



The Leverhulme Research Centre for Functional Materials Design

Periodic packings in the light of crystal structure prediction.

First Year Progress Report

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Table of Contents



2 Packing

3 Preliminary results



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MOTIVATION

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Mathematical crystal

- A structure built of one or a few different kinds of discrete units, arranged in more or less modular fashion
- In our case the module is a space filling polyhedron.
- A model of a real crystal.



Figure: Left: Cubic module. Right: Cubic crystal

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Crystal structure prediction

- The calculation of crystal structures of solids from first principles (QED).
- Calculations are based on
 - Force field methods.
 - Density functional theory.
- In principle an optimization problem of finding structures with minimal energy.



Figure: Example of a molecular crystal module

Lennard-Jones potential

$$U_{LJ} = 4\epsilon \left(\frac{\sigma^{12}}{r^{12}} - \frac{\sigma^6}{r^6}\right)$$

- ϵ Lennard-Jones potential well depth.
- σ The finite distance at which the inter-particle potential is zero.
- *r* The distance between two particles.



Lennard-Jones potential stationary points

Potential for atoms:

$$U_{LJ} = \sum_{i < j} 4\epsilon_{ij} \left(\frac{\sigma_{ij}^{12}}{r_{ij}^{12}} - \frac{\sigma_{ij}^{6}}{r_{ij}^{6}} \right)$$

Potential for molecules:

$$U_{LJ} = \sum_{a \in A} \sum_{b \in B} 4\epsilon_{ab} \left(\frac{\sigma_{ab}^{12}}{r_{ab}^{12}} - \frac{\sigma_{ab}^{6}}{r_{ab}^{6}} \right)$$

	Stationary point index															
N	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
4	1	1	2	1	1	0	0									
5	1	2	4	6	6	2	1	0								
6	2	3	13	24	30	26	16	5	1	0						
7	4	12	44	98	168	190	168	101	45	11	1	0				
8	8	42	179	494	1000	1458	1619	1334	852	388	125	26	1	0		
9	21	165	867	2820	6729	12 093	16 292	16 578	13 226	8286	4053	1444	376	56	1	0
10	64	635	4074	16 407	46 277	97 183										
11	170	2424	17 109	47 068												
12	515	8607	27 957													
13	1509	28756	88 079													

Figure: Stationary points of U_{LJ} for atoms.

7/52

Energy vs. density

• Dense packed structures tend to have lower energies



Figure: T0 CSP Lattice energy landscape

Molecular packings

- Find dense packings of molecules approximated by polyhedra.
- Optimize packing density instead of energy.
- Use the resulting structures as starting positions in CSP.



Figure: (a) Organic cage molecule 3 crystal structure. (b) α -shape of organic cage molecule 3.

PACKING

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Packing 18th Hilbert problem

"How can one arrange most densely in space an infinite number of equal solids of given form, e.g. spheres with given radii or regular tetrahedra with given edges (or in prescribed position), that is, how can one so fit them together that the ratio of the filled to the unfilled space may be as great as possible?"

D. Hilbert, Mathematical problems, Bull. Amer. Math. Soc., vol. 8, pages 437-479, 1902.

Packing Definition

Definition

The system of sets S_1 , S_2 ,... is said to form a packing into the set S, if

$$egin{aligned} S_i \cap S_j &= \emptyset \ (i
eq j) \ &igcup_i S_i \subset S \end{aligned}$$

i.e if no two of the sets S_1 , S_2 ,... have any element in common and each element of the sets S_1 , S_2 ,... belongs to S.

Packing Our setting

- $S = E^3$
- S_1, S_2, \ldots is a finite collection or countably infinite of translates of rotations of a single compact set K.
- Translate of K is a set of all points k + a, where $k \in K$, and a is a fixed point or vector.
- Rotation is a set of all points Rk for $k \in K$ and $R \in SO(3) = \{A \in \mathbb{R}^{3 \times 3} : A^T A = I, \text{ det } A = 1\}.$



Figure: A packing with tetrahedra

Packing density

Definition The density $\rho(\mathcal{K})$ of the packing \mathcal{K} is

$$\rho(\mathcal{K}) = \limsup_{c \to \infty} \rho(\mathcal{K}, C)$$

where

$$ho(\mathcal{K}, \mathcal{C}) = rac{1}{ ext{vol}(\mathcal{C})} \sum_{(R_j \mathcal{K} + a_i) \cap \mathcal{C}
eq \emptyset} ext{vol}(R_j \mathcal{K} + a_i).$$

- $\{a_i\}$ be a sequence of points.
- $\{R_j : R_j \in SO(3)\}$ a collection of rotations.
- *K* a set with finite volume vol(*K*).
- C a cube with the edge length c.
- $\mathcal{K} = \{R_j \mathcal{K} + a_i\}$ a system of sets that forms a packing.
- If $\rho(\mathcal{K})$ is a packing then $0 \le \rho(\mathcal{K}) \le 1$.

Packing Lattice

Definition

Let $\mathbf{a_1}, \mathbf{a_2}, \dots, \mathbf{a_n}$ be n linearly independent vectors in \mathbf{E}^n . The set $\Lambda = \{u_1\mathbf{a_1} + u_2\mathbf{a_2} + \dots + u_n\mathbf{a_n} \mid u_i \in \mathbb{Z}\}$ is called a **lattice**.



Figure: A plane lattice

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Packing Lattice packing

Definition

A lattice packing \mathcal{K}_L is a system of translates of a given set K i.e.

$$\mathcal{K}_L = \{ K + \mathbf{a} \mid \mathbf{a} \in \Lambda \}$$

if it is a packing into the whole space.



Figure: The densest lattice packing with the tetrahedron.

Packing Periodic packing

Definition

A periodic packing \mathcal{K}_P is a system of translates and rotations of a given set \mathcal{K} , that is

$$\mathcal{K}_{P} = \{ R_{i}K + \mathbf{a_{i}} + \mathbf{b_{j}} \mid i = 1, 2, \dots, N; \ j = 1, 2, \dots \}$$

if it is a packing into the whole space.

- a_1, a_2, \ldots, a_N is a set of points
- $b_1, b_2, \ldots \in \Lambda$
- $R_1, R_2, \ldots, R_N \in SO(3).$

Packing

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Invariance of the packing density

Theorem

Let K be a bounded set with positive measure, let C be a cube (with its edges parallel to the coordinate axes) with edge-length s(C), and let T be a non-singular affine transformation. Let a_1, a_2, \ldots, a_N be a set of points, and let b_1, b_2, \ldots be the points of the lattice of all points that have integral multiples of s(C) for co-ordinates. Let \mathcal{K}_P be the periodic system of sets

$$K + \mathbf{a_i} + \mathbf{b_j}$$
 (*i* = 1, 2, ..., *N*; *j* = 1, 2, ...)

and let $T\mathcal{K}_P$ denote the system of sets

$$T(K + \mathbf{a_i} + \mathbf{b_j}) \ (i = 1, 2, ..., N; \ j = 1, 2, ...).$$

Then

$$\rho(\mathcal{TK}_{\mathcal{P}}) = \rho(\mathcal{K}_{\mathcal{P}}) = \frac{N \operatorname{vol}(\mathcal{K})}{\operatorname{vol}(\mathcal{C})}.$$

18/52

Packing Packing formulas

Lattice packing:

$$\rho(\mathcal{K}_L) = \frac{\operatorname{vol}(\mathcal{K})}{|\operatorname{det}(\Lambda)|}$$

Periodic packing:

$$ho(\mathcal{K}_P) = rac{N ext{vol}(K)}{|\det(\Lambda)|}$$

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Packing Problem statement

Find a periodic packing \mathcal{K}_{\max} of N congruent copies of a given set K such that

$$\mathcal{K}_{\mathsf{max}} = \operatorname*{argmax}_{\mathcal{K}_P}
ho(\mathcal{K}_P).$$

Packing

Bodies K for which the densest packing is known

BODY	SOURCE
Circular disk in \mathbb{E}^2	[Thu10]
Parallel body of a rectangle	[Fej67]
Intersection of two congruent circular disks	[Fej71]
Centrally symmetric n -gon (algorithm in $O(n)$ time)	[MS90]
Ball in \mathbb{E}^3	[Hal05]
Ball in \mathbb{E}^8	[Via17]
Ball in \mathbb{E}^{24}	[CKM17]
Truncated rhombic dodecahedron in \mathbb{E}^3	[Bez94]

Packing

Bodies $K \in \ {\boldsymbol{\mathsf{E}}}^3$ for which the densest lattice packing is known

BODY	$\delta_L(K)$	SOURCE
$\{x \mid x \le 1, x_3 \le \lambda\} (\lambda \le 1)$	$\pi(3-\lambda^2)^{1/2}/6$	[Cha50]
$\{x \mid x_i \le 1, x_1 + x_2 + x_3 \le \lambda\}$	$\left\{ \begin{array}{ll} \displaystyle \frac{9-\lambda^2}{9} & \text{for } 0 < \lambda \leq \frac{1}{2} \\ \displaystyle \frac{9\lambda(9-\lambda^2)}{4(-\lambda^3-3\lambda^2+24\lambda-1)} & \text{for } \frac{1}{2} \leq \lambda \leq 1 \\ \displaystyle \frac{9(\lambda^3-9\lambda^2+27\lambda-3)}{8\lambda(\lambda^2-9\lambda+27)} & \text{for } 1 \leq \lambda \leq 3 \end{array} \right.$	[Whi51]
$\{x \mid \sqrt{(x_1)^2 + (x_2)^2} + x_3 \le 1\}$	$\pi\sqrt{6}/9 = 0.8550332\dots$	[Whi48]
Tetrahedron	18/49 = 0.3673469	[Hoy70]
Octahedron	18/19 = 0.9473684	[Min04]
Dodecahedron	$(5 + \sqrt{5})/8 = 0.9045084\dots$	[BH00]
Icosahedron	0.8363574	[BH00]
Cuboctahedron	45/49 = 0.9183633	[BH00]
Icosidodecahedron	$(45 + 17\sqrt{5})/96 = 0.8647203$	[BH00]
Rhombic Cuboctahedron	$(16\sqrt{2} - 20)/3 = 0.8758056$	[BH00]
Rhombic Icosidodecahedron	$(768\sqrt{5} - 1290)/531 = 0.8047084\dots$	[BH00]
Truncated Cube	$9(5 - 3\sqrt{2})/7 = 0.9737476$	[BH00]
Truncated Dodecahedron	$(25 + 37\sqrt{5})/120 = 0.8977876$	[BH00]
Truncated Icosahedron	0.78498777	[BH00]
Truncated Cuboctahedron	0.8493732	[BH00]
Truncated Icosidodecahedron	$(19 + 10\sqrt{5})/50 = 0.8272135\dots$	[BH00]
Truncated Tetrahedron	207/304 = 0.6809210	[BH00]
Snub Cube	0.787699	[BH00]
Snub Dodecahedron	$0.7886401\ldots$	[BH00]

PRELIMINARY RESULTS

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Monte-Carlo molecular dynamics simulations

- First idea: use stochastic optimization.
- Well explored approach.
- For example by Salvatore Torquato and Yang Jiao
 S. Torquato and Y. Jiao, Dense packings of polyhedra: Platonic and Archimedean solids, Phys. Rev. E, vol. 80, 2009.

Torquato and Jiao packing algorithm

Algorithm:

- For N number of stages do
 - For M number of cycles do
 - For every polyhedron in a unit cell
 - With probability p translate the polyhedron in a random direction within the unit cell or with 1 p rotate the polyhedron around a random axis by a random angle.
 - \bullet Repeat until successful rotation/translation or until J number of attempts.
 - With probability p_u contract the unit cell or with the probability $1 p_u$ expand the unit cell by a random strain tensor. Repeat until success or until L number of attempts.

Restrictions:

- Only the centres of the packed objects have to be contained inside the unit cell.
- No overlaps between the objects in the unit cell and neighbouring unit cells.

Separating axis theorem

Theorem

Two convex polyhedra do not intersect if and only if there exists a separating plane which is either parallel to a face of one polyhedron or which is parallel to at least one edge of each polyhedron.

- A consequence of Minkowsky's Separating hyperplane theorem
- A and B do not overlap ⇔ orthogonal projections of A and B onto the normal of the separating hyperplane (separating axis) do not overlap.
- For two general polyhedrons with the same number of faces (*F*) and edges (*E*) there are $2F + E^2$ potential separating axes.
- Limits the overlap check only to convex sets.

Simulated annealing

27 / 52

We implemented the Torquato-Jiao packing algorithm in Julia programming language with a modification in the unit cell adaptation acceptance rate:

$$P(\mathcal{K}_t \leftarrow \mathcal{K}_{new}) = \begin{cases} 1 & \text{if } \Delta \rho > 0\\ e^{\frac{-\Delta \rho}{T_t}} & \text{if } \Delta \rho \leq 0 \end{cases}$$

where $\Delta \rho = \rho(\mathcal{K}_{new}) - \rho(\mathcal{K}_t)$.

Tetrahedra packing

Left: Initial density 0.06415, Right: Output density 0.67045.



Figure: Single unit cell



Figure: 27 unit cells

Currently the best achieved density is 0.856347

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Octahedra packing

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29 / 52

Left: Initial density 0.1667, Right: Output density 0.9178.



Figure: Single unit cell



Figure: 27 unit cells

Optimal lattice packing density 0.9474.



Pentacene modelling

- From a CSP dataset containing 586 pentacene structures we computed minimum euclidean distance between pentacene molecules within every crystal structure. min dist = 0.5573
- Around every pentacene atom we put 14 points uniformly placed on a sphere with the radius 0.5573/2.
- Computed the convex hull of the resulting point cloud.
- Resulting polyhedron defined by a triangulation with 58 vertices, 112 edges, 168 faces.



Figure: Pentacene

Pentacene modelling



Figure: (a) Centers of atoms of pentacene. (b) 14 points placed on a sphere with radius 0.5573/2. (c) Convex hull of the resulting point cloud with centres of pentacene atoms inside (red).

Pentacene modelling



Figure: (a) A model of the pentacene crystal structure from the CSP dataset. (b) The crystal structure where the minimum distance between two pentacene molecules is attained.

Pentacene packing



Figure: Densities of packings of (a) 1 $\rho\approx$ 1, (b) 2 $\rho\approx$ 1, (c) 4 $\rho=$ 0.8093 pentacene models.

Pentacene packing



Figure: Densities of packings of (a) 8 $\rho=$ 0.6940 and (b) 54 $\rho=$ 0.1521 pentacene models.

Mathematical programming formulation for the 2-simplex periodic packing problem

The model:

- $\Lambda = \left\{ p_1 u_1 + p_2 u_2 \mid p_1, p_2 \in [0, 1]; u_1, u_2 \in \mathbb{R}^2 \right\} \text{ a unit cell defined by}$ the set of generators $\overline{\Lambda} = \begin{pmatrix} u_{11} & u_{12} \\ u_{21} & u_{22} \end{pmatrix}$
- $T_0 = \left\{ \phi_1 \begin{pmatrix} 1 \\ 0 \end{pmatrix} + \phi_2 \begin{pmatrix} 0 \\ 1 \end{pmatrix} \begin{pmatrix} \frac{1}{3} \\ \frac{1}{3} \end{pmatrix} \mid 0 \le \phi_1 + \phi_2 \le 1 \right\}$ a 2-simplex centred at the origin.

Mathematical programming formulation for the 2-simplex periodic packing problem

The model (continued):

• *N* copies of T_0 translated by $c_k \in \mathbb{R}^2$ and rotated by $R_k \in SO(2)$:

$$T_k = \left\{ \overline{\Lambda} c_k + R_k p_0 \mid p_0 \in T_0 \right\}$$

where
$$c_k = \begin{pmatrix} x^k \\ y^k \end{pmatrix} \in [0, 1] \times [0, 1]$$
 and $R_k = \begin{pmatrix} \cos \theta_k & -\sin \theta_k \\ \sin \theta_k & \cos \theta_k \end{pmatrix}$ for $k = 1, 2, \dots, N$ and $\theta_k \in [0, 2\pi]$.

• Translates $T_k^{i,j}$ of T_k in the neighbouring unit cells

$$T_k^{i,j} = \left\{ \overline{\Lambda} \begin{pmatrix} i \\ j \end{pmatrix} + p_k \mid p_k \in T_k \right\}$$

for $i, j \in \{-2, -1, 0, 1, 2\}.$

Mathematical programming formulation for the 2-simplex periodic packing problem

Problem statement:

min obj = min vol(
$$\Lambda$$
) = min det($\overline{\Lambda}$) = min $u_{11}u_{22} - u_{12}u_{21}$

as a function of 4 + 3N variables i.e obj $(u_{11}, u_{12}, u_{21}, u_{22}, c_1, \dots, c_N, \theta_1, \dots, \theta_N)$, subject to

$$egin{aligned} egin{aligned} egi$$

where $Int(\cdot)$ is the interior of a set, k, l = 1, 2, ..., N, i, j = -2, -1, 0, 1, 2, excluding the case when l = k, i = 0, j = 0.

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Alternative constrains formulation

Observation:

- For intersection check of two simplexes it's enough to check if the vertices of one simplex do not lie inside the other simplex.
- All simplexes are rotations and translations of T_0

Alternative constrains formulation

Define separating hyperplanes by

$$\alpha_h x + \beta_h y + \gamma_h = \mathbf{0}$$

for h = 1, 2, 3 where $\alpha_h, \beta_h, \gamma_h$ are given by the edges of T_0 . • Vertices of T_0 :

$$egin{pmatrix} x_0 \ y_0 \end{pmatrix} \in extsf{Vert}(extsf{T}_0)$$

• Vertices of T_k :

$$egin{pmatrix} x_k^{0,0} \ y_k^{0,0} \end{pmatrix} = \overline{\Lambda} c_k + R_k egin{pmatrix} x_0 \ y_0 \end{pmatrix} \in ext{Vert}(extsf{T}_k)$$

• Vertices of $T_I^{i,j}$:

$$\begin{pmatrix} x_l^{i,j} \\ y_l^{i,j} \end{pmatrix} = \overline{\Lambda} \left(c_l + \begin{pmatrix} i \\ j \end{pmatrix} \right) + R_l \begin{pmatrix} x_0 \\ y_0 \end{pmatrix} \in \operatorname{Vert}(T_l^{i,j})$$

39 / 52

40 / 52

Alternative constrains formulation

• Vertices of T_k in the coordinate system of $T_l^{i,j}$:

$$\begin{pmatrix} \tilde{x}_{k}^{0,0} \\ \tilde{y}_{k}^{0,0} \end{pmatrix} = R_{l}^{-1} \left[\begin{pmatrix} x_{k}^{0,0} \\ y_{k}^{0,0} \end{pmatrix} - \overline{\Lambda} \left(c_{l} + \begin{pmatrix} i \\ j \end{pmatrix} \right) \right]$$

• Vertices of $T_l^{i,j}$ in the coordinate system of T_k :

$$\begin{pmatrix} \tilde{x}_l^{i,j} \\ \tilde{y}_l^{i,j} \end{pmatrix} = R_k^{-1} \begin{bmatrix} \begin{pmatrix} x_l^{i,j} \\ y_l^{i,j} \end{pmatrix} - \overline{\Lambda} c_k \end{bmatrix}.$$

Alternative constrains formulation

$$\operatorname{Int}(\mathcal{T}_{k}) \cap \operatorname{Int}(\mathcal{T}_{l}^{i,j}) = \emptyset$$

$$\Leftrightarrow \min_{i,j,k,l} \max \{ \max_{1 \le h \le 3} \min_{\binom{v_{0}}{y_{0}} \in \operatorname{Vert}(\mathcal{T}_{0})} v_{h,k}^{0,0}, \max_{1 \le h \le 3} \min_{\binom{v_{0}}{y_{0}} \in \operatorname{Vert}(\mathcal{T}_{0})} v_{h,l}^{i,j} \} \ge 0$$

where

$$\begin{aligned} \mathbf{v}_{h,k}^{0,0} &= \alpha_h \tilde{\mathbf{x}}_k^{0,0} + \beta_h \tilde{\mathbf{y}}_k^{0,0} + \gamma_h \\ \mathbf{v}_{h,l}^{i,j} &= \alpha_h \tilde{\mathbf{x}}_l^{i,j} + \beta_h \tilde{\mathbf{y}}_l^{i,j} + \gamma_h \end{aligned}$$

 $\alpha_h, \beta_h, \gamma_h$ are the coefficients of the separating hyperplanes of T_0 defined in previously and k, l = 1, 2, ..., N, i, j = -2, -1, 0, 1, 2, excluding the case when l = k, i = 0, j = 0.

Experiments: Genetic algorithm

Tested using Matlab's Global optimization toolbox genetic algorithm.



Figure: Output configurations of genetic algorithm for the packing of (a) 2 $\rho = 1$, (b) 4 $\rho = 0.6715$, (c) 6 simplexes $\rho = 0.7534$ in a unit cell.

Experiments: Nonlinear constrained optimization

- Used Matlab's optimization toolbox nonlinear constrained solver
- Implements interior-point method
 - Objective function: a homogeneous polynomial of degree 2 \checkmark

$$\nabla$$
obj = $(u_{22}, -u_{21}, -u_{12}, u_{11}, 0, \dots, 0)$

- Overlap constrains: continuous but only piecewise differentiable function \times
 - BFGS Hessian approximation

Experiments: Nonlinear constrained optimization

- Packing 2, 3, 4, 5 simplexes in a unit cell.
- 100 runs with random initial configurations (rotations) for each setting.
- Results:

Setting with 2 simplexes generated optimal solutions but with degenerate unit cells i.e $det(\bar{\Lambda})\approx 0.$

Setting	Feasible solutions found	$\bar{ ho}$	Var(ho)	$\max\rho$
3	39	0.5827	0.0197	0.8118
4	20	0.5850	0.0127	0.7959
5	9	0.5637	0.0111	0.7246

Experiments: Nonlinear constrained optimization



Figure: Best solutions found using nonlinear constrained optimization for (a) 3, (b) 4, (c) 5 simplexes in a unit cell. For each case initial (upper image) and output (lower image) configurations are displayed.

FUTURE WORK

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Limitations of presented methods

1. Geometric model

- Pentacene has 4 main packing types.
- Monte-Carlo packing algorithm $\rightarrow \beta$



Figure: (a) herringbone; (b) sandwich herringbone; (c) γ and (d) sheet (β).

Limitations of presented methods

2. Optimization methods

- Decreasing packing density with increasing number of objects in the unit cell.
- Solutions depend on initial configurations.
- Complicated configuration space \rightarrow Complicated objective function landscape (many hills and valleys) \rightarrow Hill climbing is necessary.

Limitations of presented methods

3. Concavity

- Convex hulls of the organic cage molecule crystal structure overlap.
- Spectrum of α-shapes → There exists α for which the shapes do not overlap but α + ε there is an overlap for some small ε.
- Overlap checks for concave sets are necessary.



Figure: (a) convex hull and (b) $\alpha\mbox{-shape of an organic cage molecule crystal structure.}$

1. Geometric model

- Make use of space-groups
- Adjust only one object in the unit cell and the unit cell itself. The rest is given by space-group symmetries (230).



Figure: A $P2_1/c$ crystal structure and its symmetry elements with. Glide planes are emphasized by the shading.

Future work Solutions

2. Optimisation methods

- Explore black box optimisation methods and replace the Simulated annealing schedule
 - Evolution strategies
 - Covariance matrix adaptation evolution strategy
 - Natural evolution strategy

3. Concavity

- Implement overlap checks for concave polyhedra.
 - Convex decomposition

THANK YOU

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