

DE LA RECHERCHE À L'INDUSTRIE



Exploration of the energy landscape with ABINIT : String Method, NEB, Free Energy

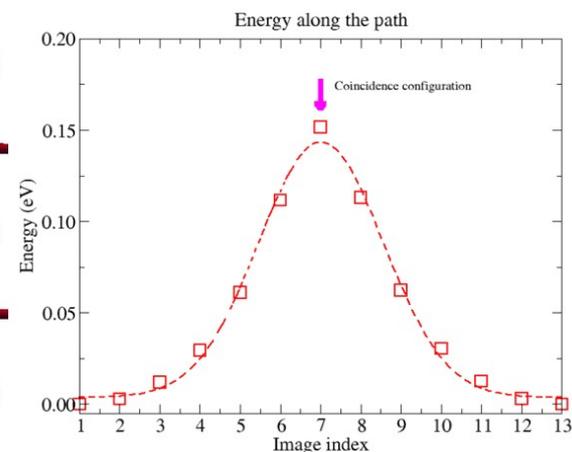
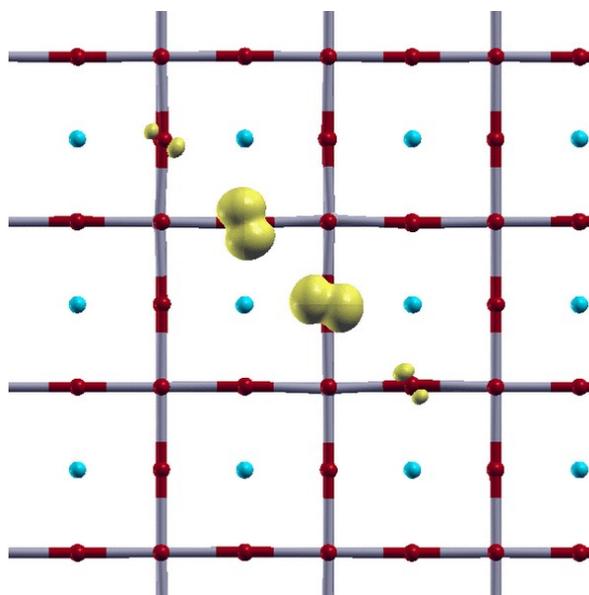


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1 – Introduction

2 – Minimum Energy Paths (MEPs)

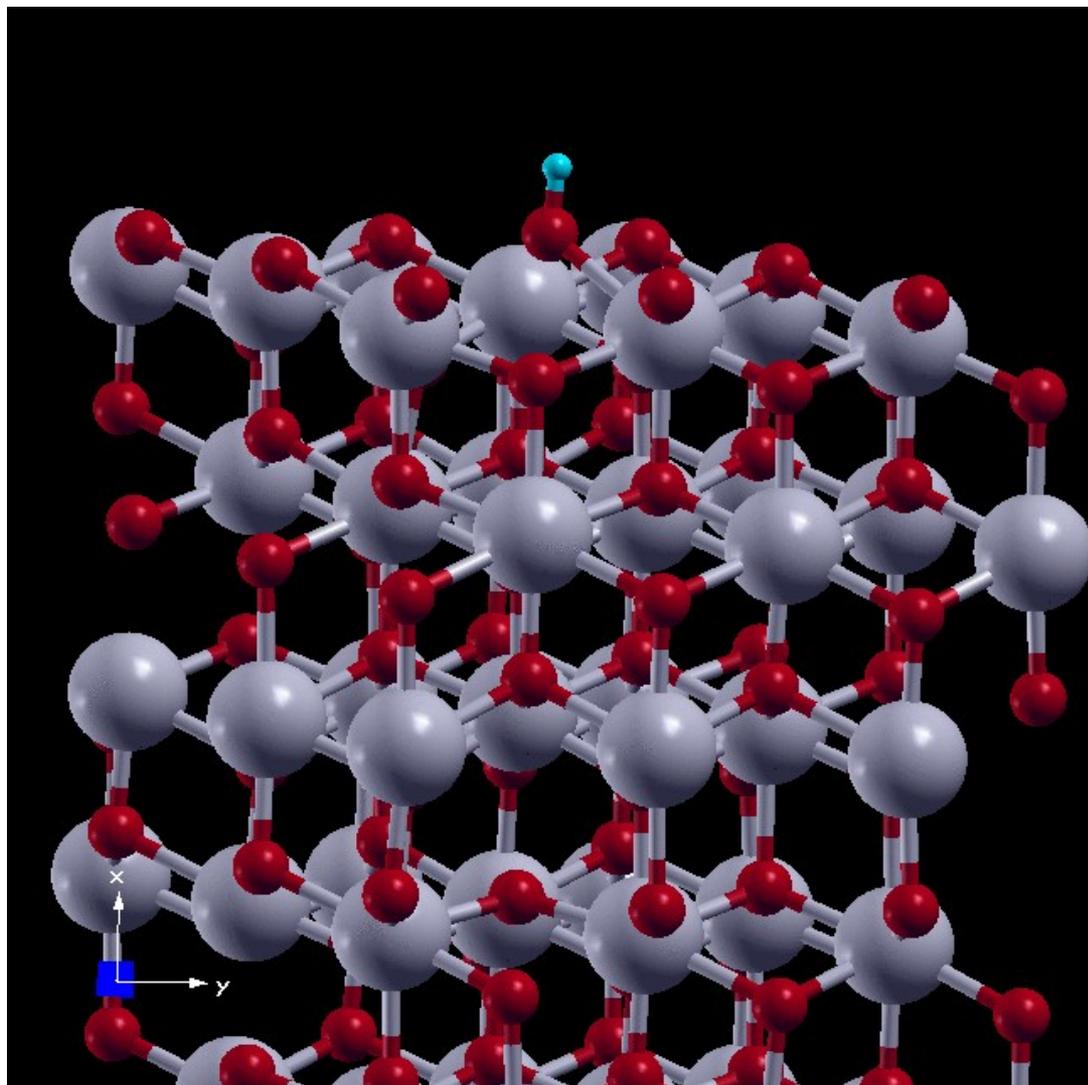
- 2.a The String Method (SM)**
- 2.b The Nudged Elastic Band (NEB)**

3 – Examples : physical systems

- 3.a Hopping of a defect in a solid**
- 3.b Hopping of a small polaron**

4 – Thermal effects : free energy landscape

5 – Conclusion



Proton transfer
between two O atoms
of a O-ZrO₂(111)
Surface

(String Method)

Yesterday, you have learnt how to perform **STRUCTURAL OPTIMIZATIONS** with ABINIT
= how to obtain **(local) minima** of the **energy landscape** in configuration space.

What happens inbetween ?

There are specific physical problems in which the energy landscape between the minima is important and plays a role.

Example : Transition between two local minima of the energy landscape
According to **Transition State Theory (TST)**, the transition **rate**,
if the mechanism is **THERMALLY ACTIVATED**
(thermal overbarrier motion),
is controlled by an ENERGY BARRIER

$$k = k_0 e^{-E_a/k_B T}$$

TST : activation energy ~ free energy barrier

=> approximated by a static (« T=0K ») barrier ΔE

ΔE can be obtained by **computing the MEP**

$$\Delta E = E(\text{saddle point}) - E(\text{Min})$$

Prefactor ?

Harmonic Transition State Theory :

Classical framework:

$$k_0 = \frac{\prod_{i=1}^{3N-3} \nu_i^{\text{Min}}}{\prod_{i=1}^{3N-4} \nu_i^{\text{Saddle}}}$$

« attempt frequency »

Phonon frequencies in the stable (initial) configuration of the 3N-3 modes (acoustic modes excluded)

Phonon frequencies in the Saddle point configuration of the 3N-4 modes (acoustic modes + imaginary mode excluded)

Quantum corrections :

$$\Delta E^{qm} = E(\text{saddle}) - E(\text{min}) + \frac{1}{2} \sum_i^{3N-4} h \nu_i^{\text{Saddle}} - \frac{1}{2} \sum_i^{3N-3} h \nu_i^{\text{Min}}$$

$$k_0^{qm} = \frac{k_B T}{h} \frac{\prod_i^{3N-3} [1 - e^{-h \nu_i^{\text{Saddle}} / k_B T}]}{\prod_i^{3N-4} [1 - e^{-h \nu_i^{\text{Min}} / k_B T}]}$$

Thermal overbarrier regime but quantization of vibration modes taken into account.

High-temperature limit ($k_B T \gg h\nu_i$) :

$$k_0^{qm} \rightarrow k_0$$

Low-temperature limit ($k_B T \ll h\nu_i$) :

$$k_0^{qm} \rightarrow \frac{k_B T}{h} \quad k \rightarrow \frac{k_B T}{h} e^{-\Delta E^{qm}/k_B T}$$

NB1 : the regime remains thermal overbarrier (no tunneling)

NB2 : at very low temperature, one might have a quantum tunneling regime (requires specific modeling ! e.g. Flynn-Stoneham formula)

Ex : diffusion of H atoms in metals (e.g. in Nb or Ta below ~ 200 K)

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2 – Minimum Energy Paths (MEPs)

Path between two local minima (stable or metastable configurations) in configuration space, that involves the smallest possible energy barrier.

There are **two main algorithms** allowing computation of MEPs :
String Method (SM) & **Nudged Elastic Band** (NEB)

Computing a MEP requires to sample the path between the two minima
=> the path is **discretized**: it is approximated by **a finite number of intermediate configurations**

Needs replicas of the system => performed using keyword **imgmov**

String Method : **imgmov 2**

NEB : **imgmov 5**

Number of replicas (intermediate configurations) along the path : **nimage**

Maximal number of steps for SM/NEB : **ntimimage**

Tolerance criterion for convergence : **tolimg**

(energy difference with previous step, per image)

2 – Minimum Energy Paths (MEPs)

String Method & NEB :

Path computed between two local minima =

Two optimized configurations (that have been obtained before, e.g. by a structural optimization !) => **xred_1img** & **xred_lastimg**

Allows determination of **energy barriers**

(fundamental to evaluate rate of thermally-activated mechanisms)

Other keywords :

dynimage(nimage): 0 if fixed image, 1 if evolving

=> 0 for first and last image, 1 for intermediate images

Parallelization over images : **npimage** (recommended = **nimage**)

Precise optionnally

fxcartfactor: « time step »

string_algo : 1 by default, Simplified String Method, 2 (energy-weighted arc length)

neb_algo : 0, 1 (NEB + improved tangent, default), 2 : CI-NEB

The MEP should be CONVERGED with the number of images

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SM : Iterative procedure in which each iteration consists of two steps:

Step 1: evolution

Positions are modified following the forces:

For image (s): $x_{i,\alpha}^{(s)}(n+1) = x_{i,\alpha}^{(s)}(n) + fxcartfactor \times f_{i,\alpha}^{(s)}(n)$

with
$$f_{i,\alpha}^{(s)}(n) = -\frac{\partial E_{tot}^{(s)}(n)}{\partial x_{i,\alpha}^{(s)}}$$

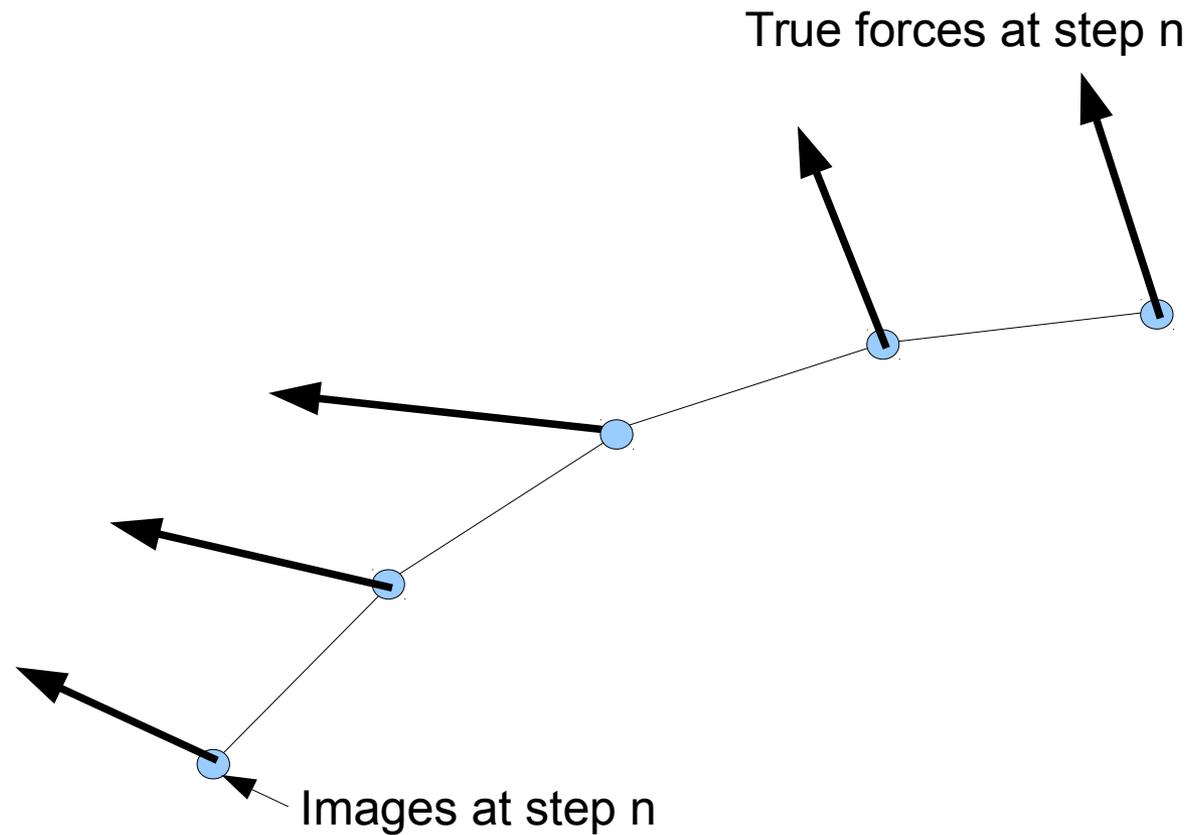
(present implementation = steepest-descent)

Step 2: reparametrization

The images are equally redistributed along the string

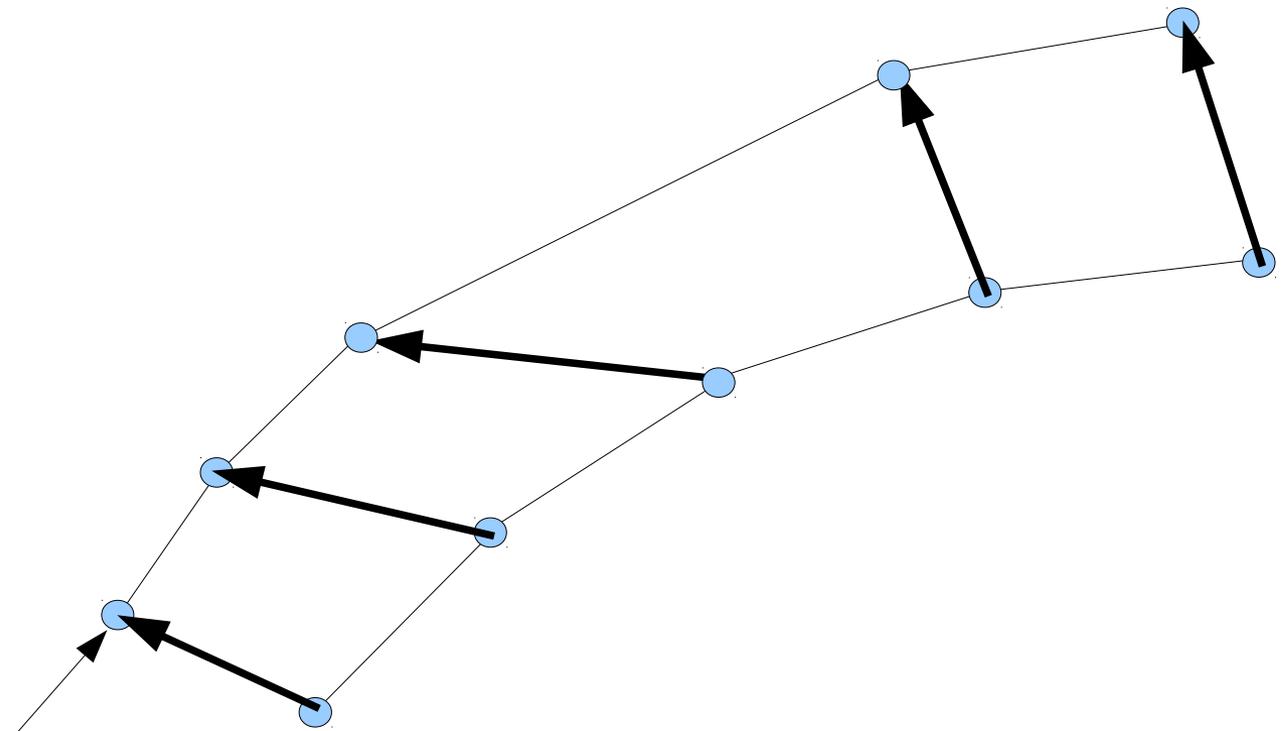
2.a The String Method

Example (2D):



2.a The String Method

Example (2D):

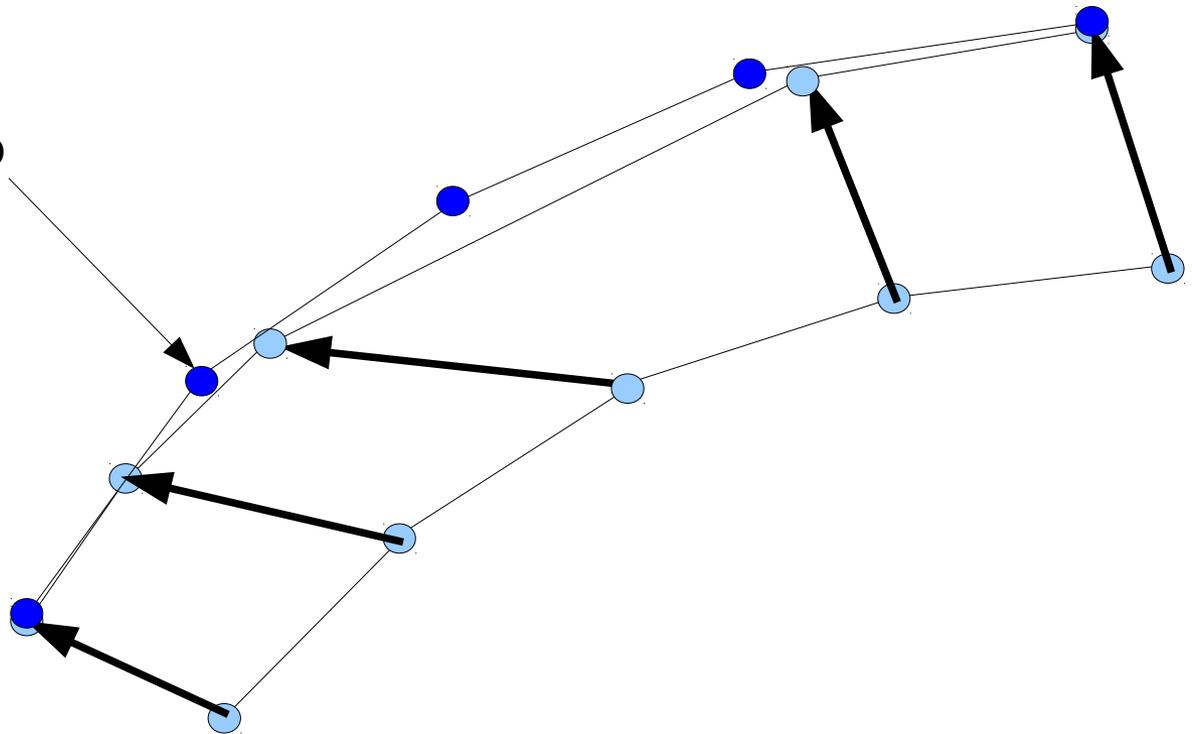


Step n+1: evolution step

2.a The String Method

Example (2D):

Step $n+1$:
reparametrization step
 \Rightarrow Images at step $n+1$



2.a The String Method

Example (the one of the Tutorial) : Hopping of a proton between a H₂O and a NH₃ molecules, supposed at fixed (arbitrary) distance.

```
#Cell and atoms
acell 10.0 5.0 5.0 Angstrom
natom 8 # Number of atoms
ntypat 3 3 3 2 3 3 3 3 # Type of atoms (H2O + NH3 + H)
znucl 8.0 7.0 1.0 # Z of atoms
natfix 2 iatfix 1 4 # Keep O and N atoms fixed

#parallelization
#paral_kgb 1 npimage 10 npband 10 npfft 2 bandpp 1

#options for printing
prtwf 0 # Option for WF printing
prtden 0 # Option for density printing
prteig 0 # Option for eigvalues printing

#ground state
ecut 20 pawecutdg 40
toldff 5.0d-7 # Stopping criterion of SCF cycle
nstep 50
nband 10 # Number of bands to compute
occopt 1 # Occupations scheme
kptopt 0 # Scheme for k-points generation
nkpt 1 kpt 0.0 0.0 0.0 # Explicit k-point (gamma point)

#XC
ixc -001009 # Select LDA XC functional (LDA PZ from LibXC)

nsym 1 # No symmetry
charge 1.0 # Charge of the simulation cell
```

```
#String Method
xangst 0.0000000000E+00 0.0000000000E+00 0.0000000000E+00
-3.7593832509E-01 -2.8581911534E-01 8.7109635973E-01
-3.8439081179E-01 8.6764073738E-01 -2.8530130333E-01
4.0000000000E+00 0.0000000000E+00 0.0000000000E+00
4.3461703447E+00 -9.9808458269E-02 -9.5466143436E-01
4.3190273240E+00 -7.8675247603E-01 5.6699786920E-01
4.3411410402E+00 8.7383785043E-01 4.0224838603E-01
1.0280313162E+00 2.2598784215E-02 1.5561763093E-02

xangst_lastimg 0.0000000000E+00 0.0000000000E+00 0.0000000000E+00
-3.0400286349E-01 -1.9039526061E-01 9.0873550186E-01
-3.2251946581E-01 9.0284480687E-01 -1.8824324581E-01
4.0000000000E+00 0.0000000000E+00 0.0000000000E+00
4.4876385468E+00 -1.4925704575E-01 -8.9716581956E-01
4.2142401901E+00 -7.8694929117E-01 6.3097154506E-01
4.3498225718E+00 8.7106686509E-01 4.2709343135E-01
2.9570301511E+00 5.5992672027E-02 -1.3560839453E-01

nimage 12 # Number of images along the string
imgmov 2 #String Method
ntimimage 100 # Max. number of relaxation steps of the string
tolimg 0.0001 # Tol. criterion (will stop when average energy of cells < tolimg)
dynimage 0 10*1 0 # Keep first and last images fixed
fxcartfactor 1.0 # Time step for evolution step of string metho
prtvolling 0 # Printing volume (0=full, 1=intermediate, 2=minimal)
```

2.a The String Method

If no particular assumption about symmetries along the MEP :
=> set **nsym** 1

Keywords to atomic positions :

First image : **xred_1img** or simply **xred**

Last image : **xred_lastimg** or **xred_9image** (if nimage=9)

xred can be replaced by **xangst** or **xcart**

You can specify intermediate points

SM performed under FIXED lattice vectors !

(no relaxation for the cell along the MEP, the cell is fixed ;

It is the same for all the images)

2.a The String Method

First step of SM : ABINIT interpolates linearly between the images specified in the input file

Fixed images :

The first and last images are fixed (do not evolve) and must correspond to optimized configurations previously obtained.

By default :

dynimage 0 1 1 1 1 0

string_algo

1 : default, Simplified String Method,

2 : « energy-weighted arc length », must give a finer distribution of the images near the saddle point

Symmetric path : it's better using an **odd** number of images !

2.a The String Method

Strong point :

string_algo = 1

Images equidistant along the MEP => the index of the image is proportional to the distance along the MEP

=> index of the image = ideal reaction coordinate !

Rq : this is also the case for the NEB using **neb_algo** 1

There is physical information not only at the saddle point !
(see below polaron and proton transfers)

NB : **in some favorable cases**, you need not compute the MEP to have the Barrier ! i.e. if you can constrain the saddle point, e.g. with symmetries !
(structural opt with symmetry constraints can give you directly the saddle point)

Unfortunately, this is rarely the case...

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Nudged Elastic Band method (NEB):

- construct **nimage** images intermediate between the initial and the final configuration (*previously optimized*)

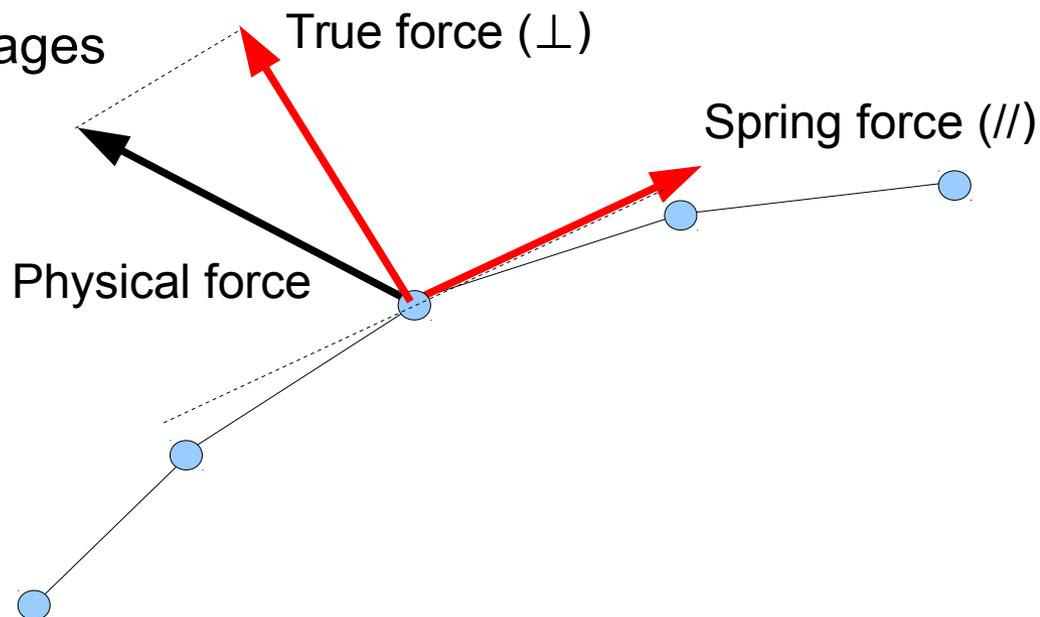
- add spring forces between the images

- evolve images according to

a) projection of spring forces parallel to the tangent

+

b) projection of physical forces perpendicular to the tangent



neb_algo 1 : the spring constant is the same for all images and ensures equal spacing of the images along the MEP.

2.b The Nudged Elastic Band (NEB)

Keywords for NEB :

imgmov 5

neb_algo 0 : original method

1 : NEB + improved tangent* (default value)

(improved calculation of tangent direction, modifies the spring force acting on the images)

2 : CI-NEB : Climbing-image NEB (algo seems to be broken...)

neb_spring : minimal and maximal values of the spring constant connecting images for the NEB method. For **neb_algo** 1, it is constant, for **neb_algo** 2 it can vary.

Related to CI-NEB :

cinestart : 1st iteration at which the CI-NEB begins (default=7)

(several iterations of standard NEB first performed to find the highest-energy image)

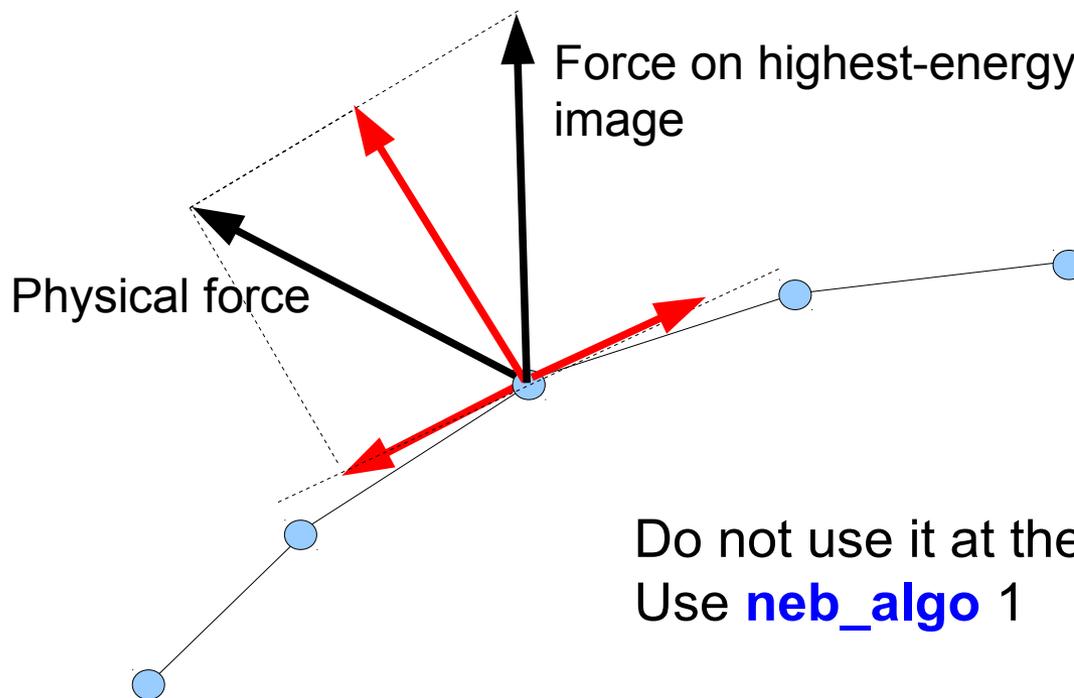
2.b The Nudged Elastic Band (NEB)

Principle of the CI-NEB :

The highest-energy image is forced to come at the saddle point by inverting the // component of the physical force on it.

To identify this image, a number of iterations (**cineb_start**) of standard NEB is first performed. No spring force on this highest-energy image.

Spring constants are variable.



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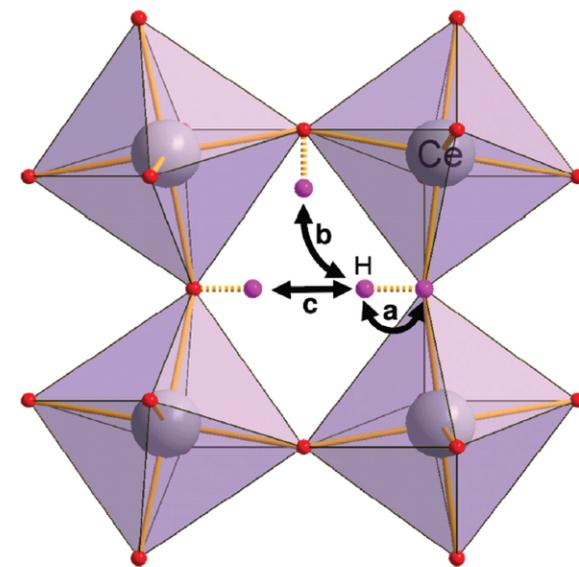
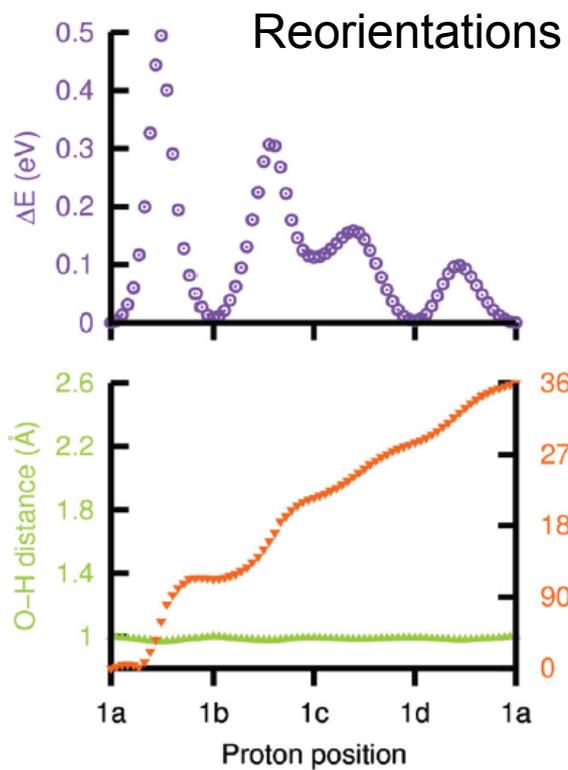
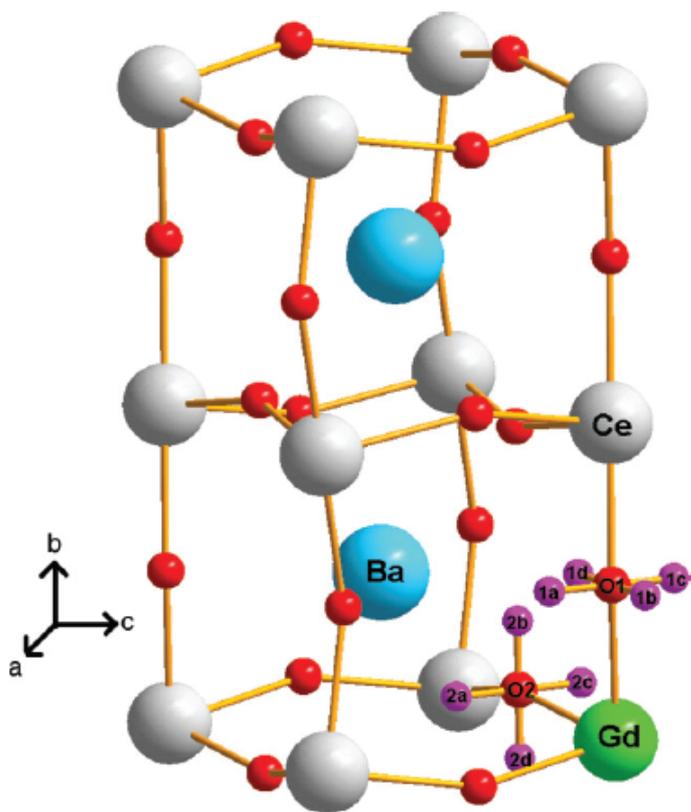
- 3.b Hopping of a small polaron

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3.a Hopping of a defect in a solid

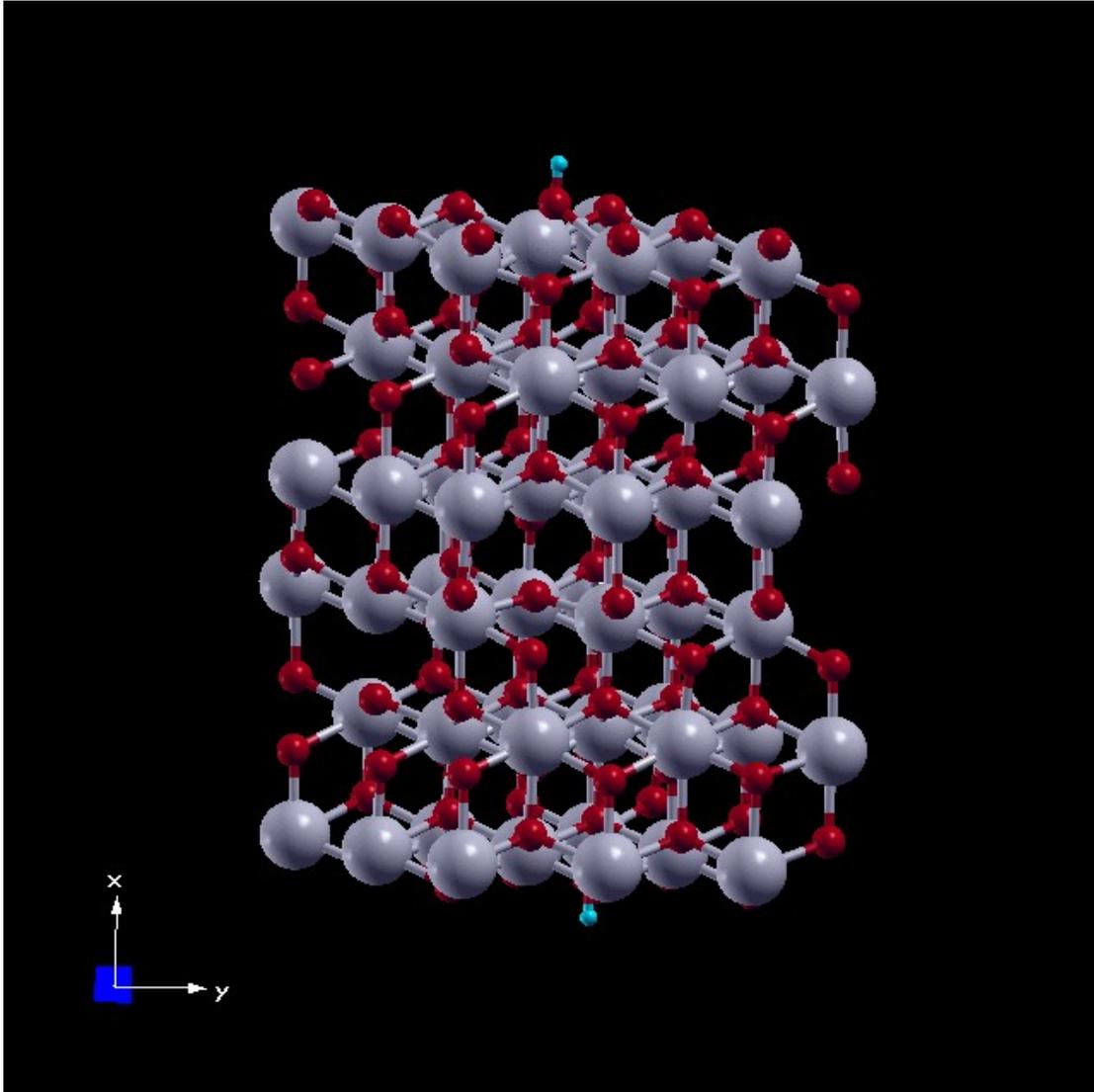
Hoppings and reorientations of protons in Gd:BaCeO₃



PhD J. Hermet

3.a Hopping of a defect in a solid

Proton transfer on the O-ZrO₂(111) surface



nimage 11
(9 evolving)

motions of the two oxygens

Proton transfer made possible by
« cooperative » motion
of the two oxygens

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3.b Hopping of a small polaron

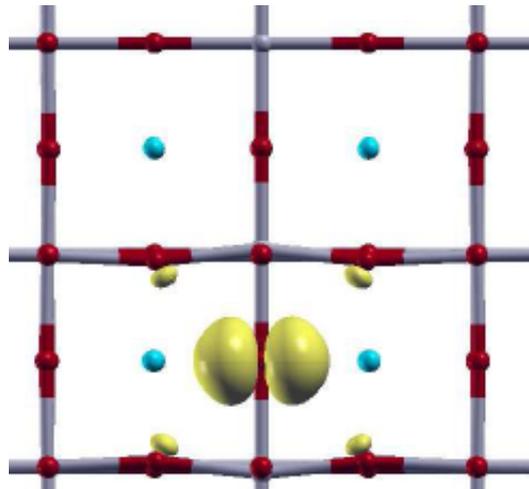
When an electron or a hole is released in the lattice of an insulator (e.g. by a point defect), it may localize on a single atom, instead of staying in a Bloch like delocalized band state = small polaron.

=> the crystal around is distorted (polarized), which in return creates a potential favorable to the localization of the electron(or hole)
= **SELF-TRAPPING**

Energy of the relaxed polaronic configuration minus energy of the configuration with perfect crystal and delocalized electron/hole = **self-trapping energy**
The small polaron is stable if the self-trapping energy is negative.

Ex : oxygen-type hole polaron
in BaSnO_3

(DFT+U with
U on oxygen p)



3.b Hopping of a small polaron

Small polarons may diffuse in the lattice, by hopping from an atom onto another ; their hopping rate is usually **thermally activated**.

$$r = r_0 e^{-E_a/k_B T}$$

=> Hopping requires to overcome an energy barrier ; which one ?

It is not the electron/hole that overcomes an energy barrier (the electron gas is supposed to stay in its ground state, thus no thermal agitation for the electron gas) => tunneling ?

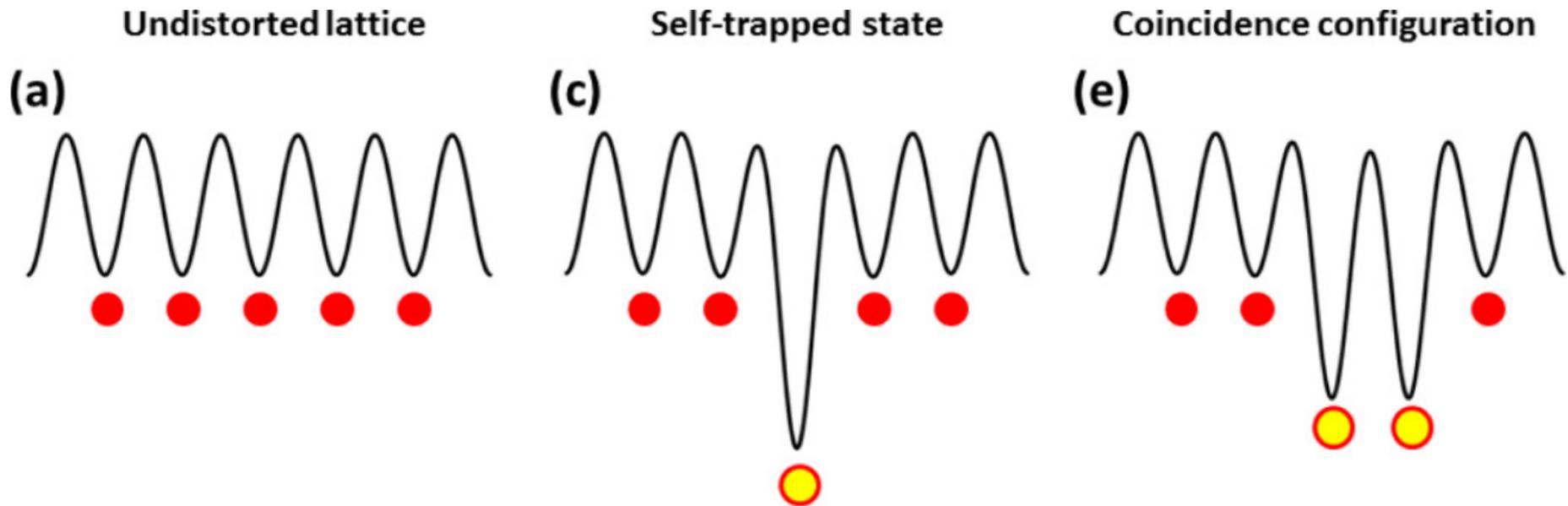
Self-trapped configuration : tunneling impossible !

Resonant tunneling possible in specific configurations in which the levels on either side of the electronic barrier are in coincidence
= **coincidence configurations (CC)**.

These configurations have energy $\sim E_c$ and occur by the thermal fluctuations of the lattice atoms

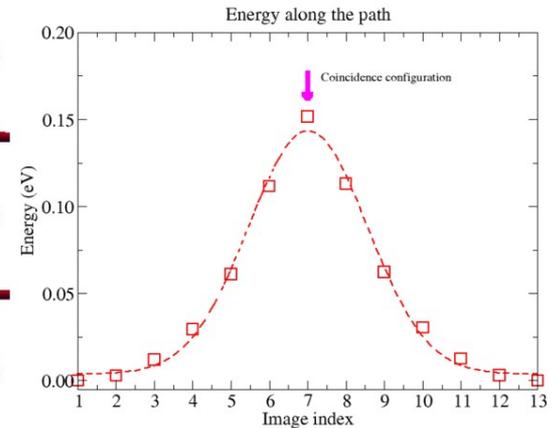
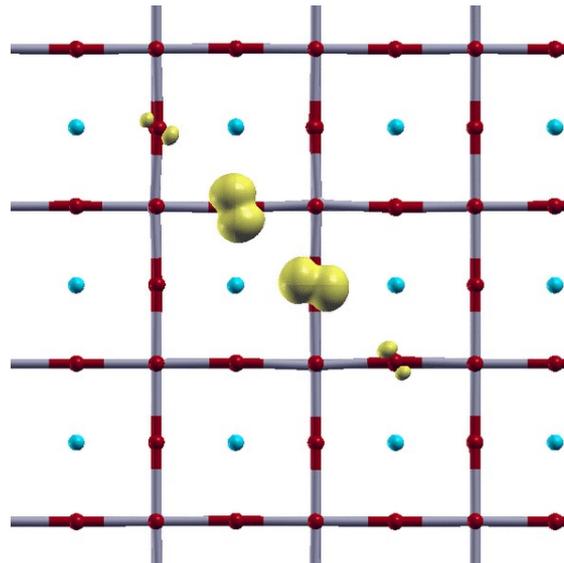
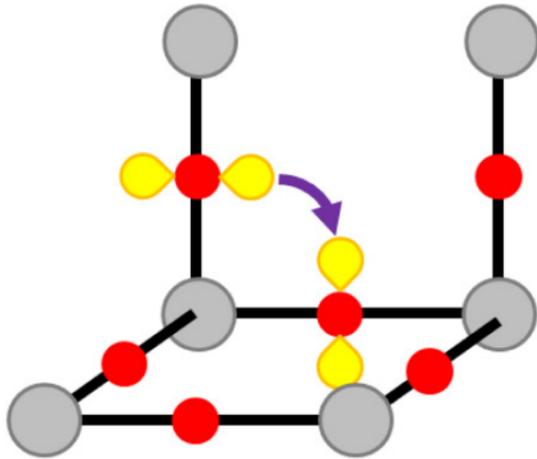
$$r \sim r_0 e^{-E_c/k_B T}$$

3.b Hopping of a small polaron

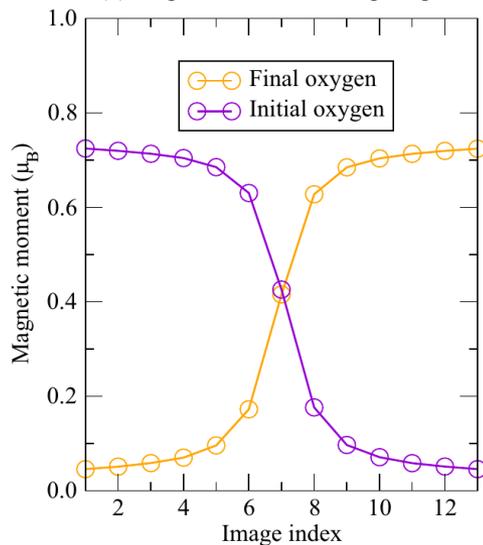


3.b Hopping of a small polaron

Case of the oxygen-type hole polaron in BaSnO3



(b) Magnetic moments along the path



Warning :

- DFT calculation assumes the polaron in its ground state all along the path
- this may not be the case in reality
- because the tunneling transfer in the CC can be long (if electronic coupling is weak)

3.b Hopping of a small polaron

If the polaron **has the time to adjust** to the lattice configuration (i.e. adiabatic approximation OK along the MEP)

=> **adiabatic transfer**

$$r \sim r_0 e^{-E_c/k_B T}$$

Controlled by lattice vibrations

If the polaron **has the NOT time** to adjust to the lattice configuration (i.e. adiabatic approximation not valid anymore near the CC)

=> **non-adiabatic transfer :**

- the polaron may not have the time to cross, and remains on the starting site
- many occurrences of the CC are necessary before transfer occurs
- at CC, the polaron is not in an (adiabatic) eigenstate
- prefactor controlled by tunneling of the hole at CC (usually \ll that of lattice vibrations)

Requires to know the electronic coupling at CC (not provided by NEB)
 = $[E(1\text{st excited state}) - E(\text{GS})]/2$ at CC

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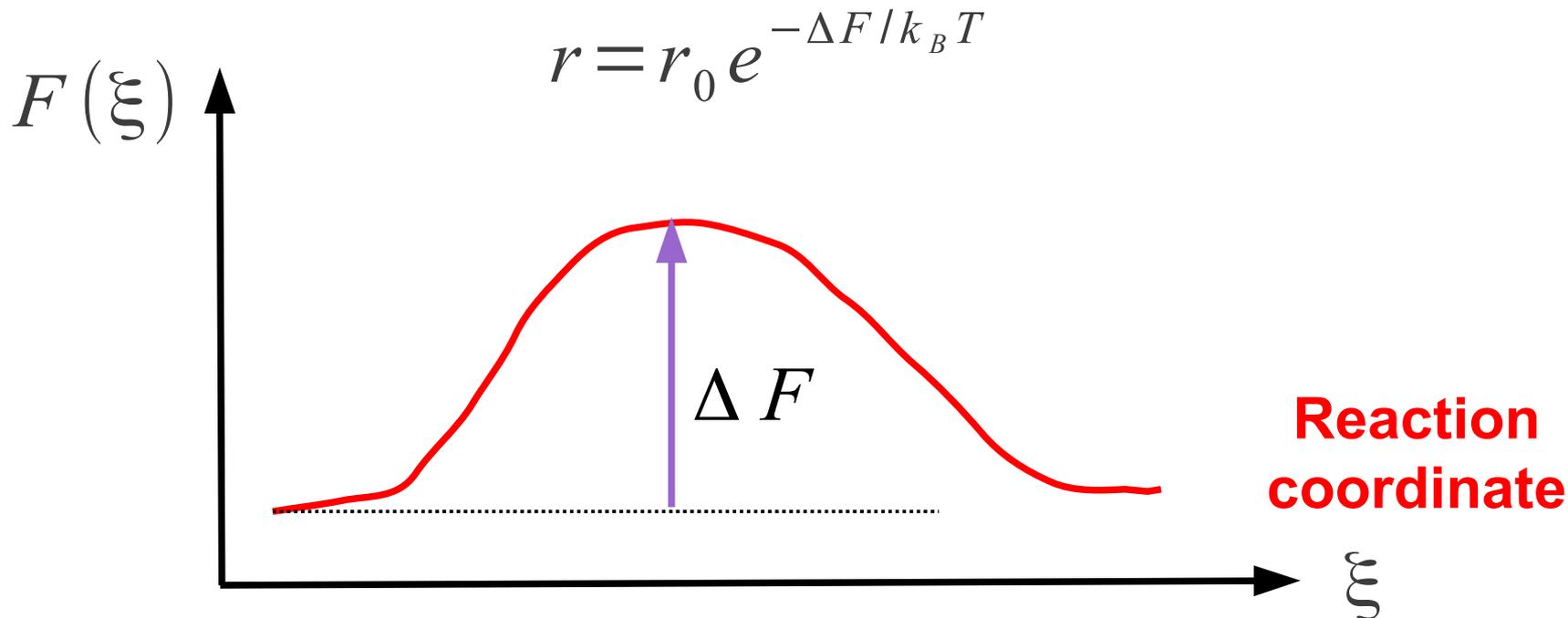
5 – Conclusion

4 – Thermal effects : free energy landscape

MEPs (String Method, NEB) provide a « **static** » barrier.

This static barrier is free of thermal and/or quantum effects.

=> TST normally involves a « free energy » barrier in the expression of the **transition rate** :



4 – Thermal effects : free energy landscape

How to obtain this free energy barrier ?

Remember that the free energy as a function a reaction coordinate ξ is related to the density of probability of this reaction coordinate ξ , as

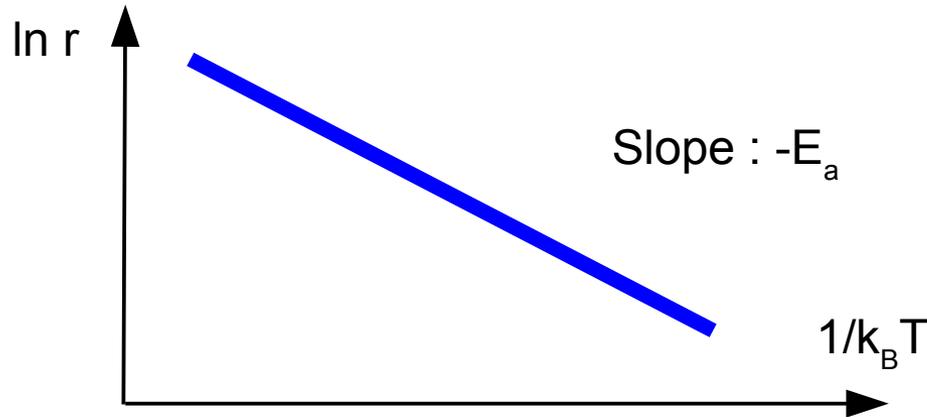
$$F(\xi) - F(\xi_0) = -k_B T \ln \frac{P(\xi)}{P(\xi_0)}$$

With $P(\xi)$ the density of probability of ξ at thermodynamic equilibrium :

$$P(\xi) \propto C \int \dots \int_{\{x_{i\alpha}\}} \delta(\xi(\{x_{i\alpha}\}) - \xi) e^{-V(\{x_{i\alpha}\})/k_B T} dX$$

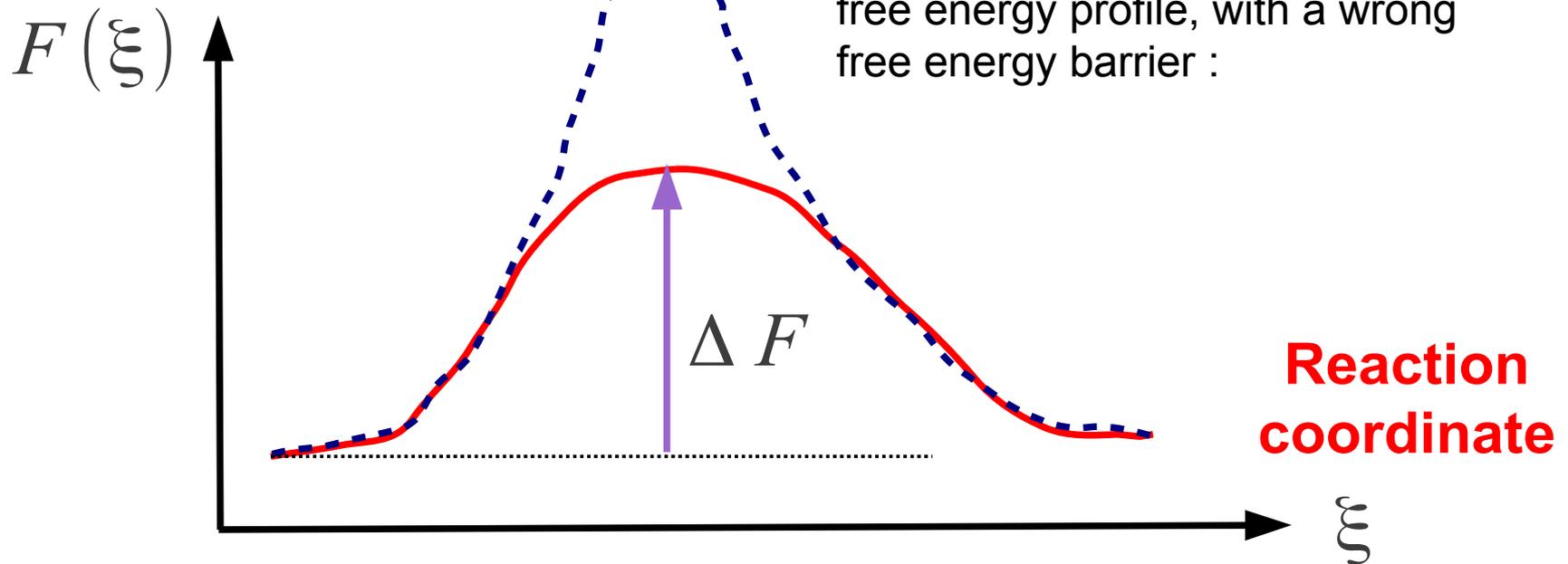
1st possibility : make very long MD runs, at various temperatures, and count the events ! Then plot the log of the rate as a function of $1/T$: The slope should be minus the activation energy !

4 – Thermal effects : free energy landscape



Unfortunately, this is rarely POSSIBLE because the statistics will be too bad, especially if the barrier is large w/r to kT !

You will not sample correctly the high free energy (=low proba) regions and may obtain an erroneous free energy profile, with a wrong free energy barrier :



4 – Thermal effects : free energy landscape

Chemists have treated and solved this problem since a long time !

« **Blue-Moon** » **ensemble** : Method to simulate the occurrence of **RARE** events within Molecular Dynamics (MD)

- simulate each step of the event by « **forcing** » ξ to take a chosen value :

=> MD under (holonomic) constraint of FIXED ξ

Method of Lagrange multipliers

- Obtain for each value of ξ the derivative of the free energy

« mean force » on the constraint :

$$-\frac{dF}{d\xi}$$

- recover the (free) energy profile by (thermodynamic) integration :

$$\Delta F = F(\xi) - F(\xi_0) = \int_{\xi_0}^{\xi} \frac{dF}{d\xi}(\xi') d\xi'$$

4 – Thermal effects : free energy landscape

General case :

$$\xi \left(\{ x_{i\alpha} \} \right)$$

$$\frac{dF}{d\xi} = \frac{\langle Z^{-1/2} (-\lambda + k_B T G) \rangle_{\xi}}{\langle Z^{-1/2} \rangle_{\xi}}$$

with :

$$Z = \sum_{i=1}^N \frac{1}{m_i} \left(\frac{\partial \xi}{\partial \vec{r}_i} \right)^2$$

$$G = \frac{1}{Z^2} \sum_{i=1}^N \sum_{j=1}^N \frac{1}{m_i m_j} \frac{\partial \xi}{\partial \vec{r}_i} \frac{\partial^2 \xi}{\partial \vec{r}_i \partial \vec{r}_j} \frac{\partial \xi}{\partial \vec{r}_j}$$

**Time average
under fixed ξ
(constrained MD)**
= « blue-moon »
ensemble
average

$$F(\xi_2) - F(\xi_1) = \int_{\xi_1}^{\xi_2} \frac{dF}{d\xi}(\xi') d\xi'$$

4 – Thermal effects : free energy landscape

Implementation **in ABINIT of the LINEAR constraint**

i.e. linear combination between atomic positions

$$\xi(\{x_{i\alpha}\}) = \sum_{i\alpha} a_{i\alpha} x_{i\alpha}$$

Real coefficients

1) *Lagrangian with constraints*

$$L = [T(\{\dot{x}_{i\alpha}\}) - V(\{x_{i\alpha}\})] - \lambda [\sum_{i\alpha} a_{i\alpha} x_{i\alpha} - \xi]$$

2) *Apply Euler-Lagrange equations :*

$$m_i \frac{d^2 x_{i\alpha}}{dt^2} = f_{i\alpha} - \lambda a_{i\alpha}$$

Lagrange multiplier computed at each step as

$$\lambda(t) = \frac{\sum_{i\alpha} a_{i\alpha} \frac{f_{i\alpha}(t)}{m_i}}{\sum_{i\alpha} \frac{a_{i\alpha}^2}{m_i}}$$

3) *Derivative of the free energy :*

$$\frac{dF}{d\xi} = -\langle \lambda \rangle_{\xi} = -\frac{\sum_{i\alpha} \frac{a_{i\alpha}}{m_i} \langle f_{i\alpha} \rangle_{\xi}}{\sum_{i\alpha} \frac{a_{i\alpha}^2}{m_i}}$$

4 – Thermal effects : free energy landscape

- **Physically acceptable** linear constraints satisfy : $\sum_{i\alpha} a_{i\alpha} = 0$

- However, even if $\sum_{i\alpha} a_{i\alpha} \neq 0$, a supplemental constraint has been added to ensure that center of mass does not move.

- Value of the constraint ξ : **FIXED** by **INITIAL** set of positions.

- Initialization of the velocities :

The initial velocities must be modified to ensure that the constraint is obeyed, i.e.

$$\sum_{i\alpha} a_{i\alpha} \frac{d x_{i\alpha}}{dt} = 0$$

- Implemented in the routine **pimd_apply_constraint** (m_pimd.F90).

- PIMD : the constraint is applied on the centroid.

4 – Thermal effects : free energy landscape

- The constraint is **STRICTLY** obeyed all along the MD trajectory (at EACH step, NOT on average)

Ex :

- Reaction coordinate = -36.5852098477

- the Center of mass is also strictly FIXED

Center of mass:

4.6876358799 6.5991695708 4.6808066009

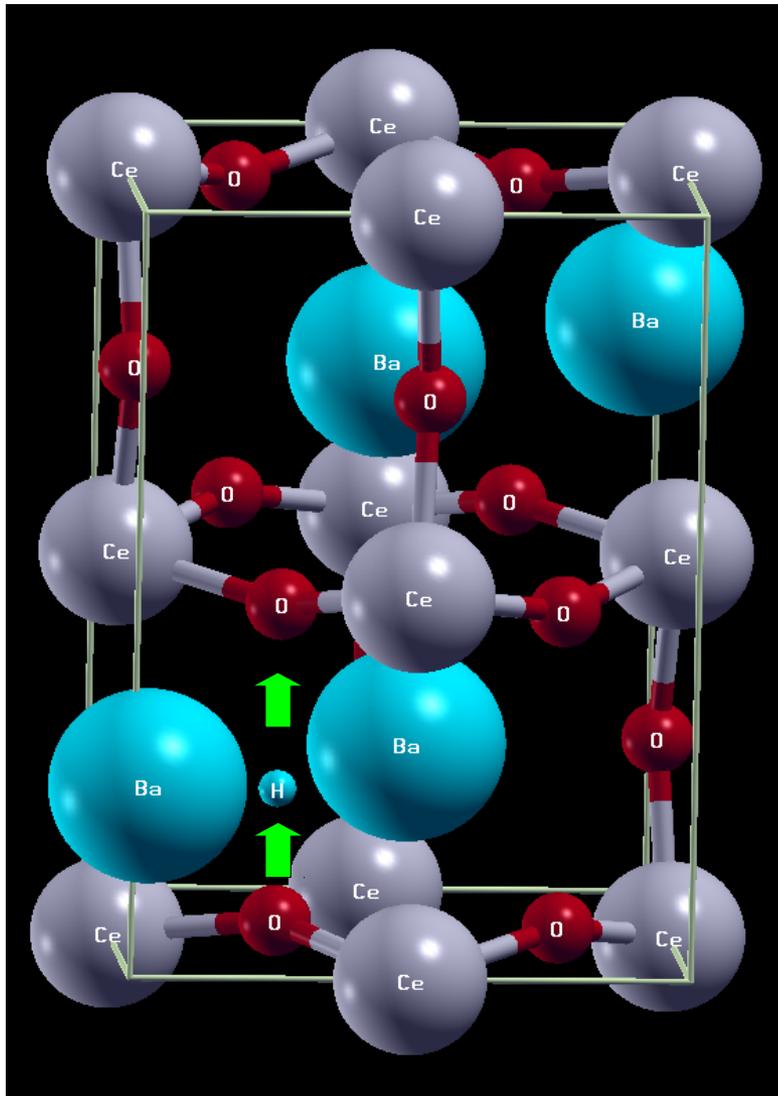
Center of mass:

4.6876358799 6.5991695708 4.6808066009

Center of mass:

4.6876358799 6.5991695708 4.6808066009

4 – Thermal effects : free energy landscape



Example :

BaCeO₃ : orthorhombic perovskite
Pnma space group

Excellent protonic conductor

Inter-octahedral transfer of H⁺

Cell = 20 atoms

Reaction coordinate : $(O_1H)_y - (O_2H)_y$
 $= y(H) - y(O_1) - [y(O_2) - y(H)]$

PIMD, T=200 K

P=32 beads

4 – Thermal effects : free energy landscape

Example of input file of constrained PIMD

PARALLELIZATION

=> 864 procs

paral_kgb 1
nkppt 9
npband 3
npfft 1
npimage 32

PIMD/MD

optcell 0
irandom 3
restartxf -1
imgmov 9 # langevin PIMD
ntimimage 10000
nimage 32
mdtemp 400 200
vis 5d-05
dynimage 32*1
nsym 1
pitransform 0
amu 140 16 138 1 # ce o ba h
pimass 140 16 138 1
dtion 10

CONSTRAINTS

pimd_constraint 1
nconeq 1
natcon 3
iatcon 5 20 1 #ox1 ox2 hydrogen
wtatcon
0.0 -1.0 0.0 0.0 -1.0 0.0 0.0 2.0 0.0

ground state

nband 111
occopt 3
tsmear 0.001
pawovlp -1
ixc 11
ecut 18.0
pawecutdg 25.0
kptopt 1
ngkpt 3 2 3
nstep 100
toldff 1.0d-05
prtden 0
prtwf 0

charge 1.0

atoms

znucl 58 8 56 1
ntypat 4
natom 21
typat
4 3 1 2 2 3 2 2 3 3 1 1 1 2 2 2 2 2 2 2

cell and atomic positions

acell 11.941471 16.813056 11.913748

xred

0.279	0.216	0.723 #yH to be varied
2.5108646807E-02	2.5000000000E-01	-8.0469316958E-03
-1.3877787808E-17	-9.7144514655E-17	5.0000000000E-01
4.8011508619E-01	2.5000000000E-01	7.9658009587E-02
2.7974388262E-01	4.3160947462E-02	7.2102708776E-01 #ox1
9.7489135319E-01	7.5000000000E-01	1.0080469317E+00
5.1988491381E-01	7.5000000000E-01	9.2034199041E-01
7.2025611738E-01	9.5683905254E-01	2.7897291224E-01
5.2510864681E-01	2.5000000000E-01	5.0804693170E-01
4.7489135319E-01	7.5000000000E-01	4.9195306830E-01
5.0000000000E-01	5.0000000000E-01	-6.9388939039E-17
-1.3877787808E-17	5.0000000000E-01	5.0000000000E-01
5.0000000000E-01	-9.7144514655E-17	-6.9388939039E-17
9.8011508619E-01	2.5000000000E-01	4.2034199041E-01
1.9884913809E-02	7.5000000000E-01	5.7965800959E-01
7.7974388262E-01	4.5683905254E-01	7.7897291224E-01
7.2025611738E-01	5.4316094746E-01	2.7897291224E-01
2.2025611738E-01	9.5683905254E-01	2.2102708776E-01
2.2025611738E-01	5.4316094746E-01	2.2102708776E-01
2.7974388262E-01	4.5683905254E-01	7.2102708776E-01 #ox2
7.7974388262E-01	4.3160947462E-02	7.7897291224E-01



Thanks for your attention !