

# Kantorovich dual solution for strictly correlated electrons in atoms and molecules

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# Outline


- Introduction
- Strictly correlated electron and optimal transport
- Kantorovich dual formulation for strictly correlated electrons
- Numerical results
- Conclusion

# Ground state electronic structure theory


$$H = -\frac{1}{2} \sum_{i=1}^N \Delta_i - \sum_{\alpha=1}^M \sum_{j=1}^N \frac{Z_{\alpha}}{|x_i - R_{\alpha}|} + \frac{1}{2} \sum_{\substack{i,j=1, \\ i \neq j}}^N \frac{1}{|x_i - x_j|}$$



$\hat{T}$



$\hat{V}_{ext}$



$\hat{V}_{ee}$

Many body ground state electron energy

$$E = \inf_{\Psi} \langle \Psi | H | \Psi \rangle$$

$\Psi(x_1, \dots, x_N)$  is a  $3N$  dimensional antisymmetric function.

Curse of dimensionality.

# Density functional theory

Represent many body ground state energy as **universal functional** of the marginal distribution (**electron density**)  
[Hohenberg-Kohn, 1964]

$$\rho(x) = N \int |\Psi(x, x_2, \dots, x_N)|^2 dx_2 \cdots dx_N$$

$$E = \inf_{\Psi} \langle \Psi | H | \Psi \rangle = \inf_{\rho} \inf_{\Psi \mapsto \rho} \langle \Psi | \hat{T} + \hat{V}_{ext} + \hat{V}_{ee} | \Psi \rangle$$

$$= \inf_{\rho} \left( \inf_{\Psi \mapsto \rho} \langle \Psi | \hat{T} + \hat{V}_{ee} | \Psi \rangle + \int \rho(x) v_{ext}(x) dx \right)$$

$$\equiv \inf_{\rho} F^{HK}[\rho] + \int \rho(x) v_{ext}(x) dx$$

$$\hat{V}_{ext}(x_1, \dots, x_N) = \sum_{i=1}^N v_{ext}(x_i)$$

Constrained minimization viewpoint [Levy, 1979], [Lieb, 1983]

# Kohn-Sham density functional theory

- $F^{HK}[\rho]$  exists but does not have known explicit form.
- Kohn-Sham density functional theory

$$\begin{aligned} F^{HK}[\rho] &= \inf_{\Psi \mapsto \rho} \langle \Psi | \hat{T} + \hat{V}_{ee} | \Psi \rangle \\ &= \inf_{\Psi \mapsto \rho} \langle \Psi | \hat{T} | \Psi \rangle + \frac{1}{2} \int \frac{\rho(x)\rho(y)}{|x-y|} + E_{xc}[\rho] \\ &\equiv F^{KS}[\rho] \end{aligned}$$

- $\inf_{\Psi \mapsto \rho} \langle \Psi | \hat{T} | \Psi \rangle$  corresponds to a **non-interacting** system. Its minimizer is one single Slater determinant. This is called the Kohn-Sham kinetic energy functional.

# Kohn-Sham density functional theory

- Euler-Lagrange equation gives the Kohn-Sham equations [Kohn-Sham, 1965]

$$\left( -\frac{1}{2}\Delta + v_{ext} + \int dx' \frac{\rho(x')}{|x-x'|} + \frac{\delta E_{xc}}{\delta \rho}[\rho] \right) \psi_i(x) = \varepsilon_i \psi_i(x)$$
$$\rho(x) = \sum_{i=1}^N |\psi_i(x)|^2, \quad \int dx \psi_i^*(x) \psi_j(x) = \delta_{ij}$$

- One **always** solves eq in  $R^3$  for  $N$  electrons (as opposed to eq in  $R^{3N}$ )

# Kohn-Sham density functional theory

- Best balances **efficiency and accuracy**. **Most widely used** electronic structure theory for molecules, liquids, solids etc.
- Exchange-correlation energy only takes less than **0.1%** of the total energy, but it is this small part of the energy that **significantly impacts** chemical properties e.g. hydrogen bonding, van der Waals, dissociation etc.

# Successful work on exchange-correlation functional is **unusually** important

- LDA (KS, PZ)

Self-interaction correction to **density-functional approximations** for many-electron systems

[JP Perdew](#), [A Zunger](#) - Physical Review B, 1981 - APS

... (i.e., orbitals demonstrably do not self-interact), but many **approximations** to it, including the **local-spin-density (LSD) approximation** for exchange and correlation, are not. We present two related methods for the self-interaction correction (SIC) of any ...

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- GGA (PBE)

Generalized gradient **approximation** made simple

[JP Perdew](#), [K Burke](#), [M Ernzerhof](#) - Physical review letters, 1996 - APS

... LSD corresponds to the further **approximation**  $FXC(rs, z, s) \approx FXC(rs, z, 0)$ . Figure 1 displays the nonlocality or  $s$  dependence of  $FXC$  ... **PBE** is the simplified GGA proposed here. ... deep, and therefore (by the sum rule [13]) as **local**, as it can be on the scale set by the **local density** itself ...

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- Hybrid (B3LYP)

Density-functional thermochemistry. III. The **role of exact exchange**

[AD Becke](#) - The Journal of Chemical Physics, 1993 - [link.aip.org](http://link.aip.org)

Despite the remarkable thermochemical accuracy of Kohn–Sham density-functional theories with gradient corrections for **exchange**-correlation [see, for example, AD Becke, J. Chem. Phys. [bold 96], 2155 (1992)], we believe that further improvements are unlikely ...

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# More on exchange-correlation functionals

- Local density approximation (LDA)

$$E_{xc}[\rho] = \int \rho(x) \epsilon_{xc}(\rho(x)) dx$$

- Generalized gradient approximation (GGA)

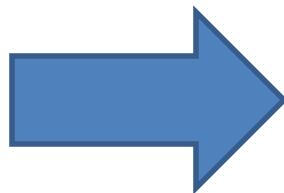
$$E_{xc}[\rho] = \int \rho(x) \epsilon_{xc}(\rho(x), \nabla \rho(x)) dx$$

- Hybrid functional (B3LYP implemented in Gaussian package)

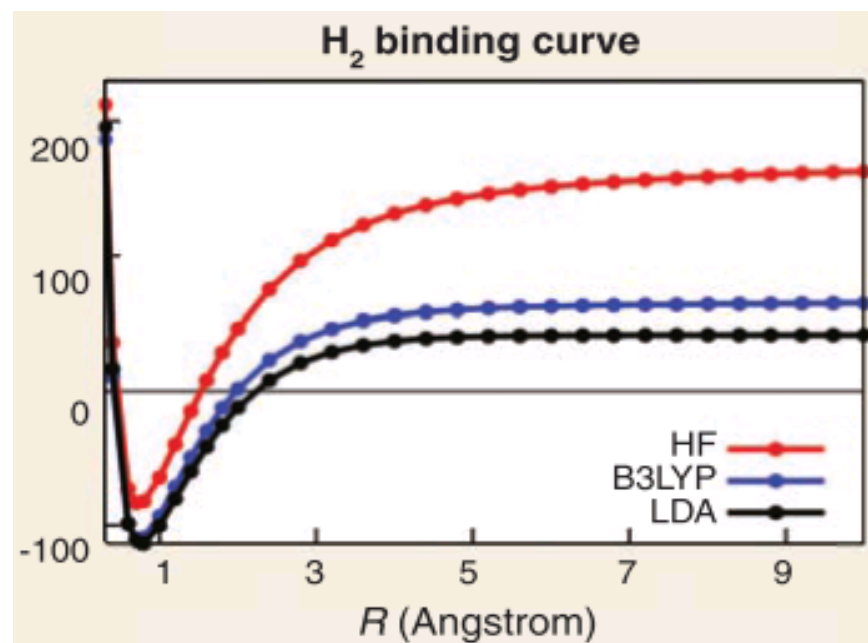
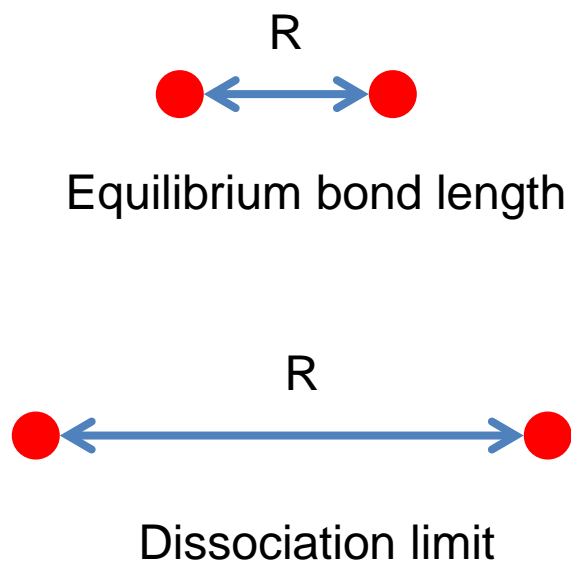
$$E_{xc}^{\text{B3LYP}} = 0.2E_x^{\text{HF}} + 0.8E_x^{\text{LDA}} + 0.72\Delta E_x^{\text{B88}} + 0.81E_c^{\text{LYP}} + 0.19E_c^{\text{VWN}}$$

- More extreme: M11-L functional (48 fitting parameters, [Peverati-Truhlar, 2011]). Machine learning ( $10^6$  parameters [Burke et al. 2012])

# Current status of designing functional



# Surprisingly simple system, fail for all DFT functionals: $H_2$ dissociation



[Cohen, Mori-Sanchez, Yang, Science 2008]

Similar failure process: [Lee-Handy, 1993], [Andersson-Roos, 1994], many others

# Strictly correlated electron state

- Hohenberg-Kohn functional

$$\begin{aligned} F^{HK}[\rho] &= \inf_{\Psi \mapsto \rho} \langle \Psi | \hat{T} + \hat{V}_{ee} | \Psi \rangle \\ &\approx \inf_{\Psi \mapsto \rho} \langle \Psi | \hat{T} | \Psi \rangle + \inf_{\Psi \mapsto \rho} \langle \Psi | \hat{V}_{ee} | \Psi \rangle \\ &\equiv T_s[\rho] + V_{ee}^{SCE}[\rho] \\ &\equiv F^{KS-SCE}[\rho] \end{aligned}$$

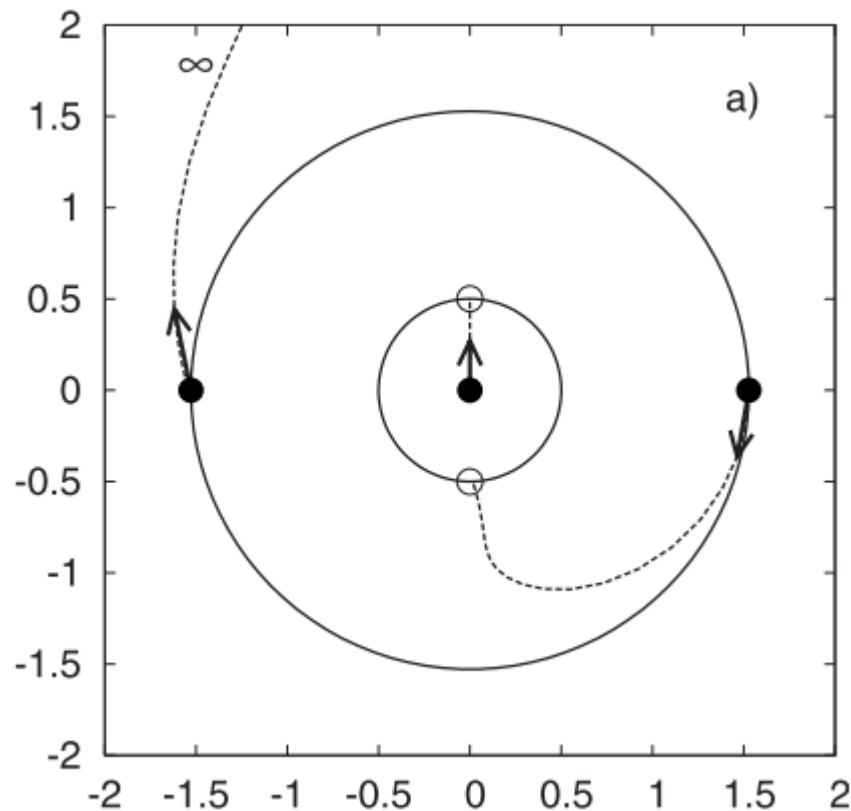
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 &\approx \inf_{\Psi \mapsto \rho} \langle \Psi | \hat{T} | \Psi \rangle + \boxed{\inf_{\Psi \mapsto \rho} \langle \Psi | \hat{V}_{ee} | \Psi \rangle} \\
 &\equiv T_s[\rho] + V_{ee}^{SCE}[\rho] \\
 &\equiv F^{KS-SCE}[\rho]
 \end{aligned}$$

- The **minimizer**  $\Psi[\rho]$  corresponding to  $V_{ee}^{SCE}[\rho]$  is referred to as the “strictly correlated electron state” (**SCE**) [Seidl-Perdew-Levy, 1999]

# Strictly correlated nature



The positions of electrons in the SCE state for Li atom.  
[Seidl- Gori-Giorgi - Savin, 2007]

# Properties of the SCE functional

- Complementary to the KS functional
- Fully non-local
- More natural in the dissociation limit
- Motivated from the [adiabatic connection formula](#) for the exact exchange-correlation functional [Langreth-Perdew, 1975], [Gunnarsson-Lundqvist, 1976]
- [Liu-Burke, JCP 2009]  
*In any event, the advent of SC calculations opens up a whole new alternative approach to DFT calculations of electronic structure, and only experience can show how and when this will prove more fruitful than the traditional KS scheme.*

# SCE formulation

$$\hat{V}_{ee}(x_1, \dots, x_N) = \sum_{i < j} c(x_i, x_j), \quad c(x, y) = \frac{1}{|x - y|}$$

$$V_{ee}^{SCE}[\rho] = \inf_{\Psi \mapsto \rho} \langle \Psi | \hat{V}_{ee} | \Psi \rangle$$

$$= \inf_{\Psi \mapsto \rho} \int \hat{V}_{ee}(x_1, \dots, x_N) |\Psi(x_1, \dots, x_N)|^2 dx_1 dx_2 \cdots dx_N$$

Or equivalently

$$\inf_P \int \hat{V}_{ee}(x_1, \dots, x_N) P(x_1, \dots, x_N) dx_1 dx_2 \cdots dx_N$$

$$s. t. \int P(x, \dots, x_N) dx_2 \cdots dx_N = \frac{\rho(x)}{N}$$

$$P(x_1, \dots, x_N) = P(x_{\Pi(1)}, \dots, x_{\Pi(N)})$$

$\Pi$ : Permutation

$$P(x_1, \dots, x_N) \geq 0$$

This is an  $N$ -body **optimal transport problem** with **Coulomb cost function** (after relaxation due to Kantorovich).



# Remarks on SCE formulation

- SCE does not distinguish between **bosonic (symmetric)** and **fermionic (antisymmetric)** wavefunctions.
- Optimal transport usually studied with  $|x - y|$  or  $|x - y|^2$  cost functions. These are **attractive** cost functions. In SCE, the Coulomb cost function is **repulsive** and **singular**, which leads to qualitatively different behavior.
- Rigorous theory for Coulomb cost with  $N = 2$  [Cotar-Friesecke-Kluppelberg, 2013]

# Remarks on SCE formulation

- The  $N$ -body SCE problem can be solved **exactly** by a 2-body problem. Define the pair density matrix:

$$\rho_2(x, y) = \int P(x, y, x_3, \dots, x_N) dx_3 \cdots dx_N$$

SCE becomes

$$\inf_{\rho_2} \binom{N}{2} \int c(x, y) \rho_2(x, y) dx dy$$

$$s. t. \int \rho_2(x, y) dy = \frac{\rho(x)}{N}$$

$$P \mapsto \rho_2$$

- $P \mapsto \rho_2$ : Any admissible  $\rho_2$  must be the **marginal distribution** of some  $P$ . This is called  **$N$  representability** of the pair density matrix.

# Remarks on SCE formulation

- Neglecting the N-representability leads to energy that is too low [Coleman, 1963]

$$\inf_{\rho_2} \binom{N}{2} \int c(x, y) \rho_2(x, y) dx dy$$

$$s. t. \int \rho_2(x, y) dy = \frac{\rho(x)}{N}$$

$$\rho_2(x, y) = \rho_2(y, x), \quad \rho_2(x, y) \geq 0$$

- Systematic condition and approximation of the N-representability [Friesecke-Mendl-Pass-Cotar-Kluppelberg, 2013], [Mazziotti 2012]
- Here we consider solving the N-body optimal transport problem directly.

# Monge formulation

- Introduce ansatz

$$P(x_1, \dots, x_N) = \frac{\rho(x_1)}{N} \delta(x_2 - T_2(x_1)) \cdots \delta(x_N - T_N(x_1))$$

- The optimal  $P$  is a **very singular function** in the  $3N$ -dimensional space.
- $T_i: R^3 \rightarrow R^3$  are called the **optimal maps, or co-motion functions**. They satisfy the **mass conservation condition**

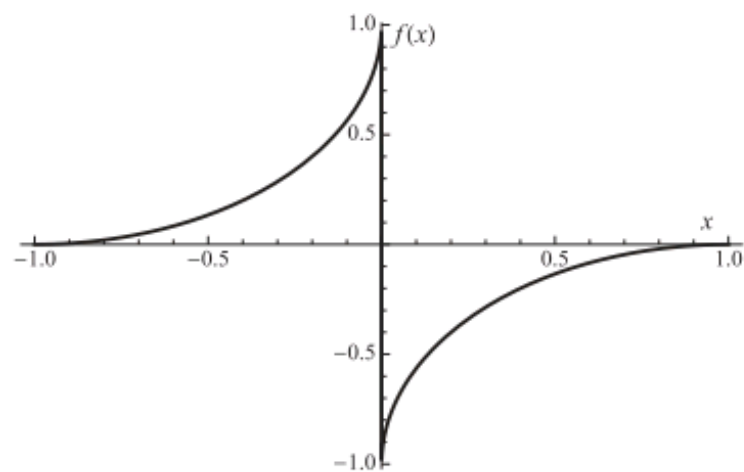
$$\int_A \rho = \int_{T_i(A)} \rho, \quad i \geq 2$$

- Rigorous justification for  $N = 2$  [Cotar-Friesecke-Kluppelberg, 2013]

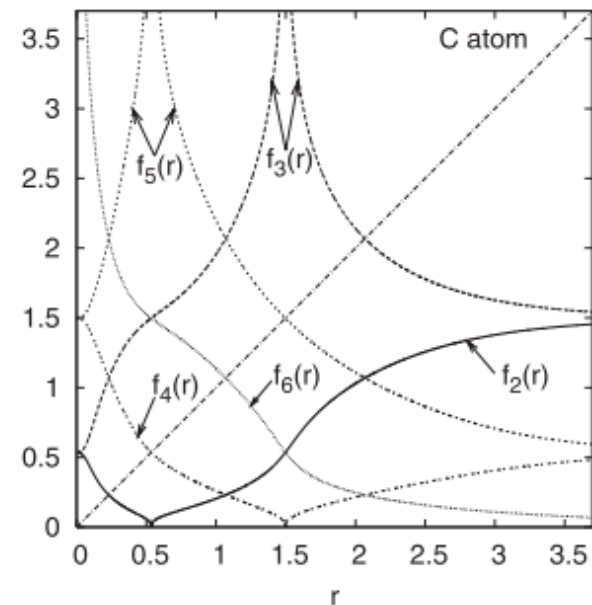
# Problem of Monge formulation

- The mass conservation condition is difficult to implement numerically.
- Each optimal maps is again **singular in general**. The singularity is rooted in the **repulsive nature** of the Coulomb cost function. The location of singularity is **so far not systematically predictable** for general systems.
- With the help of semi-analytic method, Monge formulation can be solved for spherical-symmetric atoms, and strictly 1D systems, but **so far no more**.

# Problem of Monge formulation



Co-motion function for a 1D atom  
with  $N=2$   
[Buttazzo-Pascale - Gori-Giorgi,  
2012]



Radial co-motion functions for  
Carbon  
[Seidl- Gori-Giorgi - Savin, 2007]

# Linear programming viewpoint

- Consider

$$\inf_P \int \hat{V}_{ee}(x_1, \dots, x_N) P(x_1, \dots, x_N) dx_1 dx_2 \cdots dx_N$$

$$s. t. \int P(x, \dots, x_N) dx_2 \cdots dx_N = \frac{\rho(x)}{N}$$

$$P(x_1, \dots, x_N) = P(x_{\Pi(1)}, \dots, x_{\Pi(N)})$$

$$P(x_1, \dots, x_N) \geq 0$$

- Assume we discretize  $R^3$  into  $M$  points, then  $P(x_1, \dots, x_N)$  are discretized into  $M^N$  variables. This is a **linear programming** problem for these  $M^N$  variables.

# Kantorovich dual formulation

- Duality for linear programming [Dantzig-von Neumann 1947]

$$\begin{aligned} \max_x & c^T x \\ \text{s. t.} & Ax \leq b \\ & x \geq 0 \end{aligned}$$



$$\begin{aligned} \min_y & b^T y \\ \text{s. t.} & A^T y \geq c \\ & y \geq 0 \end{aligned}$$



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$$\begin{aligned} \inf_P \int \hat{V}_{ee}(x_1, \dots, x_N) P(x_1, \dots, x_N) dx_1 dx_2 \cdots dx_N \\ \text{s. t. } \int P(x, \dots, x_N) dx_2 \cdots dx_N = \frac{\rho(x)}{N} \\ \int P(x_1, x, \dots, x_N) dx_1 dx_3 \cdots dx_N = \frac{\rho(x)}{N} \\ \dots \\ \int P(x_1, \dots, x_{N-1}, x) dx_1 \cdots dx_{N-1} = \frac{\rho(x)}{N} \\ P(x_1, \dots, x_N) \geq 0 \end{aligned}$$

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$$\begin{aligned} \sup_{\{u_i(x)\}} \quad & \sum_{i=1}^N \frac{1}{N} \int dx u_i(x) \rho(x) \\ \text{s. t.} \quad & \sum_{i=1}^N u_i(x_i) \leq \hat{V}_{ee}(x_1, \dots, x_N) \end{aligned}$$



$$\begin{aligned} \inf_P \quad & \int \hat{V}_{ee}(x_1, \dots, x_N) P(x_1, \dots, x_N) dx_1 dx_2 \cdots dx_N \\ \text{s. t.} \quad & \int P(x, \dots, x_N) dx_2 \cdots dx_N = \frac{\rho(x)}{N} \\ & \int P(x_1, x, \dots, x_N) dx_1 dx_3 \cdots dx_N = \frac{\rho(x)}{N} \\ & \dots \\ & \int P(x_1, \dots, x_{N-1}, x) dx_1 \cdots dx_{N-1} = \frac{\rho(x)}{N} \\ & P(x_1, \dots, x_N) \geq 0 \end{aligned}$$

# Kantorovich dual formulation

- Define the Kantorovich potential

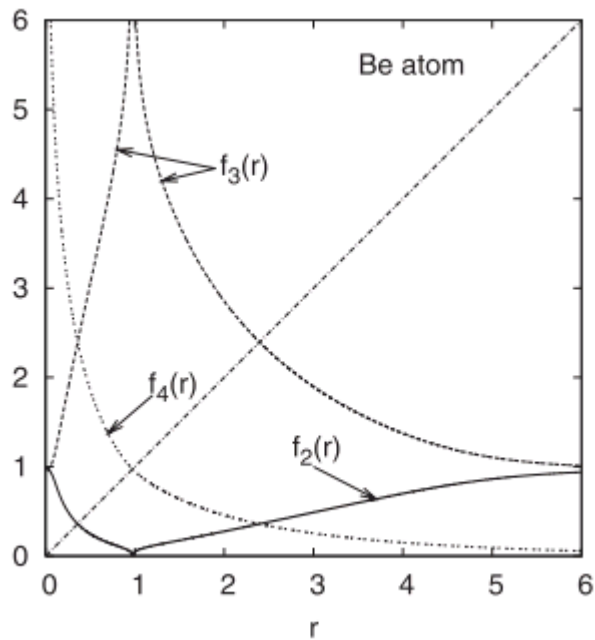
$$u(x) = \frac{1}{N} \sum_{i=1}^N u_i(x)$$

and use symmetry, we have the Kantorovich dual formulation for SCE

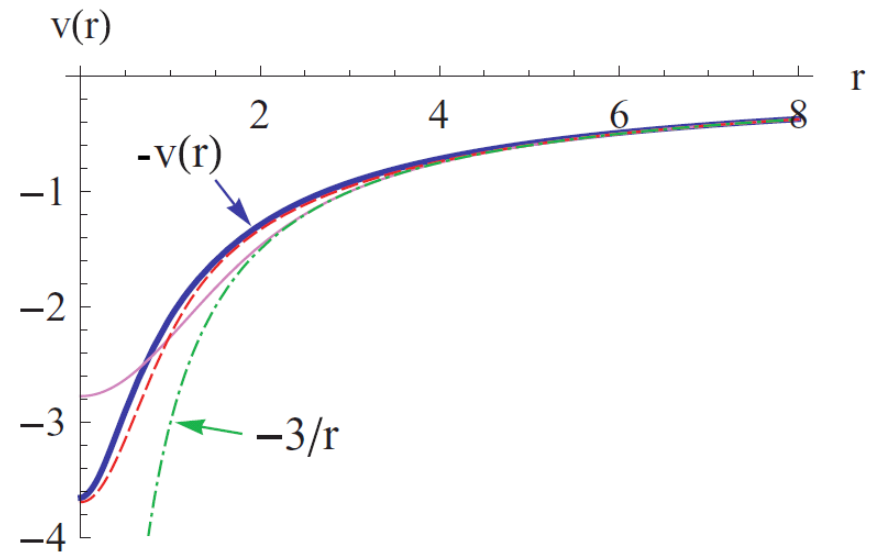
$$\begin{aligned} & \sup_u \int dx u(x) \rho(x) \\ & \text{s. t. } \sum_{i=1}^N u(x_i) \leq \hat{V}_{ee}(x_1, \dots, x_N) \end{aligned}$$

- Dual formulation for SCE introduced by [Buttazzo-Pascale - Gori-Giorgi, 2012]. More rigorous treatment of Monge-Kantorovich duality but for quadratic cost e.g. [Gangbo-Swiech, 1998].

# Kantorovich potential is more regular



co-motion functions, Be atom  
[Seidl- Gori-Giorgi - Savin, 2007]



Kantorovich dual potential, Be atom

# Problem of Kantorovich formulation

- $\sum_{i=1}^N u(x_i) \leq \hat{V}_{ee}(x_1, \dots, x_N)$  should be satisfied  $\forall x_1, \dots, x_N$ :  
 $M^N$  number of constraints

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 $M^N$  number of constraints

Monge	Kantorovich dual
Solve for $N - 1$ optimal maps $R^3 \rightarrow R^3$	Solve for one Kantorovich potential $R^3 \rightarrow R$
Mass conservation condition	$M^N$ number of constraints
Optimal maps are singular	Kantorovich potential is (conjectured to be) more regular
Rely on semi-analytical formula	May work for general systems such as atoms and molecules
(So far) only for spherical symmetric atoms and strictly 1D systems	No work done yet

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[Mendl-LL, PRB 2013]

# Reformulation

- Consider isolated molecule. Define

$$u(x) = v(x) + C$$

$C$  is a constant chosen so that asymptotically [Buttazzo-Pascale - Gori-Giorgi, 2012]

$$v(x) \rightarrow \frac{N-1}{|x|}, \quad |x| \rightarrow \infty$$

- Define

$$g[v] = \inf_{\{r_i\}} \hat{V}_{ee}(x_1, \dots, x_N) - \sum_{i=1}^N v(x_i)$$

Then

$$V_{ee}^{SCE}[\rho] = \sup_{v, C} \int dx v(x) \rho(x) + NC$$

s. t.  $g[v] \geq NC$



# Reformulation

- Define

$$L[v, C, \lambda] = - \int v(x) \rho(x) dx - NC - \lambda(g[v] - NC)$$

The Karush-Kuhn-Tucker (KKT) condition states that

$$\begin{aligned} \frac{\delta L}{\delta v}(v^*, C^*, \lambda^*) &= 0, \\ \frac{\partial L}{\partial C}(v^*, C^*, \lambda^*) &= 0, & \longrightarrow & \lambda^* = 1 > 0 \\ g[v^*] - NC^* &\geq 0, \\ \lambda^* &\geq 0, & & \downarrow \\ \lambda^*(g[v^*] - NC^*) &= 0. & \longrightarrow & g[v^*] = NC^* \end{aligned}$$

# Nested optimization problem

- Nested unconstrained optimization problem. Addressing  $M^N$  number of constraints by optimization

$$V_{ee}^{SCE}[\rho] = \sup_v \int dx v(x)\rho(x) + g[v]$$

- $v(x)$  decays slowly in the real space

$$v(x) \rightarrow \frac{N-1}{|x|}, \quad |x| \rightarrow \infty$$

Introduce **pseudocharge**

$$v(x) = \int \frac{m(y)}{|x-y|} dy$$

$$\int m(x) dx = N - 1$$

Then  $m(x)$  should decay rapidly can be represented on a small computational domain.

# Problem of the nested optimization approach

- Now we run into the “no-free-lunch theorem”...

# Problem of the nested optimization approach

- Now we run into the “no-free-lunch theorem”...
- The difficulty due to singularity of the optimal maps and the mass conservation condition must still exist in the Kantorovich dual formulation.
- In the nested optimization formulation, the difficulty is that

$$\frac{\delta g[v]}{\delta v} \quad \text{or} \quad \frac{\delta g[m]}{\delta m}$$

is not computable through the Hellman-Feynman type formula.

# Computing the derivative

- Consider

$$f(x) = \min_y g(x, y)$$

If for each  $x$  there is a unique  $y^*(x)$  as the minimizer and  $y^*(x)$  is smooth, then using chain rule

$$f'(x) = g_x(x, y^*(x)) + \cancel{g_y(x, y^*(x))} (y^*(x))' = g_x(x, y^*(x))$$

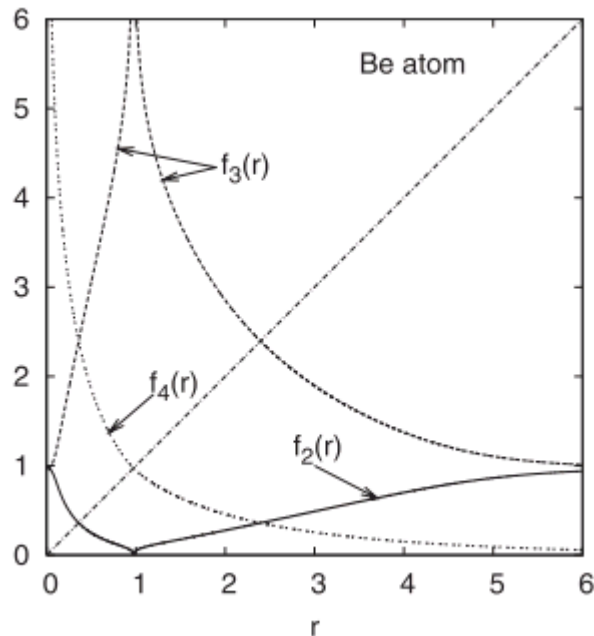
- However, it can be shown that  $g[v]$  has at least  $M$  minimizers at the optimal  $v^*$  which makes the above argument invalid.

# Computing the derivative

- Even if cost is not an issue, finite difference scheme is also difficult.
- In practice we compute the derivative for the outer iteration using derivative-free optimization schemes [e.g. Nelder-Mead 1965]
- Derivative-free optimization only allows to use a very small number of degrees of freedom, which is the **major drawback of this work**.
- Represent the pseudocharge  $m(x)$  by a few basis functions such as Gaussians.

# Beryllium atom

- Spherically symmetric system.
- Converged electron density obtained from configuration-interaction calculation.
- Semi-analytic form for co-motion functions.



[Seidl- Gori-Giorgi - Savin, 2007]

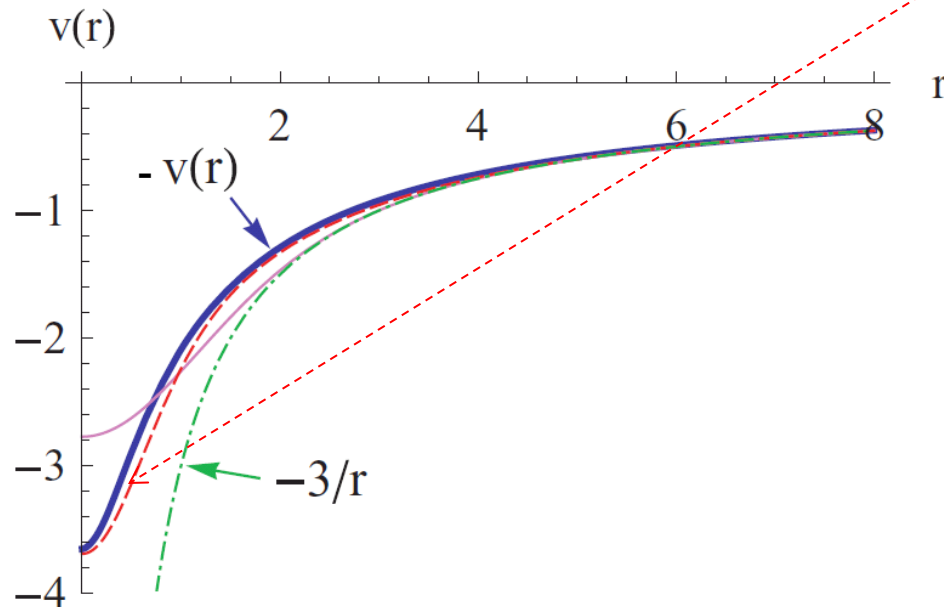
# Beryllium atom

One Gaussian

$$m(\mathbf{r}; \sigma) = \frac{N - 1}{(2\pi\sigma^2)^{3/2}} e^{-\frac{r^2}{2\sigma^2}}$$

Two Gaussians

$$m(\mathbf{r}) = (N - 1) \left( \cos^2(\vartheta) \frac{e^{-\frac{r^2}{2\sigma_1^2}}}{(2\pi\sigma_1^2)^{3/2}} + \sin^2(\vartheta) \frac{e^{-\frac{r^2}{2\sigma_2^2}}}{(2\pi\sigma_2^2)^{3/2}} \right)$$



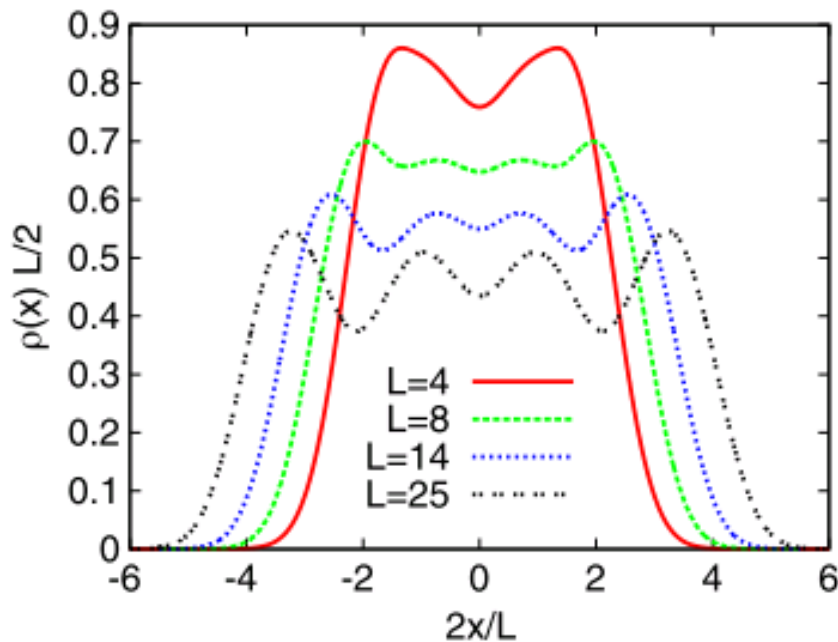
Gaussians for $m(x)$	1	2
Error of $V_{ee}^{SCE}[\rho]$	20.3%	1.6%



# 1D quantum wire

$$H = -\frac{1}{2} \sum_{i=1}^N \frac{\partial^2}{\partial x_i^2} + \sum_{i=1}^N \sum_{j>i}^N w_b(x_i - x_j) + \sum_{i=1}^N v_{\text{ext}}(x_i).$$

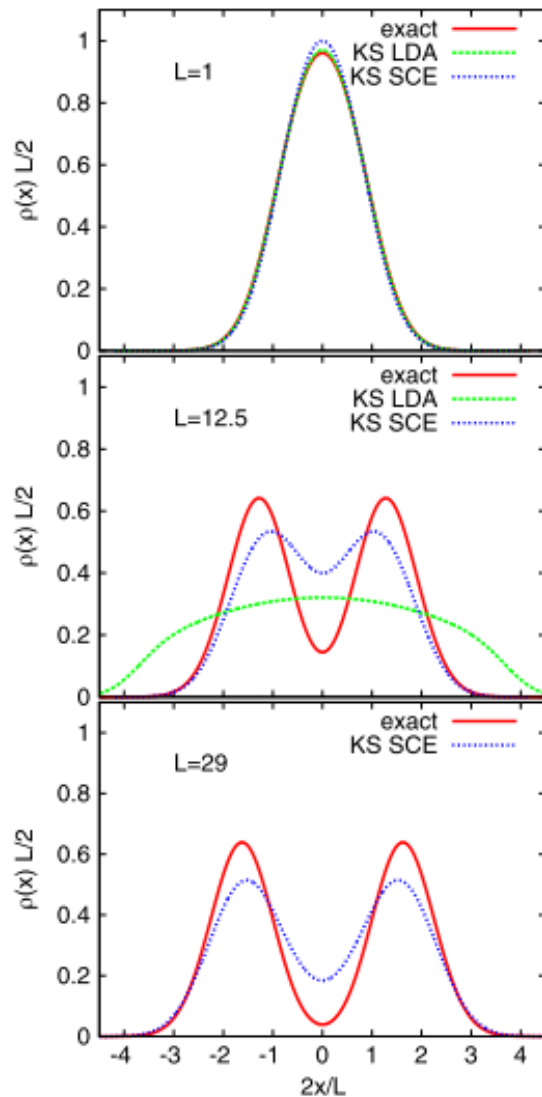
$$w_b(x) = \frac{\sqrt{\pi}}{2b} \exp\left(\frac{|x|^2}{4b^2}\right) \text{erfc}\left(\frac{|x|}{2b}\right) \quad v_{\text{ext}}(x) = \frac{1}{2}\omega^2 x^2 \quad L \equiv 2\omega^{-1/2}$$



4 electrons

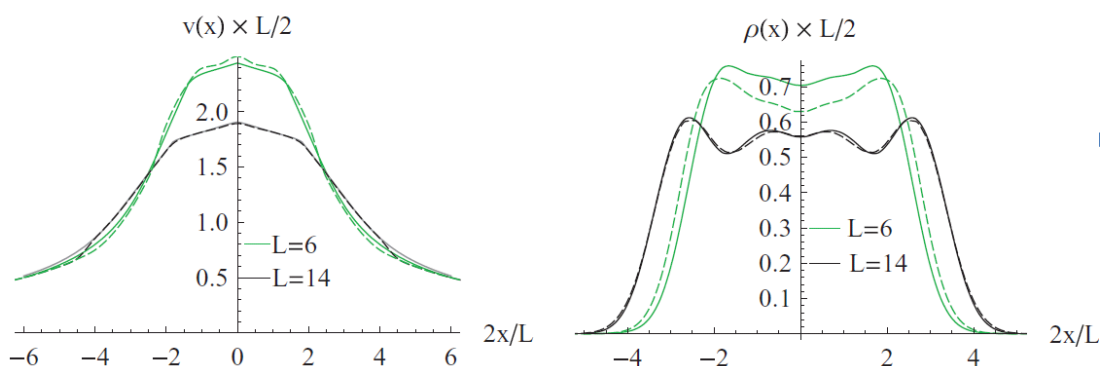
[Malet- Gori-Giorgi, 2013]

# Comparing SCE with LDA



- [Malet- Gori-Giorgi, 2013]
- $N=2$
- LDA systematically fails in the dissociation limit as  $L$  increases, while SCE at least qualitatively predicts the correct behavior.

# 1D quantum wire

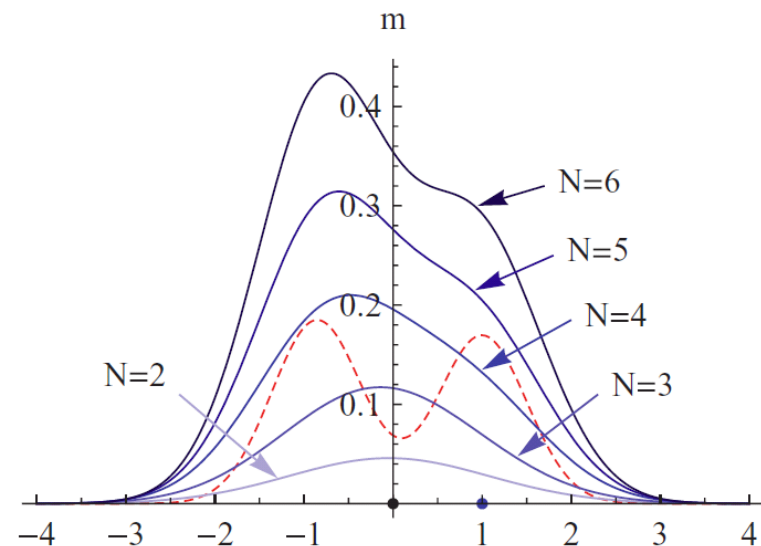
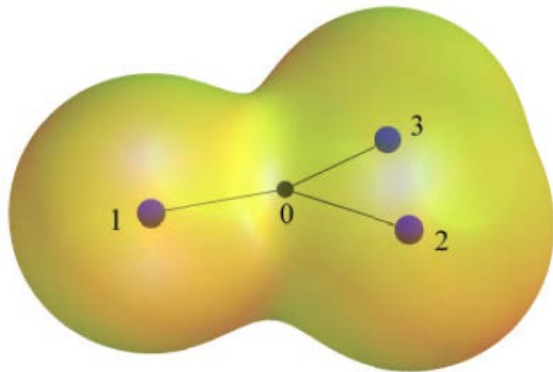


- KS-SCE, with self-consistent iteration.
- Periodic boundary condition,  $v$  represented by  $\sim 10$  Fourier modes.
- Qualitatively correct with the co-motion function formulation.
- Strong correlation ( $L=12$ ) is even easier than weak correlation ( $L=6$ )
- Sensitive to initial guess.

$L$	6	14
“exact” $V_{ee}^{\text{SCE}}$	1.025	0.3408
dual- $K$ $V_{ee}^{\text{SCE}}$	0.9394	0.3381
relative error	8.4%	0.8%

# Model trimer

Pseudocharge: three Gaussians with distance  $R$  to 0, and variance  $\sigma$ .



$N$	2	3	4	5	6
$V_{ee}^{\text{SCE}}$	0.1973	0.4617	0.7584	1.0711	1.3959
$\sigma$	1.1073	0.9804	0.8313	0.7741	0.7315
$R$	0.2260	0.5322	0.8538	0.9062	0.9417

# Conclusion

- Systematic failure of existing DFT functional for strongly correlated systems, such as  $H_2$  in the dissociation limit.
- Strictly correlated electron (SCE). The **key obstacle is a general and reliable algorithm** that allows the computation of SCE functional for general systems.
- Optimal transport problem with Coulomb cost. Monge formulation and Kantorovich dual formulation. The **Kantorovich dual formulation** may work better for general systems.
- **Nested optimization approach** as a first step for solving this optimal transport problem in the Kantorovich dual formulation.
- Derivative-free optimization is a **major drawback**.

# Future work and open questions

- Allow the computation of the derivative  $\frac{\delta g[m]}{\delta m}$ .
- Computing the  $H_2$  dissociation limit in the KS-SCE formulation using a set of basis functions (such as Gaussians).
- Monge-Kantorovich duality for optimal transport problem with Coulomb cost.  $N > 2$ .
- Regularity of the Kantorovich potential.

Thank you for your attention!