Contents

Preface v

Acknowledgements vii

1. Introduction 1
- 1.1 Optical Microresonators 1
- 1.2 Historical Perspective 3
- 1.3 Putting the "Micro" in "Microring" 4
- 1.4 Nonlinear Optics in Microresonators 5
- 1.5 Book Overview 7

2. Optical Dielectric Waveguides 9
- 2.1 Total Internal Reflection and Waveguide Confinement 9
- 2.2 The Paraxial Waveguiding Equation 12
- 2.3 The Planar Slab Waveguide 13
  - 2.3.1 TE Mode Profiles 13
  - 2.3.2 TM Mode Profiles 15
  - 2.3.3 Planar Waveguide Dispersion Relations 18
  - 2.3.4 Normalized Planar Waveguide Dispersion Relations 19
- 2.4 Analysis Methods for Rectangular Dielectric Waveguides 20
  - 2.4.1 Marcatili's Method 22
  - 2.4.2 Effective Index Method 23
  - 2.4.3 Goell's Circular Harmonic Method 24
  - 2.4.4 Finite Element Method 25
  - 2.4.5 Beam Propagation Method 25
  - 2.4.6 Finite-Difference Time-Domain Method 26
- 2.5 Coupling 26
  - 2.5.1 Perturbation Method for Deriving Coupling Coefficients 27
  - 2.5.2 Coupling Between Symmetric TE Planar Waveguides 29
  - 2.5.3 Coupled Wave Formalism 30
  - 2.5.4 The Scattering Matrix 31
  - 2.5.5 Optimized Coupling for Waveguides and Resonators 31
- 2.6 Bending Loss 36
- 2.7 Whispering Gallery Modes 38
  - 2.7.1 TM Whispering Gallery Modes 39
  - 2.7.2 TE Whispering Gallery Modes 41
  - 2.7.3 Radiation Loss 42

2.7.4 WGM Dispersion Relations (Resonance Maps) 43
2.7.5 Normalized WGM Dispersion Relations (Resonance Maps) 46
2.7.6 Spheres, Rings, and Disks 48
2.8 Scattering Losses Resulting From Edge Roughness 50
2.8.1 Volume Current Method Formulation for Scattering Losses 50
2.8.2 Current Density Contributions 50
2.8.3 Spectral Density Formulation for Edge Roughness 52
2.8.4 Far-Field Scattered Power 53
2.8.5 TM Scattering Losses 55
2.8.6 TE Scattering Losses 56
2.8.7 Normalized Formulation for Edge Scattering Losses 61
2.9 Summary 70

3. Optical Microresonator Theory 71
3.1 Resonator Fundamentals 71
3.1.1 Fabry–Perot Resonators 71
3.1.2 Gires–Tournois Resonators 73
3.1.3 Ring Resonators 73
3.2 All-Pass Ring Resonators 74
3.2.1 Intensity Buildup 75
3.2.2 Finesse $\mathcal{F}$ 77
3.2.3 Effective Phase Shift 78
3.2.4 Group Delay and Group Delay Dispersion 79
3.2.5 Attenuation 83
3.3 Add–Drop Ring Resonators 84
3.3.1 Intensity Buildup 85
3.3.2 Add–Drop Resonance Width $\Delta\omega$ or $\Delta\lambda$ 87
3.3.3 Free Spectral Range (FSR) 89
3.3.4 Finesse $\mathcal{F}$ 89
3.4 More on Concepts Associated with Resonators 89
3.4.1 Quality Factor Q 89
3.4.2 Physical Significance of $\mathcal{F}$ and Q 91
3.4.3 Phasor Representation 92
3.4.4 Kramers–Kronig Relations 94
3.5 Higher Order Filters 97
3.6 Summary 103

4. Microring Filters: Experimental Results 105
4.1 Passive Resonators 105
4.1.1 GaAs-AlGaAs 107
4.1.2 GaInAsP-InP 107

4.2 Active Resonators 107
4.2.1 Electro-Optic Tuning 110
4.2.2 Material Characteristics 112
4.2.3 Tuning Measurements 116
4.3 Summary 121

5. Nonlinear Optics with Microresonators 123
5.1 Nonlinear Susceptibility 123
5.2 Resonator Enhanced $\chi^{(3)}$ Nonlinear Effects 124
5.2.1 Enhanced Nonlinear Phase Shift 124
5.2.2 Nonlinear Pulsed Excitation 125
5.2.3 Kerr Effect in Solid State Materials below Mid-Gap 127
5.2.4 Experimental Enhancement of the Kerr Effect 128
5.2.5 Nonlinear Saturation 132
5.2.6 Multistability 136
5.2.7 Fabry–Perot, Add–Drop, and REMZ Switching 137
5.2.8 Reduced Nonlinear Enhancement via Attenuation 138
5.2.9 Nonlinear Figures of Merit (FOMs) 142
5.2.10 Inverted Effective Nonlinearity 144
5.3 Resonator-Enhanced Free Carrier Refraction 144
5.4 Enhanced Four-Wave Mixing Efficiency in Microring Resonators 147
5.5 Summary 148

6. All-Optical Switching and Logic using Microresonators 149
6.1 All-Optical Switching 149
6.1.1 Theory 149
6.1.2 Linear Device Characteristics 151
6.1.3 Simulations 152
6.1.4 Nonlinear Device Characteristics 154
6.2 Thresholding and Pulse Reshaping 156
6.3 Time-Division Demultiplexing 158
6.3.1 Linear Device Characteristics 159
6.3.2 Nonlinear Device Characteristics 160
6.4 All-Optical Logic 163
6.4.1 AND/NAND 163
6.4.2 NOR 169
6.5 Summary 173

7. Distributed Microresonator Systems 175
7.1 Introduction 175
7.2 Linear Propagation in Distributed Microresonators 175
7.2.1 Group Velocity Reduction 177

7.2.2 Group Velocity Dispersion 178
7.2.3 Higher Order Dispersion 179
7.3 Nonlinear Propagation in Distributed Microresonators 179
7.3.1 SCISSOR Solitons 181
7.3.2 Induced Self-Steepening 184
7.3.3 Pulse Compression 185
7.3.4 Nonlinear Detuning and Multistability 186
7.3.5 Nonlinear Frequency Mixing 187
7.4 Limited Depth of Phase 189
7.5 Attenuation in Distributed Microresonators 190
7.6 Slow and Fast Light in SCISSORs 191
7.6.1 Slow Light 192
7.6.2 Tunable Optical Delay Lines 195
7.6.3 Fast Light 197
7.7 Generalized Periodic Resonator Systems 197
7.7.1 Bloch-Matrix Formalism 200
7.7.2 Directly Coupled Resonators 202
7.7.3 Single-Channel SCISSORs 204
7.7.4 Double-Channel SCISSORs 206
7.7.5 Twisted Double-Channel SCISSORs 208
7.7.6 Bandgap Engineering in Distributed Feedback Structures 210
7.7.7 Slow Light, Group Velocity Dispersion, and Nonlinearities 213
7.8 Summary 215

8. Fabrication Techniques for Microresonators 217
8.1 Materials 217
8.2 III–V Semiconductors for Active and Passive Microrings 218
8.3 Growing a Waveguide Stack 219
8.3.1 Polymers 219
8.3.2 Glass 220
8.3.3 III–V Semiconductors (InP and GaAs) 220
8.3.4 Silicon Oxynitride 220
8.4 Feature Definition 220
8.4.1 Polymers, Glass, SiON, SiN 221
8.4.2 III–V Semiconductors (InP and GaAs) 221
8.5 Multilayer Processing 222
8.6 Laterally Coupled III–V Passive Microresonators 225
8.7 Polymer-Bonded, III–V Vertically Coupled Passive Microresonators 227
8.8 Active III–V Laterally Coupled Microresonators 234
8.9 Other Configurations 238

8.10 Polymer Microrings 242
8.11 Summary 242

Bibliography 243

Index 261