

J.B. PENDRY - CURRICULUM VITAE

at 2 January 2017

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Date of Birth: 4th July, 1943

Degrees: 1965 BA, Cantab (Physics)
1969 MA, PhD, Cantab (Solid State Theory)

1962-65 Scholar of Downing College, Cambridge

1965-66 Part III Mathematics - postgraduate course

1966-69 Research student, Cavendish Laboratory, Cambridge

1969-73 Research Fellowship in Physics, Downing College, Cambridge

1969-71 ICI post-doctoral Fellow

1972-73 Member of Technical Staff in the Theoretical Physics Department, Bell Laboratories, Murray Hill, USA

1973-75 Senior Assistant in Research, Cavendish Laboratory, Cambridge

1973-75 Fellow in Physics and Praelector, Downing College

1975-81 Senior Principal Scientific Officer: Head of Theory Group, SERC Daresbury Laboratory

1981- Professor of Theoretical Solid State Physics, Imperial College of Science and Technology, and Head of the Condensed Matter Theory Group

1983-85 Head of Experimental Solid State Physics Group

1984 FRS

1984 F. Inst. P.

1984-92 Associate Head of Physics Department

1992-93 Member, SERC Science Board, SERC Nuclear Physics Board

1992-94 Member of Council, Royal Society.

1993-96 Dean, Royal College of Science

1996-2002 Editor, Proceedings A of the Royal Society

1996-97 Leverhulme Trust Senior Research Fellowship

1997-1998 EPSRC Senior Research 5-Year Fellowship (resigned April 1998)

1998-2001 Head of Physics Department, Imperial College London

1998-2002 Member of Particle Physics and Astronomy Research Council

1998-2000 Commonwealth Scholarships Commissioner

2001-2002 Principal, Faculty of Physical Sciences, Imperial College London

2003-2008 EPSRC Senior Research 5-Year Fellowship

2004 Knight Bachelor (for services to science)

2005 Honorary Fellow, Downing College Cambridge

2005-2008 Chairman Physics sub panel of RAE 2008

2005 Fellow Optical Society of America

2005 Decartes prize for "Extending Electromagnetism through Novel Artificial Materials"

2006 Royal Medal

2006- Chairman, Advisory Committee of nanoGUNE, San Sebastian

2007-2011 Member of Council, Institute of Physics

2007-2011 Chairman, Institute of Physics Publishing

2008-2011 Member, External Advisory board, Metamaterial Grand Challenge, Sandia National Laboratory

2009-2012 Chairman, Cockcroft Institute Board

2009-2012 Member, Core Committee of the MPI for the Science of Light, Erlangen

JB PENDRY - CV & PUBLICATION LIST

- 2011- Visiting Professor, Institute of Advanced Studies, Hong Kong University of Science & Technology
- 2012- Fellow American Academy of Arts and Sciences
- 2013- Foreign Associate US National Academy of Sciences
- 2014- Foreign Member Norwegian Academy of Sciences
- 2015 Lorentz Professorship – Leiden University
- 2015 Fellow of the American Physical Society
- 2016 Honorary Fellow Institute of Physics

PRIZES MEDALS AND AWARDS

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| 1994 | British Vacuum Council Prize and Medal |
| 1996 | Institute of Physics Dirac Medal and Prize |
| 1996 | International Surface Structure Prize |
| 2003 | Appleton Lecture |
| 2004 | Celsius Lecture, University of Uppsala, Sweden |
| 2005 | Royal Society Bakerian Lecture |
| 2005 | Larmor Lecture (Belfast) |
| 2005 | Fröhlich Lecture (Liverpool) |
| 2005 | EU Descartes prize for “Extending Electromagnetism through Novel Artificial Materials” |
| 2006 | Royal Medal |
| 2009 | Centenary Kelvin lecture – Institute of Engineering and Technology |
| 2009 | Fellow American Association for the Advancement of Science |
| 2009 | UNESCO-Niels Bohr gold medal |
| 2009 | doctorate ‘honoris causa’ Universität Erlangen Nürnberg |
| 2010 | W.E Lamb Medal for Laser Science and Quantum Optics |
| 2010 | Doctor of Science ‘honoris causa’ Duke University |
| 2010 | Doctor of Science ‘honoris causa’ Hong Kong Baptist University |
| 2012 | Fellow of the American Academy of Arts and Sciences |
| 2012 | Honorary Professor Nanjing South Eastern University |
| 2012 | Fred Kavli Distinguished Lectureship in Nanoscience at the 2012 MRS Fall Meeting |
| 2013 | APS McGroddy Prize – joint with David Smith and Costas Soukoulis |
| 2013 | European Materials Research Society 30 th Anniversary Prize |
| 2013 | Newton Medal of the Institute of Physics |
| 2013 | Julius Springer Prize for Applied Physics |
| 2014 | Kavli prize for nanotechnology joint with Thomas Ebbesen & Stefan Hell |
| 2015 | EPS Quantum Electronics and Optics Prize for Fundamental Aspects |
| 2015 | Doctor of Science ‘honoris causa’ Hong Kong University of Science and Technology |
| 2016 | Dan David Prize for nanotechnology joint with Paul Alivisatos and Chad Mirkin |
| 2016 | 2016 Ugo Fano Gold Medal |
| 2017 | International Union Of Radio Science Dellinger Gold Medal |

J.B. Pendry - Major Scientific Achievements

Summary

John Pendry is a condensed matter theorist. He has worked at the Blackett Laboratory, Imperial College London, since 1981. He began his career in the Cavendish Laboratory, Cambridge, followed by six years at the Daresbury Laboratory where he headed the theoretical group. He has worked extensively on electronic and structural properties of surfaces developing the theory of low energy diffraction and of electronic surface states. Another interest is transport in disordered systems where he produced a complete theory of the statistics of transport in one dimensional systems.

In 1992 he turned his attention to photonic materials and developed some of the first computer codes capable of handling these novel materials. This interest led to his present research which concerns the remarkable electromagnetic properties of 'metamaterials' whose properties owe more to their micro-structure than to the constituent materials. These made accessible completely novel materials with properties not found in nature. Successively metamaterials with negative electrical permittivity, then with negative magnetic permeability were designed and constructed. These designs were subsequently the basis for the first material with a negative refractive index, a property predicted 40 years ago by a Russian scientist, but unrealised because of the absence of suitable materials. He went on to explore the surface excitations of the new negative materials and showed that these were part of the surface plasmon excitations familiar in metals. This project culminated in the proposal for a 'perfect lens' whose resolution is unlimited by wavelength.

In collaboration with a team of scientists at Duke University, he has developed the concept of 'transformation optics', or TO for short, which prescribes how electromagnetic lines of force can be manipulated at will. This enabled a proposed recipe for a cloak that can hide an arbitrary object from electromagnetic fields. Metamaterials give the possibility of building such a cloak and a version of this design working at radar frequencies and exploiting the properties of metamaterials has now been implemented experimentally by the Duke team. Optical versions of the cloak have now been constructed.

Electromagnetism provides us with some of the most powerful tools in science, encompassing lasers, optical microscopes, MRI scanners, radar and a host of other techniques too numerous to mention. To understand and develop the technology requires more than a set of formal equations. Scientists and engineers have to form a vivid picture within their heads that fires their imaginations and enables intuition to play a full role in the process of invention. It is to this end that transformation optics has been developed exploiting Faraday's picture of electric and magnetic fields as lines of force which can be manipulated by the electrical permittivity and magnetic permeability of surrounding materials. TO says what has to be done to place the lines of force where we want them to be.

His latest research applies TO to the study of surface plasmons. The surfaces of metals such as gold and silver support density oscillations of the electrons, much like waves on a sea. These can couple to external radiation, but have a much shorter wavelength. The plasmonic excitations are greatly influenced by the shape of the surface and in particular by any singularities such as sharp corners, touching surfaces, or other rough features, which tend to attract very high field intensities: they act as harvesting points for any incident radiation. By applying transformations to simple structures, such as plasmonic waveguides consisting of two parallel sheets of silver, many of the singular structures can be generated through a singular transformation and their spectra understood through the spectrum of the original simple waveguide. Thus apparently diverse structures such as sharp edges, points, nearly touching spheres, can be shown to have a common origin and can in many

cases be treated analytically. This deep understanding enables further properties of these structures to be elucidated such as the dispersion forces acting at short range between surfaces that are otherwise out of physical contact.

List of Achievements – inverse chronological order

- Application of the transformation optics technique to surface plasmons, relating the many apparently diverse phenomena to a common origin from which the structures in question can be generated by a transformation.
- Proposal of the concept of an electromagnetic cloak [299, 301]
- Proposal of the concept of a lens [254] which is unrestricted by the diffraction limit and therefore capable of sub wavelength imaging.
- Inventor of the ‘transformation optics’ technique for control of electromagnetic fields
- Design of novel meta materials in which electromagnetic properties depend on the structure rather than on the materials of which the structure is built [225, 239, 248]. For example: structures with effectively negative ϵ and negative μ have been widely adopted and played a key role in building the first negatively refracting meta material. Through metamaterials we have access to properties not found in nature and therefore never previously explored experimentally.
- Exploration of the consequences of near-field electromagnetic interactions for heat conduction across a sub wavelength gap between two solids [249], and for frictional effects associated with the Van der Waals forces [231, 238].
- Development of the first computational technique for calculating scattering of electromagnetic radiation in dispersive photonic materials [192, 197, 213, 218], such as those composed of metals. This methodology, based on transfer matrices, has been widely adopted in the community and the codes developed in his group extensively distributed.
- Application of group theoretical methods to transport in disordered systems giving a complete solution of the general scattering problem in 1D and gave rise to advanced techniques for treating higher dimensions [207]. A key result was the prediction that in all dimensions the channels for transport show a bimodal distribution: they are either open or closed in the limit of large systems [187].
- The theory of LEED was further extended in the 1980’s with the introduction of several new concepts: the so called ‘Pendry R-factor’ [62] automated and quantified comparison of theory to experiment and is now widely used in surface structure determination. *Tensor LEED*, [119, 155, 156] an accurate approximate method for calculating the LEED spectrum of complex surface structures, enabled surface structures of previously impossible complexity to be determined. *DLEED* [107, 142] developed jointly with the Erlangen group of Mueller and Heinz was a technique for interpreting electron scattering from randomly adsorbed atoms and hence determining their bonding to neighbouring atoms.
- Proposal of the technique of ‘inverse photoemission whereby an incident electron beam emits light as it decays into unoccupied states in the vicinity of the surface [65, 72]. The viability of this technique was demonstrated soon afterwards and is now widely used for probing unoccupied electron states at surfaces.

- Seminal contributions in the field of synchrotron radiation during his time at Bell Laboratories and at the Daresbury Laboratory. With Patrick Lee at Bell he developed the first theory for quantitative interpretation of extended Xray absorption fine structure [34]. At Daresbury he published his theory of angle resolved photoemission [39] which remains the standard model in the field.
- Developed with PM Echenique criteria for the existence of electron surface states on metals and of 'Rydberg' surface states [50, 127, 161]. Developed the methodology for computing these states.
- Developed the methodology for computing and interpreting low energy electron diffraction (LEED) from surfaces [13, 14, 15, 16] and with S. Anderson made the first application to determination of atomic coordinates of surface atoms [19, 21]. His 1974 book on LEED endures as a classic.

- BOOKS:** Low Energy Electron Diffraction, Academic: London (1974).(400pp.)
Surface Crystallographic Information Service, Riedel: Dordrecht (1987) (400pp,
with MA van Hove)

LIST OF PAPERS PREPARED FOR PUBLICATION

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2. The Choice of Muffin Tin Pseudopotential (with G. Capart),
J. Phys. C. **2**, 841-51 (1969).
3. Calculation of the Potential and Inner Potential,
J. Phys. C. **2**, 1215-21 (1969).
4. Calculation of Reflected Intensities,
J. Phys. C. **2**, 2273-82 (1969).
5. The Simplifying Effect of Inelastic Scattering,
J. Phys. C. **2**, 2283-9 (1969).
6. Low q-phonons and the Widths of LEED Peaks (with V. Heine),
Phys. Rev. Lett. **22**, 1003-5 (1969).
7. Complex Band Structure in the Presence of Bound States and Resonances (with F. Forstmann),
J. Phys. C. **3**, 59-69 (1970).
8. Surface States on d-Band Metals (with F. Forstmann),
Zeitschrift fur Physik **235**, 75-84 (1970).
9. Electron Correlation at Metallic Densities I: Formalism,
J. Phys. C. **3**, 1711-17 (1970).
10. The Cancellation Theorem in Pseudopotential Theory,
J. Phys. C. **4**, 427-34 (1971).
11. Crystalline Xenon - A Kinematic LEED Spectrum (with A. Ignatievs and T.N. Rhodin),
Phys. Rev. Lett. **26**, 189-91 (1971).
12. LEED Spectra Study of Temperature Effects in Crystalline Xenon Surfaces (with A. Ignatievs, T.N. Rhodin and B.I. Lundqvist),
Solid State Comm. **9**, 1851-5 (1971).
13. Ion-Core Scattering and LEED-I,
J. Phys. C. **4**, 2501-13 (1971).
14. Ion-Core Scattering and LEED-II,
J. Phys. C. **4**, 2514-23 (1971).
15. Fast Perturbation Schemes and LEED Spectra,
J. Phys. C. **4**, 3095-106 (1971).
16. New Perturbation Theory for LEED Intensities,
Phys. Rev. Lett. **27**, 856-9 (1971).
17. The Band Structure Approach to LEED (published as the *proceedings of the International Summer School on Surface Structure of Solids, Smolenice, Czechoslovakia* (1971).

18. Theory of Averaged LEED Data,
J. Phys. C, **5**, 2567-78 (1972).
19. Surface Structures from LEED (with S. Andersson),
J. Phys. C, **5**, 241-5 (1972).
20. The Electronic Density of States at Transition Metal
Surfaces (with R. Haydock, V. Heine and M.J. Kelly),
Phys. Rev. Lett., **29**, 868-71 (1972).
21. LEED Intensity Measurements and Surface Structures (with S. Andersson),
J. Phys. C, **6**, 601-20 (1973).
22. Determination of Atomic Positions in the C(2x2) Oxygen Structure on a Nickel (001)
Surface by a Dynamical LEED Method (with Andersson, Kasemo and Van Hove),
Phys. Rev. Lett., **31**, 595-8 (1973).
23. Existence of Generalized Surface States (with S.J. Gurman),
Phys. Rev. Lett., **31**, 637-9 (1973).
24. Electron Correlation at Metallic Densities II: Calculations of the Correlation Coefficient
(with T.P. Fishlock),
J. Phys. C, **6**, 1909-25 (1973).
25. Layer Method for Band Structure of Layer Compounds (with K. Wood),
Phys. Rev. Lett., **31**, 1400-3 (1973).
26. Inelastic Scattering of Low Energy Electrons by Tight Binding Electrons (with B.S. Ing),
J. Phys. C, **8**, 1087-98 (1975).
27. A Study of Ion-Core Potentials used in LEED Diffraction Calculations, (with S.Y. Tong),
Phys. Rev. (1975).
28. Multiple Coincidences in Surface Structure Determination (with S. Andersson),
Solid State Comm., **16**, 563-6 (1975).
29. Na and S. Bilayers on a Ni(001) Surface (with S. Andersson),
J. Phys. C, **9**, 2721-31 (1975).
30. Theory of Surface States I: General Criteria for their Existence (with S.J. Gurman),
Surface Science **49**, 87-105 (1975).
31. The Absorption Profile at Surfaces (with P.M. Echenique),
J. Phys. C, **8**, 2936-42 (1975).
32. The Chain Method for Electron Scattering in Lattices (with P. Gard),
J. Phys. C, **8**, 2048-58 (1975).
33. Angular Dependence of Electron Emission from Surfaces,
J. Phys. C, **8**, 2413-22 (1975).
34. Theory of EXAFS (with P.A. Lee),
Phys. Rev., **11**, 2795-811 (1975).
35. Ferromagnetic Surface States on Anti-ferromagnetic NiS (with S.J. Gurman),
Surface Science **57**, -50 (1976).
36. Scattering of ^4He Atoms from the Surface of Liquid ^4He (with P.M. Echenique),
J. Phys. C, **9**, 3183-91 (1976).
37. Theory of the Edwards Experiment (with P.M. Echenique),
Phys. Rev. Lett., **37**, 561-3 (1976).

38. Theory of RHEED (with N. Masud),
J. Phys. C **9**, 1833-44 (1976).
39. Theory of Photoemission,
Surface Science **57**, 679-705 (1976).
40. Theory of Angular Dependence of Photoemission from Surfaces
(*Daresbury Lab. Conference Proceedings* 1976).
41. Interpretation of EXAFS Spectra (with S.J. Gurman),
Sol. St. Comm., **20**, 287-90 (1976).
42. Energy of Helium Dissolved in Metals (with J. Inglesfield),
Phil. Mag. **34**, 205-15 (1976).
43. Advances in LEED Theory, Invited Paper: *50th Anniversary of Electron Diffraction Meeting*, London (1977): IOP Conference Series.
44. LEED from Na(110) and Na₂O(110) Surfaces (with S.Andersson and P.M. Echenique),
Surface Science **65**, 539-51 (1977).
45. Incomplete Orbitals - New Elements in Ionic Bonding,
J. Phys. C **10**, 809-24 (1977).
46. MEED Intensity Calculations for Aluminium (110) and (100) Surfaces using the Chain Method (with N. Masud and C.G. Kinniburgh),
J. Phys. C **10**, 1-10 (1977).
47. Calculation of Photoemission Spectra for Copper (with D.J. Titterington)
Comm. on Phys., **2**, 31-5 (1977).
48. The Phase Problem in LEED (with C.G. Kinniburgh),
J. Phys. C **11**, 2415-35 (1978).
49. Structures of CO adsorbed on Ni(100) (with S. Andersson),
Surface Science **71**, 75-86 (1978).
50. The Existence and Detection of Rydberg States at Surfaces (with P.M. Echenique),
J. Phys. C., **11**, 2065-75 (1978).
51. Parametrised, Separable Potential for Band Structure Calculations (with I.D. Moore),
J. Phys. C **11**, 2939-59 (1978).
52. Electron Emission from Solids, Chapter IV in *Photoemission from Surfaces*, eds. B. Feuerbacher, B. Fitton and R.F. Willis (Wiley) (1978).
53. Photoemission from Transition Metal Surfaces (with J.F.L.Hopkinson),
J. Phys. F **8**, 1009-17 (1978).
54. Theory of Photoemission (with J.F.L. Hopkinson),
Journal de Physique (France) Colloque C4, 142-8 (1978).
55. Theory of Spin Polarised Photoemission (with I.D. Moore),
J. Phys. C **11**, 4615-22 (1978).
56. Atomic Origin of Structure in EXAFS Experiments (with B.W. Holland et al.),
J. Phys. C **11**, 633-42 (1978).
57. The Application of the Chain Method to Electron Emission (with R.N. Lindsay),
J. Phys. C **11**, 1031-4 (1978).
58. Theory of Secondary Electron Emission (with R. Feder),
Sol. St. Comm. **26**, 519-21 (1978).

59. Structure of CO adsorbed on Cu(100) and Ni(100) (with S. Andersson),
Phys. Rev. Lett., **43**, 363-6 (1979).
60. Determination of Adsorbate Geometries from Intramolecular Scattering in Deep-Core-Level X-Ray photoemission; CO on Ni(001), (with C.S. Fadley et al.),
Phys. Rev. Lett. **42**, 1545-8 (1979).
61. Angle Resolved Core Level XPS from Copper Single Crystals (with R.N. Lindsay and C.G. Kinniburgh),
J. El. Spec. and Rel. Phenomena, **15**, 157-63 (1979).
62. Reliability Factors for LEED Calculations,
J. Phys. C., **13**, 934-44 (1980).
63. The Structure of C(2x2) CO Adsorbed on Copper and Nickel (001) Surfaces (with S. Andersson),
J. Phys. C. **13**, 3547-61 (1980).
64. Calculation of Photoemission Spectra for Surfaces of Solids (with J.F.L. Hopkinson and D.J. Titterton),
Comp. Phys. Comm. **19**, 69-92 (1980).
65. New Probe for Unoccupied Bands at Surfaces,
Phys. Rev. Lett. **45**, 1356-8 (1980).
66. The Properties of Helium Atoms and Positrons as Impurities in Metals,
Radiation Effects **53**, 105-10 (1980).
67. Theory of Positrons at Surfaces,
J. Phys. C. **13**, 1159-74 (1980).
68. The Electronic Structure of Liquids,
J. Phys. C. **13**, 3357-68 (1980).
69. A Generalised Friedel Sum Rule,
J. Phys. C. **14**, 1137-43 (1981).
70. Towards the Ultimate LEED Theory, Proc. *IBM LEED Theory Conference*, ed PM Marcus, Plenum (1981).
71. Adsorbate Induced Contracted Domain Structure: N/W (001) (with K. Griffiths et al.),
Phys. Rev. Lett. **46**, 1584-7 (1981).
72. Theory of Inverse Photoemission,
J. Phys. C. **14**, 1381-91 (1981).
73. Electronic Properties of Surfaces, in *Emission and Scattering Techniques* ed P Day, Reidel: Dordrecht (1981)
74. On the Temperature Dependence in Photoemission from Metal Surfaces (with C.G. Larsson),
J. Phys. C. **14**, 3089-97 (1981).
75. XANES: Determination of Bond Angles and Multi Atom Correlations in Ordered and Disordered Systems (with P.J. Durham),
Sol. St. Comm. **38**, 159-62 (1981).
76. EELS: Calculation of the Impact Scattering from W (100) P(1x1)H, (with G.C. Aers et al.)
J. Phys. C. **14**, 3995-4007 (1981).
77. EELS: Calculation of the Impact Scattering Contribution to EELS (with G.C. Aers),
Comp. Phys. Comm., **25**, 389-416 (1982).

78. LEED Structure Analysis of N₂ and CO($\sqrt{2}\times\sqrt{2}$) R45⁰ structures on W(100) (with K. Griffiths et al.),
J. Phys. C. **15**, 4921-31 (1982).
79. Calculation of X-Ray Absorption Near Edge Structure, XANES (with P.J. Durham et al.),
Comp. Phys. Comm., **25**, 193-205 (1982).
80. Multiple Scattering Resonances and Structural Effects in the XANES of Fe^{II} and Fe^{III}
hexacyanide complexes (with A. Bianconi et al.),
Phys. Rev. **26** 6502-8 (1982).
81. XANES and the Determination of Local Atomic Arrangements at Surfaces (with P.J.
Durham and D. Norman),
J. Vac. Sci. Tech. **20**, 665-7 (1982).
82. The Self Energy of a Positron in an Electron Fermi Sea.
J. Phys. C. **15**, 3725-32 (1982).
83. The Evolution of Waves in Disordered Media,
J. Phys. C. **15**, 3493-511 (1982).
84. 1D Localisation and the Symmetric Group,
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85. Off Diagonal Disorder and 1D Localisation,
J. Phys. C. **15**, 5773-8 (1982).
86. New Perspectives in Surface Crystallography
in: *New Horizons of Quantum Chemistry* ed. P.-O. Löwdin and B. Pullman 339-50
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87. Determination of Local Atomic Arrangements at Surfaces from Near-Edge X-Ray
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Durham),
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P.D. Loly),
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"Enrico Fermi" Course LXXXIII on *Positron Solid-State Physics* ed W Brandt and
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97. Interpretation of Diffuse LEED Intensities (with D.K. Saldin, M.A. van Hove and G.A. Somorjai),
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98. Metal Support Interactions in Heterogeneous Catalysis (with S.R. Tennison)
Surface Science **138**, 84-94 (1984).
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107. Diffuse LEED and Surface Crystallography (with K Heinz and DK Saldin)
Phys. Rev. Lett. **55** 2312-5 (1985).
108. Influence of Poisons and Promotors on Local Bonding of CO to Ni(100) (with JM MacLaren, DD Vvedensky and RW Joyner)
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113. Azimuthal and Polar-Angle Dependence in XANES of Low Symmetry Adsorption Sites (with DD Vvedensky and DK Saldin)
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Phys. Rev. Lett. **57** 2951-4 (1986).
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123. Theoretical Aspects of the Nature of the Surface Chemical Bond,
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