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Additional Information

Pressure induced topological and topological crystalline insulators

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Abstract

Research on topological and topological crystalline insulators is one of the most intense and exciting topics due to its fascinating fundamental science and potential technological applications. Pressure (strain) is one potential pathway to induce the non-trivial topological phases in some topologically trivial (normal) insulating or semiconducting materials. In the last ten years, there have been substantial theoretical and experimental efforts from condensed-matter scientists to characterize and understand pressure-induced topological quantum phase transitions. In particular, a promising enhancement of the thermoelectric performance through pressure-induced topological quantum phase transition has been recently realized; thus evidencing the importance of this subject in society. Since the pressure effect can be mimicked by chemical doping or substitution in many cases, these results have opened a new route to develop more efficient materials for harvesting green energy at ambient conditions. Therefore, a detailed understanding of the mechanism of pressure-induced topological quantum phase transitions in various classes of materials with spin-orbit interaction is crucial to improve their properties for technological implementations. Hence, this review focuses on the emerging area of pressure-induced topological quantum phase transitions to provide a comprehensive understanding of this subject from both theoretical and experimental points of view. In particular, it covers the Raman signatures of detecting the topological transitions (under pressure), some of the important pressure-induced topological and topological crystalline insulators of the various classes of spin-orbit coupling materials, and provide future research directions in this interesting field.

1. Introduction

In addition to the well-known electronic states of matter such as an insulator, semiconductor, and metal, recent theoretical and experimental discoveries have established topological insulators (TIs).¹⁻³ TIs are a new class of quantum matter in which bulk is insulating, but the surface is conducting via helical spin states.¹ Therefore, in a highly simplified picture, the newly discovered TIs can be viewed as insulating plastic material covered with metallic wires. The conducting surface states intrinsically originate due to strong spin-orbit coupling (SOC) and are protected by time-reversal symmetry. Due to this special protection, surface states are very robust against chemical disorders and non-magnetic impurities. Therefore, TIs are not only attractive for their fundamental scientific importance, but also their potential application possibilities in quantum computation, spintronics, and thermoelectrics.¹

At first, HgTe/CdTe quantum well was predicted to be a promising material for the 2D TI at ambient conditions², and then the existence of helical edge states were confirmed by charge-transport experiments³. Soon after this great discovery, various 3D TIs were predicted in strong SOC compounds.⁴ One of the important 3D TIs belongs to the tetradymite-type A_2X_3 ($A=Bi, Sb$ and $X= Se, Te$) family. The compounds belonging to this family, such as Bi_2Te_3 , Bi_2Se_3 , and Sb_2Te_3 show surface states (single Dirac-like cone) at Γ point of the Brillouin zone (BZ) at ambient conditions and were confirmed by a surface-sensitive technique like angle resolved photo emission spectroscopy (ARPES).^{5,6,7}

The topological invariant quantity Z_2 is the order parameter that is used to characterize and classify the TIs. For instance, there are four Z_2 topological invariants ($v_0; v_1, v_2, v_3$) utilized for classifying the 3D TIs.⁸ When $v_0 \neq 0$, the system is a strong 3D TI. If $v_0 = 0$, then the system will be classified based on the values of (v_1, v_2 , and v_3). Furthermore, when $v_1 = 0, v_2 = 0$, and $v_3 = 0$, the system is a conventional or normal insulator (NI). But when any of these three quantities are not zero; then, the system will be called a weak TI. For instance, Bi_2Se_3 is a strong TI [(1;000) and $Z_2 = 1$] and $BiSe$ is a weak TI (0;001)⁹. Mathematically, Z_2 is the product of parities of the bands at time-reversal invariant momenta (TRIM) points in the BZ^{1,8} and the Z2PACK code (a more robust and accurate method) is available to calculate it theoretically.¹⁰

Topological crystalline insulators (TCIs) are another interesting class of non-trivial topological materials in which the surface states are protected by a crystal mirror

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3 symmetry^{11,12}. Therefore, TCI's surface states are robust against magnetic dopants or
4 impurities, whereas that of TIs are not. Further, in sharp contrast to TIs that has an odd
5 number of band inversions (BIs), TCIs has an even number of BIs. Mirror Chern number n_M
6 is used to characterize the TCI phase in general, which can be written as $n_M = (C_{+i} -$
7 $C_{-i})/2$.^{1,11,12} Here C_{+i} and C_{-i} denote the individual Chern numbers associated with a mirror-
8 invariant plane. For instance, the Pb rich pseudo binary systems such as $Pb_{0.6}Sn_{0.4}Te$ and
9 $Pb_{0.77}Sn_{0.23}Se$, have been experimentally shown to be TCI.^{13,14}

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16 Some NIs can be converted into TIs by tuning the SOC strength of the compounds.¹⁵
17 The process of transformation from NI to TI is called a “topological quantum phase
18 transition” (TQPT).¹⁶ In general, tuning of SOC strength can be achieved by chemical doping
19 or substitution¹⁵ since SOC strength is mainly determined by chemical composition (it
20 increases for heavier elements as it goes with Z^4 , being Z the atomic number). However,
21 external parameters, like pressure or strain¹⁷⁻²⁰, temperature²¹⁻²³, electric field¹⁷, etc. can help
22 in inducing the TQPT in NIs whose SOC are not strong enough to be TIs at ambient
23 conditions. Among these external parameters, pressure is one of the ideal routes for this
24 transformation because of its effective and cleaner nature.

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26 How can pressure help in inducing a TQPT? Pressure is a thermodynamic parameter that
27 allows a finely tuning of the volume, lattice parameters, bond lengths, effective hybridization,
28 electron density, and crystal field splitting of materials^{18,19,24-26}. These parameters affect the
29 electronic band structure of the material that could lead to a decrease in the band gap and help
30 the SOC to produce a BI.^{18-20,25,27} Therefore, some 3D NIs with a relatively weak SOC can
31 be converted into 3D TIs by increasing pressure.^{16,18,24,28}

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33 The schematic process of a pressure-induced TQPT is shown in figure 1. The driving
34 force for the pressure-induced TQPT is the decrease, closing, and subsequent reopening of
35 the band gap that occurs with the increase of pressure in some materials with a relatively
36 weak SOC in which the band gap at room pressure is too large to induce a BI. The decrease
37 of the band gap with increasing pressure allows these NIs with SOC to turn into a TI or a TCI
38 through an intermediate state (3D topological Dirac semimetal) at P_c in which the band gap is
39 fully closed and a Dirac cone is formed (see figure 1). Note that, some strong SOC materials
40 with narrow band gaps lead to a BI and therefore the material is already a TI or a TCI at room
41 pressure (examples: Bi_2Se_3 , Sb_2Te_3 , and Bi_2Te_3)⁵⁻⁷. Paradigmatic examples of pressure-
42 induced TQPTs are those theoretically proposed for the rhombohedral phase of As_2Te_3 (β -
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As_2Te_3)^{29,30} and $\beta\text{-Sb}_2\text{Se}_3$.^{19,27} These compounds are NIs at ambient conditions due to their wider band gap and the relatively weak SOC strength. But, in these compounds, pressure can help in inducing the BI by decreasing the band gap as already commented.

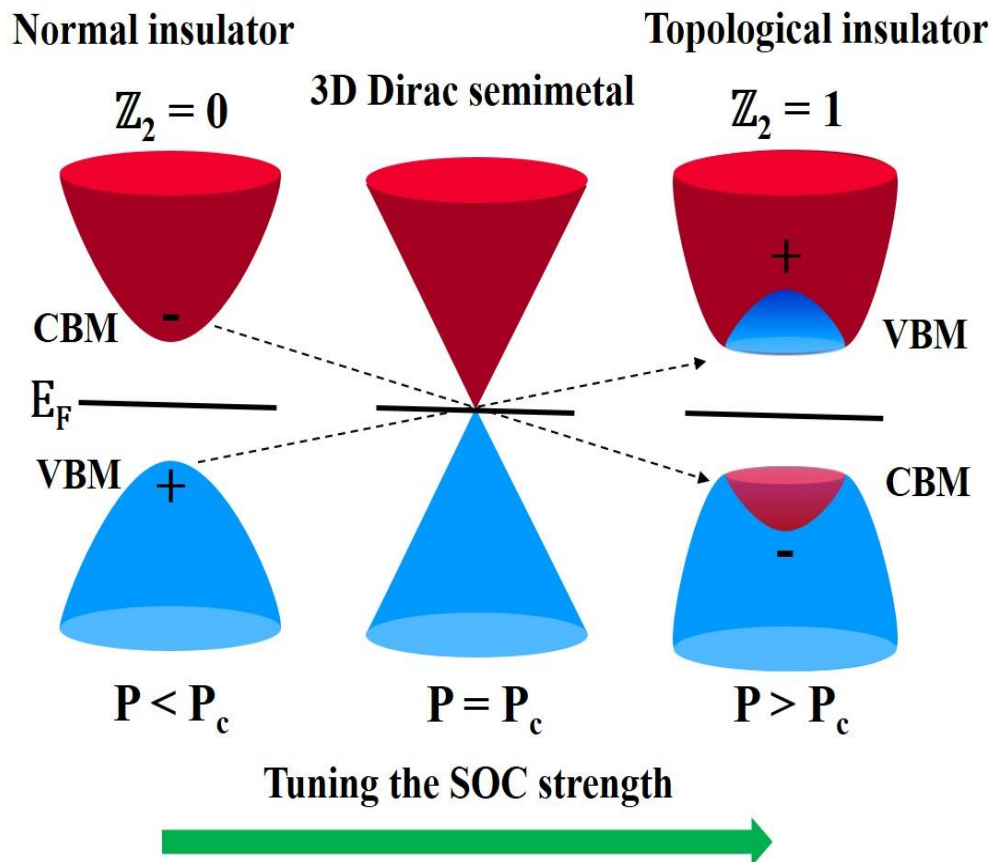


Figure 1. Schematic of the typical band inversion (BI) associated with the pressure-induced TQPT. The pressure-induced TQPT occurs due to the decrease, closing, and subsequent reopening of the band gap that occurs as pressure increases. This process usually occurs on increasing the SOC strength (for instance by chemical doping or substitution). Here, P_c represents the critical transition pressure at which the TQPT occurs because of the closing of the band gap. The - and + signs indicate the odd and even parity of the bands at the TRIM point, respectively. The BI is evidenced by the change in the parity of the valence band maximum (VBM) and conduction band minimum (CBM) that occurs above P_c .

The pressure-induced topological transitions have been shown to greatly influence the thermoelectric performance of some compounds.^{31,32} The BI leads to an increase in the density of states (DOS) near the Fermi level, electrical conductivity, Seebeck coefficient, and therefore enhancement in the thermoelectric performance of the material.³² For example, recent high-pressure experiments on Cr doped PbSe (i.e., $\text{Pb}_{0.99}\text{Cr}_{0.01}\text{Se}$) showed a higher thermoelectric figure of merit (ZT) value during the TCI transition.³¹ At ambient conditions, $\text{Pb}_{0.99}\text{Cr}_{0.01}\text{Se}$ compound show ZT of about ~ 0.45 . Under pressure, the ZT is enhanced up to ~ 1.7 (at a pressure of 2.8 GPa and at room temperature).³¹ This remarkable enhancement originates from the TCI transition at ~ 2.8 GPa in L point of the BZ.³¹ This experiment strongly established the relationship between topological transitions and thermoelectric enhancement. Therefore, the discovery and understanding of the topological materials will be very useful to improve the technological aspects of thermoelectrics and effectively contribute to the development of green energy generators.

In this review, we mainly focus on the pressure-induced TQPTs studied in different families of materials with SOC and the detection of the Raman signatures of topological transitions at high pressures and its interpretation with the help of *ab initio* calculations. We first briefly discuss the common criteria for identifying pressure-induced TIs and TCIs from a theoretical and experimental perspective. Further, we will discuss the effect of pressure on the electronic band structure of topological materials and emphasize the importance of the Raman signatures in pressure-induced TQPTs. We summarize some of the essential pressure-induced TIs and TCIs explored so far, the interconnection between them, the open questions, and finally suggest the possible future directions of this interesting research field.

2. Search for the pressure-induced topological materials (TIs and TCIs)

The following important criteria^{1,8} should be satisfied to classify a material as a TI or a TCI: (i). the valence band maximum (VBM) and conduction band minimum (CBM) should cross and form a BI at TRIM points of the BZ. (ii). The parity associated with the bands of VBM and CBM should exchange each other during the BI. (iii). The topological invariant quantities (Z_2 for TI and n_M for TCI) should change during the TQPT. Nowadays, there is a straightforward procedure available (from Z2PACK code)¹⁰ to calculate the topological invariant quantities, and using this, many materials are potentially identified as pressure-induced TIs and TCIs. Therefore, first-principles theoretical calculations play a crucial role in predicting the pressure-induced TQPTs.

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3 First-principles calculations are in many cases easier and faster than experimental
4 techniques to determine and classify topological materials and predict TQPTs; however, there
5 are also some roadblocks in theoretical calculations. On one hand, standard calculations
6 based on the density functional theory (DFT) use to underestimate the band gap so they can
7 make a wrong classification of topological materials unless more complex calculations are
8 performed. On the other hand, some predictions reported in the literature for several materials
9 are unrealistic because those compounds have not been synthesized to date; i.e. the
10 calculations were done for a hypothetical crystal structure that does not correspond to the
11 crystal structure known at ambient conditions. One example of this last case corresponds to
12 theoretical calculations of the rhombohedral phase (tetradymite-like) of the Sb_2Se_3 (β -
13 Sb_2Se_3). This compound has been predicted either to be a TI at room pressure,³³ or to be a TI
14 under strain and hydrostatic pressure.^{19,27} Unfortunately, Sb_2Se_3 always crystallizes in the
15 orthorhombic structure at ambient conditions.^{34,35} Only recently, its existence in a few-layers
16 thin film has been shown and its structural stability at room temperature conditions fully
17 discussed.^{36,37} Therefore, the existence of a pressure-induced TQPT in β - Sb_2Se_3 is far from
18 being experimentally demonstrated. This example shows that the predicted TI properties of
19 some materials might not occur in real life. One more critical point to be added to the
20 reported theoretical prediction is the nature of the strain applied. In theoretical approaches, it
21 is possible to implement all kinds of strains such as uniaxial, biaxial, and hydrostatic (both
22 compression and tension). However, it is essential to note that hydrostatic (isotropic) pressure
23 (compression) is the most common, controlled, and experimentally easily accessible strain
24 using a diamond anvil cell (DAC), which easily generates pressures in the order of GPa.
25 Hence, hydrostatic pressure-dependent calculations are more important for practical aspects.
26 In summary, the crystal structure, band gap, and the kind of strain reported in the theoretical
27 predictions should be of concern for an experimentalist before they embark on the
28 experiments on the predicted topological transitions in materials.
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3. Pressure effect on the electronic structure of topological materials

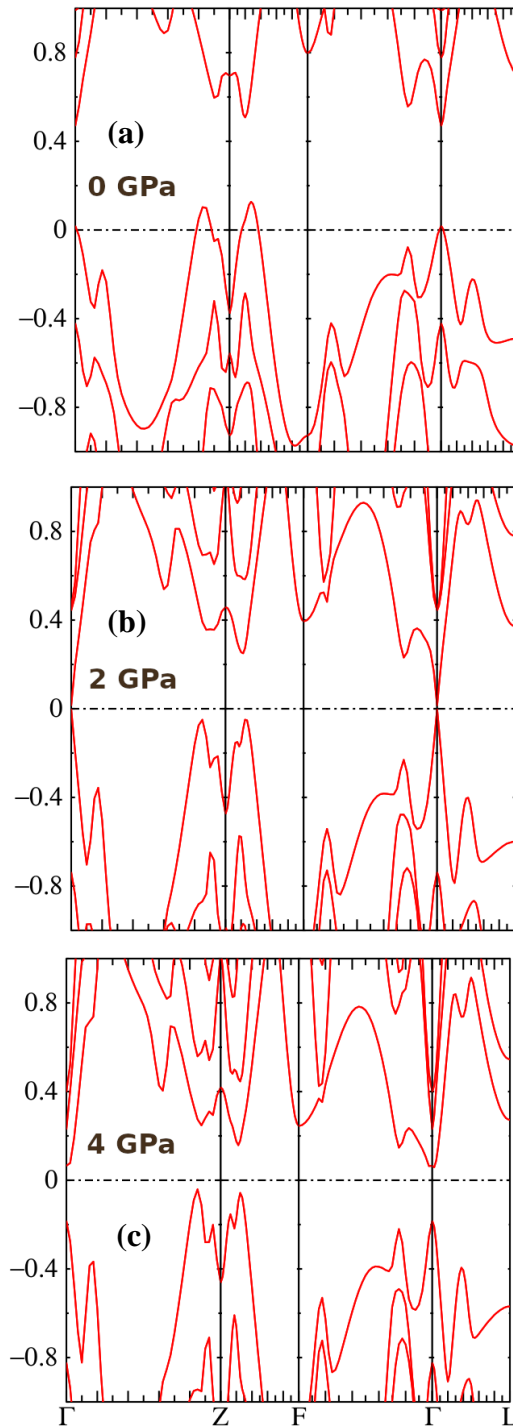


Figure 2. Theoretically calculated hydrostatic pressure dependent electronic band structure of $\beta\text{-As}_2\text{Te}_3$ at (a) 0 GPa (top), (b) 2.0 GPa (middle), and (c) 4.0 GPa (down). The BI signature (W shaped) is evidenced at the Γ point of the BZ near to Fermi level. This figure is adopted from Ref. [29].

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3 As BI is one of the fundamental criteria for TQPT, the detailed discussion of pressure
4 evolution of the electronic band structure will be crucial and discussed in the literature for all
5 the pressure-induced topological materials^{18-20,38}. Therefore, to illustrate the idea of the effect
6 of high pressure on the band structure of the topological materials, here we have briefly
7 discussed one of the promising pressure-induced TI, β -As₂Te₃²⁹. The process of the pressure-
8 induced TQPT in β -As₂Te₃ is represented in figure 2 (a)-(c).²⁹ At 0 GPa, the calculated
9 electronic structure of β -As₂Te₃ using the quasiparticle self-consistent GW methodology and
10 the inclusion of the SOC reveals an indirect band gap of 0.30 eV (see figure 2 (a)). As
11 pressures increases to 2 GPa, the band gap closes and the compound becomes a 3D
12 topological Dirac semimetal with Dirac cones at the Γ point (see figure 2(b)).²⁹ At higher
13 pressures the band gap reopens and the compound becomes a TI (see figure 2(c)). As
14 expected, the calculated \mathbb{Z}_2 topological invariant numbers for the β -As₂Te₃ compound at 0
15 GPa and 4.0 GPa give the values of (0; 000) and (1; 000).²⁹ In this context, it must be
16 mentioned that many works in the literature represent the pressure evolution of the band gap
17 and isosurfaces of charge density for VBM and CBM.^{39,40} It might be mainly due to easier
18 representation of BI and to visualize their features.

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32 Regarding theoretical calculations of pressure-induced TQPTs, it is important to note
33 that the accuracy in the prediction of the pressure at which a TQPT occurs in topological
34 materials depends on the accuracy of the electronic band structure calculations; i.e. on how
35 the calculations approach the absolute values of the band gap in real materials. Generally, the
36 accuracy of the calculations depends on the exchange-correlation potential and the effect of
37 SOC of the compound. Since SOC is one of the key reasons for the TQPT, it is important to
38 include the SOC effect in the topological property calculations.^{19,27,29,30} In this context, we
39 must note that standard first-principles DFT calculations using the local density
40 approximation (LDA) or the generalized gradient approximation (GGA) tend to
41 underestimate the band gap. However, some works suggest that there are exceptions, like
42 GaGeTe, in which GGA+SOC calculations show better agreement with experiments than
43 hybrid Heyd-Scuseria-Ernzerhof (HSE06)+SOC calculations.⁴¹ Therefore, caution must be
44 taken when predicting pressure-induced TQPTs because there can be a significant mismatch
45 between the experimental and theoretical band gap that can alter considerably the pressure at
46 which the TQPT occurs.

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3 In addition to pressure-induced TQPTs, various interesting pressure-driven electronic
4 transitions are observed in different classes of materials due to the pressure-induced changes
5 in the electronic band structure.^{42,43,44} In particular, for the case of some topological materials,
6 Lifshitz transitions or electronic topological transitions (ETTs) are observed under high-
7 pressure conditions.^{45,46} An ETT occurs when a band extremum, associated to a Van Hove
8 singularity in the electronic density of states (EDOS), crosses the Fermi energy. This crossing
9 leads to a strong redistribution of the EDOS near the Fermi energy that causes an
10 isostructural phase transition of electronic origin; i.e. of order higher than 2 in the Ehrenfest
11 classification. Therefore, there is no volume discontinuity and no change in Wyckoff
12 positions, but a change in the elastic constants and consequently in the compressibility.^{47,48}
13 Therefore, it must be mentioned that, even though TQPT and ETT are named as topological
14 transitions, they are two completely different phenomena and have no connection between
15 them. Further, it is interesting to note that some ambient 3D TIs (Bi_2Se_3 , Sb_2Te_3 , and Bi_2Te_3)
16 under hydrostatic pressure induce the ETT at around 3-4 GPa regions.^{46,49-51} Hence, caution
17 must be taken also when predicting a TQPT since the closing of the band gap can be also
18 associated to the presence of ETTs at similar pressures.
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31 **4. Raman scattering as an important indirect probe of pressure-induced TQPTs**

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34 The important question is how to detect the signature of topological transition under
35 high-pressure conditions experimentally? The topological surface states at ambient conditions
36 can be directly detected by several techniques, such as ARPES^{5-7,13,14} and scanning tunneling
37 microscopy (STM).⁵² But, one of the fundamental challenges is to characterize the formation
38 of topological surface states under high-pressure conditions (in the order of GPa). Because, at
39 present, the coupling of the DAC with ARPES or STM is beyond the potential technical
40 limit. However, when there are sharp changes in the topology of the electronic band structure,
41 it can be detected from bulk properties through some specific experiments. For example, we
42 can use the Raman scattering technique to get the indirect signatures of topological
43 transitions.^{53,54,40,55} During the TQPT process (see figure 1), we expect charge density
44 fluctuations and changes in the electron-phonon coupling in the materials.
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54 Recently, the theoretical model Hamiltonian calculations gave a detailed picture of the
55 relationship between the topological transition (BI) and Raman linewidth.⁵⁶ Mathematically,
56 it is shown that the Raman line width is directly proportional to the square of the energy-
57 resolved electron-phonon matrix elements.⁵⁶ Hence, the dynamics of electron-phonon
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3 coupling strongly captures the topological transitions through full width at half maximum
4 (FWHM) of a Raman mode. In particular, for the case of a centrosymmetric crystal, zone
5 center optical phonons (long wavelength, i.e. $q \sim 0$) can potentially couple to electrons
6 through commutation or anticommutation with an electronic parity operator.⁵⁶ Hence, the
7 Raman linewidth indirectly measures the BI and acts as a good indicator of topological
8 invariant changes in the system. In this way Raman scattering is an effective tool to
9 investigate the electron-phonon coupling changes.^{40,53} Using this principle, Raman linewidth
10 anomalies evidenced the topological transitions in various SOC systems like BiTeI, 1T-
11 TiTe₂, 1T-TiSe₂, Sb₂Se₃, TlBiS₂, etc., and the details will be discussed in the below
12 sections.^{39,40,53-55} Similar to Raman scattering, signatures of the BI; i.e. band gap closing and
13 reopening can also be obtained by infrared (IR) spectroscopy measurements at high-
14 pressure.²⁴ It must also be noted that electron-phonon coupling changes and charge density
15 redistributions can also be detected by electrical transport measurements.^{53,57} Therefore,
16 several experimental techniques can be used to indirectly detect changes in the topology of
17 the electronic band structure at high pressure conditions. We want to highlight here that
18 Raman spectroscopy is the easiest experimental technique that can be used to get an insight
19 about the pressure-induced TQPTs in SOC materials.
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33 Note that the Raman scattering is a qualitative microscopic tool, and any changes (or
34 transitions) such as magnetic and electronic transitions, metallization, Lifshitz transitions,
35 and structural phase transitions will be reflected in its frequency, lifetime (inversely
36 proportional to line width) and intensity. Therefore, to confirm that it is indeed an electronic
37 transition (say topological transitions), we need to use multiple experimental tools that will
38 carefully rule out the possibility of any other transitions, and the results should be confirmed
39 with the first-principles theoretical calculations. In summary, the coupling of multiple
40 experiments such as Raman scattering, synchrotron XRD and electrical transport along with
41 the first-principles calculations is an efficient way to study the pressure-induced TQPTs.⁵³
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50 **5. Pressure-induced TQPTs in different classes of materials**

51 **5.1. A_2X_3 compounds**

52 The study of pressure-induced TQPTs in binary A_2X_3 compounds has been mainly
53 carried out in tetradymite-type group-15 chalcogenides. The family of A_2X_3 ($A = \text{As, Sb, Bi}$; X
54 $= \text{S, Se, Te}$) chalcogenides can be classified into three classes based on the structure type.
55 Heavier atoms lead to compounds with tetradymite ($\text{Bi}_2\text{Te}_2\text{S}$) structure, such as Bi_2Te_3 ($E_g \sim$
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0.12 eV), Bi_2Se_3 ($E_g \sim 0.30$ eV), and Sb_2Te_3 ($E_g \sim 0.28$ eV). These chalcogenides show a layered rhombohedral crystal structure [space group (SG): $R\bar{3}m$, $Z = 3$] at ambient conditions.^{5,45} In these compounds, quintuple layers (X-A-X-A-X) are extended along the hexagonal a - b plane and these layers are piled up along the hexagonal c axis (see figure 3). Inside the layers, the bonds are a mixture of covalent and multicenter (also named metavalent or hypervalent)⁵⁸ types and between the layers, the bonds are van der Waals types.^{59,60} Therefore, these systems can be considered as “quasi 2D” crystals. Due to the strong SOC and a narrow band gap, these systems are identified as second-generation 3D TIs, and all of them show a single Dirac cone at Γ point of the BZ.⁵⁻⁷ In this class, it is important to include β - As_2Te_3 ^{29,30} and β - Sb_2Se_3 ^{19,27,33,36,39} that are NIs due to insufficient SOC strength, as previously commented.

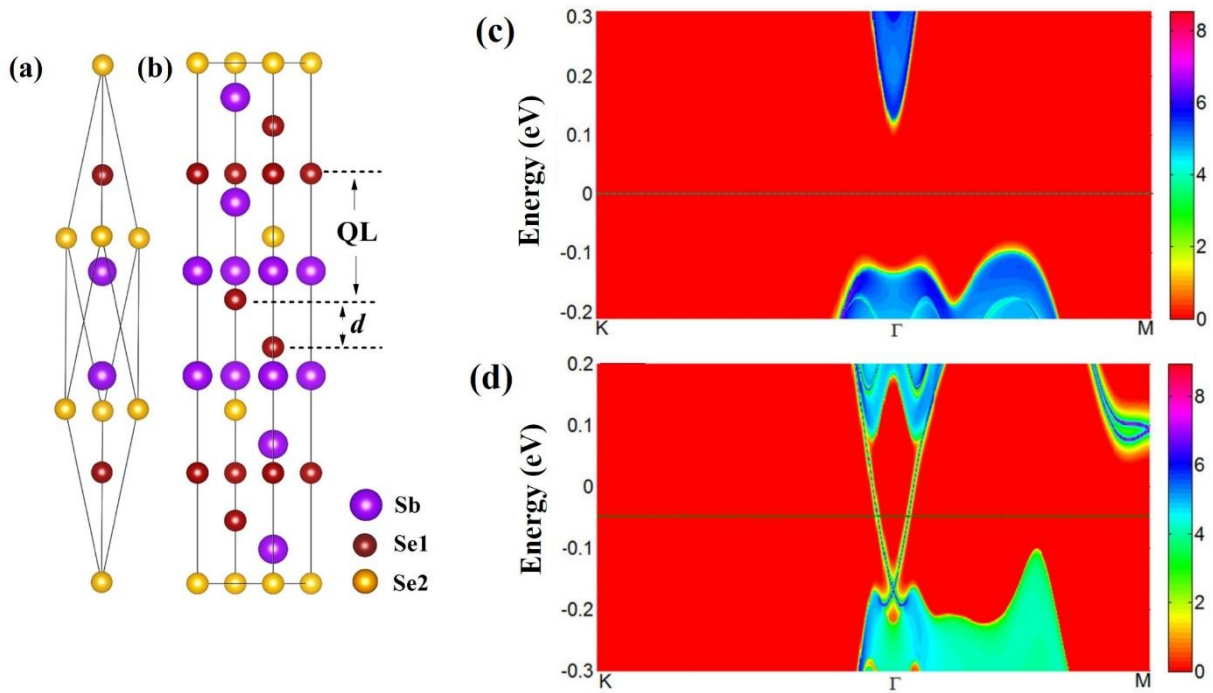


Figure 3. (a) Crystal structure of the rhombohedral phase of Sb_2Se_3 and (b) Unit cell of Sb_2Se_3 in the hexagonal setting. Here QL and d represent the quintuple layers and interlayer distance, respectively. This figure is adopted from Ref. [33] (c). Evolution of band structure of the surface spectral function for Sb_2Se_3 at ambient and (d) 3.0 GPa along the [111] surface. The green and red regions represent the bulk energy bands and bulk energy gaps, respectively. The dashed line signifies the Fermi level. The typical TQPT and Dirac-like topological surface states can be seen at Γ point of the BZ under the hydrostatic pressure 3.0 GPa. This figure is adopted from Ref. [19].

The second structural class from A_2X_3 family are Bi_2S_3 ($E_g \sim 1.30$ eV), Sb_2S_3 ($E_g \sim 1.7$ - 1.8 eV), and Sb_2Se_3 ($E_g \sim 1.00$ eV), which adopt the orthorhombic structure (SG: $Pnma$, $Z = 4$) at ambient conditions and are wide band gap semiconductors.^{61,62} As the structure of the material controls the properties, these systems are not TIs at either ambient or high-pressure conditions. Finally, the third class of this family is composed by As_2S_3 , As_2Se_3 , and $\alpha\text{-As}_2\text{Te}_3$ that tend to crystalize in highly distorted monoclinic structures.⁴² These compounds are also NIs at ambient conditions. To the best of our knowledge, no pressure-induced topological properties have been found to date on these compounds.

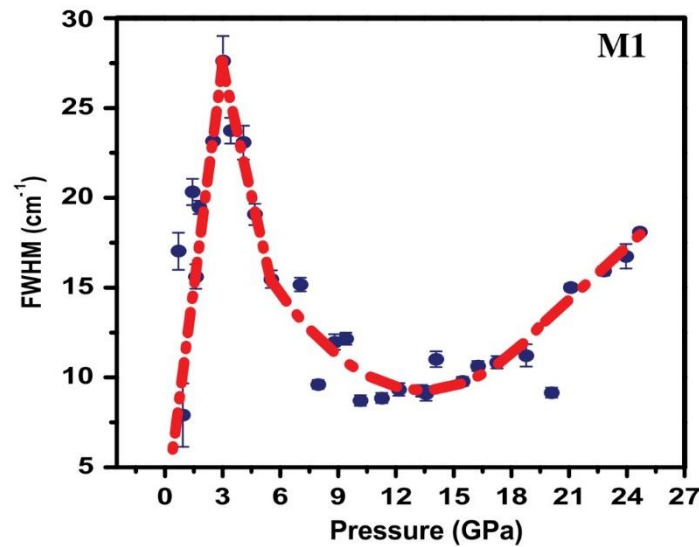


Figure 4. Pressure dependence of FWHM of M1 phonon mode (E_g) in the rhombohedral phase of Sb_2Se_3 . The sharp maxima at ~ 2.5 GPa signifies the TI transition. This figure is adopted from Ref. [39].

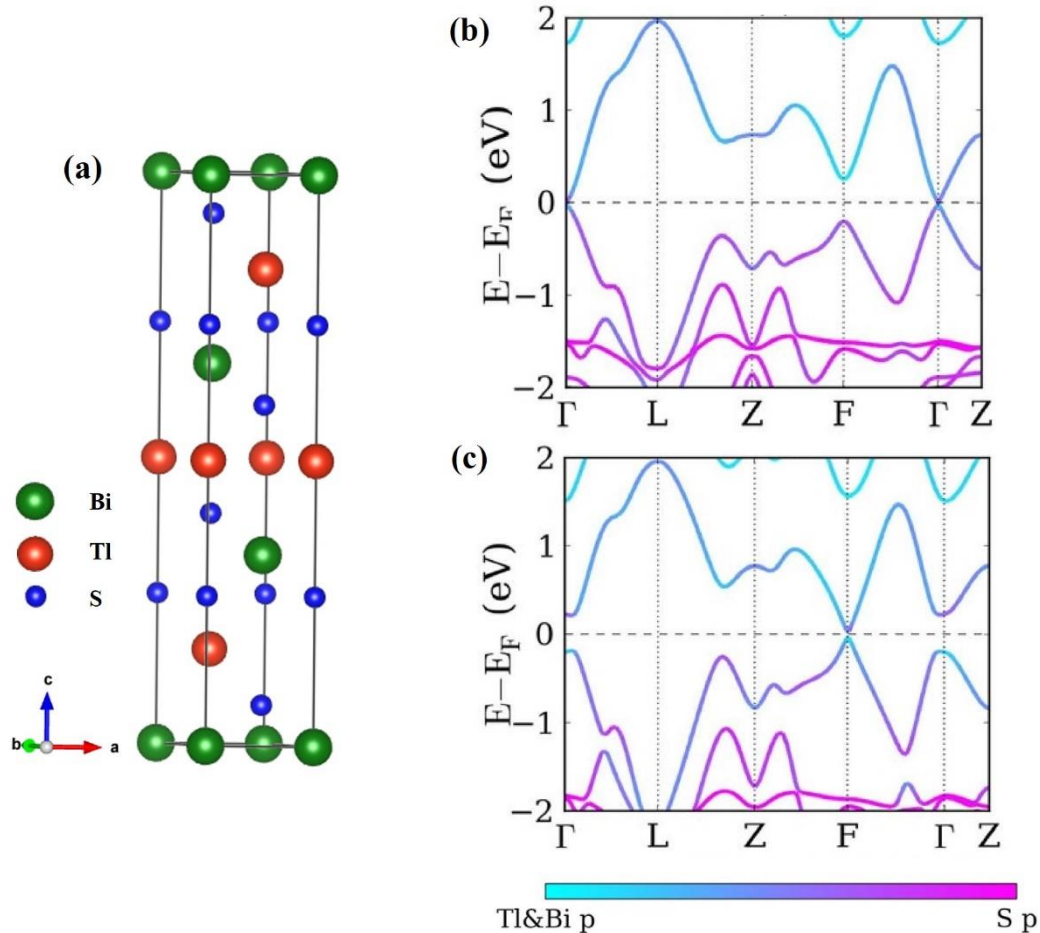
First-principles theoretical calculations predicted that the rhombohedral phase [hypothetical structure (see figure 3(a)) from the theoretical calculations aspect] of Sb_2Se_3 ($\beta\text{-Sb}_2\text{Se}_3$) undergoes into TI under external pressure.^{19,27,33} Similar to other rhombohedral phase tetradymite compounds, Sb_2Se_3 shows the BI at Γ point of the BZ under pressure.¹⁹ Interestingly, this system was demonstrated from theoretical calculation to exhibits TI properties under both uniaxial (along the c axis compression) and hydrostatic pressure, as shown in figure 3(d). In this context, Bera *et al* experimentally showed that the changes in the electron-phonon coupling through phonon (E_g mode) anomalies at ~ 2.5 GPa for the $\beta\text{-Sb}_2\text{Se}_3$ as represented in figure 4.³⁹ This study claimed that linewidth anomalies of E_g mode is the signature of transition from NI to TI due to the changes in the topological invariant quantity (Z_2) and complemented with the first-principles calculations based on the non-adiabatic

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3 treatment of phonons.³⁹ In fact, this is a pioneer experimental work for showing the
4 topological transition using Raman scattering. However, this work was further questioned by
5 several experimental research groups. We summarize the major ongoing debate of this claim
6 below.
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11 The first one is about the structure of the Sb_2Se_3 compound. Bera *et al* claimed the
12 single-crystal synthesis of the $R\bar{3}m$ phase of Sb_2Se_3 .³⁹ But the synthesis of single-crystal was
13 not supported (or proven) by any systematic structural analysis such as single crystal XRD,
14 microstructural characterization like TEM, etc. Mention must be made that the reported
15 rhombohedral phase ($R\bar{3}m$ of Sb_2Se_3) **observation in bulk form has not been verified to date**
16 **by any other experimental group. Only a few-layer film of this phase seems to have been**
17 **recently synthesized over a Bi_2Se_3 substrate.**³⁶ Most of the experimental studies confirm that
18 Sb_2Se_3 adopts an orthorhombic structure (SG: $Pnma$) at room temperature conditions.^{34,35}
19 Hence the crystal structure of the single-crystalline Sb_2Se_3 sample reported as rhombohedral
20 is slightly controversial. The second one is the reproducibility of results reported by Bera *et al*
21 *al*. After the Bera *et al* work, another research group (Efthimiopoulos *et al.*) carried out high-
22 pressure experiments up to ~65 GPa on the Sb_2Se_3 compound.³⁵ From these systematic
23 studies [using various pressure transmitting mediums (PTMs)], it is suggested that the
24 influence of liquid PTM like methanol ethanol (M:E) in 4:1 ratio would cause the problem of
25 changing the nature of the sample. They have also shown that an inert gas medium like
26 helium can be the best PTM for this compound's high-pressure study.³⁵ Not only the reported
27 TI transition but even the structural transition proposed by Bera *et al* from their Raman
28 experiments in connection with the relevant systems were not observed by Efthimiopoulos *et al*.³⁵
29 **Furthermore the Raman modes measured by Bera *et al.*³⁹ do not match neither in**
30 **frequency nor in pressure coefficient with those theoretically predicted.**³⁷ **Therefore, it can be**
31 **concluded that the ongoing debate of the pressure-induced TQPT in $\beta\text{-Sb}_2\text{Se}_3$ is still open and**
32 **a detailed structural characterization at ambient conditions is very essential. Recently first**
33 **principle calculations reveal that the $R\bar{3}m$ structure is energetically, mechanically, and**
34 **dynamically favorable at ambient conditions for Sb_2Se_3 , despite the $Pnma$ phase being only**
35 **observed in most experiments.**³⁷ Interestingly, both phases ($Pnma$ and $R\bar{3}m$) are very
36 competitive at ambient conditions, and the enthalpy difference between the two phases is
37 ~22.71 meV per formula unit at 0 K.³⁷ This value is lower than the room temperature thermal
38 energy (25 meV at 300 K). Hence, it seems that the $R\bar{3}m$ phase is experimentally possible to
39 be synthesized in Sb_2Se_3 , as it has been synthesized in As_2Te_3 and As_2Se_3 .^{63,64} Since the
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3 rhombohedral phase is expected to show novel topological properties under high-pressure
4 conditions, the first prospect would be to crystallize the Sb_2Se_3 in the $R\bar{3}m$ phase in various
5 available synthesis routes (like high-pressure high-temperature synthesis) and study them
6 systematically.
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10 5.2. ABX_2 compounds



44 **Figure 5.** (a) Crystal structure of the rhombohedral phase of the TlBiS_2 compound. (b) The
45 calculated electronic band structure (including the SOC effects) of the TlBiS_2 at 0 GPa and
46 (c) 5.0 GPa. The first BI occurs at the Γ point of the BZ leading to the TI phase. The second
47 BI occurs at the F point of the BZ leading to the TCI phase. The color code represents the
48 contribution of orbital characters of Tl, Bi, and S atoms. This figure is adopted from Ref.
49 [20].
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52 The study of pressure-induced TQPTs in ternary ABX_2 compounds has been mainly carried
53 out in thallium- and bismuth-based chalcogenides TlBiX_2 ($X = \text{S, Se, Te}$) since this family
54 adopts the rhombohedral (SG: $R\bar{3}m$) structure at ambient conditions; i.e. they are structurally
55 similar to tetradymite semiconductors.⁶⁵ The rhombohedral unit cell has four atoms in which
56 Tl, Bi, X atoms are placed in a layered fashion normal to the threefold axis in the order of -
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3 Tl-X-Bi-X- [see figure 5(a)]. Here, each Tl (or Bi) layer is sandwiched between the two
4 chalcogens (X) layers, and Tl or Bi act as the inversion centers. Therefore, there is a strong
5 interlayer coupling that exists between them and hence makes the crystal structure 3D.
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7 Notably, this behavior is different from the tetradymite semiconductors, because there is a
8 weak coupling (vdW type) exists between each of the quintuple layers in tetradymite
9 semiconductors.

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14 At ambient conditions, TlBiS₂ is a direct band gap semiconductor with a band gap of 0.42 eV
15 at the Γ point. First-principles calculations predicted that TlBiS₂ undergoes a TQPT into a TI
16 phase under uniaxial [along (111) direction] strain, hydrostatic pressure, and electric field.^{20,17}
17 Moreover, a TCI phase is also predicted in TlBiS₂ at higher hydrostatic pressure regions [see
18 figure 5(c)].²⁰ The recent high-pressure experimental study on TlBiS₂ discovered the non-
19 trivial topological phases in it.⁴⁰ The Raman linewidth anomalies of E_g mode at the pressures
20 of ~0.5 and ~1.8 GPa evidence the unusual electron-phonon coupling in the rhombohedral
21 phase of TlBiS₂ [see figure 6(a)].⁴⁰ This phonon signature is linked to multiple BIs present in
22 the systems, interpreted with the help of first-principles calculations. The first BI at Γ point
23 [see figure 5(b) and figure 6(b)] changes the topological invariant quantity \mathbb{Z}_2 from 0 to 1 at
24 ~0.5 GPa (experimental transition pressure values) and therefore induces a strong TI phase in
25 TlBiS₂.⁴⁰ Further, at high-pressures (~1.8 GPa), second BI at F point [see figure 5(c) and
26 figure 6(b)] changes the mirror Chern number ($n_M = 2$), and hence induces a TCI state.⁴⁰
27 Upon applying further pressure, the TlBiS₂ undergoes a first-order structural phase transition
28 above ~4.0 GPa. So, in this system, the externally applied hydrostatic pressure systematically
29 switches the direct band gap semiconductor TlBiS₂ to TI at ~0.5 GPa and then into TCI at
30 ~1.8 GPa.⁴⁰
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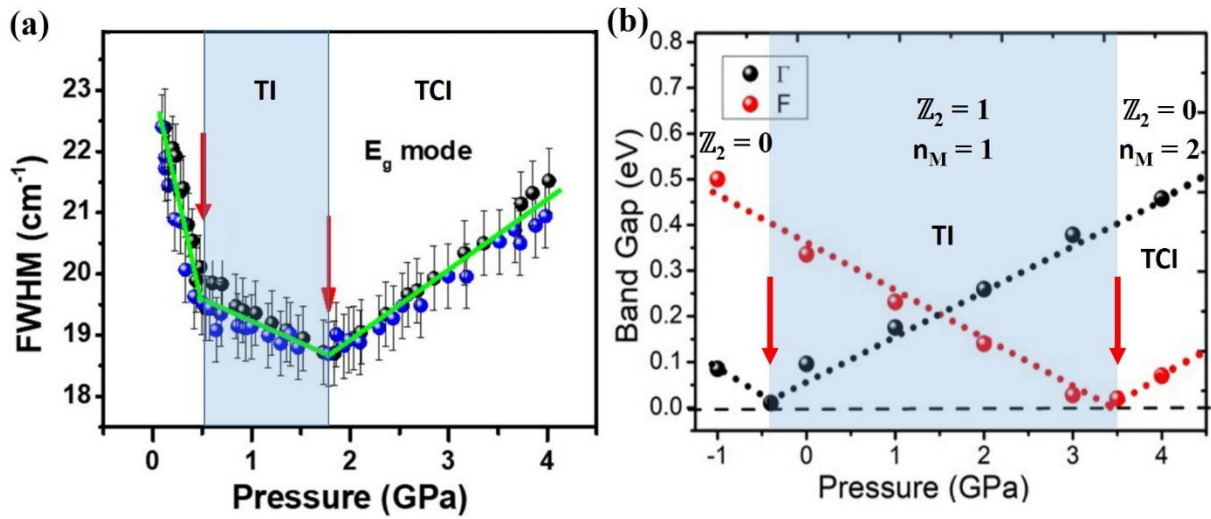


Figure 6. (a) Pressure dependence of FWHM of E_g mode in the rhombohedral phase of TlBiS_2 . The solid red arrow at ~ 0.5 GPa and ~ 1.8 GPa signature the TI and TCI phases, respectively. (b) Pressure vs. band gap at the Γ and F points of the BZ. The solid red arrow at ~ -0.4 GPa and ~ 3.6 GPa indicates the BI at Γ and F points of the BZ, respectively. The blue shaded region represents the TI phase. This figure is adopted from Ref. [40].

TlBiS_2 also shows a TQPT under chemical substitution. To be precise, the chemical substitution of Se at S site, i.e., $\text{TlBi}(\text{S}_{1-x}\text{Se}_x)_2$ system, leads to the formation (at $x = 0.5$ of Se) of a single Dirac cone at the Γ point, thus showing that TlBiSe_2 is a TI at ambient conditions.¹⁵ In this chemical strategy, the SOC strength of $\text{TlBi}(\text{S}_{1-x}\text{Se}_x)_2$ increases with the concentration of Se. This makes the band gap to decrease with increasing Se content, thus favoring the BI. These two combined experiments (Rajaji *et al.*⁴⁰ and Sato *et al.*¹⁵) clearly illustrate that the substitution of Se is analogous to the externally applied pressure. Pressure helps to decrease the band gap, thus acting as if the material had a stronger SOC. Further, the systematic high-pressure investigations on the tetradymite semiconductors and thallium-based III-V-VI₂ ternary chalcogenides clearly explain the following observation. When the narrow band gap compound of the 3D TI family shares the same crystal symmetry and electronic structure, but has a higher band gap (probably higher than room temperature energy ~ 25 meV) and lower SOC strength, then pressure can act as a potential tool to induce the BI in the system. The obvious examples are the narrow band gap semiconductors $\beta\text{-As}_2\text{Te}_3$ ($E_g \sim 0.30$ eV), $\beta\text{-Sb}_2\text{Se}_3$ ($E_g \sim 0.31$ eV) and TlBiS_2 ($E_g \sim 0.42$ eV). Table 1 illustrates the relationship of the pressure-induced TQPTs to TI and TCI phases in tetradymite semiconductors and TlBiX_2 family.

TABLE 1. Comparison of tetradymite and TI-based ternary chalcogenide systems on the aspect of ambient and pressure-induced TI and TCI phases.

Compound	E_g (eV)	Space group	Theoretical prediction	Experimental Proof	TI	TCI
Tetradymite semiconductors						
Bi_2Se_3	0.3	$R\bar{3}m$	Yes ⁴	Yes ⁵	Ambient	-
Bi_2Te_3	0.12	$R\bar{3}m$	Yes ⁴	Yes ⁶	Ambient	-
Sb_2Te_3	0.28	$R\bar{3}m$	Yes ⁴	Yes ⁷	Ambient	-
Sb_2Se_3	0.31 ^a	$R\bar{3}m^b$	Yes ^{19,27,33}	Yes ^c	2.5 GPa ³⁹	-
As_2Te_3	0.30 ^d	$R\bar{3}m$	Yes ^{29,30,d}	No	>2 GPa ²⁹	-
TI based ternary chalcogenides						
TlBiSe_2	0.28	$R\bar{3}m$	-	Yes ⁶⁶	Ambient	2.5 GPa ⁶⁷
TlBiTe_2	0.11	$R\bar{3}m$	-	Yes ⁶⁶	Ambient	- ^d
TlBiS_2	0.42	$R\bar{3}m$	Yes ²⁰	Yes ⁴⁰	0.5 GPa ⁴⁰	1.8 GPa ⁴⁰

^a estimated from theoretical calculations.¹⁹

^b hypothetical structure from theoretical calculations and yet to be confirmed by the XRD experiment.^{19,27,33}

^c Yet to be reproduced by other research groups.³⁹

^d Yet to be experimentally explored.

The observation of TCI phase in TlBiS_2 under high pressure stimulates the keen interest in structurally similar compounds like TlBiSe_2 and TlBiTe_2 . Due to a stronger SOC strength and the corresponding lower band gap (lesser than the room temperature energy), TlBiSe_2 and TlBiTe_2 are 3D TIs (show single Dirac cone at Γ point of the BZ) at ambient conditions.⁶⁶ So, if we further apply pressure to these compounds, then it might have the possibility to show the TCI phase, as TlBiS_2 at high pressure. Based on this intuitive idea, recently we have carried out systematic high-pressure investigations on 3D TI TlBiSe_2 .⁶⁷ Interestingly, it shows the TCI phase under pressure. In particular, the Raman linewidth of A_{1g} and E_g modes show the anomalies at ~ 2.5 GPa, which evidence the unusual electron-phonon coupling and indicate the possible occurrence of a BI.⁶⁷ First-principles calculations confirm that it is due to a BI at the F point of the BZ and the changes in the mirror Chern number ($n_M = 2$) leading to the TCI phase.⁶⁷

The high-pressure study on TI-based ternary chalcogenides shows multiple topological transitions,^{40,67} and therefore TlBiX_2 family serves as the potential host for studying the topological transitions under high pressure. Moreover, the transition pressure of these systems is ≤ 2.5 GPa, which can also be achieved by the chemical route. So, with the proper chemical strategy, the TCI phase can be observed in TlBiS_2 and TlBiSe_2 systems at room

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3 temperature condition. Therefore, this class of materials opens the exciting possibility to
4 switch the TI into TCI by pressure. Further, the calculated electronic band structure of TlBiS₂
5 and TlBiSe₂ at high pressure shows only BIs at the Γ and F points of the BZ and almost no
6 band overlap along other directions.^{20,40,67} This makes the TlBiX₂ family to have a unique
7 band structure and therefore are ideal candidates to study the physics behind topology, and its
8 effect on multiple properties. Recall that the TCI phase increases the thermoelectric
9 performance in Pb_{0.99}Cr_{0.01}Se under high-pressure.³¹ Similar enhancement of thermoelectric
10 performance is expected in the TlBiX₂ family under high-pressure conditions during the
11 formation of a TCI state. Therefore, it is a must to study the thermoelectric aspects for these
12 classes of compounds.
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21 The future perspective in this family is to study the high-pressure behavior of the TlBiTe₂
22 compound. Based on the crystal and electronic structure similarities, TlBiTe₂ is the potential
23 candidate to show the TCI phase at moderate pressures. Further, the substitution of Te at the
24 S site [i.e., TlBi(S_{1-x}Te_x)₂] can also possibly lead to TI property at room temperature
25 conditions and is yet to be explored. Also, it will be interesting to make the phase diagram of
26 TlBiX₂ between the pressure and the various non-trivial topological phases. In this context,
27 transport measurements, like Shubnikov de Haas oscillation (SdH) measurements,⁶⁸ are very
28 important to be performed on the TlBiX₂ family. Those measurements will give insight about
29 the Fermi surface in relation to the observed TI and TCI phases.
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37 Before concluding this section, we will discuss some of the systems in comparison with the
38 TI-based ternary chalcogenide family, which might be helpful in getting a deeper
39 understanding of TQPTs. For instance, the high-pressure phase of β -AgBiSe₂ (SG: $R\bar{3}m$)
40 shares a similar crystal structure and chemistry with the 3D TI TlBiSe₂, but β -AgBiSe₂ does
41 not show a TQPT at high pressure⁴⁴. This example might demonstrate that just having
42 structurally similar systems and strong SOC strength need not be a sufficient condition for
43 achieving a TQPT. In these two systems, one notable difference exists in terms of the **lone**
44 **electron pairs (LEPs)**. Tl¹⁺ has a stereoactive LEP, whereas Ag¹⁺ does not have a stereoactive
45 LEP. Therefore, it will be interesting to investigate the role played by the LEPs in the
46 pressure-induced TQPTs of these systems and other pressure-induced TIs, which might give
47 a more fundamental understanding of TIs in connection with the LEP chemistry.
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5.3. AX_2 compounds

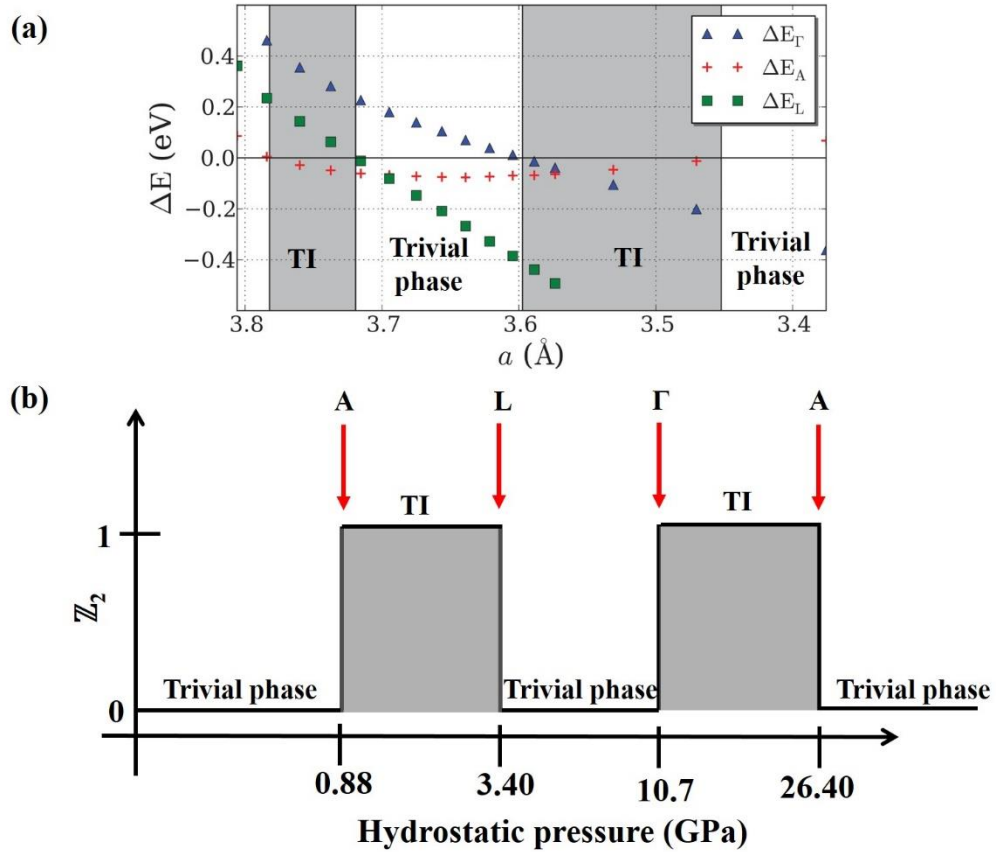


Figure 7. (a) Topological phase diagram of 1T-TiTe₂ under lattice compression. Here ΔE and a represent the energy difference between the states and lattice parameter, respectively. Whenever ΔE is going from a positive to a negative value, it signifies a BI. So, there is a total of four BIs indicated at A, L, Γ , and A points of the BZ. This figure is adopted from Ref. [38]. (b). Schematic representation of the oscillations of topological invariant quantity Z_2 vs. pressure for 1T-TiTe₂. The solid red arrow indicates the BIs associated with the respective BZ points. The pressure values are mentioned in this figure from Ref. [53].

The study of pressure-induced TQPTs in binary AX_2 compounds has been mainly carried out in titanium-based transition metal dichalcogenides (TMDs) TiX_2 . Strain (uniaxial, biaxial, and hydrostatic) induced several TQPTs have been predicted in the 1T phase (SG: $P\bar{3}m1$) of TMD TiTe₂.³⁸ Interestingly, 1T-TiTe₂ compound showed (theoretical calculation) that series of topologically trivial \rightarrow non-trivial \rightarrow trivial \rightarrow non-trivial \rightarrow trivial phases under hydrostatic pressure up to ~ 30 GPa [see Figs. 7(a) and 7 (b)].³⁸ Strongly motivated by this prediction, our group has experimentally explored the signatures of some of the predicted TQPTs.⁵³ The phonon anomalies of A_{1g} and E_g modes at ~ 2.0 GPa and ~ 4.0 GPa evidence the unusual electron-phonon coupling in 1T-TiTe₂ as shown in figure 8(a).⁵³ In addition to that, the axial c/a ratio shows signatures of charge density redistributions, and electrical transport

measurements revealed anomalies around similar pressures.⁵³ Therefore, the isostructural electronic transitions at ~ 2.0 GPa and 4.0 GPa indicate the occurrence of BIs at A and L points of the BZ, respectively. The experiments confirm that the pressure-induced topologically non-trivial phase ($Z_2 = 1$) and trivial metallic phase ($Z_2 = 0$) at ~ 2.0 GPa and ~ 4.0 GPa respectively.⁵³ But after ~ 8.0 GPa, 1T-TiTe₂ undergoes a structural transition from trigonal to monoclinic (SG: C2/m) phase⁵³. This structural transition masks the observation of two more BIs (at Γ and A points) predicted (see Figs. 7(a) and 7(b)] in 1T-TiTe₂ at higher pressure regions (around 10.7 GPa and 26.40 GPa). It must be stressed that these high-pressure results on the 1T-TiTe₂ compound were reproduced by Zhang *et al.*⁶⁹ Structural prototype 1T-TiSe₂ also showed similar pressure evolution of oscillation of topologically trivial \rightarrow non-trivial \rightarrow trivial phases from first-principles theoretical calculations.⁷⁰ The recent high-pressure experiments have confirmed this prediction using Raman signatures of A_{1g} phonon mode, as shown in figure 8(b).⁵⁴

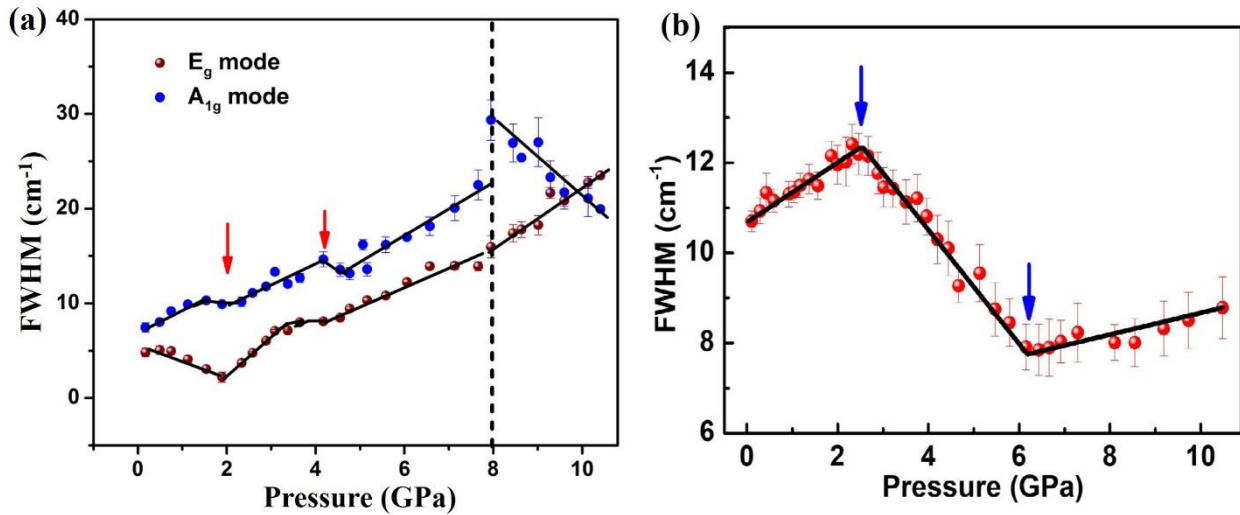


Figure 8. (a) Pressure dependence of FWHM of A_{1g} and E_g modes in 1T-TiTe₂. The vertical dotted lines at ~ 8.0 GPa represent the first-order structural phase transition. The solid red arrows at ~ 2.0 GPa and ~ 4.0 GPa indicate the TI and trivial phases, respectively. (b) Pressure vs. FWHM of A_{1g} phonon mode for the 1T-TiSe₂ compound. The solid blue arrows at ~ 2.0 GPa and ~ 6.0 GPa indicate the isostructural electronic transitions associated with the TI and trivial phase, respectively. This figure is adopted from Refs. [53] and [54].

Even though both systems (1T-TiTe₂ and 1T-TiSe₂) share a similar crystal symmetry, the number of BIs and their associated TRIM points are different upon the application of hydrostatic pressure. There are a total of four BIs (A, L, Γ , and A) predicted for 1T-TiTe₂,³⁸ whereas two consecutive BIs (at the same Γ point) are predicted for 1T-TiSe₂.⁷⁰ Hence it will be an interesting perspective to study the TiTe_{2-x}Se_x compounds (both experiments and

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3 theoretical band structure calculations) because these compounds would create chemical
4 pressure, which might be equivalent to external hydrostatic pressure. Therefore, it can have
5 the possibility to induce some TQPTs at ambient conditions in some selective composition.
6 Also, these two studies only showed the topological invariant quantity \mathbb{Z}_2 variation as a
7 function of hydrostatic pressure. Since these two systems showed an even number of BIs, it
8 has a possibility of forming the TCI phase under pressure. Hence it is an important prospect
9 to study these systems under pressure as a function of mirror Chern number n_M . Moreover,
10 1T-TiSe₂ shows superconductivity in low-temperature regions and is predicted as a
11 topological superconductor.⁷⁰ Thus it will be interesting to look for the detailed pressure-
12 dependent transport measurements at low-temperature conditions. Finally, it is worth
13 mentioning that 1T-TiS₂; the weak SOC compound in this family, is a semiconductor (E_g : 0.2
14 - 0.3 eV) and shares a similar crystal structure and chemistry as 1T-TiTe₂ and 1T-TiSe₂
15 compounds. Therefore, 1T-TiS₂ could be a potential candidate to search TQPTs at high
16 pressures. The band structure calculations of bulk TiS_{2-x}Te_x systems evidence the strong TI
17 ($\mathbb{Z}_2 = 1$) for $x > 0.44$, which further substantiates our intuition about the pressure-induced TI
18 phase in TiS₂ compound.⁷¹

31 **5.4. ABX compounds**

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34 The study of pressure-induced TQPTs in ternary ABX compounds has been mainly
35 carried out in bismuth tellurohalides BiTeX ($X = \text{Br, I}$). They are strong SOC compounds with
36 a non-centrosymmetric trigonal crystal structure (SG: $P3m1$) at ambient conditions and a
37 giant bulk-Rashba spin splitting.^{24,57,68} In this family, BiTeI is a polar semiconductor ($E_g \sim$
38 0.38 eV) at ambient conditions, and structurally, it is composed of triple layers (Te-Bi-I)
39 stacked along the c axis through weak vdW interactions. Hydrostatic pressure-induced TI
40 state was predicted in this non-centrosymmetric system at around 1.7-4.1 GPa.¹⁸ The unusual
41 decrease of Raman line width of the E mode signatures the TQPT transition in BiTeI at
42 around 3 GPa.⁵⁵ In addition to that, the charge density fluctuations are noticed during the BI
43 occurrence in the system through the minimum in c/a ratio at around 2.0-2.9 GPa in
44 synchrotron XRD measurements.²⁴ Further, IR spectroscopy measurements (reflectance and
45 transmittance) confirm the reduction of light absorption during the TQPT around similar
46 pressures. Specifically, the carrier spectral weight (directly proportional to Fermi velocity)
47 and dc optical conductivity evidence the systematic increase, reaching the maximum value at
48 ~ 2.20 GPa, and then a decreasing trend is noticed under pressure as shown in the insets of
49 figure 9.²⁴ The maximum value of carrier spectral weight [see the bottom inset of figure 9] is

the indication for the linear band dispersion behaviors, which is expected during the TQPT (see figure 1). So the observed trend of the carrier spectral weight illustrates the systematic band gap closing and reopening behaviors and thus confirms the signatures of the TQPT in BiTeI.²⁴ Importantly SdH oscillation measurements revealed that the shape of the Fermi surface changes (the inner Fermi surface increases and the outer Fermi surface decreases) significantly due to the occurrence of BIs at A point of the BZ during the TQPT in BiTeI.⁶⁸

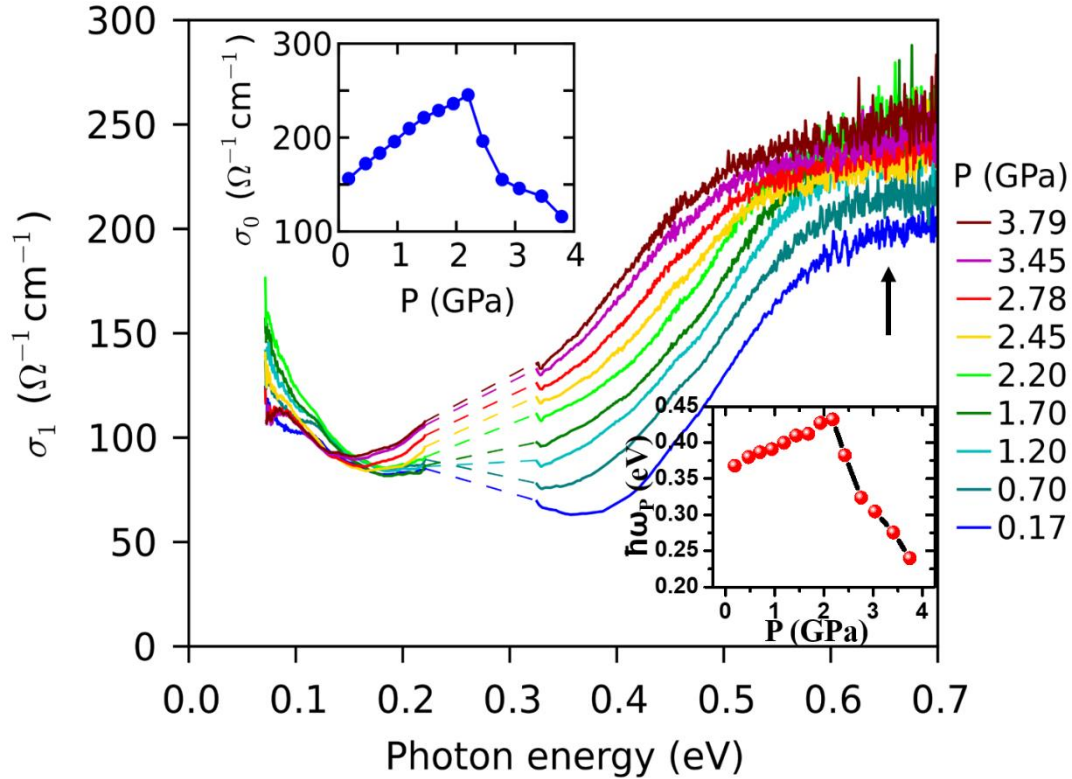


Figure 9. Pressure dependence of the real part of the optical conductivity obtained from IR spectroscopy (reflectance and transmittance) measurements in BiTeI. The solid black arrow represents the increasing pressure. The top inset shows the pressure dependence of the optical conductivity at zero photon energy (σ_0) calculated from IR spectroscopy experiments. The bottom inset shows the pressure dependence of the ω_p in the BiTeI compound. Here $\omega_p^2/8$ is the carrier spectral weight (is directly proportional to v_F^2) that measures the Fermi surface in weakly interacting systems. This figure is adopted from Ref. [24].

Structural prototype BiTeBr also showed the pressure-induced TQPT at 2.9 GPa in the A point of the BZ.⁵⁷ This was confirmed by synchrotron XRD and electrical transport measurements and corroborated by the Wilson loop analysis (efficient method for non-centrosymmetric crystal structure) of the electronic states which evaluate the topologically distinct properties below and above the critical pressure.⁵⁷ It will be an exciting prospect to

perform the SdH oscillation measurements on BiTeBr to get more insight into the pressure-induced TQPT on the aspect of the Fermi surface and also make the comparative analysis with the BiTeI compound. Another interesting prospect is to conduct high-pressure optical spectroscopy (both Raman and IR) experiments on the BiTeBr compound, which will give insight into the phonon linewidth anomalies, optical conductivity, and carrier spectral weight during the TQPT. Unfortunately, previous Raman measurements at high pressure in BiTeBr did not have enough quality to perform such an analysis.⁷²

5.5. AX compounds

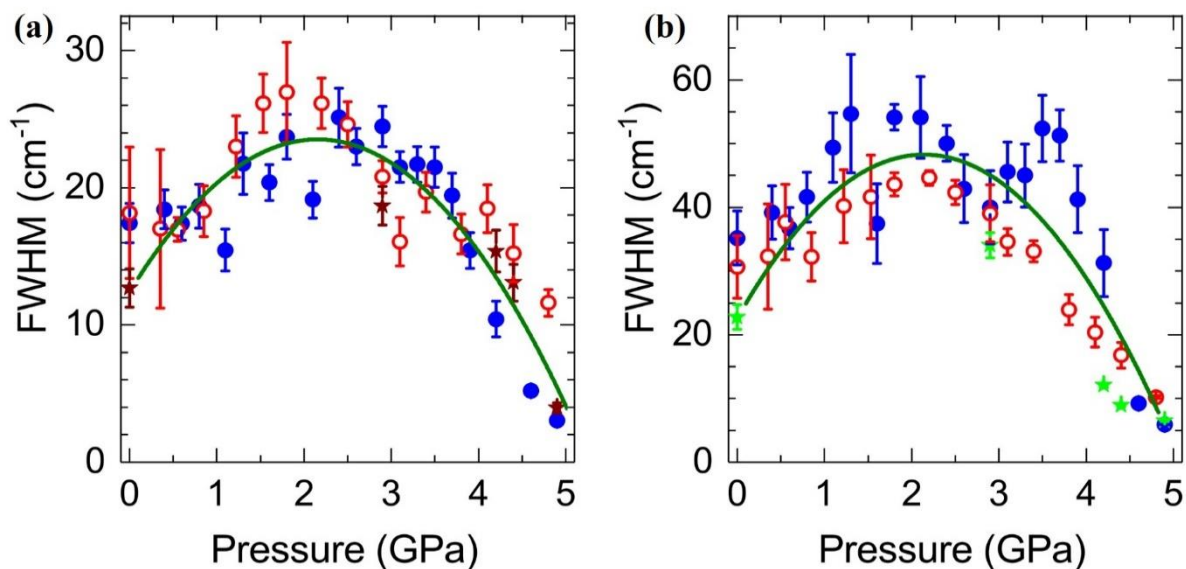


Figure 10. (a) Pressure dependence of FWHM of TO and (b). LO modes in the $\text{Pb}_{0.99}\text{Cr}_{0.01}\text{Se}$ compound for the B1 phase (SG: $Fm\bar{3}m$). Each figure represents the three sets of different experimental runs. The phonon linewidth anomalies of TO and LO phonon modes are at around ~ 3.0 GPa signatures the TCI phase. This figure is adopted from Ref. [31].

The detailed experimental study of pressure-induced TQPTs in binary AX compounds has been mainly carried out in group IV-VI chalcogenides with rocksalt structure, despite TQPTs have been also predicted in other binary compounds. First principle theoretical calculations predicted several types of strain-induced TQPTs in $\beta\text{-InSe}$ (SG: $P6_3/mmc$)⁷³, InSb ⁷⁴, $\beta\text{-InTe}$ (SG: $P6_3/mmc$)⁷⁵, group IV-VI semiconducting chalcogenides AX (A = Ge, Sn, Pb, and X = S, Se, Te) with a rock salt structure^{76,77}, monolayer TlSe and TlS ,⁷⁸ etc. However, only a few experimental attempts were made in this class of compounds to explore pressure-induced TQPTs. For example, PbSe shows a TCI phase both either under high pressure or under alloying conditions. In this last case, the composition of $\text{Pb}_{1-x}\text{Sn}_x\text{Se}$ gives the formation of a TCI state $x = 0.23$.¹⁴ Further, the dense lead chalcogenide $\text{Pb}_{0.99}\text{Cr}_{0.01}\text{Se}$

showed the pressure-induced TCI phase transition at ~ 2.8 GPa and the Raman line width of both LO and TO modes evidence the anomalies around the similar pressure regions as shown in figure 10(a) and 10(b).³¹ Similar to PbSe, PbTe experimentally shows a TCI phase during alloying $(\text{Pb}_{0.6}\text{Sn}_{0.4}\text{Te})^{13}$ and is also predicted to exhibit a pressure-induced TQPT to a TCI phase.⁷⁶ Therefore, it will be of significance to explore the signatures of the TCI phase in PbTe at high pressure.

Mixed valent binary chalcogenide InTe (i.e., $\text{In}^{1+}\text{In}^{3+}\text{Te}^{2-}$) is another interesting semiconductor ($E_g \sim 0.03$ eV), which adopts the tetragonal crystal structure (SG: $I4/mcm$) at ambient conditions.⁷⁹ The two pressure-induced BIs are predicted by theoretical calculations for InTe at Z and M points of the BZ around ~ 1.0 and ~ 1.4 GPa, respectively.⁷⁹ However, in this system, overall parity remains the same before and after the BI, and therefore no net changes in the topological invariant quantity Z_2 ($Z_2 = 0$ for below and above P_c) is observed.⁷⁹ Since an even number of BIs is an indication for the TCI phase, it will be an exciting prospect to perform the mirror Chern number n_M calculations and to understand the TCI phase possibility in this system. Further, it will be interesting to screen the suitable chemical dopant to change one of the parities at M and Z point of the BZ associated with their VBM and CBM during the BI in InTe. This strategy will likely induce a non-trivial topological phase in InTe compound. Finally, many of the predicted compounds are unexplored in this class, and therefore it will be exciting to perform the experimental measurements on these simple systems.

5.6. Other compounds

In addition to the above discussed families of compounds, there are several families of compounds predicted as pressure-induced TIs. For instance, **monopnictide LaSb**⁸⁰, ternary half-Heusler compounds⁸¹⁻⁸³, ternary chalcopyrites of composition I-III-VI₂ and II-IV-V₂,⁸⁴ Zintl compounds⁸⁵, cubic pyrochlore iridates⁸⁶, cesium-based halide perovskites^{87,88}, MnBi₂Te₄-like materials of MnSb₂Te₄, MnBi₂Se₄, and MnSb₂Se₄,⁸⁹ **cubic binary rare earth monopnictides family AX compounds (A=Sc, Y; X= Sb, Bi)**⁹⁰, **cubic bialkali antimonide KNa₂Sb**,⁹¹ etc. Among these, **LaSb** is an interesting material that shows extreme magnetoresistance (XMR) with unusual resistivity plateau⁹² and also exhibits topological transition under strain. The semi-metallic compound **LaSb** crystallizes in a cubic structure of NaCl type (B1 phase, SG: $Fm\bar{3}m$) and adopts topologically trivial properties at ambient conditions.⁹² First-principles electronic structure calculations predicted a pressure-induced

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3 TQPT between 3 and 4 GPa for the B1 phase.⁸⁰ Further, recent systematic high-pressure
4 transport measurements on LaSb reveal the emergence of superconductivity⁹³ at ~10.8 GPa,
5 which originates from the structural phase transition [from cubic to tetragonal (SG:
6 $P4/mmm$)]. Interestingly, changes in the pressure coefficient of both residual resistance and
7 magnetoresistance (MR) are observed in the B1 phase at ~5.5 GPa and hence attributed to a
8 possible TQPT.⁹³ It will be interesting to shed the light on this pressure-induced TQPT with
9 optical spectroscopy techniques, such as Raman and IR spectroscopy (reflectance and
10 transmittance). It is important to remember that there is no first-order Raman active mode for
11 the cubic NaCl-type structure; however, recent systematic Raman scattering experiments in
12 the cubic structure of the strong SOC compound $Pb_{0.99}Cr_{0.01}Se$ exhibited signatures of TO
13 and LO phonon mode that helped to identify the pressure-induced TQPT at ~3.0 GPa.³¹ So it
14 will be interesting to perform Raman experiments on LaSb at high pressure to get an insight
15 into the proposed TQPT, as observed in the MR and residual resistance anomalies.
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26 Another family that is worth to be explored is that of ternary AB_2X_4 compounds (A
27 =Ge, Sn, Pb; B =As, Sb, Bi; X =S, Se, Te). This family result from the mixture of already
28 mentioned AX and B_2X_3 compounds. A number of members of this family crystallize in a
29 tetradymite-related structure (SG: $R\bar{3}m$) with septuple layers of $X-B-X-A-X-B-X$ type instead
30 of the quintuple layers of $X-B-X-B-X$ type of B_2X_3 compounds.⁹⁴ Many of these Te-based
31 compounds are predicted to be TIs at ambient conditions,⁹⁴⁻⁹⁶ and a few have been studied at
32 high-pressure conditions.⁹⁷⁻¹⁰⁰ Due to electronegativity differences, S and Se-based
33 compounds will have a higher band gap compared to Te-based compounds. Therefore, it is
34 expected that S- and Se-based AB_2X_4 compounds with tetradymite-like structures could lead
35 to the observation of some pressure-induced TQPTs.
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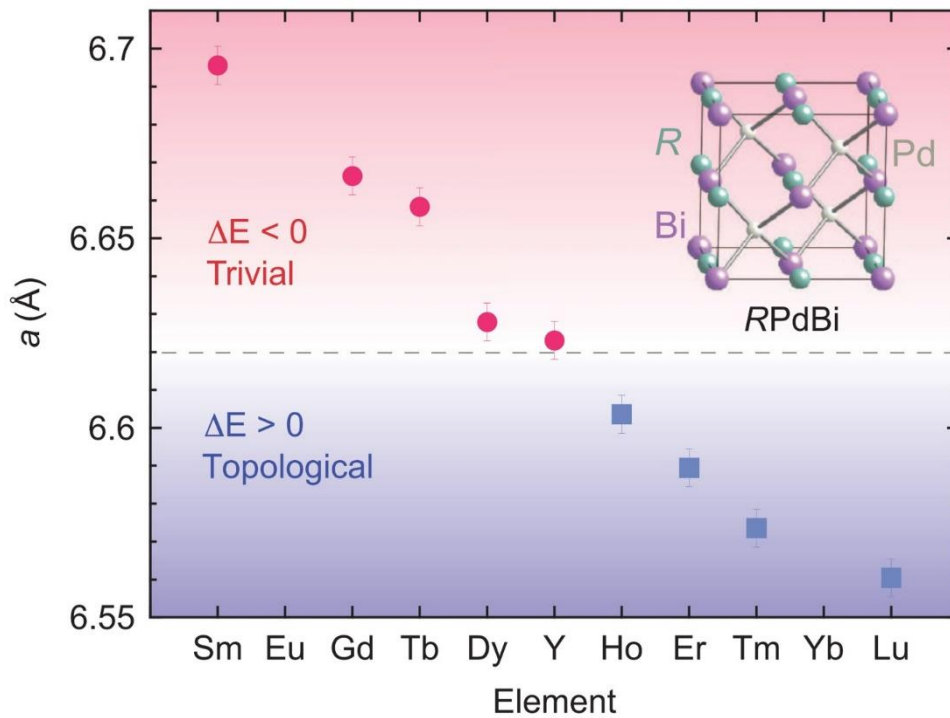


Figure 11. The plot of lattice parameter vs. lanthanides in half Heusler $RPdBi$ compounds. Here, the dashed lines represent the critical value of the lattice parameter $a_c = 6.62 \text{ \AA}$. Below a_c ($\Delta E > 0$), materials are TIs whereas above a_c ($\Delta E < 0$), materials are NIs. The inset shows the cubic crystal structure of typical $RPdBi$ compounds. This figure is adopted from Ref. [81].

Extensive investigations (theoretical calculations) of the band structure and topological order for Pd, Pt, Au, and Ni based ternary half-Heusler compounds have been reported in the literature.⁸¹⁻⁸³ The rare-earth-based half-Heusler compound $RPdBi$ [R (rare earth) = Y, Sm, Gd, Tb, Dy, Ho, Er, Tm, and Lu] crystallizes in the cubic non-centrosymmetric $MgAgAs$ -type structure (SG: $F\bar{4}3m$).⁸¹ Here, the calculated BI strength, $\Delta E = E_{\Gamma_8} - E_{\Gamma_6}$, conventionally classifies trivial and topological materials with the criterion of $\Delta E < 0$ and $\Delta E > 0$, respectively, as shown in figure 11.⁸¹ In this family, the size of the rare-earth element tunes the lattice parameter, atomic number, and SOC strength. Therefore, the rare-earth size acts as analogous to external pressure. Consequently, the compounds with lighter R elements (Sm, Gd, Tb, Dy, and Y) show a BI strength $\Delta E < 0$ and are trivial materials at ambient conditions, whereas the compounds with heavier R elements (Ho, Er, Tm, and Lu) show a BI strength $\Delta E > 0$ and are TIs at ambient conditions.⁸¹ Interestingly, these systems with lighter R elements can be transformed into TI under external pressure, which decreases the lattice parameter. Along with TI properties, these compounds also exhibit magnetism and superconductivity. Hence they can be potential candidates for the realization of

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3 multifunctional topological devices. Another added advantage for ternary half-Heusler
4 compounds is alloying. For instance, the alloying of the Bi (Pd) site with Sb (Ni) could also
5 lead to the possibility of non-trivial topological phases at high pressures.^{82,83} Therefore, it
6 would be an exciting prospect to experimentally study the $RPdBi$ compounds with lighter R
7 elements (Sm, Gd, Tb, Dy, and Y) under high-pressure conditions. Apart from this specific
8 class, many Pt, Au, and Ni-based ternary thermoelectric Half-Heusler compounds are
9 predicted as potential pressure-induced TIs.⁸³ Hence many experimental studies are needed in
10 this class of compounds that can unveil the mystery of TI's properties and are expected to
11 have an impact on green energy technology.

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19 Another interesting family that need to be explored for possible TQPTs is that of A_2X
20 compounds ($A=Ag$; $X=S, Se, Te$) with exceptional MR properties. The monoclinic structure
21 of β - Ag_2Se and β - Ag_2Te are TIs,¹⁰¹ and that of Ag_2S is a NI at ambient conditions. High-
22 pressure studies of these materials have been conducted¹⁰²⁻¹⁰⁵, but the pressure-induced
23 topological transition has not been found yet. In this family it is possible that $Ag_2Se_{1-x}S_x$
24 compounds could be interesting to be studied for a possible TQPT since the band gap of
25 Ag_2Se has been found to increase with pressure as it occurs in TIs after the TQPT.¹⁰³ Finally,
26 we want to comment that recent theoretical calculations have studied the concentration and
27 pressure effects on the topological phases of $SnSi_{1-x}Ge_x$ compounds.¹⁰⁶ Since these alloys are
28 dynamically stable, it is expected that these alloys can be experimentally synthesized and
29 studied with much interest due to their compatibility with silicon technology.

30 31 32 33 34 35 36 37 38 39 **6. Conclusion and Outlook**

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41 In summary, we have presented a comprehensive review of the pressure-tuned
42 topological transitions (TIs and TCIs) on several families of compounds and provided future
43 perspectives for each of them. Topological materials (TIs and TCIs) are playing a vital role in
44 important technological devices such as thermoelectrics, spintronics, and quantum computers.
45 In this way, we need to discover a variety of new quantum materials and design materials
46 with tailored properties to achieve the above mentioned technological needs. To search for
47 the new topological materials, one of the simplest and foremost steps is to predict the
48 pressure-induced TIs and TCIs in the suitable SOC compounds via first-principles
49 calculations taking into account SOC, which can effectively analyze the bulk and surface
50 electronic band structure. In the second step, some of the important details of prediction such
51 as the predicted crystal structure, the kind of strain (uniaxial, biaxial, hydrostatic, etc.)
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3 applied in the calculations, band gap, the existence of the predicted compound in real, etc.
4 should be checked by the scientist before exploring the predicted compounds. The third step
5 is the detection of signatures of the topological transitions with suitable experimental
6 techniques.
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11 Fortunately, recent theory and experiments have proved that Raman scattering is a
12 potential and simple tool to study the pressure-induced topological transitions through
13 electron-phonon coupling changes in strong SOC materials. Conventionally, Raman
14 scattering (non-contact probe) is commonly used as a probe to study structural and electronic
15 transitions, 2D materials such as graphene, TMDs, *etc.* Now, in this list, the exotic
16 topological transitions can also be included. In addition to Raman spectroscopy, IR
17 spectroscopy, SdH oscillation measurements, and electrical resistivity are also potential tools
18 to study these pressure-induced TQPTs. Finally, we hope that this review article gives the
19 potential ideas and will initiate a lot of interdisciplinary research work in the direction of
20 pressure-induced TIs and TCIs.
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Response to the referee's comments

Referee-1

Comment 1

In this manuscript, the authors provided a nice review of pressure-driven topological insulators of selected compounds. This is the first systematic review of the Raman signature of topological insulators driven by pressure. The references show evidence that this group has already performed plenty of work on inducing a non-trivial topological insulating state under moderate pressure on chalcogen-based compounds. Since high-pressure SDH oscillations studies are expensive and need good single crystals, it is a good idea that before carrying out such experiments, better to check the signature of the TI state with a simple spectroscopic technique like Raman. I strongly recommend this work to consider for publication in the Journal of Physics: Condensed Matter after considering the following minor revision.

The authors need to answer the following questions

1. The line number 7 (page 4), the authors should provide a suitable reference

Response 1

First of all, we sincerely thank the referee for careful reading, critical assessment, appreciation, understanding the importance of the present review article (Raman signatures of pressure-induced topological quantum phase transitions), and also the strong recommendation for the publication of the esteemed journal (JPCM).

As per the reviewer's suggestion, we have now incorporated the suitable references in the mentioned place.

This response (1) is incorporated into page number 3, revised manuscript.

Comment 2

The abstract is not attractive, it needs to be slightly modified to attract the readers.

Response 2

Based on the reviewer's comments, now we have slightly changed the abstract to focus on the contents of this review article. We believe that the new abstract of the review article will be attractive to the readers of JPCM, and the revised abstract is given below.

Revised Abstract:

Research on topological and topological crystalline insulators is one of the most intense and exciting topics due to its fascinating fundamental science and potential technological

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3 applications. Pressure (strain) is one potential pathway to induce the non-trivial topological
4 phases in some topologically trivial (normal) insulating or semiconducting materials. In the last
5 ten years, there have been substantial theoretical and experimental efforts from condensed-matter
6 scientists to characterize and understand pressure-induced topological quantum phase transitions.
7
8 In particular, a promising enhancement of the thermoelectric performance through pressure-
9 induced topological quantum phase transition has been recently realized; thus evidencing the
10 importance of this subject in society. Since the pressure effect can be mimicked by chemical
11 doping or substitution in many cases, these results have opened a new route to develop more
12 efficient materials for harvesting green energy at ambient conditions. Therefore, a detailed
13 understanding of the mechanism of pressure-induced topological quantum phase transitions in
14 various classes of materials with spin-orbit interaction is crucial to improve their properties for
15 technological implementations. Hence, this review focuses on the emerging area of pressure-
16 induced topological quantum phase transitions to provide a comprehensive understanding of this
17 subject from both theoretical and experimental points of view. In particular, it covers the Raman
18 signatures of detecting the topological transitions (under pressure), some of the important
19 pressure-induced topological and topological crystalline insulators of the various classes of spin-
20 orbit coupling materials, and provide future research directions in this interesting field.
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33 This response (2) is incorporated into in page number 1, revised manuscript.
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35 **Comment 3**

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37 The authors need to cite the following article in the introduction H. Yamaoka et al., Electronic
38 structures of Bi_2Se_3 and $\text{AgxBi}_2\text{Se}_3$ under pressure studied by high-resolution x-ray absorption
39 spectroscopy and density functional theory calculations, Phys. Rev. B 102, 155118 (2020).
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43 **Response 3**

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45 As per the reviewer's suggestions, we have cited the paper of H. Yamaoka et al in the
46 introduction.
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49 This response (3) is incorporated into page number 3, revised manuscript.
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Referee-2

Comment 1

Pressure induced topological and topological crystalline insulators by Rajaji and Narayana presents the over view of the results from their own work. The review article should cover all the recent developments in the field of topological insulators.

Response 1

We sincerely thank referee for valuable time on reviewing our work and comments.

We want to emphasize that the present review article has been prepared by carefully considering (and including) the most important works reported in the literature **within the context of pressure-induced topological quantum phase transitions (TQPTs)**, and mostly its detection through Raman spectroscopic signatures.

Up to our knowledge, we have included all the recent developments and important research works (in addition to own research works) of pressure-induced topological and topological crystalline insulators in this review article. To substantiate this, we would like to list the important¹⁻⁷ research works discussed in this review article as below.

Details of important research work related to pressure induced TIs and TCIs:

1. Section 5.1.¹⁻⁸ is devoted to binary A_2X_3 compounds, where most of the work regarding TQPTs has been done for tetradymite compounds.
2. Section 5.2⁹⁻¹⁴ is devoted to ternary ABX_2 compounds, where most of the work regarding TQPTs has been done for Thallium-based ternary chalcogenides (TlBiX₂ type).
3. Section 5.3¹⁵⁻²⁰ is devoted to binary AX_2 compounds, where most of the work on TQPTs has been done on Titanium-based transition metal dichalcogenides (TiX₂ type).
4. Section 5.4²¹⁻²⁶ is devoted to ternary ABX compounds, where most attention has been paid to Bismuth tellurohalides (BiTeX type).
5. Section 5.5 is devoted to binary AX compounds. In this family, most of the work done was related to Pb- or Sn-based chalcogenides and InTe.²⁷⁻³⁶
6. Section 5.6³⁷⁻⁴⁹ is devoted to other compounds. In this section, we have commented in most cases preliminary results on monopnictide LaSb³⁷, ternary rare-earth-based half-Heusler compound $RPdBi$ compounds [R (rare earth) = Y, Sm, Gd, Tb, Dy, Ho, Er, Tm and Lu]³⁸⁻⁴⁰, ternary AB_2X_4 compounds ($A = \text{Ge, Sn, Pb}$; $B = \text{As, Sb, Bi}$; $X = \text{S, Se, Te}$), binary A_2X compounds ($A = \text{Ag}$; $X = \text{S, Se, Te}$)⁵⁰, and the most recent $\text{SnSi}_{1-x}\text{Ge}_x$ compounds.⁴⁹ Further, we have shortly commented on the theoretically predicted details of ternary chalcopyrites of composition I-III-VI₂ and II-IV-V₂,⁴¹ Zintl compounds⁴², cubic pyrochlore iridates⁴³, cesium-based halide perovskites^{44,51}, MnBi_2Te_4 -like materials

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3 of MnSb_2Te_4 , MnBi_2Se_4 , and MnSb_2Se_4 ,⁴⁵ cubic binary rare earth monopnictides family
4 AX compounds (A=Sc, Y; X= Sb, Bi)⁴⁶, and cubic bialkali antimonide KNa_2Sb ⁴⁷.

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6 Up to our knowledge, there are no systematic Raman spectroscopy measurements under
7 high-pressure conditions on the aspect of pressure-induced TQPTs available on these
8 compounds. Therefore, the discussions of these compounds are only short in this present
9 focused review article.
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13 Thus, the above-mentioned list of various important research works on different classes of SOC
14 materials, clearly justifies that this review article is not only an overview of our own
15 publications.
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18 Also, we want to kindly highlight that the authors of this article were having strong experience in
19 this area of research and actively published many attractive works, and contributed to the
20 understanding of pressured-induced TQPTs. In fact, this is the main reason to list many works of
21 the authors in this review article.
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24 **Comment 2**

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26 The classic example of LaSb becoming superconductor where the XMR nature is suppressed and
27 emergence of superconductivity associated with the structural change is not at all discussed.
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30 **Response 2**

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32 We thanks reviewer for this comments. Based on the reviewer's comments, we have included the
33 discussion of theoretical prediction and experimental transport results of the pressure induced
34 topological transition in the LaSb compound, in the other materials section. The newly added
35 discussion is shown below.
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38 LaSb is an interesting material that shows extreme magnetoresistance (XMR) with
39 unusual resistivity plateau⁵² and also exhibits topological transition under strain. The semi-
40 metallic compound LaSb crystallizes in a cubic structure of NaCl type (B1 phase, SG: $Fm\bar{3}m$)
41 and adopts topologically trivial properties at ambient conditions.⁵² First-principles electronic
42 structure calculations predicted a pressure-induced TQPT between 3 and 4 GPa for the B1
43 phase.³⁷ Further, recent systematic high-pressure transport measurements on LaSb reveal the
44 emergence of superconductivity⁴⁸ at ~10.8 GPa, which originates from the structural phase
45 transition [from cubic to tetragonal (SG: $P4/mmm$)]. Interestingly, changes in the pressure
46 coefficient of both residual resistance and magnetoresistance (MR) are observed in the B1 phase
47 at ~5.5 GPa and hence attributed to a possible TQPT.⁴⁸ It will be interesting to shed the light on
48 this pressure-induced TQPT with optical spectroscopy techniques, such as Raman and IR
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3 spectroscopy (reflectance and transmittance). It is important to remember that there is no first-
4 order Raman active mode for the cubic NaCl-type structure; however, recent systematic Raman
5 scattering experiments in the cubic structure of the strong SOC compound $\text{Pb}_{0.99}\text{Cr}_{0.01}\text{Se}$
6 exhibited signatures of TO and LO phonon mode that helped to identify the pressure-induced
7 TQPT at ~ 3.0 GPa.²⁷ So it will be interesting to perform Raman experiments on LaSb at high
8 pressure to get an insight into the proposed TQPT, as observed in the MR and residual resistance
9 anomalies.
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16 Here, we want to highlight that, this review article is dedicated mostly to Raman spectroscopy
17 signatures of pressure-induced topological transitions. Up to our knowledge, there are no studies
18 available on Raman and IR spectroscopy (reflectance and transmittance) measurements on LaSb
19 compound related to pressure-induced TQPT. Therefore, the detailed discussion of this
20 compound's general result is outside the scope of this focused review article.
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23 However, in the revised version of the article, we have discussed the results of a pressure-
24 induced topological transition in LaSb, in other compounds section, and given the perspective of
25 the idea to perform the optical spectroscopy measurements under high-pressure conditions.
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28 This response (2) is incorporated into pages number from 24 to 25, Revised Manuscript.
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31 32 **Comment 3**

33 In a review article the authors should try to address all the family of compounds?
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36 37 **Response 3**

38 We have discussed a large variety of families of SOC compounds in this important review article
39 that are proven or are predicted to exhibit TQPTs at high pressure. Please see the response to
40 comment 1 for Referee 2.
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43 Also, here we want to highlight one important point. In fact, many compounds have been
44 theoretically predicted to become TIs and TCIs under high pressure conditions. However, only
45 few of them have been experimentally explored under high pressure conditions to look for
46 signatures of pressure-induced TQPTs. In this review article, we mostly focused the
47 experimental Raman signatures of proven TIs and TCIs, till date.
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Comment 4

How the pressure is used to tune the topological properties. What is the role of pressure in the topological insulators? I can't find this anywhere in the manuscript except that the authors own publication. This is not adequate enough to write tropical review.

Response 4

We thank the reviewer for this comment since we intend to clarify how pressure tunes the topological properties. In this context, we have now elaborated the discussion of role of pressure in TQPTs in the Introduction section and the details are given below.

How can pressure help in inducing a TQPT? Pressure is a thermodynamic parameter that allows a finely tuning of the volume, lattice parameters, bond lengths, effective hybridization, electron density, and crystal field splitting of materials^{2,21,22,53,54}. These parameters affect the electronic band structure of the material that could lead to a decrease in the band gap and help the SOC to produce a BI.^{2,3,9,21,53} Therefore, some 3D NIs with a relatively weak SOC can be converted into 3D TIs by increasing pressure.^{55,21,22,56}

The schematic process of a pressure-induced TQPT is shown in figure 1. The driving force for the pressure-induced TQPT is the decrease, closing, and subsequent reopening of the band gap that occurs with the increase of pressure in some materials with a relatively weak SOC in which the band gap at room pressure is too large to induce a BI. The decrease of the band gap with increasing pressure allows these NIs with SOC to turn into a TI or a TCI through an intermediate state (3D topological Dirac semimetal) at P_c in which the band gap is fully closed and a Dirac cone is formed (see figure 1). Note that, some strong SOC materials with narrow band gaps lead to a BI and therefore material is already a TI or a TCI at room pressure (examples: Bi_2Se_3 , Sb_2Te_3 , and Bi_2Te_3)⁵⁷⁻⁵⁹. Paradigmatic examples of pressure-induced TQPTs are those theoretically proposed for the rhombohedral phase of As_2Te_3 ($\beta\text{-As}_2\text{Te}_3$)^{6,7} and $\beta\text{-Sb}_2\text{Se}_3$.^{2,3} These compounds are NIs at ambient conditions due to their wider band gap and the relatively weak SOC strength. But, in these compounds, pressure can help in inducing the BI by decreasing the band gap as already commented.

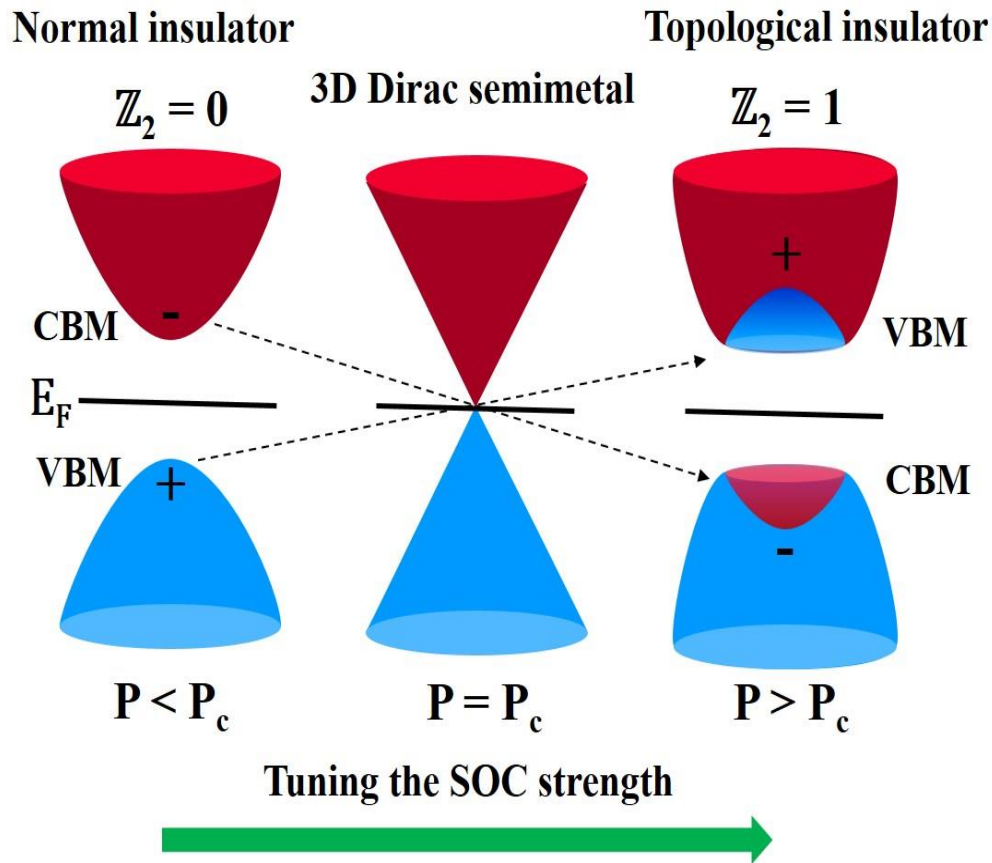


Figure 1. Schematic of the typical band inversion (BI) associated with the pressure-induced TQPT. The pressure-induced TQPT occurs due to the decrease, closing, and subsequent reopening of the band gap that occurs as pressure increases. This process usually occurs on increasing the SOC strength (for instance by chemical doping or substitution). Here, P_c represents the critical transition pressure at which the TQPT occurs because of the closing of the band gap. The - and + signs indicate the odd and even parity of the bands at the TRIM point, respectively. The BI is evidenced by the change in the parity of the valence band maximum (VBM) and conduction band minimum (CBM) that occurs above P_c .

In addition to this, many SOC materials such as BiTeI, TlBiS₂, 1T-TiTe₂, 1T-TiSe₂ etc., exhibit the topological properties under high pressure conditions^{1,2,9,15,17,22,23}. Thus, there is a strong relationship established between the pressure and TQPTs in various SOC materials.

In addition to our own works, many kinds of literature^{1,6,9,11,15-17,21-23,25,27,28,31,33,37} discuss the importance of pressure-induced topological transition. Further, please see the response to comment 1 (Referee -2).

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3 As already commented in response 1 (Referee 2), the authors of this article were having strong
4 experience in this area of research and actively published many attractive works and contributed
5 to the understanding of pressured-induced TQPTs. Therefore, the strong experience in this
6 subject **substantiates the merit** to write the review article on this subject.
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11 This response (4) is incorporated into as follows;
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13 Revised Manuscript, page number from 3 to 4.
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15 **Comment 5**

16 The Discussion about electronic structure under pressure is really missing.
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18 **Response 5**

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20 We thank the reviewer for this question. In the previous version of the manuscript, we have
21 discussed (in short) the pressure-dependent of the electronic structure of Sb_2Se_3 and TlBiS_2
22 compounds. Also, we have discussed (in short) the evolution of bulk energy gap as a function of
23 pressure for the topological materials such as TiTe_2 , and TlBiS_2 .
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27 Now, based on the reviewer's comments, we have expanded the discussion of the effect of
28 electronic band structure of the non-trivial topological materials in one separate new section
29 (section 3). The newly added discussion is shown below.
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32 **3. Pressure effect on the electronic structure of topological materials**

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35 As BI is one of the fundamental criteria for TQPT, the detailed discussion of pressure
36 evolution of the electronic band structure will be crucial and discussed in the literature for all the
37 pressure-induced topological materials^{2,9,15,21}. Therefore, to illustrate the idea of the effect of
38 high pressure on the band structure of the topological materials, here we have briefly discussed
39 one of the promising pressure-induced TI, $\beta\text{-As}_2\text{Te}_3$ ⁷. The process of the pressure-induced TQPT
40 in $\beta\text{-As}_2\text{Te}_3$ is represented in figure 2 (a)-(c).⁷ At 0 GPa, the calculated electronic structure of $\beta\text{-As}_2\text{Te}_3$
41 using the quasiparticle self-consistent GW methodology and the inclusion of the SOC
42 reveals an indirect band gap of 0.30 eV (see figure 2 (a)). As pressures increases to 2 GPa, the
43 band gap closes and the compound becomes a 3D topological Dirac semimetal with Dirac cones
44 at the Γ point (see figure 2(b)).⁷ At higher pressures the band gap reopens and the compound
45 becomes a TI (see figure 2(c)). As expected, the calculated \mathbb{Z}_2 topological invariant numbers for
46 the $\beta\text{-As}_2\text{Te}_3$ compound at 0 GPa and 4.0 GPa give the values of (0; 000) and (1; 000).⁷ In this
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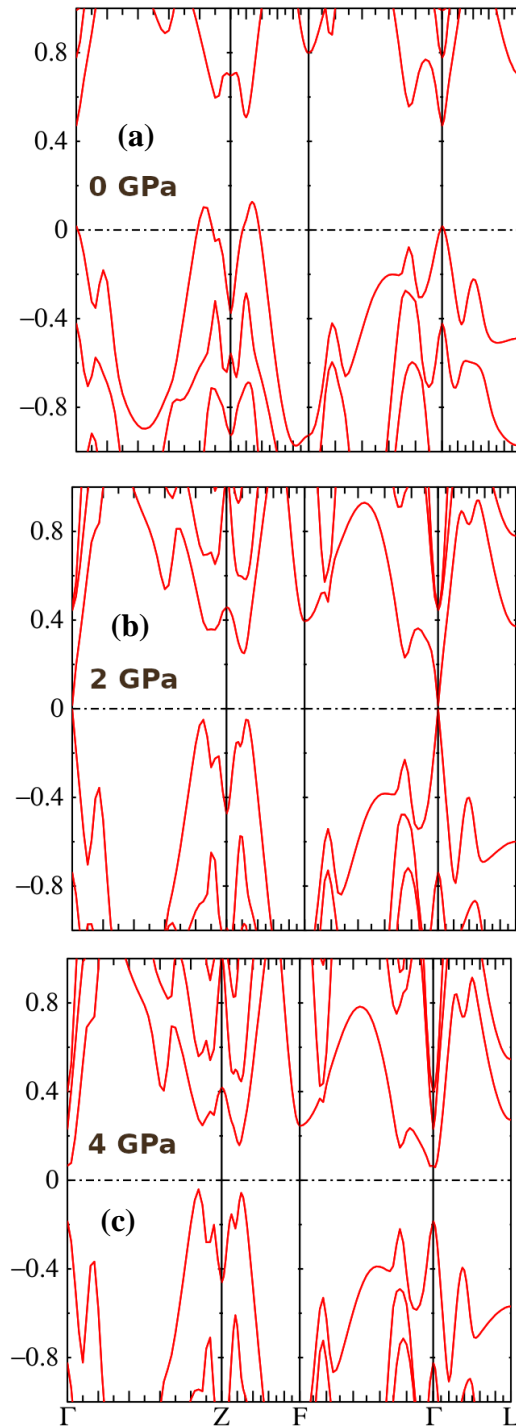


Figure 2. Theoretically calculated hydrostatic pressure dependent electronic band structure of β -As₂Te₃ at (a) 0 GPa (top), (b) 2.0 GPa (middle), and (c) 4.0 GPa (down). The BI signature (W shaped) is evidenced at the Γ point of the BZ near to Fermi level. This figure is adopted from Ref. [7].

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3 context, it must be mentioned that many works in the literature represent the pressure evolution
4 of the band gap and isosurfaces of charge density for VBM and CBM.^{1,10} It might be mainly due
5 to easier representation of BI and to visualize their features.
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9 Regarding theoretical calculations of pressure-induced TQPTs, it is important to note that
10 the accuracy in the prediction of the pressure at which a TQPT occurs in topological materials
11 depends on the accuracy of the electronic band structure calculations; i.e. on how the calculations
12 approach the absolute values of the band gap in real materials. Generally, the accuracy of the
13 calculations depends on the exchange-correlation potential and the effect of SOC of the
14 compound. Since SOC is one of the key reasons for the TQPT, it is important to include the SOC
15 effect in the topological property calculations.^{2,3,6,7} In this context, we must note that standard
16 first-principles DFT calculations using the local density approximation (LDA) or the generalized
17 gradient approximation (GGA) tend to underestimate the band gap. However, some works
18 suggest that there are exceptions, like GaGeTe, in which GGA+SOC calculations show better
19 agreement with experiments than hybrid Heyd-Scuseria-Ernzerhof (HSE06)+SOC calculations.⁶⁰
20 Therefore, caution must be taken when predicting pressure-induced TQPTs because there can be
21 a significant mismatch between the experimental and theoretical band gap that can alter
22 considerably the pressure at which the TQPT occurs.
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34 In addition to pressure-induced TQPTs, various interesting pressure-driven electronic
35 transitions are observed in different classes of materials due to the pressure-induced changes in
36 the electronic band structure.^{61,14,62} In particular, for the case of some topological materials,
37 Lifshitz transitions or electronic topological transitions (ETTs) are observed under high-pressure
38 conditions.^{63,64} An ETT occurs when a band extremum, associated to a Van Hove singularity in
39 the electronic density of states (EDOS), crosses the Fermi energy. This crossing leads to a strong
40 redistribution of the EDOS near the Fermi energy that causes an isostructural phase transition of
41 electronic origin; i.e. of order higher than 2 in the Ehrenfest classification. Therefore, there is no
42 volume discontinuity and no change in Wyckoff positions, but a change in the elastic constants
43 and consequently in the compressibility.^{65,66} Therefore, it must be mentioned that, even though
44 TQPT and ETT are named as topological transitions, they are two completely different
45 phenomena and have no connection between them. Further, it is interesting to note that some
46 ambient 3D TIs (Bi_2Se_3 , Sb_2Te_3 , and Bi_2Te_3) under hydrostatic pressure induce the ETT at
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3 around 3-4 GPa regions.^{64,67-69} Hence, caution must be taken also when predicting a TQPT since
4 the closing of the band gap can be also associated to the presence of ETTs at similar pressures.
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7 This response (5) is incorporated into as follows;

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9 Manuscript, page number from 7 to 9.
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14 **Comment 6**

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16 Whether the pressure can tune the band inversion and transform a normal semiconductor to
17 topological state???

18 **Response 6**

19 We thank again the reviewer for this comment.

20 **Yes.** Pressure can transform the normal semiconductor to topological state.
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23 We think that this question is directly related to comments of 4 and 5 of Referee 2. Therefore,
24 please see the response to comments 4 and 5 for referee 2.
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27 The detailed discussion of the pressure role in TQPT and its effects on the electronic structure of
28 topological materials are discussed in the revised manuscript.
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35 **Adjudicator's Report**

36 **Comment 1**

37 The manuscript "Pressure induced topological and topological crystalline insulators" reports an
38 interesting Topical Review on the effect of pressure on the properties of topological insulators.
39 The paper has been reviewed by two experts with conflicting reports: while Referee 1
40 recommends acceptance after minor revisions, Referee 2 considers the review not up to the
41 standards of JPCM since it reports mostly results from the authors themselves. In his review
42 Referee 2 states that a review article should cover all the recent developments in the field of
43 topological insulators. This is indeed the target of comprehensive reviews, while topical reviews
44 have more the purpose to analyse a specific problem from the authors point of view. In this
45 respect the present review fulfils the requirements of JPCM. Nevertheless, the authors may want
46 to address explicitly some of the points raised by the reviewers (including Referee 2) and expand
47 a bit the discussion of the effect of pressure on the electronic structure of topological insulators
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Response 1

We sincerely thank the referee for careful reading, critical assessment, valuable time, understanding the review article, justifying the scope of the work, confirming the fulfillment of the requirements of JPCM, and recommending the publication to the esteemed journal (JPCM).

As per the reviewer's suggestion, we have now addressed all the points raised by the reviewers (1 and 2). Please see all the responses of referees 1 and 2.

Also, as per the reviewer's constructive suggestions, we have now expanded the effect of pressure on the electronic structure of topological materials and added a new section (section 3) in the revised manuscript.

We thank all the reviewers for their valuable time in reviewing our work, and for the constructive comments and criticisms which they have raised. As per the reviewers' constructive critical comments, we have revised the manuscript. The above corrections (responses) are incorporated in appropriate places (in the revised manuscript), and the changes are highlighted in red color.

Additional information:

Prof. F.J. Manjon was very much helpful and substantial amount of contribution to the discussion and development of the revised version of this article. Therefore, based on the scientific ethics, we have included him as a one of the co-author in this revised version of review article with the consent of all three author of this article. It might be important to humbly convey that Prof. F.J. Manjon, is one of the researchers who actively works in the topological insulating materials under high pressure conditions and published several papers in this field of research.

As the referee (2) comments of 4 and 6 are almost similar, we have incorporated the responses in the appropriate places. Also we have avoided the repeating the same information in different places in the manuscript.

In revised version, we have changed the title of the important subsections (5.1, 5.2, 5.3, etc.) by more general terms like AX, AX₂, A₂X₃, ABX₂ compounds, etc. In this way, we believe that, most of the materials in that particular family can be discussed effectively. Also, we believe that this way of representation will be effective, simple and helpful for the reader.

Further, we have added some more relevant information and critical discussion (particularly in the other compound sections) in the revised manuscript. The newly added information is highlighted in red color. We strongly believe that this newly added information is improving the overall quality of this important review article.

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