APPENDIX I

Let the maximum thickness of the lens be Δ_o and let the thickness at coordinates (x, y) be $\Delta(x, y)$. We consider the phase delay between two planes P_1 and P_2 separated by Δ_o along the z-axis and enclosing the lens as shown below. The total phase delay from P_1 to P_2 is given by

$$\phi(x, y) = kn\Delta(x, y) + k[\Delta_o - \Delta(x, y)] = k\Delta_o + k\Delta(x, y)(n-1)$$
(1)

where *n* is the index of refraction of the lens material, $kn\Delta(x, y)$ is the phase delay introduced by the lens, and $k[\Delta_o - \Delta(x, y)]$ is the phase delay due to the remaining free space between P_1 and P_2 .



To develop a functional form for $\Delta(x, y)$ we split the lens into two parts as shown below.



And write the total thickness function as the sum of the two individual thickness functions

$$\Delta(x, y) = \Delta_1(x, y) + \Delta_2(x, y) \tag{2}$$

where Δ_1 and Δ_2 are the thickness of each lens section. For the first lens section



where $R_1 > 0$ by our sign convention. From the drawing

$$\Delta_{1}(x,y) = \Delta_{01} - \left(R_{1} - \sqrt{R_{1}^{2} - x^{2} - y^{2}}\right) = \Delta_{01} - R_{1} \left(1 - \sqrt{1 - \frac{x^{2} + y^{2}}{R_{1}^{2}}}\right)$$

and, using the paraxial ray approximation,

$$\Delta_{1}(x,y) \approx \Delta_{01} - R_{1} \left(1 - 1 + \frac{x^{2} + y^{2}}{2R_{1}^{2}} \right) = \Delta_{01} - \frac{x^{2} + y^{2}}{2R_{1}}$$
(3)

For the second lens segment



The calculations proceed in exactly the same manner as for equation (3) but R_2 is negative so for our distances to be positive we use $-R_2$ to get

$$\Delta_2(x,y) = \Delta_{02} - \left(-R_2 - \sqrt{R_2^2 - x^2 - y^2}\right) = \Delta_{02} + R_2 \left(1 - \sqrt{1 - \frac{x^2 + y^2}{R_2^2}}\right)$$

Note here that we factored $-R_2$ out of the square root to get

$$\Delta_2(x,y) \approx \Delta_{02} + \frac{x^2 + y^2}{2R_2}$$
(5)

Substituting (4) and (5) into (3) we get

$$\Delta(x,y) = \Delta_0 - \frac{x^2 + y^2}{2} \left(\frac{1}{R_1} - \frac{1}{R_2} \right)$$
(6)

Substituting (6) into (1) we get

$$\phi(x,y) = k\Delta_o + k\Delta_o(n-1) - k(n-1)\frac{x^2 + y^2}{2} \left(\frac{1}{R_1} - \frac{1}{R_2}\right) = kn\Delta_o - k(n-1)\frac{\left(x^2 + y^2\right)}{2} \left(\frac{1}{R_1} - \frac{1}{R_2}\right)$$
(7)

This may be simplified by recalling our geometric optics definition of the focal length of a thin lens

$$\frac{1}{f} = P_1 + P_2 = \left(n_2 - n_1\right) \left(\frac{1}{R_1} - \frac{1}{R_2}\right)$$
(8)

Using (8) we may re-write (7) as

$$\phi(x,y) = kn\Delta_o - k\frac{\left(x^2 + y^2\right)}{2f} \tag{9}$$

The thin lens transformation may be written as a pure phase transformation of the incident beam u_1

$$u_{2}(x,y) = e^{-j\phi(x,y)}u_{1}(x,y) = e^{-jkn\Delta_{o} + jk\frac{(x^{2} + y^{2})}{2f}}u_{1}(x,y)$$
(10)

where the reason for the choice of a minus sign will become apparent.

To illustrate that this is a valid model of a lens let $u_1(x, y) = E_o e^{-jkz}$ (11) a plane wave propagating in the +z direction. From (9) and (10) we have

$$u_{2}(x,y) = e^{-jkn\Delta_{o}+jk\frac{(x^{2}+y^{2})}{2f}} (E_{o}e^{-jkz}) = (E_{o}e^{-jkn\Delta_{o}})e^{+jk\frac{(x^{2}+y^{2})}{2f}-jkz}$$
(12)

where the factor $E_o e^{-jkn\Delta_o}$ is simply a complex constant. It is the exponential phase factor that results in the lens focusing the wave to a spot. From equation (2), page 6 we may identify the (x^2+y^2)

exponential phase factor $e^{+jk\frac{(x^2+y^2)}{2R(z)}-jkz}$ as corresponding to a "paraxial" ray approximation of a wave propagating in the +z direction with spherical wavefronts of radius of curvature -f as shown below.



The sign convention for the wavefront curvature is the opposite for that of curved reflecting mirrors so the wavefront curvature shown above is negative, i.e., R(z) = -f. This describes a spherical wave with a wavefront that if propagating in the +z direction will converge to a point at a distance f from the lens.

It is interesting to observe that equation (17) can yield the wavefront transformation predicted by geometric optics, equation (6), p.61

$$\frac{1}{R_2} = \frac{1}{R_1} - \frac{1}{f}$$

Let $u_1(x, y) = E_o e^{-jkz - jk\frac{(x^2 + y^2)}{2R_1}}$, a spherical wave propagating in the +*z* direction. From (17) and (16) we have

$$u_{2}(x,y) = E_{o}e^{-jkz-jk\frac{(x^{2}+y^{2})}{2R_{1}}}e^{-jkn\Delta_{o}+jk\frac{(x^{2}+y^{2})}{2f}} = \left[E_{o}e^{-jkn\Delta_{o}}\right]e^{-jkz-jk\frac{(x^{2}+y^{2})}{2}\left(\frac{1}{R_{1}}-\frac{1}{f}\right)}$$
(13)

Let us write u_2 as a "paraxial" spherical wave of amplitude $E_o e^{-jkn\Delta_o}$. Then,

$$u_{2}(x,y) = \left[E_{o}e^{-jkn\Delta_{o}}\right]e^{-jkz-jk\frac{\left(x^{2}+y^{2}\right)}{2R_{2}}} = \hat{E}_{o}e^{-jkz-jk\frac{\left(x^{2}+y^{2}\right)}{2R_{2}}}$$
(14)

From (13) and (14) we then have the desired result

$$\frac{1}{R_2} = \frac{1}{R_1} - \frac{1}{f}$$
(15)

$$z_{R}^{2} = \frac{\ell \left\{ R_{1}R_{2}(R_{1} - R_{2}) + \ell \left[R_{1}R_{2} - R_{1}^{2} + 2R_{1}R_{2} - R_{2}^{2} \right] + 2\ell^{3}(R_{1} - R_{2}) - \ell^{3} \right\}}{\left(2\ell + R_{1} - R_{2} \right)^{2}}$$

$$z_{R}^{2} = \frac{\ell \left\{ R_{1}^{2}R_{2} - R_{1}R_{2}^{2} + \ell^{3}R_{1}R_{2} - \ell R_{1}^{2} - \ell R_{2}^{2} + 2\ell^{2}R_{1} - 2\ell^{2}R_{2} - \ell^{3} \right\}}{\left(2\ell + R_{1} - R_{2} \right)^{2}}$$

$$z_{R}^{2} = \frac{\ell (-R_{1} - \ell)(R_{2} - \ell)(R_{2} - R_{1} - \ell)}{\left(2\ell + R_{1} - R_{2} \right)^{2}}$$

APPENDIX III

Show that a symmetrical confocal resonator has a minimum spot size.

For a symmetrical resonator
$$\omega_{1,2} = \sqrt{\frac{\lambda\ell}{2\pi}} \left(\frac{2R^2}{\ell\left(R - \frac{\ell}{2}\right)} \right)^{\frac{1}{4}}$$
$$\frac{\partial\omega_{1,2}}{\partial R} = \sqrt{\frac{\lambda\ell}{2\pi}} \frac{1}{4} \left(\frac{2R^2}{\ell\left(R - \frac{\ell}{2}\right)} \right)^{-\frac{3}{4}} \frac{\partial}{\partial R} \left(\frac{2R^2}{\ell\left(R - \frac{\ell}{2}\right)} \right)$$

where

$$\frac{\partial}{\partial R} \left(\frac{2R^2}{\ell \left(R - \frac{\ell}{2} \right)} \right) = \frac{2R^2}{\ell} \left(R - \frac{\ell}{2} \right)^{-1} = \frac{2R}{\ell} \left(R - \frac{\ell}{2} \right)^{-1} + \frac{2R^2}{\ell} \left(-1 \right) \left(R - \frac{\ell}{2} \right)^{-2}$$

$$\frac{\partial}{\partial R} \left(\frac{2R^2}{\ell \left(R - \frac{\ell}{2} \right)} \right) = \frac{4}{\ell} \frac{R}{R - \frac{\ell}{2}} + \frac{4}{\ell} \frac{\frac{R^2}{2}}{\left(R - \frac{\ell}{2} \right)^2} = \frac{4}{\ell} \left\{ \frac{R^2 - \frac{R\ell}{2} + \frac{R^2}{2}}{\left(R - \frac{\ell}{2} \right)^2} \right\}$$

$$\frac{\partial}{\partial R} \left(\frac{2R^2}{\ell \left(R - \frac{\ell}{2} \right)} \right) = \frac{4}{\ell} \left\{ \frac{\frac{R^2}{2} - \frac{R\ell}{2}}{\left(R - \frac{\ell}{2} \right)^2} \right\} = \frac{2}{\ell} \frac{R(R - \ell)}{\left(R - \frac{\ell}{2} \right)^2}$$

$$\therefore \frac{\partial M_{1,2}}{\partial R} = 0 \Longrightarrow (R - \ell) = 0$$

For a minimum spot size we require $R = \ell$. This is a symmetrical confocal resonator.

$$\omega_{o,confical} = \sqrt{\frac{\lambda}{\pi}} \left(\frac{\ell}{2}\right)^{\frac{1}{4}} \left(\ell - \frac{\ell}{2}\right)^{\frac{1}{4}} = \sqrt{\frac{\lambda\ell}{2\pi}}$$

$$\omega_{1,2,confocal} = \sqrt{\frac{\lambda\ell}{2\pi}} \left(\frac{2\ell^2}{\ell\left(\ell - \frac{\ell}{2}\right)} \right)^{\frac{1}{4}} = \sqrt{\frac{\lambda\ell}{2\pi}} \left(\frac{2\ell^2}{\ell(\ell)} \right)^{\frac{1}{4}} = \sqrt{\frac{\lambda\ell}{\pi}} = \sqrt{2}\omega_{o,confical}$$

i.e., the cavity configuration is a Rayleigh distance collimated beam.

APPENDIX IV

$$\phi_2 - \phi_1 = Tan^{-1} \left(\frac{z_2}{z_R}\right) - Tan^{-1} \left(\frac{z_1}{z_R}\right)$$

where $z_R^2 = \frac{\ell(-R_1 - \ell)(R_2 - \ell)(R_2 - R_1 - \ell)}{(2\ell + R_1 - R_2)^2}$



Using the law of cosines $c^2 = a^2 + b^2 - 2ab\cos(\phi_2 - \phi_1)$ we can write

$$\cos(\phi_2 - \phi_1) = \frac{a^2 + b^2 - c^2}{2ab}$$

We can then identify

$$a = \sqrt{z_1^2 + z_R^2}$$
$$b = \sqrt{z_2^2 + z_R^2}$$
$$c = z_2 - z_1$$

and solve for $\cos(\phi_2 - \phi_1)$

$$\cos(\phi_2 - \phi_1) = \frac{z_1^2 + z_R^2 + z_2^2 + z_R^2 - z_2^2 + 2z_1z_2 - z_1^2}{2\sqrt{(z_1^2 + z_R^2)(z_2^2 + z_R^2)}} = \frac{z_R^2 + z_1z_2}{\sqrt{(z_1^2 + z_R^2)(z_2^2 + z_R^2)}}$$

The goal is to now write this expression in terms of d and R.

$$\begin{split} z_{1} &= \frac{R_{1} - \sqrt{R_{1}^{2} - 4z_{R}^{2}}}{2} \\ z_{2} &= \frac{R_{2} + \sqrt{R_{2}^{2} - 4z_{R}^{2}}}{2} \\ &\cos(\phi_{2} - \phi_{1}) = \frac{z_{R}^{2} + \frac{R_{R}}{4} - \frac{R_{2}}{4}\sqrt{R_{1}^{2} - 4z_{R}^{2}} + \frac{R_{1}}{4}\sqrt{R_{2}^{2} - 4z_{R}^{2}} - R_{1}^{2}R_{2}^{2}}{\sqrt{(z_{1}^{2} + z_{R}^{2})(z_{2}^{2} + z_{R}^{2})}} \\ z_{2} &= \frac{g_{1}(1 - g_{2})}{(g_{1} + g_{2} - 2g_{1}g_{2})} d \\ z_{R}^{2} + z_{1}z_{2} &= d^{2} \left\{ \frac{g_{1}g_{2} - g_{1}^{2}g_{2}^{2}}{(g_{1} + g_{2} - 2g_{1}g_{2})^{2}} + \frac{g_{1}(1 - g_{2})(-g_{2})(1 - g_{1})}{(g_{1} + g_{2} - 2g_{1}g_{2})^{2}} \right\} \\ z_{R}^{2} + z_{1}z_{2} &= \frac{d^{2}}{(g_{1} + g_{2} - 2g_{1}g_{2})^{2}} \left\{ g_{1}g_{2} - g_{1}^{2}g_{2}^{2} - g_{1}g_{2} + g_{1}^{2}g_{2} - g_{1}^{2}g_{2}^{2} + g_{1}^{2}g_{2} - g_{1}^{2}g_{2}^{2}} \right\} \\ z_{R}^{2} + z_{1}z_{2} &= \frac{d^{2}}{(g_{1} + g_{2} - 2g_{1}g_{2})^{2}} \left\{ g_{1}g_{2} - g_{1}^{2}g_{2}^{2} - g_{1}g_{2} + g_{1}^{2}g_{2} - g_{1}^{2}g_{2}^{2}} \right\} \\ z_{R}^{2} + z_{1}z_{2} &= \frac{d^{2}}{(g_{1} + g_{2} - 2g_{1}g_{2})^{2}} \left\{ g_{1}g_{2} - g_{1}^{2}g_{2}^{2} - g_{1}g_{2} + g_{1}^{2}g_{2} - g_{1}^{2}g_{2}^{2}} \right\} \\ z_{R}^{2} + z_{1}z_{2} &= \frac{d^{2}}{(g_{1} + g_{2} - 2g_{1}g_{2})^{2}} \left\{ g_{1}^{2}(1 - 2g_{1} + g_{1}^{2}) + g_{1}g_{2} - g_{1}^{2}g_{2}^{2}} \right\} \\ (z_{1}^{2} + z_{R}^{2})(z_{2}^{2} + z_{R}^{2}) = \frac{d^{4}}{(g_{1} + g_{2} - 2g_{1}g_{2})^{4}} \left\{ [g_{2}^{2}(1 - 2g_{1} + g_{1}^{2}) + g_{1}g_{2} - g_{1}^{2}g_{2}^{2}}]g_{1}^{2}(1 - 2g_{2} + g_{2}^{2}) + g_{1}g_{2} - g_{1}^{2}g_{2}^{2}} \right] \\ (z_{1}^{2} + z_{R}^{2})(z_{2}^{2} + z_{R}^{2}) = \frac{d^{4}}{(g_{1} + g_{2} - 2g_{1}g_{2})^{4}}} \left\{ [g_{2}^{2}(1 - 2g_{1} + g_{1}^{2}) + g_{1}g_{2} - g_{1}^{2}g_{2}^{2}}]g_{1}^{2}(1 - 2g_{2} + g_{2}^{2}) + g_{1}g_{2} - g_{1}^{2}g_{2}^{2}} \right] \\ (z_{1}^{2} + z_{R}^{2})(z_{2}^{2} + z_{R}^{2}) = \frac{d^{4}}{(g_{1} + g_{2} - 2g_{1}g_{2})^{4}}} g_{1}g_{2}^{2} - 2g_{1}g_{2}^{2} + g_{1}g_{2} - g_{1}^{2}g_{2}^{2} + g_{1}g_{2}^{2}} \right] \\ (z_{1}^{2} + z_{R}^{2})(z_{2}^{2} + z_{R}^{2}) = \frac{d^{4}}{(g_{1} + g_{2} - 2g_{1}g_{2})^{4}}} g_{1}g_{2}^{2} - 2g_{1}g_{2} - g_{1}g_{2}^{2} + g_{1}g_{2}^$$

Using these expressions we can solve

$$\cos(\phi_2 - \phi_1) = \frac{d^2 \frac{g_1 g_2}{(g_1 + g_2 - 2g_1 g_2)}}{\frac{d^2}{(g_1 + g_2 - 2g_1 g_2)^2} \sqrt{g_1 g_2} \sqrt{2g_1 g_2 - 4g_1 g_2^2 - 4g_1^2 g_2 + g_1^2 + g_2^2 + 4g_1^2 g_2^2}}$$

$$\cos(\phi_2 - \phi_1) = \sqrt{g_1 g_2} \frac{g_1 + g_2 - 2g_1 g_2}{\sqrt{2g_1 g_2 - 4g_1 g_2^2 - 4g_1^2 g_2 - 4g_1^2 g_2^2 + g_1^2 + g_2^2 + 4g_1^2 g_2^2}} = \sqrt{g_1 g_2} \frac{g_1 + g_2 - 2g_1 g_2}{\sqrt{(g_1 + g_2 - 2g_1 g_2)^2}} = \sqrt{g_1 g_2}$$

 $\cos(\phi_2-\phi_1)=\sqrt{g_1g_2}$

APPENDIX V BASIC FORMULAS SUMMARY

TEM₀₀ Gaussian beam formulas

E-field solutions of wave equation under assumptions

1.
$$k^2(\vec{r}) = k^2 = \left(\frac{2\pi}{\lambda}\right)^2$$

2.
$$\frac{\partial}{\partial \phi} = 0$$
 (radial symmetry)

3. $\left|\frac{\partial^2 \varphi}{\partial t^2}\right| \ll \left|2k\frac{\partial \varphi}{\partial t}\right|$

$$E(x, y, z) = E_0 \frac{\omega_0}{\omega(z)} e^{-ik\frac{r^2}{2\hat{q}} - ikz + i\phi}$$
$$E(x, y, z) = E_0 \frac{\omega_0}{\omega(z)} e^{-ik\frac{r^2}{2R(z)} - \frac{r^2}{\omega^2(z)} - ikz + i\phi}$$

Complex radius of curvature $\hat{q}(z)$: $\frac{1}{\hat{q}(z)} = \frac{1}{\hat{q}_0 + z} = \frac{1}{R(z)} - i\frac{\lambda}{\pi\omega^2(z)}$



$$e^{-1}$$
 amplitude beam radius: $\omega(z) = \omega_0 \sqrt{1 + \left(\frac{z}{z_R}\right)^2}$

Rayleigh distance (collimated beam distance): $z_R = \frac{\pi \omega_0^2}{\lambda}$

Divergence angle: $\theta \approx \frac{\lambda}{\pi \omega_0}$ for $z \gg z_R$

Transformation of waves

	spherical	gaussian
Through space	$R_2 = R_1 + (z_2 - z_1)$	
Through a lens	$\frac{1}{1} = \frac{1}{1} - \frac{1}{1}$	$\frac{1}{-1} = \frac{1}{-1} - \frac{1}{-1}$
	$R_2 = R_1 f$	$\hat{q}_2 \ \hat{q}_1 \ f$
	source $R_1 > 0$ $R_2 > 0$	source \hat{q}_1 \hat{q}_2 lens
Through optical systems	$R_2 = \frac{AR_1 + B}{CR_1 + D}$	$\hat{q}_2 = \frac{A\hat{q}_1 + B}{C\hat{q}_1 + D}$
ABCD Law		where $\begin{bmatrix} r_2' \\ r_2 \end{bmatrix} = \begin{bmatrix} D & C \\ B & A \end{bmatrix} \begin{bmatrix} r_1' \\ r_1 \end{bmatrix}$

Power transmission of a Gaussian beam of radius $\omega(z)$ through an aperture of radius a If $a = \omega(z)$ then 86% of the incident power will be transmitted If $a = 1.5\omega(z)$ then 99+% of the incident power will be transmitted

Stability of Gaussian beam resonators

For two mirror cavity $0 \le \left(1 - \frac{\ell}{R_1}\right) \left(1 - \frac{\ell}{R_2}\right) \le 1$

For general cavities $0 \le \left(\frac{A+D}{2}\right)^2 \le 1$

where A and D are elements of the ABCD matrix

Measured in plane from which ray matrix makes the transformation

$$R_{1} = \frac{2B}{A - D}$$
$$\omega_{1}^{2} = \frac{2B\lambda}{\pi\sqrt{4 - (A + D)^{2}}}$$

Resonant frequencies of Gaussian beam resonators

$$f_{mnq} = \left[q + \frac{(m+n+1)}{\pi} \cos^{-1} \left(\sqrt{g_1 g_2} \right) \right] \frac{c}{2\ell}$$

transverse mode spacing $\Delta f_{transverse}$

$$\Delta f_{transverse} = \frac{\cos^{-1}(\sqrt{g_1g_2})}{\pi} \Delta f_{long}$$

longitudinal mode spacing Δf_{long}

$$\Delta f_{long} = \frac{c}{2\ell}$$

<u>Optical resonators for Gaussian beams</u> Note that $z_1 < 0$ and $R_1 < 0$, all other variables are positive.



In general,
$$z_R^2 = \frac{\ell(-R_1 - \ell)(R_2 - \ell)(R_2 - R_1 - \ell)}{(2\ell + R_1 - R_2)^2} = \ell^2 \frac{g_1g_2(1 - g_1g_2)}{(g_1 + g_2 - 2g_1g_2)^2}$$

Where $g_1 = 1 - \frac{\ell}{R_1}$, $g_2 = 1 - \frac{\ell}{R_2}$
 $z_1 = \frac{-g_2(1 - g_1)}{g_1 + g_2 - 2g_1g_2} \ell$, $z_2 = \frac{g_1(1 - g_2)}{g_1 + g_2 - 2g_1g_2} \ell = z_1 + \ell$
 $\omega_1^2 = \omega^2(z_1) = \frac{\ell\lambda}{\pi} \left[\frac{g_2}{g_1(1 - g_1g_2)} \right]^{\frac{1}{2}}$, $\omega_2^2 = \frac{\ell\lambda}{\pi} \left[\frac{g_1}{g_2(1 - g_1g_2)} \right]^{\frac{1}{2}}$

For symmetrical resonators where R is the <u>unsigned</u> radius of curvature

$$\omega_0 = \sqrt{\frac{\lambda}{4}} \sqrt[4]{\frac{\ell}{2}} \left(R - \frac{\ell}{2} \right)$$
$$-z_1 = z_2 = \frac{\ell}{2}$$
$$\omega_1 = \omega_2 \cong \sqrt{\frac{\lambda}{\pi}} \sqrt[4]{\frac{R\ell}{2}}$$

For confocal symmetric cavity where $R = \ell$

$$(\omega_0)_{conf} = \sqrt{\frac{\lambda\ell}{2\pi}} (\omega_1)_{conf} = (\omega_2)_{conf} = (\omega_0)_{conf} \sqrt{2}$$

Note page numbers for original notes.

Appendix I Derive equation 4, p.79

Appendix II ????

Appendix III Page 81, smallest mirror spot size possible for a symmetrical cavity

Appendix IV Derivation of equation (7), p.91