

# Transfer Matrices and Periodic Focusing Systems

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**Kyoung-Jae Chung**

*Department of Nuclear Engineering*

**Seoul National University**

# Introduction

- Periodic focusing channels are used to confine high-energy beams in linear and circular accelerators. Periodic channels consist of a sequence of regions called focusing cells containing one or more charged particle optical elements. A **focusing cell** is the smallest unit of periodicity in the channel. The main application is in high-energy accelerators that utilize **strong focusing**.
- For example, the focusing channel of a linear ion accelerator consists typically of **a series of magnetic quadrupole lenses** with alternating north-south pole orientation. Thus, along either transverse axis, the lenses are alternately focusing and defocusing. Such a combination has a **net focusing** effect that is stronger than a series of solenoid lenses at the same field strength.
- A quadrupole focusing channel can therefore be constructed with a much smaller bore diameter than a solenoid channel of the same acceptance. The associated reduction in the size and power consumption of focusing magnets has been a key factor in the development of modern high-energy accelerators.
- Periodic focusing channels also have application at low beam energy. Configurations include the electrostatic accelerator column, the electrostatic Einzel lens array and periodic permanent magnet (PPM) channels used in high-power microwave tubes.

# Transfer matrix

- Most beam transport devices, such as charged particle lenses and bending magnets, apply **transverse forces that are linearly proportional to the distance of a particle from a preferred axis**.
- To specify the orbit of the particle in the x-direction, we must give its position,  $x$ , and velocity,  $v_x$ . The convention in charged-particle optics is to represent particle orbits in terms of **their angle relative to the main axis**, rather than the transverse velocity. In the limit that  $v_x \ll v_z$ , the angle is

$$x' = \frac{dx}{dz} \approx \frac{v_x}{v_z}$$

- If the x-directed forces in the device are linear, then we can express the **exit vector** as a linear combination of the **entrance vector components**:

$$\begin{bmatrix} x_1 \\ x'_1 \end{bmatrix} = \begin{bmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{bmatrix} \begin{bmatrix} x_0 \\ x'_0 \end{bmatrix}$$

Exit vector      Transfer matrix      Entrance vector

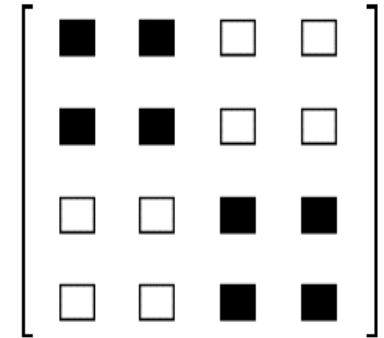
- The quantities  $a_{mn}$  depend on the distribution of forces. Without acceleration, the determinant of the transfer matrix equals unity.

# Transfer matrix

- If a particle travels through linear device  $A$  and then through device  $B$ , the final orbit vector is

$$\begin{bmatrix} x_2 \\ x'_2 \end{bmatrix} = \begin{bmatrix} b_{11} & b_{12} \\ b_{21} & b_{22} \end{bmatrix} \begin{bmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{bmatrix} \begin{bmatrix} x_0 \\ x'_0 \end{bmatrix}$$

$$x_2 = B(Ax_0) = (BA)x_0 = Cx_0$$



- The orbit vector transformation from any combination of one-dimensional focusing elements is a single transfer matrix, the product of the individual matrices of all the elements.
- The particle orbit vector for a two-dimensional focusing system is  $x = [x, x', y, y']$ . A  $4 \times 4$  matrix represents the effect of a general linear focusing element or system.
- In many practical devices, such as quadrupole lens arrays, the forces in the  $x$  and  $y$  directions are **independent**. Then, we can calculate motion in  $x$  and  $y$  **separately** using individual  $2 \times 2$  matrices.

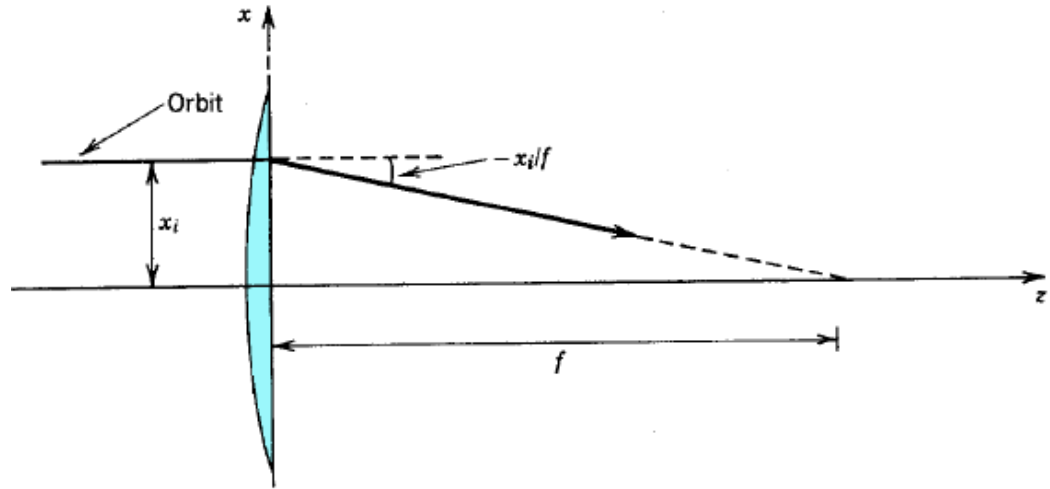
# Transfer matrix for a thin lens and drift region

- The matrix for a thin lens with focal length  $f$  is

$$x_f = x_i$$

$$x'_f = x'_i - x_i/f$$

$$M = \begin{bmatrix} 1 & 0 \\ -1/f & 1 \end{bmatrix}$$

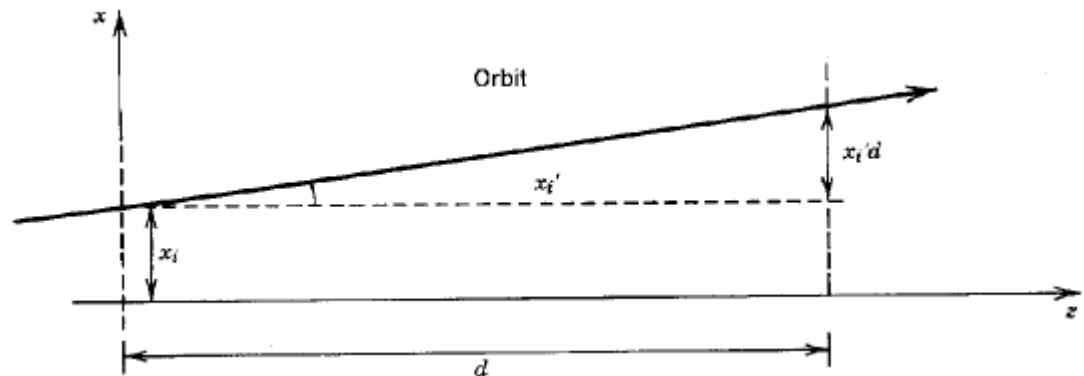


- The matrix of a field-free drift region of length  $d$  is

$$x_f = x_i + x'_i d$$

$$x'_f = x'_i$$

$$M = \begin{bmatrix} 1 & d \\ 0 & 1 \end{bmatrix}$$



# Transfer matrix for a sector magnet w/ weak focusing

- The sector field below is a pie-shaped segment of the betatron field. For horizontal plane,

$$x = A \cos[\sqrt{1 - n_0} z/r_g + \varphi] \quad x' = -(\sqrt{1 - n_0}/r_g) A \sin[\sqrt{1 - n_0} z/r_g + \varphi]$$

- For input vector  $(x_i, 0) : \varphi = 0$

$$x_f = x_i \cos(\sqrt{1 - n_0} d/r_g)$$

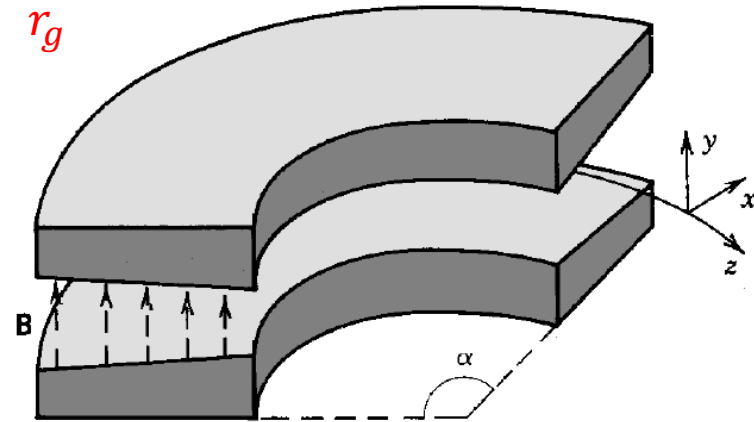
$$x'_f = -x_i \sqrt{1 - n_0}/r_g \sin(\sqrt{1 - n_0} d/r_g)$$

- For input vector  $(0, x'_i) : \varphi = \pi/2$

$$x_f = x'_i r_g \sin(\sqrt{1 - n_0} d/r_g) / \sqrt{1 - n_0}$$

$$x'_f = x'_i \cos(\sqrt{1 - n_0} d/r_g)$$

$$\omega_g t = \frac{v_z t}{r_g} = \frac{z}{r_g}$$



$$A_H = \begin{bmatrix} \cos(\sqrt{1 - n_0} \alpha) & \frac{r_g \sin(\sqrt{1 - n_0} \alpha)}{\sqrt{1 - n_0}} \\ -\frac{\sqrt{1 - n_0} \sin(\sqrt{1 - n_0} \alpha)}{r_g} & \cos(\sqrt{1 - n_0} \alpha) \end{bmatrix}$$

$$n_0 = -\frac{r_g}{B_0} \frac{\partial B_z(r, 0)}{\partial r}$$

$$\frac{d}{r_g} = \alpha$$

# Transfer matrix for a sector magnet w/ weak focusing

- Similarly,

$$A_V = \begin{bmatrix} \cos(\sqrt{n_0} \alpha) & \frac{r_g \sin(\sqrt{n_0} \alpha)}{\sqrt{n_0}} \\ -\frac{\sqrt{n_0} \sin(\sqrt{n_0} \alpha)}{r_g} & \cos(\sqrt{n_0} \alpha) \end{bmatrix}$$

- Initially parallel beams are focused in the horizontal direction. The horizontal focal length beyond the sector exit is

$$f' = \frac{r_g}{\sqrt{1 - n_0} \tan(\sqrt{1 - n_0} \alpha)}$$

- The distance to the vertical focal point is

$$f' = \frac{r_g}{\sqrt{n_0} \tan(\sqrt{n_0} \alpha)}$$

- If  $n_0 = +0.5$ , horizontal and vertical focal lengths are equal and the sector lens can produce a two-dimensional image. The dual-focusing property of the gradient field is used in charged particle spectrometers.

# Transfer matrix for a sector magnet w/ weak focusing

- The transfer matrix for particles moving backward in the sector field is the **inverse** of the matrix for forward motion.

$$\mathbf{A} = \begin{bmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{bmatrix}$$

$$\mathbf{A}^{-1} = \frac{1}{\det \mathbf{A}} \begin{bmatrix} a_{22} & -a_{12} \\ -a_{21} & a_{11} \end{bmatrix}$$

$$\mathbf{A}_H^{-1} = \begin{bmatrix} \cos(\sqrt{1-n_0} \alpha) & -\frac{r_g \sin(\sqrt{1-n_0} \alpha)}{\sqrt{1-n_0}} \\ \frac{\sqrt{1-n_0} \sin(\sqrt{1-n_0} \alpha)}{r_g} & \cos(\sqrt{1-n_0} \alpha) \end{bmatrix} \quad \alpha \rightarrow -\alpha$$

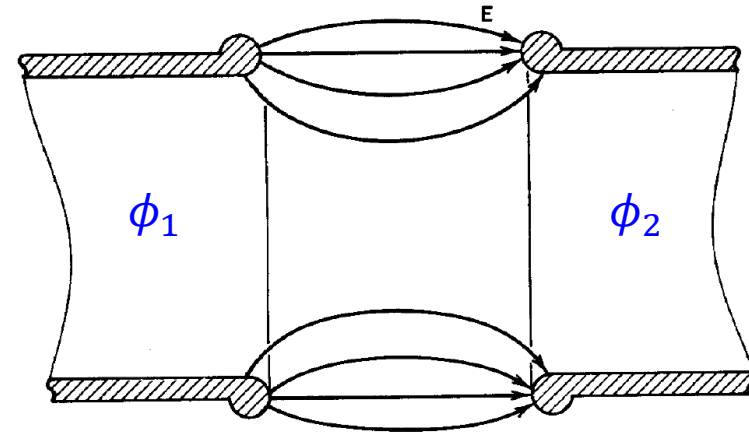
- This result is obtained by replacing  $\alpha$  with  $-\alpha$ . The negative angle corresponds to motion in the -z direction. The effect of the element is independent of the direction. The same holds true for any optical element in which **the energy of the charged particle is unchanged**. We can verify that in this case  **$\det \mathbf{A} = 1$** .



# Transfer matrix for an immersion lens (acceleration gap)

- Assume the focal length for motion of nonrelativistic particles in the accelerating direction,  $f_a$ , is known.
- The ratio of the exit velocity to the entrance velocity is

$$\xi = \sqrt{\frac{\phi_2}{\phi_1}}$$



- In the thin-lens approximation, for input vector  $(x_i, 0)$ ,  $x'_f = -x_i/f_a$ , and for  $(0, x'_i)$ ,  $x'_f = x'_i/\xi$ . The transfer matrix of a thin electrostatic lens with acceleration is

$$\mathbf{A} = \begin{bmatrix} 1 & 0 \\ -\frac{1}{f_a} & \frac{1}{\xi} \end{bmatrix} \quad \det \mathbf{A} = \frac{1}{\xi} \neq 0$$

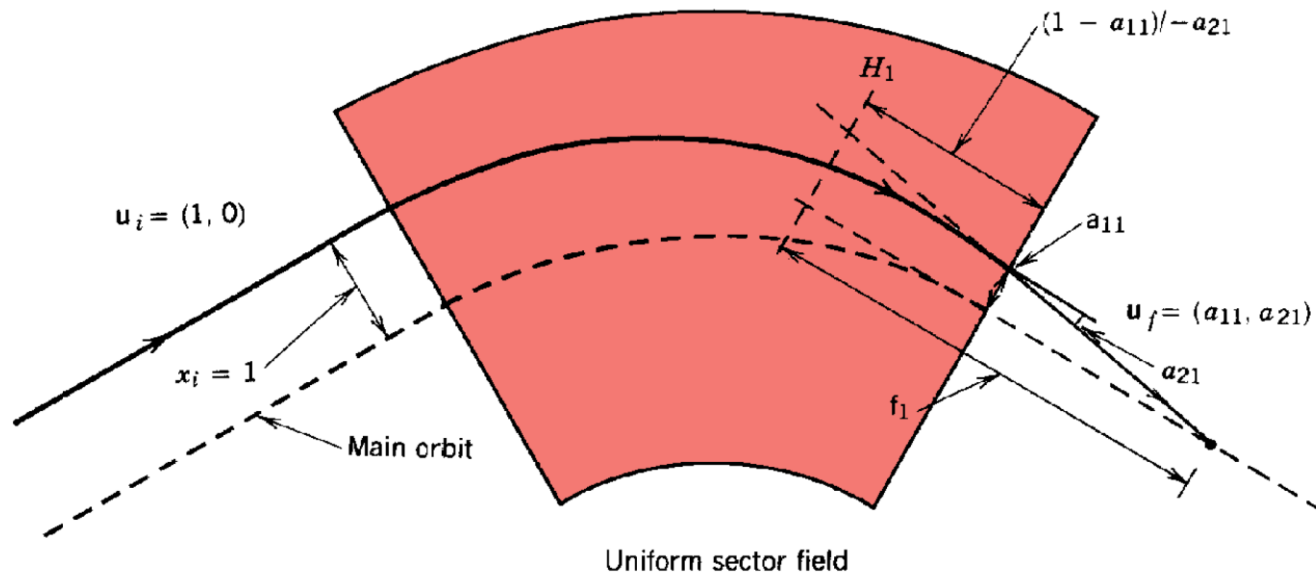
- The transfer matrix for a decelerating lens is

$$\mathbf{A}^{-1} = \begin{bmatrix} 1 & 0 \\ -\frac{\xi}{f_a} & \xi \end{bmatrix} \quad f_d = \frac{f_a}{\xi}$$

# Transfer matrix for a uniform-field sector magnet

- The components  $a_{11}$  and  $a_{21}$  are related to  $f_1$  and  $H_1$ .
- The matrix and Gaussian descriptions of linear lenses are equivalent. Lens properties are completely determined by four quantities.

$$A = \begin{bmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{bmatrix} \quad f' = -\frac{a_{11}}{a_{21}} \quad f_1 = -\frac{1}{a_{21}}$$



**Figure 8.4** Horizontal particle motion in a uniform-field sector magnet. Relationship between the elements of the transfer matrix and the principal planes and focal lengths of Gaussian optics.

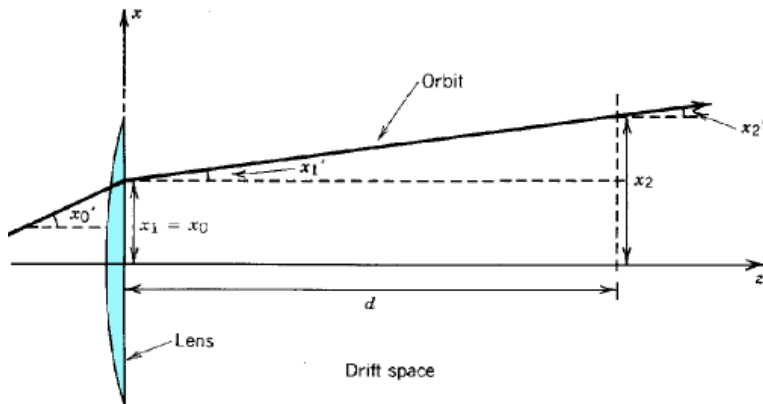
# Combining optical elements

- If a particle travels through linear device  $A$  and then through device  $B$ , the final orbit vector is

$$\begin{bmatrix} x_2 \\ x_2' \end{bmatrix} = \begin{bmatrix} b_{11} & b_{12} \\ b_{21} & b_{22} \end{bmatrix} \begin{bmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{bmatrix} \begin{bmatrix} x_0 \\ x_0' \end{bmatrix}$$

$$x_2 = B(Ax_0) = (BA)x_0 = Cx_0$$

- For a thin lens with focal length  $f$  followed by a drift space  $d$ :



$$C = \begin{bmatrix} 1 & d \\ 0 & 1 \end{bmatrix} \begin{bmatrix} 1 & 0 \\ -\frac{1}{f} & 1 \end{bmatrix} = \begin{bmatrix} 1 - \frac{d}{f} & d \\ -\frac{1}{f} & 1 \end{bmatrix}$$

- For multiple lens:  $C = A_n A_{n-1} \cdots A_2 A_1$

# Transfer matrix of a quadrupole lens

- For focusing

$$\begin{bmatrix} x_f \\ x'_f \end{bmatrix} = \begin{bmatrix} \cos(\sqrt{\kappa}l) & \sin(\sqrt{\kappa}l)/\sqrt{\kappa} \\ -\sqrt{\kappa} \sin(\sqrt{\kappa}l) & \cos(\sqrt{\kappa}l) \end{bmatrix} \begin{bmatrix} x_i \\ x'_i \end{bmatrix} = \mathbf{A}_F \begin{bmatrix} x_i \\ x'_i \end{bmatrix}$$

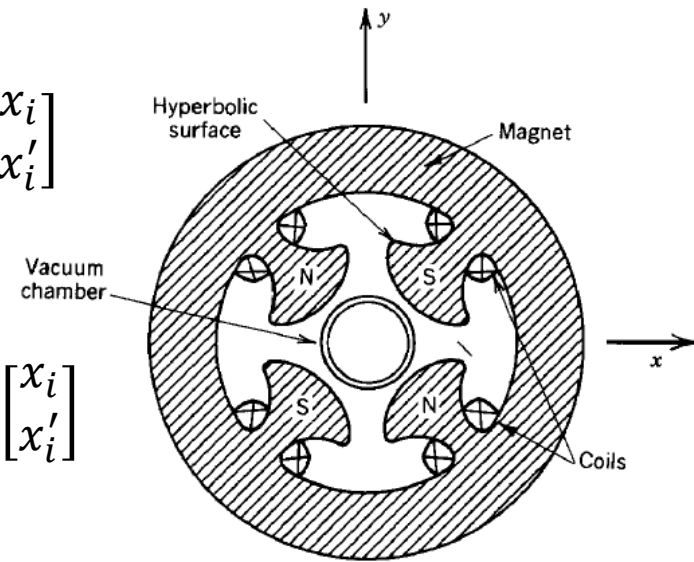
- For defocusing

$$\begin{bmatrix} x_f \\ x'_f \end{bmatrix} = \begin{bmatrix} \cosh(\sqrt{\kappa}l) & \sinh(\sqrt{\kappa}l)/\sqrt{\kappa} \\ \sqrt{\kappa} \sinh(\sqrt{\kappa}l) & \cosh(\sqrt{\kappa}l) \end{bmatrix} \begin{bmatrix} x_i \\ x'_i \end{bmatrix} = \mathbf{A}_D \begin{bmatrix} x_i \\ x'_i \end{bmatrix}$$

$$\kappa = \frac{qB_0}{\gamma m_0 a v_z} \quad \Gamma = \sqrt{\kappa}l$$

- For  $\Gamma \leq 1$ ,

$$\mathbf{A}_F \approx \begin{bmatrix} 1 - \frac{\Gamma^2}{2} + \frac{\Gamma^4}{24} & \left(\Gamma - \frac{\Gamma^3}{6}\right)/\sqrt{\kappa} \\ -\sqrt{\kappa} \left(\Gamma - \frac{\Gamma^3}{6}\right) & 1 - \frac{\Gamma^2}{2} + \frac{\Gamma^4}{24} \end{bmatrix} \quad \mathbf{A}_D \approx \begin{bmatrix} 1 + \frac{\Gamma^2}{2} + \frac{\Gamma^4}{24} & \left(\Gamma + \frac{\Gamma^3}{6}\right)/\sqrt{\kappa} \\ \sqrt{\kappa} \left(\Gamma + \frac{\Gamma^3}{6}\right) & 1 + \frac{\Gamma^2}{2} + \frac{\Gamma^4}{24} \end{bmatrix}$$



# Quadrupole doublet lens

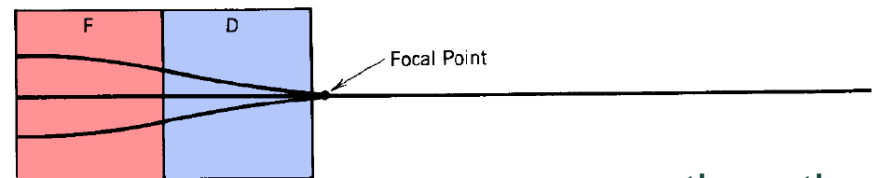
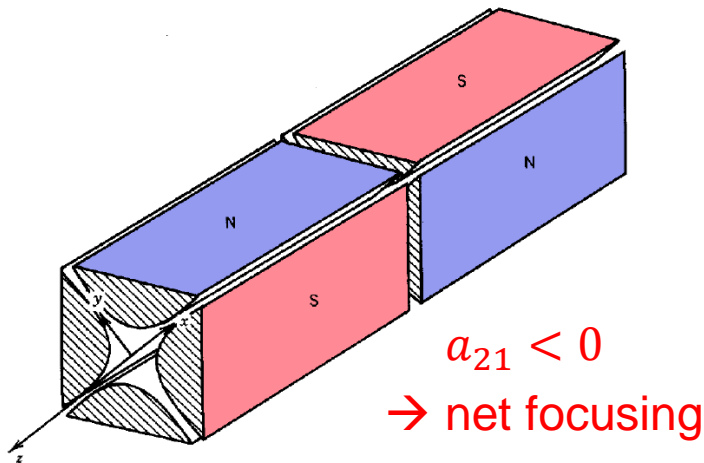
- Two-dimensional focusing can be accomplished with combinations of quadrupole lenses. → basis for high-energy particle transport system.

- For FD channel   $\Gamma = \sqrt{\kappa}l$

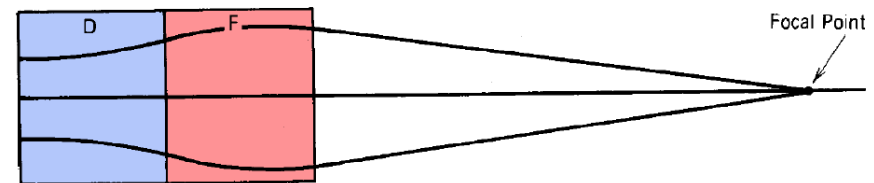
$$C_{FD} = \begin{bmatrix} \cos \Gamma \cosh \Gamma - \sin \Gamma \sinh \Gamma & (\cosh \Gamma \sin \Gamma + \cos \Gamma \sinh \Gamma)/\sqrt{\kappa} \\ \sqrt{\kappa}(\cos \Gamma \sinh \Gamma - \cosh \Gamma \sin \Gamma) & \cos \Gamma \cosh \Gamma + \sin \Gamma \sinh \Gamma \end{bmatrix}$$

- For DF channel 

$$C_{DF} = \begin{bmatrix} \cos \Gamma \cosh \Gamma + \sin \Gamma \sinh \Gamma & (\cosh \Gamma \sin \Gamma + \cos \Gamma \sinh \Gamma)/\sqrt{\kappa} \\ \sqrt{\kappa}(\cos \Gamma \sinh \Gamma - \cosh \Gamma \sin \Gamma) & \cos \Gamma \cosh \Gamma - \sin \Gamma \sinh \Gamma \end{bmatrix}$$



astigmatic



# Quadrupole doublet lens

- If we take  $f = \pm 1/\kappa l$ , the quadrupole elements can be replaced by a drift space of length  $l$  with a thin lens at the center.

$$A_F \approx \begin{bmatrix} 1 - \frac{\kappa l^2}{2} & l - \frac{\kappa l^3}{6} \\ -\kappa l + \frac{\kappa^2 l^3}{6} & 1 - \frac{\kappa l^2}{2} \end{bmatrix} \quad A_D \approx \begin{bmatrix} 1 + \frac{\kappa l^2}{2} & l + \frac{\kappa l^3}{6} \\ \kappa l + \frac{\kappa^2 l^3}{6} & 1 + \frac{\kappa l^2}{2} \end{bmatrix}$$

- [Note] The transfer matrix for a three-element optical system consisting of a drift space of length  $l/2$ , a thin lens with focal length  $\pm f$ , and another drift space is

$$A = \begin{bmatrix} 1 & l \\ 0 & 1 \end{bmatrix} \begin{bmatrix} 1 & 0 \\ \pm \frac{1}{f} & 1 \end{bmatrix} \begin{bmatrix} 1 & l \\ 0 & 1 \end{bmatrix} = \begin{bmatrix} 1 \pm \frac{l}{2f} & l \pm \frac{l^2}{4f} \\ \pm \frac{1}{f} & 1 \pm \frac{l}{2f} \end{bmatrix}$$

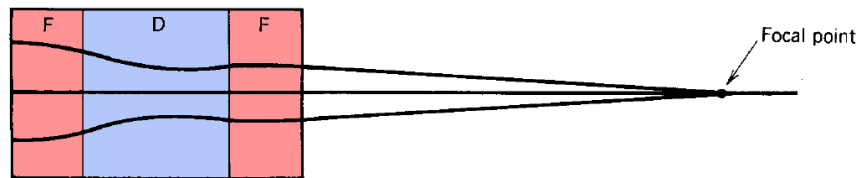
- Then, we obtain the approximate solution for doublet quadrupole lens array

$$C_{FD} = \begin{bmatrix} 1 - \kappa l^2 & 2l \\ -2\kappa^2 l^3 / 3 & 1 + \kappa l^2 \end{bmatrix} \quad C_{DF} = \begin{bmatrix} 1 + \kappa l^2 & 2l \\ -2\kappa^2 l^3 / 3 & 1 - \kappa l^2 \end{bmatrix}$$

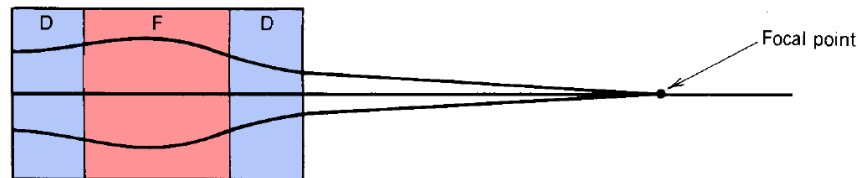
# Quadrupole triplet lens

- Stigmatism can be achieved with quadrupoles in a configuration called the triplet. This consists of three quadrupole sections. The entrance and exit sections have the same length ( $l/2$ ) and pole orientation, while the middle section is rotated  $90^\circ$  and has length  $l$ .
- An exact treatment shows that the exit displacements are identical in both planes for equal entrance displacements. A transfer matrix of triplet quadrupole lens array for both FDF and DFD is given by

$$C_{FDF} = \begin{bmatrix} 1 & 2l \\ -\frac{\kappa^2 l^3}{6} - \frac{\kappa^3 l^5}{24} & 1 \end{bmatrix} \quad C_{DFD} = \begin{bmatrix} 1 & 2l \\ -\frac{\kappa^2 l^3}{6} - \frac{\kappa^3 l^5}{20} & 1 \end{bmatrix}$$



stigmatic



# Focusing in a thin-lens array

- The orbit parameters at the exit of the  $n$ th focusing cell:

$$x_{n+1} = x_n + d x'_n$$

$$x'_{n+1} = x'_n - \frac{x_{n+1}}{f} = \frac{x_{n+2} - x_{n+1}}{d}$$

$$\begin{bmatrix} x_{n+1} \\ x'_{n+1} \end{bmatrix} = \begin{bmatrix} 1 & d \\ -\frac{1}{f} & 1 - \frac{d}{f} \end{bmatrix} \begin{bmatrix} x_n \\ x'_n \end{bmatrix}$$

- We obtain the difference equation:

$$x_{n+2} - 2 \left( 1 - \frac{d}{2f} \right) x_{n+1} + x_n = 0$$

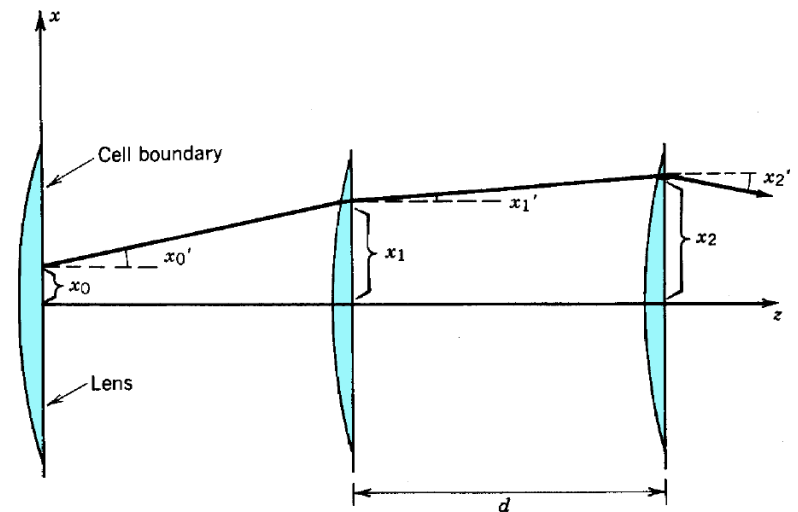
$$\Rightarrow x_n = x_0 \exp(jn\mu) = x_0 \cos(n\mu + \varphi)$$

- The solution is harmonic when:

$$\left| 1 - \frac{d}{2f} \right| \leq 1$$

- The phase advance:

$$\mu = \pm \cos^{-1} \left( 1 - \frac{d}{2f} \right)$$





# Focusing in a thin-lens array

- There are parameters for which all particle orbits are unstable. Orbits are no longer harmonic but have an exponentially growing displacement when

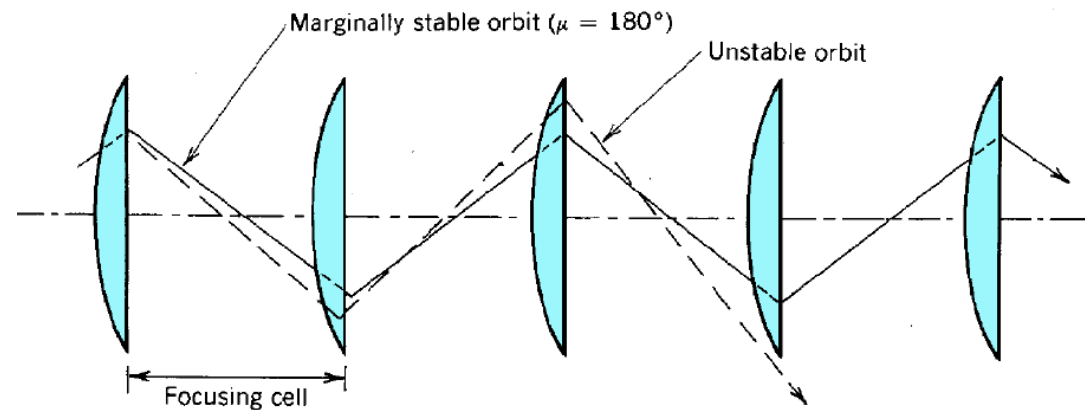
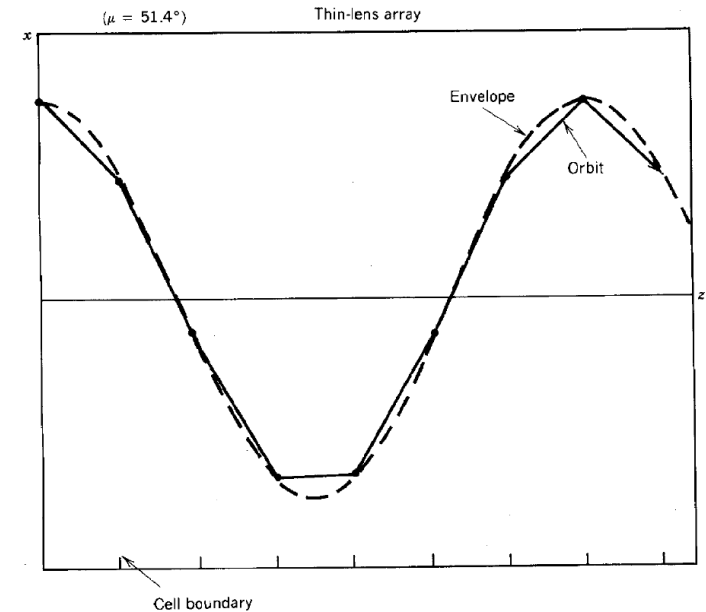
$$\left| 1 - \frac{d}{2f} \right| > 1$$

- Stability condition for transport in a thin-lens array:

$$f \geq \frac{d}{4}$$

- In general:  $C^n = \begin{bmatrix} 1 & d \\ -\frac{1}{f} & 1 - \frac{d}{f} \end{bmatrix}^n$

$$\left| \frac{\text{Tr } C}{2} \right| \leq 1$$



# General treatment using matrix

- Transfer matrices have eigenvalues and eigenvectors.

$$\mathbf{C}\mathbf{v}_i = \lambda_i\mathbf{v}_i$$

$$\mathbf{C} = \begin{bmatrix} c_{11} & c_{12} \\ c_{21} & c_{22} \end{bmatrix}$$

- Any orbit vector at the entrance to a periodic focusing system can be written in the form

$$\mathbf{u}_0 = a_1\mathbf{v}_1 + a_2\mathbf{v}_2$$

- The orbit vector after n focusing cells of a periodic system is given by

$$\mathbf{u}_n = a_1\lambda_1^n\mathbf{v}_1 + a_2\lambda_2^n\mathbf{v}_2$$

- Eigenvalues

$$\lambda^2 - (\text{Tr}\mathbf{C})\lambda + \det\mathbf{C} = \lambda^2 - (\text{Tr}\mathbf{C})\lambda + 1 = 0 \quad \Rightarrow \quad \lambda_1, \lambda_2 = \frac{\text{Tr}\mathbf{C}}{2} \pm \sqrt{\left(\frac{\text{Tr}\mathbf{C}}{2}\right)^2 - 1}$$

- Stability condition

$$\left| \frac{\text{Tr}\mathbf{C}}{2} \right| \leq 1 \quad \lambda_1, \lambda_2 = \frac{\text{Tr}\mathbf{C}}{2} \pm j \sqrt{1 - \left(\frac{\text{Tr}\mathbf{C}}{2}\right)^2} = \cos\mu \pm j \sin\mu = \exp(\pm j\mu)$$

# Quadrupole focusing channels

- For FD channel

$$C_{FD} = \begin{bmatrix} \cos \Gamma \cosh \Gamma - \sin \Gamma \sinh \Gamma & (\cosh \Gamma \sin \Gamma + \cos \Gamma \sinh \Gamma) / \sqrt{\kappa} \\ \sqrt{\kappa} (\cos \Gamma \sinh \Gamma - \cosh \Gamma \sin \Gamma) & \cos \Gamma \cosh \Gamma + \sin \Gamma \sinh \Gamma \end{bmatrix}$$

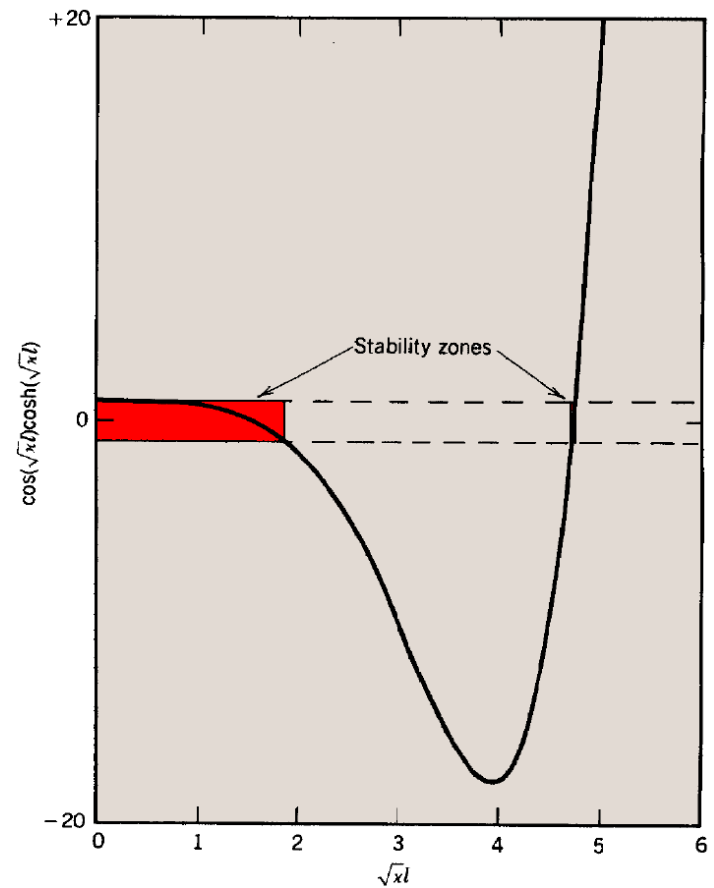
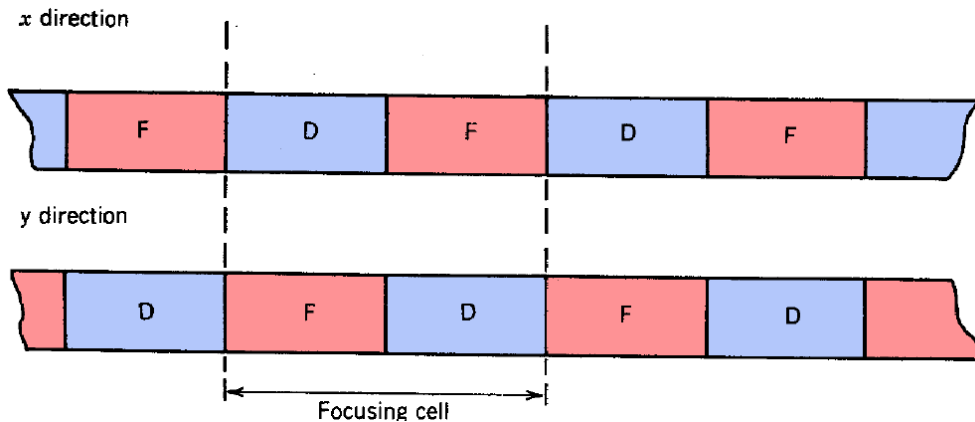
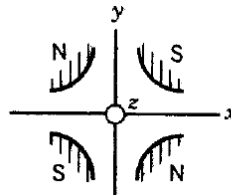
- For stable orbits

$$-1 \leq \cos \Gamma \cosh \Gamma \leq 1$$

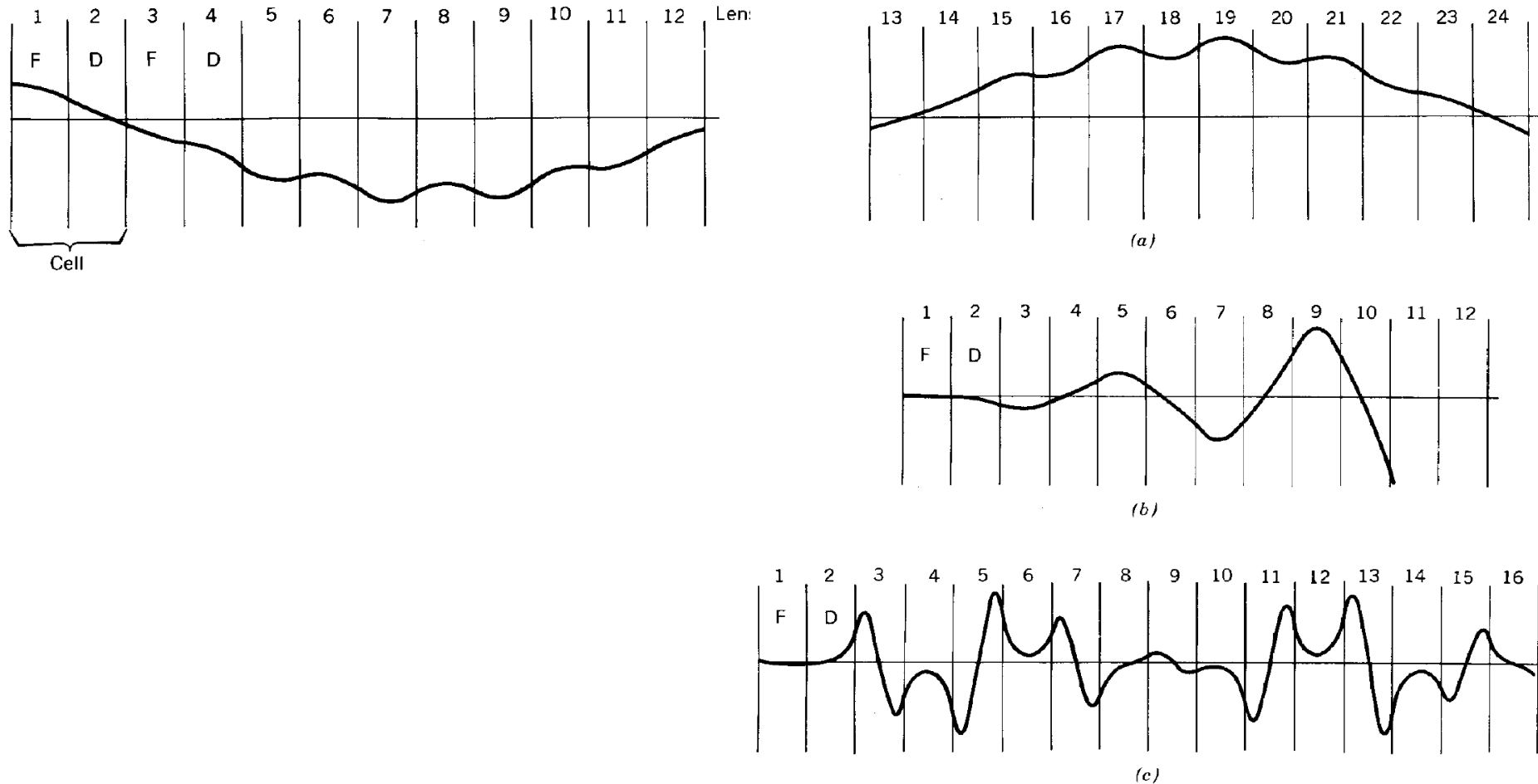
$$\Gamma = \sqrt{\kappa} l$$



$$0 \leq \Gamma \leq 1.86$$



# Actual particle orbits in an FD quadrupole array



**Figure 8.14** Numerical calculations of actual particle orbits in an FD quadrupole array. (a)  $\sqrt{\kappa}l = 1$  (stable orbit, first passband). (b)  $\sqrt{\kappa}l = 1.9$  (unstable orbit). (c)  $\sqrt{\kappa}l = 4.7$  (stable orbit, second passband).

# Orbital stability in quadrupole array with unequal focusing strength

- In many strong focusing systems, alternate cells may not have the same length or focusing strength, i.e.  $\Gamma_F \neq \Gamma_D$ .

- The transfer matrix for DF channel is

$$\mathbf{C}_{DF} = \begin{bmatrix} \cos \Gamma_1 & \sin \Gamma_1 / \sqrt{\kappa_1} \\ -\sqrt{\kappa_1} \sin \Gamma_1 & \cos \Gamma_1 \end{bmatrix} \begin{bmatrix} \cosh \Gamma_2 & \sinh \Gamma_2 / \sqrt{\kappa_2} \\ \sqrt{\kappa_1} \sinh \Gamma_2 & \cosh \Gamma_2 \end{bmatrix}$$

- The phase advance for DF operation:

$$\cos \mu_{DF} = \cos \Gamma_1 \cosh \Gamma_2 + \left( \frac{\sin \Gamma_1 \sinh \Gamma_2}{2} \right) \left( \frac{\Gamma_2 l_1}{\Gamma_1 l_2} - \frac{\Gamma_1 l_2}{\Gamma_2 l_1} \right)$$

- Similarly,

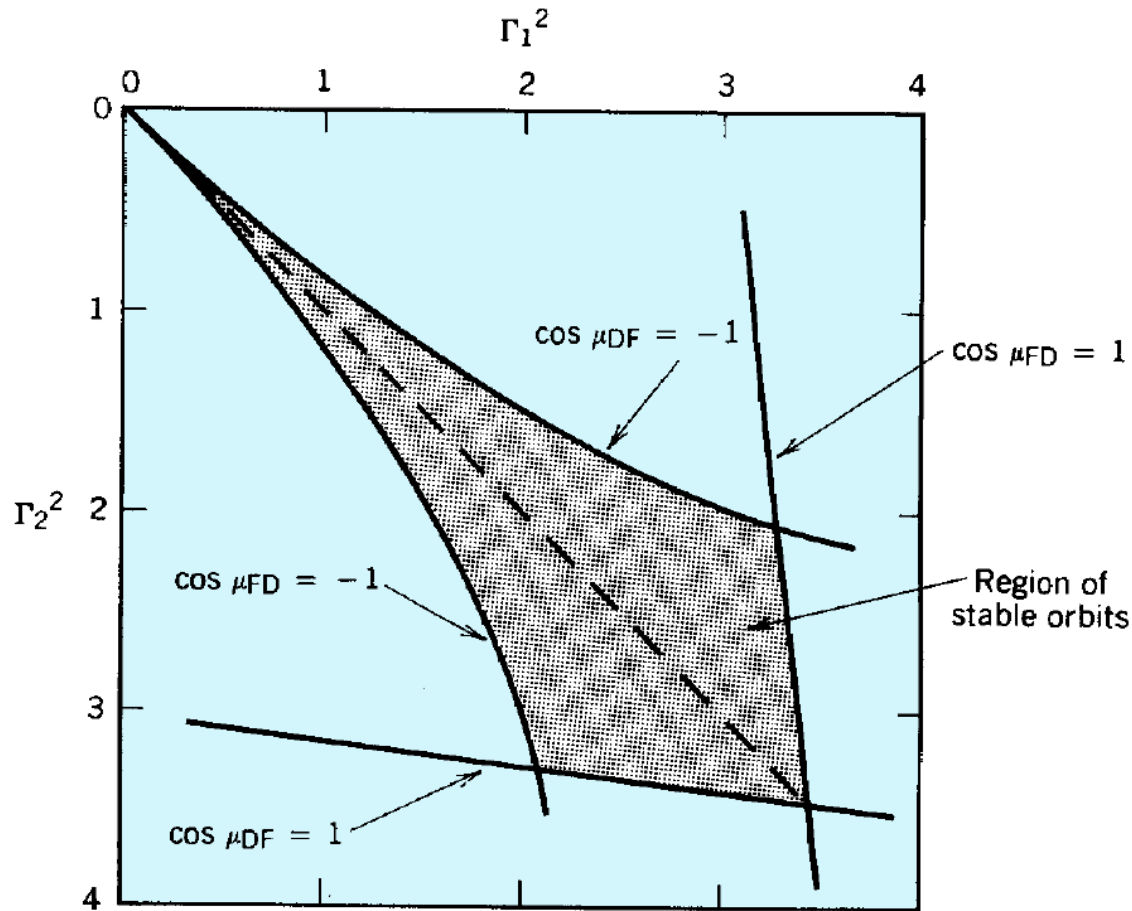
$$\cos \mu_{FD} = \cosh \Gamma_1 \cos \Gamma_2 + \left( \frac{\sinh \Gamma_1 \sin \Gamma_2}{2} \right) \left( \frac{\Gamma_1 l_2}{\Gamma_2 l_1} - \frac{\Gamma_2 l_1}{\Gamma_1 l_2} \right)$$

- Stability condition:

$$-1 \leq \cos \mu_{FD} \leq 1$$

$$-1 \leq \cos \mu_{DF} \leq 1$$

# Necktie diagram



**Figure 8.15** Necktie diagram. Orbital stability in an FD (DF) quadrupole array; the two lenses of a cell have unequal focusing strength.  $\Gamma_1 = \sqrt{\kappa_1} l_1$ ,  $\Gamma_2 = \sqrt{\kappa_2} l_2$ . Region of parameter space with orbital stability in both  $x$  and  $y$  directions shaded. FD (lens 1 focusing, lens 2 defocusing), DF (lens 1 defocusing, lens 2 focusing).

# Homework

- Derive the followings for doublet or triplet quadrupole lens arrays.

$$C_{FD} = \begin{bmatrix} 1 - \kappa l^2 & 2l \\ -2\kappa^2 l^3 / 3 & 1 + \kappa l^2 \end{bmatrix}$$

$$C_{DF} = \begin{bmatrix} 1 + \kappa l^2 & 2l \\ -2\kappa^2 l^3 / 3 & 1 - \kappa l^2 \end{bmatrix}$$

$$C_{FDF} = \begin{bmatrix} 1 & 2l \\ -\frac{\kappa^2 l^3}{6} & 1 \end{bmatrix}$$

$$C_{DFD} = \begin{bmatrix} 1 & 2l \\ -\frac{\kappa^2 l^3}{6} & 1 \end{bmatrix}$$