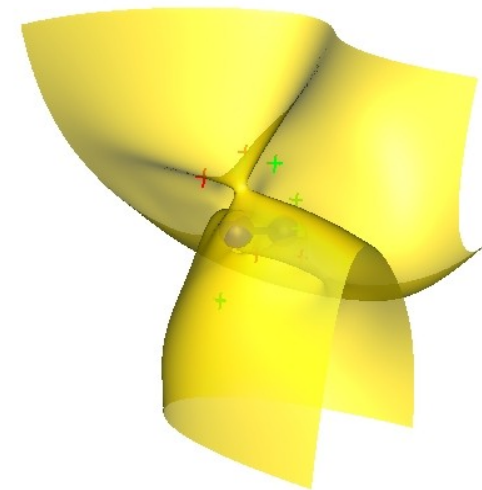
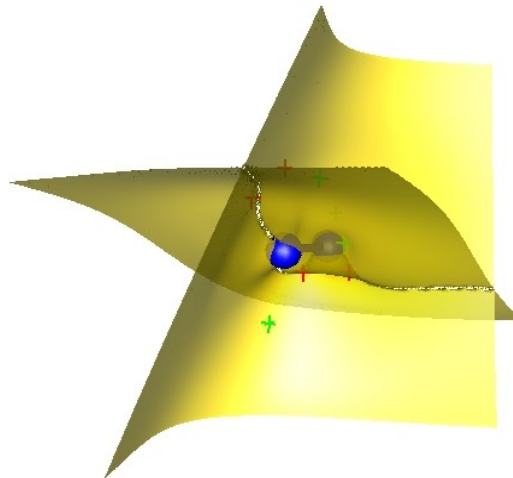
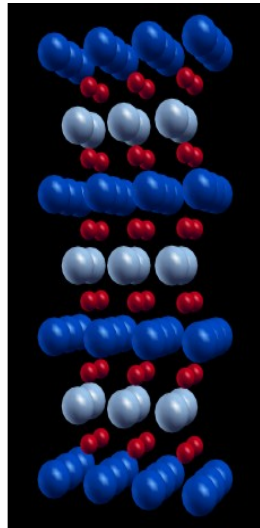
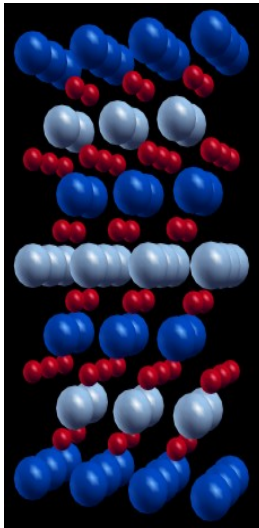


# Electronic structure quantum Monte Carlo: pfaffians and many-body nodes of ground and excited states



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# Project out the ground state $\rightarrow$ imaginary time Schrodinger eq. (Fermi 1933)

$$\psi(\mathbf{R}, t) = \exp(-tH) \psi_T(\mathbf{R}) \quad \rightarrow \quad \psi(\mathbf{R}, t \rightarrow \infty) \propto \phi_0(\mathbf{R})$$

projector in parameter  $t$       trial wave function      ground state of given symm.

$H$  : electrons + ions and/or other interactions

$\mathbf{R} = (r_1, r_2, \dots, r_N)$ : 3N-dim. continuous space

Projection in a differential/integral form (imaginary time Sch. eq.)

$$-\partial_t \psi(\mathbf{R}, t) = H \psi(\mathbf{R}, t)$$

$$\psi(\mathbf{R}, t + \tau) = \int G(\mathbf{R}, \mathbf{R}', \tau) \psi(\mathbf{R}', t) d\mathbf{R}'$$

# Quantum Monte Carlo (QMC) in a nutshell

Evolution equation  $\psi(\mathbf{R}, t + \tau) = \int G(\mathbf{R}, \mathbf{R}', \tau) \psi(\mathbf{R}', t) d\mathbf{R}'$

with transition probability density  $G(\mathbf{R}, \mathbf{R}', \tau) = \langle \mathbf{R} | \exp(-\tau H) | \mathbf{R}' \rangle$

can be mapped onto an equivalent stochastic process:

**Value of the wavefunction  $\leftrightarrow$  density of sampling points in 3N-space**

$$\psi(\mathbf{R}, t) = \text{dens} \left[ \sum_i^{\text{walkers}} \delta(\mathbf{R} - \mathbf{R}_i(t)) \right] + \epsilon_{\text{statistical}}$$

**sampling points  $\rightarrow$  “walkers”  $\rightarrow$  eigenstates of position operator**

Solution: find  $G(\mathbf{R}, \mathbf{R}', \tau)$  and iterate

**Exact mapping but fermion sign problem!**

# Fix the sign problem by the fixed-node approximation: fixed-node diffusion Monte Carlo (FNDMC)

Consider a product:  $f(\mathbf{R}, t) = \psi_T(\mathbf{R})\phi(\mathbf{R}, t)$

modify Sch. eq. accordingly:  $f(\mathbf{R}, t + \tau) = \int G^*(\mathbf{R}, \mathbf{R}', \tau) f(\mathbf{R}', t) d\mathbf{R}'$

so that:  $f(\mathbf{R}, t \rightarrow \infty) \propto \psi_T(\mathbf{R})\phi_{\text{ground}}(\mathbf{R})$

**Fermion node: (3N-1)-dimen. hypersurface defined as  $\phi(r_1, r_2, \dots, r_N) = 0$**

**Fixed-node (FN) approximation:  $f(\mathbf{R}, t) > 0$**

- antisymmetry (nonlocal) replaced by a boundary (local)
- **accuracy determined by the nodes of  $\psi_T(\mathbf{R})$**
- **exact node enables to recover exact energy (in polynomial time)**

# QMC calculations: basic steps

- Hamiltonian:**
- valence e- only, using pseudopots/ECPs
  - e-e interactions explicitly
  - size: up to a few hundreds valence e-

**Explicitly correlated trial wavefunction** of Slater-Jastrow type:

$$\psi_{Trial} = \det^{\uparrow}[\phi_{\alpha}] \det^{\downarrow}[\phi_{\beta}] \exp\left[\sum_{i,j,I} U_{corr}(r_{ij}, r_{iI}, r_{jI})\right]$$

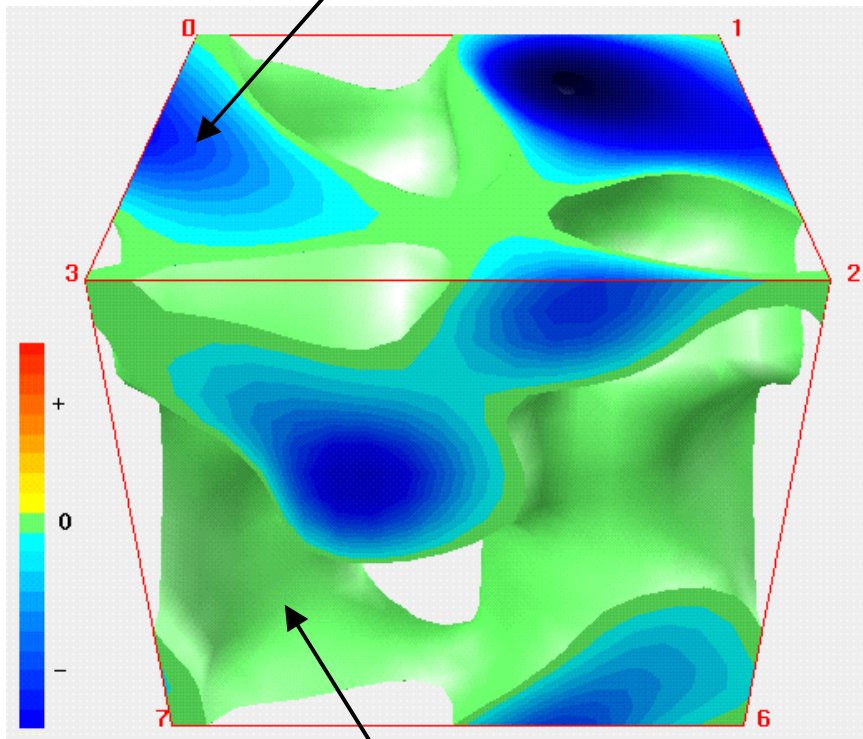
(or more sophisticated: BCS, pfaffians, backflow,...., later)

- Orbitals:**
- from HF, DFT, hybrid DFT, possibly CI, etc

- Solids:**
- supercells
  - finite size corrections

# Fixed nodes in reality: complex, impossible to “see”, ..., but, when done right, unexpectedly useful!

Wavefunction value

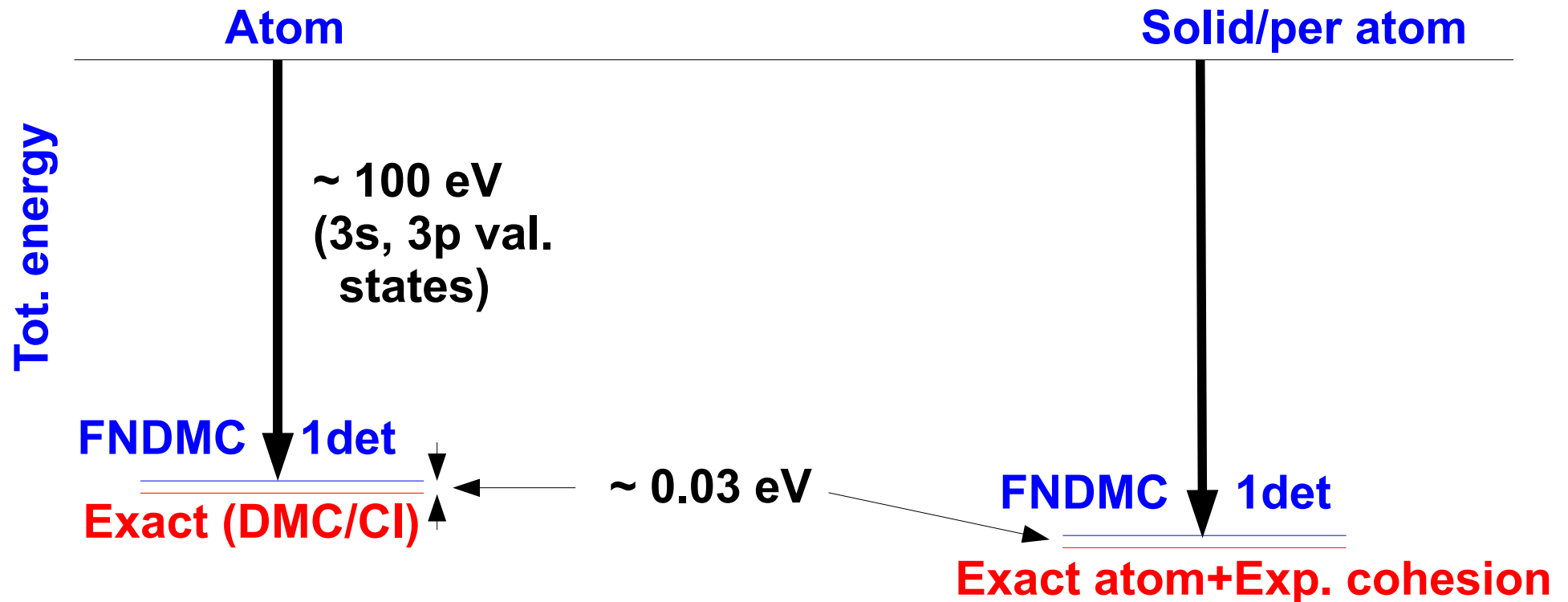


3D subset of 59-dim node

- defined by the antisymmetric part of the trial function → difficult to parametrize efficiently but still systematically improvable
- rather simple wavefunctions lead to remarkably high accuracy (sometimes beyond expectations)
- easy to enforce, eg, evaluate the sign of a determinant

Let's look how this works ...

**Semiconductor example: solid Si (up to 214 atoms)**  
**Both stochastic and systematic errors are small**



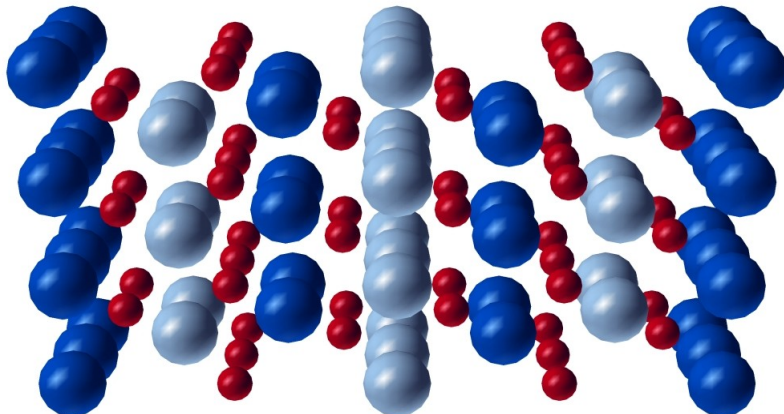
**Cohesion:**

- rigorous lower bound(!) → 6.58(1) eV
- FNDMC (error canc.) → 4.61(1) eV
- experiment → 4.62(8) eV

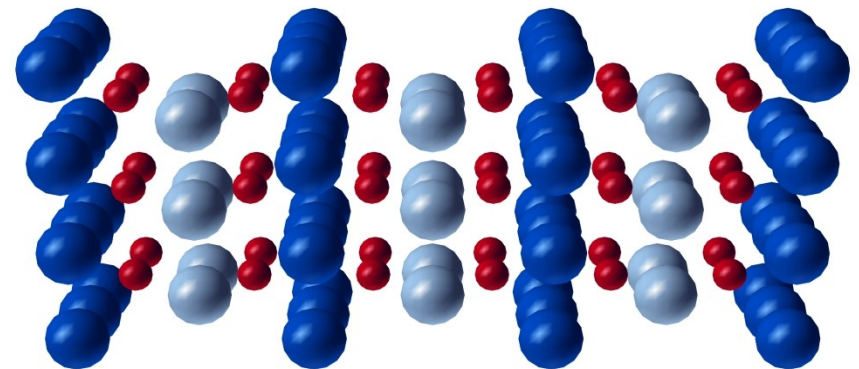
# FeO solid at high pressures

- **large e-e correlations, difficult:** competition of Coulomb, exchange, correlation and crystal-field effects; important **high-pressure physics** (Earth interior, for example)
- mainstream Density Functional Theories (DFT) predict: **wrong** equilibrium structure; and for the correct structure predict a **metal instead of large-gap insulator**

B1/AFII (equil.)



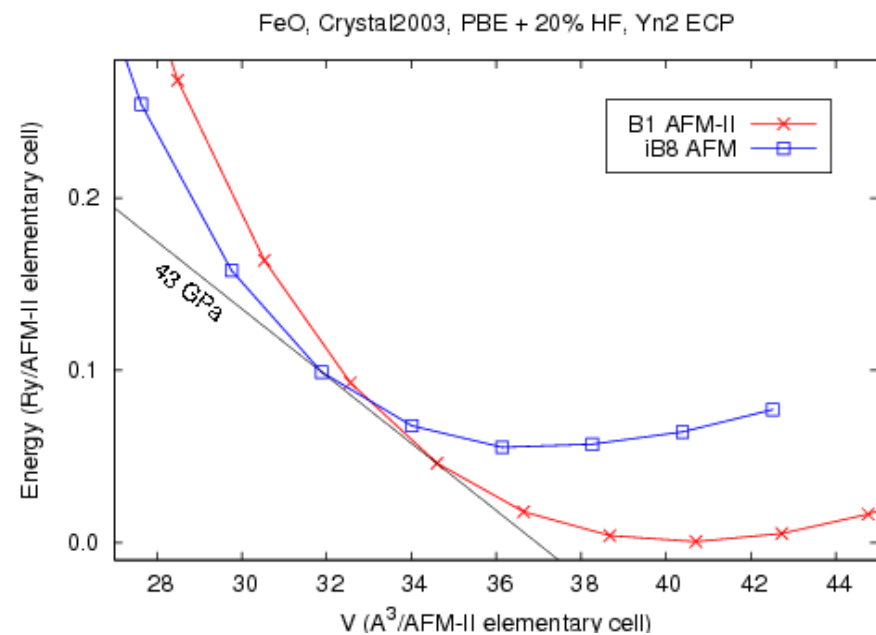
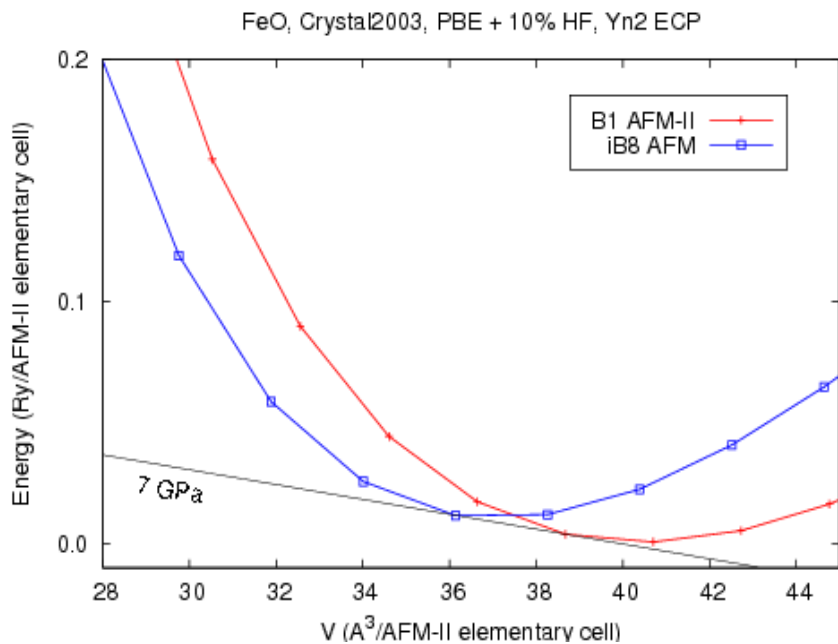
iB8/AFII





# FeO solid at high pressures DFT with HF mixing

In order to reconcile theory with experiment one needs Hubbard U or, alternatively, mixing of an exact exchange into the effective Hamiltonian: non-variational, certain arbitrariness

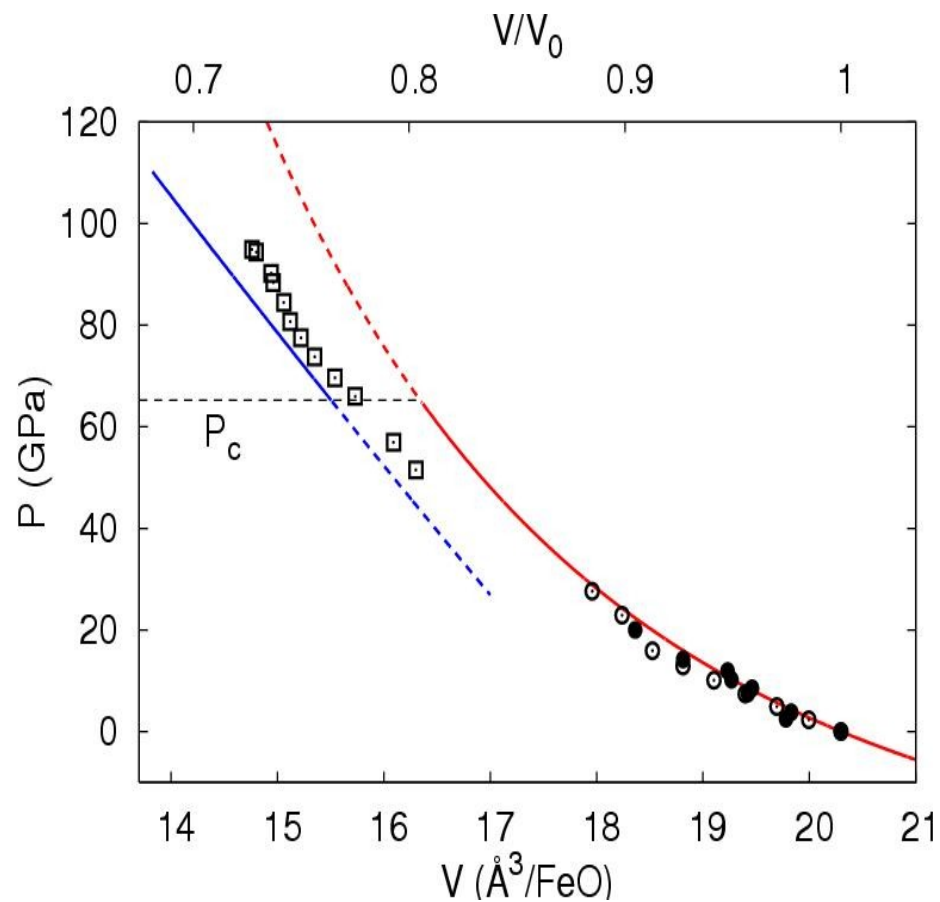
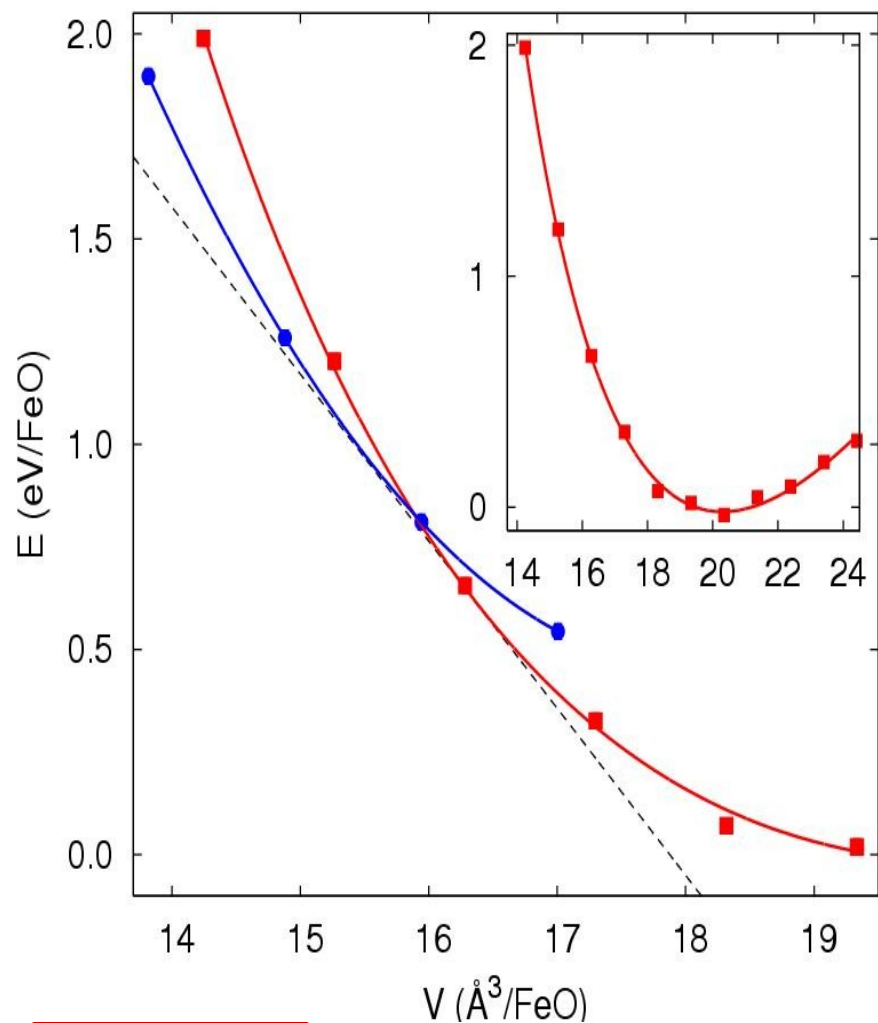


## Comparisons of the FeO solid equilibrium parameters

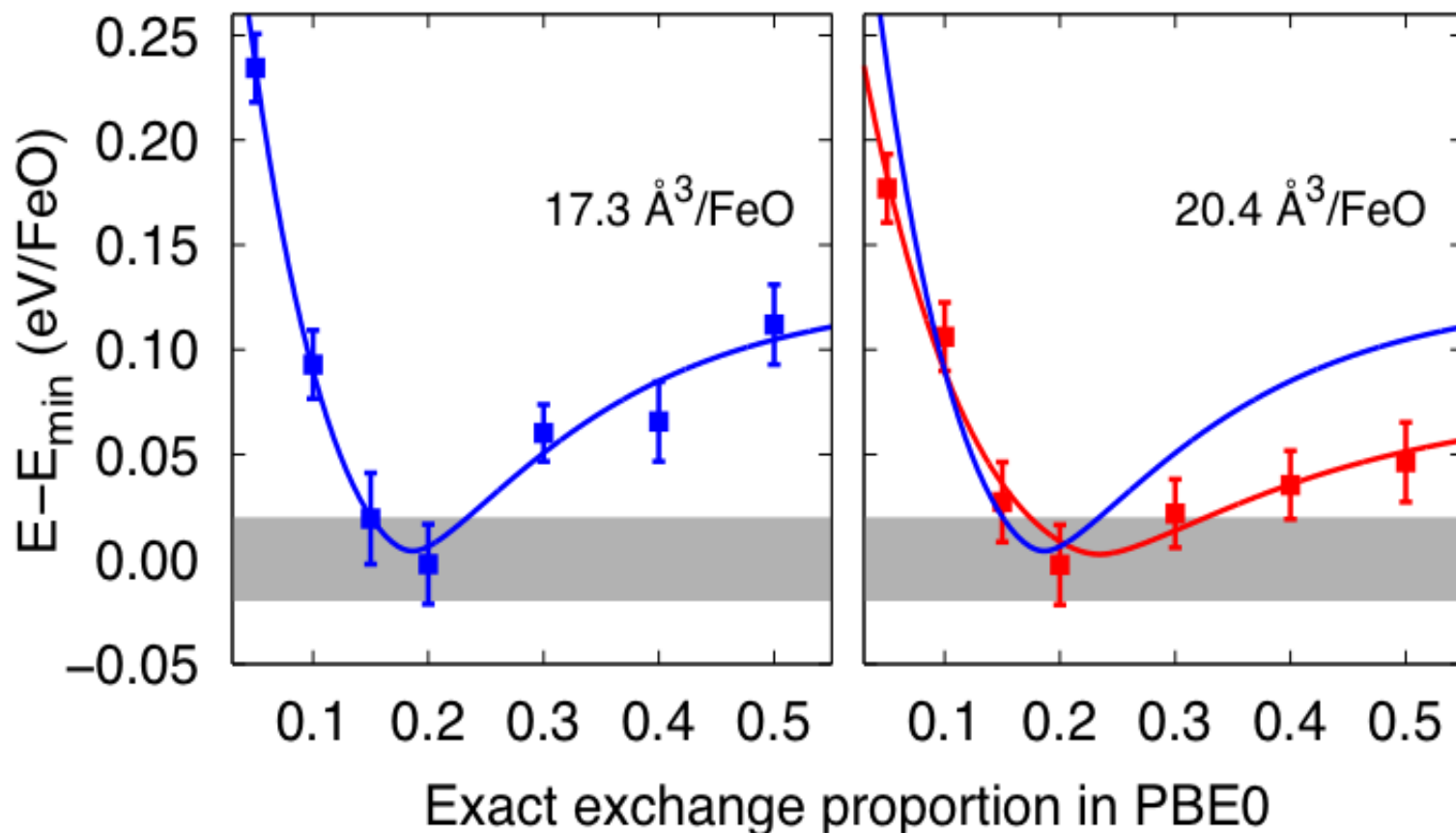
	DFT/PBE	FNDMC	Exp.(FeO <sub>1-x</sub> )
iB8-B1/AFMII [eV]	- 0.2	0.5 (1)	>0
Cohesion [eV]	~ 11	9.7 (1)	9.7(2)
a <sub>0</sub> [Å]	4.28	4.32	4.33
K <sub>0</sub> [GPa]	180	170(10)	152(10)
Opt. gap [eV]	~ 0 (metal)	2.8(3) eV	~ 2.4 eV

# FeO solid at high pressures

QMC shows transition at  $\sim 65$  GPa (Exper. 70-100)



**Orbitals from hybrid PBE0 functional**  
**Optimal weight of the Fock exchange found by**  
**minimization of the fixed-node DMC energy**



HF weight → d-p hybridization: HF “ionic” vs DFT “covalent”

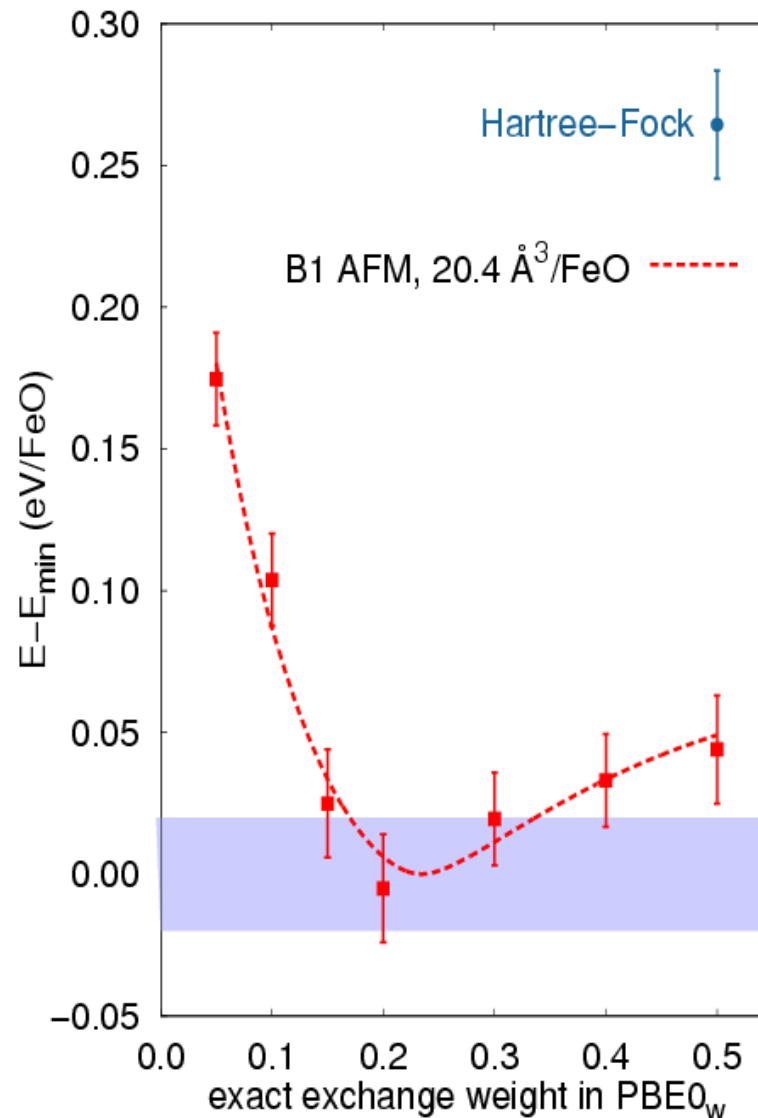
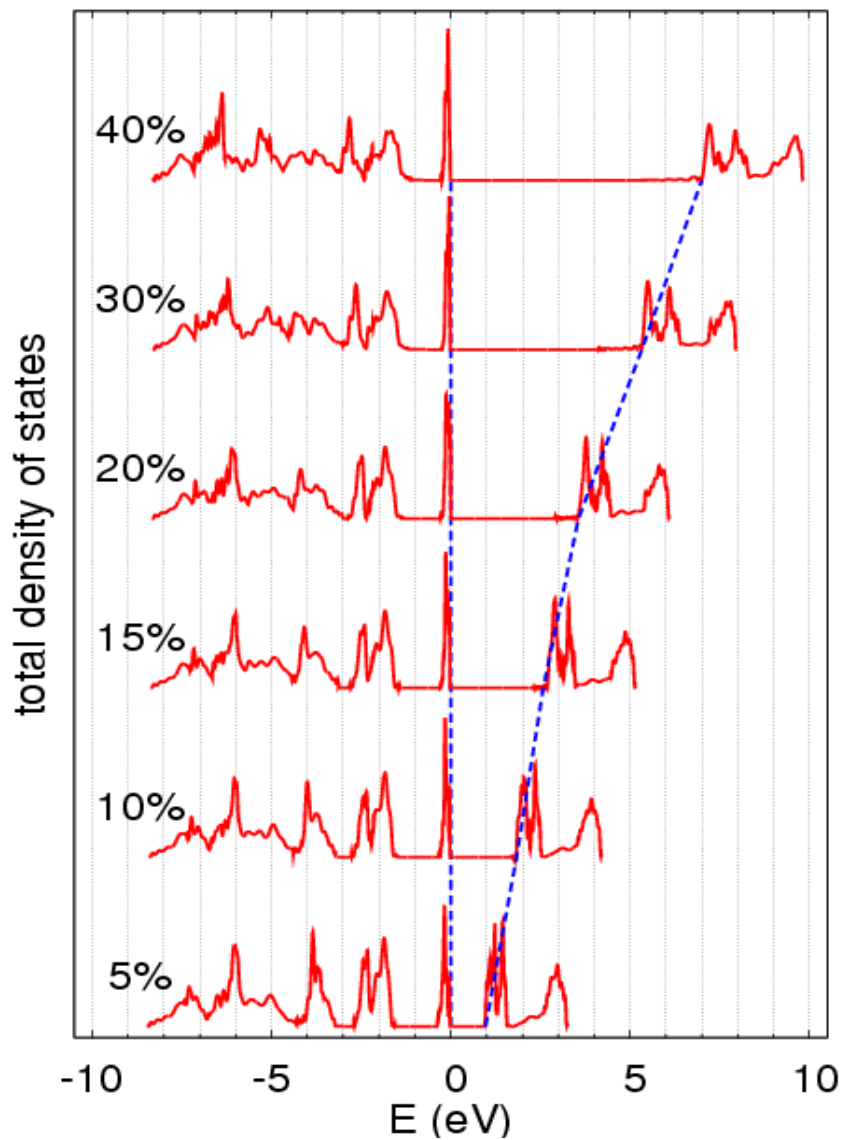
**Note: variational FNDMC optimization of the DFT functional!**

# QMC byproduct: construction of optimal effective Hamiltonians (one-body or beyond)

The mixing of exact exchange into the effective one-particle (DFT) Hamiltonian is simple, useful and clearly justified:

- fixed-node DMC energy is a variational theory
- **orbitals beyond Hartree-Fock** → **correlated** (most of the correlation in QMC is captured: all the bosonic correlations, cusps, etc, captured **exactly**)
- points out towards a more general idea/tool: **variational space** includes not only wavefunction but also effective Hamiltonian (more efficient and faster generation of accurate nodes)

Enables also to look back at the (corrected) one-particle picture, eg, density of states, gap, etc



# Large-scale QMC calculations: performance and cost

- FNDMC:**
- Ne-core relativistic ECPs for Fe
  - orbitals: HF, hybrid DFT
  - size: 8 and 16 FeO supercells, up to **352 valence e-**
  - finite size corrections

**Explicitly correlated trial wavefunction of Slater-Jastrow type:**

$$\psi_{Trial} = \det^{\uparrow}[\phi_{\alpha}] \det^{\downarrow}[\phi_{\beta}] \exp\left[\sum_{i,j,I} U_{corr}(r_{ij}, r_{iI}, r_{jI})\right]$$

**Scaling as  $\sim N^2$ - $N^3$ , parallel scalability**

**Computational cost: typical run 30,000 hours  
(3 orders of magnitude slower than a typical DFT run)**

**Correlation energy ( $E_{HF} - E_{exact}$ ) recovered:  $\sim 90 - 95\%$**

# FeO calculations illustrate a few key points about QMC

## Practical:

- systems with hundreds of electrons are feasible
- agreement with experiment within few %
- the simplest, “plain vanilla” FNQMC → single-determinant nodes!

## Fundamental:

- note: no ad hoc parameters, no Hubbard U or Stoner J, etc: applicable to solids, nanosystems, BEC-BCS condensates ...
- 90-95 % of correlation is “bosonic”-like (within nodal domains), efficiently captured by algebraically scaling methods
- fixed-node approx. is the only key issue: 5-10% of correlation → enough accuracy for cohesion, gaps, optical excitations, etc
- 5-10% still important: magnetic effects, superconductivity, etc



# Beyond the fixed-node approximation: fermion nodes

## What do we need and want to know ?

$$\phi(\mathbf{r}_1, \mathbf{r}_2, \dots, \mathbf{r}_N) = 0 \rightarrow (DN-1)\text{-dim. smooth hypersurface}$$

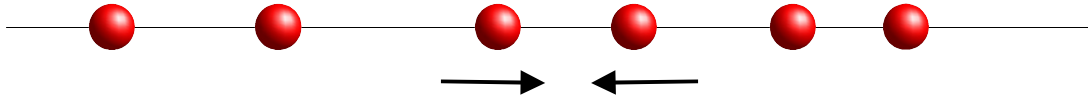
It divides the space into domains with constant wf. sign (“+” and “-”)

Interest in nodes goes back to D. Hilbert and L. Courant (eg, n-th exc. state has n or less nodal domains). However, ... we need (much) more:

- nodal topologies, ie, number of nodal cells/domains → important for correct sampling of the configuration space
- accurate nodal shapes ? how complicated are they ? → affects the accuracy of the fixed-node energies
- nodes ↔ types of wavefunctions ?
- nodes ↔ physical effects ?

# Topology of fermion antisymmetry: what do we know ?

**1D:** the ground state node of N fermions on a line is known exactly,



since each time two fermions cross each other they hit the node and the system passes from one domain to another  $\rightarrow$  N! domains

**3D:** a few special cases of 2e-, 3e- atoms nodes known exactly:

A) 2e- He atom triplet  $3S[1s2s]$  exact node:  $|r_1|^2 - |r_2|^2 = 0$

**two domains** (one +, one -)  $\rightarrow r_1 > r_2$  or  $r_2 > r_1$

B) 3e- atomic lowest quartet of S symmetry and odd parity

$4S[2p^3]$ : the exact node is  $r_1 \cdot (r_2 \times r_3) = 0$

again **two domains**:  $r_1, r_2, r_3$  either left-handed or right-handed

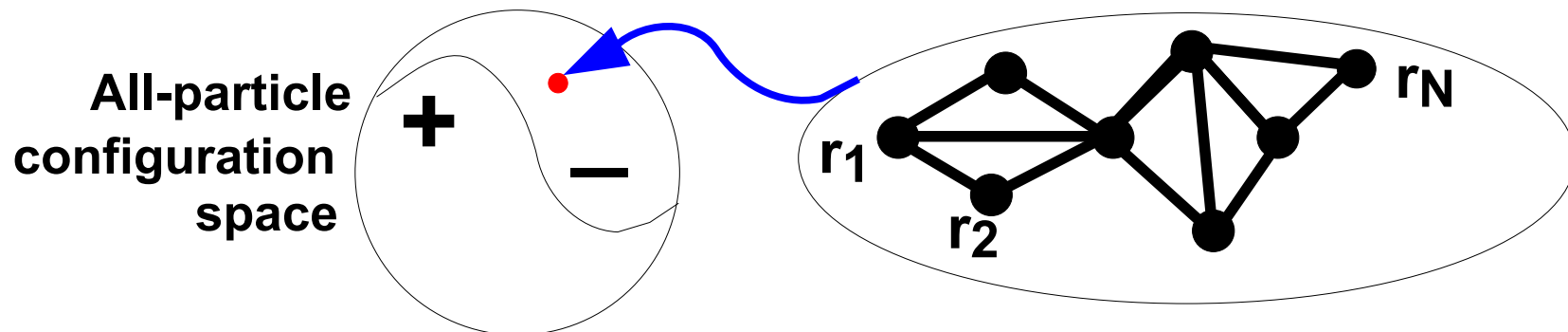
**Conjecture:** for  $d > 1$  the ground states have only two nodal cells, one “+” and one “-”

Numerical proof for 200 noninteracting fermions in 2D/3D (Ceperley '92):

Tiling by permutations property for nondegenerate ground states:

$$\text{Let } Q(R_0) \text{ be the nodal domain around } R_0 \rightarrow \\ \sum_p Q(PR_0) = \text{whole configuration space}$$

Then, for a given  $\phi(R)$  find a point such that **triple exchanges connect all the particles into a single cluster**: then there are only **two** nodal cells



(Why ? Connected cluster of triple exchanges exhausts all even/odd permutations + tiling property  $\rightarrow$  no space left)

# Sliding 15-puzzle: an example of 3-cycle (triple exchange) permutation cluster

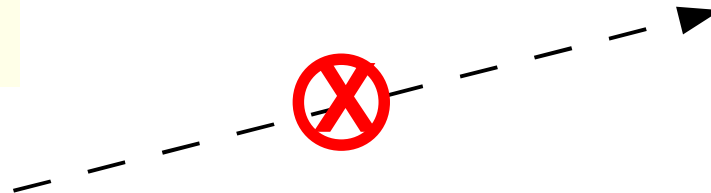
9	6	2	4
3	5	1	7
14	13	15	8
10	12	11	

even permutations (only!)



“+”

1	2	3	4
5	6	7	8
9	10	11	12
13	14	15	

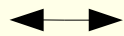


odd permutations



“-”

1	2	3	4
5	6	7	8
9	10	11	12
13	15	14	



Cheat! Flip 14,15

	1	2	3
4	5	6	7
8	9	10	11
12	13	14	15

**Is this the case of fermionic ground states for  $d > 1$ ?**

**Yes!**

**Two nodal cells theorem.** Consider a spin-polarized, closed-shell ground state given by a Slater determinant

$$\psi_{exact} = C_{symm}(1, \dots, N) \det \{ \phi_j(i) \}; \quad C_{symm} \geq 0$$

Let the Slater matrix elements be monomials  $x_i^n y_i^m z_i^l$  of positions or their homeomorphic maps in  $d > 1$ .

**Then the wavefunction has only two nodal cells for any  $d > 1$ .**

(L.M. PRL, 96, 240402; cond-mat/0605550)

**Covers many noninteracting models: harmonic fermions, homog. gas (fermions on  $T^d$ ), fermions on a sphere ( $S^2$ ), ...**

**Can be extended also to inhomogeneous polynomials such as atoms, HF atoms, etc**

# Proof sketch for **spin-polarized noninteracting 2D harmonic fermions**: Step 1 → **Wavefunction factorization**

Place fermions on a Pascal-like triangle →

$(M+1)(M+2)/2$  fermions on  $M$  lines

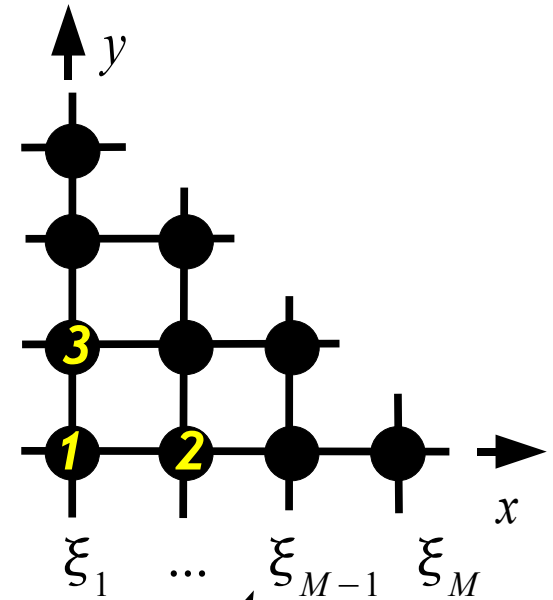
Factorize out the particles on the vertical line:

$$\psi_{\underline{M}}(1, \dots, N_M) = C_{\text{gauss}} \det[1, x, y, x^2, xy, y^2, \dots, y^M] =$$

$$= \psi_{\underline{M-1}}(1, \dots, N_M / I_{\xi_1}) \prod_{i < j}^{i, j \in I_{\xi_1}} (y_j - y_i) \prod_{1 < k \leq M} (\xi_k - \xi_1)^{n_k}$$

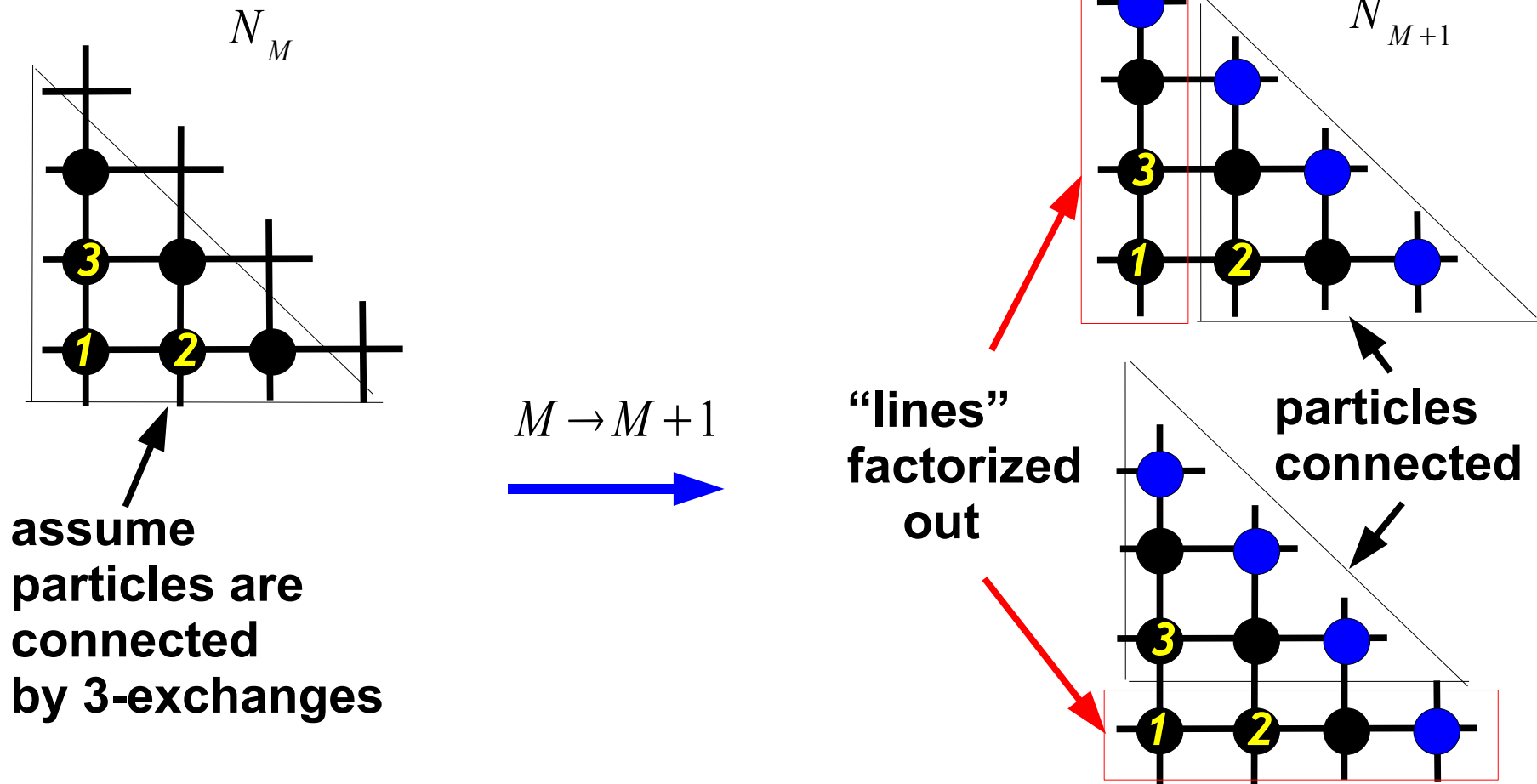
↑
↑

particle coords
lines coords



**General: factorizable along vertical, horizontal or diagonal lines, recursive → “multi-dimensional Vandermonde determinant”**

# Explicit proof of two nodal cells for spin-polarized harmonic fermions: Step 2 → Induction



Therefore all particles connected, any size. Q.E.D.

**For noninteracting/HF systems with both spin channel occupied → more nodal cells.  
Interactions → minimal number of two cells again!**

**Unpolarized noninteracting/HF systems: 2\*2=4 nodal cells!!!**

**-> product of two independent Slater determinants**

$$\psi_{HF} = \det^{\uparrow} \{ \phi_{\alpha} \} \det^{\downarrow} \{ \phi_{\beta} \}$$

**What happens when interactions are switched on ?**

**“Nodal domain degeneracy” is lifted → topology change  
→ multiple nodal cells fuse into the minimal two again!**

**Bosonic ground states → global/all-electron S-waves  
Fermionic ground states → global/all-electron “P-waves” !**

**Fundamental and generic property of fermions!**



## The same is true for the nodes of temperature/imaginary time density matrix

Analogous argument applies to temperature density matrix

$$\rho(R, R', \beta) = \sum_{\alpha} \exp[-\beta E_{\alpha}] \psi_{\alpha}^{*}(R) \psi_{\alpha}(R')$$

fix  $R', \beta \rightarrow$  nodes/cells in the  $R$  subspace

High (classical) temperature:  $\rho(R, R', \beta) = C_N \det \{ \exp[-(r_i - r'_j)^2 / 2\beta] \}$

enables to prove that  $R$  and  $R'$  subspaces have only two nodal cells. **Stunning: sum over the whole spectrum!!!**

L.M. PRL, 96, 240402; cond-mat/0605550

H. Monkhorst: “So what you are saying is that nodes are simple!”  
Topology: yes! Shapes: no!  $\rightarrow$  better wavefunctions: pfaffians ...

# The simplest case of a nodal topology change from interactions/correlations: three e- in Coulomb pot.

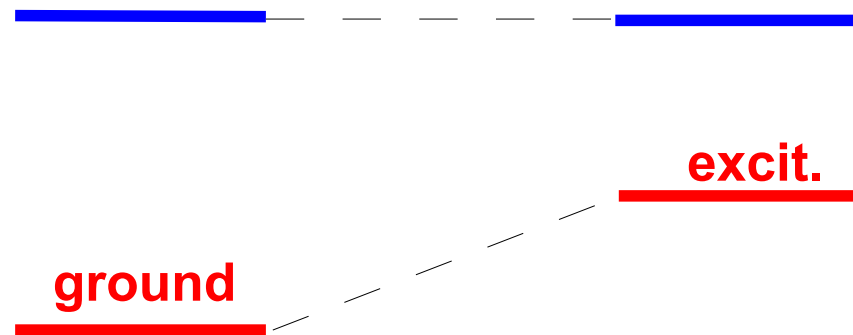
Consider three electrons in Coulomb potential, in the lowest quartet (all spins up) of S symmetry and even parity state

Noninteracting Hamiltonian has two degenerate states:

$$\psi_I = \det[1s, 2s, 3s]$$

$$\psi_{II} = \det[1s, 2p_x, 3p_x] + x \rightarrow y + y \rightarrow z$$

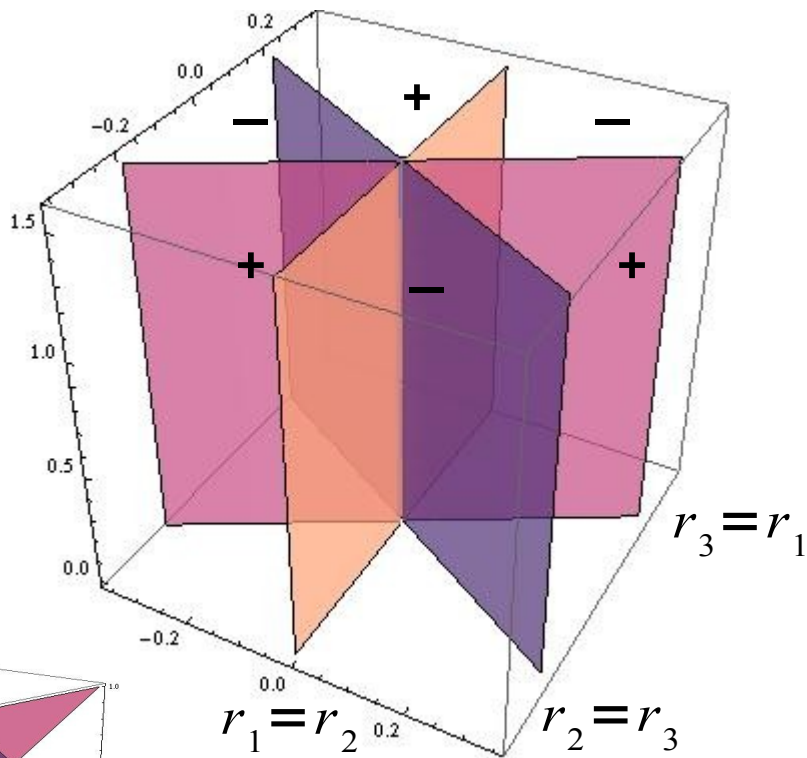
non-interacting



Interaction  $\rightarrow$  states split (already in HF)

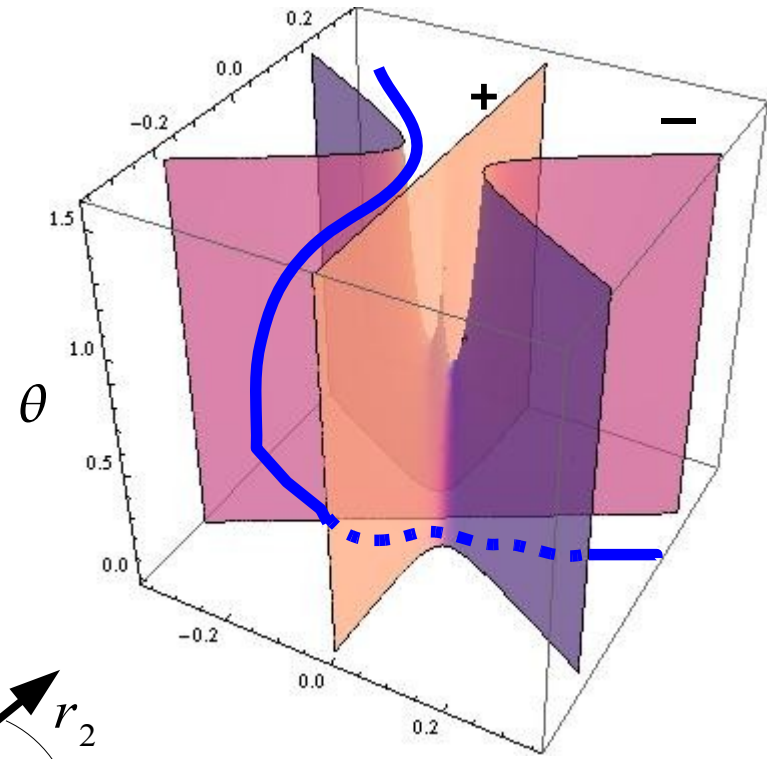
${}^4S(1s2s3s)$  HF node:  $(r_1 - r_2)(r_2 - r_3)(r_3 - r_1) = 0 \rightarrow 6$  domains (quasi 1D!)

# Nodal topology change from interactions/correlation ("triplet pairings": tiny but nonzero effect)



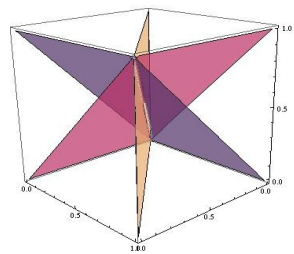
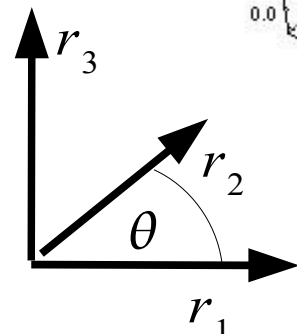
**HF node**

**6 cells**



**Pfaffian (or expansion  
in dets) → corr. node**

**2 cells**



**Pfaffian: signed sum of all distinct pair partitions of permutations (Pfaff, Cayley ~ 1850) -> the simplest antisymm. pair spinorbital wavefunction**

$$pf[a_{ij}] = \sum_P (-1)^P a_{i_1 j_1} \dots a_{i_N j_N}, \quad i_k < j_k, \quad k=1, \dots, N$$

**Pair orbital  $\phi(x_1, x_2)$  + antisymmetry  $\rightarrow$  pfaffian\***

$$\psi_{PF} = A[\phi(x_1, x_2)\phi(x_3, x_4)\dots] = pf[\phi(x_i, x_j)] \quad i, j=1, \dots, 2N$$

- determinant is a special case of pfaffian (**pfaffian is more general**)
- pfaffian algebra similar to determinants (minors, etc)
- $\psi_{HF}$  is a special case of  $\psi_{PF}$

$$\phi(x_i, x_j) = \phi^{\uparrow\downarrow}(r_i, r_j)(\uparrow\downarrow - \downarrow\uparrow) + \chi^{\uparrow\uparrow}(r_i, r_j)(\uparrow\uparrow) + \chi^{\downarrow\downarrow}(r_i, r_j)(\downarrow\downarrow) + \chi^{\uparrow\downarrow}(r_i, r_j)(\uparrow\downarrow + \downarrow\uparrow)$$

**symmetric/singlet**                      **antisymmetric/triplet**

**Pfaffian wavefunctions with both singlet and triplet pairs (beyond BCS!) -> all spin states treated consistently: simple, elegant**

$$\psi_{PF} = pf \begin{bmatrix} \chi^{\uparrow\uparrow} & \phi^{\uparrow\downarrow} & \psi^{\uparrow} \\ -\phi^{\uparrow\downarrow T} & \chi^{\downarrow\downarrow} & \psi^{\downarrow} \\ -\psi^{\uparrow T} & -\psi^{\downarrow T} & 0 \end{bmatrix} \times \exp[U_{corr}]$$

- pairing orbitals (geminals) expanded in one-particle basis

$$\begin{aligned} \phi(i, j) &= \sum_{\alpha \geq \beta} a_{\alpha\beta} [h_{\alpha}(i) h_{\beta}(j) + h_{\beta}(i) h_{\alpha}(j)] \\ \chi(i, j) &= \sum_{\alpha > \beta} b_{\alpha\beta} [h_{\alpha}(i) h_{\beta}(j) - h_{\beta}(i) h_{\alpha}(j)] \end{aligned}$$

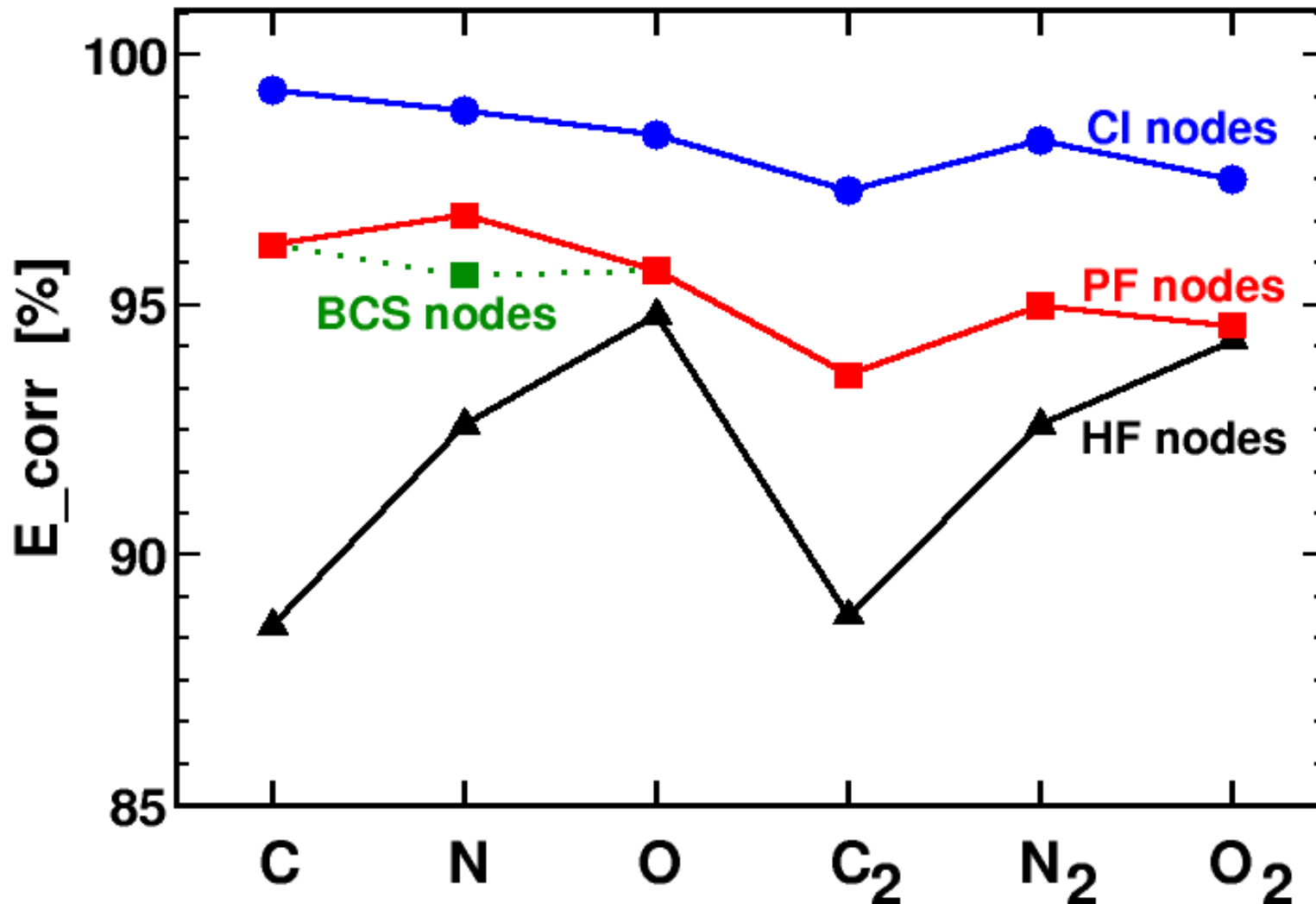
- unpaired

$$\psi(i) = \sum_{\alpha} c_{\alpha} h_{\alpha}(i)$$

**BCS wf. for 2N-particle singlet is a special case:  $\psi_{BCS} = \det[\phi^{\uparrow\downarrow}]$**

**Pairing wavefunctions enable to get the correct nodal topologies ...**

DMC correlation energies of atoms, dimers  
Pfaffians: more accurate and **systematic** than HF  
while **scalable** (unlike CI)



**Expansions in many pfaffians for first row atoms:  
FNDMC ~ 98 % of correlation with a few pfaffians**

**Table of correlation energies [%] recovered: MPF vs CI nodes**

**n = # of pfs/dets**

WF	n	C	n	N	n	O
<b>DMC/MPF</b>	<b>3</b>	<b>98.9</b>	<b>5</b>	<b>98.4</b>	<b>11</b>	<b>97.2</b>
<b>DMC/CI</b>	<b>98</b>	<b>99.3</b>	<b>85</b>	<b>98.9</b>	<b>136</b>	<b>98.4</b>

- further generalizations: pairing with backflow coordinates, independent pairs, etc (M. Bajdich et al, PRL 96, 130201 (2006))

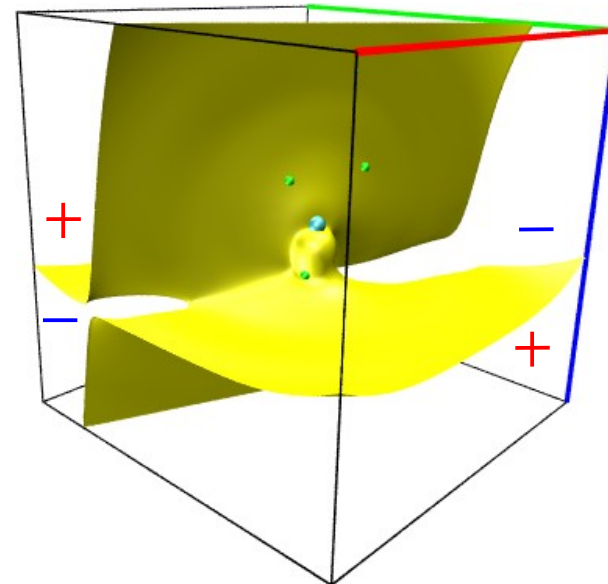
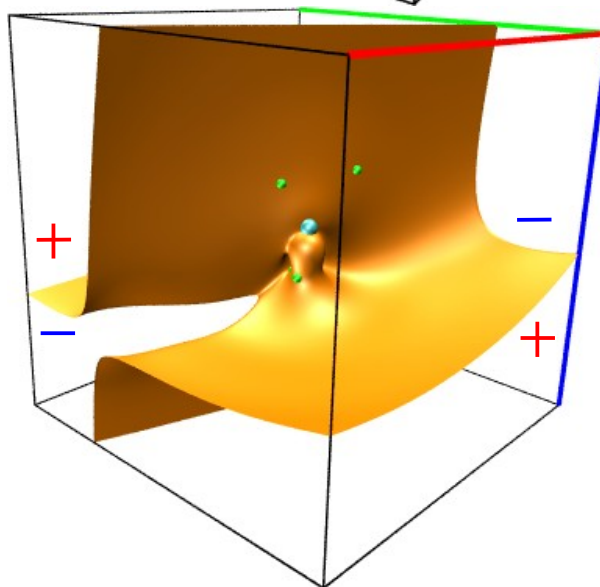
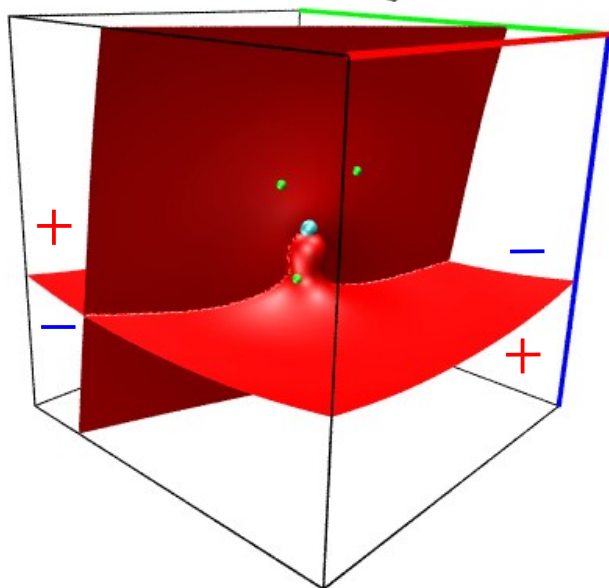
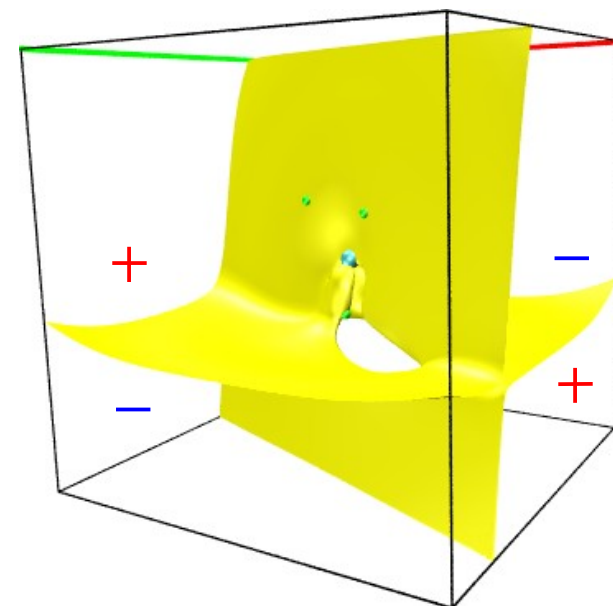
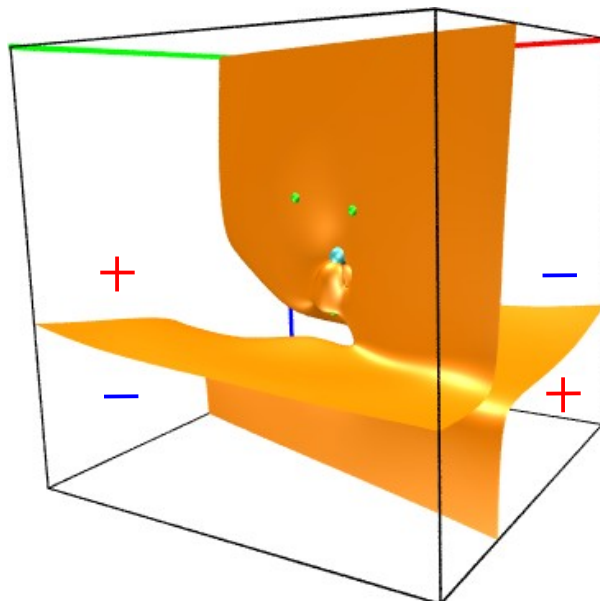
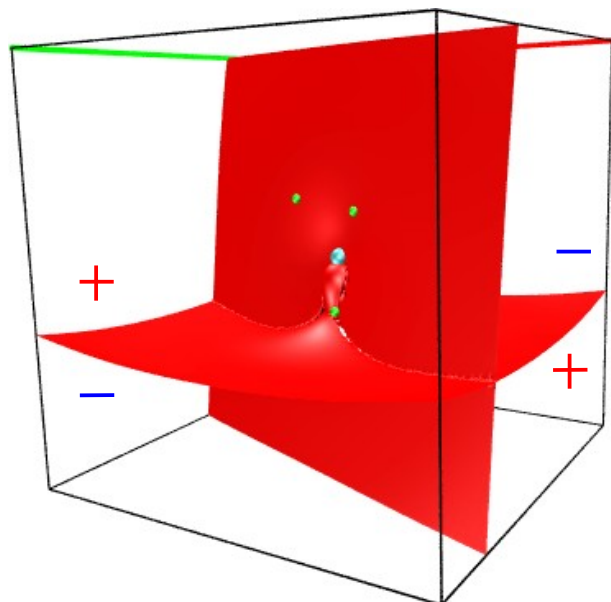
**Pfaffians describe nodes more efficiently**

**Nodes of different wfs (%E\_corr in DMC):  
oxygen atom wf scanned by 2e- singlet  
(projection into 3D -> node subset)**

**HF** (94.0(2)%)

**MPF** (97.4(1)%)

**CI** (99.8(3)%)





# Ultracold atoms in a special state: unitary gas

## Total energy first calculated by QMC

Effective, short-range attractive interaction

Scattering length:  $a$

$$1/a > 0$$

BCS, weakly paired superconductor

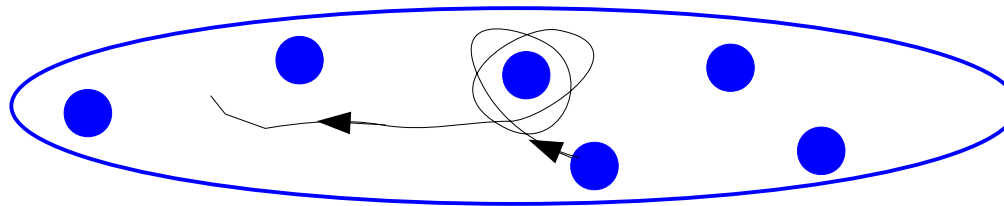
$$1/a < 0$$

BEC of covalently bonded molecules

$$1/a \rightarrow 0$$

unitary limit  $\rightarrow r_{int} \ll r_s \ll a$ ,

Tuned, so that a pair is on the verge of forming a bound state (ie,  $E=0$ )



$$E_{tot}^{unitary} = \xi E_{tot}^{free}; \quad \xi - \text{Bertsch parameter}$$

# Energies: from fixed-node to release node

$$\xi_{FNDMC} / HF \text{ nodes} = 0.50(1)$$

$$\xi_{FNDMC} / BCS \text{ nodes} = 0.44(1) \quad J. Carlson et al, '03 ; G.E. Astrakharchik et al., ...$$

$$\xi_{RNDMC} / \text{release nodes} \approx 0.40(1) \quad J. Carlson \wedge \text{coworkers, unpub.2007}$$

Note **significant drops in energy** from HF to BCS to release node done by Joe Carlson (still, unpublished).

However, calculations by Dean Lee (NCSU) using lattice QFT indicate **still lower energy .... !!!**

# Release node method: the fixed-node condition is relaxed by using bosonic trial function

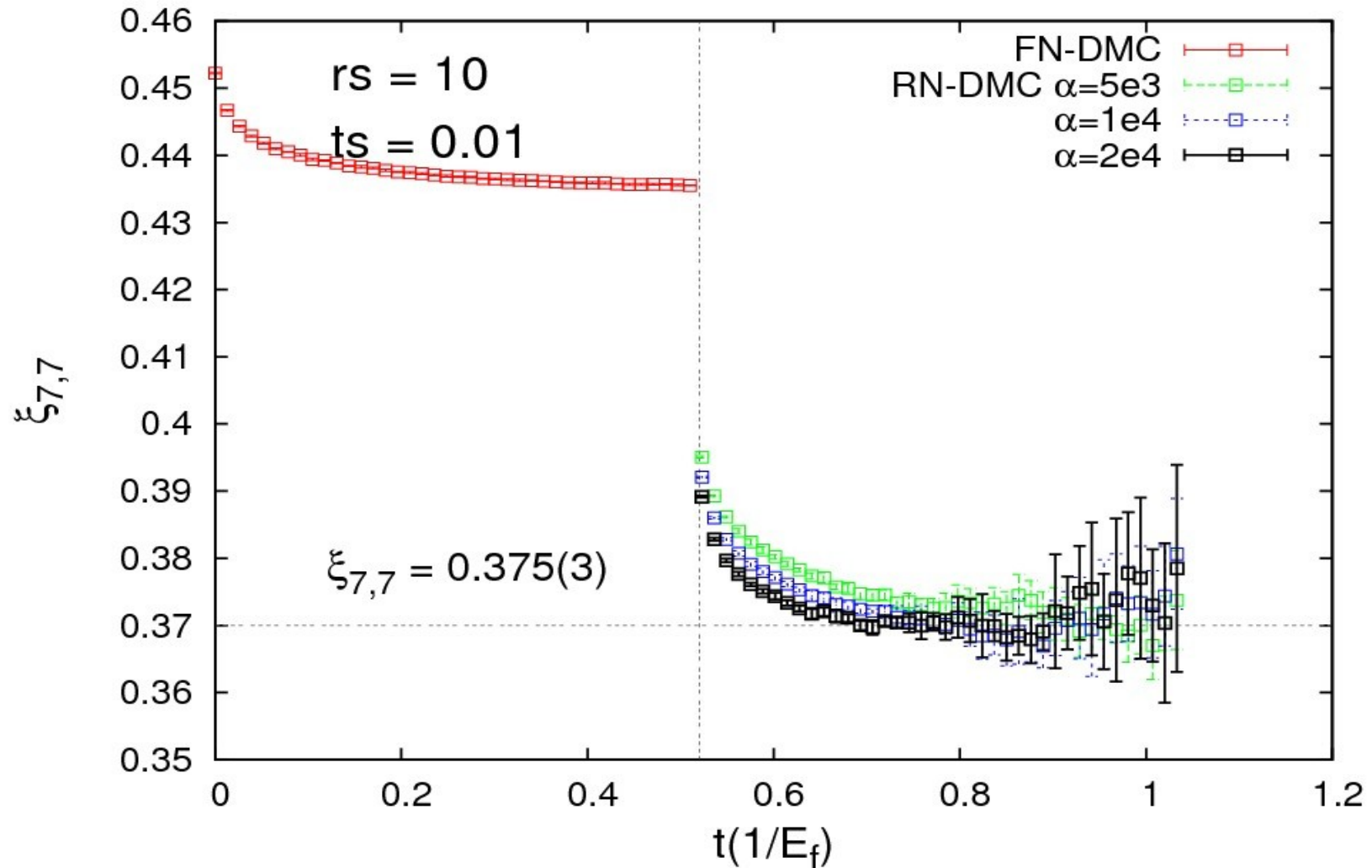
$$f(\mathbf{R}, t + \tau) = \int G^*(\mathbf{R}, \mathbf{R}', \tau) f(\mathbf{R}', t) d\mathbf{R}'$$

$$f(\mathbf{R}, t) \propto \psi_{\text{Guiding/Bosonic}}(\mathbf{R}) \phi_{\text{Ground/Fermionic}}(\mathbf{R}, t)$$

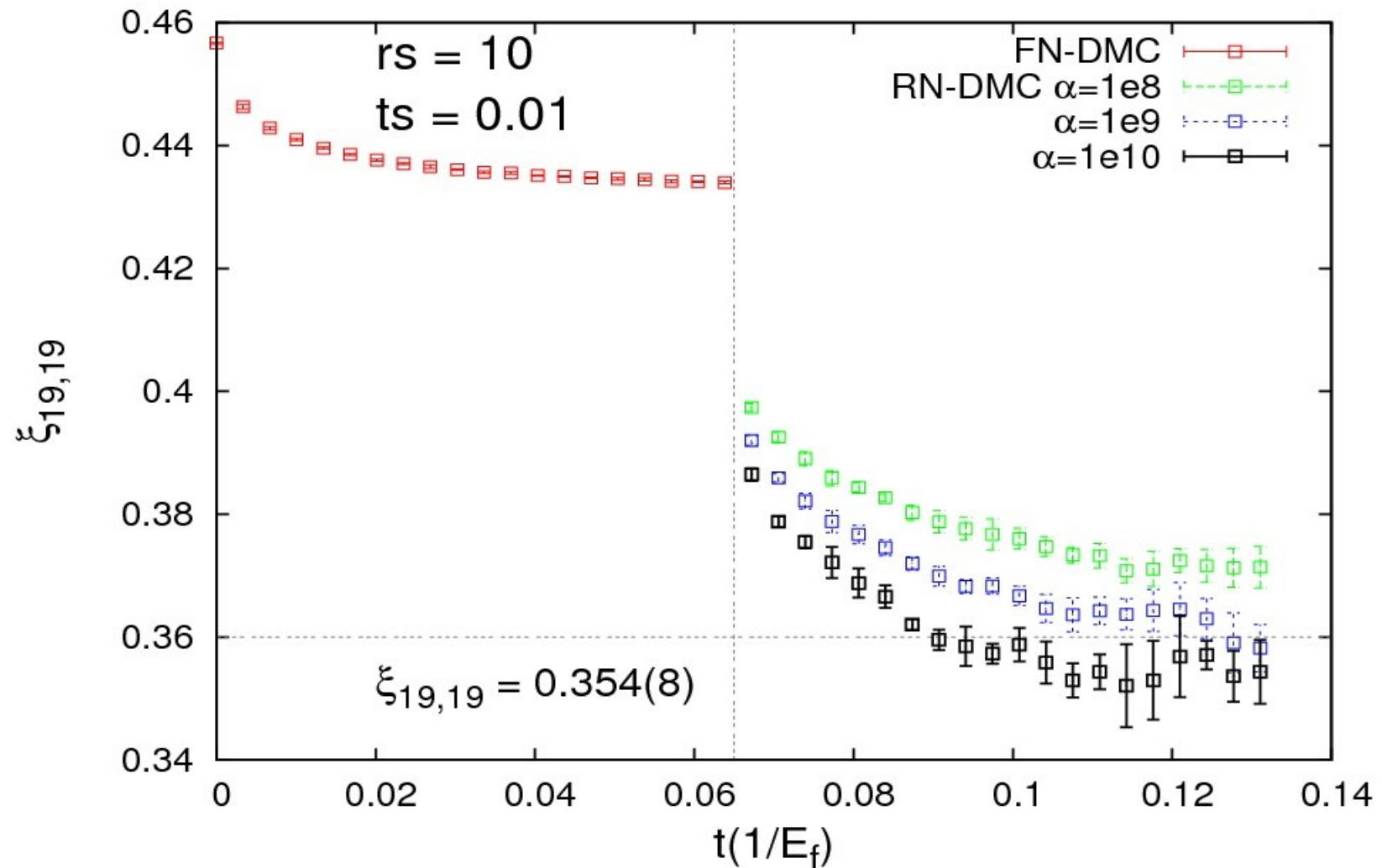
$$E_{\text{RNDMC}}(t) = \int f(\mathbf{R}, t) \frac{\psi_{T/\text{fermionic}}}{\psi_{G/\text{Bosonic}}} \cdot \frac{H \psi_T}{\psi_T} d\mathbf{R}$$

**Formally exact method but error bars grow exponentially fast: only transient estimators**

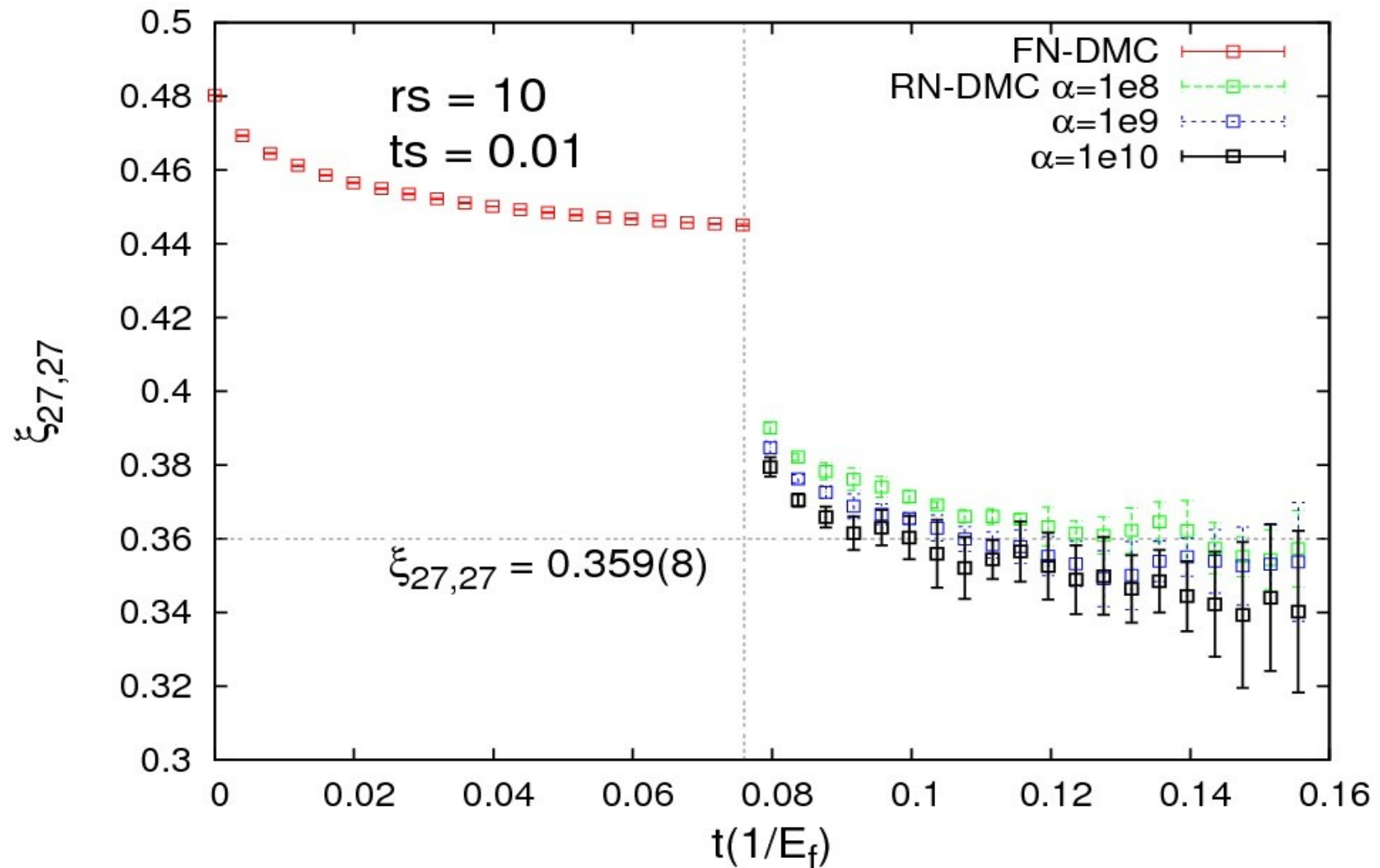
# Release node energy drop for 14 particles



# Release node energy drop for 38 particles



# Release node energy drop for 54 particles



# Another type of wavefunction with improved nodes: backflow coordinates

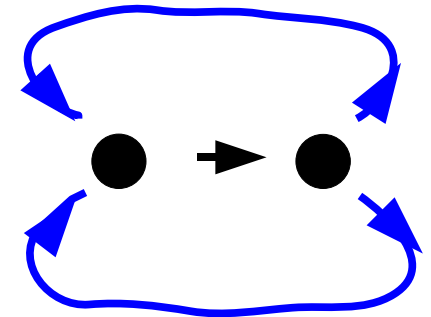
Improve the Slater-Jastrow wf.  $\exp(-\tau H)\psi_T \approx \psi_T - \tau H\psi_T$

$$He^{U_{corr}} \det[.] = e^{U_{corr}} (T + V_{el}) \det[.] + \det[.] (T + V_{ee}) e^{U_{corr}} - \nabla e^{U_{corr}} \cdot \nabla \det[.]$$

**“spurious” term**

$|\nabla \det[.]| \gg |\nabla e^{U_{corr}}|$  → **strongly inhomogeneous -> excitations**  
(CI, pfaffians) cancel out the spurious terms

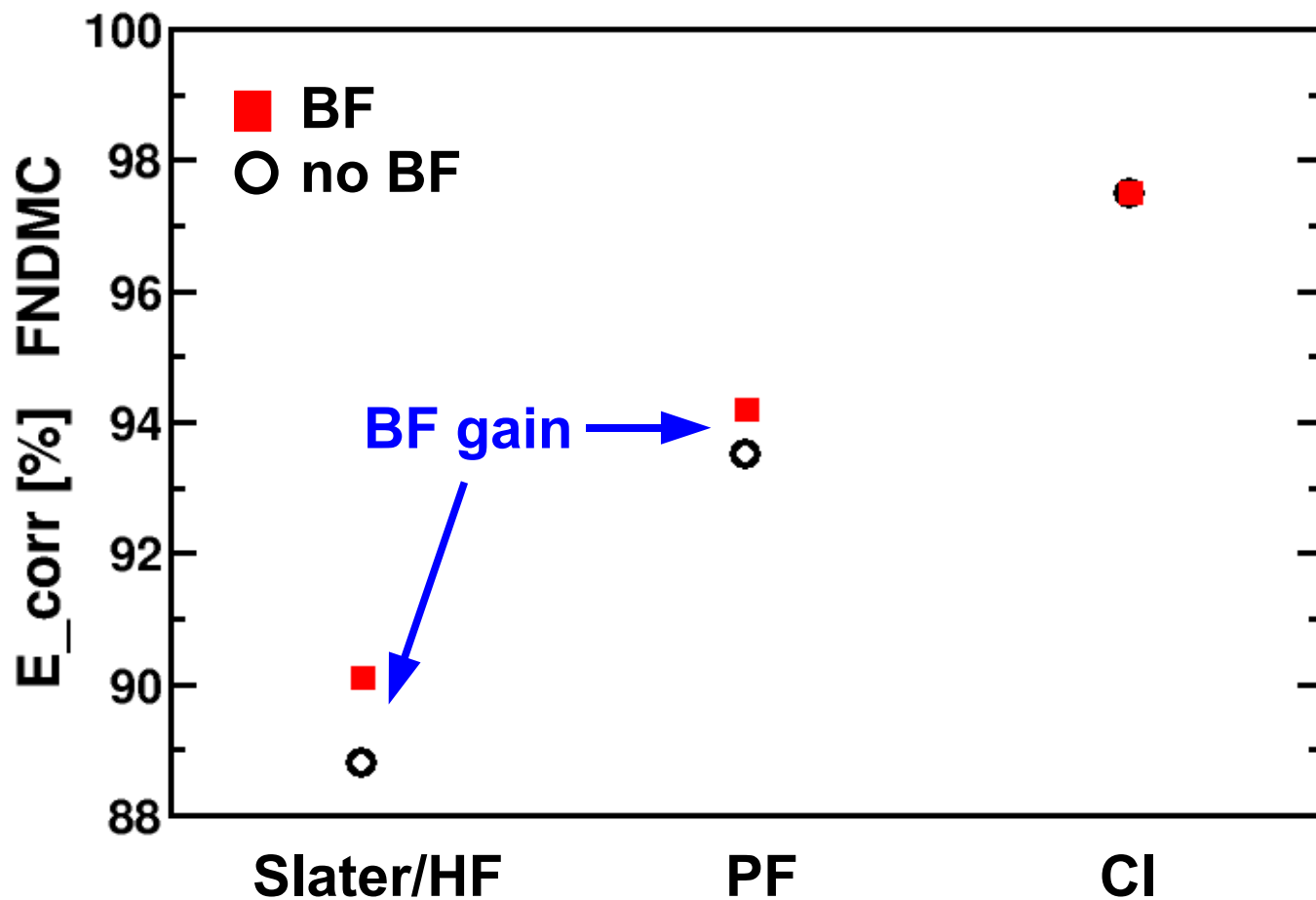
$|\nabla \det[.]| \ll |\nabla e^{U_{corr}}|$  → **backflow terms are effective**  
(homogeneous systems)



$$\mathbf{x}_i = \mathbf{r}_i + \sum_{i < j} \gamma(r_{ij}) \mathbf{r}_{ij}$$

**backflow described by “dressed” coordinates**  
-> combine with pfaffian wavefunctions

# FNDMC correlation energies of C<sub>2</sub> molecule for various wavefunctions with and without the backflow



Gains from backflow are rather small ...



# Backflow for homogeneous periodic electron gas (Coulomb e-e + neutralizing background)

characterized by a single parameter:  $r_s$  → inverse density

$r_s$	HF	DMC/HF nodes	DMC/BF nodes
1	0.56925	0.53087(4)	0.52990(4)
5	-0.056297	-0.07862(1)	-0.07886(1)
20	-0.022051	-0.031948(2)	-0.032007(2)

About 1% gain but significant since it cuts the fixed-node error by a factor of 2 or so. Works better for homogeneous systems, as expected. Still, not enough understanding!

## Summary

- QMC: practical for hundreds of interacting quantum particles
- unique insights into the quantum phenomena → **fundamental topological property of fermionic ground states: global “P-wave” like** → another example of importance of **geometry** for quantum many-body effects
- nodal surfaces of unitary gas might be more complicated than originally thought → the exact energy still not known

Open source code: **QWalk (“Quantum Walk”)** → [www.qwalk.org](http://www.qwalk.org)

# Working hypothesis

**Geometry is not the only thing, but it is the most important thing**

**Connolly**