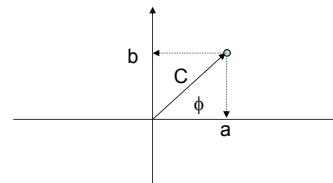


Class overview:

1. Brief review of physical optics, wave propagation, interference, diffraction, and polarization
2. Introduction to Integrated optics and integrated electrical circuits
3. Guide-wave optics: 2D and 3D optical waveguide, optical fiber, mode dispersion, group velocity and group velocity dispersion.
4. Mode-coupling theory, Mach-Zehnder interferometer, Directional coupler, taps and WDM coupler.
5. Electro-optics, index tensor, electro-optic effect in crystal, electro-optic coefficient
6. Electro-optical modulators
7. Passive and active optical waveguide devices, Fiber Optical amplifiers and semiconductor optical amplifiers, Photonic switches and all optical switches
8. Opto-electronic integrated circuits (OEIC)

Complex numbers

$$c = a + ib \text{ or } Ce^{i\phi} \quad C: \text{amplitude} \quad \phi: \text{angle}$$



$$c_1 \pm c_2 = (a_1 \pm a_2) + i(b_1 \pm b_2)$$

Real numbers do not have phases

Complex numbers have phases

$Ce^{i\phi}$      $\phi$  is the phase of the complex number

Physical meaning of multiplication of two complex numbers

$$c_1 \cdot c_2 = C_1 e^{i\phi_1} \cdot C_2 e^{i\phi_2} = C_1 \cdot C_2 e^{i(\phi_1 + \phi_2)}$$

Number:  $C_1 \cdot C_2$        $C_2$  times  
Phase:  $\phi_1 + \phi_2$       Phase delay  $\phi_2$

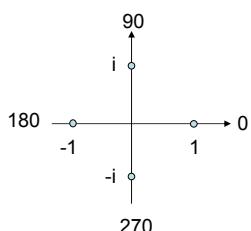
Why  $i \cdot i = -1$ ?

$$i = 1 \cdot e^{i\frac{\pi}{2}}$$

$$i \cdot i = 1 \cdot 1 \cdot e^{i(\frac{\pi}{2} + \frac{\pi}{2})} = e^{i(\pi)}$$

$$i^3 = -i \quad i^4 = 1$$

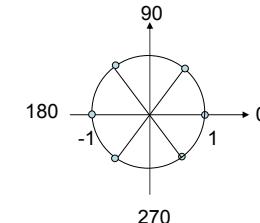
$$\sqrt{-1} = \pm i \quad \sqrt[4]{-1} = \pm i; \pm 1$$



$$\sqrt[6]{1} = ?$$

$$\sqrt[6]{1} = e^{i(\frac{2\pi n}{6})}, n = 0, 1, \dots, 5$$

$$\sqrt[12]{2} = \sqrt[12]{2} e^{i(\frac{2\pi n}{12})}, n = 0, 1, \dots, 11$$

Optical wave

$$A e^{i(kx - \omega t + \phi)}$$

Initial phase

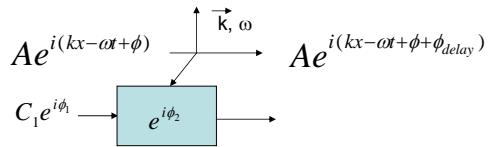
Phase delay by time

Phase delay by position

Amplitude,  $I = |A|^2$ , Optical intensity

Vertical polarization,  
 $k \perp$  polarization, transwave  
 $\vec{k}, \omega$   
k vector, to x-direction  
Horizontal polarization

Optical wave propagation in air (free-space)

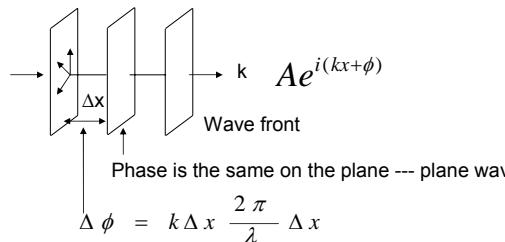


Usually, ignore  $t$  term. Because look at system at the same time. Snap shoot.

$$A e^{i(kx + \phi)}$$

$$\text{Phase delay } \phi_{\text{delay}} = k \cdot x = \frac{2\pi}{\lambda} x$$

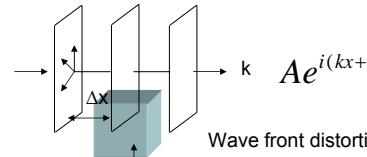
Optical wave propagation in air (free-space)



Phase is the same on the plane --- plane wave

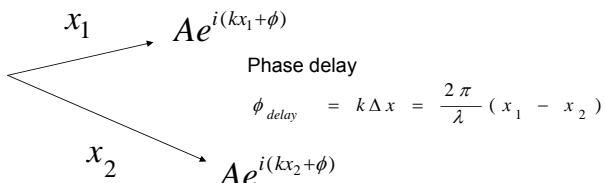
$$\Delta \phi = k \Delta x \frac{2\pi}{\lambda} \Delta x$$

Phase distortion in atmosphere



Additional phase delay, → non ideal plane wave

Optical wave to different directions



Refractive index  $n$

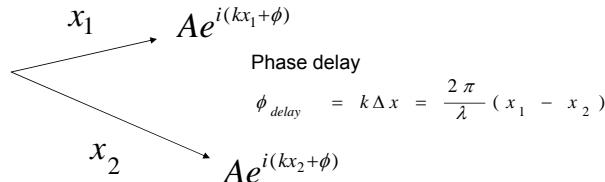
In vacuum,

$$k = \frac{2\pi}{\lambda} \quad V = c = \frac{\lambda}{T} = \lambda f \quad c: \text{speed of light}$$

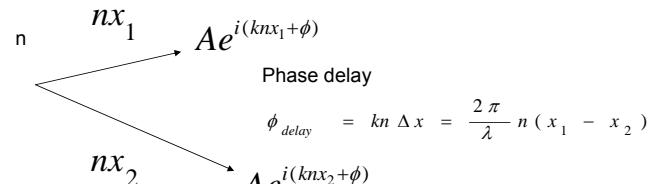
In media, like glass,

$$k = \frac{2\pi}{\lambda/n} = \frac{2\pi}{\lambda} n \quad V = c/n = \frac{\lambda/n}{T} = \lambda f/n$$

Optical wave to different directions

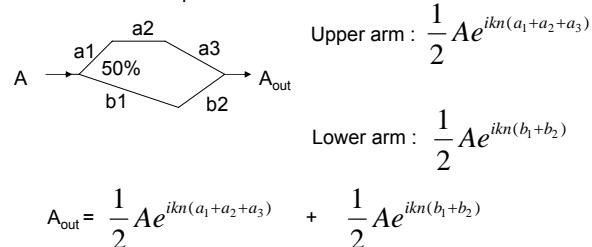


In media with refractive index  $n$



nx1, nx2, optical path

## Interference of two optical waves

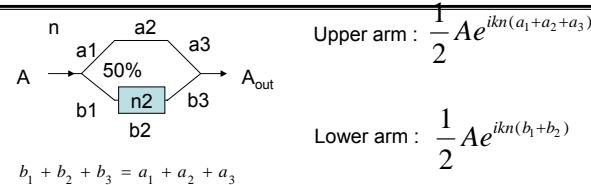


Phase delay between the two arms:

$$kn(b_1 + b_2 - a_1 - a_2 - a_3)$$

$$\text{If phase delay is } 2m\pi, \text{ then: } \frac{1}{2} A e^{ikn(a_1+a_2+a_3)} = \frac{1}{2} A e^{ikn(b_1+b_2)}$$

$$\text{If phase delay is } 2m\pi + \pi, \text{ then: } \frac{1}{2} A e^{ikn(a_1+a_2+a_3)} = - \frac{1}{2} A e^{ikn(b_1+b_2)}$$



Phase delay between the two arms:

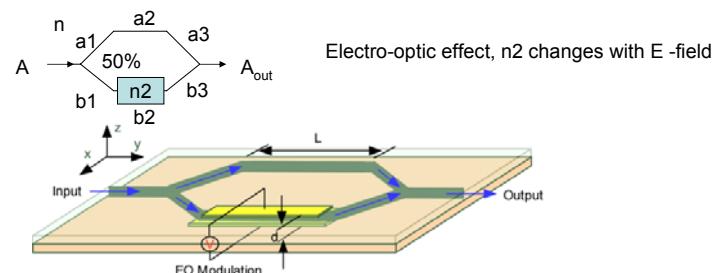
$$k(n_2 b_2 - n a_2)$$

$$\text{If phase delay is } 2m\pi, \text{ then: } \frac{1}{2} A e^{ikn(a_1+a_2+a_3)} = \frac{1}{2} A e^{ikn(b_1+b_2)}$$

$$\text{If phase delay is } 2m\pi + \pi, \text{ then: } \frac{1}{2} A e^{ikn(a_1+a_2+a_3)} = - \frac{1}{2} A e^{ikn(b_1+b_2)}$$

Electro-optic effect, n2 changes with E-field

## Electro-optic modulator based on Mach-Zehnder interferometer



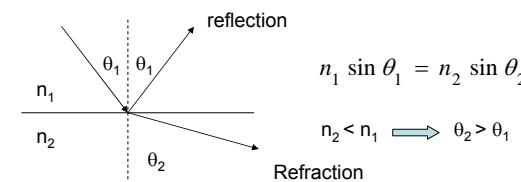
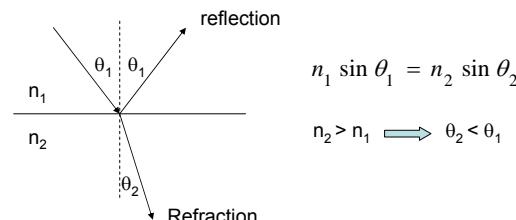
Phase delay between the two arms:

$$k(n_2 b_2 - n a_2)$$

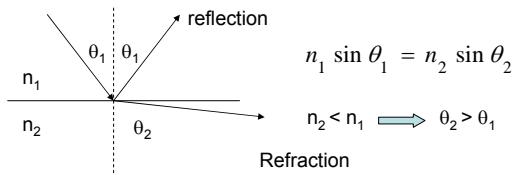
$$\text{If phase delay is } 2m\pi, \text{ then: } \frac{1}{2} A e^{ikn(a_1+a_2+a_3)} = \frac{1}{2} A e^{ikn(b_1+b_2)}$$

$$\text{If phase delay is } 2m\pi + \pi, \text{ then: } \frac{1}{2} A e^{ikn(a_1+a_2+a_3)} = - \frac{1}{2} A e^{ikn(b_1+b_2)}$$

## Reflection, refraction of light



## Total internal reflection (TIR)



When  $\theta_2 = 90^\circ$ ,  $\theta_1$  is critical angle

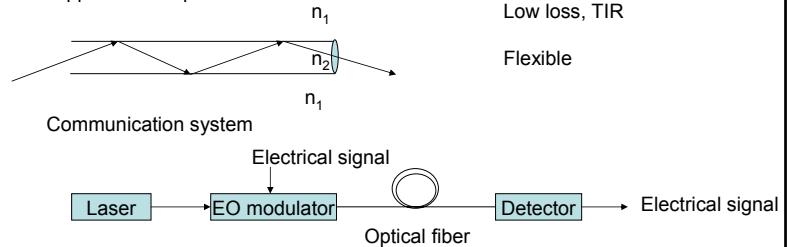
$$n_1 \sin \theta_1 = n_2 \sin \theta_2 \mid_{\theta_2=90^\circ} = n_2,$$

$$\sin \theta_1 = n_2 / n_1$$

## Total internal reflection (TIR)

Diagram illustrating Total reflection When  $\theta_2 = 90^\circ$ ,  $\theta_1$  is critical angle. The critical angle  $\theta_1$  is shown where the refracted ray would be at  $90^\circ$ . The equation  $n_1 \sin \theta_1 = n_2 \sin \theta_2 \mid_{\theta_2=90^\circ} = n_2$ , and  $\sin \theta_1 = n_2 / n_1$ .

## Application – optical fiber



## Reflection percentage

Diagram illustrating reflection from a glass surface ( $n_1$ ) into air ( $n_2$ ). The intensity reflection formula is given as  $\text{Intensity reflection} = [(n_1 - n_2) / (n_1 + n_2)]^2$ .

## Example 1:

Refractive index of glass  $n = 1.5$ ;

Refractive index of air  $n = 1$ ;

The reflection from glass surface is 4%;

Example 2: detector is usually made from Gallium Arsenide (GaAs),  $n = 3.5$ ;

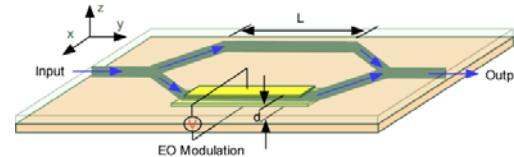
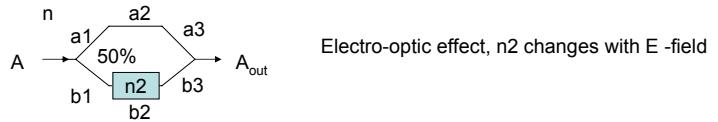
$$\text{Intensity reflection} = [(n_1 - n_2) / (n_1 + n_2)]^2$$

The reflection from GaAs surface is 31%;

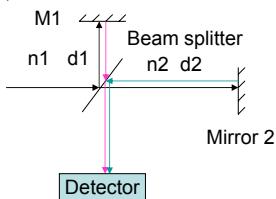
$N_2 = 3.5$       Detector, GaAs

## Interference of two optical beams, applications

## 1, Mach-Zehnder interferometer



## 2, Michelson interferometer

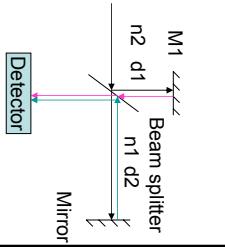


Phase difference:  
 $k(n_2 2d_2 - n_1 2d_1)$

Measuring small moving or displacement

If the detected light changes from bright to dark,  
 Then the distance moved is half wavelength/2

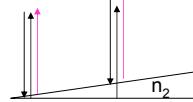
Michelson interferometer measuring speed of light in ether,  
 speed of light not depends on direction



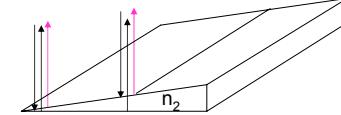
Phase difference:  
 $k(n_1 2b_2 - n_2 2d_1)$

## 3, Measuring surface flatness

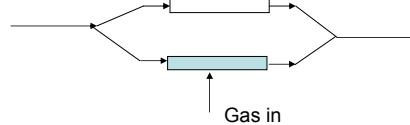
$$k(n_2 \Delta d) \quad k(n_2 \Delta d')$$



Accuracy: 0.1 wavelength =  $0.1 \times 500\text{nm} = 50\text{nm}$



## 4, Measuring refractive index of liquid or gas



## Equal difference series

$$a_1, a_2, \dots, a_n, \dots$$

$$a_2 - a_1 = b$$

$$a_3 - a_2 = b$$

$$+ a_n - a_{n-1} = b$$

$$= a_n - a_1 = (n-1)b$$

$$S_n = a_1 + a_2 + \dots + a_n$$

$$a_2 + a_{n-1} = a_1 + b + a_{n-1} = a_1 + a_n$$

$$+ S_n = a_n + a_{n-1} + \dots + a_1$$

$$a_3 + a_{n-2} = a_1 + 2b + a_{n-2} = a_1 + a_n$$

$$= 2S_n = n(a_n + a_1)$$

$$S_n = \frac{n}{2}(a_n + a_1) = \frac{n}{2}(a_n - a_1) + na_1 = \frac{n}{2}(n-1)b + na_1$$

## Power series

$$a_1, a_2, \dots, a_n, \dots$$

$$a_2 = ba_1$$

$$a_3 = ba_2$$

...

$$\begin{array}{r} \times a_n = ba_{n-1} \\ \hline a_n = b^{n-1} a_1 \end{array}$$

$$S_n = a_1 + a_2 + \dots + a_n$$

$$- bS_n = ba_1 + ba_2 + \dots + ba_n = a_2 + a_3 + \dots + a_{n+1}$$

$$= (1-b)S_n = a_1 - a_{n+1}$$

$$S_n = \frac{a_1 - a_{n+1}}{1-b} = \frac{a_1 - b^n a_1}{1-b}$$

Power series

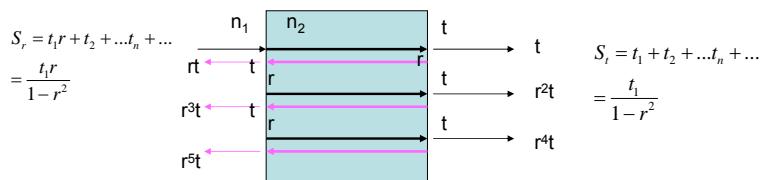
$$a_1, a_2 \dots a_n \dots$$

$$S = a_1 + a_2 + \dots a_n + \dots$$

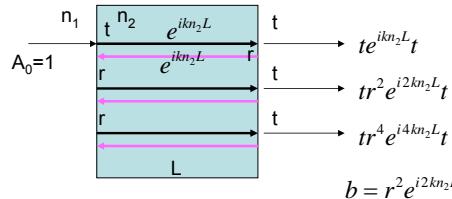
$$= \lim_{n \rightarrow \infty} \frac{a_1(1-b^n)}{1-b} = \frac{a_1}{1-b} \quad \text{When } |b| < 1$$

b can be anything, number, variable, complex number or function

Optical cavity, multiple reflections



Optical cavity, wavelength dependence, resonant



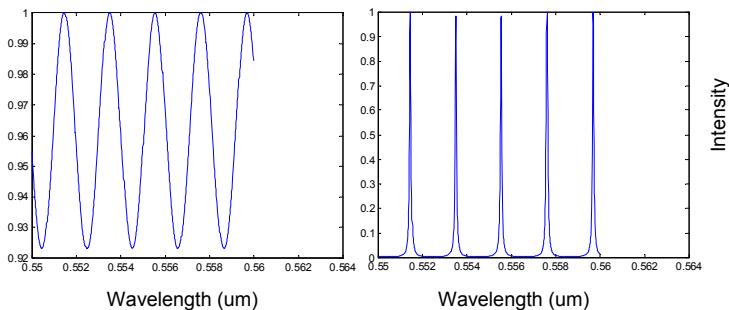
$$A_t = A_1 + A_2 + \dots = \frac{t^2 e^{ikn_2 L}}{1 - r^2 e^{i2kn_2 L}}$$

$$I_t = |S_t|^2 = \left| \frac{t^2 e^{ikn_2 L}}{1 - r^2 e^{i2kn_2 L}} \right|^2 = \left| \frac{t^2}{1 - \text{Re} e^{i2kn_2 L}} \right|^2 \quad R, \text{ intensity reflection}$$

Optical cavity, wavelength dependence, resonant

$$I_t = |S_t|^2 = \left| \frac{t^2 e^{ikn_2 L}}{1 - r^2 e^{i2kn_2 L}} \right|^2 = \left| \frac{t^2}{1 - \text{Re} e^{i2kn_2 L}} \right|^2$$

Example:  $n_2 = 1.5$ ,  $R=0.04$ ,  $L = 0.05\text{mm}$ ,  $\lambda = 0.55\mu\text{m}$  R, intensity reflection



Optical cavity, wavelength dependence, resonant

$$I_t = |S_t|^2 = \left| \frac{t^2 e^{ikn_2 L}}{1 - r^2 e^{i2kn_2 L}} \right|^2 = \left| \frac{t^2}{1 - \text{Re} e^{i2kn_2 L}} \right|^2$$

Resonant condition

$$2kn_2 L = (2m + 1)\pi \quad \text{Destructively Interference}$$

$$2kn_2 L = 2m\pi \quad \text{Constructively Interference}$$

$$\frac{2\pi}{\lambda} n_2 L = m\pi \quad 2n_2 L = m\lambda \quad \text{Resonant condition, } m = 1, 2, 3, \dots$$

$m=1$ , half-λ cavity

$m=2$ , λ cavity

## Optical cavity, Free-spectral range (FSR)

$$2n_2L = m\lambda \quad \text{Resonant condition, } m = 1, 2, 3, \dots$$

$$\frac{2n_2L}{\lambda_m} = m$$

$$- \frac{2n_2L}{\lambda_{m+1}} = m + 1$$

$$\frac{2n_2L}{\lambda_{m+1}} - \frac{2n_2L}{\lambda_m} = 1$$

$$\frac{2n_2L(\lambda_m - \lambda_{m+1})}{\lambda_{m+1}\lambda_m} = 1$$

$$\frac{2n_2L\Delta\lambda}{\lambda^2} = 1 \quad \Delta\lambda = \frac{\lambda^2}{2n_2L} \quad FSR = \frac{\lambda^2}{2n_2L}$$

Example:  $n_2 = 1.5$ ,  $R=0.04$ ,  $L = 1\text{mm}$ ,  $\lambda=0.55\mu\text{m}$

## Optical cavity, Free-spectral range (FSR)

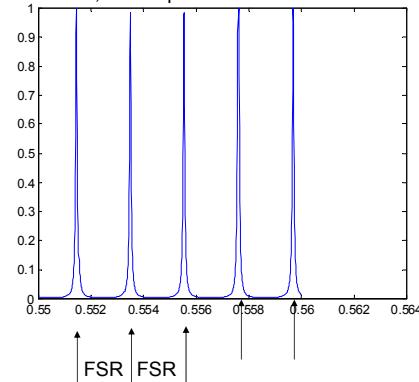
$$FSR = \frac{\lambda^2}{2n_2L} \quad L \text{ increase, FSR decrease, FSR not dependent on R}$$

Example:  $n_2 = 1.5$ ,  $R=0.04$ ,  $L = 0.05\text{mm}$ ,  $\lambda=0.55\mu\text{m}$

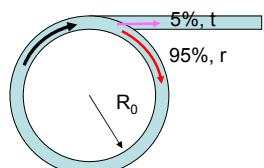
$$FSR = \frac{\lambda^2}{2n_2L} = 0.02\mu\text{m}$$

$$L = 0.5\text{mm}$$

$$FSR = \frac{\lambda^2}{2n_2L} = 0.002\mu\text{m}$$



## Ring cavity, Ring resonator



$$L = 2\pi R_0$$

$$I_t = |S_t|^2 = \left| \frac{t^2 e^{ikn_2L}}{1 - r^2 e^{i2kn_2L}} \right|^2 = \left| \frac{t^2}{1 - \text{Re}^{i2kn_2L}} \right|^2$$

$$\frac{2\pi}{\lambda} n_2 L = m\pi$$

$$2n_2L = m\lambda$$

$$FSR = \frac{\lambda^2}{2n_2L}$$

## Ring cavity, Ring resonator filter

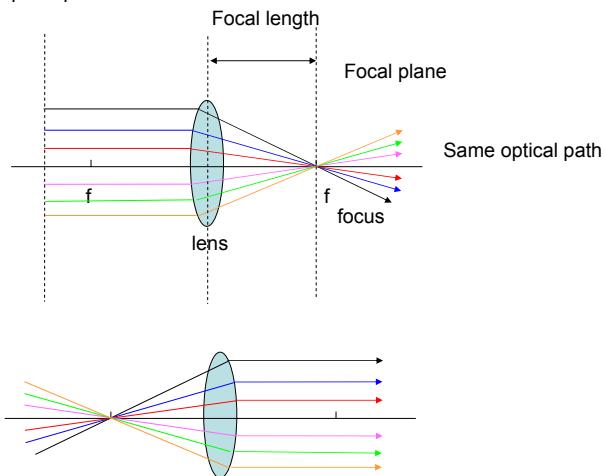


$$L = 2\pi R_0$$

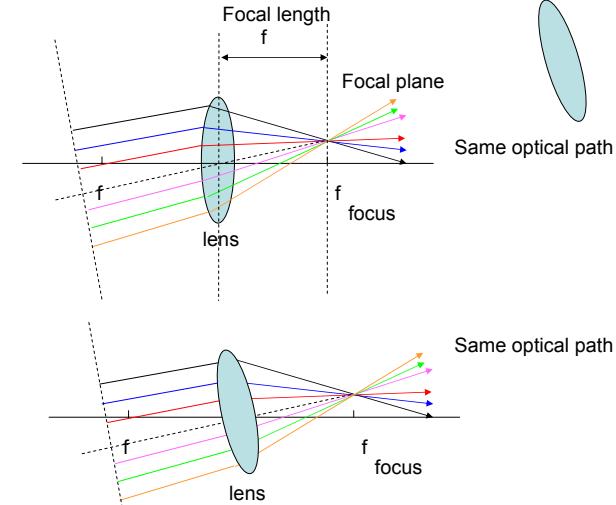
$$\frac{2\pi}{\lambda} n_2 L = m\pi$$

$$FSR = \frac{\lambda^2}{2n_2L} \quad 2n_2L = m\lambda$$

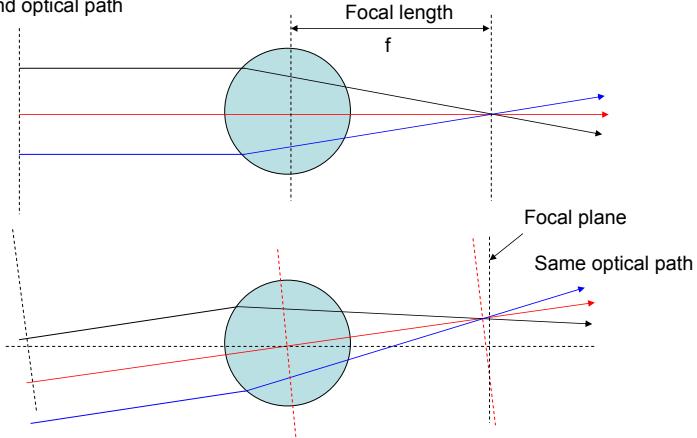
## Lens and optical path



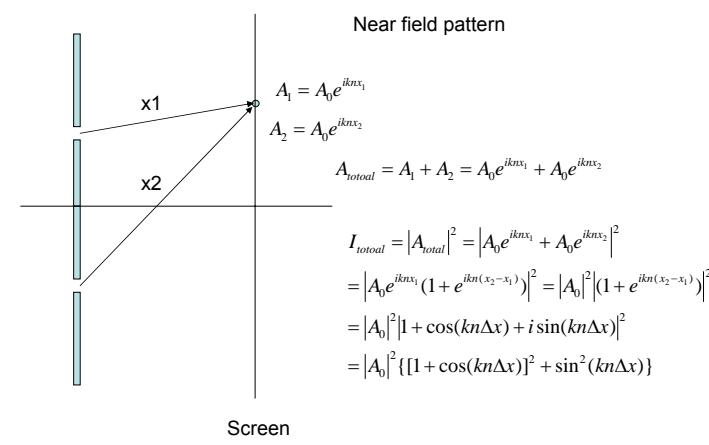
## Lens and optical path



## Lens and optical path

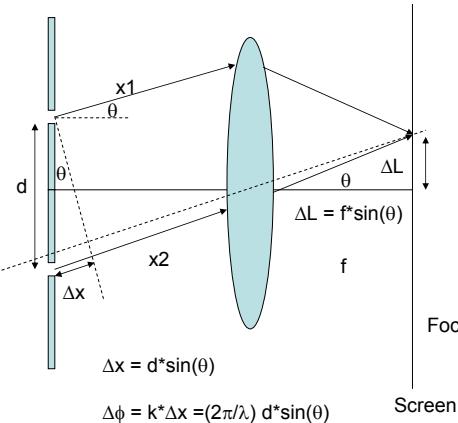


## Interference of multiple Waves, gratings



## Diffraction of Waves

## Far field pattern

When  $\Delta\phi = 2m\pi$ , brightWhen  $\Delta\phi = 2m\pi + \pi$ , dark

$$2m\pi = (2\pi/\lambda) d * \sin(\theta)$$

$$m \lambda = d * \sin(\theta)$$

$$m \lambda = d * \Delta L / f$$

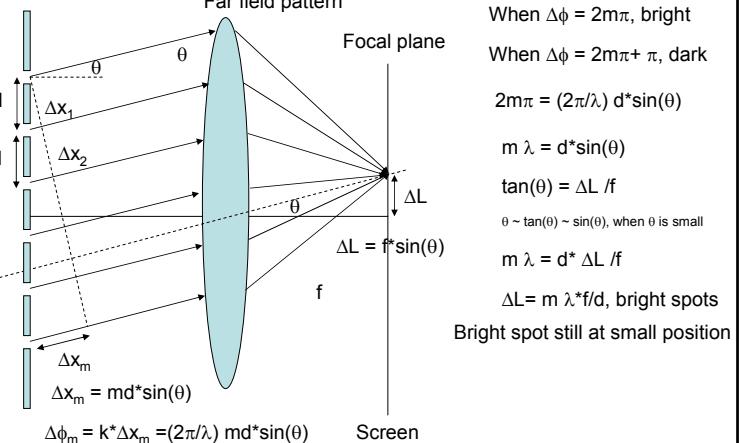
$$\Delta L = m \lambda * f / d, \text{ bright spots}$$

Focal plane

Screen

## Multiple slots, grating

## Far field pattern

When  $\Delta\phi = 2m\pi$ , brightWhen  $\Delta\phi = 2m\pi + \pi$ , dark

$$2m\pi = (2\pi/\lambda) d * \sin(\theta)$$

$$m \lambda = d * \sin(\theta)$$

$$\tan(\theta) = \Delta L / f$$

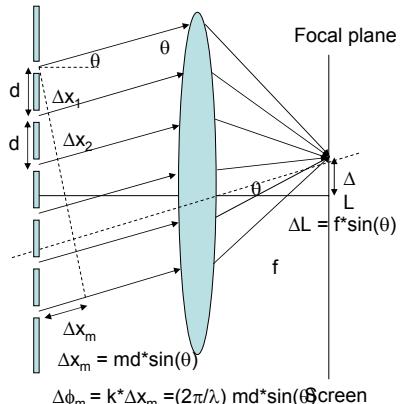
$$\theta \sim \tan(\theta) \sim \sin(\theta), \text{ when } \theta \text{ is small}$$

$$m \lambda = d * \Delta L / f$$

$$\Delta L = m \lambda * f / d, \text{ bright spots}$$

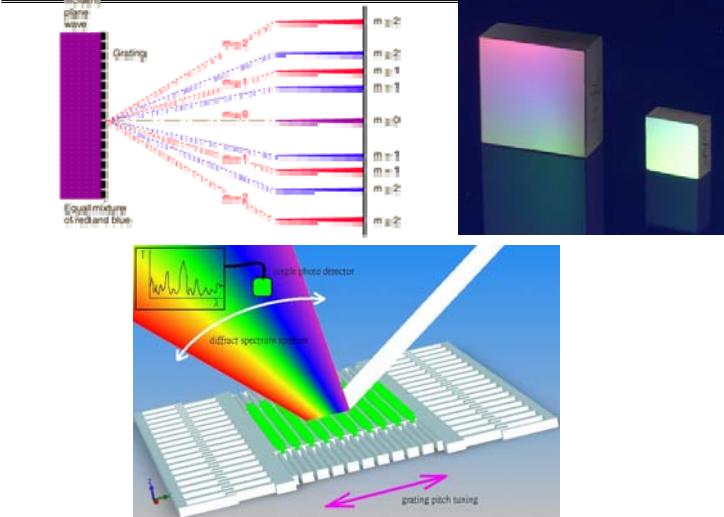
Bright spot still at small position

## Multiple slots, grating



$$\begin{aligned} A_{total} &= A_0 + A_1 + A_2 + \dots + A_m \\ &= A_0 e^{ikx_0} + A_0 e^{ikx_1} + A_0 e^{ikx_2} + \dots + A_0 e^{ikx_m} \\ &= A_0 e^{ikx_0} (1 + e^{ik\Delta x_1} + e^{ik\Delta x_2} + \dots + e^{ik\Delta x_m}) \\ &= A_0 e^{ikx_0} (1 + e^{ikd \sin \theta} + e^{ik2d \sin \theta} + \dots + e^{ikmd \sin \theta}) \\ &= A_0 e^{ikx_0} \frac{1 - e^{ik(m+1)d \sin \theta}}{1 - e^{ikd \sin \theta}} \end{aligned}$$

$$\begin{aligned} I_{total} &= |A_{total}|^2 = \left| A_0 e^{ikx_0} \frac{1 - e^{ik(m+1)d \sin \theta}}{1 - e^{ikd \sin \theta}} \right|^2 \\ &= |A_0|^2 \frac{[1 - \cos(knd \sin \theta)]^2 + \sin^2(knd \sin \theta)}{[1 - \cos(kd \sin \theta)]^2 + \sin^2(kd \sin \theta)} \end{aligned}$$



Optical wave, photon

Photon energy:  $E = h\nu$ ,  $\nu$  is the frequency of the photon,  $c = f\lambda = v\lambda$ ,

$$E = hc/\lambda = \frac{2\pi}{\lambda} \hbar c = \hbar kc = pc,$$

$p = \hbar k$ , momentum of the photon,

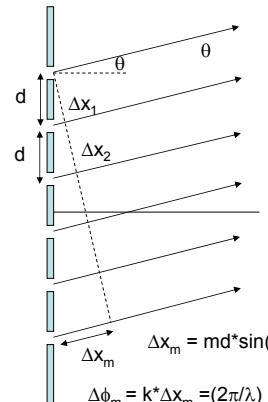
$$E = mc^2 = mcc = pc,$$

For photon:

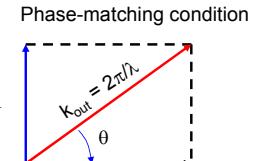
$$E = pc = h\nu,$$

$$p = \hbar k,$$

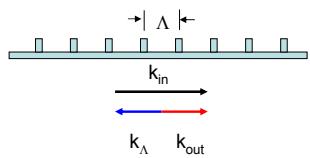
$$k = \frac{2\pi}{\lambda},$$

More on grating, Grating period, Phase matching condition

$k$  vector,  $k = (2\pi/\lambda)$ , along the beam propagation direction  
 $d$  is called grating period, often use symbol:  $\Lambda$ ,  
Grating vector =  $2\pi/\Lambda$ ,



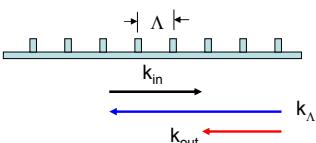
$$\begin{aligned} k_{\text{out}} * \sin(\theta) &= k_{\text{grating}} = 2\pi/\Lambda \\ \Delta\phi_m &= k * \Delta x_m = (2\pi/\lambda) md * \sin(\theta) \\ d * \sin(\theta) &= \lambda \end{aligned}$$

Distributed feedback grating (DFB grating)

$$k_{\text{out}} = k_{\text{in}} - k_{\lambda}$$

Phase-matching condition

$$2\pi n_{\text{out}}/\lambda_{\text{out}} = 2\pi n_{\text{in}}/\lambda_{\text{in}} - 2\pi/\Lambda$$

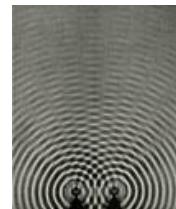
Effective reflection

$$k_{\text{out}} = k_{\text{in}} - k_{\lambda} = -k_{\text{in}}$$

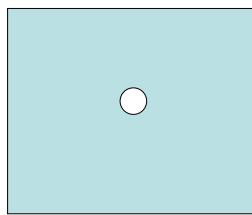
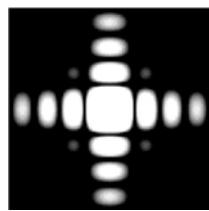
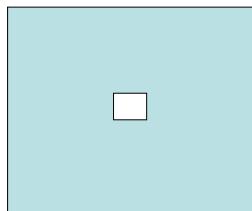
Phase-matching condition

$$2\pi/\Lambda = 2 * 2\pi/\lambda$$

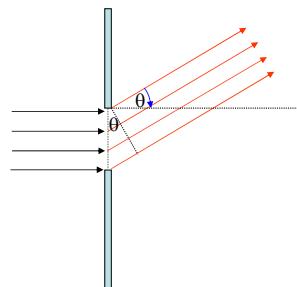
$$\Lambda = \lambda/2$$

Diffraction: Multiple beam interference

Diffraction:



Single slot diffraction:

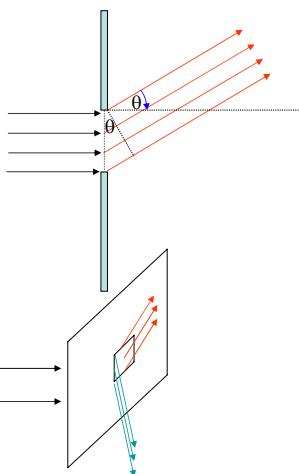


$$\begin{aligned} A_{total} &= A_0 + A_1 + A_2 + \dots + A_m \\ &= A_0 e^{ikx_0} + A_0 e^{ikx_1} + A_0 e^{ikx_2} + \dots + A_0 e^{ikx_m} \\ &= \int_0^d A_0 e^{ikz \sin(\theta)} \frac{dz}{d} = \frac{A_0 (1 - e^{ikd \sin(\theta)})}{ikd \sin(\theta)} \end{aligned}$$

$$\begin{aligned} I_{total} &= |A_{total}|^2 = \left| \frac{A_0 (1 - e^{ikd \sin(\theta)})}{kd \sin(\theta)} \right|^2 \\ &= I_0 \left| \frac{e^{ikd \sin(\theta)/2} (e^{-ikd \sin(\theta)/2} - e^{ikd \sin(\theta)/2})}{kd \sin(\theta)} \right|^2 \\ &= I_0 \left| \frac{2i \sin(kd \sin(\theta)/2)}{kd \sin(\theta)} \right|^2 = I_0 \left| \frac{\sin(kd \sin(\theta)/2)}{kd \sin(\theta)/2} \right|^2 \\ &= I_0 \frac{\sin^2(\alpha)}{\alpha^2}, \end{aligned}$$

$$\alpha = kd \sin \theta / 2 = \frac{\pi}{\lambda} d \sin \theta$$

Single slot diffraction:

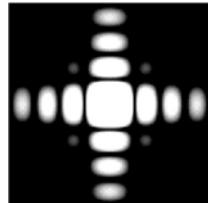


$$I_{total} = I_0 \frac{\sin^2(\alpha)}{\alpha^2},$$

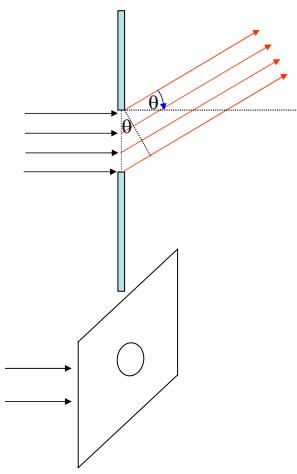
$$\alpha = kd \sin \theta / 2 = \frac{\pi}{\lambda} d \sin \theta$$

$$\text{When } \alpha = \frac{\pi}{\lambda} d \sin \theta = m\pi + \frac{\pi}{2} \quad \text{bright}$$

$$\text{When } \alpha = \frac{\pi}{\lambda} d \sin \theta = m\pi \quad \text{dark}$$



Single slot diffraction:



$$I_{total} = I_0 \frac{\sin^2(\alpha)}{\alpha^2},$$

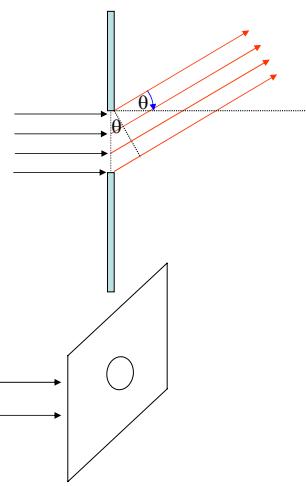
$$\alpha = kd \sin \theta / 2 = \frac{\pi}{\lambda} d \sin \theta$$

$$\text{When } \alpha = \frac{\pi}{\lambda} d \sin \theta = m\pi + \frac{\pi}{2} \quad \text{bright}$$

$$\text{When } \alpha = \frac{\pi}{\lambda} d \sin \theta = m\pi \quad \text{dark}$$



Angular width :



$$I_{total} = I_0 \frac{\sin^2(\alpha)}{\alpha^2},$$

$$\alpha = kd \sin \theta / 2 = \frac{\pi}{\lambda} d \sin \theta$$

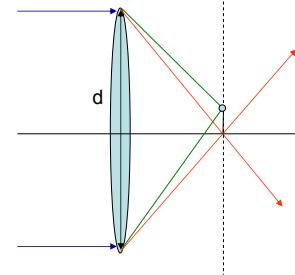
$$\text{first dark: } \alpha = \frac{\pi}{\lambda} d \sin \theta = m\pi$$

$$\sin \theta = \frac{\lambda}{d} \quad \theta \approx \frac{\lambda}{d}$$

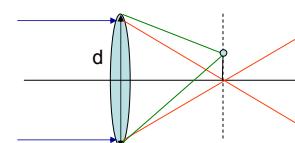
Half angular width



Diffraction of a lens

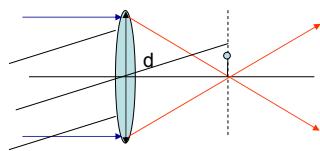


Focus size



Focus size

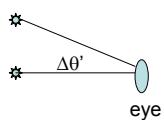
Resolution of optical instrument



$$\theta \approx \frac{\lambda}{d}$$

$$\bullet \text{ Focus size } f * \theta \approx f \frac{\lambda}{d}$$

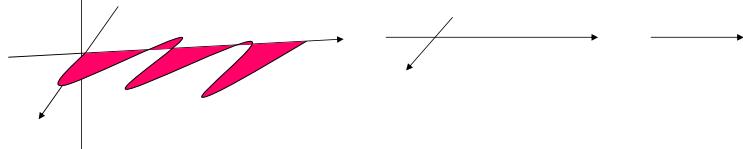
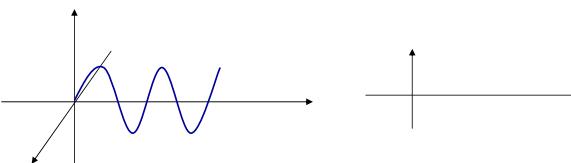
$$\Delta\theta' > 1.22 \frac{\lambda}{d}$$



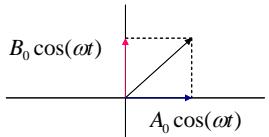
$$\Delta\theta' > 1.22 \frac{\lambda}{d}$$

$$d = 16\text{mm.}$$

Polarization of light: Linear polarization



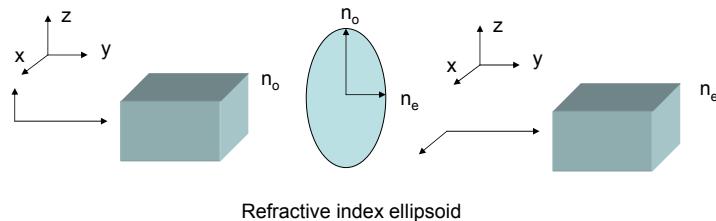
## Polarization of light: linear polarization



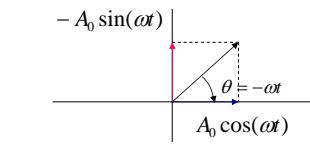
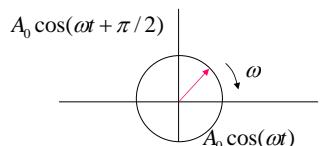
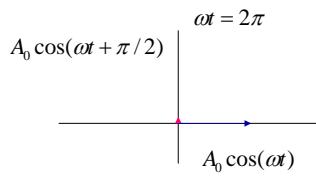
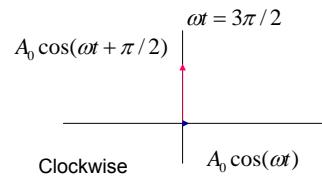
Any linear polarization can be decomposed into two primary polarization with the same phase

Why decompose into two primary polarization directions?

In crystal, the refractive index is different along different polarizations

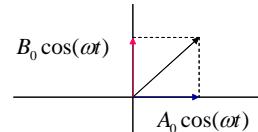


## Polarization of light: circular polarization



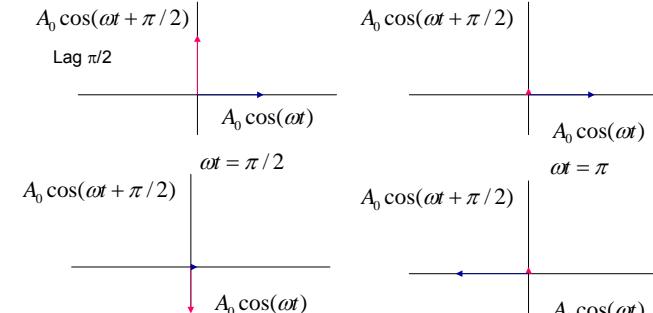
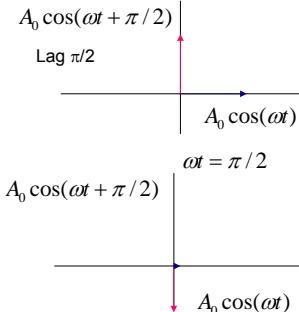
$A_0 \cos(\omega t)$

## Polarization of light: circular polarization

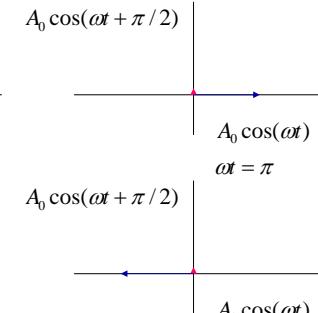


$$\theta = \tan^{-1}[B_0 \cos(\omega t) / A_0 \cos(\omega t)] \\ = \tan^{-1}[B_0 / A_0]$$

$\omega t = 0$



$\omega t = \pi/2$

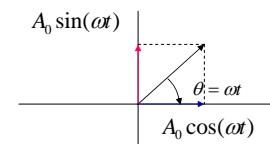
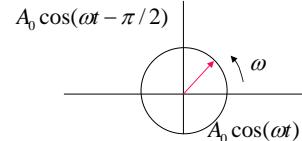


$\omega t = \pi$

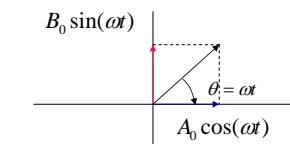
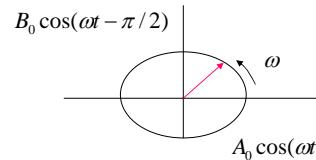
$A_0 \cos(\omega t)$

## Polarization of light: circular polarization

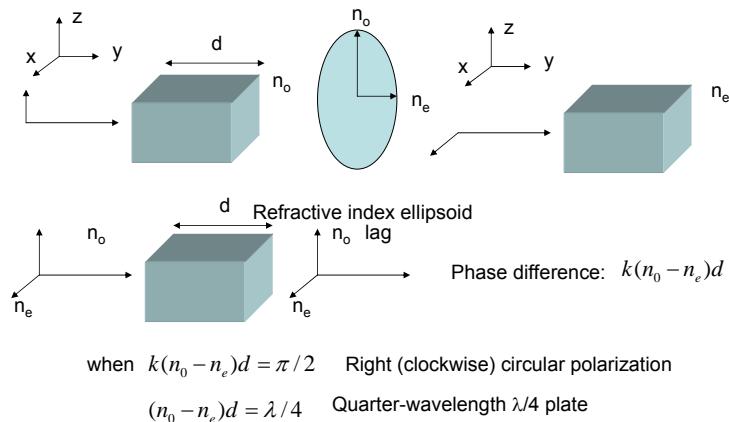
Count-clockwise



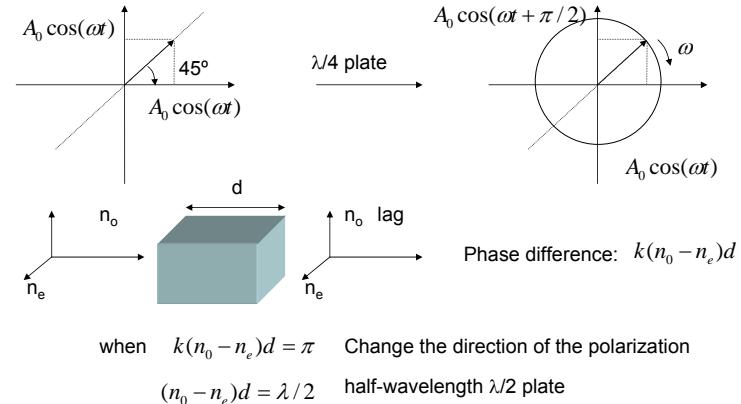
elliptical polarization



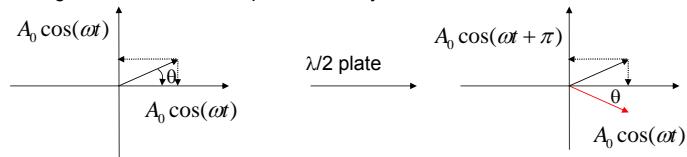
Delays along different directions:



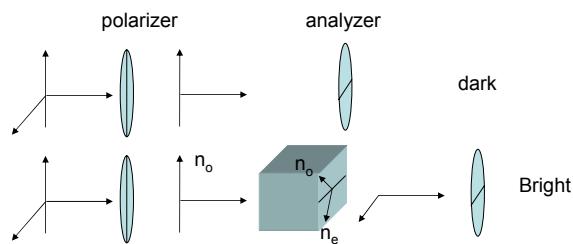
Right (clockwise) circular polarization



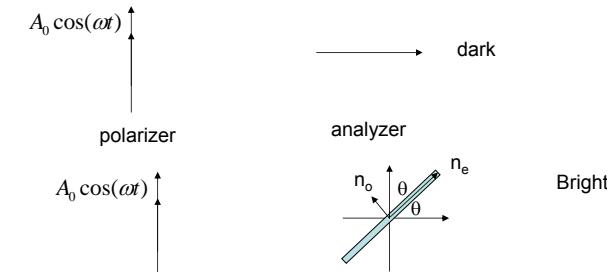
Change the direction of the polarization by  $2\theta$



EO modulator



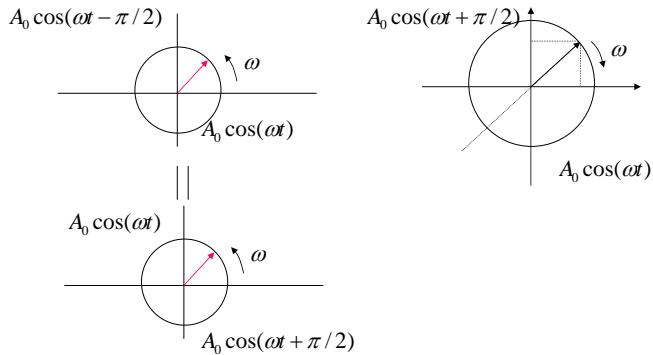
EO modulator



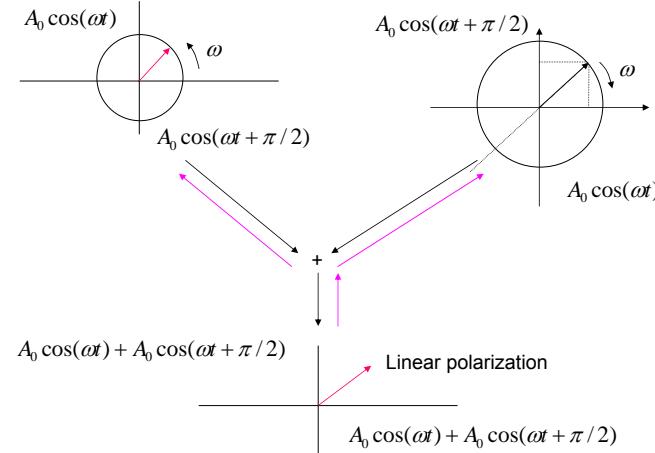
$$k(n_0 - n_e)d = \pi$$

$$n_0 \propto E = \frac{V}{t} \quad V_\pi$$

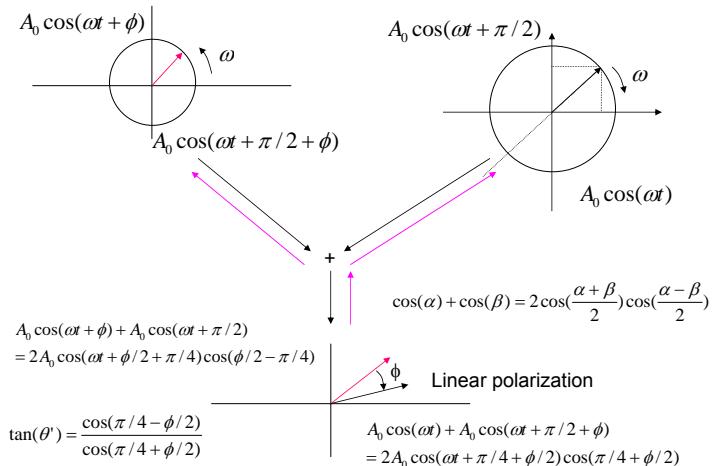
## Circular polarizations and linear polarizations



## Circular polarizations and linear polarizations



## Circular polarizations and linear polarizations



## Faraday rotation

