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## FRONTIER ESTIMATORS FOR THE ASSUMED CONSECUTIVE CLUSTERS OF OPTIMUM GLOBAL POTENTIAL

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**Abstract:** For the first time, boundary estimators are presented for consecutive clusters of particles that possibly correspond to global potential minima where the potential depends on the number of particles (either negative decrease as with the Lennard Jones and Morse potentials, or growth positive as with the Thomson potential). Their main characteristic is that they establish that the global potential of a cluster is limited by two frontier estimators that depend on the global potentials of the previous and subsequent clusters.

This benefits global particle cluster optimization methods to distinguish solutions. Thanks to information shared on the Internet, the estimators have been successfully verified for clusters under various potentials, for example, Thomson, Lennard Jones, Morse, and for Quantum Lennard Jones for xenon, argon and neon. New Morse results are reported by verifying that previously reported results did not satisfy these estimators.

**Keywords:** Global Optimization, Clusters of atoms and molecules, Chemistry of materials, Nanochemistry, Molecular dynamics.

## INTRODUCTION

The algorithms and programs for searching for clusters of minimum or maximum global potential constitute and are important tools in Chemistry and Physics for the study of particle clusters from the point of view of their pairwise interaction potentials. The interest in this topic is due to the predictive capacity of the models as a precedent to costly laboratory experiments, for example, for the Jones (LJ) and Morse clusters see Cambridge Cluster Database (CCD), Wales et al., 1995 and experimentally Xenon clusters have been created Echt et al. (1981), Sodium clusters by Haberland et al. (2005), some of which are related to the so-called magic numbers, and the artificial icosahedral crystals created by

Noya et al. (2021). There is abundant literature and without prejudice to other research mentioned on the Lennard Jones and Morse clusters (Hartke, 2002; Morse, 1929; Hoare & McInnes, 1983; Northby, 1987; Gómez & Barrón-Romero, 1991; Maier et al., 1992; Maranas & Floudas, 1994; Deaven & Ho, 1995; Barrón et al., 1997; Leary, 1997; Wales & Doye, 1997; Doye, 1998; Wolf & Landman, 1998; Leary, 1999; Hartke, 1999; Barrón et al., 1999; Wille, 1999; Solov'yov et al., 2003; Jiang et al., 2003; Huang et al., 2002; Cai et al., 2002a; Cai et al., 2002b; Shao et al., 2004a; Xiang et al., 2004b; Xiang et al., 2004a; Shao et al., 2004b; Barrón, 2005; Shao et al., 2005; Doye, 2006; Dittner & Hartke, 2016; Barrón, 2022 ).

There are several ways to improve the potential of clusters, and many authors have proposed ad-hoc strategies to determine a possible optimal cluster using the previous and next cluster without explicit limits. It was Northby, in his seminal article [Northby, 1987], who expounded the concept of increasing sequence in the IC network. Similarly, other authors and in particular [Hoare and McInnes, 1983] suggested starting from the nucleus seen as the seed structure for the growth of consecutive clusters. Therefore, the increasing sequence also relates to the concept of cluster families. In [Dittner and Hartke, 2016] there is a method for kernel analysis of optimal LJ clusters using common neighbor analysis (CNA). There are a huge number of articles on the physicochemistry of the study of clusters, their importance for modern technology, the design of new materials, experimental construction and their use to understand and improve physics-inspired mathematical processes that keep this topic in focus. the frontier of scientific and technological research [Niroomand et al., 2023], [Noya et al., 2021] [Baletto and Ferrando, 2005].

Recently, the monotonicity test proposed in (Kiessling, 2023) for the possible global optimal clusters of the Lennard Jones potential motivated the search for estimators that delimit the putative and consecutive clusters of global optimal potential. To the best of my knowledge, this is the first time that frontier estimators for global optimization problems are presented under the condition that the change of potential with respect to the number of particles is linear.

## METHODOLOGY

The interaction potentials for pairs of particles can be positive or negative ([Pardalos et al., 1994], for example: Born-Meyer, Kihara, LJ, Mie, Morse and Thomson potentials) and the problem can be to determine a Optimal cluster can be maximization or minimization. Without loss of generality, an increasing positive potential (P) can be assumed with respect to the number of particles and with the objective of determining the global minimum potential configuration. For example, the Thomson electrostatic potential to determine the minimum electrostatic potential over all n-electron configurations on the unit sphere is:

$$T(n) = \min_n \sum_{1 \leq i < j \leq n} T(i, j)$$

where  $T(i, j) = \frac{1}{r_{ij}}$ ,  $r_{ij} = |r_i - r_j|$  is the distance on the sphere of the electrons  $i$  and  $j$ .

In general, the potential of a cluster is:

$$P(n) = \min_n \sum_{1 \leq i < j \leq n} P(i, j)$$

where  $P(i, j)$ , is the potential of the particles:  $i$  and  $j$ .

Examples of potentials that meet the properties of a potential well (Pardalos et al., 1994) are Lennard Jones (LJ) y Morse (MO):

$$\begin{aligned} \text{LJ}(d_{i,j}) &= \frac{1}{d_{i,j}^{12}} - \frac{2}{d_{i,j}^6} \quad y \\ \text{MO}(\delta, d_{i,j}) &= e^{\delta(1-d_{i,j})} (e^{\delta(1-d_{i,j})} - 2) \end{aligned}$$

Where:  $d_{i,j}$  is the Euclidean distance between the particles:  $i$  and  $j$ ;  $y \delta$  is the parameter for the width of the Morse potential well.

Note that in general for any pairwise potential the cluster potential corresponds to the complete graph between all the vertices and that the number of edges is the number of contributions to the potential, i.e., the number of the pairs of vertices  $P(i, j)$  to the potential of the cluster and  $\binom{n}{2} = \frac{n(n-1)}{2}$ . Furthermore, the factor  $\binom{n}{2}$ , it is used in the average potential for a cluster of size:  $\bar{P}(n) = \frac{2P(n)}{n(n-1)}$ .

The problem of consecutive particle clusters is stated as follows: Given the possible optimal cluster of  $n-1$  particles with potential:  $P(n-1)$ , determine the possible optimal cluster of  $n$  particles (growth).

1. 2) Or, given the possible optimal cluster of  $n+1$  particles with potential

2.  $P(n-1)$ , determine the possible optimal cluster of  $n$  particles (decrease).

From the above, with good strategies to determine the intermediate cluster by growth or decrease, it must be fulfilled by construction that

$$P(n-1) < P(n) < P(n+1).$$

The above expression is the order relation of consecutive clusters that all possible optimal consecutive clusters must satisfy and that most, if not all, global optimization researchers on this topic have always used.

Proposition. For any of the supposedly optimal global potential clusters of size:  $n \geq 2$ , is fulfilled:

$$\bar{P}(n) < \bar{P}(n+1).$$

**Demonstration.** Assuming the opposite, we arrive at the contradiction that: .

$$P(n) > P(n+1).$$

The two frontier estimators presented improve the order relationship by closing the interval of the potential of  $P(n)$  with respect to its immediate neighbors.

**Proposition:** For any of the supposedly optimal global potential clusters of size:  $n \geq 3$ , is fulfilled:

$$\frac{n}{n-2}P(n-1) < P(n) < \frac{n-1}{n+1}P(n+1)$$

where  $P(n-1)$ ,  $P(n)$  y  $P(n+1)$  are the possible optimal potentials of clusters of  $n-1$ ,  $n$  y  $n+1$  particles respectively.

**Demonstration.** The average contribution for a cluster of size:  $n$  is

$$\bar{P}(n) = \frac{2P(n)}{n(n-1)}$$

If you have:  $\bar{P}(n-1) < \bar{P}(n) < \bar{P}(n+1)$ .

To  $n-1$  y  $n$ :

$$\frac{2P(n-1)}{(n-1)(n-2)} < \frac{2P(n)}{n(n-1)}$$

Simplifying:  $\frac{n}{n-2}P(n-1) < P(n)$ .

To  $n+1$  y  $n$ :

$$\frac{2P(n)}{n(n-1)} < \frac{2P(n+1)}{(n+1)n}$$

Finally,  $P(n) < P(n+1) \frac{n-1}{n+1}$ .

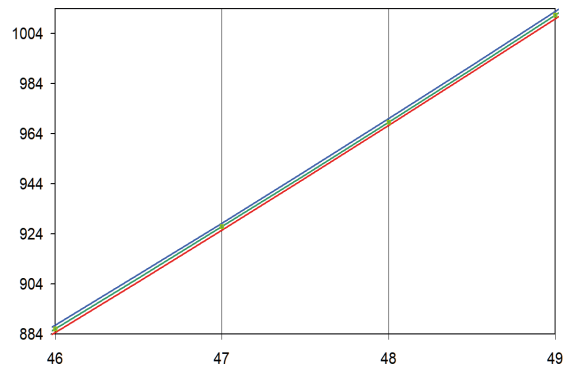
Note that the factors of the estimators satisfy that  $1 < \frac{n}{n-2}$  y  $\frac{n-1}{n+1} < 1$  therefore, they improve the order relationship of consecutive clusters by closing the potential interval of the possible global optimal cluster of  $n$  particles.

Additionally, you have:

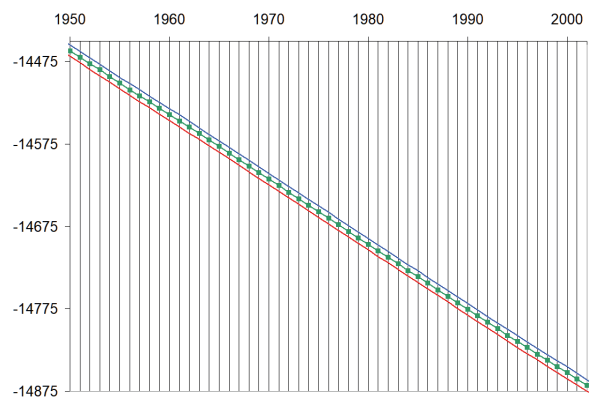
$$\frac{P(n-1)}{P(n+1)} < \frac{(n-1)(n-2)}{n(n+1)}$$

Which leads to  $\frac{P(n-1)}{P(n+1)}$  is increasing and asymptotically tends to 1, for example: 1.

$$\lim_{n \rightarrow \infty} \frac{P(n-1)}{P(n+1)} = 1.$$



**Figure 1:** Example of the estimators:  $\frac{n}{n-2}P(n-1)$  (red),  $\frac{n-1}{n+1}P(n+1)$  (blue) around  $P(n)$  (green, reference potential) where  $P$  is the Thomson potential with  $46 \leq n \leq 49$ .



**Figure 2:** Example of estimators:  $\frac{n}{n-2}P(n-1)$  (red),  $\frac{n-1}{n+1}P(n+1)$  (blue) around  $P(n)$  (green, reference potential) where  $P$  is the LJ potential for  $1950 \leq n \leq 2002$ .

## RESULTS

Figures 1 and 2 show graphical examples of the estimators for the Thomson and LJ potentials. The following Tables show that the new frontier estimators are satisfied for the possible optimal clusters of various potentials whose data were taken from the Internet.



n(n-2) MO(3,n-1)	MO(3,n)	(n-1)/(n+1) MO(3,n+1)	n(n-2) MO(6,n-1)	MO(6,n)	(n-1)/(n+1) MO(6,n+1)
14	-56.7547		14	-45.6193	
15	-65.4862	-60.4981	15	-52.6376	-47.1151
16	-72.1853	-66.7610	16	-56.8553	-51.1248
17	-78.3594	-73.4038	17	-61.0253	-55.7238
18	-85.1202	-81.1056	18	-65.1841	-61.2826
19	-92.2945	-87.6757	19	-70.0645	-65.2570
20	-100.7194	-94.4001	20	-76.1025	<b>-72.5078</b>
21	-107.6719	-101.8557	21	-80.1402	-73.7607
22	-114.7706	-110.2837	22	-84.1821	-79.1933
23	-122.7118	-117.2275	23	-88.8640	-83.1283
24	-131.7675	-125.1869	24	-94.6205	-87.5177
25	-139.0049	-134.1435	25	-98.5711	-92.8150
26	-147.4121	-141.2165	26	-103.0552	-96.9864
27	-156.9479	-149.2895	27	-108.5936	-101.2123
28	-164.2457	-158.3835	28	-112.8026	-106.2738
29	-172.6825	<b>-170.1156</b>	29	-117.0717	-110.5373
30	-182.2667	-173.9853	30	-122.2992	-114.9314
31	-189.8255	-183.2517	31	-126.6006	-119.7857
32	-198.3832	-191.8324	32	-131.0483	-124.2700
33	-208.0793	-201.4761	33	-136.0147	-128.7506
34	-216.9718	-209.0988	34	-140.5554	-133.8453
35	-227.0422	-217.7022	35	-145.0883	-139.1941
36	-234.8168	<b>-230.5083</b>	36	-150.3076	-143.6809
37	-243.6802	-236.0455	37	-155.8038	-149.1888
38	-253.3419	-245.6657	38	-160.3296	-155.0983
39	-262.6272	<b>-258.9450</b>	39	-165.9894	-159.5934
40	-272.5736	-264.8248	40	-172.0863	-164.1109
41	-282.1586	-274.6052	41	-176.6081	-169.2193
42	-292.3259	-284.3040	42	-181.1532	-174.5768
43	-302.4006	-294.2644	43	-186.3475	-179.0978
44	-312.3711	-304.4980	44	-191.8114	-184.3790
45	-322.6155	-312.8143	45	-196.3531	-190.5178
46	-333.1452	-322.3400	46	-201.7254	-195.0359
47	-341.5679	-332.2185	47	-208.0301	-200.3338
48	-351.3038	-341.8654	48	-212.5609	-206.4678
49	-361.4144	<b>-356.4128</b>	49	-217.9395	-211.0274

**Table 4.** Data from <http://doye.chem.ox.ac.uk/ion/structures/Morse/tables.html>, Doye et al. (1995) for Morse clusters with  $\delta=3$  and  $\delta=6$ .

Those marked in bold are new results.

n(n-2) MO(10,n-1)	MO(10,n)	(n-1)/(n+1) MO(10,n+1)	n(n-2) MO(14,n-1)	MO(14,n)	(n-1)/(n+1) MO(14,n+1)
14	-42.6752		14	-40.7983	
15	-49.2406	-43.9792	15	-47.0750	-42.7127
16	-53.1902	-47.6326	16	-51.2074	-46.6082
17	-56.9635	-51.2508	17	-55.3231	-50.5164
18	-60.7315	-55.6230	18	-59.4254	-54.4111
19	-64.4403	-59.1112	19	-63.5169	-58.3128
20	-69.0743	-62.8356	20	-67.5694	-62.2328
21	-72.5927	-66.8130	21	-71.6122	-66.1743
22	-76.3949	-71.5145	22	-75.6619	-70.5805
23	-80.4937	-75.5060	23	-79.7243	-74.5337
24	-85.4459	-80.3005	24	-84.3300	-78.6392
25	-89.5328	-84.3418	25	-88.3799	-82.2715
26	-94.2388	-88.3514	26	-92.6005	-86.2406
27	-98.6799	-92.8649	27	-97.4276	-90.3080
28	-102.7595	-96.8755	28	-101.4675	-94.6867
29	-107.4164	-101.3331	29	-105.6155	-99.7134
30	-111.4837	-105.5712	30	-110.1156	-104.5503
31	-116.0588	-109.9541	31	-114.2038	-109.5321
32	-120.6039	-114.7634	32	-119.2114	-114.4237
33	-124.8511	-118.7931	33	-123.2364	-119.4101
34	-129.8029	-123.7730	34	-128.2877	-124.3238
35	-133.8672	-127.7979	35	-132.3088	-129.3744
36	-138.9965	-132.7732	36	-137.3690	-134.3144
37	-143.0477	-137.1735	37	-141.3872	-139.2108
38	-148.1580	-142.2007	38	-146.4146	-144.3211
39	-153.7336	-146.2283	39	-152.1222	-149.7171
40	-157.7760	-150.7880	40	-156.1341	-154.9928
41	-161.8181	-154.8246	41	-160.1457	-160.5335
42	-166.4467	-159.8072	42	-164.4652	-166.4410
43	-170.4959	-164.8434	43	-168.4772	-172.6350
44	-175.5837	-169.8142	44	-173.5224	-179.1644
45	-179.6290	-174.8142	45	-177.5328	-186.5116
46	-184.6963	-179.8417	46	-182.4440	-194.6994
47	-189.2911	-184.7458	47	-186.4535	-203.5082
48	-193.8217	-189.5863	48	-191.4868	-212.8890
49	-199.7389	-194.6393	49	-196.9268	-222.8984

**Table 5:** Data from <http://doye.chem.ox.ac.uk/ion/structures/Morse/tables.html>, Doye et al. (1995) for Morse clusters with  $\delta=10$  and  $\delta=14$ .

## CONCLUSIONS AND FUTURE WORK

In addition to the results of the previous section, the estimators have been satisfactorily verified for clusters under the LJ and Morse potentials for clusters from 2 to 2063 particles, which for reasons of extension are not shown in this work.

The search for new properties that are useful for global optimization is stimulating. There is a theoretical gap in tools that support necessary and sufficient conditions for global optimization for clusters of more than 5 particles. It is well known that the only global optimal cases are for clusters of between 2

and 4 elements due to the classical first and second order optimality conditions. The global optimality of the 13-particle cluster for the LJ potential was recently demonstrated (See Barrón, 2022a).

The study of mathematical, physical and chemical conditions and properties of clusters with optimal global potential will continue due to their relevance in new nano materials technologies.

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