

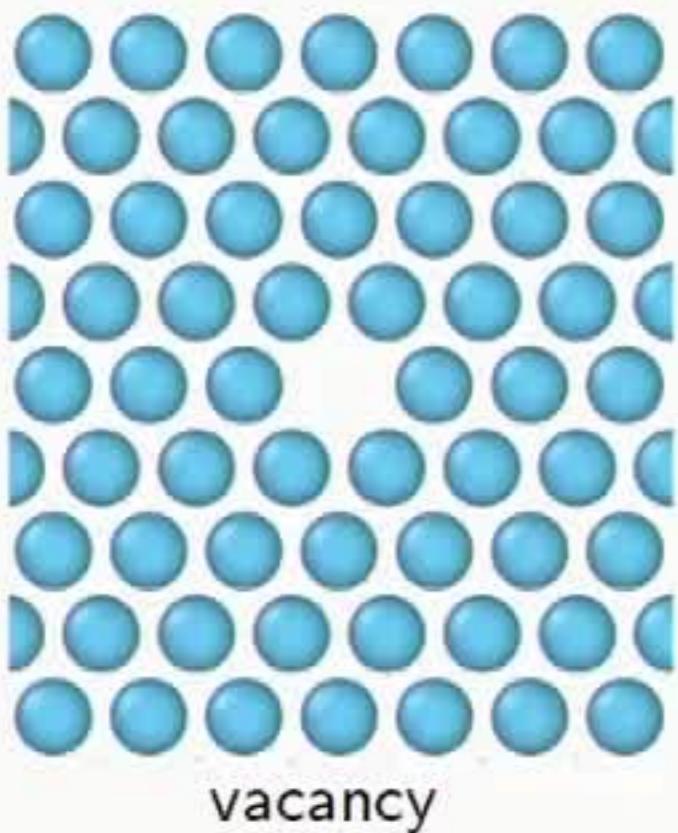
# **Atomistic Simulation of Crystalline Defects**

## **[A Numerical Analysis Perspective]**

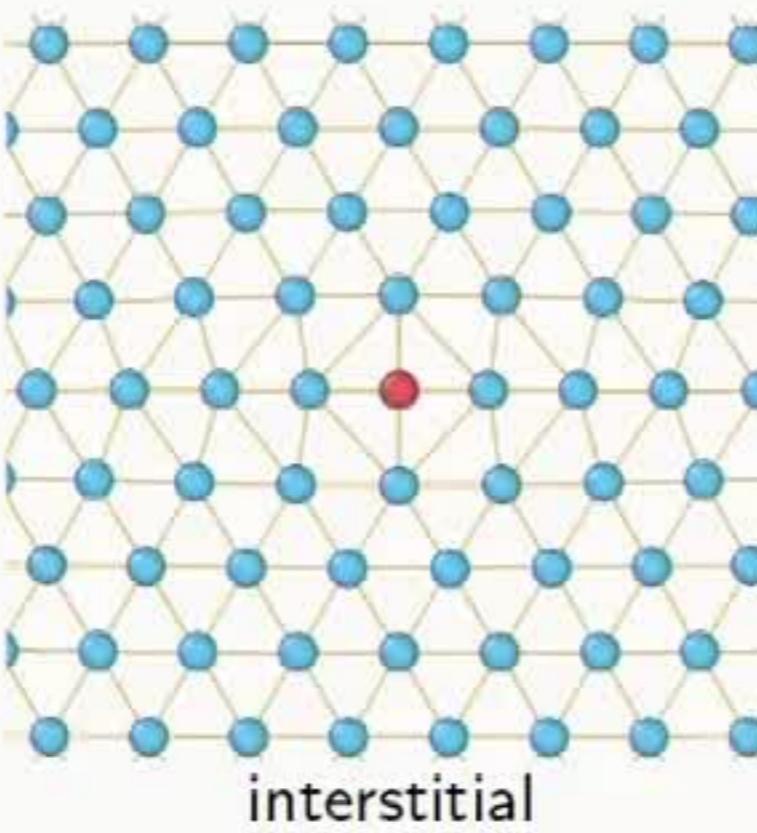
**Christoph Ortner**

joint work with too many people to list here

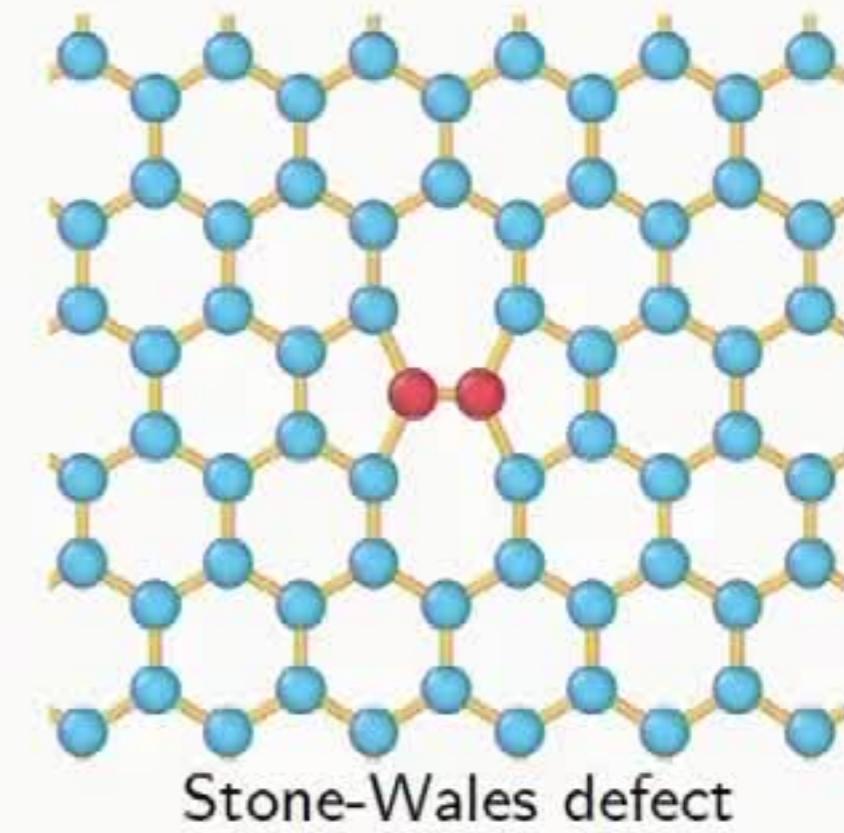
**SIAM Conference on Mathematical Aspects of Materials Science**  
**Portland, July 9–13, 2018**



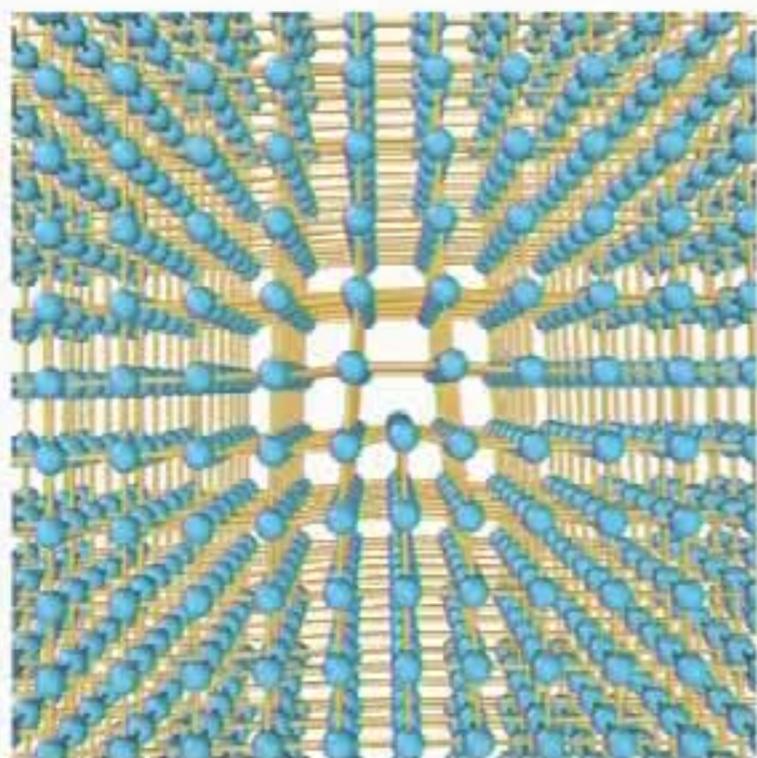
vacancy



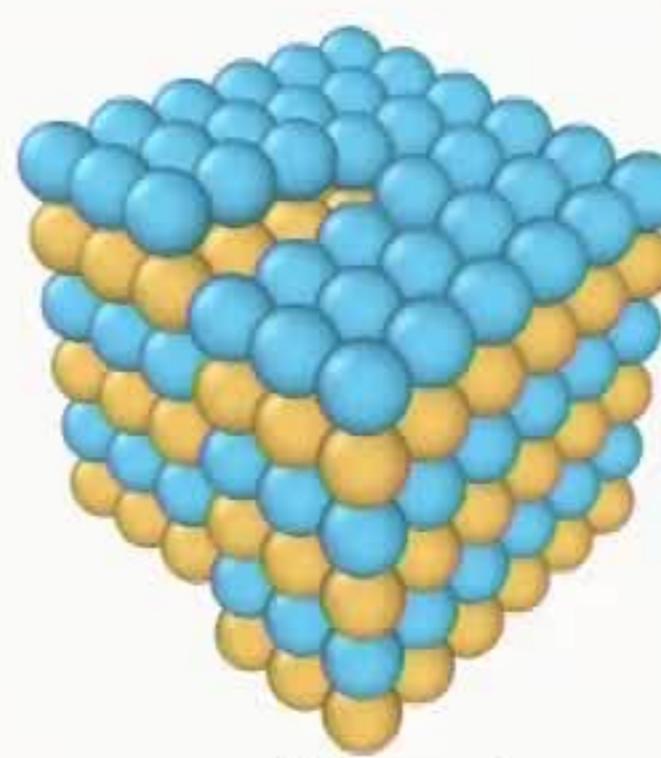
interstitial



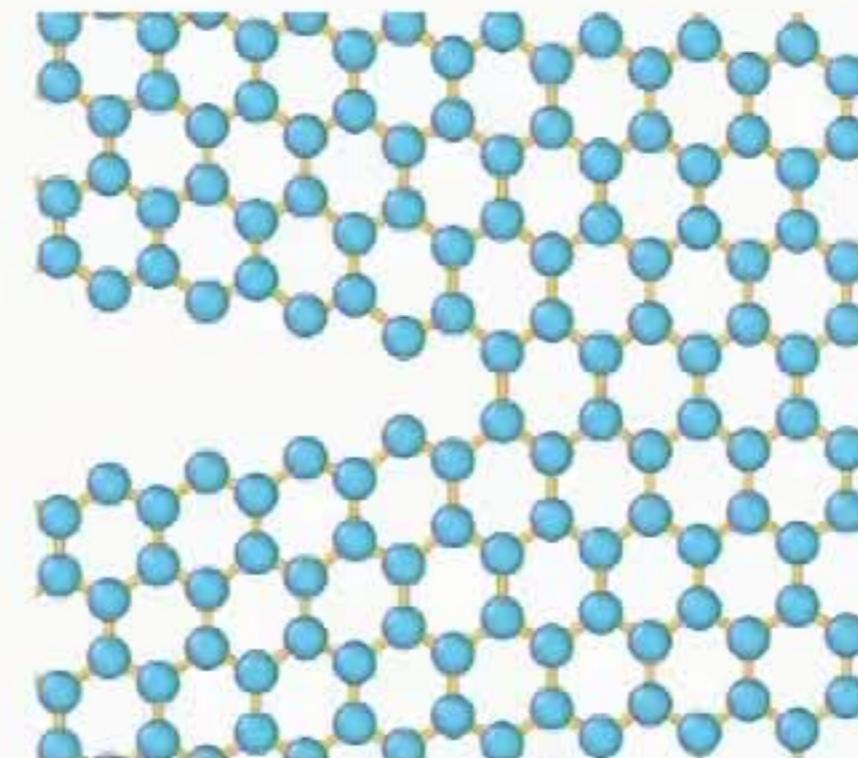
Stone-Wales defect



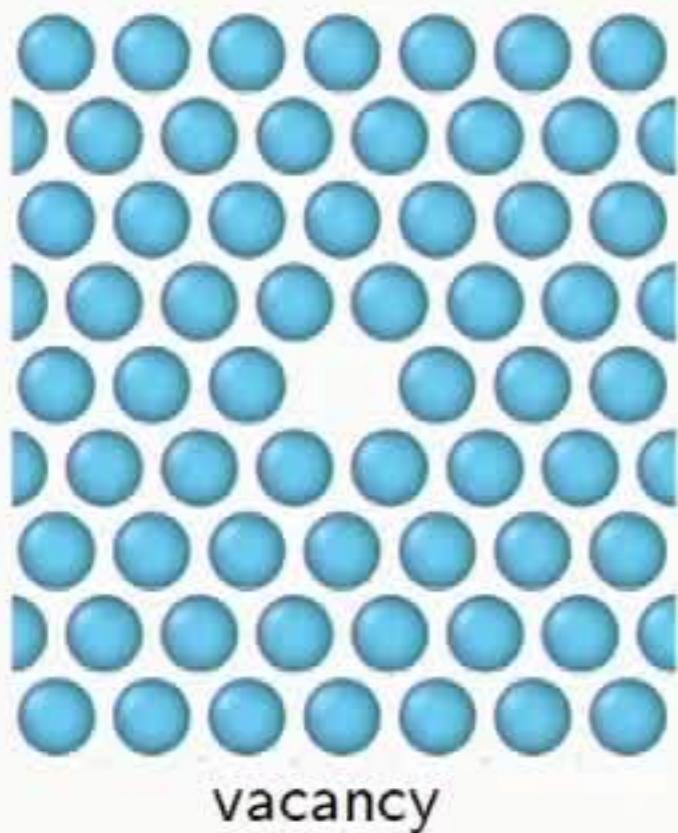
edge dislocation



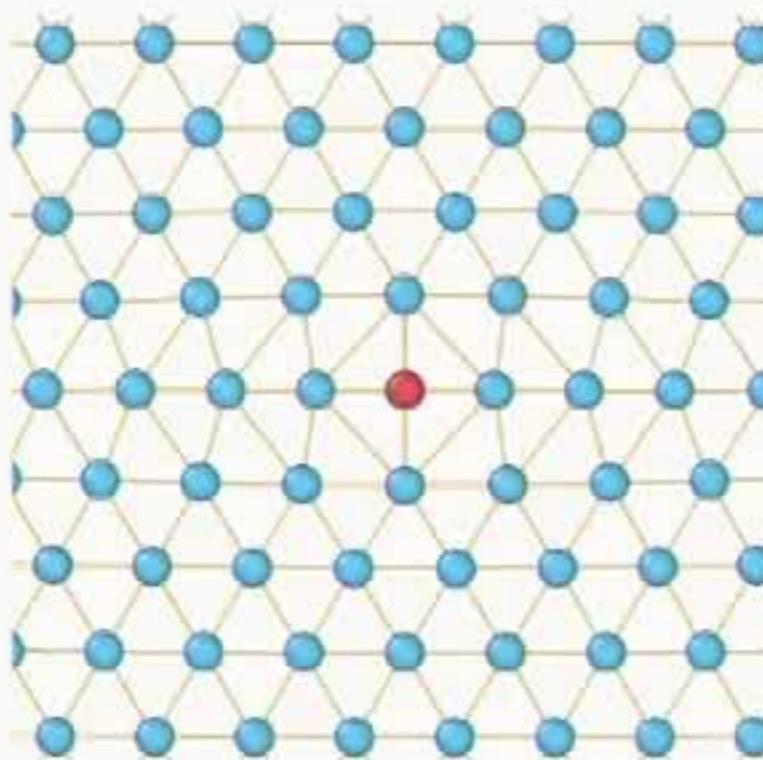
screw dislocation



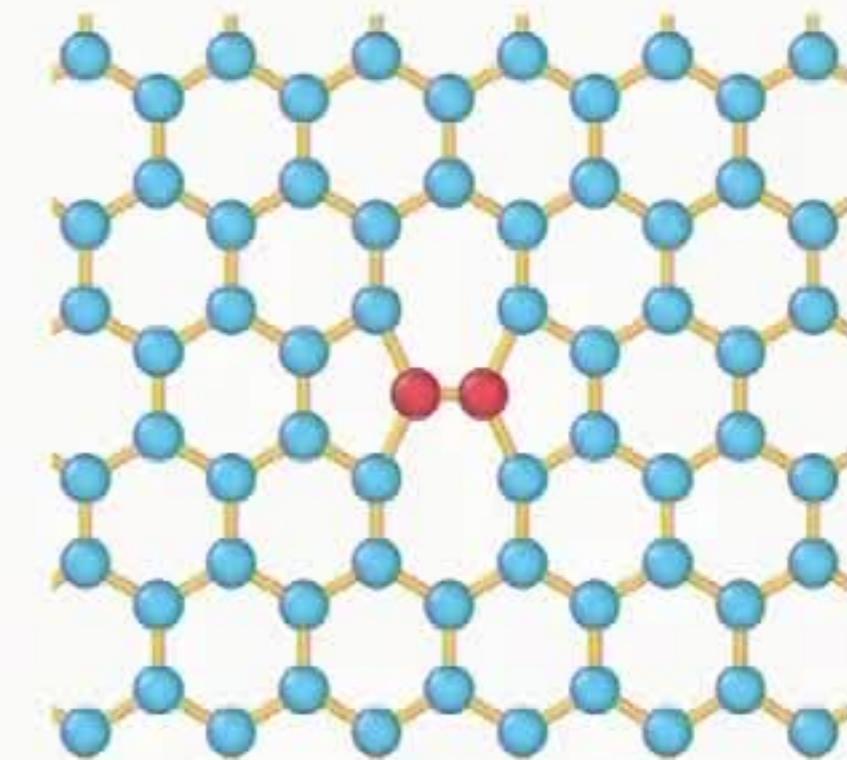
crack



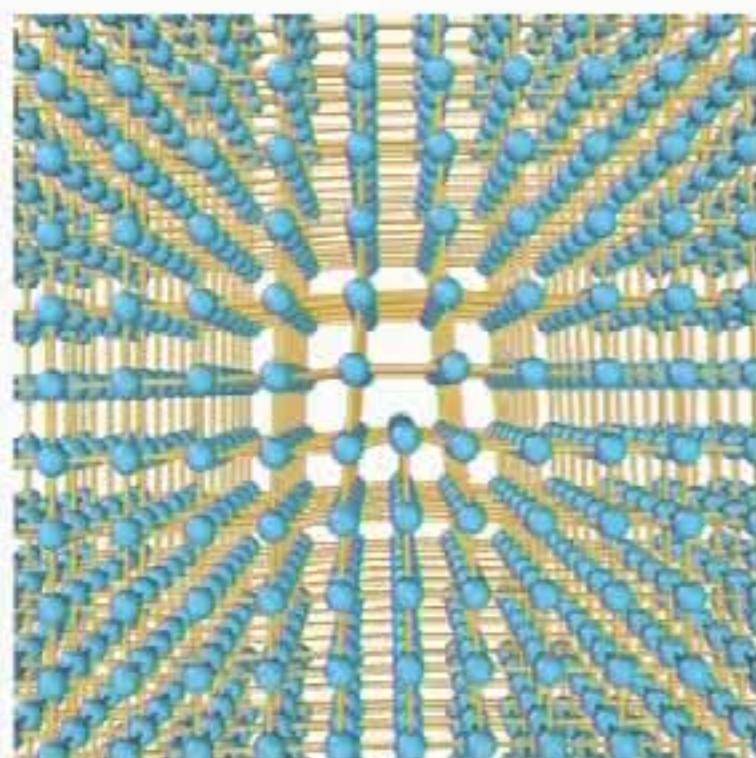
vacancy



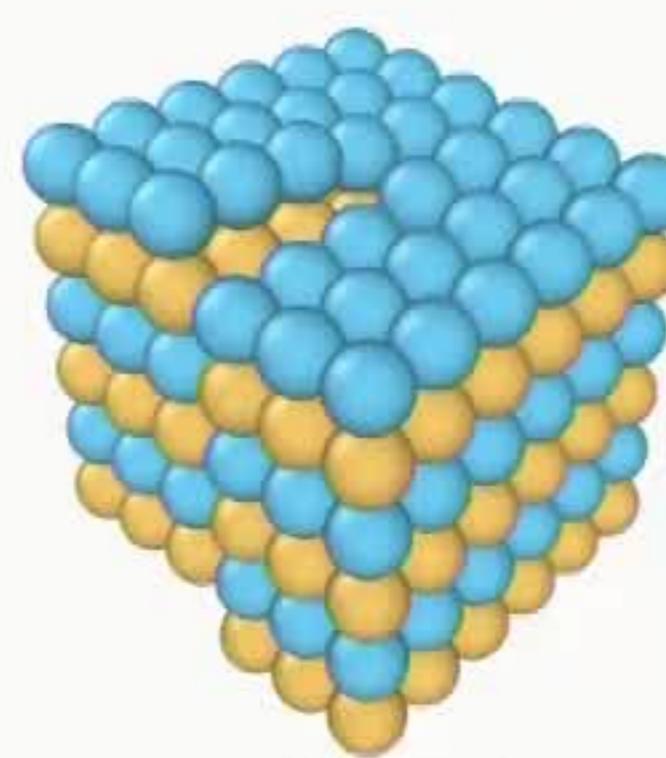
interstitial



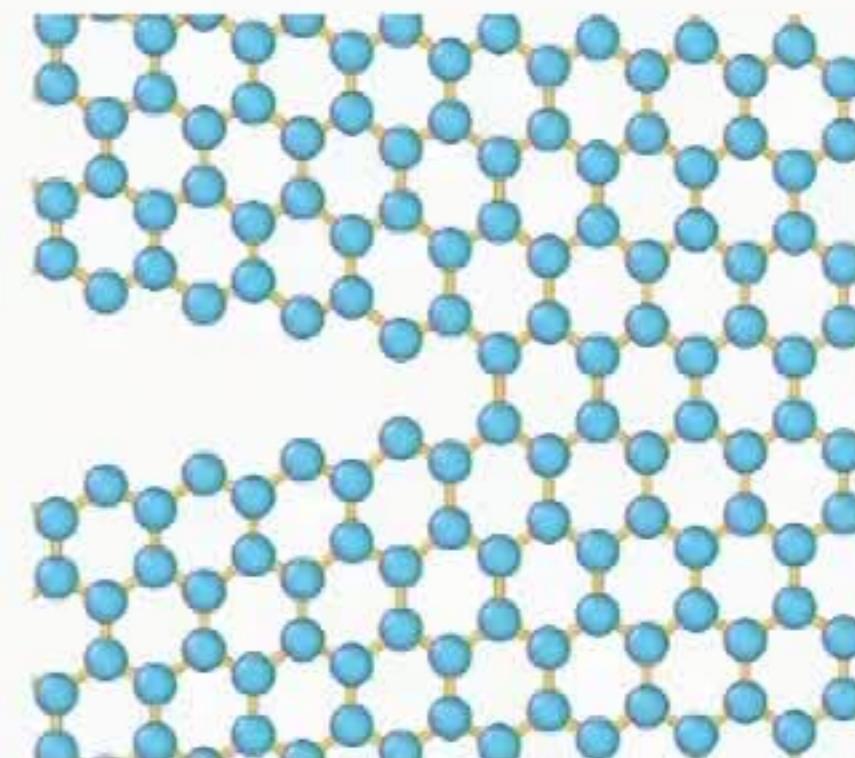
Stone-Wales defect



edge dislocation



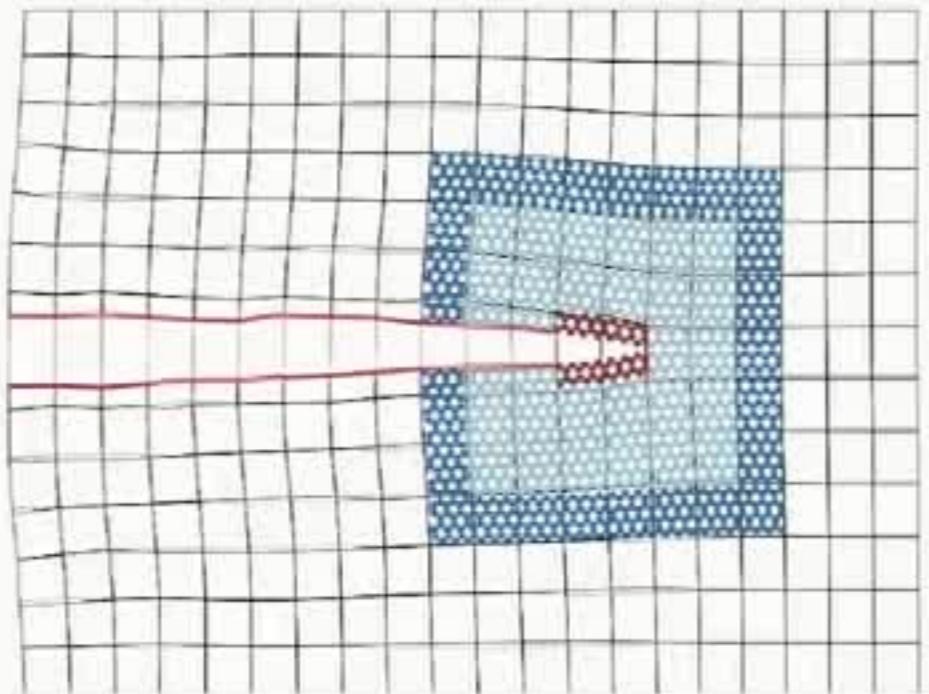
screw dislocation



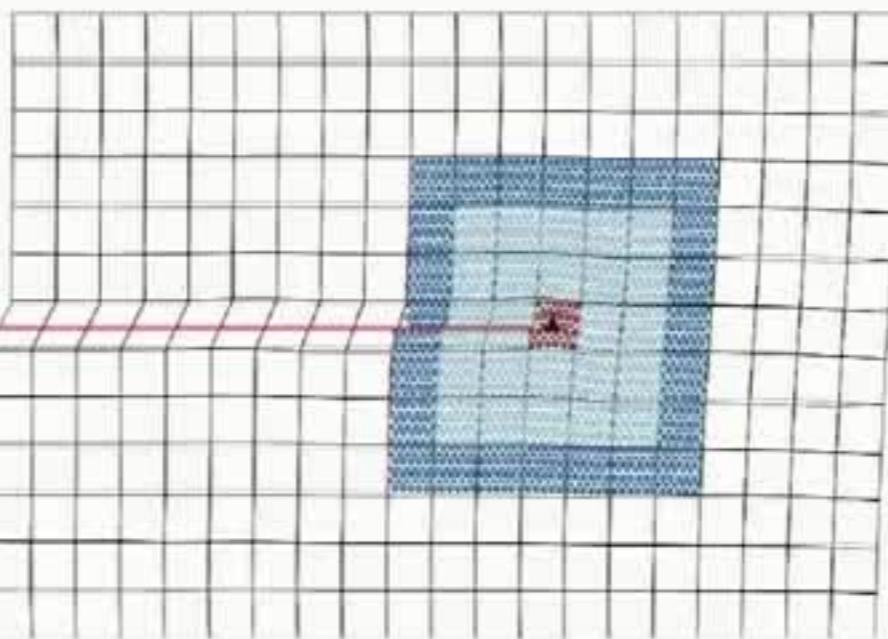
crack

## A/C Coupling (quasi-continuum)

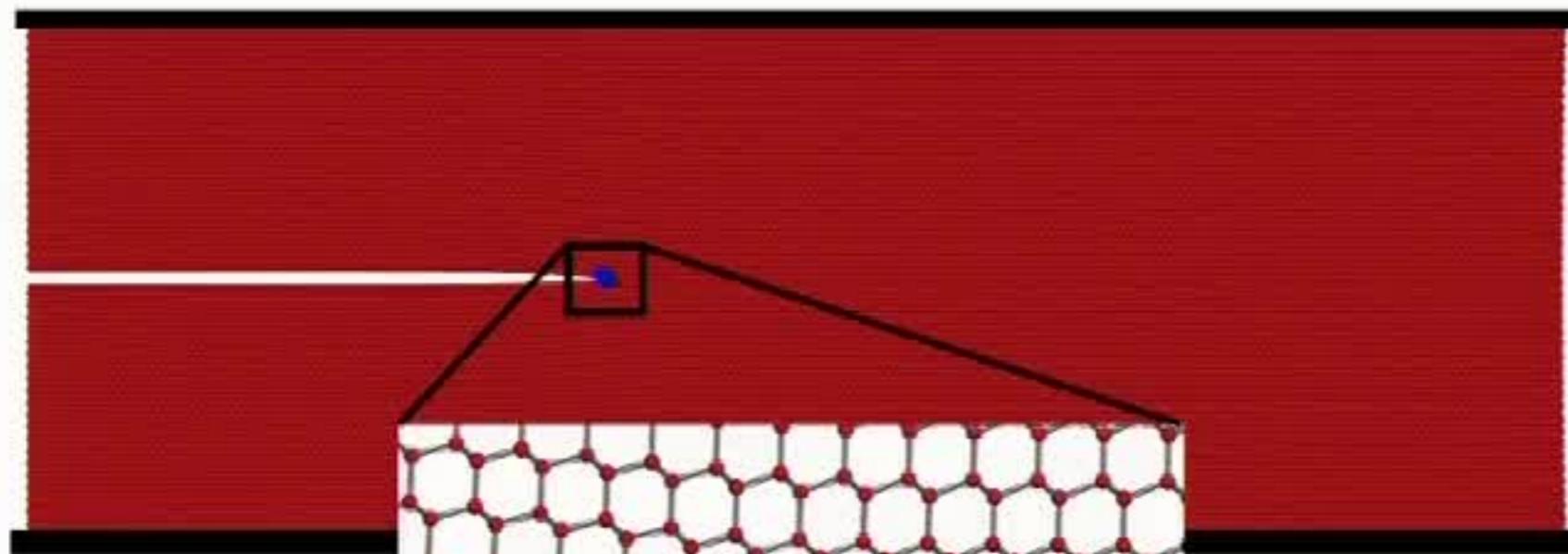
[Moseley, Oswald & Be-  
lytschko, 2013]



(1) A crack in graphene

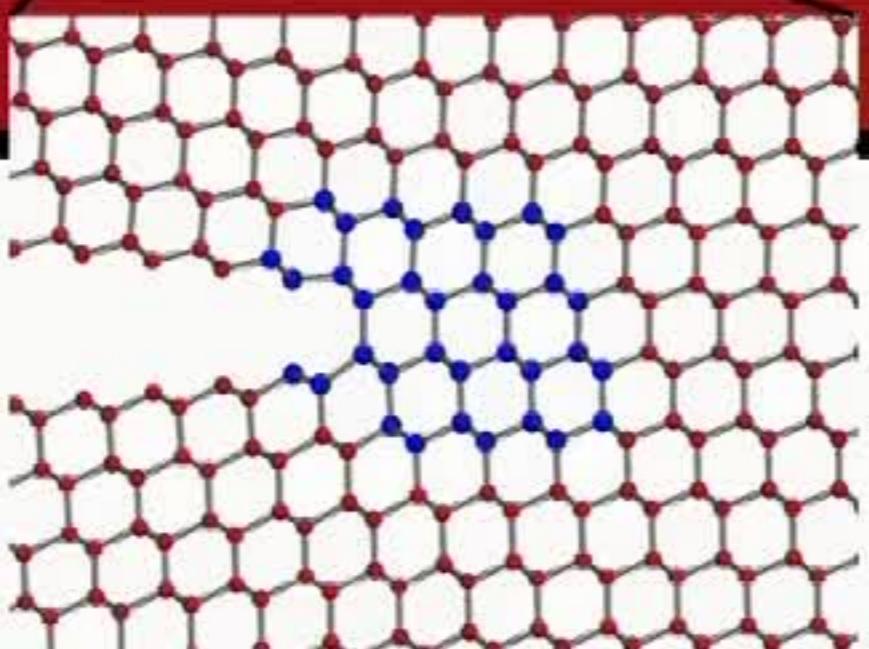


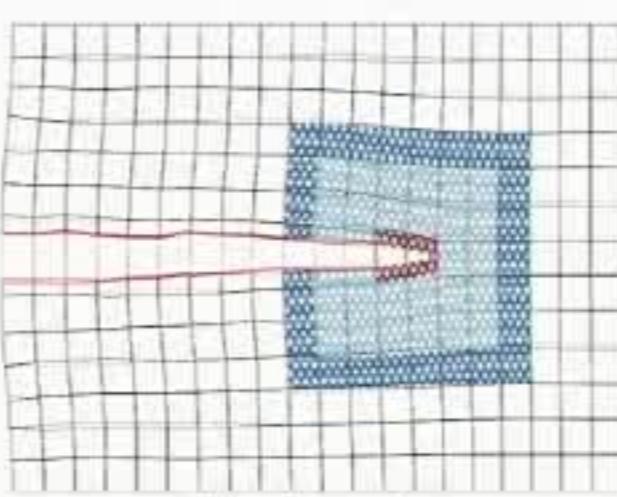
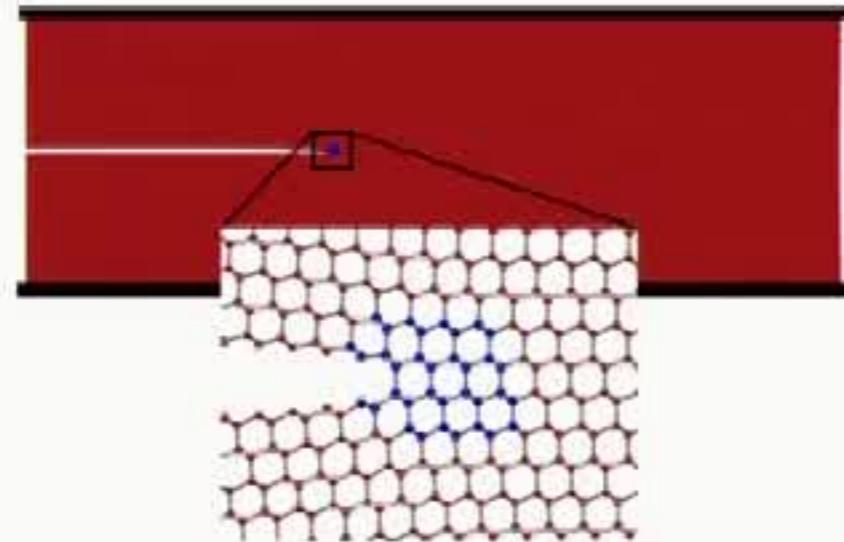
(2) A dislocation in a hexagonal lattice



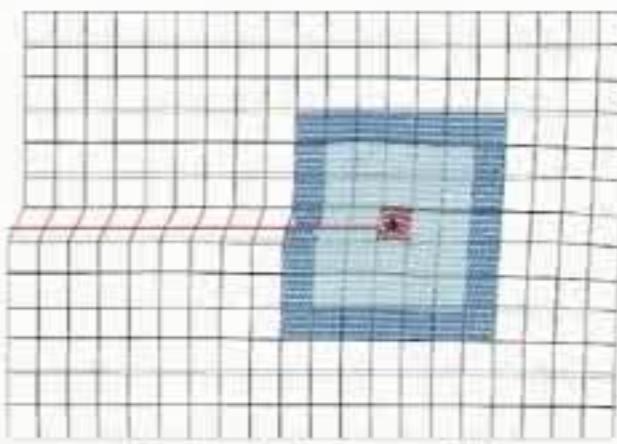
## QM/MM Coupling

[Kermode, Albaret, Sherman,  
Bernstein, Gumbsch, Payne,  
Csanyi, de Vita; Nature, 2008]





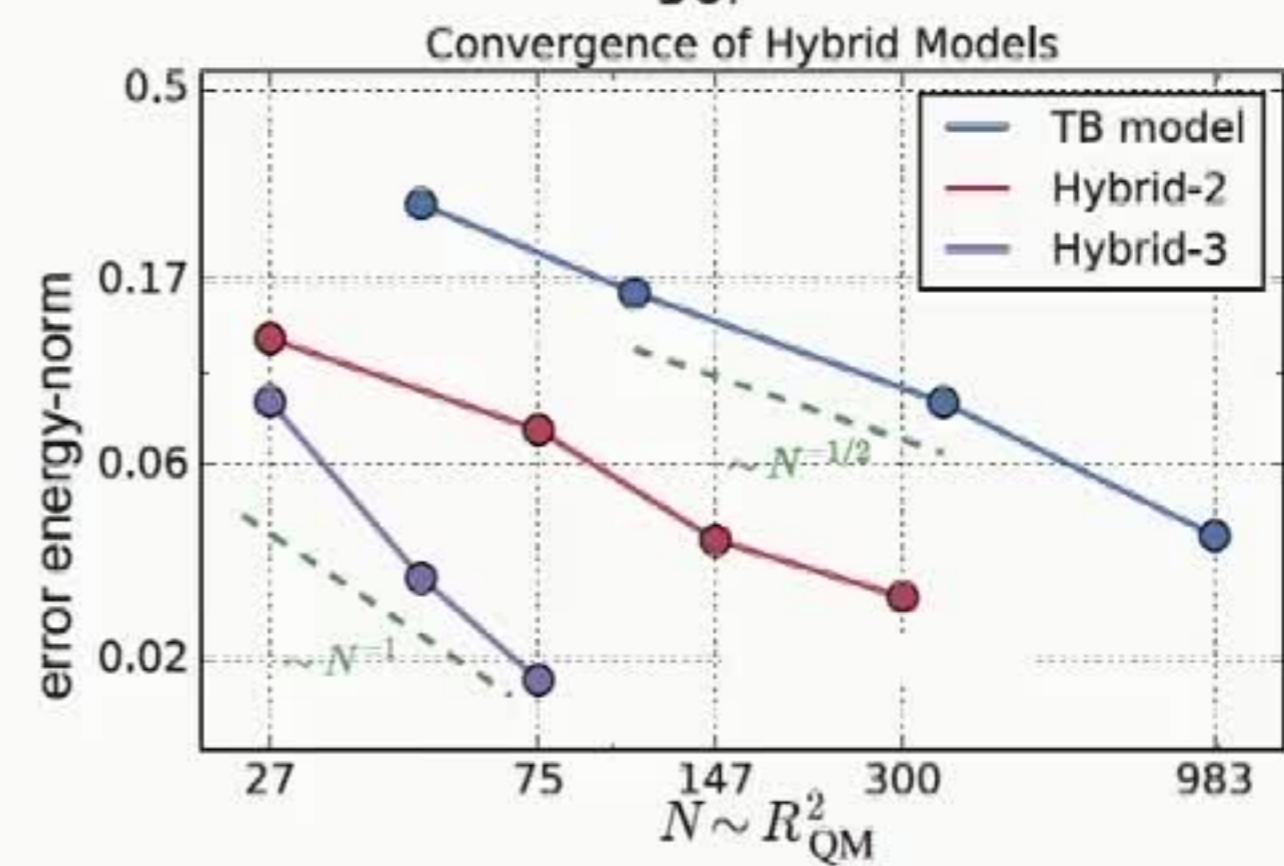
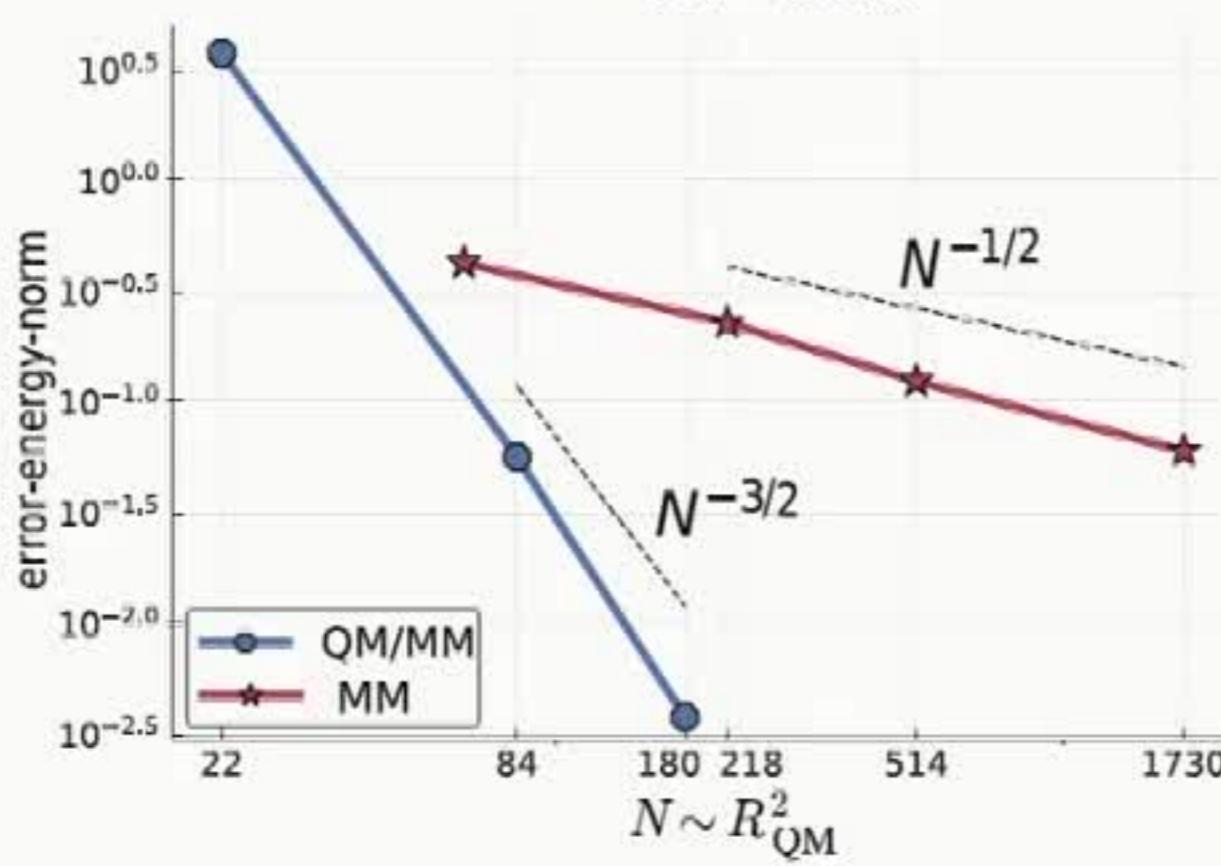
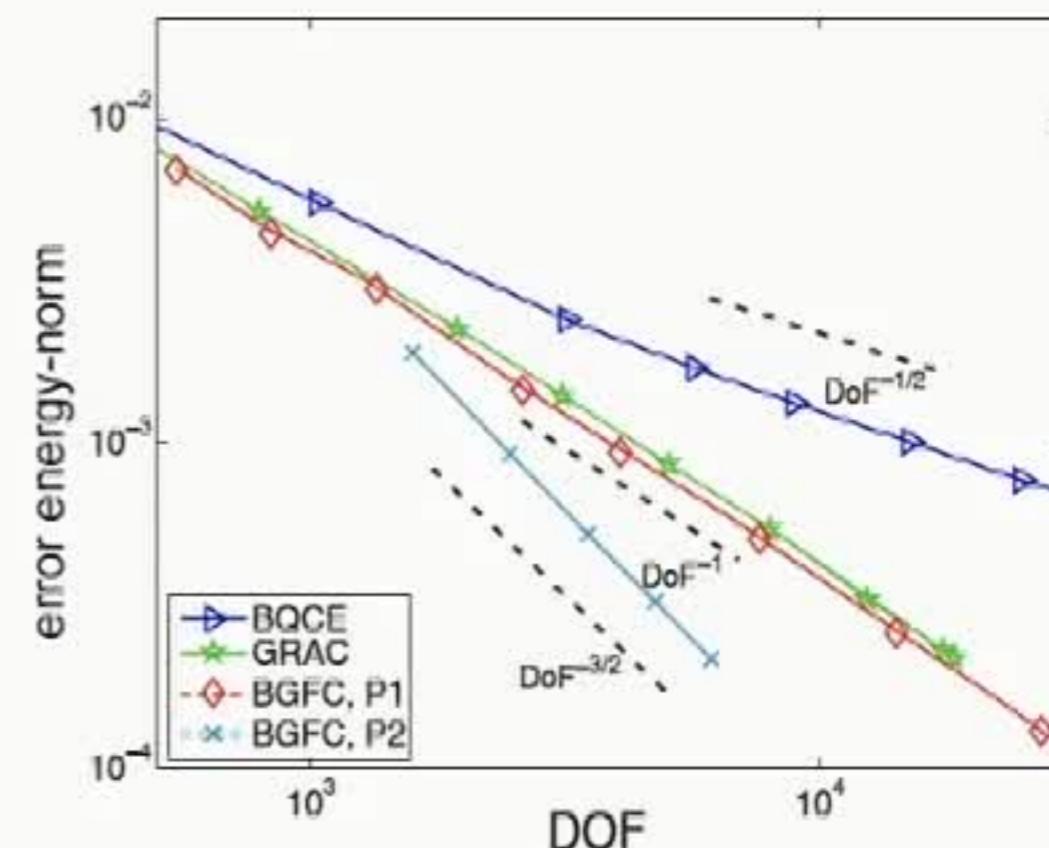
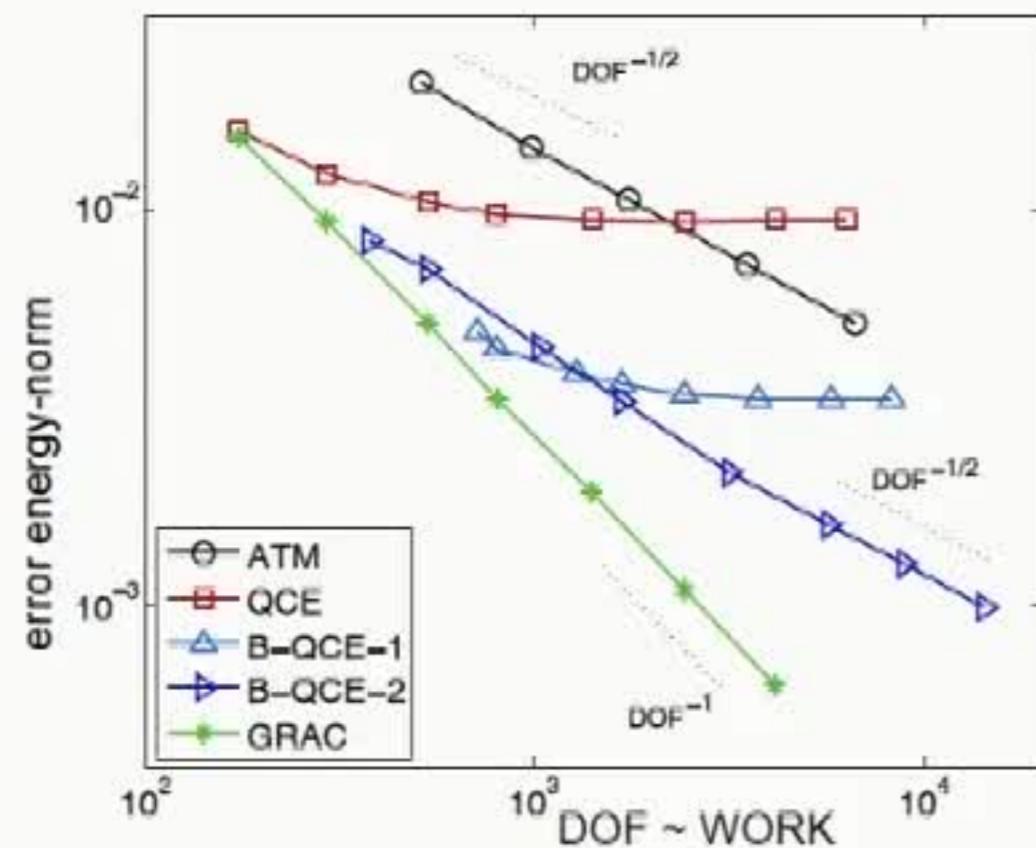
(1) A crack in graphene

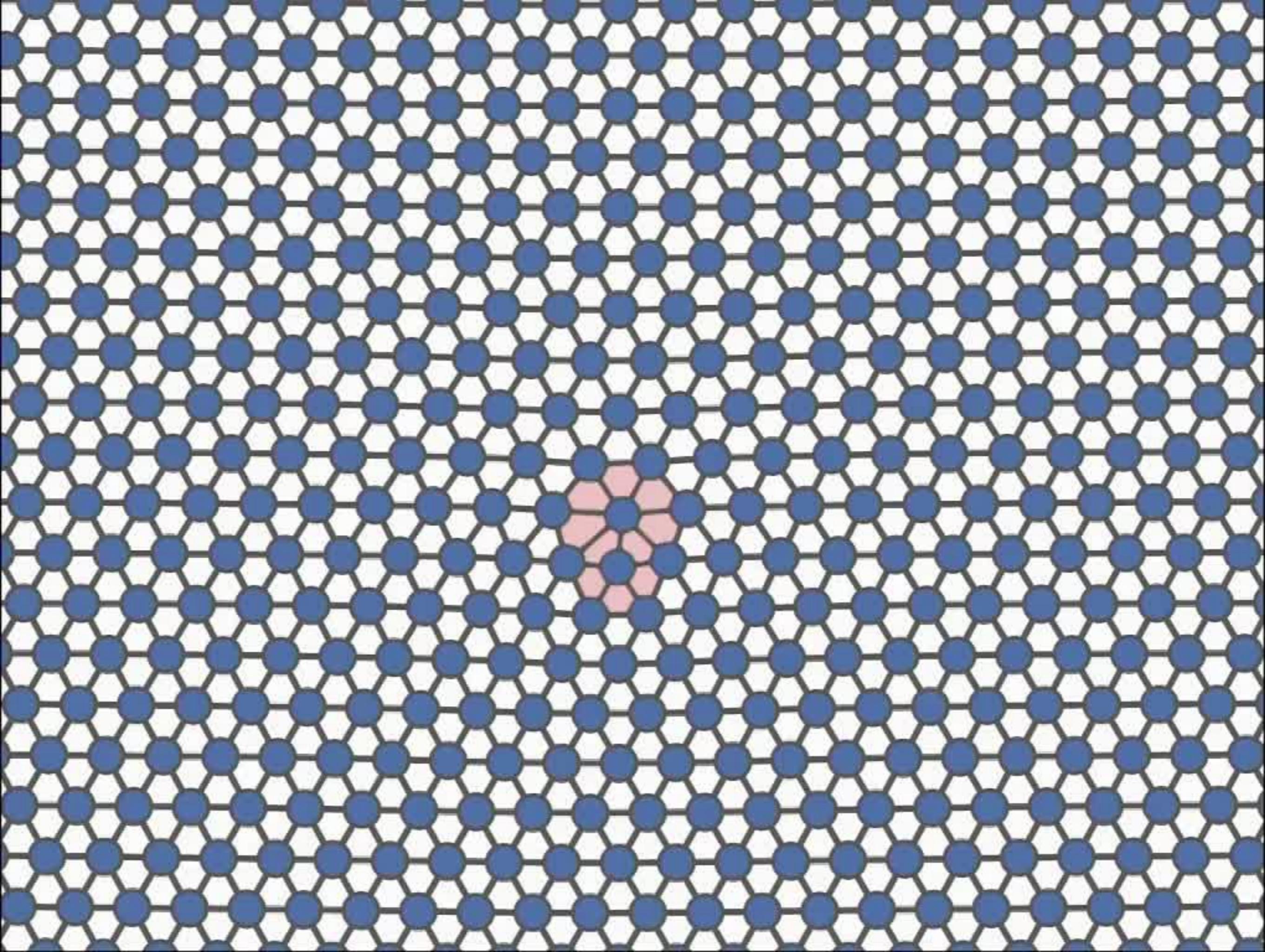


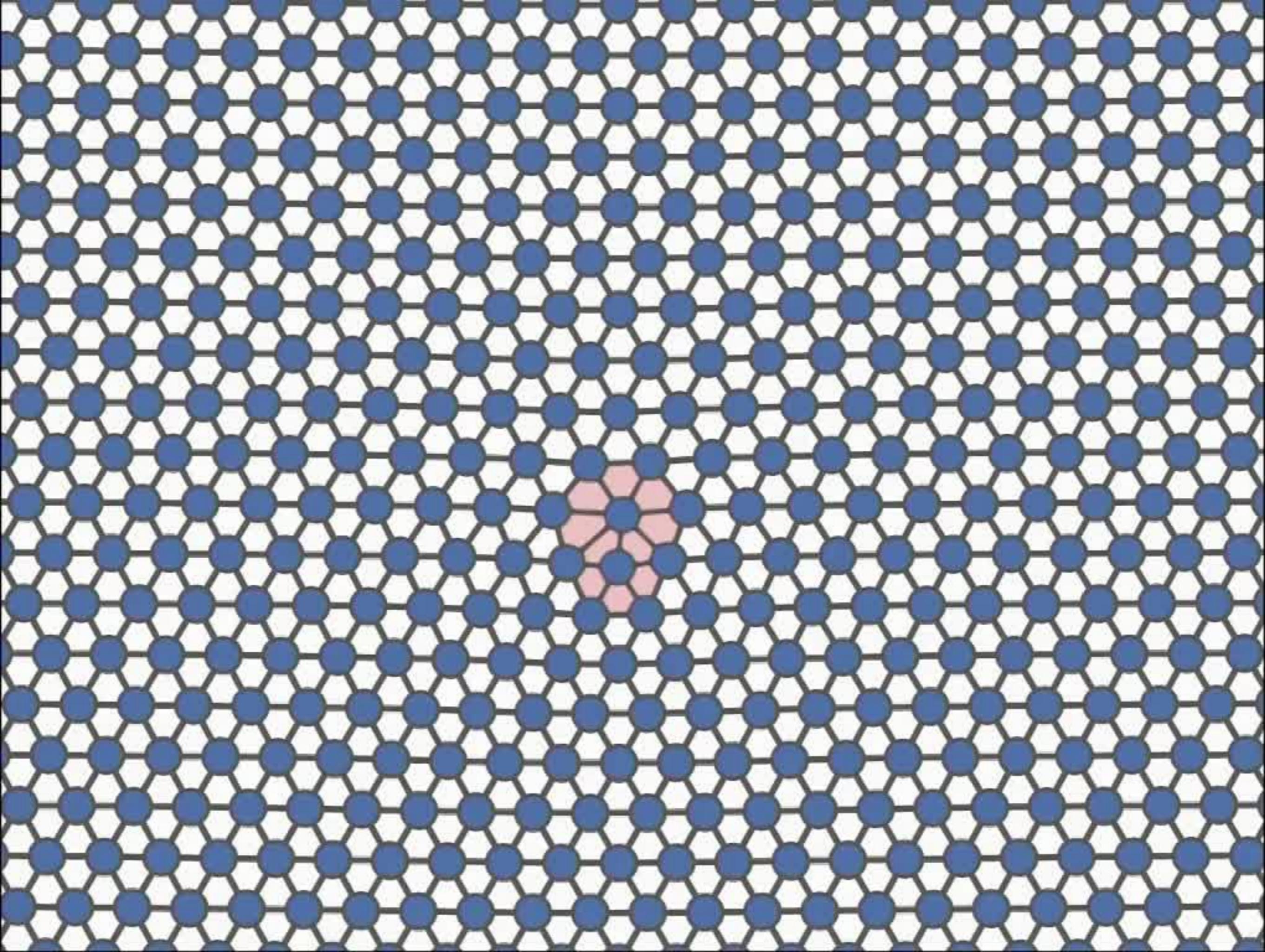
(2) A dislocation in a hexagonal lattice

- **Concurrent multi-scale schemes** come in many, many variants:
  - **A/C, Quasicontinuum** [Tadmor, Ortiz, Kochmann, Geers, Belytschko, ...]
  - **QM/MM** [Kaxiras, Bernstein, Csanyi, Kermode, Sherwood, Catlow, ...]
  - Flexible boundary conditions [Sinclair, Woodward, Rao, Trinkle, Li, ...]
  - CADD = Coupl. Atomistic and Discr. Disloc. Dyn. [Curtin, Miller, ...]
  - QM-to-Continuum Coupling [Gavini, Bhattacharya, Suryanarayana, ...]
  - ...
- **Central Challenge: interface coupling mechanism**
- **Today's Talk:** evaluate from a numerical analysis perspective
  - separate code, model, approximations
  - estimate approximation error
  - identify and remove bottlenecks
  - balance approximation parameters  $\Rightarrow$  optimise!

# The Goal of Numerical Analysis







# Lennard-Jones Cluster Model for Edge Dislocation

Positions:  $y = (y_\ell)_{\ell \in \Omega_R} \subset \mathbb{R}^d$

Energy:  $E(y) := \sum_{i \neq j} \phi_{\text{LJ}}(r_{ij}) = \sum_{\ell} E_{\ell}(y)$

$$\bar{y}_R \in \arg \min E(y) \quad \text{subj.to} \quad y_\ell = y_\ell^{\text{FF}} \text{ for } \ell \in \partial \Omega_R$$

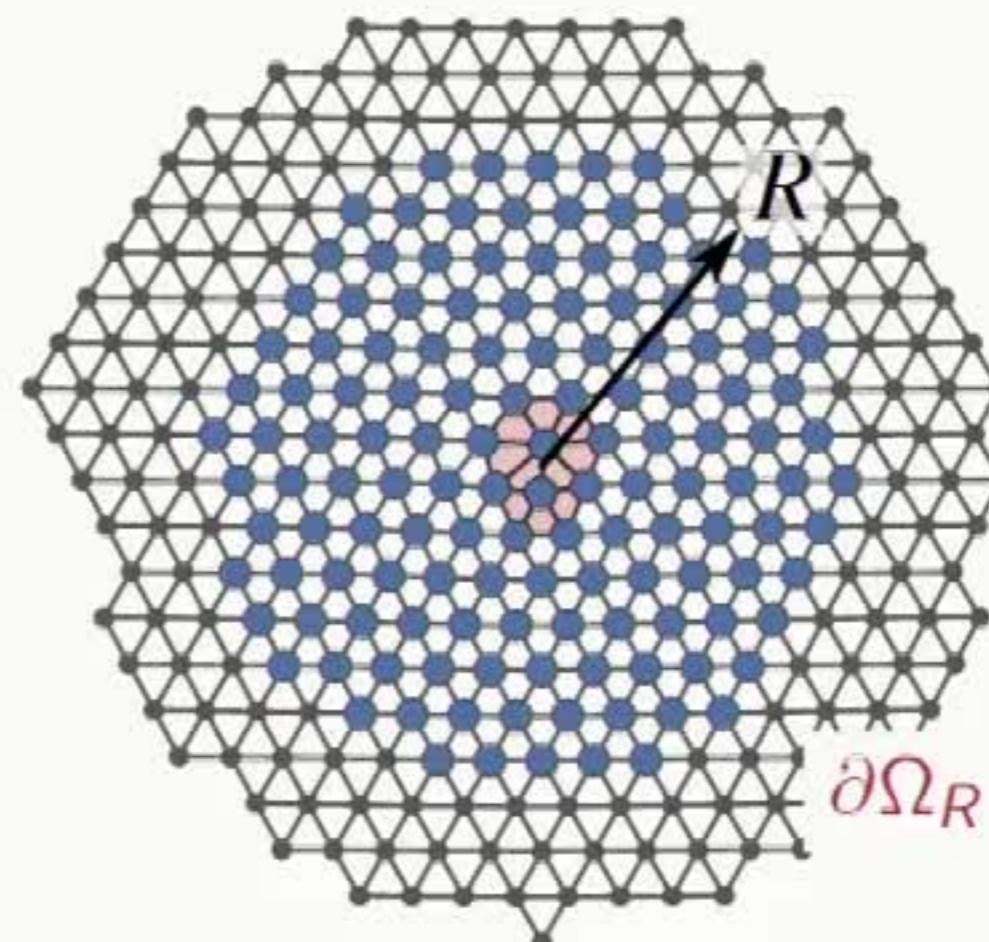
$$y_\ell^{\text{FF}} := x_\ell + w(x_\ell)$$

$$\operatorname{div} \mathbb{C} : \nabla w = 0$$

$$(w^+ - w^-)|_{\Gamma} = b$$

$$(\nabla w^+ - \nabla w^-)|_{\Gamma} = 0$$

$$\text{net-force} = 0$$



Convergence as  $R \rightarrow \infty$ ?

# Limit Model $R \rightarrow \infty$

Hudson/CO/2015; Ehrlacher, Shapeev, CO/2016

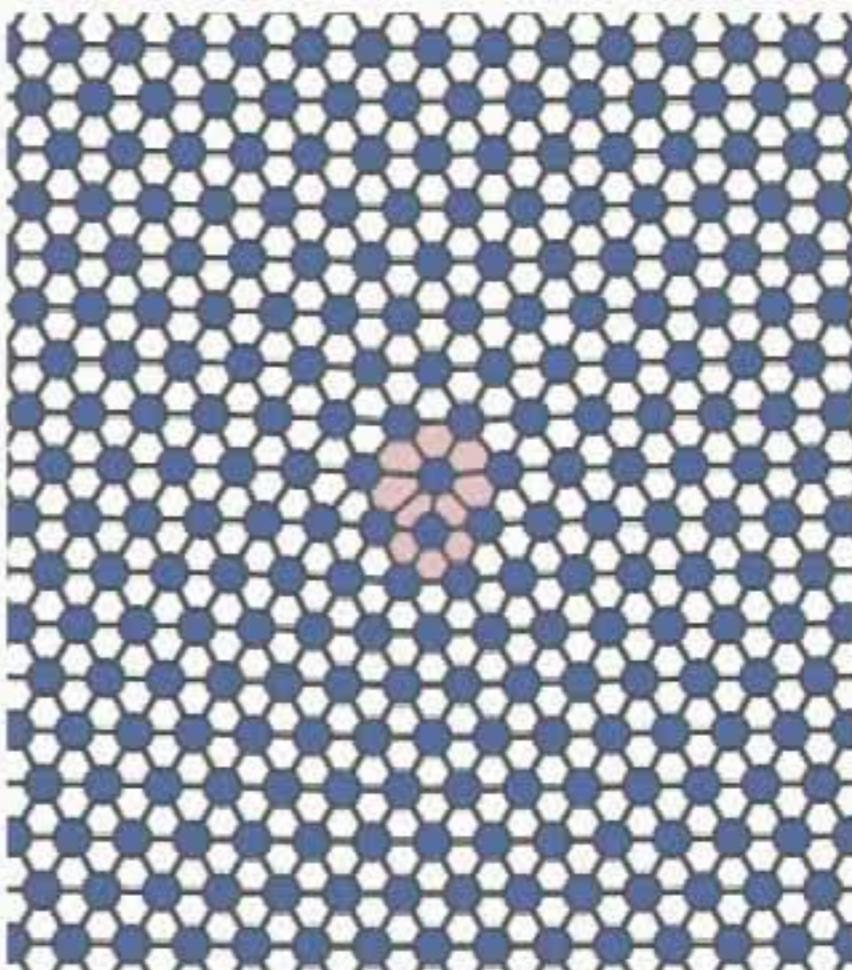
$$\bar{u} \in \arg \min \{\mathcal{E}(u) \mid u \in \mathcal{H}_E\}$$

$$\mathcal{E}(u) := \sum_{\ell} E_{\ell}(y^{\text{FF}} + u) - E_{\ell}(y^{\text{FF}})$$

$\mathcal{H}_E := \{ \text{finite-}\mathcal{E} \text{ displacements}\}$

$$\|u\|_E \approx \|\nabla u\|_{L^2}$$

Far-field b.c. encoded in  $y = y^{\text{FF}} + u$



**Theorem 1:**  $\mathcal{E} \in C^k(\mathcal{H}_E)$  for some  $k$ ,  
i.e., " $\mathcal{E}(u)$  is well-defined and well-behaved"

**Theorem 2:**  
 $|\nabla^j \bar{u}(x)| \lesssim |x|^{-1-j}$

**Proof:** 
$$\mathcal{E}(u) = \underbrace{\left( E_{\ell}(y^{\text{FF}} + u) - E_{\ell}(y^{\text{FF}}) - \langle \delta E_{\ell}(y^{\text{FF}}), u \rangle \right)}_{\sim |Du_b|^2 \sim |\nabla u|^2} + \langle f, u \rangle$$

Conceptual key point:  $|f_{\ell}| \lesssim |\ell|^{-3} \Rightarrow \langle f, u \rangle \leq C \|u\|_E$

# Atomistic Cell Problem as a Galerkin Approximation

1. Exact Model:

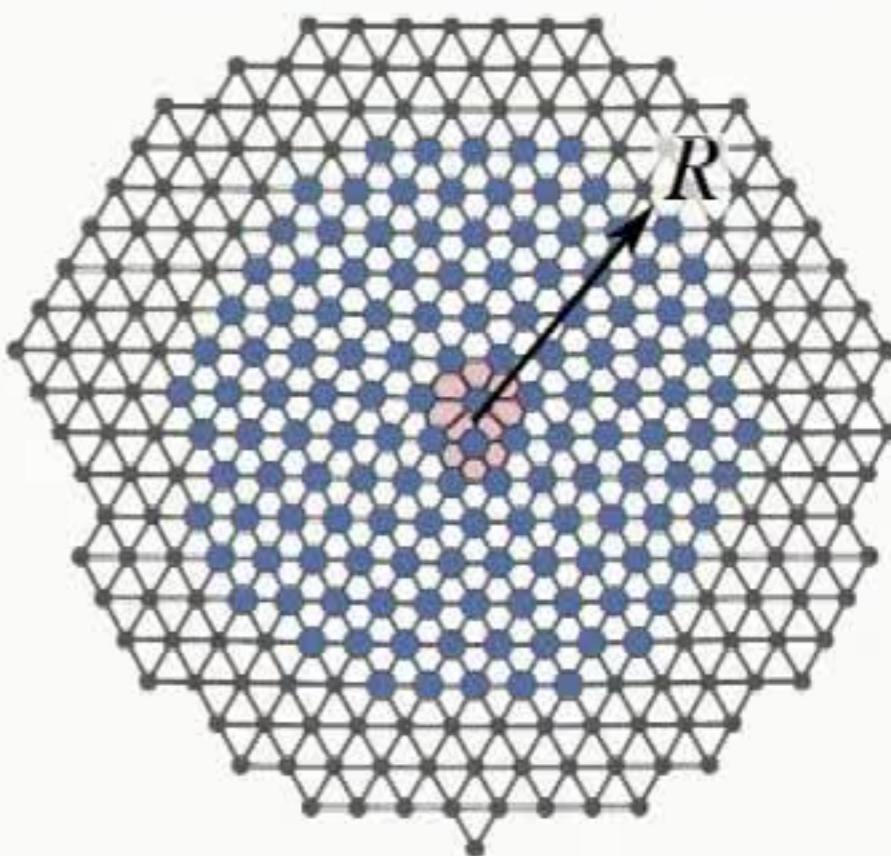
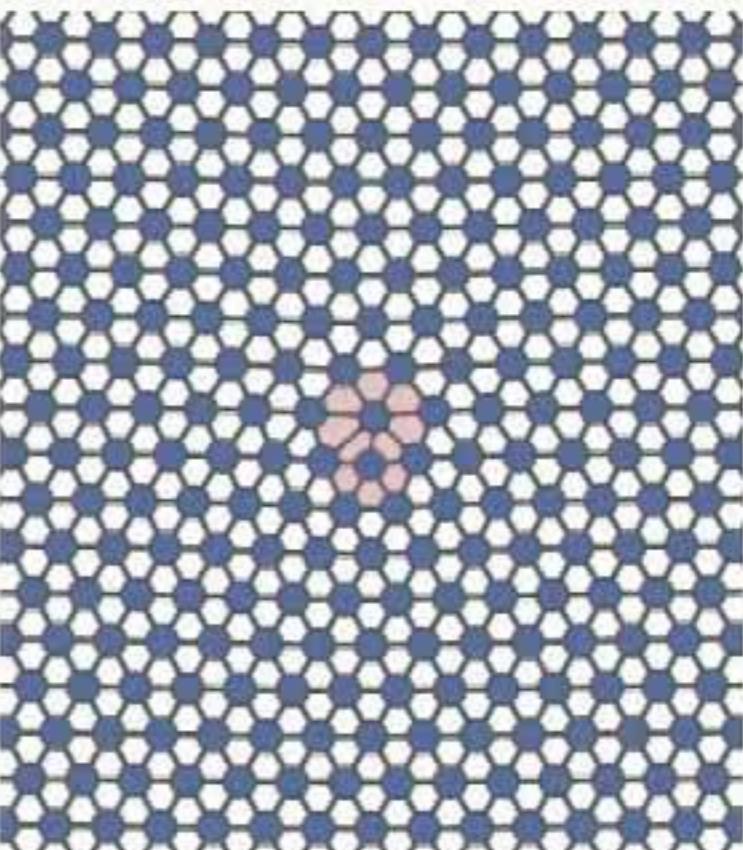
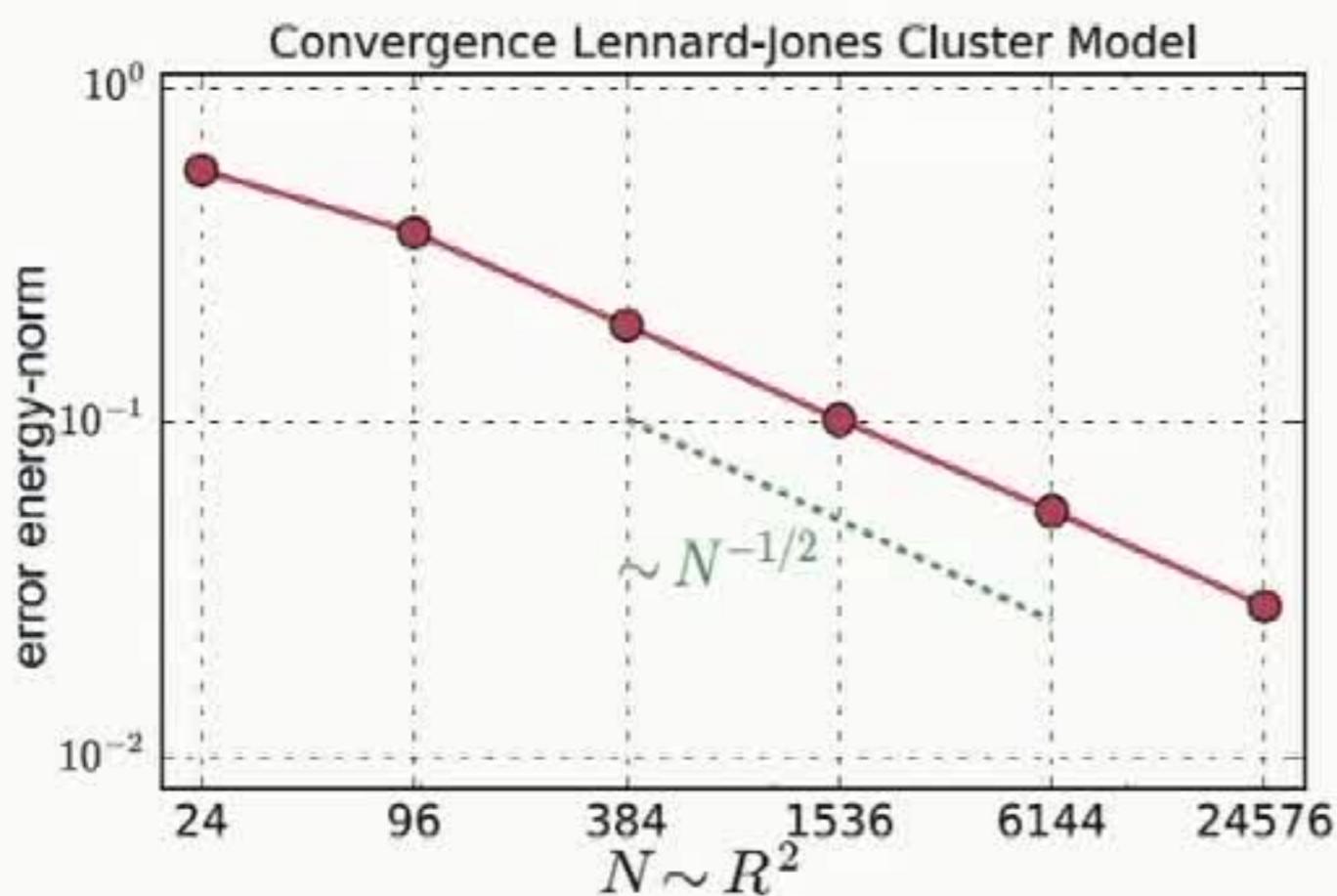
$$\bar{u} \in \arg \min \{\mathcal{E}(u) \mid u \in \mathcal{H}_E\}$$

2. Cell Problem as Galerkin Approx:

$$\bar{u}_R \in \arg \min \{\mathcal{E}(u) \mid u \in \mathcal{H}_R\}$$

3. Convergence Rate:

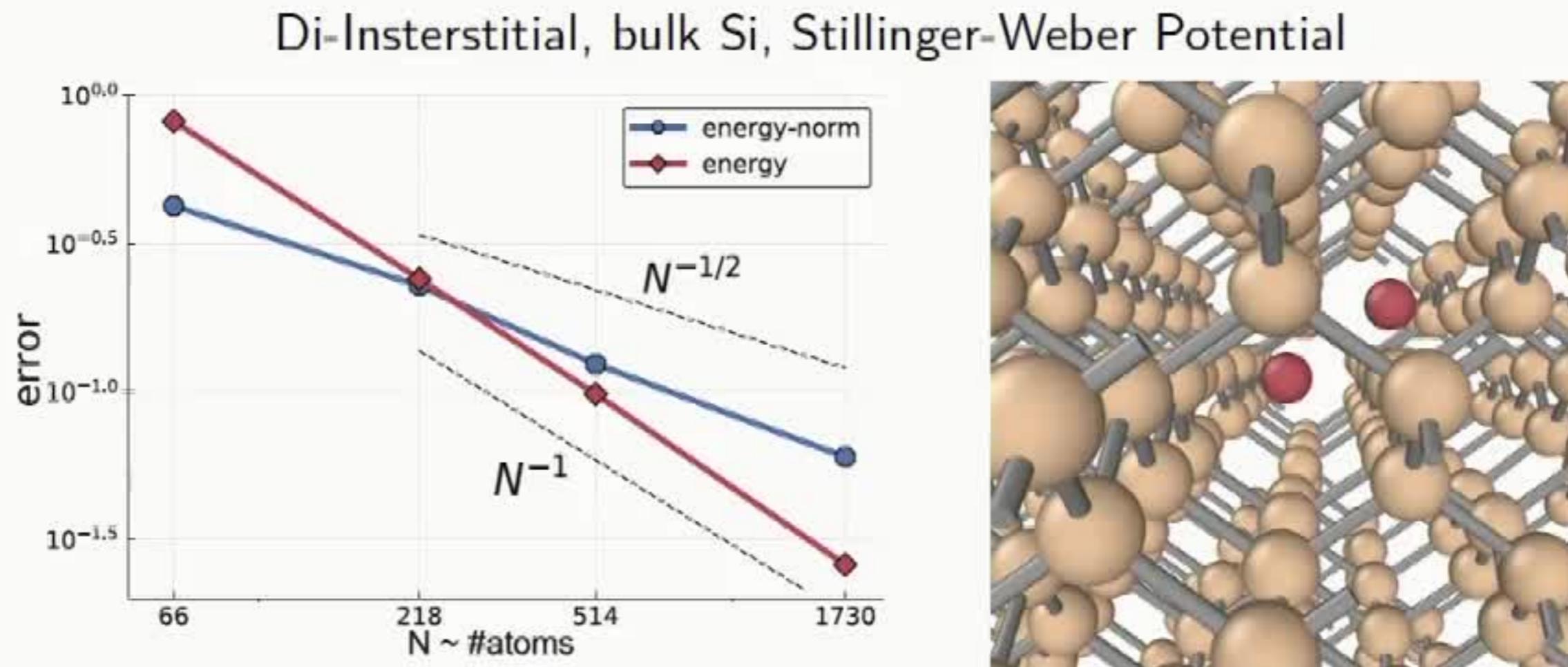
$$\|\bar{u} - \bar{u}_R\|_E \lesssim R^{-1} \approx N^{-1/2}$$



# The rate $N^{-1/2}$ is UN-surprisingly generic

$$\|\bar{u} - \bar{u}_R\|_E \lesssim N^{-1/2} \log^r N$$

- all point defects (2D and 3D) in Bravais and multi-lattices [Olson, CO, 2017]

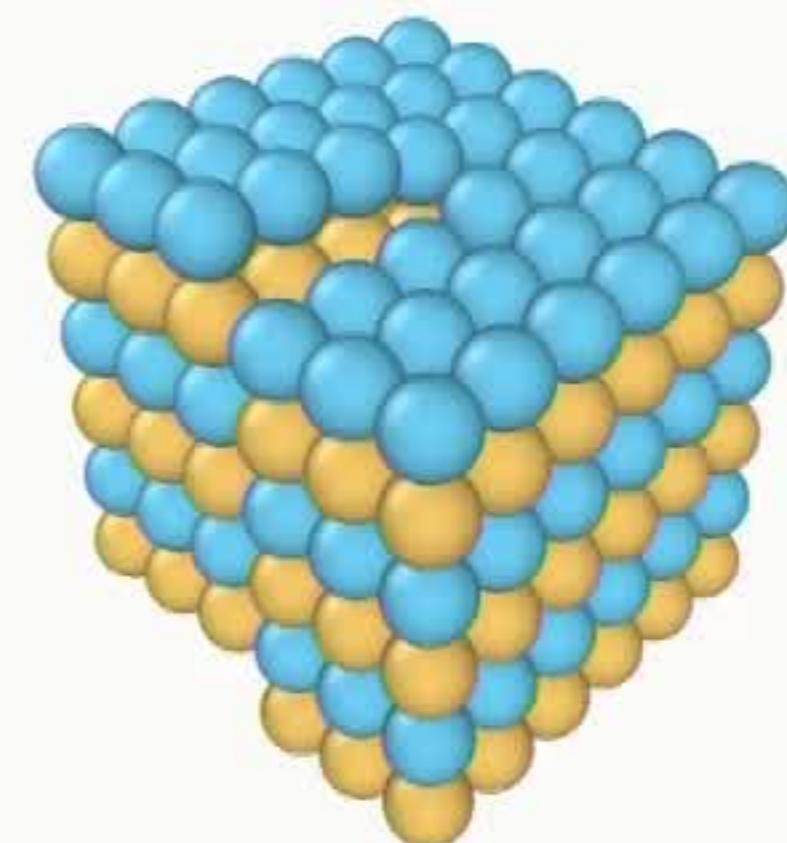
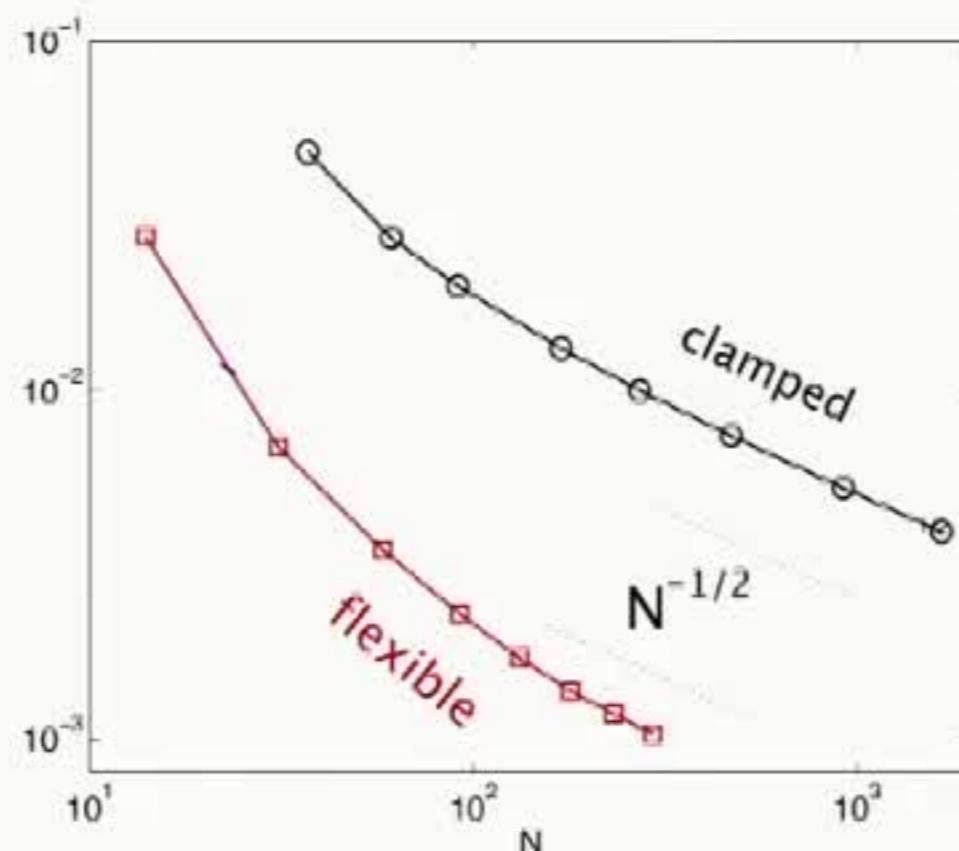


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- ▶ all straight dislocations (Bravais and high-symmetry multi-lattice)
- ▶ clamped, periodic and flexible boundary conditions

Screw Dislocation (EAM Toy Model)



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- ▶ all straight dislocations (Bravais and high-symmetry multi-lattice)
- ▶ clamped, periodic and flexible boundary conditions

**General Question:** Improve the bdry condition to improve the rate?

Thu 04:30, Room # D129

Julian Braun: A Hierarchy of Boundary Conditions for  
Crystal Defect Calculations

**Rest of the Talk:** Beat  $N^{-1/2}$  using multi-scale approaches.

## II. A/C Coupling Quasicontinuum

joint work with

Mitch Luskin (UMN), A Shapeev (Skoltech), Derek Olson (RPI), Xingjie Li (UNC),  
Brian Van Koten (Amherst), Matthew Dobson (Amherst), Hao Wang (Sichuan),  
Lei Zhang (Jiaotong), Endre Süli (Oxford), Charalambos Makridakis (Sussex).

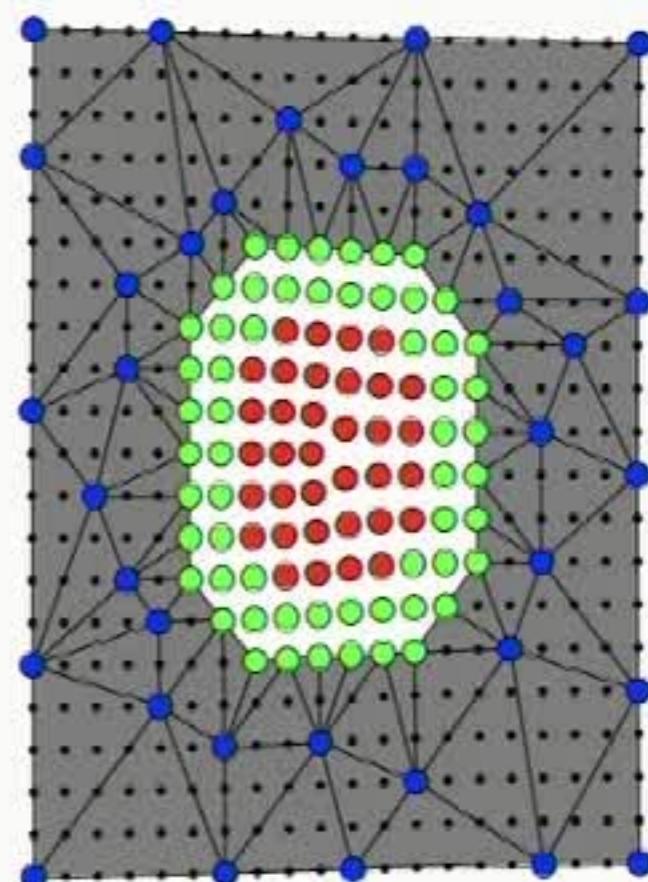
- ▶ C. Ortner and L. Zhang, Atomistic/Continuum Blending with Ghost Force Correction, SIAM J. Sci. Comput., 2016
- ▶ X. H. Li and C. Ortner and A. Shapeev and B. Van Koten, Analysis of blended atomistic/continuum hybrid methods, Numer. Math., 2016
- ▶ C. Ortner and A. Shapeev and L. Zhang, (In-)Stability and Stabilisation of QNL-Type Atomistic-to-Continuum Coupling Methods, SIAM Multiscale Model. Simul., 2014
- ▶ D. Olson and X. Li and C. Ortner and B. Van Koten, Force-Based Atomistic/Continuum Blending for Multilattices, to appear in Numer. Math.

# Sharp-Interface Coupling

$$y^{\text{AC}} \in \arg \min \{E^{\text{AC}} \mid \text{b.c.}\}$$

$$E^{\text{AC}}(y) = \sum_{\ell \in \Omega^A} E_\ell^A(y) + \sum_{\ell \in \Omega^I} E_\ell^I(y) + \int_{\Omega^C} W(\nabla y)$$

$E_\ell^I$  is chosen to minimise spurious interface forces,  
in particular “ghost forces”:  $\nabla E^{\text{AC}}(Fx) = GF(F)$



- $E_\ell^I = E_\ell^A$ : Original Quasicontinuum Method

[Tadmor, Ortiz, Phillips, 1996]

Cauchy–Born Model:  $W(F) \propto E_\ell^A(Fx)$

- $E_\ell^I(y) = E_\ell^A(R_\ell y)$ : Geometric Reconstruction Method

[Shimokawa et al (2004); E, Lu, Yang, 2006]

[Shapeev (2011); Li/Luskin (2012); CO/Zhang (2012,14)]

(Fun Fact: General construction of  $R_\ell$  still open)

# Sharp Interface Coupling: Error Estimate

**M-Theorem:**

(Lax/Richtmyer, 1956)

ERROR  $\approx$  STABILITY  $\times$  CONSISTENCY

$$y^A - y^{AC} \approx [\nabla^2 E^{AC}]^{-1} [\nabla E^A - \nabla E^{AC}]$$

**Theorem:**

[Dobson/Luskin/2009; CO/2012; Dobson/2014; ...]

If  $y^A$  is a stable defect, the A/C method is stable, and GF is suff. small, then  $\exists y^{AC} \in \arg \min E^{AC}$  s.t.

$$\|y^A - y^{AC}\|_E \lesssim C_{\text{stab}} (\|\text{GF}\|_{L^2(\Omega^1)} + \|\nabla^3 y^A\|_{L^2(\Omega^C)} + \text{FEM-ERR.} + R_C^{-d/2})$$

But unfortunately . . .

**Theorem:**

[CO, Shapeev, Zhang; 2014]

For every sharp-interface A/C method, there exist interatomic potentials such that  $\nabla^2 E^A(x) > 0$  but  $\nabla^2 E^{AC}$  is indefinite or even singular.

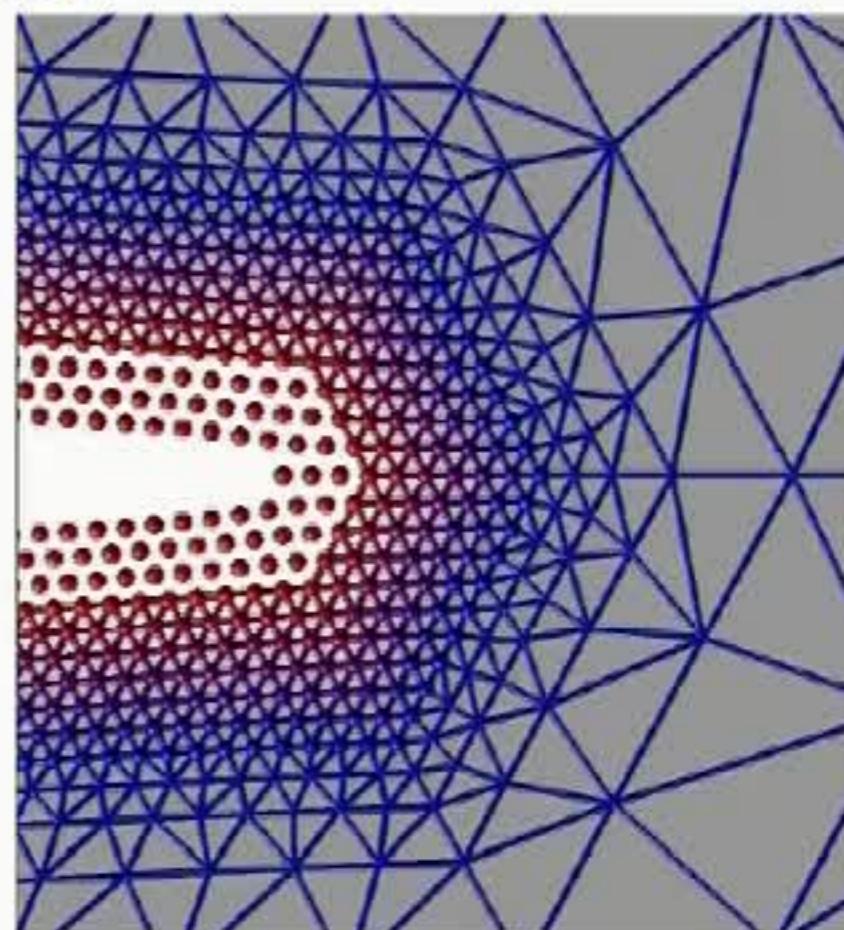


# Blending: The first “complete” result

$$E^{\text{BQC}}(y) = \sum_{\ell \in \Omega^A} (1 - \beta(\ell)) E_\ell^A(y) + \int_{\Omega^C} \beta W(\nabla y)$$

$\beta$  : smooth blending function

Belytschko/Xiao (2004); Badia et al (2008);  
Baumann et al (2008); Lusking/VanKoten(2011);  
Luskin/CO/VanKoten (2012)



## Theorem:

Luskin/VanKoten (2011); Li/CO/Shapeev/VanKoten (2016)

If  $y^A$  is a stable defect,  $\Omega^A$  is suff. large and  $\beta$  “suff. well adapted”, then

1. Universal Stability:  $\nabla^2 E^{\text{BQC}}(y) > 0$  for  $y \approx y^A$
2. There exists  $y^{\text{BQC}} \in \arg \min E^{\text{BQC}}$  s.t.



$$\|y^{\text{BQC}} - y^A\|_E \lesssim \|\nabla^2 \beta\|_{L^2(\Omega^I)} + \|\nabla^3 y^A\|_{L^2(\Omega^C)} + \text{FEM ERR.} + R_C^{-d/2}$$

# Universal Stability

**Task:**  $\langle \nabla^2 E^{\text{BQC}}(y)v, v \rangle \geq c\|v\|_E^2$

Decompose into three scales:  $v = v^A + v^B + v^C$

$$\begin{aligned}\langle \nabla^2 E^{\text{BQC}}(y)v, v \rangle &= \langle \nabla^2 E^A(y)v^A, v^A \rangle && \text{defect core is stable} \\ &+ \langle \nabla^2 E^{\text{BQC}}(x)v^B, v^B \rangle && ?????? \\ &+ \langle \nabla^2 E^C(x)v^C, v^C \rangle && \text{bulk continuum is stable} \\ &+ \text{cross terms}.\end{aligned}$$

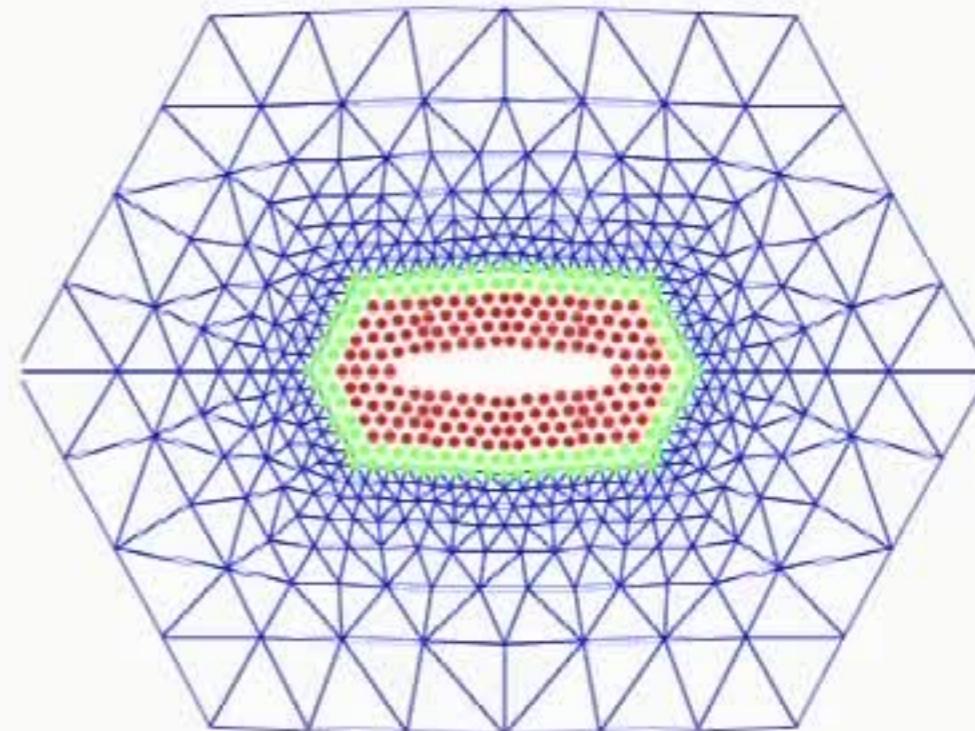
## Key Issue:

- $v^B$  converges weakly but converges strongly after rescaling.
- $\langle \nabla^2 E^{\text{BQC}} v^B, v^B \rangle \approx \langle \nabla^2 E^C v^B, v^B \rangle$

# Numerical Test

**Setup:** Micro-crack surrounded by atomistic region

Remember:  $|\nabla^j(y^A - x)| \lesssim |x|^{1-d-j}$



$$\|y_R^A - r^A\|_E \lesssim$$

$$R_A^{-1}$$

$$\begin{aligned}\|y^{QC} - y^A\|_E &\lesssim \|\nabla^3 y^A\|_{L^2(\Omega^C)} + R_C^{-1} + \text{FEM} + \\ &\sim R_A^{-3} \quad \sim R_A^{-2}\end{aligned}$$

$$\begin{matrix} \text{GF} \\ \gtrsim 1 \end{matrix}$$

$$\begin{aligned}\|y^{GR} - y^A\|_E &\lesssim \|\nabla^3 y^A\|_{L^2(\Omega^C)} + R_C^{-1} + \text{FEM} + \\ &\sim R_A^{-3} \quad \sim R_A^{-2}\end{aligned}$$

$$\begin{matrix} \|\nabla^2 y^A\|_{L^2(\Omega^I)} \\ \sim R_A^{-5/2} \end{matrix}$$

$$\begin{aligned}\|y^{BQC} - y^A\|_E &\lesssim \|\nabla^3 y^A\|_{L^2(\Omega^C)} + R_C^{-1} + \text{FEM} + \\ &\sim R_A^{-3} \quad \sim R_A^{-2}\end{aligned}$$

$$\begin{matrix} \|\nabla^2 \beta\|_{L^2} \\ \gtrsim R_A^{-1} \end{matrix}$$

# Optimality: TBending + GFC

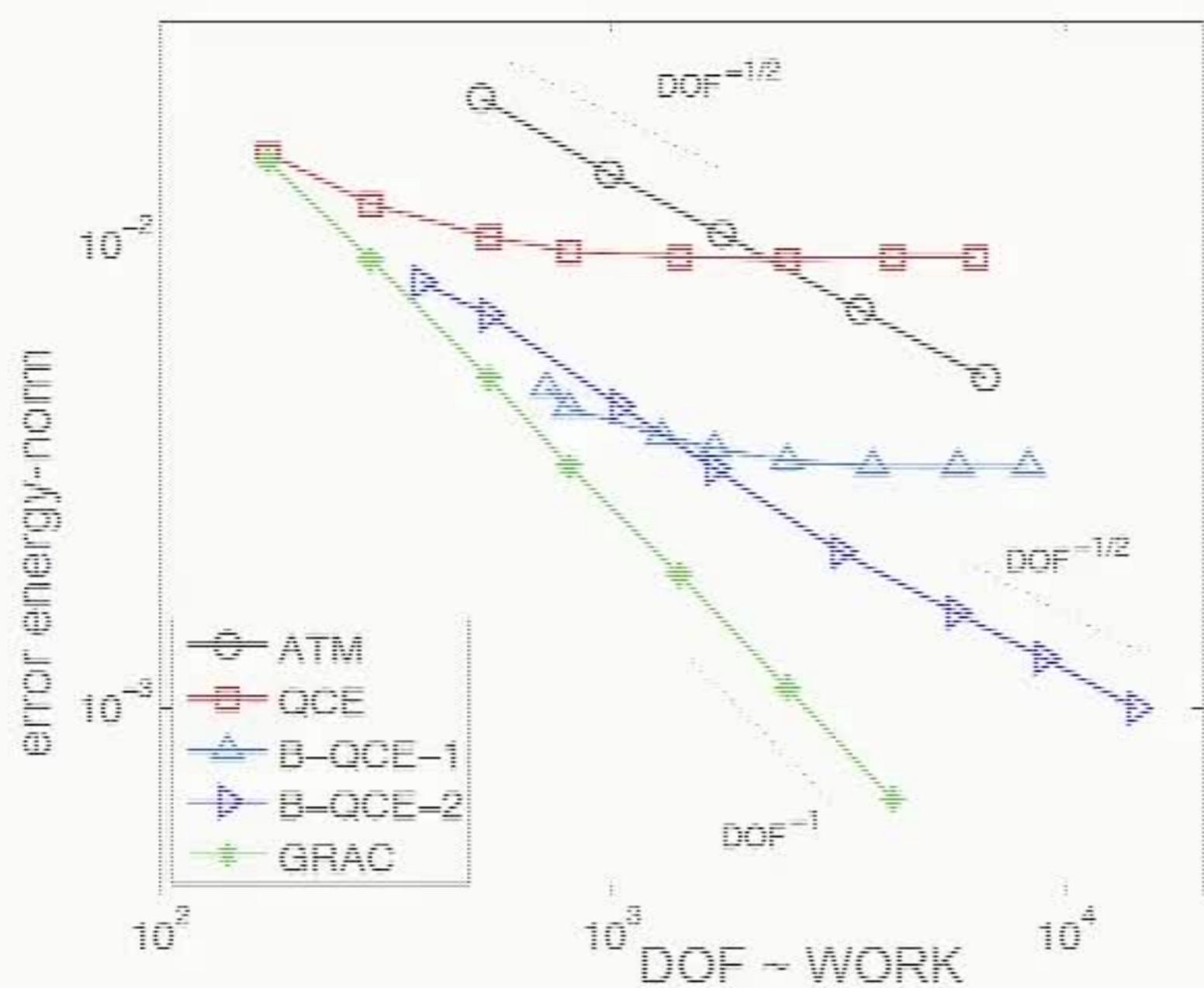
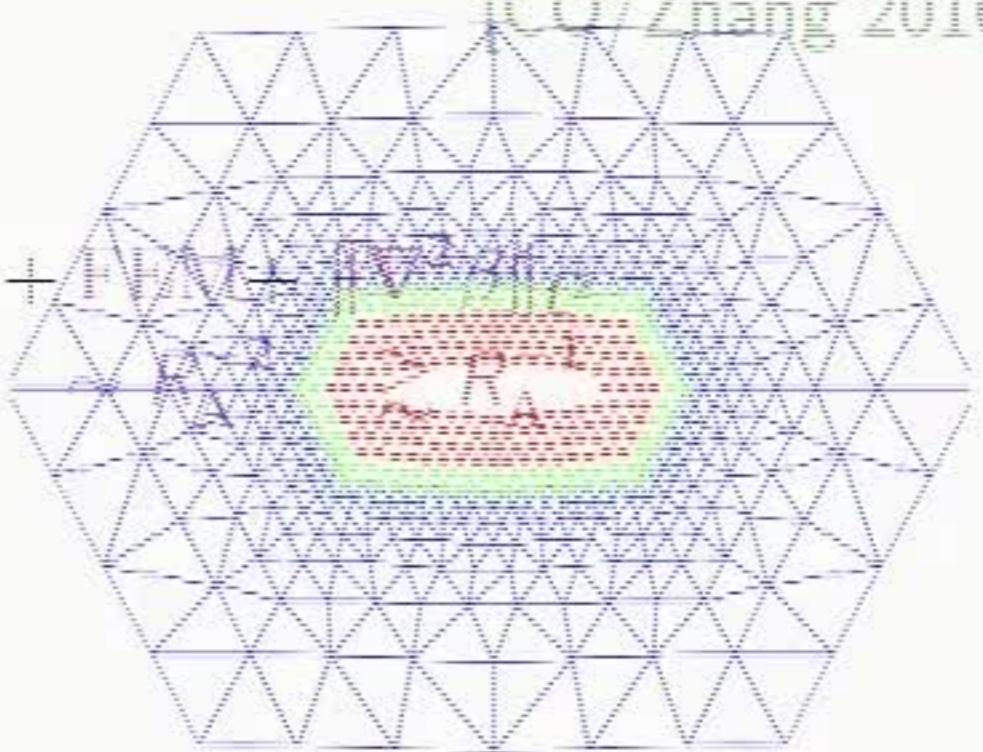
ICO/Zhang 2016

BQC Error:

Setup: Micro-crack surrounded by atomistic region

$$\|y^{BQC} - y^A\|_E \lesssim \|\nabla(y^A)\|_{L^2(\Omega)} + R_C^{-1}$$

$$\text{Remember: } \|\nabla^j(y^A - x)\| \lesssim \|x\|^{1-\delta-j}$$



# Optimality: Blending + GFC

[CO/Zhang 2016]

BQC Error:

$$\|y^{\text{BQC}} - y^A\|_E \lesssim \|\nabla^3 y^A\|_{L^2(\Omega^C)} + R_C^{-1} + \text{FEM} + \|\boxed{\partial W(\nabla y^A)} \cdot \nabla^2 \beta\|_{L^2}$$

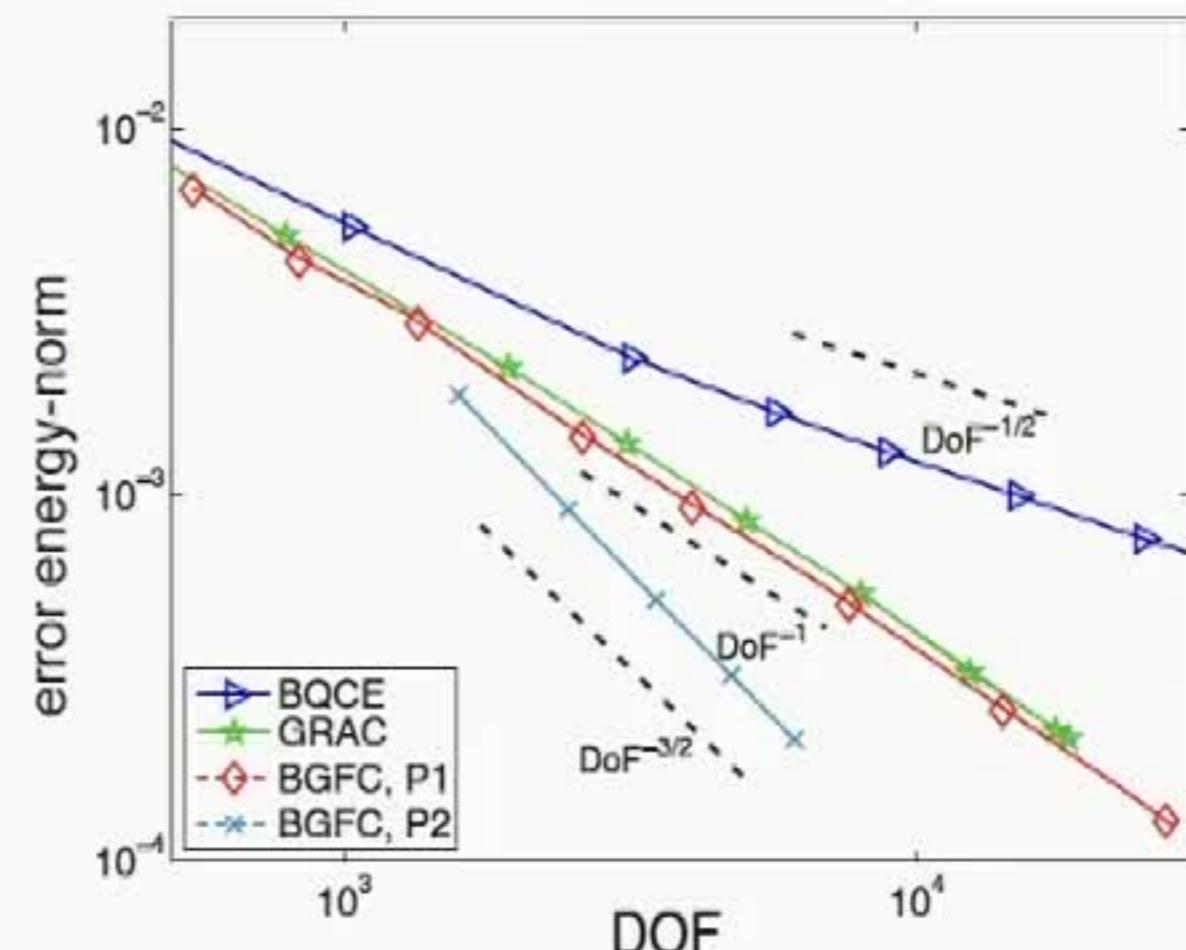
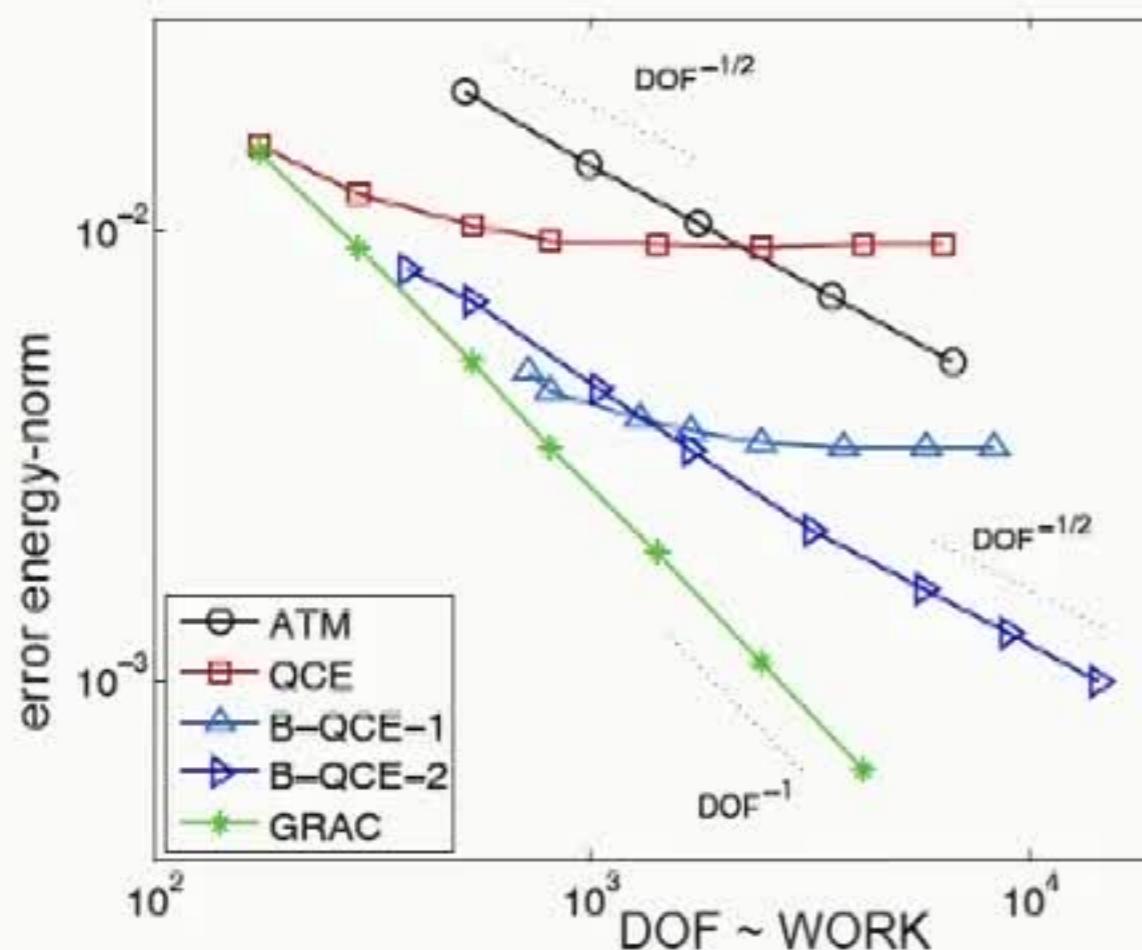
$$\sim R_A^{-3} \quad \sim R_A^{-2} \quad \gtrsim R_A^{-1}$$

GFC:  $E_\ell(y) \rightsquigarrow E_\ell(y) - \nabla E_\ell(x) \cdot (y - x)$

[Shenoy, Tadmor, Ortiz et al 1999]

$$\|y^{\text{BQC}} - y^A\|_E \lesssim \|\nabla^3 y^A\|_{L^2(\Omega^C)} + R_C^{-1} + \boxed{\text{P2-FEM}} + \|\boxed{\nabla u^A} \cdot \nabla^2 \beta\|_{L^2}$$

$$\sim R_A^{-3} \quad \sim R_A^{-3}$$



# Many Further Works, Variations and Extensions

1. Force-based A/C schemes: Dobson/CO/Luskin (2010); Makridakis/CO/Süli (2011); Lu/Ming (2013); Li/Luskin/CO (2013); Li/CO/Shapeev/Vankoten (2016)
2. Domain-decomposition A/C schemes: Olson/Shapeev/Bochev/Luskin (2016); Olson/Bochev/Luskin/Shapeev (2014);
3. Other classes of defects; e.g. cracks Buze/Hudson/CO (in prep), surfaces Binder/CO/Luskin (2017)
4. Multi-lattices: Abdulle/Lin/Shapeev (2013); Abdulle/Lin/Shapeev (2012); Olson/CO (2017); Olson/Li/CO/VanKoten (2018)
5. A posteriori error control Wang/CO (2013), Wang/Zhang/Lin/Liao (2017), Wang/Yang (2018)
6. towards temperature Kim/Perez/Tadmor/Voter (2014), Luskin/Shapeev (2014), Braun/Duong/CO (in prep)
7. towards saddles and TST: Binder/Luskin/Perez/Voter (2015)
8. True dynamics? Little rigorous but see e.g. X Li talk Wed AM.

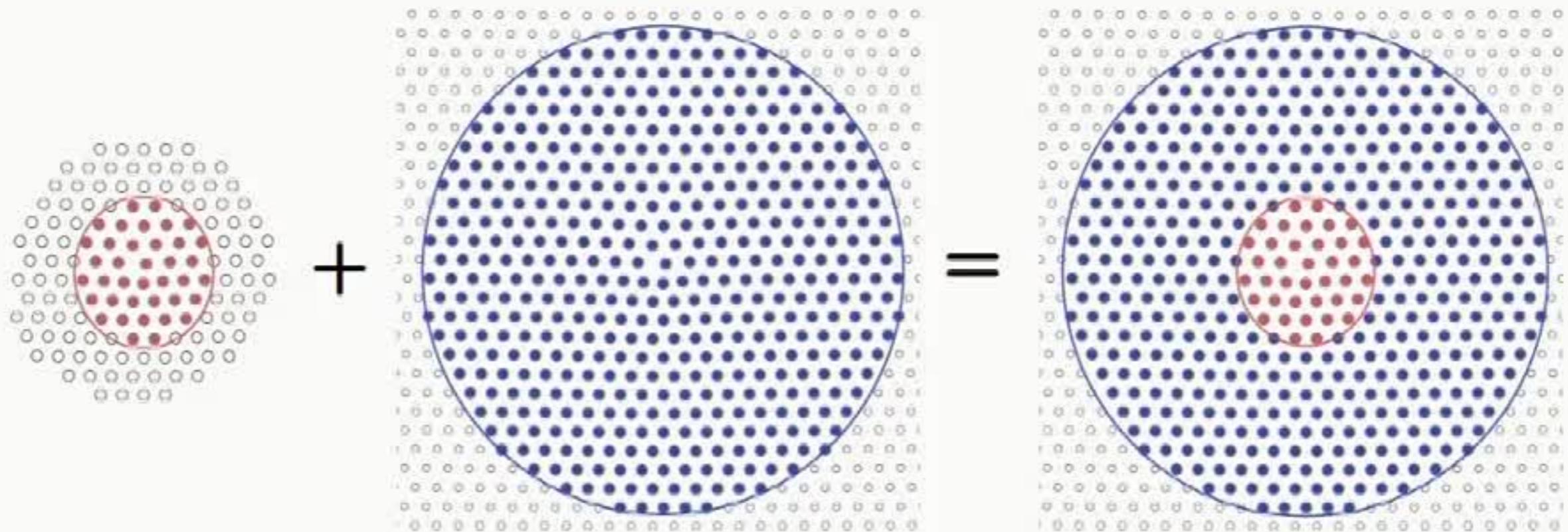
### III. QM/MM Coupling

joint work with

Huajie Chen (Peking Normal), Jianfeng Lu (Duke), Faizan Nazar (Paris Dauphine),  
Jack Thomas (Warwick)

Acknowledgements: Gabor Csanyi, James Kermode

- ▶ F. Q. Nazar and C. Ortner. Locality of the Thomas-Fermi-von Weizsäcker equations. *Arch. Ration. Mech. Anal.*, 224(3), 2017
- ▶ H. Chen and C. Ortner. QM/MM methods for crystalline defects. Part 2: Consistent energy and force-mixing. *SIAM Multiscale Model. Simul.*, 15(1), 2017
- ▶ H. Chen and C. Ortner. QM/MM methods for crystalline defects. Part 1: Locality of the tight binding model. *SIAM Multiscale Model. Simul.*, 14(1), 2016
- ▶ H. Chen and J. Lu and C. Ortner, Thermodynamic Limit of Crystal Defects with Finite Temperature Tight Binding, to appear in *Arch. Ration. Mech. Anal.*



**Energy-Mixing Schemes:** (e.g., ChemShell, MAAD, QUASI, ONION, ...)

$$E^H(y) = E^{\text{MM}}(y|_{\text{MM}}) + E^{\text{QM}}(y|_{\text{QM}}) + E^{\text{INT}}(y|_{\text{MM}}, y|_{\text{QM}})$$

- ▶ same difficulty as A/C: **how to couple?**
- ▶ ⇒ Force-mixing methods, e.g., [Csanyi, Kermode, Bernstein, DeVita, ...]
- ▶ ⇒ Energy-mixing remains an **open problem**

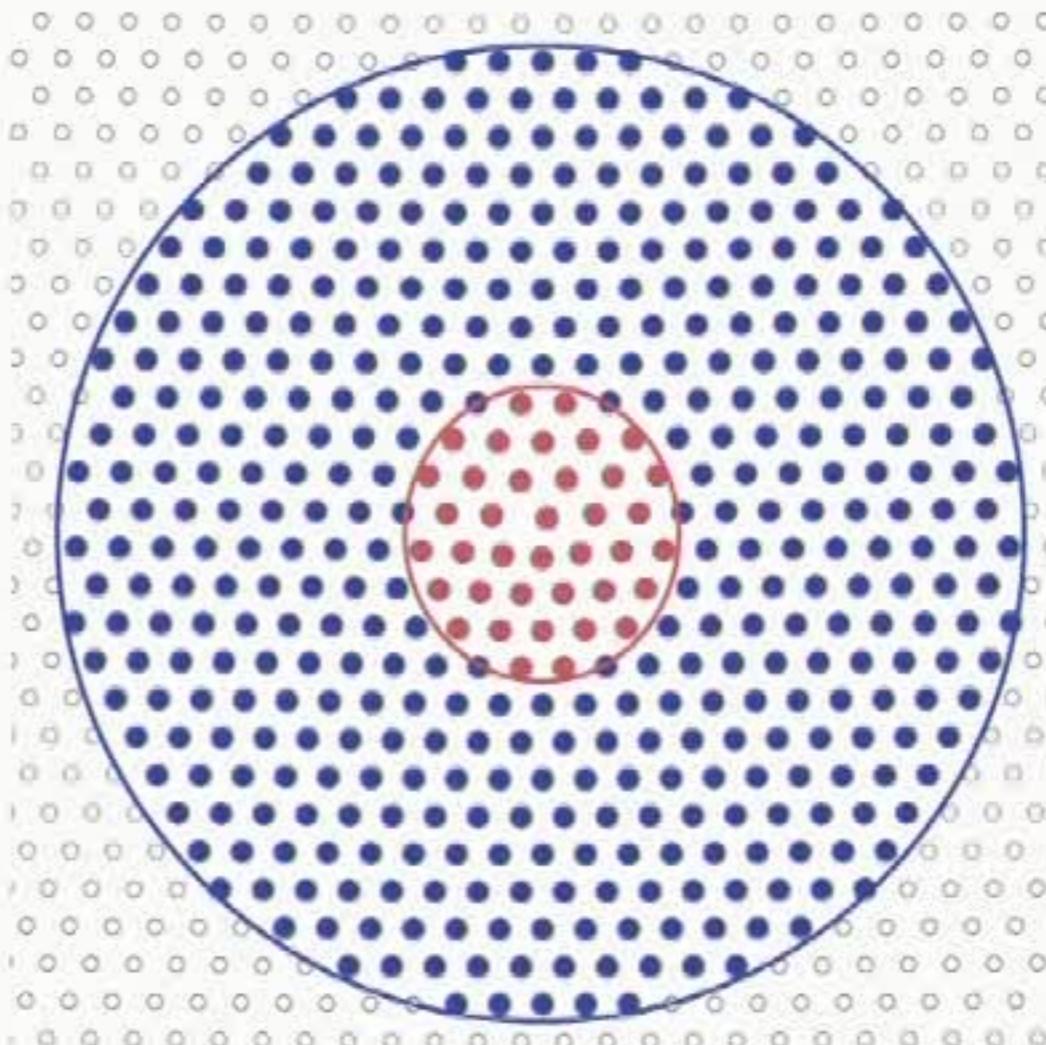
# Strong Force Locality

[Csanyi/DeVita/... 2005]

A necessary condition for **any** QM/MM:

$$\frac{\partial^2 E^{\text{QM}}(y)}{\partial y_i \partial y_j} \lesssim \omega(r_{ij})$$

where  $\omega(r) \rightarrow 0$  sufficiently fast.



(In principle, electrostatics is a “special” interaction and can be treated separately, but for now assume it is screened.)

# Decomposition of Energy

Coulson, Proc. R. Soc. London A, 1939  
Chen, CO, MMS, 2016

$$\mathbf{H}(y)\psi_s = \varepsilon_s \psi_s \rightsquigarrow E^{\text{QM}}(y) = \sum_{s=1}^N f(\varepsilon_s) = \sum_{\ell=1}^N [f(\mathbf{H})]_{\ell\ell} =: \sum_{\ell=1}^N E_\ell(y)$$

(= Bond-Order Potential!)

**Theorem:**  $E_\ell$  is invariant under permutations and isometries and

**local:**  $\left| \frac{\partial E_\ell(y)}{\partial y_m} \right| \lesssim e^{-\gamma r_{\ell m}}, \quad \left| \frac{\partial^2 E_\ell(y)}{\partial y_m \partial y_n} \right| \lesssim e^{-\gamma(r_{\ell m} + r_{\ell n})}, \dots$

Estimates are robust as  $N \rightarrow \infty$ .

“Analytically, Tight-Binding is just an interatomic potential.”

**Remarks:**

- ▶ Justifies strong force locality, but is **much** stronger
- ▶ All results from Part I and II generalise to the TB model  
[Chen/Lu/CO/2018], [Thomas/in prep]
- ▶ It is also the basis of understanding interatomic potentials
- ▶ For the Mermin model (canonical electrons) the result appears to be false

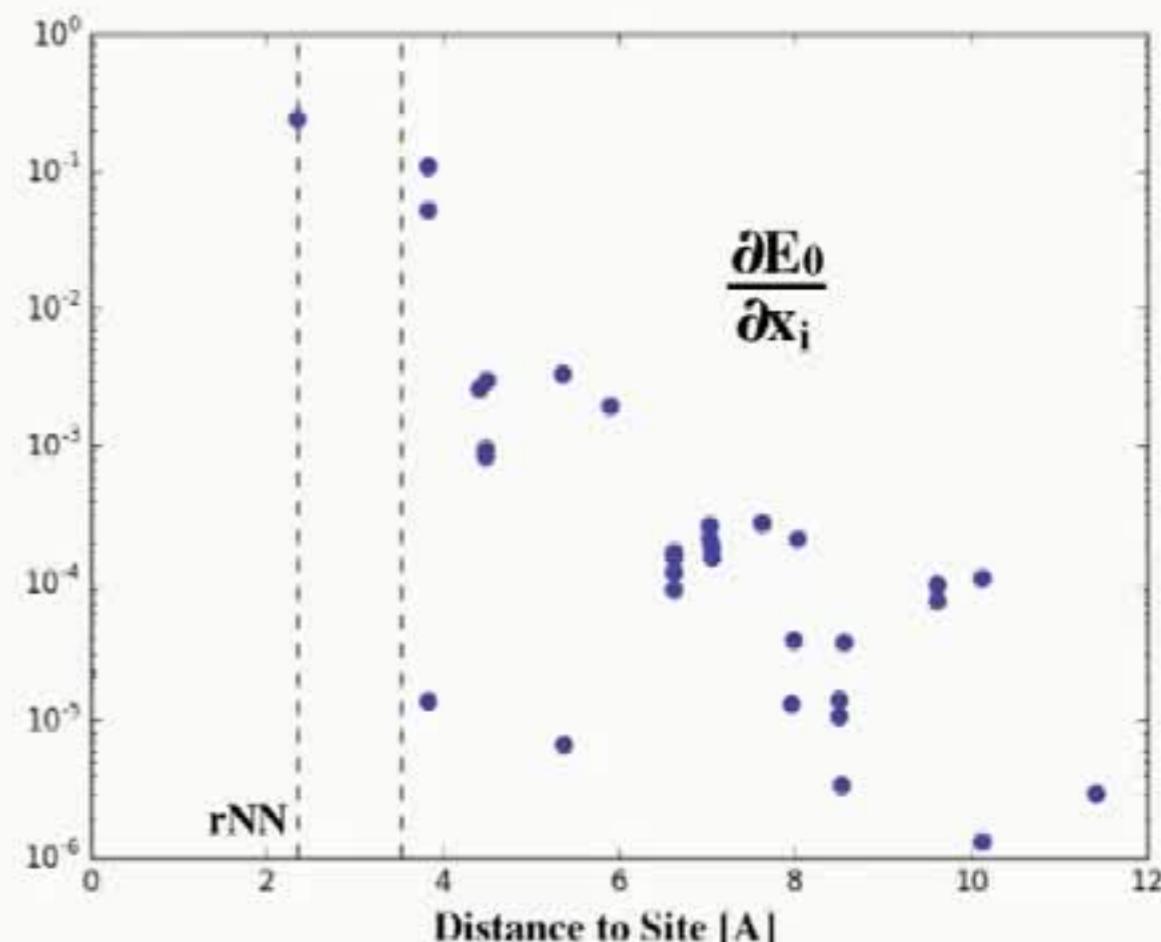
# Extensions and Open Problems

All ideas from Part I generalise to TB using **separability of  $E^{\text{QM}}$** :

$$E^{\text{QM}}(y) = \sum_s f(\varepsilon_s) = \sum_\ell E_\ell(y)$$

## Other Models:

- [NEW] TB for insulators (0T):  
J. Thomas, MSc Thesis
- Hartree-Fock with Yukawa interaction:  
Chen, Nazar, CO; in prep
- Tomas-Fermi-Weizsäcker:  
Nazar, CO, ARMA 2017
- numerical evidence for KS-DFT  
**(LDA, bulk Si)**: (with J. Kermode)



**Open Problem:** metals!

# QM/MM Energy Mixing

Chen, CO, MMS, 2017

New Ingredient:  $E^{\text{QM}}(y) = \sum_{\ell \in \Lambda} E_\ell(y)$

Hybrid Energy:

$$E^H(y) := \sum_{\ell \in \Lambda^{\text{QM}}} E_\ell(y) + \sum_{\ell \in \Lambda \setminus \Lambda^{\text{QM}}} E_\ell^{\text{MM}}(y)$$

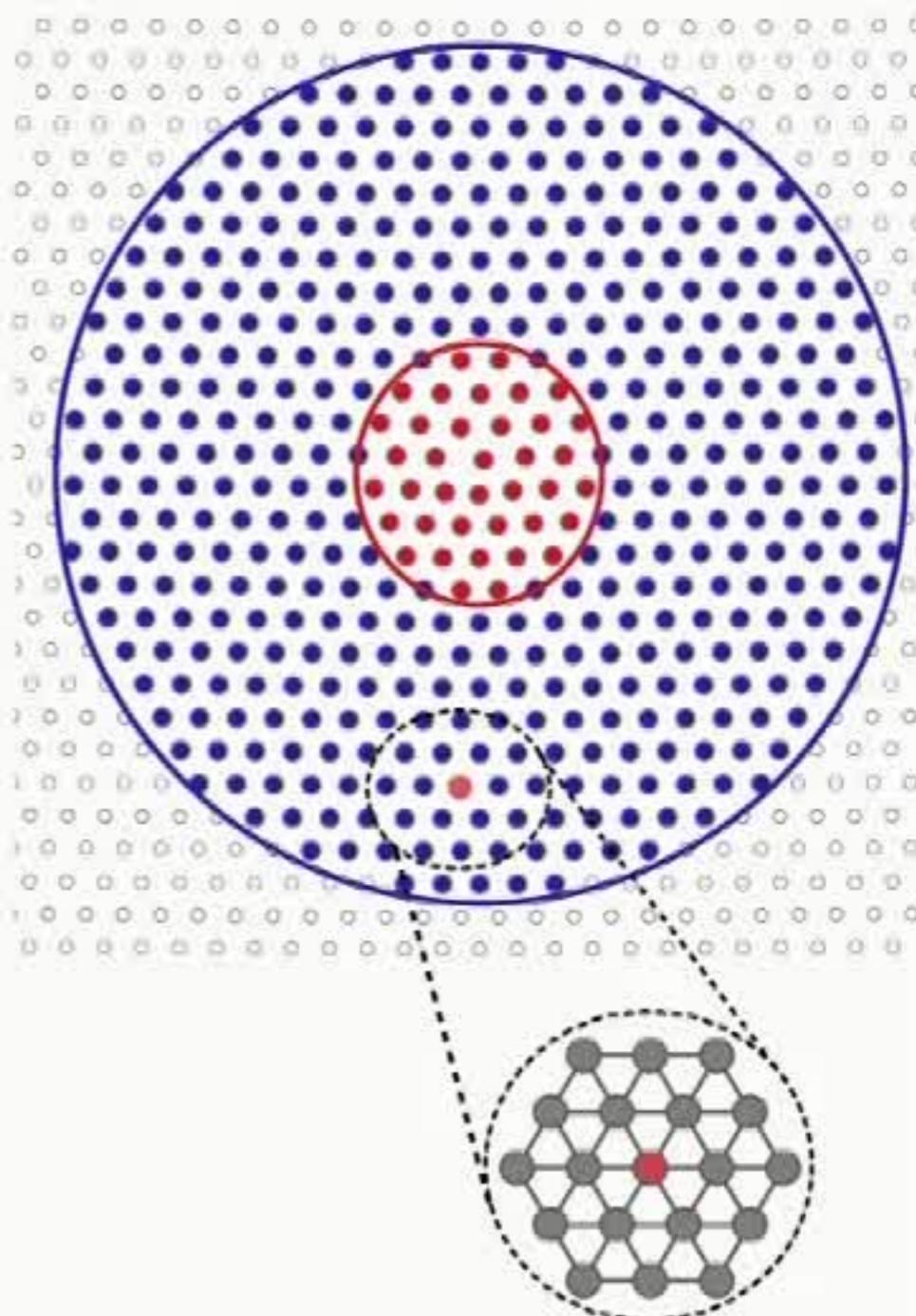
- Key new idea:  $E_\ell^{\text{MM}} \approx E_\ell$

$$y^H \in \arg \min \{E^H(y) \mid \text{bdry. cond.}\}$$

What we learned from A/C Coupling:

- match inner and outer models
- match the interaction at the interface

$$\Rightarrow \text{ require } \nabla^j E_\ell^{\text{MM}}(x) = \nabla^j E_\ell(x) \quad \text{for } j = 0, \dots, p$$



New Ingredient:  $E^{\text{QM}}(y) = \sum_{\ell \in \Lambda} E_\ell(y)$

Hybrid Energy:

$$E^H(y) := \sum_{\ell \in \Lambda^{\text{QM}}} E_\ell^{\text{BUF}}(y) + \sum_{\ell \in \Lambda \setminus \Lambda^{\text{QM}}} E_\ell^{\text{MM}}(y)$$

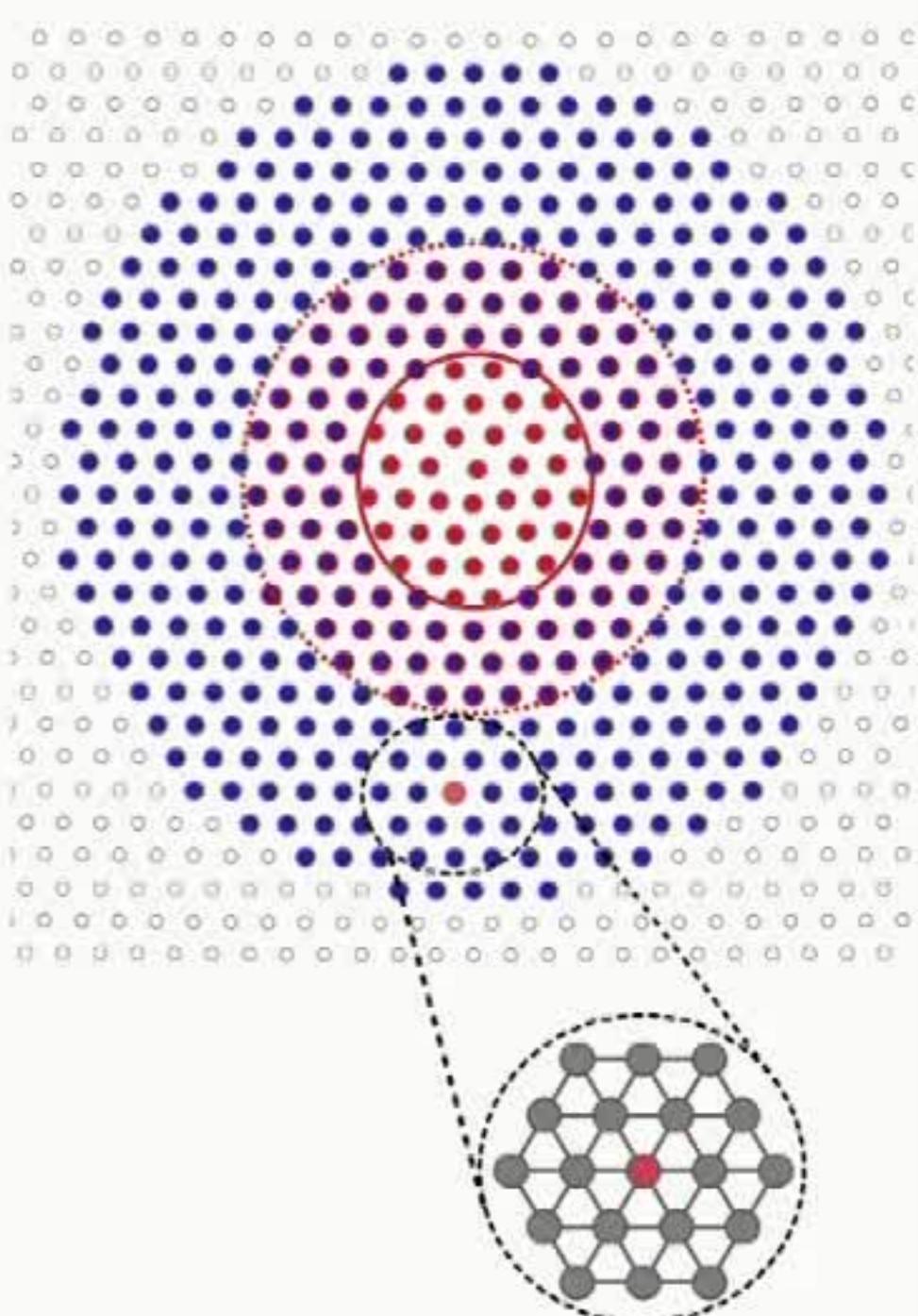
- ▶ Key new idea:  $E_\ell^{\text{MM}} \approx E_\ell$
- ▶  $E_\ell^{\text{BUF}} = \text{site energy with } \Lambda^{\text{QM}} \cup \Lambda^{\text{BUF}}$

$$y^H \in \arg \min \{E^H(y) \mid \text{bdry. cond.}\}$$

What we learned from A/C Coupling:

- ▶ match inner and outer models
- ▶ match the interaction at the interface

$$\Rightarrow \text{ require } \nabla^j E_\ell^{\text{MM}}(x) = \nabla^j E_\ell^{\text{BUF}}(x) \quad \text{for } j = 0, \dots, p$$

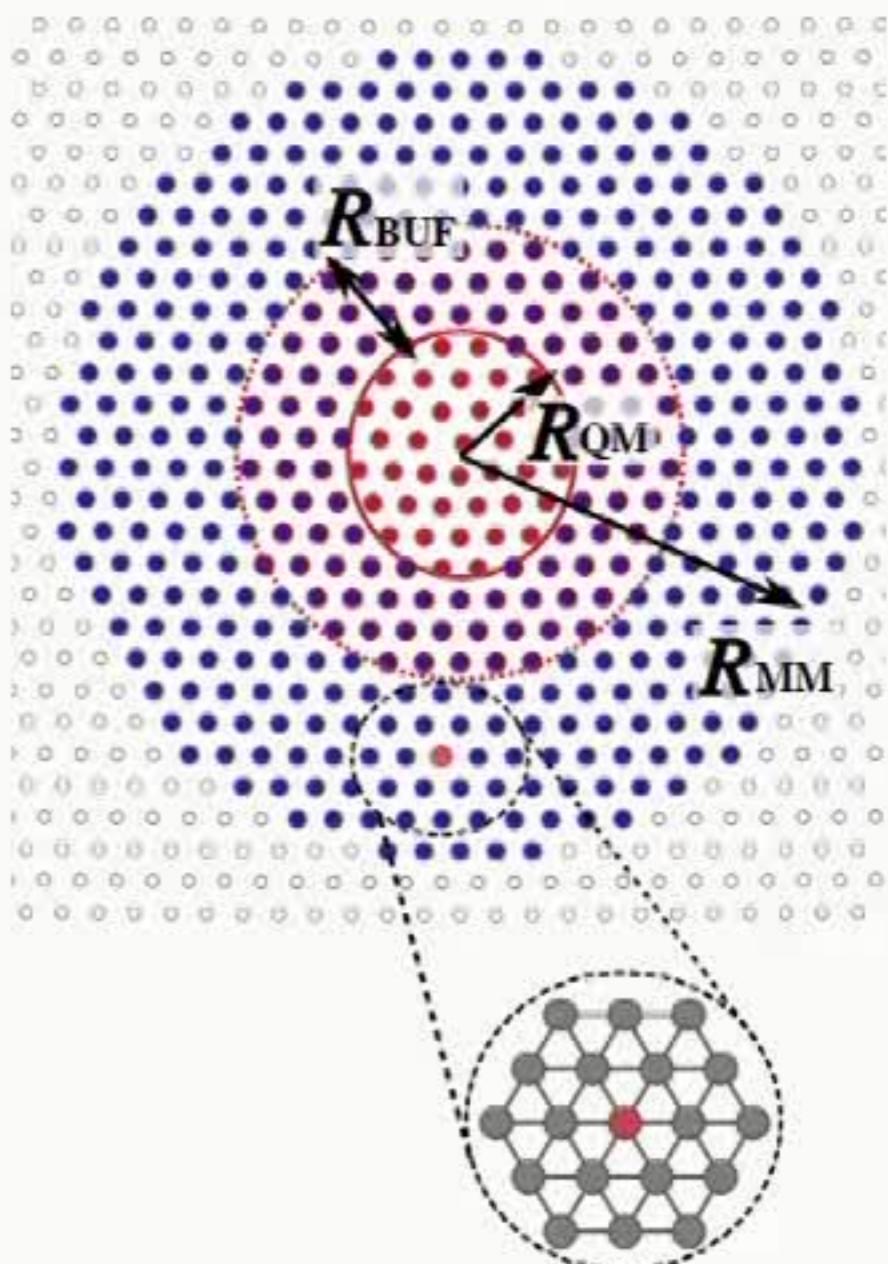


# Convergence Rate: Edge Dislocation

**Theorem:** If  $E_\ell^{\text{MM}} \sim E_\ell^{\text{BUF}}$  to order  $p \geq 2$  and  $R_{\text{QM}}, R_{\text{MM}}, R^{\text{BUF}}$  suff. large, then there exists  $\bar{y}^H$  s.t.

$$\|\bar{y}^{\text{QM}} - \bar{y}^H\|_E \lesssim R_{\text{QM}}^{1-p} + e^{-cR_{\text{BUF}}} + R_{\text{MM}}^{-1}.$$

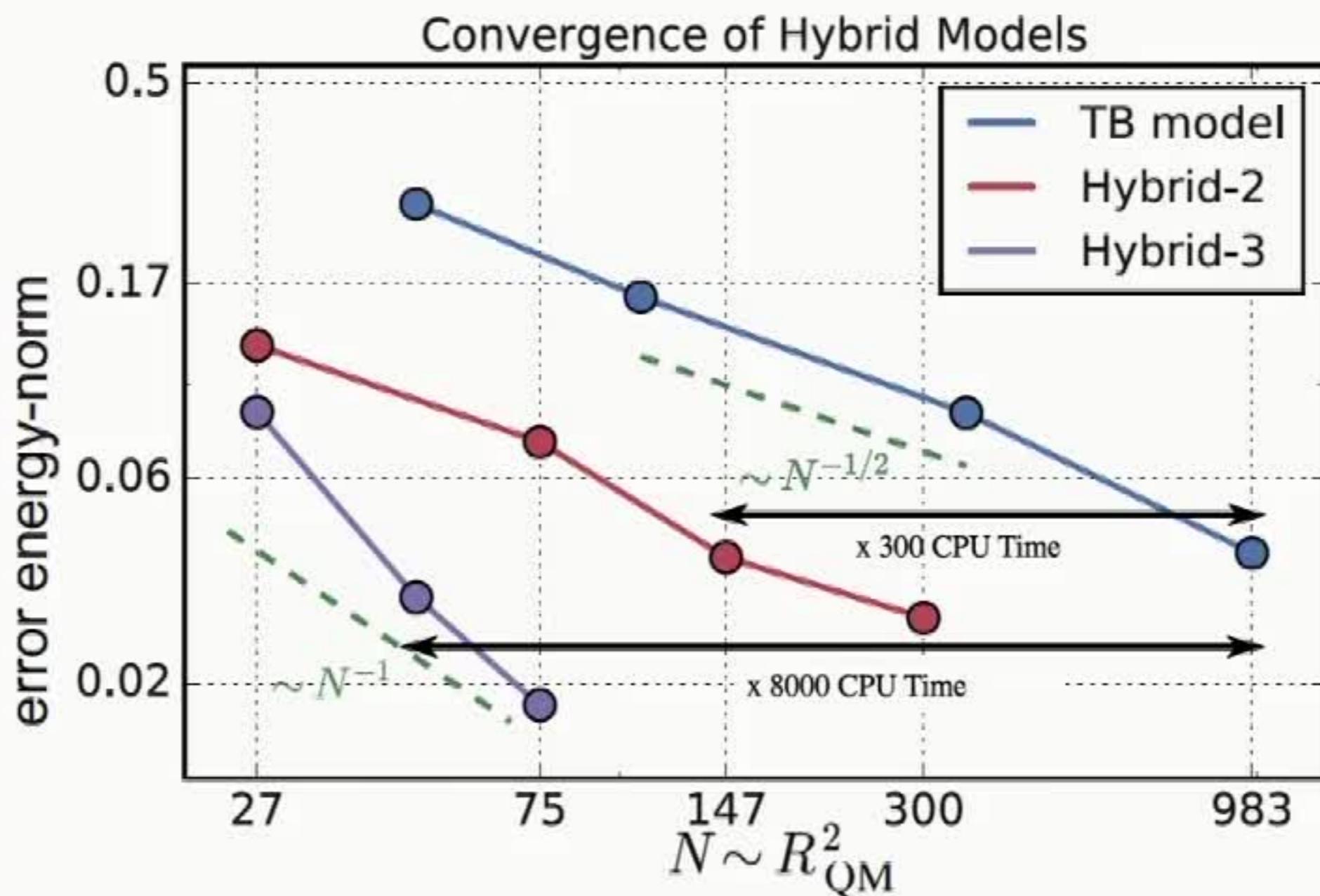
- $R_{\text{QM}}^{1-p}$  : order of accuracy of MM potential (Taylor expansion)
- $e^{-cR_{\text{BUF}}}$  : buffer for QM region and truncation of MM potential
- $R_{\text{MM}}^{-1}$  : truncation of elastic far-field



# Convergence Rate: Edge Dislocation

**Theorem:** If  $E_\ell^{\text{MM}} \sim E_\ell^{\text{BUF}}$  to order  $p \geq 2$  and  $R_{\text{QM}}, R_{\text{MM}}, R^{\text{BUF}}$  suff. large, then there exists  $\bar{y}^H$  s.t.

$$\|\bar{y}^{\text{QM}} - \bar{y}^H\|_E \lesssim R_{\text{QM}}^{1-p} + e^{-cR_{\text{BUF}}} + R_{\text{MM}}^{-1}.$$



# Convergence Rate: Di-Interstitial in Bulk Si

**Theorem:** For a POINT DEFECT: If  $E_\ell^{\text{MM}} \sim E_\ell^{\text{BUF}}$  to order  $p$  and  $R_{\text{QM}}, R_{\text{MM}}, R^{\text{BUF}}$  suff. large, then there exists  $\bar{u}^H$  s.t.

$$\|\bar{u} - \bar{u}^H\|_E \lesssim R_{\text{QM}}^{d/2-dp} + e^{-cR_{\text{BUF}}} + R_{\text{MM}}^{-d/2}.$$

