

Raman Forbidden Layer-Breathing Modes in Layered Semiconductor Materials Activated by Phonon and Optical Cavity Effects

Miao-Ling Lin^{1,2}, Jiang-Bin Wu^{1,2}, Xue-Lu Liu¹, Tao Liu^{1,2}, Rui Mei^{1,2}, Heng Wu^{1,2}, Shan Guan¹, Jia-Liang Xie^{1,2}, Jun-Wei Luo^{1,2}, Lin-Wang Wang³, Andrea C. Ferrari⁴, and Ping-Heng Tan^{1,2,*}

¹State Key Laboratory of Semiconductor Physics and Chip Technologies, *Institute of Semiconductors, Chinese Academy of Sciences, Beijing 100083, China*

²Center of Materials Science and Optoelectronics Engineering, *University of Chinese Academy of Sciences, Beijing 100049, China*

³State Key Laboratory of Optoelectronic Materials and Devices, *Institute of Semiconductors, Chinese Academy of Sciences, Beijing 100083, China*

⁴Cambridge Graphene Centre, *University of Cambridge, 9 JJ Thomson Avenue, Cambridge CB3 0FA, United Kingdom*



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We report **Raman forbidden layer-breathing modes** (LBMs) in layered semiconductor materials (LSMs). The intensity distribution of all observed LBMs depends on layer number, incident light wavelength, and refractive index mismatch between LSM and underlying substrate. These results are understood by a Raman scattering theory via the proposed spatial interference model, where the **naturally occurring optical and phonon cavities** in LSMs enable spatially coherent photon-phonon coupling mediated by the corresponding one-dimensional periodic electronic states. Our work reveals the impact of spatial coherence of photon and phonon fields on phonon excitation via photon or phonon cavity engineering.

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Raman scattering is a ubiquitous tool for probing elementary excitations [1–3] (e.g., phonons) and electron (exciton)-photon or -phonon (*e*-pht and *e*-phn, respectively) interactions [4–6] in both bulk and nanoscale materials. In the quantum picture of Raman scattering, incident photons first excite a set of intermediate electronic states, which then generate or absorb phonons and give rise to energy-shifted scattered photons [1,7]. The intermediate electronic excitations are pivotal as quantum pathways in Raman scattering [7–9] and determine the *e*-pht and *e*-phn interaction matrix elements [1,4,6,10]. Traditionally, these can be evaluated by making a multipole expansion [1], based on the premise that the wavelength of light is large compared with atomic dimensions. Usually, only the first term of the multipole expansion, i.e., electric dipole, is retained [1], defining the Raman tensor based on group symmetry analysis to determine the polarization selection rules [1,11]. An interlayer bond polarizability model (IBPM) within this approximation was also developed to understand the Raman intensity of interlayer phonons in ultrathin layered materials (LMs) [12,13] and in LM heterostructures showing cross-dimensional *e*-phn coupling [14]. In this case, the *e*-pht matrix element is considered independent of the photon wave vector.

If incident light wavelength and dimension of phonon displacement field are comparable, the premise for multipole expansion fails, leading to the breakdown of the

Raman selection rules based on symmetry analysis. It is a challenge to achieve matching between light wavelength and dimension of phonon displacement fields for Raman scattering in bulk solids. However, LMs can act as phonon cavity [15–17] by generating standing waves, enabling wavelength (and wave vector) matching between photon field and the phonon field standing waves by adjusting LM thickness and dielectric environment. LMs can also generate a Fabry-Pérot optical cavity with photon field redistribution for enhanced light-matter interaction [18,19], which could induce a change in photon-phonon (pht-phn) coupling. These cavity effects could result in new Raman selection rules.

Here, we show that layered semiconductor materials (LSMs) with specific thicknesses can act as a naturally occurring optical cavities and induce spatial variations in the photon field inside LSMs, and a phonon cavity to match the photon wave vector with quantized standing-wave vectors of layer-breathing phonons along the out-of-plane axis. The two effects result in spatially modulated *e*-pht and *e*-phn interactions and the observation of Raman forbidden layer-breathing modes (LBMs). A spatial interference model (SIM) of pht-phn coupling that integrates *e*-pht and *e*-phn interactions is presented to describe the intensity of Raman-inactive LBMs dependent on LBM standing-wave vectors, LSM layer number, excitation wavelength, and the underlying substrate. This novel Raman scattering theory of pht-phn coupling goes beyond the traditional electric dipole approximation in Raman tensor theory.

*Contact author: phtan@semi.ac.cn

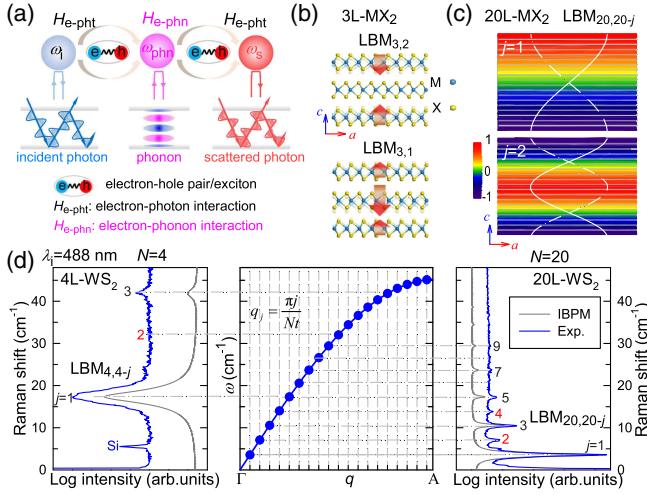


FIG. 1. (a) Raman scattering modulated by photon or phonon fields overlapping in a cavity. (b) Displacements of LBMs in 3L-MX₂, where the arrow length represents the vibration amplitude. (c) Side view of displacement field profiles of LBM_{20,20-j} ($j = 1, 2$) in 20L-MX₂, where the color represents the amplitude. (d) $\omega - q$ along $\Gamma - A$ direction with q -dependent Pos(LBM _{$N,N-j$}) in 4L- and 20L-WS₂ and experimental (blue) and IBPM predicted (gray) Raman spectra of the corresponding LBMs.

We consider the interaction diagram in a Raman scattering event involving one phonon excitation [Fig. 1(a)], where ω_i , ω_s , and ω_{phn} are the frequencies of incident (i), scattered (s) photons, and phonon, respectively. The interactions between incident or scattered photons and phonons are mediated by electron-hole ($e-h$) pairs [1] or excitons [20], where $e-phn$ and $e-phn$ interactions are characterized by the corresponding matrix elements $M_{e-phn(i/s)}$ and M_{e-phn} [1]. The output in this scattering event is determined by a third-order perturbation process [1,21]:

$$I \propto \left| \sum_{e,e'} \frac{M_{e-phn(i)} M_{e-phn} M_{e-phn(s)}}{(\hbar\omega_i - \epsilon_{e-h} + i\gamma)(\hbar\omega_s - \epsilon_{e'-h} + i\gamma)} \right|^2, \quad (1)$$

where h , e and e' label the states of the photoexcited hole, photoexcited electron and scattered electron, respectively, $\omega_s = \omega_i \pm \omega_{phn}$, ϵ_{e-h} and $\epsilon_{e'-h}$ are the energies of electronic transitions, and γ is the homogeneous linewidth of the electronic transition [1,21]. The Raman intensity is sensitive to the pht-phn coupling, i.e., $M_{e-phn(i)} M_{e-phn} M_{e-phn(s)}$, and the detuning of the involved photon from inherent optical resonances [1,7,10,22–24]. Once incident or scattered photon and phonon are confined and overlap in a cavity, both M_{e-phn} and M_{e-phn} can exhibit spatial variations within the cavity, resulting in constructive or destructive interference of pht-phn coupling in real space.

Here we use LSM flakes with layer number $N > 1$, such as MX₂ ($M = \text{Mo, W}$ and $X = \text{S, Se}$) ($N\text{L-MX}_2$). These have $N - 1$ phonon modes involving the relative motions of

atomic planes along the out-of-plane (c) axis, i.e., LBM _{$N,N-j$} ($j = 1, 2 \dots N - 1$) [22,25–28], as depicted by LBM_{3-j} ($j = 1, 2$) of 3L-MX₂ in Fig. 1(b). According to the linear chain model [25–28], the atomic plane displacements are given by $u_{\text{LBM}}(q_j, z) = (e^{iq_j z} + e^{-iq_j z})/2$, where $q_j = \pi j/(Nt) = j\delta q$ ($j = 1, 2 \dots N - 1$) with δq being the q_j difference between two adjacent LBMs and $z = (2n - 1)t/2$ with n the layer index and t the thickness of monolayer. Thus, LBMs can be considered as phonon cavity modes showing standing-wave feature with wavelength $\lambda_{\text{LBM},N,N-j} = 2Nt/j$, i.e., the superposition of two one-dimensional (1d) counterpropagating plane-wave components (out-of-plane), labeled $+q_j$ ($-q_j$) for the components propagating away from (toward) the sample surface, as exemplified by the displacement field profiles of LBM_{20,20-j} ($j = 1, 2$) for 20L-MX₂ [color contour and white curves in Fig. 1(c)]. The quantized q_j along the c axis corresponds to the standing-wave vector of LBM displacement fields in LSMs. This phonon cavity characteristic for LBMs in LSMs provides a platform to enable wave vector matching between a photon and the standing wave of phonons by tuning N . The frequencies of the $N - 1$ LBMs are also dependent on q_j and can be derived from the linear chain model [25–28] as Pos(LBM _{$N,N-j$}) = Pos(LBM _{∞}) $\sin(q_j t/2)$, where Pos(LBM _{∞}) represents the peak position of the LBM in a bulk LSM. Pos(LBM _{$N,N-j$}) can be also expressed by the dispersion $\omega - q$ of the longitudinal acoustic phonons in bulk MX₂ along $\Gamma - A$ direction [$q_A = (0, 0, \pi/t)$] [29], in which the confinement of $N\text{L-MX}_2$ in the c axis limits q_j of LBM _{$N,N-j$} to integral multiples of π/Nt , as demonstrated for 4L- and 20L-WS₂ in Fig. 1(d).

To probe the LBMs in WS₂ flakes, we use an incident photon energy of 2.54 eV (Sec. I and Fig. S1 in Supplemental Material [30]), resonant with the C exciton energy ~ 2.6 eV [42,43]. The experimental LBM _{$N,N-j$} intensity distribution of 4L-WS₂ [Fig. 1(d)] can be understood by the IBPM (Sec. II in Supplemental Material [30]), with LBM _{$N,N-j$} (j is odd) peaks and absence of even LBM _{$N,N-j$} (j is even; Fig. S2 in Supplemental Material [30]). However, for 20L-WS₂, significant differences emerge, particularly with the rising intensity of even LBM _{$N,N-j$} peaks, predicted to be Raman-inactive by the IBPM [Fig. 1(d)] and symmetry analysis. 20L-WS₂ exhibits much smaller q_j (0.25 nm^{-1} when $j = 1$) than that (1.27 nm^{-1} when $j = 1$) in 4L-WS₂. The former is comparable with the change of the light wave vector ($\Delta k = 2k_i = 0.13 \text{ nm}^{-1}$, where $k_i = 2\pi\tilde{n}_1/\lambda_i$ is the wave vector at incident laser wavelength λ_i within a LSM with refractive index \tilde{n}_1) in backscattering configuration. This suggests a novel mechanism ruling the observation of forbidden even LBM _{$N,N-j$} , due to the wave vector matching between an incident or scattered photon and standing wave of LBM phonon within a 20L-WS₂ cavity.

For specific $\hbar\omega_i$ (or λ_i), the Raman intensity of LBMs in LSMs is usually determined by $M_{e\text{-pht}(i)}M_{e\text{-phn}}M_{e\text{-pht}(s)}$ in Eq. (1). We first consider the $e\text{-phn}$ interaction term $M_{e\text{-phn}}$. $\hbar\omega_i = 2.54$ eV can resonantly excite $e\text{-h}$ pairs close to Γ point of Brillouin zone related to the C exciton of WS₂ flakes, confined within each layer [44] (Sec. III and Fig. S3 in Supplemental Material [30]) and form an ensemble of confined electronic states (i.e., 1d periodic electronic states [44,45]). The standing-wave nature of LBMs generates a lattice dilation along the c axis. Thus, $M_{e\text{-phn}}$ between delocalized LBMs and the 1d periodic electronic states can be expressed by the deformation-potential interaction [21,31] as (Sec. III in Supplemental Material [30]):

$$M_{e\text{-phn}} \propto \frac{\frac{1}{2} \pm \frac{1}{2} + n(q_j)}{\omega_{\text{phn}}} \int |\Psi(z)|^2 m_{\text{ph}}(q_j z) dz, \quad (2)$$

where $\Psi(z)$ is the 1d periodic electronic wave function, $m_{\text{ph}}(q_j, z) = e^{iq_j z} - e^{-iq_j z}$ gives the lattice dilation along the c axis, $n(q_j)$ is the Bose-Einstein population factor, and the $+$ ($-$) sign stands for Stokes (anti-Stokes) Raman scattering. The layer displacements of LBMs lead to significant spatial modulation of $M_{e\text{-phn}}$, which depends on q_j . Within the electric dipole approximation, $M_{e\text{-pht}(i/s)}$ is considered as constant with polarization direction of the incident (scattered) light. In this case, the LBM intensity is proportional to $|M_{e\text{-phn}}|^2$. The corresponding calculated LBM spectrum (Fig. S4 in Supplemental Material [30]) does not have even LBMs for 20L-WS₂, in agreement with the IBPM, but in contrast with experiments. This suggests that we need to go beyond the electric dipole approximation for the $e\text{-pht}$ coupling term $M_{e\text{-pht}(i/s)}$.

We now consider the detailed incident or scattered photon propagation in the air/LSM/substrate dielectric multilayers for Raman scattering of LBMs. The refractive index mismatch $[\Delta\tilde{n} = (\tilde{n}_\mu - \tilde{n}_\nu)/(\tilde{n}_\mu + \tilde{n}_\nu)]$, with \tilde{n}_μ and \tilde{n}_ν the complex refractive indexes of the adjacent media] between LSM, air, and substrate can lead to partial reflection of light at the air/LSM and LSM/substrate interfaces, resulting in an optical cavity effect. This leads to a considerable spatial modulation in the modulus square of the electric field for the incident laser inside LSMs with thickness up to 150L, as shown in Fig. 2(a), due to the superposition of forward (down) and backward (up) propagating optical waves (whose electric field components are denoted as E_i^D and E_i^U , respectively), as shown in Fig. 2(b). The scattered optical wave generated by the recombination of scattered $e\text{-h}$ pairs by LBMs also has two components propagating toward (up) and away from (down) the air/LSM interface, i.e., E_s^U and E_s^D . The combination of incident and scattered electric field components can lead to two internal scattering

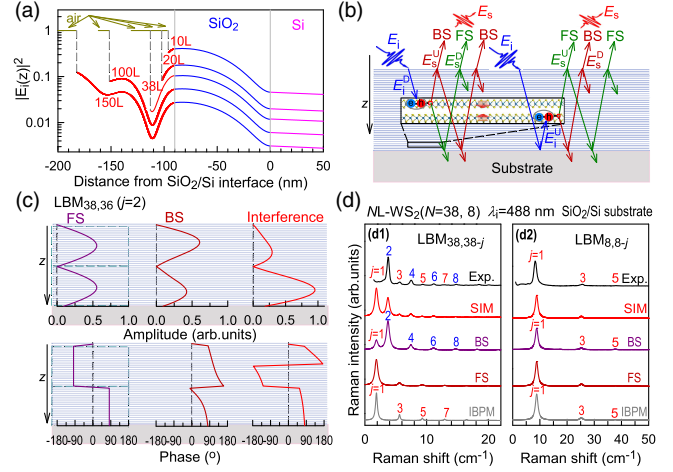


FIG. 2. (a) $|E_i(z)|^2$ in NL-WS₂/SiO₂/Si. (b) Propagation path of incident (blue) and scattered (red) photons in MX₂ flakes. Two pathways of incident and scattered photons, toward (up, U) and away from (down, D) the top surface of MX₂, result in internal FS and BS geometries. (c) Spatial variation of amplitude and phase of FS, BS, and FS-BS interfering pht-phn coupling matrixes for LBM_{38,36} of 38L-WS₂. (d) LBM spectra of (d1) 38L-WS₂ and (d2) 8L-WS₂ on SiO₂/Si for FS and BS components and FS-BS interference calculated by SIM, along with IBPM-simulated and experimental (exp.) spectra.

geometries within LSM flakes, i.e., forward (FS) and backward scattering (BS). Accordingly, the $e\text{-pht}$ coupling $[m_{e\text{-pht}(i)}(z)m_{e\text{-pht}(s)}(z)]$ at position z is derived by the product of incident and scattered electric field components (Sec. IV in Supplemental Material [30]):

$$\begin{aligned} m_{e\text{-pht}(i)}(z)m_{e\text{-pht}(s)}(z) &\propto (E_i^U + E_i^D)(E_s^U + E_s^D) \\ &= t_{01}t_{10} \frac{2r_{12}e^{2ik_i Nt} + [e^{2ik_i z} + r_{12}^2 e^{2ik_i(2Nt-z)}]}{(1 - r_{12}r_{10}e^{2ik_i Nt})^2} \\ &= m_{e\text{-pht}}^{\text{FS}}(2k_i) + m_{e\text{-pht}}^{\text{BS}}(2k_i z) \end{aligned} \quad (3)$$

with $t_{\mu\nu}$ and $r_{\mu\nu}$ the amplitude transmission and reflection coefficients from medium μ to ν , respectively, and $m_{e\text{-pht}}^{\text{FS}}(2k_i)$ and $m_{e\text{-pht}}^{\text{BS}}(2k_i z)$ representing the $e\text{-pht}$ coupling of the FS and BS components.

The spatial distribution of pht-phn coupling along the c axis, including $e\text{-pht}$ and $e\text{-phn}$ interactions mediated by the electronic states, can be written as $[m_{e\text{-pht}}^{\text{FS}}(2k_i) + m_{e\text{-pht}}^{\text{BS}}(2k_i z)]m_{e\text{-phn}}(q_j z)$ (Sec. V in Supplemental Material [30]). Because of the localization of electronic states within the layer, a coherent summation of spatially modulated pht-phn coupling for the whole LSM leads to a variation of Raman intensity (I) as a function of q_j [or Pos(LBM_{N,N-j})]:

$$I(q_j) \sim \left| \sum_{n=0}^{N-1} [m_{e\text{-pht}}^{\text{FS}}(2k_i) + m_{e\text{-pht}}^{\text{BS}}(2k_i n)] m_{e\text{-phn}}(q_j n) \right|^2$$

$$= \left| \sum_{n=0}^{N-1} \{S_{\text{FS}}(2k_i, q_j n) + S_{\text{BS}}[(2k_i \pm q_j)n]\} \right|^2, \quad (4)$$

where the $S_{\text{FS}}(2k_i, q_j n)$ ($S_{\text{BS}}[(2k_i \pm q_j)n]$) is the pht-phn coupling of the FS (BS) component in the n th LSM layer. We denote the above model described by Eq. (4) as SIM, this shows how the spatially coherent pht-phn coupling in the phonon and optical cavities of LSMs determines the Raman intensity of the corresponding LBMs.

We first analyze the LBM intensity distribution of thick LSMs (e.g., 38L-WS₂) based on SIM using the corresponding complex refractive indices: $5.2 + 1.1i$ [32] for WS₂, 1.4629 [33] for SiO₂, and $4.3606 + 0.0868i$ [33] for Si. The calculated spatial variations in amplitude and phase of $S_{\text{FS/BS}}$ along the c axis for LBM_{38,36} ($j = 2$) of 38L-WS₂ on SiO₂/Si are depicted in Fig. 2(c). The amplitude and phase of S_{FS} synchronously oscillate in real space related to q_j (Sec. V in Supplemental Material [30]). For even j (e.g., LBM_{38,36}, $j = 2$), the phase varies alternately between positive and negative values, with a shift of π (Figs. 2(c) and Fig. S5 in Supplemental Material [30]). A coherent summation of $S_{\text{FS}}(2k_i, q_j n)$ for the whole LSM could result in zero intensity for even LBMs, due to spatially destructive interference (Fig. S5 in Supplemental Material [30]), and finite Raman intensity for odd LBMs, because of incompletely destructive interference (Fig. S6 in Supplemental Material [30]). Conversely, the amplitude and phase of S_{BS} are a function of $2k_i \pm q_j$, and the phase does not always vary alternately between positive and negative values (Fig. 2(c) and Figs. S5 and S6 in Supplemental Material [30]). Thus, a coherent summation of $S_{\text{BS}}[(2k_i \pm q_j)n]$ for the whole LSM leads to the LBM intensity varying with the difference between $2k_i$ and q_j , where the even LBM intensity is not always zero. By considering the general Lorentzian line shape of LBMs and the weighted intensity, we calculate the LBM Raman spectra from FS and BS components and FS-BS interference [Fig. 2(d1)]. When just considering the FS component, $I(q_j)$ exhibits a series of zeros at even j , leading to the observation of only odd LBMs, aligning with the IBPM predictions. However, if one considers just the BS component, even LBMs can display significantly higher intensities than the adjacent odd ones. The interference of FS and BS components leads to the excitation of both odd and even LBMs in the Raman spectrum, and the corresponding calculated LBM spectrum agrees with the experimental one [Fig. 2(d1)].

For thin LSMs, e.g., WS₂ flakes with small N (e.g., $N < 10$), the condition $2k_i \ll \Delta q$, i.e., $|q_j| \sim |2k_i \pm q_j|$, leads to S_{BS} being close to S_{FS} . This similarity results in that the spatial amplitude and phase of the FS-BS interference closely approximate those of S_{FS} . Therefore,

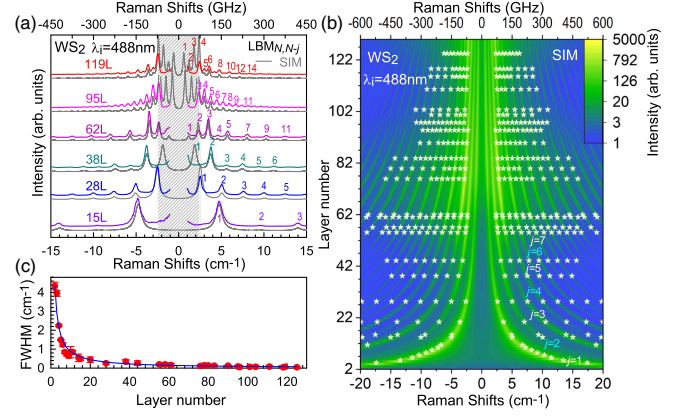


FIG. 3. (a) SIM-calculated (gray) and experimental (colored) LBM spectra. The stripe-patterned shade is the blind spectral range of our Raman setup. (b) SIM-calculated phonon spectra in NL-WS₂ ($N = 2$ –130). Stars are experimental data. (c) $1/N$ -dependent average FWHM, where 0.16 cm^{-1} is subtracted from FWHM to account for the system broadening.

Raman spectra from FS-BS interference and BS component are similar to that of the FS component, such as the case of 8L-WS₂ in Fig. 2(d2). As N increases, the mismatch between q_j and $2k_i \pm q_j$ enlarges, and the conditions for destructive interference cease to hold, allowing the even modes to emerge, as discussed above for 38L-WS₂.

To clearly reveal the evolution of the LBM emission with varying LSM thickness, we measure LBM spectra [Figs. 3(a) and 3(b)] of NL-WS₂ flakes on SiO₂/Si with N varying from 2 to 130 under resonant excitation of the C exciton. The calculated LBM spectra concur with the experimental results. The intensities of even LBMs relative to that of adjacent odd LBMs are significantly enhanced in specific N ranges, as demonstrated in Fig. 3(b). E.g., with $N = 10$ –30, the observed odd LBM _{$N,N-j$} branches exhibit stronger intensities than the adjacent even LBM _{$N,N-j-1$} branches, whereas for $N = 30$ –60, the intensities of the even LBM _{$N,N-j$} branches surpass those of adjacent odd LBM _{$N,N-j-1$} ones.

Figures 3(a) and 3(b) demonstrate that the frequency difference between adjacent LBMs of NL-WS₂ decreases as N increases. The average full width at half maximum (FWHM) of the LBMs also decreases with increasing N , showing a $1/N$ dependence [Fig. 3(c), blue line]. This can be ascribed to the q_j confinement of standing-wave LBMs along the c axis. The q uncertainty $[\Delta q]$ can be estimated by the Heisenberg uncertainty principle, i.e., $\Delta x \Delta p \sim \hbar/2$, where $\Delta x = Nt$ and $\Delta p = \hbar \Delta q$. According to the Pos(LBM) $- q_j$ relation, $\text{FWHM}(\text{LBM}) \propto (t/2) \cos(q_j t/2) \times \Delta q \propto 1/N$.

SIM also implies that the intensity distribution of all the observed LBMs is sensitive to the optical cavity effect, which should be significantly dependent on the refractive index mismatch between LSM and underlying substrates. As a check, we measure the Raman spectra [Fig. 4(a)]

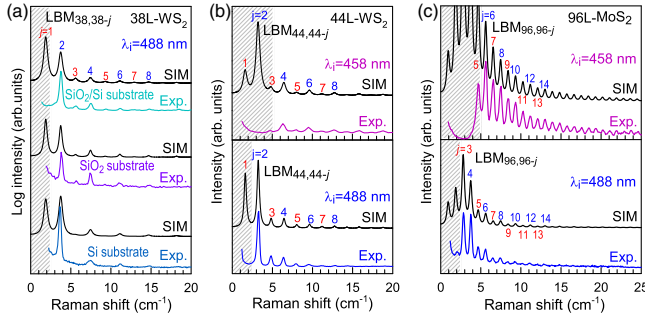


FIG. 4. (a) Experimental (exp., colored) and SIM-calculated (black) LBM spectra of 38L-WS₂ on different substrates, $\lambda_i = 488$ nm, and those for (b) 44L-WS₂ and (c) 96L-MoS₂ with $\lambda_i = 458$ nm and 488 nm.

of 38L-WS₂ on 90 nm-SiO₂/Si, bare SiO₂, and Si. A significant refractive index mismatch ($\Delta\tilde{n} \approx 0.57 + 0.07i$) between WS₂ and SiO₂ enhances the optical cavity effect, boosting the FS component [odd LBMs; Figs. 2(b) and 2(d1)] contributions to LBM spectra on 90 nm-SiO₂/Si and bare SiO₂. However, when 38L-WS₂ flakes are deposited on Si, due to the close refractive indexes of WS₂ and Si, the optical cavity effect at the 38L-WS₂/Si interface is weak, and the FS component contribution is small. Thus, odd LBMs are absent in the corresponding Raman spectrum with dominant even LBMs. The measured LBM spectra for 38L-WS₂ on different substrates agree with the SIM predictions. These results demonstrate the possibility to tune LBM emissions by varying the refractive index mismatch between LSM and underlying substrate.

Because of the importance of wave vector matching between the photon and standing wave of phonons in ruling the LBM Raman intensity, it is expected that the LBM emission will be sensitive to λ_i . Figure 4(b) presents the experimental and calculated Raman spectra of LBMs in 44L-WS₂ excited at 488 nm and 458 nm, under resonant excitation of the C exciton [43]. The different k_i lead to varying mismatches between q_j and $2k_i \pm q_j$, resulting in distinctly different interference effects at these λ_i . Compared to $\lambda_i = 488$ nm, the intensities of odd LBMs are weaker than those of adjacent even LBMs under $\lambda_i = 458$ nm in 44L-WS₂. Similar λ_i -dependent LBM spectra can be observed in other LSMs, such as MoS₂, MoSe₂, and MoTe₂, as illustrated in Figs. 4(c) and Fig. S7 (Sec. VI in Supplemental Material [30]). This supports the general applicability of the SIM, which accounts for the spatially coherent pht-phn coupling for LBMs in LSM cavities.

In conclusion, we reported the observation of forbidden LBM emission in LSMs, driven by spatially coherent coupling of the photon field propagating along the c axis and the phonon field to 1d periodic electronic states, which can be well understood by a Raman scattering theory via the proposed SIM. The Raman intensity distribution of all the observed LBMs can be tuned by varying the wave vector matching between photons and standing wave of phonons

with LSM thickness, excitation wavelength, and refractive index mismatch between LSM and underlying substrate.

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Data availability—The data that support the findings of this Letter are openly available in the Research Gate data repository [48].

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