A}{A_0}$$

input
amplitude

- Describes very well propagation of pulses in waveguides.
- Additional nonlinearities (e.g., Raman scattering) can be easily included.
- Addition of self-steepening allows for treatment of $\sim$ single-cycle pulses.

- Raman scattering
 - ✧ Raman gain & oscillation [Claps et al 2003; Rong et al 2004; Espinola et al 2004; Xu, et al. 2005; Rong et al 2004; Boyraz et al 2004]
 - ✧ Raman-induced slow light [Okawachi et al 2006]
 - ✧ Zeno-switching [Wen et al 2011]
- Instantaneous Kerr nonlinearity
 - ✧ phase modulation & continuum generation [Tsang et al 2002; Boyraz et al 2004; Dulkeith et al, 2006; Hsieh et al, 2006; Hsieh, et al 2007; Koonath, et al 2007; Kuyken, et al. 2011; Halir, et al 2012]
 - ✧ harmonic generation [Corcoran et al. 2009; Levy et al. 2011]
- Four-wave mixing [Dimitropoulos et al 2004; Fukuda et al 2005; Espinola et al 2005; Yamada et al 2006; Rong et al 2006; Foster et al. 2006; Koos et al 2009); McMillan et al 2010; Zlatanovic et al. 2010; Xiaoping et al. 2010; Kuyken et al. 2011; Hu, et al. 2011]
 - ✧ generation of correlated photons [Sharping, et al. 2006; Harada et al 2007; Clemmen et al 2008]
 - ✧ signal regeneration [Salem, et al 2007, 2008]
 - ✧ parametric oscillation & comb generation (Levy, et al 2010; Foster et al 2011; Okawachi et al 2011; Ferdous et al. 2011); Herr, et al 2012]
 - ✧ ultrafast processing [Foster, et al 2008; Salem et al 2008; Corcoran et al 2010; Christian, et al. 2011]

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Reviews: Foster, et al. *Opt. Express* **16**, 1300 (2008)

Osgood, et al., *Adv. Opt. Phot.* **1**, 162 (2009)

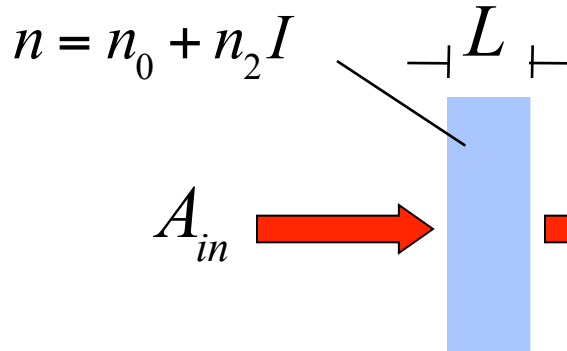
Leuthold, et al., *Nat. Phot.* **4** 535 (2010).

Lecture I

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Self- and Cross-Phase Modulation

- Self-phase modulation (SPM)

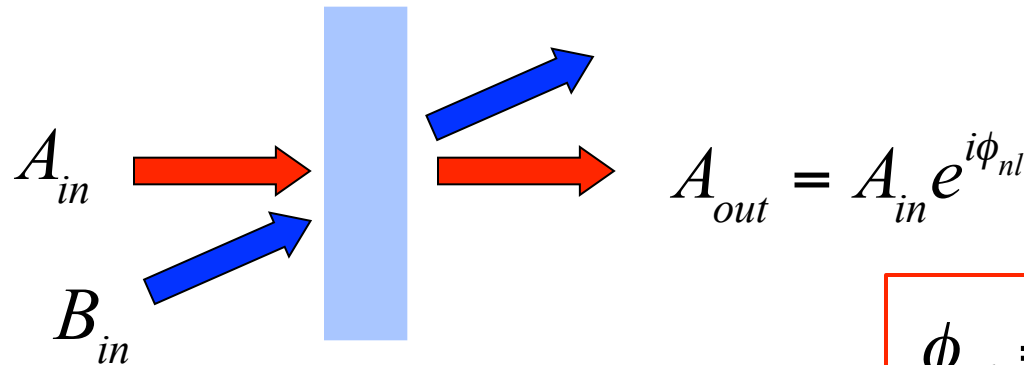


$$A_{out} = A_{in} e^{i\phi_{nl}}$$

SPM

$$\phi_{nl} = \gamma I L$$

- Cross-phase modulation (XPM)



XPM

$$\phi_{nl} = \gamma (I_A + 2I_B) L$$

Self-Phase Modulation w/ Pulses

- Neglect dispersion:

output
field

$$A_{out}(\tau) = A_{in}(\tau) e^{j\phi_{nl}(\tau)}$$

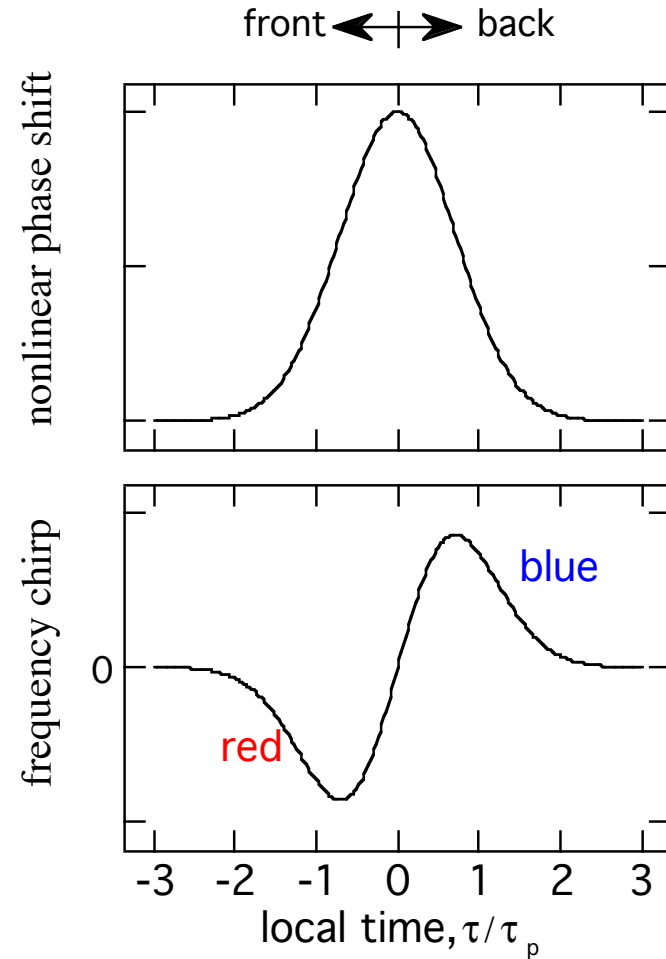
nonlinear
phase shift

$$\phi_{nl}(\tau) = \frac{2\pi}{\lambda} n_2 I_{in}(\tau) L$$

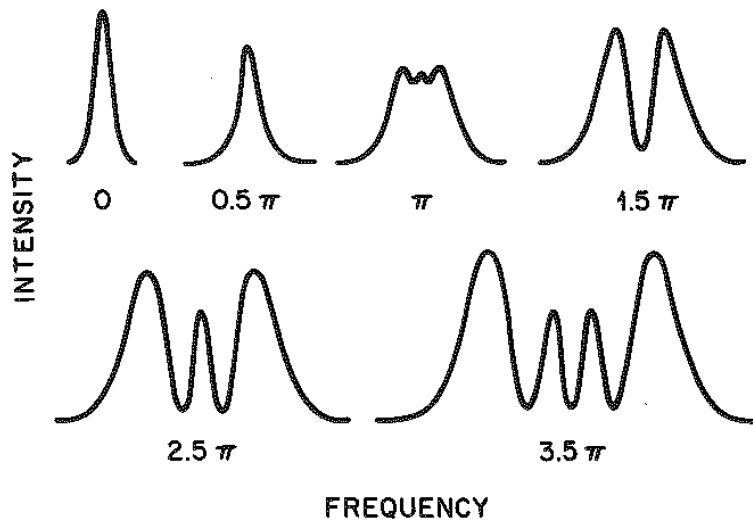
frequency
chirp

$$\delta\omega(\tau) = -\frac{\partial\phi_{nl}}{\partial\tau} \propto \frac{\phi_{nl}^{\max}}{\tau_p}$$

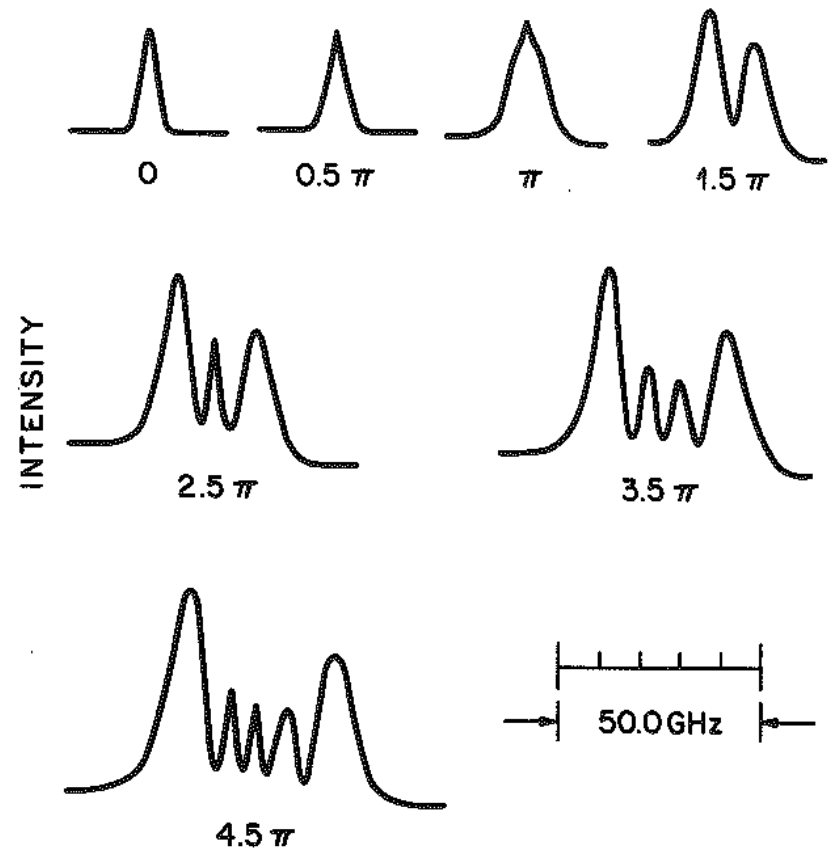
- Pulse duration is unchanged, but spectrum is broadened.



Theory

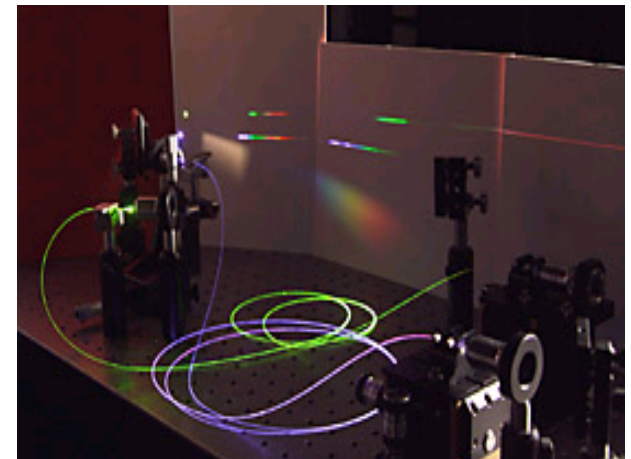
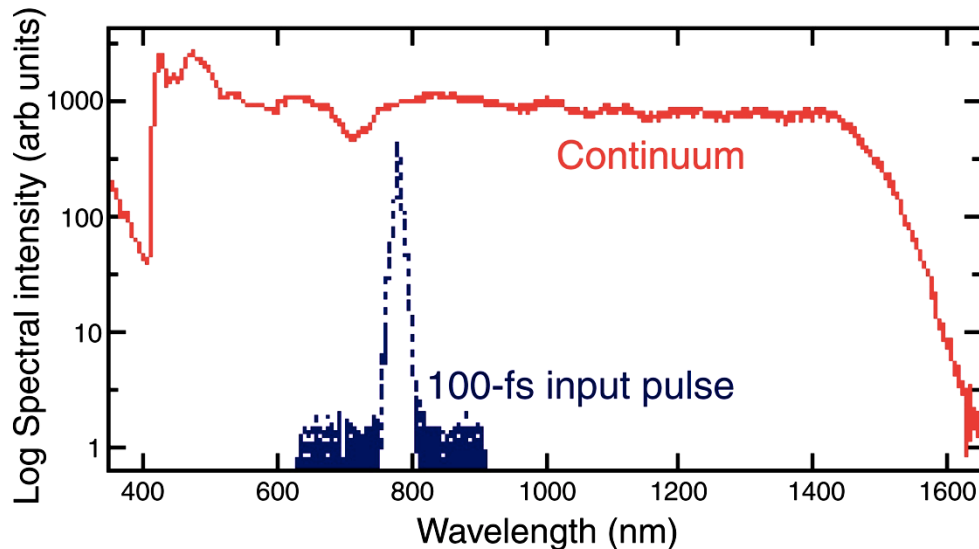
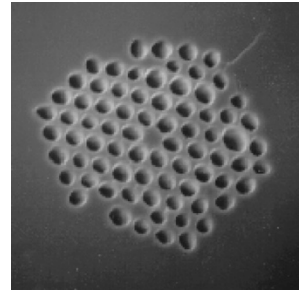
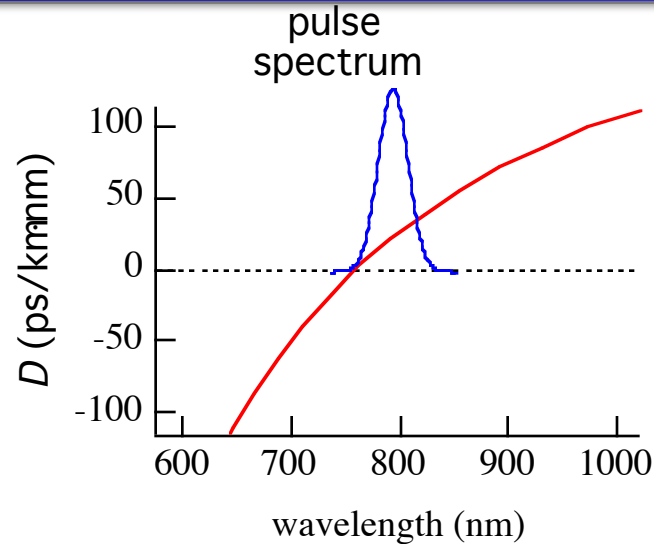


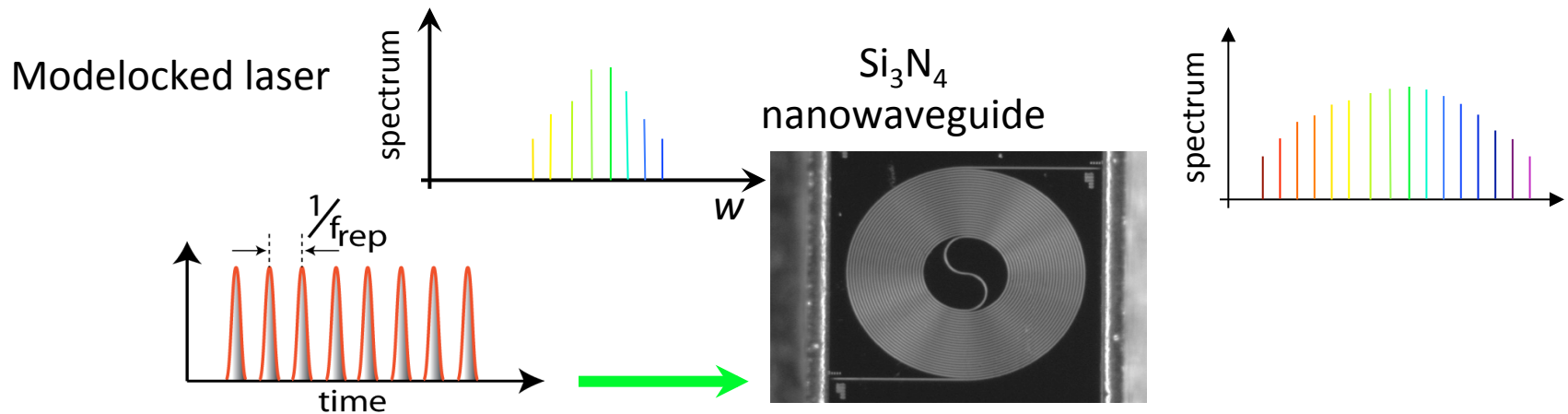
Experiment



Supercontinuum Generation in Optical Waveguides

- Initial observation: Inject < 100 fs pulses directly from Ti:sapphire modelocked oscillator.
- Combination of small core and zero group-velocity dispersion allow for broad supercontinuum spanning $>$ octave.





- Origin of combs can be traced to four-wave mixing (FWM)
- Requires small anomalous group-velocity dispersion

Halir, et al. Lipson & Gaeta, *Opt. Lett.* (2013).

Chavez-Boggio, et al., Bohm, *JOSA B* (2014).

Zhao, et al. Roelkens & Baets, *Opt. Lett.* (2015).

Epping, et al. Boller, *Opt. Lett.* (2015).

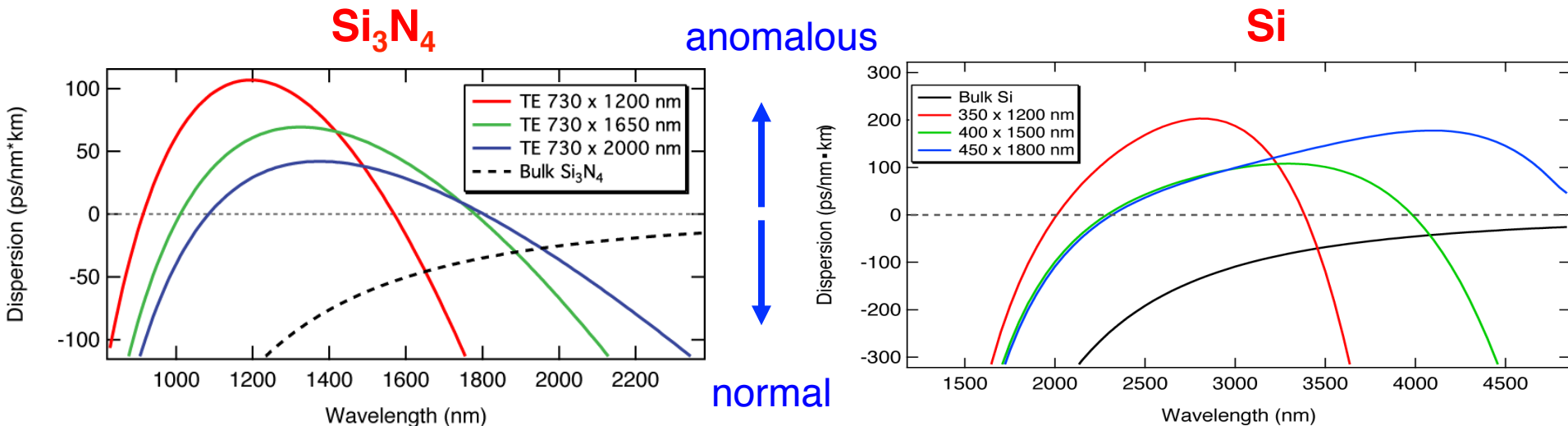
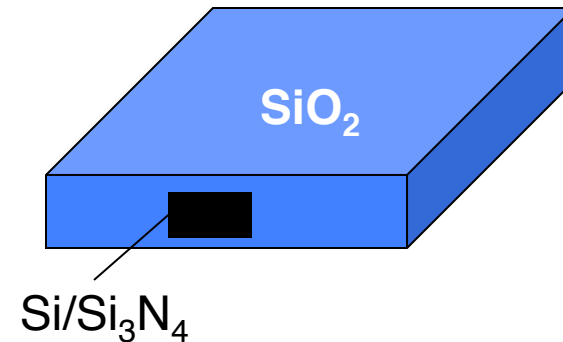
Mayer, et al. Lipson, Gaeta, & Keller, *Opt. Express* (2015).

Johnson, et al. Wise, Keller, Lipson, & Gaeta, *Opt. Lett.* (2015).

Klenner, et al. Lipson, Gaeta, & Keller, *Opt. Express* (2016)

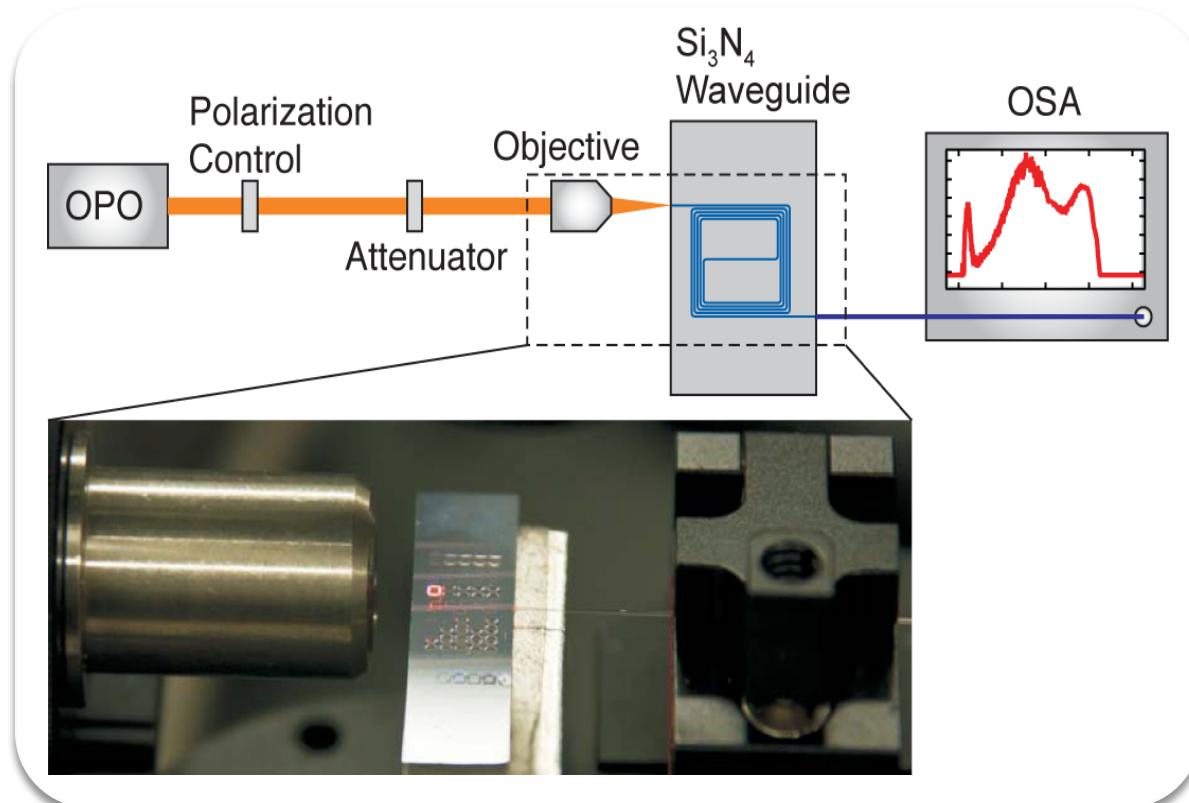
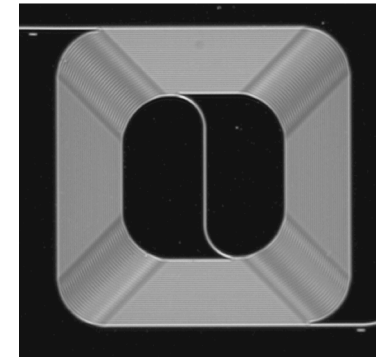
Tailoring of GVD in Si-Based Waveguides

- GVD can be tuned by varying waveguide shape and size.
- Same chip can operate w/ different pump wavelengths.



Experimental Setup for Supercontinuum Generation

- Si_3N_4 spiral waveguide with 4.3 cm length, 715 x 1100 nm cross section
- 0.8 dB/cm propagation loss
- 80-MHz repetition rate, 200-fs pulsewidth OPO centered at 1335 nm
- Quasi-TE polarization

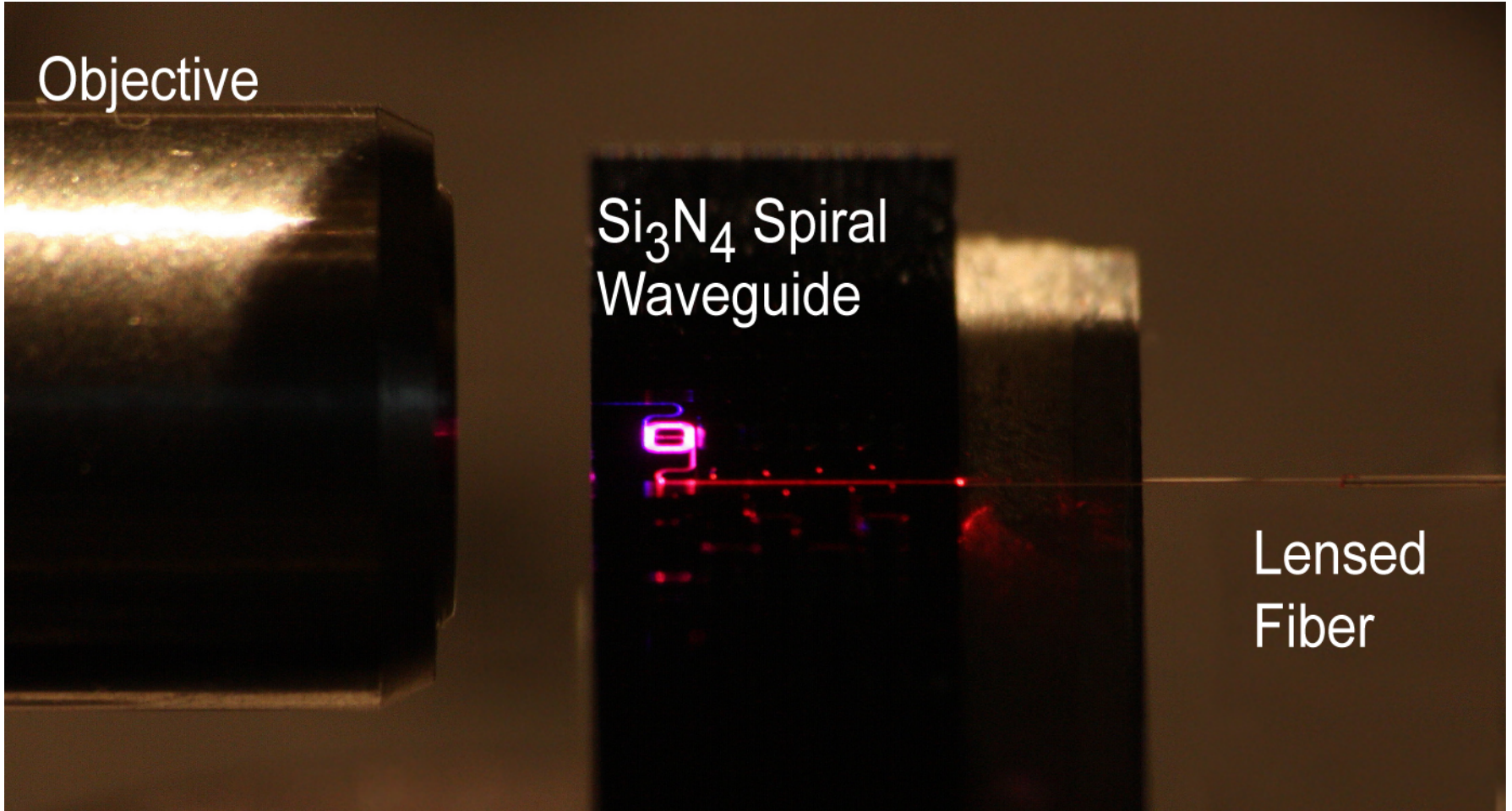


Experimental Setup for Supercontinuum Generation

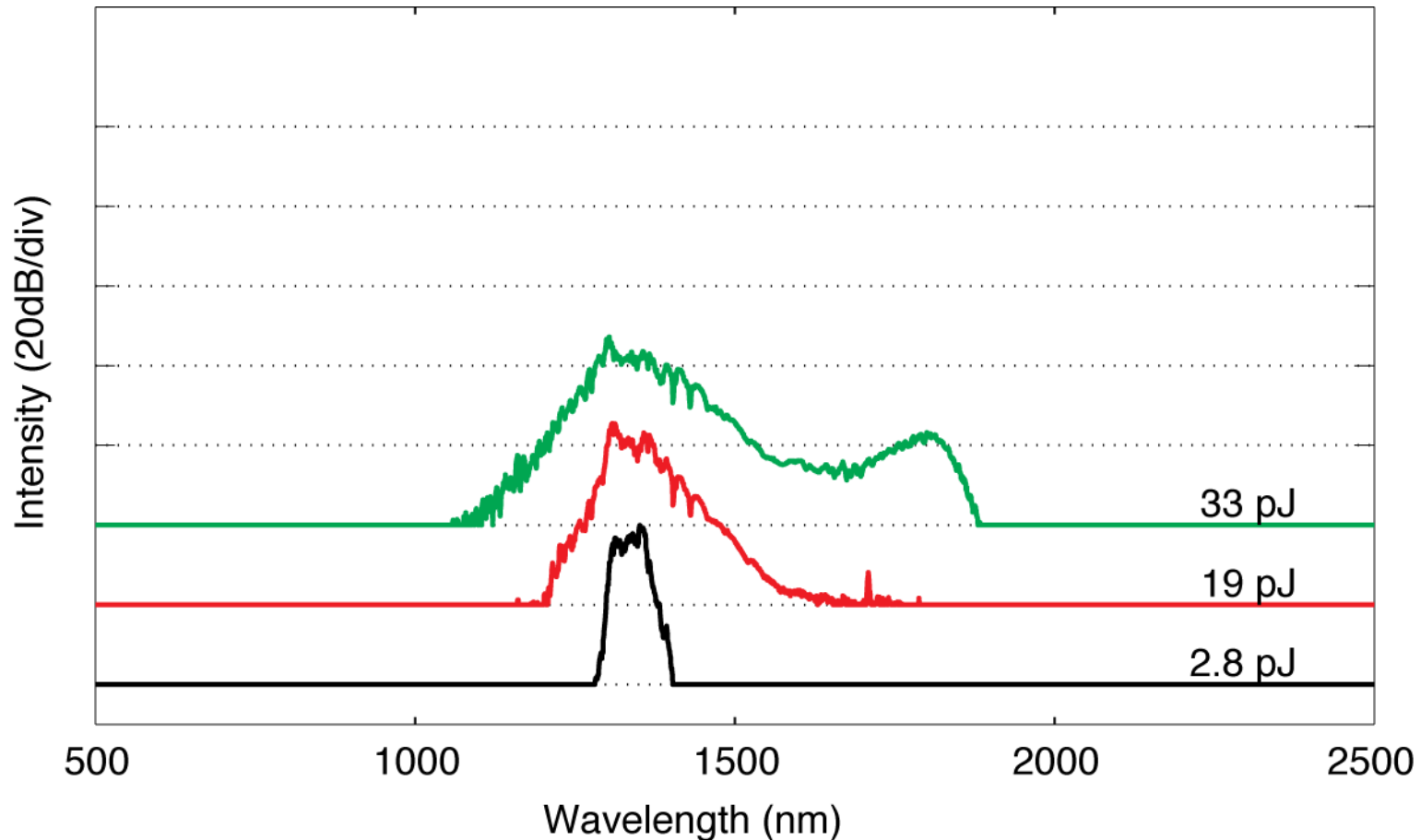
Objective

Si_3N_4 Spiral
Waveguide

Lensed
Fiber



Supercontinuum Generation in Si_3N_4 Waveguide

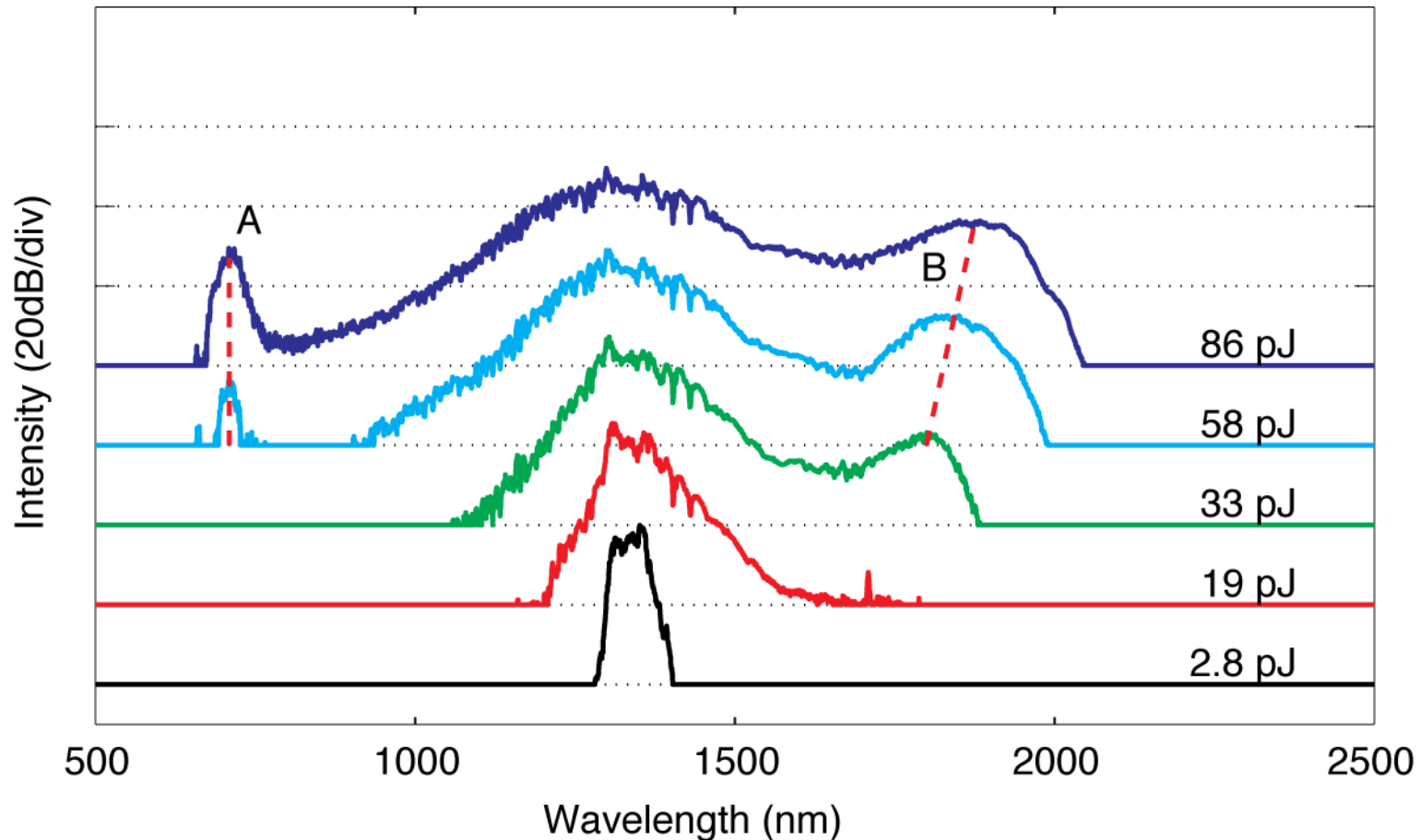


- Peak appears at 1800 nm

→ onset of soliton fission

Halir, Okawachi, Levy, Foster, Lipson, and Gaeta, *Opt. Lett.* (2012).

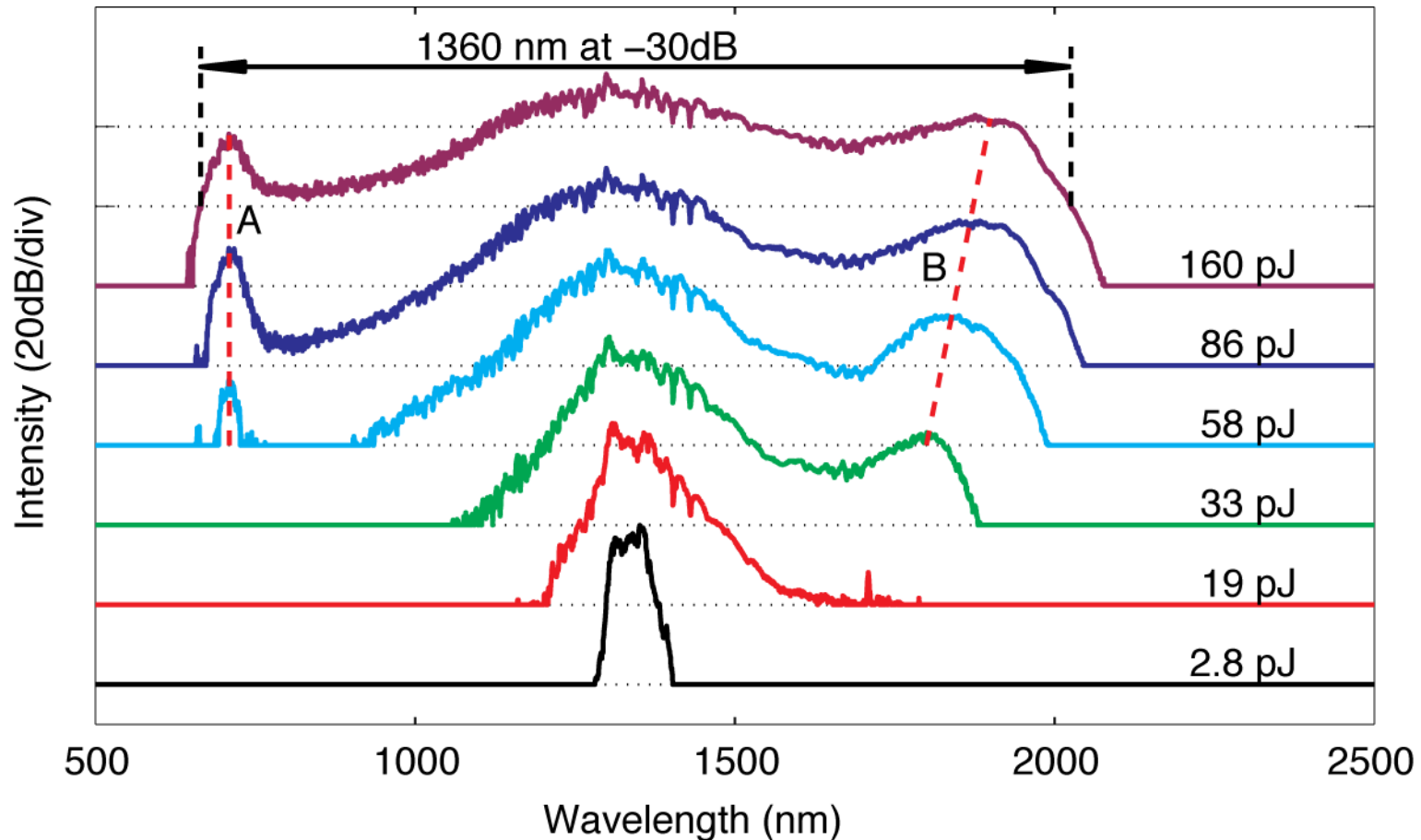
Supercontinuum Generation in Si_3N_4 Waveguide



- Self-frequency shift $\rightarrow$ 1800 nm peak to higher wavelengths
- Dispersive wave generation at 710 nm seeded by soliton fission

Halir, Okawachi, Levy, Foster, Lipson, and Gaeta, *Opt. Lett.* (2012).

Supercontinuum Generation in Si_3N_4 Waveguide



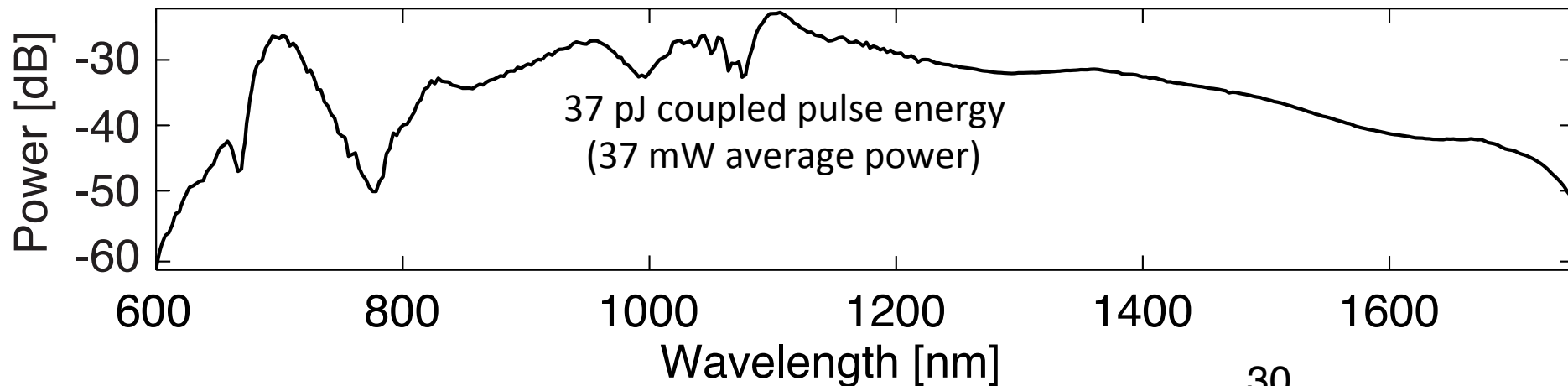
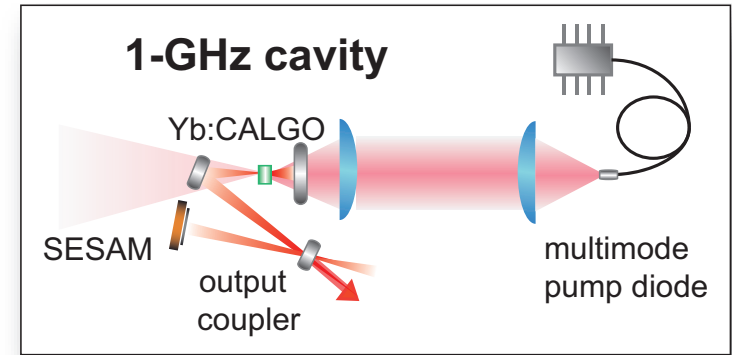
- Supercontinuum generation spans from 665 nm to 2025 nm
→ 1.6 octave span

Halir, Okawachi, Levy, Foster, Lipson, and Gaeta, *Opt. Lett.* (2012).

Supercontinuum Generation with Diode-Pumped Solid-State Laser @ 1 μm

Collaboration w/ Ursula Keller's group (ETH-Zurich)

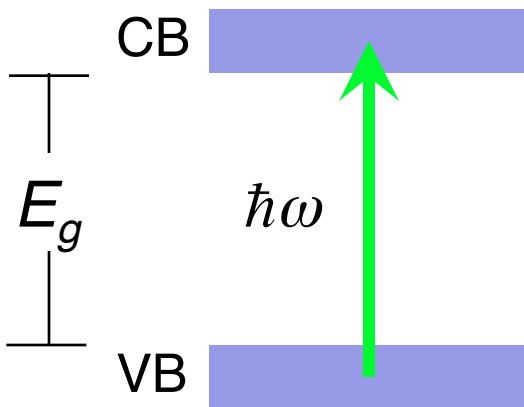
- Pump with 1-GHz repetition rate
SESAM-modelocked diode-pumped
Yb:CALGO laser
[Klenner, et al., Opt. Express (2014)]
- 92-fs input pulses, 1055 nm center
wavelength
- 5-cm-long waveguides



Other Nonlinear Processes: $Im\{\chi^{(3)}\}$ – Nonlinear Absorption

- 1- and 2-photon resonances lead to absorption

Saturated Absorption

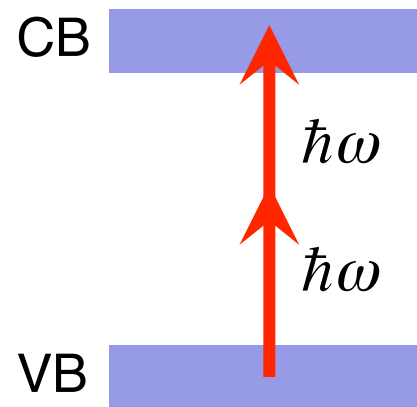


intensity

$$\frac{dI}{dz} = -\alpha_0 \left(1 - \frac{I}{I_s} \right) I$$

saturation
intensity

Two-Photon Absorption



$$\frac{dI}{dz} = -\beta I^2$$

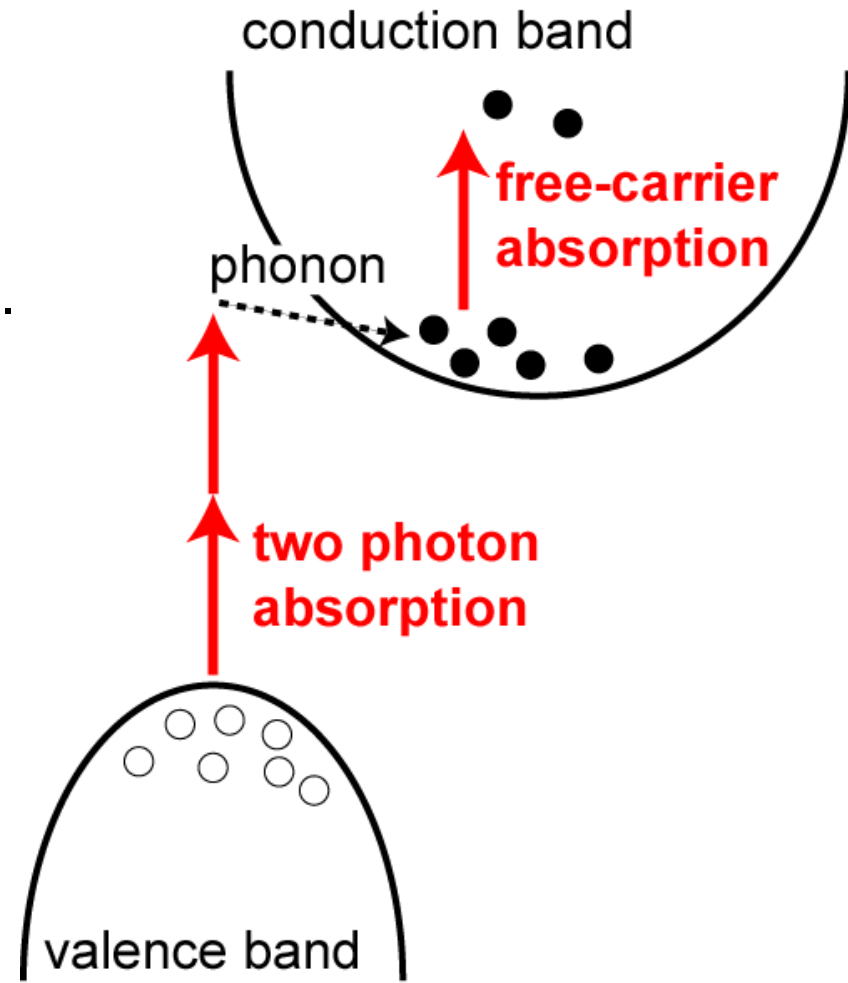
TPA coefficient

Issue for High-Power Operation: Nonlinear Absorption

- Two-photon absorption generates free carriers.
- Free carriers absorb incoming photons.
- Reduction of free-carrier lifetime can reduce loss.

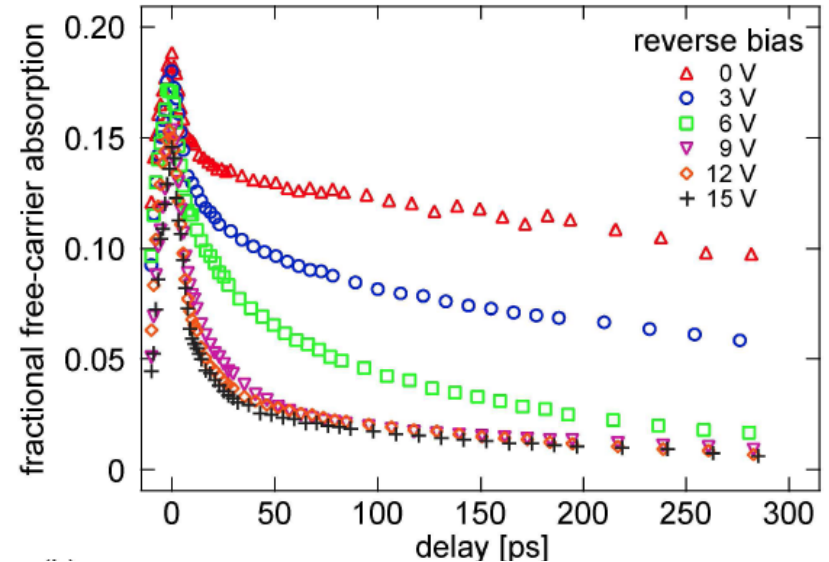
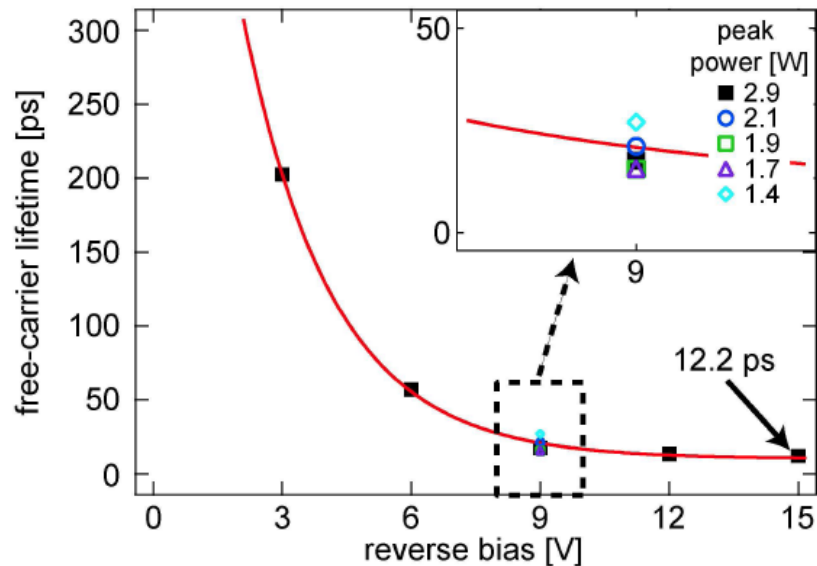
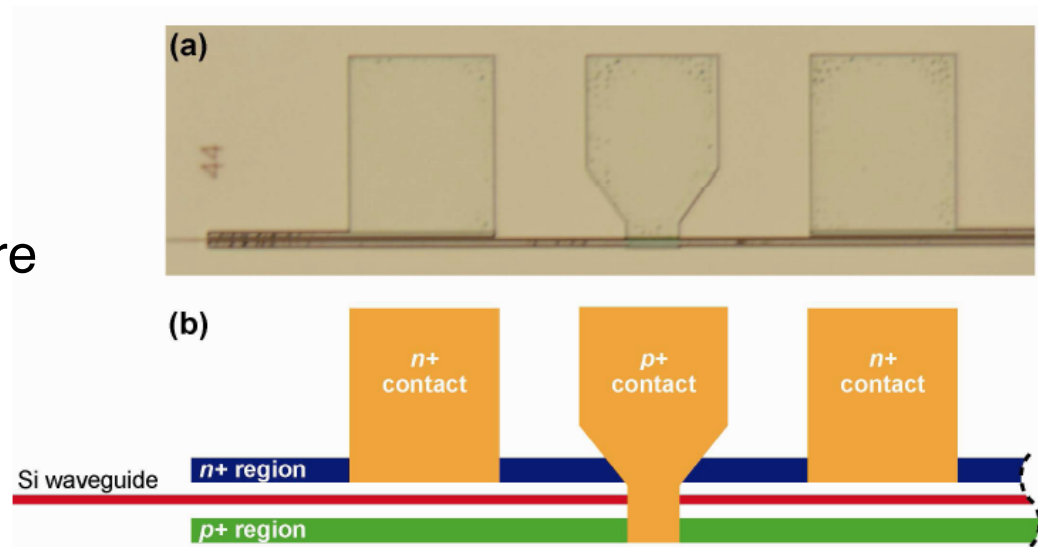
Solution:

- Integrate PIN-diode structure into waveguides.
- Operate w/ pump $> 2 \mu\text{m}$
- Use SiN (broader band-gap).

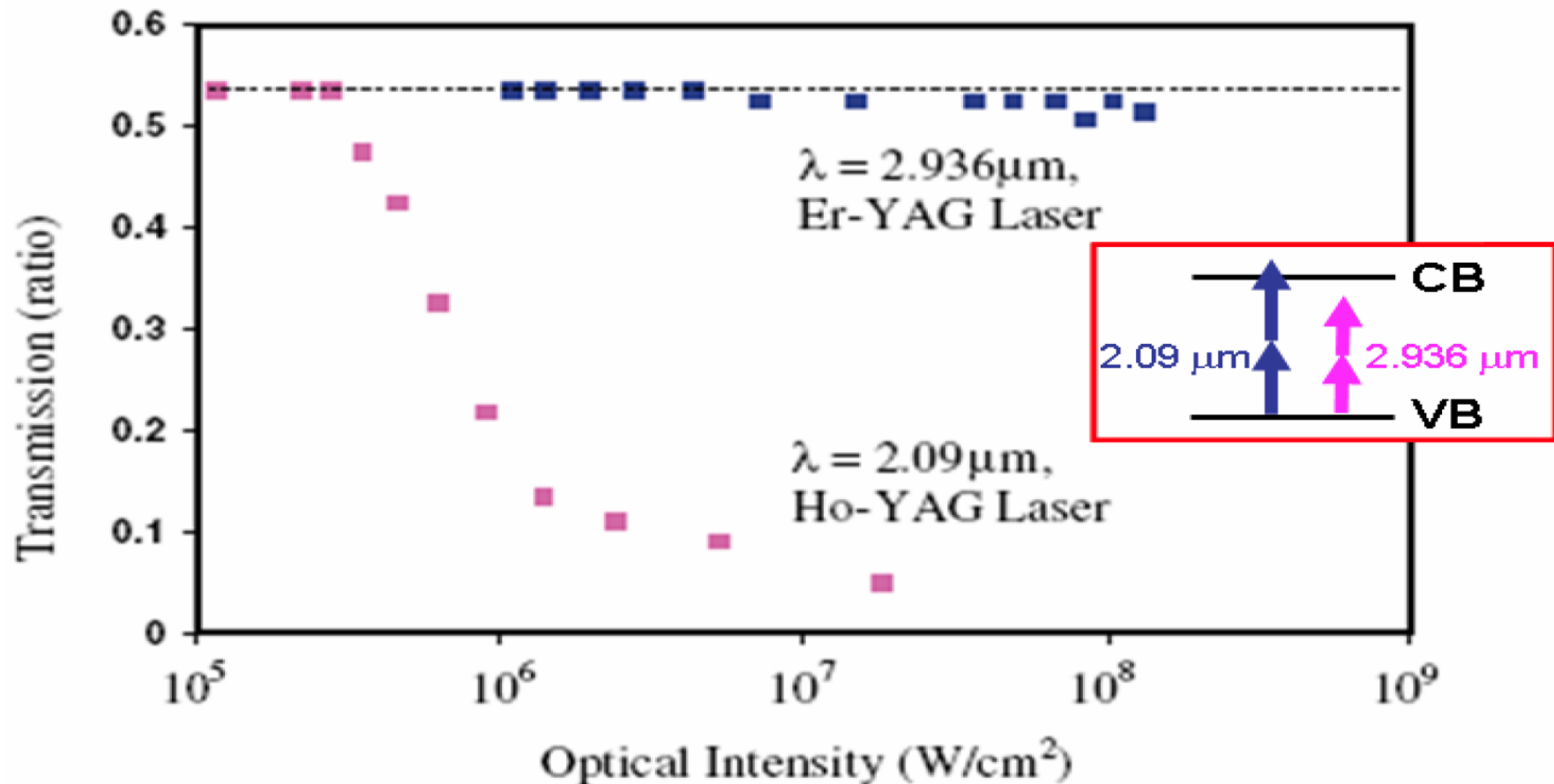


Reduction of Free-Carrier Lifetime

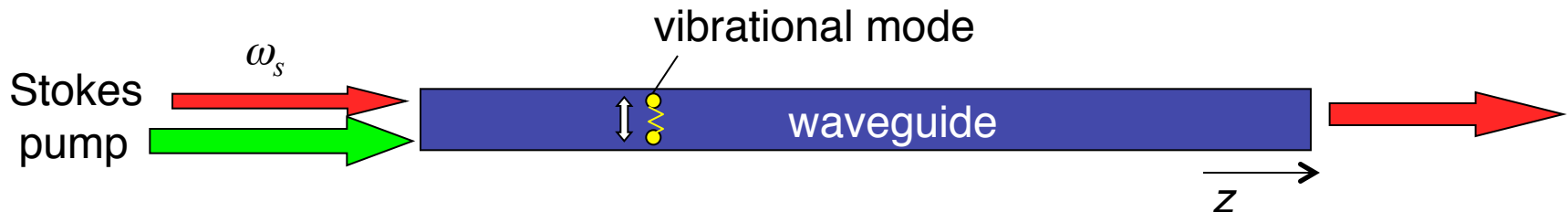
- Incorporate p - i - n structure



- 1- and 2-photon resonances lead to absorption

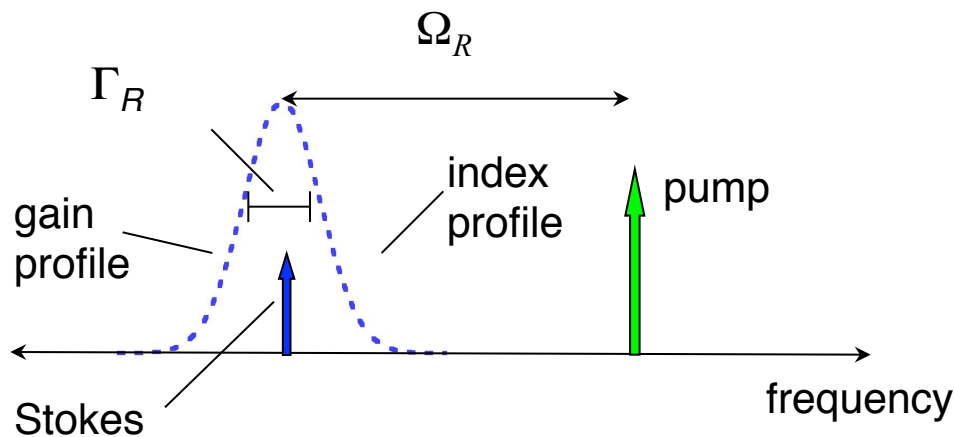


Stimulated Raman scattering produces gain for Stokes wave.



Stokes intensity

$$\frac{dI_s}{dz} = (g_R I_R) I_s \quad g_R \propto \text{Im}\{\chi_R^{(3)}\}$$

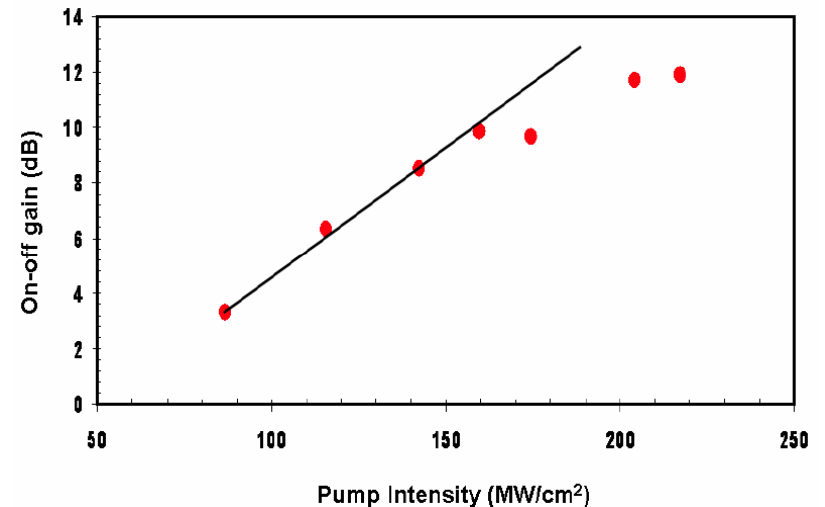
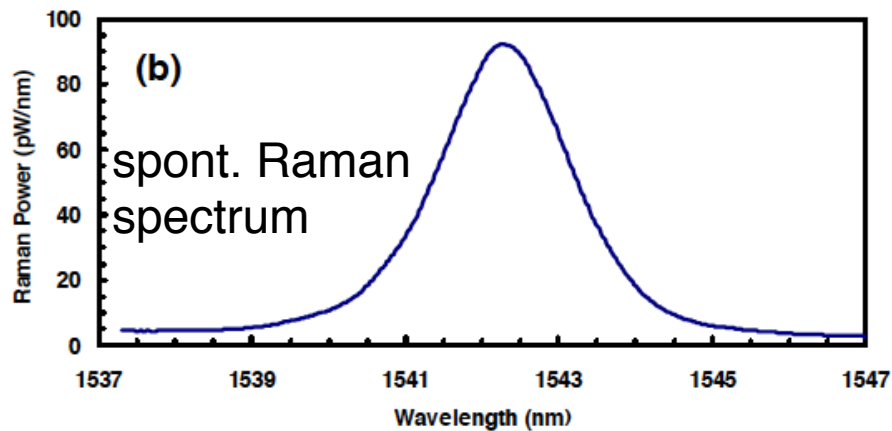
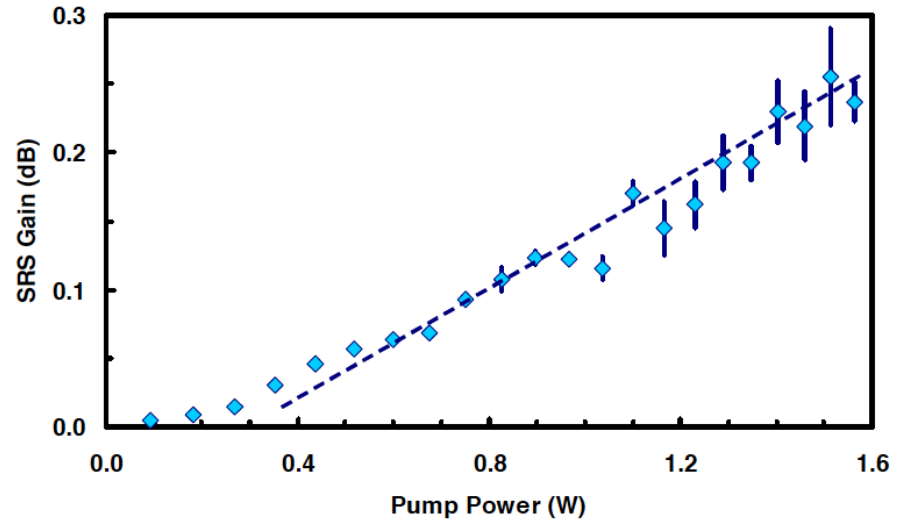
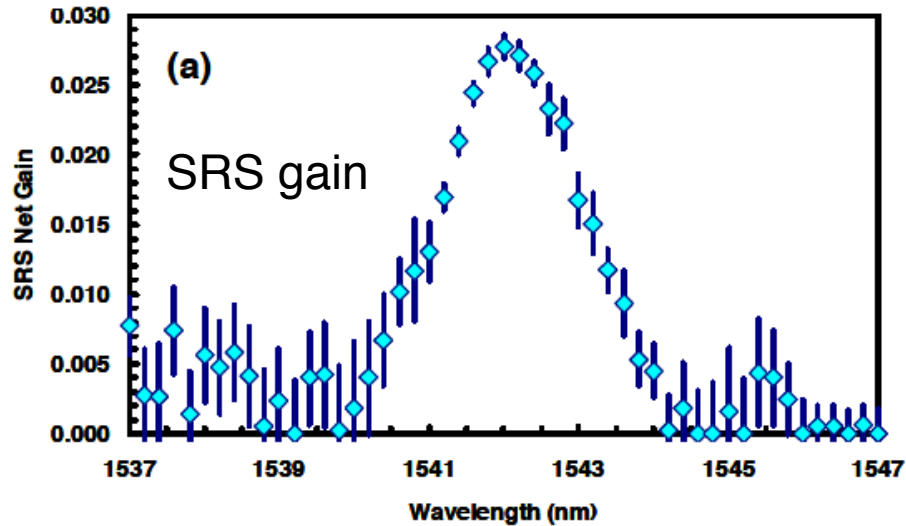


Typical Raman values

Silicon
 $\Gamma_R \sim 100 \text{ GHz}$
 $\Omega_R \sim 13 \text{ THz}$

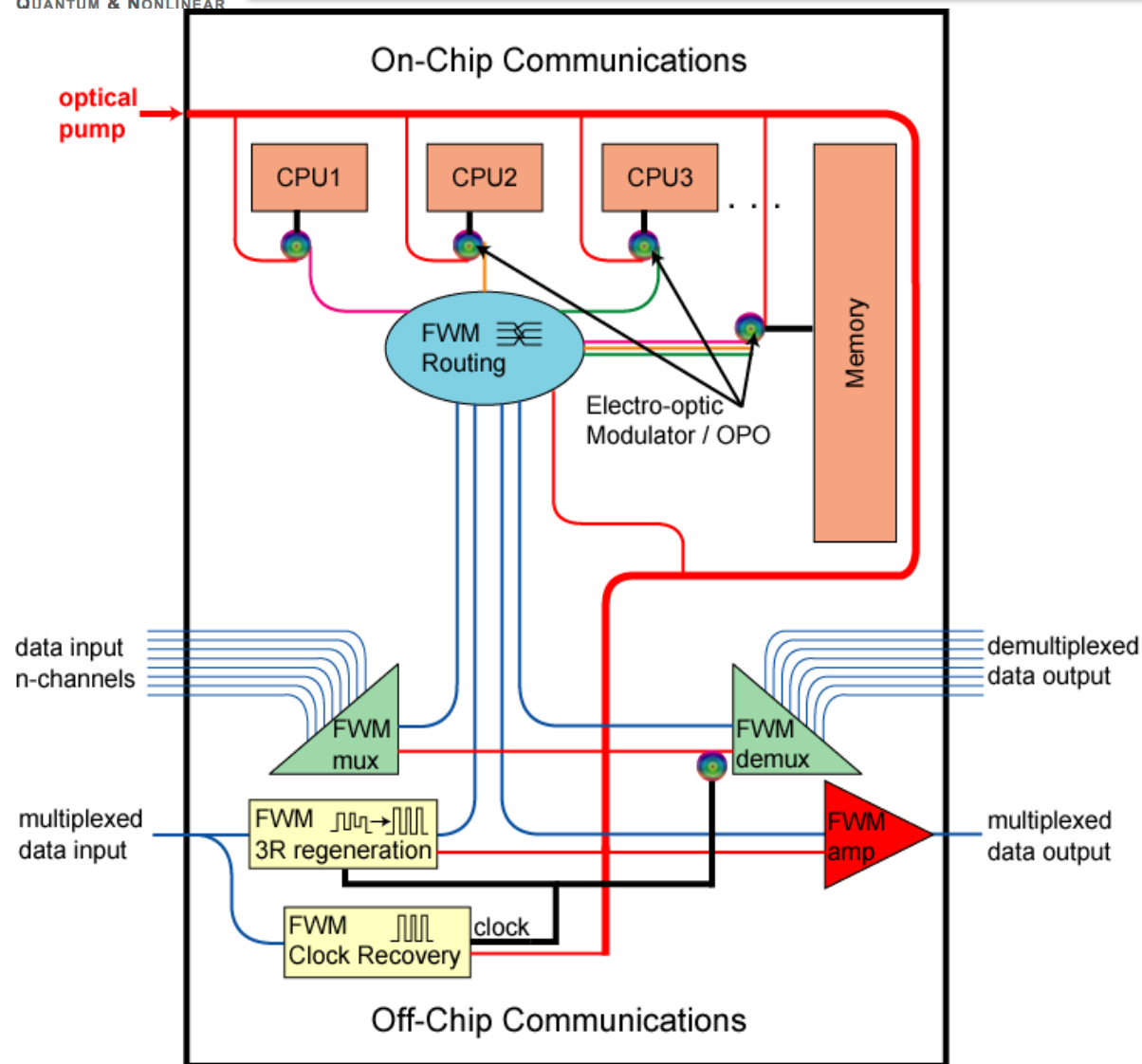
SiO₂
 $\Gamma_R \sim 3 \text{ THz}$
 $\Omega_R \sim 12 \text{ THz}$

Raman Gain in Silicon-Based Nanowaveguides



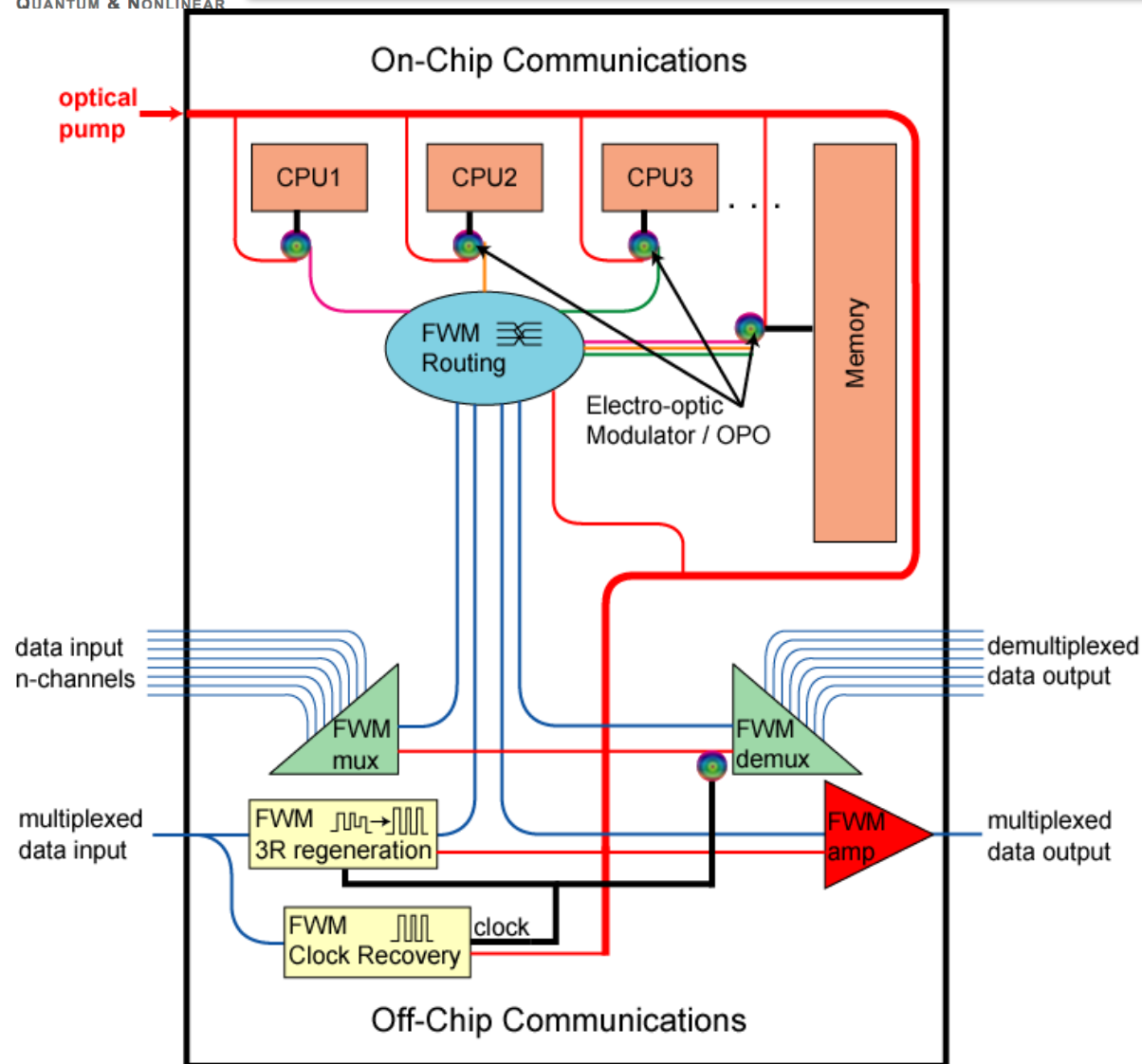
Lecture I

- Brief review of linear & nonlinear optics waveguides
- Nonlinear processes in nanowaveguides
- Four-wave mixing (FWM) in Si nanowaveguides
 - ✧ Dispersion engineering
 - ✧ Ultra-broadband wavelength conversion
 - ✧ Applications: correlated photons, signal regeneration



On-Chip Processing

- Multiplexing/demux
- Regeneration
- Optical buffers
- Routing (switching / logic)
- Multicasting
- A-D conversion
- Wavelength conversion
- Amplification
- Oscillator/comb source

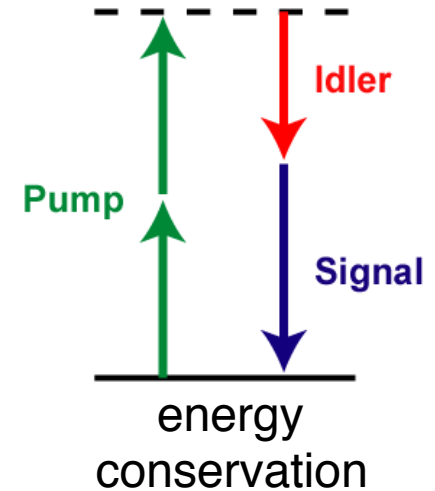
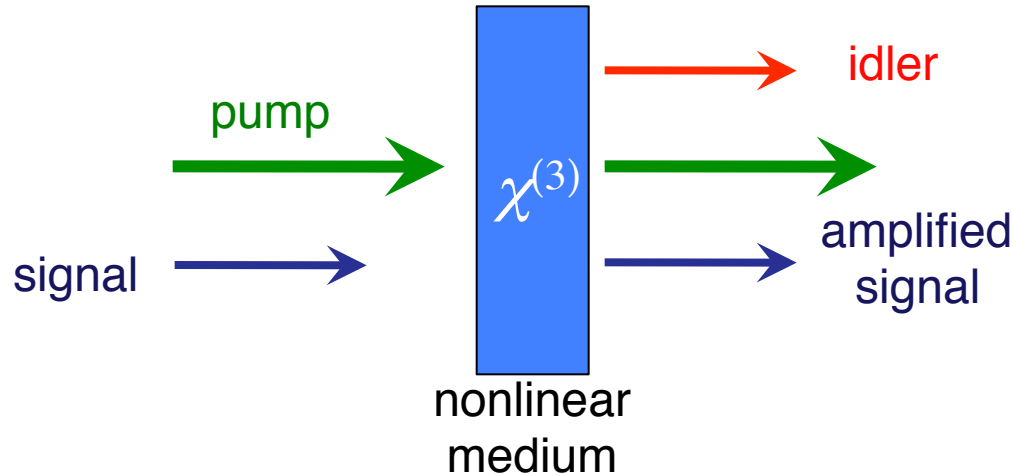


On-Chip Processing

- Multiplexing/demux
- Regeneration
- Optical buffers
- Routing (switching / logic)
- Multicasting
- A-D conversion
- Wavelength conversion
- Amplification
- Oscillator/comb source

All performed via four-wave mixing.

Four-Wave Mixing



input field

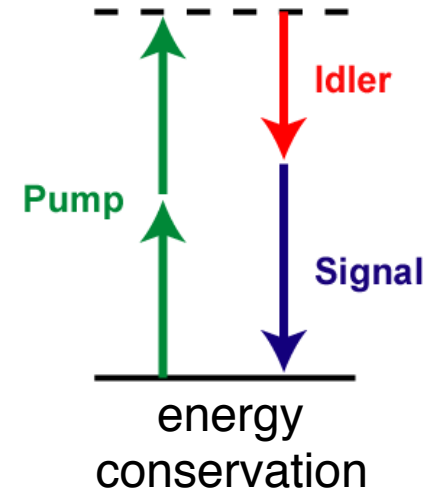
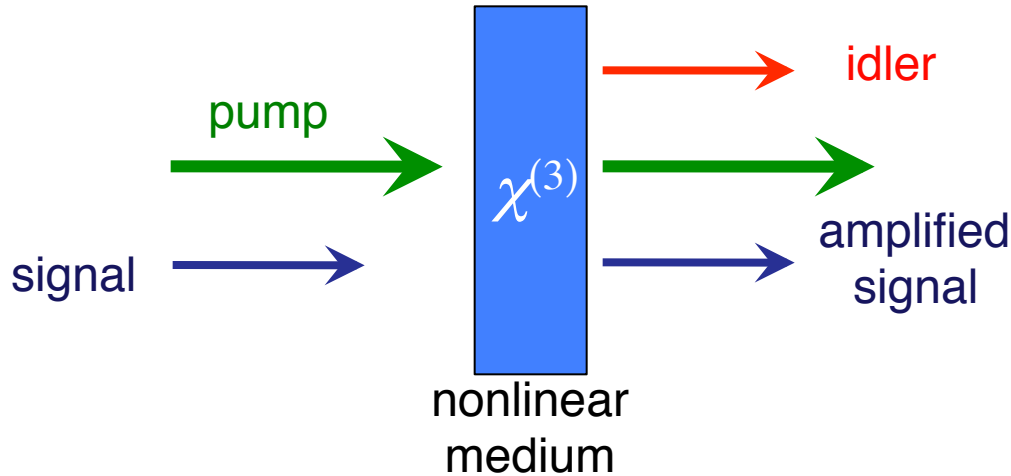
$$E_{input} = E_p + E_s = A_p e^{-i\omega_p t} + A_s e^{-i\omega_s t} + c.c.$$

nonlinear
polarization

$$P^{(3)} = \chi^{(3)} E^3 = \underbrace{\chi^{(3)} A_p^2 A_s^*}_{\text{idler driving term}} e^{-i(2\omega_p - \omega_s)t} + \text{other terms}$$

$\omega_i = 2\omega_p - \omega_s$

Four-Wave Mixing



input field

$$E_{input} = E_p + E_s = A_p e^{-i\omega_p t} + A_s e^{-i\omega_s t} + c.c.$$

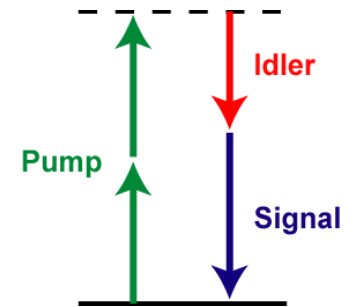
nonlinear
polarization

$$P^{(3)} = \chi^{(3)} E^3 = \underbrace{\chi^{(3)} \left[A_p^2 A_s^* \right]}_{\text{idler driving term}} + \underbrace{2 \left[|A_p|^2 A_i \right]}_{\text{cross-phase modulation}} e^{-i(2\omega_p - \omega_s)t}$$

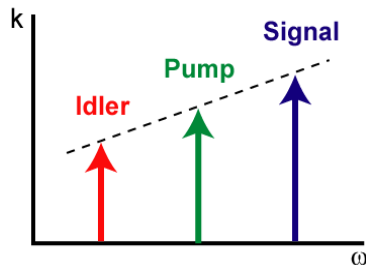
- Efficient generation requires momentum conservation (i.e., phase matching)

Phase Matching in Four-Wave Mixing

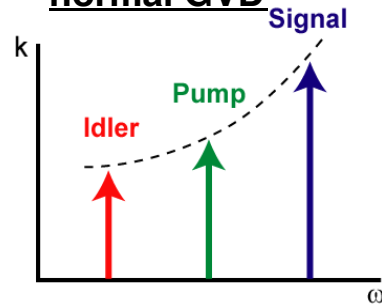
- Energy conservation: $2\omega_p - (\omega_s + \omega_i) = 0$
- Momentum conservation: $\Delta k = 2k_p - (k_s + k_i) + \Delta k_{nl}$
 - ◆ Balance of GVD and effects of self-phase modulation & cross-phase modulation
 - ◆ Want $\Delta k_L L < 1$



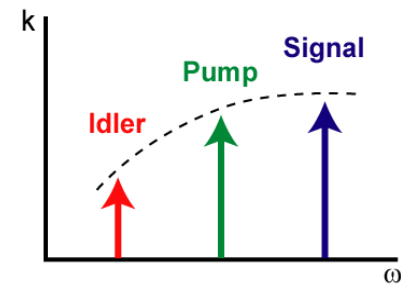
No dispersion, no SPM/XPM



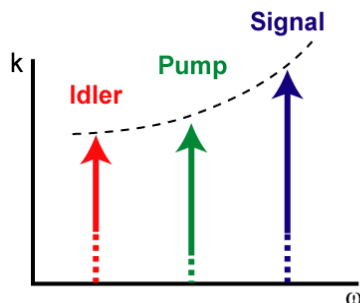
normal GVD



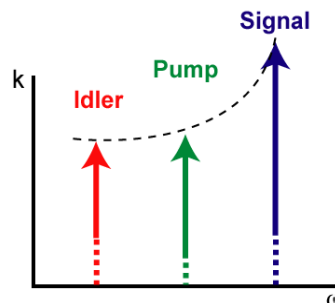
anomalous GVD



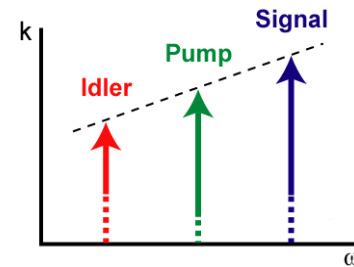
SPM/XPM



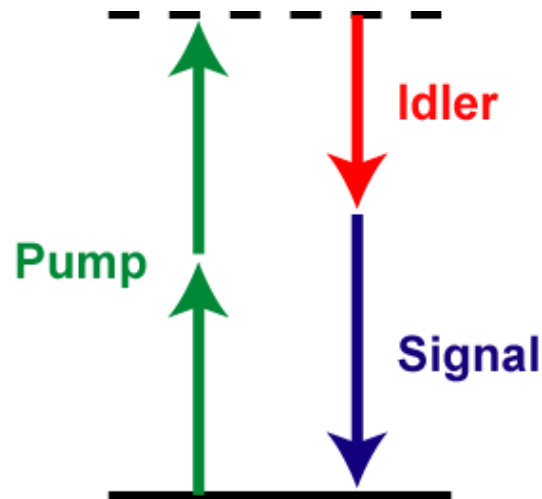
normal GVD + SPM/XPM



anomalous GVD + SPM/XPM



Requirements for Efficient Four-Wave Mixing



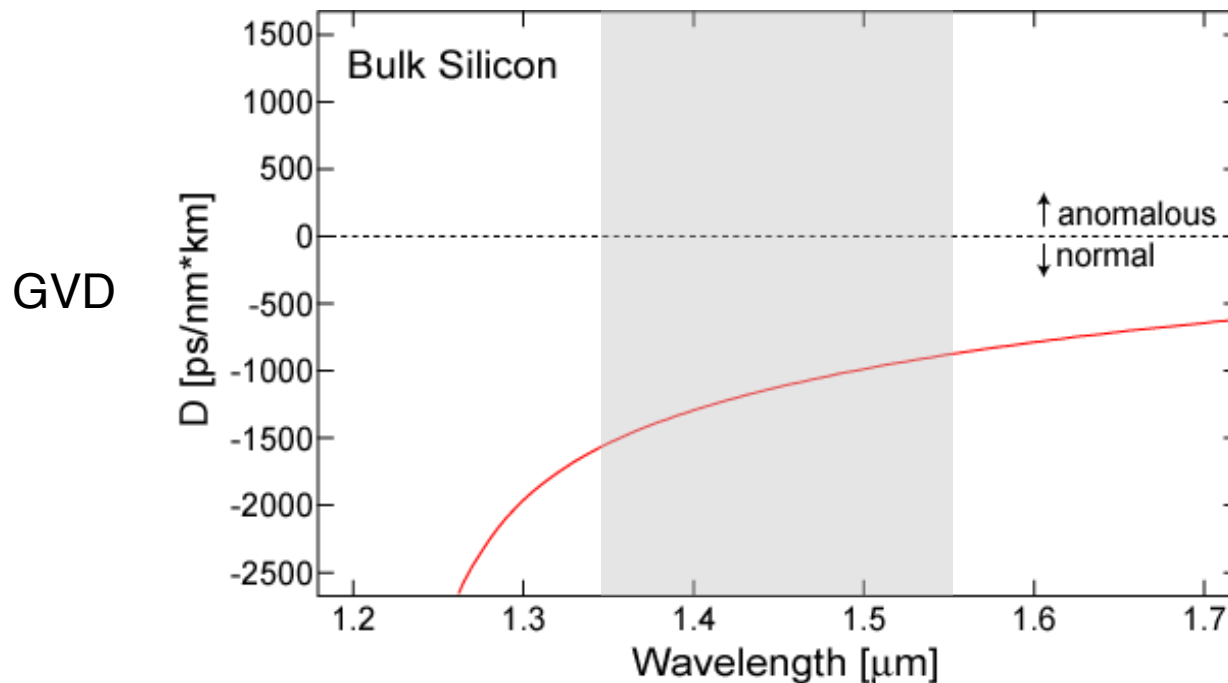
- Energy conservation: $2\omega_p - (\omega_s + \omega_i) = 0$
- Momentum conservation: $\Delta k = 2k_p - (k_s + k_i) + \Delta k_{nl}$
 - ◆ Balance of GVD and effects of self-phase modulation & cross-phase modulation

group-velocity dispersion:

$$\text{GVD} \propto -\frac{d^2 n}{d\lambda^2} \geq 0$$

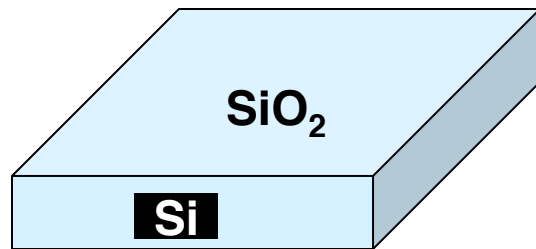
Challenge: Large Normal GVD of Si

- Bulk Silicon
 - ✦ absorption band edge @ 1.1 μm
 - ✦ Si @ 1.55 μm : $D \sim -1000 \text{ ps}/(\text{nm}\cdot\text{km})$
[silica glass @ 1.5 μm : $D \sim 20 \text{ ps}/(\text{nm}\cdot\text{km})$]



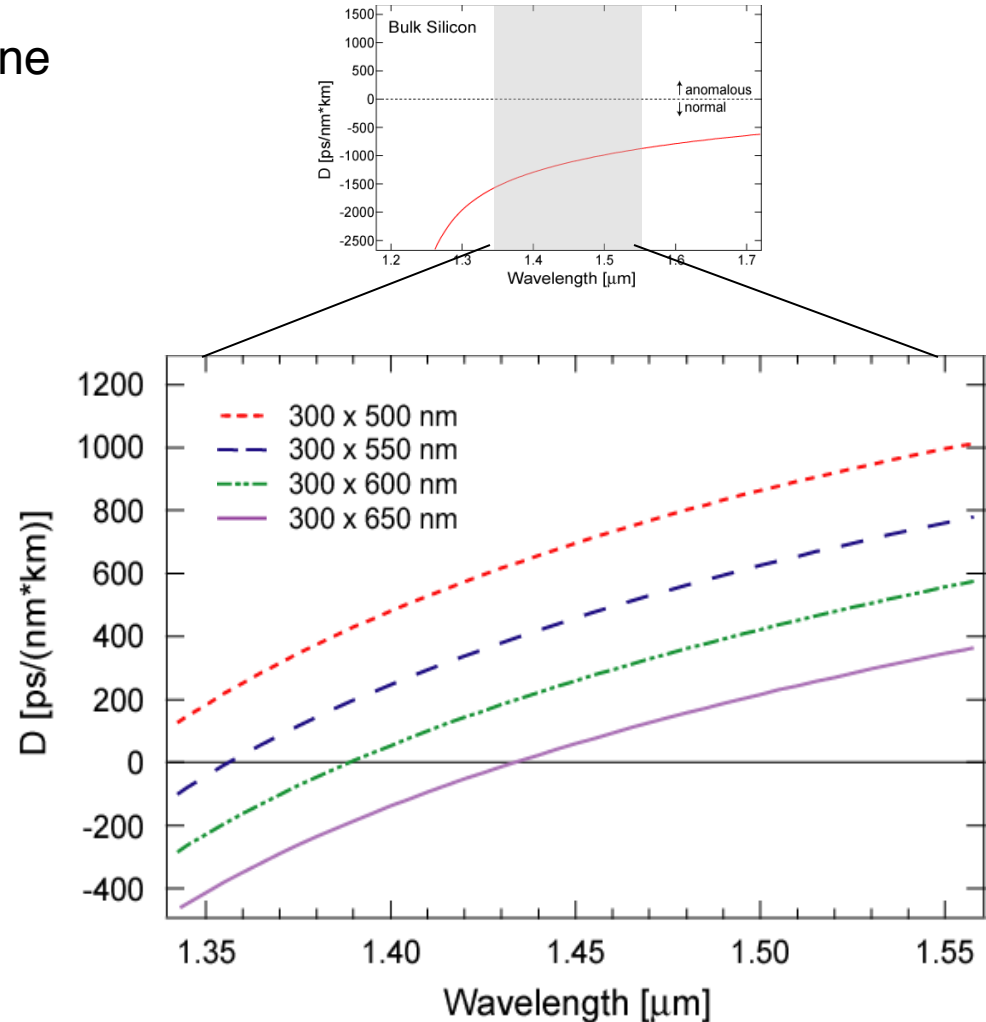
Tailoring of GVD in Si Waveguides

- Utilize waveguide dispersion to tune GVD.

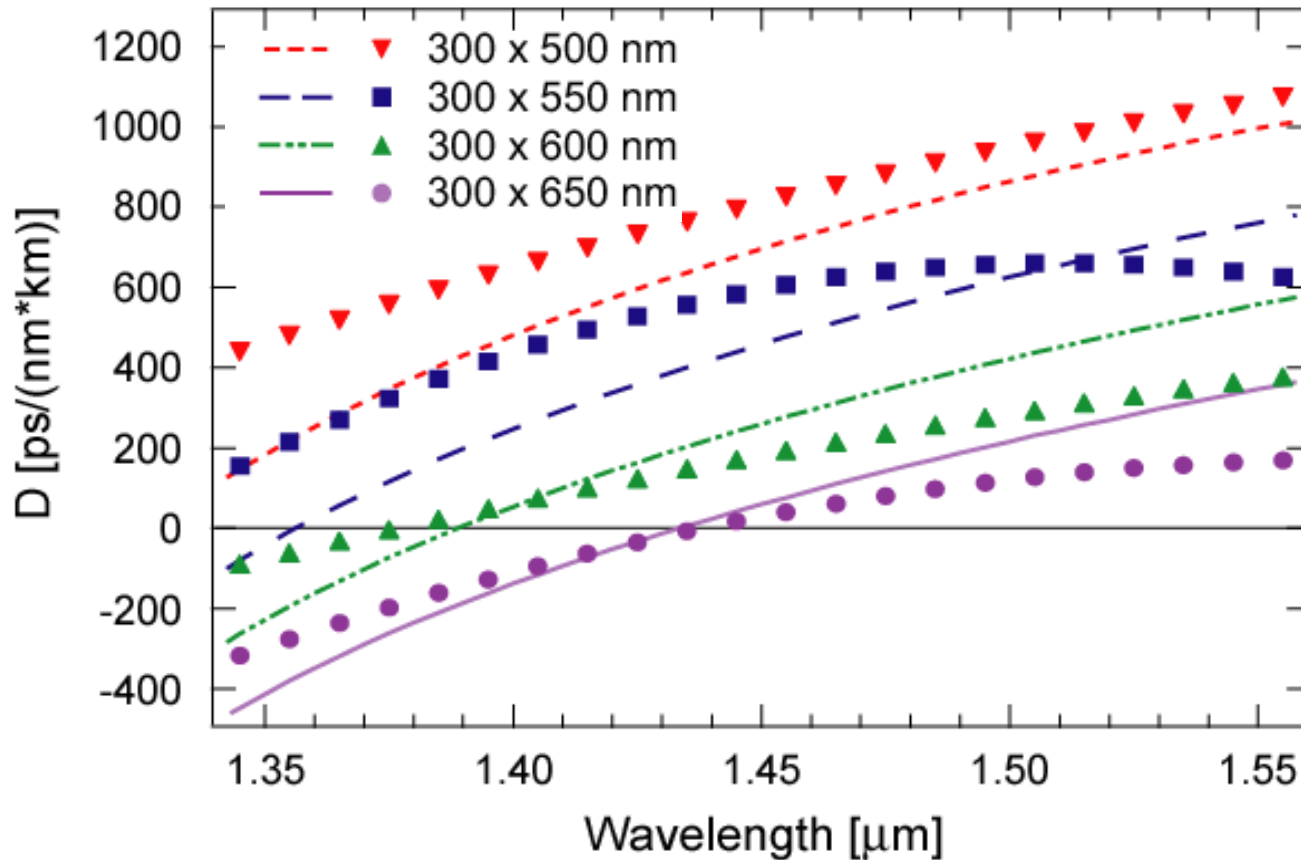


- GVD can be tuned by varying waveguide shape and size.

Turner et al. (2006)
Lin et al. (2006)

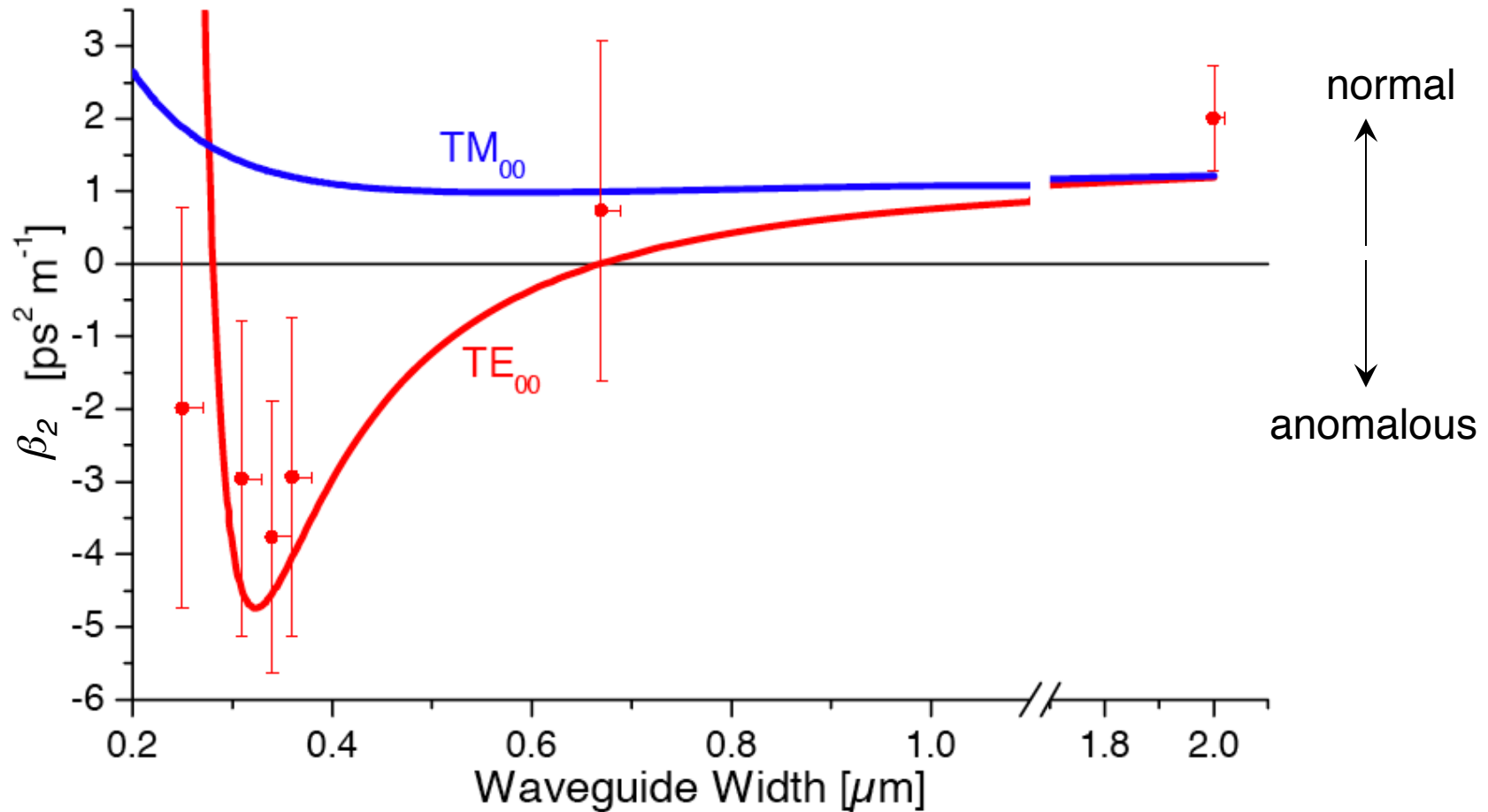


Predicted anomalous-GVD ~50X SMF-28 fiber [20 ps/(nm·km)].

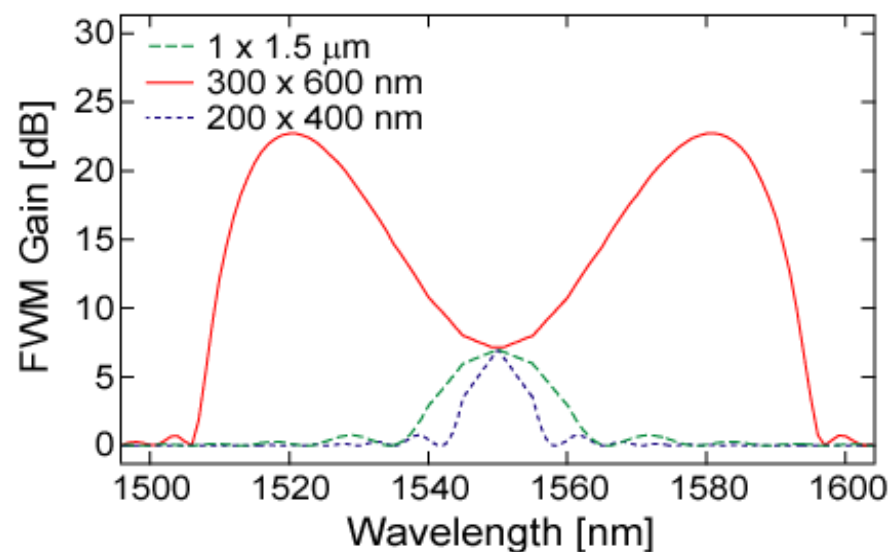
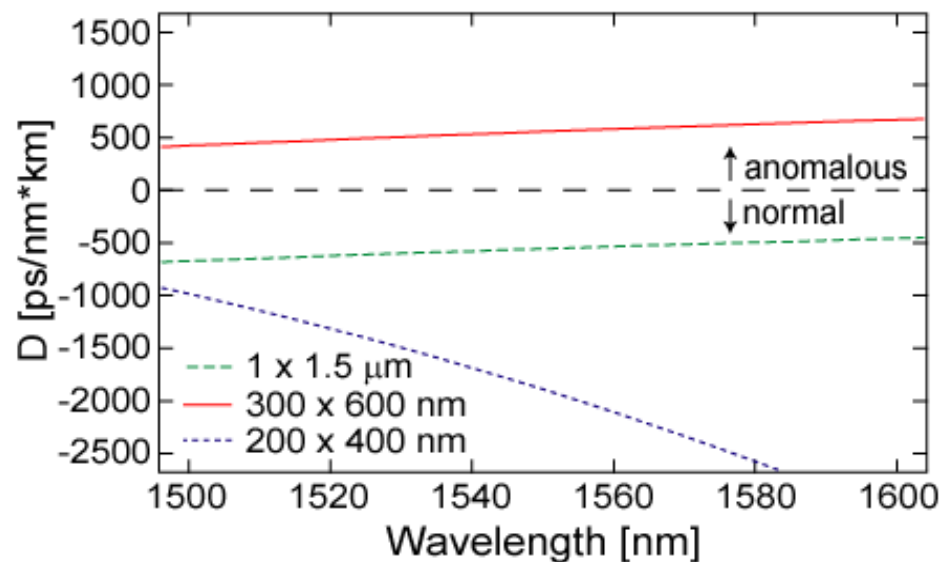


Turner, Manolatou, Schmidt, Lipson, Foster, Sharping, and Gaeta, *Opt. Express* **14**, 4357 (2006).

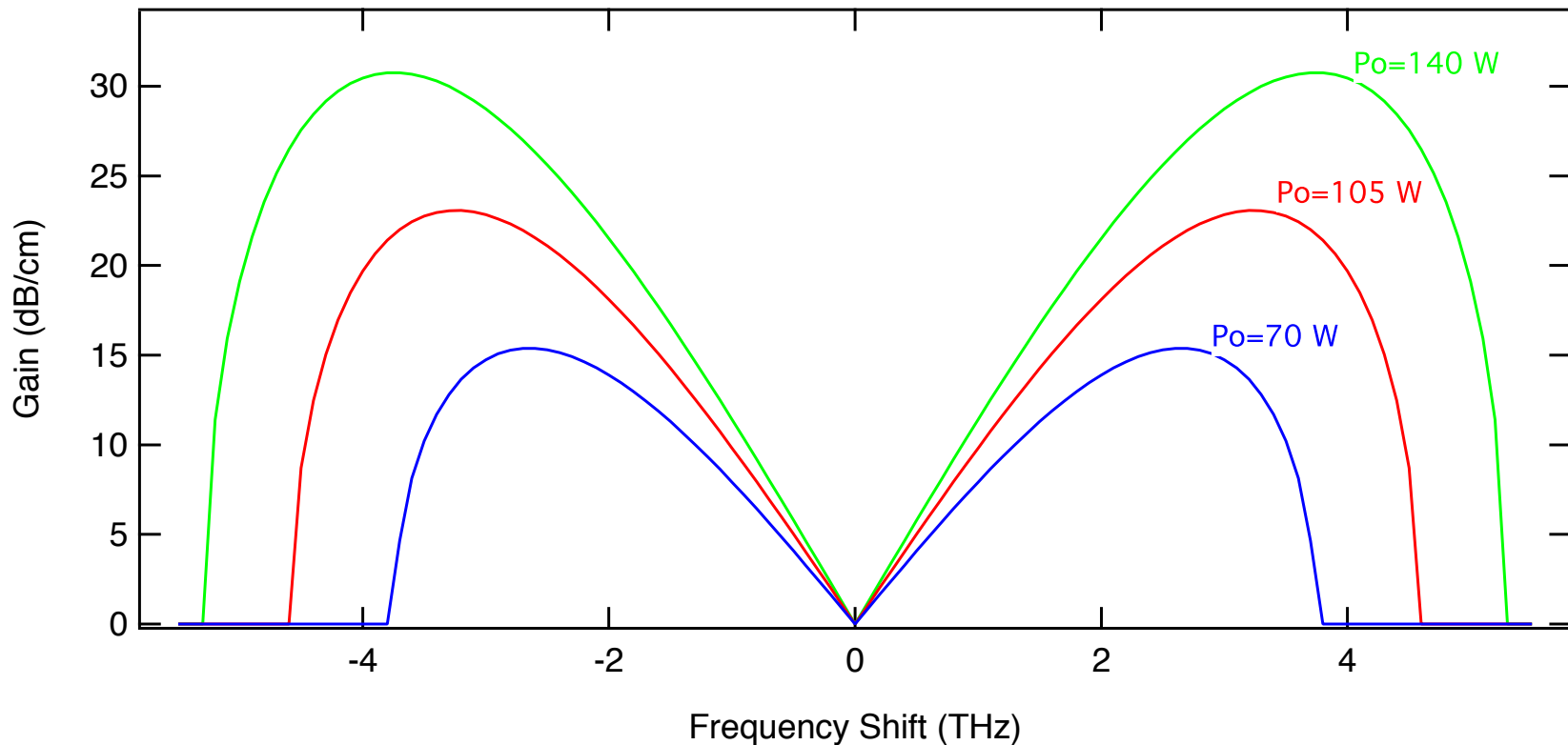
Dulkeith, Xia, Schares, Green, and Vlasov, *Opt. Express* **14**, 3853 (2006).



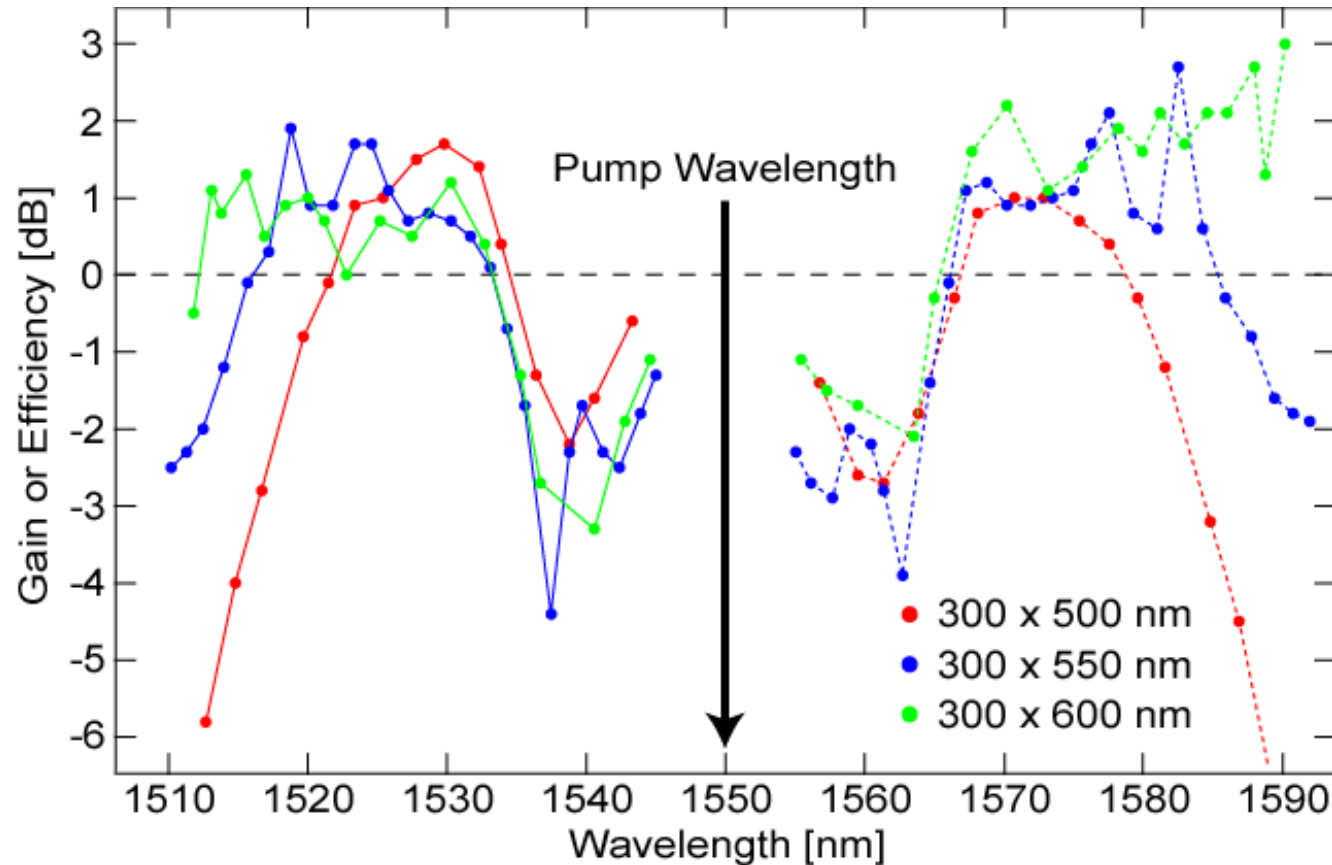
- Broad regions of FWM gain predicted.



- Peak gain occurs where $\Delta k = 0$



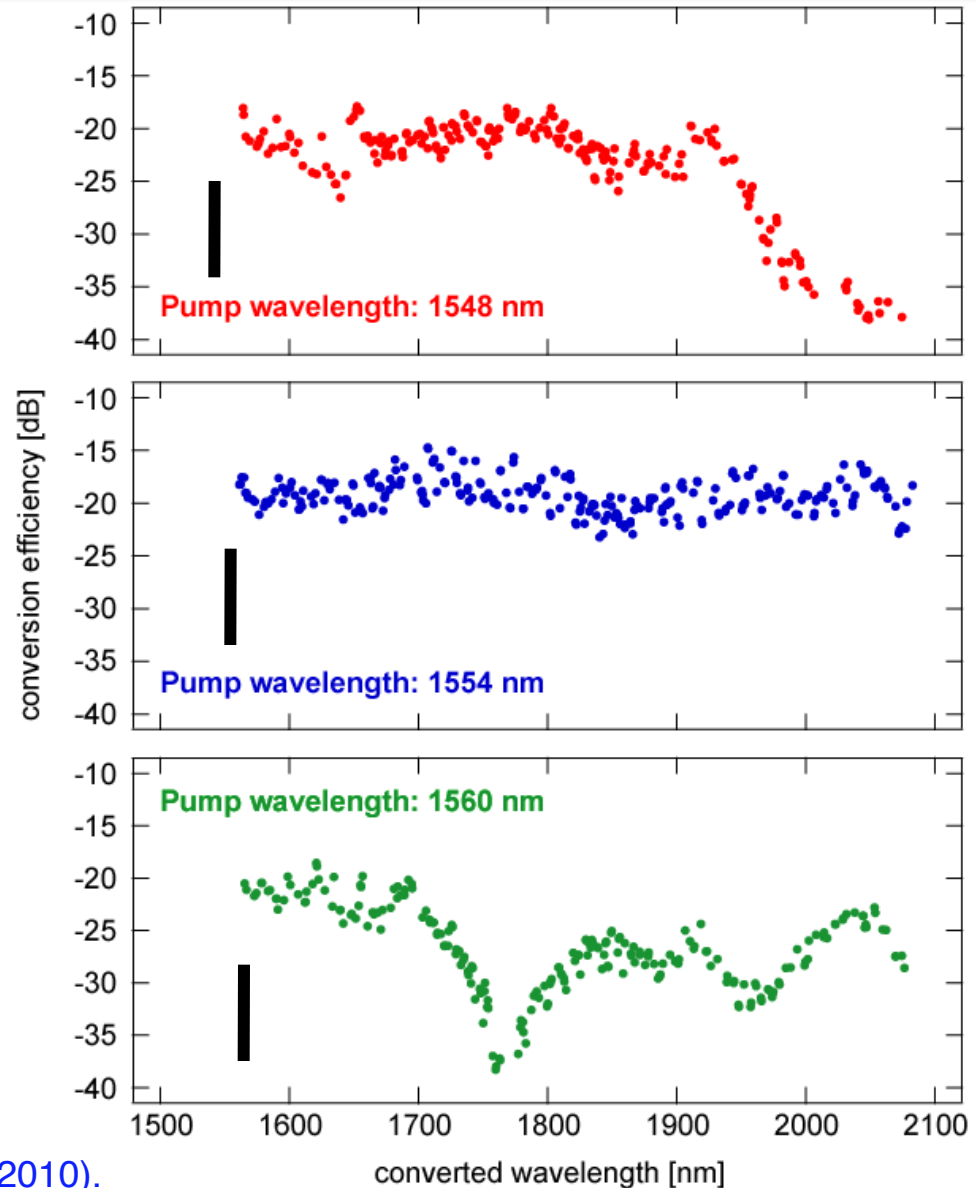
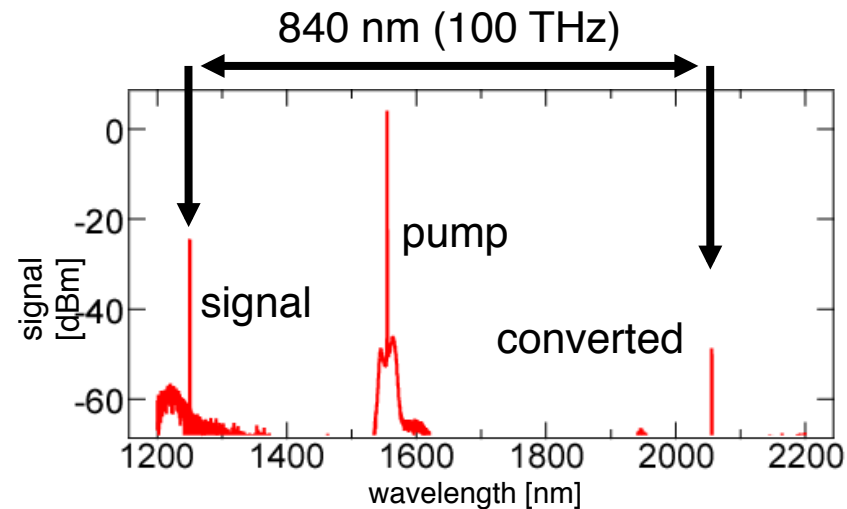
Four-Wave Mixing Amplification

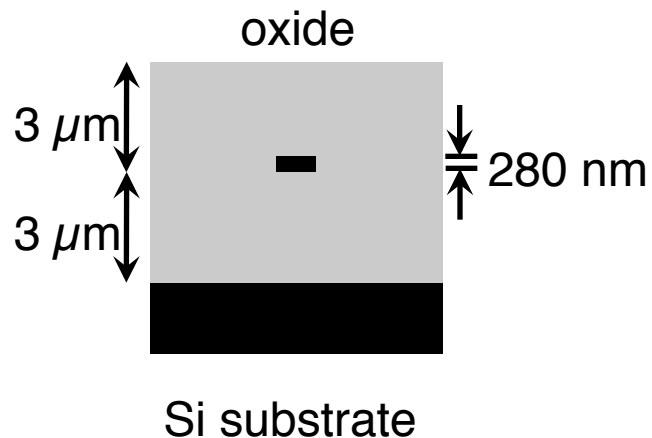


- First observation of broadband gain in Si.
(Raman gain bandwidth ~ 1 nm)

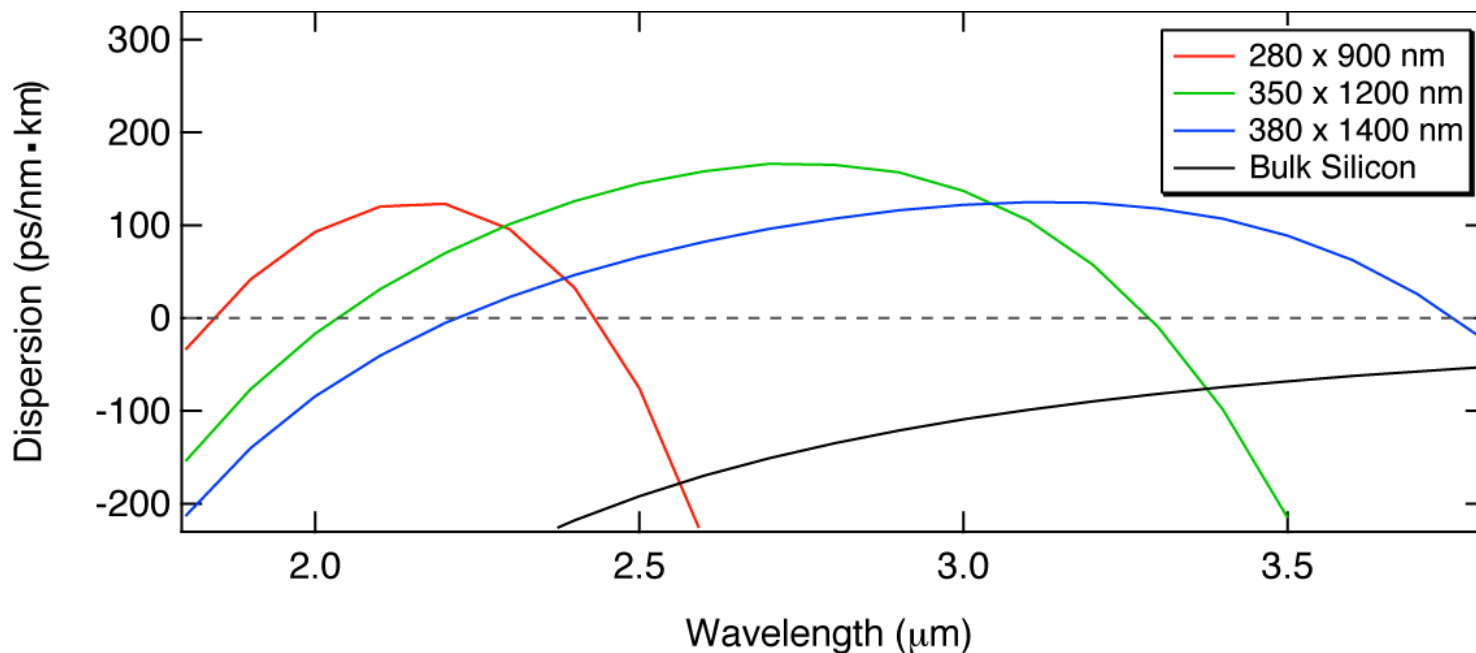
CW Wavelength Conversion over 900-nm Bandwidth

- Pump: 50 mW
- **Conversion bandwidth > 2/3 of an octave!**



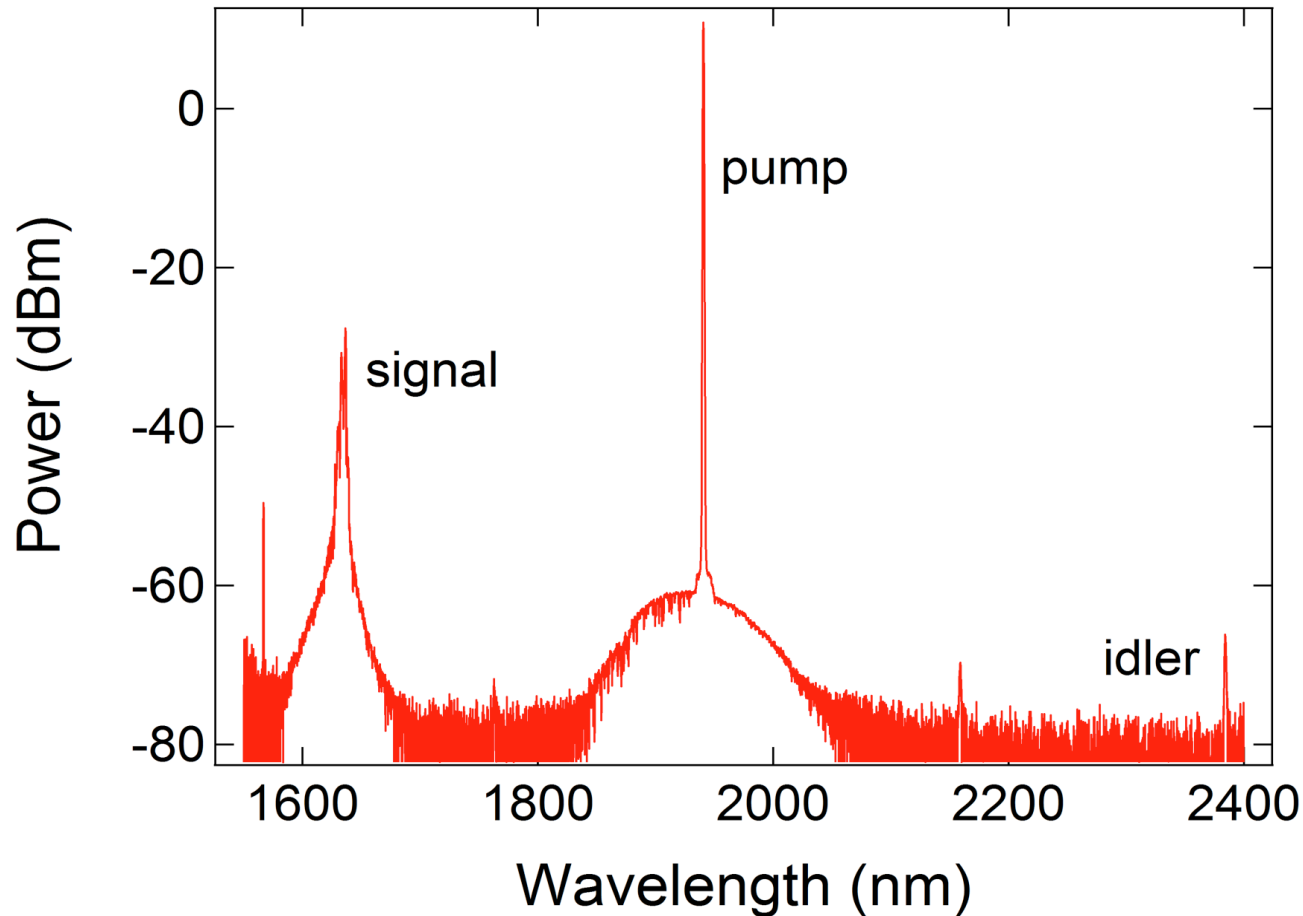


- Broadband anomalous GVD in MIR.



Mid-IR Frequency Conversion

Lau, et al., Lipson, and Gaeta, *Opt. Lett.* (2011).



- Pulsed conversion (w/ gain) [[Zlatanovic et al. \(2010\)](#); [Kuyken et al. \(2010, 2011\)](#).]
- Need other cladding materials (e.g., sapphire, SiN) for longer MIR wavelengths [[Baehr-Jones et al. \(2010\)](#)]

50 dB parametric on-chip gain in silicon photonic wires

Bart Kuyken,^{1,†} Xiaoping Liu,^{2,4,†} Günther Roelkens,¹ Roel Baets,¹
Richard M. Osgood, Jr.,² and William M. J. Green^{3,*}

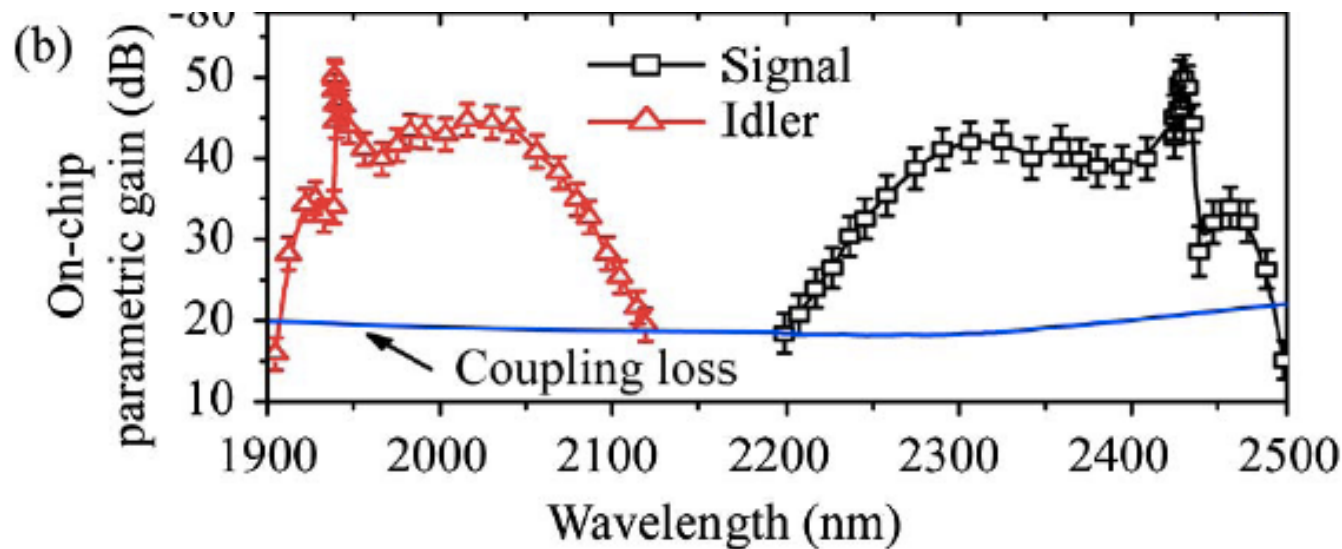
¹Photonics Research Group, Department of Information Technology, Ghent University—imec, Ghent B-9000, Belgium

²Department of Electrical Engineering, Columbia University, 1300 S. W. Mudd Building, 500 W. 120th Street, New York, New York 10027, USA

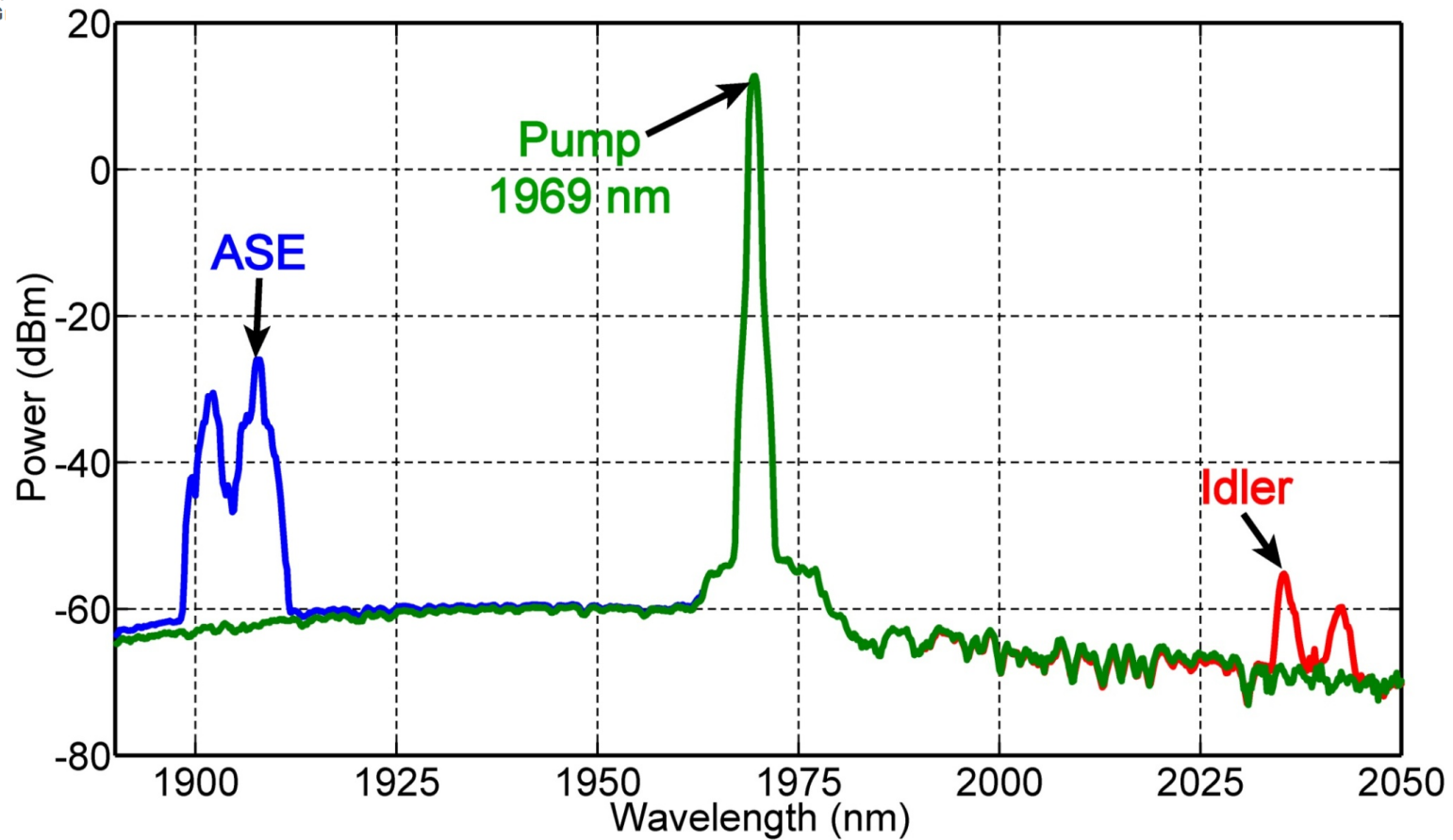
³IBM Thomas J. Watson Research Center, 1101 Kitchawan Road, Yorktown Heights, New York 10598, USA

⁴Current address: OFS Labs, 19 Schoolhouse Road, Somerset, New Jersey 08873, USA

*Corresponding author: wgreen@us.ibm.com

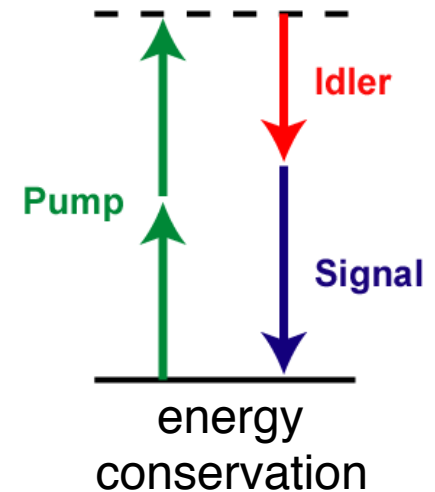
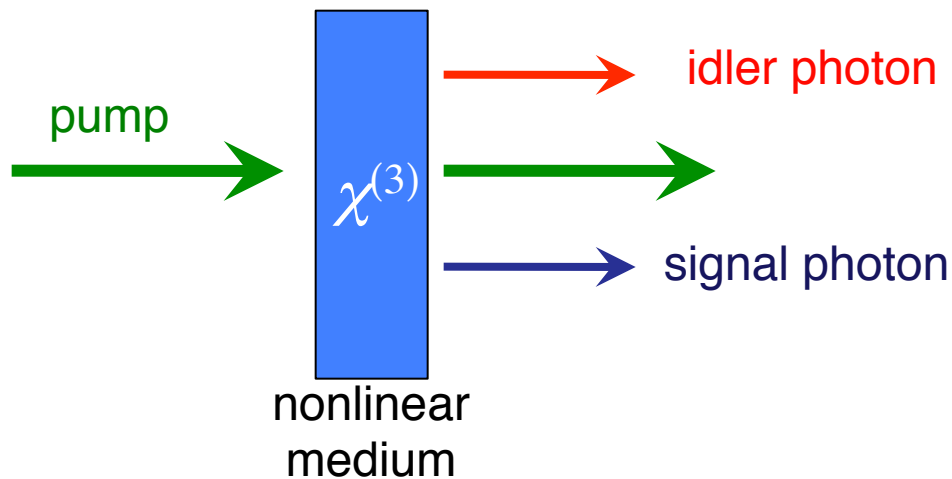


Frequency Conversion of Incoherent Source



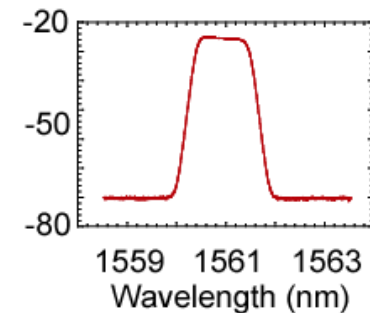
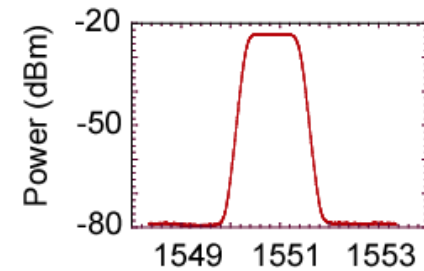
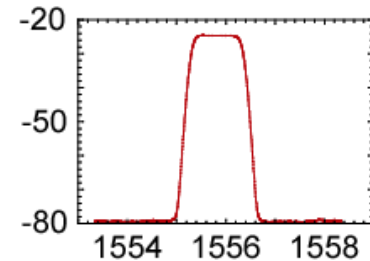
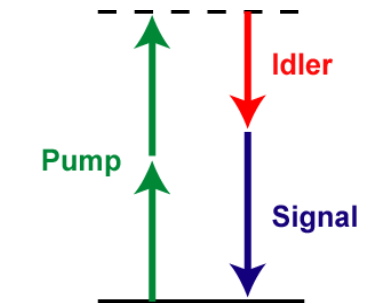
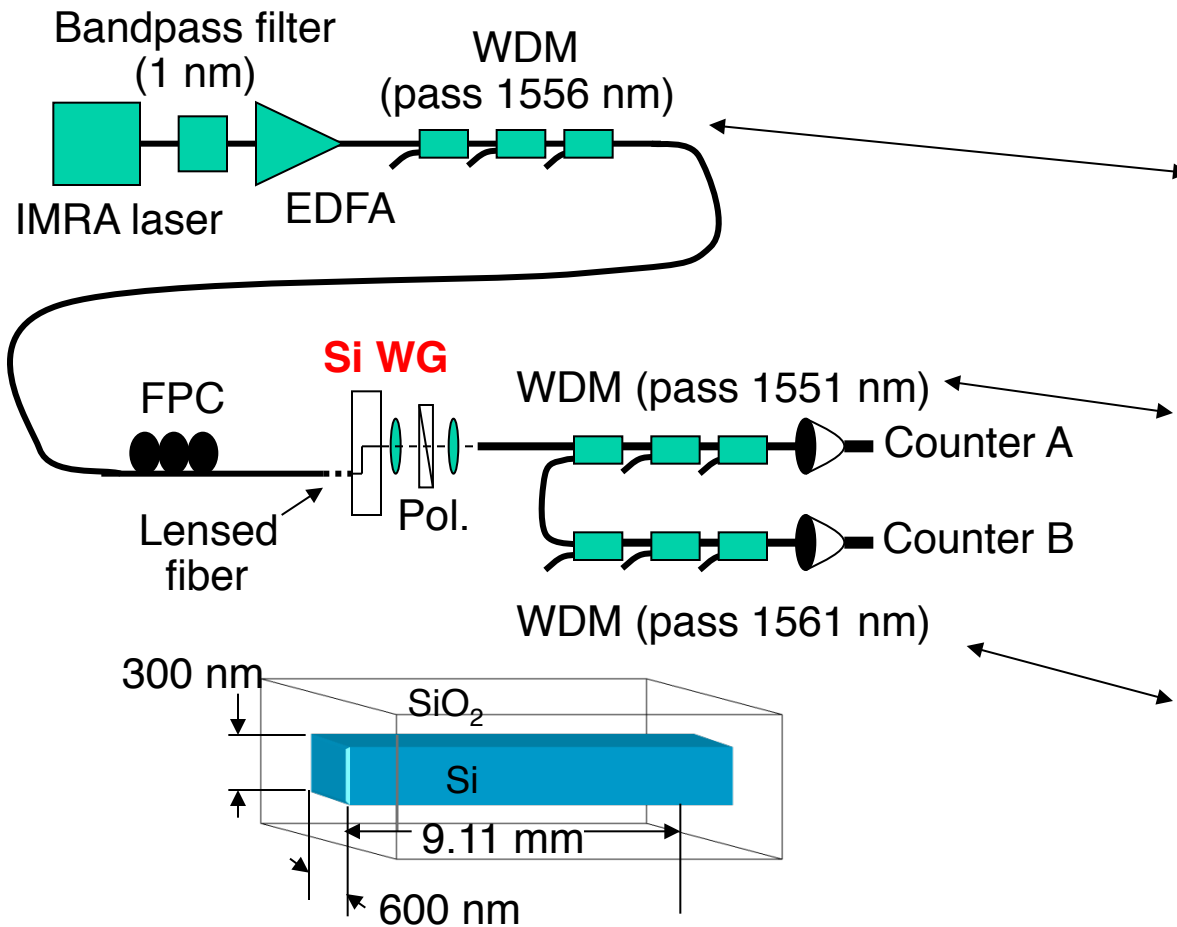
- 50-mW pump at 1969 nm, ASE from thulium fiber amplifier

Application: Generation of Correlated Photons via Four-Wave Mixing

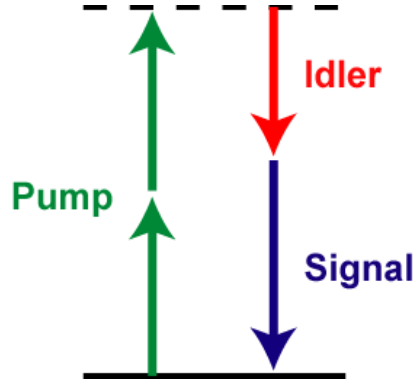


Application: Chip-Based Source for Correlated Photons

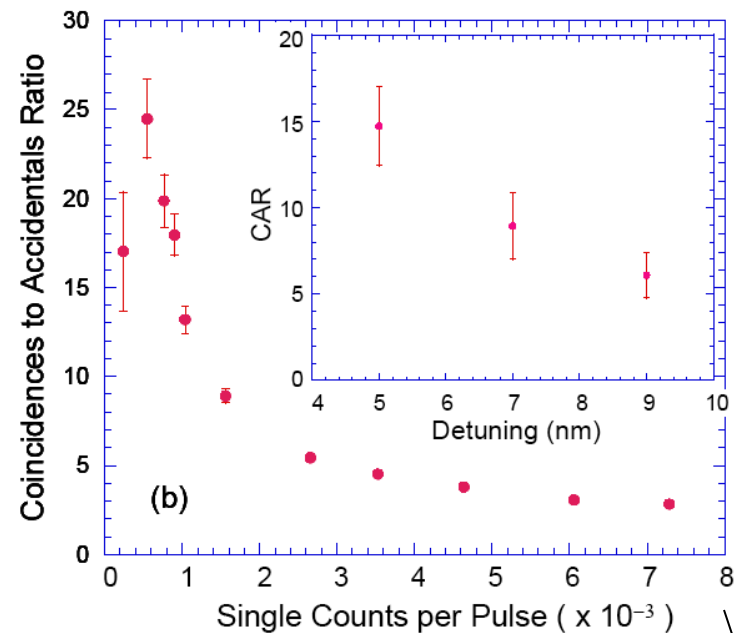
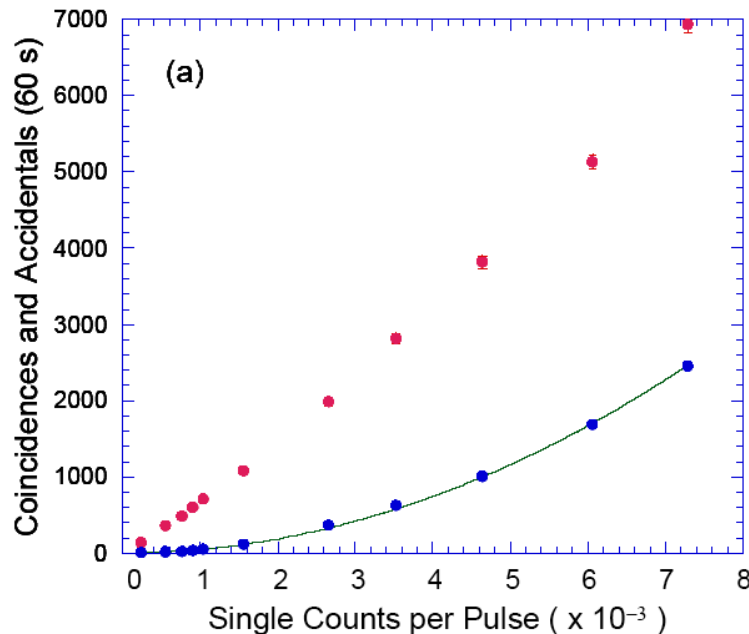
- Raman scattering can be avoided.



Generation of Correlated Photons in Si

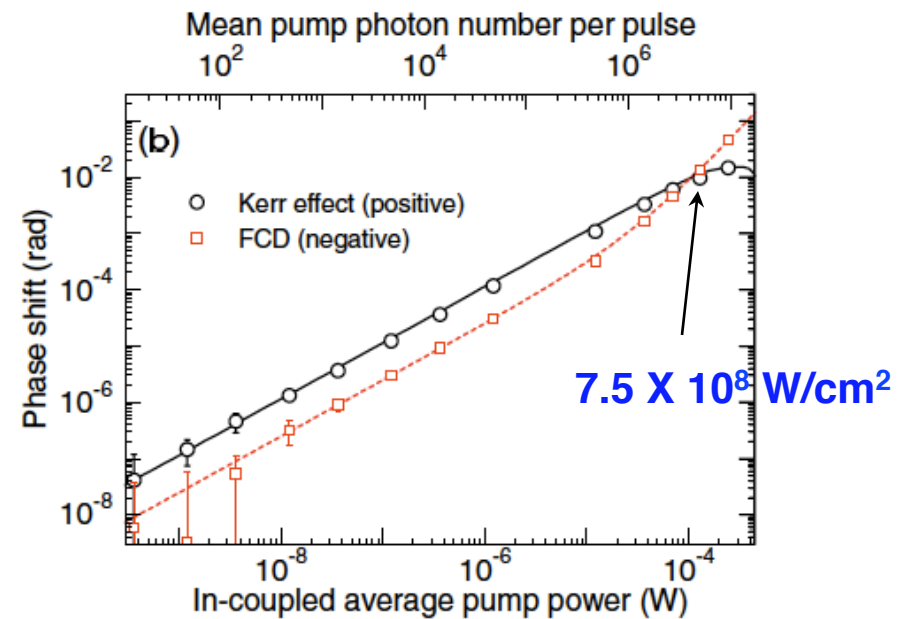
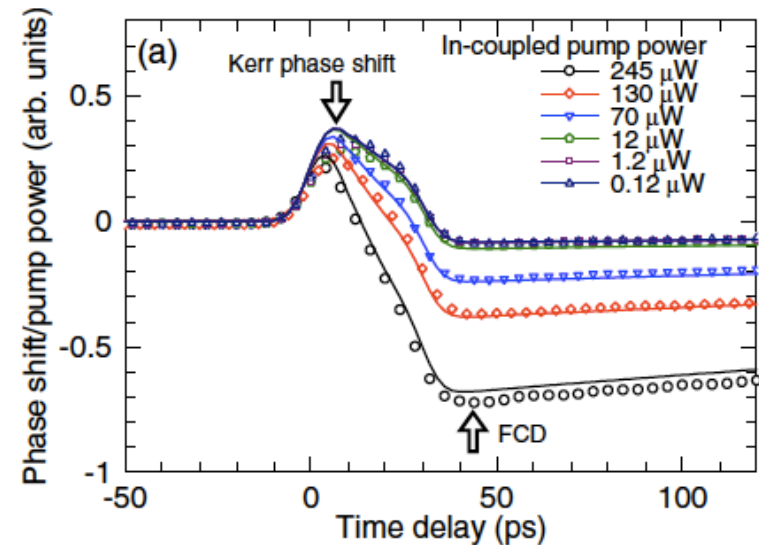


- Results show good quantum characteristics.
- Raman scattering can be avoided.

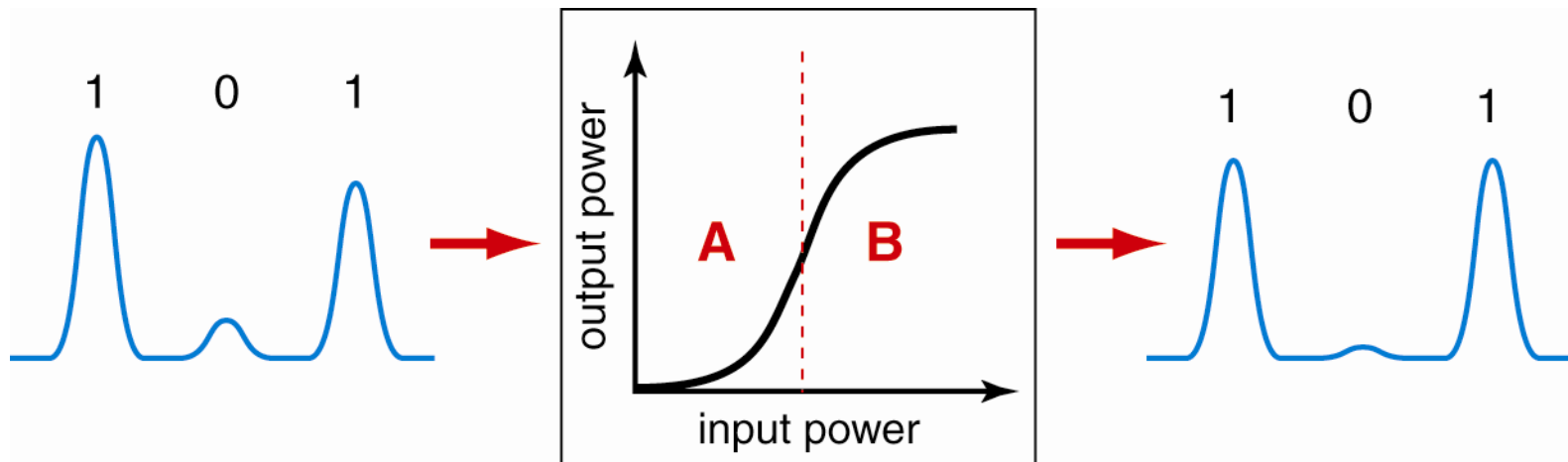


Contribution of Free-Carriers Spoils Correlations

- Plasma dispersion effect leads to generation of blue photons.
- $\chi^{(3)}$ due to free-carriers comparable to electronic for peak intensities $\sim 7.5 \times 10^8 \text{ W/cm}^2$



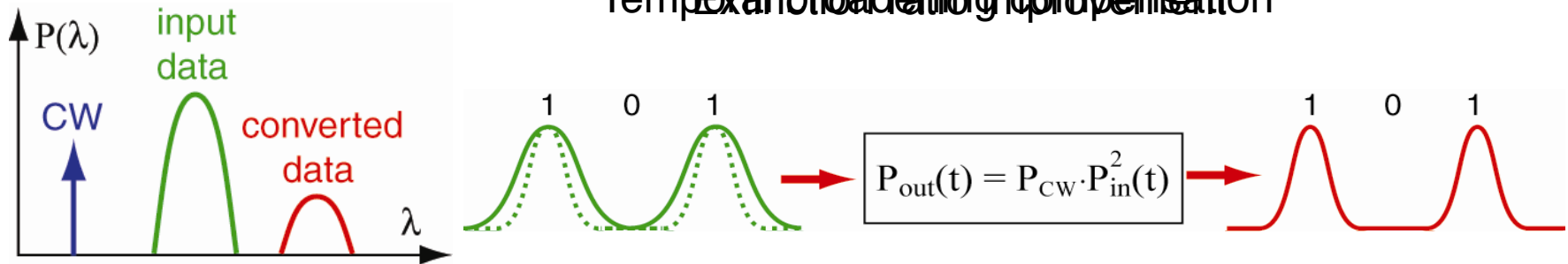
S-shaped power transfer function



- **Region A**
 - Reduces fluctuations on the logical 0' s.
 - Improves the extinction ratio.
- **Region B**
 - Reduces fluctuations on the logical 1' s.

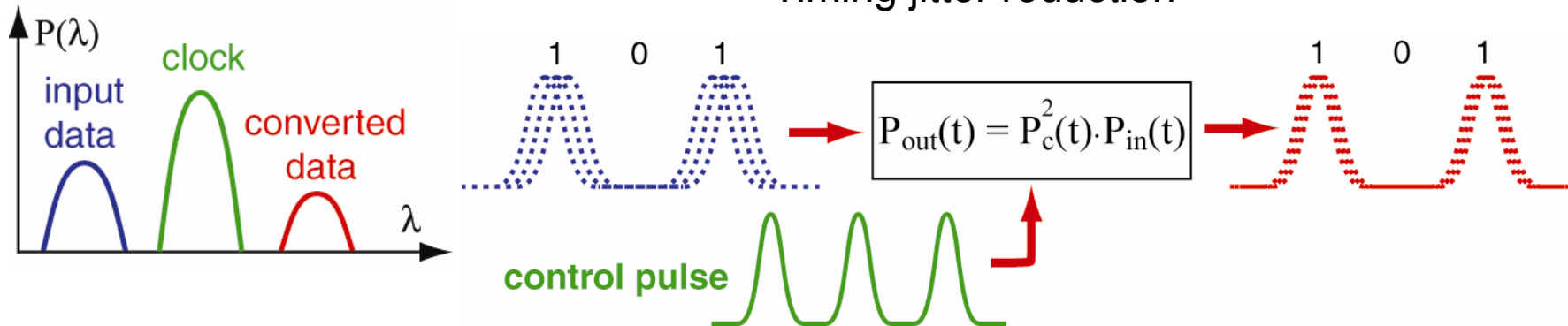
Application: FWM-Based Signal Regeneration for Optical Communications

Extinction ratio improvement



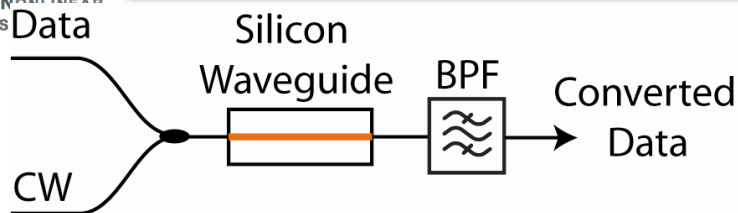
- ER improvement by FWM in fiber, Ciaramella et. al. (2001) & Bogris et al. (2003)
- ER improvement by FWM in SOA, Gosset et al. (2001) & Simos et al. (2004)

Timing jitter reduction

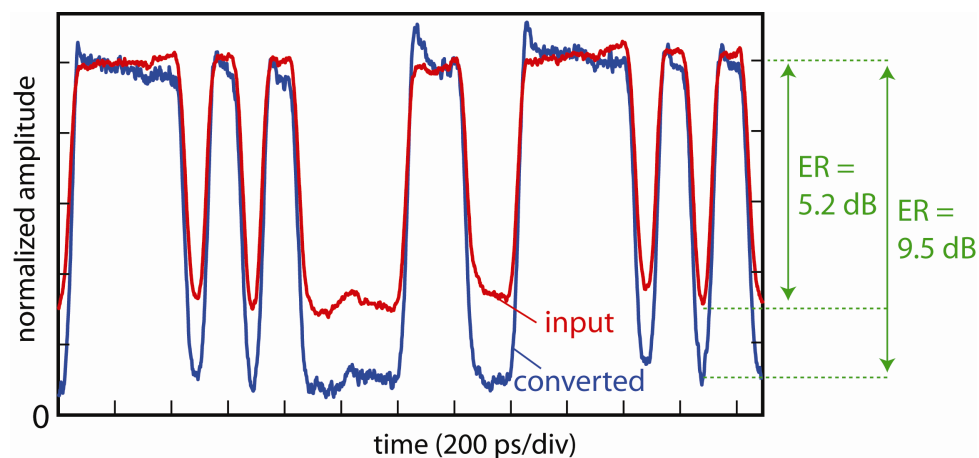
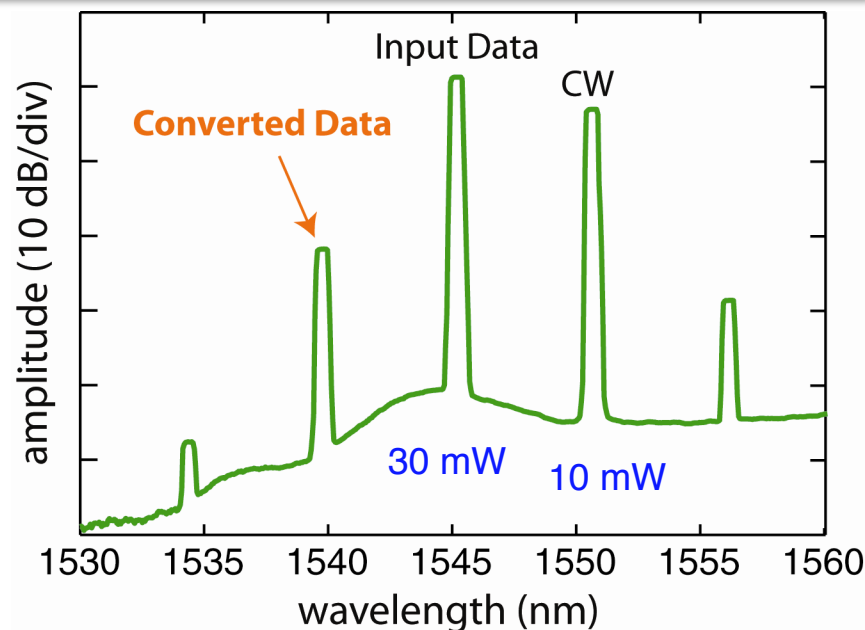
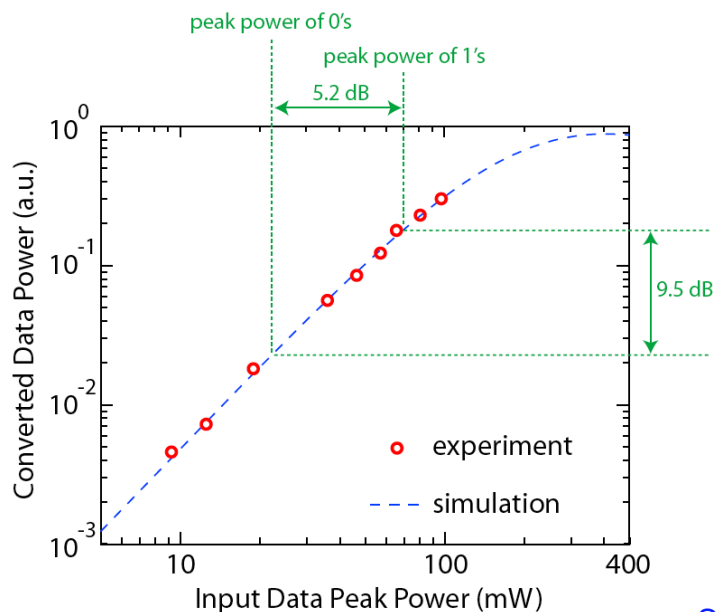


- 3R regeneration by FWM in fiber, Su et al. (2001)
- 3R regeneration by OPA in fiber, Yu et al. (2005)

Signal Regeneration Using FWM in Si

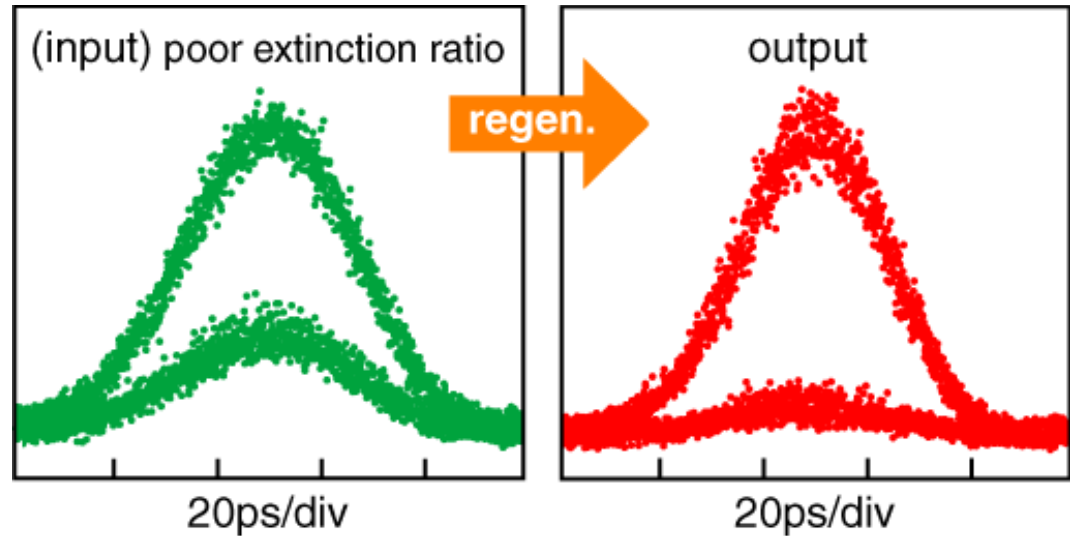


- Data extinction ratio (ER) improved due to the quadratic input/output power transfer function.

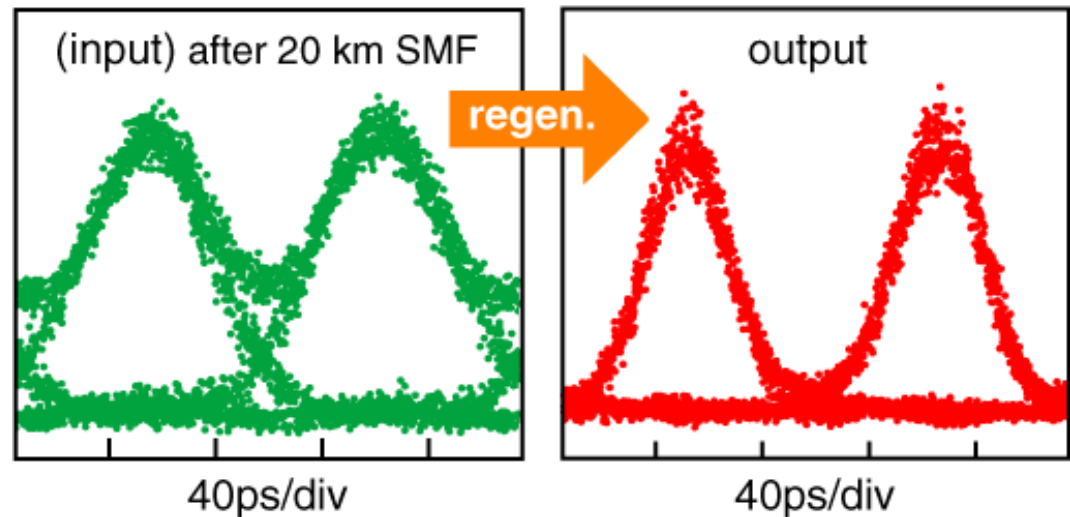


10 Gb/s RZ Data Regeneration

**Extinction ratio
improvement**

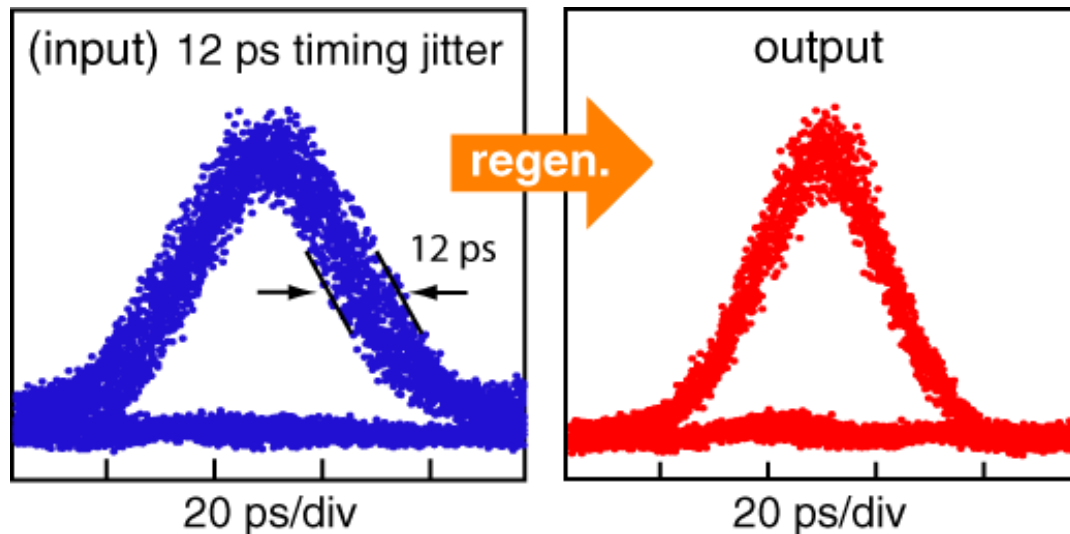
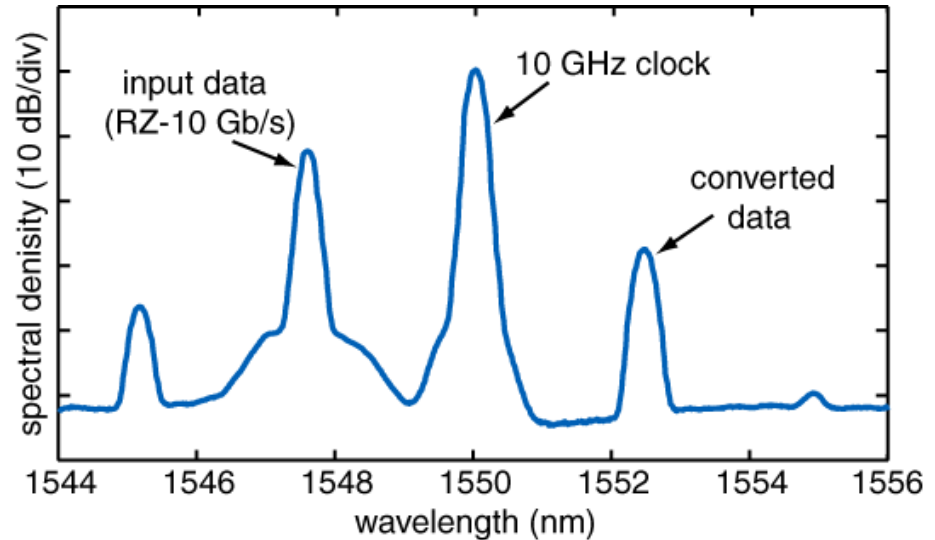


**Pulse
compression**



10 Gb/s RZ Data Regeneration

**Timing jitter
suppression using a
clock (control) signal**



Ultralow Power Frequency Conversion

- Use ring resonator to enhance efficiency of FWM.
- Frequency conversion: $< \text{mW}$ cw powers.

